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federal register

Friday
December 14, 1979

Highlights

72696 **Export-Import Bank: Policy on Chile** State determines to deny guarantees, insurance, extensions of credit and participations in extension of credit in support of purchase or lease of product or service by purchase or lessee in Chile

72728 **Improving Government Regulations** HEW/Sec'y publishes semiannual agenda of regulations; (Part II of this issue)

72794 **Minimum Wages for Federal and Federally-Assisted Construction** Labor/ESA publishes general wage determinations; (Part III of this issue)

72578 **Eurodollar Deposits** FHLBB issues rules regarding security for deposits, effective 12–5–79

72654 **General Education Provisions** HEW/Secretary requires announcement of certain data requests that Federal agencies address to educational agencies and institutions; comments by 1–14–80

72575 **Middle Distillates** DOE/ERA issues rule to adopt amendments to special set-aside procedures; effective 12–10–79

72866 **Wheat and Wheat Foods** USDA/AMS issues order announcing decision to establish nationally coordinated program (Part VII of this issue)

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Highlights

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Area Code 202–523–5240

72826, 72832 **Savings Bonds** Treasury/FS adopts the terms and conditions of the offering of Series EE and HH bonds; effective 1–1–80; (2 documents) (Parts IV and V of this issue)

72653 **Medicare Program** HEW/HCFA policy concerning coverage of oxygen for use in a patient's home; comments by 2–12–80

72892 **Water Resources Planning** WRC sets forth rules establishing current set of procedures for evaluation of national economic development benefits and costs; effective 1–14–80 (Part IX of this issue)

72584 **Comprehensive Employment and Training** Labor/ETA issues regulations concerning self-insured workers' compensation; effective 12–14–79

72838, 72864 **Beef Research and Information** USDA/AMS proposes establishment of program to develop and improve markets for cattle, beef, and beef products (2 documents) (Part VI of this issue)

72652 **Hazardous Radium Sources** HEW/FDA and EPA issue a joint memorandum of understanding to assist States in disposing

72618 **Textile Products From Malaysia** CITA announces import restraint levels for certain cotton, wool and man-made fibers; effective 1–1–80

72582 **Small Business** SBA issues rule establishing new size standard for retail heating oil dealers; effective 12–14–79

72604 **Corporation Finance** SEC request public comment to assist in re-evaluating the Guides for the Preparation and Filing of Registration Statements and Reports; comments by 2–29–80

72670 **Comprehensive Employment and Training** Labor/ETA gives notice of proposed allocations for fiscal year 1980

72700 **Sunshine Act Meetings**

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72728 **Part II, HEW**
72794 **Part III, Labor/ESA**
72826 **Part IV, Treasury/FS**
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Rules and Regulations

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This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.
The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each month.

OFFICE OF PERSONNEL MANAGEMENT

5 CFR Part 213

Excepted Service; Community Services Administration

AGENCY: Office of Personnel Management.

ACTION: Final rules.

SUMMARY: FR Document 79–34728, published by OPM on November 9, 1979, at 44 FR 65026, incorrectly added a new § 213.3373(c), a new excepted service appointing authority for the Office of the Inspector General, Community Services Administration. Since "Office of the Inspector General" had previously been designated § 213.3373(b), this document correctly designates paragraph (c)(1) to read (b)(2), and deletes the introductory text of paragraph (c).

FOR FURTHER INFORMATION CONTACT:

On position authority: William Bohling, Office of Personnel Management, 202–632–4533.
On position content: Felix Gloden, Community Services Administration, 202–254–5220.

(5 U.S.C. 3301, 3302; EO 10577, 3 CFR 1954–1958 Comp., p. 218)

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

[FR Doc. 79–38287 Filed 12–13–79; 8:45 am]

BILLING CODE 6325–01–M

5 CFR Part 213

Excepted Service; Department of Housing and Urban Development

AGENCY: Office of Personnel Management.

ACTION: Final rule.

SUMMARY: FR Document 79–34736, published by OPM on November 9, 1979, at 44 FR 65028, incorrectly added a new § 213.3384(d)(2), a new excepted service appointing authority for the Department of Housing and Urban Development. Since § 213.3384(d)(2) already existed, this document redesignates the paragraph to read (d)(5).

FOR FURTHER INFORMATION CONTACT:

On position authority: William Bohling, Office of Personnel Management, 202–632–4533.
On position content: Eleanor Coleman, Department of Housing and Urban Development, 202–755–5479.

(5 U.S.C. 3301, 3302; EO 10577, 3 CFR 1954–1958 Comp., p. 218)

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

[FR Doc. 79–38288 Filed 12–13–79; 8:45 am]

BILLING CODE 6325–01–M

5 CFR Part 213

Excepted Service; Department of Labor

AGENCY: Office of Personnel Management.

ACTION: Final rule.

SUMMARY: FR Document 79–29551, published September 25, 1979, at 44 FR 55143, incorrectly listed July 10, 1979, as the effective date of a Labor Department Schedule C appointing authority in 5 CFR § 213.3315(a)(1). This document corrects the effective date; this is an editorial change only.

EFFECTIVE DATE: The correct effective date should read: July 20, 1979.

FOR FURTHER INFORMATION CONTACT:

On position authority: William Bohling, Office of Personnel Management, 202–632–4533.
On position content: Joyce Goins, Department of Labor 202–523–6555.

(5 U.S.C. 3301, 3302; EO 10577, 3 CFR 1954–1958 Comp. p. 218)

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

[FR Doc. 79–38291 Filed 12–13–79; 8:45 am]

BILLING CODE 6325–01–M

5 CFR Part 213

Excepted Service; Department of State

AGENCY: Office of Personnel Management.

ACTION: Final rule.

SUMMARY: FR Document 79–29538, published September 25, 1979, at 44 FR 55144, incorrectly listed April 23, 1979, as the effective date of a State Department Schedule C appointing authority in 5 CFR § 213.3304(aa)(2). This document corrects that effective date; this is a editorial change only.

EFFECTIVE DATE: The correct effective date should read: April 26, 1979.

FOR FURTHER INFORMATION CONTACT:

On position authority: William Bohling, Office of Personnel Management, 202–632–4533.
On position content: R. Massey, Department of State, 202–632–5350.

(5 U.S.C. 3301, 3302; EO 10577, 3 CFR 1954–1958 Comp. p. 218).

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

[FR Doc. 79–38290 Filed 12–13–79; 8:45 am]

BILLING CODE 6325–01–M

5 CFR Part 315

Career and Career-Conditional Employment

AGENCY: Office of Personnel Management.

ACTION: Final rule.

SUMMARY: In FR Doc. 79–35792, published on November 20, 1979, at 44 FR 66574, the Office of Personnel Management added a new 5 CFR § 315.708, Mentally retarded and severely physically handicapped employees serving under Schedule A appointments. Since § 315.708 already existed, this document corrects the section designation to read § 315.709. This is an editorial change only.

EFFECTIVE DATE: December 20, 1979.

FOR FURTHER INFORMATION CONTACT: William Bohling, Inservice Placement Branch, Staffing Services Group, 202–632–4533.

(5 U.S.C. 3301, 3302; E.O. 12125).

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

[FR Doc. 79-38289 Filed 12-13-79; 8:45 am]

BILLING CODE 6325-01-M

5 CFR Part 737

Post Employment Conflict of Interest

AGENCY: Office of Personnel Management.

ACTION: Interim regulations with comments invited for consideration in final rulemaking.

SUMMARY: The Office of Personnel Management is issuing an amendment to an interim regulation under the Ethics in Government Act of 1978, changing the date of the designation of certain positions subject to the post employment conflict of interest regulations applicable to "Senior Employees" from December 15, 1979 to February 28, 1980.

DATE: Effective December 14, 1979. Written comments will be considered if received no later than January 4, 1980.

ADDRESS: Send written comments to: Office of Government Ethics, 1900 E Street NW., Washington, D.C. 20415.

FOR FURTHER INFORMATION CONTACT: Gary Davis, (202) 632-7642.

SUPPLEMENTARY INFORMATION: Subsection 207(d)(1)(C) of title 18 U.S.C. contained in Title V of the Ethics in Government Act of 1978 ("the Act"), Pub. L. 95-521, as amended, gives the Director of the Office of Government Ethics ("OGE") authority to designate certain employee positions for purposes of the restrictions of 18 U.S.C. subsections 207(b)(ii) and 207(c). Interim regulations implementing this authority were published on April 3, 1979 (44 FR 19974) and on September 25, 1979 (44 FR 55148). Section 737.25(b)(1) of the interim regulations established the effective date of all discretionary designations as December 15, 1979.

Due to agency reorganizations OGE is unable to submit the follow-up discretionary designations for agencies not listed in our September 25 publication prior to the effective date of December 15, 1979. Accordingly, the desire to give uniform treatment to all designees as well as basic fairness dictates a change in the effective date.

Because the final regulations are scheduled for issuance in early January, 1980, it is necessary to shorten the public comment period to January 4, 1980. The Director of the Office of Personnel Management, Alan K. Campbell, acting pursuant to 5 U.S.C. Section 553, has found good cause for dispensing with the notice of proposed rulemaking.

Office of Personnel Management.

Beverly M. Jones,

Issuance System Manager.

Accordingly, OPM is amending 5 CFR § 737.25(b)(1) to change the effective designation date of "Senior Employee" positions to read February 28, 1980, rather than December 15, 1979.

(18 U.S.C. 207(d)(1)(C))

[FR Doc. 79-38321 Filed 12-13-79; 8:45 am]

BILLING CODE 6325-01-M

DEPARTMENT OF AGRICULTURE

Food and Nutrition Service

7 CFR Part 273

[Amdt. No. 157]

Certification of Eligible Households; Food Stamp Program; Thrifty Food Plan Amounts; Guam and the Virgin Islands

AGENCY: Food and Nutrition Service, USDA.

ACTION: Final rule.

SUMMARY: This amendment revises those parts of Appendix A of § 273.10 of the Food Stamp Program Regulations pertaining to Guam and the Virgin Islands by adding an Appendix B which updates the value of the Thrifty Food Plan amounts for Guam and the Virgin Islands.

EFFECTIVE DATE: January 1, 1980.

FOR FURTHER INFORMATION CONTACT: Larry Carnes, Chief, Policy/Regulations Section, Family Nutrition Programs, Food and Nutrition Service, U.S. Department of Agriculture, Washington, D.C. 20250, (202)447-9818.

SUPPLEMENTARY INFORMATION: The Food Stamp Act of 1977, as amended, and its implementing regulations (43 FR 47846 et al.) require semi-annual adjustments of the Thrifty Food Plan amounts and the standard deductions for the 48 States and the District of Columbia, Alaska, Hawaii, Guam, Puerto Rico and the Virgin Islands. The standard deductions for all areas and the Thrifty Food Plan amounts for all areas except Guam and the Virgin Islands have been published. This rulemaking provides the Thrifty Food Plan amounts for Guam and the Virgin Islands only.

The Thrifty Food Plan amounts for Guam and the Virgin Islands are provided by household size only, rather than in complete allotment tables. To determine the benefits eligible households are to receive without using tables it is necessary to multiply the household's net monthly income by 30 percent and round by dropping all cents and to subtract that amount from the Thrifty Food Plan for that size household. The Department prepares tables for households with up to 8 persons and provides them to State agencies.

The Food Stamp Act of 1977, as amended, requires that the semi-annual adjustments in the Thrifty Food Plan reflect food price changes published by the Bureau of Labor Statistics (BLS). Food prices for Guam and the Virgin Islands are collected under special arrangements between the Department and BLS. The Food Stamp Act both mandates that the cost of the Thrifty Food Plan be adjusted to reflect the cost of food in the Virgin Islands and Guam and that the Thrifty Food Plan amount for the outlying areas cannot exceed the cost of food in the fifty States and the District of Columbia. Due to this statutory limit, although in the past the *actual* Thrifty Food Plan amount for Guam has exceeded that of the fifty States and the District of Columbia, Alaska's number (the highest one) has been used instead. Because of an adjustment to the Alaska Thrifty Food Plan amount to compensate for higher food costs outside the Anchorage area, the *actual* Thrifty Food Plan amount for Guam can be used for January 1, 1980.

Thrifty Food Plan—Guam and the Virgin Islands

Section 3(o) of the Food Stamp Act of 1977, as amended, requires that the Thrifty Food Plan shall be the basis for uniform allotments for all households regardless of their actual composition, except that the Secretary shall: (1) make household size adjustments taking into account economies of scale; (2) make cost adjustments in the separate Thrifty Food Plans for Guam and the Virgin Islands to reflect the cost of food in those areas, but not to exceed the cost of food in the fifty States and the District of Columbia; and (3) adjust the cost of such diet every January 1 and July 1 to the nearest dollar increment to reflect changes in the cost of the Thrifty Food Plan for the six months ending the preceding September 30 and March 31, respectively. Under this provision, an adjustment in the cost of the Thrifty Food Plan amounts by household size for Guam and the Virgin Islands appearing as Appendix B of § 273.10 of the Food Stamp Program Regulations issued pursuant to the Food Stamp Act of 1977, as amended, has been made.

An Appendix B is added to § 273.10 as follows:

§ 273.10 Determining household eligibility and benefit levels.

Appendix B—Thrifty Food Plan—Guam and the Virgin Islands.

Benefit Determination. To determine the monthly allotment to be issued to households:

(1) Multiply the household's net monthly income by 30 percent and round by dropping all cents.

(2) Subtract the result obtained in Step 1 from the Thrifty Food Plan amount shown below for that size household for the appropriate area involved. (All one and two-person households shall receive a minimum monthly allotment of $10.00):

Thrifty Food Plan Amounts—September 1979

Household size	Guam[1]	Virgin Islands[1]
1	$91	$77
2	167	142
3	239	203
4	303	258
5	360	306
6	432	368
7	477	406
8	545	464
Each add'l member	+68	+58

[1] Adjusted to reflect cost of food in this area based on September food price data, but not to exceed cost of food in the 50 States and the District of Columbia.

* * * * *

(Authority: 91 Stat. 859 (7 U.S.C. 2011-2027).

Note.—This proposal has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified as significant. Robert Greenstein, Administrator of the Food and Nutrition Service, has determined that because of the need to implement this amendment by January 1, 1980, it is in the public interest to publish this amendment as a final rule. An impact statement has been prepared and is available from Claire Lipsman, Director, Program Development Division, Food and Nutrition Service, U.S. Department of Agriculture, Washington, D.C. 20250.

(Catalog of Federal Domestic Assistance, No. 10.551, Food Stamps)

Dated: November 29, 1979.

Carol Tucker Foreman,

Assistant Secretary.

[FR Doc. 79-38275 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-30-M

Agricultural Marketing Service

7 CFR Part 907

[Navel Orange Reg. 470; Navel Orange Reg. 469, Amdt. 1]

Navel Oranges Grown in Arizona and Designated Part of California; Limitation of Handling

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final rule.

SUMMARY: This action establishes the quantity of fresh California-Arizona navel oranges that may be shipped to market during the period December 14-20, 1979, and increases the quantity of such oranges that may be so shipped during the period December 7-13, 1979. Such action is needed to provide for orderly marketing of fresh navel oranges for the periods specified due to the marketing situation confronting the orange industry.

DATES: The regulation becomes effective December 14, 1979, and the amendment is effective for the period December 7-13, 1979.

FOR FURTHER INFORMATION CONTACT: Malvin E. McGaha, (202) 447-5975.

SUPPLEMENTARY INFORMATION: *Findings.* This regulation and amendment are issued under the marketing agreement, as amended, and Order No. 907, as amended (7 CFR Part 907), regulating the handling of navel oranges grown in Arizona and designated part of California. The agreement and order are effective under the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601-674). The action is based upon the recommendations and information submitted by the Navel Orange Administrative Committee, and upon other available information. It is hereby found that this action will tend to effectuate the declared policy of the act by tending to establish and maintain, in the interests of producers and consumers, an orderly flow of oranges to market and avoid unreasonable fluctuations in supplies and prices. The action is not for the purpose of maintaining prices to farmers above the level which is declared to be the policy of Congress under the act. This regulation has not been determined significant under the USDA criteria for implementing Executive Order 12044.

The committee met on December 11, 1979, to consider supply and market conditions and other factors affecting the need for regulation, and recommend quantities of navel oranges deemed advisable to be handled during the specified weeks. The committee reports the demand for navel oranges is improving over last week.

It is further found that it is impracticable and contrary to the public interest to give preliminary notice, engage in public rulemaking, and postpone the effective date until 30 days after publication in the **Federal Register** (5 U.S.C. 553), because of insufficient time between the date when information became available upon which this regulation and amendment are based and the effective date necessary to effectuate the declared policy of the act. Interested persons were given an opportunity to submit information and views on the regulation at an open meeting, and the amendment relieves restrictions on the handling of navel oranges. It is necessary to effectuate the declared purposes of the act to make these regulatory provisions effective as specified, and handlers have been apprised of such provisions and the effective time.

Further, in accordance with procedures in Executive Order 12044, the emergency nature of this regulation warrants publication without opportunity for further public comment. The regulation has not been classified significant under USDA criteria for implementing the Executive Order. An Impact Analysis is available from Malvin E. McGaha, Fruit Branch, Fruit and Vegetable Division, AMS, USDA, Washington, D.C. 20250, phone (202) 447-5975.

1. Section 907.770 is added as follows:

§ 907.770 Navel Orange Regulation 470.

Order. (a) The quantities of navel oranges grown in Arizona and California which may be handled during the period December 14, 1979, through December 20, 1979, are established as follows:

(1) District 1: 783,000 cartons;
(2) District 2: 38,073 cartons;
(3) District 3: 90,000 cartons;
(4) District 4: 27,000 cartons.

(b) As used in this section, "handle," "District 1," "District 2," "District 3," "District 4," and "carton" mean the same as defined in the marketing order.

2. Paragraphs (a)(1), (a)(3), and (a)(4) in § 907, Navel Orange Regulation 469 (44 FR 70116), are hereby amended to read:

§ 907.769 Navel Orange Regulation 469.

(a) * * *

(1) District 1: 1,558,000 cartons;
(2) District 2: Unlimited Movement;
(3) District 3: 140,000 cartons;
(4) District 4: 52,000 cartons.

* * * * * *

(Secs. 1-19, 48 Stat. 31, as amended; 7 U.S.C. 601-674.)

Dated: December 12, 1979.

D. S. Kuryloski,

Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc. 79-38481 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

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7 CFR Part 910

[Lemon Regulation 230]

Lemons Grown in California and Arizona; Limitation of Handling

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final rule.

SUMMARY: This regulation establishes the quantity of fresh California-Arizona lemons that may be shipped to market during the period December 16–22, 1979. Such action is needed to provide for orderly marketing of fresh lemons for this period due to the marketing situation confronting the lemon industry.

EFFECTIVE DATE: December 16, 1979.

FOR FURTHER INFORMATION CONTACT: Malvin E. McGaha, 202–447–5975.

SUPPLEMENTARY INFORMATION: *Findings.* This regulation is issued under the marketing agreement, as amended, and Order No. 910, as amended (7 CFR Part 910), regulating the handling of lemons grown in California and Arizona. The agreement and order are effective under the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601–674). The action is based upon the recommendations and information submitted by the Lemon Administrative Committee, and upon other information. It is hereby found that this action will tend to effectuate the declared policy of the Act.

The committee met on December 11, 1979, to consider supply and market conditions and other factors affecting the need for regulation and recommended a quantity of lemons deemed advisable to be handled during the specified week. The committee reports the demand for lemons is good.

It is further found that it is impractical and contrary to the public interest to give preliminary notice, engage in public rulemaking, and postpone the effective date until 30 days after publication in the **Federal Register** (5 U.S.C. 553), because of insufficient time between the date when information became available upon which this regulation is based and the effective date necessary to effectuate the declared policy of the act. Interested persons were given an opportunity to submit information and views on the regulation at an open meeting. It is necessary to effectuate the declared purposes of the act to make these regulatory provisions effective as specified, and handlers have been apprised of such provisions and the effective time.

Further, in accordance with procedures in Executive Order 12044, the emergency nature of this regulation warrants publication without opportunity for further public comment. The regulation has not been classified significant under USDA criteria for implementing the Executive Order. An Impact Analysis is available from Malvin E. McGaha, 202–447–5975.

Section 910.530 is added as follows:

§ 910.530 Lemon Regulation 230.

Order. (a) The quantity of lemons grown in California and Arizona which may be handled during the period December 16, 1979, through December 22, 1979, is established at 200,000 cartons.

(b) As used in this section, "handled" and "carton(s)" mean the same as defined in the marketing order.

(Secs. 1–19, 48 Stat. 31, as amended; 7 U.S.C. 601–674)

Dated: December 12, 1979.

D. S. Kuryloski,
Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc. 79-38550 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

Food Safety and Quality Service

7 CFR Part 2852

Processed Fruits, Vegetables, Processed Products Thereof, and Certain Other Processed Food Products; United States Standards for Grades of Maple Sirup [1]

AGENCY: Food Safety and Quality Service, USDA.

ACTION: Final rule.

SUMMARY: This rule will amend the voluntary grade standards for maple sirup to conform to the Food and Drug Administration's new Standards of Identity. This rule adopts departmental policy toward uniform, sequential grade nomenclature. The effect of this rule is to improve the standards.

EFFECTIVE DATE: January 14, 1980.

FOR FURTHER INFORMATION CONTACT: Thomas E. Crider, Processed Products Branch, Fruit and Vegetable Quality Division, Food Safety and Quality Service, U.S. Department of Agriculture, Washington, D.C. 20250, (202) 447–6248.

SUPPLEMENTARY INFORMATION: The current U.S. Standards for grades of Table Maple Sirup and for Grades of Maple Sirup for Reprocessing have been in effect since February 15, 1940.

Federal Food and Drug Standards of Identity for Maple Sirup, which increased the natural maple solids (Brix) requirements, made it necessary to revise the two U.S. standards for maple sirup.

Prior to proposing any revision to the two U.S. standards, letters were sent to the Secretaries of Agriculture of the major maple sirup producing States asking for their comments. The letters stated the policy toward uniform grade nomenclature and proposed dropping the term "U.S. Grade AA" from the maple sirup standards. The majority of the officials who responded favored this change in the U.S. standards.

A notice of proposed rulemaking was first published on October 28, 1975 (40 FR 50049) to:

(1) Combine the two existing maple sirup standards into a single standard;

(2) Designate table sirup and maple sirup for reprocessing as separate "Types";

(3) Change the grade names to "U.S. Grade A", "U.S. Grade B", "U.S. Grade C" and "Substandard"; and

(4) Update the lot acceptance procedure to conform with the "Regulations Governing Inspection and Certification of Processed Fruits and Vegetables, Processed Products Thereof, and Certain Other Processed Food Products."

Comments received to the first notice of proposed rulemaking took exception to color classification. They also indicated that standards for reprocessing were not desirable.

A second notice of proposed rulemaking was published on April 28, 1977 (42 FR 21752–21754) to:

(1) Classify Grade A maple sirup in light amber, medium amber and dark amber. This classification would correspond with an independent study conducted by USDA's Forest Service to determine consumers' preferences with respect to the color of maple sirup;

(2) Eliminate "Maple Sirup for Reprocessing" as a separate type; and

(3) Change the grade names to "U.S. Grade A", "U.S. Grade B", and "Substandard".

Two organizations of maple sirup producers cited an objection to the grade step designations of "A", "B", and "Substandard". A preference was shown for the grade step designations of "A", "C", and "Substandard".

Since the grade step designations of "A", "C", and "Substandard" are not in agreement with the Department's uniform grade designations, the exceptions, as noted, will not be considered for adoption into the standards.

[1] Compliance with the provisions of these standards shall not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or with applicable State laws and regulations.

Accordingly, 7 CFR 2852 is hereby revised as set forth below.

§§ 2852.5921–2852.5926 [Reserved]

1. Subpart—United States Standards for Grades of Maple Sirup for Reprocessing (7 CFR 2852) is revoked in its entirety and §§ 2852.5921 through 2852.5926 are reserved. The Table of Contents is amended to reflect this change.

2. Subpart—United States Standards for Grades of Table Maple Sirup (7 CFR 2852) is revised to read "Subpart—United States Standards for Grades of Maple Sirup"; and the sections thereunder are revised, and the Table of Contents is revised accordingly, to read as follows:

Subpart—United States Standards for Grades of Maple Sirup

Sec.

2852.5961 Product description.
2852.5962 Grades.
2852.5963 Recommended fill of containers.
2852.5964 Color.
2852.5965 Classification of requirements.
2852.5966 Explanation of terms.
2852.5967 Determining the grade of a lot.
2852.5968 [Reserved]

§ 2852.5961 Product description.

(a) *"Maple sirup"* means maple sirup represented as defined in the Standards of Identity for Maple Sirup (21 CFR 168.140) issued under the Federal Food, Drug, and Cosmetic Act. The solids content of the finished maple sirup shall be not less than 66 percent by weight (Brix).

(b) Federal inspection certificates shall limit "U.S. Grade B" maple sirup to a quality suitable for reprocessing only. "U.S. Grade B" maple sirup shall be considered unsuitable for consumer labeling.

§ 2852.5962 Grades.

(a) *"U.S. Grade A"* is the quality of maple sirup that:

(1) Has good color;

(2) Has good flavor and odor;

(3) Is practically free from defects; and

(4) Is practically clear.

(b) *"U.S. Grade B for Reprocessing"* is the quality of maple sirup that:

(1) Has fairly good color;

(2) Has fairly good flavor and odor;

(3) Is fairly free from defects;

(4) Is fairly clear; and

(5) Is suitably designated or labeled as a reprocessing grade to qualify for Federal grading, inspection, or certification. Reprocessing grade maple sirup shall not be packaged in consumer size containers.

(c) *"Substandard"* is the quality of maple sirup that fails to meet the requirements for U.S. Grade B for Reprocessing.

§ 2852.5963 Recommended fill of container.

The recommended fill of container is not incorporated in the grades of the product since fill of container, as such, is not a factor of quality for the purpose of these grades. It is recommended that each container be filled with sirup as full as practicable and that the product occupy not less than 90 percent of the volume of the container.

§ 2852.5964 Color.

(a) *General.* Color has reference to the color of maple sirup when examined by means of the USDA permanent glass color standards for maple sirup.

(b) *Availability of color standards.* The color standards referred to in this section are available only from the approved supplier under a license from the U.S. Department of Agriculture: Phoenix Precision Instrument Division, The Virtis Company, Inc., Route 208, Gardiner, NY 12525.

§ 2852.5965 Classification of requirements.

(a) *"A" classification.*—(1) *"Good color"* means that the sirup color is bright and typical of maple sirup prepared from sound, properly gathered sap; and, in addition, meets the following spectral requirements:

(i) *U.S. Grade A Light Amber* is as light, or lighter, in color than the USDA Light Amber Glass Color Standard.

(ii) *U.S. Grade A Medium Amber* is darker in color than Light Amber, but is no darker than the USDA Medium Amber Glass Color Standard.

(iii) *U.S. Grade A Dark Amber* is darker in color than Medium Amber, but is no darker than the USDA Dark Amber Glass Color Standard.

(2) The sirups shall have a good maple flavor characteristic of the color; shall be clean; practically clear; practically free from damage; and shall be free from serious damage.

(b) *"B" classification.*—(1) *"Fairly good color"* means that the sirup color is darker in color than the USDA Dark Amber Glass Color Standard, but is not off-color for any reason.

(2) The sirup has fairly good characteristic maple flavor; is fairly free from damage; is fairly clear; and is free from serious damage.

(c) *Substandard classification.* Maple sirup that fails to meet the requirements of paragraph (b) of this section shall not be graded above Substandard.

§ 2852.5966 Explanations of terms.

(a) *"Cloudiness"* means the presence, in suspension, of fine particles of mineral matter, such as malate of lime, "niter," "sugar sand," calcium malate, or other substances that detract from the clearness of the sirup.

(b) *"Clean"* means that the sirup shall be practically free from foreign material such as pieces of bark, soot, dust, or dirt.

(c) *"Damage"* means any defect that materially affects the appearance, edibility, or shipping quality of the sirup.

(d) *"Serious damage"* means any defect that seriously affects the edibility or market value of the sirup. Badly scorched sirup, buddy sirup, fermented sirup, or sirup that has any distasteful foreign flavor or disagreeable odor shall be considered as seriously damaged.

(e) *"Buddy flavor, buddiness"* is an unpleasant flavor characteristic of sirup made from sap collected from maple trees as they come out of dormancy.

(f) *"U.S. Department of Agriculture Color Standards"* means the official U.S. Department of Agriculture Permanent Glass Color Standards for Maple Sirup.

§ 2852.5967 Determining the grade of a lot.

The grade of a lot of maple sirup covered by these standards is determined by the procedures set forth in the Regulations Governing Inspection and Certification of Processed Fruits and Vegetables, Processed Products Thereof, and Certain Other Processed Food Products (7 CFR 2852.1 through 2852.83); *Provided,* That:

(a) When certifying the color of a sample that has been officially drawn and which represents a specific lot of maple sirup, the lot shall be considered as being of one color if the number of color deviants does not exceed the acceptance number in the appropriate sampling plan. Any lot of maple sirup in which the number of color deviants exceeds the acceptance number shall be designated as a lot of "mixed color."

(b) No deviants for "serious damage" shall be allowed in grades above Substandard.

§ 2852.5968 [Reserved]

(Secs. 203, 205; 60 Stat. 1087, as amended; 7 U.S.C. 1622, 1624)

Note.—This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Thomas E. Crider, Processed Products Branch, Fruit and Vegetable Quality Division, Food Safety and Quality Service, U.S. Department of Agriculture, Washington, DC 20250.

Done at Washington, D.C., on: December 6, 1979.

Donald L. Houston,

Administrator, Food Safety and Quality Service.

[FR Doc. 79-38096 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-DM-M

Animal and Plant Health Inspection Service

9 CFR Part 78

Brucellosis Areas

AGENCY: Animal and Plant Health Inspection Service, USDA.

ACTION: Final rule.

SUMMARY: These amendments add the counties of Cleveland and Searcy in Arkansas to the list of Modified Certified Brucellosis Areas and delete them from the list of Certified Brucellosis-Free Areas because it has been determined that these counties now qualify only as Modified Certified Brucellosis Areas. The effect of this action will provide for more restrictions on cattle and bison moved interstate from these areas. These amendments also add the counties of Cameron and Evangeline in Louisiana to the list of Modified Certified Brucellosis Areas and delete them from the list of Noncertified Areas because it has been determined that these counties now qualify as Modified Certified Brucellosis Areas. The effect of this action will provide for less restrictions on cattle and bison moved interstate from these areas.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT:
Dr. A. D. Robb, USDA, APHIS, VS, Room 805, 6505 Belcrest Road, Hyattsville, MD 20782, 301-436-8713.

SUPPLEMENTARY INFORMATION: A complete list of brucellosis areas was published in the **Federal Register** (44 FR 36373-36375) effective June 22, 1979. These amendments add the counties of Cleveland and Searcy in Arkansas to the list of Modified Certified Brucellosis Areas in § 78.21, because it has been determined that they now come within the definition of a Modified Certified Brucellosis Area and delete such counties from the list of Certified Brucellosis-Free Areas in § 78.20 because it has been determined that they now come within the definition of a Modified Certified Brucellosis Area contained in § 78.1(m) of the regulations. These amendments add the counties of Cameron and Evangeline in Louisiana to the list of Modified Certified Brucellosis Areas in § 78.21 and delete these counties from the list of Noncertified Areas in § 78.22 because it has been determined that they now qualify as Modified Certified Brucellosis Areas as defined in § 78.1(m) of the regulations. This list is updated monthly and reflects actions taken under criteria for designating areas according to brucellosis status.

Accordingly, Part 78, Title 9, Code of Federal Regulations, is hereby amended in the following respects:

§ 78.20 [Amended]

1. In § 78.20, paragraph (b) is amended by deleting: *Arkansas:* Cleveland, Searcy.

§ 78.21 [Amended]

2. In § 78.21 paragraph (b) is amended by adding: *Arkansas:* Cleveland, Searcy.

§ 78.22 [Amended]

3. In § 78.22, paragraph (b) is amended by deleting: *Louisiana:* Cameron, Evangeline.

(Secs. 4-7, 23 Stat. 32, as amended; secs. 1 and 2, 32 Stat. 791-792, as amended; sec. 3, 33 Stat. 1265, as amended; sec. 2, 65 Stat. 693; and secs. 3 and 11, 76 Stat. 130, 132; 21 U.S.C. 111-113, 114a-1, 115, 117, 120, 121, 125, 134b, 134f, 37 FR 28464, 28477; 38 FR 19141, 9 CFR 78.25.)

The amendment designating an area as a Modified Certified Brucellosis Area imposes restrictions presently not imposed on cattle and bison moved from that area in interstate commerce. The restrictions are necessary in order to prevent the spread of brucellosis from such area.

The amendment deleting areas as Noncertified Areas relieves restrictions presently imposed on cattle moved from the areas in interstate commerce.

The restrictions are no longer deemed necessary to prevent the spread of brucellosis from such areas and, therefore, the amendment should be made effective immediately in order to permit affected persons to move cattle interstate from such areas without unnecessary restrictions.

Therefore, pursuant to the administrative procedure provisions in 5 U.S.C. 553, it is found upon good cause that notice and other public procedure with respect to this final rule are impracticable and contrary to the public interest and good cause is found for making this final rule effective less than 30 days after publication of this document in the **Federal Register.**

Further, this final rule has not been designated as "significant," and is being published in accordance with the emergency procedures in Executive Order 12044 and Secretary's Memorandum 1955. It has been determined by Paul Becton, Director, National Brucellosis Eradication Program, APHIS, VS, USDA, that the emergency nature of this final rule warrants publication without opportunity for public comment and preparation of an impact analysis statement at this time.

This final rule will be scheduled for review under provisions of Executive Order 12044 and Secretary's Memorandum 1955.

Done at Washington, D.C., this 7th day of December 1979.

Pierre A. Chaloux, VMD,

Deputy Administrator Veterinary Services.

[FR Doc. 79-38299 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-34-M

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9 CFR Part 92

Importation of Certain Animals and Poultry and Certain Animal and Poultry Products; Inspection and Other Requirements for Certain Means of Conveyance and Shipping Containers Thereon; Harry S Truman Animal Import Center

AGENCY: Animal and Plant Health Inspection Service, USDA.

ACTION: Final rule.

SUMMARY: This document extends the specific date for receipt of applications for special permits to be drawn on a lottery basis for the allotment of quarantine space for the second group of cattle to be imported through the Harry S Truman Animal Import Center from January 11, 1980 to February 1, 1980, and extends the date for the second drawing for allocation of quarantine space for that importation from January 28, 1980, to February 15, 1980. This action is necessary to allow additional time for interested parties to apply for permits to be drawn for the second group of cattle to be imported through the Harry S Truman Animal Import Center. The intended effect of this action is to extend the time allowed for receipt of applications for special permits for the second group of cattle to be imported through the Harry S Truman Animal Import Center from January 11, 1980 to February 1, 1980, and to extend the date for the second drawing for allocation of quarantine space for that importation from January 28, 1980, to February 15, 1980.

EFFECTIVE DATE: December 11, 1979.

FOR FURTHER INFORMATION CONTACT:
Dr. D. E. Herrick, USDA, APHIS, VS, Federal Building, Room 815, Hyattsville, MD. 20782, 301-436-8170.

SUPPLEMENTARY INFORMATION: On November 2, 1979, there was published in the **Federal Register** (44 FR 53083) an amendment to 9 CFR Part 92 which established January 11, 1980, as the last specific date on which applications would be accepted for special permits to be drawn on a lottery basis for the allotment of quarantine space for the second group of cattle to be imported through the Harry S Truman Animal Import Center, and specified January 28, 1980, as the date for the drawing of permits for allocation of quarantine space at the facility for the second group of cattle to be imported.

Delays in construction of the facility and other unforeseen circumstances have delayed the date on which the first shipment of cattle will enter the Harry S Truman Animal Import Center. This has made it possible to accept applications for the second importation of cattle through the facility for an additional period of time. Therefore, the date specified as the last date for receipt of applications for the second importation of cattle is extended from January 11, 1980, to February 1, 1980, and the date specified for the second drawing for allocation of quarantine space at the facility is extended from January 28, 1980, to February 15, 1980.

Accordingly, Part 92, Title 9, Code of Federal Regulations, is amended in the following respect:

In § 92.41, paragraph (a)(1), the second sentence is amended to read:

§ 92.41 Requirements for the importation of animals into the United States through the Harry S Truman Animal Import Center.

(a) * * *

(1) * * * Each applicant shall complete an application for importing animals into this animal import center at least 15 days prior to the date of the drawing.[a] *Provided,* That for the second drawing on February 15, 1980, applications must be received by Veterinary Services on or before February 1, 1980, to be considered. * * *

* * * * *

(Sec. 2, 32 Stat. 792, as amended; sec. 1, 84 Stat. 202 (21 U.S.C. 111, and 135); 37 FR 28464, 28477; 38 FR 19141)

The amendment revises specified dates for receipt of applications for special permits and the drawing for allocation of quarantine space for cattle at the Harry S Truman Animal Import Center. It is in the public interest that the Department advise prospective importers of the revised dates as soon as possible in order that those affected may adjust their plans accordingly. The amendment is of an emergency nature and must be placed in effect immediately in order to serve the purpose intended.

Therefore, pursuant to the administrative procedure provisions in 5 U.S.C. 553, it is found upon good cause that notice and other public procedure with respect to this final rule are impracticable and contrary to the public interest and good cause is found for making this final rule effective less than 30 days after publication of this document in the **Federal Register.**

Further, this final rule has not been designated as "significant," and is being published in accordance with the emergency procedures in Executive Order 12044 and Secretary's Memorandum 1955. It has been determined by Dr. M. J. Tillery, Director, National Program Planning Staffs, Veterinary Services, Animal and Plant Health Inspection Service, that the emergency nature of this final rule warrants publication without opportunity for public comment and preparation of an impact analysis statement at this time.

This final rule will be scheduled for review under provisions of Executive Order 12044 and Secretary's Memorandum 1955.

Done at Washington, D.C., this 11th day of December 1979.

M. T. Goff,

Acting Deputy Administrator, Veterinary Services.

[FR Doc. 79-38395 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-34-M

[a] Application forms may be obtained upon request from the Deputy Administrator, Veterinary Services, Animal and Plant Health Inspection Service, U.S. Department of Agriculture, Hyattsville, MD 20782.

Agricultural Marketing Service

9 CFR Part 202

Revocation of Rules of Practice Applicable to Rate Proceedings

AGENCY: Packers and Stockyards, Agricultural Marketing Service, U.S. Department of Agriculture.

ACTION: Final rule.

SUMMARY: This action revokes the rules of practice governing proceedings under the Packers and Stockyards Act (9 CFR Part 202) which apply to rate proceedings. The rules of practice are revoked because of the Department's policy, announced in October 1978, to reduce the control of rates and charges at posted stockyards. If, however, in the future it becomes necessary to institute a rate proceeding, rules will be adopted at that time.

DATE: Effective December 14, 1979.

FOR FURTHER INFORMATION CONTACT:
Jack W. Brinckmeyer, Livestock Marketing Division, P&S, Agricultural Marketing Service, U.S. Department of Agriculture, Washington, D.C. 20250, (202) 447-4366.

SUPPLEMENTARY INFORMATION: In a notice published at 44 FR 50847, August 30, 1979, the Department announced that it was proposing to revoke the rules of practice applicable to rate proceedings under the Packers and Stockyards Act. The public was given 60 days to file written views and comments. No comments were filed in response to the notice. Accordingly, sections 202.1 through 202.38 inclusive and section 202.60 are revoked.

§ 202.1 through 202.38 [Revoked]

§ 202.60 [Revoked]

(See section 407, 42 Stat. 169, as amended, 72 Stat. 1750, 77 Stat. 79 and 90 Stat. 1252.3 (7 U.S.C. 228)).

This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Analysis has been prepared and is available from: Jack W. Brinckmeyer, Livestock Marketing Division, P&S, Agricultural Marketing Service, U.S. Department of Agriculture, Washington, D.C. 21250, (202) 447-4366.

Done this 10th day of December 1979.

Paschal O. Drake,

Acting Deputy Administrator, Packers and Stockyards.

[FR Doc. 79-38300 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

DEPARTMENT OF ENERGY

10 CFR Part 211

[Docket No. ERA-R-78-20]

Mandatory Petroleum Allocation Regulations; Amendments to Special Set-Aside Procedures for Middle Distillates

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Final rule.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby adopts the following amendments to the special set-aside procedures for middle distillates set forth in Special Rule No. 10 to Subpart A, Part 211. These amendments are intended to clarify the provisions in Special Rule No. 10

relating to the release of set-aside volumes, the appeals process relating to State set-aside orders, and the means by which an applicant for a set-aside order presents proof of need. The amendments also delete reference to a specific base date in 1979 for the purpose of determining eligibility of wholesale purchaser-resellers for assignments of set-aside volumes.

EFFECTIVE DATE: December 10, 1979.

FOR FURTHER INFORMATION CONTACT:

William Webb (Office of Public Information), Economic Regulatory Administration, Room B-110, 2000 M Street, NW., Washington, D.C. 20461, (202) 634-2170.
William Caldwell (Regulations & Emergency Planning), Economic Regulatory Administration, Room 7202, 2000 M Street, NW., Washington, D.C. 20461, (202) 254-3910.
Sue D. Sheridan (Office of General Counsel), Department of Energy, Room 6A-127, 1000 Independence Avenue, SW., Washington, D.C. 20585, (202) 252-6754.

SUPPLEMENTARY INFORMATION:

I. Background
II. Amendments Adopted
III. Procedural Requirements

I. Background

On May 31, 1979, we adopted Special Rule No. 10 to Subpart A, Part 211 (44 FR 32196, June 5, 1979) amending the Mandatory Petroleum Allocation Regulations which provided for the establishment of a special middle distillate set-aside program for those states electing to participate. The special set-aside procedures permit ultimate consumers of middle distillates who have made unsuccessful efforts to obtain supplies for an emergency or hardship to acquire that volume required to meet their certified requirements. The adoption of Special Rule No. 10 followed the issuance of two predecessor Special Rules to Subpart A, Numbers 6 and 7, which extended previous special middle distillate procedures for successive, limited time periods.[1]

After reviewing the comments submitted in response to our adoption of Special Rule No. 7, we concluded that it was necessary to continue the set-aside program in order to guarantee the availability of middle distillate supplies to meet emergency and hardship situations. We therefore adopted Special Rule No. 10, which extended the special middle distillate set-aside program indefinitely.

[1] Special Rule No. 6 (44 FR 3467, January 17, 1979) reinstated special middle distillate set-aside procedures for the period January 12 through March 31, 1979. Special Rule No. 7 (44 FR 18640, March 29, 1979) extended the special set-aside program through June 30, 1979.

This final rule is being adopted to ensure the smooth operation of the middle distillate set-aside program during the upcoming winter heating season by clarifying certain provisions of the Special Rule.

II. Amendments Adopted

Paragraph eight of Special Rule No. 10 sets forth the procedures which govern applications for assignments under the set-aside program. The rule provides that applications shall be made to the appropriate State Office in accordance with the procedures set forth in Subpart Q of Part 205.

In addition, paragraph eight states that an applicant is required within five days of its application for an assignment to submit to the State Office a written certification that the application was for a valid hardship or emergency situation. We are amending paragraph eight to clarify that this requirement does not apply to written applications. A written application, however, should contain such a justification at the time of filing. In the case of an oral application for assignment, the requirement remains that the applicant follow up its initial application within five days with a written certification that a valid hardship or emergency situation existed at the time of its application.

Paragraph thirteen of the Special Rule currently provides that State Offices may at any time of the month order the release of part or all of a prime supplier's set-aside volume through the prime supplier's normal distribution system in the State. We are amending this paragraph to make explicit the State Office's implicit authority under the existing provision to respond to localized hardship and emergency situations through release of set-aside volumes in specified areas of the State. Thus, the State Office may order prime suppliers to release all or part of their set-aside volumes through their normal distribution systems to regular customers in designated areas within the State.

Paragraph fourteen of the Special Rule sets forth the procedures by which a set-aside order may be appealed. The amendments we are adopting clarify the existing rule in two respects. The first amendment to paragraph fourteen changes the provision in the existing rule which specifies that appeals of orders issued by State Offices under the Special Rule are to be filed with the DOE Regional Office. The amendment provides that appeals are to be filed with the Regional Center of the Office of Hearings and Appeals. The second amendment to paragraph fourteen resolves an ambiguity regarding the appeals procedures by making it clear that appeals will be conducted in accordance with the procedures set forth in Subpart H, rather than Subpart R, of Part 205.

The final amendment concerns paragraph six (6) of Special Rule No. 10, which designates wholesale purchaser-consumers and end-users as eligible recipients of set-aside volumes in a hardship or emergency situation. Paragraph six also provides that a wholesale purchaser-reseller may apply for an assignment in order to meet hardship or emergency requirements of wholesale purchaser-consumers and end-users with whom the wholesale purchaser-reseller had a supplier/purchaser relationship on May 1, 1979. The amendment we are adopting deletes the reference to May 1, 1979, and instead requires only that the supplier and wholesale purchaser-consumer or end-user involved in an application for an assignment have a business relationship at the time the application is filed. This change is prompted in part by the recent withdrawal of certain suppliers from the heating oil business, which has imposed on their former customers the necessity of finding new suppliers. If we were to retain the May 1 date, wholesale purchaser-consumers and end-users who have changed suppliers since that date or who have lost their May 1 suppliers would be required to file applications for assignments on their own behalf.

III. Procedural Requirements

A. Section 404 of the DOE Act

Pursuant to the requirements of section 404(a) of the Department of Energy Act, we have referred this rule to the Federal Energy Regulatory Commission (FERC) for a determination whether the proposed rule would significantly affect any matter within the Commission's jurisdiction. Following an opportunity to review this rule, the FERC has declined to determine that it may significantly affect any of its functions.

B. Section 7 of the FEA Act

Under section 7(a) of the Federal Energy Administration Act of 1974 (15 U.S.C. 787 *et seq.*, Pub. L. 93-275 as amended), the requirements of which remain in effect under section 501(a) of the DOE Act, the delegate of the Secretary of Energy shall, before promulgating proposed rules, regulations, or policies affecting the quality of the environment, provide a period of not less than five working days during which the Administrator of the Environmental Protection Agency (EPA) may provide written comments concerning the impact of such rules, regulations, or policies on the quality of the environment.

A copy of the notice was sent to the EPA Administrator. The Administrator commented that he does not foresee these actions having an unfavorable impact on the quality of the environment as related to the duties and responsibilities of the EPA.

C. National Environmental Policy Act

It has been determined that this rule does not constitute a "major Federal action significantly affecting the quality of the human environment" within the meaning of the National Environmental Policy Act (NEPA), 42 U.S.C. 4321 *et seq.*, and therefore an environmental assessment or an environmental impact statement is not required by NEPA and the applicable DOE regulations for compliance with NEPA. These amendments are procedural and interpretative in nature, and otherwise do not alter the existing rule so as to affect the environment. Therefore, an environmental assessment or an environmental impact statement is not required by NEPA or the applicable DOE regulations for compliance with NEPA.

D. Section 501 of the DOE Act

Under section 501(c) of the DOE Act we are not bound by the prior notice and hearing requirements of subsections (b)-(d) with respect to a rule upon our determination that no substantial issue of fact or law exists and that the rule is unlikely to have a substantial impact on the Nation's economy or large numbers of individuals or businesses. Where no such substantial issue or impact is foreseen, the proposed rule may be promulgated in accordance with section 553 of Title 5, U.S.C.

For the reasons discussed below, we believe that none of the amendments raise substantial issues of law or fact. Specifically, the amendment to paragraph six of Special Rule No. 10 does not expand the class of firms which ultimately receive relief. The amendments to paragraphs eight and thirteen are procedural, and the amendment to paragraph fourteen is interpretive. In addition, none of the amendments are likely to have a substantial impact on large numbers of individuals or businesses. Therefore, the rule shall be promulgated in accordance with section 553 of Title 5 U.S.C., pursuant to section 501(c) of the DOE Act.

E. Section 553 of the Administrative Procedure Act

Section 553(b) of the Administrative Procedure Act requires that general notice of a proposed rulemaking be published in the **Federal Register**, except in regard to interpretative or procedural rules, or when the agency for good cause finds that notice and public procedure thereon is impracticable, unnecessary, or contrary to the public interest.

The amendment to paragraph thirteen of Special Rule No. 10 is interpretative in nature, in that it makes explicit the existing authority of State Offices to order the release of part or all of a prime supplier's set-aside volume through the prime supplier's normal distribution system in part or all of the State. The amendments to paragraphs eight and fourteen are rules of agency procedure, since they amend existing DOE regulations which govern applications for set-aside orders and appeals from such orders.

Moreover, in view of the urgent need for Special Rule No. 10 to function smoothly during the winter heating season, it would be contrary to the public interest to delay the implementation of these amendments. We therefore find that the advance notice and public comment procedures of section 553(b) are unnecessary.

Subsections (d) (2) and (3) of section 553 provide that the required publication of a rule be made at least 30 days before the effective date of the rule, unless it is either an interpretative rule or the agency otherwise finds for good cause. The amendment to paragraph thirteen is interpretative. With regard to the entire rule, we find that good cause exists under section 553(d)(3) for its exemption from the advance publication requirement, in view of the urgent need to implement this rule during the current heating season in order to be able to respond effectively to any localized shortages that may develop.

F. Executive Order 12044

Executive Order 12044 (43 FR 12661, March 23, 1978) requires the agencies subject to it to publish all proposed "significant" regulations for public comment for a minimum of 60 days. Section 2(e) of the Executive Order directs the agencies to establish criteria to identify which regulations are significant. DOE's implementing procedures are contained in DOE Order 2030 (44 FR 1032, January 3, 1979). The DOE procedures define "insignificant" regulations as those which are not expected to affect important policy concerns or to engage much public interest.

These amendments to Special Rule No. 10 are procedural and interpretative in nature, and otherwise do not alter the essential features of the existing rule. Hence, they do not affect important policy concerns and are not expected to engage much public interest. We find, therefore, that the proposed amendments are not "significant" under the definition set forth in DOE's implementing procedures, and do not invoke the 60 day advance public comment requirement of Executive Order 12044.

(Emergency Petroleum Allocation Act of 1973, 15 U.S.C. 751 *et seq.*, Pub. L. 93-159, as amended, Pub. L. 93-511, Pub. L. 94-99, Pub. L. 94-133, Pub. L. 94-163, and Pub. L. 94-385; Federal Energy Administration Act of 1974, 15 U.S.C. 787 *et seq.*, Pub. L. 93-275, as amended, Pub. L. 94-332, Pub. L. 94-385, Pub. L. 95-70, and Pub. L. 95-91; Energy Policy and Conservation Act, 42 U.S.C. 6201 *et seq.*, Pub. L. 94-163, as amended, Pub. L. 94-385, and Pub. L. 95-70; Department of Energy Organization Act, 42 U.S.C. 7101 *et seq.*, Pub. L. 95-91; E.O. 11790, 39 FR 23185; E.O. 12009, 42 FR 46267)

In consideration of the foregoing, Part 211 of Chapter II of Title 10 of the Code of Federal Regulations is amended as set forth below.

Issued in Washington, D.C., December 10, 1979.

Douglas G. Robinson,
Acting Administrator, Economic Regulatory Administration.

1. Special Rule No. 10 to Subpart A of Part 211 is amended in paragraphs 6, 8, 13 and 14 to read as follows:

Special Rule No. 10

Special Set-Aside Procedures for Middle Distillates

* * * * *

6. *Eligible recipients of set-aside volumes.* The set-aside provided for by this Special Rule shall be utilized by participating State Offices in issuing authorizations to applicants for designated middle distillates to be supplied by a prime supplier to meet hardship and emergency requirements of wholesale purchaser-consumers and end-users. To facilitate relief of the hardship and emergency requirements of wholesale purchaser-consumers and end-users, the State Office may also direct that a wholesale purchaser-reseller be supplied from the set-aside to enable the wholesale purchaser-reseller to supply the emergency and hardship needs of wholesale purchaser-consumers and end-users with whom the wholesale purchaser-reseller had a prior supplier/purchaser relationship.

* * * * *

8. *Application for assignment.* All applications for assignment under this Special Rule shall be made to the State Office having jurisdiction over the State in which the applicant conducts his business operations, in accordance with the

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procedures set forth in Sections 205.211–218 of Subpart Q of Part 205 of this chapter with respect to the State set-aside, except as otherwise provided in this Special Rule. Within five (5) days of making an oral application for assignment of middle distillates under these special procedures, an applicant shall submit to the State Office a written certification that such application was for a valid hardship or emergency situation.

* * * * *

13. *Release of set-aside.* At any time during the month, the State Office may order the release of part or all of a prime supplier's set-aside volume through the prime supplier's normal distribution system in part or all of the State.

14. *Orders issued by State Offices.* Authorizing documents and other orders issued pursuant to this Special Rule shall be in writing and effective immediately upon presentation to the prime supplier's designated State representative. Authorizing documents shall represent a call on the prime supplier's set-aside volumes for the month of issuance irrespective of the fact that delivery cannot be made until the following month. Any order issued by a State Office pursuant to this Special Rule may be appealed to the Office of Hearings and Appeals, in accordance with the procedures set forth in Subpart H of Part 205 of this chapter.[1] Such appeals shall be filed with the Office of Hearings and Appeals Regional Center having jurisdiction over the State involved. Any appeal from such an order shall be filed within ten (10) days of service of the order from which the appeal is taken. If a State Office fails to take action on an application within ten (10) days of filing, the applicant may treat the application as having been denied in all respects and may appeal therefrom as provided in this section.

[FR Doc. 79-38436 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

FEDERAL HOME LOAN BANK BOARD

12 CFR Parts 545 and 563

[No. 79-615]

Eurodollar Deposits

Dated: December 5, 1979.

AGENCY: Federal Home Loan Bank Board.

ACTION: Final rules.

SUMMARY: These amendments authorize Federal savings and loan associations, and state-chartered insured institutions where authorized by state law, to give security for Eurodollar deposits. The rules also govern unsecured Eurodollar deposits. Eurodollar deposits are deposits by persons who are not United States nationals or residents of the United States of America, its territories and possessions, including any corporation or other entity organized under the laws thereof or any political subdivision thereof. The giving of security for such deposits will assist those associations which cannot feasibly market unsecured instruments to take advantage of international financing sources.

EFFECTIVE DATE: December 5, 1979.

FOR FURTHER INFORMATION CONTACT: Walter M. Strick, Attorney, Federal Home Loan Bank Board, 1700 G Street, NW, Washington, DC 20552. (202–377–6412).

SUPPLEMENTARY INFORMATION: The Federal Home Loan Bank Board, by Resolution No. 79–401, dated July 25, 1979, proposed to amend Part 545 of the rules and regulations of the Federal Savings and Loan System and Part 563 of the rules and regulations for Insurance of Accounts (12 CFR Parts 545 and 563) to govern Eurodollar deposits.

Under the proposed regulations, savings and loan associations could issue certificates of deposit in denominations of $100,000 or more to a foreign purchaser, who, in turn, could issue to non-United States purchasers only, through intermediaries, interests or participations in smaller denominations. The minimum participation interest level would be $10,000, and participations would mirror the characteristics of the certificates of deposit with respect to maturity, interest rate, and the nature of the secured interest.

The proposed regulations provided rules related to the nature of the collateral securing the certificates, and also set forth procedures for limiting the beneficial ownership of the certificates to non-resident aliens.

The proposed regulations provided that, as savings accounts, the certificates of deposit would be insured but only to the extent of $40,000. Each participation would not be a separately insurable account. As insured accounts, the Eurodollar deposits would be subject to the payment of insurance premiums, and also to the limitation that only 5 percent of the total of all savings accounts in an institution may be solicited by use of any broker or brokers.

The proposed regulations demonstrated the Board's continuing commitment to assist the savings and loan industry develop new capital markets to meet its capital needs. By permitting the securing of Eurodollar deposits, the proposal would permit the industry to reach new capital market at a cost-competitive rate and thereby raise new funds for housing.

Thirty responses were received on the proposal. Twenty-seven of the responses recommended adoption of the proposed regulation, nineteen of which recommended modifications. Three respondents opposed adoption of the proposal. The Board has determined to adopt final rules on this subject, with changes from the proposed amendments as described below.

Discussion of Major Comments

Two respondents suggested that the regulations specifically apply to unsecured as well as secured Eurodollar deposits; the proposed regulations only applied to secured Eurodollar deposits. The Board agrees that the policy considerations with repect to secured Eurodollar deposits apply as wellto unsecured Eurodollar deposits, and the final regulations have incorporated this suggestion.

Two respondents suggested that sales to underwriters or depositaries incorporated in the United States be expressly permitted, provided such underwriters or depositaries agree the resell participation interests only to non-resident alien purchasers. The Board is concerned that such change could more readily result in the obtaining of participation interests by United States persons and for that reson has rejected this suggestion.

Two respondents have suggested that § 545.24 be amended to make it clear that it applies to state-chartered share associations as well as deposit associations. Since share associations cannot guarantee a fixed rate of return, they cannot issue marketable certificates of deposit, and consequently they cannot issue Eurodollar certificates. However, an association with both share and deposit accounts would be eligible to issue Eurodollar certificates provided they are issued as deposit certificates.

Three respondents have suggested that Eurodollar deposits not be subject to the brokerage regulations, since they would not involve deposits that are highly sensitive to interest rate differentials, and consequently to sudden withdrawal. After careful consideration the Board has determined that the minimum maturity for Eurodollar certificates issued under new § 545.24–4 shall be five years. The Board believes this limitation will assure that the new authority provided by these amendments will be used to facilitate the acquisition of stable, long-term funds at reasonable cost. Thus, because Eurodollar certificates will not represent volatile short-term funds, the Board has determined to exclude Eurodollar deposits from the limitation in the brokerage regulations restricting brokered funds to five percent of savings. In a companion resolution, the Board proposes to exempt all certificates of deposit having a term of five years or more from such limitation.

Three respondents have suggested that the regulations permit Eurodollar certificates to contain "gross-up" and redemption provisions. In conventional Eurodollar offerings, because of the risk of a change in the applicable tax treaty provisions, European and other non-U.S. investors require contractual assurance that they will continue to receive the same "net" (i.e., after withholding tax, if any) interest payments throughout the term of a security as is promised upon its issuance. This assurance takes the form of a covenant by the issuer to pay such "additional interest" as is necessary to assure the promised "net" interest payment. This covenant, which amounts to an assumption by the issuer, rather than the investor, of the risk of a change in the applicable tax laws could, of course, impose a substantial expense on an issuer were the highly infrequent situation to occur in which withholding was increased on already outstanding obligations. To avoid this problem, a typical Eurodollar offering provides that the issuer may, at its option, redeem the issue rather than incur the cost of additional interest. However, the present regulations pertaining to marketable certificates of deposit require that the return on the certificates shall be "fixed when the certificate is issued" and that a marketable certificate "shall not, by its terms or otherwise * * * be subject to redemption or repurchase, or acceleration by the association * * *." Therefore, in order for Eurodollar deposits to be viable investment instruments in the Eurodollar market, the final regulations authorize Federal associations to include "gross-up" and redemption provisions in Eurodollar certificates.

The final regulations also provide for redemption financed through the issuance of other certificates with a lower rate of interest. The Board believes that redemption under such circumstances would permit management flexibility while assuring that an institution's cost of funds would not increase during the original term of the certificate.

One respondent was concerned that the "gross-up" provision would destroy the negotiability of the certificate since it would not be for a sum certain. The Board has determined that no useful purpose is served by the negotiability requirement and accordingly has deleted it from the final regulations.

In a companion resolution, the Board proposes to delete the negotiability requirement and permit redemption through issuance of a certificate with a lower rate of interest, with regard to marketable certificates of deposit in general, not only Eurodollar certificates of deposit.

One respondent suggested that the regulations permit the payment of interest at the certificate rate beyond the maturity date in the event of default, notwithstanding the provision in § 545.1–4(e)(4) that no interest shall accrue after the fixed term of the certificate. It was also suggested that acceleration be permitted in the event of non-payment of interest or principal. The Board understands that such provisions are customary in both the Eurodollar and domestic markets, and therefore the final regulations authorize such provisions. In a companion resolution the Board proposes to authorize such provisions for marketable certificates of deposits in general.

One respondent proposed that the regulations provide that each holder of a participation interest be separately insured up to $40,000. The Board is of the view that such a change would be consistent with the legislative intent of section 401(b) of the National Housing Act, as amended, and accordingly has rejected this suggestion. The final regulations specifically provide that holders of participations are not separately insured.

One respondent recommend that the regulations make it clear that an association accepting Eurodollar deposits could have contractual relations with the underwriter and the depository without violating the Board's pooling policy. In the Board's view, the Eurodollar market is separate and distinct from the domestic market, so that it would not be appropriate to exclude Eurodollar deposits from the pooling policy, and the regulation clearly states this exception.

Several respondents expressed concern that the securing of Eurodollar deposits would increase the insurance risk and the risk to creditors. The Board clearly prefers unsecured to secured deposits, and in this regard is encouraged by the success of some larger associations in obtaining funds through the issuance of unsecured commercial paper. Although some associations may be able to successfully market Eurodollar certificates on an unsecured basis, it is doubtful, in view of the unfamiliarity of most international investors with the United States savings and loan industry, whether smaller associations could do so. Thus, the authority to collateralize Eurodollar deposits is necessary in order for the smaller associations not to be at a competitive disadvantage in the Eurodollar market. Moreover, the final regulations are actually more restrictive than the current regulations in that they specifically limit total collateral for secured deposits plus outside borrowings to 20 percent of an institution's total assets. Present regulations provide no such limit.

Two respondents objected to allowing foreign investors a higher rate of return than United States persons on accounts under $100,000. Rate control limits generally do not apply to deposits in foreign offices of U.S. financial institutions. The Board also notes that institutions generally enter the Eurodollar market only when rates are lower in that market than domestic rates. Therefore the Board perceives no significant advantage for foreign investors with respect to rate of return.

Six respondents recommended that the minimum denomination of participations be reduced from $10,000 to $5,000 or lower, in order to make them more attractive to smaller investors.

After full consideration of the respondent's comments and the nature of the Eurodollar market, the Board has determined that at the present time, and until the Board has acquired more experience with this type of certificate, it would not be appropriate to reduce the minimum denomination of the participations.

In order that the Board may study and evaluate the use and effectiveness of the authority provided by these amendments, the final regulations require that information necessary for those purposes be submitted to the Board upon issue of any certificate under authority of § 545.24–4.

Finally, in view of the general 20-percent collateralization limitation included in the final amendments, the Board has decided that the specific requirements included in the proposal regarding establishment and maintenance of security are unnecessary and that they should be deleted.

Because advantageous conditions in the Eurodollar market tend to occur intermittantly and because the Board believes that a delay of the effective date of these amendments could unnecessarily prevent institutions from taking advantage of favorable conditions that may occur during the period of delay, the Board believes that publication of the amendments for the period of time specified in 12 CFR 508.14

[1] Notwithstanding § 205.100(a)(1) of Subpart H under Part 205 of this chapter, appeals of State set-aside orders issued pursuant to Special Rule No. 10 shall be in accordance with Subpart H.

and 5 U.S.C. 553(d) prior to the effective date of the amendments is unnecessary and contrary to the public interest.

Accordingly, the Federal Home Loan Bank hereby amends §§ 545.1–4 and 545.24 (12 CFR 545.1–4 and 545.24) of the Rules and Regulations for the Federal Savings and Loan System and §§ 563.3–3, 563.7–2, and 563.25 (12 CFR 563.3–3, 563.7–2 and 563.25) of the Rules and Regulations for Insurance of Accounts, and adds new § 545.24–4 (12 CFR 545.24–4) to the Rules and Regulations for the Federal Savings and Loan System, as set forth below.

PART 545—OPERATIONS

1. Amend paragraphs (b), (d), (e)(4), and (f)(1) of § 545.1–4, to read as follows:

§ 545.1–4 Marketable certificates of deposit.

* * * * *

(b) *Return.* The return shall conform to Part 526 of this chapter. The return shall be in the form of interest and/or discount, and fixed when the certificate is issued, except that a Eurodollar certificate issued in conformity with § 545.24–4 of this Part may provide that in the event any tax assessment or governmental charge is imposed on the holder of a certificate or participation therein, which is required to be withheld on or with respect to any payment of principal of or interest on such Eurodollar certificate, the issuing association will pay as additional interest such amounts as are necessary in order that every net payment after deduction of any such tax, assessment or governmental charge will be not less than the amounts otherwise specified as payable under the certificate.

* * * * *

(d) *Limitations.* (1) The certificate shall not have a face amount (inclusive of discount, whether or not arrived at partly or wholly by add-on calculation) of less than $100,000 ($50,000 if the association's home office is in Puerto Rico).

(2) The certificate shall not, by its terms or otherwise, (i) permit the certificate amount to be increased by payment on or transfer to the certificate; (ii) permit principal to be withdrawn or transferred from the certificate or the deposit it evidences, before the certificate expires; (iii) permit extension or renewal of the certificate; (iv) be subject to repurchase; (v) be subject to redemption, except that a Eurodollar certificate issued in conformity with § 545.24–4, that includes a provision as described in paragraph (b) of this section, may provide for the association at its option, to redeem the certificate in lieu of payment of an increased rate of interest, and such certificate may provide for redemption financed by the issuance of another such certificate at a lower rate of interest; or (vi) be subject to acceleration, except that a Eurodollar certificate may provide for acceleration in the event of nonpayment of principal or interest on the certificate.

(3) Compounding of interest or other return on the certificate does not violate paragraphs (d)(2)(i) and (ii) of this section, and a certificate silent as to extension or renewal does not violate paragraphs (d)(2)(v) and (vi) of this section.

(e) *Required provisions.* The certificate shall include in its provisions the following:

* * * * *

(4) A statement that no interest shall accrue on or be credited to the certificate for any time after the fixed term expires, except that a Eurodollar certificate in conformity with § 545.24–4 of this Part may provide that interest shall accrue on or be credited to such certificate after expiration of the fixed term if the issuing association defaults in its obligation to pay the principal amount of such certificate at the expiration of its term.

* * * * *

(f) *Form.* (1) The certificate shall be written in a form that (i) would be a negotiable instrument (other than a draft or check) under Article 3 of the 1972 Official Text of the Uniform Commerical Code ("the Uniform Commerical Code") or (ii) would be so except that it is not "payable to order or to bearer" as specified in section 3–104 of Article 3 but is issued in "registered form" (a form which is registered form under section 8–102 of the Uniform Commercial Code or would be such except that any part of interest thereon is not in such registered form). The certificate shall not be incorporated in a passbook. If it is offered or described as a negotiable instrument, it must be such under the law of the State or other jurisdiction in which the home office of the Federal association is located. However, a Eurodollar certificate issued in conformity with section 545.24–4 of this Part need not be in negotiable form as otherwise required by this paragraph.

* * * * *

2. Amend the last sentence of § 545.24 by inserting immediately after the word "writing" the following: "and § 545.24–4".

3. Add new § 545.24–4 as follows:

§ 545.24–4 Eurodollar deposits.

(a) *Definitions.* As used in this section:

(1) "Eurodollar certificate" means a certificate of deposit, denominated in United States dollars, evidencing a Eurodollar deposit;

(2) "Eurodollar deposit" means a deposit by a person who is not a United States person;

(3) "United States person" means any national or resident of the United States of America, its territories and possessions, including any corporation, trust, estate, or other entity organized under the laws thereof or of any political subdivision thereof; and

(4) "Participation" means an interest or participation in a Eurodollar certificate.

(b) *Scope of section.* The provisions of this section shall be applicable to both secured and unsecured Eurodollar certificates.

(c) *General.* (1) Unless otherwise provided, Eurodollar deposit issuance shall follow the rules set forth in § 545.1–4.

(2) A Federal association which is a deposit association within the meaning of that term as used in § 545.1–2 may give security for Eurodollar deposits.

(3) For purposes of Part 564 of this chapter, Eurodollar certificates shall be insured up to $40,000; participations therein shall not be separtely insured.

(d) *Limitations.* (1) A Federal association issuing a Eurodollar certificate may secure it under this section only if the total of assets securing all deposits and borrowings from sources other than the Federal Home Loan Banks and state-chartered central reserve institutions does not exceed 20% of the association's total assets at the time of certificate issuance.

(2) Eurodollar certificates issued under this section shall have an original maturity of five years or more.

(3) The minimum denomincation of all participations in a Eurodollar certificate shall be $10,000.

(4) The collateral pool securing a Eurodollar certificate shall be subject to sale or other disposition by or on behalf of the secured Eurodollar certificate holder only after the Federal Savings and Loan Insurance Corporation has received prompt written notification of any default on the Eurodollar certificate and, before a sale or other disposition of all or any portion of the collateral, has had 30 days after written notice of a proposed sale or other disposition to exercise a right to purchase the collateral at the price to be paid at the sale or to acquire the collateral at the value to be assigned to it in such other disposition.

(5) In exercising authority under this section, a Federal association shall require in writing an undertaking from purchasers of a Eurodollar certificate or participations therein who are dealers or underwriters, to the effect that each dealer or underwriter will not knowingly purchase or allot any Eurodollar certificates or participations therein for the account of United States persons and that it has not knowingly offered or sold, and agrees that it will not knowingly offer, sell or deliver, any Eurodollar certificates or participations therein purchased by it or alloted to it in the United States of America or to any United States person. Each dealer or underwriter shall further agree that it will not, as principal or agent, knowingly make any offers, sales or deliveries of any Eurodollar certificates or participations therein in the United States of America or to any United States person or to others for offering, resale or delivery, directly or indirectly, in the United States or to any United States person.

(6) Each underwriter shall also agree to deliver to each purchaser of one or more Eurodollar certificates or participations therein a written confirmation stating substantially the following:

Eurodollar certificate(s) are issued pursuant to a regulation of the Federal Home Loan Bank Board, an agency of the United States government, which requires that a Eurodollar certificate or any interest or participation therein be sold only to purchasers who are not U.S. persons. Accordingly, if you are not a dealer, you agree that you will not offer, sell or deliver such Eurodollar certificate(s) or participations therein directly or indirectly in the United States of America or its territories or possessions or to nationals or residents thereof, including any corporation, trust, estate or other entity organized under the laws thereof or of any political subdivision thereof. If you are a dealer, you represent that you have not offered, sold or delivered, and agree that you will not offer, sell or deliver, any such Eurodollar certificate(s) or participations therein directly or indirectly in the United States of America or its territories or possessions or to nationals or residents thereof and you are not purchasing any such Eurodollar certificate(s) or participations therein for the account of any such nationals or residents. Further, if you are a dealer, you agree that you will include on any confirmation delivered to purchasers of such Eurodollar certificate(s) or participations therein (a) if such purchaser is not a dealer, the first two sentences of this paragraph, and (b) if such purchaser is a dealer, this entire paragraph.

(7) Upon completion of the distribution of any Eurodollar certificates or participations therein, the lead or managing underwriter shall deliver to the issuing association a certification as to the sale stating substantially the following:

This is to certify that to the knowledge of the undersigned no beneficial owner or owners of the Eurodollar certificate(s) or participations therein is a United States person; and, further, that the undersigned has not knowingly sold or offered for sale and will not sell or offer for sale, the Eurodollar certificate(s) or participations therein to any United States person.

(8) To the extent beneficial ownership of a Eurodollar certificate or participation therein is acquired by a United States person, the return payable thereon will be the maximum permissible rate of return payable on a regular account from the time ownership is acquired by the United States person. Each underwriter, dealer, trustee and agent, if any, shall undertake in writing, prior to issuance of any Eurodollar certificates or participations therein, that it will promptly inform the issuing association of any such beneficial ownership which comes to its attention. The issuing association shall take the necessary and appropriate action to insure that the interest paid on a Eurodollar certificate, or that portion of a Eurodollar certificate attributable to a participation, beneficially owned by a United States person, is at the maximum permissible rate of return payable on a regular account of the issuing association.

(9) Upon issue of any certificate under this section, the issuing association shall provide to the Board such information as the Board's Office of General Counsel and Office of Economic Research deem necessary for the Board to effectively monitor the use of the authority provided by this section.

(e) *Requirements as to Eurodollar certificates.* Each Eurodollar certificate and participation, including a temporary Eurodollar certificate or participation, shall bear on its face, in boldface type, a legend substantially in the following form:

This Eurodollar certificate has been issued pursuant to a regulation of the Federal Home Loan Bank Board, an agency of the United States government, which requires that the Eurodollar certificate be sold, and interest at the amount stated hereon paid, only to purchasers who are not United States nationals or residents, and may not be directly or indirectly offered or sold in the United States of America, its territories or possessions, or to persons who are nationals or residents thereof.

(f) *Requirements as to coupons.* Each coupon attached to a Eurodollar certificate or participation shall bear a legend substantially in the following form:

To the extent beneficial ownership of the Eurodollar certificate or the participation therein to which this coupon appertains is acquired by a United States national or resident of the United States of America or its territories and possessions, including any corporation or other entity organized under the laws thereof or any political subdivision thereof, the return payable thereon will be the maximum permissible rate of return payable on a regular account of the Association.

(g) *Relationship to other provisions.* (1) Notwithstanding the provisions of §§ 545.24 and 545.1–2, a Federal association may give security for a Eurodollar certificate which is issued in conformity with this section.

(2) Notwithstanding the provisions of § 531.11 of this chapter, a Federal association may engage in pooling or participate in pooling funds, or soliciting or promoting pooled accounts, in connection with the issuance of a Eurodollar certificate in conformity with this section.

PART 563—OPERATIONS

4. Amend § 563.3–3 by revising paragraphs (b), (d)(2), (e)(4), and (f)(1), and by amending the last sentence of paragraph (g) and inserting thereafter an additional sentence, to read as follows:

§ 563.3–3 Marketable fixed-rate, fixed term accounts.

* * * * *

(b) *Return.* The return shall conform to Part 526 of this chapter. The return shall be in the form of interest and/or discount, and fixed when the certificate is issued, except that a Eurodollar certificate issued in conformity with § 545.24–4 of this chapter may provide that in the event any tax assessment or governmental charge is imposed on the holder of a certificate or participation therein, which is required to be withheld on or with respect to any payment of principal of or interest on such Eurodollar certificate, the issuing association will pay as additional interest such amounts as are necessary in order that every net payment after deduction of any such tax, assessment or governmental charge will be not less than the amounts otherwise specified as payable under the certificate.

* * * * *

(d) *Limitations.* In acting under the approval granted by this section, an insured institution shall not issue any certificate:

* * * * *

(2) Which by its terms or otherwise, is subject (i) to repurchase; (ii) to redemption, except that a Eurodollar certificate issued in conformity with § 545.24–4 of this chapter that includes a

provision as described in paragraph (b) of this section may provide for the association, at its option, to redeem the certificate in lieu of payment of an increased rate of interest, and such certificate may provide for redemption financed by the issuance of another such certificate at a lower rate of interest; or (vi) be subject to acceleration, except that a Eurodollar certificate may provide for acceleration in the event of nonpayment of principal or interest on the certificate.

* * * * *

(e) *Required provisions.* The certificate shall include in its provisions the following:

* * * * *

(4) A statement that no interest shall accrue on or be credited to the certificate for any time after the fixed term expires, except that a Eurodollar certificate issued in conformity with § 545.24–4 of this chapter may provide that interest shall accrue on or be credited to such certificate after expiration of the fixed term if the issuing association defaults in its obligation to pay the principal amount of such certificate at the expiration of its term.

* * * * *

(f) *Form.* (1) The certificate shall be written in a form that (i) would be a negotiable instrument (other than a draft or check) under Article 3 of the 1972 Official Text of the Uniform Commercial Code ("the Uniform Commercial Code") or (ii) would be so except that it is not "payable to order or to bearer" as specified in section 3–104 of Article 3 but is issued in "registered form" (a form which is registered form under section 8–102 of the Uniform Commercial Code or would be such except that any part of interest thereon is not in such registered form). The certificate shall not be incorporated in a passbook. If it is offered or described as a negotiable instrument, it must be such under the law of the State or other jurisdiction in which the home office of the Federal association is located. However, a Eurodollar certificate issued in conformity with § 545.24–4 of this chapter need not be in negotiable form as otherwise required by this paragraph.

* * * * *

(g) *Ancillary provisions.* * * * No savings account shall be accepted pursuant to the approval granted by this section and no certificate shall be issued pursuant to such approval, except as provided in the last sentence of this paragraph, if such acceptance or such issuance is accompanied by the giving by the insured institution of security for such savings account or such certificate or by any contract or agreement for the giving of any such security by such institution. An insured institution may accept an account which complies, as if it were a Federal association, with the requirements of § 545.24–4 of this chapter.

* * * * *

§ 563.7–2 [Amended]

5. Amend § 563.7–2(a) by inserting, after the phrase "or with § 563.24" the phrase "or § 545.24–4".

* * * * *

6. Revise paragraph (c) of § 563.25 to read as follows:

§ 563.25 Sales commissions.

* * * * *

(c) *Use of brokers.*—(1) *General provisions.* The provisions of this section shall not prohibit the payment by an insured institution, within the limitations of this paragraph (c), of sales commissions to brokers, but no insured institution shall accept the opening or any increase of any account as a result of services of any broker or brokers or pay any sales commission pursuant to the permission granted by this paragraph (c) at any time when the outstanding balances of all accounts in such institution which were opened or increased as a result of services of any broker or brokers, excluding Eurodollar certificates issued in conformity with § 545.24–4 aggregate a total in excess of 5 percent of the total of all accounts in such institution at the close of the next preceding December 31 or the next preceding June 30, whichever is later.

* * * * *

(Sec. 5, 48 Stat. 132, as amended; 12 U.S.C. 1464. Secs 402, 403, 407, 48 Stat. 1256, 1257, 1260, as amended; 12 U.S.C. 1725, 1726, 1730. Reorg. Plan No. 3 of 1947, 12 FR 7981, 3 CFR, 1943–48 Comp., p. 1071)

By the Federal Home Loan Bank Board.

J. J. Finn,

Secretary.

[FR Doc. 79–38344 Filed 12–13–79; 8:45 am]

BILLING CODE 6720–01–M

SMALL BUSINESS ADMINISTRATION

13 CFR Part 121

[Rev. 13, Amdt. 34]

Establishing a New Size Standard for Retail Heating Oil Dealers for Purposes of SBA Financial Assistance

AGENCY: Small Business Administration.

ACTION: Final rule.

SUMMARY: This rule changes the size standard for retail heating oil dealers from $6 million in annual sales to 100 employees. It is necessary because at any given dollar size standard, the proportion of firms in the industry that are classified as small is constantly shrinking due to increases in costs which result in a higher dollar volume of sales without an increase in the real scale of operations.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Robert N. Ray, Jr. (202) 653–6373.

SUPPLEMENTARY INFORMATION: On August 10, 1979 (44 FR 47039), the SBA published a final rule which raised the small business size standard from $2 million to $6 million for retail heating oil dealers (SIC 5983). Since that time, however, declines in the supply of oil from the Middle East appear imminent and therefore the industry faces the likelihood of increased prices for its products. Thus, in a very short time period, the new size standard will require upward revision. This suggests that a dollar size standard is too volatile to meet the needs of the fuel oil industry.

In order to appraise the situation in the fuel oil industry, the SBA has had representives from its Size Standards Division attend task force meetings of the oil industry in the Northeast, Middle Atlantic, and Midwest Regions. From these meetings, the following perceptions relating to the fuel oil industry have evolved:

(1) That the industry faces immediate cash-flow problems relating to seasonal demand and the relatively high inventory levels which must be maintained. Dislocations in the industry will be exacerbated in future months due to the availability and higher price of private credit.

(2) That the industry faces substantial hardship due to the vertical pattern of concentration within the oil supply chain. Dealers, for example, generally provide a product which is highly competitive with a single dominant price within any particular region. However, the majority of dealers have contractual arrangements whereby they receive their supply of fuel oil from a single refiner. Thus, when a refiner's price of fuel oil rises, the retail firm is unable to pass along its higher costs in the form of higher prices. This tends to depress profit margins for those dealers with relatively high costs.

(3) That a size standard based on dollar volume of sales is less preferable to one based on real economic activity, such as gallons of fuel oil or numbers of workers. Two factors adversely impact on dollar volume as a size standard. The first is that when costs in a particular industry rise, prices have to rise to keep pace and some firms will then be placed in a large size category in spite of no change being present in their scale of operations. The second factor is that when broad based inflation is present, dealers have to raise prices to maintain a constant real level of profits. Again, firms will at times be placed in a large category without any change in their scale of operations. Thus, factors both general to the economy as a whole (such as inflation) and those specific to the fuel oil industry (such as foreign related supply shortfalls) imply a change to a new size standard which is more closely related to the real scale of operations within the industry.

One promising solution is to convert the present $6 million size standard to a comparable size standard based on number of employees. This would require an estimate of the number of workers employed by the typical firm with $6 million in annual sales.

Data provided to the SBA through a special survey provide estimates of total sales and total numbers of employees in the Retail Fuel Oil Industry of *$2.3 Billion* and *27,000* employees respectively. This is the equivalent of $86,000 in annual sales for each employee in the industry. Dividing this figure into the present $6 million size standard provides a conversion to 70 employees which, when rounded upward, results in a size standard of 100 employees. The SBA believes that such a size standard would provide a constant reference level within this highly volatile industry and would thus stabilize over time the proportion of firms within the industry which are considered small. Due to the immediate need which is present in the industry, these regulations are not issued for proposed rulemaking because such delay would be contrary to the public interest. Interested persons, however, are invited to submit comments regarding these regulations. Material thus submitted will be appraised and acted upon in the same manner as if this document were a proposal. Accordingly, pursuant to authority contained in Section 5(b)(6) of the Small Business Act, as amended, 15 U.S.C. 634, Schedule D of Part 121, Chapter I of Title 13, Code of Federal Regulations is amended by changing Major Group 59 to read as follows:

PART 121—SMALL BUSINESS SIZE STANDARDS

Schedule D—Annual Receipts Size Standards for Concerns Primarily Engaged in Retailing

* * * * *

Major Group 59—Miscellaneous Retail

5961	Mail Order Houses	7.5.
5983	Fuel Oil Dealers	100 employees.

* * * * *

Dated: December 7,1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79–38435 Filed 12–13–79; 8:45 am]

BILLING CODE 8025–01–M

SECURITIES AND EXCHANGE COMMISSION

17 CFR Part 240

[Release No. 34–16409]

Technical Amendments to Proxy Rules

AGENCY: Securities and Exchange Commission.

ACTION: Final rules.

SUMMARY: This release further amends the proxy regulations, Regulation 14A and 14C and Schedules 14A and 14C, by substituting the word "issuer" for the word "management" to acknowledge the fact that it is the board of directors, and not management, which solicits proxies. Technical amendments negating previous changes are also announced in order to make Rule 14a–3 and Rule 14c–3 consistent in their use of the term "management."

EFFECTIVE DATE: December 13, 1979.

FOR FURTHER INFORMATION CONTACT: Amy L. Goodman (202) 272–2597, G. Michael Stakias (202) 272–2589, or Gregory H. Mathews (202) 272–2644, Division of Corporation Finance, Securities and Exchange Commission, Washington, D.C. 20549.

SUPPLEMENTARY INFORMATION: Since these amendments are technical in nature and do not make any changes in the regulations and schedules that have not been previously announced in Securities Exchange Act Release No. 16104 (August 13, 1979), 44 FR 48938, and Securities Exchange Act Release 16357 (November 21, 1979), notice of proposed rulemaking is unnecessary under the Administrative Procedure Act [5 U.S.C. 552]. Accordingly, Part 240 of Chapter II of Title 17 of the Code of Federal Regulations is amended as follows:

(1) In § 240.14a–3 paragraphs (b)(1) and (2) are amended by deleting the word "issuer" wherever it appears and inserting the word "management" in its place.[1]

(2) In § 240.14a–3 paragraph (b)(4) Note 1 [2] paragraph (5), and the Note of paragraph (6) are amended by deleting the words " the issuer" wherever they appear and inserting the word "management" in their place.[3]

(3) In § 240.14a–3 paragraph (b)(9) is amended by deleting the words "the issuer" and inserting the word "management" in their place to read "In the discretion of management . . ." [4]

(4) In § 240.14a–3 paragraphs (b)(10) and (11) are amended by deleting the words "the issuer" wherever they appear and inserting the word "management" in their place.[5]

(5) Section 240.14a–3 is amended by reinserting the words "managements of" in the Note to paragraph (c).[6]

(6) In § 240.14a–101 Item 3 paragraph (a) is amended by deleting the words "management of the" wherever they appear.[7]

(7) In § 240.14a–101 Item 6 is amended in the initial paragraph by deleting the word "management" and inserting the word "the issuer" in its place.[8]

(8) Section 240.14b–1 paragraph (a) is amended by deleting the words "whose management is".

(9) In § 240.14c–2 paragraph (a) is amended by deleting the words "management of the".

By the Commission.

George A. Fitzsimmons,

Secretary.

December 6, 1979.

[FR Doc. 79–38419 Filed 12–13–79; 8:45 am]

BILLING CODE 8010–01–M

[1] See Securities Exchange Act Release No. 16357 (November 21, 1979), 44 FR 68456 (November 29, 1979), paragraph 2. This amendment returns these paragraphs to their original form.

[2] Id., paragraph 3. This amendment, which returns this paragraph to its original form, was incorrectly cited as Note 2.

[3] Id., paragraph 3. This amendment returns this paragraph and Note to its original form.

[4] Id., paragraph 4.

[5] Id., paragraph 5.

[6] Id., paragraph 6.

[7] Id., paragraph 29.

[8] Id., paragraph 30. Item 6(b)(7) and its Note were not intended to be amended by this paragraph 30.

WATER RESOURCES COUNCIL

18 CFR Part 701

Procedures for Revising Principles and Standards Manual of Procedures

AGENCY: U.S. Water Resources Council.

ACTION: Final rule.

SUMMARY: This rule establishes procedures for revising rules and regulations promulgated by the Water Resources Council for the Principles and Standards Manual of Procedures. This action is needed to provide for an orderly and timely revision process.

EFFECTIVE DATE: January 14, 1980.

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FOR FURTHER INFORMATION CONTACT:
Lewis D. Walker, U.S. Water Resources Council, 2120 L Street, NW, Washington, DC 20037 (202/254–6453).

SUPPLEMENTAL INFORMATION: At its May 9, 1979, meeting, the Water Resources Council directed that its operating procedures (18 CFR Part 701) be amended to include procedures for Council Members to revise rules and regulations promulgated by the Council for the Principles and Standards Manual of Procedures. The final rule in this announcement was adopted by the Water Resources Council at its October 25, 1979 meeting.

Accordingly, the Water Resources Council amends its operating procedures as follows:

(1) The authority citation for Part 701 reads as follows:

Authority: Sec. 402, Pub. L. 89–80; 79 Stat. 244, as amended (42 U.S.C. 1962–1962d–5).

(2) Section 701.60 is added to read as follows:

§ 701.60 Procedures for revision of rules and regulations.

Revisions proposed by the Water Resources Council Members to the Principles and Standards Manual of Procedures promulgated as rules and regulations by the Water Resources Council are to be submitted in writing by one or more Members of the Water Resources Council to the Director, Water Resources Council, to be handled as an action item in accordance with § 701.53. Proposed revisions adopted by the Council in accordance with § 701.53 will be published in the **Federal Register** as proposed, interim, or final changes. Proposed or interim changes shall be subject to a minimum 60-day public comment period; after the comment period, the Water Resources Council will publish notice that the revision is final as written or as changed to reflect comment or is revoked. Final changes will not be subject to a public comment period following publication in the **Federal Register** and will become effective when published or at a specified date.

Dated: November 29, 1979.

Leo M. Eisel,

Director.

[FR Doc. 79-38432 Filed 12-13-79; 8:45 am]

BILLING CODE 6410-01-M

DEPARTMENT OF LABOR

Employment and Training Administration

20 CFR Part 676

Comprehensive Employment and Training Act: Regulations Concerning Self-Insured Workers' Compensation

AGENCY: Employment and Training Administration, Labor.

ACTION: Final rule.

SUMMARY: This document revises the regulation at 20 CFR 676.27(a)(1) published on April 3, 1979, at 44 FR 20017, which requires that under the Comprehensive Employment and Training Act (CETA) where workers' compensation coverage of similarly employed, non-CETA employees is provided through a self-insurance system, coverage of any CETA participants shall also be provided through that system. The purpose of this document is to delete that requirement from the regulations in order to insure consistency with the Federal Cost Principles.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT:
Mr. Robert Anderson, Administrator, Office of Comprehensive Employment Development, Employment and Training Administration, U.S. Department of Labor, 601 D Street, N.W. Washington, D.C. 20213, Telephone (202) 376–6254.

SUPPLEMENTARY INFORMATION: Proposed Rules for Programs under Titles I, II, VI, and VII of CETA were published at 20 CFR Parts 675–679 on January 19, 1979. Comments were invited to be considered for final rulemaking at that time. After considering these comments, the CETA regulations were published as final on April 3, 1979. The Department of Labor has subsequently received comments regarding the provision on self-insured workers' compensation stating that the regulation is contrary to the Federal Cost Principles set forth in Federal Management Circular (FMC)74–4, Attachment B. Therefore, the provision which states "where coverage of similarly employed, non-CETA employees is provided through a self-insurance system, coverage of any CETA participants shall also be provided through that system" is being dropped. In addition, language is being added to 20 CFR § 676.27(a)(1) specifying that CETA prime sponsors which continued to provide coverage of CETA participants under separate policies or contracts after April 1, 1979, may use CETA funds for such coverage. Furthermore, costs incurred in reliance on the provision being deleted shall be considered allowable under the appropriate CETA grant for the period of the provisions effective prior to its deletion.

Since this change is in response to comments on the self-insurance provision, relaxes a prior restriction and is intended to insure consistency with the Federal Cost Principles, the Department finds that it is in the public interest to publish the revised regulation in final form effective upon publication. The Department is therefore waiving the regulations at 29 CFR § 2.7.

Accordingly, § 676.27(a)(1) of Chapter V of Title 20, Code of Federal Regulations, is revised to read as follows:

§ 676.27 Benefits and working conditions for participants.

(a) *General.* (1)(i) Each participant in OJT, PSE, or work experience shall be assured of workers' compensation including medical, accident, and income maintenance insurance at the same level and to the same extent as others similarly employed who are covered by a workers' compensation statute or system. (Sec. 121(d)(5)).

(ii) When originally published in the **Federal Register** on April 3, 1979 (effective April 1, 1979) 20 CFR § 676.27(a)(1) required that CETA participants be covered under a self-insured workers compensation system where similarly employed, non-CETA employees were covered under such a system. This requirement was subsequently deleted. CETA prime sponsors which provided workers compensation coverage for CETA participants under separate policies or contracts, rather than under a self-insurance system, between April 1, 1979, and the deletion of the self-insurance requirement may use CETA funds for such coverage.

* * * * *

Signed at Washington, D.C. the 10th day of December, 1979.

Ray Marshall,

Secretary of Labor.

[FR Doc. 79-38417 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-30-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

21 CFR Chapter I

[DOCKET NO. 76P–0129]

Administrative Practices and Procedures; Reimbursement for Participation

AGENCY: Food and Drug Administration.

ACTION: Effective Date of Final Rule, Notice of Acceptance of Applications, Availability of Reimbursement in Ongoing Proceedings, and Maximum Allowable Rates of Reimbursement.

SUMMARY: This notice informs interested persons that the Food and Drug Administation (FDA) has received notification from the Office of Management and Budget (OMB) that the reporting and recordkeeping requirements contained in its final rule on reimbursing public participants in agency proceedings comply with the Federal Reports Act of 1942. The final rule therefore became effective October 25, 1979, and FDA will, in accordance with the final rule, accept applications for reimbursement for participation in certain administrative proceedings of the FDA. This notice also specifies ongoing formal evidentiary hearings and proceedings before Public Boards of Inquiry for which interested persons may submit applications for reimbursement.

Furthermore, this notice sets forth the maximum rates of reimbursement allowable for particular expenditures.

DATES: Effective October 25, 1979. In proceedings where only participants may apply, applications shall be submitted to FDA by December 31, 1979; in proceedings where participants and others may apply, by January 8, 1980.

FOR FURTHER INFORMATION CONTACT:
Ronald Wylie, Office of Consumer Affairs (HF–7), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–2932.

SUPPLEMENTARY INFORMATION: In the **Federal Register** of October 12, 1979 (44 FR 59174), FDA issued a final rule establishing a pilot program for providing reimbursement to applicants in certain administrative proceedings of the FDA. That document explained that the reporting and recordkeeping requirements contained in the final rule had been submitted for approval by the OMB in accordance with the Federal Reports Act of 1942 and that as soon as OMB approval was obtained FDA would publish a notice in the **Federal Register** stating that applications for reimbursement would be accepted.

FDA received OMB approval on October 25, 1979, for a period of 9 months, during which FDA will evaluate its experience with the reporting and recordkeeping requirements in order to assess whether any modifications in these requirements are warranted. Therefore, the final rule providing for reimbursement of participants in certain administrative proceedings became effective October 25, 1979. For those future proceedings in which applications for reimbursement may be filed, a notice of availability of reimbursement funds will be published in the **Federal Register** as part of the notice of hearing or notice of opportunity for hearing. Applications complying with § 10.210 (21 CFR 10.210) will be accepted for those proceedings.

The final rule also stated that FDA would publish a **Federal Register** notice alerting participants to the availability of reimbursement in those ongoing proceedings in which the agency would consider applications for reimbursement. Accordingly, FDA has concluded that reimbursement shall be available in the following ongoing proceedings:

1. 76N–0239 Dexamyl Spansule Capsules and Tablets. A notice of hearing was published in the **Federal Register** of September 14, 1979 (44 FR 53574).

2. 75F–0355 Aspartame (Public Board of Inquiry). A notice of hearing was published in the **Federal Register** of June 1, 1979 (44 FR 31716).

3. 78N–0124 Depo-Provera (Public Board of Inquiry). A notice of hearing was published in the **Federal Register** of July 27, 1979 (44 FR 44274).

The agency has received a request for reimbursement from a participant in the proceeding before a Public Board of Inquiry concerning the approval of the food additive petition for aspartame. That proceeding is far along and extending an invitation to the general public to apply for reimbursement for participation in the hearing could well unjustifiably delay the proceeding. Therefore, in the aspartame proceeding, the agency has decided to limit applications to present participants. A participant who wishes to request reimbursement shall submit an application to FDA by December 31, 1979.

Because the proceedings are in the early stages in the following two matters, participants and other interested persons may submit applications by January 8, 1980.

1. 76N–0239 Dexamyl Spansule Capsules and Tablets.

2. 78N–0124 Depo-Provera (Public Board of Inquiry).

This notice should not be construed as a waiver of any of the requirements of Parts 12 and 13 (21 CFR Parts 12 and 13), including those dealing with appearance and participation. Persons other than existing participants in the Dexamyl and Depo-Provera proceedings are required to comply specifically with all requirements for late participation including the requirements of § 12.45(f) (21 CFR 12.45(f)). That section provides that, upon a showing of good cause, the presiding officer may permit a person to file a late written notice of participation after expiration of the time period for the filing of such notices.

Applications are required to comply with § 10.210 of the final rule. Application forms are not yet available from the agency; applicants may submit the required information in whatever format they wish. When application forms become available, the agency will publish a notice of that fact in the **Federal Register.**

Applicants shall submit four copies of the application to the office of the Hearing Clerk (HFA–305), Food and Drug Administration, Department of Health, Education, and Welfare, Rm. 4–65, 5600 Fishers Lane, Rockville, MD 20857, under § 10.20 (21 CFR 10.20). The outside envelope of each application shall include the statement "Application for Reimbursement" and the docket number of the proceeding in which the applicant desires to apply for reimbursement.

In the **Federal Register** of April 17, 1979 (44 FR 23044), FDA published its proposed regulation for a pilot reimbursement program and stated that guidelines listing the maximum rates of reimbursement allowable for particular expenditures would be published should the pilot reimbursement program be established. In accordance with that commitment, the agency has established the following guidelines.

Attorney and Other Professional Rates

Years related experience	Related GS grade	Base salary plus 8.5 pct benefits	Hourly rate [1]
0–2	11–10	$29,072	$17
2–4	12–10	34,839	20
4–6	13–10	41,432	24
6–8	14–10	48,962	28
Over 8	15–10	[2]54,372	31

[1] All personal whose reimbursement is based on hourly rates must divide their actual annual salary by 1,750 hours. The actual cost up to the maximum allowable rate may be billed.

[2] This figure represents the maximum GS salary allowed by Congress and is subject to change.

These maximum rates of reimbursement reflect the salaries

received by government employees for services similar to those that will be provided by applicants under the reimbursement program. In order for the maximum rates of reimbursement to most accurately reflect government salaries, the agency has added 8.5 percent to each rate of reimbursement. This percentage represents the dollar value of benefits, such as pension and health insurance, provided by the government to Federal employees. It is important to note that the agency will not make direct payments to applicants for fringe benefits, such as an applicant's health insurance or life insurance. (See 21 CFR 10.250(a)(1).) The inclusion of the 8.5 percent in setting the ceiling is not an attempt to pay applicants for benefits, but rather an attempt to set the ceiling at a level that most accurately reflects the salaries paid to Federal employees.

Secretarial Rates—Actual hourly rate not to exceed $6.00 per hour.

Expert Witness Preparation Time—Actual hourly rate not to exceed $16.00 per hour.

Expert Witness Testimony Time—$128.00 per day.

Travel—Reimbursement is limited to Government rates. Commercial transportation is required to be coach class, and auto mileage is reimbursed at a rate of 18.5 cents per mile, not to exceed coach class air fares. The per diem rate is the average cost of lodging plus $16.00 not to exceed $35.00, unless travel is performed in a designated high-rate geographical area where expenses are those actually incurred, not to exceed $50.00 per day. Washington, DC, is a designated high-rate area (a list of other designated high-rate areas may be obtained from the Office of Consumer Affairs whose address is given elsewhere in this notice). Subsistence includes lodging and meals. A subsistance claim must be accompanied by lodging receipts. When conducting business in Washington, DC, and other high-rate areas, all meals must be listed separately. For assistance, call Elizabeth Levitt, Division of Financial Management (HFA–120), 301–443–1768.

Dated: December 10, 1979.

Jere E. Goyan,

Commissioner of Food and Drugs.

[FR Doc. 79–38286 Filed 12–11–79; 11:31 am]

BILLING CODE 4110–03–M

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21 CFR Part 520

Animal Drugs; Levamisole Hydrochloride for Use in Drinking Water

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The agency amends the animal drug regulations to reflect approval of a supplemental new animal drug application (NADA) filed for Cyanamid Agricultural de Puerto Rico, Inc. The supplement provides for the safe and effective use of a new bottle size of levamisole hydrochloride containing 9.075 grams of soluble powder for use in swine drinking water.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Charles E. Haines, Bureau of Veterinary Medicine (HFV–138), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3410.

SUPPLEMENTARY INFORMATION: Cyanamid Agricultural de Puerto Rico, Inc., Manati, PR 00701, is the sponsor of a supplemental NADA (45–513) filed by the American Cyanamid Co. in its behalf. This supplement provides for the safe and effective use of a 9.075-gram dose of levamisole hydrochloride soluble powder to prepare 250 milliliters (ml) of concentrate solution. The concentrate is diluted 10 ml per gallon for swine drinking water used for treating large roundworm, nodular worm, lungworm, intestinal threadworm, and swine kidney worm infections. This dose is in addition to the currently approved 18.15-gram dose, which is used to prepare 500 ml of concentrate and also diluted 10 ml per gallon for swine drinking water for treating the same infections. The regulations are amended to include use of the 9.075-gram product. In addition, the anthelmintic warning statement as required by § 500.25 (21 CFR 500.25) is added.

Under the proposed Bureau of Veterinary Medicine supplemental approval policy (see the **Federal Register** of December 23, 1977 (42 FR 64367)), this is a Category II approval. Approval of this application does not change use of the product. Thus, it poses no increased human risk from exposure to residues of the new animal drug and does not require reevaluation of the safety and effectiveness data in the parent application.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))), under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), part 520 is amended in § 520.1242a by revising paragraph (f)(3) (i) and (iii), to read as follows:

§ 520.1242a Levamisole hydrochloride drench and drinking water.

* * * * *

(f) * * *

(3) *Swine*—(i) *Amount.* 9.075 or 18.15 grams per bottle.

* * * * *

(iii) *Limitations.* Dissolve in water to provide 9.075 grams per 250 milliliters or 18.15 grams per 500 milliliters. Add 10 milliliters (2 teaspoons) of this concentrate solution to each gallon of drinking water. Allow 1 gallon of medicated drinking water for each 100 pounds of body weight of pigs to be treated. No other source of water should be offered. After pigs have consumed medicated water, resume use of regular water. Pigs maintained under conditions of constant exposure to worms may require retreatment within 4 to 5 weeks after the first treatment. Consult your veterinarian before administering to sick swine. Consult your veterinarian for assistance in the diagnosis, treatment, and control of parasitism. Do not administer within 72 hours of slaughter for food.

Effective date. December 14, 1979.

[Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)).]

Dated: December 6, 1979.

Terence Harvey,

Acting Director, Bureau of Veterinary Medicine.

[FR Doc. 79–38292 Filed 12–13–79; 8:45 am]

BILLING CODE 4110–03–M

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21 CFR Part 520

Oral Dosage Form New Animal Drugs Not Subject to Certification; Diethylcarbamazine Citrate Chewable Tablets

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The animal drug regulations are amended to reflect approval of a supplemental new animal drug application (NADA) providing for use of an additional size anthelmintic tablet for the prevention of heartworm disease and as an aid in the treatment of ascarid infections in dogs. The supplement was filed by Norden Laboratories, Inc.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Bob G. Griffith, Bureau of Veterinary Medicine (HFV–112), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3430.

SUPPLEMENTARY INFORMATION: Norden Laboratories, Inc., Lincoln, NE 68501, filed a supplemental NADA (104–493) providing for use of 120 milligram (mg) diethylcarbamazine citrate chewable tablets in dogs for the prevention of infections of *Dirofilaria immitis* (heartworm disease) and as an aid in the treatment of ascarid infections *(Toxocara canis* and *Toxascaris leonina)* in addition to the currently approved use of 60 and 180 mg tablets for these purposes. The regulations are amended to reflect approval of this supplement.

Under the proposed Bureau of Veterinary Medicine's supplemental approval policy published in the **Federal Register** of December 23, 1977 (42 FR 64367), this is a Category II approval. Approval of this supplement provides for use of larger size tablets to be used at the same dosage (mg per kilogram (kg)) as in the existing approval. Accordingly, approval of this supplement does not require reevaluation of the safety and effectiveness data in the parent application.

In accordance with the provisions of Part 20 (21 CFR Part 20) promulgated under the Freedom of Information Act (5 U.S.C. 552) and the freedom of information regulations in § 514.11(e)(2)(ii) of the animal drug regulations (21 CFR 514.11(e)(2)(ii)), a summary of the safety and effectiveness data and information supporting approval of this application is available for public examination at the office of the Hearing Clerk (HFA–305), Rm. 4–65, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, from 9 a.m. to 4 p.m., Monday through Friday.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))), and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), § 520.622c is amended by revising paragraph (b)(2) to read as follows:

§ 520.622c Diethylcarbamazine citrate chewable tablets.

* * * * *

(b) *Specifications.* * * *

(2) For 011519: 60, 120, or 180 milligrams of the drug per tablet.

* * * * *

Effective date. This regulation is effective December 14, 1979.

(Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)))

Dated: December 5, 1979.

Terence Harvey,

Acting Director, Bureau of Veterinary Medicine.

[FR Doc. 79–38070 Filed 12–13–79; 8:45 am]

BILLING CODE 4110–03–M

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21 CFR Part 529

Certain Other Dosage Form New Animal Drugs Not Subject to Certification; Change of Sponsor

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The animal drug regulations are amended to reflect the change of sponsor for nifurpirinol capsules from Abbott Laboratories to Zoecon Industries, Inc. A supplemental new animal drug application (NADA) filed on behalf of Zoecon Industries, Inc., provides for this change.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Bob G. Griffith, Bureau of Veterinary Medicine (HFV–112), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3430.

SUPPLEMENTARY INFORMATION: Abbott Laboratories filed a supplement to NADA 99–568 providing for a change of sponsor to Zoecon Industries, Inc., 12200 Denton Dr., Dallas TX 75234. The regulations are amended to reflect the change.

This action, the change of sponsor of an NADA, does not involve changes in manufacturing facilities, equipment, procedures, or personnel. Under the proposed Bureau of Veterinary Medicine's supplemental approval policy (December 23, 1977, 42 FR 64367), this is a Category I approval. Accordingly, approval of this action did not require a reevaluation of the safety and effectiveness data in the parent application.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))) and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), § 529.1526 *Nifurpirinol capsules* is amended in paragraph (b) by deleting sponsor number "043731" and inserting in its place "011536."

Effective date. This regulation is effective December 14, 1979.

(Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)))

Dated: December 6, 1979.

Terence Harvey,

Acting Director, Bureau of Veterinary Medicine.

[FR Doc. 79–38069 Filed 12–13–79; 8:45 am]

BILLING CODE 4110–03–M

DEPARTMENT OF LABOR

Office of the Secretary

29 CFR Part 40

Farm Labor Contractor Registration

AGENCY: Wage and Hour Division, Labor.

ACTION: Final rule.

SUMMARY: The processing of Farm Labor Contractor Registration Act hearings is being revised in the interest of more expeditious enforcement. As a result our regulations are being amended to provide that the Associate Solicitor for General Legal Services or the Regional Solicitors/Regional Attorneys may refer matters for hearing directly to the Chief Administrative Law Judge.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Paul E. Myerson, Counsel for Employment Standards, General Legal Services, Office of the Solicitor, Room N2458, New Department of Labor Building, 200 Constitution Avenue, N.W., Washington, D.C. 20210, telephone No. 202–523–8244.

SUPPLEMENTARY INFORMATION: The Department of Labor is revising its procedures for processing FLCRA hearings. Under present procedures requests for hearings are submitted to the Administrator who refers the request to the Associate Solicitor for General Legal Services or to the appropriate Regional Solicitor/Regional Attorney for review. This part of the procedure is unchanged. Presently, upon completion of the review the Associate Solicitor for General Legal Services or the Regional Solicitor/Regional Attorney returns the request to the Administrator who refers it to the Chief Administrative Law Judge. The change in procedure made by this document authorizes the Associate Solicitor for General Legal Services or the Regional Solicitor/Regional Attorney to forward the request directly to the Chief Administrative Law Judge, thus reducing paperwork and expediting the hearing.

To accomplish this § 40.210 is amended to authorize referral of the request for hearing to the Chief Administrative Law Judge by the Associate Solicitor for General Legal Services or by the Regional Solicitor/Regional Attorney in the Regional Office in which the matter arose. Section 40.202 is amended to provide a revised numbering system which will expedite the processing of such matters. Section 40.2(i) is revised to include a definition for the Associate Solicitor for General

Legal Services and the Regional Solicitors/Regional Attorneys.

As these are procedural changes, this document is effective upon publication. This is not a significant regulation within the meaning of Executive Order 12044.

Accordingly, Title 29 CFR Part 40 is amended as follows:

1. Section 40.2(i) is revised to read as follows:

§ 40.2 Definitions.

* * * * *

(i)(1) "Solicitor of Labor" means the Solicitor, United States Department of Labor, and includes attorneys designated by the Solicitor to perform functions of the Solicitor under this part.

(2) "Associate Solicitor for General Legal Services" means the Associate Solicitor who among other duties, is in charge of litigation for FLCRA, Office of the Solicitor, U.S. Department of Labor, Washington, D.C. 20210.

(3) "Regional Solicitors/Regional Attorneys" means attorneys in charge of the various regional offices of the Office of the Solicitor.

* * * * *

2. The introductory clause in § 40.202(a) is revised to read as follows:

§ 40.202 Designation of record.

(a) Each administrative proceeding instituted under the Act and these regulations shall be identified of record by a number which is preceded by a number identifying the year, followed by the letters FLCRA, and by one or more of the following four designations:

* * * * *

3. Section 40.210(a) is amended by revising the first sentence to read as follows:

§ 40.210 Referral to Administrative Law Judge.

(a) Upon timely receipt of a request for a hearing filed pursuant to and in accordance with §§ 40.113, 40.123, 40.133, or 40.152, the Associate Solicitor for General Legal Services, or the Regional Solicitors/Regional Attorneys, by Order of Reference, shall promptly refer an authenticated copy of the notice of administrative determination complained of, and the original or a duplicate copy of the request for hearing signed by the person requesting such hearing or by the authorized representative of such person, to the Chief Administrative Law Judge, for a final determination in an administrative proceeding as provided herein. * * *

* * * * *

(Sec. 14, 78 Stat. 924 and Sec. 17, 88 Stat. 1659, 7 U.S.C. 2053).

Signed at Washington, D.C. on this 3rd day of December 1979.

Donald Elisburg,

Assistant Secretary for Employment Standards.

[FR Doc. 79-38286 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-27-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Parts 51, 52, 53, and 58

Air Programs; Ambient Air Quality Monitoring, Data Reporting, and Surveillance Provisions

In the Federal Register, appearing at page 65066, in the issue for Friday, November 9, 1979, the corrections to 40 CFR Parts 51, 52, 53 and 58, which were published in the Federal Register DOC 79-14488, at page 27558, in the issue of Thursday, May 10, 1979, are hereby rescinded.

The following corrections are to be made to 40 CFR Parts 51, 52, 53 and 58, published in the Federal Register, DOC 79-14438, appearing at page 27558, in the issue for Thursday, May 10, 1979.

Corrections:

1 - On page 27576:

(a) In the next to the last line of the first column, change "(d_j)" to "($\overline{d}_j$)".

(b) In the third line of paragraph 4.1.1(b) change the "(D)" to read "($\overline{D}$)".

(c) Revise the two equations at the end of paragraph 4.1.1(b) to read:

$$\text{Upper 95 Percent Probability Limit} = \overline{D} + 1.96S_a \quad (6)$$

$$\text{Lower 95 Percent Probability Limit} = \overline{D} - 1.96S_a \quad (7)$$

(d) Change the "(D)" in the first equation of the third column to read "($\overline{D}$)".

(e) Change the "(D)" in the third line of paragraph (b) in the third column to "($\overline{D}$)".

2 - On page 27577:

(a) Change the letter "(D)" in the first equation of the first column to "($\overline{D}$)".

(b) In the next to the last line of paragraph 4.2.1(a), change "(d_j)" to "($\overline{d}_j$)".

(c) In the third line of paragraph 4.2.1(b), change "(D)" to "($\overline{D}$)".

(d) Change the two equations in paragraph 4.2.1(b) to read:

$$\text{Upper 95 Percent Probability Limit} = \overline{D} + 1.96S_a/\sqrt{2} \quad (10)$$

$$\text{Lower 95 Percent Probability Limit} = \overline{D} - 1.96S_a/\sqrt{2} \quad (11)$$

(e) In the third line of 4.2.2(b) change the letter "(D)" to "($\overline{D}$)".

(f) In the second line of paragraph 4.2.2(d) change the "(D)" to read "($\overline{D}$)".

3 - Pages 27580 and 27581 are republished to read as follows:

DATA ASSESSMENT REPORT

OMB NO. 158–R0012
Expires 3/80

STATE | REPORTING ORGANIZATION (1 2 3 4 5) | YEAR (6 7) | QUARTER (8) | SEND COMPLETED FORM TO REGIONAL OFFICE WITH COPY TO EMSL/RTP

NAME OF REPORTING ORGANIZATION

AUTOMATED ANALYZERS

PRECISION

		NO. OF ANALYZERS [1] (15–17)	NO. OF PRECISION CHECKS (18–21)	PROBABILITY LIMITS LOWER (22–27)	PROBABILITY LIMITS UPPER (22–27)
A. CO	C 4 2 1 0 1 (9–14)				
B. NO_2	C 4 2 6 0 2 (9–14)				
C. O_3	C 4 4 2 0 1 (9–14)				
D. SO_2	C 4 2 4 0 1 (9–14)				
E. ___	C (9–14)				

ACCURACY

		SOURCE OF AUDIT GAS [2] (34–35)	NO. OF AUDITS (36–38)	LEVEL 1 LOWER (39–44)	LEVEL 1 UPPER (39–44)	LEVEL 2 LOWER (45–50)	LEVEL 2 UPPER (45–50)	LEVEL 3 LOWER (51–56)	LEVEL 3 UPPER (51–56)	LEVEL 4 LOWER (57–62)	LEVEL 4 UPPER (57–62)
A. CO	C 4 2 1 0 1 (28–33)										
B. NO_2	C 4 2 6 0 2 (28–33)										
C. O_3	C 4 4 2 0 1 (28–33)										
D. SO_2	C 4 2 4 0 1 (28–33)										
E. ___	C (28–33)										

[1] COUNT ONLY REFERENCE OR EQUIVALENT MONITORING METHODS

[2] CODE USING THE FOLLOWING:

A. NBS SUPPLIED SRM
B. EMSL REFERENCE GAS
C. OTHER (IDENTIFY VENDOR) CO
D. OTHER (IDENTIFY VENDOR) NO_2
E. OTHER (IDENTIFY VENDOR) O_3
F. OTHER (IDENTIFY VENDOR) SO_2

FIGURE 1 FORM 1 (FRONT)

DATA ASSESSMENT REPORT

OMB No. 158–R0012
Expires 3/80

STATE | REPORTING ORGANIZATION (1 2 3 4 5) | YEAR (6 7) | QUARTER (8) | SEND COMPLETED FORM TO REGIONAL OFFICE WITH COPY TO EMSL/RTP

NAME OF REPORTING ORGANIZATION

MANUAL METHODS

PRECISION

		NO. OF SAMPLERS [1] (15–17)	NO. OF COLLOCATED SITES (18–19)	NO. OF COLLOCATED SAMPLES ≤ LIMIT (20–23)	PROBABILITY LIMITS LOWER (24–29)	PROBABILITY LIMITS UPPER (24–29)
A. TSP	1 1 1 1 0 1 (9–14)					
B. SO_2	1 4 2 4 0 1 (9–14)					
C. NO_2	1 4 2 6 0 2 (9–14)					
D. Pb	1 1 2 1 2 8 (9–14)					

LIMITS APPLICABLE TO BLOCKS 20–23	
TSP	20 μg TSP/m^3
SO_2	40 μg SO_2/m^3
NO_2	30 μg NO_2/m^3
Pb	0.07 μg Pb/m^3

ACCURACY

		TYPE OF SAMPLER [2] (36)	NO. OF AUDITS (37–39)	LEVEL 1 LOWER (40–45)	LEVEL 1 UPPER (40–45)	LEVEL 2 LOWER (46–51)	LEVEL 2 UPPER (46–51)	LEVEL 3 LOWER (52–57)	LEVEL 3 UPPER (52–57)
A. TSP	1 1 1 1 0 1 (30–35)								
B. SO_2	1 4 2 4 0 1 (30–35)								
C. NO_2	1 4 2 6 0 2 (30–35)								
D. Pb	1 1 2 1 2 8 (30–35)								

[1] COUNT ONLY REFERENCE OR EQUIVALENT MONITORING METHODS.

[2] CODE USING THE FOLLOWING:

A WITH AUTOMATIC FLOW CONTROL
B WITHOUT AUTOMATIC FLOW CONTROL
C WITH CRITICAL OFFICE FLOW CONTROL

FIGURE 1 FORM 1 (BACK)

4 - On page 27583:

(a) In paragraph 4.1 in the fifth sentence, change the "(a_j)" to read "($\bar{d}_j$)".

(b) Change the last two equations of 4.1 to read:

$$\text{Upper 95 Percent Probability Limit} = \bar{d}_j + 1.96S_j \quad (4)$$

$$\text{Lower 95 Percent Probability Limit} = \bar{d}_j - 1.96S_j \quad (5)$$

(c) In the second paragraph of 5.1, line 8, change "(d_j)" to read "($\bar{d}_j$)".

(d) Change the two equations in paragraph 5.1 to read:

$$\text{Upper 95 Percent Probability Limit} = \bar{d}_j + 1.96S_j/\sqrt{2} \quad (6)$$

$$\text{Lower 95 Percent Probability Limit} = \bar{d}_j - 1.96S_j/\sqrt{2} \quad (7)$$

5 - On page 27591, insert a heading over the table at the bottom of the page to read as follows: "Table 4. - Summary of Spatial Scales for SLAMS and Required Scales for NAMS".

6 - On page 27592, in the first line of paragraph 2.3, change "108" to "1-8".

7 - On page 27594, third column, first column of Table 1, change "$\leq$ 60,000" to "$\geq$ 60,000".

8 - On page 27595:

(a) In the second column, first column of Table 3, change "$\geq$ 10,000" to "$\leq$ 10,000".

(b) In the third line of paragraph 7, change "14018" to "14-18".

(c) In the fifth line of the third column, change "21022" to "21-22".

9 - On page 27599 change the equation "PSI = max (120,0,0,20,30) = 120Q02" to read:

"PSI = max (120,0,0,20,30) = 120"

10 - On page 27601 in Table 1, in the sixth column, change the first figure from "18" to "118".

BILLING CODE 1505-01-C

40 CFR Part 55

[FRL 1374-1]

Federal Administrative Orders for Certain Fuel Switching Facilities; Revision to Subpart Designation

AGENCY: Environmental Protection Agency.

ACTION: Revision of Subpart Designation.

SUMMARY: The Federal Register contains a number of *Compliance Date Extensions* (CDE) which were promulgated under authority of Section 119 of the Clean Air Act (the Act) in effect prior to the 1977 amendments and published under 40 CFR Part 55. The 1977 amendments to the Act repealed Section 119 and added Section 113(d)(5) which provided for *Delayed Compliance Orders* (DCO). Both CDE's and DCO's are administrative mechanisms for granting a facility which has been prohibited by the Department of Energy from burning oil or gas, an extended period within which to achieve compliance with applicable air pollution requirements. Under old Section 119 of the Act, nine facilities were issued CDE's. The numerical scheme for publication of the CDE's then in use was sufficient for a small number of facilities. However, due to an expected increase in the numbers of facilities being prohibited by the Department of Energy from burning oil or gas, EPA anticipates that a larger number of DCO's will be promulgated. We are therefore revising the numerical scheme to accommodate this increase, facilitate publication and enhance public access. The numbering of the subparts under which CDE's were published will also be changed to accommodate this revision.

DATES: This redesignation takes effect on December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Weldon Blake, Attorney-Advisor, Environmental Protection Agency, Division of Stationary Source Enforcement, 401 M Street, S.W., Washington, D.C. 20460, (202) 755-2542.

SUPPLEMENTARY INFORMATION: This revision in no way affects the validity of any order which has been promulgated in 40 CFR Part 55, but merely revises the numbering of the subsections under which CDE's and DCO's issued under the authority of Section 113(d)(5) of the Act and Section 119 of the Act prior to the 1977 amendments will be promulgated. The Agency has therefore determined that this action falls within the exception of 5 U.S.C. 553(b)(a) (which exempts rules of Agency procedure or practice from the informal rulemaking requirements of the Administrative Procedure Act). Thus, the notice and comment rulemaking procedures of 5 U.S.C. 563 have not been followed prior to this revision. In addition, under 5 U.S.C. 553(d) (which allows certain Agency Rules to be effective before 30 days have passed from the date of their publication), EPA has determined that this revision shall be effective upon publication because of the need to immediately expand the numerical scheme of 40 CFR Part 55 to accommodate future DCO's. (42 U.S.C. 7413, 7601).

In consideration of the foregoing, chapter I of Title 40 of the Code of Federal Regulations is amended by redesignating sections in Part 55 as follows:

1. For CDE's published under authority of Section 119 of the Act prior to the 1977 amendments the new designations are as follows:

Subpart L—Georgia

Section 55.570 is redesignated 55.250.

Subpart Q—Iowa

Section 55.820 is redesignated 55.350.
Section 55.821 is redesignated 55.351.

Subpart R—Kansas

Section 55.870 is redesignated 55.370.
Section 55.871 is redesignated 55.371.
Section 55.872 is redesignated 55.372.

Subpart AA—Missouri

Section 55.1320 is redesignated 55.550.
Section 55.1320 is redesignated 55.551.

Subpart II—North Carolina

Section 55.1770 is redesignated 55.710.

2. The following table of contents shows the range of section numbers that are assigned to each State to accommodate existing and future regulations. Section numbers for regulations which have not yet been promulgated are marked "[Reserved]".

40 CFR PART 55 DELAYED COMPLIANCE ORDERS

Subpart A—General Provisions

Secs. 55.01 to 55.09

Subpart B—Alabama

55.50 to 55.69 [Reserved]

Subpart C—Alaska

55.70 to 55.89 [Reserved]

Subpart D—Arizona

55.90 to 55.109 [Reserved]

Subpart E—Arkansas

55.110 to 55.129 [Reserved]

Subpart F—California

55.130 to 55.149 [Reserved]

Subpart G—Colorado

55.150 to 55.169 [Reserved]

Subpart H—Connecticut

55.170 to 55.189 [Reserved]

Subpart I—Delaware

55.190
55.191 to 55.209 [Reserved]

Subpart J—District of Columbia

55.210 to 55.229 [Reserved]

Subpart K—Florida

55.230
55.231 to 55.249 [Reserved]

Subpart L—Georgia

55.250
55.251 to 55.269 [Reserved]

Subpart M—Hawaii

55.270 to 55.289 [Reserved]

Subpart N—Idaho

55.290 to 55.309 [Reserved]

Subpart O—Illinois

55.310 to 55.329 [Reserved]

Subpart P—Indiana

55.330 to 55.349 [Reserved]

Subpart Q—Iowa

55.350
55.351
55.352 to 55.369 [Reserved]

Subpart R—Kansas

55.370
55.371
55.372
55.373 to 55.389

Subpart S—Kentucky

55.390 to 55.409 [Reserved]

Subpart T—Louisiana

55.410 to 55.429 [Reserved]

Subpart U—Maine

55.430 to 55.449 [Reserved]

Subpart V—Maryland

55.450 to 55.469 [Reserved]

Subpart W—Massachusetts

55.470
55.471 to 55.489 [Reserved]

Subpart X—Michigan

55.490 to 55.509 [Reserved]

Subpart Y—Minnesota

55.510 to 55.529 [Reserved]

Subpart Z—Mississippi

55.530 to 55.549 [Reserved]

Subpart AA—Missouri

55.550
55.551
55.552 to 55.569 [Reserved]

Subpart BB—Montana

55.570 to 55.589 [Reserved]

Subpart CC—Nebraska

55.590 to 55.609 [Reserved]

Subpart DD—Nevada

55.610 to 55.629 [Reserved]

Subpart EE—New Hampshire

55.630 to 55.649 [Reserved]

Subpart FF—New Jersey

55.650 to 55.669 [Reserved]

Subpart GG—New Mexico

55.670 to 55.689 [Reserved]

Subpart HH—New York

55.690 to 55.709 [Reserved]

Subpart II—North Carolina

55.710
55.711 to 55.729 [Reserved]

Subpart JJ—North Dakota

55.730 to 55.749 [Reserved]

Subpart KK—Ohio

55.750 to 55.769 [Reserved]

Subpart LL—Oklahoma

55.770 to 55.789 [Reserved]

Subpart MM—Oregon

55.790 to 55.809 [Reserved]

Subpart NN—Pennsylvania

55.810 to 55.829 [Reserved]

Subpart OO—Rhode Island

55.830 to 55.849 [Reserved]

Subpart PP—South Carolina

55.850 to 55.869 [Reserved]

Subpart QQ—South Dakota

55.870 to 55.889 [Reserved]

Subpart RR—Tennessee

55.890 to 55.909 [Reserved]

Subpart SS—Texas

55.910 to 55.929 [Reserved]

Subpart TT—Utah

55.930 to 55.949 [Reserved]

Subpart UU—Vermont

55.950 to 55.969 [Reserved]

Subpart VV—Virginia

55.970
55.971
55.972 to 55.989 [Reserved]

Subpart WW—Washington

55.990 to 55.1009 [Reserved]

Subpart XX—West Virginia

55.1010 to 55.1029 [Reserved]

Subpart YY—Wisconsin

55.1030 to 55.1049 [Reserved]

Subpart ZZ—Wyoming

55.1050 to 55.1069 [Reserved]

Dated: November 14, 1979.

Richard D. Wilson,

Acting Assistant Administrator for Enforcement.

[FR Doc. 79-38280 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

FEDERAL EMERGENCY MANAGEMENT AGENCY

44 CFR Part 64

[Docket No. FEMA 5750]

List of Communities Eligible for the Sale of Insurance under the National Flood Insurance Program

AGENCY: Federal Insurance Administration, FEMA.

ACTION: Final rule.

SUMMARY: This rule lists communities participating in the National Flood Insurance Program (NFIP). These communities have applied to the program and have agreed to enact certain flood plain management measures. The communities' participation in the program authorizes the sale of flood insurance to owners of property located in the communities listed.

EFFECTIVE DATE: The date listed in the fifth column of the table.

ADDRESSES: Flood insurance policies for property located in the communities listed can be obtained from any licensed property insurance agent or broker serving the eligible community, or from the National Flood Insurance Program (NFIP) at: P.O. Box 34294, Bethesda, Maryland 20034, Phone: (800) 638-6620.

FOR FURTHER INFORMATION CONTACT: Mr. Richard Krimm, National Flood Insurance Program, (202) 755-5581 or Toll Free Line 800-424-8872, Room 5270, 451 Seventh Street SW., Washington, DC 20410.

SUPPLEMENTARY INFORMATION: The National Flood Insurance Program (NFIP), enables property owners to purchase flood insurance at rates made reasonable through a Federal subsidy. In return, communities agree to adopt and administer local flood plain management measures aimed at protecting lives and new construction from future flooding. Since the communities on the attached list have recently entered the NFIP, subsidized flood insurance is now available for property in the community.

In addition, the Federal Insurance Administrator has identified the special flood hazard areas in some of these communities by publishing a Flood Hazard Boundary Map. The date of the flood map, if one has been published, is indicated in the sixth column of the table. In the communities listed where a flood map has been published Section 102 of the Flood Disaster Protection Act of 1973, as amended, requires the purchase of flood insurance as a condition of Federal or federally related financial assistance for acquisition or construction of buildings in the special flood hazard area shown on the map.

The Federal Insurance Administrator finds that delayed effective dates would be contrary to the public interest. The Administrator also finds that notice and public procedure under 5 U.S.C. 553 (b) are impracticable and unnecessary.

In each entry, a complete chronology of effective dates appears for each listed community. The entry reads as follows:

Section 64.6 is amended by adding in alphabetical sequence new entries to the table.

§ 64.6 List of eligible communities.

State	County	Location	Community No.	Effective dates of authorization/ cancellation of sale of flood insurance in community	Special flood hazard area identified
Alabama	Lauderdale	Killen, town of	010338	Nov. 27, 1979, emergency.	June 18, 1976.
Kansas	Marshall	Unincorporated areas	200210-A	Nov. 29, 1979, emergency.	June 28, 1977.
Do	Stafford	Stafford, city of	200532	do	Mar. 26, 1976.
New York	Steuben	Troupsburg, town of	361436	do	Feb. 21, 1975.
North Carolina	Duplin	Unincorporated areas	370063	do	Feb. 24, 1978.
Do	Warren	do	370396	do	Aug. 11, 1978.
New York	Yates	Ilay, town of	360958A	Nov. 30, 1979, emergency.	June 28, 1974 and, Aug. 20, 1976.
Pennsylvania	Clinton	Wayne, township of	420336B	June 3, 1974, emergency, Nov. 1, 1979, regular, Nov. 1, 1979, suspended, Nov. 29, 1979, reinstated.	Oct. 26, 1973 and, Dec. 24, 1976.

(National Flood Insurance Act of 1968 (title XIII of the Housing and Urban Development Act of 1968); effective Jan. 28, 1969 (33 FR 17804, Nov. 28, 1968), as amended, 42 U.S.C. 4001-4128; Executive Order 12127, 44 FR 19367; and delegation of authority to Federal Insurance Administrator, 44 FR 20963)

Issued: December 5, 1979.

Gloria M. Jimenez,

Federal Insurance Administrator.

[FR Doc. 79-38037 Filed 12-13-79; 8:45 am]

BILLING CODE 6718-03-M

44 CFR Part 64

[Docket No. FEMA 5751]

Suspension of Community Eligibility under the National Flood Insurance Program

AGENCY: Federal Insurance Administration, FEMA.

ACTION: Final rule.

SUMMARY: This rule lists communities where the sale of flood insurance, as authorized under the National Flood Insurance Program (NFIP), will be suspended because of noncompliance with the flood plain management requirements of the program.

EFFECTIVE DATES: The third date ("Susp.") listed in the fifth column.

FOR FURTHER INFORMATION CONTACT: Mr. Richard Krimm, National Flood Insurance Program, (202) 755-5581 or Toll Free Line 800-424-8872, Room 5270, 451 Seventh Street SW., Washington, DC 20410.

SUPPLEMENTARY INFORMATION: The National Flood Insurance Program (NFIP), enables property owners to purchase flood insurance at rates made reasonable through a Federal subsidy. In return, communities agree to adopt and administer local flood plain management measures aimed at protecting lives and new construction from future flooding. Section 1315 of the National Flood Insurance Act of 1968, as amended (42 U.S.C. 4022) prohibits flood insurance coverage as authorized under the National Flood Insurance Program (42 U.S.C. 4001-4128) unless an appropriate public body shall have adopted adequate flood plain management measures with effective enforcement measures. The communities listed in this notice no longer meet that statutory requirements for compliance with program regulations (44 CFR Part 59 et seq.). Accordingly, the communities are suspended on the effective date in the fifth column, so that as of that date subsidized flood insurance is no longer available in the community.

In addition, the Federal Insurance Administrator has identified the special flood hazard areas in these communities by publishing a Flood Hazard Boundary Map. The date of the flood map, if one has been published, is indicated in the sixth column of the table. Section 202(a) of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234), as amend, provides that no direct Federal financial assistance (except assistance pursuant to the Disaster Relief Act of 1974 not in connection with a flood) may legally be provided for construction or acquisition of buildings in the identified special flood hazard area of communities not participating in the NFIP, with respect to which a year has elapsed since identification of the community as having flood prone areas, as shown on the Office of Federal Insurance and Hazard Mitigation's initial flood insurance map of the community. This prohibition against certain types of Federal assistance becomes effective for the communities listed on the date shown in the last column.

The Federal Insurance Administrator finds that delayed effective dates would be contrary to the public interest. The Administrator also finds that notice and public procedure under 5 U.S.C. 553(b) are impracticable and unnecessary.

In each entry, a complete chronology of effective dates appears for each listed community.

Section 64.6 is amended by adding in alphabetical sequence new entries to the table.

§ 64.6 List of suspended communities.

State	County	Location	Community No.	Effective dates of authorization/ cancellation of sale of flood insurance in community	Special flood hazard area identified	Date [1]
Alabama	Escambia	Brewton, city of	010072B	Apr. 4, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Dec. 12, 1973 Dec. 26, 1975	Dec. 18, 1979.
California	San Luis Obispo	Morro Bay, city of	060307B	Feb. 15, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	May 31, 1974 Dec. 5, 1975	Do.
Do	Los Angeles	Torrance, city of	060165B	June 26, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Aug. 2, 1974 Dec. 5, 1975	Do.
Florida	Putnam	Crescent City, city of	120408A	Nov. 28, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Dec. 3, 1976	Do.
Indiana	Lake	St. John, town of	180141B	Jan. 20, 1975, emergency, Nov. 1, 1979, regular, Dec. 18, 1979, suspended.	Nov. 30, 1973 Apr. 9, 1976	Do.
Idaho	Latah	Troy, city of	160091B	Jan. 30, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	May 10, 1974 Dec. 26, 1975	Do.
Illinois	Cook	Northfield, village of	170133B	Sept. 18, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Mar. 29, 1974 Mar. 21, 1975	Do.
Kansas	Shawnee	Rossville, city of	200334B	Aug. 11, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Jan. 9, 1974 June 4, 1976	Do.
Louisiana	Ouachita	Monroe, city of	220136B	Sept. 6, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Sept. 6, 1974 Oct. 8, 1976	Do.
Maine	York	Parsonfield, town of	230154B	Oct. 13, 1976, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 28, 1974 May 17, 1977	Do.
Massachusetts	Middlesex	Waltham, city of	250222B	July 1, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 28, 1974 Apr. 15, 1977	Do.
Michigan	Clinton	Dewitt, city of	260631B	Aug. 25, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 17, 1977 Mar. 8, 1974 June 17, 1977	Do.
Do	Allegan	Ganges, township of	260005B	Oct. 24, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 28, 1974 June 25, 1976	Do.
Minnesota	Itasca	Grand Rapids, city of	270204B	May 22, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Oct. 26, 1973 June 4, 1976	Do.
Do	Norman	Hendrum, city of	270325B	July 5, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Aug. 9, 1974 Mar. 26, 1979	Do.
Do	Brown	New Ulm, city of	270036B	Feb. 11, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Nov. 2, 1973 Apr. 2, 1976	Do.
Missouri	Platte	Unincorporated areas	290475A	Mar. 25, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.		Do.
Montana	Teton	....do	300168A	Apr. 11, 1978, emergency, Dec. 18, 1979, suspended.	Nov. 22, 1977	Do.
New Jersey	Burlington	Maple Shade, township of	340101B	July 11, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Mar. 15, 1974 Apr. 16, 1976	Do.
Do	Middlesex	Perth Amboy, city of	340272B	June 25, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 21, 1974 June 4, 1976	Do.
Do	Morris	Randolph, township of	340358C	June 23, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Feb. 15, 1974	Do.
Do	Middlesex	Spotswood, borough of	340282B	Oct. 31, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	July 6, 1973 Mar. 5, 1976	Do.
Do	Union	Westfield, town of	340478B	Sept. 24, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Dec. 18, 1974 Jan. 26, 1979	Do.
North Carolina	Rowan	Unincorporated areas	370351A	Aug. 23, 1976, emergency, Nov. 1, 1979, regular, Dec. 18, 1979, suspended.	July 28, 1978	Do.
Pennsylvania	Allegheny	Aspinwall, borough of	420005B	April 11, 1975, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Dec. 28, 1973 May 15, 1979	Do.
Do	Berks	Birdsboro, borough of	420127B	Dec. 29, 1972, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Oct. 26, 1973 Aug. 6, 1976	Do.
Do	Perry	Duncannon, borough of	420749	Oct. 20, 1972, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	July 20, 1973 Sept. 24, 1976	Do.
Do	Clinton	Chapman, township of	420323B	Aug. 29, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Mar. 1, 1974 June 10, 1977	Do.
Do	Washington	Houston, borough of	422594B	Oct. 24, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Apr. 12, 1974 June 11, 1976	Do.

State	County	Location	Community No.	Effective dates of authorization/ cancellation of sale of flood insurance in community	Special flood hazard area identified	Date [1]
Do	Lancaster	Lancaster, township of	420553B	Mar. 9, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	July 13, 1973 Aug. 6, 1976	Do.
Do	Bucks	Newtown, Township of	421084B	Mar. 16, 1976, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Mar. 10, 1978	Do.
Do	Allegheny	Ross, township of	420979B	Oct. 24, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 7, 1974 Oct. 3, 1975	Do.
Do	Wyoming	Tunkhannock, borough of	420917B	April. 18, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Sept. 7, 1973 Feb. 11, 1977	Do.
Do.	Perry	Wheatfield, township of	421035B	Oct. 29, 1971, emergency Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	July 26, 1974 June 18, 1976	Do.
Do.	York	Wrightsville, borough of	420943B	June 6, 1973, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	Sept. 14, 1973 Jan. 14, 1977	Do.
Washington	Cowlitz	Long View, city of	530034B	May 26, 1972, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 28, 1974 Dec. 10, 1976	Do.
West Virginia	Berkeley	Martinsburg, city of	540006B	Nov. 14, 1974, emergency, Dec. 18, 1979, regular, Dec. 18, 1979, suspended.	June 7, 1974 June 18, 1976	Do.

[1] Date certain Federal assistance no longer available in special flood hazard area.

(National Flood Insurance Act of 1968 (title XIII of the Housing and Urban Development Act of 1968); effective Jan. 28, 1969 (33 FR 17804, Nov. 28, 1968), as amended, 42 U.S.C. 4001–4128; Executive Order 12127, 44 FR 19367; and delegation of authority to Federal Insurance Administrator, 44 FR 20963)

Issued: December 5, 1979.

Gloria M. Jimenez,

Federal Insurance Administrator.

[FR Doc. 79-38036 Filed 12-13-79; 8:45 am]

BILLING CODE 6718-03-M

INTERSTATE COMMERCE COMMISSION

49 CFR Part 1033

[S.O. 1414]

Detroit & Mackinac Railway Co.; Authorization To Unload Steel Shelving on Hand at West Branch, Mich.

AGENCY: Interstate Commerce Commission.

ACTION: Emergency Order Service Order No. 1414.

SUMMARY: Authorizes Detroit and Mackinac Railway Company to unload PW 60133 steel shelving on hand at West Branch, Michigan.

EFFECTIVE DATE: 12:01 a.m., December 11, 1979, and continuing in effect until December 21, 1979.

FOR FURTHER INFORMATION CONTACT: J. Kenneth Carter (202) 275–7840.

SUPPLEMENTARY INFORMATION:

Decided: December 10, 1979.

There is one car of steel shelving being held by the Detroit and Mackinac Railway Company at West Branch, Michigan, since October 15, 1979. This car has been on hand for an unreasonable length of time, and this delay to the car impedes its use by other shippers.

It is the opinion of the Commission that an emergency exists requiring immediate action to promote car service in the interest of the public and the commerce of the people; that notice and public procedure are impracticable, and that good cause exists for making this order effective upon less than thirty days' notice.

It is ordered, that:

§ 1033.1414 Service Order No. 1414.

Detroit and Mackinac Railway Company shall unload one car of steel shelving held at West Branch, Michigan. The Detroit and Mackinac Railway Company (DM), its agents or employees, shall unload PW 60133 Steel Shelving held at West Branch, Michigan.

(b) The DM, its agents or employees, shall complete the unloading of this car by 11:59 p.m., December 21, 1979.

(c) The DM shall notify the shipper and Joel E. Burns, Chairman, Railroad Service Board, Interstate Commerce Commission, Washington, D.C., when it has completed the unloading of this car. Such notice shall specify when, where, and by whom such unloading was performed.

(d) *Rules and Regulations Suspended.* The operation of all rules, regulations, or tariff provisions is suspended insofar as they conflict with the provisions of this order.

(e) *Application.* The provisions of this order shall apply to intrastate, interstate and foreign commerce.

(f) *Effective date.* This order shall become effective at 12:01 a.m., December 11, 1979.

(g) *Expiration date.* The provisions of this order shall expire at 11:59 p.m., December 21, 1979, unless otherwise modified, amended, or vacated by order of this Commission.

(49 U.S.C. (10304–10305 and 11121–11126))

This order shall be served upon the Association of American Railroads, Car Service Division, as agent of the railroads subscribing to the car service and car hire agreement under the terms of that agreement and upon the American Short Line Railroad Association. Notice of this order shall be given to the general public by depositing a copy in the Office of the Secretary of the Commission at Washington, D.C., and by filing a copy with the Director, Office of the Federal Register.

By the Commission, Railroad Service Board, members Joel E. Burns, Robert S. Turkington and John R. Michael.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38315 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

49 CFR Part 1033

[S.O. 1341-A]

Chicago, Milwaukee, St. Paul & Pacific Railroad Co. Authorized To Operate Over Tracks of Chicago & North Western Transportation Co.

AGENCY: Interstate Commerce Commission.

ACTION: Service Order No. 1341-A.

SUMMARY: Authorized the Chicago, Milwaukee, St. Paul and Pacific Railroad Company to operate over the tracks of the Chicago and North Western Transportation Company at Winnebago, Minnesota. The Commission's order served September 17, 1979, permitted the abandonment by the Chicago and North Western Transportation Company, and the acquisition by the Chicago, Milwaukee, St. Paul and Pacific Railroad Company, of the track serving Winnebago, Minnesota. Since an emergency no longer exists, Service Order No. 1341 is vacated effective 11:59 p.m., December 5, 1979.

FOR FURTHER INFORMATION CONTACT:
J. Kenneth Carter, (202) 275-7840.

SUPPLEMENTARY INFORMATION:

Decided December 5, 1979.

Upon further consideration of Service Order No. 1341 (43 FR 45587 and 44 FR 20437), and good cause appearing therefor:

It is ordered, that § *1033.1341, Service Order No. 1341 Chicago, Milwaukee, St. Paul and Pacific Railroad Company authorized to operate over tracks of Chicago and North Western Transportation Company* is vacated effective 11:59 p.m., December 5, 1979.

(49 U.S.C. (10304-10305 and 11121-11126))

A copy of this order shall be served upon the Association of American Railroads, Car Service Division, as agent of the railroads subscribing to the car service and car hire agreement under the terms of that agreement and upon the American Short Line Railroad Association. Notice of this order shall be given to the general public by depositing a copy in the Office of the Secretary of the Commission, at Washington, D.C., and by filing a copy with the Director, Office of the Federal Register.

By the Commission, Railroad Service Board, members Joel E. Burns, Robert S. Turkington and John R. Michael.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38314 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

Proposed Rules

Federal Register
Vol. 44, No. 242
Friday, December 14, 1979

This section of the FEDERAL REGISTER contains notices to the public of the proposed issuance of rules and regulations. The purpose of these notices is to give interested persons an opportunity to participate in the rule making prior to the adoption of the final rules.

DEPARTMENT OF AGRICULTURE

Food Safety and Quality Service

7 CFR Part 2851

U.S. Standards for Grades of Shelled Peanuts[1]

AGENCY: Food Safety and Quality Service, USDA.

ACTION: Proposed rule.

SUMMARY: This proposed rule would issue new U.S. grade standards applicable to all types of shelled peanuts. This standard would replace (1) U.S. Standards for Shelled Runner Type Peanuts, (2) U.S. Standards for Grades of Shelled Spanish Type Peanuts, and (3) U.S. Standards for Shelled Virginia Type Peanuts, which are currently in effect. This action is being taken at the request of the Southeastern Peanut Association, the Southwestern Peanut Shellers Association, and the Virginia-Carolina Peanut Association. The proposed standard would provide industry with a compatible and uniform basis for trading.

DATE: Comments must be received on or before February 12, 1980.

ADDRESSES: Comments should be sent to: Executive Secretariat, Attn: Annie Johnson, Food Safety and Quality Service, U.S. Department of Agriculture, Room 3807 South Building, Washington, DC 20250. (For additional information on comments, see supplementary information.

FOR FURTHER INFORMATION CONTACT:
Michael A. Canon, Fresh Products Branch, Fruit and Vegetable Quality Division, Food Safety and Quality Service, U.S. Department of Agriculture, Washington, DC 20250, (202) 447-5410.

[1] Compliance with the provisions of these standards shall not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or with applicable State laws and regulations.

SUPPLEMENTARY INFORMATION:

Comments

Interested persons are invited to submit comments concerning this proposal. Comments must be sent in duplicate to the Office of the Executive Secretariat and should bear reference to the date and page number of this issue of the **Federal Register.** All comments submitted pursuant to this notice will be made available for public inspection in the Office of the Executive Secretariat during regular business hours (7 CFR 1.27(b)).

Background

In January 1974 industry-developed grade standards for shelled Runner type peanuts were published in the Southeastern Peanut Association Sheller Rules. These industry standards were developed to provide kernel size classifications compatible with current marketing practices. The quality requirements of the Southeastern grades were the same as the requirements of the Marketing Agreement for Peanuts, No. 146. The industry grades were evaluated for three years by Georgia, Alabama and Florida shellers, representing more than 60 percent of national production. The grades received wide industry support, including acceptance by sheller members of the Southwestern and Virginia-Carolina peanut associations. Based on the success of these industry grades, the Southeastern Peanut Association requested that the Department revise the U.S. Standards for Runner Type Peanuts to conform to the requirements of the Sheller Rules.

The Southwestern Peanut Shellers Association and the Virginia-Carolina Peanut Association supported the Southeastern request to revise the Runner standards and at the same time requested the Department revise U.S. Standards for shelled Spanish and Virginia type peanuts to promote uniformity of requirements in the standards.

The Department, in an effort to provide industry with a uniform basis for trading, offered to develop a single standard for all peanuts in lieu of revising the three standards currently in effect. Industry accepted this approach and a single standard was developed which would provide for uniform quality requirements, standardization definitions of terms, and tolerances for the grades applicable to each peanut type.

Recognizing the importance of kernel size in peanut marketing, the size classifications established under the proposal are patterned after those now used by the industry. Although different for each type of peanut, this approach is essential to continued orderly marketing. For example, Spanish type peanuts are not marketed in the same size categories as either the Runner or Virginia types.

The tolerance for sound peanuts which are split or broken would increase from 3.00 percent to 4.00 percent in grades other than U.S. No. 2 and U.S. Splits. The tolerance for damaged kernels would be reduced from 1.50 percent to 1.25 percent, representing a decrease in the tolerance currently permitted in the Runner and Spanish standards.

Export grades and a grade designation of "with splits" would be established for each peanut type. Proposed minimum export requirements would be U.S. No. 1 quality with an additional provision for determining size based on kernel count per pound or count per ounce. Size is normally specified on the basis of kernel count rather than minimum screen size in export shipments. Grades of peanuts designated "with splits," such as "U.S. No. 1 Spanish with Splits," would heve a 15 percent tolerance for sound split kernels.

The proposed standards, as do the current standards, would apply to shelled peanuts in the raw state, prior to final processing into food products. Therefore, the Uniform Grade Nomenclature Policy for Fresh Fruits, Vegetables and Nuts, which exempts raw products for processing, would not apply. These standards would be used solely as a basis for trading before processing and grade designations do not carry through to the consumer.

This proposed new standard would provide industry with a uniform basis for trading which would be in line with current marketing practices.

In consideration of the foregoing, §§ 2851.2540 through 2851.2556 of the United States Standards for Grades of Shelled Peanuts would read as follows:

§§ 2851.2710-2851.2721 [Reserved]

1. Subpart—United States Standards for Shelled Runner Type Peanuts (7 CFR 2851), §§ 2851.2710 through 2851.2721, would be revoked and reserved, and the

Table of Contents would be amended to reflect this change.

§§ 2851.2730–2851.2741 [Reserved]

2. Subpart—United States Standards for Grades of Shelled Spanish Type Peanuts (7 CFR 2851), §§ 2851.2730 through §§ 2851.2741, would be revoked and reserved, and the Table of Contents would be amended to reflect this change.

§§ 2851.2750–2851.2763 [Reserved]

3. Subpart—United States Standards for Shelled Virginia Type Peanuts (7 CFR 2851), §§ 2851.2750 through 2851.2763, would be revoked and reserved, and the Table of Contents would be amended to reflect this change.

4. A new Subpart—United States Standards for Grades of Shelled Peanuts (7 CFR 2851), §§ 2851.2540 through 2851.2556, would be added, and the Table of Contents would be amended accordingly, to read as follows:

Subpart—U.S. Standards for Grades of Shelled Peanuts

General

Sec.

2851.2540 Method of identification.

Grades

2851.2541 Grades.
2851.2542 Table I, Size Requirements and Tolerances for U.S. Grades of Shelled Peanuts.
2851.2543 Table II, Size Requirements and Tolerances for U.S. Grades of Shelled Peanuts.
2851.2544 Table III, Size Requirements and Tolerances for Grades of Shelled Peanuts.
2851.2545 Table IV, Size Requirements and Tolerances for U.S. Splits Grades of Shelled Peanuts.
2851.2546 U.S. Grades "with splits."

Application of Tolerances

2851.2547 Application of tolerances.

Definitions

2851.2548 Similar in appearance.
2851.2549 Undersize.
2851.2550 Oversize.
2851.2551 Whole.
2851.2552 Split.
2851.2553 Broken.
2851.2554 Foreign material.
2851.2555 Minor defects.
2851.2556 Damage.

General

§ 2851.2540 Method of identification.

Shelled peanuts shall be positively identified as to type by container tags, seals, markings or other suitable identification in order to be certified in accordance with the following grades.

Grades

§ 2851.2541 Grades.

U.S. grades of shelled peanuts shall consist of shelled peanuts similar in appearance to that of the designated type (Runner, Spanish or Virginia) which are whole, with the exceptions of "U.S. Splits," U.S. grades "with splits" and "U.S. No. 2" grades, and which are free from foreign material, damage and minor defects and which meet the tolerances and size requirements of each grade as specified in § 2851.2542 Table I, § 2851.2543 Table II, § 2851.2544 Table III, § 2851.2545 Table IV, and § 2851.2546.

§ 2851.2542 Table I—Size Requirements and Tolerances for U.S. Grades of Shelled Peanuts [1]

GRADE	SIZE			QUALITY
	Minimum Slot Screen Size	Undersize	Oversize	
U.S. Jumbo Runner	21/64 x 3/4"	5% incl. not more than 3% which pass through 18/64 x 3/4" screen.	No requirements.	(a) 1.00% for peanuts not similar in appearance;
U.S. Medium Runner	18/64 x 3/4"	5% incl. not more than 3% which pass through a 16/64 x 3/4" screen.	25% for kernels riding the 21/64 x 3/4"screen.	(b) 4.00% for sound peanuts which are split or broken;
U.S. Select Runner	16/64 x 3/4"	3%	25% for kernels riding the 21/64 x 3/4" screen.	(c) 2.00% for minor defects and damaged peanuts, including not more than 1.25% damaged peanuts; and
U.S. No. 1 Standard Runner	16/64 x 3/4"	3%	25% for kernels riding an 18/64 x 3/4" screen.	(d) 0.1% for foreign material.
U.S. No. 1 Export Runner [2]	16/64 x 3/4"	3%	No requirements.	
U.S. Mill Run Runner	16/64 x 3/4"	3%	No requirements.	
U.S. No. 1 Spanish	15/64 x 3/4"	3%	No requirements.	
U.S. No. 1 Export Spanish [2]	15/64 x 3/4"	3%	No requirements.	

1/ Tolerances by weight are provided in order to allow for variations incident to proper grading and handling.
2/ Count per ounce or count per pound must be specified.

§ 2851.2543 Table II—Size Requirements and Tolerances for U.S. Grades of Shelled Peanuts [1]

GRADE	SIZE			QUALITY
	Minimum slot Screen Size	Undersize	Count per Pound	
U.S. Extra Large Virginia	20/64 x 1"	3%	512	(a) 0.75% for peanuts not similar in appearance; (b) 4.00% for sound peanuts which are split or broken; (c) 1.75% for minor defects and damage including not more than 1.00% damaged peanuts; and (d) 0.1% for foreign material.
U.S. Medium Virginia	18/64 x 1"	3%	640	(a) 1.00% for peanuts not similar in appearance; (b) 4.00% for sound peanuts which are split or broken;
U.S. No. 1 Virginia	15/64 x 3/4"	3%	864	(c) 2.00% for minor defects & damaged peanuts, including not more than 1.25% damaged peanuts; and
U.S. No. 1 Export Virginia	15/64 x 3/4"	3%	Count per oz./lb. shall be specified.	(d) 0.1% for foreign material.

1/ Tolerances by weight are provided in order to allow for variations incident to proper grading and handling.

§ 2851.2544 Table III—Size Requirements and Tolerances for U.S. Grades of Shelled Peanuts [1]

GRADE	SIZE			QUALITY
	Minimum Screen Size	Undersize		
U.S. No. 2 Runner	Split or broken kernels; 17/64" (round)	3%	Not to exceed total of 4%	(a) 2.00% for peanuts not similar in appearance; (b) 3.00% for minor defects and damaged peanuts, including not more than 1.50% damaged peanuts; and,
	Whole kernels: 14/64 x 3/4" (slot)	3%		
U.S. No. 2 Spanish	Split or broken kernels: 16/64 x 3/4" (round)	3%	Not to exceed total of 4%	(c) 0.2% for foreign material.
	Whole kernels: 13/64 x 3/4" (slot)	3%		
U.S. No. 2 Virginia	Split, broken and whole kernels: 17/64" (slot)	4%		

§2851.2545 TABLE IV - SIZE REQUIREMENTS AND TOLERANCES FOR U.S. SPLITS GRADES OF SHELLED PEANUTS 1/

GRADE	SIZE		QUALITY
	Minimum Round Screen Size	Undersize	
U.S. Runner Split	17/64"	2%	(a) 2.00% for peanuts not similar in appearance;
U.S. Spanish Split	16/64"	2%	(b) 2.00% for minor defects and damaged kernels, including not more than 1.50% for damaged peanuts;
U.S. Virginia Split	20/64"	2%	(c) 4.00% for sound whole kernels except Virginia type may consist of 10% whole kernels; and,
			(d) 0.2% for foreign material.

1/ Tolerances by weight are provided in order to allow for variations incident to proper grading and handling.

§ 2851.2546 U.S. Grades "with splits."

U.S. grades designated "with splits" shall conform to the quality requirements of the designated grade and shall contain not less than 4 percent or more than 15 percent sound split or broken kernels.

Whole Kernels shall conform to the minimum screen size and undersize tolerance of the designated grade, § 2851.2542, Table I, or § 2851.2543, Table II. A tolerance of 3 percent shall apply for undersize split or broken kernels in accordance with minimum screen sizes specified by peanut type for U.S. Splits, § 2851.2545, Table IV.

Application of Tolerances.

§ 2851.2547 Application of tolerances.

The tolerances provided in these standards are on a lot basis and shall be applied to a composite sample representative of the lot. However, any container or group of containers in which the peanuts are obviously of a quality materially different from that in the majority of containers shall be considered a separate lot, and shall be sampled separately.

Definitions

§ 2851.2548 Similar in appearance.

"Similar in appearance" means that the peanuts in a lot are characteristic of the designated type.

§ 2851.2549 Undersize.

"Undersize" means those sound whole kernels or portions of kernels which pass through the minimum screen size specified in connection with the grade.

§ 2851.2550 Oversize.

"Oversize" means those whole kernels which ride the maximum screen size specified in connection wih the grade.

§ 2851.2551 Whole.

"Whole" means that the peanut kernel is not split or broken.

§ 2851.2552 Split.

"Split" means a separated half of a peanut kernel.

§ 2851.2553 Broken.

"Broken" means that more than one-fourth of the peanut kernel is broken off.

§ 2851.2554 Foreign material.

"Foreign material" means pieces or loose particles of any substance other than peanut kernels or skins.

§ 2851.2555 Minor defects.

"Minor defects" means that the peanut kernel is affected by one or more of the following, or an equally objectionable variation of any one of these minor defects, or any other minor defect, or any combination of minor defects which noticeably detracts from the apparance, or the edible or marketing quality of the peanut:

(a) Skin discoloration which is dark brown, dark blue, dark gray or black and covers more than one-fourth of the surface;

(b) Flesh discloration which is darker than a light yellow color or consists of more than a slight yellow pitting of the flesh;

(c) Sprout extending more than one-eighth of an inch from the tip of the kernel; and,

(d) Adhering material when the surface of the kernel is lightly coated, flecked or smeared with any substance and its appearance is materially affected.

§ 2851.2556 Damage.

"Damage" means that the peanut kernel is affected by one or more of the following, or an equally objectionable variation of any one of these defects, any other defect, or any combination of defects which materially detracts from the appearance, or the edible or marketing quality of the peanut:

(a) Unshelled peanut kernels with part or all of the hull (shell) attached;

(b) Rancidity or decay;

(c) Mold;

(d) Insects, worm cuts, web or frass;

(e) Freezing injury causing hard, translucent or discolored flesh; and,

(f) Adhering material when the surface is heavily coated, thickly flecked or smeared with any substance, seriously affecting its apperance.

(Secs. 203, 205, 60 Stat. 1087, as amended, 1090 as amended; 7 U.S.C. 1622, 1624)

Note.—This proposal has been reviewed under the USDA criteria implementing Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Draft Impact Analysis has been prepared and is available from Mr. Michael A. Canon, Fresh Products Branch, Fruit and Vegetable Quality Division, Food Safety and Quality Service, U.S. Department of Agriculture, Washington, DC 20250.

Done at Washington, DC, on: December 6, 1979.

Donald L. Houston,

Administrator, Food Safety and Quality Service.

[FR Doc. 79-38097 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-DM-M

FEDERAL HOME LOAN BANK BOARD

12 CFR Parts 545 and 563

Federal Savings and Loan System; Federal Savings and Loan Insurance Corporation; Marketable Certificates of Deposit; Brokered Funds

Dated: December 5, 1979.

AGENCY: Federal Home Loan Bank Board.

ACTION: Proposed rule.

SUMMARY: These proposed changes would modify or delete certain requirements applicable to (1) the issuance of marketable certificates of deposit, and (2) the acceptance of savings accounts opened or increased through the services of brokers, by institutions insured by the Federal Savings and Loan Insurance Corporation. The changes are intended to remove unnecessary obstacles to institutions' efforts to attract funds.

DATES: Comments must be received on or before February 12, 1980.

ADDRESS: Send comments to the Office of the Secretary, Federal Home Loan Bank Board, 1700 G Street NW., Washington, D.C. 20552.

FOR FURTHER INFORMATION CONTACT: Douglas P. Faucette, Associate General Counsel (202-377-6410), or John R. Hall, Attorney (202-377-6445), at the above address.

SUPPLEMENTARY INFORMATION: By Board Resolution No. 79-615, the Federal Home Loan Bank Board today adopted regulations regarding issuance of Eurodollar certificates of deposits by insured institutions. Included in those regulations were certain exceptions to the general limitations applicable to the issuance of marketable certificates of deposit and an exception to the general limitation on acceptance of brokered funds by insured institutions. Those exceptions were included in the final amendments in response to comments received on the Board's proposed amendments regarding Eurodollar certificates (44 FR 45635-45637, August 3, 1979).

On the basis of those comments and other information available to it, the Board believes that certain of the exceptions made for Eurodollar deposits should be made more generally applicable or the limitation should be deleted entirely. The Board believes that these actions would increase the usefulness of present authority to issue marketable certificates of deposit and would permit acquisition of additional funds through the use of brokers under certain circumstances.

These proposed changes reflect the Board's continuing effort to remove unnecessary obstacles to acquisition of funds by Federal associations.

The Board is proposing the following changes:

(1) A marketable certificate of deposit could be subject to redemption if redemption were financed by the issuance of other certificates at a lower rate of interest. The Board believes that redemption under such circumstances would permit management flexibility while assuring that the association's cost of funds would not increase during the original term of the certificate. Associations would continue to have authority to redeem a Eurodollar certificate in lieu of paying increased interest to compensate for changes in tax treaties.

(2) A marketable certificate of deposit could be subject to acceleration in the event of nonpayment of principal or interest on the certificate. The Board believes such provision for acceleration would increase the marketability of certificates by assuring that in case of a default the depositor would have an immediate claim for the deposit amount. Such an acceleration provision, while not increasing the issuing association's overall risk, should be attractive to potential depositors.

(3) A marketable certificate of deposit could provide for continued accrual and crediting of interest on the certificate after expiration of the fixed term, if the issuing association defaults in its obligation to pay the principal amount of the certificate at the expiration of the term. The Board believes that such a provision would be equitable for the depositor and would increase the marketability of certificates.

(4) A marketable certificate of deposit would not be required to be in a form that would be a negotiable instrument under the Uniform Commercial Code. An association's board of directors could prescribe the form, subject to agreement with the depositor. However, if the instrument were offered or described as a negotiable instrument, it would be required to comply with the law of the State or other jurisdiction regarding the form of negotiable instruments. The Board believes that the form of large marketable certificates can be adequately determined by requirements of the marketplace, without imposition of regulatory requirements.

(5) All certificate accounts with a term of five years or more would be exempted from the present limitation on acceptance by insured institutions of brokered funds. The primary purpose of the present limitation, which permits an insured institution to receive only five percent of its total accounts through the services of a broker, is to prevent institutions from holding large deposits of funds that are sensitive to change in market interest rates and subject to early withdrawal. The Board believes that use of brokers to obtain long term deposits will increase the ability of institutions to obtain increased accounts without increasing institutions' dependence on unstable funds.

Accordingly, the Board hereby proposes to amend § 545.1-4 of the Rules and Regulations for the Federal Savings and Loan System (12 CFR 545.1-4) by revising paragraphs (d)(2), (e)(4), and (f) thereof, and Part 563 of the Rules and Regulations for Insurance of Accounts (12 CFR Part 563) by revising paragraphs (d)(2), (e)(4), and (f) of § 563.3-3 and § 563.25 thereof, to read as follows:

PART 545—OPERATIONS

§ 545.1-4 Marketable certificates of deposit.

* * * * *

(d) *Limitations*

* * * * *

(2) The certificate shall not, by its terms or otherwise, (i) permit the certificate amount to be increased by payment on or transfer to the certificate; (ii) permit principal to be withdrawn or transferred from the certificate or the deposit it evidences, before the certificate expires; (iii) permit extension or renewal of the certificate; (iv) be subject to repurchase; (v) be subject to redemption, except that a certificate may provide for a redemption financed by the issuance of another certificate at a lower rate of interest, or a Eurodollar certificate that includes a provision as described in paragraph (b) of this section may provide for the association, at its option, to redeem the certificate in lieu of payment of an increased rate of interest; or (vi) be subject to acceleration, except in the event of nonpayment of principal and interest on the certificate.

* * * * *

(e) *Required provisions.* The certificate shall include in its provisions the following:

* * * * *

(4) A statement that no interest shall accrue on or be credited to the certificate for any time after the fixed term expires, except that a certificate may provide that interest shall accrue on or be credited to the certificate after expiration of the fixed term if the issuing association defaults in its obligation to pay the principal amount of such certificate at the expiration of its term; and

* * * * *

(f) *Form.* (1) The board of directors shall determine the form of the certificate.

(2) The certificate shall not be incorporated in a passbook.

(3) If the certificate is offered or described as a negotiable instrument, it must be such under the law of the state or other jurisdiction in which the home office of the Federal association is located.

(4) Notwithstanding any other provision of this section, the certificate may be interchangeable as between denominations or any form permitted by this paragraph (f); it may refer to such interchangeability and include anything that this Part or other applicable regulation or statute expressly permits or requires to be included.

* * * * *

PART 563—OPERATIONS

§ 563.3-3 Marketable fixed-rate, fixed-term accounts.

* * * * *

(d) *Limitations.* In acting under the approval granted by this section, an insured institution shall not issue any certificate:

* * * * *

(2) Which by its terms or otherwise is subject to (i) repurchase; (ii) redemption, except that a certificate may provide for a redemption financed by the issuance of another certificate at a lower rate of interest, and a Eurodollar certificate that includes a provision as described in paragraph (b) of this section may provide for the institution, at its option, to redeem the certificate in lieu of payment of an increased rate of interest; or (iii) acceleration, except in the event of nonpayment of principal or interest on the certificate.

* * * * *

(e) *Required provisions.* The certificate shall include in its provisions the following:

* * * * *

(4) A statement that no interest shall accrue on or be credited to the certificate for any time after the fixed term expires, except that a certificate may provide that interest shall accrue on or be credited to the certificate after expiration of the fixed term if the issuing association defaults in its obligation to pay the principal amount of such certificate at the expiration of its term; and

* * * * *

(f) *Form.* (1) The board of directors shall determine the form of the certificate.

(2) The certificate shall not be incorporated in a passbook.

(3) If the certificate is offered or described as a negotiable instrument, it must be such under the law of the state or other jurisdiction in which the principal office of the institution is located.

(4) Notwithstanding any other provision of this section, the certificate may be interchangeable as between denominations or any form permitted by this paragraph (f); it may refer to such interchangeability and include anything that this Part or other applicable regulation or statute expressly permits or requires to be included.

* * * * *

§ 563.25 Sales commissions.

* * * * *

(c) *Use of brokers.* (1) *General provisions.* The provisions of this section shall not prohibit the payment by any insured institution, within the limitations of this paragraph (c), of sales commissions to brokers, but no insured institution shall accept the opening or any increase of any account as a result of services of any broker or brokers or pay any sales commission pursuant to the permission granted by this paragraph (c) at any time when the outstanding balances of all accounts in such institution with original maturities of less than 5 years which were opened or increased as a result of services of any broker or brokers aggregate a total in excess of 5 percent of the total of all accounts in such institution at the close of the next preceding December 31 or the next preceding June 30, whichever is later.

* * * * *

(Sec. 5, 48 Stat. 132, as amended (12 U.S.C. 1464); Secs. 402, 403, 407, 48 Stat. 1256, 1257, 1260, as amended (12 U.S.C. 1725, 1726, 1730). Reorg. Plan No. 3 of 1947, 12 F.R. 7981, 3 CFR, 1943–48 Comp., p. 1071)

By the Federal Home Loan Bank Board.

J. J. Finn,

Secretary.

[FR Doc. 79-38345 Filed 12-13-79; 8:45 am]

BILLING CODE 6720-01-M

SMALL BUSINESS ADMINISTRATION

13 CFR Part 111

Pollution Control; Proposed Amendment To Provide That History of Operations of Predecessor Concern May be Considered as Part of Applicant Concern's History

AGENCY: Small Business Administration

ACTION: Proposed rule.

SUMMARY: As presently written, § 111.4(d) requires an applicant to have a 5 year history of operations. this rule has caused problems when a concern with a pollution problem has elected to sell its operations to a new concern, rather than comply with pollution control regulations. In some cases the new concerns may not survive if SBA's guarantee is not available to aid in acquiring pollution control facilities. For this reason SBA is proposing that a predecessor concern's history of operations may be considered when the sucessor concern conducts substantially the same activity at the same or on expanded location.

DATE: Comments must be received on or before January 14, 1980.

ADDRESS: Comments should be sent in duplicate to Associate Administrator for Finance and Investment, Small Business Administration, 1441 L Street, N.W., Washington, D.C. 20416.

FOR FURTHER INFORMATION CONTACT: Vincent A. Fragnito, Chief, Pollution Control Guarantees, Magazine Building, Rosslyn, Virginia 22209, (703) 235–2902.

SUPPLEMENTARY INFORMATION: Some new concerns needing the assistance do not have the requisite five year operating record with three years of profitable operations because they have recently purchased concerns with such operations either without knowing of the pollution control problems of the predecessor concern, or with that knowledge and an intent to comply with pollution control regulations. SBA proposes to amend § 111.4(d) to permit consideration of the predecessor concern's history of operations as part of the applicant's history of operations when the applicant is carrying on substantially the same activity at the same or an expanded location. This proposal is not designed to permit refinancing of a perdecessor concern's indebtedness which many have been assumed by the applicant.

Notice is hereby given that pursuant to the authority contained in section 5(b)(6) of the Small Business Act, 15 U.S.C. 634, it is proposed to amend, as set forth below, Part 111, Chapter 1, Title 13 of the Code of Federal Regulations.

1. Section 111.4(d) is proposed to be amended to read as follows:

§ 111.4 Eligibility

* * * * *

(d) Have been in operation for at least five years and have a history of profitable operations during any three of the five years preceding the date of the application; provided, a predecessor concern's operations may be considered when the successor concern is engaged in substantially the same activity at the same or an expanded location.

* * * * *

(Catalog of Federal Domestic Assistance Programs No. 59.031, Small Business Polution control Financing Guarantee).

Dated: December 7, 1979

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38434 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

SECURITIES AND EXCHANGE COMMISSION

17 CFR Parts 231 and 241

[Releases Nos. 33-6163 and 34-16405; File No. S7-813]

Review of Guides for the Preparation and Filing of Registration Statements and Reports

AGENCY: Securities and Exchange Commission.

ACTION: Advance notice of proposed rulemaking.

SUMMARY: The Commission has authorized the Division of Corporation Finance to request public comment to assist it in its re-evaluation of the Guides for the Preparation and Filing of Registration Statements and Reports. The Division intends to re-examine the Guides to determine if they are current and effective and to consider what action, if any, would be appropriate to increase their usefulness and to eliminate any inconsistencies or out-of-date material.

DATE: Comments must be received on or before February 29, 1980.

ADDRESSES: All communications on the matters discussed in this release should be submitted in triplicate to George A. Fitzsimmons, Secretary, Securities and Exchange Commission, 500 North Capitol Street, Washington, D.C. 20549. Comment letters should refer to File No. S7–813. All comments received will be available for public inspection and copying in the Commission's Public Reference Room, 1100 L Street, N.W., Washington, D.C. 20549.

FOR FURTHER INFORMATION CONTACT: Bruce S. Mendelsohn or Catherine Collins, Office of Disclosure Policy, Division of Corporation Finance, Securities and Exchange Commission, 500 North Capitol Street, Washington, D.C. 20549 (202–272–2589).

SUPPLEMENTARY INFORMATION: The Securities and Exchange Commission today authorized the Division of Corporation Finance (the "Division") to request public comment on the concept of an overall re-evaluation of the Guides for the Preparation and Filing of Registration Statements under the Securities Act of 1933 (the "Securities Act") [15 U.S.C. 77a et seq.] [1] and of the Guides for the preparation and Filing of Reports and Proxy and Registration Statements under the Securities Exchange Act of 1934 (the "Exchange Act"). [15 U.S.C. 78a et seq.]. The present Guides are not Commission rules nor do they bear the Commission's official approval; they represent policies and practices followed by the Division in administering the disclosure requirements of the Securities Act and the Exchange Act.

The Commission believes that monitoring the effectiveness and operation of its existing rules, forms, and Guides is an essential part of its responsibilities in administering the federal securities laws. The Advisory Committee on Corporate Disclosure included in its recommendations to the Commission that the consequences and costs of new disclosure requirements be monitored after adoption and encouraged the Commission to re-evaluate periodically all of its outstanding rules.[2] The Advisory Committee felt that such monitoring would "keep the disclosure requirements current and effective and prevent the development of an encrusting layer of unnecessary and irrelevant information in disclosure documents."

In the Division's view, a thorough study of the Guides is consistent with and necessary to its objective of increasing uniformity and integration of the disclosure requirements under the Securities Act and the Exchange Act. The Division therefore intends to examine the Guides particularly in light of the creation and development of Regulation S–K.[3] Additionally, the Division plans to review all aspects of the Securities Act rules. It should be noted, however, that the review of the Guides will precede the study of the rules, specifically Regulation C.[4]

The Commission is continuing its efforts to develop and improve upon specific industry disclosure guides, as was recommended by the Advisory Committee. In this regard, the Commission has sought comment on the quality and desirability of disclosure made under existing Guide 61, relating to statistical disclosure for bank holding companies,[5] and published for comment proposed staff guidelines on disclosure by electric and gas utility companies.[6] The Division intends to address specific industry guides individually, rather than as part of the overall re-evaluation of the Guides. Accordingly, commentators are requested not to include suggestions or views with respect to industry guides in whatever comments they may submit in response to this release.

Inquiries

Comment is invited on all aspects of the Guides, a comprehensive list of which is appended hereto; with particular attention directed to the following points:

1. The effectiveness of the Guides, individually and as a whole;

2. Any portions of the Guides which may no longer be current or necessary in light of changes in statutes, Commision regulations, case law, securities markets or financial practices;

3. Any portions of the Guides which may be inconsistent with Commission rules, regulations or forms;

4. Any changes in disclosure requirements which may be necessary to make the guides more helpful to registrants and to provide meaningful disclosure for investors;

5. The optimum relationship of the Guides with Regulation S–K; and

6. The costs and other burdens occasioned by the Guides.

In addition, recognizing its limited staff resources, the Division requests that commentators indicate which areas, if any, they feel should receive immediate attention and which areas they feel are of less pressing concern.

By the Commission.

George A. Fitzsimmons,

Secretary.

December 5, 1979.

Appendix

The following is a list of the Guides under the Securities Act of 1933 and the Securities Exchagne Act of 1934. Brief descriptions of subject matter have been added where titles are not self-explanatory.

Guides for the Preparation and Filing of Registration Statements Under the Securities Act of 1933:

1. Pre-filing Conferences with Registrants.
2. Letter of Comment.
3. Applicability of Amended Rules and Forms to Previously Filed Statements.
4. Registration of Securities for Delayed Offerings. Guide 4 describes those types of deferred or extended offerings for which registration under the Securities Act is permitted despite the provisions of Section 6(a) thereof, which prevents registration without the intention to offer the securities in the proximate future.
5. Preparation of Prospectuses. Guide 5 encourages registrants to keep prospectuses readable and gives specific guidelines as to cover page content and presentation.
6. Introductory Statements. Guide 6 provides guidelines indicating when and where disclosure is appropriate as to risk factors, disparity between public offering price and effective cost to affiliated persons, and dilution of invesor's equity.
7. Dating of Prospectuses.
8. Pictorial or Graphic Representations in Prospectuses.
9. Promoters. Guide 9 refers registrants to Rule 405 (17 CFR 230.405), the Securities Act definitional rule, and discusses the conditions for using synonymous terms.
10. Registration of Options, Warrants or Rights and Other Securities Issued or Sold to Underwriters. Guide 10 points out that such securities issued to underwriters in connection with a public offering are considered part of the offering and, therefore, must be registered. The Guide also discusses such registration.
11. Finders. Guide 11 deals with appropriate cover page disclosure of finder's fees or similar payments.
12. Over-the-Counter Trading in Rights or Warrants. Guide 12 discusses the Uniform Practice Code of the National Association and Securities Dealers, Inc., approach to this subject and the appropriate disclosure of the basis for trading.
13. Market Quotations—Absence of Established Market. Guide 13 addresses the appropriateness of disclosing historical market prices of securities where there is an established market therefor and, where there is none, disclosing that fact.
14. Underwriters' Compensation from Conversion of Funds into Foreign Currency.
15. Expenses of Issuance and Distribution. Guide 15 discusses disclosure with respect to expenses incurred in the issuance and distribution of offerings of securities.
16. Underwriter's Experience and Due Diligence Inquiry. Guide 16 indicates that, where a new or speculative issue of securities is being requistered, the underwriter may be asked to explain to the staff its efforts to verify the prospectus disclosure.
17. Disclosure of Underwriting Discounts and Commissions.
18. Original Issue Discount of Debt Securities.
19. Distribution of Preliminary Prospectus. Guide 19 discusses adequate preliminary prospectus delivery as a condition to acceleration of effectiveness of a registration statement.
20. Mailing of Amended Preliminary Prospectus to Regional Offices.
21. Use of Proceeds. Guide 21 addresses acceptable content and presentation of use of proceeds disclosure.

[1] Securities Act Release No. 4936, December 9, 1968 [33 FR 18671], as amended.

[2] Report of the Advisory Committee on Corporate Disclosure to the Securities and Exchange Commission ("Report"), House Committee on Interstate and Foreign Commerce, 95th Cong., 1st Sess. (1977), Committee Print 95–29 at 328–342.

[3] 17 CFR Part 229, first adopted in Securities Exchange Act Release No. 14306, December 23, 1977 [42 FR 65554].

[4] 17 CFR 230.400 to 230.494.

[5] Securities Act Release No. 6115, August 30, 1979.

[6] Securities Act Release No. 6085, June 25, 1979.

22. Summary of Earnings. Because the Commission staff is currently re-evaluating Guide 22 in connection with a separate rule-making project, specific comments need not be addressed to this guide.

23. Current Financial Statements and Related Data. Guide 23 assists in determining the need for updating financial statements and related data in registration statements.

24. Currencies in Which Amounts Are to be Stated by Foreign Issuers.

25. Manner of Showing Distributions by Real Estate Syndicates and Real Estate Investment Trusts.

26. Statement of Dividend Policy. Guide 26 also is currently being considered by the staff and therefore should not be included in specific comments.

27. Names of Customers and Competitors.

28. Disclosure of Extractive Reserves and Natural Gas Supplies. Guide 28 addresses technical matters arising from the application of the disclosure requirements in various forms to oil and gas reserves and supplies.

29. Disclosure of Material Long-Term Leases.

30. Disclosure of Principal Sources of Electric Revenues.

31. Disclosure of Recent Developments—Backlog. Guide 31 points out that a material change in the trend of sales or earnings of the registrant, and the reason for the change, as well as information with respect to backlog level, should be adequately disclosed in the prospectus.

32. Liability of Shareholders to Laborers, Servants or Employees Under State Law.

33. Notice of Redemption of Convertible Securities or Callable Warrants.

34. Executive Committee.

35. Identification of Members of Board of Directors Selected by the Underwriters.

36. Effect of Issuance of Options or Warrants to Certain Persons. Guide 36 indicates certain disclosures which should be made if a material amount of options or warrants has been or is to be issued to promoters, underwriters, finders, principal stockholders, officers or directors.

37. Consents of Accountants.

38. Consents of Attorneys.

39. Charter Amendments Authorizing New Securities.

40. Underwriting Agreements.

41. Specimen Bond.

42. Reports or Memoranda Concerning the Registrant. Guide 42 specifies documents which should be furnished to the staff as supplemental information when a registration statement is filed.

43. Representations from Selling Security Holders. Guide 43 indicates that, where securities are registered to be sold for the accounts of individual selling security holders, those holders will be expected to provide the staff with letters stating the reasons for selling and that they are aware of the disclosure contained in the registration statement.

44. Securities Act Exemption for Shares Subject to Options. Guide 44 states that, where registrants with employee stock option plans have not registered the underlying stock, they should inform the staff by letter whether they intend to register stock issued upon exercise of the options and, if not, upon what exemption from registration they intend to rely.

45. Information as to Over-the-Counter Market for Securities to be Registered.

46. Statement as to Indemnificatiog. Guide 46 deals with disclosure appropriate where provisions are made for indemnification by the registrant of any of its directors, officers or controlling persons.

47. Enforceability of Civil Liabilities Under the Act Against Foreign Persons. Guide 47 discusses the need for foreign private registrants to disclose how civil liability under the Securities Act may be enforced by investors.

48. Annual Reports to Security Holders. Guide 48 states that registrants should disclose whether or not annual reports will be furnished to security holders and whether or not such will contain certified financial statements.

49. Revision of Prospectuses Where a Company and its Employee Plan have Different Fiscal Years.

50. Disclosure of Confidential Material to Other Government Agencies.

51. Release of Price Data on Subscription Offerings by Listed Companies. Guide 51 indicates that price information on subscription rights offerings may be disseminated through exchange facilities or the Dow Jones broad tape prior to the time a registration statement becomes effective so that such data is announced before trading is commenced.

52. Disclosure as to Listings on an Exchange. Guide 52 points out that disclosure of intent to apply for listing on a securities exchange may be misleading unless there is reasonable assurance that such application would be accepted.

53. Secondary Distribution "at the Market." Guide 53 describes various arrangements that should be entered into and disclosed, as protections against possible market manipulation, when a registration statement covers a non-underwritten offering "at the market" of a large block of securities held by a number of selling security holder.

54. Misleading Character of Certain Registrants' Names.

55. Prospectuses Relating to Interests in Oil and Gas Programs. Guide 55 sets forth the specific items of disclosure, and the order of presentation thereof, appropriate in prospectuses relating to the offering of interests in oil and gas drilling programs.

56. Interests of Counsel and Experts in the Registrant.

57. Registration Statements Relating to "Insurance Premium Funding" Programs. Guide 57 discusses registration fee calculation as well as prospectus presentation of summary, tabular, and hypothetical data in registration statements relating to insurance premium funding programs.

58. Disclosure in Prospectus of Registrant's Business Address and Telephone Number.

59. Summary of Disclosure in the Prospectus. Guide 59 states that in registration statements on certain forms there should be presented in the forepart of the prospectus a summary of its contents and sets forth that information which should be included in such summary.

60. Preparation of Registration Statements Relating to Interests in Real Estate Limited Partnerships. Guide 60 sets forth in detail the disclosure, and the order of presentation thereof, deemed appropriate in prospectuses relating to interests in real estate limited partnerships.

61. Statistical Disclosure by Bank Holding Companies. The Commission sought public comment on Guide 61 in Securities Act Release No. 6115 (August 30, 1979) and is now considering the comments received. Accordingly, commentators need not specifically re-address Guide 61 at this time.

62. Disclosure of Projections of Future Economic Performance.

Guides for the Preparation and Filing of Reports and Proxy and Registration Statements under the Securities Exchange Act of 1934:

1. Summary of Operations. Guide 1 also is currently being re-evaluated by the staff in connection with a separate rule-making project and therefore should not be included in specific comments.

2. Disclosure of Extractive Reserves and Natural Gas Supplies. (Same as Securities Act Guide 28.)

3. Statistical Disclosure by Bank Holding Companies. (Same as Securities Act Guide 61.)

4. Integrated Reports to Shareholders. Guide 4 also is being considered in connection with a separate rule-making project and therefore should not be addressed in specific comments.

5. Disclosure of Projections of Future Economic Performance. (Same as Securities Act Guide 62.)

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17 CFR Part 240

[Release No. 34-16410; File No. S7-814]

Procedures and Requirements for National Market System Plans

AGENCY: Securities and Exchange Commission.

ACTION: Proposed rulemaking.

SUMMARY: The Commission proposes to adopt a rule establishing procedures and requirements for plans governing planning, developing, operating or regulating a national market system or one or more facilities thereof. The proposal, if adopted, would establish procedures relating to Commission approval of national market system plans and amendments to such plans and would require competitive bidding in connection with certain aspects of the development or operation of facilities contemplated by national market system plans.

DATES: Comments should be submitted on or before March 14, 1980.

ADDRESSES: Persons wishing to submit written views should file ten copies thereof with George A. Fitzsimmons, Secretary, Securities and Exchange Commission, Room 892, 500 North Capitol Street, Washington, D.C. 20549. All submissions should refer to File No. S7-814 and will be available for public inspection at the Commission's Public Reference Room, Room 6101, 1100 L Street, N.W., Washington, D.C. 20549.

FOR FURTHER INFORMATION CONTACT: Brandon Becker, Division of Market Regulation, Securities and Exchange Commission, Room 321, 500 North Capitol Street, Washington, D.C. 20549, (202) 272-2829.

SUPPLEMENTARY INFORMATION: The Securities and Exchange Commission announced today that it is publishing for comment Rule 11Aa3-2 [17 CFR § 240.11Aa3-2] under the Securities Exchange Act of 1934 [15 U.S.C. 78a et seq., as amended by Pub. L. No. 94-29 (June 4, 1975)] (the "Act") which, if adopted, would establish procedures relating to the filing and approval of plans governing planning, developing, operating or regulating a national market system (or a subsystem thereof) or one or more facilities thereof ("NMS Plans"). The rule would also specify procedures for filing and amending NMS Plans (including amendments initiated by the Commission) and would establish certain substantive requirements relating to NMS Plans, including the requirement that competitive bidding be conducted in connection with certain aspects of the development or operation of facilities contemplated by NMS Plans.

I. Background

The Commission and the Congress have long recognized that joint industry action would provide a significant means of achieving the goals and facilities of a national market system. In 1972, in proposing Rule 17a-15 under the Act, which governs the operation of the consolidated transaction reporting system ("consolidated system"),[1] the Commission explicitly included a provision permitting self-regulatory organizations and non-member broker-dealers to establish joint procedures by which last sale information would be collected, processed and made available to vendors.[2] In including this provision, the Commission noted:

> Many of the commentators on Rule 17a-15 as initially proposed, as well as the Advisory Committee [on Disclosure], stressed the need for the central collection, processing and dissemination of the information covered by the Rule in order to ensure, among other things, the uniform sequencing of trade reports. The Commission concurs in this view.[3]

Consistent with the foregoing, in 1974 the Commission approved a joint industry plan ("CTA Plan") filed by various self-regulatory organizations to meet the requirements of Rule 17a-15, which currently provides for collecting, processing and disseminating a consolidated data stream of last sale reports relating to completed transactions in certain securities traded on national securities exchanges ("reported securities").[4] In addition, in 1974 the Commission requested the Amex and the Chicago Board Options Exchange, Incorporated ("CBOE") to file amendments to their respective option plans, pursuant to former Rule 9b-1 under the Act, to establish a joint plan for collecting, processing and disseminating in a consolidated data stream last sale reports relating to completed transactions in options.[5]

Moreover, the significance of joint industry action with respect to the implementation of a national market system was recognized by the Congress in the enactment of the Securities Acts Amendments of 1975 ("1975 Amendments").[6] Section 11A(a)(3)(B) of the Act authorizes the Commission, in furtherance of its statutory directive to facilitate the development of a national market system,

> By rule or order, to authorize or require self-regulatory organizations to act jointly with respect to matters as to which they share authority under [the Act] in planning, developing, operating, or regulating a national market system (or a subsystem thereof) or one or more facilities thereof;

Since the 1975 Amendments, the Commission has continued to urge joint industry action to facilitate the development of a national market system. On March 9, 1978, the Amex, BSE, NYSE, PSE and Phlx jointly filed with the Commission a "Plan for the Purpose of Creating and Operating an Intermarket Communications Linkage" ("ITS Plan").[7] On April 14, 1978, the Commission issued a temporary order pursuant to Section 11A(a)(3)(B) approving the ITS Plan for a period of 120 days.[8] In its order, the Commission stated:

> We believe it is important for the Commission to be able to proceed flexibly to encourage the development, and, where appropriate, immediate implementation, of facilities designed to meet the national market system objectives and to respond to the needs detailed in our January 1978 statement on the national market system. [Securities Exchange Act Release No. 14416 (January 26, 1978), 43 FR 4354.] The

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[1] *See* Securities Exchange Act Release No. 9731 (August 14, 1972), 37 FR 19148. Rule 17a-15 under the Act [17 CFR § 240.17a-15], adopted in November 1972, Securities Exchange Act Release No. 9850 (November 8, 1972), 37 FR 24172, required every national securities exchange and national securities association (and every broker-dealer not an exchange or association member who effected transactions in securities registered or admitted to unlisted trading privileges on an exchange) to file a plan with the Commission with respect to collecting, processing and disseminating last sale reports in securities registered or admitted to unlisted trading privileges on an exchange. The Commission has proposed to amend Rule 17a-15 and redesignate it as Rule 11Aa3-1. *See* Securities Exchange Act Release No. 15250 (October 20, 1978), 43 FR 50606.

[2] Rule 17a-15(b).

[3] Securities Exchange Act Release No. 9731 (August 14, 1972), at 2, 37 FR 19148.

[4] The current participants in the CTA Plan are the New York Stock Exchange, Inc. ("NYSE"), American Stock Exchange, Inc. ("Amex"), Midwest Stock Exchange, Incorporated ("MSE"), Pacific Stock Exchange, Incorporated ("PSE"), Philadelphia Stock Exchange, Inc. ("Phlx") and the National Association of Securities Dealers, Inc. ("NASD"). In addition, individual plans filed by the Boston Stock Exchange, Incorporated ("BSE"), Cincinnati Stock Exchange ("CSE") and Institutional Networks Corporation have been declared effective by the Commission upon the condition that each entity operate under the CTA Plan as an "other reporting party." Securities Exchange Act Release No. 11255 (February 18, 1975), 40 FR 8397.

[5] *See* Amex and CBOE, Proposed Plan for Reporting of Options Last Sale Price Information (November 5, 1974), 39 FR 39615. The current participants in the plan are the Amex, CBOE, MSE, PSE and Phlx. On July 5, 1979, the participants in the plan refiled the plan to extend its coverage to collecting, processing and disseminating quotation information and to obtain Commission approval of the plan under Section 11A(a)(3)(B) of the Act.

[6] Pub. L. No. 94-29 (June 4, 1975). For example, the Committee of Conference of both Houses of Congress, in discussing the implementation of a national market system, stated:

> It is the intent of the conferees that the national market system evolve through the interplay of competitive forces as unnecessary regulatory restrictions are removed. The conferees expect, however, in those situations where competition may not be sufficient, such as the creation of a composite quotation system or a consolidated transaction reporting system, the Commission will use the power granted to it in [the 1975 Amendments] to act promptly and effectively to ensure that the essential mechanisms of an integrated secondary trading system are put into place as rapidly as possible.

Committee of Conference, *Report to Accompany S. 249*, H.R. Rep. No. 94-249, 94th Cong., 1st Sess., at 92, *reprinted in*, [1975] U.S. Code Cong. & Ad. News 321, 323.

[7] The ITS Plan was filed in connection with the implementation of the Intermarket Trading System ("ITS"), an experimental market linkage system designed to permit commitments to trade multiply-traded securities to be routed between market centers.

[8] Securities Exchange Act Release No. 14661 (April 14, 1978) ("ITS Order"), 43 FR 17419. On August 11, 1978, the Commission extended that approval for an additional year and, on August 7, 1979, the Commission extended that approval for an additional three years. Securities Exchange Act Release Nos. 15058 (August 11, 1978) and 16214 (September 21, 1979), 43 FR 36732, 44 FR 56089. Currently, all self-regulatory organizations reporting stock transaction information other than the CSE and NASD are participating in the ITS. In addition, the Commission understands that discussions are continuing between the ITS participants and the NASD contemplating an ITS linkage with "third market" makers and between the ITS participants and the CSE contemplating a linkage with the CSE automated multiple dealer trading system, recently renamed the National Securities Trading System of the CSE.

Commission believes that, as a general matter, detailed plans contemplating joint development and operation of such facilities submitted to the Commission by self-regulatory organizations seeking Commission approval under Section 11A(a)(3)(B) of the Act would provide the Commission with a desirable degree of flexibility in that regard, particularly if such plans incorporate any joint procedures or methods of operation agreed to by plan sponsors which are to govern their conduct (both within their discrete markets and otherwise).[9]

In addition, the Commission has encouraged self-regulatory organizations to consider joint implementation of Rule 11Ac1–1 under the Act.[10] In its release announcing the adoption of that rule, the Commission noted that "any arrangement between all of the various exchanges and associations leading to centralized processing, sequencing and validation of quotations would be beneficial. . . ."[11] Moreover, the Commission delayed effectiveness of the rule for three months in part to permit its joint implementation. In doing so, the Commission stated:

> The Commission continues to believe that joint implementation of Rule 11Ac1–1 would be in the public interest and would further the purposes of the Act by facilitating the development of an important facility of a national market system—a composite quotation system. It also appears that the creation of a single data stream would result in reduced costs for both the self-regulatory organizations and the vendors by eliminating the necessity for duplicative facilities, data transmission lines and personnel and by resolving potential timing and sequencing problems.[12]

On July 25, 1978, various self-regulatory organizations filed a "Plan for the Purpose of Implementing Rule 11Ac1–1 Under the Securities Exchange Act of 1934" ("CQ Plan") with the Commission. The CQ Plan provides for collecting, processing and disseminating a consolidated data stream of quotations and quotation sizes in reported securities. On July 28, 1978, the Commission issued a temporary order pursuant to Section 11A(a)(3)(B) approving the CQ Plan for a period of six months.[13] On January 24, 1979, the Commission extended that approval for an additional year.[14]

In addition to these currently effective NMS Plans, the Commission has recently announced other market structure initiatives which contemplate the submission of further NMS Plans. On March 22, 1979, the Commission issued a status report ("Status Report") on the development of a national market system[15] in which it stated its intention to establish a nationwide price protection for all public limit orders. In order to facilitate this goal, the Commission requested.

each self-regulatory organization to inform the Commission in writing by May 1, 1979, of its commitment to work actively with other such organizations to develop in concert and submit to the Commission by September 1, 1979, a joint plan specifying a series of planned steps by which the mechanisms to provide price protection for all public limit orders will be developed and implemented, at least on a pilot basis, no later than the end of calendar year 1980.[16]

In addition, the Commission has recently proposed for comment Rule 11Aa2–1 under the Act, which would establish procedures by which securities or classes of securities would be designated as qualified for trading in a national market system ("national market system securities").[17] Paragraph (d) of that rule would require that, by December 31, 1979, self-regulatory organizations act jointly in filing with the Commission a designation plan to specify (1) procedures for applying the designation standards set forth in the rule; (2) criteria for designating certain national market system securities; (4) revocation and suspension procedures for national market system securities which fail to meet those maintenance standards; and (5) maximum time limits to implement various designation standards.

II. Discussion

While Section 11A(a)(3)(B) now provides the Commission with explicit authority to approve joint industry action with respect to the establishment of a national market system, that Section does not create procedures for filing or amending national market system plans or specify the minimum content of those plans. Therefore, the Commission has determined to propose for comment Rule 11Aa3–2 under the Act ("Rule"), which would establish uniform procedures in connection with the approval and amendment of NMS Plans and would specify certain minimum procedural and substantive requirements which would be applicable to NMS Plans.

The procedural aspects of proposed Rule 11Aa3–2 are primarily derived from the filing, amendment and appeals procedures contained in proposed Rule 11Aa3–1, the Commission's proposal to amend and redesignate Rule 17a–15.[18] The Commission has received limited comment on those provisions of proposed Rule 11Aa3–1[19] and has addresed certain of those comments in the text of proposed Rule 11Aa3–2 and in this release.[20] In addition to those aspects of the Rule which parallel the filing, amendment and appeals procedures set forth in proposed Rule 11Aa3–1, proposed Rule 11Aa3–2 contains two provisions which were not addressed in proposed Rule 11Aa3–1.

A. Commission Initiation of Amendments to NMS Plans

Paragraph (b)(1)(iii) of the Rule provides that the Commission may propose amendments to an NMS Plan on its own initiative.[21] No effective NMS Plan currently contains procedures relating to the adoption of amendments initiated by the Commission.

To date, the Commission has not felt that the operation of those NMS Plans which have been approved by the Commission has necessitated the exercise of Commission authority to modify the terms of those plans. However, the Commission believes that, in unusual circumstances, it may become necessary for the Commission to take the initiative in seeking amendment of an effective NMS Plan. As a result, the Commission believes that the Rule should specifically provide for Commission initiated amendments to NMS Plans.[22] The procedures applicable to Commission initiated amendments would be similar to the procedures applicable to the original filing of NMS Plans or amendments to NMS Plans filed by NMS Plan sponsors.[23]

B. Competitive Bidding in Connection With Certain Aspects of the Development or Operation of Facilities Contemplated by NMS Plans

Paragraph (b)(6) of the Rule would impose the requirement, not contained in any currently effective NMS Plan, that the selection of any person either (1) to supply hardware or software in connection with the development of any facility contemplated by an NMS Plan, or (2) to act as "plan processor"[24] in connection with the operation of any such facility, shall be conducted through competitive bidding.[25] However, in those instances in which competitive bidding would be required, the Rule would not mandate the selection of the lowest bidder provided that the NMS Plan specifies other reasonable criteria which may be considered by the person or persons making the selection.

In addition, the competitive bidding requirements would not apply to an NMS Plan which has been approved on a temporary or permanent basis as of the effective date of the Rule, or to any amendment to such an NMS Plan which is approved by the Commission after the effective date of the Rule.[26] Thus, the CTA, ITS and CQ Plans, which specifically provide for the initial selection of the Securities Industry Automation Corporation ("SIAC") as the processor for those plans,[27] would be permitted to retain SIAC in that capacity.[28] The Rule does, however, provide two exceptions to this provision. First, the competitive bidding requirement would apply in the event of the replacement of SIAC as plan processor for any of those plans.[29] In addition, in order to preclude circumvention of the competitive bidding requirement of the Rule, the competitive bidding requirement would apply in the event of an amendment to any of those plans which contemplates a new facility or a facility which was not operational as of the effective date of the Rule.[30]

Section 23(a)(2) of the Act, added by the 1975 Amendments, requires the Commission, in adopting rules under the Act, to

> consider among other matters the impact any such rule or regulation would have on competition. The Commission shall not adopt any such rule or regulation which would impose a burden on competition not necessary or appropriate in furtherance of the purposes of [the Act].

Thus, Section 23(a)(2) requires the Commission to evaluate its regulatory proposals in light of the fundamental national economic policy of furthering competition.[31]

As a preliminary matter, the Commission is concerned that the absence of competitive bidding in connection with the development and operation of facilities contemplated by an NMS Plan may have anticompetitive effects which may not be justified by the purposes of the Act.[32] In this connection, the Commission specifically requests comment on the competitive effects of, and purposes under the Act which may be served by, the absence of competitive bidding in this context.

As noted, paragraph (b)(6) of the Rule provides an exception to the general competitive bidding requirement with respect to the development of technical specifications for any facility contemplated by an NMS Plan. This exception is intended to reflect the possibility that it may not be feasible for NMS Plan sponsors to prepare the detailed technical specifications which would form the basis for a request for bids. However, the Commission specifically requests comment on whether the exception would effectively undermine the significance of the competitive bidding requirement.

C. Description of Proposed Rule 11Aa3–2

The Rule would provide that a "national market system plan"[33] or

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[9] ITS order, *supra* note 8, at 1–2, 43 FR at 17420 (footnotes omitted).

[10] Rule 11Ac1–1 under the Act [17 CFR § 240.11Ac1–1], which became effective August 1, 1978, requires each self-regulatory organization to collect, process and make available to securities information vendors quotations and quotation sizes for all securities as to which last sale information is reported pursuant to the CTA Plan. *See* Securities Exchange Act Release No. 14415 (January 26, 1978), 43 FR 4342.

[11] *Id.*, at 51, 43 FR at 4349. In contrast to Rule 17a–15, Rule 11Ac1–1 did not explicitly require self-regulatory organizations to file plans providing for collecting, processing and disseminating quotation information. *See* note 1, *supra*.

[12] Securities Exchange Act Release No. 14711 (April 26, 1978), 43 FR 18557.

[13] Securities Exchange Act Release No. 15009 (July 28, 1978), 43 FR 34851.

[14] Securities Exchange Act Release No. 15511 (January 24, 1979), 44 FR 6230. Currently, all self-regulatory organizations reporting transactions in reported securities other than the CSE are disseminating quotations to vendors pursuant to the CQ Plan. On November 15, 1979, the CSE became a participant in the CQ Plan. The CSE anticipates that it will disseminate quotations pursuant to the CQ Plan in the near future.

[15] Securities Exchange Act Release No. 15671 (March 22, 1979), 44 FR 20360.

[16] Status Report, *supra* note 15, at 23–24, 44 FR at 20363. In addition, the Commission indicated that it contemplated proposing a rule which would require protection for all displayed public limit orders against executions at inferior prices. *Id.* at 24–25, 44 FR at 20363. In April 1979, the Commission proposed such a rule, Rule 11Ac1–3, for comment. *See* Securities Exchange Act Release No. 15770 (April 26, 1979), 44 FR 28692.

[17] *See* Securities Exchange Act No. 15926 (June 15, 1979), 44 FR 36912.

[18] *See* note 1, *supra*. These procedures are also derived from Section 19(b) of the Act. Paragraphs (d) and (e) of proposed rules 11Aa3–1 and 11Aa2–1 contain procedures relating to the joint plan filed pursuant to those rules which are redundant with certain of the procedures contained in proposed Rule 11Aa3–2. If Rule 11Aa3–2 is adopted, these redundant provisions in Rules 11Aa3–1 and 11Aa2–1 would be deleted.

[19] *See* letter from Joseph W. Sullivan, President, CBOE, to George A. Fitzsimmons, Secretary, Securities and Exchange Commission, dated December 19, 1978, at 3–4, and letter from Robert C. Hall, Chairman, Consolidated Tape Association, to George A. Fitzsimmons, Secretary Securities and Exchange Commission, dated January 11, 1979, Appendix, at 5–6, 10–11, contained in File No. S7–758.

[20] The Commission expects to take further regulatory action on proposed Rule 11Aa3–1 in the near future.

[21] Rule 11Aa3–2(b)(1)(iii). The Rule also permits the "sponsors" of a plan to proposed amendments in accordance with the procedures set forth in the plan. For purposes of the Rule, a "sponsor" is defined in paragraph (a)(8) of the Rule to mean, when used in connection with an NMS Plan, any self-regulatory organization or any nonmember

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broker or dealer which is a signatory to the NMS Plan and has agreed to act in accordance with the terms of the NMS Plan.

[22] Certain questions concerning the Commission's authority to initiate amendments to a joint industry plan were raised in the context of the Commission's approval of the CTA Plan. *See* Securities Exchange Act Release Nos. 10218 (June 13, 1973), 10671 (March 8, 1974), 10067 (May 10, 1974), and 15250 (October 30, 1978), 38 FR 15999, 39 FR 10034, 39 FR 17799 and 43 FR 50806. However, any such questions would appear to have been eliminated by the addition of Sections 11A(a)(3)(B), 11A(c) [15 U.S.C. 78k–1(a)(3)(B) and (c)] and other provisions of the 1975 Amendments.

[23] *See* text accompanying notes 33–47, *infra*.

[24] The term "plan processor" is defined in paragraph (a)(5) of the Rule to mean any self-regulatory organization or securities information processor acting as a sole processor in connection with the development, implementation and/or operation of any facility contemplated by an effective NMS Plan.

[25] The paragraph contains an exception for the selection of any person in connection with the development of technical specifications with respect to any such facility.

[26] Rule 11Aa3–2(b)(7).

[27] SIAC is a joint subsidiary of the Amex and NYSE. The United States General Accounting Office, in its recent report to Congress on the Commission's efforts to facilitate the establishment of a national market system, called into question whether SIAC was acting in a neutral manner as a securities information processor and recommended that the Commission develop an evaluation program to assess, on a continuing basis, the status of SIAC's neutrality. United States General Accounting Office, *Report to the Congress*, Improvements Needed in the Securities and Exchange Commission's Efforts to Establish a National Market 20–21, September 19, 1979 ("GAO Report"). While the Commission has declined to establish such a program, the GAO Report implicitly raises significant questions regarding the selection of SIAC as processor of all facilities of a national market system without any competitive bidding procedures.

[28] The Commission specifically requests comment on whether the competitive bidding requirement of the Rule should be extended to NMS Plans which have been approved as of the effective date of the Rule. In this connection, the Commission anticipates that, if the competitive bidding requirement were made applicable to those plans, the Commission would require the plan processor to be selected by competitive bidding within one year after the effective date of the Rule.

[29] Rule 11Aa3–2(b)(7)(ii)(B). *See* CTA Plan, § IV(e), at 11; ITS Plan, § 8, at 38–39; CQ Plan, § V(d) & (e), at 14–15.

[30] Rule 11Aa3–2(b)(7)(ii)(A).

[31] *See* Senate Commission on Banking, Housing & Urb. Affs., *Report to Accompany S. 249*, S. Rep. No. 94–75, 94th Cong., 1st Sess. 13 (1975), [1975] U.S. Code Cong. & Ad. News at 192. S. 249 contained the provision which was the basis for Section 23(a)(2) of the Act.

[32] *Cf. Bradford Nat'l Clearing Corp.* v. *SEC*, 590 F. 2d 1085 (D.C. Cir. 1978). In *Bradford*, the court upheld the Commission's approval of the application of the National Securities Clearing Corporation ("NSCC") for registration as a clearing agency under the Act, but remanded two issues with respect to that approval for the Commission's further consideration, including the issue of the selection of SIAC as the facilities manager for NSCC without competitive bidding. The Commission has solicited comment on this issue. *See* Securities Exchange Act Release Nos. 15640 and 15882 (March 14 and May 30, 1979), 44 FR 17838, 33198. The Commission's proposal of the Rule and its general solicitation of comment on the issue of competitive bidding embodied in proposed Rule 11Aa3–2 (b)(6) should not be construed as indicating the Commission's ultimate position on the resolution of this issue.

[33] The term "national market system plan" is defined in paragraph (a)(1) of the Rule to mean any plan with respect to (1) the planning, development, operation or regulation of a national market system (or a subsystem thereof) or one or more facilities thereof or (2) the development and implementation of procedures and/or facilities designed to achieve compliance by self-regulatory organizations, their

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amendment may be filed with the Commission by submitting the text of the plan or amendment, together with a statement of the purpose of, and the basis under the Act for, the plan or amendment and, to the extent applicable, the documents and information required by paragraphs (b)(3) and (b)(4) of the Rule.[34] Paragraph (b)(3) of the Rule would require that every NMS Plan or amendment filed include copies of all governing or constituent documents relating to any "plan association."[35] In addition, paragraph (b)(3) would require that the NMS Plan or amendment include a detailed description of the manner in which the NMS Plan or amendment, and any facility or procedure contemplated by the NMS Plan or amendment, will be implemented. In this connection, the NMS Plan or amendment is required to include, if applicable: (1) a listing of all significant phases of development and implementation, together with the projected date of completion of each phase; (2) a statement of the method by which any significant contracts for any phase of development and implementation will be let, including any contract to act as exclusive processor with respect to any facility contemplated by the NMS Plan or amendment; (3) an analysis of the impact on competition of implementation of the NMS Plan or amendment or any facility contemplated by the NMS Plan or amendment; and (4) a description of any written agreements or understandings between or among the NMS Plan sponsors or participants relating to interpretations of the NMS Plan or conditions for joining the NMS Plan.

Similarly, paragraph (b)(4) of the Rule would require that the NMS Plan or amendment include a detailed description of the manner in which any facility contemplated by the NMS Plan or amendment will be operated. In this connection, the NMS Plan or amendment is required to include, if applicable: (1) the terms and conditions under which brokers, dealers and/or self-regulatory organizations will be granted or denied access to any facility; (2) the method by which any dues or other charges in connection with access to, or use of, the facility will be determined and imposed; (3) the method by which, and the frequency with which, the performance of any person acting as plan processor will be assessed; and (4) the method by which disputes arising in connection with the operation of the NMS Plan will be resolved.[36]

It should be noted that the requirements contained in paragraphs (b)(3) and (b)(4) of the Rule would not apply to an NMS Plan which has been approved, on a temporary or permanent basis, as of the effective date of the Rule, or to any amendment to such an NMS Plan which is approved by the Commission after the effective date of the Rule, except an amendment which contemplates a new facility or a facility which was not operational as of the effective date of the Rule.[37]

The Rule provides that any person who is a sponsor[38] of an effective NMS Plan[39] may propose an amendment to an NMS Plan which has been approved in accordance with the terms of the NMS Plan.[40] In addition, as discussed above,[41] the Commission may itself initiate an amendment to an effective NMS Plan.[42]

The Rule provides that any proposed NMS Plan or amendment (including any amendment initiated by the Commission) to an effective NMS Plan, together with the terms of substance of the proposed NMS Plan or amendment, or a description of the subjects and issues involved, be noticed for comment[43] and approved by the Commission prior to effectiveness.[44] In this connection, the Commission may approve the NMS Plan or amendment with such changes or subject to such conditions as the Commission may deem necessary or appropriate.[45] However, if the Commission finds that a proposed amendment is (1) necessary or appropriate in the public interest, for the protection of investors or the maintenance of fair and orderly markets, to remove impediments to and perfect mechanisms of, a national market system or otherwise in furtherance of the purposes of the Act, or (2) of a technical or ministerial nature, the Rule would permit the Commission to approve the amendment on a temporary basis not to exceed 120 days, upon publication of notice of such amendment.[46]

The Commission believes that it is appropriate to provide a procedure for Commission review, in its discretion, of any action taken or failure to act by any person in connection with an effective NMS Plan. Paragraph (e) of the Rule therefore provides that any action taken or failure to act by any person in connection with an effective NMS Plan shall be subject to review by the Commission, on its own motion or upon application of any person aggrieved thereby.[47] In any proceeding under paragraph (e), the Commission shall provide for appropriate notice and opportunity for hearing. Upon consideration of any data, views and arguments presented in connection with such hearing and such other evidence as it deems relevant, and having due regard for (i) whether the action or failure to act is in accord with the applicable provisions of the NMS Plan, (ii) whether such provisions are, and were, applied in a manner consistent with the public interest, the protection of investors, the maintenance of fair and orderly markets and the removal of impediments to, and perfection of the mechanisms of, a national market system, and (iii) whether such action or failure to act imposes any burden on competition not necessary or appropriate in furtherance of the purposes of the Act, the Commission shall, by order, either (A) dismiss the proceeding or (B) set aside such action and require such action in connection with the matter reviewed as the Commission deems appropriate in accordance with the public interest and the protection of investors, the maintenance of fair and orderly markets, and the removal of impediments to, and perfection of the mechanisms of, a national market system.

Finally, in addition to the requirement with respect to competitive bidding,[48] the Rule contains two other requirements. First, the Rule provides that every NMS Plan required to be filed pursuant to a Commission rule is required to comply with all other provisions of that Commission rule.[49] Second, the Rule provides that every self-regulatory organization and nonmember broker or dealer[50] shall comply with the terms of any NMS Plan of which it is a sponsor or a participant.[51] Each self-regulatory organization shall also, absent reasonable justification or excuse, enforce compliance with any such MSN Plan by its members and persons associated with its members.[52]

III. Text of Proposed Rule

The Securities and Exchange Commission hereby proposes to adopt Rule 11Aa3–2 under the Act [17 CFR § 240.11Aa3–2] pursuant to its authority under the Securities Exchange Act of 1934 [15 U.S.C. 78a et seq., as amended by Pub. L. No. 94–29 (June 4, 1975)] and particularly Sections 2, 3, 6, 9, 10, 11A, 15, 15A, 17 and 23 thereof (15 U.S.C. 78b, 78c, 78f, 78i, 78j, 78k–1, 78o, 78o–3, 78g, and 78–w).

§ 240.11Aa3–2 Filing and amendment of national market system plans.

(a) *Definitions.* For purposes of this section, (1) The term "national market system plan" shall mean any plan in connection with (i) The planning, development, operation or regulation of a national market system (or a subsystem thereof) or one or more facilities thereof, or (ii) The development and implementation of procedures and/or facilities designed to achieve compliance by selfregulatory organizations, their members, or nonmember brokers and dealers with §§ 240.11Aa2–1, 11Aa3–1, 11Ac1–1, or 11Ac1–3 (Rules 11Aa2–1, 11Aa3–1, 11Ac1–1, or 11Ac1–3 under the Act), meeting the requirements of this section.

(2) The term "effective national market system plan" shall mean any national market system plan approved by the Commission (either temporarily or on a permanent basis) pursuant to this section.

(3) The term "plan association" shall mean any person other than a self-regulatory organization authorized to implement or administer any national market system plan on behalf of persons acting jointly under paragraph (d) of this section.

(4) The term "self-regulatory organization" shall mean any national securities exchange ("exchange") or national securities association ("association").

(5) The term "plan processor" shall mean any self-regulatory organization or securities information processor acting as a sole processor in connection with the development, implementation and/or operation of any facility contemplated by an effective national market system plan.

(6) The terms "vendor" and "reported security" shall have the meaning provided in § 240.11Aa3–1 (Rule 11Aa3–1 under the Act).

(7) The term "nonmember broker or dealer" shall mean any broker or dealer which is not a member of an exchange or association.

(8) The term "sponsor," when used in connection with a national market plan, shall mean any self-regulatory organization or nonmember broker or dealer which is a signatory to such plan and has agreed to act in accordance with the terms of the plan.

(9) The term "participant," when used in connection with a national market system plan, shall mean any self-regulatory organization or nonmember broker or dealer which has agreed to act in accordance with the terms of the plan but which is not a signatory of such plan.

(b) *Filing of national market system plans and amendments thereto.* (1)(i) A national market system plan may be filed with the Commission by submitting the text of the plan with the Secretary of the Commission, together with a statement of the purpose of, and the basis under the Act for, such plan and, in addition, to the extent applicable, the documents and information required by subparagraphs (b)(3) and (b)(4) of this section.

(ii) Any sponsor or sponsors of an effective national market system plan may propose an amendment to such plan ("proposed amendment"), in accordance with the terms of such plan, by filing the text of such amendment with the Secretary of the Commission, together with a statement of the purpose of, and the basis under the Act for, such amendment and, to the extent applicable, the documents and information required by paragraphs (b)(3) and (b)(4) of this section.

(iii) The Commission may propose amendments to any effective national market system plan by publishing the text thereof, together with a statement of the purpose of such amendment, in accordance with the provisions of paragraph (c) of this section.

(2) Self-regulatory organizations and nonmember brokers and dealers are authorized to act jointly in filing a national market system plan or any amendment thereto,or implementing or administering an effective national market system plan.

(3) Subject to the provisions of paragraph (b)(7) of this section, every national market system plan filed pursuant to this section, or any amendment thereto, shall include copies of all governing or constituent documents relating to any plan association and shall include, to the extent applicable,

(i) A detailed description of the manner in which the plan or amendment, and any facility or procedure contemplated by the plan or amendment, will be implemented;

(ii) A listing of all significant phases of development and implementation (including any pilot phase contemplated by the plan or amendment), together with the projected date of completion of each phase;

(iii) A statement of the method by which any significant contracts for any phase of development and implementation will be let, including any contract to act as plan processor in connection with any facility

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Footnotes continued from last page

members, or nonmember brokers and dealers, with proposed Rule 11Aa2–1 relating to the designation of qualified securities, proposed Rule 11Aa3–1 amending and restating Rule 17a–15, Rule 11Ac1–1 governing the collection and dissemination of quotation information in listed equity securities, and proposed Rule 11Ac1–3 relating to price protection of displayed public limit orders. Thus, the definition of "national market system plan" makes clear that, except as otherwise indicated in the Rule, the Rule applies to all plans filed or which may be filed relating to proposed or adopted rules authorizing or requiring the adoption of an NMS Plan.

[34] Rule 11Aa3–2(b)(1)(i).

[35] The term "plan association" is defined in paragraph (a)(3) of the Rule to mean any person (other than a self-regulatory organization) authorized to implement or administer any NMS Plan on behalf of persons acting jointly with respect to an NMS Plan.

[36] The Rule contains a specific provision for appeals to the Commission in connection with the implementation or operation of an NMS Plan. *See* text accompanying note 47, *infra*.

[37] Rule 11Aa3–2(b)(7)(i).

[38] *See* note 21, *supra*.

[39] The term "effective national market system plan" is defined in paragraph (a)(2) of the Rule to mean any NMS Plan approved by the Commission.

[40] Rule 11Aa3–2(b)(1)(ii).

[41] *See* text accompanying notes 21–23, *supra*.

[42] Rule 11Aa3–2(b)(1)(iii).

[43] In order to provide for maximum flexibility in the administration of the Rule, the Rule does not contain a specified period for comment or Commission action. The Commission, however, requests comment on whether such specified periods should be contained in the Rule.

[44] Rule 11A3–2(c)(1). While it would not be necessary to reobtain Commission approval of effective NMS Plans approved prior to the effective date of the Rule on a temporary basis, it would be necessary to obtain permanent Commission approval of those NMS Plans. However, as indicated above (*See* text accompanying notes 26–30, and 37, *supra*), the requirements of paragraphs (b)(3), (4) and (6) of the Rule would not, with certain exceptions, be applicable in connection with obtaining permanent Commission approval of those NMS Plans.

[45] Rule 11Aa3–2(c)(2). The Commission intends to publish notice of any material changes for public comment prior to Commission approval.

[46] Rule 11Aa3–2(c)(3). *Cf.* Section 19(b)(3) of the Act.

[47] The Commission believes that the effect of any action taken or failure to act by a person in connection with the operation of an NMS Plan may be similar to a prohibition or limitation by a self-regulatory organization with respect to access to services offered by a self-regulatory organization or any member thereof. As a consequence, the provisions of paragraph (e) are similar to the provisions of Sections 19(d) and (f) of the Act, which were added by the 1975 Amendments. However, in view of the specific statutory procedures applicable in the event of a prohibition or limitation of access by a registered securities information processor (Section 11A(b)(5) of the Act) or a self-regulatory organization (Section 19(d) of the Act), the procedure excludes from its ambit the prohibition or denial of access reviewable by the Commission pursuant to Sections 11A(b)(5) or 19(d) of the Act. Thus, for example, paragraph (e) would apply in the event of an appeal by a participant in the ITS Plan from action taken by the other ITS participants.

[48] *See* text accompanying notes 24–32, *supra*.

[49] Rule 11Aa3–2(b)(5). Currently, this provision would apply to plans filed pursuant to Rule 17a–15 under the Act and the plan which would be required to be filed in the event of the adoption of Rule 11Aa2–1 under the Act.

[50] The term "nonmember broker or dealer" is defined in paragraph (a)(7) of the Rule to mean any broker or dealer which is not a member of an exchange or association.

[51] The term "participant," when used in connection with an NMS Plan, is defined in paragraph (a)(9) of the Rule to mean any self-regulatory organization or nonmember broker or dealer which has agreed to act in accordance with the terms of the plan but which is not a signatory of such plan.

[52] Rule 11Aa3–2(d). *See* Sections 6(b)(1), 15A(b)(2) and 19(g)(1) of the Act.

contemplated by the plan or amendment;

(iv) An analysis of the impact on competition of implementation of the plan or amendment or any facility contemplated by the plan or amendment;

(v) A description of any written understandings or agreements between or among plan sponsors or participants relating to interpretations of the plan or conditions for joining the plan; and

(vi) In the case of a proposed amendment, a statement that such amendment has been approved by the sponsors and/or participants in accordance with the terms of the plan.

(4) Subject to the provisions of paragraph (b)(7) of this section, every national market system plan or any amendment thereto shall include a description of the manner in which any facility contemplated by the plan or amendment will be operated. Such description shall include, to the extent applicable, (i) The terms and conditions under which brokers, dealers, and/or self-regulatory organizations will be granted or denied access (including specific procedures and standards governing the granting or denial of access); (ii) The method by which any fees or charges in connection with access to, or use of, any facility contemplated by the plan will be determined and imposed (including any provision for distribution of any net proceeds from such fees or charges to the sponsors and/or participants) and the amount of such fees or charges; (iii) The method by which, and the frequency with which, the performance of any person acting as plan processor with respect to the operation of the plan will be evaluated; and (iv) The method by which disputes arising in connection with the operation of the plan will be resolved.

(5) Any national market system plan required to be filed with the Commission pursuant to another section of this subpart (or any amendment thereto) shall, in addition to compliance with this section, also comply with the requirements of such other section.

(6) Subject to the provisions of paragraph (b)(7) of this section, selection of any person to (i) supply hardware or software in connection with the development or operation of any facility contemplated by a national market system plan, or any amendment thereto, or (ii) act as plan processor in connection with the operation of any such facility, shall be conducted through competitive bidding in accordance with procedures described in the plan; *Provided, however,* That competitive bidding shall not be required in connection with the development of technical specifications for any such facility; and, *Provided, further,* That this paragraph shall not require selection of the lowest bidder if the plan specifies other reasonable criteria which may be considered in making the selection and the sponsors submit to the Commission a statement setting forth the basis for the selection of a person other than the lowest bidder.

(7) The provisions of paragraphs (b)(3), (b)(4) and (b)(6) of this section shall not apply to any national market system plan (or amendment thereto) filed with and approved by the Commission (either temporarily or on a permanent basis) before the effective date of this section ("pre-effective date plan"), or to amendments to any such plan filed with and approved by the Commission (either temporarily or on a permanent basis) on or after the effective date of this section, except as follows:

(i) Paragraphs (b)(3) and (b)(4) of this section shall apply to any proposed amendment to a pre-effective date plan which contemplates the development, implementation or operation of a national market subsystem or facility which was not contemplated by such plan as approved by the Commission or was not operational on the effective date of this section (a "new facility amendment");

(ii) Paragraph (b)(6) of this section shall apply to any selection made

(A) In connection with a new facility amendment to a pre-effective date plan, or

(B) To replace a plan processor.

(c) *Effectiveness of national market system plans.*

(1) The Commission shall publish notice of the filing of any national market system plan, or any proposed amendment to any national market system plan (including any amendment initiated by the Commission), together with the terms of substance in the filing or a description of the subjects and issues involved, and shall provide interested persons an opportunity to submit written comments.

(2) Except as provide in paragraph (c)(3) of this section, no national market system plan, or any amendment thereto, shall become effective unless the Commission, having due regard for the purposes of the Act, including the public interest, the protection of investors, the maintenance of fair and order markets, and the need to remove impediments to, and perfect the mechanisms of, a national market system, shall, after appropriate notice and opportunity for comment, approve such plan or amendment, with such changes or subject to such conditions as the Commission may deem necessary or appropriate. Approval of a national market system plan, or an amendment to an effective national market system plan (other than an amendment initiated by the Commission), shall be by order. Approval of an amendment to an effective national market system plan initiated by the Commission shall be by rule.

(3) Notwithstanding the provisions of paragraph (c)(2) of this section, a proposed amendment may be put into effect upon publication of notice of such amendment, on a temporary basis not to exceed 120 days, if the Commission finds that (i) such action is necessary or appropriate in the public interest, for the protection of investors or the maintenance of fair and orderly markets, to remove impediments to, and perfect mechanisms of, a national market system or otherwise in furtherance of the purposed of the Act, or (ii) the proposed amendment involves only technical or ministerial matters.

(4) Any plan in connection with (i) The planning, development, operation or regulation of a national market system (or a subsystem thereof) or one or more facilities thereof, or (ii) The development and implementation of procedures and/or facilities designed to achieve compliance by self-regulatory organizations and/or their members with §§ 240.11Aa2–1, 11Aa2–1, 11Aa3–1, 11Ac1–1, or 11Ac1–3.

(Rules 11Aa2–1, 11Aa3–1, 11Ac1–1 or 11Ac1–3 under the Act), (or any amendment to any such plan) approved by the Commission under section 11A of the Act or any rule or regulation thereunder prior to the effective date of this section (either temporarily or on a permanent basis) shall be deemed to have been filed and approved pursuant to this section; *Provided, however,* That all terms and conditions associated with any such approval (including time limitations) shall continue to be applicable; and, *Provided, further,* That, subject to the provisions of paragraph (b)(7) of this section, any amendment to any such plan filed with or approved by the Commission on and after the effective date of this section shall be subject to the provisions of, and considered in accordance with the procedures specified in, this section.

(d) *Compliance with terms of national market system plans.* Each self-regulatory organization and nonmember broker or dealer shall comply with the terms of any effective national market system plan of which it is a sponsor or a participant. Each self-regulatory organization shall also, absent reasonable justification or excuse, enforce compliance with any such plan by its members and persons associated with its members.

(e) *Appeals.* The Commission may, in its discretion, entertain appeals in connection with the implementation or operation of any effective national market system plan as follows:

(1) Any action taken or failure to act by any person in connection with an effective national market system plan (other than a prohibition or limitation of access reviewable by the Commission pursuant to section 11A(b)(5) or section 19(d) of the Act) shall be subject to review by the Commission, on its own motion or upon application by any person aggrieved thereby (including but not limited to self-regulatory organizations, brokers, dealers, issuers and vendors), filed not later than 30 days after notice of such action or failure to act or within such longer period as the Commission may determine.

(2) Application to the Commission for review pursuant to this section, or the institution of review by the Commission on its own motion, shall not operate as a stay of any such action unless the Commission determines otherwise, after notice and opportunity for hearing on the question of a stay (which hearing may consist only of affidavits or oral arguments).

(3) In any proceeding for review pursuant to this section, the Commission shall provide for appropriate notice and opportunity for hearing (which hearing may consist solely of the record of any other proceedings conducted in connection with such action or failure to act and an opportunity for the presentation of written data, views and arguments supporting or opposing such action or failure to act). Upon consideration of any data, views and arguments presented in connection with such hearing and such other evidence as it deems relevant, and having due regard for (i) whether the action or failure to act is in accord with the applicable provisions of such plan, (ii) whether such provisions are, and were, applied in a manner consistent with the public interest, the protection of investors, the maintenance of fair and orderly markets and the removal of impediments to, and perfection of the mechanisms of, a national market system, and (iii) whether such action or failure to act imposes any burden on competition not necessary or appropriate in furtherance of the purposes of the Act, the Commission shall, by order, either (A) dismiss the proceeding or (B) set aside such action and/or require such action in connection with the matter reviewed as the Commission deems appropriate in accordance with the public interest and the protection of investors, the maintenance of fair and orderly markets, and the removal of impediments to, and perfection of the mechanisms of, a national market system.

(f) *Exemptions.* The Commission may exempt from the provisions of this section, either unconditionally or on specified terms and conditions, any self-regulatory organization, member thereof, nonmember broker or dealer, or specified security if the Commission determines that such exemption is consistent with the public interest, the protection of investors and the removal of impediments to, and perfection of the mechanisms of, a national market system.

IV. Effects on Competition and Request for Public Comment

As discussed above, Section 23(a)(2) of the Act requires the Commission, in making rules under the Act, to consider the anticompetitive effects of such regulation and to balance any anticompetitive impacts against the regulatory benefits gained in terms of furthering the purposes of the Act. As indicated,[53] the Commission preliminarily believes that paragraph (b)(6) of the Rule may be necessary in order to meet the Commission's responsibilities under the Act with respect to furthering competition. In addition, the Commission does not perceive any anticompetitive effects as a result of the adoption of the Rule.

Interested persons are invited to submit written presentations of views, data and arguments concerning proposed rule 11Aa3–2 under the Act and the issues discussed above. Persons wishing to make such submissions should file ten copies thereof with George A. Fitzsimmons, Secretary, Securities and Exchange Commission, Room 892, 500 North Capitol Street, Washington, D.C. 20549, not later than February 11, 1980. All submissions should refer to File No. S7–814, and will be available for public inspection at the Commission's Public Reference Room, Room 6106, 1100 L Street N.W., Washington, D.C. 20549.

By the Commission.

George A. Fitzsimmons,

Secretary.

December 7, 1979.

[FR Doc. 79–38420 Filed 12–13–79; 8:45 am]

BILLING CODE 8010–01–M

[53] *See* text accompanying notes 24–32, *supra.*

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

21 CFR Part 131

[Docket No. 78N–0352]

Edible Acid Casein; Termination of Consideration of Codex Standard

AGENCY: Food and Drug Administration.

ACTION: Notice of Termination of Consideration.

SUMMARY: This notice terminates the review by the United States of the Codex Alimentarius Commission (Codex) "Recommended International Standard for Edible Acid Casein." The response to the Food and Drug Administration's (FDA's) request for comments on the provisions of the Codex standard and on the desirability of establishing a U.S. standard for edible acid casein indicates there is neither sufficient interest nor need to warrant proposing a U.S. standard for this food. Therefore, FDA has terminated consideration of developing a U.S. standard for edible acid casein based on the Codex standard.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Eugene T. McGarrahan, Bureau of Foods (HFF–215), Food and Drug Administration, Department of Health, Education, and Welfare, 200 C St. SW., Washington, D.C. 20204, 202–245–1155.

SUPPLEMENTARY INFORMATION: In the **Federal Register** of February 23, 1979 (44 FR 10718), FDA published an advance notice of proposed rulemaking that offered interested persons an opportunity to review the Codex "Recommended International Standard for Edible Acid Casein" and to comment on the desirability and need for a U.S. standard for this food. The Codex standard was submitted to the United States for consideration for acceptance by the Joint Food and Agriculture Organization/World Health Organization Codex Alimentarius Commission.

Eight letters were received in response to the advance notice of proposed rulemaking. Six opposed a U.S. standard. One comment favored a standard and suggested changes, and one comment offered information to be used if a U.S. standard is developed. In general, the comments opposing a U.S. standard stated that there was no need for a U.S. standard for edible acid casein because it is not produced in this country. The comment in favor of a standard offered no support for its position.

Having considered the comments received, FDA has concluded that there is neither sufficient interest nor need to warrant proposing a U.S. standard at this time for edible acid casein under the authority of 21 U.S.C. 341.

Therefore, under the procedures in 21 CFR 130.6, notice is given that the Commissioner has terminated consideration of developing a U.S. standard for edible acid casein based on the Codex standard. This action is without prejudice to future consideration of the development of a U.S. standard for edible acid casein upon appropriate justification.

The Codex Alimentarius Commission will be informed that an imported food that complies with the requirements of the Codex standard for edible acid casein may move freely in interstate commerce in this country, providing it complies with applicable U.S. laws and regulations.

Dated: December 6, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-38203 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-03-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 52

[FRL 1376-1]

Approval and Promulgation of Implementation Plans; Guam Implementation Plan Revision

AGENCY: Environmental Protection Agency.

ACTION: Notice of proposed rulemaking.

SUMMARY: Revisions to the Guam Air Pollution Control Standards and Regulations have been submitted to the Environmental Protection Agency (EPA) by the Governor's designee for the purpose of revising the Guam Implementation Plan. The intended effect of these revisions is to update the rules and regulations and to correct deficiencies in the implementation plan. The EPA invites public comments on these rules, especially as to their consistency wih the Clean Air Act.

DATES: Comments may be submitted on or before January 14, 1980.

ADDRESSES: Comments may be sent to: Regional Administrator Attn: Air & Hazardous Materials Division, Air Technical Branch, Regulatory Section (A-4), Environmental Protection Agency, Region IX, 215 Fremont Street, San Francisco CA 94105.

Copies of the proposed revisions are available for public inspection during normal business hours at the EPA Region IX office at the above address and at the following locations: Guam Environmental Protection Agency, P.O. Box 2999, Agana, Guam 96910. Public Information Reference Unit, Room 2040 (EPA Library), 401 "M" Street, S.W., Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT: Douglas Grano, Chief, Regulatory Section, Air Technical Branch, Air and Hazardous Materials Division, Environmental Protection Agency, Region IX, (415) 556-2938.

SUPPLEMENTARY INFORMATION: The Governor's designee submitted revisions to the Guam Air Pollution Control Standards and Regulations on October 12, 1979. This notice only concerns Chapter 13 of those regulations. Action will be taken in a separate **Federal Register** notice for the remaining revisions.

Chapter 13, Control of Sulfur Dioxide Emission, consists of Rules 13.1, 13.2, 13.3, and 13.4. This Chapter provides emission limits for sulfur dioxide emissions from such sources as fuels, flue gases, and fossil-fuel fired steam generators.

EPA is proposing to approve Rules 13.3 and 13.4 and incorporate them into the implementation plan. Rule 13.3 is similar to the previously approved rule except that it has been renumbered. Rule 13.4 is a new rule which provides more stringent emission limits for sulfur dioxide. In addition, EPA is proposing to approve the deletion of the previously approved Rule 13.3 since the deletion will not interfere with the attainment and maintenance of the National Ambient Air Quality Standards.

No action is proposed to be taken on Rules 13.1 and 13.2. Action will be taken in a separate **Federal Register** notice.

Under Section 110 of the Clean Air Act as amended, and 40 CFR Part 51, the Administrator is required to approve or disapprove the regulations submitted as revisions to the implementation plan. The Regional Administrator hereby issues this notice setting forth these revisions, including rule deletions caused thereby, as proposed rulemaking and advises the public that interested persons may participate by submitting written comments to the Region IX Office. Comments received on or before 30 days after publication of this notice will be considered. Comments received will be available for public inspection at the EPA Region IX Office and the EPA Public Information Reference Unit.

The Administrator's decision to approve or disapprove the proposed revisions will be based on the comments received and on a determination whether the amendments meet the requirements of section 110(a)(2) of the Clean Air Act and 40 CFR Part 51, Requirements for Preparation, Adoption, and Submittal of State Implementation Plans.

Secs. 110 and 301(a) of the Clean Air Act as amended (42 U.S.C. 7410 and 7601(a))

Dated: December 3, 1979.

Paul De Falco,

Regional Administrator.

[FR Doc. 79-38342 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

40 CFR Part 52

[FRL 1375-8]

Implementation Plan Revisions for Nonattainment Areas in the State of California; Receipt/Availability

AGENCY: Environmental Protection Agency (EPA).

ACTION: Notice of Receipt and Availability.

SUMMARY: The purpose of this notice is to announce receipt of revisions to the California State Implementation Plan (SIP) and to invite public comment. The Nonattainment Area Plans for San Luis Obispo, Santa Barbara, and Ventura Counties, which comprise the South Central Coast Air Basin, have been submitted to EPA by the California Air Resources Board in accordance with the requirements of Part D of the Clean Air Act, as amended in 1977, "Plan Requirements for Nonattainment Areas," and are available for public inspection at the addresses below. Notices of proposed rulemaking discussing the revisions will be published in the **Federal Register** at a later date. The period for submittal of public comments will end not less than 60 days from this date and not less than 30 days from the published dates of EPA's notices of proposed rulemaking.

ADDRESSES: Copies of the SIP revisions are available for inspection during normal business hours at the following locations:

Air and Hazardous Materials Division (A-4-2), Environmental Protection Agency, Region IX, 215 Fremont Street, San Francisco, CA 94105.

Public Information Reference Unit, Environmental Protection Agency, 401 "M" Street, S.W., Room 2404, Washington, D.C. 20460.

California Air Resources Board, 1102 "Q" Street, Sacramento, CA 95814.

In addition, copies of the applicable SIP revision are available for public inspection during normal business hours at each of the following locations:

San Luis Obispo County Air Pollution Control District, P.O. Box 637, San Luis Obispo, CA 93406.

Santa Barbara County Air Pollution Control District, 4440 Calle Real, Santa Barbara, CA 93110.

Ventura County Air Pollution Control District, 800 South Victoria Avenue, Ventura, CA 93009.

Comments should be addressed to: Douglas Grano, Chief, Regulatory Section, Air Technical Branch, Air and Hazardous Materials Division, Environmental Protection Agency, Region IX, 215 Fremont Street, San Francisco, CA 94105.

FOR FURTHER INFORMATION CONTACT: Douglas Grano (415) 556-2938.

SUPPLEMENTARY INFORMATION: New provisions of the Clean Air Act, enacted in August 1977, Public Law No. 95-95, require states to revise their SIP's for all areas that do not attain the National Ambient Air Quality Standards (NAAQS). The amendments required each state to submit to the Administrator a list of the NAAQS attainment status for all areas within the state. The Administrator promulgated these lists, with certain modifications, on March 3, 1978 (43 FR 8962) and March 19, 1979 (44 FR 16388). State and local governments were required by January 1, 1979 to develop, adopt, and submit to EPA revisions to their SIP's which provide for attainment of the NAAQS as expeditiously as practicable.

Santa Barbara County is designated nonattainment for ozone, carbon monoxide (CO), and total suspended particulate matter (TSP). Ventura and San Luis Obispo Counties are designated nonattainment for ozone and TSP.

The Governor's designee submitted to EPA the nonattainment area plans for the South Central Coast Air Basin on October 18, 1979.

EPA is reviewing the revisions for conformance with the requirements of Part D of the Clean Air Act, as amended. Following EPA's review of the revisions, notices of proposed rulemaking will be published in the **Federal Register** and will provide descriptions of the proposed SIP revisions, summarize the Part D requirements, identify the major issues in the proposed revisions, and suggest corrections. An additional 30 days will be provided for public comments at that time.

The intent of this notice is to notify the public that the revisions have been formally submitted to EPA for approval, that they are available for public inspection, and that interested persons are encouraged to submit written comments.

Authority: Sections 110, 129, 171 to 178 and 301(a) of the Clean Air Act, as amended (42 U.S.C. §§ 7410, 7429, 7501 to 7508, and 7601(a)).

Dated: December 6, 1979.

Sheila M. Prindiville,

Acting Regional Administrator.

[FR Doc. 79-38414 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

40 CFR Part 52

[FRL 1375-7]

Approval and Promulgation of State Implementation Plans; Proposed Rulemaking on Approval of Washington State Implementation Plans; Extension of Comment Period

AGENCY: Environmental Protection Agency (EPA).

ACTION: Proposed rule; extension of comment period.

SUMMARY: The purpose of this notice is to extend the public comment period for the proposal to approve the Washington State Implementation Plan (SIP), published November 9, 1979 (44 FR 65084).

DATE: Comments are due by January 14, 1980.

ADDRESS: The Washington SIP may be examined during normal business hours at the following locations:

Public Information Reference Unit, Environmental Protection Agency, 401 M Street, S.W., Room 2922, Washington, D.C. 20460.

Environmental Protection Agency, Region 10, Library, 1200 Sixth Avenue, Seattle, Washington 98101.

Washington State, Department of Ecology, St. Martin's College, Lacey, Washington 98504.

COMMENTS SHOULD BE ADDRESSED TO: Laurie M. Kral, Air Programs Branch, Environmental Protection Agency, Region 10, 1200 Sixth Avenue M/S 629, Seattle, Washington 98101.

FOR FURTHER INFORMATION CONTACT: Richard F. White, Coordination and Planning Section, Environmental Protection Agency, Region 10, 1200 Sixth Avenue M/S 625, Seattle, Washington 98101, Telephone: (206) 442-1226, FTS: 399-1226.

SUPPLEMENTARY INFORMATION: As required by the Clean Air Act Amendments of 1977, EPA published a notice on November 9, 1979 (44 FR 65084) soliciting public comments on the proposed Washington State Implementation Plan (SIP). This notice presented the results of EPA's review of the plans (commonly called non-attainment plans) developed by the State of Washington to comply with the requirements of Part D of the Act to ensure the attainment and maintenance of the national ambient air quality standards.

Public comments on the proposed SIP were invited for a period of thirty (30) days. However, Region 10 has received requests to extend the comment period. Therefore, EPA is hereby extending the comment period an additional thirty (30) days to January 14, 1980. Comments on the proposed SIP should be addressed to Laurie M. Kral at the address listed above. Comments received will be evaluated and final rulemaking published in the **Federal Register.**

(Section 110(a) and 172 of the Clean Air Act (42 U.S.C. 7410(a) and 7502)))

Dated: December 4, 1979.

Donald P. DuBois,

Regional Administrator.

[FR Doc. 79-38415 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

40 CFR Part 230

[FRL 1375-5]

Guidelines for Specification of Disposal Sites for Dredged or Fill Material; Extension of Comment Period

AGENCY: Environmental Protection Agency.

ACTION: Proposed rule; extension of Public Comment Period.

SUMMARY: In the **Federal Register** of September 18, 1979 [44 FR 54222], EPA proposed guidelines for the specification of disposal sites for dredged or fill material under Section 404(b)(1) of the Clean Water Act. EPA asked that written public comments be submitted by November 19, 1979. In the **Federal Register** of November 5, 1979 [44 FR 63552] EPA announced extension of the deadline to December 19, 1979. EPA has determined that additional time should be allowed, and a further 2 week extension is hereby granted.

DATE: The deadline for submitting written public comments is hereby extended to January 2, 1980.

FOR FURTHER INFORMATION CONTACT: David G. Davis, Chief, 404 Section (WH-585), Office of Water and Waste Management, U.S. Environmental Protection Agency, 401 M Street, S.W., Washington, D.C., 20460, 202-472-3400.

Dated: December 8, 1979.

Swept T. Davis,

Acting Assistant Administrator for Water and Waste Management.

[FR Doc. 79-38416 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

FEDERAL MARITIME COMMISSION

46 CFR Part 508

[Docket No. 78–33]

Actions To Adjust or Meet Conditions Unfavorable To Shipping in the United States/Ecuador Trade

AGENCY: Federal Maritime Commission.

ACTION: Discontinuance of Proposed Rule.

SUMMARY: The proposed rule in this proceeding was designed to counteract apparent unfavorable conditions to shiping in the U.S./Ecuador trade. An Ecuadorian Government decree appeared to preclude a Norwegian registered vessel (M.V. Lionheart) from competing on the same basis as other vessels. Temporary relief was afforded through U.S. Coast Guard waivers giving the vessel American registery status. These waivers are likely to continue until a replacement vessel is available and therefore no immediate need exists for continuing this proceeding.

DATES: Effective December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Francis C. Hurney, Secretary, Federal Maritime Commission, Room 11101, 1100 L Street, NW., Washington, D.C. 20573, (202) 523–5725.

SUPPLEMENTARY INFORMATION: This proceeding was instituted by notice of proposed rule published September 28, 1978 (43 FR 44554). The proposed rule could have suspended tariffs of Transportes Navieros Ecuatrianos in the trade between the U.S. and Ecuador. The proposal was designed to counteract apparent unfavorable conditons to shipping created by the Ecuadorian Government in implementing its Decree 7/78 in such a way as to preclude a Norwegian registered vessel in that trade (the M/V Lionheart) from competing on the same basis as other vessels. Ecuadorian law appeared to favor carriage by Ecuadorian and U.S. flag vessesl in this trade. Issuance of a final rule was deferred when the U.S. Coast Guard granted a temporary waiver of survey, inspection and measurement requirements for the vessel in question in order to admit the vessel to American registry, thereby qualifying it for more favorable treatment under Decree 7/78.

The U.S. Coast Guard on October 22, 1979 has extended the waiver for the M/V Lionheart through September 30, 1980 or until a replacement vessel is placed in operation, whichever occurs first. The Coast Guard also indicated that a replacement barge may be available as soon as March 1, 1980. Another new vessel (Ro-Ro) to be built in West Germany, has been contracted for delivery scheduled for September 1, 1980.

The proposed rule was designed simply to afford the M/V Lionheart relief from Decree 7/78 in regard to its U.S./Ecuador operations. Coast Guard waivers have provided effective relief. It appears likely that such waivers will continue until such time as a U.S. registered permanent replacement vessel is available. If it turns out that this does not occur, the Commission could reissue a proposed rule for further comment. No purpose is served by continuing this proceeding and it is hereby ordered to be discontinued.

By the Commission.

Francis C. Hurney,

Secretary.

[FR Doc. 79-38503 Filed 12-13-79; 8:45 am]

BILLING CODE 6730-01-M

Notices

Federal Register

Vol. 44, No. 242

Friday, December 14, 1979

This section of the FEDERAL REGISTER contains documents other than rules or proposed rules that are applicable to the public. Notices of hearings and investigations, committee meetings, agency decisions and rulings, delegations of authority, filing of petitions and applications and agency statements of organization and functions are examples of documents appearing in this section.

CIVIL AERONAUTICS BOARD

[Dockets 33363, 36152, and 36153]

Former Large Irregular Air Service Investigation (Applications of Professional Travel, Inc., d.b.a. Aerostar); Reassignment of Proceeding

This proceeding, insofar as it involves the applicaitons of Professional Travel, Inc. d.b.a. Aerostar, Dockets 36152 and 36153, has been reassigned to Judge Elias C. Rodriguez.

Dated at Washington, D.C., December 10, 1979.

Joseph J. Saunders,

Chief Administrative Law Judge.

[FR Doc. 79-38339 Filed 12-13-79; 8:45 am]

BILLING CODE 6320-01-M

[Dockets 33363, 35493, and 35494]

Former Large Irregular Air Service Investigation (Applications of Tourlite International, Inc.) Reassignment of Proceeding

This proceeding, insofar as it involves the applications of Tourlite International, Inc., Dockets 35493 and 35494, has been reassigned to Judge William H. Dapper.

Dated at Washington, D.C., December 7, 1979.

Joseph J. Saunders,

Chief Administrative Law Judge,

[FR Doc. 79-38340 Filed 12-13-79; 8:45 am]

BILLING CODE 6320-01-M

[Dockets 33363, 32548, and 32549]

Former Large Irregular Air Service Investigation (Applications of International, Travel Arrangers, Inc.) Reassignment of Proceeding

This proceeding, insofar as it involves the applications of International Travel Arrangers, Inc., Dockets 32548 and 32549, has been reassigned to Judge Elias C. Rodriguez.

Dated at Washington, D.C., December 7, 1979.

Joseph J. Saunders,

Chief Administrative Law Judge,

[FR Doc. 79-38341 Filed 12-13-79; 8:45 am]

BILLING CODE 6320-01-M

DEPARTMENT OF COMMERCE

Bureau of the Census

Annual Wholesale Trade; Determination

In conformity with title 13, United States Code, Sections 182, 224, and 225 and due Notice of Consideration having been published November 13, 1979 (44 FR 65426), I have determined that data covering year-end inventories and annual sales are needed to aid the efficient performance of essential Government functions, that the data have significant application to the needs of the public, the distributive trades and governmental agencies, and that the data are not publicly available from nongovernmental or other governmental sources.

All respondents will be required to submit information covering their December 31, 1979, inventories and annual sales. Reports will be required only from a selected sample of merchant wholesale firms operating in the United States, with probability of selection based on sample size. The sample will provide, with measurable reliability, statistics on the subjects specified above.

Report forms will be furnished to firms covered by the survey. Copies of the forms are available on request to the Director, Bureau of the Census, Washington, D.C. 20233.

I have, therefore, directed that this annual survey be conducted for the purpose of collecting these data.

Dated: December 10, 1979.

Vincent P. Barabba,

Director, Bureau of the Census.

[FR Doc. 79-38324 Filed 12-13-79; 8:45 am]

BILLING CODE 3510-07-M

COMMITTEE FOR THE IMPLEMENTATION OF TEXTILE AGREEMENTS

Adjusting the Import Levels for Certain Man-Made Fiber Apparel Products From Thailand

AGENCY: Committee for the Implementation of Textile Agreements.

ACTION: Charging carryforward used in Categories 641 and 645/646 (man-made fiber woven blouses and sweaters), produced or manufacturing in Thailand and exported during the agreement year which began on January 1, 1978; and applying carryforward to the levels established for both categories during the year which began on January 1, 1979.

SUMMARY: The Bilateral Cotton, Wool and Man-Made Fiber Textile Agreement of October 4, 1978, as amended, between the Governments of the United States and Thailand provides, among other things, for the borrowing of designated percentages of yardage from the succeeding year's levels (Carryfoward) and for deducting those amounts, to the extent that they are used, during the succeeding year. Reducing the levels for Categories 641 and 645/646 by the amounts of carryforward used in 1978 and increasing them by the amounts of carryforward available during 1979 results in a net increase in both levels to 130, 167 dozen for Category 641 and 60,790 dozen for Category 645/646/

EFFECTIVE DATE: December 10, 1979.

FOR FURTHER INFORMATION CONTACT: LaWonne Cunningham, Statistical Assistant, Office of Textiles, U.S. Department of Commerce, Washington, D.C. 20230 (202/377–5423).

SUPPLEMENTARY INFORMATION: On January 3, and July 3, 1979 there were published in the **Federal Register** (44 FR 932 and 38954) letters dated December 27, 1978 and June 28, 1979 which established levels of restraint for certain specified categories of cotton, wool and man-made fiber textile products, including Categories 641 and 645/646, produced or manufactured in Thailand and exported during the twelve-month period which began on January 1, 1979. In the letter published below the Chairman of the Committee for the Implementation of Textile Agreements directs the Commissioner of Customs, in accordance with the terms of the bilateral agreement, to increase the levels of restraint established for

Categories 641 and 645/646 to 130,167 dozen and 60,790, respectively.

Arthur Garel,

Acting Chairman, Committee for the Implementation of Textile Agreements.

December 10, 1979

Committee for the Implementation of Textile Agreements

Commissioner of Customs,
Department of the Treasury, Washington, D.C. 20229.

Dear Mr. Commissioner: This directive further amends, but does not cancel, the directive of December 27, 1978 from the Chairman, Committee for the Implementation of Textile Agreements concerning imports into the United States of certain cotton, wool and man-made fiber textile products, produced or manufactured in Thailand.

Under the terms of the Arrangement Regarding International Trade in Textiles done at Geneva on December 20, 1973, as extended on December 15, 1977; pursuant to the Bilateral Cotton, Wool and Man-Made Fiber Textile Agreement of October 4, 1978, as amended, between the Governments of the United States and Thailand; and in accordance with the provisions of Executive Order 11651 of March 3, 1972, as amended by Executive Order 11951 of January 6, 1977, you are directed to prohibit, effective on December 10, 1979 and for the twelve-month period beginning on January 1, 1979 and extending through December 31, 1979, entry into the United States for consumption of man-made fiber textile products in Categories 641 and 645/646, produced or manufactured in Thailand, in excess of the following levels of restraint:

Category	Amended 12-mo level of restraint[1]
641	130,167 dozen.
645/646	60,790 dozen.

[1] The levels of restraint have not been adjusted to account any imports after December 31, 1978.

The actions taken with respect to the Government of Thailand and with respect to imports of man-made fiber textile products from Thailand have been determined by the Committee for the Implementation of Textile Agreements to involve foreign affairs functions of the United States. Therefore, the directions to the Commissioner of Customs, which are necessary for the implementation of such actions, fall within the foreign affairs exception to the rule-making provisions of 5 U.S.C. 553. This letter will be published in the **Federal Register.**

Sincerely,

Arthur Garel,

Acting Chairman, Committee for the Implementation of Textile Agreements.

[FR Doc. 79-38327 Filed 12-13-79; 8:45 am]

BILLING CODE 3510-25-M

Announcing Import Restraint Levels for Certain Cotton, Wool and Man-Made Fiber Textile Products From Malaysia Effective January 1, 1980

AGENCY: Committee for the Implementation of Textile Agreements.

ACTION: Establishing import restraint levels for certain cotton, wool and man-made fiber textile products imported from Malaysia, effective on January 1, 1980

SUMMARY: The Bilateral Cotton, Wool and Man-Made Fiber Textile Agreement of May 17 and June 8, 1978, as amended, between the Governments of the United States and Malaysia, establishes levels of restraint for certain cotton, wool and man-made fiber textile products in Categories 317, 320, 331, 339, 340, 347, 348, 445, 446, 604, 613 and 638/639, produced or manufactured in Malyasia and exported to the United States during the twelve-month period beginning on January 1, 1980. Accordingly, there is published below a letter from the Chairman of the Committee for the Implementation of Textile Agreements to the Commissioner of Customs directing that entry into the United States for consumption, or withdrawal from warehouse for consumption, of cotton, wool and man-made fiber textile products in the foregoing categories be limited to the designated twelve-month levels of restraint.

(A detailed description of the textile categories in terms of T.S.U.S.A. numbers was published in the **Federal Register** on January 4, 1978 (43 FR 884), as amended on January 25, 1978 (43 FR 3421), March 3, 1978 (43 FR 8828), June 22, 1978 (43 FR 26773), September 5, :1978 (43 FR 39408), January 2, 1979 (44 FR 94), March 22, 1979 (44 FR 17545), and April 12, 1979 (44 FR 21843)).

This letter and the actions taken pursuant to it are not designed to implement all of the provisions of the bilateral agreement, but are designed to assist only in the implementation of certain of its provisions.

EFFECTIVE DATE: January 1, 1980.

FOR FURTHER INFORMATION CONTACT: Shirley Hargrove, Trade and Industry Assistant, Office of Textiles, U.S. Department of Commerce, Washington, D.C. 20230 (202/377-5423).

Arthur Garel,

Acting Chairman, Committee for the Implementation of Textile Agreements.

December 11, 1979

Committee for the Implementation of Textile Agreements

Commissioner of Customs,
Department of the Treasury, Washington, D.C. 20229.

Dear Mr. Commissioner: Under the terms of the Arrangement Regarding International Trade in Textiles done at Geneva on December 20, 1973, as extended on December 15, 1977; pursuant to the Bilateral Cotton, Wool and Man-Made Fiber Textile Agreement of May 17 and June 8, 1978, as amended, between the Governments of the United States and Malaysia; and in accordance with the provisions of Executive Order 11651 of March 3, 1972, as amended by Executive Order 11951 of January 6, 1977, you are directed to prohibit, effective on January 1, 1980 and for the twelve-month period extending through December 31, 1980, entry into the United States for consumption, and withdrawal from warehouse for consumption of cotton, wool and man-made fiber textile products, exported from Malaysia in the following categories in excess of the indicated twelve-month levels of restraint:

Category	12-month level of restraint
317	3,000,000 square yards.
320	6,500,000 square yards.
331	457,190 dozen pair.
339	126,889 dozen.
340	243,158 dozen.
347	89,209 dozen.
348	53,833 dozen.
445	10,081 dozen.
446	14,113 dozen.
604	365,854 lbs.
613	2,000,000 square yards.
638/639	141,311 dozen of which not more than 75,864 dozen shall be in Category 639.

In carrying out this directive, entries of cotton, wool and man-made fiber textile products in the foregoing categories, produced or manufactured in Malaysia, which have been exported to the United States prior to January 1, 1980, shall, to the extent of any unfilled balances, be charged against the levels of restraint established for such goods during the twelve-month period beginning on January 1, 1979 and extending through December 31, 1979. In the event the levels of restraint established for that period have been exhausted by previous entries, such goods shall be subject to the levels set forth in this letter.

The levels set forth above are subject to adjustment in the future according to the provisions of the bilateral agreement of May 17 and June 8, 1978, as amended, between the Governments of the United States and Malaysia which provide, in part, that: (1) within the aggregate and group limits, specific levels of restraint, including their sublimits, may be exceeded by designated percentages; (2) specific levels may be increased for carryover and carryforward up to 11 percent of the applicable category limit; and (3) administrative arrangements or adjustments may be made to resolve minor problems arising in the implementation of the agreement. Any appropriate adjustments under the provisions of the bilateral agreement, referred to above, will be made to you by letter.

A detailed description of the textile categories in terms of T.S.U.S.A. numbers was published in the **Federal Register** on January 4, 1978 (43 FR 884), as amended on January 25, 1978 (43 FR 3421), March 3, 1978 (43 FR 8828), June 22, 1978 (43 FR 26773), September 5, 1978 (43 FR 39408), January 2, 1979 (44 FR 94), March 22, 1979 (44 FR 17545), and April 12, 1979 (44 FR 21843).

In carrying out the above directions, entry into the United States for consumption shall be construed to include entry for consumption into the Commonwealth of Puerto Rico.

The actions taken with respect to the Government of Malaysia and with respect to imports of cotton, wool and man-made fiber textile products from Malaysia have been determined by the Committee for the Implementation of Textile Agreements to involve foreign affairs functions of the United States.

Therefore, the directions to the Commissioner of Customs, which are necessary for the implementation of such actions, fall within the foreign affairs exception to the rule-making provisions of 5 U.S.C. 553. This letter will be published in the **Federal Register.**

Sincerely,

Arthur Garel,

Acting Chairman, Committee for the Implementation of Textile Agreements.

[FR Doc. 79-38328 Filed 12-13-79; 8:45 am]

BILLING CODE 3510-25-M

COMMITTEE FOR PURCHASE FROM THE BLIND AND OTHER SEVERELY HANDICAPPED

Procurement List 1980; Proposed Additions

AGENCY: Committee for Purchase from the Blind and Other Severely Handicapped

ACTION: Proposed Additions to Procurement List.

SUMMARY: The Committee has received proposals to add to Procurement List 1980 a commodity to be produced by and a service to be provided by workshops for the blind and other severely handicapped.

COMMENTS MUST BE RECEIVED ON OR BEFORE: January 16, 1980.

ADDRESS: Committee for Purchase from the Blind and Other Severely Handicapped, 2009 14th Street North, Suite 610, Arlington, Virginia 22201.

FOR FURTHER INFORMATION CONTACT: C. W. Fletcher, (703) 557-1145.

SUPPLEMENTARY INFORMATION: This notice is published pursuant to 41 U.S.C. 47(a)(2), 85 Stat. 77.

If the Committee approves the proposed additions, all entities of the Federal Government will be required to procure the commodity and service listed below from workshops for the blind or other severely handicapped.

It is proposed to add the following commodity and service to Procurement List 1980, November 27, 1979 (44 FR 67925):

Class 7510.—Binder Award Certificate; 7510-00-115-3250 (Increase from 60% to 100% of Government requirements)

SIC 7331.—Mailing Service, U.S. Geological Survey— Topographical Division, Reston, Virginia

E. R. Alley, Jr.,

Acting Executive Director.

[FR Doc. 79-38301 Filed 12-13-79; 8:45 am]

BILLING CODE 6820-33-M

CONSUMER PRODUCT SAFETY COMMISSION

R & K Carpets, Inc., Provisional Acceptance of Consent Agreement

AGENCY: Consumer Product Safety Commission.

ACTION: Provisional Acceptance of Consent Agreement.

SUMMARY: The Commission has provisionally accepted a consent agreement containing a cease and desist order offered by R & K Carpets, Inc. and one of its corporate officers, in which they agree to cease and desist from selling and distributing in commerce certain carpets that fail to conform to the carpet standard and from issuing false guaranties on its samples without having conducted the reasonable and representative tests as required by 16 CFR 1630.31, and without having received and relied on guaranties in good faith in violation of Section 8(b) of the Flammable Fabrics Act, 15 U.S.C. 1197(b). If finally accepted, this consent agreement will settle allegations of the Commission staff that R & K Carpets, Inc. and its corporate officer have violated the provisions of the Flammable Fabrics Act.

DATES: Written comments on the provisionally accepted consent agreement must be received by the Commission by January 2, 1980.

ADDRESSES: Written comments should be submitted to the Office of the Secretary, Consumer Product Safety Commission, Washington, D.C. 20207. Copies of the agreement may be viewed or obtained from the Office of the Secretary, Consumer Product Safety Commission, 3rd Floor, 1111-18th Street, N.W., Washington, D.C.

FOR FURTHER INFORMATION CONTACT: George J. Miller, Directorate for Compliance and Enforcement, Consumer Product Safety Commission, Washington, D.C. (Phone 301-492-6629).

Dated: November 21, 1979.

Sadye E. Dunn,

Secretary, Consumer Product Safety Commission.

In the Matter of R & K CARPETS, INC., a corporation, and BILLY W. KITCHENS, individually and as an officer of the corporation. Agreement containing consent order to cease and desist.

The staff of the Consumer Product Safety Commission (Commission) has investigated certain practices of R & K Carpets, Inc., a corporation, and Billy W. Kitchens, individually and as an officer of the corporation. The corporation and Mr. Kitchens (Consenting Parties) are willing to enter into an agreement with the Commission containing an order to cease and desist.

1. Therefore, the consenting parties and counsel for the Commission agree that:

(a) The Consumer Product Safety Commission has jurisdiction in this matter under the following Acts: the Flammable Fabrics Act (15 U.S.C. 1191 *et seq.*); the Federal Trade Commission Act (15 U.S.C. 41 *et seq.*); and the Consumer Product Safety Act (15 U.S.C. 2051 *et seq.*).

(b) R & K Carpets, Inc. is a corporation organized and doing business under the laws of the State of Georgia.

(c) Billy W. Kitchens is an officer of the corporation. He formulates, directs, and controls the acts, practices, and policies of the corporation.

(d) The Consenting Parties engage or did engage in the manufacture and sale, in commerce, of carpets and rugs. Their office and prncipal place of business is located at 620 South Spencer Street, Dalton, Georgia 30720.

(e) The Consenting Parties are now and have been engaged in one or more of the following: the manufacture for sale, sale or offering for sale, in commerce, and the introduction, delivery for introduction, transportation and causing to be transported in commerce, and the sale or delivery after sale or shipment in commerce, of products, as the terms "commerce" and "product" are defined in the Flammable Fabrics Act, which products are subject to the requirements of the Flammable Fabrics Act, the Standard for the Surface Flammability of Carpets and Rugs (FF 1-70), and the Rules and Regulations issued under the Standard and the Act.

(f) No agreement, understanding, representation or interpretation not contained in this Agreement or Order may be used to vary or contradict the terms of the Agreement and Order.

2. The consenting parties agree that: (a) The terms of the Order contained in this Agreement shall take effect upon their receipt of written notice that the Commission accepts the Agreement, that the Commission may disclose terms of the Agreement and Order to the public, and that the Agreement and Order shall be available for public viewing at the Office of the Secretary, Consumer Product Safety Commission, 1111 18th Street, N.W. Washington, D.C. 20207.

(b) They waive any and all rights to an administrative or judicial hearing and to any and all other procedural steps, including any and all rights to seek judicial review or otherwise challenge or contest the validity of this Agreement and Order.

(c) Within 15 days of receipt of the Commission's written acceptance of this Agreement, they shall file with the Commission a written, verified and notarized compliance report detailing their compliance with this order.

3. The consenting parties acknowledge that: (a) They may be liable for a civil penalty

of not more than $10,000 for each violation of the Order after the Order becomes effective.

(b) The requirements of the Order are in addition to and not to the exclusion of other remedies such as criminal penalties which may be pursued under Section 7 of the Flammable Frabrics Act, the rules, regulations and standards promulgated thereunder, or any other provision of Federal law.

4. Counsel for the Commission agrees that:

This Agreement is for settlement purpose only and does not constitute an admission by the Consenting Parties that the law has been violated. Therefore, if this Agreement is not accepted by the Commission it may not be used in adjudicative proceedings, either administrative or judicial.

5. Upon acceptance of this agreement the Commission may issue the following order:

Order

I.—IT IS ORDERED that R&K CARPETS, INC. (Corporation) and Billy W. Kitchens (Kitchens), individually and as an officer of the corporation, and their agents, assigns, successors, representatives, and employees directly or through any corporation, subsidiary, division or other instrumentality, do forthwith cease and desist from manufacturing for sale, selling, or offering for sale, in commerce, or importing into the United States, or introducing, delivering for introduction, transporting or causing to be transported, in commerce, or selling or delivering after sale or shipment, in commerce, any product, fabric, or related material, or manufacturing for sale, selling, or offering for sale, any product made of fabric or related material which has been shipped or received in commerce, as "commerce," "product," "fabric," and "related material" are defined in the Flammable Fabrics Act, as amended (FFA), 15 U.S.C. 1191 *et seq.*, which product, fabric or related material fails to conform to the requirements of the Standard for the Surface Flammability of Carpets and Rugs (FF 1–70) (Standard), 16 CFR 1630 *et seq.*

II.—IT IS FURTHER ORDERED that the Corporation and Kitchens, their agents, assigns, successors, representatives, and employees, directly or through any corporation, subsidiary, division or other instrumentality, shall conform to all provisions of the Flammable Fabrics Act and applicable regulations issued thereunder in the manufacture for sale, sale or offering for sale, in commerce, or importation into the United States, or introduction, delivery for introduction, transportation, or causing to be transported in commerce, or the sale or delivery after sale or shipment in commerce, of any product, fabric or related material subject to the Standard.

III.—IT IS FURTHER ORDERED, that the Corporation and Kitchens, their agents, representatives, employees, and successors and assigns, directly or through any corporation, subsidiary, division or other instrumentality do forthwith cease and desist from furnishing any guaranty that any product, fabric, or related material conforms to the Standard unless the Corporation and Kitchens:

(A) Have received in good faith a guaranty from the supplier of such product, fabric, or related material that reasonable and representative tests required by regulations promulgated under the Standard (16 CFR 1631.31) establish that such product, fabric or related material complies with the acceptance criterion of the Standard; or

(B) Have conducted reasonable and representative tests required by regulations promulgated under the Standard (16 CFR 1631.31), and these tests establish that such product, fabric, or related material complies with the acceptance criterion or the Standard.

IV.—IT IS FURTHER ORDERED, that the Corporation and Kitchens shall within fifteen (15) days after service upon them of this Order, file with the Commission a special report in writing setting forth the manner in which they intend to comply with this Order.

V.—IT IS FURTHER ORDERED that the Corporation and Kitchens shall notify all distributors who may have purchased carpeting style "Oasis" (Foam Back) that such carpeting does not comply with the acceptance criterion of the Standard and that any distributor who has purchased such carpeting may return it to the Corporation and Kitchens by "freight collect," so that no expense is incurred by the distributor for replacement or a complete refund of the original purchase price at the option of the Corporation and Kitchens.

VI.—IT IS FURTHER ORDERED that the Corporation and Kitchens shall process the products recalled or in inventory so as to bring them into conformance with the Standard, or destroy the products.

VII.—IT IS FURTHER ORDERED that the Corporation and Kitchens shall maintain for a period of one year from the date of service of this Order records/evidence sufficient to establish that any carpeting in style "Oasis" (Foam Back) which may be in inventory or returned by distributors has been:

(a) processed so as to bring it into conformance with the applicable Standard under the Flammable Fabrics Act, and subsequent disposition, or

(b) destroyed in accordance with the provisions of this Order.

VIII.—IT IS FURTHER ORDERED, that for a period of 10 years from the date of issuance of this Order, the Corporation and Kitchens shall notify the Commission at least 30 days prior to any proposed change in Corporation such as dissolution, assignment, or sale resulting in the emergence of a successor corporation, the creation or dissolution of subsidiaries or any change in the Corporation which may affect compliance obligations arising out of this Order.

IX.—IT IS FURTHER ORDERED, that for a period of 10 years from the date of issuance of this Order by the Commission, Kitchens shall notify the Commission of discontinuance of his present business or employment and of his affiliation with a new business and shall submit to the Commission a statement as to the nature of the business or employment in which he is newly engaged as well as a description of his duties and responsibilities in the new business.

X.—IT IS FURTHER ORDERED, that the Corporation shall distribute a copy of this Order to each and all of its operating divisions.

XI.—IT IS FURTHER ORDERED, that the Corporation and Kitchens (1) shall permit the Commission to conduct inspections of the Corporation, to examine the Corporation's books, records, and accounts relating to the manufacture, sale, and distribution of carpets, and to collect samples of carpet manufactured and distributed by the Corporation, and (2) shall, upon request of the Commission, submit written reports, verified copies of the Corporation's books, records and accounts, and samples of carpet manufactured and distributed by the Corporation, to enable the Commission to determine their compliance with this Order.

XII.—The requirements of this Order are in addition to and not to the exclusion of other remedies such as criminal penalties which may be pursued under Section 7 of the Flammable Fabric Act, the rules, regulations, and standards promulgated thereunder, or any other provision of Federal law.

Signed this 10th day of September, 1979.

R & K Carpets, Inc., a corporation.

By Billy W. Kitchens, President.

Billy W. Kitchens, individually and as an officer of R. & K. Carpets, Inc.

George J. Miller,

Counsel for the Consumer Product Safety Commission.

In the matter of R & K Carpets, Inc., a corporation and Billy W. Kitchens, individually and as an officer of the corporation; complaint.

Nature of Proceedings

The Consumer Product Safety Commission (Commission) has reason to believe that R & K Carpets, Inc., a corporation, and Billy W. Kitchens, individually and as an officer of the corporation (Respondents), are subject to and have violated provisions of the Flammable Fabrics Act, as amended (FFA); the Federal Trade Commission Act, as amended (FTCA); and the Standard for the Surface Flammability of Carpets and Rugs (FF 1–70) (Standard), 16 CFR 1630, *et seq.*, Subpart A.

It appears to the Commission, from factual information available to the staff, that it is in the public interest to issue this Complaint in accordance with the Commission's Rules of Practice for Adjudicative Proceedings, 16 C.F.R. Part 1025. Therefore, by virtue of the authority vested in the Commission by Section 30 of the Consumer Product Safety Act, as amended, 15 U.S.C. 2051, 2079, the Commission, pursuant to Section 5 of the FFA, 15 U.S.C. 1194, and Section 5 of the FTCA, 15 U.S.C. 45, and in accordance with the Commission's Rules of Practice for Adjudicative Proceedings, hereby issues this Complaint and states its charges as follows:

Charges

1. Respondent R & K Carpets, Inc. (R & K) is a corporation organized and doing business under the laws of the State of Georgia and is engaged in the manufacture and sale of rugs and carpets, with its office and principal place of business located at Dalton, Georgia 30720.

2. Respondent Billy W. Kitchens is an officer of R & K. He formulates, directs, and controls the acts, practices and policies of the corporation.

3. At the times the infractions and violations charged herein occurred, Respondents were engaged in the manufacture and sale of "carpet" "in commerce" as these terms are defined in the Standard, 16 C.F.R. 1630.1(c), and in Section 2(b) of the FFA, 15 U.S.C. § 1191(b), respectively.

4. Carpet is a "product" and an "interior furnishing" consisting of "fabric" and "related materials" as those terms are defined in Sections 2 (h), (e), (f), and (g) of the FFA, 15 U.S.C. 1191 (h), (e), (f), and (g), respectively. Carpet is therefore subject to the FFA and to the Standard and Rules and Regulations promulgated pursuant to the Act.

5. Respondents have engaged in the manufacture for sale, sale or offering for sale in commerce, and the introduction, delivery for introduction, transportation and causing to be transported in commerce, and the sale or delivery after sale or shipment in commerce of carpets in style "Oasis", (foam back) which failed to meet the acceptance criterion of the Standard, as defined and set forth in 16 CFR 1630.1(a), 1630.3(c) and 1630.4(f), respectively, in violation of Section 3(a) of the FFA, 15 U.S.C. 1192(a).

6. Respondents have been engaged in the furnishing of a false guaranty, with respect to carpets and rugs manufactured and sold by respondents, with reason to believe that the carpets and rugs falsely guaranteed would be introduced, sold or transported in commerce, in violation of section 8 of the FFA (15 U.S.C. 1197(b)), and in violation of the rules and regulation promulgated under the FFA (16 CFR 1631.31).

7. Pursuant to Section 3(a) and 8(b) of the FFA, 15 U.S.C. 1192(a), and 1197(b) the aforesaid violative acts and practices of respondents constitute unfair methods of competition and unfair and deceptive acts and practices in commerce under the FTCA.

WHEREFORE, the premises considered, the Commission hereby issues this Complaint on this day of November 21, 1979. By the Commission:

Sadye E. Dunn,

Secretary, Consumer Product Safety Commission.

Commissioners: Susan Bennett King, Chairman, Samuel D. Zagoria, Vice Chairman, R. David Pittle, Edith Barksdale Sloan, Stuart M. Statler

In the matter of R & K Carpets, Inc., a corporation, and Billy W. Kitchens, individually and as an officer of the Corporation. Decision and order.

The Consumer Product Safety Commission having initiated an investigation of certain acts and practices of the respondents named in the caption hereof; and the respondents having been furnished with a copy of a Complaint which the Directorate for Compliance and Enforcement proposed to present to the Commission for its consideration and which, if issued by the Commission, would charge respondents with violation of the Flammable Fabrics Act, as amended, and the Federal Trade Commission Act; and

The respondents and counsel for the Commission having executed an agreement containing a consent order, and an admission by the respondents of all jurisdictional facts set forth in the aforesaid draft of the Complaint, a statement that the signing of said agreement is for settlement purposes only concerning respondents' civil liability under Section 3 of the Flammable Fabrics Act, and does not constitute an admission by respondents that the law has been violated; and

The Commission having considered the matter and having determined that it had reason to believe that the respondents have violated the said Acts and that the Complaint should issue stating its charges in that respect, and having thereupon accepted the executed consent agreement and placed such agreement on the public record for a period of twenty (20) days; the Commission hereby issues its Complaint, makes the following jurisdictional findings, and enters the following order:

Jurisdictional Findings

1. THAT R & K Carpets, Inc. is a corporation organized and doing business under the laws of the State of Georgia.

That Billy W. Kitchens is an officer of the corporation and formulates, directs, and controls the acts, practices, and policies of the corporation.

That the Consenting Parties engage in the manufacture and sale of carpets and rugs. Their office and principal place of business is located at 620 South Spencer Street, Dalton, Georgia 30720.

Respondents are now or have been engaged in one or more of the following: the manufacture for sale, sale or offering for sale, in commerce, and the introduction, delivery for introduction, transportation and causing to be transported in commerce, and the sale or delivery after sale or shipment in commerce, of products, as the terms "commerce" and "product" are defined in the Flammable Fabrics Act, which products are subject to the requirements of the Flammable Fabrics Act, the Standard for the Surface Flammability of Carpets and Rugs (FF 1–70), and the rules and regulations issued under the Standard and the Act.

2. The Consumer Product Safety Commission has jurisdiction of the subject matter of this proceeding and the respondents, and the proceeding in the public interest.

Order

I.—IT IS ORDERED that R & K Carpets, Inc. (Corporation) and Billy W. Kitchens (Kitchens), individually and as an officer of the corporation, and their agents, assigns, successors, representatives, and employees directly or through any corporation, subsidiary, division or other instrumentality do forthwith cease and desist from manufacturing for sale, selling, or offering for sale, in commerce, or importing into the United States, or introducing, delivering for introduction, transporting or causing to be transported, in commerce or selling or delivering after sale or shipment, in commerce, any product, fabric, or related material, or manufacturing for sale, selling, or offering for sale, any product made of fabric or related material which has been shipped or received in commerce, as "commerce," "product," "fabric," and "related material" are defined in the Flammable Fabrics Act, as amended (FFA), 15 U.S.C. 1191 *et seq.*, which product, fabric or related material fails to conform to the requirements of the Standard for the Surface Flammability of Carpets and Rugs (FF 1–70) (Standard), 16 CFR 1630 *et seq.*

II.—IT IS FURTHER ORDERED that the Corporation and Kitchens, their agents, assigns, successors, representatives, andemployees, directly or through any corporation, subsidiary, division or other instrumentality, shall conform to all provisions of the Flammable Fabrics Act and applicable regulations issued thereunder in the manufacture for sale, sale or offering for sale, in commerce, or importation into the United States, or introduction, delivery for introduction, transportation, or causing to be transported in commerce, or the sale or delivery after sale or shipment in commerce, of any product, fabric or related material subject to the Standard.

III.—IT IS FURTHER ORDERED, that the Corporation and Kitchens, their agents, representatives, employees, and successors and assigns, directly or through any corporation, subsidiary, division or other instrumentality do forthwith cease and desist from furnishing any guaranty that any product, fabric, or related material conforms to the Standard unless the Corporation and Kitchens:

(A) have received in good faith a guaranty from the supplier of such product, fabric, or related material that reasonable and representative tests required by regulations promulgated under the Standard (16 CFR 1631.31) establish that such product, fabric or related material complies with the acceptance criterion of the Standard; or

(B) have conducted reasonable and representative tests required by regulations promulgated under the Standard (16 CFR 1631.31), and these tests establish that such product, fabric, or related material complies with the acceptance criterion of the Standard.

IV.—IT IS FURTHER ORDERED, that the Corporation and Kitchens shall within fifteen (15) days after service upon them of this Order, file with the Commission a special report in writing setting forth the manner in which they intend to comply with this Order.

V.—IT IS FURTHER ORDERED, that the Corporation and Kitchens shall notify all distributors who may have purchased carpeting style "Oasis" (Foam Back) that such carpeting does not comply with the acceptance criterion of the Standard and that any distributor who has purchased such carpeting may return it to the Corporation and Kitchens by "freight collect," so that no expense is incurred by the distributor for replacement or a complete refund of the original purchase price at the option of the Corporation and Kitchens.

VI.—IT IS FURTHER ORDERED that the Corporation and Kitchens shall process the products recalled or in inventory so as to bring them into conformance with the Standard, or destroy the products.

VII.—IT IS FURTHER ORDERED that the Corporation and Kitchens shall maintain for a period of one year from the date of service

of this Order records/evidence sufficient to establish that any carpeting in style "Oasis" (Foam Back) which may be in inventory or returned by distributors has been:

(a) processed so as to bring it into conformance with the applicable Standard under the Flammable Fabrics Act, and subsequent disposition, or

(b) destroyed in accordance with the provisions of this Order.

VIII.—IT IS FURTHER ORDERED, that for a period of 10 years from the date of issuance of this Order, the Corporation and Kitchens shall notify the Commission at least 30 days prior to any proposed change in Corporation such as dissolution, assignment, or sale resulting in the emergence of a successor corporation, the creation or dissolution of subsidiaries or any change in the Corporation which may affect compliance obligations arising out of this Order.

IX.—IT IS FURTHER ORDERED, that for a period of 10 years from the date of issuance of this Order by the Commission, Kitchens shall notify the Commission of discontinuance of his present business or employment and of this affiliation with a new business and shall submit to the Commission a statment as to the nature of the business or employment in which he is newly engaged as well as a description of his duties and responsibilities in the new business.

X.—IT IS FURTHER ORDERED that the Corporation shall distribute a copy of this Order to each and all of its operating divisions.

XI.—IT IS FURTHER ORDERED that the Corporation and Kitchens (1) shall permit the Commission to conduct inspections of the Corporation, to examine the Corporation's books, records, and accounts relating to the manufacture, sale and distribution of carpets, and to collect samples of carpet manufactured and distributed by the Corporation, and (2) shall, upon request of the Commission, submit written reports, verified copies of the Corporation's books, records and accounts, and samples of carpet manufactured and distributed by the Corporation, to enable the Commission to determine their compliance with this Order.

XII.—The requirements of this Order are in addition to and not to the exclusion of other remedies such as criminal penalties which may be pursued under Section 7 of the Flammable Fabric Act, the rules, regulations, and standards promulgated thereunder, or any other provision of Federal law.

Issued: November 21, 1979.

By the Commission.

Sadye E. Dunn,

Secretary.

[FR Doc. 79-38479 Filed 12-13-79; 8:45 am]

BILLING CODE 6355-01-M

COUNCIL ON ENVIRONMENTAL QUALITY

Information Only: Publication of Fifth Progress Report on Agency Implementing Procedures Under the National Environmental Policy Act

AGENCY: Council on Environmental Quality, Executive Office of the President.

ACTION: Information Only: Publication of Fifth Progress Report on Agency Implementing Procedures Under the National Environmental Policy Act.

SUMMARY: In response to President Carter's Executive Order 11991, on November 29, 1978, the Council on Environmental Quality issued regulations implementing the procedural provisions of he National Environmental Policy Act ("NEPA"). 43 FR 55978–56007; 40 CFR 1500–08) Section 1507.3 of the regulations provides that each agency of the Federal Government shall have adopted procedures to supplement the regulations by July 30, 1979. The Council has indicated to Federal agencies its intention to publish progress reports on agency efforts to develop implementing procedures under the the NEPA regulations. The purpose of these progress reports, the fifth of which appears below, is to provide an update on where agencies stand in this process and to inform interested persons of when to expect the publication of proposed procedures for their review and comment.

FOR FURTHER INFORMATION: Nicholas C. Yost, General Counsel, Council on Environmental Quality, 722 Jackson Place, N.W., Washington, D.C. 20006; 202–395–5750.

Procedures Under the National Environmental Policy Act

At the direction of President Carter (Executive Order 11991), on November 29, 1978, the Council on Environmental Quality issued regulations implementing the procedural provisions of the National Environmental Policy Act ("NEPA"). These regulations appear at Volume 43 of the **Federal Register**, pages 55978–56007 and in forthcoming revisions to Volume 40 of the Code of Federal Regulations, Sections 1500–1508. Their purpose is to reduce paperwork and delay associated with the environmental review process and to foster environmental quality through better decisions under NEPA.

Section 1507.3 of the NEPA regulations provides that each agency of the Federal government shall adopt procedures to supplement the regulations. The purpose of agency "implementing procedures," as they are called, is to translate the broad standards of the Council's regulations into practical action in Federal planning and decisionmaking. Agency procedures will provide government personnel with additional, more specific direction for implementing the procedural provisions of NEPA, and will inform the public and State and local officials of how the NEPA regulations will be applied to individual Federal programs and activities.

In the course of developing implementing procedures, agencies are required to consult with the Council and to publish proposed procedures in the **Federal Register** for public review and comment. Proposed procedures must be revised as necessary to respond to the ideas and suggestions made during the comment period. Thereafter, agencies are required to submit the proposed final version of their procedures for 30 day review by the Council for conformity with the Act and the NEPA regulations. After making such changes as are indicated by the Council's review, agencies are required to promulgate their final procedures. Although CEQ's regulations required agencies to publish their procedures by July 30, a number of Federal agencies did not meet this deadline.

The Council published its first progress report on agency implementation procedures on May 7, 1979. its second report on July 23, 1979, its third report on September 28, 1979, and its fourth progress report on November 2, 1979. (44 FR 28781–82; 44 FR 43037–38; 44 FR 55408–55410; 44 FR 63132–63133.) The-fifth progress report appears below. The council hopes that concerned members of the public will review and comment upon agency procedures to insure that the reforms required by President Carter and by the Council's regulations are implemented. Agencies preparing implementing procedures are listed under one of the following four categories:

Category No. 1: Final Procedures Have Been Published

This category includes agencies whose final procedures have appeared in the **Federal Register.**

Central Intelligence Agency, 44 FR 45431 (Aug. 2, 1979).
Department of Agriculture, 44 FR 44802 (July 30, 1979)
  Animal and Plant Health Inspection Service, 44 FR 50361 (Aug. 28, 1979) [correction: 44 FR 51272 (Aug. 31, 1979)]
  Forest Service, 44 FR 44718 (July 30, 1979)
  Soil Conservation Service, 44 FR 50576 (Aug. 29, 1979)
Department of Defense, 44 FR 46841 (Aug. 9, 1979)
Department of Transportation, 44 FR 56420 (Oct. 1, 1979)
Department of the Treasury (at the Federal Register)
Environmental Protection Agency, 44 FR 64174 (Nov. 6, 1979)
Export-Import Bank, 44 FR 50810 (Aug. 30, 1979)
General Services Administration
  Public Buildings Service (see 44 FR 65675, Nov. 14, 1979)
International Communications Agency, 44 FR 45489 (Aug. 2, 1979)
Marine Mammal Commission, 44 FR 52837 (Sept. 11, 1979)
National Aeronautics and Space Administration, 44 FR 44485 (July 30, 1979) [correction: 44 FR 49650 (Aug. 24, 1979)]
National Capitol Planning Commission, 44 FR 64923 (Nov. 8, 1979)
Overseas Private Investment Corporation, 44 FR 51385 (Aug. 31, 1979)
  [NEPA Procedures are contained in this agency's procedures implementing Executive Order 12114.]
Postal Service, 44 FR 63524 (Nov. 5, 1979)

Category #2: *Proposed Procedures Have Been Published*

This category includes agencies whose proposed procedures have appeared in the **Federal Register.** Those agencies whose final procedures are expected within 30 days are marked with a single asterisk (*); those expected within 60 days by a double asterisk (**).

ACTION, 44 FR 60110 (Oct. 18, 1979)
Advisory Council on Historic Preservation, 44 FR 40653 (July 12, 1979)*
Agency for International Development, 44 FR 56376 (Oct. 1, 1979)
Civil Aeronautics Board, 44 FR 45637 (Aug. 3, 1979)
Consumer Product Safety Commission, 44 FR 62526 (Oct. 31, 1979)
Department of Agriculture
  Agriculture Stabilization and Conservation Service, 44 FR 44167 (July 27, 1979) [correction: 44 FR 45631 (Aug. 3, 1979)]
  Rural Electrification Administration, 44 FR 28383 (May 15, 1979)*
Department of Defense
  Department of the Air Force, 44 FR 44118 (July 26, 1979)*
  Department of the Army, Corps of Engineers, 44 FR 38292 (June 29, 1979)*
Department of Commerce
  National Oceanic and Atmospheric Administration, 44 FR 60779 (Oct. 22, 1979)
Department of Energy, 44 FR 42136 (July 18, 1979)*
  Federal Energy Regulatory Commission, 44 FR 50052 (Aug. 27, 1979)*
Department of Housing and Urban Development, 44 FR 67906 (Nov. 27, 1979)
  Community Development Block Grant Program, 44 FR 45568 (Aug. 2, 1979)*
Department of the Interior, 44 FR 40436 (July 10, 1979)*
  Bureau of Reclamation, 44 FR 47627 (Aug. 14, 1979)
  Heritage Conservation and Recreation Service, 44 FR 49523 (Aug. 23, 1979)
  Fish and Wildlife Service, 44 FR 65822 (Nov. 15, 1979)
Department of Labor, 44 FR 69675 (Dec. 4, 1979)*
Department of Justice, 44 FR 43751 (July 26, 1979)*
  Drug Enforcement Agency, 44 FR 43754 (July 26, 1979)*
  Immigration and Naturalization Service, 44 FR 43754 (July 26, 1979)*
  Bureau of Prisons, 44 FR 43753 (July 26, 1979)*
Department of State, 44 FR 66838 (Nov. 21, 1979)
Department of Transportation
  Coast Guard, 44 FR 59306 (Oct. 15, 1979)
  Federal Aviation Administration, 44 FR 32094 (June 4, 1979)*
  Federal Highway Administration, 44 FR 59438 (Oct. 15, 1979)
  Federal Railroad Administration, 44 FR 40174 (July 9, 1979)*
  Urban Mass Transportation Administration, 44 FR 59438 (Oct. 15, 1979)
Federal Communications Commission, 44 FR 38913 (July 3, 1979)**
Federal Maritime Commission, 44 FR 29122 (May 18, 1979)**
Federal Trade Commission, 44 FR 42712 (July 20, 1979)
International Boundary and Water Commission (U.S. Section). 44 FR 61865 (Oct. 26, 1979)
National Science Foundation, 44 Fr 46901 (Aug. 9, 1979)*
Pennsylvania Avenue Development Corporation, 44 FR 45925 (Aug. 6, 1979)
Small Business Administration, 44 Fr 45002 (July 31, 1979)*
Tennessee Valley Authority, 44 FR 39679 (July 6, 1979)*
Veterans Administration, 44 Fr 48281 (Aug. 17, 1979)*
Water Resources Council, 44 FR 43749 (July 26, 1979)**

Category #3: *Anticipate Publication of Proposed Procedures by Jan. 1, 1980*

This category includes agenices that are expected to publish proposed procedures in the **Federal Register** by Jan. 1, 1980.

Arms Control and Disarmament Agency
Bureau of Land Management
Federal Emergency Management Agency
Law Enforcement Assistance Administration
National Credit Union Administration
Science and Education Administration (Department of Agriculture)

Category #4: *Publication of Proposed Procedures Delayed Beyond Jan. 1, 1980*

This category includes agencies that are *not* expected to publish proposed procedures in the **Federal Register** by Jan. 1, 1980.

Appalachian Regional Commission
Bureau of Indian Affairs
Bureau of Mines
Community Services Administration
Department of the Army
Department of the Navy
Defense Logistics Agency
Department of Health, Education and Welfare
Economic Development Administration
Farm Credit Administration
Farmers Home Administration
Federal Deposit Insurance Corporation
Federal Home Loan Bank Board
Federal Reserve System
Federal Savings and Loan Insurance Corporation
Food and Drug Administration
Geological Survey
Interstate Commerce Commission
METRO
National Highway Traffic Safety Administration
National Park Service
Nuclear Regulatory Commission
Office of Surface Mining Reclamation and Control
Saint Lawrence Seaway Corporation
Securities and Exchange Commission

The development of agency implementing procedures is a critical stage in Federal efforts to reform the NEPA process. These procedures must, of course, be consistent with the Council's regulations and provide the means for reducing paperwork and delay and producing better decisions in agency planning and decisionmaking.

Interested persons will have the opportunity to make their suggestions for improving agency procedures when they are published in the **Federal Register** in proposed form. Broad public participation at this crucial juncture could go a long way toward ensuring that the goals of the NEPA regulations are widely implemented in the day-to-day activities of government.

Nicholas C. Yost,

Acting General Counsel.

December 10, 1979.

[FR Doc. 79-38274 Filed 12-13-79; 8:45 am]

BILLING CODE 3125-01-M

DEPARTMENT OF DEFENSE

Department of the Army

Discharge Review; Special Discharge Review Program

Pursuant to § 70.4, Department of Defense Directive 1332.28, Discharge Review Boards (DRBs) Procedures and Standards, published at 43 FR 13569, March 31, 1978, the Department of the Army has been requested to effect publication of seleted extracts from Department of the Air Force Memorandum for Discharge Review Board Members and Examiners, Subject: Procedures for Completing the DoD Special Discharge Review Program Case Data Sheet, dated April 15, 1977, and an extract from the Secretary of the Army's letter to the Chairman, Senate Committee on Veterans' Affairs, dated June 22, 1977, concerning the Special Discharge Review Program. The extracts correspond to "the last two parts of Annex H" as referred to in "National Association of Concerned Veterans v.

Secretary of Defense," Civ. No. 79-0211 (D.D.C. Nov. 16, 1979).

Dated: December 7, 1979.

William E. Weber,

Colonel, IN, President.

Extracts From Air Force Memorandum

Department of the Air Force,
Washington, D.C. 20330.
Office of the Assistant Secretary.
Memorandum for Discharge Review Board Members and Examiners.
Subject: Procedures for Completing the DoD Special Discharge Review Program Case Data Sheet.
April 15, 1977.

Part III—Special Consideration for Upgrade.

This part is also completed by the examiners in accordance with Attachment 1. However, the PDM will carefully review Item 31, and consider whether credit should be given for 24 months satisfactorily served even though it may not be consecutive and may be interrupted by periods of misconduct.

Part IV—Mitigating Factors for Upgrade

This part will be completed by the PDM after a review of the records. The following criteria are established as a guide for PDMs in completing item 33.

A. Youth, lower mental abilities and limited service experience mitigate for upgrade.

B. Non-high school graduates and below.

C. Lower socioeconomic groups.

D. Personal hardships or psychological disorders.

E. Applicants who were Category IV and below enlistees.

F. Conscientious objectors.

G. Drug involvement (use or possession) mitigates for upgrade.

H. Liberal interpretation for upgrading UDs-Gen. A closer examination of the totality of the record (preservice, service, postservice) will be used in considering Gen-Hon.

Part V—Disqualifying Criteria

This part will be completed by the PDM after a review of the records. Any applicant who was discharged for desertion from combat zone (awarded the Republic of Vietnam Service Medal) will be disqualified for the purposes of this special review.

Louis S. Mauro, Colonel, USAF, Deputy Director, SAF Personnel Council

1 Atch, Instr for examiners w/sample case data sheet.

Instructions for Examiners

Items 27. (Satisfactorily Completed Tour in SEA or Western Pacific)—AF Fm 7, AF Fm 1712 (UMPR), Ofcr/Amn Separation Record), APR's. *Locations will include:* Vietnam, Thailand, Cambodia, Guam, P.I., Taiwan, Okinawa, Japan, Korea, and Indochina.

Tour will include service in one of these areas during a prior enlistment, *providing it is during period 4 Aug 64–28 Mar 73.* Member must have served over 11 mos PCS in one of these areas, or an accumulation of 6 months or more TDY to be considered a tour.

Item 29. (Decorated for Valor/Merit)—DD Fm 214, AF Fm 7, AF Fm 1712 (UMPR), Ofer/Amn Separation Record *(Only individual Awards/Dec from AFCM thru MOH)*

Item 31. (Satisfactorily Served 24 mos Prior to Discharge) (Period of Service Under Review Only)—UPRG, DD Fm 214.

(**Special Note.**—Count from last enlistment date to date of first offense, if any. If no offenses, count from date of enlistment to date of discharge.)

Guidelines Worksheet #1 [1]

—Use the term "marginal performance" rather than "limited potential minimally productive."

—Use the term "qualified" rather than "fully qualified counsel" in reference to due process.

—Triable in civilian court on a criminal offense—the term criminal offense refers to a serious felonious offense whether the applicant was convicted or charged. Also, cases in which the individual resigned in lieu of court-martial for a criminal offense may be considered the same as if the person had been convicted of the offense.

—A compelling reason for denial will override mitigating reasons.

Guidelines Worksheet #2

—Rather than using the phrase "totality of record does not warrant . . ." use a summary, in general terms, of misconduct followed by: "The service record does not establish nor did the applicant submit evidence which would warrant a recharacterization of discharge."

—Do not separate any part of a record from the permanent record folder during our review process.

—If applicant submits nothing, rather than stating "Applicant did not submit evidence of post-service good citizenship . . .", use the following "Applicant did not submit a statement or evidence to support his (her) request for recharacterization of discharge."

—Examiners will complete first three lines of identification data on the DD Form 2067 prior to forwarding case to the designated member. DMs should insure additional contentions (other than 67.00) raised by applicant are listed in the index reference block.

—The review date listed in line four of the 2067 by the DM is the date the case was actually heard by the Board.

Extract of Letter From the Secretary of the Army to the Chairman, Senate Committee on Veteran Affairs, Dated June 22, 1977.

In response to a 14 June 1977 letter from the Chairman which requested:

"10. Please provide me with copies of any directives which clarify the terms set forth at clauses b, c, and f of section 3 of the 'Criteria for Discharge Review' set forth at page 21310 of the April 26, 1977, **Federal Register.** Please answer specifically the question regarding those given urological tests."

The Secretary responded:

"Question Ten—In clarification of these terms the following guidance is provided:

(1) Wounded in action. A member of the armed services is considered to have been wounded in action if the wound was incurred while the member was engaged in armed conflict or an operation or incident involving armed conflict, caused by an instrumentality of war, incurred in line of duty during a period of war as defined by law.

(2) Satisfactorily completed an assignment in Southeast Asia or in the Western Pacific in support of operations of Southeast Asia. Determination of fulfillment of this criteria is contained in AR 614–30, Table 1–1 and 1–2 (Inclosure 6).

(3) Had a record of satisfactory active military service for 24 months prior to discharge. Guidance for this criteria is contained in SFRB Special Program Memorandum B (Inclosure 3).

Those who were found to be 'positive' on urological tests were treated and then returned to the U.S."

(See "Eligibility for Veterans' Benefits Pursuant to Discharge Upgradings: Hearings before the Senate Committee on Veterans' Affairs," 95th Cong., 1st Sess. (1977) at 30–34).

[FR Doc. 79-38328 Filed 12-13-79; 8:45 am]

BILLING CODE 5710-08-M

[1] As guidelines are developed for processing DRB cases under the special program, they will be distributed to all personnel through this media. If you are a party to the development of any guidelines with the Director or Deputy Director, please furnish the item to Col Hile so it can be made available to all personnel by this means.

Department of the Navy

Decision To Construct a New Naval Regional Medical Center at San Diego, Calif.

Pursuant to the provisions of the regulations implementing the procedural provisions of the National Environmental Policy Act (§ 1505.2 of title 40, Code of Federal Regulations), the Department of the Navy announces its decision to construct a new Naval Regional Medical Center on a site in Florida Canyon adjacent to the existing facility in Balboa Park, San Diego, California.

The decision to construct the new Naval Regional Medical Center will provide a 560-bed acute care and 250-bed light care hospital, outpatient and emergency medical care facilities, Naval School of Health Sciences, and parking facilities for approximately 3,400 automobiles. Alternatives considered were no action; postponement of action; partial transfer of construction at a separate site with operations split between a new site and the existing facility, and construction at a new site which entailed evaluation of twenty possible alternative locations. Consideration of the net environmental impacts at the selected site suggest that the beneficial impacts, including mitigation, outweigh those considered adverse, and accordingly, the Navy does not regard the Florida Canyon site as being any less environmentally preferable than other alternatives evaluated.

Factors supporting the Florida Canyon site as the preferred alternative included acceptable costs associated with building at an adjacent site, optimization of naval operational and environmental siting criteria, and the capacity for expansion of medical treatment facilities as provided by retention of major structures at the existing facility. As a pressing, urgent requirement exists to replace a functionally inadequate and outmoded facility, as well as the necessity for continued maintenance of accreditation, these considerations were significant in the decision-making process.

The Navy intends to design and construct a facility reflecting a sensitive awareness of the environment, minimizing adverse impacts to the maximum extent feasible. Predominant among these are continuity in design, preservation of sensitive native plant species and rare specimen trees, provision for reconstruction of roads and accesses to accommodate traffic, emission controls associated with construction, and compatibility with utility services. Additionally, the potential for the City of San Diego to acquire the Inspiration Point acreage, an area of approximately equal size to the Florida Canyon parcel, and thus to be compensated for land lost to the project, is considered a beneficial impact.

For further information concerning this decision contact: Mr. Edward W. Johnson, Environmental Protection and Occupational Safety and Health Division (OP-45), Office of the Deputy Chief of Naval Operations (Logistics), Rm BD-766, Pentagon, Washington, D.C. 20350, Telephone: (202) 697-3639.

Dated: December 11, 1979.

P. B. Walker,

Captain, JAGC, U.S. Navy, Deputy Assistant Judge Advocate General (Administrative Law).

[FR Doc. 79-38332 Filed 12-13-79; 8:45 am]

BILLING CODE 3810-71-M

Freedom of Information Act Index of Final Dispositions of Petitions for Relief Submitted Pursuant to Article 69 Uniform Code of Military Justice (UCMJ); Determination That Publication Would Be Unnecessary and Impracticable

The Department of the Navy has determined, pursuant to and in accordance with 5 U.S.C. 552(a)(2) and 32 CFR 701. 59(d)(3)(iii), that the publication of the "Index of final dispositions of Petitions for relief submitted pursuant to Article 69, UCNJ," would be unnecessary and impracticable. This determination is supported by the fact that there is insufficient public interest in the Index to justify mass routine publication and that the materials indexed are so rapidly increasing that any publication with reasonable frequency would still be incomplete.

The Index contains final dispositions of "Petitions for relief" submitted pursuant to Article 69, UCMJ. Briefly stated, Article 69 (10 U.S.C. 669) established a review procedure in the Office of the Judge Advocate General for courts-martial which have not been reviewed by the Court of Military Review. Under the provisions of Article 69 (10 U.S.C. 869), persons convicted by courts-martial whose cases have not been reviewed by a Court of Military Review may petition the Judge Advocate General for a review of their convictions.

Internally reproduced copies of the Index are available at $10.75 per copy, the direct cost of duplication, by writing: Judge Advocate General (Code 20), Department of the Navy, Washington, D.C. 20370.

For further information contact: Lieutenant Commander Michael P. Green, JAGC, U.S. Navy, Military Justice Division (Code 203), Office of the Judge Advocate General, Department of the Navy, Washington, D.C. 20370.

Dated: December 11, 1979.

P.B. Walker,

Captain, JAGC, U.S. Navy Deputy Assistant Judge Advocate General (Administrative Law).

[FR Doc. 79-38333 Filed 12-13-79; 8:45 am]

BILLING CODE 3810-71-M

DEPARTMENT OF ENERGY

Refiners Crude Oil Allocation Program; Supplemental Notice for Allocation Period of October 1, 1979, Through March 31, 1980, and Notice of Issuance of Emergency Allocations for December 1979 and January 1980

The notice specified in 10 CFR 211.65(g) of the refiners' crude oil allocation (buy/sell) program for the allocation period of October 1, 1979, through March 31, 1980, was issued September 21, 1979 (44 FR 55943, September 28, 1979). Subsequent to the publication of that Notice, the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) assigned emergency allocations pursuant to 10 CFR 211.65(c)(2) to a number of small refiners and issued supplemental buy/sell lists on October 17, 1979 (44 FR 60786, October 22, 1979) and on November 6, 1979, (44 FR 65625, November 14, 1979). The ERA hereby issues a third supplemental buy/sell list for the allocation period of October 1, 1979, through March 31, 1980, which sets forth new emergency allocations for the months of December 1979 and January 1980, assigned pursuant to 10 CFR 211.65(c)(2), as amended on April 27, 1979, (44 FR 26060, May 4, 1979).

The supplemental buy/sell list for the allocation period October 1, 1979, through March 31, 1980, is set forth as an appendix to this notice. The list includes the names of the small refiners granted emergency allocations for the months of December, 1979 and January 1980, and their eligible refineries; the quantity of crude oil each refiner is eligible to purchase; the fixed percentage share for each refiner-seller; and the additional sales obligation of each refiner-seller, which reflects each refiner-seller's sales obligation for the emergency allocations listed herein.

The allocations for the small refiners on the supplemental buy/sell list were determined in accordance with 10 CFR 211.65(c)(2). Sales obligations for refiner-sellers were determined in accordance with 10 CFR 211.65 (e) and (f).

The buy/sell list covers PAD Districts I through V, and amounts shown are in barrels of 42 gallons each, for the specified period. Pursuant to 10 CFR 211.65(f), each refiner-seller shall offer for sale during an allocation period, directly or through exchanges to refiner-buyers, a quantity of crude oil equal to that refiner-seller's sales obligation plus any volume that the ERA directs the refiner-seller to sell pursuant to 10 CFR 211.65(j).

Pursuant to 10 CFR 211.65(h), each refiner-buyer and refiner-seller is required to report to ERA in writing or by telegram the details of each transaction under the buy/sell list within forty-eight hours of the completion of arrangements therefor. Each report must identify the refiner-seller, the refiner-buyer, the refineries to which the crude oil is to be delivered, the volumes of crude oil sold or purchased, and the period over which the delivery is expected to take place.

The procedures of 10 CFR 211.65(j) provide that if a sale is not agreed upon subsequent to the date of publication of this notice, a refiner-buyer that has not been able to negotiate a contract to purchase crude oil may request that the ERA direct one or more refiner-sellers to sell a suitable type of crude oil to such refiner-buyer. Such request must be

received by the ERA no later than 20 days after the publication date of this supplement buy/sell notice. Upon such request, the ERA may direct one of more refiner-sellers that have not completed their required sales to sell crude oil to the refiner-buyer.

In directing refiner-sellers to make such sales, ERA will consider the percentage of each refiner-seller's sales obligation for the allocation period that has been sold as reported pursuant to Section 211.65(h), as well as the refiner-seller or sellers that can best be expected to consummate a particular directed sale. If, in ERA's opinion, a valid directed sale request cannot reasonably be expected to be consummated by a refiner-seller that has not completed all or substantially all of its sales obligation for the allocation period, the ERA may issue one or more directed sales orders that would result in one or more refiner-sellers selling more than their published sales obligations for that allocation period. In such cases, the refiner-seller or sellers will receive a barrel-for-barrel reduction in their sales obligations for the next allocation period pursuant to 10 CFR 211.65(f)(3)(ii).

If the refiner-buyer declines to purchase the crude oil specified by ERA, the rights of that refiner-buyer to purchase that volume of crude oil are forfeited during this allocation period, provided that the refiner-seller or refiner-sellers have fully complied with the provision of 10 CFR 211.65.

Refiner-buyers making requests for directed sales must document their inability to purcahse crude oil from refiner-sellers by supplying the following information to ERA:

(i) Name of the refiner-buyer and of the person authorized to act for the refiner-buyer in buy/sell program transactions.

(ii) Name and location of the refineries for which crude oil has been sought, the amount of crude oil sought for each refinery, and the technical specifications of crude oils that have historically been processed in each refinery.

(iii) Statement of any restrictions, limitations, or constraints on the refiner-buyer's purchases of crude oil, particularly concerning the manner or time of deliveries.

(iv) Names and locations of all refiner-sellers from which crude oil has been sought under the buy/sell notice, the refineries for which crude oil has been sought, and the volume and specifications of the crude oil sought from each refiner-seller.

(v) The response of each refiner-seller to which a request to purchase crude oil has been made, and the name and telephone number of the individual contacted at each such refiner-seller.

(vi) Such other pertinent information as ERA may request.

All reports and applications made under this notice should be addressed to:

Chief, Crude Oil Allocation Branch, 20th Street Postal Station, P.O. Box 19028, Washington, D.C. 20036

Section 211.65(c)(2)(ii) states in part that applications for emergency allocations "must be submitted by the fifteenth day of the month prior to the month(s) for which an allocation is sought." This provision was intended to permit ERA to receive applications and issue emergency allocations in a timely fashion. Recently, ERA has had difficulty meeting this goal because of the manner in which some applications for emergency allocations have been filed. Therefore, ERA believes it appropriate to offer the following comments on the emergency crude oil application process in the hope that they will clarify the application process for those applying for emergency allocations.

First, most applications have not been received in the Crude Oil Allocation Branch unitl the fifteenth of the month. The fifteenth of the month is meant as a deadline not a filing date. It is desirable for refiners to file their applications earlier than the fifteenth of the month, which would permit ERA to begin processing applications sooner. Except in unusual circumstances, ERA would expect applications to be filed by the tenth of the month. It should be noted that ERA would generally consider applications filed earlier than the fifth of a month to have been filed too early to present an accurate picture of a refiner's crude oil supply for succeeding months.

Second, applications should be completed by the fifteenth of the month in which they are filed. Applications that are not substantially complete by the fifteenth of the month will be dismissed with prejudice.

Third, ERA requires all applicants for emergency allocations to serve copies of their applications on refiner-sellers. Comments regarding an application will be accepted if received within eight days of receipt of the application. Applicants are required to serve copies of their application (and any amendments thereto) on refiner-sellers simultaneously with the filing of the application with ERA; that is, *refiner-sellers must receive their copies of emergency applications on the same date the application is filed with ERA.* Refiner-sellers must submit their comments on the applications to the Crude Oil Allocation Branch within eight days of the refiner-sellers' receipt of the application, or no later than the twenty-third of the month in which the application is filed. If the fifteenth or the twenty-third of the month falls on a weekend or holiday, the deadline would be the next working day.

As has been stated in previous notices, if an applicant claims confidentiality for any of the information contained in its application, the basis for the claim must be clearly stated. ERA does not consider the names of potential suppliers contacted in unsuccesful attempts to obtain crude oil or offers of crude oil that the applicant has rejected to be proprietary.

Finally, ERA emphasizes that an application for an emergency allocation must contain a *detailed* statement as to why the applicant believes it has exhausted all supply possibilities. Applications which fail to make this statement will be dismissed with prejudice.

Copies of the decisions and orders assigning the emergency allocations listed herein may be obtained from:

Economic Regulatory Administration, Public Information Office, 2000 M Street, N.W., Rm. B110, Washington, D.C. 20461, (202) 634-2170

This notice is issued pursuant to Subpart G of DOE's regulations governing its administrative procedures and sanctions, 10 CFR Part 205. Any person aggrieved hereby may file an appeal with DOE's Office of Hearings and Appeals in accordance with Subpart H of 10 CFR Part 205. Any such appeal shall be filed on or before January 14, 1980.

Issued in Washington, D.C., December 7, 1979.

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Appendix

The Buy/Sell list for the period October 1, 1979, through March 31, 1980, is hereby amended to reflect emergency allocations for the months of December 1979 and January 1980, and the resulting changes in sales obligations of refiner-sellers. The amended list sets forth the name of each refiner-seller is required to offer for sale to small refiners, and emergency allocations for the months of December 1979 and January 1980. The list also includes one adjustment made to a refiner's October and November 1979 allocations.

Crude Oil Allocation Program Additional Sales Obligations Resulting From New Emergency Allocations for the Period October 1, 1979–March 31, 1980

Refiner-sellers	Share*	Additional sales obligation
Amoco Oil Co.	.105	568,505
Atlantic Richfield Co.	.077	416,011
Chevron U.S.A., Inc.	.101	546,527
Cities Service Co.	.025	133,040
Continental Oil Co.	.004	21,634
Exxon Co., U.S.A.	.089	481,263
Getty Refining & Marketing Co.	.021	114,743
Gulf Refining & Marketing Co.	.091	492,798
Marathon Oil Co.	.022	123,613
Mobil Oil Corp.	.094	508,861
Phillips Petroleum Co.	.041	223,780
Shell Oil Co.	.113	614,512
Sun Co.	.055	300,160
Texaco Inc.	.114	615,015
Union Oil Co. of California	.046	247,226
Total Additional Sales Obligation		5,408,576

*All Refiner-Sellers' percentage shares have been changed to reflect the Continental Oil Company and Exxon Company, U.S.A. Decision and Order dated March 20, 1979. Case numbers are FEX-0184 and FEX-0185.

Adjustment to October and November 1979 Emergency Allocations

A Decision and Order dated December 7, 1979, increased Saber Refining Company's total October and November 1979 emergency allocations 297,606 barrels from 210,567 barrels to 508,173 barrels.

Emergency Allocations for December 1979 and January 1980

Refiner	Refinery location	December 1979 allocation (barrels)	January 1980 allocation (barrels)
Clark Oil & Refining Corp.	Blue Island, Ill	654,131	654,131
CRA, Inc.	Coffeyville, Kan	534,533	955203
Hunt Oil Co.	Tuscaloosa, Ala	252,061	252,092
OKC Corp.	Oklmulgee, Okla	150,939	155,569
Saber Ref., Co.	Corpus Christi, Tex	210,988	461,001
Seaview Petroleum Company	Paulsboro, N.J.	374,325	374,325
Tipperary Refining Company	Ingleside, Tex	40,827	40,827
Total		2,217,802	2,893,168

Additional Allocations for the Oct. 1, 1979, to Mar. 31, 1980, Allocation Period

Emergency allocations (December)	2,217,802
Emergency allocations (January)	2,893,168
Saber adjustment (October and November)	297,606
Total allocations	5,408,576

[FR Doc. 79-38277 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-37]

Federal Energy Regulatory Commission

Alabama Gas Corp.; Application for Adjustment and Request for Interim Relief

December 11, 1979.

On November 23, 1979, Alabama Gas Corporation (Alabama Gas) filed an application in Docket No. SA80-37 pursuant to Section 502(c) of the Natural Gas Policy Act of 1978 (NGPA) and § 1.41 of the Commission's Rules of Practice and Procedure, 18 CFR 1.41, for an adjustment exempting Alabama Gas from the applicability of the incremental pricing regulations adopted by the Commission in Order No. 49 issued September 28, 1979 in Docket No. RM79-14, all as more fully set forth in the application on file with the Commission and open to public inspection.

Alabama Gas states that it faces the danger of a loss of a portion of its industrial load not exempt from incremental pricing due to competitive bidding by local fuel oil suppliers. Alabama Gas further states that any such loss of industrial load would result in increased rates for its exempt customers, notably high priority, residential consumers. As a result, Alabama Gas proposes to implement, in lieu of the incremental pricing regulations and subject to the approval of the Alabama Public Service Commission, an incremental pricing mechanism on its system which provides protection for Alabama Gas and its customers against the loss of industrial load by giving Alabama Gas needed flexibility in meeting the competition from local fuel oil suppliers.

Because of the existence of this danger of a loss of industrial load and the resulting hardship to Alabama Gas' high priority customers while this application is pending, Alabama Gas requests interim relief pursuant to Section 1.41(m) of the Commission's rules of Practice and Procedure (1) exempting Alabama Gas from the applicability of the incremental pricing regulations, and (2) approving Alabama Gas' proposed system-wide incremental pricing mechanism.

Any person desiring to participate in this adjustment proceeding shall file with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, a petition to intervene in accordance with the provisions of § 1.41 of the Commission's Rules of Practice and Procedure, 18 CFR 1.41. All petitions to intervene must be filed on or before December 31, 1979.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38350 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket Nos. RP73-77, et al.]

Alabama-Tennessee Natural Gas Co., et al.; Filing of Pipeline Refund Reports and Refund Plans

December 7, 1979.

Take notice that the pipelines listed in the Appendix hereto have submitted to the Commission for filing proposed refund reports or refund plans. The date of filing, docket number, and type of filing are also shown on the Appendix.

Any person wishing to do so may submit comments in writing concerning the subject refund reports and plans. All such comments should be filed with or mailed to the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before December 24, 1979. Copies of the respective filings are on file with the Commission and available for public inspection.

Kenneth F. Plumb,

Secretary.

Appendix

Filing date	Company	Docket No.	Type filing
11/26/79	Alabama-Tennessee Natural Gas Company.	RP73-77	Report.
11/26/79	Texas Gas Transmission Corporation.	RP78-94	Report.
11/29/79	El Paso Natural Gas Company.	CP77-289	Report.
11/29/79	Northern Natural Gas Company.	RP77-56	Report.
11/30/79	Colorado Interstate Gas Company.	RP78-51	Plan.

[FR Doc. 79-38349 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-20 (PGA80-1 and IPR80-1)]

Algonquin Gas Transmission Co.; Rate Change Pursuant to Purchased Gas Cost Adjustment Provision

December 7, 1979.

Take notice that Algonquin Gas Transmission Company ("Algonquin Gas") on November 30, 1979, tendered for filing Original Sheet No. 10–B and Substitute 50th Revised Sheet No. 10 to its FERC Gas Tariff, First Revised Volume No. 1.

Algonquin Gas states that these tariff sheets are being filed pursuant to Order No. 49 reflecting the incremental pricing surcharges and related revised rates.

Algonquin Gas also states that such Substitute 50th Revised Sheet No. 10 reflects a $.0048 per Mcf Gas Research Institute funding surcharge as approved by Commission Opinion No. 64 filed by Algonquin Gas on November 19, 1979, under its 50th Revised Sheet No. 10, all as more fully explained in the filing.

Algonquin Gas requests that the proposed effective date of such tariff sheets as prescribed by Order No. 49 be January 1, 1980.

Algonquin Gas notes that a copy of this filing is being served upon each affected party and interested state commission.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, DC 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions or protests should be filed on or before Dec. 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38350 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket Nos. G-9279, et al., Docket Nos. CI65-974, et al.]

Amoco Production Co., et al., and George Despot, Agent, et al.; Filing of Refund Distribution Plan

December 7, 1979.

Take notice that on April 24, 1979, Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), filed its plan for distribution of refunds received from its producer-suppliers pursuant to the Commission orders of December 14, 1978 and February 23, 1979, in these proceedings. Tennessee states that as of April 20, 1979, it had received total refunds (principal and interest) of $10,156,072.39.

Tennessee requests permission to flow-through to its customers $7,631,554.07 of the refunds by means of a credit to the Unrecovered Purchased Gas Cost Account maintained pursuant to its PGA clause. Tennessee states that it will retain the remaining $2,524,518.32 of the refunds in accord with its Settlement Agreement in Docket Nos. G–11980, *et al.*

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene; provided, however, that any person who has previously filed a petition to intervene in this proceeding is not required to file a further petition. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38351 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP69-180]

Cities Service Gas Co.; Petition To Amend

December 12, 1979.

Take notice that on November 13, 1979, Cities Service Gas Company (Applicant), P.O. Box 25128, Oklahoma City, Oklahoma 73125, filed in Docket No. CP69–180 a petition to amend the order issued March 18, 1969,[1] in the instant docket pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing an increase in the maximum daily quantity of natural gas it is authorized to sell to Enterprise Gas Association, Inc. (Enterprise) for resale for irrigation and incidental farm uses in a rural area of Ford County, Kansas, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Applicant states that the order issued March 18, 1969, authorized it to sell and deliver up to 746 Mcf of natural gas per day to Enterprise at three delivery points in Ford County, Kansas, under its Rate Schedule IRG–1 for resale for irrigation and incidental farm uses.

Applicant states that Enterprise has indicated, from time to time, that it needed additional volumes of gas to operate its irrigation gas distribution system in a rural area of Ford County due to increased irrigation requirements stemming from expanding operations and the need to raise water from greater depths. Therefore, Applicant has entered into a new agreement with Enterprise dated August 31, 1979, which increases the daily maximum quantity of gas to be sold and delivered from 746 Mcf per day to 1,750 Mcf per day, it is asserted. It is stated that in all other aspects, the contract terms remain unchanged.

Applicant states that no new facilities would be required to deliver the additional quantities of gas to this customer.

Applicant also states that the delivery of the additional volumes of gas to Enterprise would have no adverse effect on its system supply and that such volumes of gas would be used to serve the agricultural needs of the area.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38352 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

[Docket No. CP80-96]

Colorado Interstate Gas Co.; Application

December 13, 1979.

Take notice that on November 19, 1979, Colorado Interstate Gas Company (Applicant), P.O. Box 1087, Colorado Springs, Colorado 80944, filed in Docket No. CP80–96, an application pursuant to Section 7(c) of the Natural Gas Act and § 157.7(b) of the Regulations thereunder (18 CFR 157.7(b)) for a certificate of public convenience and necessity authorizing the construction, during an indefinite period commencing January 1, 1980, and operation of facilities to enable Applicant to take into its certificated main pipeline system natural gas supplies, all as more fully set forth in the application on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in connecting to its pipeline system supplies of natural gas which may become available from various producing areas generally coextensive with its pipeline system or the systems of other pipeline companies which may be authorized to transport gas for the account of or exchange with Applicant and supplies of natural gas from Applicant's owned production or acquired for system supply under Section 311 or 312 of the Natural Gas Policy Act of 1978.

Applicant states that the total cost of the proposed facilities would not exceed $13,800,000 during calender year 1980. During subsequent calendar years, it is stated, the total expenditure would not exceed 3 percent of Applicant's Account No. 101 as of January 1 of the appropriate year. It is further stated that the cost of any single project, in 1980 and in all subsequent years, would not exceed the lesser of 25 percent of Applicant's total calendar year expenditure limit or $2,500,000, unless the Commission revises the authorized expenditure limits. It is proposed that these costs would be financed from current working funds on hand, funds from operations, short-term borrowings, or long-term financing.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unles otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38353 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-32, (PGA80-2 and IPR80-1)]

Colorado Interstate Gas Co.; Proposed Tariff Change

December 7, 1979.

Take notice that Colorado Interstate Gas Company (CIG) on November 30, 1979, tendered for filing proposed changes in its FERC Gas Tariff, Original Volume No. 1, to be effective January 1, 1980. The rates shown on the proposed tariff sheet changes reflect a reduction in CIG's currently effective jurisdictional purchased gas adjustment (PGA) rates equal to the annualized incremental pricing surcharges CIG expects to recover in the period January 1, 1980 through September 30, 1980. CIG requests Commission approval to equally offset such reduction by increased purchased gas costs which CIG is experiencing from its supplier, Northwest Pipeline Corporation (NPC), and which are not currently reflected in its PGA rates. CIG also filed alternate tariff sheets which reflect no offset in increased NPC gas costs.

Further, CIG requested specific Commission approval for its handling of the incremental cost assignment associated with its purchase and sale of portions of gas in conjunction with the transportation of such gas by CIG and other pipelines.

Copies of CIG's filing have been served upon the Company's jurisdictional customers and other interested persons, including public bodies.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38354 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-106]

Columbia Gas Transmission Corp.; Application

December 11, 1979.

Take notice that on November 26, 1979, Columbia Gas Transmission Corporation (Applicant), 1700 MacCorkle Avenue, S.E., Charleston, West Virginia 25314, filed in Docket No. CP80–106 an application pursuant to Section 7(c) of the Natural Gas Act and § 284.221(c) of the Commission's Rules for a certificate of public convenience and necessity authorizing the transportation of natural gas for other interstate pipelines, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that it requests blanket authorization to transport natural gas on behalf of other interstate pipelines for periods up to two years. It is further stated that Applicant would comply with the provisions and reporting requirements of § 284.221 of the Commission's Rules.

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Any person desiring to be heard or to make any protest with reference to said application should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38355 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-72]

Columbia Gulf Transmission Co., Columbia Gas Transmission Co., and Southern Natural Gas Co.; Application

December 13, 1979.

Take notice that on November 9, 1979, Columbia Gulf Transmission Company (Columbia Gulf), P.O. Box 683, Houston, Texas 77001, Columbia Gas Transmission Company (Columbia Gas), 1700 MacCorkle Avenue, S.E., Charleston, West Virginia 25314, and Southern Natural Gas Company (Southern), P.O. Box 2563, Birmingham, Alabama 35202, filed in Docket No. CP80-72 a joint application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing Applicants to exchange and transport up to 25,000 Mcf of natural gas per day, and to construct and operate certain tie-in facilities in East Carroll Parish, Louisiana, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicants state that pursuant to an agreement dated September 4, 1979, as amended October 25, 1979, Applicants have agreed to exchange and transport up to 25,000 Mcf of gas per day onshore Louisiana. The exchange would be on a thermally equivalent basis.

It is stated that Columbia Gas would purchase and deliver to Southern for exchange and transportation, gas produced from gas reserves in Cutoff Field, Lafourche Parish, Louisiana. Such gas, it is asserted, would be made available for exchange and delivery for Columbia Gas' account to Southern at the flanges or welds connecting Southern's facilities with Columbia Gulf's facilities which would be constructed and operated by Columbia Gulf in the Cutoff Field, Lafourche Parish, Louisiana. It is stated that Columbia Gulf would construct the pipeline facilities from the Cutoff Field to the proposed interconnection with Southern's pipeline in Lafourche Parish. Southern would be reimbursed by Columbia Gulf for the cost of the tap made on Southern's pipeline, it is stated.

It is stated that Southern has agreed to purchase and deliver to Columbia Gulf for exchange and transportation gas produced from reserves in West Cameron Block 563 and Mississippi Canyon Blocks 267, 268, and 312, offshore Louisiana. Such gas would be delivered and exchanged for Southern's account to Columbia Gulf at the flanges or welds connecting Columbia Gulf's measuring facilities near Erath, Vermilion Parish, Louisiana, it is stated. Such Mississippi Canyon gas would be exchanged and delivered to Columbia Gulf's existing measuring facilities in Jefferson Parish, Louisiana, it is asserted. It is stated that no new facilities would be required to effect the delivery of this gas to Columbia Gulf.

It is stated that any imbalance volume would be transported by Columbia Gulf or Southern and delivered at the flanges or welds connecting Columbia Gulf's 30-inch Main Lines 100 and 200 and Southern's 22-inch pipeline at Milepost 23, Section 23, Township 20-N, Range 11-E, East Carroll Parish, Louisiana. Applicants state that Columbia Gulf would receive from Southern 15.355 cents per Mcf for transporting the imbalance volume of gas, if any, after the exchange has been effected. Southern would receive from Columbia Gas 22.0 cents per Mcf for transporting the imbalance volume of gas, if any, it is further asserted.

Applicants state that the proposed dual 8-inch measurement facility would be capable of handling up to 100,000 Mcf of gas per day, and would be owned by Southern and constructed, and operated, by Columbia Gulf. It is stated that the cost of construction and installation of such facilities is $156,250 which would be financed by Southern from current working funds.

Applicants state that the proposed exchange and transportation arrangement would not cause any significant change in either Southern's or Columbia Gulf's pipeline operations.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicants to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38356 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP79-26]

Consolidated Gas Supply Corp. and Equitable Gas Corp.; Petition To Amend

December 12, 1979.

Take notice that on November 15, 1979, Consolidated Gas Supply Corporation (Consolidated), 445 West Main Street, Clarksburg, West Virginia 26301, and Equitable Gas Company (Equitable), 420 Boulevard of the Allies, Pittsburgh, Pennsylvania 15219, filed in Docket No. CP79-26 a joint petition to amend the order issued January 30, 1979, in the instant docket pursuant to Section 7(c) of the Natural Gas Act so as to authorize the exchange of natural gas at additional delivery points and the construction and operation by Equitable of certain facilities necessary therefor, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioners state that by order issued January 30, 1979, Petitioners were authorized to exchange up to 20,000 Mcf of natural gas per day and to construct and operate certain related facilities.

It is stated that, pursuant to an exchange agreement between Petitioners dated October 3, 1979, Equitable proposes to deliver or cause to be delivered natural gas to Consolidated at three additional points:

(1) Up to 1,000 Mcf per day near Glenville, Gilmer County, West Virginia;

(2) Up to 100 Mcf per day near Central Station, Doddridge County, West Virginia; and

(3) Up to 500 Mcf per day near Sedalia, Doddridge County, West Virginia.

Petitioners indicate that the natural gas proposed to be delivered by Equitable at the Glenville and Central Station delivery points would permit Consolidated's Hope Natural Gas Company retail distribution division to continue gas service to approximately 590 high priority customers located in these areas following the abandonment of Consolidated's Line Nos. H-136 and H-45. Petitioners state that said abandonments were granted by Commission order of May 29, 1975, as amended, in Docket No. CP75-158. It is further stated that the Sedalia delivery point would involve natural gas purchased and produced locally by Equitable.

Petitioners state that Consolidated proposes to deliver volumes of natural gas to Equitable for exchange at one additional point:

Up to 1,000 Mcf per day near West Union, Doddridge County, West Virginia.

It is stated that the natural gas proposed to be delivered by Consolidated for exchange at West Union would enable Equitable to provide gas service to its approximately 600 high priority distribution customers in West Union, West Virginia.

Equitable requests authorization to construct and operate the necessary measuring and interconnecting facilities at the proposed new delivery points. Consolidated would construct and operate its facilities at said points under its annually effective budget authorization. The total costs of Equitable's facilities is estimated to be $34,700, which Equitable would finance from funds on hand.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38357 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP72-300]

Consolidated Gas Supply Corp. and Columbia Gas Transmission Corp.; Petition To Amend

December 12, 1979.

Take notice that on November 26, 1979, Consolidated Gas Supply Corporation (Consolidated), 445 West Main Street, Clarksburg, West Virginia 26301, and Columbia Gas Transmission Corporation (Columbia), 1700 MacCorkle Avenue, S.E., Charleston, West Virginia 25314, filed in Docket No. CP72-300 a petition to amend the Commission's order issued on October 24, 1972 [1] as amended, in the instant docket so as to authorize the exchange of natural gas at four additional points, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioners state that by an agreement dated October 10, 1979, Columbia would deliver gas to Consolidated at three mutually agreed upon points:

(1) Up to 250 Mcf per day on Consolidated's 6-inch Line No. 18171 in Fork District, Raleigh County, West Virginia;

(2) Up to 100 Mcf per day on Consolidated's 12-inch Line No. TL-255 in Tucker District, Wirt County, West Virginia; and

(3) Up to 100 Mcf per day on Columbia's 16-inch Line No. 1740 in Troy District, Gilmer County, West Virginia.

It is stated that the gas to be delivered in Raleigh County and Wirt County would be purchased by Columbia from independent producers. It is further stated that Consolidated has requested the delivery in Gilmer County in order to continue service to consumers following the removal of it's Line No. H-138 from service under abandonment authorization granted by the Commission on May 29, 1975, as amended.

Petitioners further state that Consolidated would deliver gas to Columbia at a mutually agreed upon point: on Columbia's 20-inch Line KA-20 in Barker's Ridge District, Wyoming County, West Virginia, which gas Consolidated would purchase locally from an independent producer. It is stated that Consolidated would deliver up to 3,500 Mcf per day.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a

[1] This proceeding was commenced before the F.P.C. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38356 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RP80-52]

Consolidated Gas Supply Corp.; Proposed Changes in FERC Gas Tariff

December 7, 1979.

Take notice that Consolidated Gas Supply Corporation (Consolidated) on November 28, 1979, tendered for filing revised tariff sheets to its FERC Gas Tariff, Third Revised Volume No. 1 proposed to be effective January 1, 1980. The revised tariff sheets incorporate, as part of Section 12 of the tariff, Consolidated's agreement to make cash refunds to its jurisdictional customers of any single refund received in excess of $2,000,000.

Additionally, Consolidated now proposes to make cash refunds at such time when refunds of lesser amounts have accumulated to $2,000,000 and of lesser amounts which exist as of the preceding November 30, or May 31 when it files its semi-annual PGA filing provided, however, that such refunds are applicable to periods prior to January 1, 1980.

Included in the filing were:

First Revised Sheet Nos. 72-A, 72-B; and Third Revised Sheet No. 72.

Copies of this filing were served upon Consolidated's jurisdictional customers as well as interested State Commissions.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before Dec. 21, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceedings. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38339 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-22 (PGA80-1, IPR80-1, GRI80-1)]

Consolidated Gas Supply Corp.; Proposed Changes in FERC Gas Tariff

December 7, 1979.

Take notice that Consolidated Gas Supply Corporation (Consolidated) on November 30, 1979, tendered for filing proposed changes in its FERC Gas Tariff, Third Revised Volume No. 1 to be effective January 1, 1980.

Consolidated states that the revised tariff sheets reflect rate changes from pipeline suppliers and producer suppliers for the months of January and February 1980. Consolidated has also included estimated incremental pricing surcharges for each wholesale customer for each month. The total purchased gas costs have been reduced by the estimated incremental pricing surcharges in accordance with the Commission's final rule implementing the incremental pricing provisions of the Natural Gas Policy Act of 1978 promulgated by FERC Order No. 49 issued September 28, 1979 in Docket No. RM79-14.

While Consolidated believes no waivers are necessary, Consolidated requests waiver of any of the Commission's Rules and Regulations that may be deemed necessary in order to permit the revised tariff sheets to become effective as proposed.

Copies of this filing were served upon Consolidated's jurisdictional customers as well as interested state commissions.

Any persons desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38360 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-2 (PGA80-1, IPR80-1, DCA80-1, and GRI80-1)]

East Tennessee Natural Gas Co.; Rate Filing Pursuant to Tariff Rate Adjustment Provisions

December 7, 1979.

Take notice that on November 30, 1979, East Tennessee Natural Gas Company (East Tennessee) tendered for filing Thirty-First Revised Sheet No. 4 and Original Sheet No. 4A of Sixth Revised Volume No. 1 of its FERC Gas Tariff to be effective January 1, 1980.

East Tennessee states that the sole purpose of this tariff sheet is to reflect various rate adjustments as follows:

(1) A PGA Rate Adjustment pursuant to Section 22;

(2) A curtailment credit Rate Adjustment pursuant to Section 24;

(3) A GRI Rate Adjustment pursuant to Section 25; and

(4) Estimated Incremental Pricing Surcharges pursuant to Section 26.

East Tennessee also states that copies of the filing have been mailed to all of its jurisdictional customers and affected state regulatory commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene; provided, however, that any person who has previously filed a petition to intervene in this proceeding is not required to file a further petition. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38361 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RP71-15]

East Tennessee Natural Gas Co.; Report of Refunds

December 7, 1979.

Take notice that on November 30, 1979, East Tennessee Natural Gas Company (East Tennessee) filed a report of refunds made to its jurisdictional customers on November 29, 1979. East Tennessee states that these refunds result from a $2,504,692.41 refund which it received from Tennessee Gas Pipeline Company, a Division of Tenneco Inc. on October 15, 1979.

East Tennessee states that copies of the filing have been mailed to all of its jurisdictional customers and affected state regulatory commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, and 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene; provided, however, that any person who has previously filed a petition to intervene in this proceeding is not required to file a further petition. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38362 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA79-33]

Enserch Exploration, Inc.; Application for Adjustment

Issued: December 11, 1979.

Take notice that on September 18, 1979, Enserch Exploration, Inc. (Enserch), 1817 Wood Street, Dallas, Texas 75201, filed with the Federal Energy Regulatory Commission an application for an adjustment under section 502(c) of the Natural Gas Policy Act of 1978 (NGPA). 15 U.S.C. 3301 *et seq.* Enserch sought an adjustment to the maximum lawful price allowed under the NGPA. 15 U.S.C. 3301 *et seq.* Specifically, Enserch states that due to a loss in reservoir pressure and an influx of salt water, it will be unable to maintain production from the Berthold Koenig No. 1 Well at the contract price of 17.5 cents per Mcf. They request the Commission grant an adjustment of the maximum lawful price allowable under section 105 of the NGPA from 17.5 cents per Mcf, plus tax reimbursement, to 82.2 cents per Mcf, plus a tax reimbursement of .2055 cents per Mcf.

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979 (44 FR 18961, March 30, 1979).

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of 18 CFR 1.41(e). All petitions to intervene must be filed on or before December 31, 1979.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38363 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Dockets Nos. ER80-8 and ER78-19, et al.]

Florida Power & Light Co.; Order Accepting for Filing and Suspending Proposed Transmission Rate Schedule, Waiving Regulations, Granting Intervention and Establishing Procedures

Issued: December 4, 1979.

On October 5, 1979, Florida Power & Light Company (FP&L) submitted for filing a proposed supplement to its unexecuted transmission agreement with the City of New Smyrna Beach, Florida (New Smyrna) that provides for the transmission of power and energy by FP&L that New Smyrna may receive under an interchange agreement with the Jacksonville electric Authority.[1] The proposed rate of 1.65 mills/kWh is independent of distance, *i.e.*, postage stamp, and identical to the rates filed by FP&L in 17 pending dockets. This is the second supplement to the New Smyrna "agreement," made necessary because the initial filing provides that FP&L will transmit power and energy on a specific service-by-service basis.[2] In lieu of cost support, FP&L requests that the evidentiary submission tendered in Docket No. ER78-19 on June 16, 1978, and incorporated by reference into all subsequent dockets be incorporated into this proceeding as well. FP&L and New Smyrna requests waiver of the notice requirements of Section 35.3 of the Regulations so that the proposed rate schedule may become effective immediately.

On November 5, 1979, New Smyrna filed a protest and petition to intervene in this proceeding. The customer challenges the adequacy of FP&L's proposed transmission service and requests a hearing. FP&L responded to the protest on November 20, 1979.

The proposed supplement to FP&L's unexecuted transmission service agreement with New Smyrna has not been shown to be just and reasonable, and may be unjust, unreasonable, unduly discriminatory, preferential, or otherwise unlawful. Consistent with our actions in earlier FP&L transmission rate proceedings, we shall waive Section 35.3 of the Regulations regarding notice, accept the proposed supplement for filing and suspend it for one day to become effective as of October 6, 1979, subject to refund at the outcome of the proceeding. We shall also apply Section 35.19 of the Regulations to permit the incorporation by reference of the cost support from Docket No. ER78-19. This docket will be consolidated with Docket Nos. ER78-19, *et al.*

The Commission Orders

(A) The request for waiver of § 35.3 of the Regulations is hereby granted.

(B) FP&L's request for waiver of § 35.19 of the Regulations is hereby granted to permit incorporation by reference of the cost support from Docket No. ER 78-19.

(C) The proposed supplemental transmission agreement tendered by FP&L in Docket No. ER80-8 is accepted for filing and suspended for one day to become effective as of October 6, 1979, subject to refund at the outcome of this proceeding.

(D) The proceeding in Docket Nos. ER80-8 is hereby consolidated with Docket No. ER78-19 *et al.*, for purposes of hearing and decision thereon.

(E) The Secretary shall promptly publish this order in the **Federal Register.**

By the Commission.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38364 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-13 (PGA80-1)]

Gas Gathering Corp.; Proposed Change in Rates Under Purchased Gas Adjustment Clause Provision

December 7, 1979.

Take notice that Gas Gathering Corporation (GGC), on November 29, 1979 tendered for filing proposed changes in its F.E.R.C. Gas Tariff providing for decreased charges to Transcontinental Gas Pipe Line Corporation (Transco), its sole jurisdictional customer, under G.G.C.'s PGA clause. The proposed changes would decrease the rate charged Transco by 14.35650¢ per Mcf under

[1] Designated as: Florida Power & Light Company, (1) Supplement No. 2 to Rate Schedule No. 32 (Contractual Addition). (2) Exhibit E to Rate Schedule 32 (New Smyrna-Jackson Interchange Agreement).

[2] Although characterized as "agreements" by FP&L, we note that New Smyrna has not executed a service agreement relating to any of the transmission rate filings.

those rates presently in effect. The proposed rates are to be made effective on January 1, 1980. G.G.C. states that its filing is based upon a restated Base Tariff Rate as filed on November 19, 1979 pursuant to § 154.38(d)(4)(vi)(a) of the Commission's Regulations. G.G.C. also states that its instant filing of November 29, 1979 is made consistent with its requested waiver of the Commission's Regulations filed on November 19, 1979 to exclude the statement of incremental surcharges herein as otherwise required by Part 282 of the Commission's Regulations, which were adopted under Order No. 49.

A copy of the filing has been served upon Transco.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38385 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-4 (PGA80-1, IPR80-1)]

Granite State Gas Transmission, Inc.; Proposed Change in Rates Pursuant to Purchased Gas Cost Adjustment Provision

December 7, 1979.

Take notice that Granite State Gas Transmission, Inc. (Granite State), 66 Market Street (P.O. Box 508), Portsmouth, New Hampshire 03801, on November 30, 1979, tendered for filing Twenty-Seventh Revised Sheet No. 3A in its FERC Gas Tariff, Original Volume No. 1, containing proposed changes in rates for effectiveness on January 1, 1980.

According to Granite State, the instant rate adjustment reflects an increase in its cost of gas purchased from Tennessee Gas Pipeline Company, a Division of Tenneco, Inc. (Tennessee) which Tennessee proposes to make effective January 1, 1980, and the amortization of Unrecovered Purchased Gas Costs. It is stated that Granite State's filing is made pursuant to the purchase gas cost adjustment provision in its tariff, approved on December 14, 1972, in Docket No. RP73-17, as amended.

Granite State further states that its rate adjustment is applicable to its sales to Northern Utilities, Inc. (Northern), which is Granite State's sole jurisdictional customer. According to Granite State, the effect of the proposed rates contained on Twenty-Seventh Revised Sheet No. 3A on Northern's purchases from Granite State is an increase of $346,700 annually, based on purchases from Tennessee and sales to Northern for the twelve months ended October 31, 1979.

According to Granite State, copies of the filing were served upon Northern and the regulatory commissions of the States of Maine and New Hampshire.

Any persons desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38386 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP75-222]

Kansas-Nebraska Natural Gas Co.; Petition To Amend

December 12, 1979.

Take notice that on November 9, 1979, Kansas-Nebraska Natural Gas Company (Applicant), P.O. Box 608, Hastings, Nebraska 69901, filed in Docket No. CP75-222 a petition to amend the order issued January 8, 1976,[1] in Docket Nos. CP75-217 and CP75-222, pursuant to Section 7(c) of the Natural Gas Act so as to authorize the addition and deletion of wells under the terms of an agreement between Applicant and Northern Natural Gas Company (Northern) as required from time to time, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Applicant states that pursuant to the order dated January 8, 1976, it was authorized to exchange with and purchase from Northern natural gas pursuant to an agreement dated June 5, 1974. Applicant proposes pursuant to letter agreements between Applicant and Northern dated January 3, 1979, and March 13, 1979, to add the Federal #1-19 well and to delete the Federal #1 well, respectively.

Applicant further proposes to add and delete wells under the agreement as required from time to time so as to expedite the connection of gas. It is stated that such authorization would be limited to Fremont County, Wyoming, which is also the location of the above two wells.

Applicant states that it and Northern agree to file with the Commission on or before January 31 of each year amendments to the agreement to show the addition and deletion of wells during the previous calendar year.

Applicant further states that it has budget authorization to construct and operate jurisdictional facilities to receive new supplies. It is stated that Northern would reimburse Applicant for any such facilities installed to accommodate Northern's gas.

Applicant states that the authorization requested is in the public interest and that the proposed sale, exchange and transportation would have no effect on any of the other sales or services rendered by either Applicant or Northern and would cause no substantial change in either party's operations.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38388 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

[Docket No. TA80-1-46 (PGA80-1 and IPR80-1)]

Kentucky West Virginia Gas Co.; Proposed Change in Rates

December 7, 1979.

Take notice that Kentucky West Virginia Gas Company (Kentucky West) on November 30, 1979, tendered for filing with the commission Revised Sheet No. 27 and Original Sheet No. 27A to its FERC Gas Tariff, First Revised Volume No. 1, to become effective January 1, 1980.

Kentucky West states that the change in rate results from the application of the Commission's regulations requiring the company to file revised tariff sheets providing for a reduced PGA rate and for an incremental pricing surcharge for the four month PGA period ending April 30, 1980.

Kentucky West states that a copy of its filing has been served upon the puchasers and interested state commissions and upon each party on the service list of Docket No. RP76-93.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protest should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38368 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-67]

Lone Star Gas Co., a Division of Enserch Corp.; Application

December 13, 1979.

Take notice that on November 8, 1979, Lone Star Gas Company, a Division of Enserch Corporation (Applicant), 301 South Harwood Street, Dallas, Texas 75201, filed in Docket No. CP80-67 an application pursuant to Section 7(b) of the Natural Gas Act for permission and approval to abandon the operation of certain facilities for the transportation of natural gas in interstate commerce, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that it seeks permission to abandon facilities located in the states of Texas and Oklahoma due to depleted sources of supply or rearrangement of producer's facilities. Applicant further states that the facilities proposed to be abandoned are no longer needed or required and that the proposed abandonment of the facilities from interstate commerce would not result in the abandonment or reduction of natural gas service to any of Applicant's customers.

Applicant seeks permission to abandon the following pipeline and facilities by abandonment in place and/or by removal and salvage:

(1) All of Line FX-559-T; 1,925 feet of 3-inch pipeline facilities, Stephens County, Oklahoma.

(2) All of Line FX-575-T; 2,180 feet of 3-inch pipeline facilities, Stephens County, Oklahoma.

(3) All of Line FX-581-T; 2,263 feet of 4-inch pipeline facilities, Carter County, Oklahoma.

(4) All of Line FX-582-T; 7,683 feet of 3-inch pipeline facilities, Stephens County, Oklahoma.

(5) All of Line GN-81-T; 34 feet of 2-inch pipeline facilities, Bryan County, Oklahoma.

(6) All of Line G-N; 16,227 feet of 6-inch pipeline facilities, Carter County, Oklahoma.

(7) A portion of Line T-F between stations 203 + 37 and 360 + 95 (end); 15,758 feet of 10-inch pipeline facilities, Stephens County, Oklahoma.

(8) All of Line 71-20; 113 feet of 2-inch pipeline facilities, Wichita County, Texas.

(9) All of Line 7120-1; 4,150 feet of 2-inch pipeline facilities, Wichita County, Texas.

(10) A portion of Line 71-28 between stations 0 + 00 at Line "A" and 69 + 75 (end); 6,975 feet of 4-inch pipeline facilities, Wichita County, Texas.

(11) All of Line 71-28-2; 4,539 feet of 2-inch pipeline facilities, Wichita County, Texas.

(12) All of Line 71-35; 25,504 feet of 2-inch pipeline facilities, Wichita County, Texas.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirement of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that permission and approval for the proposed abandonment are required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38369 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP76-254]

Michigan Consolidated Gas Co.; Petition To Amend

December 12, 1979.

Take notice that on November 26, 1979, Michigan Consolidated Gas Company (Petitioner), 1 Woodward Avenue, Detroit, Michigan 48226, filed in Docket No. CP76-254 a petition to amend the order issued September 14, 1979, in the instant docket pursuant to Section 7(c) of the Natural Gas Act so as to authorize the permanent transfer from its Utility Division to its Interstate Storage Division 7,000 horsepower of existing compression, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioner states that pursuant to the order of September 14, 1979, it is authorized to construct 7,500 horsepower of new compression for its Interstate Storage Division. It states further that due to changed circumstances regarding its Utility Division's need for compression at facilities adjacent to the Taggart Storage

Field, the Utility Division now has 7,000 horsepower of compression permanently in excess of its needs.

Petitioner states that such excess compression is attributable to: (1) The installation by Shell Oil Company of a gas conditioning plant at Kalkaska, Michigan, which increased the suction pressure of the gas received at the Taggart Station's Utility Division, thus reducing the Utility Division's needs for compression at that location; and (2) The decline in gas production volumes from the northern Michigan production areas which utilize compression adjacent to the Taggart field.

Petitioner, in order to achieve better utilization of existing facilities and maximize operational efficiency, proposes to transfer the 7,000 horsepower of excess compression rather than build the 7,500 horsepower compressor previously authorized in the instant docket.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38370 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-15 (PGA80-1 and IPR80-1)]

Mid Louisiana Gas Co.; Proposed Change in Rates

December 7, 1979.

Take notice that Mid Louisiana Gas Company (Mid Louisiana), on November 30, 1979, tendered for filing as a part of First Revised Volume No. 1 of its FERC Gas Tariff, Thirty-Fourth Revised Sheet No. 3a and Original Sheet No. 3c to become effective January 1, 1980.

Mid Louisiana states that the filing is to comply with Commission Order No. 49 issued at Docket No. RM79-14. That order requires a rate change be calculated which provides for a "PGA Reduction" due to incremental pricing of certain high cost gas as defined in the Commission Regulations. The filing is being made in accordance with Section 19 of Mid Louisiana's FERC Gas Tariff. Copies of the filing have been mailed to Mid Louisiana's jurisdictional customers and interested State commissions.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38371 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-5 (PGA80-1, IPR80-1, DCA80-1, and GRI80-1)]

Midwestern Gas Transmission Co.; Filing Pursuant to Tariff Rate Adjustment Provisions

December 7, 1979.

Take notice that on November 30, 1979, Midwestern Gas Transmission Company (Midwestern) tendered for filing Twenty-Sixth Revised Sheet No. 5, Eleventh Revised Sheet No. 5A, and Original Sheet No. 5B to its FERC Gas Tariff, Third Revised Volume No. 1, to be effective January 1, 1980. Midwestern states that the sole purpose of the revised tariff sheets is to reflect adjustments to its rates pursuant to rate adjustment provisions of the General Terms and Conditions of its tariff as follows:

(1) A PGA Rate Adjustment for the Southern System pursuant to Article XXVII; (2) A Surcharge for Amortizing the Unrecovered Purchased Gas Cost Account for the Northern System pursuant to Article XXVIII; (3) A curtailment credit Rate Adjustment for the Southern System pursuant to Article XIX; (4) A GRI Rate Adjustment for both systems pursuant to Article XXI; and (5) Estimated Incremental Pricing Surcharges for the Southern System pursuant to Article XXII.

Midwestern states that copies of the filing have been mailed to all of its jurisdictional customers and affected state regulatory commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene; provided, however, that any person who has previously filed a petition to intervene in this proceeding is not required to file a further petition. Copies of this filing are on file with the Comission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38372 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-59]

Montana Power Co.; Petition for Declaratory Order

Issued: December 11, 1979.

Take notice that on November 20, 1979, Montana Power Company, 40 East Broadway, Butte, Montana 59701 (Petitioner) filed a petition requesting that the Commission issue a declaratory order pursuant to 18 CFR 1.43 clarifying the treatment of severance taxes under section 105 of the Natural Gas Policy Act of 1978 (NGPA).

Petitioner requests that the Commission answer the following questions as they may well be of a recurring nature and have major precedential effect.

1. Should severance taxes paid by producers be added to the price to be paid under section 105(b)(2)(B) where the "contract price" (section 105(c)) did not expressly include such taxes and where no provision for the payment of such taxes appears specifically in the contract, even though the intent of the parties was that severance taxes paid by the producer would be compensated for by the purchaser?

2. Should computed severance taxes be added to the section 102 price for purposes of making the comparison required by section 105(b)(2) and, eventually, for the price to be paid under section 105(b)(2)(A)?

Any person desiring to be heard or to make any protest to this proceeding should, on or before December 31, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party into a proceeding or to participate as a party in any hearing must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38373 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-87]

Mountain Fuel Supply Co.; Application

December 13, 1979.

Take notice that on November 15, 1979, Mountain Fuel Supply Company (Applicant), 180 East First South Street, Salt Lake City, Utah 84139, filed in Docket No. CP80-87 an application pursuant to Section 7 of the Natural Gas Act for permission and approval to abandon by sale certain pipeline facilities and for a certificate of public convenience and necessity authorizing the relocation of minor metering facilities, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Specifically, Applicant requests authorization to abandon a 2.2-mile long 12-inch diameter segment of its pipeline system, designated as Mainline No. 39. It is stated that the line was constructed to connect pipeline facilities of Applicant with those of Colorado Interstate Gas Company (CIG), Applicant's gas supplier, to enable Applicant to redeliver exchange gas volumes to CIG. Applicant further requests authorization to relocate minor metering facilities associated with the facilities to be abandoned.

Applicant states that CIG has proposed expanding its gas transmission capacity by looping a portion of its pipeline system so that the additional loop would pass close to the point of origin of Mainline No. 39. Therefore, it is asserted, Mainline No. 39 would no longer be needed by Applicant to redeliver gas to CIG, but would be of benefit in the operation of CIG's system.

Applicant states that the abandoned facilities would be sold to CIG at the net book value of $184,000 as of August 31, 1979, and would continue to be used as a pipeline cross-over between CIG's two main transmission lines. It is stated that since volumes of exchange gas would continue to be delivered by Applicant to CIG at a point adjacent to the Kanda Compressor Station, no abandonment of service is involved.

Applicant further states that CIG has agreed to reimburse Applicant for its actual expenses, approximately $14,200, for costs incurred in relocating an existing meter station from its present location near CIG's mainline to a new location adjacent to Applicant's Kanda Compressor Station.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.70). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate and permission and approval for the proposed abandonment are required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38374 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP75-71]

Natural Gas Pipeline Co. of America and Transwestern Pipeline Co.; Petition To Amend

December 12, 1979.

Take notice that on November 26, 1979, Natural Gas Pipeline Company of America (Natural), 122 South Michigan Avenue, Chicago, Illinois 60603, and Transwestern Pipeline Company (Transwestern), P.O. Box 2521, Houston, Texas 77001, filed in Docket No. CP75-71 a joint petition to amend the Commission's order issued pursuant to Section 7(c) of the Natural Gas Act on June 20, 1977,[1] as amended, in the instant docket so as to authorize (1) the exchange of 10,000 Mcf of natural gas per day between the Petitioners, (2) the delivery of gas from Natural to Transwestern at an additional exchange point, and (3) the exchange of gas between the Petitioners at additional mutually agreed upon locations, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioners state that Natural has contracted to purchase available reserves from a well located in Eddy County, New Mexico, which well Transwestern also has an interest in, and which gas Transwestern is willing to accept for exchange. Petitioners propose to add a delivery point at the above location for gas to be delivered to Transwestern for Natural's account. It is stated that the maximum exchange volume between Petitioners would be increased to 10,000 Mcf per day all as set forth in a gas exchange agreement between the parties dated August 12, 1974, as amended August 1, 1979.

It is further stated that Petitioners have agreed to add future exchange points which may be attached to either party's system in specified areas of interest in Oklahoma, New Mexico and Texas to expedite the attachment of wells and to prevent duplication of facilities. Petitioners request authorization to permit the exchange of natural gas at these additional exchange points, as they become available, in order to obviate the need to amend the

[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

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certificate authorization whenever a well is added to the exchange arrangements.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38375 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-34]

New Jersey Natural Gas Co.; Application for Adjustment and Request for Interim Relief

December 11, 1979.

On November 19, 1979, New Jersey Natural Gas Company (New Jersey Natural) filed with the Federal Energy Regulatory Commmission an application for an adjustment under Section 502(c) of the Natural Gas Policy Act of 1978 ("NGPA"). New Jersey Natural requests adjustment of the requirements of the Commission's Rule I incremental pricing regulations to permit it to report all of its surcharge absorption capability (MSAC) to Texas Eastern Transmission Corporation (Texas Eastern). Pending determination of this application, New Jersey Natural requests interim relief.

New Jersey Natural states that its only non-exempt customer under Rule I is located within its Central Division, which is geographically separated from its other divisions and receives its supply of natural gas only from Texas Eastern. New Jersey Natural further states that, notwithstanding this, the MSAC proration provisions of §§ 282.503(c) and 282.504(d)(2) of the regulations require it to allocate a portion of its MSAC to the suppliers of its other two divisions, Algonquin Gas Transmission Company and South Jersey Gas Company. New Jersey Natural claims that, under the circumstances, the proration requirements as applied to it are contrary to the terms of Title II of the NGPA and are inequitable and unfair to Texas Eastern and its customers.

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24, issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of Section 1.41. All peitions to intervene must be filed on or before December 31, 1979.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38376 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-63

Northern Natural Gas Co.; Application

December 13, 1879.

Take notice that on November 7, 1979, Northern Natural Gas Company (Applicant), 2223 Dodge Street, Omaha, Nebraska 68102, filed in Docket No. CP80-63 an application pursuant to Section 7(b) of the Natural Gas Act for permission and approval to abandon the sale of natural gas to Oklahoma Natural Gas Company (Oklahoma Natural) and to abandon and remove certain measuring facilities located in Ellis County, Oklahoma, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

On April 9, 1976, the Commission issued an order in Docket No. CP76-165 authorizing Northern to abandon, in part service to High Plains Natural Gas Company and to sell and deliver to Oklahoma Natural up to 1,500 Mcf per day of natural gas for resale in the communities of Shattuck, Gage, Fargo and Fort Supply, Oklahoma, and to various commercial customers. Under terms of an agreement dated August 20, 1975, Northern presently delivers up to 1,500 Mcf per day to Oklahoma Natural; such agreement is presently on file with the Commission as Northern's Rate Schedule X-50. Northern presently operates measuring facilities located in Ellis County, Oklahoma, through which the volumes of gas sold to Oklahoma Natural are delivered.

Oklahoma Natural has advised Northern that it has negotiated the purchase of natural gas from intrastate sources and therefore desires to discontinue the purchase of natural gas from Northern. A cancellation agreement dated October 4, 1979, was entered into under the terms of which the sale of natural gas to Oklahoma Natural from Northern would be discontinued, it is asserted. Northern states that it has agreed to remove the measuring facilities as they would no longer be used. The estimated cost of removing the measuring facilities is $300 which would be financed from cash on hand, it is stated.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 the or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that permission and approval for the proposed abandonment are required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38377 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-103]

Northern Natural Gas Co.; Application

December 13, 1979.

Take notice that on November 23, 1979, Nothern Natural Gas Company (Applicant), 2223 Dodge Street, Omaha, Nebraska 68102, filed in Docket No. CP80-103 an application pursuant to Section 7(b) of the Natural Gas Act for permission and approval to abandon by sale to CRA Incorporated (CRA) 11.9 miles of 4-inch gathering line known as the Brooks Field line located in Irion County, Texas, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that the Brooks Field line is utilized to deliver natural gas produced in the Brooks Field to the Mertzon Plant, and that said pipeline was among the facilities originally acquired by Nothern from Northern Natural Gas Pipeline Company (formally Pioneer Gathering System, Incorporated). It is further stated that pursuant to an agreement between Pioneer Gathering System, Incorporated and Mertzon Corporation (Mertzon) dated July 1, 1963, upon recovery of initial investment and depletion of the Brooks Field reserves, the Brooks Field line would become the property of Mertzon.

Applicant states that CRA, successor in interest to Mertzon, has expressed the desire to assume ownership and operation of the pipeline. The sale, it is said, would have no impact on the function of said facilities; such facilities would continue to be utilized for delivery of natural gas purchased by Northern to the Mertzon plant.

The abandonment proposed herein would enable Applicant to realized a savings in operating and maintenance costs.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that permission and approval for the proposed abandonment are required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38378 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-41]

Panhandle Eastern Pipe Line Co. (Anchor Hocking Corp.); Application for Adjustment

December 12, 1979.

Take notice that on November 26, 1979, Anchor Hocking Corporation (Applicant), 109 North Broad Street, Lancaster, Ohio 43130, filed in Docket No. SA80-41 an application pursuant to Section 502(c) of the Natural Gas Policy Act of 1978 (NGPA) for an adjustment which would provide Applicant interim relief for its Winchester, Indiana, facility from the operation of § 281.301, *et seq.* of the Regulations under the NGPA (18 CFR 281.301, *et seq.*), which provide standards for making alternative fuel determinations for essential agricultural users, all as more fully set forth in the application on file with the Commission and open to public inspection.

Applicant states that the manufacture of glass requires the melting of raw material in a rectangular, refractorylined furnace. There are said to be two types of furnaces used to melt glass: a side port furnace and an end port furnace. The original plant design and existing space constraints dictate the type of furnace used. The primary difference between the two types of furnaces is said to be the location of the burner tips. The tips are located in the ends on an end port furnace and in the sides on a side port furnace. The application states that in either design the flame characteristics of natural gas are such that the operation of each type is similar, but such is not the case when firing the two different types of furnaces on fuel oil.

Applicant states that it is manufacturer of glass food and beverage containers at its Winchester, Indiana, plant where it has installed alternate fuel capability.

This capability permits the facility to burn Nos. 2, 4, or 6 fuel oil. However, from an economic standpoint, the facility prefers to burn No. 2 or No. 4 oil when natural gas is curtailed. Unbeknownst to Applicant at the time of installation, the application states, the flame length of residual fuel is such as to cause excessive refractory attack on the furnace lining opposite the burner tips on a side port furnace causing premature failure of the furnace. Until installing and testing residual fuel at the Winchester facility, Applicant's experience is said to have been satisfactory when installing alternate fuel capability at other facilities having end port furnaces. On an end port tank, the distance between burner tip and opposite wall is said to be sufficient that when fired on a residual fuel oil, the heat release occurs before reaching the refractory lining. On a side port furnace, the distance across the tank is said not to be sufficient and the heat release occurs when the flame impacts the refractory. The flame characteristics of No. 2 and No. 4 fuel oil are said to be such that the flame length is shorter and the refractory is not attacked as severely. This refractory attack will decrease the normal 5 to 6 years life of a furnace between rebuilds to 1½ to 2 years, Applicant states. The cost of a furnace rebuild is approximately 1.5 million dollars plus the lost production caused by down time. Therefore, Applicant asserts, it is impractical for Anchor Hocking to fire its Winchester facilities on No. 6 fuel oil although it does have the installed capability.

Applicant states that the downgrading of essential agricultural use gas will increase the likelihood of a natural gas curtailment and require the firing of the furnaces on No. 4 fuel oil. As No. 4 fuel oil is more expensive than No. 6 fuel oil, this will artificially increase the cost of goods produced and place Applicant's facility in a decreased competitive position in the market place and as such will impose a special hardship, Applicant asserts. Accordingly, Applicant requests relief from the downgrading of its essential agricultural use gas for which residual fuel oil is an alternative fuel at its Winchester, Indiana, facility, so that the quantities set forth below as downgraded be permitted to retain the essential agricultural use status:

	Requirements prior (Mcf)[1]	Requirements after (Mcf)[2]	Amount downgraded (Mcf)
January	126,727	37,424	89303
February	113,821	26,790	87,031
March	124,894	24,490	100,404
April	119,320	23,700	95,620
May	120,857	24,490	96,367
June	114,000	23,700	90,300
July	117,800	24,490	93,310
August	117,800	24,490	93,310
September	114,000	23,700	90,300
October	121,510	24,490	97,020
November	120,167	23,700	96,467
December	125,317	24,490	100,827
Total	1,436,213	305,954	1,130,259

[1] Essential agricultural use requirements prior to order No. 55 (Mcf)
[2] Essential agricultural use requirements after order No. 55(Mcf)

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure (18 CFR 1.41).

Any person desiring to participate in this adjustment proceeding must file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed, on or before December 31, 1979.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38379 filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-80]

Panhandle Eastern Pipe Line Co.; Application

December 13, 1979.

Take notice that on November 14, 1979, Panhandle Eastern Pipe Line Company (Applicant), P.O. Box 1642, Houston, Texas 77001, filed in Docket No. CP80-80 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the construction and operation of additions to its pipeline system needed to connect new supplies of natural gas, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that it has embarked upon a program to acquire and attach to its system new natural gas sources to meet the requirements of its customers, and has been successful in attaching new supply sources in the Rockey Mountain area. It is stated that of significance to its program is the production of gas in the Denver Julesburg Basin of Colorado. Applicant states it has been able to attach to its system a daily supply of approximately 115,000 Mcf from this area. Most of the gas from the Denver Julesburg Basin is produced in the Wattenburg Field from the "J" Sand Formation, based on 320-acre spacing units, it is asserted. However, it is stated, a single well on a 320-acre spacing unit has proved insufficient to drain the underlying reservoir.

Applicant states that pursuant to an order by the Colorado Oil and Gas Commission the drilling of a second well in the "J" Sand Formation was permitted. Applicant states that approximately 100 infill drilled wells would require connection during the 1980 calendar year. In order to connect the 100 new wells, Applicant contends, it would be necessary to make certain additions to an existing lateral and pipeline system in Weld and Adams Counties, Colorado.

Applicant states the connection of the 100 wells would not require any additions of compressor units to its existing pipeline system in the vicinity.

Applicant further states that the 100 wells would produce initial recoverable reserves of approximately 110,000,000 Mcf and would result in an increase in average daily deliveries from Wattenburg Field of approximately 22,100 Mcf per day at the end of the first year of the in-service date of the proposed facilities.

Applicant proposes to construct and operate 50 miles of 4-inch pipeline; 9.4 miles of 6-inch pipeline; 10 miles of 8-inch pipeline; 1.6 miles of 10-inch pipeline; 1 mile of 12-inch pipeline; and 20 miles of 16-inch pipeline. Applicant states the estimated cost of the proposed facilities would be $9,995,000, which cost would be financed from available funds.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38380 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-6 (PGA80-1, IPR80-1 and LFUT80-1)]

Sea Robin Pipeline Co.; Filing of Revised Tariff Sheets

December 7, 1979.

Take notice that on November 30, 1979, Sea Robin Pipeline Company (Sea Robin) tendered for filing Twenty-Second Revised Sheet No. 4 to its FERC Gas Tariff, Original Volume No. 1. This tariff sheet and supporting information is being filed 30 days prior to the proposed effective date of January 1, 1980, pursuant to the Purchased Gas Cost Adjustment provisions set out in Section 1 of Sea Robin's tariff. In addition, Sea Robin submits Third Revised Sheet No. 4-A to become effective January 1, 1980, in compliance with the Federal Energy Regulatory Commission (Commission) orders issued May 11, 1978, and July 12, 1978, at Docket No. RP77-6.

Sea Robin states that these revised tariff sheets and supporting data are being mailed to Sea Robin's jurisdictional customers and interested state commission.

Any person desiring to be heard or to protest file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38381 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-6 (PGA80-1)]

Sea Robin Pipeline Co.; Filing of Revised Tariff Sheets

December 7, 1979.

Take notice that on November 30, 1979, Sea Robin Pipeline Company (Sea Robin) tendered for filing as a part of its FERC Gas Tariff, Original Volume No. 2, Seventh Revised Sheet Nos. 127-D and 135-C to become effective on January 1, 1980. These revised tariff sheets reflect Sea Robin's cost of gas delivered at Pecan Island, Louisiana, for the six (6) month period beginning January 1, 1980, and are being filed 30 days prior to the effective date pursuant to Section 4 of Sea Robin's Tariff.

Copies of the revised tariff sheets and supporting data are being mailed to Sea Robin's jurisdictional customers and interested State commission.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38382 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-56 (PGA80-2 and IPR80-1)]

South Texas Natural Gas Gathering Co.; Purchased Gas Cost Adjustment Filing

December 7, 1979.

Take notice that on November 30, 1979, South Texas Natural Gas Gathering Company (South Texas) tendered for filing Exhibit A to Orginial Supplement No. 100 (purchased gas cost adjustment) to Rate Schedule No. 2 superseding previous purchased gas cost adjustments. South Texas stated that Exhibit A to Original Supplement No. 100 reflected a decrease of .08 cents per Mcf in the adjusted rate due to incremental pricing surcharges for the period from January 1, 1980 to May 31, 1980. South Texas requested waiver of any Commission regulation which would prohibit implementation of Supplement No. 100.

The proposed effective date for Original Supplement No. 100 is January 1, 1980. South Texas states that copies of the filing have been served to the only customer served under Rate Schedule No. 2, Transcontinental Gas Pipe Line Corporation.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street N.E., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commisson's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38383 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-7 (PGA80-2 and IPR80-1)]

Southern Natural Gas Co.; Proposed Changes in FPC Gas Tariff

December 7, 1979.

Take notice, that Southern Natural Gas Company (Southern) on November 30, 1979 tendered for filing proposed changes in its FPC Gas Tariff, Sixth Revised Volume No. 1 to become effective January 1, 1980. Southern states that such filing is a "reduced PGA" filing being submitted pursuant to FERC Order No. 49 and Sections 17 (Purchased Gas Adjustment) and 22 (Incremental Pricing Provision) of the General Terms and Conditions of Southern's FERC Gas Tariff, Sixth Revised Volume No. 1 as amended by tariff sheets filed by Southern on November 1, 1979. Southern's filing reflects a decrease in the rates proposed in its November 16, 1979 PGA filing. Such decrease in rates results from the following items:

(1) A revision to the Current Adjustment, submitted in the November 16, 1979 PGA filing to reflect the "reduced PGA" filings of United and Sea Robin. Such rate changes result in an annual reduction of $34,969,852 or approximately 6¢ per Mcf from the Current Adjustment submitted in the November 16, 1979 PGA filing.

(2) A Reduced Current Adjustment reflecting the deduction from the revised Current Adjustment of certain incremental costs pursuant to Sections 17.3 and 22.4(6) of the General Terms and Conditions as amended by Southern's November 1, 1979 filing. The Reduced Current Adjustment reflects a reduction of approximately .9¢ per Mcf from the revised Current Adjustment.

Copies of the filing are being served upon the Company's jurisdictional customers and interested state commissions. Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 N. Capitol St. N.E., Washington, D.C. 20426 in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before Dec. 24, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38384 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-33]

Southern Union Gas Co.; Application for Adjustment and Request for Interim Relief

December 11, 1979.

On November 15, 1979, Southern Union Gas Company ("Southern") filed with the Federal Energy Regulatory Commission an application for adjustment under Section 502(c) of the Natural Gas Policy Act of 1978 ("NGPA"), and Section 1.41 of the Commission's Rules of Practice and Procedure, wherein Southern Union seeks relief from certain substantive and procedural requirements of Order 49 (Docket No. RM79-21) with regard to

Southern Union's implementation of incremental pricing.

Southern Union seeks an adjustment to allow implementation of incremental pricing on its multistate gas distribution systems on a basis which recognizes the geographic and legal realities which surround its distribution operations. Southern Union seeks authority to treat each service area under the jurisdiction of a separate state or local regulatory authority as a separate and distinct "jurisdictional service area" for purposes of incremental pricing. Where the integrated nature of a distribution system operated by Southern Union results in service to more than one jurisdictional service area, Southern Union would implement incremental pricing to all of such service area provided that interstate gas was delivered thereto for sale or ultimate consumption. Under the proposed implementation plan, Southern Union's Austin, Galveston and Port Arthur Service Areas in the State of Texas would be exempt from incremental pricing. Further, Southern Union requests, as interim relief pursuant to Section 1.41(m), authority to report its estimated MSAC's for non-exempt users for the PGA period commencing January 1, 1980 in accordance with the implementation plan for which an adjustment is being sought.

The procedures applicable to the conduct of this adjustment proceeding are found in 18 CFR 1.41 *et seq.* See also Commission Order No. 24 issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed on or before December 31, 1979 and should be sent to the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38385 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-9 (PGA80-1, IPR80-1, DCA80-1, R&D80-1, GRI80-1, and LFUT80-1)]

Tennessee Gas Pipeline Co., a Division of Tenneco, Inc.; Proposed Rate Change Under Tariff Rate Adjustment Provisions

December 7, 1979.

Take notice that on November 30, 1979, Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), tendered for filing Twenty-Eighth Revised Sheet Nos. 12A and 12B and Original Sheet Nos. 12C through 12J to Ninth Revised Volume No. 1 of its FERC Gas Tariff to be effective on January 1, 1980.

Tennessee states that the purposes of the revised tariff sheets is to adjust Tennessee's rates pursuant to Articles XXIII, XXIV, XXV, XXVII, XXVIII, and XXIX of the General Terms and Conditions of its FERC Gas Tariff, consisting of a PGA rate adjustment, a rate adjustment to reflect curtailment credits, an R&D adjustment, a First Use Tax Rate Adjustment, a GRI rate adjustment, and Estimated Incremental Pricing Surcharges.

Tennessee states that copies of the filing have been mailed to all of its jurisdictional customers and affected state regulatory commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene; provided, however, that any person who has previously filed a petition to intervene in this proceeding is not required to file a further petition. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38386 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-17 (PGA80-1, IPR80-1, and GRI80-1)]

Texas Eastern Transmission Corp.; Proposed Changes in FERC Gas Tariff

December 7, 1979.

Take notice that Texas Eastern Transmission Corporation (Texas Eastern) on November 30, 1979, tendered for filing as part of its FERC Gas Tariff, Fourth Revised Volume No. 1, the following sheets:

Fifty-first Revised Sheet No. 14
Fifty-first Revised Sheet No. 14A
Fifty-first Revised Sheet No. 14B
Fifty-first Revised Sheet No. 14C
Fifty-first Revised Sheet No. 14D
Original Sheet No. 14E.

The above tariff sheets are being filed pursuant to Section 282.602 of the Commission's Regulations Under the NGPA. These tariff sheets reflect Texas Eastern's "reduced PGA" determined in accordance with Section 282.503 of the Commission's Regulations and the projected Incremental Pricing Surcharges (IPS) to be billed for the month of January, 1980. Texas Eastern's next effective date for PGA and IPS shall be February 1, 1980. Texas Eastern also proposes by this filing to include in its rates pursuant to Section 25 of the General Terms and Conditions of its FERC Gas Tariff the GRI Funding Unit of 0.48¢/Mcf, approved by the Commission in Opinion No. 64 issued on October 2, 1979 in Docket No. RP79-75. Texas Eastern has converted the Funding Unit to its billing basis, dry dekatherms.

The proposed effective date of the above tariff sheets is January 1, 1980.

Copies of the filing were served upon the company's jurisdictional customers and interested state commissions.

Any persons desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, DC 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 19, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38387 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP67-35]

Transcontinental Gas Pipe Line Corp., and Tennessee Gas Pipeline Co., a Division of Tenneco, Inc.; Petition To Amend

December 12, 1979.

Take notice that on November 28, 1979, Transcontinental Gas Pipe Line Corporation (Transco), P.O. Box 1396, Houston, Texas 77001, and Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), P.O. Box 2511, Houston, Texas 77001, filed in Docket No. CP67-35 a joint petition to amend the order issued pursuant to Section 7(c)

of the Natural Gas Act on October 11, 1966,[1] as amended, in the instant docket so as to authorize additional points of exchange under an existing exchange arrangement, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioners state that they exchange as pursuant to an exchange agreement dated June 1, 1966, as amended. Petitioners further state that by agreement dated August 17, 1979, they have further amended their exchange agreement to provide for additional points of exchange and the ability to exchange natural gas on a thermal basis. The proposed additional points of exchange are as follows:

A. Existing points of interconnection of the pipeline facilities of the parties:

1. *Crowley, Louisiana*—At Mile Post 26.53 on Transco's 18-inch and 24-inch Central Louisiana Gathering System, Acadia Parish Louisiana;

2. *Louise, Texas*—Near Louise, Texas, at Mile Post 12.99 on Transco's 24-inch McMullen Lateral and Tennessee's 24-inch 30-inch, and 30-inch main line system, Wharton County, Texas; and

3. *Katy, Texas*—Near Katy, Texas at Mile Post 6.22 on Transco's 12-inch Katy Lateral and Tennessee's 24-inch, 30-inch, and 30-inch main line system, Waller County, Texas.

B. Existing points where one party and a third party can exchange gas for the account of the other party:

1. *Exxon-Katy*—At the tailgate of Exxon's Katy field plant in Waller County, Texas;

2. *Texaco-Henry*—At the tailgate of Texaco's Henry Plant in Vermilion Parish, Louisiana;

3. *Texaco-Paradis*—At the tailgate of Texaco's Paradis Plant located in St. Charles Parish, Louisiana.

C. Points where one of the parties has reserves that can be delivered to the pipeline system of the other party:

1. *Acadia Parish, Louisiana*—At a point on Transco's system in the South Crowley Field in Acadia Parish, Louisiana, where gas is delivered to Transco's system;

2. *West Cameron Block 40*—At C & K Offshore Company's West Cameron Block 40 "A" production platform offshore Louisiana, where gas is delivered to Transco's system.

No additional facilities are necessary to effectuate exchange at these proposed additional points, it is asserted.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 4, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38388 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP78-518]

Trunkline Gas Co. and Transcontinental Gas Pipe Line Corp.; Petition To Amend

December 11, 1979.

Take notice that on November 6, 1979, Trunkline Gas Company (Trunkline), P.O. Box 1642, Houston, Texas 77001, and Transcontinental Gas Pipe Line Corporation (Transco), P.O. Box 1396, Houston, Texas 77001, filed in Docket No. CP78-518 a petition to amend the order issued pursuant to Section 7(c) of the Natural Gas Act on December 28, 1978, in the instant docket so as to authorize Trunkline to transport gas which Transco would acquire from West Cameron Block 540, offshore Louisiana, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

It is stated that pursuant to the order issued December 28, 1978, Applicants were authorized to implement a transportation and exchange agreement dated August 8, 1978, which provided that Trunkline would transport and/or exchange on a firm basis up to 105,000 Mcf of natural gas per day for Transco, which volume represents the latter's interest in gas produced in Vermilion Block 325 and West Cameron Blocks 405 and 576, offshore Lousiana.

Applicants are now requesting: (1) The addition of a new point of receipt on the system of Stingray Pipe Line Company in West Cameron Block 540 and (2) An increase in the firm transportation and/or exchange volume to 126,200 Mcf of natural gas per day. This is pursuant to the August 27, 1979, amendment to the transportation and exchange agreement dated August 8, 1978, it is stated.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38389 Filed 12-13-79; 8:45 am]

BILLING CODE 6450-01-M

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[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

ENVIRONMENTAL PROTECTION AGENCY

Joint Program To Dispose of Hazardous Radium Sources; Memorandum of Understanding With the Food and Drug Administration

Cross Reference: For a document giving notice of a Memorandum of Understanding with the Food and Drug Administration, see FR Doc. 79-38133 appearing on page 72652 of this issue of the Federal Register.

[FRL 1375-6]

Fuels and Fuel Additives; Receipt of an Application for a Waiver of the Prohibition Set Forth in Section 211(f) of the Clean Air Act, as Amended

AGENCY: Environmental Protection Agency.

ACTION: Notice.

SUMMARY: On October 17, 1979, Beker Industries Corp. submitted an application for a waiver of the section 211(f) prohibition set forth in the Clean Air Act (Act). This application is for a waiver to blend anhydrous crude methanol into unleaded gasoline in up to 10-15 volume percent. The application defines crude methanol as being 75 percent methanol, 5 percent ethanol, 7.5 percent n-propanol, and 12.5 percent

i-butanol. Pursuant to section 211(f)(4) of the Act, the Environmental Protection Agency has until April 14, 1980, (180 days from the date of receipt) to grant or deny the application.

PUBLIC DOCKET: Copies of information relative to this application are available for inspection in public docket En–79–20 at the Central Docket Section (A–130) of the Environmental Protection Agency, Room 2903B, 401 M Street, S.W., Washington, D.C. 20460, between the hours of 8:00 am and 4:00 pm. Any comments from interested parties should be addressed to this docket. As provided in 40 CFR Part 2, a reasonable fee may be charged for copying services.

FOR FURTHER INFORMATION CONTACT: Thomas E. Moore, Attorney-Advisor, Field Operations and Support Division (EN–340), Environmental Protection Agency, 401 M Street, S.W., Washington, D.C. 20460, (202) 472–9367.

SUPPLEMENTARY INFORMATION: Section 211(f)(1) of the Act makes it unlawful, effective March 31, 1977, for any manufacturer to first introduce or increase the concentration in use of any fuel or fuel additive for use in light duty motor vehicles manufactured after model year 1974 which is not substantially similar to any fuel or fuel additive utilitzed in the certification of any model year 1975, or subsequent model year, vehicle or engine under section 206 of the Act. Section 211(f)(4) of the Act provides that the Administrator of EPA may waive the prohibitions of section 211(f)(1) upon application of any fuel or fuel additive manufacturer if the Administrator determines that the applicant has established that such fuel or fuel additive will not cause or contribute to a failure of any emission control device or system (over the useful life of any vehicle in which such device or system is used) to achieve compliance by the vehicle with the emission standards with respect to which it has been certified pursuant to section 206 of the Act. If the Administrator does not act to grant or deny an application within 180 days of its receipt, the waiver shall be treated as granted.

An application for a waiver was submitted by Beker Industries Corp. on October 17, 1979, to allow the blending of up to 10–15 percent anhydrous crude methanol into unleaded gasoline. The application defines the anhydrous crude methanol as 75 percent methanol, 5 percent ethanol, 7.5 percent n-propanol, and 12.5 percent i-butanol. The 180 day review period terminates on April 14, 1979.

The Agency is currently reviewing the application. The Agency welcomes any comment on the application including emission test data on this crude methanol mixture. The application is available for public inspection in public docket EN–79–20 which is kept in the Central Docket Section of the Environmental Protection Agency (A–130), Room 2903B, 401 M Street, S.W., Washington, D.C. 20460. Any comments should be addressed to the Central Docket Section.

The decision to hold a public hearing has not yet been made. If the agency determines that a hearing is appropriate, a notice will be published in the **Federal Register** detailing the time, place, and type of information desired.

Dated: December 3, 1979.

Jeffrey G. Miller,

Acting Assistant Administrator For Enforcement.

[FR Doc. 79–38334 Filed 12–13–79; 8:45 am]

BILLING CODE 6560–01–M

[FRL 1376–2]

Availability of Environmental Impact Statements

AGENCY: Office of Environmental Review (A–104) U.S. Environmental Protection Agency.

PURPOSE: This Notice lists the Environmental Impact Statements (EISs) which have been officially filed with the EPA and distributed to Federal Agencies and interested groups, organizations and individuals for review pursuant to the Council on Environmental Quality Regulations (40 CFR Part 1506.9).

PERIOD COVERED: This Notice includes EIS's filed during the week of December 3 to December 7, 1979.

REVIEW COVERED: The 45-day review period for draft EIS's listed in this Notice is calculated from December 14, 1979 and will end on January 28, 1980. The 30-day review period for the EIS's as calculated from December 14, 1979 will end on January 14, 1980.

EIS AVAILABILITY: To obtain a copy of an EIS listed in this Notice you should contact the Federal agency which prepared the EIS. This Notice will give a contact person for each Federal agency which has filed an EIS during the period covered by the Notice. If a Federal agency does not have the EIS available upon request you may contact the Office of Environmental Review, EPA, for further information.

BACK COPIES OF EIS'S: Copies of EIS's previously filed with EPA or CEQ which are no longer available from the originating agency are available with charge from the following sources:

For hard copy reproduction: Environmental Law Institute, 1346 Connecticut Avenue, NW, Washington, DC 20036.

For hard copy reproduction or microfiche: Information Resources Press, 2100 M Street, NW, Suite 316, Washington, DC 20037.

FOR FURTHER INFORMATION CONTACT: Kathi L. Wilson, Office of Environmental Review (A–104), Environmental Protection Agency, 401 M Street, SW, Washington, DC 20460, (202) 245–3006.

SUMMARY OF NOTICE: On July 30, 1979, the CEQ Regulations became effective. Pursuant to Section 1506.10(a), the 30-day review period for final EIS's received during a given week will now be calculated from Friday of the following week. Therefore, for all final EIS's received during the week of December 3, 1979 to December 7, 1979 the 30-day review period will be calculated from December 14, 1979. The review period will end on January 14, 1980

Appendix I sets forth a list of EIS's filed with EPA during the week of December 3, 1979 to December 7, 1979. The Federal agency filing the EIS, the name, address, and telephone number of the Federal agency contact for copies of the EIS, the filing status of the EIS, the actual date the EIS filed with EPA, the title of the EIS, the State(s) and County(ies) of the proposed action and a brief summary of the proposed Federal action and the Federal agency EIS number, if available, is listed in this Notice. Commenting entities on draft EIS's are listed for final EIS's.

Appendix II sets forth the EIS's which agencies have granted an extended review period or EPA has approved a waiver from the prescribed review period. The Appendix II includes the Federal agency responsible for the EIS, the name, address, and telephone number of the Federal agency contact, the title, State(s) and County(ies) of the EIS, the date EPA announced availability of the EIS in the **Federal Register** and the newly established date for comments.

Appendix III sets forth a list of EIS's which have been withdrawn by a Federal agency.

Appendix IV sets forth a list of EIS retractions concerning previous Notices of Availability which have been made because of procedural noncompliance with NEPA or the CEQ regulations by the originating Federal agency.

Appendix V sets forth a list of reports or additional supplemental information relating to previously filed EIS's which have been made available to EPA by Federal agencies.

Appendix VI sets forth official corrections which have been called to EPA's attention.

Dated: December 11, 1979.

William N. Hedeman, Jr.,

Director, Office of Environmental Review (A–104).

Appendix I—EIS's Filed With EPA During the Week of December 3 to 7, 1979

Department of Agriculture

Contact: Mr. Barry Flamm, Director, Office of Environmental Quality, Office of the Secretary, U.S. Department of Agriculture, Room 412–A Admin. Building, Washington, D.C. 20250, (202) 447–3965.

Rural Electrification Administration

Draft Supplement

Wheatland Generating Station/Grayrocks Dam (DS–1), Platte County, Wyo., December 4: Proposed is the construction and operation of the Wheatland Generating Station Units 1, 2 and 3 and associated transmission facilities near Wheatland, Platte, County, Wyoming. In conjunction with the power plant, a 104,100 acre-foot water storage reservoir will be impounded by Grayrocks Dam on the Laramie River, and extensive transmission facilities will be constructed to intergrate the power into existing transmission grids. (USDA–REA–76–2–DS) (DES Order No. 91214.)

The review period for the above EIS has been extended to February 12, 1980. (See Appendix II)

U.S. Army Corps of Engineers

Contact: Mr. Richard Makinen, Office of Environmental Policy, Attn: DAEN-CWR-E Office of the Chief of Engineers, U.S. Army Corps of Engineers, 20 Massachusetts Avenue, Washington, D.C. 20314, (202) 272–0121.

Draft

New Haven Harbor Coastal Development, New Haven County, Conn., December 4: Proposed is improvement dredging in New Haven Harbor, New Haven County, Connecticut. Features of the plan include: 1) deepening the main channel from 35 feet deep to 42 feet deep, 2) widen the main channel, 3) bring the turning basin to the same depth, and 4) deepen a portion of the anchorage at the head of the harbor to a 30–foot depth. An estimated 7.2 million cubic yards of sediment and 52,000 cubic yards of rock will be removed, with disposal planned at the Central Long Island Sound Regional Dredged Material Disposal Area. (New Haven Division) (EIS Order No. 91216.)

The review period for the above EIS has been extended to January 31, 1980. (See Appendix II)

Final

Mississippi River Improvement, Helena Harbor, Phillips County, Ark., December 3: Proposed is the dredging of a new 5.5 mile channel in two stages along the right side of the main channel of the Mississippi River, extending northeastward from the north end of the Westover revetment and parallel to the main stem levee. Dredged material would be strategically placed to create and provide navigation access to a 685–acre raised port area along the landside of the channel to be developed as a waterfront industrial complex with facilities to move commodities by water. (Memphis District) Comments made by: DOC, USDA, DOI, EPA, HEW, State and local agencies, and businesses. (EIS Order No. 91209.)

Department of Commerce

Contact: Dr. Sidney R. Galler, Deputy Assistant Secretary, Environmental Affairs, Department of Commerce, Washington, D.C. 20230, (202) 377–4335.

Nat'l Oceanic and Atmospheric Admin.

Final

Groundfish Fishery, Bering Sea/Aleutian Island FMP, Alaska, December 7: The proposed action is to adopt and implement a fishery management plan for the groundfish fishery for the Bering Sea/Aleutian Island Area under provisions of Title III of the Fishery Conservation and Management Act of 1976. This Act extends jurisdiction over fishery resources and establishes a program for their management. The purpose of the plan is to manage the groundfish fishery in the area for optimum yield, and to allocate harvest between domestic and foreign fishermen. Comments made by: DOC, DOI, groups, individuals, and businesses. (EIS Order No. 91224.)

Department of Defense, Army

Contact: Col. Charles E. Bell, Chief of the Environmental Office, Headquarters DAEN-ZCE, Office of the Assistant Chief of Engineers, Department of the Army, Room 1 E676, Pentagon, Washington, D.C. 20310, (202) 694–4269.

Draft

Fort Hood Overall Mission, Coryell and Bell Counties, Tex., December 7: Propsed is the continuation of the current mission of Fort Hood in Coryell and Bell Counties, Texas. Installation activities include all those performed within the entire military reservation of 216,915 acres. The primary activities of Fort Hood are oriented toward the training of combat support, and combat support units, primarily through maneuver and live-fire training exercises. The alternatives also consider reduction/relocation and no action. (EIS Order No. 91228.)

DEPARTMENT OF ENERGY

Contact: Dr. Robert Stern, Acting Director, NEPA Affairs Division, Department of Energy, Mail Station 4G–064, Forrestal Bldg., Washington, DC 20585, (202) 252–4600.

Bonneville Power Administration

Draft

BPA Fiscal Year 1981 Program, Programmatic, December 6: Proposed is the BPA Fiscal Year 1981 Program which would result in the diversion of approximately 1400–1900 acres of forest land to other land uses compatible with transmission line right-of-ways; permanent removal of all vegetative cover from approximately 118–135 acres as a result of the construction of the new substations, transmission lines, and permanent access roads; control of all tall vegetation on forest land; removal of approximately 6.5 to 9.5 acres of cropland from production; and vegetation control measures to reduce vegetation cover on approximately 18,646 acres of existing right-of-way and 780 acres of existing substation property. (DOE/EIS–0060) (EIS Order No. 91222.)

Environmental Protection Agency

Contact: Mr. Wallace Steckney, Region I, Environmental Protection Agency, John F. Kennedy Federal Bldg., Room 2203, Boston, Massachusetts 02203, (617) 223–4635.

Final

Oxford County, Maine: Proposed is the selection, from six alternatives, of a site for the disposal of dewatered sludge from the secondary wastewater treatment facility at South Paris, Oxford County, Maine. Two sites are recommended: the A. C. Lawrence site and the Ryerson Hill site. Comments made by: USDA, EPA, DOI, COE, AHP, State and local agencies, groups, individuals, and businesses. (EIS Order No. 91227.)

Environmental Protection Agency

Contact: Mr. Clinton Spotts, Region VI, Environmental Protection Agency, First International Building, 1201 Elm Street, Dallas, Texas 75270, (214) 767–2716.

WWT Facilities, Little Rock (Maumelle), Pulaski County, Ark., December 7: Proposed is the construction of WWT facilities in Pulaski County, Arkansas. The treatment plant would be constructed on Beck Road in the Little Maumelle River Valley to treat sewage collected by two interceptor sewer mains in the northern part of the drainage basin. It is also proposed that an outfall line be constructed from the Beck Road plant to the Arkansas River. The preferred alternative is no action. Comments made by: AHP, DOI, FERC, State and local agencies, groups, individuals and businesses. (EIS Order No. 91226.)

FEDERAL ENERGY REGULATORY COMMISSION

Contact: Dr. Jack M. Heinemann, Advisor on Environmental Quality, Room 3000 S–22, Federal Energy Regulatory Commission, 825 North Capitol Street, NE, Washington, DC 20426, (202) 275–4150.

Draft

Swan Lake Project No. 2911, Licenses, Tongass NF, Alaska, December 5: Proposed is the issuance of a license for the construction and operation of the Swan Lake Project, a conventional hydroelectric facility, to be located on Falls Creek within the Tongass National Forest, Alaska. The project will include: 1) a dam downstream from the outlet of the existing Swan Lake, 2) a power tunnel, 3) a switchyard, 4) an access road, 5) a transmission line, and 6) appurtenant facilities. The generating equipment would have an installed capacity of 22,000 kW. The 115 kV transmission line would extend for approximately 30.5 miles to the existing Bailey Switchyard in Ketchikan. (FERC/EIS–0012–D) (EIS Order No. 91219.)

GENERAL SERVICES ADMINISTRATION

Contact: Mr. Carl W. Penland, Acting Director, Environmental Affairs Division, General Services Administration, 18th and F Streets, N.W., Washington, D.C. 20405, (202) 566-1416.

Final

Denver Federal Center, Lakewood, Jefferson County, Colo., December 5: Proposed is a master plan for future development of the Denver Federal Center (DFC) in Lakewood, Jefferson County, Colorado. The plan provides for the orderly consolidation of Federal Agency offices in the West Denver Metro Area. Development of the DFC would provide a significant increase in high density administrative and office space in the DFC core area, to be surrounded by lower density uses, including military, research, and industrial activities, as well as open space. In addition, non-governmental office and commercial uses are recommended for the northwest corner of the DFC. Comments made by: DOD, USDA, DOE, COE, DOI, EPA, State and local agencies, and businesses. (EIS Order No. 91220.)

DEPARTMENT OF HUD

Contact: Mr. Richard H. Broun, Director, Office of Environmental Quality, Room 7274, Department of Housing and Urban Development, 451 7th Street, SW., Washington, D.C. 20410, (202) 755-6306.

Draft

Hickory Creek Subdivision, Mortgage Insurance, Fort Bend County, Tex., December 7: Proposed is the issuance of mortgage insurance for the Hickory Creek Subdivision located in Fort Bend County, Texas. When completed the subdivision will contain approximately 1,293 acres. There will also be some commercial reserves and recreational areas within the proposed development. (HUD-RO6-EIS-76-11D) (EIS Order No. 91229.)

Final

Westwood/Summerfield Subdivisions, Southport, Yolo County, Calif., December 7: Proposed is the issuance of HUD home mortgage insurance for Westwood and Summerfield Subdivisions located in Southport, Yolo County, California. The planned development will consist of 803 single family residential units on 228 acres. The plan includes provisions for future commercial development and public parks. (HUD-RO9-EIS-78-9F) Comments made by: FERC, COE, VA, DOT, HEW, EPA, DOE, and DOI. (EIS Order No. 91225.)

DEPARTMENT OF INTERIOR

Contact: Mr. Bruce Blanchard, Director Environmental Project Review, Room 4256 Interior Bldg., Department of the Interior, Washington, D.C. 20240, (202) 343-3891.

Bureau of Land Management

Draft

OCS Sale No. 46, Western Gulf of Alaska, Kodiak, Gulf of Alaska, December 7: Proposed is the leasing of a total of 1.3 million of OCS land in the Western Gulf of Alaska. The 564 blocks which will be leased are directly east and southeast of Kodiak Island approximately 4.8 to 229 kilometers (3 to 145 miles) offshore in water depths of about 35 to 450 meters (100 to 1,350 feet). The alternatives considered included no sale, delay of sale, and modifications of sale. (EIS Order No. 91230.)

DEPARTMENT OF TRANSPORTATION

Contact: Mr. Martin Convisser, Director, Office of Environmental Affairs, U.S. Department of Transportation, 400 7th Street, SW., Washington, D.C. 20590, (202) 426-4357.

Federal Highway Administration

Draft

Branan Field Road-Chaffee Road, Clay and Duval Counties, Fla., December 6: Proposed is the construction of a 4-lane highway using the existing Branan Field Road and Chaffee Road and approximately 6 miles of new alignment in Clay and Duval Counties, Florida. The facility would extend from FL-21 (Blanding Boulevard) to the intersection of Chaffee Road and I-10. The total length of the project is approximately 15 miles. The alternatives consider no build and three alignments. (FHWA-FLA-EIS-79-2D) (EIS Order No. 91223.)

U.S. 54, Hoover Rd. to KS-2/42 and I-235 Interchange, Sedgwick County, Kans., December 5: Proposed are improvements to both US 54 and I-235 in the City of Wichita, Sedgwick County, Kansas. US 54 would be upgraded by construction to a 6-lane freeway from Hoover Road to near Wall Street and a 4-lane freeway from Wall Street to KS-2/42. A grade separation and interchange is proposed at the existing US-54/West Street signalized intersection. An interchange is also proposed one-half mile north of US 54 on I-235 at the present I-235/Maple Street grade separation. A man-made flood control channel would be altered within the existing right-of-way along with realignment of a levee and channel widening. (FHWA-KS-EIS-76-03-D) (EIS Order No. 91218.)

Draft

MD-223 Improvement, MD-5 to MD-4, Prince Georges County, Md., December 4: Proposed is the improvement of approximately 4.5 miles of MD-223 (Woodyard Road) between MD-5 (Branch Avenue) to MD-4 (Pennsylvania Avenue) and the construction of an interchange at Branch Avenue, Prince Georges County, Maryland. Specific improvements include upgrading to a four-lane highway and the elimination of dangerous and substandard curves and grades. Provisions are included for a hiker-biker trail. Two alternate alignments and two alternate Branch Avenue-Woodyard Road interchanges are considered in addition to no action. (FHWA-MD-EIS-79-05-D) (EIS Order No. 91215.)

U.S. 10, Improvement, Wadena to Motley, several counties, Minn., December 4: Proposed is the improvement and upgrading of US 10 to a four-lane divided roadway in Otter Tail, Wadena, Todd and Morrison Counties, Minnesota. The length of the project is approximately 31 miles beginning at CSAH-77 to CSAH-53. The plan also includes the construction of bypasses for the Cities of Wadena, Verndale, Aldrich, Staples and Motley; and the relocating and construction of approximately 2 miles of MN-210 as a two-lane rural highway in and around the City of Staples. In addition to no action, two alternative alignments are considered for both US 10 and MN-210. (FHWA-MN-EIS-79-04-D) (EIS Order No. 91213.)

FH-27, Beltrami County Rd. 39 to TH-6, Chippewa, NF, Beltrami and Itasca Counties, Minn., December 5: Proposed is the construction and reconstruction of approximately 40 miles of FH-27 between Beltrami County Road 39, Pennington, and TH-6 near Bowstring, Itasca County, Minnesota. The project would provide a two lane rural highway section with shoulders. The project is located totally within the boundaries of the Chippewa National Forest. The alternatives included no action, two route alternatives and two sub-alternatives. (FHWA-MN-EIS-79-06-D) (EIS Order No. 91217.)

Draft

Rainbow Arch Bridge Replacement, Cannonball River, Hettinger County, N. Dak., December 4: Proposed is the removal and replacement of the Rainbow Arch Bridge over the Cannonball River in Mott, Hettinger County, North Dakota. Two alternate bridge sites are under consideration which include: 1) the 1st Street location near the existing bridge, and 2) the 3rd Street location approximately two blocks to the northwest. Other features considered are: 1) a diversion channel, 2) reservoirs, and evacuation of the flood plain. Other alternatives considered include: 1) raising the existing bridge, 2) moving the existing bridge, 3) construction of a new bridge, 4) documenting the bridge, and 5) no action. (FHWA-ND-EIS-79-02-D) (EIS Order No. 91212.)

Notre Dame Bridge Replacement, Manchester, Hillsborough County, N.H., December 4: Proposed is the replacement of the Notre Dame Bridge over the Merrimack River in the City of Manchester, Hillsborough County, New Hampshire. The bridge would be 2500 feet in length, four lanes and would be located on the existing alignment. The plan also recommends widening Bridge Street to four lanes between Elm Street and McGregor Street as well as widening east of Elm Street to tie into that section of Bridge Street already widened. The approach intersections to the Notre Dame Bridge would be reconstructed to five lanes to include a left turn lane. (FHWA-NH-EIS-79-01-D) (EIS Order No. 91211.)

TN-67, Appalachian Corridor "B" to TN-37 Washington and Carter Counties, Tenn., December 3: Proposed is the construction of approximately 8.0 miles of TN-67 from Appalachian Corridor "B" in Johnson City to the four lane section of TN-37 in Elizabethton, Carter and Washington Counties, Tennessee. The highway is proposed as a freeway type facility with full control of access. The alternatives consider: 1) two build alignments, 2) postponement, 3) a lower level of service, and 4) public transportation. (FHWA-TN-EIS-79-05-D) (EIS Order No. 91206.)

Draft

FAP 3, Thomas/101 to I-55/Crump Interchanges, Shelby County, Tenn., December 3: Proposed is the improvement of FAP 3 in Memphis, Shelby County, Tennessee. The improvement would begin at the I-55/Crump Boulevard Interchange and extend north to the US 51 (Thomas Street)/101 Interchange. The length of the project is approximately six miles. The alternatives consider: 1) improvement to the existing facilities, 2) construction of a new limited-access facility, 3) restricted auto use in the central business area, and 4) no action. (FHWA-TN-EIS-79-04-D) (EIS Order No. 91207.)

The review period for the above EIS has been extended to February 1, 1980. (See Appendix II)

Connecticut River Bridge Crossing, Windham County, Vt. and Cheshire County, N.H., December 3: Proposed is the construction of a bridge crossing the Connecticut River between Rockingham, Windham County, Vermont and Walpole, Cheshire County, New Hampshire. The alternatives consider, in addition to no build, improvement of the existing bridge and five locations for the construction of a new bridge. A new bridge would consist of a 40 foot roadway with one six foot sidewalk and would be either a three span girder or an arch span. (FHWA-NH-EIS-79-02-D) (EIS Order No. 91205.)

Final

Fort McHenry Tunnel, I-95, Dredging and Disposal, Baltimore County, MD., December 3: The proposed action is the dredging and disposal of materials associated with the construction of the Fort McHenry Tunnel located in Baltimore, Maryland. The Tunnel will provide the crossing for I-95 under the Northwest Branch of the Patapsco River. It is estimated that approximately 3,343,000 cubic yards of bottom material must be dredged to form the trench for the prefabricated tube sections. The alternatives address numerous water and upland disposal areas and the recommended site is a contained area adjacent to the shoreline in Baltimore Harbor. (FHWA-MD-EIS-79-03-F) Comments made by: USDA, DOT, EPA, ICC, COE, DOI, State and local agencies, groups, and businesses. (EIS Order No. 91208.)

University Avenue, Cedar Street to Humboldt Road, Brown County, Wis., December 3: Proposed is the upgrade and improvement of Monroe Avenue from Cedar Street to the East River, and University Avenue from the East River to Humboldt Road, a distance of approximately 2.9 miles in the City of Green Bay, Brown County, Wisconsin. Included in this project is a new six-lane bridge over the East River to replace the existing Monroe Avenue Bridge. Also included is a connection to a proposed I-43 interchange. (FHWA-WISC-EIS-79-03-F) Comments made by: DOT, DOI, EPA, State and local agencies. (EIS Order No. 91210.)

Appendix II.—*Extension/Waiver of Review Periods on EIS's Filed With EPA*

Federal agency contact	Title of EIS	Filing status/accession No.	Date notice of availability published in "Federal Register"	Waiver/extension	Date review terminates
DEPARTMENT OF INTERIOR					
Mr. Bruce Blanchard, Director, Environmental Project Review, Room 4256, Interior Bldg., Department of the Interior, Washington, D.C. 20240, (202) 343-3891.	Phosphate Leasing on the Osceola National Forest, Florida.	Final Supplement 91124	Nov. 9, 1979	Extension	Jan. 17, 1980.
		** The referral period (40 CFR 1504.3(b)), for the above final supplement has also been extended to Jan. 17, 1980.			
DEPARTMENT OF TRANSPORTATION					
Mr. Martin Convisser, Director, Office of Environmental Affairs, U.S. Department of Transportation, 400 7th Street, SW., Washington, D.C. 20590, (202) 426-4357.	I-84/I-86 Improvement, East Hartford and Manchester, Hartford County, Conn.	Final 91188	Nov. 30, 1979	Extension	Jan. 7, 1980.
		** The referral period (40 CFR 1504.3(b)), for the above final has been extended to Jan. 2, 1980.			
	FAP-3 Improvement, Memphis, Shelby County, Tenn.	Draft 91207	Dec. 14, 1979 (see app. I).	Extension	Feb. 1, 1980.
DEPARTMENT OF AGRICULTURE					
Mr. Barry Flamm, Director, Office of Environmental Quality, Office of the Secretary, U.S. Department of Agriculture, Room 412-A, Admin. Building, Washington, D.C. 20330, (202) 447-3965.	Wheatland Generating Station, Units 1, 2 and 3, Transmission and Grayrocks Reservoir, Wyoming.	Draft Supplement 91214	Dec. 14, 1979 (see app. I).	Extension	Feb. 12, 1980.
U.S. ARMY CORPS OF ENGINEERS					
Mr. Richard Makinen, Office of Environmental Policy, Attn: DAEN-CWR-P, Office of the Chief of Engineers, U.S. Army Corps of Engineers, 20 Massachusetts Avenue, Washington, D.C. 20314, (202) 272-0121.	New Haven Harbor, Coastal Development for Navigation, Dredging, Mass.	Draft 91216	Dec. 14, 1979 (see app. I).	Extension	Jan. 31, 1980.

Appendix III.—*EIS's Filed With EPA Which Have Been Officially Withdrawn by the Originating Agency*

Federal agency contact	Title of EIS	Filing status/accession No.	Date notice of availability published in "Federal Register"	Date of withdrawal
None.				

Appendix IV.—*Notice of Official Retraction*

Federal agency contact	Title of EIS	Status/No.	Date notice published in "Federal Register"	Reason for retraction
None.				

Appendix V.—*Availability of Reports/Additional Information Relating to EIS's Previously Filed With EPA*

Federal agency contact	Title of report	Date made available to EPA	Accession No.
None.			

Appendix VI.—*Official Correction*

Federal agency contact	Title of EIS	Filing status/accession No.	Date notice of availability published in "Federal Register"	Correction
FEDERAL COMMUNICATIONS COMMISSION				
Mr. Upton Guthery, Coordinator, Office of General Counsel, Federal Communications Commission, Washington, D.C. 20554, (202) 632-6393.	Tucson FM Broadcasting Corporation, Permit, Pima County, Ariz.	Final 91204	Dec. 14, 1979	The below EIS was omitted from the Dec. 7, 1979, FEDERAL REGISTER. The 30 day review began on Dec. 7, 1979, and will terminate on Jan. 7, 1980.

Tucson FM Broadcasting Corporation, Permit, Pima County, Ariz., date November 30. Proposed is the issuance of a permit for the construction of a new commercial FM broadcast station on channel 298 in Tucson, Pima County, Ariz. The applicant proposes to locate its transmitter and antenna on the second highest peak of the Tucson Mountains. The facility will occupy about 6.5 acres of land. Construction will include: Three transmitter buildings, and ultimately six towers. A 1.8 mile access road will also be constructed. Comments made by: DOI, EPA, State and local agencies, groups, individuals, and businesses. (EIS Order No. 91204)

[FR Doc. 79-38433 Filed 12-13-79; 8:45 am]

BILLING CODE 6560-01-M

FARM CREDIT ADMINISTRATION

[Farm Credit Administration Order No. 821]

Authority Delegations; Authorization of the Secretary to the Governor, Secretary to the General Counsel and Secretary to the Chief of Staff to the Senior Deputy Governor, to Authenticate Documents, Certify Official Records, and Affix Seal (Revocation of FCA Order No. 801)

AGENCY: Farm Credit Administration.

ACTION: Notice.

The Governor of the Farm Credit Administration issued Order No. 821 authorizing certain employees to authenticate documents, certify official records, and affix seal. The text of the Order is as follows:

1. Barbara V. Mitchell, Secretary to the Governor, Loretta M. Gascon, Secretary to the General Counsel, and Katherine S. Wilson, Secretary to the Chief of Staff to the Senior Deputy Governor, individually, are authorized and empowered:

(a) To execute and issue under the seal of the Farm Credit Administration, statements (1) authenticating copies of, or excerpts from, official records and files of the Farm Credit Administration; (2) certifying, on the basis of the records of the Farm Credit Administration, the effective periods of regulations, orders, instructions, and regulatory announcements; and (3) certifying, on the basis of records of the Farm Credit Administration, the appointment, qualification, and continuance in office of any officer or employee of the Farm Credit Administration, or any conservator or receiver acting under the supervision or direction of the Farm Credit Administration.

(b) To sign official documents and to affix the seal of the Farm Credit Administration thereon for the purpose of attesting the signatures of officials of the Farm Credit Administration.

2. The provisions of this notice shall be effective December 11, 1979, and on that date shall supersede Farm Credit Administration Order No. 801, dated March 25, 1977, 42 FR 17516.

Donald E. Wilkinson,

Governor, Farm Credit Administration.

[FR Doc. 79-38276 Filed 12-13-79; 8:45 am]

BILLING CODE 6705-01-M

FEDERAL MARITIME COMMISSION

[Independent Ocean Freight Fowarder License No. 148R]

Gaynar Shipping Corp. and Also Manhattan Division, Gaynar Shipping Corp.; Order of Revocation

On December 4, 1979, Gaynar Shipping Corporation and also Manhattan Division, Gaynar Shipping Corporation, Suite 1471, One World Trade Center, New York, New York 10048, voluntarily surrendered its Independent Ocean Freight Forwarder License No. 148R for revocation as of December 3, 1979.

Therefore, by virture of authority vested in me by the Federal Maritime Commission as set forth in Manual of Orders, Commission Order No. 201.1 (Revised), section 5.01(c), dated August 8, 1977;

It is ordered, that Independent Ocean Freight Forwarder License No. 148R issued to Gaynar Shipping Corporation and also Manhattan Division, Gaynar Shipping Corporation, be and is hereby revoked effective December 3, 1979.

It is further ordered, that a copy of this Order be published in the **Federal Register** and served upon Gaynar Shipping Corporation and also Manhattan Division, Gaynar Shipping Corporation.

Robert G. Drew,

Director, Bureau of Certification and Licensing.

[FR Doc. 79-38397 Filed 12-13-79; 8:45 am]

BILLING CODE 6730-01-M

Shipping Conditions in the U.S. Foreign Trade With Australia; Filing of Petition

Pursuant to 46 CFR 506, Refrigerated Express Lines (A/ASIA) Pty., Ltd. (REL) has petitioned the Commission to take regulatory action pursuant to authority of section 19 of the Merchant Marine Act, 1920 (46 U.S.C. 876) to adjust or meet conditions unfavorable to shipping in the foreign trade of the United States resulting from the action of a foreign government.

REL is a common carrier by water in the foreign commerce of the United States and since 1969 has operated fully-refrigerated vessels carrying meat in the trade from Australia to the United States. By letter dated September 20, 1979, the Australian Meat and Live-Stock Corporation (created by the Australian Meat and Live-Stock Corporation Act, 1977), advised REL that the Corporation had decided not to redesignate REL as a carrier of meat from Australia to U.S. East and Gulf Coast ports commencing on December 1, 1979.

REL alleges in its petition that the effect of this decision wholly excludes its participation in the meat trade from Australia to United States East and Gulf Coast ports, thus inflicting heavy and irreparable damage. REL further alleges that the actions of the Corporation will also damage port and shipper interests and will result in greater shipping costs for Australian exporters, at the expense of the U.S. foreign trade. The petition alleges that the actions of the Corporation have therefore created a condition unfavorable to shipping in the foreign trade of the United States.

In order for the Commission to make a thorough evaluation of REL's allegations, interested persons are requested to submit data, views or arguments on the petition no later than January 10, 1980.

The petition is available for examination at the Washington, D.C. offices of the Federal Maritime Commission, 1100 L Street, N.W., Room 11101, and at the Commission's District offices located at New York, N.Y.; New Orleans, La.; San Francisco, Ca.; Chicago, Ill.; and San Juan, Puerto Rico.

By the Commission December 11, 1979.

Francis C. Hurney,

Secretary.

[FR Doc. 79-38398 Filed 12-13-79; 8:45 am]

BILLING CODE 6730-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

Advisory Committees; Meetings

AGENCY: Food and Drug Administration.

ACTION: Notice.

SUMMARY: This notice announces forthcoming meetings of public advisory committees of the Food and Drug Administration (FDA). This notice also sets forth a summary of the procedures governing committee meetings and methods by which interested persons may participate in open public hearings conducted by the committees and is issued under section 10(a)(1) and (2) of the Federal Advisory Committee Act (Pub. L. 92-463, 86 Stat. 770-776 (5 U.S.C. App. I)), and FDA regulations (21 CFR Part 14) relating to advisory committees. The following advisory committee meetings are announced:

Committee name	Date, time, and place	Type of meeting and contact person
1. Miscellaneous Internal Drug Products Panel	January 5 and 6, Marriott Motor Hotel, Bethesda, MD.	Open public hearing January 5, 9 a.m. to 10 a.m.; open committee discussion January 5, 10 a.m. to 4:30 p.m., January 6, 9 a.m. to 4:30 p.m.; John R. Short (HFD-510), 5600 Fishers Lane, Rockville, MD 20857, 301-443-6156.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of nonprescription drug products.

Agenda—Open public hearing. Any interested person may present data, information, or views, orally or in writing, on issues pending before the Committee. Those who desire to make such a presentation should notify the contact person before December 28, 1979, and submit a brief statement of the general nature of the data, information, or views they wish to present, the names and addresses of proposed participants, and an indication of the approximate time desired for their presentation.

Open committee discussion. The Panel will review data submitted under the over-the-counter (OTC) review's call for data for this Panel (see also 21 CFR 330.10(a)(2)). The Panel will be reviewing, voting upon, and modifying the content of summary minutes and categorization of ingredients and claims.

Committee name	Date, time and place	Type of meeting and contact person
2. Ophthalmic Device Section of the Ophthalmic; Ear, Nose, and Throat; and Dental Devices Panel.	January 7, 9 a.m., Rm. 1409, 200 C St. SW., Washington, DC.	Open public hearing 9 a.m. to 12 m.; open committee discussion 1 p.m. to 5 p.m.; Max W. Talbott (HFK-460), 8757 Georgia Ave., Silver Spring, MD 20910, 301-427-7536.

General function of the Committee. The Committee reviews and evaluates available data concerning the safety and effectiveness of devices currently in use and makes recommendations for their regulation.

Agenda—Open public hearing. As of February 1980, the current clinical investigation of intraocular lenses will have been underway for 2 years. Approximately 100,000 patients per year have been enrolled in the study. In order to continue to provide for a valid clinical assessment of the intraocular lens, all interested persons are invited to make presentations at this meeting. Presentations may address any aspect of the intraocular lens investigation. All

persons wishing to make presentations should contact Dr. Talbott (address above) by January 2, 1980.

Open committee discussion. The Ophthalmic Device Section will discuss the current status of the intraocular lens clinical investigation. Based upon the information resulting from the investigation and from the presentations during the open public hearing, the section will recommend what, if any, additional controls are warranted.

Committee name	Date, time, and place*	Type of meeting and contact person
3. Fertility and Maternal Health Drugs Advisory Committee	January 11, 9 a.m., Conference Rm. F, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD.	Open public hearing 9 a.m. to 10 a.m.; open committee discussion 10 a.m. to 5 p.m.; A. T. Gregoire (HFD-130), 5600 Fishers Lane, Rockville, MD 20857, 301-443-3520.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of marketed and investigational prescription drugs for use in the practice of obstetrics and gynecology.

Agenda—Open public hearing. Any interested person may present data, information, or views, orally or in writing, on issues pending before the Committee.

Open committee discussion. The Committee will discuss ectopic pregnancy associated with use of medicated intra-uterine devices; efficacy of estrogens for postcoital contraception; Estradiol pellets for the treatment of menopause (NDA 18-135); and FDA action report.

Committee name	Date, time, and place	Type of meeting and contact person
4. Subcommittee for Revision of Guidelines, Gastrointestinal Drugs Advisory Committee.	January 14, 9 a.m., Conference Rm. A, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD.	Open public hearing 9 a.m. to 10 a.m.; open committee discussion 10 a.m. to 4:30 p.m.; Joan C. Standaert (HFD-110), 5600 Fishers Lane, Rockville, MD 20857, 301-443-4730.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of marketed and investigational prescription drugs for use in treating gastrointestinal diseases.

Agenda—Open public hearing. Any interested person may present data, information, or views, orally or in writing, on issues pending before the Committee.

Open committee discussion. The Committee will discuss revision of guidelines for gastrointestinal motility modifying agents.

Committee name	Date, time, and place	Type of meeting and contact person
5. Oncologic Drugs Advisory Committee	January 17 and 18, 9 a.m., Conference Rm. G, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD.	Open committee discussion January 17, 9 a.m. to 11 a.m.; open public hearing January 17 11 a.m. to 12 m., open committee discussion January 17 1 p.m. to 5:30 p.m., January 18 9 a.m. to 5:30 p.m.; Ann Greenstein (HFD-150), 5600 Fishers Lane, Rockville, MD 20857, 301-443-4250.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of marketed and investigational prescription drugs for use in treating cancer.

Agenda—Open public hearing. Any interested persons may present data, information, or views, orally or in writing, on issues pending before the Committee.

Open committee discussion. The Committee will discuss Oncovin (vincristine sulfate)—new indications; proposed group C (NCI distribution) drugs; and clinical guidelines for anti-neoplastic drugs.

Committee name	Date, time and place	Type of meeting and contact person
6. Antimicrobial Panel	January 18 and 19, 9 a.m., Conference Rm. F, (January 18), Marriott Motor Hotel, Bethesda, MD (January 19).	Open public hearing January 18, 9 a.m. to 10 a.m.; open committee discussion January 18, 10 a.m. to 4:30 p.m., January 19, 9 a.m. to 4:30 p.m.; Lee Gasmar (HFD-512), 5600 Fishers Lane, Rockville, MD 20857, 301-443-8057.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of non-prescription drug products.

Agenda—Open public hearing. Any interested person may present data, information, or views, orally or in writing, on issues pending before the Committee. Those who desire to make such a presentation should notify the contact person before January 11, 1980, and submit a brief statement of the general nature of the data, information, or views they wish to present, the names and addresses of proposed participants, and an indication of the approximate time desired for their presentation.

Open committee discussion. The Panel will review data submitted under the over-the-counter (OTC) review's call for data for this Panel (see also 21 CFR 330.10(a)(2)). The Panel will be reviewing, voting upon, and modifying the content of summary minutes and categorization of ingredients and claims.

Committee name	Date, time, and place	Type of meeting and contact person
7. Anesthesiology Devices Section of the Respiratory and Nervous System Devices Panel.	January 21, 9 a.m.; Rm. 1409, 200 C St. SW., Washington, DC.	Open public hearing 9 a.m. to 10 a.m.; open committee discussion 10 a.m. to 4 p.m.; David S. Shindell (HFK-430), 8757 Georgia Ave., Silver Spring, MD 20910, 301-427-7226.

General function of the Committee. The Committee reviews and evaluates available data concerning the safety and effectiveness of devices currently in use and makes recommendations for their regulation.

Agenda—Open public hearing. Interested persons are encouraged to present information pertinent to the classification of anesthesia and respiratory therapy devices. Submission of data relative to tentative classification findings is also invited. Those desiring to make formal presentations should notify David S. Shindell by January 7, 1980, and submit a brief statement of the general nature of the evidence or arguments they wish to present, the names and addresses of proposed participants, references to any data to be relied on, and also an indication of the approximate time required to make their comments.

Open committee discussion. The Committee will discuss the comments received in response to the proposed classification regulations for anesthesia and respiratory therapy devices, and it will also discuss transcutaneous monitoring devices.

Committee name	Date, time, and place	Type of meeting and contact person
8. Miscellaneous External Drug Products Panel	January 27 and 28, 9 a.m., Howard Johnson Motor Lodge, Wheaton, MD (January 27), Conference Rm. K, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD (January 28).	Open committee discussion January 27, 9 a.m. to 4:30 p.m.; open public hearing January 28, 9 a.m. to 10 a.m., open committee discussion January 28, 10 a.m. to 4:30 p.m.; John T. McElroy (HFD-510), 5600 Fishers Lane, Rockville, MD 20857, 301-443-1430.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of nonprescription drug products.

Agenda—Open public hearing. Any interested persons may present data, information, or views, orally or in writing, on issues pending before the Committee. Those who desire to make such a presentation should notify the contact person before January 18, 1980, and submit a brief statement of the general nature of the data, information, or views they wish to present, the names and addresses of proposed participants, and an indication of the approximate time desired for their presentation.

Open committee discussion. The Panel will review data submitted under the over-the-counter (OTC) review's call for data for this Panel (see also 21 CFR 330.10(a)(2)). The Panel will be reviewing, voting upon, and modifying the content of summary minutes and categorization of ingredients and claims.

Committee name	Date, time, and place	Type of meeting and contact person
9. Psychopharmacologic Drugs Advisory Committee	January 28, 9 a.m., Conference Rms. G and H, Parklawn Bldg., 5600 Fishers Lane, Rockville, MD.	Open public hearing 9 a.m. to 10 a.m.; open committee discussion 10 a.m. to 4:30 p.m.; Robert C. Nelson (HFD-120), 5600 Fishers Lane, Rockville, MD 20857. 301-443-3830.

General function of the Committee. The Committee reviews and evaluates available data on the safety and effectiveness of marketed and investigational prescription drugs for use in the practice of psychiatry and related fields.

Agenda—Open public hearing. Any interested persons may present data, information, or views, orally or in writing, on issues pending before the Committee.

Open committee discussion. The Committee will discuss Loxapine (Loxitane (R)—Lederle)—evaluation of efficacy for the new indication of paranoid schizophrenia; and Haloperidol (Haldol (R) McNeil)—review and evaluation of reports of sudden and unexpected deaths associated with the use of this drug.

FDA public advisory committee meetings may have as many as four separable portions: (1) An open public hearing, (2) an open committee discussion, (3) a closed presentation of data, and (4) a closed committee

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deliberation. Every advisory committee meeting shall have an open public hearing portion. Whether or not it also includes any of the other three portions will depend upon the specific meeting involved. There are no closed portions for the meetings announced in this notice. The dates and times reserved for the open portions of each committee meeting are listed above.

The open public hearing portion of each meeting shall be at least 1 hour long unless public participation does not last that long. It is emphasized, however, that the 1 hour time limit for an open public hearing represents a minimum rather than a maximum time for public participation, and an open public hearing may last for whatever longer period the committee chairman determines will facilitate the committee's work.

Meetings of advisory committees shall be conducted, insofar as is practical, in accordance with the agenda published in this **Federal Register** notice. Changes in the agenda will be announced at the beginning of the open portion of a meeting.

Any interested person who wishes to be assured of the right to make an oral presentation at the open public hearing portion of a meeting shall inform the contact person listed above, either orally or in writing, prior to the meeting. Any person attending the hearing who does not in advance of the meeting request an opportunity to speak will be allowed to make an oral presentation at the hearing's conclusion, if time permits, at the chairman's discretion.

Persons interested in specific agenda items to be discussed in open session may ascertain from the contact person the approximate time of discussion.

A list of committee members and summary minutes of meetings may be obtained from the Public Records and Documents Center (HFC–18), 5600 Fishers Lane, Rockville, MD 20857 between the hours of 9 a.m. and 4 p.m., Monday through Friday. The FDA regulations relating to public advisory committees may be found in 21 CFR Part 14.

Dated: December 6, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-37979 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-03-M

[Docket No. 79F-0415]

The Goodyear Tire & Rubber Co.; Filing of Food Additive Petition

AGENCY: Food and Drug Administration.

ACTION: Notice.

SUMMARY: The Goodyear Tire and Rubber Co. has filed a petition proposing that the food additive regulations be amended to provide for the safe use of *n*-alkylbenzenesulfonic acid and its ammonium, calcium, magnesium, potassium and sodium salts as emulsifiers and/or surface active agents in materials used in the fabrication of food-contact articles.

FOR FURTHER INFORMATION CONTACT:

Gerad L. McCowin, Bureau of Foods (HFF–334), Food and Drug Administration, Department of Health, Education, and Welfare, 200 C St. SW., Washington, DC 20204. 202–472–5690.

SUPPLEMENTARY INFORMATION: Under the Federal Food, Drug, and Cosmetic Act (sec. 409(b)(5), 72 Stat. 1786 (21 U.S.C. 348(b)(5))), notice is given that a petition (FAP 9B3451) has been filed by the Goodyear Tire and Rubber Co., Akron, OH 44316, proposing that § 178.3400 *Emulsifiers and/or surface active agents* (21 CFR 178.3400) be amended to provide for the use of *n*-alkylbenzenesulfonic acid an its ammonium, calcium, magnesium, potassium and sodium salts as emulsifiers and/or surface active agents in the manufacture of articles or components of articles intended for food contact.

The agency has determined that the proposed action falls under § 25.1(f)(1)(v) (21 CFR 25.1(f)(1)(v)) and is exempt from the requirements of an environmental impact analysis report, and that no environmental impact statement is necessary.

Dated: November 30, 1979.

Sanford A. Miller,

Director, Bureau of Foods.

[FR Doc. 79-37978 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-03-M

[FDA 225-80-6001]

Joint Program To Dispose of Hazardous Radium Sources; Memorandum of Understanding With the Environmental Protection Agency

AGENCY: Food and Drug Administration.

ACTION: Notice.

SUMMARY: The Food and Drug Administration (FDA) has executed a memorandum of understanding with the Environmental Protection Agency. The purpose of the understanding is to establish a joint program to assist the States in disposing of hazardous radium sources and specifying the responsibilities of each agency.

FOR FURTHER INFORMATION CONTACT:

Gary Dykstra, Regulatory Operations Section (HFC–22), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3470.

SUPPLEMENTARY INFORMATION: Pursuant to the notice published in the **Federal Register** of October 3, 1974 (39 FR 35679) stating that future memoranda of understanding and agreements between FDA and others would be published in the **Federal Register**, the FDA is issuing the following memorandum of understanding:

Memorandum of Understanding Between the Environmental Protection Agency and the Food and Drug Administration

Purpose. The Food and Drug Administration (FDA) and the Environmental Protection Agency (EPA) are aware of the need to remove hazardous radium sources from active use or storage. The purpose of this Agreement is to establish a joint program to assist the States in the disposal of these sources and to specify the respective responsibilities of each Agency.

Responsibilities. EPA responsibilities under this Agreement will be performed by the Office of Radiation Programs (ORP); FDA responsibilities will be performed by the Bureau of Radiological Health (BRH). Specific responsibilities are as follows:

1. Both Agencies will advertise this program and will actively encourage the transfer of radium sources for disposal.

2. EPA will have the responsibility for all actions and costs associated with the transfer and temporary storage of the sources. Shipment of sources requiring special precautions, shipping containers, vehicles, etc., may be refused at the decision of EPA.

3. BHR will have the responsibility for all actions and costs associated with the transfer of the sources from the temporary storage site to a final disposal site. This action is to be completed prior to the final termination of this Agreement.

Duration of Agreement. The time period covered by this Agreement is July 1, 1979, through September 30, 1981. Prior to the termination date, this Agreement will either be renewed or other arrangements will be made for continuation of the radium collection, storage, and disposal program. This Agreement may be terminated by either party upon 90 days written notice to the other party.

Project Officers. The EPA project officer is Mr. Charles R. Porter, Eastern Environmental Radiation Facility, U.S. EPA, P.O. Box 3009, Montgomery, Alabama 36109, (FTS) 534–7615; FDA project officer is Mr. Caleb B. Kincaid (HFX–4), Bureau of Radiological Health, FDA, 5600 Fishers Lane, Rockville, Maryland 20857, (FTS) 443–1365. These officers may be contacted on matters regarding the Agreement.

Authority. The Authority under which this Agreement is drawn may be found in the Economy Act of 1932 as amended (31 USC 686).

Approval.

s/*David M. Rosenbaum*, Deputy Assistant Administrator for Radiation Programs (ANR–458), Environmental Protection Agency.

Date: July 31, 1979.

s/*Joseph P. Hile*, Associate Commissioner, Food and Drug Administration, Department of Health, Education, and Welfare.

Date: October 10, 1979.

Effective date. This Memorandum of Understanding became effective October 10, 1979.

Dated: December 7, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-38133 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-03-M

Health Care Financing Administration

Medicare Program; Coverage of Oxygen for Use in a Patient's Home

AGENCY: Health Care Financing Administration (HCFA), HEW.

ACTION: Proposed notice.

SUMMARY: We request comments on a proposed policy concerning oxygen and oxygen equipment used by Medicare patients at home. The proposed policy includes principles and criteria for Medicare contractors to use in processing claims for reimbursement of oxygen services provided at home.

Oxygen and oxygen equipment are covered under the durable medical equipment benefit of the Supplementary Medical Insurance program (Part B of Medicare). Our proposed policy is intended to ensure uniform reimbursement determinations by Medicare contractors nationwide. We are also using this notice to inform patients, physicians, providers of oxygen and oxygen-related equipment, and the general public of our proposed policy.

DATES: Closing date for receipt of comments February 12, 1980.

ADDRESSES: Address comments in writing to: Administrator, Health Care Financing Administration, Department of Health, Education, and Welfare, P.O. Box 17073, Baltimore, Maryland 21235. Please refer to file code MAB–116N. Physicians, suppliers, agencies and organizations are requested to submit comments in duplicate. Physicians who comment are requested to describe their professional qualifications with respect to treatment of pulmonary diseases, since the comments of specialists in that field are of particular interest.

Beginning 2 weeks from today, the public may review the comments on Monday through Friday of each week from 8:30 a.m. to 5:00 p.m. at the Health Care Financing Administration, Room 5220, 330 C Street SW., Washington, D.C. 202–245–0365.

FOR FURTHER INFORMATION, CONTACT:

Henry J. Hehir, Director, Division of Medical Services Coverage Policy, 301–594–8561, or, for medical information: Wylie Slagel, M.D., Special Assistant to the Director, Health Standards and Quality Bureau, 301–597–2753.

SUPPLEMENTARY INFORMATION:

The Problem

Section 1861(s)(6) of the Social Security Act provides for payment under Part B of Medicare for durable medical equipment (DME) used in the patient's home (including oxygen equipment). However, section 1862(a)(1) of the Act excludes from coverage items and services that are not reasonable and necessary for the diagnosis or treatment of illness or injury or to improve the functioning of a malformed body member.

Medicare has been paying for oxygen services in a patient's home under the DME authority. A physician's prescription for the services is required. In addition, Medicare carriers evaluate the factors involved in each case, as they do with all Medicare claims for payment, to determine whether the "reasonable and necessary" rule is met. Because we have lacked uniform criteria to determine when a valid medical need for oxygen exists, we believe situations have developed in which patients receive oxygen instead of a more desirable alternative therapy or continue to receive the services after the need has passed. This is not only wasteful of program funds, but can also be harmful to the patient. We have concluded that more refined criteria than simply a prescription are necessary to assure that oxygen services are provided only when "reasonable and necessary" to accomplish a medical purpose, and that Medicare beneficiaries are not being exposed to possible harm.

Therefore, to implement section 1862(a)(1), we have drafted for public comment the criteria set forth below, which we propose to issue as instructions to Medicare contractors. We are also raising in this Notice several questions on which we would like responses from all those interested in this aspect of Medicare policy. In addition, suggestions for guidelines on appropriate application of the criteria to individual cases are welcome.

Proposed Criteria for Coverage

In order to be reimbursed under Medicare, oxygen services in the home would have to be furnished under the following conditions:

A. Prescription

1. In submitting a claim for reimbursement, the beneficiary must include a prescription, written by a physician who has recently examined the patient, that specifies:

(a) A diagnosis of the disease requiring home use of oxygen;

(b) The flow rate, frequency, and duration of use;

(c) The method of delivery of the oxygen; and

(d) An estimate of how long the patient will need oxygen services.

2. In addition to the diagnosis, the prescription must include information sufficient to support a determination by the carrier that there is a medical need for a therapeutic program of oxygen in the home. A prescription for "Oxygen PRN" or "Oxygen as needed" does not meet this requirement, since there is no basis for determining the amount of oxygen and the type of oxygen equipment that is reasonable and necessary.

3. Based on the information in the prescription, the Medicare carrier must periodically review the individual case to determine whether a medical need continues. This review is done according to procedures in § 4105.2 of the Medicare Carriers Manual.

(In brief, this section of the manual tells carriers the appropriate intervals for a patient's reevaluation when a physician has estimated the need for oxygen will be "indefinite". To determine continuing medical need, the carrier is instructed to make direct contact with the patient's physician and also to verify the patient is in his "home" and has been during the prior use period.)

B. Laboratory Report

1. We propose that the beneficiary's claim must also include a laboratory report of a blood gas study (oxygen partial pressure expressed as an arterial

PO_2 value) as evidence of the oxygen deficiency that requires administration of oxygen in the home.

(We are considering whether to adopt as a criterion for coverage of oxygen a single arterial PO_2 value, e.g., at or less than 55 mm Hg., or a range of acceptable PO_2 values, e.g., 55 to 60 mm Hg. Comments are especially requested on this point.)

Carriers will be required to review each case not meeting the criterion adopted to determine whether other factors support a finding of medical necessity.

2. Carriers must not request repeated studies to determine a PO_2 level unless there is convincing evidence of the medical need for them.

C. Health Conditions

We have reviewed the more common health conditions found in patients using home oxygen services and are proposing the following guidelines for determining Medicare coverage:

Coverage is considered appropriate for:

1. Patients with severe chronic obstructive pulmonary disease who demonstrate severe hypoxemia in the stable chronic state. Commonly associated with this condition are (a) recurring congestive heart failure due to chronic cor pulmonale, (b) erythrocytosis requiring repeated venisection, (c) impairment of cognitive processes, and (d) restlessness or insomnia. Since these patients can be expected to improve with oxygen therapy when used at least 12 hours each day, coverage is appropriate. For many such patients, nocturnal oxygen therapy may be sufficient to control signs and symptoms.

2. Patients who demonstrate severe hypoxemia only during activities or during periods of dyspnea. These patients may also improve with home use of oxygen.

Coverage is not appropriate for:

1. Patients with angina pectoris in the absence of hypoxemia. Since this condition is generally not the result of a low oxygen level in the blood and since other treatments are preferred, home oxygen use is not recommended and will not be covered.

2. Patients who experience breathlessness without cor pulmonale or evidence of hypoxemia. Although intermittent oxygen use is sometimes prescribed to relieve this condition, we consider this use potentially harmful and psychologically addicting. Since there is no medical need for oxygen use in these cases, Medicare coverage is not supportable.

3. Patients with severe peripheral vascular disease resulting in clinically evident desaturation in one or more extremities. There is no evidence that increased PO_2 will improve the oxygenation of tissues with impaired circulation.

4. Patients with terminal illnesses that do not affect the lungs. The use of oxygen is not medically necessary and therefore should not be covered.

D. Portable Oxygen System

A portable oxygen system is covered only when necessary to complement a stationary system needed by the patient. Coverage is based on a physician's finding that there is a medically therapeutic need for portable oxygen. To permit a carrier to determine that a claim for oxygen equipment is covered, the physician's prescription for the stationary system must define circumstances under which the portable system will be used, that is, the medically therapeutic purpose to be served by a portable oxygen system that cannot be met by the stationary system. The need for it must be specified even if the stationary system includes portable system equipment.

E. Limitations of DME Coverage

The DME benefit provides coverage of equipment that a patient can use in his home. It does not cover home care or other health care services such as periodic visits by respiratory therapists.

Major Issues

We are particularly interested in comments, opinions, and suggestions regarding:

1. What objective evidence, other than direct arterial blood gas studies, can demonstrate desaturation?

2. Whether the PO_2 standard or other evidence of oxygen deficiency we adopt should be an absolute requirement or used as a screening guide to be considered along with other factors.

3. What evidence can document the need for nocturnal oxygen in a patient who does not show significant desaturation during the day?

4. Are there other indications for home oxygen in the absence of arterial desaturation that we should take into account in deciding whether to cover it?

5. What special provisions would be necessary to accommodate the needs of patients who are now receiving oxygen, and

a. Would not meet the proposed criteria, or

b. Have developed a psychological dependence on oxygen?

6. Since flow rates greater than 8 liters per minute are potentially hazardous for home users of oxygen, is it reasonable for us to set requirements with respect to flow meter limitations on oxygen equipment? If so, what should these requirements be?

Medicare contractors are authorized by their contracts with the Secretary to make determinations of coverage and reimbursement by applying the Medicare regulations and the general instructions issued to them. After consideration of all public comments, we will publish coverage criteria and principles on oxygen use in the home as general instructions to all Medicare contractors. We will also inform the public by notice in the **Federal Register** of our final policy.

(Secs. 1102, 1832(a)(1), 1833(a)(1), 1842(b)(3), 1861(s)(6), 1862(a)(1) and 1871 of the Social Security Act (42 U.S.C. 1302, 1395K(2)(1), 1395(a)(1), 1395u(b)(3), 1395x(s)(6), 1395u(a)(1): and 1395hh)

(Catalog of Federal Domestic Assistance Program No. 13.774, Medicare—Supplementary Medical Insurance)

Dated: November 27, 1979.

Leonard D. Schaeffer,

Administrator, Health Care Financing Administration.

[FR Doc. 79-38322 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-35-M

Office of the Secretary Data Acquisition Activities Involving Educational Agencies and Institutions

AGENCY: Office of the Assistant Secretary for Education, Department of Health, Education, and Welfare.

ACTION: Notice of Data Acquisition Activities Involving Educational Agencies and Institutions.

SUMMARY: The paperwork control requirements in section 400A of the General Education Provisions Act, added by Pub. L. 95–561, require public announcement of certain data requests that Federal agencies address to educational agencies and institutions. The Education Division of HEW proposes to collect the data described below from educational agencies or institutions during School Year 1979–80.

FOR FURTHER INFORMATION CONTACT:

Mrs. Elizabeth M. Proctor, FEDAC Staff, 400 Maryland Avenue, SW., Washington, D.C. 20202 Phone (202) 245–1022.

SUPPLEMENTARY INFORMATION: Under the Paperwork Control Amendments of 1978, Section 400A of the General Education Provisions Act, the Secretary of Health, Education, and Welfare is responsible for reviewing and approving collection of information and data acquisition activities of all Federal agencies

(1) whenever the respondents are primarily educational agencies or institutions; and

(2) whenever the purpose of the activities is to request information needed for the management of, or the formulation of, policy related to Federal educational programs or research or evaluation studies related to the implementation of Federal education programs. The Secretary has delegated authority to the Assistant Secretary for Education.

We published interim FEDAC review procedures on August 8, 1979 (44 FR 46535), which are now effective. One requirement is that "no information or data will be requested of any educational agency or institution unless that request has been approved and publicly announced by the February 15 immediately preceding the beginning of the new school year, unless there is an urgent need for this information or a very unusual circumstance exists regarding it." I determine an unusual circumstance exists regarding the data activities listed below because of the newness of the review requirements.

Descriptions of proposed data acquisition activities for School Year 1979–80 are being published for comment. Most of these data acquisition activities were also listed—but not described in as much detail—in the Federal Register of February 15, 1979. Other activities previously approved were also in that list.

Each agency or institution subject to the request for data, its representative organizations, or any member of the public, may comment on the proposed data acquisition activity. The Federal Education Data Acquisition Council Staff accepts comments at the above address. Comments should refer to the specific sponsoring agency and form number and they must be received on or before January 14, 1980.

I ask the affected educational agencies and institutions to cooperate in the following data collection activities that are being reviewed by the Federal Education Data Acquisition Council (FEDAC) staff.

Dated: December 10, 1979.

Mary F. Berry,

Assistant Secretary for Education.

The proposed data collection activities are:

Description of a Proposed Collection of Information and Data Acquisition Activity

(a) Title of proposed activity. Study of Research Participation and other Characteristics of Recent Science and Engineering Faculty and Research Staff.

(b) Agency/bureau/office. National Science Foundation/Directorate for Scientific, Technological and International Affairs/Division of Science Resources Studies.

(c) Agency form number. NSF–E–0004.

(d) Legislative authority for this activity. Sec. 3(a)(6) . . . "to provide a central clearing house for the collection, interpretation, and analysis of data on the availability of . . . scientific and technical resources . . ." National Science Foundation Act of 1950 as amended.

(e) Concise description of the proposed activity. This survey will collect information on science faculty demographic characteristics and research activities. All institutions, including medical schools, that awarded at least one Ph.D. in science and engineering in 1975–76 and which received at least $1.4 million in Federal R&D obligations will be surveyed.

(f) Voluntary/obligatory nature of response. Voluntary.

(g) Justification of how information collected will be used. The survey will enable the National Science Foundation to understand better than is now possible the following issues:

1. The current extent of research activity in selected departments in Ph.D. granting institutions, particularly as conducted by recent versus more senior doctorates.

2. The level of representation on selected departmental staffs of younger doctorates, women, and minorities.

3. The role of non-faculty doctoral research staff in conducting academic research.

Using information on issues 1–3, the Foundation will consider the need for federal programs to improve opportunities for academic research. The survey results will be compared with past Foundation supported surveys to study changes in important faculty characteristics over the last 12 years.

(h) Data acquisition plan.

1. Method of collection: Mail.

2. Time of collection: Spring, 1980.

3. Frequency: One time.

4. Methods of Analysis: The results will be tabulated and weighted to correct for nonresponse. Cross-tabulations and time series comparisons of survey responses will be prepared.

(i) Timetable for dissemination of the collected data. The contractor's report of the survey results will be available in January 1981. NSF report on survey will be published in early 1981.

(j) Respondent.

1. Type: Heads of selected science and engineering departments in universities and medical schools.

2. Number: 2000

3. Estimated average person-hours per respondent: 1

(k) Estimated costs and person-hours to the respondents: 2000 hours and $20,000.

(l) Estimated costs to the Federal agency to collect, process, and analyze the data: Total costs, including time of federal employees, are expected to be approximately $160,000.

(m) A list of the specific data to be collected from each type of repondent:

Information on full-time faculty and (where appropriate) non-faculty research doctorates will be requested by age group, racial/ethnic group, tenure status, rank, and extent of research activity (including number of proposals submitted). Department heads will be asked whether they believe more recent doctorates recieve an appropriate share of research funds and their opinions as to the possible impact upon staffing and research of such developments as declines in undergraduate enrollments and an increase in the mandatory retirement age.

(n) Name and address of individual or office from which a copy of full plan and the data instrument may be obtained: Larry W. Lacy, Room L–611, National Science Foundation, Washington, D.C. 20550.

Description of a Proposed Collection of Information and Data Acquisition Activity

(a) Title of proposed activity. Elementary and Secondary School Civil Rights Survey; School Year 1980–81.

(b) Agency/bureau/office. Office for Civil Rights.

(c) Agency form number. OS/CR 101 and 102.

(d) Legislative authority for this Activity. The following are the relevant legislative authorities; *Title VI of the Civil Rights Act of 1964 (42 U.S.C. 2000d et seq.):* . . . Each recipient shall keep records and submit to the responsible Department official or his/her designee timely, complete and accurate compliance reports at such times, and in such form and containing such information, as the responsible Department official or his/her designee may determine to be necessary to enable him to ascertain whether the recipient has complied or is complying with this part . . . (45 CFR 80.6(b)) (Pub. L. 88–352); *Title IX of the Education Amendments of 1972 (20 U.S.C. 1681 et seq.):* The procedural regulation applicable to Title VI of the Civil Rights Act of 1964 are adopted and incorporated by reference (45 CFR 86.71). These procedures may be found at 45 CFR 80.6–80.11 and 45 CFR Part 81. (Pub. L. 92–318); *Section 504 of the*

Rehabilitation Act of 1973 (29 U.S.C. 794.): the procedural provisions applicable to Title VI of the Civil Rights Act of 1964 are adopted and incorporated by reference. The procedures are found at 45 CFR 80.6–80.10 and 45 CFR Part 81. (Pub. L. 93–112).

(e) Concise description of the proposed activity. This will be a mail survey to be conducted via contract. The survey will cover approximately 6,000 districts and approximately 53,000 schools within these districts. The contract is scheduled to cover a 21 month period initiated in the fourth quarter of FY 1980 and concluding in the third quarter of FY 1982. The end product will be an edited data file with documentation, and analysis of the collected data that can assist OCR in identifying school districts which may be in potential violation of Title VI, title IX of Section 504.

(f) Voluntary/obligatory nature of response. Obligatory.

(g) Justification of how information collected will be used. The major purpose of this data collection activity is to review an individual school district's potential compliance with Title VI of the Civil rights Act of 1964, Title IX of the Education Amendments of 1972 and Section 504 of the Rehabilitation Act of 1973. Specifically, the information collected will be used to monitor and investigate possible cases of discrimination on the basis of race, ethnicity, national origin, sex, and/or handicapping conditions. The primary plan for analysis centers around comparisons between:

(1) The number of actions taken within a specific school regarding the assignment of students, administration of discipline, etc., and the total pupil composition of the school;

(2) Pupil composition in specific schools as compared with the total population in a specific district, and

(3) The number of actions taken in specific district regarding the assignment of students, administration of discipline, etc., and the total pupil composition of the district in that State, Region, or the U.S.

In some issue areas discrimination is widespread; therefore, it is also necessary to rank districts or schools within a designated geographical area in order to focus on those districts indicating the greatest possibility of non-compliance.

(h) Data acquisition plan.

(1) Method of collection: Mail.

(2) Time of collection: Fall 1980.

(3) Frequency: Biennially.

(4) Method(s) of analysis: Discrete Multivariate Statistical Analysis and Summary Tabulated Reports.

(i) Timetable for dissemination of the collected data. Computer tapes will be available for dissemination by September 1981. The directory will be available by December 1981.

(j) Respondents.

OS/CR 101.

(1) Type: Local Education Agencies.

(2) Estimated number: Approximately 6,000.

(3) Estimated average person-hours per respondent: 1½.

OS/CR 102.

(1) Type: Public Elementary and Secondary Schools

(2) Estimated number: Approximately 53,000 schools in respondent LEA's

(3) Estimated average person-hours person respondent: 5

(k) Cost to the respondent in dollars and person hours. Estimated 274,000 person hours at approximately $5,000,000.

(l) Cost to the Federal Agency to collect, process and analyze the data. Approximately $975,000.

(m) List of the specific data to be collected. Each selected LEA will complete the "School System Summary Report" (Form OS/CR 101) which requests information on the school system as a whole. This includes school system summary enrollment data on the racial/ethnic origin of pupils, total male, total female and total handicapped; provision of appropriate free educational services to handicapped pupils; information on policies or practices that restrict participation of pregnant pupils; pupils expelled from school by racial/ethnic origin, total male, total female and total handicapped for the school year 1979–80; and different curriculum requirements for male and female pupils.

Each school in the selected LEA's will complete the "Individual School Report" (Form OS/CR 102). This form asks that each individual school report enrollment data by race/ethnicity, total male, total female and total handicapped; pupils enrolled and in need of bilingual education by race/ethnicity; pupils in programs for the gifted or talented by race/ethnicity, total male, and total female; pupils who received corporal punishment or who were suspended by race/ethnicity, total male, total female and total handicapped for the academic school year 1979–80. Enrollment data are requested for pupils in home economics and industrial arts by male and female; enrollment in selected classes by race/ethnicity, total male, and total female; pupils participating in athletic programs by male and female; pupils who received high school diplomas or equivalency in the previous years by race/ethnicity, total male, total female and total handicapped; special education by race/ethnicity, total male, total female, pupils in need of bilingual education, and total amount of time spent in programs; and accessibility of programs to pupils in wheelchairs.

Under agreement with the Department of Agriculture, Form OS/C 102 will collect information on the individual school's participation in any of the programs operated by that Department's Food and Nutrition Services. The programs and related data to be requested are:

Lunch, School Breakfast, Nonfood Assistance, Special Milk and/or Food Distribution programs; Pupil meal participation for breakfast and lunch by full price, free and reduced price; number of children with approved applications on file by race/ethnicity; and number of children with denied applications on file by race/ethnicity.

(n) Name and address of individual or office from which a copy of the full plan and the data instrument(s) may be obtained. Ruth McVay, DHEW, Office for Civil Rights, 330 Independence Avenue, S.W., Washington, D.C. 20201.

Description of a Proposed Collection of Information and Data Acquisition Activity

(a) *Title of Proposed Activity.* Application for Federal Assistance (Non-construction programs) 13.416 Teacher Centers Program, 13,417 Higher Education Personnel Training.

(b) *Agency/bureau/office.* Office of Education, Bureau of School Improvement.

(c) *Agency form number.* OE–335.

(d) *Legislative authority for the activity.* "Any local educational agency desiring to receive a grant under this section shall make application therefor at such time, in such manner, and containing or accompanied by such information, as the Commisioner may by regulation require. Each application shall be submitted through the State educational agency of the State in which the applicant is located. Each such State agency shall review the application, make comments thereon, and recommend each application the State agency finds should be approved. Only applications so recommended shall be transmitted to the Commissioner for his approval." HEA 1965 Title V Part B, sec. 532 (c)(1) (20 U.S.C. 1119a)

"Notwithstanding the provisions of subsection (a)(1) of this section with respect to the requirement that teacher centers be operated by local educational agencies, 10 per centum of the funds expended under this section may be expended directly by the Commissioner to make grants to institutions of higher education to operate teacher centers, subject to the other provisions of this section." HEA 1965 Title V Part B, sec. 532 (f) (20 U.S.C. 1119a)

(e) *Concise description of the proposed activity.* Lack of sufficient funds require that applicants compete for available funds. The Teacher Centers Program makes awards to LEA's and IHE's to improve the classroom performance of teachers.

(f) *Voluntary/obligatory nature of response.* Required to obtain or maintain benefits.

(g) *Justification of how information collected will be used.* Determination of grant eligibility, quality, and amount of award.

(h) *Data acquisition plan.*

(1) Method of collection: Mail.

(2) Time of collection: winter 1980, 1981.

(3) Frequency: annual.

(i) *Timetable for dissemination of the collected data.* Within 6 months of application date.

(j) *Respondents.*

(1) Type: Local education agencies.

(2) Estimated number by type: Universe 135.

(3) Estimated average person-hours response time per type of respondent: 40.

(1) Type: Colleges and universities.

(2) Estimated number by type: Universe 15.

(3) Estimated average person-hours response time per type of respondent: 40.

(k) *Estimated costs and person-hours to the respondents (total).* Colleges and Universities—5400 hours—$9,000. Local educational agencies—600 hours—$81,000.

(l) Estimated costs to the Federal agency to collect, process and analyse the data (Contract, S & E). $50,000.

(m) *A list of the specific data to be collected from each type of respondent.*

§ 197.11 Evaluation criteria.

Applications for grants (except applications for continuation grants under § 197.7) are evaluated by the Commissioner on the basis of the criteria in this section. Each criterion will be weighted as indicated, with the total for all criteria being 100 points. An application must receive a minimum of 50 points to be considered for funding. In evaluating an application, the Commissioner considers:

(a) The extent of the teacher center policy board's authority and responsibility for supervision of the project (10 points).

(b) The potential of the proposed teacher center for increasing the effectiveness of the teachers served, in terms of the learning needs of their students (20 points).

(c) The soundness of the proposed plan of operation, including consideration of the extent to which—

(1) The objectives of the proposed projects are sharply defined, clearly stated, and capable of being attained by the proposed procedures (10 points); and

(2) The adequacy of provisions for reporting on the effectiveness of the project and dissemination of its results, and for determining the extent to which the objectives are accomplished (10 points).

(d) The appropriateness of size, scope, and duration of the project so as to secure productive results (5 points).

(e) The adequacy of qualifications and experience of personnel designated to carry out the proposed project (5 points).

(f) The adequacy of the facilities and resources (5 points).

(g) The reasonableness of estimated cost in relation to anticipated results, including the proportion of the budget represented by costs for released time or substitutes (5 points).

(h) The potential of the teacher center to impact upon and improve the grantee's overall program of inservice training for teachers (5 points).

(i) The representativeness of the teacher center policy board under § 197.4(b) (10 points).

(j) The extent to which Federal funds will support new or expanded activities rather than supporting activities which are already being paid for from other resources (5 points). (Implements Sec. 532, 20 U.S.C. 1119a.)

(n) *Name and address of individual or office from which a copy of the full plan and the data instrument(s) may be obtained.* Charles Lovett, Division of Educational Systems Development, Teacher Centers Program, 1832 M Street, N.W.—Suite 819 (Riviere Bldg.) Washington, D.C. 20036.

Description of a Proposed Collection of Information and Data Acquisition Activity

(a) Title of proposed activity. The Documentation of Consistent and Essential Characteristics of Effective Secondary School Programs in the Newark, N.J. Area, and the Feasibility of their Transfer to Schools with Low Academic Achievement Levels.

(b) Agency/bureau/office. Office of Education/Bureau of Elementary and Secondary Education/Immediate Office of the Deputy Commissioner.

(c) Agency form number. OE 739.

(d) Legislative authority for this activity. Sec. 422. "(a) The Commissioner shall . . . (3) collect data and information on applicable programs for the purpose of obtaining objective measurements of the effectiveness of such programs in achieving their purposes; and . . ." (P.L. 91–230; 20 U.S.C. 1231a).

(e) Concise description of the proposed activity. In November, 1978 the U.S. Commissioner of Education's Urban High School Reform Initiative identified the definition of successful urban high school programs as a research priority. This project will study a selected sample of inner city high schools in Newark, New Jersey with a predominantly or exclusively minority student population in order to determine the characteristics of those schools as they seem to be related to educational effectiveness. A systematic review, assessment and summary of relevant literature will be undertaken; data on academic achievement of the students will be collected and analyzed; classroom instruction, general school atmosphere and quality of relationships between teachers and pupils will be observed and charted; relevant school populations will be interviewed; and an advisory panel of educators, concerned social scientists and business leaders will be asked to review and respond to the methods and findings of this study.

(f) Voluntary/obligatory nature of response. Voluntary.

(g) How information collected will be used. The information gathered will be shared with the Newark, New Jersey school system, and will be disseminated to urban school districts as applicable. In addition, the data will be considered in making policy decisions affecting urban secondary schools, and will be used to impact legislative and funding strategies, Federal and statewide.

(h) Data acquisition plan.

(1) Method of collection: Interview by telephone or on site.

(2) Time of collection: Interviews will be conducted in Winter and Spring, 1980.

(3) Frequency: One time.

(4) Method of analysis: Data relating to academic achievement in the sample schools will be cross-tabulated and evaluated. Observations during on-site visits will be charted. Descriptive data obtained from interviews will be tabulated. Since the data from observations and interviews will be more qualitative than quantitative in nature, a rigorous statistical analysis of the data is neither required nor appropriate.

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(i) Timetable for Dissemination of the Collected Data. A report of the findings of this study will be submitted to the U.S. Office of Education at the end of the twelfth project month, or September 30, 1980.

(j) Respondents.

1. Type: Employees in Postsecondary education.
2. Number: 6 Sample.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Employers.
2. Number: 5 Sample.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Local Education Agencies.
2. Number: 2 Universe.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Parents.
2. Number: 50 Sample.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Principals.
2. Number: 14 Universe.
3. Estimated average person-hours per respondent: 0.5.
1. Type: School Administrators/Supervisors.
2. Number: 42 Universe.
3. Estimated average person-hours per respondent: 0.5.
1. Type: State Education Agencies.
2. Number: One Universe.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Students.
2. Number: 100 Sample.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Teachers.
2. Number: 60 Sample.
3. Estimated average person-hours per respondent: 0.5.
1. Type: Teachers Aides.
2. Number: 28 Sample.
3. Estimated average person-hours per respondent: 0.5.

(k) Estimated costs and person-hours to the respondent (total) $1,610; 161 hours.

(l) Cost to Federal Agency to collect, process, and analyze the data. $98,770.

(m) A list of the specific data to be collected. (1) Quantitative Data to be Collected from School Records:

Results of standardized testing: reading and math scores
Numbers of graduates going on to post-secondary education
Number of suspensions/expulsions
Drop-out rate
Truancy rate
Quantitative measures of success of special enrichment/remediation programs
Pupil/teacher/supervisor ratio
School population data
Numbers and types of course offerings/enrollment in courses

(2) Interview Guide. Question 1—When you look at the high schools in your city, in which schools do you see programs and practices that you think are effective in educating the children?

Question 2—Can you describe them for us by relating them, if possible, to any of the following elements which may be factors in your judgment, and/or provide the data to support your judgment: Curriculum; Educational organization of the school; Academic achievement of students; Advancement to post-secondary education; Administration of the school; Personnel; Extra-curricular activities; Parent involvement; Interaction among pupils/teachers/parents/community groups; Special programs; Student body; Disciplinary record; Atmosphere/climate; Attendance: drop-outs and truancy; Organization of the school system; Physical plant; Location.

(n) Name and address of individual or office from which a copy of the full plan and data instrument(s) may be obtained. Ms. Judy Griffin, Executive Assistant to the Deputy Commissioner, Bureau of Elementary and Secondary Education, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, Room 4111.

Given the possibility that this study will be replicated in other urban secondary school settings, a multi-year approval is requested.

Description of a Proposed Collection of Information and Data Acquisition Activity

(a) Title of proposed activity. Grant application under the Law-Related Education Act.

(b) Agency/bureau/office. U.S. Office of Education/Bureau of School Improvement/Law-Related Education Program.

(c) Agency form number. OE 740.

(d) Legislative authority for the activity. "The Commissioner shall carry out a program of grants and contracts to encourage State and local educational agencies and other public and private nonprofit agencies, organizations, and institutions to provide law-related education programs. . . Financial assistance under this part may be made only upon application to the Commissioner. The application shall be submitted at such time, in such form, and containing such information as the Commissioner shall prescribe by regulation." (Sec. 347(a) and (c), Pub. L. 95-561, 20 U.S.C. 3002(a) and (c)).

(e) Concise description of the proposed activity. One million dollars are appropriated for the Law-Related Education Act for Fiscal Year 1980. Apart from a small number of contracts not subject to this data request, all of these funds are awarded as direct, competitive grants. Grantees are selected based on applications that they submit. The Office of Education uses the application to ensure that the proposed projects are eligible under the Act and regulations and to select the highest quality projects for funding.

(f) Voluntary/obligatory nature of response. Required to obtain or continue a grant.

(g) Justification of how information collected will be used. The form requests programmatic and budgetary information from applicants so that Office of Education staff and non-Federal reviewers will have adequate, relevant information with which to make funding decisions. The information collected will be used to determine compliance with published requirements and the quality of the project under published criteria.

(h) Data acquisition plan.

(1) Method of collection: Mail.

(2) Time of collection: Winter of each Fiscal Years 1980–1983.

(3) Frequency: Annually.

(i) Timetable for dissemination of the collected data. N/A.

(j) Respondents.

(1) Type: Any State educational agency, local educational agency, or other public or nonprofit agency or organization.

(2) Estimated number by type: 500 applications.

(3) Estimated average person-hours response time per type of respondent: 40 hours for each type of respondent.

(k) Estimated cost and person-hours to the respondents (Total) $500/40 hours per applicant.

(l) Estimated costs to the Federal agency to collect, process and analyze the data: $50 per application.

(m) A list of the specific data to be collected from each type of respondent:

Information required by the standard application form.
Budget information regarding the proposed project.
Information on the applicant's experience in law-related education and on programs that it carries out.
Information on the proposed project, including
The nature of law-related education activities involved.
The objectives of the project.
The activities and strategies to achieve the objectives.

Other information to respond to requirements and criteria in the regulations.

(n) Name and address of individual or office from which a copy of the full plan and the data instrument may be obtained. Law-Related Education Program, Bureau of School Improvement, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

[FR Doc. 79-38125 Filed 12-13-79; 8:45 am]

BILLING CODE 4110-86-M

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

Idaho; Wilderness Inventory Decision

The Federal Land Policy and Management Act of 1976 (FLPMA) requires the Secretary of the Interior to inventory roadless areas and roadless islands of the public lands to identify those areas possessing wilderness characteristics as described in the Wilderness Act of 1964.

The **Federal Register** notice of August 10, 1979, announced the Idaho final initial wilderness inventory decision, and indicated a total of 212,615 acres in southwest Idaho to be in the decision deferred category, due to the fact that some inventory units extended into Oregon, Nevada, and Utah. After analysis of public comment and coordination with BLM offices in the adjoining states, reevaluation of the Idaho inventory units resulted in the following intended final decision for the initial wilderness inventory for Idaho where inventory units extend into the three adjoining states.

The decision on the initial inventory makes one of two findings regarding BLM lands:

1. That they clearly and obviously do not meet the criteria for identification as Wilderness Study Areas; or
2. That they may possibly meet the criteria and should receive more intensive inventory.

The criteria for identifying units as Wilderness Study Areas is contained in wording in Section 2(c) of the Wilderness Act.

Those units of BLM land that clearly and obviously do not meet the above criteria do not qualify as Wilderness Study Areas and are dropped from the inventory process.

Those units of BLM land that may possibly meet the above criteria would receive more intensive inventory (the second major step in the inventory process) before a determination is made regarding Wilderness Study Area status.

The Boise and Burley District Offices are now conducting the intensive inventory on lands so identified. Public participation in this inventory is encouraged and may be arranged by contacting the district offices. The public review period on intensive inventory is tentatively scheduled to begin in April, 1980.

After the intensive inventory, the BLM's wilderness review moves into the study phase, which involves the process of determining if Wilderness Study Areas will be recommended as suitable or non-suitable for wilderness designation. This determination, made through the BLM's land-use planning system, considers all values, resources, and uses of the public lands.

Following the study, the reporting phase consists of forwarding or reporting suitable or non-suitable recommendations through the Secretary of the Interior and the President to Congress. Mineral surveys required by law, environmental statements, and other data are submitted with these recommendations.

Congress makes the final determination on whether Wilderness Study Areas are designated wilderness. Once designated and added to the National Wilderness Preservation System, areas will be managed by BLM according to provisions of the 1964 Wilderness Act and the 1976 Federal Land Policy and Management Act.

The proposed decision on the initial inventory for these State line units was announced in the March 27, 1979, **Federal Register**. A 90-day comment period was conducted, including public meetings/open houses.

Those public responses received during the comment period that addressed specific factors related to wilderness characteristics were carefully analyzed and field checked. Comments that related to other resource values, resource conflicts, or that expressed opinions for or against wilderness were reviewed but were not utilized in arriving at the intended final decision. The inventory process is only for the purpose of determining wilderness characteristics; comments not related to characteristics will be analyzed during the study phase.

Units requiring intensive inventory:

		Acres
16-48a	Spring Creek	39,185
16-48b	Owyhee River	33,706
16-48c	Little Owyhee River	26,817
16-53	South Fork Owyhee River	47,516
16-56a	Upper Little Owyhee River [1]	4,309
16-59	Juniper Basin	15,248
16-70e	Oregon Butte [1, 2]	3,393
17-19	Upper Bruneau River	22,797
17-21	Jarbidge Addition	5,861
17-26	Salmon Falls Creek	5,977
22-1	Little Goose Creek [1]	2,063

Acres

[1] Units 16-56a, 16-70e, and 22-1 are dependent on the BLM units in the adjacent state to meet the size criteria.

[2] Unit 16-70e was originally recommended for release from the wilderness review process, however, after reevaluation is proposed for intensive inventory in conjunction with a contiguous inventory unit in Oregon.

Unit originally proposed for intensive inventory—now clearly and obviously lacking characteristics:

		Acres
21-2	Shoshone Creek	4,855

The acreage for the above listed inventory units totals 206,914 acres for intensive inventory and 4,855 acres dropped, a total of 211,769. The difference between this acreage figure and that shown in the August 10, 1979, **Federal Register** notice being the result of recalculation of acreage figures, the addition of Unit 16-70e, and dropping of small acreages on the fringes of units 16-48b and 16-56a.

Upon publication of this intended final decision in the **Federal Register**, a 30-day protest period is initiated, during which persons wishing to protest any of the intended final decisions shall have 30 days to file a written protest.

Protests should address specific inventory units and must include a clear and concise statement of reasons for the protest, including any supporting data available. Protests may be filed with the Idaho State Office or the Boise or Burley District Offices of the BLM and must be postmarked or received by the end of the 30-day period, January 14, 1980.

For further information on any of the inventory units, contact the following BLM offices:

Idaho State Office—BLM, Federal Building, Box 042, 550 W. Fort Street, Boise, Idaho 83724.

Boise District Office—BLM, 230 Collins Road, Boise, Idaho 83702.

Burley District Office—BLM, Route #3, Box 1, 200 South Oakley Highway, Burley, Idaho 83318.

Dated: December 3, 1979.

Lorin J. Welker,

Acting State Director.

[FR Doc. 79-37973 Filed 12-13-79; 8:45 am]

BILLING CODE 4310-84-M

Wyoming; Decision on Wilderness Inventory; Overthrust Belt Units

This decision is issued under the authority of section 603 of the Federal Land Policy and Management Act of October 21, 1976, and under the guidelines provided in step 6 of the Wilderness Inventory Handbook of September 27, 1978, issued by the U.S. Department of the Interior, Bureau of Land Management.

A proposed wilderness intensive inventory decision concerning seven wilderness inventory units located on

the Overthrust Belt in western Wyoming in the Rock Springs District and six other units located in the Rawlins District was issued on August 15, 1979. A 90-day public comment period ending on November 16, 1979, was provided. All comments received by that date were considered in reaching this decision. Other comments received after that date were also considered to the extent possible in reaching a decision.

Two wilderness inventory units and one subunit as described below have been determined to possess wilderness characteristics in all or part of the unit, as set forth in section 2(c) of the Wilderness Act of 1964. They are therefore designated as wilderness study areas (WSA's). These units will be further evaluated, along with all other resource values, through the Bureau planning process and a wilderness study report will be prepared. A recommendation will then be made to the Congress regarding whether or not the unit should be made a part of the National Wilderness System.

The designation of these units as WSA's will retain them under the constraints of interim management (sec. 603(c) of the Federal Land Policy and Management Act) pending a decision by the Congress. These units are:

Rock Springs District (Overthrust Belt):		Acres
WY-040-110	Lake Mountain	13,970
WY-040-221	Raymond Mountain	33,236
Rawlins District.		
WY-030-303a	Prospect Mountain	1,099

The following 10 wilderness inventory units, or partial units, have been determined to not possess wilderness characteristics as set forth in section 2(c) of the Wilderness Act and are dropped from further consideration under the wilderness review process, and released from the constraints of interim management as specified in section 603(c) of the Federal Land Policy and Management Act.

Rock Springs District (Overthrust Belt):		Acres
WY-040-109	Cabin Creek	7,040
WY-040-111	Beaver Creek	5,080
WY-040-126	Red Canyon	5,300
WY-040-222	IGO Speedway	6,646
WY-040-223	Coal Creek	13,174

Unit WY-040-233 was proposed as a WSA in the August 15, 1979, Federal Register Notice. Based on further examination and analysis it has been determined that this unit does not possess wilderness characteristics.

Rawlins District:		Acres
WY-030-114	Copper Mountain	8,704
WY-030-116	Moneta Sand Dunes	8,640
WY-030-117	Moneta Sand Dunes	10,048
WY-030-134	Agate Flats	22,544
WY-030-303b	Prospect Mountain	4,700

The decision on the following unit is being deferred pending further analysis of inventory data and public comment. This unit will be included in the proposed decision for other units in Wyoming in early April 1980 and will be subject to public comment for 90 days after said proposed decision.

Rawlins District:		Acres
WY-030-115	Lysite Badlands	14,272

Any person(s) who has disagreement with this decision and has information which may influence this decision may file a protest with: State Director (931), Bureau of Land Management, 2515 Warren Avenue, P.O. Box 1828, Cheyenne, Wyoming 82001.

Protests must be filed with the State Director by 4:30 p.m. January 17, 1980. No specific form need be used in filing a protest. However, protests must be specifically identified as follows: "Protest to Wyoming State Director's Wilderness Intensive Inventory Decision—Overthrust Belt Units."

Should any protests be filed on any inventory unit the State Director will consider such protests and issue a decision which will be subject to appeal on that inventory unit(s) to the Department of the Interior, Board of Land Appeals (IBLA). If the decision on the protest remains consistent with this decision only the protestant may appeal to the IBLA. If the decision on the protest reflects changes from this decision based upon information submitted by the protestant any adversely affected person(s) may appeal to the IBLA.

This decision will become effective as of 4:30 p.m. January 17, 1980 (close of protest period) for all inventory units on which no protest is filed. A Federal Register notice and press release will be issued after January 17, 1980, announcing status of all units.

A detailed synopsis of this decision, including 1:1,000,000 scale maps showing the wilderness inventory units affected, may be obtained without cost from any of the BLM offices listed below. A 1:500,000 scale map plus transparent overlay depicting the affected inventory units are available for purchase from the Wyoming State Office of BLM as follows:

1:500,000 scale colored status map—$5.00 each copy

Transparent overlay No. 4 dated December 1979—$4.00 each copy

Paper copy of overlay No. 4—$2.50 each copy

Additional information on this program is available on request from all BLM offices in Wyoming as listed below. These offices are also available for contact regarding input to the wilderness inventory.

State Director, Bureau of Land Management, 2515 Warren Avenue, P.O. Box 1828, Cheyenne, WY 82001, 307-778-2220, ext. 2413.

Worland District Office, District Manager, P.O. Box 119, 1700 Robertson Avenue, Worland, WY 82401, 307-347-6151.

Grass Creek Resource Area [1]
Washakie Resource Area [1]

Cody Resource Area, Area Manager, P.O. Box 528, Federal Building, 1131 13th, Cody, WY 82414, 307-587-2216.

Rawlins District Office, District Manager, P.O. Box 670, 1300 Third Street, Rawlins, WY 82301, 307-324-7171.

Divide Resource Area [1]
Medicine Bow Resource Area [1]

Lander Resource Area, Area Manager, P.O. Box 589, Lander, WY 82520, 307-332-4220.

Rock Springs District Office, District Manager, P.O. Box 1869, Highway 187 N, Rock Springs, WY 82901, 307-382-5350.

Green River Resource Area [1]
Salt Wells Resource Area [1]

Pinedale Resource Area, Area Manager, Molyneux Building, Pinedale, WY 82941, 307-467-4358.

Kemmerer Resource Area, Area Manager, P.O. Box 632, Kemmerer, WY 83101, 307-887-3933.

Casper District Office, District Manager, 951 Union Blvd., Casper, WY 82601, 307-265-5550, ext. 5101.

Platte River Resource Area [1]

Buffalo Resource Area, Area Manager, P.O. Box 670, Buffalo, WY 82834, 307-684-5586.

Newcastle Resource Area, Area Manager, Highway 16 Bypass, Newcastle, WY 82701, 307-746-4453.

Delmar D. Vail,

Acting State Director.

[FR Doc. 79-38197 Filed 12-13-79; 8:45 am]

BILLING CODE 4310-84-M

[1] Located at District Office.

Outer Continental Shelf North Atlantic Oil and Gas Lease Sale No. 42; Additional Location for Submission of Bids

Bidders on tracts in OCS oil and gas lease sale No. 42 are advised that in order to facilitate the submission of bids an additional location for the submission of bids in being provided. Bids will be received at both State Suite C of the Biltmore Plaza Hotel, Kennedy Plaza, Providence, Rhode Island and at the Chorus Room of the Veterans Memorial Auditorium, corner of Brownell and Francis Streets, Providence, Rhode Island. All other dates and times and all terms and conditions of the sale announced in the **Federal Register** on November 16, 1979, 44 FR 66150, are unaffected by this announcement.

Bidders submitting bids on December 17, 1979, from 1:00 p.m., e.s.t., to 5:00 p.m., e.s.t., or on December 18, 1979, from 8:30 a.m., e.s.t., to 9:30 a.m., e.s.t., may deliver bids to either State Suite C, Biltmore Plaza Hotel or the Chorus Room of the Veterans Memorial Auditorium. Any bids submitted at the Chorus Room of the Veterans Auditorium will be transported to the Biltmore Plaza Hotel and opened at that location after 10:00 a.m., e.s.t., December 18, 1979.

Arnold E. Petty,

Acting Associate Director, Bureau of Land Management.

Approved: December 11, 1979.

Heather L. Ross,

Acting Assistant Secretary of the Interior.

[FR Doc. 79-38323 Filed 12-13-79; 8:45 am]

BILLING CODE 4310-84-M

[F-14956-A and F-14956-B]

Alaska Native Claims Selections

On July 24, and December 2, 1974, the White Mountain Native Corporation, for the Native village of White Mountain filed selection applications F-14956-A and F-14956-B under the provisions of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 701; 43 U.S.C. 1601, 1611 (1976)) (ANCSA), for the surface estate of certain lands in the vicinity of White Mountain.

The State of Alaska filed general purposes grant selection applications on November 14, 1978, pursuant to Sec. 6(b) of the Alaska Statehood Act of July 7, 1958 (72 Stat. 339, 340; 48 U.S.C. Ch. 2, Sec. 6(b)), for certain lands in the Bering Straits area. Applications F-44512, F-44513 F-44514, F-44531 and F-44532, all as amended, selected all available lands in T. 9 S., R. 23 W., T. 9 S., R. 25 W., T. 9 S., R. 26 W., T. 10 S., R. 23 W., and T. 10 S., R. 24 W., Kateel River Meridian, respectively. White Mountain Native Corporation properly selected lands located within the above townships in village selection application F-14956-B on December 2, 1974. Section 6(b) of the Alaska Statehood Act of July 7, 1958, provides that the State may select *Vacant, unappropriated* and *unreserved* public lands in Alaska.

Therefore, in view of the above the following State selection applications are hereby rejected as to the following described lands:

Kateel River Meridian, Alaska (Unsurveyed)

State Selection F-44512

T. 9 S., R. 23 W.
Secs. 1 to 23, inclusive, all;
Secs. 24 and 25, excluding Yuonglik River;
Secs. 26 to 29, inclusive, all;
Secs. 30, 31 and 32, excluding Mudyutok River;
Secs. 33 to 36, inclusive, all.
Containing approximately 22,528 acres.

State Selection F-44513

T. 9 S., R. 25 W.
Secs. 25 to 36, inclusive, all.
Containing approximately 7,a604 acres.

State Selection F-44514

T. 9 S., R. 26 W.
Sec. 36, all.
Containing approximately 640 acres.

State Selection F-44531

T. 10 S., R. 23 W.
Secs. 1 and 2 (fractional), all;
Secs. 3 and 4, excluding unnamed sloughs;
Secs. 5 and 6, excluding Mudyutok River and unnamed sloughs;
Secs. 7, excluding unnamed sloughs;
Secs. 8 and 9, excluding Mudyutok River and unnamed slough;
Secs. 10 and 11 (fractional), all;
Secs. 15 and 16 (fractional), all;
Secs. 17 and 18, excluding unnamed sloughs;
Secs. 19 and 20, excluding unnamed sloughs;
Secs. 21, 29, 30 and 31 (fractional), all.

State Selection F-44532

T. 10 S., R. 24 W.
Sec. 1, excluding Fish River;
Sec. 2, excluding Fish River and unnamed slough;
Secs. 3 and 10, excluding unnamed slough;
Secs. 11 and 12, excluding Fish River and unnamed sloughs;
Sec. 13, excluding unnamed slough;
Sec. 14, excluding Fish River;
Secs. 15 and 22, all;
Sec. 23, excluding Fish River;
Sec. 24, excluding Fish River and unnamed sloughs;
Sec. 25, excluding Fish River;
Secs. 26 and 27, all;
Secs. 34 and 35, all;
Sec. 36 (fractional), all.
Containing approximately 10,380 acres.
Aggregating approximately 50,511 acres.

Further action on the subject State selection applications, as to those lands not rejected herein, will be taken at a later date. State selection application F-44512, is hereby rejected in its entirety and the case will be closed when this decision becomes final.

As to the lands described below, the applications submitted by White Mountain Native Corporation are properly filed and meet the requirements of the Alaska Native Claims Settlement Act and of the regulations issued pursuant thereto. These lands do not include may lawful entry perfected under or being maintained in compliance with laws leading to acquisition of title.

In view of the foregoing, the surface estate of the following described lands, selected pursuant to Sec. 12(a), aggregating approximately 83,850 acres, is considered proper for acquisition by White Mountain Native Corporation and is hereby approved for conveyance pursuant to Sec. 14(a) of the Alaska Native Claims Settlement Act:

Kateel River Meridian, Alaska (Unsurveyed)

T. 8 S., R. 23 W.
Secs. 30 to 36, inclusive, all.
Containing approximately 4,476 acres.

T. 8 S., R. 24 W.
Secs. 21 and 22, all;
Secs. 23 and 24, excluding Fish River;
Sec. 25, excluding Native allotment F-16242 and Fish River;
Sec. 26, excluding Fish River;
Secs. 27 and 28, all;
Secs. 33, 34 and 35, excluding Fish River;
Sec. 36, all.
Containing approximately 7,115 acres.

T. 9 S., R. 23 W.
Secs. 1 to 23, inclusive, all;
Secs. 24 and 25, excluding Yuonglik River;
Secs. 26 to 29, inclusive, all;
Secs. 30, 31 and 32, excluding Mudyutok River;
Secs. 33 to 36, inclusive, all.
Containing approximately 22,528 acres.

T. 9 S., R. 24 W.
Secs. 1 to 4, inclusive, all;
Sec. 5, excluding Fish River;
Secs. 6 and 7, all;
Sec. 8, excluding Fish River;
Sec. 9, excluding Native allotment F-026210 and Fish River;
Sec. 10, excluding Native allotment F-026210;
Secs. 11 to 14, inclusive, all;
Secs. 15 and 16, excluding Native allotment F-026210, Fish River and unnamed slough;
Sec. 17, excluding Fish River;
Secs. 18, 19 and 20, all;
Sec. 21, excluding unnamed slough;
Secs. 22 and 23, excluding Fish River;
Sec. 24, all;
Sec. 25, excluding Fish and Mudyutok Rivers;
Sec. 26, excluding Fish River and unnamed slough;
Sec. 27, all;
Sec. 28, excluding unnamed slough;
Secs. 29 to 32, inclusive, all;
Secs. 33 and 34, excluding unnamed sloughs;
Sec. 35, excluding Fish River and unnamed slough;
Sec. 36, excluding Fish River.
Containing approximately 21,748 acres.

T. 9 S., R. 25 W.
Secs. 25 to 36, inclusive, all.
Containing approximately 7,604 acres.

T. 9 S., R. 26 W.
Sec. 36, all.
Containing approximately 640 acres.

T. 10 S., R. 23 W.
Secs. 1 and 2 (fractional), all;
Secs. 3 and 4, excluding unnamed sloughs;
Secs. 5 and 6, excluding Mudyutok River and unnamed sloughs;
Sec. 7, excluding unnamed slough;
Secs. 8 and 9, excluding Mudyutok River and unnamed slough;
Secs. 10 and 11 (fractional), all;
Secs. 15 and 16 (fractional), all;
Secs. 17 and 18, excluding unnamed sloughs;
Secs. 19 and 20, excluding unnamed sloughs;
Secs. 21, 29, 30 and 31 (fractional), all.
Containing approximately 9,359 acres.

T. 10 S., R. 24 W.
Sec. 1, excluding Fish River;

Sec. 2, excluding Fish River and unnamed slough;
Secs. 3 and 10, excluding unnamed slough;
Secs. 11 and 12, excluding Fish River and unnamed sloughs;
Sec. 13, excluding Fish River and unnamed slough;
Sec. 14, excluding Fish River;
Secs. 15 and 22, all;
Sec. 23, excluding Fish River;
Sec. 24, excluding Fish River and unnamed sloughs;
Sec. 25, excluding Fish River;
Secs. 26 and 27, all;
Secs. 34 and 35, all;
Sec. 36 (fractional), all.
Containing approximately 10,380 acres.
Aggregating approximately 83,850 acres.

The conveyance issued for the surface estate of the lands described above shall contain the following reservations to the United States:

1. The subsurface estate therein, and all rights, privileges, immunities, and appurtenances, of whatsoever nature, accruing unto said estate pursuant to the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 704; 43 U.S.C. 1601, 1613(f)); and

2. Pursuant to Sec. 17(b) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 708; 43 U.S.C. 1601, 1616(b)), the following public easements, referenced by easement identification number (EIN) on the easement maps attached to this document, copies of which will be found in case file F-14956-EE, are reserved to the United States. All easements are subject to applicable Federal, State, or Municipal corporation regulation. The following is a listing of uses allowed for each type of easement. Any uses which are not specifically listed are prohibited.

25 Foot Trail—The uses allowed on a twenty-five (25) foot wide trail easement are: Travel by foot, dogsled, animals, snowmobiles, two and three-wheel vehicles, and small all-terrain vehicles (less than 3,000 lbs. Gross Vehicle Weight (GVW)).

60 Foot Road—The uses allowed on a sixty (60) foot wide road easement are: Travel by foot, dogsled, animals, snowmobiles, two and three-wheel vehicles, small and large all-terrain vehicles, tract vehicles, four-wheel drive vehicles, automobiles, and trucks.

One Acre Site—The uses allowed for a site easement are: Vehicle parking (e.g., aircraft, boats, ATV's, snowmobiles, cars trucks), temporary camping, and loading or unloading. Temporary camping, loading, or unloading shall be limited to 24 hours.

a. (EIN 1 C1, C3, D1, L) An easement for an existing access trail twenty-five (25) feet in width from the right bank of the Fish River in Sec. 16, T. 9S., R. 24W., Kateel River Meridian, westerly to public lands in Sec. 2, T. 10S., R. 26W., Kateel River Meridian. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement. The season of use will be limited to winter use.

b. (EIN 2 C1, C3, D1, L) An easement for an existing access trail twenty-five (25) feet in width from Sec. 15, T. 10S., R. 23W., Kateel River Meridian, northwesterly to White Mountain in Sec. 26, T. 9S., R. 24W., Kateel River Meridian. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement. The season of use will be limited to winter use.

c. (EIN 5a C3, C5, D1, L) An easement for an existing access trail twenty-five (25) feet in width from trail EIN 2 C1, C3, D1, L in Sec. 9, T. 10S., R. 23W., Kateel River Meridian, northeasterly to connect with Golovin trail EIN 8a C5 in Sec. 6, T. 10S., R. 22W., Kateel River Meridian. The uses allowed are those listed above for a twenty-five (25) food wide trail easement. The season of use will be limited to winter.

d. (EIN 13a C3, D9) An easement sixty (60) feet in width for an existing road from the White Mountain airstrip in Secs. 23 and 26, T. 9 S., R. 24 W., Kateel River Meridian, southerly to the village of White Mountain. The uses allowed are those listed above for a sixty (60) foot wide road easement.

e. (EIN 18 C5, D9) A one acre site easement upland of the mean hightide line in Sec. 25, T. 9 S., R. 24 W., Kateel River Meridian, on the left bank of the Fish River. The uses allowed are those listed above for a one (1) acre site easement.

The grant of lands shall be subject to:

1. Issuance of a patent confirming the boundary description of the lands hereinabove granted after approval and filing by the Bureau of Land Management of the official plat of survey covering such lands;

2. Valid existing rights therein, if any, including but not limited to those created by any lease (including a lease issued under Sec. 6(g) of the Alaska Statehood Act of July 7, 1958 (72 Stat. 339, 341; 48 U.S.C. Ch. 2, Sec. 6(g))), contract, permit, right-of-way, or easement, and the right of the lessee, contractee, permittee, or grantee to the complete enjoyment of all rights, privileges, and benefits thereby granted to him. Further, pursuant to Sec. 17(b)(2) of the Alaska Native Claims Settlement Act of December 18, 1971 (43 U.S.C. 1601, 1616(b)(2)) (ANCSA), any valid existing right recognized by ANCSA shall continue to have whatever right of access as is now provided for under existing law;

3. The following third-party interest, if valid, created and identified by the Bureau of Indian Affairs as provided by Sec. 14(g) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 704; 43 U.S.C. 1601, 1613(g)):

Memorandum of Agreement made and entered into on April 6, 1946, between the Department of Interior, The Alaska Native Affairs and the Department of Commerce for use by the Weather Bureau.

4. Requirements of Sec. 14(c) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 703; 43 U.S.C. 1601, 1613(c)), that the grantee hereunder convey those portions, if any, of the lands hereinabove granted, as are prescribed in said section.

White Mountain Native Corporation is entitled to conveyance of 115,200 acres of land selected pursuant to Sec. 12(a) of the Alaska Native Claims Settlement Act. To date 83,850 acres of this entitlement have been approved for conveyance; the remaining entitlement of 31,350 acres will be conveyed at a later date.

Pursuant to Sec. 14(f) of the Alaska Native Claims Settlement Act, conveyance to the subsurface estate of the lands described above shall be granted to the Bering Straits Native Corporation when conveyance is granted to White Mountain Native Corporation for the surface estate, and shall be subject to the same conditions as the surface conveyance.

Only the following inland water body, within the described lands, is considered to be navigable:

Fish River and interconnecting sloughs.

The Mudyutok River is tidally influenced from its mouth to its confluence with the Fish River. The Yuonglik River is tidally influenced to Sec. 24, T. 9 S., R. 23 W., Kateel River Meridian.

In accordance with Departmental regulation 43 CFR 2650.7(d), notice of this decision is being published once in the **Federal Register** and once a week for four (4) consecutive weeks, in the Nome Nugget. Any party claiming a property interest in land affected by this decision may appeal the decision to the Alaska Native Claims Appeal Board, P.O. Box 2433, Anchorage, Alaska 99510 with a copy served upon both the Bureau of Land Management, Alaska State Office, 701 C Street, Box 13, Anchorage, Alaska 99513 and the Regional Solicitor, Office of the Solicitor, 510 L Street, Suite 408, Anchorage, Alaska 99501, also:

1. Any party receiving service of this decision shall have 30 days from the receipt of this decision to file an appeal.

2. Any unknown parties, any parties unable to be located after reasonable efforts have been expended to locate and any parties who failed or refused to sign the return receipt shall have until January 14, 1980, to file an appeal.

3. Any party known or unknown who may claim a property interest which is adversely affected by this decision shall be deemed to have waived those rights which were adversely affected unless an appeal is timely filed with the Alaska Native Claims Appeal Board.

To avoid summary dismissal of the appeal, there must be strict compliance with the regulations governing such appeal. Further information on the manner of and requirements for filing an appeal may be obtained from the Bureau of Land Management, 701 C Street, Box 13, Anchorage, Alaska 99513.

If an appeal is taken the adverse parties to be served are:

State of Alaska, Department of Natural Resources, Division of Research and Development, 323 East Forth Avenue, Anchorage, Alaska 99501.
White Mountain Native Corporation, White Mountain, Alaska 99784.
Bering Straits Native Corporation, Box 1008, Nome, Alaska 99762.

Sue A. Wolf,
Chief, Branch of Adjudication.

[FR Doc. 79-38329 Filed 12-13-79, 8:45 am]
BILLING CODE 4310-84-M

[AA-6683-A through AA-6683-K]

Alaska Native Claims Selections

On January 25 and November 25, 1974, New Stuyahok Limited, for the Native village of Stuyahok filed selection applications AA-6683-A through AA-6683—K under the provisions of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 701; 43 U.S.C. 1601, 1611 (1976)) (ANCSA), for the surface estate of certain lands in the vicinity of New Stuyahok.

On November 14, 1978, the State of Alaska filed general purposes grant selection applications AA-21685, AA-21686, AA-21700, AA-21701, AA-21702, AA-21712, AA-21713, AA-21714, AA-21727 and AA-21728, all as amended pursuant to Sec. 6(b) of the Alaska Statehood Act of July 7, 1958 (72 Stat. 339, 340; 48 U.S.C. Ch. 2, Sec. 6(b)), for certain lands in the New Stuyahok area.

The following described lands have been properly selected by Stuyakok Limited. Section 6(b) of the Alaska Statehood Act of July 7, 1958, provides that the State may select *vacant, unappropriated* and *unreserved* public lands in Alaska. Therefore, the following State selection applications are hereby rejected as to the following described lands:

Seward Meridian, Alaska (Unsurveyed)

State Selection AA-21685

T. 6 S., R. 45 W.,
Sec. 5, all;
Sec. 6, excluding Native allotment AA-6403 Parcel B;
Sec. 7, all;
Secs. 19 to 23, inclusive, all;
Secs. 26 to 30, inclusive, all.
Containing approximately 8,158 acres.

State Selection AA-21686

T. 6 S., R. 46 W.,
Secs. 1, 2, 3 and 4, excluding Mulchatna River;
Secs. 5 and 6, excluding Nushagak River;
Sec. 7, all;
Sec. 8, excluding Nushagak River;
Sec. 9, excluding Nushagak and Mulchatna Rivers;
Secs. 10, 11 and 12, excluding Mulchatna River;
Sec. 13, all;
Sec. 14, excluding Native allotment A-054030;
Sec. 15, excluding Native allotment AA-8162 Parcel A and Nushagak River;
Sec. 16, excluding Native allotment AA-6394 Parcel A and Nushagak and Mulchatna Rivers;
Sec. 17, excluding Native allotments AA-6394 Parcel A, AA-7837 Parcel B and Nushagak River;
Secs. 18, 19 and 20, all;
Secs. 21 and 22, excluding Nushagak River;
Secs. 23 and 24, all;
Sec. 25, excluding Native allotment AA-8137 Parcel A;
Sec. 26, all;
Sec. 27, excluding Nushagak River;
Secs. 28 and 29, all;
Sec. 33, excluding Native allotment AA-6385;
Sec. 34, excluding Native allotment AA-6385 and Nushagak River;
Sec. 35, excluding Nushagak River;
Sec. 36, excluding Native allotment A-054026 Parcel C.
Containing approximately 17,470 acres.

State Selection AA-21700

T. 7 S., R. 46 W.,
Sec. 1, all;
Sec. 2, excluding Native allotments AA-6420, AA-6375 Parcel B and Nushagak River;
Secs. 3 and 10, excluding Native allotment AA-6375 Parcel B and Nushagak River;
Sec. 11, excluding Native allotments AA-6413, AA-6375 Parcel B and Nushagak River;
Secs. 12 and 13, all;
Sec. 14, excluding Native allotments AA-7812 Parcel A, AA-6392 Parcel A and Nushagak River;
Sec. 15, excluding Native allotment AA-6392 Parcel A and Nushagak River;
Sec. 16, all;
Sec. 21, excluding Nushagak River;
Sec. 22, excluding Native allotment A-054033 Parcel B and Nushagak River;
Sec. 23, excluding Native allotment A-054033 Parcel B;
Secs. 24 and 26, all;
Sec. 27, excluding Native allotment AA-6292 and Nushagak River;
Secs. 28, 31 and 32, excluding Nushagak River;
Secs. 33, 34 and 35, all.
Containing approximately 11,599 acres.

State Selection AA-21701

T. 7 S., R. 47 W.,
Secs. 26 and 27, all;
Secs. 34 and 35, all;
Sec. 36, excluding Nushagak River.
Containing approximately 3,175 acres.

State Selection AA-21702

T. 7 S., R. 48 W.,
Sec. 32, all.
Containing approximately 640 acres.

State Selection AA-21712

T. 8 S., R. 46 W.,
Sec. 2, excluding Native allotment AA-6375 Parcel A;
Secs. 3 and 4, excluding Native allotment AA-6400;
Sec. 5, excluding Native allotments AA-6422, AA-6398 and Nushagak River;
Sec. 6, excluding Nushagak River;
Secs. 7, 8 and 9, all;
Sec. 10, excluding Native allotment AA-6392 Parcel B;
Secs. 14 to 23, inclusive, all;
Secs. 29 to 32, inclusive, all.
Containing approximately 14,006 acres.

State Selection AA-21713

T. 8 S., R. 48 W.,
Sec. 5, excluding Native allotment AA-6412;
Secs. 7 to 12, inclusive, all;
Sec. 13, excluding Native allotment AA-6317;
Secs. 14 to 35, inclusive, all;
Sec. 36, excluding Nushagak River.
Containing approximately 19,500 acres.

State Selection AA-21714

T. 8 S., R. 49 W.,
Sec. 13, all;
Secs. 24, 25 and 26, all;
Secs. 35 and 36, all.
Containing approximately 3,840 acres.

State Selection AA-21727

T. 9 S., R. 47 W.,
Sec. 5, all;
Sec. 6, excluding Native allotment AA-6406.
Containing approximately 1,112 acres.

State Selection AA-21728

T. 9 S., R. 48 W.,
Secs. 1 and 2, all;
Sec. 3, excluding Native allotment AA-7694 Parcel B and Nushagak River;
Sec. 4, excluding Nushagak River;
Secs. 5, 6 and 7, all;
Secs. 8, 9 and 10, excluding Nushagak River;
Secs. 11, 12 and 14, all;
Sec. 15, excluding Native allotment AA-7691 Parcel A;
Sec. 16, excluding Native allotments AA-7766 Parcel B, AA-7852 Parcel B and Nushagak River;
Secs. 17 and 18, excluding Nushagak River.
Containing approximately 9,196 acres.
Aggregating approximately 88,696 acres.

Further action on the above State selection applications, as to those lands not rejected herein will be taken at a later date. The State selected lands rejected above were not valid selections and will not be charged against the village corporation as State selected lands.

As to the lands described below, the applications submitted by Stuyahok Limited, as amended, are properly filed, and meet the requirements of the Alaska Native Claims Settlement Act and of the regulations issued pursuant thereto. These lands do not include any lawful entry perfected under or being maintained in compliance with laws leading to acquisition of title.

In view of the foregoing, the surface estate of the following described lands,

selected pursuant to Sec. 12(a), aggregating approximately 107,004 acres, is considered proper for acquisition by Stuyahok Limited and is hereby approved for conveyance pursuant to Sec. 14(a) of the Alaska Native Claims Settlement Act:

Seward Meridian, Alaska (Unsurveyed)

T. 6 S., R. 45. W.,
Sec. 5, all;
Sec. 6, excluding Native Allotment AA-6403 Parcel B;
Sec. 7, all;
Secs. 19 to 23, inclusive, all;
Secs. 26 to 30, inclusive, all.
Containing approximately 8,158 acres.

T. 6 S., R. 46 W.,
Secs. 1, 2, 3 and 4, excluding Mulchatna River;
Secs. 5 and 6, excluding Nushagak River;
Sec. 7, all;
Sec. 8, excluding Nushagak River;
Sec. 9, excluding Nushagak and Mulchatna Rivers;
Secs. 10, 11 and 12, excluding Mulchatna River;
Sec. 13, all;
Sec. 14, excluding Native allotment A-054030;
Sec. 15, excluding Native allotment AA-8162 Parcel A and excluding Nushagak River;
Sec. 16, excluding Native allotment AA-6394 Parcel A and Nushagak and Mulchatna Rivers;
Sec. 17, excluding Native allotments AA-6394 Parcel A, AA-7837 Parcel B and Nushagak River;
Secs. 18, 19 and 20, all;
Secs. 21 and 22, excluding Nushagak River;
Secs. 23 and 24, all;
Sec. 25, excluding Native allotment AA-8137 Parcel A;
Sec. 26, all;
Sec. 27, excluding Nushagak River;
Secs. 28 and 29, all;
Sec. 33, excluding Native allotment AA-6385;
Sec. 34, excluding Native allotment AA-6385 and Nushagak River;
Sec. 35, excluding Nushagak River;
Sec. 36, excluding Native allotment A-054026 Parcel C.
Containing approximately 17,470 acres.

T. 7 S., R. 46 W.,
Sec. 1, all;
Sec. 2, excluding Native allotments AA-6420 Parcel A, AA-6375 Parcel B and Nushagak River;
Secs. 3, and 10, excluding Native allotment AA-6375 Parcel B and Nushagak River;
Sec. 11, excluding Native allotments AA-6413, AA-6375 Parcel B and Nushagak River;
Secs. 12 and 13, all;
Sec. 14, excluding Native allotments AA-7812 Parcel A, AA-6392 Parcel A and Nushagak River;
Sec. 15, excluding Native allotment AA-6392 Parcel A and Nushagak River;
Sec. 16, all;
Sec. 21, excluding Nushagak River;
Sec. 22, excluding Native allotment A-054033 Parcel B and Nushagak River;
Secs. 23, excluding Native allotment A-054033 Parcel B;
Secs. 24 and 26, all;
Sec. 27, excluding Native allotment AA-8292 and Nushagak River;
Secs. 28, 31 and 32, excluding Nushagak River;
Secs. 33, 34 and 35, all.
Containing approximately 11,599 acres.

T. 8 S., R. 46 W.,
Sec. 2, excluding Native allotment AA-6375 Parcel A;
Secs. 3 and 4, excluding Native allotment AA-6400;
Sec. 5, excluding Native allotments AA-6422, AA-6398 and Nushagak River;
Sec. 6, excluding Nushagak River;
Secs. 7, 8 and 9, all;
Sec. 10, excluding Native allotment AA-6392 Parcel B;
Secs. 14 to 23, inclusive, all;
Secs. 29 to 32, inclusive, all.
Containing approximately 14,006 acres.

T. 7 S., R. 47 W.,
Secs. 26 and 27, all;
Secs. 34 and 35, all;
Sec. 36, excluding Nushagak River.
Containing approximately 3,175 acres.

T. 8 S., R. 47 W.,
Secs. 1, 2 and 3, excluding Nushagak River;
Secs. 4 to 8, inclusive, all;
Secs. 9 and 10, excluding Nushagak River;
Sec. 11, excluding Native allotment AA-6379 and Nushagak River;
Sec. 12, excluding Nushagak River;
Sec. 13, all;
Sec. 14, excluding Native allotment AA-6379;
Secs. 15, 16 and 17, excluding Nushagak River;
Sec. 18, all;
Sec. 19, excluding Native allotments A-054028, A-054031 Parcel B and Nushagak River;
Sec. 20, excluding Native allotments A-054035, A-054817 and Nushagak River;
Sec. 21, excluding Native allotments A-054034 Parcel A, A-054035 and Nushagak River;
Secs. 22 to 27, inclusive, all;
Sec. 28, excluding Nushagak River;
Sec. 29, excluding U.S. Survey 4495, Native allotments A-054031 Parcel A, A-054033 Parcel A, A-054037 and Nushagak River;
Sec. 30, excluding Native allotments A-054027, A-054029, A-054840 Parcel A, AA-6721, AA-6410 and Nushagak River;
Sec. 31, excluding Native allotments A-054027, AA-6376 and Nushagak River;
Sec. 32, excluding Native allotments A-054026 Parcel A, A-054031 Parcel A and Nushagak River;
Sec. 33, excluding Native allotments A-054026 Parcel B;
Secs. 34, and 35, all;
Sec. 36, excluding Native allotment AA-6390 Parcel A.
Containing approximately 18,308 acres.

T. 9 S., R. 47 W.,
Sec. 5, all;
Sec. 6, excluding Native allotment AA-6406.
Containing approximately 1,112 acres.

T. 7 S., R. 48 W.,
Sec. 32, all.
Containing approximately 640 acres.

T. 8 S., R. 48 W.,
Sec. 5, excluding Native allotment AA-6412;
Secs. 7 to 12, inclusive, all;
Sec. 13, excluding Native allotment AA-6317;
Secs. 14 to 35, inclusive, all;
Sec. 36, excluding Nushagak River.
Containing approximately 19,500 acres.

T. 9 S., R. 48 W.,
Secs. 1 and 2, all;
Sec. 3, excluding Native allotment AA-7894 Parcel B and Nushagak River;
Sec. 4, excluding Nushagak River;
Secs. 5, 6 and 7, all;
Secs. 8, 9 and 10, excluding Nushagak River;
Secs. 11, 12 and 14, all;
Sec. 15, excluding Native allotment AA-7691 Parcel A;
Sec. 16, excluding Native allotments AA-7766 Parcel B, AA-7852 Parcel B and Nushagak River;
Secs. 17 and 18, excluding Nugashak River.
Containing approximately 9,196 acres.

T. 8 S., R. 49 W.,
Sec. 13, all;
Secs. 24, 25 and 26, all;
Secs. 35 and 36, all.
Containing approximately 3,840 acres.
Aggregating approximately 107,004.

The conveyance issued for the surface estate of the lands described above shall contain the following reservations to the United States:

1. The subsurface estate therein, and all rights, privileges, immunities and appurtenances, of whatsoever nature, accruing unto said estate pursuant to the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 704; 43 U.S.C. 1602, 1613(f)); and

2. Pursuant to Sec. 17(b) of the Alaska Native Claims Settlement act of December 18, 1971 (85 Stat. 688, 708; 43 U.S.C. 1601, 1616(b)), the following public easements, referenced by easement identification number (EIN) on the easement maps attached to this document, copies of which will be found in case file AA-6683-EE, are reserved to the United States. All easements are subject to applicable Federal, State, or municipal corporation regulation. The following is a listing of uses allowed for each type of easement. Any uses which are not specifically listed are prohibited.

25 Foot Trail—The uses allowed on a twenty-five (25) foot wide trail easement are: travel by foot, dogsleds, animals, snowmobiles, two and three-wheel vehicles, and small all-terrain vehicles (less than 3,000 lbs. Gross Vehicle Weight (GVW)).

One Acre Site—The uses allowed for a site easement are: vehicle parking (e.g., aircraft, boats, ATV's snowmobiles, cars, trucks), temporary camping, and loading or unloading. Temporary camping, loading or unloading shall be limited to 24 hours.

a. (EIN 17 C4) A one (1) acre site easement upland of the ordinary high water mark in Sec. 11, T. 7 S., R. 46 W., Seward Meridian, on the right bank of the Nushagak River. The uses allowed are those listed above for a one (1) acre site.

b. (EIN 17a C4) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 17 C4 in Sec. 11, T. 7 S., R. 46 W., Seward Meridian, westerly to public lands. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement.

c. (EIN 19 C4) A one (1) acre site easement upland of the ordinary high water mark in Sec. 3, T. 8 S., R. 46 W., Seward Meridian, at the end of a slough off the Nushagak River. The uses allowed are those listed above for a one (1) acre site.

d. (EIN 19a C4) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 19 C4 in Sec. 3, T. 8 S., R. 46 W., Seward Meridian, southeasterly to public lands. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement.

e. (EIN 32 C4) A one (1) acre site easement upland of the ordinary high water mark in Sec. 6, T. 6 S., R. 46 W., Seward Meridian, on the right bank of the Nushagak River. The uses allowed are those listed above for a one (1) acre site.

f. (EIN 32a C4) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 32 C4 in Sec. 6, T. 6 S., R. 46 W., Seward Meridian, westerly to public lands. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement.

g. (EIN 33 C4) A one (1) acre site easement upland of the ordinary high water mark in Secs. 6 and 7, T. 6 S., R. 45 W., Seward Meridian, on the left bank of the Mulchatna River. The uses allowed are those listed above for a one (1) acre site.

h. (EIN 33a C4) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 33 C4 in Secs. 6 and 7, T. 6 S., R. 45 W., Seward Meridian, easterly to public lands. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement.

i. (EIN 35 E) An easement for an existing access trail twenty-five (25) feet in width along the Nushagak River throughout the entire selection. The uses allowed are those listed above for a twenty-five (25) foot wide trail easement. The season of use will be limited to winter use.

The grant of the lands shall be subject to:

1. Issuance of a patent confirming the boundary description of the lands hereinabove granted after approval and filing by the Bureau of Land Management of the official plat of survey covering such lands;

2. Valid exsiting rights therein, if any, including but not limited to those created by any lease (including a lease issued under Sec. 6(g) of the Alaska Statehood Act of July 7, 1958 (72 Stat. 339, 341; 48 U.S.C. Ch. 2, Sec. 6(g))), contract, permit, right-of-way or easement, and the right of the lessee, contractee, permittee or grantee to the complete enjoyment of all rights, privileges and benefits thereby granted to him. Further, pursuant to Sec. 17(b)(2) of the Alaska Native Claims Settlement Act of December 18, 1971 (43 U.S.C. 1601, 1616(b)(2)) (ANCSA), any valid existing right recognized by ANCSA shall continue to have whatever right of access as is now provided for under existing law;

3. Airport lease A-058768, containing approximately 72.12 acres, located within Secs. 29, 30, 31 and 32, T. 8 S., R. 47 W., Seward meridian, issued to the State of Alaska, Department of Transportation and Public Facilities, under the provisions of the act of May 24, 1928 (45 Stat. 728-729; 49 U.S.C. 211-214)); and

4. Requirements of Sec. 14 (c) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 703; 43 U.S.C. 1601, 1613(c)), that the grantee hereunder convey those portions, if any, of the lands hereinabove granted, as are prescribed in said section.

Stuyahok Limited is entitled to conveyance of 115,200 acres of land selected pursuant to Sec. 12(a) of the Alaska Native Claims Settlement Act. To date, approximately 107,004 acres of this entitlement have been approved for conveyance; the remaining entitlement of approximately 8,196 acres will be conveyed at a later date.

Pursuant to Sec. 14(f) of the Alaska Native Claims Settlement Act, conveyance of the subsurface estate of the lands described above shall be granted to Bristol Bay Native Corporation when conveyance is granted to Stuyahok Limited for the surface estate, and shall be subject to the same conditions as the surface conveyance.

Only the following inland water bodies within the described lands, are considered to be navigable;

Nushagak River;
Mulchatna River.

In accordance with Departmental regulation 43 CFR 2650.7(d), notice of this decision is being published once in the **Federal Register** and once a week, for four (4) consecutive weeks, in the Anchorage Times. Any party claiming a property interest in lands affected by this decision may appeal the decision to the Alaska Native Claims Appeal Board, P.O. Box 2433, Anchorage, Alaska 99510, with a copy served upon both the Bureau of Land Management, Alaska State Office, 701 C Street, Box 13, Anchorage, Alaska 99513 and the Regional Solicitor, Office of the Solicitor, 510 L Street, Suite 408, Anchorage, Alaska 99501, also:

1. Any party receiving service of this decision shall have 30 days from the receipt of this decision to file an appeal.

2. Any unknown parties, any parties unable to be located after reasonable efforts have been expended to locate, and any parties who fail or refuse to sign the return receipt shall have until January 14, 1980, to file an appeal.

3. Any party known or unknown who may claim a property interest which is adversely affected by this decision shall be deemed to have waived those rights, which were adversely affected unless an appeal is timely filed with the Alaska Native Claims Appeal Board.

To avoid summary dismissal of the appeal, there must be strict compliance with the regulations governing such appeal. Further information on the manner of and requirements for filing an appeal may be obtained from the Bureau of Land Management, 701 C Street, Box 13, Anchorage, Alaska 99513.

If an appeal is taken, the adverse parties to be served are:

State of Alaska, Division of Lands, 323 East Fourth Avenue, Anchorage, Alaska 99501.
Stuyahok Limited, New Stuyahok, Alaska 99636.
Bristol Bay Native Corporation, P.O. Box 198, Dillingham, Alaska 99576.

Sue A. Wolf,
Chief, Branch of Adjudication.

[FR Doc. 79-38330 Filed 12-13-79; 8:45 am]
BILLING CODE 4310-84-M

[AA-6673-A through AA-6673-K]

Alaska Native Claims Selections

On January 15 and October 23, 1974, Kokhanok Native Corporation, for the Native village of Kokhanok filed selection applications AA-6673-A through AA-6673-K under the provisions of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 701; 43 U.S.C. 1601, 1611 (1976)) (ANCSA), for the surface estate of certain lands in the vicinity of Kokhanok.

On November 14, 1978, the State of Alaska filed general purposes grant selection applications AA-21694, AA-21695, AA-21708, AA-21709, AA-21719, AA-21720, AA-21721, and AA-21722, all as amended, pursuant to Sec. 6(b) of the Alaska Statehood Act of July 7, 1958 (72 Stat. 339, 340; 48 U.S.C. Ch. 2, Sec. 6(b)), for certain lands in the Kokhanok area.

The following described lands have been properly selected by Kokhanok Native Corporation. Section 6(b) of the Alaska Statehood Act of July 7, 1958, provides that the State may select *vacant, unappropriated* and *unreserved* public lands in Alaska.

Therefore, the following State selection applications are hereby rejected as to the following described lands:

Seward Meridian, Alaska (Unsurveyed)

State Selection AA-21694

T. 7 S., R. 30 W.,
Secs. 18 and 19, all;
Secs. 25 to 36, inclusive, all.
Containing approximately 8,907 acres.

State Selection AA–21695

T. 7 S., R. 31 W.,
Sec. 7 excluding Native allotment AA–6507 and Iliamna Lake;
Secs. 13 and 14, all;
Secs. 15 to 22, inclusive, excluding Iliamna Lake;
Sec. 23, excluding U.S. Survey 4672, Native allotment AA–7344 and Iliamna Lake;
Secs. 24 and 25, all;
Sec. 26, excluding Native allotment AA–7344 and Iliamna Lake;
Secs. 27 to 33, inclusive, excluding Iliamna Lake;
Sec. 34, excluding Native allotments AA–6232, AA–7555 Parcels A and B and Iliamna Lake;
Sec. 35, excluding U.S. Survey 4576, Native allotments AA–6232, AA–7555 Parcels A and B and Iliamna Lake; Sec. 36, all.
Containing approximately 8,889 acres
T. 7 S., R. 32 W.,
Sec. 12, excluding Native allotment AA–7527 Parcel B and Iliamna Lake;
Secs. 26 and 27, excluding Iliamna Lake;
Secs. 34, 35 and 36, excluding Iliamna Lake.
Containing approximately 420 acres.

State Selection AA–21708

T. 8 S., R. 30 W.,
Secs. 5 to 8, inclusive, all;
Secs. 17 to 26, inclusive, all;
Sec. 27, excluding ANCSA Sec. 3(e) application AA–9004;
Secs. 28 to 36, inclusive, all.
Containing approximately 15,326 acres.

State Selection AA–21709

T. 8 S., R. 31 W.,
Sec. 1, excluding Native allotment AA–6222;
Sec. 2, excluding Native allotments AA–6222 and A–059683;
Secs. 3, 4 and 5, excluding Iliamna Lake;
Secs. 6 and 7, excluding Native allotment AA–6219 and Iliamna Lake;
Sec. 8, excluding U.S. Survey 3427, Native allotment AA–6211 Parcel D and Iliamna Lake;
Sec. 9, excluding U.S. Survey 3427, Native allotment AA–7546 and Iliamna Lake;
Secs. 10 to 13, inclusive, all;
Sec. 14, excluding Native allotment A–063810 and Iliamna Lake;
Sec. 15, excluding Native allotments AA–6213 Parcel A, A–063810 and Iliamna Lake;
Secs. 16 to 19, inclusive, excluding Iliamna Lake;
Secs. 20 and 21, excluding Native allotment AA–8065 Parcel C and Iliamna Lake;
Secs. 22 and 23, excluding Native allotments AA–7544, A–063810 and Iliamna Lake;
Sec. 24, all;
Sec. 25, excluding U.S. Survey 3228 and Iliamna Lake;
Secs. 26 and 27, excluding Iliamna Lake;
Sec. 28, excluding Native allotments AA–7899, AA–8065 Parcel D and Iliamna Lake;
Sec. 29, excluding Native allotments AA–7898, AA–7899 and Iliamna Lake;
Sec. 30, excluding Native allotment AA–8065 Parcel B and Iliamna Lake;
Sec. 31, excluding Iliamna Lake;
Sec. 32, excluding Native allotments AA–7898, AA–7899 and Iliamna Lake;
Sec. 33, excluding Native allotment AA–7899 and Iliamna Lake;
Sec. 34, excluding Native allotments AA–6259, AA–8065 Parcel A, A–063274 Parcel B and Iliamna Lake;
Sec. 35, excluding Native allotment AA–8252 and Iliamna Lake;
Sec. 36, excluding U.S. Survey 3228, Native allotment AA–8252 and Iliamna Lake.
Containing approximately 11,920 acres.

State Selection AA–21719

T. 9 S., R. 31 W.,
Sec. 1, all;
Sec. 2, excluding Native allotments AA–2714 and A–052690 Parcel B;
Sec. 3, excluding Native allotments AA–2714, AA–6211 Parcel B, AA–7345, AA–8252, A–052510, A–052690 Parcel B and Iliamna Lake;
Sec. 4, excluding Native allotments AA–8063, AA–8252, A–052510 and Iliamna Lake;
Sec. 5, excluding Iliamna Lake;
Sec. 6, excluding Native allotment AA–6123 and Iliamna Lake;
Sec. 7, excluding Iliamna Lake;
Sec. 8, all;
Sec. 9, excluding Native allotment A–052510;
Sec. 10, excluding Native allotments AA–6211 Parcel B, A–052510 and A–052690 Parcel B;
Secs. 15 to 18, inclusive, all.
Containing approximately 7,039 acres.

State Selection AA–21720

T. 9 S., R. 32 W.,
Sec. 1, excluding Native allotment AA–6123 and Iliamna Lake;
Sec. 2, excluding U.S. Survey 5546 and Iliamna Lake;
Sec. 3, excluding Iliamna Lake;
Secs. 4 to 11, inclusive, all;
Sec. 12, excluding Native allotment AA–6260 and Iliamna Lake;
Sec. 13, excluding Native allotment AA–6260;
Secs. 14 to 19, inclusive, all;
Sec. 30, all.
Containing approximately 11,814 acres.

State Selection AA–21721

T. 8 S., R. 33 W.,
Secs. 33 and 34, excluding Iliamna Lake;
Sec. 35, excluding Native allotments AA–6261, AA–6264, AA–6267 and Iliamna Lake;
Sec. 36, excluding U.S. Survey 894, Native allotment AA–6261 and Iliamna Lake.
Containing approximately 250 acres.
T. 9 S., R. 33 W.,
Secs. 1 and 2, all;
Sec. 3, excluding Native allotment AA–6261;
Sec. 4, excluding Native allotments AA–6261, AA–6264 and AA–6267;
Sec. 5, all;
Sec. 6, excluding Iliamna Lake;
Sec. 7, all;
Sec. 8, excluding Native allotment AA–6268;
Sec. 9, excluding Native allotments AA–6263 and AA–6268;
Sec. 10, excluding Native allotment AA–6263;
Secs. 11 and 12, all;
Secs. 13 and 14, excluding Native allotment A–052505;
Secs. 15 and 22, all;
Sec. 23, excluding Native allotments AA–6216, AA–6282 and A–052505;
Sec. 24, excluding Native allotments AA–6216 and A–052505;
Secs. 25, 26 and 27, all.
Containing approximately 12,229 acres.

State Selection AA–21722

T. 9 S., R. 34 W.
Secs. 1 and 2, excluding Iliamna Lake;
Sec. 9, excluding Native allotments AA–6210, AA–6266 and Iliamna Lake;
Sec. 10, excluding Iliamna Lake;
Sec. 11, excluding native allotment AA–6205 and Iliamna Lake;
Sec. 12, all.
Containing approximately 1,665 acres.
Aggregating approximately 78,459 acres.

Further action on the above State selection applications as to those lands not rejected herein, will be taken at a later date. The State selected lands rejected above were not valid selections and will not be charged against the village corporation as State selected lands.

As to the lands described below, the applications submitted by Kokhanok Native Corporation, as amended, are properly filed, and meet the requirements of the Alaska Native Claims Settlement Act and of the regulations issued pursuant thereto. These lands do not include any lawful entry perfected under or being maintained in compliance with laws leading to acquisition of title.

In view of the foregoing, the surface estate of the following described lands, selected pursuant to Sec. 12(a) of ANCSA, aggregating approximately 87,343 acres, is considered proper for acquisition by Kokhanok Native Corporation and is hereby approved for conveyance pursuant to Sec. 14(a) of ANCSA:

Seward Meridian, Alaska (Unsurveyed)

T. 7 S., R. 30 W.,
Secs. 18 and 19, all;
Secs. 25 to 36, inclusive, all.
Containing approximately 8,907 acres.
T. 8 S., R. 30 W.,
Secs. 5 to 8, inclusive, all;
Secs. 17 to 26, inclusive, all;
Sec. 27, excluding ANCSA Sec. 3(e) application AA–9004;
Secs. 28 to 36, inclusive, all.
Containing approximately 15,326 acres.
T. 7 S., R. 31 W.,
Sec. 7, excluding Native allotment AA–6507 and Iliamna Lake;
Secs. 13 and 14, all;
Secs. 15 to 22, inclusive, excluding Iliamna Lake;
Sec. 23, excluding U.S. Survey 4672, Native allotment AA–7344 and Iliamna Lake;
Secs. 24 and 25, all;
Sec. 26, excluding Native allotment AA–7344 and Iliamna Lake;
Secs. 27 to 33, inclusive, excluding Iliamna Lake;

Sec. 34, excluding native allotments AA–6232, AA–7555 Parcels A and B and Iliamna Lake;
Sec. 35, excluding U.S. Survey 4576, Native allotments AA–6232, AA–7555 Parcels A and B and Iliamna Lake;
Sec. 36, all.
Containing approximately 8,889 acres.
T. 8 S., R. 31 W.,
Sec. 1, excluding Native allotment AA–6222;
Sec. 2, excluding Native allotments AA–62222 and A–059683;
Secs. 3, 4 and 5, excluding Iliamna Lake;
Secs. 6 and 7, excluding Native allotment AA–6219 and Iliamna Lake;
Sec. 8, excluding U.S. Survey 3427, Native allotment AA–6211 Parcel D and Iliamna Lake;
Sec. 9, excluding U.S. Survey 3427, Native allotment AA–7546 and Iliamna Lake;
Secs. 10 to 13, inclusive, all;
Sec. 14, excluding Native allotment A–063810 and Iliamna Lake;
Sec. 15, excluding Native allotments AA–6213 Parcel A, A–063810 and Iliamna Lake;
Secs. 16 to 19, inclusive, excluding Iliamna Lake;
Secs. 20 and 21, excluding Native allotment AA–8065 Parcel C and Iliamna Lake;
Secs. 22 and 23, excluding Native allotments AA–7544, A–063810 and Iliamna Lake;
Sec. 24, all;
Sec. 25, excluding U.S. Survey 3228 and Iliamna Lake;
Secs. 26 and 27, excluding Iliamna Lake;
Sec. 28, excluding Native allotments AA–7899, AA–8065 Parcel D and Iliamna Lake;
Sec. 29, excluding native allotments AA–7898, AA–7899 and Iliamna Lake;
Sec. 30, excluding Native allotment AA–8065 Parcel B and Iliamna Lake;
Sec. 31, excluding Iliamna Lake;
Sec. 32, excluding Native allotments AA–7898, AA–7899 and Iliamna Lake;
Sec. 33, excluding Native allotment AA–7899 and Iliamna Lake;
Sec. 34, excluding Native allotments AA–6259, AA–8065 Parcel A, A–063274 Parcel B and Iliamna Lake;
Sec. 35, excluding Native allotment AA–8252 and Iliamna Lake;
Sec. 36, excluding U.S. Survey 3228, Native allotment AA–8252 and Iliamna Lake.
Containing approximately 11,920 acres.
T. 9 S., R 31 W.,
Sec. 1, all;
Sec. 2, excluding Native allotments AA–2714 and A–052690 Parcel B;
Sec. 3, excluding Native allotments AA–2714, AA–6211 Parcel B, AA–7345, AA–8252, A–052510, A–052690 Parcel B and Iliamna Lake;
Sec. 4, excluding Native allotments AA–8063, AA–8252, A–052510 and Iliamna Lake;
Sec. 5, excluding Iliamna Lake;
Sec. 6, excluding Native allotment AA–6123 and Iliamna Lake;
Sec. 7, excluding Iliamna Lake;
Sec. 8, all;
Sec. 9, excluding Native allotment A–052510;
Sec. 10, excluding Native allotments AA–6211 Parcel B, A–052510 and A–052690 Parcel B;
Secs. 15 to 18, inclusive, all.
Containing approximately 7,039 acres.
T. 7 S., R. 32 W.
Sec. 12, excluding Native allotment AA–7527 Parcel B and Iliamna Lake;
Secs. 26 and 27, excluding Iliamna Lake;
Secs. 34, 35 and 36, excluding Iliamna Lake.
Containing approximately 420 acres.
T. 8 S., R. 32 W.,
Sec. 1, excluding Native allotment AA–6210 and Iliamna Lake;
Secs. 2 to 5, inclusive, excluding Iliamna Lake;
Secs. 8 and 9, exluding Iliamna Lake;
Secs. 10 and 11, all;
Sec. 12, excluding Native allotment AA–6219;
Sec. 13, all;
Secs. 14, 15 and 16, excluding Iliamna Lake;
Secs. 21 to 27, inclusive, excluding Iliamna Lake;
Sec. 29, excluding Iliamna Lake;
Secs. 31 to 36, inclusive, excluding Iliamna Lake.
Containing approximately 8,884 acres.
T. 9 S., R. 32 W.,
Sec. 1, excluding Native allotment AA–6123 and Iliamna Lake;
Sec. 2, exluding U.S. Survey 5546 and Iliamna Lake;
Sec. 3, excluding Iliamna Lake;
Secs. 4 to 11, inclusive, all;
Sec. 12, excluding Native allotment AA–6260 and Iliamna Lake;
Sec. 13, excluding Native allotment AA–6260;
Secs. 14 to 19, inclusive, all;
Sec. 30, all.
Containing approximately 11,814 acres.
T. 8 S., R. 33 W.,
Secs. 33 and 34, excluding Iliamna Lake;
Sec. 35, excluding Native allotments AA–6261, AA–6264, AA–6267 and Iliamna Lake;
Sec. 36, excluding U.S. Survey 894, Native allotment AA–6261 and Iliamna Lake.
Containing approximately 250 acres.
T. 9 S., R. 33 W.,
Secs. 1 and 2, all;
Sec. 3, excluding Native allotment AA–6261;
Sec. 4, excluding Native allotments AA–6261, AA–6264 and AA–6267;
Sec. 5, all;
Sec. 6, excluding Iliamna Lake;
Sec. 7, all;
Sec. 8, excluding Native allotment AA–6268;
Sec. 9, excluding Native allotments AA–6263 and AA–6268;
Sec. 10, excluding Native allotment AA–6263;
Secs. 11 and 12, all;
Secs. 13 and 14, excluding Native allotment A–052505;
Secs. 15 and 22, all;
Sec. 23, excluding Native allotments AA–6216, AA–6282 and A–052505;
Sec. 24, excluding Native allotments AA–6216 and A–052505;
Secs. 25, 26 and 27, all.
Containing approximately 12,229 acres.
T. 9 S., R. 34 W.,
Secs. 1 and 2, excluding Iliamna Lake;
Sec. 9, excluding Native allotments AA–6210, AA–6266 and Iliamna Lake;
Sec. 10, excluding Iliamna Lake;
Sec. 11, excluding Native allotment AA–6205 and Iliamna Lake;
Sec. 12, all.
Containing approximately 1,665 acres.
Aggregating approximately 87,343 acres.

The conveyance issued for the surface estate of the lands described above shall contain the following reservations to the United States:

1. The subsurface estate therein, and all rights, privileges, immunities, and appurtenances, of whatsoever nature, accruing unto said estate pursuant to the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 704; 43 U.S.C. 1601, 1613(f)); and

2. Pursuant to Sec. 17(b) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 708; 43 U.S.C. 1601, 1616(b)), the following public easements, referenced by easement identification number (EIN) on the easement maps attached to this document, copies of which will be found in case file AA–6673–EE, are reserved to the United States. All easements are subject to applicable Federal, State, or municipal corporation regulation. The following is a listing of uses allowed for each type of easement. Any uses which are not specifically listed are prohibited.

25 Foot Trail—The uses allowed on a twenty-five (25) foot wide trail easement are: travel by foot, dogsled, animals, snowmobiles, two and three-wheel vehicles, and small all-terrain vehicles (less than 3,000 lbs. Gross Vehicle Weight (GVW)).

One Acre Site—The uses allowed for a site easement are: Vehicle parking (e.g., aircraft, boats, ATV's snowmobiles, cars, trucks), temporary camping, loading, or unloading shall be limited to 24 hours.

a. (EIN 4a D9) A one (1) acre site easement upland of the ordinary high water mark in Sec. 35, T. 8 S., R. 33 W., Seward Meridian, at the mouth of Gibraltar Greek on the south shoreline of Lake Iliamna. The uses allowed are those listed above for a one (1) acre site.

b. (EIN 8a D9) A one (1) acre site easement upland of the ordinary high water mark in Sec. 3, T. 9 S., R. 31 W., Seward Meridian, at the mouth of Sid Larson Bay Creek on the east shoreline of Sid Larson Bay. The uses allowed are those listed above for a one (1) acre site.

c. (EIN 12b D9) A one (1) acre site easement upland of the ordinary high water mark in Sec. 35, T. 7 S., R. 31 W., Seward Meridian, at the mouth of and on the left bank of the Copper River on the east shore of Copper River Bay. The uses allowed are those listed above for a one (1) acre site.

d. (EIN 12k D9) A one (1) acre site easement upland of the ordinary high water mark in Sec. 34, T. 7 S., R. 30 W., Seward Meridian, at the mouth of an unnamed stream on the left bank (looking downstream) of the Copper River. The uses allowed are those listed above for a one (1) acre site.

e. (EIN 12n E) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 12k D9 on the Copper River in Sec. 34, T. 7 S., R. 30 W., Seward Meridian, thence southwesterly

approximately one-half (½) mile to the unnamed lake in the same section. The uses allowed are those listed above for a twenty-five (25) foot wide trail.

f. (EIN 12o E) An easement for a proposed access trail twenty-five (25) feet in width from the unnamed lake in Secs. 33 and 34, T. 7 S., R. 30 W., Seward Meridian, thence southerly to public land. The uses allowed are those listed above for a twenty-five (25) foot wide trail.

g. (EIN 17b C5) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 4a D9 on the south shore of Lake Iliamna in Sec. 35, T. 8 S., R. 33 W., Seward Meridian, thence southerly to public land. The uses allowed are those listed above for a twenty-five (25) foot wide trail.

h. (EIN 21 E) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 8a D9 at the mouth of Sid Larson Bay Creek in Sec. 3, T. 9 S., R. 31 W., Seward Meridian, thence approximately three-quarters (¾) of a mile southesterly to public land. The uses allowed are those listed above for a twenty-five (25) foot wide trail.

i. (EIN 22 E) A one (1) acre site easement upland of the ordinary high water mark in Sec. 7, T. 9 S., R. 31 W., Seward Meridian, on the south shore of an unnamed bay within Kakhonak Bay. The uses allowed are those listed above for a one (1) acre site.

j. (EIN 22a E) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 22 E on the south shore of Kakhonak Bay in Sec. 7, T. 9 S., R. 31 W., Seward Meridian, thence approximately one and a half (1½) miles southerly to public land. The uses allowed are those listed above for a twenty-five (25) foot wide trail.

k. (EIN 23 E) A one (1) acre site easement upland of the ordinary high water mark in Sec. 24, T. 8 S., R. 30 W., Seward Meridian, on the northwest shore of Kakhonak Lake. The uses allowed are those listed above for a one (1) acre site.

l. (EIN 23a E) An easement for a proposed access trail twenty-five (25) feet in width from site easement EIN 23 E on Kakhonak Lake in Sec. 24, T. 8 S., R. 30 W., Seward Meridian, thence northerly approximately one-quarter (¼) mile to public land.

The uses allowed are those listed above for a twenty-five (25) footwide trail.

The grant of the above-described lands shall be subject to:

1. Issuance of a patent confirming the boundary description of the unsurveyed lands hereinabove granted after approval and filing by the Bureau of Land Management of the official plat of survey covering such lands;

2. Valid existing rights therein, if any, including but not limited to those created by any lease (including a lease issued under Sec. 6(g) of the Alaska Statehood Act of July 7, 1958 [72 Stat. 339, 341; 48 U.S.C. Ch. 2, Sec. 6(g)]), contract, permit, right-of-way, or easement, and the right of the lessee, contractee, permittee, or grantee to the complete enjoyment of all rights, privileges, and benefits thereby granted to him. Further pursuant to Sec. 17(b)(2) of the Alaska Native Claims Settlement Act of December 18, 1971 (43 U.S.C. 1601, 1616(b)(2) (ANCSA), any valid existing right recognized by ANCSA shall continue to have whatever right of access as is now provided for under existing law;

3. Airport lease A–058767, containing approximately 82 acres, located within SW¼ Sec. 29 and N½ Sec. 32, T. 8 S., R. 32 W., Seward Meridian, issued to the State of Alaska, Department of Transportation and Public Facilities, under the provisions of the act of May 24, 1928 (45 Stat. 728–729; 49 U.S.C. 211–214); and

4. Requirements of Sec. 14(c) of the Alaska Native Claims Settlement Act of December 18, 1971 (85 Stat. 688, 703; 43 U.S.C. 1601, 1613(c)), that the grantee hereunder convey those portions, if any, of the lands hereinabove granted, as are prescribed in said section.

Kokhanok Native Corporation is entitled to conveyance of 92,160 acres of land selected pursuant to Sec. 12(a) of ANCSA. Together with the lands herein approved, the total acreage conveyed or approved for conveyance is approximately 87,343 acres. The remaining entitlement of approximately 4,817 acres will be conveyed at a later date.

Pursuant to Sec. 14(f) of ANCSA, conveyance of the subsurface estate of the lands described above shall be issued to Bristol Bay Native Corporation when the surface estate is conveyed to Kokhanok Native Corporation, and shall be subject to the same conditions as the surface conveyance.

Within the above described lands, only the following inland water body is considered to be navigable:

Iliamna Lake.

In accordance with Departmental regulation 43 CFR 2650.7(d), notice of this decision is being published once in the **Federal Register** and once a week, for four (4) consecutive weeks, in the Anchorage Times. Any party claiming a property interest in lands affected by this decision may appeal the decision to the Alaska Native Claims Appeal Board, P.O. Box 2433, Anchorage, Alaska 99510 with a copy served upon both the Bureau of Land Management, Alaska State Office, 701 C Street, Box 13, Anchorage, Alaska 99513 and the Regional Solicitor, Office of the Solicitor, 510 L Street, Suite 408, Anchorage, Alaska 99501, also:

1. Any party receiving service of this decision shall have 30 days from the receipt of this decision to file an appeal.

2. Any unknown parties, any parties unable to be located after reasonable efforts have been expended to locate, and any parties who failed or refused to sign the return receipt shall have until January 14, 1980, to file an appeal.

3. Any party known or unknown who may claim a property interest which is adversely affected by this decision shall be deemed to have waived those rights which were adversely affected unless an appeal is timely filed with the Alaska Native Claims Appeal Board.

To avoid summary dismissal of the appeal, there must be strict compliance with the regulations governing such appeals. Further information on the manner of and requirements for filing an appeal may be obtained from the Bureau of Land Management, 701 C Street, Box 13, Anchorage, Alaska 99513.

If an appeal is taken, the parties to be served with a copy of the notice of appeal are:

State of Alaska, Department of Natural Resources, Division of Research and Development, 323 East Fourth Avenue, Anchorage, Alaska 99501.
Kokhanok Native Corporation, Kokhanok, Alaska 99606.
Bristol Bay Native Corporation, P.O. Box 198, Dillingham, Alaska 99576.

Sue A. Wolf,

Chief, Branch of Adjudication.

[FR Doc. 79–38331 Filed 12–13–79; 8:45 am]

BILLING CODE 4310–84–M

Office of Surface Mining and Reclamation

[Federal Lease No. C–27103]

Availability for Public Review of Proposed Major Modification to the Hawk's Nest Mine ("East Lease")

AGENCY: Office of Surface Mining Reclamation and Enforcement, Department of the Interior.

ACTION: Availability for Public Review of Proposed Major Modification to a Coal Mining and Reclamation Plan.

SUMMARY: Pursuant to § 211.5 of Title 30 and § 1500.2 of Title 40, Code of Federal Regulations, notice is given that the Office of Surface Mining has received a major modification to an existing mining and reclamation plan. The proposed modification is described below:

Location of Lands To Be Affected by Modification

Applicant: Western Slope Carbon, Inc.
Mine Name: Hawk's Nest.
State: Colorado.
County: Gunnison.
Township, Range, Section: T. 13 S., R. 90 W., 6th P.M., Section 1: Lots 13, 14, 19, 20; Section 12: Lots 1, 2, and those parts of Lot 5, SW¼ NE¼ and the SE¼ NW¼ north of the North Fork of the Gunnison River.
Office of Surface Mining Reference No.: CO 0014.

This proposal is for an increase in the size of the Hawk's Nest Mine permit area. The proposal was submitted as a result of Western Slope Carbon, Inc. obtaining an additional 290 acres of coal land (Federal Coal Lease C–27103) adjoining the currently operating Hawk's Nest East Mine. Coal production at the Hawk's Nest Mine in 1978 was 330,997 tons, which will be increased to a projected 600,000 tons in 1980 and 1 million tons in 1985. These projections are independent of the proposed modification however, if the application is approved, of the above total projected coal production an estimated 400,000 tons of coal would be removed from the E seam in the East Lease annually.

The proposed mining of the East Lease would be accomplished by driving two sets of five entry mains from the existing workings in East Mine into the East Lease. Production sections will be turned north off of the eastward trending main entries. The surface disturbance would be approximately one acre and would consist of a ventilation shaft and an access road to the shaft portal. The surface disturbance associated with subsidence may affect approximately 290 acres.

The Hawk's Nest Mine was briefly discussed in the Regional analysis of the West-Central Colorado Coal Final Environmental Impact Statement issued by the Bureau of Land Management (BLM) in March of 1979. In addition the Bureau of Land Management prepared an environmental assessment on the coal lease application (March 13, 1979). Both of these documents are available for review at the BLM District Office in Montrose and in the BLM State Office, 1600 Broadway St., Room 700, Colorado State Bank Building, Denver, Colorado 80202.

This notice is issued at this time for the convenience of the public. The Office of Surface Mining has not yet determined whether the proposed modification is technically adequate. It is possible that OSM will request additional information from the company during the forthcoming technical review. Any further information so obtained would also be available for public review.

No action on the proposed coal mining and reclamation plan shall be taken by the Regional Director for a period of 30 days after publication of this Notice of Availability in the **Federal Register.** Prior to taking any action on this proposed amendment, the Office of Surface Mining will issue a Notice of Pending Decision pursuant to § 211.5(c)(2) of Title 30, Code of Federal Regulations.

The mine plan modification submitted by Western Slope Carbon, Inc. for the East Lease is available for public review during normal working hours in the Library, Office of Surface Mining, Region V, second floor, Brooks Towers, 1020 15th Street, Denver, Colorado. Comments on the proposed modification may be submitted during the 30-day period after publication of this notice to the Regional Director, Office of Surface Mining, at the same address.

FOR FURTHER INFORMATION CONTACT:

Thomas Pike, Office of Surface Mining, Region V, Brooks Towers, 1020 15th Street, Denver, Colorado 80202 telephone: (303) 837–3773
John Hardaway, Office of Surface Mining, Region V, Brooks Towers, 1020 15th Street, Denver, Colorado 80202 telephone: (303) 837–3773

Donald A. Crane,

Regional Director.

[FR Doc. 79–38394 Filed 12–13–79; 8:45 am]

BILLING CODE 4310–05–M

DEPARTMENT OF LABOR

Employment and Training Administration

Employment Transfer and Business Competition Determinations Under the Rural Development Act; Applications

The organizations listed in the attachment have applied to the Secretary of Agriculture for financial assistance in the form of grants, loans, or loan guarantees in order to establish or improve facilities at the locations listed for the purposes given in the attached list. The financial assistance would be authorized by the Consolidated Farm and Rural Development Act, as amended, 7 U.S.C. 1924(b), 1932, or 1942(b).

The Act requires the Secretary of Labor to determine whether such Federal assistance is calculated to or is likely to result in the transfer from one area to another of any employment or busines activity provided by operations of the applicant. It is permissible to assist the establishment of a new branch, affiliate or subsidiary, only if this will not result in increased unemployment in the place of present operations and there is no reason to believe the new facility is being established with the intention of closing down an operating facility.

The Act also prohibits such assistance if the Secretary of Labor determines that it is calculated to or is likely to result in an increase in the production of goods, materials, or commodities, or the availability of services or facilities in the area, when there is not sufficient demand for sucn goods, materials, commodities, services, or facilities to employ the efficient capacity of existing competitive commercial or industrial enterprises, unless such financial or other assistance will not have an adverse effect upon existing competitive enterprises in the area.

The Secretary of Labor's review and certification procedures are set forth at 29 CFR Part 75. In determining whether the applications should be approved or denied, the Secretary will take into consideration the following factors:

1. The overall employment and unemployment situation in the local area in which the proposed facility will be located.

2. Employment trends in the same industry in the local area.

3. The potential effect of the new facility upon the local labor market, with particular emphasis upon its potential impact upon competitive enterprises in the same area.

4. The competitive effect upon other facilities in the same industry located in other areas (where such competition is a factor).

5. In the case of applications involving the establishment of branch plants or facilities, the potential effect of such new facilities on other existing plants or facilities operated by the applicant.

All persons wishing to bring to the attention of the Secretary of Labor any information pertinent to the determinations which must be made regarding these applications are invited to submit such information in writing within two weeks of publication of this notice. Comments received after the two-week period may not be considered. Send comments to: Administrator, Employment and Training Administration, 601 D Street, NW., Washington, D.C. 20013.

Signed at Washington, D. C., this 5th day of December 1979.

Earl T. Klein,

Director, Office of Program Services.

Applications Received During the Week Ending December 8, 1979

Name of applicant and location of enterprise	Principal product or activity
Kleer-Vu Industries, Inc., Brownsville, Tennessee.	Bindery establishment.
Winner Chemicals, Inc., Paulsboro, New Jersey.	Manufacture of plastic containers (blow-molding bottles) for industrial use.

[FR Doc. 79–37982 Filed 12–13–79; 8:45 am]

BILLING CODE 4510–30–M

Allocations Under Title II and Title VI of the Comprehensive Employment and Training Act ("CETA"); Proposed Discretionary Allocations for Fiscal Year 1980

AGENCY: Employment and Training Administration, Labor.

ACTION: Notice.

SUMMARY: This notice lists the proposed allocation of funds under Title II–A, B, C, and D and Title VI of the Comprehensive Employment and Training Act. The purpose of this notice is to afford the public the opportunity to comment on the discretionary allocations before distribution is made.

FOR FURTHER INFORMATION CONTACT: T. James Walker, Administrator, Administration and Management, 601 D Street NW.—Room 4000, Washington, D.C. 20213, telephone No. (202) 376–7563.

DATES: Pursuant to section 123(d)(3) of Pub. L. 95–524, the proposed distribution which follows is published for the purpose of receiving public comment on or before January 14, 1980. You are asked to address your comments in writing to T. James Walker at the above address.

SUPPLEMENTARY INFORMATION:

Table I

The allocation for Fiscal Year 1980, of $90 million in discretionary funds under Title II D of the Comprehensive Employment and Training Act (CETA) is proposed to aid prime sponsors experiencing substantial reductions in funding. Title II–D funds provide for transitional employment opportunities for the economically disadvantaged.

In order to ensure an equitable distribution of the discretionary resources available, the Department has analyzed each prime sponsor's Fiscal Year 1979 Title II–D allocation and compared it with the Fiscal Year 1980 allocation and the overall reduction in Title II–D funds between Fiscal Year 1979 and Fiscal Year 1980.

The Department established the policy that the Fiscal Year 1980 Title II–D discretionary funds should be used to assist those prime sponsors which had decreases in allocations between Fiscal Year 1979 and Fiscal Year 1980 in excess of 25 percent. This decision results in the available discretionary funds being provided to those prime sponsors which experienced the most severe percentage cuts in Title II–D funding levels. The 310 prime sponsors which qualified for the discretionary funds (i.e. which had an allocation decrease of over 25 percent) received an amount of funds equal to 38.7 percent of the portion of their decrease in excess of 25 percent.

The Native Americans program was treated as another prime sponsor in determining who was eligible for and the amount of discretionary funds to be provided to Indian programs. The funds will be allocated to Indian prime sponsors through the office of Indian and Native American Programs.

Table II

Title VI is a countercyclical program designed to assist low income unemployed individuals by offering limited-term employment opportunities in the public sector.

The proposed Title VI discretionary funds are being targeted to high unemployment areas in accordance with the language contained in the Labor/HEW Appropriation Act Conference Report. The targeted funds are being distributed only to CETA prime sponsors eligible for Title VI funds which serve areas with an average unemployment rate of at least 6.5 percent for the reference period of June 1978 through May 1979, the latest 12-month period for which data are available. No prime sponsor will receive targeted funds which would result in a total Fiscal Year 1980 availability in excess of its Fiscal Year 1979 total availability.

Table III

The reauthorized Comprehensive Employment and Training Act requires that the Secretary of Labor use discretionary funds to hold harmless the "prime sponsor serving areas within those standard metropolitan statistical areas and central cities for which current population surveys were used to determine annual unemployment data prior to January 1, 1979."

Note.—See Section 202(f)(2)B); Section 233(d)(1)(B), and Section 604(b)(1)(B).

To carry out this provision, the Department allocated all the formula allocated funds using the current methodology for estimating unemployment; then current population survey (CPS) data were substituted for those areas which would be positively impacted by these data and the allocations again were computed. Each area received the higher of either allocation (current methodology for estimating unemployment or the CPS methodology). The positive dollar differences between the two methods are to be covered by the Secretary's discretionary fund.

Table III includes the CPS adjustment by Title for the affected prime sponsors.

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*

	Allocation
Bridgeport Consortium	543,281
Hartford Consortium	581,336
New Haven Consortium	758,360
Stamford Consortium	189,846
Waterbury City	130,202
Balance of Connecticut	2,519,572
Connecticut	4,732,297
Penobscot/Hancock Consortium	77,164
Cumberland County	207,945
Balance of Maine	297,194
Kennebeck County	110,898
York County	103,119
Maine	796,320
Boston City	432,949
Emhrda Consortium	309,725
New Bedford Consortium	111,802
Hampden County Consortium	788,608
Worcester Consortium	673,376
Lowell Consortium	357,903
Fall River Consortium	41,646
Balance of Massachusetts	3,951,159
Pittsfield Consortium	90,868
Massachusetts	6,757,836
Hillsborough County	290,396
Balance of New Hampshire	617,851
New Hampshire	908,247
Providence City	82,907
Balance of Rhode Island	295,790
Rhode Island	378,697
State of Vermont, total	536,862
Region I	14,110,259
Atlantic County	18,723
Bergen County	691,377
Burlington County	48,267
Balance of Camden County	112,862
Camden City	14,493
Balance of Essex County	238,400
Balance of Mercer County	153,937
Middlesex County	514,959
Morris County	265,022
Ocean County	1,453
Balance of Passaic County	120,078
Paterson City	714
Somerset County	76,584
Trenton City	31,315
Balance of Union County	59,936
Balance of New Jersey	236,660
New Jersey	2,584,800
Balance of Albany County	46,620
Broome County	123,677
Chautauqua Consortium	112,073
Chemung County	62,222
Dutchess County	93,888
Erie Consortium	177,678
Hempstead/Long Beach Consortium	364,080
Rochester City	263,233
Balance of Monroe County	251,323
Balance of Nassau County Consortium	261,380
Niagara County	50,509
Oneida County	179,271
Balance of Onondaga County	76,360
Orange County	12,161
Oswego County	31,044
Rensselaer County	6,279
Rockland County	109,449
Saratoga County	51,554
Schenectady County	107,551
Steuben County	70,180
Suffolk Consortium	715,639
Syracuse City	49,616

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*—Continued

	Allocation
Ulster County	105,405
Balance of New York	289,304
New York City	221,137
New York	3,831,423
Bayamon Municipio	50,454
Mayaguez Municipio	142,956
San Juan Municipio	757,813
Puerto Rico	951,135
Virgin Islands, total	15,660
Region II	7,396,028
Delaware: Wilmington City, total	14,798
District of Columbia, total	37,917
Western Maryland Consortium	89,451
Frederick County	47,096
Maryland	133,547
Lehigh Valley Consortium	97,537
Chester County	85,662
Delaware County	207,439
Berks County	91,690
Schuylkill/Carbon Consortium	12,636
Lancaster County	167,189
Lebanon County	146,895
Balance of Erie County	14,719
Balance of Allegheny County	903,143
Pittsburgh City	309,324
Beaver County	130,016
Washington County	78,446
Westmoreland County	24,954
Tri-County Consortium	11,613
Lawrence County	35,746
Mercer County Consortium	148,709
Southern Allegany Consortium	208,188
Susquehanna Consortium	66,870
York County	136,695
Franklin County	105,479
Balance of Pennsylvania	225,955
Centre County	5,459
Pennsylvania	3,054,262
Peninsula Consortium	55,002
Ramps Consortium	74,641
Roanoke Consortium	226,689
Virginia	336,332
West Virginia Statewide, total	268,444
Region III	3,845,300
Alabama: Birmingham Consortium	70,317
Brevard County	97,550
Broward Consortium	1,241,636
Miami/Dade Consortium	1,010,112
Lee County	256,294
Orange County/Orlando Consortium	168,355
Manatee County	173,804
Marion County	2,293
Palm Beach County	195,022
Seminole County	93,962
St. Petersburg Consortium	364,367
Sarasota County	205,021
Tampa City	361,595
Balance of Hillsborough County	348,809
Volusia County	222,234
Florida	4,701,395
Balance of Georgia	1,648,830
CSRA Consortium	89,496

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*—Continued

	Allocation
Atlanta City	593,843
Cobb County	320,761
Columbus Area Consortium	5,154
Balance of DeKalb County	239,355
Balance of Fulton County	193,165
Mid-Georgia Consortium	21,208
Savannah/Chatham Consortium	46,369
Georgia	3,155,183
Blue Grass Manpower Consortium	40,873
Louisville/Jefferson Consortium	167,802
Kenton County	97,650
Kentucky	306,125
Mississippi Jackson Consortium	114,997
Balance of North Carolina	2,622,188
Alamance County	186,976
Buncombe County	139,979
Cumberland County	62,052
Charlotte City	272,286
Durham City	59,418
Gaston County	89,662
Greensboro Consortium	226,087
Raleigh City	149,890
Robeson County	19,110
Winston Salem Consortium	193,307
Davidson County	54,313
North Carolina	4,075,268
South Carolina State Consortium	1,668,008
Nashville/Davidson County	164,584
Sullivans County	45,940
Tennessee	210,524
Region IV	14,301,817
Chicago City	23,040
Balance of Cook County	972,627
Lake County	266,629
McHenry County	71,025
Rock Island County	141,014
Tazewell County	4,607
LaSalle County	16,014
Rockford Consortium	470,633
Will/Grundy Consortium	206,478
Madison County Consortium	109,922
St. Clair Consortium	260,821
Peoria Consortium	37,314
Balance of Illinois	260,903
Illinois	2,841,025
Hammond City	33,298
Balance of Lake County	78,549
Balance of St. Joseph County	9,015
Vigo County	23,751
Indianapolis City	235,900
Ft. Wayne Consortium	311,548
Indiana	692,061
Lansing Consortium	201,321
Region II Consortium	267,641
Grand Rapids Consortium	267,702
Dearborn City	83,533
Livonia City	23,249
Bay County	39,093
Kalamazoo County	71,825
Oakland County	895,512
Ottawa County	157,527
Saginaw County	17,478
St. Clair County	217,046
Balance of Wayne County	608,796
Ann Arbor City	96,434
Balance of Washtenaw County	55,375

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*—Continued

	Allocation
Mid-Counties Consortium	114,179
Michigan	3,116,711
Dakota County	82,949
Balance of Ramsey County	124,355
St. Paul City	381,679
Quad Counties Consortium	377,171
Region III Consortium	230,510
Deluth City	137,351
Balance of Minnesota	619,721
Minnesota Rural CEP	189,005
Balance of Hennepin County	186,221
Minneapolis City	679,520
Minnesota	3,008,482
Columbiana County	61,933
Trumbull County	207,580
Balance of Mahoning County	190,123
Youngstown City	66,907
Cuyahoga Consortium	977,676
Cincinnati City	15,743
Butler County	236,298
Clark County	138,967
Balance of Hamilton County	201,586
Lorain County	131,890
Akron Consortium	374,471
Canton Consortium	668,105
Columbus Consortium	626,056
Central Ohio Rural Consortium	62,440
Toledo Consortium	86,285
Balance of Ohio	1,465,824
Portage County	295,240
Scioto County	196,943
Lake County	182,069
Dayton City	72,981
Montgomery/Preble Consortium	291,576
Ohio	6,550,693
Milwaukee County	985,357
Winne/Fond Consortium	174,078
Trico CETAC	173,749
Wisconsin	1,333,184
Region V	17,542,156
Arkansas: Central Arkansas Consortium	49,251
Baton Rouge City	212,273
Calcasieu/Jeff Consortium	66,894
Ouachita Parish	86,571
New Orleans City	346,601
Jefferson Parish	285,907
Louisiana	998,246
Albuquerque Consortium	396,670
Balance of New Mexico	291,354
New Mexico	688,024
Comance County	41,220
Balance of Oklahoma County	82,114
Oklahoma City Consortium	283,653
Balance of Cleveland County	78,626
Tulsa Consortium	189,434
Balance of Oklahoma	367,581
Oklahoma	1,042,628
Texarkana Consortium—Texas	22,735
Texas Panhandle Consortium	26,411
Capital Area Consortium	115,491
Coastal Bend Consortium	346,666
Dallas County Consortium	22,763
West Central Texas Consortium	44,834
El Paso Consortium	5,668

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*—Continued

	Allocation
Balance of Tarrant County	30,616
Galveston County	132,732
Central Texas Consortium	58,332
Alamo Consortium	982,857
Region XI Consortium	42,978
Webb County	46,587
Gulf Coast Consortium	2,385
East Texas Manpower Consortium	110,486
Balance of Texas	344,611
Texas	2,316,152
Region VI	5,094,301
Linn County Manpower Consortium	25,884
Davenport/Scott Consortium	3,380
Iowa	29,264
Kansas City Consortium	136,784
Wichita City	45,660
Topeka Consortium	29,279
Kansas	211,723
Balance of Missouri	1,480,418
Springfield City	74,517
Balance of Jackson County	45,197
Kansas City Consortium	1,022,384
Jefferson/Franklin Consortium	257,566
St. Louis County	358,493
St. Louis City	296,090
Independence City	81,979
St. Charles County	165,965
Missouri	3,782,609
Lincoln City	13,452
Omaha Consortium	122,925
Nebraska	436,377
Region VII	4,459,973
Adams County	80,950
Arapahoe County	42,781
Colorado Springs Consortium	19,542
Denver City/County	262,535
Jefferson County Consortium	49,245
Lanmer County	6,335
Pueblo County	77,404
Colorado	538,792
Butte Rural CEP	78,052
Balance of Montana	609,995
Montana	688,047
State of North Dakota, total	225,730
South Dakota Minnehaha County, total	15,802
Utah Statewide Consortium, total	806,427
State of Wyoming, total	62,549
Region VIII	2,337,347
Phoenix City	1,211,137
Balance of Maricopa County	645,990
Tucson City	155,869
Balance of Pima County	400,064
Arizona	2,613,060
Balance of Alameda County	602,792
Berkeley City	71,355
Balance of Contra Costa County	510,932
Marin County	113,305
Oakland City	205,747
Richmond City	45,183
San Francisco City/County	483,374

Table I.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Title IID Discretionary Allocations Eligible Prime Sponsors, Nov. 26, 1979*—Continued

	Allocation
San Mateo County	537,188
Sonoma County	97,302
Glendale City	185,302
Long Beach City	354,510
Balance of Los Angeles County	3,180,941
Los Angeles City	2,137,745
Orange County Manpower Consortium	1,349,440
Pasadena City	80,958
Torrance City	169,003
Humboldt County	1,064
Santa Clara Valley	550,527
Sunnyvale City	77,954
Yolo County	23,205
Santa Cruz County	110,088
Inland Manpower Association	974,862
San Luis Obispo County	89,148
San Diego RETC	2,492,693
California	14,444,618
Balance of Nevada	117,421
Las Vegas Consortium	695,234
Washoe County	114,562
Nevada	927,217
American Samoa, total	8,105
Guam, total	83,659
Pacific Islands, total	105,579
Region IX	18,182,238
Portland City	130,652
Balance of Clackamas County	58,372
Multnomah/Washington Consortium	330,709
Mid-Willamette Valley Consortium	15,471
Oregon	535,204
Clark County	18,421
King/Snohomish Consortium	1,303,327
Kitsap County	126,661
Washington	1,448,409
Region X	1,983,613
State and local total	89,243,032
Native Americans	756,968
National total	90,000,000

Table II.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Fiscal Year 1980 Title VI Discretionary Allocation, Nov. 26, 1979*

	Allocation
Connecticut: Waterbury City	113,879
Maine: Balance of Maine	486,454
Boston City	887,758
Emhrda Consortium	368,219
New Bedford Consortium	259,249
Brockton Consortium	206,568
Fall River Consortium	173,120
Pittsfield Consortium	162,989
Massachusetts	2,057,903
Providence City	210,636

Table II.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Fiscal Year 1980 Title VI Discretionary Allocation, Nov. 26, 1979*—Continued

	Allocation
Balance of Rhode Island	700,624
Rhode Island	911,260
Region I	3,569,496
Atlantic County	294,186
Burlington County	329,567
Camden City	210,755
Cumberland County	212,373
Elizabeth City	167,782
Balance of Essex County	536,075
Gloucester County	232,110
Balance of Hudson County	617,413
Jersey City	355,347
Monmouth County	556,455
Newark City	798,035
Ocean County	335,789
Balance of Passaic County	339,851
Paterson City	285,193
Trenton City	133,522
Balance of Union County	408,871
Balance of New Jersey	455,545
New Jersey	6,268,869
Buffalo City	796,120
Chautauqua Consortium	252,034
Erie Consortium	615,295
Hempstead/Long Beach Consortium	799,340
Niagara County	293,974
Orange County	253,820
Oswego County	148,303
St. Lawrence County	159,846
Suffolk Consortium	1,203,447
Syracuse City	193,858
Ulster County	157,306
Westchester Consortium	866,208
Yonkers City	309,787
Balance of New York	1,941,193
New York City	8,924,959
New York	16,915,490
Bayamon Municipio	168,783
Caguas Municipio	196,899
Carolina Municipio	101,118
Mayaguez Municipio	120,330
Ponce Municipio	273,921
San Juan Municipio	378,286
Balance of Puerto Rico	5,535,104
Puerto Rico	6,774,441
Region II	29,958,800
Delaware Manpower Consortium	529,057
Wilmington City	134,739
Delaware	663,796
District of Columbia, total	929,377
Balance of Maryland	497,903
Baltimore Consortium	1,906,786
Western Maryland Consortium	271,743
Maryland	2,676,432
Bucks County	425,014
Delaware County	546,157
Philadelphia City/County	2,818,779
Balance of Lackawanna County	164,334
Scranton City	113,772
Luzerne County	448,828
Schuylkill/Carbon Consortium	237,290
Erie City	140,244
Balance of Erie County	140,429
Pittsburgh City	442,267
Westmoreland County	396,025
Tri-County Consortium	262,836
Fayette County	167,802
Lawrence County	83,808

Table II.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Fiscal Year 1980 Title VI Discretionary Allocation, Nov. 26, 1979*—Continued

	Allocation
Mercer County Consortium	326,873
Southern Allegany Consortium	635,676
Lycoming Consortium	193,708
Balance of Pennsylvania	920,702
Northumberland County	134,116
Pennsylvania	8,588,455
Region III	12,860,095
Balance of Alabama	1,876,962
Mobile Consortium	456,181
Tuscaloosa County	103,854
Alabama	2,436,997
Balance of Florida	1,047,183
Brevard County	262,151
Miami/Dade Consortium	1,471,981
Heartland Manpower Consortium	553,301
Okaloosa County	94,344
Marion County	97,110
Palm Beach County	467,510
Pasco County	143,247
Florida	4,136,827
Atlanta City	556,932
Columbus Area Consortium	137,985
Georgia	694,917
Kentucky: Eastern Kentucky Rural CEP	460,888
Balance of Mississippi	1,776,897
Harrison County Consortium	131,757
Mississippi	1,908,654
North Carolina: Robeson County	105,461
Region IV	9,743,754
Chicago City	3,412,014
Macon County	128,011
Madison County Consortium	259,049
Shawnee Consortium	104,691
Illinois	3,873,765
Gary City	205,367
Indianapolis City	772,208
Delaware/Blackford Consortium	138,807
Indiana	1,116,402
Balance of Michigan	1,832,674
Flint/Genessee Consortium	645,192
Grand Rapids Consortium	646,401
Muskegon/Oceana Consortium	228,786
Detroit City	2,322,880
Bay County	112,472
Berrien County	226,556
Balance of Macomb County	474,625
Monroe County	142,249
St. Clair County	161,363
Balance of Washtenaw County	173,511
Mid-Counties Consortium	170,749
Northeast Michigan Consortium	255,508
Michigan	7,992,966
Youngstown City	169,104
Cleveland City	794,197
Cincinnati City	546,625
Allen County	105,290
Clermont/Warren Consortium	217,751

Table II.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Fiscal Year 1980 Title VI Discretionary Allocation, Nov. 26, 1979*—Continued

	Allocation
Richland/Morrow Consortium	162,024
Scioto County	74,194
Ashtabula County	107,174
Dayton City	222,599
Ohio	2,398,868
Wisconsin: Wisconsin Northwest CEP	188,830
Region V	14,970,831
Texarkana Consortium—Arkansas	46,410
Balance of Arkansas	1,459,515
Arkansas	1,505,925
Rapides Parish	110,856
Calcasieu/Jeff Consortium	177,876
Ouachita Parish	117,495
New Orleans City	469,960
Balance of Louisiana	1,647,511
Louisiana	2,523,698
Texarkana Consortium—Texas	73,393
South East Texas Consortium	337,917
Cameron County	240,887
El Paso Consortium	506,229
Hidalgo County Consortium	430,645
Webb County	147,413
Texas	1,736,484
Region VI	5,766,107
Iowa: Woodbury County	18,648
Missouri: St. Louis City	655,432
Region VII	674,080
Colorado: Pueblo County	123,795
Region VIII	123,795
Arizona: Balance of Arizona	14,612
Berkeley City	221,083
Oakland City	563,317
Richmond City	110,263

Table II.—*U.S. Department of Labor, Employment and Training Administration, Office of Administration and Management: Proposed Fiscal Year 1980 Title VI Discretionary Allocation, Nov. 26, 1979*—Continued

	Allocation
San Francisco City/County	970,527
Santa Barbara County	300,295
Sonoma County	273,206
Los Angeles City	3,273,629
Ventura County	556,059
Balance of California	1,287,126
Humboldt County	226,815
Solano County	186,074
Butte County	210,106
Sacramento Consortium	844,483
Yolo County	124,266
Placer County	38,629
Stockton/San Joaquin Consortium	604,314
Stanislaus County	449,192
Shasta County	209,815
Monterey County	338,608
Santa Cruz County	229,613
Fresno City/County	716,437
Kern County	524,907
Merced County	235,970
Inland Manpower Association	1,190,910
Tulare County	286,465
California	13,972,109
Hawaii, Honolulu City/County	734,993
Region IX	14,721,714
Municipality of Anchorage	218,838
Balance of Alaska	469,340
Alaska	688,178
Lane County	305,834
Jackson County Consortium	212,692
Balance of Oregon	851,902
Oregon	1,370,428
Spokane Consortium	292,267
Tacoma City	192,603
Balance of Pierce County	206,749
Yakima County	273,015
Balance of Washington	1,296,240
Thurston County	99,054
Washington	2,359,928
Region X	4,418,534
National total	96,815,171

Table III.—*U.S. Department of Labor—Employment and Training Administration, Office of Administration and Management, Fiscal Year 1980 CPS Adjustments by Title, November 26, 1979*

	Title II BC	Title IID	Title VI	YCCIP	YETP	Total
Boston City	532,298	1,143,789	1,206,032	82,469	242,656	3,207,244
EMHRDA Consortium	232,514	711,050	713,533	36,024	208,059	1,901,180
Brockton Consortium	0	299,914	273,995	2,417	124,245	700,571
Balance of Massachusetts	5,341,342	3,790,617	3,984,730	235,302	984,953	14,336,944
Massachusetts	6,106,154	5,945,370	6,178,290	356,212	1,559,913	20,145,939
Region I	6,106,154	5,945,370	6,178,290	356,212	1,559,913	20,145,939
Burlington County	487,856	877,612	924,125	51,484	249,842	2,590,919
Bal of Camden County	647,071	1,129,791	1,160,477	57,579	366,913	3,361,831
Camden City	229,075	444,429	475,002	29,199	108,242	1,285,947
Elizabeth City	0	136,019	141,709	0	24,504	302,232
Bal of Essex County	420,612	716,482	701,111	0	187,074	2,025,279
Gloucester County	277,203	514,449	552,698	31,548	128,933	1,504,831
Morris County	336,679	632,695	596,920	0	216,992	1,783,286
Newark City	172,018	444,479	477,010	0	93,434	1,186,941

Table III.—*U.S. Department of Labor—Employment and Training Administration, Office of Administration and Management, Fiscal Year 1980 CPS Adjustments by Title, November 26, 1979—Continued*

	Title II BC	Title IID	Title VI	YCCIP	YETP	Total
Somerset County	159,637	198,298	195,185	0	64,217	617,327
Bal of Union County	474,407	720,547	694,604	0	220,107	2,109,665
New Jersey	3,204,558	5,814,791	5,918,841	169,810	1,660,258	16,768,258
Buffalo City	362,418	907,934	964,755	23,773	201,726	2,460,606
Erie Consortium	319,858	1,254,202	1,251,423	20,974	378,837	3,225,294
Bal of Nassau County CSRT	0	16,252	14,350	0	0	30,602
Niagara County	3,492	383,885	404,813	9,408	81,638	883,236
Rockland County	29,926	262,983	267,924	8,372	89,503	658,708
Suffolk Consortium	0	504,317	445,330	0	202,816	1,152,463
Westchester Consortium	1,735,377	3,472,041	3,472,920	112,862	917,252	9,710,452
Yonkers City	417,890	1,035,473	1,063,474	42,389	218,784	2,778,010
New York	2,868,961	7,837,087	7,884,989	217,778	2,090,556	20,899,371
Region II	6,073,519	13,651,878	13,803,830	387,588	3,750,814	37,667,629
District of Columbia	0	52,572	75,004	0	8,548	136,124
Dist of Columbia	0	52,572	75,004	0	8,548	136,124
Baltimore Consortium	109,724	5,094,218	4,997,606	82,201	1,276,077	11,559,826
Maryland	109,724	5,094,218	4,997,606	82,201	1,276,077	11,559,826
Philadelphia City/County	168,425	2,481,729	2,489,568	123,396	326,188	5,589,306
Bal of Allegheny County	0	0	0	3,252	0	3,252
Pittsburgh City	0	0	0	2,396	0	2,396
Beaver County	0	0	0	457	0	457
Washington County	0	0	0	1,964	0	1,964
Westmoreland County	0	0	0	2,732	0	2,732
Pennsylvania	168,425	2,481,729	2,489,568	134,197	326,188	5,600,107
Region III	278,149	7,628,519	7,562,178	216,398	1,610,813	17,296,057
Kenton County	766	146,498	164,868	13,219	44,381	369,732
Balance of Kentucky	0	234,844	229,857	0	0	464,701
Kentucky	766	381,342	394,725	13,219	44,381	834,433
Region IV	766	381,342	394,725	13,219	44,381	834,433
Bal of Cook County	164,138	418,537	739,171	118,196	193,362	1,633,404
Lake County	4,978	0	0	5,258	0	10,236
Balance of Illinois	0	555,295	490,348	0	207,518	1,253,161
Illinois	169,116	973,832	1,229,519	123,454	400,880	2,896,801
Indianapolis City	719,965	1,227,848	1,228,104	58,933	270,063	3,504,913
Balance of Indiana	589,199	106,222	117,520	0	0	812,941
Indiana	1,309,164	1,334,070	1,345,624	58,933	270,063	4,317,854
Dearborn City	525	7,741	12,563	2,116	4,006	26,951
Detroit City	273,113	1,678,126	1,546,046	30,472	18,230	3,545,987
Livonia City	0	5,035	8,893	1,652	2,607	18,187
Warren City	0	0	0	3,932	0	3,932
Bal of Macomb County	0	0	0	11,034	0	11,034
Oakland County	304,362	265,235	358,028	24,850	121,223	1,073,698
St. Clair County	0	0	0	4,213	0	4,213
Bal of Wayne County	0	58,826	121,551	22,479	0	212,856
Michigan	578,000	2,024,963	2,047,081	100,748	146,066	4,896,858
Dakota County	0	0	0	3,470	0	3,470
Bal of Ramsey	0	0	0	3,000	0	3,000
St. Paul	0	0	0	7,315	0	7,315
Quad Counties	0	0	0	6,769	0	6,769
Bal of Hennepin County	0	171	302	10,420	0	10,893
Minneapolis City	0	105	93	9,649	0	9,847

Table III.—*U.S. Department of Labor—Employment and Training Administration, Office of Administration and Management, Fiscal Year 1980 CPS Adjustments by Title, November 26, 1979—Continued*

	Title II BC	Title IID	Title VI	YCCIP	YETP	Total
Minnesota	0	276	395	40,623	0	41,294
Cuyahoga CSRT	0	79,529	137,432	31,376	40,187	288,524
Cleveland City	95,231	819,182	786,662	37,577	34,206	1,752,858
Cincinnati City	406,435	1,409,470	1,368,117	51,943	439,556	3,675,521
Bal of Hamilton County	0	255,900	299,851	31,057	63,943	650,751
Clermont/Warren CSRT	151,294	638,320	814,698	18,033	203,594	1,625,939
Ohio	652,960	3,202,401	3,186,760	169,986	781,486	7,993,593
Milwaukee County	356,564	1,844,751	1,853,940	51,995	480,741	4,587,991
WOW Consortium	0	58,449	103,225	9,561	28,375	199,610
Wisconsin	356,564	1,903,200	1,957,165	61,556	509,116	4,787,601
Region V	3,065,804	9,438,742	9,766,544	555,300	2,107,611	24,934,001
Greater Pasadena CSRT	0	164,708	235,438	28,294	52,747	481,187
Houston City	0	672,090	597,445	302	347,829	1,617,627
Bal of Harris County	0	310,857	515,020	75,623	140,973	1,042,473
Gulf Coast Consortium	0	288,387	346,332	25,869	52,393	712,981
Texas	0	1,436,002	1,694,236	130,088	593,942	3,854,268
Region VI	0	1,436,002	1,694,236	130,088	593,942	3,854,268
Kansas City Consortium	0	47,735	42,151	7,717	0	97,603
Johnson/Leavenworth CSRT	0	0	0	6,061	0	6,061
Kansas	0	47,735	42,151	13,778	0	103,664
Bal of Jackson County	0	4,824	8,695	2,018	2,548	18,185
Kansas City Consortium	0	374,676	366,075	16,242	43,004	799,997
St. Louis City	817,540	1,796,327	1,828,457	88,402	351,188	4,881,914
Independence City	0	4,764	8,413	1,963	2,466	17,606
Missouri	817,540	2,180,691	2,211,640	108,625	399,206	5,717,702
Region VII	817,540	2,228,426	2,253,791	122,403	399,206	5,821,366
Bal of Alameda County	915,339	921,740	913,130	39,564	300,431	3,090,204
Berkeley City	92,457	185,593	109,505	14,217	42,372	534,144
Bal of Contra Costa CNTY	886,111	529,303	545,269	31,054	134,290	2,126,027
Marin County	204,729	319,573	312,831	12,217	107,578	956,928
Oakland City	230,152	485,441	520,825	36,777	109,643	1,391,838
Richmond City	47,715	86,086	104,991	7,326	21,863	279,981
San Francisco City/County	428,963	929,263	989,906	67,506	201,307	2,627,095
San Mateo County	155,237	416,805	449,456	31,789	172,259	1,227,546
Glendale City	0	11,806	13,007	0	1,513	26,326
Long Beach City	444,582	46,903	51,586	0	1,221	546,292
Bal of Los Angeles County	1,750,881	571,540	580,958	0	76,704	2,979,883
Los Angeles City	544,649	331,817	372,651	0	0	1,249,117
Orange Cnty Manpower CSRT	2,296,845	330,108	291,503	43,510	132,916	3,096,882
Pasadena City	4,571	22,086	21,779	0	428	48,864
Torrance City	0	28,629	28,029	0	1,580	58,298
San Diego RETC	643,846	981,897	1,164,139	87,612	324,799	3,202,093
California	8,666,897	6,214,460	6,559,665	371,572	1,628,904	23,441,518
Region IX	8,666,897	6,214,460	6,559,665	371,572	1,628,904	23,441,518
National Total	25,008,829	46,924,759	48,213,259	2,152,780	11,695,584	133,995,211

Signed at Washington, D.C., 28th day of November 1979.

T. James Walker,

Administrator, Administration and Management.

[FR Doc. 79-38143 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-13-M

Office of the Secretary

[TA-W-6458]

S. Abraham and Co., Inc., Philadelphia, Pa.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on November 27, 1979 in response to a worker petition received on November 21, 1979 which was filed by United Garment Workers of America on behalf of workers and former workers producing uniforms at S. Abraham and Company, Incorporated, Philadelphia, Pennsylvania. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

S. Abraham and Company, Incorporated, Philadelphia, Pennsylvania produces custom-made and stock-uniforms for police departments, arm services and airlines. U.S. imports of uniforms were negligible in 1977, 1978 and the first half of 1979.

Conclusion

After careful review, I determine that all workers of S. Abraham and Company, Incorporated, Philadelphia, Pennsylvania are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38145 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W- 6127 and 6128]

National Standard Co., Columbiana, Ala., and Childersburg, Ala.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 1, 1979, in response to a worker petition received on September 24, 1979, which was filed on behalf of workers and former workers producing steel tensile wire, bead wire and tire cord wire at the Columbiana, Alabama (TA-W-6127) and Childersburg, Alabama (TA-W-6128) plants of National Standard Company. The investigation revealed that the plants primarily produced bead wire, tire cord wire and hose wire. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

Sales of bead wire by the Columbiana and Childersburg, Alabama plants of National Standard Company increased in quantity and value in 1978 and 1977 and during January-September 1979 compared to January-September 1978. Production of hose wire in July 1978. Sales of hose wire during January-September 1979 exceeded total 1978 sales.

Sales of tire cord wire by the Columbiana and Childersburg, Alabama plants declined in 1978 and during the first nine months of 1979.

A survey conducted by the Department indicated that major customers of National Standard Company reduced purchases of tire cord wire from the firm in 1978 and the first nine months of 1979 as they were unable to satisfy themselves that the company's tire cord wire met their specifications. Customers surveyed further indicated that the total capacity of domestic producers cannot support the total demand for tire cord wire by the domestic tire industry. Customers must rely upon both domestic and foreign sources to meet their requirements for tire cord wire.

Conclusion

After careful review, I determine that all workers of the Columbiana, Alabama and Childersburg, Alabama plants of National Standard Company are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974. Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38146 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6239]

Sophia Electrical Supply Shop, Inc., Sophia, W. Va.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 18, 1979, in response to a worker petition received on October 16, 1979, which was filed by the United Steelworkers of America on behalf of workers and former workers repairing electric motors at Sophia Electric, Sophia, West Virginia. The investigation revealed that the correct name of the company is the Sophia Electrical Supply Shop, Inc. and that the firm is primarily engaged in the repair of mine motors and machinery.

Sophia Electrical Supply Shop, Inc. is engaged in providing the service of repairing mine motors and machinery.

Thus, workers of Sophia Electrical Supply Shop, Inc. do not produce an article within the meaning of section 222(3) of the Act except as necessary in repair operations. Therefore, they may be certified only if their separation was caused importantly by a reduced demand for their services from a parent firm, a firm otherwise related to Sophia Electrical Supply Shop, Inc. by ownership, or a firm related by control. In any case, the reduction in demand for services must originate at a production facility whose workers independently meet the statutory criteria for certification and that reduction must directly relate to the product impacted by imports.

Sophia Electrical Supply Shop, Inc. and its customers have no controlling interest in one another. The subject firm is not corporately affiliated with any other company which produces an article.

All workers engaged in repairing mine motors and machinery at Sophia Electrical Supply Shop, Inc. are employed by that firm. All personnel actions and payroll transactions are controlled by Sophia Electrical Supply Shop, Inc. All employee benefits are provided and maintained by Sophia Electrical Supply Shop, Inc. Workers are not, at any time, under employment or supervision by customers of Sophia Electrical Supply Shop, Inc. Thus, Sophia Electrical Supply Shop, Inc., and not any of its customers, must be considered to be the "workers' firm".

Conclusion

After careful review, I determine that all workers of Sophia Electrical Supply Shop, Inc., Sophia, West Virginia are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38147 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6280-6286 and 6310]

Clinchfield Coal Co.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In the matter of Open Fork Mine, Dickenson County, Virginia; Yowling Branch Mine, Russell County, Virginia; Chaney Creek Mine, Russell County, Virginia; Wilder Mine, Russell County, Virginia; Hagy #1 Mine, Buchanan County, Virginia; Hagy #2 Mine, Buchanan County, Virginia; Smith Gap Mine, Dickenson County, Virginia; Maple House Branch Mine, Dickenson County, Virginia.

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigations were initiated on October 29, 1979 (TA-W-6280-6286) and October 31, 1979 (TA-W-6310) in response to a worker petition received on October 10, 1979 which was filed by the United Mine Workers of America on behalf of workers and former workers engaged in the mining of coal at the following mines of the Clinchfield Coal Company: Open Fork Mine, Dickenson County, Virginia; Yowling Branch Mine, Russell County, Virginia; Chaney Creek Mine, Russell County, Virginia; Wilder Mine, Russell County, Virginia; Hagy #1 Mine, Buchanan County, Virginia; Hagy #2 Mine, Buchanan County, Virginia; Smith Gap Mine, Dickenson County, Virginia; Maple House Branch Mine, Dickenson County, Virginia. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

The Yowling Branch, Chaney Creek, Wilder, Hagy #1, Hagy #2, and Smith Gap mines of the Clinchfield Coal Company mine coal for export and for sale to domestic utility companies for use in producing steam. The coal mined at the Open Fork and Maple House Branch mines is primarily exported or sold to domestic utility companies, however a small amount of the coal is also sold to domestic metallurgical coal users. The production and employment declines at these two mines are attributable primarily to a loss of export and domestic utility sales, and not to a loss of sales to domestic metallurgical coal users.

Imports of bituminous coal for use in producing steam are negligible, being less than one percent of domestic production. Imports have no relevant effect on export sales, and therefore cannot be considered to have contributed to a loss of such sales at any of the mines.

Conclusion

After careful review, I determine that all workers of the Clinchfield Coal Company's Open Fork Mine, Dickenson County, Virginia; Yowling Branch Mine, Russell County, Virginia; Chaney Creek Mine, Russell County, Virginia; Wilder Mine, Russell County, Virginia; Hagy #1 Mine, Buchanan County, Virginia; Hagy #2 Mine, Buchanan County, Virginia; Smith Gap Mine, Dickenson County, Virginia; and Maple House Branch Mine, Dickenson County, Virginia are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 10th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79-38400 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6203 and 6204]

Cowden Manufacturing Co.; Determinations Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of section 222 of the Act must be met.

The investigations were initiated on October 16, 1979 in response to a worker petition received on October 10, 1979 which was filed by the International Brotherhood of Teamsters Warehousemen and Chauffers on behalf of workers and former workers producing ladies' jeans at the Springfield, Kentucky plant and producing men's, boys' and ladies' jeans at the Mt. Sterling, Kentucky plant of Cowden Manufacturing Company. The investigation revealed that the Springfield plant also produces ladies' skirts.

Springfield, Ky., Plant

In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met with respect to the Springfield, Kentucky plant of Cowden Manufacturing Company:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

Company-wide sales of ladies' jeans by Cowden Manufacturing Company increased in the fourth quarter of 1978 compared to the fourth quarter of 1977 and increased in each of the first three quarters of 1979 as compared to the corresponding quarter of 1978.

While production of ladies' jeans and skirts at the Springfield, Kentucky plant of Cowden declined in the fourth quarter of 1978 compared to the fourth quarter of 1977 and in the January-September 1979 period compared to the January-September 1978 period, company-wide production of ladies' jeans and skirts increased substantially during the same time periods. Company headquarters allocates production to its plants. Consequently, the decline in production at the Springfield plant was more than offset by increasing production at the other plants producing ladies' jeans.

Average employment of production workers at the Springfield plant increased in the January-October period of 1979 compared to the like period of 1978.

Mt. Sterling, Ky., Plant

In the following determination, with respect to the production of ladies' jeans at the Mt. Sterling, Kentucky plant of Cowden Manufacturing Company and without regard to whether any of the other criteria have been met, the following criterion has not been met:

That sales or production, or both, of the firm or subdivision have decreased absolutely.

Company-wide sales of ladies' jeans by Cowden Manufacturing Company increased in the fourth quarter of 1978 compared to the fourth quarter of 1977 and increased in each of the first three quarters of 1979 as compared to the corresponding quarter of 1978.

Production of ladies' jeans at Mt. Sterling, Kentucky plant increased, in quantity, from 1977 to 1978 and in the January-September period of 1979 compared to the like period of 1978.

With respect to the production of men's and boys' jeans at the Mt. Sterling plant, all of the criteria have been met.

U.S. imports of men's and boys' woven cotton and man-made jeans and dungarees increased both absolutely and relative to domestic production from 1977 to 1978 and then decreased absolutely during the January-June period of 1979 compared to the like period in 1978.

Major customers of Cowden Manufacturing Company who were surveyed indicated they reduced purchases of men's and boys' blue jeans from Cowden in 1978 compared to 1977 and increased purchases of blue jeans from foreign sources during that period. Total sales of men's and boys' jeans by Cowden Manufacturing Company increased during the period January–September 1979 compared to the same period in 1978.

The workers at the Mt. Sterling, Kentucky plant of Cowden Manufacturing Company are engaged in employment related primarily to the production of men's, boys' and ladies' jeans. Workers are not separately identifiable by product line.

Conclusion

After careful review of the facts obtained in the investigation, I conclude that increases of imports of articles like or directly competitive with men's and boys' jeans produced at the Mt. Sterling, Kentucky plant of Cowden Manufacturing Company contributed importantly to the decline in sales or production and to the total or partial separation of workers of that plant. In accordance with the provisions of the Act, I make the following certification:

All workers of the Mt. Sterling, Kentucky plant of Cowden Manufacturing Company, engaged in employment related to the production of men's and boys' jeans who became totally or partially separated from employment on or after September 24, 1978 and before May 1, 1979 are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

I further determine that all workers of the Springfield, Kentucky plant of Cowden Manufacturing Company are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 10th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79-38462 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6151 and 6161]

Emerson Electric Co.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 4, 1979, and October 9, 1979, in response to worker petitions received on September 26, 1979 and October 1, 1979, respectively, which were filed on behalf of workers and former workers producing electric motors at the Kennett, Missouri (TA-W-6151) and Paragould, Arkansas (TA-W-6161) plants of the Emerson Electric Company. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

U.S. imports of AC fractional horsepower motors decreased absolutely in quantity in the first half of 1979 compared to the same 1978 period.

Total sales of AC fractional horsepower motors by the Emerson Electric Company Motor Division increased in value from fiscal year 1978 to fiscal year 1979. Division export sales of motors increased in value from FY 1978 to FY 1979. Emerson electric also imports some motors which decreased in value from FY 1978 to FY 1979. The value of company exports exceeded the value of company imports in FY 1978 and FY 1979.

One major customer purchased electric motors from both the Kennett, Missouri and Paragould, Arkansas plants. Officials of this company indicated that they did not purchase imports of fractional horsepower motors.

Conclusion

After careful review, I determione that all workers of the Kennett, Missouri and Paragould, Arkansas plants of the Emerson Electric Company are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38403 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6171]

The General Tire & Rubber Co.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 10, 1979 in response to a worker petition received on September 27, 1979 which was filed on behalf of workers and former workers producing tires at the Mayfield, Kentucky plant of The General Tire and Rubber Company. The investigation revealed that the plant produces primarily passenger car tires and truck tires. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

A Department survey was conducted with customers that accounted for the decline in sales at General Tire. The survey revealed that these customers either did not purchase or purchased negligible imports of passenger car tires and truck tires or decreased purchases of imported passenger car tires and truck tires from 1977 to 1978 and during the first nine months of 1979.

Conclusion

After careful review, I determine that all workers of the Mayfield, Kentucky plant of The General Tire and Rubber Company are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38404 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6172]

Grandinetti, Inc.; Certification Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for worker adjustment assistance, each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 10, 1979 in response to a worker petition received on October 3, 1979 which was filed on behalf of the workers and former workers producing small appliances at Grandinetti, Incorporated, Lynwood, California. It is concluded that all of the requirements have been met.

Imports of electric hair dryers increased both absolutely and relative to domestic production in 1977 compared with 1976 and in 1978 compared with 1977. The ratio of imports to domestic production of electric hair dryers exceed 800 percent in 1978.

Imports of electric hair appliances (including curling irons,) increased absolutely and relative to domestic production in 1977 compared with 1976. Imports declined slightly in 1978 compared with 1977.

Imports of slow-cookers (crock pots) began to decline in the summer of 1977 and have been negligible since 1978.

In 1976 Grandinetti, Incorporated, operated eight plants producing small appliances. As of December 1978, all production facilities were closed. Two Grandinetti plants located at 10855 and 10890 Stanford Streets in Lynwood, California were still in operation during the possible impact period. These plants were closed in October and December 1978. The company's offices, located at 2800 Norton Street, Lynwood, California were closed in March 1979.

A Department survey revealed that customers of Grandinetti, Incorporated reduced purchases from the company while increasing purchases of imported hair dryers and curling irons. Customers indicated that they purchased appliances which were marketed under American labels but had in fact been manufactured overseas.

Conclusion

After careful review of the facts obtained in the investigation, I concluded that increases of imports of articles like or directly competitive with hair dryers, curling irons and slow cookers (crock pots) produced at Grandinetti, Incorporated, Lynwood, California contributed importantly to the decline of sales or production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Act, I make the following certification:

All workers of the 10655 Stanford Street plant, the 10890 Stanford Street plant and the 23800 Norton Street company offices, all in Lynwood, California of Grandinetti, Incorporated who became totally or partially separated from employment on or after September 19, 1978 are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79-38405 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

Investigations Regarding Certifications of Eligibility To Apply for Worker Adjustment Assistance

Petitions have been filed with the Secretary of Labor under section 221(a) of the Trade Act of 1974 ("the Act") and are identified in the Appendix to this notice. Upon receipt of these petitions, the Director of the Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted investigations pursuant to section 221(a) of the Act and 29 CFR 90.12.

The purpose of each of the investigations is to determine whether absolute or relative increases of imports of articles like or directly competitive with articles produced by the workers' firm or an appropriate subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision.

Petitioners meeting these eligibility requirements will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90. The investigations will further relate, as appropriate, to the determination of the date on which total or partial separations began or threatened to begin and the subdivision of the firm involved.

Pursuant to 29 CFR 90.13, the petitioners or any other persons showing a substantial interest in the subject matter of the investigations may request a public hearing, provided such request is filed in writing with the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 24, 1979.

Interested persons are invited to submit written comments regarding the subject matter of the investigations to the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 24, 1979.

The petitions filed in this case are available for inspection at the Office of the Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 10th day of December 1979.

Marvin M. Fooks,

Director, Office of Trade Adjustment Assistance.

Appendix

Petitioner: Union/workers or former workers of—	Location	Date received	Date of petition	Petition No.	Articles produced
Cohoes Fabrics Printers, Inc. (T.W.U.A.)	Cohoes, N.Y	12/4/79	11/30/79	TA-W-6,557	Print textile fabrics.
Coka Fashions, Inc. (workers)	New York, N.Y	12/5/79	12/3/79	TA-W-6,558	Ladies' coats and rain coats.
Delaware Trucking Company, Inc. (workers)	Muncie, Ind	12/3/79	11/28/79	TA-W-6,559	Tranporting Chrysler auto parts.
Dee-Tee Soldering Company (workers)	Providence, R.I	12/3/79	11/26/79	TA-W-6,560	Jewelry soldering.
E Systems, Mencor Div., Peru Operations (workers).	Peru, Ind	11/26/79	11/20/79	TA-W-6,561	Assemble subassemblies for military radios.
Edmos Corporation, Tait Plant (workers)	Lincolnton, N.C	12/5/79	11/29/79	TA-W-6,562	Textured yarn for double knit knitting machines.
Evenspun Yarn Company (workers)	Philadelphia, Pa	12/3/79	11/29/79	TA-W-6,563	Raw yarn.
Kane Industries (workers)	Smith Grove, Ky	11/23/79	11/15/79	TA-W-6,564	Windbraker jackets—also, men's pants and vests.
Litton Industries, Decotone Division (United Paperworkers International Union).	Westminster, Mass	12/3/79	11/26/79	TA-W-6,565	Print heat transfer paper

Appendix—Continued

Petitioner Union/workers or former workers of—	Location	Date received	Date of petition	Petition No	Articles produced
Maremont (workers)	Repley, Tenn	11/28/79	11/20/79	TA-W-6,566	Exhaust systems for automobiles.
Muench-Kreuzer Candle Company (USWA)	Liverpool, N.Y	12/3/79	11/28/79	TA-W-6,567	Office, distribution, and packaging.
Muench-Kreuzer Candle Company (USWA)	Syracuse, N.Y	12/3/79	11/28/79	TA-W-6,568	Candles.
National Dress Company, Inc. (ILGWU)	Belleville, N.J	11/26/79	11/20/79	TA-W-6,569	Contractor of ladies' dresses.
Simmetry, Inc. (ILGWU)	Newark, N.J	11/26/79	11/20/79	TA-W-6,570	Girdles.
Virginia Crews Coal Company (workers)	Welch, W. Va	12/3/79	11/27/79	TA-W-6,571	Coal and coal products.

[FR Doc. 79-38401 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6206 & 6207]

J. F. McElwain Co.; Determinations Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 16, 1979 in response to a worker petition received on October 10, 1979 which was filed by the New Hampshire Shoe Workers' Union on behalf of workers and former workers producing soles, heels and insoles at the E Factory and producing men's welt shoes at the B Factory of J. F. McElwain Company, Manchester, New Hampshire. In the following determinations, without regard to whether any of the other criteria have been met for workers at the B Factory, the following criterion has not been met:

That a significant number or proportion of the workers in the workers' firm, or an apropriate subdivision thereof, have become totally or partially separated, or are threatened to become totally or partially separated.

The average number of production workers at the B Factory increased in the first ten months of 1979 compared to the same period of 1978. Employment remained relatively unchanged or increased in every quarter compared with the previous quarter from September 1978 through September 1979. There were no layoffs at the B Factory in October or November 1979 and the company does not expect to lay off any workers from the facility in December 1979 or January 1980.

With respect to workers at the E Factory, all of the criteria have been met.

Workers at the E Factory of J. F. McElwain Company produced soles, heels and insoles used by the company in the production of men's dress and casual shoes.

U.S. imports of men's dress and casual footwear, except athletic, increased relative to domestic production in the first six months of 1979 compared to the same period of 1978.

Workers who produced men's dress and casual shoes at another facility of J. F. McElwain (also located in Manchester, New Hampshire) were certified eligible to apply for adjustment assistance on September 17, 1979 (TA-W-5756). In that investigation, it was determined that a major customer of J. F. McElwain, which accounted for a large proportion of company sales, reduced purchases of men's dress and casual shoes from the company and increased purchases of imports in 1978 compared to 1977 and in the first six months of 1979 compared to the same period of 1978.

Conclusion

After careful review of the facts obtained in the investigation, I conclude that increases of imports of articles like or directly competitive with men's dress and casual shoes produced at the E Factory of J. F. McElwain Company, Manchester, New Hampshire contributed importantly to the decline in sales or production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Act, I make the following certification:

All workers of J. F. McElwain Company, E Factory, Manchester, New Hampshire who became totally or partially separated from employment on or after September 24, 1978 are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

I further determine that all workers of J. F. McElwain Company, B Factory, Manchester, New Hampshire are denied eligbility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washigton, D.C. this 7th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration, and Planning.

[FR Doc. 79-38406 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6182]

Mark Mining, Inc.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the rsults of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 15, 1979 in response to a worker petition received on October 3, 1979 which was filed by the United Mine Workers of America on behalf of workers and former workers mining metallurgical coal at Mark Mining, Inc., Somerset, Pennsylvania. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

Evidence developed during the course of the investigation revealed that coal produced by Mark Mining, Inc. is either exported or sold to steel producers in the form of coke or for use in coke production. The Department conducted a survey of these steel producers. This survey indicated that certain of these producers import no coke for their steel production process. All other steel producers surveyed increased their purchases of coke substantially from domestic sources in 1978 compared to 1977 and in the first nine months of 1979 compared to the first nine months of 1978.

Conclusion

After careful review, I determine that all workers of Mark Mining, Inc., Somerset, Pennsylvania are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael AHO,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38407 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6235]

Molins Machine Co., Inc.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on October 18, 1979 in response to a worker petition received on October 16, 1979 which was filed on behalf of workers and former workers producing corrugating machines and finishing equipment at the Langston Division of Molins Machine Company, Incorporated in Cherry Hill, New Jersey. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That a significant number or proportion of the workers in the workers' firm, or an appropriate subdivision thereof, have become totally or partially separated or are threatened to become totally or partially separated.

Employment of production and salaried workers at the Langston Division increased in the fourth quarter of 1978 compared with the same quarter of 1977 and increased in the first nine months of 1979 compared with the same period of 1978. Employment of production workers increased in each quarter compared to the previous quarter, from the second quarter of 1978 through the third quarter of 1979. The company does not expect layoffs of production workers during the fourth quarter of 1979.

Conclusion

After careful review, I determine that all workers at the Langston Division of Molins Machine Company, Incorporated in Cherry Hill, New Jersey are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 10th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79-38408 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W-6086]

Neal Coal, Inc.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of section 222 of the Act must be met.

The investigation was initiated on September 21, 1979 in response to a worker petition received on September 17, 1979 which was filed on behalf of workers and former workers mining coal at Neal Coal, Incorporated, Summersville, West Virginia. The investigation revealed that the company was formerly known as E and J Coal Company. Without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

The coal mined at Neal Coal, Incorporated is sold to one domestic customer. This customer sells most of its coal for export. Since imports have no relevant effect on export sales, imports cannot be considered to have contributed to a loss of sales or production at Neal Coal, Incorporated.

Conclusion

After careful review, I determine that all workers of Neal Coal, Incorporated, Summersville, West Virginia are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

C. Michael Aho,

Director, Office of Foreign Economic Research.

[FR Doc. 79-38409 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-28-M

Nonelectric Cooking Ware

On November 5, 1979, the U.S. International Trade Commission (ITC) determined that increased imports of "Nonelectric Cooking Ware" are a substantial cause of serious injury, or the threat thereof, to the domestic industry for purposes of the import relief provisions of the Trade Act of 1974 (44 FR 65824).

Section 224 of the Trade Act directs the Secretary of Labor to initiate an industry study whenever the ITC begins an investigation under the import relief provisions of the Act. The purpose of the study is to determine the number of workers in the domestic industry petitioning for relief who have been or are likely to be certified as eligible for adjustment assistance, and the extent to which existing programs can facilitate the adjustment of such workers to import competition. The Secretary is required to make a report of this study to the President and also make the report public (with the exception of information which the Secretary determines to be confidential).

The U.S. Department of Labor has concluded its report on "Nonelectric Cooking Ware". The report found as follows:

1. Since April 3, 1975, the effective date of the adjustment assistance program the U.S. Department of Labor has received six petitions involving workers producing nonelectric cooking ware. Two petitions received by the Department were from workers at plants producing porcelain-on-steel cooking ware; both petitions were certified. For the other four nonelectric cooking ware petitions two were certified and two were denied. Through July 31, 1979, $839,978 had been paid to 367 workers of the two plants producing porcelain-on-steel cooking ware. No job search or relocation allowances had been paid to the porcelain-on-steel cooking ware workers but 43 entered training and 35 completed training. For the other two certified nonelectric cooking ware petitions $405,417 had been paid to 521 workers through July 31, 1979. No job search or relocation allowances had

been paid to these workers and one worker entered training.

2. Firms in the nonelectric cooking ware industry generally reported a profitable year in 1978, with only two plants reporting losses for the year. Industry employment increased 2.7 percent in 1978 and continued to increase in the first half of 1979, rising 1.4 percent compared to the first half of 1978. Employment developments in the next 12 months will depend on the severity of the current economic slowdown and the possible continued impact of imports. The two segments of the nonelectric cooking ware market that have experienced the most pressure from imports recently are porcelain-on-steel cooking ware and stainless steel cooking ware. Workers at the two plants which have produced or are producing porcelain-on-steel cooking ware have been certified eligible to apply for adjustment assistance.

3. Based on local unemployment rates, Employment Service vacancy data, and data available for individual plants in the nonelectric cooking ware industry, prospects for separated workers range from poor to good. Thirteen areas reported unemployment rates below 5 percent (unadjusted) in August 1979, compared to the national rate of 5.9 percent (unadjusted). The available data indicate that 14 of the 27 areas have at least fair prospects for reemployment of separated workers. Twelve areas have either unfavorable or poor prospects, and conditions in one area are uncertain.

Reemployment prospects for separated workers who worked at the two plants producing porcelain-on-steel cooking ware appear to be fair based on the relatively low unemployment rates, 5.8 percent (unadjusted) for Terre Haute, Indiana and 4.9 percent (unadjusted) for Wheeling, West Virginia, and the relatively favorable job vacancy data.

4. Enrollment and expenditure levels for CETA prime sponsors indicate that nonelectric cooking ware producing areas with relatively poor local economic conditions are served by prime sponsors whose enrollment and expenditures were below planned levels for the quarter ending June 30, 1979. Some prime sponsors for areas with relatively good local economic conditions (including the porcelain-on-steel cooking ware producing areas) have experienced enrollments or expenditure above planned levels; however, better economic conditions in these areas should have allowed most prime sponsors to meet training needs of eligible workers during fiscal year 1979. During fiscal year 1980 funds will be allocated to regions on the basis of past allocations; thus, prime sponsors should be able to continue to meet the training needs of eligible workers.

A comparison of characteristics of CETA clients and nonelectric cooking ware workers shows that a significantly larger proportion of nonelectric cooking ware (including porcelain-on-steel cooking ware) workers are in older age categories and may have limited training opportunities. In addition, most prime sponsors for nonelectric cooking ware areas (but not the prime sponsor for Terre Haute, Indiana porcelain-on-steel cooking ware area) train mostly economically disadvantaged persons. However, the Employment and Training Administration has the authority, within funding limitations, to purchase specific training for displaced import impacted nonelectric cooking ware workers who are not eligible for CETA training.

Copies of the Department report containing nonconfidential information developed in the course of the 6-month investigation may be purchased by contacting the Office of Trade Adjustment Assistance, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210 (phone 202–523–7665).

Signed at Washington, D.C. this 6th day of December 1979.

Dean K. Clowes,

Deputy Under Secretary, International Affairs.

[FR Doc. 79–38369 Filed 12–13–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–6186]

Saint Laurie Ltd. New York, N.Y.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 15, 1979 in response to a worker petition received on October 9, 1979 which was filed by the Amalgamated Clothing and Textile Workers Union on behalf of workers and former workers producing men's and women's clothing at Saint Laurie Ltd, New York, New York. The investigation revealed that the plant produces primarily men's suits, jackets, slacks and overcoats and women's suits, jackets and skirts. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

Saint Laurie Ltd. began selling directly to the public in the early 1970's. Previously, sales had been made only to retailers. By 1979, sales to the public accounted for the overwhelming majority of Saint Laurie's sales. This shift in marketing strategy proved successful, as company sales generally increased throughout the period from January 1975 through September 1979. Saint Laurie's sales increased from 1977 to 1978 and in the January through October period of 1979 compared to the corresponding period one year earlier.

Average employment of production workers at Saint Laurie, Ltd increased in the foruth quarter of 1978 compared to the fourth quarter of 1977 and increased in the January–October period of 1979 compared to the January–October period of 1978.

Industry-wide imports of men's suits has shown a decreasing trend since 1977. U.S. imports declined on an absolute basis in 1978 compared to 1977 and in the first nine months of 1979 compared to the same period of 1978. The ratio of imports of men's suits to U.S. production and to U.S. consumption also declined from 1977 to 1978.

Conclusion

After careful review, I determine that all workers of Saint Laurie Ltd., New York, New York are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 fo the Trade Act of 1974.

Signed at Washington, D.C. this 10th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79–38410 Filed 12–13–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–6213]

The Wheeling-Pittsburgh Steel Corp.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 16, 1979 in response to a worker petition received on October 10, 1979 which was filed by the United Steelworkers of America on behalf of workers and former workers producing roofdecking, painted coils, tensilform, mesh, lath and other miscellaneous products at the Beach Bottom plant of the Wheeling-Pittsburgh Steel Corporation. The investigation revealed that the correct spelling of the name of the town is Beechbottom, West Virginia. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That a significant number or proportion of the workers in the workers' firm, or an appropriate subdivision thereof, have become totally or partially separated, or are threatened to become totally or partially separated.

The average number of production workers increased in 1978 compared to 1977 and in the first ten months of 1979 compared to the same period in 1978. Average quarterly employment increased in every quarter when compared to the same quarter of the previous year from the first quarter of 1978 through the third quarter of 1979. The average number of man hours worked increased in 1978 compared to 1977 and in the first ten months of 1979 compared to the same period in 1978. There is no immediate threat of separations to workers at the Beechbottom plant.

Conclusion

After careful review, I determines that all workers of the Beechbottom, West Virginia plant of the Wheeling-Pittsburgh Steel Corporation are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration, and Planning.

[FR Doc. 79–38411 Filed 12–13–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–6215]

Wheeling-Pittsburgh Steel Corp.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 16, 1979 in response to a worker petition received on October 10, 1979 which was filed by the United Steelworkers of America on behalf of workers and former workers producing galvanized sheets and coils at the Martins Ferry, Ohio plant of the Wheeling-Pittsburgh Steel Corporation. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That sales or production, or both, of the firm or subdivision have decreased absolutely.

Sales and production increased in quantity in 1978 compared to 1977. Sales increased in quantity in the first three quarters of 1979 compared to the same period in 1978. Production increased in quantity in the first ten months of 1979 compared to the same period in 1978.

Conclusion

After careful review, I determine that all workers of the Martins Ferry, Ohio plant of the Wheeling-Pittsburgh Steel Corporation are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 7th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79–38412 Filed 12–13–79; 8:45 am]

BILLING CODE 4510–28–M

NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

Media Arts Panel (Production: Radio); Meeting

Pursuant to section 10(a)(2) of the Federal Advisory committee Act (Pub. L. 92–463), as amended, notice is hereby given that a meeting of the Media Arts Panel (Production: Radio) to the National Council on the Arts will be held January 7, 1980, from 9:00 a.m.–5:30 p.m. and January 8, 1980, from 9:00 a.m.–5:30 p.m. in Room 1422, Columbia Plaza Office Building, 2401 E St., NW., Washington, D.C.

This meeting is for the purpose of Panel review, discussion, evaluation, and recommendation on applications for financial assistance under the National Foundation on the Arts and the Humanities Act of 1965, as amended, including discussion of information given in confidence to the agency by grant applications. In accordance with the determination of the Chairman published in the **Federal Register** of March 17, 1977, these sessions will be closed to the public pursuant to subsection (c) (4), (6) and 9(B) of Section 552b of Title 5, United States Code.

Further information with reference to this meeting can be obtained from Mr. John H. Clark, Advisory Committee Management Officer, National Endowment for the Arts, Washington, D.C. 20506, or call (202) 634–6070.

John H. Clark,

Director, Office of Council and Panel Operation, National Endowment for the Arts.

December 7, 1979.

[FR Doc. 79–38316 Filed 12–13–79; 8:45 am]

BILLING CODE 7537–01–M

Music Panel (Choral Section); Meeting

Pursuant to section 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92–463), as amended, notice is hereby given that a meeting of the Music Panel (Choral Section) to the National Council on the Arts will be held January 8, 1980, from 9:00 a.m.–6:00 p.m.; January 9, 1980, from 9:00 a.m.–6:00 p.m.; January 10, 1980, from 9:00 a.m.–6:00 p.m.; and January 11, 1980, from 9:00 a.m.–5:00 p.m. in Room 1426, Columbia Plaza Building, 2401 E St., NW., Washington, D.C.

A portion of this meeting will be open to the public on January 8, 1980, from 9:00 a.m.–12:00 p.m. and January 11, 1980, from 9:00 a.m.–5:00 p.m. Guidelines and future directions will be the topics of discussion.

The remaining sessions of this meeting on January 8, 1980, from 12:00 p.m.–6:00 p.m.; January 9, 1980, from 9:00 a.m.–6:00 p.m.; January 10, 1980, from 9:00 a.m.–6:00 p.m. are for the purpose of Panel review, discussion, evaluation, and recommendation on applications for financial assistance under the National Foundation on the Arts and the Humanities Act of 1965, as amended, including discussion of information given in confidence to the agency by grant applicants. In accordance with the

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determination of the Chairman published in the **Federal Register** March 17, 1977, these sesions will be closed to the public pursuant to subsections (c)(4), (6) and 9(b) of section 552b of Title 5, United States Code.

Further information with reference to this meeting can be obtained from Mr. John H. Clark, Advisory Committee Management Officer, National Endowment for the Arts, Washington, D.C. 20506, or call (202) 634–6070.

John H. Clark,

Director, Office of Council and Panel Operations, National Endowment for the Arts.

December 7, 1979.

[FR Doc. 79-38317 Filed 12-13-79; 8:45 am]

BILLING CODE 7537-01-M

NATIONAL SCIENCE FOUNDATION

Permits Issued Under the Antarctic Conservation Act of 1978

AGENCY: National Science Foundation.

ACTION: Notice of Permits Issued Under the Antarctic Conservation Act of 1978, Pub. L. 95–541

SUMMARY: The National Science Foundation (NSF) is required to publish notice of permits issued under the Antarctic Conservation Act of 1978. This is the required notice of permits issued.

FOR FURTHER INFORMATION CONTACT: Charles E. Myers, Permit Office, Division of Polar Programs, National Science Foundation, Washington, D.C. 20550. Telephone (202) 632–4238.

SUPPLEMENTAL INFORMATION: On November 5, 1979, the National Science Foundation published a notice in the **Federal Register** of permit applications received. On December 5, 1979, a permit was issued to John G. Baust.

Charles E. Myers,

Division of Polar Programs.

[FR Doc. 79-38319 Filed 12-13-79; 8:45 am]

BILLING CODE 7555-01-M

Permit Applications Received Under the Antarctic Conservation Act of 1978

AGENCY: National Science Foundation.

ACTION: Notice of Permit Applications Received Under Antarctic Conservation Act of 1978, Pub. L. 95–541.

SUMMARY: The National Science Foundation (NSF) is required to publish notice of permit applications received to conduct activities regulated under the Antarctic Conservation Act of 1978. NSF has published regulations under the Antarctic Conservation Act of 1978 at Title 45 Part 670 of the Code of Federal Regulations. This is the required notice of permit applications received.

DATES: Interested parties are invited to submit written data, comments, or views with respect to these permit applications by January 14, 1980. Permit applications may be inspected by interested parties at the Permit Office, address below.

ADDRESS: Comments should be addressed to Permit Office, Room 627, Division of Polar Programs, National Science Foundation, Washington, D.C. 20550.

FOR FURTHER INFORMATION CONTACT: Charles E. Myers at the above address or (202) 632–4236.

SUPPLEMENTAL INFORMATION: The National Science Foundation, as directed by the Antarctic Conservation Act of 1978 (Pub. L. 95–541), has developed regulations that implement the "Agreed Measures for the Conservation of Antarctic Fauna and Flora" for all United States citizens. The Agreed Measures, developed in 1964 by the Antarctic Treaty Consultative Parties, recommended establishment of a permit system for various activities in Antarctica and designation of certain mammals and certain geographic areas as requiring special protection. The regulations establish such a permit system and a way to designate Specially Protected Areas and Sites of Special Scientific Interest. The regulations were presented for public comment in draft form in the 6 March 1979 **Federal Register**. The appeared in final form in the 7 June 1979 **Federal Register**. Additional information was published in the 11 October **Federal Register**, page 58818.

The application received is:

1. *Applicant.*—Robert W. Risebrough, Bodega Marine Laboratory, University of California, Bodega Bay, California 94923.

2. *Activities for which Permit Requested.*—Take birds. Specimens of eggs and adults of Wilson's Petrels and of Adelie Penguins would be obtained for analysis of organochlorine pollutants. Specimens of these species obtained 10 years ago at Palmer Station provided valuable information about contamination patterns in the North Atlantic, where these petrels spend the southern winter, and about the pathways of transport of these pollutants across the Antarctic Convergence to Antarctica. Data obtained in 79–80 would permit an assessment of changes over the past decade.

Enter Specially Protected Area. Permission is sought to enter Litchfield Island in order to undertake a thorough census of all Adelie Penguin colonies in the vicinity of Palmer Station. These data would provide part of a baseline that would permit future assessments of effects of the anticipated large-scale harvesting of krill. Adelie Penguin colonies in the vicinity of Palmer Station would be appropriate biological monitors on a long-term basis.

Import up to 20 eggs and 20 adult specimens into the United States.

3. *Location.*—Antarctic Peninsula, Palmer Station, Litchfield Island.

4. *Dates.*—January 20, 1980–March 31, 1980.

Authority to take this action has been delegated by the Director, NSF to the Director, Division of Polar Programs under National Science Foundation Staff Memorandum O/D 79–16, of May 29, 1979.

A. N. Fowler,

Acting Division Director, Division of Polar Programs.

[FR Doc. 79-38320 Filed 12-13-79; 8:45 am]

BILLING CODE 7555-01-M

SECURITIES AND EXCHANGE COMMISSION

[Release No. 34–16411; File No. SR–CSE–79–6]

Cincinnati Stock Exchange; Proposed Rule Change

Pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94–29, 16 (June 4, 1975), notice is hereby given that on November 20, 1979 the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

Statement of the Terms of Substance of the Proposed Rule Change

Section 3 of Article IV of the By-Laws of the Exchange is proposed to be amended by the addition of a new subsection dealing with delisting of securities at the instance of the issuer of such security. Given below is the current text of Section 3 of Article IV with italics used to indicate the words to be added to the section:

3. *Delisting*

3.1. Delisting by Exchange

Whenever the Board of Trustees determines that it no longer is appropriate for a security to continue to be traded on the Exchange, it may institute proceedings to delist such security. Any issuer or any other person aggrieved by such action may seek relief, pursuant to the Exchange's rules governing adverse action.

3.2. Delisting by Issuer

A security, which in the opinion of the Board of Trustees of the Exchange is eligible for continued listing, may be removed from the list upon the request or application of the issuer provided:

(1) That the proposal to delist shall be considered at a meeting of the holders of the security;

(2) That notice of such meeting shall be given to said security holders and the Exchange at least thirty days prior to said meeting, which notice shall be accompanied by or have incorporated therein:

(a) A solicitation of proxies for the purpose of voting upon the proposal at the meeting;

(b) Information adequate to apprise the security holders of the nature of the proposed action, the reasons therefor, and the facts supporting such reasons; and

(c) Any letter or notice furnished by The Cincinnati Stock Exchange containing its views with respect to the proposed action and the facts supporting such views;

(3) That at such meeting, the proposal to delist and the filing of application therefore shall be approved affirmatively by the holders of at least 66⅔ percent of the amount of the issue proposed to be delisted;

(4) That at such meeting holders of 10 percent or more of the amount of the issue proposed to be delisted do not disapprove the action; and

(5) That the proxies not marked either in favor of or against the proposal to delist shall not be voted upon such proposal.

Statement of Basis and Purpose

The purpose of the proposed rule change is to provide means for the delisting or securities at the instance of the issuer of such securities. The text of the proposed rule change is substantially identical to that provided by the By-Laws of the Exchange prior to the adoption of the present By-Laws. However, the present By-Laws do not provide a procedure to be followed in delisting when such action is instigated by the issuer of the security. The proposed rule change is designed to correct that oversight.

The basis for the proposed rule change is section 6(b)(5) of the Securities Exchange Act in that the principal purpose of the proposed rule change is to provide a reasonable and controlled method of delisting when instigated by the issuer of listed securities. The Exchange believes that such a provision is necessary to encourage issuers to cause their securities to be listed on the Exchange and to protect the security holders in the event that the issuer should subsequently seek to cause such securities to be delisted. Accordingly, the proposed rule change is designed to prevent fraudulent and manipulative acts and practices, to promote just and equitable principles of trade, to facilitate transactions in securities, and to remove impediments to and perfect the mechanisms of a free and open market and a national market system, and, in general, to protect investors and the public interest.

No comments on the proposed rule change have been solicited or received.

The Exchange believes that the proposed rule change imposes no burden on competition.

On or before January 18, 1980, or within such longer periods (1) as the Commission may designate up to ninety days after such date if it finds such longer period to be appropriate and publishes its reasons for so finding or (ii) as to which the Exchange consents, the Commission will:

(A) By order approve such proposed rule change, or

(B) Institute proceedings to determine whether the proposed rule change should be disapproved.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Persons desiring to make written submissions should file 6 copies thereof with the Secretary of the Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street, N.W., Washington, D.C. Copies of such filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization. All submissions should refer to the file number referenced in the caption above and should be submitted within 21 days of the date of this publication.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

December 7, 1979.

[FR Doc. 79-38338 Filed 12-13-79; 8:45 am]

BILLING CODE 8010-01-M

[Rel. No. 10973; 812–4573]

Ivy Fund, Inc., et al.; Filing of Application Pursuant to Section 6(c) of the Act for Temporary Exemption From Provisions of Section 15(a) of the Act

December 5, 1979.

In the matter of IVY FUND, INC., 201 Devonshire Street, Boston, Massachusetts 02110, and FURMAN SELZ MAGER DIETZ & BIRNEY INCORPORATED 110 Wall Street New York, New York 10005, and, GRANTHAM, MAYO, VAN OTTERLOO & CO. 125 High Street Boston, Massachusetts 02110.

Notice is hereby given that Ivy Fund, Inc. ("Fund"), an open-end, diversified management investment company registered under the Investment Company Act of 1940 ("Act"), Furman Selz Mager Dietz & Birney Incorporated ("Furman Selz"), and Grantham, Mayo, Van Otterloo & Co. ("Grantham Mayo"), both registered investment advisers under the Investment Advisers Act of 1940 (the Fund, Furman Selz and Grantham Mayo hereinafter collectively referred to as the "Applicants") filed an application on November 21, 1979, and an amendment thereto on December 3, 1979, pursuant to Section 6(c) of the Act, for an order of the Commission temporarily exempting the Applicants from the provisions of Section 15(a) of the Act to permit the Fund and Furman Selz to enter into an interim investment advisory contract and Furman Selz and Grantham Mayo to enter into an interim subadvisory contract whereby Furman Selz and Grantham Mayo will manage that portion of the fund's portfolio currently being managed by SCNC Advisory Corporation ("SCNC") until new investment advisory and subadvisory contracts between the above parties have been implemented in accordance with the procedures of Section 15 of the Act. All interested persons are referred to the application on file with the Commission for a statement of the representations contained therein, which are summarized below.

Applicants state that under the Fund's existing investment advisory contracts, SCNC is responsible for providing advisory services with respect to approximately one-half of the portfolio of the Fund at a rate of compensation of $15,000 per annum. Applicants further state that under the existing investment advisory contracts Furman Selz acts as investment adviser for the remainder of the fund's portfolio and that Grantham Mayo acts as subadviser to this portion of the Fund's portfolio pursuant to a subadvisory contract approved by the shareholders of the Fund on July 7, 1979. The rate of compensation payable by the Fund pursuant to the existing investment advisory contracts is as follows: (a) the Fund pays to SCNC an amount equal to $15,000 per annum; (b) the Fund Pays to Furman Selz an amount equal to ⅜ of 1% per annum of the Fund's average net assets managed

by Furman Selz, reduced by 50% of the compensation retained by Furman Selz for effecting Fund portfolio transactions; and (c) Furman Selz pays to Grantham Mayo an amount equal to ⅜ of 1% per annum of he Fund's average ne assets managed by Furman Selz. Each of the three investment advisory contracts currently in effect between the Fund and SCNC, the Fund and Furman Selz, and Furman Selz and Grantham Mayo will terminate on April 30, 1980, unless the Fund's Board of Directors or the holders of a majority of the outstanding voting securities of the Fund approve the continuation of the contracts for an additional period of time prior to such date. Applicants also state that during the time these investment advisory contracts have been in existence the Fund has had the opportunity to evaluate the dual adviser structure and the advisory services the Fund has received, and that during this time period the directors of the Fund have been impressed with the investment counseling services provided by Grantham Mayo and have concluded that the Fund and its shareholders would best be served by Grantham Mayo rendering investment counseling services with respect to the entire portfolio of the Fund.

Applicants state that during the summer of 1979 officers of the Fund discussed with Grantham Mayo the possibility of Grantham Mayo providing investment counseling services with respect to the entire portfolio of the Fund, and that at a directors meeting held on October 3, 1979, the directors of the Fund authorized the officers to enter into serious negotiations with Grantham Mayo to determine whether an agreement could be reached.

During November 1979, agreement was reached between the Fund and Grantham Mayo whereby Grantham Mayo would provide investment counseling services for the entire portfolio of the Fund in return for an annual fee of ½ of 1% of the Fund's average net assets. It was determined that the best time for Grantham Mayo to begin furnishing such services would be January 1, 1980, and in order for it to be able to do so Grantham Mayo, for the period prior to approval of new investment advisory and subadvisory contracts, would provide investment counseling services under the same fee arrangements as SCNC was providing investment advisory services for its portion of the Fund's portfolio. After its negotiations with Grantham Mayo were concluded the Fund met with Furman Selz to determine whether Furman Selz would be willing to serve as the Fund's investment adviser with respect to the entire portfolio of the Fund, subject to the same arrangements as have existed with respect to the portion of the Fund's portfolio to which Furman Selz currently renders advisory services. In negotiating an arrangement with Furman Selz with respect to the SCNC portion of its portfolio, the Fund was seeking to obtain a reduction in fees payable by it to Furman Selz similar to that contained in its existing investment advisory contract with Furman Selz, which provides that Furman Selz will credit an amount equal to 50% of the net amount of brokerage commissions retained by it in effecting Fund portfolio transactions against the amount of advisory fee payable by the Fund.

Applicants further state that an interim investment advisory agreement with Furman Selz and an interim subadvisory agreement between Furman Selz and Grantham Mayo were submitted to and approved by the directors of the Fund at a special meeting of the directors on November 15, 1979. As of this same date, it was determined by both representatives of SCNC and the Fund that termination of the investment advisory contract between SCNC and the Fund would be desirable and that such termination would take effect on December 31, 1979. Under the interim investment advisory contract to commence January 1, 1979, and to continue until the earlier of April 30, 1980, or the date on which Furman Selz commences the rendering of advisory services pursuant to a new investment advisory contract between the Fund and Furman Selz which has been approved by the Fund's shareholders, Furman Selz will serve as investment adviser to that portion of the Fund's portfolio currently managed by SCNC. The interim investment advisory contract provides that the Fund will pay Furman Selz for its services a sum equal to $15,000 per annum to be prorated for the period during which advisory services are actually rendered. Applicants state that except for the $15,000 annual fee and special provisions relating to approval and termination the interim investment advisory contract contains the same terms and conditions as the existing investment advisory contract between the Fund and Furman Selz, including the provision that the fees payable to Furman Selz shall be reduced by an amount equal to 50% of the compensation retained by it for effecting Fund portfolio transactions during the period. Applicants further state that under the approved interim subadvisory agreement Grantham Mayo will serve as the subadviser for that portion of the Fund's portfolio currently managed by SCNC, and that pursuant to this agreement Furman Selz will pay to Grantham Mayo for its investment counseling services a sum equal to $15,000 per annum prorated for the period during which its services are actually rendered. In addition, Applicants state that except for the $15,000 prorated annual fee and special provisions relating to approval and termination the interim subadvisory contract contains the same terms and conditions as the existing subadvisory contract, and will run to the earlier of April 30, 1980, or the date on which Grantham Mayo commences the rendering of investment counseling services pursuant to a new subadvisory contract between Furman Selz and Grantham Mayo which has been approved by the Fund's shareholders.

It is presently anticipated that Grantham Mayo will be reorganized into the partnership of Grantham, Mayo, Van Otterloo & Co. (the "Partnership") on or before December 31, 1979. The four stockholders of Grantham Mayo will be the four partners of the Partnership and will have substantially the same percentage equity interest in the Partnership as they now have in Grantham Mayo. Applicants state that it is not expected that there will be any material change in control of Grantham Mayo or in the manner in which it conducts its business as a result of this reorganization.

Section 15(a) of the Act provides, among other things, that it shall be unlawful for any person to serve or act as an investment adviser of a registered investment company except pursuant to a written contract which has been approved by the vote of a majority of the outstanding voting securities of such registered investment company. Section 2(a)(20) of the Act, in pertinent part, defines the term "investment adviser of an investment company" to include any person who, pursuant to contract, regularly furnishes advice to an investment company with respect to the desirability of investing in, purchasing or selling securities, or is empowered to determine what securities shall be purchased or sold.

Applicants seek an order of the Commission, pursuant to Section 6(c) of the Act, temporarily exempting Applicants from the provisions of Section 15(a) of the Act for a period of time not to exceed approximately 120 days to permit the Fund to employ Furman Selz as the Fund's investment adviser and Grantham Mayo as the Fund's subadviser under the proposed interim investment advisory contract and interim subadvisory contract.

Section 6(c) of the Act provides, in pertinent part, that the Commission, by order upon application, may conditionally or unconditionally exempt any person, security, or transaction, or any class or classes of persons, securities, or transactions from any provision of the Act or from any rule or regulation under the Act if and to the extent such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act.

Applicants state that the directors of the Fund have determined that termination of the Fund's investment advisory contract with SCNC as of December 31, 1979, would be in the best interests of the Fund and its shareholders, and in so doing the Fund's directors have acted in conformity with the policy of the Act and their fiduciary duties. Applicants further state that although the Act contemplates prior shareholder approval of investment advisory contracts, this policy of the Act is served by permitting a Board of Directors that has decided in its business judgment to terminate an advisory relationship to secure replacement advisory services without prior shareholder approval for a limited period of time when obtaining such prior approval would be impracticable.

Applicants argue that it would be impracticable for the Fund to secure shareholder approval of new investment advisory and subadvisory contracts prior to December 31, 1979, for the following reasons: (1) the time remaining in 1979 does not allow sufficient time to prepare proxy materials for filing with the Commission, receipt of any comments from the Commission's staff, printing and mailing of proxy materials to the almost 30,000 shareholders of the Fund, receipt of proxies and holding the meeting itself; and (2) the cost of conducting a separate special shareholders meeting in addition to the planned Annual Meeting of Shareholders to be held in late March or early April of 1980 would significantly burden the Fund financially to the detriment of its shareholders.

Notice is further given that any interested person may, not later than December 27, 1979, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the application accompanied by a statement as to the nature of his interest, the reasons for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the addresses stated above. Proof of such service (by affidavit or, in the case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0–5 of the Rules and Regulations promulgated under the Act, an order disposing of the application herein will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79–38337 Filed 12–13–79; 8:45 am]

BILLING CODE 8010–01–M

[Rel. No. 21319; 70–6098]

Jersey Central Power & Light Co.; Proposed Extension of and Adjustment in Short-Term Borrowing Authorization

November 29, 1979.

Notice is hereby given that Jersey Central Power & Light Company ("Jersey Central"), Madison Avenue at Punch Bowl Road, Morristown, New Jersey 07960, an electric utility subsidiary of General Public Utilities Corporation, ("GPU"), a registered holding company has filed with this Commission a post-effective amendment to its application previously filed and amended in this matter pursuant to the Public Utility Holding Company Act of 1935 ("Act"), designating Section 6(b) of the Act as applicable to the proposed transactions. All interested persons are referred to the application, as amended by said post-effective amendment, which is summarized below, for a complete statement of the proposed transactions.

By order dated May 4, 1979 (HCAR No. 21031), this Commission granted Jersey Central authority to issue or renew, from time to time until December 31, 1979, its unsecured promissory notes maturing not more than nine months after the date of issue, evidencing short-term bank borrowings provided that the aggregate principal amount of such unsecured promissory notes outstanding at any one time shall not exceed the lesser of (a) $140,000,000 or (b) the amount permitted by Jersey Central's Charter. Such promissory notes would bear interest at the lending bank's prime interest rate for commercial borrowings at the date of issuance and would be prepayable at any time without premium. By Order dated June 19, 1979 (HCAR No. 21107; File No. 70–6311), this Commission authorized Jersey Central to issue, sell and renew from time to time through October 1, 1981, its promissory notes (having a maturity of not more than six months from the date of issue) pursuant to a Revolving Credit Agreement (the "loan agreement") dated as of June 15, 1979, with a syndicate of commercial banks. Jersey Central is authorized to incur indebtedness under the loan agreement up to an amount which, when added to GPU's borrowings outstanding hereunder, would not exceed the lesser of (a) $139,000,000, or (b) the amount permitted by Jersey Central's Charter.

By post-effective amendment Jersey Central requests that it be permitted to issue and sell its unsecured promissory notes hereunder from time to time during the period ending December 31, 1980; provided that Jersey Central's borrowings hereunder, when added to its borrowings outstanding under the previously authorized loan agreement would not in the aggregate exceed the lesser of (a) $139,000,000, or (b) the amount permitted by Jersey Central's Charter. From time to time, certain lending banks have advised Jersey Central that it would be more convenient if Jersey Central's borrowings were made at an interest rate in excess of the bank's prime rate with a reduction in the compensating balances which Jersey Central would otherwise normally be required to maintain. Jersey Central is normally required to maintain compensating balances ranging from a minimum of 10% of the available line to a maximum of 10% of the line plus 10% of the loan outstanding. Consequently, assuming compensating balances will equal 20% of the aggregate amounts borrowed, the result is presently to increase the effective cost of borrowing to an amount equal to 125% of the prime rate. In order to provide the necessary flexibility, Jersey Central therefore further requests authority to effect such borrowings at rates in excess of the prime rate; provided, however, that any such interest rate, after giving effect to compensating balance requirements, would not result in an effective cost to

Jersey Central in excess of 125% of the lending bank's prime rate in effect from time to time.

Although no commitments or agreements for such borrowings have been made, Jersey Central expects that, as and to the extent that its cash needs require, they would be effected from time to time from one or more of the following banks, the maximum amount currently expected to be borrowed and outstanding at any one time from each such bank being as follows:

Bank	Amount
National Community Bank	$3,000,000
Central Jersey Bank & Trust Company	3,000,000
Mercantile-Safe Deposit & Trust Company	3,000,000
National State Bank, Elizabeth, N.J.	2,500,000
First National Bank of Toms River, N.J.	1,000,000
The Philadelphia National Bank	1,000,000
	$13,500,000

Jersey Central expects that there may be additional banks from which it may effect such borrowings from time to time. In all other respects the transactions as heretofore authorized by the Commission herein would remain unchanged.

A statement of the fees, commissions and expenses to be incurred in connection with the proposed transactions will be filed by amendment. No state or federal commission, other than this Commission, has jurisdiction in connection with the proposed transactions.

Notice is further given that any interested person may, not later than December 26, 1979, request in writing that a hearing be held on such matter, stating the nature of his interest, the reasons for such request, and the issues of fact or law raised by said application, as amended by said post-effective amendment, which he desires to controvert; or he may request that he be notified if the Commission should order a hearing thereon. Any such request should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request should be served personally or by mail upon the applicant at the above-stated address, and proof of service (by affidavit or, in case of an attorney at law, by certificate) should be filed with the request. At any time after said date, the application, as amended by said post-effective amendment or as it may be further amended, may be granted and permitted to become effective as provided in Rule 23 of the General Rules and Regulations promulgated under the Act, or the Commission may grant exemption from such rules as provided in Rules 20(a) and 100 thereof, or take such other action as it may deem appropriate. Persons who request a hearing or advice as to whether a hearing is ordered will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Corporate Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38336 Filed 12-13-79; 8:45 am]

BILLING CODE 8010-01-M

[Release No. 34-16406; File No. S7-613]

Securities Transactions Subject to Section 11(a) of the Securities Exchange Act of 1934

AGENCY: Securities and Exchange Commission.

ACTION: Publication of survey data and solicitation of comments.

FOR FURTHER INFORMATION CONTACT:

Joseph A. Meiburger, Directorate of Economic and Policy Research, (202-523-5497)
or
Arnold Y. Dean, Division of Market Regulation, (202-272-2838).
Securities and Exchange Commission, 500 North Capitol Street, Washington, D.C. 20549.

Introduction

On January 11, 1979, the Commission approved the mailing of a voluntary survey (the "Survey") to all 636 national securities exchange member firms that deal with the public. The Survey was designed to measure the impact of Section 11(a) of the Securities Exchange Act of 1934 (the "Act")[1] upon those members who provide money management or exchange brokerage services to institutional accounts over which they exercise investment discretion ("Discretionary Institutional Accounts").[2] The Survey was designed and analyzed by the Commission's Directorate of Economic and Policy Research and Division of Market Regulation and elicited information regarding the nature and extent of such services, the problems that Section 11(a) has created for member firms, and the remedial steps that these firms have taken or are proposing to take with respect to these problems. In particular, the Commission believed the responses to the Survey would help it to determine whether Temporary Rule 11a2-2(T) (the "effect versus execute" rule) provides a solution to some of these problems. Approximately two-thirds, or 428, of the exchange members surveyed responded to the Survey.[3]

I. Background

The Commission has consistently interpreted the term "effect," for purposes of Section 11(a), to include both (i) transactions executed directly on the exchange by a member and (ii) transactions executed indirectly through another member.[4] Nevertheless, the Commission concluded in 1978 that implementation of Section 11(a) might have unintended and undesirable effects in light of significant developments in the securities markets that had occurred since the enactment of that Section as part of the Securities Acts Amendments of 1975.[5] One of the Commission's concerns was that Section 11(a) would place exchange members, particularly regional and smaller members, at a competitive disadvantage, leading to greater concentration in the securities industry and a reduction in the general availability of money management services to institutional accounts, particularly those smaller institutional accounts which regional and smaller members have traditionally served.[6]

In response to this and other concerns, the Commission adopted the "effect versus execute" rule on a temporary basis in March 1978.[7] The rule is designed to place exchange members and non-members on the same footing in connection with the execution of orders to which Section 11(a) applies. To qualify under the rule, an order for a covered account must be transmitted from off the exchange floor and neither the exchange member sending the order nor any associated person of that member may participate in the execution of the transaction after the order has been so transmitted. Moreover, the rule's "contract out" clause, Temporary Rule 11a2-2(T)(a)(2)(iv), permits account fiduciaries to select the method of payment that best suits the interests of account beneficiaries.[8]

At the time the Commission adopted the rule it stated that it did not have sufficient data to measure the anticipate anticompetitive effects of Section 11(a) on regional and smaller exchange member firms.[9] Accordingly, it initiated the Survey in order to measure certain of those impacts.

II. Overview of the Survey Results

The Survey responses came from all segments of the industry in proportions roughly equal to their representation in the original mailing, as Table 1 indicates.[10] The results of the Survey reveal the extent to which respondents continue to manage institutional accounts, the size and characteristics of the respondents' institutional money management business, and the degree to which respondents rely on the "effect versus execute" rule.

Eighty-four of the 428 respondents indicated in response to Question 1 (*See* Table 2) that they have provided exchange brokerage services to Discretionary Institutional Accounts at some point since 1973. Seventy-eight firms continued to manage assets in Discretionary Institutional Accounts after the implementation of Section 11(a), but 12 of these firms have stopped providing exchange brokerage services to these accounts. Thus, Section 11(a) directly affects the remaining 65 respondents with regard to their provision of exchange brokerage services to Discretionary Institutional Accounts. The statistical base for the analysis of the Survey consists of 61 firms that provided usable asset and revenue data,

Certain information that was generated by the Survey and that is confidential and not presented in the tables, is summarized below in an aggregate fashion.

Twenty of the 61 respondents that provided asset and revenue data accounted for $8.6 million of the $9.5 million in aggregate commissions earned from Discretionary Institutional Accounts in 1978. Thirteen firms derive approximately 5% or more of their gross revenue from the management of Discretionary Institutional Accounts. One of these 13 is a regional broker-dealer. All but one of these firms are also among the 20 respondents that account for most of this revenue in the industry. As is true of the industry generally, the firms with the smaller accounts among the 13 are more dependent on commission revenue. As a group, these 13 firms derive 13% of their gross revenue from the management of Discretionary Institutional Accounts. Eighty-five percent of this management compensation is in the form of asset-based management fees.

Four of the largest of these 13 firms derive 89% or more of the revenue they earn from the management of Discretionary Institutional Accounts in the form of asset-based fees. Each of these four derive less than 1.8% of their gross revenue from commissions affected by Section 11(a). The nine smaller firms each derive up to 76% of the revenue they earn from the management of Discretionary Institutional Accounts in the form of asset-based fees. For each of them, the commission portion of this management compensation represents between 4.4% and 28.6% of their gross revenue.

Sixty-one of the 65 firms that continue to provide exchange brokerage services to Discretionary Institutional Accounts indicated that they had made use of the "contract out" provision of the "effect versus execute" rule or planned to do so in the future. The other four indicated that they had taken advantage of the "effect versus execute" rule but not the "contract out" provision.

The remaining firms indicated that they have taken one or more of the following steps in light of Section 11(a): (i) dropping exchange memberships, (ii) no longer providing exchange brokerage services and foregoing the related commission revenue, (iii) giving up discretionary authority and foregoing management fees, and (iv) ceasing to manage Discretionary Institutional Accounts.

In addition to the specific question on the impact of Section 11(a), with and without the "effect versus execute" rule, the Survey questionnaire afforded brokers an opportunity to comment generall on the Section and the rule; many took advantage of the opportunity. They expressed extensive support for the "effect versus execute" rule although they also pointed out the regulatory burdern and costs of compliance.

Comments are solicited from interested persons regarding the data generated by the Survey, the validity of the results and conclusions which the Survey data may support with regard to the impact of Section 11(a) on exchange members that provide money managment or exchange brokerage services to Discretionary Institutional Accounts.

DATE: Comment should be received by: February 1, 1980.

ADDRESSES: Interested persons should submit six copies of their views and comments to George A. Fitzsimmons, Secretary, Securities and Exchange Commission, 500 North Capitol Street, Washington, D.C. 20549, and should refer to File No. S7-613. All submissions will be made available for public inspection at the Commission's Public Reference Section, Room 6101, 1100 L Street, N.W., Washington, D.C.

By the Commission.

George A. Fitzsimmons,

Secretary.

December 5, 1979

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[1] Subject to various statutory exemptions and others created by Commission rules, Section 11(a) of the Act makes it unlawful for a member of a national securities exchange to effect any transaction on that exchange for: (i) its own account, (ii) the account of a person associated with that member, or (iii) an account as to which the member or an associated person of the member exercises investment discretion (collectively referred to as "covered accounts"). The Section became fully effective on February 1, 1979.

[2] The instructions accompanying the Survey defined an institutional account as any account other than (i) a natural person account or (ii) a proprietary account of the exchange member or member firm or a proprietary account of an associated person of the exchange member or member firm. A Discretionary Institutional Account is defined in the instructions as an institutional account with respect to which the exchange member or member firm or an associated person of the exchange member or member firm exercises investment discretion.

[3] The Securities Industry Association (the "SIA") provided useful support for the Survey by encouraging its members to respond.

[4] *See* Securities Exchange Act Release Nos. 12055 (Jan. 27, 1976), 41 FR 8075 (Feb. 24, 1976); 13388 (Mar. 8, 1977), 42 FR 16845 (Mar. 29, 1977); and 14563 (Mar. 14, 1978), 43 FR 11542 (Mar. 17, 1978) (the "March 1978 Release").

[5] *See* Letters from Harold M. Williams to Walter F. Mondale, Thomas P. O'Neill, Jr., Harley O. Staggers, and Harrison A. Williams (Feb. 22, 1978); and memorandum of the Securities and Exchange Commission in Support of its Recommendation that the Congress Delay the Full Effectiveness of Section 11(a) until November 1, 1979 ("SEC Memorandum").

[6] *See* SEC Memorandum, p. 7-8.

[7] *See* the March 1978 Release, which also contains a summary of the then current debate over the scope of the term "effect," a short history of the "effect versus execute" rule, and a description of its operation.

[8] As the Commission stated in the March 1978 Release: There are likely to be circumstances in which those authorized to transact business for discretionary accounts may find it more costly, or otherwise not in the best interests of the account, to pay separately for money management and brokerage. In some cases, the payment of transaction-related fees as an offset to, or perhaps even a substitute for, management fees computed solely on an asset-related basis may better suit the investment needs of those accounts. Those accounts are in the best position to judge whether the arrangements made with their account managers are suitable to their investment needs and whether the performance of those account managers measures up to their needs and expectations.

[9] *See also* SEC Memorandum at n. 14.

[10] Tabulations of the survey data are located at the end of this release.

Footnotes continued on next page

Footnotes continued from last page

Table 1.—*Survey Response by Type of Brokerage Firm* [1]

	Firms in survey		Firms responding		Firms responding with money management business	Proportion of respondents with money management business
			NYSE Members			
NYSE member firms:		*Percent*		*Percent*		*Percent*
Regional NYSE members	88	13.8	64	15.0	25	39
New York City retail firms	23	3.6	15	3.5	5	33
National full line firms	10	1.6	5	1.2	5	100
Institutional firms	16	2.5	10	2.3	6	60
Other Classified NYSE members	54	8.5	36	8.4	12	33
Unclassified NYSE members [2]	169	26.5	111	25.9	16	14
NYSE total	360	56.6	241	56.3	69	
			All Brokers			
NYSE members firms	360	57	241	56	69	29
Regional exchange members	276	43	187	44	15	8
Total	636	100	428	100	84	

[1] The categories of brokers used in this analysis were developed by the staffs of the Commission and the SIA. The categories were used in the Commission's series of *Report to Congress on the Effect of the Absence of Fixed Rates of Commissions*, and most recently, in the *Staff Report on the Securities Industry in 1978*. The categories provide a useful analytical framework for examining how Commission actions affect different segments of the broker-dealer community. The categories are mutually exclusive.

[2] Includes some AMEX members.

Table 2.—*Members Providing Exchange Brokerage Services to Discretionary Institutional Accounts*

	Yes	No	No. response	Total
QUESTION 1				
1a. At any time during the period Jan. 1, 1974 to Jan. 31, 1979, did your firm or any affiliate of your firm have any discretionary institutional accounts for which your firm or any affiliate of your firm provided exchange brokerage services?	84	344	0	428
1b. Does your firm or any affiliate of your firm currently have any discretionary institutional accounts for which your firm or any affiliate of your firm provides exchange brokerage services?	65	363	0	428
1c. If your firm or any affiliate of your firm did provide exchange brokerage services to discretionary institutional accounts at any time following Jan. 1, 1974, but discontinued them prior to Feb. 1, 1979, when were these services discontinued?				
Year discontinued:	*Number*			
1974	1			
1975	4			
1976	1			
1977	2			
1978	2			
1979	6			
No date	3			
Total	19			

Table 3.—*Management of Discretionary Institutional Accounts by Type of Firm*

	Assets managed (percent)	Number of accounts (percent)	Revenue from accounts (percent)
NYSE member firms:			
Regional NYSE members	1.0	7.1	2.2
New York City retail firms	8.7	5.3	5.2
National full line firms	13.4	5.6	13.9
Institutional firms	24.0	12.7	23.8
Other classified NYSE members	1.2	2.3	1.7
Unclassified NYSE members	24.4	24.2	27.2
Regional exchange brokers	27.3	42.7	26.1
Total	100	100	100

Table 4.—*Discretionary Institutional Assets and Revenue by Category of Broker—1978 Data*

	Size of accounts		Revenue derived from accounts				Total account revenue as percent of gross revenue [1]
	Total assets managed	Average account size	Commissions	Fees	Total	Fees as percent of total	
	(millions of dollars)		(thousands of dollars)				
NYSE member firms:							
Regional NYSE Members	$234.4	$0.8	$625	$96	$1,585	61	0.6
New York City Retail Firms	1,970.9	10.3	524	3,239	3,763	86	2.0
National Full Line Firms	3,021.6	15.0	1,511	8,569	10,080	85	.5
Institutional Firms	5,428.4	11.9	762	16,446	17,208	96	5.2
Other Classified NYSE Members	266.0	3.2	525	676	1,201	56	.3
Unclassified NYSE Members	5,510.2	6.3	5,350	14,330	19,680	73	3.0
Regional exchange brokers:							
Brokers engaged in general securities business	39.7	1.1	54	35	89	39	0.4
Brokers Affiliated with Money Managers	6,116.0	4.1	179	18,681	18,860	99	180.0
Total	22,587.2	6.3	9,530	62,936	69,766	90	1.8

[1] The revenue derived from discretionary institutional accounts is taken from the money management survey schedule and includes management fees generated by the investment advisors affiliated with these brokers. Total revenue, however, reflects only the operations of the registered broker-dealer, as reported on the FOCUS Report. In the case of the Regional Exchange Brokers affiliated with money managers, revenues of the money management operations dwarf the unconsolidated operations of the affiliated registered broker-dealers.

Table 5.—*Type of Discretionary Institutional Account by Category of Broker—1978 Data*

	Number of firms	Employee benefit plans	Investment companies	Corporate accounts	Other investment and trading partnerships	Endowment [1]	Foundations	Others	Total
	Type of account								
NYSE member firms:									
Regional NYSE Members	25	213	6	29	3	14	8	31	304
New York City Retail Firms	5	140	1	25	5	4	15	8	198
National Full Line Firms	5	135	15	21		16	16	17	220
Institutional Firms	6	365	20	69	37	24	48	21	584
Other Classified NYSE Members	12	173	11	37	14	14	37	8	294
Unclassified NYSE Members	16	861	11	156	17	24	49	41	859
Regional exchange brokers	15	1,494	39	30	17	17	28	10	1,635
Totals	84	3,081	103	367	93	113	201	136	4,094

[1] Seventy-nine of the 84 respondents reported information on type of account. Five brokers who left the business before 1978 reported no accounts.

Table 6.—*Financial Impact of Full Implementation of Section 11(a)*

Question 2. **What kind of financial impact will the full implementation of Section 11(a) on February 1, 1979 have on your business?**

a. Section 11(a) without the "Effect versus Execute" rule (Temporary Rule 11a2–2(T)):

	Without the "Effect vs. Execute Rule"	
	Responses	Percent
Major negative impact	11	13
Significant negative impact	26	31
Minimal negative impact	27	32
No impact	7	8
Minimal positive impact	2	2
Significant positive impact	1	1
Major positive impact	1	1
Unknown	5	6
No Response	4	5
Totals	84	100

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b. Section 11(a) if the "Effect versus Execute" rule is adopted permanently:

	With the "Effect vs. Execute Rule"	
	Responses	Percent
Major negative impact	1	1
Significant negative impact	11	13
Minimal negative impact	39	46
No impact	10	12
Minimal positive impact	6	7
Significant positive impact	4	5
Major positive impact	1	1
Unknown	8	10
No response	4	5
Totals	84	100

Table 7.—*Steps Taken To Adapt To Full Implementation of Section 11(a)*

Question 3. In response to the full implementation of Section 11(a) on February 1, 1979, *what steps have been taken or are planned by your firm or its affiliates?*

	Steps taken		Steps planned	
	Number of firms	Percent	Number of firms	Percent
(a) Drop exchange memberships and use independent, exchange members	3	4	1	1
(b) Form a non-broker-dealer subsidiary to manage Discretionary Institutional Accounts and arrange for unaffiliated brokers to execute its accounts' orders	3	4	2	2
(c) Cease carrying Discretionary Institutional Accounts	6	7	2	2
(d) Direct orders for Discretionary Institutional Accounts to unaffiliated firms for execution and not charge transaction-related compensation (pursuant to the "effect versus execute" rule)	26	31	2	2
(e) Obtain contractual approval from the account holders of Discretionary Institutional Accounts, direct orders to unaffiliated firms for execution, and charge transaction-related compensation (pursuant to the "contract out" provision of the "effect versus execute" rule)	48	57	13	15
(f) Use a statutory exemption (*e.g.*, bona fide arbitrage or bona fide hedge)	20	24	1	1
(g) Other (please specify)	6	7	0	0

NOTE: Multiple responses data for 84 firms; three did not respond

Table 8.—*Commission Portion of Discretionary Institutional Money Management Compensation and the Discretionary Institutional Money Management Portion of Gross Revenue*

	Discretionary institutional money management as a percent of gross revenue			
	0 to 1 pct	1 to 5 pct	5 pct or more	Total
Commission portion of compensation:				
0 to 10 pct	3	3	2	8
10 to 25 pct	4		4	8
25 to 50 pct	5	5		10
50 pct or more	15	5	6	26
Total	27	13	12	[1]52

[1] This tabulation includes 52 of the 61 firms which supplied asset and/or revenue data. It excludes six money managers which have small affiliated broker-dealers. In the case of these six firms, the money managers' fees dwarfed their affiliated broker-dealers' gross revenue. Three other firms either provided no revenue data (but did provide asset data) or indicated their discretionary institutional accounts generated no revenue in 1978.

Table 9.—*Survey Questions 4 through 7*

	Yes	No	Response	Total
4a. Does your firm or any affiliate of your firm have floor brokers on any exchanges?	56	24	4	84
4b. If yes, did they execute, during the twelve months prior to Feb. 1, 1979, transactions for any of your firm's or your affiliate's discretionary institutional accounts?	51	5	4	60
5. Does your firm have any affiliates (*e.g.*, a subsidiary) which have discretionary institutional accounts?	31	49	4	84

6. If your firm *or any affiliate* of your firm currently has discretionary institutional accounts, how many are there and what types of accounts are they?

Employee benefit plans	3,081
Investment companies	103
Corporate accounts	367
Other investment and trading partnerships	93
Colleges and preparatory school endowments	113
Foundations	201
Other types	136
Total	4,094

(Note: Data for 79 firms. Five brokers who left the business before 1978 reported no accounts.)

7. Does your firm or any affiliate of your firm generally set a minimum size for a discretionary institutional account which it will accept (disregard family groups and other exceptional circumstances)?

	Responses	Percent
No	31	39
Yes	40	51
No response	8	10
Total	79	100

If Yes, what is the minimum size?

Minimum account size:	Responses	Percent
Less than $100,000	7	18
$100,000 to $499,999	22	55
$500,000 to $999,999	2	5
$1,000,000 or more	9	22
Total	40	100

Table 10.—*Discretionary Institutional Money Management Revenue*

Question 8. Please provide an appropriate percentage breakdown, by type of fee arrangement as set forth below, of the aggregate revenues your firm or any Affiliate of your firm obtained from all Discretionary Institutional Accounts during the year ended December 31, 1978.

Aggregate Revenue by Type of Fee Arrangement

	Accounts managed for both commissions and fees	Accounts managed for commissions only	Accounts managed for fees only		Total
			Fee includes brokerage	Fee does not include brokerage	
Number of accounts	686	557	249	2,105	3,597
Average size of account	$5,845,166	$366,893	$4,786,816	$8,058,575	
Compensation:					
Fees	16,825,832	0	2,571,179	43,538,887	$62,935,898
Commissions	4,016,759	2,989,458	0	*2,523,579	9,529,796
Total	20,842,591	2,989,458	2,571,179	45,062,466	72,465,694
Fee portion of total (percent)	80.7	0	100	96 6	86 8

Note: Data for 61 firms who provided responses to Question 9.

*This figure represents commission revenue reported by firms that also indicated they manage accounts for fees only (fees which do not include commissions). Telephone conversations with several of them indicate this commission revenue is from orders executed by the broker/manager. Thus, some accounts are effectively managed for fees plus commissions.

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Table 11.—*Accounts, Assets, and Revenue by Type of Brokerage Firm*

Question 9. Please provide the information below with respect to *all* Discretionary Institutional Accounts managed by your firm and its Affiliates as of year-end 1978.

Discretionary Institutional Accounts	Year-End 1978							
	NYSE Members							
	All respondents	Regional exchange firms	Regional firms	Local NYSE retail firms	National full line firms	Institutional firms	Other classified firms	Unclassified NYSE members
Number of discretionary institutional accounts managed for								
Brokerage commissions and management fee	686	47	119	10	55	54	34	366
Brokerage commissions only	557	10	67	57	18	73	17	315
Management fee only:								
Fee covers brokerage services	249	0	10	12	19	202	0	6
Fee does not cover brokerage	2,105	1,480	60	112	109	127	33	184
	(Thousands of dollars)							
Total assets in all discretionary institutional accounts managed for								
Brokerage commissions and management fee	$3,974,688	$231,467	$144,738	$10,000	$348,544	$1,072,856	$46,081	$2,121,003
Brokerage commissions only	175,260	4,258	17,822	32,246	6,865	2,497	9,334	102,236
Management fee only:								
Fee covers brokerage services	291,551	0	14,754	226,000	5,736	42,867	0	194
Fee does not cover brokerage	18,145,632	5,919,629	57,116	1,700,700	2,660,595	4,310,204	210,634	3,286,754
	(Thousands of dollars)							
Revenue received from discretionary institutional Accounts								
Management fees received (excluding brokerage commissions)	$62,936	$18,716	$960	$3,239	$8,569	$16,446	$576	$14,330
Brokerage commissions received	9,536	233	625	524	1,511	762	525	5,350
Estimate of OTC portion of brokerage commissions	447	14	82	39	136	9	28	139
Percent	5	6	13	7	9	1	5	3
Brokerage commissions paid in nonAffiliated broker-dealers for discretionary institutional accounts	$23,275	$7,568	$150	$1,530	$507	$12,875	$233	$412
Percent of total	100	26.1	2.2	5.2	13.9	23.7	1.7	27.2
Number of firms	61	10	18	5	5	4	6	13

Note: Data for 61 firms.

[FR Doc. 79-38335 Filed 12-13-79; 8:45 am]

BILLING CODE 8010-01-M

SMALL BUSINESS ADMINISTRATION

[Declaration of Disaster Loan Area No. 1737]

Alabama; Declaration of Disaster Loan Area

Montgomery County and adjacent counties, within the State of Alabama, constitute a disaster area as a result of damage caused by a tornado which struck on November 25, 1979.

Eligible persons, firms and organizations may file application for loans for physical damage until the close of business on February 4, 1980 and for economic injury until the close of business on September 8, 1980 at:

Small Business Administration, District Office, 908 South 20th Street, Room 202, Birmingham, Alabama 35205.

or other locally announced locations.

(Catalog of Federal Domestic Assistance Programs Nos. 59002 and 59008.)

Dated: December 6, 1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38422 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[Declaration of Disaster Loan Area No. 1694; Amdt. No. 2]

Alabama; Declaration of Disaster Loan Area

The above numbered Declaration (see 44 FR 61716), and amendment No. 1 (see 44 FR 65852) are amended by extending the filing date for physical damage until the close of business on January 14, 1980, and for economic injury until the close of business on August 13, 1980.

(Catalog of Federal Domestic Assistance Programs Nos. 59002 and 59008.)

Dated: December 7, 1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38423 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[License No. 01/01-0035]

Beacon Capital Corp.; Filing of Application for Transfer of Control of a Licensed Small Business Investment Company

Notice is hereby given that an application has been filed with the Small Business Administration (SBA) pursuant to § 107.701 of the Regulations governing small business investment companies (13 CFR 107.701 (1979)), to transfer control of Beacon Capital Corporation (Beacon), 587 Beacon Street, Boston, Massachusetts 02215, a Federal Licensee under the Small Business Investment Act of 1958, as amended (Act).

Beacon Capital Corporation was licensed on April 23, 1962, and has private capital of $223,200. The proposed transfer of control will be from the stockholders of Beacon (George S. Chaletsky, Arnold H. Weisman, Paul M. Goldstein, Norman A. Chaletsky, Leo Sontag and Stephen E. Chaletsky) who own 100 percent of the total stock outstanding to Howmor Funding Corp. (Howmor), 41 East 42nd Street, New York, New York 10007. Howmor is a New York Corporation owned by Nat Lifton (42.5%), Martin Lifton (42.5%) and Phyllis Weiner (15%), 860 Park Avenue, New York, New York 10021.

The proposed officers and directors will be:

Name and Title

Nat Lifton, Chairman, 175 Beach 136th Street, Belle Harbor, New York 11694

Martin Lifton, President-Director, 85 Tara Drive, Roslyn, New York 11576

Alan G. Blake, Treasurer-Director, 325 West End Avenue, New York City, New York 10023

Kathleen M. Hayes, Secretary, Hudson View, Peekskill, New York 10566

Howmor, as a condition to approval of transfer of control, has agreed to increase the capital of Beacon in an amount up to $800,000.

Matters involved in SBA's consideration of the application include the general business reputation and character of the proposed new owners, and the probability of successful operation of Beacon under their management, including adequate profitability and financial soundness, in accordance with the Act and the SBA Rules and Regulations.

Any person may, on or before December 31, 1979, submit to SBA written comments on the proposed transfer of control. Any such communications should be addressed to the Acting Associate Administrator for Finance and Investment, Small Business Administration, 1441 "L" Street, N.W., Washington, D.C. 20416.

A copy of this Notice shall be published in newspapers of general circulation in New York, New York.

(Catalog of Federal Domestic Assistance Program No. 59.011, Small Business Investment Companies)

Peter F. McNeish,

Acting Associate Administrator for Finance and Investment.

[FR Doc. 79-38429 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[License No. 06/06-0225]

First Oklahoma Investment Capital Corp.; Issuance of License To Operate as a Small Business Investment Company

On October 29, 1979, a notice was published in the **Federal Register** (44 FR 62108) stating that an application has been filed by First Oklahoma Investment Capital Corporation, 120 North Robinson, Oklahoma City, Oklahoma 73102, with the Small Business Administration (SBA) pursuant to § 107.102 of the Regulations governing small business investment companies (13 CFR 107.102 (1979)), for a license to operate as a small business investment company (SBIC).

Interested parties were given until the close of business November 13, 1979, to submit their written comments to SBA. No comments were received.

Notice is hereby given that, pursuant to Section 301(c) of the Small Business Investment Act of 1958, as amended, and after having considered the application and all other information, SBA issued License No. 06/06-0225 on November 30, 1979, to First Oklahoma Investment Capital Corporation to operate as an SBIC.

(Catalog of Federal Domestic Assistance Program No. 59.011, Small Business Investment Companies).

Dated: December 7, 1979.

Peter F. McNeish,

Acting Associate Administrator for Finance and Investment.

[FR Doc. 79-38428 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[Proposal No. 05/05-0143]

Greater Miami Investment Service, Inc.; Application for a License as a Small Business Investment Company

Notice is hereby given of the filing of an application with the Small Business Administration pursuant to Section 107.102 of the SBA Regulations (13 CFR 107.102 (1979)), by Greater Miami Investment Service, Inc., 3131 South Dixie Drive, Suite 505, Dayton, Ohio 45439 for a license to operate as a small business investment company (SBIC) under the provisions of the Small Business Investment Act of 1958 (the Act), as amended (15 U.S.C. 661 *et seq.*).

The proposed officers, directors, and shareholders are:

Name and Address, Title and Relationship, and Percent of Ownership

William P. Patterson, 5328 Landau Drive, Kettering, Ohio 45429; Chairman of the Board, Treasurer, Director—3.

W. Walker Lewis, Jr., 765 Winding Way, Dayton, Ohio 45419; Vice Chairman of the Board, Director—2.

Robert Meyer, 579 Eagle Circle, Kettering, Ohio 45429; President, Director—2.

Richard A. Brook, 2000 Courthouse Plaza, 10 West Second Street, Dayton, Ohio 45402; Secretary— .

Stephan J. Wolfe, One First National Plaza, Dayton, Ohio 45401; Director—1.

Clarence Lapedes, 3301 Philadelphia Drive, Dayton, Ohio 45405; Director—1.

James W. McSwiney, 2300 Ridgeway, Dayton, Ohio 45419; Director—2.

Fred C. Smith, 6320 Mad River Road, Dayton, Ohio 45459; Director—2.

Richard J. Jacob, 333 Oakwood Avenue, Dayton, Ohio 45419; Director—2.

Max Gutmann, 9556 Bridlewood Trail, Spring Valley, Ohio 45370; Director—2.

Winters National Bank and Trust Company, Winters Bank Tower, Dayton, Ohio 45401—15.

The Applicant proposes to begin operations with a capitalization of $500,000 and will be a source of equity capital and long term loan funds for qualified small business concerns. The Applicant intends to render management consulting services to small business concerns.

Matters involved in SBA's consideration of the application include the general business reputation and character of the proposed owners and management, and the probability of successful operations of the new company under their management, including adequate profitability and financial soundness, in accordance with the Act and Regulations.

Notice is further given that any person may, not later than 15 days from the date of publication of this Notice, submit written comments on the proposed SBIC to the Acting Associate Administrator for Finance and Investment, Small Business Administration, 1441 "L" Street, N.W., Washington, D.C. 20416.

A copy of this Notice will be published in a newspaper of general circulation in Dayton, Ohio.

(Catalog of Federal Domestic Assistance Program No. 59.011, Small Business Investment Companies)

Dated: December 7, 1979.

Peter F. McNeish,

Acting Associate Administrator for Finance and Investment.

[FR Doc. 79-38427 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[Declaration of Disaster Loan Area No. 1742]

Marshall Islands of the Pacific; Declaration of Disaster Loan Area

As a result of the President's declaration I find that the following areas of the Marshall Islands District (Trust Territory of the Pacific Islands), Majuro Atoll constitute a disaster area because of damage resulting from seawave action and flooding beginning on or about November 26, 1979. Eligible persons, firms and organizations may file applications for loans for physical damage until the close of business on January 31, 1980, and for economic injury until the close of business on September 1, 1980, at: Small Business Adminstration, Branch Office, Pacific Daily News Building, Room–507, Agana, Guam 96910, or other locally announced locations.

(Catalog of Federal Domestic Assistance Program Nos. 59002 and 59008.)

Dated: December 10, 1979.

William H. Mauk,

Acting Administrator.

[FR Doc. 79-38426 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[Declaration of Disaster Loan Area No. 1739]

Massachusetts; Declaration of Disaster Loan Area

The area of 344 Main Street, in the Town of Southbridge, Worcester County, Massachusetts constitutes a disaster area because of damage resulting from a fire which occurred on November 18, 1979. Eligible persons, firms, and organizations may file

applications for loans for physical damage until the close of business on Febrruary 4, 1980, and for economic injury until the close of business on September 8, 1980, at: Small Business Administration, District Office, 150 Causeway St., 10th Floor, Boston, Massachusetts 02114, or other locally announced location.

(Catalog of Federal Domestic Assistance Program Nos. 59002 and 59008.)

Dated: December 6, 1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38425 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

[Declaration of Disaster Loan Area No. 1738]

Missouri; Declaration of Disaster Loan Area

Lawrence County and adjacent counties within the State of Missouri constitute a disaster area as a result of damage caused by high winds and tornadoes which occurred on October 30, 1979. Eligible persons, firms and organizations may file applications for loans for physical damage until the close of business on February 4, 1980, and for economic injury until the close of business on September 8, 1980 at: Small Business Administration, District Office, 12 Grand Bldg—5th Floor, 1150 Grand Avenue, Kansas City, Missouri 64106, or other locally announced locations.

(Catalog of Federal Domestic Assistance Program Nos. 59002 and 59008.)

Dated: December 6, 1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38424 Filed 12-13-79; 8:45 am]

BILLING CODE 8025-01-M

DEPARTMENT OF STATE

[Public Notice 698]

Determination Under Subsection 2(b)(1)(B) of the Export-Import Bank Act of 1945, as Amended

November 30, 1979.

Pursuant to subsection 2(b)(1)(B) of the Export-Import Bank Act of 1945, as amended, and in accordance with the authority delegated to the Secretary of State by Executive Order 12166 of October 19, 1979, I determine that it is in the national interest and would clearly and importantly advance United States policy in the area of international terrorism for the Export-Import Bank of the United States to deny guarantees, insurance, extensions of credit and participations in the extension of credit in support of the purchase or lease of any product or service by any purchaser or lessee in Chile.

This determination shall be published in the **Federal Register.**

Cyrus Vance,

Secretary of State.

[FR Doc. 79-38307 Filed 12-13-79; 8:45 am]

BILLING CODE 4710-08-M

DEPARTMENT OF THE TREASURY

Fiscal Service

[Dept. Circ. 570, 1979 Rev., Suppl. No. 9]

Surety Companies Acceptable on Federal Bonds

A certificate of authority as an acceptable surety on Federal bonds is hereby issued to the following company under sections 6 to 13 of Title 6 of the United States Code. An underwriting limitation of $548,000 has been established for the company.

Name of Company, Business Address, and State in Which Incorporated.

Cooperativa de Seguros Multiples de Puerto Rico, G.P.O. Box G–3846, San Juan, Puerto Rico 0096, Puerto Rico.

Certificates of authority expire on June 30 each year, unless renewed prior to that date or sooner revoked. The certificates are subject to subsequent annual renewal so long as the companies remain qualified (31 CFR Part 223). A list of qualified companies is published annually as of July 1 in Department Circular 570, with details as to underwriting limitations, areas in which licensed to transact surety business and other information. Copies of the circular, when issued, may be obtained from the Audit Staff, Bureau of Government Financial Operations, Department of the Treasury, Washington, D.C. 20226.

Dated: December 7, 1979.

D. A. Pagliai,

Commissioner, Bureau of Government Financial Operations.

[FR Doc. 79-38318 Filed 12-13-79; 8:45 am]

BILLING CODE 4810-35-M

VETERANS ADMINISTRATION

Replacement Hospital, Seattle, Wash.; Availability of Final Environmental Impact Statement

Notice is hereby given that a document entitled "Final Environmental Impact Statement", for the 515-Bed Replacement Hospital Veterans Administration Medical Center, Seattle, Washington, dated December 1979, has been prepared as required by Section 102(2)(C) of the National Environmental Policy Act of 1969.

The preferred location of the Replacement Hospital is at the Veterans Administration facility in Seattle, Washington. The hospital will have 515 beds and the necessary ancillary support functions. The facility will replace the existing outmoded hospital structure.

The Final Statement responds to comments received on the Draft Statement which was circulated for public review in April 1979. The Final Statement together with the Draft Statement comprises the Environmental Impact Statement.

The document is being placed for public examination in the Veterans Administration office in Washington, D.C. Persons wishing to examine a copy of the document may do so at the following office: Mr. Willard Sitler, Director, Office of Environmental Affairs (004A), Room 1018, Veterans Administration, 810 Vermont Avenue, N.W., Washington, D.C. 20420, (202–389–2526). Questions or requests for single copies of the Final Environmental Impact Statement may be addressed to the above office.

Dated: December 7, 1979.

By direction of the Administrator.

Maury S. Cralle, Jr.,

Assistant Deputy Administrator for Financial Management and Construction.

[FR Doc. 79-38347 Filed 12-13-79; 8:45 am]

BILLING CODE 8320-01-M

Wage Committee; Meetings

Pursuant to the provisions of section 10 of Pub. L. 92–463, notice is hereby given that meetings of the Veterans Administration Wage Committee will be held on:

Thursday, January 10, 1980.
Thursday, January 24, 1980.
Thursday, March 20, 1980.

The meetings will convene at 2:30 p.m. and will be held in Room 1063, Veterans Administration Central Office, 810 Vermont Avenue NW., Washington, D.C. 20420.

The Committee's primary responsibility is to consider and make recommendations to the Chief Medical Director, Department of Medicine and Surgery, on all matters involved in the development and authorization of wage rate schedules for Federal Wage System (blue-collar) employees.

At these scheduled meetings, the Committee will consider wage survey specifications, wage survey data, local committee reports and recommendations, statistical analyses, and proposed wage schedules derived therefrom.

Under the provisions of section 10(d) of Public Law 92–463, the Federal Advisory Committee Act, as amended by Public Law 94–409, meetings may be closed to the public when they are concerned with matters listed under section 552b, Title 5, United States Code. Two of the matters so listed are those related solely to the internal personnel rules and practices of an agency (5 U.S.C. 552b(c)(2)), and those involving trade secrets and commercial or financial information obtained from a person and privileged or confidential (5 U.S.C. 552b(c)(4)).

Accordingly, I hereby determine that all portions of the meetings cited above will be closed to the public because the matters considered are related to the internal rules and practices of the Veterans Administration (5 U.S.C. 552b(c)(2)), and the detailed wage data considered by the Committee during its meetings have been obtained from officials of private establishments with a guarantee that the data will be held in confidence (5 U.S.C. 552b(c)(4)).

However, members of the public who wish to do so are invited to submit material in writing to the Chairman regarding matters believed to be deserving of the Committee's attention.

Additional information concerning these meetings may be obtained by contacting the Chairman, Veterans Administration Wage Committee, Room 1175, 810 Vermont Avenue NW., Washington, D.C. 20420.

Dated: December 7, 1979.

Max Cleland,

Administrator.

[FR Doc. 79-38346 Filed 12-13-79; 8:45 am]

BILLING CODE 8320-01-M

INTERSTATE COMMERCE COMMISSION

[No. 31098]

Corpus Christi Cases; Port Equalization Orders

Correction

In FR Doc. 79–36261, appearing on page 67558 in the issue of Monday, November 26, 1979, in the third column, the date in the "Dates" paragraph is miscalculated. That paragraph should have read:

"Dates: Briefs due 45 days from date of this publication. (January 10, 1980)."

Permanent Authority Decisions Applications; Decision—Notice

Correction

In FR Doc. 79–26665, appearing on page 50427, in the issue of Tuesday, August 28, 1979, make the following corrections.

On page 50443, in the first column, the second full paragraph, MC 139960 Sub 1F, in line 31 change reference to U.S. Highway 580 to read Interstate Highway 580. In line 35, change reference to U.S. Highway 80 to read Interstate Highway 80.

BILLING CODE 1505-01-M

[Notice No. 188]

Motor Carrier Temporary Authority Applications

Correction

IN FR Doc 79–33827, appearing at page 64580 in the issue for Wednesday, November 7, 1979, on page 64589, in the second column, in paragraph "MC 147933 (Sub–1TA)" line eleven reads "Alabama, (2) *Materials, Supplies and*" should be corrected to read "Alabama and Carson, CA, (b) from Atlanta, GA, to the facilities of Pro-Line Corporation located at Birmingham Alabama, (2) *Materials, Supplies and*".

BILLING CODE 1505-01-M

Motor Carrier Temporary Authority Applications

Correction

In FR Doc. 79–37330, published at page 70022 in the issue for Wednesday, December 5, 1979, on page 70050, in the second column, before the paragraph "MC 682 (Sub-17TA)" insert the heading "Notice No. 206".

BILLING CODE 1505-01-M

[Vol. No. 199]

Permanent Authority Decisions; Decision-Notice

Correction

In FR Doc. 79–36709, appearing at page 68544 in the issue for Thursday, November 29, 1979, on page 68557, in the first column, in paragraph "MC 124170 (Sub-135F)" filed for "Frostways, Inc.", line twelve "MJ" should be corrected to read "NJ".

BILLING CODE 1505-01-M

[Permanent Authority Decisions Vol. No. 162]

Greater Pensacola Movers, Inc., et al.; Decision-Notice

Correction

In FR Doc. 79–29967, appearing on page 56435 in the issue for Monday, October 1, 1979, in the third column, in paragraph "MC 145582 (Sub–2F)" the seventh line reads "*common carrier*, by motor vehicle, in" should be corrected to read "*contract carrier*, by motor vehicle, in".

BILLING CODE 1505-01-M

[Corrected 2nd Rev. S.O. No.1301; Corrected Exception No. 4, Amdt. 2]

Burlington Northern, Inc., Exception to Service Order

Upon further consideration of Corrected Exception No. 4 and good cause appearing therefor:

It is ordered:

Corrected Exception No. 4 to Corrected Second Revised Service Order No. 1301 is amended to *expire January 31, 1980.*

Issued at Washington, D.C., November 28, 1979.

Interstate Commerce Commission.

Robert S. Turkington,

Acting Director, Bureau of Operations.

[FR Doc. 79-38310 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

[Ex Parte 241; Amdt. No. 7 to Exemption No. 149]

Exemption Under Mandatory Car Service Rules

To: *All Railroads:*

Upon further consideration of Exemption No. 149 issued April 28, 1978.

It is ordered, That under authority vested in me by Car Service Rule 19, Exemption No. 149 to the Mandatory Car Service Rules ordered in Ex Parte No. 241 is amended to *expire January 31, 1980.*

This amendment shall become effective November 30, 1979.

Issued at Washington, D.C., November 28, 1979.

Interstate Commerce Commission.

Robert S. Turkington,

Agent.

[FR Doc. 79-38311 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

[Docket No. AB–2; Sub-No. 22F]

Louisville & Nashville Railroad Co. Abandonment in Sumner and Trousdale Counties, TN; Notice of Findings

Notice is hereby given pursuant to 49 U.S.C. 10903 that by a decision decided September 12, 1979, a finding, which is administratively final, was made by the Commission, Review Board Number 5, stating that, the present and future public convenience and necessity permit the abandonment by the Louisville and

Nashville Railroad Company of its line between milepost CN-163 near Trousdale, TN, and milepost HB-179.6 at Hartsville, TN, a distance of 16.6 miles, in Sumner and Trousdale Counties, TN, subject to the conditions for the protection of employees discussed in No. AB-36 (Sub-No. 2), *Oregon Short Line R. CO.—Abandonment Goshen*, 360 I.C.C. 91 (1979). A certificate of abandonment will be issued to the Louisville and Nashville Railroad Company based on the above-described finding of abandonment, 30 days after publication of this notice, unless within 30 days from the date of publication, the Commission further finds that:

(1) a financially responsible person (including a government entity) has offered financial assistance (in the form of a rail service continuation payment) to enable the rail service involved to be continued; and

(2) it is likely that such proffered assistance would: (a) Cover the difference between the revenues which are attributable to such line of railroad and the avoidable cost of providing rail freight service on such line, together with a reasonable return on the value of such line, or (b) Cover the acquisition cost of all or any portion of such line of railroad.

If the Commission so finds, the issuance of a certificate of abandonment will be postponed for such reasonable time, not to exceed 6 months, as is necessary to enable such person or entity to enter into a binding agreement, with the carrier seeking such abandonent, to provide such assistance or to purchase such line and to provide for the continued operation of rail services over such line. Upon notification to the Commission of the execution of such an assistance or acquisition and operating agreement, the Commission shall postpone the issuance of such a certificate for such period of time as such an agreement (including any extensions or modifications) is in effect. Information and procedures regarding the financial assistance for continued rail service or the acquisition of the involved rail line are contained in the Notice of the Commission entitled "Procedures for Pending Rail Abandonment Cases" published in the **Federal Register** on March 31, 1976, at 41 FR 13691, as amended by publication of May 10, 1978, at 43 FR 20072. All interested persons are advised to follow the instructions contained therein as well as the instructions contained in the above-referenced decision.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38313 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

[Docket No. AB-36; Sub-No. 8F]

Oregon Short Line Railroad Co. Abandonment and Union Pacific Railroad Co. Discontinuance of Service Near Cascade and McCall, in Valley County, ID; Notice of Findings

Notice is hereby given pursuant to 49 U.S.C. 10903 that by a decision decided September 18, 1979, a finding, which is administratively final, was made by the Commission, Review Board Number 5, stating that, the present and future public convenience and necessity permit the abandonment by the Oregon Short Line Railroad Company and the discontinuance of service by the Union Pacific Railroad Company, of the line extending from railroad milepost 99.73 near Cascade, ID, to the end of the line at milepost 133.61 near McCall, ID, a distance of 33.88 miles in Valley County, ID, subject to the conditions (1) for the protection of employees discussed in No. AB-36 (Sub-No. 2), *Oregon Short Line R. Co.-Abandonment Goshen*, 360 I.C.C. 91 (1979); (2) that applicant shall keep intact all the right-of-way underlying the track for a period of 120 days from the decided date of the certificate in this proceeding, to permit any government agency or other interested party to acquire all or any portion of the property for public use; and (3) the participation procedures described above with respect to the City of Cascade, the Cascade Chamber of Commerce, and the City of McCall. A certificate of abandonment will be issued to the Oregon Short Line Railroad Company and the Union Pacific Railroad Company based on the above-described finding of abandonment, 30 days after publication of this notice, unless within 30 days from the date of publication, the Commission further finds that:

(1) a financially responsible person (including a government entity) has offered financial assistance (in the form of a rail service continuation payment) to enable the rail service involved to be continued; and

(2) it is likely that such proffered assistance would: (a) Cover the difference between the revenues which are attributable to such line of railroad and the avoidable cost of providing rail freight service on such line, together with a reasonable return on the value of such line, or (b) Cover the acquisition cost of all or any portion of such line of railroad.

If the Commission so finds, the issuance of a certificate of abandonment will be postponed for such reasonable time, not to exceed 6 months, as is necessary to enable such person or entity to enter into a binding agreement, with the carrier seeking such abandonment, to provide such assistance or to purchase such line and to provide for the continued operation of rail services over such line. Upon notification to the Commission of the execution of such an assistance or acquisition and operating agreement, the Commission shall postpone the issuance of such a certificate for such period of time as such an agreement (including any extensions or modifications) is in effect. Information and procedures regarding the financial assistance for continued rail service or the acquisition of the involved rail line are contained in the Notice of the Commission entitled "Procedures for Pending Rail Abandonment Cases" published in the **Federal Register** on March 31, 1976, at 41 FR 13691, as amended by publication of May 10, 1978, at 43 FR 20072. All interested persons are advised to follow the instructions contained therein as well as the instructions contained in the above-referenced decision.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38312 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

[Permanent Authority Decisions Vol. 97]

Permanent Authority Application; Decision-Notice

Correction

In FR Doc 79-20535, appearing at page 39067 in the issue for Tuesday, July 3, 1979, on page 39071, in the third column, in paragraph "MC 128543 (Sub-15F)" in line Fourteen "NY," should be inserted between "NJ, NC,".

BILLING CODE 1505-01-M

Petition for Modification of Fourth Section Order No. 20594, and Supplementals Sugar From California to Illinois Territory

December 11, 1979.

Trans-Continental Freight Bureau on behalf of the AT&SF, TPW and Bay and River Navigation Company, asks that the relief from long-and-short-haul provisions of 49 USC 10726 granted in FSO No. 20594 and 1st, 2nd, and 3rd Supplementals, *Sugar From California to Illinois Territory*, either be made permanent or extended to such time as the relief is made permanent. The relief granted was for one year from the decision dates and expires December 29, 1979, and later. Protests are due at the Offices of the Commission, Suspension Board, not later than December 21, 1979.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38308 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

Transportation of Used Households Goods in Connection With a Pack-and-Crate Operation on Behalf of the Department of Defense; Special Certificate Letter Notice(s)

The following letter notices request participation in a Special Certificate of Public Convenience and Necessity for the transportation of used Household goods, for the account of the United States Government, incident to the performance of a pack-and-crate service on behalf of the Department of Defense under the Direct Procurement Method or the Through Government Bill of Lading Method under the Commission's regulations [49 CFR 1056.40) promulgated in "Pack-and-Crate" operations in Exparte No. MC-115, 131 M.C.C. 20 (1978).

An original and one copy of verified statement in opposition (limited to argument and evidence concerning applicant's fitness) may be filed with the interstate Commerce Commission on or before January 7, 1980. A copy must also be served upon applicant or its representative. Opposition to the Applicant's participation will not operate to stay commencement of the proposed operation.

If applicant is not otherwise informed by the Commission, operations may commence within 30 days of the date of its notice in the **Federal Register**, subject to its tariff publication effective date.

HG-41-79 (Special Certificate—Used Household Goods), filed December 5, 1979. Applicant: NOVI MOVING SYSTEMS, INC., 48595 West Rd., Wixom, MI 48096. Representative: Martin J. Leavitt, Sullivan and Leavitt, P.G., 22375 Haggerty RD, P.O. Box 400, Northville, MI 48167. Authority sought: Between points in Clinton, Eaton, Gratiot, Ingham, Ionia, Livingston, Montcalm Counties, MI, serving Selfridge ANG Base located at or near Mount Clemens MI.

HG-42-79 (Special Certificate—Used Household Goods), filed December 5, 1979. Applicant: LEONARD BROS. MOVING & STORAGE CO., North 1782 E Maple Rd, Troy, MI 48084. Representative: Martin J. Leavitt, Sullivan and Leavitt, P.G., 22375 Haggerty Rd, P.O. Box 400, Northville, MI 48167. Authority sought: Between points in Macomb, Oakland, Wayne, Allegan, Berry, Kent, Muskegon, Ottawa, Genessee, Huron, Lapeer, St. Clair, Saginaw, Sanilac, Shiawassee, and Tuscola Counties, MI, serving Selfridge ANG Base, Mount Clemens, MI.

HG-43-79 (Special Certificate—Used Household Goods), filed December 6, 1979. Applicant: RIVER CITY VAN & STORAGE, 8561—23rd Ave., Sacramento, CA 95826. Representative: Margaret J. Joward (address same as applicant). Authority sought: Between points in Sacramento, Placer, El Dorado, and Nevada Counties, CA (contract area extends into Nevada and El Dorado County as far west of the Sierra Nevada Range, adjacent to and immediately west of State Highway 89) serving McClellan Air Force Base, CA.

HG-44-79 (Special Certificate—Used Household Goods), filed December 7, 1979. Applicant: GEARHARTS MOVING & STORAGE, INC., P.O. Box 288, 6th Ave. & 9th St. Juniata, Altoona, PA 16603. Representative: Michale A. Wolford (address same as applicant). Authority sought: Between points in Allegheny, Armstrong, Beaver, Butler, Cambria Clarion, Clearfield, Crawford, Elk, Erie, Fayette, Forest, Greene, Indiana, Jefferson, Lawrence, McKean, Mercer, Somerset, Venango, Warren, Washington, and Westmoreland Counties, PA, serving U.S. Army Transport, Oakdale, PA.

By the Commission.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38309 Filed 12-13-79; 8:45 am]

BILLING CODE 7035-01-M

Permanent Authority Decisions, Decision-Notice

Correction

In FR Doc. 79-32619 appearing at page 61127 in the issue for Tuesday, October 23, 1979, make the following corrections:

1. On page 61139, in the first column, in paragraph "MC 134783 (Sub-54F)" in line ten "Ortanna", should be corrected to read "Orrtanna".

2. Also on page 61139, in paragraph "MC 134783 (Sub 54F)" in line twelve "MN", should be corrected to read "NM".

BILLING CODE 1505-01-M

DEPARTMENT OF THE TREASURY

Customs Service

Tariff Classification of Imported Cab Chassis; Extension of Time for Comments Concerning the Tariff Classification of Imported Cab Chassis

AGENCY: U.S. Customs Service, Department of the Treasury.

ACTION: Notice of extension of time for comments.

SUMMARY: This document extends the time for the submission of comments in response to Customs request published in the **Federal Register** on October 17, 1979, for comments regarding the application of the decision of the U.S. Court of Customs and Patent Appeals in *Daisy-Heddon, Div. Victor Comptometer Corp.* v. *United States*, C.A.D. 1228 (1979), to the tariff classification of imported cab chassis.

DATE: Comments must be received on or before January 31, 1980.

ADDRESS: Written comments (preferably in triplicate) should be addressed to the Commissioner of Customs, Attention: Regulations and Research Division, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 2335, Washington, D.C. 20229.

FOR FURTHER INFORMATION CONTACT: Thomas L. Lobred, Classification and Value Divisions, U.S. Customs Service, 1301 Constitution Avenue, N.W., Washington, D.C. 20229 (202-566-2938).

SUPPLEMENTARY INFORMATION:

Background

On October 17, 1979, a general notice was published in the **Federal Register** (44 FR 59984) advising that Customs was reconsidering its practice of classifying imported cab chassis under the provision for bodies (including cabs) and chassis in item 692.20, Tariff Schedules of the United States (TSUS), in view of the decision of the U.S. Court of Customs and Patent Appeals in *Daisy-Heddon, Div. Victor Comptometer Corp.* v. *United States*, C.A.D. 1228 (1979). As part of this review, Customs requested comments concerning the application of *Daisy-Heddon to the tariff classification of cab chassis.*

Comments were to have been received on or before December 17, 1979, 60 days from the date of publication of the notice in the **Federal Register**. However, American industries have requested that Customs extend the time for submission of comments owing to the complexity of the issues involved and the intervention of the holiday season. Therefore, the time for submission of comments is extended to January 31, 1980.

Dated: December 13, 1979.

Donald W. Lewis,

Director, Office of Regulations and Rulings.

[FR Doc. 79-38857 Filed 12-13-79; 12:18 pm]

BILLING CODE 4810-22-M

Sunshine Act Meetings

Federal Register
Vol. 44, No. 242
Friday, December 14, 1979

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94-409) 5 U.S.C. 552b(e)(3).

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1

COMMODITY CREDIT CORPORATION.

TIME AND DATE: 10 a.m., December 21, 1979.

PLACE: Room 218-A, Administration Building, U.S. Department of Agriculture, Washington, D.C.

STATUS: Open.

MATTERS TO BE CONSIDERED:

1. Minutes of CCC board meeting on September 13, 1979.
2. Docket VCP 72a re: 1980 cotton loan and payment program (upland).
3. Docket VCP 137a re: 1980-crop barley, corn, oats, rye and sorghum loan, purchase and payment programs.
4. Docket VCP 2a re: 1980-crop wheat loan, purchase and payment programs.
5. Docket VCP 105 re: 1980-crop soybean loan and purchase program.
6. Docket UCP 31a, amendment 1 re: 1979-crop peanut loan and purchase program.
7. Resolution VCX 310(a) re: Commodities available for sale to foreign governments or their agents and international organizations during fiscal year 1980.
8. Docket CX 308(a), Amendment 2 re: Assurance arrangements required by CCC under its non-commercial risk assurance program.
9. Memorandum re: Commodities available for Public Law 480 during fiscal year 1980 (Resolution No. 17, CZ-266).
10. Docket CZ 157, Revision 4 re: Policy and procedure governing the submission of dockets to the Board of Directors, CCC, and the handling of dockets considered by the Board.
11. Docket CZ 189, Revision 2, Amendment 1 re: Policy covering payment of claims against Commodity Credit Corporation which are legally due but are subject to defense of a statute of limitations.

CONTACT PERSON FOR MORE INFORMATION: Bill Cherry, Secretary, Commodity Credit Corporation, Room 202-W, Administration Building, U.S. Department of Agriculture, Washington, D.C. 20013, Telephone (202) 447-7583.

[S-2430-79 Filed 12-12-79; 10:16 am]

BILLING CODE 3410-05-M

2

EQUAL EMPLOYMENT OPPORTUNITY COMMISSION.

TIME AND DATE: 9:30 a.m., Tuesday, December 18, 1979.

PLACE: Commission Conference Room 5240, on the fifth floor of the Columbia Place Office Building, 2401 E Street, N.W., Washington, DC. 20506.

MATTERS TO BE CONSIDERED:

1. Freedom of Information Act Appeal No. 79-10-FOIA-323, and Privacy Act No. 19, concerning a request for a copy of the investigator's notes and memoranda.
2. EEOC's draft report on its implementation of Executive Order 12160 concerning Federal consumer programs.
3. Amendment of an existing contract and three additional sole source contracts.
4. Report on Commission Operations by the Executive Director.

CLOSED: 1. Litigation authorization; General Counsel Recommendations.

Note.—Any matter not discussed or concluded may be carried over to a later meeting.

CONTACT PERSON FOR MORE INFORMATION: Marie D. Wilson, Executive Officer, Executive Secretariat, at (202) 634-6748.

This Notice Issued December 11, 1979.

[S-2431-79 Filed 12-12-79; 2:57 pm]

BILLING CODE 6570-06-M

3

FEDERAL MARITIME COMMISSION.

TIME AND DATE: December 14, 1979, 9 a.m.

PLACE: Hearing Room One, 1100 L Street NW., Washington, D.C. 20473.

STATUS: Open.

MATTER TO BE CONSIDERED: Docket No. 78-46: Financial Exhibits and Schedules of Common Carriers in the Domestic Offshore Trades—Review of comments.

CONTACT PERSON FOR MORE INFORMATION: Francis C. Hurney, Secretary, (202) 523-5725.

[S-2438-79 Filed 12-12-79; 2:57 pm]

BILLING CODE 6730-01-M

4

FEDERAL MARITIME COMMISSION.

TIME AND DATE: December 19, 1979, 9 a.m.

PLACE: Hearing Room One, 1100 L Street NW., Washington, D.C. 20573.

STATUS: Parts of the meeting will be open to the public. The rest of the meeting will be closed to the public.

MATTERS TO BE CONSIDERED:

Portions Open to the Public

1. Report on Notation Items disposed of during November 1979.
2. Report of the Secretary on times shortened for submitting comments on section 15 agreements pursuant to delegated authority during November 1979.
3. Report of the Secretary on Applications for Admission to Practice approved during November 1979, pursuant to delegated authority.
4. Assignment of Informal Dockets by the Secretary during November 1979.
5. Monthly Report of actions taken pursuant to authority delegated to the Managing Director.
6. Gulf Caribbean Marine Lines, Inc.—General rate increase of fifteen percent applicable in the United States Atlantic and Gulf ports/Puerto Rico trade.
7. Sea-Land Service, Inc.—General rate increase of twenty-five percent applicable in the Canada/Puerto Rico, East Coast/Virgin Islands, U.S. North Atlantic/Puerto Rico, U.S. South Atlantic/Puerto Rico and U.S. Gulf Coast/Puerto Rico trades.
8. Agreements Nos. 8054-18 and 9502-13: Modifications of the South and East Africa/U.S.A. Conference and the U.S./South and East Africa Conference agreements to extend the term of approval of their intermodal authority.
9. Agreements Nos. T-3453 and T-3453-A between the Puerto Rico Maritime Shipping Authority (PRMSA) and the Puerto Rico Ports Authority (PRPA)—Petitions to vacate or reconsider order of conditional approval.
10. Agreement No. 10159-8: Application for extension of rationalization agreement in the Nigerian trades.
11. Agreement No. 5200-35: Modification of Pacific Coast European Conference Agreement to extend right of independent action and joint service voting.
12. Agreement No. 93-20: Modification of North Europe/U.S. Pacific Freight Conference Agreement to extend right of independent action and joint service voting.
13. Agreements Nos. LM-4, LM-23, LM-24, and LM-28: Pacific Maritime Association assessment agreements.
14. Petition for reconsideration fo conditional approvals of Agreements Nos. 5660-27, 9522-38, and 2846-41.
15. Petition of Pacific Coast European Conference for reconsideration of Commission action rejecting the filing of certain tariff matters.
16. Docket No. 79-1: Amendments to Part 531 of Title 46 CFR Governing the Publishing, Filing and Posting of Tariffs in Domestic Offshore Commerce—Proposed final rules.
17. Docket No. 79-51: Promulgation of Environmental Rules in Accordance with the National Environmental Policy Act and the Council on Environmental Quality's Regulations—Proposed final rules.
18. Proposed revision of General Order 4.
19. Docket No. 79-36: Self-Policing of Independent Liner Operators—Review of comments.
20. Informal Docket No. 704(I): Dow Corning Corporation v. United States Navigation, Inc.—Review of Settlement Officer decision.
21. Docket No. 79-83: Investigation of Unfiled Agreements in the North Atlantic Trades—Motion of Atlantic Cargo Services for dismissal.
22. Docket No. 78-46: Financial Exhibits and Schedules of Common Carriers in the Domestic Offshore Trades—Review of Comments.

Portions Closed to the Public

1. Docket No. 74-15: West Gulf Maritime Association v. Port of Houston Authority, et al.—Decision on request for oral argument and possible consideration of the record.
2. Docket No. 77-7: Agreement Nos. 9929, 9929-3 and 9929-4 and Agreement Nos. 10266 and 10266-1—Compliance of proponents with Commissioner order.
3. Docket No. 79-10: Rates of FESCO—Petition of FESCO for change in procedural order.

CONTACT PERSON FOR MORE INFORMATION: Francis C. Hurney, Secretary, (202) 523-5725.

[S-2432-79 Filed 12-12-79; 11:21 am]

BILLING CODE 6730-01-M

5

FEDERAL RESERVE SYSTEM (Board of Governors).

TIME AND DATE: 10 a.m., Wednesday, December 19, 1979.

PLACE: 20th Street and Constitution Avenue NW., Washington, D.C. 20551.

STATUS: Open.

MATTERS TO BE CONSIDERED:

Summary Agenda

Because of their routine nature, no substantive discussion of the following items is anticipated. These matters will be resolved with a single vote unless a member of the Board requests that an item be moved to the discussion agenda.

1. Proposed amendment to Regulation P (Securities of Member State Banks) relating to instructions for the preparation of supervisory financial reports and the content of financial statements.
2. Proposal to disclose individual Edge corporation Reports of Condition.
3. Proposed policy on interagency coordination of: (a) formal corrective action by the Federal bank regulatory agencies; and (b) bank holding company inspections and subsidiary bank examinations.
4. Proposed procedures implementing a section of the Ethics in Government Act regarding former employees who violate the post-employment restrictions.

Discussion Agenda

1. Proposed statement to be presented to the Senate Committee on Banking, Housing, and Urban Affairs regarding enforcement of fair mortgage lending laws and regulations.
2. Proposed amendment to Regulation Z (Truth in Lending) regarding methods of calculating and disclosing annual percentage rates. (Proposed earlier for public comment; docket No. R-0239).
3. Proposed revised amendments to Regulation H (Membership of State Banking Institutions in the Federal Reserve System) to require that State member banks that effect certain securities transactions for customers provide confirmation and maintain certain records with respect to such transactions. (Proposed earlier for public comment; docket No. R-0142).
4. Any agenda items carried forward from a previously announced meeting.

Note.—This meeting will be recorded for the benefit of those unable to attend. Cassettes will be available for listening in the Board's Freedom of Information Office, and copies may be ordered for $5 per cassette by calling (202) 452-3684 or by writing to: Freedom of Information Office, Board of Governors of the Federal Reserve System, Washington, D.C. 20551.

CONTACT PERSON FOR MORE INFORMATION: Mr. Joseph R. Coyne, Assistant to the Board, (202) 452-3204.

Dated: December 11, 1979.

Griffith L Garwood,

Deputy Secretary of the Board.

[S-2433-79 Filed 12-12-79; 11:21 am]

BILLING CODE 6210-01-M

6

FEDERAL RESERVE SYSTEM (Board of Governors).

TIME AND DATE: 9:30 a.m., Tuesday, December 18, 1979.

PLACE: 20th Street and Constitution Avenue NW., Washington, D.C. 20551.

STATUS: Open.

MATTERS TO BE CONSIDERED:

1. Proposed Federal Reserve Board budget for 1980.
2. Any agenda items carried forward from a previously announced meeting.

Note.—This meeting will be recorded for the benefit of those unable to attend. Cassettes will be available for listening in the Board's Freedoom of Information Office, and copies may be ordered for $5 per cassette by calling (202) 452-3684 or by writing to: Freedom of Information Office, Board of Governors of the Federal Reserve System, Washington, D.C. 20551.

CONTACT PERSON FOR MORE INFORMATION: Mr. Joseph R. Coyne, Assistant to the Board; (202) 452-3204.

Dated: December 11, 1979.

Griffith L. Garwood,

Deputy Secretary of the Board.

[S-2434-79 Filed 12-12-79; 11:21 am]

BILLING CODE 6210-01-M

7

FEDERAL RESERVE SYSTEM (Board of Governors)

TIME AND DATE: 9:30 a.m., Wednesday, December 12, 1979. (Following a recess, the Board commenced its previously announced open meeting at 10 a.m.)

PLACE: 20th Street and Constitution Avenue NW., Washington, D.C. 20551.

STATUS: Closed.

MATTERS TO BE CONSIDERED: Personnel actions (appointments, promotions, assignments, reassignments, and salary actions) involving individual Federal Reserve System employees. (This matter was originally announced for a meeting on December 3, 1979.)

CONTACT PERSON FOR MORE INFORMATION: Mr. Joseph R. Coyne, Assistant to the Board; (202) 452-3204.

Dated: December 12, 1979.

Griffith L. Gatwood,

Deputy Secretary of the Board.

[S-2436-79 Filed 12-12-79; 2:55 pm]

BILLING CODE 6210-01-M

8

NUCLEAR REGULATORY COMMISSION.

TIME AND DATE: December 18, 1979.

PLACE: Commissioners' Conference Room, 1717 H St., NW, Washington, D.C.

STATUS: Open.

MATTERS TO BE CONSIDERED:

Tuesday, December 18; 9:30 a.m.

Briefing on Policy, Planning and Program Guide (approximately 2½ hours, public meeting) (continued from December 6).

CONTACT PERSON FOR MORE INFORMATION: Walter Magee, (202) 634-1410.

Roger M. Tweed,

Office of the Secretary.

December 11, 1979.

[S-2437-79 Filed 12-12-79; 2:57 pm]

BILLING CODE 7590-01-M

9

PAROLE COMMISSION.

TIME AND DATE: Monday, December 3, 1979, at 9:30 a.m.

PLACE: Room 135, Pension Building, 440 G Street NW., Washington, D.C.

STATUS: Closed pursuant to a vote to be taken at beginning of meeting.

CHANGES IN THE MEETING: On December 3, 1979, the Commission determined that the above meeting be continued from 9:30 a.m. to 12 noon on Wednesday, December 5, 1979, in Room 818, 320 First Street, NW., for consideration of appeals pursuant to 28 CFR § 2.27 which could not be heard on December 3, 1979. The above change is being announced at the earliest practicable time.

CONTACT PERSON FOR MORE INFORMATION: A. Ronald Peterson, Analyst, (202) 724-3094.

[S-2433-79 Filed 12-12-79; 11:21 am]

BILLING CODE 4410-01-M

V 44 DE 14 79 UMI

federal register

Friday
December 14, 1979

Part II

Department of Health, Education, and Welfare

Office of the Secretary

Improving Government Regulations; Semiannual Agenda

V 4 4 D E 1 4 7 9 UMI

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of the Secretary

20 CFR Ch. III,
21 CFR Ch. I,
42 CFR Chs. I–IV,
45 CFR Subtitles A and B

Improving Government Regulations; Semiannual Agenda of Regulations

AGENCY: Department of Health, Education, and Welfare.

ACTION: Publication of the semiannual agenda of regulations (Improving Government Regulations).

SUMMARY: The President's Executive Order on Improving Government Regulations, Executive Order 12044, requires each Federal agency to publish at least twice a year a list of significant regulations under development. HEW published its first semiannual agenda in the May 30, 1978, **Federal Register** (43 FR 23119), a second agenda on January 29, 1979 (44 FR 4176), and a third on August 16, 1979 (44 FR 48040). This semiannual agenda contains: (1) All non-FDA regulations being developed within the Department; and (2) FDA regulations classified as "policy significant".

FOR FURTHER INFORMATION CONTACT: For further inquiries or comments related to specific regulations listed in the agenda, the public is encouraged to contact the appropriate responsible individual. Questions or comments on the overall agenda should be sent to:

Glenn Kamber, Director, Regulations Management Unit, Office of the Secretary, Department of Health, Education, and Welfare, 200 Independence Avenue SW., Washington, D.C. 20201, (202) 245–3160.

Dated: December 4, 1979.

Patricia Roberts Harris,

Secretary.

REGULATIONS AFFECTING SERVICES AND OPPORTUNITIES TO INDIVIDUALS

AGE

Infants and Pre-School Children

PHS–6 Protection of Human Subjects: Regulations on Research Involving Children
ASE–13 Bilingual Education Programs
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–8 Follow Through
ASE–35 Gifted and Talented Children's Education Program
ASE–10 Preschool Partnership Program
ASE–42 Indian Education Program
ASE–2 Title IV, ESEA—Educational Improvement, Resources, and Support
HDS–4 Developmental Disabilities Program: General Rules
HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules
SSA–9 Inclusion of Child Receiving OASDI Benefits into an AFDC Assistance Unit (AFDC)
SSA–11 Continued Absence of Parent from the Home (AFDC)
SSA–12 Protective Vendor and Two Party Payments for Dependent Children (AFDC)
OS–1 Age Discrimination Regulations
OS–2 Day Care Requirements

School-Age Children

PHS–6 Protection of Human Subjects: Regulation on Research Involving Children
ASE–41 Arts in Education Program
ASE–34 Basic Skills and Education Proficiency Program
ASE–13 Bilingual Education Programs
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–47 Consolidated Grant Applications for Insular Areas
ASE–21 Consumer's Education Program
ASE–17 Correction Education Program
ASE–14 Environmental Education Program
ASE–8 Follow Through
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Program
ASE–42 Indian Education Program
ASE–15 Indochina Refugee Children Assistance Program
ASE–36 Law Related Education
ASE–20 Metric Education Program
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–10 Preschool Partnership Program
ASE–43 School Assistance Federal Affected Areas (SAFA)
ASE–5 Safe Schools Program
ASE–11 Title I, ESEA—Awarding of Special Grants to LEAs
ASE–16 Title I, ESEA—Financial Assistance to LEAs and SEAs to meet Special Educational Needs
ASE–3 Title I, ESEA—Migrant Education Program
ASE–2 Title IV, ESEA—Educational Improvement, Resources, and Support
ASE–40 Women's Educational Equity Act Program
HDS–4 Developmental Disabilities Program: General Rules
HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules
SSA–9 Inclusion of Child Receiving OASDI Benefits into an AFDC Assistance Unit (AFDC)
SSA–11 Continued Absence of Parent from the Home (AFDC)
SSA–12 Protective Vendor and Two Party Payments for Dependent Children (AFDC)
OS–1 Age Discrimination Regulations

Adolescents and Young Adults

ASE–41 Arts in Education Program
ASE–4 Biomedical Sciences Program
ASE–13 Bilingual Education Programs
ASE–38 Centers on Educational Media & Materials for Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–33 Cooperative Education
ASE–47 Consolidated Grant Application for Insular Areas
ASE–21 Consumer's Education Program
ASE–17 Correction Education Demonstration Program
ASE–32 Domestic Mining and Mineral Fellowships
ASE–14 Environmental Education Program
ASE–26 Ethnic Heritage Studies Program
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Assistant Loan Program
ASE–42 Indian Education Program
ASE–36 Law Related Education
ASE–20 Metric Education Program
ASE–28 Modern Foreign Language and Area Studies
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–32 Public Service Fellowships
ASE–43 School Assistance Federal Affected Areas (SAFA)
ASE–46 Territorial Teacher Training Program
ASE–3 Title I, ESEA—Migrant Education Program
ASE–2 Title IV, ESEA—Educational Improvement, Resources, and Support
ASE–24 Vocational Educational
ASE–23 Youth Employment Program
HDS–4 Developmental Disabilities Program: General Rules
SSA–9 Inclusion of Child Receiving OASDI Benefits into an AFDC Assistance Unit (AFDC)
SSA–11 Continued Absence of Parent from the Home (AFDC)
SSA–12 Protective Vendor and Two Party Payments for Dependent Children
OS–1 Age Discrimination Regulations

Adults

ASE–19 Adult Education Program
ASE–13 Bilingual Education Programs
ASE–45 Campus Based Funding Programs
ASE–38 Centers on Educational Media & Materials for Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–47 Consolidated Grant Applications for Insular Areas Application
ASE–21 Consumer's Education Program
ASE–17 Correction Education Demonstration Program
ASE–32 Domestic Mining and Mineral Fellowships
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Assistant Loan Program
ASE–28 Modern Foreign Language and Area Studies
ASE–30 National Diffusion Network
ASE–32 Public Service Fellowships
ASE–46 Territorial Teacher Training Program

ASE–24 Vocational Education
HDS–1 Grants for State and Community Program on Aging: General Rules
HDS–2 Grants to Indian Tribal Organizations for Social and Nutrition Services: General Rules
HDS–3 Vocational Rehabilitation and Independent Living Programs: General Rules
HDS–4 Developmental Disabilities Program: General Rules
HDS–5 Social Service Programs: Consolidated Grants to Insular Areas
HDS–6 Native American Program: General Rules
HDS–9 Work Incentive Program: Relocation to Chapter XIII to 45 CFR
HDS–10 Social Service Programs under Titles I, IV, X, XIV, XVI(AABD) and XX of the Social Act: Relocation to Chapter XIII of 45 CFR
HDS–11 Work Incentive Program: New Procedures to Determine WIN Sanction Period

TYPE OF SERVICE

Health

PHS—1 Conduct of Persons and Traffic on Certain Federal Enclaves: Revision of General Rules
PHS—2 National Library of Medicine Programs; Revision of General Rules for the National Library of Medicine, National Library of Medicine Grants, National Institutes of Health and National Library of Medicine Traineeships, and National Institutes of Health and National Library of Medicine Training Grants
PHS—3 Inventions Resulting from Research Grants, Fellowship Awards, and Contracts for Research—Clarification of Reporting Requirements
PHS—4 National Research Service Awards Program: General Rules
PHS—5 Protection of Human Research Subjects—Institutional Review Boards
PHS—6 Protection of Human Subjects: Regulations on Research Involving Children
PHS—7 Protection of Human Subjects: Regulations on Research Involving Those Institutionalized as Mentally Disabled
PHS—8 Protection of Human Subjects: Regulations on Compensation of Human Subjects Injured in Biomedical and Behavioral Research
PHS—15 Foreign Quarantine Regulations: Requirements and Inspections
PHS—16 Importation of Dogs and Cats Into the United States: Changes in requirements
PHS—17 Medical Examination of Aliens
PHS—19 Subpart A—Requirements for a Health Maintenance Organization
PHS—24 Subpart F—Qualification of Health Maintenance Organizations
PHS—25 Subpart H—Employees' Health Benefits Plans
PHS—26 Subpart I—Continued Regulation of HMOs and Other Entities
PHS—31 Persons to Whom Services Will be Provided
PHS—33 Medical Care for Uniformed Service Personnel of the Coast Guard, Public Health Service and National Oceanic and Atmospheric Administration
PHS—34 Medical Care for Seafarers and Others at Public Health Service Facilities
PHS—35 Public Health Service Hospital and Clinic Management
PHS—36 Assignment of NHSC Personnel
PHS—37 Project Grants for Family Planning Services
PHS—38 Amendments to MCH CC Services Program
PHS—39 Grants to Plan, Develop and Operate Hospital-Affiliated Primary Care Centers
PHS—40 Project Grants for Community Health and Migrant Health
PHS—41 Demonstration Health and Nutrition Projects
PHS—42 Project Grants to States for Hypertension Services
PHS—43 Program Grants for Black Lung Clinics
PHS—45 Grants for Community Mental Health Centers; Requiremetns for Grants, Application for Grants, and State Plans
PHS—46 Grants for Drug Abuse Prevention, Treatment, and Rehabilitation; Requirements for State participation in Formula Grants
PHS—47 Special Grants for Implementatin of the Uniform Alcoholism and Intoxication Treatment Act; Requirements for Grants and Application for Grants
PHS—48 Confidentiality of Alcohol and Drug Abuse Patient Records; Minimum Requirements for Protecting
PHS—49 Designation of Health Manpower Shortage Areas
PHS—57 Area Health Education Centers
PHS—69 Grants for Nurse Practitioner Traineeships Programs
PHS—72 National Guidelines for Health Planning
PHS—73 Health Systems Agency Review of Certain Proposed Uses of Federal Health Funds
PHS–74 Health Systems Agency Reviews of Certain Proposed Uses of Federal Funds; Proposed Uses for Research and Training
PHS–75 Health Systems Agency and State Agency Reviews of the Appropriateness of Existing Institutional Health Services
PHS–78 Certificate of Need and Review of New Institutional Health Services
PHS–79 Inclusion of Computed Tomographic Scanning Services Under Certificate of Need
PHS–80 Inclusion of Computed Tomographic Scanning Services Under Capital Expenditure Review
PHS–81 Limitation on Federal Participation for Capital Expenditures
PHS–82 Discontinuance of Unneeded Hospital Services
OCR–2 Provisions of Services to Limited English Speaking Persons
OS–1 Age Discrimination Regulations

Health Financing

PHS–20 Subpart B—Federal Financial Assistance: General
PHS–21 Subpart C—Grants for Feasibility Surveys
PHS–22 Subpart D—Grants and Loan Guarantees for Planning and Initial Development Costs
PHS–23 Subpart E—Loans and Loan Guarantees for Initial Operating Costs
PHS–28 New Subpart I—Loans and Loan Guarantees for Acquisition and Construction of Ambulatory Health Care Facilities
HCFA–1 Professional Standards Review Organizations (PSROs) Sanctions on Providers and Practitioners
HCFA–2 Waiver of Liability
HCFA–3 Professional Standards Review Organizations (PSROs) Reconsideration and Appeals
HCFA–4 Hospital Utilization Review
HCFA–5 Validation of Accreditation Surveys of Hospitals
HCFA–6 Conditions of Participation for Hospitals
HCFA–7 Funding of PSRO Hospital Review
HCFA–8 Confidentiality and Disclosure of Information of Professional Standards Review Organizations (PSROs)
HCFA–9 Certification of Separate Cost Entities
HCFA–10 End-Stage Renal Disease—Electrical Requirements Revoked
HCFA–11 Safeguards for Patient Funds
HCFA–12 Extension of Professional Standards Review Organizations (PSROs) Review of Intermediate Care Facilities
HCFA–13 Conditions of Participation for Skilled Nursing Facilities and Intermediate Care Facilities
HCFA–14 Effective Date: Provider Agreement
HCFA–15 Sprinkler Systems for Long Term Care Facilities
HCFA–16 Termination of Federal Financial Participation in Long Term Care Facilities
HCFA–17 Radiological Services
HCFA–18 Reimbursement of Prepaid Health Plans
HCFA–19 Written Notice for Non-reimbursable Services
HCFA–20 Inpatient Services—Foreign Hospitals
HCFA–21 Provider Reimbursement Determinations
HCFA–22 Fiscal Intermediary Performance
HCFA–23 Durable Medical Equipment
HCFA–24 Prohibition Against Reassignment
HCFA–25 Part A Entitlement and Co-payments
HCFA–26 Reimbursement: Internship and Residency Programs
HCFA–27 Teaching Hospitals' Physicians Costs
HCFA–28 Special Care Units
HCFA–29 Reimbursement to Related Organizations
HCFA–30 End-Stage Renal Disease Networks
HCFA–31 Incentive Reimbursement for End-Stage Renal Disease Services
HCFA–32 Deeming of Income Between Spouses
HCFA–33 Educational Program Reimbursement
HCFA–34 Proposed List of Additional Items and Services Subject to the Lowest Charge Level
HCFA–35 Prospective Reimbursement of Rural Health Clinic Services
HCFA–36 Family Planning

HCFA–37 Reasonable Cost-Related Reimbursement for Skilled Nursing and Intermediate Care Facility Services
HCFA–38 State Medicaid Contracts
HCFA–39 Hearing Aid and Eyeglass Reimbursement
HCFA–40 Assignments of Benefits Collection of Medical Support
HCFA–41 Medicaid Quality Control System Expansion of Information Requirements
HCFA–42 Medicaid Management Information Systems/Additional Data Requirements
HCFA–43 Medicaid Quality Control Fiscal Disallowance—Michel Amendment
HCFA–44 Psychosurgery
HCFA–45 Verification of Services
HCFA–46 Recovery and Sanctions: Medicaid
HCFA–47 Fraud and Abuse in Medicaid
HCFA–48 Medicaid Recodification: General Requirements
HCFA–49 System for Hospital Uniform Reporting
HCFA–50 Skilled Nursing Facility/ Intermediate Care Facility Uniform Cost Reporting
HCFA–51 Hospital Discharge and Data Reports
HCFA–52 Skilled Nursing Facility/ Intermediate Care Facility Discharge and Bill Data
HCFA–53 Home Health Agency Cost and Utilization
HCFA–54 Home Health Agency Discharge and Bill Data
HCFA–55 Use of Federal Funds for Certain Prescribed Drugs
SSA–43 Medicaid Eligibility Determinations (SSI)
OS–1 Age Discrimination Regulations

Education

PHS–29 New Subpart–Grants and Cooperative Agreement for Training and Technical Assistance
PHS–30 Indian Health Care Improvement Act
PHS–50 Criteria for Payment of Tuition
PHS–51 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs
PHS–52 Traineeship Grants for Health Administration, Hospital Administration or Health Policy Analysis and Planning at Public or Nonprofit Private Educational Institutions other than Schools of Public Health
PHS–53 National Health Service Corps Scholarships
PHS–54 Scholarship for First-Year Students of Exceptional Financial Need
PHS–60 Educational Assistance to Individuals from Disadvantaged Backgrounds
PHS–69 Grants for Nurse Practitioner Traineeships Program
PHS–70 Grants for traineeships for the Advanced Training of Professional Nurses
PHS–71 Grants for Traineeships for Training Nurse Anesthetists
PHS–74 Health Systems Agency Reviews of Certain Proposed Uses of Federal Funds: Proposed Uses for Research and Training
OCR–3 Access to Educational Programs for National Origin Minority Children with a Primary or Home Language Other Than English
OS–1 Age Discrimination Regulations

Income Assistance

HDS–9 Work Incentive Program: Relocation to Chapter XIII of 45 CFR
HDS–11 Work Incentive Program: New Procedures to Determine WIN Sanction Period
SSA–7 Redetermining Eligibility and Computing Supplementary Payment (AFDC)
SSA–8 Equity Methods for Evaluating Resources (AFDC)
SSA–9 Inclusion of Child Receiving OASDI Benefits into an AFDC Assistance Unit (AFDC)
SSA–10 Coverage and Conditions of Financial Assistance Program, Residence (AFDC)
SSA–11 Continued Absence of Parent from the Home (AFDC)
SSA–12 Protective Vendor and Two Party Payments for Dependent Children (AFDC)
SSA–27 Disability (OASDI; SSI)
SSA–28 Determining SGA; Earnings Guidelines for Years Beginning 1980 (OASDI; SSI)
SSA–21–A Experiments to Improve the Hearing Process by Having the Social Security Administration Represented at Hearings (OASDI; SSI)
SSA–22 Limitation for Holding Hearings, Issuing Hearing Decisions and Issuing Appeals Decisions (OASDI; SSI)
SSA–23 Procedures, Payment of Benefits, Determinations, Reconsiderations, Hearings and Appeals (OASDI; SSI)
SSA–29 Representative Payee (OASDI; SSI)
SSA–30 Eligibility (SSI)
SSA–31 Eligibility–Redeterminations (SSI)
SSA–32 Filing of Applications (SSI)
SSA–33 Amount of Benefits (SSI)
SSA–34 Payment of Benefits, Overpayments, Underpayments, Recovery of Overpayment (SSI)
SSA–35 Reports Required (SSI)
SSA–36 Family Relationships (SSI)
SSA–37 Income (SSI)
SSA–38 Resources (SSI)
SSA–39 Reductions, Suspensions, and Terminations (SSI)
SSA–41 Interim Assistance Provisions (SSI)
SSA–42 Pass Along Benefit Increase With Limitation for Hold-Harmless States (SSI)
OS–1 Age Discrimination Regulations

Social Services

HDS–1 Grants for State and Community Programs on Aging: General Rules
HDS–2 Grants to Indian Tribal Organizations for Social and Nutrition Services: General Rules
HDS–3 Vocational Rehabilitation and Independent Living Programs: General Rules
HDS–4 Developmental Disabilities Program: General Rules
HDS–5 Social Service Programs: Consolidated Grants to Insular Areas
HDS–6 Native American Program: General Rules
HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules
HDS–9 Work Incentive Program: Relocation to Chapter XIII of 45 CFR
HDS–10 Social Service Programs under Titles I, IV, X, XIV, XVI (AABD) and XX of the Social Act: Relocation to Chapter XIII of 45 CFR
HDS–11 Work Incentive Program: New Procedures to Determine WIN Sanction Period
SSA–40 Referrals of Persons Eligible for SSI to Other Agencies (SSI)
OCR–2 Provisions of Services to Limited English Speaking Persons
OS–1 Age Discrimination Regulations

Retirement Benefits

SSA–16 Quarters of Coverage and Insured Status (OASDI)
SSA–17 New Methods for Computing Benefit Amounts (OASDI)
SSA–18 Basic Computations of Benefits and Lump Sums (OASDI)
SSA–19 Reduction of Benefits to Maximum (OASDI)
SSA–20 The Retirement Test (OASDI)
SSA–21 Deduction, Reduction, and Nonpayment of Benefits (OASDI)
SSA–21–A Experiments to Improve the Hearing Process by Having the Social Security Administration Represented at Hearings (OASDI; SSI)
SSA–22 Limitation for Holding Hearings, Issuing Hearing Decisions, and Issuing Appeals Decisions (OASDI; SSI)
SSA–23 Procedures, Payment of Benefits, Determinations, Reconsiderations, Hearings and Appeals (OASDI; SSI)
SSA–24 Employment, Wages, Self-Employment, SEI (OASDI)
SSA–25 Coverage of Employees of State and Local Governments (OASDI)
SSA–26 Wage Credits for Veterans and Members of the Uniformed Service (OASDI)
SSA–29 Representative Payee (OASDI; SSI)
OS–1 Age Discrimination Regulations

Other

SSA–14 Reorganization and Updating of Disclosure Regulations
SSA–15 Availability of Information and Records to the Public

PROGRAMS FOCUSING ON SPECIAL OPPORTUNITIES

Handicapped

PHS–7 Protection of Human Subjects: Regulations on Research Involving Those Institutionalized as Mentally Disabled
Centers on Educational Media and Materials for the Handicapped Program Preschool Partnership Program Gifted and Talented Children's Education Program
HDS–3 Vocational Rehabilitation and Independent Living Programs: General Rules
HDS–4 Developmental Disabilities Program: General Rules
SSA–21 Deductions, Reduction, and Nonpayment of Benefits (OASDI)
SSA–27 Disability (OASDI; SSI)
SSA–28 Determining SGA: Earnings Guidelines for Years Beginning 1980 (OASDI; SSI)

SSA–40 Referrals of Persons Eligible for SSI to Other Agencies (SSI)

Economically Disadvantaged

PHS–41 Demonstration Health and Nutrition Projects
PHS–54 Scholarships for First-Year Students of Exceptional Financial Need
PHS–60 Educational Assistance to Individuals from Disadvantaged Backgrounds
ASE–4 Biomedical Sciences Program
ASE–45 Campus Based-Funding Programs
ASE–8 Follow Through
ASE–35 Gifted and Talented Children's Education Program
ASE–10 Preschool Partnership Program
ASE–11 Title I, ESEA—Financial Assistance to LEAs and SEAs to Meet Special Educational Needs
ASE–3 Title I, ESEA—Migrant Education Program
HDS–9 Work Incentive Program: Relocation to Chapter XIII of 45 CFR
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SSA–3 Access to Wage Record Information (AFDC)
SSA–7 Redetermining Eligibility and Computing Supplementary Payment (AFDC)
SSA–8 Equity Methods for Evaluating Resources (AFDC)
SSA–9 Inclusion of Child Receiving OASDI Benefits into an AFDC Assistance Unit (AFDC)
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SSA–29 Representative Payee (SSI)
SSA–30 Eligibility (SSI)
SSA–31 Eligibility-Redeterminations (SSI)
SSA–32 Filing of Applications (SSI)
SSA–33 Amount of Benefits (SSI)
SSA–34 Payment of Benefits, Overpayments, Underpayments, Recovery of Overpayment (SSI)
SSA–35 Reports Required (SSI)
SSA–36 Family Relationships (SSI)
SSA–37 Income (SSI)
SSA–38 Resources (SSI)
SSA–39 Reductions, Suspensions, and Terminations (SSI)
SSA–40 Referral of Persons Eligible for SSI to Other Agencies (SSI)
SSA–41 Interim Assistance Provisions (SSI)
SSA–42 Pass Along Benefit Increase With Limitation for Hold-Harmless States (SSI)

Black Americans

ASE–25 Emergency School Aid—General
ASE–26 Ethnic Heritage Studies Program

Hispanic Americans

ASE–13 Bilingual Education Programs
ASE–25 Emergency School Aid—General
ASE–26 Ethnic Heritage Studies Program
ASE–42 Indian Education Program
OCR–3 Access to Educational Programs for National Origin Minority Children with a Primary Home or Language Other than English

Native Americans

PHS–30 Indian Health Care Improvement Act
PHS–31 Persons to Whom Services will be provided
HDS–2 Grants to Indian Tribal Organizations for Social and Nutrition Services: General Rules
HDS–3 Vocational Rehabilitation and Independent Living Programs: General Rules
HDS–6 Native American Program: General Rules

Women

PHS–37 Project Grants for Family Planning Services Women's Educational Equity Act Program

Older Americans

HDS–1 Grants for State and Community Programs on Aging: General Rules
HDS–2 Grants to Indian Tribal Organizations for Social and Nutrition Services: General Rules
SSA–16 Quarter of Coverage and Insured Status (OASDI)
SSA–17 New Methods for Computing Benefit Amounts (OASDI)
SSA–18 Basic Computations of Benefits and Lump Sums (OASDI)
SSA–19 Reduction of Benefits to Maximum (OASDI)
SSA–20 The Retirement Test (OASDI)
SSA–21 Deduction, Reduction, and Nonpayment of Benefits (OASDI)
SSA–24 Employment, Wages, Self-Employment, SEI (OASDI)
SSA–29 Representative Payee (OASDI;SSI)
OS–1 Age Discrimination Regulations

Other

ASE–32 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–19 Adult Education Program
ASE–13 Bilingual Education Programs
ASE–26 Ethnic Heritage Studies Programs
ASE–15 Indochina Refugee Children Assistance Program

REGULATIONS AFFECTING ORGANIZATIONS AND INSTITUTIONS

HEALTH

State and Local Health Departments

PHS–10 Health Incentive Grants for Comprehensive Public Health Services
PHS–11 Formula Grants to States for Preventive Health Service Programs
PHS–12 Grants for Preventive Health Services (42 CFR Part 51b): Subpart F—Grants for Research Demonstrations, and Public Information and Education for the Prevention and Control of Venereal Diseases
PHS–13 Grants for Preventive Health Services (42 CFR Part 51b): Subpart H—Grants for the Detection, Treatment, and Prevention of Lead-Based Paint Poisoning
PHS–14 Interstate Shipment of Etiologic Agents: Packaging, Labeling, and Shipping Requirements
PHS–38 Amendments to MCH CC Services Programs
PHS–42 Project Grants to States for Hypertension Services
HCFA–1 Professional Standards Review Organizations (PSROs) Sanctions on Providers
HCFA–2 Waiver of Liability
HCFA–3 Professional Standards Review Organizations (PSROs) Reconsideration and Appeals
HCFA–4 Hospital Utilization Review
HCFA–5 Validation of Accreditation Surveys of Hospitals
HCFA–6 Conditions of Participation for Hospitals
HCFA–7 Funding of Professional Standards Review Organizations Hospital Review
HCFA–8 Confidentiality and Disclosure of Information of Professional Standards Review Organizations (PSROs)
HCFA–9 Certification of Separate Cost Entities
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Pharmacists

FDA 25—Prescription Drug Labeling; Policy on Patient Labeling
FDA 26—Biopharmaceutics Program; Therapeutic Equivalence Evaluations

All Organizations

OS–1 Age Discrimination

Mining Industry

PHS–18 National Institute for Occupational Safety and Health Investigative Procedures; Mining Amendments
PHS–43 Program Grants for Black Lung Clinics

Alcohol and Drug Facilities

PHS–46 Grants for Drug Abuse Prevention Treatment, and Rehabilitation; Requirements for State Participation in Formula Grants
PHS–47 Special Grants for Implementation of the Uniform Alcoholism and Intoxication Treatment Act; Requirements for Grants and Application for Grants
PHS–48 Confidentiality of Alcohol and Drug Patient Records; Minimum Requirements for Protecting

Indian Tribes and Tribal Organizations Health Facilities

PHS–32 Grants for Development, Construction, and Operations of Facilities and Services

State Medicaid Agencies

HCFA–36 Family Planning
HCFA–37 Reasonable Cost-Related Reimbursement for Skilled Nursing and Intermediate Care Facility Services
HCFA–38 State Medicaid Contracts
HCFA–39 Hearing Aid and Eyeglass Reimbursement
HCFA–40 Assignments of Benefits Collection of Medicaid Support
HCFA–41 Medicaid Quality Control System Expansion of Information Requirements
HCFA–42 Medicaid Management Information Systems/Additional Data Requirements
HCFA–43 Medicaid Quality Control Fiscal Disallowance—Michel Amendment
HCFA–44 Psychosurgery
HCFA–45 Verification of Services
HCFA–47 Recovery and Sanctions: Medicaid
HCFA–55 Use of Federal Funds for Certain Prescribed Drugs

Other

HCFA–24 Prohibition Against Reassignments
HCFA–45 Verification of Services
HCFA–46 Withholding Payments on Suspicion of Fraud
HCFA–47 Recovery and Sanctions: Medicaid
OCR–2 Provisions of Services to Limited English Speaking Persons

EDUCATION

State Education Agencies

ASE–19 Adult Education Program
ASE–41 Arts in Education Program
ASE–34 Basic Skills and Educational Proficiency Programs
ASE–13 Bilingual Education Programs
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–32 Community Education Program
ASE–21 Consumers Education Program
ASE–33 Cooperative Education
ASE–17 Correction Education Demonstration Program
ASE–12 Education Division General Administrative Regulations
ASE–29 Education Appeals Board
ASE–14 Environmental Education Program
ASE–26 Ethnic Heritage Studies Program
ASE–44 Financial Assistance for Construction, Reconstruction, and Renovation of Higher Education Facilities
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Program
ASE–42 Indian Education Program
ASE–15 Indochina Refugee Children Assistance Program
ASE–47 Consolidated Grant Applications for Insular Areas Application
ASE–36 Law-Related Education
ASE–20 Metric Education Program
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–10 Preschool Partnership Program
ASE–16 Title I, ESEA—Financial Assistance to LEAs and SEAs to Meet Special Educational Needs
ASE–11 Title I, ESEA—Awarding of Special Grants to LEAs
ASE–3 Title I, ESEA—Migrant Education Program
ASE–2 Title IV, ESEA—Eduational Improvement, Resources, and Support

ASE–17;1 Title V, ESEA—Strengthening State Educational Agency Management
ASE–40 Women's Educational Equity Act Program
OCR–3 Access to Education Programs for National Origin Minority Children With a Primary or Home Langauge Other than English

Local Education Agencies

ASE–19 Adult Education Program
ASE–41 Arts in Education Program
ASE–34 Basic Skills and Educational Proficiency Program
ASE–13 Bilingual Education Programs
ASE–4 Biomedial Sciences Program
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–22 Community Education Program
ASE–21 Consumer's Eduation Program
ASE–33 Cooperative Education Program
ASE–17 Correction Education Demonstration Program
ASE–12 Education Divison General Administrative Regulations
ASE–29 Education Appeals Board
ASE–14 Environmental Education Program
ASE–25 Emergency School Aid—General
ASE–26 Ethnic Heritage Studies Program
ASE–8 Follow Through Program
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Program
ASE–42 Indian Education Program
ASE–15 Indochina Refugee Children Assistance Program
ASE–47 Consolidated Grant Applications for Insular Areas Application
ASE–36 Law-Related Education
ASE–20 Metric Education Program
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–10 Preschool Partnership Program
ASE–43 School Assistance in Federally Affected Areas
ASE–5 Safe Schools Program
ASE–16 Title I, ESEA—Financial Assistance to LEAs and SEAs to Meet Special Educational Needs
ASE–11 Title I, ESEA—Awarding of Special Grants to LEAs
ASE–3 Title I, ESEA—Migrants Education Program
ASE–2 Title IV, ESEA—Educational Improvement, Resources, and Support
ASE–40 Women's Educational Equity Act Program
OCR–3 Access to Educational Programs for National Origin Minority Children With a Primary or Home Language Other than English

Public and Private Non-Profit Agencies

ASE–19 Adult Education Program
ASE–41 Arts in Eduation Program
ASE–13 Bilingual Education Programs
ASE–37 Commissioner's Discretionary Projects Program
ASE–21 Consumers' Education Program
ASE–17 Correction Education Demonstration Program
ASE–12 Education Division General Administrative Regulations
ASE–39 Education Division General Administrative Regulation—Debt Collections
ASE–14 Environmental Education Program
ASE–26 Ethnic Heritage Studies Program
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Program
ASE–15 Indochina Refugee Children Assistance Program
ASE–20 Metric Education Program
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–10 Preschool Partnership Program
ASE–16 Title I, ESEA—Financial Assistance to LEAs and SEAs to Meet Special Educational Needs
ASE–2 Title IV, ESEA—Educational Improvement, Resources, and Support
ASE–40 Women's Educational Equity Act Program
ASE–23 Youth Employment Program

Colleges and Universities

PHS–30 Indian Health Care Improvement Act Programs
PHS–63 Interdisciplinary Team Training and Curriculum Development for Health Manpower Training
PHS–67 Grants for Allied Health Projects
PHS–74 Health Systems Agency Review of Certain Proposed Uses of Federal Funds; Proposed Uses for Research and Training
FDA 13—Bioresearch Monitoring; Standards for Institutional Review Boards for Clinical Investigators
FDA 14—Bioresearch Monitoring; Informed Consent
FDA 17—Bioresearch Monitoring; Obligations of Sponsors and Monitors of Clinical Investigations
FDA 18—Bioresearch Monitoring; Obligations of Clinical Investigators
FDA 57—Investigational Device Exemptions
FDA 71—Recommendations for National Standards for Medical Radiation Technologists
ASE–32 Domestic Mining and Mineral Fellowships
ASE–12 Education Division General Administrative Regulations
ASE–14 Environmental Education Program
ASE–44 Financial Assistance for Construction, Reconstruction, and Renovation of Higher Education Facilities
ASE–8 Follow through
ASE–31 Eligibility of Foreign Medical School
ASE–35 Gifted and Talented Children's Education Program
ASE–7 Health Education Assistance Loan Program
ASE–42 Indian Education Program
ASE–20 Metric Education Program
ASE–28 Modern Foreign Language and Area Studies
ASE–30 National Diffusion Network
ASE–9 Population Education Program
ASE–10 Preschool Partnership Program
ASE–46 Territorial Teacher Training Program
ASE–4 Biomedical Medical Sciences Program
ASE–45 Campus-Based Funding Program
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program
ASE–21 Consumers' Education Program
ASE–17 Correction Education Demonstration Program

Vocational Schools

ASE–37 Commissoner's Discretionary Projects Program
ASE–21 Consumers' Education Program
ASE–17 Correction Education Demonstration Program
ASE–12 Education Division General Administrative Regulations
ASE–20 Metric Education Program
ASE–30 National Diffusion Network
ASE–24 Vocational Education
ASE–23 Youth Employment Program

Graduate and Professional Schools

PHS–51 Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs
PHS–52 Traineeship Grants for Health Administration, Hospital Administration or Health Policy Analysis and Planning at Public or Nonprofit Private Educational Institutions Other than Schools of Public Health
PHS–54 Scholarships for First-Year Students of Exceptional Financial Need
PHS–55 Health Professions Capitation Grants
PHS–56 Project Grants for Establishment of Departments of Family Medicine
PHS–57 Area Health Education Centers
PHS–58 Grants for Residency Training in General Internal Medicine or General Pediatrics
PHS–59 Grants for Training in Family Medicine
PHS–61 Grants to Schools of Medicine, Dentistry, Public Health, Osteopathy, Optometry, Podiatry, Pharmacy, and Veterinary Medicine for Start-up Assistance
PHS–62 Health Professions Financial Distress Grants
PHS–63 Interdisciplinary Team Training and Curriculum Development for Health Manpower Training
PHS–64 Grants for Training in Emergency Medical Services
PHS–65 Grants for Graduate Programs in Health Administration
PHS–66 Special Project Grants for Graduate Programs In Public Health
PHS–67 Grants for Allied Health Projects
PHS–68 Grants for Traineeships for Advanced Training of Allied Health Personnel
PHS–69 Grants for Nurse Practitioner Traineeships Programs
PHS–70 Grants for Traineeships for the Advanced Training of Professional Nurses
PHS–71 Grants for Traineeships for Training Nurse Anesthetists
PHS–74 Health Systems Agency Reviews of Certain Proposed Uses of Federal Funds; Proposed Uses for Research and Training
ASE–4 Biomedical Sciences Program
ASE–45 Campus-Based Funding Programs
ASE–38 Centers on Educational Media and Materials for the Handicapped Program
ASE–37 Commissioner's Discretionary Projects Program

ASE–12 Education Division General Administrative Regulations
ASE–44 Financial Assistance for Construction, Reconstruction, and Renovation of Higher Education Facilities
ASE–35 Gifted and Talented Children's Education Program
ASE–32 Graduate Professional Opportunities
ASE–36 Law-Related Education

All Organizations

OS–1 Age Discrimination Regulations

Other

ASE–17 Correction Education Demonstration Program
ASE—12 Education Division General Administrative Regulations
ASE–39 Education Division General Administrative Regulations—Debt Collections
ASE–29 Education Appeals Board
OCR–2 Provisions of Services to Limited English Speaking Persons

INCOME MAINTENANCE

State and Local Governments

SSA–1 Incentive Adjustment for Quality Control in Federal Financial Participation in the AFDC Program
SSA–2 Reduction in Federal Financial Participation
SSA–3 Access to Wage Record Information
SSA–4 Quality Control Reviews—General Administration
SSA–5 State Plan for Methods of Personnel Administration
SSA–6 Federal Matching Funds for State and Local Training
SSA–10 Coverage and Conditions of Financial Assistance Programs: Residence
SSA–13 Administrative and Fiscal Requirements for Federal Financial Participation in Financial Assistance to Individuals
SSA–25 Coverage of Employees of State and Local Governments
SSA–27 Disability
SSA–41 Interim Assistance Provisions
SSA–42 Pass Along Benefit Increase With Limitation for Hold-Harmless States

All Organizations

OS–1 Age Discrimination Regulations

Other

OCR–2 Provisions of Services to Limited English Speaking Persons

SOCIAL SERVICES

State and Local Government Agencies

HDS–1 Grants for States and Community Programs on Aging: General Rules
HDS–3 Vocational Rehabilitation and Independent Living Program: General Rules
HDS–4 Developmental Disabilities Program: General Rules
HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules
SSA–5 State Plan for Methods of Personnel Administration
SSA–6 Federal Matching Funds for State and Local Training
SSA–40 Referrals of Persons Eligible for SSI to Other Agencies

Child Care Facilities

HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules

Residential Care Facilities

HDS–4 Developmental Disabilities Program: General Rules
HDS–7 Title IV–B Child Welfare Services: General Rules
HDS–8 Child Abuse and Neglect Prevention and Treatment Program: General Rules

Vocational and Rehabilitation Facilities

HDS–3 Vocational Rehabilitation and Independent Living Programs: General Rules
SSA–40 Referrals of Persons Eligible for SSI to Other Agencies

Local Services (i.e., nutrition, counseling)

HDS–1 Grants for States and Community Programs on Aging: General Rules

All Organizations

OS–1 Age Discrimination Regulations
OS–2 Day Care Requirements

Other

HDS–2 Grants to Indian Tribal Organizations Social and Nutrition Service: General Rules
HDS–5 Social Service Programs: Consolidated Grants to Insular Areas
HDS–6 Native American Program: General Rules
HDS–10 Social Service Programs under Titles I, IV, X, XIV, XVI(AABD) and XX of the Social Security Act: Relocation to Chapter XIII of 45 CFR
OCR–2 Provisions of Services to Limited English Speaking Persons

Department of Health, Education, and Welfare Semiannual Regulations Agenda and Review List

Public Health Service

Title	Summary	Contact	Decision quarter
PHS–1—Conduct of Persons and Traffic on Certain Federal Enclaves: Revision of General Rules.	A. *Description:* These regulations govern the conduct of individuals and traffic on the National Institutes of Health reservation in Bethesda, Md. and will be extended to cover the U.S. PHS Hospital at Staten Island, N.Y. The regulations deal with traffic; parking; buildings and grounds, prohibited activities such as gambling, nuisances and discrimination; and specify penalties. B. *Why Significant:* This revision brings up to date these regulations which were last revised in 1970, by making minor additions, improving readability and extending coverage to the PHS Hospital, Staten Island, over which the U.S. has exclusive or concurrent jurisdiction. C. *Regulatory Analysis:* Not required. D. *Need:* This revision is necessary in order to comply with the Department's program of recodification and "Operation Common Sense." E. *Legal Basis:* Sec. 1–5, 62 Stat. 281, as amended, 75 Stat. 574 (40 U.S.C. 318–318d); Sec. 205, 63 Stat. 389, as amended, 64 Stat. 591, 76 Stat. 414 (40 U.S.C. 486); Delegations of Authority 33 FR 604, 41 FR 19162, 41 FR 34346, 44 FR 15774. F. *Chronology:* Notice of Decision to Regulate published July 20, 1979 (44 FR 42727).	William G. Ketterer, Senior Attorney, NIH, Office of the General Counsel, National Institutes of Health, Bethesda, Md. 20205, (301) 496–6043.	Notice of Proposed Rulemaking Oct.–Dec. 1979.
PHS–2—National Library of Medicine Programs: Revision of General Rules for the National Library of Medicine, National Library of Medicine Grants, National Institutes of Health and National Library of Medicine Traineeships, and National Institutes of Health and National Library of Medicine Training Grants.	A. *Description:* There are 4 NLM regulations undergoing revision. The regulations at 42 CFR Part 4 relate to the access of facilities and library collections. Those at 42 CFR Part 59a deal with the NLM extramural programs. These rules provide guidance for applying for grants for establishing, expanding and improving basic library resources and for establishing Regional Medical Libraries. The regulations at 42 CFR Part 63 deal with both NIH and NLM traineeships. The regulations at 42 CFR Part 64 govern the training grants of NIH and NLM. B. *Why Significant:* These proposed amendments will bring up to date the NLM regulations by (1) improving readability by the use of the HEW Operation Common Sense principles, and (2) allowing for inclusion of updated nondiscrimination language. In addition, the regulation at 42 CFR Part 59a will be revised to remove the requirement of providing photocopies of biomedical materials without charge to users. C. *Regulatory Analysis:* Not required. D. *Need:* These revisions are necessary to comply with the Department's programs of recodification and "Operation Common Sense." E. *Legal Basis:* 42 USC 216, 42 USC 276 and 42 USC 280b–2. F. *Chronology:* This proposal is currently under review. When the review is completed and proposal approved, the Department will publish a Notice of Decision to Regulate.	Kenneth Carney, Acting Executive Officer, National Library of Medicine, Bethesda, Md. 20209, (301) 496–6491.	Notice of Decision to Regulate Oct.–Dec. 1979. Notice of Proposed Rulemaking Jan.–March 1980.

Department of Health, Education, and Welfare Semiannual Regulations Agenda and Review List—Continued

Title	Summary	Contact	Decision quarter
PHS–3—Inventions Resulting from Research Grants, Fellowship Awards, and Contracts for Research—Clarification of Reporting Requirements.	A. *Description:* This proposal will revise the Department's regulations at 45 CFR Part 8.5 so that they clearly spell out the Department's reporting requirements, rather than simply stating the requirements will be at the discretion of the Assistant Secretary for Health. B. *Why Significant:* In its present form, the regulations are entirely adequate to provide the Assistant Secretary for Health with the authority to require or forgive the filing of invention reports. The problem with the regulation is that it is unnecessarily vague on the basis of experience and is not, therefore, in the public's interest. The regulations could be improved by merely stating what is or is not required. C. *Regulatory Analysis:* Not required. D. *Need:* In 1975, the Assistant Secretary for Health decided to delete the reporting requirements from all fellowships and training awards not primarily awarded to conduct research. Changes in various internal policy documents were made to reflect this decision. Despite these changes, it is clear from the level of inquiries that confusion remains in the minds of grantees over what has to be reported. This proposed revision will clearly state what is or is not required and eliminate further confusion. E. *Legal Basis:* 22 FR 9865, Dec. 4, 1957, as amended at 31 FR 12642, Oct. 1, 1966. F. *Chronology:* This proposal is currently under review. When the review is completed and proposed approve, the Department will publish a Notice of Decision to Regulate.	Lowell D. Peart, NIH Regulations Officer, Division of Management Policy, National Institutes of Health, Bethesda, Md. 20205, (301) 496–4606.	Notice of Decision to Regulate Oct.–Dec. 1979. Notice of Proposed Rulemaking Jan.–March 1980.
PHS–4—National Research Service Awards Program: General Rules.	A. *Description:* These revised regulations govern the program of NRSA's which are made to promote research training in specified areas of science. B. *Why Significant:* This revision expands the scope of the regulations to cover additional PHS programs and allows NRSA recipients liberalized service payback and financial payback requirements C. *Regulatory Analysis:* Not required. D. *Need:* To implement the provisions of "The Biomedical Research and Research Training Amendments of 1978" and the "Health Services Research, Health Statistics, and Health Care Technology Act of 1978". E. *Legal Basis:* Sec. 215, 58 Stat. 690, as amended (42 U.S.C. 216); Sec. 472, 66 Stat. 342 (43 U.S.C. 2891–1). F. *Chronology:* Notice of Decision to Regulate published May 3, 1979 (44 FR 25886).	William Raub, Ph. D., Associate Director of Extramural Research and Training, National Institutes of Health, Bethesda, Md. 20205, (301) 496–1096.	Final Technical Amendments Oct.–Dec. 1979.
PHS–5—Protection of Human Research Subjects—Institutional Review Boards.	A. *Description:* These revised regulations will govern the IRB mechanism. The purpose of IRBs is to assure that biomedical and behavioral research, conducted or supported by HEW, meets the requirements concerning informed consent by persons involved as subjects in research. The revision is based on recommendation of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research. B. *Why Significant:* These regulations are significant in that review of proposed research by IRBs is the primary mechanism for assuring that the rights of human subjects are protected. C. *Regulatory Analysis:* Not required. D. *Need:* The National Research Act created the Nat'l. Comm. One of the topics of study identified in the mandate to the Commission was "Institutional Review Boards". The Commission was required to make recommendations to the Secretary, regarding IRB mechanisms and appropriate enforcement mechanisms for carrying out decisions. The Commission's report was published in the FEDERAL REGISTER and public comments were received. After reviewing the recommendations and comments, the Secretary decided to issue regulations on this subject. E. *Legal Basis:* 5 U.S.C. 301. F. *Chronology:* Recommendations of the Commission regarding IRBs published Nov. 30, 1978 (43 FR 56174). Comment period ended Jan. 29, 1979. NPRM published August 14, 1979 (44 FR 47688). Comment period ends Nov. 12, 1979.	F. William Dommel, Jr., J.D., Assist. Dir. for Regs., Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md. 20205, (301) 496–7163.	Final Regs. April–June 1980.
PHS–6—Protection of Human Subjects: Regulations on Research Involving Children.	A. *Description:* These regulations will provide additional protections for children who are research subjects of DHEW conducted or supported research. B. *Why Significant:* These regulations define the circumstances under which such research can be conducted or supported, describe procedures for the review and approval of the research, and identify the requirements for informed consent to participate in research by and for such subjects. C. *Regulatory Analysis:* Not required. D. *Need:* The National Research Act, requires the Secretary to publish all recommendations of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research in the FEDERAL REGISTER, to solicit public comment, to consider the recommendations and relevant comments and to take appropriate administrative action with respect to the recommendations. After reviewing the recommendations and comments, the Secretary decided to issue regulations on this subject. E. *Legal Basis:* 5 U.S.C. 301. F. *Chronology:* Recommendations of the Commission regarding children published Jan. 13, 1978 (43 FR 2084). Comment period ended March 14, 1978. NPRM published July 21, 1978 (43 FR 31786). Comment period originally ended Sept. 19, 1978, but was extended by the NPRM on IRBs to Nov. 12, 1979.	F. William Dommel, Jr., J.D., Assist. Dir. for Regs., Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md. 20205, (301) 496–7163.	Final Regs. April–June 1980.
PHS–7—Protection of Human Subjects: Regulations on Research Involving Those Institutionalized as Mentally Disabled.	A. *Description:* These regulations will provide additional protections for those institutionalized as mentally disabled persons who participate as subjects in DHEW conducted or supported research. B. *Why Significant:* These regulations would implement the recommendations of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research by defining the circumstances under which research projects involving the institutionalized mentally disabled can be conducted or supported. The implementing regulations would also spell out requirements for consent or, in the absence of competence, assent of the institutionalized mentally disabled. The regulations would also require increasing evidence of benefit to the subjects as the risks of the research escalated. C. *Regulatory Analysis:* Not required.	F. William Dommel, Jr., J.D., Assist. Dir. for Regs., Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md. 20205, (301) 496–7163.	Final Regs. April–June 1980.

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Title	Summary	Contact	Decision quarter
	D. *Need:* The National Research Act, requires the Secretary to publish all recommendations of the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research in the FEDERAL REGISTER, to solicit public comment, to consider the recommendations and relevant comments and to take appropriate action with respect to the recommendations and comments. The Secretary decided to issue regulations on this subject. E. *Legal Basis:* 5 U.S.C. 301. F. *Chronology:* Recommendations of the Commission regarding Those Institutionalized as Mentally Disabled published March 17, 1978 (43 FR 11328). Comment period ended May 16, 1978. Notice of decision to develop regulations published April 24, 1978 (43 FR 17375). Notice of Proposed Rulemaking published Nov. 17, 1978 (43 FR 53950). Comment period originally ended Jan. 16, 1979, but was extended by the NPRM on IRBs to Nov. 12, 1979.		
PHS–8—Protection of Human Subjects: Regulations on Compensation of Human Subjects Injured in Biomedical and Behavioral Research.	A. *Description:* These regulations would require institutions applying for DHEW grants or contracts in support of research involving human subjects to provide assurances that they have in force mechanisms to provide compensation for individuals who suffer injury as a result of their participation as subjects. B. *Why Significant:* At present, whether or not an injured research subject can receive any compensation depends upon whether the researcher was negligent or upon such nonresearch related factors as whether the subject was a Federal employee or covered by some other form of worker's compensation or health insurance. This regulation will correct that situation. C. *Regulatory Analysis:* Not required. D. *Need:* On May 7, 1975, the Department formed the Task Force on Compensation of Injured Research Subjects. The Task Force concluded in its report, issued in Jan. 1977, that establishment of a compensation mechanism was clearly indicated. The Nat'l. Commission which subsequently reviewed the report agreed with this conclusion. By promulgating an NPRM, the Secretary is taking administrative action on the recommendation of both the Task Force and the National Commission. E. *Legal Basis:* 5 U.S.C. 301. F. *Chronology:* Interim final regulations on Informed Consent; Definition Amended to Include Advice on Compensation published on Nov. 3, 1978 (43 FR 51559). A draft proposed NPRM is currently under review by the Ethics Advisory Board. When the review is completed, the draft NPRM will be sent to the Secretary for her consideration.	F. William Dommet, Jr., J.D. Assist. Dir. for Regs., Office for Protection from Research Risks, National Institutes of Health, Bethesda, Md. 20205, (301) 496–7163.	
PHS–9—Standards for Clinical Laboratory Personnel—Requirements for Certification.	A. *Description:* Unifies and integrates Departmental personnel standards affecting clinical laboratories so that they may be more uniformly applied to all clinical laboratories under the aegis of the Department. The proposed revision also will update personnel qualification requirements. B. *Why significant:* Existing Department personnel standards for clinical laboratories apply to about 950 laboratories licensed under the Clinical Laboratories Improvement Act of 1967 and to about 3400 Medicare certified independent laboratories. The proposed regulations would also apply to about 6700 Medicare certified hospital laboratories. C. *Regulatory Analysis:* Not required. D. *Need:* Implementation of the proposed regulations would provide for uniform application of one set of personnel standards to all clinical laboratories licensed or Medicare certified by the Department. E. *Legal Basis:* For laboratories licensed under the Clinical Laboratories Improvment Act of 1967, see Section 353 of the Public Health Service Act, 42 U.S.C. 263a. For laboratories certified under the Medicare program, see Section 1861(s)(3), (10), and (11) of the Social Security Act, 42 U.S.C. 1395x(s) (3), (10), and (11). F. *Chronology:* NPRM published on October 12, 1979 (44 FR 58923). Comment period ended November 26, 1979.	Dr. Louis C. LaMotte, Director, Licensure and Proficiency Testing Division, Bureau of Laboratories, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329–3824, FTS. 236–3824.	Final Rule—April–June 1980.
PHS–10—Health Incentive Grants for Comprehensive Public Health Services.	A. *Description:* Establishes requirements for health incentive grants to States to assist them in providing comprehensive public health services. Will provide a method for the equitable distribution of funds among State and local public health entities within the State and define program accountability measures. B. *Why significant:* State and local health agencies have the primary responsibility for a broad area of public health: health protection and health maintenance directed at populations, and personal health services directed at disadvantaged persons and those at special risk. This program makes grants to provide a Federal sharing in the costs of those vital services, in a manner designed to encourage State and local health entities to increase their own investments. C. *Regulatory Analysis:* Not required. D. *Need:* To implement Section 314(d) of the Public Health Service Act, as amended by the Health Services and Centers Amendments of 1978. E. *Legal Basis:* 42 U.S.C. 246d. F. *Chronology:* Notice of Decision to Develop Regulations published on May 1, 1979 (44 FR 25476). NPRM is currently under review. When the review is completed, it will be submitted to the Secretary of Health, Education, and Welfare for approval. Comment period will end 60 days after publication of the NPRM.	Mr. Dennis D. Tolsma, Office of the Center Director, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329–3243, FTS 236–3243	Final Rule—April–June 1980.
PHS–11—Formula Grants to States for Preventive Health Service Programs.	A. *Description:* Establishes requirements for formula grants to assist States in planning and developing preventive health service programs, including measurable goals for the reduction of the mortality rate for one or more of the five leading causes of death. B. *Why significant:* Heart disease, cancer, accidents, stroke, and pneumonia/influenza are the five leading causes of death. A significant reduction of these death rates is achievable through primary and secondary prevention of risk factors and causative conditions. States will develop and implement preventive health services target on the leading causes. C. *Regulatory Analysis:* Not required. D. *Need:* To implement Section 315 of the Public Health Service Act.	Mr. Dennis D. Tolsma, Office of the Center Director, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329–3243, FTS 236–3243.	NPRM April–June 1980

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Title	Summary	Contact	Decision quarter
	E. *Legal Basis:* 42 U.S.C. 247. F. *Chronology:* Notice of Decision, to Develop Regulations published on May 1, 1979 (44 FR 25476). Comment period will end 60 days after publication of the NPRM.		
PHS–12—Grants for Preventive Health Services (42 CFR Part 51b): Subpart F—Grants for Research, Demonstrations, and Public Information and Education for the Prevention and Control of Venereal Diseases.	A. *Description:* Established requirements for research, demonstrations and public information and education grants for the prevention and control of venereal disease and implements an amendment to Section 318 of the Public Health Service Act that at least 5 percent of grant funds appropriated under Section 318 for the prevention and control of venereal diseases be expended for this program. B. *Why significant:* Provides regulatory base to expand capability to refine venereal disease prevention and control technology. C. *Regulatory Analysis.* Not required. D. *Need:* To implement changes made to Section 318(b) of the Public Health Service Act by the Health Services and Centers Amendments of 1978. E. *Legal Basis:* ection 318 of the Public Health Service Act (42 U.S.C. 247c), as amended by the Health Services and Centers Amendments of 1978. F. *Chronology:* Notice of Decision to Develop Regulations published April 13, 1979 (44 FR 22133). Comment period will end 60 days after publication of NPRM.	Dr. Paul J. Wiesner, Director, Venereal Disease Control Division, Bureau of State Services, Center for Disease Control, Atlanta, Georgia 30333, Phone: (404) 329–3343, FTS: 236–3343.	NPRM—April–June 1980.
PHS–13—Grants for Preventive Health Services (42 CFR Part 51b): Subpart H—Grants for Detection, Treatment, and Prevention of Lead-Based Paint Poisoning.	A. *Description:* Governs the award of grants for lead-based paint poisoning prevention programs. B. *Why significant:* Reflects the transfer of statutory authority for the program and revisions in the law pertaining to advisory committees and the use of local resources. C. *Regulatory Analysis.* Not required. D. *Need:* The revised regulation is necessary to reflect both the transfer of the authority for this program from the Lead-Based Paint Poisoning Prevention Act to Section 316 of the Public Health Service Act and the amendments to the authority. E. *Legal Basis:* Section 316 of the Public Health Service Act (42 U.S.C. 247a), as amended by the Health Services and Centers Amendments of 1978. F. *Chronology: Notice of Decision to Develop Regulations published September 27, 1979 (44 FR 55802). Comment period will end 60 days after publication of NPRM.*	Dr. Vernon N. Houk, Director, Environmental Health Services Division, Bureau of State Services, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333, Phone: (404) 262–6645, FTS: 236–6645.	NPRM—April–June 1980.
PHS–14—Interstate Shipment of Etiologic Agents: Packaging, Labeling, and Shipping Requirements.	A. *Description:* Provides packaging and shipping requirements for interstate shipment of etiologic agents, and a system for receiving and responding to notifications of evidence or reports of damage or leakage to shipments of regulated materials during transit. B. *Why significant:* Prescribes procedures for minimum packaging of materials containing etiologic agents which are transported in interstate traffic for diagnostic, therapeutic, research, and production purposes in accordance with individual and national health needs and interests. C. *Regulatory analysis:* Not required. D. *Need:* To update the list of infectious agents any new viruses which have been recognized or which are appropriate to add, and to simplify and/or clarify the description of the materials to which the packaging, labeling, and shipping requirements are applicable. E. *Legal Basis:* Section 361 of the Public Health Service Act (42 U.S.C. 264). F. *Chronology:* Notice of Decision to Develop Regulations published June 29, 1979 (44 FR 37963). NPRM is currently under review. When the review is completed, it will be submitted to the Secretary of Health, Education, and Welfare for approval. Comment period will end 60 days after publication of the NPRM.	Dr. John H. Richardson, Director, Office of Biosafety, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329–3885, FTS: 236–3885.	Final Rule—April–June 1980.
PHS–15—Foreign Quarantine Regulations: Requirements and Inspections.	A. *Description:* Provides procedures on preventing the introduction, transmission, or spread of communicable diseases from foreign countries into the United States. B. *Why significant:* The procedures affected all international traffic arriving in the U.S. by ship, aircraft, or land conveyances. C. *Regulatory Analysis:* Not required. D. *Need:* To update the regulations in accordance with current concepts of disease surveillance, investigation, and control. E. *Legal Basis:* Section 361 of the Public Health Service Act (42 U.S.C. 264) F. *Chronology:* Notice of Decision to Develop Regulations published June 29, 1979 (44 FR 37963). Comment period will end 60 days after publication of the NPRM.	Mr. Joseph F. Giordano, Director, Quarantine Division, Bureau of Epidemiology, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333, Phone: (404) 329–3674, FTS: 236–3674.	NPRM—April–June 1980.
PHS–16—Importation of Dogs and Cats into the United States: Changes in requirements.	A. *Description:* Modifies requirements for importation of dogs and cats into the U.S. by (1) eliminating inspection requirements for wild dogs and wild cats, and vaccination requirements for wild dogs; (2) prescribing currently available vaccines; and (3) allowing domestic dogs requiring vaccination to be vaccinated at their destination rather than at the port of entry. B. *Why significant:* The regulation is intended to prevent the introduction of communicable disease, especially rabies, with the importation of dogs and cats into the U.S. C. *Regulatory Analysis:* Not required. D. *Need:* To implement revised requirements for importing dogs and cats into the U.S. to conform to currently accepted health practices and to provide flexibility to cope with the frequent changes in available animal rabies vaccines. E. *Legal Basis:* Section 361 of the Public Health Service Act (42 U.S.C. 264). F. *Chronology:* Notice of Decision to Develop Regulations published January 31, 1979 (44 FR 6155). NPRM published July 23, 1979 (44 FR 43005). Comment period ended September 4, 1979.	Mr. Joseph F. Giordano, Director, Quarantine Division, Bureau of Epidemiology, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329–3674, FTS: 236–3674.	Final Rule—January–March 1980.

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Title	Summary	Contact	Decision quarter
PHS-17—Medical Examination of Aliens.....	A. *Description:* Provides for the physical and mental examination of aliens within the United States or in other countries as required by the Immigration laws. B. *Why significant:* The regulations provide the basis for the physical and mental examination of aliens to determine whether the aliens are afflicted with any of the excludable conditions as stated in the Immigration and Nationality Act. C. *Regulatory Analysis:* Not required. D. *Need:* To implement changes in accordance with current epidemiological concepts and medical diagnostic standards. E. *Legal Basis:* Section 325 of the Public Health Service Act (42 U.S.C. 264) and Section 212(a) of the Immigration and Nationality Act (8 U.S.C. 1182). F. *Chronology:* Notice of Decision to Develop Regulations published June 29, 1979 (44 FR 37962). Comment period will end 60 days after publication of NPRM.	Mr. Joseph F. Giordano, Director, Quarantine Division, Bureau of Epidemiology, Center for Disease Control, 1600 Clifton Road, NE, Atlanta, Georgia 30333. Phone: (404) 329-3674, FTS: 236-3674.	NPRM—April-June 1980.
PHS-18—National Institute for Occupational Safety and Health Investigative Procedures; Mining Amendments.	A. *Description:* This rule amends existing provisions of 42 CFR Parts 85 and 85a to include current procedures for NIOSH health hazard evaluations and field research investigations in the mining industry. B. *Why significant:* Will enable NIOSH to develop data for improved health standards to reduce health risks to miners. C. *Regulatory Analysis:* Not required. D. *Need:* To impelement NIOSH's expanded research authorities under the Federal Mine Safety and Health Act of 1977. E. *Legal Basis:* 30 U.S.C. 801 et. seq. F. *Chronology:* NPRM published on December 5, 1978 (43 FR 56918). Comment period ended January 4, 1979.	Dr. James Merchant, Director, Division of Respiratory Diseases Studies, National Institute for Occupational Safety and Health, CDC, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505. Phone: (304) 599-7474, FTS: 923-7474..	Final Rule—October-December 1979.
PHS-19—Subpart A—Requirements for a Health Maintenance Organization.	A. *Description:* This regulation defines the health benefits, providers of health services, method of payment, organization and operation, and special requirements concerning Titles XVIII and XIX members. B. *Why Significant:* These regulations establish requirements for basic and supplemental health services which an HMO must provide its members for a fixed, prepaid fee. These regulations impact on 98 federally qualified HMOs which have a membership of 5.1 million persons, as of September 1979. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the HMO Amendments of 1978 and to revise certain provisions of the regulations to reflect the operating experience of the program. E. *Legal Basis:* Sec. 215, 88 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —NPRM—42 CFR 110.108(c)(1) Full and Fair Disclosure; § 110.108(c)(2) Broadly representative enrollment; 110.108(s) Reporting and disclosure under the Employee Retirement Income Security Act of 1974 ("ERISA"). Comment period: 6/22/79-8/21/79. 44 FR 36862-5. —NPRM—42 CFR Part 110. Health Maintenance Organizations; Relationships Between Federally Qualified Health Maintenance Organizations and Other Parties. Comment period: 7/18/79-9/17/79. 44 FR 41838-41. —Interim Regulations—42 CFR Part 110, subpart A. Comment period: 7/18/79-9/17/79. 44 FR 42060-71.	Howard R. Veit, Director, Office of Health Maintenance, Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Rule Jan. 1980.
PHS-20—Subpart B—Federal Financial Assistance: General.	—A. *Description:* This regulation establishes the requirements for awarding grants, loans, and loan guarantees to public and private entities for feasibility surveys, planning and initial development activities and initial operating costs of HMOs. B. *Why Significant:* Substantial interest has been shown by public and private entities in developing HMOs. Approximately 305 organizations have received Federal grant and loan assistance and currently 81 organizations are actively pursuing HMO development with grant funds. In addition, these regulations impact on health systems agencies and State health planning and development agencies in their evaluation of HMO applications. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the HMO Amendments of 1978. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —NPRM—42 CFR Part 110, subpart B. Comment period: 3/17/78-5/16/78. 43 FR 11472-8. —Final regulations—42 CFR Part 110—subpart B. Comments requested on one proposed provision: 7/18/79-9/17/79. 44 FR 42074-79.	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Rule Dec. 1979.
PHS-21—Subpart C—Grants for Feasibility Surveys.	A. *Description:* This regulation establishes the requirements for conducting surveys to determine the feasibility of developing and operating HMOs or expanding the operating of HMOs. B. *Why Significant:* This regulation describes the assistance for feasibility surveys authorized by the HMO Act; outlines the application requirements and project elements for such assistance. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the HMO Amendments of 1978 and conform with other HMO regulations. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —Final Regulations—42 CFR Part 110, subpart C. 43 FR 50182. (to be revised).	Howard R., Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Revised Rule (To be determined).
PHS-22—Subpart D—Grants and Loan Guarantees for Planning and Initial Development Costs	A. *Description:* This regulation establishes the requirements for planning and initial development projects or for significant expansion of the membership of, or areas served by qualified HMOs. B. *Why Significant:* This regulation describes the assistance available for planning and initial development projects and for significant expansion of the membership of, or areas served by qualified HMOs. C. *Regulatory Analysis:* Not required.	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Rule (To be determined).

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Title	Summary	Contact	Decision quarter
	D. *Need:* To implement the HMO Amendments of 1978 and conform with other HMO regulations. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —Final Regulations—42 CFR Part 110, subpart D. 43 FR 50182 (In OS for clearance and publication in **Federal Register.** Comment period: 60 days following publication.		
PHS-23—Subpart E—Loans and Loan Guarantees for Initial Operating Costs.	A. *Description:* This regulation establishes the requirements for making loans and loan guarantees to assist HMOs in meeting certain initial operating costs. B. *Why Significant:* This regulation describes the assistance available for making loans and loan guarantees to assist HMOs in meeting certain initial operating cost during a certain period of time. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the HMO Amendments of 1978. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —Interim Regulations—42 CFR Part 110, subpart E. 44 FR 10602-3 (In OS for clearance and publication in **Federal Register.**) Comment period: 60 days following publication.	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Rule Dec. 1979.
PHS-24—Subpart F—Qualification of Health Maintenance Organizations.	A. *Description:* This regulation establishes the requirements for determining whether an entity is a qualified HMO. B. *Why Significant:* This regulation describes the procedures and information that an HMO must provide in making application to become federally qualified. C. *Regulatory Analysis:* Not required. D. *Need:* To update program changes in the qualification process and information provided the public. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —Interim Regulations—42 CFR Part 110, subpart F. 42 FR 29400-16. (Under revision.)	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	NPRM (To be determined).
PHS-25—Subpart H—Employees' Health Benefits Plans.	A. *Description:* This regulation establishes the requirements for certain employers and States and political subdivisions of States to include in any health benefits plans offered to their employees the option of membership in qualified HMOs. B. *Why Significant:* This regulation describes the requirements which certain employers and States and political subdivisions of States must follow in offering the HMO option to their employees. This regulation impacts on all employers with 25 or more employees and States and political subdivisions of States. C. *Regulatory Analysis. Not required.* D. *Need:* To implement the HMO Amendments of 1978 and to revise certain provisions of the regulations to reflect the operating experience of the program. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —NPRM—42 CFR Part 110, subpart H. Comment penod: 7/18/79-9/17/79. 44 FR 42083-91. —Final regulation—42 CFR 110.809 Payroll Deductions. Comment period: 7/18/79-9/17/79. 44 FR 42082.	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Final Rules Feb. 1980.
PHS-26—Subpart I—Continued Regulation of HMOs and Other Entities.	A. *Description:* This regulation establishes the requirements for continued compliance of federally qualified HMOs. B. *Why Significant:* This regulation describes the enforcement and compliance procedures with respect to HMOs and other entities which fail to comply with such requirements. C. *Regulatory Analysis:* Not required. D. *Need:* To amend the enforcement and compliance procedures to reflect the operating experience of the program. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (U.S.C. 216); Secs 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —Final Regulations—42 CFR Part 110, subpart I. Comment period. none. 43 FR 32254-6. (Under revision.)	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building. 12420 Parklawn Drive, Rockville, Maryland 20357, 301/443-4106.	NPRM (To be determined.)
PHS-27—Subpart J—Reconsiderations and Hearings (NPRM).	A. *Description:* This regulation would have established requirements for investigating and determining whether HMOs have violated the HMO Act or the regulations. In addition, it would have established procedures for requesting reconsiderations and hearings with respect to denial of qualification applications. B. *Why Significant:* This regulation described the requirements for investigating and determining whether HMOs have violated the HMO Act or regulations and procedures to follow in requesting reconsiderations and hearings in the denial of qualification applicants. C. *Regulatory Analysis:* Not required. D. *Need:* To establish grievance and appeals procedures. E. *Legal Basis:* Sec. 215, 58 Stat. 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Notice of Decision to Revise Regulations. 44 FR 22133. —NPRM—Comment period: 9/17/76-11/1/76. 41 FR 40292-5. —Notice to withdraw this NPRM was submitted for official clearance on 4/28/79. Since the conditions that prompted the NPRM to be issued have changed, there is no need for this rule to be published. It has been deter-	Howard R. Veit, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Notice to withdraw NPRM (To be determined.)

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Title	Summary	Contact	Decision quarter
	mined that the requirements and procedures proposed in this notice have been adequately covered in other regulations which have been recently published.		
PHS-28—New Subpart J—Loans and Loan Guarantees for Acquisition and Construction of Ambulatory Health Care Facilities.	A. *Description:* This regulation establishes the requirements for qualified HMOs to obtain loans and loan guarantees to acquire or construct ambulatory health care facilities and acquire equipment for those facilities. B. *Why Significant:* This regulation allows the Secretary to make and guarantee loans to qualified HMOs. C. *Regulatory Analysis.* Not required. D. *Need:* To implement the HMO Amendments of 1978 concerning the authority to provide loan assistance to eligible HMOs. E. *Legal Basis:* Sec. 215, 58 Stat 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat. 2131-2141 (42 U.S.C. 300e-300e-17). F. *Chronology:* —Draft interim regulations completed, in final review before entering official clearance. Request granted on 6/30/79 to publish as interim regulations because of the urgency to make loan assistance available as quickly as possible to certain HMOs.	Howard R. Vert, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	Interim Regulations Jan 1980.
PHS-29—New Subpart—Grants and Cooperative Agreement for Training and Technical Assistance	A. *Description:* This regulation establishes the requirements for the award of grants and cooperative agreements for management and technical assistance. B. *Why Significant:* This regulation allows the Secretary to make grant funds available to support the training of qualified management personnel. D. *Need:* To implement the HMO Amendments of 1978 to support management training activities E. *Legal Basis.* Sec. 215, 58 Stat 690 (42 U.S.C. 216); Secs. 1301-1318, as amended, 92 Stat 2131-2141 (42 U.S.C. 300e-3003-17). F. *Chronology:* —Draft NPRM under development.	Howard R. Vert, Director, Office of Health Maintenance Organizations, Park Building, 12420 Parklawn Drive, Rockville, Maryland 20857, 301/443-4106.	NPRM (To be determined)
PHS-30—Indian Health Care Improvement Act Programs.	A. *Description:* Amends 42 CFR 36, Subpart J—Indian Health Care Improvement Act Program (Pub. L. 94-437)—to reflect conformance with the Department's new regulations on grant administration which should result in greater standardization and simplification for IHS grant administration and a greater reliance on the grantee's own management systems. B. *Why Significant:* The regulations will conform existing IHS grant administration regulations to the Department's new regulations which establishes uniform requirements for the administration of HEW grants and principles for determining costs applicable to activities assisted by HEW grants. C. *Regulatory Analysis.* Not required. D. *Need:* IHS has been directed by the Department to revise 42 CFR 36, Subpart J, as required by the Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments, Circular No. A-102, Revised (published September 12, 1977, 42 FR 45828), to conform to the Department's new regulations on grant administration (45 CFR Part 74). E. *Legal Basis:* 5 U.S.C. 301, 42 FR 45828; 25 U.S.C. 1601. F. *Chronology:* Changes to subpart J are governed by Section 702(b) of Pub. L. 94-437. That section requires that any changes be published in the FEDERAL REGISTER with at least a 60 day comment period and that IHS will consult with appropriate national or regional Indian organizations to the extent practicable G. *Citation:* 42 CFR 36, Subpart J.	Richard J. McCloskey, Indian Health Service, Room 6A-20, 5600 Fishers Lane, Rockville, Maryland 20857, (301)-443-1116).	NPRM 1st Quarter 1980
PHS-31—Persons to whom services will be provided	A. *Description:* The regulation will amend 42 CFR 36.12 to specify eligibility for services for dependent members of an eligible Indians' household and will correct the illegal sex-discrimination clause so that the eligibility status of non-Indian spouses will be the same regardless of sex. B. *Why significant:* The regulation will amend basic eligibility criteria and, therefore, affect delivery of IHS services to the Indian population. C. *Regulatory Analysis:* Not required. D. *Need:* To amend current regulation because OGC and the Justice Department have advised that the current regulation which provides eligibility only for non-Indian wives of eligible Indians is legally indefensible being an illegal discrimination based on sex and OGC has also advised that IHS policy of serving dependent members of an eligible Indians' household both Indian and non-Indian should be provided for in regulation rather than only in the IHS manual. E. *Legal Basis:* 25 U.S.C. 13 (Snyder Act) and 42 U.S.C. 2001 (Transfer Act). F. *Chronology:* Intent to issue a NPRM dealing with these issues was published in the preamble to the final regulations for Contract Health Services, 42 CFR 36, Subpart C, 43 FR 34649, August 4, 1978. Notice of decision to amend regulations was published on April 13, 1979 (44 FR 22132). G. *Citation:* 42 CFR 36.12.	Richard J. McCloskey, Room 6A-20, 5600 Fishers Lane, Rockville, Maryland 20857; (301-443-1116).	NPRM 1st Quarter 1980
PHS-32—Grants for Development, Construction, and Operations of Facilities and Services.	A. *Description:* Amends 42 CFR 36, Subpart H—Grants for Development, Construction, and Operations of Facilities and Services (Pub. L. 93-638)—to reflect conformance with the Department's new regulations on grant administration which should result in greater standardization and simplification for IHS grant administration and a greater reliance on the grantee's own management systems. B. *Why Significant:* The regulation will conform existing IHS grant administration regulations to the Department's new regulations which establishes uniform requirements for the administration of HEW grants and principles for determining costs applicable to activities assisted by HEW grants. C. *Regulatory Analysis:* Not Required. D. *Need:* IHS has been directed by the Department to revise 42 CFR 36 Subpart H, as required by the Uniform Administrative Requirements for Grants-in-Aid to State and Local Governments, Circular No. A-102, Revised (published September 12, 1977, 42 FR 45828), to conform with the Department's new regulations on grant administration (35 CFR Part 74). E. *Legal Basis:* 5 U.S.C. 301; 42 FR 45828; 25 U.S.C. 450. F. *Chronology:* Changes to Subpart H are governed by the procedures outlined in Section 107(c) of Pub. L. 93-638 which require any changes to be submitted to the committees on Interior and Insular Affairs of the respective Houses of Congress and be published in the FEDERAL REGISTER with at	Richard J. McCloskey, Indian Health Service, Room 6A-20, 5600 Fishers Lane, Rockville, Maryland 20857, (301-443-1116).	NPRM 1st Quarter 1980

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	least a 60 day comment period. IHS is also to consult with appropriate national or regional Indian organizations to the extent practicable. In addition to the legislative requirements, the current regulation itself requires that IHS consult with the tribes and that the final rule not go into effect until 30 days after publication in the FEDERAL REGISTER. G. *Citation:* 42 CFR 36, Subpart H.		
PHS-33—Medical Care for Uniformed Services personnel of the Coast Guard, Public Health Service, and National Oceanic and Atmospheric Administration 42 CFR 31.	A. *Description:* Provides Conditions under which beneficiaries will receive medical, dental, and surgical care at Public Health Service and Non-Public Health Service facilities. B. *Why significant:* Explains benefits available to beneficiaries and the rules they must follow to secure benefits. Rules may serve to enhance or deny care to certain beneficiaries. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement Public Health Service Act, administrative decisions. E. *Legal Basis:* Sec. 326 of the Public Health Service Act (42 U.S.C. 253) F. *Chronology:* None.	Mr. Walter W. Ward, Procedural Implementation Section, Policy Coordination Branch, Bureau of Medical Services, 6525 Belcrest Road, West Hyattsville, Md. 20782, (301) 436-6261.	RP—4th Quarter 1979.
PHS-34—Medical Care for Seafarers and others at Public Health Service facilities.	A. *Description:* Provides conditions under which beneficiaries will receive medical, dental, and surgical care at Public Health Service and Non-Public Health Service facilities. B. *Why significant:* Explains benefits available to beneficiaries and the rules they must follow to secure benefits. Rules may serve to enhance or deny care to certain beneficiaries. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement Public Health Service Act, administrative decisions. E. *Legal Basis:* Sec. 322 of the Public Health Service Act (42 U.S.C.) 249). F. *Chronology:* Previous (existing) regulations published 6/17/75.	Mr. Walter W. Ward, Procedural Implementation Section, Policy Coordination Branch, Bureau of Medical Services, 6562 Belcrest Road, West Hyattsville, Md. 20782, (301) 436-6261.	RP—4th Quarter 1979.
PHS-35—Public Health Service Hospital and Clinic Management, 42 CFR 35.	A. *Description:* Provides how the Public Health Service will manage facilities and relate to patients and visitors; and generally describe how health care should be provided. B. *Why significant:* Established the responsibilities, standards, and authorities under which managers operate Public Health Service facilities, and rules of conduct for patients and visitors. C. *Regulatory Analysis:* Not required D. *Need:* Regulations are needed to implement Public Health Service Act, administrative decisions. E. *Legal Basis:* Sec. 321 of the Public Health Service Act (42 U.S.C. 248).	Mr. Walter W. Ward, Procedural Implementation Section, Policy Coordination Branch, Bureau of Medical Services, 6525 Belcrest Road, West Hyattsville, Md. 20782, (301) 436-6261.	RP—4th Quarter 1979.
PHS-36—Assignment of NHSC Personnel	A. *Description:* Regs will establish requirements for assignment of NHSC personnel to health manpower shortage areas. B. *Why Significant:* Regulations will significantly impact the assignment of NHSC personnel and the accessibility and availability of health services to persons in health manpower shortage areas. C. *Regulatory Analysis:* Not Required. D. *Need:* To implement Section 333 of the Public Health Service Act, as amended by Pub. L. 94-484. E. *Legal Basis:* 42 U.S.C. 254f. F. *Chronology:* NPRM published 7/31/78. The comment period closed on 8/30/78.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	Final Rule, fourth quarter, 1979.
PHS-37—Project grants for Family Planning Services.	A. *Description:* Regulations will make changes required by Pub. L. 94-63 and Pub. L. 95-613, adding infertility services, natural family planning and services for adolescents, and local review and approval of educational materials provided to Title X grantees methods. B. *Why Significant:* Regulations will continue local participation in planning programs, assure a variety of family planning services, and assure that economic status not be a deterrent to receiving services. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the provisions of Title X, Public Health Service Act, as amended by Pub. L. 94-63 and Pub. L. 95-613. E. *Legal Basis:* U.S.C. 300-300a-6. F. *Chronology:* NOI published 4/11/77. NPRM published 9/19/78. The comment period closed on November 3, 1978.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	Final Rule, last quarter, 1979
PHS-38—Amendments to MCH OC Services Programs.	A. *Description:* This regulation will implement statutory amendments dealing with reasonable costs and will make clarifying administrative changes. B. *Why Significant:* These are technical amendments. C. *Regulatory Analysis:* Not Required. D. *Need:* To improve implementation of Title V, Social Security Act, based on minor statutory changes and experience in administering the program. E. *Legal Basis:* Sections 503 and 504, Social Security Act, as amended. F. *Chronology:* None.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md 20857, (301) 443-1034.	NPRM first quarter, 1980
PHAS-39—Grants to Plan, Develop and Operate Hospital-Affiliated Primary Care Centers.	A. *Description:* Regulations will implement a demonstration program for providing comprehensive primary health care services to medically underserved communities by community hospitals through reorganized outpatient resources. B. *Why Significant:* Within the limits of a demonstration program, the impact will be on medically underserved populations. C. *Regulatory Analysis:* Not required. D. *Need:* To implement Section 328, Public Health Service Act. E. *Legal Basis:* 42 U.S.C. 254a-1. F. *Chronology:* Notice of Decision to Develop Regulation was published 4/13/79.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md 20857, (301) 443-1034.	NPRM, fourth quarter, 1980.

Department of Health, Education, and Welfare Semiannual Regulations Agenda and Review List—Continued

Title	Summary	Contact	Decision quarter
	F. *Chronology:*		
PHS-40—Project Grants for Community Health and Migrant Health.	A. *Description:* Regulations will implement statutory provisions requiring that pharmaceutical services be mandatory, some supplemental services be defined as priority services, and allowing grantees to retain half of earned income. Migrant high impact area is reduced from 6,000 migrants to 4,000. B. *Why Significant:* These regulations have impact on the primary care delivery capacity in medically underserved areas. C. *Regulatory Analysis:* Not required. D. *Need:* To implement Sections 329 and 330 of the Public Health Service Act, as amended by Pub. L. 95-626. E. *Legal Basis:* 42 U.S.C. 247 and 254c. F. *Chronology:* NOI published 4/13/79.	James J. Corrigan; Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	NPRM, third quarter 1980.
PHS-41—Demonstration Health and Nutrition Projects.	A. *Description:* These regulations will implement a statute for multicounty health and demonstration projects in economic development regions. B. *Why Significant:* These projects will provide health and nutrition services and contribute to regional ecoomic development. C. *Regulatory Analysis:* Not needed. D. *Need:* To implement Section 516 of the Regional Development Act of 1975. E. *Legal Basis:* Section 516, Regional Development Act of 1975. F. *Chronology:* None.	James J. Corrigan; Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	NPRM, fourth quarter 1980.
PHS-42—Project Grants to States for Hypertension Services.	A. *Description:* Regulations will implement statutory amendments changing formula grants to project grants, requiring greater accountability and more effective service programs. B. *Why Significant:* State hypertension programs previously funded under formula grants will now be funded under project grants, requiring greater accountability for Federal funds. C. *Regulatory Analysis:* Not required. D. *Need:* To implement Section 317 of the Public Health Service Act, as amended by Pub. L. 95-626. E. *Legal Basis:* 42 U.S.C. 247b. F. *Chronology:* Notice of intent published 4/13/79. Announcement requesting grant applications published 6/27/79.	James J. Corrigan; Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	NPRM, first quarter 1980.
PHS-43—Program Grants for Black Lung Clinics.	A. *Description:* These regulations will implement a statute providing project grants for diagnostic and treatment services to active and inactive coal miners who have respiratory impairments. B. *Why Significant:* Regulations will facilitate more efficient delivery of services to a population in need, reflecting lessons learned from previous implementation authority, and adopt the recommendations of the 1975 American Lung Association task force. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the provisions of Section 427(a) of the Federal Mine Safety and Health Act of 1977. E. *Legal Basis:* 30 U.S.C. 937(a). F. *Chronology:* Notice of decision to Develop Regulations published 6/13/79.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md. 20857, (301) 443-1034.	NPRM, second quarter 1980.
PHS-44—Amend Health Services Funding Regulations to Delete Applicability to Bureau of Community Health Services Programs	A. *Description:* Regs will amend Health Services Funding Regulations (HSFR) to delete applicability to Bureau of Community Health Services (BCHS) programs. B. *Why Significant:* These are technical amendments since pertinent elements of the HSFR are already included in specific grant program regs. C. *Regulatory Analysis:* Not required. D. *Need:* To eliminate duplication in regs and implement Operation Common Sense. E. *Legal Basis:* 41 U.S.C. 247d, 254c, and 300. F. *Chronology:* None.	James J. Corrigan, Director, Division of Policy Development, BCHS, Rm. 6-40, Parklawn Building, 5600 Fishers Lane, Rockville, Md 20857, (301) 443-1034.	Final Rule, fourth quarter 1980
PHS-45—Grants for Community Mental Health Centers; requirements for grants, application for grants, and State plans	A. *Description:* This rule established requirements for grants and applications for grants under the Community Mental Health Centers Act (other than Part D relating to Rape Prevention and Control). Also included are requirements for the development, submission, and approval of State Plans. B. *Why Significant:* The regulations provide a regulatory basis for the administration of the Community Mental Health Centers program including steps an applicant must take and requirements an applicant must meet when filing an application and operating a program. In addition, the regulations provide for the preparation and filing of State plans for comprehensive mental health services and the review and approval of these plans by the Secretary, a step which must be successfully completed by each State before awards may be made to any applicant in that State. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are required to implement the Community Mental Health Centers Act (except Part D), as amended. Section 236 of the Community Mental Health Centers Act establishes standards for regulations issued by the Secretary for implementing the Community Mental Health Centers program. E. *Legal Basis:* Community Mental Health Centers Act, except Part D, (42 U.S.C. 2689-2689p, 2689r-2689aa) as amended by Title III of Pub. L. 94-63 (89 Stat. 306-327, 329-333), section 308 of Pub. L. 95-83 (91 Stat. 395-396), Title I of Pub. L. 95-622 (92 Stat. 3412-3420), and section 8 of Pub. L. 96-32 (93 Stat. 85) F. *Chronology:* The "Interim Rule" was published June 30, 1978 (41 FR 26906) with a 60-day comment period. The "Proposed Implementation" was published November 2, 1976 (41 FR 48282) with a 45-day comment period.	Lindsley Williams, Acting Director, Office of Program Development and Analysis, National Institute of Mental Health, Parklawn Bldg., Room 17C-17, Rockville, Maryland 20857, (301) 443-3175.	Final Rule, October-December 1979.

Department of Health, Education, and Welfare Semiannual Regulations Agenda and Review List—Continued

Title	Summary	Contact	Decision quarter
PHS-46—Grants for Drug Abuse Prevention, Treatment, and Rehabilitation; requirements for State participation in formula grants.	A. *Description:* These regulations establish requirements for receiving and administering formula grants to assist States in designing, establishing, conducting, coordinating, and evaluating projects for the development of more effective training, treatment, rehabilitation, and research projects to deal with drug abuse and drug dependence. B. *Why Significant:* To receive an allotment, a State must submit to and have approved by the Secretary a State plan or modification of a State plan which meets the requirements specified in the statute and these regulations. (Formula grants are currently being awarded under National Institute on Drug Abuse guidelines developed in 1973 and updated annually.) C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are required to implement section 409 of the Drug Abuse Office and Treatment Act of 1972, as amended. The regulations required by section 409(c)(1)(B)(iii) were published as a Final Rule on June 24, 1976 (41 FR 26012). E. *Legal Basis:* Section 409 of Pub. L. 92-255, the Drug Abuse Office and Treatment Act of 1972, as amended by Pub. L. 94-237 (90 Stat. 245-247), Pub. L. 94-371 (90 Stat. 1040), Pub. L. 95-83 (91 Stat. 397), and Pub. L. 95-461 (92 Stat. 1268-1269) (21 U.S.C. 1176). F. *Chronology:* Notice of Proposed Rulemaking was published August 28, 1973 (38 FR 22968) with a 30-day comment period. A second Notice of Proposed Rulemaking was published January 14, 1977 (42 FR 2986) with a 45-day comment period.	Nancy Soulen, Legal Assistant, Office of Director, National Institute on Drug Abuse, Room 10-14, Parklawn Buildlng, 5600 Fishers Lane, Rockville, Maryland 20857, (301) 443-6482.	Final Rule, January-March 1980.
PHS-47—Special Grants for Implementation of the Uniform Alcoholism and Intoxication Treatment Act; requirements for grants and application for grants.	A. *Description:* These regulations would implement a program of grant assistance to States which adopt the basic provisions of the Uniform Alcoholism and Intoxication Treatment Act. This Act, recommended for enactment in all States by the National Conference of Commissioners on Uniform State Laws, requires that alcoholism be viewed as an illness to be treated by community health and social service agencies and that public intoxication be approached as a public health problem rather than a crime. B. *Why Significant:* The Uniform Act provides States a structure for developing and implementing a comprehensive coordinated system of care for alcoholics and intoxicated persons. The grant program implemented by these regulations is intended to assist States in meeting the costs of such a system. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are required by section 310(b) of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended. E. *Legal Basis:* Section 304 of the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended by section 107 of Pub. L. 93-282 (88 Stat. 126) and amended and redesignated as section 310 by section 4 of Pub. L. 94-371 (90 Stat. 1035) (42 U.S.C. 4576). F. *Chronology:* Notice of Proposed Rulemaking was published October 18, 1978 (42 FR 47983). A 60-day comment period was provided.	Susan Farrell, Legislative Assistant, National Institute on Alcohol Abuse and Alcoholism, 5600 Fishers Lane, Rockville, Maryland, (301) 443-6370.	Final Rule, October-December, 1979.
PHS-48—Confidentiality of Alcohol and Drug Abuse Patient Records; minimum requirements for protecting.	A. *Description:* These regulations apply to the records of the identity, diagnosis, prognosis, or treatment of alcohol and drug abuse patients. They require that records be kept confidential and be disclosed only (1) with the written consent of the patient, (2) pursuant to an authorizing court order based upon a finding of good cause, or (3) without either a written consent or an authorizing court order in the following limited circumstances: for a medical emergency, for the conduct of scientific research, an audit, or program evaluation. B. *Why significant:* This rule applies to alcohol and drug abuse patient records maintained in connection with any alcohol abuse or drug abuse program conducted, regulated, or directly or indirectly assisted by any department or agency of the United States. It implements statutory requirements which encourage alcohol and drug abusers to seek treatment by removing the fear that attempts to enroll in treatment programs would lead to disclosure to employers and other members of the public or lead to police harassment and/or arrest. C. *Regulatory Analysis.* Not required. D. *Need:* These regulations are required by section 333(g) of the Comprehensive Alcohol Abuse and alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended, and by section 408(g) of the Drug Abuse Office and Treatment Act of 1972, as amended. Rewrite of these regulations will fulfill the Department's commitment to make regulations clearer and more concise and will take into consideration the Departments experience with the regulation over the past four years. E. *Legal Basis:* Section 408 of Pub. L. 92-255, the Drug Abuse Office and Treatment Act of 1972 (21 U.S.C. 1175) as amended by section 303 of Pub. L. 93-282 (88 Stat. 137); and section 333 of Pub. L. 91-616, the Comprehensive Alcohol Abuse and alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, (42 U.S.C. 4582), as amended by section 122(a) of Pub. L. 93-282 (88 Stat. 131). F. *Chronology:* Final Rule, published July 1, 1975 (40 FR 27802), has been reviewed under Operation Common Sense and a decision made to recodify.	Judith T. Galloway, Legal Assistant, Alcohol, Drug Abuse, and Mental Health Administration, Room 13C-06, Parklawn Building, 5600 Fishers Lane, Rockville, Maryland 20857, Telephone: (301) 443-3200.	Notice of Decision to Develop Regulations, October-December 1979.
PHS-49—Designation of Health Manpower Shortage Areas.	A. *Description:* To establish criteria for the designation of geographic areas, population groups, medical facilities, and other public facilities, in the States, as health manpower shortage areas. B. *Why significant:* Identifies health manpower shortage areas. C. *Regulatory Analysis.* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 1586. F. *Chronology:* Interim-final was published January 10, 1978 (43 FR 1586). Comment period closed Feb. 24, 1978.	Richard Lee, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6764.	Final Rule April-June 1980.
PHS-50—Criteria for Payment of Tuition and Other Educational Costs.	A. *Description:* To establish criteria to be used in determining allowable increases in tuition and other educational costs for which the Secretary is responsible under the national Health Service Corps Scholarship Program, and scholarships for first-year students of exceptional financial need. B. *Why significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States.	Donald C. Parks, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6560.	Final Rule April-June 1980.

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Title	Summary	Contact	Decision quarter
	C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 55261. F. *Chronology:* NPRM published November 27, 1978 (43 FR 55261). The comment period closed Jan. 26, 1979.		
PHS–51—Traineeships for Students in Schools of Public Health and Other Graduate Public Health Programs.	A. *Description:* To govern grants to schools of public health or nonprofit private educational entities to support traineeships for students in the graduate education programs of these entities in public health. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 40862. F. *Chronology:* Interim-final was published September 13, 1978 (43 FR 40862). The comment period closed November 13, 1978.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6838.	Final Rule January–March 1980.
PHS–52—Traineeship Grants for Health Administration, Hospital Administration or Health Policy Analysis and Planning at Public or Nonprofit Private Educational Institutions other than Schools of Public Health	A. *Description:* To govern grants to Public or nonprofit private educational entities (excluding schools of public health) to support traineeships in graduate educational programs of such entities in health administration, hospital administration, or health policy analysis and planning. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 39384. F. *Chronology:* Interim-final was published September 5, 1978 (43 FR 39384). The comment period closed November 6, 1978.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6838.	Final Rule July–September 1980
PHS–53—National Health Services Corps Scholarships	A. *Description:* The regs are applicable to the award of scholarships under the National Health Service Corps Scholarships program to students receiving academic training in medicine, osteopathy, dentistry, and other health professions in order to assure an adequate supply of trained health professionals to improve the delivery of health services in health manpower shortage areas. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* The Department has decided that regs. are needed to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 43713. F. *Chronology:* Interim-final was published September 27, 1978 (43 FR 43713). The comment period closed November 27, 1978.	Alice Swift, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436–6788	Final Rule January–March 1980.
PHS–54—Scholarships for First-Year Students of Exceptional Financial Need.	A. *Description:* To govern grants to health professions schools to provide scholarships for full-time first-year students of exceptional need. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* The Department has decided that regs. are needed to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 37199. F. *Chronology:* Interim-final was published August 22, 1978 (43 FR 37199). The comment period closed October 22, 1978.	Alice Swift, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436–6788.	Final Rule January–March 1980
PHS–55—Health Professions Capitation Grants.	A. *Description:* To govern grants to schools of medicine, osteopathy, dentistry, public health, veterinary medicine, optometry, pharmacy, and podiatry for the support of the education programs of those schools. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 44 FR 24889. F. *Chronology:* NPRM was published April 27, 1979 (44 FR 24889). The comment period closed June 26, 1979.	John Westcott, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6584	Final Rule July–September 1980.
PHS–56—Project Grants for Establishment of Departments of Family Medicine	A. *Description:* To govern grants to schools of medicine and osteopathy to meet the projects to establish and maintain academic administrative units to provide clinical instruction in family medicine. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 42 U.S.C. 295g	Kenneth Moritsugu, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6418.	NPRM January–March 1980
PHS 57 –Area Health Education Centers.	A. *Description:* To govern programs to improve the distribution, supply, quality, utilization, and efficiency of health personnel in the health services delivery system and to encourage the regionalization of educational responsibilities of health professions schools. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 55242. F. *Chronology:* Interim-final published November 27, 1978 (43 FR 55242). The comment period closed Jan. 26, 1979.	Kenneth Moritsugu, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6418.	Final Rule April–June 1980
PHS–58—Grants for Residency Training in General Internal Medicine or General Pediatrics	A. *Description:* To govern grants for residency programs in general internal medicine or general pediatrics. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 42 FR 59500. F. *Chronology:* Interim-final was published November 18, 1977 (42 FR 59500). The comment period closed January 17, 1978.	Kenneth Moritsugu, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436–6418.	Final Rule April–June 1980.

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Title	Summary	Contact	Decision quarter
PHS–59—Grants for Training in Family Medicine.	A. *Description:* The regs are for grants to assure the institutionalization of family medicine within the schools of medicine and osteopathy, to encourage students, through the context of educational programs and through the contact with role model family physician to pursue careers in family medicine. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 47694. F. *Chronology:* Interim-final was published October 16, 1978 (43 FR 47694). The comment period closed December 15, 1978.	Kenneth Moritsugu, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6418.	Final Rule January–March 1980.
PHS–60—Educational Assistance to Individuals from Disadvantaged Backgrounds.	A. *Description:* To govern grants to provide educational assistance to individuals from disadvantaged backgrounds to undertake training and education to enter the health professions or allied health professions. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 39380. F. *Chronology:* Interim-final was published September 5, 1978 (43 FR 39380). The comment period closed November 6, 1978.	Kinzo Yamamoto, Office of Health Resources Opportunity, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782. (301) 436–7230.	Final Rule January–March 1980.
PHS–61—Grants to Schools of Medicine, Dentistry, Public Health, Osteopathy, Optometry, Podiatry, Pharmacy, and Veterinary Medicine for Start-up Assistance.	A. *Description:* To govern grants to provide start-up assistance for initiating new schools of medicine, osteopathy, dentistry, public health, veterinary medicine, optometry, pharmacy, and podiatry. B. *Why significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 42 USC 295g–8.	John Westcott, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436–6574	NPRM April–June 1980
PHS–62—Health Professions, Financial Distress Grants.	A. *Description:* To implement the awarding of grants to assist schools of medicine, osteopathy, dentistry, veterinary medicine, optometry, podiatry, pharmacy and public health in meeting their costs of operation, if they are in serious financial distress, or in meeting accreditation requirements, if they have a special need for assistance in meeting these requirements, and to carry out appropriate operational, managerial, and financial reforms. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 44 FR 17159. F. *Chronology:* Interim-final published March 21, 1979 (44 FR 17159) The comment period closed May 21, 1979.	James Secrest, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782. (301) 436–6558	Final Rule January–March 1980.
PHS–63—Interdisciplinary Team Training and Curriculum Development for Health Manpower Training.	A. *Description:* To establish requirements for grants for interdisciplinary team training among schools in various health disciplines and for curriculum development in various areas related to health manpower. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act E. *Legal Authority:* 42 USC 295g–7.	James Hoeven, Bureau of Health Manpower, HRA, Center Building, 3700 East West Highway, Hyattsville, Md 20782, (301) 436–6838	NPRM July–September 1980
PHS–64—Grants for Training in Emergency Medical Services.	A. *Description:* To set forth requirements for grants for training programs in emergency medical services. B. *Why significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 42 FR 46523. F. *Chronology:* Interim-final was published September 16, 1977 (42 FR 46523) The comment period closed November 15, 1977.	Kenneth Moritsugu, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6418	Final-pending authorizing legislation.
PHS–65—Grants for Graduate Programs in Health Administration.	A. *Description:* To implement the Secretary's authority to make grants to public or nonprofit private educational entities (excluding schools of public health) to support the health administration, hospital administration, and health planning graduate educational programs of such entities. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 26443. F. *Chronology:* Interim-final was published June 20, 1978 (43 FR 26443). The comment period closed August 21, 1978.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6838.	Final rule July–September 1980.
PHS–66—Special Project Grants for Graduate Programs in Public Health.	A. *Description:* To implement the Secretary's authority to make grants to schools of public health and other public or nonprofit educational entities for projects to develop new graduate programs or to expand existing programs in biostatistics, epidemiology, health administration, health planning, health policy analysis and planning, environmental or occupational health and dietetics and nutrition. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 27837. F. *Chronology:* Interim-final published June 27, 1978 (43 FR 27837). Comment period closed August 28, 1978.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436–6838.	Final Rule April–June 1980.
PHS–67—Grants for Allied Health Projects.....	A. *Description:* To implement the Secretary's authority to make grants to a) establish regional or State systems to assure that allied health and nursing personnel needs in the area are met by coordinating and managing allied health and nursing education and training among educational institutions; b) establish or improve recruitment, training and retraining programs for allied health personnel; and c) establish career ladders and advancement programs for practicing allied health personnel.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436–6838.	Final Rules April–June 1980.

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Title	Summary	Contact	Decision quarter
	B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 59530. F. *Chronology:* NPRM was published Dec. 21, 1978 (43 FR 59530). The comment period closed Feb. 20, 1979.		
PHS-68—Grants for Traineeships for Advanced Training of Allied Health Personnel.	A. *Description:* To set forth requirements for grants to public or private nonprofit institutions to meet the costs of traineeships for the advanced training of allied health personnel to a) teach in allied health training programs, or b) serve in administrative or supervisory capacities. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Public Health Service Act. E. *Legal Authority:* 43 FR 29783. F. *Chronology:* Interim-final was published July 11, 1978 (43 FR 29783). The comment period closed Sept. 11, 1978.	Thomas D. Hatch, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6838.	Final Rule July-September 1980.
PHS-69—Grants for Nurse Practitioner Traineeship Programs	A. *Description:* To set forth requirements for grants to schools of nursing, medicine, and public health, public or nonprofit private hospitals, and other nonprofit entities to meet the costs of traineeships for the training of nurses who reside in health manpower shortage areas having shortages of primary medical care manpower. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* The Department has decided that regs are needed to implement the Public Health Service Act. E. *Legal Authority:* 2 USC 296м	Dr. Mary Hill, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6681.	NPRM January-March 1980.
PHS-70—Grants for Traineeships for the Advanced Training of Professional Nurses	A. *Description:* To govern grants to public and nonprofit institutions to cover the costs of traineeships for the advanced training of professional nurses. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* The Department has decided that regs are needed to implement the Public Health Service Act. E. *Legal Authority:* 42 USC 297	Dr. Mary Hill, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6681	NPRM July-September 1980.
PHS-71—Grants for Traineeships for Training Nurse Anesthetists	A. *Description:* To govern grants to public or private nonprofit institutions to cover the costs of traineeships for the training of licensed, registered nurses to be nurse anesthetists. B. *Why Significant:* Promotes the adequate supply and equitable distribution of health manpower throughout the United States. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Nurse Training Amendments of 1979. E. *Legal Authority:* 42 USC 297-1.	Dr. Mary Hill, Bureau of Health Manpower, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6681	NPRM July-September 1980.
PHS-72—National Guidelines for Health Planning	A. *Description:* The guidelines consist of National Health Planning goals with respect to health status, health promotion, and disease prevention, and access to services. B. *Why Significant:* Sets goals for health planning. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act. E. *Legal Authority:* 42 USC 300k-1. F. *Chronology:* Notice of availability of Draft Regulations October 19, 1979 (44 FR 60342).	James Stockdill, Office of Planning, Evaluation, and Legislation, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-7270	NPRM January-March 1980
PHS-73—Health Systems Agency Review of Certain Proposed Uses of Federal Health Funds	A. *Description:* Amends regulations establishing requirements governing the review and approval or disapproval by Health Systems Agencies of certain proposed uses of Federal funds. B. *Why significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Amendments of 1979. E. *Legal Authority:* The Health Planning and Resources Development Amendments of 1979. F. *Chronology:* NPRM was published May 9, 1978 (43 FR 19988) Final published August 10, 1979 (44 FR 47064).	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850	NPRM April-June 1980
PHS-74—Health Systems Agency Reviews of Certain Proposed Uses of Federal Funds; Proposed Uses for Research and Training.	A. *Description:* Establishes requirements governing the review and approval or disapproval by health systems agencies of certain proposed uses of Federal health funds through research and training grants and contracts. B. *Why significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act of 1976. E. *Legal Authority:* 42 USC 300 1-2.	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850.	NPRM January-March 1980.
PHS-75—Health Systems Agency and State Agency Reviews of the Appropriateness of Existing Institutional Health Services.	A. *Description:* Establishes minimum procedures and criteria for health systems agencies to review the appropriateness of all existing institutional health service in their areas. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act of 1976 and Amendments of 1979. E. *Legal Authority:* 43 FR 21274 and the Health Planning and Resources Development Amendments of 1979.	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850.	Final Rule October-December 1979. NPRM (Amendments) April-June 1980.

Department of Health, Education, and Welfare Semiannual Regulations Agenda and Review List—Continued

Title	Summary	Contact	Decision quarter
	F. *Chronology:* NPRM published May 16, 1978 (43 FR 21274) The comment period closed June 30, 1978.		
PHS-76—Designation of Health Systems Agencies.	A. *Description:* Amends regulations establishing criteria for the designation of health systems agencies. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Amendments of 1979. E. *Legal Authority:* The Health Planning and Resources Development Amendments of 1979. F. *Chronology:* NPRM was published October 17, 1975 (43 FR 48802). The comment period closed November 17, 1975. The final was published March 26, 1976 (41 FR 12812).	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6850.	NPRM July-September 1980.
PHS-77—Designation of States Health Planning and Development Agencies.	A. *Description:* Amends regulations establishing criteria for the designation of State Health Planning and Development Agencies. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Amendments of 1979. E. *Legal Authority:* The Health Planning and Resources Development Amendments of 1979. F. *Chronology:* NPRM was published March 19, 1976 (41 FR 11688). Comment period closed May 3, 1976. Interim-final published June 3, 1976 (41 FR 22524). Final was published March 10, 1978 (43 FR 10100).	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850.	NPRM April-June 1980
PHS-78—Certificate of Need and Review of New Institutional Health Services.	A. *Description:* Amends regulations establishing criteria for certificate and need of new institutional health services. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Amendments of 1979. E. *Legal Authority:* The Health Planning and Resources Development Amendments of 1979. F. *Chronology:* NPRM was published March 19, 1976 (41 FR 11688). Comment period closed May 3, 1976. Final published January 1, 1977 (42 FR 4002).	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning, HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850	NPRM January-March 1980
PHS-79—Inclusion of Computed Tomographic Scanning Services under Certificate of Need.	A. *Description:* Amends regulations which establish requirements for State certificate of need programs by requiring review under certain circumstances of diagnostic services provided by fixed or mobile computed tomographic scanning equipment. B. *Why significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act of 1976. E. *Legal Authority:* 44 FR 24429. F. *Chronology:* Interim-final was published April 25, 1979 (44 FR 24429) Comment period closed June 25, 1979.	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6850	Final Rule January-March 1980.
PHS-80—Inclusion of Computed Tomographic Scanning Services under Capital Expenditure Review.	A. *Description:* Amends regulations for the capital expenditure review program by establishing rules regarding reviews of proposed capital expenditures for computed tomographic scanner services. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act of 1976. E. *Legal Authority:* 44 FR 24429. F. *Chronology:* Interim-final regulations were published April 25, 1979. The comment period closed June 25, 1979	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning HRA, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-6650	Final Rule to be incorporated into limitation on Federal participation for Capital Expenditures
PHS-81—Limitation on Federal Participation for Capital Expenditures.	A. *Description:* Amends regulations for the capital expendure review program to take into account certain requirements respecting 1122 reviews imposed by Title XV of the Public Health Service Act. B. *Why Significant:* Implements one aspect of the Federal health planning program to promote access to health care services and control health care costs through State and local review of health services and expenditures. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Act of 1976. E. *Legal Authority:* 41 FR 11688. F. *Chronology:* NPRM published March 19, 1976 (41 FR 11688). The comment period closed May 3, 1976.	Colin C. Rorrie, Jr., Ph. D., Director, Bureau of Health Planning HRA, Center Building, 3700 East-West Highway, Hyattsville, Md 20782, (301) 436-6850	Final Rule January-March 1980
PHS-82—Discontinuance of Unneeded Hospital Services.	A. *Description:* To govern grants and technical assistance to hospitals for the discontinuance of unneeded hospital services and for the conversion of unneeded hospital services to other health services needed by the community. B. *Why Significant:* Reduces unneeded hospital services and converts them to services needed by the community. C. *Regulatory Analysis:* Not required. D. *Need:* Required by statute to implement the Health Planning and Resources Development Amendments of 1979. E. *Legal Authority:* Health Planning and Resources Development Amendments of 1979.	Leonard F. Krystynak, Ph. D., Bureau of Health Facilities Financing, Compliance, and Conversion, Center Building, 3700 East-West Highway, Hyattsville, Md. 20782, (301) 436-7704	NPRM September-December 1979.

Health Care Financing Administration—Significant Regulations

Title	Summary	Contact	Decision quarter
HCFA-1—Medicare-Medicaid Program. Professional Standards Review Organizations (PSROs). Sanctions on Providers and practitioners—Procedures for Invoking Sanctions	A. *Description*: This regulation specifies criteria for invoking sanctions against a health care practitioner or provider who claims payment for services which are medically unnecessary or inappropriate, do not meet professionally recognized standards, or are not adequately documented as to medical necessity or quality. B. *Why Significant*: This regulation will establish procedures under which the Department will invoke sanctions. The purpose of this sanction process is to discipline providers and practitioners, and protect the public. In addition, there is strong public interest in completing regulation for PSROs. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1972 amendments to the Social Security Act. E. *Legal Basis*: Sec. 1160(b) Social Security Act (42 U.S.C. 1320c-9); Sec. 249F of Pub. L. 92-603. F. *Chronology*: NPRM was published on October 13, 1978 (43 FR 47474). The comment period closed on December 12, 1978.	Tony Tirone, Deputy Director, DLTC, HSQB, Dogwood East Bldg.,-Second Floor, 1849 Gwynn Oak Ave., Baltimore, Md 21207, 301-594-3642	Final Rule October-December 1979
HCFA-2—Medicare-Medicaid Programs. Waiver of Liability—Procedures Waiving Liability	A. *Description*: This regulation would propose criteria for determining when a patient or provider would not be held liable for knowing that the services were medically unnecessary or otherwise inappropriate, before the services have been disapproved by PSROs for Medicare and Medicaid payments. B. *Why Significant*: The regulation would reduce waste by eliminating Federal payments for unnecessary care. In addition, there is strong public interest in completing regulations for PSROs. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1972 and 1977 amendments to the Social Security Act. E. *Legal Basis*: Secs. 1158(a) and 1158(d) of the Social Security Act; Pub. L. 92-603, Sec. 22 of Pub. L. 95-142. F. *Chronology*: The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	Alan Reider, Acting Director, IRB, DPR, HSQB, 1st Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, Md 21207, 301-594-3980	Proposed Rule January-March 1980
HCFA-3—Medicare/Medicaid Program. Professional Standards Review Organizations (PSROs) Reconsideration and Appeals—Procedures for Reconsiderations	A. *Description*: This regulation contains procedures for the reconsideration of the medical necessity determinations of PSROs and the review of such reconsiderations by Statewide Professional Standards Review Councils. B. *Why Significant*: This regulation would clarify the process for appealing PSRO determinations. In addition, there is strong public interest in completing regulations for PSROs. C. *Regulatory Analysis*: Not required. D. *Need*: To implement 1972 amendments to the Social Security Act. E. *Legal Basis*: Sec. 1159(a) of the Social Security Act (42 U.S.C. 1320c-8), Sec. 249F of Pub. L. 92-603. F. *Chronology*: NPRM was published on March 5, 1979 (44 FR 12067). The comment period closed on May 4, 1979.	Alan Reider, Acting Director, IRB, DPR, HSQB, 1st Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207 301-594-3980	Final Rule January-March 1980
HCFA-4—Medicare/Medicaid Program. Hospital Utilization Review—Revised Requirements and Procedures for Utilization Review	A. *Description*: The regulations would revise requirements and procedures for utilization review in health care institutions participating in Medicare and Medicaid programs. These regulations would provide for review of the medical necessity of admissions and continued stays, the appropriateness and quality of patient care, and the effectiveness of utilization of facility and health professional services. B. *Why Significant*: This regulation would assure quality care by establishing requirements for conducting concurrent and retrospective review of the health care provided to Medicare beneficiaries and Medicaid recipients. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1976 amendments to the Social Security Act regarding utilization review requirements in hospitals not covered by PSROs. E. *Legal Basis*: Sec. 1903(g)(1)(C) of the Social Security Act; Sec. 110 of Pub. L. 94-182. F. *Chronology*: The proposal is currently under review. When the review is completed it will be forwarded to the Department for approval.	Alan Reider, Acting Director, IRB, DPR, HSQB, 1st Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207 301-594-3980	Proposed Rule October-December 1979
HCFA-5—Medicare-Medicaid Program. Validation of Accreditation Surveys of Hospitals—Requirements for Review of Health Care	A. *Description*: The regulation authorizes surveys to validate whether Medicare hospitals that have been accredited by the Joint Commission on Accreditation of Hospitals (JCAH) or the American Osteopathic Association (AOA) are meeting the specific Medicare statutory and regulatory conditions for participation. B. *Why Significant*: This regulation will provide for consultation with JCAH and AOA before the Secretary could promulgate standards that are higher or more precise than those used by JCAH or AOA. C. *Regulatory Analysis*: Not required. D. *Need*: The Department will set new policy that requires modified regulation. The intent is to expand and clarify the regulatory provisions concerning the effect of JCAH and AOA hospital accreditation. E. *Legal Basis*: Secs. 1102, 1861(b), 1864, 1865, and 1871 of the Social Security Act (42 U.S.C. 1302, 1396(e), 1895aa, 1395bb, 1395hh, and 1395rr). F. *Chronology*: NPRM was published on April 27, 1979 (44 FR 25186). The comment period closed on June 26, 1979.	Romes Calhoun, Standards and Certification Analyst, HSQB, Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-9714	Final Rule January-March 1980
HCFA-6—Medicare/Medicaid Program. Conditions of Participation for Hospitals—Revised Conditions for Participation	A. *Description*: This regulation would revise conditions of participation for hospitals in Medicare and Medicaid. It would simplify the language and update the requirements to reflect changes in legislation and advances in technology. B. *Why Significant*: This regulation would simplify the regulatory requirements hospitals must meet to be certified for participation in Medicare and Medicaid. The amendments are intended to hold down costs while maintaining an acceptable level of patient care. C. *Regulatory Analysis*: Not required. D. *Need*: To add greater requirements for accountability while allowing flexibility for hospitals in performing administrative and managerial functions; and to implement the 1975 amendments to the Social Security Act. E. *Legal Basis*: Secs. 1102, 1861(e), 1861(f), 1861(g), 1864, and 1891 of the Social Security Act (42 U.S.C. 1302, 1395 et seq.); Sec. 102 of Pub. L. 94-182. F. *Chronology*: General Notice published on November 2, 1977 (42 FR 57351).	Marc Thomas, Standards and Certification Analyst, HSQB, 2nd Floor, Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD, 21207 301-594-9714.	Proposed Rule October-December 1979

Health Care Financing Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
HCFA-7—Medicare/Medicaid Program: Funding of Professional Standards Review Organizations (PSRO) Hospital Review—Method for Reimbursing Cost of Hospital Review.	A. *Description*: This regulation sets forth a new method for reimbursing the cost of hospital reviews by PSROs. It applies to review of hospital care provided to patients eligible under the Medicare, Medicaid, and Maternal and Child Health and Crippled Children's Programs. B. *Why Significant*: This regulation will set budget limitations on the amount that can be spent for PSRO hospital review by providing for an annual areawide budget ceiling for each PSRO. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1975 amendments of the Social Security Act. E. *Legal Basis*: Secs. 1168, 1815(b), and 1861(w) of the Social Security Act; Sec. 112 of Pub. L. 94-182. F. *Chronology*: NPRM was published on May 7, 1979 (44 FR 26769). The comment period closed on July 6, 1979.	Doug Maring, Branch Chief, PMB, Div. of PSRO Program Oper., HSQB, Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-597-2820.	Final Rule January-March 1980.
HCFA-8—Medicare/Medicaid Program: Confidentiality and Disclosure of Information of Professional Standards Review Organizations (PSROs)—Criteria Governing Confidentiality and Disclosure of Information.	A. *Description*: These regulations set forth criteria governing the acquisition, protection, and disclosure of information obtained or generated by PSROs. B. *Why Significant*: These regulations place limits on the disclosure of PSRO information and establish penalties for unauthorized disclosure. These regulations are intended to assure that PSROs have access to necessary information, that confidential information is adequately safeguarded and that the information may be used as effectively as possible. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1977 amendments to the Social Security Act. E. *Legal Basis*: Secs. 1166(a) of the Social Security Act; Sec. 5(h) of Pub. L. 95-142. F. *Chronology*: Interim regulation was published on January 16, 1978 (43 FR 2282). NPRM was published on January 15, 1979 (44 FR 3058). The comment period closed on March 16, 1979.	Kathy Moss, Program Analysts, HSQB, Rm. 5329 MES Bldg., 330 C Street, S.W., Washington, DC 20201, 202-245-0665.	Final Rule April-June 1980.
HCFA-9—Medicare/Medicaid Program: Certification of Separate Cost Entities—The Requirements for Certification.	A. *Description*: This regulation would propose conditions under which a component which provides typically unskilled care within a hospital may be certified as a provider distinct from the hospital. B. *Why Significant*: This regulation recognizes significant operating cost differences existing between components within a provider institution, and assures equitable reimbursement by providing for separate certification. C. *Regulatory Analysis*: Not required. D. *Need*: To establish clear, concise, and comprehensive criteria that can be uniformly applied. E. *Legal Basis*: Sec. 1861(e), (f), (g), and (j) of the Social Security Act. F. *Chronology*: The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	James Conrad, Standards and Certification Analyst, HSQB, 2nd Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-7940	Proposed Rule January-March 1980.
HCFA-10 — Medicare / Medicaid Program: End-Stage Renal Disease (ESRD)—Electrical Requirements Revoked—Revoking Unnecessary Requirements.	A. *Description*: This regulation revokes requirements for emergency generators and ground fault interrupters in freewstanding end-stage renal disease centers because they have proven unnecessary for health and safety. B. *Why Significant*: The purpose of this regulation is to reduce unnecessary and burdensome requirements without affecting the health and safety of patients. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the Department's decision that ESRD facilities are not subject to wet conditions. Therefore, ground fault interruptors are not necessary. E. *Legal Basis*: Sec. 226(g) of the Social Security Act. F. *Chronology*: NPRM was published on November 7, 1978 (44 FR 51822). The comment period closed on January 8, 1979.	Robert Moore, Standards and Certification Analyst, HSQB, 2nd Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207. 301-594-9736.	Final Rule January-March 1979.
HCFA-11 — Medicare / Medicaid Program: Safeguards for Patient Funds—Procedures for Protection of Funds.	A. *Description*: This regulation expands standards for protection of personal funds of Medicare and Medicaid patients in skilled nursing facilities and intermediate care facilities. B. *Why Significant*: The regulation will curtail the reported misuse of patient funds and assure that personal funds are fully accounted for and made available to patients when they need them. In addition, there is strong public interest in adequately safeguarding patient funds. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1977 and 1978 amendments to the Social Security Act. E. *Legal Basis*: Sec. 1861(j)(14) of the Social Security Act; Sec. 21(a) of Pub. L. 95-142; Sec. 8(a) of Pub. L. 95-292. F. *Chronology*: NPRM was published on September 1, 1978 (43 FR 39154). The comment period closed on October 31, 1978.	Marshall Kapp, Program Analyst, HSQB, 2nd Floor, Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207 301-594-5014	Final Rule January-March 1980.
HCFA-12—Medicaid Program: Extension of Professional Standards Review Organization (PSRO) Review to Intermediate Care Facilities—Conditions for Reviewing Quality and Necessity of Care.	A. *Description*: These regulations set forth conditions under which PSROs will assume responsibility from State Medicaid agencies for reviewing the quality and necessity of health care services provided in intermediate care facilities (ICFs) and intermediate care facilities for the mentally retarded (ICFs-MR). B. *Why Significant*: These regulations will establish criteria for determining whether Medicaid agency review is effective or efficient and will provide that PSROs assume review responsibility and authority in ICFs and ICFs-MR where Medicaid review is not effective or efficient. C. *Regulatory Analysis*: Not required. D. *Need*: To implement the 1977 amendments to the Social Security Act. E. *Legal Basis*: Sec. 1155(a) of the Social Security Act, Sec. 5(d)(3)(B)(i) and Sec. 5(o)(2) of Pub. L. 95-142. F. *Chronology*: NPRM was published on February 14, 1979 (44 FR 9605). The comment period closed on April 16, 1979.	Alan Reider, Acting Director, IRB DPR, HSQB, 1st Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-3980	Final Rule January-March 1980
HDFA-13 — Medicare / Medicaid Program: Conditions of Participation for Skilled Nursing Facilities (SNFs) and Intermediate Care Facilities (ICFs)—Conditions of Participation.	A. *Description*: The proposed regulations would recodify, revise and consolidate present regulations governing conditions of participation for skilled nursing and intermediate care facilities under the Medicaid and Medicare programs. B. *Why Significant*: This regulation, will focus on patient care, promote cost containment while improving quality care, and achieve more effective compliance. C. *Regulatory Analysis*: Yes, being conducted. D. *Need*: Change in methods of delivering health care and the need to control the most of long term care while improving quality patient care.	J. Richard Lenehan, Jr., Program Analyst, HSQB, 2nd Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-7651	Proposed Rule January-March 1980.

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Health Care Financing Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	E. *Legal Basis:* Secs. 1102, 1814, 1832, 1833, 1861, 1863, 1865, 1866, and 1871 of the Social Security Act (42 U.S.C. 1302, 1395, 1395f, 1395k, 1395x, 1395z, 1395bb, 1395cc, 1395hh, 1396(d)(8), and 1905(c)). F. *Chronology:* Notice was published on June 8, 1978 (43 FR 24673).		
HCFA-14—Medicare/Medicaid Program: Effective Date: Provider Agreement—Criteria for Effective Date of Provider Agreement.	A. *Description:* These regulations will make Medicare and Medicaid rules identical in (1) the beginning effective dates of nursing home provider agreements (2) the effect of a change in ownership on the continuation of Federal payments to nursing homes. B. *Why Significant:* This regulation states that provider agreements under Medicare and Medicaid programs will be effective on the date of the onsite health and safety survey if all Federal requirements are met. If they are not met, the effective date is the date on which the requirements are met or on which the provider submits an acceptable plan of correction or waiver request. C. *Regulatory Analysis:* Not required. D. *Need:* To simply administration and prevent unnecessary interruption of benefits to nursing home patients. E. *Legal Basis:* Secs. 1102, 1866, 1902, and 1910 of the Social Security Act (42 U.S.C. 1302, 1395cc, 1396a, 1396i). F. *Chronology:* NPRM was published on February 5, 1979 (44 FR 6958). The comment period closed on April 6, 1979.	James Conrad, Standards and Certification Analyst, HSQB, 2nd Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-7940.	Final Rule January-March 1980.
HCFA-15—Medicare/Medicaid Programs: Sprinkler Systems for Long Term Care Facilities—Requirements for Fire Extinguishment Systems.	A. *Description:* The regulation would propose requirements for fire extinguishment systems in skilled nursing and intermediate care facilities. B. *Why Significant:* Automatic extinguishment systems are an important aspect to patient safety in long term care facilities, but are also costly to install; especially in existing facilities. C. *Regulatory Analysis:* Not required. D. *Need:* Concern by the public to extent requirements for automatic extinguishment systems to all facilities. E. *Legal Basis:* Secs. 1102, and 1861(j) (13) of the Social Security Act (42 U.S.C. 1302.) F. *Chronology:* Notice of Intent was published on December 8, 1978 (43 FR 57166. The comment period closed on January 30, 1979.	Robert Jevec. Program Analyst, HSQB, 2nd Flr., Dogwood East Bldg., 1849 Gwynn Oak Ave., Baltimore, MD 21207, 301-594-3314.	Proposed Rule January-March 1980.
HCFA-16—Medicare/Medicaid Program: Termination of Federal Financial Participation (FFP) in Long Term Care Facilities—Change of FFP Requirements.	A. *Description:* The regulation would amend the Medicaid regulations concerning Federal financial participation (FFP) in cases where a Medicaid nursing home's provider agreement is not renewed or is terminated because the home is out of compliance with Federal requirements B. *Why Significant:* Guidelines for the termination of FFP in long term care facilities. C. *Regulatory Analysis:* Not required. D. *Need:* This regulation is needed to establish a uniform nationwide Medicaid policy. E. *Legal Basis:* Sec. 1102 of the Social Security Act (42 U.S.C.1302). F. *Chronology:* The proposal is currently being developed. When it is completed it will be submitted to the Department for approval.	Stanley Katz, Director, DTPL, BPP, Rm. 190 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9595.	April-June 1980
HCFA-17—Medicare Program: Radiological Services—Procedures for Reimbursement.	A. *Description:* This regulation broadens the scope of the radiology services for which Medicare will reimburse at 100 percent of reasonable charges. B. *Why Significant:* This regulation will help simplify reimbursement procedures and facilitate claims processing by hospitals and Medicare carriers and intermediaries for inpatient radiology services. C. *Regulatory Analysis:* Not required. D. *Need:* Administrative simplicity. E. *Legal Basis:* Sec. 1833(a)(1)(B) of the Social Security Act, Sec. 131 of Pub. L. 90-248. F. *Chronology:* NPRM was published on January 25, 1979 (44 FR 5162). The comment period closed on March 26, 1979.	Jim Menas, Program Analyst, BPP, HCFA, Rm 457 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9406.	Final Rule April-June 1980
HCFA-18—Medicare Program: Reimbursement Prepaid Health Plans—Conditions and Principles of Reimbursement.	A. *Description:* This regulation would establish qualifying conditions and principles of reimbursement for Health care prepayment plans (HCPPs), other than health maintenance organizations, (HMOs), which elect to receive reimbursement under the Medicare Supplementary Medical Insurance Program. B. *Why Significant:* The requirements on this regulation for HCPPs are similar to the extent possible, to those provided by the Medicare payment for HMOs reimbursed on a reasonable cost basis. C. *Regulatory Analysis:* Not required. D. *Need:* The consistency in qualifying conditions and reimbursement principles will assure uniform treatment of both these types of prepayment organizations under Medicare. E. *Legal Basis:* Secs. 1802 and 1833(a)(1)(A) of the Social Security Act. F. *Chronology:* The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	Frank E. Emerson, Program Analyst, BPP, Rm. 1-A-1 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-2968.	Proposed Rule October-December 1979
HCFA-19—Medicare Program: Written Notice For Non-Reimbursable Services—Clarification of Beneficiary Liability.	A. *Description:* This regulation clarifies that a beneficiary cannot be found liable for certain non-covered items or services if he has not been notified in writing that the items or services in question are excluded from Medicare coverage. B. *Why Significant:* This rule clarifies the current regulation by specifying that a beneficiary will not be found to have knowledge that items and services are not covered unless he has been given written notification from the provider, the fiscal intermediary, or some other appropriate source. C. *Regulatory Analysis:* Not required. D. *Need:* Clarifies the circumstances under which a Medicare beneficiary will be entitled to a presumption of ignorance concerning program coverage. E. *Legal Basis:* Secs. 1897 of the Social Security Act. F. *Chronology:* NPRM was published on December 7, 1978 (43 FR 57307). The comment period closed on February 5, 1979.	Jack Wasserman, Branch Chief, BPP, Rm. 168 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9301.	Final Rule October-December 1979.
HCFA-20—Medicare Program: Inpatient Services—Foreign Hospitals—Procedures and Criteria for Medicare Payments.	A. *Description:* This regulation sets forth procedures and criteria for Medicare payments for covered inpatient services furnished to beneficiaries by foreign hospitals. B. *Why Significant:* This regulation provides for payment based on 100 percent of customary charges for covered inpatient hospital services furnished by foreign hospitals that elect to receive payment directly from the Medicare program.	Hugh McConville, Deputy Director, DIRS, BPP, Rm. 1-B-5 ELR, 6401 Security Blvd. Baltimore, MD 21235, 301-597-1333.	Final Rule October-December 1979.

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Title	Summary	Contact	Decision quarter
	C. *Regulatory Analysis:* Not required. D. *Need:* To encourage foreign hospitals to bill the Medicare program directly for services furnished to Medicare beneficiaries. E. *Legal Basis:* Secs. 1814(f) (3) and (4) and 1861(v) of the Social Security Act. F. *Chronology:* NPRM was published on January 12, 1979 (44 FR 2618). The comment period closed on March 13, 1979.		
HCFA-21—Medicare Program: Provider Reimbursement Determinations—Criteria and Procedures for PRRB Hearings and Decisions.	A. *Description:* This regulation would propose criteria for reopening certain provider cost reimbursement determinations. It would also propose procedures for final review of Provider Reimbursement Review Board (PRRB) decisions. B. *Why Significant:* Include more detailed guidelines for PRRB decisions and hearings. C. *Regulatory Analysis:* Not required. D. *Need:* To streamline procedures and to resolve a number of problems which have been identified through experience under current regulations. E. *Legal Basis:* Secs. 1102, 1861(v)(1)(A)(ii), and 1878(f)(1) of the Social Security Act (42 U.S.C. 139500.) F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Stanley Katz, Director, DTPL, BPP, Rm. 190 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9595.	Proposed Rule October-December 1979.
HCFA-22—Medicare Program: Fiscal Intermediary Performance—Standards, Criteria, and Procedures for Performance of Intermediaries.	A. *Description:* These regulations recodify existing regulations dealing with contracts between the Secretary and Medicare fiscal intermediaries. They also specify standards, criteria, and procedures for determining the efficiency and effectiveness of those intermediaries and for assigning providers to intermediaries. B. *Why Significant:* This regulation would provide that a decision to enter into, review, or terminate an intermediary agreement must be based on a finding made after applying the required standards and criteria that in the particular instance would be in the best interests of the program. It also gives the Secretary the authority, after applying the appropriate standards and criteria, to assign or reassign a provider to a fiscal intermediary and designate a national or regional intermediary to service a class of providers. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1102, 1816, 1842, 1961(u), 1971, and 1975 of the Social Security Act; Sec. 14 of Pub. L. 95-142. F. *Chronology:* NPRM was published on November 9, 1978 (43 FR 52256). The comment period closed on January 8, 1979.	Vincent A. Acquisto Acting Deputy Dir. DP, BPO, Rm. 264 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-8005.	Final Rule January-March 1980.
HCFA-23—Medicare Program: Durable Medical Equipment (DME)—Requirements for Purchase of DME.	A. *Description:* This regulation specifies criteria for requiring purchase (on a lease purchase or other basis) of an item of durable medical equipment when purchase would be less costly or more practical than rental. Procedures are proposed for waiving the purchase requirement and coinsurance in specific circumstances. B. *Why Significant:* This regulation would reduce program costs caused by long and costly rentals of equipment and reduce undue expenses of beneficiaries who must pay annual deductibles and coinsurance when equipment is rented over an extended period of time. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1102, and 1833(l) of the Social Security Act (42 U.S.C. 1302 and 1395(l)); Sec. 16 of Pub. L. 95-142. F. *Chronology:* NPRM was published on December 14, 1978 (43 FR 58390). The comment period closed on February 1, 1979.	Paul Riesel, Branch Chief, PPRB, BPP, Rm. 1-E-5 ELR, 6401 Security Blvd., Baltimore, MD 21235, 8-594-5431.	Final Rule January-March 1980.
HCFA-24—Medicare Program: Prohibition Against Reassignment—Procedures to Prohibit Reassignment of Claims.	A. *Description:* This regulation specifies criteria and procedures to prohibit providers, physicians, and other suppliers, with certain exceptions, from assigning claims for reimbursement of services to other persons for collection. It also imposes administrative sanctions against providers, physicians, and suppliers who violate this prohibition. B. *Why Significant:* This regulation specifies that a provider who violates prohibition against reassignment would be subject to termination of its provider agreement, and a physician or other supplier would be subject to revocation of the request to receive assignment from Medicare beneficiaries. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1102, 1814, 1815, 1835, 1870, and 1871 of the Social Security Act (42 U.S.C. 1395a(b)(5)); Sec. 2 of Pub. L. 95-142. F. *Chronology:* NPRM was published on August 23, 1978 (43 FR 37469). The comment period closed on October 10, 1978.	John Russell, Deputy Director, DMEP, BPP, Rm. 456 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9410.	Final Rule October-December 1979.
HCFA-25—Medicare Program: Part A Entitlement and Copayments—Clarification of Eligibility Requirements.	A. *Description:* This regulation would clarify, simplify and update existing regulations pertaining to (1) entitlement to Medicare hospital insurance for certain groups and (2) the Medicare inpatient hospital coinsurance, the post-hospital extended care coinsurance, and the blood deductible. B. *Why Significant:* Beneficiaries and potential beneficiaries can more easily understand the conditions that would make them eligible for Medicare and how much money they would have to contribute toward the cost of their hospital care. C. *Regulatory Analysis:* Not required. D. *Need:* To clarify certain portions of the Medicare, Part A regulations so that beneficiaries and potential beneficiaries can more easily understand the conditions that would make them eligible for Medicare and how much money they would have to contribute toward the cost of their hospital care. E. *Legal Basis:* Secs. 226, 1102, 1813 and 1871 of the Social Security Act (42 U.S.C. 426, 426a, 1302, 1395e, and 1395hh). F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Luisa Iglesias, Regulation Analyst BPP, Rm. 5033, MES Bldg., 330 C Street, S.W., Washington, D.C. 20201, 202-245-0624.	Proposed Rule January-March 1980.

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Health Care Financing Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
HCFA-26—Medicare/Medicaid Program: Reimbursement: Internship and Residency Program—Change in Reimbursement Requirements	A. *Description:* This regulation would eliminate the requirement that a provider's costs be reduced by the amounts of certain grants and donations when calculating the reimbursement allowed under Medicare, Medicaid, or the Maternal and Child Health Program. These grants and donations are those which support approved internship and residency programs in family practice, general medicine, and general pediatrics. B. *Why Significant:* The regulation would allow providers to realize the full benefit of grants for primary care residency programs by not deducting these grants from incurred provider cost before determining Medicare and Medicaid reimbursement. C. *Regulatory Analysis:* Not required. D. *Need:* To avoid nullifying the purpose of specific grants for primary care internship and residency programs. E. *Legal Basis:* Secs. 1102, 1814(b) and 1833(a)(2) of the Social Security Act. F. *Chronology:* NPRM was published on August 10, 1979 (44 FR 47117). The comment period closed on October 9, 1979.	William J. Goeller, Chief, PRB, BPP, Rm. 1-D-1 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-1802.	Final Rule April-June 1980.
HCFA-27—Medicare Program: Teaching Hospitals' Physicians Costs—Criteria for Payments to Teaching Hospitals.	A. *Description:* This regulation proposes criteria under which Medicare would pay reasonable charges for physician services in teaching hospitals or would reimburse teaching hospitals for the reasonable costs of physician services. It would also specify the manner and extent to which payments would be made for certain medical school costs and for services of volunteer physicians. B. *Why Significant:* The regulation provides that the reasonable cost of physician services would be based on that portion of each physician's total compensation which is properly attributable to furnishing services to Medicare beneficiaries, and specifies the conditions under which physician services in a teaching hospital may be reimbursed on a reasonable charge basis under the "grandfather clause" or "private patient" exceptions. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1972 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1842(b)(3) and 1861(b)(7)(A) of the Social Security Act; Sec. 227 of Pub. L. 92-603. F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Paul Reisel, Branch Chief, PPRB, BPP, Rm. 1-E-5, ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-5431.	Proposed Rule October-December 1979.
HCFA-28—Medcare Program: Special Care Units—Clarifies Definitions and Reimbursement Procedures.	A. *Description:* These regulations refine the definition of hospital special care units and clarify the requirements for their reimbursement under the Medicare program. B. *Why Significant:* The amendments to the current regulation will expand upon the general requirements for special care units, and set specific requirements of nursing care which they must provide to be considered special care units for Medicare program reimbursement purposes. C. *Regulatory Analysis:* Not required. D. *Need:* Clarify the intent of the regulation that the term "special care unit" applies only to those units rendering a level of care that is comparable to intensive care. E. *Legal Basis:* Secs. 1102, 1814(b), 1861(v), and 1871 of the Social Security Act (42 U.S.C. 1302, 1395f, 1395x, and 1395hh). F. *Chronology:* NPRM published on May 16, 1979 (44 FR 28768). The comment period closed on July 16, 1979.	William J. Goeller, Chief, PRB, BPP, Rm. 1-D-1 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-1802.	Final Rule January-March 1980
HCFA-29—Medicare Program: Reimbursement to Related Organizations—Sets Reimbursement Limits.	A. *Description:* The regulation limits the amount a provider may be reimbursed on the basis of charges when it obtains services, facilities, and supplies from an organization related to the provider by common ownership or control. B. *Why Significant:* The regulation clarifies the meaning and intent of the regulation by defining terms and adding explanatory language. C. *Regulatory Analysis:* Not required. D. *Need:* To make the regulation more understandable to the public, and to reduce those areas of misinterpretation which causes dispute in administration. E. *Legal Basis.* Secs. 1102, 1861(v), and 1871 of the Social Security Act (42 U.S.C. 1302, 1395o(u), and 1395hh). F. *Chronology:* NPRM was published on January 26, 1979 (44 FR 5479). The comment period closed on March 27, 1979.	Paul Trimble, Branch Chief, Accounting Policy Branch, BPP, Rm. 1-G-1 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-8640.	Final Rule January-March 1980
HCFA-30—Medicare Program: End-stage Renal Disease (ESRD) Networks—Requirements for ESRD Networks.	A. *Description:* The proposed regulation requires that networks establish goals to maximize use of self-dialysis and kidney transplantation and that there be at least one patient representative on each network coordinating council and executive committee. It would also require networks to submit annual reports; ESRD facilities to make individual patient information available to their network medical review boards upon request; and that network meetings be advertised and open to the public. B. *Why Significant:* This regulation is intended to: 1) given ESRD patients and the general public a more active role in network decision making processes; 2) encourage maximum use of the lower cost forms of treatment, self-dialysis and kidney transplantation; and 3) encourage greater objectivity in network decision-making. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1978 amendments to the Social Security Act. E. *Legal Basis:* Sec. 1861(c) of the Social Security Act; Pub. L. 95-292. F. *Chronology:* NPRM was published on July 16, 1979 (44 FR 41841). The comment period closed on September 17, 1979.	Philip M. Jos, Director, Office of End Stage Renal Disease, OSP, Rm. 1-D-3, Dogwood West Bldg., 1848 Gwynn Oak Ave., Baltimore, MD 21235, 301-594-8530.	Final Rule April-June 1980.
HCFA-31—Medicare Program: Incentive Reimbursement for End-Stage Renal Disease (ESRD) Services—Methods and Procedures for Reimbursement.	A. *Description:* The regulation would propose methods and procedures for reimbursing providers and facilities for outpatient renal dialysis services provided to ESRD patients.		

Health Care Financing Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	B. *Why Significant:* The regulation would provide for prospective payment on various types of dialysis treatment through national rates, periodically adjusted. The rates will be paid subject to an exception process. C. *Regulatory Analysis:* Not required. D. *Need:* The regulation provides for an incentive reimbursement method to encourage economies in the delivery of ESRD services. E. *Legal Basis:* Secs. 1102, 1814(b), 1833, 1861(v)(1), 1871, and 1881 of the Social Security Act (42 U.S.C. 1302, 1395(f), 1395e, 1395(b)(1), 1395hh and 1395rr). F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Philip M. Jos, Director, Office of End Stage Renal Disease, OSP, Rm. 1-D-3, Dogwood West Bldg., 1848 Gwynn Oak Ave., Baltimore, MD 21235, 301-594-8530.	Proposed Rule October-December 1979.
HCFA-32—Medicare Program: Deeming of Income Between Spouses—Financial Eligibility Requirements.	A. *Description:* This regulation would revise current rules for determining Medicaid financial eligibility for the aged, blind, or disabled in States and territories using more restructure eligibility requirements than Supplemental Security Income (SSI) requirements. B. *Why Significant:* The regulation would require these States and territories to cease the deeming of income between aged, blind, or disabled applicants (or recipients) and their spouses, when either the applicant (or recipient) or his or her spouse is institutionalized. C. *Regulatory Analysis:* Not required. D. *Need:* To implement a court order by the Federal District Court of Columbia. E. *Legal Basis: Gray Panthers* vs. Secretary, Department of Health, Education, and Welfare, et al., cure cure action no. 78-0661; Sec. 1102 of the Social Security Act (42 U.S.C. 1203). F. *Chronology:* The proposal is currently under review in the Department.	Michael Fiare, Program Analyst, DMEP, BPP, Rm. 416 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9127.	Proposed Rule October-December 1979.
HCFA-33—Medicare Program: Educational Programs Reimbursement—Clarification of Reimbursement Policy.	A. *Description:* This proposal would revise the regulation governing the amount of reasonable cost reimbursement due health care providers under Medicare. B. *Why Significant:* The regulation would more clearly identify the provider costs for approved medical, nursing, and paramedical education programs that are allowable and to specify procedures for calculating a provider's net costs of these programs. C. *Regulatory Analysis: Not required.* D. *Need:* Changes which have occurred in the way health care education programs are operated and financed necessitate the revision. Providers and the public generally need to be informed of clarifications of Medicare reimbursement policy. E. *Legal Basis:* Secs. 1102, 1814(b) and 1833(a)(2) of the Social Security Act (42 U.S.C. 1302, 1395f(b), and 1395d(a)(2)). F. *Chronology:* The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	William Goeller, Chief, Provider Reimbursement Br., BPP, Rm. 1-D-1 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-1802.	Proposed Rule April-June 1980
HCFA-34—Medicare/Medicaid Program: Proposed List of Additional Items and Services Subject to the Lowest Charge Level—List of Items and Services Subject to Lowest Level Charge Criteria.	A. *Description:* This regulation would add to the list of items and services subject to the lowest charge criteria, 15 of the frequently performed laboratory services for Medicare-Medicaid beneficiaries and 5 items of durable medical equipment most frequently rented or purchased. A laboratory test or service on this list could be subject to the lowest charge provision regardless of whether it was performed on an individual basis (manually or on an automated equipment) or as part of an automated battery. B. *Why Significant:* The lowest charge level regulation implements certain cost containment provisions as set forth by law. C. *Regulatory Analysis: Not required.* D. *Need:* To implement the 1974 and 1975 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1102, 1842(b), 1971, and 1903(i)(1) of the Social Security Act (42 U.S.C. 1302, 1395(b), 1395hh, and 1396(b)(i)(1)). F. *Chronology:* Notice was published on March 26, 1979 (44 FR 18116). The comment period closed on May 10, 1979.	Paul Riesel, Branch Chief, PPRB, BPP, Rm 1-E-5 ELR, 6401 Security Blvd., Baltimore, MD 21235, 8-594-5431.	Final Notice June-Sept. 1980
HCFA-35—Medicare/Medicaid Program: Prospective Reimbursement of Rural Health Clinic Services—Principles of Reimbursement.	A. *Description:* This regulation would propose a prospective payment method for reimbursement of rural health clinic services under Medicaid and Medicare. B. *Why Significant:* The regulation would increase efficiency and increase beneficiary access to rural health services. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1977 and 1978 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1833(a)(3), 1861(v)(1)(A) and 1902(a)(13) of the Social Security Act; Pub. L. 95-210 and Pub. L. 95-292. F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Bernie Truffer, Acting Section Chief Health Organization, BPP, Rm. 181, EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-2584.	Proposed Rule October-December 1979.
HCFA-36—Medicaid Program: Family Planning—Requirements for Family Planning Services	A. *Description:* This regulation would specify Federal requirements for provision of family planning services under Medicaid. It also would specify types and ranges that may be included by States. B. *Why Significant:* Regulations will assure that States will provide a uniform minimum set of family planning services to carry out the statutory requirement. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1972 amendments to the Social Security Act. E. Legal Basis: Secs. 1102, 1905(a)(4)(C) of the Social Security Act (42 U.S.C. 1302, 1396d(a)(4)(C)). F. *Chronology:* NPRM was published on August 9, 1979 (44 FR 46899). The comment period closed on October 9, 1979.	Francina Spencer, Health Insurance Policy Specialist, BPP, Rm. 431 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9825.	Final Rule April-June 1980
HCFA-37—Medicaid Program: Reasonable Cost-Related Reimbursement for Skilled Nursing and Intermediate Care Facility Services—Requirements for State Methods of Payment.	A. *Description:* This regulation will clarify and expand requirements for State methods of payment for skilled nursing and intermediate care facility services under State Medicaid programs.	Milton Dezube, Br. Chief, Special Programs, BPP, Rm. 1-A-1 ELR, 6401 Security Blvd., Baltimore, MD 21235 301-597-1804.	Final Rule April-June 1980.

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Title	Summary	Contact	Decision quarter
	B. *Why Significant:* The regulation will make cost-related reimbursement for long-term care facilities a more effective, more accurate form of payment. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are needed to clarify inconsistencies in the cost-related reimbursement rules published in the FEDERAL REGISTER July 1, 1976. (41 FR 27300) E. *Legal Basis:* Secs. 1102, and 1902(a)(13)(E) of the Social Security Act. F. *Chronology:* NPRM was published on April 18, 1979 (44 FR 23095). The comment period closed on June 18, 1979.		
HCFA-38—Medicaid Program: State Medicaid Contracts—Procedures for Contract Practices	A. *Description:* This regulation proposes requirements to strengthen protections against questions on contract practices and possible program abuse and to remedy ambiguities and omissions in existing regulations. B. *Why Significant:* The regulation will improve Medicaid program administration by ensuring proper contracting procedures and maximum appropriate competition. C. *Regulatory Analysis:* Not required. D. *Need:* The regulation is needed to implement Federal prior approval authority under 45 CFR Part 74, Administration of Grants. E. Legal Basis: Sec. 1102 of the Social Security Act (42 U.S.C. 1302). F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Leonard Monfred, Branch Chief, Div. of Procurement, BPO, Rm. 264 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-9638.	Proposed Rule January-March 1980.
HCFA-39—Medicaid Program: Hearing Aid and Eyeglass Reimbursement—Procedures for Purchasing Hearing Aids and Eyeglasses	A. *Description:* The regulations will require Medicaid agencies to establish an acquisition cost (AC) program, volume purchase plan (VPP), or some combination of both as a method of purchasing eyeglasses and hearing aids for Medicaid recipients. The regulation will also set conditions for purchase of hearing aids by Medicaid agencies. B. *Why Significant:* The regulation would limit payment to providers to the lower of the actual acquisition cost plus a reasonable dispensing fee, or the provider's usual and customary charge to the general public. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are needed to lower the cost and improve the quality of hearing aids and eyeglasses paid for under the State Medicaid program. E. *Legal Basis:* Sec. 1102 of the Social Security Act. F. *Chronology:* NPRM was published on May 25, 1979 (44 FR 30382). The comment period closed on July 24, 1979.	Joel Schaer, Policy Analyst, BPP, Rm. 1-C-5, ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-7106	Final Rule April-June 1980.
HCFA-40—Medicaid Program: Assignments of Benefits Collection of Medical Support—Procedures for Assignment of Benefits	A. *Description:* These regulations specify new procedures: (1) allowing States to require Medicaid recipients to assign their right to private insurance payments or other medical support to the States, (2) authorizing child support enforcement agencies to assist in collection of medical support; and (3) prohibiting Federal payment to any Medicaid recipient who is covered by a private health insurance policy having a Medicaid exclusion clause. B. *Why Significant:* The regulations will reduce erroneous Medicaid payments to services covered by insurance or support orders, by increasing third party recoveries. C. *Regulatory Analysis:* Not required D. *Need:* To implement the 1977 amendments to the Social Security Act. E. Legal Basis: Sec. 1102 of the Social Security Act, 49 Stat. 647 (42 U.S.C. 1302) F. *Chronology:* NPRM was published on August 29, 1978 (43 FR 38668). The comment period closed on October 10, 1978.	Elizabeth Matheson Program Analyst, BPP, Rm 5316, MES Bldg., Washington, D.C., 202-245-8097.	Final Rule October-December 1979.
HCFA-41—Medicaid Program: Medicaid Quality Control System Expansion of Information Requirements—Requirements for Completion of Reviews and Reports.	A. *Description:* The regulations would amend the current Medicaid Quality Control (MQC) regulations by requiring States, within specific time frames to: (1) complete a set percentage of eligibility reviews (active cases and negative case actions), and (2) submit individual case review findings. B. *Why Significant.* The regulations will make it easier for States to understand and operate the Medicaid Quality Control program, and improve Federal and State program management by ensuring timely completion of reviews and reports. C. *Regulatory Analysis:* Not required. D. Need: The regulations are needed to amend Medicaid Quality Control regulations by specifying time periods for completion of reviews of the cases in the monthly MQC samples. E. *Legal Basis:* Sec. 1102 of the Social Security Act (42 U.S.C. 1302). F. *Chronology:* The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	Carlton Stockton, Acting Director, DQCR, BQC, 2-E-5 ELR, 6401 Security Blvd., Baltimore, MD 21235, 301-597-1350	Proposed Rule October-December 1979.
HCFA-42—Medicare Program: Medicaid Management Information Systems (MMIS)/Additional Data Requirements—Procedures to Expand or Revise MMIS Requirements	A. *Description: This regulation will add flexibility to the requirements under Medicaid for mechanized claims processing and information retrieval systems.* B. *Why Significant.* The regulations will set forth a new procedure to improve Medicaid management by ensuring that State Medicaid Management Information Systems (MMIS) are expanded or revised as necessary to meet program needs. C. *Regulatory Anaylsis: Not required.* D. *Need:* The regulations will allow HCFA to expand or revise MMIS requirements periodically as necessitated by changing program needs. E. *Legal Basis:* Secs. 1102, 1902(a)(4) and 1903(a)(3) of the Social Security Act (42 U.S.C. 1302, 1396(a)(4) and 1396 (a)(3)). F. *Chronology:* A proposed rule was published on April 6, 1979 (44 FR 20722). The comment period closed on June 5, 1979.	Wesley Baker, Chief, SSRS, BPP, 591 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-1502.	Final Rule January-March 1980.
HCFA-43—Medicare Program: Medicaid Quality Control Fiscal Allowance & Michel Amendment—Requirements for States to Reduce Payment Error Rates.	A. *Description: This regulation could set a uniform national error target rate of 4% to be achieved by all States by September 30, 1982.* B. *Why Significant:* Under the new requirements, States must reduce their payment error rates to 4% by September 30, 1982 in equal steps beginnings in fiscal year 1980. Federal matching will be denied for erroneous expenditures in excess of the standards. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the Congressional Conference Report on the Fiscal 1979 Supplemental Appropriations Act (1978 amendments to the Social Security Act). E. *Legal Basis:* Secs. 1102 of the Social Security Act; (42 U.S.C. 1302); 49 Stat. 647, as amended, and Pub. L. 96-38.	John Berry, Acting Director, Office of Quality Control Programs, BQC, Rm. 2-A-1 ELR, 6401 Security Blvd., Balto., MD 21235, 301-597-1354.	Final Rule October-December 1979.

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Title	Summary	Contact	Decision quarter
	F. *Chronology:* NPRM was published on September 25, 1978 (44 FR 55316). The comment period closed on November 26, 1979.		
HCFA-44—Medicare/Medicaid Program: Psychosurgery—Requirements for Psychosurgery Procedures.	A. *Description:* This regulation would mandate specific requirements for the performance of psychosurgical procedures. The regulation would establish a mechanism for assuring that any psychosurgical procedures would be performed with appropriate safeguards and offer a model for State and local governments as well as for other concerned organizations. B. *Why Significant:* The regulation provides specific procedures and constraints in regard to psychosurgical procedures. It should adequately protect human subjects by requiring approval by a panel before procedure takes place. C. *Regulatory Analysis:* Not Required. D. *Need:* The regulation addresses the concern of the public and Congress which generated the report by the National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research in psychosurgery. E. *Legal Basis:* Sec. 1102 of the Social Security Act; (42 U.S.C. 1302). F. *Chronology:* The proposal is currently under development. When it is completed, it will be submitted to the Department for approval.	Mendel J. Kaufman, Chief, Special Cov. Issues Br., BPP, Rm. 463 EHR, 6401 Security Blvd., Balto., MD 21235, 301-594-8569.	Proposed Rule January-March 1980.
HCFA-45—Medicaid Program: Verification of Services—Requirements for Written Verification.	A. *Description:* This regulation would require *all* States to implement a written verification of services program with Medicaid recipients in order to improve the capability to detect and deter fraud and abuse. B. *Why Significant:* The regulation will further clarify State Medicaid agency responsibilities for the control of Medicaid fraud and abuse and strengthen the regulatory requirements so that States can adequately meet their responsibilities. C. *Regulatory Analysis:* Not Required. D. *Need:* The Department will set new policy that requires modified regulation. The intent is to prevent or discourage those practices which increase the cost of the Medicaid program without benefiting Medicaid recipients. E. *Legal Basis:* Secs. 1102, 1902(a)(4)(A), 1902(a)(38), 1902(a)(30), 1903(a)(6), 1903(b)(3), 1903(h), and 1903(q) of the Social Security Act (42 U.S.C. 1302, 1396(a)(4)(A), and 1396a(a)(30)). F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Irvin Cohen, Deputy Dir., Office of Prog. Validation, BQC, Rm. 2-E-5 ELR, 6401 Security Blvd., Balto., MD 21235, 301-594-8213.	Proposed Rule October-December 1979.
HCFA-46—Medicare Program: Withholding Payments to Physicians, Providers, and Suppliers of Services—Procedures to Safeguard Due Process.	A. *Description:* This regulation would clarify due process procedures that must be followed when payments to providers, physicians, and suppliers of services under the Medicare program are withheld because of suspected fraud or willful misrepresentation. B. *Why Significant:* The regulation will clarify existing procedures by eliminating ambiguities and assuring that due process requirements are met without compromising pending investigation of suspected fraud or willful misrepresentation. C. *Regulatory Analysis:* Not required. D. *Need:* Current regulations do not provide clear notification and review procedures necessary to satisfy due process. The regulation will establish procedures to safeguard Federal financial interest as well as the due process rights of the affected party. E. *Legal Basis:* Secs. 1102 and 1871 of the Social Security Act (42 U.S.C. 1302 and 1395). F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Irvin Cohen, Deputy Director, Office of Prog. Validation, BQC, Rm. 2-E-5, ELR, 6401 Security Blvd., Balto., MD 21235, 301-594-8213.	Proposed Rule January-March 1980.
HCFA-47—Medicaid Program: Fraud and Abuse in Medicaid—Administrative Sanctions.	A. *Description:* This regulation would establish State plan requirements and procedures which require State Medicaid agencies to exclude from Medicaid program reimbursement providers who defraud or abuse the Medicaid program. B. *Why Significant:* This regulation will give States a clear regulatory authority to pursue appropriate administrative sanctions in the cases of fraud or abuse. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1102, 1902(a)(4)(A), and 1902(a)(30) of the Social Security Act; Pub. L. 95-142. F. *Chronology:* The proposal is currently under review. When the review is completed it will be submitted to the Department for approval.	Irwin Cohen, Deputy Director, OPV, BQC, Rm. 2-3-5 EHR, 6401 Security Blvd., Baltimore, MD 21235, 301-594-8213.	Proposed Rule October-December 1979.
HCFA-48—Medicaid Program: Medicaid Recodification: General Requirements—Technical Corrections.	A. *Description:* These amendments will make technical corrections to the rewritten Medicaid regulations published on September 29, 1978 and March 23, 1979. B. *Why Significant:* This document corrects technical and wording errors in response to public comments. C. *Regulatory Analysis:* Not required. D. *Need:* To make necessary changes either of technical errors or of inadvertent omissions, or improper wording that may have appeared to make substantive changes. E. *Legal Basis:* Sec. 1102 of the Social Security Act (42 U.S.C. 1302). F. *Chronology:* Final rule was published on September 27, 1978 (43 FR 45176) with comments accepted for 3 months. Then on March 23, 1979, final rules with comment period were published (44 FR 17926). The comment period closed on May 22, 1979.	Ann Watts, Program Analyst, Regulations Staff, BPP, Mary E. Switzer Bldg., 330 C Street, S.W., Washington, DC 20201, 202-245-8097	Final Rule January-March 1980
HCFA-49—Medicare/Medicaid Program: System for Hospital Uniform Reporting—Requirements for Cost Reporting.	A. *Description:* The regulations require all hospitals that receive payments under the Medicare and Medicaid programs to report cost-related information, such as cost of operation, volume of services, and capital assets, in a prescribed uniform manner. B. *Why Significant:* The purpose is to obtain comparable cost and related data on all participating hospitals for reimbursement, effective cost, and policy analysis, assessment of alternative reimbursement mechanisms and health planning. C. *Regulatory Analysis:* Yes, being conducted. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1861(v)(1)(F) and 1902(a)(40) of the Social Security Act (42 U.S.C. 1320(a)); Sec. 19 of Pub. L. 95-142.	Bill Cresswell, ORDS, Rm. 1-E-6, Oak Meadows Bldg., 6340 Security Blvd., Balto., MD 21207, 301-597-2367.	Proposed Rule January-March 1980.

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Health Care Financing Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	F. *Chronology:* NPRM was published on January 23, 1979 (44 FR 4741). The comment period closed on April 23, 1979. A new NPRM is being issued because of the large number of comments received in response to the original notice published and because of the extensive changes made in the system.		
HCFA-50—Medicare/Medicaid Program: Skilled Nursing Facility/Intermediate Care Facility (SNF/ICF) Uniform Cost Reporting—Requirements for Cost Reporting	A. *Description:* This regulation will propose uniform systems that SNFs and ICFs participating in the Medicaid or Medicare program must use to report cost of operation, volume of services, and capital assets. B. *Why Significant:* This regulation will enable the Department to obtain comparable cost and related data on all participating SNFs and ICFs for effective cost and policy analysis, assessment of alternative reimbursement mechanisms and health planning. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1861(v)(1)(F) and 1902 (a)(40) of the Social Security Act (42 U.S.C. 1320a); Sec. 19 of Pub. L. 95–142. F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Bill Cresswell, ORDS, Rm. 1–E–6, Oak Meadows Bldg., 6340 Security Blvd., Balto, MD 21207, 301–597–2367	Preposed Rule FY 81
HCFA-51—Medicare/Medicaid Program: Hospital Discharge and Data Reports—Requirements for Discharge and Bill Data Reports	A. *Description:* This regulation will require all hospitals to report discharge and billing data in a uniform manner. B. *Why Significant:* This regulation will enable the Department to obtain uniform discharge and bill data on all hospital patients in order to conduct retrospective profile analysis, and to support cost containment legislation and future cost control efforts. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1861(v)(1)(F), and 1902 (a)(40) of the Social Security Act (42 U.S.C. 1320a); Sec. 19 of Pub. L. 95–142. F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Bill Cresswell, ORDS, Rm. 1–E–6, Oak Meadows Bldg., 6340 Security Blvd., Balto, MD 21207, 301–597–2367.	Proposed Rule July–Sept. 1980
HCFA-52—Medicare/Medicaid Program: Skilled Nursing Facility/Intermediate care Facility (SNF/ICF) Discharge and Bill Data—Requirements for Discharge and Bill Data Reports.	A. *Description:* This regulation will require all SNFs/ICFs to report discharge and billing data in a uniform manner. B. *Why Significant:* This regulation will enable the Department to obtain uniform discharge and bill data on all SNF/ICF patients in order to conduct retrospective profile analysis and to support cost containment legislation and future cost control effors. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1801(v)(1)(F) and 1902(a)(40) of the Social Security Act (42 U.S.C. 1320a) and Sec. 19 of Pub. L. 95–142. F. *Chronology:* The proposal is currently under review. When the review is completed, it will be submitted to the Department for approval.	Bill Cresswell, ORDS, Rm. 1–E–6, Oak Meadows Bldg., 6340 Security Blvd., Balto., MD 21207, 301–597–2367	Proposed Rule FY 82.
HCFA-53—Medicare/Medicaid Program: Home Health Agency (HHA) Cost and utilization Requirements for Cost Reporting.	A. *Description:* This regulation will propose uniform systems that HHA's participating in the Medicaid or Medicare program must use to report cost of operation, volume of services and capital assets. B. *Why Significant:* This regulation will enable the Department to obtain comparable cost and related data on all participating HHAs for effective cost and policy analysis, assessment of alternative reimbursement mechanisms and health planning. C. *Regulatory Analysis:* Yes, being conducted D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1861(v)(1)(F), and 1902(a)(40) of the Social Security Act (42 U.S.C. 1320a) Sec 19 of Pub. L. 95–142. F. *Chronology:* The proposal is currently under development. When it is completed, it will be submitted to the Department for approval	Bill Cresswell, ORDS, Rm. 1–E–6, Oak Meadows Bldg., 6340 Security Blvd., Balto., MD 21207, 301–597–2367	Proposed Rule July–Sept '80
HCFA-54—Medicare/Medicaid Program: Home Health Agency (HHA) Discharge and Bill Data—Requirement for discharge and Bill data	A. *Description:* This regulation will require all HHAs to report discharge and billing data in a uniform manner. B. *Why Significant:* The regulations will enable the Department to obtain uniform discharge and bill data on all HHA patients in order to conduct retrospective profile analysis, and to support cost containment legislation anf future cost control efforts. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement the 1977 amendments to the Social Security Act. E. *Legal Basis:* Secs. 1121, 1861(v)(1)(F), and 1902(a) (40) of the Social Security Act (42 U.S.C. 1302a); and sec. 19 of Pub. L. 95–142 F. *Chronology:* The proposal is currently under development. When it is completed, it will be submitted to the Department for approval	Bill Cresswell, ORDS, Rm. 1–E–6, Oak Meadows Bldg., 6340 Security Blvd., Balto., MD 21207, 301–597–2367	Proposed Rule FY 81
HCFA-55—Medicare/Medicaid Program: Use of Federal Funds for Certain Prescribed Drugs—Requirements for Federal Payment for Certain Drugs	A. *Description:* The proposed regulations would prohibit use of Federal funds under Medicare and Medicaid for certain drugs that have been classified as less than effective by the Food and Drug Administration and drugs that are illegal in interstate commerce. B. *Why Significant:* This regulation will respond to concerns of public interest groups by ensuring that services provided under the Medicare and Medicaid programs are of high quality and that Federal funds are expended in an effective and responsible manner. C. *Regulatory Analysis:* Not required. D. *Need:* To prohibit Medicare and Medicaid payments for drugs which are illegal in interstate commerce or ineffective. E. *Legal Basis:* Secs. 1862(a), 1871, and 1902 of the Social Security Act. F. *Chronology:* The proposal is currently being developed. When it is completed it will be sumbitted to the Department for approval.	Mendell J. Kaufman, Chief, SCIB, BPP, Rm. 463 EHR, 6401 Security Blvd., Balto., MD 21235, 301–594–8569	Proposed Rule January–March 1980

Deleted Regulations

Title	Description	Reason for deletion
Technical Amendments: Chiropractors, Physical Therapists, and Speech Pathologists.	The regulations would conform definitions of physical therapist assistant and speech pathologist to other related regulations; clarify requirements for outpatient physical therapy and speech pathology services provided at a home health agency; and provide independent physical therapists and chiropractors the same appeal procedures currently available to other providers.	We plan to incorporate this regulation in an initiative under consideration entitled "Review and Appeal Amendments".
Reimbursement of Federally Funded Health Centers.	These regulations set forth the rules governing reimbursement under medicare for services covered under the Supplementary Medical Insurance Program that are furnished by federally funded health centers.	Deleted temporarily to coordinate policy with Rural Health Clinic reimbursement policy (HCFA–35).
Cost to Related Organizations	These regulations clarify existing policy on Medicare reimbursement for services, facilities, and supplies furnished to a provider of services by an organization related to a provider by common ownership or control. They also codify policy now in program instructions in manuals.	Incorporated in the regulations entitled "Reimbursement to Related Organizations" (HCFA–29)
Negobated Rates for Lab Tests	This regulation sets a reasonable charge for injection services and for certain diagnostic laboratory tests.	Deleted temporarily. It will be incorporated in a broader policy initiative, currently under development, that would affect laboratory tests, and billing and reimbursement under Medicare and Medicaid.
Prospective Reimbursement Rate—End-State Renal Disease (ESRD).	This notice establishes a rate per treatment for outpatient maintenance dialysis treatments furnished to patients dialyzing in a provider or renal dialysis facilty.	Incorporated in the regulation entitled "Incentive Reimbursement for ESRD Services" (HCFA–31).
List of Medicaid Laboratory Tests	This regulation limits reimbursement under the Medicare and Medicaid programs for medical services, supplies, and equipment that do not generally vary significantly in quality from one supplier to another. Payments will be based on the lowest charge levels at which the services are widely and consistently available in a locality.	Incorporated in the regulation entitled "Proposed List of Additional Items and Services Subject to the Lowest Charge Level (HCFA–33).
Medicaid Utilization Control Penalty	This regulation specifies requirements for control over the utilization of inpatient institutional services in the Medicaid program. The regulation also specifies requirements States must meet to avoid reduced Federal matching; the content of quarterly reports, and the methods for making reductions of Federal matching.	Final rule was published on October 1, 1979
Physician Reimbursement and Assignment	This regulation would propose changes in the current Medicare policy on assignment and reimbursement of physicians.	Deleted pending study of reasonable charge implementation and determination of whether changes are needed.
Corrections to Redesignation and Rewrite of Medicaid Regulations.	These amendments will make technical corrections to the Medicaid regulations that were rewritten and redesignated on September 29, 1978.	Incorporated in the regulation entitled "Medicaid Recodification: General Requirements" (HCFA–48)
Redesignation of Medicaid Administrative Requirements.	Certain administrative requirements for the Medicaid program renumbered to 42 CFR Chapter IV, Subchapter C, on March 23, 1979, are being amended to reflect public comments received.	Incorporate in the regulation entitled "Medicaid Recodification: General Requirements" (HCFA–48).
Target Reimbursement Date—End-Stage Renal Disease (ESRD).	This regulation provides a new optional method of Medicare reimbursement for the cost of home dialysis supplies, equipment and support services furnished to self-care home dialysis patients under the direct supervision of an approved provider or facility.	Final rule with comment period published on October 19, 1979.

Food and Drug Administration—Significant Regulations

Title	Summary	Contact	Decision quarter
FDA 1—Antigen E Assay—Potency Standards	A. *Description:* This document establishes potency standards for short ragweed pollen extracts. Each final container of a lot of extract will be required to contain a minimum quantity of Antigen E relative to a reference preparation with a known quantity of Antigen E. B. *Why Significant:* The regulation establishes potency requirements for allergenic extracts. This will require manufacturers to conform to specific standards and assure the public of a uniform product. C. *Regulatory Analysis:* Not required. D. *Need:* To improve potency testing. E. *Legal Basis:* Section 351, 58 Stat. 702 42 U.S.C. 262 F. *Chronology:* Notice of proposed rulemaking was published August 3, 1979 (44 FR 45842). Comment period extended from October 2, 1979 to November 10, 1979. The final rule is currently under review by the Agency.	Michael Hooten, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306	Final Rule April–June 1980
FDA 2—Limulus Amebocyte Lysate (LAL) Specific Manufacturing Standards.	A. *Description:* This document prescribes additional standards for manufacturing LAL. LAL, prepared from the circulating amebocytes of the horseshoe crab may be used as a reagent for *in vitro* testing to detect bacterial endotoxins in certain biological products and medical devices. B. *Why Significant:* The regulation establishes uniform manufacturing standards to assure production of a uniform product. This is necessary to assure uniform product performance in pyrogen testing. C. *Regulatory Analysis:* Not required. D. *Need:* To improve pyrogen testing. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262 F. *Chronology:* The proposal is currently under review by the Agency.	Michael Hooten, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule April–June 1980
FDA 3—Allergenic Source Material—Standards	A. *Description:* This document prescribes additional critena for source materials used in the manufacture of a final allergenic product. Specific requirements will be required for the propagation and maintenance of molds and certain animals. Inspection and recordkeeping requirements will apply to all manufacturers of allergenic products. B. *Why Significant:* The regulation establishes specific standards for certain source materials used to prepare allergenic extracts. This will assure product uniformity. C. *Regulatory Analysis:* Not required. D. *Need:* To assure safety and identity of source material. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* Notice of proposed rulemaking published September 26, 1978 (43 FR 43472). The comment period closed on November 26, 1978. A revised proposal is currently under review by the Agency.	Michael Hooten Regulations Branch (HFB–620), Bureau of Biologics, Food and and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306	Proposed Rule January–March 1980.
FDA 4—Radioallergosobent Test (RAST) Potency Test	A. *Description:* This document proposes to amend the regulations to require that the RAST be used as a potency test for certain allergenic extracts. Presently, no reliable test is available for most extracts. Manufacturers were invited to attend a workshop at the Bureau on September 10, 1979. A collaborative study will be initiated. The results of the study will be used to develop the proposed rule. B. *Why Significant:* This regulation establishes a specific test to measure potency in a broad variety of allergenic extracts. The use of this test will result in a better measurement of potency. C. *Regulatory Analysis:* Not required. D. *Need:* To improve potency test. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the agency.	Michael Hooten, Regulations Branch, (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule July–September 1981

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Food and Drug Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
FDA 5—Error and Accident Reports—Amend Blood GMPs	A. *Description:* This document proposes that licensed and unlicensed blood establishments submit reports to Bureau of Biologics of errors and accidents that are imminent health hazards. The document also proposes that records of all errors and accidents, including those that are not imminent health hazards, be maintained. B. *Why Significant:* This regulation specifies certain reports required to be submitted by licensed and unlicensed blood establishments. It will provide information to determine the need for revising existing regulations, or developing new regulations. C. *Regulatory Analysis:* Not required. D. *Need:* The data will be used to judge adequacy of existing regulations. E. *Legal Basis:* Section 351, 58 Stat. 702 (42 U.S.C. 262). F. *Chronology:* The proposal is currently under review by the Agency.	Iris Hyman, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule January–March 1980.
FDA 6—Reorganize Whole Blood Regulations.	A. *Description:* This document proposes to revise and reorganize Subpart A in Part 640 which prescribes additional standards for Whole Blood (Human). The regulations are being reorganized to reflect, insofar as possible, a logical sequence beginning with the collection of blood and progressing through storage, testing, labeling and issue. This document will also propose substantive amendments of the present requirements. B. *Why Significant:* This regulation will present an orderly arrangement of requirements for blood establishments to follow. It will assure the production of a safe and effective product and protect the health and safety of donors. C. *Regulatory Analysis:* Not required. D. *Need:* To increase donor and product safety and clarity of the regulations. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the Agency.	Robert Meyer, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule January–March 1980.
FDA 7—Commonality of Blood Labeling—Uniform Labeling Requirements.	A. *Description:* This document proposes to amend the blood regulations as recommended by the American Blood Commission, Committee for Commonality in Blood Banking Automation. B. *Why Significant:* This regulation proposes uniform labeling requirements for blood and blood products. It will promote uniformity throughout the industry and provide increased safety to the public in blood transfusion. C. *Regulatory Analysis:* Not required. D. *Need:* To facilitate uniformity in blood labeling. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the Agency.	Steve Falter, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule July–September 1980.
FDA 8—Notification of FDA Regarding Adverse Reactions—Recordkeeping and Reporting Requirements.	A. *Description:* This document proposes to require that manufacturers notify FDA of adverse reactions from use of their products. B. *Why Significant:* This regulation will require industry to keep records and make reports on specific adverse reactions within specified time limits to the Agency. This information will assist the Agency in evaluating the continued safety, purity, potency and effectiveness of marketed products. C. *Regulatory Analysis:* Not required. D. *Need:* To increase FDA's effectiveness in regulating biological products. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* Notice of Availability of draft proposal was published April 24, 1979. The proposal is currently under review by the Agency.	Richard Fisher, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule April–June 1980
FDA 9—Panel on Review of Allergenic Extracts–Product Effectiveness.	A. *Description.* This document proposes to place the subject material in categories designated as (1) safe and effective and not misbranded, (2) unsafe or ineffective and misbranded, and (3) not within category (1) or (2) above, on the basis that available data are insufficient to classify such products. B. *Why Significant:* This regulation will establish the safety and effectiveness of currently marketed products. It will assure the public of receiving only those products found to be truly safe and effective. C. *Regulatory Analysis:* Not required. D. *Need:* To bring products into conformance with current standards of safety and effectiveness. E. *Legal Authority:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the Agency.	Michael Hooten, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule January–March 1981
FDA 10—Panel on Review of Viral Vaccines and Rickettsial Vaccines Product Effectiveness.	A. *Description:* This document proposes to place the subject products in categories designated as (1) safe and effective and not misbranded, (2) unsafe or ineffective and misbranded, and (3) not within category (1) or (2) above, on the basis that available data are insufficient to classify such products. B. *Why Significant:* This regulation will establish the safety and effectiveness of currently marketed products. It will assure the public of receiving only those products found to be truly safe and effective. C. *Regulatory Analysis.* Not required. D. *Need:* To bring products into conformance with current standards of safety and effectiveness. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently review by the Agency.	Steve Falter, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule October–December 1979.
FDA 11—Panel on Review of Blood and Blood Products—Product Effectiveness.	A. *Description:* This document proposes to place the subject products in categories designated as (1) safe and effective and not misbranded, and (2) unsafe or ineffective and misbranded, and (3) not within category (1) or (2) above, on the basis that available data are insufficient to classify such products. B. *Why Significant:* This regulation will establish the safety and effectiveness of currently marketed products. It will assure the public of receiving only those products found to be truly safe and effective. C. *Regulatory Analysis:* Not required. D. *Need:* To bring products into conformance with current standards of safety and effectiveness. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the Agency.	Steve Falter, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule July–September 1980.

Food and Drug Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
FDA 12—Panel on Review of Bacterial Toxoids and Bacterial Vaccines With U.S. Standards of Potency—Product effectiveness.	A. *Description:* This document proposes to place the subject products in categories designated as (1) safe and effective and not misbranded, and (2) unsafe or ineffective and misbranded, and (3) not within category (1) or (2) above, on the basis that available data are insufficient to classify such products. B. *Why Significant:* This regulation will establish the safety and effectiveness of currently marketed proudcts. It will assure the public of receiving only those products found to be truly safe and effective. C. *Regulatory Analysis:* Not required. D. *Need:* To bring products into conformance with current standards of safety and effectiveness. E. *Legal Basis:* Section 351, 58 Stat. 702, 42 U.S.C. 262. F. *Chronology:* The proposal is currently being drafted for review by the Agency.	Steve Falter, Regulations Branch (HFB–620), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Bethesda, MD 20205, 301–443–1306.	Proposed Rule July–September 1980.
FDA 13—Bioresearch Monitoring; Standards for Institutional Review Boards for Clinical Investigations.	A. *Description:* This regulation will establish standards for the composition, operation, and responsibility of any institutional review board that reviews clinical investigations involving the use of products regulated by the Food and Drug Administration. B. *Why Significant:* The regulations will provide greater protection of the rights and safety of subjects in clinical investigations and help assure the quality and integrity of the research data used to support the marketing of products regulated by FDA by specifically defining the responsibilities of institutional review boards in clinical investigations. C. *Regulatory Analysis:* Not required. D. *Need:* To clarify existing regulations concerning institutional review boards that review clinical investigations involving new drug products and to extend those regulations to include boards that review investigations on other FDA-regulated products. The regulation will establish specific standards for the composition, operation, and responsibilities of a board in assuring protection of the rights and safety of subjects involved in clinical investigations and assuring the quality and integrity of the research data used to support the marketing of products regulated by FDA. E. *Legal Basis:* 21 U.S.C. 346, 346a, 348, 352, 353, 355, 356, 357, 360, 360c, 360f, 360h–360j, 361, 371(a), 376, 381; 42 U.S.C. 216, 262, 263b–263n. F. *Chronology:* A proposed rule was published on August 8, 1978 (43 FR 35186). On August 14, 1979, the proposal was withdrawn and reproposed (44 FR 47699). Public hearings were held in Bethesda, Maryland, on September 18, 1979, in San Francisco on October 3, 1979, and in Houston on October 16, 1979. The comment period closed on November 12, 1979.	John C. Petricciani, Associate Director for Clinical Research (HFB–4), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Rockville, MD 20205, 301–496–9320.	Final Rule October–December 1980.
FDA 14—Bioresearch Monitoring; Informed Consent	A. *Description:* This regulation would establish a single set of informed consent requirements applicable to all investigators involved in investigational studies that either require prior FDA review or are later submitted to FDA in support of an application for a research or marketing permit. B. *Why Significant:* This regulation would clarify existing agency regulations governing informed consent and provide greater protection of the rights of human subjects involved in research activities that fall within the jurisdiction of FDA. C. *Regulatory Analysis:* Not required. D. *Need:* There has been an identifiable need to strengthen and clarify informed consent requirements as they apply to research that involves human subjects and is intended for submission to FDA. This regulation is designed to provide greater protection of the rights and safety of human subjects involved in research activities that fall within the jurisdiction of FDA. E. *Legal Basis:* 21 U.S.C. 346, 346a, 348, 352, 353, 355, 356, 357, 360, 360c, 360f, 360h–360j, 361, 371(a), 376, 381; 42 U.S.C. 216, 262, 263b–263n. F. *Chronology:* The proposed rule was published on August 14, 1979 (44 FR 47713). Public hearings were held in Bethesda, Maryland, on September 18, 1979, in San Francisco on October 3, 1979, and in Houston on October 16, 1979. The comment period closed on November 12, 1979.	John C. Petricciani, Associate Director for Clinical Research (HFB–4), Bureau of Biologics, Food and Drug Administration, 8800 Rockville Pike, Rockville, MD 20205, 301–496–9320	Final Rule October–December 1980
FDA 15—Antibiotic Certification; Exemption of Dermatologic and Vaginal Drug Products.	A. *Description:* This regulation would exempt dermatologic and vaginal antibiotics from the requirement for batch certification. The bulk drugs used in manufacturing exempt products would still have to be either certified or released by FDA before being used in manufacturing, however. B. *Why Significant:* Manufacturers would no longer be required to submit to FDA samples and test results for individual batches and could distribute these drug products as a result of their own testing and without notification by FDA that a specific batch is certified. This action will provide more efficient utilization of FDA's staff resources, more efficient certification procedures, and will decrease manufacturers' production costs by eliminating certification expenses. C. *Regulatory Analysis:* Not required. D. *Need:* The current state of manufacturing technology and the high level of compliance with existing monograph requirements demonstrated by manufacturers meet the requirements for consistency set forth in Section 507(c) of the Federal Food, Drug, and Cosmetic Act and warrant exempting this class of antibiotics from batch certification. E. *Legal Basis:* 21 U.S.C. 355, 357. F. *Chronology:* The proposed rule was published on July 6, 1979 (44 FR 39468). The comment period closed on September 4, 1979.	Philip L. Paquin, Chief, General Regulations, Development Branch (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.	Final Rule January–March 1980.
FDA 16—Antibiotic Certification; Exemption of Systemic Drug Products.	A. *Description:* This proposal would exempt certain specific classes of systemic antibiotics, as well as specific products by manufacturer, from the certification requirements of 21 U.S.C. 357. The classes that will be proposed for exemption will be those that, in the judgement of the Commissioner of Food and Drugs, no longer require certification to ensure safety and efficacy of use. B. *Why Significant:* This action will further implement FDA's goal of improving the certification program. Manufacturers of certain classes of systemic antibiotics would be exempted from obtaining certification from FDA of each manufactured batch. Thus, they would not be required to submit to FDA samples of test results for individual batches and could distribute these drug products as a result of thier own testing and without notification by FDA that a specific batch is certified. This would result in a decrease in manufacturers' production costs.	Philip L. Paquin, Chief, General Regulations Development Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.	Proposed Rule January–March 1980.

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	C. *Regulatory Analysis:* Not required. D. *Need:* The current state of manufacturing technology and the high level of compliance with existing monograph requirements demonstrated by manufacturers meet the requirements for consistency set forth in Section 507(c) of the Federal Food, Drug, and Cosmetic Act and warrant exempting certain of this class of antibiotics from batch certification. E. *Legal Basis:* 21 U.S.C. 355, 357. F. *Chronology:* The Proposed Rule is being prepared.		
FDA 17—Bioresearch Monitoring; Obligations of Sponsors and Monitors of Clinical Investigations	A. *Description:* These regulations would establish procedures to be followed by a sonsor and a monitor before initiating, and during the course of, a clinical investigation involving the use of a drug, medical device, food or color additive, or electronic product. B. *Why Significant:* The regulations will provide greater protection of the rights and safety of subjects in clinical investigations and help assure the quality and integrity of the research data used to support the marketing of products regulated by FDA by specifically defining the responsibilities of sponsors and monitors in clinical investigations. C. *Regulatory Analysis:* Not required. D. *Need:* There has been an identifiable need to set forth procedures that would raise the level of the quality of clinical research by more thorough and supervisional contact between the sponsor and investigators. These regulations will define specifically the responsibilities of sponsors and monitors in assuring protection of the rights and safety of subjects involved in clinical investigations and assuring the quality and integrity of the research data used to support the marketing of products regulated by FDA. E. *Legal Basis:* 21 U.S.C 346, 348, 352, 353, 355, 356, 357, 360, 360b–360f, 360h–360j, 361, 371(a), 376, 381, 42 U.S.C. 216, 262, 263b–263n. F. *Chronology:* The proposed rule was published on September 27, 1977 (42 FR 29412). The comment period closed on December 27, 1977.	Marilyn L. Watson, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3650.	Final Rule January–March 1980.
FDA 18—Bioresearch Monitoring, Obligations of Clinical Investigators	A. *Description:* These regulations would clarify existing regulations governing the conduct of persons who conduct clinical investigations on new drug products, and it extends the regulations to include persons who conduct clinical investigations on medical devices, food or color additives, and electronic products. B. *Why Significant:* The regulations will provide greater protection of the rights and safety of subjects in clinical investigations and help assure the quality and integrity of the research data used to support the marketing of products regulated by FDA by specifically defining the responsibilities of clinical investigators. C. *Regulatory Analysis:* Not required. D. *Need:* There has been an identifiable need to clarify existing regulations concerning persons who conduct clinical investigations on new drugs and to extend those regulations to include persons who conduct clinical investigations on other FDA-regulated products. These regulations are designed to assure the validity and reliability of clinical data submitted to FDA, provide greater protection of the rights and safety of subjects involved in the investigations, and provide agency-wide regulatory standards for conducting clinical investigations more efficiently and effectively. E. *Legal Basis:* 21 U.S.C. 346, 348, 352, 353, 355, 356, 357, 360, 360b–360f, 360h–360j, 361, 371(a), 376, 381, 42 U.S.C. 216, 263b–263n. F. *Chronology:* The proposed rule was published on August 8, 1978 (43 FR 35223). The comment period closed on November 6, 1978, and on November 14, 1978 was extended to December 6, 1978.	Marilyn L. Watson, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3640.	Final Rule October–December 1980.
FDA 19–Drug Efficacy Study Implementation, Abbreviated New Drug Applications for Post-1962 Drugs	A. *Description:* This proposal would permit applicants to file abbreviated new drug applications (ANDA's) for products identical to approved post-1962 drugs and to omit certain test results that are required in a full NDA to show safety and effectiveness of the product. It would apply only to certain drug products specified by FDA. At present, ANDA's are permitted only for pre-1962 drugs that FDA has found are suitable for that kind of submission. B. *Why Significant:* This will reduce duplicative human testing of drugs and also reduce the cost to the manufacturer of getting the affected drugs on the market. By increasing competition among drug manufacturers, it may reduce drug costs to the consumer. C. *Regulatory Analysis:* Decision pending on completion of preliminary study D. *Need:* This action will increase competition among drug sources when patents have expired, and lower costs of drug products. E. *Legal Basis:* 21 U.S.C. 355, 371(a). F. *Chronology:* The proposed rule is being prepared.	Joan Mansur, Deputy Assistant Director for Regulatory Affairs, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3640.	Proposed Rule October–December 1979.
FDA 20—Drug Quality Assurance, Current Good Manufacturing Practice for Large Volume Parenterals	A. *Description:* These regulations would establish good manufacturing practice for a class of parenteral drug products that can be characterized as terminally sterilized aqueous solutions of 100 ml or more. They would supplement the more general "umbrella" current good manufacturing practice regulations that apply to all drug products. B. *Why Significant:* Large volume parenteral drug products are unique in both use and production. The primary use of many of these products is not based upon traditional drug therapy, but rather on the urgent need of a patient for basic body constituents. Because LVP drug products are usually administered to seriously weakened persons and generally in large volume, a high level of drug quality is required. C. *Regulatory Analysis:* Not required. D. *Need:* To help assure the quality and integrity of these drug products. E. *Legal Basis:* 21 U.S.C. 351, 352, 355, 357, 371. F. *Chronology:* The proposed rule was published on June 1, 1976 (31 FR 22202). The comment period closed on September 29, 1976.	Philip L. Paquin, Chief, General Regulations, Development Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220	Final Rule July–September 1980.
FDA 21—Drug Quality Assurance; Requirements for Designating The Manufacturer's Name on a Drug or Drug Product Label.	A. *Description:* This regulation would specify the conditions under which a person may be identified on a drug or drug product label as its manufacturer. B. *Why Significant:* The definition will identify for users, purchasers, and prescribers the manufacturer of a drug product more in line with the ordinary meaning of the word "manufacturer". C. *Regulatory Analysis:* Not required.	Steve Unger, General Regulations Development Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.	Final Rule January–March 1980.

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	D. *Need:* Under Section 502(b) of the Federal Food, Drug, and Cosmetic Act, a drug is misbranded unless its label bears the name of its manufacturer, packer, or distributor. This regulation will eliminate a previous policy of identifying a manufacturer which was considered misleading. E. *Legal Basis:* 21 U.S.C. 352, 371(a). F. *Chronology:* The proposed rule was published on October 3, 1978 (43 FR 45614). On June 26, 1979, the comment period was extended to August 27, 1979.		
FDA 22—New Drug Evaluation; Public Disclosure of Specifications.	A. *Description:* This regulation would provide for the disclosure of specifications submitted to the agency by the manufacturer of a drug product, unless the specifications serve no regulatory or compliance purpose, are exempt as trade secrets, and have not previously been publicly disclosed. B. *Why Significant:* The public availability of drug specifications will help to assure that all manufacturers of the same drug product meet the same standards of identity, strength, quality, and purity. Consumers and physicians will be able to select a brand of drug product knowing that the standards it is required to meet are comparable to those of other versions of the same drug product. Disclosure will permit the official compendia to maintain current standards applicable to the products of all manufacturers. Consistent compendial specifications and methods will contribute to improving the enforcement programs of Federal, State, and local regulatory agencies who must assure full compliance with legal requirements for drug products. C. *Regulatory Analysis:* Not required. d. *Need:* There are drugs for which specifications are not publicly available. The regulation would resolve this problem. E. *Legal Basis:* 21 U.S.C. 321 et seq., 42 U.S.C. 201 et seq., 5 U.S.C. 552. F. *Chronology:* The proposed rule was published on July 15, 1977 (42 FR 36485). The comment period closed on September 13, 1977.	Edwin V. Dutra, Jr., Precedent Regulations and Legislative Activities Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–6490.	Final Rule April–June 1980.
FDA 23—New Drug Evaluation; Revision of IND/NDA Regulations.	A. *Description:* This proposal would revise the regulations on investigational new drugs (IND's) and new drug applications (NDA's) to improve the efficiency of FDA's operation and to update and refine its internal policies in reviewing, processing, and communicating with sponsors and applicants on IND's and NDA's. The revision would more formally structure the IND phase so that if a drug reaches the NDA stage it would be essentially approvable. B. *Why Significant:* These revisions can be expected to aid IND sponsors and NDA applicants be expediting the review process, reducing paperwork, and redefining the IND and NDA requirements in line with FDA's experiences in current practices. They should also result in simpler and more useful reporting requirements. C. *Regulatory Analysis:* Not required. D. *Need:* Experience with these regulations after a number of years has identified areas where the IND/NDA procedure and requirements need updating and improving. E. *Legal Basis:* 21 U.S.C. 355, 357, 371(a). F. *Chronology:* A Notice of Public meeting was published on October 12, 1979 (44 FR 59919).	Robert Frankel, Deputy Associate Director for New Drug Evaluation, (HFD–101), Bureau of Drugs, Food and Drugs Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–6062.	Proposed Rule July–September 1981.
FDA 24—Prescription Drug Advertising; Revision of Regulations.	A. *Description:* This notice of intent will announce that FDA intends to propose revisions to the present regulations to provide clear requirements for modern advertising techniques and to clarify and establish additional requirements for promotional labeling. B. *Why Significant:* Although some of the revisions to be proposed represent requirements not specifically included in the existing regulations, in many instances they are requirements that have been considered implicit in the regulations or have been agency policy. By setting clear requirements, the revisions will enable drug manufacturers to know what is and is not permissible advertising. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are not up-to-date inasmuch as advertising methods have changed drastically since the current regulations were published, primarily in the use of electronic media (radio, television, and tapes) in addition to the printed media. E. *Legal Basis:* 21 U.S.C. 321(n), 352, 371. F. *Chronology:* The Notice of Intent is being prepared.	Paul O. Fehnel, Chief, Precedent Regulations and Legislative Activities Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–6490.	Notice of Intent January–March 1980.
FDA 25—Prescription Drug Labeling; Policy on Patient Labeling.	A. *Description:* This regulation would require the manufacturer of a prescription drug product to prepare and distribute labeling that is intended for the patient. The dispenser of the product would be required to provide the labeling to the patient when the product is dispensed. B. *Why Significant:* The regulation is expected to help patients use prescription drug more safely and effectively. C. *Regulatory Analysis:* Yes, being conducted. D. *Need:* To make users of drugs aware of the risks and benefits of drugs prescribed for them and to promote their safe and effective use. E. *Legal Basis:* 21 U.S.C. 352, 353, 355, 357, 371; 42 U.S.C. 262. F. *Chronology:* The proposed rule was published July 6, 1979 (44 FR 40016). A notice of public hearings on the proposed rule was published August 10, 1979 (44 FR 47104). Public hearings were held in Chicago on September 10, 1979, in Los Angeles on September 12, 1979, and in Washington, D.C. on September 14, 1979. On October 12, 1979 (44 FR 58918) the comment period was extended to November 5, 1979.	Michael C. McCrane, General Regulations Development Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.	Final Rule October–December 1980.
FDA 26—Biopharmaceutics Programs; Therapeutic Equivalence Evaluations.	A. *Description:* This regulation would add to FDA's public information regulations a statement that a listing of approved prescription drug products is available. B. *Why Significant:* It will be an aid to all prescribers, dispensers, and purchasers in their efforts to lower drug costs. C. *Regulatory Analysis:* Not required. D. *Need:* To provide a list of approved prescription drug products with their therapeutic equivalence evaluations to assist prescribers, dispensers, and purchasers in their efforts to benefit from generic substitution laws and lower drug costs. E. *Legal Basis:* 21 U.S.C. 321 et seq., 42 U.S.C. 201 et seq., 5 U.S.C. 552. F. *Chronology:* The proposed rule was published on January 12, 1979 (44 FR 2932). The comment period closed on April 12, 1979	Howard Muller, General Regulations Development Branch, (HFD–30), Bureau of Drugs, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.	Final Rule January–March 1980.

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FDA 27—Summary of Food Labeling Hearings.	A. *Description:* This notice will summarize the testimony presented at five food labeling hearings conducted jointly by FDA, USDA, and FTS, as well as comments submitted in writing and will present the agencies' tentative positions on a variety of food labeling issues. B. *Why Significant:* There is substantial public interest in this program. C. *Regulatory Analysis:* Not required. D. *Need:* To notify the public of FDA's tentative positions on various food labeling issues and what future actions FDA is contemplating. E. *Legal Basis:* Section 403 and 701, (21 U.S.C. 343 and 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The notice is currently under review.	Taylor M. Quinn, Associate Director for Compliance (HFF-300), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-1243.	Notice of Intent October-December 1979.
FDA 28—Cholesterol-Free Egg Substitute	A. *Description:* This proposed rule will address the issue of the use of the term cholesterol-free in the name of food products. B. *Why Significant:* This issue concerns a matter on which there is substantial public interest. C. *Regulatory Analysis:* Not required. D. *Need:* To establish consistency in labeling of cholesterol content of foods. E. *Legal Basis:* Sections 201(n), 403(a), 701(a), 52 Stat. 1041, as amended; 1047-1048, as amended; 1055 (21 U.S.C. 321(n) 343(a), and 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* This proposed rule is currently under review.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Proposed Rule January-March 1980.
FDA 29—Plant Protein—Common or Usual Names for Foods, Vegetable Protein Products Which Resemble and Substitute for Meats, Seafood, Poultry, Eggs, or Cheese.	A. *Description:* This regulation will establish common or usual names for vegetable protein products and names and definitions of nutritional equivalence for substitutes for the five major protein foods. B. *Why Significant:* There is substantial public interest in having consistent labeling requirements regarding the nutrient content of vegetable protein substitutes. C. *Regulatory Analysis:* Not required. D. *Need:* To provide consistency in the labeling and in the nutrient content of vegetable protein substitutes for the five major protein foods. E. *Legal Basis:* Sections 201(n), 403, 701, 52 Stat. 1041, as amended; 1047-1048, as amended; 1055-1056, as amended (21 U.S.C. 321(n) 343, 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* Tentative final rule was published on July 14, 1978 (43 FR 30472). The comment period closed on November 13, 1978.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street S.W., Washington, D.C. 20204, (202) 245-3092.	Final Rule July-September 1980.
FDA 30—Sugar Labeling of Foods.....	A. *Description:* This proposed rule would amend the nutritional labeling format so that the carbohydrate declaration will have subsets for simple sugars, as well as complex sugar. B. *Why Significant:* There is substantial public interest in having a declaration of sugar content. C. *Regulatory Analysis:* Not required. D. *Need:* To notify the public of the type and amount of carbohydrate being taken in. E. *Legal Basis:* Sections 201(n), 403, 701, 52 Stat. 1041, as amended; 1047-1048, as amended; 1055-1056, as amended (21 U.S.C. 321(n), 343, 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* This proposed rule is currently being drafted in the Bureau of Foods.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Proposed Rule April-June 1980.
FDA 31—General Principles for the Addition of Nutrients to Food.	A. *Description:* This notice with clarify an FDA policy concerning the nutrient fortification of food. This policy is expressed as a series of principles which manufacturers are urged to follow if they elect to add nutrients to a particular food or class of foods. B. *Why Significant:* This final policy statement sets FDA's policy regarding the addition of nutrients to a particular food or class of foods. C. *Regulatory Analysis:* Not required. D. *Need:* To provide a guideline by which nutrients could be added to foods in a most appropriate pattern and potency. E. *Legal Basis:* Sections 201(n), 403(a), and 701(a), 52 Stat. 1041, 1046-1048, as amended; 1055 (21 U.S.C. 321(n), 343, and 371(a)). F. *Chronology:* Proposed rule was published on June 14, 1974 (39 FR 20900). The comment period closed on October 1, 1974.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Final Policy Statement October-December 1979.
FDA 32—Liquid Protein Products Warning Statement.	A. *Description:* This final rule will set forth label warning requirements for protein supplements that may be used in weight reduction or weight maintenance programs. B. *Why Significant:* There is a potential danger in the misuse of liquid protein products. C. *Regulatory Analysis:* Not required. D. *Need:* To inform potential consumers of the possible dangers of misuse of liquid protein products. E. *Legal Basis:* Sections 201(n), 403(a), 701(a), 52 Stat. 1041, as amended; 1047-1048, as amended; 1055 (21 U.S.C. 321(n), 343(a), and 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The tentative final rule published December 29, 1978 (43 FR 60683). The comment period closed on February 27, 1979.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Final Rule October-December 1979.

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FDA 33—Aflatoxin in Peanuts.....	A. *Description:* This final rule will set tolerances for aflatoxin in peanuts. B. *Why Significant:* There is a public health concern regarding the amount of aflatoxin found in peanuts. C. *Regulatory Analysis:* Not required. D. *Need:* To prevent avoidable residues of aflatoxins in peanuts and peanut products. E. *Legal Basis:* Sections 306, 402, 406, 701, 52 Stat. 1045-1046, 1049, 1055-1056, as amended; and 72 Stat. 948 (21 U.S.C. 336, 342, 346, 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule published on December 6, 1974 (39 FR 42748). Notice of availability of the assessment of estimated risk resulting from aflatoxins in consumer peanut products and notice of reopening of the comment period published on March 3, 1978 (43 FR 8806). Extension of comment period was published on April 18, 1978 (43 FR 16349). The comment period closed May 17, 1978.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Final Rule January-March 1980.
FDA 34—Color Certification—Procedures for Non-Conforming Batches.	A. *Description:* This notice would establish guidelines for the certification of color additives to prescribe procedures for the rejection of samples submitted for certification on the basis of analytical response, when the substance causing the response is unidentified. B. *Why Significant:* Procedures for the certification of colors should be uniform and industry should be fully advised of them. C. *Regulatory Analysis:* Not required. D. *Need:* To establish guidelines which formalize the procedures used in certification of colors. E. *Legal Basis:* Section 706 (21 U.S.C. 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* This notice is currently being drafted in the Bureau of Foods.	Gerald McCowin, Petitions Control Branch (HFF-334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472-5690.	Notice of Intent January-March 1980.
FDA 35—Use of Food Preservatives BHT.....	A. *Description:* This final rule will establish an interim food additive for BHT. B. *Why Significant:* BHT is a widely used preservative heretofore considered GRAS and about which substantial safety questions have been raised, rendering it subject to the food additive law. Recent re-evaluation of available data indicates that additional information is required to substantiate that its use in food can continue to be deemed safe. C. *Regulatory Analysis:* Not required. D. *Need:* To determine if food preservative BHT can continue to be deemed safe for use in foods. E. *Legal Basis:* Sections 201(a), 409, 701(a), 52 Stat. 1055, 72 Stat. 1784-1788, as amended (21 U.S.C. 321(a), 348, 371(a)) of the Federal Food, Drug and Cosmetic Act. F. *Chronology:* The proposed rule published on May 31, 1977 (42 FR 27603). The comment period closed July 26, 1977.	Dr. Corbin Miles, GRAS Review Branch (HFF-335), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472-4750.	Final Rule October-December 1979.
FDA 36—Procedural Regulations for the Cyclic Review and Priority Listing of Food and Color Additives.	A. *Description:* This proposed rule would establish the procedure for the cyclic review and priority listing of food additives. B. *Why Significant:* The FDA believes that industry should be put on notice as to the procedures to be followed and priorities to be set regarding the cyclic review of food and color additives. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To give notice as to the order in which food additives will be reviewed under the cyclic review process. E. *Legal Basis:* Sections 201(a), 409, 701(a), and 706, 52 Stat. 1055; 72 Stat. 1784-1788, as amended (21 U.S.C. 321(a), 348, 371(a), 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF-334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472-5690.	Proposed Rule January-March 1980.
FDA 37—Net Weight.....	A. *Description:* This proposed rule would quantify reasonable variations for foods subject to moisture loss. B. *Why Significant:* There is substantial public interest because of possible economic deception. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. Need: To protect the consumer from economic deception. E. *Legal Basis:* Sections 201(n), 403, 701, 52 Stat. 1041, as amended; 1046-1048, as amended; 1055-1056, as amended by 70 Stat. 919; and 72 Stat. 948 (21 U.S.C. 231(n), 343, and 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Elizabeth Campbell, Guidelines and Compliance Research Branch (HFF-312), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245-3092.	Proposed Rule January-March 1980.
FDA 38—Caffeine.....	A. *Description:* FDA intends to issue proposals to determine the status of caffeine in soft drinks. B. *Why Significant:* This issue concerns a matter on which there is substantial public interest. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* The Select Committee on GRAS Substances of the Federation of American Societies for Experimental Biology (FASEB) has recommended that the FDA interim list direct food uses. E. *Legal Basis:* Sections 201(a), 409, 701(a), 52 Stat. 1055; 72 Stat. 1784-1788, as amended; 52 Stat. 1055 (21 U.S.C. 321(a), 348, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Dr. Corbin Miles, GRAS Review Branch (HFF-335), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472-4750.	Proposed Rule October-December 1979.
FDA 39—GRAS Whey—Whey Products and Hydrogen Peroxide Used in Whey Treatments.	A. *Description:* This final rule will establish common or usual names and affirm the GRAS status for whey and whey products. This is a result of ten GRAS petitions. These dried whey products have numerous potential uses in food including sources of milk protein and use as milk solids where not exempted by food standards. B. *Why Significant:* There is substantial public interest in establishing uniform nomenclature and safe uses for these milk protein products. C. *Regulatory Analysis:* Not required. D. *Need:* To establish safe uses of certain milk proteins.	Dr. Corbin Miles, GRAS Review Branch (HFF-335), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472-4750.	Final Rule October-December 1980.

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Title	Summary	Contact	Decision quarter
	E. *Legal Basis:* Sections 201(s), 409, 701(a), 52 Stat. 1055; 72 Stat. 1784–1788, as amended (21 U.S.C. 321(s), 348, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule published on June 22, 1979 (44 FR 36415). The comment period closed on October 29, 1979.		
FDA 40—Retortable Pouch	A. *Description:* This final rule will provide for safe use of components of laminated pouch intended to contact food under retort conditions. B. *Why Significant:* The retortable pouch could be used in place of the "tin can" in the marketing of many foods. C. *Regulatory Analysis:* Not required. D. *Need:* To protect the public health. E. *Legal Basis:* Section 409, 72 Stat. 1786 (21 U.S.C. 348) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The notice of filing for several petitions published on November 7, 1975 (40 FR 52076), February 10, 1976 (41 FR 5861), September 13, 1976 (41 FR 38802), February 10, 1978 (43 FR 5891), April 7, 1978 (43 FR 14737), and June 23, 1978 (43 FR 27236). The final rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Final Rule April–June 1980.
FDA 41—Xylitol	A. *Description:* This proposed rule would determine the status of the use of Xylitol in specific dietary products. B. *Why Significant:* Xylitol is a sweetener. There is much industry and consumer interest in sucrose substitutes. C. *Regulatory Analysis:* Not required. D. *Need:* Data has been submitted to the FDA suggesting that Xylitol may not be safe. E. *Legal Basis:* Sections 409, 701(a), 52 Stat. 1055; 72 Stat. 1785–1788 (21 U.S.C. 348, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* This proposed rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Proposed Rule October–December 1979.
FDA 42—Food and Color Additives—Risk Assessment.	A. *Description:* This proposed rule would establish standard procedures for assessing the safety of food and color additives. B. *Why Significant:* The risk assessment procedure to be used is likely to be of particular public interest with regard to how it addresses food and color additives that may contain carcinogenic substances. C. *Regulatory Analysis:* Not required. D. *Need:* To clarify agency policy on carcinogenic constituents of food and color additives. E. *Legal Basis:* Sections 201(s), 201(t), 402, 409, 701, 52 Stat. 1046–1047, as amended; 72 Stat. 1784–1788, as amended (21 U.S.C. 321(s), 321(t), 342, 348, 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Proposed Rule January–March 1980.
FDA 43—Trichloroethylene	A. *Description:* This final rule will prohibit trichloroethylene in human food because it may pose a risk of cancer. B. *Why Significant:* There is substantial FDA interest due to public health concerns indicated above. C. *Regulatory Analysis.* Not required. D. *Need:* To protect the public health. E. *Legal Basis:* Sections 201(s), 402, 409, 701, 52 Stat. 1046–1047, as amended; 72 Stat. 1784–1788, as amended (21 U.S.C. 321(s), 342, 348, 371) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule published on September 27, 1977 (42 FR 49465). The comment period closed on November 28, 1977.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Final Rule January–March 1980.
FDA 44—Use of Chlorine Gas in an Aqueous Solution.	A. *Description:* This proposed rule would establish GRAS conditions of use for chlorine food sanitizers. This is the result of twelve GRAS petitions for uses of chlorine, hypochlorus acid, and chlorine dioxide as food sanitizing solutions. B. *Why Significant.* There is a substantial public health issued involved. C. *Regulatory Analysis.* Not required. D. *Need:* To establish safe uses of chlorine in a sanitizing agent. E. *Legal Basis:* Sections 201(s), 409, 701(a), 52 Stat. 1055; 72 Stat. 1784–1788, as amended (21 U.S.C. 321(s), 348, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Dr. Corbin Miles, GRAS Review Branch (HFF–335), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–4750.	Proposed Rule April–June 1980.
FDA 45—Nitrite as a Color Additive in Bacon	A. *Description:* This proposed rule would resolve the issue regarding nitrite as a color additive in bacon. B. *Why Significant:* There is substantial public interest and controversy regarding the use of nitrite in bacon. C. *Regulatory Analysis.* Decision pending on completion of preliminary study. D. *Need:* To clarify the status of nitrite as a color additive in bacon. E. *Legal Basis.* Sections 201(s), 201(t)(1), 402(a), 701(a), 706, 72 Stat. 1784, 74 Stat. 397, 52 Stat. 1046, 1055–1056, as amended (21 U.S.C. 321(s), 321(t)(1), 342(a), 371(a), 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Proposed Rule October–December 1979.
FDA 46—Prior Sanction Status of Nitrites in Poultry Products	A. *Description* this proposed rule would resolve the issue regarding whether there is a prior sanction for nitrites in poultry products. B. *Why Significant:* There is substantial interest and controversy in the legal status of nitrites. C. *Regulatory Analysis.* Not required. D. *Need:* To protect the public health. E. *Legal Basis.* Sections 201(s), 201(t)(1), 402(a), 701(a), 706, 72 Stat. 1784; 74 Stat. 397; 52 Stat. 1046, 1055–1056, as amended (21 U.S.C. 321(s), 321(t)(1), 342(a), 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Gerald McCowin, Petitions Control Branch (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Proposed Rule October–December 1979.
FDA 47—Safety of Food Ingredients Sucrose and Corn Sugar	A. *Description:* The proposed rule would rule on the GRAS status of sucrose and corn sugar. B. *Why Significant:* There is much consumer concern about the health implications of consumption of sucrose and corn syrup. C. *Regulatory Analysis.* Not required.	Dr. Corbin Miles, GRAS Review Branch (HFF–335), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W.,	Proposed Rule October–December 1979.

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Title	Summary	Contact	Decision quarter
	D. *Need:* To re-evaluate the safety of all GRAS ingredients. E. *Legal Basis:* Sections 201(s), 409, 701(a), 52 Stat. 1055 (21 U.S.C. 321(s), 348, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* This proposed rule is currently under review.	Washington, D.C. 20201, (202) 472–4750.	
FDA 48—Optional Ingredient Labeling Regarding Certain Food Standards.	A. *Description:* This proposed rule would revise certain food standards to require that all optional ingredients be labeled in accord with 21 CFR 101. B. *Why Significant:* There is substantial public interest in having all optional ingredients properly labeled. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To promote honesty and fair dealing in the interest of consumer. E. *Legal Basis:* Sections 401, 701(e), 52 Stat. 1046, as amended; 70 Stat. 919, as amended (21 U.S.C. 341, 371(e)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Dr. Prince Harrill, Deputy Director, Division of Food Technology, (HFF–411), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245–1164.	Proposed Rule January–March 1980
FDA 49—National Shellfish Safety Program	A. Description: A notice to withdraw the proposed National Shellfish Safety Program regulation and a proposal to continue the voluntary National Shellfish Program. B. *Why Significant:* An improved voluntary National Shellfish Program would help ensure the safety and wholesomeness of shellfish harvested in waters of participating states. C. *Regulatory Analysis:* Not required. D. *Need:* To improve the voluntary National Shellfish Program. E. *Legal Basis:* Sections 402, 403, 701(a), Pub. L. 717; 52 Stat. 1046–1048, 1055, as amended (21 U.S.C. 342, 343, 371(a)) of the Federal Food, Drug, and Cosmetic Act; Sections 301, 308, 311, 361, Pub. L. 410; 58 Stat 691, 693, 703; 74 Stat. 364, as amended (42 U.S.C. 241, 242, 243, 246) of the Public Health Service Act. F. *Chronology:* The proposed rule published on June 19, 1975 (40 FR 25916). The comment period closed November 13, 1975.	David Clem, Shellfish Sanitation Branch, (HFF–417), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245–1557	Notice of Intent/Proposed Rule April–June 1980
FDA 50—Dietary Supplement of Vitamins and Minerals.	A. *Description:* This proposed rule would establish a regulation for vitamin/mineral nutritional supplements and the labeling requirements. B. *Why Significant:* There is substantial public concern over the possibility that the availability of vitamin and mineral supplements may be in some way restricted by this regulation. C. *Regulatory Analysis:* Not required. D. *Need:* To make available products and labeling information adequate for consumers to regulate their own intake of vitamins and minerals. E. *Legal Basis:* Section 201(n), 403 (a) and (j), 701 (a) and (e), 52 Stat. 1041, as amended; 1047–1048, as amended (21 U.S.C. 321(n), 343 (a) and (j), 371(n) and (e) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently under review.	Dr. Allen Forbes, Associate Director, Nutrition and Food Sciences, (HFF–200), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245–1561.	Proposed Rule January–March 1980
FDA 51—Labeling of Sodium and Potassium Content of Foods	A. *Description:* This proposed rule would amend § 105.69 ("foods used to regulate sodium- and potassium-intake") to change the present mode of declaring sodium content and to add a description of how potassium content is also to be declared. There shall also be a new paragraph in § 101.17 ("Food Labeling Warning statements") to provide for warnings regarding potassium content on labels of some salt substitutes. B. *Why Significant:* There is substantial public interest in and a health need for consumers being able to regulate their own intake of salts. C. *Regulatory Analysis:* Not required. D. *Need:* To give consumers an opportunity to regulate their intake of sodium acid potassium. E. *Legal Basis:* Sections 201 (n) and (s), 402(a)(2)(c), 403(a), 409(c)(1)(a), and 701(a) (U.S.C. 321 (n) and (s), 342(a)(2)(c), 343(a), 348(c)(1)(a), and 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently being drafted in the Bureau of Foods.	Dr. Allen Forbes, Associate Director, Nutrition and Food Sciences, (HFF–200), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245–1561	Proposed Rule July–September 1980.
FDA 52—Lead Acetate	A. *Description:* This proposed rule would act upon a color additive petition for the use of lead acetate as a hair color. B. *Why Significant:* There is substantial interest in determining whether the use of lead acetate as a hair color is safe. This touches upon other questions regarding lead toxicity. C. *Regulatory Analysis:* Not required. D. *Need:* To determine whether lead acetate can safely be used as a hair dye ingredient. E. *Legal Basis:* Sections 706, 74 Stat. 399–403, as amended (21 U.S.C. 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently being drafted in the Bureau of Foods.	Geral McCowin, Petitions Control Branch, (HFF–334), Bureau of Foods, Food and Drug Administration, 330 Independence Avenue, S.W., Washington, D.C. 20201, (202) 472–5690.	Proposed Rule January–March 1980
FDA 53—CTFA Cosmetic Ingredient Dictionary	A. *Description:* This final rule would finalize recognition of the CTFA (Cosmetic, Toiletry, and Fragrance Association, Inc.), Cosmetic Ingredient Dictionary, Second Ed., 1976, as petitioned by the CTFA, as a new source of ingredient names adopted for use in cosmetic ingredient labeling. On the initiative of the FDA, the final rule also lists several supplements and new editions of other currently recognized compenda which are proposed for adoption. B. *Why Significant:* FDA believes it to be important that the cosmetic industry have a uniform nomenclature of cosmetic ingredients. C. *Regulatory Analysis:* Not required. D. *Need:* To provide industry with a uniform nomenclature of cosmetic ingredients. E. *Legal Basis:* Sections 5(c), 6(a), 80 Stat. 1298, 1299 (15 U.S.C. 1454, 1455) of the Fair Packaging and Labeling Act and Sections 701(e), 70 Stat. 919, as amended (21 U.S.C. 371(e)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule published on October 28, 1977 (42 FR 56757). The comment period closed on December 27, 1977.	H. J. Eiermann, Director, Division of Cosmetic Technology, (HFF–440), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 245–1530.	Final Rule October–December 1979
FDA 54—Bubble Bath Products Warning	A. *Description:* On January 28, 1977, a notice was published proposing a required caution statement on labels of cosmetics bubble bath products. The caution statement was proposed in light of many consumer complaints of rashes and genito-urinary tract infections. The term "bubble bath products"	H. J. Eiermann, Director, Division of Cosmetic Technology, (HFF–440), Bureau of Foods, Food and Drug Administration,	Final Rule January–March 1980

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Title	Summary	Contact	Decision quarter
	is defined for the purpose of the regulation. B. *Why Significant:* There is substantial FDA interest in informing consumers of possible problems which may occur while using these products. C. *Regulatory Analysis:* Not required. D. *Need:* To caution the consumers as to possible problems which may occur while using these products. E. *Legal Basis:* Sections 201(n), 601, 602, 701(a), 52 Stat. 1041, as amended; 1054, as amended; 1055 (21 U.S.C. 321(n), 361, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule published on January 28, 1977 (42 FR 5386). The comment period closed on April 29, 1977.	200 C Street, S.W., Washington, D.C. 20204, (202) 245-1530.	
FDA 55—Procedural Regulations for Cyclic Review of Animal Drugs.	A. *Description:* This proposed rule would establish procedures and priorities for cyclic review. B. *Why Significant:* The FDA believes it is important that industry be put on notice, as to the procedures to be followed and priorities to be set regarding the cyclic review of animal drugs. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To set procedures and priorities for cyclic review. E. *Legal Basis:* Sections 512, 701(a), 52 Stat. 343-351 (21 U.S.C. 360, 371(a)) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule is currently being drafted in the Bureau of Foods.	Dr. Bob Scheuplein, Chief, Food Animal Additive Staff (HFF-154), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 472-5760.	Proposed Rule March-June 1980.
FDA 56—Sensitivity of Method	A. *Description:* This final rule would establish criteria and procedures for evaluating assays for carcinogenic residues in animal-derived food. B. *Why Significant:* Industry needs guidelines as to what human safety data is required by FDA for new animal drug approval. C. *Regulatory Analysis:* Yes, being conducted. D. *Need:* To facilitate a determination of the safety of drugs intended for food producing animals. E. *Legal Basis:* Sections 402, 403, 409, 512, 701(a), 706, 52 Stat. 1046-1048, as amended; 1055, 72 Stat. 1785-1786, as amended; 74 Stat. 399-403, as amended, 82 Stat. 343-351 (21 U.S.C. 342, 343, 348, 360(b), 371(a), 376) of the Federal Food, Drug, and Cosmetic Act. F. *Chronology:* The proposed rule was published on March 20, 1979 (44 FR 17070). The comment period closed on July 18, 1979. Notice of hearing published on April 20, 1979 (44 FR 23538). Hearing was held on June 4, 1979.	Bob Scheuplein, Chief, Food Animal Additive Staff (HFF-154), Bureau of Foods, Food and Drug Administration, 200 C Street, S.W., Washington, D.C. 20204, (202) 472-5760.	Final Rule July-September 1980.
FDA 57—Investigational Device Exemptions	A. *Description:* This regulation provides requirements for conducting clinical investigations of medical devices used with human subjects. B. *Why Significant:* The regulation will ensure that human subjects will be adequately protected during clinical investigations and that the data is the product of adequate and well controlled studies. C. *Regulatory Analysis:* Not required. D. *Need:* To implement section 520(g) of the Medical Device Amendments of 1976 and establish procedures for sponsors to obtain an investigational device exemption, and responsibilities of institutional review boards and investigators during the course of a clinical investigation. E. *Legal Basis:* 21 U.S.C. 360(g). F. *Chronology:* Tentative final rule was published May 12, 1978 (43 FR 20726). The comment period closed December 5, 1978.	Joseph L. Hackett, Investigation Devcie Exemption Coordinator (HFK-403), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-8162.	Final Rule October-December 1979.
FDA 58—Classification of Preenactment Devices.	A. *Description:* These regulations classify all medical devices marketed prior to May 28, 1976 into three regulatory control categories. The classifications are based on the recommendations of eight expert advisory panels. B. *Why Significant:* The classification regulations will determine the extent to which a device must be regulated to assure its safety and effectiveness. The classification regulations advise manufactuers whether their devices are subject to general controls, performance standards, or premarket approval. C. *Regulatory Analysis.* Not required. D. *Need:* To implement sections 513 (c) and (d) of the Medical Device Amendments of 1976. E. *Legal Basis:* 21 U.S.C 360c (c) and (d). F. *Chronology:* Final Regulation for Neurological Devices published September 4, 1979 (44 FR 51726); proposed rules published: Cardiovascular, March 9, 1979 (44 FR 13284), comment period closed May 8, 1979; OB/GYN, April 3, 1979 (44 FR 19894), comment period closed June 4, 1979; General Hospital, August 24, 1979 (44 FR 49844), comment period closed October 23, 1979; Physical Medicine, August 28, 1979 (44 FR 50458), comment period closed October 29, 1979; and Hematology/Pathology, September 11, 1979 (44 FR 52950), comment period closes November 13, 1979.	Robert S. Kennedy, Associate Director for Device Evaluation (HFK-400), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-7230.	Final Rule April-June 1980.
FDA 59—Regulations to Require Premarket Approval	A. *Description:* After classification has been completed for each Class III preenactment device, section 515(b) of the Medical Device Amendments requires promulgation of regulations that call for the submission of premarket approval applications. B. *Why Significant:* The regulations will contain information on hazards from use of the device to be eliminated or reduced by premarket approval, and the benefit to the public from use of the device. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement section 515(b) of the Medical Device Amendments of 1976. E. *Legal Basis:* 21 U.S.C. 360e(b). F. *Chronology:* The proposal is currently being prepared.	Keith Lusted, Premarket Approval Coordinator (HFK-402), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-8162.	Proposed Rule July-September 1980.
FDA 60—Premarket Approval Procedural Regulation	A. *Description:* This regulation will provide procedural requirements for submission of premarket approval applications, including safety and effectiveness requirements for all Class III medical devices. B. *Why Significant:* The regulation is essential to ensure that FDA receives adequate information on the safety and effectiveness of all Class III devices. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To implement section 515 of the Medical Device Amendments of 1976. E. *Legal Basis.* 21 U.S.C. 360e. F. *Chronology:* The proposal is currently under review.	Keith Lusted, Premarket Approval Coordinator (HFK-402), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-8162.	Proposed Rule January-March 1980.

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Title	Summary	Contact	Decision quarter
FDA 61—Product Development Protocol	A. *Description:* This guideline will set forth suggested procedures for, and contents of, product development protocols to enable manufacturers to develop protocols in lieu of submitting separte investigational device exemption applications (IDEs) and premarket approval applications (PMAs). B. *Why Significant:* The PDP procedures will be of great assistance to the rapid development of innovative devices because it should be less expensive than the conventional two-step investigation and premarket approval procedure. The PDP procedure should be of great assistance to the small device manufacturers. C. *Regulatory Analysis:* Not required. D. *Need:* To implement section 515(f) of the Medical Device Amendments of 1976. E. *Legal Basis:* 21 U.S.C. 360e(f). F. *Chronology:* The notice is currently under review.	Keith Lusted, Premarket Approval Coordinator (HFK-402), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-8162.	Notice of Intent April-June 1980.
FDA 62—Performance Standards Procedural Regulation.	A. *Description:* This regulation will prescribe the procedures by which performance standards will be established developed, and promulgated for all Class II medical devices. B. *Why Significant:* The regulation will reduce the risk to the public of Class II devices by ensuring that they are manufactured in accordance with prescribed standards. C. *Regulatory Analysis:* Not required. D. *Need:* To implement section 514 of the Medical Device Amendments of 1976, and inform the public how standards will be established and how they may participate in the standards setting process. E. *Legal Basis:* 21 U.S.C. 360d. F. *Chronology:* Proposed rule was published July 25, 1978 (43 FR 32264). The comment period closed November 30, 1978.	Robert Cangelosi; Acting Director, Division of General Medical Device Standards (HFK-310), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-7182.	Final Rule October-December 1979.
FDA 63—Voluntary Standards Policy Statement	A. *Description:* This notice will set forth FDA's statement on voluntary standards policy advising the public and interested organizations of FDA's strategy for the development and assistance in voluntary standards activities. B. *Why Significant:* By encouraging the development of voluntary standards government expenditures will be reduced because the government will be seeking the development of standards through voluntary standards setting organizations and using existing industry expertise, in lieu of the more costly mandatory standards approach. C. *Regulatory Analysis:* Not required. D. *Need:* To inform the public of the role of voluntary standards in the standards development process. E. *Legal Basis:* This notice supplements the agency's authority to develop standards under 21 U.S.C. 360d. F. *Chronology:* The notice is currently under review.	Robert Cangelosi; Actmg Director, Division of General Medical Device Standards (HFK-310), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-7182.	Notice of Intent October-December 1979.
FDA 64—Restricted Device Regulation	A. *Description:* This regulation will establish a critena for manufacturers to determine whether a device is a restricted device and thus subject to certain labeling requirements as set forth in the regulation. B. *Why Significant:* The regulation will ensure that all restricted devices are subject to uniform labeling requirements. Once the regulation becomes a final rule, FDA inspectors will have access to manufacturing files concerning restricted devices. C. *Regulatory Analysis:* Not required. D. *Need:* To implement section 520(e) of the Medical Device Amendments of 1976 and adhere to the decision of the Courts in: *Becton, Dickinson and Company v. FDA,* 589 F.2d 1175 (2d Cir. 1978); and *In the Matter of Establishment Inspection of Pontex, Inc., FDA, Appellant,* 595 F.2d 84 (1st Cir. 1979) E. *Legal Basis:* 21 U.S.C. 360j(e). F. *Chronology:* The proposal is currently under review	Michael Lidsky, Office of ADRP (HFK-70), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427-7114	Proposed Rule January-March 1980
FDA 65—Mandatory Experience Reporting	A. *Description:* The regulation will set forth mandatory reporting requirements for manufacturers and distributors concerning devices which cause or could cause deaths or injuries, or are the subject of a corrective action. B. *Why Significant:* The regulation will provide greater patient protection by ensuring that FDA receives information on devices that are unsafe or ineffective. C. *Regulatory Analysis:* Not required. D. *Need:* To implement section 519 of the Medical Device Amendments of 1976 and enable FDA to monitor the safety of devices. E. *Legal Basis:* 21 U.S.C. 360i. F. *Chronology:* The proposal is currently under review.	Chester Reynolds, Chief, Device Experience Branch (HFK-125); Bureau of Medical Devices; Food and Drug Administration, 8757 Georgia Avenue; Silver Spring, MD 20910; (301) 427-8100.	Proposed Rules January-March 1980.
FDA 66—Maximum Residue Limits for Ethylene Oxide, Ethylene Chlorhydrin, and Ethylene Glycol.	A. *Description:* This regulation will impose residue limits on the use of ethylene oxide as a sterilant for certain drugs and devices by: (1) Establishing maximum residue limits for ethylene oxide and its two major reaction products; and (2) Maximum daily levels of exposure for drug products for ehtylene oxide and its two major reaction products. B. *Why Significant:* The regulation addresses an issue of substantial public interest and controversy—the continued use of ETO at the levels of use proposed by FDA. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* To develop safe levels of use for ethylene oxide, ethylene chlorhydrin, and ethylene glycol. E. *Legal Basis:* 21 U.S.C. 351, 355, 356, 367, 360b, 360c, 360k, 371(a).	Carl Bruch, Deputy Associate Director for Device Evaluation (HFK-400), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910 (301) 427-7230.	Tentative Final Rule Date of Publication Not Yet Determined

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Title	Summary	Contact	Decision quarter
	F. *Chronology*: Proposed rule was published June 23, 1978 (43 FR 27474). The comment period closed August 22, 1978.		
FDA 67—California Application for Exemption from Preemption	A. *Description*: This regulation will set forth which provisions of California's medical device laws are exempted from preemption and which laws are not preempted (i.e., no Federal law currently exists). B. *Why Significant*: This regulation will have an impact on California's comprehensive program for the regulation of medical devices. C. *Regulatory Analysis*: Not required. D. *Need*: To respond to the petition submitted by the State of California as required by section 521(b) of the Medical Device Amendments of 1976. E. *Legal Basis*: 21 U.S.C. 360k. F. *Chronology*: Tentative final rule was published April 3, 1979 (44 FR 19436). The comment period closed June 4, 1979.	Joseph M. Sheehan, Office of ADRP (HFK–70), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427–7114.	Final Rule January–March 1980.
FDA 68—Applications for Exemption from Preemption for State and Local Hearing Aid Requirements	A. *Description*: This regulation responds to 19 state applications for exemption from preemption for hearing aid requirements. B. *Why Significant*: This regulation will determine whether 19 states may continue their regulation of the sale of hearing aids. C. *Regulatory Analysis*: Not required. D. *Need*: To respond to the 19 state petitions as required by section 521(b) of the Medical Device Amendments of 1976. E. *Legal Basis*: 21 U.S.C. 360k. F. *Chronology*: Proposed rule was published July 26, 1978 (43 FR 33180). The comment period closed September 26, 1978.	Joseph M. Sheehan, Office of ADRP (HFK–70), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427–7114.	Final Rule October–December 1979.
FDA 69—Additional Applications for Exemption from Preemption for State and Local Hearing Aid Requirements	A. *Description*: This regulation responds to two additional state applications for exemption from preemption for hearing aid requirements. B. *Why Significant*: This regulation will determine whether two states may continue their regulation of the sale of hearing aids. C. *Regulatory Analysis*: Not required. D. *Need*: To respond to two additional state petitions as required by section 521(b) of the Medical Device Amendments of 1976. E. *Legal Basis*: 21 U.S.C. 360k. F. *Chronology*: Proposed rule was published April 13, 1979 (44 FR 22119). The comment period closed June 12, 1979.	Joseph M. Sheehan, Legal Associate, Office of ADRP (HFK–70), Bureau of Medical Devices, Food and Drug Administration, 8757 Georgia Avenue, Silver Spring, MD 20910, (301) 427–7114.	Final Rule April–June 1980
FDA 70—Recommendations for State and Local Agencies Concerning Accidental Radioactive Contamination of Human Food and Animal Feeds	A. *Description*: The recommendations would consist of Protective Action Guides (PAGs), defined as the projected radiological dose equivalent or dose commitment to individuals in the general population that warrants protective action following a release of radioactive material. The Department of Health, Education, and Welfare was assigned agency responsibility for this task in the FEDERAL REGISTER of December 24, 1975 (40 FR 59494) by the Federal Preparedness Agency, General Services Administration. Within HEW, this function has been delegated to the Commissioner of Food and Drugs. B. *Why Significant*: Provides guidance following radiological incidents, including nuclear power plant accidents. C. *Regulatory Analysis*: Not required D. *Need*: To develop necessary guidance under responsibility assigned by Federal Preparedness Agency E. *Legal Basis*: Federal Preparedness Agency Notice in 40 FR 59494 and Public Health Service Act, 42 U.S.C. 241, 242o 243. F. *Chronology*: Proposed rule published on December 15, 1978 (43 FR 58790) Comment period closed on February 13, 1979.	Gail D. Schmidt, Standards and Regulations Branch (HFX–460), Bureau of Radiological Health, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, (301) 443–3426	Final Rule May–July 1980
FDA 71—Recommendations for National Standards for Medical Radiation Technologists	A. *Description*: The Notice of Intent announced that the Bureau of Radiological Health will be establishing recommended qualifications for medical radiation technologists. The Notice solicited professional and public input about existing practices of credentialing, the need for uniform national standards, and possible approaches for ensuring that all medical radiation technologists demonstrate a certain level of competence in conducting medical radiation examinations. B. *Why Significant*: The issue concerns a matter on which there is substantial public interest as evidenced by the more than 500 comment letters received on the Notice of Intent C. *Regulatory Analysis*: Not required D. *Need*: Medical radiation technologists exercise considerable influence over patient exposure during radiological procedures and so criteria for their credentialing are essential. E. *Legal Basis*: Public Health Service Act, 42 U.S.C. 241, 243, 263d. F. *Chronology*: Notice of intent published on March 13, 1979 (44 FR 14637). Comment period closed on July 11, 1979.	Charles P. Froom, Standards and Regulations Branch (HFX–460), Bureau of Radiological Health, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, (301) 443–3426.	Proposed Rule June–August 1980.
FDA 72—Recommendations on Exposures from Diagnostic X-Ray Examinations.	A. *Description*: There exists a considerable range in the entrance skin exposure and the resulting organ doses for the same x-ray procedure conducted at different medical facilities and often within the same facility. Radiation exposure recommendations are being investigated that will permit radiologists, radiation protection personnel, and others to evaluate exposure values used in a given facility. Following the analysis of the comments generated by the Notice of inquiry, a program decision will be made as to the course of action the Bureau will pursue. B. *Why Significant*: The recommendations could have a great impact on reducing human exposure from medical x-ray examinations which accounts for ninety percent of public exposure to man-made ionizing radiation. C. *Regulatory Analysis*: Not required. D. *Need*: The recommendation will encourage facilities which are delivering excessive exposures compared to the usual exposures for specific examinations to reevaluate their procedures and lower their exposures. E. *Legal Basis*: Public Health Service Act, 42 U.S.C. 263d. F. *Chronology*: Notice of inquiry published on August 17, 1979 (44 FR 48354). Comment period closes on December 17, 1979.	Raymond F. Coakley, Jr., Standards and Regulations Branch (HFX–460), Bureau of Radiological Health, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, (301) 443–3426.	Proposed Rule October–December 1981.
FDA 73—Recommendations for Referral Criteria for Diagnostic Radiological Examinations.	A. *Description*: An often cited reason for the overuse of diagnostic radiological examinations is the lack of referral criteria for specific examinations. The National Conference on Referral Criteria for X-Ray Examinations addressed this problem. One of the most important recommendations resulting from the Conference, publicly ratified by the Commissioner, was that which established the Government as a facilitator in the cooperative medical professional organizations. The purpose of this announcement is: (1) To state FDA's intent to facilitate the development of referral criteria through expert panels of physicians, grants, and contracts, (2) To provide a listing of candidate radiological (including nuclear medicine) examinations; and (3) To announce means through which public participation in the process can be assured. B. *Why Significant*: These recommendations should sharply reduce the use of diagnostic x-ray procedures in those circumstances where experience has shown that such examinations do not significantly improve the patient's recovery from disease or injury. C. *Regulatory Analysis*: Not required. D. *Need*: To reduce human exposure to medical x-ray in those instances where no significant medical benefit would result. E. *Legal Basis*: Public Health Service Act, 42 U.S.C. 241, 242, 243. F. *Chronology*: The notice is currently under development.	Robert A. Phillips, Standards and Regulations Branch (HFX–460), Bureau of Radiological Health, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.	Notice of Intent July–September 1980.

Food and Drug Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
FDA 74—Neomycin Containing Animal Drugs	A. *Description*: To prescribe safe and effective conditions of use for neomycin containing animal drugs. B. *Why Significant*: This proposal would require the submission of new animal drug applications containing adequate date to establish the safe and effective conditions of use for new animal drugs in food producing animals. C. *Regulatory Analysis*: Not required. D. *Need*: Additional data are required for safety of residues of neomycin. E. *Legal Basis*: Sections 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology*: Notice of Proposed Rulemaking in preparation.	Dr. Charles E. Haines, Division of Drugs for Swine and Minor Species (HFV–138), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3410.	Proposed Rule April–June 1980.
FDA 75—Sulfonamide Containing Animal Drugs.	A. *Description*: To amend 21 CFR 510.450 setting out prescribed requirements for studies to establish safe and effective conditions of use for sulfonamide containing drugs in food producing animals. B. *Why Significant*: All sponsors of sulfonamide containing drugs for use in food producing animals will be required to submit adequate information ot establish safe and effective conditions of use including tolerances for safe rseidues in the edible products. C. *Regulatory Analysis*: Decisions pending on completion of preliminary study. D. *Need*: Data currently available is not adequate to establish safe tolerances for residues of sulfonamide drugs in edible products of food producing animals. E. *Legal Basis*: Sections 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology*: 21 CFR 510.450 was initially promulgated October 23, 1970 (35 FR 16539). It was amended to require interim studies on July 22, 1974 (39 FR 26603).	Dr. Emilio E. Viera, Division of Drugs for Swine and Minor Species (HFV–138), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3410.	Proposed Rule April–June 1980.
FDA 76—Medicated Feed Task Force Implementation.	A. *Description*: Amends the regulations to provide revised criteria for the need of an approved medicated feed application for the manufacture of medicated feeds. B. *Why Significant*: This proposal would materially change the current requirements for approval for the use of drugs in the manufacture of medicated feeds. C. *Regulatory Analysis*: Not required. D. *Need*: The proposal would establish sound and consistent criteria for approval of medicated feed applications. E. *Legal Basis*: Secs 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology*: Revised feed definitions proposed January 17, 1978 (43 FR 2526). Task Force Report made available by FR Notice December 15, 1978 (43 FR 58634). FEDERAL REGISTER of March 6, 1979 (44 FR 12208) deferred action on definitions proposal to become a part of the Medicated Feed Task Force implementation.	Dr. Robert P. Schmidt, Division of Animal Feeds (HFV–224), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–3390.	Proposed Rule April–June 1980.
FDA 77—Teat Dips	A. *Description*: To establish a regulation prescribing data requirements to establish safe and effective use of teat dips in the dairy industry. B. *Why Significant*: The regulation will require that all articles offered for use as teat dips are new animal drugs and will require that they be the subject of an approved new animal drug application. C. *Regulatory Analysis*: Not required. D. *Need*: Such products have been shown not to be safe and effective for this use. E. *Legal Basis*: Sections 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology*: A notice of proposed rulemaking issued in the FEDERAL REGISTER of August 9, 1977 (42 FR 40217). Comment period closed on March 10, 1978.	Dr. Howard Meyers, Division of Surveillance (HFV–214), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–1846.	Final Rule July–September 1980.
FDA 78—Animal Drugs for Minor Species	A. *Description*: To modify the safety and effectiveness requirements for approval of new animal drug applications for use of a drug in a minor species or the minor use of a drug in a major species. B. *Why Significant*: To assure the availability of new animal drugs for use in minor species or for a minor use in a major species. C. *Regulatory Analysis*: Not required. D. *Need*: Because of little economic incentive to drug manufacturers. Under current criteria few drugs have been approved for use in minor species. E. *Legal Basis*: Sections 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology*: A notice of proposed rulemaking issued in the FEDERAL REGISTER of July 20, 1979 (44 FR 42714). Comment period closed on October 19, 1979.	Dr. Thomas V. Raines, Division of Drugs for Avian Species (HFV–149), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–4913.	Final Rule April–June 1980.
FDA 79—Sterility and Pyrogencity of Animal Drugs.	A. *Description*: To amend the current good manufacturing practice regulations for injectable animal drugs to require that they be sterile and free of extrinsic pyrogenic material. B. *Why Significant*: May require firms currently manufacturing such drugs to revise and update manufacturing facilities. C. *Regulatory Analysis*: Decision pending on completion of preliminary study.	Ms. Pat Cushing, Division of Compliance (HFV–234), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857,	Notice of Proposed Rulemaking October–December 1980.

Food and Drug Administration—Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	D. *Need:* Parenteral drugs that are not sterile and free of extrinsic pyrogenic material are potentially unsafe for such use. E. *Legal Basis:* Sections 501, 502, 512, 701(a) 52 Stat. 1049–1053 as amended, 1055 82 Stat. 343–351 (21 U.S.C. 351, 352, 360b, 371(a)). F. *Chronology:* A notice of intent was published in the FEDERAL REGISTER of December 15, 1978 (43 FR 58591). Comment penod closed on June 13, 1979.	301–443–3460.	
FDA 80—Approval of Supplemental New Animal Drug Applications	A. *Description:* Conditions are set forth under which a supplemental new animal drug application may be approved with or without a complete reevaluation of all safety and effectiveness data in the parent application. B. *Why Significant:* The regulation constitutes a change in agency policy regarding such approvals. C. *Regulatory Analysis:* Not required. D. *Need:* The regulation will facilitate approval of minor changes in approved applications including improving safety and effectiveness of the drug on an expeditious basis. E. *Legal Basis:* Sections 512, 701(a), 52 Stat. 1055, 82 Stat. 343–351 (21 U.S.C. 360b, 371(a)). F. *Chronology:* Notice of intent published November 12, 1976 (41 FR 50003) and notice of proposed rulemaking on December 23, 1977 (42 FR 64367). Comment penod closed on March 23, 1978.	John R. Markus, Chief Chemist, Scientific Evaluation, (HFV–104), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–4313.	Final Rule October–December 1979.
FDA 81—Prohibited Substances. Deodonzer Distillates.	A. *Description:* The regulation would prohibit the use of deodonzer distillate substances in animal feed. B. *Why Significant:* Such substances have been implicated in the contamination of animal feed resulting in the destruction of contaminated food producing animals. C. *Regulatory Analysis:* Not required. D. *Need:* Deodonzer distillate substances contain concentrated pesticide and other chemical residues from their application to growing crops. E. *Legal Basis:* Sections 201(g), 402, 409, 701(a), 52 Stat. 1046–1047 as amended 1055, 72 Stat. 1784–1788 as amended (21 U.S.C. 321(s), 342, 348, 371(a)). F. *Chronology:* Notice of Proposed Rulemaking published September 9, 1975 (40 FR 41797). Comment penod closed on December 10, 1975.	John R. McDowell, Division of Animal Feeds (HFV–222), Bureau of Veterinary Medicine, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5362.	Tentative Final Rule October–December 1980.

Office of Human Development Services

Title	Summary	Contact	Decision quarter
HDS–1—Grants for State and Community Programs and Aging. General Rules.	A. *Description:* This regulation would revise existing regulations to clarify current policies and consolidate the requirements for multipurpose senior centers, social services and nutrition services provided through state and area agencies on aging. The regulation would also specify the requirements for the long-term care ombbudsman program and implement other changes. B *Why Significant:* This regulation would provide the framework for developing comprehensive and coordinated systems for social service and congregate and home delivered nutrition services. Preference would be given to those older persons with the greatest economic or soccial needs. C *Regulatory Analysis:* Not required. D *Need:* To implement the 1978 Amendments to the Older Americans Act. E. *Legal Basis.* 42 U.S.C. 3001 et seq. F. *Chronology:* Notice of Decision to Regulate was published on January 31, 1980 (44 FR 6155). Notice of Proposed Rulemaking was published on July 31, 1979 (44 FR 45032). The comment penod closed on October 1, 1979.	Fred Luhman, Chief, Div. of State & Community Programs, Room 4748 HEW North Bldg., 330 Independence Ave., S.W., Washington, D.C. (202) 472–3057.	Final Rule January–March 1980
HDS–2—Grants to Indian Tribal Organizations for Social and Nutrition Services. General Rules.	A. *Description.* This regulation would establish procedures for eligible Indian tribal organizations to apply for grants to provide social and nutrition services to Indians age 60 and older B. *Why Significant:* This is a new program which would result in increased social and nutrition services for older Indians. C *Regulatory Analysis:* Not required. D. *Need:* To implement the provisions of Title VI of the Older Americans Act, as amended. E *Legal Authority.* 42 U.S.C. 3057. F. *Chronology:* Notice of Decision to Regulate was published on January 31, 1979 (44 FR 6155).	Fran Holland, Aging Program Specialist, Administration on Aging, Room 4748 HEW North Bldg., 330 Independence Ave., S.W., Washington, D.C. 20201, (202) 472-3058.	Proposed Rule December 1979.
HDS–3—Vocational Rehabilitation and Independent Living Programs. General Rules.	A. *Description:* This regulation would revise existing regulations to clarify current polices and implement new program authorities including vocational rehabilitation services to Indian tribes and independent living services. B. *Wy Significant:* This regulation would change the State Plan requirements and expand the kinds of services available to handicapped individuals. C. *Regulatory Analysis.* Not required. D. *Need:* To implement the 1978 Amendments to the Rehabilitation Act of 1973. E. *Legal Basis.* 42 U.S.C. 3001 et seq. F. *Chronology:* Notice of Decision to Regulate was published on January 31, 1980 (44 FR 6155). Notice of Proposed Rulemaking was published in July 31, 1979 (44 FR 45032). The comment penod closed on October 1, 1979.	Harold F. Shay, Director, Div. of Manpower Development, Rehabilitation Services Administration, Room 3321 M.E. Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201 (202) 245–0079.	Proposed Rule—December 1979.
HDS–4—Developmental Disabilities Program: General Rules.	A. *Description:* This regulation would revise existing regulations to clarify current polices and implement changes in the following areas: Definition of developmental disability; rights of the developmentally disabled; protection and advocacy systems; state planning councils; the state plan; allotments; and special project grants. B. *Why Significant:* This regulation would change the state plan requirements and concentrate funds on a limited number of priority service areas for the developmentally disabled. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the 1978 Amendments to the Developmental Disabilities Assistance and Bill of Rights Act. E. *Legal Basis:* 42 U.S.C. 6008. F. *Chronology:* None.	Ms. Marjorie H. Kirkland, Bureau of Developmental Disabilities, Rehabilitation Services Administration, Room 3070 M.E. Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201, (202) 245–0335.	Proposed Rule—December 1979.

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
HDS–5—Social Service Programs: Consolidated Grants to Insular Areas.	A. *Description:* This regulation would specify the procedures for application and use of a single grant award consolidating the formula grant funds available for social services to the Insular Areas under Titles I, IV–A, IV–B, X, XIV, XVI and XX of the Social Security Act. B. *Why Significant:* This regulation will allow the Insular Areas greater flexibility for setting social services priorities and in responding to the needs of their populations. C. *Regulatory Analysis:* Not required. D. *Need:* To implement a 1977 Amendment to the Omnibus Territories Act. E. *Legal Basis:* 48 U.S.C. 1469(a). F. *Chronology:* None.	William F. Renahan, Program Analyst, Div. of Policy Coordination, Offic. of Human Development Services, Room 334F.4, H.H. Humphrey Bldg., Washington, D.C. 20201, (202) 245–2674.	Proposed Rule—December 1979.
HDS–6—Native American Program: General Rules.	A. *Description:* This regulation would simplify and clarify existing regulations and implement significant changes in policies and operation to reflect experience in operating the program. B. *Why Significant:* The Native American Grants provide valuable resources to Native Americans in their efforts to achieve economic and social self-sufficiency. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to provide detailed requirements for the receipt and use of grants under the Native Americans Program Act of 1974. E. *Legal Basis:* 42 U.S.C. 2991. F. *Chronology:* None.	Casimer Wichlacz, Director, Policy Planning & Budget Division, Administration for Native American, Room 357G, H.H. Humphrey Bldg., 200 Independence Ave., S.W., 20201, (202) 426–3940.	Proposed Rule—December 1979.
HDS–7—Child Abuse and Neglect Prevention and Treatment Program: General rules.	A. *Description:* This regulation will implement statutory amendments to the Child Abuse Prevention and Treatment Act, which provides descretionary grants for demonstration and service projects and research projects to private, nonprofit organizations. In addition, it provides special grants to States who meet the eligibility criteria for child abuse prevention and treatment projects. B. *Why Significant:* This regulation will revise the definition of child abuse and neglect to include sexual abuse and sexual exploitation as required by the statute. This will broaden the scope of services provided by the Act. C. *Regulatory Analysis:* Not required. D. *Need:* To implement the Child Abuse Prevention and Treatment and Adoption Reform Act of 1978. E. *Legal Basis:* 42 U.S.C. 5101 et seq. F. *Chronology:* Notice of Decision to Regulate was published on September 8, 1978 (43 FR 39563).	Frank Ferro, Associate Chief, Children's Bureau, Administration for Children, Youth, and Families, Donohoe Bldg., Room 2030, 400 6th St., S.W., Washington, D.C. 20013, (202) 755–7418.	Proposed Rule—December 1979.
HDS–8—Title IV–B Child Welfare Services: General Rules.	A. *Description:* This regulation will revise the existing regulation to require the States to jointly develop with the Department current State plans for the delivery of child welfare services. In addition, this revision will separate the Title IV–B provisions from the Title IV–A provision and relocate the regulation from 45 CFR Part 220 to 45 CFR Part 1355. B. *Why Significant:* The States have not submitted new Title IV–B State plans or amendments since 1975. The planning process provided for in the new regulation will assist the States in identifying problems in child welfare services delivery, and planning for resolution of those problems in a priority order. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* The regulation was written ten years ago and is in need of updating and separation from the IV–A program regulation. This is part of the Operation Common Sense program to revise HDS regulations. E. *Legal Basis:* 42 U.S.C. 620 et seq. F. *Chronology:* None.	Frank Ferro, Associate Chief, Children's Bureau, Administration for Children, Youth, and Families, Donohoe Bldg., Room 2030, 400 6th St., S.W., Washington, D.C. 20013, (202) 755–7418.	Proposed Rule—January–March 1980.
HDS–9—Work Incentive Programs: relocation to Chapter XIII of 45 CFR.	A. *Description:* This regulation would relocate Part 224 (Work Incentive Programs for AFDC Recipients) from Chapter II of Title 45 of the Code of Federal Regulations (CFR) to Chapter XIII of 45 CFR. The regulation would delete references to the Social and Rehabilitation Service (an obsolete agency) and make other technical changes. B. *Why Significant:* This regulation would not cause any changes in the way in which this program is operated. C. *Regulatory Analysis:* Not required. D. *Need:* This regulation is needed to consolidate in Chapter XIII of 45 CFR all regulations administered by the Office of Human Development Services. E. *Legal Basis:* 42 U.S.C. 630 et seq. F. *Chronology:* None.	Merwin S. Hans, Executive Director, National Coordination Committee Work Incentive Program, Room 5102, Patnck Henry Bldg., 601 D Street, N.W., Washington, D.C. 20201, (202) 376–6694	Final Rule January–March 1980.
HDS–10—Social Service Programs Under Titles I, IV, X, XIV, XVI (AABD) and XX of the Social Security Act: Relocation to Chapter XIII of 45 CFR.	A. *Description:* This regulation would relocate Part 220 (Service Programs for Families and Children), Part 222 (Service Programs for Aged, Blind and Disabled), and Part 226 (Social Services Programs for Individuals and Families), from Chapter II of Title 45 of the Code of Federal Regulations (CFR) to Chapter XIII of 45 CFR. The regulation would delete references to the Social and Rehabilitation Service (an obsolete agency) and make other technical changes, but no policy changes would be made. B. *Why Significant:* This regulation would not cause any changes in the way in which these programs are operated. C. *Regulatory Analysis:* Not required. D. *Need:* This regulation is needed to consolidate in Chapter XIII of 45 CFR all regulations administered by the Office of Human Development Services. E. *Legal Basis:* 42 U.S.C. 1302, 302–303, 1202, 1203, 1352–1353, 1382–1383. F. *Chronology:* None.	Johnnie U. Brooks, Director, Office of Policy Control Administration for Public Services, Room 2225, Mary E Switzer Bldg., 330 C Street, S.W. Washington, D.C. 20201 (202) 245–9415.	Final RuleJanuary–March 1980
HDS–11—Work Incentive Program: New Procedures to Determine the WIN Sanction Period.	A. *Description:* This regulation would amend the Work Incentive (WIN) Program rules for Aid to Families with Dependent Children (AFDC) applicants and recipients who must register for employment and training, and related services. The regulation would remove provisions which impose fixed periods of AFDC grant ineligibility (sanction periods) on persons who are deregistered from the WIN program for failure or refusal to participate without good cause. Instead, this regulation would establish an individually determined sanction period that is based on the length of time that the person refused to participate. B. *Why Significant:* During the sanction period, the individual will not be permitted to register in the WIN program and, therefore will not be eligible for the AFDC grant.	Mervin S. Hans, Executive Director, National Coordination Committee Work Incentive Program, Room 5102, Patrick Henry Bldg., 601 D Street, N.W., Washington, D.C. 20213, (202) 376–6694.	Final Rule—December 1979.

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
	C. *Regulatory Analysis:* Not required. D. *Need:* This regulation is necessary to comply with a U.S. District Court decision and judgment entered on September 14, 1977. The case of *McClean v. Califano*, 458 F. Supp. 285 (S.D.N.Y. 1977), invalidated the regulations at 29 CFR 56.77 and 45 CFR 224.77 which imposed fixed periods of AFDC grant ineligibility (sanction periods) on individuals who are deregistered from the WIN program for failure or refusal to participate without good cause. After that, similar judgments were entered in other jurisdictions, and in *Crosby v. Califano*, Civil Action No. 78–3067 (S.D. Ill.), the court entered, on May 22, 1979, an order applying to all jurisdictions not previously covered. E. *Legal Basis:* 42 U.S.C. 630 et seq. F. *Chronology:* Notice of Proposed Rulemaking was publishing on November 17, 1978 (43 FR 53771). The comment period closed on January 16, 1979.		
SSA–1—Aid to Families With Dependent Children Program—Adjustment for Quality Control in Federal Financial Participation, 45 CFR Part 205.	A. *Description:* These final regulations will provide for incentive payments to States for reducing their AFDC error rate below 4 percent. B. *Why Significant:* These regulations will further improve State management of the AFDC program. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are needed to provide methods for calculating payments to States; and to improve quality control systems. E. *Legal Basis:* Social Security Amendments of 1977; 42 U.S.C. 603, 607. F. *Chronology:* A notice of Proposed Rulemaking was published on November 20, 1978 (43 FR 54105). The comment period ended on January 19, 1979.	Sean Hurley, (202) 245–8999, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C 20201.	Final Rule October–December 1979.
SSA–2—Aid to Families With Dependent Children Program—Reduction in Federal Financial Participation, 45 CFR Part 205.	A. *Description:* In these final regulations, we explain that States must reduce their AFDC payment error rates to 4 percent by September 30, 1982. We also explain how we will determine a State's error rate and what happens if a State does not reduce its errors to a prescribed rate. B. *Why Significant:* These regulations will result in a significant reduction in erroneous payments in the AFDC program. C. *Regulatory Analysis:* None. D. *Need:* These regulations are required by the Supplemental Appropriations Act of 1979. E. *Legal Basis:* Pub. L. 96–38; 49 Stat. 647. F. *Chronology:* A Notice of Proposed Rulemaking was published on September 25, 1979. (44 FR 55318). The comment period ends on November 26, 1979.	Jack Schanberger, (301) 594–6785, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Final Rule October–December 1979.
SSA–3—Aid to Families With Dependent Children Program—Access to Wage Record Information, 45 CFR Parts 205 and 206.	A. *Description:* These final regulations will require State AFDC agencies to request and use wage information from State unemployment compensation agencies, or, if not available, from the Social Security Administration. B. *Why Significant:* States will use the requested wage information to determine eligibility for, or amount of, financial assistance or services given under the AFDC program. This is expected to help reduce error rates in State AFDC agencies. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations will specify what State AFDC agencies must do in order to comply with a statutory mandate: Sec. 403 of Pub. L. 95–216, which amended section 402(a) of the Social Security Act to add a new paragraph (29). E. *Legal Basis:* Sections 402, 411, 1102, 1106(a) of the Social Security Act, as amended, 49 Stat. 647, as amended, 91 Stat. 1561, 53 Stat. 1398, as amended, 42 U.S.C. 602, 611, 1302, 1306(a), and section 403 of Pub. L. 95–216, 91 Stat. 1561. F. *Chronology:* Interim regulations were published on January 30, 1978 (43 FR 3907). Invitation to comment was published on June 14, 1978 (43 FR 25672). Notice of Proposed Rulemaking was published on January 11, 1979 (44 FR 2404). Comment period ended March 12, 1979.	Ms. Helen Hamilton, (202) 245–1676, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Final Rule October–December 1979.
SSA–4—Aid to Families With Dependent Children Program—Quality Control Reviews—General Administration, 45 CFR Part 205.	A. *Description:* The proposed regulations will require States to submit findings from their monthly AFDC review sample to SSA within 75 days after the sample month. Also, States will be required to submit findings on not less than 98 percent of the cases selected for the monthly review sample unless an alternative completion plan for that State is approved by the Secretary. The anticipated result is that the monthly review findings will be promptly submitted and not delayed until the end of the 6-month sample period. B. *Why Significant:* This change would assure more rapid availability of quality control data. This would enable SSA to complete our reports on a more timely and updated basis. Timely data on payment error rates will assist administrators in determining where funds are being lost and in taking action to correct problems. C. *Regulatory Analysis:* Not required. D. *Need:* These proposed regulations implement an administrative decision that was made. E. *Legal Basis:* 42 U.S.C. 302, 602, 1202, 1352 and 1382. F. *Chronology:* A Notice of Decision to Regulate was published on June 15, 1979 (44 FR 34606).	Sean Hurley, (202) 245–8999, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C 20201.	Proposed Rule January–March 1980.
SSA–5—Assistance Programs—State Plan for Methods of Personnel Administration, 45 CFR Parts 205 and 235	A. *Description:* These final regulations in Part 235 will clarify policies and simplify procedures for personnel administration included in State plans under title IV–A of the Social Security Act except in Guam, Puerto Rico, and the Virgin Islands. In Part 205, the rules will be updated on standards of personnel administration for financial assistance and social services programs under titles I, IV–A, X, XIV, and XVI(AABD) in Guam, Puerto Rico, and the Virgin Islands. B. *Why Significant:* These regulations will separate SSA policies and procedures for the AFDC program from those of two other agencies (all formerly administered by the Social and Rehabilitation service). The rules will relieve the Office of Personnel Management of an unnecessary workload. C. *Regulatory Analysis:* Not required. D. *Need:* SSA regulations are in obsolete form as published by the defunct Social and Rehabilitation Service; they encumber the Office of Personnel Management and the State agencies with unnecessary procedures and unclear policies. E. *Legal Basis:* 42 U.S.C. 1302 (Social Security Act, as amended, and Pub. L. 91–648). F. *Chronology:* None.	Ms. Evelyn Greene, Program Specialist, (202) 472–3793, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Final Rule April–June 1980

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
SSA–6—Assistance Programs—Federal Matching Funds for State and Local Training, 45 CFR Parts 205 and 235.	A. *Description:* These final regulations will state the requirements for Federal financial participation in training of employees of States administering financial assistance programs. B. *Why Significant:* The revision of these regulations was initiated by the Social and Rehabilitation Service prior to its dissolution, and State agencies have participated in developing them. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are needed to clarify and strengthen States' training policies. E. *Legal Basis:* Sections 2, 3, 402, 403, 1002, 1003, 1102, 1402, 1403, 1602, and 1603 of the Social Security Act as amended; 42 U.S.C. 202, 302, 602, 603, 1202, 1203, 1302, 1352, 1353 and 1383. F. *Chronology:* Two notices were published on January 11, 1977, a Notice of Information (42 FR 2440) and a Notice of Proposed Rulemaking (42 FR 2445).	Evelyn Green, (202) 472–3793, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Final Rule January–March 1980.
SSA–7—Aid to Families With Dependent Children Program—Redetermining Eligibility and Computing Supplementary Payment, 45 CFR Parts 232, 233, and 302.	A. *Description:* These proposed regulations will require that eligibility be based on the current month's reported support payments, and each month's supplemental payment be based on the largest part of the amount collected in the current month that would not cause ineligibility. They will provide uniform and equitable redeterminations of eligibility and payment amounts. B. *Why Significant:* These proposed regulations would affect AFDC and Child Support Enforcement programs in 14 States and in Puerto Rico, Guam, Virgin Islands, and the District of Columbia. C. *Regulatory Analysis:* Not required. D. *Need:* These proposed regulations will assure that no family receiving child support payments will suffer a loss in disposable income as a result of the initiation of the Child Support Enforcement Program. E. *Legal Basis:* 402(a)(7), (8), (10), and (28) and 1102 of the Social Security Act as amended; 42 U.S.C. 607(a)(7), (8), (10) and (28) and 1302 as amended, Section 202 of Pub. L. 94–88. F. *Chronology:* A Notice of Decision to Regulate was published on May 18, 1979 (44 FR 29122).	Alice Stewart, (202) 245–1694, Program Specialist, Office of Family Assistance, Room 4120 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Proposed Rule January–March 1980.
SSA–8—Aid to Families With Dependent Children Program—Equity Methods for Evaluating Resources, 45 CFR Part 233.	A. *Description:* These proposed regulations provide that equity value be used instead of current market value when determining resources. B. *Why Significant:* These proposed regulations will affect AFDC for all jurisdictions and adult assistance administered in Guam, Puerto Rico, and the Virgin Islands. C. *Regulatory Analysis:* Not Required. D. *Need:* These proposed regulations are prompted by and reflect the U.S. Court of Appeals decision in *NWRO v. Matthews* (553 F. 2d 637). E. *Legal Basis:* 42 U.S.C. 602 and 1302. F. *Chronology:* The Notice of Decision to Regulate was published on June 19, 1979 (44 FR 35241).	Juanita Henderson, (202) 245–0203, Program Specialist, Office of Family Assistance, Room 4119 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Proposed Rule January–March 1980.
SSA–9—Aid to Families With Dependent Children Program—Inclusion of Child Receiving Old-Age, Survivors' and Disability Insurance Benefits into an AFDC Assistance Unit, 45 CFR Part 233.	A. *Description:* The proposed regulations will reaffirm an AFDC caretaker's option to include in the AFDC assistance unit a child who receives OASDI benefits under Title II of the Social Security Act, even when such benefits are sufficient to meet the child's needs under the State's AFDC payment standard. B. *Why Significant:* The proposed regulations will codigy internal policy memoranda in effect between the Federal Government and the States. C. *Regulatory Analysis:* Not required. D. *Need:* Policy clarification is required between State Letter 1088 and subsequent policy issuance in order to resolve two conflicting interpretations. E. *Legal Basis:* 42 U.S.C. 602 and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on March 6, 1979 (44 FR 12214).	Connie Katz, (202) 245–0982, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Proposed Rule January–March 1980.
SSA–10—Aid to Families With Dependent Children Program—Coverage and Condition of Financial Assistance Program; Residence, 45 CFR Part 233.	A. *Description:* These final regulations expand the definition of "resident" to include anyone who at the time of application is living in the State, is not receiving assistance from another State, and entered the State with a job commitment or seeking employment (whether or not currently employed). B. *Why Significant:* These regulations will make it possible for migrant and itinerant workers with families who are denied AFDC and Medicaid benefits because they move from State to State for employment purposes, to meet the residence requirement for assistance from the State and receive benefits if they are otherwise eligible. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are needed to conform to Medicaid regulations published on August 8, 1978. E. *Legal Basis:* Sections 402(b) and 1102 of the Social Security Act, as amended; 42 U.S.C. 602 and 1302. F. *Chronology:* Interim regulations were published on July 17, 1979 (44 FR 41459). The comment period ended September 17, 1979.	A. Slade, (202) 245–0521, Program Specialist, Office of Family Assistance, Room 4117 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Final Rule January–March 1980.

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
SSA-11—Aid to Families With Dependent Children Program—Continued Absence of the Parent from the Home, 45 CFR Part 233	A. *Description:* A child will be considered deprived of parental support or care by reason of continued absence of a parent from the home when: (1) A parent has been convicted of an offense and is under sentence of a court; (2) the sentence requires the parent to perform unpaid public work or community service during working hours; and (3) the parent is permitted to live at home while serving the sentence for reasons in the public interest. B. *Why Significant:* The final regulations will broaden the interpretation of the statutory provision, "continued absence from the home." It is inequitable to grant AFDC to families with a parent in prison, but to deny AFDC to families with a parent who, although permitted to live at home, must serve a court-imposed sentence at unpaid work which deprives the children of economic support. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are needed to grant AFDC to families of children deprived of parental support or care because a parent cannot seek or accept a job while serving a sentence at unpaid work. E. *Legal Basis:* Secs. 406 and 1102 of the Social Security Act, as amended, 49 Stat. 629 as amended, 49 Stat. 647 as amended, 42 U.S.C. 606 and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on August 10, 1978 (43 FR 35511). Notice of Proposed Rulemaking was published on July 2, 1979 (44 FR 38606). Comment penod ended August 31, 1979.	Ms. Joyce Fernandez, (202) 245-0982, Program Specialist, Office of Family Assistance, 330 C Street, S.W., Washington, D.C. 20201.	Final Rule January-March 1980.
SSA-12—Aid to Families With Dependent Children Program—Protective Vendor and Two Party Payments for Dependent Children, 45 CFR Part 234	A. *Description:* These final regulations will increase from 10 to 20 percent the Federal matching of funds for protective and two-party payments in State AFDC cases. Two-party payment checks require endorsement by the individual and the provider of care. B. *Why Significant:* The final regulations will clarify provisions for making protective and vendor payments and specifically authorize Federal funding for two-party checks, require statement of reasons for payments he put in child's file, and increase available funding. C. *Regulatory Analysis:* Not required. D. *Need:* The final regulations are needed to implement sec. 3 of Pub. L. 95-171, which increases from 10 to 20 percent the Federal matching funds available to States for the number of individuals for whom protective, vendor, and two-party payments can be made in any month. E. *Legal Basis:* Sections 402, 403, and 1102 of the Social Security Act, as amended; 42 U.S.C 602, 603, 606, and 1302; sec. 3 of Pub. L. 95-171. F. Chronology: A Notice of Decision to Regulate was published on May 16, 1978 (43 FR 21015). A Notice of Proposed Rulemaking was published on March 2, 1979. The comment penod ended May 1, 1979.	C. B. Wooldridge, (202) 245-8817, Program Specialist, Office of Family Assistance, Room 4111 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Final Rule January-March 1980.
SSA-13—Aid to Families with Dependent Children Program—Administrative and Fiscal Requirements for Federal Financial Participation in Financial Assistance to Individual, 45 CFR Part 236	A. *Description:* The proposed regulations will define "financial assistance payments" and list the types of assistance payments for which Federal matching funds are available. They will also provide requirements that States must meet in the payment process, and provide requirements having to do with making payments. B. *Why Significant:* These proposed regulations are important because they will explain how to handle incorrect payments that are excluded from the AFDC quality control system, how to select the proper payee, how to determine the correct payment and how to determine the method of payment. C. *Regulatory Analysis:* Not required. D. *Need:* Although these rules are in Part IV-500 of the Handbook of Public Assistance, they should be updated and transferred to the regulations. E. Legal Basis: Sections 402(a)(5) and 1102 of the Social Security Act. F. *Chronology:* A Notice of Decision to Regulate was published on October 1, 1979 (44 FR 56389)	John Senets, (202) 245-0244, Program Specialist, Office of Family Assistance, Room 4129 Switzer Bldg., 330 C Street, S.W., Washington, D.C. 20201.	Proposed Rule April-June 1980.
SSA-14—Social Security Administration—Reorganization and Updating of Disclosure Regulations, 20 CFR Part 401	A. *Description:* These final regulations provide for disclosure of information from social security records under the Social Security Act, the Freedom of Information Act, the Privacy Act, and other related statutes. B. *Why Significant:* These final regulations will reflect the policies SSA will follow in deciding whether to disclose information from its records. C. *Regulatory Analysis:* Not required D. *Need:* Strong public interest in SSA's rules on disclosing information from its records indicates a need to publish these regulations E. *Legal Basis:* Privacy Act of 1974 (Pub. L. 93-579); 5 U.S.C. 552 Freedom of Information Act (Pub. L. 94-409) F. *Chronology:* A Notice of Proposed Rulemaking was published on April 10, 1979, with a comment period ending June 19, 1978 (44 FR 21495). A notice was published on June 1, 1979, which extended the comment period to August 31, 1979 (44 FR 31667).	Armand Esposito, (301) 594-7455, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Final Rule January-March 1980.
SSA-15—Social Security Administration—Availability of Information and Records to the Public, 20 CFR Parts 401 and 422.	A. *Description:* These proposed regulations will revise SSA's rules on the Freedom of Information Act to make them consistent with HEW's regulations in 45 CFR part 5, transfer material concerning HCFA's Medicare program and relocate certain rules to bring SSA's rules on disclosure and the availability of information together in one part. B. *Why Significant:* These are basically technical revisions to make SSA's rules consistent with those in 45 CFR Part 5. C. *Regulatory Analysis:* Not required. D. *Need:* There is a need to review SSA's rules on the availability of information for consistency with HEW's, revise our rules to reflect creation of Health Care Financing Administration, and to transfer certain Medicare information which no longer applies to SSA activities to 42 CFR part 405. E. *Legal Basis:* 42 U.S.C. 405 and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on May 18, 1979 (44 FR 29102).	Armand Esposito, (301) 594-7455, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235.	Proposed Rule April-June 1980.

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
SSA-16—Old Age, Survivors, Disability Insurance Program—Quarters of Coverage and Insured Status, 20 CFR Part 404, Subpart B	A. *Description:* These final regulations contain rules for determining quarters of coverage and insured status of a worker when a person claims old age, disability, dependent, or survivors benefits under Title III of the Social Security Act. B. *Why Significant:* These final regulations simplify the language of existing regulations making them easier to understand. Outdated material is eliminated. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 412, 413, 414, and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 18237). A Notice of Proposed Rulemaking was published on July 11, 1979 (44 FR 40526); the comment period ended on September 10, 1979.	David Smith, (301) 594-7336, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Final Rule January-March 1980.
SSA-17—Old-Age, Survivors, Disability Insurance Program—New Methods for Computing Benefit Amounts, 20 CFR Part 404, Subpart C.	A. *Description:* These final regulations will explain the decoupling provisions of the Social Security Amendments of 1977 whereby a worker's basic benefit amount is computed from his earnings as a ratio of the total earnings of all workers. They will also explain the amended provisions for computing minimum benefit amounts and cost-of-living increases and recomputing the basic benefit. B. *Why Significant:* The provisions of these regulations will stabilize the relationship between initial benefits and the worker's earnings by means of wage indexing. C. *Regulatory Analysis:* Not Required. D. *Need:* The final regulations are required to publish definition of " average of the total wages," and are needed for complex provisions to be explained in layman's language. E. *Legal Basis:* Social Security Amendments of 1977 (Pub. L. 95-216); 42 U.S.C. 405, 415. F. *Chronology:* A Notice of Decision to Regulate was published on March 23, 1978 (43 FR 12033). Interim regulations were published December 29, 1978 (43 FR 60877). The comment period ended February 27, 1979.	Jack Schanberger, (301) 594-6785, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Final Rule October-December 1979.
SSA-18—Old-Age, Survivors, Disability Insurance Program—Basic Computation of Benefits and Lump Sums, 20 CFR Part 404, Subpart C.	A. *Description:* These proposed regulations will contain the rules on computations of primary insurance amounts (PIA) under the old-age, survivors, and disability insurance programs. (An individual's PIA is the basic tool we use to find the amount of the individual's monthly benefit as well as the monthly benefits of his or her family.) B. *Why Significant:* These proposed regulations will simplify the complex provisions for computing benefits. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* Sec. 215 of the Social Security Act; 42 U.S.C. 415. F. *Chronology:* A Notice of Decision to Regulate was published on March 6, 1979 (44 FR 12205).	Jack Schanberger, (301) 594-6785, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235.	Proposed Rule January-March 1980.
SSA-19—Old-Age Survivors, Disability Insurance Program—Reduction of Benefits to Maximum, 20 CFR Part 404, Subpart E.	A. *Description:* These final regulations will provide a formula for determining the maximum monthly benefit that a family can recieve. B. *Why Significant:* These regulations will explain how the maximum benefits payable to a family will be computed from prescribed percentages of the primary insurance amount. C. *Regulatory Analysis:* Not required. D. *Need:* The final regulations are needed to complement regulations on "New Methods for Computing Benefit Amounts." E. *Legal Basis:* Social Security Amendments of 1977 (Pub. L. 95-216), 42 U.S.C. 403, 405. F. *Chronology:* A Notice of Decision to Regulate was published on March 23, 1978 (43 FR 12033). A Notice of Proposed Rulemaking was published on December 29, 1978 (43 FR 60956). The comment period ended February 27, 1979.	Jack Schanberger (301) 594-6785, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235	Final Rule October-December 1979
SSA-20—Old-Age, Survivors, Disability Insurance Program—The Retirement Test, 20 CFR Part 404, Subpart E	A. *Description:* These final regulations implement a statutory provision which permits payment of monthly benefits because of low earnings in a month only at the time of initial retirement. Thereafter, the right to payments depends on earnings in a year. B. *Why Significant:* The statutory provision represents a radical change in the retirement test and the law lacks the specificity for implementation. C. Regulatory Analysis: Not required. D. *Need:* The law does not provide specificity for implementation of this provision. E. *Legal Basis:* Sections 203 and 1102 of the Social Security Act as amended; 42 U.S.C. 403 and 1302; Pub. L. 95-216. F. *Chronology:* A Notice of Decision to Regulate was published on August 15, 1978 (43 FR 36110). Interim regulations were published on November 17, 1978 (43 FR 53713). The comment period ended on January 16, 1979.	Clara Powell (301) 594-7459, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235	Final Rule
SSA-21—Old-Age, Survivors, Disability Insurance Program—Deductions, Reduction, and Nonpayment of Benefits, 20 CFR Part 404, Subpart E	A. *Description:* This proposal is a recodification of the rules for making deductions from benefits, reducing benefits, and for nonpayment of benefits in the old-age, survivors, and disability insurance programs. B. *Why Significant:* The recodified regulations will be easier for the public to use and will update amendment material not contained in current regulations. C. *Regulatory Analysis:* Not required. D. *Need:* We propose to remove seldom used provisions, obsolete examples, and long, rambling paragraphs. The rules are rewritten in simpler terms under HEW's "Operation Common Sense."	Marval Cazer, (301) 594-7453, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235.	Proposed Rule April-June 1980.

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Title	Summary	Contact	Decision quarter
	E. *Legal Basis:* 42 U.S.C. 405 and 1302; Sections 203, 205, and 224 of the Social Security Act. F. *Chronology:* A Notice of Decision to Regulate was published on July 11, 1979 (44 FR 40531).		
SSA-21-A—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Expenments to Improve the Hearing Process By Having the Social Security Administrabon Represented at the Hearing, 20 CFR Part 404 Subpart J and Part 416 Subpart N.	A. *Description:* The proposed regulations will permit an experiment to be conducted in four hearing offices in which an SSA representative will be a party to an Administrative Law Judge hearing. Under this experiment, the representative will be responsible for preparing the case for the hearing, where the claimant is represented, and also for defending the prior decision at the hearing. B. *Why Significant:* SSA representation at the ALJ hearing is one of the changes we are considering to improve the process for making disability decisions. The ALJ, by relinquishing many of his or her present duties to the SSA representative (e.g., obtaining additional evidence), will be able to concentrate on the decision-making role. We also believe this change may reduce the time for holding hearings and reduce the cost of the hearing process. C. *Regulatory Analysis:* Not required. D. *Need:* We need the expenment to test whether the SSA representative concept will improve this part of the disability decision-making process. The administrative decision to implement this expenment was made by the Commissioner of Social Security on April 11, 1979. E. *Legal Basis:* 42 U.S.C. 405(A) and 1383. F. *Chronology:* None.	Charles Campbell, (301) 594-7453, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Proposed Rule October-December 1979.
SSA-22—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Limitation for Holding Hearings, Issuing Hearing Decisions and Issuing Appeals Decisions, 20 CFR Part 404 Subpart J and Part 416 Subpart N.	A. *Description:* These proposed regulations will provide time frames for the holding of hearings, issuance of hearing decisions and Appeals Council reviews for all Title II and Title XVI disability cases. Good cause exceptions which generally benefit claimants are also described. B. *Why Significant:* This regulation provides regulatory assurance to claimants that appeals will be heard promptly and decisions issued promptly C. *Regulatory Analysis:* Not required. D. *Need:* These proposed regulations are needed because, over the last several years, Congress, the Courts, representatives of individuals in social security matters, and the general public have expressed concern over delays in holding hearings, issuing hearing decisions and the reviews of these decisions. In addition, the Court of Appeals in *Blankenship v. Califano* ordered the Secretary to prepare and submit regulations for the Court's approval to remedy the problem of unreasonable delays in conducting hearings for the OASDI and SSI programs. E. *Legal Basis:* 42 U.S.C. 405, 1302, 1320(c)(8), 1383, 1395ff, and 1395(ii). F. *Chronology:* None.	Phil Berge, (301) 594-7452, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Proposed Rule Pending court approval.
SSA-23—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Procedures, Payment of Benefits; Determinations, Reconsiderations, Hearings and Appeals, 20 CFR Part 404, Subparts J, R, and S, and Part 416, Subparts N and O.	A. *Description:* These final regulations will explain the administrative review process and procedures relating to claimant representation. B. *Why Significant:* These regulations explain people's procedural rights in dealings with the Social Security Administration. This revision makes the rules clearer and easier to understand. C. *Regulatory Analysis:* Not required. D. Need: These regulations are being rewritten under "Operation Common Sense." E. *Legal Basis:* 42 U.S.C. 405, 406, 1302, and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on October 24, 1978 (43 FR 49545). A Notice of Proposed Rule Making was published on April 4, 1979 (44 FR 20176). The comment period ended June 4, 1979.	Cliff Terry, (301) 594-7519, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Final Rule April-June 1980.
SSA-24—Old-Age, Survivors, Disability Insurance Program—Employment, Wages, Self-Employment, SEI, 20 CFR Part 404, Subpart K.	A. *Description:* These final regulations will, in simpler terms define the types of work that are included or excluded for social security purposes. B. *Why Significant:* These final regulations simplify the language of existing regulations making them easier to understand. Outdated material is eliminated. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten under "Operation Common Sense" to make them simpler and easier to use. E. *Legal Basis:* 42 U.S.C. 405, 409, 410, 411, 429, 430, 431 and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on October 24, 1978 (43 FR 49545); A Notice of Proposed Rule Making was published on July 16, 1979 (44 FR 41222), the comment period closed on September 14, 1979.	David Smith, (301) 594-7336, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Final Rule January-March 1980.
SSA-25—Old-Age, Survivors, Disability Insurance Program—Coverage of Employees of State and Local Governments, 20 CFR Part 404, Subpart M.	A. *Description:* These proposed regulations will expand the current rules on including employees of State and local governments and interstate instrumentalities in the social security program. B. *Why Significant:* These proposed regulations will reflect the policies States must follow in applying for coverage of its employees and those of its local subdivisions, how to terminate its agreements, when it must pay its social security contributions, file wage reports, etc. C. *Regulatory Analysis:* Not required. D. *Need:* The current regulations need to be organized into a logical sequence and to be updated to reflect many policies which all parties have been following for many years. We will be reviewing all policies in this area to reduce recordkeeping burdens and to assess their import in the trust funds. E. *Legal Basis:* 42 U.S.C. 418.	Armand Esposito, (301) 594-7455, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md. 21235.	Proposed Rule July-September 1980.

Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
	F. *Chronology:* A Notice of Decision to Regulate was published on September 28, 1979 (44 FR 55899).		
SSA-26—Old-Age, Survivors, Disability Insurance Program—Wage Credits for Veterans and Members of the Uniformed Services, 20 CFR Part 404, Subpart N.	A. *Description:* These final regulations will recodify the rules regarding wage credits for veterans and members of the uniformed services. B. *Why Significant:* The policies affect the social security benefits of most servicemen. C. Regulatory Analysis: Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* Secs. 205, 210, 217, 229, and 1102 of the Social Security Act, as amended; 42 U.S.C. 405, 410, 417, 429, and 1302. F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 18237). A Notice of Proposed Rule Making was published on September 28, 1979 (44 FR 55899). The comment period ends on November 27, 1979.	Vera Schlosser, (301) 594-7332, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235	Final Rule January-March 1980.
SSA-27—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Disability, 20 CFR Part 404, Subpart P and Part 416, Subpart I.	A. *Description:* These final regulations will include the rules for determining disability under Title II and determining disability and blindness under Title XVI of the Social Security Act. B. *Why Significant:* The final regulations are significant because they state the disability rules in a clear and useful manner. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" Standards. E. *Legal Basis:* 42 U.S.C. 405, 433, 1302, 1382c and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on October 24, 1978 (43 FR 49545) and a Notice of Proposed Rule Making was published on July 3, 1979 (44 FR 38879). The comment period ended on September 4, 1979.	William Ziegler, (301) 549-7415, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Md 21235.	Final Rule April-June 1980.
SSA-28—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Determining SGA: Earnings Guidelines for Years Beginning 1980, 20 CFR Part 404 Subpart P and Part 416 Subpart I.	A. *Description:* Under the law, a person who is able to do substantial gainful activity is not disabled for payment purposes. These interim regulations will specify the monthly earnings amounts that are used as guidelines to determine whether a person has done Substantial Gainful Activity B. *Why Significant:* The increased guideline amounts reflect the general rise in earnings level of workers in the national economy. C. *Regulatory Analysis:* Not required. D. *Need:* Revised guidelines are needed for 1980 and the regulations should be in place by calendar year 1980. E. *Legal Basis:* 42 U.S.C. 405, 423, 1302, 1382c and 1383. F. *Chronology:* None.	David Smith, (301) 594-7336, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Interim Rule January-March 1980.
SSA-29—Old-Age, Survivors, Disability Insurance and Supplemental Security Income Programs—Representative Payee, 20 CFR Part 404 Subpart Q and Part 416 Subpart F.	A. *Description:* The proposed regulations will state the rules used in determining when a beneficiary needs a representative payee, how a representative payee is selected, and how we assure that the representative payee uses payments in the best interest of the beneficiary. B. *Why Significant:* The proposed regulations will be simpler and easier for the public to understand. The guidelines for the use of representative payees are important for members of the public to know. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 405, 1302, 1383. F. *Chronology:* A Notice of Decision to Regulate was published on June 19, 1979 (44 FR 35241).	Ken Dyer, (301) 594-7454, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule April-June 1980.
SSA-30—Supplemental Security Income Program—Eligibility, 20 CFR Part 416, Subpart B.	A. *Description:* These proposed regulations will state requirements for individuals to be eligible for SSI benefits. B. *Why Significant:* The proposed regulations simplify the language of existing regulations. Also, they expand the definition of a resident of an institution to agree with that in operating procedures. C. *Regulatory Analysis:* None. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 USC 1302, 1381a, 1382, 1382c, 1383 and 1383b. F. *Chronology:* A Notice of Decision to Regulate was published March 27, 1979 (44 FR 18237).	Rita Hauth, (301) 594-7112, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule January-March 1980.
SSA-31—Supplemental Security Income Program—Eligibility Redeterminations, 20 CFR Part 416 Subpart B	A. *Description:* These interim regulations will provide that eligibility redeterminations will be scheduled at various intervals depending on the individual situations; i.e., the likelihood of change in circumstances. B. *Why Significant:* The interim regulations will reduce costs by cutting down on frequency of redeterminations of individuals who are in situations that rarely change. C. *Regulatory Analysis:* None. D. *Need:* Rules are needed to conduct redeterminations less frequently than at 12 month intervals. E. *Legal Basis:* 42 U.S.C. 1302, 1381a, 1382 and 1383. F. *Chronology:* None.	Rita Hauth, (301) 594-7112, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Interim Rule October-December 1979.

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Office of Human Development Services—Continued

Title	Summary	Contact	Decision quarter
SSA-32—Supplemental Security Income Program—Filing of Applications, 20 CFR Part 416, Subpart C.	A. *Description:* These proposed regulations will include rules on filing applications for supplemental security income. They will describe the requirements for filing, who may file, how to file, and when. B. *Why Significant:* The proposed regulations will be simpler and easier for members of the public to understand. Information as to what and how to file an application and its effects is important for SSI claimants to have. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1382(c) and 1383(e). F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 18237).	Ken Dyer, (301) 594-7454, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule October-December 1979.
SSA-33—Supplemental Security Income Program—Amount of Benefits, 20 CFR Part 416, Subpart D.	A. *Description:* This proposed recodification under Operation Common Sense revises and reorganizes rules on how the Social Security Administration figures amounts of monthly benefits payable to eligible individuals and eligible couples under the Supplemental Security Income (SSI) program. B. *Why Significant:* This recodification will clarify the rules and make them easier to understand. No policy change is involved. C. *Regulatory Analysis:* Not required. D. *Need:* Social Security Administration wants to provide the public with clearer regulations. E. *Legal Basis:* Secs. 1611 and 1612, secs. 210 and 211, Pub. L. 93-66, as amended, 88 Stat. 1466-1469, 87 Stat. 154, 42 U.S.C. 1382 and 1382a. F. *Chronology:* A Notice of Decision to Regulate was published on July 11, 1979 (44 FR 40531).	Virginia Kohan, (301) 594-8629, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule April-June 1980.
SSA-34—Supplemental Security Income Program—Payment of Benefits, Overpayment, Underpayment, Recovery of Overpayment, 20 CFR Part 416, Subpart E.	A. *Description:* These proposed regulations will make clear that current tests are alternative tests for eligible individuals, but they are not alternative tests for ineligible individuals. B. *Why Significant:* The proposed regulations clarify how we decide whether adjustment or recovery of an overpayment would defeat the purpose of the Supplemental Security Income program. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are needed to clarify the current tests for recovery of overpayment. E. *Legal Basis:* Sec. 1102 and 1631(b) of the Social Security Act as amended; 42 U.S.C. 1302 and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 18238).	Marval Cazer, (301) 594-7463, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule October-December 1979.
SSA-35—Supplemental Security Income Program—Reports Required 20 CFR Part 416, Subpart G.	A. *Description:* This proposed recodification under Operation Common Sense revises and reorganizes rules on reports required from each applicant, eligible individual, eligible spouse, and eligible child under the Supplemental Security Income program. The rules cover provisions regarding reports required and explain the penalties for failures to report on time. B. *Why Significant:* This recodification will clarify the rules and make them easier to understand. No policy change is involved. C. *Regulatory Analysis:* Not required. D. *Need:* Social Security Administration wants to provide the public with clearer regulations. E. *Legal Basis:* Secs. 1102, 1611, 1612, 1613, 1614, and 1631 of the Social Security Act, as amended; Sec. 211 of Pub. L. 93-66; 49 Stat. 647, as amended; 86 Stat. 1466, 1468, 1470, 1471, and 1475; 87 Stat. 154; 42 U.S.C. 1302, 1382, 1382a, 1382b, 1382c, and 1383. F. *Chronology:* Notice of Decision to Regulate was published on July 11, 1979 (44 FR 40531).	Virginia Kohan, (301) 594-8629, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule January-March 1980.
SSA-36—Supplemental Security Income Program—Family Relationships 20 CFR Part 416, Subpart J.	A. *Description:* These proposed regulations will define spouse, child, and parents for SSI purposes. B. *Why Significant:* The regulations are significant because determinations on family relationship questions must be made in order to know; (1) what limits on income and resources to use in order to determine eligibility; (2) what income to count in order to determine the benefit amount; and (3) what benefit amount applies. This revision makes the rules clearer and easier to read. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1302, 1382c, and 1383.	Cliff Terry, (301) 594-7519, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule October-December 1979.

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Title	Summary	Contact	Decision quarter
	F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 18237).		
SSA-37—Supplemental Security Income Program—Program Income 20 CFR Part 416, Subpart K.	A. *Description:* These final regulations will explain how we consider income under the supplemental security income program how we define it and how we count the amount of individual benefits. B. *Why Significant:* The regulations will simplify and reorganize the rules for clarity and more logical sequence. Existing regulations have been amended to the extent that they are difficult to understand. C. *Regulatory Analysis:* None. D. *Need:* We need to provide the public with clearer regulations and meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1302, 1382, 1382a, 1382b, 1382e and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on October 24, 1978 (43 FR 49545). A Notice of Proposed Rule Making was published on February 1, 1979 (44 FR 41054). The comment period ended April 2, 1979.	Rita Hauth, (301) 594-7112, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Final Rule January-March 1980.
SSA-38—Supplemental Security Income Program—Resources, 20 CFR Part 416, Subpart L.	A. *Description:* These proposed regulations will describe what we count as resources in determining eligibility for supplemental security income. B. *Why Significant:* The purpose of these recodified regulations is to make the rules clearer and easier for the public to understand. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1302, 1382, 1382b, 1382c, and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on March 27, 1979 (44 FR 12837).	Henry Lerner, (301) 594-7414, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235	Proposed Rule April-June 1980.
SSA-39—Supplemental Security Income Program—Reductions, Suspensions, and Terminations, 20 CFR Part 416, Subpart M.	A. *Description:* These proposed regulations will contain the rules for reducing, suspending and terminating an SSI recipient's benefits. They are being rewritten to provide greater clarity to the reader and to consider policy additions, revisions, and clarification. B. *Why Significant:* The rules will be clearer and easier for the public to read. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1302, 1382, 1382c, 1382d, and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on June 19, 1979 (44 FR 35241).	Charles Campbell, (301) 594-7453, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule April-June 1980
SSA-40—Supplemental Security Income Program—Referrals of Persons Eligible for Supplemental Security Income to Other Agencies, 20 CFR Part 416, Subpart Q.	A. *Description:* The proposed regulations deal with the referral of persons eligible for supplemental security income to other agencies for treatment as services. B. *Why Significant:* The recodification of the regulations will make them simpler and easier to use. Referrals for treatment or services are important for disability claimants under the Supplemental Security Income program to know about. C. *Regulatory Analysis:* Not required. D. *Need:* These regulations are being rewritten to meet the Department's "Operation Common Sense" standards. E. *Legal Basis:* 42 U.S.C. 1382(e)(3)(A) and 1382d. F. *Chronology:* A Notice of Decision to Regulate was published on June 19, 1979 (44 FR 35241).	Ken Dyer, (301) 594-7454, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule January-March 1980.
SSA-41—Supplemental Security Income Program—Interim Assistance Provisions, 20 CFR Part 4316, Subpart S.	A. *Description:* This proposed recodification under Operation Common Sense revises and reorganizes rules on interim assistance provisions under the Supplemental Security Income program. The rules permit the Social Security Administration to enter into an agreement with a State to repay the State for interim assistance it gives an individual while an application for SSI is pending. B. *Why Significant:* This recodification will clarify the rules and make them easier to understand. The rules permit SSA to withhold an individual's SSI benefit payment and send it to the State as repayment for interim assistance, upon the individual's written authorization. A policy change will allow the authorization to go into effect upon notice to SSA of receipt by the State. C. *Regulatory Analysis:* Not required. D. *Need:* Social Security Administration wants to provide the public with clearer regulations and to update policy to take advantage of modern electronic communications facilities. E. *Legal Basis:* Secs. 1102 and 1631 of the Social Security Act as amended; 49 Stat. 647 as amended; 86 Stat. 1475 as amended, 42 U.S.C. 1302 and 1383. F. *Chronology:* A Notice of Decision to Regulate was published on July 11, 1979 (44 FR 40531).	Virginia Kohan, (301) 594-6629, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235	Proposed Rule January-March 1980.
SSA-42—Supplemental Security Income Program—Pass Along Benefit Increase With Limitation for Hold-Harmless States, 20 CFR Part 416, Subpart T.	A. *Description:* These final regulations will implement provisions of section 1618 of the Social Security Act by interpreting the statute to include those beneficiaries who receive only State supplementation and to provide guidelines for related State agreements. B. *Why Significant:* The regulations will interpret the law and provide a basis for implementation. They will define State supplementary payments and make it clear that State Supplementary only cases are included in the pass-along requirement. C. *Regulatory Analysis:* Not required. D. *Need:* The law is not specific enough to be entirely self-effectuating. E. *Legal Basis:* Secs. 1102, 1601, 1618, and 1631(d) of the Social Security Act as amended; 42 U.S.C. 1302, 1381, 1382e, 1382g, 1383(d)(1); sec. 401 of Pub. L. 92-603 as amended by sec. 504 of Pub. L. 94-566; and sec. 2 of Pub. L. 94-585. F. *Chronology:* A notice of Proposed Rule Making was published on March 27, 1979 (44 FR 18238). The comment period ended May 29, 1979	Clara Powell, (301) 594-6629, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Final Rule January-March 1980.

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Title	Summary	Contact	Decision quarter
SSA-43—Supplemental Security Income Program—Medicaid Eligibility Determinations, 20 CFR Part 416, Subpart U.	A. *Description:* The proposed regulations will give the rules under which Social Security Administration agrees to make determinations of Medicaid eligibility for SSI beneficiaries on behalf of States and to give States other assistance in Medcaid program administration. B. *Why Significant:* The agreements avoid duplication of effort between State and Federal governments and simplify the Medicaid application process for applicants. This revision makes the rules clearer and easier to read. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are being rewritten under "Operation Common Sense" to make the rules clearer and easier to use. E. *Legal Basis:* 42 U.S.C. 1302, 1383, 1383c and 4222. F. *Chronology:* A Notice of Decision to Regulate was published on June 19, 1979 (44 FR 35241).	Cliff Terry, (301) 594-7519, Legal Assistant, Office of Regulations, 6401 Security Blvd., Baltimore, Maryland 21235.	Proposed Rule January-March 1980.
OCR-1—Equal Employment Opportunity in Public Broadcasting: Regulations.	A. *Description:* This regulation will require that equal opportunity in employment be afforded to all persons by all public tele-communications entities receiving funds from the Corporation for Public Broadcasting, that the corporation satisfy itself that applicants for grants or contracts are affording equal opportunity in employment and to monitor the equal employment opportunity practices of recipients in order to eliminate discrimination in employment by recipients on the grounds of race, color, religion, national origin, or sex. B. *Why Significant:* Substantial public interest is anticipated given that all public telecommunications entities that receive Federal funds from the Corporation for Public Broadcasting will be subject to this regulation and many entities will be required to implement affirmative action programs. C. *Regulatory Analysis:* Not required. D. *Need:* The Public Telecommunications Financing Act of 1978 requires HEW to promulgate regulations to carry out the requirements of the Act. E. *Legal Basis:* Section 398, Communications Act of 1934, 47 U.S.C. 398, as amended by the Public Telecommunications Financing Act of 1978. F. *Chronology:* Notice of Intent to Develop regulations March 13, 1979, 44 FR 14582.	Wendy Pallen, Policy Attorney, OCR—HEW/OSPR, Wash., D.C. 20201, 202-472-3220.	NPRM: 1st Quarter FY 80. Final Rulemaking: 3rd Quarter FY 80.
OCR-2—Health, Welfare & Social Service Programs. Provisions of Services to Limited English Speaking persons.	A. *Description:* This Regulation will require agencies receiving HEW funds to develop capacity to provide services to Limited English Speaking persons in order to eliminate discrimination against persons due to their national origin and limited English Speaking ability. B. *Why Significant:* Substantial public interest is anticipated given that all health, welfare and social service recipients will be subject to this regulation and special requirements will be imposed on recipients serving a substantial number of limited English Speaking beneficianes. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* OCR believes that the denial of services to limited English Speaking persons constitutes a violation of Title VI of the Civil Rights Act of 1964. Therefore, regulation is necessary to delineate recipients responsibilities in the delivery of services to limited English Speaking persons. E. *Legal Basis:* Sec. 601, Civil Rights Act of 1964; 78 Stat. 252; 42 U.S.C. 2000d. F. *Chronology:* None.	Ellen Miyasato, Attorney OCR, Wash., D.C. 2201, 202-472-3220.	NPRM Last Quarter 1980.
OCR-3—Access to Educational Programs for National Origin Minority Children with a Primary or Home Language other than English.	A. *Description:* The purpose of this regulation is to ensure that: (1) Students will not be excluded from participation in, be denied the benefits of, or be subjected to discrimination in education programs because they have a primary or home language other than English; and (2) that limited ability to speak, understand, read or write English will not bar equal and effective participation in Federally assisted education programs. B. *Why Significant:* Substantial public interest is anticipated because the regulation will require transitional bilingual education for certain students in K-8, and English as a second language for all children of limited English proficiency. C. *Regulatory Analysis:* Decision pending on completion of preliminary study. D. *Need:* Regulations are necessary to clarify Title VI of the Civil Rights Act by clearly stating what initially constitutes a Title VI Violation, and specifying what districts must do to correct violations in regard to access to educational programs for national origin minority children with a primary or home language other than English E. *Legal Basis:* Section 601 of Title VI of the Civil Rights Act of 1964; 78 Stat. 252; 42 U.S.C. 2000d F. *Chronology:* None	Dave Leeman, Staff Attorney, Office of General Counsel, Civil Rights, Wash., D.C. 20201, 202-245-7736.	NPRM: 1st Quarter FY 80.
ASE-1—Strengthening State Educational Agency Management (ESEA, Title V, Part B) (Final)	A *Description:* The regulations govern a grant program to strengthen the leadership and management roles of SEAs B *Why Significant:* Continues program begun in 1965 to help strengthen leadership resources of SEAs C *Regulatory Analysis:* Not required D *Need:* Amendments to law are stated in general terms, implementing requirements are needed E *Legal Authority:* Title V, Part B, Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F *Chronology:* NPRM published May 14, 1979. Comment period closed July 13, 1979	David G. Phillips, Division of State Educational Assistance Programs, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2495	Final regulations December 14, 1979.
ASE-2—Educational Improvements Resources, and Support (Final)	A *Description:* The regulations establish requirements for State administration of programs for (1) acquisition of instructional materials and school library resources (2) improvement in local educational practices, and (3) guidance, counseling, and testing B *Why significant:* These programs touch every school district in the nation and also provide benefits to private schools. C *Regulatory Analysis:* Not required D *Need:* Amendments to the law set general policy: major provisions need regulations E *Legal Authority:* Title IV of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561) F *Chronology:* NPRMM published May 14, 1979. Comment period closed July 13, 1979	Louise V. Sutherland, School Media Resources Branch, Bureau of Elementary and Secondary Education, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2488	Final regulations December 31, 1979

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
ASE-3—Title I, ESEA—Migrant Education Program, (Final).	A. *Description:* The regulations establish State and local advisory councils, adjust summer count of children, coordinate migrant education activities, re-order priority of services for currently pre-migratory children, establish a review procedure for State application standards, and establish circumstances under which the Commissioner will by-pass or reallocate a State's funds. B. *Why Significant:* Considerable public interest because of new requirements for applicants C. *Regulatory Analysis:* Not required. D. *Need:* Statue specifically requires regulations E. *Legal Authority:* Subpart 1, Part B of title I of the Elementary and Secondary Education Act of 1975, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published May 14, 1979. Comment period closed July 13, 1979.	John D. Ridgway, Education Program Specialist, U.S. Office of Education (Room 2031, FOB-6), 400 Maryland Ave., S.W., Washington, D.C. 20202, (202) 245-2222.	Final regulations December 21, 1979.
ASE-4—Biomedical Sciences Program (Final).	A. *Description:* The regulations implement a program to assist certain young people in preparing for and pursuing studies leading to one of the biomedical professions. B. *Why significant:* This is the first OE program to fund projects that encourage talented, disadvanaged secondary students to prepare for careers in the biomedical sciences. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing provisions are needed. E. *Legal Authority:* Part L of title III of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 25, 1979. Comment period closed August 24, 1979.	Melvin Engelhart, U.S. Office of Education (Room 3012, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-8407.	Final regulations December 21, 1979.
ASE-5—Safe Schools Program (Amendments to NPRM).	A. *Description:* The regulations would establish criteria for selection of 15 LEAs for funding. B. *Why Significant:* Would assist States in helping those areas with the highest concentration of crimes in schools. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement statutory requirements of the Education Amendements of 1978. E. *Legal Authority:* Part I of Title IX of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 7, 1979.	Robert L. Thomas, Education Program Specialist, U.S. Office of Education (Room 3010, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2605.	Amendments to NPRM November 26, 1979. To be incorporated into final regulations May 25, 1980.
ASE-6—Safe Schools Program (Final)	A. *Description:* The regulations establish crime in schools. B. *Why Significant:* Interest in reducing crime in schools. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement the statute. E. *Legal Authority: Part D of Title IX of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561).* F. *Chronology:* NPRM published June 7, 1979. Comment period closed August 6, 1979.	Robert L. Thomas, Education Program Specialist, U.S. Office of Education (Room 3010, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2605.	Final regulations May 25, 1980
ASE-7—Health Education Program (Final)	A. *Description:* The regulations govern the awarding of grants designed to establish an support, at State and local levels, programs of health education in elementary and secondary schools. B. *Why Significant:* Increased national awareness of need for health education in schools. This is the first OE program of this nature. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing requirements are needed for this new program. E. *Legal Authority:* Part I of Title III of the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 13, 1979. Comment period closed August 13, 1979.	Simon McNeely, Senior Program Coordination Officer/ BESE/ SLEP, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-8407.	Final regulations December 20, 1979
ASE-8—Follow Through (NPRM)	A. *Description:* The regulations establish criteria for second generation of Follow Through projects and sponsors. B. *Why Significant:* Policy change from demonstration to service program. C. *Regulatory Analysis:* Not required. D. *Need:* The agency is considering a major change in policy and is requesting public comment on the proposal. E. *Legal Authority:* Title V of the Economic Opportunity Act of 1964, as amended in 1978 by (Pub. L 95-568). F. *Chronology:* Decision to Develop Regulations published Jan. 11, 1979.	Susan Green, Program Coordinator, Division of Follow Through, U.S. Office of Education, 400 Maryland Avenue, S.W., Rm. 3624, ROB-3, Washington, D.C. 20202, (202) 245-2501.	NPRM January 21, 1980.
ASE-9—Population Education Program (Final).	A. *Description:* The regulations state provisions for agencies participating in a program that assists the development of population education in elementary and secondary schools. B. *Why Significant:* Reflects national awareness of the potential impact of demographic conditions and changes on the national economy, and on social, political and cultural development. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing requirements are needed for this new program. E. *Legal Authority:* Part M of Title III of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published May 10, 1979. Comment period closed July 9, 1979.	Dr. Ernest A. Crider, Parent/ Early Childhood and Special Programs Staff, BSI , U.S. Office of Education, Room 2083, FOB-6, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-8118.	Final regulations Dec. 17, 1979.
ASE-10—Preschool Partnership Program (Final).	A. *Description:* The regulations state provisions—for participation in a program to assist the development of pilot projects for families fo pre-school children. B. *Why Significant:* Reflects national awareness of importance of role of parental involvement prior to children's formal schooling.	Dr. Ernest A. Crider, Parent/ Early Childhood and Special Programs Staff, BSI, U.S. Office of Education, Room 2883, 400 Maryland Avenue,	Final regulations December 19, 1979.

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Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms, implementing requirements are needed for this new program. E. *Legal Authority:* Part D, Sec. 325, of Title III of the Elementary and Secondary Education Act 1965, as amended by the education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 7, 1979. Comment period closed August 6, 1979.	S.W., Washington, D.C. 20202, (202) 245-8118.	
ASE-11—Title I, ESEA, Awarding of Special Grants to LEAs (Final).	A. *Description:* The regulations govern the awarding of special grants to LEAs in counties with especially high concentrations of children from low-income families. B. *Why Significant:* Provide methods for the allocation of remaining title I grant funds after all eligible counties in a State have received funds according to a statutory formula. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement statutory provision for this new type of grant. E. *Legal Authority:* Sec. 117 of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 14, 1979. Comment period closed August 13, 1979.	Carolyn Horner, Division of Education for the Disadvantaged, U.S. Office of Education, (Room 3642, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2638.	Final regulations January 11, 1980.
ASE-12—Education Division General Provision Regulations (Final).	A. *Description:* The regulations consolidate fiscal and administrative requirements for Education Division direct grant and State-administered programs. B. *Why Significant:* All Education Division fiscal and administrative requirements are combined in one document. C. *Regulatory Analysis:* Not Completed. D. *Need:* Regulations are needed to assist eligible parties in applying for grants and administering projects. E. *Legal Basis:* Sec. 408(a)(1) of Pub. L. 90-247, as amended, 88 Stat. 559, 560 (20 U.S.C. 1221e-3(a)(1). F. *Chronology:* NPRM published May 4, 1979. Comment period closed July 3, 1979.	A. Neal Shedd, Director, Division of Regulations Management, U.S. Office of Education (Room 2129, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-7091	Final regulations December 19, 1979.
ASE-13—Bilingual Education Programs (Final)	A. *Description:* The regulations establish standards and procedures for eligibility requirements, definitions, program requirements, evaluation procedures, and use of funds. B. *Why Significant:* Significant public interest because of new policy of Agency to serve children on basis of need rather than percentage of enrollment. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations needed to implement statutory amendments and changes in Agency policy. E. *Legal Basis:* Title VII of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 29, 1979. Comment period closed August 28, 1979.	Ms. Barbara J. Wells, Office of Education (Room 421, Reporters Bldg.), 400 Maryland Ave., S.W., Washington, D.C. 20202, (202) 447-9273.	Final regulations December 31, 1979.
ASE-14—Environmental Education Program (Final).	A. *Description:* The regulations simplify previous regulations governing grants for environmental education projects. B. *Why Significant:* Technical amendments to regulations provide (1) support for multi-year projects and (2) specific and weighted selection criteria. C. *Regulatory Analysis:* Not required. D. *Need:* Statutory amendments provides general policy; implementing requirements are needed. E. *Legal Authority:* Pub. L. 91-516, as amended by Pub. L. 93-278 and Title III of the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published March 3, 1979. Comment period closed May 2, 1979.	Sylvia Wright, Program Officer, Office of Environmental Education, U.S. Office of Education (Room 2025, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-9231	Final regulations December 13, 1979.
ASE-15—Indochina Refugee Children Assistance Program (Final)	A. *Description:* These regulations specify requirements for participation in a program that assists SEAs in providing educational services for Indochinese refugee children. B. *Why Significant:* Standards will be established for determining actual expense incurred by grantees in implementing the program. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement statutory amendments and provide guidance for SEA program administration. E. *Legal Authority:* Title II of Pub. L. 94-405, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 25, 1979. Comment period closed August 24, 1979.	James H. Lockhart, Director, Indochinese Refugee Task Force, U.S. Office of Education (Room 2189, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-3081	Final regulations December 28, 1979.
ASE-16—Title I, ESEA—Financial Assistance to LEAs and SEAs to meet special educational needs (Final)	A. *Description:* The regulations govern programs providing financial assistance to: (a) Local educational agencies for projects to meet the special educational needs of educationally deprived children in low-income areas, (b) State agencies for projects to meet the special educational needs of handicapped, neglected or delinquent children, and (c) State educational agencies to meet the special educational needs of migratory children. B. *Why Significant:* The program has great national interest. It is the highest-funded program of OE for special educational needs of children. C. *Regulatory Analysis:* Not completed. D. *Need:* To implement changes resulting from the Education Amendments of 1978 (Pub. L. 95-561). E. *Legal Authority:* Title I of the Elementary and Secondary Education Act of 1978, amended by (Pub. L. 95-561). F. *Chronology:* NPRM published June 29, 1979. Comment period closed August 29, 1979.	Dr. John Staehle, U.S. Office of Education (Room 3642, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2720	Final regulations March 31, 1980.
ASE-17—Correction Education Demonstration Program (Final)	A. *Description:* The regulations establish provisions, including selection criteria, for applicants under the Act. B. *Why Significant:* This program has national interest. It is OE's only demonstration program for correction education. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are required to implement this new program.	James Spillane, U.S. Office of Education (Room 2045, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-7292.	Final regulations December 26, 1979

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	E. *Legal Authority:* Correction Education Demonstration Project Act of 1978, Title III, Secs. 371-374 of Part J of the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 7, 1979. Comment period over August 6, 1979.		
ASE-18—Administration of Education Programs and Duties of the State Educational Agency (ESEA, Title V, Part A) (Final).	A. *Description:* The regulations govern the program for consolidated administration of Titles I and IV of the Elementary and Secondary Education Act of 1965, as amended. B. *Why Significant:* Consolidates administrative funds of two programs. It offers the potential of consolidating funds of many programs. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing requirements are needed. E. *Legal Authority:* Title V, Part A, Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published May 14, 1979. Comment period closed July 13, 1979.	David G. Phillips, Division of State Educational Assistance Programs, U.S. Office of Education, 400 Maryland Avenue SW., Washington, D.C. 20202, (202) 245-2495.	Final regulations December 14, 1979.
ASE-19—Adult Education Program (final).....	A. *Description:* The regulations expand the current delivery system of adult education and broaden the outreach of the program. B. *Why Significant:* Two million adults affected by the State-administered program. In addition, discretionary programs provide $2.5 million each for the adult Indochinese and immigrant programs. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to provide uniform interpretation and implementation of the law. E. *Legal Authority:* Adult Education Act (Pub. L. 91-230), as amended by Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 6/28/79. Comment period closed on 8/28/79.	Paul V. Delker, Adult Education Program, U.S. Office of Education, 7th and D Streets, S.W., Washington, D.C. 20202, (202) 245-2278.	Final regulations January 28, 1980
ASE-20—Metric Education Program (Final)....	A. *Description:* The regulations establish selection criteria for projects to prepare students, parents, and other adults to use the metric systems. B. *Why Significant:* Technical changes. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to clarify program purpose, objectives, and selection criteria. E. *Legal Authority:* Sec. 403 of Pub. L. 93-380, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 5/16/79. Comment period closed 7/9/79.	Floyd Davis, Metric Education Program, U.S. Office of Education, 831 Riviera Building, 1832 M Street, N.W., Washington, D.C. 20202, (202) 653-5920.	Final regulations December 14, 1979.
ASE-21—Consumers' Education Program (Final).	A. *Description:* The regulations govern the awarding of grants to education institutions and community agencies to provide consumers' education to persons of all ages. B. *Why Significant:* Technical changes. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to clarify standards and establish uniform selection criteria. E. *Legal Authority:* Sec. 811 of Pub. L. 93-380, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 5/16/79. Comment period closed 7/2/79.	Dustin W. Wilson, Jr., Office of Consumers' Education, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 653-5983.	Final regulations December 21, 1979.
ASE-22—Community Education Program (Final).	A. *Description:* The regulations expand the scope and responsibilities of the present Community Education Program. B. *Why Significant:* Substantial public interest. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to clarify the law. E. *Legal Authority:* Sec. 405 of Pub. L. 93-380, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 6/29/79. Comment period closed 8/28/79.	Ron Costaldi, Community Education Program, U.S. Office of Education, 7th and D Streets, S.W., Washington, D.C. 20202, (202) 245-0691.	Final regulations January 15, 1980.
ASE-23—Youth Employment Program (Final)	A. *Description:* Regulations establish provisions for Federal assistance to help prepare children to take their place as working members of society. B. *Why Significant:* Substantial public interest. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to interpret and clarify the law. E. *Legal Authority:* Sec. 627 of the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 6/25/79. Comment period closed 8/24/79.	Ron Tarlian, BOAE, U.S. Office of Education, 7th and D Streets, S.W., Washington, D.C. 20202, (202) 245-9730.	Final regulations December 31, 1979
ASE-24—Vocational Education (NPRM)	A. *Description:* Regulations would allow for more flexibility in the use of funds set aside for the disadvantaged and the handicapped. B. *Why Significant:* All State departments of education are affected in terms of financial status and matching requirements. C. *Regulatory Analysis:* Not required. D. *Need:* Amendments to existing regulations are needed to provide interpretation and implementation of the law. E. *Legal Authority:* Sec. 110, Pub. L. 94-482, as amended by Pub. L. 96-46. F. *Chronology:* Final regulations published October 3, 1977.	LeRoy Cornelson, BOAE, U.S. Office of Education, 7th and D Streets, S.W., Washington, D.C. 20202, (202) 472-3440.	NPRM—December 31, 1979.
ASE-25—Emergency School Aid (Final)	A. *Description:* The regulations clarify status and establish program standards for issuing grant awards. B. *Why Significant:* Substantial public interest. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing instructions are needed. E. *Legal Authority:* The Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 6/29/79. Comment period closed 8/28/79.	George Rhodes, Equal Education Opportunity Program, U.S. Office of Education, (Room 2001, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-7857.	Final regtulations February 4, 1980.
ASE-26—Ethnic Heritage Studies Program (Final).	A. *Description:* The regulations improve the existing critera for eligibility and for selection of applicants for grants. B. *Why Significant:* Technical changes. C. *Regulatory Analysis:* Not required. D. *Need:* Technical changes are needed in the existng regulations to simplify and revise the selection criteria.	Lawrence Koziarz, Acting Director, Ethnic Heritage Studies Branch, BSI, U.S. Office of Education (Room 3928, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2544.	Final regulations December 28, 1979.

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	E. *Legal Authority:* The Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1972, 1974, and 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published 6/22/79. Comment period closed 8/21/79.		
ASE-27—Law School Clinical Experience Program (NPEM).	A. *Description:* The regulations would provide rules for establishing and expanding programs in law schools to provide clinical experience to students in the practice of law. B. *Why Significant:* Currently no regulations exist. The regulations establish policy for the program. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are needed because they contain the criteria and procedures for operating the program. E. *Legal Authority:* Title XI of the Higher Education Act of 1965, as amended by Pub. L. 90-575, 92-318, and the Education Amendments of 1976 (Pub. L. 94-482). F. *Chronology:* None.	Donald Bigelow, Bureau of Higher and Continuing Education, U.S. Office of Education (Room 3060, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2347.	NPRM—December 14, 1979.
ASE-28—Modern Foreign Language and Area Studies (Final).	A. *Description:* The regulations permit the Office of Education to award stipends to students undergoing training ins summer intensive language programs. B. *Why Significant:* Technical amendment. C. *Regulatory Analysis:* Not required. D. *Need:* Need for amendments to present regulations. Funding authority for summer fellowships is contained in FY 1980 budget period. Present regulations restrict awards to academic year. E. *Legal Authority:* Title VI of the National Defense Education Act of 1958 (Pub. L. 85-864), as amended by the Education Amendments of 1972 (Pub. L. 92-318). F. *Chronology:* Final regulations published May 23, 1977.	Joseph Bernonte, Chief, Centers and Research Section, Division of International Education, U.S. Office of Education 400, Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2636.	Final regulations December 17, 1979.
ASE-29—Education Appeal Board (Final).....	A. *Description:* The regulations establish an Education Appeal Board to provide impartial administrative procedures for the resolution of adverse monetary audit findings for State-administered programs and to conduct certain other proceedings designed to provide process for States and other recipients. B. *Why Significant:* The Education Appeal Board provides the only Office of Education independent adjudicatory mechanism established by law (Education Amendments of 1978, Sections 451-6 of the General Education Provisions Act) to (1) conduct audit appeals from States and other grantees, (2) conduct withholding, termination, and cease and desist hearings, and (3) conduct any other proceedings designated by the Commissioner as being within the jurisdiction of the Board. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to extend the jurisdiction of the Title I ESEA Audit Hearing Board and implement requirements of the law. E. *Legal Authority:* The Education Amendments of 1978 (Pub. L. 95—561). F. *Chronology:* Interim final regulations published 5/25/79. Comment period closed 7/24/79.	Dr. David Pollen, U.S. Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-7836.	Final regulations December 31, 1979.
ASE-30—National Diffusion Network (Final)...	A. *Description:* The regulations govern the selection of projects and establish criteria for awards. B. *Why Significant:* Expanding eligible projects by extending impact into post-secondary areas. C. *Regulatory Analysis:* Not required. D. *Need:* Law requires program changes. E. *Legal Authority:* The Education Amendments of 1978 (Pub. L. 95—561). F. *Chronology:* NPRM published 6/29/79. Comment period closed 8/30/79.	Dr. Andrew M. Lebby, U.S. Office of Education, (Room 3616, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-9582.	Final regulations December 19, 1979.
ASE-31—Eligibility of Foreign Medical School (Final).	A. *Description:* The regulations establish procedures and criteria for determining whether medical schools located outside the United States and Canada are eligible to apply for participation in the Guaranteed Student Loan Program. B. *Why Significant:* The regulations establish policy for the program. Currently, no regulations exist. C. *Regulatory Analysis:* Not required. D. *Need:* The procedure and criteria are needed to effectively determine the eligibility of foreign medical Schools who apply for participation in the GSLP. E. *Legal Authority:* Higher Education Act of 1965, as amended. F. *Chronology:* NPRM, published April 23, 1979. Comment period closed 6/22/79.	Mr. John R. Proffitt, Director, Division of Eligibility and Agency Evaluation, Bureau of Higher and Continuing Education, U.S. Office of Education (Rm. 3030, ROB-3), 400 Maryland Ave., S.W., Washington, D.C. 20202.	Final regulations March 12, 1980.
ASE-32—Graduate and Professional Opportunities Program Public Service Fellowships Programs, Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships Program (NPRM).	A. *Description:* The regulations would increase the stipend paid to fellows. The regulations would also stipulate the rate of the institutional allowance paid to institutions participating in the Graduate Professional Program. B. *Why Significant:* Technical Changes. C. *Regulatory Analysis:* Not required. D. *Need:* Amendments to existing regulations are needed to permit OE to increase the stipend rate to a level comparable with other fellowship programs. F. *Chronology:* Final regulations for Graduate and Professional Opportunities Program published March 6, 1979; for Public Service Fellowships Program published August 9, 1977; and for Domestic Mining and Mineral and Mineral Fuel Conservation Fellowships Program published August 3, 1977.	Dr. Donald N. Bigelow, Graduate Training Branch, Division of Training and Facilities, Bureau of Higher and Continuing Education, U.S. Office of Education, 400 Maryland Avenue, S.W., Room 3060, ROB-3, Washington, D.C. 20202.	NPRM December 13, 1979.

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
ASE-33—Cooperative Education (Final)	A. *Description:* The regulations permit multi-year funding of demonstration and exploration awards from a single years appropriation. B. *Why Significant:* Technical changes. C. *Regulatory Analysis:* Not required. D. *Need:* Amendments to existing regulations are needed to permit OE to fund large multi-year demonstration grants out of one years appropriation. The current regulations provide for annual grants only. E. *Legal Authority:* Title VIII of the Higher Education Act of 1965, as amended by the Education Amendments of 1976 (Pub. L. 94-482). F. *Chronology:* Final regulations published May 2, 1978.	Dr. John L. Chase, Chief, Cooperative Education Branch, Division of Training and Facilities, Bureau of Higher and Continuing Education, U.S. Office of Education, (Room 3053, ROB-3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2146.	Final regulations December 19, 1979.
ASE-34—Basic Skills and Educational Proficiency Programs (Final).	A. *Description:* The regulations implement statutory amendments expanding the National Reading Improvement Act Program. The new basic educational programs affect all States, LEAs, and many nonpublic schools. B. *Why Significant:* Substantial public interest because many parents and others are encouraging a back-to-basic-skills movement. C. *Regulatory Analysis:* Not required. D. *Need:* The law is stated in general terms; implementing provisions are needed. E. *Legal Authority:* Title II and Part B of Title IX of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published April 27, 1979. Comment period closed June 26, 1979.	Tom Keyes, Program Officer, Office of Education, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-2710.	Final regulations December 30, 1979.
ASE-35—Gifted and Talented Children's Education Program (Final).	A. *Description:* The regulations implement statutory changes in funding procedures. This was formerly a discretionary grants program. Now 75 percent of the funds are to be channeled through a State-administered program. B. *Why Significant:* Substantial public interest in and increased demand for services to meet the needs of gifted and talented students. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are required in order to incorporate changes resulting from the Education Amendments of 1978. E. *Legal Authority:* Part A of Title IX of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 25, 1979. Comment period closed August 24, 1979.	Dr. Harold C. Lyon, Director, Office of Gifted and Talented, U.S. Office of Education (Room 3827, Donohoe Bldg.), 400 Maryland Avenue, S.W., Washington, D.C. 20202 (202) 245-2482.	Final regulations December 31, 1979.
ASE-36—Law-Related Education Program (Final)	A. *Description:* The regulations implement a new act designed to encourage SEAs and LEAS—and other public and non-profit private agencies, organizations, and institutions—to establish law-related education projects. B. *Why Significant:* There is considerable interest in the program among educators and people in the legal profession. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement the law and award grants and contracts to support law-related education projects. E. *Legal Authority:* Part G of Title III of the Elementary and Secondary Education Act of 1965, as amended by the Education Amendments of 1978 (Pub. L. 95-561). F. *Chronology:* NPRM published June 29, 1979. Comment period closed August 28, 1979.	Mr. Steven Winnick, Office of Education, 400 Maryland Avenue, S.W., Room 4091, Washington, D.C. 20202, (202) 245-8953.	Final regulations December 31, 1979.
ASE-37—Commissioner's Discretionary Project Program (NPRM)	A. *Description:* The regulations would provide a framework for awarding grants with funds that the Commissioner may set aside from specific Special Projects programs. B. *Why Significant:* Substantial public interest is expected in special purpose discretionary programs. C. *Regulatory Analysis:* Not required. D. *Need:* The regulations are needed to establish a framework for funding of projects. E. *Legal Authority:* Section 303(a) and (d)(2) of Part A, Title III of the Elementary and Secondary Education Act, as amended by the Education Amendments of 1978, (PUb. L. 95-561). F. *Chronology:* None.	Jan Solomon, Division of Planning and Budgeting, U.S Office of Education, (Room 4057, FOB-6), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-3363	NPRM December 19, 1979.
ASE-38—Instructional Media for the Handicapped Program (NPRM)	A. *Description:* The regulations would govern the administration of programs that (1) provide a free loan service of captioned films for the deaf and (2) promote the educational and cultural advancement of handicapped persons through research and the use of media and technology. B. *Why Significant:* Public interest is expected in changes eliminating obsolete provisions from existing regulations. In addition, proposed regulations implement statutory provision expanding number of media centers. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement an amendment to the statute and to clarify existing regulations. E. *Legal Authority:* Part F of the Education of the Handicapped Act (Pub. L. 91-230), as amended by the Education for All Handicapped Children Act (Pub. L. 94-142). F. *Chronology:* (Original regulations published February 20, 1975	Barry E. Katz, U.S. Office of Education, Room 4819, Donohoe Building, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 472-4610	NPRM November 21, 1979
ASE-39—Debt Collection Procedures for the Education Division (NPRM).	A. *Description:* The regulations would encourage debtors to make prompt and full payment voluntarily. They describe alternative collection methods that the Education Division may use if a debtor fails to pay voluntarily. B. *Why Significant:* Describes the voluntary and involuntary offset methods of payment, and procedures for the collection of interest by the Education Division. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to provide debt collection procedures that are more adequate and detailed than those currently in effect. E. *Legal Authority:* Pub. L. 90-247, as amended by the Education Amendment of 1978 (Pub. L. 95-561), and Pub. L. 89-508. F. *Chronology:* None.	William Ward, Division of Finance, U.S. Office of Education, Room 3105, FOB-6, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245-8560.	NPRM December 31, 1979

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Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
ASE-40—Women's Educational Equity Act Program (Final).	A. *Description:* The regulations establish criteria and priorities for financial assistance to projects designed to provide educational equity for women in the U.S. B. *Why Significant:* Substantial public interest in selection criteria and national priorities. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement the statutory requirement for the establishment of criteria and priorities. E. *Legal Authority:* Women's Educational Equity Act of 1978 (Part C of Title IX of Pub. L. 95–561). F. *Chronology:* NPRM published May 25, 1979. Comment period closed July 24, 1979.	Dr. Leslie Wolfe, Women's Program Staff, U.S. Office of Education, Room 2147, FOB–6, 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245–2181.	Final regulations December 31, 1979.
ASE-41—Arts in Education Program (Final)...	A. *Description:* The regulations establish eligibility requirements and specify the criteria governing selection of all grantees and some contractors. B. *Why Significant:* Eligibility has been expanded to include—in addition to SEAs and LEAs—public and private organizations, institutions, and agencies. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are required by law in order to broaden eligibility for participation in the program. E. *Legal Authority:* Arts Education Act of 1978 (Part C of Title III of Pub. L. 95–561). F. *Chronology:* NPRM published June 18, 1979. Comment period closed July 24, 1979.	Dr. Harold Arberg, U.S. Office of Education (Room 3728, Donohoe Bldg.), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 472–7793.	Final regulations December 21, 1979.
ASE-42—Indian Education Program (NPRM).	A. *Description:* The regulations implement amendments to the Act and revise existing regulations. B. *Why Significant:* Substantial public interest. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement the statute. E. *Legal Authority:* The Indian Education Act, as amended by the Education Amendment of 1978 (Pub. L. 95–561). F. *Chronology:* NPRM published June 29, 1979. Comment period closed August 28, 1979.	Dr. John Tippeconic, U.S. Office of Education (Room 2177, FOB–6), 400 Maryland Avenue SW., Washington, D.C. 20202, (202) 245–8020..	Final regulations December 31, 1979.
ASE-43—School Assistance in Federally Affected Areas (SAFA) (Final).	A. *Description:* The regulations implement statutory amendments covering preliminary payments, hearing employment conditions of certain school personnel, nonpublic education of handicapped children, education of children who live on Indian lands, elective school boards and payments in States that equalize expenditures among local educational agencies. B. *Why Significant:* These programs provided Federal assistance of $800 million annually to local educational agencies. The regulations are required to provide and administer this assistance. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement amendments to the law and to clarify existing requirements. E. *Legal Authority:* Pub. L. 81–815 and 81–874, as amended most recently by the Education Amendments of 1978 (Pub. L. 95–561). F. *Chronology:* NPRM published on 6/29/79. Comment period closed 8/28/79.	Mr. William L. Stormer, Director, Division of School Assistance in Federally Affected Areas, U.S. Office of Educaton (Room 2107, FOB–6), 400 Maryland Avenue SW., Washington, D.C. 20202, (202) 245–8427.	Final regulations December 31, 1979.
ASE-44—Financial Assistance for Construction, Reconstruction, or Renovation of Higher Education Facilities (Final).	A. *Description:* The regulations establish grant and loan procedures for construction, reconstruction and renovation projects. B. *Why Significant:* Technical changes. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are needed to implement the requirements of the Education Amendments of 1976 (Pub. L. 94–482). E. *Legal Authority:* Title VII of the Higher Education Act of 1965, as amended by the Education Amendments of 1976 (Pub. L. 94–482). F. *Chronology:* NPRM published 8/12/77. Comment period closed 9/26/77.	Thomas McAnallen, Bureau of Higher and Continuing Education, Division of Training and Facilities, U.S. Office of Education (Room 3716, ROB–3), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 245–3253.	Final regulations December 28, 1979.
ASE-45—National Direct Student Loan Program College Work-Study Program, and Supplemental Educational Opportunity Grant Program—Funding Process (NPRM).	A. *Description:* The regulations would amend provisions governing the administration of three programs of assistance to students. They would implement minor changes in the criteria for funding institutions that apply to participate in these Federal student aid programs. B. *Why Significant:* Institutions have an interest in the rules governing funding. C. *Regulatory Analysis:* Not required. D. *Need.* Regulations are required to fund institutions of higher education. E. *Legal Authority:* Title IV of the Higher Education Act of 1965 (Pub. L. 94–482), as amended by the Education Amendments of 1976 (Pub. L. 94–482). F. *Chronology:* Final regulations published 8/13/79.	Norman Brooks, Acting Chief, Policy Section, Campus-Based Branch, BSFA, U.S. Office of Education (Room 4018, ROB–3), 7th & D Streets, S.W., Washington, D.C. 20202, (202) 245–9720.	NPRM November 23, 1979.
ASE-46—Territorial Teacher Training Assistance Program (NPRM).	A. *Description:* The regulations would govern a program designed to upgrade the level of educational instruction in the territories through funding of teacher training programs. B. *Why Significant:* The regulations would establish means for determining the need for teacher training and alloting funds among the territorial jurisdictions; set priorities to be considered in assessing this need; set standards for determining which organizations can best provide the training; provide for targeting of funds to certain schools or certain types of teachers; and impose some restrictions on types and locations of training. C. *Regulatory Analysis.* Not required. D. *Need:* Regulations must be developed to implement the statute, particularly with regard to allocation of funds and establishing the need for teacher training assistance. E. *Legal Authority:* The Education Amendments of 1978 (Pub. L. 95–561, Section 1525) F. *Chronology:* None.	Dr. Thomas W. Fagan, Bureau of School Improvement, U.S. Office of Educaton (Room 3700, Donohoe Bldg.), 400 Maryland Avenue, S.W., Washington, D.C. 20202, (202) 472–4594.	NPRM January 15, 1980.
ASE-47—Consolidated Grant Applications for Insular Areas (Final Regulations).	A. *Description:* The regulations implement statutory provisions enabling an Insular Area to submit a consolidated application for assistance under formula grant education programs. B. *Why Significant.* the regulations lessen the administrative burdens on an In-	Mr Stephen Thorn, U.S. Office of Education (Room 1274, HEW–N), 400 Maryland Avenue, S.W., Washington,	Final regulations December 28, 1979.

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
	sular Area and provide it with greater flexibility in making decisions regarding educational programs. C. *Regulatory Analysis:* Not required. D. *Need:* Regulations are required in order for the statute to be implemented. E. *Legal Authority:* Title V of Pub. L. 95–134. F. *Chronology:* NPRM published on May 14, 1979. Comment period closed July 13, 1979.	D.C. 20202, (202) 472–3730.	

Office of Education Significant Regulations—Continued

Title	Summary	Contact	Decision quarter
ASE-48—Health Education Assistance Loan Program (HEAL) (NPRM).	A. *Description:* The regulations would establish requirements for (1) non-student borrowers and (2) loan repayment through services in either the National Health Service Corps or private practice in a health manpower shortage area. B. *Why Significant:* Provides guidelines for lenders and borrowers. C. *Regulatory Analysis:* Not required. D. *Need:* Major provisions of the law lack regulations. E. *Legal Authority:* Subpart 1, Part C of Title VII of the Public Health Service Act, as amended (Pub. L. 94–482, Pub. L. 95–83, Pub. L. 95–215). F. *Chronology:* Interim final regulations published August 3, 1978.	David Bayer, Acting Chief, GSL Branch, BSFA, U.S. Office of Education (Room 4002, ROB–3), 7th & D Streets, S.W., Washington, D.C. 20202, (202) 245–9717.	NPRM March 1, 1980.

Office of the Secretary

Title	Summary	Contact	Decision
OS-1—HEW's Age Discrimination Regulations.	A. *Description:* These regulations prohibit age discrimination in programs and activities receiving financial assistance from HEW. B. *Why Significant:* Protects individuals from age discrimination in HEW-assisted programs and activities. C. *Regulatory Analysis:* Not required. D. *Need:* To implement requirements of the Age Discrimination Act and government-wide age discrimination regulations (45 CFR Part 90) which require agency specific age discrimination regulations. E. *Legal Basis:* Pub. L. 94–135; 42 U.S.C. 6101 *et seq.* 45 CFR Part 90. F. *Chronology:* Government-wide age discrimination regulations published by HEW on June 12, 1979 (45 CFR 33768); HEW's agency specific NPRM published September 24, 1979 (44 FR 55107). Comment period ended November 23, 1979. G. *Citation:* 45 CFR Part 91.	Bayla White, Director, Age Discrimination Task Force, (202) 245–6284, Room 716E, 200 Independence Ave. SW., Washington, D.C. 20201.	Final Rule: January 1979.
OS-2—Day Care Requirements.....	A. *Description:* These regulations set requirements for day care which is funded under title XX of the Social Security Act and several other HEW programs. B. *Why Significant:* State agencies, day care providers, parents and child advocates are keenly interested in establishment of minimum requirements for quality day care. C. *Regulatory Analysis:* A proposed Regulatory Analysis has been developed and is being revised along with the final regulations. D. *Need:* To implement statutory requirement of title XX and to comply with Operation Common Sense. E. *Legal Basis:* 42 U.S.C. 1397 a(a)(9)(B) and 2932(d). F. *Chronology:* Notice of Intent (April 26, 1978; 43 FR 81). Proposed Rules (June 15, 1979; 44 FR 34753. G. *Citation:* 45 CFR Part 71.	Sylvester Ligsukis, (202) 245–6735; Director, Day Care Task Force, Office of the General Counsel, HEW, Room 716E, 200 Independence Avenue SW., Washington, D.C. 20201.	Final Rule: January–March 1980.
OS-3—Privacy Act Regulation.....	A. *Description:* These regulation implements the Privacy Act of 1974 in HEW by establishing agency policies and procedures for the maintenance of systems of individually indentifiable personal records. B. *Why Significant:* The revised regulation will improve HEW's service to the public by making it easier for citizens to understand the procedures for exercising their rights under the Privacy Act. C. *Need:* The proposed revision is necessary to comply with the Department's Operation Common Sense and the President's Executive Order No. 12044. Both of these initiatives require the Department to revise its regulations to be easier for the public to read and understand. E. *Legal Basis:* 5 U.S.C. 552a; 5 U.S.C. 301. F. *Chronology:* The Department published its original regulation in the FEDERAL REGISTER on October 8, 1975. G. *Citation:* 45 CFR Part 5b.	Hugh V. O'Neill, (202) 245–7588, HEW Privacy Act Coordinator, Department of Health, Education, and Welfare, Room 526F, 200 Independence Ave. SW., Washington, D.C. 20201.	Proposed Rule: Jan.–Mar. 1980.
HDS-12—Joint Recodification Project—Social Service.	A. *Description:* These regulations will revise the procedural requirements that States must follow in taking applications, making eligibility determinations, and providing fair hearings. These regulations are being revised jointly with AFDC and Medicaid regulations which have common requirements. B. *Why Significant:* These regulations cover important issues; including requirements for bilingual program material, the complexity of the application process, rules for verifying information submitted on an application, agency actions that give rise to a hearing and time limits for holding a hearing and implementing the hearing decision. C. *Regulatory Analysis:* A threshold study is in preparation. D. *Need:* To clarify requirements for this and the AFDC and Medicaid programs which were former administered by the Social and Rehabilitation Service. E. *Legal Basis:* Titles I, IV–A, X, XIV, XVI (AABD), and XX of the Social Security Act.	Johnnie Brooks, (202) 245–9415, Room 2225, 300 C Street SW., Washington, D.C. 20201.	NPRM. 11/30/79.

Office of the Secretary—Continued

Title	Summary	Contact	Decision
	F. *Chronology:* Notice of Decision to Develop Regulations March 19, 1979 (44 FR 16449) Disclosure Draft Notice (Application) April 9, 1979 (44 FR 21044) Disclosure Draft Notice (Fair Hearing) June 13, 1979 (44 FR 33913). G. *Citation:* Fair hearing—Subpart C of 45 CFR Part 1395 and Parts 1392, 1393, 1396, 1391.		
OS—Department Staff Manual—Information Security Program; General Requirements; Handling, marking, transmitting, storing, and safeguarding of national security information.	A. *Description:* This manual would implement Executive Order 12065, National Security Information, by requiring each agency of the Department to comply with the provisions of the Order relating to the classification, downgrading, declassification and safeguarding of national security information. B. *Why Significant:* The manual would outline general responsibilities for Department officials and employees who would be concerned with national security information, and it further outlines procedures whereby a member of the public, a government employee or agency can request the declassification and release of information originally classified by the Department. C. *Regulatory Analysis:* "Yes, being conducted." D. *Need:* To implement the provisions of Executive Order 12065 by providing general policies and procedures for the protection of national security information that is under the control of the Department. E. *Legal Basis:* Executive Order 12065, published on July 3, 1978 (43 FR 28949). F. *Chronology:* Notice was published June 4, 1979, (44 FR 31981) Deletion of obsolete regulation; notice on availability of interim Department Security Manual. "Final Rule" currently under review.	Kenneth E. Lopez, Director, Division of Security and Protection, Office of Investigations, Office of the Inspector, General, Department of Health, Education, and Welfare, Room 5455, North Building, 330 Independence Avenue SW., Washington, D.C. 20201, telephone: 202-245-6566.	Final Rule—January-March, 1980.
OS-1—Availability of Information to the Public.	A. *Description:* This proposal would revise our rules for handling requests for information under the Freedom of Information Act. It tells how to make a Freedom of Information request; who can release information and who can decide not to release it; how much time it should take; how much we charge, and what can be done if we do not release information. B. *Why Significant:* Substantial interest is anticipated because the proposal amplifies and clarifies out procedures for responding to public requests for information. C. *Regulatory Analysis:* Not required. D. *Need:* Recent court decisions and our experience since the last revision in 1974 require modifying our rules to implement the Freedom of Information Act. E. *Legal Basis:* 5 U.S.C. 552, U.S.C. 301, 42 U.S.C. 1306, and 31 U.S.C. 483a. F. *Chronology:* Notice of intent to revise this regulation was published on November 18, 1976 (41 FR 50846). The comment period closed on January 17, 1977. The NPRM will have a comment period.	Russell M. Roberts, Freedom of Information Officer, Office of Public Affairs, HEW, Room 118F, Humphrey Building, 200 Independence Avenue SW., Washington, D.C. 20201 472-7453.	October-January 1979.
OS-2—Publicizing "Adverse" Information.	A. *Description:* Theis regulation has been re-written and simplified to make it easier for people to understand how they can obtain a retraction or correction when HEW has issued an incorrect statement about them that adversely affects them. B. *Why Significant:* This proposed regulation would clarify and simplify our policy and implement a recommendation of the Administrative Conference of the United States. C. *Regulatory Analysis:* Not required. D. *Need:* The proposed rule would implement a recommendation of the Administrative Conference of the United States and set out the rights of persons asking HEW to correct erroneous information and the limits on HEW employees in releasing "adverse" information. E. *Legal Basis:* 5 U.S.C. 301. F. *Chronology:* Following review within the Department, the proposed regulation will be published in the FEDERAL REGISTER and will have a 30-day comment period.	Russell M. Roberts, Office of Public Affairs, Room 118F, Humphrey Building, 200 Independence Avenue SW., Washington, D.C. 20201, (202) 472-7453.	January-March 1980.

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federal register

Friday
December 14, 1979

Part III

Department of Labor

Employment Standards Administration, Wage and Hour Division

Minimum Wages for Federal and Federally Assisted Construction; General Wage Determination Decisions

DEPARTMENT OF LABOR

Employment Standards Administration, Wage and Hour Division

Minimum Wages For Federal and Federally Assisted Construction General Wage Determination Decisions

General wage determination decisions of the Secretary of Labor specify, in accordance with applicable law and on the basis of information available to the Department of Labor from its study of local wage conditions and from other sources, the basic hourly wage rates and fringe benefit payments which are determined to be prevailing for the described classes of laborers and mechanics employed in construction projects of the character and in the localities specified therein.

The determinations in these decisions of such prevailing rates and fringe benefits have been made by authority of the Secretary of Labor pursuant to the provisions of the Davis-Bacon Act of March 3, 1931, as amended (46 Stat. 1494, as amended, 40 U.S.C. 276a) and of other Federal statutes referred to in 29 CFR 1.1 (including the statutes listed at 36 FR 306 following Secretary of Labor's Order No. 24–70) containing provisions for the payment of wages which are dependent upon determination by the Secretary of Labor under the Davis-Bacon Act; and pursuant to the provisions of part 1 of subtitle A of title 29 of Code of Federal Regulations, Procedure for Predetermination of Wage Rates (37 FR 21138) and of Secretary of Labor's Orders 12–71 and 15–71 (36 FR 8755, 8756). The prevailing rates and fringe benefits determined in these decisions shall, in accordance with the provisions of the foregoing statutes, constitute the minimum wages payable on Federal and federally assisted construction projects to laborers and mechanics of the specified classes engaged on contract work of the character and in the localities described therein.

Good cause is hereby found for not utilizing notice and public procedure thereon prior to the issuance of these determinations as prescribed in 5 U.S.C. 553 and not providing for delay in effective date as prescribed in that section, because the necessity to issue construction industry wage determination frequently and in large volume causes procedures to be impractical and contrary to the public interest.

General wage determination decisions are effective from their date of publication in the **Federal Register** without limitation as to time and are to be used in accordance with the provisions of 29 CFR Parts 1 and 5. Accordingly, the applicable decision together with any modifications issued subsequent to its publication date shall be made a part of every contract for performance of the described work within the geographic area indicated as required by an applicable Federal prevailing wage law and 29 CFR, Part 5. The wage rates contained therein shall be the minimum paid under such contract by contractors and subcontractors on the work.

Modifications and Supersedeas Decisions to General Wage Determination Decisions

Modifications and supersedeas decisions to general wage determination decisions are based upon information obtained concerning changes in prevailing hourly wage rates and fringe benefit payments since the decisions were issued.

The determinations of prevailing rates and fringe benefits made in the modifications and supersedeas decisions have been made by authority of the Secretary of Labor pursuant to the provisions of the Davis-Bacon Act of March 3, 1931, as amended (46 Stat. 1494, as amended, 40 U.S.C. 276a) and of other Federal statutes referred to in 29 CFR 1.1 (including the statutes listed at 36 FR 306 following Secretary of Labor's Order No. 24–70) containing provisions for the payment of wages which are dependent upon determination by the Secretary of Labor under the Davis-Bacon Act; and pursuant to the provisions of part 1 of Subtitle A of Title 29 of Code of Federal Regulations, Procedure for Predetermination of Wage Rates (37 FR 21138) and of Secretary of Labor's orders 13–71 and 15–71 (36 FR 8755, 8756). The prevailing rates and fringe benefits determined in foregoing general wage determination decisions, as hereby modified, and/or superseded shall, in accordance with the provisions of the foregoing statutes, constitute the minimum wages payable on Federal and federally assisted construction projects to laborers and mechanics of the specified classes engaged in contract work of the character and in the localities described therein.

Modifications and supersedeas decisions are effective from their date of publication in the **Federal Register** without limitation as to time and are to be used in accordance with the provisions of 29 CFR Parts 1 and 5.

Any person, organization, or governmental agency having an interest in the wages determined as prevailing is encouraged to submit wage rate information for consideration by the Department. Further information and self-explanatory forms for the purpose of submitting this data may be obtained by writing to the U.S. Department of Labor, Employment Standards Administration, Wage & Hour Division, Office of Government Contract Wage Standards, Division of Construction Wage Determinations, Washington, D.C. 20210. The cause for not utilizing the rulemaking procedures prescribed in 5 U.S.C. 553 has been set forth in the original General Determination Decision.

New General Wage Determination Decisions

Kentucky.—KY79–1162, KY79–1163, KY79–1164, KY79–1165, KY79–1166, KY79–1167, KY79–1168, KY79–1169.

Utah.—UT 79–5138.

Modifications to General Wage Determination Decisions

The numbers of the decisions being modified and their dates of publication in the **Federal Register** are listed with each State.

Alabama:	
AL79–1066	Apr. 13, 1979.
Florida:	
FL79–1017	Jan. 26, 1979.
FL–1068	Apr. 13, 1979.
Illinois:	
IL79–2027; IL79–2028; IL79–2029; IL79–2030; IL79–2031; IL79–2032; IL79–2033	May 4, 1979.
IL79–2036; IL79–2037; IL79–2038	May 11, 1979.
IL79–2051	June 15, 1979.
IL79–2052; IL79–2053	Aug. 24, 1979.
IL79–2054	June 15, 1979.
IL79–2067; IL79–2068	Aug. 24, 1979.
IL79–2070	Sept. 7, 1979.
Mississippi:	
MS79–1119	Aug. 17, 1979.
New Jersey:	
NJ78–3047	June 16, 1978.
Pennsylvania:	
PA78–3054	Aug. 11, 1978.
PA78–3067	Sept. 25, 1978.
PA79–3000	Jan. 9, 1979.
PA79–3003	Mar. 4, 1979.
PA79–3009	May 4, 1979.
Texas:	
TX79–4032; TX79–4033	Mar. 16, 1979.
TX79–4035	Sept. 28, 1979.
TX79–4036	Aug. 17, 1979.
TX79–4037	June 1, 1979.
TX79–4039	March 16, 1979.
TX79–4041; TX79–4043	Sept. 28, 1979.
TX79–4046	Aug. 17, 1979.
TX79–4048	Mar. 16, 1979.
TX79–4084	Oct. 5, 1979.

Supersedeas Decisions to General Wage Determination Decisions

The numbers of the decisions being superseded and their dates of publication in the **Federal Register** are listed with each State. Supersedeas decision numbers are in parentheses following the numbers of the decisions being superseded.

Alabama:	
AL77–1075 (AL79–1157)	June 3, 1977.
Kansas:	
KS77–4161 (KS79–4107)	July 8, 1977.
Kansas:	
MO78–4048 (MO79–4099)	May 5, 1978.
Missouri:	
MO78–4048 (MO79–4099)	May 5, 1978.
North Carolina:	
NC–1056 (NC79–1161)	Mar. 30, 1979.

Residential Construction
KY76–1101, Breathitt, Harlan, Knott, Leslie, Letcher, and Perry Cos., Kentucky—Residential Construction
KY76–1111, Mason, Nicholas, Robertson, and Rowan Cos., Kentucky—Residential Construction
KY77–1002, Bell, Knox, Laurel, McCreary, and Whitley Cos., Kentucky—Residential Construction

Signed at Washington, D.C. this 7th day of December 1979.

Dorothy P. Come, Assistant Administrator, Wage and Hour Division.

[FR Doc.79-38120 Filed 12-13-79; 8:45 am]

BILLING CODE 4510-27-M

NEW DECISION

STATE: KENTUCKY
COUNTIES: FRANKLIN, GRANT, HENRY, OWEN, & SHERBY
DECISION NUMBER: KY79-1163
DATES: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 6.63				
BRICK & BLOCK LAYERS	6.73				
CARPENTERS	5.57				
CEMENT MASONS	5.00				
DRYWALL FINISHERS	6.38				
DRYWALL HANGERS	5.71				
ELECTRICIANS	6.00				
INSULATION INSTALLERS	5.07				
IRONWORKERS	5.50				
LABORERS:					
Unskilled	3.50				
Mason tenders	4.00				
PAINTERS	5.00				
PLUMBERS & PIPEFITTERS	5.50				
ROOFERS	5.50				
SHEET METAL WORKERS	5.27				
SOFT FLOOR LAYERS	8.00				
TILE SETTERS	5.00				
TRUCK DRIVERS	5.00				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	6.00				
Bulldozer	7.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

KY75–1105, Bath, Madison and Motgomery Cos., Kentucky—Residential Construction
KY76–1080, Breckinridge, Bullitt, Hardin, Marion, Meade, Nelson, Shelby, Spencer and Washington Cos., Kentucky—Residential Construction
KY–1092, Bracken and Grant Cos., Kentucky—Residential Construction
KY76–1083, Adair, Cumberland, Green, Larue, Metcalfe, Monroe, and Taylor Cos., Kentucky—Residential Construction
KY76–1096, Casey, Clinton, Garrard, Lincoln, Pulaski, Russell, Rockcastle, and Wayne Cos., Kentucky—Residential Construction
KY76–1097, Clay, Estill, Jackson, Lee, Owsley, Powell, and Wolfe Cos., Kentucky—

CANCELLATION OF GENERAL WAGE DETERMINATION DECISIONS

The general wage decisions listed below are cancelled. New decisions for the Counties that have been covered by the cancelled decisions are published in this edition of the **Federal Register**. Contracts for which bids have been opened shall not be affected by this notice. Also, consistent with 29 CFR 1.7(b)(2), the incorporation of one of the cancelled decisions in contract specifications, the opening of bids for which is within ten (10) days of this notice, need not be affected.

NEW DECISION

STATE: KENTUCKY
COUNTIES: ADAIR, CLINTON, CUMBERLAND, GREEN, METCALFE, MONROE, & TAYLOR
DECISION NUMBER: KY79-1162
DATES: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 4.66				
BRICK & BLOCK LAYERS	6.00				
CARPENTERS	4.86				
CEMENT MASONS	4.45				
DRYWALL FINISHERS	5.00				
DRYWALL HANGERS	6.00				
ELECTRICIANS	5.97				
INSULATION INSTALLERS	3.88				
LABORERS	3.33				
PAINTERS	4.78				
PLUMBERS & PIPEFITTERS	4.64				
ROOFERS	4.60				
SHEET METAL WORKERS	4.84				
TILE SETTERS	5.00				
TRUCK DRIVERS	3.33				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	5.00				
Front end loader	4.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: ANDERSON, BRECKINRIDGE, BULLITT, GRAYSON, HARDIN, LARUE, MARION MEADE, NELSON, SPENCER, & WASHINGTON
DECISION NUMBER: KY79-1164 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 4.79				
BRICK & BLOCK LAYERS	7.18				
CARPENTERS	5.60				
CEMENT MASONS	5.00				
DRYWALL FINISHERS	6.31				
DRYWALL HANGERS	7.00				
ELECTRICIANS	5.78				
INSULATION INSTALLERS	4.44				
LABORERS:					
Unskilled	3.72				
Mason tenders	4.00				
PAINTERS	5.20				
PLUMBERS & PIPEFITTERS	7.43				
ROOFERS	5.00				
SHEET METAL WORKERS	5.25				
SOFT FLOOR LAYERS	5.60				
TILE SETTERS	6.50				
TRUCK DRIVERS	5.22				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	5.67				
Bulldozer	6.00				
Front end loader	5.00				
Motor grader	7.00				
Paver	5.50				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: ESTILL, GARRARD, JACKSON, LEE, LINCOLN, MADISON, & OWSLEY
DECISION NUMBER: KY79-1165 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 5.50				
BRICK & BLOCK LAYERS	6.00				
CARPENTERS	4.00				
CEMENT MASONS	5.39				
DRYWALL FINISHERS	4.00				
DRYWALL HANGERS	4.75				
ELECTRICIANS	5.50				
INSULATION INSTALLERS	4.00				
LABORERS:					
Unskilled	3.17				
Mason tenders	3.50				
PAINTERS	4.73				
PLUMBERS & PIPEFITTERS	6.16				
ROOFERS	4.00				
SHEET METAL WORKERS	5.50				
SOFT FLOOR LAYERS	4.75				
TILE SETTERS	4.00				
TRUCK DRIVERS	3.50				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	4.25				
Bulldozer	5.50				
Front end loader	6.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: BELL, CASEY, CLAY, HARLAN, KNOX, LAUREL, LESLIE, McCREARY, PULASKI, ROCKCASTLE, RUSSELL, WAYNE, & WHITLEY
DECISION NUMBER: KY79-1166 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartment up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 5.00				
BRICKLAYERS	7.57				
CARPENTERS	5.78				
CEMENT MASONS	6.00				
DRYWALL FINISHERS	5.00				
DRYWALL HANGERS	5.00				
ELECTRICIANS	7.33				
INSULATION INSTALLERS	4.10				
LABORERS:					
Unskilled	3.76				
Mason tenders	4.38				
Asphalt rakers	5.00				
PAINTERS	6.50				
PLUMBERS & PIPEFITTERS	7.57				
ROOFERS	5.31				
SHEET METAL WORKERS	5.71				
SOFT FLOOR LAYERS	4.50				
TILE SETTERS	4.80				
TRUCK DRIVERS	4.00				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	5.50				
Bulldozer	6.03				
Front end loader	6.00				
Paver	6.37				
Roller	5.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: BRACKEN, MASON, NICHOLAS, & ROBERTSON
DECISION NUMBER: KY79-1167 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 4.73				
BRICKLAYERS	5.00				
CARPENTERS	5.04				
CEMENT MASONS	4.50				
DRYWALL FINISHERS	5.25				
DRYWALL HANGERS	4.50				
ELECTRICIANS	5.00				
INSULATION INSTALLERS	4.70				
LABORERS:					
Unskilled	3.10				
Mason tenders	3.50				
PAINTERS	4.75				
PLUMBERS & PIPEFITTERS	4.75				
ROOFERS	4.75				
SHEET METAL WORKERS	4.73				
TILE SETTERS	5.00				
TRUCK DRIVERS	4.75				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	5.00				
Bulldozer	5.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: BATH, MENIFEE, MONTGOMERY, POWELL, & WOLFE
DECISION NUMBER: KY79-1168 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 4.31				
BRICKLAYERS	6.00				
CARPENTERS	4.56				
CEMENT MASONS	5.00				
DRYWALL FINISHERS	4.75				
DRYWALL HANGERS	4.75				
ELECTRICIANS	5.12				
INSULATION INSTALLERS	4.82				
LABORERS:					
Unskilled	3.10				
Mason tenders	3.25				
PAINTERS	4.56				
PLUMBERS & PIPEFITTERS	4.63				
ROOFERS	4.57				
SHEET METAL WORKERS	4.68				
SOFT FLOOR LAYERS	4.80				
TILE SETTERS	5.00				
TRUCK DRIVERS	4.50				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	4.50				
Bulldozer	5.50				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: KENTUCKY
COUNTIES: BREATHITT, FLOYD, KNOTT, LETCHER, MAGOFFIN, PERRY, & PIKE
DECISION NUMBER: KY79-1169 DATE: DATE OF PUBLICATION
DESCRIPTION OF WORK: RESIDENTIAL CONSTRUCTION PROJECTS - includes single family homes and apartments up to and including four stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
AIR CONDITIONING & HEATING MECHANICS	$ 5.00				
BRICKLAYERS	9.00				
CARPENTERS	7.14				
CEMENT MASONS	7.03				
DRYWALL FINISHERS	5.00				
DRYWALL HANGERS	5.00				
ELECTRICIANS	6.00				
INSULATION INSTALLERS	5.00				
IRONWORKERS	6.00				
LABORERS	4.33				
PAINTERS	5.75				
PLUMBERS & PIPEFITTERS	6.00				
ROOFERS	6.17				
SHEET METAL WORKERS	5.00				
SOFT FLOOR LAYERS	6.00				
TILE SETTERS	6.00				
TRUCK DRIVERS	4.33				
WELDERS - Rate for craft.					
POWER EQUIPMENT OPERATORS:					
Backhoe	6.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a) (1) (ii)).

NEW DECISION

STATE: UTAH COUNTIES: Davis and Weber
DECISION NUMBER: UT79-5138 DATE: Date of Publication
DESCRIPTION OF WORK: Residential Projects consisting of single family homes and apartments up to and including 4 stories

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Carpenters	$6.50				
Cement Masons	5.70				
Drywall Installer	5.00				
Electricians	5.90				
Laborers	5.00				
Painters	5.58				
Plumbers	6.91				
Roofers	8.00				
Sheet Metal Workers	6.00				
Truck Drivers	6.65	.37	.30		
WELDERS: Receive rate prescribed for craft performing operation to which welding is incidental.					

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a)(1)(ii)).

MODIFICATION PAGE 1

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Decision #AL79-1066 - Mod. #4 (44-FR-22307-April 13, 1979) Madison County, Alabama					
CHANGE: Electricians and Linemen	$11.80	.35	3% + .60		1%
DECISION #FL79-1017 - Mod. #7 (44 FR 5604 - January 26, 1979) Duval County, Florida					
Change: Mod. #5 published in the Federal Register of November 30, 1979 to read Mod. #6					
Carpenters, Acoustical Ceiling & Drywall Installers	$ 9.52	.62	.60		.05
Sprinkler Fitters	11.06	.75	1.05		.10

MODIFICATION PAGE 2

DECISION #FL79-1068 - Mod. #6 (44 FR 22309 - April 13, 1979) Cape Canaveral Air Force Station, Patrick Air Force Base, Kennedy Space Flight Center and Malabar Radar Site) Florida	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Change:					
Ironworkers	$10.28	.65	.90	.65	.05
Laborers:					
Air tool operators; Concrete laborers; Hod Carriers; Mason Tenders; Mortar Mixers; Kettlemen (excl. roofing & waterproofing); Pipelayers; Powdermen; Form Setters (paving & curbing & gutter); Well point & dewatering	6.85	.60	.30		
Millwrights	11.27	.60	.70		.10
Plumbers; Pipefitters; Steamfitters:					
Commercial	11.45	.60	.60		.05
Industrial (Power Houses, Chemical Plants, Missile Sites, Oil Refineries, Bulk Plants, etc., & such other work which is related to & considered a part thereof)	13.40	.74	.69		.05
Sprinkler Fitters	11.06	.75	1.05		.10

MODIFICATION PAGE 3

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2027- MOD. #3 (44 FR 26413 - May 4, 1979) Adams, Brown & Pike Counties, Illinois					
Change:					
Laborers:					
Adams County:					
Unskilled	$ 10.04	.55	.60		.035
Semi-Skilled	10.24	.55	.60		.035
Skilled	10.39	.55	.60		.035
Brown & Pike Counties:					
Unskilled	10.09	.65	.45		.035
Semi-skilled	10.29	.65	.45		.035
Skilled	10.44	.65	.45		.035
DECISION NO. IL79-2028 - MOD. #3 (44 FR 26415 - May 4, 1979) Champaign and Vermillion Counties, Illinois					
Change:					
Electricians:					
Champaign County	$ 13.65	.70	3%+.40		3/10%
Vermillion County	13.12	.55	3%+.50		
Plumbers & Steamfitters:					
Champaign County	13.50	.50	1.35		.12
Vermillion County	12.87	.50	1.05		.25
Roofers:					
Champaign County	13.49	.70	.45		.05

MODIFICATION Page 4

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2029 - MOD. #3 (44 FR 26419 - May 4, 1979) Fulton, Hancock, McDonough, & Schuyler Counties, Illinois					
Change:					
Carpenters:					
Fulton, E. 1/3 of Hancock & McDonough Cos.:					
Carpenters & Soft Floor Layers	$ 12.17	.60	1.00		
Millwrights & Pile-drivermen	12.67	.60	1.00		
Remainder of Hancock Co.					
Carpenters & Soft Floor Layers	11.65	.75	.90		.04
Millwrights & Pile-drivermen	12.35	.75	.90		.04
Electricians:					
Hancock & Schuyler Cos., (Twps. of Lamoine, Bethel, Industry, & Eldorado in McDonough County	11.77	.50	3%+1.00		1%
Ironworkers:					
Hancock & McDonough Cos.:					
The W. ½ of Schuyler Co.	12.40	.55	.90		.06
The Southern Tip of Fulton Co., (Incl. Marbletown, Astoria, Summun)	12.25	.55	1.05		.08
Remainder of Fulton Co.	12.825	.65	.925		

MODIFICATION PAGE 5

DECISION NO. IL79-2029 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Laborers:					
Hancock & McDonough Cos.:					
Unskilled	$ 10.87	.55	.60		.035
Semi-Skilled	11.07	.55	.60		.035
Skilled	11.27	.55	.60		.035
Schulyer County:					
Unskilled	10.09	.65	.45		.035
Semi-Skilled	10.29	.65	.45		.035
Skilled	10.44	.65	.45		.035
Painters:					
Fulton & Schulyer Cos.:					
Brush	12.11	.60	.30		.03
Structural Steel & Spray	12.96	.60	.30		.03
Hancock & McDonough Cos.:					
Brush	11.50				
Structural Steel & Spray	12.00				
Plumbers & Steamfitters:					
Fulton & McDonough Cos.	13.22	.35	.35	4%	
Hancock & Schuyler Cos.	12.85	.35	.60		.05
DECISION NO. IL79-2030 - MOD. #2 (44 FR 26421 - May 4, 1979) Ford & Iroquois Counties, Illinois					
Change:					
Asbestos Workers	14.10	1.01	1.19		.05

MODIFICATION PAGE 6

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2011 - MOD. #3 (44 FR 26424 - May 4, 1979) Bureau, LaSalle, Livingston, Marshall, Putnam & Woodford Counties, Illinois					
Change:					
Asbestos Workers	$ 14.01	1.01	1.19		.05
Bricklayers & Stonemasons:					
LaSalle County:					
Peru & Vicinity	12.30	.85	1.20		
Streator & Vicinity	12.50	.85	.60		
Ottawa & Vicinity	12.50	.85	1.20		
Bureau & Putnam Cos.	12.90	.70	.75		
Livingston County	12.30	.85	.75		
Woodford & Marshall Cos.	12.40	.70	1.16		.01
Plumbers & Steamfitters:					
Bureau, LaSalle and Putnam Cos. and N. of Pontiac in Livingston Co.	13.58	.50	.60		.09
Roofers:					
LaSalle, Bureau, Livingston, Putnam & N.E. half of Marshall County	12.48	.40	.70		
DECISION NO. IL79-2032 - MOD. #2 (44 FR 26429 - May 4, 1979) Logan, Mason and Menard Counties, Illinois					
Change:					
Asbestos Workers	$ 13.26	.90	1.04		
Sprinkler Fitters	13.08	.75	1.05		.08

MODIFICATION PAGE 7

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2033 - MOD. #3 (44 FR 26432 - May 4, 1979) McLean County, Illinois					
Change:					
Asbestos Workers	$ 14.10	1.01	1.19		.05
Electricians:					
Cropsey, Anchor, Cheney Grove, and Bell Flower Twps.	13.65	.70	3%+.40		3/10%
Remainder of County	12.70	.55	3%+.65		2/10%
Plasterers	13.91				.01
Plumbers and Steamfitters	13.30	.75	1.20		.15
Roofers:					
Composition	11.85				
Slate & Tile	11.90		.45		
DECISION NO. IL79-2036 - MOD. #4 (44 FR 27864 - May 11, 1979) Peoria & Tazewell Counties Illinois					
Change:					
Asbestos Workers	$14.10	1.01	1.19		.05
Carpenters & Stonemasons:					
Carpenters:					
Residential					
Peoria County:					
Chillicothe & Vicinity	11.13	.90	.85		.03
Tazewell County & Remainder of Peoria County	12.17	.60	1.00		

MODIFICATION PAGE 8

DECISION NO. IL79-2036 (CONT'D)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Carpenters & Stonemasons Cont'd					
Commercial:					
Peoria County:					
Chillicothe & Vicinity:					
Carpenters, Piledrivermen and Soft Floor Layers	$12.28	.90	.85		.05
Millwrights	12.53	.90	.85		.05
Tazewell County and Remainder of Peoria County:					
Carpenters & Soft Floor Layers	12.17	.60	1.00		
Millwrights and Piledrivermen	12.67	.60	1.00		
Electricians:					
Residential:					
All Units primarily for Family Residence not requiring Passenger Elevator, & Farm Work	7.75	.55	3%+1.00		3/4%
Commercial	12.87	.55	3%+1.00		3/4%
Painters:					
Brush	12.11	.60	.30		.03
Structural Steel & Srpay	12.96	.60	.30		.03

MODIFICATION PAGE 9

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2037 - MOD. #3 (44 FR 27867 - May 11, 1979) Alexander, Franklin, Gallatin, Hamilton, Hardin, Jackson, Jefferson, Johnson, Marion, Massac, Perry, Pope, Pulaski, Saline, Union, White, Williamson Counties, Illinois					
Change:					
Asbestos Workers:					
Alexander, Jackson, Jefferson, Perry & Union Counties	$13.26	.90	1.04		
Bricklayers & Stonemasons:					
Remainder of Counties:					
Bricklayers, Stonemasons, Marble-Tile-Terrazzo Workers, Cement Block Layers, Pointers, Caulkers, & Cleaners	11.65	.70	.50		
Carpenters:					
Marion County:					
Carpenters, Piledriverment & Soft Floor Layers	10.76	.65	.50		.03
Millwrights	11.11	.65	.50		.03
Hamilton, Jefferson & White Cos.:					
Carpenters, Piledrivermen & Soft Floor Layers	10.86	.45	.50		.03
Millwrights	11.21	.45	.50		.03

MODIFICATION PAGE 10

DECISION NO. IL79-2037 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Carpenters (Cont'd)					
Remainder of Counties:					
Carpenters, Piledrivermen, Millwrights & Soft Floor Layers	$10.90	.50	.60		.05
Electricians	13.63	.55	13%		1%
Ironworkers:					
Marion & Perry Counties:					
Jefferson (Mt. Vernon and all Area West thereof) County	12.95	.55	1.05		
Roofers:					
Hardin County:					
Composition	10.63	.60	.50		
Slate & Tile	10.88	.60	.50		
Remainder of Counties	9.40	.60	.20		
DECISION NO. IL79-2038 - MOD. #3 (44 FR 27871 - May 11, 1979) Sangamon County, Illinois					
Change:					
Bricklayers, Stonemasons, Marble-Tile-Terrazzo Workers, Pointers, Caulkers & Cleaners	11.40	.50	1.00		.02
Electricians:					
Building	13.12	.55	3%+.70		1/10%
Residential	8.45	.50	3%+.40		5/10%

MODIFICATION PAGE 11

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2051 - MOD. #2 (44 FR 34737 - June 15, 1979) Cook County, Illinois					
Change:					
Asbestos Workers	$ 14.10	1.01	1.19		.05
Bricklayers & Stonemasons	13.00	.90	.85		.07
Cement Masons:					
Building, Heavy & Highway	12.35	1.35	1.25		.05
Electricians	13.15	7.20%	13.28%	.80	.76%
Ironworkers	13.65	1.24	1.22		.10
Black Book Fence Erection	13.00	.75	1.105		.10
Red Book Fence Erection	9.72	.75	1.105		.10
Lathers	12.62	.605	.645		.04
Marble Setters	13.95	.90			
Plumbers	13.80	.80	.90		.07
Sprinkler Fitters	13.75	.95	1.05		.15
Tile Setters	12.65	.67	.71		
DECISION NO. IL79-2052 - MOD. #1 (44 FR 49829 - August 24, 1979) Dupage, Grundy, Kane, Kendall, Lake, McHenry & Will Counties, Illinois					
Change:					
Asbestos Workers	$ 14.10	1.01	1.19		.05
Bricklayers & Stonemasons:					
Dupage County:					
North of Butterfield Rd; Argonne Vicinity (National Accl. Lab.) AEC Plant	13.00	.90	.85		.05
South of Butterfield Rd; From East to West	13.00	.90	.85		.05
Lake County	13.00	.90	.85		.05
Will & Grundy Counties	13.22	.90	.65		

MODIFICATION PAGE 12

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2052 - MOD. #1 (Cont'd)					
Carpenters:					
Will County:					
Building	$14.13	.85	1.00		
Cement Masons:					
Dupage County	12.80	1.13	1.00		.07
Ironworkers:					
Kane County; Kendall (Northern ½ Cook, Including Bristol & Yorkville) Co.; McHenry (S.E. ½ of Co., Including Huntley) Co. & the Remainder of Dupage Co.	15.00	.75	.525		.08
Will & Grundy Cos.; Dupage (Argonne) Co.; & Southern Half of Kendall County	13.00	.75	.725		.02
Plasterers:					
Dupage County	12.16	.90	.85		
Plumbers & Pipefitters & Steamfitters:					
Dupage County: (Argonne - AEC Plant)					
Plumbers	13.80	.80	.90		.07
Dupage County: (Remainder of County)					
Plumbers & Pipefitters:					
Wheaton & N. Dupage Counties	13.65	.75	1.10		.10
Naperville & South Dupage Counties	13.68	.90	.97		.05
Kane County:					
Plumbers; Steamfitters & Pipefitters:					
Elgin & Vicinity	13.01	.90	.60	1.00	.08
Aurora & Vicinity	14.41	.65	.50		.04
Lake & McHenry Counties:					
Plumbers	13.30	1.00	1.05		.25
Sprinkler Fitters:					
Dupage County	13.75	.90	1.05		.15
Ironworkers:					
Lake, McHenry, (Heborn, Woodstock & East thereof) Co.	13.65	1.24	1.22		.10

MODIFICATION PAGE 13
MODIFICATION PAGE 14

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-5052 (Cont'd)					
Sprinkler Fitters:					
Lake County:					
Within 20 miles Radius of Chicago City Hall	$ 13.95	.90	1.05		.15
DECISION NO. IL79-2053 - MOD. #1 (44 FR 48833 - August 24, 1979) Madison & St. Clair Counties, Illinois					
Change:					
Asbestos Workers	13.26	.90	1.04		
Bricklayers:					
Madison County:					
Alton, Granite City & Vicinities					
Bricklayers; Stonemasons; Pointers-Caulkers- Cleaners	12.45	.80	.75		
Carpenters:					
St. Clair County: Carpenters; Millwrights; Soft Floor Layers & Piledrivermen	12.685	.60	1.00		
Electricians:					
Alton & Vicinity in Madison County	$13.94	.55	3%+1.00	6%	3/10%
St. Clair Co. & the Remainder of Madison Co.	13.23	.53	3%+.93	6%	½%
Power Equipment Operators:					
Group I	12.57	.87	1.51		.05
Group II	10.64	.87	1.51		.05
Group III	9.99	.87	1.51		.05
Group IV	9.89	.87	1.51		.05
Group V	9.64	.87	1.51		.05
Group VI					
a.	14.77	.87	1.51		.05
b.	15.07	.87	1.51		.05
c.	11.79	.87	1.51		.05
d.	12.29	.87	1.51		.05
Glaziers	12.58	1.02	1.78	1.66	.01

MODIFICATION PAGE 15

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2054 - MOD. #2 (44 FR 34741 - June 15, 1979) Henderson, Henry, Knox, Mercer, Rock Island, Stark & Warren Counties, Illinois					
Change:					
Bricklayers:					
Henry County:					
Bricklayers, Stonemasons & Plasterers	$12.85		1.00		
Electricians:					
Henderson, Knox & Warren Cos., Twps. of Ohio Grove, N. Henderson & Suez in Mercer County	12.87	.55	3%+1.00		3/4%
Stark Co. (Twps. of Essex, Valley & W. Jersey)	12.87	.55	3%+1.00		3/4%
Roofers:					
Henry, Mercer & Rock Island Counties	12.15	.75	.80		
Laborers:					
Rock Island & Mercer Counties:					
Unskilled	10.52	.50	1.00		.035
Semi-Skilled	10.77	.50	1.00		.035
Skilled	11.02	.50	1.00		.035

MODIFICATION PAGE 16

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION #IL79-2067-Mod. #2 (44 FR 49837 - August 24, 1979) Boone, Carroll, DeKalb, JoDaviess, Lee, Ogle, Stephenson, Whitside and Winnebago Counties, Illinois					
Change:					
Carpenters:					
Boone and Winnebago Cos. Carpenters and Piledrivermen	$11.85	.55	$1.20		
Millwrights	12.60	.55	1.20		
Electricians:					
Boone, DeKalb, Ogle, Lee, Stephenson, Winnebago, JoDaviess (Warren, Rush, Nora, Stockton, Wards Grove, Pleasant Valley, Berrenman Twps.) Co.; Carroll (Cherry Grove, Shannon, Rock Creek, Lima, Wysox, Elkhorn, Grove Twps.) County; Whitside (Genesse, Jordan, Hopkins, Sterling, Hume, Montgomery, Tampico, Hahnaman Twps.) County	12.96	.50	3%+.80		1/2%
Plumbers & Steamfitters:					
DeKalb County	13.70	.75	.95		.20

MODIFICATION PAGE 17

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. IL79-2068 - MOD. #2 (44 FR 49877 - August 24, 1979) Winnebago County, Illinois					
Change:					
Carpenters & Soft Floor Layers	$11.85	.55	1.20		
Millwrights	12.60	.55	1.40		
Ironworkers	13.25	.75	.375		.10
Lathers	12.05	.55	.85		
DECISION NO. IL79-2070 - MOD. #1 (44 FR 52540 - September 7, 1979) Clark, Clay, Coles, Crawford, Cumberland, Douglas, Edgar, Edwards, Effingham, Fayette, Jasper, Lawrence Richland, Wabash & Wayne Counties, Illinois					
Change:					
Bricklayers: Remainder of Counties: Bricklayers, Stonemasons, Blocklayers, Pointers, Caulkers, Cleaners, Marble-Tile-Terrazzo Workers	12.20		1.00		

MODIFICATION PAGE 18

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
Decision #MS79-1119 - Mod. #4 (44 FR 48567 - August 17, 1979) Hancock, Harrison, Jackson and Pearl River Counties, Mississippi.					
CHANGE:					
Power Equipment Operators:					
Group 1	9.93	.50	.30		.05
Group 2	8.83	.50	.30		.05
Group 3	8.78	.50	.30		.05
Group 4	7.93	.50	.30		.05
Group 5	6.73	.50	.30		.05
Group 6	6.73	.50	.30		.05

MODIFICATION PAGE 19

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. NJ78-3047 MOD. #9 (43 FR 26235 - June 16, 1978) Atlantic, Burlington, Camden, Cape May, Cumberland, Gloucester, Mercer, Monmouth, ~~Ocean and Salem Counties~~, New Jersey					
CHANGE:					
AIR CONDITIONING & REFRIGERATION MECHANICS	$9.10	.065	.31	r	.04
BOILERMAKERS	12.76	8%	20%+.25	10%	.02
BOILERMAKERS HELPERS	12.23	8%	20%+.25	10%	.02
BRICKLAYERS, STONE MASONS, MARBLE MASONS, CEMENT MASONS, PLASTERERS, TILE LAYERS, & TERRAZZO WORKERS:					
Zone 2 -Bricklayers, Stonemasons, Marble masons, Tile layers & Terrazzo workers	11.55	1.05	1.15		.01
Zone 4	11.80	.80	1.00		.03
CARPENTERS, MILLWRIGHTS & INSULATORS:					
Zone 2 - Carpenters & Insulators	12.13	8%	7%		.3%
Millwrights	12.38	8%	7%		.3%
ELECTRICIAN & CABLE SPLICER:					
Zone 1	12.90	7%	3%+2.05		.01
Zone 4	13.23	7%	3%+1.10		.04
Zone 5	13.53	7%	3%+.60		.02
IRONWORKERS:					
Structural, Ornamental & Reinforcing;					
Zone 2	13.03	1.24	1.36		
LINE CONSTRUCTION:					
Zone 1 - Linemen, Cable Splicers & Equipment operators	12.90	7%	3%+2.05		3/4%
Groundmen	10.95	7%	3%+2.05		3/4%
Zone 5 - Linemen, Equipment Operators & Linemen					
Welders	13.95	.45	3%+.60		3/4%
Truck drivers	10.13	.45	3%+.60		3/4%
Groundmen	9.47	.45	3%+.60		3/4%
PLUMBERS & PIPEFITTERS:					
Zone 3	14.41	1.04	.90		.08
SPRINKLER FITTERS:					
Zone 2	14.13	.75	1.05		.08

MODIFICATION PAGE 20

	Basic Hourly Rates	Fringe Benefits Payments: H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. PA78-3054 MOD. #5 (43 FR 35868 - August 11, 1978) Bucks, Chester, Delaware, ~~Montgomery and Philadelphia~~ Counties, Pennsylvania					
CHANGE:					
TRUCK DRIVERS:					
Heavy and Highway including Building site preparation;					
Class 1	$8.695	.9175	.975	a+b	
Class 2	8.795	.9175	.975	a+b	
Class 3	8.895	.9175	.975	a+b	
DECISION NO. PA78-3067 Mod. NO. 7 (43 FR 43232 - September 22, 1978) Adams & York Counties, Pennsylvania					
CHANGE:					
ASBESTOS WORKERS	$11.61	1.12	.90		.01
LINE CONSTRUCTION:					
LINEMEN, CABLE SPLICERS	12.05	.45	3%		3/8%
WINCH TRUCK OPERATOR	8.43	.45	3%		3/8%
GROUNDMAN	7.23	.45	3%		3/8%
MARBLE, TILE, TERRAZZO WORKERS	9.20	.45	.45		
MILLWRIGHTS	10.94	.75	.50		
SOFT FLOOR LAYERS:					
YORK COUNTY	10.44	.75	.50		
SPRINKLER FITTERS	13.55	.75	1.05		.08
OMIT:					
ELECTRICIANS	11.60	.45	3%+.15		.01
ADD:					
ELECTRICIANS:					
FRANKLIN, CARROL, MONOGHAN AND FAIRVIEW TOWNSHIPS IN YORK COUNTY	11.36	.65	3%+.67		1/4%
REMAINDER OF YORK COUNTY, AND ADAMS COUNTY IN ITS ENTIRETY	11.95	.45	3%+.15		.01

MODIFICATION PAGE 21

DECISION NO. PA79-3000 MOD. #5
(44 FR 5625 - January 25, 1979)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and or Appr. Tr.
Butler, Cambria, Erie, Fyette, Mercer, Washington, Westmoreland, Lawrence, Somerset, Allegheny, Beaver, Armstrong, Blair, Cameron, Centre, Clarion, Clearfield, Crawford, Forest, Greene, Indiana, McKean, Venango, Warren, Bedford, Jefferson, Clinton, Elk, Franklin, Fulton, Huntingdon, Mifflin & Potter Counties, Pennsylvania					
CHANGE:					
IRONWORKERS:					
Reinforcing					
Zone 1	$9.25	.785	1.215		.01
LANDSCAPING:					
Landscape Laborer to include general landscaping work & driving of truck for distributing materials on job site but not to include dump trucks used to transport supplies to the job:					
Zone 1	7.25	12%	10%		
Zone 2	7.17	12%	10%		
Landscape Tractor Operator to operate small industrial rubber tire tractor equipped with front end loader and back hoe attachment used for the sole purpose of landscape work including soil spreading, but not for heavy and highway construction work					
Zone 1	7.71	12%	10%		
Zone 2	7.62	12%	10%		
PLUMBERS:					
(Bridge - drain pipe) Allegheny, Armstrong, Greene, Washington Counties	12.83	1.00	1.45		.07

MODIFICATION PAGE 22

DECISION NO. PA79-3000 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and or Appr. Tr.
ADD:					
TRUCK DRIVERS:					
Building, Site preparation, Paving, Utilities					
CLASS 1	$9.85	9.6%	6.6%	a	
CLASS 2	9.91	9.6%	6.6%	a	
CLASS 3	9.92	9.6%	6.6%	a	
CLASS 4	10.01	9.6%	6.6%	a	
CLASS 5	10.20	9.6%	6.6%	a	
CLASS 6	10.03	9.6%	6.6%	a	
CLASS 7	10.18	9.6%	6.6%	a	

CLASSIFICATION DEFINITIONS

CLASS 1 - Warehouseman, Chauffeur, and Ambulance Drivers, Service Truck, (pick-up, jeep, buses, station wagon, panel truck, escort vehicle, including fuel and water trucks).

CLASS 2 - Dump and flat top (including fuel and water trucks, fork lift in warehouse or job site storage area and single axle trucks with power tailgate); distributor truck over 33,000 lbs. gross weight (oil, tar asphalt products two man operation, both men).

CLASS 3 - Transit mix, single axle.

CLASS 4 - Transit mix, tandem.

CLASS 5 - Heavy duty tractor and trailer with low bed, 6 to 16 wheels and pole trailer and wide load.

CLASS 6 - Distributor truck up to 33,000 lbs. gross weight (oil, tar asphalt products) one man operation; truck with dolly and scissor truck; truck with dump trailer or tandem, including fuel and water, tandem axle truck with power tailgate and scissor truck; euclids or equivalent, tri-axle including mixer, drivers towing equipment

CLASS 7 - Winch truck and form truck

FOOTNOTE:

a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas Day, Veteran's Day and Good Friday, provided the employee is available for work the day before and the day after the holiday and has been employed by the employer a minumum of 40 hours each calendar month for two consecutive months.

MODIFICATION PAGE 23

DECISION NO. PA79-3003 MOD. #4
(44 FR 13228 - March 9,1979)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Lawrence, Mercer Counties, Pennsylvania					
CHANGE:					
ASBESTOS WORKERS	$13.74	.55	1.25		.02
BRICKLAYERS & STONE MASONS:					
Lawrence County	12.00	.75	.95		.02
CARPENTERS:					
Lawrence County	11.75	6%	8%	10%	
CEMENT MASONS:					
Mercer County	12.21	.85	1.95		
Lawrence County	13.04				
LABORERS:					
Laborers, carryable pumps, west brick buggy or similar (non-self-propelled), vibrator operators, walk behind fork lift or similar stripper & mover of forms, cement finishers, footers, window cleaner, tool room man, all material conveyor (regardless of power used, including starting & stopping)	10.17	9%	9%		
West brick buggy or similar (self-propelled), power wheel-barrows and buggies, walk behind forklift or similar, (self-propelled) wagon drill runners tenders, (including drill mounted on truck, track or similar, blaster's tenders, all operators of compacting equipment, pipe layer, burner, jackhammer man concrete buster	10.28	9%	9%		
Hod Carrier, scaffold builder bell and bottom man on furnaces and stacks, mortar mixer, mortar mixing machine (regardless of power used, including starting & stopping) grout machine feeder & pump operators and concrete saw					

MODIFICATION PAGE 24

DECISION NO. PA79-3003 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
LABORERS (CONT'D):					
operator, wagon drill	$10.40	9%	9%		
operators	10.63	9%	9%		
Gunnite nozzleman	10.82	9%	9%		
Blaster					
LANDSCAPING:					
Landscape Laborer to include general landscaping work and the driving of trucks for the distributing of materials on the job site but not to include dump trucks used to transport supplies to the job	7.25	12%	10%		
Landscape Tractor Operator to operate small industrial rubber tire tractor equipped with front end loader and back hoe attachment used for the sole purpose of landscape work including soil spreading, but not for heavy and highway construction work	7.71	12%	10%		
MILLWRIGHTS:					
Lawrence County	11.20	6%	6%	25%	4%
PAINTERS:					
Commercial - shall include stores, schools, warehouses not in plant showrooms, churches, apartment buildings, commercial garage, office buildings;					
Brush and Roller	11.60	.75	1.10		
Spray	12.60	.75	1.10		
Industrial - shall include sewage treatment plants, water works or authorities, and power plants, all skeleton steel, railroad and highway bridges, towers, tanks, storage tanks, furnaces, machinery, corrugated ceiling and sidewalks,					

MODIFICATION PAGE 25

DECISION NO. PA79-3003 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
PAINTERS (CONT'D):					
sheeting steel sash and all steel surfaces, offices and hospital, both interior and exterior					
Brush and Roller	$12.10	.75	1.10		
Spray	13.10	.75	1.10		
PILEDRIVERMEN:					
Lawrence County	12.98	5.5%	10%		4%
PLASTERERS:					
Lawrence County	13.39				.01
Mercer County; Shenango, Sandy Lake and Redonia Twps.	13.39				.01
PLUMBERS & STEAMFITTERS:					
Mercer County	13.45	.50	1.05		.05
Lawrence County	13.24	1.01	.96		.05
POWER EQUIPMENT OPERATORS: (See attached schedule)					

MODIFICATION PAGE 26

DECISION NO. PA79-3003 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
POWER EQUIPMENT OPERATORS					
CLASS I	$13.175	1.05	1.00		.09
CLASS I-A	13.425	1.05	1.00		.09
CLASS I-B	13.675	1.05	1.00		.09
CLASS I-C	13.925	1.05	1.00		.09
CLASS II	12.975	1.05	1.00		.09
CLASS III	11.53	1.05	1.00		.09
CLASS III-A	12.03	1.05	1.00		.09
CLASS IV	10.71	1.05	1.00		.09
CLASS V	10.44	1.05	1.00		.09
CLASS V-A	10.54	1.05	1.00		.09
CLASS V-B	10.69	1.05	1.00		.09
CLASS V-C	11.44	1.05	1.00		.09

POWER EQUIPMENT OPERATORS CLASSIFICATION DEFINITIONS

CLASS I - Austin-Western or similar type under 25 Ton, Austin-Western or similar type 25 ton or over; auto grader (CMI or similar); backhoe; batch plant - when conveyors are used for direct feeding or discharge, batch plant - no coveyors for direct feeding or discharge; cableway; caisson drill, central mix plant; cranes (excluding overhead) (truck or crawler type); cranes - tower (mobile); cranes - tower (stationary) (climbing type); cranes - tower (climbing type); cranes - hydraulic self-contained wagon crane - over 18 ton; cranes - hydraulic self-contained wagon crane - 18 ton or less; derrick-traveler (self-propelled); derrick (all types); derrick boats; dragline; dredge; engineer-maintenance; franki or similar type pile driver; gradall (remote control or otherwise; helicopter (when used for erection purposes); helicopter hoist operators (when used for erection purposes); hi-lift 4 yds. or over; hoist-hod (2 cages up to 10 floors; hoist-single cage with Chicago boom attached; hoist (50 ft. or over) (stacks, stoves or furnaces); hoist (slipform jobs; hop-to or similar type with 180° swing; hop-to or similar type with 360° swing; kocal; koehring scooper; metro chip harvester or similar type; mix mobile or similar type (with self-loading attachment); mix mobile or similar type; mucking machine (tunnel); multiple bowl machines; pile driver (sonic or similar type); post driver - guard rail (truck mounted); post driver - guard rail (skid type); pumpkrete - mobile or similar type; quad nine; shovels (all types); slip form paver (CMI or similar); tractors - boom mounted (all types); tractors (all types with hydraulic backhoe attached); tug boat and whirley

MODIFICATION PAGE 27

DECISION NO. PA79-3003 (Cont'd)

POWER EQUIPMENT OPERATORS CLASSIFICATION DEFINITIONS CONT'D

CLASS I-A - Austin-Western or similar type under 25 ton with jib; Austin-Western or similar type 25 ton or over with jib; cranes (boom or mast 100 ft. or over to & including 150 ft. (truck or crawler type); cranes - mobile (any type 15 ton or over placed on any bldg. structure; hoist-hod (2 cages over 10 floors)

CLASS I-B - Cranes (boom or mast over 150 ft. up to & including 200 ft. truck or crawler type)

CLASS I-C - Cranes (boom or mast over 200 ft.)

CLASS II - Asphalt plant operator; athey loader; auger - truck tractor mounted; back filling machine; boat - material or personnel carrying (powered); boat - job work (inboard or outboard); bulldozer; cable layer; compactor with blade; compressor (1) and air tugger (1) (combination); compressor (1) and gunite machine (1) (combination); concrete belt placer; crane - overhead; crushing & screening plants; drill - Davey or similar type; drill - core (truck or skid mounted); drill - well & core (truck mounted); elevator (new buildings); euclid loader; excavating equipment (all other); forklift-lull or similar; grader; grader-elevating; greaser-equipment (head); hi-lift - less than 4 yds; hoist - one drum (4 floors or over); hoist - hod (buildings 4 floors or more); hoist - (2 drums or more in one unit); jumbo operator; locomotive; lift slab machine (hydraulic); mixer - paving; mucking machine; pipe cleaning machine; refrigeration plant (used for constr. jobs i.e., cooling, concrete & holding banks); ross carrier (or similar type); scoop (single bowl) (self-powered & tractor drawn); spreader - concrete, asphalt and stone; tower mobile (hoisting or lowering material); trencher; well point systems; compressors (3 within a reasonable distance); generators electric (3) (over) 5 KW up to 20 KW); pumps (1½" discharge or less) (4 to 5 within reasonable distance); pumps (3) (over 1½ discharge) (within reasonable distance); welding machines (4 to 6 within reasonable distance) (other than electrically driven); elevator (when used for alterations & remodeling all bldgs); grout pump (10 H.P. or over); paver operator - asphalt (spreader); pumpkrete or similar type (not self-propelled); pumpkrete machine operator (stationary); tire repairman (when assigned to job); welder (repairman)

MODIFICATION PAGE 28

DECISION NO. PA79-3003 (Cont'd)

POWER EQUIPMENT OPERATORS CLASSIFICATION DEFINITIONS CONT'D

CLASS III - Ballast regulator; boiler; boring machine; broom, power (except push type); compressor - single (over 65 CFM; compressor (over 125 CFM and air pump); compressor (1) and sand blasting machine (1) (combination); conveyor over 1 and up to 3 units (regarless of power used); crane (carry); curb builder (self propelled); drills - well and horizontal truck mounted; forklifts (ridden or self-propelled); form line machine; generator (over 5 KW); hoists (monorail) (regardless of power used); hoist one drum (regardless of power used); hoist roof (regardless of power used); huck machine or similar type; mixer concrete (regardless of power used); mixer mortar - over 10 cu. ft. (regardless of power used); pavement breaker (self-propelled or ridden); pipe dream; plant, private or industrial air or steam valve; pump (over 1½" discharge regardless of power used); roller; saw (concrete); soil stabilizer (pump type); spray cure machine (power driven); steam jenny (or similar type); stone crusher; stone spreader self-propelled; syphon (steam or air); tractors (when used for snaking and hauling); truck, (winch) truck or hydraulic boom (when hoisting & placing); tube finisher (CMI or similar type); tugger; welding machine single (300 amp or over) (other than electrically driven); compressors (2); generators (2); mortar machine over 10 cu. ft. and single unit conveyor; pumps (1½" discharge or less) (2 to 3); pumps (over 1½" discharge (2) in bank) (within reasonable distance); welding machines (2 to 3) (other than electrically driven)

CLASS III-A - Conveyors 4 units or more

CLASS IV - Compressor - 65 cubic ft. or under (regardless of power used); conveyors one (1) unit (regardless of power used); heaters - up to and including 6; jack motor hydraulic (single type) power driven; ladavator; mixer mortar (10 cubic ft. or under); mulching machine; pin puller (powered); pulverizer; pump - 1½" discharge or less; seeding machine; spreader side delivery shoulder (attachment); tie tamper (multiple heads); tractor farm (when used for landscaping); water blaster

CLASS V - Brakeman; deckhand; helicopter oiler; mechanic

CLASS V-A - Truck crane; oiler & fireman

CLASS V-B - Oiler on truck crane 50-ton up to but not incl. 100-ton

CLASS V-C - Oiler truck crane 100 ton and over

MODIFICATION PAGE 29

DECISION NO. PA79-3003 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
SOFT FLOOR LAYERS:					
Lawrence County	$11.71	6%	6%	6%	.06
SPRINKLER FITTERS	13.55	.75	1.05		.08
TRUCK DRIVERS:					
Class 1	9.85	9.6%	6.6%	a	
Class 2	9.91	9.6%	6.6%	a	
Class 3	9.92	9.6%	6.6%	a	
Class 4	10.01	9.6%	6.6%	a	
Class 5	10.20	9.6%	6.6%	a	
Class 6	10.03	9.6%	6.6%	a	
Class 7	10.18	9.6%	6.6%	a	

CLASSIFICATION DEFINITIONS

CLASS 1 - Warehouseman, chauffeur & ambulance drivers, service truck (pick-up, jeep, busses, station wagon, panel truck, escort vehicle, including fuel and water trucks).

CLASS 2 - Dump and flat top (including fuel and water trucks, fork lift in warehouse or job site storage area and single axle trucks with power tailgate); distributor truck over 33,000 lbs. gross weight (oil, tar asphalt products two man operation, both men).

CLASS 3 - Transit mix, single axle.

CLASS 4 - Transit mix, tandem.

CLASS 5 - Heavy duty tractor and trailer with low bed, 6 to 16 wheels and pole trailer and wide load.

CLASS 6 - Distributor truck up to 33,000 lbs. gross weight (oil, tar asphalt products) one man operation; truck with dolly and scissor truck; truck with dump trailer or tandem, including fuel and water, tandem axle truck with power tailgate and scissor truck; euclids or equivalent, tri-axle including mixer, drivers towing equipment.

CLASS 7 - Winch truck and form truck.

FOOTNOTE:
a. Paid Holidays: New Year's Day, Memorial Day, Independence Day, Labor Day, Thanksgiving Day, Christmas Day, and Veterans Day and Good Friday provided the employee is available for work the day before and the day after the holiday and has has been employed by the employer a minimum of 40 hours each calendar month for two consecutive months.

MODIFICATION PAGE 30

DECISION NO. PA79-3003 (Cont'd)

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
SHEET METAL WORKER: Lawrence County	$12.60	1.02	1.56		.21

MODIFICATION PAGE 31

DECISION NO. PA79-3009 MOD. #4
(44 FR 26518 - May 4, 1979)
Bucks, Chester, Delaware, Montgomery & Philadelphia Counties, Pennsylvania

CHANGE:	Basic Hourly Rates	Fringe Benefits Payments H & W	Pensions	Vacation	Education and or Appr. Tr.
BRICKLAYERS					
All other work					
Zone 2	$10.96	1.37	1.75		.02
ELECTRICIANS					
Commercial					
Zone 2	13.58	5%	9%		1.5%
Zone 3	13.57	6%	3%+10		½ of 1%
Zone 8	14.64	7%	3%+.80		.15
ELEVATOR CONSTRUCTORS	13.015	1.045	.82	a+b	.035
ELEVATOR CONSTRUCTORS HELPERS	9.11	1.045	.82	a+b	.035
ELEVATOR CONSTRUCTORS HELPERS (PROBATIONARY)	6.51				
IRONWORKERS:					
All other work					
Zone 3					
Structural and ornamental	13.17	1.24	1.36		.04
Reinforcing	12.67	1.24	1.86		.01
Rigger, machinery mover	12.70	1.24	1.36		
LINE CONSTRUCTION:					
Zone 2					
Linemen, cable splicers, heavy equipment operator, truck driver	14.64	7%	3%+.75		3/4%
Groundman, Winch operator	11.71	7%	3%+.75		3/4%
MARBLE SETTERS	10.60	.87	1.57		
PAINTERS:					
Zone 2					
Commercial - shall not include stores, schools, warehouses not in plant showrooms, churches, apartment buildings, commercial garage, office buildings					
Brush	11.08	.90	1.00		
Spray	11.58	.90	1.00		
Pointers, Caulkers and Cleaners	12.18	1.00	.70		
STEAMFITTERS:					
All Counties	13.16	.80	1.45		.11
STONE MASONS:					
Zone 1	10.03	.87	1.57		

MODIFICATION PAGE 32

DECISION NO. PA79-3009
MOD. NO. 4

	Basic Hourly Rates	Fringe Benefits Payments H & W	Pensions	Vacation	Education and/or Appr. Tr.
STONE MASONS (CONT'D)					
Zone 2	$11.46	1.07	1.45		.02
SOFT FLOOR LAYERS:					
All other work	9.88	2.18	1.40		.13
SPRINKLER FITTERS (ZONE I)	13.55	.75	1.05		.08
TERRAZZO WORKERS	10.25	.87	1.57		
TILE SETTERS:					
All other work	10.00	1.35	1.40		.14
PLUMBERS:					
All other work					
Zone 1	13.13	.85	1.40		.14
Zone 3	12.73	.85	1.40		.14
Area covered by Plumbers, Zone 1 to read Delaware, Chester, Montgomery, Philadelphia Counties; Remainder of Bucks County					
ROOFERS:					
Rehabilitation work to include demolition, repair, and alteration, on any existing structure or not more than (4) stories which is intended for predominantly residential use:					
Zone 1					
Composition, damp and waterproofers	10.37	.80	.70		
OMIT:					
PLUMBERS:					
All other work					
Zone 2	8.50	.485	.82		.035
Area covered by Zone 2 - Remainder of Chester and Montgomery Counties					
ADD:					
TRUCK DRIVERS:					
Building, site preparation, paving and utilities;					
Class 1	8.695	.7175	.70	a+b	
Class 2	8.795	.7175	.70	a+b	
Class 3	8.995	.7175	.70	a+b	

MODIFICATION PAGE 33

DECISION NO. PA79-3009,
MOD. NO. 4

	Basic Hourly Rates	Fringe Benefits Payments H & W	Pensions	Vacation	Education and/or Appr. Tr.
BUILDING, SITE PREPARATION, PAVING, AND UTILITIES					
CLASS 1	$8.695	.9175	.975	a+b	
CLASS 2	8.795	.9175	.975	a+b	
CLASS 3	8.995	.9175	.975	a+b	

FOOTNOTES:

a. Employee will earn one (1) vacation day every two (2) months up to a maximum of five (5) vacation days per calendar year. During each two (2) consecutive months period, employee must have worked twenty-six (26) days in that two month period. After 130 workdays the employee will be entitile to all days of vacation.

b. Paid Holidays: Memorial Day; Independence Day; Labor Day and Veterans' Day and five (5) personal holidays provided such employee work the scheduled work days before and after said holiday; and employee gives employer one (1) week's notice requesting a personal holiday. The eligibility for personal holidays will be as follows: Employee will earn one (1) personal holiday every two (2) months up to a maximum of five (5) personal holidays per calendar year. During each two (2) consecutive month period, employee must have worked twenty-six (26) days in that two month period. After 130 workdays the employee will be entitled to all personal holidays.

CLASSIFICATIONS

HEAVY & HIGHWAY TRUCK DRIVERS

CLASS 1: Helpers, Stake Body Truck (single axle, Dumpster)

CLASS 2: Dump Trucks, Tandem & Batch Trucks, Semi-Trailers, Agitator Mixer Trucks, and Dumpcrete Type Vehicles, Asphalt Distributors, Farm Tractor when used for Transportation, Stake Body Truck (Tandem)

CLASS 3: Euclid Type, Off-Highway Equipment or Belly Dump Trucks and Double Hitched Equipment, Staddle (Ross) Carrier, Low-Bed Trailers

MODIFICATION PAGE 34

	Basic Hourly Rates	Fringe Benefits Payments H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. TX79-4032 - MOD. #6 (44 FR 16325 - March 16, 1979) Harrison County, Texas					
CHANGE:					
Asbestos workers	$11.36	.70	.96		.03
Power equipment operators:					
Group 2	10.02	.65	1.00		.10
Group 3	10.42	.65	1.00		.10
DECISION NO. TX79-4033 - MOD. #7 (44 FR 16326 - March 16, 1979) Jefferson & Orange Cos., Texas					
CHANGE:					
Electricians	14.40	.75	3%+.285		.08
DECISION NO. TX79-4035 - MOD. #1 (44 FR 56108 - September 28, 1979) Gregg County, Texas					
CHANGE:					
Asbestos workers	11.36	.70	.96		.03
DECISION NO. TX79-4036 - MOD. #5 (44 FR 48594 - August 17, 1979) Galveston & Harris Cos., Texas					
CHANGE:					
Electricians:					
Galveston County	13.39	.75	3%+1.40		.08

MODIFICATION PAGE 35

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. TX79-4037 - MOD. #4 (44 FR 31856 - June 1, 1979) Lubbock County, Texas					
CHANGE:					
Asbestos workers	$11.00	.80	1.05		.02
Electricians:					
Electricians	11.45	.60	3%		1/10%
Cable splicers	11.70	.60	3%		1/10%
Ironworkers:					
Structural; Ornamental; Reinforcing	10.00	.55	1.40		.10
All ironworkers on jobs 30 miles or more from the city of Lubbock	10.125	.55	1.40		.10
Line construction:					
Linemen	11.45	.60	3%		1/10%
Operators	80%JR	.60	3%		1/10%
Flat bed truck driver	70%JR	.60	3%		1/10%
Plumbers & steamfitters	11.05	.50	.45		.04
Sheet metal workers	11.28	.50	.55		.12
OMIT:					
Line construction:					
Groundmen (more than 1 year experience)	55%JR	.60	3%		1/10%
Groundmen (less than 1 year experience)	50%JR	.60	3%		1/10%
ADD:					
Line construction:					
Groundmen	55%JR	.60	3%		1/10%

MODIFICATION PAGE 36

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. TX79-4039 - MOD. #4 (44 FR 16329 - March 16, 1979) Ector & Midland Cos., Texas					
CHANGE:					
Asbestos workers	$11.00	.80	1.05		.02
Ironworkers:					
Structural; Ornamental; Reinforcing	10.00	.55	1.40		.10
All ironworkers on jobs 30 miles or more from Terminal (midway Odessa-Midland)	10.125	.55	1.40		.10
DECISION NO. TX79-4041 - MOD. #1 (44 FR 56108 - September 28 1979) Taylor County, Texas					
CHANGE:					
Asbestos workers	11.36	.70	.96		.03
DECISION NO. TX79-4043 - MOD. #1 (44 FR 56109 - September 28, 1979) Smith County, Texas					
CHANGE:					
Sprinkler fitters	12.79	.75	1.08		.08
DECISION NO. TX79-4046 - MOD. #2 (44 FR 48593 - August 17, 1979) Brazos County, Texas					
CHANGE:					
Plasterers	12.40	.87	.40		.02

MODIFICATION PAGE 37

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. TX79-4048 - MOD. #8 (44 FR 16330 - March 16, 1979) Armstrong, Carson, Castro, Childress, Collingsworth, Dallam, Deaf Smith, Donley, Gray, Hansford, Hartley, Hemphill, Hutchinson, Lipscomb, Moore, Ochiltree, Oldham, Potter, Randall, Roberts, Sherman, Swisher & Wheeler Counties, Texas					
CHANGE:					
Asbestos workers	$11.00	.80	1.05		.02
Electricians:					
Zone 1 - Electricians	11.58	.60	3%+.50		1/2%
Cable splicers	12.74	.60	3%+.50		1/2%
Ironworkers - Zone 2	10.125	.55	1.40		.10
Line construction:					
Zone 2:					
Lineman	11.58	.60	3%+.50		1/2%
Cable splicers	12.74	.60	3%+.50		1/2%
Operator-hole digger, line truck	8.91	.60	3%+.50		1/2%
Flat bed truck driver	6.72	.60	3%+.50		1/2%
OMIT:					
Line construction:					
Zone 2:					
Groundman:					
Less than 1 year experience	6.52	.60	3%+.50		1/2%
More than 1 year experience	7.44	.60	3%+.50		1/2%
ADD:					
Line construction:					
Zone 2 - Groundman	7.66	.60	3%+.50		1/2%

MODIFICATION PAGE 38

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
DECISION NO. TX79-4084 - MOD. #1 (44 FR 57630 - October 5, 1979) Howard County, Texas					
CHANGE:					
Ironworkers, structural & ornamental	$10.00	.55	1.40		.10

SUPERSEDEAS DECISION

STATE: Alabama COUNTIES: *See below
DECISION NUMBER: AL79-1157 DATE: Date of Publication
Supersedes Decision No.: AL77-1075 dated June 3, 1977 in 42 FR-28756
DESCRIPTION OF WORK: Residential construction projects consisting of single family homes and apartments up to and including 4 stories

*Counties: Blount, Jefferson Saint Clair, Shelby, Talladega and Walker

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
Air conditioning and heating mechanic	6.00				
Bricklayers	8.80				
Carpenters	5.72				
Cement masons	8.53				
Drywall finisher	5.73				
Drywall hanger	6.00				
Electricians	6.03				
Ironworkers, structural & ornamental	4.25				
Insulation applicators	4.00				
Laborers	3.59				
Painters	5.60				
Plumbers & pipefitters	6.50				
Roofers	6.50				
Sheet metal workers	5.66				
Tile setters	6.50				
Truck Drivers	4.50				
POWER EQUIPMENT OPERATORS:					
Backhoe	5.85				
Bulldozers	5.00				
Front end loader	5.87				
Grader	5.00				

Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a)(1)(ii)

SUPERSEDEAS DECISION

STATE: Kansas

COUNTIES: Douglas, Jefferson, Leavenworth, Miami & Shawnee

DECISION NO. KS79-4107

DATE: Date of Publication

Supersedes Decision No. KS77-4161 dated July 8,1977 in 42 FR 35543

DESCRIPTION OF WORK: Highway Construction

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
CARPENTERS & PILEDRIVERMEN:					
Zone 1	$8.70	.40	.60		.05
Zone 2	11.00	.50	.30		.05
Zone 3	9.05	.40	.60		
AREAS COVERED BY CARPENTERS & PILEDRIVERMEN ZONES:					
Zone 1 - Douglas, Shawnee & Jefferson Counties.					
Zone 2 - Leavenworth County.					
Zone 3 - Miami County					
CEMENT MASONS:					
Zone 1 - Leavenworth & Miami Counties	10.20	.40	.50	1.25	
Zone 2 - Douglas & Shawnee Counties	9.55	.40	.35		
Zone 3 - Jefferson County	8.85	.40	.35		
ELECTRICIANS:					
Zone 1 - Leavenworth County (Delaware, High Prairie, Kickapoo & Leavenworth Twps.)	13.38	.69	3%+.70	.95	.12
Zone 2 - Douglas, Jefferson, Miami, Shawnee & the remainder of Leavenworth Counties	13.75	.50	3%+.70		.10
IRONWORKERS	11.60	.75	1.40	1.00	.05
LABORERS:					
Group 1					
Zone 1	6.30	.40	.50		.05
Zone 2	7.10	.40	.50		.05
Zone 3	7.00	.50	.50		.05
Zone 4	6.30	.40	.50		.05
Group 2					
Zone 1	6.45	.40	.50		.05
Zone 2	7.25	.40	.50		.05
Zone 3	7.15	.50	.50		.05
Zone 4	6.45	.40	.50		.05
Group 3					
Zone 1	6.55	.40	.50		.05
Zone 2	7.35	.40	.50		.05
Zone 3	7.25	.50	.50		.05
Zone 4	6.55	.40	.50		.05

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
LABORERS (Cont'd)					
Group 4					
Zone 1	$6.70	.40	.50		.05
Zone 2	7.50	.40	.50		.05
Zone 3	7.40	.50	.50		.05
Zone 4	6.70	.40	.50		.05
Group 5					
Zone 1	6.80	.40	.50		.05
Zone 2	7.60	.40	.50		.05
Zone 3	7.50	.50	.50		.05
Zone 4	6.80	.40	.50		.05

CLASSIFICATION DEFINITIONS

LABORERS:

Group 1 - Board mat weavers and cable tiers; georgia buggy (manually operated); Mixerman-no skip lift; nailers; salamander tenders; track men; tractor swamper; truck dumper; wire mesh setter; water pump up to 4 inches; and all other general laborers including flagman.

Group 2 - Air tool operators; cement handlers (bulk); chain saw; georgia buggy (mechanically operated); grade man; hot mastic kettlemen; crusher feeder; joint man; jute man; mason tender; material batch hopper and scale man; mixer man; pier hole man working 10 ft. deep; pipelayer-drainage (concrete and/or corrugated metal); signal man (crane); truck dumper-dry batch; vibrator operator; wagon and churn drill operator.

Group 3 - Asphalt raker, barco tamper; concrete saw; creosote material-handling and applying; nozzle burner (cutting torch).

Group 4 - Conduit pipe; tile and duct line setter; form setter and liner on concrete paving; powderman; sandblasting and gunnite nozzleman; sanitary sewer pipe layer.

Group 5 - Leadman or pusher.

LABORERS: (Cont'd)

AREA COVERED BY LABORERS

Zone 1 - Jefferson County

Zone 2 - Douglas & Shawnee Counties

Zone 3 - Leavenworth County

Zone 4 - Miami County

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
LINE CONSTRUCTION:					
Zone 1 - Remainder of Leavenworth County:					
Lineman	$14.32	.45	3%+.25		½%
Lineman operator	13.33	.45	3%+.25		½%
Groundman powderman	9.94	.45	3%+.25		½%
Groundman	9.44	.45	3%+.25		½%
Groundman (1st year)	8.08	.45	3%+.25		½%
Zone 2 - Douglas, Jefferson, Miami & Shawnee Counties & southwestern 2/3 of Leavenworth County:					
Lineman	12.56	.45	3%		½%
Cable splicers	11.96	.45	3%		½%
Groundman, over 1 year	7.44	.45	3%		½%
Groundman, 1st year	5.64	.45	3%		½%
Powderman	9.91	.45	3%		½%
Line Truck & Equipment Operators:					
1st year	7.61	.45	3%		½%
2nd year	9.10	.45	3%		½%
Over 2 years' experience	9.91	.45	3%		½%
POWER EQUIPMENT OPERATORS:					
Zone 1 - Leavenworth County					
Group 1	11.70	.75	1.00	.75	.10
Group 2	11.45	.75	1.00	.75	.10
Group 3	10.75	.75	1.00	.75	.10
Mechanics' helper	9.25	.75	1.00	.75	.10
Oiler	9.25	.75	1.00	.75	.10
Oiler Driver, all types	9.75	.75	1.00	.75	.10

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS:

Group 1 - Asphalt paver and spreader, asphalt plant console operator, auto grader, back hoe, blade operator, all types, boiler-2; booster pump on dredge, boring machine (truck or crane mounted); bulldozer operator; clamshell operator; compressor maintenance operator-2; concrete plant operator-central mix, concrete mixer paver, crane operator; derrick or derrick trucks; Ditching machine, dragline operator, dredge engineman, dredge operator, drillcat with compressor mounted on cat; drilling or boring machine, rotary, self-propelled, high loader-fork lift; locomotive operator, standard gauge, Mechanics and welders, maintenance operator, mucking machine, pile driver operator, pitman crane operator, pump-2; quad-trac;

CLASSIFICATION DEFINITIONS (CONT'D)

POWER EQIPMENT OPERATORS: Group 1 Cont'd

scoop operator-all types; scoops in tandem, self-propelled rotary drill (Leroy or equal-not air trac); shovel operator, side discharge spreader; sideboom cats, skimmer scoop operator, slip-form paver (CMI, REX, or equal); throttle man, truck crane, welding machine maintenance operator-2; hoisting engine-2 active drums.

Group 2 - "A" frame truck, asphalt hot mix silo, asphalt plant fireman, drum or boiler, asphalt plant mixer operator, asphalt plant man, asphalt roller backfiller operator; chip spreader, concrete batch plant, dry-power operated, concrete mixer operator, skip loader, concrete pump operator, crusher operator; elevating grader operator, greaser, hoisting engine-1 drum, Latourneau rooter, multiple compactor, pavement breaker, self-propelled of the hydra-hammer or similar type, power shield, pug mill operator, stump cutting machine, towboat operator, tractor operator-over 5 h.p..

Group 3 - Boilers-1; chip spreader (front man) churn drill operator, compressor maintenance operator-1; concrete saws, self-propelled, conveyor operator, distributor operator, finishing machine operator, fireman, rig, float operator, form grader operator, pump; pump maintenance operator, other than dredge; roller operator, other than high type asphalt; screening and washing plant operator; self-propelled street broom or sweeper; siphons and jets; sub-grading machine operator; tank car heater operator-combination boiler and booster; tractor-50 h.p. or less without attachments; vibrating machine operator, hot hand; welding machine maintenance operator-1.

Men working in tunnels or shafts (not air shafts or coffer dams) of twenty-five (25) feet or more in length or depth will be paid fifty (50) cents per hour above the regular classification.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
POWER EQUIPMENT OPERATORS: Jefferson & Miami Counties					
Group 1	$8.60	.50	1.00	.75	.10
Group 2	8.35	.50	1.00	.75	.10
Group 3	8.10	.50	1.00	.75	.10
Group 4	7.85	.50	1.00	.75	.10
Group 5	7.50	.50	1.00	.75	.10
Group 6	7.60	.50	1.00	.75	.10

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS:
Group 1 - Master Mechanic.
Group 2 - Asphalt paver and spreader, backhoe, boring machine, blades, all types, clamshell, concrete mixer paver operator, concrete plant operator (automatic), crane, truck crane, pitman crane, hydro crane or any machine with power swing, derrick or derrick trucks, dragline operator, dredge operator, dozer, ditching machine, euclid loader, hoist-2 active drums; loader, all types, mechanic or welder, mixermobile, mulit-unit scraper, piledriver operator, power shovel operator, quad track; scoop operators, all types; sideboom cat-cherry picker; skimmer scoop operator.
Group 3 - Asphalt plant operator, elevating grader operator; push-cat operator.
Group 4 - A-frame truck; asphalt roller operator; asphalt plant boiler fireman, backfiller operator, barger green loader, boiler-other than asphalt, bull float operator, churn drill operator, compressor operator (1); concrete central plant operator, concrete mixer operator, skip; concrete pump operator, crusher operator, distributor operator, finish machine operator-concrete; fireman other than asphalt, flex plane operator, fork lift, form grader operator; greaser; hoist-1 drum; jeep ditching machine; pavement breaker, self-propelled (of the hydra hammer or similar type); pump operator, 4" or over, two; pump operator, other than dredge screening and wash plant operator, small machine operator; spreader box operator, self-propelled; tractor operator over 50 h.p.; self-propelled roller operator, other than asphalt siphons and jets; subgrading machine operator, tank car heater operator, combination booster and boilers, towboat operator, vibrating machine operator, not hand.
Group 5 - Concrete gang saw, self-propelled (con-cut); conveyor operator; harrow, disc. seeder; oiler, tractor operator, 50 h.p. or less without attachments.
Group 6 - Oiler, motor crane.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
POWER EQUIPMENT OPERATORS: (Cont'd)					
Douglas & Shawnee Counties:					
Group 1	$9.25	.75	1.00	.75	.10
Group 2	9.00	.75	1.00	.75	.10
Group 3	8.75	.75	1.00	.75	.10
Group 4	8.50	.75	1.00	.75	.10
Group 5	8.15	.75	1.00	.75	.10
Group 6	8.25	.75	1.00	.75	.10

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS:
Group 1 - Master Mechanic.
Group 2 - Asphalt paver and spreader, backhoe, boring machine, blades, all types, clamshell, concrete mixer paver operator, concrete plant operator (automatic), crane, truck crane, pitman crane, hydro crane or any machine with power swing, derrick or derrick trucks, dragline operator, dredge operator, dozer, ditching machine, euclid loader, hoist-2 active drums; loader, all types, mechanic or welder, mixermobile, mulit-unit scraper, piledriver operator, power shovel operator, quad track; scoop operators, all types; sideboom cat-cherry picker; skimmer scoop operator.
Group 3 - Asphalt plant operator, elevating grader operator; push-cat operator.
Group 4 - A-frame truck; asphalt roller operator; asphalt plant boiler fireman, backfiller operator, barger green loader, boiler-other than asphalt, bull float operator, churn drill operator, compressor operator (1); concrete central plant operator, concrete mixer operator, skip; concrete pump operator, crusher operator, distributor operator, finish machine operator-concrete; fireman other than asphalt, flex plane operator, fork lift, form grader operator; greaser; hoist-1 drum; jeep ditching machine; pavement breaker, self-propelled (of the hydra hammer or similar type); pump operator, 4" or over, two; pump operator, other than dredge screening and wash plant operator, small machine operator; spreader box operator, self-propelled; tractor operator over 50 h.p.; self-propelled roller operator, other than asphalt siphons and jets; subgrading machine operator, tank car heater operator, combination booster and boilers, towboat operator, vibrating machine operator, not hand.
Group 5 - Concrete gang saw, self-propelled (con-cut); conveyor operator; harrow, disc. seeder; oiler, tractor operator, 50 h.p. or less without attachments.
Group 6 - Oiler, motor crane.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
TRUCK DRIVERS:					
Zone 1 - Leavenworth County					
Group 1	$8.89	.75	1.00	.75	
Group 2	9.09	.75	1.00	.75	
Group 3	9.40	.75	1.00	.75	
Group 4	9.55	.75	1.00	.75	
Group 5	8.665	.75	1.00	.75	

CLASSIFICATION DEFINITIONS

TRUCK DRIVERS:
Group 1 - One team; station wagons; pickup trucks; material trucks, single axle; tank wagon drivers, single axle.
Group 2 - Material trucks, tandem, two teams, semi-trailers, winch trucks-fork trucks; distributor drivers and operators; agitator and transit mix tank wagon drivers, single axle; tank wagon drivers; tandem or semi-trailer; insley wagons, dump trucks, excavator 5 cu. yds. and over; dumpsters; half-tracks; speedace; euclids and other similar excavating equipment.
Group 3 - A-frame, lowboy, boom truck drivers.
Group 4 - Mechanics and welders.
Group 5 - Mechanics' helpers, oilers and greasers.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
TRUCK DRIVERS: (Cont'd)					
Douglas & Shawnee Counties:					
Group 1	$7.75	.40	.50		
Group 2	7.85	.40	.50		
Group 3	8.00	.40	.50		

CLASSIFICATION DEFINITIONS

TRUCK DRIVERS:
Group 1 - Pickups, panel trucks, station wagons, flat beds, dump and batch trucks aingle axle.
Group 2 - Tandem trucks, warehousemen or partsmen, mechanic helpers and servicemen.
Group 3 - Lowboys; semi-trailers, all transit mixer trucks, (single or tandem axle); A-frame and winch trucks when used as such; euclid, end and bottom dump; tournatockers; atheys, dumpsters and similar off-road equipment and mechanics on such equipment.

Zone 3 - Miami County	8.35	.75	1.00	.75		

SUPERSEDEAS DECISION

STATE: Missouri & Kansas
COUNTIES: Cass, Clay, Jackson, Platte & Ray Missouri; Johnson & Wyandotte, Kansas
DECISION NO. MO79-4099
DATE: Date of Publication
Supersedes Decision NO. MO78-4048 dated May 5, 1978 in 43 FR 19555
DESCRIPTION OF WORK: Residential construction consisting of single family homes and garden type apartments up to and including 4 stories.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
ASBESTOS WORKERS	$13.27	.60	1.55		.05
BOILERMAKERS	12.00	1.15	1.00		.03
BRICKLAYERS & STONEMASONS	11.025	.80	.35	1.00	
CARPENTERS, MILLWRIGHTS, PILEDRIVERMEN	10.50	.50	.30		.05
CEMENT MASONS	11.675	.65	.50		
ELECTRICIANS:					
Up to and including 3 stories:					
ZONE 1 - Johnson County, Kansas (that portion of Johnson County west of Aubry, Oxford & Shawnee Twps.)	9.30	.45	3%+.30		.05
ZONE 2 - Cass, Clay, Jackson, Platte & Ray Counties, Missouri; & Wyandotte County, Kansas; & remainder of Johnson County, Kansas	9.77	.69	3%+.70	7%	.12
ELECTRICIANS (4 stories):					
ZONE 1 - Western half of Clay & Jackson Counties, Missouri not including Blue Springs; Northern half of Platte County; Northwestern portion of Cass County, Missouri, not including Pleasant Hill	13.38	.69	3%+.70	.95	.12
ZONE 2 - Remainder of Cass, Clay, Jackson & Platte Counties, Missouri: Electricians (contracts exceeding 2000 man hours)	13.38	.69	3%+.70	.95	.12

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	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
ELECTRICIANS (4 stories): (Cont'd)					
ZONE 2 - Electricians (contracts not exceeding 2000 man hours	$12.38	.69	3%+.70	.95	.12
ZONE 3 - Ray County, Missouri; Electricians (contracts exceeding 2000 man hours	13.38	.69	3%+.70	.95	.12
Electricians (contracts not exceeding 2000 man hours	11.78	.69	3%+.70	.95	.12
ELEVATOR CONSTRUCTORS	12.71	.745	.56	3%+a	.025
ELEVATOR CONSTRUCTORS' HELPERS	70%JR	.745	.56	3%+a	.025
ELEVATOR CONSTRUCTORS' HELPERS (PROB.)	50%JR				

FOOTNOTES: - a-Employer contributes 8% of basic hourly rate for over 5 years of service and 6% of basic hourly rate for 6 months to 5 years service as Vacation Pay Credit. Also 7 paid holidays.

GLAZIERS	11.18	.61	1.04	19.7%	.04
IRONWORKERS	11.60	.75	1.40	1.00	.05
LABORERS:					
Building construction					
ZONE 1 - Cass, Clay, Jackson & Platte Counties, Missouri; Johnson & Wyandotte Counties, Kansas					
GROUP I	9.65	.45	.40	.50	.10
GROUP II	9.80	.45	.40	.50	.10
GROUP III	9.95	.45	.40	.50	.10
ZONE 2 - Ray County, Missouri					
GROUP I	9.35	.45	.40	.50	.10
GROUP II	9.50	.45	.40	.50	.10
GROUP III	9.65	.45	.40	.50	.10

CLASSIFICATION DEFINITIONS

LABORERS

GROUP I - General labor; wiremesh handlers or setters; carpenter tender; track men; flagmen; signalmen; salamander tenders; window cleaners; floor cleaners; landscape man; sod layers; wrecker (for alterations or entire projects).

GROUP II - Plumber laborers (conduit pipe, sewer work, drain tile and duck lines, digging and backfilling), power tool operators; pier hole diggers (over 10 ft.); vibrator, jackhammer, and chipping hammer operators; chain saw operators; concrete saw operators; brush feeders on pulverizers; reinforcing steel handlers; air tamp operators; ditch winch operators; swinging scaffolds cutting torch or burner men; georgie buggies (self-propelled) fork lift; hosemen; insulation man.

GROUP III - Fork lift (masonry); brick tender; plaster tender; stonemasons tender (includes all hod carriers classifications previously shown as mortar men and scaffolding) Barco, Jackson or similar tamp operators; asphalt rakers; powder men; mastic hot kettle men; sandblasting and gunnite nozzlemen; wagon and churn drill operators.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
LABORERS:					
Site preparation & grading					
ZONE 3 -Johnson & Wyandotte Counties, Kansas; Site preparation, Incidental paving & utilities Clay, Jackson, Platte & Ray Counties, Missouri					
GROUP I	$9.65	.60	.60	.75	.10
GROUP II	9.80	.60	.60	.75	.10
GROUP III	9.95	.60	.60	.75	.10
GROUP IV	10.15	.60	.60	.75	.10
GROUP V	10.45	.60	.60	.75	.10

CLASSIFICATION DEFINITIONS

LABORERS:

GROUP I - Carpenter tenders; salamander tenders; dump man and ticket takers on stock piles; flagman; loading trucks under bins, hoppers and conveyors track men and all other general laborers.

GROUP II - Air tool operators; cement handler (bulk or sack); chain or concrete saw; deck hands; dump man on earth fill; grade checkers on cuts and fills; georgie buggies man; material batch hopper man; scale man; material mixer man (except on manholes, coffer dams,

CLASSIFICATION DEFINITIONS

LABORERS (CONT'D)

GROUP II (cont'd) - abutments and pier hole men working below ground); riprap pavers rock, block or brick; signalman; scaffolds over 10 ft. not self-supported from ground up; skipman on concrete paving; vibrator man; wire mesh setters on concrete paving; all work in connection with sewer, water, gasoline, oil, drainage pipe, conduit pipe, tile and duct lines and all other pipe lines; power tool operator; all work in connection with hydraulic or general dredging operations; form setter helpers; puddlers (paving only).

GROUP III - Crusher feeder; men handling creosote ties or creosote materials; men working with and handling epoxy material or materials (where special protection is required); head pipe layer on sewer work; topper of standing trees; batter board man on pipe and ditch work; feeder man on wood pulverizers; board and willow mat weavers and cable tiers on river work; all laborers working underground tunnels where compressed air is not used.

GROUP IV - Spreader or screed man on asphalt machine; asphalt raker; laser beam man; barco tamper; jackson or any similar tamp wagon driller; churn drills; air track drills and all other similar drills; form setters; cutting torch man; liners and stringline man on concrete paving, curbs, gutters and etc.; hot mastic kettleman; hot tar applicator; hand blade operator; manhole builders helpers and mortar men on brick or block manholes; sandblasting and gunnite nozzlemen; rubbing concrete; air tool operator in tunnels.

GROUP V - Manhole builder (brick or block); dynamite and powder man.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
LATHERS	$12.55	.40			
MARBLE & TILE SETTERS	12.65	5%	4.25%		
MARBLE & TILE SETTERS' HELPERS	10.85				
PAINTERS:					
Brush & roller	11.53	.55	.70		.08
Spray	12.53	.55	.70		.08
PLASTERERS	13.10				
PIPEFITTERS	12.89	.67	1.50		.10
PLUMBERS	13.82	.97	1.15		.12

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
POWER EQUIPMENT OPERATORS:					
Building Construction					
(Zone 1)					
GROUP I	$12.20	.75	1.00	.75	.10
GROUP II	11.85	.75	1.00	.75	.10
GROUP III	9.45	.75	1.00	.75	.10
GROUP IV	9.95	.75	1.00	.75	.10
GROUP V	10.20	.75	1.00	.75	.10
GROUP VI	12.45	.75	1.00	.75	.10
GROUP VII	12.70	.75	1.00	.75	.10
GROUP VIII	12.10	.75	1.00	.75	.10
GROUP IX	13.20	.75	1.00	.75	.10
GROUP X	12.70	.75	1.00	.75	.10
GROUP XI:					
(a)	11.95	.75	1.00	.75	.10
(b)	11.70	.75	1.00	.75	.10
(c)	9.70	.75	1.00	.75	.10

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS-Zone 1

GROUP I - Asphalt paver and spreader; asphalt plant mixer operator; asphalt plant operator; back fillers; backhoe, all types; barber-greene loader (similar type); blade-power, all types; boats-power; boilers (2); boring machines (all types); cableways; cherry pickers (all types); chip spreader; concrete ready-mixed plant, portable (job site); concrete mixer paver; crane-overhead; crusher, rock; derricks and derricks cars (power operated); ditching machines; dozers; dredges - any type power; grade-all-similar type; hoist, endless chain-power operated with power travel; loaders-all types; mechanic and welder; mucking machine; orange peels; pumps-material all types; push cats; scoops all types; self-propelled rotary drill; shovel, power side boom; skimmer scoop; testhole machine; throttle man.

GROUP II - Boilers (1); brooms-power operated (all types); chip spreader (front man); clef plane operator; compressors (1) 150' or over; concrete saws, self-propelled); crab-power operated; curb finishing machine; firemen on rigs; flex plane; floating machine; form grader; greaser hoist; hoist, endless chain-power operated; hopper-power operated; hydra hammer (all types); lada-vator-similar type; rollers-all types; siphons, jets, and jennies, sub-grader; tractors over 50 h.p.; compressors (2) 105 ft. or over not more than 20' apart; compressors-tandem (any sizes); compressors single, truck mounted; elevator; finishing machine.

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS-Zone 1 Cont'd
GROUP III - Oiler
GROUP IV - Fork lift-masonry; oiler drivers-all types
GROUP V - Tractors (except when hauling material) less than 50 h.p.; "A" frame trucks; fork lift-all types & sizes (except masonry); mixers (with side loaders); pumps (with well points) dewatering systems, test or pressure pumps
GROUP VI - Clamshells, 80 ft. of boom or over (including jib); crane or rigs 80 ft. of boom or over (including jib); draglines, 80 ft. of boom or over (including jib); piledrivers, 80 ft. of boom or over (including jib)
GROUP VII - Crane or rigs, over 200 ft. of boom.
GROUP VIII - Hoists each additional drum over 1 drum
GROUP IX - Master mechanic
GROUP X - Crane-tower or climbing
GROUP XI - Ready mixed concrete plants:
(a) - Crane operator
(b) - Loader operator & plant man
(c) - Conveyor operator

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
POWER EQUIPMENT OPERATORS:					
Site preparation & grading Johnson & Wyandotte Counties, Kansas; Site preparation, Incidental paving & utilities Clay, Jackson, Platte & Ray Counties, Missouri					
Zone 2					
GROUP I	$11.90	.75	1.00	.75	.10
GROUP II	11.65	.75	1.00	.75	.10
GROUP III	10.95	.75	1.00	.75	.10
GROUP IV	9.45	.75	1.00	.75	.10
GROUP V	9.95	.75	1.00	.75	.10
GROUP VI	12.15	.75	1.00	.75	.10
GROUP VII	11.90	.75	1.00	.75	.10

CLASSIFICATION DEFINITIONS

POWER EQUIPMENT OPERATORS:
GROUP I - Asphalt paver and spreader; asphalt plant console operator; auto grader; backhoe; blade operator, all types; boilers-2; booster pump on dredge; boring machine (truck or crane mounted); bulldozer operator; clamshell operator; compressor maintenance operator-2; concrete plant operator, central mix; concrete mixer paver; crane operator; derrick or derrick trucks; ditching machine; dragline operator; dredge engineman; dredge operator; drill-cat with compressor mounted on cat; drilling or boring machine, rotary, self-propelled; high loader-fork lift; hoistline engine-2 active drums; locomotive operator, standard gauge; mechanics and welders, field or shop; maintenance operator; mucking machine; pile driver operator; pitman crane operator; pump-2; push cat operator; quad-track; scoop operator-all types; scoops in tandem; self-propelled rotary drill (leroy or equal-not air trac); shovel operator; side discharge spreader; sideboom cats; skimmer scoop operater; slip-form paver (CMI, REX, or equal); throttle man; truck crane; welding machine maintenance operator-2.
GROUP II - A-frame truck; asphalt hot mix silo; asphalt plant fireman, drum or boiler; asphalt plant mixer operator; asphalt plant man; asphalt roller operator; back filler operator; chip spreader; concrete batch plant, dry-power operated; concrete mixer operator, skip loader; concrete pump operator; crusher operator elevating grader; greaser; hoisting engine-1 drum; latourneau rooter; multiple compactor; pavement breaker, self-propelled, of the hydra-hammer or similar type; power shield; pug mill operator; stump cutting machine; towboat operator tractor operator over 50 h.p..
GROUP III - Boilers-1; chip spreader (front man); churn drill operator; compressor maintenance operator-1; concrete saws, self-propelled; conveyor operator; distributor operator; finishing machine operator; fireman, rig; float operator; form grader operator; pump; pump maintenance operator, other than dredge; roller operator, other than high type asphalt; roller operator, other than dredge; screening and washing plant operator; self-propelled street broom or sweeper; siphons and jets; sub-grading machine operator; tank car heater operator-combination boiler and booster; tractor, 50 h.p. or less, without attachments; vibrating machine operator, not hand; welding machine maintenance operator-1.
GROUP IV - Mechanic's helpers; oilers.
GROUP V - Oiler driver, all types.
GROUP VI - Clamshells, 3 yds. capacity or over; crane or rigs, 80 ft. of boom or over (including jib); draglines, 3 yds. capacity or over; piledrivers, 80 ft. of boom or over (including jib); shovels and backhoes, 3 yds. capacity or over.
GROUP VII - Hoists (each additional drum over 1 drum).

Men working in tunnels or shafts (not air shafts or coffer dams) of twenty-five (25) ft. or more in length or depth will be paid fifty cents (50¢) per hour above the regular classification.

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
ROOFERS:					
Roofers	$11.60	.75	.75		.14
SHEET METAL WORKERS	12.83	.75	1.10		.08
SOFT FLOOR LAYERS	9.81	.50	.85	1.00	1%
SPRINKLER FITTERS	13.28	.75	1.05		.06
TERRAZZO WORKERS	12.31	5%	4.25%		
TRUCK DRIVERS:					
Building Construction:					
Zone 1					
GROUP I	10.925	.75	1.00		
GROUP II	10.975	.75	1.00		
GROUP III	11.05	.75	1.00		
GROUP IV	11.175	.75	1.00		
GROUP V	11.075	.75	1.00		
GROUP VI	11.275	.75	1.00		
GROUP VII	11.125	.75	1.00		
GROUP VIII	11.025	.75	1.00		

CLASSIFICATION DEFINITIONS

TRUCK DRIVERS - Zone 1
GROUP I - Warehousemen and stock man.
GROUP II - Flat beds; pick-ups; dump trucks, under 10 yds..
GROUP III - Dump trucks, 10 yds. and over; steel trucks; semi truck drivers.
GROUP IV - Straddle trucks, steel tractors (when used for towing); hydro lift trucks, hydraulically operated serial lifts; heavy hauling, A-frame winch and fork lifts; heavy excavating (dumpster, euclid, etc.); double bottom units (20 tons capacity and over).
GROUP V - Distributor truck drivers and operators; oilers, greasers and mechanics' helpers.
GROUP VI - Mechanics.
GROUP VII - Transit mix, 5 yds. and over.
GROUP VIII - Transit mix, under 5 yds..

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
TRUCK DRIVERS:					
Site preparation & grading Johnson & Wyandotte Counties, Kansas; Site preparation, Incidental paving & utilities Clay, Jackson, Platte & Ray Counties, Missouri					
Zone 2					
GROUP I	$9.99	.75	1.25	.75	
GROUP II	10.19	.75	1.25	.75	
GROUP III	10.50	.75	1.25	.75	
GROUP IV	10.65	.75	1.25	.75	
GROUP V	9.765	.75	1.25	.75	

CLASSIFICATION DEFINITIONS

TRUCK DRIVERS - Zone 2
GROUP I - One team; station wagons; pickup trucks; material trucks, single axle; tank wagon drivers, single axle.
GROUP II - Material trucks, tandem; two teams; semi-trailers; winch trucks-fork trucks; distributor drivers and operators; agitator and transit mix; tank wagon drivers; single axle; tank wagon drivers tandem or semi-trailers; insley wagons; dump trucks, excavating, 5 cu. yds. and over; dumpsters; half-tracks; speedace; euclids and other similar excavating equipment.
GROUP III - A-frame, lowboy, and boom truck driver.
GROUP IV - Mechanics and welders.
GROUP V - Mechanics' helpers, oilers and greasers.

WELDERS - receive rate prescribed for craft performing operation to which welding is incidental.

"Unlisted classifications needed for work not included within the scope of the classifications listed may be added after award only as provided in the labor standards contract clauses (29 CFR, 5.5 (a)(ii)."

SUPERSEDEAS DECISION

STATE: North Carolina
DECISION NUMBER: NC79-1161
SUPERSEDES DECISION NO.: NC79-1056 dated March 30, 1979 in 44 FR 19124
DESCRIPTION OF WORK: Building Construction Projects (does not include single family homes and garden type apartments up to and including 4 stories).

COUNTIES: See below*
DATE: Date of Publication

	Basic Hourly Rates	Fringe Benefits Payments			
		H & W	Pensions	Vacation	Education and/or Appr. Tr.
*Buncombe, Haywood, Henderson, Hobwell, Madison, Transylvania, and Yancey					
AIR CONDITIONING MECHANIC	$5.50				
ASBESTOS WORKERS	6.11				
BRICKLAYERS	6.00				
CARPENTERS	5.11				
CARPET LAYERS	5.50				
CEMENT MASONS	5.51		3% + .25		
ELECTRICIANS	8.20	.55			½ of 1%
GLAZIERS	4.50				
INSULATORS	5.13				
IRONWORKERS	4.64				
LABORERS:					
Laborers, unskilled	3.35				
Asphalt raker	3.89				
Mason tenders	3.37				
Mortar mixers	3.50				
Plasterers' tenders	4.00				
LATHERS	4.50				
PAINTERS:					
Brush	5.00				
Spray	6.00				
PLASTERERS	6.75				
PLUMBERS & PIPEFITTERS	6.35				
ROOFERS	3.86				
SHEET METAL WORKERS	5.29				
SOFT FLOOR LAYERS	5.00				
SPRINKLER FITTERS	5.00				
TERRAZZO WORKERS	6.00				
TILE SETTERS	6.00				
TRUCK DRIVERS	3.35				
WELDERS - Rate for craft.	5.13				
POWER EQUIPMENT OPERATORS:	5.31				
Asphalt pavers	4.06				
Backhoe	$5.25				
*Bulldozers	4.05				
Cranes, derricks, draglines	4.15				
Distributors	5.51				
Loaders, front end	4.36				
Motor graders	3.75				
Rollers	4.11				
Scrapers & Pans					
Screeds					

BILLING CODE 4510-27-C

federal register

Friday
December 14, 1979

Part IV

Department of the Treasury

Fiscal Service, Bureau of Public Debt

Offering of United States Savings Bonds, Series EE

Dept. Circular, Public Debt Series No. 2-80

V 4 4 D E 1 4 7 9 UMI

DEPARTMENT OF THE TREASURY

Bureau of the Public Debt

31 CFR Part 351

Offering of United States Savings Bonds, Series EE

AGENCY: Fiscal Service, Department of the Treasury.

ACTION: Final rule.

SUMMARY: This part, which contains the terms and conditions of the offering of United States Savings Bonds of Series EE, is being published in final form. These bonds will be offered for sale as of January 1, 1980. United States Savings Bonds of Series E are being withdrawn from sale. Their over-the-counter sale will be terminated as of December 31, 1979, and issues under payroll savings plans will be terminated as of June 30, 1980.

EFFECTIVE DATE: January 1, 1980

FOR FURTHER INFORMATION CONTACT: Mr. Charles A. Guerin, Assistant Chief Counsel, Bureau of the Public Debt, 202–376–0243.

SUPPLEMENTARY INFORMATION: For the most part, Series EE bonds resemble and are patterned after bonds of Series E. There are, however, several significant differences between the two series.

Series EE bonds will be identified as Energy Savings Bonds. An energy bonus of one-half of one percent is being offered on each Series EE bond that is held until maturity. This bonus becomes fixed as a part of the maturity value and is payable upon redemption at or after maturity. It increases the effective yield on bonds held to maturity to 7 percent.

The issue price of a Series EE bond is 50 percent of the face amount, whereas the Series E bond sold at 75 percent of face amount.

The term of the Series EE bond is 11 years, in contrast to the 5-year term of Series E bonds. However, the yield on both series is 6½ percent, compounded semiannually, if the bonds are held for a minimum of 5 years. The energy bonus raises the yield on bonds held for 11 years.

The Series EE bond denominations do not include a $25 bond. The smallest denomination is $50, for which the issue price is $25.

Series EE bonds are eligible for redemption after six months, whereas Series E bonds are eligible after two months. This change will improve the cost effectiveness of the Savings Bond Program.

Series EE bonds may be exchanged for Series HH bonds at any time after six months from issue.

The annual limitation on purchases of Series EE bonds is $30,000 (face amount), an increase over the annual limitation for Series E bonds.

The regulations (Department of the Treasury Circular, Public Debt Series No. 3–80 (31 CFR, Part 353)) provide that the consent of the beneficiary is not required for the reissue of Series EE bonds in beneficiary form.

The Secretary of the Treasury hereby makes the following offering of the United States Savings Bonds of Series EE, which is Part 351 of Title 31, Code of Federal Regulations.

Since this offering involves the fiscal policy of the United States and does not meet the Department's criteria for significant regulations, it has been determined that notice and public procedures are unnecessary.

Dated: December 7, 1979.

Paul H. Taylor,

Fiscal Assistant Secretary.

A new Part 351 is added to read as set forth below:

PART 351—OFFERING OF UNITED STATES SAVINGS BONDS, SERIES EE

Sec.

351.0 Offering of bonds.
351.1 Governing regulations.
351.2 Description of bonds.
351.3 Registration and issue.
351.4 Limitation on purchases.
351.5 Purchase of bonds.
351.6 Delivery of bonds.
351.7 Payment or redemption.
351.8 Taxation.
351.9 Reservation as to issue of bonds.
351.10 Waiver.
351.11 Fiscal agents.
351.12 Reservation as to terms of offer.

Authority: Sec. 22, Second Liberty Bond Act, as amended, 49 Stat. 21, as amended (31 U.S.C. 757c); (5 U.S.C. 301.)

Source: Department of the Treasury Circular, Public Debt Series No. 1–80.

PART 351—OFFERING OF UNITED STATES SAVINGS BONDS, SERIES EE

§ 351.0 Offering of bonds.

The Secretary of the Treasury offers for sale to the people of the United States, United States Savings Bonds of Series EE, hereinafter referred to as "Series EE bonds" or "bonds." This offer, effective as of January 1, 1980, will continue until terminated by the Secretary of the Treasury.

§ 351.1 Governing regulations.

Series EE bonds are subject to the regulations of the Department of the Treasury, now or hereafter prescribed, governing United States Savings Bonds of Series EE and HH, contained in Department of the Treasury Circular, Public Debt Series No. 3–80 (31 CFR Part 353), hereinafter referred to as Circular No. 3–80.

§ 351.2 Description of bonds.

(a) *General.* Series EE bonds are issued only in registered form and are nontransferable.

(b) *Denominations and prices.* Series EE bonds are issued on a discount basis. The denominations and issue prices are:

Denomination:	Issue price
$50	$25.00
$75	$37.50
$100	$50.00
$200	$100.00
$500	$250.00
$1,000	$500.00
$5,000	$2,500.00
$10,000	$5,000.00

(c) *Term.* The issue date of a Series EE bond is the first day of the month in which payment of the issue price is received by an authorized issuing agent. The bond matures 11 years from its issue date.

(d) *Redemption.* A Series EE bond may be redeemed after six months from issue date at fixed redemption values. See Table 1. The Secretary of the Treasury may not call Series EE bonds for redemption prior to maturity.

(e) *Interest (investment yield).*—(1) *Rate of interest.* The investment yield (interest) is approximately 6½ percent per annum, compounded semiannually, if the bond is held for a minimum of five years. The yield is less if the bond is redeemed earlier.

(2) *Energy bonus.* An energy bonus of one-half of one percent will be added to the redemption value of any Series EE bond held to maturity. With the bonus, the overall investment yield will be approximately 7 percent per annum, compounded semiannually.

(3) *Accrual and payment of interest.* Interest accrues on a Series EE bond and becomes a part of the redemption value which is paid when the bond is cashed. The redemption value of a bond increases on the first day of each month from the third through the thirtieth month after issue, and thereafter on the first day of each successive six-month period. The interest on outstanding bonds ceases to accrue after final maturity.

§ 351.3 Registration and issue.

(a) *Registration.* Bonds may be registered in the names of natural persons in single ownership, co-ownership, or beneficiary form. Bonds may also be registered in the names of organizations and fiduciaries. Specific rules and examples are contained in Subpart B of Circular No. 3–80.

(b) *Validity of issue.* A bond is validly issued when it (1) is registered as provided in Circular No. 3–80; and (2) bears an issue date and the validation indicia of an authorized issuing agent.

(c) *Taxpayer identifying number.* The inscription of a bond must include the taxpayer identifying number of the owner or first-named co-owner. The taxpayer identifying number of the second-named co-owner or beneficiary is not required but its inclusion is desirable. If the bond is being purchased as a gift or award and the owner's taxpayer identifying number is not known, the taxpayer identifying number of the purchaser and the word "GIFT" must be included in the inscription.

(d) *Restrictions on chain letters.* The issuance of bonds in the furtherance of a chain letter or pyramid scheme is considered to be against the public interest and is prohibited. An issuing agent is authorized to refuse to issue a bond if there is reason to believe that the purchase is in connection with a chain letter and its decision is final.

§ 351.4 Limitation on purchases.

The amount of Series EE bonds which may be purchased and held in the name of any one person in any one calendar year is limited to $30,000 (face amount). Subpart C of Circular No. 3–80 contains the rules governing the computation of amounts and the special limitation for employee plans.

§ 351.5 Purchase of bonds.

(a) *Payroll plans.* Bonds may be purchased through deductions from the pay of employees of organizations which maintain payroll savings plans. The bonds must be issued by an authorized issuing agent, which may be the employer organization or a financial institution or the Federal Reserve Bank or Branch servicing that organization.

(b) *Over-the-counter/mail.*—(1) *At financial institutions.* Bonds registered in the names of individuals in their own right may be purchased over-the-counter or by mail from any financial institution, i.e., bank, savings and loan association, etc., qualified as an issuing agent.

(2) *At Federal Reserve Banks or Branches and the Bureau of the Public Debt.*—(i) *General.* Bonds registered in any authorized form may be purchased over-the-counter or by mail from a Federal Reserve Bank or Branch, and from the Bureau of the Public Debt, Washington, D.C. 20226.

(ii) *Remittance.* The application for purchase of a bond from a Federal Reserve Bank or Branch or from the Bureau of the Public Debt, Washington, D.C. 20226, must be accompanied by the remittance to cover the issue price. Checks or other forms of exchange, which will be accepted subject to collection, should be drawn to the order of the Federal Reserve Bank or the Bureau of the Public Debt, as the case may be. Checks payable by endorement are not acceptable.

(3) *Payment with savings stamps.* Savings stamps will be accepted in payment for Series EE bonds purchased over-the-counter or by mail.

(c) *Bond-a-month plan.* A depositor of a financial institution qualifed as an issuing agent may purchase bonds through a system of regular monthly withdrawals from the depositor's account.

(d) *Employee thrift, savings, vacation, and similar plans.* Bonds registered in the names of trustees of employee plans may be purchased either (1) from a Federal Reserve Bank or Branch, or (2) from a financial institution which:

(i) Is a qualifed issuing agent;

(ii) Has been designated trustee of an approved employee plan eligible for the special limitation under § 353.13 of Circular No. 3–80; and

(iii) Has obtained prior approval to issue the bonds from the Federal Reserve Bank of the agent's district.

§ 351.6 Delivery of bonds.

Issuing agents are authorized to deliver Series EE bonds either over-the-counter or by mail. Mail deliveries are made at the risk and expense of the United States to the address given by the purchaser, if it is within the United States, its territories or possessions, or the Commonwealth of Puerto Rico. No mail deliveries elsewhere will be made, except to residents of Mexico and Canada who participate in payroll savings plans and to residents of what was formerly the Panama Canal Zone. Bonds purchased by a citizen of the United States residing abroad will be delivered only to such address in the United States as the purchaser directs.

§ 351.7 Payment or redemption.

(a) *Incorporated banks, savings and loan associations, and other financial institutions.* A financial institution qualified as a paying agent under the provisions of Department of the Treasury Circular No. 750 (31 CFR Part 321), will pay the current redemption value of a Series EE bond presented for payment by an individual whose name is inscribed on the bond as owner or co-owner, provided: (1) The bond is in order for payment and (2) the presenter establishes his or her identity to the satisfaction of the agent, in accordance with Treasury instructions and identification guidelines, and signs and completes the request for payment.

(b) *Federal Reserve Bank and Branches and the Bureau of the Public Debt.* A Federal Reserve Bank or Branch or the Bureau of the Public Debt will pay the current redemption value of a Series EE bond presented for payment, provided the bond is in order for payment and the request for payment is properly signed and certified in accordance with Circular No. 3–80.

§ 351.8 Taxation.

(a) *General.* The increment in value, represented by the difference between the price paid for a Series EE bond and the redemption value received for it, is interest. This interest is subject to all taxes imposed under the Internal Revenue Code of 1954, as amended. The bonds are subject to estate, inheritance, gift, or other excise taxes, whether Federal or State, but are exempt from all other taxation now or hereafter imposed on the principal or interest by any State, any possession of the United States or any local taxing authority.

(b) *Federal income tax on bonds.* The owner of a Series EE bond may use either of the following two methods for reporting the increase in the redemption value of the bond for Federal income tax purposes:

(1) *Cash basis.* Defer reporting the increase to the year of final maturity, redemption, or other disposition, whichever is earlier; or

(2) *Accrual basis.* Elect to report the increase each year as it accrues, in which case the election applies to all Series EE bonds then owned by the taxpayer and those subsequently acquired, as well as to any other obligations purchased on a discount basis, such as those of Series E.

If the method in paragraph (b)(1) of this section is used, the taxpayer may change to the method in paragraph (b)(2) of this section without obtaining permission from the Internal Revenue Service. However, once the election to use the method in paragraph (b)(2) of this section is made, the taxpayer may not change the method of reporting unless he or she obtains permission from the Internal Revenue Service. For further information, the District Director of the taxpayer's district, or the Internal Revenue Service, Washington, D.C. 20224, should be consulted.

(c) *Tax-deferred exchanges.* Department of the Treasury Circular, Public Debt Series No. 2–80 (31 CFR Part 352), authorizes the exchange of Series EE bonds for Series HH bonds with a continuation of the tax-deferral privilege. The rules governing tax-

deferred exchanges are contained in that Circular.

(d) *Reissue.* A reissue that affects the rights of any of the persons named on a Series EE bond may have a tax consequence.

§ 351.9 Reservation as to issue of bonds.

The Commissioner of the Public Debt, as delegate of the Secretary of the Treasury, is authorized to reject any application for Series EE bonds, in whole or in part, and to refuse to issue or permit to be issued any bonds in any case or class of cases, if he deems the action to be in the public interest, and his action in any such respect is final.

§ 351.10 Waiver.

The Commissioner of the Public Debt, as delegate of the Secretary of the Treasury, may waive or modify any provision of this circular in any particular case or class of cases for the convenience of the United States or in order to relieve any person or persons of unnecessary hardship (a) if such action would not be inconsistent with law or equity, (b) if it does not impair any existing rights, and (c) if he is satisfied that such action would not subject the United States to any substantial expense or liability.

§ 351.11 Fiscal agents.

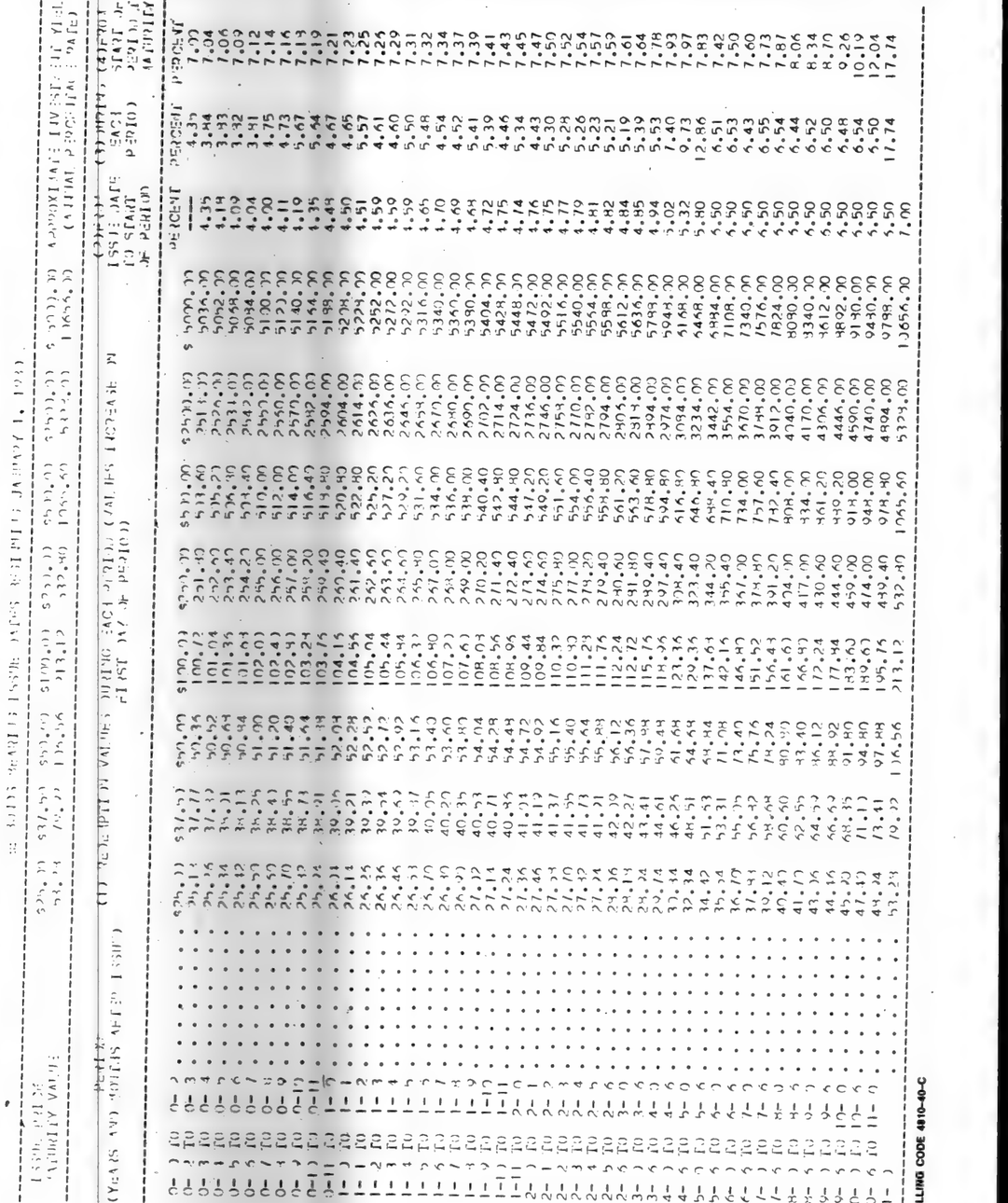
Federal Reserve Banks and Branches, as fiscal agents of the United States, are authorized to perform such services as may be requested of them by the Secretary of the Treasury, or his delegate, in connection with the issue, servicing and redemption of Series EE bonds.

§ 351.12 Reservation as to terms of offer.

The Secretary of the Treasury may at any time or from time to time supplement or amend the terms of this offering of bonds.

[FR Doc. 79-38211 Filed 12-13-79; 8:45 am]

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federal register

Friday
December 14, 1979

Part V

Department of the Treasury

Fiscal Service, Bureau of Public Debt

Offering of United States Savings Bonds; Series HH

Dept. Circular, Public Debt Series No. 2-80

DEPARTMENT OF THE TREASURY

Fiscal Service

31 CFR Part 352

Offering of U.S. Savings Bonds, Series HH

AGENCY: Fiscal Service, Department of the Treasury.

ACTION: Final rule.

SUMMARY: This Part, which contains the terms and conditions of the offering of United States Savings Bonds of Series HH, is being published in final form. These bonds will be offered for sale, as of January 1, 1980. United States Savings Bonds of Series H are being withdrawn from sale as of December 31, 1979.

EFFECTIVE DATE: January 1, 1980.

FOR FURTHER INFORMATION CONTACT: Mr. Charles A. Guerin, Assistant Chief Counsel, Bureau of the Public Debt, 202–376–0243.

SUPPLEMENTARY INFORMATION: For the most part, Series HH bonds resemble and are patterned after Series H bonds. There are, however, several significant differences between the two series.

As with Series H bonds, Series HH bonds can be purchased for cash and in exchange for accrual-type savings bonds and notes. Provision is also made for purchasing Series HH bonds through the reinvestment of certain matured Series H bonds. There will be two separate, distinguishable types of Series HH bonds, one to identify bonds sold for cash and the other to identify bonds issued on exchange or through reinvestment.

Under the offering, securities eligible for exchange for Series HH bonds are: Series E bonds, until one year after their final maturities; Series EE bonds, beginning six months after their issue; and United States Savings Notes (Freedom Shares). The exchange offer is made a part of the offering circular, rather than being set out in a separate document.

Semiannual interest payments on Series HH bonds are set at uniform amounts for the term to maturity, to eliminate the confusion created by the graduated scale of payments on Series H bonds.

The redemption value of Series HH bonds purchased for cash will be less than the face amount, if the bonds are redeemed within five years of issue. The difference between the face amount and redemption value represents an interest adjustment. The yield is consistent with that of the companion Series EE bonds, which must be held for at least five years to provide a return of 6½ percent.

Series HH bonds issued on exchange constitute a continuation of long-term holdings of savings bonds and notes; they are not subject to any interest adjustment.

The registration requirements for a tax-deferred exchange will be the same for Series HH bonds as for Series H bonds. The rules are designed to prevent the shifting of tax liability incident to an exchange. The same requirements apply to non-tax-deferred exchanges for Series HH bonds, even though no tax liability is involved, since the new bonds are not subject to an interest adjustment for early redemption.

As Series H bonds purchased for cash reach final maturity, their proceeds may be reinvested in Series HH bonds. Final maturity dates have been announced for the Series H bonds issued from June 1952 through May 1959, which will become eligible for reinvestment as they mature. All of these bonds were purchased for cash. The reinvestment option will not be available for any Series H bond issued on exchange. The Series HH bonds acquired through reinvestment will not be subject to an interest adjustment.

The annual limitation on cash purchases of Series HH bonds is $20,000 (face amount), an increase over the $10,000 limitation for Series H bonds. Bonds issued on exchange or reinvestment are not subject to the annual limitation.

The regulations (Department of the Treasury Circular, Public Debt series No. 3–80 (31 CFR Part 353)) provide that the consent of the beneficiary is not required for the reissue of Series HH bonds in beneficiary form.

The Secretary of the Treasury hereby makes the following offering of United States Savings Bonds of Series HH, which is Part 352 of Title 31, Code of Federal Regulations.

Since this offering involves the fiscal policy of the United States and does not meet the Department's criteria for significant regulations, it has been determined that notice and public procedures are unnecessary.

Dated: December 7, 1979.

Paul H. Taylor,

Fiscal Assistant Secretary.

A new part 352 is added to read as follows:

PART 352—OFFERING OF UNITED STATES SAVINGS BONDS, SERIES HH

Sec.

352.0 Offering of bonds.
352.1 Governing regulations.
352.2 Description of bonds.
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Authority: Sec. 22, Second Liberty Bond Act, as amended, 49 Stat. 21, as amended (31 U.S.C. 757c); sec. 18, 40 Stat. 1309, as amended; sec. 20, 48 Stat. 343, as amended (31 U.S.C. 753, 754b); (5 U.S.C. 301).

Source: Department of the Treasury Circular, Public Debt Series No. 2–80.

§ 352.0 Offering of bonds.

(a) *Cash offering.* The Secretary of the Treasury offers for sale to the people of the United States, United States Savings Bonds of Series HH, hereinafter referred to as "Series HH bonds" or "bonds." This offer will continue until terminated by the Secretary of the Treasury.

(b) *Exchange offering.* The Secretary of the Treasury also offers to the people of the United States, United States Savings Bonds of Series HH in exchange for outstanding United States Savings Bonds of Series E and EE and United States Savings Notes (Freedom Shares). This offer will continue until terminated by the Secretary of the Treasury.

(c) *Effective date.* These offers are effective as of January 1, 1980. They supersede previous offers of United States Savings Bonds of Series H, contained in Department of the Treasury Circular No. 905 (31 CFR Part 332) and Department of the Treasury Circular No. 1036 (31 CFR Part 339).

§ 352.1 Governing regulations.

Series HH bonds are subject to the regulations of the Department of the Treasury, now or hereafter prescribed, governing United States Savings Bonds of Series EE and HH, contained in Department of the Treasury Circular, Public Debt Series No. 3–80 (31 CFR Part 353), hereinafter referred to as Circular No. 3–80.

§ 352.2 Description of bonds.

(a) *General.* Series HH bonds are issued only in registered form and are nontransferable. Bonds sold for cash and bonds issued on exchange are distinguishable by: (1) The portraits, color and border design; (2) the tax-deferral legend on the bonds issued on exchange; (3) the word "CASH" or "EXCHANGE," as appropriate, on the back of the bond; and (4) the text material.

(b) *Denominations and prices.* Series HH bonds are issued at face amount and are in denominations of $500, $1,000, $5,000 and $10,000.

(c) *Term.* Each bond bears an issue date, which is the date from which interest is earned. The date is established, as provided in § 352.7(d) for cash purchases and in § 352.8(e) for exchange issues. The bond matures 10 years from its issue date.

(d) *Redemption*—(1) *General.* A Series HH bond may be redeemed after six months from its issue date. The Secretary of the Treasury may not call Series HH bonds for redemption prior to maturity. A bond received for redemption by an agent during the calendar month preceding any interest payment date will not ordinarily be paid until that date.

(2) *Bonds purchased for cash.* During the first five years from issue, the redemption value of a bond purchased for cash is less than its face amount. See Table 1. The difference between the face amount and redemption value represents an adjustment of interest. After five years, the bond will be paid at face amount.

(3) *Bonds issued on exchange.* Bonds issued on exchange, including authorized reinvestment, are not subject to an interest adjustment and will be redeemed at face amount at any time after six months from their issue dates.

(e) *Interest (investment yield).* The interest on a Series HH bond is paid semiannually by check drawn to the order of the registered owner or co-owners, beginning six months from the the issue date. The level interest payments will produce a yield of 6½ percent per annum, compounded semiannually, on all bonds issued on exchange and on bonds sold for cash that are held for at least five years from their issue. Interest ceases at final maturity or, if the bond is redeemed before final maturity, as of the end of the interest period next preceding the date of redemption. However, if the date of redemption falls on an interest payment date, interest ceases on that date.

§ 352.3 Registration and issue.

(a) *Registration.* Bonds may be registered in the names of natural persons in single ownership, coownership or beneficiary forms. Bonds may also be registered in the names of organizations and fiduciaries. Specific rules and examples are contained in Subpart B of Circular No. 3–80.

(b) *Validity of issue.* A bond is validly issued when it (1) is registered as provided in Circular No. 3–80 and in this circular; and (2) bears an issue date and the validation indicia of an authorized issuing agent.

(c) *Taxpayer identifying number.* The inscription of a bond must include the taxpayer identifying number of the owner or first-named co-owner. The taxpayer identifying number of the second-named co-owner or beneficiary is not required but its inclusion is desirable.

§ 352.4 Limitation on purchases.

The amount of Series HH bonds that may be purchased for cash and held in the name of any one person in any one calendar year is limited to $20,000 (face amount). Bonds issued on authorized exchange or reinvestment are not subject to this limitation. Subpart C of Circular No. 3–80 contains the rules governing the computation of amounts and the special limitation for exempt organizations.

§ 352.5 Authorized issuing and paying agents.

Series HH bonds may be issued or redeemed only by (a) a Federal Reserve Bank or Branch, (b) the Bureau of the Public Debt, Washington, D.C. 20226, or (c) the Bureau of the Public Debt, 200 Third Street, Parkersburg, West Virginia 26101.

§ 352.6 Cash purchases.

(a) *Basis for issue.* Series HH bonds will be issued by an authorized issuing agent upon receipt of a properly executed application and payment in the form of (1) cash; (2) a check drawn to the order of the Federal Reserve Bank or Branch or the Bureau of the Public Debt; or (3) savings stamps.

(b) *Role of financial institutions.* Financial institutions may submit purchase applications and payment to a Federal Reserve Bank or Branch on behalf of customers.

(c) *Registration.* Bonds may be registered in any authorized form in accordance with Subpart B of Circular No. 3–80.

(d) *Dating.* Bonds will be dated as of the first day of the month in which an authorized issuing agent receives a properly executed purchase application and payment in immediately available funds, or, if payment is made by a financial institution through the Treasury tax and loan account, the first day of the month in which that account is credited.

§ 352.7 Issues on exchange.

(a) *Securities eligible for exchange.* Owners may exchange United States Savings Bonds of Series E and EE and United States Savings Notes (Freedom Shares) at their current redemption values for Series HH bonds. Series E bonds are eligible for exchange until one year after their final maturity dates. Series EE bonds become eligible for exchange six months after their issue dates.

(b) *Basis for issue.* Series HH bonds will be issued on exchange by an authorized issuing agent upon receipt of a properly executed exchange subscription with eligible securities and additional cash, if any, and any supporting evidence that may be required under the regulations. If eligible securities are submitted directly to a Federal Reserve Bank or Branch or the Bureau of the Public Debt, each must bear a properly signed and certified request for payment. Checks in payment of any cash difference (see paragraph (d) of this section) must be drawn to the order of the Federal Reserve Bank or Branch or Bureau of the Public Debt.

(c) *Role of financial institutions.* Department of the Treasury Circular No. 750, current revision (31 CFR Part 321), authorizes financial institutions qualified as paying agents for savings bonds and notes to redeem eligible securities presented for exchange and to forward an exchange subscription and full payment to a Federal Reserve Bank or Branch for the issue of Series HH bonds. The securities redeemed on exchange by such an institution must be securities which it is authorized to redeem for cash.

(d) *Computation of issue price.* The total current redemption value of the eligible securities submitted in exchange in any one transaction must be $500 or more. If the current redemption value is an even multiple of $500, Series HH bonds must be requested in that exact amount. If the total current redemption value exceeds, but is not an even multiple of, $500, the owner has the option either of furnishing the cash necessary to obtain Series HH bonds at the next highest $500 multiple, or of receiving payment of the difference between the total current redemption value and the next lower $500 multiple. For example, if the eligible securities presented for exchange in one transaction have a total current redemption value of $4,253.33, the owner may elect to:

(1) Receive $4,000 in Series HH bonds and the amount of the difference, $253.33; or

(2) Pay the difference, $246.67, necessary to obtain $4,500 in Series HH bonds.

(e) *Registration.* A Series HH bond issued on exchange may be registered in any authorized form (see Subpart B of Circular No. 3–80), subject to the following restrictions:

(1) If the securities submitted in exchange are in single ownership form, the owner must be named as owner or first-named co-owner on the Series HH bonds. A co-owner or beneficiary may be named.

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(2) If the securities submitted in exchange are in coownership form, and one coowner is the "principal coowner," the "principal coowner" must be named as owner or first-named coowner. A beneficiary or coowner may also be named. The "principal coowner" is a coowner who (i) purchased the securities submitted for exchange with his or her own funds, or (ii) received them as a gift, inheritance or legacy, or as a result of judicial proceedings, and had them reissued in coownership form, provided he or she has received no contribution in money or money's worth for designating the other coowner on the securities.

(3) If the securities submitted in exchange are in coownership form and both coowners shared in the purchase of the securities or received them jointly as a gift, inheritance or legacy, or as a result of judicial proceedings, both persons must be named as coowners on the Series HH bonds.

(4) If the securities submitted in exchange are in beneficiary form, the owner must be named on the Series HH bonds as owner or first-named coowner. If the owner is deceased, a surviving beneficiary must be named as owner or first-named coowner. In either case, a coowner or beneficiary may be named.

A reissue that affects the rights of any of the persons required to be named on the Series HH bond may have a tax consequence.

(f) *Dating.* Series HH bonds issued on exchange will be dated as of the first day of the month in which the eligible securities presented for exchange are redeemed by a Federal Reserve Bank, the Bureau of the Public Debt, or a qualified paying agent, as evidenced by the payment stamp on the bonds and subscription form.

(g) *Tax-deferred exchanges.*—(1) *Continuation of tax-deferral.* Pursuant to the provisions of Section 1037(a) of the Internal Revenue Code of 1954, as amended, an owner who has not been reporting the interest on his or her Series E or EE savings bonds and savings notes on an accrual basis, for Federal income tax purposes, and who exchanges those securities for Series HH bonds, may continue to defer reporting the interest on the securities exchanged until the taxable year in which the Series HH bonds received in the exchange reach final maturity, are redeemed, or are otherwise disposed of, whichever is earlier.

(2) *Tax-deferral legend.* Each bond issued on a tax-deferred exchange shall bear a legend showing how much of its issue price represents interest on the securities exchanged. This interest must be treated as income for Federal income tax purposes and reported in accordance with paragraph(g)(1) of this section.

(3) *Reporting of interest for any difference paid on exchange.* The amount of any difference paid to the owner (see paragraph (d)(1) of this section) must be treated as income for Federal income tax reporting purposes for the year in which it is received, up to the amount of the total interest on the securities exchanged.

(h) *Exchanges without tax-deferral.* The rules prescribed for exchanges under paragraphs (a) through (f) of this section also apply to exchanges by owners who (1) report the interest on their bonds of Series E and EE and savings notes annually for Federal income tax purposes; (2) elect to report all such interest in the year of the exchange, regardless of whether or not it exceeds the amount of any cash difference received (see paragraph (d)(1) of this section); or (3) are tax-exempt under the provisions of the Internal Revenue Code of 1954, as amended. However, no amount will appear in the tax-deferral legend printed on the bond, and any part of the cash difference received (see paragraph (d)(1) of this section) which represents interest previously reported for Federal income tax purposes need not be treated as income.

§ 352.8 Reinvestment of matured Series H bonds.

(a) *General.* The face amount of Series H bonds purchased for cash that have reached final maturity may be reinvested in Series HH bonds. The Series H bonds, bearing properly signed and certified requests for payment, must be submitted to a Federal Reserve Bank or Branch or the Bureau of the Public Debt with a reinvestment application.

(b) *Rules.* The reinvestment transaction will be subject to the rules governing exchanges, as set forth in § 352.7, and the Series HH bonds issued on reinvestment will be identical in all respects with those issued on a non-tax-deferred exchange.

§ 352.9 Delivery of bonds.

Authorized issuing agents will deliver Series HH bonds either (a) over-the-counter, or (b) by mail. Mail deliveries are made at the risk and expense of the United States to the address given by the purchaser, if it is within the United States, one of its territories or possessions, or the Commonwealth of Puerto Rico. No mail deliveries elsewhere will be made. Bonds purchased by a citizen of the United States residing abroad will be delivered only to such address in the United States as the purchaser directs.

§ 352.10 Taxation.

The interest paid on Series HH bonds is subject to all taxes imposed under the Internal Revenue Code of 1954, as amended. The bonds are subject to estate, inheritance, gift, or other excise taxes, whether Federal or State, but are exempt from all taxation now or hereafter imposed on the principal or interest by any State, any of the possessions of the United States, or any local taxing authority.

§ 352.11 Reservation as to issue of bonds.

The Commissioner of the Public Debt, as delegate of the Secretary of the Treasury, is authorized to reject any application for Series HH bonds, in whole or in part, and to refuse to issue or permit to be issued any bonds in any case or class of cases, if he deems the action to be in the public interest, and his action in such respect is final.

§ 352.12 Waiver.

The Commissioner of the Public Debt, as delegate of the Secretary of the Treasury, may waive or modify any provision of this circular in any particular case or class of cases for the convenience of the United States or in order to relieve any person or persons of unnecessary hardship (a) if such action would not be inconsistent with law or equity, (b) if it does not impair any existing rights, and (c) if he is satisfied that such action would not subject the United States to any substantial expense or liability.

§ 352.13 Fiscal agents.

Federal Reserve Banks and Branches, as fiscal agents of the United States, are authorized to perform such services as may be requested of them by the Secretary of the Treasury, or his delegate, in connection with the issue, servicing and redemption of Series HH bonds.

§ 352.14 Reservation as to terms of offer.

The Secretary of the Treasury may at any time or from time to time supplement or amend the terms of this offering of bonds.

BILLING CODE 4810-40-M

H BONDS BEARING ISSUE DATES BEGINNING JANUARY 1, 1980 ISSUED IN EXCHANGE FOR ACCRUAL-TYPE BONDS/NOTES

ISSUE PRICE	$500.00	$1,000.00	$5,000.00	$10,000.00
MATURITY VALUE	500.00	1,000.00	5,000.00	10,000.00
AMOUNT OF EACH INTEREST CHECK	16.25	32.50	162.50	325.00

PERIOD OF TIME BOND IS HELD AFTER ISSUE DATE (YEARS AND MONTHS)	(1) REDEMPTION VALUE OF BOND				APPROXIMATE INVESTMENT YIELD (ANNUAL PERCENTAGE RATE ASSUMING EARLY REDEMPTION)*		
					(2) FROM ISSUE TO EACH INTEREST PAYMENT DATE	(3) FOR HALF-YEAR PERIOD PRECEDING INTEREST PAYMENT DATE	(4) FROM EACH INTEREST PAYMENT DATE TO MATURITY
					PERCENT	PERCENT	PERCENT
0-6 TO 1-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
1-0 TO 1-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
1-6 TO 2-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
2-0 TO 2-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
2-6 TO 3-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
3-0 TO 3-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
3-6 TO 4-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
4-0 TO 4-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
4-6 TO 5-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
5-0 TO 5-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
5-6 TO 6-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
6-0 TO 6-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
6-6 TO 7-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
7-0 TO 7-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
7-6 TO 8-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
8-0 TO 8-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
8-6 TO 9-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
9-0 TO 9-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
9-6 TO 10-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
10-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50

*THE YIELD FROM ISSUE TO MATURITY IS 6.5%.

HE BONDS BEARING ISSUE DATES BEGINNING JANUARY 1, 1980 PURCHASED BY CASH

ISSUE PRICE	$500.00	$1,000.00	$5,000.00	$10,000.00	APPROXIMATE INVESTMENT YIELD (ANNUAL PERCENTAGE RATE ASSUMING EARLY REDEMPTION)*
MATURITY VALUE	500.00	1,000.00	5,000.00	10,000.00	
AMOUNT OF EACH INTEREST CHECK	16.25	32.50	162.50	325.00	

PERIOD OF TIME BOND IS HELD AFTER ISSUE DATE (YEARS AND MONTHS)	(1) REDEMPTION VALUE OF BOND				(2) FROM ISSUE TO EACH INTEREST PAYMENT DATE	(3) FOR HALF-YEAR PERIOD PRECEDING INTEREST PAYMENT DATE	(4) FROM EACH INTEREST PAYMENT DATE TO MATURITY
					PERCENT	PERCENT	PERCENT
0-6 TO 1-0	493.75	987.50	4937.50	9875.00	4.00	4.00	6.68
1-0 TO 1-6	489.94	979.88	4899.40	9798.80	4.51	5.04	6.80
1-6 TO 2-0	486.10	972.20	4861.00	9722.00	4.69	5.07	6.94
2-0 TO 2-6	481.87	963.74	4818.70	9637.40	4.75	4.95	7.10
2-6 TO 3-0	478.35	956.70	4783.50	9567.00	4.85	5.23	7.26
3-0 TO 3-6	475.11	950.22	4751.10	9502.20	4.94	5.44	7.42
3-6 TO 4-0	472.07	944.14	4720.70	9441.40	5.02	5.56	7.61
4-0 TO 4-6	474.08	948.16	4740.80	9481.60	5.32	7.74	7.59
4-6 TO 5-0	482.29	964.53	4822.90	9645.80	5.80	10.32	7.29
5-0 TO 5-6	500.00	1000.00	5000.00	10000.00	6.50	14.08	6.50
5-6 TO 6-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
6-0 TO 6-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
6-6 TO 7-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
7-0 TO 7-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
7-6 TO 8-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
8-0 TO 8-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
8-6 TO 9-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
9-0 TO 9-6	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
9-6 TO 10-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	6.50
10-0	500.00	1000.00	5000.00	10000.00	6.50	6.50	----

*THE YIELD FROM ISSUE TO MATURITY IS 6.5%.

[FR Doc. 79-38212 Filed 12-13-79; 8:45 am]
BILLING CODE 4810-40-C

federal register

Friday
December 14, 1979

Part VI

Department of Agriculture

Agricultural Marketing Service

Agricultural Stabilization and Conservation Service

Beef Research and Information; Cattle Producers Referendum and Establishment of Program

V 4 4 D E 1 4 7 9 UMI

DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

7 CFR Part 1260

[Docket No. BRIA-2]

Beef Research and Information Order; Establishment of Program

AGENCY: Agricultural Marketing Service.

ACTION: Decision and order.

SUMMARY: This document announces a decision to issue an Order, subject to approval in a producer referendum, to establish a nationally coordinated program of research and information to develop and improve markets for cattle, beef, and beef products as authorized by the amended Beef Research and Information Act.

The Order, if approved in a producer referendum, would authorize a program financed by assessments of up to five-tenths of one percent of the value of cattle sold based on a value-added concept. The Order limits the assessment to not more than two-tenths of one percent (20 cents per $100 value) during the first two years of the program's operation. Any producer could request a refund of the assessment paid. The program would be administered by a Beef Board composed of up to 68 producer members reflecting to the extent practicable, the proportion of cattle produced in defined geographic areas. The Board members would be appointed by the Secretary of Agriculture from nominations submitted by certified organizations representing producers.

DATE: The Order would become effective if aproved in a referendum of beef producers; results of the referendum and the effective date, if the measure is passed, will be announced later.

FOR FURTHER INFORMATION CONTACT: Ralph L. Tapp, Livestock, Poultry, Grain, and Seed Division, AMS, USDA, Washington, D.C. 20250, Phone: 202–447–2068.

SUPPLEMENTARY INFORMATION: Prior documents in this proceeding: Pre-Hearing Investigation—Available from Ralph L. Tapp; Notice of Hearing—Issued April 17, 1979 and published April 23, 1979 (44 FR 23858) with corrections published May 1, 1979 (44 FR 25464); and Recommended Decision and Order—Issued September 18, 1979 and published September 21, 1979 (44 FR 54926).

PRELIMINARY STATEMENT: A recommended decision including a recommended Order to establish a Beef Research and Information program was published in the **Federal Register** on September 21, 1979. Interested persons were given until November 5, 1979 to file exceptions to the recommended decision. Twenty-four persons submitted comments. The bulk of the comments questioned the need for and concept of the Order rather than suggesting exceptions or modifications to the recommended Order. However, some of the comments contained a number of exceptions or recommendations. No significant changes have been made in the recommended Order, but minor clarifying and conforming changes have been incorporated into this Decision and Order.

The Recommended Decision was formulated based on evidence received at a public hearing on a proposed Order and on briefs submitted based on the hearing record. The public hearing was held at Dallas, Texas; Pittsburgh, Pennsylvania; Atlanta, Georgia; Reno, Nevada; and Des Moines, Iowa, during June 1979, and briefs were received until August 15, 1979. The hearing was held pursuant to notice which was published in the **Federal Register** [April 23, 1979, 44 FR 23858]. The notice set forth a proposed Order which was submitted to the Department of Agriculture by the Beeferendum Advisory Group (a coalition of a number of national beef and farm organizations) pursuant to rules of practice and procedure for formulating an Order. These rules were published in the **Federal Register** [June 23, 1976: vol. 41; No. 122] and amended February 27, 1979 (vol. 44; No. 44). In response to a news release issued March 8, 1979 announcing that a proposed Order had been submitted and inviting additional proposals or changes in the Order submitted by the industry group, one suggested change was received. The change was proposed by the Community Nutrition Institute and was incorporated into the Notice of Hearing as Proposal Number 2. A prehearing investigation analyzed the primary proposal submitted by the beef industry group and indicated that the Secretary had reason to believe that the issuance of an Order would tend to effectuate the declared policy of the act. These actions were taken pursuant to authority contained in the amended Beef Research and Information Act (7 U.S.C. 2901 *et seq.*).

On the basis of the evidence introduced at the hearing and the record thereof, the Deputy Administrator, Agricultural Marketing Sevice, filed with the Hearing Clerk, U.S. Department of Agriculture, a recommended decision containing notice of the opportunity for interested persons to file exceptions to the decision. Upon review of the entire hearing record, including comments on the recommended decision; the material issues, findings and conclusions, rulings, and the general findings of the recommended decision which were published in the **Federal Register** with certain minor clarifying and conforming changes are hereby approved and adopted and are set forth in full herein.

Decision

Decision Basis.—The amended Beef Research and Information Act, under the Legislative Findings and Declaration of Policy, states that the maintenance and expansion of existing markets and the development of new or improved markets and uses (of cattle, beef, and beef products) are vital to the welfare of cattle producers and those concerned with marketing, using, and processing beef as well as the general economy of the Nation. The Act further states that it is in the public interest to provide an adequate, steady supply of high quality beef and beef products readily available to the consumers of the Nation, and that maintenance of markets and the development of new markets, both domestic and foreign, are essential to the cattle industry if the consumers of beef and beef products are to be assured of an adequate, steady supply of such products at reasonable prices.

The Act provides that the Secretary shall determine, based on the hearing record, if the proposed Order tends to effectuate the declared policy of the Act. The policy of the Act is to establish a program of research, consumer information, producer information, and promotion designed to strengthen the cattle and beef industry's position in the marketplace, and maintain and expand domestic and foreign markets and uses for United States beef. The criteria used in this determination included an evaluation of: (1) the need for the program, (2) the adequacy of the proposed funding level, (3) the type of potential plans and projects for research, consumer information, producer information and promotion, (4) the likelihood that these projects will strengthen the beef industry's position in the marketplace, and (5) the specific terms and provisions of the Order. It is concluded from evidence introduced at the public hearing and the entire hearing record that the Order would tend to implement the policy of the Act. The bases for reaching this conclusion are summarized below. A more detailed evaluation may be found later in this document in the section entitled, "Findings and Conclusions."

Need for Program.—Beef is the major source of protein in the diet of United States citizens, accounting for 15 percent of the average person's food expenditures. On January 1, 1979, there were 110.8 million cattle in the United States, produced on 1.7 million farms. Beef production is common to more farms than any other commodity. Forty-three percent of all farms produce beef. Historically, beef producers have been troubled by the 10-year cattle cycle. The cycle is marked by a period of low cattle slaughter supplies and favorable prices followed by a period of increased cattle slaughter and low cattle prices. Moderation of the extreme variations in profitability resulting from over and under-investment that underlies the cattle cycle may be accomplished through a program of research and information. Experience indicates that an imaginative approach will be needed to communicate such information before producer decisions based on this information will modify the cattle cycle. Such research and information programs could result in more stable beef supplies to the benefit of producers and consumers.

Research to maintain and enhance the marketing position of beef through the development of production, processing, and marketing efficiencies could also benefit producers and consumers through reduced cost. Some of the more promising projects would be further research in basic genetics, new feeding programs, new cattle and beef marketing systems, and new merchandising techniques.

Information is necessary to aid producers in making marketing decisions as well as to provide consumers with scientifically based nutrition information. Promotion would likely include generic beef advertising designed to inform consumers of the nutritional benefits of beef.

Foreign market development efforts could increase the amount of U.S. produced beef shipped to overseas customers. For the long term, increased beef exports would raise the amount of beef produced in the U.S., and would likely lower per unit costs to American consumers and increase net income to producers due to expanded demand.

Eighty-seven of the 94 witnesses at the public hearing testified in support of the need for a Beef Research and Infomation Order.

Funding.—The initial assessment level could be established at up to two-tenths of one percent of the value of cattle sold. An assessment of two-tenths of one percent would generate approximately $40 million annually, based on 1978 prices. Hearing testimony indicates that based upon industry needs, the funding of similar programs, and the amount spent by other industries, an initial assessment of two-tenths of one percent would be appropriate. Funds would be collected according to a value-added concept which would assess all sellers in the marketing chain. The sales of high-valued dairy and breeding animals would be exempted from assessment until the animals are sold for slaughter when their value would be equivalent to other similar slaughter cattle. After the first two years of the program's existence, the assessment level may be raised up to a maximum of five-tenths of one percent, subject to approval by the Department. An assessment of five-tenths of one percent would generate approximately $100 million annually based on 1978 prices. Any producer may request and receive a refund of his or her assessment.

Plans and Projects.—Examples of the types of activities which could be carried out under this program include:

1. Programs designed to develop improved economic data and analysis relating to current and expected supply and price levels in the beef industry could provide the foundation for improved communication to affect producer investment decisions and modify the cattle cycle and its detrimental consequences.

2. Production research projects concentrating on such areas as basic genetics, feeding programs, disease control, and waste management.

3. Marketing research directed toward improving efficiencies in slaughtering, packaging, and merchandising of beef; research to explore improved energy conservation, to search for alternative marketing systems, and to improve utilization of beef products.

4. Nutrition research to further define the proper role of beef in the diet and improve and enhance the qualities of beef.

5. Consumer information to provide nutritional information to homemakers, the food service industry, health professions, students, and the media.

6. Product promotion involving advertising, distributing recipes, providing the media with feature stories, and advising persons concerning product supplies as well as how to purchase meat to fit various family budgets.

7. Developing and maintaining foreign markets for established beef products and by-products may be accomplished through trade show participation, working with overseas customers, and finding new uses for less desirable beef by-products.

Based on hearing testimony concerning similar commodity programs, it appears that plans and projects authorized under the Order can be designed to achieve the objectives of the Act.

Possible Program Results.—While it is anticipated that the Order may strengthen the beef industry's position in the market place, problems in isolating the Order's impact and the effects of other influencing factors may make it difficult to evaluate the program's performance. Greater production efficiencies, improved marketing techniques, and increased levels of nutrition information should benefit producers and consumers. To the extent the program could modify the extreme price fluctuations in the beef market, producers and consumers would also benefit.

Specific Terms and Provisions.—To accomplish the declared policy of the Act, numerous specific terms and provisions are needed to govern the operation of a program. The terms and conditions of the Order contained in this document establish the detailed means for carrying out the provisions and policy of the Act.

2. *Procedure and Background.*—The Beef Research and Information Act was enacted in 1976 and amended in 1978. The Act authorizes a research and information program to develop and improve markets for cattle, beef, and beef products subject to approval by producers voting in a referendum. The Act is enabling legislation which authorizes any individual or organization to submit a proposed Order to the Secretary designed to implement the program authorized by the Act. The Act provides that when the Secretary has reason to believe that the issuance of an Order will appropriately implement the program authorized by the Act, the Secretary shall issue a notice and hold a hearing on the proposed Order. The applicable rules of practice and procedure provide for the Department to issue a recommended decision and Order if it is determined, based on the hearing evidence and written briefs, that such an Order will tend to implement the policy of the Act. Comments on the recommended decision and Order are then invited from the public during a specified period of time. If the Secretary finds after a review of comments on the recommended decision and Order and the entire hearing record that the Order will implement the policy of the Act, a final decision is issued, and a referendum among producers is held to

determine if they wish to put the Order into effect. If a majority of those voting favor the Order, a beef research and information Order would be established.

In 1976, a proposed Order was submitted and a public hearing held on the Order. In 1977, the Secretary issued a final decision and Order. However, the Order did not receive the two-thirds majority approval of cattle producers voting in a referendum necessary to establish a program. The Act was amended in 1978 to allow a simple majority of those voting in a referendum to approve the Order. In February, 1979, a new proposed Order was submitted to the Department. In accordance with the applicable procedures, a notice of hearing was published, and a public hearing was held on the proposed Order. A recommended decision and Order was issued based upon the hearing record and briefs submitted. A 45-day period was provided for public comment on the recommended decision and Order. This final decision and Order is based on the entire hearing record as well as comments received on the recommended decision and Order.

The Beef Board, authorized under the Order, would be responsible for preparing detailed project proposals for beef research and information. The Act requires that the proposed projects be reviewed and approved by the Secretary before project expenditures may be authorized by the Board. In addition, the Act requires that the Secretary approve the annual budget of the Board. This requirement assures that the program will be formally evaluated on an annual basis and fulfills the "sunset review" requirement under the Department's criteria for implementing Executive Order 12044. The Order would continue indefinitely unless:

1. The Act is repealed;

2. The Secretary finds that the Order or any provision(s) thereof obstructs or does not effectively carry out the policy of the Act;

3. Beef producers reject the Order in a referendum for termination; or,

4. Beef producers reject a revised Order in a referendum.

Material Issues

The material issues presented on the record of hearing are as follows:

(1) The need for the proposed Beef Research and Information Order to effectively carry out the declared policy and purpose of the Act.

(2) The adéquacy of the proposed level of funding from beef producers to support the proposed program.

(3) The adequacy of the type of potential research and information plans and projects to implement the proposed program.

(4) The possible effect of the proposed program on research, consumer information, producer information, and promotion of beef.

(5) The determination of the specific terms and provisions of the proposed Order necessary to effectively carry out the declared policy of the Act, including:

(a) Definitions of terms used therein which are necessary and incidental to achieving the objectives of the Order;

(b) The establishment, maintenance, composition, powers, duties, procedures, and operation of the Board which shall be the administrative agency for the Order;

(c) The authority for establishing and financing the development and implementation of programs and projects of research, information, education, and promotion to improve, maintain, and develop domestic and foreign markets for cattle, beef, and beef products;

(d) The establishment and maintenance of a coordinated program with State beef boards, beef councils or other beef promotion entities organized to conduct programs with objectives similar to those of this Order;

(e) The procedures to levy assessments on the sales of cattle to make refunds of assessments to producers who request them, and to incur necessary expenses;

(f) The provisions concerning recordkeeping requirements and reports by slaughterers; and

(g) The need for additional terms and conditions as set forth in §§ 1260.181 through 1260.187 of the Order which are necessary to effectuate provisions of the Act.

Findings and Conclusions

Evidence presented on the record at the public hearing indicates that cattle are produced, in some quantity, in all 50 States and that beef and beef products are produced and consumed in all 50 States. Therefore, it is found that cattle, beef, and beef products move in interstate and foreign commerce and that which does not move in such channels of commerce directly burdens, or affects interstate commerce of cattle, beef, and beef products. The findings and conclusions on the material issues are based on the evidence presented at the hearing and the record thereof and are as follows:

(1) *Need for the Order.*—The hearing record establishes that beef is a major source of protein in the diet of United States citizens. Beef accounts for 12 percent of the food energy in the American diet, 23 percent of the protein consumed, and 15 percent of the average person's total food expenditures. Beef is common to more farms than any other commodity. In addition, beef is among the top five income producing commodities in 47 States, and accounts for about one-fourth of the farm value of all food produced on U.S. farms.

On January 1, 1979, there were 110.8 million cattle in the United States, produced on 1.7 million farms. Over half of the United States beef supply is produced from cattle herds of less than 100 cows. Forty-three percent of all farms produce some beef. This includes dairy animals that eventually become part of the beef supply.

Market instability resulting from the cattle cycle and other factors affect all beef producers. A cattle cycle usually runs for a period of 10 to 12 years, from one low point in cattle numbers to the next. During one phase of the cycle, the basic cow herd is increased, as individual producers react to favorable cost-price relationships by expanding their herds or getting into the cattle business. Eventually cattle numbers become too large and/or input costs rise too much. There is more beef than consumers will buy at a price allowing cattlemen to make a profit. This brings on the herd liquidation phase of the cycle. As cattlemen elect to cut back on herd sizes, the liquidation of breeding stock compounds the oversupply problem, further depressing prices and increasing financial losses. Cattle cycles have historically been a part of the beef industry. During the early part of this century, they were often 17 years in length, by 1938 to 1949, they had shortened to 13 to 14 years and since that time, they have been approximately 10 years in length. In recent years, the cattle cycle has caused extreme fluctuations in price and supply. According to records kept by Iowa State University during the period from September 1973, through May 1979, feedlot finished cattle have returned a profit in only 27 of those 69 months. Hearing testimony indicates that the average cow-calf operator lost $95 per calf in 1975; $54 per calf in 1976; $77 per calf in 1977; and $38 per calf in 1978. It has been estimated that total operating losses of the beef industry during 1974–78 were almost $15 billion. During the most recent cycle, per capita supplies of beef reached a low of 99.5 pounds per person in 1965. Per capita supplies increased to a peak of 129.3 pounds in 1976, and have declined to an estimated 107 pounds per capita for 1979. Because individual producers are free to make their own production decisions and have consistently responded to favorable prices by increasing their cattle herds, there is little likelihood that cattle cycles can be completely eliminated. However, to the extent that this program can moderate the extremes of the cattle cycle, it will be to the benefit of both producers and consumers. With a more stabilized supply, consumer, producers, and processors would be better able to adjust to moderate supply fluctuations and there would be fewer price inequities in the marketing system.

Traditionally, the beef industry has relied upon land-grant colleges to provide research. The hearing record indicates that the emphasis and the amount of funding from traditional sources are declining and that a need exists to maintain and enhance the marketing position of beef through the development of production, processing and marketing efficiencies. Current estimates indicate that funds amounting to less than a quarter of one percent of the cash receipts from the beef industry are being reinvested in beef research. In some other industries, the level of investments range from 3–10 percent.

There is a need for further production, processing and marketing research, as well as nutrition research. The hearing record indicates a need for production research in the areas of basic genetics, feeding programs, disease control and waste management. The need for processing research was illustrated by hearing testimony which indicated that in 1977, the physical losses of fresh beef during the marketing process from the packer's shipping platform through the retail food stores amounted to 5.2 percent of all fresh beef. Marketing research is a term which can be used to encompass a broad range of needs from the merchandising of beef, to the marketing of cattle and beef, to the studies of effective use of advertising. While food merchandising in recent years has become highly sophisticated for many food commodities, meat products, including beef, have not shared fully in these advances. The risk of innovation has been too great for an individual retailer because significant innovations tend to be quickly adopted by competitors. Short-term benefits have not justified the cost of development on the part of any one firm. Cattle and beef marketing research is needed to study possible methods to more accurately reflect value and to provide equity in the marketplace for all participants in the production and marketing chain. An additional area for study would be to develop improved market analysis and information systems to reduce price variability and minimize the cyclical economic stress on the industry.

The hearing record indicates a need for a program of foreign market development. The United States is the world's largest producer and importer of beef. Total U.S. imports approach 10 percent of domestic production while U.S. exports are less than one percent of domestic production. Although the United States exports a large share of its feed grain production to foreign countries for their use in beef production, the hearing record indicates that exporting beef instead of grain could reduce transportation costs and save fuel, could provide more economic activity and jobs in the United States, and could be a positive factor in improving the United States' balance of trade.

An exception was filed stating the proposed beef program would have an adverse effect on the United States balance of payments and the consumer price index since the United States already is a net importer of six percent of its beef supply. The exceptor concluded that promotion of additional consumption would require additional imports and result in a larger trade deficit. First, there is no record evidence to suggest that a significant short-term response to promotional efforts would occur. In addition, based on past experience, the exceptor's scenario of events cannot be substantiated, since world supplies of beef available to be imported into the United States are limited and thus, no substantial increase in imports would occur. The overwhelming bulk of any increase in consumption would be the result of increased domestic production.

A related exception opposed the Order on the basis that beef production for export or any other purpose is a very inefficient use of natural resources, energy and grain. Claiming that the ratio for the conversion of grain to animal protein is somewhere between 30:1 and 80:1, the exceptor contended that available grain supplies should be used to feed humans rather than cattle. A review of the record reveals a dearth of evidence in support of this contention. Further, the exception does not recommend any particular change in the proposed language of the Order but, instead, is in general opposition to any Order at all. Accordingly, since the record does support the need for additional financing for research into the production and marketing of cattle, as well as for other purposes, which could have a beneficial, rather than an adverse impact on world food supplies, it has been determined that providing for such a program would tend to effectuate the purposes of the Act.

There is a need to establish an improved information system to serve producers and consumers. The hearing record indicates that consumers are presented with varying information which may not be sufficiently researched. It is important to provide consumers with accurate, scientifically based information on the cholesterol issue. There is also a need to provide nutritional information to consumers concerning the benefits of beef to homemakers, the food service industry, the health professions, students, and the media. To maintain and enhance the position of beef in the marketplace, it is also determined that there is a need for the generic promotion of beef. The promotion of beef could include advertising, distributing recipes, providing the media with feature stories and advising persons concerning product supplies, as well as how to purchase meat to fit various family budgets.

Opponents of the Order contended that the proposed program would not alleviate the impact of the cattle cycle, and that the research and promotion costs for such a program should be borne by all segments of the beef industry and the Government, not by beef producers alone. Opponents stated that the per capita consumption of beef has increased sharply during the past 30 years and that the consumption of beef is an inelastic economic function among the middle class and wealthy, but is elastic among the poor and unemployed. Opponents also state that the uptrend in consumption in recent decades is due to rising disposable income levels among the poor and unemployed. Based on the hearing record as a whole, however, the evidence supports the finding that issuance of the Order will tend to effectuate the policy of the Act.

Proponents of the Order testified that present beef research and information programs are underfinanced and fragmented. Currently, the beef industry spends approximately $5 million for research and information through 28 State beef councils and a national organization. Of the eighty-seven witnesses who testified in support of the proposed Order:

1. Thirteen represented national beef and farm organizations, including the Beeferendum Advisory Group composed of a number of national organizations which developed and submitted the proposed Order.

2. Forty-three represented State beef and farm organizations, including State cattlemen's associations, cattle feeders associations, beef councils, and State farm bureaus.

3. Nine represented dairy organizations.

4. Two represented national farm magazines.

5. Twenty represented organizations which are presently conducting research, including the National Livestock and Meat Board, State universities and other commodity organizations conducting programs similar to the program which could be created under the Order.

Seven witnesses testified in opposition to the Order including the National Farmers Union, several of its affiliated State organizations, and two State farm bureau organizations.

Several exceptions to the recommended decision and Order were filed which questioned the concept and need for a beef research and information program. Among the issues raised in the exceptions by the respondents were: that the Department should not be promoting the increased consumption of meat; that with the existing debate on the role of beef in the diet, beef consumption should not be promoted due to various studies associating beef consumption with various diseases; that the estimated amount of funds to be raised by this program would exceed the $40 million figure which was the annual estimated figure provided by the Department; and that due to the inelastic nature of the beef supply, beef promotion which results in increased consumption could substantially increase beef prices.

These exceptions are discussed individually below. However, it should be noted as stated elsewhere in this document, that the amended Beef Research and Information Act authorizes a program of beef research and information. The Act provides that after notice and opportunity for hearing, the Secretary of Agriculture shall issue an Order if he finds, upon the evidence introduced at such hearing, that the issuance of such Order and all the terms and conditions thereof will tend to effectuate the declared policy of this Act.

An exceptor stated that it was inconsistent for the Department to seek to implement such a program while other government entities, such as the Surgeon General, were recommending that Americans should eat less beef. The initiative and underlying policy for a beef research and information program was created by Congress through passage of the Act. The Department conducted the hearing sessions, evaluated the testimony, rendered decisions based on that testimony, and will conduct a producer referendum regarding the Beef Research and Information Order. Thus, the Department is fulfilling its duly constituted responsibilities under the Act. Furthermore, this Order does not solely provide for the promotion of beef. As delineated elsewhere in this document, funds would be used for research, producer information, consumer information, and foreign market development. A description of the types of projects which could be conducted is contained in this document.

Several exceptions stated that beef consumption should not be promoted since some studies have associated beef consumption with various chronic diseases such as coronary occlusions, stroke, cancer, diabetes and kidney failure. It is recognized that controversy and debate currently surround the role of beef in the diet; however, the hearing record is replete with testimony and evidence regarding the need for further research on the beef-diet issue. Accordingly, based on the hearing evidence, it is expected that nutrition research will be given a high priority in expending assessment funds. One exceptor charged that research undertaken by the Board will be biased and, accordingly, that the Board's authority to publicize or otherwise distribute research results should be limited by the Order. The evidence in the record, however, fails to support the premise upon which this exception is based. Further, testimony throughout the record suggests that much of the research funded under this Order will not be conducted directly by the Board, but rather will be contracted out to existing organizations with recognized research capabilities, such as universities. Since there is no reason to question the objectiveness of established research institutions irrespective of the source of funding, this exception is denied.

An exception was filed to the statement in the recommended decision that the impact of this program would be $40 million annually, based on 1978 prices. The Order limits the assessment rate to two-tenths of one percent of the value of cattle sold for the first two years of the program's existence. Based on 1978 cattle prices and slaughter supplies, the Beef Board would collect approximately $40 million annually with an assessment of two-tenths of one percent. In projecting collections based on 1979 cattle prices and slaughter supplies, the total amount collected could approximate $45 million annually at the two-tenths of one percent level. The only statistically supported cost impact which can be made is the direct effect of the assessment which could amount to $40 to $45 million annually. As authorized in the Act, the Order provides that after the first two years of the program's existence, the assessment level could be increased to five-tenths of one percent of the value of cattle sold. Based on 1978 prices, an assessment of five-tenths of one percent would result in collections of approximately $100 million annually. In projecting collections based on the 1979 level of cattle prices and slaughter supplies, the total amount collected could approximate $110 to $115 million annually. However, these projections do not include an allowance for refunds. In similar programs for other commodities, refunds are in excess of 10 percent of collections.

An exception stated that the estimated $40 million figure does not recognize basic economic theory, because beef promotion would probably increase demand without increasing the supply of the commodity, thereby driving up prices. The effect of increased pressure on beef prices due to promotion efforts is speculative at best. There is no sound statistical basis for making hard quantitative forecasts. If such efforts are intensified during the high inventory/low price phase of the cattle cycle, it seems reasonable to conclude that advertising could have a countercyclical effect. The benefits of research on production, marketing, and processing are difficult to estimate, since there is little statistical basis for quantitative forecasts on how much these expenditures will reduce per unit costs of beef. However, the record is replete with testimony regarding researchable areas because of the need to achieve greater productivity. The record indicates that based on past experience beef producers will increase production when receiving profits either from high prices or reduced costs. If supplies are unduly short and profits high, they will ultimately produce more beef than consumers will buy at a price which is profitable to cattle producers. This situation is commonly referred to as the cattle cycle and is described in additional detail elsewhere in this document. Further, the concern expressed by the exceptor has not materialized as a problem in similar programs.

After reviewing the entire hearing record, including the hearing evidence, legal briefs, and exceptions to the recommended decision and Order, it is concluded that a need exists for a beef research and information program and that the Order would effectuate the declared policy of the Act.

(2) *Level of Funding:*

(i) *General.* The research and information activities which could be conducted under the program would be funded by an assessment on the sales of cattle. During the first two years, the Order calls for an assessment of up to two-tenths of one percent of the value of cattle sold. It is estimated that initial collections at the two-tenths of one percent level would be about $40 million annually. At the maximum assessment level of five-tenths of one percent, collections would be about $100 million annually.

Under the value-added system of assessment, all producer-sellers in the marketing chain will be assessed. The initial purchaser in the marketing chain would deduct the amount of assessment from the payment to the original owner. Each succeeding purchaser would deduct an assessment based on the animal's value at the time of sale. The amount collected from the seller would include the assessment paid by the previous owner(s) plus an amount reflecting the value added by the seller. The purchaser at the point of slaughter would deduct the total assessment due and pay it to the Beef Board.

The sales of dairy and breeding animals with a value significantly above the commercial market value in the slaughter market chain, would be exempted from assessment until the animals are sold for slaughter. Any producer may request and receive a refund of the assessment paid. It is determined from hearing testimony that the aniticipated initial funding level will adequately implement the plans and projects authorized by the Order. Many witnesses stated that funding at the two-tenths of one percent level would be adequate, but not excessive, for the implementation of the Order.

The implementation of the Act would directly affect all cattle producers. There are 1.7 million farms with cattle in the United States. All cattle slaughterers would also be directly affected because slaughterers would deduct the assessment and remit it to the Beef Board. Other groups directly affected would include the recipients of the funds expended by the Beef Board, such as universities and other research organizations, product promotion firms, advertisers and the media. Any impact on wholesalers, retailers, and domestic consumers of beef would be small.

Exporters of live cattle, beef, and beef products would be affected to the extent funds used in export development affected entry into the export market. Any impact on the domestic feed industry due to adjustments in beef production levels would be small.

(ii) *Cost Impacts.*—The cost impact on producers could vary from up to two-tenths of one percent of the value of cattle sold during the first two years to the maximum of five-tenths of one percent permitted by the Order in later years.

If the total cost of the program were passed on to consumers with no offsetting benefits, it is estimated that the initial assessment level would result in an increase of less than one-third of a cent per pound in the price of retail beef. At the maximum assessment level, the comparable impact on price would be about eight-tenths of a cent per pound of retail beef.

(iii) *USDA and Other Federal Costs.*—The direct costs of conducting the hearing and the referendum, excluding salaries, will be reimbursed by the proponents of the Order. Should the Order fail to be approved by the majority of those voting, the Department will be reimbursed from an irrevocable letter of credit which has been posted with the Department for non-salary costs incurred. Should the Order by approved in referendum, the Department will be reimbursed from assessments collected by the Beef Board. Also, the Act provides for the Department to be reimbursed from assessments for all expenses, including salaries, incurred relating to this program, when an Order becomes effective following approval in a producer referendum. In addition, the expenses incurred in connection with any subsequent rulemaking involving amendments to the Order and referendums on such amendments under the Act would also be reimbursed from Order funds.

(3) *Plans and Projects.*—Below is a description of the type of impacts that may result from a research and information program based on experience in other commodity programs. Also included is a brief discussion of the types of programs which could be conducted by the Beef Board.

In 1975, egg producers voted to assess themselves to conduct a program of research and promotion. In 1978, after a downtrend in per capita egg consumption lasting more than three decades, egg use increased by 6 eggs per person compared to a year earlier. Hearing testimony reveals that in June of 1979, according to Urner-Barry, a private egg price reporting service, egg prices were 8–10 cents above a year earlier. This price level allowed producers to make a modest profit. USDA statistics on April 1, 1979 showed a 3 percent increase in laying hens over 1978, indicating a strengthening in consumer demand for eggs and a countinued uptrend in egg production and consumption. Although some of the increase in per capita consumption of eggs may be attributed to the research and promotion efforts of the egg industry, rising prices of other protein foods have also been contributing factors.

Cotton producers began a research and promotion program about 12 years ago to alleviate the declining use of cotton resulting from the increased popularity of synthetic fibers. Hearing evidence indicates that the annual decline in cotton's share of total fiber consumption has been moderated. While the research and promotion program may be partially responsible for slowing down the annual rate of decline, it is also recognized that other factors, such as price increases of synthetic fibers associated with higher prices of petroleum products, affected consumption levels.

The true impact of any ongoing research and promotion program is difficult to measure because assumptions must be made to isolate the effect of this variable from other influencing factors. Measuring the possible impacts of a potential program is even more difficult.

The results of the various programs under the Beef Research and Information Order will be a function of the priority given to the research and information programs by the Beef Board. It is anticipated that the Beef Board will become involved in programs of promotion, basic research, consumer and producer information, and foreign market development.

Basic research could include nutrition research as well as production, processing, and marketing research. Nutrition research could further investigate the proper role of beef in the diet.

Production research could study such areas as basic genetics, feeding programs, disease control, and waste management. Research efforts could focus on increasing the incidence of twinning, identifying the key characteristics for future breeds or lines such as size and adaptability, seeking new information relative to factors that limit the rate of protein synthesis which could improve the growth process, improving the utilization of forage by-products such as crop residue and fibrous feed materials for ruminants, reducing death losses, improving methods of utilizing nutrients in animal waste and utilizing animal waste to produce methane fuel, and reducing or eliminating the undesirable odor level associated with some systems of beef production.

Research designed to improve beef processing efficiencies could study product loss in the marketing chain, improved product safety, increased

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energy conservation, and improved productivity in transportation, handling, fabrication and packaging. Research could also investigate improved product utilization through such means as further development of tenderizing techniques and further development of flaked and formed products for optimum utilization of less tender cuts of beef.

Marketing research could investigate improved methods of merchandising beef, alternative marketing systems for cattle, and improved market analysis and information systems for long term decision making.

An information system for producers and consumers could aid producers in making production and marketing decisions, based on research to alleviate the impact of the cattle cycle through better informed producers, while consumer information could provide consumers with scientifically based nutrition information concerning beef. Consumer information could also provide information to assist people in buying, meal planning, preparing, serving, and storing beef.

A foreign market development program could endeavor to increase the exports of beef produced in the United States. The export of beef may be increased through participation in foreign trade shows, development and maintenance of markets for established beef products, and finding new uses for less desirable beef products.

Obviously, for all of these possible opportunities, there is always a risk of failure. The rate of return for various potential projects could undoubtedly vary significantly. Thus, the Beef Board should attempt to choose those projects with the highest probability of successfully achieving a high rate of return.

(4) *Possible Results.*

(i) *General.*—To the extent the program successfully addresses the needs of the beef industry through the possible plans and projects, the Order will result in strengthening the cattle and beef industry's position in the marketplace. Should the extreme price fluctuations associated with the cattle cycle be moderated, consumers would be benefited by more stable supplies of beef at a more constant price level, while beef producers would receive a more stable price for their cattle. If research can improve efficiencies in production, processing, and marketing, consumers would benefit through lower per unit beef costs while producers net income may be increased. Increased exports of beef would lead to increased domestic beef production and also provide for lower per unit cost of domestically consumed beef. Consumer information may increase the level of nutrition awareness among consumers and may lead to increased per capita consumption.

(ii) *Competitive Impact.*—It is anticipated that the Order may increase the demand for cattle, beef, and beef products. The impact of the program on different types of beef producers will depend on the specific research and information projects undertaken by the Beef Board. However, it is the intent of the Order that the Beef Board represent and act in the best interest of the entire beef industry, including all types of beef producers.

(iii) *Distribution of Effects by Income Classes.*—To the extent the program successfully increases demand for beef, either directly or by increasing exports, it will benefit cattle producers, cattle feeders, and feed producers by strengthening markets and prices. To the extent it improves nutritional information, all income groups should receive some benefits from the program. However, the poor, elderly, and teenage groups could benefit more from nutritional information and information which assists them in the selection and preparation of less expensive cuts of meat. To the extent it stabilizes production and prices, it would benefit both beef producers and consumers.

(5) *Terms and Provisions of the Order.*

(a) *Definitions.*—"Secretary" means the Secretary of Agriculture or any other employee of the Department who may be authorized to act in his stead.

"Department" means the United States Department of Agriculture, the Secretary, or any other authorized employee of the Department. Since the terms "Department" and "Secretary" both include all authorized individuals within the Department, the terms could be used interchangeably. However, since many of the functions to be performed will be delegated, the term "Secretary" is used in the Order only for those functions which the Secretary would normally perform, and the term "Department" is used in all other instances.

"Act" is defined to provide the correct legal citation for the statute pursuant to which the Order may be put into effect and operated. The inclusion of this definition makes it unnecessary to refer to such law and statutory citation each time reference is made to the Act in the provisions of the Order. "Act" also is defined to include any amendments that have been, or may be, made to the Beef Research and Information Act (7 U.S.C. 2901 *et seq.*).

"Fiscal Period" is defined as the 12-month period corresponding with the USDA's fiscal year. The Beef Board is required by the Act to submit budgets to the Department on a fiscal period basis for approval of the anticipated expenses and disbursements in the various areas expenditures are authorized. A clearly defined and predetermined fiscal period of 12 months can facilitate auditing, budgeting, accounting, and making expenditures on an orderly basis. The period corresponds with USDA's fiscal period for convenience in administration. Should conditions change or if it may be more convenient for the Board, the Beef Board, with the approval of the Department, may select some other 12-month period as its fiscal year.

"Beef Board" or "Board" is defined as the adminstrative agency or body charged by the Act with the duty to administer the Order. The definition is made to insure that when used in the Order, the terms "Beef Board" or "Board" refer to the entity established by the Order. The Act requires that a Beef Board of up to 68 producer members be appointed by the Secretary from nominations submitted by organizations representing producers.

"Executive Committee" is defined to mean those 11 members of the Beef Board, elected by the Board to administer the Order under Board supervision and within Board policies. The Act requires the establishment of a seven to eleven member Executive Committee. The hearing record indicates that an 11-member committee would be more representative of the cattle industry. The Act states that such a committee shall be broadly representative of the beef industry. As provided in § 1260.146(b), the Beef Board will initially divide the United States into eight geographic regions. The members of the Board from each region will select one member for the Executive Committee from among themselves. The remaining three members of the Executive Committee will be selected by the board on an at-large basis.

"Producer" is defined in the Order to identify the persons responsible for payment of assessments under the Order. It is essential to the value-added concept of assessment that all producers in the marketing chain who add value to an animal be assessed based on that value added. Therefore, any person who takes title to an animal, other than for the purpose of immediate slaughter, is a producer regardless of the period of ownership. In addition to being subject to the assessment, producers have the right to vote in any referendum on the Order and are eligible to serve on the Board and to nominate, primarily

through eligible organizations, others to serve on the Board.

"Producer" is defined by the Act to mean any person who owns or acquires ownership of cattle, unless his or her only share in the proceeds of a sale is commission, handling fee, or other service fee. It was not the intent of Congress to include slaughterers in the definition of producers since slaughterers usually do not perform the function of producing cattle, therefore, persons acquiring cattle solely for the purpose of slaughter shall not be included in the definition of a producer. A cattle slaughterer or packer may be a producer and subject to assessment, if that entity has cattle on feed or buys cattle for purposes other than immediate slaughter. The term "immediate slaughter" includes those cattle purchased for the sole purpose of slaughter which are not held on feed for an extended period of time prior to slaughter. It is recognized, however, that under normal trade practices, cattle purchased for "immediate slaughter" may not actually be slaughtered for several days.

"Producer-buyer" is defined to mean a producer who purchases cattle. The producer-buyer is required to collect or deduct the assessment authorized under the Order from the seller or from the amount paid to the seller for the animal.

"Producer-seller" is defined to mean a producer who sells cattle. The producer-seller is required to pay to the buyer the assessment authorized under the Order.

"Slaughterer" is defined to mean any person who slaughters cattle. Since the intent of the Act is to only assess producers, slaughterers are exempted from assessment unless they purchase cattle for other than immediate slaughter. A slaughterer is the entity required by the Act to collect or deduct the total assessment on an animal and to forward such assessment to the Beef Board.

"Producer organization" or "eligible organization" means any organization, association, general farm organization, or cooperative representing cattle producers in a geographic area which has been certified eligible to make nominations to the Secretary for consideration in appointing members to the Beef Board. The Act lists criteria for use by the Secretary in certifying eligible organizations. As specified by the Act, the final determination of whether an organization is an eligible organization rests with the Secretary.

"Promotion" is defined in the Act to mean any action to advance the image or desirability of beef or beef products. This definition could include advertising, advertising services, education, exhibits, seminars, publications or any other means to advance the image or desirability of beef and beef products. It is anticipated that promotion would be substantially devoted to presenting nutritional and other educational information.

"Research" is defined to mean any type of systematic study or investigation, and/or the evaluation of any study or investigation, to advance the desirability, marketability, production, or quality of cattle, beef, and beef products. This definition does not require the evaluation of all studies or investigations undertaken pursuant to this Order, but provides that such evaluations may be made on any or all studies and investigations undertaken by the Board. The evaluation of such studies is appropriate to aid the Beef Board in determining the most effective use of funds collected under the Order.

An exception was filed to the definition of research. The exceptor stated that "this definition eliminates the need for any pretense that the research being conducted is objective in any way." Further, the exceptor opposes the use of Beef Board funds to disseminate information on the links between beef and disease or beef and health. The exceptor recommended that the Order be modified to prohibit the Board from using its authority to conduct information campaigns based on unobjective research.

The recommendation in this exception is not adopted. First, the definition of research in the Order is essentially the same as the definition of research approved by Congress and set forth in the Act. Second, the record evidence does not support the exceptor's speculation regarding the potential misuse by the Board of unobjective research data. Finally, the Department is required to monitor the program established under the Order through the review and approval of plans, projects, and the budget. Thus, should the Department ascertain that projects proposed or undertaken by the Board are not appropriate, it has the authority to deny approval of such projects. In addition, should it be determined that the Board is disseminating information which is not based on objective research, the Department would curtail such activities.

The Board may enter into contracts, with the approval of the Department for the purpose of carrying out authorized activities. The term "Contracting Party" is defined to include any person, public or private, with which the Beef Board may enter into a contract or agreement in the manner provided in the Order.

"Marketing year" means the calendar year ending on December 31 unless some other consecutive 12-month period is designated by the Board with Department approval. The hearing record reflects that the calendar year is the most appropriate period to be designated as the marketing year since most marketing statistics applicable to the Order are maintained on a calendar basis. If conditions or circumstances should change, some other 12-month period could be designated as the marketing year by the Board with the approval of the Department.

"Part" refers to 7 CFR Part 1260, containing rules, regulations, orders, supplemental orders, amendments, and similar matters concerning the amended Beef Research and Information Act. The term "subpart" is used when referring to a portion or segment of Part 1260.

(b) *Beef Board.*—A "Beef Board" is established to act as the administrative body for the Order as required in Section 8 of the Act. It is composed of producers appointed by the Secretary from nominations submitted by eligible organizations in specified geographic areas. Each member has an alternate to serve in his or her stead as necessary.

Membership.—Members of the Beef Board shall be selected to reflect the varied character of the cattle and beef industry. The Act specifies that the Beef Board shall consist of not more than 68 members. Section 8 of the Act requires that Board members and alternates be named from specified geographic areas designated to reflect, to the extent practicable, the proportion of cattle in each such geographic area.

Organizations representing cattle producers normally are organized and operate on a statewide basis, although there are also regional and national organizations, often formed by an affiliation of similar State organizations. Statistics measuring cattle production are available on a State by State basis. Accordingly, to the extent practicable, a State is the geographic area used for determining representation on the Board, with each major cattle producing State entitled to at least one Board member and one alternate. The geographic areas for the initial Board and the number of Board members for each are listed in § 1260.138(e) of the Order.

January 1 inventory numbers of cattle and calves on farms, published annually by the Department of Agriculture, are generally considered the best available measure of the proportion of cattle in the various States. In determining this initial distribution of membership, a geographic area is defined as a State or combination of States with 500,000 head

of cattle or more. Each such geographic area is entitled to one Board member and alternate plus an additional member and alternate for each additional 2.5 million head of cattle. Such a formula will provide for an initial Board of 60 members. The use of this formula provides for broad, equitable representation of producers, flexibility in adjusting to possible future shifts in cattle production, and accommodation of future reapportionments without exceeding the maximum of 68 Board members. Use of this definition accomplishes the objective of providing separate representation on the Board for most States, recognizing the usual boundaries of producer organizations and the similarity of interests of producers within many States.

Important considerations in combining States which have too few cattle to qualify as a geographic area are geographic location and similarity of interests, among other factors. To the extent possible, a geographic area containing several States includes those which are contiguous and which have similar interests. The practical problems of caucusing and reaching agreement on nominations are then simplified.

An exception was received suggesting that the Beef Board be limited to 18 members. This suggestion is not adopted since the record evidence indicates that an initial Board of 60 members is necessary to provide adequate representation for producers.

It was suggested in hearing testimony that Board representation should be based on the number of producers in a geographic area rather than based on the number of cattle. This suggestion is not adopted as it conflicts with the Act.

It was proposed that only individuals who are producers would be eligible for nomination and appointment to membership on the Beef Board which would preclude some producers, such as corporate producers from serving on the Board. All producers, whether they be an individual, group of individuals, partnership, corporation, association, cooperative, or any other entity are regulated by the Order for the purpose of determining who is required to pay assessments and who is eligible to vote in any referendum held pursuant to the Act. Since all producers regardless of their form of business organization are required to pay the assessment and are eligible to vote in a referendum, it would be inconsistent to preclude any producer from membership on the Beef Board. Further, the record fails to establish any sound basis for excluding from service on the Board those producers who are not individual producers. In support of their proposal, the proponents testified that individual producers would be more responsive to the needs of other producers and would probably be more closely associated with beef producers generally. This position, however, lacks support in fact and logic. In addition, the caucus mechanism is specifically designed and included in the Order, to insure that those producers nominated to the Board are persons judged by their peers to be capable of effectively representing the interests of the other producers from their respective geographic areas. Accordingly, it has been determined that the Order should provide that the Beef Board shall be composed of producers, without regard to whether or not they are individual producers. Thus, if nominated and appointed by the Secretary, a corporate producer could serve on the Board through a duly authorized officer or other appropriate representative of the corporation. An exception was filed to the finding that corporate entities may be nominated and appointed to the Board. However, for the reasons listed above, this objection is not affirmed.

Testimony was received at the public hearing stating that the Board membership should be set at 68 members rather than up to 68 members. Establishing an initial Board of 68 members would provide no flexibility to accommodate shifts in cattle production without, for example, removing a Board member from one State in order to add a Board member to a State whose cattle production had increased. Although this could be accomplished and would likely occur in some form under any formula or method established, it could be disruptive to the functioning of the Board. It has been determined that shifts in cattle production could be more easily accommodated through the formula method which provides for an initial Board of 60 members. Finally, there is no evidence to suggest that producer representation would be enhanced by requiring 68 members. Accordingly, the proposal to establish an initial Board of 68 members has not been adopted.

An exception was filed stating that the Beef Board, as constituted in this Order, fails to represent the entire industry, and ignores the beef processors and retailers. The exceptor further states that processors and retailers should be included on the Board and required to pay their fair share for the programs from which they will benefit. Adoption of this exception would place the Order in conflict with the Act. Accordingly, it is not adopted.

Following consideration of the Act, the Congressional committee of conference submitted a conference report (Number 94–1044) which recommended that the Secretary appoint five consumer advisors to the Beef Board. In addition, several witnesses testified to the importance of consumer input. Accordingly, it is determined that the Order should provide that the Secretary shall appoint to the Board up to five non-voting consumer advisors deemed to be knowledgeable in nutrition and food. The Order further specifies that the Board may recommend to the Secretary qualified individuals to serve as consumer advisors. Although it is intended that there shall be five consumer advisors, a lesser number could serve at times if for any reason five could not be appointed. Thus, it is anticipated that the initial Board will recommend to the Secretary 10 qualified individuals to serve as consumer advisors and that the Secretary will appoint up to five advisors to the Board from the candidates submitted. However, should the Board fail to make these recommendations or in the event that the persons nominated are not qualified to serve as consumer advisors, the Secretary shall appoint up to five qualified consumer advisors from persons of his own choosing. Thus, consumer input into the actions of the Board would not be denied if the Board fails to nominate appropriate persons to serve as consumer advisors. In making recommendations to the Secretary, it is intended that the consumer representatives suggested by the Board will not be individuals affiliated with cattle producing or farm organizations. After the initial appointment of the consumer advisors, the Board shall have the opportunity to recommend to the Secretary at least two nominations for each consumer advisor vacancy which occurs.

A number of exceptions pertaining to consumer advisors were received from the Community Nutrition Institute (CNI), the organization which submitted Proposal Number 2 set forth in the proposed Order and the Notice of Hearing Location (published in the **Federal Register** April 23, 1979). Proposal Number 2 provided that consumer advisors be appointed to the Board, that the advisors be reimbursed for expenses, and that the advisors be paid for actual work performed. However, CNI failed to appear at any of the five public hearing sessions to testify with regard to its proposal or any provisions of the proposed Order. Thus, the record evidence that relates to the consumer advisor provision in the Order was supplied by witnesses other than the proponent of Proposal Number 2.

The exceptions filed by CNI relating to consumer advisors can be summarized as follows: that consumers ought to be voting members of the Board, and if this is not possible, that consumer advisors should have all the powers and authority to participate in Board activities and votes, except that their (the advisors) votes will be recorded but not counted; that five consumer advisors be appointed, rather than up to five; that such advisors have no direct or indirect interest in the commercial production, sale, promotion or distribution of beef, or in any food industry corporation; that the Order be modified to require that the consumer advisors be paid for actual work performed (addressed later in this decision); and that the provision authorizing consumer advisors not be included in the membership section. These points are addressed in the following paragraphs.

First, Board membership is specifically provided for in Section 8 of the Act, and although the legislative history of the Act recommends appointment of consumer advisors, there is no authority in the Act or in its legislative history for consumer representatives to be included on the Board as voting members whether their votes are counted or not. Accordingly, the Order has been drafted to provide for non-voting consumer advisors. The intent of the Order language, however, is to allow the consumer advisors to attend Board meetings as advisors to the Board and that they should be provided with sufficient information to allow them to carry out their responsibilities to consumers as well as to the Board. Further, it has been determined that details regarding the conduct of Board meetings, such as what information should be placed in the minutes thereof, could be more appropriately addressed in the Board by-laws or regulations.

Second, the purpose for allowing "up to five" advisors as opposed to requiring "five" advisors is to provide the Secretary flexibility in selecting and replacing such advisors to assure that the persons selected are qualified to exercise their responsibilities. While it is intended that there shall be five consumer advisors, the language providing for up to five advisors provides necessary flexibility.

Third, while it is important that individuals selected as consumer advisors be objective and represent consumers in a manner unaffected by bias or outside interests, the conflict of interest restrictions proposed by CNI seem to be unduly broad and might prohibit otherwise well-qualified candidates from serving as advisors.

Finally, CNI excepted to the inclusion of the provision for consumer advisors in the Membership section of the Order, because inclusion of this provision therein may be used by the Board to deny compensation to advisors. The limitation on compensation, however, is limited to Board members and alternates and is provided for in another section of the Order.

For the reasons set forth in the preceding paragraphs, CNI's exceptions concerning the makeup of the Board and the selection of consumer advisors are not adopted.

Apart from the CNI exceptions, several exceptions were filed recommending that no provision for consumer advisors be made in the Order. For the reasons previously outlined, the recommendation to eliminate the provision for consumer advisors is not adopted.

An exception was filed recommending that at least five advisors representing slaughterers be appointed to the Beef Board in as much as the Order provides for up to five consumer advisors to the Board. However, the hearing evidence fails to establish a basis for such a provision in the Order Further, the Order already contains authority for the Beef Board to establish advisory groups. Accordingly, due to the important role of slaughterers in this program, the appointment of an advisory group composed of slaughterers seems likely.

It was stated at the public hearing by some witnesses that elected Board members would be more representative of producers than appointed members. However, Section 8(b) of the Act provides that the Beef Board and its alternates shall be composed of cattle producers appointed by the Secretary. Accordingly, there is no authority to include in the Order provisions for the election of board members. The Order does provide for producer input through the caucussing of eligible organizations to nominate Board members and alternates.

Term of Office.—The term of office for Board members and their alternates is three years as provided in the Act. However, initial appointments shall be, proportionately for one, two, and three-year terms. The staggered terms for Board members will prevent the possibility of all experienced Board members leaving the Board at the same time and should help provide continuity of program efforts and program direction. The Secretary shall determine on a random basis which initial members shall serve for one, two, and three-year terms, though assuring that the terms of members from a geographic area with multiple representation expire at different times.

No person may serve more than six consecutive years as a Board member or alternate, except that members appointed to the initial Board for terms of one or two years are eligible to serve two additional consecutive terms. However, the limitation does not preclude a member or alternate from switching to the other capacity at the end of the six-year period. For example, a Board member could serve six consecutive years as a Board member, then serve as an alternate, and then serve again as a Board member for an additional six consecutive years.

Although an alternate member may serve at Board meetings in the absence of the Board member, to allow producers the greatest opportunity to designate who will represent them on the Board, the Order provides that alterenates do not automatically move from being an alternate to a Board member when a vacancy occurs.

Certification of Organizations.—Record evidence shows that there are many organizations representing cattle producers throughout the country. Although, the Department is charged with the responsibility of setting the criteria to be used in determining the eligibility of organizations to nominate members of the Board, as required by the Act, the Order includes specific criteria that must be considered in evaluating all organizations requesting certification. As required by the Act, the primary consideration in determining the eligibility of an organization is whether it represents a substantial number of producers who produce a substantial number of cattle. The Department has the final authority to make the determination if a organization is or is not eligible.

Record testimony supports the position that the bulk of the organizations which should be certified should be Statewide organizations. Statewide and regional organizations which meet the specified criteria would be eligible for certification. Organizations which represent a significant area within a State and meet the specified criteria would also be eligible for certification. It is not anticipated that county organizations would be certified since membership in a county organization generally duplicates the membership of State and regional organizations. Further, in the context of a national program, county organizations, normally, would not represent a substantial number of producers with a substantial volume of cattle production. The certification

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process will be initiated by the Department through media announcements that organizations may apply for certification during a specified period. Organizations subsequently certified will be notified and asked to caucus within specific geographic areas for the purpose of submitting nominations for the Board.

The proposed Order required that following the original certification of an organization, recertification would be required at any time the organization wished to make nominations. Because this could require organizations within a geographic area with multiple representation on the Board to request recertification each year, this requirement is found to be burdensome and unnecessary. Under normal conditions, an organization's membership and purpose does not change significantly within five years, however, if the Department should have reason to suspect that an organization's status has changed it can request recertification. It is possible that organizations whose status had changed could be identified through the caucus process. Also, five years would seem to be adequate to require recertification and will not create an unnecessary burden on organizations or the Department. Accordingly, the Order provides that after the original certification of organizations, the Department will require recertification at least once every five years, and may request recertification at any time.

It was suggested in the hearing testimony that the certification section may allow the certification of an excessive number of localized organizations which would diffuse the nomination process making the selection of the best qualified candidates for Board membership difficult. It was also suggested that the criteria listed in the section did not restrict certification to those producers groups that are truly representative of producers in an entire geographic area, or to those groups whose basic policies and funding come from cattle producers. The Department is not limited to the criteria specified in the Order, and has the flexibility to establish standards to eliminate such problems if they should develop. The record does not support the conclusion that these problems will actually occur, particularly in light of the fact that the criteria for certification necessitate the evaluation of organizations against national standards to determine whether each applicant represents a substantial number of producers who produce a substantial volume of cattle.

Nominations.—Orderly procedures, determind by the Department, are established for producer organizations, associations, general farm organizations, and cooperatives within a geographic area, to submit nominations for Board members and alternates to the Department. It is essential that the nominations and appointments be completed in a timely fashion, but adequate time must be provided for producers to consider and select their nominees and for the Secretary to make the appointments. Following the certification of organizations and the caucussing of such organizations nominations shall be submitted to the Department within a time period specified by the Department.

The Order provides that at least two nominations will be provided to the Secretary for each member and each alternate member to be appointed for each geographic area. Although proponents proposed and testified that a single nomination for each position on the Board would be sufficient, it has been determined that such a requirement would not best serve the interests of producers in having the Board promptly and efficiently constituted. The record shows that unnecessary delays and costs could be incurred if the Secretary were to reject a nomination. Organizations within the affected geographic area would be forced to hold a second caucus to arrive at a substitute nomination. This could be costly and would require additional time. The Act states that the Secretary shall appoint such members and alternates. The Act also states that such appointments shall be made from nominations submitted. In this context, the term "nominations" can be read to imply that more than one person will be nominated for each member and each alternate to be appointed.

For the above reasons the Order requires that at least two nominations be obtained by the Department for each member and each alternate member to be appointed in each geographic area.

After the initial Board has been established, the Order provides that the Department shall announce within the affected geographic area or areas when a vacancy does or will exist. This should assure that the eligible organizations are notified when a vacancy on the Board exists, and thus provide the maximum opportunity for broad participation by producers in the nomination process. The Department will establish deadlines for the submission of nominations for Board members and alternates so that they will be received sufficiently in advance to permit the Secretary to appoint the members, to inform them of their appointment, and to obtain from them acceptance of such appointments before the beginning of the term of office for which they are being appointed. The submission of these nominations to the Department will be at least 60 days prior to the expiration of the terms of members and alternates previously appointed to the Board as provided in the Order.

Hearing testimony indicates that there will likely be more than one eligible organization in each geographic area. Such eligible organizations in each geographic area shall caucus to jointly nominate at least two qualified producers for each member and each alternate member to be appointed to the Board. This requirement should achieve significant unanimity in the nomination process and thus contribute to an efficient and organized nominating procedure. However, if no agreement on a joint nomination is reached, or if any organization does not agree with the nomination, such eligible organization(s) may submit nomination(s) for each position to be filled. The language in this section of the Order is modified from the proposed Order to show that no eligible organization is to be precluded from participating in the nomination process.

In addition, if there is no eligible organization certified for a geographic area or if the Department determines that a substantial number of producers are not members of, or their interests are not represented by an eligible organization, the Department as required by the Act, will provide a method for such producers to submit nominations. The record indicates that most producers are represented by producer organizations and that most organizations would likely caucus and submit nominations on a joint basis. Thus, there is no reason to conclude that the nomination process will be unduly burdened with numerous nominations as a result of these Order provisions.

Apportionment of members to the initial Board from the various geographic areas established by the Order cannot be permanent. Representation must be reviewed periodically to take into account shifts in cattle production and thus insure, as nearly as possible, fair representation on the Board for producers from all designated areas. Accordingly, the Board is required to review the distribution of membership periodically, and at least every five years. Five years is an appropriate period of time since, although inventory numbers of cattle may vary, relative cattle populations between States do not change radically in short periods of time. Past trends in cattle numbers show that major changes in cattle numbers or shifts in production could be adequately compensated for in requiring the review of Board member distribution every five years. In the event circumstances or conditions should change dramatically before five years have elapsed, the distribution of membership could be reviewed at an earlier date. Since the Act requires that the representation of producers on the Board shall reflect, to the extent practicable, the proportion of cattle produced in each geographic area, it has been determined that it would be inappropriate to include in the Order any other criteria such as the level of cash assessments, cash receipts for cattle, and other related factors when redefining geographic areas for Board membership. To avoid, as much as possible, the unnecessary disruption of the Board's activities, changes made when redefining the geographic areas should be made at the expiration of the terms of members. Likewise, this procedure will minimize the inconvenience to Board members from geographic areas where the number of members is being reduced and will contribute to fair representation of producers.

Appointments.—As required in the Act, the Order provides that the Secretary will appoint Board members and an alternate for each member from nominations submitted. Representation on the Board will be by geographic area. Written notice of their acceptance of the appointment should be submitted to the Department promptly by member and alternate designates so that the initial Board can be fully convened without inordinate delay. This will allow replacements to be promptly appointed if, for any reason, a designated member or alternate is unable to serve after being appointed. The Order and the Act state that the Secretary shall appoint the Board members and alternates. The proponents testified that the term "select" would be more descriptive, however, the term "appoint" is a commonly used and understood term and is used to conform with the Act.

Vacancies.—The procedures used to fill unexpired terms when vacancies occur are the same as those specified for the routine nomination and appointment of members and alternates for full terms. It is important that vacancies be filled promptly in order to maintain full membership and representation on the Board so all producers will be adequately represented to provide continuity, and so there will be a minimum of disruption in the functioning of the Board. However, should a vacancy occur within 6 months of the expiration of the term of a Board member or alternate, the Secretary need not fill the vacancy. In such a case the alternate of the member will serve in his or her stead since the cost of nominating and appointing a new member cannot be justified for such a short period of time.

Alternate Members.—As required by the Act, each Board member has an alternate designated to serve in his or her place as necessary. On occasion, a Board member may find it necessary to be absent from Board meetings and in such cases his or her alternate will serve in his or her stead. Alternate members should be available to attend meetings as necessary so that the business affairs of the Board will not be impaired. Also, in the event of a vacancy on the Board for any reason, the alternate will act until a successor is appointed. This will enable the producers from the geographic area where the vacancy occurs to continue to be represented. The Beef Board may determine and assign duties to an alternate. The same criteria and procedures are used for nominating and appointing alternates as those for Board members. In the event of a vacancy, the alternate member does not automatically accede to Board membership, but nothing precludes an alternate from replacing or succeeding a member, if nominated for membership. Further, to encourage the participation of a variety of producers on the Board and thus bring in new ideas, alternates, like members, are limited to six consecutive years of service as an alternate. In the event that an alternate is appointed to the Board as a member, that alternate is permitted to serve up to two consecutive terms in that capacity, without regard to the length of time served as an alternate.

Procedure.—To insure the proper conduct of meetings, the Board should adopt bylaws governing its organization and operation. However, the method of voting in decisions of the Board and quorum requirements are specified in the Order to assure producers that these basic requirements for the conduct of a meeting are observed.

The presence of a majority of the members and alternates acting for members constitutes a quorum. While it was suggested in hearing testimony that the presence of two-thirds of the members and alternates acting for members should constitute a quorum the record fails to show the need for such a requirement. Further, it is possible that such a requirement could unduly hamper the Board's ability to meet and conduct business, particularly in light of the fact that members will be attending from all areas of the nation. In addition, it is common practice for the presence of fifty percent of the membership of corporate boards and similar organizations to constitute a quorum. On any vote taken by the Board, a majority of those present and voting must concur before any action can be taken. Finally, to encourage maximum attendance at meetings all votes cast at an assembled meeting shall be cast in person with no proxy voting permitted.

An exception was received suggesting that subsection (a) of the Procedure section be modified by adding: "* * * At assembled meetings all votes shall be cast in person and recorded (upon the motion of any voter whose vote counts. The vote of a consumer advisor shall always be recorded)." The suggestion is not adopted as a provision in the Order, since it has been determined that specific details of the Board operation such as this should be addressed in the bylaws of the Board. This approach will allow for changes in procedures due to unforseen or changed circumstances, without requiring amendment to the Order which would necessitate a producer referendum.

It is necessary that the Board adopt procedures which will assure that it operates properly and efficiently and it should schedule regular meetings. However, there may be instances when it is necessary to transact routine, noncontroversial business or take rapid action at times when it would be expensive and unnecessary to call an assembled meeting. Therefore, the Board is authorized to vote by telephone, telegraph, or other means of communication in such instances. However, to avoid any misunderstanding and to assure an accurate record of all Board actions, any such vote by telephone shall be confirmed promptly in writing. The Board shall have the authority to determine when it will be necessary to transact business without calling an assembled meeting. It was suggested in the hearing testimony that it was extremely unlikely that a situation important enough to require this type of action would occur, and that authority to transact business in this fashion should not be provided. Although the record does not indicate that such emergency type actions will be common or frequent, it is determined that important situations requiring an immediate decision of the Board may arise and that it is prudent to provide for such an occasion, therefore the suggestion to eliminate this authority is not adopted.

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Compensation.—The Act requires that Board members and alternates shall serve without compensation, and that they be reimbursed for necessary and reasonable expenses incurred when in the performance of their duties under the Order. The record indicates that consumer advisors should also be reimbursed for necessary and reasonable expenses incurred when in the performance of their duties under the Order. The Board, with the approval of the Department, shall set standard procedures governing reimbursement, including the forms to be used, receipts, or other documents required, and the limits of reasonable expenses. Proposal Number 2, which was submitted to the Department by the Community Nutrition Institute, proposed that the Order require that consumer advisors to the Board be paid for actual work performed. Although the record fails to support such a provision as a requirement, there is no statutory prohibition to the payment of compensation by the Board for services of employees and contractors in connection with work performed for the Board. Accordingly, it is determined that the Order should not prohibit the payment of such compensation, but should provide the Board flexibility to exercise its authority under the contracting provision of the Order as specified in § 1260.146(e) to compensate advisors to the Board for work performed when determined to be appropriate to obtain the services of well-qualified candidates for these positions.

Exceptions were filed stating that in no circumstance should consumer advisors to the Board receive compensation beyond reimbursement for necessary and resonable expenses incurred in the performance of their duties. In contrast, an exception was filed opposing the Order's failure to require payment to consumer advisors for work performed. For the reasons previously stated, it is determined that the flexibility should exist to compensate advisors to the Board, but that compensation should not be required in the Order. Accordingly, neither suggestion is adopted.

Powers.—The Board must have the powers specified in Section 8 of the Act in order to effectively provide administrative direction to the program. The Board has the power to administer all terms and provisions of the Order and carry out the plans and programs authorized by the Act. Further, the Board is empowered to develop rules and regulations necessary for implementing and operating the program created by the Order. Such rules and regulations will be issued by the Secretary, after review and approval thereof, under the authority of the Act, published in the Code of Federal Regulations, and will have the force and effect of law. Therefore, it would be incumbent upon the Board to draft the proposed rules and regulations and submit them to the Department for review, appropriate revision, and issuance. Such rules and regulations should specify the detailed procedures under which the program would operate. They would govern the method of collecting assessments, the refund procedures, the actions to be taken to implement specific programs, the records that must be kept by slaughterers and others, and the related provisions necessary to meet the requirements of the Order.

The Board has the power to investigate alleged violations of rules and regulations issued pursuant to the Order. Procedures established for handling such violations should assure fair and equitable treatment in all instances. The Board should take all reasonable steps to settle violations and in the event that settlement cannot be reached, report violations to the Department for appropriate action. The reported violation should include the necessary facts and details of the specific violation that will allow the Department to take corrective action.

Problems may arise or conditions may change within the industry that would necessitate amendments to the Order. The Board should maintain regular surveillance of the need for amendments to the Order and recommend such amendments of the Order to the Department when it deems that such action is necessary.

Duties. The duties of the Board as set forth in the Order are necessary for fulfilling its functions as designated in the Act. These duties are similar to those specified for administrative agencies under other programs of this nature. The record justifies that such duties are necessary. The stated duties provide authority and guidance concerning many details common to the operation of an administrative entity such as the Board. They include the duty to meet and organize, elect officers, and establish committees and subcommittees of Board members as necessary to handle the affairs of the Board. An exception was filed recommending that the publication of Board bylaws and amendments in the **Federal Register** for comment be required. There is no hearing evidence to support the need for such a provision. Accordingly, the recommendation is not adopted.

The Board also has authority to appoint advisory groups which should be done with the approval of the Department. Such advisory groups would include persons who are not members of the Board, in order to gain added expert advice and counsel on problems, procedures, and programs. These advisory groups can act in an advisory position only; final decisions and actions are reserved to the Board; and only the Board may take action authorizing the expenditure of the funds. The Board has the authority to reimburse advisory group members for travel and other expenses arising from their assignments. Compensation of advisors is also permitted.

Additional language was proposed in hearing testimony to require that "if an officer of the Beef Board is also an office of a private beef group engaged in programs to influence Government policy, he shall disclaim such identity when speaking for the Board." The record fails to show that such an Order provision is necessary. Accordingly, the suggestion to change the Order is not adopted. However, if it is determined to be necessary, this matter could be addressed in bylaws of the Board.

The Act provides that the Beef Board shall appoint from its members an Executive Committee, consisting of seven to eleven members. Hearing testimony indicated that an Executive Committee of 11 members is necessary to effectively represent the varied interests of producers in the various geographic regions. The Beef Board shall divide the United States into six, seven, or eight regions on the basis of cattle population with the approval of the Department. The members of the Beef Board from each of these regions shall select one nominee to serve on the Executive Committee. The remaining members of the Executive Committee will be selected by the Board on an at-large basis, but in no event shall more than two members of the Executive Committee be from one geographic area. The Order specifies that initially there shall be eight geographic regions and each region will provide one member of the Executive Committee. Three members will be chosen on an at-large basis. The Act requires the Executive Committee to be broadly representative of the beef industry and it is anticipated that through the selection process this will be accomplished.

Periodic review of the regions established is not specifically provided for in the Order although this should be done at least once every five years, preferably in concert with the realignment of geographic areas for Board membership to assure fair representation on the Executive Committee. To enable it to function more efficiently, the Beef Board shall delegate to the Executive Committee authority to employ staff members, to specify their duties and compensation, and to administer the provisions of the Order under the direction of the Board and within policies established by the Board.

An exception was received suggesting that the Executive Committee should be limited to five members and that these members should be limited to one three-year term. The exception which would limit the Executive Committee to five members can not be adopted since the Act requires that the Executive Committee be composed of seven to eleven members. The suggestion concerning the limit of one three-year term on the Executive Committee is not adopted because there is no record evidence to support it and such detail would be more appropriately considered in the bylaws of the Board.

A major duty of the Board is the development of plans and projects to implement the Order. The Board has authority under the Act to initiate contracts or agreements with other organizations to conduct program activities. So that all producers will share evenly in the benefits derived from this assessment program, the Beef Board shall endeavor to provide wide dissemination among producers of any supply, demand, or other economic information which it develops.

The proposal provided that certain information could be kept confidential when required by a contract between the Board and the contracting party which is developing such information. This provision has not been adopted however, because the record fails to established the need for such authority and because it is not found to be consistent with the policies of the Act.

Further, including such a provision in the Order could possibly have an adverse effect on producers resulting from the withholding of information developed through projects funded in whole or in part with assessments collected from producers under authority of the Act.

As required in the Act and in the Order, to assure that assessment funds are properly spent and accounted for, contractors shall be required to develop plans and projects, to outline procedures to be followed in completing the plans and projects, and to prepare a detailed budget of the estimated costs thereof, all of which shall be submitted to the Board. Further, contractors are required to keep adequate records and submit regular reports of their activities on a project showing progress made, disbursement of funds and any other relevant information required by the Board or the Department. Contracts and agreements of the Board may become effective only upon approval of the Department. In addition to contracting with others, the Board has authority to conduct program activities on its own when approved by the Department.

The Board shall prepare a budget of its anticipated income and expenses each fiscal period and submit it to the Department for approval.

The Department should specify the date for submission of the budget for approval, allowing adequate time for review prior to the beginning of the fiscal period. In addition to income and expenses, the budget statement should show program plans, the distribution of anticipated expenses for each major program category, the estimated cost for administration, and detailed justification of the plans. The Board is required by the Act to submit copies of the budget, as approved by the Department, to the House Committee on Agriculture and the Senate Committee on Agriculture and Forestry.

An exception was filed concerning the section of the Order which provides that the Board will develop and submit plans or projects to the Department for approval. The exceptor points out that the language in the Order is more general than the corresponding language in the Act. The exceptor suggests that the Order be modified to include the specific language of the Act and appropriate elaboration thereon. Although this Order language is more general than the language in the Act, all of the specific requirements of the Act are included in the Order. Accordingly, the suggestion is not adopted.

An exception was filed suggesting that the Order should authorize the Department to withdraw approval from plans or projects, temporarily or permanently, if approval would originally have been denied under occurring circumstances. However, the Department's oversight authority already applies to ongoing projects as well as to the original approval of all plans, projects, and budgets. Accordingly, the suggestion is not adopted.

An exception was filed suggesting that the publication of Board budgets and financial statements in the **Federal Register** for comment be required. Since there is no hearing evidence to support the need for such a provision in the Order, the suggestion is not adopted.

Other duties of the Board which are outlined in the Order are those necessary to assure that it operates in a business-like fashion. They involve requirements for maintaining records and submitting reports of activities as required by the Department, making annual reports of activities to producers and the public accounting for funds received and expended each fiscal period, and initiating an annual audit of its financial status by a certified public accountant. Further, the Board is required to give the Department the same notice of all meetings, including committee and emergency meetings, as is given Board members and to provide any other information pertaining to the Order which the Department requests.

An exception was received suggesting that reports of Board activities should be made available through the newsletters of county ASCS offices. The Order contemplates that the Board will adequately inform producers of its activities as well as providing information to consumers and other segments of the beef industry. The Order requires the Board to periodically prepare and make public and to make available to producers reports of activities carried out. Accordingly, since the Order already provides for producer information and since the record fails to show that distribution of newsletters through county ASCS offices is necessary, this suggestion is not adopted.

An exception was received recommending that the Order provide that all consumer advisors receive notice of Board meetings. As stated previously in this Decision, the record indicates that input from consumer advisors is important to many of the Board's deliberations and activities and thus, by authorizing appointment of such advisors, the Order contemplates that they will regularly be invited to attend Board meetings to advise the Board in the exercise of its responsibilities. Therefore, it is determined that amending the Order is not necessary, and the recommendation is not adopted.

Programs and projects. The Board has the authority to determine the type of research, market development, education, producer information, consumer information, promotion, and advertising projects to be undertaken, and it is charged with the responsibility of initiating and recommending to the Department the establishment of such projects as are authorized by the Act. However, it is intended that promotion and/or advertising activities should be substantially devoted to presenting nutritional or other educational

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information, including the results of research conducted by the Board. While similar research and information programs for other commodities expend the bulk of funds collected on advertising activities, hearing testimony suggests that a substantial share of funds collected under a Beef Research and Information Order could be effectively used in research activities and it is expected that a significant portion of the funds would be used to fund research.

An exception was received recommending that the Order be modified to provide that 80 percent of the Board's non-administrative budget be applied to the research function. Although, a number of witnesses testified as to the importance of research in various areas which supports the expectation that a significant portion of the Board's budget will be applied to research, the hearing evidence does not support a provision which would require that 80 percent of the Board's non-administrative budget be allocated to research. Accordingly, the recommendation is not adopted.

The proposal also provided for plans and projects including "public relations," however, it has been determined that the use of the term "public relations" in the Order is not appropriate. Accordingly, this language has not been adopted. The plans and projects should be designed to assist, improve, or promote the production, sale, marketing, processing, distribution, and utilization of cattle, beef, and beef products. The Order is broad and flexible to enable the Board with the approval of the Department, to use the most efficient and effective methods of carrying out the purposes of the Act. Finally, since the program under the Order is to be financed by producers in all parts of the nation, the Board shall place emphasis on developing a coordinated national program, with activities designed to compliment the efforts of local, State, and regional groups, organizations, or agencies which are currently engaged in research and promotion activities.

The Board has the authority under the Act to engage in programs designed to expand sales in foreign markets for cattle, beef, and beef products. This area of activity should include steps to increase sales to present overseas customers as well as to develop new outlets and tailor products to their needs.

Programs or projects conducted by the Board shall be periodically reviewed to determine if each such program or project contributes to an effective and coordinated program of research, information, education, and promotion. Such review should also determine if the goals and objectives of the program or project are being accomplished and whether the expenditure of funds is still justified. Upon such review the Board shall terminate any program or project which it determines does not further the purposes of the Act.

As specified in the Act, the Order provides that no advertising or promotion shall make any reference to private brand names of cattle, beef, or beef products in order to avoid discrimination. The Board represents all interests in the industry and therefore must be fair to all segments and elements of the cattle industry. Prohibition of the use of false or misleading claims on behalf of cattle, beef, or beef products or false or misleading statements with respect to the attributes or uses of competing products is also necessary for proper administration of the Order.

An exception was filed stating that the Order provision prohibiting the use of false or misleading claims in advertising, consumer education, or sales promotion is inadequate to prevent the Board from disseminating biased research results to trade associations and other industry groups for use as objective scientific data. As previously discussed in this decision, however, the record contains no evidence to suggest that the Board's research projects will not be objective or that the Department's oversight of the Board's research projects will be inadequate. Accordingly, this exception is rejected.

The record shows that an ample and stable supply of beef for consumers is clearly in the public interest. Maintenance and expansion of existing markets and the development of new markets, both at home and abroad, are essential if the cattle industry is to be healthy enough to supply the needs of consumers. Therefore, the Order provides the necessary authorizations for research designed to accomplish this objective. The Board is authorized to undertake production research, marketing research, product development, and other research designed to improve efficiency throughout the production and marketing chain from the earliest stages of production up to the time the product reaches the consumer. The results of such research and other factual information developed or discovered thereby should be disseminated to both producers and consumers to the extent practicable. Such research may be performed directly by the Board or through contracts with public and private research and development agencies which are capable of performing the work needed.

(d) *State beef councils.* Section 16 of the Act states that nothing in the Act shall be construed to preempt or interfere with the workings of any beef board, beef council, or other beef promotion entity organized and operating within and by authority of any of the several States. The stated purpose of the Act is to enable the development of an effective and continuous program of research, consumer information, producer information, and promotion designed to strengthen the cattle and beef industry's position in the market place. A new national program for cattle and beef may be aided through a coordinated research and information program with existing State programs.

Record evidence shows that 28 States have programs similar to the national program which would be established under this Order. Also, there is a national effort of a similar nature, currently operating on a voluntary basis, conducted by industry interests through the National Livestock and Meat Board. A portion of the funds collected in connection with several of the State programs presently is being forwarded to the National Livestock and Meat Board. State programs differ widely in several characteristics, but especially with respect to the basis for the assessments, the assessment rate, the method of collection, the mandate under which the State programs operate, the availability of refunds, and the composition of the administrative body of the program.

Many of the representatives of State beef research and promotion organizations, currently being funded through check-off funds, that testified at the hearing stated that the implementation of this Order would probably curtail their present source of funding because cattle producers would resist paying an assessment for both a State and a national program. Thus, the record reflects that the continued existence of some State programs would depend on this Order to provide the funding necessary to support their work. The record further shows that in some aspects the national program authorized under the Act can achieve its obligations through participation in a coordinated, cooperative effort with many of the State programs currently operating for the benefit of beef producers. Such an approach could provide continuity with ongoing State programs, minimize duplication of effort, encourage uniformity and assure that the total effort was directed toward common goals.

However, the Board will be expected to continually analyze the results of cooperative relationships with the various State organizations and select the most effective approach in each case.

Record evidence supports the inclusion of a provision in the Order which permits the Beef Board, upon approval by the Department, to annually allocate to qualified State beef promotion entities either (1) up to ten percent of net assessments paid by producers in a State, or (2) up to an amount equal to the State beef promotion entity's collections for the 12 months preceding approval of the Order. It was suggested in hearing testimony that instead of basing the maximum potential allocation on the amount collected by a State beef promotion entity during the 12 months preceding the approval of the Order, that the calculation should take into consideration a longer period, such as three years, because most States would be experiencing a decline in revenue in the 12-month period preceding the referendum due to declining cattle sales. Although it is recognized that some States may feel that the most recent 12-month period is not an objective criteria for the calculation, it does not appear that any other period would be more representative for all States concerned when considering such factors as recently increased assessment rates, and increased or decreased participation of producers in the various State programs. Accordingly, this suggestion is not adopted.

The Order does not guarantee that the Beef Board will automatically provide funds to State beef promotion entities simply upon request. The State beef promotion entities must first meet specified qualifications to receive such funds. Further, the Beef Board's authorization is to allocate up to a maximum level as provided in the formula. To qualify to receive any amount of funding from the Beef Board a State beef promotion entity shall be organized pursuant to legislative authority within the State or be organized pursuant to State charter, and must demonstrate an ability to provide research, information, education, or promotion consistent with the Act and this Order. Since funding more than one beef promotion entity in a State would not contribute to a coordinated national program, in no event shall more than one such entity qualify within a State. Further, as required by the Act, each State promotion entity shall submit to the Board specific plans or projects together with a budget or budgets showing the estimated costs of the plans or projects. A State beef promotion entity shall keep accurate records of its activities, make periodic reports to the Board of activities carried out, and shall account for funds received and expended as required by the Act. In addition such plans or projects shall address the defined objectives of the Board in that funds will be used for advertising, promotion, education, producer information, consumer information, research, market development, and studies with respect to the production, sale, processing, distribution, marketing, or utilization of cattle, beef, and beef products and the creation of new beef products. It is not anticipated that funds allocated to a State beef promotion entity would be used to fund programs which are national in scope and would be more appropriately funded in a direct manner by the Beef Board, through, for example, contributions to the National Livestock and Meat Board. State programs must be consistent with the goals and objectives of the national program.

To provide for continuity during the first year of the program's existence, the Beef Board may estimate the net assessments from a State to calculate the appropriate level of funding for a qualifying State beef promotion entity under the percentage formula of allocation. In making this estimate of net assessments, the Beef Board may rely upon the data reflecting the cash receipts from the sale of cattle by producers in each State, published by the U.S. Department of Agriculture. This data will probably provide the best available estimate of total assessments obtained from each State. The proposal contained an explanation of how net assessments from a State are to be determined. Since it has been determined that this matter can be more appropriately addressed in the rules and regulations, and since the record does not establish that such a provision is essential to the Order, the proposed language has not been adopted.

(e) *Assessments, refunds, expenses.* The Act provides that funding for activities under this Order shall be acquired from assessments levied on producers of cattle, which will be collected from producer-sellers by producer-buyers and slaughterers, and that the slaughterers shall remit the assessments to the Board. As required by the Act, assessments levied on producers are based on the value of cattle at the time of sale, normally the sale price. In order for each producer to pay his or her fair share of the assessment on cattle which change ownership two or more times, a value-added procedure has been employed. Although the producer is obligated to pay the total assessment due on the animal at the time of sale, based on its current value, including all amounts collected from previous owners, the producer would actually be contributing from his or her own pocket only an amount based on the value he or she added to the animal.

Although the rate of assessment will be established by the Board, subject to approval by the Department, it is limited by statute to a maximum of one-half of one percent of the value of the cattle sold. The Order establishes that the initial assessment level shall not exceed a rate of two-tenths of one percent of the value of cattle sold. An assessment level of two-tenths of one percent should provide sufficient funds to carryout the policy and purposes of the Act, initially, while not creating an undue burden on producers. Section 1260.162 of the Order further specifies that the two-tenths of one percent level may not be exceeded during the first two years assessments are collected.

Proponents indicated that the maximum authorized assessment level of five-tenths of one percent could be used effectively in an ongoing program. In considering the long-term needs of the beef industry for beef research and information activities, at some point in the future increasing the assessment to the maximum level of five-tenths of one percent may be justified. However, it is determined that the two-tenths of one percent level will be sufficient to initiate a number of beneficial programs for the industry but will not result in such a large deduction as to unduly burden beef producers. Since initially the Board will be involved in organizing and in seeking proposals for the types of projects to initiate, it is determined that the funding generated by the maximum initial assessment level, approximately $40 million annually, will be sufficient.

An exception was received suggesting that the discretion to raise the assessment rate above the initial two-tenths of one percent level should be eliminated. However, the suggestion is not adopted since the hearing record supports the need to retain the flexibility to increase the assessment rate up to the five-tenths of one percent permitted by the Act at a future date if conditions warrant and an increase is recommended by the Board and approved by the Department.

The cattle industry includes numerous classes of producers, such as dairy cattle producers, purebred or breeding

stock producers, cow-calf producers, stocker-growers, traders, and cattle feeders. Each represents a segment of the industry or a stage in the production process. Most cattle slaughtered are owned by at least two producers prior to slaughter and some change hands several times.

The evidence indicates that for all producers to pay their fair share of assessments, each producer should pay an assessment based on the increase in value of cattle under his or her ownership. More specifically, this value-added concept operates as follows: Assuming an assessment rate of two-tenths of one percent of the sale price, a cow-calf producer who sells a calf to a stocker-grower for $400 would be assessed two-tenths of one percent of the sales price or $.80. The cow-calf producer could pay the stocker-grower $.80 or the stocker-grower could deduct $.80 from the $400 sales price and pay the cow-calf producer $399.20 rather than $400. In either case, the cow-calf producer would have paid an assessment based on the value added to the animal during his or her ownership. If the stocker-grower sold the animal to a cattle feeder for $600, the stocker-grower would either pay the feeder two-tenths of one percent of the sales price ($1.20) or the feeder would deduct $1.20 from the $600 sales price and pay the stocker-grower $598.80. In either case, the $1.20 assessment would include the $.80 from the $400 increase in value during the cow-calf producer's period of ownership (collected from the cow-calf producer when the stocker-grower purchased the animal) and $.40 from the $200 increase in value during the stocker-grower's period of ownership. If the feeder later sells the animal to a slaughterer for $800, the feeder would pay to the slaughterer or the slaughterer would deduct from the feeder's check, two-tenths of one percent of the sales value or $1.60. The slaughterer would forward the $1.60 to the Beef Board. Each of the producers would have contributed a fair share of the total assessment based on the value added during that producer's period of ownership—$.80 from the cow-calf producer and $.40 each from the stocker-grower and the feeder.

Most cattle increase in value rather consistently from birth to slaughter. Thus, under the value-added system of assessments, the final assessment remitted to the Beef Board by the slaughterer will exceed any previous assessment for the bulk of all cattle slaughtered. However, if the value of cattle involved in a sales transaction declines during a producer's period of ownership, the total assessment paid by previous producers would not be passed on in the normal manner established under this value-added procedure. A decline in value could be due to factors such as death, weight loss, or decline in market price.

Section 8(e) of the Act authorizes the Board to collect assessments not passed along in the normal manner. Detailed procedures for the collection of assessments under such circumstances should be provided in the rules and regulations.

If no sales transaction occurs at the point of slaughter or other transfer, the Act requires that a fair commercial market value shall be attributed to the cattle for purposes of determining the assessment. For example, packer-owned cattle from feedlots will be assessed at the point of slaughter based on market prices of similar cattle. Cattle traded for other cattle or for merchandise also would be assessed based on commercial market value. Similarly, cattle which are custom slaughtered for home consumption would be assigned a fair commercial market value for assessment purposes. However, cattle slaughtered for an individual's own home consumption are exempt from the assessment if the individual has owned the animal from birth to slaughter as provided for in the Act.

Recognizing that many cattle achieve a much higher value for breeding or other purposes such as milk production, than their slaughter value and that the full assessment associated with this high value would not automatically be passed along under the value-added system because the animal's value would be decreasing from its peak productive value, Congress provided in the Act that the Beef Board could exempt from or vary the assessments on transactions involving such animals. The record indicates that while many breeding animals would be sold for a significant premium in the marketplace, other breeding animals would be sold at or near the commercial market value for slaughter cattle. In addition, the hearing record indicates that exempting from assessment certain breeding animals, until sold for slaughter, which have a significantly higher value for breeding or milk production purposes than for slaughter, appears to be the most workable method of assessing such cattle. Accordingly, the Order specifies that the Beef Board shall, to the extent practical, exempt such cattle from assessment until sold for slaughter.

The proponents proposed that breeding cattle and cattle kept for commercial milk production be exempted from assessment when these animals were validly designated as breeding cattle or as cattle to be used for commercial milk production by the producer-seller. Since the proponents failed to adequately support the need for and workability of such language, the proposal is not adopted. Since the hearing record suggests that the detailed language proposed by proponents concerning the valid designation of breeding animals by producer-sellers could create inequities, it is determined that details of this nature would be more appropriately delineated in the rules and regulations.

By placing procedures of this type in the rules and regulations instead of the Order, another referendum would not be required if such a provision included in the Order proved to be unworkable. In the unlikely event that no exemption procedure proves to be workable, the evidence suggests that the assessment for "high valued" cattle could be based on the fair commercial market value at the time of sale. (The fair commercial market value in the slaughter market chain would likely be the slaughter value for mature breeding animals. However, for younger animals, especially when grain prices are relatively low, the highest commercial market value in the slaughter market chain could be the value as a feeder animal rather than as a slaughter animal.)

The Act requires slaughterers to collect and remit assessments to the Board, including assessments due at time of slaughter on cattle of their own production, in accordance with regulations. Assessments due on cattle slaughtered must be paid to the Board regardless of whether the assessment has been collected from the producer. Similarly, throughout the production chain, collection or deduction of assessments with transfer of ownership will be self-enforcing, since a producer-buyer who fails to collect the assessment on a transaction will be obligated to pay, as a producer-seller, an assessment based on the total commercial value of the transaction rather than only the assessment based on the value added during his or her ownership. In all transactions in which a slaughterer or producer-buyer has collected or deducted an assessment from a producer, the producer-seller should be given a receipt showing the amount deducted or collected.

An exception was received objecting to the requirement that would make the packer or slaughterer an involuntary collection agency subject to legal action by the Department to enforce payment of the assessments to the Board. The Act, however, specifically requires slaughterers to collect and remit assessments to the Beef Board. Further, the record establishes that there are a large number of producers, as compared to slaughterers, and that the slaughterer is normally the final point in the cattle marketing chain. Since the Order allows slaughterers to deduct the assessments from the producers and since it is impractical, in most instances, to expect the Board to search out the individual producers and demand payment directly from them, in the event that a particular slaughterer fails to collect the assessments, there is no basis to limit legal enforcement against slaughterers to those instances when assessments have been collected, but not remitted to the Board. For these reasons, this exception is denied.

The proponents proposed that the Beef Board be authorized to prescribe a standard statement for bills of sale and invoices which would make such documents conclusive evidence that the assessments have been paid. Proponents testified that under such a provision, a statement could be prescribed for bills of sale at a public market which could read as follows: "In this transaction two-tenths of one percent was taken into consideration for the Beef Board assessment." They further explain that all buyers and sellers would be advised of this procedure by public notices. This procedure would reduce the paperwork requirement resulting from the assessment for public markets since a statement that the assessment was taken into consideration would be stamped on the bill of sale and the amount of the assessment would not be calculated. If this procedure were used the producer-seller could present the bill of sale or, if appropriate, bills of sale which included the appropriate stamped wording, to the Beef Board when requesting a refund and the Beef Board would determine the amount of refund due. However, while theoretically the selling price might be reduced by an amount equivalent to the assessment, due to all potential buyers knowing that they would be liable for the full assessment when selling the animal at a later date, a question would arise as to whether the producer actually paid the assessment. Further, the producer would not be aware of the amount of assessment for which he or she is responsible. In order to have producer support it is necessary for the producer to be clearly aware of his or her involvement. Therefore, the proposed provision to authorize a standard statement for bills of sale and invoices is not adopted.

The Beef Board is authorized to set aside funds in an operating reserve and to budget for such a reserve. The record reflects that such a reserve will be necessary to counter fluctuations in assessment income due to varying refund levels and to provide the Board with flexibility to meet unexpected obligations or to take advantage of opportunities that arise on short notice or were not anticipated in the annual budget. Without available funds the Board might be forced to pass up projects of great benefit to beef producers. The amount of the reserve fund will be determined by the Board with the approval of the Department. However, since it is not the intent of the Act to allow the Board to amass substantial cash holdings it has been determined that the reserve fund should not exceed approximately the average yearly collections of the Board. This limitation should permit flexibility in establishing a reasonable reserve without diverting excessive amounts of money from use in program activities.

Refunds.—The Order provides for refunds of assessments paid as required by the Act. Any producer against whose cattle an assessment is made and collected from him or her shall have the right to receive a refund of such assessment from the Beef Board. However, no producer may receive a refund of the portion of the assessment which he or she collected from other producers. More specifically, each producer is entitled to a refund only for the amount of assessment he or she paid on the increased value of the cattle during his or her period of ownership of such cattle. Regulations will be issued controlling the method of obtaining a refund, including a requirement of proof that the producer-seller paid the assessment for which the refund is claimed.

An exception was filed which objected to allowing the Beef Board to develop and issue regulations pertaining to producer refunds and stating that refund procedures should be clearly delineated in the Order. However, the hearing record indicates that initial drafting and development of fair and adequate refund procedures, sufficiently detailed to allow the efficient processing of valid refund requests, as well as the detection of false requests, is a task for which the Beef Board, with its expertise, would be best suited. It should be pointed out, however, that the Department will publish the proposed regulations, solicit public comments, and issue the final regulations after consideration of the comments received. If the refund procedures were delineated in the Order and a situation should arise where these procedures would need to be altered or further specified, it would require an amendment to the Order which would necessitate a producer referendum. Accordingly, the suggestion to fully delineate the refund procedure in the Order is not adopted.

The Act requires that a refund request must be submitted within 60 days after the end of the month in which the transaction occurred. The proponents proposed that refunds shall be made within 60 days after the submission of proof satisfactory to the Board that the producer-seller paid the assessment for which refund is sought. Such a provision could very well result in the passage of more than 60 days from the Board's receipt of the refund demand before payment, if for any reason the Board was not satisfied with the proof submitted in support of the refund within such period of time. However, the result would be inconsistent with the requirements of the Act which state that all refunds shall be made by the Board within 60 days after demand is received therefor. Further, the record fails to demonstrate that more than 60 days should ever be nesessary for the Board to collect and evaluate evidence in support of a refund demand. It is expected that specific regulations will be issued setting forth the refund procedures and notifying potential refunders what evidence they must submit to support their refund demands. It is not intended that an undue amount of paperwork be required for a producer to receive a refund, but only that sufficient information be provided to ascertain that the producer paid the assessment and is entitled to the refund requested. Accordingly, the proposed language is not adopted.

Finally, although, it is stated in the Order that such refund shall be made by the Board within a maximum of 60 days after receipt of demand, the Board should strive to provide such refunds as promptly as possible.

No producer shall claim or receive a refund of any portion of an assessment which he or she collected from other producers. The refund provisions is essential to the voluntary concept of the Order, in that no producer is forced to financially support the Order if he or she does not favor it. The Board should make refund forms readily available to producers. Each producer who asks for a refund must individually request it, i.e., he or she must submit the refund request. Marketing agencies, cooperatives, brokers, or others shall not be allowed to request refunds on behalf of producers.

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The success of a national check-off program in an industry as large and diverse as the beef industry will depend on an efficient and effective collection procedure with a reasonable number of collection points that are made responsible for remitting the assessments to the Board. Since it is impractical to expect that the Board could collect the assessments from each producer individually, and since each slaughterer has the opportunity to deduct the assessment at the time the cattle are purchased for slaughter, the Order provides that failure of a slaughterer to collect an assessment does not relieve the slaughterer of his or her obligation to remit an amount equal to the assessment to the Board. Since only producers are eligible to receive refunds under the Act, a slaughterer would not be eligible to receive a refund of such payments. But a slaughterer who is also a producer and has paid the assessment as a producer is entitled to request and receive a refund of such assessment.

There were several exceptions received that raised objections to the requirement that producer-sellers not wishing to support the program must first pay an assessment and then request a refund, and to the requirement that all refund requests be made within 60 days after the end of the month in which the transaction occurred. Further, one exceptor charged that the refund process is intended to discourage producers from seeking refunds. As presently drafted, however, the Order provides the maximum latitude in filing for and receiving refunds allowed by the Statute. Specifically, the Act requires all producers who sell cattle to pay the established assessment. The Act also provides that any producer who has paid an assessment is entitled to receive a refund of the assessment upon proof of payment, however, the Act limits the time for filing such requests to the 60 day period referred to above. These provisions of the Act cannot be changed by the Order and, thus, these exceptions cannot be adopted. Finally, it is not the intent of the Order to discourage producers from seeking refunds, but, rather, to provide some protection to all producers that only valid refunds will be paid. As previously stated, the detailed procedures for making refunds will be included in the regulations and all producers will be afforded an opportunity to comment on the proposed regulations.

Influencing government action.—In accordance with the Act, the Order states that no funds collected by the Board shall be used for influencing government policy except for recommending amendments to the Order. The adopted provision in the Order clarifies the proposal submitted by the proponents to specifically state that the only exception to the prohibition against influencing governmental policy is that the Board may propose amendments to the Order.

Some exceptions recommended that specific uses of funds to influence governmental policy directly or indirectly be explicitly prohibited. It is determined, however, that all such uses including political contributions, advocating or opposing amendments to the Act, or persuading producers to exert political influence are already prohibited by the comprehensive, general language of the Order. Therefore, the suggested change is unnecessary and is not incorporated herein.

Expenses.—Board expenses shall be paid from assessments received and any other funds which accrue to the Board. The Board may incur expenses which are found by the Department to be reasonable for the functioning and maintenance of the Board and necessary for the Board to exercise its powers and duties.

The Act provides that included in the expenses of the Board will be a reimbursement to the Department for such expenses, excluding salaries, as the Department determines were incurred by the Government in preparation of an original Order and for the conduct to the referendum.

The Act also requires that, after the Order becomes effective, all administrative costs, including salaries, which the Department determines were incurred by the Government under the Order shall be reimbursed by the Beef Board. Therefore, it is determined that this reimbursement would begin when the Order becomes effective upon publication in the **Federal Register** following approval of the Order by a majority of those producers voting in a referendum.

(f) *Records and reports.*—As authorized by the Act, the Order provides that slaughterers shall keep records and make such reports as necessary for the effectuation, administration, and enforcement of the Act, the Order, and regulations issued pursuant to the Order. The Order provides that regulations may be established requiring slaughterers to keep necessary books and records and to report to the Board periodically as the Board determines is necessary. However, it is intended that requirements imposed upon slaughterers will be held to the minimum necessary for effective administration of the program. Details on the information needed in records and reports and the frequency and timing of reports are to be established by the Board, with the approval of the Department, and shown in the regulations.

An exception was received objecting to the imposition of reporting requirements on all slaughterers on the basis that there are different classes of slaughterers that should be exempt from such procedures. However, the provision in the Act authorizing a section in the Order or in the regulations requiring reports by slaughterers does not authorize such distinctions between slaughterers. Furthermore, reports from all slaughterers may be necessary to verify producer assessments for refund verification purposes. Finally, to the extent that the Order mandates the filing of reports by slaughterers, it has been determined that the content of such reports would be more appropriately specified in the regulations. Therefore, this suggestion is not adopted.

All books and records required under the regulations must be made available by slaughterers as required by the Act, for inspection by representatives of the Board or the Department as necessary to verify reports on assessments made and forwarded to the Board. These records are to be retained at least two years beyond the marketing year of their applicability. Such a time period is necessary to permit the completion of authorized audits, investigations, or other actions that may be necessary in administering and enforcing the provisions of the Order and the Act.

Representatives of the Board or the Department, while acting in their official capacities, on occasion may have access to records and accounts of slaughterers, which may reveal trade secrets. The Act requires that the confidential nature of such business records be protected. Therefore, the Order provides that information obtained from books, records, and reports required of slaughterers, and information about refunds made to producers, shall be kept confidential by the Board and by employees of the Board, and of the Department of Agriculture. Since work involving information of this type would be performed by certain staff members of the Board, it is anticipated that only in unusual situations would it be necessary for other staff members or Board members to be provided with such information and then only on a need-to-know basis after consultation with the Department. Also, any such information which becomes available to

contracting parties should be kept confidential by officers and employees of such parties. However, the only exception to the confidentiality requirements is the Secretary's authority to permit disclosure of such information in connection with a suit or administrative hearing relevant to the Order brought at the direction, or upon the request, of the Secretary of Agriculture, or to which any officer of the United States is a party.

An exception recommended limiting the Board's access to slaughterer's books and records to only those necessary to assure proper handling of assessments. However, the Order already protects slaughterer's information and records. The Board may only require slaughterers to reveal such information that is necessary to administer, enforce and otherwise effectively carry out the provisions of the Order and the regulations. Furthermore, it is intended that only those persons who need to know the information contained in such books and records to fulfill their authorized function shall have access to such documents or information. Accordingly, the exception is not adopted.

It is recognized in the Act that some information about the program may be of interest and benefit to the general public. Accordingly, the Order does not prohibit (1) the issuance of general statements concerning the number of persons subject to the Order or statistical data collected which do not identify the information furnished by any person; (2) the publication, as approved by the Secretary of general statements relating to refunds made by the Beef Board which do not identify any person to whom a refund is made; or (3) the publication by direction of the Secretary of the name of any person violating the Order, together with a statement of the provisions of the Order violated.

An exception was filed recommending monthly publication through county ASCS offices of the number and amount of refunds requested and granted. While the Order provides that information pertaining to producer refunds shall be confidential, primarily to assure that those persons requesting refunds are not subject to pressure discouraging them from requesting refunds, the Order does permit the publication of general statements relating to refunds which do not identify any person to whom refunds are made. However, the record evidence does not support a need for an Order provision requiring a particular schedule or means for publication of such information. Therefore, the suggestion is not adopted.

(g) *Other terms and conditions.*—The Order provides that any patents, copyrights, inventions, or publications developed through the use of funds collected under this Order shall become the property of the Government as represented by the Beef Board, and shall, along with any income from such items, inure to the benefit of the cattle industry. Hearing testimony indicated that this provision may make it difficult for some institutions to contract with the Board because, it may conflict with their procedures in cases of shared funding, i.e., when the Board does not provide 100% of the funding. The witnesses did not, however, develop satisfactorily the extent of these potential conflicts or establish that already existing programs of this nature have experienced such problems on a significant level. Accordingly, this Order provision has been adopted as proposed.

An exception was received suggesting that additional safeguards be incorporated in the Order to prevent suppression of patents and copyrights if small beef producers, other commodity producers, or consumers are adversely affected. It is determined that adequate safeguards against such situations already exist through the Department's role of monitoring the program and that such a provision would not be necessary. Accordingly, the suggestion is not adopted.

The record shows a need for several other miscellaneous terms and conditions as shown in §§ 1260.182 through 1260.187 of the Order. Each section sets forth certain rights, obligations, privileges, or procedures which are necessary and appropriate for the effective operation of the Order. These provisions are incidental to, and not inconsistent with, the terms and conditions of the Act, are necessary to effectuate the other provisions of the Order, and are supported by the record evidence.

Some exceptions recommended changes in the suspension and termination provisions in the Order. The suggested changes to the required volume of cattle produced by those voting in a suspension or termination referendum and to the separability of the section itself conflict with the Act which sets forth referendum requirements and provides for the possible suspension or termination of any provision in the Order. Accordingly, these suggestions are not adopted.

Rulings on Briefs, Proposed Findings, and Conclusions

At the close of the hearing, the Administrative Law Judge fixed July 31, 1979, as the final date for interested parties to file briefs, proposed findings, and conclusions based on the evidence received at the hearing. In response to a request for additional time from the National Farmers Union, the Administrative Law Judge extended the time for filing proposed findings of fact and briefs until August 15, 1979. Briefs were filed on behalf of the following parties: Merlyn Lokensgard, President, Minnesota Farm Bureau Federation, St. Paul, Minnesota; Wayne James, Executive Director, Southwestern Meat Packers Association, Arlington, Texas; Michael R. McLeod and O. R. Armstrong, attorneys, Beeferendum Advisory Group, Washington, D.C.; Reist R. Mummau, Farmville, Virginia; Robert J. Mullins, Assistant Director of Legislative Services, National Farmers Union, Washington, D.C.; and Richard Ekstrum, President, South Dakota Farm Bureau.

Several of the briefs reiterated points made by witnesses at the hearing. The points in each of the briefs were carefully considered along with the record evidence received at the hearing in making the findings and conclusions set forth herein. To the extent that the suggested findings and conclusions filed by interested parties are inconsistent with the findings and conclusions as set forth herein, requests to make such findings or reach such conclusions are denied.

Rulings on Exceptions

In arriving at the findings and conclusions of this decision, all exceptions to the recommended decision were carefully and fully considered in conjunction with the other record evidence. To the extent that the findings and conclusions are at variance with any of the exceptions, such exceptions are overruled.

General Findings

On the basis of the evidence presented at the hearing and the record thereof, it is found that:

1. The Beef Research and Information Order and all of the terms and conditions thereof as hereinafter set forth will tend to effectuate the declared policy of the Act; and

2. The following terms and conditions of the Order are an appropriate detailed means of carrying out the declared policy of the Act with respect to the development of effective, continuous, and coordinated programs of research,

consumer information, producer information, and promotion for cattle, beef, and beef products with adequate financing through assessments on the sales of cattle.

Beef Research and Information Order

It is concluded that the detailed and appropriate means of effectuating the foregoing conclusions is the Beef Research and Information Order which follows. However, this Order shall not become effective unless approved in a producer referendum as provided in Section 9 of the Act and in § 1260.17 of the Rules of Practice and Procedure Governing Proceedings to Formulate an Order (7 CFR 1260).

If approved in a referendum of producers, a new subpart would be added to Part 1260 of Title 7, Code of Federal Regulations, as follows:

PART 1260—BEEF RESEARCH AND INFORMATION

Subpart—Beef Research and Information Order

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1260.103 Act.
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1260.105 Cattle.
1260.106 Beef.
1260.107 Beef products.
1260.108 Fiscal period.
1260.109 Beef Board or Board.
1260.110 Executive Committee.
1260.111 Producer.
1260.112 Producer-buyer.
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1260.114 Slaughterer.
1260.115 United States.
1260.116 Marketing.
1260.117 Commerce.
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1260.187 Separability.

Authority: Beef Research and Information Act (7 U.S.C. 2901 *et seq.*).

Definitions

§ 1260.101 Secretary.

"Secretary" means the Secretary of Agriculture or any other officer or employee of the Department of Agriculture to whom there has heretofore been delegated, or to whom there may hereafter be delegated the authority to act in his stead.

§ 1260.102 Department.

"Department" means the United States Department of Agriculture, the Secretary of Agriculture or any officer or employee of the Department of Agriculture who has been delegated or may be delegated the authority to act for the Department of Agriculture on a particular matter under this subpart.

§ 1260.103 Act.

"Act" means the Beef Research and Information Act (7 U.S.C. 2901 *et seq.*) and any amendments thereto.

§ 1260.104 Person.

"Person" means any individual, group of individuals, partnership, corporation, association, cooperative, or any other entity.

§ 1260.105 Cattle.

"Cattle" means live domesticated bovine quadrapeds.

§ 1260.106 Beef.

"Beef" means the flesh of cattle.

§ 1260.107 Beef products.

"Beef products" means products produced in whole or in part from cattle, exclusive of milk and products made therefrom.

§ 1260.108 Fiscal period.

"Fiscal period" is the 12-month budgetary period and means the USDA's fiscal year unless the Beef Board, with the approval of the Department, selects some other 12-month period.

§ 1260.109 Beef Board or Board.

"Beef Board" or "Board" or other designatory term adopted by such Board means the administrative body established pursuant to § 1260.136.

§ 1260.110 Executive Committee.

"Executive Committee" means those members of the Beef Board, eleven in number, who are elected by the Board to administer the provisions of the subpart under the supervision of the Board and within the policies determined by the Board.

§ 1260.111 Producer.

"Producer" means any person who owns or acquires ownership of cattle other than one who acquires cattle solely for the purpose of slaughter: *Provided,* That a person shall not be considered to be a producer if his or her only share in the proceeds of a sale of cattle or beef is a sales commission, handling fee, or other service fee.

§ 1260.112 Producer-buyer.

"Producer-buyer" means a producer who buys cattle.

§ 1260.113 Producer-seller.

"Producer-seller" means a producer who sells cattle.

§ 1260.114 Slaughterer.

"Slaughterer" means any person who slaughters cattle including cattle of his or her own production.

§ 1260.115 United States.

"United States" means the 50 States of the United States of America and the District of Columbia.

§ 1260.116 Marketing.

"Marketing" means the sale or any other disposition of cattle, beef or beef products in any channel of commerce.

§ 1260.117 Commerce.

"Commerce" means interstate, foreign, or intrastate commerce.

§ 1260.118 Producer organization or eligible organization.

"Producer organization" or "eligible organization" means any organization which has been certified pursuant to this subpart.

§ 1260.119 Producer information.

"Producer information" means facts, data, and other information that will assist producers in making decisions that lead to increased efficiency, lower cost of production, a stable supply of cattle, and the development of new markets.

§ 1260.120 Consumer information.

"Consumer information" means facts, data, and other information that will assist consumers and other persons in making evaluations and decisions regarding the purchasing, preparation, and utilization of beef and beef products.

§ 1260.121 Promotion.

"Promotion" means any action, including paid advertising, to advance the image or desirability of beef and beef products.

§ 1260.122 Research.

"Research" means any type of systematic study or investigation, and/or the evaluation of any study or investigation, to advance the desirability, marketability, production, or quality of cattle, beef, and beef products.

§ 1260.123 Transaction.

"Transaction" means any transfer of ownership of cattle or beef through a sale, trade, or other means of exchange.

§ 1260.124 Contracting party.

"Contracting party" means any person, public or private, with which the Beef Board may enter into a contract or agreement pursuant to § 1260.146(e).

§ 1260.125 Marketing year.

"Marketing year" means the calendar year ending on December 31 or any other consecutive 12-month period designated by the Board, with the approval of the Department.

§ 1260.126 Part and subpart.

"Part" means 7 CFR Part 1260, containing rules, regulations, orders, supplemental orders, and similar matters concerning the Beef Research and Information Act. "Subpart" refers to any portion or segment of this part.

Beef Board

§ 1260.136 Establishment and membership.

There is hereby established a Beef Board composed of not more than 68 producers, each of whom shall have an alternate, appointed by the Secretary from nominations submitted by eligible producer organizations certified pursuant to § 1260.176 or by producers in a manner to be prescribed under § 1260.138(a). The Secretary shall appoint to the Board up to five nonvoting consumer advisors deemed to be knowledgeable in nutrition and food. The board may recommend to the Secretary qualified individuals to serve as consumer advisors.

§ 1260.137 Term of office.

The members of the Board and their alternates shall serve for terms of three years, except members of the initial Board shall serve, proportionately, for terms of one, two and three years. Each member and alternate member shall continue to serve until his or her successor is selected and has accepted. No member or alternate member shall serve more than six consecutive years: *Provided,* That those members and alternate members serving the initial terms of one or two years are eligible to serve two additional consecutive terms.

§ 1260.138 Nominations.

All nominations to the Beef Board authorized under § 1260.136 shall be made in the following manner:

(a) Within 90 days of the announcement of approval of this Order, or a longer period if so prescribed by the Department, at least two nominations shall be obtained by the Department for each member and each alternate member to be appointed for each geographic area as specified in paragraph (d) of this section. Nominations shall be submitted by eligible organizations certified pursuant to § 1260.176: *Provided,* That if there is no eligible organization certified for a geographic area, or if the Department determines that a substantial number of producers are not members of, or their interests are not represented by, any such eligible organization, then nomination shall be submitted in a manner authorized by the Department;

(b) After the establishment of the initial Board, the Department shall announce within the affected geographic area or areas that a vacancy does or will exist. Nominations for Board members and alternates shall be submitted by eligible organizations to the Department not less than 60 days prior to the expiration of the terms of the members and alternates whose terms are expiring;

(c) Where there is more than one eligible organization within a geographic area, a caucus shall be held for the purpose of jointly nominating at least two producers for each members and for each alternate member to be appointed. If agreement on a joint nomination is not reached, or if any organization does not agree with the nomination, such eligible organization(s) may submit to the Department nomination(s) for each appointment to be made.

(d) For purposes of nominating members and their alternates to the Board, the United States shall be divided into geographic areas. The number of Board members from each geographic area shall reflect as nearly as practicable the number of cattle in each geographic area proportionate to the total number of cattle in the United States. *Provided, however,* That each designated geographic area shall be entitled to at least one member on the Board and one alternate member;

(e) The initial geographic areas and the number of members and alternates on the Beef Board from each area shall be: Alabama 1, Arizona 1, Arkansas 1, California 2, Colorado 2, Florida 1, Georgia 1, Idaho 1, Illinois 1, Indiana 1, Iowa 3, Kansas 3, Kentucky 1, Louisiana 1, Michigan 1, Minnesota 2, Mississippi 1, Missouri 3, Montana 1, Nebraska 3, New Mexico 1, New York 1, North Carolina 1, North Dakota 1, Ohio 1, Oklahoma 2, Oregon 1, Pennsylvania 1, South Carolina 1, South Dakota 2, Tennessee 1, Texas 6, Utah 1, Virginia 1, West Viginia 1, Wisconsin 2, Wyoming 1. Additional geographic areas, comprised of combined States, shall be: Nevada-Hawaii 1, Washington-Alaska 1, Maryland-Delaware-New Jersey-District of Columbia 1, Maine-Vermont-New Hampshire-Massachusetts-Rhode Island-Connecticut 1; and

(f) After the establishment of the Board, the geographic areas and apportionment of members and alternates provided for in paragraphs (d) and (e) of this section shall be reviewed periodically, and at least every five years. The Board shall redefine the geographic areas and reapportion the membership of the Board, with approval of the Department, if it finds that the existing geographic areas are not properly represented in proportion to cattle numbers: *Provided,* That each such area shall be represented by at least one Board member.

§ 1260.139 Appointment of members and alternates.

From the nominations made pursuant to §§ 1260.136 and 1260.138, the Secretary shall appoint the members of the Board and an alternate for each member on the basis of the representation provided for in §§ 1260.136, 1260.137, and 1260.138.

§ 1260.140 Acceptance.

Any nominee appointed to be a member or a alternate member of the

Board shall notify the Department of his or her acceptance in writing.

§ 1260.141 Vacancies.

To fill any vacancies occasioned by the death, removal, or resignation of any member or alternate member of the Board, a successor for the unexpired term of such member or alternate member of the Board shall be nominated and appointed in a manner specified in §§ 1260.136, 1260.137, 1260.138, 1260.139 and 1260.140, except that replacement of a Board member or alternate with an unexpired term of less than six months is not necessary.

§ 1260.142 Alternate members.

An alternate member of the Board, during the absense of the member for whom he or she is the alternate, shall act in the place and stead of such member at Board meetings and perform such other duties as assigned. In the event of the death, removal, or resignation of a member, the alternate shall act for him or her at Board meetings until a successor for such member is appointed.

§ 1260.143 Procedure.

(a) A majority of the members of the Board, including alternates acting for members of the Board, shall constitute a quorum, and any action of the Board shall require the concurring votes of at least a majority of those present and voting. At assembled meetings all votes shall be cast in person.

(b) For matters which dot not require deliberation and the exchange of views, and in matters of an emergency nature when there is not enough time to call an assembled meeting of the Board, the Board may also take action upon the concurring votes of a majority of its members by mail, telegraph, or telephone, but any such telephone vote shall be confirmed promptly in writing.

§ 1260.144 Compensation and reimbursement.

The members of the Board, alternates, and advisors to the Board shall be reimbursed for necessary and reasonable expenses incurred by them in the performance of their duties under this subpart. Members of the Board and alternates shall serve without compensation.

§ 1260.145 Powers of the Board.

The Board shall have following powers: (a) To supervise the administration of this subpart in accordance with its terms and conditions; (b) To make rules and regulations to effectuate the terms and provisions of this subpart; (c) To receive, investigate, and report to the Department complaints of violations of the provisions of this subpart; and (d) To recommend to the Department amendments to this subpart.

§ 1260.146 Duties of the Board.

The Board shall have the following duties:

(a) To meet and organize and to select from among its members a chairman and such other officers as may be necessary, to select committees and subcommittees of Board members, and to adopt such rules for the conduct of its business as it may deem avisable. The Board also may establish advisory groups of persons other than Board members;

(b) To appoint from its members an Excecutive Committee, consisting of 11 members, and to delegate to the Committee authority to employ a staff and administer the terms and provisions of this subpart under the direction of the Beef Board and within the policies determined by the Board. For purposes of determining the membership to the Executive Committee, the Board shall, with approval of the Department, divide the United States into, six, seven or eight regions on the basis of cattle population, each region to consist of one or more whole states. The members of the Beef Board from each region shall select one nominee for the Executive Committee from among themselves, and such nominee shall become a member of the Executive Committee upon confirmation by the Beef Board. The remaining members of the Executive Committee shall be selected by the Beef Board to serve as at-large members: *Provided,* That there shall be no more than two members of the Executive Committee from a region at any time. Initially, there shall be eight geographic regions with each providing one member to the Executive Committee. In addition, there will be three at-large members of the Executive Committee. The Beef Board shall periodically review the geographic regions and may increase or decrease the number of regions within the limits set forth above;

(c) To develop and submit to the Department plans or projects, together with the Board's recommendations with respect to the approval thereof;

(d) To prepare and submit to the Department for its approval budgets on a fiscal period basis of its anticipated expenses and disbursements in the administration of this subpart, including probable costs of each research, information, advertising, promotion, and developmental plan or project. The Board shall also submit informational copies of such budgets to the House Committee on Agriculture and the Senate Committee on Agriculture, Nutrition and Forestry;

(e) To enter into contracts or agreements, with the approval of the Department, with appropriate contracting parties, including State beef promotion entities, for the development and carrying out of the projects and programs of the Board as authorized by § 1260.151, and for the payment of the costs thereof with funds accruing pursuant to the administration of this subpart: *Provided,* That nothing in this subpart shall preclude the Board from conducting projects or activities on its own to effectuate the intent and purposes of the Act. Any such contract or agreement shall also provide that such contracting parties shall develop and submit to the Board a plan or project, together with a budget or budgets which shall show the estimated cost to be incurred for such plan or project, and that any such plan or project shall become effective upon approval by the Department. Any such contract or agreement shall also require the contracting parties to keep accurate records of all of their activities with respect to the contract or agreement, to make periodic reports to the Board of activities carried out, to identify funds received from the Beef Board and not to use these funds to finance unrelated activities of the contracting party or its affiliated organizations, to account for funds received and expended, and to report to the Department or Board as required. The Beef Board shall endeavor to provide the widest possible dissemination among producers of any supply, demand or other economic information or analysis if such information or analysis is developed pursuant to such contracts;

(f) To maintain books and records and prepare and submit reports from time to time to the Department as it may prescribe and to make appropriate accounting with respect to the receipt and disbursement of all funds entrusted to it;

(g) To periodically prepare and make public and to make available to producers reports of activities carried out and at least each fiscal period to make public an accounting for funds received and expended;

(h) To cause its books to be audited by a certified public accountant at least once each fiscal period and at such other times as the Department may request and to submit a copy of each such audit to the Department;

(i) To give the Department the same notice of meetings of the Board as is given to members in order that Department representatives may attend such meetings; and

(j) To submit to the Department such information pertaining to this subpart as it may request.

Research, Information, Education, and Promotion

§ 1260.151 Research, information, education, and promotion.

(a) The Beef Board shall in the manner prescribed in § 1260.146 provide for:

(1) The establishment, issuance, effectuation, and administration of plans or projects for advertising, promotion, education, producer information, and consumer information with respect to the use of cattle, beef, and beef products and for the disbursement of necessary funds for such purposes;

(2) The establishment and carrying on of research, market development projects, and studies with respect to the production, sale, processing, distribution, marketing, or utilization of cattle, beef, and beef products and the creation of new beef products, in accordance with section 7(b) of the Act, to the end that the production, marketing, and utilization of cattle, beef, or beef products may be encouraged, expanded, improved, or made more efficient and/or acceptable and the data collected by such activities may be disseminated, and for the disbursement of necessary funds for such purposes; and

(3) The development and expansion of foreign markets and uses for cattle, beef, or beef products.

(b) Each program or project authorized under paragraph (a) of this section shall be periodically evaluated by the Board to insure that each plan or project contributes to an effective and coordinated program of research, information, education, and promotion. If the Board finds that a program or project does not further the purposes of the Act, then the Board shall terminate such program or project.

(c) No reference to a private brand or trade name shall be made unless the Department determines that such reference will not result in undue discrimination against the cattle, beef, or beef products of other persons in the United States. No such advertising, consumer education, or sales promotion programs shall make use of false or misleading claims in behalf of cattle, beef, or beef products, or false or misleading statements with respect to quality, value, or use of any competing product.

State Beef Councils

§ 1260.156 Continuity.

The Beef Board shall, with the approval of the Department, annually allocate for use during the next fiscal year by a State beef council, beef board, or other beef promotion entity which makes a request for such funds and which meets the qualifications specified in § 1260.157, (a) up to 10 percent of net assessments from a State, or (b) up to an amount equal to a State beef promotion entity's collections for the 12 months preceding approval of this order: *Provided,* That during the first year the Beef Board may estimate the net assessments from a State for the purpose of funding State proposals under (a) of this section.

§ 1260.157 Qualifications.

(a) A request from a State beef promotion entity for funds pursuant to § 1260.156 shall include specific plans or projects and estimated costs of activities for which the funds will be used, in accordance with the requirements of § 1260.148(e) and § 1260.151. The contract or agreement for such funds shall provide that the State promotion entity shall keep accurate records of all activities with respect to the contract or agreement and make periodic reports to the Board of activities carried out, an accounting for funds received and expended, and such other reports as the Board or the Department may require.

(b) To qualify for the receipt of funds pursuant to § 1260.156, a State beef board, beef council, or other beef promotion entity shall (1) be organized pursuant to legislative authority within the State or be organized by State charter, (2) have goals and purposes complementary to the goals and purposes of the Act, and (3) demonstrate ability to provide research, information, education, or promotion consistent with the Act and this subpart. In no event shall more than one such entity qualify within a State. If more than one entity applies for qualification within a State, the Beef Board shall choose, subject to the approval of the Department, the one most qualified to fulfill the purposes of the Act and this subpart.

Expenses and Assessments

§ 1260.161 Expenses.

(a) The Board is authorized to incur such expenses as the Department finds are reasonable and likely to be incurred by the Board for its maintenance and functioning and to enable it to exercise its powers and perform its duties in accordance with the provisions of this subpart. Such expenses shall be paid from assessments received pursuant to § 1260.162 and other funds collected by the Board.

(b) The Board shall reimburse the Department, from producer assessments, for all the expenses and expenditures, excluding salaries, which were incurred by the Government in the preparation of an original order and the conduct of the referendum considering its approval.

(c) The Board shall reimburse the Department, from producer assessments, for administrative costs, including salaries, which are incurred by the Government which respect to this subpart.

§ 1260.162 Assessments.

(a) Each producer-seller, upon sale or transfer of ownership of any cattle, except as provided below, shall pay to the producer-buyer or slaughterer thereof, pursuant to regulations, and such producer-buyer or slaughterer shall collect from the producer-seller an assessment based on the value of the cattle involved in the transaction as follows:

(1) The Beef Board, with the approval of the Department, shall set the amount of assessment, not to exceed five-tenths of 1 percent of the sale price;

(2) The assessment rate for the first two years shall not exceed two-tenths of 1 percent of the sale price;

(3) In the event that no sales transaction occurs at the point of slaughter or other transfer, a fair commercial market value shall be attributed to the cattle for the purpose of determining the assessment;

(4) Cattle slaughtered for his own home consumption for a producer who has been the sole owner of such cattle shall not be subject to assessments provided in this subpart;

(5) In order that assessments be based on commercial market value for beef, the Beef Board shall pursuant to procedures established in the regulations, insofar as practical, exempt until sold for slaughter the collection of assessments on breeding cattle and on cattle used for commercial milk production having a breeding or production value significantly above the commercial market value in the slaughter market chain.

(6) Each slaughterer shall remit assessment(s) collected to the Beef Board at such times and in such manner as prescribed by regulations, including any assessment(s) due at time of slaughter on cattle of his own production;

(7) Failure of the slaughterer to collect the assessment on each animal shall not relieve the slaughterer of his obligation to remit the assessment to the Beef Board as required in this subpart;

(8) The Beef Board may collect directly from any producer any assessment(s) which he collected under the provisions of this subpart or which

were otherwise due which were not passed along in the manner set forth in this subpart due to the loss in value of the cattle or due to the export of the cattle or due to other reasons.

(b) The Beef Board may accumulate a reasonable reserve of approximately the average yearly collections to maintain continuity of programs and fulfill other obligations and expenses.

(c) The Secretary may maintain a suit in the several district courts of the United States against any person subject to the Order for the collection of any assessment due pursuant to this section.

§ 1260.163 Producer refunds.

Any producer-seller on whose cattle an assessment is made and collected from him under the authority of the Act shall have the right to demand and receive from the Beef Board a refund of such assessment upon submission of proof satisfactory to the Board that the producer-seller paid the assessment for which refund is sought. Any such demand shall be made by such producer-seller in accordance with regulations and on a form prescribed by the Board and approved by the Department. Such demands shall be made within 60 days after the end of the month in which the transaction occurred upon which the refund is based. Refund shall be made by the Board within 60 days after the demand is received therefor: *Provided,* That no producer shall claim or receive a refund of any portion of an assessment which he collected from other producers.

§ 1260.164 Influencing governmental action.

No funds collected by the Board under this subpart or any other funds collected by the Board shall in any manner be used for the purpose of influencing governmental policy or action except as provided in § 1260.185.

Reports, Books, and Records

§ 1260.171 Reports.

Each slaughterer subject to this subpart shall be required to report to the Beef Board periodically such information as may be required by regulations.

§ 1260.172 Books and records.

Each slaughterer shall maintain and make available for inspection by the Beef Board and the Department such books and records as are necessary to carry out the provisions of this subpart and the regulations issued thereunder, including such records as are necessary to verify any reports required. Such records shall be retained for at least two years beyond the marketing year of their applicability.

§ 1260.173 Confidential treatment.

All information obtained from the books, records, or reports required to be maintained under §§ 1260.171 and 1260.172 and all information obtained by the Beef Board pertaining to producer refunds made pursuant to § 1260.163 shall be kept confidential by the Beef Board, employees of the Beef Board, employees of the Department, and officers and employees of contracting parties, and only such information so furnished or acquired as the Secretary deems relevant shall be disclosed by them, and then only in a suit or administrative hearing brought at the direction, or upon the request, of the Secretary, or to which any officer of the United States is a party, and involving this subpart: *Provided, however,* That nothing in this subpart shall be deemed to prohibit (a) the issuance of general statements based upon the reports of the number of persons subject to this subpart or statistical data collected therefrom, which statements do not identify the information furnished by any person, (b) the publication of general statements relating to refunds made by the Beef Board during any specific period, which statements do not identify any person to whom refunds are made, or (c) the publication by direction of the Secretary of the name of any person violating this subpart, together with a statement of the particular provisions violated by such person.

Certification of Organizations

§ 1260.176 Certification of organizations.

(a) Any organization that represents producers within a geographic area designated pursuant to § 1260.138 may request the Department to certify its eligibility to represent cattle producers to participate in nominating members and alternate members to represent such geographic area on the Beef Board. Such eligibility shall be based, in addition to other available information, upon a factual report submitted by the organization which shall contain information deemed relevant and specified by the Department for the making of such determination, including but not limited to the following:

(1) Geographic area covered by the organization's active membership;

(2) Nature and size of the organization's active, annual dues-paying membership, proportion of total of such active membership accounted for by producers of cattle, and the volume of cattle produced by the organization's active membership in each such State or applicable geographic area(s);

(3) The extent to which the cattle producer membership of such organization is represented in setting the organization's policies;

(4) Evidence of stability and permanency of the organization;

(5) Sources from which the organization's operating funds are derived;

(6) Functions of the organization; and

(7) The organization's ability and willingness to further the aims and objectives of the Act.

(b) The primary consideration in determining the eligibility of an organization shall be whether its producer membership consists of a substantial number of producers who produce a substantial volume of cattle in the geographic area subject to the provisions of this subpart.

(c) The Department shall certify any organization which it finds to be eligible under this section and its determination shall be final. After the original certification of organizations, the Department will require recertification at least once every five years, and may require recertification at any time.

Miscellaneous

§ 1260.181 Patents, copyrights, inventions, and publications.

Any patents, copyrights, inventions, or publications developed through the use of funds collected under the provisions of this subpart shall be the property of the U.S. Government as represented by the Beef Board, and shall, along with any rents, royalties, residual payments, or other income from the rental, sale, leasing, franchising, or other uses of such patents, copyrights, inventions, or publications, inure to the benefit of the cattle industry. Upon termination of this subpart § 1260.183 applies to determine disposition of all such property.

§ 1260.182 Suspension and termination.

(a) The Secretary shall, whenever he finds that this subpart or any provision thereof obstructs or does not tend to effectuate the declared policy of the Act, terminate or suspend the operation of this subpart or such provision.

(b) The Secretary may conduct a referendum at any time, and shall hold a referendum on request of 10 percent or more of the number of cattle producers voting in the referendum approving this subpart, to determine whether cattle producers favor the termination or suspension of this subpart, and the Secretary shall suspend or terminate such subpart six months after he determines that its suspension or termination is approved or favored by a majority of the producers of cattle voting in such referendum who, during a representative period determined by the Department, have been engaged in the production of cattle and who produced more than 50 percent of the volume of the cattle produced by the cattle producers voting in the referendum.

§ 1260.183 Proceedings after termination.

(a) Upon the termination of this subpart, the Beef Board shall recommend not more than five of its members to serve as trustees for the purpose of liquidating the affairs of the Beef Board. Such persons, upon designation by the Department, shall become trustees of all of the funds and property then in the possession or under control of the Board, including claims for any funds unpaid or property not delivered or any other claim existing at the time of such termination.

(b) The said trustees shall: (1) continue in such capacity until discharged by the Department; (2) carry out the obligations of the Beef Board under any contracts or agreements entered into by it pursuant to § 1260.146(e); (3) from time to time account for all receipts and disbursements and deliver all property on hand, together with all books and records of the Board and of the trustees, to such person as the Department may direct; and (4) upon the direction of the Department, execute such assignments or other instruments necessary or appropriate to vest in such person full title and right to all of the funds, property, and claims vested in the Board or the trustees pursuant to this subpart.

(c) Any person to whom funds, property, or claims have been transferred or delivered pursuant to this subpart shall be subject to the same obligations imposed upon the trustees.

(d) Any residual funds or property not required to defray the necessary expenses of liquidation shall be turned over to the Department to be utilized, to the extent practicable, in the interest of continuing one or more of the beef research or information programs hitherto authorized.

§ 1260.184 Effect of termination or amendment.

Unless otherwise expressly provided by the Department, the termination of this subpart or of any regulation issued pursuant thereto, or the issuance of any amendments to either thereof, shall not:

(a) Affect or waive any right, duty, obligation, or liability which shall have arisen or which may thereafter arise in connection with any provision of this subpart or any regulation issued thereunder;

(b) Release or extinguish any violation of this subpart or any regulation issued thereunder; or

(c) Affect or impair any right or remedies of the United States, or of any person, with respect to any such violation.

§ 1260.185 Amendments.

Amendments to this subpart may be proposed, from time to time, by the Board or by an organization certified pursuant to Section 15 of the Act, or by any interested person affected by the provisions of the Act, including the Secretary.

§ 1260.186 Personal liability.

No member, alternate member, or employee of the Beef Board shall be held personally responsible, either individually or jointly with others, in any way whatsoever to any person for errors in judgment, mistakes, or other acts, either of commission or omission, of such member, alternate, or employee except for acts of dishonesty or willful misconduct.

§ 1260.187 Separability.

If any provision of this subpart is declared invalid or the applicability thereof to any person or circumstances is held invalid, the validity of the remainder of this subpart or the applicability thereof to other persons or circumstances shall not be affected thereby.

Copies of this decision may be procured from Ralph L. Tapp, Livestock, Poultry, Grain, and Seed Division, Agricultural Marketing Service, Room 2610, South Building, United States Department of Agriculture, Washington, D.C. 20250, or may be inspected at the Office of the Hearing Clerk, Room 1077, South Building, United States Department of Agriculture, Washington, D.C. 20250.

This action was determined significant under the Department's criteria for implementing Executive Order 12044. The impact analysis is incorporated in this document.

Signed at Washington, D.C., on: December 11, 1979.

Jerry C. Hill,

Deputy Assistant Secretary for Marketing Services.

[FR Doc. 79-38278 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

Agricultural Stabilization and Conservation Service

Procedure for the Conduct of Referendums in Connection with Beef Research and Information Order

AGENCIES: Agricultural Marketing Service and Agricultural Stabilization and Conservation Service.

ACTION: Notice of Cattle Producers Referendum.

SUMMARY: This document announces a referendum among cattle producers to determine if they approve a Beef Research and Information Order ("Order") issued by this Department. The final Order appears elsewhere in this issue of the **Federal Register**. This notice prescribes the registration and voting periods of the referendum. It also sets forth the representative period during which a producer must have owned cattle in the United States in order to be eligible to vote.

DATES: Registration period—January 28 through February 6, 1980. Voting period—February 19 through February 22, 1980. Representative period—January 1 through December 31, 1979.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: Robert M. Cook, 202–447–7997.

ADDRESS: Emergency and Indemnity Programs Divisions, ASCS, USDA, Washington, D.C. 20013.

SUPPLEMENTARY INFORMATION: The Order, issued pursuant to the Beef Research and Information Act ("Act"), establishes a program of research and information for cattle, beef, and beef products. The regulations for conducting referendums pursuant to the Act were published in the **Federal Register** of May 17, 1977 (7 CFR 1260). An amendment to the regulations was published in the **Federal Register** on December 7, 1979. As required by Section 9 of the Act, the Order will become effective only if approved by cattle producers who vote in a referendum. For approval of the Order, ballots must be cast by at least 50 percent of the producers registered to vote in the referendum and a majority of those voting must favor or approve the issuance of the Order.

Notice is hereby given of a referendum to consider the Order issued by the Secretary of Agriculture on December 11, 1979. The registration period will be January 28 through February 6, 1980. The voting period will be February 19 through 22, 1980. The representative period of ownership to determine eligibility of producers to register and vote in the referendum is January 1 through December 31, 1979. Registration and voting will be conducted through local offices of the Agricultural Stabilization and Conservation Service of the U.S. Department of Agriculture.

Issued at Washington, D.C. this 11th day of December 1979.

Ray Fitzgerald,
Administrator, Agricultural Stabilization and Conservation Service.

William T. Manley,
Administrator, Agricultural Marketing Service.

[FR Doc. 79-38279 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

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federal register

Friday
December 14, 1979

Part VII

Department of Agriculture

Agricultural Marketing Service

Wheat and Wheat Foods Research and Nutrition Education Order; Decision and Order and Wheat End Product Manufacturer Referendum

V 44 DE 14 79 UMI

DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

7 CFR Part 1280

[Docket No. WR-1]

Wheat and Wheat Foods Research and Nutrition Education Order and Decision

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Decision and Order.

SUMMARY: This document announces a decision to issue an Order which provides for the establishment of a nationally coordinated program of research and nutrition education for wheat, processed wheat, and wheat end products as authorized by the Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 *et seq.*). The program, authorized under the Order, would be financed by assessments of up to five cents per hundredweight, to be paid by end product manufacturers on their purchases of processed wheat. The Order limits the assessment to one cent per hundredweight during the first two years of the program. The program would be administered by a twenty-member Council, composed equally of representatives of wheat producers, processors, end product manufacturers and consumers.

DATE: The Order would become effective if approved in a referendum of wheat end product manufacturers; results of the referendum and the effective date, if applicable, will be announced later.

FOR FURTHER INFORMATION, CONTACT: W. David Spalding, Livestock, Poultry, Grain, and Seed Division, AMS, USDA, Washington, D.C. 20250, Phone: 202–447–2068.

SUPPLEMENTARY INFORMATION: Prior documents in this proceeding: Rules of Practice—Issued October 30, 1978 and published November 6, 1978 (43 FR 51604).

Notice of Hearing—Issued January 22, 1979 and published January 26, 1979 (44 FR 5450).

Recommended Decision—Issued September 4, 1979 and published September 7, 1979 (44 FR 52226).

A Procedure for the Conduct of Referendum in connection with this Order and a Notice of Referendum appear elsewhere in this issue of the **Federal Register.**

Preliminary Statement

A recommended decision including a recommended Order to establish a wheat and wheat foods research and nutrition education program was published in the September 7, 1979 issue of the **Federal Register** (44 FR 52226). Interested persons were given until October 22, 1979 to file exceptions to the recommended decision. Five such comments were received which are discussed at the appropriate place in the decision.

The recommended decision was formulated based on evidence received at a public hearing on a proposed Order and on briefs submitted based on the hearing record. The public hearing was held at St. Paul, Minnesota, February 27 and 28; Atlanta, Georgia, March 6; and Denver, Colorado, March 15, 1979. Briefs and proposed findings and conclusions were received until April 24, 1979. This hearing was held pursuant to notice which was published in the **Federal Register** January 26, 1979, 44 FR 5450. The notice set forth a proposed Order which was submitted to the Department of Agriculture by the Wheat and Wheat Foods Foundation (a coalition of wheat-related organizations) pursuant to rules and regulations for formulating an Order which were published in the **Federal Register** November 6, 1978, 43 FR 51604. These actions were taken pursuant to authority contained in the Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 *et seq.*).

On the basis of the evidence introduced at the hearing and the record thereof, the Administrator, Agricultural Marketing Service, filed with the Hearing Clerk, U.S. Department of Agriculture, a recommended decision containing notice of the opportunity for interested persons to file exceptions to the decision. Upon review of the entire hearing record, including comments on the recommended decision; the material issues, findings and conclusions, rulings, and the general findings of the recommended decision which were published in the **Federal Register** September 7, 1979, 44 FR 52226 are hereby approved and adopted and are set forth in full herein, with the following modifications:

1. Changes in the Order provisions:

a. Section 132(a)(b)(c)(d) is changed to clarify the nominating provisions.

b. The following §§ are changed to clarify several provisions in the Order: § 131, § 134, § 135, § 136, § 140(e)(k)(1), § 151(a)(b), § 152, and § 160.

c. Section 162 is changed to clarify and strengthen the confidentiality provisions.

d. Section 165(d) is changed to clarify the certification procedures.

2. Changes in the Decision:

a. Under the heading "Decision:" Under the heading "1. *Decision*": Under the subheading *"Need for Program"* paragraph 1 is changed.

b. Under the heading "Decision": Under the heading "2. *Procedure and Background"* paragraph 2 is changed and item 4 is added.

3. Changes in the Findings and Conclusions:

a. Under the heading "(1) *Need for the Order"* paragraph 1 is changed and a new paragraph is added after paragraph 5, item 7.

b. Under the heading "(2) *Level of Funding:"* (1) Under the heading "(i) *General* paragraph 3 is changed. (2) Under the heading "(ii) *Cost Impacts"* paragraph 1 is changed and a new paragraph is added after paragraph 1. Under the heading "(iii) USDA and Other Federal Costs" paragraph 1 is changed.

c. Under the heading "(3) *Plans and Projects"* paragraphs 1, 7, and 8 are changed.

d. Under the heading "(4) *Possible Results"* paragraph 1 is changed. Under the heading (ii) *Competitive Impact* a new paragraph is added after paragraph 1.

e. Under the heading "(5) *Terms and Provisions of the Order*": (1.) Under the heading "(a) *Definitions:"*

(a) Under the definition "end product" paragraphs 2, 4 and 5 are changed.

(b) Under the definition "end product manufacturer" paragraph 2 is changed.

(c) Under the definition "nutrition education" paragraph 2 is changed.

(d) Under the definition "Wheat Industry Council" paragraph 1 is changed.

(e) Under the definition "person" paragraph 1 is changed.

(f) Under the definition "eligible organization" paragraph 1 is changed.

(g) Under the definition "retail baker" paragraphs 2, 4, 5, 6, 8, 9, and 10 are changed.

(h) Under the definition "intra-company transfers, related companies or divisions of the same company, and control" paragraphs 1 and 3 are changed.

(2) Under the heading "(b) *Wheat Industry Council*":

(a) Under the subheading "*Term of Office*" paragraph 2 is changed.

(b) Under the subheading "*Certification of Organizations*" paragraphs 2 and 14 are changed.

(c) Under the subheading "*Nominations"* paragraphs 1, 2, 3, 4, 9, and 16 are changed.

(d) Under the subheading "*Appointments*" paragraph 1 is changed.

(e) Under the subheading "*Powers*" paragraph 1 is changed.

(f) Under the subheading "*Duties*" paragraphs 2, 4 and 6 are changed.

(3) Under the heading "(c) *Programs and Projects*" paragraphs 1, 3, and 6 are changed.

(4) Under the heading "(d) *Assessments, Refunds, Expenses*" paragraph 1 is changed and a new paragraph is added after paragraph 7. Paragraph 3 and Tables A and B are changed.

(a) Under the subheading "*Refunds*": Paragraph 1 is changed. A new paragraph is added after paragraph 1. Paragraphs 3, 7, and 8 are changed.

(5) Under the heading "(e) *Records and Reports*" paragraph 1 is deleted and paragraphs 2 and 4 are changed. New paragraphs are added after paragraphs 3 and 6.

Decision

1. *Decision.* The Act provides that the Secretary shall determine, on the basis of hearing evidence, if the proposed Order tends to effectuate the declared policy of the Act which is to establish a research and nutrition education program to make the most efficient use of American wheat and ensure an adequate diet for the people of the U.S. The criteria used in this determination included an evaluation of: (1) The need for the program, (2) the adequacy of the proposed funding level from end product manufacturers, (3) design of potential plans and projects for research concerning wheat quality and utilization and nutrition education as authorized in the Act, (4) the likelihood that these projects will improve nutrition and per capita consumption of wheat and (5) the specific terms and provisions of the proposed Order. It is concluded from evidence introduced at public hearings that there is a need to establish a wheat research and nutrition education program. The criteria used in this conclusion is summarized below.

Need for Program—From 1910 to 1978, per capita consumption of wheat flour decreased about 50 percent. There is growing concern by the industry that consumption may continue to decline because wheat-based foods are perceived to be both fattening and lacking in nutritional value by a large segment of the population. Research has shown that increased consumption of wheat-based foods would contribute to both a healthy and more economical diet for U.S. consumers. Representatives from nearly every segment of the wheat industry presented evidence which strongly supports the need for a Wheat and Wheat Foods Research and Nutrition Education Order.

Funding—An assessment of up to 5 cents per cwt. or, up to a maximum funding of about $10 million annually on processed wheat would be remitted to the Wheat Industry Council by the end product manufacturers (primarily wholesale bakers). The program is voluntary and those who do not wish to support it can request and receive a refund of their assessment from the Council.

Plans and Projects—Basic research on nutrition, health, products, processing and marketing of wheat-based foods would be conducted. Nutrition and health research could further investigate the role of wheat-based foods in diets designed to reduce both body weight and cholesterol levels. Product research could focus on improved and new wheat food products while processing research could continue to seek more efficient use of products from wheat. Market research could emphasize more in-depth study of consumer attitudes toward wheat-based foods and stepped up nutrition education activities could provide nutritional information to homemakers, the food service industry, and food editors of newspapers and magazines. Based on hearing testimony concerning similar type programs, it appears that the plans and projects authorized under the Order could be designed to achieve many of the objectives of the Act.

Possible Program Results—While it is expected that the Order will increase the demand for wheat-based foods relative to other foods, problems in isolating the effects of other influencing factors may make it difficult to evaluate the program's performance. However, hearing testimony indicated that a one slice per day increase in the per capita consumption of bread would not only contribute to a healthy and more economical diet for the American people but would also result in a 20 percent increase in bread production. All income groups could benefit from the program, but the poor, elderly and teen-age consumers would be expected to derive proportionately greater benefits from increased knowledge of the economic and nutritional advantages of wheat-based foods as a source of good nutrition.

Specific Terms and Provisions—To accomplish the declared policy of the Act, numerous specific terms and provisions are needed to govern the operation of a program. The terms and conditions of the Order contained in this document are the detailed means of carrying out the declared policy of the Act.

2. *Procedure and Background.* The Wheat and Wheat Foods Research and Nutrition Education Act, passed in 1977, authorized the establishment of a wheat research and nutrition education program to make the most efficient use of American wheat and ensure an adequate diet for the people of the United States.

The Act is enabling legislation which authorizes any individual or organization to submit a proposed Order to the Secretary to implement the program authorized by the Act. The Act provides that when the Secretary has reason to believe that a proposed Order will tend to implement the program authorized by the Act the Secretary shall issue a notice and hold a hearing on the proposed Order. The applicable rules of practice and procedure provide for the Department to issue a recommended decision and Order if it is determined, based on the hearing evidence and written briefs, that an Order will implement the Act. If the Secretary finds after a review of comments on the recommended decision and Order and the entire hearing record that the Order will implement the policy of the Act, a final decision will be issued, and a referendum among end product manufacturers will be held to determine if they wish to put the Order into effect. If the vote is favorable, a Wheat Research and Nutrition Education Order would be established. The Wheat Industry Council, authorized under the Order, would be responsible for preparing detailed project proposals for wheat and wheat foods research and nutrition education as part of the Council's annual budget. The Act requires that the proposed projects be reviewed and approved by the Secretary before project expenditures may be authorized by the Council. This requirement assures that the program will be formally evaluated on an annual basis and fulfills the "sunset review" requirement under the Department's criteria for implementing Executive Order 12044. The Order would continue indefinitely unless:

1. The Act is repealed;

2. The Secretary finds that the Order or any provision(s) thereof obstructs or does not effectively carry out the policy of the Act;

3. End product manufacturers reject the Order in a referendum for termination; or

4. End product manufacturers reject a revised Order in a referendum.

Material Issues

The material issues presented in the record of hearing are as follows:

(1) The need for the Wheat and Wheat Foods Research and Nutrition Education Order to effectively carry out the declared policy and purposes of the Act.

(2) The adequacy of the proposed level of funding, from end product

manufacturers, to support the proposed program.

(3) The adequacy of the design of potential research and nutrition education plans and projects to implement the proposed program.

(4) The possible effect of the proposed program on nutrition education and per capita consumption of wheat.

(5) The determination of the specific terms and provisions of the Order necessary to effectively carry out the declared policy and purposes of the Act, including:

(a) Definitions of terms used therein which are necessary and incidental to achieve the objectives of the Order;

(b) The establishment, maintenance, composition, powers, duties, procedures, and operation of a Council which shall be the administrative agency for this Order;

(c) The authority for establishing and financing the development and implementation of programs and projects of research and nutrition education to establish a nationally coordinated program of research and nutrition education for wheat, processed wheat and wheat end products;

(d) The procedures to levy assessments on processed wheat purchased by end product manufacturers, to make refunds of assessments to end product manufacturers who request them, and to incur necessary expenses;

(e) The provisions concerning recordkeeping requirements and reports by end product manufacturers and

(f) The need for additional terms and conditions as set forth in §§ 1280.166 through 1280.172 of the Order which are necessary to effectuate provisions of the Act.

Findings and Conclusions

Evidence presented on the record at the public hearing indicates that wheat is produced, in some quantity, in all 50 States and wheat based foods are produced and consumed in all 50 States. Therefore, it is found that wheat and wheat based foods move in interstate and foreign commerce and that which does not move in such channels of commerce directly burden, or affect interstate commerce of wheat and wheat based foods. The findings and conclusions on the material issues are based on the evidence presented at the hearing and the record thereof and are as follows:

(1) *Need for the Order.* The record herein establishes that from 1910 to 1978, per capita consumption of wheat flour decreased about 50 percent. Most of the decrease took place prior to the mid 1960's. Since that time, per capita consumption has stabilized around the current level of 115 pounds per person. However, because wheat based foods are perceived to be fattening and lacking in nutrition by a large segment of the population, it is possible that per capita consumption may decline further. As a result, U.S. wheat producers as well as processors and end product manufacturers face a domestic market for their products which, at best, may be expected to grow with population.

U.S. wheat producers have seen little growth in the domestic food market for wheat. The domestic food market is currently less than 600 million bushels annually. However, the export market has increased from less than 300 million bushels in 1948 to about 1.2 billion bushels in the current marketing year. There are indications that some of this export increase may be directly attributed to promotional efforts financed jointly by producers and the U.S. Department of Agriculture.

Cereal grain based products are an economical source of protein, energy (calories) and essential vitamins and minerals. Americans currently spend an average of 12% of their food budget on cereal grain products which provide 26% of the calories, 21.5% of the protein and significant percentage of essential vitamins and minerals in their diet. In 1910, cereal grain products were the chief source of protein (38%) in the U.S. diet. Since 1910 the consumption of cereal grain products has decreased which fat and sugar consumption has increased.

The record reveals a need to communicate factual information to consumers as well as nutrition and health professionals about the nutritional properties of wheat based foods. Many consumers perceive wheat based foods as fattening and lacking in nutritional value. They do not realize that wheat based foods are highly nutritious and that the increased consumption of wheat based foods has been strongly recommended by many nutritional authorities. Educational programs could provide sound information to consumers concerning the nutritional properties of wheat based foods. Educational material that has been developed for use with consumers has been well received. However, funding to develop and distribute this information has been lacking, therefore, the material has had limited impact.

Testimony in support of the Order was received from:

(1) The Wheat and Wheat Foods Foundation on behalf of its 45 producer, 53 processor, 36 end product manufacturer and 9 other members;

(2) Producers, including the National Association of Wheat Growers which represents state wheat grower associations in 16 states which produce over 80% of the wheat grown in the U.S., the U.S. Durum Growers Association, Women Involved in Farm Economics (WIFE), and 5 state wheat grower commissions;

(3) Processors, including the Millers National Federation whose members account for 87% of the flour produced in this country;

(4) End product manufacturers, including the American Bakers Association, representing wholesale bakers and representatives of cereal and pasta manufacturers;

(5) Labor, through testimony by the Bakers, Confectionary and Tobacco Workers International Union of the AFL–CIO;

(6) The two principal trade publications in the wheat and wheat foods industry, "Milling and Baking News" and "Bakery Production and Marketing Magazine"; and

(7) Organizations and firms involved in research and/or nutrition education activities relating to wheat and other commodities including several universities, the American Institute of Baking, the National Wheat Institute, Great Plains Wheat, Western Wheat Associates, the Potato Board and several private firms.

Testimony in opposition to the assessment provisions of the Act was received from the Biscuit & Cracker Manufacturers Association, representing wholesale biscuit and cracker manufacturers. Testimony indicated that biscuit and cracker manufacturers use approximately 20 percent of the flour used by the entire baking industry and that Association members use about 85 percent of the flour used by all biscuit and cracker manufacturers.

(2) *Level of Funding:*

(i) *General.* The research and nutrition education activities to be conducted under the proposed program would be funded by an assessment on processed wheat purchased by end product manufacturers. During the first two years, the Order calls for an assessment of one cent per hundredweight of processed wheat purchased. Both the enabling legislation and the Order provide for a maximum assessment of five cents per hundredweight of processed wheat purchased. It is estimated that initial collections at the one cent level would be about $2 million annually. At the maximum assessment level of five cents per hundredweight, collections would be about $10 million annually.

The assessment on the processed wheat would be recorded by the end product manufacturer at the time the processed wheat is purchased and remitted to the Wheat Industry Council on a regularly scheduled basis. The program would be voluntary, in that end product manufacturers who pay an assessment and do not wish to support the program can request and receive a refund.

The implementation of the Act would directly affect all wheat end product manufacturers including retail bakers and end product manufacturers using less than 2,000 hundredweight of processed wheat annually even though the latter groups would not be assessed for the program. Other groups directly impacted would include the recipients of the funds expended by the Wheat Industry Council such as university and other research entities and disseminators of nutrition education information.

The impact on producers and processors of wheat and consumers of wheat based foods would be less direct than the impact on end product manufacturers and would depend on the nature and extent of program developed by the Wheat Industry Council.

(ii) *Cost Impacts.* The cost impact on wheat end product manufacturers would vary from one cent per hundredweight of processed wheat as authorized during the first two years of the program up to a maximum of five cents per hundredweight of processed wheat as permitted by the Order. At the one cent per hundredweight assessment level, the cost per one pound loaf of bread would be about seven one-thousandths of a cent per loaf. At the maximum assessment level of five cents per hundredweight the cost per one pound loaf of bread would be about three one-hundredths of a cent. Proponents have stated that given the competitive nature of the wholesale baking industry and the minuscule amount of the assessment per unit to production, the assessment will not be passed on to the consumer. Proponents point out that a very small increase in volume will reduce per unit costs to more than offset the cost of the assessment.

An exceptor pointed out that the cost impact on wheat end product manufacturers is discussed solely on the basis of bread and not on the basis of cereals. The recommended decision is based on record evidence adduced during the rule making proceeding. No testimony was presented during the proceeding regarding the specific cost impact on cereal manufacturers. Very little information exists for cereal manufacturers, so detailed estimates are not possible. However, based upon information from the Census of Manufacturers, in 1977 cereal manufacturers used wheat for about one-third of ready-to-eat cereal production. Their wheat costs were about 5 percent of the cost of materials and less than a third of the expenditures for sugar. Thus, the cost impact of this program on wheat cereals is judged to be even less than that for bread. In addition, record evidence does indicate that it is expected that all types of wheat and wheat based products will share in the benefits of the proposed Order.

End product manufacturers have testified that the Order will not result in increased recordkeeping costs because existing records can be used to comply with the recordkeeping requirements of the Order.

The Order will have no cost impact on wheat producers. Processors purchase their wheat needs at competitive market prices. The export market accounts for about two-thirds of total usage of U.S. wheat and as such, the U.S. farm price of wheat is determined by the world supply and demand situation.

Processors who supply bakery mixes to end product manufacturers will be required to show the processed wheat content within plus or minus 3% on invoices to end product manufacturers in order for end product manufacturers to determine their use of processed wheat. Processors have testified that this requirement will not increase their costs.

(iii) *USDA and Other Federal Costs.* The Act provides that the Council will reimburse the Department, from assessments, for all referendum and administrative costs incurred under the Act during any period specified by the Secretary.

(3) *Plans and Projects.* Below is a description of the type of impacts that may result from a nutrition education and promotion program based on experience in other commodity programs. Also included is a brief discussion of the types of programs which could be conducted by the Wheat Industry Council. Nutrition education and generic promotion of commodities in the United States and bread in some European markets is relatively new. These recent experiences show marked changes in consumer attitudes with mixed results in terms of impact on consumption.

European processors and end product manufacturers faced a continuous decline in per capita consumption of flour. Sponsors of these programs worked closely with and in some cases gained active support from medical and nutrition professionals as well as government agencies in explaining the nutritional benefits from increased consumption of wheat based foods. Since the adoption of the programs, the per capita consumption of flour has stabilized and in some cases increased.

In the U.S., per capita potato consumption in the early 1950's was about 100 pounds, about half of what it was in 1910. In the 1960's consumption increased to about 110 pounds, probably as a result of the introduction of processed potato products. However, consumption of fresh potatoes continued to decrease. One of the reasons given for the decline in consumption was the rather prevalent opinion that potatoes are fattening. Actually, potatoes are a nutritious food, rich in the vitamins and minerals necessary in the daily diet. In 1971, the Potato Research and Promotion Act was passed in an effort to increase the per capita consumption of potatoes. The National Potato Promotion Board set out to dispel the negative image of potatoes as fattening and to educate the consumer to their nutritional value. The program has been one of generic promotion with strong emphasis on nutrition education. As a result of the efforts of the Potato Board, consumer attitudes toward potatoes are now more positive. Per capita consumption of fresh potatoes has shown some increase in the last 3 years.

Per capita consumption of eggs declined over 25 percent between 1950 and 1974. In 1974, the Egg Research and Consumer Information Act was passed in an effort to increase per capita consumption of eggs. The American Egg Board has made several research grants to investigate nutritional aspects of the cholesterol controversy. In addition, the Board, through the use of a generic education and promotion program, has improved consumer attitudes toward eggs. In 1978, the per capita consumption of eggs showed the first increase since 1971.

The impact of any ongoing research and nutrition education program is difficult to measure because of the problems in isolating the effects of other influencing factors. Estimating the possible impacts of a potential program is even more troublesome.

The results of the various programs under the Wheat and Wheat Foods Research and Nutrition Education Order will be a function of the priority given to the research and education programs by the Wheat Industry Council. It is anticipated that in addition to domestic research and nutrition education activities, the Council will also be involved in export activities.

Basic research could include nutrition and health research as well as product, processing and market research. Nutrition and health research could further investigate the role of wheat based foods in weight loss diets and diets designed to reduce blood cholesterol levels. Product research could develop new or improved wheat based products. Research into processing methods could result in more efficient processing methods as well as more efficient utilization of wheat in the production of flour and other flour mill products. Market research could involve study of consumer attitudes toward wheat based foods. Nutrition education activities could provide nutrition, health and education material for nutrition and health professionals as well as food editors, homemakers, the food service industry and school children. Foreign market activities could be carried out to increase export markets for U.S. wheat and wheat products. Obviously, for all of these possible opportunities, there is always a risk of failure. The rate of return for various potential projects could undoubtedly vary significantly. Thus, the Wheat Industry Council should attempt to choose those projects with a high probability of successfully achieving a high rate of return.

(4) *Possible Results:*

(i) *General.* Per capita consumption of bread in the U.S. averages about five slices per person per day. Research based on the McGovern committee report "Dietary Goals for the United States" has suggested that any increase in consumption up to 67 percent over the present level, of wheat based foods would contribute to a healthy and more economical diet for the American people. The record emphasizes the role of wheat based foods in a balanced diet. However, it points out that wheat based foods are only part of a balanced diet. Hearing testimony indicated that a one slice per day increase in the per capita consumption of bread would not only contribute to a healthy and more economical diet for the American people but would also result in a 20 percent increase in bread production.

Bakers testified to the existence of excess capacity in the wholesale baking industry. Given the existence of excess baking capacity, an increase in volume would result in reduced per unit costs of production. As a result of the competitive nature of the wholesale baking industry, any significant cost reductions resulting from increases in volume would either be passed on to the consumer in terms of lower prices or used to offset cost increases that would otherwise be passed on to consumers.

(ii) *Competitive Impact.* It is expected that the Order will increase the demand for wheat based foods relative to other types of food. The impact of the proposed program on different types of end product manufacturers will depend on the specific research and education projects undertaken by the Council. However, it is the intent of the Order that the Council represent and act in the best interests of the entire wheat industry, including all types of end product manufacturers.

An exceptor suggested that the Wheat Industry Council, as described in the recommended decision, is designed to increase the consumption of bread products and especially bread and that insufficient attention may be focused on cereals, pasta, and products other than bread. However, the recommended decision clearly states that it is the intent of the Order that the Council represent and act in the best interests of the entire wheat industry, including all types of end product manufacturers.

(iii) *Distribution of Effects by Income Classes.* The Order provides for a program of research and nutrition education. Previous research efforts have shown that wheat based foods are nutritious and an economical source of protein, energy (calories) and essential vitamins and minerals. All income groups could benefit from the program by receiving sound nutritional information and learning how to use this information to develop more nutritious meals at lower cost. However, the poor, the elderly and teenage consumers could be expected to derive proportionately greater benefits from increased knowledge of the economic advantages of wheat based foods as a source of good nutrition. Research has indicated that these groups are the most at-risk categories for poor nutrition and related health problems.

(5) *Terms and provisions of the Order.*

(a) *Definitions.* "Processed wheat" is defined to mean the wheat-derived content of any substance (such as cake mix or flour) produced for use as an ingredient of an end product by changing wheat grown within the United States in form or character by any mechanical, chemical, or other means. The definition is necessary to specify one of the products to which research and nutrition education plans or projects may apply, and to determine applicability of the assessment.

"End product" is defined to mean any product which contains processed wheat as an ingredient and which is intended, as produced, for consumption as human food, notwithstanding any additional, incidental preparation which may be necessary by the ultimate consumer. For example, bread, cake, cookies, crackers, breakfast cereals, and pasta products would all be end products.

This definition is necessary to determine products to which plans or projects may apply, as well as to determine applicability of the assessment and certain exclusions therefrom.

The terms "processed wheat" and "end product" as used in the Act are mutually exclusive. An "end product" is defined as a product which contains "processed wheat" as an ingredient and which is intended as produced to be used for consumption as human food, notwithstanding any incidental preparation which may be necessary by the ultimate consumer. "Incidental preparation" means such actions as thawing frozen bakery products or baking brown-and-serve products, so that frozen cakes, breads, or bread doughs, brown-and-serve rolls, etc. would be considered "end products" and, therefore, the processed wheat contained in these products would be subject to the assessment.

On the other hand, "processed wheat" contained in substances such as flour, self-rising flour, and cake mixes, which are sold at retail in that form would be exempt from assessment.

Products such as Graham crackers, granola, or other substances which may be consumed in their present form or used as an ingredient of another end product are within the definition of end product. Therefore, the assessment on the processed wheat purchased for use in the manufacture of such substances would be paid by the end product manufacturer who first manufactures them into a substance which can be consumed as human food. No further assessment, however, would be due from subsequent end product manufacturers using such end products as ingredients of other end products.

It should also be noted that the assessment would apply to the end products of an end product manufacturer regardless of whether the end product is consumed in the U.S. or exported.

"Wheat producer" is defined to mean any person who grows wheat within the United States for market. The definition is necessary to define one class of persons eligible for representation on the Wheat Industry Council.

"Processor" is defined to mean any person who commercially produces processed wheat within the United States. This definition specifies a class eligible for Council representation and subject to reporting and record-keeping obligations under § 1280.160 and § 1280.161 of the Order but not subject to assessments.

"End product manufacturer" is defined to mean any person who commercially produces an end product within the U.S., but does not include such persons to the extent they produce end products on the premises where such products are to be consumed by an ultimate consumer, including, but not limited to hotels, restaurants, and institutions. Nor does the term include persons who produce end products for their own personal family or household use.

The definition establishes a general class eligible for Council representation, subject to certain reporting and recordkeeping obligations, and liable for the assessment under the Order. Certain end product manufacturers are exempt from assessment. However, only those who will be liable for the assessment will be eligible to vote in the referendum.

With respect to voting in the referendum, each end product manufacturer will be allowed one vote whether such end product manufacturer is an individual, a partnership or a corporation. The principal of one "person" (as defined in the Act) one vote will apply regardless of the number of subsidiaries, affiliates or divisions a corporation may have or the number or type of end products it may produce. The interests or large end product manufacturers will be given appropriate consideration because volume of processed wheat purchased will be taken into account in the referendum as required by section 1708 of the Act.

It is intended under the Act that entities such as hotels, restaurants, institutions, etc., which produce end products on the premises where they are to be consumed by an ultimate consumer should not be subject to any obligations under the Act or the Order, and this definition so provides. Furthermore, there may be some hotels, restaurants or institutions which prepare end products at central commissaries and then distribute them to several locations (e.g., a restaurant with three or four locations in the same city which bakes end products at one central location). Such end products would not technically be "consumed on the premises" where baked. However, it is intended that the persons who produce these end products be excluded from those covered by the end product manufacturer definition since they are still clearly within the class at which the statutory exemption is aimed.

"Research" is defined to mean any type of research to advance the nutritional quality, marketability, production, or other qualities of wheat, processed wheat, or end products.

The definition is broad enough to include any type of research aimed at achieving the general objectives of the Act but narrow enough to assure projects will not go beyond the scope of those objectives.

"Nutrition education" is defined to mean any action to disseminate to the public information resulting from research concerning the economic value or nutritional benefits of wheat, processed wheat and end products.

Nutrition education activities must be based on the results of research (whether conducted by the Wheat Industry Council *or* others). They would not include promotion efforts based solely on the desirability of wheat, processed wheat or end products. Such activities, that encourage consumption for its own sake without imparting any knowledge of nutritional facts or economic value, are clearly not intended under the Act and its legislative history, and they would not be included under this definition.

"Wheat Industry Council" is defined as the administrative agency or body charged by the Act with the duty to administer the Order. The administrative agency would be composed of wheat producers, processors, end product manufacturers, and consumers appointed by the Secretary from nominations submitted by eligible producers, processors, end product manufacturer and consumer organizations.

"Person" is defined to mean any individual, partnership, corporation, association or other entity. This conforms to the definition in the Act and covers the range of possible different entities that may be subject to the order.

"Fiscal period" is defined to mean the calendar year or such other consecutive twelve-month period as the Council, with the approval of the Secretary, may determine. The Wheat Industry Council is required to submit to the Secretary, for approval, budgets on a fiscal period basis containing anticipated expenses and disbursements in the various areas expenditures are authorized.

"Eligible organization" is defined to mean any organization or association which has been certified by the Secretary pursuant to § 1280.165. There are many organizations and associations representing producers, processors, end product manufacturers and consumers throughout the U.S., both nationwide and in various specific geographical areas. The Act requires eligible organizations to carry the major responsibility for nominating members to the Council. If the Secretary determines that a substantial number of wheat producers, processors, end product manufacturers or consumers are not represented by any eligible organization, then nominations shall be submitted in a manner authorized by the Secretary. The determination of eligibility rests with the Secretary.

"Part" means 7 CFR Part 1280, containing rules, regulations, orders, supplemental orders and similar matters concerning the Act;

"Subpart" means any portion or segment of such part. These are necessary technical definitions.

"Retail baker" is defined to mean an end product manufacturer who sells end products directly to the ultimate consumer: *Provided,* That such term shall not include any end product manufacturer who derives less than ten percentum of gross end product sales revenues from sales to ultimate consumers or who derives ten percentum or more of gross food or food product sales revenues from the sale of such products manufactured or produced by others.

This definition is necessary to describe a class of persons who are exempt from payment of the assessment, from voting in the referendum on the Order, and from serving on the Council.

Retail bakers are specifically exempted from all provisions of the Act as a matter of statutory right. The effect of this exemption is to free retail bakers from all obligations under the Act. End product manufacturers which derive less than ten percent of gross end product sales revenues from sales to ultimate consumers are excluded from the definition so that wholesale bakers who do some minor retail sales will remain subject to the Act. End product manufacturers which derive ten percent or more of gross food sales revenues from sales of products manufactured or produced by others are excluded from the definition of retail bakers with the effect that volume users of processed wheat such as large chain grocery store bakery operations will remain subject to the Act.

To receive the benefit of the exemption it would only be necessary for any end product manufacturer to demonstrate to the Council, and to the Secretary if so requested: (1) That it does sell end products directly to ultimate consumers; (2) that it derives ninety percent or more of its gross end products sales revenues from sales to ultimate consumers; and (3) that it does not derive ten percent or more of its gross food or food products sales revenues from the sale of products manufactured or produced by others. It is not expected that retail bakers would

be required to prove eligibility for the exemption except in rare instances.

The 10 percent limitation concerning sales to ultimate consumers is not expected to exclude any wholesale bakers from the assessment. Most wholesale bakers operate retail stores to sell bread and other bakery foods which have passed the typical supermarket shelf-life period. The baker's goal is to recover costs of production through his "day-old bread" or "thrift store" operations. Bakery driver-salesmen retrieve the products from supermarkets after one to three days, and the bakers offer them at significantly reduced prices. But these retail activities typically account for only 2 to 3 percent of a wholesale baker's total sales and would not, in any case approach 10 percent.

Wholesale bakers participating in the program under the proposed order who operate such retail stores would not be entitled to an exemption from assessments on their retail volume.

The second 10 percent limitation excludes from the retail baker definition, and hence from the exemption, persons who derive 10 percent or more of their gross food sales revenues from the sale of foods produced by others. This statutory provision is aimed at chain store bakeries. Although the class has diminished significantly in recent years, bakeries owned and operated by chain stores and supermarkets still account for about 10 percent of sales nationally within the wholesale baking industry.

The preponderance of income for these firms is derived from retail grocery sales—sales of products produced by others. However, their baking operations can give them exclusive brands and additional profits.

Many of these chain store bakery operations are quite substantial in size. Since none of the chain stores' sales of their own bakery products even approaches 90 percent of gross food sales revenues they will be excluded from the retail baker exemption and will be subject to assessment as end product manufacturers. Chain store bakeries of small size will, however, be exempt from the assessment under the 2,000 hundredweight exemption, which will be discussed at a later point in this decision.

The definitions of: (1) "Intra-company transfers," (2) "related companies or divisions of the same company," and (3) "control" are all interrelated. "Intra-company transfers" means sales or transfers of processed wheat for use in the manufacture of end products to end product manufacturers from related companies or divisions of the same company. "Related companies or divisions" means subsidiaries, affiliates or divisions of an end product manufacturer which are controlled by, controlling, or under common control with, such end product manufacturer. "Control," including the terms "controlling," "controlled by," and "under common control with," means the possession directly or indirectly of the power to direct or cause the direction of the management and policies of any person, whether through the ownership of voting securities, by contract, or otherwise.

These three definitions are necessary to determine when the assessment vests with respect to certain end product manufacturers. They are required, due to the structure of certain segments of the wheat industry, where some diversified corporations include both processing and end product manufacture divisions or affiliates. Under this definition, the assessment will vest upon purchase of processed wheat for use in the manufacture of end products, and a "purchase" would include an "intra-company transfer." Thus, the Council will be able to determine exactly when the assessment will vest with respect to each such transfer.

The percentage of processed wheat subject to intra-company transfers is not large. Only about six wheat processor firms are also involved in end product manufacturing. In each of these firms, the two operations are maintained separate from each other and intra-company transfers are treated substantially the same by both entities as a normal purchase and sale of processed wheat. Therefore, it is not anticipated that there will be any significant problem with the reporting or recordkeeping provisions of the Order, or in calculating and remitting assessments.

"Act" is defined to provide the correct legal citation for the statute pursuant to which the Order may be put into effect and operated. The inclusion of this definition makes it unnecessary to refer to such law and statutory citation each time reference is made to the Act in the provisions of the Order. "Act" also is defined to include any amendments that may be made to the Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 et seq.).

(b) *Wheat Industry Council.* A Wheat Industry Council is established to act as the administrative body for this Order as specified in Section 1706 of the Act. It is composed of wheat producers, processors, end product manufacturers and consumers appointed by the Secretary from nominations submitted by eligible organizations. If the Secretary determines that a substantial number of wheat producers, processors, end product manufacturers or consumers are not represented by any eligible organization, then nominations shall be submitted in a manner authorized by the Secretary. Each member has an alternate to serve in th member's stead as necessary.

Membership. The Act provides for the Council to consist of "not more than" twenty members, to be divided equal among producers, processors, end product manufacturers and consumers. In view of the broad representation on the Council, and the diverse interests be represented, the Order provides for the maximum allowable Council size, i.e., twenty members, five from each segment. A Council of less than twenty members would not be able to provide adequate representation to consumers and all segments of the wheat industry.

Term of office. The term of office for Council members and their alternates is 2 years as provided in the Act. Such a period of time is necessary to permit a member to become familiar with the programs and operations of the Council and to make an effective contribution. Initial appointments shall be, proportionately, for 2 and 3 year terms, giving staggered terms for Council members so that all terms would not expire at the same time. This will help to insure continuity of program efforts and program direction.

The Order provides for continuation of a member's service until his or her successor is appointed so as to avoid gaps in Council membership and assure equal representation at all times of all four segments on the Council.

No member or alternate shall serve more than three consecutive terms in the same capacity, but service of three consecutive terms in one capacity will not disqualify any person from appointment in another capacity. Thus, persons who have served as a member can then be appointed as an alternate, and vice versa.

Certification of organizations. Any organization or association may ask the Secretary to certify its eligibility to participate in nominating members and alternates to the Council and to represent producers, processors, end product manufacturers or consumers. Eligibility will be based, in addition to other available information, upon a factual report submitted by the organization or association which shall contain information deemed relevant and specified by the Secretary for the making of such determination. The report must include information which will allow the Secretary to determine that nominating organizations or associations do represent their

respective segments of the industry or consumers. The information includes:

(1) Geographic territory covered by the organization's active membership.

(2) Nature and size of the organization's active membership, including (for non-consumer organizations) the total number of active wheat producers, processors or end product manufacturers respresented.

This is particularly significant with respect to producers. General farm organizations wishing to be certified would need to show the number of wheat producers they represent. Testimony suggested that to the extent that the same producers are also members of organizations specifically representing wheat interests, they would be better represented on the Council by such wheat organizations.

(3) The extent to which producer, processor or end product manufacturer membership, respectively, is represented in setting the organization's policies.

(4) Evidence of stability and permanence of the organization; Testimony suggested that the Council will be around for a long time and organizations wishing to be involved in the nomination of Council members should likewise be required to demonstrate their stability and permanence.

(5) Sources from which the organization's operating funds are derived;

To insure fair representation on the Council, the operating funds of any organization wishing to submit nominations should, to the extent possible come from those it represents.

(6) Functions of the organization; The functions of any nominating organization should be consistent with the purposes and goals of the Act.

(7) The organization's ability and willingness to further the aims and objectives of the Act; Testimony suggested that an organization which is not committed to these aims and objectives would certainly not be likely to produce a constructive member of the Council.

The Order states that the primary consideration in determining eligibility of a non-consumer organization shall be whether its membership consists primarily of producers, processors or end product manufacturers who produce a substantial volume of wheat, processed wheat or end products, respectively, and whether the organization is based on a primary or overriding interest in the production, processing or end manufacturing of wheat or wheat products and the nutritional attributes thereof. This requirement should insure that Council members fairly represent the interests of their particular segment of the industry.

The Order sets out the criteria for consumer organizations. They include the requirement that the primary consideration for a consumer organization shall be whether: (1) A principal purpose of the organization is to promote consumer interests, consumer research, or consumer education; (2) such organization has a broadly representative constituency of consumers, with active membership participation on a regular basis; and (3) the organization has demonstrated to the Secretary's satisfaction its commitment to the achievement of the objectives of the Act. Testimony suggested that a member nominated by an organization which opposes the objectives of the Act would be detrimental to the efficient functioning of the Council and the achievement of the Act's objectives.

Any organization or association which the Secretary finds to be eligible under this section will be certified. The Secretary's determination shall be final. Because the functions, goals and membership of any organization may change over time, organizations are required to be recertified every five years after their original certification. This will insure that the Council members they nominate will continue to be representative of their particular segment of the industry, or of consumers. Additionally, if the Secretary believes that any organization is no longer representative he may require recertification at any time.

Nominations. Orderly procedures are to be established for producer, processor, end product manufacturer and consumer organizations to submit nominations for Council members and alternates to the Secretary. If the Secretary determines that a substantial number of wheat producers, processors, and product manufacturers or consumers are not represented by eligible organizations then the Secretary will establish a procedure for obtaining nominations to represent such wheat producers, processors, end product manufacturers or consumers. It is essential that the nominations and appointments be completed in a timely fashion, but adequate time must be provided for each group to consider and select their nominees and for the Secretary to make the appointments. Following the certification of organizations and the caucusing of such organizations, nominations shall be submitted to the Secretary within a time period specified by the Secretary.

Eligible organizations may caucus to jointly nominate qualified individuals for each member and each alternate member to be appointed to the Council. If they do not caucus or if they fail to agree on nominees, each eligible organization is authorized to submit nominations for each position to be filled. If the Secretary determines that a substantial number of producers, processors, end product manufacturers or consumers are not members of or their interests are not represented by any eligible organization, the Secretary will provide a manner for such individuals to participate in the nomination process. A minimum of 60 days is necessary, after approval of the Order, to permit the Department to certify eligible organizations and for certified organizations to caucus, make their selections, and submit their nominations to the Secretary. The Secretary may prescribe a longer period if necessary.

After the initial Council has been established, nominations for subsequent appointments of Council members and alternates should be submitted sufficiently in advance to permit the Secretary to appoint the members, to inform them of their appointment, and to obtain acceptance of such appointments before the beginning of the term of office for which they are being appointed. It is necessary to make these subsequent appointments in a timely fashion in order that operations of the Council can continue without interruption when normal changes in membership of the Council occur. Therefore, submission of nominations to the Secretary for subsequent Council members and alternates shall be at least 60 days prior to the expiration of the terms of members and alternates previously appointed to the Council. Other aspects of the nomination procedures for these appointments to the Board are the same as those for nominating members and alternates to the initial Council.

In the selection of producer representatives for the Council, consideration shall be given to the selection of members that will be representative of the classes and volume of wheat produced as well as the geographic distribution of that production. Council members, representing producers, will be appointed to represent each of the following areas:

1. The Eastern States—all States east of a north-south line from the western boundary of Minnesota to the western boundary of Louisiana. This will encompass all of the Soft red winter production area and the eastern White wheat production area. It is a natural unit from the standpoint of classes of

wheat, type of farming operations, market channels, and end use interests.

2. North Dakota and South Dakota—This area embraces the unique Durum Wheat class and most of the hard red spring production. Durum is unique from the other classes because of its end uses in pasta products. The Hard red spring production area is a heavily concentrated wheat production area. In this area farming practices and marketing bases differ markedly from the Hard red winter wheat areas.

3. Kansas and Nebraska—This is a heavily concentrated portion of Hard red winter wheat production. Kansas is the leading State in the nation in wheat production. Record testimony indicates that there should be two producer representatives from Hard red winter States (one from area number 3 and one from area number 4) because the volume of production of Hard red winter is more than double that for any other class and this class of wheat is very heavily used in domestic markets.

4. Oklahoma, Texas, Montana, Wyoming, Utah, Colorado and New Mexico—This area comprises the remainder of the Hard red winter production. Its production and marketing problems are generally distinct from those of producers to the east or west. It embraces the very heart of conditions representative of the Great Plains area and much of the Rocky Mountains. Wheat production is not as concentrated as in area number three.

5. The Western States—Idaho, Washington, Oregon, California, Nevada, Arizona, Alaska, and Hawaii. This area encompasses the western White wheat production areas and the production and marketing patterns and problems of the western States. Any export marketings from this area follow different channels from those of the midwest and east. The varieties of wheat produced, farming practices, and research needs are generally different from the other areas.

The above areas represent the following percentages of 1978 wheat production: Area number one—18%; area number two—19%; area number three—22%; area number four—23% and area number five—18%.

The criteria to be used in selecting processor members for the Council include class and amount of wheat processed and geographic distribution. Different classes of wheat are used in the production of different types of end products.

The record suggests that processor representation on the Council should be determined primarily on the basis of the class of wheat processed so that the Council should include at least one individual representing processors who are major suppliers of wheat for: (1) Baked goods; (2) biscuits and crackers; (3) cereals; and (4) pasta products.

To insure that appropriate consideration is also given to volume and geographical considerations processor members should be selected so that at least one represents the eastern area (east of the Mississippi River), at least one represents the midwestern area (from the Mississippi to the Rockies) and at least one represents the far west (west of the Rockies). Further, at least one of the five should represent a processor who is in the bottom third of the industry in terms of volume of processed wheat produced, at least one should represent the middle third and at least one should represent the top third. This will assure that the interests of processors of all sizes will be adequately represented.

Although there is some overlap in these categories, i.e., one processor member might at the same time represent suppliers of processed wheat to bakers, processors in the midwestern area, and processors in the top third of the industry in terms of volume. By taking all these factors into consideration, it should be possible to provide full and fair representation of the interests of all processors.

With respect to end product manufacturers, the criteria for selecting Council members should include the generic type of end product produced by each segment of the end product industry and the percentage each such segment uses of the total processed wheat used by all segments of the industry.

Segments of the industry by generic type include: (1) Baked goods, (2) biscuits and crackers, (3) cereals, and (4) pasta products. Each of these four industry segments is well represented by a nationwide trade association. Record testimony has indicated that if each of these associations propose qualified nominees, then each of the four industry segments they represent should have at least one Council member. Since the industry segment which produces baked goods uses the largest percentage of processed wheat (45%), the baked goods segment should be represented by at least two members on the Council, with each of the other three industry segments having one Council member if they choose to submit nominations.

Criteria to be considered in the selection of consumer representatives are discussed under the prior section, entitled "Certification of organizations."

Appointment. The Order provides that the Secretary will appoint Council members and an alternate for each from nominations submitted. Written notice of their acceptance of the appointment should be submitted to the Secretary promptly by member and alternate designates.

Vacancies. The nomination and appointment procedures for individuals to fill unexpired terms when vacancies occur are the same as those specified for the normal appointment and reappointment of members and alternates. It is important that vacancies be filled promptly in order to maintain full membership and representation on the Council and a minimum of disruption. Accordingly, nominations to fill vacancies are to be submitted to the Secretary within 60 days of the time the vacancy occurs. Such a period provides a reasonable amount of time for selection of nominees. However, should a vacancy occur within 6 months of the expiration of the term of a Council member or alternate, the Secretary need not fill the vacancy.

Alternate members. Each Council member has an alternate designated to serve in the member's place as necessary. On occasions, a Council member may find it necessary to be absent from Council meetings. An alternate member should be available so that the business affairs of the Council will not be impaired. The alternate member will serve at Council meetings in the absence of the member. Also, in the event of a vacancy on the Council for any reason, the alternate will act until a successor is appointed. Alternate members do not automatically serve in place of Council members on committees and other special assignments unless specifically selected to do so by the Council. The Council is not precluded from assigning other duties to alternates in addition to their responsibility to serve in the absence of Council members. The same criteria and procedures are used for nominating and appointing alternates as those for Council members. Alternates also are limited to three consecutive terms of service as an alternate. However, nothing precludes an alternate from replacing or succeeding a member and that alternate is permitted to serve up to three consecutive terms as a Council member, without regard to the length of time served as an alternate.

Procedure. The Council should adopt bylaws governing its organization and operation. However, the method of voting in decisions of the Council and quorum requirements are specified in the Order. The presence of a majority of the members and alternates acting for members constitutes a quorum. On any vote taken by the Council, a majority of those present and voting must concur before any action can be taken.

It is necessary that the Council adopt procedures which will assure that it operates properly and efficiently and it should schedule regular meetings. However, there may be instances when it is necessary to transact routine, noncontroversial business or take rapid action at times when it would be expensive and unnecessary to call an assembled meeting. Therefore, the Council is authorized to vote by telephone, or other means of communication in such instances. However, any such vote by telephone shall be confirmed promptly in writing. The Council should have authority to determine when it will be necessary to transact business without calling an assembled meeting.

Compensation. Council members and alternates serve without compensation, but it is appropriate that members and alternates be reimbursed for necessary and reasonable expenses incurred when performing authorized Council business. The Council, with the approval of the Secretary, shall set standard procedures governing reimbursement, including the forms to be used, receipts or other documentation required, and the limits of reasonable expenses.

Powers. The Council must have the powers specified in Section 1706 of the Act (7 U.S.C. 3405) in order to effectively provide administrative direction of the program. The Council has the power to administer all terms and provisions of the Order and carry out the plans and programs authorized by the Act. The Council is empowered to develop rules and regulations necessary for implementing and operating the program, such rules and regulations issued by the Secretary under the authority of the Act and published in the Code of Federal Regulations shall have the force and effect of law. Such rules and regulations are necessary to set the procedures under which the Council exercises its responsibilities. They will govern the method of collecting assessments, the refund procedures, the actions to be taken to implement specific programs, the records that must be kept by end product manufacturers and processors, and the related provisions necessary to meet the requirements of the Order.

Violations of the rules and regulations issued pursuant to the Order may occur and the Council has the power to investigate alleged violations. Procedures established for handling such violations should assure fair and equitable treatment in all instances. The Council should take all reasonable steps to settle violations and in the event that settlement cannot be reached, report violations, with documentation, to the Secretary for appropriate action.

Problems may arise or conditions may change within the industry that would necessitate amendments to the Order. The Council should maintain regular surveillance of the need for amendments and should exercise the power to recommend amendments of the Order to the Secretary when it deems that such action is necessary.

Duties. The duties of the Council as set forth in the Order are necessary for the discharge of its responsibilities. The stated duties provide authority and guidance concerning many details common to the operation of an administrative entity such as the Council. They include the duty to meet and organize, elect officers, and establish committees and subcommittees of Council members as necessary to handle the affairs of the Council. Bylaws should be adopted governing the conduct of business by the Council. The Council also has authority to appoint advisory committees, which would include persons who are not members of the Council, in order to gain added advice and counsel on problems, procedures, and progams. Such committees can act in an advisory position only; final decisions and actions are reserved to the Council, and only the Council may take action authorizing the expenditure of funds. The Council has the authority to reimburse advisory committee members for travel and other expenses arising from their assigments.

The Order provides that the Council may appoint an executive committee of not less than four nor more than eight members to administer the terms of the Order under the direction of the Council and within policies determined by the Council. An executive committee is not required, but may be appointed if the Council believes it to be necessary or appropriate. The option to appoint an executive committee gives the Council needed flexibility in its operating procedures. However, because of the diversity of membership on the Council, record testimony indicates that any executive committee appointed have at least one member from each of the four groups represented on the Council.

The Act provides that the Wheat Industry Council shall have the authority to employ staff members, specifying their duties and compensation, and to administer the provisions of the Order. The Council should establish and maintain an effective managerial team composed of Council members and the administrative staff of the Council.

A major duty of the Council is the development of plans and programs to implement the Order. The Council has authority to initiate contracts or agreements with other organizations to conduct program activities. Contractors are required to provide plans for each project or program, outline procedures to be followed, and submit a detailed estimate of the costs. Further, contractors are required to keep adequate records and submit regular reports of their activitives on a project showing progress made, disbursement of funds, and any other relevant information required by the Council or the Secretary. Contracts and agreements of the Council may become effective only upon approval of the Secretary. In addition to contracting with others, the Council has authority to conduct program activities on its own if such an approach can be shown to be more effective or efficient in furthering the purposes of the Act and Order.

The Council shall prepare a budget of its anticipated income and expenses each fiscal period and submit it to the Secretary for approval. The Secretary should specify the date for submission of the budget for approval, allowing adequate time for review prior to the beginning of the fiscal period. In addition to income and expenses, the budget statement should include a description of program plans, the distribution of anticipated expenses for each major program category, the estimated cost for administration, and detailed justification of the plans.

Each budget should also include a brief general description of the proposed research and nutrition education programs. This general description will be included with the summary of the budget, as approved by the Secretary, which must be published in the **Federal Register**.

Other duties of the Council outlined in the Order are those necessary to assure that it operates in a businesslike fashion. They involve requirements for maintaining records and submitting reports of activities as required by the Secretary, making annual reports of activities to producers, processors, end product manufacturers and the public, accounting for funds received and expended each fiscal period, and initiating an annual audit of its financial status by an outside party. Further, the Council is required to give the Secretary the same notice of meetings as is given Council members and to provide any other information pertaining to the Order which the Secretary requests.

(c) *Programs and Projects.* The Council has the authority to determine the type of research, nutrition education,

and consumer information projects to be undertaken, and it is charged with the responsibility of initiating and recommending to the Secretary the establishment of such projects as are authorized by the Act. The projects and programs should be designed to improve and enhance the quality and make the most efficient use of American wheat, processed wheat and wheat end products. The authority is broad and flexible to enable the Council to use the most efficient and effective methods of carrying out the purposes of the Act. Emphasis should be placed on developing a coordinated national program, with activities designed to complement the efforts of groups, organizations, or agencies which are currently engaged in research and information activities.

The Council has the authority to recommend programs designed to expand sales in foreign markets for wheat, process wheat and wheat end products. This area of activity should include steps to increase sales to present overseas customers as well as to develop new outlets and tailor products to their needs. Cooperative efforts with existing programs of this nature conducted by Federal and State governments and private interests may prove to be an effective approach.

Programs or projects conducted by the Council shall be periodically reviewed to determine if each such plan or project contributes to an effective and coordinated program of research, information, and education. Upon such review the Council shall terminate any program or project which it determines does not further the purpose of Act.

The provision of the Order and Act that no programs or projects shall make any reference to private brand names of wheat based products is necessary to avoid discrimination. The Council represents all interests in the industry and therefore must be fair to all segments and elements of the wheat and wheat foods industry. Prohibition of the use of false or unwarranted claims in behalf of wheat or wheat based products or false or unwarranted statements with respect to the attributes or uses of competing products is also necessary for proper administration of the Order.

An economically viable wheat and wheat based foods industry is clearly in the public interest. Maintenance and expansion of existing markets and the development of new markets, both at home and abroad, are essential if the wheat and wheat based foods industry is to be healthy enough to supply the needs of consumers. Therefore, the Order provides the necessary authorizations for research and information designed to accomplish this objective. It enables the Council to undertake production research, marketing research, product or market research, and other research designed to improve efficiency throughout the production and marketing chain from the earliest stages of production up to the time the product reaches the consumer. In addition, information derived from research and other factual information would be made available to producers, processors, end product manufacturers and consumers.

The Council may either perform research or information work within its own organization, or it may contract for such research, education, and consumer information projects and programs with public and private research agencies which are capable of performing the work needed. While the projects and programs must be submitted to the Secretary for approval, it is recognized that study and planning may be involved in the development of such activities. Therefore, reasonable expenses which may be incurred by the Council in connection with such development should be authorized as part of the annual plan or budget even though prior to the time such projects are submitted.

(d) *Assessments, Refunds, Expenses.* The Act provides that each end product manufacturer, excluding retail bakers and those using less than 2000 hundredweight of processed wheat per year, shall pay to the Council, pursuant to regulations, an assessment based on the number of hundredweights of processed wheat purchased, including intra-company transfers of processed wheat with respect to which no assessment has been paid or scheduled for payment, for use in the manufacture of end products. Additionally, the Act authorizes the Secretary to exempt specified categories of end products from assessment under the order. End products in which wheat is a characterizing or major ingredient are subject to assessment and end products in which wheat is not a characterizing or major ingredient are exempt from assessment under the Order.

Table A. below, identifies end products in the Standard Industrial Classification code in which wheat is a characterizing or major ingredient. This list includes end products subject to assessment under the Order. The Council, with approval of the Secretary, may revise the list as needed. Table B, below, identifies many, but not necessarily all, of the end products in the Standard Industrial Classification code in which processed wheat is a minor ingredient but is not a characterizing or major ingredient. End products listed in Table B, and any other end products, subsequently identified, which contain processed wheat as minor ingredient but not as a characteristic or major ingredient will be exempt from assessment under the Order and will not be considered "end products" for the purpose of weighted referendum voting.

Table A. List of wheat end products included within the "end product" definition of § 1280.103, of the Wheat and Wheat Foods Research and Nutrition Education Order, which are subject to the assessment established under § 1280.151.

SIC No.	
2032	Macaroni, canned
	Ravioli, canned
	Spaghetti, canned
2038	Baked goods, frozen
	Pies, frozen (except meat)
	Pizza, frozen
	Spaghetti and meat balls, frozen
	Waffles, frozen
2041	Dough, biscuit: canned
	Doughs, refrigerated
2043	Breakfast foods, cereal (wheat based)
	Wheat flakes
2045	Dough, biscuit: Canned
	Doughs, refrigerated
2051	Bagels
	Bakery products, partially cooked, except frozen (frozen are included in SIC No. 2038)
	Bakery products, "perishable": Bread, cakes, doughnuts, pastries, etc. (including croutons)
	Biscuits, baked: Baking powder and raised
	Bread, brown: Boston and other—canned
	Buns (bakery products)
	Charlotte Russe (bakery products)
	Crullers
	Knishes
	Pastries: Danish, French, etc.
	Pies, except meat pies
	Rolls (bakery products)
	Sponge goods (bakery products)
	Sweet yeast goods
2052	Bakery products, "dry": biscuits, crackers, pretzels, etc.
	Biscuits, baked: Dry, except baking powder and raised biscuit (which are included in SIC No. 2051)
	Cookies
	Crackers: Graham, soda, etc.
	Saltines
	Zwieback, machine-made
2098	Macaroni and products, dry: Including alphabets, rings, seashells, etc.
	Noodles: Egg, plain and water
	Spaghetti, except canned (canned is included in SIC No. 2032)
	Vermicelli
2099	Pizza, refrigerated, except frozen (frozen is included in SIC No. 2038)

Table B. List of wheat end products which could technically be included in the "end product" definition, but which will be exempted under rules issued pursuant to § 1280.151 (a)(2) of the Order, and § 1705(d) and § 1716 of the Act.

SIC No.	
2032	Meat pies, canned
2034	Soup mixes and powders
2035	Sauces
2038	Frozen dinners
2052	Cones, ice cream
2085	Distilled, Rectified, and Blended Liquors

The rate of assessment may not exceed the statutory maximum of five cents per hundredweight of processed wheat purchased or transferred. Further, section 1280.151 of the Order specifies that assessments may not exceed one cent per hundredweight during the first 2 years that assessments are collected. The Council may recommend changes in the rate of assessment subject to approval by the Secretary.

The Wheat Industry Council is authorized to set aside funds in an operating reserve and to budget for such a reserve. Such a reserve will allow the Council to meet expenses already committed to in the event that the amount of assessments should decrease unexpectedly. The size of the reserve should be determined by the Council, with the approval of the Secretary, on the basis of the level of assessments being received, and the existing liabilities and anticipated expenses.

The recommended decision inadvertently omitted a discussion of hearing testimony that proposed an amendment to the Order that would permit end product manufacturers not wishing to participate in the program to request exemption from assessment rather than to request a refund of the assessment as provided for in the Act and the Order. In hearing testimony proponents of the Order cited legislative authority and program need as reasons for all end product manufacturers to participate in the program subject to the referendum and refund provisions of the Act. Additionally, producers, processors, other end product manufacturers and the labor union representing end product manufacturers' employees were opposed to the proposed amendment. Since the assessment and refund provisons of the Order are exactly as provided in the Act, the proposed amendment must be rejected because it would not be in keeping with the statutory framework and legislative intent of Congress.

Refunds. Assessments are to be paid by end product manufacturers. There are relatively few such firms, in comparison with the numbers of producers who have been subject to assessments under other research and education orders, and some of these firms are extremely large. Obviously, one very large end product manufacturer unexpectedly requesting a refund of its assessments could cripple ongoing plans and projects undertaken in expectation of receiving such assessments. Therefore, the Order provides for a refund election procedure. Under such procedure, end product manufacturers will have a 60-day period from the date of publication of the summary of the Council budget, to elect to reserve the right to seek refunds. Only those end product manufacturers making such an election shall be eligible for refunds of assessments paid during the one year period immediately following the 60-day election period.

In practice, the initial budget summary would be published 60 days prior to the date on which the obligation to pay assessments will vest. All end product manufacturers not reserving the right to request refunds during this 60-day period would be committed to pay assessments for the first year of the program. Thereafter, a summary of each year's budget would be published 60 days before the beginning of each succeeding year of the program.

The budget summary would include a brief general description of the proposed research and nutrition education programs contemplated. The description should be sufficient to allow end product manufacturers to evaluate the Council's proposed program and make a considered decision on whether to elect to reserve the right to seek refunds.

A similar election period and procedure would apply with respect to amendments to the budget. However, this provision would be interpreted to require a summary of budget amendments to be published only in the case of amendments so significant as to substantially change the nature of the ongoing plans or projects upon which the most recent refund election was based. This is essential to avoid the confusion and severe administrative burden on the Council that would result from publication of a new budget summary, and initiation of a new refund election period, on the basis of every minor change in the budget. If, however, there were a change in the Council's priorities of the magnitude described, a description of the budget amendments entailed by such change would be published. All persons subject to the assessment would thereafter have 60 days within which to make the election.

In order to avoid confusion if such a mid-year budget amendment is published, the Order provides that an election made on the basis of a budget amendment shall apply only until the end of the one year period then in effect with respect to the annual budget.

End product manufacturers will have an opportunity to make a further election based on the publication of the summary of the next annual budget. This procedure will carry out the intent of the Act in allowing end product manufacturers to make an informed decision on whether to reserve the right to seek refunds. And it will give them the necessary information upon which to base this decision. However, it will avoid the confusion and additional administrative expense that could otherwise result from overlapping refund eligibility periods due to a change in priorities in the middle of a budget year.

The Order allows end product manufacturers who have paid an assessment and reserved the right to seek a refund, to demand and receive from the Council a refund of assessments they have paid. The refund procedure, in combination with the obligations to describe proposed plans, and projects to end product manufacturers 60 days in advance of the initiation of assessments for each budget year, should provide a good check to insure that the Council plans its activities, and spends assessments, wisely. As provided in the Act, the demand for the refund shall be made by end product manufacturers, in accordance with regulations, and on a form and within a time period, prescribed by the Council and approved by the Secretary. It will also require submission of proof satisfactory to the Council that the end product manufacturer paid the assessment. Any such refund shall be made within 60 days after demand is received.

An exception was filed recommending that the refund election procedure in the order be changed to permit end product manufacturers to make a one time election to reserve their right to seek a refund rather than annual elections to reserve their refund rights as specified in the Order. This exceptor asserted that this change in the refund election procedure would simplify the procedure by eliminating the need to reserve the right to seek a refund on an annual basis. Since the refund provisions of the Order are exactly as provided in the Act, the recommendation must be rejected because it would not be in keeping with the statutory framework and legislative intent of Congress.

Expenses. Council expenses shall be paid from assessments received and any other funds which accrue to the Council. The Council may incur expenses which are found by the Secretary to be reasonable for the functioning and maintenance of the Council and necessary for the Council to exercise its powers and duties.

The Act and its legislative history make it clear that the expenses of the Council shall include reimbursement by the Council to the Secretary for such expenses as the Secretary determines were incurred by the government in preparation of an original order and for the conduct of the referendum and, subsequently, for all administrative costs, including salaries, which the

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Secretary determines are incurred by the government under the approved Order.

(e) *Records and Reports.* The Act imposes requirements on end product manufacturers to keep records and make such reports as necessary to the effectuation, administration, and enforcement of the Act and the Order or regulations issued pursuant to the Order. The Council has authority, with approval of the Secretary, to establish regulations requiring end product manufacturers to keep necessary books and records and to report to the Council periodically as the Council determines is necessary. Details on the information needed in records and reports and the frequency and timing of reports are to be established by the Council and shown in the regulations. Record evidence indicates some concern that unduly burdensome requirements may be imposed on end product manufacturers. It was suggested that existing records systems of the industry should be utilized to the extent possible, and the Council should be cognizant of this recommendation when formulating regulations for approval by the Secretary.

All books and records required under the regulations must be made available by end product manufacturers for inspection by representatives of the Council or the Secretary as necessary to verify reports on assessments made and forwarded to the Council. These records are to be retained at least two years beyond the fiscal year of their applicability. Such a time period is necessary to permit the completion of authorized audits, investigations, or other actions that may be necessary in administering and enforcing the provisions of the Order and the Act.

An exceptor expressed concern that confidential information available to the Wheat Industry Council might become available to competitors. The Secretary determines that such concerns are justified. In order to strengthen the confidentiality provisions of the Act and the Order the following paragraph has been revised and a paragraph has been added to this section. Additionally, § 1280.162 of the Order has been revised.

Representatives of the Council or the Secretary, while acting in their official capacities, on occasion are likely to have access to records and accounts of end product manufacturers, processors and distributors of processed wheat, and others which may reveal trade secrets or have competitive value. The Act requires that the confidential nature of such business records be protected. Regulations to be recommended by the Council and approved by the Secretary should specifically prohibit Council members from having access to confidential information that may reveal trade secrets or have competitive value. Only those persons having a specific need for such information in order to effectively administer the provisions of the Order shall have access to such information. The Order provides that information obtained from books, records, and reports required of end product manufacturers and information about refunds made to end product manufacturers, shall be kept confidential by the Council and by employees of the Council and of the Department of Agriculture.

Also, any such information which becomes available to contracting parties shall be kept confidential by officers and employees of such parties. However, the Secretary retains the authority to permit disclosure of such information, but only in a suit or administrative hearing relevant to the Order brought at the direction, or upon the request, of the Secretary of Agriculture, or to which any officer of the United States is a party.

It should be recognized that some information about the program may be of interest and benefit to the general public. Accordingly, the Order does not prohibit (1) the issuance of general statements concerning the number of persons subject to the Order or statistical data collected which do not identify the information furnished by any person; (2) the publication, as approved by the Secretary, of general statements relating to refunds made by the Wheat Industry Council which do not identify any person to whom a refund is made; or (3) the publication by direction of the Secretary of the name of any person violating the Order, together with a statement of the provisions of the Order violated.

The Act provides that any officer or employee of the Department, the Council, or a contracting agency violating these confidential provisions shall, upon conviction, be subject to a fine of not more than $1,000 or to imprisonment for not more than one year, or both, and if an officer or employee of the Council or Department shall be removed from office.

(f) *Other Terms and Conditions.* The record shows a need for several other miscellaneous terms and conditions as shown in §§ 1280.166 through 1280.172 of the Order. Each section sets forth certain rights, obligations, privileges, or procedures which are necessary and appropriate for the effective operation of the Order. These provisions are incidental to, and not inconsistent with, the terms and conditions of the Act, are necessary to effectuate the other provisions of the Order, and are supported by the record evidence.

Rulings on Briefs, Proposed Findings, and Conclusions

At the close of the hearing, the Administrative Law Judge fixed April 24, 1979, as the final date for interested parties to file briefs, proposed findings, and conclusions based on the evidence received at the hearing. One brief was filed on behalf of the Wheat and Wheat Foods Foundation by Donald H. Heitman, Attorney, Wheat and Wheat Foods Foundation, Washington, D.C.

The brief reiterated points made by witnesses at the hearing. The points in the brief were carefully considered along with the record evidence received at the hearing in making the findings and conclusions set forth herein as discussed in this decision. To the extent that the suggested findings and conclusions are inconsistent with the findings and conclusions as set forth herein, requests to make such findings or reach such conclusions are denied for the reasons previously cited in this decision.

Rulings on Exceptions

In arriving at the findings and conclusions of this decision, all exceptions to the recommended decision were carefully and fully considered in conjunction with other record evidence. To the extent that the findings and conclusions are at variance with any of the exceptions, such exceptions are overruled.

General Findings

On the basis of the evidence presented at the hearing and the record thereof, it is found that:

1. The Wheat and Wheat Foods Research and Nutrition Education Order and all of the terms and conditions thereof as hereinafter set forth will tend to effectuate the declared policy of the Act; and

2. The following terms and conditions of the Order are a detailed means of carrying out the declared policy of the Act with respect to the development of effective and continuous coordinated programs of research and nutrition education for wheat, processed wheat and wheat end products with adequate financing through assessments on the purchase of processed wheat.

Wheat and Wheat Foods Research and Nutrition Education Order

It is determined that the detailed and appropriate means of effectuating the foregoing conclusions is the Wheat and Wheat Foods Research and Nutrition Education Order which follows. However, this Order shall not become effective unless approved in a referendum of end product manufacturers as provided in Section 1708 of the Act and in § 1280.16 of the Rules of Practice and Procedure Governing Proceedings to Formulate an Order (7 CFR Part 1280).

If approved in referendum of end product manufacturers a new subpart would be added to Part 1280 of Title 7 of the Code of Federal Regulations as follows:

Part 1280—WHEAT AND WHEAT FOODS RESEARCH AND NUTRITION EDUCATION

Subpart—Wheat and Wheat Foods Research and Nutrition Education Order

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1280.160 Reports.
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Authority: Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 et seq.).

Definitions

§ 1280.101 Wheat.

"Wheat" means all classes of wheat grains grown in the United States.

§ 1280.102 Processed wheat.

"Processed wheat" means the wheat-derived content of any substance (such as cake mix or flour) produced for use as an ingredient of an end product by changing wheat grown within the United States in form or character by any mechanical, chemical, or other means.

§ 1280.103 End product.

"End product" means any product which contains processed wheat as an ingredient and which is intended, as produced, for consumption as human food, notwithstanding any additional incidental preparation which may be necessary by the ultimate consumer.

§ 1280.104 Wheat producer.

"Wheat producer" means any person who grows wheat within the United States for market.

§ 1280.105 Processor.

"Processor" means any person who commercially produces processed wheat within the United States.

§ 1280.106 End product manufacturer.

"End product manufacturer" means any person who commercially produces an end product within the United States, but such term shall not include such persons to the extent that they produce end products on the premises where such end products are to be consumed by an ultimate consumer, including, but not limited to, hotels, restaurants, and institutions, nor shall such term include persons who produce end products for their own personal, family, or household use.

§ 1280.107 Research.

"Research" means any type of research to advance the nutritional quality, marketability, production, or other qualities of wheat, processed wheat, or end products.

§ 1280.108 Nutrition education.

"Nutrition education" means any action to disseminate to the public information resulting from research concerning the economic value or nutritional benefits of wheat, processed wheat, and end products.

§ 1280.109 Wheat Industry Council or Council.

"Wheat Industry Council" or "Council" means the administrative body established pursuant to § 1280.130.

§ 1280.110 Department.

"Department" means the United States Department of Agriculture.

§ 1280.111 Secretary.

"Secretary" means the Secretary of Agriculture of the United States or any other officer or employee of the Department to whom there has heretofore been delegated, or to whom there may hereafter be delegated, the authority to act in the Secretary's stead.

§ 1280.112 Person.

"Person" means any individual, partnership, corporation, association or other entity.

§ 1280.113 United States.

"United States" means the several States and the District of Columbia, including any territory or possession.

§ 1280.114 Fiscal period.

"Fiscal period" means the calendar year or such other period as the Council may determine.

§ 1280.115 Eligible organization.

"Eligible organization" means any organization or association which has been certified by the Secretary pursuant to § 1280.165.

§ 1280.116 Representative of wheat producers.

"Representative of wheat producers" means a wheat producer, the owner, officer, or employee of a producer, or an officer, or employee of an organization or association representing wheat producers certified under § 1280.165.

§ 1280.117 Representative of processors.

"Representative of processors" means a processor, the owner, officer, or employee of a processor, or an officer, or employee of an organization or association representing processors certified under § 1280.165.

§ 1280.118 Representative of end product manufacturers.

"Representative of end product manufacturers" means an end product manufacturer, the owner, officer, or employee of an end product manufacturer, or an officer or employee of an organization or association representing end product manufacturers certified under § 1280.165.

§ 1280.119 Representative of consumers.

"Representative of consumers" means a consumer, or an officer or employee of an organization or association representing consumers certified under § 1280.165.

§ 1280.120 Part and subpart.

"Part" means 7 CFR Part 1280, containing rules, regulations, orders, supplemental orders and similar matters concerning the Wheat and Wheat Foods Research and Nutrition Education Act. "Subpart" means any portion or segment of such part.

§ 1280.121 Retail baker.

"Retail baker" means an end product manufacturer who sells end products directly to the ultimate consumer: *Provided,* That such term shall not include any end product manufacturer who derives less than 10 percentum of gross end product sales revenues from sales to ultimate consumers or who derives 10 percentum or more of gross food or food product sales revenue from the sale of such products manufactured or produced by others.

§ 1280.122 Intra-company transfers.

"Intra-company transfers" means sales or transfers of processed wheat for use in the manufacture of end products to end product manufacturers from related companies or divisions of the same company.

§ 1280.123 Related companies or divisions of the same company.

"Related companies or divisions of the same company" means subsidiaries, affiliates, or divisions of an end product manufacturer which are controlled by, controlling, or under common control with, such end product manufacturer.

§ 1280.124 Control.

"Control", including the terms "controlling", "controlled by", and "under common control with", means the possession, directly or indirectly, of the power to direct or cause the direction of the management and policies of any person, whether through the ownership of voting securities, by contract, or otherwise.

§ 1280.125 Act.

"Act" means the Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 et. seq.] and any amendments thereto.

§ 1280.126 Plans and projects.

"Plans and projects" means those research and nutrition education plans, studies or projects pursuant to § 1280.145.

Wheat Industry Council

§ 1280.130 Establishment and membership.

There is hereby established a Wheat Industry Council of twenty members, each of whom shall have a specific alternate. The Council shall be composed equally of representatives of wheat producers, processors, end product manufacturers and consumers, appointed by the Secretary from nominations submitted by eligible organizations certified pursuant to § 1280.165, or from nominations in a manner authorized by the Secretary pursuant to § 1280.132(a).

§ 1280.131 Term of office.

The members of the Council and their alternates shall serve for terms of two years, except appointments to the initial Council shall be proportionately for terms of two and three years. Each member and altenrnate member shall continue to serve until his successor is appointed by the Secretary and has accepted the position. No member or alternate shall serve more than three consecutive terms in such capacity, but service of three consecutive terms in one capacity will not disqualify any person from appointment in another capacity.

§ 1280.132 Nominations.

All nominations authorized under § 1280.130 shall be made in the following manner:

(a) Within 60 days after approval of this Order by referendum, or such other period as determined by the Secretary, nominations shall be obtained by the Secretary as specified in paragraph (d) of this section from eligible organizations or associations certified pursuant to § 1280.165. However, if the Secretary determines that a substantial number of wheat producers, processors, end product manufacturers or consumers are not members of, or their interests are not represented by, any such eligible organizations or associations, then nominations shall be submitted by such wheat producers, processors, end product manufacturers and consumers in a manner authorized by the Secretary;

(b) After the establishment of the initial Council, the Department shall announce when a vacancy does or will exist. Nominations for subsequent Council members and alternates shall be submitted to the Secretary not less than sixty days prior to the expiration of the terms of the members and alternates whose terms are expiring;

(c) Where there is more than one eligible organization or association representing wheat producers, processors, or end product manufacturers within any geographic area, or within any segment of the wheat producing, processing, or end product manufacturing industry, they may caucus for the purpose of jointly nominating two or more qualified persons for each member and for each alternate member to be appointed. If joint agreement is not reached with respect to any such nominations, or if no caucus is held, each eligible organization or association may submit to the Secretary two or more nominations for each appointment to be made;

(d) In making nominations for such members and their alternates, factors such as those listed below shall be considered in determining equitable representation on the Council:

(1) For wheat producers—class and volume of wheat produced and geographic distributions;

(2) For processors—class of wheat processed, amount of wheat processed and geographic distribution;

(3) For end product manufacturers—the generic type of end product produced by each segment of the end product industry (baked goods, biscuits and crackers, cereals, pasta products) and the percentage each such segment uses of the total processed wheat used by all such segments of the end product industry; and

(4) For consumers—the factors set out in § 1280.165.

§ 1280.133 Appointment.

From the nominations made pursuant to § 1280.132, the Secretary shall appoint the members of the Council, and an alternate for each such member, on the basis of representations provided for in §§ 1280.130, 1280.131 and 1280.132.

§ 1280.134 Acceptance.

Any person appointed by the Secretary as a member, or as an alternate member, of the Council shall file a written acceptance with the Secretary within a period of time prescribed by the Secretary.

§ 1280.135 Vacancies.

To fill any vacancy occasioned by the death, removal, resignation, or disqualification of any member or alternate member of the Council, a successor for the unexpired term of such member or alternate member shall be nominated, and appointed in the manner specified in §§ 1280.130, 1280.132(b)(c)(d), 1280.133 and 1280.134, except that replacement of a Council member, or alternate, with an unexpired term of less than six months is not necessary.

§ 1280.136 Alternate members.

An alternate member of the Council, shall act in the place and stead of the member for whom he or she is the alternate during the absence of such member and shall perform such other duties as assigned. In the event of the death, removal, resignation, or disqualification of a member, his alternate shall act for him until a successor for such member is appointed and has accepted the position.

§ 1280.137 Procedure.

(a) A majority of the members, including alternates acting for members of the Council, shall constitute a quorum, and any action of the Council shall require the concurring votes of at least a majority of those voting.

(b) For routine and non-controversial matters which do not require deliberation and exchange of views, and in matters of an emergency nature when there is not enough time to call an assembled meeting of the Council, the Council may take action upon the concurring votes of a majority of its members by mail, telephone, or telegraph, but any such action by telephone shall be confirmed promptly in writing.

§ 1280.138 Compensation and reimbursement.

The members of the Council and alternates shall serve without compensation but shall be reimbursed for necessary and reasonable expenses, as approved by the Council, incurred by them in the performance of their duties under this subpart.

§ 1280.139 Powers of the Council.

The Council shall have the following powers:

(a) To administer the provisions of this subpart in accordance with its terms and provisions;

(b) To make rules and regulations to effectuate the terms and provisions of this subpart;

(c) To receive, investigate, and report to the Secretary compliants of violations of the provisions of this subpart; and

(d) To recommend to the Secretary amendments to this subpart.

§ 1280.140 Duties.

The Council shall have the following duties.

(a) To meet and organize and to select from among its members a chairman and such other officers as may be necessary, to select committees and subcommittess of Council members, and to adopt such rules for the conduct of its business as it may deem advisable. The Council may also establish advisory committees of persons other than Council members and pay the necessary and reasonable expenses of the members of such committees;

(b) To appoint from its members an executive committee consisting of not less than 4 nor more than 8 members, and to delegate to the committee authority to administer the terms and provisons of this subpart under the direction of the Council and within the policies determined by the Council, if such a committee is believed to be necessary or appropriate, and to appoint or employ such persons as it may deem necessary and define the duties and determine the compensation of each;

(c) To develop and submit to the Secretary for approval, research plans or projects and nutrition education plans or projects resulting from research conducted either by the Council or others;

(d) To prepare and submit to the Secretary for approval, budgets on a fiscal period basis of its anticipated expenses and disbursements in the administration of this subpart, including probable costs of research and nutrition education plans or projects, and also including a general description of the proposed research and nutrition education programs contemplated therein;

(e) To prepare a summary of the annual budget, or amendments thereto, including a brief general description of the proposed research and nutrition education programs contemplated therein, which shall, upon approval, be published promptly in the Federal Register.

(f) To maintain such books and records, which shall be available to the Secretary for inspection and audit, and prepare and submit such reports from time to time, to the Secretary, as the Secretary may prescribe, and to make appropriate accounting with respect to the receipt and disbursement of all funds entrusted to it;

(g) With the approval of the Secretary, to enter into contracts or agreements for the development and conduct of the activities authorized under § 1280.145 of this subpart and for the payment of the cost thereof with funds collected through the assessments pursuant to § 1280.151. Any such contract or agreement shall provide that: (1) The contractors shall develop and submit to the Council a plan or project together with a budget or budgets which shall show the estimated cost to be incurred for such plan or project; (2) any such plan or project shall become effective upon approval of the Secretary; and (3) the contracting party shall keep accurate records of all of its transactions and make periodic reports to the Council of activities conducted and an accounting for funds received and expended, and such other reports as the Secretary may require;

(h) With the approval of the Secretary, to invest, pending disbursement pursuant to a plan or project, funds collected through assessments authorized under § 1280.151 in, and only in, obligations of the United States or any agency thereof, in general obligations of any State or any political subdivision thereof, in any interest-bearing account or certificate of deposit of a bank which is a member of the Federal Reserve System, or in obligations fully guaranteed as to principal and interest by the United States;

(i) To prepare and make public, at least annually, a report of its activities carried out and an accounting for funds received and expended;

(j) To cause its books to be audited by a certified public accountant at least once each fiscal period and at such other times as the Secretary may request, and submit a copy of each such audit to the Secretary;

(k) To give the Secretary the same notice of meetings of the Council as is given to members in order that the Secretary or representative of the Secretary may attend such meetings; and

(l) To submit to the Secretary such information pursuant to this subpart as may be requested.

Research and Nutrition Education

§ 1280.145 Research and nutrition education.

The Council shall develop and submit to the Secretary for approval any plans or projects authorized in this section. Such plans or projects shall provide for:

(a) The establishment, issuance, effectuation, and administration of appropriate plans or projects for

nutrition education, both within the United States and in international markets, with respect to wheat, processed wheat, and end products;

(b) The establishment and conduct of research or studies with respect to sale, distribution, marketing, utilization or production of wheat, processed wheat, and end products and the creation of new products thereof to the end that marketing and utilization of wheat, processed wheat, and end products may be encouraged, expanded, improved, or made more acceptable;

(c) Each plan or project authorized under paragraph (a) or (b) of this section shall be periodically reviewed or evaluated by the Council to insure that each such plan or project contributes to an effective coordinated program of research and nutrition education. If it is found by the Council that any such plan or project does not further the purposes of the Act, then the Council shall terminate such plan or project; and

(d) In carrying out any plan or project, no reference to a private brand or trade name shall be made unless the Secretary determines that such reference will not result in undue discrimination against wheat, processed wheat or end products of other persons. No such plans or projects shall make use of unfair or deceptive acts or practices with respect to the quality, value or use of any competing product.

Expenses and Assessments

§ 1280.150 Expenses.

(a) The Council is authorized to incur such expenses (including provision for a reasonable reserve), as the Secretary finds are reasonable and likely to be incurred by the Council for its maintenance and functioning and to enable it to exercise its powers and perform its duties in accordance with the provisions of this subpart. Such expenses shall be paid from assessments received pursuant to § 1280.151.

(b) The Council shall reimburse the Secretary, from assessments, for all the expenses and expenditures, including any referendum and administrative costs incurred by the Secretary under the Act, as the Secretary finds are reasonable and likely to be incurred under this subpart during any period specified by the Secretary.

§ 1280.151 Assessments.

(a) Each end product manufacturer shall pay to the Council, pursuant to regulations recommended by the Council and approved by the Secretary, an assessment based on the number of hundredweights of processed wheat purchased, including intra-company transfers of processed wheat with respect to which no assessment has been paid or scheduled for payment, for use in the manufacture of end products, from processors, distributors, or (in the case of such intra-company transfers) related companies or divisions of the same company: *Provided,* That no person, including any end product manufacturer who makes intra-company transfers, shall be required to pay more than one assessment with respect to the same processed wheat, whether or not such processed wheat is further processed by such person: *And provided further,* That the following end product manufacturers shall be exempt from such assessment:

(1) Retail bakers, as defined in § 1280.121, including any end product manufacturer who does not purchase more than 2,000 hundredweights of processed wheat per year for use in the manufacture of end products: *Provided,* That any person exempted under this subparagraph may waive such exemption, upon application to and approval by the Council, and thereafter will be treated as a non-exempt end product manufacturer under this subpart unless and until such person requests that such exemption be reinstated.

(2) End product manufacturers who manufacture specified end products, or types or categories thereof, which are exempted under rules or regulations issued pursuant to § 1716 of the Act to the extent of the processed wheat they purchase for use in the manufacture of such exempted products.

(b) The Council, with the approval of the Secretary, shall set the amount of the assessment, not to exceed five cents per hundredweight of processed wheat purchased or transferred: *Provided, however,* That the assessment rate for the first two years shall not exceed one cent per hundredweight.

(c) In order to enable end product manufacturers to calculate the amount of processed wheat they have purchased, persons selling or transferring processed wheat in combination with other ingredients to such end product manufacturers for use in the manufacture of end products shall disclose to such end product manufacturers the amount or proportion of processed wheat contained in such products, plus or minus 3 per centum.

(d) End product manufacturers shall remit assessments to the Council at such times and in such manner as prescribed by regulations, but in no case shall assessments be required to be remitted more often than quarterly.

§ 1280.152 Refunds.

(a) Subsequent to the publication of the summary of the Council budget, or amendments thereto, provided for under § 1280.140(e), all end product manufacturers not exempt from the assessments under § 1280.151 shall have 60 days each year from the date of publication within which to elect to reserve the right to seek refunds under paragraph (b) of this section. Reserving the right to seek refunds shall be indicated to the Council in writing, by registered or certified mail under such conditions as the Secretary may prescribe. Only those end product manufacturers who make such an election, under the described procedure, shall be eligible for refunds of assessments paid during the one-year period immediately following the expiration of such 60-day period. *Provided,* That, an election made on the basis of a budget amendment shall apply only until the end of the one-year period then in effect with respect to the annual budget.

(b) Notwithstanding any other provision of this subpart, any end product manufacturer who has been subject to and has paid an assessment, but who has reserved the right, under paragraph (a) of this section, to seek a refund, and who is not in favor of supporting the programs as provided for herein, shall have the right to demand and receive from the Council a refund of such assessment: *Provided,* That such demand shall be made by such end product manufacturer in accordance with regulations, and on a form and within a time period, prescribed by the Council and approved by the Secretary and upon submission of proof satisfactory to the Council that the end product manufacturer paid the assessment for which refund is sought, and any such refund shall be made within 60 days after demand is received therefor.

§ 1280.153 Influencing governmental action.

No funds collected by the Council under this subpart shall in any manner be used for the purpose of influencing governmental policy or action, except to recommend to the Secretary amendments to this subpart.

Reports, Books and Records

§ 1280.160 Reports.

Each end product manufacturer subject to this subpart, and other persons subject to section 1705(c) of the Act, shall be required to report to the Council periodically such information as may be required by the regulations recommended by the Council and approved by the Secretary. Such information may include but not be limited to the following:

(a) The number of hundredweights of processed wheat purchased, sold, or initially transferred (as described in § 1280.122 and § 1280.151(a)) for use in the manufacture of end products;

(b) The number of hundredweights of processed wheat on which an assessment was paid; and

(c) The date any assessment was paid.

§ 1280.161 Books and records.

Each end product manufacturer who is subject to this subpart, and other persons subject to section 1705(c) of the Act, shall maintain and make available for inspection by the Council or the Secretary such books and records as are necessary to carry out the provisions of this subpart and the regulations issued hereunder, including such records as are necessary to verify any reports required. Such records shall be retained for at least two years beyond the fiscal period of their applicability.

§ 1280.162 Confidential treatment.

All information obtained from such books, records or reports under the Act and this part, and all information pertaining to refund requests and refunds, shall be kept confidential by the Council, all employees of the Council, all officers and employees of the Department, the Council and by all officers and employees of contracting agencies having access to such information. Only those persons having a specific need for such information in order to effectively administer the provisions of this subpart shall have access to such information. In addition, only such information so furnished or acquired as the Secretary deems relevant shall be disclosed by them, and then only in a suit or administrative hearing brought at the direction, or upon the request, of the Secretary, or to which the Secretary or any officer of the United States is a party, and involving this subpart. Nothing in this section shall be deemed to prohibit: (a) The issuance of general statements based upon the reports of the number of persons subject to this subpart or statistical data collected therefrom, which statements do not identify the information furnished by any person, (b) the publication, by direction of the Secretary, of general statements relating to refunds made by the Council during any specific period, or (c) the publication, by direction of the Secretary, of the name of any person who has been adjudged to have violated this subpart, together with a statement of the particular provisions of the subpart violated by such person.

Certification of Organizations

§ 1280.165 Certification of organizations.

(a) Any organization or association may request the Secretary for certification of eligibility to participate in nominating members and alternate members of the Council to represent wheat producers, processors, end product manufacturers or consumers. Such eligibility shall be based, in addition to other available information, upon a factual report submitted by the organization or association which shall contain information deemed relevant and specified by the Secretary for the making of such determination, including, but not limited to the following:

(1) Geographic territory covered by the organization's active membership;

(2) Nature and size of the organization's active membership, including, in the case of an organization other than a consumer organization, the proportion of the total number of active wheat producers, processors, or end product manufacturers represented by the organization;

(3) The extent to which wheat producer, processor, or end product manufacturer membership, respectively, of such organization is represented in setting the organization's policies;

(4) Evidence of stability and permanence of the organization;

(5) Sources from which the organization's operating funds are derived;

(6) Functions of the organization; and

(7) The organization's ability and willingness to further the aims and objectives of the Act.

(b) The primary consideration in determining the eligibility of an organization, other than a consumer organization, shall be whether its membership consists primarily of wheat producers, processors, or end product manufacturers who produce a substantial volume of wheat, processed wheat, or end products, respectively, and whether the organization is based on a primary or overriding interest in the production, processing, or end manufacturing of wheat or wheat products, and the nutritional attributes thereof.

(c) In determining the eligibility of a consumer organization, the primary consideration shall be whether (1) a principal purpose of the organization is to promote consumer interests, consumer research, or consumer education, (2) such organization has a broadly representative constituency of consumers, with active membership participation on a regular basis, and (3) the organization has demonstrated to the Secretary's satisfaction its commitment to the achievement of the objectives of the Act.

(d) The Secretary shall certify any organization or association which is found to be eligible under this section and the determination as to eligibility shall be final. After the original certification of organizations, the Secretary will require recertification at least once every five years and the Secretary may require recertification at any time.

Miscellaneous

§ 1280.166 Suspension and termination.

(a) The Secretary shall, whenever it is found that this subpart or any provision thereof obstructs or does not tend to effectuate the declared policy of the Act, terminate or suspend the operation of this subpart or such provision.

(b) The Secretary may conduct a referendum at any time, and shall hold a referendum on request of 10 per centum or more of the number of end product manufacturers subject to this subpart, to determine whether such manufacturers favor the termination or suspension of the subpart, and the Secretary shall suspend or terminate such subpart within six months after the Secretary determines that suspension or termination of the subpart is approved or favored by a majority of the end product manufacturers voting in such referendum who, during a representative period determined by the Secretary, have been engaged in the manufacture of end products or by end product manufacturers who produced end products containing more than 50 per centum of the total processed wheat contained in all end products manufactured during such period by the end product manufacturers voting in the referendum.

§ 1280.167 Proceedings after termination.

(a) Upon the termination of this subpart the Council shall recommend not more than five of its members to the Secretary to serve as trustees for the purpose of liquidating the affairs of the Council. Such persons, upon designation by the Secretary, shall become trustees of all the funds and property then in the possession or under the control of the Council, including claims for any funds unpaid or property not delivered or any other claim existing at the time of such termination.

(b) The said trustees shall: (1) Continue in such capacity until discharged by the Secretary; (2) carry out the obligations of the Council under

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any contracts or agreements entered into by it pursuant to § 1280.140(g); (3) from time to time account for all receipts and disbursements and deliver all property on hand, together with all books and records of the Council and of the trustees, to such persons as the Secretary may direct; and (4) upon the request of the Secretary, execute such assignments or other instruments necessary or appropriate to vest in such persons full title and right to all of the funds, property, and claims vested in the Council or the trustees pursuant to this subpart.

(c) Any person to whom funds, property, or claims have been transferred or delivered pursuant to this subpart shall be subject to the same obligations imposed upon the Council and upon the trustees.

(d) Any residual funds not required to defray the necessary expenses of liquidation shall be turned over to the Secretary to be used, to the extent practicable, in the interest of continuing one or more of the research or nutrition education plans or projects hitherto authorized.

§ 1280.168 Effect of termination or amendment.

Unless otherwise expressly provided by the Secretary, the termination of this subpart or of any regulation issued pursuant hereto, or the issuance of any amendment to either thereof, shall not:

(a) Affect or waive any right, duty, obligation, or liability which shall have arisen or which may hereafter arise in connection with any provision of this subpart or any regulation issued thereunder;

(b) Release or extinguish any violation of this subpart or any regulation issued thereunder; or

(c) Affect or impair any rights or remedies of the United States, or of the Secretary, or of any person, with respect to any such violation.

§ 1280.169 Personal liability.

No member, alternate member or employee of the Council shall be held personally responsible, either individually or jointly with others, in any way whatsoever, to any person for errors in judgment, mistakes, or other acts either of commission or omission, of such member, alternate or employee, except for acts of dishonesty or willful misconduct.

§ 1280.170 Patents, copyrights, inventions and publications.

Any patents, copyrights, inventions, or publications developed through the use of funds collected under the provisions of this subpart shall be the property of the U.S. Government as represented by the Council, and shall, along with any rents, royalties, residual payments, or other income from the rental, sale, leasing, franchising, or other uses of such patents, copyrights, inventions, or publications, inure to the benefit of the wheat and wheat foods industry. Upon termination of this subpart, § 1280.167 shall apply to determine disposition of all such property.

§ 1280.171 Amendments.

Amendments to the subpart may be proposed, from time to time, by the Council, or by any organization or association certified pursuant to section 1714 of the Act, or by any interested person affected by the provisions of the Act, including the Secretary.

§ 1280.172 Separability.

If any provision of this subpart is declared invalid or the applicability thereof to any person or circumstance is held invalid, the validity of the remainder of this subpart or the applicability thereof to other persons or circumstances shall not be affected thereby.

Copies of this decision and Order may be obtained from W. David Spalding, Livestock, Poultry, Grain and Seed Division, Agricultural Marketing Service, Room 2610 South Building, United States Department of Agriculture, Washington, D.C. 20250.

This action was determined significant under the Department's criteria for implementing Executive Order 12044. The impact analysis is incorporated in this document.

Referendum

Rules governing the procedure to conduct referendums on the Wheat and Wheat Foods Research and Nutrition Education Order and a Notice of Referendum are published elsewhere in this issue of the **Federal Register.**

Signed at Washington, D.C., on December 11, 1979.

Jerry C. Hill,

Deputy Assistant Secretary for Marketing Services.

[FR Doc. 79-38392 Filed 12-13-79; 8:45 am]

BILLING CODE 3410-02-M

7 CFR Part 1280

[Docket No. WR-1]

Procedure for the Conduct of Referendums in Connection With Wheat and Wheat Foods Research and Nutrition Education Order

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Notice of wheat end product manufacturer referendum.

SUMMARY: This document announces a referendum among wheat end product manufacturers (primarily wholesale bakers) to determine if they approve a Wheat and Wheat Foods Research and Nutrition Education Order ("Order") issued by this Department. The Order appears elsewhere in this issue of the **Federal Register.** This notice prescribes the registration, voting, and representative periods of the referendum.

DATES: Registration period—January 7 through February 1, 1980. Voting period—March 17 through March 28, 1980. Representative period—January 1, 1978 through December 31, 1978.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION CONTACT: W. David Spalding, Livestock, Poultry, Grain, and Seed Division, AMS, USDA, Washington, D.C., 20250, Phone: 202-447-2068.

SUPPLEMENTARY INFORMATION: The Order provides for the establishment of a program of research and nutrition education for wheat and wheat foods and was issued pursuant to the Wheat and Wheat Foods Research and Nutrition Education Act ("Act"), 7 U.S.C. 3401 *et seq.* Under the Act, the Order becomes effective only if it is approved by wheat end product manufacturers who vote in a referendum. The regulations for conducting referendums pursuant to the Wheat and Wheat Foods Research and Nutrition Education Act are published elsewhere in this issue of the **Federal Register.** By law, at least 50 percent of those registered would have to vote in order for the referendum to be valid. The Order would be approved if two-thirds favor it. It also could be approved if a simple majority of those voting favor it, providing that they account for two-thirds of the total amount of processed wheat purchased by all voters during the representative period.

Notice is hereby given of a referendum to consider the Order issued by the Secretary of Agriculture on December 14, 1979. The registration period will be January 7 through February 1, 1980. The voting period will be March 17 through March 28, 1980. The representative period is January 1, 1978 through December 31, 1978.

Registration and voting will be conducted by mail by the Referendum Agent, Livestock, Poultry, Grain, and Seed Division, Agricultural Marketing Service, U.S. Department of Agriculture.

Signed at Washington, D.C., on December 11, 1979.

Jerry C. Hill,

Deputy Assistant Secretary for Marketing Services.

[FR Doc. 79-38393 Filed 12-13-79; 8:45 am]

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Friday
December 14, 1979

Part VIII

Department of Agriculture

Agricultural Marketing Service

Procedure for Conduct of Referendums in Connection With Wheat and Wheat Foods Research and Nutrition Education Order

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DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service

7 CFR Part 1280

[Docket No. WR-1]

Procedure for the Conduct of Referendums in Connection With Wheat and Wheat Foods Research and Nutrition Education Order

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final Rule.

SUMMARY: This rule establishes the procedure for conducting referendums with respect to any Wheat and Wheat Foods Research and Nutrition Education Order or amendment issued pursuant to the Wheat and Wheat Foods Research and Nutrition Education Act, 7 U.S.C. 3401 *et. seq.* This action is necessary because the Act provides that an Order must be approved in a referendum among eligible wheat end product manufacturers (primarily wholesale bakers) before it can become effective.

EFFECTIVE DATE: December 14, 1979.

FOR FURTHER INFORMATION, CONTACT: W. David Spalding, Livestock, Poultry, Grain, and Seed Division, AMS, USDA, Washington, D.C., 20250, Phone: 202–447–2068.

SUPPLEMENTARY INFORMATION: The Act provides that the Secretary of Agriculture shall issue a Wheat and Wheat Foods Research and Nutrition Education Order, or amendments thereto, applicable to eligible end product manufacturers, if the Secretary determines, based on a public hearing record that such Order or amendment will tend to effectuate the declared policy of the Act. Such an Order appears elsewhere in this issue of the **Federal Register.** The Act further provides that the Secretary shall conduct a referendum among end product manufacturers for the purpose of ascertaining whether the issuance of an Order is approved or favored by end product manufacturers. A notice of referendum is published elsewhere in this issue of the **Federal Register.** The procedure for the conduct of referendums is in accordance with the authority vested in the Secretary of Agriculture by the Act.

The following terms: Wheat, processed wheat, end product, end product manufacturer, retail baker, United States, related companies or divisions of the same company, and control, are defined in the Order itself and shall have the same meaning as therein.

The proposed rules for conducting referendums were published in the **Federal Register** on September 7, 1979 (44 FR 52243), and interested persons were invited to submit comments on the proposal by October 22, 1979.

Only two comments were received. One comment concerned the "validity" of ballots. That comment suggested that a ballot, to be considered "valid," must be: (1) Cast by an eligible end product manufacturer (§§ 1280.201(f) and 1280.206(a)), who is a registered voter (§ 1280.207), (2) signed by the end product manufacturer or (for other than sole proprietorships) an "authorized representative" (§ 1280.206 (b)), and (3) postmarked and received within the applicable time periods (§ 1280.208). In order to further clarify the validity of ballots it is determined that "valid" ballots will exclude: (1) Challenged ballots deemed invalid (§ 1280.210(a)) and (2) spoiled ballots (§ 1280.210(b)).

An additional comment, received from a trade association, included a copy of its membership list for the stated purpose of aiding the referendum agent in the distribution of registration forms and instructions. The referendum agent has obtained commercially available lists of end product manufacturers who may be eligible to register to vote in the referendum. The lists have been reviewed to eliminate duplicate and subsidiary firms. The resulting mailing list has been developed in an objective manner. A review of the list submitted by the trade association indicated that some subsidiary firms were included. In order to ensure objectivity and avoid any duplication, the referendum agent will not use the membership list submitted by the trade association with its comment.

Registration material will be mailed just prior to the beginning of the registration period to end product manufacturers whose names appear on the mailing list. Any end product manufacturers not receiving the registration material by January 10, 1980 but who believe themselves to be eligible may request that they be provided the registration material. End product manufacturers who wish to register must review the registration material and, it they determine they are eligible to register, certify as to their eligibility and return the completed registration form to the referendum agent.

Minor changes in the following sections have been made to clarify provisions in the proposed rules: §§ 1280.201(d)(i), 1280.202, 1280.205, 1280.207(a)(b), 1280.208, 1280.210(a)(b), 1280.212 and 1280.213.

Since this procedure is essentially the same as the proposed rule published September 7, 1979, and an earlier effective date will not impose any additional burden on any person, good cause exist for making the procedure effective on less than 30 days notice.

Accordingly, the referendum rules are adopted as set forth below.

Subpart—Procedure for the Conduct of Referendums in Connection with Wheat and Wheat Foods Research and Nutrition Education Order

Sec.

1280.200 Referendums.
1280.201 Definitions.
1280.202 Supervision of referendums.
1280.203 Requirements of referendum.
1280.204 Computation of time.
1280.205 Public notice.
1280.206 Eligibility.
1280.207 Registration.
1280.208 Voting.
1280.209 Challenge of eligibility.
1280.210 Canvassing ballots.
1280.211 Results of the referendum.
1280.212 Disposition of ballots and records.
1280.213 Suspension and termination of Order.
1280.214 Instructions and forms.

Authority: Wheat and Wheat Foods Research and Nutrition Education Act, Pub. L. 95–113, 95th Cong., approved September 29, 1977, (7 U.S.C. 3401–3417).

Subpart—Procedure for the Conduct of Referendums in Connection With Wheat and Wheat Foods Research and Nutrition Education Order

§ 1280.200 Referendums.

Referendums for the purpose of ascertaining whether the issuance by the Secretary of Agriculture of a Wheat and Wheat Foods Research and Nutrition Education Order, or the amendment, continuance, termination, or suspension of such an Order, is favored by end product manufacturers shall, unless supplemented or modified by the Secretary, be conducted in accordance with this subpart.

§ 1280.201 Definition.

(a) "Secretary" means the Secretary of Agriculture or any other officer or employee of the U.S. Department of Agriculture to whom there has heretofore been delegated, or to whom there may hereafter be delegated, the authority to act in the Secretary's stead.

(b) "Act" means the Wheat and Wheat Foods Research and Nutrition Education Act (7 U.S.C. 3401 *et seq.*) and any amendments thereto.

(c) "Administrator" means the Administrator of the Agricultural Marketing Service with power to redelegate, or any other officer or employee of the Department to whom authority has been delegated or may hereafter be delegated to act in the Administrator's stead.

(d) "Referendum agent" means the individual or individuals designated by the Administrator to conduct the referendum.

(e) "Person" means any individual, group or individuals, partnership, corporation, association, cooperative, or any other entity.

(f) "Qualified" or "eligible" end product manufacturer means any end product manufacturer as defined in the Order who used at least 2000 hundredweight of processed wheat per year in the manufacture of end products which are subject to assessment and who is not subject to exemption from payment of assessments as a retail baker.

(g) "Order" means the Wheat and Wheat Foods Research and Nutrition Education Order or any amendment thereto promulgated pursuant to the Act with respect to which the Secretary has directed that a referendum be conducted.

(h) "Representative Period" means a consecutive twelve-month period preceding the registration period as designated by the Secretary.

(i) "Registration Period" means a period to be announced for the registration of eligible end product manufacturers who desire to vote in a referendum. The registration period shall end not less than 30 days prior to the first day of the voting period.

(j) "Voting Period" means a 12-day period to be announced for voting in a referendum.

§ 1280.202 Supervision of referendum.

The Referendum Agent shall be in charge of and responsible for conducting each referendum in accordance with this Subpart and under supervision of the Administrator.

§ 1280.203 Requirements of referendum.

No Wheat and Wheat Foods Research and Nutrition Education Order or amendment issued under the Act shall become effective unless the Secretary determines (a) that valid ballots were cast by at least 50 percent of the eligible end product manufacturers registered to vote, and (b) that the issuance of such Order is approved or favored by not less than two-thirds of the end product manufacturers casting valid ballots in such referendums or by a majority of the end product manufacturers voting in such referendum if such majority manufactured end products containing not less than two-thirds of the total processed wheat contained in all end products manufactured during the representative period by those voting in the referendum.

§ 1280.204 Computation of time.

Sundays and Federal holidays shall be included in computing the time allowed for the filing of any documents or taking any action: *Provided,* That when such time expires on a Sunday or a Federal holiday, such period shall be extended to include the next following business day.

§ 1280.205 Public notice.

Advance public notice of the referendum shall be provided by the Administrator (a) by utilizing, without advertising expense, available public information media to announce the dates for registration and voting, eligibility requirements and other pertinent information, and (b) by such other means as the Administrator may deem advisable.

§ 1280.206 Eligibility.

(a) *Eligible end product manufacturer.* Each end product manufacturer who, during the representative period, used at least 2000 hundredweight of processed wheat in the manufacture of end products which are subject to assessment, and who is not subject to exemption from payment of assessments as a retail baker, is entitled to register and to cast one vote in the referendum. Related companies or divisions of the same company as defined in the Order shall not be entitled to cast individual ballots in the referendum.

(b) *Proxy registration and voting.* Proxy registration and voting is not authorized except that an officer or employee of a corporate end product manufacturer, or any guardian, administrator, executor, or trustee of the estate of an end product manufacturer, or an authorized representative of any end product manufacturing entity other than an individual proprietor, such as a corporation or partnership may register and cast a ballot on behalf of such entity. Any individual registering to vote in the referendum on behalf of any end product manufacturing entity shall certify that the individual is authorized by such entity to take such action.

§ 1280.207 Registration.

(a) *Registration procedure.* The referendum agent will mail registration forms and instructions and, except in the case of a referendum on the termination or continuance of an order, a summary of the terms and conditions of the Order to end product manufacturers thought to be eligible and whose name and address are known to the referendum agent. The registration material will also be mailed to any end product manufacturer who believe they are eligible and requests such material. To register, an end product manufacturer must complete the registration form and mail it to the referendum agent during the registration period. A registration form shall be considered received during the registration period if it was postmarked not later than midnight on the final day of the registration period and was received by the referendum agent prior to the close of business on the fourth day after the close of the registration period. At the time of registration each end product manufacturer shall certify to the referendum agent, in the manner prescribed, the amount of processed wheat contained in the assessable end products manufactured by such end product manufacturer during the representative period. No person who claims to be eligible to register shall be refused a registration form.

(b) *List of Registered End Product Manufacturers.* The referendum agent shall determine which end product manufacturers are eligible to vote in the referendum and publish the list of eligible voters in the **Federal Register.** The list shall include all persons who submitted a valid registration form in a timely manner. The eligibility of any person appearing on this list may be challenged under § 1280.209.

§ 1280.208 Voting.

Voting instructions and ballots shall be mailed just prior to the voting period by the referendum agent to eligible end product manufacturers who have resistered with the agent. No person who has filed a registration form and claims to be qualified to vote shall be refused a ballot. Each registered end product manufacturer shall cast his or her ballot on the form provided for that purpose by mailing it to the referendum agent during the voting period. A ballot shall be considered to have been received during the voting period if it was postmarked not later than midnight on the final day of the voting period and was received by the referendum agent prior to the close of business on the fourth day after the close of the voting period. The ballot shall be marked to indicate "yes" or "no," to signify approval or disapproval of the Order. The ballot shall also be marked to include the amount of processed wheat used in the manufacture of end products which are subject to assessment and must be signed by the end product manufacturer. Ballots received by the referendum agent shall be kept in the agent's custody or secured at all times until they are disposed of pursuant to § 1280.212.

§ 1280.209 Challenge of eligibility.

(a) *Who may challenge.* A person's eligibility to register and vote may be challenged by any person. The referendum agent shall review all registrations and promptly challenge any registrant who appears to be ineligible. Any challenge of a person's eligibility to register and vote must be made prior to the end of the voting period.

(b) *Determination of challenges.* Any person whose eligibility to register and to vote has been challenged must prove to the satisfaction of the referendum agent that he or she was an eligible end product manufacturer during the representative period. Record such as tax returns, sales documents, purchase documents, or other similar documents may be submitted to prove that a person is a qualified end product manufacturer. The referendum agent shall make a determination concerning the eligibility of an end product manufacturer who has been challenged as soon as practicable, and in all cases before the opening of the ballots.

(c) *Challenged ballot.* A person whose eligibility to register or to vote has been challenged but not resolved by the referendum agent, if on appeal, may be allowed to cast a ballot, but such ballot shall be considered a challenged ballot for the purpose of the referendum until a resolution of the challenge has been made. A challenged ballot shall be determined to have been resolved if no appeal is taken from the determination of the referendum agent within the time allowed for appeal or there has been a determination by the Administrator after appeal.

(d) *Appeal.* Appeal from a decision by the referendum agent on the eligibility of a person to register or vote must be made to the Administrator within three business days after notification of such decision. An appeal shall be determined by the Administrator as soon as practicable, but in all cases not later than 5 days after the opening of the ballots.

§ 1280.210 Canvassing ballots.

(a) *Counting the ballots.* As soon as possible after the start of business on the fifth day after the close of the voting period, the referendum agent shall open and count the ballots. The ballots shall be tabulated as follows: (1) Number of eligible end product manufacturers casting valid ballots, (2) number of eligible end product manufacturers favoring the Order, (3) number of eligible end product manufacturers not favoring the Order, (4) the amount of processed wheat contained in the end products manufactured by end product manufacturers in each of the preceding three categories, (5) the number of challenged ballots deemed invalid, and (6) the number of spoiled ballots.

(b) *Spoiled ballots.* Ballots shall be considered as spoiled ballots when they are unsigned, incomplete, mutilated, or marked in such a way that it cannot be determined whether the ballot is a "yes" or "no" vote. Spoiled ballots shall not be considered as approving or disapproving the Order, or as a ballot cast in the referendum.

(c) *Confidentiality.* All ballots shall be treated as confidential and the contents of the ballots shall not be divulged except as provided for in this Subpart or as the Secretary may direct. The public may witness the opening of the ballots and the counting of the ballots, but shall remain a reasonable distance from the tabulation so as not to interfere with the tabulation or see how any person voted in the referendum.

§ 1280.211 Results of the referendum.

(a) The Administrator shall prepare and submit to the Secretary or the Secretary's designee a report of the results of the referendum, the manner in which it was conducted, the extent and kind of public notice given and other information pertinent to analysis of the referendum and its results. The official results of the referendum shall be published in the **Federal Register.** Summaries and related papers shall be available for public inspection in the office of the Director, Livestock, Poultry, Grain, and Seed Division, AMS, U.S. Department of Agriculture, Room 2631, South Building, Washington, D.C.

(b) If the Administrator or the Secretary deems it necessary, the report of the results of the referendum shall be reexamined and checked by such persons as may be designated by the Administrator or the Secretary.

§ 1280.212 Disposition of ballots and records.

The referendum agent shall place the registration forms, list of registrants, eligible voter lists, voted ballots, challenged registration forms and challenged ballots found to be ineligible, spoiled ballots, and summaries in sealed containers marked with the identification of the referendum. Such records shall be placed under lock in a safe place under the custody of the referendum agent for a period of 12 months after the referendum. If no notice to the contrary is received from the Administrator by the end of such time, the records shall be destroyed.

§ 1280.213 Suspension and termination of order.

The Secretary may conduct a referendum at any time, and shall hold a referendum on request of 10 percent or more of the number of end product manufacturers subject to the Order, to determine whether such manufacturers favor the termination or suspension of the Order. The Secretary shall suspend or terminate such Order within six months after the Secretary determines that suspension or termination of the Order is approved or favored by a majority of end product manufacturers voting in such referendum who, during a representative period determined by the Secretary, have been engaged in the manufacture of end products or by end product manufacturers who produced end products containing more than 50 percent of the total processed wheat contained in all end products manufactured during such period by the end product manufacturers voting in the referendum.

§ 1280.214 Instructions and forms.

The Administrator is hereby authorized to prescribe additional instructions and forms not inconsistent with the provisions of this Subpart to govern the conduct of the referendum.

Signed at Washington, D.C., on December 11, 1979.

Jerry C. Hill,

Deputy Assistant Secretary for Marketing Services.

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December 14, 1979

Part IX

Water Resources Council

Procedures for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning (Level C); Final Rule

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WATER RESOURCES COUNCIL

18 CFR Part 713

Procedures for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning (Level C)

AGENCY: U.S. Water Resources Council.

ACTION: Final rule.

SUMMARY: This final rule establishes a current set of procedures for the evaluation of national economic development (NED) benefits and costs of Level C studies of Federal water and related land resources projects. These procedures use the best current techniques available and will ensure consistency and accuracy among agencies in the calculation of benefits and costs of Federal water resources projects in response to the President's memorandum of July 12, 1978: Improvements in the Planning and Evaluation of Federal Water Resources Programs and Projects. These final procedures reflect changes made as a result of public review and comment.

EFFECTIVE DATE: January 14, 1980.

FOR FURTHER INFORMATION CONTACT: Lewis D. Walker, U.S. Water Resources Council, 2120 L Street NW., Washington, D.C. 20037 (202/254–6453).

SUPPLEMENTARY INFORMATION:

1. Purpose

The Water Resources Council is publishing as a final rule the Manual of Procedures for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning (Level C). The purpose is to provide Federal agencies with a set of procedures that ensures that NED benefits and costs are estimated using the best current techniques, and are calculated accurately, consistently, and in compliance with the Principles and Standards and other applicable economic evaluation requirements.

These procedures represent only part of the planning manual being prepared by the Water Resources Council at the direction of the President. Additional economic evaluation procedures are being prepared for deep water navigation, commercial fishing and trapping, and dam failure; in addition to more detailed procedures to account for risk and uncertainty. Environmental quality evaluation procedures also are being prepared. Publication is anticipated in late 1980, and public involvement is encouraged. Subsequent efforts will be directed toward preparation of evaluation procedures for regional development and social well-being, and plan formulation procedures.

2. Background

(a) *Responsibility of the Water Resources Council.* The Water Resources Planning Act was enacted by the Congress in 1965 to provide for the optimum development of the Nation's natural resources through the coordinated planning of water and related land resources. Title I of the Act established the Water Resources Council and outlined its principal duties. One of these duties was to establish, with the approval of the President, Principles, Standards, and Procedures for Federal participants in the preparation of comprehensive regional or river basin plans and for the formulation and evaluation of Federal water and related land resources projects.

(b) *Principles and Standards.* Work on the congressional mandate to develop Principles and Standards was begun by the Council in 1968, culminating in the President's approval of the "Principles and Standards for Planning Water and Related Land Resources" in August, 1973. The Principles and Standards became effective on October 25, 1973. The Principles provide the broad policy framework for planning activities, whereas the Standards provide for uniformity and consistency in comparing, measuring, and judging beneficial and adverse effects of alternative plans.

(c) *Procedures.* Responsibility for establishing agency evaluation procedures was given to the administrators of covered Federal and federally-assisted programs. The procedures were to be developed within the framework of the Principles and the uniformity provided by the Standards. The current effort to revise the Principles and Standards and to develop a manual of evaluation procedures is the result of the President's Water Policy Reform Message of June 6, 1978. In that Message to the Congress, the President stated that reforms in agency planning were essential in order to achieve economic efficiency and environmental quality in water resources management.

On July 12, 1978, the President issued a memorandum directing the Water Resources Council to carry out a thorough evaluation of current agency practices for making benefit and cost calculations and to publish a planning manual that will ensure that benefits and costs are estimated using the best current techniques, and are calculated accurately, consistently, and in compliance with the Principles and Standards and other applicable economic evaluation requirements. This directive provided the impetus for the development of the evaluation procedures. Additional direction of a similar nature was given by the President in Executive Order 12113: Independent Water Project Review, published January 5, 1979.

In addition to the directive to publish a planning manual, the July 12 memorandum stated that, in order to provide greater consideration of water conservation and nonstructural alternatives in all projects and programs subject to the Principles and Standards, the Water Resources Council was directed to modify the Principles and Standards in the following respects:

> The Principles and Standards shall be modified to accomplish the full integration of water conservation into project and program planning and review, as a component of both the economic development and environmental quality objectives, and the Principles and Standards shall be modified to require the preparation and inclusion of a primarily non-structural plan as one alternative whenever structural project or program alternatives are considered. This alternative plan should incorporate a combination of non-structural or demand-reducing measures which could feasibly be employed or adopted to achieve the overall project purpose. Such measures should not be limited to those which the agency of the Federal government could implement directly under present authority but should include floodplain management techniques (such as zoning), pricing policies, groundwater recharge, and other measures.

In addition,

> The new benefit/cost procedures should, among other things, eliminate double counting and inclusion of benefits that are inconsistent with Federal policy or sound economic rationale. Particular attention shall be given to the following items: Benefits attributed to protecting future development in the floodplain; surplus crop benefits; navigation benefits (including regional "savings to shippers"); flat-water recreation benefits; extended project life; area redevelopment benefits; the appropriateness of calculations for ability to pay (reclamation projects); whether benefits to charter boats should be defined as commercial navigation; uncertainty and risk of cost and benefits; least cost alternative analysis; consideration and display of engineering uncertainty; market value of vendible project outputs; determination of project design flood; the appropriateness of maximizing net benefits versus maximizing benefit/cost ratios under budget constraints; the assessment and consideration of costs of elimination of farmland, wetlands, wildlife habitat, and timberland.

(d) *Events up to May 24, 1979, publication in* **Federal Register.** In response to the President's directive, the Secretary of the Interior established a task force to revise the Principles and Standards and to develop economic evaluation procedures. The task force, staffed by personnel provided by the Departments of Army, Interior, and Agriculture, was initiated in August 1978.

Workshops were held in Washington, DC, on August 30, 1978, and in Salt Lake City on September 6, 1978, for the purpose of identifying the changes to be considered in refining the Principles and Standards and in preparing the Manual. A total of 41 people attended the two workshops.

Subsequently, workshops were held in San Diego on January 24, 1979, and in Washington, DC, on February 7, 1979, for the purpose of obtaining comments on the initial drafts of the Manual and on the proposed revisions to the Principles and Standards. Seventy-two people attended the two workshops.

In addition to these workshops, continuous and direct public input was obtained by three review contracts with the National Wildlife Federation, the National Governors' Association, and the Water Resources Congress. These organizations served as points of contact for obtaining input from environmental, State, and development interests, respectively.

(e) *Events after publication in May 24* **Federal Register.** In response to the President's directive, and guided by the public input described above, the Water Resources Council published the Procedures for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning (Level C) as a proposed rule in the **Federal Register** of May 24, 1979 (44 FR 30194), and announced that the period for public review and comment would extend for 60 days to July 27, 1979. To provide the public an opportunity to communicate directly with the Water Resources Council staff, public meetings were held in Los Angeles on July 10, in Washington, DC, on July 17, and in St. Louis on July 24, 1979.

The Council received more than 60 written comments during the review period. Commenters included the Water Resources Congress, which coordinated testimony and responses from 15 public and private water resources organizations, and the National Governors' Association, which cooperated with the Association of State and Interstate Water Pollution Control Administrators, the Interstate Conference on Water Problems, and the Western States Water Council to provide the insights and opinions of professionals from eight State water resources management agencies and four regional and interstate water resources organizations. Four national and three regional environmental groups commented. The National Wildlife Federation solicited and presented the individual viewpoints and critiques of nine resource economists in addition to providing a comprehensive critique of the proposed rule. Five university economists independently offered comments on those aspects of economic evaluation falling within their respective areas of expertise.

Comments were also received from water resources engineers, hydrologists, biologists, planners, and administrators in State government and local agencies, interagency groups such as river basin commissions, and regional water resources authorities and associations. Associations of private water users (irrigators, waterway operators and power users, river improvement and development associations, and port authorities) from different geographical regions (Alabama, California, Colorado, Kansas, Mississippi, Nebraska, Ohio, Oklahoma, Pennsylvania, and Texas) were also represented. Consequently, a broad array of groups and individuals interested in the private and public uses of the Nation's water and related land resources was represented in the written comments and in statements at the three public meetings.

The proposed procedures were carefully reappraised by the Council's staff in the light of comments received during the 60-day review period. Every comment dealing with the Manual of Procedures was reviewed carefully to assess its germaneness to the evaluation of NED benefits and costs; suggested changes were discussed and reviewed to determine their validity and usefulness.

A majority of the comments from economists supported the validity of the concepts on which the Council has based the measurement techniques, although a few economists stated that the "best current technique" had not always been proposed. Some of these commenters suggested improvements in definitions, measurement methods, and the types of data to be collected and analyzed.

Several Federal agencies, including the Departments of Agriculture, Army, Energy (including the Federal Energy Regulatory Commission), Interior, and Transportation; the Environmental Protection Agency; and the Tennessee Valley Authority, commented on the proposed procedures.

When the Council staff determined that a comment raised a valid issue concerning the satisfactory measurement of NED benefits and costs (e.g., whether the NED benefit or cost was valid; how accurately the benefit or cost was counted or measured; whether the unit of measurement selected was appropriate and satisfactory; etc.), the procedure was revised to improve measurement. No change was made if the proposed procedure was determined to be valid on the grounds of theory, logic, state of the art of technique development and measurement, data availability, and/or implementability by the agencies.

This rule was determined to be significant under Executive Order 12044. Copies of the regulatory analysis and/or the environmental assessment may be obtained from the Director, U.S. Water Resources Council, 2120 L St., NW, Washington, DC 20037.

3. Response to Comments

Many comments criticized the proposed rule as poorly organized and lacking clarity. These comments provided the basis for substantial improvement in the organization and readability of the Manual. Changes made for clarity, conciseness, precision, and readability are not discussed specifically in the following text, which deals only with substantive changes. The list of section headings in the Manual has been expanded to make it easier for a user to find a specific section. Figure 1 compares the final procedures with the proposed procedures published in the **Federal Register** on May 24, 1979, and summarizes the improvements made in the final text.

Supplementary Information—Figure 1.—*A Summary of Improvements*[1] *to the Proposed Procedures* (**Federal Register**, *May 24, 1979*) *for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning*

May 24 Section	Final Section	Title of paragraph, section, or subpart	Nature of improvement
PURPOSE			
704.100	713.1	Authority and relationship to Principles & Standards.	Correction of the text through the insertion of President Carter's verbatim directive that benefits and costs "* * * are estimated using best current techniques * * *."
704.102	713.5	Responsibility for application of the Manual.	Specific requirements regarding development of agency procedures have been deleted.
704.103	713.7	Schedule for application of the Manual.	The final version stipulates that "* * * agency administrators shall adopt procedures within 30 days of date of publication in the FEDERAL REGISTER * * *" rather than "* * * immediately upon their adoption by the Water Resources Council" as proposed in the FEDERAL REGISTER of May 24.
GENERAL			
704.113		Dam failure	Section deleted; appropriate procedure to be developed with publication planned for September 1980.
	713.81	Display of project interaction	Section added requiring display in matrix form of all expected Federal and non-Federal projects or facilities having significant economic, engineering, or environmental effects on any of the plan alternatives.
	713.91	Definitions	Section added to define agricultural drainage, agricultural flood damage reduction, flood, nonstructural measures, separable features, urban drainage, urban flood damage reduction, water conservation, and water supply.
MUNICIPAL AND INDUSTRIAL WATER SUPPLY			
704.121(b)(3)	713.103	Conceptual basis	The Manual was revised to explicitly state that where marginal cost pricing exists, it shall be used to calculate M&I water supply benefits. A statement to this effect was also incorporated into the P&S.
704.121(d)(1)(ix)	713.123(b)	Compute benefits	In the May 24 version, the benefit of a water supply to a small community that could not afford an alternative water supply was to be based upon the costs of water supply systems for similar sized communities within the region. In the final rule, the benefits to a small community (now defined as having a population of less than 10,000) shall be based under such circumstances on the cost of separable M&I facilities plus an appropriate share of the remaining joint cost of the project. Completion of the M&I benefit analysis and documentation of the without-project condition is required.
AGRICULTURE			
704.123	Subpart D	Agricultural floodwater	These three sections have been rewritten to improve conciseness, clarity, and detail. Steps in procedures for estimating benefits and costs common to all three functions are stated once and referenced briefly in the other two sections.
704.124	Subpart E	Agricultural drainage	
704.122	Subpart F	Agricultural irrigation	
704.122(b)	713.403	Conceptual basis	To be consistent within the Principles and Standards, benefits were broadened to include reduced cost of a given output including that of water quality control costs.
704.122(b)(iii) and (b)(iii).	713.403(c) (2), (3), and (4)	Prices, production costs, and crop yields.	Prices, yields, and production costs to be used in the evaluation are to be measured at current levels, not at projected future levels as proposed in the May 24 FEDERAL REGISTER, except in the case of damage reductions that account for future changes in yields.
704.122(c)	713.405	Planning setting	Incremental analysis is now included in the evaluation procedure.
704.122(d)	713.407	Evaluation procedure	The two-phase procedure has been changed to a four-step evaluation procedure based on intensification and efficiency. The procedure now makes it clear that evaluation applies to all crops expected to be grown in the project area and is not restricted to the *nine* feed and food grain crops, soybeans, and cotton listed in § 704.122(b)(i) in the May 24 FEDERAL REGISTER. Rice has been added to the "nine basic crops" listed in the May 24 version. Water conservation has been included as a first increment. The evaluation procedure has also been changed so that returns to water and the location advantages are counted for either the low value crop or the high value crop, but not for both.
704.122(d)(2)	713.409 713.409(d)		
URBAN FLOOD DAMAGE			
704.125(b)(2)(ii)	713.505(b)(2)(ii)	Regulation not yet certified	The assumptions related to Flood Insurance Administration regulation 24 CFR 1910.3 (a) and (b) regarding floodway and flood fringe development are not specifically based on WRC Floodplain Management Guidelines (43 CFR 6030) for implementing E.O. 11988.
704.125(c)	713.505(c)	With-project condition	The statement that the same assumptions underlie the with-project and without-project conditions now explicitly refer to E.O. 11988, E.O. 11990, and Pub. L. 93–234.
704.125(e)(1)(i)	713.531(a)	Remaining flood damage	Several specific nonstructural measures are listed as alternatives to be considered fully and equally with structural alternatives. Statement added on summarization and display of remaining flood damages to activities outside the protected area to specifically include downstream flooding caused by the project.
POWER (HYDROPOWER)			
	713.601(b)	Introduction	The Manual was revised to exempt small hydropower projects (25 MW or less) with no significant adverse environmental effects from the full requirements of the procedures. However, a simplified economic analysis must still be undertaken for them. A nonstructural alternative is not required for these projects.
704.126(b)(2)	713.603	Conceptual basis	The Manual was revised to state that where marginal cost pricing exists, it shall be used in calculating hydropower benefits.
TRANSPORTATION—INLAND NAVIGATION			
704.127(c)	713.705	Planning setting	Changes made to clarify the with- and without-project condition, such as stating that (1) the without-project condition will include broader private and public planning to alleviate transportation problems; (2) alternative modes will be analyzed in the without-project condition rather than in the with-project condition to determine most likely alternative routings; (3) *Proposed* fees, charges, or taxes are part of the with-project condition rather than the without-project condition; and (4) the contribution to benefits of waterway changes that are currently authorized but not constructed will be explicitly identified.
704.127	713.729(d)	Sensitivity analysis	To the extent that rail rates or other prices vary from long run marginal costs, "savings to shippers" will contain a component of transfers varying from real resource savings. This element of uncertainty will now be identified or acknowledged in benefit estimates.
704.127	713.729(d)(i)	Interview	Errors and uncertainties inherent in the interview sampling methods and responses will now be described.

Supplementary Information—Figure 1.—*A Summary of Improvements*[1] *to the Proposed Procedures* (**Federal Register**, *May 24, 1979*) *for Evaluation of National Economic Development (NED) Benefits and Costs in Water Resources Planning*—Continued

May 24 Section	Final Section	Title of paragraph, section, or subpart	Nature of improvement
RECREATION			
704.129(e)	Appendix 1, 2, and 3 of Subpart K	Valuation methods and procedures.	Discussion of individual procedures was inappropriate for publication as a rule because of the level of detail, the fact that the techniques are new, and that this material may become dated. This material has been moved to the Appendix, which is not binding.
704.129(e)	713.907–925		Evaluation procedure was set out in a step-by-step format for greater clarity.
704.129(g) (Table 14)	713.903(i) (Figure 703.903–1)	Selection of evaluation procedure	Project cost criteria for selecting among evaluation methods and regional models versus site-specific studies were changed, and benefits gained or foregone were changed from dollar amounts to annual rates. These changes were made because the earlier version would have required cost allocations prior to using selection procedure.
UNEMPLOYED OR UNDEREMPLOYED LABOR RESOURCES			
704.132	713.1201	Introduction	In the May 24 FEDERAL REGISTER, the areas designated as containing unemployed or underemployed labor for which NED benefits could be claimed for employing such labor during project construction time, were the approximately 1,430 counties and areas of "substantial underemployment" out of the Nation's 3,140 counties. In the final version, benefits attributable to the employment of unemployed or underemployed labor resources can be counted only for one or more of 194 areas of *substantial and persistent unemployment and for Indian reservations that meet the same criteria.*
NED COST EVALUATION PROCEDURES			
704.141	713.2001	Introduction	Specific project costs and outlays have been enumerated and described in detail.
	713.2013	Other direct costs	An additional category of uncompensated direct project costs has been added.
	713.2016	External diseconomies	External diseconomies have been defined and a number of examples of external diseconomies set out. It also attempts to give equal treatment to both external diseconomies and economies.

[1] Excluding minor improvements for conciseness, preciseness, clarity, and readability.

Note.—The information in parentheses below the subject title refers to the section number used for the subject in the proposed rule published in the Federal Register on May 24, and the section number(s) used in this final rule.

Authority and Relationship to the Principles and Standards

(May 24: Section 704.100; Final: Section 713.1)

Comment: **In the proposed rule, the words in brackets below were omitted from the restatement of President Carter's memorandum of July 12, 1978, directing the Water Resources Council (WRC) to "publish a planning manual that will ensure that benefits and costs are (estimated using the best current techniques and) calculated accurately, consistently and in compliance with the Principles and Standards and other applicable economic evaluation requirements." This omission was noted by several commenters.**

Response: **The omission was inadvertent; a verbatim quotation of the President's directive is included in the final rule.**

Agency Activities Covered by the Manual

(May 24: Section 704.101; Final: Section 713.1)

Comment: **Three commenters stated that the rule should apply to all projects for which actual physical construction activity such as site preparation, excavation, dredging, etc., had not begun. One commenter urged that the rule be applied to projects for which construction activity had not progressed to the stage of "significant onsite construction." The President's directive that "the manual * * * apply to all authorized projects (and separable project features) not yet under construction" was cited as authority for this interpretation.**

One commenter expressed concern that exempting projects on which construction had not yet started would mean that authorized fish and wildlife resources would not be given "proper consideration."

Two commenters stated that § 704.101(b) of the proposed rule should specify the criteria under which the Secretary of a Department could exempt projects not yet under construction.

One Commenter suggested that exemption be granted only if the NED justification was so overwhelming that a reanalysis under the Manual would be unlikely to reverse the agency's recommendation to construct the project; this commenter recommended that no project with an estimated cost of more than $200 million be granted an exemption under any circumstances.

Another commenter urged that discretion to exempt projects not under construction be vested in the Water Resources Council. The commenter suggested that the Council, in deciding whether to exempt a project, should as a minimum consider the following: The stage of the planning, the size of the project, the degree of controversy about the project, the importance of using the best current evaluation techniques, the relationship to other projects, and the effects of delay.

Response: **The definition of projects "under construction" and the conditions for use of discretionary authority to exempt projects were based on extensive discussion with staff members of the Executive Office of the President. To that extent, the rule reflects the intent of the President.**

Responsibility for Application of the Manual

(May 24: Section 704.102; Final: Section 713.5)

Comment: **One commenter stated that the affected Federal agencies should not be encouraged to establish agency procedures to supplement and implement the rule.**

Response: **Reference to the development of agency procedures has been deleted. The rule now stipulates:**

"The administrator of each covered Federal program or Federally-assisted program is responsible for applying the procedures covered in this Manual."

Schedule for Application of the Manual

(May 24: Section 704.103; Final: Section 713.7)

Comment: Some commenters felt that the proposed rule made an unnecessary distinction between the date of application of procedures dependent on data supplied by the Council and procedures not dependent on Council data. Further, some commenters stated that the requirement that the procedures be applied by agency administrators immediately after adoption by the Council imposed an unnecessarily strict requirement on the affected Federal agencies.

Response: The rule now requires that responsible agency administrators adopt the procedures "within 30 days of the date of publication in the **Federal Register.**"

Modification of the Manual

(May 24: Section 704.104; Final: Section 713.9)

Comment: One commenter emphasized the importance of a clear statement of the Council's intention to revise the Manual periodically.

Response: The rule now states that the Council will periodically revise the procedures as experience, research, and planning conditions require to ensure the use of the best current techniques and accurate and consistent calculations.

Calculation of Net Benefits

(May 24: Section 704.111; Final: Section 713.21)

Comment: Several commenters supported the provisions of this section but drew attention to the need to define more of the terms, increase the specificity of the definitions, and improve the clarity of the procedural detail. The commenters emphasized that a common understanding of the concepts and terms is fundamental to achieving "* * * a uniform standard basis for estimating benefits and costs" as set forth in the President's directive.

Response: The Council has sought to ensure that the procedures are clear and precise and applied uniformly by the affected Federal agencies. The final rule includes a limited set of definitions. As part of its continuing effort on portions of the Manual not published at this time, the Council will develop and publish a set of precise definitions treating each key term and procedure included in § 713.21 of the rule; the approximate time set for publication is September 1980. The comments above will be considered in the preparation of these definitions, and additional opportunities will be available for public involvement during this period.

Risk and Uncertainty—Sensitivity Analysis

(May 24: Section 704.112; Final: Section 713.31–.41)

Comment: The principal thrust of many of the comments on this section was that while it provided a clear statement of the problem and basic principles of risk and uncertainty in water resources planning, it failed to provide a usable procedure. The procedure as written was judged too general, permissive rather than directive, and lacking in instructive detail. Commenters noted the omission of accepted mathematical and probabilistic methodologies and the failure to identify and list key factors to which the benefit-cost evaluation is sensitive. Two commenters stated that the section should be completely rewritten to incorporate current mathematical simulation techniques, that only in this way would it comply with the President's directive of July 12, 1978, to pay particular attention to "uncertainty and risk of costs and benefits."

Several commenters stated that sensitivity analysis had not been adequately discussed in view of its importance to benefit-cost evaluation and that the requirement for sensitivity analyses in various sections of the Manual should be combined in this section under a separate subsection. One commenter suggested that sensitivity analysis be conducted and the results displayed for each of the final alternatives to show break-even years, internal rates of return, and average annual benefits computed for different interest rates. Another commenter proposed that a subsection be devoted entirely to sensitivity analysis to furnish the rationale for conducting this type of analysis and to enumerate the minimum amount of data essential to illustrate sensitivity (future hydrologic conditions, future economic conditions, population projections, water demands, etc.).

Response: In developing § 704.112, the council sought to establish the significance of risk and uncertainty in the evaluation of NED benefits and costs for water resources plans and projects and to set out the background and principles involved in risk and uncertainty assessment. The Council has accomplished these objectives and believes that the rule provides valuable yet flexible guidelines clearly establishing the need to account for risk and uncertainty in plan and project evaluation.

The Council will develop a systematic approach to risk and uncertainty that will not only remedy the deficiencies and omissions in procedural detail, methodology, and identification of sensitive factors but will also set out the total context into which they fit. These procedures will be published as a rule about September 1980. The comments above will be considered in preparation of the proposed rule, and additional opportunities will be available for public involvement during this period.

Dam Failure

(May 24: Section 704.113; Final: Section 713.71 [Reserved])

Comment: Comments on this section of the proposed rule revealed extreme differences in opinions on its relevance and usefulness.

One group of commenters recommended deletion of the section, holding that, while dam safety is a consideration during the planning process, it should be dealt with in the project's Environmental Impact Statement, not in a manual of procedures for measuring benefits and costs.

In contrast, another group of commenters expressed the opinion that since the costs of a dam failure can be sizable, the Council should have set out a practical procedure to measure the NED costs of such an event and that its failure to do so means that the Council has not complied with the President's directive of July 12, 1978. Two of these commenters stated that if the Council had sufficiently explored recent literature and available data on risk assessment of engineered structures, it could have adopted a methodology for analyzing damage associated with dam failure. The exclusion of the costs of dam failure in the evaluation process was thought to be serious by another commenter, since the omission would positively bias the NED benefits.

One commenter urged that dam failure analysis be dealt with under the procedures the Council is developing for the analysis of risk and uncertainty and that the failure of any engineered work—levee, channel, lock, bridge, highway and power plant—be included. Another commenter noted that current concern with dam failure stems from earthquakes and induced seismicity and that since risk of failure due to these causes is a function of site-specific geology and the engineering of the structure, the procedure to be developed must be capable of site-specific application. Another concern was that the procedure include a balanced analysis of risk in both the with-project and without-project condition and that the high probability of year-to-year hazard reduction as well as the remote possibility of dam failure be accounted for. One commenter recommended that the procedure to quantify the costs of dam failure in terms of "hazards to life, health, safety, and catastrophic economic and environmental losses" deal with *net changes* in the risk of loss of life, damage to health, reduction in safety, and catastrophic economic and environmental losses, not with *increases* in these hazards as stated in § 704.113(b) of the proposed rule.

Several commenters agreed with the Council's statement that satisfactory procedures for the evaluation of NED costs of potential dam failure are not available, stressing, as the Council had, the difficulty of quantifying the probability of failure for each project throughout the Nation. However, one commenter stated that even though such a procedure is not available, there is considerable merit in simply describing whether potential losses and damages in the floodplain as a result of dam failure would be large or inconsequential.

Response: The nature and thrust of the comments, on balance, support the Council's present effort to develop satisfactory procedures to measure the NED effects of potential failure in engineered structures. The section on dam failure has been reserved in the final rule pending the outcome of this effort. The Council will publish the section on dam failure as a rule about September 1980. The comments above will be considered in the preparation of this section, and additional opportunities will be available for public involvement during this period.

Project Scaling Using Net Benefit Analysis

(May 24: Section 704.114; Final: Section 713.51)

Comment: Four commenters questioned the Council's adoption of the maximization of net benefits approach rather than maximization of benefit-cost ratios to determine the overall size of a water resources project. All commented that carrying project scale to the point of maximizing net returns is appropriate only when capital is available to build all projects that show a net return. Since this is not the case, the effect of using the maximization of net benefits approach is to build projects that are sized too large. One of these commenters stated that the maximization of net benefits approach is totally unacceptable on the grounds of economic theory and fiscal propriety and requested that the Council fully explain in the final rule how it arrived at its decision to use this approach. Another commenter cited the President's directive of July 12, 1978, in requesting the Council to explain its adoption of this approach.

Other commenters stated that the correct principle for project sizing is that the net return to the marginal dollar invested is the same in all funded projects and urged that the Council develop an arbitrary rule on the expected cutoff marginal dollar benefit-cost ratio.

Response: This section responds to the President's directive to give attention to the appropriateness of maximizing net benefits versus maximizing benefit-cost ratios under budget constraints. Maximizing benefit-cost ratios would lead to gross distortions in formulating NED plans and would not lead to formulation of NED plans in which optimum contributions are made to the national economic development objective. Benefit-cost ratios are useful only in comparing one project with another, whereas proper net benefits analysis provides a proper tool to scale individual projects. The net benefits approach is the correct approach to project scaling, even under budget constraints. Development of an arbitrary rule on the expected cutoff marginal dollar benefit-cost ratio is not within the purview of the Council.

Comment: Two commenters said that the maximization of net benefits approach entered the planning process too late to be effective in determining the "real scale" of a project, since the project is scaled on factors such as design flood and not solely on the basis of economic efficiency. This was cited as a major problem, as was the Council's failure in the proposed rule to provide an integrated approach to project scaling that would set out an individual sizing procedure for each major type of water project.

Response: The maximization of net benefits approach is not intended to be the sole criterion for project scaling, but rather the basis for scaling the NED plan and the NED elements of all plans. The principle as set forth is applicable to all types of projects, and further specification for each major type of project is unnecessary.

Comment: One commenter called attention to the language in § 704.114(a)—"other project scaling criteria (i.e., design flood)"—requesting that the criteria be identified and illustrated by examples. This clarification is needed, the commenter said, because the design of major structures does not normally assume different design floods; the same level of safety is usually incorporated into alternative plans.

Response: The commenter is correct in observing that the original text could be interpreted to mean that project design flood is a criterion for project scaling. The text has been modified to refer to criteria "such as those used to determine project design flood."

Comment: A commenter said that it was not clear whether the proposed rule applied only to NED plans or to all plans. The commenter stated that it should apply only to NED plans.

Response: The rule applies to the NED aspects of all plans.

Comment: One commenter stated that § 704.114(a) should be expanded to address the agency practice of incorporating safety factors and other "conservative rule-of-thumb design considerations" into the NED alternative relative to the "recommended alternative."

Response: The use of safety factors is permitted by the Manual.

Project Design Flood

(May 24: Section 704.115; Final: Section 713.61)

Comment: Two commenters stated that the Council's discussion of the tradeoffs between efficiency and safety incorrectly characterizes the process of sizing for economic analysis. Their argument is that the NED objective is not met if economic efficiency is balanced with safety or other factors, that economic efficiency is the only appropriate tool for project sizing, and that there is no theoretically sound reason for deviating from it. The Council should therefore ensure that considerations of personal safety and peace of mind never again influence the size of a project. By proposing that efficiency be balanced against safety, the Council is recommending usurpation of the Congress' power to vary project scaling on the basis of factors other than economic efficiency.

The commenters urged that the thrust of this whole section be changed so that planners are instructed to size a project solely on the basis of economic efficiency as indicated in § 704.115(c). Other factors needed for a decision should be displayed in one of the other three accounts (Environmental Quality, Regional Development, and Social Well-Being), but not in the NED account.

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Response: The Council conducted a study of the factors that provide the basis for variation in project design flood levels from those levels that reflect maximum economic efficiency. Additional study of these factors is needed. In the absence of conclusive results, the Council is requesting that any such variations be identified, along with the factors that provide the basis for the variation.

Comment: Another commenter interpreted this section as requiring that economic efficiency be the sole determinant of project sizing for a NED plan and that safety considerations be reflected in another plan. This commenter expressed concern that the plan incorporating safety features was then likely to be recommended over the NED plan, which would be used mainly for comparison purposes.

Response: Economic efficiency is the criterion for an NED plan, except as constrained by minimum safety, environmental, and health standards. There is no reason why the NED plan cannot be a recommended plan.

Comment: One commenter stated that the Council should incorporate and expand considerations of economic efficiency beyond flood control components to cover to all existing agency scaling practices; i.e., the rule should integrate net benefit scaling decisions but exclude arbitrary design factors for safety, etc., and place them in one of the other three accounts.

Response: Project design flood is the most notable area in which project scaling may be based on factors other than economic efficiency. The new evaluation procedures should limit abuse of other project scaling criteria. If such abuses are apparent, the Manual can be modified to address them.

Comment: One commenter pointed out that the third sentence in § 704.115(a)—"* * * they (design sizes to protect against larger floods) do so at greater cost * * *"—is not necessarily true when all costs are considered. In support of his argument, this commenter stated that the average annual maintenance cost may be lower for projects designed for larger floods, thus at least partially offsetting the higher initial costs. He offered as an example a situation in which a project designed against minor flood suffers substantial damage from repeated major floods, requiring substantial maintenance and repair after each of these events.

Response: The statement is intended to reflect that annualized total costs generally are greater for larger projects, and this is correct.

Comment: One commenter recommended combining this section and the previous one (§ 704.114), since both deal with project scaling.

Response: The importance of project design flood as a specific scaling issue warrants separate treatment.

Comment: One commenter noted the absence of the project design flood concept for nonstructural alternatives.

Response: The project design flood concept applies to all plans, structural, nonstructural, or combinations of these.

Comment: One commenter requested more detail, the recognition of risk factors, and a step-by-step procedure for evaluating engineering practices undertaken for reasons of safety.

Response: Given the current limited analysis that has been conducted on the factors that cause project design flood levels to vary from economic efficiency, it would be inappropriate to develop such a step-by-step procedure.

Comment: One commenter found the discussion seemingly "restricted to a channel project." His concern was how to apply the criteria "to a reservoir project in which determination of the storage for flood control is separate from the determination of discharge for the design flood."

Response: The requirements of the Manual apply to all flood protection plans and facilities, despite the impression to the contrary that may be conveyed by the use of a single example. However, the subject of how to apply these other criteria to a reservoir is not appropriate for this Manual.

Municipal and Industrial (M&I) Water Supply

(May 24: Section 704.121; Final: Sections 713.101–.127)

Comment: One commenter stated that the Manual could spell out certain minimum conditions under which Federal planning money would be available for a water supply project. The following minimum conditions were suggested by the commenter: (1) Amendment of plumbing codes to require the installation of water-saving toilet, faucet, and shower devices, low-water-use dishwashers and washing machines (if these are being installed), pressure-reducing valves if water pressure is greater than 80 lbs./sq. in. in new homes and buildings; (2) up-to-date leak repair program; (3) outdoor watering program with such limitations as odd-even days; (4) reform of pricing structures, such as flat rates and declining block rates; and (5) drought contingency plans. In addition, the commenter stated that explicit provision should be made that no water supply project will be planned in areas where good records of use are not kept.

Response: The inclusion of such policy matters as minimum conditions for funding is inappropriate for a manual on evaluating economic benefits and costs. The Manual does require that nonstructural measures be included in the formulation of alternative plans to be evaluated.

Comment: One commenter stated that the alternative cost method is not a valid approach for evaluating M&I projects and that water supplied for M&I purposes must be sold at its relevant marginal cost.

Response: This concept is theoretically correct. In reality, few water retailers have adopted a price schedule for water based on marginal cost. Therefore, as now stated in the Manual, when marginal cost pricing is employed, it is to be used in the benefit calculation. If estimates of willingness to pay are not available, the most likely alternative is to be used as a measure of benefits.

Comment: Several commenters stated that the phrase "alter the precipitation patterns" should be deleted as a water conservation measure until national policy is developed on the matter.

Response: The reference has been deleted, although this action does not preclude consideration of this measure.

Comment: One commenter stated that the evaluation procedures for NED benefits and costs should include water quality considerations because water quality and quantity are closely interrelated and changes in one affects the other; for example, degradation of water quality may reduce the supply of water available for a specific use unless there is further treatment of the water. Another commenter stated that improved water quality may be the most important local objective in M&I water use. Another stated that the Manual should require differentiation between fresh water, brackish water, and saline water, since all uses do not require fresh water.

Response: Water quality is now included in the water supply procedures.

Comment: Several commenters suggested that pricing be specifically included as a conservation or nonstructural alternative. One commenter stated that the Manual should require consideration of rates to be charged for water, including the possibility of charging different prices for different uses or even excluding specific sectors from using project water—practices that could have a substantial impact on the water conservation objective.

Response: Rate structure changes (pricing) have been included among the nonstructural measures to be considered.

Comment: Several commenters stated that M&I benefits should not and cannot be claimed unless those who would benefit from the project demonstrate that they can afford and will construct a distribution system; it is therefore critical that the Manual require identification of project beneficiaries.

Response: The procedure requires identification of water user groups (beneficiaries) and demonstration that any alternative is feasible. Project implementation requirements are beyond the scope of this procedure.

Comment: One commenter stated that the procedures should require demonstration that the water supplies identified are dependable and should specifically address any prior and competing rights to the source of the project's water supply.

Response: The Manual requires inclusion of the probability of water supply. While identification of prior and competing water rights is an important part of plan formulation, it is not part of the economic evaluation.

Comment: Several commenters stated that the amount of detail required for estimating M&I water needs is excessive—that in most areas of the West the magnitude of M&I water demands and uses does not justify such an analysis on a regional or local basis.

Response: The amount of detail, while it maybe greater than the amount presently used, is not considered excessive, especially in view of the scarcity of the resource.

Comment: One commenter stated that the regulation should include M&I forecasting models with definitions of terms and variables.

Response: The steps in forecasting are set forth, and specific variables are suggested for inclusion in the forecast model. The specification of the model is left to the investigator because it would be inappropriate to require all studies to use the same forecast model.

Comment: Some commenters urged that the procedures be revised to include alternatives that would provide less than a full water supply, and recommended that the costs of drought be included.

Response: The procedures have been revised to include these considerations.

Comment: Several commenters expressed concern about the statement that the gap between supply and demand must be "closed."

Response: The relevant section has been revised to allow development of plans that employ use-reducing as well as supply-augmenting measures, and to allow inclusion of drought management.

Comment: Some commenters stated that consideration of political and institutional obstacles to implementation of alternatives transcends the responsibilities of those charged with the implementation of the Manual and pointed out that these matters should be left to the Congress.

Response: The Manual requires identification of political and institutional obstacles and the impacts of changing them because such information is pertinent to decisionmakers in considering project feasibility.

Comment: One commenter pointed out that local groups might be less motivated to resolve legal, political, or other institutional impediments to better utilization of existing water supplies if they have the option of a new Federally subsidized water project that would increase supplies.

Response: The procedures allow for identification of alternatives that depend upon changes in institutional constraints as well as structural alternatives that would create new services. The Manual requires that a range of alternatives be examined and that when least costly alternatives are passed over, the reasons for not selecting the most likely alternative be given.

Comment: Some commenters expressed opposition to the use of the Federal discount rate in valuing the cost of the most likely alternative; they contended that when the most likely alternative is a private venture, use of the Federal discount rate will undervalue the true willingness of M&I users to pay. Those who commented in support of the use of the Federal discount rate stated that comparison of the costs of one alternative developed using the Federal rate with costs of another developed using the private rate will bias project decisions toward public investments, even when the private venture is less expensive.

Response: Use of the Federal discount rate for evaluation of all alternatives allows assessment of the comparative value of projects on a common basis and removes from the economic analysis the unrelated element of variable financing. This procedure is consistent with the requirement for evaluation of plans on a comparable basis as stated in both the original and revised Principles and Standards. It should also be noted that the alternative cost method does not measure users' willingness to pay.

Comment: Several commenters pointed out that the proposed rule did not contain a provision to include the differences in transmission costs between structural and nonstructural plans. Another commenter stated that WRC should alert planners to the equivalency problems between M&I alternatives and provide guidance on how adjustments to the costs of alternatives should be made to approximate equivalency.

Response: The Manual now requires that the evaluation reflect differences in treatment, distribution, and other costs among alternatives.

Comment: Section 704.121(d)(1)(ix)(B) of the proposed regulation presented a method for evaluating the benefits of a water supply for a small community based upon what other similar sized communities in the region pay for their water supply. Several commenters said that this section should not be included because it violates principles of sound economics and invites assertions from communities that they cannot afford development of the alternative water supply. Other commenters stated that omitting this section would result in the overstatement of benefits because the most likely alternative that could be implemented by some small communities would be too expensive for the community to afford.

Response: The relevant section has been revised to define the size of the small community (population of 10,000 or less); clarify the requirement for full analysis and documentation of the without-project condition; and to state that the benefits shall be equal to the cost of the separable M&I facilities plus an appropriate share of the remaining joint costs of the project.

Comment: One commenter pointed out that no guidance was given for situations in which disaggregated data on water use are not available.

Response: Such guidance is now included.

Agriculture

(May 24: Section 704.122–.124; Final: Section 713.201–.413)

Comment: Limiting the measurement of benefits as increases in net income to nine crops was the dominant issue in the comments related to agriculture. Some groups generally opposed the nine-crop limitation as too restrictive, urging that the actual crops grown should be used in the evaluation, and that the benefits from all crops be measured as increases in net income. They pointed out that the procedure for specialty crops would require extensive national analysis to determine the benefits of an individual project. One group commented that the limited list of basic field crops would ignore the special advantages of

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different regions and the flexibility utilized by the farm operators in specific locations. A comment from a region where much of the Nation's specialty crops are grown stated that little if any of new irrigated land would actually be used for production of the nine basic crops, yet benefits would be limited to their value.

Other groups supported the nine-crop limitation for basic field crops but stated that it oversimplifies the problem in that the evaluation would not include increased costs of price support programs for any of the nine crops that might be involved in such programs. They commented further that an analysis of specialty crops should consider market and other constraints. These groups emphasized that the benefits of an irrigation project are no greater than the amount irrigators can afford to pay for the water delivered to them by the project.

A commenter stated that water requirements and determination of project size must be based on actual crops grown in the project area. The commenter pointed out that several of the nine basic field crops have generally been considered surplus for many years and that some authorizations of reclamation projects have included a moratorium on delivery of water to those crops. The commenter noted further that initial testing on several projects indicated that estimates of irrigation benefits would be reduced by 35 to 80 percent and payment capacity by 35 to 60 percent under the procedures in the Manual.

Response: The sections on cropping patterns and projections have been rewritten. Rice has been added to the original list of nine crops. The procedures do not limit benefits to any of the 10 crops, and all crops expected to be grown with the project are to be included in the analysis. The procedure measures the benefits of increased acreages of basic field crops as the increase in net income, and the benefits from specialty crops as efficiency gains. Thus, the cropping pattern used for estimating benefits is the one for which the project would be designed. It should be noted that implicit in the benefit analysis of intensive crops is an incremental analysis of the cost of providing water in excess of the amount that would be needed for the ten crops.

The proportion of the project acreage devoted to increased acreage of specialty crops is not to exceed the proportion of such crops in the same assessment subarea (ASA) as the project or in protected floodplains of the ASA in the case of agricultural floodwater. The benefits of growing specialty crops are computed as the increase in efficiency from growing them in the project area rather than at an alternate site. More specifically, the benefit will be measured by the reduced cost of producing a given quantity of a specialty crop in the project area compared to producing it in a representative alternate area, plus the value of increased production of the 10 basic field crops at the alternate area compared to production in the project area without the project.

WRC recognizes the problem of conducting extensive national analysis for an individual project; therefore, the efficiency benefits (and increased production) of crops other than the 10 major crops will be measured in comparison with average productive lands within the same ASA as the project.

The procedure does not include an analysis of any increased cost of temporary price support programs. WRC will provide current crop prices. It should be noted that current price support programs are generally not implemented unless market price is less than the cost of production.

Comment: The projections of crop yields, prices, and production costs were addressed in several comments. Some commented that price supports should not be included in the price projections and that irrigation benefits should not be claimed where price supports and set-aside programs are in effect. Others commented that the projection procedures were confusing and that yield rates developed for State or regional areas may not reflect site-specific conditions. One commented that much evidence shows a slowing or stoppage of yield increases, and another that producers capture little if any of the value of technological advances. Another noted that a commonly accepted practice is to use current yields and current prices and costs and assume that these relationships will hold in the future.

Response: The sections on projections of yield trends, prices, and production costs have been rewritten. Current yields at specific sites are to be used for the evaluation. Projected changes in yield are included only to the extent that they reflect expected changes in physical conditions, except in damage analysis where the effects of anticipated technology are included. Current prices for the 10 major crops will be provided by WRC. Constraints on providing water to surplus crops are provided in other directives. Current production costs are to be used, with allowance for any changes expected to result from changes in physical conditions.

Comment: The costing of family labor was objected to by some commenters, who stated that the procedure would reduce irrigation benefits by 25 percent. Others commented that recognizing the opportunity cost of family labor is a giant step forward.

Response: The procedures provide that all labor be costed at the going farm labor wage rate. This recognizes the opportunity cost of experienced farm labor in season and at the prevailing wage rate.

Comment: An evaluation based on crop enterprise rather than on farm budgets was a concern of some who commented that the procedure would exclude income accruing from the integration of livestock with more intensive cropping. One commenter stated the procedure would be an invitation to exaggerate direct benefits by attributing to irrigation the income from a host of other enterprises not dependent on irrigation. Another stated that the manual should prohibit crediting to an irrigation project the benefits for unrelated independent activities.

Response: The relevant section has been rewritten to limit benefits to enterprises dependent on irrigation. Irrigated crops are to be valued at the time of their first opportunity to sell rather than after they have been marketed through other enterprises. This recognizes that livestock feeds are available for purchase at the same value as the selling price.

Comment: The relationship between project benefits and estimates of ability to pay was discussed by some commenters, who stated that ability to pay has been used in some instances to determine water pricing or repayment and has historically tended to be less than irrigation benefits.

Response: Water pricing and estimates of ability to pay are beyond the scope of the manual.

Comment: The need for an incremental analysis of the value added or created by additional units of water was addressed by several commenters. One stated that the proposed procedure would use the average value for all increments, including increments provided by supplemental supplies to existing sources. Another commenter stated that it is economically irrational to provide a full season water supply for all years.

Response: The procedure has been rewritten to provide for an analysis of various increments of water supply levels for wet, dry, and average years. It provides that once the supply level is selected, the benefit is to be adjusted to reflect shortages in dry years and the value of excess water in wet years. Benefits from supplemental supply are to be derived by comparing existing water supplies to either the reduced cost of water or increased production.

Comment: One commenter noted that the proposed procedure did not address hydrology and agronomy techniques use in forecasting water demand; another stated that the procedure should call for hydrologic evaluation of available water supplies and a demonstration that the supplies are dependable.

Response: This procedure does not provide guidance concerning techniques of hydrologic evaluation. However, it is implicit that sound engineering practices and procedures should be used to provide data for the economic analysis. Use of hydrologic evaluation for incremental analysis has been incorporated into the procedure.

Comment: One commenter, addressing the section on problems in application, noted that increased use of machinery and fertilizers in irrigated agriculture is tied basically to the availability of adequate water supply.

Response: The section has been deleted.

Comment: One commenter stated that using willingness to pay as the standard for evaluating agricultural flood damage reduction benefits is conclusive in nature and asked what standard would be used if users were not willing to pay for the plan. Another commenter said that the procedure was unclear.

Response: The procedure now provides for measurement of the benefit as the reduction in the economic significance of the problem. The assumption that users would be willing to pay for the solution rather than endure the problem is implicit.

Comment: Several commenters noted that the use of locational benefits conflicts with E.O. 11988. Some stated that location benefits should not be allowed if there are reasonable alternatives to floodplain development, and that if they are allowed, they should be offset by costs of 100 percent floodproofing of all improvements in the floodplain.

Response: The evaluation procedure relates to an analysis rather than to policy implementation. The analysis assumes that existing legislation and policy will be implemented. Therefore, if policy or legislation prohibits changes in land use, there will be no change to evaluate. If change in land use is allowed, the procedure provides for an economic analysis.

Comment: Several commenters said that the "test of reasonableness" for flood damages was not clear.

Response: The test of reasonableness has been deleted as inappropriate in a rule.

Comment: One commenter noted that the sections on agricultural flood damage should be titled "Non-Urban Flood Damage," as they cover more than agricultural damages.

Response: The definition of "other agricultural properties" has been broadened to include an entire agricultural or rural area. It was recognized that there are properties in rural areas that are neither urban nor involved in agricultural production.

Comment: One commenter noted that in the procedure for analyzing sediment and erosion benefits, it must be determined that such benefits have not already been accounted for by yield differences in flood damage calculations.

Response: The text has been changed accordingly.

Comment: Two commenters noted the lack of reference to economic losses downstream associated with the installation of project measures.

Response: Economic losses associated with project measures are included in the cost analysis as external diseconomies.

Comment: A commenter questioned the designation of farmers as one source of data about production costs and yield responses and suggested that the Manual list specific data sources that can and must be used.

Response: The Manual does not specify only certain data sources; rather, it provides a partial list of sources to which professional evaluators may refer. Since data on production costs and yield responses must be site-specific, flexibility is allowed in order to obtain the most appropriate data for each project.

Comment: One commenter stated that the section on report and display procedures was inadequate.

Response: The section has been rewritten to include procedures for reporting pertinent basic data.

Urban Flood Damage

(May 24: Section 704.125; Final: Section **713.501–.521)**

Comment: Several commenters stated that the inclusion of location and intensification benefits as NED benefits is inconsistent with E.O. 11988, that location benefits cannot be used to justify a project and should not be counted if a reasonable alternative site exists.

Response: The evaluation procedure relates to proper analysis rather than to policy implementation. The analysis is based on the the assumption that existing legislation and policy will be implemented. Therefore, if policy or legislation prohibits such development as reflected in these benefits, there would be no benefit to evaluate. If such development is allowed, the procedure provides for proper analysis.

Comment: One commenter stated that relocation and intensification benefits cannot be accurately quantified and therefore should be deleted as too speculative.

Response: Agency experience to date indicates that such benefits can be reasonably quantified.

Comment: One commenter noted that the land use analysis would be simplified if changed use benefits were excluded.

Response: Although the analysis would be simplified, the benefit level would be artificially based and inaccurate if changed use benefits were excluded.

Comment: One commenter stated that location benefits should be offset by the costs of floodproofing all developments in the floodplain.

Response: There is no requirement to this effect in any policy, nor is it required by sound economic analysis. Of course, if floodfree land is compared to land with residual flooding, the location benefit would be reduced.

Comment: Several commenters stated that § 704.125(c)(2)(ii) (A) and/or (B) should be modified to reflect more clearly the consideration given to and the impact of flood insurance regulations in the without-project condition.

Response: Changes were made in (A) to reflect the possibility that the Flood Insurance Administration (FIA) might certify a modified local regulation; in such cases, the local regulation, not the Federal Code, would be the without-project condition. Changes were made in (B) to clarify the crucial features of without-project zoning regulations and to reference 43 FR 6030, the WRC guidelines on E.O. 11988.

Comment: One commenter recommended that WRC modify the without-project condition to include only authorized projects likely to be implemented.

Response: This change has been made.

Comment: Several commenters stated that the with-project condition should incorporate the FIA code, E.O. 11988, and E.O. 11990.

Response: This was the Council's intent. The final version has been modified for clarity and explicitness.

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Comment: One commenter noted that small area projections, especially of land use, are difficult.

Response: The following language has been added: "The first five steps result in a determination of future land use; emphasis will be on evaluating the overall reasonableness of local land use plans with respect to (1) OBERS and other larger area data, and (2) recognition of the flood hazard."

Comment: One commenter stated that the most recent projections should be used in the evaluation procedure.

Response: The change has been made.

Comment: Several commenters recommended that the Manual include explicit mention of other pertinent statutes or regulations for either the without-project condition, the with-project condition, or both.

Response: The Manual assumes existing laws. Those specifically mentioned are most directly related to NED benefit computation.

Comment: Two commenters stated that OBERS is not a sound basis for projections.

Response: OBERS is the best available source of data and is specifically produced for benefit evaluation of water resources projects.

Comment: One commenter stated that the 75 percent limit on the value of contents is inappropriate.

Response: The 75 percent limit is a judgment based on empirical studies conducted by the Army Corps of Engineers in 1975. If future study determines that this limitation is inappropriate, it will be modified.

Comment: Several commenters stated the computation of permanent evacuation and relocation benefits is in error and biased against such measures. In particular, full flood damages reduced should be included.

Response: The Manual seeks an accurate estimate of benefits. Since the market value of floodplain land already includes a deduction for the flood hazard borne by the occupant, no inundation damage reduction to the occupant can be claimed.

Comment: Several commenters stated that the use of market values to reflect flood damages for evacuation and relocation plans is inconsistent with the use of flood damage reductions for measuring benefits to existing buildings in the case of structural alternatives; this reflects a pro-structural bias. Another commenter stated that market values are unreliable.

Response: Market values are used in structural analysis if land use will change as a result of the project (location benefit). Relocation and evacuation alternatives completely alter land use. Market values provide the best basis for evaluating evacuation alternatives.

Comment: One commenter stated that the discount rate used for estimating location benefits should be a private sector rate.

Response: The use of a private sector rate would tend to increase benefits by increasing net income associated with a given land value. The urban flood damage portion of the Manual uses the Federal rate to amortize the benefit, while implicitly using the private rate in determining the land values.

Comment: Several commenters stated that induced downstream flooding is not included as a cost or disbenefit to the project. Another commenter stated that the Manual should establish a procedure for evaluating adverse impacts of induced land use changes.

Response: It was the Council's intent to include induced downstream flooding and any other induced flooding as a cost. To insure that this intent is clear, a sentence has been added to § 713.533(a)(1)(iii): "This includes downstream flooding, if any, caused by the project." Measurement of costs such as induced flooding or costs associated with induced land use changes are provided for in the cost analysis section.

Comment: Two commenters stated that use of historical flood data is risky, especially where there are no gaging stations or where conditions have changed.

Response: Clarifying language has been added on the source and use of historical data, especially in those situations in which there is no gaging station.

Comment: Several commenters expressed concern about underestimating certain nonstructural (evacuation, relocation) benefits by improperly categorizing flood damages as those borne by the general public. One commenter stated that the Manual failed to recognize the effect of the Small Business Administration (SBA) disaster relief loan program in shifting the burden of flood damages from floodplain occupants to the general public.

Response: The program referred to is not currently authorized. If such programs are established, these damages may be included in the analysis, although care would have to be exercised to avoid double counting of public expenses between such programs and existing programs such as the Flood Insurance Program. The procedure recognizes changes in law that might shift damages from the floodplain occupant to the general public.

Comment: One commenter stated that intensification benefits are not applicable to urban settings. Conversely, several commenters objected to the statement (§ 704.125(d)(2)(ii)) that there are to date few convincing urban case studies.

Response: The statements in the proposed rule are accurate; i.e., the applicability of intensification benefits to urban settings is theoretically valid but there are few applications to date.

Comment: One commenter stated that the "internal rate of return" sensitivity analysis should be deleted; it has no place in a correctly done net present value analysis. Several other comments supported the rate of return analysis and suggested that it be added to other portions of the Manual.

Response: This analysis has been deleted.

Power (Hydropower)

(May 24: Section 704.126; Final: Section 713.601–.617)

Comment: A commenter stated that this section should be retitled Energy Resources Development because of the importance of water in the development of other energy resources such as synfuels and thermal electric power. The same commenter stated that the discussion should include all energy resources and entire fuel cycles.

Response: Benefits from water used in the production of synfuels or other energy sources are evaluated using the municipal and industrial water supply procedures. The hydropower evaluation procedure requires consideration of all alternatives that are implementable.

Comment: Several commenters expressed the belief that small hydropower projects at existing facilities should be exempted from the full requirements of the procedures.

Response: This has been developed and incorporated into the procedures.

Comment: Several commenters suggested that pricing should be specifically included as a conservation or nonstructural alternative.

Response: Pricing has been included as a nonstructural measure to be considered.

Comment: One commenter stated that computation of the true costs of nonstructural measures is essentially impossible and that all references to the NED benefits of nonstructural programs should be deleted until a viable procedure can be formulated. Other commenters suggested that WRC or the Department of Energy (DOE) be assigned responsibility for developing the basic data necessary to make these evaluations and that a cooperative effort by WRC, DOE, and the construction agencies be initiated to develop procedures for evaluating nonstructural alternatives.

Response: References to the evaluation of NED benefits from certain nonstructural alternatives to hydropower are advisable and are retained. However, it is recognized in the Manual that the net benefits of nonstructural measures that alter the electric power load cannot be measured effectively by the alternative cost procedure because the outputs are not comparable. Attempts to measure such benefits on the basis of direct willingness to pay are encouraged but are not required.

Comment: One commenter stated that the National Energy Act of 1978 requires all utility systems to use electricity conservation in a broad spectrum of applications intended to reduce the rate of growth of consumption to the extent economically feasible, and that these conservation measures are the nonstructural alternatives to projects, so further consideration of nonstructural measures would be redundant. Several other commenters pointed out that nonstructural alternatives (conservation and load management) that are comparable alternatives to hydropower may already be part of the without-project condition, in which case there may not be a viable nonstructural alternative.

Response: The procedures require that nonstructural and/or conservation measures that would be undertaken in the absence of a project be accounted for in analyzing the without-project condition. Any additional nonstructural and/or conservation measures that could be implemented are to be considered as alternatives to structural measures.

Comment: One commenter stated that it is highly presumptuous to assume that nonstructural measures that are part of a with-project condition will be implemented, because the decisions to implement such nonstructural measures as load management and conservation are made by the customer or the supplier.

Response: The procedure deals with the evaluation of hydropower projects and alternatives, not with project implementation. Federal agencies were directed by the President to develop and evaluate for public consideration alternatives that include nonstructural measures. This evaluation should serve to indicate to customers and suppliers and to Federal agencies those situations in which nonstructural measures are more efficient than purely structural alternatives.

Comment: One commenter suggested that the Manual provide various scenarios for computing hydropower benefits for service areas of various sizes.

Response: The manual cautions against selecting a service area that is unnecessarily small, and the procedure considers interregional transfers of power under nonstructural measures.

Comment: One commenter questioned the need for estimating future demand for hydroelectric power because the usability of additional hydroelectric power is a foregone conclusion in most areas of the United States.

Response: It has not been demonstrated that there is a need for all additional hydropower capacity that could be developed; therefore it is appropriate to examine the need on a study by study basis.

Comment: One commenter stated that the procedures should recognize the existence of a bias in favor of exaggerated power reserves and should encourage appropriate adjustments in estimating reserve requirements.

Response: Reserve requirements are determined by DOE and are thus beyond the scope of the Manual.

Comment: One commenter stated that the Manual should not limit electric utility or thermal electric generation alternatives to existing, commercially available technology.

Response: As a practical matter, only those alternatives that do exist and are commercially available can be included. The alternatives considered must be capable of being implemented.

Comment: Several commenters stated that in the context of present concern for the environment and energy conservation, some type of additional credit (e.g., a conservation credit) should be included for hydropower.

Response: If the conservation credit were to reflect the increased cost of alternative nonrenewable fuels, it would result in double counting. Any other credit would be arbitrary.

Comment: Some commenters expressed opposition to the use of the Federal discount rate in valuing the cost of the most likely alternative; they contended that when the most likely alternative is a private venture, use of the Federal discount rate will undervalue the true willingness of users to pay.

Others commented that comparison of the costs of one alternative developed using the Federal rate with the costs of another alternative developed using the private rate will bias project decisions toward the public investment, even when the private venture is less expensive.

Response: Use of the Federal discount rate for the evaluation of all alternatives allows assessment of the comparative value of projects on a common basis and removes from the economic analysis the unrelated element of variable financing. This procedure is consistent with the requirement for evaluation of plans on a comparable basis as stated in both the original and revised Principles and Standards. It should also be noted that the alternative cost method does not measure users' willingness to pay.

Comment: One commenter stated that it would seem appropriate to include the costs of nuclear insurance. Another commenter noted that State and local taxes and insurance costs should be included in the evaluation of NED benefits because they are real costs, whether paid to an outside agency or incurred through self-insurance.

Response: The cost of nuclear hazard is included as a system failure cost. Taxes and insurance are excluded in order to allow evaluation of alternatives on a comparable basis with the Federal plan.

Comment: Certain hydropower facilities could provide badly needed supplemental power to a larger system on a fast start basis or for peaking power. In order to include such benefits in the analysis, the commenter suggests using a differential (higher) price for those kinds of power, with diminishing marginal benefit as the proportion of hydroelectric/thermal power in system increases.

Response: The revised evaluation procedures allow for energy value, capacity value, and intermittent capacity adjustments.

Comment: One commenter noted that there was no guidance on how the capacity value credit is to be computed or what it should be.

Response: Such guidance is now provided.

Comment: One commenter pointed out that several sources of power forecasts are given, but no guidance is provided on which source to use if various sources disagree. The commenter suggested that criteria be given for selecting from among various sources or that the preferred source be identified. Another commenter stated that certain agency guidance, much of it mandated by the Congress, presently requires that the Federal Energy Regulatory Commission (FERC) estimates of power usability and power values be used in their analysis. The commenter stated that the procedures should explicitly state the degree of reliance that must be placed on the FERC estimates, and how

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much coordination with FERC and DOE is required.

Response: The availability and/or quality of power forecasts varies over time and from area to area. To specify a particular forecast under these conditions would be inappropriate.

Comment: Another commenter urged that guidance be given for determining the appropriateness of including minimum facilities that preserve the potential for future power production in dams whose complete initial installation is not currently economically feasible.

Response: The procedure recognizes phased construction of hydropower facilities.

Transportation (Inland Navigation)

(May 24: Section 704.127; Final: Section 713.701–.731)

Comment: A number of commenters stated that the use of prevailing rates to measure benefits is inappropriate and that long-run marginal costs should be estimated.

Response: The relevant section has been reworded for clarity (§ 713.703(e)). It is generally agreed by commenters that the Manual states the correct economic principle, i.e., reduction in long-run marginal transportation costs represents the benefit to navigation. The Manual then addresses the empirical issue of the best available method of estimating long-run marginal costs. The rationale was as follows:

Rates v. *Engineered Costs*

1. Economists generally agree that prices (rates) are normally the most reliable estimate of long-run marginal costs.

2. To the extent that prices (rates) are not based on competitive markets, prices misestimate long-run marginal costs. In the real world, few, if any, markets are perfect; the mere fact of an imperfect market is not sufficient reason to shift to a different measurement technique. The issue is: How accurate is the price measurement compared to other available measurement tools?

3. Rates are easily determined.

4. Costs are not easily determined.

a. The necessary data are not available in the public sector, including the Interstate Commerce Commission (ICC), the Department of Transportation (DOT), or the Federal Railroad Administration (FRA). (WRC requested such data of these agencies; they replied that cost data simply are not readily developable.)

b. The necessary data are commodity-specific costs by rail lines and segment by individual movement.

c. The proper handling of joint costs will always be arbitrary.

d. The input prices of cost items are themselves the products of imperfect markets (project and other labor costs are distorted by the effects of the Davis-Bacon Act (Pub. L. 71–798) and union practices; fuel costs are distorted by regulatory practices and international cartel practices; etc.).

5. Current studies do not provide convincing empirical evidence that use of rates overestimates long-run marginal costs.

a. A recent Association of American Railroads (AAR) staff paper, *Railroad Fixed Costs* (April 18, 1979), places fixed costs at only 11 percent in the "intermediate run" (2 to 3 years); this, plus railroads' low rates of return, indicates that rates are a close approximation of long-run marginal costs.

b. DOT has studied the rate and cost issue and believes that errors made by using competitive rates would be not greater than errors made by using constructed cost data. The preliminary results presented in a 1975 working paper, "Description of an Engineered Economic Cost Methodology for Railroad Freight Operations," indicated that constructed costs exceed rates; however the conclusion is limited by the imprecision of the data.

c. ICC cost scale data are accounting data and do not reflect economic principles. Further, those data are not line-specific but are based on regional averages. The use of such data, as in the Locks and Dam 26 Report *(Locks and Dam No. 26 (Replacement) Formulation Evaluation Report,* June 1975), is not supported by academic, railroad, agency, or environmental representatives.

6. Rates, rather than costs, determine actual movements.

Which Rates?

The determination that rail rates are a better measure of long-run marginal costs than engineered or accounting rail costs does not wholly resolve the issue of which rates are the best estimator of such marginal costs. For existing waterways, prevailing, competitive, and similar rates are the best estimators. The rates must be (1) In use; (2) subject to competition (not necessarily water-compelled); and (3) for similar movements.

The Manual recognizes that, for new waterways, prevailing rates may or may not be the best estimate of NED benefits. Some railroad price cutting has occurred after construction of new waterways; whether this price cutting represents a short-run marketing strategy or a realistic assessment of long-run marginal costs cannot be determined with precision. However, railroads have simply stopped competing for many products on existing waterways, implying that initial price cuts are only a short-term response. In any case, the prevailing rate is determinable, unlike a theoretical rate expected to exist with the project. The benefit measurement for new waterways follows from Section 7a of the DOT Act of 1966.

Comment: The provision regarding "changes in international relations" should be removed from the paragraphs on commodity forecasts.

Response: Admittedly, speculation on future changes is fraught with potential error, but international relations are important determinants of exported goods.

Comment: Several commenters noted the omission of benefits from recreation and from reductions in rates to remaining customers of the alternate mode, due to barge competition.

Response: This portion of the Manual covers only navigation benefits. The NED benefits are those to users and do not include distributional impacts between alternate modes and their remaining shippers.

Comment: Several commenters stated that future user charges should not be speculated on.

Response: Future changes in the level of user charges are sufficiently possible to warrant a sensitivity analysis.

Comment: Several commenters recommended that proposed or possible user fees and taxes should be part of both the without-project and with-project condition.

Response: The Manual has been revised (Section 713.705(a)(2)) to include, for clarity, the directive that possible fees or taxes be considered as part of the nonstructural alternatives in the with-project condition.

Comment: One commenter stated that proposed or possible congestion fees and taxes should not be part of either the with-project or without-project condition because they are not now part of law. Another commenter stated that congestion fees and other taxes and fees should not be part of the with-project condition because they have the effect of raising rates and ultimately costs to consumers.

Response: If new fees are enacted, they are appropriately part of the without-project condition. Possible fees must be considered as alternative solutions and may be recommended by way of a change in the law. To have a basis for recommending such change, the fee must be assumed in the with-project condition; the impact of the change is the difference between the without-project and with-project conditions. Although fees may raise rates, these increases alone do not constitute a NED cost. Social and distribution issues are handled separately in the P&S system of accounts.

Comment: One commenter stated that the application of existing user charges and taxes to the without-project condition is valid, but these charges should also apply to the with-project condition.

Response: This is the intent of the Manual. As stated at § 704.127(c)(2) (now § 713.705(b)): "The same assumptions underlie the with-project condition that underlie the without-project condition."

Comment: Several commenters stated that total transportation policy and the impact of a project on that policy should be included in the analysis. Various emerging policies (e.g., railroad rehabilitation or deregulation) should be incorporated into future rate estimates.

Response: The Manual is believed to be consistent with National Transportation Policy, insofar as that policy can be described operationally. Current laws and policies are included in the without-project condition.

Comment: One commenter stated that the procedure makes no provision for including the Waterway Trust Fund recovery in the benefit-cost analysis

Response: The comment is valid; the problem is that barge rates will incorporate the tax (user fee), thus reducing the apparent benefit when in fact only a transfer between barge operators and the government may have occurred. Language has been added (§ 713.729(c)) to state: "The incremental collection of user charges, fees, or taxes is not to be considered a NED benefit but a transfer of resources between the public and private sectors of the economy, manifesting itself as resources committed to the proposed navigation system. As such, the increased collection of these charges, fees, or taxes is considered a decrease in the public sector's contribution to the proposed system."

Comment: One commenter stated that user charges should be included as part of the with-project condition in describing the planning setting.

Response: Existing user charges are part of both the with-project and without-project condition. Proposed or possible fees, charges, or taxes are to be considered as part of the nonstructural alternatives in the with-project condition. Moreover, a display of the impact of increased levels of user charges is required as part of the sensitivity analysis.

Comment: Several commenters questioned the assumption that the without-project condition will include only those waterway projects currently in place or under construction as limiting the consideration of alternatives. Some commenters stated that the assumption was biased against waterways (because other modes are congested) while others felt the bias was against alternate modes (because current rates will decline).

Response: The following clarifying language has been added in § 713.705(a)(4): "unless there is specific evidence to the contrary." This change is believed modest. The assumption will minimize benefits but quantifying the capacity of all modes is beyond the state of the art and is not required.

Comment: One commenter stated that the Federal investment will essentially duplicate existing facilities on the alternative modes.

Response: The fact that a Federal investment may duplicate the carrying potential of existing facilities does not make such an investment contrary to public interest. A savings in total transportation costs is the proper criterion and can be determined without assessing the capacity of alternative modes.

Comment: Many commenters stated that the range of alternatives should be expanded. Specifically, the language, "Improvements in railroad, highway, pipeline, and other modes will not be analyzed as alternatives to improvement of the waterway" was objected to as representing bad planning and contrary to the National Environmental Policy Act (NEPA).

Response: The procedure now provides for consideration of improvements in alternative tranportation modes as part of the without-project condition; alternatives modes will be analyzed as a basis for identifying the most likely route by which commodities will be transported in the future in the absence of waterway improvements. The without-project condition includes "any practice likely to be adopted in the private sector under existing policy, as well as actions that are part of a broader private and public planning to alleviate transportation problems." It is believed that these revisions clarify the original intent and are consistent with the procedural steps for analyzing alternative modes.

Specifically, the revisions make clear that changes in the transportation alternative will be considered in establishing the routing (and related rates, transport characteristics, etc.) in the without-project condition (§ 713.721). However, no analysis of the best methods of improving rail, pipeline, truck, and other nonwater modes is required as an alternative plan because such analysis on a project-by-project basis, or even on a programmatic basis, is beyond the state of the art. The use of alternate modes is an integral part of the analysis and will result in recommendations for improvements to the waterway only when waterway costs are less than the costs of movement by other modes.

Comment: Several commenters noted that allowance was not made for future productivity increases on alternate modes while the railroads have historically shown such increases.

Response: While it may be true that there have been productivity increases on the railroads, there is no evidence of faster productivity increases by railroads than by water modes, and productivity increases on either mode to date should be reflected in current rates. Section 713.721(b) does not prohibit the inclusion of changes due to productivity increases. However, inclusion of such changes will require some speculation and must be carefully considered.

Comment: The guidance for computing system delays and costs is inadequate.

Response: It is not possible to establish a definitive procedure because of the variety of studies involved, the unavailability of data, and the evolving state of the art in systems analysis methodology. Further, specifying short-cut techniques would tend to lock systems analysis in at too low a standard. On the advice of staff experts, particularly at the Departments of the Army and Transportation, the Manual specifies the nature (system delays) and need for system analyses, but recognizes the severe practical problems and thus leaves further experimentation with appropriate techniques to the agencies. The agencies are expected to use a system analysis at a level that is appropriate to the size and nature of the problem being studied and the availability of resources for collecting the appropriate data.

Comment: One commenter stated that costs rather than rates should be used to determine modal choice.

Response: Engineered costs have little meaning for modal choice since the cost to the shipper is the transportation rate. Rational shippers will select the mode on the basis of their cost rather than the carriers' cost.

Comment: Several commenters noted that rate savings resulting from the use of prevailing rates should be adjusted to include railroad (or other modal) losses as a NED external diseconomy.

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Response: This concept was rejected for existing waterways because prevailing, competitive, and similar rates are believed to be the best indicator of long-run marginal costs. Regional, social, and other distributional impacts, positive or negative, are not appropriate for the NED evaluation; they belong in the regional development (RD) or social well-being (SWB) accounts. This does not imply that such impacts are unimportant; indeed, at a time when improvement in the use of all transportation modes is vital to the Nation, impacts on all modes should be considered. However, they are not NED benefits or costs.

Similarly, no adjustment is allowed for new waterways because the only viable method would be to use post-project rates (ICC data, constructed rates, railroad interviews, or engineered cost) to estimate the impact. This would require use of water-compelled rates, contrary to Section 7a of the DOT Act of 1966. Further, the adjustment would be highly speculative, since all possible methods of establishing the loss are very gross and subject to substantial error.

Comment: Some commenters questioned the use of "competitive and similar" rates (for existing projects) on two grounds. First, they felt that use of such rates is prohibited by law and would mark a return to the 1964–66 criteria. Second they felt that competitive and similar rates are not "prevailing" rates and, especially for existing projects, are not as reliable as prevailing rates.

Response: WRC defines prevailing rates as those in actual use of the time of the study, whether for existing or new waterways. Indeed, the great advantage of using prevailing rates is that they can be verified. The term "competitive and similar" is encompassed in the term "prevailing." When a choice among prevailing rates is possible, the analyst will choose those rates that reflect the best mix of competitive and similar characteristics. Therefore, the Manual is consistent with Section 7a.

Comment: One commenter noted that in sensitivity analysis, a mean should be used in cases in which two or more conditions are equally probable. Also, reference to the section on risk and uncertainty should be made.

Response: The "most likely" criterion is considered sufficient.

Comment: One commenter noted that in computing the effect of alternative levels of user charges on project benefits, the term "average annual costs of the waterway under study" is unclear in that it does not define whether the cost is the existing or incremental cost.

Response: This allows the flexibility to use the one that is more appropriate at the time of the study.

Comment: Many commenters stated that the interviewing of shippers, carriers, and other potentially interested parties will yield biased data, especially since actual individual answers are not disclosed. Among the possible solutions recommended by commenters were: (1) Explicitly correct for bias unless the interview data can be verified from an unbiased source; (2) Disallow use of any information not open to public scrutiny; (3) Require disclosure of all interview information not legally protected (e.g., by the Freedom of Information Act); and (4) Prespecify the precise interview form.

Response: The following language has been added to the Manual: "The errors and uncertainty inherent in the sampling methods and responses shall be described." This addition, together with the original language, strikes an appropriate balance among (1) the need for expert data; (2) the quantum of data required to be disclosed in a report; (3) the possible biases of the interview technique; and (4) reliance on the judgments and competence of the analyst. The Manual requires that the questionnaire and a summary of responses be displayed in the final report. Whether interested members of the public can obtain individual interview forms under the Freedom of Information Act is a matter beyond the scope of the rule.

Recreation

(May 24: Section 704.129; Final: Section 713.901–921)

Comment: Two commenters stated that too much agency discretion is allowed in applying evaluation methods.

Response: The step-by-step evaluation procedure provided in the final rule should reduce most problems associated with excessive discretion.

Comment: One commenter stated that consistency will not be promoted by the use of multiple methods of estimating benefits.

Response: Some methods are more accurate and appropriate under certain circumstances than others. Where recreation is a major project component, or where significant displacement of existing recreation is involved, accuracy of benefit measurement is important. In other circumstances more complex methods may not be cost effective. Results will be consistent among projects of a given kind as long as consistent criteria for applying methods are used. The procedures establish such criteria and require appropriate explanation and justification of the methods used.

Comment: One commenter asked whether the without-project condition is defined as the status quo or as the situation that would exist in the absence of institutional limitations.

Response: Agencies are responsible for defining and justifying the most probable situation in the absence of a Federal project.

Comment: Two commenters noted that the criteria for use of the travel cost method (TCM), the contingent valuation method (CVM), use estimating models (UEM), etc., are unclear. Several commenters thought that the criteria for use of unit day values (UDV) were too restrictive given the expense and complexity of TCM and CVM.

Response: The text has been revised to clarify the circumstances under which each approach is to be used. The application of UDV has been broadened. The revised criteria use Federal costs rather than total recreation costs. The clarity of this chapter has been improved by moving much of the detailed explanatory material to appendices.

Comment: Two commenters mentioned that the criteria for selection of an evaluation method were not consistent with the Principles and Standards.

Response: The revised Principles and Standards are now consistent with the Manual of Procedures.

Comment: Several commenters stated that there is need for a common measurement unit for recreation. One commenter suggested the use of "recreation day."

Response: Agencies are given discretion in choosing which unit to use, since one metric may be more appropriate than another, depending on the type of recreation involved and the method used to estimate benefits.

Comment: Several commenters remarked on the definitions of major recreation resource, market area, and design load.

Response: These definitions have been revised or the terms have been changed.

Comment: One commenter stated that it is important to distinguish the effects of travel costs and travel time in TCM.

Response: Accurate estimates of travel time costs depend on the availability of data. Until more data are widely available, it is inappropriate to specify detailed instructions in this area. Agencies are responsible for justifying the time values used.

Comment: One commenter noted a discrepancy between rejecting transportation costs as a measure of willingness to pay and then requiring use of TCM.

Response: The procedure disallows use of trip-related expenditures as a direct measure of willingness to pay. TCM uses data on travel costs indirectly to estimate willingness to pay.

Comment: Several commenters noted the absence of reference to dispersed recreation, overnight use, and effects of energy shortages.

Response: The methods described apply under the circumstances noted. Reference to energy shortages has been added to the section on TCM.

Comment: One commenter suggested that onsite time costs should be included in willingness to pay estimates for TCM and that congestion should be accounted for.

Response: The text has been revised to include both of these suggestions.

Comment: Several commenters observed that TCM and CVM are no more accurate than UDV, and that CVM is too experimental. Other commenters stated that UDV is arbitrary, subjective, and inaccurate.

Response: All methods yield only estimates of recreation benefits. Accuracy depends both on the conceptual validity of the method and the skill and judgment of the analyst. UDV is simple but lacks conceptual validity; hence, accuracy can never be verified. TCM and CVM have conceptual validity but require an increased investment in skilled analysis by the agencies.

Comment: One commenter asked what the procedure is for updating UDVs.

Response: Both the proposed and final rule specify that the most recent values published by WRC are to be used.

Comment: One commenter felt that the treatment of substitute alternatives was inadequate.

Response: The proposed procedures explicitly required accounting for substitute alternatives, but additional emphasis has been made in the final text.

Comment: Two commenters asked what values should be used for projections and what level of statistical significance is acceptable for regression estimates.

Response: The text now allows agencies discretion in these areas, subject to technical review.

Comment: One commenter asked how consumer surplus should be allocated if there is excess demand.

Response: The procedure assumes that supply is rationed by pricing according to willingness to pay. If congestion exists in practice, its effect on consumer surplus might be estimated using CVM, but the procedures impose no requirement in this regard.

Comment: Two commenters stated that the proposed rule overemphasizes quantitative analysis.

Response: The requirement that these procedures establish accurate and consistent methods necessarily involves quantitative analysis.

Comment: One commenter stated that use of consumer surplus is inappropriate.

Response: Most economists accept consumer surplus as the appropriate measure of value if the change is large enough to significantly affect price. Therefore, it is a valid concept in the Standards.

Comment: One commenter objected to equation specifications.

Response: This material has been deleted from the rule and placed in an appendix.

Comment: One commenter objected that the value of time was too arbitrary.

Response: The text has been revised to accommodate this objection.

Comment: One commenter noted that the proposed table values for variable cost of travel were too low.

Response: The table has been deleted from the rule, but the most current DOT values are still to be used.

Increases in Output Resulting From External Economies

(May 24: Section 704.131; Final: Sections 713.1101–.1109)

Comment: Two aspects of the treatment of external economies in this section caused the greatest concern to a majority of commenters. First, the examples were judged to be oversimplified and misleading, illustrating mainly offsite direct effects, not uncompensated indirect effects. One example was judged to be spurious, not exemplifying a technical external economy but merely a transfer in wealth—a pecuniary external economy.

The other major area of concern was the procedures and methods for measuring external economies. The procedures were judged to be too general and lacking in specific guidance and examples.

Several commenters expressed approval of the conceptual basis and definition of an external economy, but a few suggested the need for minor improvements. Two commenters pointed out that only those improvements in efficiency of output generated by a decrease in average total cost per unit of output constituted a technical external economy.

Several other comments related to the identification of affected firms and individuals and the boundaries within which technical external economies should be measured, pointing out that while a practical approach to identification and measurement would confine the exercise to existing firms and individuals, new firms and individuals could also benefit from such economies. The difficulty of delineating the area of economic activity for which technical external economies should be measured was emphasized in several comments, as was the tenuous and unrewarding tracing of all external economies. The remedy offered was to concentrate on those external economies recognized as significant.

Response: The objective of the procedure is accurate and consistent estimation of valid NED benefits attributable to technical external economies. This portion of the Manual has been revised to include specific evaluation steps. The examples given in the proposed rule have been replaced with an entirely new set of examples. In the interest of economy and practicality, the Council has resisted several entreaties to stipulate that all externalities, including the minor and microscopic, be traced and measured; instead, the Manual instructs planners to concentrate on measuring the obviously measurable. The boundary to the "area of search" for likely technical economies worth measuring is now guided by reference to the pertinent context; a watershed, river subsystem or system might constitute such an appropriate area to search for these impacts.

Comment: A number of commenters emphasized the need for a stricter definition of pecuniary external economies to ensure that no transfers of wealth be counted as NED benefits. One commenter urged that pecuniary economies be displayed to show which group(s) stand to gain and which to lose from the pecuniary economies created by a project.

Response: Two paragraphs have been added stating the nature of and characteristics of a pecuniary externality. The effects of pecuniary externalities are also described.

Comment: Several commenters expressed concern that external economies were treated at length in a separate section of the Manual while external diseconomies received relatively brief mention in the section of the Manual dealing with costs. The point was made repeatedly that projects are likely to generate as many or more external diseconomies as external economies and the treatment of them should therefore be equally thorough. One commenter was troubled by the

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fact that the discussion of external economies was completely and "artifically isolated" from the discussion of external diseconomies.

Response: To balance the treatment of external economies and diseconomies, the section dealing with external diseconomies has been expanded in the NED costs portion of the Manual, and a number of examples are given involving both market and nonmarket outputs.

Unemployed or Underemployed Labor Resources

(May 24: Section 704.132; Final: Sections 713.1201–.1209)

Comment: Four commenters were highly critical of the procedures; all of these commenters recommended that the methodology contained in an earlier draft of the Manual dated February 9, 1979, be reinstated. The approach in that draft used two procedures—one for small projects (a construction wage bill of less than $5 million and a construction period of less than 3 years), and a more detailed procedure for larger projects (matching the specific site's demand for construction labor with the supply of idle labor in the project area). These commenters found the evaluation procedure in the proposed rule appropriate only for small projects; they believe that its use for all projects would result in overestimates of benefits, since the procedure is based on an inordinately high percentage of previously unemployed workers in the total force required to construct a project.

Three commenters supported confining the benefits from unemployed labor resources to labor directly employed onsite for the period of construction and installation only. One commenter noted, however, that this limitation precludes consideration of employment that might be generated in construction support industries.

Two of these commenters said that the procedure proposed on May 24, 1979, is so simplified and arbitrary that it would produce meaningless estimates; they urged that it be replaced by the earlier approach or deleted.

Response: The earlier approach (based on the Haveman and Krutilla procedure) does represent a major methodological advance in the area of estimating benefits from otherwise unemployed resources. However, the Manual tried to strike a balance between procedures that could be widely utilized and give reliable, if only approximate results, and more complex methods that could yield more precise results but at a greater cost. It was judged that the Haveman and Krutilla method would not be appropriate for widespread application for the following reasons:

(1) Because it involves a series of computational steps, the Haveman and Krutilla method would require a substantial computer modeling effort.

(2) The method uses empirically-based response functions relating the probability of hiring unemployed or underemployed labor to the rate of regional unemployment. Little information exists regarding such response functions. (The original Haveman and Krutilla study used synthetic response functions.)

(3) The Haveman and Krutilla method relies on estimates of regional unemployment rates during the period of project construction. However, consistent data on regional unemployment rates and reliable methods for projecting such rates are not currently available.

It is incorrect to state that the Manual will result in large overestimates of the benefits of employing otherwise unemployed resources compared to the Haveman and Krutilla method. The procedure in the Manual is based only on direct employment during construction, whereas the Haveman and Krutilla procedure is based on direct plus indirect employment. In the latter method, direct employment constitutes about 25 to 53 percent of the total of direct and indirect employment which could translate into benefits that are 100 percent of direct labor costs. In summary, the Manual procedure offsets the effects of using a higher previously-unemployed labor percentage by applying it to a smaller base. Also, because the Manual procedure is restricted to those counties with substantial and persistent unemployment, it is more conservative in the number of projects to which it applies (the Haveman and Krutilla method would yield the same results for any county within one of the 10 regions used).

Comment: The Manual points out that the procedure proposed for calculating unemployed or underemployed benefits could result in "highly uncertain estimates." One commenter suggested that a benefit for otherwise unemployed labor is justified only where there is a substantial amount of unemployed labor with the skills needed during construction and installation. Further, an assessment of the potential of the project for employing the otherwise unemployed must be based on the current situation.

Response: The Council has adopted these suggestions. The procedure now limits this benefit to areas of substantial and persistent unemployment and stipulates the current availability of construction labor be estimated. In addition, the procedure requires a careful matching of the projects' labor requirements with the skills available in the unemployed labor force.

Comment: One commenter thought that the procedure would allow a benefit for the employment of otherwise unemployed labor in operation, maintenance and repair activities.

Response: The procedure clearly limits the benefits to direct employment on a project site only during the construction and installation period.

Comment: Two commenters urged that this benefit be applied to all alternatives including nonstructural alternatives, if they result in the employment of otherwise idle labor.

Response: The procedure has been clarified; the benefit applies when appropriate to all alternatives, structural and nonstructural.

Comment: One commenter notes that, under current procedures of the Army Corps of Engineers, most U.S. counties are considered eligible in counting benefits for the employment of otherwise unemployed workers on Corps projects. Two other commenters state that this benefit should be restricted to those areas with significant pools of unemployed and underemployed labor.

Response: Benefit estimation is limited to those counties and areas designated as having substantial and persistent unemployment as specified in Subsection 1 of Title IV of the EDA Act of 1965 (Pub. L. 89–136, as amended) and those Indian reservations that meet the same criteria.

NED Cost Evaluation Procedures

(May 24: Section 704.141; Final: Sections 713.2001–.2021)

Comment: A majority of commenters noted the disparity between the lengthy treatment given the benefit evaluation procedures and the brief discussion of cost evaluation procedures. The commenters recommended that the imbalance be corrected and the section on costs be expanded greatly to encompass more than a set of generalities phrased in "regulatory verbiage." Since cost analysis is as complex as benefit analysis, specific guidance should be given for costing projects or project functions—flood control, irrigation, hydropower, recreation, etc.—that have vastly different data bases and cost considerations. The Council should develop a sufficiently detailed and comprehensive evaluation methodology, especially for direct and indirect environmental costs.

Response: The proposed rule has been rewritten to enumerate and identify the different classes of project costs and to provide techniques for estimating them. An effort has been made to reduce regulatory verbiage, although certain names and classes of costs have been retained to ensure consistent and uniform application by agencies.

The Council did not enumerate a set of costs appropriate to each project function, preferring to provide a comprehensive set of costs, many of which are common to all project functions.

The procedure as now written is adequate to account for and measure the NED cost components of direct and indirect environmental effects.

Comment: Several commenters took issue with the definition of project costs. They urged the Council to define project costs as the direct pecuniary costs in the market place for the purchase of land, labor, machinery, equipment, materials, and services, plus any environmental or public sector values that are destroyed or not compensated for in the implementation of the project. The commenters state that the external diseconomies should be computed in a manner analogous to that used for computing external technical economies, their counterpart in benefit evaluation. Two commenters stated that significant indirect uncompensated adverse effects are no more uncertain or difficult to measure than effects that are routinely measured as project benefits; they urged that resource costs and benefits be evaluated using the same procedural framework.

Response: The total NED cost of a project has been defined in the rule as "the market value of a resource plus other values not reflected in the market price of the resource; it therefore accounts for all private sector and public sector uses."

The total cost of a project includes the pertinent project outlays, the associated costs, other direct costs, and the external economies. The Manual stipulates that technical external diseconomies shall be measured in a manner analogous to technical external economies. The measurement of a technical externality, whether beneficial or adverse, is usually complex, and this condition should be fully recognized.

Comment: Many commenters praised the inclusion of external diseconomies but thought the discussion totally inadequate; more and better examples and precise procedures for their calculation should be provided. Several commenters stated that the Manual should include specific procedures for evaluating the major types of diseconomies created by projects. In separate sections of the Manual, the Council should develop procedures for the quantification of these major types of indirect uncompensated adverse effects. These procedures should include cost measurement for such phenomena as increases in project-induced downstream flood damage, degradation of water quality, destruction of wetlands and fish and wildlife resources, and introduction of and/or increases in non-point pollution from irrigation return flows.

Two commenters believe that uncompensated indirect public costs of water project development such as congestion, lowered air quality, and inequitable costs charged for necessary new community services should be quantified as legitimate external diseconomies. Two commenters stated that the Council should require agencies to consider each specific category of costs for these external diseconomies and, at a minimum, justify the omission of their quantification.

Response: The Council found great merit in the suggestion that external diseconomies be treated in more depth in the regulation. The external diseconomies section has been expanded to enumerate several of the examples suggested by commenters. The Manual stipulates that the evaluation of these effects shall be studied "both within and outside the project area." The mandate to planners clearly encompasses the types of public cost externalities that impact adversely on the satisfaction of individuals in a community as a result of increased congestion, lowered air quality, and diminution in other environmental amenities.

Comment: One commenter urged that external diseconomies of the pecuniary type be judged relevant for NED cost evaluation: "Secondary pecuniary impacts are just as real as the primary impacts."

Response: The effects of transfers may be significant, especially for those who lose as a result of pecuniary diseconomies. These are not valid NED costs, however, because no real effects on resources are involved.

Comment: Another commenter thought that the Manual did not spell out the difficulties in quantifying external diseconomies, and that the display procedures were inadequate. The commenter suggested that the Council defer its treatment of external diseconomies to "a second round attempt" and then should specify measurement methods for each project function, such as flood control, irrigation, hydropower, water supply, etc.

Response: The Council recognizes the complexity involved in identifying and measuring externalities, whether beneficial or adverse. The Manual now clearly stipulates that "decreased output or increased cost per unit of output" is the pertinent measurement area. Several of the complexities and difficulties encountered in the measurement of external diseconomies (such as identification of the specific effect, and the area and entities impacted) are described in the portion of the Manual dealing with technical external economies. The Manual prescribes that the costs of external diseconomies be computed "using the procedures for computing benefits." Deferring consideration of external diseconomies and their measurement is not justified; these effects are significant in water resources planning, and adequate techniques have been developed for their measurement.

Comment: Two commenters welcomed the recognition that an irrigation project can result in increasing the load and concentration of salts downstream, thus creating an external diseconomy. Another commenter stated that the costs of water quality degradation for any water use should be thoroughly dealt with in the Manual.

Response: The loading and concentration of salts may result in increased water treatment costs for certain downstream users. Total project costs have been defined to include all direct and indirect uncompensated real costs as well as associated costs. Degradation of water quality that increases the cost per unit of output of any use of the degraded water within or outside the project area is accounted for in the procedures.

Comment: Another commenter pointed out that beneficial effects—external economies—are usually produced along with adverse effects.

Response: The Manual stipulates that all measurable indirect uncompensated effects, both beneficial and adverse, be evaluated.

Comment: Two commenters urged that the portions of the Manual dealing with uncompensated economic losses be written to provide specific examples and methods for evaluating these losses. One of the two commenters stated that downstream loss of groundwater recharge or other surface water uses downstream resulting from upstream impoundment of such surface water is a significant uncompensated economic loss. The other commenter pointed out that recreational uses of a stream

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displaced by a project can be a significant and usually uncompensated economic loss.

Response: The portion of the proposed rule entitled "Uncompensated Economic Losses" has been changed. The term used in the Manual is "external diseconomies," which is defined as "uncompensated net losses in economic outputs (not transfers) that can be quantified." A procedure is now provided for the measurement of external diseconomies. One example given is the measurement of the loss of recreation displaced by the project; this loss is a direct cost attributable to the project and is normally not compensable.

Comment: Several commenters believe that all funds expended for mitigating the adverse impacts of a project should be charged to the project under the NED account as should the value of all uncompensated losses after mitigation. Another commenter stated that should the cost of mitigating adverse effects cause the benefit-cost ratio to fall below one, this would not mean that mitigation is uneconomic but simply that the project is unjustified in economic terms. Another commenter agreed with the Council that uncompensated losses after mitigation must be evaluated but stated that correct evaluation of these adverse effects has seldom been performed by the Federal construction agencies; for example, when mitigation has been evaluated in terms of land equivalents, market land values have not been adjusted (or have been improperly adjusted).

Three commenters objected for different reasons to the proposed requirement that mitigation of fishery losses be displayed on a monetary value scale. One commenter considered this attempt shortsighted and doomed to failure because there is no widely accepted way of converting environmental factors into monetary units.

Another commenter stated that the portion of the proposed rule dealing with mitigation was not pertinent to NED cost evaluation but constituted instruction in plan formulation procedures and should be deleted. Another urged removal of the tables, stating that they violated the Fish and Wildlife Coordination Act by interferring with the consultation process required by the Act; the commenter said that the Council had not defined the manner in which the opportunity costs included in the table were to be determined. The latter point was stressed by another commenter, who drew attention to the difficulty of obtaining the opportunity costs in terms of values foregone for fishery losses as set out in the table.

Response: The costs of mitigation and the uncompensated NED net losses in economic outputs are stipulated in the Manual as component costs of total project costs. The conclusion reached by the commenter who pointed out that mitigation costs may cause total costs to outweigh total benefits is correct. There is ample flexibility in the rule (§ 713.2003) to adjust "market values" by the use of surrogate values.

The monetary value scale set out in the proposed rule has been deleted from the final rule for the reasons given by the commenter.

Comment: One commenter stated that the Manual should include evaluation procedures to measure option and existence values associated with undeveloped ecological assets to remedy the inadequate treatment of uncertainty and irreversibility attaching to these assets.

Another commenter, urged the Council to consider such values for similar reasons, noting that while option value has been well defined in the theory, methods of estimation are in their infancy. A third commenter objected to the inclusion of option and existence values in the Manual, stating that they are speculative and not quantifiable given available measurement techniques.

Response: While option and existence values are valid in concept and theory, the accepted methods for their measurement are not available; consequently all reference to these values has been deleted in the Manual.

Comment: One commenter objected to the inclusion of the concepts of willingness to sell or to accept compensation as the basis for determining option and existence values, since these concepts are highly controversial, ambiguous, and not quantifiable.

Response: References to willingness to sell or to accept compensation have been deleted from this portion of the Manual because reliable empirical methods for estimating such willingness have not been developed.

Comment: One commenter stated that surrogate values should receive treatment equal to that given market prices, since surrogate values are the only vehicle to value the nonmarket environmental services.

Response: In the final rule, the role of surrogate value in measuring the full opportunity costs of resource use in the public sector is amply recognized and stipulated when applicable.

Comment: One commenter stated that the costs section of the Manual should encourage water conservation and multiple and successive use of water, that this section did not adequately promote water policies related to wastewater reclamation and water conservation and reuse.

Response: The cost section of the Manual addresses the evaluation of NED costs. Its sole purpose is to define a valid concept of costs and to translate that concept into accurate methods for measuring NED costs. The costs as enumerated and categorized in the rule are applicable to wastewater reclamation projects and water conservation measures. This is not to say that water conservation and water reuse policies and strategies are unimportant.

Comment: The conceptual basis for costs was considered inadequate by one commenter, who pointed out that the value of natural resources is not limited to the value of the resources in "use" but must also account for their "availability."

Response: The conceptual base has been broadened in the final rule to encompass the availability of a resource in accounting for its value.

Comment: Several commenters cautioned that market values are not likely to be good measures of costs where noncompetitive conditions exist, and asked what adjustments should be made to the wage rate established by the Davis-Bacon Act (Pub. L. 71–798).

Response: The conceptual basis of the rule now contains adequate flexibility to account for distortion in prices in noncompetitive markets and the necessary adjustment that must be made in the form of surrogate values to reflect the total opportunity cost of such resources.

Comment: One suggestion was that inconsistent funding should be included under construction contingencies as an example of an unforeseen problem.

Response: Construction contingency costs refer strictly to the effects of unforeseen conditions on estimates of construction costs. Inconsistent funding can certainly contribute to increased construction costs. However, such funding would be classified with such items as inflation and omission of work items that are known to be required, in which case it would not be included in construction contingency costs.

Comment: Several commenters emphasized the need to expand the Manual to give greater consideration to the values of wildlife, wildlife habitat, and the environment. These values, when they were addressed in the proposed rule, were restricted to

recreation uses. Even then the Manual dealt only with fishing and hunting, which are poor examples of environmental services. The concentration on recreation aspects serves to understate the value of environmental amenities, many of which are unique and irreplaceable natural resources. The Council should develop estimates of the dynamic opportunity costs associated with these scarce resources.

Response: The opportunity costs associated with unique, increasingly scarce, and irreplaceable natural resources would provide valuable insights and aids to decisionmakers in their consideration of the preservation or development of these environmental assets. However, measurement methods are not sufficiently advanced to be reliable and ready for application in the field at this time.

The evaluation procedures in the Manual account for the private and public, market and nonmarket uses of water and related physical and biological resources. The Council encourages the development of measurement methods in the complex area of valuing environmental services and amenities.

Comment: One commenter stated that comprehensive measurement of the costs of environmental impacts warranted the development not only of the private market costs and the noneconomic descriptive displays of these impacts, but also indices commensurable with the economic accounts. Project planners could use the environmental impact statements to construct such indices. Estimates of economic values would be qualified according to the difficulty of measurement, and the descriptive displays now required would be supplemented by information illustrating a scarcity index for qualitatively unique environmental characteristics and explicit incorporation of a national preservation plan into the project.

Response: These suggestions will be fully considered in the preparation of the environmental quality evaluation procedure now under development by the Council.

4. Rule Promulgation

Accordingly, the Water Resources Council amends 18 CFR by adding Part 713 as follows:

PART 713—PROCEDURES FOR EVALUATION OF NATIONAL ECONOMIC DEVELOPMENT (NED) BENEFITS AND COSTS IN WATER RESOURCES PLANNING (LEVEL C)

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Authority: Sec. 103, Pub. L. 89–80; 79 Stat. 245; 42 U.S.C. 1962a–2.

Subpart A—Purpose

§ 713.1 Authority and relationship to the principles and standards.

On July 12, 1978, President Carter directed the Water Resources Council (WRC) and its Member agencies to "carry out a thorough evaluation of current agency practices for making benefit and cost calculations" and "publish a planning manual that will ensure that benefits and cost are estimated using the best current techniques and calculated accurately, consistently and in compliance with the Principles and Standards and other applicable economic evaluation requirements." This Manual of Procedures supplements and implements the Principles and Standards established by the Water Resources Council (WRC) pursuant to Section 103 of the Water Resources Planning Act (Pub. L. 89–80; 42 U.S.C. 1962a–2).

§ 713.3 Agency activities covered by the manual.

(a) These procedures shall be used for the evaluation of beneficial and adverse effects of Federal and federally assisted water resources projects covered in the Standards, Section I.B.2. of the Principles and Standards for Planning Water and Related Land Resources. The procedures apply to all Level C (project) planning subject to the Principles and Standards, including (1) projects that may be approved by agency administrators, (2) projects requiring congressional authorization, and (3) authorized projects or separable features of authorized projects not yet under construction for which agencies currently prepare postauthorization planning documents. For the purposes of this Manual, a project shall be considered "under construction" when funds have been appropriated by the Congress or budgeted by the President for land acquisition or physical construction activity. Projects for which postauthorization planning documents are not required shall be considered under construction when authorized for construction.

(b) The Secretaries of Departments shall retain the discretion to review those projects not under construction and may, under their discretionary authority, wholly exempt a project from complying with this Manual of Procedures or partially exempt a project and direct expedited additional planning to meet specific procedures. This discretionary authority applies to those projects not yet authorized for which preauthorization planning is now complete or will be complete by the end of FY 1980 and to those authorized projects requiring postauthorization planning if such planning is now complete or will be complete by the end of FY 1980. For purposes of applying this Manual, preauthorization or postauthorization planning shall be considered complete when the appropriate planning documents have been approved by the responsible agency's field office. Secretarial authority to exempt projects from the procedures of this Manual is provided to prevent undue loss of time or expenditure of public funds in those cases in which the Secretary judges additional planning to be unnecessary. This discretionary authority may not be exercised after July 31, 1981.

(c) Authorized projects exempted from complying with the Principles and Standards are also exempted from complying with the procedures in this Manual.

§ 713.5 Responsibility for application of the manual.

The administrator of each covered Federal or federally assisted program is responsible for applying the procedures covered in this Manual.

§ 713.7 Schedule for application of the manual.

The responsible agency administrators shall adopt these procedures within 30 days of the date of publication in the Federal Register.

§ 713.9 Modification of the manual.

The Water Resources Council will revise these procedures periodically as experience, research, and planning conditions require in order to ensure the use of the best current techniques and accurate and consistent calculations.

Subpart B—General

§ 713.21 Calculation of net benefits.

Water resource management plans often take several years to install. During the installation period, costs are often incurred without immediate benefits. Once installation is complete, however, there is a time stream of future benefits and costs. This section provides guidance for calculating net benefits in recognition of the variation in timing of project costs and benefits.

§ 713.23 Conceptual basis.

Project NED benefits and costs must be compared at a common point in time. The following information is required:

(a) *Installation period*—the number of years required for installation of the plan. If staged installation is proposed over an extended period of time, the installation period shall be limited to the time needed to install the first phase.

(b) *Installation expenditures*—the dollar expenses expected to be incurred during each year of the installation period.

(c) *Period of analysis*—the time horizon for project benefits, deferred installation costs, and operation, maintenance, and replacement (OM&R) costs, beginning at the end of the installation period and extending up to 100 years into the future. For purposes of NED analysis, the period of analysis is further restricted to the lesser of (1) the period of time over which the project would serve a useful purpose; or (2) the period of time after which further discounting of beneficial and adverse effects would have no appreciable impact.

(d) *Benefit stream*—the pattern of expected benefits over the period of analysis.

(e) *OM&R costs*—the expected costs over the period of analysis for operation, maintenance, and replacement necessary to maintain the benefit stream and agreed-upon levels of mitigation of losses to fish and wildlife habitats.

(f) *Discount rate*—the rate published annually by the Water Resources Council for use in evaluating Federal water projects.

§ 713.25 Calculating net NED benefits in present value terms.

Net NED benefits of the plan are calculated in present value terms. To perform this calculation, the benefit stream, deferred installation costs, and OM&R costs shall be discounted to the beginning of the period of analysis using the applicable project discount rate. Installation expenditures shall be brought forward to the beginning of the period of analysis by charging compound interest at the project discount rate from the date the costs are incurred.

§ 713.31 Risk and uncertainty—Sensitivity analysis.

This section provides guidance for the evaluation of risk and uncertainty in the formulation of water resources management and development plans.

§ 713.33 Conceptual basis.

(a) *Risk.* Situations of risk are conventionally defined as those in which the potential outcomes can be described in reasonably well known probability distributions. For example, if it is known that a river will flood to a specific level on the average of once in 20 years, a situation of risk, rather than uncertainty, exists.

(b) *Uncertainty.* In situations of uncertainty, potential outcomes cannot be described in objectively known probability distributions. Uncertainty is characteristic of many aspects of water resources planning. Because there are no known probability distributions to describe uncertain outcomes, uncertainty is substantially more difficult to analyze than risk.

(c) *Sources of risk and uncertainty.* (1) Risk and uncertainty arise from measurement errors and from the underlying variability of complex natural, social, and economic situations. If the analyst is uncertain because the data are imperfect or the analytical tools crude, the plan is subject to measurement errors. Improved data and refined analytic techniques will obviously help minimize measurement errors.

(2) Some future demographic, economic, hydrologic, and meteorological events are essentially unpredictable because they are subject to random influences. The question for the analyst is whether the randomness can be described by some probability distribution. If there is an historical data base that is applicable to the future, distributions can be described or approximated by objective techniques.

(3) If there is no such historical data base, the probability distribution of random future events can be described subjectively, based upon the best available insight and judgment.

(d) *Dimensions of risk and uncertainty.* The degree of risk and uncertainty generally differs among various aspects of a project. It also differs over time, because benefits from a particular purpose or costs in a particular category may be relatively certain during one time period and uncertain during another. Finally, the degree of uncertainty differs at different stages of the analysis—for example, between rough screening and final detailed design, when more precise analytic methods can be applied.

(e) *Attitudes.* The attitudes of decisionmakers toward risk and uncertainty will govern the final selection of projects and of adjustments in design to accommodate risk and uncertainty. In principle, the government can be neutral toward risk and uncertainty, but the private sector may not be. These differences in attitudes must be taken into account in estimating the potential success of projects.

(f) *The role of the planner.* (1) The planner's primary role in dealing with risk and uncertainty is to characterize to the extent possible the different degrees of risk and uncertainty and to describe them clearly so that decisions can be based on the best available information. The planner should also suggest adjustments in design to reflect various attitudes of decisionmakers toward risk and uncertainty. If the planner can identify in qualitative terms the uncertainty inherent in important design, economic, and environmental variables, these judgments can be transformed into or assigned subjective probability distributions and encoded by a knowledgeable interpreter. A formal model characterizing the relationship of these and other relevant variables may be used to transform such distributions to exhibit the uncertainty in the final outcome, which again is represented by a probability distribution.

(2) At all stages of the planning process, the planning shall incorporate any changes in project features that, as a result of information gained at that stage, could lead to a reduction in risk and uncertainty at a cost consistent with improvement in project performance.

§ 713.35 Planning setting.

(a) Some risk and uncertainty are assumed in nearly every aspect of a water resources project. Some types of risk and uncertainty are dealt with in terms of national planning parameters—for example, ranges of population projections and other principal economic and demographic variables. Other types of risk and uncertainty are dealt with in terms of project or regional estimates and forecasts. When projects are related to other projects and programs in their risk and uncertainty aspects (e.g., interrelated hydrologic systems), reasonable attempts should be made to see that the same analyses and presumed probability distributions are used for all of them.

(b) The risk and uncertainty aspects of projects are likely to be seen and analyzed differently as planning proceeds from rough screening to detailed project proposals. An effort should be made, therefore, to relate the techniques used in characterizing and dealing with risk and uncertainty to the stage of the planning process.

(c) The resources available for analyzing aspects of risk and uncertainty should be allocated to those assessments that appear to be the most important in their effects on project and program design. Rather than assuming in advance that one or another variable is a more important source of risk and uncertainty, the planner should make a thorough effort to determine which variables will be most useful in dealing with measurement errors and natural sources of risk and uncertainty.

§ 713.37 Evaluation procedure: General.

(a) The aspects of project evaluation that can be characterized by a probability distribution based on reasonably firm data, such as hydrologic risk, shall be treated by standard methods of risk evaluation developed by Federal agencies and others.

(b) Most risk and uncertainty aspects of projects cannot be characterized by probability distributions based on well established empirical data. A first step in dealing with this problem is to describe why the project or specific aspects of it are uncertain, as well as the time periods in which different degrees of uncertainty are likely. A range of reasonably likely outcomes can then be described by using sensitivity analysis—the technique of varying assumptions as to alternative economic, demographic, environmental, and other factors, and examining the effects of these varying assumptions on outcomes of benefits and costs. In some cases and in some stages of planning, this approach, when accompanied by a careful description of the dimensions of uncertainty, will be sufficient. It can be accompanied by design adjustments representing various attitudes toward uncertainty.

(c) It may be appropriate in some cases to characterize the range of outcomes with a set of subjective probability estimates, but the project report must make clear that the numerical estimates are subjective. Moreover, subjective probability distributions must be chosen and justified case by case, and some description of the impact on design of using other subjective distributions must be given. Design alternatives reflecting various attitudes toward uncertainty may be suggested.

(d) Utility functions may be used in conjunction with assessments of uncertainty to explore design adaptations relevant to various types of utility or preference. Public preferences, if well known, may be used to illustrate to decisionmakers what the best design would be, given the uncertainties and preferences in a particular case. If public preferences are not well known, justification should be given for the selection of various utility functions, which may be used only to illustrate the effects on design of various preferences.

(e) At every level of analysis, the planner shall take into account the differences in risk and uncertainty among project purposes and costs, among various time periods, and among different stages of planning.

(f) One guide to the use of the techniques discussed here is displayed in Table 713.37–1. In general, more complex techniques are used as planning proceeds from initial development and the screening of alternatives to the analysis and presentation of the final set of alternative plans. For example, sensitivity analysis—testing the sensitivity of the outcome of project evaluation to variation in the magnitude of key parameters—may be most useful and applicable in the early stages of planning, when the concern is to understand single factors or relatively general, multiple-factor relationships. Multiple-factor sensitivity analysis, in which the joint effects or correlations among underlying parameters are studied in greater depth, may be much more important in the detailed analytic stage than in the screening stage.

(g) Similarly, analysis of risk and uncertainty using objective or subjective probability distributions is more appropriate in the detailed analytic stage than in the early screening stage. Although hydrologic and economic probabilities may be used in the screening stage, the full use of independent and joint probability distributions, possibly using computer simulation methods to describe expected values and variances, should be primarily reserved for the detailed stage.

[illegible] UNCERTAINTY

	Screening Alternatives	[illegible] of Projects	Final Presentation of Alternatives
Sensitivity Analysis	X	X	
Use of Objective and Subjective Probability Distributions		X	
Illustrative Application of Public Preferences and Decisionmakers' Attitudes		X	X

(h) Although decisionmakers' attitudes and decision rules can be used to give perspective on alternative designs throughout the planning process, they are most important at the stage of displaying alternative designs responsive to specific attitudes toward risk and uncertainty.

§ 713.39 Evaluation procedure: Problems in application.

(a) *Distinguishing among assessments of risk and uncertainty, design adaptations, and attitudes.* The differences among the underlying degrees of risk and uncertainty, the design adaptations to them, and the preferences of decisionmakers should be kept clear throughout the analysis. The first two depend primarily on technical expertise; the last is the set of preferences based on various attitudes toward risk and uncertainty.

(b) *General and specific adjustments.* Adjustments to risk and uncertainty in project evaluation can be characterized as general and specific. General adjustments include the addition of a premium rate to the interest, overestimation of costs, underestimation of benefits, and limitations on the period of analysis. Such general adjustments are usually inappropriate for public investment decisions because they tend to obscure the different degrees of uncertainty in different aspects of projects and programs. Specific adjustments—including explicit assessments of different degrees of risk and uncertainty in specific aspects of a project or program and specific adjustments to them—are preferable.

§ 713.41 Report and display procedures.

The assessment of risk and uncertainty in project evaluation shall be reported and displayed in a manner that makes clear to the decisionmaker the types and degrees of risk and uncertainty believed to characterize the project; the adjustments in project design that could be made to modify the degree of risk and uncertainty; and the gains and losses in various dimensions that might accrue from these various adjustments. The report and display sections shall, when feasible, describe the types of risk and uncertainty thought to characterize each aspect and time period of the project.

§ 713.51 Project scaling using net benefit analysis.

(a) The maximization of net benefits approach prescribed in the Principles and Standards shall continue to be used for scaling the level of development for the national economic development (NED) plan. An alternative other than the NED plan may be recommended for implementation, however, to (1) achieve a greater level of service to the environmental quality objective; or (2) satisfy other project scaling criteria (such as those used to determine project design flood).

(b) If an alternative to the NED plan is recommended, the economic, environmental, and social impacts of the recommended alternative project shall be displayed against those of the NED alternative in a way that permits comparison of the tradeoffs. Other alternative plans that are important to the selection of the recommended alternative shall be displayed for purposes of comparison.

§ 713.61 Project design flood.

(a) Structural and nonstructural flood hazard reduction components may be scaled to protect against inundation by floods of various magnitudes. Design sizes to protect against larger floods achieve greater economic benefits and provide greater safety for the lives and property of the people protected, but they do so at a greater cost and sometimes greater environmental and social disruption.

(b) Project scaling as related to design flood is the process of determining the design level of protection that achieves the best balance between a project too small to achieve acceptable benefits and safety and a project so large that it is an unnecessary burden to the taxpayer and to the natural and social environments. In project scaling, the criterion of economic efficiency is one approach to resolving the design flood issue. This approach provides a basis for identification of the design flood that maximizes project net benefits. The theoretical soundness of departures from this approach depends on whether or not the specific criteria being used are legitimate, and whether the optimality of these criteria varies from economic optimality. A common example of the criteria used in flood control project scaling is the personal safety and peace of mind of residents in flood-prone areas; determining the soundness of such departures from economic optimality requires empirical information on how economic benefits, hazards to life, and other objectives are handled in project scaling.

(c) If a project design flood level differs from the level of protection at which net economic benefits are maximized, there shall be a display and comparison of the plan that maximizes net economic benefits and the plan that departs from maximization of net economic benefits. The economic, environmental, and social effects of each plan shall be displayed in a manner that permits comparison of the tradeoffs involved in choosing either alternative.

§ 713.81 Display of project interaction.

In addition to the displays described in Subparts C through V, each NED analysis shall include a display, in matrix form, of all existing or expected Federal and non-Federal projects or facilities having significant economic, environmental, or physical interactions with the alternative plans in the analysis, together with a brief narrative description of these interactions.

§ 713.91 Definitions.

Terms used in this regulation are defined as follows:

Agricultural drainage. (1) The rehabilitation and improvement of existing drainage systems or the construction of new drainage systems to improve the efficiency of cropland, woodland, and grassland by lowering the water level in areas in which agricultural production has been limited by naturally high water tables, normal precipitation or normal tide action, seepage, or excess irrigation water.

(2) Drainage projects include measures for surface drainage, the removal of excess water above the surface of the ground; and subsurface drainage, the removal of excess water below the surface of the ground. Drainage projects involve watershed or subwatershed areas composed in whole or in part of lands drained or proposed to be drained. The boundaries of the water problem area may consist of artificial barriers that prevent the inflow of water originating outside of the area.

Agricultural flood damage reduction. The adjustment in land use and the structural and nonstructural measures designed to reduce hazard from floodwater, erosion, and/or sediment. Reduction of sediment on agricultural land will normally serve the single purpose of flood damage reduction. Reduction of sediment in channels or reservoirs may serve other purposes as well (i.e., navigation, water supply, power) and should be identified accordingly. To differentiate flood damage reduction from agricultural and rural drainage of flatlands, flood damage reduction is defined as any measure undertaken to reduce or prevent damages from surface water caused by abnormally high direct precipitation, stream

overflow, or floods caused or aggravated by wind or tidal effects.

Flood. A general and temporary condition of partial or complete inundation of normally dry land from the overflow of inland or tidal waters, or the unusual and rapid accumulation or runoff of surface waters from any source.

Nonstructural measure. A modification in public policy, an alteration in management practice, a regulatory change, or a modification in pricing policy that provides a complete or partial alternative to traditional structural measures for addressing water resources problems and needs.

Separable feature. A project element that can be implemented or constructed independently of other features and that does not depend on other features for its structural (or other) viability.

Urban drainage. (1) The adjustment in land use and storm sewer systems designed to collect runoff from rainfall or snowmelt in an urban area and convey it to natural water courses or to previously modified natural waterways. Storm sewer systems include storm drains, inlets, manholes, pipes, culverts, conduits, sewers and sewer appurtenances, onsite storage and detention basins, curbs and gutters, and other small drainageways that remove or help to manage runoff in urban areas.

(2) Storm sewer systems are designed to solve urban storm drainage problems, which are typified by excessive accumulations of runoff in depressions, overland sheet flow resulting from rapid snowmelt or rainfall, and excessive accumulation of water in one or more components of a storm sewer system.

Urban flood damage reduction. The adjustment in land use and the structural and nonstructural measures designed to reduce flood damages in urban areas from overflow or backwater due to major storms and snowmelt. The measures include structural and other engineering modifications to natural streams or to previously modified natural waterways. Urban flood damage reduction is accomplished by modifying temporary conditions of inundation of normally dry land from the overflow of rivers and streams or from abnormally high coastal waters due to severe storms.

Water conservation. Actions to (1) reduce the demand for water; (2) improve efficiency in water use and reduce losses and waste; and (3) improve land management practices to conserve water. The term does not encompass any storage facilities for the development of new water supplies.

Water supply. The water that becomes available for consumptive and nonconsumptive uses either through increases in quantity or improvements in quality of existing supplies. The uses include but are not limited to municipal and industrial, agricultural, hydropower, navigation, recreation, and fish and wildlife habitat.

Subpart C—NED Benefit Evaluation Procedures—Municipal and Industrial M&I Water Supply

§ 713.101 Introduction.

This section provides procedural guidance for the evaluation of national economic development (NED) benefits of municipal and industrial (M&I) water supply features of water resource projects and plans. The procedures presented apply to both structural and nonstructual elements of such plans.

§ 713.103 Conceptual basis.

(a) The conceptual basis for evaluating the benefits from municipal and industrial water supply is society's willingness to pay for the increase in the value of goods and services attributable to the water supply. Where water is priced at its marginal cost, that price shall be used to calculate willingness to pay for additonal water supply. In the absence of such direct measures of marginal willingness to pay, the benefits from a water supply plan shall be measured instead by the resource cost of the alternative most likely to be implemented in the absence of that plan.

(b) The benefits from nonstructural measures are also computed using the cost of the most likely alternative. However, the net benefits of certain nonstructural measures that alter water use cannot be measured effectively by the alternative cost procedure for the following reasons: (1) Structural measures and many nonstructural measures (except those that alter use) result in similar plan outputs, whereas use-altering measures (e.g., revised rate structures) may change levels of output; and (2) use-altering measures may have fewer direct resource costs than measures based on higher levels of output. Recognizing this lack of comparability, the benefit from such use-altering nonstructural measures shall not be based on the cost of the most likely alternative. Attempts to measure the benefits of use-altering nonstructural measures on the basis of willingness to pay are encouraged, although the display of such benefits is not required.

§ 713.105 Planning setting.

(a) *Without-project condition.* The without-project condition is the most likely condition expected to exist in the future in the absence of the proposed water supply plan, including any known changes in law or public policy. Several specific elements shall be included in the without-project condition:

(1) *Existing water supplies.* Existing water supplies shall be included in the without-project condition. Adjustments shall be made to account for anticipated changes in water supply availability because of the age of facilities or changed environmental requirements.

(2) *Institutional arrangements.* Existing and expected future water systems and water management contracts and operating criteria shall be considered part of the without-project condition unless revision of these systems, contracts, or criteria is one of the alternative plans being studied.

(3) *Additional water supplies.* The without-project condition shall include water supplies that are under construction or authorized and likely to be constructed during the forecast period.

(4) *Probability of water supply.* Calculation and specification of the probability of delivery for each source of water supply shall be included in the analysis.

(5) *Water quality.* Water use is based on both the quanity and the quality of water supply. Different uses may require different qualities as well as quantities of water. Supplies also vary according to quality and quantity. Because water quality is a critical factor in water supply, it shall be specified in any consideration or presentation related to water quantity. The degree of detail used to describe water quality shall be suitable to permit differentiation among water sectors or available water supply sources.

(6) *Nonstructural measures and conservation.* The without-project condition shall include the effects of implementing all reasonably expected nonstructural and conservation measures, including those required or encouraged by Federal, State, and local policies.

(b) *With-project condition.* The with-project condition is the most likely condition expected to exist in the future with the Federal water supply plan under consideration. The five elements and assumptions addressed in the without-project condition shall also be addressed in the with-project condition. Nonstructural water supply measures may be used alone or in combination with structural measures. If the proposed measures are already in the process of

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implementation, they shall be considered part of the without-project condition. Nonstructural measures to be considered include, but are not limited to:

(1) Reducing the level and/or altering the time pattern of demand by metering, leak detection and repair, rate structure changes, regulations on use (e.g., plumbing codes), education programs, drought contingency planning;

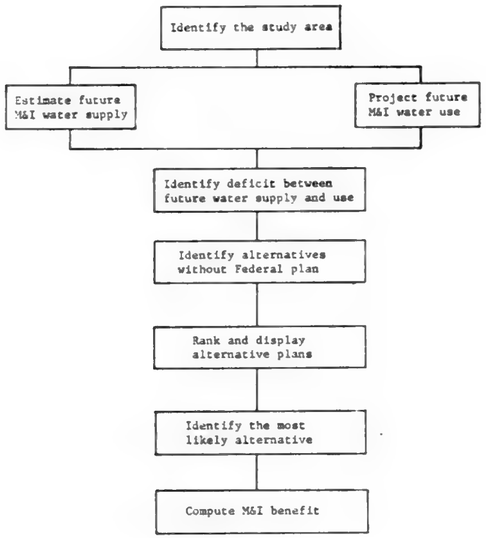
(2) Modifying management of existing water development and supplies by recycling, reuse, and pressure reduction; and

(3) Increasing upstream watershed management and conjunctive use of ground and surface waters.

§ 713.107 Evaluation procedure: General.

The steps described in §§ 713.109 through 713.125 are necessary to estimate NED benefits that would accrue to one or more alternative plans for providing an M&I water supply (see Figure 713.107–1). The level of effort expended on each step depends on the nature of the proposed development, the state of the art for accurately refining the estimate, and the sensitivity of project formulation and justification to the estimate.

Figure 713.107-1 - Flowchart of M & I Evaluation Procedures



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§ 713.109 Evaluation procedure: Identify the study area.

The study area is the area within which significant project impacts will accrue from the use of M&I water supplies, including areas that will receive direct benefits and/or incur costs from the provision of M&I water supply.

§ 713.111 Evaluation procedure: Estimate future M&I water supplies.

An analysis of all sources of supply expected to be available to the M&I water user shall be prepared. Data may be obtained from various sources, including water utilities, State and local planning agencies, and State water resources agencies. This analysis shall be by time period and include existing water supplies, institutional arrangements, additional water supplies, probability of water supply, and water quality.

§ 713.113 Evaluation procedure: Project future M&I water use.

Future water use shall be projected by sector, in consideration of seasonal variation, and shall be based on an analysis of those factors that may determine variations in levels of water use. Projections shall include the effects of implementing all expected nonstructural and/or conservation measures required or encouraged by Federal, State, and local policies, and by private actions. Care shall be taken to verify that the expected implementation will take place, and to ascertain the probable time of implementation.

(a) *Sector analysis.* Project future water use for the same time periods as for the supply projections for each of the following sectors: Residential (include indoor use and outdoor uses such as lawn irrigation and car washing); commercial (include water use for retail and wholesale trade, offices, hospitals, schools, medical laboratories, restaurants, service industries, etc.); industrial (include all water used by manufacturing industries as an input in the production process); and additional uses (include public service use—for example, fire protection—and unaccounted-for losses).

(b) *Analysis by time of use.* Identify seasonal variations in use for each of the above sectors and maximum day use for the system for each season.

(c) *Related factors analysis.* (1) Identify the determinants of demand for each sector. Use such determinants as price of water and sewer service; income; number and type of housing units and population per unit; industrial mix; and level of economic activity. The variable projection of these factors as well as the extent to which they influence projection of water use in various sectors shall be explained.

(2) Determine the relationship expected to exist between future levels of water use and the relevant determinants of water demand. Develop and use a forecast or forecasts of future levels of the determinants to project alternative future water use by sector and explain the choice of the particular forecast used.

(d) *Aggregation of projections.* Aggregate separate projections for each sector to a single projection by time period. (This shall not, however, be viewed as a deterrent to meeting the needs of each sector by separate alternatives.)

§ 713.115 Evaluation procedure: Identify the deficit between future water supplies and use.

Projected water use shall be compared with future water supplies to determine whether any deficits exist in the study area. An analysis shall be made of the intensity, frequency, and duration of the expected deficits. Deficits shall be addressed in three basic options: (a) Reduce projected water use by implementation of nonstructural or conservation measures that are not part of the without-project condition; (b) increase and/or more efficiently use water supplies through structural measures; and (c) accept and plan to manage water supply shortages. Plans generally are formulated to include some or all of these options.

§ 713.117 Evaluation procedure: Identify alternatives without Federal plan.

Alternative plans that are likely to be implemented by communities and/or industries in the absence of any Federal alternative shall be identified. Various alternatives to the Federal plans must be tested for acceptability, effectiveness, efficiency, and completeness as defined in the Principles and Standards. These plans shall be identified through analysis of the total water resources of the region, allowing for present and expected competing uses.

(a) Consideration of alternative plans shall not be limited to those that would completely eliminate the projected gap between supply and demand. Plans that do not completely satisfy water supply objectives shall also be considered. Such plans shall include measures to minimize and allocate shortages when they occur (drought management measures). The increased risk of occasional shortages shall be balanced against the savings from lower investments that would increase the probability of occasional shortages. The costs of shortages shall include the costs of implementing drought management measures and the costs of related public health and safety measures.

(b) Alternative plans need not be based on the development of a single source of supply at one time. They may consist of the development of a single source or the conjunctive development of several sources with increments phased to match anticipated growth in water use.

(c) If political or institutional obstacles to implementation are noted, the plan may still be considered likely if the barriers are substantially within the power of the affected water users to correct. If an alternative is eliminated because of institutional or political obstacles, a sensitivity analysis shall be performed to determine whether the Federal project is economically justified when the rejected alternative is used as the basis of the benefit calculation. If this analysis indicates that the project would not remain justified, and explanation shall be given for recommending a Federal project over the more economical rejected alternative. A detailed description of the political or institutional obstacles shall be included, with a discussion of the basis for the conclusion that the obstacles cannot be overcome.

§ 713.119 Evaluation procedure: Rank and display the alternative plans based on least cost analysis.

(a) All of the alternatives shall be ranked in order from the highest cost alternative to the lowest. The annualized costs of the alternatives shall be calculated on the basis of the service (depreciable) life of the facility or the period of analysis, whichever is less.

(b) Costs of the alternatives shall be calculated on the following basis: (1) All costs charged to the alternative shall be annualized on the basis of the Federal discount rate; (2) no costs for taxes or insurance shall be charged to the alternative; and (3) all other assumptions and procedures used in calculating the costs of the alternatives, including external diseconomies, shall be parallel to those employed in calculating the costs for the proposed Federal project.

§ 713.121 Evaluation procedure: Identify the most likely alternative.

The one alternative most likely to be implemented in the absence of the Federal project shall be selected. Consideration of likely alternatives shall begin with the least costly. If an alternative with a lesser cost is passed over for a more expensive one, justification for not selecting the lower cost plan shall be presented.

§ 713.123 Evaluation procedure: Compute M&I water supply annual benefits.

(a) Annualized benefits of the Federal water supply plan are equal to the cost of the most likely alternative. When applicable, the evaluation shall reflect differences in treatment, distribution, and other costs compared to the most likely alternative.

(b) The alternative cost of providing a water supply for smaller communities (population of 10,000 or less) may be extremely expensive on a per capita basis because these communities lack the efficiencies of large scale development. If such communities are not able to afford an alternative water supply comparable to the Federal water supply plan as identified in the procedure described above, that alternative may not be used as the basis for evaluating the benefits of the Federal water supply plan. In this case, the benefit shall be equal to the cost of the separable M&I facilities plus an appropriate share of the remaining joint cost of the project. Documentation of the without-project condition shall be provided.

§ 713.125 Evaluation procedure: Problems in application.

(a) Two major problems exist in the application of this procedure. The first is identification of the value of conservation and other nonstructural measures. The Water Resources Council (WRC) can coordinate development of interagency guidelines for estimating nonstructural measures and management strategies. These guidelines will give examples of conservation strategies, pricing methods, and drought management measures.

(b) A second major problem will arise over the disaggregation of water use by sectors. Some communities do not collect water use data by sectors. Where the system is fully metered, such data can be obtained by coding customer accounts and accumulating data on use for at least one year. Water use by unmetered customers may be estimated by extrapolating experience with similar metered systems, recognizing that unmetered customers face a price of zero. Data and/or forecasts obtained from all sources shall be verified as reliable and reasonable.

§ 713.127 Report and display procedures.

Tables 713.127–1, 2, and 3 are suggested presentations for reports that include municipal and industrial water supplies. Tables 1 and 2 summarize by time period (and season, if applicable) the projected use by sector, projected supply by source, and the difference between the two for average day and maximum day, respectively. Table 3 shows the costs of alternative plans and the quantity supplied under each alternative by time period (and season, if applicable).

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Table 713.127-1 — M&I WATER SUPPLIES - WITHOUT-PROJECT CONDITION - AVERAGE DAY USE AND CAPACITY

Projected Average Day Water Use a/	Time Period b/ P_1	P_2	P_3 ...	P_N
Residential (mgd)	--	--	--	--
Commercial (mgd)	--	--	--	--
Industrial (mgd)	--	--	--	--
Additional (includes public services and unaccounted for losses) (mgd)	--	--	--	--
TOTAL	--	--	--	--
Average Day Water Supply Capacity Without a Plan				
Source 1 (mgd)	--	--	--	--
Source 2 (mgd)	--	--	--	--
Source 3 (mgd)	--	--	--	--
Source N (mgd)	--	--	--	--
TOTAL (mgd)	--	--	--	--
Difference Between Projected Average Day Water Use and Supply Without a Plan (mgd)	--	--	--	--

a/ Include effects of nonstructural and conservation measures.
b/ Show by time period and season where there are seasonal variations, e.g.,

W S P_1 S F

Table 713.127-2 — M&I WATER SUPPLIES - WITHOUT-PROJECT CONDITION - MAXIMUM DAY USE AND CAPACITY

Projected Maximum Day Water Use a/	Time Period b/ P_1	P_2	P_3 ...	P_N
Residential (mgd)	--	--	--	--
Commercial (mgd)	--	--	--	--
Industrial (mgd)	--	--	--	--
Additional (includes public services and unaccounted for losses) (mgd)	--	--	--	--
TOTAL	--	--	--	--
Maximum Day Water Supply Capacity Without a Plan				
Source 1 (mgd)	--	--	--	--
Source 2 (mgd)	--	--	--	--
Source 3 (mgd)	--	--	--	--
Source N (mgd)	--	--	--	--
TOTAL (mgd)	--	--	--	--
Difference Between Projected Maximum Day Water Use and Supply Without a Plan (mgd)	--	--	--	--

a/ Include effects of nonstructural and conservation measures.
b/ Show by time period and season where there are seasonal variations, e.g.,

W S P_1 S F

Table 713.127-3 — M&I Water Supply Alternatives (Period of Analysis, Price Level, Discount Rate) (Month, Year)

Alternatives	Annualized Cost ($1000)	Quantity Supplied (mgd) Time Period a/ P_1	P_2	P_3 ...	P_N
Most Likely Alternative (NED Plan)	--	--	--	--	--
Recommended Plan	--	--	--	--	--
Primarily Nonstructural Plan	--	--	--	--	--
Other Plans	--	--	--	--	--

a/ Show by time period and season where there are seasonal variations.

Subpart D—NED Benefit Evaluation Procedures: Agricultural Floodwater, Erosion, and Sedimentation

§ 713.201 Introduction.

This section provides procedural guidance for the evaluation of national economic development (NED) benefits to agricultural flood protection and erosion and sediment control features of water resource projects and plans.

§ 713.203 Conceptual basis.

(a) *Resource problems in agricultural production.* There are three economic problems associated with water and the use of land and water resources in agricultural production:

(1) *The cost of damage to crops, pasture, and range by water inundation, drought, sedimentation, and erosion.*

(2) *Costs associated with using water and land resources that are subject to variation with the application of various water management practices or the installation of water control measures.* These costs include some crop production costs and water management and control costs. For example, future conditions without the project may result in poor soil drainage situations that may require more cultivation and more horsepower; or future water conditions without the project may require the continuation of costly drainage systems, inefficient and costly water supply systems, expensive water or water quality control systems, and high maintenance and replacement costs for irrigation, drainage, or flood protection systems.

(3) *Impaired productivity or use of the land resource.* This constraint may restrict yields or restrict cropping patterns to crops that are tolerant of drought, flood, erosion, or wet soil conditions.

(b) *National economic development benefit.* The NED benefit of water management practices or water control measures is the reduction in the economic significance of the three problems described above. The benefit is measured as the increased value of agricultural output to the Nation or the reduced cost of maintaining a given level of output. The benefits include but are not limited to reductions in production costs, in associated costs, and in damage costs from floods, erosion, sedimentation, or drought; the value of increased production of crops; and the locational economic efficiency of increasing the production of other crops in the project area.

(c) *Evaluation components.* The evaluation of each of the three problem categories and the impact of water management practices or control measures on them must consider the following components:

(1) *Cropping patterns.* The most probable cropping patterns expected to exist with and without the project shall be projected for the with- and without-project conditions. If project measures are designed to reduce damage or associated cost problems without changing cropping patterns, the current cropping pattern shall be determined and projected into the future for both with- and without-project conditions. If project measures are designed to change the cropping pattern in a project area by alleviating impaired productivity, the current cropping pattern shall be determined and projected as a constant for the without-project condition; for the with-project condition, the expected cropping pattern shall be projected.

(2) *Prices.* Prices for most crops will be issued by the Water Resources Council and used to evaluate NED agricultural benefits; adjustments may be made to reflect quality changes caused by floods or drought. For other crops, State average prices over the three previous years may be used.

(3) *Production costs.* (i) Production costs that can be expected to vary between the without- and with-project conditions shall be analyzed. These may include the costs of equipment ownership and operation; production materials; labor and management; system operation, maintenance, and replacement (OM&R); and interest payments. If costs associated with project measures (e.g., on-farm drainage or water distribution costs) are included in the project cost analysis, they shall be excluded from production costs.

(ii) Purchased inputs shall be valued at current market prices. All labor, whether operator, family, or hired, shall be valued at prevailing farm labor rates. Management shall be valued at 10 percent of the variable production cost (excluding the cost of land and added capital improvements). and interest at project discount rates.

(iii) Current production costs shall be projected to the selected time periods; any changes are to reflect only changes in crop yields or physical conditions. Current production costs shall include the OM&R costs of flood prevention and drainage or irrigation systems needed to produce the projected yields.

(4) *Crop yields.* Current yields in the project area with average management shall be determined and projected to selected time periods. Future yields may be adjusted to reflect relevant physical changes—erosion, drainage, water supply, and floodwater runoff—in soil and water management conditions. Increases in yields due to future improvements in technology shall not be included in the evaluation of intensification benefits, since the cost of the technology is unknown; such costs would normally be fixed at the time of damage (i.e., flood), and the increased yields may be included in damage analysis. All projections of changes in yields, both with and without the project, shall be consistent with the water management and production practices accounted for in the production cost analysis.

§ 713.205 Planning setting.

(a) Since no single water resource management project or program will have a calculable effect on national agricultural product prices, the benefit standard is the willingness-to-pay value of the project to the direct user. The change is measured by net agricultural income to the Nation with the project compared to without the project. The net return to fixed factors of production shall be determined for various conditions or levels of land and water quantity and/or quality use. (Other resources associated with changes in land and water quantity and/or quality shall be included.) The level of use to be evaluated initially is the without-project condition. Other levels of use to be evaluated will depend on the number of alternative projects selected for analysis. The difference in net income between each of the alternative projects and the without-project condition is the benefit.

(b) The without-project condition, including nonstructural measures, is the condition expected to exist in the future in the absence of the floodwater, erosion, or sediment reduction project or any change in law or public policy.

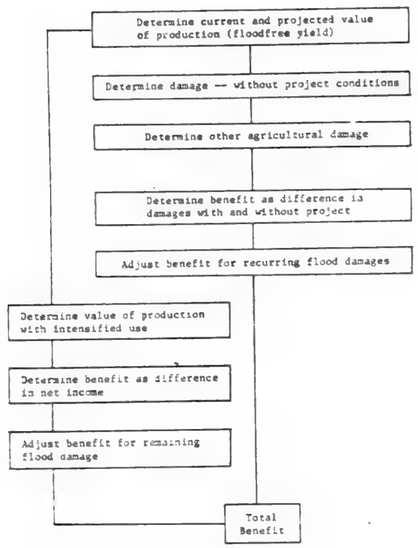
(c) The with-project condition is the condition expected to exist in the future with a given structural or nonstructural floodwater, erosion, or sediment reduction project.

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§ 713.207 Evaluation procedure: agricultural flood prevention or control—crops.

The following procedures are presented for the evaluation of inundation damages to crops that would be grown without the project (see Figure 713.207–1). The level of detail to be attained in each step is dependent on the economic significance of the problem.

Figure 713.207-1 — Flowchart of Agricultural Floodwater Procedures



(a) *Identify current and projected land use and cropping patterns.* This information is generally developed for floodplain reaches that represent segments of the floodplain with significantly different cropping patterns and/or hydraulic characteristics.

(b) *Establish current and projected floodfree yields.* These are current and projected yields in the floodplain in years in which no flood occurs. Interviews with floodplain farmers, agronomists, soil scientists, and others will provide needed information. These yields should reflect other factors that may affect production, such as the threat of floods, hail, drought, soil fertility, and production practices.

(c) *Calculate damageable value.* Determine the gross value of the floodfree yield for each crop. While this value may not reflect the maximum loss that would be incurred in complete destruction by a single flood, it shall be used as the damageable value to which flood damage factors are applied.

(d) *Develop periodic flood damage factors for the intervals that match the hydrologic data.* (1) Gather historical flood damage information through interviews with floodplain farmers. Data needs include areas flooded, flood depth and/or duration, yield reduction, added expenses due to the flood, production costs saved on the flooded crop, and substitute crops and their yields. Crop damage shall then be computed for a given flood depth and/or duration; the following shall be included: value of yield reduction and quality reduction of flooded crop, added expenses on flooded crop, production costs saved on flooded crop, and net return from substitute crop. A damage factor value for a given depth or duration shall be computed by dividing the crop damage for each interval and for each depth and/or duration by the damageable value for that crop.

(2) If insufficient data are available in a given project area to develop damage factors for all intervals, crops, depths, or durations, data from other floodplains in the region or proxy values generated by using crop budgeting techniques may be used. The intervals for which crop damage is computed will depend on the variation by interval in the likelihood of flooding and damage.

(3) Because of the difficulty of obtaining complete damage data for a given project, information from similar projects in an area shall be aggregated. This will increase the credibility of the damage factors used for project evaluation. Standardized interview techniques and questions shall be used to minimize sampling errors.

(e) *Develop weighted flood damage factors.* Each flood damage factor for a given crop and a given flood depth or duration shall be appied to the historical probability of floods occurring during the particular interval. The probability information is usually calculated from stream gauge analysis. The sum of products from these calculations represents a weighted flood damage factor.

(f) *Calculate flood damages for each crop.* Flood damages shall be computed for a given flood depth or duration for each crop, using the following calculation: (Yield × price × damage factor percentage). A composite acre (a mix of various crops within a given floodplain reach expressed in percentages) may be used in determining flood damages to crops; if this approach is used, the floodplain should be stratified, using different composites, if a significantly different mix of crops in a given reach is flooded for each flood frequency.

(g) *Determine average annual damages.* Damage factors can now be integrated with hydrologic data (i.e., flood frequency, acres flooded, flood depth or duration) to determine average annual damages. In this process, the damage from all probable flood events during the evaluation period shall be averaged to each year in the period, adjusted to avoid double counting in the event of recurrent flooding in a given year. Estimates of current average annual damages shall be based on current hydrology, current land use and cropping patterns, costs and commodity prices, and yields in the project floodplain areas under average management. Estimates of future damages shall be determined for relevant time periods considering the physical conditions for each time period.

(h) *Calculate the benefits.* In the case of a structural measure, the damage reduction benefit is the reduction of damage. In the case of a nonstructural plan that removes a given land use from the floodplain, the benefit is the cost saving to other economic sectors plus the net returns to the new use of the land.

§ 713.209 Evaluation procedure: Erosion prevention—Crops.

Erosion may be classified as gully, streambank, floodplain scour, and sheet erosion. Benefits are measured as net income maintenance or recovery on agricultural lands. The following discussion identifies key analysis steps in the evaluation of each type of benefit. The level of detail required for the evaluation will depend on the economic significance of the problem, the availability and reliability of data, and the degree of refinement needed for project formulation and evaluation. If benefits are attributable to both flood and erosion prevention, they must be allocated to each, using techniques similar to those provided for drainage and flood prevention.

(a) *Identify areas with erosion problems.* Erosion problems shall be identified and classified with respect to (1) type of problem; (2) extent of area; (3) projected rate of change of affected area; (4) present and future impacts on soil productivity; (5) potential for recovery; and (6) projected rate of recovery. This information shall be developed for relevant time periods as needed to reflect the dynamic nature of the problems.

(b) *Compute benefits to agricultural land from reduced gully and streambank erosion.* (1) Benefits may accrue from reduced gully and streambank erosion through reduced land voiding (total destruction of the productivity of the land for agricultural use); reduced production losses on adjacent areas; and efficiency gains on interdependent areas.

(2) Production losses on adjacent areas may be caused by a lowering of water tables; increased costs of production due to irregular field patterns, etc.; and less intensive land use. Efficiency gains on interdependent areas occur when the elimination of gully erosion provides a stable outlet for land treatment measures upstream, thereby permitting a more intensive farming operation.

(3) Benefits in each case shall be determined by annualizing projected net income flows over the evaluation period at the project discount rate without and with the project. Associated land treatment costs, e.g., expenditures required in addition to project measures to achieve beneficial effects, shall be deducted from with-project net income when computing an efficiency gain on an interdependent area. Benefits shall be computed as the difference in net income with the project compared to without the project.

(c) *Compute benefits to agricultural land from reduced floodplain scour.* The potential for scour erosion is related to the depth and velocity of floodwater and the resistance of the soil material to erosion. Benefits shall be determined in the same manner as for gully and streambank erosion, with the exception that in projecting the net income flow with the project an allowance shall be made to account for recoverable productivity. Adjustments of inundation damages to crops may be necessary if floodplain scour damages have been evaluated for the same area.

(d) *Compute benefits to agricultural land from reduced sheet erosion.* Benefits shall be calculated in the same way as for gully and streambank erosion reduction benefits.

§ 713.211 Evaluation procedure: Sediment reduction—Crops.

Sediment damages occur from overbank deposition of infertile soils, impairment of drainage systems resulting in raised water tables (swamping), and channel filling. Benefits shall be measured as increased net income for agricultural crops. The discussion that follows identifies key analysis in the evaluation of each type of benefit. The level of detail required for evaluation depends on the economic significance of the problem, the availability and reliability of data, and the degree of refinement needed for project formulation and evaluation. If benefits are attributable to both flood and sediment reduction, they shall be allocated to each using techniques similar to those provided for drainage and flood prevention.

(a) *Identify areas with sedimentation problems.* The procedure is the same as for erosion (§ 713.209(a)).

(b) *Compute benefits to agricultural land from reduced overbank deposition and swamping.* Benefits shall be determined by annualizing projected net income flows, including the elimination of income losses due to crop losses caused by overbank deposition and swamping, over the evaluation period at the project discount rate without and with the project. Benefits shall be computed as the difference in net income with the project compared to without the project.

§ 713.213 Evaluation procedure: Agricultural flood prevention or control—Other agricultural properties.

The term "other agricultural properties" includes physical floodplain improvements associated with various farm enterprises and the agricultural community. Benefits to such properties shall be measured through reductions in inundation damages in the future with the project compared to without the project. The following discussion identifies key analysis steps needed for evaluation. Benefits accrue through alterations in flood flows or in the susceptibility of the property to damage (e.g., relocation, floodproofing, etc.).

(a) *Inventory damageable floodplain improvements.* Identify the location, type, number, and value of other agricultural properties within the floodplain that are subject to flood damage. This information is most easily obtained through interviews of floodplain farmers and field reconnaissance. Data shall be gathered by floodplain reaches.

(b) *Determine damages to floodplain improvements.* Gather historical data by floodplain reach and flood depth on damages to other agricultural properties, such as equipment, improvements, agricultural enterprises, and irrigation. Calculate these historical damages in current dollars and project them by relevant time periods throughout the evaluation period.

(c) *Determine average annual damages to floodplain improvements.* The depth-damage relationships for each reach shall be integrated with hydrologic data to develop average annual damages without and with the project. This procedure is the same as for agricultural crops (§ 713.207(h)) except that seasonal occurrence of flooding is generally not an important consideration, nor is the adjustment of damages for recurrent flooding in a given year.

(d) *Determine average annual damage to associated agricultural enterprises.* Damages of this type shall be evaluated as reduced net income under without-project and with-project conditions. Interruption of irrigation deliveries is the most common example.

(e) *Calculate average annual benefits.* The damage reduction benefit from structural measures is the reduction of that damage. In the case of a nonstructural plan that removes a given land use from the floodplain, the benefit is the cost saving to other economic sectors.

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§ 713.215 Evaluation procedure: Erosion prevention—Other affected properties.

Erosion in its various forms often damages roads, bridges, fences, buildings, etc. Damages without the project shall be determined by adding the annualized value of any loss of production of goods and services to either the annualized cost of relocating the property or assuming total loss of the property at some future time. In the latter case, damages shall be based on a depreciated current replacement cost, discounted to a present worth and amortized. Annual damages with the project shall then be computed, based on total avoidance of or delay in the loss creditable to the project. Benefits shall be determined by subtracting with-project damages from without-project damages.

§ 713.217 Evaluation procedure: Sediment reduction—Other agricultural properties.

Average annual sediment damages shall be determined by adding the costs in constant dollars of removing sediment from roads, culverts, channels, etc., over a representative period of time and dividing by the years of record. The difference in damages with and without the project is the benefit. Extending the useful life of an existing reservoir is another type of sediment reduction benefit. The extension shall be discounted to current values and amortized over the project life. The increased cost of providing goods and services (e.g., additional treatment costs for removing sediment from municipal water) can also be used to evaluate damages. Reductions in the costs of sediment removal or water treatment provide the basis for assessing benefits with the project.

§ 713.219 Evaluation procedure: Intensification benefits.

In situations in which there is no change in cropping pattern other than increased acreages of rice, cotton, corn, soybeans, wheat, milo, barley, oats, hay, or pasture, intensification benefits shall be computed as the difference in net income with the project and net income from floodfree yields without the project. Increased acreages of other crops shall be evaluated as the efficiency gained in the project area compared to typical lands in the WRC assessment subarea (ASA). Intensification benefits may accrue when reduced flooding reduces the time required to perform a farm operation or permits the profitable investment of additional labor and capital in a particular crop enterprise. The following discussion identifies steps necessary for the evaluation.

(a) *Step 1.* Identify the land use, cropping patterns, and floodfree crop yields (see § 713.207 (a) and (b)) that could be expected with various levels of flood protection. If data are not readily available for an array of various levels, determine only the without- and with-project conditions. Project the cropping pattern to selected time periods to reflect changes in physical conditions. Determine the value of production on current crop acreages and/or increased acreage of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley. Collect data on cropping patterns and yields from areas with soils and flood conditions similar to the various flood protection levels being projected.

(b) *Step 2.* Determine the variable production costs, including nonproject system OM&R and associated drainage costs, for each alternative level of flood protection.

(c) *Step 3.* Compute the benefit as the change in net income from floodfree yields in the without-project condition to the with-project condition less the remaining damage to the more intensive crop for current acreages of all crops and/or increased acreages of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley.

(d) *Step 4.* Identify cropland areas in which increased acreages of other crops will occur due to project measures. The proportion of these crops in the project areas shall not exceed their proportion in the protected floodplains in the ASA. The NED benefit is the difference between the cost of producing output in the project area and the cost of producing the same output on protected floodplain elsewhere in the ASA.

(1) Identify the characteristics such as length of growing season, quantity and quality of water available, and soil fertility that are superior to those in other areas of the ASA now producing the crop(s) on which benefits are claimed.

(2) Determine the projected increased acreage and production of other crops in the project area.

(3) Determine the average variable production costs of other crops in the project area.

(4) Identify within the same ASA as the project an area in which significant acreage of these crops is currently being grown and whose yields represent the average for the ASA.

(5) Determine the average variable production costs in the area identified in paragraph (d)(4) of this section for the volume of production of the same crops.

(6) Determine the net income in the area identified in paragraph (d)(4) of this section if the cropping pattern shifted to a composite of the ten major crops.

(7) Calculate the benefits as the difference between the cost of producing the crops in the area identified in paragraph (d)(4) of this section and the cost of producing them in the project area plus the difference in net income in the area identified in paragraph (d)(6) of this section and in the project area without the project.

§ 713.221 Evaluation procedure: Data sources.

(a) *Interviews.* Interviews with farmers and other watershed residents are important for most of the categories to be evaluated. Interviews should not be confined to floodplain farmers. Data collected outside the floodplain can serve as a basis for establishing floodfree yields and production inputs for comparison with yields and inputs on the floodplain. Only forms approved by the Office of Management and Budget shall be used, and each individual survey shall be a part of the supporting data.

(b) *Physical specialists.* Agronomists and soil scientists can provide data to establish floodfree yields by soils and the effects on production of soil depletion or sediment deposition. Data collected by soil scientists of the Department of Agriculture's Soil Conservation Service (SCS) provide yields for various erosion phases.

(c) *Universities and Federal agencies.* Most universities as well as the Department of Agriculture's Economic, Statistical, and Cooperative Service (ESCS) and SCS have developed typical enterprise budgets that can be modified to reflect conditions in the area being studied.

§ 713.223 Report and display procedures.

A clear presentation of the study results will facilitate review. Table 713.223–1 is a suggested presentation.

Table 713.223-1 -- FLOODWATER DAMAGE EVALUATION

Item	Current Year	Base Year	Year a/	Year a/	Year a/	Year a/	Current Capitalized Value b/
Without Project							
Acres - soybeans							
pasture							
Yield - soybeans							
pasture							
(-) Value of production							
(+) Variable production cost							
(+) Floodwater damage							
Crop pasture							
Other agricultural							
With Project							
Acres - soybeans							
cotton							
corn							
Yield - soybeans							
cotton							
corn							
(+) Value of production							
(-) Variable production cost							
(-) Floodwater damage							
Crop pasture							
Other agricultural							
BENEFITS							

a/ Average annual value for given year.
b/ Capitalized at interest rate of _____ percent.

Subpart E—NED Benefit Evaluation Procedures: Agricultural Drainage

§ 713.301 Introduction.

This section provides guidance for the evaluation of national economic development (NED) benefits to agricultural drainage features of water resource projects and plans.

§ 713.303 Conceptual basis.

See 18 CFR Part 713, Subpart D, § 713.203.

§ 713.305 Planning setting.

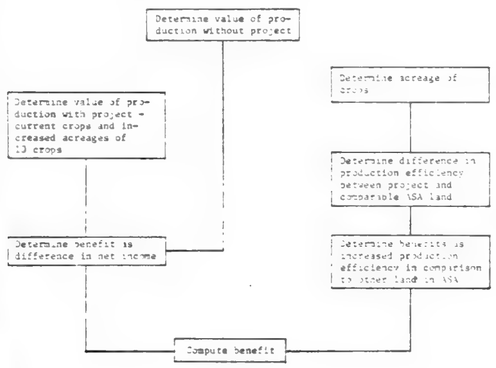
See 18 CFR Part 713, Subpart D, § 713.205.

§ 713.307 Evaluation procedure: General.

(a) Drainage problems on flatland areas are generally interrelated with inundation damages. Benefits in these cases are evaluated jointly and assigned to specific project purposes after the evaluation is completed. If flood damages are related to the frequency of stage discharges, flood prevention and drainage benefits are evaluated by different methods and are separable. If flood damages are caused by direct precipitation and beneficial effects result from removing a volume of water in a given time period, drainage and flood prevention benefits are evaluated jointly and then allocated, 50 percent to drainage and 50 percent to flood prevention. Deviations from this arbitrary allocation may be used if physical data support a more accurate division.

(b) National economic development (NED) benefits from drainage elements of water projects are computed as the increased net returns resulting from reduced production cost or intensification benefits from increased production of current crops and increased acreages of rice, cotton, pasture, corn, oats, soybeans, wheat, milo, barley, or hay (see Figure 713.307–1). The intensification benefits are computed as the difference in net income with compared to without the project. Increased acreages of other crops are evaluated as the efficiency gained in the project area compared to typical lands in the WRC assessment subarea (ASA). The level of detail required for each evaluation will depend on the economic significance of the problems, the availability and reliability of data, and the degree of refinement needed for project formulation and evaluation.

Figure 713.307–1 — Flowchart of Agricultural Drainage Evaluation Procedures



§ 713.309 Evaluation procedure: Calculate intensification and reduced production cost benefits.

(a) *Step 1.* Identify the land use, cropping patterns, and crop yields that could be expected with various levels of drainage. If data are not readily available to analyze an array of drainage conditions, only data relative to conditions without and with the project should be developed. The cropping pattern shall be projected to selected time periods to reflect changes in physical conditions. The value of production on current crop acreages and/or increased acreage of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley shall be determined. Data on cropping patterns and yields shall be collected from areas with soils and drainage conditions similar to the various levels being projected.

(b) *Step 2.* Determine the variable production costs for the crops listed above, including nonproject system OM&R costs, for each alternative drainage level, including the without-project level.

(c) *Step 3.* Compute the benefit as the change in net income from the without-project condition to the with-project condition for current crop acreages and/or increased acreages of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley.

(d) *Step 4.* Identify cropland areas in which increased acreages of other crops will occur due to project measures. The proportion of these crops in the project areas shall not exceed their proportion in the comparably drained lands of the ASA. The NED benefit is the difference between the cost of producing output in the project area and the cost of producing the same output on comparably drained land elsewhere in the ASA.

(1) Identify the characteristics such as length of growing season, quantity and quality of water available, and soil fertility that are superior to those in other areas of the ASA now producing the crop(s) on which benefits are claimed.

(2) Determine the projected increased acreage and production of other crops in the project area.

(3) Determine the average variable production costs of other crops in the project area.

(4) Identify within the same ASA as the project an area in which significant acreage of these crops is currently being grown and whose yields represent the average for the ASA.

(5) Determine the average variable production costs in the area identified in paragraph (d)(4) of this section for the volume of production of the same crops.

(6) Determine the net income in the area identified in paragraph (d)(4) of this section if the cropping pattern shifted to a composite of the ten major crops.

(7) Calculate the benefits as the difference between the cost of producing the crops in the area identified in paragraph (d)(4) of this section and the cost of producing them in the project area plus the difference in net income in the area identified in paragraph (d)(6) of this section and in the project area without the project.

§ 713.311 Evaluation procedure: Data sources.

See 18 CFR Part 713, Subpart D, § 713.221.

§ 713.313 Report and display procedures.

A clear presentation of the study results will facilitate review. Table 713.313–1 is a suggested presentation.

Table 713.313-1 -- DRAINAGE PROJECT EVALUATION

Item	Current	Base Year	Year a/	Year a/	Year a/	Year a/	Current Capitalized Value b/
Without project							
Soil capability classification ____ (indicate class number)							
Acres: row crop							
pasture							
Yield/Acres: row crop							
pasture							
(-) Value of production							
(-) Variable production cost							
(-) System OM&R cost							
Soil capability classification ____ (indicate class number)							
Acres: row crop							
pasture							
(-) Value of production							
(-) Variable production cost							
(-) System OM&R cost							
With project							
Soil capability classification ____ (indicate class number)							
Acres: row crop							
pasture							
Yield/Acres; row crop							
pasture							
(-) Value of production							
(-) Variable production cost							
(-) Remaining system OM&R							
Soil capability classification ____ (indicate class number)							
Acres: row crop							
pasture							
Yield/Acres: row crop							
pasture							
(-) Value of production							
(-) Variable production cost							
(-) Remaining system OM&R							
BENEFIT							

a/ Average annual value at given year.
b/ Capitalized @ _____ percent interest rate over evaluation period.

Subpart F—NED Benefit Evaluation Procedures: Agricultural Irrigation

§ 713.401 Introduction.

This section provides procedural guidance for the evaluation of national economic development (NED) benefits to agricultural irrigation features of water resource projects and plans.

§ 713.403 Conceptual basis.

See 18 CFR Part 713, Subpart D, § 713.203.

§ 713.405 Planning setting.

(a) See 18 CFR Part 713, Subpart D, § 713.205(a).

(b) The without-project condition is the condition expected to exist in the future in the absence of the irrigation project. The without-project condition shall include the effects of implementing all reasonably expected nonstructural and conservation measures, including those required or encouraged by Federal, State, and local policies.

(c) The with-project condition is the condition expected to exist with structural and/or nonstructural measures for a given irrigation project. If the proposed nonstructural measures are already in the process of implementation, they shall be considered part of the without-project condition. Nonstructural measures to be considered include, but are not limited to:

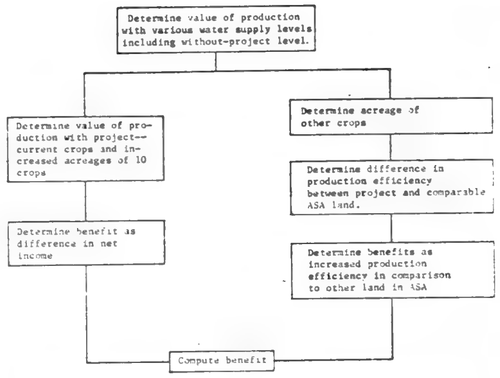
(1) Reducing the level and/or altering the time pattern of use through irrigation scheduling, modified water rate structures, leak detection and repair, recycling, and reuse; and

(2) Modifying management of existing water development and supplies by tailway recovery and phreatophyte control.

§ 713.407 Evaluation procedure: General.

National economic development (NED) benefits from irrigation elements of water resource projects are computed as the increased net returns that would result from reduced production cost, or intensification benefits through production of current crops and increased acreages of rice, cotton, pasture, corn, oats, soybeans, wheat, milo, barley, or hay. The intensification benefits are computed as the difference in net income with compared to without project. Increased acreages of other crops are evaluated as the efficiency gained in the project area compared to typical lands in the WRC assessment subarea (ASA). (See Figure 713.407–1.) The level of detail required for each evaluation will depend upon the economic significance of the problems, the availability and reliability of data, and the degree of refinement needed for project formulation and evaluation.

Figure 713.407–1 — Flowchart of Agricultural Irrigation Evaluation Procedures



§ 713.409 Evaluation procedure: Calculate intensification and reduced production cost benefits in project area.

(a) *Step 1.* Identify the land use, cropping patterns, and crop yields that could be expected with various water supply levels. Project the cropping pattern to selected time periods to reflect changes in physical conditions and the application of all water conservation measures that could reasonably be applied without the project. Determine the current crop acreages and/or increased acreage of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley adjusted to reflect the application of reasonable water conservation measures. Data on cropping patterns and yields shall be collected from areas with soils and water supplies similar to the various supply levels being projected.

(b) *Step 2.* Determine the variable production costs, including nonproject system OM&R and associated drainage costs, for each alternative water supply level.

(c) *Step 3.* Compute the benefit as the change in net income from the without-project water supply level as adjusted to reflect reasonable water conservation measures, to the project supply level for current crop acreages and/or increased acreages of rice, corn, wheat, cotton, pasture, hay, soybeans, milo, oats, or barley. Since it would rarely be feasible to provide a full season water supply for all acreages even in the driest years, the benefit analysis shall be adjusted to account for the effect of short supply years and the value of excess project water in wet years. This can be done by including the value of greater or lesser supply according to their probability as evaluated in steps 1 and 2 above.

(d) *Step 4.* Identify cropland areas in which increased acreages of other crops will occur due to project measures. The proportion of these crops in the project areas shall not exceed their proportion in the irrigated lands of the ASA. The NED benefit is the difference between the cost of producing output in the project area and the cost of producing the same output on irrigated land elsewhere in the ASA.

(1) Identify the characteristics such as length of growing season, quantity and quality of water available, and soil fertility that are superior to those in other areas of the ASA now producing the crop(s) on which benefits are claimed.

(2) Determine the projected increased acreage and production of other crops in the project area.

(3) Determine the average variable production costs of other crops in the project area.

(4) Identify within the same ASA as the project an area in which significant acreage of these crops is currently being grown and whose yields represent the average for the ASA.

(5) Determine the average variable production costs in the aeas identified in paragraph (d)(4) of this section for the volume of production of the same crops.

(6) Determine the net income in the area identified in paragraph (d)(4) of this section if the cropping pattern shifted to a composite of the ten major crops.

(7) Calculate the benefits as the difference between the cost of producing the crops in the area identified in paragraph (d(4) of this section and the cost of producing them in the project area plus the difference in net income in the area identified in paragraph (d)(6) of this section and in the project area without the project.

§ 713.411 Evaluation procedure: Data sources.

See 18 CFR Part 713, Subpart D, § 713.223.

§ 713.413 Report and display procedure.

A clear presentation of the study results will facilitate review. Table 713.413–1 is a suggested presentation.

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Table 713.413-1 -- IRRIGATION PROJECT EVALUATION

Item	Current	Base Year	Year a/	Year a/	Year a/	Year a/	Year a/	Current Capitalized Value b/
Without Project								
Acres: irrigated								
alfalfa								
barley								
Yield: alfalfa								
barley								
(-) Value of production								
(+) Variable production cost								
(+) System OM&R cost								
With Project								
Acres: irrigated								
alfalfa								
barley								
Yield: alfalfa								
barley								
(+) Value of production								
(-) Variable production cost								
(-) Remaining nonproject system OM&R cost								
BENEFIT								

a/ Average annual value at the given year.
b/ Capitalized @ _____ percent interest rate.

Subpart G—NED Benefit Evaluation Procedures: Urban Flood Damage

§ 713.501 Introduction.

This chapter presents the procedure to be followed in measuring the beneficial contributions to national economic development (NED) associated with the urban flood hazard reduction features of water resource plans and projects.

§ 713.503 Conceptual basis.

(a) *General.* Benefits from plans for reducing flood hazards accrue primarily through the reduction in actual or potential damages associated with land use.

(b) *Benefit categories.* While there is only one benefit standard, there are three benefit categories, reflecting three different responses to a flood hazard reduction plan.

(1) *Inundation reduction benefit.* If floodplain use is the same with and without the plan, the benefit is the increased net income generated by that use. If an activity is removed from the floodplain, this benefit is realized only to the extent that removal of the activity increases the net income of other activities in the economy.

(2) *Intensification benefit.* If the type of floodplain use is unchanged but the method of operation is modified because of the plan, the benefit is the increased net income generated by the floodplain activity.

(3) *Location benefit.* If an activity is added to the floodplain because of a plan, the benefit is the difference between aggregate net incomes (including economic rent) in the economically affected area with and without the plan.

(c) *Types of flood damage.* Flood damages are classified as physical damages or losses, income losses, and emergency costs. Each activity affected by a flood experiences losses in one or more of these classes.

(1) *Physical damages.* Physical damages include damages to or total loss of buildings or parts of buildings; loss of contents, including furnishings, equipment, decorations, raw materials, materials in process, and completed products; loss of roads, sewers, bridges, power lines, etc.

(2) *Income loss.* Loss of wages or net profits to business over and above physical flood damages usually results from a disruption of normal activities. Estimates of this loss must be derived from specific independent economic data for the interests and properties affected. Prevention of income loss results in a contribution to national economic development only to the extent that such loss cannot be compensated for by postponement of an activity or transfer of the activity to other establishments.

(3) *Emergency costs.* Emergency costs include those expenses resulting from a flood that would not otherwise be incurred, such as the costs of evacuation and reoccupation, flood fighting, and disaster relief; increased costs of normal operations during the flood; and increased costs of police, fire, or military patrol. Emergency costs shall be determined by specific survey or research and shall not be estimated by applying arbitrary percentages to the physical damage estimates.

§ 713.505 Planning setting.

(a) *General.* The benefit of flood hazard reduction plans shall be based on a careful analysis of the with- and without-project conditions.

(b) *Without-project condition.* The without-project condition is the land use and related conditions likely to occur under existing improvements, laws, and policies. There are three significant assumptions inherent in this definition:

(1) *Existing and authorized plans.* Existing flood hazard reduction plans shall be considered to be in place, with careful consideration given to the actual remaining economic life of existing structures. Flood hazard plans authorized for implementation but not yet constructed shall be evaluated according to the relative likelihood of actual construction. If there is a high likelihood of construction, the authorized plan shall be considered in place.

(2) *Flood Disaster Protection Act.* The adoption and enforcement of land use regulations pursuant to the Flood Disaster Protection Act of 1973 (Pub. L. 93–234) is assumed.

(i) *Regulation certified or near certification.* If the local land use regulation has been or will be certified, partially waived, or adjusted by the Flood Insurance Administration (FIA) as adequate under 24 CFR 1910.3 (c) and/or (d) and 24 CFR 1910.5, that regulation shall define the without-project condition.

(ii) *Regulation not yet certified.* It is assumed that the local jurisdiction will adopt in the near future land use regulations certifiable to FIA under the without-project condition as a datum and under the with-project condition if a residual hazard will remain. This applies to floodplains regulated under 24 CFR 1910.3 (a) and (b); to floodplains regulated by local ordinances independent of FIA; and to floodplains with no flood regulation in effect. For riverine situations, the following two crucial features are included: no future confinement or obstruction of the regulatory floodway, as defined by the WRC *Floodplain Management Guidelines* (43 FR 6030); and no future occupancy of the flood fringe, as defined by the WRC *Floodplain Management Guidelines* unless residences are elevated to or above the 100-year flood level and nonresidences are floodproofed to that level.

(iii) *Application.* It is assumed that flood proofing costs will be incurred if an activity decides to locate in the floodplain.

(3) *Floodplain Management Guidelines.* The adoption and enforcement of the Water Resources Council (WRC) *Floodplain Management Guidelines for Implementing E.O. 11988,* as well as E.O. 11990, *Protection of Wetlands,* is assumed.

(4) *Individual actions.* In addition to the three assumptions stated in paragraphs (b) (1), (2), and (3) of this section, the analyst shall consider the likelihood that individuals will undertake certain flood hazard reduction measures, such as flood proofing, when the cost of such measures is reasonable compared to the costs of potential flood damages.

(c) *With-project condition.* The with-project condition is the most likely condition expected to exist in the future if a specific project is undertaken. There are as many with-project conditions as there are alternative projects.

(1) In projecting a with-project condition, the analyst must be sensitive to the relationship between land use and the characteristics of the flood hazard for the alternative project being analyzed.

(2) The same assumptions underlie the with-project and without-project conditions, including E.O. 11988, E.O. 11990, and Pub. L. 93–234.

(3) Full and equal consideration shall be given to structural and nonstructural alternatives and to alternatives incorporating a mix of structural and nonstructural measures. Nonstructural measures to be considered include but are not limited to:

(i) Reducing susceptibility to flood damage by land use regulations, redevelopment and relocation policies, disaster preparedness, flood proofing, flood forecasting and warning systems, floodplain information, floodplain acquisition and easements;

(ii) Reducing the adverse burden of flooding through flood insurance and flood emergency relief programs; and

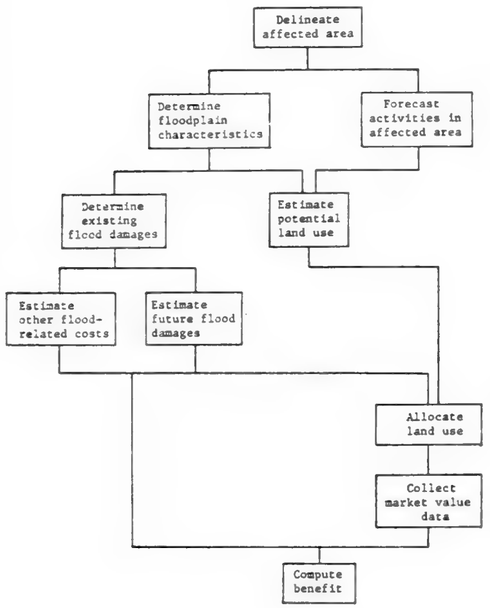
(iii) On site detention of flood waters by protection of natural storage areas such as wetlands in man-made areas such as building roofs and parking lots.

(4) Since project alternatives can differ in their timing as well as in their physical characteristics, the optimal timing of projects and of individual project features shall be considered in project formulation.

§ 713.507 Evaluation procedure: General.

Ten steps shall be completed in computing benefits (see Figure 713.507-1). The steps are designed primarily to determine land use and to relate use to the flood hazard from a NED perspective. The level of effort expended on each step depends on the nature of the proposed improvement and on the sensitivity of project formulation and justification to further refinement. The first five steps result in a determination of future land use; emphasis is on evaluating the overall reasonableness of local land use plans with respect to (a) OBERS and other larger area data, and (b) recognition of the flood hazard.

Figure 713.507-1 - Flowchart of Urban Flood Damage Evaluation Procedures



§ 713.509 Evaluation procedure: Step 1—Delineate affected area.

The area affected by a proposed plan consists of the floodplain plus all other nearby areas likely to serve as alternative sites for any major type of activity that might use the floodplain if it were protected; one example of a major activity-type is commercial. If the potential use of the floodplain includes industrial use within a standard metropolitan statistical area (SMSA), the entire SMSA is the affected area; for residential use, even within an SMSA, a much smaller area may be designated the affected area.

§ 713.511 Evaluation procedure: Step 2—Determine floodplain characteristics.

The existing characteristics of the floodplain must be determined before its actual use can be estimated; therefore, an inventory of the floodplain shall be undertaken to determine those characteristics that make it attractive or unattractive for the land use demands established in steps 3 and 4, with emphasis on those characteristics that distinguish the floodplain from other portions of the affected area. The following categorizations shall be used as a guide:

(a) *Inherent characteristics of a floodplain.* Most floodplains have the following characteristics: Flooding; floodway and natural storage; natural and beneficial values, including open space, recreation, wildlife, and wetlands; transportation; and other.

(1) *Flooding.* A description of the flood situation shall be presented, including a designation of high hazard areas. The description shall include characteristics of the flooding, such as depths, velocity, duration, and debris content; area flooded by floods of selected frequencies, including 100-year frequency; historical floods, and, where applicable, larger floods.

(2) *Floodway, natural storage.* A description and delineation shall be presented of those areas which, if urbanized or structurally protected, would affect natural storage, velocity, or stage, or would affect flood flows elsewhere.

(3) *Natural and beneficial values, including open space, recreation, wildlife, and wetlands.* Many floodplains, particularly those near urban areas, are potential recreation, open space, wetland, or wildlife preserves. The potential of the floodplain for these purposes shall be recognized and presented.

(4) *Transportation.* Floodplains near navigable streams have inherent attractiveness for industries that demand water-oriented transportation. Floodplains also serve as sites for railroads, highways, pipelines, and related facilities that are not susceptible to serious flood damage and have a tendency to attract industry to the area.

(5) *Other attributes.* Other inherent attributes of floodplains may include soil fertility, reliability of water supply, waste disposal, and sand, mineral, and gravel deposits.

(b) *Physical characteristics.* Pertinent physical characteristics shall be described, including slope, soil types, and water table.

(c) *Available services.* Most activities require some or all of the following services: Transportation (highway and rail), power, sewerage, water, labor, and access to markets. The availability of such services in or near the floodplain shall be indicated, including comparisons with similar services available in other portions of the affected area.

(d) *Existing activities.* The inventory of the floodplain shall include a list of existing activity-types, the number of acres, and the density, age, and value of structure for each activity-type by flood hazard zone.

§ 713.513 Evaluation procedure: Step 3—Project activities in affected area.

Economic and demographic projections shall be based on the most recent available studies and shall include at least the following: population, personal income, recreation demand, and manufacturing, employment, and output. Additional projections may be necessary for any given area, depending on the potential uses of the floodplain and the sensitivity of the plan to these projections. Projections shall be based on assessment of trends in larger areas and appropriate data (e.g., OBERS); the relationship of historical data for the affected area to trends projected for larger areas; and consultation with knowledgeable local officials, planners, and others. The basis for the projections shall be clearly specified in the report.

§ 713.515 Evaluation procedure: Step 4—Estimate potential land use.

Potential land use within the affected area shall be obtained by converting demographic projections to acres. The conversion factors can normally be derived from published secondary sources, from agency studies of similar areas, or from empirical and secondary data available in the affected area. The categories of potential land use need be only as detailed as necessary to reflect the incidence of the flood hazard and to establish the benefits derived from a plan.

§ 713.517 Evaluation procedure: Step 5—Project land use.

Land use demand shall be allocated to floodplain and non-floodplain lands for the without-project condition and for each alternative floodplain management plan.

(a) *Basic factors.* The allocation shall be based on a comparison of the floodplain characteristics, the characteristics sought by potential occupants, and the availability of sought-after characteristics in the non-floodplain portions of the affected area.

(b) *Criteria.* The floodplain shall not be used unless it has characteristics that give it a significant economic advantage to the potential user over all other available sites within the affected area. If such advantages exist, the analyst shall determine whether they overcome potential flood losses, potential flood proofing costs, and the costs of other related hazards. Flood losses and costs shall be specific to the zone of the floodplain being considered.

§ 713.519 Evaluation procedure: Step 6—Determine existing flood damages.

Existing flood damages are the potential average annual dollar damages to activities affected by flooding at the time of the study. Existing damages are those expressed for a given magnitude of flooding or computed in the damage frequency process. No projection is involved. The basis for the determination of existing damages shall be losses actually sustained in historical floods; therefore, the analyst shall specify the year and month of all significant recorded discharges above zero point of damage and indicate the damages actually sustained by reach or zone and type of property and activity. Historical data are often incomplete; urbanization and other changes will have occurred over the years. Many streams and reaches do not have gaging stations. Therefore, data on historical flood losses shall be carefully scrutinized and supplemented by appraisals, use of area depth-damage curves, and an inventory of capital investment within the floodplain. Further, estimates of damages under existing conditions shall be computed for floods of magnitude that have not historically occurred. Average annual losses shall be estimated by using standard damage-frequency integration techniques and computer programs that relate hydrologic flood variables such as discharge and stage to damages and to the probability of occurrence of such variables. Annual hydrologic data are normally sufficient for urban drainage estimates. Flood damages shall be assessed by activity-type and by whether they are borne by the owner or by the public at large.

§ 713.521 Evaluation procedure: Step 7—Project future flood damages.

Future flood damages are the dollar damages to economic activities identified in step 3 that might use the floodplain in the future in the absence of a plan. This step shall be used iteratively with step 5 (land use) to determine land use and associated damages for each future with-project and without-project condition. "Future" is any time period after the year in which the study is completed; in order to relate costs ultimately to benefits, however, future damages must be discounted to the base year. Future flood damages shall be determined on the basis of losses sustained both by the floodplain occupant and by others through insurance subsidies, tax deductions for casualty losses, disaster relief, etc.

(a) *Hydrologic changes.* Changes in basin land use may result in major alteration of drainage characteristics, particularly surface runoff; such hydrologic changes shall be projected for the planning period. Average future hydrologic conditions shall not be used, since they obscure situations in which the level of protection afforded by a project may be significantly different from average conditions by the end of the planning period.

(b) *Economic changes.* Economic changes can be expected to result in a change in the level of future flood losses. A benefit-cost ratio for the existing condition shall always be shown. If the ratio is greater than 1:1, the projection of future benefits may be accomplished in abbreviated form unless it would distort the comparison of alternative projects or the cost allocation and cost sharing in multiple-purpose projects. In the latter situation, the detail and accuracy of the estimates of flood control benefits should be comparable to the estimates of benefits for other water resources purposes.

(c) *Projection of physical damages.* Measurement and projection of flood damages shall be based on the establishment of actual, observed relationships between damages, flood characteristics, and those indicators used for measurement and projection. These relationships shall be modified as appropriate by consideration of constraints that change the historically derived relationship between flood damages and a given indicator. The relationships shall be made explicit in the analysis and their accuracy and representativeness shall be supported, to the extent possible, by empirical evidence. Three steps shall be used in measuring flood damages for a future year: estimate the number and size of physical units; estimate the future value of units; and determine the damage susceptibility of units.

(1) *Physical units.* The first step in measuring flood damages for a future year is to determine from step 2 (§ 713.511) the number and size of physical units with potential to use the floodplain by hazard zones for each activity-type. Care must be taken to determine whether existing structures will continue to occupy the floodplain

over the period of analysis and, if not, the future land use and damage potential of new structures.

(2) *Value per physical unit.* This step involves estimating future unit value. Increases in the value of property in the floodplain may result from the expansion of existing facilities or the construction of new units. The following rules applying to content value are derived from an empirical study of flood-prone property; no deviation is permitted.

(i) *Existing development.* The OBERS regional growth rate for per capita income shall be used as the basis for increasing the real value of residential contents in the future.

(ii) *Future development.* The value of contents within new residential structures shall be projected from the year each unit is added.

(iii) *Translation to future flood damages.* The projected rate of increase in the value of flood-susceptible household contents shall be used as the basis for increasing the future unit flood damage to household contents.

(iv) *Limit.* The value of contents may not exceed 75 percent of the structural value of the residence unless an empirical study proves that a special case exists (e.g., trailer parks), nor may the increase in value of household contents be projected beyond project year 50.

(v) *Commercial and industrial property.* The procedure described for residential contents does not apply to commercial and industrial categories.

(3) *Damage susceptibility.* The third step in measuring future flood damages is to determine the damage susceptibility of units. Once the number of physical units and the value associated with each unit are known, possible future changes, if any, in damage susceptibility relationships shall be examined as a function of the total value of each physical unit and the stream's flood characteristics, such as velocity, depth, duration, volume, debris load, and salinity. Some of the determinants of damage susceptibility are type of activity, vertical development, location within the floodplain, nature of flood proofing, construction material used, and individual response.

(d) *Projection of income losses.* Income losses may be projected to increase on the basis of projected land use. Increases in physical losses shall not be used to project income losses.

(e) *Projection of emergency costs.* Emergency costs encompass a wide variety of programs. Some, such as emergency shelter and food, are primarily a function of occupancy of the floodplain but not of the value of development in the floodplain. Emergency costs shall not be be projected to increase as a direct function of physical losses.

§ 713.523 Evaluation procedure: Step 8—Determine other costs of using the floodplain.

The impact of flooding on existing and potential future occupants is not limited to flood losses. Some of the impacts are intangible but some can be translated into NED losses. These latter include the following:

(a) *Flood proofing costs.* High flood hazards lead to high flood costs. Therefore, the flood proofing costs of different activity-types and different flood hazard zones shall be computed.

(b) *National flood insurance costs.* A national cost of the flood insurance program is its administration. The cost of servicing flood insurance policies in effect at the time of the study shall be determined based on the average cost per policy, including agent commission, and the costs of servicing and claims adjusting. FIA should be contacted to obtain these costs.

(c) *Modified use.* In some cases, the flood hazard has caused structures to be used less efficiently than they would be with a project. For example, the first floor of garden apartments may not be rented because of a flood hazard, or property may be configured in a different way with compared to without a plan.

§ 713.525 Evaluation procedure: Step 9—Collect land market value and related data.

If land use is different with and without the project, the difference in income for the land shall be computed. This is generally accomplished by using land market value data. Supporting data are required in the situations described in paragraphs (a) through (d) of this section.

(a) *Land use is different with project.* If land use is different with compared to without the project, the following data shall be collected as appropriate to complete step 10.

(1) *Comparable value.* If the plan does not result in a major addition to the supply of land in the area, the value with protection is the market value of comparable flood-free land. If the plan results in a major addition to the supply of land, the effect on the price of land shall be taken into account in estimating the value of floodplain lands with protection. The flood-free land shall be comparable in terms of physical and infrastructural characteristics.

(2) *Existing value.* The value of nearby floodplain sites shall be used or, as appropriate, the current value of the floodplain. In either case, the current and, if available, past market values of the floodplain shall be reported. Actual market values, not capitalized income values, shall be used. Therefore, it shall not be assumed that the value of land being used for agriculture in an urban or urbanizing situation is the capitalized value of agricultural returns or that any value higher than that is due to speculation that a Federal project will be constructed or lack of knowledge. On the contrary, without-project land values in excess of agricultural land values are to be expected, reflecting the probability of future use as well as existing and anticipated infrastructural investments.

(3) *Net income data.* the net income (earned) with a project may be estimated directly based on an analysis of a specific land use with the project. This approach would be used, for example, for lands to be developed for recreation; the projected recreation benefits would constitute the gross income earned on the floodplain and would be shown as a project benefit.

(4) *Encumbered title market value.* The market value of land with an encumbered title shall be estimated for inclusion as a benefit in step 10 in situations in which the floodplain is to be evacuated, no specific public use is planned, and the land could be resold with an encumbered title (which would assure that future uses would be consistent with Executive Order 11988—*Floodplain Management,* May 24, 1977).

(b) *Land use is same but more intense with project.* If land use is the same but more intense, as when an activity's use of the floodplain is modified as a result of the project, determination of the increase in income shall be based on increased land values or direct computation of costs and revenues.

(c) *Evacuation plan.* In the case of an evacuation plan, changes in market value of properties adjacent to a restored floodplain may reflect recreation or open-space benefits to occupants of those properties. Such benefits must meet the test of any NED benefit and thus must be documented by empirical evidence. Care must also be taken to avoid double counting of benefits.

(d) *Market value is lowered by flood hazard.* If the market value of existing structures and land is lower because of the flood hazard, restoration of the market value represents a quantification of otherwise intangible benefits. In such cases, the benefit is the difference between increased market value and that portion of increased market value attributable to reductions in flood damages. Careful attention should be given to assuring that factors not related to the flood hazard are not included as project benefits.

(e) *Use of projected increase in market value prohibited.* Projected increase in the market value of land over the project life with and without a plan shall not be used to measure flood hazard reduction benefits because the current market value of land theoretically captures the expected stream of income over time.

§ 713.527 Evaluation procedure: Step 10—Compute NED benefits.

At this point in the analysis, enough information is available to compute NED benefits for structural and nonstructural measures. Table 713.527-1 displays the types of benefits claimable for three of the major flood hazard reduction measures and the steps in this procedure that provide the necessary data. The table applies generally; specific cases may vary. All benefits shall be discounted and annualized at the appropriate discount rate to the beginning of the period of analysis. Benefits are categorized in the following way:

TABLE 713.527-1 — GUIDE TO TYPES OF BENEFITS

Type of Benefit (and Step)	Structural	Flood Proofing	Evacuation
Inundation			
Externalized flood damages (step 6)	Claimable	Claimable	Claimable
Internalized flood damages (step 6)	Claimable	Claimable	Not claimable
Flood proofing costs reduced (step 7)	Claimable	Not claimable	Not claimable
Reduction in insurance overhead (step 7)	Claimable	Claimable	Claimable
Restoration of land value (step 9)	Claimable	Claimable	Not claimable
Intensification (steps 7 and 9)	Claimable	Claimable	Not claimable
Location			
Difference in use (step 9)	Claimable	Claimable	Not claimable
New use (step 9)	Not claimable	Not claimable	Claimable
Encumbered title (step 9)	Not claimable	Not claimable	Claimable
Open space externality (step 9)	Not claimable	Not claimable	Claimable

(a) *Inundation reduction benefits.* To the extent that step 5 indicates that land use is the same with and without the project, the benefit is the difference in flood damages with and without the project (step 7), plus the reduction in flood proofing costs (step 8), plus the reduction in insurance overhead (step 8), plus the restoration of land values in certain circumstances (step 9). To the extent that step 5 indicates a difference in land use for an evacuation plan, the benefit is the reduction in externalized costs of floodplain occupancy that are typically borne by taxpayers or firms providing services to floodplain activities. Examples of such costs are subsidized flood insurance; casualty income tax deductions; flood emergency costs; and flood damages to utility, transportation, and communciation systems. Reduction of costs not borne by the floodplain activities may be a major benefit of projects to evacuate or relocate floodplain activities. Reduction of flood damages borne by floodplain activities shall not be claimed as a benefit of evacuation or relocation because they are already accounted for in the fair market value of floodplain properties.

(1) *Benefit from saving insurance costs.* One category of costs that can be avoided by a removal plan is public compensation for private flood damages through the subsidized Federal Flood Insurance Program. Expressing savings in these externalized costs as project benefits is appropriate for properties in communities that participate in the Federal Flood Insurance Program or are expected to participate under the without-project condition. This benefit shall be based on reduction of insurable flood damages projected over the life of the project with careful attention to the projected without-project condition.

(2) *Insurable flood damages.* The projection of insurable flood damages shall be based on traditional depth-damage-frequency relationships used in projecting total flood damages. However, projected total damages shall be reduced by subtracting: Losses that are noninsurable either because they are in noninsurance loss categories or because they exceed the coverage limits of the subsidized program; the deductible portion of each expected flood damage event; and the annual cost of the insurance premium paid by the policyholders. For this benefit calculation, it shall be assumed that all eligible parties purchase subsidized insurance. This assumption is appropriate because the market value of properties, which determines project costs, reflects the availability of the program, not the extent of its utilization by current floodplain occupants.

(b) *Intensification benefits.* If step 5 indicates that land uses are the same with and without the project but activity is more intense with the project, the benefit shall be measured as the increase in market value of land from step 9 or changes in direct income from step 6. Care must be taken to avoid double counting.

(c) *Location benefits.* If step 5 indicates that land use is different with and without the project, the benefit shall be measured by the change in the net income or market value of the floodplain land and certain adjacent land where, for example, the plan creates open space (step 9).

§ 713.529 Evaluation procedure: Problems in application.

There are four major problem areas in computing flood hazard reduction benefits:

(a) *Income losses.* The loss of income by commercial, industrial, and other business firms is difficult to measure because of the complexity involved in determining whether the loss is recovered by the firm at another location or at a later time. Direct interview and empirical post-flood studies are the most appropriate data sources for analyzing whether a real resource loss, such as idle capital or decaying inventories, is involved. The loss of income because of idle

labor may be measured from the point of view of the firm or the household, but care must be taken to avoid double-counting. Loss of income because of idle labor must be net of income to labor employed in cleanup and repair of damages; unemployment compensation and other transfer payments to idle labor are not income from an NED perspective.

(b) *Intensification benefits.* This category of benefits is theoretically applicable to urban situations, but there are to date few documented case studies. This benefit may not exceed the increased flood damage potential when the existing activity is compared to the intensified activity (without the proposed plan).

(c) *Risk.* The analysis of response to a flood hazard is based on a probability weighting of floods of various magnitude. This implies that floodplain occupants are risk-neutral, but many occupants, individually or as a group, either avert or accept risk. Therefore, responses to actual and potential flood damages shall be viewed broadly in determining land use, mode of conducting business, and even benefits. The analyst shall explain any significant deviations from expected behavior based on actual or potential flood damages computed on a risk-neutral basis.

(d) *Sensitivity analyses.* The report will contain sensitivity analyses that present a range of benefit levels representing data and assumptions about which reasonable persons might differ. The reported benefit level shall be the level that is most probable; other levels shall be presented for public information. The following specific analysis must be conducted and presented for the final array of alternative plans:

(1) *Break-even years.* There are two significant break-even years: The project year in which undiscounted annual benefits first exceed annual charges; and the project year in which discounted benefits exceed annual charges, assuming no further increases in benefits. As used here, annual charges for multiple-purpose projects are based on allocated costs.

(2) *Discount rate.* For authorized projects, the effect of using the current Federal discount rate shall be presented.

(3) *Value per structure.* Increases in future damages are related to increases in the number of structures and in the value of structures and contents. If increases in damages are based on increases in value, a sensitivity analysis shall be conducted under the alternate assumption that there is no increase in the average value of structure or contents and that increases in damages are due solely to increases in the number of structures and/or shifts from one type of structure to another.

§ 713.531 Evaluation procedure: Data sources.

The following summarizes problems associated with two key data sources:

(a) *Interviews.* The primary use of personal interviews is to collect flood damage data, but interviews may also be used to collect other necessary data not available from secondary sources. Only interview forms approved by the Office of Management and Budget shall be used. Statistically sound techniques shall be used for selecting the interview sample and for devising the questions. The questionnaire and a summary of responses shall be compiled and displayed in the final report in a way that protects the source of individual disclosures. The errors and uncertainty inherent in the sampling methods and responses shall be described.

(b) *Local land use plans.* Local land use plans and zoning ordinances are valuable guides to future land use in the floodplain, but caution must be exercised in the use of such plans and ordinances. First, the demographic implications of local plans and ordinances must be consistent with, or convincingly distinguished from, trends in a larger area, e.g., OBERS. Second, a local plan is not an acceptable projection for the without-project condition if it ignores the flood hazard. Third, the status, date, and likelihood of change of local plans vary. Finally, local plans may not contain sufficiently detailed information to be of direct use in benefit analysis.

§ 713.533 Report and display procedures

The report shall include enough data to enable the reviewer to follow the key steps above and, most important, the underlying rationale for the project.

(a) *Report procedures for risk and uncertainty.* To assist reviewers in assessing their own response to risk (and as basic data for later use in the social well-being account), the following shall be summarized separately and displayed in tabular form:

(1) *Remaining flood damage situations: Categorizations.* The remaining damages are those expected to occur even with a floodplain management plan in operation. Remaining damages include:

(i) Damages to activities that would occupy the floodplain with as well as without the plan;

(ii) Damages to activities that would occupy the floodplain only with the plan; and

(iii) Increased damages to activities outside the protected area with and without the plan. This includes downstream flooding, if any, caused by the plan or project.

(2) *Flood with two-tenths of 1 percent chance of occurrence.* The flood with two-tenths of 1 percent chance of occurrence (500-year frequency) shall be fully described with and without the plan. The report will contain, for example, two-tenths of 1 percent flood damages; the number of people and towns affected; the number of structures and acres by land-use type; disruption of essential services (water, power, fire protection, and sanitary services) and distance to unaffected essential services; anticipated warning time; flood depths, velocity, duration, debris content, etc.; and other indicators pertinent to catastrophic flooding.

(b) *Summary tables.* Summary tables 713.533–1 through 4 are suggested presentations for all reports that include flood hazard reduction as a purpose. Other summary tables, such as the specific display requirements presented in §§ 713.509 through 713.529, may be necessary and pertinent. The summary tables shall include pertinent land use for computing not only NED benefits, but also environmental, social, and regional impacts. Other floodplain data pertinent to the evaluation shall also be presented on one or more maps: Flood limits and depths with and without the project; current and future land use; and 100-year and other flood limits and depths.

TABLE 713.533-1 — SUMMARY OF ANNUALIZED NED BENEFITS AND COSTS FOR ALTERNATIVE PROJECTS

Applicable Discount Rate: ___

	Alternatives			
	1	2	3	N
Flood Hazard Reduction Benefits				
Inundation				
Physical				
Income				
Emergency				
TOTAL				
Intensification				
Location				
Floodplain				
Off Floodplain				
TOTAL				
TOTAL BENEFITS				
Benefits from Other Purposes				
TOTAL PROJECT BENEFITS				
PROJECT COSTS				
NET BENEFITS				

TABLE 713.533-2 — FLOOD DAMAGES BY DECADE ALTERNATIVE PROJECTS

Applicable Discount Rate: ___

Project a/	Time Period b/			
	P0	P10	P20, etc.	AAE c/
# 1				
# 2				
# 3				
N				

a/ Projects in system of accounts.

b/ The designations P10 and P20 identify the 10th and 20th years, respectively, of project life.

c/ Average annual equivalent.

TABLE 713.533-3 — FLOOD DAMAGES BY DECADE WITHOUT PROJECT

Applicable Discount Rate: ___

Property Type	Time Period a/					
	P-50	P-40, etc.	Existing	P0	P10	P# AAE b/
Residential						
a (Subclassification of residential)						
b						
c						
Commercial						
Industrial						
Other						
TOTAL						

a/ The designations P10 and P20 identify the 10th and 20th years, respectively, of project life. P-50 is 1929, P-40 is 1939, etc.

b/ Average annual equivalent.

TABLE 713.533-4 -- NUMBER OF ACRES (OR STRUCTURES)
Flood Plain Without Project a/

	Acres						
	Existing	Time Period b/					
Property Type		P0	P10	P20	P30	P40	P50	P100
Residential								
a (Subclassification of residential units)								
b								
c								
Commercial								
Industrial								
Semipublic								
Transportation								

a/ Comparable tables shall be made for all alternatives, if pertinent.

b/ The designations P10 and P20 identify the 10th and 20th years, respectively, of project life.

Subpart H—NED Benefit Evaluation Procedures: Power (Hydropower)

§ 713.601 Introduction.

(a) This chapter describes procedures for the evaluation of national economic development (NED) benefits of hydropower features of water resources projects and plans. These features include single-purpose hydropower, the inclusion of hydropower as a function in new multipurpose projects, addition of power-generating facilities to existing water resource projects, and expansion of existing hydropower plants.

(b) For the purpose of ensuring efficiency in the use of planning resources, simplifications of the procedures set forth in this subpart are permitted in the cases of single purpose small scale hydropower projects (25 MW or less) proposed at existing dams and other facilities (e.g., irrigation canals), or at undeveloped sites, if no significant adverse environmental impacts would result from the installation and operation of power generating facilities, if these simplifications lead to adequate approximations of NED benefits and costs. For example, an analysis of marketability may be substituted for determination of need for future generation. In addition, an alternative that is primarily nonstructural is not required for the small scale hydropower projects described above.

§ 713.603 Conceptual basis.

(a) The conceptual basis for evaluating the benefit from energy produced by hydroelectric powerplants is society's willingness to pay for these outputs. Where energy from electric powerplants is priced at its marginal cost, this price shall be used to calculate willingness to pay. In the absence of such direct measures of marginal willingness to pay, the benefit from energy produced by hydroelectric powerplants will be measured instead by the resource cost of the most likely alternative to be implemented in the absence of the hydroelectric powerplant.

(b) The benefits from nonstructural measures are also computed using the cost of the most likely alternative. However, the net benefits of certain nonstructural measures that alter the electric power load cannot be measured effectively by the alternative cost procedures for the following reasons: (1) Structural measures and many nonstructural measures (except those that alter the load) result in similar plan outputs, whereas load-altering measures (e.g., revised rate structures) may change levels of output; and (2) load-altering measures may have fewer direct resource costs than measures based on higher levels of output. Recognizing this lack of comparability, the benefits from such load-altering nonstructural measures shall not be based on the cost of the most likely alternative. Attempts to measure the benefits of load-altering nonstructural measures on the basis of direct willingness to pay are encouraged, although the display of such benefits is not required.

§ 713.605 Planning setting.

(a) *Without-project condition.* The without-project condition is the most likely condition expected to exist in the future in the absence of a project, including any known changes in law or public policy. The following specific assumptions shall be included:

(1) *Existing resources.* Existing generating resources are part of the without-project condition. Adjustments shall be made to account for anticipated plant retirements and changes in plant output due to age or environmental restrictions associated with existing policy and regulations.

(2) *Existing institutional arrangements.* Existing and reasonably expected future power system and water management contracts, treaties, and nonpower river operating criteria are part of the without-project condition unless revision of these arrangements is one of the alternative plans being studied. In that case, the new arrangement (revised contract, criteria, etc.) would be one of the alternatives considered in the with-project condition.

(3) *Alternative actions anticipated or underway.* The without-project condition includes those generating resources that can reasonably be expected to be available in the forecast period.

(4) *Nonstructural measures and conservation.* The without-project condition shall include the effects of implementing all reasonably expected nonstructural and conservation measures, including those required or encouraged by Federal, State, and local policies.

(b) *With-project condition.* (1) The with-project condition is the most likely condition expected to exist in the future with the plan under consideration. Examples of alternative plans include: Alternative combinations of projects in a basin study; alternative sites in a reach study; alternative plant sizes at a specific site; alternative reservoir sizes at a reservoir site; use of reregulation and/or pumpback to increase firm capacity; and reallocation of storage to increase firm energy output.

(2) Nonstructural alternatives to hydropower may be used alone or in combination with structural measures. If the proposed nonstructural measures are already in the process of implementation, they shall be considered part of the without-project condition. Nonstructural measures to be considered include but are not limited to reducing the level and/or time pattern of demand by time-of-day pricing; utility-sponsored loans for insulation; appliance efficiency standards; education programs; inter-regional power transfers; and increased transmission efficiency.

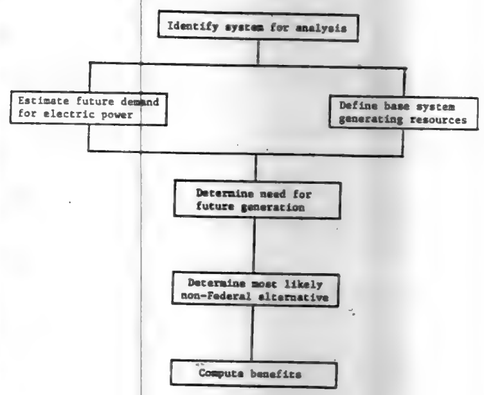
§ 713.607 Evaluation procedure: General.

Given one or more alternative plans for hydropower projects, the following steps are necessary to estimate NED benefits that would accrue to these projects. (See Figure 713.607-1.) The level of effort expended on each step depends upon the nature of the proposed development, the state of the art for accurately refining the estimate, and the likely effect of further refinement on project formulation and justification.

§ 713.609. Evaluation procedure: Identify system for analysis.

Because of the trend toward interconnection and coordination among utilities and power systems, it is most appropriate to evaluate NED benefits for hydropower on a system basis, rather than on the needs of an individual utility or local area. The size of the system would depend on the situation but could consist of a power pool, a National Electric Reliability Council (NERC) regional area, the marketing area of a Federal power marketing administration, or other geographic region.

Figure 713.607-1—Flowchart of Hydropower Evaluation Procedures



In some cases, physical or institutional constraints may limit the analysis to a smaller area, but care must be taken to ensure that benefits are not misstated by such analysis.

§ 713.611 Evaluation procedure: Determine need for future generation.

(a) *Estimate future demand for electric power.* Forecasts of electric power loads shall be made in terms of annual and monthly energy (including peak) demands. Weekly load shapes shall also be forecast to represent a minimum of three periods in the year (e.g., typical summer, winter, and spring/fall days) to assist in determining the type of load that a hydropower project could carry. Load forecasts should reflect the effects of all load management and conservation measures that, on the basis of present and future public and private programs, can reasonably be expected to be implemented during the forecast period. Load forecasts should be made and analyzed by sectoral use (residential, industrial, governmental, institutional, etc.) if an adequate forecasting model exists and is in use in the potential project market area. Load estimates shall be made, at increments of no more than 10 years, from the present to a time when the proposed plant will be operating in a state representative of the majority of its project life. In the case of staged hydropower development, or where generation system resource mixes may change markedly, load forecasts may be required for 20 years or more beyond the initial operation date. Estimates shall account for system exports and reserve requirements.

(b) *Define base system generating resources.* Project future generating resources and imports at various points in time without the proposed plan or any alternative plan. Resource estimates shall be made for the time periods stated in § 713.611(a). Information shall be provided both on the average annual energy production and on peaking capability. Data are readily available on projected system resources for about 10 years. Projected resource additions beyond that time shall be based on system studies. Retirement of older plants shall be accounted for, as well as the reduction of output of some plants due to age or environmental constraints.

(c) *Evaluate need for additional generation.* Compare the loads identified under § 713.611(a) with the resources identified under § 713.611(b) to determine: (1) When generating resource deficits will occur, (2) the magnitude of these deficits, and (3) what portion of these deficits could be met by the hydropower project. If nonstructural measures are components of an alternative plan and these measures reduce system loads, the amount of such reduction shall be considered to contribute to meeting system deficits. Some hydropower sites can be developed to provide either a base load, mid-range, or peaking service. The system demand for each class of hydropower generation shall be evaluated. Simple tabulation of annual peak and energy loads and resources is generally adequate for preliminary studies, but

system load-resource models that account for load characteristics and generating plant operating capabilities shall be used, if available, to evaluate accurately the usability of specific projects.

§ 713.613 Evaluation procedure: Determine the most likely non-Federal alternative.

(a) *General.* The one alternative most likely to be implemented in the absence of the proposed Federal project shall be selected. Consideration of the likely alternatives shall begin with the least costly. If an alternative with a lesser cost is passed over for a more expensive one, justification for not selecting the lower cost plan shall be presented.

(b) *Screen alternatives.* The alternatives to a specific hydropower project must be viable in terms of engineering, environmental quality, and other national policy considerations. Engineering viability limits thermal alternatives to commercially available electric powerplants. Environmental viability implies that plant costs include all equipment required to meet environmental quality criteria. National policy considerations include factors such as legal limitations on the use of oil, natural gas, and other "scarce" fuels for electric power generation. Each alternative need not in itself deliver service similar in kind to the hydropower project, but the total power system with the alternative must deliver service similar in kind to the system with the hydropower project. If nonstructural measures or conservation are components of an alternative plan and these measures reduce the need for additional capacity or for additional power, the amount of such reduction shall be considered provision of service similar in kind; this is done so that evaluation procedures will not be biased against the selection of an alternative that utilizes nonstructural measures.

(c) *Identify the most likely alternative.* (1) The system with hydropower must be compared with other alternatives capable of meeting system loads within established criteria of system reliability. The comparison shall be made on the basis of cost and other factors to determine the most likely alternative, i.e., the structural or nonstructural alternative that will be implemented if the project under consideration is not implemented.

(2) If political or institutional obstacles to implementation are noted, an alternative plan may still be considered the most likely if the barriers are substantially within the power of the affected users to correct. If an alternative is eliminated because of institutional or political obstacles, a sensitivity analysis shall be performed to determine whether the Federal project is economically justified when the rejected alternative is used as the basis of the benefit calculation. If this analysis indicates that the project would not remain justified, an explanation shall be given for recommending a Federal project over the more economical rejected alternative. A detailed description of the political or institutional obstacles shall be included, with a discussion of the basis for the conclusion that the obstacles cannot be overcome.

(3) If the most likely alternative is a thermal plant, that plant's capacity costs (including amortized investment costs, transmission costs, interim replacement costs, and fixed operating and maintenance (O&M) costs) shall be used as the measure of the value of the hydropower project's generating capacity, and the thermal plant's energy costs (primarily variable O&M costs and fuel costs) shall be used as the measure of the value of the hydropower project's energy production.

§ 713.615 Evaluation procedure: Compute benefits.

(a) *Compute hydropower plant annual benefits.* Annualized benefits based on the costs of the most likely alternative shall be computed for each hydropower development and installation component.

(1) *Alternative costs.* (i) The calculation of alternative costs to be used as a measure of NED benefits shall be on the following basis: (A) All interest and amortization costs charged to the alternative shall be calculated on the basis of the Federal discount rate; (B) no costs for taxes or insurance shall be charged to the alternative; and (C) all other assumptions and procedures used in calculating the costs of the alternatives, including external diseconomies, shall parallel those used in calculating the costs of the proposed project.

(ii) In many cases, benefits may vary over the life of a project. This may be due to such factors as staged development of the hydropower project, changes in operation of the hydropower project resulting from changes in the resource mix in the total generating system, and real escalation in fuel costs (if the most likely alternative is a thermal plant). Project benefits shall be computed by time intervals and discounted to derive annualized power benefits.

(iii) When applicable, the evaluation shall reflect differences in the cost of transmission, distribution, and other facilities compared to the most likely alternative.

(iv) Occasionally, the initial output of a hydropower project is large compared to annual growth in system load, and two or more years may be required to fully absorb its output into the load. In these cases credit (benefit) shall be adjusted to reflect the generating capacity and energy actually used in the load in the early years of project life.

(2) *Energy value adjustment.* The effect on system production expenses shall be taken into account when computing the value of hyoroelectric power. Adding the structural or nonstructural plan to a system instead of adding an alternative power source may result in greater or lesser system production expenses than if a particular thermal capacity were added; the effect on production expenses can be determined by performing a system analysis. If there is a difference in system production expenses, an adjustment to the energy value shall be made in the economic analysis of the plan. If the alternative plan would lower system production costs, the adjustment would be negative. If the alternative plan would increase system production expenses, the adjustment would be positive. System production expenses shall be considered in determining the most likely alternative.

(3) *Capacity value adjustment.* The physical operating characteristics of hydropower projects differ significantly from alternative thermal plants. Appropriate credit may be given to hydropower projects to reflect their greater reliability and operating flexibility. When the value of these characteristics cannot otherwise be quantified, an adjustment can be made to the alternative plant capacity costs. Typically, the adjustment per kilowatt of capacity ranges from 5 to 10 percent of the cost per kilowatt of thermal capacity, depending on the operating characteristics of the hydropower project and alternatives that include thermal capacity. The adjustment may be applied by increasing the capacity cost of the most likely alternative by the appropriate percentage determined by the Federal Energy Regulatory Commission (FERC).

(4) *Intermittent capacity adjustment.* The dependable capacity of a hydropower project is based on the load-carrying capability of the project under the most adverse combination of system loads, hydrologic conditions, and plant capabilities. This very conservative approach is unrelated to the dependable capacity of a hydropower project's alternative if thermal capacity is included, and given no credit for the value of capacity that is available a substantial amount of the time. When power system operation studies show that there is an intermittent capacity value to the system, a capacity adjustment shall be made.

(5) *Price relationships.* Relative price relationships and the general level of prices prevailing during the planning study will be assumed to hold generally for the future, unless specified studies and considerations indicate otherwise. Examples of the latter include escalation of relative fuel cost (e.g., due to increasing scarcity), or increased capital costs expected to result from changed environmental or safety criteria. Fuel costs used in the analysis should reflect economic prices (market clearing) rather than regulated prices.

(b) *Compute benefits of nonstructural measures.* The average annual benefits of nonstructural alternatives shall be computed using the cost of the most likely alternative identified above, except as specified in § 713.603(b).

§ 713.617 Evaluation procedure: Data sources.

Data on existing and planned resources, loads, marketability criteria, and alternative costs are available from various agencies and groups, including the Department of Energy, NERC regional councils, FERC regional offices, Federal power marketing administrations, State energy agencies, utility companies, and regional planning groups. If specific operating characteristics of individual plants are not available, generalized data can be obtained from other sources, including the Electric Power Research Institute. Load-resources models based on simulated system operation may be used if available. Some of these models are available from various sources, including FERC, Federal power marketing administrations, and a number of consulting services.

§ 713.619 Report and display procedures.

(a) Tables 713.619–1 through 713.619–3 are suggested for presentation for all reports that include hydropower measures. Table 713.619–1 summarizes the output of all plans by peaking capacity and system load factor, and presents the costs of each alternative plan. Tables 713.619–2 and 3 summarizes the output of the structural component of each alternative, the benefits of the structural components, and the resource costs of all structural and nonstructural components of each alternative plan. The number of benefit categories included will vary from project to project. Not all projects will have intermittent capacity, for example, and in some cases it will be appropriate to account separately for firm and secondary energy. System energy cost impacts are sometimes included in the unit energy values and in those cases would not have to be accounted for separately.

(b) Table 713.619–3 is suggested if the nature or magnitude of hydropower benefits changes substantially over time. Examples are: staged construction of the hydropower project; change in the role of hydropower in the system over time; and situations in which several years are required to absorb a large project into the system.

Table 713.619–1 — ELECTRIC POWER SUPPLY ALTERNATIVES

(Period of Analysis, Price Level, Discount Rate)

(month/year)

Alternatives	Annualized Cost [c/]	Peak Power Supplied, Conserved, and System Load Factor (%) [a/] Time Period [b/]			
	($1000)	P_1	P_2	P_3 ...	P_N
Most Likely Alternative					
Recommended Plan					
Primarily Nonstructural (NS) Plan					
Other Plans Analyzed					

a/ For example, for the summer season, an entry "90 10 .6" would represent meeting the 100 MW deficit in the summer peak use identified in the without-project condition by supplying 90 MW and reducing the quantity used by 10 MW; the system load factor for the entire system for the summer would be .6.
b/ Show by time period and season where there are seasonal variations.
c/ Annual equivalent cost includes system adjustment costs.

TABLE 713.619-2 -- SUMMARY OF ANNUALIZED NED BENEFITS FOR STRUCTURAL MEASURES AND NED COSTS FOR STRUCTURAL AND NONSTRUCTURAL MEASURES[a]
(Thousands of month, year dollars)
Applicable Discount Rate: _____

	Alternative			
	P_1	P_2	P_3	P_N
Plant Data				
Installed capacity, MW				
Dependable capacity, MW				
Intermittent capacity, MW				
Average annual energy, gWh				
Average annual capacity factor (percent)				
Benefits				
Unit capacity value ($/kW-yr)	( )	( )	( )	( )
Dependable capacity benefits				
Intermittent capacity benefits				
Unit energy value (mills/kWh)	( )	( )	( )	
Energy benefits				
Unit system energy cost adjustment (mills/kWh)	( )	( )	( )	( )
System energy cost adjustment				
Real fuel cost escalation rate (percent)	( )	( )	( )	( )
Period of real fuel cost adjustment (years)	( )	( )	( )	( )
Real fuel cost adjustment				
TOTAL HYDRO BENEFITS				
Other purpose benefits (list)				
Annualized Cost				
Structural Measures				
Nonstructural Measures				
Net Annual Benefits				

[a] Note that benefits from load-altering nonstructural measures are excluded. This table may be used for displaying the benefits of nonstructural measures that do not alter the load (See Section 713.603(b)).

TABLE 713.619-3 -- TIME DISTRIBUTION OF NED ELECTRIC POWER BENEFITS FOR STRUCTURAL MEASURES OF ALTERNATIVE _____ [a]
Applicable Discount Rate: _____

	Time Period [b]				
	P_1	P_2	P_3	P_N	AAE [c]
Plant Data					
Installed capacity, MW					
Dependable capacity, MW					
Intermittent capacity, MW					
Average annual energy, gWh					
Average annual capacity factor (percent)					
Benefits					
Unit capacity value ($/kW-yr)	( )	( )	( )	( )	
Dependable capacity benefits					
Intermittent capacity benefits					
Unit energy value (mills/kWh)	( )	( )	( )	( )	
Energy benefit					
Unit system energy cost adjustment (mills/kWh)	( )	( )	( )	( )	
System energy cost adjustment					
Real fuel cost escalation rate (percent)	( )	( )	( )	( )	
Period of real fuel cost adjustment (years)	( )	( )	( )	( )	
Real fuel cost adjustment					
ANNUALIZED BENEFITS					

[a] Note that benefits from load altering nonstructural measures are excluded. This table may be used for displaying the benefits of nonstructural measures that do not alter the load (See Section 713.603(b)).
[b] Time periods selected depend on nature of project and power system.
[c] Average annual equivalent.

Subpart I—NED Benefit Evaluation Procedures: Transportation (Inland Navigation)

§ 713.701 Introduction.

This chapter presents the procedure to be followed in measuring the beneficial contributions to national economic development (NED) associated with the inland navigation features of water resource projects and plans.

§ 713.703 Conceptual basis.

The basic economic benefit of a navigation porject is the reduction in the value of resources required to transport commodities. Navigation benefits can be categorized as follows:

(a) *Cost reduction benefit (same origin-destination; same mode).* For traffic that uses a waterway both with and without a project, the benefit is the reduction in the economic cost of using the waterway. This reduction represents an economic efficiency or NED gain because resources will be released for productive use elsewhere in the economy; for example:

(1) Reductions in costs incurred from trip delays (e.g., reduced congestion by expanding lock sizes at congested facilities or by imposition of congestion fees).

(2) Reduction in costs because larger or longer tows can use the waterway(e.g., by channel straightening or widening).

(3) Reduction in costs by permitting barges to be more fully loaded (e.g., by channel deepening).

(b) *Shift of mode benefit (same origin-destination; different mode).* For traffic that would use a waterway with the project but uses a different mode, including a different waterway, without the project, the benefit is the difference between the costs of using the alternative mode without the project and the costs of using the waterway with the alternatives under consideration. The economic benefit of the waterway to the national economy is the savings in resources from not having to use a more costly mode.

(c) *Shift of origin-destination benefit.* If a project would result in a shift in the origin of a commodity, the benefit is the difference in total costs of getting the commodity to its place of use with and without the project. If a project would result in a shift in the destination of a commodity, the benefit is the difference in net revenue to the producer with and without the project. The shift of origin-destination benefit cannot exceed the reduction in transportation charges achieved by the project.

(d) *New movement benefit.* This benefit applies if a commodity or additional quantities of a commodity would be transported only because of lowered transportation charge with the project. The quantities are limited to increases in production and consumption resulting from lower transportation costs. An increase in waterway shipments resulting from a shift in origin or destination is not included. The new movement benefit is defined as the increase in producer and consmer surplus; practically, it can be measured as the delivered price of the commodity less all associated economic costs, including all of the costs of barge transportation other than those of the navigation project. This benefit, like the preceding one, cannot exceed the reduction in transportation costs achieved by the project.

(e) *Use of rates for benefit measurement.* It is currently more difficult to accurately compute the long-run marginal costs of particular rail movements on the basis of cost estimation studies than to determine the rates at which railroad traffic actually moves. In competitive markets, rates (prices) correspond to marginal cost, and, given market stability, prices will settle at long-run marginal costs. Moreover, the rates actually charged determine the distribution of traffic among modes. For these reasons, rates will be used to measure shift of mode benefits. Section 7a of the Department of Transportation (DOT) Act of 1966 (Pub. L. 89–670) requires the use of prevailing rates, as described in § 713.717(b). In the case of new waterways, this rate may or may not represent the best estimate of long-run marginal costs. In the case of existing waterways, prevailing competitive similar rates are the best available approximation of long-run marginal costs.

§ 713.705 Planning setting.

(a) *Without-project condition.* The without-project condition is the most likely condition expected to exist in the future in the absence of the navigation project or any change in law or public policy. The without-project condition includes any practice likely to be adopted in the private sector under existing law and policy, as well as actions that are part of a broader private and public planning to alleviate transportation problems. The following specific assumptions shall be built into the projected without-project condition:

(1) All reasonable nonstructural practices within the discretion of the operating agency, including helper boats and lock operating policies, shall be assumed to be implemented at the appropriate time. Substantial analysis is required to determine the best combination of nonstructural measures to ensure the most effective use of an existing waterway system over time. This analysis shall be documented in project reports to assure the reviewer that the best use of existing facilities will be made in the without-project condition and that the benefits of alternative with-project conditions are correctly stated. The criteria for the best utilization of the system are overall public interest concerns, including, but not limited to, safety, environmental impact, economic efficiency, and acceptability.

(2) User charges and/or taxes required by law are part of the without-project condition. Proposed or possible fees, charges, or taxes are not part of the without-project condition but are to be considered as part of the nonstructural alternatives in the with-project condition.

(3) The without-project condition assumes that normal operation and maintenance will be performed on the waterway system over the period of analysis.

(4) In projecting traffic movements on other modes (railroad, highway, pipeline, or other), the without-project condition normally will assume that the alternative modes have sufficient capacity to move traffic at current rates unless there is specific evidence to the contrary.

(5) Alternative modes will be analyzed as a basis for identifying the most likely route by which commodities will be transported in the future in the absence of waterway improvement.

(6) The without-project condition normally will assume that only waterway investments currently in place or under construction are in place over the period of analysis.

(b) *With-project condition.* The with-project condition is the most likely condition expected to exist in the future if a project is undertaken. The same assumptions as for without-project condition underlie the with-project condition. The following discussion relates to the alternatives to be considered under the with-project condition.

(1) Management of demand by the use of congestion or lockage fees is a nonstructural alternative, which alone or in combination with structural devices may produce an economic optimum in a congested waterway. Influencing marginal waterway users through a congestion fee can increase the net benefits of a waterway. Alternatives that influence demand shall be evaluated in light of the full range of the Principles and Standards (P&S) evaluation criteria on an equal basis with supply-increasing (structural) alternatives.

(2) Additional nonstructural measures not within the current purview of the operating agency may be considered "supply management" measures. One example is traffic management. These supply-increasing (nonstructural) alternatives, which can be used alone or in combination with other structural or nonstructural measures, shall be evaluated.

(3) Project alternatives can differ in their timing as well as in their physical characteristics. The optimal timing of projects and of individual project features shall be considered in project formulation, so as to maximize net benefits over time.

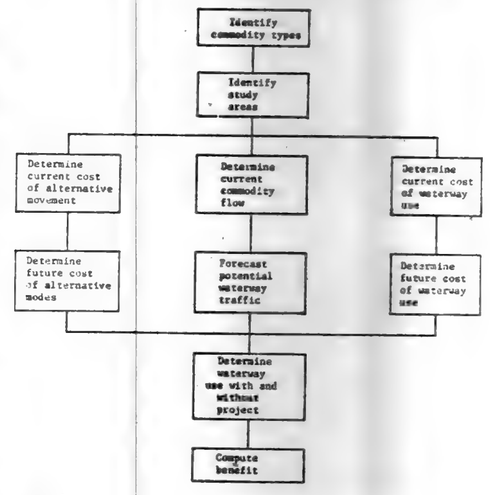
(4) Improvements in alternative transportation modes shall be considered part of the without-project condition only, as specified in § 713.705(a)(5).

(5) A change in the waterway system that is currently authorized but not yet under construction may be included if an appropriate share of its associated costs is included in the costs of the alternative under study and its incremental contribution to benefits is explicitly identified.

§ 713.707 Evaluation procedure: General.

The following 10 steps are necessary to estimate navigation benefits. (See Figure 713.707–1.) The level of effort expended on each step depends upon the nature of the proposed improvement, the state of the art for accurately refining the estimate, and the sensitivity of project formulation and justification to further refinement, especially as applied to steps 6, 7, and 8.

Figure 713.707–1 — Flowchart of Inland Navigation Evaluation Procedure



§ 713.709 Evaluation procedure: Step 1—Identify the commodity types.

The types of commodities susceptible to movement on the waterway segment under consideration shall be identified. The level of detail for each commodity is not prespecified; for example, in some cases "grains" is detailed enough, while in others "corn," "wheat" or "soybeans" is needed.

(a) *New waterways.* Commodity types shall be identified primarily by interviews of shippers and by resource studies. Interviews will identify primarily the benefit potentials of a shift of mode; resource studies will identify primarily the benefit potentials of shifts in origin-destination and in new movements.

(b) *Existing waterways.* Commodity types shall be identified primarily by analysis of data on existing use of the waterway segment under study; e.g., data from the Performance Monitoring System (PMS) and the Waterborne Commerce Statistical Center (WCSC).

§ 713.711 Evaluation procedure: Step 2—Identify the study area.

The study area is the area within which significant project impacts are incurred. The origins and destinations of products likely to use the waterway are normally included in the study area, broken out by river segments.

(a) *New waterways.* The origins and destinations shall be determined primarily by interviews of shippers and by resource studies.

(b) *Existing waterways.* Origins and destinations shall be determined by analysis of data on existing use of the waterway segment under study; e.g., PMS and WCSC traffic traced to its ultimate origin and destination.

§ 713.713 Evaluation procedure: Step 3—Determine current commodity flow.

Current data shall be gathered for commodity movements between origin-destination pairs susceptible to waterway movement as well as for commodities currently transported by waterway.

(a) *New waterways.* This step seeks to identify the total tonnage that could benefit from using the waterway. This information shall be obtained primarily by interviews of shippers. For benefits from shifts in origin and destination and from new movements, care must be taken to identify whether such movement would be likely to occur if waterway transportation were available; this information shall be based primarily on interviews. Particular attention shall be given to delivered price from substitute sources in the case of benefits from shifts in origin and destination, and to resource and market analysis in the case of benefits from new movements. Current transportation costs in the area shall be assessed.

(b) *Existing waterways.* This step seeks to identify uses beyond the existing use of the waterway; it seeks to identify potential commodities that might use the waterway in response to a reduced transportation charge.

§ 713.715 Evaluation procedure: Step 4—Determine current costs of waterway use.

This determination shall be made for all the tonnage identified in step 3. The waterway transportation cost shall include the full origin-to-destination costs, including handling, transfer, demurrage, and prior and subsequent hauls for the tonnages identified in step 3. The effect of seasonality on costs shall be considered in this step. In calculating the cost of prior and subsequent hauls, care must be taken to avoid inappropriate aggregations and averaging of the costs of movements in situations in which there is a wide geographic dispersion in ultimate origins and/or destinations, as in the case of grain traffic.

(a) *New waterways.* The current cost of the proposed waterway use represents the with-project condition; there are no without-project costs for waterway transportation.

(b) *Existing waterways.* Two arrays, one representing the without-project and one the with-project condition, shall be constructed. The difference between the two arrays shall reflect the reduction in current delays and any gains in efficiencies resulting from the alternative under consideration.

§ 713.717 Evaluation procedure: Step 5—Determine current cost of alternative movement.

This determination shall be made for all the tonnages identified in step 3. The cost shall include the full origin-to-destination costs, including costs of handling, transfer, demurrage, and prior and subsequent hauls. The effect of seasonality on costs shall be considered in this step. In calculating the costs of gathering or distribution prior or subsequent to the primary line haul, care must be taken to avoid inappropriate aggregations and averaging of the costs of movements in situations in which the ultimate origins and/or destinations are widely dispersed, as the case of grain traffic. This procedure requires use of price data when available as a proxy for the long-run costs of movement by other modes. This step, combined with steps 3 and 4, generates a first approximation of a demand schedule for waterway transportation given (1) the costs of transportation by alternative modes; (2) current levels of production; and (3) the distribution of economic activity.

(a) *New waterways.* In the case of rail, the prevailing rate actually charged for moving the traffic to be diverted to waterways shall be used. For traffic induced by the waterway, the rail rate shall be constructed as in step 5b.

(b) *Existing waterways.* Rate and other price data shall be used when available to estimate the cost of movement by alternative modes. In the case of rail movements, if the rate for that move is not now used, prevailing rates that are (1) competitive, and (2) for movements similar to the individual move that would occur without the project shall be used. The use of paper rates, i.e., rates at which no significant amount of traffic is actually moved, shall be avoided. A rate is "competitive" to the extent that it is for traffic for which there is intramodal or intermodal competition within the relevant markets. In identifying a "similar" movement, the factors considered may include geographic location, degree of use, characteristics of terrain, backhaul, contract division, seasonality, ownership of rolling stock, and physical rail connection to the shipper. It is the responsibility of the analyst to select rates that, in his or her view, best represent the long-run marginal costs of the movement. Cost estimates for particular moves may be useful in selecting the rate or rates that best meet the criteria of competitiveness and similarity. If more than one competitive and similar rate is identified, an average may be used. All water-compelled or water-competitive rates shall be assumed to be competitive and similar.

§ 713.719 Evaluation procedure: Step 6—Forecast potential waterway traffic by commodity.

Projections of the potential use of the waterway under study shall be developed for selected years from the time of the study until the end of the project life, over time intervals not to exceed 10 years. Commodity projections shall be set forth and documented for the commodity groups identified in step 3.

(a) The usual procedure for constructing commodity projections is to relate the traffic base to some type of index over time. Indices can be constructed by many different methods, depending on the scope and complexity of the issue under consideration and the availability of data and previous studies.

(b) Generally, OBERS projections are the demographic framework within which commodity projections shall be made. There are many instances, however, in which a direct application of OBERS-derived indices is clearly inappropriate. Frequently, there are circumstances that distort the relationship between waterway flows and the economy described by OBERS. Even when total commodity flows can be adequately described through the use of indices derived from OBERS projections, factors such as increasing environmental concerns, changes in international relations and trade, resource depletion, and other factors, may seriously alter the relationship between waterway commodity flows and the economy described by OBERS.

(c) If problems of the type described in paragraph (b) of this section are identified, the analyst shall undertake independent studies to ascertain the most appropriate method of projecting commodity flows. The assessment of available secondary data shall form the basis of these independent studies. These data will assist in delineating the bounds on the rate of increase for waterway traffic, as well as facilitate a better understanding of the problem. They shall be supplemented with (1) interviews of relevant shippers, carriers, and port officials; (2) opinions of commodity consultants and experts; and (3) historical flow patterns. Commodity projections can then be constructed on the basis of the results of the independent studies.

(d) Generally, specific commodity studies are of limited value for projections beyond approximately 20 years. Given this limitation, it is preferable to extend the traffic projections to the end of project life through the use of general indices on a regional and industry basis. Such indices can be constructed from the OBERS projections or other generally accepted multi-industry and regional models.

§ 713.721 Evaluation procedure: Step 7—Determine future cost of alternative modes.

(a) Future cost per unit of each commodity will normally be the same as current cost. As stated in § 713.705(a)(5), the without-project condition shall normally assume that the alternative modes have sufficient capacity to move traffic at current rates unless there is specific evidence to the contrary. This step combined with step 6 provides a time series of demand schedules specific to a particular commodity origin-destination pattern. The projection of any change in future prices shall be addressed as indicated below.

(b) A future rate shall be a prevailing rate as defined in step 5. It shall reflect exclusively a shift in rates because of projected changes in the volume of shipments on a given mode or a shift from one mode to another (e.g., from rail to pipeline). To support such a shift, the analyst shall show that the increase in volume is likely to lead to a change in rate; he may not assume, for example, that an increase in volume of traffic of a commodity from one area to another will automatically ensure a more favorable high-volume rate.

§ 713.723 Evaluation procedure: Step 8—Determine future cost of waterway use.

Two separate analyses are required for this step. First, the possibility of changes in the costs of the wateway mode for future years for individual origin-destination commodity combinations shall be analyzed. Second, the relationship between waterway traffic volume and system delay shall be analyzed. This second analysis shall be in the context of the total volume of traffic on the waterway segments being studied for with- and without-project conditions. This analysis will generate data on the relationship between total traffic volume and delay patterns as functions of the mix of traffic on the waterway; it may be undertaken iteratively with step 9 to produce a "best estimate."

§ 713.725 Evaluation procedure: Step 9—Determine waterway use, with and without project.

At this point the analyst will have a list of commodities that potentially might use the waterway segment under study, the tonnages associated with each commodity, and the costs of using alternate modes and the waterway, including system delay functions with and without the project over time. This information shall be used to determine waterway use over time with and without the project based upon:

(a) A comparison of costs for movements by the waterway and by the alternative mode, as modified by paragraph (b) of this section.

(b) Any changes in the cost functions and demand schedules comparing (1) the current and future without-project conditions and (2) the current and future with-project condition. Conceptually, this step should include all factors that might influence a demand schedule; e.g., impact of uncertainty in the use of the waterway; ownership of barges and special equipment; level of service; inventory and production processes; and the like. As a practical matter, the actual use of a waterway without a cost savings or nonuse of a waterway with a cost savings depends on the knowledgeable judgment of navigation economists and industry experts.

(c) The "phasing in" or "phasing out" of shifts from one mode to another shall be accounted for in the analysis. Diversion of traffic from other modes to the waterway, and from the waterway to other modes as the waterway becomes congested, shall be based on expected rate savings as adjusted by any other factors affecting the willingness of users to pay or the speed of the response mechanism to changes in the relative attractiveness of alternative modes. Specifically, diversions from congested waterways shall be determined in the order of the willingness of users to pay for waterway transportation. Users with the lowest willingness to pay shall be diverted first.

§ 713.727 Evaluation procedure: Step 10—Compute NED benefits.

Once the tonnage moving with and without a plan is known and the alternative costs and waterway costs are known, total NED navigation benefits can be computed using the applicable discount rate under Section 80 of the Water Resources Development Act of 1974 (Pub. L. 93–251), as follows:

(a) For cost reduction benefits, the benefit is the reduction in cost of using or operating the waterway; the cost of the alternative mode is a factor in determining whether the tonnage would move both with and without the project but is not a factor in computing benefits. Cost reduction benefits shall generally be limited to evaluation of existing waterways. The benefits for current and future cost reductions are reflected by the difference in waterway costs (steps 4 and 8) with and without the project. Waterway cost data (steps 4 and 8) shall be compared with the alternative mode costs (steps 5 and 7) in order to determine the traffic flow by mode over time (steps 3 and 6).

(b) For shift of mode benefits, the benefit is the reduction in costs when the alternative movement is compared with the waterway. These benefits apply to new or existing waterways. Cost differences between the alternative mode and the waterway mode (step 5—step 4 × step 3 and step 7—step 8 × step 6) will identify the shift of mode benefits over time.

(c) For shift of origin-destination benefits and new movement benefits, the benefit is the value of the delivered product less the transportation and production costs with the project. The transportation cost without the project (assuming the with-project movement would have occurred) is a factor in categorizing these benefits but is not a factor in computing them. The upper limit of these benefits can normally be determined by computing reduction in transportation charges achieved by the project. These can be a reduction in waterway costs (steps 4 and 8) with and without the project or changes in mode (step 5—step 4 and step 7—step 8).

§ 713.729 Evaluation procedure: Problems in application.

(a) *Changes in system delays.* Differences in system delays resulting from project alternatives are difficult to compute. An assessment of system delays within the state of the analytic art is necessary for a comprehensive benefit analysis. Delays at all points in the system shall be analyzed only to the extent that project formulation and evaluation are sensitive to such refinements, and to the extent that the state of the art permits accurate refinement of the estimate. Appropriate proxy measures may be used in lieu of individual assessments at each element in the system when evaluating system delays.

(b) *Interaction of supply and demand schedules.* The entire evaluation procedure (§§ 713.707 through 713.729) is based on an assumption that the supply and demand schedules are independent; in fact, they are not. This problem is most acute when considering the variance in delays at high levels of lock utilization. Essentially, shippers will face not an expected delay value but rather a highly uncertain delay value. Shippers' response to uncertainty (as reflected in the demand schedule) may be quite different from their response to an expected shipping cost (as reflected by the intersect of the supply and demand schedules).

(c) *User fee collection.* The incremental collection of user charges, fees, or taxes shall not be considered a NED benefit, but a transfer of resources between the private and public sectors of the economy, manifesting itself as resources committed to the proposed navigation system. The increased collection of these charges, fees, or taxes is therefore considered a decrease in the public sector's contribution to the proposed system.

(d) *Sensitivity analysis.* Project benefits are calculated on the basis of "the most probable" with-project and without-project conditions. However, risk and uncertainty must be addressed in the analysis of NED benefits and costs. In particular, major uncertainty exists in the proper measure of savings to shippers, namely the difference in long-run marginal costs. To the extent that rates or other prices vary from long run marginal costs, savings to shippers will contain a component of transfers varying from real resource savings. This element of uncertainty should always be identified or acknowledged in estimates of benefits. In dealing with uncertainty, three techniques may be used: establishing consistent sources of data; expanding the data-

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gathering effort; and estimating the range of benefits. The following two specific approaches shall be used to implement the third technique, and the results in terms of their effects on project benefits shall be displayed in tabular form in the project report.

(1) *Prespecified sensitivity analysis.* The following shall be computed and included in the report:

(i) *Current tonnage, new waterway.* For new waterways, benefits for the recommended alternative shall be computed on the basis of current phased-in tonnage (steps 3 and 9c), current rates, and current fleet characteristics.

(ii) *Current rates, fleet.* For both new and existing waterways, benefits for the recommended alternative shall be computed on the basis of tonnage over time, current rates (step 3), and current fleet characteristics.

(iii) *Growth beyond 20-year period.* The benefits for alternatives carried forward for final display shall be computed assuming no growth in tonnage or changes in fleet characteristics or costs beyond 20 years in the future.

(iv) *Interest rate.* For projects whose interest rate is grandfathered under Section 80 of the 1974 Water Resources Development Act, annualized benefits shall be computed using the current discount rate as defined by Section 80.

(v) *User charges.* The effect on program benefits of two alternative levels of user charges shall be briefly investigated: Annualized benefits shall be computed assuming user charges in the form of fuel taxes to recover (A) 50 percent and (B) 100 percent of the average annual costs of the entire waterway system.

(2) *Other.* In addition, the report shall contain such other sensitivity analyses as are necessary to meet the objective of a clear, concise report presenting a range of benefit levels that represent data and assumptions about which reasonable persons might differ.

(e) *Data sources.* The following discussion summarizes key data sources, including problems in their use.

(1) *Interviews.* Interview data may be used in steps 1 through 9. (Only forms approved by the Office of Management and Budget shall be used.) Data not available from secondary sources shall be collected by personal interviews. Statistically sound techniques for selecting the interview sample and for devising the questions shall be used. The questionaire and a summary of responses shall be compiled and displayed in the final report in such a way as to prevent the disclosure of individual sources. The errors and uncertainty inherent in the sampling methods and responses shall be described.

(2) *Other.* The basic organizational source for systematically collected waterway data is the Office of the Chief of Engineers.

§ 713.731 Report and display procedures.

Clear presentation of study results, as well as documentation of key input data assumptions and steps in the analysis, will facilitate review of the report. Tables 713.731–1 through 4 are suggested presentations for all reports that include navigational objectives. (See §§ 713.705(a)(1) and 713.729(d) for additional reporting and display requirements.) As shown in the sample tables, the summary tables may present, in addition to detailed data on the NED benefits of a project, useful information on other aspects of the project such as its impact on commodity flows, on other modes of transportation, and on the location of economic activity.

TABLE 713.731-1 — SUMMARY OF ANNUALIZED NED BENEFITS AND COSTS FOR ALTERNATIVE PROJECTS

Applicable Discount Rate: ____

	Alternatives			
Navigation Benefits	1	2	3	N
Cost reduction benefits				
Shift of mode benefits				
Shift in origin-destination benefits				
New movement benefits				
TOTAL NAVIGATION BENEFITS				
Other Purpose Benefits (List)				
TOTAL PROJECT BENEFITS				
PROJECT COSTS				
NET BENEFITS				

TABLE 713.731-2 — TIME PHASING OF NED BENEFITS FOR RECOMMENDED PROJECT [a/]

Applicable Discount Rate: ____

	Time Period						
	Base	Decade [b/]					
	Years (specify)	1	2	3	4	5	AAE [c/]
Navigation Benefits							
Cost reduction benefit							
Traffic volume (10^3 tons/year)							
Benefits							
Shift of mode benefit							
Traffic volume (10^3 tons/year)							
Benefits							
Shift in origin-destination benefit							
Traffic volume (10^3 tons/year)							
Benefits							
New movement benefit							
Traffic volume (10^3 tons/year)							
Benefits							
TOTAL NAVIGATION BENEFITS							
Other Purpose Benefits							
TOTAL PROJECT BENEFITS							

a/ Comparable tables may be made for all detailed alternatives in the System of Accounts.
b/ Value for last year of decade.
c/ Average annual equivalent.

TABLE 713.731-3 -- WATERWAY TRAFFIC AND DELAYS, WITHOUT PROJECT CONDITION

	Current	Base Year	Decade [a/] 1	2	3	4	5	AAE [b/]
Waterway Traffic (10^3 tons/year)								
(By major commodity group)								
Delays (minutes/tow):								
Study site								
Critical constraints								
TOTAL SYSTEM								
Delays ($/ton)								
Study site								
Critical constraints								
TOTAL SYSTEM								

a/ Value for last year of decade.
b/ Average annual equivalent.

TABLE 713.731-4 -- WATERWAY TRAFFIC AND DELAYS WITH RECOMMENDED PROJECT [a/]

	Time Period						
	Base	Decade [b/]					
	Year	1	2	3	4	5	AAE [c/]
Waterway Traffic (10^3 tons/year)							
(By major commodity group)							
Delays (minutes/tow):							
Study site							
Critical constraints							
TOTAL SYSTEM							
Delays ($/ton)							
Study site							
Critical constraints							
TOTAL SYSTEM							

a/ Comparable tables may be made for all detailed alternatives in the System of Accounts.
b/ Value for last year of decade.
c/ Average annual equivalent.

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Subpart J—NED Benefit Evaluation Procedures: Transportation (Deep Water Navigation) [Reserved]

Subpart K—NED Benefit Evaluation Procedures: Recreation

§ 713.901 Introduction.

This subpart provides the procedures for evaluating the beneficial and adverse effects of water project recreation on national economic development (NED). The Federal Water Project Recreation Act of 1965 (Pub. L. 89–72) requires that full consideration be given to the opportunities that Federal multiple-purpose and other water projects afford for outdoor recreation and associated fish and wildlife enhancement.

§ 713.903 Conceptual basis.

(a) *General.* (1) Benefits arising from recreation opportunities created by a project are measured in terms of willingness to pay for each increment of supply provided. Willingness to pay includes entry and use fees actually paid for site use plus any unpaid value (surplus) enjoyed by consumers. (Payment for equipment, food, transportation costs, or lodging associated with recreation activity are not to be used as direct estimates of willingness to pay, because these payments are not specifically for site use.) The total willingness to pay is represented as the area under the demand curve between the old and new supply. Because most recreation is publicly provided, it is usually not possible to estimate demand directly from observed price-consumption data. This Manual describes procedures for estimating use and willingness to pay by means of travel behavior, user surveys, and other quantifiable measures.

(2) Many proposed projects subject to NED benefit-cost analysis involve both recreation gains and recreation losses. For example, stream and land-based recreation may be lost because of the project, or recreation may be transferred to the proposed site from a more distant site. Net recreation benefits are the value of the gains minus the value of the losses; benefits may be positive or negative. Since reliable empirical methods for estimating willingness to accept compensation for losses have not been developed, measures of willingness to pay shall be used to value both gains and losses. Evaluation procedures shall be based on sound economic rationale and have an empirical basis that permits an objective and reproducible analysis of benefits and costs.

(b) *Criteria for an acceptable evaluation procedure.* An acceptable evaluation procedure has the following characteristics:

(1) Evaluation is based on an empirical estimate of demand applied to the particular project.

(2) Estimates of demand reflect the socioeconomic characteristics of market area populations, qualitative characteristics of the recreation resources under study, and characteristics of alternative existing recreation opportunities.

(3) Evaluation accounts for the value of losses or gains to existing sites in the study area affected by the project (without-project condition).

(4) Willingness to pay projections over time are based on projected changes in underlying determinants of demand.

(c) *Description of evaluation methods.* The procedures described in this manual and its appendices incorporate three evaluation methods. They are the travel cost method (TCM), contingent valuation method (CVM), and unit day value (UDV) method. The use of any other method must be justified as conforming to the characteristics listed in § 713.903(b) and the selection process described in § 713.903(d).

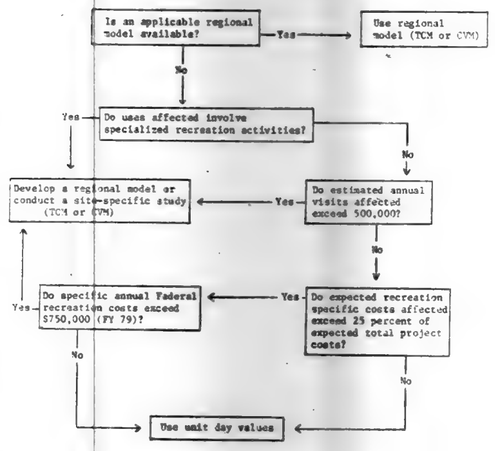
(1) *Travel cost method.* The basic premise of the travel cost method is that per capita use of a recreation site will decrease as out-of-pocket and time costs of traveling to the site increase, other variables being constant. TCM consists of deriving a demand curve by using the variable costs of travel and the value of time as proxies for price. This method may be applied to a site-specific study or a regional model.

(2) *Contingent valuation method.* The contingent valuation method estimates NED benefits by directly asking individual households their willingness to pay for changes in recreation opportunities at a given site. Individual values may be aggregated by summing willingness to pay for all users in the study area. This method may be applied to a site-specific study or a regional model.

(3) *Unit day value.* The unit day value method relies on expert or informed opinion and judgment to estimate the average willingness to pay of recreation users. By applying a carefully thought-out and adjusted unit day value to estimated use, an approximation is obtained that may be used as an estimate of project recreation benefits.

(d) *Selection of evaluation procedure.* A procedure shall be selected for evaluating each of the categories of project-related use: total or gross expected use of project facilities, including transfers of use from other sites; and existing site use displaced or destroyed by project facilities. The criteria for selecting the appropriate procedure for each use category are set out in Figure 703.903–1. Application of the criteria may result in selection of different procedures for the two categories. The criteria given in Figure 703.903–1 consider several dimensions of project evaluation situations: Three measures of the absolute and relative size of the recreation benefit created, displaced, or transferred by the proposed project, and the nature of the recreation activities affected. If the use category involves more than 500,000 annual visits, either a regional model or site-specific study shall be used to evaluate benefits. If recreation is an important project component relative to other outputs and costs, or if specialized activities (those for which opportunities in general are limited, intensity of use is low, and users' skill, knowledge, and appreciation is great) are affected, the criteria also require greater accuracy in benefit estimates. If both specialized activities and general recreation are affected by the project, the choice between a regional model and a more limited site-specific study will be at the discretion of the agency and will be based on a balance between the relative importance of the specialized activity, the advantages of the respective methods, and cost considerations.

Figure 703.903–1—Criteria for Selecting Procedures for Evaluating Project-Related Gross Benefits, or Displaced Benefits



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§ 713.905 Planning setting.

(a) *General.* Changes in recreation use and value resulting from alternative plans shall be determined through analysis of without-project and with-project conditions in the study area over the prescribed period of analysis.

(b) *Without-project condition.* The without-project condition is the pattern of recreation activity expected to prevail over the prescribed period of analysis in the absence of the recreation project or plan. The without-project condition includes existing water and related land recreation resources, and projects and additional recreation resources currently being developed or both authorized and likely to be developed during this period.

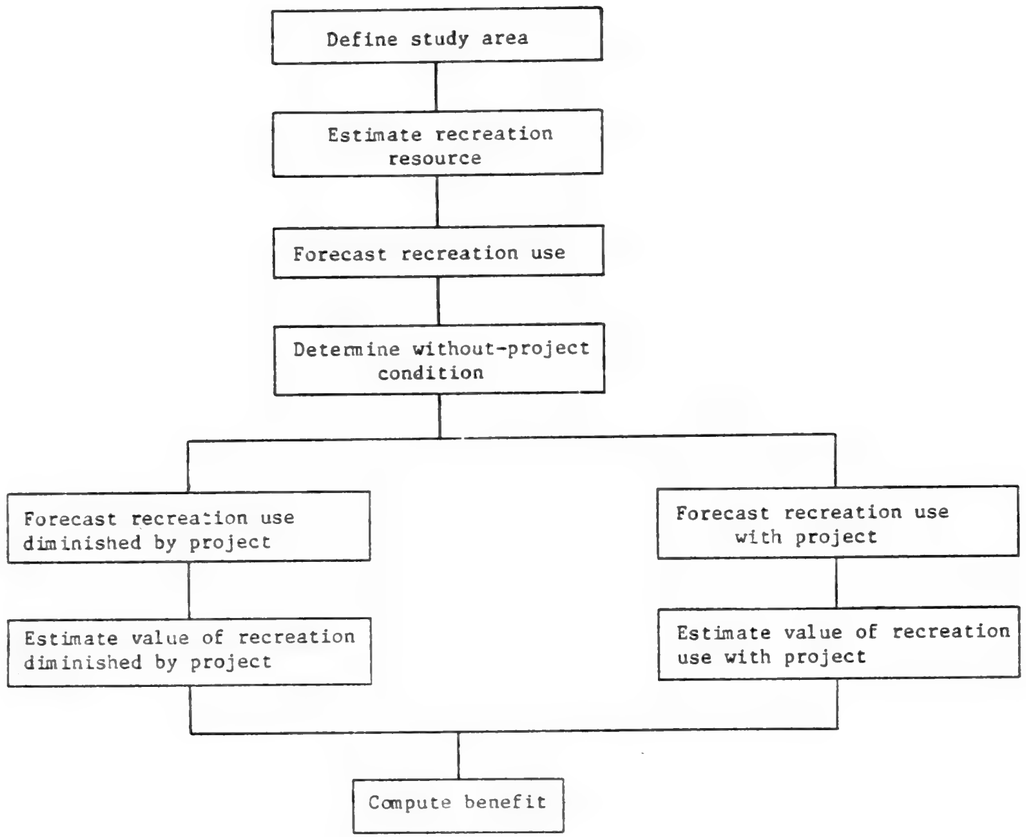
(c) *With-project condition.* The with-project condition is the pattern of recreation activity expected to prevail over the prescribed period of analysis with a recreation plan or project. Recreation resources included in the without-project condition provide the basis for the with-project condition. Analysis of the with-project condition requires the consideration of recreation opportunities that will be diminished in quality or quantity because of project development and operation. This will be accomplished in assessing the use of the proposed recreation development.

§ 713.907 Evaluation procedure: General.

The following procedure shall be used to determine the benefit from recreation resource use with a plan or project. (See Figure 713.907–1.) The benefit is based on the gross value of recreation use of the resource for the with-project condition less the gross loss in recreation use caused by the project or plan. The following nine steps are necessary to estimate the recreation benefit. The level of effort expended on each step depends on the nature of the proposed improvement, the state of the art for accurately refining the estimate, and the sensitivity of project formulation and justification to further refinement.

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Figure 703.907-1--Flowchart of Recreation Evaluation Procedures



§ 713.909 Evaluation procedure: Define the study area.

Changes in recreation use and value resulting from alternative plans shall be determined through the analysis of without-project and with-project conditions in the study area over the prescribed period of analysis. The impacts shall relate to the geographical recreation "market" defined by the location of actual and potential user populations. Definition of the study area shall be justified with respect to the particular characteristics and quality of the site and the availability of similar alternative recreation opportunities. Reference to statistical evidence regarding the spatial distribution of trip generation is encouraged.

§ 713.911 Evaluation procedure: Estimate recreation resource.

(a) Estimates of the recreation resource capacity for the study area shall include all sites (see § 713.905(b)) that provide recreation activities similar to those displaced or provided by the project. The recreation resource in study area is the system of water and related land recreation sites that influence the demand for the proposed project which are influenced in turn by the demand at the existing site.

(b) The inventory of water and related land recreation sites in this study area shall include those Federal, State, county, local, and private sites that are in varying stages of development or that are authorized and likely to be developed in the forecast period.

(c) The ability of recreation alternatives to provide different recreation activities shall be identified and an assessment made of the quality of the alternative recreation experiences.

§ 713.913 Evaluation procedure: Forecast potential recreation use in the study area.

Potential use is the expected visitation at prevailing prices unconstrained by supply. Forecast of total recreation use in the study area shall be made for each activity currently provided at the project site and for each activity proposed in the plan or project. The potential use for a specified outdoor water and related land recreation activity will depend on the size and characteristics of the study area population and the availability of the specified recreation activity and other types of recreation in the study area.

(a) The recreation use of the site's resources will depend not only on the attributes of the site and its proximity to population centers, but also on its location in relation to the location of other water and related land resources providing similar or complementary types of recreation within the study area.

(b) Forecasting potential future participation in recreation activities for the study area involves four steps: (1) Collect data on explanatory variables that influence the demand for recreation activities; (2) Relate potential use to these variables by means of some use estimating techniques as described in § 713.917; (3) Forecast values of the explanatory variables over the period of analysis. All projections shall be justified and any simplifying assumptions explained. Reference to statistical evidence on trends is encouraged; (4) Calculate expected use for the study area using the values obtained in Step (3) and the relationships determined in Step (2).

§ 713.915 Evaluation procedure: Determine the without-project condition.

The without-project condition shall be determined for the study area on the basis of a comparison of the available recreation resources as specified in § 713.911 and the recreation resource use as specified in § 713.913 for each activity currently provided at the project site and each activity proposed in the plan or project. The capacities of all sites, including the site without the proposed project, to produce recreation activities shall be compared with the expected demand for each activity, using comparable units of measurement (see § 713.925).

§ 713.917 Evaluation procedure: Forecast recreation use with project.

(a) *General.* The recreation use with the project shall be forecast as a basis for estimating project recreation values. Use over time is projected by calculating the change in use induced by anticipated changes in the variables that determine use. Values employed for projecting future demand shall be justified and any simplifying assumptions explained. For the capacity method described in paragraph (b)(4) of this section, use is constant over time as determined by the capacity constraint. Use projections shall be justified and any simplifying assumptions explained. Reference to statistical projections of recreation participation is encouraged.

(b) *Use estimating techniques.* The use of one or more of the following approaches is authorized for estimating recreation use for the with-project and/or without-project conditions. The use of any other method must be justified as conforming to the characteristics listed in § 713.903(b).

(1) *Regional use estimating models.* Regional use estimating models are statistical models that relate use to the relevant determinants based on data from existing recreation sites in the study area. The use of regional models is encouraged to economize on resources required for site-specific studies. WRC will periodically publish a list of available regional models that may be used to evaluate proposed projects and will indicate the types of project, kinds of recreation activity, and region(s) of the country for which each of the models is appropriate. In the absence of a regional model, use shall be estimated by one of the site-specific methods described below. If a use estimating model has already been developed for the region in which a proposed project is to be located, use estimates shall be obtained by the following procedure:

(i) Delimit the areas of origin for the proposed project (use of counties or parts of counties as origin areas will facilitate gathering of data in subsequent steps).

(ii) Compute measures of the explanatory variables in the use equation for each origin area and for each year for which an estimate is required.

(iii) Calculate use from each area for each year.

(iv) Aggregate use from each area to get estimated annual use.

(2) *Site-specific use estimating models.* The preferred site-specific method of estimating use is a use estimating model (UEM) that relates use per 1,000 of origin population to distance traveled, socioeconomic factors, and characteristics of the site and alternative recreation opportunities. Use estimating models yield regression coefficients estimated from data gathered at a comparable existing site or cross section of existing sites. The coefficients are used to estimate visitation at a proposed site in the same way as described for regional models. Factors that influence demand for recreation, such as characteristics of user populations and availability of alternative opportunities, are explicitly taken into account by variables in the model. Because of the influence of congestion during heavy use periods, it is desirable to distinguish use during summer weekends and holidays. If data limitations do not permit disaggregation, treatment of seasonal use variation shall be justified and any simplifying assumptions explained. Reference to statistical estimates of variations in seasonal use is encouraged.

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(3) *Application of information from a similar project.* (i) If a UEM is not available and cannot be estimated because of data limitations, use may be estimated by the similar project method. This method assumes that recreation demand for a proposed project can be estimated from observations of visitation patterns at one or more existing projects with similar resource, operations, and use characteristics. The alternatives under study are compared with water resource projects and recreation resource areas for which trip generation and other statistics are known. It is important to obtain as close a match as possible in type, size, and quality of project; market area demographic and socioeconomic characteristics; existence and location of competing recreation opportunities; and other variables that influence demand.

(ii) The most efficient and technically sound similar project procedure is based on per capita use curves (i.e., regression curves relating per capita rate of use to travel distance) from which use estimates are derived. The similar project method involves the following steps:

(A) Evaluate the characteristics of a proposed project or other area under study.

(B) Select a similar project or area by comparing characteristics of the proposed project with available information for existing sites; include evaluation and comparison of the respective recreation market areas.

(C) Adjust the per capita use curve to account for the differences between the similar project and the proposed project.

(D) Determine the county populations within the market area for the years in question, and derive per capita use rates for each county population by measuring road mile distance from the project to the center of the most populated city within the county (proxy for centroid of county population).

(E) Multiply each county per capita rate by county population, and sum to get total use.

(F) Determine the percentage of total use that the foregoing estimate represents; if 100 percent, use as is, if less, adjust accordingly.

(iii) All assumptions used to adjust or modify per capita use curves must be justified. Reference to statistical estimates of the effect of various use determining variables is encouraged.

(4) *Capacity method of determining use.* If data on use determining variables are unavailable and are not cost effective to obtain, and if it can be demonstrated that sufficient excess demand exists in the market area to accommodate the additional capacity supplied by a proposed project, use may be assumed to be equal to capacity. Since this method provides no information on trip generation, willingness to pay cannot be evaluated by the travel cost method.

§ 713.919 Evaluation procedure: Estimate value of use with the project.

As noted in § 713.903, three alternative methods can be used to estimate recreation benefits:

(a) *Travel cost estimate of willingness to pay based on use estimating model or per capita use curves*—(1) *Conditions under which TCM may not be used.* (i) Use was not estimated by a technique relating trip-generation to distance to the site;

(ii) There is insufficient variation in travel distances to allow parameter estimation (for example, urban sites); or

(iii) The project site is typically only one of several destinations visited on a single trip.

(2) *Construction of a TCM demand curve.* The area under a demand curve based on travel costs to a site approximates the willingness to pay for access to the recreation opportunities there. This estimate involves the following calculations:

(i) Convert round-trip distance from each origin into monetary values by using the most recent U.S. Department of transportation average variable costs in cents per mile to operate an automobile, plus the opportunity cost of leisure time spent in travel and on the site. If gas is rationed by some means other than price, travel costs must be adjusted to account for implicit costs of the rationing program to motorists. Time costs vary according to the alternative uses of time available to visitors and are correlated with income, age, education, occupation, time of year, and day of week. Values assigned to time shall be justified and any simplifying assumptions explained. Reference to statistical estimates of time costs is encouraged.

(ii) Construct a demand curve that relates "prices" to total visits. Given a relationship between travel costs and annual visitation from a use estimating model or a per capita use curve, construct a demand curve by gradually increasing travel cost and calculating the total visitation associated with each increase, until visitation falls to zero for all origins.

(iii) Compute the area under the demand curve plus any user charges or entrance fees. This value measures the annual total willingness to pay for recreation activities available at the site.

(iv) Discussion of travel cost method can be found in Appendix 1 of this subpart. Appendix 1 is provided for background information only. Adherence to material presented in this Appendix is not required, and shall not be considered binding. Development and use of more refined techniques than those presented in this Appendix are encouraged.

(b) *Contingent valuation (survey) estimate of willingness to pay*—(1) *Use of contingent valuation method for daily or annual values.* CVM may obtain either daily or annual estimates of willingness to pay. Daily estimates must be multiplied by annual use obtained previously. Annual estimates do not require use estimation except to demonstrate the net increase in recreation use in the market area.

(2) *Designing and using simulated markets to identify the value of recreational resources as if actual markets existed.* Five steps are involved:

(i) Establish a market to the respondent.

(ii) Permit the respondent to use the market to make trades and establish prices or values reflecting the respondent's individual evaluation of the recreation opportunities bought or sold.

(iii) Treat the values reported by the respondent of individual values for recreation, contingent upon the existence of the market.

(iv) Given willingness to pay bids from an unbiased sample of users in the market area, the socioeconomic characteristics of respondents, distance to the site, and available alternative recreation opportunities for each origin, obtain multiple regression estimates of average household value for the proposed change in recreation opportunities for households in each group.

(v) Multiply this value by the number of households in the group and sum the group values to estimate the aggregate willingness to pay if the average values are annual; multiply this value by estimated annual use if average values are daily.

(3) *Obtaining individual bids from personal interviews or mail surveys.* The preferred format is one in which the respondent is required to answer "yes" or "no" to questions asking if he or she is willing to pay a stated amount of money to obtain a stated increment in annual recreation opportunities. The value is increased gradually until the highest amount that the respondent is willing to pay is identified. Examples of question formats and further discussion of survey techniques can be found in Appendix 2 of this subpart. Appendix 2 is provided for background information only. Adherence to material presented in this Appendix is not required, and shall not be considered binding. Development and use of more refined techniques than those presented in this Appendix are encouraged.

(4) *Developing regional contingent valuation models.* Regional models may be developed with CVM as well as use estimating models. Because of the expense of survey studies, regional CVM models should be developed, if possible, to economize on site-specific studies. All survey forms are subject to the clearance procedures of the Office of Management and Budget.

(c) *Unit day value approximation of willingness to pay*—(1) *Application of unit day values.* See § 713.903(c)(3).

(2) *Selection of value.* (i) If the UDV method is used for economic evaluations, a specific value shall be selected from the range of values provided in the most current schedule published by the Water Resources Council. The product of the selected value times the difference in estimated annual use over the project life relative to the without-project condition provides the estimate of recreation benefits.

(A) Departure from the published range of unit day values is not permitted. If evidence indicates a value outside the published range, a regional model or site-specific study is required. In every case the selection of any particular value within the published range shall be explained.

(B) To explain the selection of a specific value, a point rating method may be used to reflect quality, relative scarcity, ease of access, and esthetic features. Since the list of criteria and weights assigned may vary with the situation, public involvement should occur in the value determination process. Appropriate use should be made of studies of preferences, user satisfaction, and willingness to pay for different characteristics; particular efforts should be made to use estimates derived elsewhere from applications of the TCM and CVM techniques.

(ii) Choice of unit day value must account for transfers to avoid double counting of benefits. An example of a point rating table that does this and further discussion of unit day value selection can be found in Appendix 3 of this subpart. Appendix 3 is provided for background information only. Adherence to material presented in this Appendix is not required, and shall not be considered binding. Development and use of more refined techniques than those presented in this Appendix are encouraged.

§ 713.921 Evaluation procedure: Forecast recreation use diminished with project.

Using the appropriate method described in § 713.917, forecast the recreation resource uses that would be diminished due to physical displacement expected because of the plan or project.

§ 713.923 Evaluation procedure: Estimate value of recreation use diminished with project.

Using the appropriate methods described in § 713.919 and selected by the appropriate criteria described in § 713.903, estimate the value of the recreation uses that would be diminished by the physical displacement expected to occur as a result of the plan or project. Changes in recreation use of an existing resource and/or project as a result of transfers to the plan or project under study shall be accounted for in determining project net benefits, in accordance with § 713.917.

§ 713.925 Evaluation procedure: Compute net project benefit.

The project net benefit shall be computed as the difference between the gross value of recreation use as estimated in § 713.917 and the value of recreation use diminished as estimated in § 713.923. However, if excess capacity for any activity exists in the study area, benefits are limited to any user cost savings plus the value of any qualitative differences in recreation.

§ 713.927 Report and display procedures.

Tables 713.927–1 and 2 are suggested presentations for all reports that include recreation as a purpose.

Table 713.927–1—ANNUAL RECREATION CAPACITY AND USE

Without Project			With Project		
Capacity	Use	Surplus or Deficit	Capacity	Gross Use	Displaced Use
			Plan 1		
			Plan 2		
			Plan 3		
			Plan N		

Table 713.927–2—ANNUAL RECREATION BENEFITS, RECOMMENDED PLAN

Recreational Activity	Value of Gross Use	Value of Displaced Use	Net Value
Specialized			
General			

Appendix 1 to Subpart K—Travel Cost Method

Note.—*This appendix is provided for background information only. Adherence to material presented in this appendix is not required, and shall not be considered binding.*

The basic premise of the travel cost method (TCM) is that per capita use of a recreation site will decrease as the out-of-pocket and time costs of traveling from place of origin to the site increase, other things remaining equal. The method consists of deriving a demand curve for a recreation site by using the variable costs of travel and the value of time as proxies for price. Using data collected from users of existing sites, the travel cost method permits development of (1) estimated use of the proposed site; (2) a per capita demand function for recreation at the site; and (3) an estimate of the NED recreation benefits of the site. The travel cost procedure consists of two steps: estimating use, and deriving a demand curve.

(a) *Estimating use.*—(1) *Use estimating models.* (i) The preferred method for estimating use is a use estimating model (UEM) that relates use at a proposed site to distance traveled, socioeconomic factors, and characteristics of the site and alternative recreation opportunities. Use estimating models are based on data gathered at an existing site or on a cross section of existing sites with the resultant statistical coefficients used to estimate use at a proposed site. Factors that influence demand for recreation, such as characteristics of user populations and availability of alternative opportunities, are explicity taken into account by variables in the model.

(ii) Application of an existing UEM to a proposed site involves the following steps: (A) Identify the areas of origin for the proposed project (use of counties or parts of counties as origin areas facilitates gathering of data in subsequent steps); (B) compute measures of the explanatory variables in the use equation for each origin area and for each year an estimate is required; (C) calculate use from each area and for each year; and (D) aggregate use from each area to get estimated annual use.

(2) *Similar project use estimation.* (i) The similar project procedure is based on the concept that recreation demand for a proposed project can be estimated by observing the visitation patterns at one or more existing projects with similar resource, operation and anticipated recreation-use characteristics. The procedure involves the graphic or statistical matching of the recreation site alternatives under study with existing water resource projects and recreation resource areas for which use statistics and other information are known. The objective of the similar project procedure is to obtain as close a match as possible in type, size, and quality of project; market area demographic and socioeconomic characteristics; the existence and location of competing recreation opportunities; and other demand influencing variables.

(ii) The most efficient and technically sound similar project procedure is based on per capita use curves (i.e., regression curve relating per capita rate of use to travel distance) from which use estimates are derived. Per capita use curves have been estimated for 52 existing reservoirs.[1] An overview of the methodology adapted from Brown et al. is provided below.

[1] Brown, R. et al., *Plan Formation and Evaluation Studies: Recreation, Vol. II, U.S. Army Engineer Institute for Water Research, 1974.*

(iii) Briefly stated, use of the similar project prediction method involves the following steps:

(A) Evaluate the characteristics of a proposed project or area under study.

(B) Select a similar project or area by comparing characteristics of the proposed project with available information for existing sites; include evaluation and comparison of the respective recreation market areas.

(C) Adjust the per capita use curve to account for the differences between the similar project and the proposed project.

(D) Determine the county populations within the market area for the year in question and derive per capita use rates for each county population by measuring road-mile distance from the project to the center of the most populated city within the county (proxy for centroid of county population).

(E) Multiply the contribution from each county per capita rate by county population, and sum to get total use.

(F) Determine the percentage of total use that the foregoing estimate represents. If 100 percent, use as is; if less, adjust accordingly.

(iv) A critical shortcoming of this similar project method is the subjectivity inherent in the manual adjustment of the per capita use curve required to account for demand factors other than travel distance. The reliability of the method can be enhanced through experience, but it cannot be expected to approach the reliability of the more sophisticated statistical models.

(b) *Deriving demand in the travel cost method.* (1) The travel cost method is based on the correspondence between increasing the distance from areas of origin to the site and increasing the cost or price of recreation at the site. The second step of the procedure consists of calculating total use at different incremental distances (prices); it is based directly on use estimator models or per capita use curves. The result is a demand curve for the site being evaluated that relates "prices" to total visits. Distances are converted to dollar values using per mile conversion factors reflecting both time and out-of-pocket travel costs. The area under the demand curve plus any user charges or entrance fees measures the recreation benefits attributable to the site. The procedure is described in detail below.

(2) The estimate of recreation use for a project derived from application of a per capita use curve or UEM model yields an initial point on a resource's demand curve. This point is the quantity of use that would be demanded at a zero price. For example, assume that the appropriate per capita use rates have been estimated as follows:

Origin	Population	Distance	Visits per Capita	Estimated Visitation
A	10,000	10	I	10,000
B	1,000	20	II	2,000
C	3,000	30	I	3,000
			TOTAL	35,000

(3) This estimate of 35,000 yields an initial point on the resource's demand curve. To find sufficient points to determine the entire demand curve, it is necessary to make small incremental increases in the price of participation and to measure the quantity of use that would be demanded given these chances. This is equivalent to moving the project farther and farther from the potential users, requiring them to pay more and more in travel costs. As the simulated distance increases, use decreases, and for each increment in distance a new use estimate is computed using either the use estimating model or the per capita use curve. The new use estimates are the various quantities of recreation that would be demanded at increasing prices.

(4) For example, assume that an increment of 10 miles in travel distance is used to simulate an increase in cost for the proposed project described above. The use estimate of use would then be:

Origin	Population	Simulated Distance (Actual + 10)	Visits per Capita	Estimated Visitation
A	10,000	20	II	20,000
B	1,000	30	I	1,000
C	3,000	40	III	0
			TOTAL	21,000

(5) This would be a second point on the resource's demand curve; the quantity demanded (21,000 visits) at a price equivalent to the travel cost associated with an increment in distance of 10 miles. (A discussion of the proxy for price used to assign a dollar value to this increment is in paragraph (6)(i) of this appendix.)

(6) Remaining points on the resource demand curve are then estimated by making continued increments in the price (simulated increases in distance) until the anticipated visitation from all areas of origin is zero. In the example above using 10-mile increments, the visitation expected with simulated increases in distance would be:

Origin	Estimated Visitation: Simulated Increase in Mileage 0	10 Miles	20 Miles	30 Miles
A	10,000	20,000	10,000	0
B	2,000	1,000	0	0
C	3,000	0	0	0
TOTAL	35,000	21,000	10,000	0

(i) *Proxy for price.* (A) To determine the price at which the various quantities of use are demanded, the incremental increases in distance are simply converted into the costs that would be incurred by the recreation users if they were required to travel the additional mileage. The variable, or out-of-pocket, travel costs are used as the proxy for price, since these are the costs that potential users would be most aware of when making a decision about whether to visit a particular resource area.

(B) The conversion of mileage to price should use the most current published results of studies conducted periodically by the U.S Department of Transportation concerning the average cost of operating an automobile. As an example, average variable cost estimates for 1976 are summarized below (U.S. Department of Transportation, 1977).

Average Variable Costs, in Cents Per Mile, to Operate an Automobile

Variable Cost Category	Automobile Type: Standard	Compact	Subcompact	Average
Maintenance, Accessories, Parts, and Tires	4.2	3.4	3.1	3.6
Gasoline and Oil	3.3	2.5	1.8	2.5
Taxes on Gasoline, Oil, and Tires	0.9	0.6	0.5	0.7
TOTAL	8.4	6.5	5.4	6.8

(C) The variable cost reflects the average out-of-pocket cost per mile to operate various types of automobiles. It does not include such fixed costs as depreciation, insurance, and registration, since those costs would generally not affect the potential user's decision to travel the additional mileage for recreation purposes.

(D) Two adjustments are required, however, before this cost can be used as the proxy for price. The first is an adjustment for round-trip mileage. The distance measure used in the per capita use curve or regional estimator is one-way mileage, while the recreation user must incur the variable costs while traveling to and from the project, so the cost per mile is doubled. Since more than one user may arrive in each vehicle, a second adjustment must be made to distribute the travel costs of the trip between the number of users traveling in each vehicle; this is readily accomplished by using the average number of users per vehicle determined from the survey of the existing sites used to develop the per capita use curve or regional estimator.

(E) The variable travel costs are the proxy for price associated with the simulated increase in distance used to derive the resource demand curve. Using the average variable cost for all three types of automobiles (6.8 cents per mile) and using a hypothetical average of 2.7 persons per vehicle, the proxy for price for a simulated increase in distance of 10 miles in the above example would be equal to

$0.50 (6.6 cents per mile times 2 for round-trip mileage, divided by 2.7 persons per vehicle, times 10-mile increment).

(ii) *An adjustment for the opportunity cost of time.* (A) The use of variable travel costs alone in the development of the demand schedules ignores the effects of time on recreation decisions. If time is ignored, the demand schedules are constructed under the hypothesis that increasing distance decreases use only because of higher money cost. However, the additional time required to travel the increased distance would seem to be a deterrent equal to or greater than the out-of-pocket money costs. The exclusion of the time factor introduces a bias into the derived demand schedule, shifting it to the left of the true demand schedule and resulting in an underestimation of the recreation benefits.

(B) The opportunity cost of time is the value of work or leisure activities foregone to travel to and recreate at the site. The opportunity cost for a person whose work time is variable is measured as income foregone during the recreation visit and associated travel. Most people, however, are constrained by a fixed work week and receive paid vacation days. Recreation occurring during periods where no working time is lost incurs only leisure time costs. This value may range between 0 (if the recreationist would not have engaged in any other leisure activity in the absence of the observed recreation) and the wage rate (if the alternative leisure activity was valuable enough to forego earnings, given that opportunity).

(C) Where direct survey data on time costs are not available, published statistics or studies of work-leisure choices and wage rates may be used to justify particular assumed values. One procedure that may be used to accommodate the disutility of time is to assume a known tradeoff between time and money, but no universally accepted formulation of this tradeoff has been established and empirically tested. In one proposed formulation, time is valued as one-third the average wage rate in the county of origin for adults and one-fourth of the adult value (one-twelfth of the wage rate) for children. Any method used to value time should be supported by documenting evidence. Both travel and onsite time costs should be included in the total willingness to pay for access to the site.

(iii) *Benefit computation.* (A) The final computational step in the travel cost approach is to measure the area under the demand curve. This area is equal to the amount users would be willing to pay but do not have to pay for the opportunity to participate in recreation at the resource being evaluated. Any user charges or entrance fees should be added to this value to determine the gross value of the resource associated with the specified management option.

(B) The travel cost approach can be used for evaluating either the with-project or without-project conditions as long as a use estimating model or a per capita use curve is available for estimating use under the specified condition. To evaluate the without-project condition, the estimate is of the value of the recreation that would be lost at a site if a water resource development project were developed. To evaluate a with-project alternative, the estimate is of the value of the new recreation opportunities that would be created. If a use estimator is not available for evaluating either the without-project conditions or one of the with-project conditions, the techniques described in other portions of this manual should be used.

(C) The procedure described above is applicable to any type of activity or groups of activities for which use can be described by a use estimating equation or per capita use curve. The separation of day use from overnight use or sightseeing from other day use activities, for example, is dependent upon the specificity of the survey data and the model formulation.

(c) *Data requirements.* (1) The development of use estimator models as described above requires that data from existing areas be systematically collected. The major requirement is that the data on use and users of a range of facility types and locations span the proposed types and locations for which estimates are to be made. A series of surveys at existing sites can provide such basic data, which would normally include total use, timing and patterns of use, characteristics or users, and users' areas of origin.

(2) Methods of data collection that have proved fairly satisfactory involve a short handout questionnaire or interviews of a small sample of randomly selected users of the different recreation areas. It is important that reliable total visit statistics be obtained for each existing area being investigated. This can usually be done satisfactorily with judicious use of traffic counters at most water-based recreation areas. If totals are collected throughout the season, samples for questionnaires or interviews need be drawn only a few days—on both weekends and weekdays, as patterns are likely to vary greatly between them.

(3) The number of questions asked may also be limited. The major concerns are the origin and purpose of the trip and limited information about the users. A representative range of areas, facilities, and locational proximities should be covered in such surveys. Fully adequate methods are available that are relatively inexpensive, entail a minimum of difficulty at the site and to the user, and yield meaningful results.

Appendix 2 to Subpart K—Contingent Valuation (Survey) Methods

Note.—This appendix is provided for background information only. Adherence to material presented in this appendix is not required, and shall not be considered binding.

(a) *Overview.* (1) Contingent valuation methods (CVMs) obtain estimates of changes in NED benefits by directly asking individuals about their willingness to pay (WTP) for changes in quantity of recreation at a particular site. Individual values may be aggregated by summing the WTPs for all users in the area.

(2) Contingent valuation methods consist of designing and using simulated markets to identify the value of recreation just as actual markets would, if they existed. Three basic steps are involved: (i) The analyst establishes a market to the respondent; (ii) he permits the respondent to "use" the market to make "trades" and establish prices or values that reflect the respondent's individual valuation of the recreation opportunities "bought" or "sold"; and (iii) the analyst treats the values reported by the respondent as individual values for the recreation, contingent upon the existence of the described market. The respondent's bids are used with the data contained in the market description (step i) to estimate the aggregate value of the recreation being studied.

(3) Contingent valuation methods are particularly appropriate for evaluating projects likely to be one of several destinations on a single trip, and projects that will result in a relatively small change in the quality of recreation at a site. Contingent value results may be adversely affected unless questions are carefully designed and pretested to avoid several possible kinds of response bias. Several techniques are available for obtaining the individual bids, which are the basic data for CVM.

(b) *Iterative bidding formats.* (1) Iterative bidding surveys ask the respondent to react to a series of values posed by the enumerator. Following establishment of the market and a complete description of the recreational good, service, or amenity to be valued, the respondent is asked to answer "yes" or "no" to whether he is willing to pay the stated amount of money to obtain the stated increment in recreation. The enumerator iteratively varies the value posed, until he identifies the highest amount the respondent is willing to pay. This amount is the respondent's "bid" for the specified increment in recreation.

(2) Iterative bidding techniques are most effective in personal interviews. Mail survey formats have also been used in research studies. These typically ask the respondent to answer "yes" or "no" to a small number of specified values in iterative questions and, finally, ask an open-ended question: "Now, write down the maximum amount you will be willing to pay. $———." At the present time, mail survey applications of the iterative bidding technique have not been adequately tested and cannot be recommended.

(3) The recreation facilities to be evaluated will be described in quantity, quality, time, and location dimensions. These descriptions should be hypothetical in the sense that they do not precisely describe features of actual sites or proposed projects, but they should be precise enough to give the respondent adequate information on which to base a valuation. To permit estimation of regional models, quantity, quality, and location dimensions should be varied and the iterative bidding exercise repeated. Verbal descriptions should be precise, and, when practicable, pertinent aspects of the facilities should be displayed or depicted nonverbally (e.g., with photographs, drawings, motion pictures, scale models, etc.).

(4) In most cases, the good to be valued is "the right to use (the recreation facility) for one year." The responses obtained are thus *annual* measures of the individual's willingness to pay for a given increment or decrement in recreation opportunities. Bidding formats that define the good in some other terms (e.g., day of use, trip, etc.) can also be used in some applications as long as appropriate estimates of numbers of days of use and trips are available to permit calculation of annual values.

(5) The institutional rules pertaining to the hypothetical market will be described in sufficient detail so that the respondent knows his rights and the rights of all others in the market. These rules should be realistic and credible, they should place the respondent in a role and encourage market behavior with which he is familiar, and they should be of a kind generally viewed as just, fair, and ethically sound. They should be nonthreatening: In particular, formats that threaten the respondent with a welfare shock that he may view as unfair should be avoided.

(6) The method of payment (called payment vehicles) should be carefully pretested. At the pretest stage, always include a neutral vehicle, e.g., "The money collected will be placed in a trust fund and devoted entirely to providing (the good)."

(7) The respondent should be given price or value information and asked, "Would you buy?" with the clear understanding that "if no, you would go without." The wording "Would you be willing to pay * * *?" should be avoided because some respondents may interpret it as an appeal for voluntary contributions. The question must be worded to suggest the pragmatic "take it, or leave it" atmosphere of the marketplace.

(8) Depending on the "yes" or "no" answer, the price or value is varied iteratively and the question repeated until the respondent's point of indifference between the money and the good is identified. Early iterations may change the price widely until the enumerator senses that he is approaching the respondent's indifference point; then iterative price variations will become finer.

(9) The starting price quote (called "starting point") will vary across respondents. The particular starting point assigned to a given respondent will be chosen randomly.

(10) The payment vehicle should be specified. Payment vehicles that may generate an emotional reaction should be avoided because they might introduce a confusing element into the bid data. Vehicles based on increments in taxes, utility bills, and hunting or fishing license fees may generate such reactions.

(11) General formats for iterative bidding questions are presented below, followed by specific examples. The questions must be specific to the particular measure of value to be elicited from the respondent. WTP formats should always be used; they may be incremental (willingness to pay for an increment in a desired recreation opportunity) or decremental (willingness to pay to avoid a threatened decrement in a desired recreation opportunity). The incremental format has two major advantages: It is the theoretically correct measure and since it offers the respondent the (hypothetical) chance to pay for a desired good, it is unlikely to provoke an offended reaction. The decremental format, which asks the respondent how much he would pay to avoid a change he does not want, may seem unfair or morally offensive to some, and thus may elicit biased or otherwise unreliable value estimates. The incremental version is preferred wherever it is credible.

(12) The incremental version may not be credible if the real world experience is typically one of decrements rather than increments; for example, the question "if a new unspoiled natural recreation environment could be created and the right to use it would cost $———, would you buy?" may be rejected as fantasy by some respondents in a world in which "unspoiled natural recreation environments" are fast disappearing. In such circumstances, it may be necessary to resort to decremental formats. However, since reasonable doubts can be raised, *a priori,* about the efficiency of WTP decremental formats, the following precautions are essential: The format designed must be the most consistent and plausible and least offensive possible; and at least two different formats must be pretested to permit statistical testing for differences in their performance.

(13) General examples of the WTP formats are:

WTP incremental: "If you had the opportunity to obtain [describe an increment in recreation facilities, hypothetical market rules, and payment vehicle], would you pay [starting price]? Yes (pay) ———. Or would you refuse to pay, and do without [the increment]? No (pay) ———." Reiterate with new prices until the highest price eliciting a "yes" response is identified.

WTP decremental (example 1): "[Describe a decrement in recreation facilities] will occur unless [describe market rules and payment vehicle]. Would you pay [starting price] to avoid [the decrement]? Yes (pay) ———. Or would you refuse to pay, and thus permit [the decrement]? No (pay) ———."

WTP decremental (example 2): "[Describe a recreation facility currently available to respondent] is currently available [describe existing market rules, existing payment vehicle, and existing price]. Unless [the existing price] is increased, [describe a decrement] will occur. Would you pay [starting price, which is some increment over the existing price] in order to prevent [the decrement]? Yes (pay) ———. Or would you refuse to pay, and thus permit [the decrement]? No (pay) ———." Reiterate . . . .

(14) Since some respondents may bid only zero amounts to WTP questions, it is important to identify which zero bids represent true zero valuations and which, if any, represent a protest against the market rules or payment vehicles in the bidding format. Check questions should always be used to probe "zero" responses to WTP formats, e.g., "Did you bid zero because (check one):

a. You believe [the stated increment] would be worth nothing to you?

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b. You believe [the payment vehicle] is already too high?
c. You believe [the stated increment] would be of value, but you do not think it is fair to expect [the respondent's class of citizen, e.g., hunting license holders, utility customers] to pay for it?

(15) Answers (b) and (c) above are "protest" responses, addressed not to the value of the good but to some element of the question format. Protest bids should be recorded but eliminated from calculations to estimate values. Formats that elicit more than 15 percent protest responses in pretests should be discarded, since a high incidence of protest bids may indicate that some nonzero bids are also distorted.

(c) *Noniterative bidding formats.* (1) Noniterative bidding formats are adaptable to implementation with mail surveys. There are two kinds of noniterative formats: close-ended, which ask respondents to answer "yes" or "no" to a single stated value; and open-ended, which ask the respondent to write down the maximum amount he would be willing to pay. A variant of the open-ended format asks the respondent to either select his maximum WTP from a list of stated discrete values or write down his maximum WTP. Noniterative bidding formats are unlikely to be as reliable as iterative formats.

(2) Noniterative mail survey formats may be used only for analysis of small projects. These formats must, to the extent practicable, have the basic attributes of the personal interview formats described above. Survey instruments should include color photographs and, if appropriate, other nonverbal stimuli.

(3) Open-ended bidding formats should be used with one half of the sample and close-ended formats with the other half. The bids obtained should be analyzed to determine if the format influences the results to a significant degree. Examples of these formats are presented below.

(4) *Open-ended.* "Due to pressures of population growth and economic development, 10 miles of trout stream such as that shown in the accompanying photograph are likely to be converted to other uses (e.g., a reservoir) and thus lost for trout fishing. Assume that the only way to preserve this 10-mile stretch for trout fishing is for trout fishermen to agree to buy an annual pass to fish in that stream segment. The money collected would pay for preservation of the stream section. If the stream segment was —— miles from your home, and you could expect to catch — trout in a typical day's fishing there, what is the *maximum amount* you would pay for the annual fishing pass? Answer: $——— per year.

(5) *Closed-ended.* The information presented in the open-ended format does not change, but the final question reads: "* * * and an annual fishing pass costs $——— (assign dollar amounts randomly to respondents), would you buy one? Answer: Yes —, No —."

(d) *Use estimation with CVMs.* (1) All of the contingent valuation procedures described above generate annual value estimates directly, instead of first generating values per user day and then estimates of expected user days. The "annual value estimation" procedure is superior because it is more reliable, it automatically corrects for the economic influence of existing recreation opportunities, and it is better adapted to estimating activity and existence values where both are important.

(2) Contingent valuation formats can also be designed to estimate values per user day but wording questions in terms of a day's activity. In the case of proposed increments, great care must be taken to determine the respondent's valuation of a day at the proposed site, given the continued availability of existing sites. Estimates of use may be made either by collecting such information as part of the survey or by other approved methods.

(3) To collect use information in the survey, proceed as follows:

(i) For decrements in recreation opportunities, ask (A): how many trips the household made (*1*) last year and (*2*) in a typical year, if last year was unusual for any reason; (B) how many days the trip lasted; and (C) how many household members participated in each trip.

(ii) For increments, ask (A): the same information as for decrements, but about existing recreation sites similar to the proposed increment. Then, if the proposed increment (described with verbal and nonverbal stimuli) were available, (B) how many trips, for how long, and with how many family members for the proposed increment; and (C) how many trips, for how long, and with how many family members in total for both the existing and proposed sites.

(e) *Using contingent valuation methods.* Contingent valuation methods can be used to develop value estimator models or to estimate recreation benefits for a specific proposed project. These two uses are discussed below.

(1) *Value estimator models.* (i) Value estimator models (VEMs) are statistical models of the relationships between the bid and selected characteristics of the site(s) and user populations. A typical model has the form:

$$V_{jk} = F(E_k, D_{jk}, C_k, A_k, S_{jk}, Q_j, I_j)$$

Where

V_{jk} is the value to household k of the specified change in recreation opportunity at site j.
E_k is a vector of social and demographic variables pertaining to household k, typically including income, ethnicity, and education.
D_{jk} is distance from the home of k to site j.
C_k is a measure of the capacity use of the existing stock of recreation facilities similar to those at site j in the market area centered at k's home.
A_k is distance from the home of k to the nearest existing alternative facility offering recreation opportunities similar to those at site j.
S_{jk} is an index of the availability of substitute recreation facilities (e.g., ocean beach for reservoir beach) in the market area centered at k's home.
Q_j is a vector of variables describing the quality of recreation at site j.
I_j is the increment or decrement in recreation at site j specified in the contingent valuation mechanism.

(ii) This method has several desirable characteristics: (A) The V_{jk} are current WTP estimates of value for increments and decrements in recreation opportunity; (B) the V_j are annual values of the existence of the recreation facilities at site j, and thus replace user days and unit day values; (C) the V_{jk} are not arbitrarily set at the same daily value for all users, as are unit day values; (D) the variables in vector Q_j provide a systematic statistical basis for estimating how V_j varies with site quality; (E) the variables C_k, S_{jk}, and A_k provide a systematic statistical basis for adjusting V_j to account for competing and substitute facilities.

(iii) Estimating a value estimator model requires the following steps:

(A) The final bids, after any calculations necessary to convert them to annual or daily household values, serve as the observations of the dependent variable.

(B) The observations of demographic variables serve as observations for the first set of independent variables.

(C) Existing recreation resource inventories and planning data provide the basis for specifying the second set of independent variables, i.e., those describing the existing stock of recreation opportunities. The location of each respondent's home is recorded on the completed survey instrument, and, together with the inventory and planning data for existing resources, permits calculation of individual observations of those variables that relate the existing stock of recreation opportunities to the location of the respondent's home. To complete the task of specifying these

variables, some indices of the availability and quality of the existing recreation stock must be developed. These include indices of facilities and conveniences, and of site quality, especially esthetic quality.

(D) Site-specific descriptors serve as the third and final set of independent observations. These are the data presented to the respondent and upon which he based each of his bids. The estimated esthetic score of each photograph used in the bidding process serves as one of these site-specific descriptors. Other descriptors are the information presented to the respondent on size, distance, etc.

(E) Using the best available econometric techniques, the equation is then estimated. The dependent variable is expressed in terms of annual value per household, eliminating the need for separate estimation of user-days and the mean value of a user-day.

(iv) Using an existing VEM to estimate the recreation benefits of a proposed project involves the following steps:

(A) Determine the market area for the recreation services affected by the project. If the market area is expected to exceed 120 miles, documentation of the reasons is required.

(B) Determine from census data the demographic characteristics of the market area population.

(C) Divide the market area into groups on the basis of demographic variables and distance from the proposed site. (One such group might be "households headed by a male of (ethnic group) with 10 to 12 years of education and household income between $12,001 and $15,000 annually, living 51 to 75 miles from the site.")

(D) Calculate separately for each market subarea the values of the variables describing existing recreation facilities obtained from inventory and planning data.

(E) Obtain from project planning data the values of the variables describing project-specific attributes.

(F) Estimate, by using the specified data and the fitted model, the household value for the proposed increment or decrement in recreation opportunities for a typical household in each group.

(G) Multiply this value by the number of households in the group, and sum the group values to get the aggregate benefit estimate.

(2) *Applying CVM to a specific proposed project.* In some circumstances, CVMs may be used to estimate the recreation benefits of a specific proposed project. Great care must be taken in the design of the survey instruments and editing of the data, however, because some respondents may try to influence the outcome of the analysis by their bidding responses. The survey design and sampling requirements of such a study are discussed under "Data requirements" below.

(3) *Data requirements*—(i) *Survey design.* For contingent valuation exercises, the survey instrument must contain two major sections: One for bidding formats and one for collecting appropriate demographic data; a brief final section should elicit respondent feedback. Since there is no reason to prohibit the use of additional sections, other data useful for recreation planning may be gathered during the interview. Additional sections may include recreation activities, attitudes, recreation preferences, and projected use of proposed new recreation facilities. To minimize inconvenience to respondents and avoid respondent fatigue and lapses of concentration, the complete interview should typically not require more than 30 minutes.

(ii) *Pretesting.* (A) The basic survey instrument, including bidding formats and questions to collect additional data (e.g., demographic data, respondent's history of use of recreation facilities, etc.), must be pretested, using a sample of at least 30 respondents in order to generate a data set permitting appropriate statistical tests. The pretest sample should not be drawn from the same population as the actual study sample. Sampling procedures for the pretest are not especially crucial, but an attempt should be made to obtain a demographic cross section of users. A variety of bidding formats, hypothetical market designs, and payment vehicles should be pretested.

(B) Nonresponses and protest responses should be tabulated for all bidding formats. Those formats eliciting large proportions (i.e., more than 15 percent) of such responses should be eliminated, or redesigned and retested. Statistical tests for information bias, vehicle bias, and starting point bias should be performed, and formats that generate any of these biases should be eliminated, or redesigned and retested.

(iii) *Sampling.* (A) Following pretesting and, if necessary, redesign, a sampling frame for the main survey should be drawn. The household is the basic sampling unit. For estimation of activity values, samples may be drawn from reliable lists of participants (e.g., fishing license holders), if available. For activity values where no such lists exist, and for existence values, the sample must be drawn from the regional population of households.

(b) Sampling procedures should have the performance characteristics of random sampling. To save travel time in a personal interview survey, randomized, cluster sampling is permissible, provided that no cluster is larger than one-thirtieth of the sample size. Sample size should be no less than 200 households. The respondent selected to answer on behalf of the household should preferably be the head-of-household or spouse of the head. In the absence of the head and spouse, another adult member of the household may be interviewed, provided he or she has assumed a responsible life-role (e.g., is a parent or is financially self-supporting).

(C) Random sampling methods are also used for mail surveys. At least two followup mailings are necessary to reduce nonresponse. In addition, a random telephone survey of 10 percent of the nonresponses after the second followup mailing is necessary. The results of the telephone survey must be analyzed separately in order to permit testing for nonresponse bias.

(iv) *Specific proposed project requirements.* (A) Procedures for valuing recreation benefits using project-specific iterative bidding formats are similar, in some respects, to the procedures described above. Aspects that are different are highlighted in the following:

(B) The population to be sampled is that of the market area(s) for the various categories of recreation opportunities that would be beneficially or adversely affected. Survey instruments follow the basic format described above, with the major exception that the bidding formats provide site-specific information on the proposed project itself. Photographs and other stimuli should be focused on the without-project condition for adverse effects, and on the with-project condition for beneficial effects. In the latter case, it may be necessary to use photographs of a completed similar project.

(C) Individual bid data must be used as observations to test carefully for biases, including vehicle bias, information bias, starting point bias, and strategic bias, using established statistical testing procedures. Evidence of bias should (*1*) lead to elimination of formats producing bias at the pretest stage, and (*2*) lead to reporting of any bias remaining after all instrument redesign possibilities have been exhausted. Final bids are aggregated across the sample and then projected to the market area population. These "population aggregate bids" are then used as estimates of the total value, positive or negative, of the effects, beneficial or adverse, of the proposed increments or decrements in recreation

opportunities. Net project recreation effects are calculated as in (e) (1) above.

Appendix 3 to Subpart K—Unit Day Value Method

Note.—This appendix is provided for background information only. Adherence to material presented in this appendix is not required, and shall not be considered binding.

The unit day value (UDV) method for estimating recreation benefits relies on expert or informed opinion and judgment to approximate the average willingness to pay of users of Federal or Federally assisted recreation resources. If an agency can demonstrate that more reliable TCM or CVM estimates are either not feasible or not justified for the particular project under study, as discussed under applicability criteria, the UDV method may be used; by applying a carefully thought-out and adjusted unit day value to estimated use, an approximation is obtained that may be used as an estimate of project recreation benefits.

(a) *Implementation.* (1) When the UDV method is used for economic evaluations, planners will select a specific value from the range of values provided in the most current published schedule. Application of the selected value to estimated annual use over the project life, in the context of the with- and without-project framework of analysis, provides the estimate of recreation benefits.

(2) Two categories of outdoor recreation days, general and specialized, may be differentiated for evaluation purposes. "General" refers to a recreation day involving primarily those activities that are attractive to the majority of outdoor users and that generally require the development and maintenance of convenient access and adequate facilities. "Specialized" refers to a recreation day involving those activities for which opportunities in general are limited, intensity of use is low, and a high degree of skill, knowledge, and appreciation of the activity by the user may often be involved.

(3) Estimates of total recreation days of use for both categories, where applicable, will be developed. The general category comprises the great majority of all recreation activities associated with water projects, including swimming, picnicking, boating, and most warm water fishing. Activities less often associated with water projects, such as big game hunting and salmon fishing, are included in the specialized category. A separate range of values is provided in a conversion table (Table 1) for each category and for fishing and hunting to facilitate adoption of a point system in determining the applicable unit values for each individual project under consideration.

Table K-3 1 - Conversion of Points to Dollar Values

ACTIVITY CATEGORIES	POINT VALUES										
	0	10	20	30	40	50	60	70	80	90	100
General Recreation (Points from Table K-3 2)	1.07	1.23	1.44	1.68	1.93	2.30	2.48	2.67	2.85	3.04	3.22
General Fishing and Hunting (Points from Table K-3 2)	1.57	1.74	1.90	2.17	2.26	2.61	2.73	2.94	3.06	3.17	3.20
Specialized Fishing and Hunting (Points from Table K-3 3)	7.30	7.69	7.98	8.06	8.27	9.03	9.80	10.57	11.34	12.10	12.87
Specialized Recreation Other than Fishing and Hunting (Points from Table K-3 3)	4.29	4.69	5.00	5.36	5.72	6.44	7.15	8.58	10.01	11.44	12.87

NOTE: Unit day recreation values may not exceed the values provided by this table.

(4) When employing this method to determine recreation benefits, departure from the range of values provided is not permitted. If evidence indicates a value outside the published range, the TCM or CVM method is required.

(5) In every case, planners are expected to explain the selection of any particular value. To assist in explaining a specific value, a point rating method may be used. The method illustrated here contains five specific criteria and associated measurement standards designed to reflect quality, relative scarcity, ease of access, and esthetic features. Since the list of criteria and weights assigned may vary with the situation, public involvement should occur in the value determination process. Planners in the various agencies are also expected to make appropriate use of studies of preferences, user satisfaction, and willingness to pay for different characteristics. In using these studies, particular efforts should be made to use estimates derived elsewhere from applications of the TCM and CVM techniques, to support the value selected.

(i) *General recreation (Table 2).* Activities in this category are those associated with relatively intensive development of access and facilities as compared to the specialized recreation category. Generally, progressively higher physical standards for each unit of carrying capacity is involved in selecting higher unit values, and these may be accompanied by larger related nonproject costs.

(ii) *Specialized recreation (Table 3).* (A) This category includes those activities whose values are generally lowered, if not actually excluded, by the type of development that enhances activities in the general recreation category. Thus, extensive or low density use and development constitutes the higher end of this range of values (e.g., big game hunting and wilderness pack trips). Also included in the upper end of the range are relatively unique experiences such as inland and marine fishing for salmon and steelhead, white water boating and canoeing, and long-range boat cruises in areas of outstanding scenic value. Examples of activities to which values at the lower end of the range would be assigned include upland bird hunting and specialized nature photography.

Table K-3 2 - Guidelines for Assigning Points for General Recreation

Criteria	Judgment Factors				
a) Recreation Experience	Two general activities 3/	Several general activities	Several general activities; one high quality value activity 4/	Several general activities; more than one high quality high activity	Numerous hig quality valu activities; some general activities
Total Points: 30					
Point Value:	0-4	5-10	11-16	17-23	24-30
b) Availability of Opportunity 7/	Several within 1 hr. travel time; a few within 30 min. travel time	Several within 1 hr. travel time; none within 30 min. travel time	One or two within 1 hr. travel time; none within 45 min. travel time	None within 1 hr. travel time	None within 2 hr. travel time
Total Points: 18					
Point Value:	0-3	4-6	7-10	11-14	15-18
c) Carrying Capacity 1/	Minimum facility development for public health and safety	Basic facilities to conduct activity(ies)	Adequate facilities to conduct without deterioration of the resource or activity experience	Optimum facilities to conduct activity at site potential	Ultimate facilities t achieve intent of selected alternative
Total Points: 14					
Point Value:	0-2	3-5	6-8	9-11	12-14
d) Accessibility	Limited access by any means to site or within site	Fair access poor quality roads to site; limited access within site	Fair access, fair road to site; fair access, good roads within site	Good access, good roads to site; fair access, good roads within site	Good access, high standar road to site; good access within site
Total Points: 18					
Point Value:	0-3	4-6	7-10	11-14	15-18
e) Environmental Quality	Low esthetic factors 5/ exist that significantly lower quality 6/	Average esthetic quality; factors exist that lower quality to minor degree	Above average esthetic quality; any limiting factors can be reasonably rectified	High esthetic quality; no factors exist that lower quality	Outstanding esthetic quality; no factors exist that lower quality
Total Points: 20					
Point Value:	0-2	3-6	7-10	11-15	16-20

1/ Value should be adjusted for overuse.
2/ Value for water-oriented activities should be adjusted if significant seasonal water level changes occur.
3/ General activities include those that are common to the region and that are usually of normal quality. This includes picnicking, camping, hiking, riding, cycling, and fishing and hunting of normal quality.
4/ High quality value activities include those that are not common to the region and/or Nation and that are usually of high quality.
5/ Major esthetic qualities to be considered include geology and topography, water, and vegetation.
6/ Factors to be considered in lowering quality include air and water pollution, pests, poor climate, and unsightly adjacent areas.
7/ Likelihood of success at fishing and hunting.
8/ Intensity of use for activity.

Table K-3 3 - Guidelines for Assigning Points for Specialized Recreation

Criteria	Judgment Factors				
a) Recreation Experience 8/	Heavy use or frequent crowding or other interference with use	Moderate use, other users evident and likely to interfere with use	Moderate use, some evidence of other users and occasional interference with use due to crowding	Usually little evidence of other users, rarely if ever crowded	Very low evidence of other users, never crowded
Total Points: 30					
Point Value:	0-4	5-10	11-16	17-23	24-30
b) Availability of Opportunity 7/	Several within 1 hr. travel time; a few within 30 min. travel time	Several within 1 hr. travel time; none within 30 min. travel time	One or two within 1 hr. travel time; none within 45 min. travel time	None within 1 hr. travel time	None within 2 hr. travel time
Total Points: 18					
Point Value:	0-3	4-6	7-10	11-14	15-18
c) Carrying Capacity 1/	Minimum facility development for public health and safety	basic facilities to conduct activity(ies)	Adequate facilities to conduct without deterioration of the resource or activity experience	Optimum facilities to conduct activity at site potential	Ultimate facilities to achieve intent of selected alternative
Total Points: 14					
Point Value:	0-2	3-5	6-8	9-11	12-14
d) Accessibility	Limited access by any means to site or within site	Fair access, poor quality roads to site; limited access within site	Fair access, fair road to site, fair access, good roads within site	Good access, good roads to site; fair access, good roads within site	Good access, high standard road to site; good access within site
Total Points: 18					
Point Value:	0-3	4-6	7-10	11-14	15-18
e) Environmental Quality	Low esthetic factors 5/ exist that significantly lower quality 6/	Average esthetic quality; factors exist that lower quality to minor degree	Above average esthetic quality; any limiting factors can be reasonably rectified	High esthetic quality; no factors exist that lower quality	Outstanding esthetic quality; no factors exist that lower quality
Total Points: 20					
Point Value:	0-2	3-6	7-10	11-15	16-20

1/ Value should be adjusted for overuse.
2/ Value for water-oriented activities should be adjusted if significant seasonal water level changes occur.
3/ General activities include those that are common to the region and that are usually of normal quality. This includes picnicking, camping, hiking, riding, cycling, and fishing and hunting of normal quality.
4/ High quality value activities include those that are not common to the region and/or Nation and that are usually of high quality.
5/ Major esthetic qualities to be considered include geology and topography, water, and vegetation.
6/ Factors to be considered in lowering quality include air and water pollution, pests, poor climate, and unsightly adjacent areas.
7/ Likelihood of success at fishing and hunting.
8/ Intensity of use for activity.

(B) The unit day values to be used for both the general and specialized recreation categories should be further adjusted to reflect additional quality considerations expected to prevail at various project sites in various regions of the Nation, and weighted according to their importance to users. For example, a reservoir that is expected to carry a relatively heavy load of suspended silt or is expected to be used beyond optimum capacity would be less desirable, and therefore of lower unit value, than one that will have clear water and be less crowded.

(C) Hunting and fishing may be treated either as general recreation (Table 2) or specialized recreation (Table 3) depending upon whether it is associated with developed areas or back country areas, respectively. In either case, the recreation experience (criterion "a" in the tables) will be given points according to the additional consideration of the chances of success; the midpoint of the value range is associated with the region's average catch or bag. Other criteria may be modified if appropriately based on available evidence about the preferences and willingness to pay of hunters and fishermen for different recreation quality factors.

(D) The degree to which alternative nonproject opportunities are available to users is also considered in the assignment of values. Higher values should be assigned if the population to be served does not have existing water-oriented recreation opportunities. If water-oriented recreation opportunities are relatively abundant, as compared to other outdoor recreation opportunities, lower unit values should be assigned, even if a large number of visitations are expected at the proposed development.

(E) The choice of a unit day value must account for transfers to avoid double counting of benefits. The net value of a transfer of use from one site to another is the difference in unit day values for recreation at the two sites. If recreation activities at the two sites are comparable, travel cost savings are the only NED benefits associated with the transfer. Use at the site must therefore be disaggregated according to the proportion of total estimated use that is activity that would not have occurred without the project and the proportion of total use that represents transfers from existing sites. The respective types of uses must then be assigned different daily values as indicated.

(iii) *Establishing specific values within each range.* Unit values selected are to be considered net of all associated costs of both the users and others in using or providing these resources and related services. Agencies will be encouraged, through review procedures, demonstration projects, and educational workshops, to adopt the TCM and CVM techniques for project evaluations that would otherwise have used UDVs. As agencies gradually adopt CVM and TCM and develop a more comprehensive set of regional models, reliance on the UDV can be expected to diminish.

(b) *Estimating use in the UDV method.* (1) Using the ranges of values requires first the study of estimates of annual use foregone and expected at recreation sites. Use can be estimated by a use estimating equation or per capita use curve as discussed above, but these means are available, the second step of the travel cost methods should generally be used instead of UDVs to derive the benefit.

(2) The capacity method is an alternative method of estimating use, but it has severe limitations. The capacity procedure involves the estimation of annual recreation use under without-project and with-project conditions through the determination of resource or facility capacities (taking into consideration instantaneous rates of use, turnover rates, and weekly and seasonal patterns of use). Seasonal use patterns are dependent on climate and culture and probably account for the greatest variation in use estimates derived through this method. In general, annual use of outdoor recreation areas, particularly in rural locations and in areas with pronounced seasonal variation, is usually about 50 times the design load, which is the number of visitors to a recreation area or site on an average summer Sunday. In very inaccessible areas and in those known for more restricted seasonal use, the multiplier would be less; in urban settings or in areas with less pronounced seasonal use patterns, the multiplier would be greater. In any case, the actual estimation of use involves an analytical procedure using instantaneous capacities, daily turnover rates, and weekly and seasonal use patterns as specific data inputs.

(3) Because the capacity method does not involve the estimation of site-specific demand, its use is valid only when it has been otherwise determined that sufficient demand exists in the market area of project alternatives to accommodate the calculated capacity. Its greatest potential is therefore in urban settings where sufficient demand obviously exists. Additionally, its use should be limited to small projects with (i) a facility orientation (as opposed to a resource attraction), and (ii) restricted market areas that would tend to make the use of alternative use estimating procedures less useful or efficient.

(c) *Calculating values.* The estimates of annual use are combined with the selected unit day values to get an estimate of annual recreation benefits. The value assigned to each activity or category of activities is multiplied by the number of recreation days estimated for that activity. The products are then summed to obtain the estimate of the total value of an alternative. Recreation days to be gained and lost or foregone as a result of a particular alternative are listed and valuated separately, not merely shown as net recreation days. Transfers of recreational users to or from existing sites in the region must be calculated, and the net regional gain or loss used in the final benefit estimated. Adequate information must appear in the discussion of the use estimation and valuation procedure or elsewhere in the report concerning the alternative being considered, so that the reader can derive a similar value for each activity.

Subpart L—NED Benefit Evaluation Procedures: Commercial Fishing and Trapping [Reserved]

Subpart M—NED Benefit Evaluation Procedures: Increases in Output Resulting From External Economies

§ 713.1101 Introduction.

This subpart provides a definition of external economies and procedural guidance for the evaluation of external economies directly attributable to water resources plans and projects. External economies are a category of a much broader and more pervasive class of effects termed external effects or externalities that impinge on the national economy and the environment. The external economies to be included in the NED benefit evaluation are the uncompensated, incidental, and unintended effects of a project that increase economic efficiency by increasing the output of intermediate final consumer goods over and above the direct outputs accounted for in the plan or project. In this sense, the pertinent external economies are "external" to the plan or project; they are additional to all other effects, which are "internal" to the scope, function, and area of the plan or project.

§ 713.1103 Conceptual basis.

(a) The external effects classified as external economies and diseconomies have wide application in the competitive market system, emanating as they do from the impacts that the production activities of firms and industries have on the

gains or costs of other firms and industries. These effects also operate between individuals and groups and between industries and individuals by affecting an individual's costs or satisfaction.

(b) External economies, termed technical or technological external economies because they reflect an improvement in a firm's ability to produce physical output from given inputs, must be distinguished from pecuniary external economies, which do not represent NED benefits.

(1) *Technological external economies* are project-caused improvements in efficiency resulting from uncompensated shifts in the technical production function of a firm or from the relaxation of constraints, which allows the firm to reduce its costs of production. These economies also apply to uncompensated shifts in the utility function of an individual. Technological external economies exist only when uncompensated gains accrue indirectly to firms and/or individuals as a result of the direct output of the project.

(2) *Pecuniary external economies,* on the other hand, do not impinge on national economic efficiency. These project-caused consequences do not affect the amount of output produced by a firm's physical inputs or, in the case of a consumer, the satisfaction obtained from a given resource. Consequences such as these emanate from shifts in prices for inputs and outputs as some firms and industries expand and others contract in response to the direct outputs of water resources plans and projects. And while these effects may appear as NED costs and NED benefits to firms, industries, persons, and communities, they are actually transfers between economic sectors and persons inherent in the process of redistributing national product. The distinguishing characteristic of these external, incidental effects on consumer satisfaction and business profit is that they are conveyed indirectly through prices. Pecuniary externalities result if implementation of the plan leads to decreases in the price of a product itself; increases in the price of a complementary good; decreases in the price of a substitute; decreases in the price of a joint product; or increases in the price of a resource used in production. All these effects are occasioned by shifts in prices and seldom represent changes in resource use efficiency; they are, rather, income transfers with distributional but not output-increasing impacts. Pecuniary external economies are not to be counted as NED benefits.

§ 713.1105 Planning setting.

Standard planning procedures consistent with the Principles and Standards shall be used. These procedures require comparison of the with-project condition to the without-project condition. In considering external economies, the agency directing the planning must define the boundary of influence on direct users of the project's or plan's output. Economic efficiency gains to firms in production and satisfaction gains to consumers other than those identified as the primary beneficiaries of direct project output shall be valued and measured as external economies benefits.

(a) *Without-project condition.* Future conditions expected to exist without implementation of the plan shall be forecast. Two principal projections of future conditions are required. The first is projection of the output and production levels likely to be achieved in the absence of a plan by those firms and industries designated direct users. The second is a separate forecast of the external economies likely to result from the future production activities of these firms and industries. Identification of possible future effects on the physical production possibilities of firms and industries not identified as direct users shall be guided by consideration of any major external economies currently existing for them. An assessment shall be made as to whether existing external economies will increase or decrease in intensity and number in the future.

(b) *With-project condition.* (1) Future conditions expected to exist when the plan is fully implemented shall be forecast. First, the boundary of influence of the plan or project shall be delineated; and shall be confined to the operations of direct beneficiaries.

(2) The second step is to ascertain whether the output of the direct users will be used as input to firms and industries that are outside of the direct users' immediate operating zone as delineated in the plan.

(3) The next task is to assess whether the output of the direct users will contribute to the production efficiency of the firms and industries previously identified as external to the plan's scope.

(4) The external economies identified as incidental consequences of the plan shall then be contrasted with the external economies that will exist in the absence of the plan. The differences between the two assessments represent the net external economies attributable to the plan.

§ 713.1107 Evaluation procedure: General.

(a) External economies exist for firms only if the related resources (1) are immobile and unemployed or underemployed, or (2) will utilize or benefit from project output to increase their productivity or output. If these unintended and uncompensated consequences can be priced in the market, their total values may be computed and added to the other NED benefits. Their values shall be added if they will affect production possibilities for a potential enterprise if and when the enterprise materializes. Technological external economies can therefore accrue to potential new firms and individuals.

(b) For the impacted firms, major technological external economies can be computed as a reduced average cost per unit of output or as an increase in value added. If these effects are minor and tenuous to trace, no evaluation should be made but these likely effects should be discussed in the report. In most cases, if a technological external economy resulting from project action can be identified, the effects should be measured. The principle of evaluation for calculating external technical economies is marginal benefits less the marginal costs of the affected firms.

(c) Improvement in production possibilities of the private market sector as well as the nonmarket sector recreation are technological external economies. The following are examples of technological external economies. A large water storage project is to be located upstream on a main tributary of a river system that enters the ocean by a delta through an estuary. The direct output of the project is flood control for communities residing on floodplains along upper valleys of the tributary. One effect of regulating flow—reducing winter high and summer low flows—is to increase the recreational potential of land and water in the lower reaches of the river system. A cooling of water temperatures and increased flow during summer increases fish and wildlife productivity; riparian habitats along lower water courses expand and increase in density; salt water marshland receives less saline water in summer. As a result, there is an increase in dove and pheasant hunting as these wildlife populations increase. Opportunities for sport-angling also increase as game fish productivity rises. Shrimp production benefits from the change to less saline water in the marshland, and commercial shrimp harvest increases, resulting in greater output at lower unit total cost to shrimp fishermen. An incidental effect is the improvement in water quality to downstream users; turbidity is reduced in winter and water hardness is reduced in summer. Treatment costs are lower for firms and households. If the impoundment has the effect of causing the recharge of groundwater basins in the vicinity of the dam site or along the stream course, such an incidental, unintended effect is a technological external economy. Pumping costs could be reduced.

§ 713.1109 Evaluation procedure: Problems in application.

The major problems encountered in the estimation of NED external economy benefits are the identification of the firms, industries, and consumers who will be subject to these unintended effects caused by projects and plans; the distinction between technological external economies and pecuniary economies; and the measurement of the benefits resulting from technical external economies. It must be emphasized that it is not practical or economic to trace out all external technological effects.

(a) Determining the "context" or system within which the major impacts might be experienced is a useful first step in identifying likely technological economies worth measuring. The immediate watershed or the subsystem of a river system would constitute a relevant context. The delineation of geographical and economic market regions in which impacts are likely to be felt cannot usually encompass the whole regional economy in a highly industrialized area. Nevertheless, it is important to avoid delineating too small an area in which to search for possible effects.

(b) Another procedure for identifying likely impacts is tracing the hydrologic changes that will occur as a result of the project. For example, flows downstream and in other parts of a river system can be changed in quantities and qualities; the water's chemical and physical characteristics—oxygenation, turbidity, temperature, etc.—can undergo change that may impact on fish and wildlife resources and on the production functions of firms and the satisfaction of consumers.

(c) Technological external economies must be distinguished from pecuniary economies. Transfers between economic sectors occasioned by price changes for inputs and outputs are pecuniary in nature and, while they may lead to technological economies, usually do not contribute to efficiency and therefore are not counted in the NED benefit evaluation.

§ 713.1111 Evaluation procedure: Data sources.

An assessment of the current situation and the economic efficiency of potentially affected firms and individuals usually entails the collection from primary sources of data on cost, production function, and firm capacity. Studies of industrial structure and the interdependence of firms in the supply of various inputs and the use of outputs can provide valuable supplemental information.

§ 713.1113 Evaluation procedure: Risk and uncertainty.

Benefits from external economies are unique to each project design and its location, so the historical record of data is of limited usefulness. The risk and uncertainty attached to the hypothesized outcomes can be reduced by clearly revealing areas of ignorance. A physical description of externalities, together with assessment of their relative (major or minor) significance, is an integral part of such a procedure. Nevertheless, these estimates are high on risk and relative uncertainty, based as they are on the total mix of project outputs and the effect these mixes would have on stimulating increased productivity.

§ 713.1115 Report and display procedures.

External technical economies shall be identified by component and added onto the benefits of the benefit-cost analysis. The external economies shall be clearly identified, and the methodology used to value the benefits shall be presented in the report. The report shall provide a tabular breakdown of all external technical economies claimed for the project. The formats shown in Tables 713.1115–1 and 2 are suggested presentations.

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Table 713.1115-1--ANNUAL EQUIVALENT VALUE

Component	Direct Benefits	External Technological Economies	Total Benefits
Municipal & Industrial Water Supply			
Agricultural Production			
Urban Flood Control			
Transportation (Inland Navigation)			
Power (Hydropower)			
Recreation			
TOTALS			

Table 713.1115-2--ANNUAL EQUIVALENT VALUE, NED ACCOUNT

Benefits	
Municipal & Industrial Water Supply	
Agricultural Production	
Urban Flood Control	
Transportation (Inland Navigation)	
Power (Hydropower)	
Recreation	
External Economies a/	
TOTAL NED BENEFITS	

a/ The total number of external economies for each plan shall be displayed in the NED account as a line entry, External Economies, under Benefits.

Subpart N—NED Benefit Evaluation Procedures: Unemployed or Underemployed Labor Resources

§ 713.1201 Introduction.

The Principles and Standards permit the economic effects of the direct use of otherwise unemployed or underemployed labor resources during project construction or installation to be included as a national economic development (NED) benefit. This subpart provides procedural guidance in the evaluation of NED benefits resulting from increased employment of these labor resources. The procedures described in § 713.1207 shall be used to calculate these benefits for all structural and nonstructural alternatives considered during the planning process.

§ 713.1203 Conceptual basis.

(a) The social cost of a project is less than the market contract cost in situations in which otherwise unemployed or underemployed labor resources are used in project construction. The opportunity cost of employing otherwise unemployed workers in project construction or installation is equal to the value of leisure time foregone by such workers. Because society does not give up any alternative production of goods and services and because it would be difficult to measure the value of leisure time foregone, a zero opportunity cost will be used in these procedures. The opportunity cost of employing otherwise underemployed workers equals their without-project earnings, which, by virtue of their underemployment, are less than their market cost. The most straightforward way to reflect the effects of employing unemployed or underemployed labor resources would be to reduce by the appropriate amount the project construction costs in the NED account, but this method would cause accounting difficulties in appropriations, cost allocation, and cost sharing. Therefore, these effects are treated as a project benefit in the NED account.

(b) Conceptually, any employment, anywhere in the Nation, of otherwise unemployed or underemployed resources that results from a project represents a valid NED benefit. However, primarily because of identification and measurement problems, and because unemployment is regarded as a temporary phenomenon, the Principles and Standards specifically permit only those labor resources employed onsite in the construction or installation of a project or a nonstructural measure. The Principles and Standards state that the WRC will designate planning regions that have unemployed or underemployed labor resources. Areas to be used in the analysis are those areas with "substantial and persistent unemployment," as designated by the Economic Development Administration (EDA), U.S. Department of Commerce, as eligible under Subsection 1 of Title IV of the Public Works and Economic Development Act of 1965 (Pub. L. 89–136, as amended)[1] and those Indian reservations that meet the criteria for "substantial and persistent unemployment" under Subsection 1. Only the portion of project construction activity located in a designated area is eligible for employment benefits as calculated in accord with the procedures specified below. Any benefit claimed must be clearly justifiable both in terms of availability of amounts of unemployed and/or underemployed labor and their skills and occupations.

[1] Economic Development Administration, U.S. Department of Commerce. *Qualified Area Under the Public Works and Economic Development Act of 1965, as Amended.* Periodic publication.

§ 713.1205 Planning setting.

(a) *Without-project condition.* The without-project condition is the most likely condition expected to exist in the future in the absence of a project, including known changes in law or public policy. The evaluation of NED benefits associated with the use of unemployed and underemployed labor resources is linked to the number by which these resources would be reduced over time without a project.

(b) *With-project condition.* The with-project condition is the most likely condition expected to exist in the future with a given project alternative. There is a different with-project condition and thus a different employment benefit for each alternative plan. Currently, the employment benefit cannot be estimated directly on the basis of a comparison of the size of the pools of unemployed and underemployed labor with and without a project. Instead, the benefit procedure implicitly projects the percentage of project labor hires estimated to come from the unemployed labor pool.

§ 713.1207 Evaluation procedure.

(a) *Step 1.* Calculation of employment benefits is permitted only for onsite project construction or installation activity in designated regions as defined in § 713.1203(b). The first step therefore is to determine whether a project is wholly or partially located in a designated area.

(b) *Step 2.* The number of skilled and unskilled unemployed construction workers in the labor area shall be estimated. Construction labor pool data are usually available from local offices of State employment security agencies.

(c) *Step 3.* The labor requirements for plan implementation shall be determined as follows:

(1) *Labor cost.* The manpower requirements of water resource projects differ widely. Construction cost estimate data will provide the percentage of labor cost to total construction contract cost. Design and administration costs, land cost, and other nonconstruction costs shall be deducted from total plan cost to arrive at construction costs.

(2) *Manpower requirements.* The plan's construction work force and schedule shall be analyzed to determine manpower requirements over the construction period for skilled and unskilled categories of workers. These data shall be converted to total construction wages in skilled and unskilled categories by year of construction. In addition, the yearly wage bill of other workers needed on the project shall be estimated. The occupational tables in Appendix 1 of this subpart shall be used to categorize different types of workers.

(d) *Step 4.* The annual manpower requirements of the project shall be compared to the size of the unemployed labor pool in eligible regions. If labor availability is significantly larger than labor requirements, proceed to the next step. If not, a reduction in the percentages in the next step shall be made based on one or both of the following: expert interviews; or a careful matchup of requirements and availability for specific types of jobs (e.g., carpenters).

(e) *Step 5. Calculate NED employment benefits*—(1) *Standard method.* The following percentages are derived from *An Evaluation of the Public Works Impact Program* (PWIP).[2] Although the projects studied in the PWIP report are not fully comparable to many typical water projects, the report does provide an empirical basis for relating public works expenditures to employment of unemployed workers in an EDA-designated area. Case 1, below, covers situations in which there is no "local hire" rule; it is taken directly from

[2] Economic Development Administration, U.S. Department of Commerce. *An Evaluation of the Public Works Impact Program (PWIP).* Springfield, VA. National Technical Information Service (PB–263 098), January 1975.

the PWIP report, as PWIP has no local hire rule. Case 2 covers situations in which there is a local hire rule; the reference data are modified to account for an 80-percent local hire by scaling up the actual local hires (for skilled and unskilled workers) to 80 percent, but retaining the EDA distribution of local hires previously employed to local hires previously unemployed.

(i) *Case 1, NED benefits, no local hire rule.* The total wages determined by categories of workers (skilled, unskilled, and other) will be multiplied by the following percentages to obtain NED benefits by year of construction:

Skilled—30
Unskilled—47
Other—35

(ii) *Case 2, NED benefits, local hire rule.* The following percentages will be applied in Case 2 situations:

Skilled—43
Unskilled—58
Other—35

Because the 80-percent local hire rule is a goal, not a requirement, use of these percentages must be supported by data that indicate the local hire goal is likely to be met. If this is unlikely, Case 2 percentages must be reduced to numbers between the standard Case 1 and Case 2 percentages.

(iii) *Annual NED benefits.* The NED benefits by year of construction will be converted to an annual equivalent basis using the current discount rate.

(2) *Alternative methods.* The percentages of unemployment hires may be changed from those used in the standard method if the change can be supported by an empirical study that shows different percentages of unemployed and underemployed workers on a similar project, or on a segment of the same project, for labor market conditions similar to those of the proposed project. In using this method, it may be necessary to vary the categorization of construction workers used in the standard method. The opinions of experts such as local State employment security agencies, local construction firms, associations of contractors, and labor unions may not be substituted for empirical data. Studies used to document alternative percentages for specific types or locations of projects should be cited if not included in the project report.

(3) The percentages are used in the standard method to measure wages paid directly to previously unemployed workers. Previously employed workers may vacate jobs that then become available to unemployed workers, but there are no empirical data to support a quantification of such indirect effects, and no estimates of these effects may be included in the NED account.

§ 713.1209 Report and display procedures.

The employment benefits of each alternative plan shall be included as a line item in the display of NED benefits in the system of accounts for any project or portion of a project located in an area that contains unemployed or underemployed resources, as designated in § 713.1203(b).

Appendix 1 to Subpart N—Occupational Tables[1]

Blue Collar Unskilled Occupations

Bricklayer Apprentice
Carpenter Apprentice
  Apprentice Carpenter
  Carpenter Helper
Chainman
Deck Hand
Electricial Apprentice
  Apprentice Electrician
  Apprentice Wireman
  Electrician Trainer
Iron Worker Apprentice
Laborer
  Asphalt Distributor
  Assistant Carpenter
  Bottom Laborer
  Brick Tender
  Carpenter Aid
  Carpenter Helper
  Chainsawman
  Common Laborer
  Concrete Braker
  Concrete Laborer
  Concrete Saw
  Construction Laborer
  Ditch Laborer
  Drill Helper
  Flag Person
  Hod Carrier
  Kettleman
  Laborer
  Laborer Apprentice 3rd
  Laborer Group I
  Laborer Group V
  Labor Shop Man
  Laborer Topman
  Laborer Utilityman
  Landscape Laborer
  Mason Helper
  Mason Laborer
  Mason Tender
  Mortarman
  Mortarmier
  Pipe Layer
  Pipe Helper
  Pipe Fitter
  Plasterer Tender
  Powderman
  Pusher
  Rakeman
  Reboundman
  Road Laborer
  Roof Helper
  Sand Blaster
  Set-up-man
  Sprinkler Apprentice
  Stake Setter
  Tender
  Termite Operator
  Tile Setter Operator
  Vibrator Operator
  Water Truckman
Lumberman and Nurseryman
  Tree Thinner
  Treeman
  Treeplanter
Operating Engineer Apprentice
  B. M. Apprentice
  EO Group III
  EO Group 222
Plumber Apprentice
  Plumber Apprentice
  Plumber Helper
Painter's Helper
Sheet Metal Apprentice
Vibrator Operator
Watchman
  Night Watchman

Blue Collar Skilled Occupations

Blaster
Boilermaker
Boilermaker Foreman
Bricklayer
  Block Layer
  Truckpointer
  Brick Mechanic
Bricklayer Foreman
Carpenter
  Form Setter
  Journeyman Carpenter
  Soft Floor Layer
Carpenter Foreman
Carpenter Superintendent
Cement Mason
  Finisher
  Journeyman Finisher
Cement Mason Foreman
Diver
Driller
  Drill Rig Operator
Electrician
  Journeyman Electrician
  Mechanical Electrician
  Wireman
  Journeyman Wireman
Electrical Foreman
General Foreman
  General Labor Foreman
  Project Foreman
Glazier
Iron Worker
  Reinforcing Ironworker
  Structural Ironworker
  Steel Worker
  Steel Erector
  Steel Setter
  Reinforcing Steel Worker
Iron Worker Foreman
  Labor Foreman
  Construction Foreman
  Foreman
  Job Foreman
  Lead Foreman
Lather
Lather Foreman
Master Mechanic
Mechanic
  Mechanic Welder
  Repairman
  Repairman Leadman
Oiler
  Oiler Equipment Operator
  Oiler Operator Group II
  Oiler Track Type
Operating Engineer
  Asphalt Distributor Operator
  Asphalt Heaterman
  Backhoe Operator
  Blade Operator
  Bobcat Operator
  Bulldozer Operator
  Case Operator
  Class A Operator
  Class C Operator
  Crane Operator
  Digger Operator
  Distributing Operator
  Dragline Operator
  Equipment Operator
  Equipment Operator Group III
  Front End Lift Fork Operator
  Heavy Equipment Operator
  Hi-Lift Operator
  Lift Fork Operator
  Light Equipment Operator
  Loader Operator
  Maintenance Loadman
  Motor Grader Operator
  Operator Group III
  Pan Operator
  Park Equipment Operator
  Power Drive Moister Operator
  Power Equipment Operator
  Pneumatic Tire Roller Operator
  Pneumatic Tractor Operator
  Roller Operator
  Scraper Operator
  Shovel Operator
  Tractor Operator
    Traxeavator Operator
    Trenching Machine Operator
    Truck Loader Operator
Operating Engineer Foreman
  Leader Operator
Painter
  Brush Painter
  Roller Painter
  Spray Painter
Painter Foreman
Pile Driver
Pipe Fitter
  Sp. Box Man
Pipe Fitter Foreman
  Sprinkler Foreman
Plasterer
Plasterer Foreman
Plumber
  Pipe Layer
Plumber Foreman
  Plumber General Foreman
  Plumber Superintendent
Rigger Foreman
Roofer
Sheet Metal Worker
  Journeyman Sheet Metal
  Sheet Metal Mechanic
  Sheet Metal Operator
Sheet Metal Foreman
Steam Fitter
Tile Setter
Truck Driver
  Worker
  Axle Truck Driver
  4 Axle Truck Driver
  Dump Truck Driver
  Road Truck Driver
  Tandem Truck Driver
  Truck Driver II
  Truck Driver Highway
Waterproof Foreman

[1] **Source:** Economic Development Administration, U.S. Department of Commerce. *An Evaluation of the Public Works Impact Program (PWIP).* Springfield, VA. National Technical Information Service (PB–283 098). January 1975.

Subparts O–U [Reserved]

Subpart V—NED Cost Evaluation Procedures

§ 713.2001 Introduction.

This subpart provides procedures for the evaluation of NED costs of structural and nonstructural elements of water resource plans and projects.

§ 713.2003 Conceptual basis.

(a) Project measures, whether structural or nonstructural, require the use of various resources. NED costs are the opportunity costs of resource use. In evaluating NED costs, resource use must be broadly defined so as to fully recognize scarcity as a component of value. This requires consideration of the direct and indirect, private and public uses that producers and consumers afe currently making of available resources or are expected to make of them in the future.

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(b) The opportunity costs of resource use are usually reflected in the marketplace. When market prices adequately reflect total resource values, they are used to determine NED costs. When market prices do not reflect total resource values, surrogate values are used appropriately to adjust or replace market prices.

(c) Total NED cost is the market value of a resource plus other values not reflected in the market price of the resource; it therefore accounts for all private sector and public sector uses. Market price is used to reflect the private sector use of resources required for or displaced by a project, and surrogate value is used to reflect the public sector use.

(1) The market price approach relies on the interaction of supply and demand. Price is determined through transactions on the margin between knowledgeable and willing buyers and sellers, neither of whom are able to influence price by their individual decisions. Distortions in market price occur if one or more of the conditions of perfect competition is violated.

(2) The surrogate value approach involves the approximation of opportunity costs based on an equivalent use or condition. Surrogate values are frequently used in restricted markets and in nonmarket situations.

(d) Proper NED analysis requires that project NED costs and benefits be compared at a common point in time. Cost adjustments are made to reflect the time preference value of money.

§ 713.2005 Planning setting.

The basis for the evaluation rests in a thorough analysis of expected conditions in the future with a project and without a project. This requires identification of those resources that will be affected by a project; the current value of such uses is measured as the economic worth to the Nation of the services associated with those uses.

§ 713.2007 Evaluation procedure: General.

(a) Resources required or displaced to achieve project purposes by project installation and/or operation, maintenance, and replacement activities represent a NED cost and shall be evaluated as such. Resources required or displaced to minimize adverse impacts and/or mitigate fish and wildlife habitat losses shall also be evaluated as a NED cost. Costs incurred for features other than those required for project purposes, minimizing adverse impacts, and/or mitigating fish and wildlife habitat losses are not project costs and therefore not NED costs and are not evaluated.

(b) All NED costs shall be based on current costs adjusted by the project discount rate to the beginning of the period of analysis as defined in Subpart B, § 713.23(c). All costs shall be computed at a constant price level and at the same price level as used for the computation of benefits. Current costs shall be based on the price level at the time of the analysis. These costs will be updated in the year(s) the project is submitted for authorization and/or appropriations. Deferred costs shall be discounted to the beginning of the period of analysis using the applicable project discount rate. Costs incurred before the beginning of the period of analysis shall be increased by adding compound interest at the applicable project discount rate from the date the costs are incurred to the beginning of the period of analysis. All NED costs shall be converted to an annual equivalent value over the period of analysis.

(c) Project NED costs may be adjusted by an allowance for the salvage value of land, equipment, and facilities that would have value for nonproject uses at the end of the period of analysis. Significant salvage values of replaceable items (e.g., generators) will normally become adjustments to allowances for replacement costs.

§ 713.2009 Evaluation procedure: Project outlays.

The NED costs of project outlays include the costs incurred by the responsible Federal entity and, where appropriate, contributed by other Federal or non-Federal entities to construct a project in accordance with sound engineering and environmental principles and place it in operation. These costs include postauthorization investigation, survey, planning and design costs; construction costs; construction contingency costs; administrative services costs; fish and wildlife habitat mitigation costs; relocation costs; historical and archaeological salvage costs; land, water, and mineral rights costs; and operation, maintenance and replacement costs.

(a) *Postauthorization investigation, survey, planning and design costs.* The costs include the direct cost of engineers and other technicians for investigations, surveys, postauthorization planning, design, and preparation of specifications and construction drawings for structural and nonstructural project measures. In the evaluation procedure, these costs shall be based on the actual current costs incurred by the responsible Federal entity for carrying out these activities for similar projects and project measures. They may be computed as a percentage of construction costs when there is a documented basis for the rate used. Adjustments shall be made when appropriate to reflect circumstances special to the project under consideration.

(b) *Construction costs.* These costs include the direct cost of project measure installation goods and services. They shall be based on the market value of goods and services required to install project measures, including those measures required for minimizing adverse environmental impacts and public health and safety risks. They include the cost of purchased materials (including associated transportation costs); equipment rental or purchase; construction wages or salaries (including social security and fringe benefit costs); and contractors' management, supervision, overhead, and profit. Such costs shall be based on current contract bid items in the project area or on the current market value of purchased materials and services, etc.

(c) *Construction contingency costs.* These are project costs normally added to reflect the effects of unforeseen conditions on estimates of construction costs. They are not an allowance for inflation or for omissions of work items that are known to be required. They shall be included to cover unforeseen construction problems. These costs will vary with the intensity of the surveys and investigations performed, the variability of site conditions, and the type of project measures being installed. They may be computed as an appropriate percentage of estimated construction costs.

(d) *Administrative services costs.* These are the costs associated with the installation of project measures, including the cost of contract administration; permits needed to install the project measures; relocation assistance advisory services; administrative functions connected with relocation payments; review of engineering plans prepared by others; government representatives; and necessary inspection service during construction to ensure that project measures are installed in accordance with the plans and specifications. These costs shall be based on the actual current costs incurred by the responsible Federal entity for carrying out these activities for similar projects and project measures. These costs may be computed as a percentage of construction costs if there is a documented basis for the rate used. Adjustments shall be made when appropriate to reflect unusual circumstances special to the project under consideration.

(e) *Fish and wildlife habitat mitigation costs.* These are the costs of mitigating losses of fish and wildlife habitat caused by project construction, operation, maintenance, and replacement. The mitigation measures to be included in the project will be determined by the responsible Federal entity in coordination with Federal and State Fish and Wildlife Agencies as required by the rules implementing the Fish and Wildlife Coordination Act (Pub. L. 85–625). In accordance with current policy, these mitigation measures shall be concurrent with and proportionate to the installation of other project measures. Their costs shall include all project outlays associated with the installation of mitigation measures, including postauthorization investigation, survey, planning and design costs; construction costs; construction contingency costs; administrative services costs; relocation costs; land, water, and mineral rights costs; and operation, maintenance, and replacement costs. The costs shall be based on current market values and the actual current costs incurred by the Federal entity for carrying out these activities for similar mitigation measures.

(f) *Relocation costs.* (1) These are project costs associated with—

(i) the requirements of the Uniform Relocation Assistance and Real Property Acquisition Policies Act of 1970 (Pub. L. 91–646); and

(ii) the relocation of highways, railroads, and utility lines.

(2) Real property acquisition relocation payments are applicable to a displaced person, business, or farm operation. The costs include moving and related expenses for a displaced person, business, or farm operation; financial assistance for replacement housing for a displaced person who qualifies and whose dwelling is acquired because of the project; and termination payments for dislocated businesses whose owners choose to close out. The NED cost of replacement housing shall be based on replacement in kind. (Costs over and above replacement in kind are to be treated as financial costs for non-project purposes.) These costs shall be based on current market values.

(3) The relocation cost of railroads and utility lines shall be based on the costs of replacement in kind. In the case of highways, the relocation cost shall be based on replacement that reflects the current traffic count and current standards of the owner, which may result in a justified improvement over the configuration of the existing roadway. The additional relocation cost of highways that are upgraded to increase their carrying capacity for project purposes such as recreation shall also be included as a project cost. The relocation cost of highways, railroads, and utility lines shall include all project outlays associated with their relocation, including investigation, survey, planning and design costs; construction costs; construction contingency costs; administrative services costs; fish and wildlife habitat mitigation costs; land, water, and mineral rights costs; and historical and archaeological salvage costs. These costs shall be based on current market values and the actual current costs incurred by the Federal entity for carrying out similar relocations.

(g) *Historical and archaeological salvage operation costs.* These are project costs associated with salvaging artifacts that have historical or archaeological values as prescribed by the Preservation of Historic and Archaeological Data Act (Pub. L. 93–291). They shall be based on the current market price of salvage operations carried on during construction.

(h) *Land, water, and mineral rights costs.* (1) These costs include all costs of acquiring the land, water, and mineral rights required for installing, operating, maintaining, and replacing project measures. They include all expenditures incurred in acquiring land, water, and mineral rights, easements, leases, and rights-of-way. Such costs include the cost of the land, water, and mineral rights minus salvage value; the cost of surveys incident to a sale; legal fees and transfer costs; foregone real estate taxes; and severance payments. These costs shall be based on current market values and the actual current costs incurred by the Federal entity for carrying out similar land, water, and mineral rights acquisitions. The market value of easements shall be based on the difference in market value of land without the easement and with the easement.

(2) Some land, water, and mineral rights are owned by Federal, State, and local governments and have been irreversibly committed to specific uses. The NED cost of using such resources for project purposes consistent with their committed uses shall be based on the surrogate value of the public services provided by the resources. For example, if State-owned land committed to recreation use is to be used for project recreation development, its NED cost is not the market value of the land, but the value of the recreation services that would be provided by the land without the project. Public domain lands not irreversibly committed to specific uses should be valued at the market value of comparable private land or a surrogate use value, or a combination if there are complementary uses.

(i) *Operation, maintenance, and replacement costs.* These costs represent the current value of materials, equipment, services, and facilities needed to operate the project and make repairs and replacements necessary to maintain project measures in sound operating condition during the period of analysis. They include salaries of operating personnel; the cost of repairs, replacements, or additions; and an appropriate charge for inspection, engineering, supervision, custodial services, and general overhead. When operation, maintenance, or replacement will be performed by contract, the cost shall include an allowance for contingencies and the costs of survey, planning design, and administrative services. These costs shall be based on actual current costs incurred for carrying out these activities for similar projects and project measures. When the project is an addition to or extension of an existing project for which the costs and benefits are not included or otherwise involved in the project analysis, only the additional cost of operation, maintenance, or replacement necessitated by the addition or extension to the existing project shall be included. Adjustments will be made when appropriate to reflect circumstances special to the project under consideration.

§ 713.2011 Evaluation procedure: Associated costs.

Associated costs are the costs of measures needed over and above project measures to achieve the benefits claimed during the period of analysis. An example is the cost of irrigation water supply laterals and on-farm irrigation and drainage systems required to produce the increased outputs on which the benefit computations are based. Associated costs shall be based on the current market prices of goods and services required for the installation of measures needed over and above project measures.

§ 713.2013 Evaluation procedure: Other direct costs.

These are the costs of resources directly required for a project or plan, but for which no financial outlays are made. Consequently, they are included in the economic costs of a plan but not in the financial costs. These costs may be important for both structural and nonstructural plans. For example, a zoning plan to preserve floodplain values by restricting development would have as a cost the value of with-project development rights foregone. A plan that responds to demand growth by reallocating existing outputs from low value uses to high value uses through pricing mechanisms (i.e., raising the price of existing outputs) would

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have as its major cost the value of the outputs to the users who forego its use as a result of its higher price. On the other hand, a structural project may displace recreation use at the project site. Whenever possible, the computation of these costs shall be made using the procedure set forth in this manual for computing benefits. If these costs are not quantified, they shall be otherwise identified.

§ 713.2015 Evaluation procedure: External diseconomies.

(a) These costs are uncompensated NED losses caused by the installation, operation, maintenance, or replacement of project or plan measures. All uncompensated net losses in economic outputs (not transfers) that can be quantified shall be considered project NED costs. The evaluation of such costs requires an analysis of project effects both within and outside the project area.

(b) Examples of external diseconomies include increased downstream flood damages caused by channel modifications, dikes, or the drainage of wetlands; increased water supply treatment costs caused by irrigation return flows; erosion of land along streambanks caused by dams that prevent the replenishment of bedload material; loss of land and water recreation values through channel modifications, reduced instream flow due to consumptive use of water by irrigated agriculture, or inundation by reservoirs; increased transportation costs caused by rerouting traffic around a reservoir; new or increased vector control costs caused by the creation of wetlands; and decreased output or increased cost per unit of output of private firms caused by project-induced decreases in raw materials. When applicable, the computation of such costs shall be made using the procedures for computing benefits contained in this manual. Some costs, such as increased water supply treatment costs, shall be computed on the basis of increased costs to resource users.

§ 713.2017 Evaluation procedure: Problems in application.

(a) Application of the procedures in this section requires care to ensure that all costs are included. The identification and determination of all associated costs and external diseconomies require full perception of the measures required to achieve the benefits being claimed and the impacts produced by the actions taken. It must be emphasized that it is not practical or economic to trace out all external technological effects.

(b) Application of the procedures in this section requires care to avoid double counting. A full understanding of the values reflected by market and surrogate values is necessary to prevent double counting. For example, the market value of land that includes a private recreation development reflects the recreation value. In this case, double counting would result if a surrogate recreation value (loss) were added as a cost. On the other hand, the market value of land that provides free public recreation does not reflect the recreation value and the surrogate recreation value (loss) must be added as a cost.

(c) Market prices are relatively easy to obtain. However, some prices are subject to large fluctuations in short periods of time, and care must be taken to determine reasonable current costs of such items for project evaluation purposes.

§ 713.2019 Evaluation procedure: Data sources.

Market price information is available from data on comparable sales, Government publications (e.g., bulletins of the U.S. Departments of Commerce, Agriculture, and Labor), and business reports. Data sources for those NED benefit evaluation procedures having application to cost analysis are covered in their respective subparts of this manual.

§ 713.2021 Report and display procedures.

NED costs identified through the procedures described above shall be displayed as line item entries in the adverse effects section of the NED account. The following display tables are suggested:

TABLE 713.2019-1- PROJECT INVESTMENT

	Alternate - 1			Alternate - 2			Alternate - X		
	Unit Quantity	Price	Amount	Unit Quantity	Price	Amount			
1. Construction Cost									
2. Construction Contingency Costs									
3. Postauthorization Investigations, Survey, Planning, and Design Costs									
4. Administrative Services Costs									
5. Fish and Wildlife Habitat Mitigation Costs									
6. Historical and Archaeological Salvage Operation Costs									
7. Land, Water, and Mineral Rights Costs									
8. Relocation Costs									
9. Interest during Installation Period at rate of ____ %									
Total Investment									

Price Level: _____

Period of Analysis: _____

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TABLE 713.2021-2- ANNUALIZED ADVERSE EFFECTS

(Price Level; Period of Analysis; Applicable Discount Rate)	ALTERNATIVES 1	2	N
Interest on Investment			
Amortization of Investment			
Average Operation and Maintenance			
Major Replacements			
Associated Costs a/			
External Diseconomies a/			
TOTAL ANNUALIZED ADVERSE EFFECTS			
Other Adverse Effects not Evaluated in Monetary Terms			

a/ Identified by type.

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Cecil D. Andrus,

Chairman.

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Part X

Water Resources Council

Principles and Standards for Planning Water and Related Land Resources

WATER RESOURCES COUNCIL

Principles and Standards for Planning Water and Related Land Resources

1. Notice is hereby given by the Water Resources Council that the Principles and Standards for Planning Water and Related Land Resources have been revised pursuant to the President's memorandum to the Chairman and Members of Water Resources Council, subject: Improvements in the Planning and Evaluation of Federal Water Resources Programs and Projects, dated July 12, 1978.

2. In accordance with that memorandum, the Principles and Standards have been revised to accomplish the full integration of water conservation into project and program planning and review as a means of achieving both the national economic development (NED) and environmental quality (EQ) objectives, and to require the preparation and inclusion of a primarily nonstructural plan as one alternative whenever structural project or program alternatives are considered. Additional changes were made to the Standards to assure consistency with the procedures for national economic development benefit and cost evaluation.

3. Only those sections of the Principles and Standards that have been revised or modified are published as part of this notice. The revised sections or parts of sections are italicized in this publication and referenced to the September 10, 1973 (38 FR 24778) Principles and Standards. Where no changes have been made, the words "No change" appear in parentheses after the title of the section.

4. The Council published on May 24, 1979, "Proposed Revisions to the Principles and Standards for Planning Water and Related Land Resources" (48 FR 30247) and invited public comment on the proposal. Comments were received through oral statement at the public meetings held on the proposal and through written submittal to the Council during the 60-day comment period.

5. Indicated below are the areas, listed by subject, where changes were made in the proposed revisions to the Principles and Standards as published on May 24, 1979:

a. Consideration and comparison of alternatives: conservation contrasted with storage.

b. Plan selection: discussion of net benefits.

c. Hydropower: measurement of benefits where utilities practice long run marginal cost pricing.

d. Water supply: measurement of benefits where communities practice long run marginal cost pricing.

e. Formulation of alternative plans: examples of nonstructural alternatives.

6. The Water Resources Council prepared an environmental assessment of the revisions to the Principles and Standards. Copies of this assessment may be obtained from the Director, U.S. Water Resources Council, 2120 L Street, NW., Washington, DC 20037.

7. These revisions shall be used for the planning of water resources projects covered in Section I.B of the Standards. The revisions apply to all levels of planning if such projects or plans are subject to the Principles and Standards. They shall be applicable to: (a) Projects and plans which may be approved by agency administrators, (b) projects and plans requiring congressional authorization, and (c) authorized projects or separable project features of such projects not yet under construction for which agencies currently prepare post-authorization planning documents. For the purpose of implementing these revisions, a project shall be considered under construction when funds have been appropriated by the Congress or budgeted by the President for land acquisition or physical construction activity. Projects for which post-authorization planning documents are not required shall be considered under construction when authorized for construction.

8. In reference to Level C studies, the Secretary of each Department shall retain the discretion to review those projects not under construction and, where deemed reasonable, may exempt a project from complying with these revisions or may partially exempt a project and direct expedited additional planning to more fully meet specific revisions. This discretionary authority applies to those projects not yet authorized for which preauthorization planning is now complete or will be completed by the end of FY 1980 and those authorized projects requiring post-authorization planning if such planning is now complete or will be complete by the end of FY 1980. Preauthorization or post-authorization planning shall be considered complete when the appropriate planning documents have been approved by the responsible agency's field office. Such Secretarial review is to ensure that adequate and reasonable discretion exists to prevent undue loss of time or expediture of public funds in those cases where additional planning is not considered necessary. This discretionary authority shall not be exercised after July 31, 1981. Authorized projects exempted from complying with the Principles and Standards shall also be exempted from complying with the adopted revisions.

9. The Council is presently undertaking further review and revision of the Principles and Standards with the objective of publishing the Principles and Standards as a proposed rule. This effort will include: (a) Revision for clarity and conciseness, (b) revision to incorporate the requirements of Urban and Community Impact Analysis and (c) revisions to integrate the requirements of the National Environmental Policy Act.

10. Pursuant to Section 103 of the Water Resources Planning Act (Pub. L. 89-80) the President approved the Principles as they appear herein. Pursuant to E.O. 11747 (38 FR 30993, November 7, 1973), the Chairman of the Water Resources Council approved the Standards as they appear herein.

11. These revisions to the Principles and Standards are effective immediately.

Leo M. Eisel,
Director.

Revisions to the Principles for Planning Water and Related Land Resources

I. Purpose and Scope (No change)

II. Objectives (No change)

III. Other Beneficial and Adverse Effects (No change)

IV. General Evaluation Principles

A. General Setting (No change)

B. Measurement of Beneficial and Adverse Effects (No change)

C. Price Relationships (No change)

D. The Discount or Interest Rate (No change)

E. Consideration and Comparison of Alternatives

A range of possible alternatives capable of application by various levels of government and nongovernmental interests should be *systematically evaluated in terms of their contributions to the national economic development and environmental quality objectives.*

Water conservation shall be fully integrated into project and program planning and review as a means of achieving both the national economic development and environmental quality objectives. Water conservation consists of actions that will (a) reduce the demand for water; (b) improve efficiency in use and reduce losses and waste; and (c) improve land management practices to conserve water. A clear contrast is drawn between the above conservation

elements and storage facilities for new supplies.

In addition, at least one primarily nonstructural plan will be prepared and included as one alternative whenever structural project or program alternatives are considered. This alternative and other plans should incorporate a combination of nonstructural or demand-reducing measures which could feasibly (in light of the national economic development and environmental quality objectives) be employed or adopted to achieve the overall project purpose.

Alternative plans should not be limited to those the Federal Government could implement directly under present authorities. Therefore the cooperative role of local, State, regional, and Federal organizations in implementing alternatives will be stressed. Plans, or increments thereto, will not be recommended for Federal development that, although they have beneficial effects on the objectives, would physically or economically preclude alternative non-Federal plans which would likely be undertaken in the absence of the Federal plan and which would more effectively contribute to the objectives when comparably evaluated according to these principles.

F. Period of Analysis (No change)

G. Scheduling (No change)

H. Risk and Uncertainty (No change)

I. Sensitivity Analysis (No change)

J. Updating Plans (No change)

V. Plan Formulation

Plans will be directed to the improvement in the quality of life by *contributing to the meeting of* current and projected needs and problems as identified by the desires of people in such a manner that improved contributions are made to society's preferences for national economic development and environmental quality. These plans should be formulated to reflect national, regional, State, and local needs or problems consistent with the above two objectives.

Planning of water and land resources is a part of broader public and private planning to meet regional and local needs and to alleviate problems. Therefore, planning for water and land resources should be carefully related to other regional or local planning activities and should include active participation of all interests.

Plans for water and land resources will focus upon the specified components of the objectives desired for the designated region, river basin, State, or local planning setting. These are expressed in terms of projected needs and problems identified in each planning setting.

The planning process includes the following major steps:

(1) Specify components of the objectives relevant to the planning setting;

(2) Evaluate resource capabilities and expected conditions without any plan;

(3) Formulate alternative plans to achieve varying levels of contributions to the specified components of the objectives, *including preparation of at least one primarily nonstructural alternative;*

(4) Analyze the differences among alternative plans which reflect different emphasis among the specified components of the objectives;

(5) Review and reconsider, if necessary, the specified components for the planning setting and formulate additional alternative plans as appropriate; and

(6) Select a recommended plan from among the alternative plans based upon an evaluation of the trade offs between the objectives of national economic development and environmental quality and considering, where appropriate, the effects of the plans on regional development and social well-being.

A. Specification of Components of the Objectives

At the outset and throughout the planning process, the responsible planning organization will consult appropriate Federal, regional, State, and local groups to ascertain the components of the objectives that are significantly related to the use and management of the resources in the planning setting. These will be expressed in terms of needs and problems.

The components selected for use in formulating alternative plans should be of concern to the Nation, and the components should be those that can reasonably be expected to be substantially influenced through the management and development alternatives *which may be implemented by Federal, State, or local entities.* The components of objectives for which plans are formulated can be expected to change over time and between areas of the Nation as preferences and possibilities change and differ. These changes will be reflected in the Water Resources Council's Standards.

The objectives for which plans are formulated can also be expected to change over time as preferences and possibilities change. Changes in objectives will be accommodated only through revision of these principles.

The specified components will be defined so that meaningful alternative levels of achievement are identified. This will facilitate the formulation of alternative plans in cases where there may be technical, legislative, or administrative constraints to full achievement of objectives.

B. Evaluation of Conditions Without a Plan (No change)

C. Formulation of Alternative Plans

The planning process involves an evaluation of alternative means, including both structural and nonstructural measures, to achieve desired effects.

Based upon identified needs and problems, alternative plans will be prepared and evaluated in the context of their contributions to the objectives. This involves comparisons between objectives, and it will be necessary to formulate alternative plans that reflect different relative emphasis between the objectives for the planning setting.

The number of alternative plans to be developed for each planning effort will depend upon complementarities or conflicts among specified components of the objectives, resource capabilities, technical possibilities, and the extent to which the design of additional alternative plans can be expected to contribute significantly to the choice of a recommended plan. Because planning staffs are limited, emphasis should be placed on examination of those alternative waters and land-use plans which may have appreciable effects on objectives.

With respect to the number of alternative plans there will be a continuing dialog among the Water Resources Council, river basin commissions, and other planning groups, emphasizing on the one hand the need for national guidelines and overview of objectives for which alternative plans are formulated, and on the other the special insights into local planning situations that field level teams may develop.

Appropriate methods and techniques for estimating beneficial and adverse effects will be used to provide reliable estimates of the consequences and feasibility of each alternative plan.

One alternative plan will be formulated in which optimum contributions are made to the national economic development objective. Additionally, during the planning process at least one alternative plan will be formulated which emphasizes the contributions to the environmental quality objective. *In addition, a primarily nonstructural plan shall be*

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prepared and included whenever structural project or program alternatives are considered. Other alternative plans reflecting significant physical, technological, legal or public policy constraints or reflecting significant trade-offs between the national economic development and environmental quality objectives may be formulated so as not to overlook a best overall plan. (The rest of this section remains unchanged.)

D. Analysis of Alternative Plans (No change)

E. Reconsideration of Specified Components of the Objectives (No change)

F. Plan Selection

From its analysis of alternative plans, the planning organization will select a recommended plan. The plan selected will reflect the relative importance attached to different objectives and the extent to which the two objectives can be achieved by carrying out the plan.

The recommended plan should be formulated so that beneficial and adverse effects toward objectives reflect, to the best of current understanding and knowledge, the priorities and preferences expressed by the public at all levels to be affected by the plan. A recommended plan *(when considered individually on the basis of with-project and without-project comparison) must be justified on the basis that combined beneficial NED and EQ effects outweigh combined adverse NED and EQ effects. Therefore, a plan lacking net NED benefits may be recommended when EQ benefits are sufficiently large, even though the latter are not stated in dollar terms.* A Departmental Secretary or head of an independent agency may make an exception to the net benefits rule if he/she determines that circumstances unique to the plan formulation process warrant such exception.

In addition to the recommended plan with supporting analysis, other significant alternative plans embodying different priorities between the objectives *and in consideration of water conservation and nonstructural planning requirements* will be presented in the planning report. Included with the presentation of alternative plans will be an analysis of trade offs among them. The trade offs will be set forth in explicit terms, including the basis for choosing the recommended plan from among the alternative plans.

VI. System of Accounts (No change)

VII. Cost Allocation, Reimbursement, and Cost Sharing (No change)

VIII. National Program for Federal and Federally Assisted Activities (No change)

IX. Implementation of Principles (No change)

X. Application and Effect

These Principles for Planning Water and Land Resources shall be implemented by the Water Resources Council and shall be applied by river basin commissions, other Federal-State organizations, and each of the Federal departments and agencies. The Office of Management and Budget, the Council on Environmental Quality, and other organizations in the Executive Office of the President will use these Principles in their review of proposed project, basin, or regional plans.

The Policies, Standards, and Procedures in the Formulation, Evaluation, and Review of Plans for Use and Development of Water and Related Land Resources, approved by the President, May 15, 1962, printed as Senate Document 97, 87th Congress, 2d Session, together with Supplement No. 1 thereto, June 6, 1964, "Evaluation Standards for Primary Outdoor Recreation Benefits," and the amendment of December 24, 1968, 18 CFR Sec. 704.39, "Discount Rate," are revoked. *(September 5, 1973).*

These revisions to the Principles shall take effect immediately upon their publication by the Chairman of the Water Resources Council in the **Federal Register.**

Approved:

Jimmy Carter.

November 27, 1979.

Revisions to the Standards for Planning Water and Related Land Resources

I. Purpose and Scope (No change)

II. Objectives

A. Introduction. (The following completely replaces the existing section.)

The Principles for Planning Water and Land Resources define the objectives of national economic development and environmental quality. These objectives provide the basis for the formulation of State, region, and river basin plans for the use of water and land resources to *contribute to meeting* forseeable short- and long-term needs and have been explicitly stated or implied in numerous congressional enactments and Executive actions. The most notable of these actions in water and related areas are summarized below.

In the Flood Control Act of 1936, the Congress declared that benefits to whomsoever they may accrue of Federal projects should exceed costs. Interpretation of this statute has resulted in development of various analytical procedures to evaluate the benefits and costs of proposed projects. These procedures have centered around a national economic efficiency analysis and were first published as "Proposed Practices for Economic Analysis of River Basin Projects" in May 1950 and revised in May 1958. Budget Bureau Circular No. A–47 was issued on December 31, 1952, informing the agencies of considerations which would guide the Bureau of the Budget in its evaluations of projects and requiring uniform data that would permit comparisons among projects.

On October 6, 1961, the President requested the Secretaries of Interior, Agriculture, Army, and Health, Education, and Welfare to review existing evaluation standards and to recommend improvements. Their report, "Policies, Standards, and Procedures in the Formulation, Evaluation, and Review of Plans for Use and Development of Water and Related Land Resources," was approved by the President on May 15, 1962, and published as Senate Document No. 97, 87th Congress, 2d Session. This document replaced Budget Bureau Circular No. A–47 and in turn has been superseded by the "Principles for Planning Water and Land Resources," upon their approval by the President, and by these "Standards for Planning Water and Land Resources."

On July 12, 1978, the President directed that the Principles and Standards for Planning Water and Related Land Resources, (P&S), (38 FR 24778, September 10, 1973), be scrupulously adhered to in the planning, review and implementation of Federal water resources projects. Moreover, the President directed that the September 10, 1973 P&S be modified to accomplish the full integration of water conservation into project and program planning and review as a component of both the economic development and environmental quality objectives and to require the preparation and inclusion of a primarily nonstructural plan as one alternative whenever structural projects or program alternatives are considered. The revisions to the "Principles for Planning Water and Land Resources" and these revisions to the "Standards for Planning Water and Land Resources" become effective immediately.

By enacting laws and taking actions enumerated below and others, the Congress and the President have broadened the objectives to be considered in water and land resources planning.

The two objectives as defined in the principles and set forth in more detail in these standards provide a flexible planning framework that is responsive to and can accommodate changing national needs and priorities.

The statement of the objectives and specification of their components in these standards is without implication concerning priorities to be given to them in the process of plan formulation and evaluation. These standards, nonetheless, do recognize and make provision for a systematic approach by which the general public and decisionmakers can assess the relative merits of achieving alternative levels of satisfaction to the two objectives where there may be conflict, competition, or complementarity between them. This will provide the type of information needed to improve the public decisionmaking process.

B. Major Congressional *and Presidential* Directives

Many laws that give new or more definitive directions to Federal participation in planning for water and land resources have been passed in recent years. Some major enactments are:

The Federal Water Project Recreation Act of 1965 (Pub. L. 89–72), provides for full consideration of opportunities for recreation and fish and wildlife enhancement in Federal projects under specified cost allocation and cost-sharing provisions.

The Water Resources Planning Act of 1965 (Pub. L. 89–80), establishes a comprehensive planning approach to the conservation, development and use of water and related land resources. The Act emphasizes joint Federal-State cooperation in planning and consideration of the views of all public and private interests. Section 103 of the Act provides that "The Council shall establish, after such consultation with other interested entities, both Federal and non-Federal, as the Council may find appropriate, and with the approval of the President, principles, standards, and procedures for Federal participants in the preparation of comprehensive regional or river basin plans and for the formulation and evaluation of Federal water and related land resources projects."

The Act further provides in section 102(b) that "the Council shall * * * maintain a continuing study of the relation of regional or river basin plans and programs to the requirements of larger regions of the Nation and of the adequacy of administrative and statutory means for the coordination of the water and related land resources policies and programs of the several Federal agencies; it shall appraise the adequacy of existing and proposed polices and programs to meet such requirements; and it shall make recommendations to the President with respect to Federal policies and programs."

The Act also provides in Section 301(b) that "The Council, with the approval of the President, shall prescribe such rules, establish such procedures, and make such arrangements and provisions relating to the performance of its functions under this title, and the use of funds available therefor, as may be necessary in order to assure (1) coordination of the program authorized by this title with related Federal planning assistance programs, including the program authorized under section 701 of the Housing Act of 1954 and (2) appropriate utilization of other Federal agencies administering programs which may contribute to achieving the purpose of this Act."

The Water Resources Planning Act, as amended, is attached as Appendix A.

The Public Works and Economic Development Act of 1965 (Pub. L. 89–136) establishes national policy to use Federal assistance in planning and constructing public works to create new employment opportunities in areas suffering substantial and persistent unemployment and underemployment. The Act provides for establishing Federal-State regional commissions for regions that have lagged behind the Nation in economic development.

The Water Quality Act of 1965 (Pub. L. 89–234) and subsequent amendments provides for establishing water quality standards for interstate waters. These water quality standards provide requirements and goals that must be incorporated into planning procedures.

In authorizing the Northeastern Water Supply Study in 1965 (Pub. L. 89–298), Congress recognized that assuring adequate supplies of water for the great metropolitan centers of the United States has become a problem of such magnitude that the welfare and prosperity of this country require the Federal Government to assist in solution of water supply problems.

The Clean Water Restoraton Act of 1966 (Pub. L. 89–753) provides assistance for developing comprehensive water quality control and abatement plans for river basins.

The Department of Transportation Act of 1966 (Pub. L. 89–670) provides standards for evaluating navigation projects and provides for the Secretary of Transportation to be a member of the Water Resources Council.

The Wild and Scenic Rivers Act of 1968 (Pub. L. 90–542) provides that in planning for the use and development of water and related land resources consideration shall be given to potential wild, scenic, and recreational river areas in river basin and project plan reports, and comparisons are to be made with development alternatives which would be precluded by preserving these areas.

The National Flood Insurance Act of 1968 (title XIII, Pub. L. 90–448, *as amended*) provides that States, to remain elegible for flood insurance, must adopt acceptable arrangements for land use regulation in flood-prone areas. This provision, together with *Executive Order 11988, Floodplain Management, and Executive Order 11990, Protection of Wetlands, both issued May 24, 1977,* places increased emphasis on land use regulations and administrative policies as a means of reducing flood damages *and protecting the natural and beneficial values of floodplains and wetlands.* Planning policies must include adequate provision for these *laws* and directives in an integrated program of floodplain management. (The rest of this section remains unchanged.)

C. Relationships of Program Measures to Objectives (No change)

D. Objectives

1. National economic development. The national economic development objective is enhanced by increasing the value of the Nation's output of goods and services and improving national economic efficiency.

National economic development reflects increases in the Nation's productive output, an output which is partly reflected in a national product and income accounting framework designed to measure the continuing flows of goods and services into direct consumption or investment.

In addition, national economic development is affected by beneficial and adverse externalities stemming from normal economic production and consumption, imperfect market conditions, and changes in productivity of resource inputs due to investment. National economic development is also affected by the availability of public goods which are not accounted for in the national product and income accounting framework. Thus, the concept of national economic development is

broader than that of national income and is used to measure the impact of governmental investment on the total national output. The gross national product and national income accounts do not give a complete accounting of the value of the output of final goods and services resulting from governmental investments because only government expenditures are included. This is especially true in those situations where governmental investment is required to overcome imperfections in the private market. Therefore, national economic development as defined in these standards is only partially reflected in the gross national product and national income accounting framework.

A similar situation prevails where a private investment results in the production of final public goods or externalities that are not exchanged in the market.

Components of the national economic development objective include:

a. The value of increased outputs of goods and services resulting from a plan. *Development and management* of water and land resources result in increased *or more efficient* production of goods and services which can be measured in terms of their value to the user. Increases in crop yields, expanding recreational use, and peaking capacity for power systems are examples of direct increases in the Nation's output which result from water and related land resources *development and management.* Moreover, such *development and management* often results in a change in the productivity of natural resources and the productivity of labor and capital used with these resources. Increased earnings from changes in land use, reduced disruption of economic activity due to droughts, floods and fluctuating water supplies, and removal of constraints on production through increased water supplies *or improved water management* are examples of direct increases in productivity from water and land development that contribute to national output. *Development and management* of water and land resources may result in increased production from the employment of otherwise unemployed or underemployed resources, as well as contributions to increased output due to cost savings resulting in the release of resources for employment elsewhere.

b. The value of output resulting from external economies. In addition to the value of goods and services derived by users of outputs of a plan, there may be external gains to other individuals or groups.

2. Environmental Quality (No change)

E. Effects on Objectives (No change)

F. Beneficial Effects on National Economic Development

Beneficial effects in the national economic development account are the increases of the value of the output of goods and services and improvements in national economic efficiency.

1. General measurement concepts. There are two basic sources of increased output of goods and services that contribute toward enhancing national economic development. First, additional resources may be employed using normal production techniques, as, for example, in the application of irrigation water and other associated resources to land for the production of agricultural commodities or in the use of electric power and other associated resources for the production of aluminum. Second, resource productivity changes may be induced by the plan, resulting in more efficient production techniques to be used to achieve a higher level of output from the same resources or the same level of a specific output with fewer resources or the employment of otherwise unemployed or underemployed resources than would be achieved without the plan. In the latter case, the release of productive resources which can be employed elsewhere in the economy for the production of other goods and services ultimately results in an increase in national output as a consequence of a plan. *For example, reduced consumptive use of water in irrigation through improved water management may make that saved water available to irrigate additional acreage, provide for municipal use, or satisfy in-stream flow needs for fish and wildlife without construction of additional supplies.* These two sources of increased output may apply to situations in which the plan results in the production of final consumer goods or intermediate producer goods utilized by direct users; and they may also apply in situations in which firms are indirectly affected through economic interdependence with firms which utilize the intermediate producer goods from the plan.

For convenience of measurement and analysis, beneficial effects on national economic development are classified as follows:

a. The Value of increased outputs of goods and services from a plan;

b. The value of output resulting from external economies caused by a plan.

In each case, with and without analysis must be applied to ascertain that with a plan there is a net increase in the production of goods and services, regardless of source, over those that would be obtained in the absence of the plan.

The general measurement standard for increases in the national output of goods and services will be the total value of the increase, where total value is defined as the willingness of users to pay for each increment of output from a plan. Such a value would be obtained if the "seller" of the output was able to apply a flexible unit price and charge each user (consumer) an individual price to capture the full value of the output to the user. This concept is illustrated in figure 1.

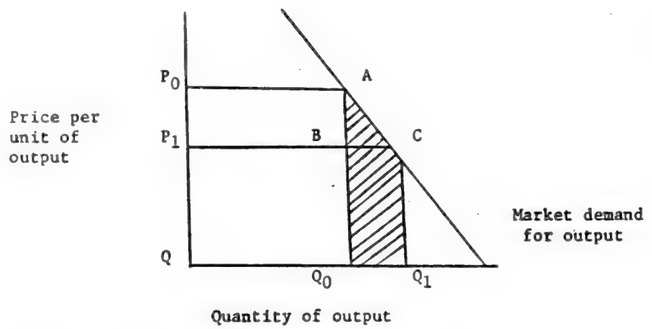


Figure 1. --Total value or willingness to pay for increased output.

Assuming the normal demand-output relationship, additional plan output will be taken by users as the unit price of output falls. If, as a result of the plan, output is increased by an amount $Q_1 - Q_0$, the total value of this additional output to the user is measured by the entire shaded area on the chart. This is a larger amount than would be reflected by the market value. It is the sum of market price times increased quantity (represented by the rectangle CBQ_0Q_1) plus the consumer surplus for that increase (represented by the triangle ABC).

Since, in most instances, it is not possible for the planner to measure the actual demand situation, three alternative techniques can be used to obtain an estimate of the total value of the output of the plan-willingness to pay *based upon market price or simulated market price,* change in net income, and the most likely alternative.

If the additional output from a plan is not expected to have a significant effect on price, actual or simulated market prices will closely approximate the total value of the output. This is true because there would be no consumer's surplus. If the additional output is expected to significantly influence market price (as in figure 1), a price midway between that expected with and without the plan may be used to estimate the total value. This would approximate the willingness to pay, including consumer surpluses, in most cases.

When outputs of a plan are intermediate goods or services, the net income of the (producer) user may be increased. Where changes in net income of each individual user can be estimated, a close approximation of the total value of the output of the plan (including consumer surpluses) will be obtained.

The cost of the most likely alternative means of obtaining the desired output can be used to approximate total value when the willingness to pay or change in net income methods cannot be used. The cost of the most likely alternative means will generally misstate the total value of the output of a plan. This is because it merely indicates what society must pay by the next most likely alternative to accure the output, rather than estimating the real value of the output of a plan to the users. This assumes, of course, that society would in fact undertake the alternative means. Because the planner may not be able to determine whether alternative means would be undertaken in the absence of the project, this procedure for benefit estimation must be used cautiously. *In determining the most likely alternative, the planner must give adequate consideration to nonstructural alternatives and conservation measures as well as structural alternatives.*

Application of these general measurement standards will necessarily vary, depending upon the source by which output is increased (that is, via direct increases in production or through subsequent employment of released resources), upon the type of good or service produced (whether the output is an intermediate or final good, and upon the type and nature of available alternatives. General measurement methods for each type of situation as well as an indication of the water and land resource plan outputs to which these standards are applicable are presented below.

a. Direct output increases. Direct outputs of water and land resource plans may be in the form of either final consumer goods or intermediate goods. An effective direct or derived demand must exist for the final and intermediate goods, respectively, to include the *value of* increased output as a contribution to national economic development.

Certain consumer goods and services may result directly from water projects and be used with no additional production resulting therefrom. Recreation, municipal water, and electric power for residential use are examples of this type of good or service. Most goods and services produced by using water are not directly consumed, however, but are intermediate products that serve as inputs for producers of final goods or producers of other intermediate goods. The development of irrigation water for use in producing food and fiber of supplying electric power and water for industry are examples.

The value of increased output resulting directly from plans that produce final consumer goods or services is properly measured as the willingness to pay by final users for such output. When a competitive market price is not directly available, and the increased output will not be large enought to affect prices, total value of output may be estimated by simulated market prices or the use of the cost of the most likely alternative means of producing such final output. Examples of types of outputs to which *these* methods may be applied include:

a. Community and residential water supply;

b. Electric power provided for community and residential use; and

c. Recreation enhancement.

(The rest of this section remains unchanged.)

2. Measurement of the Value to Users of Increased Outputs.

a. Water supply. Plans for water supply are generally designed to satisfy requirements for water as a final good to domestic and municipal users and as an intermediate good to agricultural and industrial users. *Plan elements which* satisfy requirements in these uses generally require, either separately or in combination, an increase in water quantity, and improvement in water quality, and an improvement in the reliability of both quantity and quality.

Where it is necessary to use alternative costs for approximation of total value for water supply, as provided herein, the alternative selected must be a likely and realistic alternative directly responsive to achievement of this particular category, namely the additional output or *more efficient use* of water as an input to industrial, agricultural, and muncipal uses or as a final good for community and individual uses. *Moreover, the alternative must be a viable one in terms of engineering.* It must be more than a hypothetical project. It must be a real alternative that could and would likely be undertaken in the absence of the proposed program, for instance, the reuse of recycling of existing water supplies or the use of available groundwater, including the inprovement of its quality, if necessary.

Although water supply can often be considered as a final good, there usually does not exist a market *that directly equates* users' valuation of water supply for community and individual use *with the full marginal cost of water supply. This is because water is seldom priced at its marginal cost. Where a water utility is practicing long run marginal cost pricing the users' willingness to pay*

for additional supplies is verified if the utility is willing to contract for additional water supplies at the cost of providing those supplies. In this case an appropriate estimate of the benefits can be derived from the marginal water rates charged. Industrial self supply is also an example of a situation in which the beneficicary may by paying the full marginal costs of water supply and where such costs can be the basis for estimating benefits. Estimates of willingness to pay may also be derived by econometric methods applied to appropriate water use and price data. Where direct estimates of willingness to pay are not available, the value of added water supplies shall be derived using the cost of the altnerative that would provide essentially a comparable water supply service, in both quantity and quality, that would in fact be utilized in the absence of the water supply provided by the plan.

The total value of water to the producers using increased supplies is reflected in the change in their net income with a plan for the provision of water supply compared with their net incomes without the plan. It is recognized that for many planning studies it is not possible to either specifically identify net income changes accruing to firms using water supply for productive purposes or always possible to determine what part of the municipal supply is used for productive pursuits or for general community or individual uses as set forth below. In these cases, total value to the users can be approximated by use of the cost of the alternative that would be employed to achieve the same production that would be utilized in the absence of the water supply provided by a plan.

(The rest of this section remains unchanged.)

b. Flood control, land stabilization, drainage, and related activities. A number of activities such as flood *damage reduction* floodplain management, drainage, *reduction* of sedimentation, land stabilization, and erosion control, contribute to the objectives through improving the productivity, use, and attractiveness of the Nation's land resources. From the viewpoint of their contribution to national economic development, the effect of these activities on the output of goods and services is manifested by increasing the productivity of land or by reducing the costs of using the land resources, thereby releasing resources for production of goods and services elsewhere. These activities affect land resources in the following manner:

(1) Prevention or reduction of inundation arising from stream overflow, overland waterflow, high lake stages, and high tides, *by protecting the natural streamflow of the floodway;*

(2) Prevention or reduction of soil erosion, including sheet erosion, gullying, floodplain scouring, streambank cutting, shore or beach erosion, and prevention of sedimentation;

(3) *Improvement of drainage and protection of wetlands; and*

(4) *Modification of limitations on land resources.*

There are essentially three types of effects on *land* use that may occur as a benefit from including these activities in a plan. The first is an increase in the productivity of land without a change in land use. The second is a shift of land resources to a more intensive use. The third is a shift of land resources to less intensive use. In each case, the general method of calculating benefits is applicable. The distinction is made only to facilitate the application of the general method in different settings and as a means of providing criteria for the use of alternative techniques for estimating net income changes for the three classes of land utilization under the with and without analysis.

The general method to be applied in measuring effects for these and any other activities that result in a change in net productivity or a reduction in the cost of using land resources involves the measurement of the difference in net income accruing to users of land resources benefiting from such activities compared with what these users would earn in the absence of such a plan. This generally defines and establishes the limit of the willingness of users to pay for a plan that results in a change in productivity or reduction in the cost of using land resources.

Willingness to pay of the users, which is the basis for approximating the value of output from these activities, whether it be in the form of increased production of intermediate or final goods or release of resources, may be obtained by the following approaches.

(a) Productivity increase. In this situation, analysis with and without the plan indicates that the current and future enterprises employing given land resources are essentially the same with the plan as they would be without the plan. Further, it is more profitable for the given enterprise to continue to use the given land resource even without the beneficial effect of the plan than to locate at the next most efficient location. Net income change can then be measured as the difference in net income accruing to the enterprise on the specified land resource without the plan compared with what that enterprise would receive as net income with the plan on the same land resource.

(b) Changes in land use. Two situations are covered by changes in land use. These are:

(i) The situation in which the landowner benefiting from the change in land use would only utilize the land resource affected by such activity once the plan has become operative. In other words, it would not be as profitable for the benefiting landowner to utilize the affected land resource unless improved through one of the activities in this category as compared with the next most efficient location. Without such a plan the improved enterprise would occur at an alternative location. Net income change to the landowner will be measured as the difference in net income from the enterprise at an alternative location that would be utilized without the plan compared with the net income received from the enterprise at a new location which is improved or enhanced as a result of the plan.

(ii) The situation in which enterprises that would otherwise employ a given land resource would be precluded from using the given land resources with implementation of the plan. Other enterprises less prone to incur flood damages or other adverse consequences would be allowed to use the given land resources.

Beneficial effects to the enterprises from activities in this category would be evaluated by measuring the net income change for the enterprise precluded from using the given land resources with the plan as compared with the without situation, plus the net income change for the enterprise that would be allowed to use the given land resource with the plan as compared with the without situation.

(c) Estimates of damage prevention and other measures. In the above cases, where it is not possible to directly employ net income changes to derive benefits, the estimate of actual or prospective damages to the physical properties of the enterprises involved can be employed as an approximation of net income change.

(The last two paragraphs of this section are deleted.)

c. Power. With respect to the computation of beneficial and adverse effects of increases in output *or more efficient use* of electric power it is emphasized that where appropriate, these should be viewed and evaluated as increments to planned or existing systems. Power supplied for general community and residential use can be considered as a final consumer good. Its value as a final good is generally

reflected by the satisfaction of individual residents or in terms of improved community services and facilities. Electric power provided to industrial, commercial, and agricultural uses is viewed as an energy input to the production of goods and services from these activities resulting in an increase in the output, reduction in the cost of production, or a combination thereof. The total value of electric power to the producers using such power is reflected in their *marginal* willingness to pay. *However, there usually does not exist a market that directly equates users' valuation of electric power with the full marginal cost of its supply. This is because electric power is seldom priced at its marginal cost. Where an electric utility is practicing long run marginal cost pricing, the users' willingness to pay for additional supplies is verified if the utility is willing to contract for additional water supplies at the cost of providing those supplies. In this case an appropriate estimate of the benefits can be derived from the marginal rates charged.*

Industrial self supply is also an example of a situation in which the beneficiary may be paying the full marginal costs of supply of electric power and where such costs can be the basis for estimating benefits. Estimates of willingness to pay may also be derived by econometric methods applied to appropriate data concerning the use of electric power and its price. Where direct estimates of willingness to pay are not available, the value of additional electric power will be measured instead by taking account of the resource cost of the most likely alternative. The alternative selected must be a viable one in terms of engineering.

The costs should include any required provisions for protection of the environment. However, since the addition of a hydroelectric project to an electric system in lieu of an alternative power source usually will either increase or decrease the unit cost of producing power by existing generating facilities of the system, this cost differential must be taken into account in determining the power value of the hydroelectric project.

Normally, electric power is evaluated in terms of two components—capacity and energy. The capacity value is derived from a determination of the fixed costs of the selected alternative source of supply. The energy value is determined from those costs of the alternative which relate to and vary with the energy output of the alternative plan. These capacity and energy components of power value are usually expressed in terms of dollars per kilowatt per year of dependable capacity and mills per kilowatt-hour of average annual energy.

d. Transportation (Navigation) (No change).

e. Recreation.

(The following completely replaces the existing section.)

Outdoor recreational activities include water-dependent activities such as swimming, boating, water-skiing, and fishing and water-enhanced activities such as camping, hiking, picnicking, hunting, birdwatching, wildlife photography, sightseeing, and other activities. A portion of the public recreational demands are accommodated by the existence and development of Federal lands, waters, and multi-purpose water projects which include specific provisions for enhancing recreation activities consistent with the requirements of the Federal Water Project Recreation Act of 1965 (Pub. L. 89–72). This act provides that full consideration shall be given to the opportunities which multi-purpose and other Federal water projects afford for outdoor recreation and for fish and wildlife enhancement.

For the most part, outdoor recreation is produced publicly and distributed in the absence of a viable market mechanism. While the private provision of recreation opportunities has been increasing in recent years, analysis of recreation needs is conducted in the absence of any substantial amount of feedback from effectively functioning markets to guide the evaluation of publicly produced recreation goods and services. Under these conditions—and based on a with and without analysis—the increase in recreation provided by a plan, since it represents a direct consumption good, may be measured or valued on the basis of simulated willingness to pay. In computing the projected recreation demand, however, the analysis should take explicit account of competition from recreation opportunities within the area of influence of the proposed plan.

There are in existence a number of methods, or approaches, to approximating demand and what people are willing to pay for outdoor recreation. *Among these are the travel cost approach, the willingness to pay or contingent valuation survey approach, and the unit day value approach. These methods are summarized below.*

(1) *Travel cost method. Using marginal travel costs (i.e. variable costs of automobile operation and opportunity cost of leisure time spent in travel and on the site) taken as a measure of what people are willing to pay for water-oriented recreation and how price affects use, the relationship between price and per capita attendance can be established for recreation sites and market areas. This relationship, the conventional demand curve having a negative slope, sums up the response of users' demand to alternative prices of the recreational product (or experience). The area under this demand curve to the left of the capacity constraint plus any user fees measures total willingness to pay for recreation opportunities at the site.*

(2) *Contingent valuation method. Annual willingness to pay can be obtained directly from potential visitors by a survey which establishes a simulated market. Users are allowed to bid on the annual use of the site until the maximum willingness to pay is established. This method may be applied where lack of data, insufficient variability in travel costs, or unique characteristics of the site make use of the travel cost method inappropriate.*

(3) *Unit day value method. Where use of a demand estimating technique such as travel cost or contingent valuation methods is not cost effective because of the small size of the project, a single value per recreation day may be chosen from a range of values. These ranges will reflect availability of general or specialized recreation opportunities, location of the site relative to alternative opportunities, and characteristics of the user population. Specialized recreation involves activities for which opportunities are limited, intensity of use is low, and often may involve a large personal expense by the user. General recreation embraces the majority of recreation activities associated with water projects, including swimming, picnicking, boating, and most warm water fishing.*

f. Commercial fishing and trapping (No change).

g. Other program outputs (No change).

3. Measurement of increases in output resulting from external economies.

Technological external economies are the beneficial effects on individuals, groups, or industries that may or may not benefit from the direct output of the project. They result from a plan if an increase in the output of final consumer goods or intermediate goods takes place beyond that which would be obtained in the absence of the plan and over and above direct outputs of the plan. This increased output may result from firms which are *subject to the incidental, unintended, and uncompensated effects* of the plan taking advantage of more efficient production techniques and

thereby releasing resources for use in producing other goods and services.

The change in net income of the economically related firms will be used as an indicator of the value of this type of national economic development effect. Changes in the total value of consumer goods due to externalities because of a plan can be accounted for by using measurement techniques like those described above. (The rest of this section is deleted.)

4. Special beneficial effects from use of unemployed or underemployed labor resources (No change).

G. Adverse Effects on National Economic Development

Achievement of beneficial effects on national economic development, and/or environmental quality, requires resources to be diverted from alternative uses. The adverse effects on national economic development are the economic value that these resources would have in their alternative uses. Generally, market prices provide a valid measure of the values of goods and services foregone in alternative uses. *Where market prices are not available, surrogate values may be used as set forth in the Manual of Procedures for Evaluating Benefits and Costs of Federal Water Resources Projects published by the Water Resources Council.* Both public and private costs associated with the plan will be measured to indicate the total adverse effect on national economic development incurred to realize the desired objectives.

1. *Sources of adverse effects.* Water and land resource plans result in adverse effects to national economic development in two ways.

a. Resources required or displaced to produce final or intermediate goods and services. In situations where a physical structure is necessary to obtain the desired objective, the adverse effects on national economic development include all explicit cash expenditures for goods and services necessary to construct and operate a project throughout a given period of analysis *plus any uncompensated economic losses to the public sector based on applicable surrogate values. The cash expenditures* consist of actual expenditures for construction; transfers from other projects, such as costs for reservoir storage; development costs; and interest during construction. If the output of the plan is an intermediate good or service, the associated costs incurred by the intermediate product user in converting it into a marketable form will be measured. These associated costs are borne by the user of the plan output but nevertheless, represent resource requirements necessary to convert the project output into a product demand by society. Examples are production costs incurred by users of plan outputs, and costs to other producers or to processors that arise in conjunction with the physical flow of the output of the plan. Associated costs should be deducted from the value of gross outputs to obtain net beneficial effects to be compared with the national economic development adverse effects of a plan. These adverse effects occur as a result of certain resources being released and subsequently unemployed as a result of the implementation of the plan.

In situations where nonstructural measures are used to obtain the desired objective, the adverse effects on national economic development will include *the uncompensated economic losses to the public sector plus* payments *for such things as the purchase of easements* or rights-of-way and costs incurred for management arrangements or to implement and enforce necessary zoning. In some cases, actual cash expenditures will not be involved as when local communities are required to furnish lands, easements, and rights-of-way.

b. Decreases in output resulting from external diseconomies (No change).

c. Cost adjustments (No change).

2. Measurement of adverse effects.

a. Resources required for or displaced by the plan.

Resource requirements of the plan are the sum of (*1*) the market values of *private sector* goods and services used for installations; interest during construction; operation, maintenance, and replacement; and induced costs as *well as (2) the surrogate value of uncompensated economic losses to the public sector.*

Installation costs are the market values of goods and services necessary to implement a plan and place it in operation, including management and organizational arrangements, technical services, land, easements, rights-of-way, and water rights; initial and deferred construction; capital outlays to relocate facilities or to prevent or mitigate damages; transfers of installation costs from other projects; and all other expenditures for investigating, surveying, planning, designing, and installing a plan after its authorization.

Operation, maintenance, and replacement costs are the market values of goods and services needed to operate an installed plan and to make repairs and replacements necessary to maintain the physical features in sound operating condition during their economic life.

b. Decreases in output resulting from external diseconomies (No change).

H. Beneficial and Adverse Effects on Environmental Quality (No change.)

III. Other Beneficial and Adverse Effects (No change)

IV. General Evaluation Standards

Introduction (No change)

A. General Setting (No change)

B. Measurement of Beneficial and Adverse Effects (No change)

C. Price Relationships (No change)

D. The Discount Rate (No change)

E. Consideration and Comparison of Alternatives (The following completely replaces the current section.)

A range of possible alternatives capable of application by various levels of government and nongovernmental interests should be systematically evaluated in terms of their contributions to national economic development and environmental quality objectives. A comprehensive range of alternatives should be evaluated toward balancing water availability over time against competing purposes.

Water conservation shall be fully integrated into project and program planning and review as a means of achieving both the national economic development and environmental quality objectives. Water conservation consists of actions that will (a) reduce the demand for water; (b) improve efficiency in use and reduce losses and waste; and (c) improve land management practices to conserve water. A clear contrast is drawn between the above conservation elements and storage facilities for new supplies.

In addition, a primarily nonstructural plan will be prepared and included as one alternative whenever structural project or program alternatives are considered. This alternative plan should incorporate a combination of nonstructural or demand-reducing measures which would feasibly (in light of the national economic development and environmental quality objectives) be employed or adopted to achieve the overall project purpose.

Nonstructural measures are complete or partial alternatives to the traditional structural measures in addressing water resources problems and needs. The ideal nonstructural alternative is the least cost, implementable modification in public policy, management practice alteration, regulatory change or pricing policy modification which would bring marginal benefits and marginal costs for each project output into equality. The two objectives of national economic development and environmental quality are to serve as the basis for the measurement of costs and benefits.

The assessment of nonstructural measures as alternatives to traditional structural measures should be considered for all water resources planning purposes including water supply, flood control, power, transportation, recreation, fish and wildlife, and other purposes. Nonstructural measures may require less capital investment and may produce less adverse impacts than traditional structural measures.

A nonstructural measure (or measures) may in some cases offer a complete alternative to a traditional structural measure (or measures). In other cases, a nonstructural measure (or measures) may be combined with fewer and/or smaller traditional structural measures to produce a complete alternative. It may at times be necessary to combine structural and nonstructural measures to formulate alternative plans for attainment of the planning objectives.

A "primarily nonstructural plan" is an alternative plan which makes maximum feasible use of nonstructural measures as a means of addressing water resources problems and needs. The determination of maximum feasible use will be based upon the maximum possible use of nonstructural measures which contribute to the National Economic Development objective and/or the Environmental Quality objective and which meet the tests of acceptability, effectiveness, efficiency and completeness.

Alternatives should not be limited to those the Federal Government could implement directly under present authorities. Therefore the cooperative role of local, State, regional, and Federal organizations in implementing alternatives will be stressed. Plans, or increments thereto, will not be recommended for Federal development that, although they have beneficial effects on the objectives, would physically or economically preclude alternative non-Federal plans which would likely be undertaken in the absence of the Federal plan and which would more effectively contribute to the objectives when comparably evaluated according to these principles.

The alternative non-Federal plan that would likely be physically displaced or economically precluded with development of the Federal plan, or increments thereto, will be evaluated for purposes of this determination on a comparable basis with the proposed Federal plan with respect to their beneficial and adverse effects on the objectives, including the treatment of national economic development effects and the discount rate used in the evaluation. Taxes foregone on the proposed Federal plan and taxes paid on the non-Federal alternative will be excluded in such comparisons for the evaluation of the national economic development objective.

F. Period of Analysis (No change)

G. Scheduling

Plans should be scheduled for implementation in relation to needs so that desired beneficial effects are achieved effectively. Beneficial and adverse effects occurring according to different patterns in time are affected differently by the discount process when plans are scheduled for implementation at alternative future times. Therefore, plan formulation should analyze the alternative schedules of implementation to identify the schedule that would result in the most desirable mix of contributions to the objectives when the beneficial and adverse effects of a plan are appropriately discounted.

While beneficial and adverse effects toward the objectives will accrue over different time frames for the alternative implementation schedules, the *discounted* equivalent of such beneficial and adverse effects to be considered in the comparison of the alternative implementation schedules should represent the present value of the beneficial and adverse effects toward the objectives for each alternative implementation schedule at a common point in time.

H. Risk and Uncertainty (No change)

I. Sensitivity Analysis (No change)

J. Updating Plans (No change)

V. Plan Formulation

A. Introduction

As set forth in principles, plans will *contribute to* meeting current and projected needs and problems as identified by the desires of people in such a manner that improved contributions are made to society's preferences for national economic development and environmental quality.

1. Major steps in plan formulation. Plan formulation is a series of steps starting with the identification of needs and problems and culminating in a recommended plan of action. The process involves an orderly and systematic approach to making determinations and decisions at each step so that the interested public and decisionmakers in the planning organization can be fully aware of the basic assumptions employed, the data and information analyzed, the reasons and rationales used, and the full range of implications of each alternative plan of action. This process should be described in enough detail in the report of the study so that it may be replicated by others. The plan formulation process consists of the following major steps:

1. Specify components of the objectives relevant to the planning setting; *The specific level of future needs will give consideration to firm and household response to existing laws and policies including conservation measures;*

2. Evaluate resource capabilities and expected conditions without any plan;

3. Formulate alternative plans to achieve varying levels of contributions to the specified components of the objectives, *including preparation of one primarily nonstructural alternative;*

4. Analyze the differences among alternative plans to show tradeoffs among the specified components of the objectives'

5. Review and reconsider, if necessary the specified components for the planning setting and formulate additional alternative plans as appropriate' and

6. Select a recommended plan from among the alternatives based upon an evaluation of the tradeoffs between the objectives of national economic development and environmental quality. (The rest of this section remains unchanged.)

2. Levels of Planning (No change)

B. Specification of components
Introduction (No change)

1. National economic development. For the national economic development objective, the components will usually be expressed at two levels.

a. The first level directly relates to the objective in the sense of the specification of the actual outputs of goods and services desired. Hence, the first level of specified components of this objective will generally be depicted in terms of increased outputs of goods and services or their more efficient production such as the following:

Increased or more efficient output of food and fiber;

2. Increased or more efficient output or recreational services, *and efficient use of facilities;*

(3) Increased or more efficient production *and use* of energy;

(4) Increased or more efficient production *and use* of transportation services;

(5) Increased productivity of land for residential, agricultural, commercial, and industrial activities;

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(6) Increased or more efficient *production and use* of necessary public services such as municipal and domestic water supply; and

(7) Increased or more efficient industrial output.

b. The second level of specification of the components of the national economic development objective follows from the translation of the first level specification of needs for goods and services into specific needs for water and land resources. In the context of the above, the second level specification of components would be established in terms such as the following:

(1) Water and land for *use in* irrigation;

(2) *Expanded opportunities for diversified* water and land related recreation *activities;*

(3) *Balancing energy use with production capacity;*

(4) Inland navigation or deep draft harbor *facilities in the context of total transportation needs;*

(5) *Reduction of flood hazard;*

(6) *Balancing water use with supply for domestic, industrial and municipal purposes; and*

(7) *Instream flow needs.*

(The rest of the section remains unchanged.)

2. Environmental quality. (No change)

3. Participation. (No change)

4. Projected conditions. (No change)

5. Sensitivity tests. (No Change)

6. Preferences. The specification of the components of the objectives must reflect the specific effects that are desired by groups and individuals of the planning area as well as the specific components declared to be in the national interest by the Congress or by the executive branch through the Water Resources Council. In this way the components of objectives will reflect local, State, and national preferences and priorities as well as the extent of complementarity and conflict among components.

In this regard, the identification and detailing of the components of the objectives should be viewed as the process of making explicit the range of preferences and desires of those affected by resource development in terms of reference that can form the basis for the formulation of plans. Rather than a single level of achievement being set forth for any specified component, a range of possible levels should be set forth so that the relevant preferences can be seen for a given component. It should be anticipated that the initial specification of components will be modified (expanded or reduced) during subsequent steps in plan formulation to reflect the capability of alternative plans to *contribute to satisfaction of* component needs and to reflect technical, legislative, or administrative constraints.

C. Evaluation of Resource Capabilities

In very broad terms, the first step of specification of the components of objectives can be viewed as establishing the boundaries of demand (needs or problems) in the context of each objective. In the next step, evaluation of resource capabilities, the initial evaluation is made of the supply (availability) of the resources that can be employed to satisfy the current and future levels of demand. *Also considered are conservation measures that can alter future demand.*

Resources of the planning area shall be evaluated in terms of their ability to meet the current and projected demands identified for each component under two sets of conditions:

(1) Capability of resources without any planned action; and

(2) Capability of water and land productivity enhanced through management plans. An analysis of the capability of resources to meet the projected demands without any planned action will reveal the extent and magnitude of unsatisfied component needs and indicate the requirement for some specific plan of action to contribute to their satisfaction. To the extent that the water and land resources without any planned action are unable to meet current and projected needs or to the extent that resource management enables the needs to be met more efficiently, there is an evident justification for formulating alternative plans *to balance water available and water demanded for alternative uses.*

In this formulation step, the first task is to undertake a selective inventory of the quantity and characteristics of water and land resources of the planning area and an appraisal of opportunities for further use of these resources. Problems limiting the use of resources should also be identified.

The resources inventory should include data on all physical factors appropriate to the investigation. Examples of the type of information needed include:

1. Hydrologic data such as rainfall and runoff characteristics, frequencies of high and low flows, *the conjunctive relationship* of ground water *with surface water including,* natural lakes, marshes, and estuaries. (The rest of this section remains unchanged.)

D. Formulation of Alternative Plans

In the first two steps in the plan formulation process, the components of the objectives were specified in terms of needs and problems, the resource capability within the planning areas were evaluated, and the broad outlines of management, development, and other actions were identified. The next step is to undertake the actual design and scaling of alternative plans.

Ideally, in the presence of a situation where there are few or no constraints on planning and where the components of the objectives are essentially complementary (the satisfaction of one component need does not preclude the satisfaction of the other component needs), the formulation of a single plan would be sufficient. The only test required would be that the plan was the most efficient plan to satisfy the specified level of component needs. Although in only a few instances will this situation occur, the case does help to establish the guidelines and criteria to judge the range of alternative plans that could be formulated and the tests to be applied in formulating any given plan.

The requirement for the formulation of alternative plans derives from the basic characteristics of the approach when more than one objective is involved. First, instead of the component needs of the two objectives being complementary, it is more likely they will be in conflict—the satisfaction of one will reduce the satisfaction of others. Second, given uncertainty with respect to future economic and demographic changes and the general uncertainty with respect to future preferences for the environmental quality objective, a single specified level of achievement or need satisfaction for any given component is not likely to be acceptable through time. Other factors contributing to the necessity for formulation of alternative plans include limited resources, technical planning constraints, and legal and administrative constraints.

In formulating plans to meet the components of the two objectives, both structural and nonstructural measures shall be considered. A nonstructural measure (or measures) may in some cases offer a complete alternative to a traditional structural measure (or measures). In other cases, a nonstructural measure (or measures) may be combined with structural measures to formulate alternative plans that attain the planning objectives.

Suggestions as to the determination of the general nature and types of alternative plans which should be formulated and the number of alternatives which should be developed with each general type are given below.

A first requirement is to determine the general types of alternatives to be developed under alternative assumptions concerning the level and magnitude of component needs in the future. Given alternative assumptions concerning future economic and demographic trends for the planning setting and the total range of component needs related thereto, a set of alternative plans should be prepared for each major assumption concerning the future. In those planning situations where there does not exist a strong linkage between water and land development and major shifts in economic and demographic trends, the Council's baseline projections will generally be used as a single set of assumptions about the future level of component needs required. Where the linkage is sufficiently strong so that water and land development may materially alter future economic or demographic trends, this relation should be reflected in alternative assumptions. Where the planning area may be unusually susceptible to other factors that could easily change in the future, it will be appropriate to establish a basis for a different set of alternative plans based on alternative assumptions concerning future change. In this instance, a sensitivity check should be made to ascertain the extent to which component needs will vary significantly given different assumptions concerning the future. If no significant variation is found, only one set of alternative plans will have to be developed.

Within a given set of assumptions concerning future change and the component needs associated thereto, the number and types of alternative plans to be developed will be determined by applying the following:

1. On a first approximation basis array component needs that are essentially complementary—that is, the satisfaction of one of these component needs does not preclude satisfaction of the other component needs or does not result in materially adding to the cost of satisfying the other component needs in the array; and

2. From the above approximation, it should be possible to group component needs and the elements of a plan to satisfy those needs that are essentially in harmony, each set representing the nucleus for an alternative plan.

At this step, relevant alternative means of meeting each of the component needs to be included in an alternative plan should be identified. All relevant means should be considered. An analysis should be made for each alternative means, including an identification of the beneficial and adverse consequences to other component needs. The assembly of information on alternative means of contributing to meeting the component needs will provide a basis for selecting the most effective means, or combination of means of *contributing to satisfaction of* all component needs.

The significance of this step is threefold: (1) It provides information on the effectiveness of alternative means of *contributing to satisfaction of* a component need; (2) it provides information on the extent of complementarity or conflict among component needs in relation to a particular means; and (3) it provides a basis for selecting alternative means for *contributing to satisfaction of* a component need in the formulation of an alternative plan.

At this point, it should be possible to formulate alternative plans built upon the set of complementary component needs and plan elements. These essentially are the building blocks for the formulation of alternative plans. In formulating a given alternative plan, initial consideration will be given to its orientation toward *contributing to* the component needs for one of the objectives. Further additions should be made for the component needs of the other objective, provided that their addition to a given plan does not significantly diminish the contributions of the overall plan to that objective toward which the plan is oriented. An analysis of the alternative plan, in terms of beneficial and adverse effects, will reveal the extent of any shortfalls against the other objective. The process is then repeated until sufficient numbers of alternative plans have been formulated so that there is at least one plan that generally satisfies each specified component need of the objectives. This does not mean that there must be a plan for each objective that excludes plan elements that significantly contribute to the component needs of the other objective nor does it mean that a given alternative plan cannot appropriately satisfy the component needs of both objectives. Additional alternative plans may be required where there are possible conflicts among the component needs within a given objective.

A precise number of alternative plans cannot be specified in advance but will be governed by the relevancy of the objectives to a given planning setting, the extent of component needs and their complementarity, the available alternative means, and the overall resource capabilities of the area under study.

A comprehensive range of alternative projects, programs and policies which, over time, can balance water demanded for alternative purposes with water availability should be evaluated. An evaluation of alternatives should be considered in water resources planning to serve needs including: Water supply for municipal, industrial, and agricultural uses; recreation; hydroelectric power; navigation; flood hazard reduction; fish and wildlife; and others. Both nonstructural and structural alternatives should be considered. Structural alternatives may serve a single need or multiple needs and include dams, reservoirs, levees, channels, dikes (and drainage).

Nonstructural alternatives for municipal and industrial water supply include, but are not limited to:

(a) *Reducing the level and/or altering the time pattern of demand by metering, leak detection and repair rate structure changes, regulations on use such as plumbing codes, education programs, drought contingency planning;*

(b) *Modifying management of existing water development and supplies by recycling, reuse, pressure reduction; and*

(c) *Increasing upstream watershed management and conjunctive use of ground and surface waters.*

Nonstructural alternatives for irrigation water supply include, but are not limited to:

(a) *Reducing the level and/or altering the time pattern of use through irrigation scheduling, modified water rate structures, leak detection and repair, recycling, and reuse;*

(b) *Modifying management of existing water development and supplies by tailway recovery and phreatophyte control.*

Nonstructural alternatives for recreation and fish and wildlife include, but are not limited to, enhanced management of existing sites, and capacity management to distribute users of existing sites.

Nonstructural alternatives for hydroelectric power include, but are not limited to:

Reducing the level and/or time pattern of demand by time of day pricing, utility sponsored loans for insulation, appliance efficiency standards, educational programs, inter-regional power transfers, and increased transmission efficiency.

Nonstructural alternatives for navigation include, but are not limited to, lockage charges to reduce congestion, improved scheduling of lock arrivals, use of switch boats for locking through tows.

Nonstructural alternatives for flood hazard reduction include, but are not limited to:

(a) *Reducing susceptibility to flood damage by land use regulations, redevelopment and relocation policies, disaster preparedness, flood proofing, flood forecasting and warning systems, floodplain information, floodplain acquisition, floodplain easements;*

(b) *Reducing the adverse burden of flooding by flood insurance and flood emergency relief programs,*

(c) *On site detention of flood waters by protection of natural storage areas such as wetlands and in man-made areas such as building roofs and parking lots.*

To facilitate comparisons and tradeoffs among alternative plans and comparisons of beneficial and adverse effects measured in nonmonetary terms with beneficial and adverse effects measured in monetary terms, one alternative plan should be formulated in which optimum contributions are made to the component needs of the national economic development objective. Additionally, during the planning process at least one alternative plan will be formulated which emphasizes the contributions to the environmental quality objective. *In addition, a primarily nonstructural plan shall be prepared and included whenever structural project or program alternatives are considered.* Other alternative plans reflecting significant tradeoffs between the national economic development and environmental quality objectives may be formulated so as not to overlook a best overall plan. (The rest of this section remains unchanged.)

E. Analysis of Alternative Plans (No change)

F. Reconsideration of Components and Alternative Plans (No change)

G. Plan Selection

The culmination of the plan formulation process is the selection of a recommended plan from among the alternative plans. Based upon the analysis of alternative plans and the results of reiterations of the plan formulation process, a set of alternative plans should be developed—each one of which, given the relevant mix of contributions to components of the objectives, could be selected on its own merits as a recommended plan or recommended course of action. It is from among these alternatives that a recommended plan will be selected.

The previous formulation steps should effectively screen the number and types of alternatives that are to be considered as candidates for a recommended plan. In general, these alternatives should possess the following characteristics:

1. For the given set of component needs, each alternative plan should be the most efficient means to achieve those needs.

2. The plans should be significantly differentiated from each other, primarily in terms of emphasis on objectives; that is, each alternative plan makes a unique contribution to one or both objectives not provided for by any of the other alternatives under consideration. Using the analysis of alternatives, those alternatives that may have been formulated with essentially similar characteristics in terms of component needs with only minor differences should be screened to select the alternative that provides the best mix of contributions to the specific set of component needs.

3. Without regard to assigning priorities or weights to the component needs of a particular alternative to differentiate such alternative in terms of the other alternatives, each alternative must be "justified" in the sense that in the judgment of the planning organization the total beneficial effects (monetary and nonmonetary) to the objectives relevant to the alternative are equal to or exceed the total adverse effects (monetary and nonmonetary) to those objectives.

Given the above screening process, the choice of a recommended plan from among the remaining alternatives is essentially a choice governed by a reasonable and rational perception of priorities and preferences about the mix of objectives. It is not a choice predicated upon an analysis of the most justified plan, since each alternative to be considered at this step of the overall formulation process can be justified on its own merits in terms of its contributions to the given mix of component needs relevant to each alternative.

If explicit priorities or weights were assigned to the beneficial and adverse effects to each component need of the objectives, it would be possible to select a best plan to be recommended with a minimum of judgment. In most cases, however, such priorities or weights will not be available and, as set forth in Principles, selection of a recommended plan will be based upon an appraisal so that the beneficial and adverse effects to the mix of objectives, to the best of current understanding and knowledge, reflect the priorities and preferences expressed by the public at all levels to be affected by the plan.

The basis of selection will be fully reported upon indicating all considerations made in the selection process. A recommended plan (*when considered individually on the basis of with-project and without-project comparison*) *must be justified on the basis that combined beneficial NED and EQ effects outweigh combined adverse NED and EQ effects. Therefore, a plan lacking net NED benefits may be recommended when EQ benefits are sufficiently large, even though the latter are not stated in dollar terms.* A Departmental Secretary or head of an independent agency may make an exception to the net benefits rule if he determines that circumstances unique to the plan formulation process warrant such exception.

An explicit presentation will be shown of the comparisons and resulting tradeoffs of the recommended plan to other alternative plans considered for recommendation. This will be shown in accordance with the system of accounts in section VI.

VI. Systems of Accounts (No change)

VII. Cost Allocation, Reimbursement, and Cost Sharing (No change)

VIII. National Program for Federal and Federally Assisted Activities (No change)

IX. Coordination and Review of Planning Studies (No change)

Approved: October 25, 1979.

Cecil D. Andrus,

Chairman.

[FR Doc. 79-38431 Filed 12-13-79; 8:45 am]

BILLING CODE 6410-01-M

federal register

Friday
December 14, 1979

Part XI

Office of Management and Budget

Budget Rescissions and Deferrals; Cumulative Report

OFFICE OF MANAGEMENT AND BUDGET

Cumulative Report on Rescissions and Deferrals, December 1, 1979

This report is submitted in fulfillment of the requirements of section 1014(e) of the Impoundment Control Act of 1974 (Pub. L. 93-344). Section 1014(e) provides for a monthly report listing all budget authority for this fiscal year with respect to which, as of the first day of the month, a special message has been transmitted to the Congress.

This report gives the status as of December 1, 1979 of one rescission proposal and 37 deferrals contained in the first two special messages of FY 1980. These messages were transmitted to the Congress on October 1 and November 15, 1979.

Rescission (Attachment A)

As of December 1, 1979, no rescission proposals were pending before the Congress.

Deferrals (Table A and Attachment B)

As of December 1, 1979, $1,114.2 million in 1980 budget authority was being deferred from obligation and another $44 thousand in 1980 obligations was being deferred from expenditure. Table A summarizes the status of deferrals reported by the President, and Attachment B shows the history and status of each deferral reported during FY 1980.

Information From Special Messages

The special messages containing information of the rescission and the deferrals covered by the cumulative report are printed in the **Federal Registers** of: Friday, October 5, 1979 (Vol. 44, No. 195, Part IX) Tuesday, November 20, 1979 (Vol. 44, No. 225, Part III)

James T. McIntyre, Jr.,

Director.

BILLING CODE 3110-01-M

Table A

STATUS OF 1980 DEFERRALS

	Amount (In millions of dollars)*
Deferrals proposed by the President	$1,529.2
Routine Executive releases (-$27.4 million) and adjustments (-$387.5 million) through December 1, 1979	-414.9
Overturned by the Congress	-0-
Currently before the Congress	1,114.2 a

a. This amount includes $44 thousand in outlays for a Department of the Treasury deferral (D80-23).

* Detail does not add due to rounding.

Attachments

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AS OF DEC 1, 1979 AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	RESCISSION NUMBER	AMOUNT PREVIOUSLY CONSIDERED BY CONGRESS	AMOUNT CURRENTLY BEFORE THE CONGRESS	DATE OF MESSAGE MO DA YR	AMOUNT RESCINDED	AMOUNT MADE AVAILABLE	DATE MADE AVAILABLE MO DA YR
OTHER INDEPENDENT AGENCIES							
International Communication Agency							
Special international exhibitions							
BA	R80- 1	114		10 1 79		114	11 15 79

END OF REPORT

PAGE 1 ATTACHMENT B STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/03/79 16 03

AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB /AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
FUNDS APPROPRIATED TO THE PRESIDENT								
International Security Assistance								
Economic support fund								
BA	D80- 1	100,000		10 1 79				100,000
DEPARTMENT OF AGRICULTURE								
Forest Service								
Timber salvage sales								
BA	D80- 2	9,298		10 1 79				9,298
Expenses, brush disposal								
BA	D80- 3	32,060		10 1 79				32,060
Restoration of forest lands								
BA	D80- 4	38		10 1 79				38
DEPARTMENT OF AGRICULTURE TOTAL BA		41,396						41,396
DEPARTMENT OF COMMERCE								
National Oceanic and Atmospheric Administration								
Construction								
BA	D80- 5	7,000		10 1 79				7,000
Coastal zone management								
BA	D80- 6	20,000		10 1 79				
BA	D80- 6A		a	11 15 79				20,000
Promote and develop fishery products and research								
BA	D80- 7	2,400		10 1 79	-2,400			
Fisheries loan fund								
BA	D80- 8	5,300		10 1 79				5,300

PAGE 2 ATTACHMENT E - STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/03/79 16 03

AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
DEPARTMENT OF COMMERCE								
TOTAL BA		34,700			-2,400			32,300
DEPARTMENT OF DEFENSE-MILITARY								
Military Construction								
Military construction, all services								
BA	D80- 9	31,386		10 1 79	-13,378			18,008
DEPARTMENT OF DEFENSE-CIVIL								
Wildlife Conservation, Military Reservations								
Wildlife conservation, all services								
BA	D80-10	595		10 1 79				595
DEPARTMENT OF ENERGY								
Energy Programs								
Fossil energy construction								
BA	D80-11	50,000		10 1 79				50,000
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE								
Alcohol, Drug Abuse & Mental Health Administration								
Construction & renovation, St. Elizabeths Hospital								
BA	D80-12	23,314		10 1 79				23,314
Human Development Services								
White House Conferences on Aging and Families								
BA	D80-13	4,649		10 1 79				4,649
DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE								
TOTAL BA		27,963						27,963

PAGE 3 ATTACHMENT E - STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/03/79 16 03

AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB /AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
DEPARTMENT OF THE INTERIOR								
Heritage Conservation and Recreation Service								
Land and water conservation fund								
BA	D80-14	30,000		10 1 79				30,000
Geological Survey								
Payments from proceeds, sale of water								
BA	D80-15	39		10 1 79				39
Bureau of Mines								
Drainage of anthracite mines								
BA	D80-16	1,137		10 1 79				1,137
DEPARTMENT OF THE INTERIOR								
TOTAL BA		31,176						31,176
DEPARTMENT OF JUSTICE								
Federal Prison System								
Buildings and facilities								
BA	D80-17	22,853		10 1 79				
BA	D80-17A		14,888	11 15 79				37,741
DEPARTMENT OF STATE								
International Organizations and Conferences								
Contributions to intl peacekeeping activities								
BA	D80-32	10,000		11 15 79				10,000
Other								
Emergency refugee and migration assistance fund								
BA	D80-18	5,650		10 1 79	-8,000		5,582	3,232
DEPARTMENT OF STATE								
TOTAL BA		15,650			-8,000		5,582	13,232

PAGE 4 ATTACHMENT B - STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/03/79 16:03

AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB /AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
DEPARTMENT OF TRANSPORTATION								
Federal Aviation Administration								
Civil supersonic aircraft development termination								
BA	D80-19	5,004		10 1 79				5,004
Facilities & equip. (Airport & airway trust fund)								
BA	D80-20	138,211		10 1 79				138,211
Federal Highway Administration								
Federal aid highways								
BA	D80-33	495,789		11 15 79				495,789
Urban Mass Transportation Administration								
Urban mass transportation fund								
BA	D80-21	393,076		10 1 79			-393,076b	
DEPARTMENT OF TRANSPORTATION								
TOTAL BA		1,032,080					-393,076	639,004
DEPARTMENT OF THE TREASURY								
Office of Revenue Sharing								
State and local government fiscal assistance fund								
BA	D80-22	79,548		10 1 79	-5			79,543
O	D80-23	2,735		10 1 79	-2,691			44
Bureau of the Mint								
Construction of mint facilities								
BA	D80-24	3,230		10 1 79				3,230
DEPARTMENT OF THE TREASURY								
TOTAL BA		82,778			-5			82,773
TOTAL O		2,735			-2,691			44
OTHER INDEPENDENT AGENCIES								

PAGE 5 ATTACHMENT B - STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/03/79 16:03

AMOUNTS IN THOUSANDS OF DOLLARS AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB /AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
Federal Emergency Management Agency								
Emergency planning, preparedness, and mobilization								
BA	D80-25	80		10 1 79				80
Foreign Claims Settlement Commission								
Payment of Vietnam prisoner of war claims								
BA	D80-26	1,800		10 1 79	-940			860
International Communication Agency								
Salaries & expenses								
BA	D80-34	2,000		11 15 79				2,000
Special foreign currency program								
BA	D80-35	1,600		11 15 79				1,600
Acquisition & construction of radio facilities								
BA	D80-27	10,973		10 1 79				10,973
Railroad Retirement Board								
Regional rail transportation protective account								
BA	D80-36	1,000		11 15 79				1,000
National Alcohol Fuels Commission								
Salaries and expenses								
BA	D80-28	250		10 1 79				250
National Commission on Social Security								
Salaries and expenses								
BA	D80-29	250		10 1 79				250
Navajo & Hopi Indian Relocation Commission								
Salaries and expenses								
BA	D80-30	5,300		10 1 79				5,300
President's Commission on Pension Policy								
Salaries and expenses								
BA	D80-37	700		11 15 79				700
Tennessee Valley Authority								

STATUS OF DEFERRALS - FISCAL YEAR 1980 AS OF 12/04/79 14 25

ATTACHMENT B

AGENCY/BUREAU/ACCOUNT	DEFERRAL NUMBER	AMOUNTS IN THOUSANDS OF DOLLARS	AMOUNT TRANSMITTED ORIGINAL REQUEST	AMOUNT TRANSMITTED SUBSEQUENT CHANGE	DATE OF MESSAGE MO DA YR	CUMULATIVE OMB /AGENCY RELEASES	CONGRESSIONALLY REQUIRED RELEASES	CUMULATIVE ADJUSTMENTS	AMOUNT DEFERRED AS OF 12-01-79
Tennessee Valley Authority fund									
BA	D80-31		17,000		10 1 79				17,000
OTHER INDEPENDENT AGENCIES									
TOTAL BA			40,953			-940			40,013
TOTAL BA			1,511,530	14,888		-24,723		-387,494	1,114,201
TOTAL O			2,735			-2,691			44

FOOTNOTES

a. This supplemental report was transmitted solely to expand the application of this deferral to include funds appropriated in FY 1980 as well as balances carried forward from previous years.

b. Congressional action on the 1980 Transportation and Related Agencies Appropriation Bill (P.L. 96-131) rescinded these funds.

END OF REPORT

[FR Doc. 79-38480 Filed 12-13-79; 8:45 am]
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AGENCY PUBLICATION ON ASSIGNED DAYS OF THE WEEK

The following agencies have agreed to publish all documents on two assigned days of the week (Monday/Thursday or Tuesday/Friday).

This is a voluntary program. (See OFR NOTICE FR 32914, August 6, 1976.)

Monday	Tuesday	Wednesday	Thursday	Friday
DOT/SECRETARY*	USDA/ASCS		DOT/SECRETARY*	USDA/ASCS
DOT/COAST GUARD	USDA/APHIS		DOT/COAST GUARD	USDA/APHIS
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Documents normally scheduled for publication on a day that will be a Federal holiday will be published the next work day following the holiday.

Comments on this program are still invited. Comments should be submitted to the Day-of-the-Week Program Coordinator, Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408

***NOTE: As of July 2, 1979, all agencies in the Department of Transportation, will publish on the Monday/Thursday schedule.**

REMINDERS

The items in this list were editorially compiled as an aid to **Federal Register** users. Inclusion or exclusion from this list has no legal significance. Since this list is intended as a reminder, it does not include effective dates that occur within 14 days of publication.

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66789 11-21-79 / Intrastate pipelines; sales and transportation; order on rehearing

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65586 11-14-79 / Multifamily housing; permit to increase mortgage limits due to installation of solar energy systems

INTERSTATE COMMERCE COMMISSION

65588 11-14-79 / Specified air terminal zones

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65731 11-15-79 / Procedures for handling national security information

Rules Going Into Effect Saturday, December 15, 1979

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64174 11-6-79 / National Environmental Policy Act; inplementation of procedures

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POSTAL SERVICE

65986 11-16-79 / Articles mailed abroad by or on behalf of senders in the United States; adoption of language conforming to article 20 of the Universal Postal Convention

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Note: No public bills which have become law were received by the Office of the Federal Register for inclusion in today's **List of Public Laws.**

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[A Cumulative checklist of CFR issuances for 1979 appears in the back of the first issue of the Federal Register each month in the Reader Aids section. In addition, a checklist of current CFR volumes, comprising a complete CFR set, appears each month in the LSA (List of CFR Sections Affected).]

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federal register

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NOTE:
Due to a shortage of newsprint, today's **Federal Register** is printed on a higher quality paper. As supplies become available, the **Federal Register** will resume the use of newsprint.

Highlights

73163 **Consumers' Education Program** HEW/OE extends closing date for submission of applications; apply by 2-15-79

73163 **Library Training Program** HEW/OE announces applications for new projects; apply by 2-19-80

73167 **Crime** Justice/LEAA announces competitive research grants to study relationships between commercial land use, crime, and fear of crime; proposals by 2-15-80

73702 **Privacy Act** DOD issues annual publication of system of records (Part II of this issue)

73175 **Privacy Act** PBGC issues annual publication of systems of records

73164 **Medicare Program** HEW/Sec'y announces premium rate for uninsued aged; effective 7-1-80

73020 **Outer Continental Shelf** DOT/CG establishes emergency safety zones around structures being constructed; effective 12-1-79

73035 **Administrative Claims** FEMA issues general procedures for filing claims against agency; effective 12-17-79, comments by 2-15-80

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FEDERAL REGISTER Published daily, Monday through Friday, (not published on Saturdays, Sundays, or on official holidays), by the Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408, under the Federal Register Act (49 Stat. 500, as amended; 44 U.S.C. Ch. 15) and the regulations of the Administrative Committee of the Federal Register (1 CFR Ch. I). Distribution is made only by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

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Area Code 202–523–5240

Highlights

73155 **Nuclear Proliferation and Civilian Nuclear Power** DOE/Office of the Assistant Secretary for Nuclear Energy publishes draft final report of Nonproliferation Alternative Systems Assessment Program, and announces meeting; meeting 1–17–80

73099, 73100 **Amateur Radio Service** FCC amends rules concerning availability of operator license, and deletes permit requirement for Canadian amateurs operating in the U.S.; effective 12–21–79 and 1–21–80 (2 documents)

73133 **Plymouth Red-Bellied Turtle** Interior/FWS reopens comment period and announces public meeting and hearing; comments between 1–10–80 and 2–13–80, meeting 1–15–80, hearing 1–29–80

73001–73003 **Anti-Inflationary Price Standards and Procedural Rules** CWPS issues amendments to questions and answers; effective 10–1 and 12–17–79, comments by 1–16–80 (3 documents)

73025, 73047 **Ventilation of Boats** DOT/CG issues safety standards; effective 8–1–80 (2 documents)

73021 **Visual Distress Signals** DOT/CG publishes rules regarding equipment requirements; effective 1–1–81

73055 **Distress Signals, Signal Pistols, and Line-Throwing Appliances** DOT/CG amends rules regarding specifications, tests, and inspection and approval procedures; effective 1–17–80 (2 documents)

73038 **Equipment and Material Specifications** DOT/CG establishes approval procedures, production inspection and test procedures, and independent laboratory standards; effective 1–17–80

73102 **New Pneumatic Tires For Passenger Cars** DOT/NHTSA amends rules to permit new tires sizes into interstate commerce; effective 1–16–80

73028 **Sale and Disposal of Timber** USDA/FS issues rules regarding shortening of certain advertising periods, eliminate dollar limit on certain log sales, and remove authority to refuse awards to high bidders when such awards would lessen opportunities for local labor; effective 12–17–79

73007 **Beans** USDA/AMS amends standards; effective 1–16–80

73019 **Capital Loss Carryovers for Regulated Investment Companies** Treasury/IRS issues rules pertaining to extension of capital loss carryover period; effective 12–31–69 and 12–31–76

73204 **Sunshine Act Meetings**

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This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.
The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each month.

COST ACCOUNTING STANDARDS BOARD

4 CFR Parts 400, 403, 410 and 420

Accounting for Independent Research and Development; Costs and Bid and Proposal Costs; Confirmation of Effective Date

AGENCY: Cost Accounting Standards Board.

ACTION: Confirmation of effective date.

SUMMARY: On September 25, 1979, a Cost Accounting Standard entitled Accounting for Independent Research and Development Costs and Bid and Proposal Costs was published in the **Federal Register** (44 FR 55123 et seq.), having been duly promulgated by the Board. The Standard in § 420.80 established an effective date of March 15, 1980.

Public Law 91–379 provides that a Cost Accounting Standard shall not take effect until the expiration of a period of sixty calendar days of continuous session of the Congress following the date on which a copy of the proposed Standard is transmitted to the Congress, provided during such sixty day period there is not passed by the two Houses a concurrent resolution stating the Congress does not favor the proposed Standard.

Standard 420 was originally transmitted to the Congress on September 21, 1979. Sixty calendar days of continuous session have now passed without a concurrent resolution disapproving the Standard. This notice, therefore confirms the effective date of Standard 420 as March 15, 1980.

ADDRESS: Cost Accounting Standards Board, 441 G Street NW., Washington, D.C. 20548.

FOR FURTHER INFORMATION CONTACT:
Noah Minkin 202–275–5940.

Arthur Schoenhaut,
Executive Secretary.

[FR Doc 79–38509 Filed 12–14–79; 8:45 am]

BILLING CODE 1620–01–M

COUNCIL ON WAGE AND PRICE STABILITY

6 CFR Parts 701, 705, and 706

Organization of the Council on Wage and Price Stability, Anti-Inflationary Pay and Price Standards, and Procedural Rules; Changes and Corrections

AGENCY: Council on Wage and Price Stability.

ACTION: Final rule.

SUMMARY: The Council is making several minor corrections in its regulations concerning its organization, anti-inflationary pay and price standards, and procedural rules.

EFFECTIVE DATE: October 1, 1979.

FOR FURTHER INFORMATION CONTACT:
Price: Susanne Tierney, 456–7107.
Pay: Janice Murphey, 456–7103.

SUPPLEMENTARY INFORMATION: In reviewing Parts 701, 705, and 706 of Title 6 of the Code of Federal Regulations, the Council has identified several sections that should be corrected.

In Part 701, the Council is amending § 701.5 to correct the address of the Council.

In Part 705, the Council is correcting a typographical error in § 705.5(a). Section 705.42(b)(3) is amended so that the language of the definition of margin trend is consistent with § 705.42(c) and (d).

Section 705.43(d)(1) and (2) is amended by deleting the alternative calculation of base-quarter volume as one-fourth of the base-year volume. This deletion makes the calculation of volume adjustment for the intermediate gross-margin limitations consistent with that for the two-year gross-margin limitation (§ 705.43(c)) and for the profit limitation (§ 705.6(a)).

Section 705.64(b) is amended to make clear that the criteria for disaggregation of compliance units apply to both the price and pay standards; this Section as previously drafted referred only to the price standard.

In Part 706, the Council is amending § 706.21 to delete references to due dates of specified forms. The due dates will be announced by separate notice in the **Federal Register** and through both the trade and general press. The Council is also changing the due date in § 706.23 and is clarifying who should submit the data specified in § 707.10(c). In addition; a typographical error in § 706.61(a) is being corrected.

By separate notice today, the Council is publishing interim final changes to Parts 705 and 706 to modify the tandem exception to the pay standard and the procedures for its implementation. These changes are not repeated in this notice.

Issued in Washington, D.C., December 13, 1979.

R. Robert Russell,
Director, Council on Wage and Price Stability.

Accordingly, 6 CFR Parts 701, 705, and 706 are amended as follows:

1. Section 701.5(a) is revised to read as follows:

§ 701.5 Offices and hours.

(a) The Offices of the Council are at 600 17th Street, NW., Washington, D.C. 20506.

* * * * *

2. Section 705.5(a) is amended by changing "1–7" to "(1) through (7)" in paragraph (a)(1), and by adding the word "two" after the word "first" in paragraph (a)(2)(i). As revised, paragraph (a) reads as follows:

§ 705.5 Special situations.

(a) *Insufficient Product Coverage.* (1) A compliance unit that was exempt from coverage of the price standards during the first program year because adjusted net revenues during the four quarters prior to the first program year were less than 25 percent of that unit's net revenues is also exempt from coverage of the second-year price standards if its base-year revenues from products not excluded under § 705.4(a)(1) through (7) and § 705.4(b) were no more than $25 million.

(2) If products excluded under § 705.4(a)(8) through (10) account for one-third or more of a compliance unit's total revenue for the first two program years minus revenue from the sale of products excluded under § 705.4(a)(1) through (7) and § 705.4(b), the compliance unit should (i) Comply with

the two-year and intermediate price limitations in §§ 705.2 and 705.3 for those products not excluded under § 705.4, unless those products account for less than $50 million in sales during each of the first two program years, and

(ii) Comply with the profit limitation in § 705.6(a) for the compliance unit as a whole.

* * * * *

3. Section 705.42 is amended in paragraph (b)(3) by adding the words "divided by one hundred" at the end of the first sentence and by deleting the word "percentage" in the second sentence. As amended, § 705.42(b)(3) reads as follows:

§ 705.42 Percentage-gross-margin standard for wholesale and retail trade.

* * * * *

(b)

* * * * *

(3) The *margin trend* is the percentage change of the percentage gross margin between the base year and the corresponding year prior to October 2, 1976, divided by one hundred. If this change is negative, then the margin trend is zero.

* * * * *

4. Section 705.43 is amended by deleting in paragraphs (d)(1) and (d)(2) the following words "(one-fourth of the base-year volume if § 705.43(b)(3) is followed)".

§ 705.43 [Amended]

5. Section 705.64 is amended by adding the words "and pay" after "price" in the first sentence of paragraph (b). As amended, paragraph (b) reads as follows:

§ 705.64 Compliance unit.

* * * * *

(b) One or more parts of a consolidated company may be treated as a separate unit for purposes of complying with the price and pay standards if:

(1) Each part maintains accounting records that permit the Council to ascertain whether the prices and profits of each part accurately reflect the economic realities of its operations,

(2) Allocation of overhead among the parts is made in a consistent and reasonable manner, as if the parts were not commonly owned,

(3) Transfer between parts are valued as if they were arms-length transactions, and

(4) Internal accounting procedures adhere to generally accepted accounting principles and procedures, consistently and historically applied.

6. Section 706.21, paragraphs (b) and (c), are amended to delete the words "December 1, 1979" and to add at the end of the final sentences "a due date to be announced by the Council". As amended, these paragraphs read as follows:

§ 706.21 Submissions on company organization for purposes of compliance.

* * * * *

(b) *Company Organization for Price Compliance.* A compliance unit that had, or that is part of a company that had, net sales or revenues of $250 million or more in its last complete fiscal year before October 2, 1979, and any other company designated by the Council, should furnish the Council with the information specified in § 707.1(a) by a date to be announced by the Council.

(c) *Company Organization for Pay Compliance.* A company that had 5,000 or more employees during any calendar quarter of its last complete fiscal year before October 2, 1979, and any other company designated by the Council, should furnish the Council with the information specified in § 707.1(b) by a date to be announced by the Council.

7. Section 706.23 is amended to delete "December 1, 1979" in paragraph (a) and to add in its place "February 15, 1980". In addition, paragraph (b) has been amended to provide additional explanation as to who should submit the data specified in § 707.10(c). As amended, § 706.23 reads as follows:

§ 706.23 Submissions by State and local government entities.

(a) State and local government entities with 5,000 or more employees should submit by February 15, 1980 a statement of assurance by the head of the government entity that the entity intends to comply with the pay standard; and

(b) Compliance units with 5,000 or more employees that are part of a State or local government entity should submit the data specified in § 707.10(c) for formal pay plans in operation as of October 1, 1979, within 60 calendar days after the end of the pay plan year.

8. Section 706.61(a) is amended to delete the term "§ 706.53(c)" and add in its place "§ 706.52(c)".

§ 706.61 [Amended]

[FR Doc. 79-38693 Filed 12-14-79; 8:45 am]

BILLING CODE 3175-01-M

6 CFR Part 705

Questions and Answers on Anti-Inflationary Price Standards, Procedural Rules, Data Requests

AGENCY: Council on Wage and Price Stability.

ACTION: Changes and Corrections to Questions and Answers on the Anti-Inflationary Price Standards.

SUMMARY: On November 21, 1979, the Council published Questions and Answers on the Anti-Inflationary Price Standards and Procedural Rules (44 FR 67060). We are modifying several of them based on our further review of these Questions and Answers and public comments.

EFFECTIVE DATE: October 1, 1979.

ADDRESS: Questions concerning these changes should be addressed to the Office of Price Monitoring, Council on Wage and Price Stability, 600 17th Street, N.W., Washington, D.C. 20506.

FOR FURTHER INFORMATION CONTACT:

Industries, Contact Person and Telephone Number

Metals, Machinery & Equipment, Eugene Roberts 456–7784.
Food, Agriculture & Trade, Stephen Hiemstra 456–7740.
Energy, Chemicals, Utilities & Transportation, John Keith 456–7747.
Construction & Building Materials, Joseph Lackey 456–7156.
Health, Insurance & Other Services, Arthur Corazzini 456–7730.
Exceptions, Walter Leibowitz or David Wagner 456–7733.

SUPPLEMENTARY INFORMATION: Question and Answer I.B. 4 is amended to clarify the treatment of joint ventures. Joint ventures are typically unconsolidated entities. They are therefore to be treated as separate companies for compliance purposes.

Question and Answer I.F. 15, as originally published, provides that, when 100 percent of a compliance unit's products are excluded under § 705.4, the compliance unit need not comply with the price standard. This Q & A does not fully reflect the provisions in § 705.5(a)(2), Insufficient Product Coverage, under which a compliance unit with revenues from new, discontinued, and custom products and from non-arms-length transactions is subject to the profit limitation and possibly the price limitations.

Question and Answer I.F. 15 has therefore been revised and a new Question and Answer 16 has been added to clarify the distinction between compliance units with exclusions under §§ 705.4(a) (1) through (7) and 705.4(b) and those with exclusions under § 705.4(a) (8) through (10).

Issued in Washington, D.C., December 13, 1979.

R. Robert Russell,

Director, Council on Wage and Price Stability.

Accordingly, the Questions and Answers published on November 21, 1979, are amended as follows:

1. Question and Answer I.B. 4 (44 FR 67061) is amended to read as follows:

Q4. How are joint ventures to be treated?

A. Joint ventures are to be treated as separate companies for compliance purposes.

2. Question and Answer I.F. 15 (44 FR 67063) is revised and a new Question and Answer I.F. 16 is added to read as follows:

Q15. If all of a compliance unit's products are excluded during the two program years under § 705.4(a) (1) through (7), and/or § 705.4(b), is that compliance unit subject to the price standards?

A. No. Such a compliance unit is subject to *neither* the two-year price limitation nor the two-part profit limitation.

Q16. If all of a compliance unit's products are excluded during the two program years under § 705.4(a) (8) through (10), is that compliance unit subject to the price standards?

A. Yes. Such a compliance unit is subject to the two-part profit limitation under § 705.5(a)(2).

[FR Doc. 79-38695 Filed 12-14-79; 8:45 am]

BILLING CODE 3175-01-M

6 CFR Parts 705, 706, and 707

Noninflationary Pay and Price Behavior; Changes to Parts and Additional Questions and Answers

AGENCY: Council on Wage and Price Stability.

ACTION: Interim final rules, questions and answers, and a request for comments.

SUMMARY: The Council is modifying the tandem exception to the pay standard and the procedures for its implementation. These modifications implement the policies recommended by the Pay Advisory Committee and accepted by the Council.

DATES: The effective date for these changes and Questions and Answers is December 17, 1979. Written comments may be submitted by January 16, 1980.

ADDRESS: Written comments should be addressed to: Office of the General Counsel, Council on Wage and Price Stability, 600 17th Street, NW., Washington, D.C. 20506.

FOR FURTHER INFORMATION CONTACT:

Office of Pay Monitoring

Janice Murphey, 456–7103
Lucretia Tanner, 456–7180
Malcolm Liggett, 456–7180
Homer Jack, 456–7180

Office of the General Counsel

Daniel Duff, 456–6210
Jane Campana, 456–6210

SUPPLEMENTARY INFORMATION: On September 28, 1979, the President announced the creation of a Pay Advisory Committee to advise the Council on policies that encourage anti-inflationary behavior by employers and labor, that decelerate the rate of inflation, and that provide for a fair and equitable distribution of the burden of restraint. The Committee's charter provides that it will recommend new or revised interpretations of the pay standard. Until the Council acts on any recommendations, the first-year pay standard (in Subpart 705B) remains in effect with the modifications that have been adopted (see the Council's Questions and Answers published in the **Federal Register** on October 12, 1979, October 19, 1979, and November 19, 1979).

On November 28, 1979, the Committee recommended that the exception for tandem pay-rate changes (§ 705B–9) be modified to recognize additional forms of historical tandem relationships in wages and/or benefits. The Council has decided to accept these recommendations. Accordingly, § 705B–9 is being expanded to provide for an exception for longstanding relationships between pay-rate increases of different employee units or between increases of an employee unit and those of a group of employee units or an identified labor market, so long as it can be demonstrated that the comparative pay-rate changes have been substantially equivalent over a period of years. This provision was designed in part to bring under the tandem exception some of the issues relating to the COLA/non-COLA disparities that the Council reviews on a case-by-case basis under the gross-inequity exception (§ 705B–12).

Another Committee recommendation also accepted by the Council is that self-administration of this exception be permitted, and the procedures are being revised to reflect this change. Section 706.31(a) specifically removes the tandem exception from the exception category for which Council approval should be sought. To enable the Council to monitor compliance effectively, compliance units that otherwise satisfy the criteria for eligibility to apply for exceptions (§ 706.31(a)(2)) are now requesting at revised § 706.31(c) to notify the Council in writing at the time a tandem pay exception is self-administered. Such compliance units are expected to retain all data and documents that constitute the basis for the exception in a form suitable for review by the Council. If a compliance unit wants to have advance guidance by the Council about the exception, the Council will entertain a request for exception if the compliance unit otherwise qualifies under § 706.31.

Explanatory Questions and Answers on this matter are also being published by the Council.

The Council is publishing these materials on an interim final basis since many companies that are establishing their pay plans have a need to know and must be able to rely on the Council's new treatment of tandem exceptions. The Council has provided a 30-day comment period, since it is important to receive any public comments as soon as possible so that any changes may be made rapidly. However, companies may rely fully on these interim final changes to Parts 705, 706, and 707 and the Questions and Answers until these materials are modified.

Issued in Washington, D.C., December 13, 1979.

R. Robert Russell,

Director, Council on Wage and Price Stability.

Accordingly, amendments to parts 705, 706, and 707, Title 6 CFR are adopted on an interim basis to read as follows:

PART 705—NONINFLATIONARY PAY AND PRICE BEHAVIOR

1. In the appendix to Part 705, section 705B–9 is revised to read as follows:

§ 705B–9 Tandem Pay-Rate Changes. Pay-rate changes in an employee unit that have been linked regularly to pay-rate changes in another employee unit or group of employee units will be excepted if the leader is in compliance with or exempt from the pay standard and the pay-rate change of the follower unit maintains the historical relationship. This exception also may be applied when pay-rate changes in an employee unit have been linked regularly to a survey of pay-rate changes in an identified labor market. In order to establish such linkage, the parties must be able to demonstrate that the past pay-rate changes in the follower unit have been substantially equivalent over a period of years to pay-rate changes in the leader unit, group of units, or identified labor market. Employee units need

not be in the same company, industry, or geographical area to establish a relationship.

PART 706—SPECIAL PROCEDURAL RULES

2. Section 706.31, paragraphs (a) and (c), are revised by adding to paragraph (a) the words "other than the tandem exception under § 705B–9" after the words "§ 706.32", and by adding at the end of paragraph (c) the following sentence, "Moreover, a compliance unit that self-administers a tandem exception under § 705B–9 for an employee unit otherwise covered under § 706.31(a)(2) should notify the Council at the time of this self-administration." As revised, these paragraphs read as follows:

§ 706.31 Who should request approval.

(a) Any compliance unit or employee unit that intends to apply one or more of the exceptions specified in § 706.32 other than the tandem exception under § 705B–9 should request a determination from the Council that the exception is warranted, if:

(1) The request relates to the price standard and the compliance unit had, or is part of a company that had, net sales or revenues of $250 million or more in its last complete fiscal year prior to October 2, 1979; or

(2) The request relates to the pay standard, and (i) The affected employee unit consists of 100 or more employees in a compliance unit with (or that is part of a company with) 1,000 or more employees, or

(ii) The affected collective-bargaining agreement covers 1,000 or more employees, regardless of the number of employees in an individual company's employee units.

* * * * *

(c) A compliance unit not covered by paragraphs (a) or (b) of this section is expected to self-administer the exceptions in a manner consistent with the standards. A compliance unit should retain all data and documents that constitute the basis for the exception in a form suitable for review by the Council. Moreover, a compliance unit that self-administers a tandem exception under § 705B–9 for an employee unit otherwise covered under § 706.31(a)(2) should notify the Council in writing at the time of this self-administration.

* * * * *

PART 707—DATA REQUESTS

3. Section 707.31 is revised to read as follows:

§ 707.31 Tandem pay-rate exceptions.

When self-administering an exception to the pay standard based on tandem pay-rate changes (§ 705B–9), a compliance unit should promptly notify the Council of the following:

(1) The employee unit;

(2) The number of employees in the employee unit;

(3) The total pay-rate percentage change; and

(4) The leader unit (whether another employee unit, a group of employee units, or an identified labor market).

In addition, the compliance unit should prepare and have available for Council review on request documentation of the value and timing of past pay-rate increases of the leader and the follower units.

In addition to amending Parts 705, 706, and 707, the Council is publishing the following Questions and Answers relating to the voluntary pay standard:

II K. Tandem pay-rate exception.

Q1. How does the revised definition of tandem differ from the definition in effect during the first program year?

A. Under the revised definition of tandem, historical pay increases need not be equal in value and directly related in timing. In addition, the revised definition permits exceptions for longstanding relationships between pay-rate increases of different employee units or between increases of an employee unit and those of a group of employee units or an identified labor market.

Q2. What is meant by "substantially equivalent" in § 705B–9?

A. This term means that there exists a close relationship between the historical pay-rate increases, but there is no precise measure of closeness. If there has been a disruption in the historical relationship between pay movements, the compliance unit should be able to explain the transitory nature of the disruption or the change in the relationship.

Q3. Is "substantially equivalent" gauged in terms of percentage changes or absolute changes?

A. The pay-rate changes must be substantially equivalent *either* in percentage or in absolute terms.

Q4. What is meant by a labor-market survey?

A. A survey will qualify if it includes sufficient data to indicate prevailing pay rates in the identified labor market. Employee units known to be out of compliance must be excluded from such labor-market surveys.

Q5. May an employee unit that is not covered by a cost-of-living adjustment (COLA) clause be linked with an employee unit that is covered by a COLA clause?

A. Yes, if it meets the criteria in § 705B–9.

Q6. Is the tandem exception applicable to individual elements of pay as well as to total pay?

A. Yes, provided that the criteria set forth in § 705B–9 are met. However, if a tandem exception is applied to individual elements of pay, such as health or retirement plans, the base-period, as well as program-year, costs for these elements should be excluded from all calculations in determining compliance.

Q7. May a compliance unit self-administer the tandem exception?

A. Yes, if it meets the criteria in § 705B–9. However, under § 706.31(c) of the procedural rules, the compliance unit should notify the Council in writing when it self-administers the exception and it should retain all data and documents that constitute the basis for the exception in a form suitable for review by the Council.

[FR Doc. 79–38694 Filed 12–14–79; 8:45 am]
BILLING CODE 3175–01–M

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6 CFR Part 707

Data Requests

AGENCY: Council on Wage and Price Stability.

ACTION: Final rule.

SUMMARY: On October 19, 1979, the Council published Part 707, "Data Requests," as an Interim Final Rule (44 FR 60676) and solicited public comments on the rule and several related proposed forms. Part 707 consolidated data requests which had previously been specified in 6 CFR Parts 705 and 706, as well as in certain first-year Questions and Answers.

Part 707 has been revised in light of public comments on Part 707 and to conform to Questions and Answers issued by the Council and to changes in the tandem exception to the pay standard adopted today.

EFFECTIVE DATE: December 17, 1979.

ADDRESS: Questions concerning this Part should be addressed to the Office of General Counsel, Council on Wage and Price Stability, 600 17th Street, N.W., Washington, D.C. 20506.

FOR FURTHER INFORMATION CONTACT:
Pay: Diane J. Mazur, 456–7100.
Price: (Subparts A, B, and C):

Industries, Contact Person and Telephone Number

Metals, Machinery & Equipment, Eugene Roberts 456–7784.
Food, Agriculture & Trade, Stephen Hiemstra 456–7740.
Energy, Chemicals, Utilities & Transportation, John Keith 456–7747.
Construction & Building Materials, Joseph Lackey 456–7156.
Health, Insurance & Services, Arthur Corazzini 456–7730.
Price (Subpart D): Walter Leibowitz or David Wagner 456–7733.

SUPPLEMENTARY INFORMATION: Analysis of Comments and Changes.

Most of the comments received concerned the general subject of data requests or the proposed forms and did not contain specific suggestions regarding Part 707.

Most of the changes made here are designed to conform Part 707 to the Questions and Answers issued by the Council on November 21, 1979 (44 FR 67060) and to the changes in the tandem exception to the pay standard made today. Other changes are typographical or editorial corrections.

One commentator suggested that a compliance unit should be required to show seasonal data for only three, rather than five, years. The Council has not adopted this suggestion, since the present requirement does not impose an unreasonable burden on companies. Nor has the Council revised Part 707 in response to a request for more detailed guidance on how a company can demonstrate that sampling is infeasible. The Council believes that adequate guidance has already been provided through exceptions decisions released by the Council.

Part 707 still refers to various data-collection forms, Forms CO–1 (Price) and CO–1 (Pay) for reporting company organization have been approved and published in the **Federal Register**. The Council expects that the other forms will be approved shortly, and these forms also will be published in the **Federal Register**.

Issued in Washington, D.C., December 13, 1979.

R. Robert Russell,
Director, Council on Wage and Price Stability.

Accordingly, Part 707, Title 6 CFR, is revised to read as follows:

PART 707—DATA REQUESTS

Subpart A—Report on Company Organization and Statement of Assurance

Sec.
707.1 Company organization.
707.2 Statement of assurance of compliance by State and local government entities.

Subpart B—Periodic Data Reports

707.10 Pay and price data reports.

Subpart C—Data Submissions Supporting Variances From Intermediate Price and Margin Limitations

Sec.
707.20 Intermediate price limitations.
707.21 Intermediate profit limitations.
707.22 Intermediate percentage-gross-margin limitations.
707.23 Intermediate gross-margin limitations.

Subpart D—Data Submissions Supporting Exception Requests

707.30 General.
707.31 Tandem pay-rate exceptions.
707.32 Productivity-improving work-rule-change exceptions.
707.33 Acute-labor-shortage exceptions.
707.34 Undue-hardship and gross-inequity exceptions.
707.35 Inability-to-compute exceptions.
707.36 Uncontrollable-cost exceptions.
707.37 Uncontrollable-cost exceptions to a percentage-gross-margin standard.
707.38 Uncontrollable-cost exceptions to a gross-margin standard.

Authority: Council on Wage and Price Stability Act, Pub. L. 93–387 (August 14, 1974), as amended by Pub. L. 94–78 (August 9, 1975), Pub. L. 94–121 (October 5, 1977), and Pub. L. 96–10 (May 10, 1979), 12 U.S.C. 1904 note; E.O. 12092 (November 1, 1978), E.O. 12161 (September 28, 1979).

Subpart A—Report of Company Organization and Statement of Assurance

§ 707.1 Company organization.

Companies specified in § 706.21 should furnish to the Council:

(a) A completed Form CO–1 (Price); and/or

(b) A completed Form CO–1 (Pay) for each pay compliance unit, unless the compliance unit is part of a State or local government entity and elects to file under § 707.2.

§ 707.2 Statement of assurance of compliance by State and local government entities.

A state or local government entity as in § 706.23 that does not file under § 707.1(b) should furnish to the Council a statement of assurance from the head of the government entity that the entity intends to comply with the pay standard.

Subpart B—Periodic Data Reports

§ 707.10 Pay and price data reports.

Compliance units specified in § 706.22 should furnish to the Council:

(a) A completed Form PM–1, unless the compliance unit is a provider of insurance subject to § 705.48 or § 705.49 and has no non-insurance operations, a financial institution subject to § 705.50, or a utility subject to § 705.45 and has no non-utility operations; and/or

(b) A completed Form PAY–1, unless the compliance unit is part of a State or local government entity; or

(c) A completed Form PAY–2 if the compliance unit is part of a State or local government entity as specified in § 706.23.

Subpart C—Data Submissions Supporting Variances From Intermediate Price and Margin Limitations

§ 707.20 Intermediate price limitations.

A compliance unit that exceeds any of the intermediate price limitations in § 705.3(a) through (c) should prepare and/or furnish to the Council with its Form PM–1 the following:

(a) A demonstration that the increase in prices exceeding the intermediate limit(s) is justified because of:

(1) Seasonal variations in economic activity (including an empirical demonstration of the quarterly pattern of price changes over the five years before the first program year),

(2) Historical business practices, or

(3) Unusual business conditions; and

(b) Projected price changes for the second program year, demonstrating that increases in prices exceeding the intermediate limit(s) are consistent with adherence to the two-year price limitation by the end of the second program year.

§ 707.21 Intermediate profit limitations.

A compliance unit that exceeds any of the intermediate limits for the profit limitation in § 705.6(a)(1) should prepare and/or furnish to the Council with its Form PM–1 a demonstration that a profit margin in excess of the profit limitation is consistent with an explicit plan, based on reasonable projections of economic conditions, to achieve compliance with the profit limitation by the end of the second program year.

§ 707.22 Intermediate percentage-gross-margin limitations.

A compliance unit in the wholesale/retail trade industries that exceeds any of the intermediate percentage-gross-margin limitations in § 705.42(d) should prepare and/or furnish to the Council with its Form PM–1 the following:

(a) A demonstration that any increase in percentage gross margins in excess of the intermediate limit(s) is justified because of:

(1) Seasonal variations in economic activity (including an empirical demonstration of the quarterly pattern of change in gross margins over the five years before the first program year),

(2) Historical business practices, or

(3) Unusual business conditions; and

(b) Projected percentage-gross-margins demonstrating that pricing actions are consistent with adherence to the percentage-gross-margin standard by the end of the second program year.

§ 707.23 Intermediate gross-margin limitations.

A compliance unit subject to the gross-margin standard that exceeds any of the intermediate gross-margin limitations in § 705.43(d) or § 705.44(d) should prepare and/or furnish to the Council with its Form PM–1 the following:

(a) A demonstration that any increase in gross margins in excess of the intermediate limit(s) is justified because of:

(1) Seasonal variations in economic activity (including an empirical demonstration of the quarterly pattern of change in gross margins over the five years before the first program year),

(2) Historical business practices, or

(3) Unusual business conditions; and

(b) Projected gross margins demonstrating that pricing actions are consistent with adherence to the gross-margin standard by the end of the second program year.

Subpart D—Data Submissions Supporting Exception Requests

§ 707.30 General.

Each request for approval of an exception should include:

(a) The name and address of the compliance unit making the request, including the name(s), title(s), and phone number(s) of person(s) whom the Council may contact concerning the request, and the name and address of the company of which the unit is a part, if different from that of the compliance unit;

(b) The name(s), address(es), and phone number(s) of union representatives, if the request involves a collective-bargaining situation, or the name(s), address(es), and phone number(s) of relevant company officials if the request is made by an employee unit;

(c) A demonstration that the compliance unit or employee unit requesting the exception satisfies the criteria of § 706.31(a), or, if the request is submitted under § 706.31(b), a demonstration that there is good cause for the Council to entertain the request; and

(d) The particular provisions of the standards that are the subject of the request, a precise description of the exception request, and the pay and/or price action that the entity making the request proposes to take if the exception is granted.

§ 707.31 Tandem pay-rate exceptions.

When self-administering an exception to the pay standard based on tandem pay-rate changes (§ 705B–9), a compliance unit should promptly notify the Council of the following:

(a) The employee unit;

(b) The number of employees in the employee unit;

(c) The total pay-rate percentage change; and

(d) The leader unit (whether another employee unit, a group of employee units, or an identified labor market). In addition, the compliance unit should prepare and have available for Council review on request documentation of the value and timing of past pay-rate increases of the leader and the follower units.

§ 707.32 Productivity-improving work-rule-change exceptions.

For an exception to the pay standard based on pay-rate increases traded for productivity-improving work-rule changes (§ 705B–10), a compliance unit should submit:

(a) An explanation of the work-rule change(s);

(b) An analysis of how the cost reduction will be generated by the work-rule change(s);

(c) An estimate of the effect that the exception would have on the compliance unit's pay rates; and

(d) Documentation that the cost reduction generated by the work-rule change(s) will be equal to or greater than the excess of the pay increase over the pay standard.

§ 707.33 Acute-labor-shortage exceptions.

For an exception to the pay standard based on pay-rate changes needed because of acute labor shortages (§ 705B–11), a compliance unit should submit:

(a) Documentation that, for the particular job categories, the number of vacancies and/or the number of vacancies relative to the work force and the time or effort required to fill them have increased abnormally during the preceding quarter relative to the the two prior years;

(b) Documentation that pay rates for employees in those job categories have increased abnormally over the two prior years and that the requested pay rates for the shortage categories are comparable to pay rates in the relevant labor market;

(c) A statement that the applicant has sought the assistance of the local Employment Service Agency to obtain employees;

(d) Documentation of the proportion of the compliance unit's work force that would be affected; and

(e) An estimate of the effect that the exception would have on the compliance unit's pay rates.

§ 707.34 Undue-hardship and gross-inequity exceptions.

For an exception to the pay or price standard based on undue hardship or gross inequity (§ 705.6(b) or § 705B–12), a compliance unit should submit:

(a) A precise description of the hardship or inequity that would be created by application of the standard (including, with respect to hardship, a demonstration of the effect on the *company's*—as distinguished from the compliance unit's—financial viability);

(b) An explanation of how the requested exception would mitigate the hardship or inequity resulting from application of the standard; and

(c) If the request is for an exception to the pay standard, an estimate of the effect that the exception would have on the compliance unit's pay rates.

§ 707.35 Inability-to-compute exceptions.

For an exception to the price standard based on inability to compute a two-year price change (§ 705.6(a)), a compliance unit should demonstrate that sampling is infeasible due to inadequate data or that sampling is unduly onerous or costly.

§ 707.36 Uncontrollable-cost exceptions.

For an exception to the price standard based on uncontrollable cost increases (§ 705.6(a)), a compliance unit should:

(a) Demonstrate that the two-year rate of increase in costs per unit of output since the base quarter has exceeded the two-year price limitation and is expected to continue to do so by an amount that would result in a significant erosion of the profit margin of the compliance unit if it were held to the two-year price limitation;

(b) Demonstrate that the cost increases are substantially uncontrollable (this requires, at a minimum, quantification of the shares of total cost increases accounted for by each significant cost increase that is wholly and demonstrably uncontrollable); and

(c) Account for the degree to which such increases are offset by normal gains in the efficiency of using inputs (productivity).

§ 707.37 Uncontrollable-cost exceptions to a percentage-gross-margin standard.

For an exception to the percentage-gross-margin standard (§ 705.42) based on uncontrollable cost increases, a compliance unit should demonstrate that, since the base year, the ratio of total costs excluding those subtracted from revenues when computing gross margin, as defined in § 705.42(b)(1), to total revenues has risen at a rate in excess of the allowable percentage-gross-margin trend or zero, whichever is greater, and is expected to continue to do so by an amount that would result in a significant erosion of the profit margin of the compliance unit if it were held to the gross-margin standard. The compliance unit should also satisfy § 707.36 (b) and (c).

§ 707.38 Uncontrollable-cost exceptions to a gross-margin standard.

For an exception to a gross-margin standard (§ 705.43, or § 705.44, § 705.45) based on uncontrollable cost increases, a compliance unit should demonstrate that total costs excluding those subtracted from revenues when calculating gross margins, as defined in § 705.43(b)(1), § 705.44(b)(3), or § 705.45(b) have risen since the base quarter at an annual rate in excess of the sum of 6.5 percent and the annual rate of growth of physical volume and are expected to continue to do so by an amount that would result in a significant erosion of the profit margin of the compliance unit if it were held to the gross-margin standard. The compliance unit should also satisfy § 707.36 (b) and (c).

[FR Doc. 79–38696 Filed 12–14–79; 8:45 am]

BILLING CODE 3175–01–M

DEPARTMENT OF AGRICULTURE

Agricultural Marketing Service [1]

Federal Grain Inspection Service

7 CFR Part 68

United States Standards for Beans; Amendment

AGENCY: Federal Grain Inspection Service, USDA.

ACTION: Final rule.

SUMMARY: The definition of foreign material in the U.S. Standards for Beans is amended by deleting the words "cowpeas other than Blackeye types". The agency is taking this action in response to concern raised by the dry bean industry and in the interest of uniformity among standards promulgated under the Agricultural Marketing Act of 1946.

EFFECTIVE DATE: January 16, 1980.

[1] Including matters within the responsibility of the Federal Grain Inspection Service.

FOR FURTHER INFORMATION CONTACT: James L. Driscoll, Director, Standardization Division, Federal Grain Inspection Service, U.S. Department of Agriculture, Richards-Gebaur AFB, Building 221, Grandview, Missouri 64030. Telephone (816) 348–2861.

SUPPLEMENTARY INFORMATION: The Agricultural Marketing Act of 1946, as amended, provides for the issuance by the Secretary of Agriculture of standards with respect to the quality, condition, quantity, grade, and packaging of agricultural commodities. It further provides for their voluntary use by producers, merchandisers, processors, and consumers in the marketing of these commodities and payment of a fee to cover the cost of the service.

Pursuant to sections 203 and 205 of the Agricultural Marketing Act of 1946, 60 Stat. 1087 and 1090 (7 U.S.C. 1622 and 1624) a notice was published, according to the administrative procedure provisions of section 553 of Title 5, United States Code, in the **Federal Register** (44 FR 28806) on May 17, 1979, concerning an amendment to the U.S. Standards for Beans.

Interested persons were given 60 days to submit written comments, suggestions, or objections regarding the proposed rulemaking. Approximately 250 reprints of the proposed rulemaking showing the proposed amendment to the standards were distributed to interested trade and government organizations. Two comments were received which supported the change in the standards and suggested additional clarification. Both comments recommended that the definition of beans, § 68.101, be further amended to specifically include cowpeas. This action would clarify the change in the definition of foreign material. These recommedations are being prepared for proposed rulemaking. The amendment to the definition of foreign material, § 68.109, is amended in the interest of uniformity and clarity.

Amendment to the Definition of Foreign Material

Foreign material in grains and other commodities is defined as material other than the grains or commodity in which it is found. This includes earthy material, glass, metal, plant stalks, pods, cobs, weed seeds, and unlike grains or commodities. An exception to this definition of foreign material exists in the U.S. Standards for Beans. The definition of foreign material in beans, in addition to the above, includes cowpeas other than Blackeye types. These non-Blackeye cowpeas should not be singled out as being foreign material. Cowpeas are edible. A sample of non-Blackeye cowpeas is inspected under the class Miscellaneous Beans. For the sake of uniformity, this amendment deletes the words "cowpeas other than Blackeye types" from the definition of foreign material in the U.S. Standards for Beans. With this change, cowpeas which differ in color, size, or shape from the beans in which they are found would function as beans of a contrasting class. Cowpeas which are similar in color, size, and shape to the beans in which they are found would function as classes that blend.

Section 68.109 of the United States Standards for Beans is revised to read as follows:

Subpart B—United States Standards for Beans [1]

Terms Defined

§ 68.109 Foreign Material.

Foreign material shall be stones, dirt, weed seeds, cereal grains, lentils, peas, and all matter other than beans.

Note.—This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from James L. Driscoll, Director, Standardization Division, FGIS, USDA, Richards-Gebaur AFB, Building 221, Grandview, Missouri 64030, telephone (816) 348–2861.

(Sec. 203, 205, Pub. L. 79–733, 60 Stat. 1087, 1090 (7 U.S.C. 1622, 1624))

Done at Washington, D.C. on December 12, 1979.

D. R. Galliart,

Acting Administrator.

[FR Doc. 79–38583 Filed 12–14–79; 8:45 am]

BILLING CODE 3410–02–M

7 CFR Part 68

Amendment to the United States Standards for Brown Rice for Processing and Milled Rice

AGENCY: Federal Grain Inspection Service, USDA.

ACTION: Final rule.

SUMMARY: The term "Paddy kernels" in the United States Standards for Brown Rice for Processing and Milled Rice is redefined for purpose of clarity. The new definitions specify the amount of hull which must be adhering to rice

[1] Compliance with the provisions of these standards does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Laws.

kernels before they are considered paddy kernels.

EFFECTIVE DATE: January 16, 1980.

FOR FURTHER INFORMATION CONTACT: James L. Driscoll, Director, Standardization Division, Federal Grain Inspection Service, U.S. Department of Agriculture, Richards-Gebaur AFB, Building 221, Grandview, Missouri 64030. Telephone (816) 348–2861.

SUPPLEMENTARY INFORMATION: The Agricultural Marketing Act of 1946, as amended, provides for the issuance by the Secretary of Agriculture of standards with respect to the quality, condition, quantity, grade, and packaging of agricultural commodities. It further provides for their voluntary use by producers, merchandisers, and processors in the marketing of these commodities upon payment of a fee to cover the cost of service.

Pursuant to sections 203 and 205 of the Agricultural Marketing Act of 1946, 60 Stat. 1087 and 1090 (7 U.S.C. 1622 and 1624), a notice was published according to the administrative procedures provisions of Section 553 of Title 5, United States Code, in the **Federal Register** (44 FR 28806) on May 17, 1979. Interested persons were given 60 days to submit written comments, suggestions, or objections regarding the proposed rule. Approximately 875 reprints of the proposed rule showing the proposed amendment to the standards were distributed to interested trade and government organizations. Two comments were received which supported the changes in the standards and suggested additional clarification. These recommendations are included in the amended definitions. No objections to the amendments were received.

Change in the Definition of Paddy Kernels

The present definitions for paddy kernels under the United States Standards for Brown Rice for Processing and the United States Standards for Milled Rice do not clearly define the amount of hull adhering to a kernel of rice before it is considered paddy kernel. The lack of clarity in the definition of paddy kernels in the standards for rice has caused problems in the uniform interpretation and application of the factor. This clarification is added to avoid confusion in the definition of paddy kernels, particularly in grading parboiled brown rice for processing and parboiled milled rice.

In the processing of parboiled rice, rough rice is steeped in water or steam heated. During parboiling, the starchy endosperm of the rice kernel gelatinizes and the bran layers of the rice kernel are "cooked" into the gelatinized kernel. After this heat treatment, the rice is dried and the hull removed by shelling. Due to the nature of the parboiling process, certain kernels may also have an area of the hull "cooked" into the kernel so that the hull is not easily removed through shelling.

The amended definitions conform to interpretations of paddy kernels maintained by the Board of Appeals and Review and do not establish a new or revised substantive rule. the Board of Appeals and Review has applied a more specific interpretation of the definition as to the amount of hull remaining on a rice kernel before it is considered a paddy kernel. For milled rice this interpretation can be found in item 5.25 of the Rice Inspection Handbook, HB 918–11. The Department finds that these definitions are clearer and more descriptive, and should therefore be adopted for use in the official standards. These clarifying amendments are in the interest of assuring uniformity of application. Section 68.252(j) of the United States Standards for Brown Rice for Processing and § 68.302(j) of the United States Standards for Milled Rice are amended to read as follows:

Subpart D—United States Standards for Brown Rice for Processing[1]

Terms Defined

* * * * *

§ 68.252 Definition of other terms.

* * * * *

(j) *Paddy Kernels.* Whole or broken unhulled kernels and whole or broken kernels of rice having a portion or portions of the hull remaining which cover one-half (½) or more of the whole or broken kernel.

* * * * *

Subpart E—United States Standards for Milled Rice [1]

* * * * *

§ 68.302 Definition of other terms.

* * * * *

(j) *Paddy Kernels.* Whole or broken unhulled kernels of rice; whole or broken kernels of brown rice, and whole or broken kernels of milled rice having a portion or portions of the hull remaining which cover one-eighth (⅛) or more of the whole or broken kernel.

* * * * *

1 Compliance with the provisions of these standards does not excuse failure to comply with the provisions of the Federal Food, Drug, and Cosmetic Act, or other Federal Laws.

This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from James L. Driscoll, Director, Standardization Division, USDA FGIS, Richards–Gebaur AFB, Building 221, Grandview, Missouri 64030, telephone (816) 348–2861.

(Sec. 203, 205, Pub. L. 79–733, 60 Stat. 1087, 1090 (7 U.S.C. 1622, 1624))

Done in Washington, D.C. on: December 12, 1979.

D. R. Galliart,

Acting Administrator.

[FR Doc. 79–38559 Filed 12–14–79; 8:45 am]

BILLING CODE 3410–02–M

Agricultural Marketing Service

7 CFR Parts 905, 906, 907, 908, 909, 910, 911, 912, 913, 915, 916, 917, 918, 919, 921, 922, 923, 924, 926, 927, 928, 929, 930, 931, 932, 944, 945, 946, 947, 948, 950, 953, 958, 959, 965, 966, 967, 971, 979

Marketing Agreements and Orders; Fruits and Vegetables

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final rule.

SUMMARY: This rule excepts "Budget of Expenses and Rate of Assessment" and "Handling" regulations, which are effective for a year or less, from publication in the *Code of Federal Regulations* and removes obsolete material from the Code. The regulations will continue to be published in the **Federal Register.**

EFFECTIVE DATE: December 31, 1979.

FOR FURTHER INFORMATION CONTACT: **D. S. KURYLOSKI (202) 447–6393.**

SUPPLEMENTARY INFORMATION: The Agricultural Marketing Service will continue publishing "Budget of Expenses and Rate of Assessment" and "Handling" regulations for fruits and vegetables in the **Federal Register,** but those issued pursuant to the CFR parts listed above will no longer be included in the *Code of Federal Regulations* (CFR) which is primarily a codification of permanent regulation. The regulations are seasonal, and often in effect for less than a year; therefore, the CFR cannot be depended on to contain a regulation of current effect. Further, the Agricultural Marketing Service has a special procedure for notifying those specifically affected by these

regulations. The Secretary of Agriculture notifies the program administrative committee, which then notifies the affected growers and handlers. Publication in the CFR is not necessary to inform those people most affected by these regulations.

Not printing the "Budget of Expenses and Rate of Assessment" and "Handling" regulations in the CFR will eliminate possible confusion, and save substantially on printing costs without inconvenience to the public. Further, it will prevent the future random accumulation of out-of-date provisions now existing in the CFR.

The seasonal provisions will be carried in the *List of Sections Affected* (LSA) which is published monthly, and is also caried in the back of each CFR volume. In addition, a note will direct the user to the LSA.

1. The following subpart headings and sections are removed and a note is added at the end of each affected Part to read as follows:

Note.—After January 1, 1979, "Budget of Expenses and Rate of Assessment" regulations (e.g. sections .200 through .299) and "Handling" regulations (e.g. sections .300–.399) which are in effect for a year or less, will not be carried in the *Code of Federal Regulations.* For **Federal Register** citations affecting these regulations, see the "List of Sections Affected" in this volume.

PART 905—ORANGES, GRAPEFRUIT, TANGERINES, AND TANGELOS GROWN IN FLORIDA

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 905.217 [Removed]

Subpart—Handling Regulation [Removed]

§ 905.301 [Removed]

§ 905.302 [Removed]

PART 906—ORANGES AND GRAPEFRUIT GROWN IN LOWER RIO GRANDE VALLEY IN TEXAS

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 906.218 [Removed]

Subpart—Handling Regulation [Removed]

§ 906.361 [Removed]

PART 907—NAVEL ORANGES GROWN IN ARIZONA AND DESIGNATED PART OF CALIFORNIA

Subpart—Expenses and Rate of Assessment [Removed]

§ 907.215 [Removed]

Subpart—Handling Regulation [Reserved] [Removed]

PART 908—VALENCIA ORANGES GROWN IN ARIZONA AND DESIGNATED PART OF CALIFORNIA

Subpart—Expenses and Rate of Assessment [Removed]

§ 908.217 [Removed]

Subpart— Handling Regulation [Removed]

§ 908.881 [Removed]

PART 909—GRAPEFRUIT GROWN IN ARIZONA; IMPERIAL COUNTY, CALIF., AND IN THAT PART OF RIVERSIDE COUNTY, CALIF., SITUATED SOUTH AND EAST OF WHITE WATER, CALIF.

Subpart—Expenses, Rate of Assessment, and Carryover of Unexpended funds [Removed]

§ 909.217 [Removed]

Subpart—Handling Regulation [Removed]

§ 909.342 [Removed]

PART 910—LEMONS GROWN IN CALIFORNIA AND ARIZONA

Subpart—Expenses and Rate of Assessment [Removed]

§ 910.216 [Removed]

Subpart—Handling Regulation [Removed]

§ 910.463 [Removed]

PART 911—LIMES GROWN IN FLORIDA

Subpart—Budget of Expenses, Rate of Assessment and Carryover of Unexpended Funds [Removed]

§ 911.217 [Removed]

Subpart—Handling Regulation [Removed]

§ 911.340 [Removed]

PART 912—GRAPEFRUIT GROWN IN THE INDIAN RIVER DISTRICT IN FLORIDA

Subpart—Expenses and Rate of Assessment [Removed]

§ 912.218 [Removed]

PART 913—GRAPEFRUIT GROWN IN THE INTERIOR DISTRICT IN FLORIDA

Subpart—Expenses and Rate of Assessment [Removed]

§ 913.214 [Removed]

PART 915—AVOCADOS GROWN IN SOUTH FLORIDA

Subpart—Budget of Expenses, Rate of Assessment and Carryover of Unexpended Funds [Removed]

§ 915.217 [Removed]

§ 915.319 [Removed]

§ 915.320 [Removed]

PART 916—NECTARINES GROWN IN CALIFORNIA

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 916.217 [Removed]

§ 916.351 [Removed]

§ 916.352 [Removed]

PART 917—FRESH PEARS, PLUMS AND PEACHES GROWN IN CALIFORNIA

Subpart—Expenses, Rates of Assessment, and Carryover of Unexpended Funds [Removed]

§ 917.217 [Removed]

§ 917.218 [Removed]

§ 917.219 [Removed]

§ 917.220 [Removed]

§ 917.221 [Removed]

§ 917.222 [Removed]

§ 917.419 [Removed]

§ 917.439 [Removed]

§ 917.440 [Removed]

§ 917.441 [Removed]

§ 917.443 [Removed]

§ 917.444 [Removed]

§ 917.445 [Removed]

§ 917.446 [Removed]

§ 917.447 [Removed]

§ 917.448 [Removed]

PART 918—FRESH PEACHES GROWN IN GEORGIA

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 918.216 [Removed]

§ 918.320 [Removed]

PART 919—PEACHES GROWN IN MESA COUNTY, COLO.

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 919.217 [Removed]

§ 919.319 [Removed]

PART 921—FRESH PEACHES GROWN IN DESIGNATED COUNTIES IN WASHINGTON

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 921.217 [Removed]

Subpart—Container Regulations [Removed]

§ 921.315 [Removed]

PART 922—APRICOTS GROWN IN DESIGNATED COUNTIES IN WASHINGTON

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 922.218 [Removed]
§ 922.318 [Removed]

PART 923—SWEET CHERRIES GROWN IN DESIGNATED COUNTIES IN WASHINGTON

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 923.218 [Removed]

Subpart—Container Regulations [Removed]

§ 923.316 [Removed]

§ 923.317 [Removed]

PART 924—FRESH PRUNES GROWN IN DESIGNATED COUNTIES IN WASHINGTON AND IN UMATILLA COUNTY, OREG.

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 924.218 [Removed]

Subpart—Container Regulations [Removed]

§ 924.316 [Removed]

PART 926—TOKAY GRAPES GROWN IN SAN JOAQUIN COUNTY, CALIF.

Subpart—Budget of Expenses, Rate of Assessment and Carryover of Unexpended Funds [Removed]

§ 926.218 [Removed]

§ 926.315 [Removed]

PART 927—BEURRE D'ANJOU, BEURRE BOSC, WINTER NELIS, DOYENNE DU COMICE, BEURRE EASTER, AND BEURRE CLAIRGEAU VARIETIES OF PEARS GROWN IN OREGON, WASHINGTON, AND CALIFORNIA

Subpart—Expenses, Rate of Assessment, and Carryover of Unexpended Funds [Removed]

§ 927.218 [Removed]

Subpart—Container Regulations [Removed]

§ 927.316 [Removed]

§ 927.317 [Removed]

PART 928—PAPAYAS GROWN IN HAWAII

Subpart—Budget of Expenses, Rate of Assessment, and Carryover of Unexpended Funds [Removed]

§ 928.208 [Removed]

Subpart—Handling Regulation [Removed]

§ 928.308 [Removed]

PART 929—CRANBERRIES GROWN IN STATES OF MASSACHUSETTS, RHODE ISLAND, CONNECTICUT, NEW JERSEY, WISCONSIN, MICHIGAN, MINNESOTA, OREGON, WASHINGTON, AND LONG ISLAND IN THE STATE OF NEW YORK

Subpart—Expenses and Rate of Assessment [Removed]

§ 929.219 [Removed]

Subpart—Handler Regulations [Removed]

§ 929.304 [Removed]

PART 930—CHERRIES GROWN IN MICHIGAN, NEW YORK, WISCONSIN, PENNSYLVANIA, OHIO, VIRGINIA, WEST VIRGINIA, AND MARYLAND

§ 930.158 [Removed]

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 930.208 [Removed]

PART 931—FRESH BARTLETT PEARS GROWN IN OREGON AND WASHINGTON

Subpart—Budget of Expenses; Rate of Assessment; and Carryover of Unexpended Funds [Removed]

§ 931.213 [Removed]

Handling regulation (removed).

§ 931.312 [Removed]

PART 932—OLIVES GROWN IN CALIFORNIA

Subpart—Expenses and Rate of Assessment [Removed]

§ 932.213 [Removed]

2. The following sections are redesignated:

§ 921.203 **Reserve fund. [Redesignated]**

a. Section 921.203 is redesignated as § 921.142.

§ 922.205 **Reserve fund. [Redesignated]**

b. Section 922.205 is redesignated as § 922.142.

§ 923.202 **Reserve fund. [Redesignated]**

c. Section 923.202 is redesignated as § 923.142.

§ 924.203 **Reserve fund. [Redesignated]**

d. Section 924.203 is redesignated as § 924.142.

§ 927.202 **Reserve fund. [Redesignated]**

e. Section 927.202 is redesignated as § 927.142.

§ 929.204 **Reserve. [Redesignated]**

f. Section 929.204 is redesignated as § 929.142.

§ 932.203 **Reserve. [Redesignated]**

g. Section 932.203 is redesignated as § 932.140.

3. The following subpart headings and sections are removed:

PART 944—FRUITS, IMPORT REGULATIONS

§ 944.17 [Removed]

§ 944.18 [Removed]

§ 944.101 [Removed]

§ 944.102 [Removed]

§ 944.205 [Removed]

§ 944.308 [Removed]

PART 945—IRISH POTATOES GROWN IN CERTAIN DESIGNATED COUNTIES IN IDAHO, AND MALHEUR COUNTY, OREG.

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 945.230 [Removed]

§ 945.231 [Removed]

Subpart—Handling Regulation [Removed]

§ 945.337 [Removed]

PART 946—IRISH POTATOES GROWN IN WASHINGTON

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 946.230 [Removed]

§ 946.231 [Removed]

Subpart—Handling Regulation [Removed]

§ 946.333 [Removed]

PART 947—IRISH POTATOES GROWN IN MODOC AND SISKIYOU COUNTIES, CALIF., AND IN ALL COUNTIES IN OREGON, EXCEPT MALHEUR COUNTY

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 947.221 [Removed]

§ 947.229 [Removed]

§ 947.230 [Removed]

§ 947.231 [Removed]

Subpart—Handling Regulation [Removed]

§ 947.337 [Removed]

PART 948—IRISH POTATOES GROWN IN COLORADO

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 948.262 [Removed]

§ 948.275 [Removed]

§ 948.277 [Removed]

§ 948.278 [Removed]

§ 948.279 [Removed]

§ 948.280 [Removed]

Subpart—Handling Regulation [Removed]

§ 948.377 [Removed]

§ 948.378 [Removed]

§ 948.379 [Removed]

§ 948.380 [Removed]

PART 950—IRISH POTATOES GROWN IN MAINE

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 950.213 [Removed]

PART 953—IRISH POTATOES GROWN IN SOUTHEASTERN STATES

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 953.214 [Removed]

§ 953.215 [Removed]

Subpart—Handling Regulation [Removed]

§ 953.318 [Removed]

PART 958—ONIONS GROWN IN CERTAIN DESIGNATED COUNTIES IN IDAHO, AND MALHEUR COUNTY, OREG.

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 958.221 [Removed]

§ 958.222 [Removed]

Subpart—Handling Regulation [Removed]

§ 958.322 [Removed]

§ 958.323 [Removed]

PART 959—ONIONS GROWN IN SOUTH TEXAS

Subpart—Expenses and Rate of Assessment [Removed]

§ 959.217 [Removed]

§ 959.218 [Removed]

Subpart—Handling Regulation [Removed]

§ 959.317 [Removed]

§ 959.318 [Removed]

PART 965—TOMATOES GROWN IN THE LOWER RIO GRANDE VALLEY IN TEXAS

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 965.213 [Removed]

PART 966—TOMATOES GROWN IN FLORIDA

Subpart—Expenses and Rate of Assessment [Removed]

§ 966.214 [Removed]

§ 966.215 [Removed]

Subpart—Handling Regulation [Removed]

§ 966.316 [Removed]

§ 966.317 [Removed]

PART 967—CELERY GROWN IN FLORIDA

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 967.213 [Removed]

§ 967.214 [Removed]

Subpart—Handling Regulation [Removed]

§ 967.313 [Removed]

§ 967.314 [Removed]

PART 971—LETTUCE GROWN IN THE LOWER RIO GRANDE VALLEY IN SOUTH TEXAS

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 971.217 [Removed]

§ 971.218 [Removed]

Subpart—Handling Regulation [Removed]

§ 971.318 [Removed]

§ 971.319 [Removed]

PART 979—MELONS GROWN IN SOUTH TEXAS

Subpart—Budget of Expenses and Rate of Assessment [Removed]

§ 979.201 [Removed]

Subpart—Handling Regulation [Removed]

§ 979.301 [Removed]

4. The following sections are redesignated and revised in order to remove them from the deleted subparts.

§ 946.219 Operating reserve. [Redesignated]

a. Section 946.219 is redesignated as § 946.142.

§ 950.201 Fiscal period. [Redesignated]

b. Section 950.201 is redesignated as § 950.115.

(Secs. 1–19, 48 Stat. 31, as amended; 7 U.S.C. 601–674).

Dated: December 12, 1979 to become effective December 31, 1979.

D. S. Kuryloski,

Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc. 79-38482 Filed 12-14-79; 8:45 am]

BILLING CODE 3410-02-M

FEDERAL DEPOSIT INSURANCE CORPORATION

12 CFR Parts 303 and 304

Delegation of Authority to the Director of the Division of Bank Supervision

AGENCY: Federal Deposit Insurance Corporation.

ACTION: Final rule.

SUMMARY: Under § 346.19 a foreign bank which has an insured branch is required to pledge assets for the benefit of the FDIC in the event the FDIC is obligated to pay the insured deposits of an insured branch. These rules amend Parts 303 and 304 of FDIC's regulations. The amendment to Part 303 provides notice of the delegation of authority by the FDIC's Board of Directors to the Director of the Division of Bank Supervision and thence to the Regional Directors to enter into deposit agreements on behalf of the FDIC and to the General Counsel to modify provisions of the model deposit agreement as necessary to fulfill the purposes of FDIC regulation § 346.19.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Margaret M. Olsen, Attorney, Federal Deposit Insurance Corporation, 550 17th Street N.W., Washington, D.C. 20429, (202–389–4433).

SUPPLEMENTARY INFORMATION: The amendment to Part 304 provides notice of the adoption of a model deposit agreement for use in connection with the pledge of asset requirements of § 346.19. The model agreement sets out the provisions which must be included in any deposit agreement. Additional provisions not inconsistent with these provisions may be included by the bank or the depository.

The amendments to Parts 303 and 304 relate to the procedures and practices of the FDIC and thus the provisions of the Administrative Procedure Act regarding notice and a delayed effective date (5 U.S.C. § 553) are not applicable. The amendments will be effective upon publication in the **Federal Register.**

Accordingly, FDIC's Board of Directors under the authority of § 9 of the Federal Deposit Insurance Act and § 13 of the International Banking Act of 1978 (12 U.S.C. 1819 and 3108) amends Parts 303 and 304 of FDIC's regulations as set out below:

PART 303—APPLICATIONS, REQUESTS, AND SUBMITTALS

1. Section 303.13 is amended by adding a new paragraph (j) to read as follows:

§ 303.13 Other delegations of authority.

* * * * *

(j) *Deposit agreement for pledge of assets by foreign banks.* The Board of Directors has delegated to the Director of the Division of Bank Supervision, or, where confirmed in writing by the Director of the Division of Bank Supervision, to the Regional Director of the Region in which the insured branch is located, the authority on behalf of the Board of Directors to enter into deposit agreements with foreign banks and depositories in connection with the pledge of asset requirements of FDIC regulation § 346.19. The Board of Directors has also delegated to the General Counsel, or the General Counsel's designee, the authority to modify the terms of the model deposit agreement (FDIC Form 6300/02) as described in § 304.3(bb) of FDIC's rules and regulations.

PART 304—FORMS, INSTRUCTIONS, AND REPORTS

2. Section 304.3 is amended by adding a new paragraph (bb) to read as follows:

§ 304.3 Forms and instructions.

* * * * *

(bb) Form 6300/02. *Model deposit agreement.* Form 6300/02 is a model agreement which governs the pledge of assets by a foreign bank having an insured branch as required under § 346.19 of FDIC's regulations. This form sets out the provisions which must be included in any agreement among the foreign bank, the depository and the FDIC. Copies of the model deposit agreement may be obtained from the FDIC Regional Office for the region wherein the insured branch is located.

By Order of the Board of Directors, December 10, 1979.

Federal Deposit Insurance Corporation.

Hoyle L. Robinson,

Executive Secretary.

[FR Doc. 79-38558 Filed 12-14-79; 8:45 am]

BILLING CODE 6714-01-M

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

14 CFR Part 39

[Docket No. 19069; Amdt. 39-3640]

Airworthiness Directives; Partenavia Costruzioni Aeronautiche S.p.A. Models P68 and P68B Airplanes

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment adopts a new Airworthiness Directive (AD) which requires an inspection of the stabilator balance weight attachment channel on Partenavia Model P68 and P68B airplanes for cracks, immediate installation of a channel stiffener if cracks are found, and repetitive inspections of the channel until the stiffener is installed. This AD is necessary to prevent loss of the stabilator balance weight which could result in loss of control of the airplane during flight.

DATES: Effective January 2, 1980. Compliance schedule—as prescribed in body of AD.

ADDRESSES: The applicable service bulletin may be obtained from: Partenavia Costruzioni Aeronautiche S.p.A., Via Cava, Casoria-Napoli, Italy.

Copies of the service bulletin and drawing are contained in the Rules Docket, Room 916, 800 Independence Avenue, S.W., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT: D. C. Jacobsen, Chief, Aircraft Certification Staff, AEU–100, Europe, Africa and Middle East Region, Federal Aviation Administration, c/o American Embassy, Brussels, Belgium, Telephone: 513.38.30, or C. Christie, Chief, Technical Standards Branch, AWS–110, Federal Aviation Administration, 800 Independence Avenue, S.W., Washington, D.C. 20591, Telephone 202–426–8374.

SUPPLEMENTARY INFORMATION: The FAA has received reports that cracks have been found in the stabilator balance weight attachment channel, P/N 68–3.3017–3, on certain Partenavia Model P68 and P68B airplanes. Failure of the attachment channel will result in loss of the stabilator balance weight and possible loss of airplane control during flight.

Since this condition is likely to exist or develop on other airplanes of the same type design, an airworthiness directive is being issued which requires inspection of the stabilator balance weight attachment channel, P/N 68–3.3017–3, for cracks, the immediate installation of a stiffener if cracks are found, and repetitive inspection of P/N 68–3.3017–3 until the stiffener is installed on Partenavia Model P68 and P68B airplanes.

Since a situation exists that requires the immediate adoption of this regulation, it is found that notice and public procedure hereon are impracticable and good cause exists for making this amendment effective in less than 30 days.

Adoption of the Amendment

Accordingly, pursuant to the authority delegated to me by the Administrator, § 39.13 of Part 39 of the Federal Aviation Regulations (14 CFR 39.13) is amended by adding the following new Airworthiness Directive:

Partenavia Costruzioni Aeronautiche S.p.A. Applies to Model P68 and P68B airplanes, Serial Numbers 1 through 88, except Serial Numbers 03 and 04, certificated in all categories, which do not have stabilator balance weight attachment channel stiffeners, P/N R–0009–2, installed.

Compliance is required as indicated unless already accomplished.

To prevent loss of the stabilator balance weight accomplish the following:

(a) Within 25 hours time in service after the effective date of this AD for those airplanes which have more than 500 hours total time in service, inspect the stabilator balance weight attachment channel, P/N 68–3.3017–3, for cracks, using the dye penetrant method or an equivalent method approved by an FAA maintenance inspector.

(b) If no cracks are found during the inspection required by paragraph (a) of this AD—

(i) Return the aircraft to service, and

(ii) Repeat the inspection in paragraph (a) of this AD at intervals not to exceed 25 hours time in service from the last inspection.

(c) If cracks are found during any inspection required by paragraph (a) or (b) of this AD, before further flight, except that aircraft may be flown in accordance with FAR 21.197 to a base where the repair can be performed, install channel stiffeners, P/N R–0009–2, in accordance with section titled "Instruction" in Partenavia Service Bulletin No. 36, revision 1, dated March 24, 1978, (hereinafter referred to as the service bulletin) or an FAA-approved equivalent, and Partenavia Drawing No. R–0009, titled "Stabilator Balance Weight Attachment Channel Modification Scheme" dated March 31, 1978, (hereinafter referred to as the drawing), or an FAA-approved equivalent.

(d) Within 100 hours time in service after the effective date of this AD, without regard to total time in service, install 2 channel stiffeners, P/N R–0009–2, in accordance with the service bulletin and drawing, or an FAA-approved equivalent.

(e) The inspections required by paragraphs (a) or (b) of this AD may be discontinued when the stiffeners, P/N R–0009–2, are installed.

(f) An equivalent method of compliance with the modification required by paragraph (c) or (d) of this AD must be approved by the Chief, Aircraft Certification Staff, AEU–100, Federal Aviation Administration, Europe, Africa and Middle East Region, c/o American Embassy, Brussels, Belgium.

This amendment becomes effective January 2, 1980.

(Secs. 313(a), 601, and 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, and 1423); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c); 14 CFR 11.89)).

Note.—The Federal Aviation Administration has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). A copy of the final evaluation prepared for this action is contained in the regulatory docket. A copy of it may be obtained by writing to C. Christie, Chief, Technical Standards Branch, AWS–110, Federal Aviation Administration, 800 Independence Avenue, S.W., Washington, D.C. 20591.

Issued in Washington, D.C. on December 10, 1979.

M. C. Beard,

Director of Airworthiness.

[FR Doc. 79-38515 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

14 CFR Part 39

[Docket No. 79-NE-19, Amdt. 39-3637]

Airworthiness Directives; Hamilton Standard 24 PF Propellers

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment adopts a new Airworthiness Directive (AD) which establishes a 3,000 hour life on P/N 738410–1 bell cranks and P/N 738405–1 pivots used in the Hamilton Standard 24 PF propeller. Cracks on these bell cranks and pivots have been found during propeller testing at the manufacturer. Analysis of the test data has revealed the need to establish a life limit on these parts.

DATES: Effective date—December 24, 1979. Compliance schedule—as prescribed in the body of AD.

ADDRESSES: The Service Bulletin noted in this AD may be obtained from Hamilton Standard, Division of United Technologies Corporation, Windsor Locks, Connecticut 06096.

FOR FURTHER INFORMATION CONTACT: Ralph S. Hawkins, Propulsion Section (ANE–214), Engineering and Manufacturing Branch, Flight Standards Division, Federal Aviation

Administration, New England Region, 12 New England Executive Park, Burlington, Massachusetts 01803; telephone: (617) 273–7348.

SUPPLEMENTARY INFORMATION: Cracks on bell crank P/N 738410–1 and pivot P/N 738405–1 have been found during propeller testing at the manufacturer. Analysis of the test data has revealed the need to establish a life limit on these parts. Failure of either the bell crank or pivot would affect propeller blade movement into the feather position and out of the reverse position.

Since a situation exists that requires the immediate adoption of this regulation, it is found that notice and public procedure hereon are impracticable, and good cause exists for making this amendment effective in less than 30 days.

Adoption of the Amendment

Accordingly, pursuant to the authority delegated to me by the Administrator, § 39.13 of Part 39 of the Federal Aviation Regulations (14 CFR 39.13) is amended by adding the following new AD:

Hamilton Standard: Applies to all Hamilton Standard 24PF propellers, P/N 764995–1, 764996–2, 764996–3, 767600–2, and 767600–3, incorporating P/N 738410–1 bell cranks and P/N 738405–1 pivots.

Compliance required as indicated.

To preclude fracture of the P/N 738410–1 bell crank and P/N 738405–1 pivot due to cyclic loading, replace the bell cranks and the pivots in accordance with the following schedule:

1. Bell cranks and pivots with less than 2,600 hours time in service as of the effective date of this AD shall be removed from service prior to the accumulation of 3,000 hours time in service.

2. Bell cranks and pivots with 2,600 hours or more time in service as of the effective date of this AD shall be removed from service prior to the accumulation of 400 additional hours time in service.

This AD establishes a 3,000 hour life limit for bell crank P/N 738410–1 and pivot P/N 738405–1.

Note.—Hamilton Standard Service Bulletin HS Code 24PF, No. 13, "Propellers—Extension Dome Assembly—Replacement of Bell Crank and Bell Crank Pivots," dated August 15, 1979, pertains to this subject.

Upon request of the operator, an FAA maintenance inspector, subject to prior approval of the Chief, Engineering and Manufacturing Branch, New England Region, may adjust the replacement interval specified in this AD to permit compliance at an established inspection period of the operator if the request contains substantiating data to justify the increase for that operator. This amendment becomes effective December 24, 1979.

(Secs. 313(a), 601, and 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, and 1423); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c); 14 CFR 11.89.))

Note.—The Federal Aviation Administration has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). A copy of the final evaluation prepared for this document is contained in the docket.

Issued in Burlington, Massachusetts, on December 7, 1979.

Robert E. Whittington,

Director, New England Region.

[FR Doc. 79–38649 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 39

[Docket No. 79–EA–53; Amdt. 39–3639]

Airworthiness Directives; Piper Aircraft

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment issues a new airworthiness directive applicable to Piper PA–23–250 "F" type airplanes which requires a repetitive inspection of the left and right stabilator and replacement or repair where necessary. It appears that loose rivets and rib flange cracks have been discovered within the stabilators which could lead to a cracking of the stabilator skin.

EFFECTIVE DATE: December 24, 1979. Compliance is required as set forth in the AD.

ADDRESSES: Piper Service Bulletins may be acquired from the manufacturer at Piper Aircraft Corporation, 820 East Bald Eagle Street, Lock Haven, Pennsylvania 17745.

FOR FURTHER INFORMATION CONTACT: C. Kallis, Airframe Section, AEA–212, Engineering and Manufacturing Branch, Federal Building, J.F.K. International Airport, Jamaica, New York 11430, Tel. 212–995–2875.

SUPPLEMENTARY INFORMATION: There has been a report of loose rivets in the bottom stabilator skins on Piper PA–23–250 "F" Model airplanes. The bottom skins are presently riveted with blind AD 3 rivets. The top skins are hard-driven from both ends, and no problem exists with these rivets. The loose rivets at the bottom skins were found on stabilators which were fabricated by a combination of bonding and blind rivets. In their investigation Piper determined that bonding with bare alloys gave worse results than the alloys with surfaces that were anodized and that the cherry "Max" blind rivets did not clamp-up as tight as the cherry "locks" rivets.

Piper also discovered that besides the rivets becoming loose, rib-flange cracks were developing at the ribs. These conditions could lead to relative motion between the frame-structure and the stabilator skins, creating further loosening of additional rivets and creating additional rib cracks plus stabilator skin cracks.

In view of the air safety problem, notice and public procedure hereon are impractical, and the amendment may be made effective in less than 30 days.

Adoption of the Amendment

Accordingly, and pursuant to the authority delegated to me by the Administrator, § 39.13 of the Federal Aviation Regulations (14 CFR 39.13) is amended, by issuing a new airworthiness directive, as follows:

Piper: Applies to Piper PA–23–250 Model airplanes, Serial Nos. 27–7654001 thru 27–7954044 certificated in all categories, which incorporate the following stabilators:

Serial Nos.:

0336–L thru 0340–L
0401–L thru 0607–L
0337–R thru 0341–R
0402–R thru 0609–R

To prevent possible loosening and relative motion between the stabilator bottom skins and the stabilator frame-structure, accomplish the following:

a. Within the next 50 hours in service after the effective date of this AD, unless already accomplished within the past 50 hours and at intervals not to exceed 100 hours in service thereafter, inspect and repair or alter the left and right stabilator in accordance with the "Instructions" section on page 3 of 3 in Piper Service Bulletin No. 606 dated July 12, 1979, or approved equivalent.

b. When the stabilator assemblies are altered in accordance with paragraph B.4. of the "Instructions" section or equivalent, compliance with this AD is no longer required.

c. Equivalent inspections, repairs or alterations must be approved by the Chief, Engineering and Manufacturing Branch, FAA, Eastern Region.

d. Upon submission of substantiating data through an FAA Maintenance Inspector, the compliance time specified in this AD may be adjusted by the Chief, Engineering and Manufacturing Branch, FAA, Eastern Region.

Effective Date: This amendment is effective December 24, 1979.

(Secs. 313(a), 601, and 603, Federal Aviation Act of 1958, as amended, 49 U.S.C. 1354(a), 1421, and 1423; Sec. 6(c), Department of Transportation Act, 49 U.S.C. 1655(c); and 14 CFR 11.89)

Issued in Jamaica, New York, on December 7, 1979.

Murray E. Smith,

Director, Eastern Region.

[FR Doc. 79–38557 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 71

[Airspace Docket No. 79–GL–16]

Alteration of Airways and Reporting Points

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment realigns V–9, V–63, V–100, V–127, V–171, V–218 and V–227 airways and moves a reporting point as a result of the relocation of the Rockford, Ill., VORTAC, an air navigation aid. Construction of an electric transmission line in the vicinity of the VORTAC at such a critical location that the VORTAC became useless as a navigation aid has required the relocation of the VORTAC and the airspace associated with it.

EFFECTIVE DATE: January 24, 1980.

FOR FURTHER INFORMATION CONTACT: Mr. Everett L. McKisson, Airspace Regulations Branch (AAT–230), Airspace and Air Traffic Rules Division, Air Traffic Service, Federal Aviation Administration, 800 Independence Avenue, SW., Washington, D.C. 20591; telephone: (202) 426–3715.

SUPPLEMENTARY INFORMATION: On November 8, 1979, the FAA proposed to amend Part 71 of the Federal Aviation Regulations (14 CFR Part 71) to realign airways and move the reporting point associated with the relocation of the Rockford VORTAC (44 FR 64842). Interested persons were invited to participate in the rulemaking proceeding by submitting written comments on the proposal to the FAA. The comment received expressed no objection. Section 71.123 of Part 71 was republished in the Federal Register on January 2, 1979, (44 FR 307). This amendment is the same as proposed in the notice.

The Rule

This amendment to Part 71 of the Federal Aviation Regulations (14 CFR Part 71) makes airway alterations that are required by the relocation of the Rockford VORTAC approximately two miles southeast of the present location. The definition of V–9, V–63, V–127, V–171, V–218 airways and the Rockford, Ill., reporting point in part 71 does not require any change to be moved to the new location of the VORTAC at lat. 42°13'32"N., long. 89°11'57"W. In the definition of V–100 the 082° radial of Rockford is changed to 080° to overlie the present position of the FARMM intersection. In the definition of V–227 the Rockford 179° radial of Rockford is changed to 180° to overlie the present position of the TRIDE intersection.

Adoption of the Amendment

Accordingly, pursuant to the authority delegated to me by the Administrator, § 71.123 of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (44 FR 307) and amended (44 FR 57084) is further amended, effective 0901 G.M.T., January 24, 1980, as follows:

Under V–100, "INT Rockford 082°", is deleted and "INT Rockford 080°" is substituted therefor.

Under V–227, "Rockford, Ill., 179°" is deleted and "Rockford, Ill., 180°" is substituted therefor.

(Secs. 307(a) and 313(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a) and 1354(a)); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); and 14 CFR 11.69.)

Note.—The FAA has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatory evaluation.

Issued in Washington, D.C., on December 12, 1979.

B. Keith Potts,

Acting Chief, Airspace and Air Traffic Rules Division.

[FR Doc. 79–38552 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 97

[Docket No. 19836; Amdt. No. 1153]

Standard Instrument Approach Procedures; Miscellaneous Amendments

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Final rule.

SUMMARY: This amendment establishes, amends, suspends, or revokes Standard Instrument Approach Procedures (SIAPs) for operations at certain airports. These regulatory actions are needed because of the adoption of new or revised criteria, or because of changes occurring in the National Airspace System, such as the commissioning of new navigational facilities, addition of new obstacles, or changes in air traffic requirements. These changes are designed to provide safe and efficient use of the navigable airspace and to promote safe flight operations under instrument flight rules at the affected airports.

DATES: An effective date for each SIAP is specified in the amendatory provisions.

ADDRESSES: Availability of matters incorporated by reference in the amendment is as follows:

For Examination—

1. FAA Rules Docket, FAA Headquarters Building, 800 Independence Avenue, SW., Washington, D.C. 20591;

2. The FAA Regional Office of the region in which the affected airport is located; or

3. The Flight Inspection Field Office which originated the SIAP.

For Purchase—

Individual SIAP copies may be obtained from:

1. FAA Public Information Center (APA–430), FAA Headquarters Building, 800 Independence Avenue, SW., Washington, D.C. 20591; or

2. The FAA Regional Office of the region in which the affected airport is located.

By Subscription—

Copies of all SIAPs, mailed once every 2 weeks, may be ordered from Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402. The annual subscription price is $135.00.

FOR FURTHER INFORMATION CONTACT: Gary W. Wirt, Flight Procedures and Airspace Branch (AFO–730), Aircraft Programs Division, Office of Flight Operations, Federal Aviation Administration, 800 Independence Avenue, SW., Washington, D.C. 20591; telephone (202) 426–8277.

SUPPLEMENTARY INFORMATION: This amendment to Part 97 of the Federal Aviation Regulations (14 CFR Part 97) prescribes new, amended, suspended, or revoked Standard Instrument Approach Procedures (SIAPs). The complete regulatory description of each SIAP is contained in official FAA form documents which are incorporated by reference in this amendment under 5 U.S.C. 552(a), 1 CFR Part 51, and § 97.20 of the Federal Aviation Regulations (FARs). The applicable FAA Forms are identified as FAA Forms 8260–3, 8260–4 and 8260–5. Materials incorporated by

reference are available for examination or purchase as stated above.

The large number of SIAPs, their complex nature, and the need for a special format make their verbatim publication in the **Federal Register** expensive and impractical. Further, airmen do not use the regulatory text of the SIAPs but refer to their graphic depiction on charts printed by publishers of aeronautical materials. Thus, the advantages of incorporation by reference are realized and publication of the complete description of each SIAP contained in FAA form document is unnecessary. The provisions of this amendment state the affected CFR (and FAR) sections, with the types and effective dates of the SIAPs. This amendment also identifies the airport, its location, the procedure identification and the amendment number.

This amendment to Part 97 is effective on the date of publication and contains separate SIAPs which have compliance dates stated as effective dates based on related changes in the National Airspace System or the application of new or revised criteria. Some SIAP amendments may have been previously issued by the FAA in a National Flight Data Center (FDC) Notice to Airmen (NOTAM) as an emergency action of immediate flight safety relating directly to published aeronautical charts. The circumstances which created the need for some SIAP amendments may require making them effective in less than 30 days. For the remaining SIAPs, an effective date at least 30 days after publication is provided.

Further, the SIAPs contained in this amendment are based on the criteria contained in the U.S. Standard for Terminal Instrument Approach Procedures (TERPs). In developing these SIAPs, the TERPs criteria were applied to the conditions existing or anticipated at the affected airports. Because of the close and immediate relationship between these SIAPs and safety in air commerce, I find that notice and public procedure before adopting these SIAPs is unnecessary, impracticable, or contrary to the public interest and, where applicable, that good cause exists for making some SIAPs effective in less than 30 days.

Adoption of the Amendment

Accordingly, pursuant to the authority delegated to me, Part 97 of the Federal Aviation Regulations (14 CFR Part 97) is amended by establishing, amending, suspending, or revoking Standard Instrument Approach Procedures, effective at 0901 G.m.t. on the dates specified, as follows:

1. By amending § 97.23 VOR-VOR/DME SIAPs identified as follows:

** * * Effective March 20, 1980*

Glenwood, MN—Glenwood Muni, VOR Rwy 33, Original
Hutchinson, MN—Hutchinson Muni, VOR/DME Rwy 32, Original

** * * Effective January 24, 1980*

Brewton, AL—Brewton Muni, VOR Rwy 30, Amdt. 4
Los Banos, CA—Los Banos Muni, VOR/DME Rwy 14, Amdt. 1
Los Banos, CA—Los Banos Muni, VOR/DME Rwy 32, Amdt. 3
Crestview, FL—Bob Sikes, VOR-A (TAC), Amdt. 7
Rome, GA—Richard B. Russell, VOR/DME Rwy 18, Amdt. 2
Rome, GA—Richard B. Russell, VOR/DME Rwy 36, Amdt. 3
Galesburg, IL—Galesburg Muni, VOR Rwy 2, Original
Galesburg, IL—Galesburg Muni, VOR Rwy 20, Original
Galesburg, IL—Galesburg Muni, VOR Rwy 20, Amdt. 10, cancelled
Galesburg, IL—Galesburg Muni, VOR Rwy 2, Amdt. 9, cancelled
Monmouth, IL—Monmouth Municipal, VOR-A, Original
Monmouth, IL—Monmouth Municipal, VOR-A, Amdt. 4, cancelled
Clinton, IA—Clinton Muni, VOR Rwy 3, Amdt. 7
Clinton, IA—Clinton Muni, VOR/DME Rwy 21, Amdt. 2
Fort Dodge, IA—Fort Dodge Muni, VOR Rwy 12, Amdt. 11
Fort Dodge, IA—Fort Dodge Muni, VOR/DME Rwy 30, Amdt. 7
Waterloo, IA—Waterloo Muni, VOR Rwy 6, Original
Waterloo, IA—Waterloo Muni, VOR Rwy 12, Amdt. 7
Waterloo, IA—Waterloo Muni, VOR Rwy 18, Amdt. 5
Waterloo, IA—Waterloo Muni, VOR Rwy 24, Amdt. 13
Waterloo, IA—Waterloo Muni, VOR Rwy 36, Amdt. 14
Waterloo, IA—Waterloo Muni, VOR/DME Rwy 30, Amdt. 12
Waverly, IA—Waverly Muni, VOR/DME-A, Original
Beloit, KS—Beloit Muni, VOR/DME Rwy 17, Original
Garden City, KS—Garden City Muni, VOR Rwy 17, Amdt. 9
Garden City, KS—Garden City Muni, VOR Rwy 35, Amdt. 6
Garden City, KS—Garden City Muni, VOR/DME Rwy 17, Original
Garden City, KS—Garden City Muni, VOR/DME Rwy 35, Original
Hays, KS—Hays Muni, VOR Rwy 16, Amdt. 1
Hays, KS—Hays Muni, VOR Rwy 34, Amdt. 3
Hays, KS—Hays Muni, VOR/DME Rwy 16, Original
Hays, KS—Hays Muni, VOR/DME Rwy 34, Original
Manhattan, KS—Manhattan Muni, VOR Rwy 3, Amdt. 12
Manhattan, KS—Manhattan Muni, VOR-F, Amdt. 1
Manhattan, KS—Manhattan Muni., VOR-H, Amdt. 10
Alexandria, LA—Esler Regional, VOR Rwy 14, Amdt. 11
Alexandria, LA—Esler Regional, VOR Rwy 32, Amdt. 12
Pineville, LA—Pineville Municipal, VOR-A, Amdt. 2
Millinocket, ME—Millinocket Muni., VOR-A, Amdt. 7
Frederick, MD—Frederick Muni., VOR Rwy 23, Amdt. 6
Anoke, MN—Gateway North Industrial, VOR Rwy 34, Amdt. 1
Baudette, MN—Baudette Intl, VOR Rwy 30, Amdt. 4
International Falls, MN—Falls Intl, VOR Rwy 13, Amdt. 10
International Falls, MN—Falls Intl, VOR Rwy 31, Amdt. 13
International Falls, MN—Falls Intl, VOR/DME or TACAN Rwy 31, Amdt. 2
Butler, MO—Butler Memorial, VOR-A, Amdt. 3
Nevada, MO—Nevada Muni., VOR/DME-A, Original
Crete, NE—Crete Muni., VOR/DME Rwy 17, Original
Crete, NE—Crete Muni., VOR/DME Rwy 35, Original
Robbinsville, NJ—Trenton-Robbinsville, VOR Rwy 29, Amdt. 7
Salisbury, NC—Rowan County, VOR Rwy 2, Original
Enid, OK—Enid Woodring Muni., VOR Rwy 17, Amdt. 6
Enid, OK—Enid Woodring Muni., VOR Rwy 35, Amdt. 7
Hershey, PA—Hershey Air Park, VOR/DME-A, Original
Honesdale, PA—Cherry Ridge, VOR-A, Amdt. 2
Rapid City, SD—Rapid City Regional, VOR/DME or TACAN Rwy 14, Amdt. 10
Rapid City, SD—Rapid City Regional, VOR or TACAN Rwy 32, Amdt. 19
Parsons, TN—Scott Field, VOR/DME-A, Original
Dallas, TX—Addison, VOR Rwy 15, Amdt. 14, cancelled
Dallas, TX—Addison, VOR Rwy 33, Amdt. 14, cancelled
Dallas, TX—Addison, VOR-A, Amdt. 3, cancelled
Dallas, TX—Dallas Love Field, VOR Rwy 18, Amdt. 18, cancelled
Dallas, TX—Dallas Love Field, VOR Rwy 36, Amdt. 10, cancelled
Rockwall, TX—Rockwall Muni., VOR/DME Rwy 16, Amdt. 1
Rhinelander, WI—Rhinelander-Oneida County, VOR Rwy 27, Original
Rhinelander, WI—Rhinelander-Oneida County, VOR/DME Rwy 27, Original

** * * Effective November 29, 1979*

Bloomington, IN—Monroe County, VOR Rwy 6, Amdt. 13
Bloomington, IN—Monroe County, VOR Rwy 17, Amdt. 8
North Lima, OH—Youngstown Elser Metro, VOR-A, Amdt. 1

2. By amending § 97.25 SDF-LOC-LDA SIAPs identified as follows:

** * * Effective January 24, 1980*

Waterloo, IA—Waterloo Muni., LOC BC Rwy 30, Amdt. 6
Alexandria, LA—Esler Regional, LOC BC Rwy 8, Amdt. 7
International Falls, MN—Falls Intl, LOC BC Rwy 13, Amdt. 5
Belmar Farmingdale, NJ—Monmouth County, SDF Rwy 14, Original
Fayetteville, NC—Fayetteville Muni/Grannis Field, LOC/DME BC Rwy 21, Amdt. 1
Oklahoma City, OK—Will Rogers World, LOC BC Rwy 17L, Amdt 1
Oklahoma City, OK—Will Rogers World, LOC BC Rwy 35L, Amdt 5
Rapid City, SD—Rapid City Regional, LOC/DME BC Rwy 14, Amdt, 8
Dallas, TX—Dallas Love Field, LOC BC Rwy 31R, Amdt. 24
Richland, WA—Richland, LOC Rwy 19, Amdt. 1

** * * Effective December 27, 1979*

Unalakleet, AK—Unalakleet, LOC Rwy 14, Original
Garden City, KS—Garden City Muni., LOC/DME Rwy 35, Original
Bar Harbor, ME—Hancock County-Bar Harbor, LOC Rwy 22, Amdt. 3
Spokane, WA—Spokane Intl, LOC Rwy 3, Amdt. 3

3. By amending § 97.27 NDB/ADF SIAPs identified as follows:

** * * Effective March 20, 1980*

Shell Lake, WI—Shell Lake Muni., NDB Rwy 31, Original

** * * Effective January 24, 1980*

Crossett, AR—Crossett Muni., NDB Rwy 23, Amdt. 4
Washington, D.C.—Dulles Intl, NDB Rwy 1R, Amdt. 12
Rome, GA—Richard B. Russell, NDB-A, Amdt. 1
Canton, IL—Ingersoll, NDB Rwy 36, Original
Canton, IL—Ingersoll, NDB Rwy 36, Amdt. 3, cancelled
Clinton IA—Clinton Muni., NDB Rwy 3, Amdt. 1
Clinton IA—Clinton Muni., NDB Rwy 14, Amdt. 1
Crawfordsville, IN—Crawfordsville Muni., NDB Rwy 4, Amdt. 3
Des Moines, IA—Des Moines Muni., NDB Rwy 30R, Amdt. 14
Fort Dodge, IA—Fort Dodge Muni., NDB Rwy 6, Amdt. 4
Pocahontas, IA—Pocahontas Muni., NDB Rwy 11, Amdt. 2
Waterloo, IA—Waterloo Muni., NDB Rwy 12, Amdt. 6
Independence, KS—Independence Muni., NDB Rwy 17, Original
Manhattan, KS—Manhattan Muni., NDB-A, Amdt. 14
Murray, KY—Murray-Calloway County, NDB Rwy 23, Amdt. 2
Alexandria, LA—Esler Regional, NDB Rwy 26, Amdt. 6
Winnfield, LA—David G. Joyce, NDB Rwy 8, Amdt. 1
Millinocket, ME—Millinocket Muni., NDB-B, Amdt. 7
Rogers City, MI—Presque Isle County, NDB Rwy 27, Original
International Falls, MN—Falls Intl, NDB Rwy 31, Amdt. 6
Nevada, MO—Nevada Muni., NDB Rwy 20, Amdt. 1
Falls City, NE—Brenner Field, NDB-A, Original
Salisbury, NC—Rowan County, NDB-A, Amdt. 5
Smithville, TN—Smithville Muni., NDB Rwy 24, Original
Richland, WA—Richland, NDB Rwy 19, Amdt. 1
Platteville, WI—Grant County, NDB Rwy 25, Amdt. 4
Waukesha, WI—Waukesha County, NDB Rwy 10, Amdt. 7

** * * Effective December 27, 1979*

Bar Harbor, ME—Hancock County-Bar Harbor, NDB Rwy 22, Original
Edenton, NC—Edenton Muni., NDB Rwy 19, Amdt. 3
Salem, OR—McNary Field, NDB Rwy 31, Amdt. 15

** * * Effective November 29, 1979*

Superior, WI—Richard I. Bong, NDB Rwy 31, Original, cancelled

4. By amending § 97.29 ILS-MLS SIAPs identified as follows:

** * * Effective January 24, 1980*

Pago Pago, Tutuila Is. American Samoa, Pago Pago International, ILS/DME Rwy 5, Amdt. 6
Washington, D.C.—Dulles Intl, ILS Rwy 1R, Amdt. 16
Atlanta, GA—The William B. Hartsfield, Atlanta Intl, ILS Rwy 8, Amdt. 52
Galesburg, IL—Galesburg Muni., ILS Rwy 2, Amdt. 2
Des Moines, IA—Des Moines Muni., ILS Rwy 12L, Amdt. 3
Des Moines, IA—Des Moines Muni., ILS Rwy 30R, Amdt. 15
Fort Dodge, IA—Fort Dodge Muni., ILS Rwy 6, Amdt. 3
Waterloo, IA—Waterloo Muni., ILS Rwy 12, Amdt. 4
Manhattan, KS—Manhattan Municipal, ILS Rwy 3, Amdt. 1
Alexandria, LA—Esler Regional, ILS Rwy 26, Amdt. 10
International Falls, MN—Falls Intl, ILS Rwy 31, Amdt. 6
Oklahoma City, OK—Will Rogers World, ILS Rwy 17R, Amdt. 5
Oklahoma City, OK—Will Rogers World, ILS Rwy 35R, Amdt. 1
Rapid City, SD—Rapid City Regional, ILS Rwy 32, Amdt. 10

** * * Effective December 27, 1979*

Orlando, FL—Orlando International, ILS Rwy 18R, Original
Salem, OR—McNary Field, ILS Rwy 31, Amdt. 23

5. By amending § 97.31 RADAR SIAPs identified as follows:

** * * Effective January 24, 1980*

Anchorage, AK—Anchorage Intl, RADAR-2, Original
Des Moines, IA—Des Moines Muni., RADAR-1, Amdt. 13

6. By amending § 97.33 RNAV SIAPs identified as follows:

** * * Effective January 24, 1980*

Clinton, IA—Clinton Muni., RNAV Rwy 21, Amdt. 4
Des Moines, IA—Des Moines Muni., RNAV Rwy 12L, Amdt. 3
Fort Dodge, IA—Fort Dodge Muni., RNAV Rwy 6, Amdt. 3
Fort Dodge, IA—Fort Dodge Muni., RNAV Rwy 24, Amdt. 3
Waterloo, IA—Waterloo Muni., RNAV Rwy 6, Amdt. 3
Waverly, IA—Waverly Muni., RNAV Rwy 10, Original
Hays, KS—Hays Muni., RNAV Rwy 16, Amdt. 2
Nevada, MO—Nevada Muni., RNAV Rwy 20, Original
Oklahoma City, OK—Clarence E. Page Muni., RNAV Rwy 17L, Original
Oklahoma City, OK—Clarence E. Page Muni., RNAV Rwy 35R, Original
Charleston, SC—Johns Island, RNAV Rwy 9, Amdt. 1
Platteville, WI—Grant County, RNAV Rwy 25, Amdt. 2
Waukesha, WI—Waukesha County, RNAV Rwy 10, Amdt. 4

(Secs. 307, 313(a), 601, and 1110, Federal Aviation Act of 1958 (49 U.S.C. 1348, 1354(a), 1421, and 1510); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); and 14 CFR 11.49(b)(3).)

Note.—The FAA has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatory evaluation.

Issued in Washington, D.C. on December 7, 1979.

James M. Vines,

Chief, Aircraft Programs Division.

Note.—The incorporation by reference in the preceding document was approved by the Director of the Federal Register on May 12, 1969.

[FR Doc. 79-38302 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

FEDERAL TRADE COMMISSION

16 CFR Part 460

Trade Regulation Rules; Labeling and Advertising of Home Insulation

AGENCY: Federal Trade Commission.

ACTION: Change in the effective date of the rule.

SUMMARY: On August 31, 1979, the Commission promulgated its trade regulation rule on labeling and advertising of home insulation (44 FR 50218). The Commission announced in that notice that the effective date of the rule would be November 30, 1979.

On November 2, 1979, the Commission announced its determination that its continuing efforts to resolve possible difficulties concerning compliance with the representative-thickness-testing provisions of the rule necessitated a delay of the effective date until December 31, 1979 (44 FR 64402 November 7, 1979).

On November 16, 1979, the Congress approved a joint resolution providing interim funding for the Commission through March 15, 1980, pending completion of action on authorization and appropriation legislation. This resolution was signed into law by the President on November 20, 1979, as Pub. L. 96–123. It contains a limitation on the Commission funding specifying that no trade regulation rule promulgated under Section 18 of the Federal Trade Commission Act after August 30, 1979, could become effective during the period covered by the resolution unless authorizing legislation has first been enacted into law.

Because, as noted, the Home Insulation rule was promulgated on August 31, it is subject to this restriction. In view of the uncertain duration of this restriction, it is presently impossible to state what the earliest permissible effective date for the rule will be. The Commission wishes, however, to provide as much certainty as possible for those affected by the rule, so that they may plan for compliance on an informed basis. Accordingly, it has determined that the rule will not become effective before March 16, 1980, in any event. A new effective date will be announced by the Commission with reasonable advance notice for those with compliance obligations.

EFFECTIVE DATE: December 17, 1979

FOR FURTHER INFORMATION CONTACT:
Paul Petruccelli, Bureau of Consumer Protection, 202–724–1508.

By direction of the Commission dated December 5, 1979.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38447 Filed 12-14-79; 8:45 am]

BILLING CODE 6750-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Social Security Administration

20 CFR Part 404

Old-Age, Disability, Dependents' and Survivors' Insurance Benefits; Period of Disability; Correction

AGENCY: Social Security Administration, HEW.

ACTION: Correction of Final rules.

SUMMARY: On June 15, 1979, we published final rules for entitlement to old-age, disability, dependents', and survivors' insurance benefits and to a period of disability in the **Federal Register** (44 FR 34479). Since that time we have noted that § 404.321(a) contains a misstatement about the beginning of a period of disability and that § 404.340(e) contains two incorrect cross references. Accordingly, we are correcting these two provisions.

FOR FURTHER INFORMATION CONTACT:
Mrs. Vera J. Schlosser, Legal Assistant, Office of Regulations, Social Security Administration, 6401 Security Boulevard, Baltimore, Maryland 21235, telephone 301–594–7332.

SUPPLEMENTARY INFORMATION:

§404.321 [Amended]

The first sentence of § 404.321(a) formerly read as follows: "Your period of disability begins at the start of the first calendar quarter in which you were both disabled and insured for disability." That is not wholly accurate. Unless an individual is insured on the day his or her disability begins, that person's period of disability cannot begin until the first day of the first calendar quarter after the person's disability began in which he or she is insured. Therefore, we are correcting § 404.321(a) to read as follows: "Your period of disability begins on the day your disability begins if you are insured for disability on that day. If you are not insured for disability on that day, your period of disability will begin on the first day of the first calendar quarter after your disability began in which you are insured for disability."

§ 403.340 [Amended]

The last sentence of § 404.340(e) formerly read as follows. "Sections 404.358 and 404.359 describe when a child is ' in your care.'" However, the sections that describe when a child is "in your care" are § 404.348 and § 404.349. Therefore, we are substituting "Sections 404.348 and 404.349" for "Sections 404.358 and 404.359".

Dated: December 6, 1979.

Robert F. Sermier,

Acting Deputy Assistant Secretary for Management Analysis and Systems.

[FR Doc. 79-38563 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-07-M

DEPARTMENT OF TRANSPORTATION

Federal Highway Administration

23 CFR Part 713

Disposal of Uneconomic Remnants—Credit to Federal Funds

AGENCY: Federal Highway Administration (FHWA), DOT.

ACTION: Amendment to final rule.

SUMMARY: This amendment revises FHWA regulations to require a credit to Federal funds at the time of the disposal of an uneconomic remnant of real property. This amendment is required by Attachment N of OMB Circular A–102 dated August 24, 1977.

EFFECTIVE DATE: February 4, 1980.

FOR FURTHER INFORMATION CONTACT:
Mr. Gerald L. Kennedy, Office of Right-of-Way, 202–426–0142; or S. Reid Alsop, Office of the Chief Counsel, 202–426–0800, Federal Highway Administration, 400 Seventh Street, SW., Washington, D.C. 20590.

SUPPLEMENTARY INFORMATION: Existing regulations concerning the disposal of uneconomic remnants of real property appear as section 713.308(b) of Title 23, Code of Federal Regulations, and codify material contained in Volume 7, Chapter 4, Section 2, of the Federal-Aid Highway Program Manual. (The Federal-Aid Highway Program Manual is available for inspection and copying as prescribed in 49 CFR Part 7, Appendix D.)

On August 24, 1977, the Office of Management and Budget (OMB) issued revised Circular A–102. Attachment N of this circular requires a credit to Federal funds upon the disposal of certain real property acquired with Federal participation. In order to comply with this requirement, FHWA is amending section 713.308(b) to require a credit to Federal funds upon the disposal of an uneconomic remnant of real property.

This amendment is being issued in final form without prior opportunity for public notice and comment because it simply brings FHWA regulations into conformance with the requirements of OMB Circular A–102. Issuance of this amendment will have no economic or other relevant consequences beyond those of the action previously taken by OMB. Accordingly, no separate regulatory evaluation had been prepared for this amendment.

In consideration of the foregoing, Part 713, Subpart C of Chapter I, Title 23, Code of Federal Regulations, is amended by revising section 713.308(b) to read as follows:

§ 713.308 Uneconomic remnants.

(a) * * *

(b) When the uneconomic remnant is not incorporated within the approved right-of-way limits, no FHWA approval to dispose of it is required. Upon disposal of such remnant, a credit to Federal funds is required in accordance with the provisions of § 713.307 of this part.

(23 U.S.C. § 315; 23 CFR 1.32; 42 U.S.C. § 4651(9); 49 CFR 1.48(b); OMB Circular A–102, Attachment N dated Aug. 24, 1977)

Note.—The Federal Highway Administration has determined that this document does not contain a significant regulation according to the criteria established by the Department of Transportation pursuant to Executive Order 12044.

Issued on: December 6, 1979.

John S. Hassell, Jr.,

Deputy Administrator.

[FR Doc. 79-38343 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-22-M

DEPARTMENT OF THE TREASURY

Internal Revenue Service

26 CFR Part 1

[T.D. 7659]

Income Tax; Taxable Years Beginning After December 31, 1953; Capital Loss Carryovers for Regulated Investment Companies

AGENCY: Internal Revenue Service, Treasury.

ACTION: Final regulations.

SUMMARY: This document provides final regulations relating to the allowable period to which a regulated investment company must carry forward a net capital loss. Changes to the applicable tax law were made by the Tax Reform Act of 1976. The regulations provide the public with the guidance needed to comply with these changes.

DATES: The amendment pertaining to the extension of the capital loss carryover period for regulated investment companies is effective for taxable years ending after December 31, 1969. The amendment pertaining to the term "capital gain net income" is effective for taxable years beginning after December 31, 1976.

FOR FURTHER INFORMATION CONTACT:
Kent J. Schreiner of the Legislation and Regulations Division, Office of the Chief Counsel, Internal Revenue Service, 1111 Constitution Ave., N.W., Washington, D.C. 20224 (Attention: CC: LR:T) (202/566–3803).

SUPPLEMENTARY INFORMATION:

Background

On July 6, 1979, the **Federal Register** published proposed amendments to the Income Tax Regulations (26 CFR Part 1) under section 1212 of the Internal Revenue Code of 1954 (44 FR 39476). These amendments were proposed to conform the regulations to sections 1403 and 1901 (b) (33) (O) of the Tax Reform Act of 1976 (90 Stat. 1733, 1802). No comments were received with respect to the proposed amendments, and no public hearing was requested or held. The proposed amendments are adopted by this Treasury decision without change.

Explanation

The Tax Reform Act of 1976 amends section 1212 (a) of the Internal Revenue Code by increasing the 5-year carryover period allowed for net capital losses sustained by corporations to 8 years for regulated investment companies, as defined in section 851. The amendments adopted by this Treasury decision make it clear that regulated investment companies have a maximum of 9 years in which to deduct their capital losses. This specified 9-year period must be reduced under certain prescribed conditions.

The Tax Reform Act substituted the term "capital gain net income" for the term "net capital gain". The proposed amendments conform the regulations under section 1212 to this change in terminology.

The final regulations adopted by this Treasury decision impose no new reporting or recordkeeping requirements. The principal effect of the final regulations is to conform existing regulations under section 1212 of the Code to changes made by the Tax Reform Act of 1976. Evaluation of the effectiveness of these regulations after issuance will be based upon comments received from offices within Treasury and the Internal Revenue Service, other governmental agencies, and the public.

Drafting Information

The principal author of this regulation is Kent J. Schreiner of the Legislation and Regulations Division of the Office of Chief Counsel, Internal Revenue Service. However, personnel from other offices of the Internal Revenue Service and Treasury Department participated in developing the regulation, both on matters of substance and style.

Adoption of amendments to the regulations

Accordingly, the amendments to 26 CFR Part 1 published as a notice of proposed rulemaking in the **Federal Register** for July 6, 1979 (44 FR 39476), are hereby adopted as proposed.

This Treasury decision is issued under the authority contained in section 7805 of the Internal Revenue Code of 1954 (68A Stat. 917; 26 U.S.C. 7805).

Jerome Kurtz,

Commissioner of Internal Revenue.

Approved: December 7, 1979.

Donald C. Lubick,

Assistant Secretary of the Treasury.

PART 1—INCOME TAX; TAXABLE YEARS BEGINNING AFTER DECEMBER 31, 1953

The amendments to 26 CFR Part 1 are as follows:

§ 1.1212 [Deleted]

Paragraph 1. Section 1.1212 and the historical note are deleted.

§ 1.1212–1 [Amended]

Par. 2. Paragraph (a) of § 1.1212–1 is amended by striking out "net capital gain(s)" each place it appears in subparagraphs (2)(i) and (3) (ii) and (iii) and inserting in lieu thereof "capital gain net income (net capital gain(s) for taxable years beginning before January 1, 1977)", and by adding subdivision (*g*) to subparagraph (3)(iii). The added provision reads as follows:

§ 1.1212–1 Capital loss carryovers and carrybacks.

(a) *Corporations; other taxpayers for taxable years beginning before January 1, 1964.* * * *

(3) *Regular net capital loss sustained by a corporation for taxable years beginning after December 31, 1969.* * * *

(iii) *Special rules.* * * *

(*g*) A regulated investment company (as defined in section 851) sustaining a net capital loss shall carry over that loss to each of the 8 taxable years succeeding the loss year. However, the 8-year period prescribed in the preceding sentence shall be reduced (but not to less than 5 years) by the sum of (*1*) the number of taxable years to which the net capital loss must be carried back pursuant to subdivision (i)(*a*) of this subparagraph (as limited by subdivision (iii)(*e*) of this subparagraph) and (*2*) the number of taxable years, of the 8 taxable years succeeding the loss year, that the corporation failed to

qualify as a regulated investment company as defined in section 851. This subdivision shall not extend the carryover period prescribed in subdivision (i)(*b*) of this subparagraph to a year in which a corporation is not a regulated investment company as defined in section 851.

* * * * *

[FR Doc. 79-38553 Filed 12-14-79; 8:45 am]

BILLING CODE 4830-01-M

DEPARTMENT OF TRANSPORTATION

Coast Guard

33 CFR Part 117

[CGD 79-157]

Drawbridge Operation Regulations; Quincy Bay, Ill.

Correction

In FR Doc. 79-35303, appearing in the third column of page 65750 in the issue of Thursday, November 15, 1979, the CFR section head which reads § 117.60 should read § 117.620.

BILLING CODE 1505-01-M

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33 CFR Part 147

[CCGD 11-79-06]

Establishment of Safety Zones Around Structures Being Constructed on the Outer Continental Shelf (OCS)

AGENCY: Coast Guard, Department of Transportation.

ACTION: Final rule.

SUMMARY: This document establishes an emergency safety zone and related regulations under the provisions of Title 33 Code of Federal Regulations § 147.03–3(b) around Platform Ellen, a fixed structure being constructed on the OCS in the Gulf of Santa Catalina south of the ports of Los Angeles and Long Beach. Platform Ellen is the first of three structures contemplated by Shell Oil Company in the BETA development plant to develop subseabed resources discovered pursuant to OCS Lease #35. The Commander, Eleventh Coast Guard District has made an inquiry and determined that this safety zone is necessary to promote safety of life and property on the structure, its appurtenances and attending vessels and in the adjacent waters during installation and construction periods.

EFFECTIVE DATE: The safety zone and regulations established herein are effective upon commencement of installation operations which is set for 1 December 1979.

FOR FURTHER INFORMATION CONTACT: LT Robin A. Wendt, Project Manager, Eleventh Coast Guard District Hearing Officer, Eleventh Coast Guard District, Union Bank Building, Suite 911, 400 Oceangate Boulevard, Long Beach, California 90822, Telephone (213) 590–2388.

DRAFTING INFORMATION: The principal persons involved in drafting this rule are Lieutenant Robin A. Wendt, Project Manager, Eleventh Coast Guard District Hearing Officer, and Lieutenant Commander Ronald S. Matthew, Project Counsel, Eleventh Coast Guard District Legal Office.

SUPPLEMENTARY INFORMATION: On February 20, 1979 the Commander, Eleventh Coast Guard District published an advance notice of proposed rulemaking on safey zones around fixed structures both on the OCS and in the navigable waters adjacent to Southern California (44 FR 10399). This was the first of a three stage rulemaking process designed to implement permanent safety zones around such structures. Platform Ellen was not included in that notice. At the time, Shell Oil Company had not received a Corps of Engineers permit for it. That permit has now been issued and Shell plans to commence installation on 1 December 1979. This does not leave adequate time to complete the normal rulemaking process considering Platform Ellen, i.e. a Notice of Proposed Rulemaking, comment period and a Final Rule. Even though a Notice of Proposed Rulemaking addressing safety zones for all structures off Southern California will be published soon, it will not precede installation of platform Ellen.

The Commander, Eleventh Coast Guard District has determined that the establishment of this safety zone and its regulations is necessary to promote safety of life and property on the structure, its appurtenances and attending vessels and on the adjacent waters during the installation and construction periods. Further, the District Commander has determined that without the establishment of an emergency safety zone around platform Ellen, an imminent danger would exist.

Discussion:

Platform ELLEN is the first structure of any sort designed for the development of sub-seabed natural resources to be sited within a routing measure adopted by the Intergovernmental Maritime Consultative Organization (IMCO). IMCO is the maritime arm of the United Nations and is the international authority on vessel routing measures. The routing measure in question is the "Approaches to Los Angeles/Long Beach Traffic Separation Scheme" (TSS), also known as the Gulf of Santa Catalina (GSC) TSS. Platform Ellen is to be sited within the TSS Separation Zone, that area which separates opposing Traffic Lanes, such that a maximum size safety zone of 500 meters would not interfere with either Traffic Lane. This is significant because a safety zone may not interfere with a recognized sea (traffic) lane.

The siting of a fixed structure within a routing measure, of which a TSS is just one type, is not recommended by IMCO as set forth in IMCO Resolution A378(X) which states in Section 3.9, "Governments are recommended to ensure, as far as practicable, that oil rigs, platforms and other similar structures are not established within routing systems adapted by the Organization or near their terminations." A Separation Zone is a part of a TSS and siting a structure there constitutes a structure within a routing system. The Commander, Eleventh Coast Guard District is convinced however that there is no other way to extract the natural resources in the area other than siting appropriate structures in the Separation Zone. Therefore, in keeping with the national energy goals the District Commander did not object to these structures but has determined that they pose a potential threat to navigation and the environment.

Platform Ellen will be sited in a TSS where significant marine traffic exists, much of which carries hazardous and particularly hazardous cargoes. It also lies in an area between numerous mainland marinas and offshore islands in which recreational vessel traffic occurs. Further it lies in close proximity to the Huntington Beach offshore tanker mooring. Much of the marine traffic which is in close proximity to site of platform Ellen could cause damage to the platform in the event of a collision. Though vessels do not normally navigate in a Separation Zone, they may enter it (1) when crossing the Separation Zone but must do so at right angles or as nearly so as practicable; (2) in cases of emergency to avoid imminent danger; or (3) to engage in fishing. Since this structure will be the first to be in a Separation Zone, its location there will be unexpected. Many vessels which are too small to inflict damage to the structure could nevertheless incur damage to themselves in the event of a collision. The safety zone will be the area within a circle five-hundred meters in radius around the installation site and thence the area within a line 500 meters from the structure's outer edge. Since the installation process (which usually lasts one to two weeks) requires great precision, it is appropriate that all vessels be excluded from the safety zone except construction or attending vessels. A hazard would exist to the structure, its personnel and attending vessels if other vessels were allowed to navigate too near the platform. The Commander, Eleventh Coast Guard District has therefore established this safety zone and regulation.

In consideration of the foregoing, Title 33, Code of Federal Regulations, Subpart 147.05–OCS Safety Zones is hereby amended by adding a new § 147.05–11.03.

Subpart 147.05–OCS Safety Zones

§ 147.05–11.03 Platform Ellen safety zone, Gulf of Santa Catalina

(a) Description: The area within a circle of 500 meters in radius around the point located at Latitude 33°–34'–57" N, Longitude 118°–07'–41" W, during the installation phase and then the area within 500 meters around the structure's outer edge after the structure is in place.

(b) Regulations: No vessel may enter or remain in this safety zone except the following: (1) Vessels involved in the installation and construction of Platform Ellen, (2) vessels which normally attend platform Ellen or (3) vessels authorized by the Commander, Eleventh Coast Guard District.

(c) Effective Date: This safety zone and its related regulations are effective on and after 1 December 1979.

(Sec. 633, 63 Stat. 545, Sec. 4(e)(1), 67 Stat. 463, Sec. 6(b)(1), 80 Stat. 938; 14 USC 633; 43 USC 1333(e)(1), 49 USC 1655(b)(1); 49 CFR 1.46(b); 33 CFR 147.01 in conformance with Paragraphs 2, 3, 6 and 7 of Article 5, Convention on the Continental Shelf (TIAS 5578) and Article 2, Convention on the High Seas (TIAS 5200))

H. W. Parker,

Rear Admiral, U.S. Coast Guard, Commander, Eleventh Coast Guard District.

[FR Doc. 79-38578 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-14-M

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33 CFR Part 175

[CGD 76-183]

Equipment Requirements

AGENCY: Coast Guard, DOT.

ACTION: Final rule.

SUMMARY: The Coast Guard is requiring that all boats carrying six or less passengers for hire and all recreational boats 16 feet or greater in length be equipped with visual distress signalling devices at all times when operating on coastal waters. Additionally, boats less than 16 feet will be required to carry visual distress signals when operating on coastal waters at night. The intent of the regulation is to assure that boaters have the means to secure assistance when in distress before an otherwise minor marine casualty or engine failure results in a fatality.

EFFECTIVE DATE: January 1, 1981.

FOR FURTHER INFORMATION CONTACT: LCDR H. F. Schmecht, Office of Boating Safety (G–BLC–3/TP42), Room 4308, Department of Transportation, Coast Guard Headquarters, Washington, D.C. 20593, 202–426–4177.

SUPPLEMENTARY INFORMATION: A Notice of Proposed Rulemaking was published in the **Federal Register** of April 10, 1978 (43 FR 15118). The comment period on that proposal (CGD 76–183) ended on August 8, 1978. The preamble to CGD 76–183 noted that associated proposals concerning Coast Guard approval specifications for visual distress signals would be published in a future issue of the **Federal Register**. Those proposals appeared in the **Federal Register** of October 23, 1978 (43 FR 49440) as CGD 76–183a, CGD 76–048, CGD 76–048a, and CGD 76–048b, and at that time the comment period on CGD 76–183 was reopened to run concurrently with the other proposals and closed on December 22, 1978.

Public meetings on the proposed regulations were held in six coastal and Great Lakes cities. Comments received at the hearings were included in the docket.

The National Boating Safety Advisory Council has been consulted and its opinions and advice have been considered in the formulation of this rule. The transcript of the proceedings of the meetings of the National Boating Safety Advisory Council at which this rule was discussed is available for examination in Room 4224, U.S. Coast Guard Headquarters, Trans Point Building, 2100 Second Street, S.W., Washington, D.C. The minutes of the meeting are available from the Executive Director, National Boating Safety Advisory Council, c/o Commandant (G–BA/TP42), U.S. Coast Guard, Washington, D.C. 20593.

Drafting Information

The principal persons involved in drafting this proposal are: Mr. D. R. Gauthier, Project Manager, Office of Boating Safety, and Lt. J. T. Orchard, Project Attorney, Office of the Chief Counsel.

Discussion of Major Comments

Slightly over 150 comments were received. The bulk of these comments, over 68%, were from individual boaters and an additional 13% of the total comments received were from persons representing boating clubs or organizations. The comments from individual boaters were evenly split between those generally supporting the proposal and those generally opposed. 75% of the comments from boating groups or clubs were in favor of the proposal and only 10% of such comments were opposed. The remainder in this group expressed concerns for the standards of accepted devices without expressing either support or opposition to the proposed carriage requirements.

The remaining comments were from industry representatives (11%) and other Federal and State agencies (8%). Industry comments were nearly unanimous in support of the proposal. State agencies which commented were evenly divided in support or opposition to the proposal.

Pyrotechnics as a Hazard

A major problem frequently raised by the commenters (25 comments) was a concern for the safety of the pyrotechnic signalling devices. Most persons who made that comment used it to argue against the regulation.

The concern over the safety of pyrotechnic devices now on the market was one of the reasons the Coast Guard determined the regulation to be necessary. Pyrotechnics are effective and internationally recognized distress signals (Convention on Safety of Life at Sea; The International Regulations for the Preventions of Collisions at Sea). Approximately one quarter of all boaters already carry them. Since pyrotechnic devices are being used, and increased use of safe visual distress signals could save lives, the Coast Guard proposal was based on determining which devices would be effective while providing an acceptable level of safety when used aboard recreational boats.

This regulation and the accompanying specifications, contain provisions intended to assure that certain reliability and performance criteria are met by manufacturers of signals intended for use in compliance with the carriage requirement. Those specifications are published in CGD 76–183a, and 76–048 a and b in this issue of the **Federal Register**.

The Coast Guard is still concerned about the slag produced when a hand held flare is burned and the hazards which that introduces on board a recreational boat. More research is being done into suitable performance specifications which will limit the amount of slag. The Coast Guard has

therefore deleted the hand held flare from the list of devices accepted for carriage on boats until those performance specifications are published. The Coast Guard intends to add hand held flares to the list of acceptable signals as soon as satisfactory performance specifications can be developed. The Coast Guard will consult with a subcommittee of the National Boating Safety Advisory Council (NBSAC) in the development of specifications for the hand held flares.

Also, the Coast Guard has structured the regulation so that boaters who continue to have a concern for the safety of pyrotechnic devices may select non-pyrotechnic alternatives which meet the carriage requirement; i.e., S–O–S lights at night and orange flags during the day.

The Coast Guard believes that design and performance standards for pyrotechnics, and the provision for alternative devices for boaters who do not wish to use pyrotechnics, adequately address these comments.

Excessive Regulation

Many commenters (19) take exception to the philosophy of regulation, expressing frustration at Federal regulations in general and the pervasiveness of Federal regulation in the marine environment in particular. These commenters stressed the independence of the boater. A typical comment was: "If one chooses to go sailing . . . he has no right to expect anyone else, especially the government, to save him." Many of these comments stress education rather than regulation as the proper role of government.

Education is an attractive alternative to regulation; however, in this instance education alone would not assure the quality of devices or allow for the standardization of signals.

The National Boating Safety Advisory Council has advised the Coast Guard on several occasions, and with near unanimity, that there is a need for boaters to carry visual distress signalling devices. Boating accident statistics and Search and Rescue (SAR) report data indicate that many lives could be saved each year if boaters carried reliable signalling devices and used those devices effectively. While some individual boaters might express the view that they do not expect anyone, including the government, to assist them, experience has shown overwhelmingly that prompt rescue efforts are expected, often at considerable expense to the government. Requiring boaters to carry signalling devices should make these efforts more successful and of shorter duration.

Excessive Costs

Eleven persons commented that the cost to the boater for compliance would be too high. They predicted that the proposed approval procedures would sharply increase the cost of existing devices.

The Coast Guard economic evaluation projects that the boater will be able to purchase safe, effective devices in the number required for under $10. This figure is for minimum compliance with the regulations and would be for devices good for three years. Some boaters, particularly the offshore boater, may want to spend more on devices above the minimum requirement.

The Coast Guard recognizes that the approval procedure will probably lead to some increase in costs. However, such an increase is considered acceptable if it insures that safer and more reliable devices will be available to the consumer. By increasing lot sizes, and by allowing manufacturers to rework rejected lots, increases in costs can be kept to a minimum. This issue is discussed in more detail in CGD 76–048a and 048b, in this issue of the **Federal Register**

Unenforceable Regulation

Five commenters contended that the rule would be unenforceable because of its complexity. These commenters believe the rule creates artificial distinctions between classes of boats and types of waters to which the rule applies, so that the boater will not know when and where he is affected. Also, they argue that the range of devices is so broad, with distinctions made between approved and certified devices, that the boater will not know what to carry.

A simple, all encompassing rule, specifying the devices which must be carried, might be more clearly understood. However, this approach would be contrary to the intent to promulgate only a minimum requirement and to permit the boating public maximum choice in selecting signals. The Coast Guard does not expect major enforcement problems since many requirements such as navigation lights, sound signalling devices, marine sanitation devices, and fire extinguishers vary with the type of boat or waters and these differing requirements have been enforceable.

Applicability

Eleven commenters suggested including boats under 16′ at all times, citing the potential for these boats to get into serious trouble. Coast Guard SAR and accident statistics do not indicate a need for such an extension of the regulation. Boats under 16′ are a small portion (12%) of the Coast Guard's SAR workload even though they make up over 50% of the total number of boats in the United States. Many of these smaller craft operate near to the shore or in close proximity to other boaters and Coast Guard statistics indicate that the benefits of requiring these boaters to carry distress signals would be minimal. The cost to the boating public of the additional requirement, however, would be substantial. Adding the requirement would result in an additional 1.5 million boats being included, escalating the cost of the regulation with little increase in the benefits.

It should be noted that boats under 16′ are required to carry night visual distress signals when operating on coastal waters between sunset and sunrise and the Coast Guard recommends that all prudent mariners carry singalling devices whether required or not. All boaters will benefit indirectly from the regulation since the Coast Guard's approval system will improve the reliability and safety of the available devices.

Seven commenters, notably the United States Yacht Racing Union, suggested that the requirements not apply to sailboats without cabin facilities. Many completely open sailboats over 20′ are used strictly for day sailing or racing. Since storage space on these boats is minimal, and because these boats are not normally used in situations where there is a need for a signalling device, the comment was accepted. In adopting this comment, the Coast Guard determined that the exception should apply only to boats of completely open construction, and only during the day. This exception will apply to a small portion of the boats otherwise subject to this rule.

There were several comments to exclude boats under 16′ completely, or to include only larger (20′ or 26′) boats. These argument cite primarily the perceived hazard of a pyrotechnic device on a small boat without adequate storage. The Coast Guard has recognized that some boaters are concerned about pyrotechnics and so has provided that the requirements, both day and night, could be met without carrying pyrotechnic signals. The Coast Guard's decision to include boats under 16′ at night is supported by boating accident statistics. It is not that a boater is more likely to get into serious trouble at night, however, a boater in trouble at night is less likely to be within sight of assistance.

If the boats affected were limited to larger length boats the cost/benefit ratio, in terms of dollars per life saved, would improve. However, though the ratio improves, the total number of lives saved decreases. If the rule applied only to boats over 26 feet, 10 to 15 lives per year could be affected, but as proposed, 40 to 50 lives annually could potentially be saved. Also, if the regulation applied to a small number of boats the manufacturers of distress signals would have less incentive to produce devices meeting Coast Guard standards.

Thus, the Coast Guard has decided not to change the applicability of the proposal except to exclude sailboats of open construction between sunrise and sunset.

Coastal Waters

Several comments pointed out ambiguities in the proposed definition of coastal waters in § 175.105(b). There have been some slight changes to clarify the meaning. Coastal waters include the territorial seas and the Great Lakes. Additionally, bays and sounds which, either directly or indirectly, open onto the Great Lakes or territorial seas are included. Other bodies of water, such as marshes, bayous, or salt water ponds, are not included. Rivers are not included unless the distance across the mouth or the river is greater than two miles. In that case, the river would be included in coastal waters from the headlands up to the first point where the width of the river narrows to less than two miles.

Accepted Devices

Meteor. Six commenters suggested that red aerial pyrotechnic flares be approved as day and night signals. These commenters cite instances during the day in which the meteor was particularly effective. One commenter cited a personal experience in low lying fog where visibility was under 100 yards on the water, but the meteor, because it rose above the fog, attracted the attention of a Coast Guard station two miles from the signal. Another commenter stated that red aerial flares saved his life. He contends it would be wrong to accept these devices only at night.

The Coast Guard considered these comments, and noting the brillance of the aerial meteor, its height above the water, its attention attracting movement, and its ready recognition, the Coast Guard has changed the proposal accordingly. The minimum candle-minute requirement for the aerial is the same as that of the hand held red flare, a device which is proposed to be approved for day and night use. There are some conditions for which the meteor may not be the most effective device; however, that is true for all approved devices. The boater must weigh the advantages and disadvantages of any signal when selecting devices.

Manual S–O–S Light. Five commenters suggested the Coast Guard not include a manually keyed S–O–S signalling light as an approved device. The early discussions of a distress signal regulation by the NBSAC focused on pyrotechnics. In January 1975, a NBSAC sub-committee recommended the adoption by the Coast Guard of the American Boat and Yacht Council recommended carriage requirement of: 3 hand held flares; 3 meteors; and 3 hand held smokes. It was not until the November 1975 NBSAC meeting that the inclusion of electric lights was first discussed.

The Coast Guard developed the "flag and flashlight" as an inexpensive alternative to pyrotechnics. This option was considered particularly important since many comments indicated that some boaters did not want to carry pyrotechnics and the Coast Guard wanted to provide maximum freedom of choice to the consumer. In order to insure that the boater who chose this option would be provided with an adequate signal, the Coast Guard proposed that the "flashlight" meet requirements for waterproof integrity and signal strength and duration. The marine lantern which meets these requirements would cost the consumer an estimated seven to ten dollars.

An alternative automatic S–O–S keying light was also proposed. The cost for the automatic light to the consumer would be three to seven dollars more.

Comments on the light with a manually generated signal have pointed out the difficulty an average boater in a distress situation has in producing a recongizable S–O–S signal, especially over a long period of time. Other comments pointed out the potential for multiple uses of the manually keyed device which could result in the light being unable to meet performance criteria when needed.

The Coast Guard believes there will be no lack of manufacturers for the automatic S–O–S signal, particularly since it would not have the distribution problems associated with pyrotechnics.

The effects of dropping the manually keyed light from the visual distress signal "shopping list" cannot be estimated because consumer response to the regulation is still not known. Those boaters who do choose a light over pyrotechnics, however, would be better served by an automatic light. An S–O–S signal must be displayed consistently over a period of time to be recognized as a call for assistance. The haphazard signal possible from a manual light, particularly if the signaller is distracted by the distress situation, is too easily confused with other lights in the marine environment.

In addition, the specification (in CGD 76–183a) has been modified so that the light cannot be left on in the continuous beam mode.

Therefore, the light is less susceptible to battery drain from misuse. With this feature, the automatic S–O–S light is not likely to be used for other than emergency signalling, thereby providing better assurance that it will be available when needed.

In the fall 1977 survey of NBSAC members, the Council found no difference in effectiveness between the manual and automatic S–O–S lights though the move to only automatic S–O–S lights was never discussed. Most council members, however, were willing to go to a cost per boat of $10/yr. for compliance if needed to establish standards for more effective devices.

Considering these comments, the Coast Guard has decided to accept only an automatic S–O–S light to comply with the carriage requirement.

Strobe Lights, Mirrors, Balloons. Many other devices were suggested, several of which were discussed in the preamble to the notice. All these devices, along with dyes or chemical lights, may be effective in aiding searchers, however, in all cases the Coast Guard found the suggested device either lacks universal recognition as a distress signal or is useful only in restricted circumstances. Any of these devices may be carried as additional equipment, providing some signalling capability beyond the minimum requirements of the regulation. However, the Coast Guard believes that none of these special purpose devices used by themselves meet the minimum requirements for an effective signal. Thus, no additional devices were added to the list of accepted visual distress signals.

Grandfather Clause

Commenters pointed out that existing non-approved pyrotechnics are not marked for "marine use" as required by the proposed § 175.135 which permits the use of some existing equipment until July 1, 1982. The Coast Guard therefore determined that the requirement that existing devices be marked for "marine use" was unreasonable. It has been deleted from this final rule.

Signal pistols have been added to the list of devices covered by the grandfather clause. This has been done so that the extra expense involved in replacing a pistol could be spread over several boating seasons.

Additional editorial changes, not affecting the substance of the proposal, have been made. Section 175.110 has been reworded to clarify the intent that the boater may choose to carry some signals for day use and others for night use, or may select signals suitable for both day and night use, to meet the requirements. Another change was the deletion of § 175.112 *Number of Pyrotechnic Signals* which repeated the requirement in § 175.110 that the number of devices specified in Table 175.130 be carried. Another change is made in § 175.140, *Prohibited Use,* by substituting the explanatory phrase "situation where assistance is needed because of immediate or potential danger to the persons on board" for the word "distress". This new phrase is consistent with internal Coast Guard directives which reserve the word "distress" for immediate danger situations.

Evaluation

This final rule has been reviewed under Department of Transportation Regulatory Policies and Procedures published February 26, 1979 (44 FR 11034). A final evaluation has been prepared and is available for inspection at the Marine Safety Council (G–CMC/TP24), Room 2418, Department of Transportation, Coast Guard Headquarters, Washington, D.C. 20593. The Coast Guard has determined that this final rule is not a significant regulation.

About two million boat owners will be affected and the minimum cost for compliance is about $3.50 per boat per year. The minimum total annual cost to the boating public is about seven million dollars. No significant impact on the environment is expected.

In consideration of the foregoing, Title 33 of the Code of Federal Regulations, Part 175, is amended as follows:

PART 175 [Amended]

1. The authority citation for Part 175 is amended to read as follows:

Authority: Secs. 5 and 39 of the Federal Boat Safety Act of 1971, as amended, 46 U.S.C. 1454, 1488; 49 CFR 1.46(n)(1).

2. A new subpart C, Visual Distress Signals, is added to read as follows:

Subpart C—Visual Distress Signals

Sec.
175.101 Applicability.
175.105 Definitions.
175.110 Visual distress signals required.
175.113 Launchers.
175.115 Exceptions.
175.120 Stowage.
175.125 Serviceability.
175.128 Marking.
175.130 Visual distress signals accepted.
175.135 Existing equipment.
175.140 Prohibited use.

Subpart C—Visual Distress Signals

§ 175.101 Applicability.

(a) This subpart applies, after 31 December 1980, to boats on the coastal waters of the United States and on the high seas beyond the territorial seas for boats owned in the United States.

§ 175.105 Definitions.

(a) "Visual distress signal" means a device that is approved by the Commandant under 46 CFR part 160 or certified by the manufacturer under 46 CFR parts 160 and 161.

(b) "Coastal Waters" means the Great Lakes and the territorial seas of the United States, and the bays and sounds which empty into these waters. Rivers, inside of a line drawn tangent to their headlands, are not included in "Coastal Waters" unless the distance across the river is over 2 miles. All portions of a river from the mouth to the point at which the river first narrows to 2 miles are included in "Coastal Waters."

§ 175.110 Visual distress signals required.

(a) No person may use a boat 16 feet or more in length or any boat carrying six or less passengers unless visual distress signals selected from the list in § 175.130 or the alternatives in § 175.135, in the number required, are on board. Devices suitable for day use and devices suitable for night use, or devices suitable for both day and night use, must be carried.

(b) Between sunset and sunrise, no person may use a boat less than 16 feet in length unless visual distress signals suitable for night use, selected from the list in § 175.130 or § 175.135, in the number required, are on board.

§ 175.113 Launchers.

(a) When a visual distress signal carried to meet the requirements of § 175.110 requires a launcher to activate, then a launcher approved under 46 CFR 160.028 must also be carried.

§ 175.115 Exceptions.

The following persons need not comply with § 175.110; however, each must carry on board visual distress signals suitable for night use, selected from the list in § 175.130 or § 175.135, in the number required, between sunset and sunrise:

(a) A person competing in any organized marine parade, regatta, race, or similar event;

(b) A person using a manually propelled boat; or

(c) A person using a sailboat of completely open construction, not equipped with propulsion machinery, under 26′ in length.

§ 175.120 Stowage.

(a) No person may use a boat unless the visual distress signals required by § 175.110 are readily accessible.

§ 175.125 Serviceability.

(a) No person may use a boat unless each signal required by § 175.110 is in serviceable condition and the service life of the signal, if indicated by a date marked on the signal, has not expired.

§ 175.128 Marking.

(a) No person may use a boat unless each signal required by § 175.110 is legibly marked with the approval number or certification statement as specified in 46 CFR parts 160 and 161.

§ 175.130 Visual distress signals accepted.

(a) Any of following signals, when carried in the number required, can be used to meet the requirements of § 175.110.

Table 175.130

Device description	Accepted for use	Number required to be carried
Number marked on device		
160.022 Floating Orange Smoke Distress Signals	Days only	3
160.024 Pistol-Projected Parachute Red Flare Distress Signals	Day and night [1]	3
160.036 Hand-Held Rocket-Propelled Parachute Red Flare Distress Signals	Day and night	3
160.037 Hand-Held Orange Smoke Distress Signals	Day only	3
160.057 Floating Orange Smoke Distress Signals	Day only	3
160.066 Distress Signal for Boats, Red Aerial Pyrotechnic Flare	Day and night [2]	3
160.072 Distress Signal for Boats, Orange Flag	Day only	1
161.013 Electric Distress Light for Boats	Night only	1

[1] These signals require use in combination with a suitable launching device approved under 46 CFR 160.028.
[2] These devices may be either self-contained or pistol launched, and either meteor or parachute assisted type. Some of these signals may require use in combination with a suitable launching device approved under 46 CFR 160.028.

§ 175.135 Existing equipment.

(a) The following types of non-approved pyrotechnic devices will be acceptable as meeting § 175.110 until 1 July 1982 so long as they remain in good and serviceable condition:

(1) Pyrotechnic aerial red flares, either hand-held or pistol projected, for "day and night" signal requirement;

(2) Pyrotechnic hand-held or floating orange smoke, for "day only" signal requirement;

(3) Signal pistols for use with cartridges accepted as meeting § 175.110.

§ 175.140 Prohibited use.

No person in a boat shall display a visual distress signal on waters to which this subpart applies under any circumstance except a situation where assistance is needed because of immediate or potential danger to the persons on board.

(Sec. 5, 85 Stat. 215; (46 U.S.C. 1454); 49 CFR 1.46(n)(1).

Dated: October 20, 1979.

J.B. Hayes,

Admiral, Coast Guard, Commandant.

[FR Doc. 79-38272 Filed 12-14-79; 8:45 am]
BILLING CODE 4910-14-M

33 CFR PARTS 175 and 183

[CGD 76-082]

Ventilation Safety Standards for Recreational Boats

AGENCY: Coast Guard, DOT.

ACTION: Final rule.

SUMMARY: This rule establishes safety standards for ventilation systems that apply to boats having gasoline-powered engines for propulsion or electrical generation. Gasoline vapors collecting in boats have caused explosions and fires that have resulted in personal injuries, property damage and death. These safety standards, together with the present standards for fuel and electrical systems, will significantly reduce the probability of gasoline vapors collecting in the boat where they can be easily ignited, causing a fire or explosion.

EFFECTIVE DATE: This regulation is effective on August 1, 1980. However, a manufacturer may elect to comply with this subpart at any time after July 31, 1978.

FOR FURTHER INFORMATION CONTACT:
Mr. Lars E. Granholm, Office of Boating Safety (G–BBT), U.S. Coast Guard, Department of Transportation, Washington, D.C. 20590, (202/426–4027).

SUPPLEMENTARY INFORMATION: The Coast Guard published a Notice of Proposed Rulemaking in the **Federal Register** on July 27, 1978 (43 FR 32606). Prior to this date, an Advance Notice of Proposed Rulemaking was published in the **Federal Register** on March 15, 1977 (42 FR 15340). Each time interested persons were invited to participate in this proposed rulemaking by submitting relevant comments. All of the comments received were carefully considered and some changes have been made to the regulation as a result of the comments. The National Boating Safety Advisory Council has been consulted and its opinions and advice have been considered in the formulation of this amendment. The transcript of the proceedings of the meetings of the National Boating Safety Advisory Council at which time this amendment was discussed is available for examination in Room 4224, U.S. Coast Guard Headquarters, Trans Point Building, 2100 Second Street, S.W., Washington, D.C. The minutes of the meeting are available from the Executive Director, National Boating Safety Advisory Council, c/o Commandant (G–BA/TP42), U.S. Coast Guard, Washington, D.C. 20590.

Drafting Information

The principal persons involved in drafting this rule are: Mr. Lars E. Granholm, Project Manager, Office of Boating Safety and Ms. Mary Ann McCabe, Project Attorney, Office of the Chief Counsel.

Discussion of Comments

In the advance notice, the Coast Guard raised the question whether interlocks which would prevent the engine ignition system from being energized before the power ventilation system is energized should be required. The proposed rule did not require interlocks; however, the Coast Guard asked for further comments on whether or not interlocks should be required. Several commenters continued to object to interlocks because they could cause confusion when a boat has to be started quickly in an emergency. Some manufacturers submitted sales literature indicating that interlocks are available in the market. Since there may be problems associated with interlocks and consonant with Coast Guard policy to impose the minimum requirements necessary to achieve an adequate level of safety, no interlocks are required by this rule for propulsion engines or auxiliary generators.

Another commenter expressed concern about a statement in the preamble which indicated that "the Coast Guard believes that the proposed ventilation would insure an airflow in compartments that will reduce vapor concentration sufficiently to prevent an explosion." To clarify this statement, the Coast Guard wants to point out that the ventilation is intended to remove gasoline vapors such as boil-off from the carburetor and not vapors resulting from a leak of gasoline. The research reports cited in the Advance Notice of Proposed Rulemaking indicated that neither powered nor natural ventilation systems can ensure absolute removal of gasoline fumes if liquid gasoline is present in the bilge. In case of a leak the vapor concentration could reach the explosive level but the risk of leakage has been greatly reduced by the previously issued Coast Guard regulations for fuel systems on boats.

Other comments received on the proposed rule and the changes made are grouped according to the section to which they relate and are discussed below.

Section 186.610—*Powered ventilation system.* One commenter asked if the intent of the wording in paragraph (a) regarding a "compartment" is intended to apply to outboard engines. Although outboard powerheads are installed within their motor covers, these covers are not intended to be considered compartments and do not require power blowers. These engines are in the open atmosphere as installed on the boat and the risk of any gasoline vapors collecting in the boat is minimal. To clarify this the words "in a boat" are added to the paragraph to modify "compartment". For that reason, the words "in a boat" are also added to §§ 183.620(a) and 183.630(a).

Some commenters pointed out that paragraph (b) could be read to require each blower in the system to have sufficient capacity to exhaust the entire compartment though paragraph (e) states that more than one blower may be used. This was not the Coast Guard's intent. Several blowers may be used and their combined airflow capacity is listed in the table. Paragraph (b) is modified to clarify this by the addition of the words "or combination of blowers".

Several commenters requested that the Coast Guard specify which test in the Air Moving and Conditioning Association (AMCA) Standard is required by paragraph (b), because that standard contains several tests. The comment is accepted. The applicable test is described in the AMCA Standard in Figure 12. This reference is added to § 183.610(b).

One commenter suggested that the rule regarding the label which is required in paragraph (f) be modified to specify that a label be located by each ignition switch whether it is for propulsion engines or auxiliary generators. This comment is accepted because boats which have dual control stations or auxiliary generators have more than one ignition switch. Section 183.610(f)(1) is modified accordingly. The same commenter suggested that the word "warning" be used instead of "caution" in paragraph (f)(3). This comment is accepted. The signal word "warning" is more appropriate considering the degree of danger involved and is therefore included in the requirement.

One commenter suggested that the blower rating specified in paragraph (b) should be based on the engine size because the potential amount of vapor given off will be directly related to the engine size. This comment is not accepted. The blower capacity and the requirement to run the blower for 4 minutes is specified based on the volume of the compartment that must be ventilated. This assures sufficient dilution of gasoline vapors to reduce the chance of an explosion by providing adequate air change in the compartment.

The manufacturer of Jet Ski, which is a type of small craft sometimes referred to as thrillcraft, pointed out the difficulties in complying with the requirement for powered ventilation because of the small size of the engine compartment.

The Coast Guard acknowledges this problem; however, this type of craft is quite different from conventional boats and would best be handled by an exemption from the regulations. Section 9 of the Federal Boat Safety Act of 1971 allows the Coast Guard to grant individual exemptions, when requested, from the regulation of boating safety will not be adversely affected. Jet Ski has already been granted exemptions from the Safe Loading, Flotation, Fuel System, and Electrical System standards. The Coast Guard prefers to accommodate the needs of special type craft by means of exemptions rather than by a relaxation of the regulations generally applicable.

Section 183.620—*Natural ventilation system requirements.* Several commenters suggested changing the performance test in paragraph (b). They cited tests conducted by the American Boat and Yacht Council (ABYC) which showed that an airflow of 6 mph is too low to allow measurements of airflow in the ventilation ducts. A test during a 10 mph wind was suggested as being more feasible. The comment is accepted and 10 mph is specified in the requirements.

The commenters further claimed that the airflow which the proposed rule specified be verified in the exhaust duct should be verified in either the supply or exhaust ducts, because in some cases the airflow entered the compartment through the exhaust openings. This comment is accepted. Dilution and dispersion of gasoline vapors takes place regardless of whether air enters through supply or exhaust openings. Paragraph (b)(2) is changed to require that air flow be verified in either the supply or exhaust openings during the test.

The commenters also suggested that the performance test should be required only as an alternative if forward-facing openings were not used on the boat because the tests showed that air did enter supply openings equipped with forward-facing openings. This comment is accepted with the provision that the supply openings are located on the exterior surface of the boat and the openings meet the size requirement in § 183.630(d).

One commenter suggested that the performance test in § 183.620(a), renumbered (b), should not be required if the compartment has openings to the atmosphere equal to or greater than 500% of those required by § 183.615(e), renumbered § 183.630(d). This comment is not accepted. No engineering data was given which would indicate to the Coast Guard how the 500% number was arrived at and why the performance requirement should be waived.

Several commenters opposed the requirement in § 183.620(a)(5), which requires ventilation if the permeability of the fuel systems exceeds a certain amount. The commenters claimed that if the fuel system meets all the requirements in the fuel system regulation, the components will not be permeable and thus this requirement would place an unwarranted economic burden on the manufacturer by requiring a needless test to be performed. Even if a test is not required, manufacturers feel they cannot certify compliance without the backing of a formal test. The Coast Guard agrees in part with the commenters. A metallic fuel tank which meets all the requirements specified in Subpart J—Fuel Systems is unlikely to have a permeability which would require ventilation. For that reason the rule is changed to except metallic fuel tanks from the requirement.

Some commenters further objected to the specification that the allowed permeability rate is based on the tank compartment volume. This would require additional labeling to specify into what size compartment the tanks could be installed, which would impose an unreasonable burden on the manufacturer. The Coast Guard does not agree. If a tank is placed into such a small compartment that the permeability could create explosive vapors it is in the best interest of boating safety for a boat manufacturer to know into what size compartment the tank can be located without having to provide natural ventilation. However, the provision in § 183.620(a)(5) specifies that regardless of whether the fuel tank is in a compartment of less than one cubic foot net volume, ventilation must be provided if the permeability exceeds 1.2 grams in 24 hours.

The commenters also claimed that the permeability allowed could be excessive if the fuel tank is located in a very large compartment. The Coast Guard does not agree. The permeability based on compartment volume is sufficiently small, one-half of the lower explosive level in 24 hours, to ensure that the compartment surrounding the tank will be free of explosive gasoline vapors.

Section 183.630—*Natural ventilation system.* This section was numbered § 133.615 in the Notice of Proposed Rulemaking, but has been relocated and renumbered for easier understanding of the rule. Several commenters objected to paragraph (b) which specified a spacing between the supply and exhaust openings inside a compartment. The proposed spacing would prohibit the exhaust duct from being located beneath the engine. This comment is accepted and the paragraph is deleted. The previously cited research reports showed that thorough mixing takes place in a compartment a soon as an airflow is present regardless of the spacing between supply and exhaust openings, and for this reason the spacing between the supply and exhaust opening is not important. The commenters also suggested that the wording in paragraph (d) be clarified to indicate that the size of the supply openings or ducts must be determined separately in accordance with the formula given. This is accepted. Paragraph (d) is reworded to address supply and exhaust openings or ducts separately.

One commenter proposed that the sizes of openings in paragraph (d) be based on the beam of the boat instead of the volume of the compartment for the sake of simplifying the specification. This comment is not accepted. The ventilation requirement is based on purging vapors from a compartment within a certain time period. The compartment volume determines how rapidly dilution takes place. A requirement based on the beam of the boat would not take into consideration any effect of different compartment volumes.

Subpart D, Section 175.201—*Ventilation.* This section is clarified by also referencing §§ 183.610 (b), (d), (e), and (f) in the requirement for how the boat must be equipped in regards to the ventilation system. The wording in the Notice of Proposed Rulemaking was ambiguous in that a boat operator could misunderstand the intent and replace some of the required components with inferior types. The new wording is intended to ensure that any replaced component is similar to the original one.

Other minor changes have been made in wording and arrangement in order to clarify and simplify the regulation. This rule has been reviewed under the Department of Transportation's "Regulatory Policies and Procedures" (44 FR 11034, February 26, 1979). A final evaluation has been prepared and has been included in the public docket. A copy of the final evaluation may be obtained from: Commandant (G-CMC/TP24), (CGD 76-082), U.S. Coast Guard, Washington, D.C. 20590.

Since Federal regulations issued under Section 5 of the Federal Boat Safety Act of 1971 preempt State boating regulations this change in the Federal ventilation regulations will require changes in State regulations in order to make the State regulations identical to their Federal counterparts.

In consideration of the foregoing, Parts 175 and 183 of Title 33 of the Code of Federal Regulations are amended as follows:

PART 175—EQUIPMENT REQUIREMENTS

1. By adding a new Subpart D to 33 CFR Part 175 to read as follows:

Subpart C—[Reserved]

Subpart D—Ventilation

§ 175.201 Ventilation.

No person may operate a boat built after July 31, 1980, that has a gasoline engine for electrical generation, mechanical power, or propulsion unless it is equipped with an operable ventilation system that meets the requirements of 33 CFR 183.610 (a), (b), (d), (e), and (f) and 183.620(a).

(46 U.S.C. 1454, 1455, 49 CFR 1.46(n)(1).)

PART 183—BOATS AND ASSOCIATED EQUIPMENT

2. By adding a new Subpart K to 33 CFR Part 183 to read as follows:

Subpart K—Ventilation

Sec.
183.601 Applicability.
183.605 Definitions.
183.607 Incorporation by reference.
183.610 Powered ventilation system.
183.620 Natural ventilation system.
183.630 Standards for natural ventilation.

Authority: 46 U.S.C. 1454, 1455, 49 CFR 1.46(n)(1).

Subpart K—Ventilation

§ 183.601 Applicability.

This subpart applies to all boats that—

(a) Have gasoline engines for electrical generation, mechanical power, or propulsion; and

(b) Are built after July 31, 1980, except that a manufacturer may elect to comply with this subpart at any time after July 31, 1978.

§ 183.605 Definitions.

As used in this subpart—

"AMCA" means Air Moving and Conditioning Association.
"ASTM" means American Society for Testing and Materials.
"Fuel" means gasoline.
"Open to the atmosphere" means a compartment that has at least 15 square inches of open area directly exposed to the atmosphere for each cubic foot of net compartment volume.
"UL" means Underwriters Laboratories, Inc.

§ 183.607 Incorporation by reference.

(a) The following standards are incorporated by reference. Copies may be obtained from the sources indicated. They are also available for inspection at Coast Guard Headquarters, Room 4220, 2100 Second Street, SW., Washington, D.C. 20590 and at the Office of the Federal Register Library, Room 8401, 1100 L Street, NW., Washington, D.C. 20408.

(1) AMCA Standard 210–74, Figure 12, dated 1974. Air Moving and Conditioning Association, 30 West University Drive, Arlington Heights, Illinois 60004.

(2) ASTM Standard D–471 dated April 1975. American Society for Testing and Materials, 1916 Race Street, Philadelphia, Pennsylvania 19103.

(3) UL Standard 1128, dated August 23, 1977. Underwriters Laboratories, Incorporated, 207 Ohio Street, Chicago, Illinois 60611.

(b) The Director of the Federal Register approved the incorporation by reference in paragraph (a)(2) on September 26, 1976 and the incorporations in paragraphs (a) (1) and (3) on March 24, 1978.

§ 183.610 Powered ventilation system

(a) Each compartment in a boat that has a permanently installed gasoline engine with a cranking motor must—

(1) Be open to the atmosphere, or

(2) Be ventilated by an exhaust blower system.

(b) Each exhaust blower or combination of blowers must be rated at an air flow capacity not less than that computed by the formulas given in Table 183.610, Column 2. Blower rating must be determined according to AMCA Standard 210–74, Figure 12, dated 1974, or UL Standard 1128 dated August 23, 1977.

Table 183.610

Col. 1 [1]	Col. 2 [2]	Col. 3 [3]
Below 34	Fr = 50	Fo = 20
34 to 100	Fr = 1.5V	Fo = 0.6V
Over 100	Fr = V/2 + 100	Fo = 0.2V + 40

[1] Net compartment volume of engine compartment and compartments open thereto (V) cubic feet
[2] Rated blower capacity (Fr) cubic feet per minute
[3] Blower system output (Fo) cubic feet per minute.

(c) Each exhaust blower system required by paragraph (a)(2) of this section must exhaust air from the boat at a rate which meets the requirements of Table 183.610, Column 3 when the engine is not operating.

(d) Each intake duct for an exhaust blower must be in the lower one-third of the compartment and above the normal level of accumulated bilge water.

(e) More than one exhaust blower may be used in combination to meet the requirements of this section.

(f) Each boat that is required to have an exhaust blower must have a label that—

(1) Is located as close as practicable to each ignition switch;

(2) Is in plain view of the operator; and

(3) Has at least the following information:

WARNING—GASOLINE VAPORS CAN EXPLODE. BEFORE STARTING ENGINE OPERATE BLOWER FOR 4 MINUTES AND CHECK ENGINE COMPARTMENT BILGE FOR GASOLINE VAPORS.

§ 183.620 Natural ventilation system.

(a) Except for compartments open to the atmosphere, a natural ventilation system that meets the requirements of § 183.630 must be provided for each compartment in a boat that—

(1) Contains a permanently installed gasoline engine;

(2) Has openings between it and a compartment that requires ventilation, where the aggregate area of those openings exceeds 2 percent of the area between the compartments, except as provided in paragraph (c) of this section;

V 44 DE 17 79 UMI

(3) Contains a permanently installed fuel tank and an electrical component that is not ignition protected in accordance with § 183.410(a);

(4) Contains a fuel tank that vents into that compartment; or

(5) Contains a non-metallic fuel tank with an aggregate permeability rate of more than the greater of 1.2 grams of fuel loss in 24 hours, or 1.2 grams of fuel loss in 24 hours per cubic foot of net compartment volume. Reference fuel "C" at 40°C plus or minus 2°C from ASTM standard D-471, dated April 1975, is to be used in determining the permeability rate.

(b) Each natural ventilation system must be constructed so that—

(1) Each supply opening required in § 183.630 is forward facing and located on the exterior surface of a boat; or

(2) Air will flow into or out of the supply or exhaust openings required in § 183.630 when the boat is in a wind flowing from bow to stern at a velocity of 10 miles per hour when the engine is not operating.

(c) An accommodation compartment above a compartment requiring ventilation that is separated from the compartment requiring ventilation by a deck or other structure is excepted from paragraph (a)(2) of this section.

§ 183.630 Standards for natural ventilation.

(a) For the purpose of § 183.620, "natural ventilation" means an airflow in a compartment in a boat achieved by having a—

(1) Supply opening or duct from the atmosphere or from a ventilated compartment or from a compartment that is open to the atmosphere; and

(2) An exhaust opening into another ventilated compartment or an exhaust duct to the atmosphere.

(b) Each exhaust opening or exhaust duct must originate in the lower third of the compartment.

(c) Each supply opening or supply duct and each exhaust opening or exhaust duct in a compartment must be above the normal accumulation of bilge water.

(d) Except as provided in paragraph (e) of this section, supply openings or supply ducts and exhaust openings or exhaust ducts must each have a minimum aggregate internal cross-sectional area calculated as follows:

$A = 5 \ln (V/5)$;

where:

(1) A is the minimum aggregate internal cross-sectional area of the openings or ducts in square inches;

(2) V is the net compartment volume in cubic feet, including the net volume of other compartments connected by openings that exceed 2 percent of the area between the compartments; and

(3) ln (V/5) is the natural logarithm of the quantity (V/5).

(e) The minimum internal cross-sectional area of each supply opening or duct and exhaust opening or duct must exceed 3.0 square inches.

(f) The minimum internal cross-sectional area of terminal fittings for flexible ventilation ducts installed to meet the requirements of paragraph (d) of this section must not be less than 80 percent of the required internal cross-sectional area of the flexible ventilation duct.

Dated: December 10, 1979.

J. B. Hayes,

Admiral, U.S. Coast Guard, Commandant.

[FR Doc. 79-38640 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-14-M

DEPARTMENT OF AGRICULTURE

Forest Service

36 CFR Part 223

Sale and Disposal of Timber

AGENCY: Forest Service, USDA.

ACTION: Final rule.

SUMMARY: This rule makes certain changes to the regulations in this part on the sale and disposal of timber. Several editorial changes have been made to correct minor problems. Substantive changes will allow for shortening the advertising period for emergency or administrative use sales and will eliminate the dollar limit on log sales not covered by export so that sales of logs under $2,000 will no longer be exempt from the export and substitution restrictions. A third substantive change will remove authority to refuse awards to high bidders when such award would lessen opportunities for local labor. The final regulations are essentially the same as the proposed rule except for editorial changes.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: George M. Leonard, Timber Management Staff, Forest Service, U.S. Department of Agriculture, P.O. Box 2417, Washington, D.C. 20013, (202) 447-4051.

SUPPLEMENTARY INFORMATION: On October 6, 1978, the Secretary of Agriculture published a proposed rule (43 FR 46323) which would make editorial changes to regulations on sale and disposal of timber and would: (1) Allow for shortening the advertising period on administrative use sales, (2) eliminate the dollar limit on log sales not covered by export restrictions so that sales of logs under $2,000 in value will no longer be exempt from the export and substitution restrictions, and (3) remove authority to refuse awards to high bidders when such award would lessen opportunities for local labor. The final regulations are essentially the same as the proposed rule except for editorial changes.

Summary of Comments

There were a total of four respondents. The most general comment was that of opposition to removing authority for refusal to award sales, which might lessen the opportunities for local labor. The primary reason given for retaining this authority was that community stability and local labor are now and should continue to be important considerations in the management of National Forests.

The change in the regulation does not signal a change in Forest Service policy toward community stability and local labor. These two issues have been and will continue to be major factors in Forest Service decisions.

Community stability is being protected (1) by oral bid procedures which allow local mills to protect their interest through open competition, (2) by policies leading to a relatively evenflow of timber sales, and (3) by restricting awards only to parties who have the demonstrated financial ability to perform the contract.

Because community stability is already protected, the additional authority to refuse to award is redundant. Since it has been used only once and since it has served to confuse purchasers, we see no need to retain it. We have considered the option of rewriting and better defining the regulation. However, we were unable to develop guidelines which could be applied fairly without an outright allocation to "local" purchasers to the detriment of others. Such an allocation would be improper.

One respondent commented on the proposal to broaden the authority to shorten the advertising periods to meet emergencies. The respondent did not object to the proposal, but rather asked that the term emergency be better defined in the comments accompanying the regulation. We have done that in the following paragraph:

An emergency which would warrant shortening the advertising period is one which would significantly affect the results expected to be obtained from a timber sale, and which could be alleviated by starting operations 20 days earlier. Examples of such situations are: (1) Administrative use sales where the sale is preliminary to another activity which must begin within a short time, (2) experimental sales where certain seasonal conditions are essential to successful research and these cannot be met if the sale is delayed an additional 20 days, and (3) sales made following a disaster where timber is urgently needed in rehabilitation efforts. The following situations would not qualify as an emergency: (1) Sales needed to meet established sell quotas and (2) sales in which seasonal constraints are essential, but in which a delay to the following year would not cause particular problems.

There were no comments on the proposal to remove the exemption of sales under $2,000 from the export restrictions. Therefore, this regulation has been adopted as initially published. The purpose of this change was to simplify export surveillaneous activities by eliminating exempt National Forest logs from export posts.

One respondent did suggest that we update the legislative citation since the one published referred to the fiscal year 1974 Appropriations Act, which is now expired. We have updated this citation, but wish to clarify that this citation will probably change as new Appropriation Acts become effective.

There were also comments on other paragraphs to 36 CFR 223. We have not accepted these because we feel it would be inappropriate to make changes in the final rule when the applicable paragraph was never proposed for change.

Several editorial changes were also suggested. These have been incorporated where possible.

Statement:

This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations," and has been classified "significant." An Approved Final Environmental Assessment Report is available from Timber Management Staff, Forest Service.

Therefore, applicable portions of 36 CFR Part 223 are revised as follows:

1. Section 223.1(e)(3) is revised to read:

§ 223.1 Authorization for sale and disposal of timber.

* * * * * *

(e) * * *

(3) Supervisors may designate portions or all of a National Forest as free-use areas where such action is compatible with land management plans and shall give public notice of their action. Within such free-use areas, any dead timber or any green timber previously marked or designated by forest officers may be cut and removed for personal use for domestic purposes. Cutting and removal of timber in free-use areas shall be in accordance with such rules as may be prescribed by the district ranger to prevent fires, minimize damage to uncut trees and other resources, and to avoid confusion among users. Similar material may be cut outside of a free-use area without permit in cases of emergency, but the person taking such material shall promptly notify the district ranger. Small quantities of material needed by transients while in the forest may also be taken without permit; subject to such rules as may be prescribed pursuant to § 261.70. In all other cases permits will be required for green material.

* * * * *

2. Section 223.5(b) is revised to read:

§ 223.5 Advertisement and bids.

* * * * *

(b) In emergency situations where prompt removal of timber included in a sale is essential to avoid deterioration or to minimize the likelihood of the spread of insects, the approving officer may authorize shortening the formal advertising period to not less than 7 days. In other emergency situations, or for timber sold under 36 CFR 223.1(b) the Regional Forester or Chief may authorize shortening the formal advertising period to not less than 7 days.

* * * * *

3. Section 223.7 is revised to read:

§ 223.7 Awards.

(a) Advertised timber will be awarded to the highest bidder upon satisfactory showing by him of ability to meet financial requirements and any other conditions of the sale offer unless:

(1) Determination is made to reject all bids.

(2) Two or more bidders, all of whom meet the requirements, submit equal bids which are the highest bids, in which case award may be by the drawing of lots. Equal bids from parties having direct or indirect common control or association in logging, processing or marketing may be consolidated to the extent deemed necessary by the awarding officer in order to give to any others who have bid the same amount an equitable opportunity in the drawing of lots.

(3) The highest bidder is notoriously or habitually careless with fire, or has failed to comply with the requirements of previous contracts for National Forest timber.

(4) Monopoly, injurious to the public welfare, would result from the control of large amounts of public or of public and private timber.

(5) The high bidder has elected Forest Service road construction in response to an advertisement extending such an option, the Forest Service cannot perform the construction and in response to solicitation has not received a satisfactory bid for such construction within the period stated in the advertisement and the high timber sale bidder is unwilling to perform the construction.

(b) Any bidder or applicant for a sale may be required to furnish a statement of his relation to other bidders or operators, including, if desired by the supervisor or Regional Forester, a certified statement of stockholders or members of the firm, and the holders of bonds, notes or other evidences of indebtedness, so far as known, so that the statement will show the extent of the interest of each in the bidder or applicant.

(c) If the highest bid is not accepted and the sale is still deemed desirable, all bids may be rejected and the timber readvertised; or, if the highest bidder cannot meet the requirements under which the timber was advertised or the withholding of award to him is based on one or more of paragraphs (a) (3), (4), and (5) of this section, award at the highest price bid may be offered to the next highest qualified bidder or to the other qualified bidders in order of their bids until the award is accepted by one or refused by all of the qualified bidders.

(d) If timber is advertised as set aside for competitive bidding by small business concerns, award will be made to the highest bidder who qualifies as a small business concern and who has not been determined by the Small Business Administration to be ineligible for preferential award of set-aside sales. If there are no qualified small business bidders any readvertisement shall be without restriction on the size of bidders.

(e) When necessary in the judgment of the approving officer, any applicant or bidder may be required to submit, before expense is incurred in acting on the application or before award is made in response to a bid a satisfactory showing of financial ability and the bidder may be required to show that he has or can obtain equipment and supplies suitable for logging the timber and for meeting the resource protection provisions of the contract.

4. Section 223.10 is revised to read:

§ 223.10 Timber export and substitution restrictions.

(a) Unless restricted as provided in this section or unless it is determined by the Secretary of Agriculture that the supply of timber for local use is

endangered, timber lawfully cut on any National Forest may be exported from the State where grown to any other State for processing. As used in this paragraph, "supply of timber for local use" means the supply of timber necessary for consumption by local users.

(44 Stat. 242, 16 U.S.C. 616)

(b) Unprocessed timber as defined in paragraph (c) of this section, purchased after March 8, 1974, from National Forest System lands located west of the 100th Meridian in the contiguous 48 States, may not be exported from the United States nor used as a substitute for timber from private lands exported by the purchaser. The above limitations on export and substitution do not apply to species of timber previously found to be surplus to domestic needs; or to additional species, grades, or quantities of timber found by the Secretary of Agriculture after public hearing to be surplus to domestic needs. As used in this section and as further defined in paragraph (d) of this section, "export" means either direct or indirect export and "purchaser" means the purchaser or his affiliates. "Private lands" means lands held or owned by a private person (individual, partnership, corporation, association, or other legal entity). Nonprivate lands include but are not limited to, lands held or owned by the United States, a State or political subdivision thereof, or other public agency, or lands held in trust by the United States for Indians.

(c) As used in this section, the term "unprocessed timber" shall mean any logs of species, quantities, or grades which have not been found surplus to domestic needs and having a net scale content not less than 33⅓ percent of the gross volume in material meeting the peeler or sawmill requirements published in the January 1, 1978, official Log Scaling And Grading Rules used by West Coast Log Scaling and Grading Bureaus; cants to be subsequently remanufactured exceeding 8¾ inches in thickness; cants of any thickness reassembled into logs; and split or round bolts, or other roundwood not processed to standards and specification suitable for end-product use. Unprocessed timber shall not mean pulp (utility) grade logs and Douglas-fir special cull logs or timber processed into the following:

(1) Lumber and construction timbers, regardless of size, sawn on four sides;

(2) Chips, pulp, and pulp products;

(3) Green veneer and plywood;

(4) Poles and piling cut or treated for use as such;

(5) Cants cut for remanufacture, 8¾ inches in thickness or less.

(d) As used in this section, unprocessed timber, either from National Forest System lands or from private lands, is exported directly when exported by the National Forest timber purchaser, his subsidiary, subcontractor, parent company, or any other affiliate. Business entities are considered to be affiliates when one controls or has the power to control the other or when both are controlled directly or indirectly by a third entity. Timber is exported indirectly when export occurs as a result of a sale to another person or as a consequence of any subsequent transaction.

(e) As used in this section, substitution is the purchase of timber from National Forest System lands to be used as replacement for timber exported from private lands. Such replacement occurs when with respect to historic levels (1) the purchaser continues to export and increases his purchase of National Forest timber, or (2) the purchase of National Forest timber continues while the purchaser increases his export of unprocessed timber from private lands tributary to the plant for which National Forest timber covered by a specific contract is expected to be delivered. Historic level is defined as the purchase or export during 1974 or any subsequent calendar year of not to exceed 110 percent of the average annual volume purchased or exported in calendar years 1971, 1972, and 1973.

(f) To be eligible to bid on a sale of timber from National Forest System lands west of the 100th Meridian in the 48 contiguous States, a bidder must:

(1) Certify that purchase of the timber will not constitute substitution as defined in paragraph (e) of this section.

(2) Agree to furnish to the Forest Service, prior to beginning operations under the contract: the names and addresses of processing plants or other locations to which the timber is expected to be delivered; the names and advertised volumes of timber sales purchased by the purchaser for delivery to each such location in calendar years 1971, 1972, and 1973; the volumes of timber from private lands tributary to each location listed, exported by the purchaser in calendar years 1971, 1972, and 1973.

(3) Agree to furnish the information required by paragraph (f)(2) of this section to the Forest Service prior to log hauling to any location not included in the list required by paragraph (f) of this section.

(4) Agree to make available to the Forest Service, upon request, all of his records dealing with origin and destination of exported timber. For false certification the Forest Service may cancel the contract, debar the purchaser from bidding on Federal timber, and impose penalties as may be provided by law or regulation.

(g) Contracts for sales of unprocessed timber from National Forest System lands as described in paragraph (b) of this section, entered into after March 8, 1974, shall, with respect to the timber covered by said contracts, prohibit the purchaser from exporting said timber or selling it for export and from substituting said timber for timber which the purchaser has exported or sold for export from private lands, except that these limitations will not apply to species of timber previously found surplus to domestic needs and additional species, grades, or quantities of timber found by the Secretary of Agriculture, after public hearing, to be surplus to domestic needs. Where appropriate, contracts shall include:

(1) Restrictions on the export of unprocessed timber or the use of said timber in substitution of timber exported from private land, including a provision that before the purchaser sells, exchanger, or otherwise disposes of the included timber restricted from export, the purchaser shall require his buyer, exchanges, or other recipient to enter into an agreement not to export unprocessed timber as defined in this section.

(2) Requirements for showing compliance with the timber export restrictions and exemptions and the restrictions against the purchaser using said timber in substitution for timber exported from private land.

(3) The qualities and species of unprocessed timber, if any, which may be exported.

(h) No additional species not previously determined to be surplus, specified quantities or grades of unprocessed timber may be sold for export as surplus to domestic needs unless: a public hearing is authorized by the Secretary of Agriculture and is held to seek advice and counsel as to the quantities, grades, and species of unprocessed timber, if any, surplus to the needs of domestic users and processors, and a determination is made by the Secretary of Agriculture that the specific quantities, grades, and species of unprocessed timber are surplus to the needs of domestic users and processors. The Secretary of Agriculture shall give notice in the **Federal Register** of the quantities, grades, and species of unprocessed timber which are determined to be surplus. Hearings will be conducted in accordance with the following procedures:

(1) Notice will be published in a newspaper of general circulation within the area of the specific quantities, grades, and species under consideration at least 15 days prior to the hearings, and known parties or organizations with special interest in the quantities, grades, and species should be notified directly.

(2) The time, place, and conduct of the hearing will be coordinated with the Department of the Interior and held at a convenient, centralized location within the area of the specific quantities, grades, and species under consideration.

(3) The hearing record shall remain open for at least 5 calendar days following the hearing for receipt of additional written statements.

(i) Subject to the other provisions of this section, timber cut from the National Forests in the State of Alaska may not be exported from Alaska in the form of logs, cordwood, bolts, or other similar products necessitating primary manufacture elsewhere without prior consent of the Regional Forester. This requirement is determined to be necessary in order to assure the development and continued existence of adequate wood processing capacity in that State essential to the sustained utilization of timber from the National Forests located therein which is geographically isolated from other processing capacity. In determining whether consent will be given to the export of such timber, consideration will be given, among other things, to whether such export will (1) permit a more complete utilization of material on areas being logged primarily for products for local manufacture, (2) prevent loss or serious deterioration of logs unsalable locally because of an unforseen loss of market, (3) permit the salvage of timber damaged by wind, insects, or fire, (4) bring into use a minor species of little importance to local industrial development, or (5) provide material required to meet urgent and unusual needs of the Nation.

(92 Stat. 1301, Pub. L. 95-465).

David G. Unger

Acting Assistant Secretary for Natural Resources and Environment.

December 5, 1979.

[FR Doc. 79-38459 Filed 12-14-79; 8:45 am]

BILLING CODE 3410-11-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 52

[FRL 1374-7]

Approval of Revision of the Commonwealth of Pennsylvania Implementation Plan

AGENCY: Environmental Protection Agency.

ACTION: Final rule.

SUMMARY: This final rulemaking approves as a revision to the State Implementation Plan several modifications to Pennsylvania's Air Resources Regulations which clarify terms and intent of Chapter 121 (relating to general provisions), Chapter 123 (relating to standards for contaminants), and Chapter 129 (relating to standards for sources).

EFFECTIVE DATE: December 17, 1979.

ADDRESSES: Copies of the modifications and associated support material are available for public inspection during normal business hours at the following locations:

U.S. Environmental Protection Agency, Region III, Curtis Building, Tenth Floor, Sixth and Walnut Streets, Philadelphia, Pennsylvania 19106. ATTN: Patricia Sheridan.

Pennsylvania Bureau of Air Pollution Control, Fulton Building, 18th Floor, 200 North Third Street, Harrisburg, Pennsylvania 17120. ATTN: Gary L. Triplett.

Public Information Reference Unit, Room 2922—EPA Library, U.S. Environmental Protection Agency, 401 M Street SW., Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT: Ms. Patricia Sheridan, Air Programs Branch (3AH10), U.S. Environmental Protection Agency, Region III, Curtis Building, 6th & Walnut Streets, Philadelphia, Pennsylvania 19106, telephone (215) 597-8176.

SUPPLEMENTARY INFORMATION:

I. Background

On September 20, 1978, the Commonwealth of Pennsylvania submitted to the Regional Administrator, EPA, modifications to Pennsylvania's Air Resources Regulations which are part of the Commonwealth's State Implementation Plan (SIP). The Commonwealth requested approval of the modifications as a revision to the SIP. The revision consists of the following:

(1) A detailed definition of "stockpiling" to include the definition as the act of placing or storing material upon and removing material from piles exposed to the outdoor atmosphere.

(2) Clarification of the intent of Section 121.2 of the regulations, relating to compliance and enforcement responsibilities, namely, that unless explicit reference is made to another section of the regulations, each section shall be construed and enforced according to its own terms.

(3) The establishment of a clear mechanism for evaluating minor fugitive emissions and providing written approval of such emissions as stated in Section 123.1(a)(9) and (b) and Section 129.15(c) and (d).

(4) The carrying out of legislative policy mandated by an amendment to § 4.1 of Air Pollution Control Act, adopted on December 12, 1976, which indicated that the Department of Environmental Resources should not regulate air contaminants resulting from production of agricultural commodities in their unmanufactured state (Section 123.1(d), 123.31(c), 123.42(4) and 129.14(c)). The Regional Administrator invited comments in the notice published in the **Federal Register** on June 12, 1979 (44 Fed. Reg. 33713). A 30-day public comment period was provided during which time no public comments were received.

II. Control Strategy Demonstration

These modifications are procedural changes rather than substantive changes. Because the modifications have no adverse impact on air quality, a control strategy demonstrating attainment and maintenance of standards is not required.

III. Public Comments

No comments were received during the 30-day public comment period.

IV. Policy Issues

There are no policy issues involved with this revision other than the basis for the Administrator's approval; i.e., whether the revision submitted by the Commonwealth of Pennsylvania meets the criteria of Section 110(a)(1) of the Clean Air Act and 40 CFR 51.4, Public Hearings; 51.5, Submittal of Plans; preliminary review of plans; 51.6, Revisions, and 51.11, Legal Authority.

V. EPA Evaluation

The revision submitted by the Commonwealth of Pennsylvania meets the criteria of Section 110(a)(1) of the Clean Air Act and 40 CFR §§ 51.4, 51.5, 51.6, and 51.11.

VI. Final Action

In view of this evaluation, the Administrator approves the above-described modifications to Pennsylvania's Air Resources

Regulations as a revision to the Commonwealth's State Implementation Plan. The revision is intended to clarify terms and intent of Chapter 121 (relating to general provisions), Chapter 123 (relating to standards for contaminants), and Chapter 129 (relating to standards for sources).

Under Executive Order 12044 EPA is required to judge whether a regulation is "significant" and therefore subject to the procedural requirements of the Order or whether it may follow other specialized development procedures. EPA labels these other regulations "specialized". I have reviewed this regulation and determined that it is a specialized regulation not subject to the procedural requirements of Executive Order 12044.

(42 U.S.C. 7401–7642)

Dated: December 11, 1979.

Douglas M. Costle,

Administrator.

Part 52 of Title 40, Code of Federal Regulations is amended as follows:

PART 52—APPROVAL AND PROMULGATION OF IMPLEMENTATION PLANS

Subpart NN—Pennsylvania

1. In section 52.2020, paragraph (c)(21) is added.

§ 52.2020 Identification of Plan.

* * * * *

(c) The plan revision listed below was submitted on the date specified * * *

(21) A revision submitted by the Commonwealth of Pennsylvania on September 20, 1978 to clarify terms and intent of Chapter 121 (relating to general provisions), Chapter 123 (relating to standards for contaminants) and Chapter 129 (relating to standards for sources).

[FR Doc. 79-38510 Filed 12-14-79; 8:45 am]

BILLING CODE 6560-01-M

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40 CFR Part 52

[FRL 1375-1]

Approval and Revision of the Virginia Implementation Plan

AGENCY: Environmental Protection Agency.

ACTION: Final rule.

SUMMARY: This notice announces the Administrator's approval of a variance issued by the Virginia State Air Pollution Control Board for E.I. DuPont de Nemours and Company's Spruance, Virginia plant as a revision to Virginia's State Implementation Plan (SIP) pursuant to Section 110 of the Clean Air Act, 42 U.S.C. 7410. The variance exempts one of the company's boilers from the State's emission standard for particulate emissions from fuel-burning equipment until December 31, 1980. Sulfur dioxide (SO_2) and opacity emission limitations will not be changed by this variance. Diffusion modeling done by the Company indicates that the increase in emissions allowed by the variance will not significantly affect ambient air quality.

EFFECTIVE DATE: January 16, 1980.

ADDRESSES: Copies of the revision and accompanying support material are available for public inspection during normal business hours at the following locations:

U.S. Environmental Protection Agency, Region III, Air Programs Branch, Curtis Building, 10th Floor, Sixth & Walnut Streets, Philadelphia, Pennsylvania 19106, Attn: Ms. Patricia Sheridan.

State Air Pollution Control Board, Commonwealth of Virginia, Room 1106, Ninth Street Office Building, Richmond, Virginia 23219, Attn: W. R. Meyer.

Public Information Reference Unit, Room 2922—EPA Library, U.S. Environmental Protection Agency, 401 M Street, S.W. (Waterside Mall), Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT:

Mr. Mark Garrison (3AH13), Air Programs Branch, U.S. Environmental Protection Agency, Curtis Building, Tenth Floor, Sixth and Walnut Streets, Philadelphia, Pennsylvania 19106, phone 215/597–2745.

SUPPLEMENTARY INFORMATION:

I. Background

On December 13, 1978 the Secretary of Commerce and Resources of the Commonwealth of Virginia submitted on behalf of the Governor a proposed revision of the Virginia SIP consisting of a variance for the E.I. DuPont de Nemours and Company's Spruance, Virginia plant. The variance exempts one of the Company's eight boilers from Part IV, Rule EX–3 of Virginia's Regulations for the Control and Abatement of Air Pollution. This regulation deals with emissions standards for particulate emissions from fuel burning equipment. On February 22, 1979 the State submitted additional information regarding the proposed revision, including an addition to the variance specifying an emissions limitation for particulates that the Company's boiler will have to meet while the variance is in effect. The additional information also included a certification that the variance was approved in accordance with the public hearing and notice requirements of 40 CFR 51.4. On June 12, 1979 (44 FR 33712), EPA proposed the regulation changes as a revision to the Virginia SIP and provided for a 30-day public comment period ending July 12, 1979. During the public comment period no comments were received by EPA Region III.

This revision will allow the Company to burn coal in one of its eight boilers prior to the planned installation of particulate control equipment consisting of electrostatic precipitators (ESPs). The installation of this control equipment will be completed by December 31, 1980 at which time the Company intends to commence burning coal in four additional boilers, for a total of five of the Spruance plant's boilers. Since the variance expires on December 31, 1980, the Company thereafter will be required to meet the State emission limitation for particulates.

The variance exempts from Part IV, Rule EX–3 of Virginia's Regulations any single coal-burning boiler. This regulation was adopted by the State and submitted to EPA as part of a SIP revision which was proposed by EPA in the **Federal Register** on February 8, 1977 (42 FR 7969).

EPA had not taken final action on that proposed SIP revision as of the effective date of the variance (i.e. December 1, 1978), and thus Virginia's former regulation, Section 4.03.01, was still in effect as a matter of federal law. EPA believes that its decision to approve the variance for DuPont as a SIP revision is independent of the final action with respect to Part IV, Rule EX–3 and that the variance will correctly exempt any one boiler in question from Section 4.03.01 (for the purposes of federal enforcement) as well as from Part IV, Rule EX–3 until December 31, 1980 as long as the conditions of the variance are met.

II. Control Strategy Demonstration

Diffusion modeling performed by the Company indicates that the allowed increase in particulate emissions will not significantly affect ambient air quality. The modeling was done using EPA's CRSTER model with one year (1964) of meteorological data. The data was obtained from the Richmond airport and supplemented by mixing height data from National Airport in Washington, D.C. The modeling demonstrates that this SIP revision will not interfere with the attainment and maintenance of the national ambient air quality standards (NAAQS) for particulates.

The air quality impact demonstration performed by DuPont assumes that the existing multicyclones will operate at approximately 83% collection efficiency. Although EPA has observed some multicyclones that operate at or above such efficiency, it is the Agency's observation that most multicyclones of the vintage used by DuPont (pre-1960) have a much lower operating efficiency. Therefore, EPA intends to require, pursuant to Section 114 of the Clean Air Act, particulate emissions testing by DuPont within 30 days after conversion to coal firing. Should emissions exceed the emission limitations specified in the variance being approved by this notice, EPA intends to require compliance with the emission limitations by all necessary means, including immediate load reduction or conversion to oil.

III. Approvability of the Proposed Revision

Based upon an evaluation of the material submitted by Virginia, the Agency believes that the proposed revision satisfies the applicable requirements of Section 110 of the Clean Air Act and 40 CFR Part 51. Therefore, the Administrator approves the variance issued to E.I. DuPont de Nemours and Company's Spruance, Virginia plant as a revision of Virginia's State Implementation Plan, effective January 16, 1980. Concurrently, the Administrator amends 40 CFR 52.2420 (Identification of Plan) of Subpart VV (Virginia) to incorporate this plan revision into Virginia's SIP.

Under Executive Order 12044, EPA is required to judge whether a regulation is "significant" and therefore subject to the procedural requirements of the Order or whether it may follow other specialized development procedures. EPA labels these other regulations "specialized". I have reviewed this regulation and determined that it is a specialized regulation not subject to the procedural requirements of Executive Order 12044.

(42 U.S.C. 7401–7642)

Dated: December 11, 1979.

Douglas M. Costle,

Administrator.

Part 52 of Title 40, Code of Federal Regulations is amended as follows:

Subpart VV—Virginia

§ 52.2420 [Amended]

(1) In § 52.2420 Identification of Plan, paragraph (c)(25) is added to read as follows:

* * * * *

(c) The plan revisions listed below were submitted on the dates specified

* * *

(25) A variance issued to the Spruance, Virginia plant of E.I. DuPont de Nemours and Company exempting one of their boilers from Rule EX–3 until December 31, 1980, submitted on December 13, 1978 by the Secretary of Commerce and Resources.

[FR Doc. 79-38536 Filed 12-14-79; 8:45 am]

BILLING CODE 6560-01-M

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40 CFR Part 52

[FRL 1374-3]

Approval and Promulgation of Implementation Plans; Arizona Plan Revision: Arizona Department of Health Services, and Pima, Coconino, Mohave, Pinal-Gila, and Yuma Counties

AGENCY: Environmental Protection Agency.

ACTION: Final rulemaking.

SUMMARY: The Environmental Protection Agency (EPA) takes final action to approve and, where appropriate, disapprove or take no action on changes to the Arizona Department of Health Services' (ADHS) Rules and Regulations for Air Pollution Control and the air pollution control regulations of Pima, Coconino, Mohave, Pinal-Gila, and Yuma Counties submitted by the Governor's designee as a revision to the Arizona State Implementation Plan (SIP). The intended effect of this action is to update rules and regulations and to correct certain deficiencies in the SIP.

EFFECTIVE DATE: January 16, 1980.

FOR FURTHER INFORMATION CONTACT:

Louise P. Giersch, Director, Air and Hazardous Materials Division, Environmental Protection Agency, 215 Fremont Street, San Francisco, CA 94105, Attn: Douglas Grano, (415) 556–2938.

SUPPLEMENTARY INFORMATION: On June 4, 1979 (44 FR 32005) EPA published a Notice of Proposed Rulemaking for revisions to the ADHS Rules and Regulations for Air Pollution Control and the air pollution control regulations of various counties, submitted by the ADHS for inclusion in the Arizona SIP on various dates.

The proposed rulemaking notice provided for a 60-day public comment period. One comment was received during the public comment period and is discussed below.

All rules submitted have been evaluated in accordance with 40 CFR Part 51, with the exception of the rules listed below for which EPA is not taking final action. The revisions to rules and regulations approved in this notice are consistent with all EPA requirements.

EPA is promulgating approval for the following County rules and regulations submitted July 1, 1975:

Coconino County Department of Public Health

Reg. 12–3–1, Ambient Air Quality Standards

Mohave County Health Department

Section 6, Reg. 4, Anti-Degradation

Pinal-Gila Counties Air Quality Control District

Reg. 7–2–1.8, Anti-Degradation
Reg. 7–3–2.5, Other Industries

The following County rules and regulations, submitted on July 1, 1975, were proposed for disapproval in the June 4, 1979 **Federal Register** notice and are being disapproved by this notice since the Arizona Revised Statutes and ADHS's rules and regulations specify the State Health Department and Hearing Board as having exclusive jurisdiction over copper smelters:

Mohave County Health Department

Section 3, Reg. 3, Sulfur from Primary Copper Smelters

Pinal-Gila Counties Air Quality Control District

Reg. 7–3–2.1, Copper Smelters

EPA is taking no action on the regulations indicated below since all have been superseded by more recent submittals:

1. The State of Arizona submitted amendments to the ADHS Rules and Regulations for Air Pollution Control on January 4, 1979. This more recent submittal replaces all previously submitted revisions to the ADHS Rules and Regulations. Therefore, no action is being taken on the previously submitted State regulations listed in the June 4 notice.

2. Pima County Air Quality Control District's Regulation I, Rule 1D, *Emissions Regulated; Policy; Legal Authority,* and Regulation II, Rule 11A, *Malfunction, Start-up, Shutdown, and Scheduled Maintenance,* listed in the Notice of Proposed Rulemaking, have been superseded by a recent submittal of Pima County rules and regulations on October 9, 1979. Therefore, EPA is taking no action on the two Pima County rules above.

3. Yuma County Health Department's Regulations 8–1–2.8, *Anti-Degradation,* and Regulation 8–1–4.1, *Copper Smelters* were listed in the June 4 notice. However, the one public comment EPA received as a result of the June 4 Notice of Proposed Rulemaking was from the Yuma County Health Department. The Department pointed out the existence of a more recent set of Yuma County Air Pollution Control Regulations, submitted to EPA as an SIP revision on April 10, 1979. Because the April 10 submittal is a complete revision of all Yuma County Air Pollution Control Regulations, the

two regulations above can be considered superseded and EPA is taking no action on them.

It is also the intent of this notice to correct a clerical error which appeared at 43 FR 53034 (November 15, 1978): Section 52.125 of Chapter I, Title 40 of the Code of Federal Regulations was intended to have been amended by the addition of paragraph (f)(3), not (e)(3).

The Arizona Department of Health Services has certified that the public hearing requirements of 40 CFR 51.4 have been satisfied.

(Secs. 110, 301(a), Clean Air Act as amended (42 U.S.C. 7410 and 7601(a)).)

Note.—The Environmental Protection Agency has determined that this document is not a significant regulation and does not require preparation of a regulatory analysis under Executive Order 12044.

Dated: December 11, 1979.

Douglas M. Costle,

Administrator.

Subpart D of Part 52 of Chapter I, Title 40 of the Code of Federal Regulations is amended as follows:

Subpart D—Arizona

1. Section 52.120, paragraphs (c)(18)(i), (ii) and (iv) are amended as follows:

§ 52.120 Identification of plan.

* * * * *

(c) * * *

(18) * * *

(i) Coconino County Air Pollution Control Regulations.

* * * * *

12–3–1 (Ambient Air Quality Standards)

* * * * *

(ii) Mohave County Air Pollution Control Regulations.

* * * * *

Sec. 3, Reg. 3 (Sulfur from Primary Copper Smelters)

* * * * *

Sec. 6, Reg. 4 (Anti-Degradation)

* * * * *

(iii) * * *

(iv) Pinal-Gila Counties Air Pollution Control Regulations.

* * * * *

Reg. 7–2–1.8 (Anti-Degradation)

* * * * *

Reg. 7–3–2.1 (Copper Smelters)

* * * * *

Reg. 7–3–2.5 (Other Industries)

* * * * *

§ 52.125 [Corrected]

2. Section 52.125 as amended at 43 FR 53034, third column (November 15, 1978), is corrected by renumbering paragraph (e)(3) to (f)(3).

3. Section 52.125 is amended by the addition of paragraph (g) as follows:

§ 52.125 Control strategy and regulations: Sulfur oxides.

* * * * *

(g) Section 3, Regulation 3 (Sulfur from Primary Copper Smelters) of the Mohave County Health Department Air Pollution Control Regulations and Regulation 7–3–2.1 (Copper Smelters) of the Pinal-Gila Counties Air Quality Control District are disapproved since Section 36–1706 of the Arizona Revised Statutes grants exclusive jurisdiction to the Arizona Department of Health Services and the State Hearing Board over all existing copper smelters.

* * * * *

[FR Doc. 79-38535 Filed 12-14-79; 8:45 am]

BILLING CODE 6560-01-M

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

43 CFR Public Land Order 5689

[A 6829]

Arizona; Partial Revocation of Reclamation Withdrawals

AGENCY: Bureau of Land Management, Interior.

ACTION: Public Land Order.

SUMMARY: This order will revoke Departmental Orders of July 2, 1902, September 30, 1904, November 16, 1918, and March 14, 1929, which withdrew certain lands in Arizona for reclamation purposes under Bureau of Reclamation jurisdiction. This action will restore 4,398.68 acres to operation of the public land laws, including the mining laws. The mineral interests in the remaining 13,909.51 acres have been and will continue to be open to operation of the Mineral Leasing Act of February 25, 1920, as amended and supplemented (30 U.S.C. 181 et seq.) and the Mineral Leasing Act for Acquired Lands (30 U.S.C. 351–359).

EFFECTIVE DATE: January 16, 1980.

FOR FURTHER INFORMATION CONTACT: Mario L. Lopez, Chief, Branch of Lands and Minerals Operations, Bureau of Land Management, 2400 Valley Bank Center, Phoenix, Arizona 85073, (602) 261–4774.

By virtue of the authority contained in section 204 of the Federal Land Policy and Management Act of October 21, 1976, 90 Stat. 2751; 43 U.S.C. 1714, it is ordered as follows:

1. The Departmental Orders of July 2, 1902, September 30, 1904, November 16, 1918, and March 14, 1929, withdrawing lands for reclamation purposes are hereby revoked so far as they relate to the following described lands:

Gila and Salt River Meridian

T. 7 S., R. 14 W.,
  Sec. 9, NE¼SE¼.
T. 7 S., R. 15 W.,
  Sec. 19, lots 6, 7, 9, 11, N½NE¼;
  Sec. 20, S½;
  Sec. 29, NE¼;
  Sec. 30, NE¼.
T. 7 S., R. 16 W.,
  Sec. 23, lots 2, 3, and 4;
  Sec. 25, SE¼SE¼;
  Sec. 26, NW¼NW¼;
  Sec. 27, lots 1, 2, 4, 5, SE¼NW¼, N½SW¼, N½N½S½SW¼, N½S½N½S½SW¼;
  Sec. 29, N½SE¼, N½N½S½SE¼;
  Sec. 30, lot 4;
  Sec. 32, NE¼SW¼;
  Sec. 33, NW¼;
  Sec. 34, lots 2, 5, 6, W½NE¼, N½NW¼;
  Sec. 35, N½N½.
T. 8 S., R. 16 W.,
  Sec. 5, SW¼;
  Sec. 6, lot 7, S½NE¼, SE¼SW¼, SE¼;
  Sec. 12, SE¼, SE¼SW¼;
  Sec. 13, SE¼;
  Sec. 15, SW¼;
  Sec. 17, lots 1 through 15, SE¼NE¼, NE¼NW¼;
  Sec. 18, E½SE¼;
  Sec. 19, N½NE¼, NE¼NW¼;
  Sec. 23, S½SE¼;
  Sec. 26, N½N½;
  Sec. 28, S½N½ lying south of the railroad right-of-way;
  Sec. 29, NW¼SW¼, NE¼SW¼, and the N½SE¼ lying south of the railroad right-of-way;
  Sec. 30, NE¼SW¼.
T. 7 S., R. 17 W.,
  Sec. 33, SE¼SE¼;
  Sec. 34, S½S½;
  Sec. 35, N½N½SW¼NE¼, SE¼NE¼, N½SE¼NW¼, N½SW¼SE¼NW¼, N½S½SW¼SE¼NW¼, N½N½SE¼SE¼NW¼, N½N½NE¼SE¼;
  Sec. 36, lots 1 through 8, SW¼NE¼, SE¼SE¼.
T. 8 S., R. 17 W.,
  Sec. 1, N½SE¼;
  Sec. 2, lots 2, 3, 5;
  Sec. 3, lot 4, E½SW¼;
  Sec. 4, lots 5, 6, 7, 8, E½SW¼NW¼, SE¼NW¼;
  Sec. 5, lots 1 through 8, S½NW¼, SW¼, W½SE¼, SE¼SE¼;
  Sec. 6, lots 6 through 11, S½NE¼, E½SW¼, N½SE¼, W½SW¼SE¼;
  Sec. 7, lots 1 through 8, E½NE¼, SW¼NE¼, SE¼NW¼, E½SW¼, SE¼;
  Sec. 8, all;
  Sec. 9, all;
  Sec. 10, lots 2, 3, 5, E½SE¼, NW¼;
  Sec. 12, SW¼;
  Sec. 14, lots 1, 2, SW¼SE¼, SE¼SW¼;
  Sec. 15, lot 2;
  Sec. 17, N½NW¼, SE¼SE¼;
  Sec. 20, E½NE¼;
  Sec. 21, S½N½NW¼NW¼, S½NW¼NW¼, SW¼NW¼, W½SE¼;
  Sec. 22, SW¼SE¼;
  Sec. 23, SW¼SW¼;
  Sec. 24, E½SW¼SW¼;
  Sec. 25, NW¼SE¼ and the SW¼ lying north of Southern Pacific Railroad Company right-of-way;

  Sec. 26, E½SE¼;
  Sec. 27, NE¼, S½NE¼NW¼, SE¼NW¼, E½SE¼;
  Sec. 29, lots 1 through 5;
  Sec. 30, lot 4, SE¼SW¼;
  Sec. 31, lots 1, 2, E½NW¼, and that portion of the SE¼SE¼ lying south of the Southern Pacific Railroad Company right-of-way;
  Sec. 32, W½NE¼, S½SW¼;
  Sec. 33, that portion of the SW¼NE¼ lying south of the Southern Pacific Railroad Company right-of-way and the SE¼NW¼ lying north of the Southern Pacific Railroad Company right-of-way;
  Sec. 34, NE¼NE¼, SW¼NE¼, E½NW¼;
  Sec. 35, NW¼NE¼.
T. 9 S., R. 17 W.,
  Sec. 6, lots 1 and 2 south of highway right-of-way and the S½NE¼.
T. 8 S., R. 18 W.,
  Sec. 14, S½NW¼, E½SW¼;
  Sec. 24, SE¼NE¼;
  Sec. 28, N½SW¼;
  Sec. 29, lots 1 through 10;
  Sec. 30, lots 2, 5, 6, SE¼NE¼, E½NW¼, NE¼SE¼;
  Sec. 31, E½NW¼
  Sec. 32, S½SE¼;
  Sec. 33, NE¼SE¼, S½SE¼, SW¼SW¼;
  Sec. 34, N½SW¼, SW¼SW¼.
T. 9 S., R. 18 W.,
  Sec. 5, lot 3;
  Sec. 6, SW¼SE¼;
  Sec. 7, SE¼;
  Sec. 8, W½;
  Sec. 11, E½NE¼NE¼;
  Sec. 17, NE¼, E½NW¼, SW¼NW¼;
  Sec. 18, lots 3, 4, E½SW¼, SE¼.
T. 9 S., R. 19 W.,
  Sec. 1, lots 3, 4, S½NW¼;
  Sec. 3, SW¼SW¼, E½SW¼;
  Sec. 4, lots 1, 5, 6, SE¼SE¼;
  Sec. 9, NE¼NE¼;
  Sec. 10, N½NW¼;
  Sec. 11, N½N½;
  Sec. 12, lot 2, W½NE¼;
  Sec. 13, lots 1, 2, E½NE¼, NW¼.
T. 8 S., R. 20 W.,
  Sec. 18, lots 1, 2, 3, 4;
  Sec. 19, lots 1, 2, 3, 4, SE¼NE¼, W½E½, E½SE¼;
  Sec. 20, E½W½, SE¼, SW¼SW¼;
  Sec. 28, W½NW¼, SW¼;
  Sec. 29, all;
  Sec. 33, all;
  Sec. 34, SW¼.
T. 9 S., R. 20 W.,
  Sec. 11, all;
  Sec. 13, all;
  Sec. 14, all.
T. 7 S., R 21 W.,
  Sec. 35, W½W½NE¼SE¼, NE¼NW¼NE¼SE¼, NW¼SE¼, N½N½SW¼SE¼, N½S½N½SW¼ SE¼, NW¼NW¼SE¼SE¼, N½SW¼ NW¼SE¼SE¼.

The areas described aggregate approximately 18,308.19 acres in Yuma County.

The lands lie in the southwestern part of the State near the communities of Wellton and Tacna, Arizona. The topography of these lands ranges from gently sloping alluvial fans at lower elevations to rugged rock outcrops which form the eastern foothills of the Gila Mountains. Vegetation is limited to scattered ocotillo, saguaro, and creosote with some palo verde, ironwood, and mesquite in the wash areas.

2. Of the above described lands, 4,398.68 acres will become public lands under the jurisdiction of the Bureau of Land Management and are described as follows:

Gila and Salt River Meridian

T. 8 S., R. 20 W.,
  Sec. 18, lots 1, 2, 3, 4;
  Sec. 19, lots 1, 2, 3, 4, SE¼NE¼, W½E½, E½SE¼;
  Sec. 20, E½W½, SE¼, SW¼SW¼;
  Sec. 28, W½NW¼, SW¼;
  Secs. 29 and 33;
  Sec. 34, SW¼.
T. 9 S., R. 20 W.,
  Secs. 11, 13, and 14.

3. At 10:00 a.m. on January 16, 1980, the lands described in paragraph 2 shall be open to operation of the public land laws generally, subject to valid existing rights, the provisions of existing withdrawals, and the requirements of applicable laws. All valid applications received at or prior to 10:00 a.m. on January 16, 1980, shall be considered as simultaneously filed at that time. Those received thereafter shall be considered in the order of filing.

4. At 10:00 a.m. on January 16, 1980, the lands described in paragraph 2 shall be open to location under the United States mining laws. They have been open to applications and offers under the mineral leasing laws.

5. The remaining 18,308.19 acres described in paragraph 1, excluding the 4,398.68 acres described in paragraph 2, contain a mineral reservation to the United States. These lands have been and will continue to be open to operation of the Mineral Leasing Act of February 25, 1920, as amended and supplemented (30 U.S.C. 181 et seq.), and the Mineral Leasing Act for Acquired Lands, enacted on August 7, 1947, 30 U.S.C. 351–359, subject to valid existing rights, the provisions of existing withdrawals and the requirements of applicable laws.

Guy R. Martin,

Assistant Secretary of the Interior.

December 11, 1979.

[FR Doc. 79-38555 Filed 12-14-79; 8:45 am]

BILLING CODE 4310-84-M

43 CFR Public Land Order 5691

[Misc-1375265]

Colorado; Modification of Oil Shale Withdrawal

AGENCY: Bureau of Land Management, Interior.

ACTION: Public Land Order.

SUMMARY: This public land order modifies Executive Order No. 5327 of April 15, 1930, to permit disposal of public lands by exchange.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Louis B. Bellesi—202–343–8731. By virtue of the authority contained in section 204 of the Federal Land Policy and Management Act (90 Stat. 2751; 43 U.S.C. 1714), it is ordered as follows:

1. Executive Order No. 5327 of April 15, 1930, withdrawing oil shale deposits and lands containing such deposits, is hereby modified to the extent necessary to permit disposal of the following described lands including the mineral estate thereof by means of an exchange under section 206 of the Act of October 21, 1976 (90 Stat. 2756; 43 U.S.C. 1716):

Sixth Principal Meridian

T. 5 S., R. 95 W.,
  Sec. 6, lots 4, 5, 6, 11, 12, and 17;
  Sec. 7, lot 4, E½NE¼NE¼, E½NE¼SE¼;
  Sec. 18, E½NE¼NE¼.
T. 5 S., R. 96 W.,
  Sec. 1, lot 6;
  Sec. 11, SE¼SE¼;
  Sec. 14, NE¼NE¼.

The areas described aggregate 337.35 acres in Garfield County.

Guy R. Martin,

Assistant Secretary of the Interior.

December 11, 1979.

[FR Doc. 79-38554 Filed 12-14-79; 8:45 am]

BILLING CODE 4310-84-M

FEDERAL EMERGENCY MANAGEMENT AGENCY

44 CFR Part 11

[Docket No. FEMA-Gen-11]

Administrative Claims; Interim Rule and Request for Comment

AGENCY: Federal Emergency Management Agency.

ACTION: Interim rule and request for comment.

SUMMARY: This interim rule establishes general procedures for filing a claim against the Federal Emergency Management Agency (FEMA), and

specific instructions with respect to filing administrative claims under the Federal Tort Claims Act. In addition, even though this is a matter of procedure, FEMA requests public comment on the regulation. However, in order that FEMA have established procedures immediately, FEMA is issuing this as operating rule effective immediately and affording at the same time an opportunity for public comment.

DATES: The rule is effective on December 17, 1979. Written comments received should be submitted by February 15, 1980.

ADDRESS: Send comments to Rules Docket Clerk, Office of General Counsel, Federal Emergency Management Agency, Washington, D.C. 20472.

FOR FURTHER INFORMATION CONTACT: William L. Harding, Office of General Counsel, (202) 634–4113.

SUPPLEMENTARY INFORMATION: Reorganization Plan No. 3 of 1978 established the Federal Emergency Management Agency (FEMA). The plan was activated effective April 1, 1979 by Executive Order 12127 "Federal Emergency Management Agency," 44 FR 19367. The plan and Executive Order 12148, 44 FR 43239, effective July 15, 1979 transferred to the new agency functions of five existing agencies in four departments or parent agencies. Under the plan, and pursuant to the orders the regulations of the predecessor agencies remain in full force and effect in FEMA until those regulations are superseded.

Accordingly, to provide a single regulation on Claims it is appropriate to adopt regulations which are interim operating rules but which also afford an opportunity for public comment.

Interested parties may participate by submiting their views, in writting on this interim regulation of FEMA. Each comment should include the name and address of the person or organization submitting the comment and should make reference to the above-cited docket number. All comments timely received will be docketed and made available for public inspection at FEMA.

Accordingly, Chapter I of Title 44, Code of Federal Regulations is amended by adding a new Part 11 as follows:

PART 11—CLAIMS

Subpart A—General

Sec.

11.1 General Collection Standards.
11.2 Delegations of Authority.

Subpart B—Administrative Claims Under Federal Tort Claims Act

11.10 Scope of regulations.
11.11 Administrative claim; when presented; appropriate FEMA office.
11.12 Administrative claim; who may file.
11.13 Investigations.
11.14 Administrative claim; evidence and information to be submitted.
11.15 Authority to adjust, determine, compromise and settle.
11.16 Limitations on authority.
11.17 Referral to Department of Justice.
11.18 Final denial of claim.
11.19 Action on approved claim.

Authority: 28 U.S.C. 2672, 28 CFR 14.11, 5 U.S.C. 301, Reorganization Plan No. 3 of 1978, (43 FR 41943) Executive Order 12127 44 FR 19367.

Subpart A—General

§ 11.1 General collection standards.

The general standards and procedures governing the collection, compromise, termination and referral to the Department of Justice of claims for money and property that are prescribed in the regulations issued jointly by the General Accounting Office and the Department of Justice pursuant to the Federal Claims Collection Act of 1966 (4 CFR Part 101 *et seq.*), apply to the administrative claim collection activities of the Federal Emergency Management Agency (FEMA).

§ 11.2 Delegations of authority.

Any and all claims that arise under Subchapter III of Chapter 83, Chapter 87 and Chapter 88 of title 5, the United States Code, the Retired Federal Employees Health Benefits Act (74 Stat. 849), the Panama Canal Construction Annuity Act (58 Stat. 257), and the Lighthouse Service Widow's Annuity Act (64 Stat. 465) shall be referred to the Director of the Bureau of Retirement and Insurance, Office of Personnel Management, for handling. The General Counsel, FEMA shall act on all other claims against FEMA for money and property.

Subpart B—Administrative Claims Under Federal Tort Claims Act

§ 11.10 Scope of regulation.

This regulation applies to claims asserted under the Federal Tort Claims Act against the Federal Emergency Management Agency (FEMA). It does not include any contractor with FEMA.

§ 11.11 Administrative claim; when presented; appropriate FEMA office.

(a) For the purpose of this part, and the Provisions of the Federal Tort Claims Act a claim is deemed to have been presented when FEMA receives, at a place designated in paragraph (b) or (c) of this section, an executed "Claim for Damage or Injury," Standard Form 95, or other written notification of an incident, accompanied by a claim for money damages in a sum certain for injury to or loss of property, for personal injury, or for death alleged to have occurred by reason of the incident. A claim which should have been presented to FEMA, but which was mistakenly addressed to or filed with another Federal agency, is deemed to be presented to FEMA as of the date that the claim is received by FEMA. If a claim is mistakenly addressed to or filed with FEMA, the claim shall forthwith be transferred to the appropriate Federal Agency, if ascertainable, or returned to the claimant.

(b) Except as provided in paragraph (c) of this section, a claimant shall mail or deliver his or her claim to the Office of General Counsel, Federal Emergency Management Agency, 1725 I Street, NW., Washington, D.C. 20472.

(c)(1) When a claim is for $200 or less, does not involve a personal injury, and involves a FEMA regional employee, the claimant shall mail or deliver the claim to the Director of the FEMA Regional Office in which is employed the FEMA employee whose negligence or wrongful act or omission is alleged to have caused the loss or injury complained of. The addresses of the Regional Office of FEMA are set out in Appendix A to Part 5 of this chapter.

(d) A claim presented in compliance with paragraph (a) of this section may be amended by the claimant at any time prior to final FEMA action or prior to the exercise of the claimant's option under 28 U.S.C. 2675(a). Amendments shall be submitted in writing and signed by the claimant or his or her duly authorized agent or legal representative. Upon the timely filing of an amendment to a pending claim, FEMA shall have six months in which to make a final disposition of the claim as amended and the claimant's option under 28 U.S.C. 2675(a) shall not accrue until six months after the filing of an amendment.

§ 11.12 Administrative claim; who may file.

(a) A claim for injury to or loss of property may be presented by the owner of the property interest which is the subject of the claim, his or her authorized agent, or legal representative.

(b) A claim for personal injury may be presented by the injured person, his or her authorized agent, or legal representative.

(c) A claim based on death may be presented by the executor or administrator of the decedent's estate or by any other person legally entitled to assert such a claim under applicable State law.

(d) A claim for loss wholly compensated by an insurer with the rights of a subrogee may be presented by the insurer or the insured individually, as their respective interests appear, or jointly. When an insurer presents a claim asserting the rights of a subrogee, he or she shall present with the claim appropriate evidence that he or she has the rights of a subrogee.

(e) A claim presented by an agent or legal representative shall be presented in the name of the claimant, be signed by the agent or legal representative, show the title of legal capacity of the person signing, and be accompanied by evidence of his or her authority to represent a claim on behalf of the claimant as agent, executor, administrator, parent, guardian, or other representative.

§ 11.13 Investigations.

FEMA may investigate, or may request any other Federal agency to investigate, a claim filed under this part.

§ 11.14 Administrative claim; evidence and information to be submitted.

(a) *Death.* In support of a claim based on death the claimant may be required to submit the following evidence or information:

(1) An authenticated death certificate or other competent evidence showing cause of death, date of death, and age of the decedent.

(2) Decedent's employment or occupation at time of death, including his or her monthly or yearly salary or earnings (if any), and the duration of his or her last employment or occupation.

(3) Full names, addresses, birth dates, kinship, and marital status of the decedent's survivors, including identification of those survivors who were dependent for support on the decedent at the time of his or her death.

(4) Degree of support afforded by the decedent to each survivor dependent on him or her for support at the time of death.

(5) Decedent's general physical and mental condition before death.

(6) Itemized bills or medical and burial expenses incurred by reason of the incident causing death, or itemized receipts of payment for such expenses.

(7) If damages for pain and suffering before death are claimed, a physician's detailed statement specifying the injuries suffered, duration of pain and suffering, any drugs administered for pain, and the decedents physical condition in the interval between injury and death.

(8) Any other evidence or information which may have a bearing on either the responsibility of the United States for the death or the amount of damages claimed.

(b) *Personal injury.* In support of a claim for personal injury, including pain and suffering, the claimant may be required to submit the following evidence or information:

(1) A written report by his or her attending physician or dentist setting forth the nature and extent of the injury, nature and extent of treatment, any degree of temporary or permanent disability, the prognosis, period of hospitalization, and any diminished earning capacity. In addition, the claimant may be required to submit to a physical or mental examination by a physician employed by FEMA or another Federal agency. FEMA shall make available to the claimant a copy of the report of the examining physician on written request by the claimant, if he or she has, on request, furnished the report referred to in the first sentence of this subparagraph and has made or agrees to make available to FEMA any other physician's reports previously or thereafter made of the physical or mental condition which is the subject matter of the claim.

(2) Itemized bills for medical, dental, and hospital expenses incurred, or itemized receipts of payment of such expenses.

(3) If the prognosis reveals the necessity for future treatment, a statement of expected expenses for such treatment.

(4) If a claim is made for loss of time from employment, a written statement from the employer showing actual time lost from employment, whether he or she is a full- or part-time employee, and wages or salary actually lost.

(5) If a claim is made for loss of income and the claimant is self-employed, documentary evidence showing the amount of earnings actually lost.

(6) Any other evidence or information which may have a bearing on either the responsibility of the United States for the personal injury or the damages claimed.

(c) *Property damage.* In support of a claim for injury to or loss of property, real or personal, the claimant may be required to submit the following evidence or information:

(1) Proof of ownership of the property interest which is the subject of the claim.

(2) A detailed statement of the amount claimed with respect to each item of property.

(3) An itemized receipt of payment for necessary repairs or itemized written estimates of the cost of such repairs.

(4) A statement listing date of purchase, purchase price, and salvage value, where repair is not economical.

(5) Any other evidence or information which may have a bearing on either the responsibility of the United States for the injury to or loss of property or the damages claimed.

§ 11.15 Authority to adjust, determine, compromise and settle.

(a) The General Counsel of FEMA, or a designee of the General Counsel is delegated authority to consider, ascertain, adjust, determine, compromise, and settle claims under the provisions of section 2672 of Title 18, United States Code, and this part.

(b) Notwithstanding the delegation of authority in paragraph (a) of this section, a Regional Director is delegated authority to be exercised in his or her discretion, to consider, ascertain, adjust, determine, compromise, and settle under the provisions of section 2672 of title 28, United States Code, and this part, any claim for $200 or less which is based on alleged negligence or wrongful act or omission of an employee of the appropriate Region, except when:

(1) There are personal injuries to either Government personnel or individuals not employed by the Government; or

(2) All damage to Government property or to property being used by FEMA, or both, is more than $200, or all damage to non-Government property being used by individuals not employed by the Government is more than $200.

§ 11.16 Limitations on authority.

(a) An award, compromise, or settlement of a claim under this part in excess of $25,000 may be effected only with the advance written approval of the Attorney General or his or her designee. For the purpose of this paragraph, a principal claim and any derivative or subrogated claim shall be treated as a single claim.

(b) An administrative claim may be adjusted, determined, compromised, or settled under this part only after consultation with the Department of Justice, when, in the opinion of the General Counsel of FEMA or his or her designee:

(1) A new precedent or a new point of law is involved; or

(2) A question of policy is or may be involved; or

(3) The United States is or may be entitled to indemnity or contribution from a third party and FEMA is unable to adjust the third party claim; or

(4) The compromise of a particular claim, as a practical matter, will or may control the disposition of a related claim in which the amount to be paid may exceed $25,000.

(c) An administrative claim may be adjusted, determined, compromised or settled under this part only after consultation with the Department of

Justice when FEMA is informed or is otherwise aware that the United States or an employee, agent or cost-type contractor of the United States is involved in litigation based on a claim arising out of the same incident or transaction.

§ 11.17 Referral to Department of Justice.

When Department of Justice approval or consultation is required under § 11.16, the referral or request shall be transmitted to the Department of Justice by the General Counsel or his or her designee.

§ 11.18 Final denial of claim.

(a) Final denial of an administrative claim under this part shall be in writing and sent to the claimant, his or her attorney, or legal representative by certified or registered mail. The notification of final denial may include a statement of the reasons for the denial and shall include a statement that, if the claimant is dissatisfied with the FEMA action, he or she may file suit in an appropriate U.S. District Court not later than 6 months after the date of mailing of the notification.

(b) Prior to the commencement of suit and prior to the expiration of the 6-month period provided in 28 U.S.C. 2401(b), a claimant, his or her duly authorized agent, or legal representative, may file a written request with FEMA for reconsideration of a final denial of a claim under paragraph (a) of this section. Upon the timely filing of a request for reconsideration the FEMA shall have 6 months from the date of filing in which to make a final FEMA disposition of the claim and the claimants option under 28 U.S.C. 2675(a) shall not accrue until 6 months after the filing of a request for reconsideration. Final FEMA action on a request for reconsideration shall be effected in accordance with the provisions of paragraph (a) of this section.

§ 11.19 Action on approved claim.

(a) Payment of a claim approved under this part is contingent on claimant's execution of (1) a "Claim for Damage or Injury," Standard Form 95, or a claims settlement agreement, and (2) a "Voucher for Payment," Standard Form 1145, as appropriate. When a claimant is represented by an attorney, the voucher for payment shall designate both the claimant and his or her attorney as payees, and the check shall be delivered to the attorney, whose address shall appear on the voucher.

(b) Acceptance by the claimant, his or her agency, or legal representative, of an award, compromise, or settlement made under section 2672 or 2677 of title 28, United States Code, is final and conclusive on the claimant, his or her agent or legal representative, and any other person on whose behalf or for whose benefit the claim has been presented, and constitutes a complete release of any claim against the United States and against any employee of the Government whose act or omission gave rise to the claim, by reason of the same subject matter.

Dated: December 6, 1979.

John W. Macy, Jr.,

Director.

[FR Doc. 79-38484 Filed 12-14-79; 8:45 am]

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DEPARTMENT OF TRANSPORTATION

Coast Guard

46 CFR Parts 2 and 159

[CGD 76-048]

Equipment and Material Specifications; Approval Procedures, Production Inspection and Test Requirements, and Independent Laboratory Standards

AGENCY: Coast Guard, DOT

ACTION: Final rule.

SUMMARY: These regulations establish approval procedures, production inspection and test procedures, and standards for accepting independent laboratories for testing certain equipment and material requiring Coast Guard approval. These procedures will eventually replace the Coast Guard factory inspection requirements in many specification regulations. The need to perform factory inspections has diverted the Coast Guard's field personnel from other duties. This part, in conjunction with eventual changes to the specification regulations, places the responsibility for quality control on the manufacturer of the equipment or material. This will free some of the Coast Guard's limited field personnel for other duties without affecting the quality of the approved equipment or material.

EFFECTIVE DATE: These amendments become effective on January 17, 1980.

FOR FURTHER INFORMATION CONTACT: Mr. Robert L. Markle, Office of Merchant Marine Safety (G-MMT-3/TP22), Room 2203, Department of Transportation, Coast Guard Headquarters Bldg., 2100 Second Street, S.W., Washington, D.C. 20593, (202) 426-1444.

SUPPLEMENTARY INFORMATION: On October 23, 1978, the Coast Guard published a notice of proposed rulemaking in the **Federal Register** for these regulations (43 FR 49440). Five comments concerning the proposed regulations were received before the comment period closed on December 22, 1978. These comments are discussed in more detail in subsequent paragraphs. In addition, 7 laboratories either submitted applications or stated an intention to submit applications at a later date to be independent laboratories accepted by the Coast Guard for approval testing of equipment and materials.

The October 23, 1978 **Federal Register** also included several other notices related to visual distress signals. Two of these notices (CGD 76-048b, 43 FR 49447 and CGD 76-183a, 43 FR 49451) made reference to the proposed rules concerning approval procedures, production inspection and test requirements, and independent laboratory standards. The visual distress signal rules appear in final form in this issue of the **Federal Register**. Comments on the application of rules in this notice to visual distress signals are addressed in the other notices.

Summary of Final Evaluation

A final evaluation has been prepared for these regulations in accordance with the Department of Transportation's Regulatory Policies and Procedures published in the **Federal Register** on February 26, 1979 (44 FR 11034). That document requires that the evaluation quantify, to the extent practicable, the estimated cost of the regulations to the private sector, consumers, and Federal, State and local governments, as well as the anticipated benefits and impact of the regulations.

The costs to equipment manufacturers will be those necessary to obtain an independent laboratory to witness or perform pre-approval tests as well as periodic tests required for Coast Guard equipment and materials. As discussed in the final evaluation, the total annual costs to manufacturers of approved equipment and materials will gradually increase as the new procedures are introduced into various categories of approved equipment, rising to an estimated two million dollars per year in about five years if all Coast Guard inspections are phased out in that time. This estimate is several times the cost to the Coast Guard to perform these inspections. The evaluation is based on existing laboratory capabilities and assumes that laboratory inspectors will have to travel considerable distances to perform most inspections, and therefore the inspection visits will require at least one full day. The Coast Guard currently utilizes personnel from various field offices to conduct inspections and frequently combines inspection visits with other business in the vicinity of the manufacturer. This cost estimate may prove to be high, since the potential exists for significant savings as local sources of laboratory inspections are established.

It is anticipated that manufacturers will pass the cost of inspections to the purchasers of the equipment, and that these costs will ultimately be borne by consumers and recipients of marine products and services. The Coast Guard is presently performing inspections and tests at public expense. One of the effects of this change in procedure is that the manufacturer of the equipment and ultimately the users of marine products and services will bear the expense of performing these inspections and tests, rather than the general taxpayer. This is identified as one of the principal benefits of these regulations.

Another benefit is that the Coast Guard will be able to make more efficient use of its own resources. The Coast Guard's inspection responsibilities have increased in recent years and will continue to increase because of new laws and regulations in the environmental protection and occupational safety areas. The use of independent laboratories for performance of some of the inspection functions will enable the Coast Guard to avoid some of the increases in budget and personnel that would otherwise be necessary; however, personnel resources presently involved in the inspections and tests will continue to be needed to supervise some of the more critical inspections and to oversee the independent laboratory program.

The final evaluation has been included in the public docket for this rulemaking, and may be obtained from the Marine Safety Council. (G-CMC/TP24), Room 2418, 2100 Second Street, S.W., Washington, D.C. 20593.

Drafting Information

The principal persons involved in drafting these regulations are Mr. Robert L. Markle, Office of Merchant Marine Safety, and Mr. Coleman Sachs, Office of the Chief Counsel.

Discussion of the Regulations

These regulations establish a new Part 159 in Title 46 of the Code of Federal Regulations, which covers the general requirements for Coast Guard approval of equipment and materials. This new Part will eventually replace most of the repetitive portions of the specification regulations in Parts 160 through 164 in which these requirements presently appear. The new Part also contains provisions for the use of independent laboratories in witnessing or performing certain tests and conducting inspections required by the Coast Guard for the approval of equipment and material, and the monitoring of production techniques. Certain minor changes are also made in Part 2 of Title 46 to make this Part consistent with present practices, and to eliminate conflicts with the new Part 159. The result is a shorter and simplified section of Title 46.

The new Part 159 sets forth:

1. The procedures by which the Coast Guard approves each type of equipment and material affected by the new rules.
2. The procedures for production inspection and testing by the manufacturer and by an independent laboratory.
3. The standards and the procedures under which the Coast Guard accepts or lists an independent laboratory for performing or supervising inspections and tests.

The Coast Guard will begin acting on applications for acceptance of independent laboratories on the date of publication of these regulations, so that there will be accepted independent laboratories available on their effective date. As stated previously, the Coast Guard has already received applications or letters of intent to submit applications from 7 laboratories.

Discussion of General Comments

One commenter expressed concern that the standards for acceptance of independent laboratories were too restrictive and would create a virtual monopoly in the testing market for Coast Guard approved equipment and materials. The predicted lessening of competition between laboratories was cited as a factor that could result in higher costs. The Coast Guard disagrees with this analysis. The rules were carefully drafted so that a wide range of truly qualified and disinterested laboratories could participate. The standards for acceptance of independent laboratories contained in the proposal are admittedly comprehensive, but the purpose of these provisions is to maintain a high level of quality in the tests and inspections. The fact that 7 laboratories, after review of the proposed rules, indicated their intent to apply for Coast Guard acceptance even before the final rules were adopted, supports a finding that the rules are not overly restrictive.

Two commenters expressed concern that the new rules would require them to have approved equipment re-approved under the new procedures. This is not the case. Nothing in the rules would result in the withdrawal of existing approvals with the adoption of the new procedures. Holders of existing approvals would merely convert their production testing and inspection procedures from Coast Guard factory inspectors to independent laboratory inspectors when they are notified that the rules have become applicable to the equipment or material which they manufacture.

One commenter expressed the opinion that the present Coast Guard approval and inspection procedure is satisfactory and should be retained. The commenter also stated that shortage of personnel should not be a paramount consideration in ending these inspections, and that the use of laboratories would increase costs to the user. The Coast Guard agrees that its factory inspection program has been quite satisfactory since it assumed responsibility for merchant marine safety over 35 years ago. However, personnel and budget limitations are a reality, and in recent years, the Coast Guard has been required by law to assume a widening range of responsibilities in marine safety, environmental protection, fisheries protection, and law enforcement with a limited increase in the number of personnel. Factor tests and inspections form one area where Coast Guard personnel can be replaced by adequately qualified personnel from outside the government with no anticipated reduction in marine safety. Although some increased costs to the user of approved equipment and material are likely to occur, the Coast Guard considers this justifiable to the extent that it reduces the financial burden previously borne by the general taxpayer for government performed tests and inspections.

Another commenter suggested an alternative procedure in place of the proposed production tests and inspections. The primary features of this alternative are as follows:

1. Regular production inspection would be the responsibility of the manufacturer thereby eliminating the required use of a laboratory.
2. The Coast Guard could require the manufacturer to be stable and financially responsible, with product liability coverage and the ability to recall defective products, in order to assure that unsafe devices would not be "dumped" on the market with no further responsibility assumed by the manufacturer.
3. The Coast Guard could require that products from the open market be spot checked by an independent laboratory or by Coast Guard personnel sent to the

manufacturer's plant. A maximum number of such checks would be permitted annually.

4. In the event that a production test by an independent laboratory or the Coast Guard revealed that the equipment or material was faulty, the Coast Guard could order more frequent production tests under the supervision of a laboratory or the Coast Guard. In this instance the manufacturer might be required to pass a series of ten independent tests before its in-house certification program would be reauthorized.

The stated purpose of the program described would be to reduce costs to manufacturers while assuring that products reaching the market would be of acceptable quality. Outside certification would be used primarily as an enforcement and penalty procedure if the manufacturer's internal standards were found inadequate. The provision that would allow the Coast Guard to order more frequent testing would add a cost burden to the manufacturer not producing equipment or materials that meet the quality standards, thereby introducing an economic incentive to produce high quality products. Several of the commenter's points are already part of the rules as proposed. Others could be part of the procedures required in individual specification regulations, where appropriate, without any change to the rules as proposed. For instance, subpart 159.007 makes production inspections the responsibility of the manufacturer. Whether or not a laboratory is required depends on the specific requirements of the specification regulation. Although the major thrust of the Coast Guard approval program is directed towards pre-market testing, spot checking of devices that have already been marketed is also conducted to insure compliance with the specification regulations. This compliance testing program can be adapted to any approved equipment as the need is indicated. The only suggestion that could not be adopted is the one which would allow the manufacturer's acceptance to be conditioned upon its financial stability and responsibility. It is believed that such a requirement would be unreasonable since there is no evidence that the financial condition of a manufacturer necessarily affects the quality of its products. Furthermore, such a requirement could raise financial problems for a marginal concern with a large dependence upon production of Coast Guard approved products if it suddenly lost its approvals in a time of financial crisis.

Discussion of Comments on Specific Sections of the Proposal

Two commenters recommended deletion of provisions in §§ 159.001–3(a)(3) and 159.007–3(a)(1) that would allow the Coast Guard to accept independent laboratory procedures for production inspections and tests which exceed the requirements of applicable specification regulations. One of the commenters expressed concern that unnecessarily stringent testing requirements exceeding Coast Guard standards would add to the manufacturer's expenses and ultimately to those of the consumer. The Coast Guard disagrees. The Coast Guard will not depend on the laboratory to decide whether the item will be approved, but will instead review the test report and evaluate it with respect to the requirements of the applicable subpart, as provided in § 159.005–13. Regardless of their purpose, any additional requirements imposed by the laboratory will not be taken into account. For production tests, the manufacturer's decision to use a laboratory's procedures is discretionary under § 159.007–3, so in effect the manufacturer decides whether any more stringent requirements are to be imposed.

One commenter questioned the legality of § 159.001–7, feeling that it would allow the Commandant to substitute the proposed procedures for those applying to any item in subchapter Q without resorting to the customary rulemaking process. The Coast Guard feels that it has complied with all legal requirements in issuing this rulemaking. The preamble of the proposal clearly stated that "the procedures under this program would eventually affect all the lifesaving equipment specifications in Part 160" with certain specified exceptions. To insure that each person affected by the proposal was made aware of it, the Coast Guard sent a copy of the proposal with an explanatory letter to every approval holder on record. The same procedure will be followed upon publication of this final rule. The need for proper notification is addressed in the language of § 159.001–7, which states that "each person known to be affected by the substitution shall be informed that the procedures in this Part apply." In seeking to affect the desired procedural change through a single rulemaking, the proposal supports current governmental objectives to reduce the number of regulatory actions.

One commenter suggested that the language in subsections (1), (2) and (3) of § 159.005–3(a) might be more simply replaced by "the requirements of paragraph (b) of this section are met." The Coast Guard believes that the section is clearer as proposed, so this suggestion has not been adopted.

Section 159.005–5(a)(1), as proposed, required manufacturers to include on their applications for pre-approval review the name and address of the factory where the equipment or material is produced. It was suggested by one commenter that the paragraph be clarified to specify that the factory named should be the one where the finished product is produced. The Coast Guard agrees. The requirement was not intended to make the applicant list the locations where each component is produced. The section has been amended as suggested.

One commenter felt that § 159.005–9(a)(5)(ii) should be changed to eliminate any requirement for the resubmission of plans or specifications that were submitted under §§ 159.005–5(a)(2) (i) or (ii) for pre-approval review. The Coast Guard disagrees and the section has not been changed. Section 159.005–5(a)(2)(i) requires that only general plans need be submitted for pre-approval review, but the plans for final approval under § 159.005–9(a)(2) must be detailed. The reason for this is that oftentimes detailed plans have not been prepared prior to approval testing. However, if the manufacturer has submitted two sets of detailed plans or specifications prior to the application for final approval, and those plans or specifications accurately describe the item to be approved, the Coast Guard will consider the requirements of § 159.005–9(a)(5)(ii) to have been met. The suggested change is therefore unnecessary.

A suggestion was received to add the word "approval" to § 159.005–11(a) between "Each" and "inspection" to conform the provision's wording to the section heading. The Coast Guard agrees with this suggestion and has changed the provision accordingly.

A suggestion to add "product designation" after "trade name" in the list of contents of an approval inspection or test report in § 159.005–11(a)(3) was accepted since the trade name alone may not be sufficient in some cases to adequately identify the item being reported on.

One commenter questioned the need to include in approval inspection and test reports the time, date and place of each inspection and test, as required in § 159.005–11(a)(4), since this information would normally be recorded on the laboratory data sheet. All relevant information should be included in the report, as this is intended to serve as the basis of the Coast Guard's decision to grant or deny approval. Unnecessary duplication may be avoided by submitting the data sheets as attachments to the report. The Coast Guard has found that this information is important and relatively easy to include, so the requirement has not been changed.

The same commenter observed that a number of technicians may be involved in the tests covered by an approval report, and recommended that § 159.005–11(a)(5) only require the name and title of the persons responsible for the work, rather than the name and title of each person performing, supervising and witnessing it. The Coast Guard disagrees since this information verifies that the test was performed by competent personnel, and is also normally recorded on data sheets which can be provided with the test report.

The commenter also stated that it appeared unnecessarily burdensome for the report to include a description or photograph of the procedures and apparatus if they are adequately described in the applicable standards or in another document that can simply be referenced. The Coast Guard agrees and is of the opinion that such reference would constitute an adequate description under § 159.005–11(a)(7) as proposed. In order to clarify this position, the section has been amended to specifically permit such references.

Two commenters suggested changes to § 159.005–11(a)(8)(ii) which requires the test report to contain photographs of each occurrence of damage or deformation. One recommended that the photographs be required only in those cases where the damage or deformation resulted in failure to meet the test criteria. The Coast Guard does not agree since some test procedures allow for damage or deformation which does not affect the function of the device. The Coast Guard must determine whether test criteria have been met from the material in the test report, and photographs are often necessary to make such a determination. The other commenter suggested that photographs not be required if a test requires damage or deformation of the test item. The Coast Guard disagrees with this commenter as well, since the condition of a test item after such a test is usually of interest. The Coast Guard considers the photograph requirement to be neither difficult nor expensive. Since the report will usually be produced in no more than three or four copies, actual photographs can be mounted on pages of the report. In most cases, photographs serve to make long explanations unnecessary and are extremely valuable for the evaluator in deciding upon the outcome of the test.

A suggestion to change § 159.005–12(a)(2) was submitted by a commenter who felt that the required part identification in the plans should be that of the manufacturer of the finished equipment and not that of the manufacturer of the part. As written, the section would permit either part identification to be used. The Coast Guard feels that this is adequate since different manufacturers have different ways of identifying components, and all that is really required is some means of identifying the part, whether it be through the part manufacturer's identification or the finished equipment manufacturer's identification. No change has been made to the section.

One commenter suggested that the independent laboratory be notified of any approval actions taken under § 159.005–13. The Coast Guard agrees that this should be normal practice, and a new subparagraph (c) has been added to provide for notification of the laboratory.

A commenter suggested that § 159.005–15 would be clearer if the conditions for suspensions, withdrawals and terminations of approvals were stated in the section rather than referenced to another section of Title 46. Although the suggested change would admittedly clarify this provision, the Coast Guard is unwilling to adopt it, since it would require the extensive duplication of regulatory language, a condition which the Coast Guard hopes to avoid.

Section 159.007–3(a)(2) was interpreted by one commenter as prohibiting a laboratory label or mark from being applied during the manufacturing process, since determination of the item's suitability could not be made until production is complete. A change was suggested to eliminate the perceived problem. The commenter's concern is unfounded. The section refers specifically to the laboratory's inspection and test procedures. If these procedures allow the mark or label to be applied during production, then nothing in the rule as proposed prevents it. No change has been made.

One commenter noticed a duplication in the language of §§ 159.007–5(a) and 159.007–9(a), which require manufacturers to select independent laboratories approved by the Commandant. As the Coast Guard feels this merits correction, the previous §§ 159.007–5 (a) and (b) have been combined into a new § 159.007–5(a), with the language duplicating that of § 159.007–9(a) removed.

One commenter felt that § 159.007–9(a) is too strict in requiring the manufacturer to insure that all required inspections and tests are performed or supervised by the laboratory. The commenter suggested that the manufacturer could not vouch for activities performed on the laboratory's premises. The Coast Guard does not feel that the section imposes such a high standard of care upon the manufacturer. In order to satisfy its terms it is sufficient for the manufacturer to contract the laboratory for the inspections or tests and to receive confirmation from the laboratory when they are completed.

A commenter interpreted the purpose of § 159.007–11(a) as exempting the manufacturer from the requirement to submit a yearly report when the production tests and inspections are performed by an independent laboratory accepted by the Commandant. The commenter felt that the proposed language did not accomplish this purpose and should be rewritten. The actual purpose of the section is broader than the one identified in the comment. In order for an exemption from the yearly reporting requirement to be provided, it is not only necessary for the laboratory to be accepted by the Commandant. The laboratory must also have a procedure accepted by the Commandant that includes labeling or marking of the equipment. The section is correct as written.

Several comments were received concerning § 159.010–3, which contains the standards for acceptance of an independent laboratory. One commenter felt that language in this section as well as § 159.010–5 insufficiently describes acceptance requirements, and could lead to the exclusion of qualified laboratories. The commenter did not provide any suggested changes but merely offered the opinion that the sections were vague and should be more specific. No further consideration was given to the comment since it failed to provide the Coast Guard with adequate guidance.

In order for an independent laboratory to be accepted under § 159.010–3(a)(1) as proposed, it would have to be regularly engaged in inspecting and testing equipment and material similar to that which is covered by the specification regulations in subchapter Q. One commenter suggested that this standard be changed to require the regular performance of inspections and tests similar to those that must be performed in the specification regulations, regardless of the actual equipment or material involved. The Coast Guard

agrees. In establishing standards for the acceptance of independent laboratories, emphasis should be placed on experience with relevant testing and inspection procedures rather than familiarity with similar equipment or material. The section has been changed as suggested.

The commenter also pointed out that a single laboratory might not have the equipment, facilities, personnel or instruments to perform all of the inspections and tests under § 159.010–3(a)(2) since the tests may cover a number of technical disciplines. It was stated that a laboratory might have to contract with another laboratory in such cases. It is also possible that the manufacturer might have to supply some facilities or equipment to the laboratory. Some personnel might be hired on a case-by-case basis as consultants. The section has been changed to require that the laboratory either have or have access to the required equipment, facilities, personnel and instruments.

The same commenter stated that the requirements of § 159.010–3(a)(3) on ownership and control could be excessively restrictive. A suggestion was made to change the section to accept laboratories owned by certain associations of manufacturers. The suggestion was not adopted. Any manufacturer which owns all or part of a laboratory either as an individual entity or through an association has a potential to control the laboratory to some extent. To allow such laboratories to act in place of a Coast Guard inspector would not be proper or fair to other manufaturers not part of the association. The Coast Guard holds the opinion that the laboratories accepted under this program must be truly impartial and disinterested in the outcome of the inspections and tests. This can not be guaranteed where there are questions of conflict of interest, as in the case of a manufacturer either directly or indirectly owning an interest in the laboratory doing its tests.

A commenter suggested that the absolute prohibition against advertising and promotion in § 159.010–3(a)(5) be replaced by a provision that would allow a laboratory to promote its client manufacturer's products if it promote all of the products equally and at its own expense. The Coast Guard does not agree. To promote the products of any manufacturer is to become interested in the commercial success of the product. The Coast Guard believes that a truly independent, impartial laboratory can not become so involved in the commercial success of the products it tests. It should be noted that this section would not prohibit a manufacturer from including the name of the laboratory in its advertising and promotional material, nor would it prohibit the laboratory from promoting its services and citing the types of inspection and testing it is involved in, although reference to specific manufacturer's products could not be included in such promotions. In addition, this section would not prohibit the laboratory from producing a list of products it has tested and accepted under its own procedures, provided that the list is primarily for information and not promotional in nature.

Another commenter suggested that a new paragraph be added to § 159.010–3 requiring that the laboratory have the capability of providing training and on-the-job supervision for technicians and inspectors in order to gain Coast Guard acceptance. The Coast Guard finds no reason to impose such a condition for the acceptance of independent laboratories. Its concern is limited to whether these laboratories have a sufficient number of qualified personnel to perform the neccessary inspections and tests. The Coast Guard has no authority to require them to conduct training programs or to supervise unqualified personnel.

A commenter suggested that § 159.010–7(a)(3) be amended to condition the laboratory's obligation to conduct inspections and tests upon the receipt of reasonable fees. The Coast Guard does not believe it is necessary for these rules to be concerned with business arrangements between the manufacturer and the laboratory. However, § 159.010–19(c)(2) states that the laboratory would have its listing revoked if it *unreasonably* refused a request to conduct inspections or tests. The Coast Guard feels it would be reasonable for a laboratory to refuse such a request if it were not offered sufficient payment. Therefore, the concerns of the commenter are adequately addressed.

Section 159.010–15 prohibits the contracting out or transfer of tests to another person or laboratory without the prior approval of the Commandant. A commenter suggested that the section be amended to permit such transfers on a regular basis for one or more types of inspections or tests on approval by the Commandant. This would eliminate the need for repetitive notification of the Commandant. The Coast Guard believes that such an addition is unnecessary because the contracting out or transfer of such inspections or tests would be specified in the test plan submitted under § 159.010–7(a)(2). Acceptance of the test plan would constitute the prior approval of the Commandant required by § 159.010–15.

One commenter stated opposition to the provision in § 159.010–21(a) that permits the Commandant to direct a manufacturer to cease claiming that its product is Coast Guard approved if the listing of the laboratory that tested it is terminated. The commenter felt that the power was unjustified and that it should apply only to those items tested after termination of the laboratory's listing. The commenter's concern is unfounded. Under the terms of this provision, approval could not be withheld from items already produced.

In addition to the changes discussed above, three additional changes have been made by the Coast Guard as a result of its own review of the proposal. A new subparagraph (a)(3) has been added to § 159.005–5, requiring the manufacturer to include a statement with the application for approval that an official representative of the Coast Guard is allowed access to the place of manufacture and to the place of testing. This is similar to the provisions of proposed § 159.010–5(a)(8) which required the independent laboratory to submit a comparable statement concerning access to its facilities. This provision alone does not provide the Coast Guard with adequate monitoring capability, because some tests may be run by the manufacturer without the need for a laboratory. Furthermore, the specification regulations of Parts 160 through 164 contain requirements for Coast Guard personnel to have access to the place of manufacture and testing, so that the change has no substantive effect. Addition of the requirement will permit the various sections of the specification regulations regarding access of Coast Guard personnel to be deleted when those regulations are converted to the procedures described in Part 159. Since the revision is essentially editorial in nature and imposes no additional burden upon the parties that stand to be affected, the Coast Guard has determined that it may be accomplished without further notice and opportunity for comment.

In addition, the Coast Guard has changed § 159.007–13(a), pertaining to the contents of production inspection and test reports, by replacing a cross-reference to § 159.005–11 with the relevant material drawn from that section. This is merely an editorial change intended to make the provision more comprehensible.

Finally, the Coast Guard has added subparagraph (b)(5) to § 159.010–19, permitting an independent laboratory's acceptance or listing to be terminated if it fails to report within 30 days changes in information that supported its application for acceptance or listing. This provision had been inadvertently omitted from the proposal. This addition establishes procedures to insure that the Coast Guard is adequately informed of changes that may affect a laboratory's continued eligibility for acceptance or listing. As the laboratories are afforded a period of 30 days in which to report these changes, the Coast Guard feels that the revision imposes no substantial burden upon them. The Coast Guard nevertheless invites all interested and affected parties to submit comments on this revision within the next 30 days. Any comments received during this period will be evaluated by the Coast Guard in order that it may determine whether any further modification is necessary.

In consideration of the foregoing, the amendments to Title 46 of the Code of Federal Regulations published in the **Federal Register** on October 23, 1978 (43 FR 49440) are adopted with changes as set forth below:

Dated: December 10, 1979.

J. B. Hayes,

Admiral, U.S. Coast Guard Commandant.

PART 2—VESSEL INSPECTIONS

1. In § 2.75–10, the words "Parts 160 to 164, inclusive" in paragraph (a), are Changed to "Parts 159 through 164". Paragraph (b) is revised to reflect current procedures and addresses, as amended § 2.75–10 reads as follows:

§ 2.75–10 Procedures for obtaining approvals.

(a) The requirements for obtaining approvals of items covered by specifications and bearing offical Coast Guard approval numbers are set forth in parts 159 through 164 of this chapter. For other items, the requirements are described in the regulations governing such items.

(b) Unless otherwise specified, correspondence concerning approvals should be addressed to the Commandant (G–MMT–3/TP12), U.S. Coast Guard, Washington, D.C. 20593. When plans, drawings, test data, etc., are required to be submitted by the manufacturer, the material being transmitted with the application should be clearly identified.

2. In the first sentence of § 2.75–17(a), the words "33 CFR parts 140 through 146 (artificial islands and fixed structures on the Outer Continental Shelf)" are changed to "33 CFR Chapter I". As amended, § 2.75–17(a) reads as follows:

§ 2.75–17 General policy regarding acceptance and use of industry specifications, standards, and codes.

(a) Certain equipment, materials, and installations required by various provisions of the navigation and vessel inspection laws and regulations in this chapter and in 33 CFR Chapter I have to be approved by the Commandant, U.S. Coast Guard, prior to their use. For many items of equipment, materials, and installations, the normal manufacturing practices are based on the use of certain industrial or Federal specifications, standards, and codes. However, it is realized that certain provisions are based on conditions normally found "ashore," rather than in the marine environment which may be experienced onboard vessels or on artificial islands and fixed structures. Industry specifications, standards, and codes are adopted and shall form a part of the regulations of this chapter to the extent specified in this subpart and in the more detailed regulations in parts 160 through 164 (Subchapter Q—Equipment Construction and Materials: Specifications and Approval) of this chapter. Unless specifically stated otherwise in the regulations, the current issue of the specifications, standards, or codes, including addenda or changes, described in the regulations shall be used. The current issue is that issue, including any addenda or changes, in effect on the date the work is contracted for, or, if no contract exists, the date fabrication is begun. The Commandant may authorize the use of an issue of an earlier or later date when circumstances warrant such action.

* * * * *

SUBCHAPTER Q—EQUIPMENT, CONSTRUCTION, AND MATERIALS: SPECIFICATIONS AND APPROVAL

3. By changing the title of subchapter Q to "Equipment, Construction, and Materials: Specifications and Approval" as set forth above and by adding a new part 159 to read as follows:

PART 159—APPROVAL OF EQUIPMENT AND MATERIALS

Subpart 159.001—General

Sec.

159.001–1 Purpose.
159.001–3 Definitions.
159.001–5 Correspondence and applic itions.
159.001–7 Substituted procedures.

Subpart 159.005—Approval Procedures

159.005–1 Purpose.
159.005–3 Application for preapproval review.
159.005–5 Preapproval review: contents of application.
159.005–7 Preapproval review: Coast Guard action.
159.005–9 Approval inspections and tests.
159.005–11 Approval inspection or test report: Contents.
159.005–12 Plans.
159.005–13 Equipment or material: Approval.
159.005–15 Approval of equipment or material: Suspensions, withdrawals, and terminations.

Subpart 159.007—Production Inspections and Tests of Approved Equipment and Materials

159.007–1 Purpose.
159.007–3 Production inspections and tests: Independent laboratory's procedures.
159.007–5 Production inspections and tests: Application for acceptance.
159.007–7 Application for acceptance for production inspections and tests: Coast Guard action.
159.007–9 Production inspections and tests.
159.007–11 Production inspections and tests: Yearly report.
159.007–13 Production inspections and tests: Records.

Subpart 159.010—Independent Laboratory: Acceptance, Listing, and Termination

159.010–1 Purpose.
159.010–3 Independent laboratory: Standards for acceptance.
159.010–5 Independent laboratory: Application for acceptance.
159.010–7 Independent laboratory: Standards for listing.
159.010–9 Independent laboratory: Application for listing.
159.010–11 Independent laboratory: Listing in subpart.
159.010–15 Contracting inspections and tests or transferals to another laboratory or person.
159.010–17 Application and test plans: Changes.
159.010–19 Termination of acceptance or listing of a independent laboratory.
159.010–21 Termination of acceptance or listing: Procedure.

Authority: Sec. 1, 73 Stat. 475 (46 U.S.C. 481); sec. 201 86 Stat 427, as amended (46 U.S.C. 391a); sec. 6(b)(1), 80 Stat 937 (49 U.S.C. 1655(b)(1)); 49 CFR 1.46 (b) and (n)(4).

Subpart 159.001—General

§ 159.001–1 Purpose.

(a) This part contains the procedures for the approval of equipment and materials when that equipment or material is inspected or tested by an independent laboratory or by the manufacturer of the equipment or material.

§ 159.001–3 Definitions.

(a) As used in this part:

"Applicable subpart" means a subpart under which equipment or material is approved, or under which an independent laboratory is listed.

(2) "Listed laboratory" means an independent laboratory that has been listed in an applicable subpart under the provisions of § 159.010–11.

(3) "Test plan" means a description of the procedures by which an independent laboratory meets or exceeds the inspection and test requirements of an applicable subpart.

§ 159.001-5 Correspondence and applications.

(a) Unless otherwise specified, all correspondence and applications in connection with the approval and testing of equipment and materials shall be addressed to: Commandant (G-MMT-3/TP12), U.S. Coast Guard, Washington, D.C. 20593.

§ 159.001-7 Substituted procedures.

(a) The Commandant may substitute the procedures in this part for the procedures in any other part of this subchapter. Each person known to be affected by the substitution shall be informed that the procedures in this part apply.

Subpart 159.005—Approval Procedures

§ 159.005-1 Purpose.

(a) This subpart contains the procedures by which the Coast Guard approves equipment and materials under other subparts of this subchapter that require—

(1) Preapproval inspections and tests by an independent laboratory;

(2) Preapproval inspections and tests by the manufacturer; or

(3) No preapproval inspections or tests.

§ 159.005-3 Application for preapproval review.

(a) Each manufacturer of equipment or material who seeks Coast Guard approval under an applicable subpart must submit an application that meets § 159.005-5 to the Commandant unless—

(1) The subpart contains a list of independent laboratories;

(2) The subpart does not require Coast Guard review prior to testing; and

(3) The manufacturer meets the requirements of paragraph (b) of this section.

(b) If the applicable subpart contains a list of independent laboratories and does not specifically require preapproval review by the Coast Guard, the manufacturer may have the tests performed by a listed laboratory and submit the report required by § 159.005-11 to the Commandant.

§ 159.005-5 Preapproval review: Contents of application.

(a) Each application must contain the following:

(1) The name and address of the manufacturer and the factory where the finished equipment or material is produced.

(2) One or more of the following as required by the applicable subpart:

(i) Two sets of general plans of the equipment or material.

(ii) Two sets of specifications of the equipment or material.

(iii) A sample of the equipment or material accompanied by a written description of its components.

(3) A statement signed by the manufacturer or the manufacturer's representative, that an official representative of the Coast Guard is allowed access to the place of manufacture and to the place of test to verify the information submitted in the application or to witness tests.

(b) If the equipment or material is required by the subpart to be inspected and tested by an independent laboratory, the application must contain the following additional information:

(1) The name and address of a laboratory that meets § 159.010-3(a) and that is selected by the manufacturer to perform or supervise the inspections and tests.

(2) If the laboratory has not been accepted previously for inspecting and testing the manufacturer's equipment or material under the applicable subpart, the completed application under § 159.010-5(a).

§ 159.005-7 Preapproval review: Coast Guard action.

(a) If approval inspections and tests are required under the applicable subpart, the Commandant takes the following action:

(1) If the Commandant determines from the application that the equipment or material appears to meet the design requirements of an applicable subpart or appears to have equivalent performance characteristics, and that the laboratory meets § 159.010-3(a), the Commandant informs the manufacturer that the required approval inspections and tests may be conducted.

(2) If the Commandant determines from the application for approval that the equipment or material does not appear to meet the design requirements of an applicable subpart or does not appear to have equivalent performance characteristics, or that the laboratory does not meet § 159.010-3(a), the Commandant informs the manufacturer of the reason why the equipment or material is not acceptable for approval inspections and tests or why the laboratory is not accepted.

(b) If no approval inspections or tests are required under the applicable subpart, the Commandant—

(1) Takes action in accordance with § 159.005-13; or

(2) Informs the manufacturer of additional information required before action under § 159.005-13 can be taken.

§ 159.005-9 Approval inspections and tests.

(a) Each manufacturer of equipment or material that is required to be subjected to approval inspections and tests must—

(1) If the applicable subpart requires the equipment or material to be inspected or tested, have the approval inspections or tests performed;

(2) If the applicable subpart requires the equipment or material to be inspected or tested by an independent laboratory, insure that a laboratory accepted by the Commandant performs or supervises the approval inspections or tests;

(3) Bear all costs of the approval inspections and tests;

(4) If requested, advise the Commandant of the time, date, and place of each approval inspection or test, or both, before the inspection or test is performed; and

(5) After completion of the approval inspections and tests, submit to the Commandant—

(i) A test report that meets § 159.005-11;

(ii) At least two sets of specifications of the materisl as inspected or tested or at least two sets of plans of the equipment as inspected or tested that meet § 159.005-12; and

(iii) A description of the quality control procedures that will be in effect during the production of the equipment or material.

§ 159.005-11 Approval inspection or test report: Contents.

(a) Each approval inspection or test report must contain the following:

(1) The name of the manufacturer.

(2) If the inspections or tests are performed or supervised by an independent laboratory, the name and address of the laboratory.

(3) The trade name, product designation (such as model numbers), and a brief description of the equipment or material inspected or tested.

(4) The time, date, and place of each approval inspection and test.

(5) The name and title of each person performing, supervising, and witnessing the approval inspections or tests.

(6) The performance data for each test required in the applicable subpart, including a description of each failure.

(7) A description or photographs of the procedures and apparatus used in the inspections or tests, or a reference to another document that contains an appropriate description or photographs.

(8) At least one photograph that shows an overall view of the equipment or material submitted for approval and other photographs that show—

(i) Design details; and

(ii) Each occurrence of damage or deformation to the equipment or material that occurred during the approval tests.

(b) Each inspection or test report must bear an attestation that the inspections or tests were conducted as required by the applicable subpart and that the report contains no known errors, omissions, or false statements. The attestation must be signed by:

(1) The manufacturer or manufacturer's representative, if the inspection or tests are conducted by the manufacturer; or

(2) The chief officer of the laboratory, or the chief officer's representative, if the inspection or tests were conducted by an independent laboratory.

Note.—A false representation on a report is a ground for suspension or withdrawal of approval of the equipment or material. A false representation is also punishable as a crime under 18 U.S.C. 1001.

§ 159.005-12 Plans.

(a) Each set of plans under § 159.005-9(a)(5)(ii) for equipment must include the following:

(1) An assembly drawing or general arrangement drawing.

(2) A description of each component of the equipment that includes the name, the manufacturer, and the part identification of each component in—

(i) A detail drawing;

(ii) A bill of material or parts list; or

(iii) A specification for that component.

(3) A list of the drawings and specifications in the set of plans, including each revision, and the date of that list.

(4) If a manufacturer's instructions or manual is required in the applicable subpart, a copy of the instructions or manual.

§ 159.005-13 Equipment or material: Approval.

(a) If from analysis of the material and data required to be submitted under this subpart, the Commandant determines that the equipment or material meets the applicable subpart, the Commandant—

(1) Approves the equipment or material;

(2) Issues a certificate of approval to the manufacturer under § 2.75-5 of this chapter;

(3) Retains one set of approved plans and returns all others to the manufacturer; and

(4) Publishes a notice of the approval in the Federal Register.

(b) If from analysis of the material and data submitted the Commandant determines that the equipment or material does not meet the applicable subpart, the Commandant informs the manufacturer of the reason why that equipment or material does not meet the subpart.

(c) If an independent laboratory performs the approval inspections or tests, the Commandant will notify the laboratory of the actions taken under paragraph (a) or (b) of this section, unless the manufacturer specifically requests that the laboratory not be notified.

§ 159.005-15 Approval of equipment or material: Suspensions, withdrawals, and terminations.

(a) The Commandant suspends an approval issued under this subchapter in accordance with § 2.75-40 of this chapter, withdraws an approval issued under this subchapter in accordance with § 2.75-50(a) of this chapter, and terminates an approval issued under this subchapter in accordance with § 2.75-50(b) of this chapter.

Subpart 159.007—Production Inspection and Tests of Approved Equipment and Materials

§ 159.007-1 Purpose.

(a) This subpart contains the procedures under which production inspections and tests of approved equipment or materials are to be performed under this subchapter.

§ 159.007-3 Production inspections and tests: Independent laboratory's procedures.

(a) The manufacturer may follow an independent laboratory's procedures for production inspections and tests if those procedures—

(1) Meet or exceed the production inspection and test requirements of the applicable subpart or are equivalent to those inspections and tests;

(2) Include labeling or marking the equipment or material when the equipment or material meets the inspection and test procedures of the laboratory; and

(3) Are accepted by the Commandant under § 159.007-7(b).

§ 159.007-5 Production inspections and tests: Application for acceptance.

(a) If the applicable subpart requires production inspections and tests by an independent laboratory, the manufacturer must select a laboratory and submit an application for acceptance that meets § 159.010-5(a) unless the laboratory—

(1) Is listed in the subpart; or

(2) Is accepted by the Commandant for approval inspections and tests of the equipment or material under § 159.005-7(a)(1).

(b) If the manufacturer wants to follow the laboratory's procedures for production inspections and tests instead of meeting the Coast Guard procedures under this subchapter, the application must contain a description of those procedures.

§ 159.007-7 Application for acceptance for production inspections and tests: Coast Guard action.

(a) From the information submitted with the application, the Commandant determines whether or not the laboratory is accepted for production inspections and tests. The Commandant informs the manufacturer of the results of this determination, if the Commandant does not accept a laboratory, the reason for the disapproval will be given.

(b) From the description of the laboratory's procedures for production inspections and tests, the Commandant determines whether or not those procedures are accepted. The Commandant informs the manufacturer of the results of this determination. If the Commandant does not accept the laboratory's procedures, the reasons why they are not accepted will be given.

§ 159.007-9 Production inspections and tests.

(a) If the applicable subpart requires the production inspections and tests to be performed or supervised by an independent laboratory, the manufacturer shall insure that all required production inspections and tests are performed or supervised by an independent laboratory accepted by the Commandant.

(b) If the applicable subpart does not require an independent laboratory to perform the production inspections and tests, the manufacturer shall have those inspections and tests performed.

(c) Unless alternative procedures have been accepted by the Commandant under § 159.007-3 each production inspection and test must be performed or supervised in accordance with the applicable subpart.

§ 159.007-11 Production inspections and tests: Yearly report.

(a) When the manufacturer uses the production inspection and test procedures in an applicable subpart he must submit a yearly report. The report is not required when inspection and test procedures approved under § 159.007-3 are used.

(b) The report must include the following:

(1) A list of all inspections and tests performed;

(2) A summary of the results of each group of inspections or tests;

(3) A detailed description of any test failures; and

(4) A statement whether or not all required tests were performed.

§ 159.007–13 Production inspections and tests: Records.

(a) The manufacturer must have a completed record with the following information for each production inspection and test:

(1) The time, date and place of each inspection and test.

(2) The name and title of each person performing, supervising and witnessing the inspections or tests.

(3) The performance data for each test required in the applicable subpart, including a description of each failure.

(4) A description or photographs of the procedures and apparatus used in the inspections or tests.

(b) The manufacturer must retain each record under this section for at least 60 months after the month in which the inspection or test was conducted.

(c) The records must be made available for examination by the Commandant upon request.

Subpart 159.010—Independent Laboratory: Acceptance, Listing, and Termination

§ 159.010–1 Purpose.

(a) This subpart contains the following:

(1) The standards under which the Coast Guard accepts an independent laboratory that a manufacturer proposes to use.

(2) The standards and procedures under which a laboratory is listed in applicable subparts for tests and inspections required by that subpart.

(3) The circumstances under which the acceptance or listing of a laboratory is terminated.

§ 159.010–3 Independent laboratory: Standards for acceptance.

(a) To be accepted by the Coast Guard as an independent laboratory, a laboratory must—

(1) Be engaged, as a regular part of its business, in performing inspections and tests that are the same as or similar to the inspections and tests required in the applicable subpart;

(2) Have or have access to the apparatus, facilities, personnel, and calibrated instruments that are necessary to inspect and test the equipment or material under the applicable subpart;

(3) Not be owned or controlled by—

(i) The manufacturer of the equipment or material to be inspected or tested under this subchapter or any manufacturer of similar equipment or material;

(ii) A vendor of the equipment or material to be inspected or tested under this subchapter or a vendor of similar equipment or material; or

(iii) A supplier of materials to the manufacturer;

(4) Not be dependent on Coast Guard acceptance under this subchapter to remain in business; and

(5) Not advertise or promote the manufacturer's equipment or material that the laboratory inspects and tests under this subchapter.

§ 159.010–5 Independent laboratory: Application for acceptance.

(a) Each application for acceptance of a laboratory must contain the following:

(1) The name and address of the laboratory, its subsidiaries, and its divisions.

(2) The name, title, address, and principal business activity of each of the laboratory's officers and directors, and the name, address, and principal business activity of each person, company, or corporation that owns at least 3-percent interest in the laboratory or in a company or corporation that controls the laboratory.

(3) A list of the equipment or material that the laboratory would inspect or test, or both, under this subchapter.

(4) A description of the laboratory's experience and its qualifications for conducting the inspections and tests required in the applicable subpart.

(5) A description of the apparatus and facilities available to the laboratory for conducting those inspections and tests.

(6) The qualifications of personnel who are to perform, supervise, or witness those inspections and tests.

(7) A description of the laboratory's instrument calibration program.

(8) A statement, signed by the chief officer of the laboratory or the chief officer's representative, that an official representative of the Coast Guard is allowed access to the facility to verify the information submitted in the application, or to witness tests.

§ 159.010–7 Independent laboratory: Standards for listing.

(a) To be listed as an independent laboratory under an applicable subpart, a laboratory must—

(1) Meet § 159.010–3;

(2) Have a test plan that is accepted by the Commandant under § 159.010–11(a); and

(3) Agree to perform or supervise approval or production inspections or tests under that subpart upon request from a manufacturer, however a laboratory may limit the area it serves.

§ 159.010–9 Independent laboratory: Application for listing.

(a) A laboratory that wants to be listed in one or more applicable subparts must submit to the Commandant an application that contains the information required by § 159.010–5, and that includes—

(1) The subparts under which it wants to be listed;

(2) Its test plans; and

(3) A statement of any limitations on the availability of the laboratory's service.

§ 159.010–11 Independent laboratory: Listing in subpart.

(a) From the application, the Commandant determines whether or not the laboratory meets § 159.010–7. If it meets these standards, the laboratory is added to the list in the applicable subpart. If it does not meet these standards, the Commandant informs the laboratory of the reasons why it is not added to the list.

§ 159.010–15 Contracting inspections and tests or transferrals to another laboratory or person.

(a) No independent laboratory may contract or transfer to another person or laboratory the performance or supervision of inspections or tests, or both, required under an applicable subpart for which it is accepted or listed unless—

(1) A request in writing regarding the contract or transfer is submitted to the Commandant before the contract is executed or the transfer is completed; and

(2) The Commandant notifies the laboratory in writing that the contract or the transfer is allowed.

§ 159.010–17 Application and test plans: Changes.

(a) If any of the information submitted under § 159.010–5(a) or § 159.010–9(a) changes, a notification in writing of each change must be submitted to the Commandant within 30 days after the change has occurred.

(b) If an independent laboratory wants to change its test plan, the proposed changes must be submitted to the Commandant. The Commandant notifies the laboratory if the changed test plan is accepted. If the changed test plan is not accepted, the Commandant informs the laboratory of the reasons why the changed test plan is not accepted.

§ 159.010–19 Termination of acceptance or listing of a independent laboratory.

(a) The acceptance or listing of a laboratory terminates if the laboratory—

(1) Requests termination; or

(2) Is no longer in business.

(b) The acceptance of a laboratory may be terminated by the Commandant if the laboratory—

(1) Fails to perform or supervise an inspection or test, or both, as required in an applicable subpart;

(2) Changes its test plan without Coast Guard acceptance;

(3) Attests to the lack of errors, omissions, or false statement of an approval test report that contains errors, omissions, or false statements;

(4) Does not meet § 159.010–3(a);

(5) Does not comply with § 159.010–17(a); or

(6) Unless allowed by the Commandant, contracts or transfers the performance or supervision of required inspections or tests, or both, to another laboratory or person.

(c) A laboratory is removed from the list published in an applicable subpart if the laboratory—

(1) Is no longer accepted by the Commandant; or

(2) Unreasonably refuses a request from a manufacturer to perform or supervise an approval or production inspection or test.

§ 159.010–21 Termination of acceptance or listing: Procedure.

(a) Whenever evidence is received that there exists a basis for termination of acceptance or listing of an independent laboratory under § 159.010–19 (b) or (c), the Commandant notifies the laboratory of the specific reasons for considering termination. If the deficiency could materially affect the validity of the approval issued under an applicable subpart, the Commandant may immediately suspend the acceptance of the laboratory and may direct the holder of the certificate of approval to cease claiming that the items tested or inspected by the laboratory are Coast Guard approved, pending a final decision in the matter. The Commandant may direct an investigation into the matter.

(b) Within 30 days after receipt of notice of the basis for considering termination, the laboratory may provide the Commandant evidence or arguments why acceptance or listing should continue. After consideration of all available material on the matter, the Commandant informs the laboratory, in writing, of this decision. Any person holding a certificate of approval affected by the decision is also notified of the decision.

(Sec. 1, 73 Stat. 475 (46 U.S.C. 481); sec. 201, 86 Stat. 427, as amended (46 U.S.C. 391a); sec. 6(b)(1), 80 Stat. 937 (49 U.S.C. 1655(b)(1)); 49 CFR 1.46 (b) and (n)(4))

[FR Doc. 79–38270 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–59–M

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46 CFR Part 25

[CGD 76–082A]

Ventilation of Boats

AGENCY: Coast Guard, DOT.

ACTION: Final rule.

SUMMARY: This document adds an exception to the existing ventilation requirements in 46 CFR Part 25 for boats that meet the new ventilation requirements in 33 CFR Part 183. This document is intended to make the existing ventilation regulations agree with the new ventilation regulations published as a separate document in this issue of the **Federal Register.**

EFFECTIVE DATE: This regulation is effective on August 1, 1980. However, a manufacturer may elect to comply with this subpart at any time after July 31, 1978.

FOR FURTHER INFORMATION CONTACT: Mr. Lars E. Granholm, Office of Boating Safety (G–BBT), U.S. Coast Guard, Department of Transportation, Washington, D.C. 20590, (202/426–4027).

SUPPLEMENTARY INFORMATION: The Coast Guard published a Notice of Proposed Rulemaking concerning this amendment on July 27, 1978 (43 FR 3206). Interested persons were invited to participate in the proposed rulemaking by submitting relevant comments. No comments were received on the amendment to this subpart.

Drafting Information

The principal persons involved in drafting this amendment are: Mr. Lars E. Granholm, Project Manager, Office of Boating Safety and Ms. Mary Ann McCabe, Project Attorney, Office of Chief Counsel.

Discussion of final rule

Although no comments were received requesting changes in this amendment § 25.40–1(e)(1) needed clarification to indicate that the specification used for this paragraph is similar to the new manufacturer requirement in 33 CFR 183.620(a)(3).

Since Federal regulations issued under Section 5 of the Federal Boat Safety Act of 1971 preempt State boating regulations this change in the Federal ventilation regulations will require changes in State regulations in order to make the State regulations identical to their Federal counterparts.

The amendment has been reviewed under the Department of Transportation's "Regulatory Policies and Procedures" (44 FR 11034, February 26, 1979). A final evaluation has been prepared and is included in the public docket. A copy of the final evaluation may be obtained from: Commandant (G–CMC/TP24), (CGD 76–082 A), U.S. Coast Guard, Washington, D.C. 20590.

In consideration of the foregoing 46 CFR § 25.40–1 is amended by revising paragraph (a) and by adding paragraphs (d) and (e) to read as follows:

§ 25.40–1 Tank and engine spaces.

(a) All motorboats or motor vessels, except open boats and as provided in paragraphs (d) and (e) of this section, the construction or decking over of which is commenced after April 25, 1940, and which use fuel having a flashpoint of 110°F, or less, shall have at least two ventilator ducts, fitted with cowls or their equivalent, for the efficient removal of explosive or flammable gases from the bilges of every engine and fuel tank compartment. There shall be at least one exhaust duct installed so as to extend from the open atmosphere to the lower portion of the bilge and at least one intake duct installed so as to extend to appoint at least midway to the bilge or at least below the level of the carburetor air intake. The cowls shall be located and trimmed for maximum effectiveness and in such a manner so as to prevent displaced fumes from being recirculated.

* * * * *

(d) Boats as defined in the Federal Boat Safety Act of 1971 built after July 31, 1980 or which are in compliance with 33 CFR Part 183 are excepted from these requirements.

(e) Boats, as defined in the Federal Boat Safety Act of 1971, built after July 31, 1978 are excepted from the requirements of paragraph (a) for fuel tank compartments that—

(1) Contain a permanently installed fuel tank if each electrical component is ignition protected in accordance with 33 CFR 183.410(a); and

(2) Contain fuel tanks that vent to the outside of the boat.

(46 U.S.C. 526j, 1454, 1455; 49 CFR 1.46(b), (n)(1).)

Dated: December 10, 1979.

J. B. Hayes,

Admiral, U.S Coast Guard Commandant.

[FR Doc. 79–38641 Filed 12–14–79; 8:45 am]

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46 CFR Parts 160 and 161

[CGD 76–183a]

Specifications: Visual Distress Signals for Boats

AGENCY: Coast Guard, DOT.

ACTION: Final Rule.

SUMMARY: The Coast Guard is adding specifications for red aerial pyrotechnic flares, electric distress lights, and distress flags to these parts. This rule sets forth specifications for distress signals which are not presently subject to Coast Guard approval. These specifications will assure that safe and reliable signals are available to the boater who must comply with requirements to carry visual distress signals published elsewhere in this issue of the **Federal Register.**

EFFECTIVE DATE: This regulation is effective on June 17, 1980, however, affected persons may voluntarily comply at the date of publication.

FOR FURTHER INFORMATION CONTACT: LCDR H. F. Schmecht, Office of Boating Safety (G–BLC–3/TP42), Room 4308, Department of Transportation, Coast Guard Headquarters, Washington, D.C. 20593, 202–426–4177.

SUPPLEMENTARY INFORMATION: A Notice of Proposed Rulemaking was published in the **Federal Register** of October 23, 1978 (43 FR 49451). Comments were solicited with a closing date on the comment period of December 22, 1978. A public meeting was held on November 28, 1978, at the request of the Pyrotechnic Signal Manufacturers Association, Inc., and a tape recording of that meeting is available for examination at the Marine Safety Council, (G–CMC/TP24), Room 2418, Department of Transportation, Coast Guard Headquarters, Washington, D.C. 20591. This rule is being published concurrently with a new signal requirement for boaters (CGD 76–183), changes to specifications for those signaling devices currently approved (CGD 76–048a and 048b) and changes to approval procedures (CGD 76–048). These documents are published in this issue of the **Federal Register.** The National Boating Safety Advisory Council has been consulted and its opinions and advice have been considered in the formulation of this rule. The transcripts of the proceedings of the meetings of the National Boating Safety Advisory Council at which this rule was discussed are available for examination in Room 4224, U.S. Coast Guard Headquarters, Trans Point Building, 2100 Second Street, S.W., Washington, D.C. The minutes of the meetings are available from the Executive Director, National Boating Safety Advisory Council, c/o Commandant (G–BA/TP42), U.S. Coast Guard, Washington, D.C. 20591. The *Accelerated Weathering Test* for the distress flag (§ 160.072–5) and the *Intensity Requirements* for the electric distress light (§ 161.013–5) have been changed since proposed. The reasons for those changes are discussed in this rule under the heading "Discussion of the Major Comments". Because these sections are part of a regulatory project involving five separate dockets, the Coast Guard finds that providing further notice and opportunity to comment on these changes is contrary to the public interest. However, interested persons are invited to submit comments on these two provisions. Changes to these provisions may be made in light of comments received. Comments, citing docket CGD 76–183a, should be addressed to Commandant (G–CMC/TP24), U.S. Coast Guard, Washington, D.C. 20593.

Drafting Information

The principal persons involved in the drafting of this rulemaking are: Mr. D. R. Gauthier, Project Manager, Office of Boating Safety; LT. J. T. Orchard, Project Attorney, Office of the Chief Counsel.

Discussion of Major Comments

Fifteen written comments were received. Fourteen were from industry representatives, several of which provided extensive, detailed comment on the rule.

Red Aerial Pyrotechnic Flare

Several commenters suggested that the proposed prohibition on the use of black powder in the propulsion chain be deleted. They argued that black powder serves a unique function in the manufacture, design and use of pyrotechnics. Given the size constraints on aerial pyrotechnics, there is no substitute fuel which could propel the pyrotechnic candle to the needed heights. Used properly by the manufacturer, black powder poses no safety concern to the user or carrier. The Coast Guard finds that there have been no hazards associated with the black powder in the amount and configuration as used in the currently approved aerial pyrotechnics for which there is no black powder restriction. Further, production testing and design specifications will insure the safety of the device. The Coast Guard has therefore agreed to delete the prohibition.

Several pyrotechnic manufacturers requested that maximum lot size be set at something greater than 10,000 units. The Coast Guard selected 10,000 units to allow greater flexibility than existing restrictions on lot size for approved devices. The Coast Guard agrees to increase maximum lot size to 30,000 units to allow greater flexibility to the manufacturer in setting lot sizes suitable to his own production needs. To insure that new lots are begun when changes affecting the performance of the devices are made the Coast Guard will maintain the requirement that new lots begin with any changes in construction details, raw materials, or production line. Changes in raw materials means changes in type of material or source of supply for the material. Different shipments of the same material from the same supplier is not a change in raw materials. All devices within a lot should be manufactured with minimal change in construction details.

The Coast Guard feels that there must be a ceiling on lot size in order to reduce inadvertent variables from handling during manufacture. The Coast Guard therefore rejects one suggestion that a new lot be started after a week's production with no limit on lot size.

One manufacturer suggested a minimum 5 second burn time in lieu of the proposed 6 second burn time. The commenter argued that a 6 second minimum burn time effectively rules out 12 gauge pistol fired meteors because not enough space is available within a cartridge to pack sufficient material for the burn to be a consistent six second minimum. The manufacturer did state that these meteors could meet the 1,000 candle-minute criterion. The Coast Guard has no desire to rule out the pistol fired meteor and so has adjusted the burn time but retained the minimum 1000 candle minutes of burn. The minimum burn time is set at 5.5 seconds. The Coast Guard expects that the average burn time will be about 6 seconds.

One manufacturer suggested that the light measuring equipment and procedures be standardized. The Coast Guard concurs and has added specifications for the minimum chart sweep and chart speed of the light measuring equipment.

The Coast Guard has also deleted the first and last seconds of burn time in measuring luminous intensity. This eliminates the low points in intensity at the beginning of the burn as the intensity rises to its peak and the last second of burn as the candle disintegrates. Although this in effect reduces the intensity required by the proposal, the effectiveness of the signal is not diminished from that intended.

Several commenters found the procedures for extended dating in 160.066–10(a) to be burdensome and of little practical value and suggested that a simple 42 or 48 month dating be used. The tightly controlled conditions proposed for warehousing differ greatly from conditions in the marine environment and have little practical effect on extending signal life. The Coast Guard has therefore withdrawn the warehousing requirements. To allow a full three years device life for the boater, the Coast Guard has agreed to a simple 42 months from date of manufacture as the expiration date. Normal care in shipment and storage with an appropriate marking on the shipping carton will be adequate to maintain serviceability when the signal is sold.

Two commenters asked that rejected lots be allowed to be reworked and retested. The Coast Guard has accepted this suggestion because any reworked lot would still be required to pass the production testing requirements before being approved. The boater will have the same assurances that would exist for a lot which had not been reworked. The manufacturer will be required to maintain records of all rework performed and the results of the second test.

Orange Flag

The Coast Guard proposed that flags be Indian orange in color. Indian orange is similar to International orange and is the color used in Coast Guard approved life jackets. Several commenters suggested fluorescent orange as a more visible color. The Coast Guard agrees with these comments, however, it finds that any bright red-orange color meets the minimum requirements for visibility and recognizability. The term fluorescent orange, like Indian or International orange, is more restrictive than need be. The color is therefore specified as being a bright red-orange.

Every flag or cloth manufacturer submitting a comment described the weathering test in § 160.072–5 as impractical and too stringent as written. Only very heavy materials such as vinyl coated nylon could pass. This test is based on that used for Coast Guard approved lifeboat covers and the point is well taken that the requirements for these two materials are quite different. Also, there were substantial ambiguities in the test procedures, such as the manner in which the flag is suspended and characteristics of the water and air blasts. The Coast Guard has considered these comments and rewritten the test to address failure both while being stored in the marine environment and while in use in adverse weather.

Electric Distress Light

As discussed in the preamble to CGD 76–183, published elsewhere in this issue of the **Federal Register**, in consideration of several comments on the proposed distress signal carriage requirement the Coast Guard has decided to accept only automatically keyed S-O-S lights. Many of the modifications to the proposed specifications for electric distress lights are because of that change.

Because of the change to an automatic signalling light the Coast Guard has found it necessary to define the intensity requirement in terms of the Equivalent Fixed Intensity (EFI) of the light. The EFI is the intensity of the light corrected for the length of the shortest flash. The minimum contact closure time of ⅓ second required for the S-O-S signal results in a change in measured intensity. The light as now described is the same as that originally intended although the manner in which the light is described has changed.

Several commenters have noted that the regulation does not specify batteries but rather directs the manufacturer to provide the consumer with the information needed in order to replace the battery and a warning that batteries are most effective when they have not passed the expiration date. These commenters have pointed out that the lantern is only as reliable as its power source, and, while we go to great lengths in setting specifications for the lantern, we provide no specifications for the battery which powers the lantern. Water activated and rechargeable batteries are allowed and pose few problems. Dry cell batteries, the most common by far in lanterns, present several problems beyond the control of either the Coast Guard or the light manufacturer. The battery is perishable and is affected by temperature, humidity, and use.

Requiring batteries to be date stamped would not solve those problems. Nor is there sufficient marketing incentive to encourage battery manufacturers to comply with such a requirement because batteries required to power the lanterns that will be certified under this regulation would form a very small part of the battery manufacturer's market. Consumer activism may result in open dated batteries within the next five years but even then the date is not a reliable indication of effectiveness.

Charge indicators are neither reliable nor accurate in the battery range discussed here without adding about two dollars to the consumer cost of the lantern.

Also, different light designs have different battery requirements. A light with a low amperage draw and a very efficient lens may be able to perform satisfactorily with what for another lantern would be an inadequate battery.

In view of the many potential variables in light design, the Coast Guard has not been able to develop practical standards for lantern batteries. Therefore, the Coast Guard requires the manufacturer to advise the consumer on the battery replacement needs in order to provide the consumer with the information necessary to assure performance. Even if standards for batteries could be developed, the responsibility would nevertheless fall to the operator to replace or charge the battery as needed.

One manufacturer noted that the intensity requirements of § 161.013–5 required that a lantern which operated on both directional beam and all-around light meet the minimum requirements for both modes. The Coast Guard agrees with the manufacturer's contention that the light should be required to meet the minimum requirements for either type beam but not for both. It was never intended that it would have to meet both. A new paragraph has been added to § 161.013–5 to clarify the intent.

One light manufacturer argues that the requirement in proposed § 161.013–3 that a light be tested after submersion in water for 72 hours is excessive considering the intended use for the light. The Coast Guard disagrees. A high degree of watertight integrity is needed to prolong battery life in the marine environment.

Evaluation

This final rule has been reviewed under Department of Transportation Regulatory Policies and Procedures published February 26, 1979 (44 FR 11034). A final evaluation has been prepared and is available for inspection at the Marine Safety Council (G–CMC/TP24), Room 2418, Department of Transportation, Coast Guard Headquarters, Washington, D.C. 20591. The Coast Guard has determined that this final rule is not a significant regulation.

These devices may be used in satisfying new signal requirements which will affect about two million boaters. Using these devices a boater could comply with that requirement for about $3.50 per year. A more detailed discussion of the cost of this regulation is contained in CGD 76–183 which is also published in this issue of the **Federal Register.**

In consideration of the foregoing, Title 46, Code of Federal Regulations, Subchapter Q, is amended by adding

subparts 160.066, 160.072, and 161.013, to read as follows:

PART 160—LIFESAVING EQUIPMENT

Subpart 160.066—Distress Signal for Boats, Red Aerial Pyrotechnic Flare

Sec.

160.066–1 Type.
160.066–5 Design, construction and manufacturing requirements.
160.066–7 Performance requirements.
160.066–9 Labeling.
160.066–10 Expiration date.
160.066–11 Approval procedures.
160.066–12 Operational tests.
160.066–13 Technical tests.
160.066–14 Production testing.
160.066–18 Listed Independent Laboratories.

Authority: Section 5, 85 Stat. 215 as amended, 46 U.S.C. 1454; 49 CFR 1.46(n)(1).

§ 160.066–1 Type.

(a) Red aerial pyrotechnic distress signals specified by this subpart must be either self-contained or pistol launched, and either meteor or parachute assisted type.

§ 160.066–5 Design, construction, and manufacturing requirements.

(a) Each signal must be either:

(1) a self-contained unit with all necessary components for firing the signal, or

(2) a cartridge intended for firing from a signal pistol that is approved under Subpart 160.028 of this chapter.

(b) Each signal unit must have an interior chamber which contains the main propulsion charge and which is constructed so that it is capable of withstanding the forces generated by ignition without rupture, crack, or deformation of any kind.

(c) Signals must be constructed in lots numbered serially by the manufacturer. A new lot must be started when:

(1) any change in construction details occurs;

(2) any change in sources of raw materials occurs;

(3) production is started on a new production line or on a previously discontinued production line; or

(4) a lot exceeds 30,000 units.

§ 160.066–7 Performance requirements

(a) Each signal must:

(1) Burn "vivid red" when tested as specified in §160.021–4(d)(7) for at least 5.5 seconds.

(2) Have a peak luminous intensity of at least 10,000 candela.

(3) Burn a total of not less than 1,000 candleminutes (Cm) using the formula $I \times T = Cm$ where:

I = the luminous intensity measured as in subsection (c);

T = the total burn time of the device in minutes; and

Cm = the candle-minute rating of the device.

(4) Burn out completely before falling back to the level of launch.

(5) Function in a manner that would not cause burns or injury to an unprotected person firing the signal in accordance with the manufacturer's instructions.

(6) Not malfunction in a manner that would cause burns or injury to an unprotected person firing the signal in accordance with the manufacturer's instructions.

(b) Each signal must meet the requirements of paragraph (a) after:

(1) submersion in water for 24 hours, or

(2) if protected by a sealed container, submersion in water for 24 hours inside the sealed container immediately followed by submersion for 10 minutes without the container, and

(3) being exposed to the Elevated Temperature, Humidity, and Storage Test in §160.066–13(b).

(c) Testing for burn time and luminous intensity pursuant to paragraphs (a)(1) and (a)(2), respectively, shall be conducted in conformity with the following requirements and procedures:

(1) The chart speed of the light measuring equipment shall not be slower than 5 seconds per inch;

(2) The chart sweep of the light measuring equipment shall not be slower than .5 seconds for full scale;

(3) The first and last seconds of the burn shall be eliminated in measuring luminous intensity;

(4) The time during which the candle burns (excluding first and last seconds of burn) is to be used to determine the luminous intensity by averaging the readings taken during the burning; and

(5) Burn time is to be measured from first light of the signal to dark.

§ 160.066–9 Labeling.

(a) Each signal must be legibly and indelibly marked with the following information:

(1) the manufacturer's name,

(2) the designed burning time of the pyrotechnic candle(s),

(3) the specific signal pistol for which the signal is designed, if any,

(4) the lot number,

(5) the Coast Guard approval number,

(6) operation and storage instructions,

(7) the month and year of expiration determined by § 160.066–10, and

(8) the words:

"Aerial Flare. Acceptable as a Day and Night Visual Distress Signal for boats as required by 33 CFR 175.110. For Emergency Use Only".

(b) If the signal is too small to contain all of the information required by paragraph (a) and any labeling which may be required by paragraph (d), the information required by subparagraphs (a) (2), (6), and (8) may be printed on a separate piece of paper packed with each signal or with the smallest container in which several signals are packed.

(c) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

(d) Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of the Federal Hazardous Substances Act, 15 USC 1263.

§ 160.066–10 Expiration date.

Each approved signal must have an expiration date marked on it. That date must not be more than forty-two months from date of manufacture.

§ 160.066–11 Approval procedures.

(a) Red aerial pyrotechnic flare distress signals are approved under the procedures of subpart 159.005 of this chapter.

(b) The manufacturer must produce a lot of at least 100 signals from which samples for approval testing must be drawn. Approval testing must be conducted in accordance with the operational tests in § 160.066–12 and the technical tests in § 160.066–13. In order for the signal to be approved, the samples must pass both the operational and the technical tests.

(c) The approval tests must be performed by an independent laboratory accepted by the Commandant under § 159.010 of this chapter. A list of independent laboratories accepted by the Commandant is in § 160.066–18.

§ 160.066–12 Operational tests.

(a) The procedure for conducting operational tests is described in figure (1).

(1) An "accept lot" decision must be reached in order to pass the operational tests.

(2) If a "reject lot" decision is reached, the entire lot is rejected.

(3) Signals from "reject lots" may be reworked by the manufacturer to correct the deficiency for which they were rejected and be resubmitted for inspection. Records shall be kept of the reasons for rejection, the reworking performed on the "reject lot", and the result of the second test. Signals from "reject lots" may not, unless

subsequently accepted, be sold or offered for sale as being in compliance with this specification.

(b) Each signal selected for the operational tests must be conditioned by:

(1) being submerged under at least 25 mm (1 in.) of water for 24 hours without any protection other than its waterproofing; or

(2) if waterproofing is provided by a sealed plastic bag or other waterproof packaging, submersion under 25 mm (1 in.) of water for 24 hours in the packaging, followed immediately by submersion under 25 mm (1 in.) of water for 10 minutes with the signal removed from the packaging.

(c) After each signal selected has undergone the conditioning required by paragraph (b) of this section it must be fired as described by the manufacturer's operating instructions. The following data as observed must be recorded for each signal:

(1) burning time of the pyrotechnic candle;

(2) color;

(3) whether the pyrotechnic candle burns out above, at, or below the level of launch.

(d) A signal fails the operational tests if:

(1) it fails to fire,

(2) the pyrotechnic candle fails to ignite,

(3) the pyrotechnic candle continues to burn after it falls back to the level of launch,

(4) the observed color is other than vivid red, or

(5) the burning time is less than 5.5 seconds.

(e) A lot is rejected if a "reject lot" decision is reached using Figure (1) and Table 1 after completion of the operational tests.

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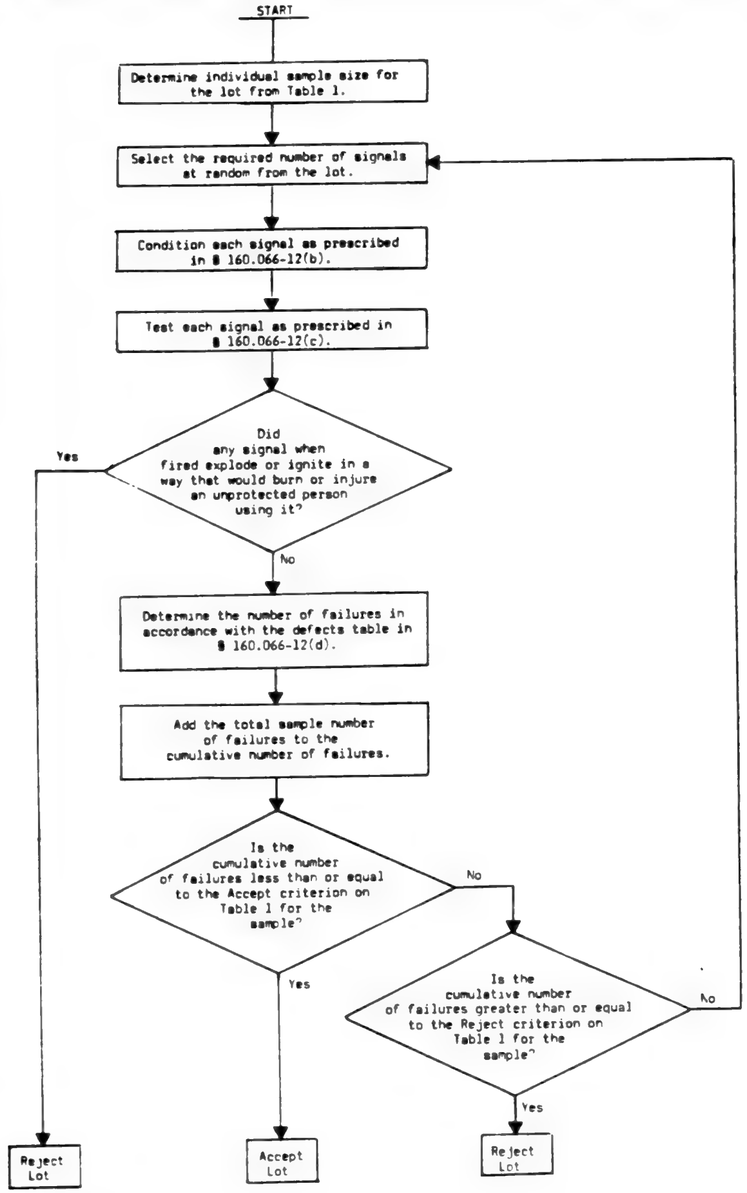


Figure 1. Operational test procedure.

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Table 1.—*Accept and Reject Criteria for Operational Test Lots*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept [1]	Reject [1]
280 or less	8	First	8	(*)	4
		Second	16	1	5
		Third	24	2	6
		Fourth	32	3	7
		Fifth	40	5	8
		Sixth	48	7	9
		Seventh	56	9	10
281 to 500	13	First	13	(*)	4
		Second	26	1	6
		Third	39	3	8
		Fourth	52	5	10
		Fifth	65	7	11
		Sixth	78	10	12
		Seventh	91	13	14
501 to 1,200	20	First	20	(*)	5
		Second	40	3	8
		Third	60	6	10
		Fourth	80	9	13
		Fifth	100	11	15
		Sixth	120	14	17
		Seventh	140	18	19
1,201 to 3,200	32	First	32	1	7
		Second	64	4	10
		Third	96	8	13
		Fourth	128	12	17
		Fifth	160	17	20
		Sixth	192	21	23
		Seventh	224	25	26
More than 3,200	50	First	50	2	9
		Second	100	7	14
		Third	150	13	19
		Fourth	200	19	25
		Fifth	250	25	29
		Sixth	300	31	33
		Seventh	350	37	38

[1] Cumulative number of failures.
[2] Lot may not be accepted. Next sample must be tested.

§ 160.066–13 Technical tests.

(a) The following conditions apply to technical tests as described in this section:

(1) a total of nine signals must be selected at random from the lot being tested;

(2) if the signals are protected by sealed packaging, then the conditioning for the technical tests must be conducted with the signal in the sealed packaging;

(3) if signals in the test sample fail to pass one of the technical tests, the entire lot is rejected;

(4) Signals from "reject lots" may be reworked by the manufacturer to correct the deficiency for which they were rejected and be resubmitted for inspection. Records shall be kept of the reasons for rejection, the reworking performed on the "reject lot", and the result of the second test. Signals from "reject lots" may not, unless subsequently accepted, be sold or offered for sale as being in compliance with this specification.

(b) The Elevated Temperature, Humidity, and Storage Test must be conducted in the following manner:

(1) Select three signals from the nine;

(2) Place each signal in a thermostatically controlled even-temperature oven held at 55 Degrees C (131 Degrees F), and at not less than 90% relative humidity, for at least 72 hours (If for any reason it is not possbie to operate the oven continuously for the 72 hour period, it may be operated at the required temperature and humidity for 8 hours of each 24 during the 72 hour conditioning period.);

(3) After removal from the oven immediately place each signal in a chamber:

(i) at a temperature of at least 20 degrees C (68 degrees F) but not more than 25 degrees C (77 degrees F),

(ii) at not less than 65% relative humidity;

(iii) for ten days;

(4) Then remove each signal from any sealed packaging and fire it.

(5) The test sample fails the test if:

(i) any signal ignites or decomposes before firing;

(ii) any signal when fired malfunctions in a manner that would cause burns or injury to an unprotected person firing the signal, or;

(iii) two or more of the signals fail to project and ignite the pyrotechnic candle.

(c) The Spontaneous Combustion Test must be performed in the following manner:

(1) Select three signals from the remaining six signals and place them in a thermostatically controlled even temperature over for 48 hours at a temperature of 75 degrees C (167 degrees F).

(2) The test sample fails the test if any signal ignites or decomposes during the test.

(d) The Luminous Intensity and Chromaticity Test must be performed in the following manner:

(1) Remove the pyrotechnic candle from the remaining three signals.

(2) Ignite, measure, and record the intensity of the burning candle with a visual photometer or equivalent photometric device or automatic recorder:

(i) while the specimen is supported in a horizontal position and the photometer is at right angles to the axis of the specimen,

(ii) at a distance of at least 3 m (10 ft.).

(3) Calculate the intensity of the candle as in § 160.066–7(c).

(4) Measure and record the chromaticity of the burning candle as specified in § 160.021–4(d)(4).

(5) The test sample fails the test if more than one signal has a luminous intensity of less than 10,000 candela, or more than one signal is not "vivid red".

§ 160.066–15 Production testing.

(a) Production tests must be performed under the procedures in subpart 159.007 of this chapter.

(b) The operational tests in § 160.066–12 must be performed for every lot of signals produced.

(c) The technical tests in § 160.066–13 must be performed at least once every twelve months,or at least once every 10 lots, whichever occurs first.

(d) If a lot is rejected on the basis of the technical tests, then each subsequent lot produced must be tested according to the technical tests until samples from a lot pass these tests.

(e) An independent laboratory acceptable to the Commandant must perform or directly supervise:

(1) each technical test, and

(2) all operational tests for at least four lots in a 12 month period, unless fewer than four lots are produced in a 12 month period. If less than four lots are produced in a 12 month period, each operational test must be performed or directly supervised by the independent laboratory.

(f) If a lot selected by the independent laboratory for an operational test is rejected, then the operational tests for the next lot produced, and the rejected lot, if reworked, must be performed or directly supervised by the independent laboratory. The tests required by this paragraph must not be counted for the purpose of meeting the requirements of paragraph (e).

(g) The independent laboratory selects the lots upon which technical tests are performed.

(h) If the manufacturer produces more than four lots within a 12 month period, the independent laboratory selects the lots for which it performs or directly supervises the operational tests.

(i) The operational test performed or directly supervised by the independent laboratory must occur at least once during each quarterly period, unless no lots are produced during that period.

(j) The independent laboratory, when it performs or directly supervises the technical tests required by paragraph (c) or (d) of this section, must inspect the signals selected for testing and compare them with the approved plans. Each signal inspected must conform to the plans.

§ 160.066–18 Recognized independent laboratories.

(a) The following are independent laboratories acceptable to the Commandant for approval and production testing under this subpart:

(1) [Reserved]

(b) Revised copies of this list may be obtained from Commandant (G–MMT–

3/TP42), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

Subpart 160.072—Distress Signals for Boats, Orange Flag

Sec.
160.072-1 Applicability.
160.072-3 General performance requirements.
160.072-5 Accelerated weathering test.
160.072-7 Manufacturer certification and labeling.
160.072-9 Manufacturer notification.

Authority: Section 5, 85 Stat. 215 as amended, 46 USC 1454; 49 CFR 1.46(n)(1).

§ 160.072-1 Applicability.

(a) This subpart establishes standards for distress flags for boats.

§ 160.072-3 General performance requirements.

(a) Each flag must:

(1) be a square or rectangle at least 90 cm (36 inches) wide and at least 90 cm (36 inches) long. If the flag is a rectangle, the shorter side cannot be less than ⅔ the length of the longer side;

(2) have no less than 70% of the total area colored a bright red-orange color;

(3) display a black disc and a black square on the red-orange background on both sides arranged as follows:

(i) The diameter of the disc and the length of one side of the square shall be equal, and shall each be ⅓ of the length of the longest side of the flag, or 30 cm (12 inches), whichever is greater.

(ii) The disc and square must be centered on one axis of the flag parallel to the longest side of the flag as shown in Figure 160.072-3. If the flag is a square, the axis may be parallel to any side.

(iii) The disc and square shall be separated by a distance of ⅛ the length of the longest side of the flag or 15 cm (6 inches), whichever is greater.

(4) be capable of passing the accelerated weathering test of § 160.072-5;

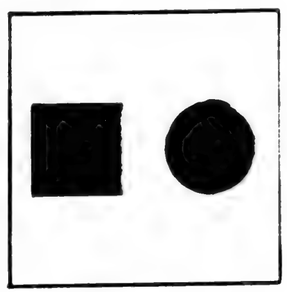


Figure 160.072-3

(5) have reinforced corners, each with a grommet; and,

(6) be packaged with 4 pieces of line, with a tensile strength of at least 225 N (Newtons) (50 lbs) no less than 30 cm (12 inches) long, capable of passing through the grommets freely.

§ 160.072-5 Accelerated weathering test.

(a) Condition the flag, folded to 1/16th its size or as packaged, whichever is smaller, by submersion in 5% by weight sodium chloride solution for 2 hours followed immediately by storage at 95% (±5) related humidity and 40°C (±3°) (100°F ±5°) for at least 15 days.

(b) Unfold and suspend flag by the lines provided, secured through each grommet.

(c) Subject the flag to alternate 3 minute cycles of 5% by weight sodium chloride solution at 55 degrees (±5°) C and air blasts of 40 knots at 55 degrees (±5°) C, perpendicular to and over the entire surface of one side of the flag, without interruption for a period of not less than 24 hours.

(d) The flag fails the accelerated weathering test if

(1) after conditioning, the flag cannot be unfolded without damage,

(2) there is any tearing,

(3) the flag does not retain its bright red/orange color,

(4) the disc and square images no longer meet the requirements of § 160.072-3(a)(3) or,

(5) there is any visible rot over more than 3% of the flag's surface.

§ 160.072-7 Manufacturer certification and labeling.

(a) Each distress flag intended as a Day Visual Distress Signal required by 33 CFR Part 175 must be certified by the manufacturer as complying with the requirements of this subpart.

(b) Each distress flag must be legibly and indelibly marked with:

(1) the manufacturer's name; and

(2) the following words—

"Day Visual Distress Signal for Boats. Complies with U.S. Coast Guard Requirements in 46 CFR 160.072. For Emergency Use Only".

§ 160.072-09 Manufacturer notification.

(a) Each manufacturer certifying flags in accordance with the specifications of this subpart must send written notice to the Commandant (G-BBT/TP42), U.S. Coast Guard, Washington, D.C. 20591—

(1) within 30 days after first certifying a flag,

(2) every five years as long as the manufacturer continues to produce flags, and

(3) each time the design or construction material of the flag changes.

Subpart 161.013—Electric Distress Light for Boats

Sec.
161.013-1 Applicability.
161.013-3 General performance requirements.
161.013-5 Intensity requirements.
161.013-7 Signal requirements.
161.013-9 Independent power source.
161.013-11 Prototype test.
161.013-13 Manufacturer certification and labeling.
161.013-15 Manufacturer notification.

Authority: Section 5, 85 Stat. 215 as amended, 46 USC 1454; 49 CFR 1.46(n)(1).

§ 161.013-1 Applicability.

(a) This subpart establishes standards for electric distress lights for boats.

§ 161.013-3 General performance requirements.

(a) Each electric light must:

(1) Emit a white light which meets the intensity requirements of § 161.013-5;

(2) Be capable of automatic signaling in a manner which meets the requirements of § 161.013-7;

(3) Contain an independent power source which meets the requirements of § 161.013-9;

(4) Float in fresh water with the lens surface at or above the surface of the water;

(5) Be equipped with a waterproof switch; and

(6) Meet the requirement of subparagraphs (a) (1) through (4) of this section after floating for at least 72 hours followed by submersion in 5% by weight sodium chloride solution for at least 2 hours.

(b) The electric light may not be equipped with a switch mechanism which permits continuous display of a beam of light except that the light may be equipped with a switch which returns to the off position when pressure is released.

§ 161.013-5 Intensity requirements.

(a) If an electric light emits light over an arc of the horizon of 360 degrees, the light must:

(1) When level, have a peak intensity within 0.1 degrees of the horizontal plane;

(2) Have a peak Equivalent Fixed Intensity of at least 75 cd; and,

(3) Have a minimum Equivalent Fixed Intensity within a vertical divergence of ±3 degrees of at least 15 cd.

(b) If an electric light emits a directional beam of light, the light must:

(1) Have an Equivalent Fixed Intensity of no less than 25 cd within ±4 degrees vertical and ±4 degrees horizontal divergence centered about the peak intensity; and,

(2) Have a minimum peak Equivalent Fixed Intensity of 2,500 cd.

(c) The Equivalent Fixed Intensity (EFI) is the intensity of the light corrected for the length of the flash and is determined by the formula:

$$EFI = I \times (t_c - t_i)/0.2 + (t_c - t_i)$$

Where:

I is the measured intensity of the fixed beam,
t_c is the contact closure time in seconds, (0.33 for this S-O-S signal), and
t_i is the incandescence time of the lamp in seconds.

(d) An electric light which meets the requirements of either paragraph (a) or (b) of this section need not, if capable of operating in both manners, meet the requirements of the other paragraph.

§ 161.013-7 Signal requirements.

(a) An electric light must have a flash characteristic of the International Morse Code for S-O-S and, under design conditions,

(1) Each short flash must have a duration of ⅓ second;

(2) Each long flash must have a duration of 1 second;

(3) The dark period between each short flash must have a duration of ⅓ second;

(4) The dark period between each long flash must have a duration of ⅓ second;

(5) The dark period between each letter must have a duration of 2 seconds;

(6) The dark period between each S-O-S signal must have a duration of 3 seconds.

(b) The flash characteristics described in paragraph (a) must be produced automatically when the signal is activated.

§ 161.013-9 Independent power source.

(a) Each independent power source must be capable of powering the light so that it meets the requirements of § 161.013-3(a)(1) and emits a recognizable flash characteristic of the International Morse Code for S-O-S at a rate of between 3 and 5 times per minute after six hours of continous display of the signal.

(b) If the independent power source is rechargeable, it must have a waterproof recharger designed for marine use.

(c) If the independent power source requires external water to form an electrolyte, it must operate in sea water and fresh water.

§ 161.013-11 Prototype test

(a) Each manufacturer must test a prototype light identical to the lights to be certified prior to the labeling required by § 161.013-13.

(b) If the prototype light fails to meet any of the general performance requirements of § 161.013-3 the lights must not be certified under this subpart.

(c) Each manufacturer must:

(1) Forward the test results within 30 days to the Commandant (G-BBT/TP42), U. S. Coast Guard, Washington, D.C. 20591; and

(2) retain records of the test results for at least 5 years, or as long as the light is manufactured and certified, whichever is longer.

§ 161.013-13 Manufacturer certification and labeling.

(a) Each electric light intended as a Night Visual Distress Signal required by 33 CFR part 175 must be certified by the manufacturer as complying with the requirements of this subpart.

(b) Each electric light must be legibly and indelibly marked with:

(1) Manufacturer's name;

(2) Replacement battery type;

(3) Lamp size; and

(4) The following words—

"Night Visual Distress Signal for Boats Complies with U. S. Coast Guard Requirements in 46 CFR 161.013. For Emergency Use Only."

(c) If an electric light is designed for use with dry cell batteries the label must advise the consumer on the battery replacement schedule which under normal conditions would maintain performance requirements of § 161.013-3.

§ 161.013-17 Manufacturer notification.

(a) Each manufacturer certifying lights in accordance with the specifications of this subpart must send written notice to the Commandant (G-BBT/TP42), U. S. Coast Guard, Washington, D.C. 20591 within 30 days after first certifying them, and send a new notice every five years thereafter as long as it certifies lights.

(46 U.S.C. 1454; 49 CFR 1.46(n)(1).)

J. B. Hayes,
Admiral, U.S. Coast Guard, Commandant.

Dated: October 30, 1979.

[FR Doc. 79-38273 Filed 12-14-79; 8:45 am]
BILLING CODE 4910-14-M

46 CFR Part 160

[CGD 76-048a and CGD 76-048b]

Distress Signals, Signal Pistols, and Line-Throwing Appliances; Specifications, Tests, and Inspection and Approval Procedures

AGENCY: Coast Guard, DOT.

ACTION: Final rules.

SUMMARY: These regulations contain revised specifications for pyrotechnic distress signals, signal pistols for flare-type distress signals and line throwing appliances. The revisions include amendments of the marking and labeling requirements, changes in certain design specifications for pistols intended to fire a wide range of distress flares, changes to diameter and strength requirements for service lines used in line throwing appliances, conversion of dimensions to SI (metric) units, and addition of a requirement for placing the service life expiration date on pyrotechnic signal markings. The amendments are necessary to incorporate new inspection and approval procedures, to change marking requirements to reflect these new procedures, and to inform the consumer of the storage life of pyrotechnic signals.

The revisions also place the responsibility for conducting factory inspections on the equipment manufacturer. This will free some of the Coast Guard's field personnel for other duties while still providing sufficient inspection to assure the quality of the product.

The revised regulations should be considered in conjunction with the visual distress signal rules for boats (CGD 76-183 and CGD 76-183a) that appear elsewhere in this issue of the **Federal Register.** The revised regulations should also be considered in conjunction with the test, inspection and approval procedure rules (CGD 76-048) that appear elsewhere in this issue of the **Federal Register.**

EFFECTIVE DATE: These amendments become effective on January 17, 1980.

FOR FURTHER INFORMATION CONTACT: Mr. Robert Markle, Office of Merchant Marine Safety (G-MMT-3/TP12), Room 1210, Department of Transportation, U.S. Coast Guard Headquarters, Washington, D.C. 20593 (202-426-1444).

SUPPLEMENTARY INFORMATION: On October 23, 1978, the Coast Guard published two notices of proposed rulemaking in the **Federal Register** for these regulations (43 FR 49445 and 43 FR 49447). Four comments were received on the proposed regulations before the comment period closed on December 22,

1978. These are discussed in greater detail in subsequent paragraphs. The Coast Guard has combined the contents of the two separate proposals into a single final notice since they both pertained to the same regulations, and prompted such extensive changes that it was found necessary to republish the affected regulations in their entirety.

Summary of Final Evaluation

A final evaluation has been prepared for these regulations in accordance with the Department of Transportation's Regulatory Policies and Procedures published in the **Federal Register** on February 26, 1979 (44 FR 11034). That document requires that the evaluation quantify, to the extent practicable, the estimated cost of the regulations to the private sector, consumers, and Federal, State and local governments, as well as the anticipated benefits and impact of the regulations.

The principal costs to pyrotechnic manufacturers will be those related to obtaining an independent laboratory to witness or perform initial tests required for Coast Guard approval as well as periodic production tests. As discussed in the final evaluation, these costs would amount to approximately $120,000 per year. This amount greatly exceeds the present cost to the Coast Guard for performing inspections and tests on pyrotechnic devices, as it assumes that the independent laboratories must incur travel costs for their personnel, an expense which the Coast Guard is able to minimize by relying on inspectors from its various field offices.

It is anticipated that manufacturers will pass the costs of inspections to the purchasers of the equipment, and that these costs will ultimately be borne by consumers and recipients of marine products and services. The Coast Guard is presently performing inspections and tests at public expense. One of the effects of this change in procedure is that the manufacturer of the equipment and ultimately the users of marine products and services will bear the expense of performing these inspections and tests, rather than the general taxpayer. This is identified as one of the principal benefits of these regulations.

Another benefit is that the Coast Guard will be able to make more efficient use of its own resources. The Coast Guard's inspection responsibilities have increased in recent years and will continue to increase because of new laws and regulations in the environmental protection and occupational safety areas. The use of independent laboratories for performance of inspection will enable the Coast Guard to avoid some of the increases in budget and personnel that would otherwise be necessary.

The final evaluation has been included in the public docket for this rulemaking, and may be obtained from the Marine Safety Council (G-CMC/TP24), Room 2418, Department of Transportation, U.S. Coast Guard Headquarters, Washington, D.C. 20593. (202) 755-4901.

Drafting Information

The principal persons involved in drafting these regulations are: Mr. Robert Markle, Office of Merchant Marine Safety, and Mr. Coleman Sachs, Office of the Chief Counsel.

Discussion of the Regulations

These regulations amend the following subparts of Title 46 of the Code of Federal Regulations:

Subpart 160.021—Hand Red Flare Distress Signals

Subpart 160.022—Floating Orange Smoke Distress Signals (5 minutes)

Subpart 160.023—Hand Combination Flare and Smoke Distress Signals

Subpart 160.024—Pistol-Projected Parachute Red Flare Distress Signals

Subpart 160.026—Signal Pistols for Red Flare Distress Signals

Subpart 160.031—Line-Throwing Appliance, Shoulder Gun Type (and Equipment)

Subpart 160.036—Hand-held Rocket-Propelled Parachute Red Flare Distress Signals

Subpart 160.037—Hand Orange Smoke Distress Signals

Subpart 160.040—Line-Throwing Appliance, Impulse-Projected Rocket Type (and Equipment)

Subpart 160.057—Floating Orange Smoke Distress Signals (15 minutes)

The amendments to the regulations include the following primary changes:

a. The procedures by which the manufacturer obtains approval and conducts production inspections and tests are those in new Part 159 of Title 46 of the Code of Federal Regulations published elsewhere in this issue of the **Federal Register**. These replace previous procedures whereby Coast Guard marine inspectors witnessed approval and production tests at the manufacturer's facilities (e.g. § 160.021-4).

b. Operational tests, technical tests, and lot sampling requirements have been changed in the distress signal subparts to permit the production of larger lots of distress signals (e.g. § 160.021-4(b)).

c. The marking requirements for the distress signals have been changed to require marking of a service life expiration date (e.g. § 160.021-5 (a) and (b)).

d. A note has been added to each distress signal specification stating that compliance with the marking requirements in the subpart does not relieve the manufacturer of the responsibility to comply with the labeling requirements of the Federal Hazardous Substances Act (e.g. § 160.021-5(c)).

e. All measurements previously stated in English units have been converted to SI (metric) units with the equivalent English units noted in parentheses. English units have not been noted where SI units were already in use (e.g. § 160.021-4(d)(7)).

f. The marking requirements for the line throwing appliances have been changed to eliminate the need for USCG and Coast Guard Marine Inspection Office identification, since the Coast Guard offices will no longer be involved in production testing on a regular basis. The requirements have been deleted from § 160.031-6(a), and § 160.040-5(d) has been deleted in its entirety.

g. The signal pistol subpart has been changed to permit optional chamber and bore dimensions for pistols intended for firing signals other than those meeting Subpart 160.024. A provision that the pistol be designed to fire only a distress signal and not a conventional round of ammunition has also been added (see § 160.028-2).

h. The service line requirements for rocket type line throwing appliances have been changed to require a line with a breaking strength of at least 2,250 N (Newtons) (500 lb.) and a minimum diameter of 4 mm (5/32 in.) (see § 160.040-4(c)).

i. The marking requirements for floating orange smoke signals have been changed to require addition of the words "Approved for daytime use only" (see § 160.022-5(a) and 160.057-5(a)).

In addition, several changes have been made that were not discussed in the Notice of Proposed Rulemaking. These changes are primarily editorial in nature and do not affect any of the regulation's technical requirements. The Coast Guard has therefore determined that they may be accomplished without

further notice and opportunity for public comment. The changes are as follows:

a. The words "for Merchant Vessels" have been dropped from all but one subpart heading in the distress signal regulations since their use will no longer apply exclusively to merchant vessels (See CGD 76-183 elsewhere in this issue of the **Federal Register**). The headings have also been reworded in a standard prose style, rather than with the modifiers listed after the noun.

b. Subparts 160.023, 160.024, 160.036, 160.037 all prescribed similar requirements for containers intended to house signal equipment. The use of any specific type of container has never been a factor in the approval process for signals, and this part of the specifications only provides guidance for the watertight construction and marking of containers that are used on merchant vessels. In order to shorten the regulations, the container requirements will be retained only in Subpart 160.021. Subparts 160.023, 160.024, 160.036, and 160.037 refer to the 160.021 requirements.

c. The title of the first section in each subpart has been changed from "Applicable specifications" or its equivalent to "Incorporation(s) by reference", and the contents of these sections have been changed to conform to the Office of the Federal Register's current policies on incorporation by reference as published in the **Federal Register** on March 28, 1979 (44 FR 18630). The most recent edition of each document referred to in the body of the subpart is listed in this section. Approval to incorporate the material by reference has been obtained from the Office of the Federal Register, as stated in each incorporation by reference section.

d. In comparing the specification regulations in this project to those in CGD-183a covering visual distress signals for boats, it was determined that a requirement for manufacturers to keep records on reworked and retested lots had been inadvertently omitted from this project. This matter is being rectified in these final rules.

On the effective date of these regulations, each manufacturer of approved distress signals and line throwing appliances will have to satisfy the new rules in order to have its Coast Guard approvals remain in effect. A sufficient delay in the effectuation of these rules is being provided to permit the manufacturers to make arrangements for testing with independent laboratories and to have those laboratories reviewed and accepted by the Coast Guard. Applications for approval of new distress signals meeting the amended regulations will be accepted immediately. All current approvals for distress signals and line throwing appliances will remain in effect if independent laboratory inspections have begun on the effective date of these regulations.

Changes in technical requirements for items affected by this notice will not affect existing approvals. However, if a new hot slag test for hand held flares is introduced in a future notice, all new flares produced will have to pass the test. Although the approval for any flare that does not meet the test will be terminated, existing flares may continue to be used until their service life has expired.

Discussion of Comments—General

One commenter objected to the adaptation of merchant vessel distress signals to recreational boats, citing possible confusion that could result if the same devices were authorized for use on both types of craft. The commenter also noted differences in the capabilities and requirements of merchant seamen and recreational boaters. Implying that higher standards are used in the manufacture of merchant vessel equipment, the commenter felt that combined specifications would increase costs to recreational boaters. Additional contentions were that separate statutes apply to merchant vessels and recreational boats, requiring the issuance of separate regulations, that some of the requirements of the existing regulations are only necessary for merchant vessels and should not be applied to recreational boats, and that future modifications to the specifications would be inhibited by virtue of their dual applicability.

The Coast Guard has found no reason to prohibit the use of merchant vessel distress signals on recreational boats. Rather than creating confusion, this development is likely to eliminate confusion for the recreational boater. Other than hand held flares, any device approved for merchant vessels will be acceptable to meet recreational boating requirements. It is hoped that further development of a hot slag test procedure for hand held flares, as discussed below, will eliminate this one exception.

As distress signals do not form an integral part of a vessel's operating equipment, but are merely ejected or displayed to summon assistance in times of emergency, differences in the functional requirements of merchant vessels and recreational boats have no relevance to their use. The important consideration is the likelihood of encountering mishaps in the marine environment. Both types of craft are never immune to these occurrences.

It is equally apparent that differences in the capabilities of merchant seamen and recreational boaters have no bearing upon the issue of authorizing the use of merchant vessel distress signals on recreational boats. The Coast Guard is aware of no special training that is given to merchant seamen on the proper use of these devices. Instructional material furnished with the signal must be relied upon by the recreational boater and the merchant seaman alike.

Costs to recreational boaters will not necessarily increase as a result of this rulemaking. Use of merchant vessel distress signals is not being required but merely allowed on recreational boats. A separate specification for less expensive devices to be used exclusively on boats is being issued in conjunction with this rule in Section 160.066 of CGD 76-183.

The separate statutory bases for regulating merchant vessels and recreational boats poses no impediment to the issuance of these regulations. Individual regulations are frequently promulgated in reliance upon more than one source of statutory authority.

The commenter cited as examples of requirements in the existing regulations which should be unique to merchant vessel devices those applying to storage containers, wooden handles on hand held flares, and ejection mechanisms on signal pistols. Each of these matters is addressed at a later point in this discussion.

In response to the commenter's final contention, the Coast Guard can conceive of no situation in which future modifications to distress signal specifications will be inhibited by virtue of its authorizing merchant vessel devices to be used on recreational boats. If it becomes apparent that merchant vessels and recreational boats have substantially different signal requirements, a new specification will be proposed.

Two commenters were concerned that the proposed amendments to the distress signal regulations would require all existing distress signals to be reapproved at great expense. As explained previously, existing approvals will not be affected by this rulemaking.

One commenter expressed the opinion that the Coast Guard should remain in the factory inspection process, at least for items produced in small quantities and those intended primarily for use on merchant vessels. As explained in the Notice of Proposed Rulemaking on CGD 76-048 (43 FR 49440, October 23, 1978), this is no longer desirable because of budgetary and manpower considerations. Furthermore, the

replacement of the Coast Guard with independent laboratories for the performance of inspections and tests will shift the cost burden from the taxpayer to the actual users of marine devices, creating a more equitable arrangement.

Another commenter suggested an alternative procedure for approval. The primary features of the program would be that the Coast Guard would initially approve the design of a product, an independent laboratory would thereupon test it for compliance with the approved design, and the manufacturer would conduct subsequent production tests with periodic spot checks by the independent laboratory. If problems were found either as a result of the independent laboratory spot checks or compliance testing of products on the market, increased tests by the independent laboratory would be required. This would place an additional cost burden on the manufacturer, thereby acting as an incentive to keep quality high. Futhermore, the Coast Guard could condition the approval of a product upon the financial responsibility of its manufacturer in order to prevent domestic markets from being flooded with products of inferior grade.

Although no changes have been made in these rules in response to this comment, the Coast Guard notes that there are a number of similarities between the suggested procedures and those which are being adopted. For instance, testing by the independent laboratory is required on no more than 4 lots per year unless lots tested by the laboratory fail the tests. In this case additional laboratory tests are required. All other production tests are the responsibility of the manufacturer (e.g. § 160.021–4(b)). The suggestion to require that the manufacturer be a financially responsible concern has not been adopted because the Coast Guard has no indication that this is a reliable indicator of product quality.

Two commenters suggested allowing production lots larger than 10,000 units for distress signals. One suggested a maximum of 30,000 units and the other suggested a maximum of one week's production, except that when this was less than 10,000 units, the lot could extend until 10,000 units were produced. The Coast Guard agrees with the suggestion to increase lot size. The basis for the sampling plan is MIL–STD–105D using the "multiple sampling plan for normal inspection" with an "AQL" (acceptable quality level) of 6.5. This sampling plan is valid for any lot size, so the upper limit of the lot size can be extended and remain statistically valid. The suggested maximum lot size of 30,000 units has been adopted. The one week's production criterion has not been adopted since it is not considered to be relevant to lot size. The change has been made in §§ 160.021–4(b)(1), 160.022–4(b)(1), 160.024–4(b)(1), 160.036–4(b)(1), and 160.037–4(b)(1), as well as the corresponding table of accept and reject criteria for each of those sections.

One commenter suggested a change in the standards used to designate a new lot since the proposed standards could be interpreted several ways. The proposed standards required that a new lot be designated whenever any change or modification in raw materials or manufacturing methods occurs. The Coast Guard agrees that this may be interpreted in a variety or ways and should therefore be clarified. The standards in §§ 160.021–4(b)(1), 160.022–4(b)(1), 160.024–4(b)(1), 160.036–4(b)(1), 160.037–4(b)(1), and 160.057–4(b)(1), have been revised to require that a new lot be started with: (i) any change in construction details, (ii) any change in sources of raw materials, or (iii) the start of production on a new production line or on a previously discontinued production line.

One commenter expressed the opinion that the sampling plan for distress signals in the Notice of Proposed Rulemaking was unclear. The commenter stated, as an example, that the proposal did not properly identify how the test devices were to be divided among the various tests. The complete text of the revised rules which is published in this notice clearly indicates what devices are to be subjected to the various tests.

One commenter noted the apparent disparity between the elevated temperature, humidity and storage test, and the spontaneous ignition test in each of the distress signal subparts. The elevated temperature, humidity and storage test requires the signal to function properly after being subjected to 90° C temperature and 90% relative humidity for 72 hours. The spontaneous ignition test requires the signal to withstand a temperature of 75° C for 48 hours without igniting or decomposing; however, there is no requirement that it function properly at the end of the test period. The commenter suggested lowering the temperature of the elevated temperature, humidity and storage test to correspond to the temperature in the spontaneous ignition test. The Coast Guard agrees. In past studies, it has been found that the temperature in a magazine chest or in a lifeboat where the signals are kept on a ship, may rise as high as 65° C. It has been concluded that both tests may be conducted at a temperature of 75° C with an adequate margin of safety still maintained. The spontaneous ignition test has been changed to require low humidity (less than 10% relative humidity) so that the tendency of the flare to deteriorate at high temperature is checked at both high and low humidity. The changes have been made in §§ 160.021–4(d) (5) and (6), 160.022–4(d) (3) and (4), 160.024–4(d) (2) and (3), 160.036–4(d) (2) and (3), 160.037–4(d) (4) and (5), and 160.057–4(d) (4) and (5).

Three commenters supported the proposal to extend the expiration date of the signals beyond three years, but objected to the temperature and humidity requirements for storage in order to obtain the one year extension. Furthermore, all three stated that a full year extension was not necessary in order to move signals through the distribution system to the customer. All three stated that a six month extension should be adequate for the customer to obtain a full three years of useful life from the signal. The Coast Guard agrees. There is no strong reason to compel the expiration of a signal's service life exactly three years from its date of manufacture. The Coast Guard has tested signals over 20 years old that have kept dry, and has found that they usually work well, although with some deterioration in performance. In their actual use on ships and boats, however, the signals are more likely to be damaged in storage, subjected to extremes of heat and humidity, and have their protective packaging damaged. Under such conditions, the three year "rule-of-thumb" has proved to be adequate to assure that most signals in use are in good condition. Such damage is not likely to occur when the signals are in the distribution system between the manufacturer and the customer. The requirement for controlled condition storage in order to extend the expiration date of the signals has therefore been dropped and has been replaced with a requirement for the signal shipping carton to be marked with the following or equivalent wording: "Keep under cover in a dry place". The expiration date may be no more than 42 months after the date of manufacture. The changes have been made in §§ 160.021–5(b) and (c)(3), 160.022–5(b)(3) and (c), 160.023–5(b) and (c)(2), 160.024–5(b) and (c)(3), 160.037–5(b) and (c)(3), 160.057–5(b)(3) and (c).

One commenter objected to the proposal to add a note to the specifications that would remind manufacturers of the need to comply with Consumer Product Safety Commission markings. The commenter expressed the opinion that the rules of the Consumer Product Safety Commission do not expressly cover pyrotechnic distress signals, although they do cover fireworks. The commenter suggested direct reference to 15 U.S.C 1263, the Federal Hazardous Substances Act. This is the same reference that was used in Subpart 160.066 in CGD 76–183a. The Coast Guard agrees. The revised note appears after the following sections of the rules: 160.021–5(c), 160.022–5(c), 160.023–5(c), 160.024–5(c), 160.028–5(a), 160.031–6(c), 160.036–5(c), 160.037–5(c), 160.040–6(b), 160.057–5(c).

One commenter objected to the container requirements in the distress signal subparts, stating that they weren't appropriate for recreational boats and therefore should not be included in specifications for devices used on both merchant vessels and recreational boats. As explained previously, these container specifications are not related to the approval of the signals. Furthermore, they clearly state that they apply to lifeboats and liferafts on merchant vessels. The Coast Guard does not believe any change is necessary as a result of this comment. It has, however, consolidated the container requirements in a single section, as discussed above. (See §§ 160.021–6, 160.023–6, 160.024–6, 160.028–6, 160.036–6, and 160.037–6.)

Comments on Hand Held Flares—Subpart 160.021

One commenter objected to the requirements in § 160.021–2(a) for the placement of wooden handles on hand-held flares. The commenter stated that wooden handles were not necessary for flares on recreational boats and therefore the specification was not appropriate for the devices intended to be used on these craft. It is self-evident that some type of handle is necessary on hand-held pyrotechnic devices; however, nothing compels that these be constructed exclusively of wood. The section referred to also contains a statement that specifically allows alternate designs that meet the performance requirements of the regulation.

A hot slag test for hand-held flares was proposed in the Notice of Proposed Rulemaking. This test would have been added as § 160.021–4(d)(8). The test has not been added as yet owing to several comments concerning its need and questions raised about its validity. The test required an ignited flare to be held 1.2m (4 ft.) above 10 layers of newsprint paper, the top layer of which is marked off in a grid. If more than half of the blocks of the grid were burned at its conclusion, the flare failed the test.

The commenters had two concerns regarding the test. In the first place, all of the presently approved flares drip some quantity of glowing slag. The commenters indicated that this had not proved to be a problem over the years in marine, highway, and railroad usage. The commenters believed that this was sufficient justification to conclude that there would also be no problems on recreational boats. The other concern was that newspaper was not a valid medium for the test, in that it does not simulate any particular material or hazardous condition that exists on recreational boats.

The Coast Guard does not agree with the contention that hot dripping slag poses no problems for recreational boats. This matter has been discussed at length by the National Boating Safety Advisory Council and has proved to be of serious concern. In light of the objections that have been raised to the hot slag test as proposed, the Coast Guard has decided to consider alternatives. Working for the Coast Guard, the National Bureau of Standards conducted a test series using several types of hand-held flares, burning them over newsprint of varying moisture content, and also burning them over heptane. Heptane is a standard test fuel used to determine octane ratings for gasoline, and is also one of the components of gasoline. As such, it represents the hazard that could be present on a boat with gasoline in the bilge. The possibility of this gasoline exploding was one of the primary concerns with the use of flares that dripped hot slag. At the conclusion of the tests, a demonstration was held at the National Bureau of Standards for a special sub-committee of the National Boating Safety Advisory Council on September 11, 1979.

There are five primary alternatives that will be available to the Coast Guard once the results of the tests and demonstration have been analyzed. One is that it will be determined that hand-held flares are potentially too dangerous to be used on recreational boats. In this case, Subpart 160.021 will remain as it is published in this Final Rule, and hand-held flares will not be permitted on recreational boats for meeting the visual distress signal requirement. A second possibility is that a surface burning test such as the newspaper version of the hot slag test will be found to be the best test for the hot slag hazard, and another final rule making will be published adding the test to Subpart 160.021. A third possibility is that the heptane hot slag test will be identified as providing the best estimate of slag hazard, in which case, it will be added to Subpart 160.021. The fourth possibility is that both a surface burning test and a heptane test will be found to be necessary, and both will be added to Subpart 160.021. The fifth possibility is that hot slag will be found to constitute no real hazard for recreational boats, eliminating the need for any testing requirement and permitting hand-held flares to be used as part of the required visual distress signals on recreational boats. Further comments are invited on this matter. These comments should reference CGD 76–048 a and b and be sent to the Commandant (G–CMC/TP24), U.S. Coast Guard Headquarters, Washington, D.C. 20593. The use of hand-held flares on recreational boats is discussed further in docket 76–183 elsewhere in this issue of the **Federal Register.**

Comments on Signal Pistols—Subpart 160.028

One commenter indicated that the requirement in § 160.028 for signal pistols to be equipped with ejection mechanisms should not be applied to pistols designed to fire the visual distress signals for boats specified in proposed § 160.066, as found in CGD 76–183a. The commenter stated that such mechanisms were not necessary for smaller signals complying with Subpart 160.066. The Coast Guard agrees and has added a note to § 160.028–3(c) that makes that section apply only to pistols for firing merchant vessel signals meeting Subpart 160.024. This exception also includes the firing pin specifications which are appropriate only for signals meeting the design requirements of Subpart 160.024.

Comments on Smoke Signals—Subpart 160.037

One commenter suggested the addition of a specification for a 50 second floating smoke signal. The suggestion was not adopted. Specifications for a 50 second hand-held smoke signal are contained in Subpart 160.037. Section 160.037–2(a) specifically permits alternate constructions which conform to the performance requirements in the subpart. A 50 second floating smoke signal would be given special consideration under this section.

One commenter suggested that the chemical p-Nitroaniline be prohibited in smoke signals owing to its toxicity. The Coast Guard has not adopted the suggestion. Atlantic Research Corporation in a study performed for the Coast Guard in 1977 concluded that the short term exposure to p-Nitroaniline that a smoke signal operator might be

subjected to would not have any serious consequences. This conclusion is supported by the Coast Guard's experience with smoke signals that have been approved and used for over 30 years. No adverse reaction from chemical exposure has ever been reported from the use of any visual distress signal.

One commenter suggested a change in the waterproofing of igniter button test in § 160.037–4(c)(2)(ii) that would permit a signal in a can with a screw-on cap to be tested under water with the cap in place. The suggestion has not been accepted. There is no reason why a signal in a can should not be waterproof in the ready to fire condition when other signals are required to be waterproof in the same condition.

One commenter suggested that the test to determine the volume and density of smoke produced by a signal measure the total smoke output rather than the rate of smoke output, as is now required in the test procedure in § 160.037–4(d)(8). The commenter also recommended that the smoke emitting time in § 160.037–4(c)(2)(iii) be extended to 75 seconds if the total volume of smoke produced in that time was acceptable. These suggestions have not been accepted. Ordinarily, a manufacturer can adjust the composition of a smoke signal to burn faster or slower, thereby regulating the rate at which smoke is produced. Furthermore, no test procedure for a total volume of smoke test was suggested, and the Coast Guard is not aware of any such procedure that has been validated.

Comments on Line Throwing Appliance—Subpart 160.040

One commenter suggested that the strength of the service line for line throwing appliances in § 160.040–4(c) be changed from 2,250 N (500 lb.) to 2,000 N (450 lb.). This would conform to specifications for minimum service line strength for line throwing appliances now under international consideration as a revision to the Safety of Life at Sea (SOLAS) Convention. The Coast Guard has not adopted the suggestion, since all presently approved line throwing appliances meet the 2,250 N criterion. Furthermore, the revision to the SOLAS Convention is still only a proposal and is subject to change. Should it be adopted, the Coast Guard may reconsider the service line strength requirement.

In consideration of the foregoing, Title 46 of the Code of Federal Regulations is amended as follows:

SUBCHAPTER Q—SPECIFICATIONS

PART 160—LIFESAVING EQUIPMENT

1. By revising Subpart 160.021 of Part 160 to read as follows:

Subpart 160.021—Hand Red Flare Distress Signals for Merchant Vessels

Sec.

160.021–1 Incorporations by reference.
160.021–2 Type.
160.021–3 Materials, workmanship, construction and performance requirements.
160.021–4 Approval and production tests.
160.021–5 Labeling and marking.
160.021–6 Container.
160.021–7 Procedure for approval.
160.021–9 Recognized independent laboratories.

Authority.—46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.021–1 Incorporations by reference.

(a) The following is incorporated by reference into this subpart:

(1) "The Universal Color Language" and "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, December 1976.

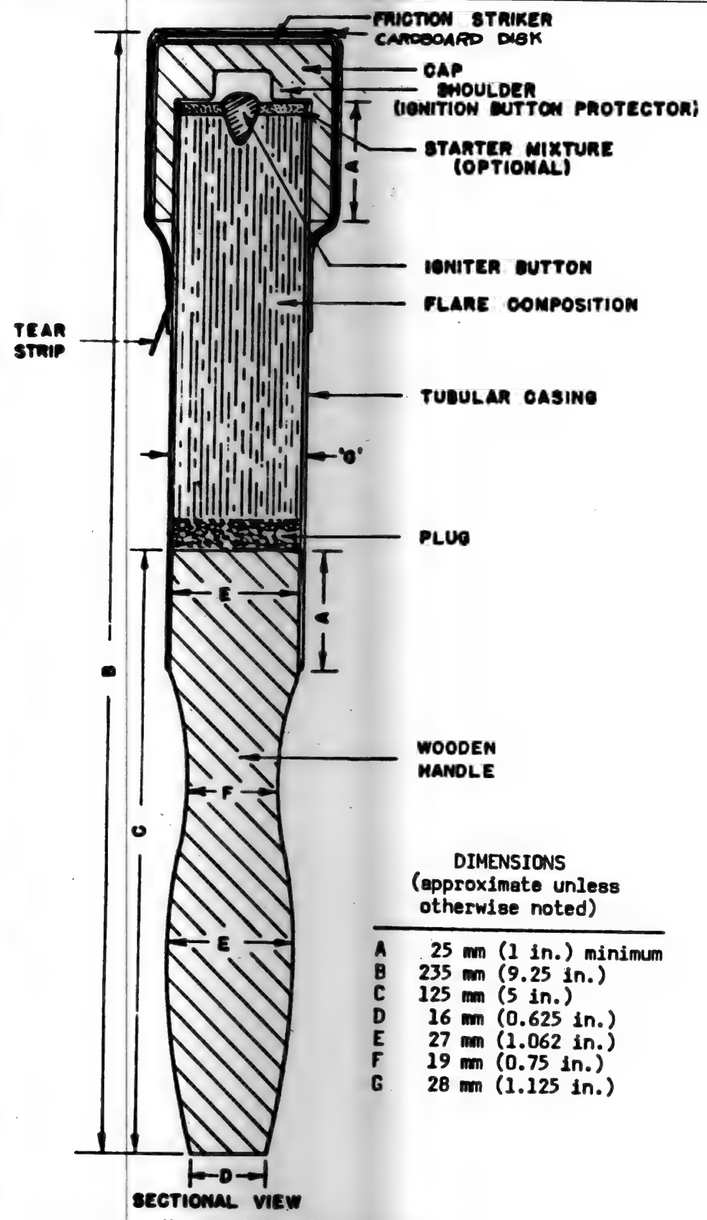
(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) Approval to incorporate by reference the publication listed in this section was obtained from the Director of the Federal Register on November 1, 1979. The publication is on file at the Federal Register Library.

§ 160.021–2 Type.

(a) Hand red flare distress signals specified by this subpart shall be of one type which shall consist essentially of a wooden handle to which is attached a tubular casing having a sealing plug at the handle end, the casing being filled with a flare composition and having a button of ignition material at the top, with a removable cap having a friction striking material on its top which may be exposed for use by pulling a tear strip. The flare is ignited by scraping the friction striker on top of the cap against the igniter button on top of the flare. The general arrangement of the flare is shown by Figure No. 160.021–2(a). Alternate arrangements which conform to all the performance requirements of this specification (and other arrangements which conform with all performance requirements except candlepower and burning time, but provide not less than 3,000 candela-minutes with a minimum of ⅓ minute burning time) will be given special consideration.

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DIMENSIONS
(approximate unless otherwise noted)

A	25 mm (1 in.) minimum
B	235 mm (9.25 in.)
C	125 mm (5 in.)
D	16 mm (0.625 in.)
E	27 mm (1.062 in.)
F	19 mm (0.75 in.)
G	28 mm (1.125 in.)

Figure 160.021–2(a). Hand Red Flare Distress Signal - General Arrangement.

§ 160.021-3 Materials, workmanship, construction and performance requirements.

(a) *Materials.* The materials shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. The color of the tube shall be red. Flare compositions containing sulphur shall not contain more than 2.6 percent of potassium chlorate or an equivalent amount of any other chlorate. Flare compositions containing chlorates in any quantity shall not contain any ammonium salts.

(b) *Workmanship.* Hand red flare distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability. Moistureproof coatings shall be applied uniformly and shall be free from pinholes or other visible defects which would impair their usefulness.

(c) *Construction.* The casing shall be fitted and secured to the handle with not less than a 25 mm (1 in.) overlap and shall be attached to the handle in such a manner that failure of the joint will not occur during tests, ignition, or operation. The plug shall be securely affixed in the casing to separate the flare composition from the wooden handle. The flare composition shall be thoroughly mixed and be uniformly compressed throughout to preclude variations of density which may adversely affect uniformity of its burning characteristics. The cap shall have a lap fit of not less than 25 mm (1 in.) over the end of the casing and flare composition to entirely and securely protect the exposed surface of the igniter button and end of flare composition and casing, and shall have an inner shoulder so constructed that it is mechanically impossible for the inner surface of the cap to come in contact with the igniter button. The cap shall be securely attached to the casing in such manner as to preclude its accidental detachment. The cap shall be provided on its top with a friction striking material which shall, by a pull of the tear strip, be entirely exposed for striking the friction igniter button. The igniter button shall be non-water soluble or be protected from moisture by a coating of some waterproof substance, and shall be raised or exposed in such manner as to provide positive ignition by the friction striker. The igniter button shall be firmly secured in or on the top of the flare composition; the arrangement shall be such that the ignition will be transmitted to the flare composition. The assembled flare, consisting of tear strip, cap, casing, and handle, shall be sealed and treated to protect the flare from deterioration by moisture. The protective waterproof coating shall be applied so none adheres to the friction striking surface. Special consideration will be given to alternate waterproofing of the signal by means of a water-resistant coating on the signal plus packaging in a sealed plastic waterproof bag satisfactory to the Commandant.

(d) *Performance.* Signals shall meet all the inspection and test requirements contained in § 160.021-4.

§ 160.021-4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 100 signals form which samples must be taken for testing for approval under § 160.021-7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 30,000 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with: (i) any change in construction details, (ii) any change in sources of raw materials, or (iii) the start of production on a new production line or on a previously discountinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in year is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during that period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.021-4(c)(1) corresponding to the lot size. Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defects (Table 160.021-4(c)(2)) is assigned a score (failure percent) in accordance with that table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal. If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired or ignited in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.021-4(c)).

(2) *Test procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water resistance.* Immerse specimen horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours. If the signal is protected by alternate waterproofing consisting of a water-resistant coating on the signal plus packaging in a sealed plastic waterproof bag, the 24-hour water immersion conditioning will be conducted while the signal is in the sealed plastic waterproof bag and will be followed by an additional immersion of the bare signal (i.e., after removal from the bag) 25 mm (1 in.) below the surface of the water for a period of 10 minutes.

(ii) *Waterproofing of igniter button.* Remove the cap from the test specimen. Place head of specimen without cap about 25 mm (1 in .) under the surface of water for approximately 5 minutes. Remove specimen from the water and wipe dry.

(iii) *Ignition and burning characteristics.* Test specimens shall ignite and burn satisfactorily with uniform intensity when the directions on the signal are followed. Test specimens shall not ignite explosively in a manner that might be dangerous to the user or persons close by. The plug separating the flare composition from the handle shall in no case allow flame or hot gases to pass through it or between it and the casing in such manner as might burn the hand while holding the signal by the handle.

(iv) *Burning time.* The burning time of a specimen shall be obtained by stop watch measurements from the time a distinct sustained flame is emitted until it ceases. Test specimens shall burn in air not less than 2 minutes.

Table 160.021-4(c)(1).—*Accept and reject criteria for operational test lots.*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept [1]	Reject [1]
280 or less	8	First	8	(2)	400
		Second	16	100	500
		Third	24	200	600
		Fourth	32	300	700
		Fifth	40	500	800
		Sixth	48	700	900
		Seventh	56	950	951
281 to 500	13	First	13	0	400
		Second	26	100	500
		Third	39	300	600
		Fourth	52	500	1,000
501 to 1,200	20	First	20	0	500
		Second	40	300	800
		Third	60	600	1,000
		Fourth	80	800	1,300
		Fifth	100	1,100	1,500
		Sixth	120	1,400	1,700
		Seventh	140	1,850	1,851
1,201 to 3,200	32	First	32	100	700
		Second	64	400	1,000
		Third	96	800	1,300
		Fourth	128	1,200	1,700
		Fifth	160	1,700	2,000
		Sixth	192	2,100	2,300
		Seventh	224	2,550	2,551
More than 3,201	50	First	50	200	900
		Second	100	700	1,400
		Third	150	1,300	1,900
		Fourth	200	1,900	2,500
		Fifth	250	2,500	2,900
		Sixth	300	3,100	3,300
		Seventh	350	3,750	3,751

[1] Cumulative failure percent.
[2] Lot may not be accepted. Next sample must be tested.

Table 160.021-4(c)(2)

Kind of defects	Percentage of failure
a. Failure to ignite	100
b. Ignites or burns dangerously	50
c. Nonuniform burning intensity	50
d. Chimneys so as to materially obscure the flame	25
e. Fire flashes down between casing and handle so as to endanger burning the hand	50
f. Burning time less than 70 pct of specified time	100
g. Burning time at least 70 pct but less than 80 pct of specified time	75
h. Burning time at least 80 pct but less than 90 pct of specified time	50
i. Burning time at least 90 pct but less than 100 pct of specified time	25

(d) *Technical tests.* Three signals must be subjected to each of the following tests. Two of the three signals must pass each test in order for the lot of signals to be accepted.

(1) *Underwater burning.* Condition each sample in accordance with paragraph (c)(2)(i) of this section. Ignite specimen and let it burn about 5 seconds in air. Submerge the burning signal in water in a vertical position with head down. Obtain under water burning time by stop watch measurement from time of submersion until distinct, sustained flame emission ceases. The test specimen shall burn under water not less than 5 seconds when subjected to this test.

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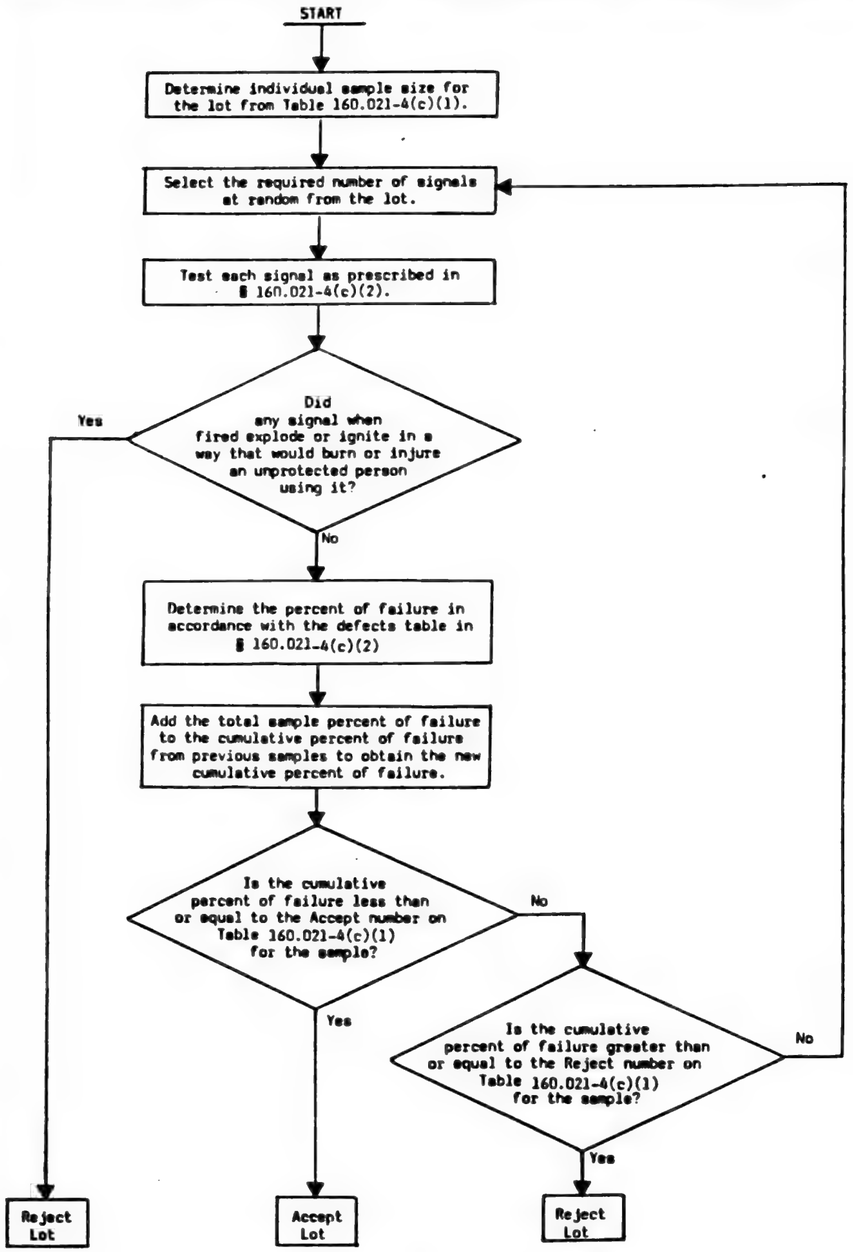


Figure 160.021-4(c). Operational test procedure.

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(2) *Bending strength.* Place the specimen on supports 15 cm (6 in.) apart. Attach a weight of 35 kg (77 lb.) to a length of wire. Hang the weight from the supported signal by looping the wire around the signal approximately equidistant from the two points of support. Let the weight hang approximately 5 minutes. The test specimen shall not deflect more than 7 mm (1/4 in.), nor shall the joint between the casing and the handle fail, when subjected to this test.

(3) *Tensile strength.* Place the specimen in a chuck firmly holding it about 13 mm (1/2 in.) below the cap. Attach a weight of 35 kg (77 lb.) to a length of wire. Hang the weight from the supported signal by looping the wire through a hole bored perpendicular to and through the axis of the handle. Let the weight hang approximately 5 minutes. The test specimen shall not show noticeable distortion, nor shall the joint between the casing and handle fail, when subjected to this test.

(4) *Luminous intensity.* The luminous intensity of each specimen tested shall be measured by a visual photometer or equivalent photometric device, while the specimen is supported in a horizontal position and the photometer is at right angles to the axis of the specimen. Visual luminous intensity readings shall be observed and recorded at approximately 20 second intervals during the burning of the specimen. The minimum photometric distance shall be 3 m (10 ft.). Recording photometers shall have a chart speed of at least 25 mm (1 in.) per minute. The luminous intensity of specimen shall be computed as the arithmetical average of the readings recorded. The average luminous intensity of a test specimen shall be not less than 500 candela. The burning time of a specimen shall be obtained by stop watch measurements from the time distinct, sustained flame is emitted until it ceases. Test specimens shall burn in air not less than 2 minutes.

(5) *Elevated temperature, humidity and storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75°C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25°C.) with approximately 65 percent relative humidity for 10 days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during the 72-hour conditioning period. (Total of 24 hours on and 48 hours off.) The signal shall not ignite or decompose during this conditioning. The signal shall ignite and operate satisfactorily following this conditioning.

(6) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75°C. with not more than 10% relative humidity for 48 consecutive hours. The signals shall not ignite or undergo marked decomposition.

(7) *Chromaticity.* The color of the burning signal must be vivid red as defined by Sections 13 and 14 of the "Color Names Dictionary." Two identical test plates of white cardboard about 30 cm x 60 cm (12" x 24") are used. Except for a negligible amount of stray daylight, the first test plate is illuminated by light from the specimen placed at a distance of about 1.5 m (5 ft.). The second test plate is illuminated only by light from an incandescent lamp operated at a color temperature close to 2,848°K at a distance of about 30 cm (1 ft.). The first plate is viewed directly, the second through combinations of Lovibond red, yellow, and blue glasses selected so as to approximate a chromaticity match. By separating the test plates by a wide unilluminated area (subtending at the observer about 45°), it is possible to make accurate determinations of chromaticity in terms of the 1931 CIE Standard Observer and Coordinate System, in spite of fluctuations in luminous intensity of the specimen by factors as high as 2 or 3. The CIE coordinates are converted to the Munsell notation which is cross-referenced to the color name in Section 13 of the "Color Names Dictionary" (see the discussion in Section 10 of "The Universal Color Language").

§ 160.021-5 Labeling and marking.

(a) *Labeling.* Each hand red flare distress signal shall bear a label securely affixed thereto, showing in clear, indelible black lettering on a red background, the following wording and information:

(Company brand or style designation)

Hand Red Flare Distress Signal

500 Candela—2 Minutes Burning Time

Use Only When Aircraft or Vessel Is Sighted

Directions—Pull tape over top of cap. Remove cap and ignite flare by rubbing scratch surface on top of cap sharply across igniter button on head of signal.

Caution—Stand with back to wind and point away from body when igniting or flare is burning.

Service Life Expiration Date (Month and year to be inserted by manufacturer) (Month and year manufactured) (Lot No.——).

Manufactured by (Name and address of manufacturer). U.S. Coast Guard Approval No.——

(b) *Marking of expiration date.* The expiration date must be not more than 42 months from the date of manufacture.

(c) *Other marking.* (1) There shall be die-stamped, in the side of the wooden handle in figures not less than 3 mm (C⅛ in.) high, numbers indicating the month and year of manufacture, thus: "6–54" indicating June, 1954.

(2) In addition to any other marking placed on the smallest packing carton or box containing hand red flare distress signals, such cartons or boxes shall be plainly and permanently marked to show the service life expiration date, date of manufacture, and lot number.

(3) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 USC 1263, the Federal Hazardous Substances Act.

§ 160.021-6 Container.

(a) *General.* Containers for stowage of hand red flare distress signals in lifeboats and life rafts on merchant vessels are not required to have specific approval or to be of special design, but they shall meet the following test for watertightness when closed, and shall be capable of being opened and reclosed hand-tight to meet the same watertightness test. The materials shall be copper, brass, bronze, or equally corrosion-resistant to salt water and spray. The type container illustrated by Figure Number 160.021-6(a) is recommended for most purposes.

(b) *Watertightness test for containers.* Whenever a question arises as to the watertightness of a container, the following test may be made to determine whether it is satisfactory in this respect. Open the container, remove the contents, insert colored blotting paper as a lining, re-close container as tightly as possible by hand (no wrenches or special tools permitted), submerge container with top about 30 cm (1 ft.) below the surface of the water for two hours, remove container from water, wipe off excess moisture on outside, then open the container and examine the blotting paper and entire interior for evidence of moisture penetration. If any moisture or water is evidenced, the container is not satisfactory.

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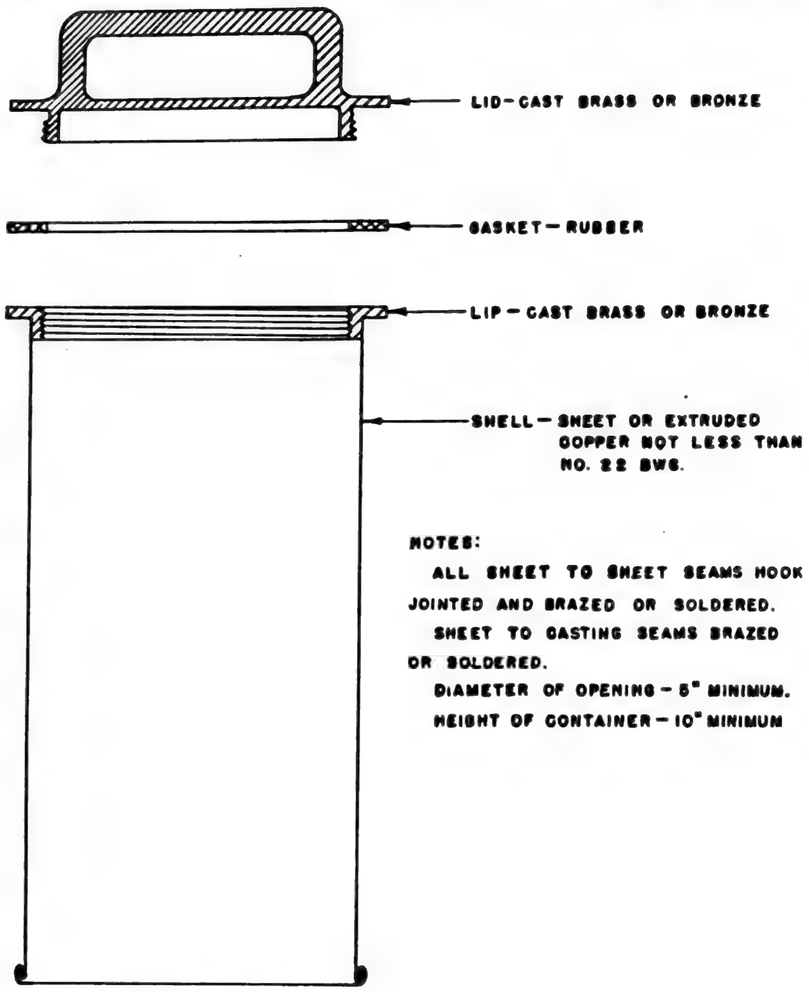


Figure 160.021-6(a). Watertight Container for Hand Red Flare Distress Signals.

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(c) *Marking of container.* Containers shall be embossed or bear a brass or equivalent corrosion-resistant nameplate, or otherwise be suitably and permanently marked, to plainly show in letters not less than 13 mm (½ in.) high the following wording: "HAND RED FLARE DISTRESS SIGNALS". No additional marking which might cause confusion as to the contents shall be permitted. The vessel's name ordinarily is painted or branded on equipment such as this container, and nothing in this subpart shall be construed as prohibiting same.

§ 160.021-7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.021-9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G-MMT-3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

2. By revising Subpart 160.022 of Part 160 to read as follows:

Subpart 160.022—Floating Orange Smoke Distress Signals (5 Minutes)

Sec.

160.022-1 Incorporations by reference.
160.022-2 Type.
160.022-3 Materials, workmanship, construction, and performance requirements.
160.022-4 Approval and production tests.
160.022-5 Marking.
160.022-7 Procedure for approval.
160.022-9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.022-1 Incorporations by reference.

(a) The following are incorporated by reference into this subpart:

(1) "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, December 1976.

(2) "Development of a Laboratory Test for Evaluation of the Effectiveness of Smoke Signals," National Bureau of Standards Report 4792, July 1956.

(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) NBS Report 4792 may be obtained from the Commandant (G-MMT-3/TP12), U.S. Coast Guard, Washington, D.C. 20593.

(d) Approval to incorporate by reference the materials listed in this section was obtained from the Director of the Federal Register on November 1 and 29, 1979. The materials are on file in the Federal Register Library.

§ 160.022-2 Type.

(a) Floating orange smoke distress signals, specified by this subpart shall be of one type which shall consist essentially of an outer container, ballast, an air chamber, an inner container, the smoke producing composition, and an igniter mechanism. Alternate arrangements which conform to the performance requirements of this specification will be given special consideration.

§ 160.022-3 Materials, workmanship, construction, and performance requirements.

(a) *Materials.* The materials shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. Metal for containers shall be not less than 0.5 mm (0.020 in.) in thickness. Other dimensions or materials may be considered upon special request when presented with supporting data. Igniter systems shall be corrosion-resistant metal. The combustible material shall be of such nature that it will not deteriorate during long storage, nor when subjected to frigid or tropical climates, or both.

(b) *Workmanship.* Floating orange smoke distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability.

(c) *Construction.* The outer container shall be of a size suitable for its intended use. All sheet metal seams should be hook-jointed and soldered. The whole container shall be covered with two coats of waterproof paint or equivalent protection system. The igniter mechanism shall be simple to operate and provide ignition in most unfavorable weather. The mechanism shall be protected with a watertight cover having a finish which is corrosion-resistant to salt water and spray. The cover shall be easily and quickly removable by hand without the use of tools. If attachment of the cover is by formed screw threads, it shall be of such construction or material to prevent rusting or corrosion and will not back off and loosen under shipboard vibration.

(d) *Performance.* Signals shall meet all the inspection and test requirements contained in § 160.022-4.

§ 160.022-4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 100 signals from which samples must be taken for testing for approval under § 160.022-7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 30,000 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with:

(i) any change in construction details,

(ii) any change in sources of raw materials, or

(iii) the start of production on a new production line or on a previously discontinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in a year is less than four. The inspections and tests must occur at least

once during each quarterly period, unless no lots are produced during that period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot of signals must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.022–4(c)(1) corresponding to the lot size. Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defects (Table 160.022–4(c)(2)) is assigned a score (failure percent) in accordance with that table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal. If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If this sum is equal to or more than the reject criterion the lot is rejected. If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired or ignited in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.022–4(c).)

(2) *Test Procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water-resistance.* Immerse specimens horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours.

(ii) *Smoke emitting time.* Ignite specimen according to the directions printed on the signal and place signal in tub or barrel of water. The smoke emitting time of a specimen shall be obtained by stop watch measurements from the time of distinct, sustained smoke emission until it ceases. The watch shall be stopped during periods of flame emission. The smoke emitting time for a specimen shall be not less than 4 minutes.

(iii) *Ignition and smoke emitting characteristics.* Test specimens shall ignite and emit smoke properly when the directions on the signal are followed. Test specimens shall not ignite explosively in a manner that might be dangerous to the user or persons close by. Test specimens shall emit smoke at a uniform rate while floating in calm to rough water. Signals should be so constructed that water submerging the signal in moderately heavy seas will not cause it to become inoperative.

Table 160.022–4(c)(1).—*Accept and reject criteria for operational test lots.*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept[1]	Reject[1]
280 or less	8	First	8	([2])	400
		Second	16	100	500
		Third	24	200	600
		Fourth	32	300	700
		Fifth	40	500	800
		Sixth	48	700	900
		Seventh	56	950	951
281 to 500	13	First	13	0	400
		Second	26	100	600
		Third	39	300	800
		Fourth	52	500	1,000
		Fifth	65	700	1,100
		Sixth	78	1,000	1,200
		Seventh	91	1,350	1,351
501 to 1,200	20	First	20	0	500
		Second	40	300	800
		Third	60	600	1,000
		Fourth	80	800	1,300
		Fifth	100	1,100	1,500
		Sixth	120	1,400	1,700
		Seventh	140	1,850	1,851
1,201 to 3,200	32	First	32	100	700
		Second	64	400	1,000
		Third	96	800	1,300
		Fourth	128	1,200	1,700
		Fifth	160	1,700	2,000
		Sixth	192	2,100	2,300
		Seventh	224	2,550	2,551
More than 3,201	50	First	50	200	900
		Second	100	700	1,400
		Third	150	1,300	1,900
		Fourth	200	1,900	2,500
		Fifth	250	2,500	2,900
		Sixth	300	3,100	3,300
		Seventh	350	3,750	3,751

[1] Cumulative failure percent.
[2] Lot may not be accepted. Next sample must be tested.

TABLE 160.022–4(c)(2)

Kind of defects	Percentage of failure
a. Failure to ignite	100
b. Ignites or burns dangerously	50
c. Nonuniform smoke emitting rate	50
d. Smoke-emitting time less than 70 pct of specified time	100
e. Smoke-emitting time at least 70 pct but less than 30 pct of specified time	75
f. Smoke-emitting time at least 80 pct but less than 90 pct of specified time	50
g. Smoke-emitting time at least 90 pct but less than 100 pct of specified time	25

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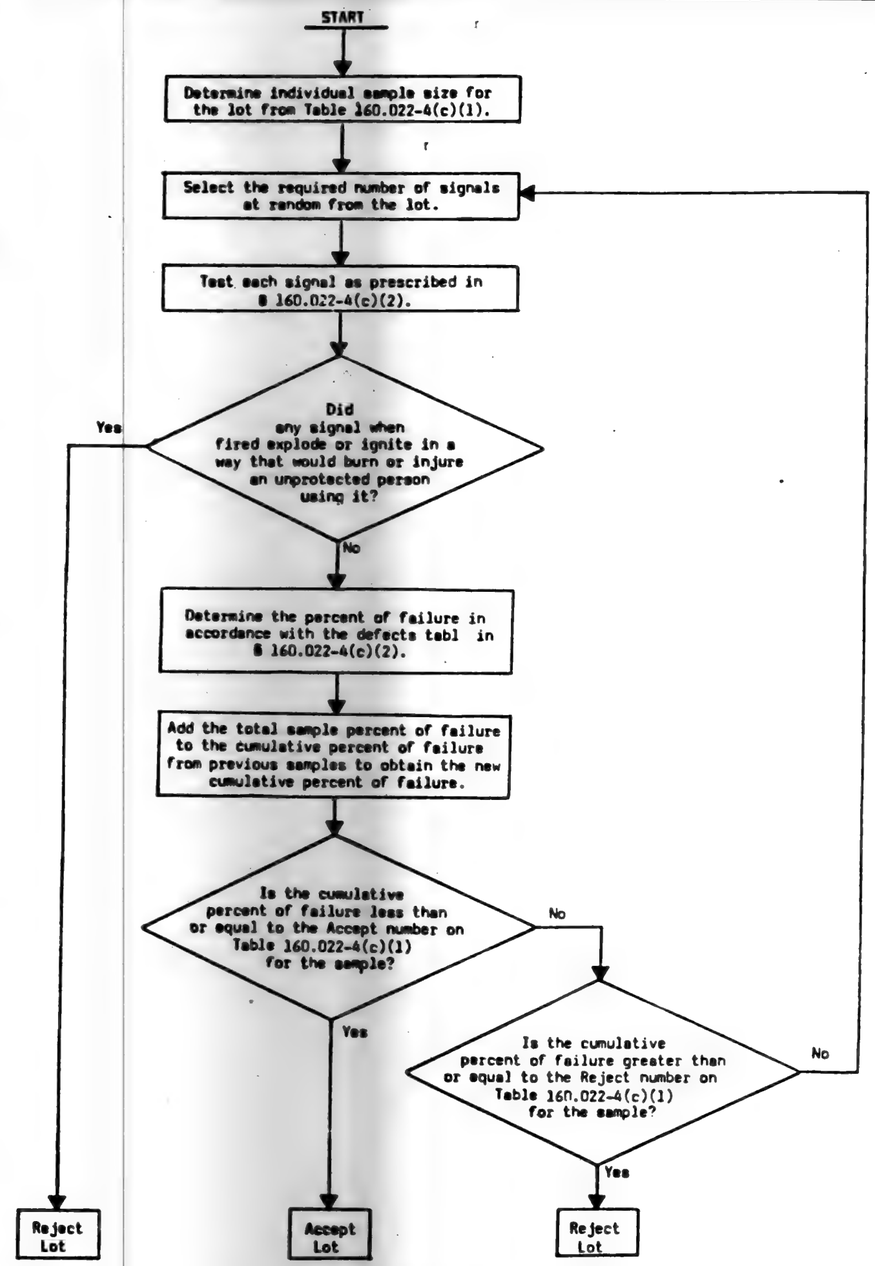


Figure 160.022-4(c). Operational test procedure.

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(d) *Technical tests.* Three signals must be subjected to each of the following tests. Two of the three signals must pass the test in order for the lot of signals to be accepted.

(1) *Smoke emission in waves.* The signal shall be ignited and thrown overboard under conditions where the waves are at least 30 cm (1 ft.) high. The smoke emitting time must be at least 4 minutes and the signal shall float in such a manner that the signal shall function properly during this test. Failure to pass this test shall be cause for the lot to be rejected.

(2) *Underwater smoke emission.* Condition each sample in accordance with paragraph (c)(2)(i) of this section. Ignite specimen and let it burn about 15 seconds in air. Submerge the burning signal in water in a vertical position with head down. Obtain underwater smoke emission time by stop watch measurements from time of submersion until distinct, sustained smoke emission ceases. The test specimen shall emit smoke underwater not less than 15 seconds when subjected to this test.

(3) *Elevated temperature, humidity, and storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75° C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25° C.) with approximately 65 percent relative humidity for ten days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during 72-hour conditioning period. (Total of 24 hours on and 48 hours off). The signal shall not ignite or decompose during this conditioning. The signal shall ignite and operate satisfactorily following this conditioning.

(4) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75° C. with not more than 10% relative humidity for 48 consecutive hours. The signal shall not ignite or undergo marked decomposition.

(5) *Susceptibility to explosion.* Remove smoke composition from signal and punch a small hole in the composition. Insert a No. 6 commercial blasting cap. Ignite the cap. The test specimen shall not explode or ignite.

(6) *Corrosion resistance.* Expose the complete specimen with cover secured hand-tight to a finely divided spray of 20 percent by weight sodium chloride solution at a temperature between 32° C and 38° C (90° F and 100° F) for 100 hours. The container and cap must not be corroded in any fashion that would impair their proper functioning.

(7) *Color of smoke.* Ignite specimen in the open air in daytime according to the directions printed on the signal, and determine the smoke color by direct visual comparison of the unshadowed portions of the smoke with a color chart held so as to receive the same daylight illumination as the unshadowed portions of the smoke. The color of the smoke must be orange as defined by Sections 13 and 14 of the "Color Names Dictionary" (colors 34–39 and 48–54).

(8) *Volume and density of smoke.* The test specimen shall show less than 20 percent transmission for not less than 3 minutes when measured with apparatus having a light path of 19 cm (7½ in.), an optical system aperture of +3.7 degrees, and an entrance air flow of 18.4m³ per minute (650 cu. ft. per minute), such apparatus to be as described in National Bureau of Standards Report No. 4792.

§ 160.022–5 Marking.

(a) *Directions for use.* Each floating orange smoke distress signal shall be plainly and indelibly marked in black lettering not less than 3 mm (⅛ in.) high "Approved for daytime use only", and in black lettering not less than 5 mm (³⁄₁₆ in.) high with the word "Directions". Immediately below shall be similarly marked in black lettering not less than 3 mm (⅛ in.) high: "1. Use Only When Aircraft or Vessel Is Sighted". Then in numbered paragraphs, in similar lettering, there shall follow in simply and easily understood wording, instructions to be followed to make the device operative. Pasted-on labels are not acceptable.

(b) *Other markings.*

(1) There shall be embossed or die-stamped, in the outer container in figures not less than 5 mm (³⁄₁₆ in.) high, numbers, indicating the month and year of manufacture, thus: "6–54" indicating June 1954. The outer container shall also be plainly and indelibly marked with the commercial desination of the signal, the words "Floating Orange Smoke Distress Signal", name and address of the manufacturer, the Coast Guard Approval No., the service life expiration date (month and year to be entered by the manufacturer), the month and year of manufacture and the lot number.

(2) In addition to any other marking placed on the smallest packing carton or box containing floating orange smoke distress signals, such cartons or boxes shall be plainly and indelibly marked to show the service life expiration date, the month and year of manufacture, and the lot number.

(3) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

(c) *Marking of expiration date.* The expiration date must be not more than 42 months from the date of manufacture.

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 USC 1263, the Federal Hazardous Substances Act.

§ 160.022–7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.022–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

3. By revising Subpart 106.023 of Part 160 to read as follows:

Subpart 160.023—Hand Combination Flare and Smoke Distress Signals

Sec.

160.023–1 Incorporations by reference.
160.023–2 Type.
160.023–3 Materials, workmanship, construction and performance requirements.
160.023–4 Approval and production tests.
160.023–5 Labeling and marking.
160.023–6 Container.
160.023–7 Procedure for approval.
160.023–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.023–1 Incorporations by reference.

(a) The following are incorporated by reference into this subpart:

(1) Military specifications MIL–S–18655 C, 3 May 1971—Signal, Smoke and Illumination, Marine, Mark 13, Mod 0.

(b) The military specification may be obtained from Customer Service, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA. 19120 (tel: (215)697–2000). This specification is also on file in the **Federal Register** library.

(c) Approval to incorporate by reference the materials listed in this section was obtained from the Director of the Federal Register on November 1, 1979.

§ 160.023–2 Type.

(a) Hand combination flare and smoke distress signals specified by this subpart shall be of the type described in specification MIL–S–18655.

§ 160.023–3 Materials, workmanship, construction, and performance requirements.

(a) The materials, construction, workmanship, general and detail requirements shall conform to the requirements of specification MIL–S–18655, except as otherwise specifically provided by this subpart.

§ 160.023–4 Approval and production tests.

(a) *Approval tests.* The approval tests are those tests prescribed for the preproduction sample in MIL–S–18655. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. The manufacturer must select samples from each lot and test them as specified in the production lot procedures in MIL–S–18655.

(2) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(1) of this section at least 4 times a year, unless the number of lots is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during this period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

§ 160.023–5 Labeling and marking.

(a) *Labeling.* A label showing firing instructions in accordance with specification MIL–S–18655, and to include the commercial designation of the signal, the lot number, Coast Guard approval number, the service life expiration date (month and year to be inserted by the manufacturer), and month and year of manufacture, shall be applied in a neat, workmanlike manner after the paint has become thoroughly dry. The label shall be attached to the signal and then protected by a transparent moisture impervious coating.

(b) *Marking of Expiration Date.* The expiration date must be not more than 42 months from the date of manufacture.

(c) *Other marking.*

(1) In addition to any other marking placed on the smallest packing carton or box containing signals, such cartons or boxes shall be plainly and indelibly marked to show the service life expiration date, the date of manufacture, and the lot number.

(2) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 U.S.C. 1263, the Federal Hazardous Substances Act.

§ 160.023–6 Container.

(a) *General.* The container for storing the signals on lifeboats and liferafts is not required to be of a special design or be approved by the Coast Guard. The container must meet the requirements in Subpart 160.021 (§ 160.021–6) except that the wording on the container must be: "HAND COMBINATION FLARE AND SMOKE DISTRESS SIGNALS."

§ 160.023–7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.023–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

4. By revising Subpart 160.024 of Part 160 to read as follows:

Subpart 160.024—Pistol-Projected Parachute Red Flare Distress Signals

Sec.

160.024–1 Incorporations by reference.
160.024–2 Type.
160.024–3 Materials, workmanship, construction, and performance requirements.
160.024–4 Approval and production tests.
160.024–5 Marking.
160.024–6 Container.
160.024–7 Procedure for approval.
160.024–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.024–1 Incorporations by reference.

(a) The following is incorporated by reference into this subpart:

(1) "The Universal Color Language" and "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, Dictionary 1976.

(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) Approval to incorporate by reference the publication listed in this section was obtained from the Director of the Federal Register on November 1, 1979. The publication is on file at the Federal Register Library.

§ 160.024–2 Type.

(a) Pistol-projected parachute red flare distress signals specified by this subpart shall be of one type which shall consist essentially of a cartridge having centered primer, propelling charge, and projectile consisting of a case, delay element, expelling charge, and pyrotechnic candle attached to a parachute by shroud lines; the cartridge to be of such dimensions that it can be fitted into and fired from a signal pistol with chamber and bore dimensions within the limits provided by Figure 160.028–2(a) of subpart 160.028 of this Chapter.

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§ 160.024–3 Materials, workmanship, construction, and performance requirements.

(a) *Materials.* The materials used in pistol-projected parachute red flare distress signals shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. In general, all metallic parts shall be corrosion-resistant or properly protected against corrosion.

(b) *Workmanship.* Pistol-projected parachute red flare distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability.

(c) *Construction.* The exterior case of the cartridge shall be made of suitable metal and shall protect against the entrance of moisture. The projectile case and delay element shall be so constructed as to prevent any possibility of the propelling charge blowing by and causing premature ejection of the projectile contents. The shoulder of the base of the cartridge shall be between 2.29 mm (0.090 in.) and 2.67 mm (0.015 in.) in thickness. The centered primer shall be set below the surface of the base between 0.25 mm (0.010 in.) and 0.50 mm (0.020 in.).

(d) *Performance.* Signals shall meet all of the inspection and test requirements contained in § 160.024–4.

§ 160.024–4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 100 signals from which samples must be taken for testing for approval under § 160.024–7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 30,000 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with: (i) any change in construction details, (ii) any change in sources of raw materials, or (iii) the start of production on a new production line or on a previously discontinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in a year is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during this period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.024–4(c)(1) corresponding to the lot size. Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defects. (Table 160.024–4(c)(2)) is assigned a score (failure percent) in accordance with the table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal. If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If this sum is equal to or more than the reject criterion the lot is rejected. If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired or ignites in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.024–4(c).)

(2) *Test procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water resistance.* Immerse specimen horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours.

(ii) *Firing and operating characteristics.* Signals shall fire and operate satisfactorily when shot from a pistol of the type described in Subpart 160.028. The parachute and pyrotechnic candle shall be ejected at approximately the maximum altitude reached by the projectile case. The parachute shall open and properly suspend the pyrotechnic candle without fouling. The pyrotechnic candle shall burn with uniform intensity and without damaging the parachute, shrouds, or leader line.

(iii) *Altitude.* The altitude reached by a signal is considered to be the height at which the parachute and pyrotechnic candle are ejected from the projectile case, as determined by visual observation against an object of known height, such as a tower or ballon, or by triangulation from two or more points of observation, or by other method satisfactory to the Commandant. The altitude reached shall be not less than 45 m (150 ft.).

(iv) *Rate of descent.* The rate of descent of a signal is considered to be the calculated average rate obtained by dividing the altitude by the time of descent to the surface. The rate of descent shall not exceed 1.8 m (6 ft.) per second.

(v) *Burning time.* The burning time of the pyrotechnic candle shall be obtained by stop watch measurement from the time distinct, sustained flame is emitted until it ceases. The burning time shall be not less than 30 seconds.

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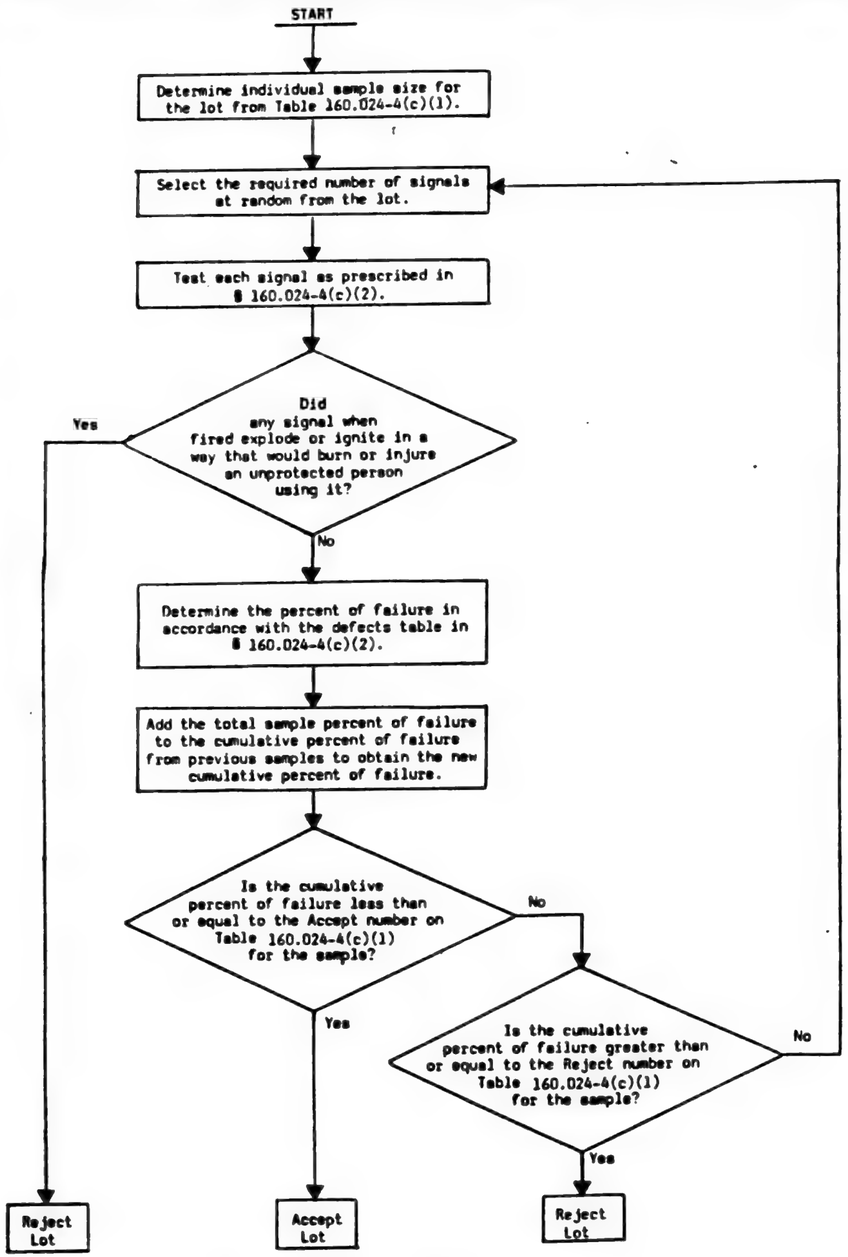


Figure 160.024-4(c). Operational test procedure.

Table 160.024-4(c)(1).—*Accept and reject criteria for operational test lots*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept [1]	Reject [1]
280 or less	8	First	8	(2)	400
		Second	16	100	500
		Third	24	200	600
		Fourth	32	300	700
		Fifth	40	500	800
		Sixth	48	700	900
		Seventh	56	950	951
281 to 500	13	First	13	0	400
		Second	26	100	600
		Third	39	300	800
		Fourth	52	500	1,000
		Fifth	65	700	1,100
		Sixth	78	1,000	1,200
		Seventh	91	1,350	1,351
501 to 1,200	20	First	20	0	500
		Second	40	300	800
		Third	60	800	1,000
		Fourth	80	800	1,300
		Fifth	100	1,100	1,500
		Sixth	120	1,400	1,700
		Seventh	140	1,850	1,851
1,201 to 3,200	32	First	32	100	700
		Second	64	400	1,000
		Third	96	800	1,300
		Fourth	128	1,200	1,700
		Fifth	160	1,700	2,000
		Sixth	192	2,100	2,300
		Seventh	224	2,550	2,551
More than 3,201	50	First	50	200	900
		Second	100	700	1,400
		Third	150	1,300	1,900
		Fourth	200	1,900	2,500
		Fifth	250	2,500	2,900
		Sixth	300	3,100	3,300
		Seventh	350	3,750	3,751

[1] Cumulative failure percent.
[2] Lot may not be accepted. Next sample must be tested.

Table 160.024-4(c)(2)

Kind of defect	Percentage of failure
a. Failure to fire (when attributable to the primer and not to the malfunction of the pistol)	100
b. Failure to eject projectile contents	100
c. Failure to ignite pyrotechnic candle	75
d. Failure of parachute to open completely	75
e. Complete carrying away or destruction of parachute	75
f. Altitude less than 70 pct of that required	100
g. Altitude at least 70 pct but less than 80 pct of that required	75
h. Altitude at least 80 pct but less than 90 pct of that required	50
i. Altitude at least 90 pct but less than 100 pct of that required	25
j. Average rate of descent greater than 4 times maximum permitted	100
k. Average rate of descent less than 4 but greater than 3 times maximum permitted	75
l. Average rate of descent less than 3 but greater than 2 times maximum permitted	50
m. Average rate of descent less than twice but greater than maximum permitted	25
n. Burning time less than 70 pct of that required	100
o. Burning time at least 70 pct but less than 80 pct of that required	75
p. Burning time at least 80 pct but less than 90 pct of that required	50
q. Burning time at least 90 pct but less than 100 pct of that required	25

(d) *Technical tests.* Three signals must be subjected to each of the following tests. Two of the three signals must pass each test in order for the lot of signals to be accepted.

(1) *Luminous intensity.* The luminous intensity of each pyrotechnic candle tested shall be measured by a visual photometer or equivalent photometric device while the specimen is supported in a horizontal position and the photometer is at right angles to the axis of the specimen. Visual luminous intensity readings shall be observed and recorded at approximately 5-second intervals during the burning of the specimen. The minimum photometric distance shall be 3 m (10 ft.). Recording photometers shall have a chart speed of at least 10 cm (4 in.) per minute. The luminous intensity of the specimen shall be computed as the arithmetical average of the readings recorded. The average luminous intensity of a specimen shall be not less than 20,000 candela.

(2) *Elevated temperature, humidity, and storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75°C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25°C.) with approximately 65 percent relative humidity for 10 days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during the 72-hour conditioning period. (Total of 24 hours on and 48 hours off.) The signal shall not ignite or decompose during this conditioning. The signal shall fire and operate satisfactorily following this conditioning.

(3) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75°C. with not more than 10% relative humidity for 48 consecutive hours. The signal shall not ignite or undergo marked decomposition.

(4) *Chromaticity.* The color of the burning signal must be vivid red as defined by Sections 13 and 14 of the "Color Names Dictionary." Two identical test plates of white cardboard about 30 cm x 60 cm (12" x 24") are used. Except for a negligible amount of stray daylight, the first test plate is illuminated by light from the specimen placed at a distance of about 1.5 cm (5 ft.). The second test plate is illuminated only by light from an incandescent lamp operated at a color temperature close to 2,848°K at a distance of about 30 cm (1 ft.). The first plate is viewed directly, the second through combinations of lovibond red, yellow, and blue glasses selected so as to approximate a chromaticity match. By separating the test plates by a wide unilluminated area (subtending at the observer about 45°), it is possible to make accurate determinations of chromaticity in terms of the 1931 CIE Standard Observer and Coordinate System, in spite of fluctuations in luminous intensity of the specimen by factors as high as 2 or 3. The CIE coordinates are converted to the Munsell notation which is cross-referenced to the color name in Section 13 of the "Color Names Dictionary" (see the discussion in Section 10 of "the Universal Color Language").

§ 160.024-5 Marking.

(a) *Cartridge.* Each pistol-projected parachute red flare distress signal shall be legibly marked as follows:

Pistol-Projected Parachute Red Flare Distress Signal 20,000 candela—30 seconds burning time **Use Only When Aircraft or Vessel is Sighted Directions**—Fire upward from signal pistol Service Life Expiration Date (date to be inserted by manufacturer) (Month and year manufactured) Lot No.——— Manufactured by (Name and address of manufacturer) **U.S. COAST GUARD APPROVAL NO.———.**

(b) *Marking of expiration date.* The expiration date must be not more than 42 months from the date of manufacture.

(c) *Other marking.*

(1) On each pistol-projected parachute red flare distress signal there shall be die-stamped, in figures not less than 3mm (⅛ in.) high, on the cartridge, numbers indicating the month and year of manufacture, thus: "6–54" indicating June 1954.

(2) The pyrotechnic candle shall be legibly marked with the month and year of manufacture.

(3) In addition to any other marking placed on the smallest packing carton or box containing cartridges, each carton or box shall be plainly and permanently marked to show the service life expiration date, the date of manufacture, and the lot number.

(4) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 USC 1263, the Federal Hazardous Substances Act.

§ 160.024–6 Container.

(a) *General.* The container for storing the signals on lifeboats and liferafts is not required to be of a special design or be approved by the Coast Guard. The container must meet the requirements in Subpart 160.021 (§ 160.021–6) except that the recommended type of container is illustrated in Figure 160.024–6(a), and the wording on the container must be **Signal Pistol and Pistol-Projected Parachute Red Flare Distress Signals.**

§ 160.024–7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.024–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

BILLING CODE 4910-14-M

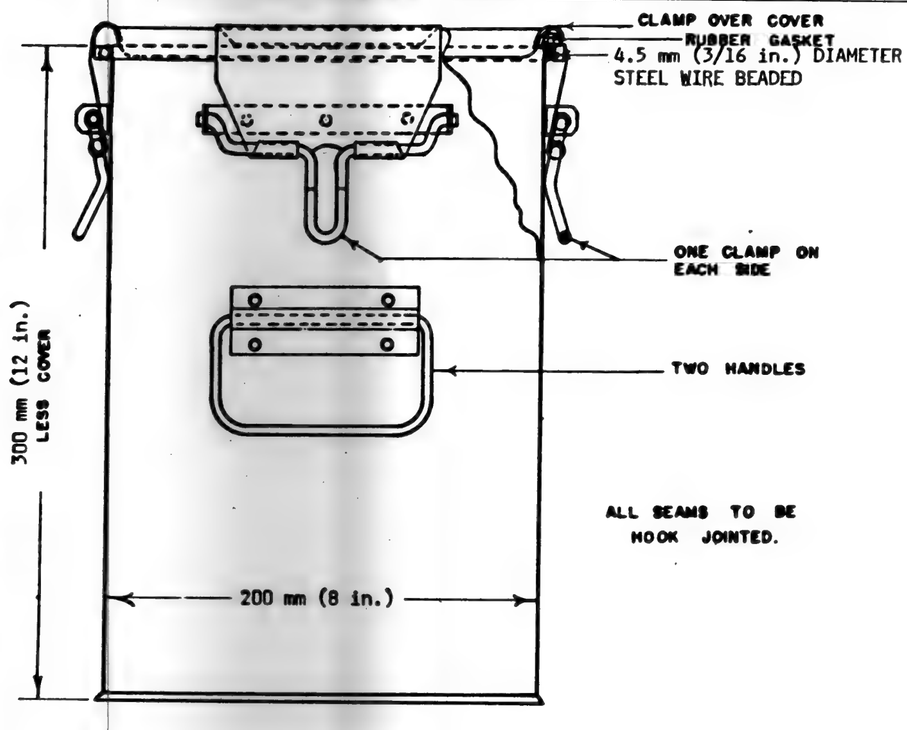


Figure 160.024-6(a). Watertight Container for Signal Pistol and Pistol Projected Parachute Red Flare Distress Signals.

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5. By revising Subpart 160.028 of Part 160 to read as follows:

Subpart 160.028—Signal Pistols for Red Flare Distress Signals

Sec.
160.028–2 Type.
160.028–3 Materials, workmanship, construction, and performance requirements.
160.028–4 Approval and production tests.
160.028–5 Marking.
160.028–6 Container.
160.028–7 Procedure for approval.
160.028–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.028–2 Type.

(a) Each signal pistol for launching a parachute distress signal that meets subpart 160.024 of this part must be of the center-firing type having chamber and bore dimensions within the limits indicated by Figure No. 160.028–2(a).

(b) A signal pistol for launching an aerial flare not under paragraph (a) of this section may have any chamber and bore dimensions if they are not the dimensions for a conventional round of ammunition.

§ 160.028–3 Materials, workmanship, construction, and performance requirements.

(a) *Materials.* The materials used in signal pistols shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. In general, all parts shall be corrosion-resistant or properly protected against corrosion. The ejection mechanism shall be of material possessing excellent wearing qualities.

(b) *Workmanship.* Signal pistols shall be of first class workmanship and shall be free from imperfections of manufacture affecting their serviceability or appearance.

(c) *Construction and performance requirements. (Pistols intended for signals meeting subpart 160.024).* Signal pistols shall be of rugged construction and shall operate satisfactorily in firing and ejecting pistol-projected parachute red flare distress signals of the type covered by Subpart 160.024. The ejection mechanism shall be of sturdy design capable of withstanding rough and repeated usage. The overall size and weight of signal pistols should be kept to a minimum consistent with adequate strength and safety. When the pistol is cocked and the trigger is pulled, the firing pin shall project between 1.52 mm and 2.54 mm (0.060 in. and 0.100 in.) beyond the face plate of the frame. When the barrel is locked in the firing position, the barrel chamber shall be not more than 0.25 mm (0.010 in.) from the face plate of the frame.

§ 160.028–4 Approval and production tests.

(a) *Approval test.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must test three pistols in accordance with the operational test in paragraph (c) of this section.

(b) *Production inspections and tests.* Production inspections and tests of each pistol must be conducted under the procedures in § 159.007 of this Chapter. Each pistol which passes the production inspections and tests must be stamped with the letters "P.T." Each pistol which fails the test must not be represented as meeting this Subpart or as being approved by the Coast Guard.

(1) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include the inspection of the pistols during production, and inspection of the finished pistols, to determine that the pistols are being produced in accordance with the approved plans. Each pistol must be tested in accordance with the operational test in paragraph (c) of this section, except that checking of the chamber and bore dimensions is not required.

(2) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must inspect and test three pistols at least one each year. The inspection must determine that the pistols are being produced in accordance with the approved plans. The test must be in accordance with paragraph (c) of this section.

(c) *Operational test.* The operational test must be conducted as follows:

(1) Check the chamber and bore dimensions of the pistol.

(2) Fire a dummy cartridge simulating a normal signal in size and weight, but with a charge double the normal charge.

(3) Fire a normal signal.

BILLING CODE 4910-14-M

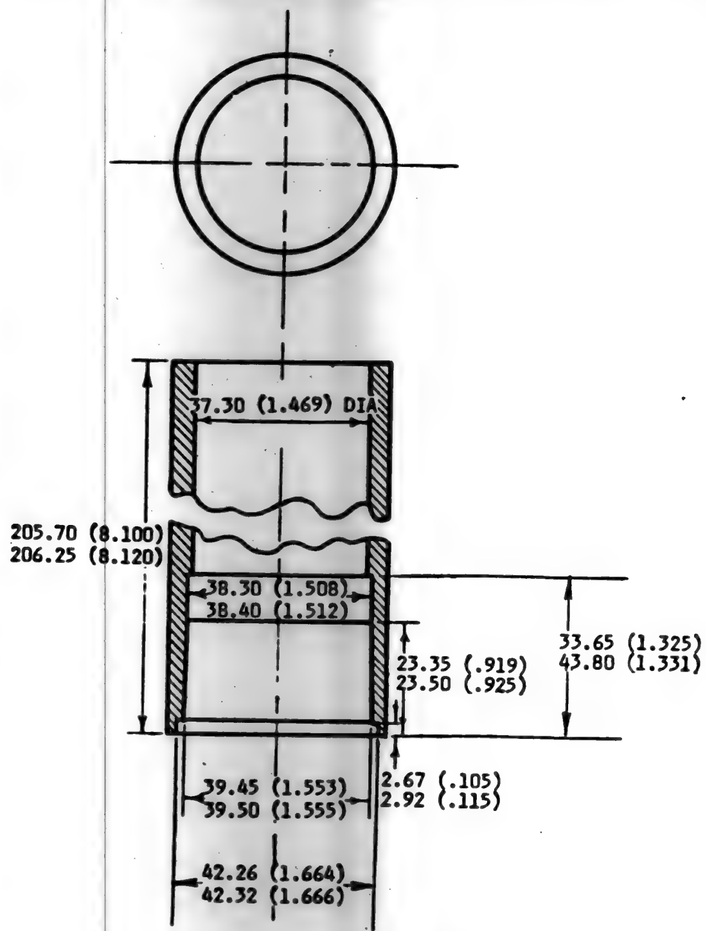


Figure 160.028–2(a). Signal Pistol - Chamber and Bore Dimensions.

BILLING CODE 4910-14-C

(4) Recheck the chamber and bore dimensions.

(5) The pistol must fire the signal properly, must not have any visible deformation or damage as a result of the test, and must not have any change in the chamber and bore dimensions.

§ 160.028–5 Marking.

(a) *General.* Each signal pistol shall be permanently and legibly marked with its serial number, Coast Guard approval number, and the name and address of the manufacturer.

§ 160.028–6 Container.

(a) *General.* Containers for the stowage of signal pistols and pistol projected parachute red flare distress signals in lifeboats and life rafts on merchant vessels are not required to have specific approval or to be of specific design except for certain material, marking, and test requirements, which requirements are contained in § 160.024–6 of Subpart 160.024.

§ 160.028–7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.028–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

6. By revising Subpart 160.031 of Part 160 to read as follows:

Subpart 160.031—Line-Throwing Appliance, Shoulder Gun Type (and Equipment)

Sec.

160.031–1 Incorporation by reference.
160.031–2 Type and size.
160.031–3 Materials, construction, workmanship, and performance requirements.
160.031–4 Equipment for shoulder gun type line-throwing appliance.
160.031–5 Approval and production tests.
160.031–6 Marking.
160.031–7 Procedure for approval.
160.031–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.031–1 Incorporation by reference.

(a) The following Federal specification is incorporated by reference into this subpart:

(1) T–R–605 b, December 13, 1963 and Amendment 3, April 17, 1973—Rope, Manila, and Sisal.

(b) The Federal specification may be obtained from Customer Service, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA. 19120 (tel: (215)697–2000). This specification is also on file in the **Federal Register** library.

(c) Approval to incorporate by reference the material listed in this section was obtained from the Director of the Federal Register on September 24, 1979.

§ 160.031–2 Type and size.

(a) The shoulder gun type line-throwing appliance shall be breech-loading for the cartridge and muzzle-loading for the projectile, of not more than 13 mm (0.50 in.) caliber, chambered for blank rifle cartridges, smooth bored, and properly stocked, with shot line canister attached in a position below the barrel.

§ 160.031–3 Materials, construction, workmanship, and performance requirements.

(a) All materials used in the construction of shoulder gun type line-throwing appliances and equipment shall be of good quality, suitable for the purpose intended, and shall conform to the requirements of this specification. The choice of materials shall be such that resistance to corrosion by salt water or spray, shock, temperature change, and wear will be obtained. The use of dissimilar metals in combination shall be avoided wherever possible, but when such contacts are necessary, provision shall be made to prevent such deleterious effects as galvanic corrosion, freezing or buckling of moving parts, and loosening or tightening of joints due to difference in coefficients of thermal expansion.

(b) The design and construction shall be proper and substantial for effective and safe operation aboard ship.

(c) The workmanship shall be first class and free from any imperfections of manufacture affecting appearance or serviceability of the gun.

(d) The gun, when loaded and fired in accordance with the manufacturer's instructions, shall be capable of propelling through relatively still air, the service projectile with service line attached, for a distance of not less than 75 m (250 ft.) with deviation from the target not to exceed 4.5 m (15 ft.) either side.

§ 160.031–4 Equipment for shoulder gun type line-throwing appliance.

(a) Ten service projectiles, each machined from steel or bronze, weighing about 225 g (8 oz.), and having a shank of sufficient length to project slightly beyond the muzzle, with an eye at the upper end for securing the service line.

(b) Four service lines, each not less than 180 m (600 ft.) in length, of 1.5 mm (1/16-in.) or more in diameter, woven or braided nylon, very flexible, and having a breaking strength of not less than 625 N (140 lb.), or equivalent. Each line shall be one continuous length without splice, knot, or other weakening features and shall be made up or coiled in such way as to render it ready at all times for immediate use. The end of the line intended to be attached to projectile shall have securely attached thereto a substantial tag bearing a permanent legend indicating its purpose, and the other end of the line shall be tagged in the same manner to prevent delay in securing proper and immediate action with the equipment. The line shall be coiled or reeled in such manner that when all the line leaves the canister it automatically becomes unattached and free from the canister and the gun. The line canister shall be secured by clamps or brackets below the barrel of the gun.

(c) One auxiliary line consisting of at least 150 m (500 ft.) of 7.5 mm (3 in.) circumference manila complying with federal specification T–R–605.

(d) Twenty-five cartridges of the caliber and loading specified in the instructions furnished by the manufacturer of the gun. The cartridges shall be blank with waterproof paper wad.

(e) One cleaning rod with brush.

(f) One can of oil suitable for cleaning the gun and preserving the finish of the metal parts.

(g) Twelve wiping patches of a size suitable for cleaning the bore.

(h) One set of instructions including a list of the equipment furnished with the gun, the proper caliber and loading of the cartridges to be used in firing the gun, information as to the proper maintenance of the gun and equipment, and directions for loading and firing in service use shall be permanently engraved in plastic and mounted conspicuously in the case or box required by § 160.031–4(i).

(i) A suitable case or box, properly compartmented for stowage of the appliance and auxiliary equipment, is required for stowage on merchant vessels. The auxiliary line need not be stowed in the case.

§ 160.031–5 Approval and production tests.

(a) *Approval test.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must test an appliance in accordance with the operational test in paragraph (c) of this section.

(b) *Production inspections and tests.* Production inspections and tests of each appliance must be conducted under the procedures in § 159.007 of this Chapter. Each appliance which fails the inspections and tests must not be represented as meeting this Subpart or as being approved by the Coast Guard.

(1) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include the inspection of appliances during production as well as inspection of finished appliances to determine that the appliances are being produced in accordance with the approved plans. Each appliance must be tested in accordance with paragraph (c) of this section except that the projectile may be fired without a service line attached, and the distance and deviation do not have to be measured.

(2) *Inspections and test by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must inspect and test one appliance at least once each year. The inspection must determine that the appliances are being produced in accordance with the approved plans. The test must be in accordance with paragraph (c) of this section.

(c) *Operational test.* The operational test must be conducted as follows:

(1) Three rounds must be fired by the gun, at least one of which must be with a service line attached to a projectile.

(2) The projectile must be fired first by aiming it down an open course, and measuring the distance and deviation of the projectile.

(3) After the projectile is fired, the other two rounds must be fired.

(4) The distance and deviation of the projectile must be in accordance with § 160.031–3(d) the gun must fire each round properly and the gun must not be fractured or damaged by the test.

§ 160.031–6 Marking.

(a) *Gun.* The gun shall be permanently and legibly marked on the barrel with the manufacturer's model or type designation of the gun, the serial number for the gun, the official Coast Guard approval number, and the name of the manufacturer. The gun stock shall have recessed in it a brass or other corrosion-restistant plate showing legible maintenance instructions for the care of the gun and its parts to prevent corrosion. After the proof test, the gun barrel shall be marked with the letters "P.T." and the name or mark of the company.

(b) *Projectile.* Projectiles shall be permanently and legibly marked with the name of the manufacturer.

(c) *Line and container.* The end of a service line intended to be attached to the projectile shall have securely attached thereto a substantial tag bearing a permanent legend indicating its purpose, and the other end of the line shall be tagged in the same manner to prevent delay in securing proper and immediate action with the equipment. The container of new service lines shall bear the name of the manufacturer, date of manufacture, and a statement to the effect that in all respects the line meets the requirements of this subpart for service lines. Line canisters and reels shall bear the name of the manufacturer.

§ 160.031–7 Procedure for approval.

(a) Shoulder gun line throwing appliances are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.031–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

7. By revising Subpart 160.036 of Part 160 to read as follows:

Subpart 160.036—Hand-Held Rocket-Propelled Parachute Red Flare Distress Signals

Sec.

160.036–1 Incorporation by reference.
160.036–2 Type.
160.036–3 Materials, workmanship, construction and performance requirements.
160.036–4 Approval and production tests.
160.036–5 Marking.
160.036–6 Container.
160.036–7 Procedure for approval.
160.036–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.036–1 Incorporation by reference.

(a) The following is incorporated by reference into this subpart:

(1) "The Universal Color Language" and "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, December 1976.

(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) Approval to incorporate by reference the material listed in this section was obtained from the director of the Federal Register on November 1, 1979. The material is on file in the Federal Register library.

§ 160.036–2 Type.

(a) Handheld rocket-propelled parachute red flare distress signals specified by this subpart shall be of one type which shall consist essentially of a completely self-contained device which can be fired from the hand to provide a rocket-propelled parachute red flare distress signal.

§ 160.036–3 Materials, workmanship, construction and performance requirements.

(a) *Materials.* The materials used in handheld rocket-propelled parachute red flare distress signals shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. In general, all exposed parts shall be corrosion-resistant or properly protected against corrosion.

(b) *Workmanship.* Handheld rocket-propelled parachute red flare distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability.

(c) *Construction.* The exterior case of the cartridge shall be made of a suitable metal and shall protect against the entrance of moisture. The construction shall be such that the parachute and pyrotechnic candle will be expelled at approximately the maximum altitude reached.

(d) *Performance.* Signals shall meet all of the inspection and test requirements contained in § 160.036–4.

§ 160.036–4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 100 signals from which samples must be taken for testing for approval under § 160.036–7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as

meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 30,000 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with:

(i) any change in construction details,

(ii) any changes in sources of raw materials, or

(iii) the start of production on a new production line or on a previously discontinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and test by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in a year is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during this period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.036–4(c)(1) corresponding to the lot size. Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defects (Table 160.036–4(c)(2)) is assigned a score (failure percent) in accordance with that table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal. If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If this sum is equal to or more than the reject criterion the lot is rejected. If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired or ignites in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.036–4(c)).

(2) *Test procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water resistence.* Immerse specimen horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours.

(ii) *Firing and operating characteristics.* Signals shall fire and operate satisfactorily when the manufacturer's directions are followed. The parachute and pyrotechnic candle shall be ejected at approximately the maximum altitude reached by the projectile case. The parachute shall open and properly suspend the pyrotechnic candle without fouling. The pyrotechnic candle shall burn with uniform intensity and without damaging the parachute, shrouds, or leader line.

(iii) *Altitude.* The altitude reached by a signal is considered to be the height at which the parachute and pyrotechnic candle are ejected from the projectile case, as determined by visual observation against an object of known height, such as a tower or balloon, or by triangulation from two or more points of observation, or by other method satisfactory to the Commandant. The altitude reached shall be not less than 150 m (500 ft.).

(iv) *Rate of descent.* The rate of descent of a signal is considered to be the calculated average rate obtained by dividing the altitude by the time of descent to the surface. The rate of descent shall not exceed 4.5 m (15 ft.) per second.

(v) *Burning time.* The burning time of the pyrotechnic candle shall be obtained by stop watch measurement from the time a distinct, sustained flame is emitted until it ceases. The burning time shall be not less than 30 seconds.

Table 160.036–4(c)(1).—*Accept and reject criteria for operational test lots*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept [1]	Reject [1]
280 or less	8	First	8	(2)	400
		Second	16	100	500
		Third	24	200	600
		Fourth	32	300	700
		Fifth	40	500	800
		Sixth	48	700	900
		Seventh	56	950	951
281 to 500	13	First	13	0	400
		Second	26	100	600
		Third	39	300	800
		Fourth	52	500	1,000
		Fifth	65	700	1,100
		Sixth	78	1,000	1,200
		Seventh	91	1,350	1,351
501 to 1,200	20	First	20	0	500
		Second	40	300	800
		Third	60	600	1,000
		Fourth	80	800	1,300
		Fifth	100	1,100	1,500
		Sixth	120	1,400	1,700
		Seventh	140	1,850	1,851
1,201 to 3,200	32	First	32	100	700
		Second	64	400	1,000
		Third	96	800	1,300
		Fourth	128	1,200	1,700
		Fifth	160	1,700	2,000
		Sixth	192	2,100	2,300
		Seventh	224	2,550	2,551
More than 3,201	50	First	50	200	900
		Second	100	700	1,400
		Third	150	1,300	1,900
		Fourth	200	1,900	2,500
		Fifth	250	2,500	2,900
		Sixth	300	3,100	3,300
		Seventh	350	3,750	3,751

[1] Cumulative failure percent.
[2] Lot may not be accepted. Next sample must be tested.

Table 160.036–4(c)(2)

Kind of defect	Percentage of failure
a. Failure to fire	100
b. Failure to eject projectile contents	100
c. Failure to ignite pyrotechnic candle	100
d. Failure of parachute to open completely	75
e. Complete carrying away or destruction of parachute	75
f. Altitude less than 70 pct of that required	100
g. Altitude less than 70 pct but less than 80 pct of that required	75
h. Altitude at least 80 pct but less than 90 pct of that required	50
i. Altitude at least 90 pct but less than 100 pct of that required	25
j. Average rate of descent greater than four times maximum permitted	100
k. Average rate of descent less than 4 but greater than 3 times maximum permitted	75
l. Average rate of descent less than 3 but greater than 2 times maximum permitted	50
m. Average rate of descent less than twice but greater than maximum permitted	25
n. Burning time less than 70 pct of that required	100
o. Burning time at least 70 pct but less than 80 pct of that required	75
p. Burning time at least 80 pct but less than 90 pct of that required	50
q. Burning time at least 90 pct but less than 100 pct of that required	25

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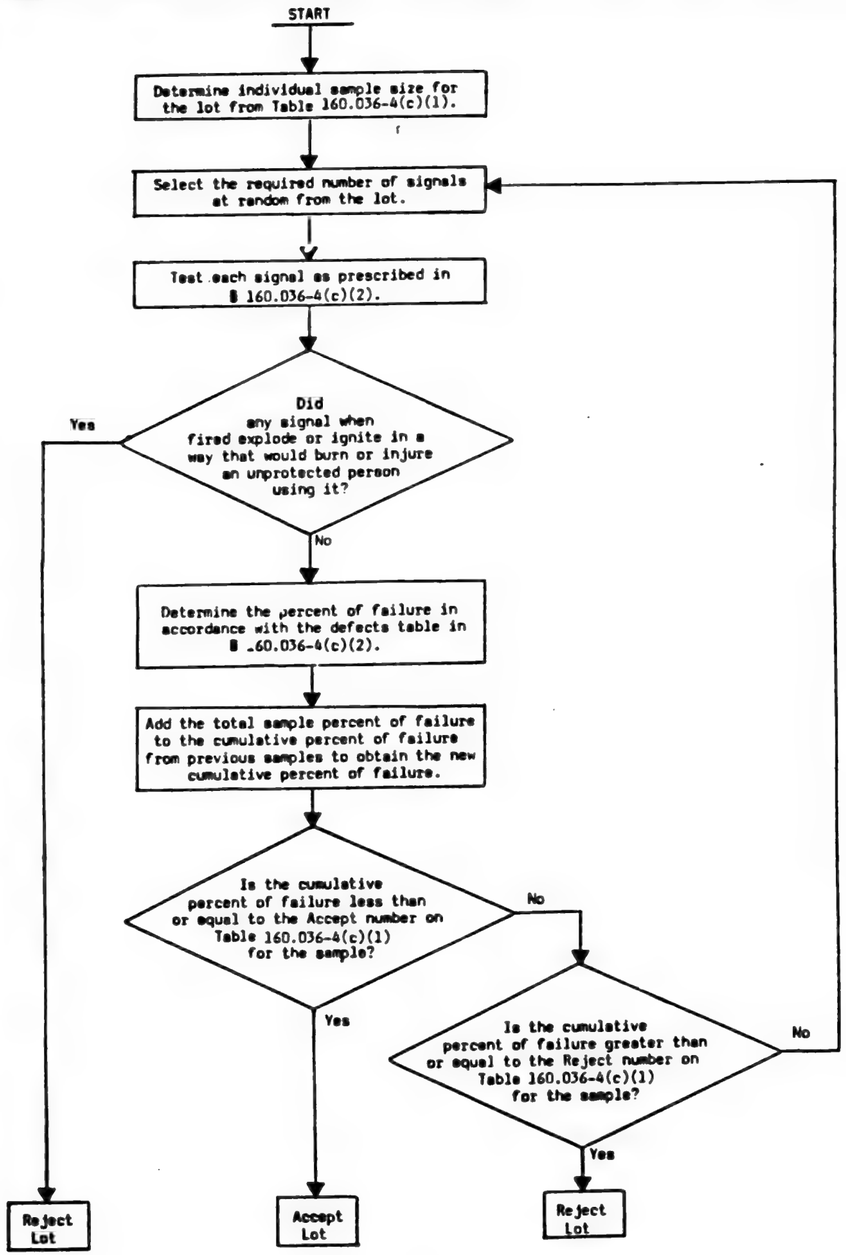


Figure 160.036-4(c). Operational test procedure.

(d) *Technical tests.* Three signals must be subjected to each of the following tests. Two of the three signals must pass each test in order for the lot of signals to be accepted.

(1) *Luminous intensity.* The luminous intensity of each pyrotechnic candle tested shall be measured by a visual photometer or equivalent photometric device while the specimen is supported in a horizontal position and the photometer is at right angles to the axis of the specimen. Visual luminous intensity readings shall be observed and recorded at approximately 5-second intervals during the burning of the specimen. The minimum photometric distance shall be 3 m (10 ft.). Recording photometers shall have a chart speed of at least 10 cm (4 in.) per minute. The luminous intensity of the specimen shall be computed as the arithmetical average of the readings recorded. The average luminous intensity of a specimen shall be not less than 20,000 candela.

(2) *Elevated temperature, humidity, and storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75° C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25° C.) with approximately 65 percent relative humidity for ten days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during the 72-hour conditioning period. (Total of 24 hours on and 48 hours off.) The signal shall not ignite or decompose during this conditioning. The signal shall fire and operate satisfactorily following this conditioning.

(3) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75° C. with not more than 10% relative humidity for 48 consecutive hours. The signal shall not ignite or undergo marked decomposition.

(4) *Chromaticity.* The color of the burning signal must be vivid red as defined by Sections 13 and 14 of the "Color Names Dictionary." Two identical test plates of white cardboard about 30 cm x 60 cm (12" x 24") are used. Except for a negligible amount of stray daylight, the first test plate is illuminated by light from the specimen placed at a distance of about 1.5 m (5 ft.). The second test plate is illuminated only by light from an incandescent lamp operated at a color temperature close to 2,848° K at a distance of about 30 cm (1 ft.). The first plate is viewed directly, the second through combinations of Lovibond red, yellow, and blue glasses selected so as to approximate a chromaticity match. By separating the test plates by a wide unilluminated area (subtending at the observer about 45°), it is possible to make accurate determinations of chromaticity in terms of the 1931 CIE Standard Observer and Coordinate System, in spite of fluctuations in luminous intensity of the specimen by factors as high as 2 or 3. The CIE coordinates are converted to the Munsell notation which is cross-referenced to the color name in Section 13 of the "Color Names Dictionary" (see the discussion in Section 10 of "The Universal Color Language").

§ 160.036-5 Marking.

(a) *General.* Each hand-held rocket-propelled parachute red flare distress signal shall be legibly marked or labeled as follows:

(Company brand or style designation) **Hand-Held Rocket-Propelled Parachute Red Flare Distress Signal**—20,000 candela—30 seconds burning time. **Use Only When Aircraft or Vessel Is Sighted. Directions**—(In numbered paragraphs, simply worded instructions for firing the device). Service Life Expiration Date (date to be inserted by manufacturer) (Month and year manufactured) (Lot No. ——) Manufactured by (Name and address of manufacturer) U.S. Coast Guard Approval No. ——.

(b) *Marking of expiration date.* The expiration date must be not more than 42 months from the date of manufacture.

(c) *Other marking.*

(1) On each hand-held rocket propelled parachute red flare distress signal there shall be die-stamped in figures not less than 3 mm (⅛ in.) high, on the signal, numbers indicating the month and year of manufacture, thus: "6-54" indicating June, 1954.

(2) The pyrotechnic candle shall be legibly marked with the month and year of manufacture.

(3) In addition to any other marking place on the smallest packing carton or box containing signals, each carton or box shall be plainly and permanently marked to show the service life expiration date, date of manufacture, and lot number.

(4) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 U.S.C. 1263, the Federal Hazardous Substances Act.

§ 160.036-6 Container.

(a) *General.* The container for storing the signals on lifeboats and liferafts is not required to be of a special design or be approved by the Coast Guard. The container must meet the requirements in Subpart 160.021 (§ 160.021-6) except that the wording on the container must be:

Hand-Held Rocket-Propelled Parachute Red Flare Distress Signals

§ 160.036-7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.036-9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G-MMT-3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

8. By revising Subpart 160.037 of Part 160 to read as follows:

Subpart 160.037—Hand Orange Smoke Distress Signals

Sec.

160.037-1 Incorporations by reference.
160.037-2 Type.
160.037-3 Materials, workmanship, construction, and performance requirements.
160.037-4 Approval and production tests.
160.037-5 Labeling and marking.
160.037-6 Container.
160.037-7 Procedure for approval.
160.037-9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.037-1 Incorporations by reference.

(a) The following are incorporated by reference into this subpart:

(1) "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, December 1976.

(2) "Development of a Laboratory Test for Evaluation of the Effectiveness of Smoke Signals," National Bureau of Standards Report 4792, July 1956.

(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) NBS Report 4792 may be obtained from the Commandant (G-MMT-3/TP12), U.S. Coast Guard Washington, D.C. 20593.

(d) Approval to incorporate by reference the materials listed in this section was obtained from the Director of the Federal Register on November 1 and 29, 1979. The materials are on file in the Federal Register library.

§ 160.037-2 Type.

(a) Hand orange smoke distress signals specified by this subpart shall be one type which shall consist essentially of a wooden handle to which is attached a tubular casing having a sealing plug at the handle end, the casing being filled with a smoke producing composition and fuse with button of ignition material at the top, and a removable cap having a friction striking material on its top which may be exposed for use by pulling a tear strip. The signal is ignited by scraping the friction striker on top of the cap against the igniter button on top of the body of the signal. Alternate arrangements which conform to the performance requirements of this specification will be given special consideration.

§ 160.037-3 Materials, workmanship, construction, and performance requirements.

(a) *Materials.* The materials shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. The color of the tube shall be orange. The combustible materials shall be of such nature as will not deteriorate during long storage, nor when subjected to frigid or tropical climates, or both.

(b) *Workmanship.* Hand orange smoke distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability. Moisture proof coatings shall be applied uniformly and shall be free from pinholes or other visible defects which would impair their usefulness.

(c) *Construction.* The casing shall be fitted and secured to the handle with not less than a 25 mm (1 in.) overlap and shall be attached to the handle in such a manner that failure of the joint will not occur during tests, ignition, or operation. The plug shall be securely affixed in the casing to separate the smoke composition from the wooden handle. The smoke composition shall be thoroughly mixed and be uniformly compresssed throughout to preclude variations of density which may adversely affect uniformity of its smoke emitting characteristics. The cap shall have a lap fit of not less than 25 mm (1 in.) over the end of the casing and smoke composition to entirely and securely protect the exposed surface of the igniter button and end of smoke composition and casing, and shall have an inner shoulder so constructed that it is mechanically impossible for the inner surface of the cap to come in contact with the igniter button. The cap shall be securely attached to the casing in such manner as to preclude its accidental detachment. The cap shall be provided on its top with a friction striking material which shall, by a pull of the tear strip, be entirely exposed for striking the friction igniter button. The igniter button shall be non-water soluble or be protected from moisture by a coating of some waterproof substance, and shall be raised or exposed in such manner as to provide positive ignition by the friction striker. The igniter button shall be firmly secured in or on the top of the smoke composition; the arrangement shall be such that the ignition will be transmitted to the smoke producing composition. The assembled signal, consisting of tear strip, cap, casing, and handle, shall be sealed and treated to protect the signal from deterioration by moisture. The protective waterproof coating shall be applied so none adheres to the friction striking surface. Special consideration will be given to alternate waterproofing of the signal by means of a water-resistant coating on the signal plus packaging in a sealed plastic waterproof bag satisfactory to the Commandant.

(d) *Performance.* Signals shall meet all the inspection and test requirements contained in § 160.037-4.

§ 160.037-4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 100 signals from which samples must be taken for testing for approval under § 160.037-7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 30,000 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with:

(i) any change in construction details,

(ii) any change in sources of raw materials, or

(iii) the start of production on a new production line or on a previously discontinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in a year is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during this period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.037-4(c)(1) corresponding to the lot size.

Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defeats (Table 160.037-4(c)(2)) is assigned a score (failure percent) in accordance with that table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal. If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If the sum is equal to or more than the reject criterion the lot is rejected. If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired, or ignites in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.037-4(c)).

(2) *Test procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water resistance.* Immerse specimen horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours. If the signal is protected by alternate waterproofing consisting of a water-resistant coating on the signal plus packaging in a sealed plastic waterproof bag, the 24-hour water immersion conditioning will be conducted while the signal is in the sealed plastic waterproof bag and will be followed by an additional immersion of the bare signal (i.e., after removal from the bag) 25 mm (1 in.) below the surface of the water for a period of 10 minutes.

(ii) *Waterproofing of igniter button.* Remove the cap from the test specimen. Place head of specimen without cap about 25 mm (1 in.) under the surface of water for approximately 5 minutes. Remove specimen from the water and wipe dry.

(iii) *Smoke emitting time.* Ignite specimen according to directions printed on the signal. The smoke emitting time of a specimen shall be obtained by stop watch measurements from the time of distinct, sustained smoke emission until it ceases. The watch shall be stopped during periods of flame emission. The smoke emitting time for a specimen shall be not less than 50 seconds.

(iv) *Ignition and smoke emitting characteristics.* Test specimens shall ignite and emit smoke properly when the directions on the signal are followed. Test specimens shall not ignite explosively in a manner that might be dangerous to the user or persons close by. The plug separating the smoke producing composition from the handle shall in no case allow flame or hot gases to pass through it or between it and the casing in such manner as might burn the hand while holding the signal by the handle.

Table 160.037-4(c)(1).—*Accept and reject criteria for operational test lots*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept[1]	Reject[1]
280 or less	8	First	8	(*)	400
		Second	16	100	500
		Third	24	200	600
		Fourth	32	300	700
		Fifth	40	500	800
		Sixth	48	700	900
		Seventh	56	950	951
281 to 500	13	First	13	0	400
		Second	26	100	600
		Third	39	300	800
		Fourth	52	500	1,000
		Fifth	65	700	1,100
		Sixth	78	1,000	1,200
		Seventh	91	1,350	1,351
501 to 1,200	20	First	20	0	500
		Second	40	300	800
		Third	60	600	1,000
		Fourth	80	800	1,300
		Fifth	100	1,100	1,500
		Sixth	120	1,400	1,700
		Seventh	140	1,850	1,851
1,201 to 3,200	32	First	32	100	700
		Second	64	400	1,000
		Third	96	800	1,300
		Fourth	128	1,200	1,700
		Fifth	160	1,700	2,000
		Sixth	192	2,100	2,300
		Seventh	224	2,550	2,551
More than 3,201	50	First	50	200	900
		Second	100	700	1,400
		Third	150	1,300	1,900
		Fourth	200	1,900	2,500
		Fifth	250	2,500	2,900
		Sixth	300	3,100	3,300
		Seventh	350	3,750	3,751

[1] Cumulative failure percent.
[2] Lot may not be accepted. Next sample must be tested.

Table 160.037-4(c)(2)

Kind of defects	Percentage of failure
a. Failure to ignite	100
b. Ignites or burns dangerously	50
c. Non-uniform smoke-emitting rate	50
d. Smoke-emitting time less than 70 pct of specified time	100
e. Smoke-emitting time at least 70 pct but less than 80 pct of specified time	75
f. Smoke-emitting time at least 80 pct but less than 90 pct of specified time	50
g. Smoke-emitting time at least 90 pct but less than 100 pct of specified time	25

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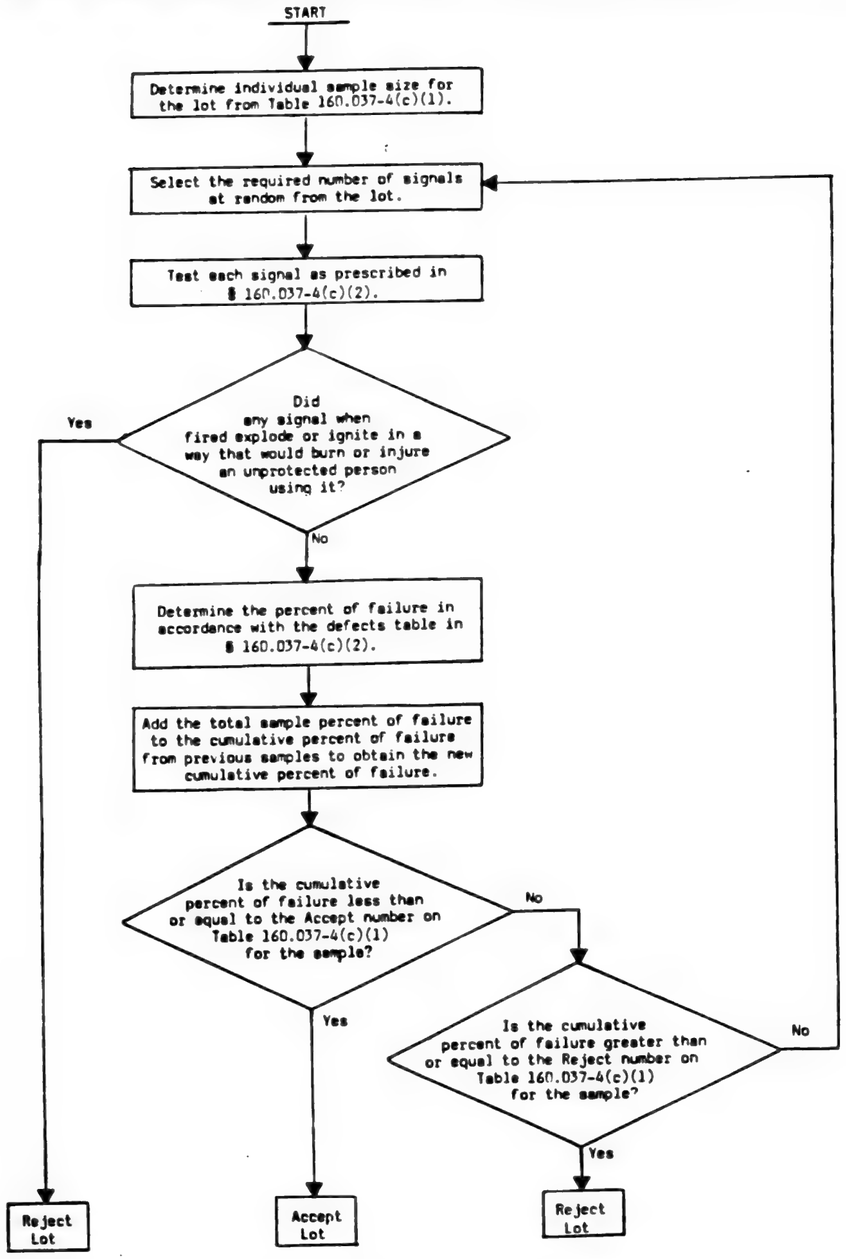


Figure 160.037-4(c). Operational test procedure.

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(d) *Technical tests.* Three signals must be subjected to each of the following tests. Two of the three signals must pass each test in order for the lot of signals to be accepted.

(1) *Underwater smoke emission.* Condition each sample in accordance with paragraph (c)(2)(i) of this section. Ignite specimen and let it burn about 15 seconds in air. Submerge the burning signal in water in a vertical position with head down. Obtain underwater smoke emission time by stop watch measurements from time of submersion until smoke emission ceases. The test specimen shall burn underwater not less than 10 seconds when subjected to this test.

(2) *Bending strength.* Place the specimen on supports 15 cm (6 in.) apart. Attach a weight of 35 kg (77 lb.) to a length of wire. Hang the weight from the supported signal by looping the wire around the signal approximately equidistant from the two points of support. Let the weight hang approximately 5 minutes. The test specimen shall not deflect more than 7 mm (¼ in.), nor shall the joint between the casing and the handle fail when subjected to this test.

(3) *Tensile strength.* Place the specimen in a chuck firmly holding it about 13 mm (½ in.) below the cap. Attach a weight of 35 kg (77 lb.) to a length of wire. Hang the weight from the supported signal by looping the wire through a hole bored perpendicular to and through the axis of the handle. Let the weight hang approximately 5 minutes. The test specimen shall not show noticeable distortion, nor shall the joint between the casing and handle fail, when subjected to this test.

(4) *Elevated temperature, humidity and storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75°C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25°C.) with approximately 65 percent relative humidity for 10 days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during the 72-hour conditioning period. (Total of 24 hours on and 48 hours off.) The signal shall not ignite or decompose during this conditioning. The signal shall ignite and operate satisfactorily following this conditioning.

(5) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75°C. with not more than 10% relative humidity for 48 consecutive hours. The signal shall not ignite or undergo marked decomposition.

(6) *Susceptibility to explosion.* Remove smoke composition from signal and punch a small hole in the composition. Insert a No. 6 commercial blasting cap. Ignite the cap. The test specimen shall not explode or ignite.

(7) *Color of smoke.* Ignite specimen in the open air in daytime according to the directions printed on the signal, and determine the smoke color by direct visual comparison of the unshadowed portions of the smoke with a color chart held so as to receive the same daylight illumination as the unshadowed portions of the smoke. The color of the smoke must be orange as defined by Sections 13 and 14 of the "Color Names Dictionary" (colors 34–39 and 48–54).

(8) *Volume and density of smoke.* The test specimen shall show less than 70 percent transmission for not less than 30 seconds when measured with apparatus having a light path of 19 cm (7½ in.), an optical system aperture of +3.7 degrees, and an entrance air flow of 18.4m³ per minute (650 cu. ft. per minute), such apparatus to be as described in National Bureau of Standards Report No. 4792.

§ 160.037-5 Labeling and marking.

(a) *Labeling.* Each hand orange smoke distress signal shall bear a label securely affixed thereto, showing in clear, indelible black lettering on an orange background, the following wording and information:

(Company brand or style designation)

Hand Orange Smoke Distress Signal

For daytime use—50 seconds burning time

Use Only When Aircraft or Vessel is Sighted

Directions—Pull tape over top of cap. Remove cap and ignite flare by rubbing scratch surface on top of cap sharply across igniter button on head of signal.

Caution—Stand with back to wind and point away from body when igniting or signal is burning.

Service Life Expiration Date (Month and year to be inserted by manufacturer) (Month and year manufactured) (Lot No. ——). Manufactured by (Name and address of manufacturer). U.S. Coast Guard Approval No. ——.

(b) *Marking of expiration date.* The expiration date must not be more than 42 months from the date of manufacture.

(c) *Other marking.* (1) There shall be die-stamped, in the side of the wooden handle in figures not less than 3 mm (⅛ in.) high, numbers indicating the month and year of manufacture, thus: "6–54" indicating June, 1954.

(2) In addition to any other marking place on the smallest packing carton or box containing hand orange smoke distress signals such cartons or boxes shall be plainly and permanently marked to show the service life expiration date, date of manufacture, and lot number.

(3) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 U.S.C. 1263, the Federal Hazardous Substances Act.

§ 160.037-6 Container.

(a) *General.* The container for storing the signals on lifeboats and liferafts is not required to be of a special design or be approved by the Coast Guard. The container must meet the requirements in Subpart 160.021 (§ 160.021–6) except that the wording on the container must be: "Hand Orange Smoke Distress Signals."

§ 160.037-7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.037-9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

9. By revising Subpart 160.040 of Part 160 to read as follows:

Subpart 160.040—Line-Throwing Appliance, Impluse-Projected Rocket Type (and Equipment)

Sec.

160.040–1 Incorporations by reference.
160.040–2 Type and size.
160.040–3 Materials, construction, workmanship, and performance requirements.
160.040–4 Equipment for impulse projected rocket type line-throwing appliance.
160.040–5 Approval and production tests.
160.040–6 Marking and labeling.
160.040–7 Procedure for approval.
160.040–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.040–1 Incorporations by reference.

(a) The following military specifications are incorporated by reference into this subpart:

(1) MIL–R–23139 B, 16 August 1965—Rocket Motors, Surface Launched, Development and Qualification Requirements for.

(2) MIL–R–45505 A, 2 April 1971—Line Throwing Apparatuses, Rocket and Projectile Units.

(b) The military specifications may be obtained from Customer Service, Naval Publications and Forms Center, 5801 Tabor Avenue, Philadelphia, PA 19120 (tel: (215) 697–2000). These specifications are also on file in the **Federal Register** library.

(c) Approval to incorporate by reference the materials listed in this section was obtained from the Director of the **Federal Register** on September 24, 1979.

§ 160.040–2 Type and size.

(a) Impulse-projected rocket type line-throwing appliances required by this subpart shall be of a type consisting essentially of a pistol or launcher, which can be hand held and hand directed, or suitably supported and hand directed.

(b) Impulse-projected rocket type line-throwing appliances shall weigh (complete with one rocket, bridle, and leader) not to exceed 16 kg (35 lb.) and shall be of a size easily manageable by one person.

(c) Alternate arrangements which meet the performance requirements of this subpart will be given special consideration. Line-throwing appliances meeting the requirements of MIL–L–45505 Type I will be considered as meeting the requirements of this subpart subject to approval of the Commandant.

§ 160–040–3 Materials, construction, workmanship, and performance requirements.

(a) *Materials.* All materials used in the construction of impulse-projected rocket type line-throwing appliances and equipment shall be of good quality suitable for the purpose intended, and shall conform ot this subpart and to the specifications submitted by the manufacturer and approved by the Commandant. The choice of materials, when there is no specific requirement, shall be such that maximum safety to operating personnel will be maintained, and that resistance to corrosion by salt water or spray, shock, temperature change, and wear will be obtained. The use of dissimilar materials in combination shall be avoided wherever possible, but when such contacts are necessary, provision shall be made to prevent such deleterious effects as galvanic corrosion, freezing or buckling of moving parts, and loosening or tightening of joints due to differences in coefficients of thermal expansion.

(b) *Construction.* The design and construction shall be such as to obtain effective and safe operation aboard vessels at sea.

(c) *Workmanship.* Impulse-projected rocket type line-throwing appliances shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability.

(d) *Performance.* When the rocket is fired from the appliance in accordance with the manufacturer's instructions, it shall be capable of passing the tests specified by § 160.040–5(c).

§ 160.040–4 Equipment for impulse-projected rocket type line-throwing appliance.

(a) Four rocket projectiles, each complete with bridle and leader of fire-resistant materials. Two of the projectiles shall be of the buoyant type.

(b) Not less than 4 primer-ejector cartridges which fit the chamber of the pistol, gun, or launcher.

(c) Four service lines, each 4 mm (5/32 in.) minimum diameter with a minimum breaking strenght of at least 2,250 N (500 lb.), and in one continual length not less than that specified in the approval of the appliance carried, without splice, knot, or other retarding or weaking features. The length of each service line will be assigned in the approval of the appliance as a round number approximately one-third in excess of the average distance the line is carried in the tests required by § 160.040–7(c). The line shall be of either natural or synthetic fibers suitable for marine usage. The end of the line intended to be attached to the projectile shall have securely attached thereto a substantial tag bearing a permanent legend indicating its purpose, and the other end of the line shall be tagged in the same manner to prevent delay in securing proper and immediate action with the equipment. Each line shall be coiled, faked, or reeled in its own faking box or reel in such manner that when all the line leaves the container, it shall automatically become unattached and free from the container. The faking box or reel shall be big enough for the line. The reel type container shall consist of a reel upon which the line may be readily coiled and a canister or container into which the line may be placed that affords a fair lead through which the line may pay out. The reel must be so designed as to permit easy withdrawal after the line has been coiled. Containers of new lines shall bear the name of the manufacturer, date of manufacture, and a statement to the effect that in all respects the line meets the requirements of this specification.

(d) (Reserved).

(e) One cleaning rod with wire brush of non-ferrous metal, prongs arranged in a spiral of sufficient rigidity and size to clean the bore.

(f) One can of oil suitable for cleaning and preserving the appliance.

(g) Twelve flannel wiping patches of sufficient size to cover the brush and suitable for wiping the bore clean.

(h) One set of instructions including a list of the equipment furnished with the appliance, information as to the proper maintenance of the appliance and equipment, and directions for loading and firing the appliance in service use shall be permanently engraved in plastic and mounted conspicuously in the case or box required by paragraph (i) of this section.

(i) A suitable case or box, properly compartmented for stowage of the appliance and auxiliary equipment, is required for stowage on merchant vessels. The service line and auxiliary line need not be stowed in the case.

§ 160.040–5 Approval and production tests.

(a) *Approval tests.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the performance tests in paragraph (c) of this section.

(b) *Production inspections and tests.* Production inspections and tests must be conducted under the procedures in § 159.007 of this Chapter. Each appliance or lot of rockets which fails the inspections and tests must not be represented as meeting this Subpart or as being approved by the Coast Guard.

(1) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include the inspection of appliances during production as well as inspection of finished appliances, to determine that the appliances are being produced in accordance with the approved plans. The performance tests in paragraph (c) of this section must be performed by the manufacturer.

(2) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must inspect and test appliances and rockets at least once each year. The inspection must determine that the appliances and rockets are being produced in accordance with the appropriate plans. The tests must be in accordance with paragraph (c) of this section.

(c) *Performance tests.*—(1) *Appliances.* Each appliance shall be tested by firing three rounds. These rounds may be regular rockets or buoyant type rockets carrying regular service lines, as provided in subparagraph (2) of this paragraph or may be dummy projectiles, of the same size and weight as the regular rocket projectile, expelled into an earthen bank or other resisting medium from a reasonable distance. At least one of the rounds shall be fired using a primer-ejector cartridge loaded with a charge double the normal charge; the other rounds may be fired using regular primer-ejector cartridges. After the firing tests have been completed, each appliance shall be fired twice using the regular primer-ejector cartridges only, for the purposes of demonstrating that the appliance is still in operating condition. The entire assembly of the appliance shall then be examined. Results of the test firing and the physical examination shall show none of the following: Failure to eject cartridge, failure to close breech, trigger malfunction, safety lock failure to function, breech catch malfunction, broken spring, broken handgrips, cracked barrel or discharge chamber, firing pin or plunger broken, distorted or excessively worn or loose breech. A single misfire is acceptable if a second cartridge fires on repeated test. Misfire of both shall be cause for rejection of the appliance. More than one loose screw shall be cause for rejection. If an appliance exhibits a single loose screw, it may be retightened.

(2) *Rockets.* The rocket shall utilize a solid fuel propellant which shall function in accordance with all applicable requirements of MIL–R–23139. The use of black powder for the rocket motor is not acceptable. The ignition of the rocket motor shall occur at such a distance from the appliance so as not to spew flame, hot gaseous exhaust, or hot particles of propellant in such a manner as to create a hazard to personnel or the vessel. The rocket shall have a service line carrier assembly permanently attached and made of material, or suitably protected, to withstand the heat from the rocket motor's exhaust. From each 200 rockets manufactured, not less than three must be selected to be tested by firing with service line attached. The rockets selected will, over a period of time, include representative samples of both the regular and buoyant-type rockets, except that the approval test must include both types. The line shall be carried, under conditions of reasonably still atmosphere, a minimum of 230 m (750 ft.), without breaking or fouling the line, and the rocket shall alight not more than 15 m (50 ft.) from either side of the target line. In no case shall a test rocket be fired without a line attached. After a buoyant type rocket is fired, it shall demonstrate its ability to float in water for not less than 2 hours. Failure to meet any of the test requirements, nose cone cracks, rupture in flight, erratic flight, or unusual burning rate, shall be cause for rejection of rockets produced until suitable correction has been made. If rockets selected from this lot are used for the tests required in paragraph (c)(1) of this section this may be accepted as meeting the requirements of this paragraph.

(3) *Primer-ejector cartridges.* Inasmuch as primer-ejector cartridges are used for the tests required by subparagraphs (1) and (2) of this paragraph, additional tests of primer-ejector cartridges will be made only when deemed advisable by the independent laboratory. Misfiring or failure of any kind shall be cause for rejection of cartridges produced until suitable correction has been made.

§ 160.040–6 Marking and labeling.

(a) The appliance shall be permanently and legibly marked by die-stamping or raised letters with the model designation of the appliance, the manufacturer's serial number for the appliance, the official Coast Guard approval number, and the name of the manufacturer. The rocket-projectiles shall be legibly marked with the name of the manufacturer, the model designation, the official Coast Guard approval number, and month and year manufactured. Primer-ejector cartridges shall be permanently and legibly marked with the name of the manufacturer, and the model designation, the official Coast Guard approval number, and the month and year manufactured.

(b) The containers of new service lines shall bear the name of the manufacturer, date of manufacture, and a statement to the effect that in all respects the line meets the requirements of this subpart for service lines. Line faking boxes and reels shall bear the name of the manufacturer.

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 USC 1263, the Federal Hazardous Substances Act.

§ 160.040–7 Procedure for approval.

(a) Rocket type line-throwing appliances are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.040–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

10. By revising Subpart 160.057 of Part 160 to read as follows:

Subpart 160.057—Floating Orange Smoke Distress Signals (15 Minutes)

Sec.

160.057–1 Incorporations by reference.
160.057–2 Type.
160.057–3 Materials, workmanship, construction, and performance requirements.
160.057–4 Approval and production tests.
160.057–5 Marking.
160.057–7 Procedure for approval.
160.057–9 Recognized independent laboratories.

Authority: 46 U.S.C. 481, 49 U.S.C. 1655(b)(1), 49 CFR 1.46(b).

§ 160.057–1 Incorporations by reference.

(a) The following are incorporated by reference into this subpart:

(1) "The Color Names Dictionary" in *Color: Universal Language and Dictionary of Names,* National Bureau of Standards Special Publication 440, December 1976.

(2) "Development of a Laboratory Test for Evaluation of the Effectiveness of Smoke Signals," National Bureau of Standards Report 4792, July 1956.

(b) NBS Special Publication 440 may be obtained by ordering from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (Order by SD Catalog No. C13.10:440).

(c) NBS Report 4792 may be obtained from the Commandant (G–MMT–3/TP12), U.S. Coast Guard, Washington, D.C. 20593.

(d) Approval to incorporate by reference the materials listed in this section was obtined from the Director of the **Federal Register** on November 1 and 29, 1979. The materials are on file in the **Federal Register** library.

§ 160.057–2 Type

(a) Floating orange. smoke distress signals specified by this subpart shall be of one type which shall consist essentially of an outer container, ballast,

an air chamber, an inner container, the smoke producing composition, and an igniter mechanism. Alternate arrangements which conform to the performance requirements of this specification will be given special consideration.

§ 160.057–3 Materials, workmanship, construction, and performance requirements.

(a) *Materials.* The materials shall conform strictly to the specifications and drawings submitted by the manufacturer and approved by the Commandant. Metal for containers shall be not less than 0.5 mm (0.020 in.) in thickness. Other dimensions or materials may be considered upon special request when presented with supporting data. Igniter systems shall be of corrosion-resistant metal. The combustible material shall be of such nature that it will not deteriorate during long storage, nor when subjected to frigid or tropical climates, or both.

(b) *Workmanship.* Floating orange smoke distress signals shall be of first class workmanship and shall be free from imperfections of manufacture affecting their appearance or that may affect their serviceability.

(c) *Construction.* The outer container shall be cylindrical and of a size suitable for intended use. All sheet metal seams should be hook jointed and soldered. The whole container shall be covered with two coats of waterproof paint or other equivalent protection system. The igniter mechanism shall operate and provide ignition of the signal automatically when the ring life buoy to which it is attached is thrown overboard.

(d) *Performance.* Signals shall meet all the inspection and test requirements contained in § 160.057–4.

§ 160.057–4 Approval and production tests.

(a) *Approval tests.* The manufacturer must produce a lot of at least 20 signals from which samples must be taken for testing for approval under § 160.057–7. The approval tests are the operational tests and technical tests in paragraphs (c) and (d) of this section. The approval tests must be conducted by an independent laboratory accepted by the Commandant under § 159.010 of this Chapter.

(b) *Production inspections and tests.* Production inspections and tests of each lot of signals produced must be conducted under the procedures in § 159.007 of this Chapter. Signals from a rejected lot must not be represented as meeting this Subpart or as being approved by the Coast Guard. If the manufacturer identifies the cause of the rejection of a lot of signals, the signals in the lot may be reworked by the manufacturer to correct the problem. Samples from the rejected lot must be retested in order to be accepted. Records shall be kept of the reasons for rejection, the reworking performed on the rejected lot, and the results of the second test.

(1) *Lot size.* For the purposes of sampling the production of signals, a lot must consist of not more than 1,200 signals. Lots must be numbered serially by the manufacturer. A new lot must be started with: (i) any change in construction details, (ii) any change in sources of raw materials, or (iii) the start of production on a new production line or on a previously discontinued production line.

(2) *Inspections and tests by the manufacturer.* The manufacturer's quality control procedures must include inspection of materials entering into construction of the signals and inspection of the finished signals, to determine that signals are being produced in accordance with the approved plans. Samples from each lot must be tested in accordance with the operational tests in paragraph (c) of this section.

(3) *Inspections and tests by an independent laboratory.* An independent laboratory accepted by the Commandant under § 159.010 of this Chapter must perform or supervise the inspections and tests under paragraph (b)(2) of this section at least 4 times a year, unless the number of lots produced in a year is less than four. The inspections and tests must occur at least once during each quarterly period, unless no lots are produced during that period. If less than four lots are produced, the laboratory must perform or supervise the inspection and testing of each lot. In addition, the laboratory must perform or supervise the technical tests in paragraph (d) of this section at least once for every ten lots of signals produced, except that the number of technical tests must be at least one but not more than four per year. If a lot of signals tested by the independent laboratory is rejected, the laboratory must perform or supervise the inspections and tests of the reworked lot and the next lot of signals produced. The tests of each reworked lot and the next lot produced must not be counted for the purpose of meeting the requirement for the annual number of inspections and tests performed or supervised by the independent laboratory.

(c) *Operational tests.* Each lot of signals must be sampled and tested as follows:

(1) *Sampling procedure and accept/reject criteria.* A sample of signals must be selected at random from the lot. The size of the sample must be the individual sample size in Table 160.057–4(c)(1) corresponding to the lot size. Each signal in the sample is tested as prescribed in the test procedure in paragraph (c)(2) of this section. Each signal that has a defect listed in the table of defects (Table 160.057–4(c)(2)) is assigned a score (failure percent) in accordance with that table. In the case of multiple defects, only the score having the highest numerical value is assigned to that signal If the sum of all the failure percents (cumulative failure percent) for the number of units in the sample is less than or equal to the accept criterion, the lot is accepted. If this sum is equal to or more than the reject criterion the lot is rejected.

If the cumulative failure percent falls between the accept and reject criteria, another sample is selected from the production lot and the operational tests are repeated. The cumulative failure percent of each sample tested is added to that of the previous samples to obtain the cumulative failure percent for all the signals tested (cumulative sample size). Additional samples are tested and the tests repeated until either the accept or reject criterion for the cumulative sample size is met. If any signal in the sample explodes when fired, or ignites in a way that could burn or otherwise injure the person firing it, the lot is rejected without further testing. (This procedure is diagrammed in figure 160.057–4(c)).

(2) *Test procedure.* Each sample signal (specimen) must be tested as follows:

(i) *Conditioning of test specimens—water resistance.* Immerse specimen horizontally with uppermost portion of the signal approximately 25 mm (1 in.) below the surface of the water for a period of 24 hours.

(ii) *Smoke emitting time.* Ignite specimen according to the directions printed on the signal and place signal in tub or barrel of water. The smoke emitting time of a specimen shall be obtained by stop watch measurements from the time of distinct, sustained smoke emission until it ceases. There shall be no flame emission during the entire smoke emitting time of the signal. The smoke emitting time for a specimen shall not be less than 15 minutes. When the tests are performed or supervised by an independent laboratory, this test shall be conducted with approximately 6 mm (¼ in.) of gasoline covering the water in the tub or barrel. The gasoline vapors shall not ignite during the entire smoke emitting time of the signal.

(iii) *Ignition and smoke emitting characteristics.* Test specimens shall ignite and emit smoke properly when the directions on the signal are followed. Test specimens shall not ignite explosively in a manner that might be dangerous to the user or persons close by. Test specimens shall emit smoke at a uniform rate while floating in calm to rough water. Signals should be so constructed that water submerging the signal in moderately heavy seas will not cause it to become inoperable.

Table 160.057–4(c)(1).—*Accept and reject criteria for operational test lots.*

Lot size	Individual sample size	Sample	Cumulative sample size	Accept [1]	Reject [1]
150 or less	2	First	2	(*)	200
		Second	4	(*)	200
		Third	6	0	200
		Fourth	8	0	300
		Fifth	10	100	300
		Sixth	12	100	300
		Seventh	14	299	300
151 to 500	3	First	3	(*)	200
		Second	6	0	300
		Third	9	0	300
		Fourth	12	100	400
		Fifth	15	200	400
		Sixth	18	300	500
		Seventh	21	499	500
more than 501	5	First	5	(*)	300
		Second	10	0	300
		Third	15	100	400
		Fourth	20	200	500
		Fifth	25	300	600
		Sixth	30	400	600
		Seventh	35	699	700

[1] Cumulative failure percent.
[*] Lot may not be accepted. Next sample must be tested.

Table 160.057–4(c)(2)

Kind of defects	Percentage of failures
a. Failure to ignite	100
b. Ignites or burns dangerously	100
c. Nonuniform smoke emitting rate	50
d. Smoke-emitting time less than 70 percent of specified time	100
e. Smoke-emitting time at least 70 percent but less than 80 percent of specified time	75
f. Smoke-emitting time at least 80 percent but less than 90 percent of specified time	50
g. Smoke-emitting time at least 90 percent but less than 100 percent of specified time	25

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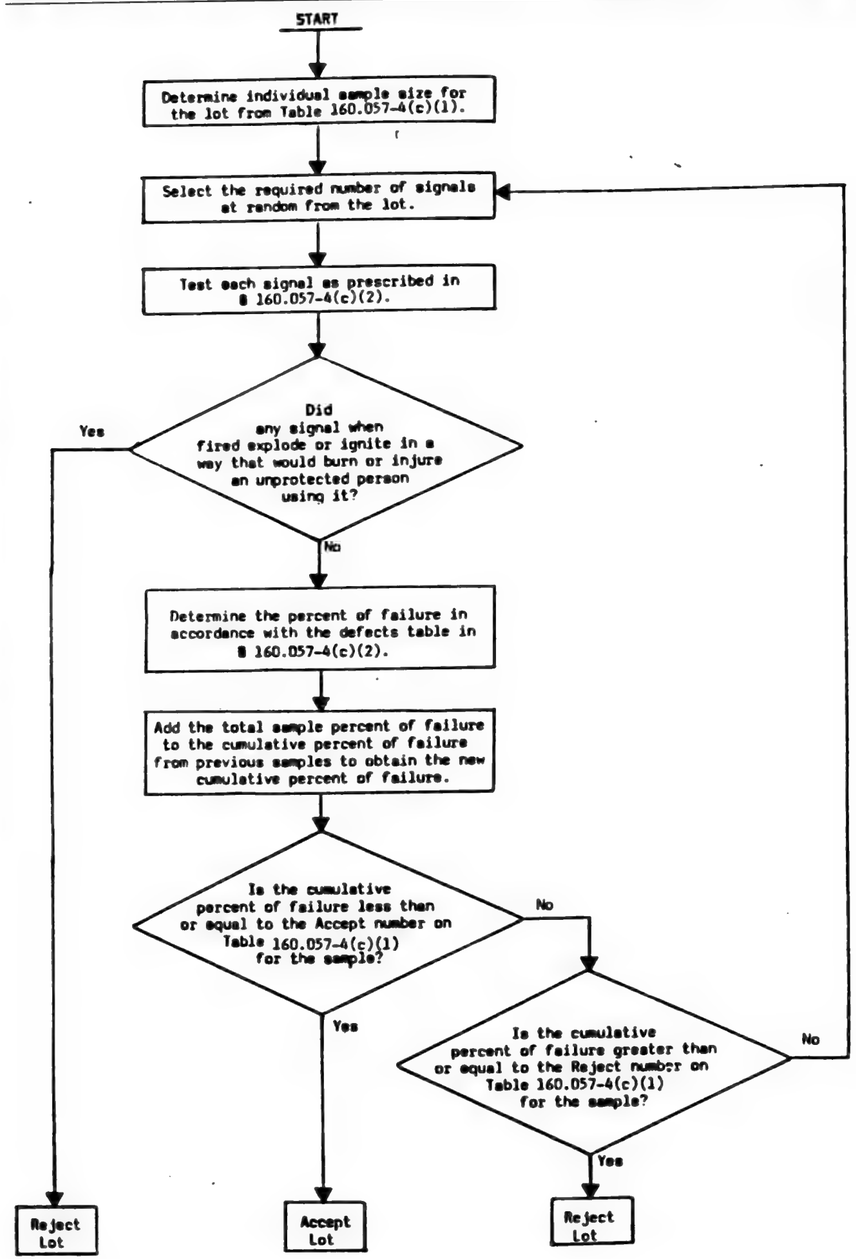


Figure 160.057-4(c). Operational test procedure.

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(d) *Technical tests.* One signal must be subjected to each of the following tests. Each signal must pass the test in order for the lot of signals to be accepted.

(1) *Drop test.* One signal must be attached to a ring life buoy and arranged to be ignited by the dropping buoy in the same manner as it would be when used on a vessel. The signal and buoy must be mounted at least 27 m (90 ft.) above the surface of a body of water. The buoy is released and must cause the signal to ignite and fall to the water with the buoy. The signal must remain afloat and emit smoke at least 15 minutes.

(2) *Wave test.* A signal shall be tested in a manner simulating its use at sea. The signal shall be ignited and thrown overboard under conditions where waves are at least 30 cm (1 ft.) high. The smoke emitting time must be for the full 15 minutes and the signal shall float in such a manner that it shall function properly during this test. The signal shall be attached to a ring life buoy in accordance with the manufacturer's instructions.

(3) *Underwater smoke emission.* Condition the signal in accordance with paragraph (c)(2)(i) of this section. Ignite specimen and let it burn about 15 seconds in air. Submerge the burning signal in water in a vertical position with head down. Obtain underwater smoke emission time by stop watch measurements from time of submersion until smoke emission ceases. The test specimen shall emit smoke under water not less than 30 seconds when subjected to this test.

(4) *Elevated Temperature, Humidity and Storage.* Place specimen in a thermostatically controlled even-temperature oven held at 75°C. with not less than 90 percent relative humidity for 72 hours. Remove specimen and store at room temperature (20° to 25°C.) with approximately 65 percent relative humidity for 10 days. If for any reason it is not possible to operate the oven continuously for the 72-hour period, it may be operated at the required temperature and humidity for 8 hours out of each 24 during the 72-hour conditioning period. (Total of 24 hours on and 48 hours off.) The signal shall not ignite or decompose during this conditioning. The signal shall ignite and operate satisfactorily following this conditioning.

(5) *Spontaneous ignition.* Place the specimen in a thermostatically controlled even-temperature oven held at 75°C. with not more than 10% relative humidity for 48 consecutive hours. The signal must not ignite or undergo marked decomposition.

(6) *Susceptibility to explosion.* Remove smoke composition from signal and punch a small hole in the composition. Insert a No. 6 commercial blasting cap. Ignite the cap. The test specimen shall not explode or ignite.

(7) *Corrosion resistance.* Expose the complete specimen with cover secured hand-tight to a finely divided spray of 20 percent by weight sodium chloride solution at a temperature between 32°C and 38°C (90°F and 100°F) for 100 hours. The container and cap must not be corroded in any fashion that would impair their proper functioning.

(8) *Color of smoke.* Ignite specimen in the open air in daytime according to the directions printed on the signal, and determine the smoke color by direct visual comparison of the unshadowed portions of the smoke with a color chart held so as to receive the same daylight illumination as the unshadowed portions of the smoke. The color of the smoke must be orange as defined by Sections 13 and 14 of the "Color Names Dictionary" (colors 34–39 and 48–54).

(9) *Volume and density of smoke.* The test specimen shall show less than 70 percent transmission for not less than 12 minutes when measured with apparatus having a light path of 19 cm (7½ in.), an optical system aperture of +3.7 degrees, and an entrance air flow of 18.4m ^{3} per minute (650 cu. ft. per minute), such apparatus to be as described in National Bureau of Standards Report No. 4792.

§ 160.057–5 Marking.

(a) *Directions for use.* Each floating orange smoke distress signal shall be plainly and indelibly marked in black lettering not less than 3 mm (⅛ in.) high "Approved for daytime use only", and in black lettering not less than 5 mm (3/16 in.) high with the word "Directions". Immediately below shall be similarly marked in black lettering not less than 3 mm (⅛ in.) high in numbered paragraphs, and in simple and easily understood wording, instructions to be followed to make the device operative. Pasted-on labels are not acceptable.

(b) *Other markings.* (1) There shall be embossed or die-stamped, in the outer container in figures not less than 5 mm (3/16 in.) high, numbers, indicating the month and year of manufacture, thus: "6–54" indicating June 1954. The outer container shall also be plainly and indelibly marked with the commercial designation of the signal, the words "Floating Orange Smoke Distress Signal (15 minutes)", name and address of the manufacturer, the Coast Guard Approval No., the service life expiration date (month and year to be entered by the manufacturer), the month and year of manufacture and the lot number.

(2) In addition to any other marking placed on the smallest packing carton or box containing floating orange smoke distress signals, such cartons or boxes shall be plainly and indelibly marked to show the service life expiration date, the month and year of manufacture, and the lot number.

(3) The largest carton or box in which the manufacturer ships signals must be marked with the following or equivalent words: "Keep under cover in a dry place."

(c) *Marking of expiration date.* The expiration date must be not more than 42 months from the date of manufacture.

Note.—Compliance with the labeling requirements of this section does not relieve the manufacturer of the responsibility of complying with the label requirements of 15 USC 1263, the Federal Hazardous Substances Act.

§ 160.057–7 Procedure for approval.

(a) Signals are approved by the Coast Guard under the procedures in Subpart 159.005 of this Chapter.

§ 160.057–9 Recognized independent laboratories.

(a) The following independent laboratories have been accepted by the Commandant for conducting the approval and production tests required in this Subpart:

(1) (Reserved).

(b) Revised copies of this list may be obtained from Commandant (G–MMT–3/TP12), U.S. Coast Guard Headquarters, Washington, D.C. 20593.

(46 USC 481, 49 USC 1655(b)(1), 49 CFR 1.46(b))

Dated: December 4, 1979.

J. B. Hayes,

Admiral, U.S. Coast Guard Commandant.

[FR Doc. 79–38271 Filed 12–14–79; 8:45 am]

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FEDERAL COMMUNICATIONS COMMISSION

47 CFR Part 83

[PR Docket No. 79–139; RM–2916; FCC 79–786]

Stations on Shipboard in the Maritime Services; Exempting Certain Vessels Operating in Vessel Traffic Service (VTS) Areas from the Requirement To Maintain a Listening Watch on VHF Channel 16 (156.800 MHz)

AGENCY: Federal Communications Commission.

ACTION: Final rule.

SUMMARY: Amendment of rules to exempt vessels subject to the Bridge-to-

Bridge Radiotelephone Act and participating in a U.S. Coast Guard Vessel Traffic Services (VTS) system from the requirement to maintain a listening watch on VHF Channel 16 (156.800 MHz). This action responds to a petition for rulemaking filed by the Central Committee on Telecommunications of the American Petroleum Institute. The intent is to eliminate the necessity for vessels to maintain listening watches on more than two VHF frequencies.

EFFECTIVE DATE: January 21, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Robert H. McNamara, Private Radio Bureau, (202) 632–7175.

SUPPLEMENTARY INFORMATION:

In the matter of amendment of § 83.224 of the rules to exempt certain vessels operating in Vessel Traffic Service (VTS) areas from the requirement to maintain a listening watch on VHF Channel 16 (156.800 MHz). Report and Order (proceeding terminated).

Adopted: December 4, 1979.

Released: December 12, 1979.

By the Commission:

1. By this action, we are exempting vessels which are subject to the Vessel Bridge-to-Bridge Radiotelephone Act *and* which are also participating in a U.S. Coast Guard Vessel Traffic Service system, from the requirement to maintain an efficient listening watch on the frequency 156.800 MHz (VHF Channel 16). Our purpose in this proceeding is to reduce the number of frequencies *required* to be monitored by a ship to a maximum of two.

Background

A. Watch Requirements

2. Many ships participating in U.S. Coast Guard Vessel Traffic Service (VTS) systems [1] are required to maintain a listening watch on three marine VHF channels. These frequencies are (1) the VHF distress, safety and calling frequency, (2) the vessel bridge-to-bridge frequency, and (3) the designated VTS frequency. The bases for these requirements are indicated in the following three paragraphs.

3. Section 83.224 of the Commission's rules requires that a ship station licensed to operate in the VHF frequency band 156–162 MHz maintain an efficient listening watch on the frequency 156.800 MHz (Channel 16) during its hours of service. Channel 16 is the national and international distress, safety and calling frequency for VHF radio-telephone stations in the Maritime Mobile Service. However, this watch is not required (1) where the station is operated with only single or dual channel equipment for bridge-to-bridge requirements (discussed below), or (2) for tugs and towing vessels of less than 1600 gross tons when operating in a VTS area and maintaining a watch on the VTS frequency and the vessel's "house frequency." [2]

4. The Vessel Bridge-to-Bridge Radiotelephone Act [3] enacted to provide a positive means for operators of approaching vessels to communicate their intentions by a radiotelephone conveniently located at the operator's navigation station. The Act requires that, among other things, certain vessels, dredges and floating platforms be equipped with a radiotelephone capable of operation from the navigational bridge on a frequency or frequencies in the marine VHF band designated by the Commission.[4] Further, the Act [5] requires that a listening watch be maintained on the designated frequency.[6]

5. As part of a program to implement the provisions of the "Ports and Waterways Safety Act of 1972" (Pub. L. 92–340, 86 Stat. 424, 33 U.S.C. 1221) the Coast Guard is establishing VTS systems for a number of the largest and busiest port areas in the United States.[7] These systems, as indicated above, are vessel movement reporting systems designed to prevent collisions and groundings and protect the invironment from damage or loss. At the Coast Guard's request, the Commission amended its rules to make up to three frequencies available for exclusive use for VTS purposes within the designated VTS radio protection areas.[8]

B. Petition

6. The Central Committee on Telecommunications of the American Petroleum Institute (API) filed a petition for rulemaking (RM–2916) which requested the Commission to amend Section 83.224 of the rules. Essentially, API asked that an exemption to the VHF Channel 16 (156.800 MHz) listening watch requirement be provided for ship stations on board vessels operating in Coast Guard VTS areas when monitoring the designated VTS frequency.

7. The American Institute of Merchant Shipping (AIMS), filed a statement of support of API's petition. The Pacific Merchant Shipping Association filed a "petition for rulemaking" joining API's petition. The American Waterways Operators, Inc. (AWO) also submitted a statement supporting API's petition. Further, AWO indicated that the rule amendment sought by API is similar to the relief sought by AWO in its Petition for Reconsideration filed in Docket No. 20683. The substantive distinction between the two petitions is that AWO's seeks an exemption only for tug and tow boats of less than 1600 gross tons.

8. Fundamentally, API gave three reasons for the requested rule amendment. First, the combined force of statutory and regulatory requirements has resulted in many vessels being required to maintain a simultaneous aural watch on three frequencies when navigating in a USCG designated VTS area. API submitted that requirements for a listening watch on three frequencies imposes a nearly inhuman burden on the two individuals normally found on the bridge and may even create an unsafe condition. Second, it pointed out that the Coast Guard has indicated that it will respond to all distress and safety communications on Channel 16 in VTS areas. Thus, it argued, the safety aspects of the Channel 16 watch are provided by the Coast Guard. Finally, API stated that the capability "of receiving a call on Channel 16 for the exchange of public correspondence" has little priority when a vessel is operating in a VTS area and monitoring the bridge-to-bridge frequency as well. API concluded that number of VHF channels required to be monitored must be reduced to a maximum of two and that the Channel 16 watch requirement should be eliminated for vessels operating in a VTS system and monitoring the VTS channel.

C. NPRM

9. In response to this petition we issued a Notice of Proposed Rule Making [9] proposing to amend Section 83.224 of the rules substantially as requested to exempt vessels from the requirement to maintain a watch on Channel 16 when an efficient watch is maintained on *both* the bridge-to-bridge frequency and a separate VTS frequency.

10. As noted in the NPRM, in the past the Commission had generally resisted the relaxation of the Channel 16 listening watch. This was based on three factors. First, the elimination of the Channel 16 watch in VTS areas would result in the loss of the capability for other ships or shore facilities to contact vessels participating in a VTS system for other than navigational purposes. Second, Channel 16 represented the only frequency that is monitored by all VHF equipped vessel, i.e., large commercial ships and thousands of small recreational boats alike. Third, in that the Coast Guard was in the early stages of implementing the various VTS systems when the issue of relaxing the Channel 16 watch was initially raised, we felt it was premature to eliminate the watch on the VHF distress, safety and calling frequency in the VTS areas.

11. However, after consultations with industry and the Coast Guard as operational experience with VTS systems was being gained, we felt that the concept of three simultaneous listening watches was untenable. In addition, it appeared that for ships participating in VTS systems dropping the watch on either the bridge-to-bridge or VTS frequency was less desirable than eliminating the Channel 16 watch. Bridge-to-bridge communications capabilities are generally considered essential for safety purposes. Further, the Coast Guard has found that eliminating the continuous watch on the VTS channel in favor of a watch on Channel 16 does not satisfy VTS performance requirements.

12. Additionally, the Coast Guard stated that it will, on request and subject to operational consideration, notify ships participating in a VTS system of important non-navigational calls from other stations as well as provide distress and safety coverage on Channel 16.[10] This would prevent ships from being totally isolated from the rest of the maritime communications system while operating in a VTS area. This latter problem had originally caused serious reservations regarding the relaxation of the Channel 16 watch.

13. In the NPRM we also granted API's petition for a temporary waiver of the Channel 16 watch for ships operating in VTS areas under the conditions of the proposed rule. Further, we noted that with the loss of the universality of the Channel 16 watch, recreational boaters who wish to retain the capability to communicate with large ships in a VTS area could equip their radio station with the bridge-to-bridge frequency.

Comments

14. Comments were filed by (1) the Council of American—Flag Ship Operators (CASO) a national association representing six major companies which own and operate 151 vessels; (2) the American Institute of Merchant Shipping (AIMS) representing 28 member companies which own and operate over 200 U.S. flag oil and chemical tankers and liquified gas carriers; (3) the American Waterways Operators, Inc. (AWO) representing the barge and towing industry; and (4) the Central Committee on Telecommunications of the American Petroleum Institute (API) which is composed of 40 U.S. petroleum and gas companies many of which operate substantial fleets of tankers and/or tugs and barges. We note that API was the original petitioner in this proceeding. Also AIMS and AWO filed statements supporting its petition for rulemaking. No reply comments were received.

15. All four of the commenters strongly supported the proposed amendment. AIMS and API urged prompt adoption of the proposal and applauded the grant of the requested temporary waiver. AWO additionally noted that although our suggestion that recreational boat operators may wish to obtain the capability to communicate on the bridge-to-bridge frequency was appropriate, we should be aware of the potential for abuse and be prepared to take responsive enforcement action if misuse develops.

Discussion

16. As AWO indicates, there is some potential for abuse if large numbers of recreational boaters acquire bridge-to-bridge communications capabilities. As AWO also notes, it is appropriate that recreational boaters be advised that the bridge-to-bridge channel will be the only means in VTS areas to directly contact large vessels nearby (for example, when in danger of a collision). This matter was also discussed with the Coast Guard prior to the initiation of this rulemaking proceeding. It was felt that significant misuse of the channel was unlikely. However, if a pattern of misuse does develop, we will undertake a responsive educational and enforcement effort.

17. In that the other comments only indicated support for the proposal as described in the NPRM, we will not reiterate our rationale for proposing the rule change.

18. As a related matter, we wish to note that our action in this proceeding, in effect, will grant the relief requested by AWO in its Petition for Reconsideration filed in Docket No. 20683 (see paragraph 7 above). Therefore, in a separate document we will dismiss AWO's petition as moot.

Commission Action

19. For the reasons indicated above and considering the favorable comments received, we are amending, as proposed, Section 83.224(b) of the Commission's rules to exempt vessels which are subject to the Bridge-to-Bridge Radiotelephone Act and participating in a Coast Guard VTS system from the requirement to maintain a watch on 156.800 MHz (Channel 16) when an efficient watch is maintained on *both* the bridge-to-bridge frequency and a separate VTS frequency.

20. Regarding questions on the matters covered in this document contact Robert McNamara, (202) 623–7175.

21. Accordingly, it is ordered, That, under the authority contained in Sections 4(i) and 303(r) of the Communications Act of 1934, as amended, the Commission's rules are amended as set forth in the attached Appendix, effective January 21, 1980.

22. It is further ordered, That this proceeding is terminated.

Federal Communications Commission.

(Secs. 4, 303, 48 Stat., as amended, 1066, 1082; 47 U.S.C. 154, 303.)

William J. Tricarico,

Secretary.

Appendix

Part 83 Chapter I of Title 47 of the Code of Federal Regulations is amended as follows:

Part 83—Stations on Shipboard in the Maritime Service

In § 83.224, paragraph (b) is amended to read as follows:

§ 83.224 Watch on 156.8 MHz.

* * * * *

(b) For vessels subject to the Bridge-to-Bridge Radiotelephone Act and participating in a Vessel Traffic Service

[1] U.S. Coast Guard VTS systems are, in essence, vessel movement reporting systems designed to prevent damage to or loss of vessels, bridges or other structures in U.S. navigable waters. Additionally, these navigable waters and associated natural resources are sought to be protected from environmental harm resulting from such incidents.

[2] Tug and tow boats by the nature of their operations usually find it necessary to guard a company working frequency. This frequency often is assigned to a limited coast station operated by the company and utilized for operational and business messages.

[3] Pub. L. 92–63, 85 Stat. 165, 33 U.S.C. 1201 et seq.

[4] 33 U.S.C. 1203.

[5] 33 U.S.C. 1204.

[6] In the Report and Order in Docket No. 19343 (adopted May 24, 1972, 37 FR 11245, 35 FCC 2d 154) the Commission set aside Channel 13 (156.65 MHz) for bridge-to-bridge communications. (Recently, Channel 67 was designated as the bridge-to-bridge frequency in the southern Louisiana section of the Mississippi River System. Report and Order, Gen Docket No. 78–310, adopted May 1, 1979, FCC 79–275, 44 FR 29073.)

[7] The Coast Guard is in various stages of implementing VTS systems in the port areas of Houston, New Orleans, New York, San Francisco, Seattle and Valdez (Alaska).

[8] Report and Order, Docket No. 20444, adopted December 2, 1975, 40 F.R. 57673, 56 FCC 2d 1089.

[9] Notice of Proposed Rule Making, PR Docket No. 79–139 (RM 2916), adopted June 7, 1979, 44 FR 36082, FCC 79–335.

[10] The Coast Guard further indicates it will *not* relay routine business and personal calls received on Channel 16.

(VTS) system as required or recommended by the U.S. Coast Guard, when an efficient listening watch is maintained on *both* the bridge-to-bridge frequency and a separate assigned VTS frequency.

* * * * *

[FR Doc. 79-38549 Filed 12-14-79; 8:45 am]
BILLING CODE 6712-01-M

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47 CFR Part 87

[PR Docket No. 79-186; FCC 79-791]

Aviation Services; Clarifying the Use of Certain Frequencies by Aircraft for the Control of Airport Lights

AGENCY: Federal Communications Commission.

ACTION: Final Rule.

SUMMARY: Amendment of the rules to permit aircraft to transmit brief keyed RF signals (momentarily depressing the microphone push-to-talk button) for the control of airport lights only on an authorized frequency which is assigned to an aeronautical radio station located at the particular airport. As a result of a number of informal inquiries, this action is being taken to avoid the possible interference and inconvenience which would result where aircraft use a frequency assigned to a station at one airport to activate runway lights at another airport.

EFFECTIVE DATE: January 21, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.
FOR FURTHER INFORMATION CONTACT: Robert H. McNamara, Private Radio Bureau; (202) 632-7175.

SUPPLEMENTARY INFORMATION:

In the Matter of amendment of § 87.183 of the rules to clarify the use of certain frequencies by aircraft for the control of airport lights. Report and order (Proceeding Terminated).

Adopted: December 4, 1979.
Released: December 12, 1979.

By the Commission:

1. By this action we are limiting the frequencies which aircraft may use for the transmission of brief keyed RF signals for the control of airport lights. Our purpose in this proceeding is to require that the frequency utilized by aircraft for the activation of airport lighting systems also be assigned to an aeronautical station located at the concerned airport.

Background

2. Section 87.183(cc) of the rules makes available to aircraft operators a number of aeronautical frequencies for the control of airport lighting.[1] Aircraft may transmit brief RF signals (i.e., momentarily depressing the microphone "push-to-talk" button) on these frequencies to turn on the airport lights, provided that harmful interference is not caused to voice communications. Thus, aircraft approaching an uncontrolled or unmanned airfield at night or in poor weather conditions, may activate the airport lights on an as needed basis. Usually these radio controlled systems will operate for approximately 15 minutes after activation. By employing these lighting systems an airport may remain open at night without the expense of leaving the airport lights on for extended periods of time or having a person monitor a radio frequency for requests to activate the lights. These radio controlled runway lighting systems are becoming increasingly popular with the aviation community. The FAA and many individual airport operators are installing such systems at various uncontrolled airfields as well as airfields with part-time control towers.

3. Although § 87.183(cc) of the rules presently limits aircraft use of air traffic control (ATC) frequencies for activation of airport lights to a frequency assigned to a facility at the given airport, no such limitation applies to the other available frequencies. Recently we have received a number of informal inquiries as to the feasibility of using an aeronautical advisory frequency or an aviation instructional frequency other than one assigned to a station at the airfield in question for activation of an airport lighting system. We have been discouraging such practices even though there is no prohibition of such frequency utilization.

4. The problem with aircraft utilizing a frequency not assigned to a station on that particular airport, is that the brief RF signals (microphone clicks) occur on a frequency which, in many areas, is assigned at a neighboring airport. thus the 3 to 7 microphone clicks used by most of the subject lighting systems may interfere with and annoy those using another airport. The avoidance of these microphone clicks appears to be the primary reason why an airport operator selects a frequency not assigned at his airfield. Additionally, such frequency usage increases the potential for aircraft to activate the lighting systems of nearby airports as well as that of the intended airport.

5. Another disadvantage in employing a frequency not assigned to the particular airport is that the pilot must switch to a frequency other than that normally monitored when approaching or departing the airport. FAA as a standard practice recommends that approaching and departing aircraft monitor the appropriate radio facility when within 15 miles of the airport. This aural alertness is considered to enhance safety of flight. It would seem reasonable that aircraft utilize the frequency customarily monitored in the vicinity of a given airport to operate the airport's lights, or at a minimum use another frequency assigned at the airport in order to avoid interfering with or merely annoying those using another airport.

6. Therefore, we issued a Notice of Proposed Rule Making [2] proposing to amend the rules to permit aircraft stations to transmit brief keyed RF signals for the control of airport lights only on one of the authorized frequencies which is also assigned to a station at the concerned airport. In rare situations where an airport is without air-ground communications facilities utilizing any of the available frequencies, the use of one of the three available aviation instructional frequencies for system activation was proposed.

Comments

7. Comments were received from the National Business Aircraft Association (NBAA) representing more than 2000 member companies operating business aircraft, and the Aircraft Owners and Pilots Association (AOPA) representing more than 230,000 aircraft owners and pilots. No reply comments were filed.

8. Both NBAA and AOPA concurred with the proposed rulemaking. NBAA specifically based its concurrence on the potential enhancement of airport safety and the lessened possibility of aircraft operators accidently activating the lighting of neighboring airports. No other points for discussion were raised.

[1] Essentially, air traffic control frequencies, aeronautical advisory frequencies and aviation instructional frequencies may be used for control of airport lights by aircraft. Air traffic control frequencies are utilized for communications between aircraft and Federal Aviation Administration (FAA) facilities relating to the safe, orderly and expeditious movement of air traffic.

Aeronautical advisory frequencies provide for communications between private aircraft and non-government ground facilities (aeronautical advisory stations, also called unicoms) primarily concerning runway conditions, weather information, types of fuel available and on a secondary basis communications pertaining to efficient portal-to-portal transit, such as requests for ground transportation and food.

Aviation instructional frequencies are used for communications between aircraft and non-Government ground stations (aviation instructional stations) for the necessities of pilot training, and coordination of soaring and ballooning activities.

[2] PR Docket No. 79-186, adopted July 24, 1979, FCC 79-458, 44 FR 47118.

Commission Action

9. For the reasons indicated above and considering the favorable comments received, we are amending Section 83.183 of the rules as proposed. Aircraft stations will be permitted to transmit brief keyed RF signals for the control of airports lights only on specified frequencies which are also assigned to aeronautical stations located at the concerned airport. An ancilliary editorial change in Section 87.201 is also being made.

10. Regarding question on matters covered in this document contact Robert McNamara, (202) 632-7175.

11. Accordingly, IT IS ORDERED, That, under the authority contained in Sections 4(i) and 303(r) of the Communications Act of 1934, as amended, the Commission's rules ARE AMENDED as set forth in the attached Appendix, effective January 21, 1980.

12. IT IS FURTHER ORDERED, That this proceeding is terminated.

Federal Communications Commission.
(Secs. 4, 303, 48 Stat., as amended, 1066, 1082; 47 U.S.C. 154, 303.)
William J. Tricarico,
Secretary.

Appendix

Part 87 of Chapter I of Title 47 of the Code of Federal Regulations is amended as follows:

PART 87—AVIATION SERVICES

1. In Section 87.183 paragraph (cc) is amended to read as follows:

§ 87.183 Frequencies available.

* * * * *

(cc) Brief keyed RF signals (keying the transmitter by momentarily depressing the microphone "push-to-talk" button without voice or audio tone transmission) may be transmitted from aircraft for the control of airport lights on the frequencies specified below, provided the frequency is assigned to a station at the airport and no harmful interference is caused to voice communications:

(1) Any air traffic control frequency listed in § 87.183(i);

(2) Any air traffic control frequency or aeronautical advisory frequency listed in § 87.201 (b) or (c); and

(3) Any aviation instructional frequency (121.95, 123.3 and 123.5 MHz) listed in § 87.341.

In the event that no station utilizing any of the available frequencies is located at the concerned airport, aircraft may use one of the aviation instructional frequencies for the control of airport lights.

§ 87.201 [Amended]

2. The last paragraph in § 87.201(c), beginning with "In addition * * *," is deleted.

[FR Doc. 79-38542 Filed 12-14-79; 8:45 am]
BILLING CODE 6712-01-M

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47 CFR Part 97

[FCC 79-794]

Deletion of Permit Requirement for Canadian Amateurs Operating in the United States

AGENCY: Federal Communications Commission.

ACTION: Order.

SUMMARY: The Commission authorized Canadian amateurs to operate their amateur stations in the United States without requiring an operating permit issued by the United States. The 1952 treaty which established the U.S.-Canadian amateur reciprocal arrangement gives each country the option to require or not require such a permit. The Commission took this action in order to simplify licensing requirements in the Amateur Radio Service.

EFFECTIVE DATE: January 21, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.
FOR FURTHER INFORMATION CONTACT: Maurice J. DePont, Private Radio Bureau, (202) 254-6884.

SUPPLEMENTARY INFORMATION:

Adopted: December 4, 1979.
Released: December 12, 1979.

1. Since 1952, the United States and Canada have by treaty allowed amateurs of each country to operate their amateur radio stations in the other country under a special reciprocal permit procedure. (See TIAS No. 2508). The Commission has received a letter from Canadian officials seeking to modify the reciprocal arrangement to allow amateurs to operate their stations in the other country without requiring an operating permit. The treaty which governs the U.S.-Canadian reciprocal agreement, TIAS 2508, states in part, "Each visiting amateur *may* (emphasis ours) be required to register and receive a permit before operating any amateur station licensed by his government." It is therefore in the discretion of each country to forego the requirement of a permit.

2. We agree with the Canadian government that deletion of the permit requirement would be in the best interests of both countries. Often, amateur operators planning vacations abroad do not allow enough time for processing their permit application. Permits represent an unnecessary formality. The ostensible purpose for having a permit system is to maintain a data base on visting amateur operators to facilitate investigation of rule violations. However, the data on Canadian licensees will be available to us by consulting Canada's licensee lists. Enforcement efforts will not be affected by the deletion of the permit requirement since the number of rule violations committed by Canadian amateur licensees, operating in the United States, has been extremely small. Further, deletion of the permit requirement would be in keeping with the Commission's policy of deregulation and simplification of licensing procedures in the Amateur Radio Service. By this Order, we are deleting the requirement that Canadian amateur licensees obtain a permit before operating in the United States. A letter, by Direction of the Commission, will be sent to the administration in Canada and will constitute a working arrangement with Canada to recognize a similar privilege for American amateur licensees to operate in Canada.

3. In view of the foregoing, the Commission finds that amendment of Part 97 to allow Canadian Amateur licensees to operate without a permit is in the public interest, convenience and necessity. The specific rule amendments are set forth below. Authority for these amendments is contained in Sections 4(i) and 303 of the Communications Act of 1934, as amended, and Article III of TIAS 2508, Convention Between the United States of America and Canada Relating to the Operation by Citizens of Either Country of Certain Radio Equipment or Stations in the Other Country. Since the rule changes herein ordered serve the public interest by relieving an existing restriction, and further, since public comments, we believe, would be unlikely, we are dispensing with the prior notice and public procedure provisions of the Administrative Procedure Act as unnecessary, 5 U.S.C. 553(b). The effective date of the rule changes herein ordered is January 21, 1980, so that elimination of Amateur Reciprocal Permits will occur simultaneously in both the United States and Canada.

4. Accordingly, it is ordered, that Part 97 of the Commission's Rules is amended, effective January 21, 1980, as set forth below.

5. For further information on these rule changes contact Maurice J. DePont, (202) 254-6884.

(Secs. 4, 303, 48 Stat., as amended, 1066, 1082; 47 U.S.C. 154, 303.)

Federal Communications Commission.

William J. Tricarico,

Secretary.

Part 97 of Chapter I of Title 47 of the Code of Federal Regulations is amended, as follows:

1. In § 97.40, paragraph (a) is amended as follows:

§ 97.40 Station license required.

(a) No transmitting station shall be operated in the amateur radio service without being licensed by the Federal Communications Commission, except that an amateur radio station licensed by the Government of Canada may, in accordance with § 97.41, be operated in the United States without the prior approval of the Commission.

* * * * *

2. Section 97.41 is redesignated § 97.42, and a new § 97.41 is added, as follows:

§ 97.41 Operation of Canadian Amateur Stations in the United States.

(a) An amateur radio station licensed by the Government of Canada may be operated in the United States without the prior approval of the Federal Communications Commission.

(b) Operation of a Canadian amateur station in the United States must comply with all of the following:

(1) The terms of the Convention Between the United States and Canada (TIAS No. 2508) Relating to the Operation by Citizens of Either Country of Certain Radio Equipment or Stations in the Other Country. (See Appendix 4 to Part 97.)

(2) The operating terms and conditions of the amateur station license issued by the Government of Canada.

(3) The provisions of Subparts A through E of Part 97.

(4) Any further conditions the Commission may impose upon the privilege of operating in the United States.

(c) At any time the Commission may, in its discretion, modify, suspend, or cancel the privilege of any Canadian licensee operating an amateur radio station in the United States.

3. Sections 97.42 and 97.43 are redesignated §§ 97.43 and 97.44, respectively, and redesignated § 97.43 is revised to read as follows:

§ 97.43 Mailing address furnished by licensee.

Each application shall set forth and each licensee shall furnish the Commission with an address in the United States to be used by the Commission in serving documents or directing correspondence to that licensee. Unless any licensee advises the Commission to the contrary, the address contained in the licensee's most recent application will be used by the Commission for this purpose.

[FR Doc. 79-38561 Filed 12-14-79; 8:45 am]

BILLING CODE 6712-01-M

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47 CFR Part 97

[RM-2490; RM-2666; FCC 79-792]

Amateur Radio Service; Amending Rules Concerning Availability of Operator License

AGENCY: Federal Communications Commission.

ACTION: Memorandum Opinion and Order.

SUMMARY: The Commission grants a petition to allow an amateur radio operator to use a photocopy of an amateur license, while operating an amateur station. This action amends § 97.82 of the Amateur Radio Service, of the Commission's Rules and Regulations.

EFFECTIVE DATE: December 21, 1979.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Private Radio Bureau, Personal Radio Branch, Attorney Roy C. Howell, (202) 254-6884.

Adopted: December 4, 1979.

Released: December 12, 1979.

1. The Commission has under consideration two petitions requesting amendment of § 97.82 and § 97.83. The first petition, RM-2490, was filed on November 25, 1974 by Mr. Ronald K. Long. Subsequently, on March 1, 1976, Mr. Robert L. Bingham petitioned in RM-2666 for an identical amendment to the Amateur Radio Rules.

2. Petitioners' request that the rules be amended to remove the requirement of having only the original amateur radio operators' license (pursuant to § 97.82), and station license (pursuant to § 97.83) in the possession of the control operator of an amateur radio station. Petitioners' argument for amendment of § 97.83 to allow station operators to have a photocopy of their station license in their possession, while operating an amateur radio station, is moot; and, the reason is because § 97.83 presently allows this practice, i.e.

> The original license of each amateur station or a photocopy thereof shall be posted in a conspicuous place in the room occupied by the licensed operator while the station is being operated at a fixed location or shall be kept in his personal possession.

3. Petitioner, Mr. Robert L. Bingham, asserts that § 97.82 in its present form lacks any contemporary administrative justification, insofar as technological advancements have made this rule obsolete. According to petitioner (Mr. Bingham) § 97.82 was enacted during an era when portable or mobile radio operation was very minimum; and, therefore, amateur radio stations were generally at a fixed location. However, today with the advent of hand held portable units, transistorized mobile equipment, and the small QRP transceivers have made amateur radio operation away from a fixed location very easy.

Thus, as stated by petitioner (Mr. Bingham).

> The idea of hanging the license up on the wall above the station equipment is no longer the proper way to do it if you are one of those who practice one of these three types of operations away from home.

4. Petitioner, Mr. Ronald K. Long, argues that § 97.82 is unduly restrictive; and, with the widely increasing mobile operation of amateur radio stations, § 97.82 effectively requires that the original license be carried in the personal wallet or purse where it may easily become damaged or lost. Hence § 97.82 causes great inconvenience to the amateur radio operator while operating a portable amateur radio station. The only filed comment (filed by Mr. Philip A. Litchfield) likewise asserts that § 97.82 is unreasonably restrictive. The comment states,

> Continual carrying of the original soon makes the original illegible, subject to mutilation and possible loss, and thus requiring replacement of same.

5. The Commission finds merit in petitioners' proposals to amend § 97.82. The administrative intent of § 97.82 is to provide the Enforcement Division of the Field Operations Bureau ready availability of the amateur operators' license to aid enforcement purposes. The ready availability interest of § 97.82 is satisifed if amateur radio operators produce a photocopy of their original license to an enforcement official. The Commission fully understands and agrees with petitioners, that with the incidence of portable and mobile radio station operations, the requirement of an amateur radio operator to carry the original license may result in unnecessary damage or loss to the document during the five year life of the license.

6. Since no party would be adversely affected by the rule changes, and adverse public comments would be unlikely, we are dispensing with prior notice and public procedure provisions of the administrative Procedure Act as unnecessary, 5 U.S.C. 553(b). In view of the foregoing, it is ordered, effective December 21, 1979, that Part 97 of the Commission's Rules and Regulations is amended as shown below. Authority for this action is pursuant to Section 4(i) and 303 of the Communications Act of 1934, as amended. Further information about this action by the Commission may be obtained by contacting Roy C. Howell, Personal Radio Branch, Private Radio Bureau, FCC, 2025 M Street, NW., Washington, D.C. 20554, (202) 254-6884.

(Secs. 4, 303, 48 stat., as amended, 1066, 1082; 47 U.S.C. 154, 303)

Federal Communications Commission.

William Tricarico,

Secretary.

Part 97 of Chapter I of Title 47 of the Code of the Federal Regulations is amended as follows:

1. Section 97.82 is amended to read as follows:

§ 97.82 Availability of operator license.

Each amateur radio operator must have the original or a photocopy of his or her operator license in his or her personal possession when serving as the control operator of an amateur radio station. The original license shall be available for inspection by any authorized Government official upon request made by an authorized representative of the Commission, except when such license has been filed with application for modification or renewal thereof, or has been mutilated, lost or destroyed, and request has been made for a duplicate license in accordance with § 97.57.

[FR Doc. 79-38562 Filed 12-14-79; 8:45 am]

BILLING CODE 6712-01-M

DEPARTMENT OF TRANSPORTATION

Federal Railroad Administration

49 CFR Part 231

[Docket No. SA-3, Notice No. 5]

Railroad Safety Appliance Standards; Removal of Roof Running Boards From Box and Other House Cars

AGENCY: Federal Railroad Administration (FRA), Department of Transportation (DOT).

ACTION: Extension of compliance date.

SUMMARY: This notice amends § 231.1 of the Railroad Safety Appliance Standards to allow railroads three additional years to complete required removal of roof running boards from all freight cars. FRA has determined that this action will not adversely affect the safety of railroad employees and is necessary to avoid imposing an undue burden on railroads and shippers. This action is being taken in response to a petition submitted by the Association of American Railroads (AAR).

EFFECTIVE DATE: The amendment to Part 231 set forth in this document is effective December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Principal Program Person: Rolf Mowatt-Larssen (RRS-20), Office of Standards and Procedures, Federal Railroad Administration, Washington, D.C. 20590. Telephone 202-426-0924. Principal Attorney: Lawrence I. Wagner (RCC-30), Office of Chief Counsel, Federal Railroad Administration, Washington, D.C. 20590. Telephone 202-426-8836.

SUPPLEMENTARY INFORMATION

Background

In response to a petition filed by the Association of American Railroads (AAR), the Federal Railroad Administration (FRA) is extending for three years, to December 31, 1982, the period allowed for the completion of the removal of roof running boards and related changes in the safety appliances on box and other house cars.

The period for completion of these tasks is prescribed in a note to § 231.1 (49 CFR 231.1) of the Safety Appliance Standards. The note now requires that these tasks be completed by December 31, 1979. The freight cars that must be so modified are box and other house cars, such as refrigerator cars and covered hopper cars, which were constructed on or before April 1, 1966 or were under construction on that date and were placed in service prior to October 1, 1966. The modifications required by this provision are intended to bring these freight cars into conformity with the provisions of § 231.27 or § 231.28 (49 CFR 231.27, 231.28).

On July 17, 1979, the AAR advised that there will be almost 60,000 unmodified cars in service at the end of 1979. This represents approximately eight percent of the 714,000 cars requiring modification when this program began. The present financial and operating conditions of the railroads, including the high demand for the affected cars in revenue service, are cited by AAR as reasons for granting of a three year extension. AAR also notes that since carrier operating rules prohibit employees from riding or walking upon the roof of any moving freight car, the safety of operating personnel will not be jeopardized by this extension of time. The requested three year extension will in AAR's view provide sufficient time to complete the modification program and prevent the adverse impact on freight car supply which would otherwise occur.

FRA has independently assessed the AAR petition and concludes that a three year extension is warranted. In 1966, when this regulatory provision was initially adopted, the national freight fleet numbered approximately 1,826,000 cars. A sizable portion of that fleet, approximately 714,000 cars, required modification pursuant to this provision in order to remain in service. About 60,000 of these cars still require modification if they are to remain in service. In view of the efforts of the railroads to modify this equipment to comply with Section 231.27 or Section 231.28, FRA believes that sufficient progress has been made to permit an additional three year period for the completion of this modification program.

Other factors influencing FRA's decision are the recognition that it becomes increasingly more difficult for railroads to locate unmodified cars as their numbers decrease and that many of the remaining cars will be retired or rebuilt within the three year extension period.

Although the modification effort has taken much longer than previously anticipated, FRA does not have any accident data which suggests that the extension would in any way jeopardize safety. A review of the accident data for the last seven years, the period between January 1971 and December 1977, does not link unmodified roof running boards with any accidents involving on duty railroad employees.

Economic Impact

FRA has determined that this amendment does not contain a significant regulatory proposal. Therefore, a regulatory analysis under Executive Order 12044 is not required (E. O. 12044, 43 FR 12661, March 24, 1978).

In addition, FRA has evaluated this amendment in accordance with the Department of Transportation's Regulatory Policies and Procedures (44 FR 11034, February 26, 1979). Since this amendment merely provides additional time to accomplish a required modification program, it will not alter in any significant fashion the costs or benefits associated with the existing regulatory provision. Therefore, the FRA has determined that this amendment will have such a minimal regulatory impact that further evaluation of this regulation is not necessary.

Environmental Impact

On March 16, 1979, the FRA published (44 FR 16082) revised procedures for insuring full consideration of the environmental impacts of FRA actions

as required by the National Environmental Policy Act ("NEPA", 42 U.S.C. 4321 *et seq.*), the Department of Transportation Act ("DOT Act", 49 U.S.C. 1651 *et seq.*), other environmental statutes, Executive orders, and DOT Order 5610.113.

These FRA procedures require that an "environmental assessment" be performed prior to all major FRA actions. The procedures contain a provision that enumerates seven criteria which, if met, demonstrate that a particular action is not a "major" action for environmental purposes. These criteria involve diverse factors, including environmental controversiality; the availability of adequate relocation housing; the possible inconsistency of the action with Federal, State, or local law; the possible adverse impact on natural, cultural, recreational, or scenic environments; the use of properties covered by section 4(f) of the DOT Act; and the possible increase in traffic congestion. This amendment meets the seven criteria that establish an action as a non-major action. Accordingly, the FRA has determined that the amendment of Part 231, Safety Appliance Standards, does not constitute a major FRA action requiring an environmental assessment.

FRA is issuing this amendment without prior public notice under the specific authority contained in the Administrative Procedure Act (5 U.S.C. 553(b)(3)(B). This amendment, which becomes effective immediately upon publication in the **Federal Register**, imposes no additional regulatory burden and is being accomplished solely to respond to the problem being encountered by various railroads in completing the modification program within the time constraint of the existing regulatory provision. Based on the available data, this amendment will not serve to impair the safety of railroad employees or the general public. Accordingly, FRA has determined that prior notice and public proceedings are unnecessary.

Final Rule

In consideration of the foregoing, Part 231 of Title 49 of the Code of Federal Regulations is amended by substituting "December 31, 1982" for "December 31, 1979" in the note to Section 231.1 as follows:

§ 231.1 Box and other house cars.

* * * * *

Note.—After December 31, 1982, cars of this type built on or before April 1, 1966, or under construction prior to that date and placed in service before October 1, 1966, must be equipped as nearly as possible with the same complement of safety appliances, depending upon type, as specified in § 231.27 for box and other house cars without roof hatches, or in § 231.28 for box and other house cars with roof hatches. Cars built after April 1, 1966, or under construction prior thereto and placed in service after October 1, 1966, must be equipped, depending upon type, as specified in § 231.27 for box and other house cars without roof hatches, or in § 231.28 for box and other house cars with roof hatches.

Authority: Safety Appliance Acts, 45 U.S.C. 2, 4, 6, 8, 10, 11–16, as amended, 49 U.S.C. 1655(e); and Section 1.49(n) of the Regulations of the Office of the Secretary of Transportation, 49 CFR 1.49(n).

Issued in Washington, D.C. on December 10, 1979.

John M. Sullivan,

Administrator.

[FR Doc. 79-38437 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-06-M

National Highway Traffic Safety Administration

[Docket No. 79–01; Notice 4]

49 CFR Part 571

Federal Motor Vehicle Safety Standards; New Pneumatic Tires for Passenger Cars

AGENCY: National Highway Traffic Safety Administration (NHTSA), Department of Transportation.

ACTION: Final rule.

SUMMARY: Pursuant to petitions by the Rubber Manufacturers Association (RMA) and the European Tyre and Rim Technical Organisation (ETRTO), this notice amends Federal Motor Vehicle Safety Standard No. 109, *New Pneumatic Tires—Passenger Cars,* by adding certain tire size designations to Appendix A of that standard. This amendment permits the introduction into interstate commerce of the new tire sizes.

EFFECTIVE DATE: January 16, 1980, if objections are not received before that date.

ADDRESSES: Comments should refer to Docket No. 79–01 and be submitted to Docket Section, Room 5108, 400 Seventh Street, S.W., Washington, D.C. 20590. (Docket hours 8 a.m. to 4 p.m.)

FOR FURTHER INFORMATION CONTACT: John Diehl, Office of Automotive Ratings, National Highway Traffic Safety Administration, 400 Seventh Street, S.W., Washington, D.C. 20590. (202–426–1714)

SUPPLEMENTARY INFORMATION: According to agency practice, the National Highway Traffic Safety Administration (NHTSA) responds to petitions for adding new tire sizes to Table I of Appendix A of Standard No. 109 by quarterly issuing final rules under an abbreviated rulemaking procedure for expediting such routine amendments. Guidelines for this procedure were published at 33 FR 14964; October 5, 1968, and amended at 36 FR 8298; May 4, 1971; 36 FR 13601; July 22, 1971; and 39 FR 28980; August 13, 1974. These guidelines provide that these final rules become effective 30 days after their date of publication if no comments objecting to them are received by NHTSA during this 30 day period. If objections are received, regular rulemaking procedures for issuing and amending motor vehicle safety standards are initiated.

On July 9, 1979, RMA petitioned for the addition of a new tire size to an existing table with Table I of Appendix A of Standard No. 109. RMA also petitioned on September 14, September 18, and September 20 for the addition of three other tire sizes to existing tables in Table I. ETRTO petitioned for the addition of two new tire sizes to existing tables on July 16, 1979. The bases for accepting or denying requests to add new tire size designations are set forth in the introductory guidelines to Appendix A. Briefly, the tests are the appropriateness of the information submitted for inclusion in the tire tables, and the appropriateness of the requested location within the tables of the requested tire sizes. The six new tire size designations requested to be added to Standard No. 109 appear to meet these criteria. Accordingly, the RMA and ETRTO petitions are granted, and six new tire sizes are added to Table I of Appendix A of the Standard pursuant to the abbreviated rulemaking procedure.

In consideration of the foregoing, 49 CFR § 571.109 is amended as specified below, subject to the 30 day comment period outlined above:

§ 571.109 New pneumatic tires—passenger cars [Appendix amended].

In Tables I–R, I–S, I–KK, I–LL, and I–WW, the following new tire size designations and corresponding values are added:

BILLING CODE 4910-59-M

TABLE I - R

TIRE LOAD RATINGS, TEST RIMS, MINIMUM SIZE FACTORS, AND SECTION WIDTHS FOR "60 SERIES" RADIAL PLY TIRES

Tire size 1/ designation	MAXIMUM TIRE LOADS, (pounds) at various cold inflation pressures (psi)										Test rim width (inches)	Minimum size factor (inches)	Section width 2/ (inches)
	16	18	20	22	24	26	28	30	32	34	36	38	40			
CR60-14	840	890	950	1000	1050	1100	1140	1190	1230	1270	1320	1360	1400	6	32.10	8.45

1/ The letters 'H,' 'S,' or 'V' may be included in any specified tire size designation adjacent to the 'R.'

2/ Actual section and overall width shall not exceed the specified section width by more than 7 percent.

TABLE I - S

TIRE LOAD RATINGS, TEST RIMS, MINIMUM SIZE FACTORS, AND SECTION WIDTHS FOR "60 SERIES" RADIAL PLY TIRES

Tire size 1/ designation	MAXIMUM TIRE LOADS, (pounds) at various cold inflation pressures (psi)										Test rim width (inches)	Minimum size factor (inches)	Section width 2/ (inches)
	16	18	20	22	24	26	28	30	32	34	36	38	40			
225/60R13	870	930	985	1040	1090	1140	1190	1235	1280	1325	1365	1410	1450	6 1/2	32.02	8.98
225/60R14	925	985	1045	1105	1160	1210	1260	1310	1360	1405	1450	1495	1540	6 1/2	33.02	8.98

1/ The letters "H," "S," or "V" may be included in any specified tire size designation adjacent to the "R."

2/ Actual section width and overall width shall not exceed the specified section width by more than 7 percent.

TABLE I - LL

TIRE LOAD RATING, TEST RIMS, MINIMUM SIZE FACTORS AND SECTION WIDTHS FOR T-TYPE SERIES 60 PSI

Tire size 1/ designation										Test rim width (inches)	Minimum size factor (inches)	Section 2/ width (inches)
T155/90D16				60 psi 2335						4	32.68	6.18

1/ The letters "D" for diagonal and "B" for bias belted may be used in place of the "R."

2/ Actual section width and overall width shall not exceed the specified width by more than the amount specified in S4.2.2.2.

TABLE I - KK

TIRE LOAD RATING, TEST RIMS, MINIMUM SIZE FACTORS AND SECTION WIDTHS FOR 'P/60' SERIES ISO TYPE TIRES

Tire size 1/ designation	Maximum tire loads (kilograms) at various cold inflation pressures (kPa)									Test rim width (inches)	Minimum size factor (mm)	Section 2/ width (mm)
	120	140	160	180	200	220	240	260	280			
P195/60R14	365	395	420	445	470	495	515	540	560	5	773	196

1/ The letters "D" for diagonal and "B" for bias belted may be used in place of the "R."

2/ Actual section width and overall width shall not exceed the specified width by more than the amount specified in S4.2.2.2.

TABLE I - WW

TIRE LOAD RATING, TEST RIMS, MINIMUM SIZE FACTORS AND SECTION WIDTHS FOR 'P/65' SERIES ISO TYPE TIRES

Tire size 1/ designation	Maximum tire loads (kilograms) at various cold inflation pressures (kPa)									Test rim width (inches)	Minimum size factor (mm)	Section 2/ width (mm)
	120	140	160	180	200	220	240	260	280			
P185/65R14	360	390	415	440	465	485	510	530	550	5	767	184

1/ The letters "D" for diagonal and "B" for bias belted may be used in place of the "R."

2/ Actual section width and overall width shall not exceed the specified width by more than the amount specified in S4.2.2.2.

BILLING CODE 4910-59-C

Interested persons are invited to submit comments on these additions. Comments must be limited so as not to exceed 15 pages in length. Necessary attachments may be appended without regard to the 15 page limit. This limitation is intended to encourage commenters to detail their primary comments in a concise fashion. Those persons desiring to be notified upon receipt of their comments in the rules docket should enclose a self-addressed, stamped postcard in the envelope with their comments. Upon receiving the comments, the docket supervisor will return the postcard by mail.

The agency has reviewed the impacts of this rule, and determined that permitting the introduction of the tire sizes will benefit those manufacturers desiring to produce the sizes and will have no effect on those manufacturers who do not. The public will be minimally affected by this rule. Accordingly, NHTSA has determined that this is not a significant regulation within the meaning of Executive Order 12044.

The program official and attorney principally responsible for the development of this rule are John Diehl and Stephen Kratzke, respectively.

Authority: Secs. 103, 119, 201, and 202, Pub. L. 89-563, 80 Stat. 718 (15 U.S.C. 1392, 1407, 1421, and 1422); delegations of authority at 49 CFR 1.50 and 49 CFR 501.8.

Issued on December 7, 1979.

Michael M. Finkelstein,

Associate Administrator for Rulemaking.

[FR Doc: 79-38438 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-59-M

INTERSTATE COMMERCE COMMISSION

49 CFR Part 1121

[Ex Parte No. 274 (Sub-No. 4)]

Abandonment Procedures for Bankrupt Railroads

AGENCY: Interstate Commerce Commission.

ACTION: Final rule.

SUMMARY: These regulations set out special procedures to be followed by bankrupt railroads proposing to abandon a line of railroad. These regulations are being adopted so that the Commission will have sufficient information available to prepare a report for the bankruptcy court required by 11 U.S.C. 1170 and sections 5 and 17 of the Milwaukee Railroad Restructuring Act, Pub. L. No. 96-101 (1979).

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Michael Erenberg (202) 275-7245.

SUPPLEMENTARY INFORMATION: On November 6, 1978, Congress enacted the Bankruptcy Law Revision Act, Pub. L. No. 95-598 (1978), to amend Title 11 of the United States Code dealing with bankruptcies. In amending the Bankruptcy Act, Congress altered the procedures for a bankrupt railroad to abandon a line of railroad.

Under former section 77(c)(6) of the old Bankruptcy Act, a railroad was required to comply with the provisions of 49 U.S.C. 10903 *et seq.*, before it could abandon a line. Additionally, the bankruptcy judge could only authorize the abandonment of a line of railroad after approval and authorization by the Commission. *See* former section 77(o) of the Bankruptcy Act. This procedure has been drastically altered by 11 U.S.C. 1170.

The Commission's role under 11 U.S.C. 1170 is essentially that of an advisor. The trustee of the bankrupt railroad is required to initiate an appropriate application for abandonment with the Commission. The Bankruptcy court may then fix a time within which the Commission shall report to the bankruptcy court on the abandonment application. See 11 U.S.C. 1170(b). Hence, the Commission's role has been altered from that of adjudicator to that of consultant to the bankruptcy court.

On November 4, 1979, the Milwaukee Railroad Restructuring Act, Pub. L. No. 96-101 (1979) became law. Its purpose, as pertinent, is to provide for the orderly restructuring of the Milwaukee Railroad, and for the protection of the employees of that railroad. Section 5(a)(1) of the Milwaukee Railroad Restructuring Act (MRR) provided that upon the occurrences of an event specified in MRR, the bankruptcy court may authorize the abandonment of lines of the Milwaukee Railroad pursuant to 11 U.S.C. 1170. In the event of a proposed Milwaukee Railroad abandonment, the Commission's responsibilities are the same as under the Bankruptcy Act.

Under section 17(a) of the MRR, the bankruptcy court may authorize the abandonment of lines of railroad pursuant to 11 U.S.C. 1170 for any case pending under section 77 of the Bankruptcy Act on the date of enactment of the MRR. Again, the Commission's responsibility is to prepare a report for the bankruptcy court. However, under the MRR, the Commission report must be prepared in such a time as the appropriate bankruptcy court might prescribe. For example, the Milwaukee bankruptcy court has indicated that it will seek Commission advice on no more than 120 days notice.

Because we have a responsibility to prepare reports for the bankruptcy court on proposed abandonments, we are developing these special procedures to be followed by bankrupt railroads proposing abandonment. These procedures will be codified as Subpart F of 49 CFR Part 1121. These procedures draw heavily from our regular abandonment procedures. However, there are some key differences which we have incorporated in order to perform better our function under 11 U.S.C 1170.

Since we are operating under 11 U.S.C. 1170, and not 49 U.S.C. 10903 et seq., we will not require bankrupt railroads filing for abandonment to comply with the requirements of prefiling system diagram map notice, and publication and posting of notice. Additionally, since we no longer have authority to consider offers of financial assistance to continue rail service or public use of right-of-way, we will not require evidence on those two issues.

We have modified the information which is required in a normal abandonment application. This information is drawn from 49 CFR 1121.32. We have reduced this information so that it will apply to the current condition of a bankrupt railroad. The time for which financial information is required has been reduced, and the bankrupt railroad will be required to file sworn statements in support of its proposal.

In order to obtain a balanced view of the proposed abandonment, we are giving parties an opportunity to comment on the proposed abandonment. They will have 30 days from the date we receive an application to file their comments in the form of sworn statements. *Any* comments which are not in this format or which are not timely filed will not be considered.

Section 19 of the MRR exempted transactions under its provisions from the National Environmental Policy Act. Therefore, for applications filed pursuant to the MRR, that is filed by railroads that were bankrupt on or before November 4, 1979, we will not require the filing of any environmental information.

Based on the information supplied, we shall prepare a report for the appropriate bankruptcy court. We do not intend to hold hearings in any abandonment case involving a bankrupt railroad. That is within the jurisdiction of the bankruptcy court.

We are adopting these procedures as final rules. The deadlines designated by

the MRR do not afford us sufficient time to request comments on these procedures.

The MRR requires that abandonment requests by bankrupt railroads be considered under the procedures of 11 U.S.C. § 1170. That section requires the filing of an "appropriate application" with the Commission. As section 1170 does not require the Commission to provide notice or hearing prior to determining the contents of an "appropriate application", we need not provide such notice and hearing except to the extent required by the Administrative Procedure Act (APA) or due process.

Our adoption of these procedures without public proceedings comports both with the APA and with the fundamental concepts of due process. Section 553(b)(B) of the APA establishes the following exemption from the general notice and comment requirements of the rulemaking process:

5 U.S.C. 553: Rule Making—(b) * * * Except when notice or hearing is required by statute, this subsection does not apply * * * (B) when the agency for good cause finds (and incorporates the finding and a brief statement of the reasons therefor in the rules issued) that notice and public procedure thereon are impracticable, unnecessary, or contrary to the public interest.

Under section 17(a) of the MRR, the bankruptcy court may impose deadlines on the Commission. By an order served November 21, 1979, the Milwaukee bankruptcy court indicated that it wanted reports in some cases by January 10, 1980; in other cases by March 1, 1980; and in newly filed cases, no later than 120 days after filing. It is impracticable for us to request public comments prior to determining the contents of an "appropriate application", when such an application can be filed imminently.

The procedures contained in this notice are a distillation of the ICC's existing abandonment regulations. See *Abandonment of Railroad Lines and Discontinuance of Service*, 49 CFR Part 1121 (1978). We have reduced the information required to that which is necessary to prepare a report to the bankruptcy court under 11 U.S.C. 1170. In adopting these procedures, we have used our expertise in the area of rail abandonments and railroad reorganization, and we have considered our responsibilities under the MRR and 11 U.S.C. 1170. Since these abandonment procedures are based on our existing regulations, public proceedings are unnecessary and would only delay our ability to implement urgently needed procedures for handling abandonment requests filed pursuant to the MRR and 11 U.S.C. 1170.

Additionally, adoption of these procedures would not be contrary to the public interest since the public has already fully commented on our existing abandonment regulations (see *Abandonment of R. Lines & Discontinuance of Serv.*, 354 I.C.C. 129 (1976)) and since the MRR represents a clear Congressional response to the difficulties plaguing bankrupt rail carriers.

Accordingly, we are making these procedures effective immediately. In normal circumstances, we would delay the effectiveness of such procedures for 30 days pursuant to 5 U.S.C. 553(d). However, in view of the pending rail situation in the midwest and the Congressional intent behind the MRR, there is good cause here to make these procedures effective immediately. *See* 5 U.S.C. 553(d)(3).

These regulations are issued under the authority of 49 U.S.C. 10903 et seq., 11 U.S.C. 1170, and sections 5 and 17 of Pub. L. No. 96–101.

The attached appendix contains the procedures to be followed by a bankrupt railroad seeking abandonment.

We find:

(1) For good cause found, notice and public procedure thereon are impracticable, unnecessary, and contrary to the public interest.

(2) This action will not significantly affect either the quality of the human environment or conservation of energy resources.

Decided: December 3, 1979.

By the Commission, Chairman O'Neal, Vice Chairman Stafford, Commissioners Gresham, Clapp, Christian, Trantum, Gaskins, and Alexis. Chairman O'Neal absent and not participating.

Agatha L. Mergenovich,

Secretary.

Appendix

PART 1121—ABANDONMENT OF RAILROAD LINES AND DISCONTINUANCE OF SERVICE

Accordingly, Part 1121 is amended as follows:

Subpart E is reserved as follows:

Subpart E—[Reserved]

Subpart F is added to read as follows:

Subpart F—Abandonment Procedures for Bankrupt Railroads

Sec.

1121.60 Filing and service requirements.
1121.61 Contents of the application.
1121.62 Responses to the application.
1121.63 Report of the Commission.

Authority: 49 U.S.C. 10903 et seq., 11 U.S.C. 1170, and sections 5 and 17 of Public Law No. 96–101.

Subpart F—Abandonment Procedures for Bankrupt Railroads

§ 1121.60 Filing and Service Requirements.

(a) The application for abandonment shall be filed with the Commission at the same time the proposal to abandon is presented to the Bankruptcy Court.

(b) An original and six copies of the application, typewritten or printed on paper approximately 8½ inches by 11 inches with 1½ inch left margin shall be filed with the Secretary of the Interstate Commerce Commission, Washington, D.C. 20423. The original shall bear the date and signature of the officer or other person authorized to file the application, and shall be complete in itself. The signature may be stamped or typed and the notarial seal may be omitted on the copies. A check or money order payable to the Interstate Commerce Commission must also be submitted to cover the applicable filing fee.

(c) Service. Concurrent with the filing of an application with the Commission, a copy of the application shall be served on all parties entitled to receive notice under 49 CFR 1121.30.

§ 1121.61 Contents of the Application.

Applications filed by bankrupt railroads concerning the abandonment of railroad lines or the discontinuance of rail service shall contain the following information and each paragraph (a) through (i) of this section shall be attested to by a person having personal knowledge of the matters contained therein:

(a) *General.* (1) Exact name of applicant.

(2) Whether applicant is a common carrier by railroad subject to the Interstate Commerce Act.

(3) Whether the carrier which owns or operates the line of railroad to be abandoned or over which service is to be discontinued is a part of any railroad system.

(4) Relief sought (abandonment of line or discontinuance of service).

(5) Detailed map of the subject line on a sheet not larger than 8 x 10½ inches, drawn to scale, and with the scale shown thereon. The map must show, in clear relief, the exact location of the rail line to be abandoned or over which service is to be discontinued and its relation to other rail lines in the area, highways, water routes, and population centers.

(6) Detailed statement of reasons for filing application.

(7) Name, title, address, and telephone number of the representative of applicant to whom correspondence should be sent.

(8) A statement that a response to the application may be submitted to the Commission within 30 days, and must conform to 49 CFR 1121.62.

(9) Certificate of service.

(b) *Condition of properties.* (1) The present physical condition of the line including any operating restrictions and estimate of deferred maintenance and rehabilitation costs (e.g., number of ties that need replacing, miles of rail that need replacing and/or new ballast, bridge repairs or replacement needed, and estimated labor expenses necessary to upgrade the line to minimum Federal Railroad Administration Class I safety standards). The bases for the estimates shall be stated with particularity, and workpapers shall be made available upon request of the Commission or any interested persons.

(2) Statement whether the line, or any portion of line, could be operated profitably if necessary deferred maintenance and rehabilitation were performed.

(c) *Service provided.* Describe service performed on the line during the most recent full calendar year for which information is available, and that part of the current year for which information is available. This should include: (1) Number of trains operated and their frequency; (2) Miles of track operated (include main line and all railroad-owned sidings); (3) Average number of locomotive units operated; (4) Carload commodity group tonnage on the line; (5) Overhead or bridge traffic by carload commodity group tonnage (include detailed information on overhead or bridge traffic to be retained by the carrier); (6) Average crew size; (7) Level of maintenance; (8) Any important changes in train service undertaken in the 5 calendar years immediately preceding the filing of the application; and (9) Reasons for decline in traffic, if any, in the best judgment of applicant.

(d) *Revenue and cost data.* (1) Computation of the revenues attributable, avoidable costs and reasonable return on value for the line to be abandoned for the most recent full calendar year (to the extent such branch level data is available), in accordance with the methodology prescribed in § 1121.46, as Exhibit 1.

(2) If the line to be abandoned or over which service is to be discontinued is less than the entire mileage owned or operated by the carrier, a detailed statement showing the effect of the proposed abandonment or discontinuance on its net railway operatting income for the calendar year immediately preceding the filing of the application and for that part of the current year for which information is available.

(3) If the line to be abandoned or over which service to be discontinued is operated as a part of a system under common control and management, a detailed statement showing the effect of the proposed abandonment or discontinuance on the net railway operating income of the other individual members of the system for the calendar year immediately preceding the filing of the application and for that part of the current year for which information is available.

(e) *Service area.* (1) The name and population (identify source and date of figures) of each community in which a station on the line is located.

(2) Identification of significant users, as defined in § 1121.11(m), by name, address, principal commodity, and by tonnage and/or carloads for that part of the current year and the previous calendar year for which information is available.

(3) Detailed description of the alternate sources of transportation service (rail, motor, water, air) available, including a detailed description and nature of operations, and the highway network in the proximate area.

(4) Statement of efforts which have been made to continue service through solicitation of additional traffic, and the sale or subsidy of the line and the results of those efforts.

(f) *Environmental and energy impact.* The applicant shall submit as a part of its abandonment or discontinuance application full and complete information with regard to the environmental impact of the proposed abandonment or discontinuance in compliance with 49 CFR 1106 and 1108.12 (b) and (c). If certain information required by the environmental regulations duplicates wholly or in part information required elsewhere in an abandonment or discontinuance application, the environmental information requirements may be met by a direct and specific reference to the location of the required information elsewhere in the abandonment or discontinuance application. Environment information should not be submitted for those cases covered by the Milwaukee Railroad Restructuring Act, Pub. L. No. 96–101 (1979).

(g) *Passenger service.* If passenger service is provided on the line, submit a statement of whether appropriate steps have been taken for discontinuance pursuant to 49 U.S.C. 10908 and 10909.

(h) All testimony considered necessary to support the proposal shall be filed with the application in the form of verified statements.

(i) *Verification.* The original application shall be executed and verified in the form set forth below by an officer of the carrier having knowledge of the facts and matters relied upon.

Verification

State of _____ ss. County of _____

_____ (Name of affiant) makes oath and says that he is the _____ (Title of Affiant) of the _____ (Name of applicant) applicant herein; that he has been authorized by the applicant (or as appropriate, a court) to verify and file with the Interstate Commerce Commission the foregoing application in AB– _____ (Sub-No. _____); that he has carefully examined all of the statements in the application as well as the exhibits attached thereto and made a part thereof; that he has knowledge of the facts and matters relied upon in the application; and that all representations set forth therein are true and correct to the best of his knowledge, information, and belief.

_____
(Signature)

Subscribed and sworn to before me _____ in and for the State and County above named, this _____ day of _____, 19—.

_____
My commission expires

_____

§ 1121.62 Responses to the application.

(a) *Filing.* The original and six copies of responses to the application shall be filed with the Commission within 30 days of the filing of the application. A copy of each response shall be concurrently served on the carrier and Bankruptcy Court. A certificate of service shall accompany the response.

b. *Verification.* Each response shall be verified.

State of _____ ss. County of _____

_____ (Name of affiant) makes oath and says that he has been authorized to verify and file with the Interstate Commerce Commission the foregoing response in AB– _____ (Sub-No. _____), that he has carefully examined all of the statements in the response; that he has knowledge of the facts and matters relied upon; and that all representations set forth are true and correct to the best of his knowledge, information, and belief.

_____
(Signature)

Subscribed and sworn to before me _____ in and for the State and County above named, this _____ day of _____, 19—.

_____
My commission expires

_____

(c) *Warning.* The Commission will not consider untimely, unserved, or unverified responses.

§ 1121.63 Report of the Commission.

The Commission, or designee thereof, shall prepare a report for the Bankruptcy Court within the time allotted by the Court pursuant to 11 U.S.C. 1170. The Commission report shall rely on the application and responses.

[FR Doc. 79-38511 Filed 12-14-79; 8:45 am]

BILLING CODE 7035-01-M

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

50 CFR Part 652

Atlantic Surf Clam and Ocean Quahog Fisheries; Closure of Surf Clam Fishing Area

AGENCY: National Oceanic and Atmospheric Administration/ Commerce.

ACTION: Final rulemaking.

SUMMARY: This document provides notice of the closure of an area of the fishery conservation zone (FCZ) offshore of Ocean City, Maryland to surf clam fishing because of the predominance of small (less than 4½ inches) surf clams. The area being closed is approximately 25 square miles. It is located between six and ten nautical miles directly offshore of Ocean City, Maryland.

This action is taken based on reports of commercial fishermen and scientific researchers which indicate that the surf clams in this area are generally under 4½ inches. Therefore, the area falls within the criteria governing closure.

EFFECTIVE DATE: December 15, 1979.

FOR FURTHER INFORMATION CONTACT: Allen E. Peterson, Jr., Regional Director, Northeast Region, National Marine Fisheries Service, 14 Elm Street, Gloucester, Massachusetts 01930, Telephone: (617) 281-3600.

SUPPLEMENTARY INFORMATION: Regulations implementing the fishery management plan for the Atlantic surf clam and ocean quahog fisheries contain provisions for the closure of areas which contain beds of small surf clams. Section 652.8(b) allows the Regional Director to close an area to surf clam fishing if he determines (based on logbook entries, processors' reports, survey cruises, or other information) that the area contains surf clams of which 60 percent or more are smaller than 4½ inches in size and not more than 15 percent are larger than 5½ inches in size.

Since the beginning of this year, numerous fishermen and processors of surf clams have indicated that large numbers of small surf clams were present in areas offshore of Ocean City, Maryland. A special study was conducted in August and September to locate and define the area where small clams predominate. The study delineated an area within which the surf clam size distribution meets the criteria for closure under provisions of § 652.8 of the regulations. According to the study, a weighted average of 88 percent of the surf clams within the area are under 4½ inches. Therefore, the area meets the criteria for closure.

On November 1, 1979, a public hearing was held in Ocean City, Maryland to determine the social and economic effects of the proposed closure. Those in attendance strongly supported the need for closure of the area. It appears that, while the area has yielded significant harvests of surf clams recently, no harvesting activity has been undertaken in the area for the last several months. Therefore, the social and economic impact of closing the area is expected to be negligible.

The area being closed is approximately 25 square miles. It is located between six and ten nautical miles offshore of Ocean City, Maryland, and is defined as follows: Beginning at a point at 74°57′ W. longitude and 38°17′ N. latitude; thence northeasterly in a straight line to 74°51′ W. longitude and 38°20.5′ N. latitude; thence southeasterly in a straight line to 74°48.5′ W. longitude and 38°19′ N. latitude; thence southwesterly in a straight line to 74°51′ W. longitude and 38°12.5′ N. latitude; thence northwesterly in a straight line to 74°57′ W. longitude and 38°17′ N. latitude, the point of beginning.

The corners of the area are also *approximated* by loran "C" bearings. Overlay on National Ocean Survey chart 12211. The bearings are, respectively, 52540-70430; 52470-70420; 52470-70435; 52540-70465. Fishermen are cautioned that these loran "C" bearings are provided for their convenience only; the legally closed area which will be enforced is that area described by the latitude and longitude coordinates above.

Surveys of the closed area will be conducted periodically to monitor the growth of the surf clams. Based upon the data of the surveys, the Regional Director will determine when the area may be reopened to fishing.

Signed at Washington, D.C., this 12th day of December, 1979.

Winfred H. Meibohm,

Executive Director, National Marine Fisheries Service.

[FR Doc. 79-38690 Filed 12-13-79; 2:22 pm]

BILLING CODE 3510-22-M

Proposed Rules

Federal Register
Vol. 44, No. 243
Monday, December 17, 1979

This section of the FEDERAL REGISTER contains notices to the public of the proposed issuance of rules and regulations. The purpose of these notices is to give interested persons an opportunity to participate in the rule making prior to the adoption of the final rules.

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

14 CFR Part 39

[Docket No. 19842]

Airworthiness Directives; British Aerospace, Aircraft Group (Formerly British Aircraft Corp.) Model BAC 1-11 200 and 400 Series Airplanes

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of proposed rule making.

SUMMARY: This notice proposes to adopt an Airworthiness Directive (AD) that would require inspection for cracks or corrosion and repair as necessary of the lower fuselage skin in the area covered by the forward and rear underwing fairings on British Aerospace, Aircraft Group, Model BAC 1-11 200 and 400 series airplanes. This AD is needed to prevent cracks which could result in cabin depressurization and is required to protect the structural integrity of the pressure vessel.

DATES: Comments must be received on or before February 15, 1980.

ADDRESSES: Comments on this proposal may be mailed in duplicate to: Federal Aviation Administration, Office of the Chief Counsel, Attn: Rules Docket (AGC-24) Docket No. 19842, 800 Independence Avenue, S.W., Washington, D.C. 20591, or delivered in duplicate to: Room 916, 800 Independence Avenue, S.W., Washington, D.C. 20591.

Comments delivered must be marked: Docket No. 19842. Comments may be inspected at Room 916 between 8:30 a.m. and 5:00 p.m. The applicable service bulletin may be obtained from: British Aerospace, Inc., Box 17414, Dulles International Airport, Washington, D.C. 20041.

A copy of the service bulletin is contained in the Rules Docket, Room 916, 800 Independence Avenue, S.W., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT: D. C. Jacobsen, Chief, Aircraft Certification Staff, AEU-100, Europe, Africa and Middle East Region, Federal Aviation Administration, c/o American Embassy, Brussels, Belgium, Telephone: 513.38.30, or C. Christie, Chief, Technical Standards Branch, AWS-110, Federal Aviation Administration, 800 Independence Avenue., S.W., Washington, D.C. 20591, Telephone: 202-426-8374.

SUPPLEMENTARY INFORMATION: Interested persons are invited to participate in the making of the proposed rule by submitting such written data, views, or arguments as they may desire. Communications should identify the regulatory docket number and be submitted in duplicate to the address specified above. All communications received on or before the closing date for comments will be considered by the Administrator before taking action upon the proposed rule. The proposals contained in this notice may be changed in the light of comments received. All comments will be available, both before and after the closing date for comments, in the Rules Docket for examination by interested persons. A report summarizing each FAA-public contact, concerned with the substance of th- proposed AD, will be filed in the Rules Docket.

There has been a report of a crack in the forward fuselage skin of a British Aerospace, Aircraft Group, Model BAC 1-11 200 series airplane which, if left undetected and unrepaired, could result in lowering the structural integrity of the pressure vessel to a hazardous level and possible cabin depressurization. Since this condition is likely to exist or develop on other airplanes of the same type design, the proposed AD would require repetitive inspection of the fuselage structure for cracks and corrosion and rework or repair as necessary on Model BAC 1-11 200 and 400 series airplanes.

The Proposed Amendment

Accordingly, the Federal Aviation Administration proposes to amend § 39.13 of Part 39 of the Federal Aviation Regulations (14 CFR 39.13) by adding the following new Airworthiness Directive:

British Aerospace, Aircraft Group (formerly British Aircraft Corporation). Applies to Model BAC 1-11 200 and 400 series airplanes, certificated in all categories. Compliance is required as indicated unless already accomplished.

To detect cracking and corrosion and to prevent structural failure of the fuselage pressure vessel with the resultant cabin depressurization, accomplish the following:

(a) Within the next 12 months after the effective date of this AD, unless already accomplished within the last 2 years, and thereafter at intervals not to exceed 3 years from the last inspection, visually inspect for corrosion and cracks the interior of the lower fuselage skin at stations 416-456 between stringers 32 (LH) and 32 (RH) and the interior of the lower fuselage skin at stations 630-690 between stringers 32 (LH) and 32 (RH), and ensure that drain paths in these areas are unobstructed, in accordance with paragraphs 2.1.1 and 2.1.2 of British Aerospace Alert Service Bulletin 53-A-PM5632, dated August 18, 1978 (hereinafter referred to as the Service Bulletin), or an FAA-approved equivalent.

(b) On an airplane which has a long range fuel tank or a water injection tank installed, remove any such tanks to perform the inspections required by paragraph (a) of this AD. In addition, an airplane may not be considered to have been previously inspected in accordance with paragraphs 2.1.1 and 2.1.2 of the Service Bulletin or an FAA-approved equivalent, unless the inspection was made with these tanks removed.

(c) If cracks or corrosion are found during any inspection required by this AD, before further flight, rework or repair in accordance with Structural Repair Manual, Chapters 53-01-0 or 53-02-0 as appropriate, or an equivalent approved by the Chief, Aircraft Certification Staff, AEU-100, Europe, Africa, and Middle East Region, Brussels, Belgium, and continue the repetitive inspections at the intervals specified in paragraph (a) of this AD.

(Secs. 313(a), 601, and 603, Federal Aviation Act of 1958, as amended (49 U.S.C. 1354(a), 1421, and 1423); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c); 14 CFR 11.89))

Note.—The Federal Aviation Administration has determined that this document involves a proposed regulation which is not considered significant under Executive Order 12044, as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). A copy of the evaluation prepared for this action is contained in the regulatory docket. A copy of it may be obtained by writing to C. Christie, Chief, Technical Standards Branch, AWS-110, Federal Aviation Administration, 800 Independence Avenue, S.W., Washington, D.C. 20591.

Issued in Washington, D.C., on December 10, 1979.

M. C. Beard,

Director of Airworthiness.

[FR Doc. 79-38485 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

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14 CFR Part 71

[Airspace Docket No. 79-SO-73]

Alteration of VOR Federal Airway

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of proposed rulemaking.

SUMMARY: This notice proposes to alter VOR Federal Airway V-7 between Montgomery, Ala., and Vulcan, Ala. The realignment would improve traffic flow between Montgomery and Birmingham, Ala., terminal areas and reduce controller workload.

DATES: Comments must be received on or before January 16, 1980.

ADDRESSES: Send comments on the proposal in triplicate to: Director, FAA Southern Region, Attention: Chief, Air Traffic Division, Docket No. 79-SO-73, Federal Aviation Administration, P.O. Box 20636, Atlanta, Ga. 30320.

The official docket may be examined at the following location: FAA Office of the Chief Counsel, Rules Docket (AGC-24), Room 916, 800 Independence Avenue, SW., Washington, D.C. 20591.

An informal docket may be examined at the office of the Regional Air Traffic Division.

FOR FURTHER INFORMATION CONTACT:

Mr. Lewis W. Still, Airspace Regulations Branch (ATT-230), Airspace and Air Traffic Rules Division, Air Traffic Service, Federal Aviation Administration, 800 Independence Avenue, SW., Washington, D.C. 20591; telephone: (202) 426-8525.

SUPPLEMENTARY INFORMATION:

Comments Invited

Interested persons may participate in the proposed rulemaking by submitting such written data, views or arguments as they may desire. Communications should identify the airspace docket number and be submitted in triplicate to the Director, Southern Region, Attention: Chief, Air Traffic Division, Federal Aviation Administration, P.O. Box 20636, Atlanta, Ga. 30320. All communications received on or before January 16, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received. All comments submitted will be available, both before and after the closing date for comments, in the Rules Docket for examination by interested persons.

Availability of NPRM

Any person may obtain a copy of this notice of proposed rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA-430, 800 Independence Avenue, SW., Washington, D.C. 20591, or by calling (202) 426-8058. Communications must identify the docket number of this NPRM. Persons interested in being placed on a mailing list for future NPRMs should also request a copy of Advisory Circular No. 11-2 which describes the application procedures.

The Proposal

The FAA is considering an amendment to Part 71 of the Federal Aviation Regulations (14 CFR Part 71) that would alter VOR Federal Airway V-7, in the vicinity of Montgomery, Ala., by realigning V-7 from Montgomery direct to Vulcan, Ala. Presently, Federal Airway V-7 is aligned from Montgomery to Vulcan via a west dogleg. This dogleg segment is also codesignated as Federal Airway V-115. The realignment of Federal Airway V-7 will designate an airway in an area where aircraft are normally vectored thereby reducing controller workload. Also, traffic flow in the Montgomery and Birmingham, Ala., terminals would be improved because of additional flexibility. Subpart C of Part 71 was republished in the **Federal Register** on January 2, 1979, (44 FR 307).

The Proposed Amendment

Accordingly, pursuant to the authority delegated to me, the Federal Aviation Administration proposes to amend Section 71.123 of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (44 FR 307) as follows:

Under V-7, "Montgomery; INT Montgomery 323° and Vulcan, Ala., 177° radials; Vulcan;" is deleted and "Montgomery; Vulcan, Ala.;" is substituted therefor.

Note.—The FAA has determined that this document involves a proposed regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatolry evaluation and a comment period of less than 45 days is appropriate.

Issued in Washington, D.C., on December 7, 1979.

B. Keith Potts,

Acting Chief, Airspace and Air Traffic Rules Division.

[FR Doc. 79-38303 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

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14 CFR Part 71

[Airspace Docket No. 79-GL-61]

Proposed Designation of Transition Area

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of Proposed Rule Making.

SUMMARY: The nature of this federal action is to designate controlled airspace near Rushford, Minnesota to accommodate a new Very High Frequency Omnidirectional Range (VOR—A) instrument approach into Rushford, Municipal Airport, Rushford, Minnesota established on the basis of a request from the Rushford Airport officials to provide that facility with instrument approach capability. The intended effect of this action is to insure segregation of the aircraft using this approach procedure in instrument weather conditions and other aircraft operating under visual conditions.

EFFECTIVE DATE: Comments must be received on or before January 7, 1980.

ADDRESSES: Send comments on the proposal to FAA Office of Regional Counsel, AGL-7, Attention: Rules Docket Clerk, Docket No. 79-CL-61, 2300 East Devon Avenue, Des Plaines, Illinois 60018.

A public docket will be available for examination by interested persons in the Office of the Regional Counsel, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Illinois 60018.

FOR FURTHER INFORMATION CONTACT:

Doyle W. Hegland, Airspace and Procedures Branch, Air Traffic Division, AGL-530, FAA, Great Lakes Region, 2300 East Devon Avenue, Des Plaines, Illinois 60018, Telephone (312) 694-4500, Extension 456.

SUPPLEMENTARY INFORMATION: The floor of the controlled airspace in this area will be lowered from 1200′ above ground to 700′ above ground. The development of the proposed instrument procedures necessitates the FAA to lower the floor of the controlled airspace to insure that the procedure will be contained within controlled airspace. The minimum descent altitude for this procedure may be established below the floor of the 700-foot controlled airspace. In addition, aeronautical maps and charts will reflect the area of the instrument procedure which will enable other aircraft to circumnavigate the area in order to comply with applicable visual flight rule requirements.

Comments Invited

Interested persons may participate in the proposed rulemaking by submitting such written data, views or arguments as they may desire. Communications should be submitted in triplicate to Regional Counsel, AGL-7, Great Lakes Region, Rules Docket No. 79-CL-61, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Illinois 60018. All communications received on or before January 7, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received. All comments submitted will be available, both before and after the closing date for comments, in the Rules Docket for examination by interested persons.

Availability of NPRM

Any person may obtain a copy of this notice of proposed rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA-430, 800 Independence Avenue, S.W., Washington, D.C. 20591, or by calling (202) 426-8058. Communications must identify the notice number of this NPRM. Persons interested in being placed on a mailing list for future NPRMs should also request a copy of Advisory Circular No. 11-2 which describes the application procedures.

The Proposal

The FAA is considering an amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) to establish a 700-foot controlled airspace transition area near Rushford, Minnesota. Subpart G of Part 71 was republished in the **Federal Register** on January 2, 1979 (44 FR 442).

The Proposed Amendment

Accordingly, the FAA proposes to amend Subsection 71.181 of Part 71 of the Federal Aviation Regulations as follows:

In § 71.181 (44 FR 442) the following transition area is added:

Rushford, Minn.

That airspace extending upward from 700 feet above the surface within a 6.5 mile radius of the Rushford Municipal Airport, Rushford, MN, (latitude 43°49′15″ N, longitude 91°49′45″ W) and 2.5 miles each side of the 242° true bearing from the Nodine, MN VORTAC (latitude 43°54′45″ N, longitude 91°28′03″ W) extending from the 6.5 mile radius area out to 7.0 miles.

This amendment is proposed under the authority of Section 307(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a)); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); Sec. 11.61 of the Federal Aviation Regulations (14 C.F.R. 11.61).

Note.—The Federal Aviation Administration has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). A copy of the draft evaluation prepared for this document is contained in the docket. A copy of it may be obtained by writing to the Federal Aviation Administration, Attention: Rules Docket Clerk (AGL-7), Docket No. 79-GL-61, 2300 East Devon Avenue, Des Plaines, Illinois.

Issued in Des Plaines, Illinois, on December 7, 1979.

Wayne J. Barlow,

Director, Great Lakes Region.

[FR Doc. 79-38304 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

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14 CFR Part 71

[Airspace Docket No. 79-GL-60]

Proposed Designation of Transition Area

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of Proposed Rule Making.

SUMMARY: The nature of this federal action is to designate controlled airspace near Jackson, Ohio to accommodate a new instrument approach into James Rhodes Airport, Jackson, Ohio established on the basis of a request from the James Rhodes Airport officials to provide that facility with instrument approach capability. The intended effect of this action is to insure segregation of the aircraft using this approach procedure in instrument weather conditions and other aircraft operating under visual conditions.

DATES: Comments must be received on or before January 14, 1980.

ADDRESSES: Send comments on the proposal to FAA Office of Regional Counsel, AGL-7, Attention: Rules Docket Clerk, Docket No. 79-GL-60, 2300 East Devon Avenue, Des Plaines, Illinois 60018.

A public docket will be availale for examination by interested persons in the Office of the Regional Counsel, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Illinois 60018.

FOR FURTHER INFORMATION CONTACT:

Doyle W. Hegland, Airspace and Procedures Branch, Air Traffic Division, AGL-530, FAA, Great Lakes Region, 2300 East Devon Avenue, Des Plaines, Illinois 60018, Telephone (312) 694-4500, Extenison 456.

SUPPLEMENTARY INFORMATION: The floor of the controlled airspace in this area will be lowered from 1200′ above ground to 700′ above ground. The development of the proposed instrument procedures necessitates the FAA to lower the floor of the controlled airspace to insure that the procedure will be contained within controlled airspace. The minimum descent altitude for this procedure may be established below the floor of the 700 foot controlled airspace. In addition, aeronautical maps and charts will reflect the area of the instrument procedure which will enable other aircraft to circumnavigate the area in order to comply with applicable visual flight rule requirements.

Comments Invited

Interested persons may participate in the proposed rulemaking by submitting such written data, views or arguments as they may desire. Communications should be submitted in triplicate to Regional Counsel, AGL-7, Great Lakes Region, Rules Docket No. 79-GL-60, Federal Aviation Administration, 2300 East Devon Avenue, Des Plaines, Illinois 60018. All communications received on or before January 14, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received. All comments submitted will be available, both before and after the closing date for comments, in the Rules Docket for examination by interested persons.

Availability of NPRM

Any person may obtain a copy of this notice of proposed rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA-430, 800 Independence Avenue, S.W., Washington, D.C. 20591, or by calling (202) 426-8058. Communications must identify the notice number of this NPRM. Persons interested in being placed on a mailing list for future NRPMs should also request a copy of Advisory Circular No. 11-2 which describes the application procedures.

The Proposal

The FAA is considering an amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) to establish a 700–foot controlled airspace transition area near Jackson, Ohio. Subpart G of Part 71 was republished in the **Federal Register** on January 2, 1979 (44 FR 442).

The Proposed Amendment

Accordingly, the FAA proposes to amend Subsection 71.181 of Part 71 of the Federal Aviation Regulations as follows:

In § 71.181 (44 FR 442) the following transition area is added:

Jackson, Ohio

That airspace extending upward from 700 feet above the surface within a seven mile radius of the James Rhodes Airport, Jaskson, Ohio (latitude 3858'47" N, longitude 8234'41" W).

This amendment is proposed under the authority of Section 307(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a)); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); Sec. 11.61 of the Federal Aviation Regulations (14 CFR 11.61).

Note.—The Federal Aviation Administration has determined that this document involves a regulation which is not significant under Executive Order 12044, as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). A copy of the draft evaluation prepared for this document is contained in the docket. A copy of it may be obtained by writing to the Federal Aviation Administration, Attention: Rules Docket Clerk (AGL–7), Docket No. 79–GL–60, 2300 East Devon Avenue, Des Plaines, Illinois.

Issued in Des Plaines, Illinois, on November 26, 1979.

Wayne J. Barlow,

Director, Great Lakes Region.

[FR Doc. 79–38305 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 71

[Airspace Docket No. 79–GL–58]

Revocation of VOR Federal Airways

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of proposed rulemaking.

SUMMARY: This notice proposes to revoke several airways in the vicinity of Carleton, Mich. These routes are rarely utilized and therefore should not be retained. Also, revocation of these airway segments will reduce chart clutter.

DATES: Comments must be received on or before January 16, 1980.

ADDRESSES: Send comments on the proposal in triplicate to: Director, FAA Great Lakes Region, Attention: Chief, Air Traffic Division, Docket No. 79–GL–58, Federal Aviation Administration, 2300 East Devon, Des Plaines, Ill. 60018.

The official docket may be examined at the following location: FAA office of the Chief Counsel, Rules Docket (AGC–24), Room 916, 800 Independence Avenue, SW., Washington, D.C. 20591.

An informal docket may be examined at the office of the Regional Air Traffic Division.

FOR FURTHER INFORMATION CONTACT: Mr. Lewis W. Still, Airspace Regulations Branch (AAT–230), Airspace and Air Traffic Rules Division, Air Traffic Service, Federal Aviation Administration, 800 Independence Avenue, SW., Washington, D.C. 20591; telephone: (202) 426–8525.

SUPPLEMENTARY INFORMATION:

Comments invited

Interested persons may participate in the proposed rulemaking by submitting such written data, views or arguments as they may desire. Communications should identify the airspace docket number and be submitted in triplicate to the Director, Great Lakes Region, Attention: Chief, Air Traffic Division, Federal Aviation Administration, 2300 East Devon, Des Plaines, Ill. 60018. All communications received on or before January 16, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received. All comments submitted will be available, before and after the closing date for comments, in the Rules Docket for examination by interested persons.

Availability of NPRM

Any person may obtain a copy of this notice of proposed rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA–430, 800 Independence Avenue, SW., Washington, D.C. 20591, or by calling (202) 426–8058. Communications must identify the docket number of this NPRM. Persons interested in being placed on a mailing list for future NPRMs should also request a copy of Advisory Circular No. 11–2 which describes the application procedures.

The Proposal

The FAA is considering an amendment to Subpart C of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) that would revoke V–47, V–297 and V–493 segments in the vicinity of Carleton, Mich. These airway segments are not being utilized and therefore should be revoked. This action would improve flight planning, and reduce controller workload and chart clutter.

The Proposed Amendment

Accordingly, pursuant to the authority delegated to me, the Federal Aviation Administration proposes to amend § 71.123 of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (44 FR 307) as follows:

Under V–47

"Waterville, Ohio; INT Waterville 353° and Salem, Mich., 197° radials; Salem; to the INT Salem 021° and Flint, Mich., 086° radials." is deleted and "to Waterville, Ohio." is substituted therefor.

Under V–297

"Carleton; INT Carleton 334° and Saginaw, Mich., 162° radials; Saginaw; INT Saginaw 353°" is deleted and "to Carleton. From Saginaw; INT Saginaw 353°" is substituted therefor.

Under V—493

"Carleton, Mich.; INT Carleton 334° and Mt. Pleasant, Mich., 142° radials; to Mt. Pleasant." is deleted and "to Carleton, Mich." is substituted therefor.

(Secs. 307(a) and 313(a), Federal Aviation Act of 1958 (49 U.S.C. 1348(a) and 1354(a)); Sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); and 14 CFR 11.65.)

Note.—The FAA has determined that this document involves a proposed regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatory evaluation and a comment period of less than 45 days is appropriate.

Issued in Washington, D.C. on December 7, 1979.

B. Keith Potts,

Acting Chief, Airspace and Air Traffic Rules Division.

[FR Doc. 79–38306 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 71

[Airspace Docket No. 18605/79–AWE–17]

Proposed Group II Terminal Control Area—San Diego, Calif.

Correction

In FR Doc. 79–37485, published at page 70181, on Thursday, December 6, 1979 make the following corrections:

1. On page 70186, in the first column, in the second line of paragraph 1, under *Primary Airports*, "(Lat. 23°. . ." should be corrected to read "(Lat. 32°. . .";

2. On page 70187, after the signature, the File Line should be added to read "[FR Doc. 79–37485; Filed 12–5–79; 8:45 am]".

BILLING CODE 1505–01–M

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14 CFR Part 71

[Airspace Docket No. 79–RM–30]

Alteration of Transition Areas

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of Proposed Rulemaking.

SUMMARY: This Notice of Proposed Rulemaking (NPRM) proposes to alter the 700′ and 1,200′ transition areas at Glasgow, Montana, to provide controlled airspace for aircraft executing the new instrument landing system (ILS) runway 28 standard instrument approach procedure developed for the Valley Industrial Airpark, Glasgow, Montana (formerly Glasgow Air Force Base).

DATES: Comments must be received on or before January 14, 1980.

ADDRESSES: Send comments on the proposal to: Chief, Air Traffic Division, Attn: ARM–500, Federal Aviation Administration, 10455 East 25th Avenue, Aurora, Colorado 80010.

A public docket will be available for examination by interested persons in the office of the Regional Counsel, Federal Aviation Administration, 10455 East 25th Avenue, Aurora, Colorado 80010.

FOR FURTHER INFORMATION CONTACT: Pruett Helm, Airspace and Procedures Specialist, Operations, Procedures and Airspace Branch (ARM–530), Air Traffic Division, Federal Aviation Administration, Rocky Mountain Region, 10455 East 25th Avenue, Aurora, Colorado 80010; telephone (303) 837–3937.

SUPPLEMENTARY INFORMATION:

Comments Invited

Interested persons may participate in the proposed rulemaking by submitting such written data, views, or arguments as they may desire. Communications should be submitted in triplicate to the Chief, Air Traffic Division, Federal Aviation Administration, 10455 East 25th Avenue, Aurora, Colorado 80010. All communications received will be considered before action is taken on the proposed amendment. No public hearing is contemplated at this time, but arrangements for informal conferences with Federal Aviation Administration officials may be made by contacting the Regional Air Traffic Division Chief. Any data, views, or arguments presented during such conferences must also be submitted in writing in accordance with this notice in order to become part of the record for consideration. The proposal contained in this notice may be changed in the light of comments received.

Availability of NPRM

Any person may obtain a copy of this Notice of Proposed Rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA–430, 800 Independence Avenue, SW., Washington, D.C. 20591, or by calling (202) 426–8058. Communications must identify the notice number of this NPRM. Persons interested in being placed on a mailing list for future NPRM's should also request a copy of Advisory Circular No. 11–2 which describes the application procedure.

The Proposal

The Federal Aviation Administration (FAA) is considering an amendment to subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) to alter the 700′ and 1,200′ transition areas at Glasgow, Montana. This proposal is necessary to provide controlled airspace for aircraft executing the new instrument landing system (ILS) runway 28 standard instrument approach procedure developed for the Valley Industrial Airpark, Glasgow, Montana. Accordingly, the FAA proposes to amend subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as follows:

By amending § 71.181 so as to alter the following transition areas to read:

Glasgow, Mont.

That airspace extending upward from 700′ above the surface within 9 miles each side of the Glasgow VORTAC (latitude 48°12′55″ N., longitude 106°37′30″ W.) 016°/196° radials extending from the VOR 9 miles southwest and 24.5 miles northeast, and that airspace extending upward from 1,200′ above the surface starting at latitude 48°40′00″ N., longitude 106°00′00″ W.; to latitude 48°32′00″ N., longitude 105°50′00″ W.; to latitude 48°03′00″ N., longitude 105°50′00″ W.; to latitude 48°05′00″ N., longitude 106°10′00″ W.; to latitude 47°54′00″ N., longitude 106°22′30″ W.; to latitude 48°16′00″ N., longitude 107°07′00″ W.; to latitude 48°40′00″ N., longitude 107°07′00″ W., thence , to point of beginning, excluding that area designated as the Wolf Point, Montana 1,200′ transition area.

Drafting Information

The principal authors of this document are Pruett Helm, Air Traffic Division, and Daniel J. Peterson, Office of the Regional Counsel, Rocky Mountain Region.

This amendment is proposed under authority of section 307(a) of the Federal Aviation Act of 1958, as amended, (49 U.S.C 1348(a)), and of section 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).

Note.—The FAA has determined that this document involves a proposed regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatory evaluation, and a comment period of less than 45 days is appropriate.

Issued in Aurora, Colo., on December 12, 1979.

M. M. Martin,

Director, Rocky Mountain Region.

[FR Doc. 79–38704 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 71

[Airspace Docket No. 79–NW–13]

Proposed Designation of Transition Area; Burns, Oreg.

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of Proposed Rule Making. (NPRM)

SUMMARY: This notice proposes to establish a 700′ and 1200′ Transition Area at Burns, Oregon, to provide controlled airspace for aircraft executing the new NDB Runway 29 and the new VOR Runway 29 Standard Instrument Approach procedures developed for the Burns Municipal Airport, Burns, Oregon.

DATES: Comments must be received on or before January 20, 1980.

ADDRESSES: Send comments on the proposal to: Chief, Operations, Procedures and Airspace Branch, Federal Aviation Administration, Northwest Region, FAA Building, Boeing Field, Seattle, Washington 98108.

The official docket may be examined at the following location: Office of the Regional Counsel, Federal Aviation Administration, Northwest Region, FAA Building, Boeing Field, Seattle, Washington, 98108.

FOR FURTHER INFORMATION CONTACT:
Robert L. Brown, Airspace Specialist, Operations, Procedures and Airspace Branch, (ANW–534), Air Traffic Division, Federal Aviation Administration, Northwest Region, FAA Building, Boeing Field, Seattle, Washington 98108; telephone (206) 767–2610.

SUPPLEMENTARY INFORMATION:

Comment Invited

Interested persons may participate in the proposed rule making by submitting such written data, views, or arguments as they may desire. Communications should identify the airspace docket number and be submitted to the Chief, Operations, Procedures and Airspace Branch, Federal Aviation Administration, Northwest Region, FAA Building, Boeing Field, Seattle, Washington 98108. All communications received on or before January 20, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in light of the comments received. All comments received will be available, before and after the closing dates for comments, in the official docket for examination by interested persons.

Availability of NPRM

Any person may obtain a copy of this Notice of Proposed Rule Making by submitting a request to the Federal Aviation Administration, Chief, Operations, Procedures and Airspace Branch, ANW–530, Northwest Region, FAA Building, Boeing Field, Seattle, Washington 98108 or by calling (206) 767–2610. Communications must identify the notice number of this NPRM. Persons interested in being placed on a mailing list for future NPRMs should also request a copy of Advisory Circular No. 11–2 which describes the application procedure.

The Proposal

The Federal Aviation Administration (FAA) is considering an amendment to Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) to designate a 700' and 1200' Transition Area at Burns, Oregon. This proposal is necessary to provide controlled airspace for aircraft executing the new NDB and VOR standard instrument approach procedures for Burns, Oregon.

Accordingly, the FAA proposes to amend Subpart G of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as follows:

By amending § 71.181 so as to designate the following transition areas to read:

Burns, Oreg.

That airspace extending upward from 700 feet above the surface within 12.5 miles northeast and 11.5 miles southwest of the 141° true and 321° true radials of the Wildhorse VOR, (Burns, Oregon) extending from 11 miles southeast to 10.5 miles northwest of the VOR; and that airspace extending upward from 1200 feet above the surface within 12.5 miles northeast and 11.5 miles southwest of the northeast and 11.5 miles southwest of the 141° true and 321° true radials of the Wildhorse VOR, (Burns, Oregon) extending from 23 miles southeast to 10.5 miles northwest of the VOR.

Drafting Information

The principal authors of this document are Robert L. Brown, Air Traffic Division, and Hays V. Hettinger, Regional Counsel, Northwest Region. This amendment is proposed under authority of Section 307(a) of the Federal Aviation Act of 1958, as amended, (49 U.S.C. 1348(a)), and of Section 6(c) of the Department of Transportation Act (49 U.S.C. 1655(c)).

Note.—The FAA has determined that this document involves a proposed regulation which is not considered to be significant under the procedures and criteria prescribed by Executive Order 12044 and as implemented by Department of Transportation Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). Since this regulatory action involves an established body of technical requirements for which frequent and routine amendments are necessary to keep them operationally current and promote safe flight operations, the anticipated impact is so minimal that this action does not warrant preparation of a regulatory evaluation, and a comment period of less than 45 days is appropriate.

Issued in Seattle, Washington, on December 7, 1979.

C. B. Walk, Jr.,

Director.

[FR Doc. 79–38558 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

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14 CFR Part 71

[Airspace Docket No. 18605/79–APC–1]

Proposed Group II Terminal Control Area, Honolulu, Hawaii

AGENCY: Federal Aviation Administration (FAA), DOT.

ACTION: Notice of proposed rulemaking.

SUMMARY: As part of a comprehensive program announced on December 27, 1978, in the FAA Administrator's Plan for Enhanced Safety of Flight Operations in the National Airspace System, the FAA proposes to establish a Group II Terminal Control Area (TCA) at Honolulu, Hawaii. Operation in the proposed TCA would be subject to the operating and equipment rules for operation in Group II TCAs specified in § 91.90(b) of Part 91 of the Federal Aviation Regulations. This includes, among other rules, the requirement to have an operable VOR, TACAN receiver, two-way radio, and a transponder to operate in the TCA. An altitude encoder would not be required. This action is intended to increase the capability of the Air Traffic Control (ATC) system to separate all aircraft in the terminal airspace around the Honolulu International Airport, Honolulu, Hawaii. It is based on data indicating that a high percentage of near midair collisions reported to the FAA in terminal areas involves visual flight rules (VFR) aircraft that are not required to be under ATC control. The objective of this proposal is to substantially increase safety while accommodating the legitimate concerns of airspace users.

DATES: Comments must be received on or before March 17, 1980.

ADDRESSES: Send comments on the proposal in triplicate to: Director, FAA Pacific-Asia Region, Attention: Chief, Air Traffic Division, Docket No. 18605/79–APC–1, Federal Aviation Administration, P.O. Box 50109, Honolulu, Hawaii 96850.

The docket for this action may be examined at the office of the Regional Air Traffic Division, Room 7123, 300 Ala Moana Boulevard, Honolulu, Hawaii 96850, or at the FAA, Office of the Chief Counsel, Rules Docket (AGC–24), Room 916, 800 Independence Avenue, SW., Washington, D.C. 20591.

FOR FURTHER INFORMATION CONTACT:
Robert C. Bishop, Operations, Airspace and Procedures Branch (APC–530), Air Traffic Division, Federal Aviation Administration, P.O. Box 50109, Honolulu, Hawaii 96850; telephone: (808) 546–8346.

SUPPLEMENTARY INFORMATION:

Comments Invited

Interested persons are invited to participate in the proposed rulemaking by submitting such written data, views, or arguments as they may desire. Communications should identify the regulatory docket number and be submitted in triplicate to the Director, Pacific-Asia Region, Attention: Chief, Air Traffic Division, Federal Aviation Administration, P.O. Box 50109, Honolulu, Hawaii 96850. All communications received on or before March 17, 1980, will be considered before action is taken on the proposed amendment. The proposal contained in this notice may be changed in the light of comments received. All comments

submitted will be available, both before and after the closing date for comments, in the FAA Regional and Headquarters Rules Dockets for examination by interested persons.

Commenters wishing to have the FAA acknowledge receipt of their comments submitted in response to this notice shall submit with those comments a self-addressed, stamped postcard on which the following statement is made: "Comments to Docket Number 18605/79–APC–1." The postcard will be date/time stamped and returned to the commenter.

Availability of NPRM

Any person may obtain a copy of this notice of proposed rulemaking (NPRM) by submitting a request to the Federal Aviation Administration, Office of Public Affairs, Attention: Public Information Center, APA–430, 800 Independence Avenue, SW., Washington, D.C. 20591, or by calling (202) 426–8058. Communications must identify the docket number of this NPRM. Persons interested in being placed on a mailing list for future NPRMs should also request a copy of Advisory Circular No. 11–2 which describes the application procedures.

Prior Public Participation

The proposal contained in this notice was preceded with broad and helpful public participation with the FAA in considering the development of an airspace description for a TCA that is responsive to the need to increase safety and to the needs of both transient and local aircraft operators who might be affected. An extensive publicity effort was made to invite all interested persons to participate in the meeting. In addition to published notices, notice was given through mailing of notices to hundreds of persons believed to have an interest in the proposal, through posting of notices in airports, and through press, radio, and TV coverage. As a result of the meeting, adjustments to TCA configurations were made and are reflected in the configuration proposed in this notice. An additional opportunity for public participation is provided by this notice to ensure full consideration of public concerns at every stage of the rulemaking process. Based on the public participation and other available data, several locations that were included among the 44 candidates for new TCAs have been dropped from further consideration. Other locations may be dropped later if commensurate levels of safety can be sustained without TCA designations or operational requirements do not justify such designations.

Background: The Need for Increased Positive Control in Terminal Airspace

The takeoff and landing phases of flight result in the concentration of inflight aircraft in a relatively limited volume of airspace surrounding an airport. The number of aircraft per unit volume of airspace at a specific instant of time is a function of the number of aircraft using that airport and its proximity to one or more adjacent airports that share or abut that airspace. As air traffic activity at an airport increases, the need for increasingly precise control of aircraft and protection of airspace from unknown aircraft becomes essential for continued safe operations. The FAA has developed a spectrum of air traffic procedures which, when coupled with precision navigational aids, airport surveillance radar facilities, automated radar data processing capability, and a highly skilled workforce, forms a comprehensive system to provide safe and efficient flight operations at all controlled airports.

The scope of services range from simple suggested airport traffic flows at lowest density airports, to terminal control areas at the busiest airports which provide positive controlled airspace. Within the latter, all aircraft are subject to specific operating rules and avoinics equipment requirements.

The FAA is proposing to take action to extend or enhance the application of these proven control techniques and hardware subsystems to more airports to assure greater protection of air traffic in the airspace regions most commonly used by passenger-carrying aircraft.

An analysis of the need for extending the ability of ATC to separate visual flight rules (VFR) aircraft and instrument flight rules (IFR) aircraft in terminal airspace is contained in the Administrator's Plan for Enhanced Safety which announced FAA's intent to propose, for public comment, establishment of 44 new Group II TCAs, and the vertical and lateral enlargement of the 21 previously established TCAs. This proposal to establish a Group II TCA at the Honolulu International Airport is in accordance with that plan.

Near Midair Collisions in Terminal Airspace

The FAA experience since the establishment of mandatory TCAs and voluntary Terminal Radar Service Areas indicates that, in terminal airspace, ATC control of VFR aircraft reduces the potential for hazardous traffic conflicts. A comparison of periods before and after the establishment of terminal control areas and terminal radar service areas is instructive. In 1968, the FAA conducted an extensive study of near midair collision hazard in U.S. airspace. The results of this study were published in the "Near Midair Collision Report of 1968," July, 1969. A major portion of the report was devoted to the collision potential in terminal airspace. For the year 1968 (which preceded the establishment of terminal control areas), the report concluded that, for the airports now served by terminal control areas, there were 271 incidents reported as "hazardous" to flight. In response to that study, since 1970, 21 terminal control areas were established. For the fiscal years 1975, 1976, and 1977, there were a total of 64 reported near midair collisions (NMACs) in these terminal control areas. For comparison purposes, this translates into an average of approximately 20 reported incidents per year, under TCA requirements, in contrast with the 271 incidents for the year 1968. These figures are not conclusive indicators of the absolute numbers of incidents, but are viewed as pointing toward the critical relationship between the absence of control of all aircraft and the likelihood of hazardous traffic conflicts in terminal airspace. As a result of public comments, in response to Notice No. 78–19 (44 FR 1322, January 4, 1979), questioning the adequacy of FAA's near midair collision information, a comprehensive review of that information has been undertaken.

The mix of controlled and uncontrolled aircraft in the Honolulu terminal area is much less than that surrounding many major mainland U.S. airport locations because of the absence of satellite reliever airports generating other activity. There are two military fields nearby that impact the Honolulu terminal area, plus another airport which does not have any based aircraft but is used by general aviation for landing practice. These are Wheeler AFB, Barbers Point NAS, and Ford Island ALF, respectively. The high passenger loads (discussed below) and the mix of various type aircraft using the airspace in and around the Honolulu International Airport make it highly desirable to add the assurance that the flight paths of air carrier aircraft using this airport are contained within airspace regulated to be free of uncontrolled flights.

The "Highest Degree" of Air Transportation Safety

The near midair collision statistics cited above indicate that, for all classes of users of terminal airspace, the furnishing of separation service by ATC, in addition to the duty of pilots to see and avoid each other, can result in a

higher level of air traffic safety. For the millions of air carrier passengers who enter and leave the major air terminals each year, the Congress has directed that the highest feasible degree of safety be achieved. The FAA believes that the continued presence of a "mix" of ATC controlled aircraft and uncontrolled VFR aircraft can interfere unnecessarily with this high safety objective.

The congressional mandate is clear with respect to the high level of safety intended for passengers in air transportation. Section 601 of the Federal Aviation Act of 1958 requires that the FAA give full consideration to the duty resting on air carriers to perform their services with the "highest possible degree of safety in the public interest * * *" This Congressional concern for air transportation, as a distinct class to be protected, was restated in the Airline Deregulation Act of 1978 (Pub. L. 95–504, October 24, 1978) which amended Section 102 of the Federal Aviation Act of 1958 to emphasize the "dedication of the Congress to the furtherance of the highest degree of safety in air transportation and air commerce, and the maintenance of the safety vigilance that has evolved within air transportation and air commerce and has come to be expected by the traveling and shipping public" (49 U.S.C. 1302(a)). The Airline Deregulation Act of 1978 also directed the Secretary of Transportation ("Secretary") to complete a thorough review of the safety regulations applicable to air carriers in order to ensure that "all classes of air carriers are providing the highest possible level of safe, reliable air transportation to all the communities served by those air carriers." The Administrator is directed to respond to the Secretary's review by promulgating regulations that may be needed to "maintain the highest standard of safe, reliable air transportation in the United States." The "high standard of safety in air transportation" is also stressed in relation to annual reports to be submitted to the Congress by the Secretary beginning not later than January 31, 1980, (new Section 107 of the Federal Aviation Act of 1958, as amended by the Airline Deregulation Act of 1978). The orderly and extensive expansion of positive controlled airspace, including the proposal in this notice, would ensure that the system-wide capability of the FAA to assure separation protection for air carrier passengers remains commensurate with the encouragement and growth of a vigorous, safe and efficient air transportation system under the new Act.

Building on Past Programs

While the TCA action described herein is proposed as part of the Administrator's Plan for Enhanced Safety, it follows, and is a logical extension of, programs that first gained momentum in 1962. That year, initiating many years of pilot participation in terminal radar service programs, such a program was established at Atlanta to solve communications workload problems and assist in aircraft sequencing. This was followed by a similar program at Merced Air Force Base, California, in 1965. This service was gradually extended until 1970, when the National Terminal Radar Program signalled a major expansion of ATC separation service following the 1968 New Midair Collision Report (discussed below). Beginning with the TRSA at Nashville, a total of 86 nonregulatory Terminal Radar Service Areas (TRSAs) covering 105 airports were established under that program, the last being the Peoria TRSA in 1978. The safety enhancement program includes the proposed addition of 80 new TRSAs in phases ending in 1983.

In addition to these nonregulatory programs, the 1970 National Radar Program initiated the regulatory development of TCAs, also in response to the 1968 Near Midair Collision Report. The TCA concept, as a regulatory means of providing positive control in terminal airspace, was added to the Federal Aviation Regulations in Amendments 71–6 and 91–78, which were published in the **Federal Register** (35 FR 7782) on May 21, 1970, to be effective on June 25 of that year. Those amendments, which defined the nature and operational aspects of TCAs, followed extensive public comment in response to Notice No. 69–41, issued on September 30, 1969, (34 FR 15252); 22 public meetings; and a supplemental notice of proposed rulemaking (Notice No. 69–41B) issued on March 11, 1970, (35 FR 4519). That regulatory history led to the issuance of § 71.12 of Part 71 of the Federal Aviation Regulations, under which TCAs are issued, and § 91.90 of Part 91 of the Federal Aviation Regulations, which describes the equipment and operating rules for participating in a TCA. The TCA action proposed in this notice is issued under § 71.12 and incorporates, without changing, the provisions of § 91.90. While the safety enhancement plan identified 44 new locations for possible Group II TCAs, the legal basis for, and description of, the TCA concept was established under these 1970 amendments to Parts 71 and 91. That regulatory concept would not be changed by this notice. It is noted that the 44 locations were only proposals. Each site is being evaluated on its own merits. In fact, the FAA's analysis to date has led to dropping the following cities from the original list—Des Moines, Iowa; El Paso, Texas; Jacksonville, Florida; Lihue, Hawaii; Salt Lake City, Utah; and Tucson, Arizona. The evaluation is continuing with the very real possibility that other cities may be dropped, even before the issuance of a notice of proposed rulemaking.

National Benefits

The Plan for Enhanced Safety contains an analysis of the safety increases, in terms of passengers protected, that are expected to result from the establishement of 44 new TCAs originally under consideration. Six of those proposed sites are no longer under consideration at this time. However, if all of those TCAs were established the orignial analysis indicates that the percentage of air carrier enplaned passengers protected by mandatory ATC separation, compared with the 21 TCAs in existence in January 1978, would rise from 62% to 87%. In addition, those TCAs would expand the protected commuter passenger enplanements from 38.5% to 49.7% (in the contiguous 48 states). While those figures have been reduced because of the reduction of the number of candidate sites, the increased protection at the remaining locations is still substantial. This is during a period in which substantial increases in total enplanements are forecast for both classes of air transportation, with annual air carrier and commuter air carrier enplanements expected to exceed 418 million and 14 million, respectively, by 1989.

Parallel increases are also expected for general aviation. For this large and expanding class, the numbers of aircraft, and the total operations, are forecast to increase by more than 60% between 1977 and 1989. In addition, manufacturing trends indicate that increasing proportions of the general aviation fleet are being purchased with equipment intended for operation in the busy terminal airspace in which the "mix" of controlled and uncontrolled aircraft has been identified as a common factor in reported near midair collisions.

For all classes of airspace user, therefore, the FAA believes that the extensive expansion of TCAs would significantly increase the ability of ATC to provide an effective, additional margin of safety to that furnished by the pilot's duty to see and avoid other aircraft.

Local Benefits

The establishment of a Group II TCA, as proposed in this notice would make a meaningful contribution to the system-wide increase in safety. In fiscal year 1978, there were over 5½ million air carrier passenger enplanements at Honolulu International Airport. This represented 2.24% of the national emplaned passengers, and more than each of the existing or other proposed Group II TCA locations except Denver, Colorado. In the same period there were over 365 thousand total airport operations at Honolulu. In the next five years, these counts are forecast to reach over 8½ million passengers and 445 thousand operations according to the Terminal Area Forecast issued by the FAA in June 1978.

Economic Impacts

The FAA is committed to ensuring that the costs of establishing the Honolulu, Hawaii, TCA are considered before final regulatory decisions are made. Since these costs may affect other TCA proposals announced in the Plan for Enhanced Safety, a comprehensive economic assessment, covering the entire program as described in that plan, was made available to attendees at an informal airspace meeting held at the Honolulu International Airport on March 7, 1979, and is in the Regional and Washington dockets for public comment. The assessment includes system-wide assumptions concerning the impact of all 44 proposed TCAs, including the Honolulu, Hawaii, TCA proposal. Since six of the original sites are no longer under current consideration, the cost impact system-wide is even less but the underlying assumptions are still valid as applied to the remaining candidate sites. A detailed addendum to the broad national study has been prepared. This addendum is appended to the national assessment and is also in the Regional and Washington, dockets. To assist in this determination, public comment on these economic assessments is invited.

Environmental Impacts

In a manner similar to that described above for the national and local economic assessments, an environmental assessment has been prepared, which addresses the overall national environmental effect of the 44 proposed TCAs. This assessment addresses the aircraft noise, aircraft emissions, and fuel consumption impacts of the program as a whole, and concludes that these impacts would not significantly affect the quality of the human environment. This national assessment was also made available at the March 7, 1979, informal airspace meeting and is in the Regional and Washington dockets. In addition, like the economic study, this program-wide assessment has been supplemented with an environmental assessment, prepared by the Regional office, responding to the site-specific impacts of the Honolulu, Hawaii, TCA proposal. This local assessment is in both dockets for public comments. The local supplement will assist the Administrator in evaluating local and national environmental impacts before decisions are made concerning the proposed TCA. Public comment on these environmental assessments is invited.

Airspace Outside the United States

As part of this proposal relates to the navigable airspace outside the United States, this notice is submitted in consonance with the International Civil Aviation Organization (ICAO) International Standards and Recommended Practices.

Applicability of International Standards and Recommended Practices by the Air Traffic Service, FAA, in areas outside domestic airspace of the United States, is governed by Article 12 of and Annex 11 to the Convention on International Civil Aviation, which pertain to the establishment of air navigational facilities and services necessary to promote the safe, orderly, and expeditious flow of civil air traffic. Their purpose is to ensure that civil flying on international air routes is carried out under uniform conditons designed to improve the safety and efficiency of air operations.

The International Standards and Recommended Practices in Annex 11 apply in those parts of the airspace under the jurisdiction of a contracting State, derived from ICAO, wherein air traffic services are provided and also whenever a contracting State accepts the responsibility of providing air traffic services over high seas or in airspace of undetermined sovereignty. A contracting State accepting such responsibility may apply the International Standards and Recommended Practices to civil aircraft in a manner consistent with that adopted for airspace under its domestic jurisdiction.

In accordance with Article 3 of the Convention on International Civil Aviation, Chicago, 1944, State aircraft are exempt from the provisions of Annex 11 and its Standards and Recommended Practices. As a contracting State, the United States agreed by Article 3(d) that its State aircraft will be operated in international airspace with due regard for the safety of civil aircraft.

Since this action involves, in part, the designation of navigable airspace outside the United States, the Administrator has consulted with the Secretary of State and the Secretary of Defense in accordance with the provisions of Executive Order 10854.

The Proposed Terminal Control Area

The airspace description for the proposed TCA action in this notice was developed by the FAA Pacific-Asia Region in consultation with affected users to minimize the potential impact of the proposal. On March 7, 1979, an informal airspace meeting open to the public was held at the Honolulu International Airport to obtain public participation in the development of an airspace description responsive to the needs of both transient and local users who might be affected. Sixty-five persons attended the meeting. A report describing this meeting has been placed in the Regional and Washington dockets for public review. Public comment is invited on FAA's proposed disposition of comments and options discussed at the informal airspace meeting. There was both support and opposition expressed about the FAA's intention to propose a TCA at Honolulu. The rationale for the proposal to establish additionnal TCAs has been discussed previously in this notice. This TCA is proposed in order to limit the presence of uncontrolled aircraft in that airspace around the Honolulu International Airport in which the transport of passengers by air carriers is involved, thereby reducing the potential of a midair collision between aircraft.

The FAA is considering the establishment of the proposed TCA under Part 71. The TCA is described in detail below, but in general terms would lie in the southern half of a 32 mile circle centered on the Honolulu International Airport, would be divided into 10 subdivisions identified as Areas A through J, and would extend vertically up to 9,000 feet MSL with the base altitudes of the various subdividions increasing outward from the airport from the surface up to 5,000 feet MSL. The design is configured to contain the flight paths of large turbine powered aircraft operating from the Honolulu International Airport, plus enlarging some additional areas (Areas I and J) to provide added separation to other users close to the airport. No VFR corridor through the proposed TCA is provided. Since the TCA is only proposed to cover slightly over 180° of area south of the airport, flight over most of the island is unaffected by the TCA. A considerable

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number of VFR air tour aircraft overfly Oahu each afternoon en route to Kauai. These aircraft are expected, weather permitting, to normally pass beneath Area F at 4,500 feet or lower, north of Areas A, C and J and over or north of Area I. Other aircraft overflying the area would use these same areas or request approval to transit the TCA. Concern was expressed about potential delays due to traffic, whether sufficient controller staffing would exist to compensate for any increase of activity, and whether adequate controller equipment was provided. Any delays that might occur because of a TCA would be insignificant. Almost all aircraft using the Honolulu Airport and transiting the area are currently being provided the same IFR and VFR Stage III service as would be provided in the TCA. As traffic density increases in the future the potential for added delay could exist. Controller staffing and equipment are adequate to provide the necessary level of service.

Several changes have been made already to the proposed airspace configuraton as a result of comments submitted. (1) Instead of centering the TCA using the coordinates of the airport surveillance radar (ASR), the ILS Runway 4R DME site is used for all radii except that the control zone boundary is used in Area I, and ranges from the Honolulu VORTAC are used in Areas G and H. This will allow added navaid capability to determine some TCA boundaries. Otherwise pilots will be expected to correlate their position visually or to plot their position from other navaids or landmarks. (2) The airspace in the Barbers Point NAS area has been redefined. The previous Area G has been reduced to delete airspace south of the ILS Runway 8L localizer not normally used by Honolulu arrivals. A new Area H is also included that deletes airspace previously proposed that does not contain the IFR approach procedures to Honolulu. This reduces the impact on Barbers Point VFR airport activity. (3) Area D has been extended to contain ALCOR DME fix to ensure all the approach segments are contained in the TCA. (4) The initial and intermediate approach segments on all but the NDB Runway 8L procedures would be raised to contain them within the TCA. These altitudes are not unreasonable and do allow sufficient distance for jet aircraft to descend, slow and stablize prior to final descent. The TCA floor altitudes were selected simultaneously and in conjunction with selecting amended approach segment altitudes. (5) The floor altitude south of Diamond Head has been lowered from 1,500 feet to 1,000 feet to contain the Stage III arrival procedure to Runways 4 within TCA airspace. This area has been combined with the area over the Ala Wai Heliport which was raised from 500 feet to 1,000 feet because jet aircraft would be above that altitude in that area. This combined area is now labeled Area J. (6) The northwest boundary of Area F has been relocated so that the flight paths of arrivals ove BAMBO Intersection are clearly contined within the TCA.

The following are proposed responses to recommendations made that the FAA proposes not to adopt: (1) It was stated that the TCA should not contain airspace used by hang gliders. This suggestion would be rejected because hang glider operations would not involve aircraft operating from the Honolulu Airport. (2) It was requested the ceiling of Area I (previously identified as Area H) be lowered to 2,500 feet to allow earlier exiting of the TCA. This is not being proposed because of the communications requirement in the airport traffic area for other aircraft operating in the area at or below 3,000 feet. To keep pilot procedural requirements as uncomplicated as possible, it is simpler to contain the airport traffic area northeast of the airport within the TCA. (3) Suggested vertical buffers of flight paths are not provided. Pilots of aircraft operating beneath the TCA could expect that aircraft in the TCA may be at a floor altitude. In most cases, however, these aircraft will be climbing or descending and would more likely be closer to the floor altitude on the boundary of an area closer to the airport. (4) It was stated that heavily loaded jet departures may not be able to remain at or above the floor altitudes nor to exit out the top of the TCA (for those flights at or above 9,000 feet). Observation of aircraft performance has verified that these aircraft are able to remain within the TCA. If an aircraft that is required to operate at or above the designated floor of the TCA is unable to make a sufficient rate of climb, the pilot would be expected to request authorization from ATC to operate at a lower altitude or extend the flight path a sufficient distance to reach the altitudes. It is expected this need would rarely arise. (5) It was suggested that the proposed floor altitude of Area F is too high for departures of heavy aircraft climbing during trade wind conditions and for BAMBO arrivals during Kona conditions. In both conditions sufficient flight path distance is available. A minimum of 21 flying miles would exist to Area F from takeoff on Runway 8R flying the Standard Instrument Departure (SID) routes. For the Runway 26L arrival, aircraft are normally vectored south of BAMBO, around Koko Head and then to the airport. The shortest distance would be 30 flying miles to the runway; however, a slightly longer route length is normal. (6) For the same reasons, the suggestion to relocate the boundary between Areas E and F to the Koko Head VORTAC 111°T(100°M) radial is not being proposed. Leaving altitudes below 5,000 feet available for other VFR use also provided airspace for known overflights that are expected to transit the area outside the TCA, i.e., under Area F and north and over the remaining areas. (7) It was stated that the floor of Area D was too high to conduct an approach from ALCOR to Runway 8L and 4R and that Area G should be expanded to allow earlier descent for a stabilized approach. For the ILS Runway 8L procedures, the glide slope interception altitude would be raised 100 feet to use a cardinal altitude that will correspond to Area D. The normal flight path and altitudes from ALCOR on vector to Runways 4 would be at or above 3,000 feet until clear of the Barbers Point airport traffic area. The nonradar altitudes have been amended to be contained in the TCA. Area G and the new Area H are proposed to contain the ILS and VOR procedures to Runway 8L and 8R. The original calculations of altitude and range data have been corrected in the current proposal. These areas are designated so the flight paths and altitudes of the large turbine powered aircraft are contained in the TCA and provide the least possible impact on airport activity. (8) Airways and standard terminal arrival route (STAR) minimum en route altitudes (MEAs) have not been entirely contained in the proposed TCA nor is that the normal practice. SIDs, descent profiles and IFR approach procedures are contained in the TCA proposal. (9) An opinion was expressed that the TCA would compress air carrier flight procedures into the smallest airspace possible because the initial and intermediate approach segment altitudes were being raised rather than designating the TCA to contain the altitudes previously published. The previous altitudes were based on absolute minimum altitudes considering obstructions and navaid reception. The new altitudes proposed are more realistic in terms of actual need and use and still provide adequate transition from the en route to approach phase of flight. With regard to the narrowness of the proposed Areas G and H, the noise abatement procedures, minimum radar vectoring altitudes and VFR traffic activity in the Barbers Point traffic pattern area south of that airport preclude a normal radar turn on to the ILS below 3,000 feet. Therefore, establishing these two areas as proposed would not adversely affect aircraft making an approach to Runway 8L. This configuration also responds to a need expressed by the U.S. Navy, which operates Barbers Point and its control tower.

FAR 91.90(a)(ii) requires that, unless otherwise authorized by ATC, a large turbine powered airplane operating to or from a primary airport shall operate at or above the designated floors while within the lateral limits of the TCA. It is the FAA's intention, through the design of the TCA, that aircraft enter and exit through the ceiling except when approaching at, or requesting to exit at, a lower altitude. Rate of climb used for planning purposes considers a worst case condition of 300 feet per mile. This same rate is used in planning descent profiles. The design also is intended to fully contain the IFR procedures used by large turbine powered aircraft arriving and departing the primary airport. These guidelines have been followed except that an aircraft flying the Coral SID and using the standard climb rate would exit the TCA at 8,100 feet. This is not considered a significant deviation since the top altitude of 9,000 feet was selected to contain overflights north of this area transiting the island chain to Kauai. As previously stated, public comment is invited on FAA's proposed disposition of those comments and suggestions.

The proposed TCA would be established as a Group II TCA; therefore, the requirements of § 91.90(b) would apply to operations within the TCA. This includes ATC authorization to enter the TCA, two-way radio communications within the TCA, and the requirement that large turbine engine powered airplanes remain at or above the designated floors of the TCA segments while operating to or from the primary airport within the TCA. Aircraft operating within the TCA would be required to be equipped with a VOR or TACAN receiver (except for helicopters), two-way radio, and a transponder. Section 91.90(b) should be reviewed for the details of these provisions.

The Proposed Amendment

Accordingly, pursuant to the authority delegated to me, the Federal Aviation Administration proposes to amend § 71.401(b) of Part 71 of the Federal Aviation Regulations (14 CFR Part 71) as republished (44 FR 660) by adding a new Group II Terminal Control Area to read as follows:

Subpart K—Terminal Control Areas

§ 71.401 Designation.

* * * * *

(b) Group II, Terminal Control Areas:

* * * * *

Honolulu, Hawaii, Terminal Control Area

Primary Airport

Honolulu International Airport (Lat. 21° 19' 20" N., Long. 157° 55' 27" W.) Boundaries.

Area A. That airspace extending upward from the surface to and including 9,000 feet MSL within an area bounded by a line beginning at the Honolulu ILS Runway 4R DME (Lat. 21° 20' 01" N., Long. 157° 54' 23" W.), thence via a bearing 105°T (094°M) to the 4-mile DME point, thence direct to a point bearing 145°T (134°M) and 4.5 miles from the ILS Runway 4R DME, thence via a 145°T (134°M) bearing to and clockwise via the 7.5-mile radius arc of the ILS Runway 4R DME to and along the Honolulu VORTAC (Lat. 21° 19' 41" N., Long. 158° 01' 56" W.) 179°T (168°M) and 359°T (348°M) radials to and eastbound along a line 0.5-miles north of and parallel to the ILS Runway 8L localizer course to a point 1.5-miles west of the ILS Runway 4R DME, thence direct to the point of beginning.

Area B. That airspace extending upward from 1,500 feet MSL to and including 9,000 feet MSL between 7.5-miles and 15-miles of the ILS Runway 4R DME and between the Honolulu VORTAC 134°T (123°M) radial clockwise to a line 1.5-miles northwest of and parallel to the ILS Runway 4R localizer course, excluding Area A.

Area C. That airspace extending upward from 2,000 feet MSL to and including 9,000 feet MSL between 15-miles and 22-miles of the ILS Runway 4R DME and between the Koko Head VORTAC (Lat. 21° 16' 06" N., Long. 157° 42' 21" W.) 111°T (100°M) radial clockwise to a line 1.5-miles northwest of and parallel to the ILS Runway 4R localizer course.

Area D. That airspace extending upward from 3,000 feet MSL to and including 9,000 feet MSL that is within 22-miles of the ILS Runway 4R DME south of a line 0.5-miles north of and parallel to the Honolulu VORTAC 293°T (282°M) radial, north of a line 1.5-miles northwest of and parallel to the ILS Runway 4R localizer course, and west of the Honolulu VORTAC 179°T (168°M) and 359°T (348°M) radials, excluding Areas G and H.

Area E. That airspace extending upward from 4,000 feet MSL to and including 9,000 feet MSL within a 32-mile radius of the ILS Runway 4R DME extending from the Honolulu VORTAC 119°T (108°M) radial clockwise to Lat. 20° 49' 00" N., Long. 157° 46' 35" W., to Lat. 20° 52' 00" N., Long. 157° 50' 00" W., to Lat. 20° 48' 20" N., Long. 157° 50' 00" W., thence clockwise via a 32-mile radius of the ILS Runway 4R DME to Lat. 20° 51' 30" N., Long. 158° 10' 00" W., to Lat. 21° 00' 00" N., Long. 158° 10' 00" W., to Lat. 21° 00' 00" N., Long. 158° 18' 00" W., to Lat. 20° 59' 02" N., Long. 158° 19' 58" W., thence clockwise via a 32-mile radius of the ILS Runway 4R DME to a line 0.5-miles north of and parallel to the Honolulu VORTAC 293°T (282°M) radial, excluding Areas A, B, C, D, G and H.

Area F. That airspace extending upward from 5,000 feet MSL to and including 9,000 feet MSL bounded by a line 0.5-miles northwest of and parallel to the Koko Head VORTAC 050°T (039°M) radial beginning at the Koko Head 291°T (380°M) radial and extending to Lat. 21°25'15" N., thence via a southeast-bound line tracking 152°T (141°M) to and along the 32-mile radius arc of the ILS Runway 4R DME to and along the Honolulu VORTAC 119°T (108°M) radial to a point 22-miles from the ILS Runway 4R DME, thence direct to the point of beginning, excluding Areas C and J.

Area G. That airspace extending upward from 1,600 feet MSL to and including 9,000 feet MSL within an area bounded by lines 0.5-miles parallel to and on both sides of the ILS Runway 8L localizer course, on the east by the Honolulu VORTAC 179°T (168°M) and 359°T (348°M) radials and on the west by the 2-mile radius arc from the Honolulu VORTAC.

Area H. That airspace extending upward from 2,200 feet MSL to and including 9,000 feet MSL within an area bounded by lines 0.5-miles parallel to and on both sides of the ILS Runway 8L localizer course, on the east by the 2-mile radius arc from the Honolulu VORTAC and on the west by an arc 9-miles west of the Honolulu VORTAC.

Area I. That airspace extending upward from the surface to and including 3,000 feet MSL that is within the Honolulu, Hawaii, control zone east of Long. 157° 56' 00" W., excluding Area A.

Area J. That airspace extending upward from 1,000 feet MSL to and including 9,000 feet MSL between 4-miles and 15-miles of the ILS Runway 4R DME and between the Koko Head VORTAC 111°T (100°M) and 291°T (280°M) radials clockwise to the Honolulu VORTAC 134°T (123°M) radial, excluding Area A.

(Secs. 307, 313(a), and 1110, Federal Aviation Act of 1958 (49 U.S.C. 1348, 1354(a), and 1510); Executive Order 10854 (24 FR 9565); sec. 6(c), Department of Transportation Act (49 U.S.C. 1655(c)); and 14 CFR 11.65)

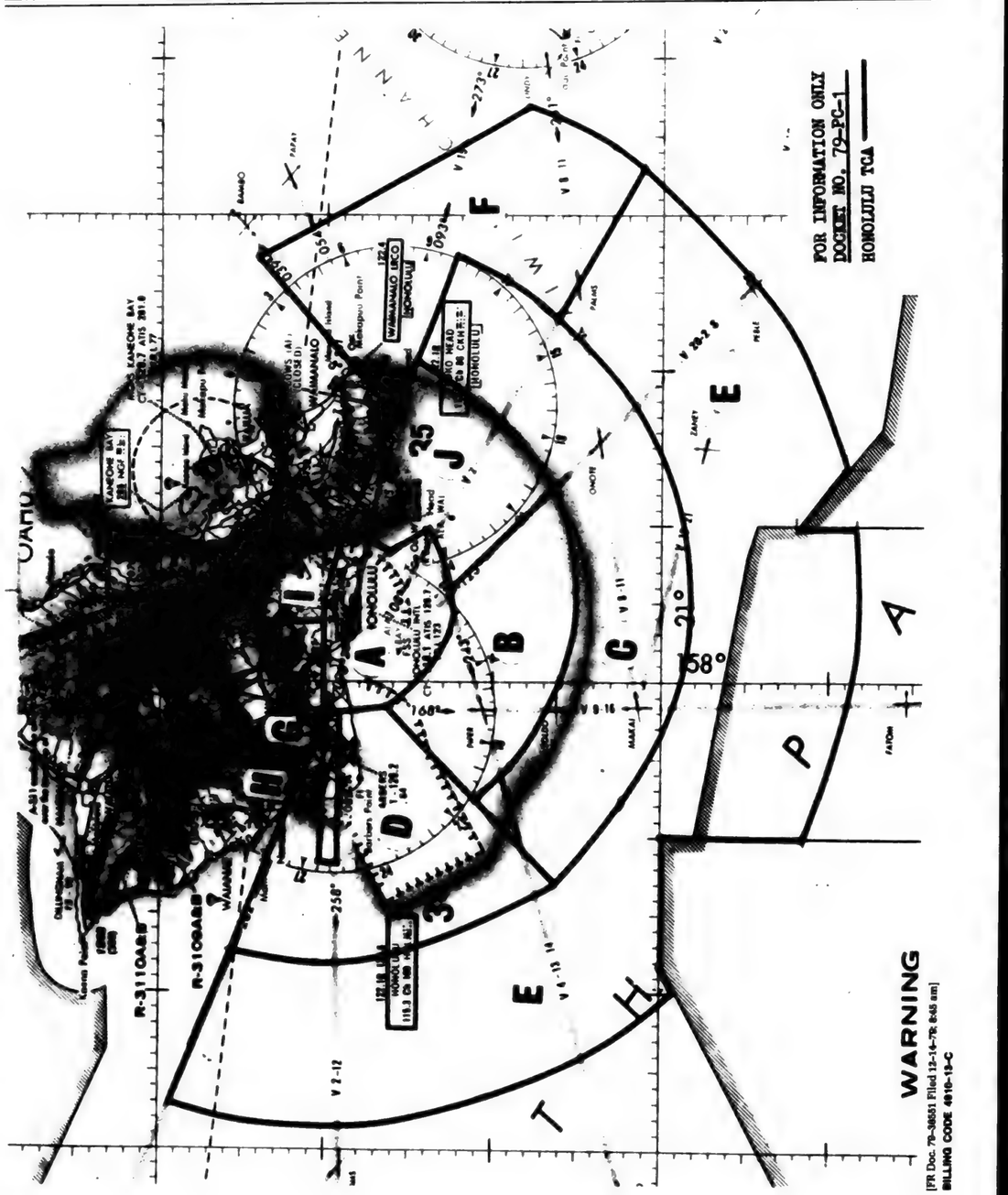
Note.—The FAA has determined that this document involves a proposed regulation which is not significant under Executive Order 12044, as implemented by DOT Regulatory Policies and Procedures (44 FR 11034; February 26, 1979). However, establishment of this terminal control area in concert with the proposed establishment or alteration of many other terminal control areas has been determined to be significant. Therefore, this action is included in the draft evaluation prepared in conjunction with that comprehensive action. Copies of the evaluation are in the Washington and Regional dockets, and may be obtained by contacting the person identified above under the caption "For Further Information Contact * * *"

Issued in Washington, D.C., on December 12, 1979.

R. J. Van Vuren,

Acting Director, Air Traffic Service.

BILLING CODE 4910-13-M



[FR Doc. 79-38851 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-C

CONSUMER PRODUCT SAFETY COMMISSION

16 CFR Ch. II

Consumer Products Containing Asbestos; Extension of Comment Period on Advance Notice of Proposed Rulemaking

AGENCY: Consumer Product Safety Commission.

ACTION: Extension of comment period.

SUMMARY: The Commission extends the time for submission of comments and information on the Commission's Advance Notice of Proposed Rulemaking on Consumer Products Containing Asbestos from December 17, 1979 until February 18, 1980. The Commission is taking this action at the request of several interested parties who indicate that they are unable to prepare comments by the December 17 deadline.

DATE: Comments and information are due on or before February 18, 1980. Comments received after this date will be considered only to the extent practicable.

ADDRESS: Comments and information should be sent, preferably in five copies, to Office of the Secretary, Consumer Product Safety Commission, Washington, D.C. 20207, and should refer to "Asbestos." Received comments and other relevant information may be examined in copies obtained from Office of the Secretary, 1111 18th Street, N.W., 3rd Floor, Washington, D.C. 20207 during business hours Monday through Friday.

FOR FURTHER INFORMATION CONTACT: Francine Shacter, Program Manager, Office of Program Management, Consumer Product Safety Commission, Washington, D.C. 20207, telephone (301) 492-6557. For information concerning financial compensation for public participation in this investigation, contact Catherine Bolger, Office of the Secretary at the above address, telephone (202) 254-6241.

SUPPLEMENTARY INFORMATION: On October 17, 1979 the Commission published in the **Federal Register** (44 FR 60057) an Advance Notice of Proposed Rulemaking (ANPRM) concerning consumer products containing asbestos. At the same time the Environmental Protection Agency (EPA) published an ANPRM concerning human exposure to asbestos from many sources (44 FR 60061). The two agencies announced their plan that all investigations on asbestos and any possible resulting regulations would be coordinated, compatible, and nonduplicative to the extent possible.

In its ANPRM, the Commission stated that consumer exposure to asbestos from consumer products may present an unreasonable risk of injury from cancer and respiratory disease and that some consumer products containing asbestos may present a substantial product hazard. In order to have the best possible information available to it as it makes regulatory decisions concerning asbestos, the Commission solicited in the notice general information on the use of asbestos in consumer products. The notice also described the Commission's proposed regulatory approach to asbestos and asked for public comment on the approach. The notice specified that comments and information should be submitted on or before December 17, 1979.

On November 21, 1979 the Commission received a request from the Asbestos Information Association/North America (AIA/NA) that the Commission extend the comment deadline in the ANPRM for 120 days or in the alternative, for 60 days initially, to discuss possible problems in responding to the ANPRM. The primary reason for the AIA/NA request was that the Association needed additional time to compile the information on many different product lines which is requested in the CPSC ANPRM. After receipt of the AIA/NA letter, the Commission received four other similar requests for extensions of the comment period. The John-Manville Corporation requested a 120 day extensions; the General Electric Company and the Armstrong Cork Company asked for 90 day extensions and the Sears, Roebuck and Company requested a 30 day extension.

The Commission is aware that EPA has receive a number of requests for extension of the December 17 comment deadline announced in its ANPRM. Elsewhere in this issue of the **Federal Register** EPA is extending this deadline by two months.

In an effort to obtain the best possible information from the public on asbestos in consumer products and to continue to coordinate Commission asbestos activities with those of EPA, the Commission has decided to extend the comment period on its ANPRM for two months until February 18, 1980. The Commission believes this extension should provide commenters with sufficient time to respond to the questions raised in the Commission's ANPRM.

In conclusion, comments on the ANPRM concerning consumer products containing asbestos are due by February 18, 1980. As explained in the ANPRM, the Commission will make available financial compensation for reasonable expenses incurred in furnishing comments for groups or individuals who might otherwise not have the means to furnish comments in this matter. Interested individuals or groups should promptly contact the Office of the Secretary concerning financial compensation. Requests for confidentiality of comments and information submitted will be handled in accordance with section 6(a)(2) of the CPSA (15 U.S.C. 2055(a)), the Freedom of Information Act as amended (5 U.S.C. 552), and the Commission's regulations under that act. (16 CFR Part 1015, February 22, 1977).

Dated: December 11, 1979.

Sadye E. Dunn,

Consumer Product Safety Commission.

[FR Doc. 79-38688 Filed 12-14-79; 8:45 am]

BILLING CODE 6355-01-M

DEPARTMENT OF ENERGY

Federal Energy Regulatory Commission

18 CFR Parts 280 and 284

[Docket No. RM80-11]

Statement of Policy on Distributor Access to Outer Continental Shelf Gas; Extension of Time

December 7, 1979.

AGENCY: Federal Energy Regulatory Commission.

ACTION: Notice of Extension of Time.

SUMMARY: The date for filing comments on the proposed rulemaking and the date for the public hearing are extended pursuant to a request by the Interstate Natural Gas Association of America.

DATES: Comments due on or before January 7, 1980; Requests to participate in the public hearing due on or before December 31, 1979; Public hearing re-scheduled to January 7, 1980.

ADDRESS: FERC, 825 North Capitol Street, NE., Washington, D.C. 20426.

FOR FURTHER INFORMATION CONTACT: Kenneth F. Plumb, Secretary, (202) 357-8400.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38488 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

DEPARTMENT OF THE TREASURY

Customs Service

19 CFR Part 6

Applicability to Aircraft of Customs Laws and Regulations Applicable to Vessels

AGENCY: U.S. Customs Service, Department of the Treasury.

ACTION: Proposed rule.

SUMMARY: Aircraft arriving from contiguous foreign territory currently are subject to Customs laws and regulations applicable to *vehicles* arriving from contiguous foreign territory. Aircraft arriving from any other (non-contiguous) foreign territory are subject to Customs laws and regulations applicable to *vessels* arriving from non-contiguous foreign territory. Because of this difference in treatment, aircraft arriving from contiguous foreign territory are not subject to the same administrative and enforcement provisions as aircraft arriving from non-contiguous foreign territory.

This document proposes to amend the Customs Regulations to provide that aircraft arriving from any foreign territory and the persons and merchandise, including baggage, carried on the aircraft shall be subject to the *vessel* laws and regulations enforced and administered by Customs.

DATES: Comments must be received on or before February 15, 1980.

ADDRESS: Comments (preferably in triplicate) should be addressed to the Commissioner of Customs, Attention: Regulations and Research Division, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 2335, Washington, D.C. 20229.

FOR FURTHER INFORMATION CONTACT: Stuart P. Seidel, Office of the Chief Counsel, U.S. Customs Service, 1301 Constitution Avenue, N.W. Washington, D.C. 20229 (202–566–5476).

SUPPLEMENTARY INFORMATION:

Background

Section 6.10, Customs Regulations (19 CFR 6.10), currently differentiates between aircraft arriving from contiguous foreign territory and those arriving from any other (non-contiguous) foreign territory. Aircraft arriving from contiguous foreign territory are subject to the Customs laws and regulations applicable to vehicles ariving from contiguous foreign territory. Aircraft arriving from any other (non-contiguous) foreign territory are subject to the Customs laws and regulations applicable to vessels arriving from non-contiguous foreign territory.

Customs has determined that for purposes of entry, aircraft arriving from contiguous and non-contiguous foreign territory are in fact treated the same. However, because of the wording of § 6.10, aircraft arriving from contiguous foreign territory are not subject to the same administrative and enforcement provisions as aircraft arriving from noncontiguous foreign territory. For example, section 3 of the Anti-Smuggling Act of 1935 (19 U.S.C. 1703) provides for the seizure and forfeiture of vessels built, purchased, or fitted out for the purpose of being employed to defraud the revenue or to smuggle merchandise into the United States or into the territory of a foreign government (providing the foreign government has reciprocal provisions with respect to the laws of the United States). That section further provides that the fact that the vessel has become subject to pursuit as provided in 19 U.S.C. 1581, or fails to display lights as required by law, shall be *prima facie* evidence that the vessel is being employed to defraud the revenue of the United States.

Under 49 U.S.C. 1509, the Secretary of the Treasury is authorized to apply to civil aircraft the laws and regulations relating to the administration of the Customs laws and to the entry and clearance of vessels, to such extent as the Secretary deems necessary. Furthermore, 49 U.S.C. 1474 establishes a $500 penalty for each violation of such regulations and, in the case of a violation by the owner or person in command, the penalty is a lien against the aircraft which may be enforced by summary seizure or a libel *in rem*. In addition, any aircraft used in connection with any violtaion of the Customs laws or regulations made applicable to aircraft shall be liable to seizure and forfeiture as provided for in the Customs laws.

Based on these statutes, the provisions of the Anti-Smuggling Act, particularly those sections relating to seizure of vessels fitted out for smuggling or not displaying lights (19 U.S.C. 1703), may be made applicable to aircraft, regardless of the origin of the flight. An aircraft thus could be seized under 19 U.S.C. 1703 for having been employed to defraud the revenue or to smuggle merchandise. Operating without lights would constitute a statutory presumption of such violation. However, because of the wording of section 6.10, 19 U.S.C. 1703 applies only to aircraft arriving from non-contiguous foreign territories. Customs is not aware of any reason for the different treatment applicable to aircraft arriving from contiguous and non-contiguous foreign territory which is provided for by section 6.10.

The inability to apply the provisions of 19 U.S.C. 1703 to aircraft arriving from contiguous foreign territory has hampered Customs enforcement efforts on the United States-Mexico border. Customs officers have documented an increasing number of aircraft crossing the border under cover of darkness to avoid detection and apprehension. All aircraft are required to display navigation lights after sunset and before sunrise by the Federal Aviation Administration regulations (14 CFR 91.73). Numerous instances of aircraft flying without navigation lights have been detected by Customs officers along the border and many aircraft have been found with seats removed or other wise altered or fitted out for smuggling. Therefore, it is believed that many of these "smuggler" aircraft could be detected and apprehended if the appropriate Customs laws were applied. Accordingly, it is proposed to amend section 6.10 to provide for the application to aircraft arriving or having arrived from *any* foreign territory of all enforcement and administrative provisions administered by Customs which are applicable to vessels arriving or having arrived from a foreign port or place.

Authority

This amendment is proposed under the authority of R.S. 251, as amended, and sections 624, 644, 46 Stat. 759, 761, (19 U.S.C. 66, 1624, 1644, 49 U.S.C. 1474, 1509 (b) and (c)).

Comments

Before adopting this proposal, consideration will be given to any written comments, submitted timely to the Commissioner of Customs. Comments submitted will be available for public inspection in accordance with section 103.8(b), Customs Regulations (19 CFR 103.8(b)), during regular business hours at the Regulations and Research Division, Headquarters, U.S. Customs Service, 1301 Constitution Avenue, N.W. Room 2335, Washington, D.C. 20229.

Inapplicability of E.O. 12044

This document is not subject to the Treasury Department directive (43 FR 52120) implementing Executive Order 12044, "Improving Government Regulations", because the proposal was in process before May 22, 1978, the effective date of the directive.

Drafting Information

The principal author of this document was Leonard L. Rosenberg, Office of Regulations and Rulings, U.S. Customs Service. However, personnel from other Customs offices participated in its development.

Proposed Amendment to the Regulations

It is proposed to amend section 6.10, Customs Regulations (19 CFR 6.10), to read as follows:

§ 6.10 General provisions.

Except as otherwise provided for in this part, and insofar as such laws and regulations are applicable, aircraft arriving or having arrived from any foreign port or place and the persons and merchandise, including baggage, carried thereon, shall be subject to the laws and regulations applicable to vessels arriving or having arrived from any foreign port or place, to the extent that such laws and regulations are administered by the Customs Service.

R. E. Chasen,

Commissioner of Customs.

Approved: November 13, 1979.

Richard J. Davis,

Assistant Secretary of the Treasury.

[FR Doc. 79-38538 Filed 12-14-79; 8:45 am]

BILLING CODE 4810-22-M

LIBRARY OF CONGRESS

Copyright Office

37 CFR Part 201

[Docket RM 79-4]

General Provisions; Compulsory License for Cable Systems

AGENCY: Library of Congress, Copyright Office.

ACTION: Advance notice of proposed regulations.

SUMMARY: This notice is issued to advise the public that the Copyright Office of the Library of Congress proposes to adopt certain technical and clarifying amendments to its revised regulations implementing portions of section 111 of the Copyright Act of 1976, title 17 U.S.C. That section prescribes conditions under which cable systems may obtain a compulsory license to retransmit copyrighted works, including the filing of Statements of Account. The proposed amendments would revise certain regulatory requirements concerning the filing of Statements of Account.

DATE: Written comments should be received on or before January 21, 1980.

ADDRESSES: Ten copies of written comments should be addressed, if sent by mail, to: Office of the General Counsel, U.S. Copyright Office, Library of Congress, Caller No. 2999, Arlington, Virginia 22202.

If delivered by hand, the copies should be brought to: Office of the General Counsel, Room 519, Crystal Mall Building No. 2, 1921 Jefferson Davis Highway, Arlington, Virginia.

FOR FURTHER INFORMATION CONTACT: Dorothy Schrader, General Counsel, U.S. Copyright Office, Library of Congress, Washington, D.C. 20559, (703) 557–8731.

SUPPLEMENTARY INFORMATION: Section 111(c) of the Copyright Act of 1976 (Act of October 19, 1976, 90 Stat. 2541) establishes a compulsory licensing system under which cable systems may make secondary transmissions of copyrighted works. The compulsory license is subject to various conditions, including requirements that the cable system comply with provisions regarding deposit of Statements of Account under section 111(d)(2).

On June 27, 1978, the Copyright Office published in the **Federal Register** (43 FR 27827) amendments to its regulations (37 CFR 201.17) governing the form, content, and filing of Statements of Account. Further experience with these regulations has led us to propose certain clarifying and technical amendments, as follows:

1. *Date or dates of receipt.* When Statements of Account, royalty fee payments, or other related documents or payments are received in the Copyright Office, the Licensing Division of the Copyright Office checks whether they contain obvious errors or omissions. However, the Licensing Division does not examine the documents or payments for all possible errors or omissions. For example, on Forms CS/SA–2 and CS/SA–3, we will check to make sure that the same "gross receipts" figure is given in spaces K and L, and we will check the accuracy or the arithmetic laid out in space L. However, although there should be some rough correspondence between the amount of "gross receipts" given in space K and the result of multiplying the number of subscribers and the amounts of rates given in space E, it is not our practice to compute totals in space E and compare the result with space K. This is because the information in the two spaces reflect different time periods (space E calls for figures as of the last day of the accounting period and space K calls for gross receipts for the entire accounting period) and also because the figure in space K may vary depending on whether the cable system's accounting is done on an accural or cash basis.

The present regulations concerning deposit of royalty fees and filing of Statements of Account (37 CFR 201.17(c)(2)) provide for a "date of acceptance by the Copyright Office" and authorize the Office to require correction of errors or omissions before the documents will be "accepted." The text of the relevant paragraph reads as follows:

(2) The date of acceptacne by the Copyright Office will be the date when both a proper Statement of Account and appropriate royalty fee are received in the Copyright Office. The Copyright Office will advise cable systems of errors or omissions appearing on the face of documents submitted to it, and will require that any such obvious errors or omissions be corrected before the documents will be accepted. However, acceptance and filing of any document by the Copyright Office shall establish only the fact and date thereof; such acceptance and filing shall in no case be considered a determination that the document was, in fact, properly prepared or that all of the requirements to qualify for a compulsory license have been satisfied.

Consistent with this provision, the boxes in the upper right hand corner of the three Statement of Account forms (CS/SA–1, 2, and 3) call for two dates to be added by the Copyright Office under the headings "Application Received" and "Accepted."

Since statutory deadlines are involved, and since there could be serious consequences for late filing, it is important that the form reflect the exact date when the royalty fee was deposited and the Statement of Account was received in the Copyright Office. There will necessarily be a time lag between receipt and examination—and, since the bulk of filings are made just before the deadline, it may be days or weeks before the Office determines whether errors or omissions exist that require correction or whether an additional royalty fee must be deposited. If, following letters, phone calls, or personal visits, changes are made in the information on the Statement or an additional fee is deposited, the date when the additional information or money was received should also be reflected on the form.

At the same time, having spaces for two dates on the form, the way the headings of those two spaces are worded, and the language in the regulations about "acceptance," have led to various misunderstandings. We believe that nothing on the form as finally placed on record should in any way suggest either that (1) the filing date, with its statutory consequences, has anything to do with the date the Copyright Office examines and finally

processes the document; or (2) that the Office has sought to verify the information given and, by placing it on record, has given it some sort of official imprimatur or evidentiary weight. To remove any possible ambiguity on these points, we are proposing the following changes:

(1) The headings of the two boxes on the forms will be changed to read: "Deposit and Statement Received" and "Additional Deposit and/or Information Received." To avoid the expense of reprinting the forms for this purpose, the present printed headings will be changed by hand at the time of examination.

(2) The date given in the box headed "Deposit and Statement Received" will be the date when the fee and form are physically received in the Copyright Office. If there are no errors or omissions requiring changes on the form or deposit of additional money, this is the only date that will appear in the boxes on the form.

(3) If an additional deposit is made or if there are changes in the information on the form as the result of communications between the Copyright Office and the cable system, the date that additional deposit or information was actually received in the Office will be added to the box headed "Additional Deposit and/or Information Received."

(4) The regulations will be amended to reflect this practice and to delete any reference to "acceptance."

Under the proposed amendment the Licensing Division will continue to examine the Statements of Account and royalty fee payments for errors and omissions, and will continue to require correction of obvious errors or omissions before placing the Statement in the completed record of Statements of Account. If additional fees or information are received, the Statement of Account will reflect both the original date of receipt and the later date of receipt of the additional material. However, the regulations will continue to make clear that placing the documents in the completed records of the Copyright Office does not imply any determination that the statutory requirements of section 111 have been met, and will add that the statement of a date or dates of receipt on the form reflect actual receipt in the Copyright Office, and are not intended to be taken as a legal determination by the Copyright Office that the statutory deadlines have or have not been met.

2. *Time limitations.* Under section 111(d) of the Act, the Copyright Office has issued regulations setting forth certain time limitations in connection with the filing by cable system owners of the Statements of Account and royalty fees, 37 CFR 201.17(c)(1). For the first semiannual accounting period in a particular year (January 1 through June 30), the Statement and fee should be deposited between July 1 and August 29 of that year; for the second semiannual accounting period in a particular year (July 1 through December 31), the Statement and fee should be deposited between January 1 and March 1 of the next succeeding year.

We are proposing to add a new subparagraph (3) to § 201.17(c) to clarify the relationship of these filing periods to our handling of Statements and fees. The first part of the subparagraph states that Statements of Account and fees will not be accepted before the end of the accounting period they purport to cover; for example, a Statement covering the accounting period of January 1, 1980 through June 30, 1980, will not be accepted before July 1, 1980. The second part states the general rule that we will not inquire into the timeliness of Statements and fees filed after the end of the accounting period, and makes clear that we will not refuse to accept late filings. As indicated above, the form will give the actual date or dates of receipt, without characterizing that information in any other way. It must be emphasized, however, that our action in such cases cannot be interpreted as relieving the compulsory licensee of any statutory obligations or of the consequences of a late filing, and will only have whatever effect a court may determine.

3. *Distant signal equivalent values.* Paragraph (f) of section 111 of the Copyright Act sets forth the definition of "distant signal equivalent," and this definition is incorporated by reference in the Copyright Office regulations. This definition provides that, in four specified exceptions, the ordinary distant signal equivalent value of a distant television station can be reduced in accordance with certain special formulas. Stated generally, these four exceptions cover certain cases of : (1) Part-time specialty programming; (2) late-night programming; (3) part-time carriage because of lack of activated channel capacity; and (4) live non-network programming substituted for programs deleted at the option of the cable system. Space G of Statement of Account Forms CS/SA–2 and CS/SA–3 requires identification of the basis on which cable systems carried distant stations during the accounting period, and Space I requires logging of substitute carriage. The DSE Schedule attached to Form CS/SA–3 is then used by those systems whose semiannual gross receipts for secondary transmissions total $160,000 or more in calculating their total number of distant signal equivalents. This schedule carefully follows the formulas set out in the statute in allowing reduction of distant signal equivalents on the bases specified in paragraph (f) of section 111.

In the course of examining Statements of Account covering the first three accounting periods, we have come across several Statements where the effort had been made to reduce distant signal equivalents on some basis other than those specifically addressed in the DSE Schedule. We have also received inquiries as to whether apportionment, or pro-rata adjustment of DSE values might be possible in cases other than those in the DSE Schedule. Situations raising these questions include the following:

- A distant signal is either added or deleted during an accounting period;
- The market position of a station changes during an accounting period, with the result that the station's signals become "may carry" rather than "must carry" (or vice versa);
- A signal is carried full-time for part of an accounting period, and on a part-time, late-night, specialty, or substituted basis during another part of the accounting period;
- During an accounting period, a signal changes its "type of station" status from a network station or a noncommercial educational station to an independent station (or vice versa); or
- For some reason, such as grandfathering, one part of a cable system receives more distant secondary transmissions than other parts of the same system.

None of the provisions of the Copyright Act allowing for the adjustment of the DSE of a station is broad enough to cover any of these situations, nor is there any indication in the Act or its legislative history that adjustments going beyond the language of section 111(f) were contemplated or might be permissible. Accordingly, we are proposing to add a new subparagraph (3) to § 201.17(f) of the regulations to eliminate any doubt concerning this matter. (The existing subparagraph (3) would be renumbered and amended, as discussed in the next section of this notice.)

4. *Computation of distant signal equivalents.* Subparagraph (3) of § 201.17(f) allows cable systems to "round off to the third decimal point" in computing DSE's. During our examining process, we have come across several Statements where, when rounding off a fourth decimal point of 5 (for example, .3575), the owner rounded off to the lower of the two possible third decimal points (for example, .357 rather than .358). Although our regulation does not expressly cover the point we believe that, if the cable system chooses to round off in this situation, it should use the higher of the two possible third decimal points. We therefore propose to amend § 201.17(f) to clarify this position.

5. *Corrections, supplemental payments, and refunds.* As already discussed earlier in this notice, where the Copyright Office notes an obvious mistake in a Statement of Account or fee, it will notify the cable system owner and seek to get the error corrected. There have also been cases where, after the normal examining process has been completed, cable system owners themselves discovered their errors and requested corrections of Statements of Account, acceptance of supplemental royalty payments, or refunds of amounts paid. Although the Copyright Act does not expressly deal with these situations, we have concluded that it is within our authority and it would be reasonable, and beneficial to the accuracy of our records, to allow corrections, supplemental payments, and refunds to be made in limited cases and under certain conditions.

We are proposing to add a new paragraph (i) to § 201.17 of the regulations to deal with these cases. Paragraph (i)(1) specifies that corrections, supplemental payments, or refunds should be allowed in three situations: (1) Where incorrect or incomplete information was submitted; (2) where the royalty fee was miscalculated; or (3) where, in a special situation that existed only during the January 1–June 30, 1978 accounting period, the royalty fee was underpaid because the cable operator failed to compute royalties attributable to carriage of late-night, part-time, or specialty programming between January 1, 1978, and February 9, 1978. Confusion on the part of some cable system owners concerning the computation of the royalty fee in the latter case resulted from a provision in our regulations exempting cable systems from including in their Statements of Account the dates and hours of such carriage during that limited period. That exemption applied only to the requirements of paragraph (e)(9)(vi) of § 201.17 concerning the filing of information. The Copyright Office, of course, had no authority to relieve cable systems from their royalty obligations for such carriage, and had no intention of doing so.

New paragraph (i)(2) makes clear that corrections and supplemental payments will be accepted, and refunds will be issued, only on the basis of changes that took place during the accounting period in question. Changes occurring after the last day of that period would be relevant only to the next accounting period. Of course, this provision is not intended to relieve cable system owners from filing a "Notice of Change of Identity or Signal Carriage Complement" under § 201.11 of our regulations when such a Notice is required.

New paragraph (i)(3) of § 201.17 establishes the conditions under which corrections, supplemental payments, and refunds will be made in those cases where they are appropriate. These conditions are designed to give cable systems owners enough time to discover and advise the Copyright Office of errors, while also safeguarding the interests of copyright owners in obtaining accurate information and the full compensation due them for the use of their works by compulsory licensees. Paragraph (i)(3)(i)(B) requires that a request for a refund be made "before the expiration of 60 days from the end of the Statement of Account filing period provided for in paragraph (c)(1) of this section or by April 15, 1980, whichever is later." There are several good reasons for placing a rather short and strict time limit on requests for refunds: to enable the Copyright Office to fulfill its statutory obligation promptly to transfer royalty payments to the Treasury for investment in interest-bearing securities; to provide detailed accounting to the Copyright Royalty Tribunal; to assure that copyright owners will derive the intended benefits of prompt transfers and investment; and to prevent the Copyright Royalty Tribunal from being hampered in distributing the accumulated fees and interest to copyright owners.

New paragraph (i)(3)(iv)(A) requires the cable system to submit a check or money order payable to the Register of Copyrights in the amount of $15 where a correction is submitted, a supplemental royalty fee is deposited, or a refund is sought under paragraphs (i)(1)(i) and (ii) of § 201.17. This filing fee is to cover our administrative expenses and is authorized under section 708(a)(11) of the Copyright Act; since the error was the fault of the cable owner, we do not feel that the processing costs involved in correcting our records and accounts should be deducted either from the royalties owing to copyright owners or from the general operating funds of the Office. (A special exception is made in paragraph (i)(3)(iv)(A): no filing fee is required where a supplemental payment is made under paragraph (i)(1)(iii), covering the period January 1, 1978–February 9, 1978.)

With respect to the form of the payment of royalty fees, paragraph 10 of the supplementary information accompanying our final regulations as issued on June 27, 1978 (43 FR 27829) stated:

> Copyright royalty fees are due on the dates specified in the regulations, and, after deducting administrative costs of the Copyright Office, are to be invested by the Department of the Treasury in "interest-bearing United States securities for later distribution with interest" to copyright owners. Copyright owners are thus entitled to interest earned on royalty fees from the earliest date on which purchase of the securities can be accomplished. In order to assure that none of this interest is lost to copyright owners because of payment by a check drawn on an account with insufficient funds, and also to assure that no administrative costs are incurred in handling bad checks, we are requiring in § 201.17(h) that all copyright royalty fee payments be made by certified check, cashier's check, or money order.

Despite some continuing complaints about this requirement, we believe that, as an accounting matter, we are obliged to obtain royalty fees in a form immediately payable upon receipt—that is, certified check, cashier's check, or money order. Under new paragraph (i)(3)(iv)(B), this requirement will also apply to supplemental payments made under the new procedure to correct an underpayment. However, since the same accounting considerations do not apply to the $15 filing fee, we would accept personal or company checks payable to the Register of Copyrights for payment of this fee, and this is made clear in paragraph (i)(3)(iv)(A).

The statute does not itself provide specifically for amendments or supplemental payments, and it does make proper and timely filing a condition of the compulsory license. For this reason, new paragraph (i)(4) also states that "the filing of a correction or supplemental payment shall have only such effect as may be attributed to it by a court of competent jurisdiction."

In consideration of the foregoing, it is proposed to amend Part 201 of 37 CFR Chapter II, in the manner set forth below.

§ 201.17 Statements of account covering compulsory licenses for secondary transmissions by cable systems. [Amended]

1. By revising § 201.17(c)(2) (as adopted on June 27, 1978) to read as follows:

* * * * *

V 44 D E 17 7 9 UMI

(c) ***
(1) ***
(2) Upon receiving a Statement of Account and royalty fee, the Copyright Office will make an official record of the actual date when such Statement and fee were physically received in the Copyright Office. Thereafter, the Office will examine the Statement and fee for obvious errors or omissions appearing on the face of the documents, and will require that any such obvious errors or omissions be corrected before final processing of the documents is completed. If, as the result of communications between the Copyright Office and the cable system, an additional fee is deposited or changes or additions are made in the Statement of Account, the date that additional deposit or information was actually received in the Office will be added to the official record of the case. However, completion by the Copywright Office of the final processing of a Statement of Account and royalty fee deposit shall establish only the fact of such completion and the date or dates of receipt shown in the official record. It shall in no case be considered a determination that the Statement of Account was, in fact, properly prepared and accurate, that the correct amount of the royalty fee had been deposited, that the statutory time limits for filing had been met, or that any other requirements to qualify for a compulsory license have been satisfied.
* * * * *

2. By adding a new subparagraph (3) to § 201.17(c) to read as follows:
* * * * *

(3) Statements of Account and royalty fees received before the end of the particular accounting period they purport to cover will not be processed by the Copyright Office. Statements of Account and royalty fees received after the filing deadlines of August 29 or March 1, respectively, will be accepted for whatever legal effect they may have, if any.
* * * * *

3. By adopting, after subparagraph (2) of § 201.17(f) (as adopted on June 27, 1978), a new subparagraph (3) to read as follows:
* * * * *

(f) ***
(1) ***
(2) ***

(3) In computing the DSE of a primary transmitter in a particular case, the cable system may make no prorated adjustments other than those specified as permissible "exceptions and limitations" in the definition of "distant signal equivalent" in the fifth paragraph of section 111(f) of title 17 of the United States Code, as amended by Pub. L. 94-553. The four prorated adjustments, as prescribed in the fourth and fifth sentences of said definition, are permitted under certain conditions where:

(i) A station is carried pursuant to the late-night programming rules of the Federal Communications Commission;

(ii) A station is carried pursuant to the specialty programming rules of the Federal Communications Commission;

(iii) A station is carried on a part-time basis where full-time carriage is not possible because the cable system lacks the activated channel capacity to retransmit on a full-time basis all signals which it is authorized to carry; and

(iv) A station is carried on a "substitute" basis under rules, regulations, or authorizations of the Federal Communications Commission in effect on October 19, 1976.
* * * * *

4. By deleting subparagraph (3) of § 201.17(f) (as adopted on June 27, 1978), and by adding a new subparagraph (4), to read as follows:
* * * * *

(4) In computing a DSE, a cable system may round off to the third decimal point. If a DSE is rounded off in any case in a Statement of Account, it must be rounded off throughout the Statement. Where a cable system has chosen to round off, and the fourth decimal point for a particular DSE value would, without rounding off, have been 1, 2, 3, or 4, the third decimal point remains unchanged; if, in such a case, the fourth decimal point would, without rounding off, be 5, 6, 7, 8, or 9, the third decimal point must be rounded off to the next higher number.
* * * * *

5. By adding a new paragraph (i) to § 201.17 to read as follows:

(i) *Corrections, supplemental payments, and refunds.* (1) Upon compliance with the procedures and within the time limits set forth in paragraph (i)(3) of this section, corrections to Statements of Account will be placed on record, supplemental royalty fee payments will be received for deposit, or refunds will be issued, in the following cases:

(i) Where, with respect to the accounting period covered by a Statement of Account, any of the information given in the Statement filed in the Copyright Office is incorrect or incomplete;

(ii) Where for any reason except that mentioned in paragraph (i)(1)(iii) of this section, calculation of the royalty fee payable for a particular accounting period was incorrect, and the amount deposited in the Copyright Office for that period was either too high or too low; or

(iii) Where, for the semiannual accounting period of January 1, 1978, through June 30, 1978, the total royalty fee deposited was incorrect because the cable operator failed to compute royalties attributable to carriage of latenight, specialty, or part-time programming between January 1, 1978, and February 9, 1978.

(2) Corrections to Statements of Account will not be placed on record, supplemental royalty fee payments will not be received for deposit, and refunds will not be issued, where the information in the Statements of Account, the royalty fee calculations, or the payments were correct as of the date on which the accounting period ended, but changes (for example, addition or deletion of a distant signal) took place later.

(3) Requests that corrections to a Statement of Account be placed on record, that fee payments be accepted, or requests for the issuance of refunds, shall be made only in the cases mentioned in paragraph (i)(1) of this section. Such requests shall be addressed to the Licensing Division of the Copyright Office, and shall meet the following conditions:

(i) The request must be in writing, must clearly identify its purpose, and, in the case of a request for a refund, must be received in the Copyright Office before the expiration of 60 days from the last day of the applicable Statement of Account filing period, as provided for in paragraph (c)(1) of this section, or before April 15, 1980, whichever is later. A request made by telephone or by telegraphic or similar unsigned communication, will be considered to meet this requirement if it clearly identifies the basis of the request, if it is received in the Copyright Office within the required 60-day period, and if a written request meeting all the conditions of this paragraph (i)(3) is also received in the Copyright Office within 14 days after the end of such 60-day period;

(ii) The Statement of Account to which the request pertains must be sufficiently identified in the request (by inclusion of the name of the owner of the cable system, the community or communities served, and the accounting period in question) so that it can be readily located in the records of the Copyright Office;

(iii) The request must contain a clear statement of the facts on which it is based, in accordance with the following requirements:

(A) In the case of a request filed under paragraph (i)(1)(i) of this section, where the information given in the Statement of Account is incorrect or incomplete, the request must clearly identify the erroneous or incomplete information and provide the correct or additional information;

(B) In the case of a request filed under paragraph (i)(1)(ii) of this section, where the royalty fee was miscalculated and the amount deposited in the Copyright Office was either too high or too low, the request must be accompanied by an affidavit under the official seal of any officer authorized to administer oaths within the United States, or a statement in accordance with section 1746 of title 18 of the United States Code, made and signed in accordance with paragraph (e)(14) of this section. The affidavit or statement shall describe the reasons why the royalty fee was improperly calculated and include a detailed analysis of the proper royalty calculations;

(C) In the case of a request filed under paragraph (i)(1)(iii) of this section, the request shall be identified as "Transitional and Supplemental Royalty Fee Payment" and include a detailed analysis of the proper royalty calculations;

(iv)(A) All requests filed under this paragraph (i) (except those filed under paragraph (1)(iii) of this paragraph) must be accompanied by a filing fee in the amount of $15 for each Statement of Account involved. Payment of this fee may be in the form of a personal or company check, or of a certified check, cashier's check or money order, payable to: Register of Copyrights. No request will be processed until the appropriate filing fees are received.

(B) All requests that supplement royalty fee payment be received for deposit under this paragraph (i), must be accompanied by a remittance in the full amount of such fee. Payment of the supplemental royalty fee must be in the form of a certified check, cashier's check or money order, payable to: Register of Copyrights. No such request will be processed until acceptable remittance in the full amount of the supplemental royalty fee has been received.

(v) All requests submitted under this paragraph (i) must be signed by the cable system owner named in the Statement of Account, or the duly authorized agent of the owner, in accordance with paragraph (e)(14) of this section.

(4) Following final processing, all requests submitted under this paragraph (i) will be filed with the original Statement of Account in the records of the Copyright Office. Nothing contained in this paragraph shall be considered to relieve cable systems from their full obligations under title 17 of the United States Code, and the filing of a correction or supplemental payment shall have only such effect as may be attributed to it by a court of competent jurisdiction.

(17 U.S.C. 111, 702, 708)

Dated: December 10, 1979.

Barbara Ringer,
Register of Copyrights.

Approved:

Daniel J. Boorstin,
The Librarian of Congress.

[FR Doc. 79-38539 Filed 12-14-79; 8:45 am]
BILLING CODE 1410-03-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 763

[OPTS-61005A; FRL 1377-5]

Commercial and Industrial Use of Asbestos Fibers; Extension of Comment Period and Announcement of Additional Control Option

AGENCY: Office of Pesticides and Toxic Substances, Environmental Protection Agency (EPA, or the Agency).

ACTION: Extension of Comment Period for Advance Notice of Proposed Rulemaking (ANPRM) and Announcement of Additional Control Option.

SUMMARY: EPA extends the comment period on the Commercial and Industrial Use of Asbestos Fiber ANPRM to February to February 18, 1980. The extension is granted to accommodate industry requests and to provide additional time to comment on the ANPRM. The Agency also announces an additional control option under consideration.

DATE: All comments should be received by the Record Clerk by February 18, 1980.

ADDRESS: All comments should be sent to Mrs. Joni T. Repasch, Record Clerk, Office of Pesticides and Toxic Substances (TS-793), U.S. Environmental Protection Agency, 401 M Street, SW., Washington, D.C. 20460.

Comments should include the docket number OPTS-61005A. Comments received on this Notice will be available for reviewing and copying from 9:00 a.m. to 4:30 p.m., Monday through Friday, excluding holidays, in Room 447 East Tower, EPA Headquarters, 401 M Street, SW., Washington, D.C.

FOR FURTHER INFORMATION CONTACT: Industry Assistance Office, Office of Pesticides and Toxic Substances (TS-799), Environmental Protection Agency, 401 M Street, SW., Washington, D.C. 20460, Phone: 800-424-9065 (In Washington, D.C., call 544-1404).

SUPPLEMENTARY INFORMATION: On October 17, 1979 (44 FR 60061), EPA issued an ANPRM on the Commercial and Industrial Use of Asbestos Fibers. The comment period expires December 17, 1979. EPA has received requests from the Asbestos Information Association/North America, Johns-Manville Corporation, Armstrong Cork Company, the American Paper Institute, Inc., the National Electrical Manufacturers Association, the Resilient Floor Covering Institute, and the Asbestos Cement Pipe Producers Association for extension of the comment period on the asbestos use ANPRM. The extension requests range from 30 to 120 days. Industry representatives are seeking these extensions because they believe that the information requested by EPA is complex, extensive, and not readily available.

EPA has developed an additional regulatory control option since publication of the ANPRM. The comment period deadline has been extended to February 18, 1980, to provide more time for industry to produce the information requested and also to allow for public review of the additional regulatory control option. Submission of information during the ANPRM comment period will insure that the Agency will consider that information in proposing the asbestos regulation. In proposing a rule, however, EPA will consider all relevant information to the extent possible, even if that information is submitted after the close of the comment period.

Should EPA's evaluation of human health risks and economic impacts determine that all but essential uses of asbestos present unreasonable risk, a possible regulatory strategy may be to ban the manufacture, processing, distribution in commerce, and import of asbestos for all nonessential asbestos uses at some fixed date in the future. EPA is seeking comment on this overall regulatory approach and on an appropriate date for instituting a general use ban. Effective dates presently under evaluation range from 1985 to 1995.

EPA anticipates providing an opportunity for essential use exemptions should a total asbestos ban be instituted. The exemption criteria may be based on factors such as established benefits, limited public health risks, commercial availability of substitutes, and significant economic impact if the use is banned. Persons seeking

exemptions would be asked to submit the following types of information with their exemption applications: (a) The asbestos use or product's contribution to public health, safety, and energy conservation; (b) Fiber emissions and human exposure during processing, normal use, and disposal; (c) Availability, performance characteristics, and relative health risks of substitutes; (d) Contribution of the asbestos product or use to local or national economy and small business; (e) Test data on emissions associated with the asbestos use and; (f) Data on substitute investigations.

There are also a variety of ways to process exemptions. In a single step exemption process, all requests for exemptions would be received at one time immediately prior to the ban's effective date. In a multiple step process, persons seeking an exemption would submit their requests four or five years before the ban becomes effective. EPA would screen these applications for award of conditional exemptions. Persons holding conditional exemptions could request actual exemptions immediately before the ban is implemented, assuming reasonable substitutes were still unavilable or the economic impact of transition was still excessive.

EPA would grant the essential use exemptions for some specified time, perhaps two to four years. These exemptions would have to be renewed upon expiration. All other uses would be prohibited. EPA's preliminary analysis indicates that a multiple step exemption process may be more appropriate since it would encourage substitute research, streamline the actual exemption process, and provide an early indication for those companies that will not continue producing asbestos products at the time of the ban. EPA is seeking comments on appropriate exemption criteria and procedures should a ban on all nonessential asbestos uses be established.

Industry is expected to continue to process asbestos fibers and produce many asbestos-containing products from now through the time an asbestos ban is implemented. These uses and articles will present continued exposure risks to users for many years. To eliminate some of this risk, EPA is considering a labeling requirement on all future asbestos fiber packaging and asbestos-containing articles. The labels would provice information on asbestos content, form, and associated health risks. The labels would also warn users to avoid exposure to fibers wherever possible.

EPA also anticipates that information beyond that supplied in response to the ANPRM will be needed to support Agency rulemaking and exemption decisions. This information would help EPA evaluate present exposure to asbestos, potential impacts on industry, the development of substitute materials, and the health risks from substitutes. Therefore, EPA may promulgate reporting rules under Section 8(a) and 8(d) of the Toxic Substances Control Act (TSCA). EPA is seeking comments on the appropriate scope of the reporting rules, who should report, and the schedule for reporting this information.

EPA would consider sponsoring or initiating a program to help determine the technical acceptability of substitutes. This program and the reporting rules would help ensure continuing research efforts and track industry progress toward commercially acceptable nonasbestos substitutes.

Dated: December 11, 1979.

Edwin H. Clark II,

Acting Assistant Administrator for Pesticides and Toxic Substances.

[FR Doc. 79-38689 Filed 12-14-79; 8:45 am]

BILLING CODE 6560-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Health Care Financing Administration

42 CFR Part 460

Professional Standards Review; Redesignation of PSRO Areas in California

AGENCY: Health Care Financing Administration (HCFA), HEW.

ACTION: Proposed rule.

SUMMARY: This proposed rule would redesignate PSRO areas in California in order to combine PSRO Areas XIX and XXIII. The redesignation will result in a more effective coordination with Medicare/Medicaid fiscal agents and in a higher degree of congruence with the Health Service Area (HSA) designations. In addition, the redesignation will facilitate initiation of PSRO activity in the currently uncovered area of Los Angeles, California which is now designated as Area XIX.

DATES: Consideration will be given to written comments or suggestions received on or before February 15, 1980.

ADDRESSES: Address comments to: Administrator, Health Care Financing Administration, Department of Health, Education, and Welfare, P.O. Box 17082, Baltimore, Maryland 21235. In commenting, please refer to File Code HSQ-67-P. Comments will be available for public inspection beginning approximately two weeks after publication, in Room 5220 of the Department's offices at 330 C Street, S.W., Washington, D.C. on Monday through Friday of each week, from 8:30 a.m. to 5:00 p.m. (202) 245-0365.

FOR FURTHER INFORMATION CONTACT: Tony Culotta, (301) 594-4272.

SUPPLEMENTARY INFORMATION: On March 18, 1974, regulations were published in the **Federal Register** (39 FR 10204), which were amended on November 29, 1978 (43 FR 55936), designating 28 PSRO areas within California. The purpose of this present proposal is to redesignate PSRO areas so that the cities and postal zones of Los Angeles County previously designated as PSRO Ares XIX are transferred to PSRO Area XXIII which consists of a group of cities in Los Angeles County.

Redesignation of Area XXIII

Guidelines for the redesignation of PSRO areas (42 CFR 460.2) provide that we may revise area designations when we determine it is necessary and that we may consider the coordination with existing health service areas and the coordination with Medicare/Medicaid fiscal agents in our redesignation decisions. The local health service area covers all of Los Angeles County. Therefore, any consolidation of PSRO areas within Los Angeles County diminishes problems of coordination, data sharing and other health planning efforts for the Los Angeles County health service area. The Medicare/Medicaid fiscal agents covering the Los Angeles County area currently must relate to eight different PSRO areas resulting in considerable duplication of effort. This is particularly true since there is considerable overlap of medical practice patterns and service areas across PSRO area boundaries. Any consolidation would result in more efficient coordination for these fiscal agents.

Area XIX has never had a conditional PSRO and the contract with the planning organization which had formed in the area expired on March 30, 1979, so there is currently no PSRO in Area XIX. The redesignation would facilitate the administering of the PSRO program by allowing the PSRO organization in Area XXIII to assume responsibility for the hospitals in the currently designated Area XIX where no PSRO exists, and the Area XXIII PSRO would be capable of rapidly implementing PSRO activity in these hospitals.

Clarification of Permanent Boundaries of Area XXIII Areas XVIII through XXV are designated by city, community, and postal zone boundaries which were in effect in 1974 and these boundaries remain fixed regardless of subsequent changes in postal zones or communities. A detailed description of the boundaries for the proposed California Area XXIII is included below. In order to avoid confusion from renumbering PSRO areas in California, there will be no area designated as PSRO Area XIX.

The precise boundaries proposed for Area XXIII in accordance with the 1974 city, community, and postal zone boundaries are as follows:

Beginning at the Pacific Ocean at its intersection with the southern side of the Marina Del Rey Channel, thence running northeasterly along the City of Los Angeles side of the City of Los Angeles/Marina Del Rey Channel to its intersection with the unincorporated Los Angeles County border; then following south along the City of Los Angeles side of the City of Los Angeles and unincorporated Los Angeles County border to its intersection with Centinela Avenue; then southeasterly along the southern side of Centinela Avenue to its intersection with La Cienega Blvd.; then north along the eastern side of La Cienega Blvd. to its intersection with the northwest most point of the City of Los Angeles/City of Inglewood border; then east and southeasterly along the City of Inglewood side of the City of Inglewood/City of Los Angeles border to its intersection with the unincorporated Los Angeles County border; then south along the City of Inglewood side of the City of Inglewood/unincorporated Los Angeles County border to its intersection with the City of Hawthorne border; then running east and south along the City of Hawthorne side of the side of the City of Hawthorne/unincorporated Los Angeles County border to its intersection with El Segundo Blvd.; then easterly along the southern side of El Segundo Blvd. to its intersection with Vermont Avenue; then south along the western side of Vermont Avenue to its intersection with Rosecrans Avenue; then easterly along the southern side of Rosecrans Avenue to its intersection with Central Avenue; then north along the eastern side of Central Avenue to its intersection with El Segundo Blvd.; then east along the southern side of El Segundo Blvd. to its intersection with Mona Blvd.; then north on the eastern side of Mona Blvd. to its intersection with Imperial Highway; then east on the southern side of Imperial Highway to its intersection with Alameda Street; then north on the eastern side of Alameda Street to its intersection with Slauson Avenue; then east along the City of Huntington Park side of the City of Huntington Park/City of Vernon border to its intersection with the unincorporated Los Angeles County border; then east and north along the City of Huntington Park side of the City of Huntington Park/unincorporated Los Angeles County border to its intersection with the City of Vernon border; then following the City of Huntington Park side of the City of Huntington Park/City of Vernon border to its intersection with the City of Maywood border; then north along the City of Maywood side of the City of Maywood/City of Vernon border to its intersection with Slauson Avenue; then easterly along the southern side of Slauson Avenue to its intersection with Long Beach Freeway (State Highway 7); then south along the western side of Long Beach Freeway to its intersection with the City of Bell Gardens/City of Commerce border; then easterly along the City of Bell Gardens side of the City of Bell Gardens/City of Commerce border to its intersection with the City of Downey border; then following the City of Downey/City of Commerce border to its intersection with the City of Pico Rivera border; then following the City of Downey side of the City of Downey/City of Pico Rivera border to its intersection with the San Gabriel River; then south along the western side of the San Gabriel River to its intersection with the City of Norwalk/City of Bellflower/City of Cerritos border; then east along the City of Cerritos side of the City of Cerritos/City of Norwalk border to its intersection with the unincorporated Los Angeles County/City of Norwalk border then following the unincorporated Los Angeles County side of the unincorporated Los Angeles County/City of Norwalk border to its intersection with the City of Cerritos border; then following the City of Cerritos side of the City of Cerritos/City of Norwalk border to its intersection with the City of Artesia border; then following the City of Artesia side of the City of Artesia/City of Norwalk border to its intersection with the City of Cerritos border; then following the City of Cerritos side of the City of Cerritos/City of Norwalk border to its intersection with the City of Sante Fe Springs border; then following the City of Cerritos side of the City of Cerritos/City of Sante Fe Springs border to its intersection with the City of La Mirada border; then following the City of Cerritos side of the City of Cerritos/City of La Mirada border to its intersection with the City of Buena Park border; then following the City of Cerritos side of the City of Cerritos/City of Buena Park border to its intersection with the City of La Palma border; then generally southwesterly along the City of Cerritos side of the City of Cerritos/City of La Palma border to its intersection with the unincorporated Orange County border; then following the City of Cerritos side of the City of Cerritos/unincorporated Orange County border to its intersection with the City of La Palma border; then following generally south along the Los Angeles County side of the Los Angeles County/Orange County border to its intersection with the Pacific Ocean, the point of beginning. The Island of Catalina is also within the area.

42 CFR 460.7 is amended to read as follows:

§ 460.7 California.

Twenty-seven Professional Standards Review Organization areas are designated in California. Areas XVIII through XXV are designated by city, community, and postal zone boundaries as in effect in 1974. All other areas are designated by counties. The boundaries for PSRO Areas XVIII through XXV will remain fixed, unless specifically revised through rulemaking, even though the 1974 boundaries for postal zones or other community areas may change. Therefore, detailed specifications of these PSRO areas have also been prepared and are available upon request from HCFA.

* * * * *

Area XIX (Consolidated with Area XXIII).

* * * * *

Area XXIII

Gardena	El Segundo
Hermosa Beach	Hawthorne
Lomita	Inglewood
Manhattan Beach	Lawndale
Palos Verdes	Lennox
Redondo Beach	Avalon
Compton	Dominquez
Downey	Hawaiian Gardens
Home Gardens	Lakewood
Huntington Park	Long Beach
Lynwood	Los Alamitos
Maywood	Terminal Island
Paramount	Wilmington
South Gate	Harbor City
Rolling Hills	Palos Verdes Estates
Torrance	Palos Verdes Peninsula
Artesia	San Pedro
Bell	Los Angeles
Bellflower	Postal Zones:
Bell Gardens	90009
Willowbrook	90045

* * * * *

(Sections 1102 and 1152 of the Social Security Act (42 U.S.C. 1302 and 1320c-1))

Dated: November 6, 1979.

Leonard D. Schaeffer,

Administrator, Health Care Financing Administration.

Approved: December 8, 1979.

Patricia Roberts Harris,

Secretary.

[FR Doc. 79-38487 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-35-M

FEDERAL EMERGENCY MANAGEMENT AGENCY

44 CFR Part 67

[Docket No. FEMA-5752]

National Flood Insurance Program Proposed Zone Designations for the County of Frederick, Md.

AGENCY: Federal Insurance Administration, FEMA.

ACTION: Proposed Rule.

SUMMARY: Technical information or comments are solicited on the proposed zone designations described below.

The proposed zone designations are the basis for the flood plain management measures that the community is required to either adopt or show evidence of being already in effect in order to qualify or remain qualified for participation in the National Flood Insurance Program (NFIP).

DATES: The period for comment will be ninety days following the second publication of this proposed rule in the newspaper of local circulation in the above-named community.

ADDRESSES: Maps and other information showing the detailed outlines of the flood-prone areas and the proposed zone designations are available for review at Winchester Hall, East Church Street, Frederick, Maryland.

Send comments to: Mrs. Mary G. Williams, President, Board of County Commissioners, Winchester Hall, East Church Street, Frederick, MD 21701.

FOR FURTHER INFORMATION CONTACT:

Mr. Robert G. Chappell, Acting Assistant Administrator, Program Implementation & Engineering Office, National Flood Insurance Program, 451 Seventh Street, SW., Washington, D.C. 20410. (202) 755-6570 or toll free line (800) 424-8872.

SUPPLEMENTARY INFORMATION: The Federal Insurance Administrator gives notice of the proposed zone designations for the County of Frederick, Maryland, in accordance with Section 110 of the Flood Disaster Protection Act of 1973 (Pub. L. 93-234), 87 Stat. 980, which added Section 1363 to the National Flood Insurance Act of 1968 (Title XIII of the Housing and Urban Development Act of 1968 (Pub. L. 90-448)), 42 U.S.C. 4001-4128, and 44 CFR 67.4(a) (presently appearing at its former Section 24 CFR 1917.4(a)).

Zone designations and base (100-year) flood elevations, together with the flood plain management measures required by Section 60.3 of the program regulations, are the minimum that are required. They should not be construed to mean the community must change any existing ordinances that are more stringent in their flood plain management requirements. The community may at any time enact stricter requirements on its own, or pursuant to policies established by other Federal, State, or regional entities. The proposed zone designations will also be used to calculate the appropriate flood insurance premium rates for new buildings and their contents and for the second layer of insurance on existing buildings and their contents.

The areas with proposed approximate A zone designation are:

Flood source	Approximate length of new zone A (feet)
Tuscarora Creek Tributary No. 12	4,000
Tuscarora Creek Tributary No. 11	13,200
Point of Rocks Tributary No. 10	14,100
Broad Run	41,500
Bennett Creek	[1]19,000
Fahrney Branch	20,000
Knoxville Tributary No. 1	6,000
Catoctin Creek	[2]5,500
Catoctin Creek Tributaries:	
Little Catoctin Creek	10,500
Little Catoctin Creek Tributary No. 3	4,000
Little Catoctin Creek Tributary No. 4	6,500
Sigler Road Tributary No. 6	6,500
Horine Road Tributary No. 5	6,000
State Route 180 Tributary	7,500
Bussard Road Tributary No. 9	11,000
Roy Shafer Road Tributary	8,000
Poffenberger Road Tributary	11,500
Remsburg Road Tributary	7,500
Broad Run Tributary:	
Huffer Road Tributary	4,900

[1] From Big Woods Road to county line.

[2] Between Broad Run Road and Carol Boyer Road.

(National Flood Insurance Act of 1968 (Title XIII of Housing and Urban Development Act of 1968), effective January 28, 1969 (33 FR 17804, November 28, 1968), as amended; (42 U.S.C. 4001-4128); Executive Order 12127, 44 FR 19367; and delegation of authority to Federal Insurance Administrator, 44 FR 20963)

Issued: November 19, 1979.

Gloria M. Jimenez,

Federal Insurance Administrator.

[FR Doc. 79-38483 Filed 12-14-79; 8:45 am]

BILLING CODE 6718-03-M

FEDERAL COMMUNICATIONS COMMISSION

47 CFR Parts 0, 61, and 63

[CC Docket No. 79-252]

Rates for Competitive Common Carrier Services and Facilities Authorizations Therefor; Correction

AGENCY: Federal Communications Commission.

ACTION: Erratum.

SUMMARY: The Notice of Inquiry and Proposed Rulemaking in the Matter of Policy and Rules concerning rates for competitive common carrier services and facilities authorizations (CC Docket No. 79-252, released November 2, 1979) 44 FR 67445 has been corrected. Paragraph 22 has been corrected to include Eastern Microwave as a carrier which provides domestic satellite service by combining its own earth stations with satellite capacity obtained from underlying carriers. Footnote 36 has been corrected to note that Eastern Microwave has been authorized to carry, in addition to the signals noted, WOR-TV, New York, and the late-night programming of WCVB-TV, Boston.

DATES: Comments on Part VII due February 1, 1980 and Replies due March 14, 1980; Comments on Part XI due February 29, 1980, and Replies due March 21, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Jim Keegan, Common Carrier Bureau, (202) 632-7695.

[44 FR 67445]

Released: December 4, 1979.

In the matter of: Policy and rules concerning rates for competitive common carrier services and facilities authorizations therefor, CC Docket No. 79-252.

1. A Notice of Inquiry and Proposed Rulemaking in this proceeding was released on November 2, 1979 (FCC 79-599).

2. Paragraph 22, fifth (5th) sentence is corrected to read as follows:

* * * Examples include American Satellite Corporation, which has its own transmit and receive earth stations but leases transponder space from WU, Southern Satellite Systems, Inc., United Video, Inc., and Eastern Microwave, Inc., which transmit distant television signals to cable television systems via satellite facilities of RCA Americom.

3. Footnote 36 is corrected to read as follows:

[36] *See Southern Satellite Systems, Inc.* 62 F.C.C. 2d 153 (1976); *United Video, Inc., et al.*, 69 F.C.C. 2d 1629 (1978). Also, temporary authority to carry station KTVU, San Francisco was recently granted to Satellite Communications Systems, Inc., and ASN, Inc. has been granted authority to carry the signals of WGN-TV, Chicago, KTTV-TV, Los Angeles and WOR-TV, New York. Eastern Microwave, Inc. has been authorized to carry WOR-TV, New York, WSBK-TV, Boston, Massachusetts and the late night programming of WCBS-TV, New York, and WCVB-TV, Boston.

Federal Communications Commission.

William J. Tricarico,

Secretary.

[FR Doc. 79-38541 Filed 12-14-79; 8:45 am]

BILLING CODE 6712-01-M

47 CFR Part 73

[BC Docket No. 79-321; RM-3442]

FM Broadcast Station in Marana, Ariz.; Proposed Changes in Table of Assignments

AGENCY: Federal Communications Commission.

ACTION: Notice of Proposed Rule Making.

SUMMARY: Action taken herein proposes the assignment of a first Class A FM channel to Marana, Arizona, in response to a petition filed by Steven Russell and Thomas Curley. The proposed channel could be used to provide a first local aural broadcast service to the community.

DATES: Comments must be filed on or before February 4, 1980, and reply comments on or before February 25, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Mildred B. Nesterak, Broadcast Bureau, (202) 632-7792.

SUPPLEMENTARY INFORMATION:

Adopted: December 4, 1979.

Released: December 6, 1979.

1. *Petitioner, Proposal, Comments:* (a) A petition for rule making [1] was filed by Steven Russell and Thomas Curley ("petitioners"), proposing the assignment of Channel 252A to Marana, Arizona, as that community's first FM assignment.

(b) The channel can be assigned to Marana in compliance with the minimum distance separation requirements.

(c) Petitioners state they will file an application for use of the channel, if assigned.

2. *Community Data:* (a) *Location:* Marana, in Pima County, is located approximately 40 kilometers (25 miles) northwest of Tucson.

(b) *Population:* Marana—1,982 [2]; Pima County—351,667.[3]

(c) *Local Aural Broadcast Service:* There is no local aural broadcast service in Marana.

3. *Economic Considerations:* Petitioners state that the economy of Marana is based on agriculture and copper mining. They add that retail and service establishments also provide employment to a substantial number of the local population. Petitioners note that Marana is the headquarters of the Marana School District which has an enrollment of 3,000 students. They state that Marana is served by a weekly newspaper.

4. An initial review of the petition suggests that there may be a need for a first local aural broadcast service in Marana. The proposal is being advanced for the purpose of determining whether such an assignment is warranted. Marana is not listed in the 1970 Census which lists all incorporated communities and unincorporated communities having a population of at least 1,000. Petitioners claim that the present population of Marana is 1,982 but do not indicate the source from which this figure was obtained. It is requested that this information be furnished in comments.

5. Since Marana is located within 320 kilometers (199 miles) of the U.S.-Mexico border, Mexican concurrence to the proposal must be obtained.

6. In order to consider the possibility of assigning an FM channel to Marana, the Commission proposes to amend the FM Table of Assignments (§ 73.202(b) of the Commission's Rules), as it pertains to Marana, Arizona:

City and Channel No.
Marana, Ariz.; Present:—; Proposed: 252A.

7. Authority to institute rule making proceedings, showings required, cut-off procedures, and filing requirements are contained in the attached Appendix and are incorporated by reference herein. **Note:** A showing of continuing interest is required by paragraph 2 of the Appendix before a channel will be assigned.

8. Interested parties may file comments on or before February 4, 1980, and reply comments on or before February 25, 1980.

9. For further information concerning this proceeding, contact Mildred B. Nesterak, Broadcast Bureau, (202) 632-7792. However, members of the public should note that from the time a notice of proposed rule making is issued until the matter is no longer subject to Commission consideration or court review, all *ex parte* contacts are prohibited in Commission proceedings, such as this one, which involve channel assignments. An *ex parte* contact is a message (spoken or written) concerning the merits of a pending rule making other than comments officially filed at the Commission or oral presentation required by the Commission.

Federal Communications Commission.

Henry L. Baumann,

Acting Chief, Policy and Rules Division, Broadcast Bureau.

Appendix

1. Pursuant to authority found in Sections 4(i), 5(d)(1), 303(g) and (r), and 307(b) of the Communications Act of 1934, as amended, and § 0.281(b)(6) of the Commission's Rules, it is proposed to amend the FM Table of Assignments, § 73.202(b) of the Commission's Rules and Regulations, as set forth in the *Notice of Proposed Rule Making* to which this Appendix is attached.

2. *Showings required.* Comments are invited on the proposal(s) discussed in the Notice of Proposed Rule Making to which this Appendix is attached. Proponent(s) will be expected to answer whatever questions are presented in initial comments. The proponent of a proposed assignment is also expected to file comments even if it only resubmits or incorporates by reference its former pleadings. It should also restate its present intention to apply for the channel if it is assigned, and, if authorized, to build the station promptly. Failure to file may lead to denial of the request.

3. *Cut-off procedures.* The following procedures will govern the consideration of filings in this proceeding.

(a) Counterproposals advanced in this proceeding itself will be considered, if advanced in initial comments, so that parties may comment on them in reply comments. They will not be considered if advanced in reply comments. (See § 1.420(d) of Commission Rules.)

(b) With respect to petitions for rule making which conflict with the proposal(s) in this Notice, they will be considered as comments in the proceeding, and Public Notice to this effect will be given as long as they are filed before the date for filing initial comments herein. If they are filed later than that, they will not be considered in

[1] Public Notice of the petition was given on August 17, 1979, Report No. 1168.

[2] There is no population figure listed for Marana in the 1970 U.S. Census. Petitioners claim that the present population of the community is 1,982.

[3] Population figure taken from the 1970 U.S. Census.

connection with the decision in this docket.

4. *Comments and reply comments; service.* Pursuant to applicable procedures set out in §§ 1.415 and 1.420 of the Commission's Rules and Regulations, interested parties may file comments and reply comments on or before the dates set forth in the *Notice of Proposed Rule Making* to which this Appendix is attached. All submissions by parties to this proceeding or persons acting on behalf of such parties must be made in written comments, reply comments, or other appropriate pleadings. Comments shall be served on the petitoner by the person filing the comments. Reply comments shall be served on the person(s) who filed comments to which the reply is directed. Such comments and reply comments shall be accompanied by a certificate of service. (See § 1.420(a), (b) and (c) of the Commission Rules.)

5. *Number of copies.* In accordance with the provisions of § 1.420 of the Commission's Rules and Regulations, an original and four copies of all comments, reply comments, pleadings, briefs, or other documents shall be furnished the Commission.

6. *Public inspection of filings.* All filings made in this proceeding will be available for examination by interested parties during regular business hours in the Commission's Public Reference Room at its headquarters, 1919 M Street, N.W., Washington, D.C.

[FR Doc. 79-38560 Filed 12-14-79; 8:45 am]

BILLING CODE 6712-01-M

INTERSTATE COMMERCE COMMISSION

49 CFR Parts 1300, 1303, 1304, 1306, 1307, 1308, 1310, and 1312

[Ex Parte No. 370]

Tariff Improvement

AGENCY: Interstate Commerce Commission.

ACTION: Extension of time for filing public comments in this notice of proposed rulemaking.

SUMMARY: By this notice the Commission is extending the time for filing comments in the tariff improvement proceeding by 45 days. The extension is being granted in response to requests filed by interested persons.

DATES: Comments in this proceeding are due on or before January 31, 1980.

ADDRESS: Send comments and 10 copies, if possible, to: Secretary, Interstate Commerce Commission, Room 5356, Washington, DC 20423.

FOR FURTHER INFORMATION CONTACT: Martin E. Foley, (202) 275-7348.

SUPPLEMENTARY INFORMATION: Petitions seeking an extension of the time period for filing comments in this proceeding published at 44 FR 60122, October 18, 1979 have been received by the Commission. The petitioners seek extensions ranging from 30 to 90 days. The prior due date for comments was December 17, 1979.

The petitioners feel that the original 60-day comment period allowed in this proceeding is insufficient for the formulation of their comments. Specifically, the petitioners offer the following as reasons for an extension:

1. A report concerning the greater use of electronic technology in tariff related areas is expected to be submitted to the Board of Directors of the Transportation Data Coordinating Committee by the end of December. Time is needed to review this report and include its findings in comments to be filed in this proceeding.

2. A meeting of the Freight Forwarders Conference is scheduled for December 11, 1979. A comment due date of December 17 would not allow for the preparation of comprehensive comments which would reflect the precise position of the Conference in this proceeding.

A 90-day extension would be excessive and does not appear to be warranted. However, an extension of 45 days does appear to be appropriate.

The time for filing comments in this proceeding is extended 45 days. Comments are now due on or before January 31, 1980.

Decided: December 11, 1979.

By the Commission, Chairman O'Neal.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38781 Filed 12-14-79; 8:45 am]

BILLING CODE 7035-01-M

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

50 CFR Part 17

Endangered and Threatened Wildlife and Plants; Reproposal of Critical Habitat for the Plymouth Red-Bellied Turtle; Additional Public Meeting and Hearing, and Reopening of the Comment Period

AGENCY: Fish and Wildlife Service, Interior.

ACTION: Reopening of the comment period; notice of public meeting and hearing.

SUMMARY: The public comment period on the Service's reproposal of Critical Habitat for the Plymouth red-bellied turtle, *Chrysemys rubriventis bangsi*, is hereby reopened between January 10, 1980 and February 13, 1980. In addition, a public meeting and hearing will be held on this reproposal. The date, time, and place of the meeting and hearing are set forth below.

DATES: The Service will consider all comments on this reproposal received between January 10, 1980 and February 13, 1980. The public meeting will be held on Tuesday, January 15, 1980, from 7 to 9 p.m. and the hearing from 7 to 9 p.m. on Tuesday, January 29, 1980.

ADDRESS: Both the public meeting and hearing will take place at the Myles Standish Room, 2nd floor of the Plymouth Memorial Hall, 83 Court Street, Plymouth, Massachusetts.

FOR FURTHER INFORMATION CONTACT: For further information on the reproposal of Critical Habitat or the meeting and hearing, contact Mr. John L. Spinks, Jr., Chief, Office of Endangered Species, U.S. Fish and Wildlife Service, Washington, D.C. 20240 (703/235-2771) or the Endangered Species Staff, U.S. Fish and Wildlife Service, One Gateway Center, Suite 700, Newton Corner, Massachusetts 02158 (617-965-5100, ext. 316).

SUPPLEMENTARY INFORMATION: In the Federal Register of September 13, 1979, (44 FR 53422-4) the Service reproposed Critical Habitat for the Plymouth red-bellied turtle. In that document there was an announcement that a public meeting and hearing relative to that reproposal would be held on Wednesday, October 17, 1979. The meeting and hearing were held as scheduled. During the public hearing and the comment period which closed November 16, 1979, a number of requests from the public for an additional meeting and hearing were made. In the interest of insuring full public participation in the Critical Habitat designation process, the Service had decided to hold an additional meeting and hearing at the time and place specified above.

Accordingly, the comment period on the Service's proposal of September 13, 1979 (44 FR 53422-4) regarding the Plymouth red-bellied turtle is hereby opened between January 10, 1980 and February 13, 1980.

A public meeting and hearing on this proposal will be held as set forth above. All comments and statements presented at this meeting and hearing will be made part of the public record on this species and will be considered before any final decisions are made concerning the proposal.

Dated: December 7, 1979.

Robert S. Cook,

Acting Director, Fish and Wildlife Service

[FR Doc. 79-38504 Filed 12-14-79; 8:45 am]

BILLING CODE 4310-55-M

Notices

Federal Register
Vol. 44, No. 243
Monday, December 17, 1979

This section of the FEDERAL REGISTER contains documents other than rules or proposed rules that are applicable to the public. Notices of hearings and investigations, committee meetings, agency decisions and rulings, delegations of authority, filing of petitions and applications and agency statements of organization and functions are examples of documents appearing in this section.

DEPARTMENT OF AGRICULTURE

Farmers Home Administration

Business and Industrial Loans; Insured Loan Interest Rates

AGENCY: Farmers Home Administration, USDA.

ACTION: Notice.

SUMMARY: Notice is hereby given by the Farmers Home Administration that the current rate of interest for insured business and industrial loans, established pursuant to 7 CFR § 1980.423(b) is as follows: a. Insured loans to private entrepreneurs will be at the rate of eleven and five-eighths percent (11⅝%). This rate will remain in effect until a change is published in the **Federal Register**.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Mr. LaVerne A. Isenberg, Room 6338, Farmers Home Administration, USDA, Washington, D.C. 20250. Phone: 202–447–2852.

Dated: November 30, 1979.

Gordon Cavanaugh,
Administrator, Farmers Home Administration.

[FR Doc. 79-38298 Filed 12-14-79; 8:45 am]
BILLING CODE 3410-07-M

CIVIL AERONAUTICS BOARD

[Docket No. 37157; Order 79–12–39]

Compagnie Nationale Air France (Air France) and Scandinavian Airlines System (SAS); Order Suspending and Investigating Tariffs

Adopted by the Civil Aeronautics Board at its office in Washington, D.C. on the 26th day of November, 1979; Transatlantic arbitrary fare increase proposed by Compagnie Nationale Air France Scandinavian Airlines System.

By tariff increases filed November 9, 1979, for effect December 9, 1979, Compagnie Nationale Air France (Air France) and Scandinavian Airlines System (SAS) propose an approximate 20 percent increase in their arbitrary fares, used to construct through international fares between U.S. interior points and transatlantic points over the New York gateway.[1] These carriers contend the increases are necessary to offset U.S. domestic fare increases which have been approved by the Board and are now effective in domestic tariffs.

We have decided to suspend those proposed increases that would apply to construction of through normal economy fares for those U.S. interior cities currently receiving nonstop services to France and Denmark.

Our policy objective for several years has been to seek an international fares situation in which competitive forces operate, with minimal intervention by governments, to provide consumers with as many price/quality options as possible. This can only be achieved by injecting more competition into the market. We have authorized a number of U.S. and foreign carriers to provide new direct transatlantic services not only from the traditional New York gateway but also from interior points not traditionally considered gateways. To illustrate, new direct transatlantic services are now in place between Dallas-Fort Worth and Houston, on the one hand, and Belgium, Germany, France, the Netherlands and the United Kingdom, on the other, as well as between Atlanta and Belgium, France and the United Kingdom.

Against this background, we must now question whether traditional methods of constructing through international fares from interior U.S. points, as typified in the proposal before us, now operate to the best interests of the traveling public. We acknowledge that in the past, use of an arbitrary (or proportional) fare has produced a through fare that often is lower than that produced under a strict combination of fares principle; however, this has usually been in cases where either the most direct routing is via the New York gateway or the fare from the nearest U.S. point with direct international service is itself constructed by use of an arbitrary fare. But with the fundamental changes now occurring in transatlantic service patterns, there is every indication that this proposal, by limiting construction to the New York gateway, has the effect of charging many interior point passengers excessive prices as illustrated below.

The two carriers offer nonstop transatlantic services between Chicago, Houston, and Los Angeles, on one hand, and Paris, on the other; and between Chicago, Seattle, and Los Angeles, on one hand, and Copenhagen, on the other. Yet despite the availability of such nonstop services, normal economy fares from these points are still constructed over New York by means of arbitrary fares. As a consequence, under the proposed increases, a nonstop passenger traveling from Chicago, Houston, or Los Angeles to Paris would pay a per mile fare 5 to 13 percent greater than his New York counterpart. Similarly, a nonstop passenger traveling from Chicago, Los Angeles, or Seattle to Copenhagen would pay a per mile fare that ranges from 15 to 23 percent greater.

Moreover, there is every indication the present construction techniques unduly penalize off-line, interior point normal economy fare passengers as well. Were fares to interior points receiving nonstop services established at levels equal to the fare per mile paid at New York,[2] these off-line passengers would benefit from the lowest combination of sector fares over the nearest gateway. For example, a normal economy passenger from Omaha, traveling to Paris and paying a one-way fare equal to the sum of the local fare to Chicago and a Chicago-Paris fare established in accordance with the above principle, would pay a total fare $16 less than that resulting from the traditional construction over New York. A similar passenger traveling from St. Louis to Copenhagen and paying a one-way fare established in the same manner would pay $21 less.

In view of these circumstances, we believe the present system of arbitrary fares is due for reform. These fares, we believe, should reflect the realities of the marketplace, taking into consideration direct services to interior cities, and not limit construction to a single traditional gateway. Several carriers have already filed such fares in a few transatlantic markets. Delta and Sabena have proportional fares on file for service over Atlanta; Braniff, for service over Dallas-Fort Worth; and British Caledonian, for service over Houston. We are encouraged by this trend which offers lower fares for interior U.S. point traffic. We urge all carriers who offer nonstop services to interior U.S. cities to file point-to-point fares for those cities receiving such service, and if competitive circumstances dictate, proportional fares for use in constructing through fares from other interior points over the nearest point receiving direct service. Meanwhile, because the present proposal has the effect of charging passengers from interior U.S. points receiving nonstop service to France and Denmark excessive fares, we will suspend, pending investigation, the proposed arbitraries insofar as they are used to construct normal economy fares for Air France between Chicago, Houston and Los Angeles, on the one hand, and Paris, on the other; and for SAS, between Chicago, Seattle, and Los Angeles, on the one hand, and Copenhagen, on the other.

Accordingly, pursuant to sections 102, 204(a), 403, 801 and 1002(j) of the Federal Aviation Act, as amended:

1. We shall institute an investigation to determine whether the fares and provisions set forth in Appendix A hereof, and rules and regulations or practices affecting such fares and provisions, are or will be unreasonable, unjustly discriminatory, unduly preferential, unduly prejudicial or otherwise unlawful; and if we find them to be unlawful, to act appropriately to prevent the use of such fares, provisions or rules, regulations, or practices;

2. Pending hearing and decision by the Board, we hereby suspend the tariff provisions specified in Appendix A and defer their use from December 9, 1979, to and including December 8, 1980, unless otherwise ordered by the Board, and shall permit no changes to be made therein during the period of suspension except by order or special permission of the Board;

3. We shall submit this order to the President[3] and it shall become effective on December 9, 1979, and

4. We shall file copies of this order in the aforesaid tariffs and serve them on Compagnie Nationale Air France and Scandinavian Airlines System.

We shall publish this order in the **Federal Register**.

By the Civil Aeronautics Board.

Phyllis T. Kaylor,
Secretary.

Appendix A.—Transatlantic Passenger Fares Tariff No. A–1, C.A.B. No. 71, Issued by Air Tariffs Corp., Agent

In Supplement No. 47:

1. On Page 4: The $106.00 Normal Economy Class (Y) Arbitrary between *Chicago,* Ill., and New York, N.Y., insofar as said arbitrary would apply to construct through fares:
   a. to/from Paris, France, for Compagnie Nationale Air France;
   b. to/from Copenhagen, Denmark, for Scandinavian Airlines System;
2. On Page 8: The $164.00 Normal Economy Class (Y) Arbitrary between *Houston,* Texas, and New York, New York, insofar as said arbitrary would apply to construct through fares to/from Paris, France, for Compagnie Nationale Air France;
3. On Page 10: The $267.00 Normal Economy Class (Y) Arbitrary between *Los Angeles,* California, and New York, N.Y., insofar as said arbitrary would apply to construct through fares:
   a. to/from Paris, France, for Compagnie National Air France;
   b. to/from Copenhagen, Denmark, for Scandinavian Airlines System;
4. On Page 17: The $214.00 Normal Economy Class (Y) Arbitrary between *Seattle,* Washington, and New York, N.Y., insofar as said arbitrary would apply to construct through fares to/from Copenhagen, Denmark, for Scandinavian Airlines System.

[FR Doc. 79-38565 Filed 12-14-79; 8:45 am]
BILLING CODE 6320-01-M

[1] Tariff C.A.B. No. 71, Supplement No. 47, Air Tariffs Corporation, Agent.

[2] A generous assumption, actually, since pricing theory holds that per mile fares should vary inversely with distance over the range of a given aircraft type.

[3] We submitted this order to the President on November 27, 1979.

Western Airlines, Inc; Applications for Certificates of Public Convenience and Necessity and Foreign Air Carrier Permits Filed Under Subpart Q of the Board's Procedural Regulations

Notice is hereby given that, during the week ended December 7, 1979 CAB has received the applications listed below, which requested the issuance, amendment, or renewal of certificates of public convenience and necessity or foreign air carrier permits under Subpart Q of 14 CFR Part 302.

Answers to foreign permit applications are due 28 days after the application is filed. Answers to certificate applications requesting restriction removal are due with 14 days of the filing of the application. Answers to conforming applications in a restriction removal proceeding are due 28 days after the filing of the original application. Answers to certificate applications (other than restriction removals) are due 28 days after the filing of the application. Answers to conforming applications or those filed in conjunction with a motion to modify scope are due within 42 days after the original application was filed. If you are in doubt as to the type of application which has been filed, contact the applicant, the Bureau of Pricing and Domestic Aviation (in interstate and overseas cases) or the Bureau of International Aviation (in foreign air transportation cases).

Subpart Q Applications

Date filed	Docket No.	Description
Dec. 4, 1979	37202	Western Air Lines, Inc., 6060 Avion Drive, Los Angeles, California 90045. Application of Western Air Lines, Inc., under Subpart Q of the Board's Procedural Regulations, pursuant to Section 401 of the Act, requests amendment of its certificate of public convenience and necessity for Route 19 so as to authorize Western to engage in nonstop air transportation between Miami, Florida, and Las Vegas, Nevada, by deletion of that city pair from the list of restricted markets in Appendix A to Western's certificate issued by Order 79–8–81, August 15, 1979. Answers may be filed by December 18, 1979.
Dec. 4, 1979	37203	Western Air Lines, Inc., 6060 Avion Drive, Los Angeles, California 90045. Application of Western Air Lines, Inc., under Subpart Q of the Board's Procedural Regulations, pursuant to Section 401 of the Act, requests amendment of its certificate of public convenience and necessity for Route 19 so as to authorize Western to engage in nonstop air transportation between Miami, Florida, and San Antonio, Texas, by deletion of that city pair from the list of restricted markets in Appendix A to Western's certificate issued by Order 79–8–81, August 15, 1979. Answers may be filed by December 18, 1979.
Dec. 4, 1979	37204	Western Air Lines, Inc., 6060 Avion Drive, Los Angeles, California 90045. Application of Western Air Lines, Inc., under Subpart Q of the Board's Procedural Regulations, pursuant to Section 401 of the Act, requests amendment of its certificate of public convenience and necessity for Route 19 so as to authorize Western to engage in nonstop air transportation between Orlando, Florida, and Los Angeles, California, by deletion of that city pair from the list of restricted markets in Appendix A to Western's certificate issued by Order 79–8–81, August 15, 1979. Answers may be filed by December 18, 1979.
Dec. 4, 1979	37205	Western Air Lines, Inc., 6060 Avion Drive, Los Angeles, California 90045. Application of Western Air Lines, Inc., under Subpart Q of the Board's Procedural Regulations, pursuant to Section 401 of the Act, requests amendment of its certificate of public convenience and necessity for Route 19 so as to authorize Western to engage in nonstop air transportation between Miami, Florida, and Phoenix, Arizona, by deletion of that city pair from the list of restricted markets in Appendix A to Western's certificate issued by Order 79–8–81, August 15, 1979. Answers may be filed by December 18, 1979.

Subpart Q Applications—Continued

Date filed	Docket No.	Description
Nov. 30, 1979	37051	Air Midwest, Inc., c/o Nathaniel P. Breed, Jr., Shaw, Pittman, Potts & Trowbridge, 1800 M Street, N.W., Washington, D.C. 20036. Amendment No. 1 to the Application of Air Midwest, Inc., pursuant to Section 401(g) of the Act and Subpart Q of the Board's Procedural Regulations, Air Midwest hereby applied for amendment of its certificate of public convenience and necessity for Route 175 in the following respect: To redesignate the terminal point "Kansas City, Mo." to read "Kansas City, Mo. (to be served through Kansas City International Airport)". Air Midwest requests that the foregoing relief be processed by show-cause procedures, and requests final action by January 15, 1980. Conforming applications and answers are due December 28, 1979.
Dec. 4, 1979	37209	TTI Travel, Inc., c/o Howard S. Boros, Boros & Garofalo, 1120 Connecticut Avenue, N.W., Suite 460, Bender Building, Washington, D.C. 20036. Application of TTI Travel, Inc., pursuant to Section 302. 1750(a)(4) of the Board's Procedural Regulations and pursuant to Section 402 of the Act requesting a foreign indirect air carrier permit for authority to engage in the indirect air transportation of passengers, as provided for in the Board's rules and regulations, between any point in the United States and any point outside thereof. Answers may be filed by January 2, 1980.
Dec. 7, 1979	37237	National Airlines, Inc., P.O. Box 592055, Airport Mail Facility, Miami, Florida 33159. Application of National Airlines, Inc., under Subpart Q and Section 401 of the Act requests a certificate of public convenience and necessity authorizing it to engage in nonstop scheduled air transportation of persons, property, and mail on a permissive basis in the following markets: "Between the terminal point San Diego, CA., and the terminal point San Francisco, CA." Conforming Applications and Answers are due January 3, 1980.
Dec. 7, 1979	37238	National Airlines, Inc., P.O. Box 592055, Airport Mail Facility, Miami, Florida 33159. Application of National Airlines, Inc., under Subpart Q and Section 401 of the Act requests a certificate of public convenience and necessity authorizing it to engage in nonstop scheduled air transportation of persons, property, and mail on a permissive basis in the following markets: "Between the terminal point Minneapolis, MN., and the terminal points Tampa, Orlando, Miami, and Ft. Lauderdale, FL." Conforming Applications and Answers are due January 3, 1980.
Dec. 7, 1979	37239	National Airlines, Inc., P.O. Box 592055, Airport Mail Facility, Miami, Florida 33159. Application of National Airlines, Inc., under Subpart Q and Section 401 of the Act requests a certificate of public convenience and necessity authorizing it to engage in nonstop scheduled air transportation of persons, property, and mail on a permissive basis in the following markets: "Between the terminal point Milwaukee, WI., and the terminal points New York (LaGuardia Airport), NY, New York (Kennedy Airport) NY, and Newark, NJ." Conforming Applications and Answers are due January 3, 1980.
Dec. 7, 1979	37240	National Airlines, Inc., P.O. Box 592055, Airport Mail Facility, Miami, Florida 33159. Application of National Airlines, Inc., under Subpart Q and Section 401 of the Act requests a certificate of public convenience and necessity authorizing it to engage in nonstop scheduled air transportation of persons, property, and mail on a permissive basis in the following markets: "Between the terminal point Denver, CO., and the terminal points Houston, TX., New York, NY. (JFK & LGA), Portland, OR., and Seattle, WA." Conforming Applications and Answers are due January 3, 1980.
Dec. 7, 1979	37241	National Airlines, Inc., P.O. Box 592055, Airport Mail Facility, Miami, Florida 33159. Application of National Airlines, Inc., under Subpart Q and Section 401 of the Act requests a certificate of public convenience and necessity authorizing it to engage in nonstop scheduled air transportation of persons, property, and mail on a permissive basis in the following markets: "Between the terminal point Portland, OR., and the terminal points Los Angeles, CA., and San Fancisco, CA." Conforming Applications and Answers are due January 3, 1980.

Phillis T. Kaylor,
Secretary.

[FR Doc. 79-38566 Filed 12-14-79; 8:45 am]
BILLING CODE 6320-01-M

DEPARTMENT OF COMMERCE

Travel Service

Travel Advisory Board; Meeting

On December 4, 1979, notice was given in the **Federal Register** (44 FR, Page 69706), that the Travel Advisory Board would meet on January 3, 1980. Notice is hereby given that the Travel Advisory Board meeting will begin at 1:00 p.m. in Room 1858 of the Main Commerce Building, 14th Street and Constitution Avenue NW., Washington, D.C. 20230.

Establishing in July 1968, the Travel Advisory Board consists of senior representatives of 15 U.S. travel industry segments who are appointed by the Secretary of Commerce.

Members advise the Secretary of Commerce and Assistant Secretary of Commerce for Tourism on policies and programs designed to accomplish the purposes of the International Travel Act of 1961, as amended, and the Act of July 19, 1940, as amended.

Agenda items are as follows:

1. U.S. Customs presentation—"we can help each other."
2. Restructuring of the TAB in FY '81.
3. Department Orgranization Order 25–1, dated November 4, 1979.
   A. Headquarters functions
   B. Overseas programs
4. Market Research
5. 2nd General Assembly and 11th & 12th sessions of the Executive Council of the World Tourism Organization
   U.S.–U.S.S.R. statistical discussions
6. Tourism Group—U.S. Mexico Consultative Mechanism
7. Report on DATO/ESSTO/Travel Outlook Forum meetings.
8. Trade reorganization of Department of Commerce—Transfer of Commercial Offices from State Department to Commerce
9. New business

A limited number of seats will be available to observers from the public and the press. The public will be permitted to file written statements with the Committee before or after the meeting. To the extent time is available, the presentation of oral statements will be allowed.

Sue Barbour, Travel Advisory Board liaison Officer of the United States Travel Service, Room 1858, U.S. Department of Commerce, Washington, D.C., 20230, (telephone (202) 377–4904) will respond to public requests for information about the meeting.

Lee J. Wells,
Acting Deputy Assistant Secretary for Tourism.

[FR Doc. 79-38505 Filed 12-14-79; 8:45 am]
BILLING CODE 3510-11-M

COMMITTEE FOR THE IMPLEMENTATION OF TEXTILE AGREEMENTS

Announcing Import Levels for Certain Cotton, Wool and Man-Made Fiber Textile Products From the Socialist Republic of Romania Effective January 1, 1980

December 12, 1979.

AGENCY: Committee for the Implementation of Textile Agreements.

ACTION: Establishing import levels for certain cotton, wool and man-made fiber textile products imported from Romania during the twelve-month period beginning on January 1, 1980.

SUMMARY: The Bilateral Cotton Textile Agreement of January 6 and 25, 1978, as amended, and the Bilateral Wool and Man-Made Fiber Textile Agreement of June 17, 1977, as amended, between the Governments of the United States and the Socialist Republic of Romania establish specific levels of restraint for certain wool and man-made fiber textile products in Categories 443, 643/644 and 645/646. The bilateral agreements also provide consultation levels for certain categories of cotton, wool and man-made fiber textile products, such as Categories 335, 338, 435/444, 634, and 647, which are not subject to specific limits and which may be increased during the year upon agreement between the two governments. In the letter published below the Chairman of the Committee for the Implementation of Textile Agreements directs the Commissioner of Customs, in accordance with the terms of the bilateral agreements, to prohibit, during the twelve-month period beginning on January 1, 1980 and extending through December 31, 1980, entry into the United States for consumption, or withdrawal from warehouse for consumption, of cotton, wool and man-made fiber textile products in Categories 335, 338, 435/444, 443, 634, 643/644, 645/646 and 647 in excess of the designated levels.

(A detailed description of the textile categories in terms of T.S.U.S.A. numbers was published in the **Federal Register** on January 4, 1978 (43 FR 884), as amended on January 25, 1978 (43 FR 3421), March 3, 1978 (43 FR 8828), June 22, 1978 (43 FR 26773), September 5, 1978 (43 FR 39408), January 2, 1979 (44 FR 94), March 22, 1979 (44 FR 17545), and April 12, 1979 (44 FR 21843).)

This letter and the actions taken pursuant to it are not designed to implement all of the provisions of the bilateral agreements, but are designed to assist only in the implementation of certain of their provisions.

EFFECTIVE DATE: January 1, 1980.

FOR FURTHER INFORMATION CONTACT: Shirley Hargrove, Trade and Industry Assistant, Office of Textiles, U.S. Department of Commerce, Washington, D.C. 20230 (202/377–5423).

Arthur Garel,
Acting Chairman, Committee for the Implementation of Textile Agreements.

December 12, 1979.

Committee for the Implementation of Textile Agreements

Commissioner of Customs, Department of the Treasury, Washington, D.C. 20229.

Dear Mr. Commissioner: Under the terms of the Arrangement Regarding International Trade in Textiles done at Geneva on December 20, 1973, as extended on December 15, 1977; pursuant to the Bilateral Cotton Textile Agreement of January 6 and 25, 1978, as amended, and the Bilateral Wool and Man-Made Fiber Textile Agreement of June 17, 1977, as amended, between the Governments of the United States and the Socialist Republic of Romania; and in accordance with the provisions of Executive Order 11651 of March 3, 1972, as amended by Executive Order 11951 of January 6, 1977, you are directed to prohibit, effective on January 1, 1980 and for the twelve-month period extending through December 31, 1980, entry into the United States for consumption and withdrawal from warehouse for consumption of cotton, wool and man-made fiber textile products in Categories 335, 338 435/444, 443, 634, 643/644, 645/646 and 647, produced or manufactured in Romania, in excess of the following level of restraint:

Category and 12-Month Level of Restraint

335—36,320 dozen.
338—256,000 dozen of which not more than 97,222 dozen shall be in T.S.U.S.A. numbers 380.0028, 380.0029, 380.0651 and 380.0652.
435/444—6,944 dozen.
443—7,483 dozen.
634—53,289 dozen of which not more than 16,949 dozen shall be in T.S.U.S.A. numbers 376.5609, 380.0445, 380.5168, 380.8410, 380.8416, 380.8417, and 791.7471; and not more than 36,320 dozen shall be in T.S.U.S.A. numbers 380.0405, 380.8101, 380.8109, 380.8111, and 791.7460.
643/644 pt.[1]—22,611 dozen.
643/644 pt.[2]—2,083 dozen.
645/646—149,457 dozen.
647—39,326 dozen.

In carrying out this directive, entries of cotton, wool and man-made fiber textile products in the foregoing categories, except Categories 335 and 647, produced or manufactured in the Socialist Republic of Romania, which have been exported to the United States prior to January 1, 1980, shall, to the extent of any unfilled balances, be charged against the levels of restraint established for such goods during the twelve-month period beginning on January 1, 1979 and extending through December 31, 1979. In the event the levels of restraint established for that period have been exhausted by previous entries such goods shall be subject to the levels set forth in this letter.

Cotton and man-made fiber textile products in Categories 335 and 647 which have been exported to the United States prior to January 1, 1980 shall not be subject to this directive.

Cotton and man-made fiber textile products in Categories 335 and 647 which have been released from the custody of the U.S. Customs Service under the provisions of 19 U.S.C. 1448(b) or 1484(a)(1)(A) prior to the effective date of this directive shall not be denied entry under this directive.

The levels of restraint set forth above are subject to adjustment according to the provisions of the bilateral agreements, as amended, between the Governments of the United States and the Socialist Republic of Romania, which provide, in part, that: (1) certain wool and man-made fiber textile products that are subject to specific limits may be exceeded within the applicable group limits by designated percentages to account for flexibility; (2) consultation levels may be increased upon agreement between the two governments; and (3) administrative arrangements or adjustments may be made to

[1] In Category 643/644, only T.S.U.S.A. numbers 380.0464, 380.5176, 380.8451, 380.8452, 382.0478, 382.4282, and 382.8187.

[2] In Category 643/644, all T.S.U.S.A. numbers in the category except those listed in footnote 1.

resolve minor problems arising in the implementation of the agreements. Any appropriate future adjustments under the foregoing provision of the bilateral agreements will be made to you by letter.

A detailed description of the textile categories in terms of T.S.U.S.A. numbers was published in the **Federal Register** on January 4, 1978 (43 FR 884), as amended on January 25, 1978 (43 FR 3421), March 3, 1978 (43 FR 8828), June 22, 1978 (43 FR 26773), September 5, 1978 (43 FR 39408), January 2, 1979 (44 FR 94), March 22, 1979 (44 FR 17545), and April 12, 1979 (44 FR 21843).

In carrying out the above directions, entry into the United States for consumption shall be construed to include entry for consumption into the Commonwealth of Puerto Rico.

The actions taken with respect to the Government of the Socialist Republic of Romania and with respect to imports of cotton, wool and man-made fiber textile products from Romania have been determined by the Committee for the Implementation of Textile Agreements to involve foreign affairs functions of the United States. Therefore, the directions to the Commissioner of Customs, which are necessary for the implementation of such actions, fall within the foreign affairs exception to the rule-making provisions of 5 U.S.C. 553. This letter will be published in the **Federal Register**.

Sincerely,

Arthur Garel,

Acting Chairman, Committee for the Implementation of Textile Agreements.

[FR Doc. 79-38586 Filed 12-14-79; 8:45 am]

BILLING CODE 3510-25-M

DEPARTMENT OF ENERGY

Compliance With the National Environmental Policy Act; Intent To Prepare Environmental Impact Statement (EIS)

AGENCY: Department of Energy.

ACTION: Notice of intent to prepare environmental impact statement.

SUMMARY: The Department of Energy (DOE) announces its intent to prepare an EIS evaluating the impact of its proposed Prohibition Order for Units 4 and 5 of the Lovett Generating Station. These electric powerplants, located in Tompkins Cove, New York, are owned and operated by Orange and Rockland Utilities, Inc., headquartered in Pearl River, New York. The Prohibition Order if finalized would prohibit the burning of petroleum or natural gas in these units. This EIS will be prepared in accordance with Section 102(2)(c) of the National Environmental Policy Act (NEPA).

All interested agencies, organizations, or persons wishing to submit comments or suggestions for consideration in connection with the preparation of the EIS are invited to do so.

DOE desires to have the benefit of the public's views as to the scope of the EIS and the significant environmental issues which it should address. Such comments may be expressed in writing or at a meeting which will be held for this purpose on January 11, 1980, in Room 305 A–B–C, at 26 Federal Plaza, New York, New York. The meeting is scheduled to begin at 10:00 a.m. and may continue until 5:00 p.m. If public interest warrants, the meeting will extend into the evening hours.

In order for DOE to better gauge public interest in this EIS, those planning to attend the meeting and present information should contact Mr. Steven E. Ferguson, Chief, Environmental Analysis Branch, Office of Fuels Conversion, Economic Regulatory Administration, Department of Energy, 2000 M Street, N.W., Room 3322–D, Washington, D.C. 20461, telephone (202) 634–6523.

Upon completion of the Draft EIS, its availability will be announced in the **Federal Register**, at which time comments will be solicited.

Written comments should be transmitted to Steven E. Ferguson (address above), by February 1, 1980.

For general information on the EIS process, contact: Robert J. Stern, Acting Director, Division of NEPA Affairs, Department of Energy, 100 Independence Avenue, S.W., Washington, D.C. 20585, (202) 252–4600.

SUPPLEMENTARY INFORMATION: On October 29, 1979, ERA published a proposed Prohibition Order for Units 4 (197 MW) and 5 (202 MW) of the Lovett Generating Station, in the **Federal Register** (44 FR 61989). The order, if finalized, would prohibit the two units from burning natural gas or petroleum as their primary energy source. The proposed Prohibition Order was based on ERA's finding that these powerplants have or previously had the technical capability to use an alternate fuel (coal) as a primary energy source. This finding was based on the information that the powerplants were designed and constructed to burn coal as a primary energy source and burned coal during 1969 and part of 1974.

Environmental Impact Statement

An EIS will be prepared in order to conduct a comprehensive analysis of the environmental impacts of ERA's action in issuing a final order prohibiting Units 4 and 5 at the Lovett Generating Station from burning natural gas or petroleum as primary fuels. This analysis will discuss the environmental consequences of the proposal and alternatives including the environmental impacts of burning coal or other alternative fuels as primary fuels. Among the impacts to be discussed are air quality, water quality, solid waste generation and disposal, and transportation and storage of fuel, as well as other impacts determined to be potentially significant during the public comment process. In addition, the EIS will evaluate methods of meeting the requirement of the Clean Air Act, Federal Water Pollution Control Act, Resource Conservation and Recovery Act, and other relevant environmental statutes.

Scoping Meeting

DOE desires to know what the public considers to be the major environmental issues associated with prohibiting Lovett Units 4 and 5 from burning natural gas or petroleum as their primary energy source. The meeting on January 11, 1980, will be held to receive comments on the structure of the EIS, anticipated energy/environmental problems, actions that might be taken to address them, and reasonable alternatives which should be considered.

If possible, those planning to present information at the meeting should notifiy Mr. Ferguson. Participants are encouraged to submit to Mr. Ferguson, in advance, their intent to participate and copies of any written material. However, public participation is encouaged even without the advance submission of written material. All comments or suggestions made at the meeting will be carefully considered, as well as written material submitted until February 1, 1980. Attendees at the meeting will be asked to register.

Questions regarding the meeting should be addressed to Mr. Ferguson.

Issued in Washington, D.C., December 13, 1979.

Ruth C. Clusen,

Assistant Secretary for Environment.

[FR Doc. 79-38778 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

Compliance With the National Environmental Policy Act; Intent To Prepare Environmental Impact Statement (EIS)

AGENCY: Department of Energy.

ACTION: Notice of intent to prepare environmental impact statements.

SUMMARY: The Department of Energy (DOE) announces its intent to prepare two EISs evaluating the impact of its Proposed Prohibition Orders for the Arthur Kill (units 20 and 30) and the Ravenswood (units 30N and 30S) Generating Stations. Arthur Kill is located on Staten Island, New York City; Ravenswood is located in Queens, New York City, and both are owned and operated by the Consolidated Edison Company of New York. The Prohibition Orders, if finalized, would prohibit the burning of petroleum or natural gas in these units. One EIS will be prepared for each generating station with cumulative impacts addressed in each document, where appropriate. These EISs will be prepared in accordance with Section 102(2)(c) of the National Environmental Policy Act (NEPA).

All interested agencies, organizations, and persons wishing to submit comments or suggestions for consideration in connection with the preparation of this EIS are invited to do so.

DOE desires to have the benefit of the public's views as to the scope of the EISs and the significant environmental issues which each should address. Such comments may be expressed in writing and/or at a meeting which will be held for this purpose on January 10, 1980, in Room 305 A–B–C at the Federal Building, 26 Federal Plaza, New York, New York. The meeting is scheduled to begin at 9 a.m. and may continue until 4 p.m. If the public interest warrants, the meeting will extend into the evening hours.

In order for DOE to better gauge public interest in these EISs, those planning to attend the meeting and present information should contact Mr. Steven E. Ferguson, Chief, Environmental Analysis Branch, Office of Fuels Conversion, Economic Regulatory Administration, Department of Energy, 2000 M Street, N.W., Room 3322, Washington, D.C. 20461, telephone (202) 634–6523. Upon completion of each draft EIS, its availability will be announced in the **Federal Register**.

Written comments should be transmitted to Steven E. Ferguson (address above) by February 1, 1980.

For general information on the EIS process, contact: Robert J. Stern, Acting Director, Divison of NEPA Affairs, Office of the Assistant Secretary for Environment, Department of Energy, 1000 Independence Avenue, S.W., Washington, D.C. 20585, (202) 252–4600.

SUPPLEMENTARY INFORMATION: On August 29, 1979, ERA published proposed Prohibition Orders for both the Ravenswood Generating Station (powerplants 30 N with 464 MW, and 30 S with 464 MW) and the Arthur Kill Generating Station (powerplants 20 with 335 MW, and 30 with 491 MW) in the **Federal Register**. (44 FR 50638, and 44 FR 50636, respectively). The orders, if finalized, would prohibit these units from burning natural gas or petroleum as their primary energy source. The proposed prohibition orders were based on ERA findings that these powerplants have, or previously had, the technical capability to use an alternate fuel (coal) at their primary energy source. These findings were based on the information that the powerplants were designed and constructed to burn coal as a primary energy source and burned coal during 1971.

Environmental Impact Statement

The EIS will present a comprehensive analysis of the environmental impact of ERA's proposed action to issue a final order prohibiting Arthur Kill Units 20 and 30 and Ravenswood Units 30N and 30S from burning natural gas or petroleum as primary fuels. These analyses will discuss the environmental consequences of the proposal and alternatives, including the environmental impacts of burning coal or other fuels as primary fuels. Among the impacts to be discussed are air quality, water quality, solid waste generation and disposal, and transportation and storage of fuel, as well as other impacts determined to be potentially significant during the public comment process. In addition, the EIS will evaluate methods of meeting the requirements of the Clearn Air Act, Federal Water Pollution Control Act, Resource Conservation and Recovery Act, and other relevant environmental statutes.

Scoping Meeting

DOE desires to know what the public considers to be the major environmental issues associated with prohibiting Arthur Kill Units 20 and 30 and Ravenswood Units 30N and 30S from burning natural gas or petroleum as their primary energy source. The meeting on January 10, 1980, will be held to receive comments on the structure of the EISs, anticipated energy/environmental problems, actions that might be taken to address them, and reasonable alternatives which should be considered.

If possible, those planning to present information at the meeting should notify Mr. Ferguson. Participants are encouraged to submit to Mr. Ferguson, in advance, their intent to participate, and copies of any written material. However, public participation is encouraged even without the advance submission of written material. All comments or suggestions made at the meeting will be carefully considered in the preparation of the draft EIS, as well written material submitted until February 1, 1980. Attendees at the meeting will be asked to register.

Questions regarding the meeting should be addressed to Mr. Ferguson.

Issued in Washinton, D.C., December 13, 1979.

Ruth C. Clusen,

Assistant Secretary for Environment.

[FR Doc. 79-38780 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

Economic Regulatory Administration

Beacon Oil Co.; Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of action taken on Consent Order.

SUMMARY: Pursuant to 10 CFR 205.199J, the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives notice of final action taken on a Consent Order. Under the terms of 10 CFR 205.199J(c), no Consent Order involving sums in excess of $500,000 shall become effective until ERA publishes notice of its execution and solicits and considers public comments with respect to its terms.

On October 12, 1979, ERA published notice of a Proposed Consent Order which was executed by the Office of Enforcement of the ERA and Beacon Oil Company (44 FR 58950). With that notice, and in accordance with 10 CFR 205.199J, ERA invited interested persons to comment on the Proposed Consent Order. Also in that notice, interested persons who believe that they have a claim to all or a portion of certain refund amounts, as described in the notice, were instructed to provide written notification to ERA.

Approximately ninety-five persons submitted written notifications of claim; five of those notifications contained comments on the terms, conditions, or procedural aspects of the Consent Order. All five persons commenting stated a preference that refund amounts due them be made in the form of lump-sum cash payments, rather than in the form of payments that could extend over a period of time of up to eighteen months in length. ERA, while appreciative of this preference, must, however, also consider the need for Beacon to continue its business functions in an orderly fashion. A

remedial program occurring over a period of time approximately equal in length to the time over which Beacon received the refundable dollar amounts reconciles these two conflicting objectives.

ERA has concluded that the Consent Order as executed on September 10, 1979 between ERA and Beacon is an appropriate resolution of the compliance proceedings described in the notice published October 12, 1979, and hereby gives notice that the Consent Order shall become effective as proposed, without modification, on December 17, 1979.

Issued in Washington, D.C., November 28, 1979.

Robert D. Gerring,

Director, Program Operations Division, Economic Regulatory Administration.

[FR Doc. 79-38489 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Docket No. 79-CERT-102]

Consolidated Edison Co. of New York, Inc.; Certification of Eligible Use of Natural Gas To Displace Fuel Oil

Consolidated Edison Company of New York, Inc. (Con Ed) filed an application for certification of an eligible use of natural gas to displace fuel oil at its Astoria, East River, Narrows, Ravenswood, Waterside, and 60th Street steam and electric generating facilities in New York City with the Administrator of the Economic Regulatory Administration (ERA) pursuant to 10 CFR Part 595 on October 5, 1979. Notice of that application was published in the **Federal Register** (44 FR 65431, November 13, 1979) and an opportunity for public comment was provided for a period of ten (10) calendar days from the date of publication (December 27, 1979). No comments were received.

The ERA has carefully reviewed Con Ed's application in accordance with 10 CFR Part 595 and the policy considerations expressed in the Final Rulemaking Regarding Procedures for Certification of the Use of Natural Gas to Displace Fuel Oil (44 FR 47920, August 16, 1979). The ERA has determined that Con Ed's application satisfies the criteria enumerated in 10 CFR Part 595, and, therefore, has granted the certification and transmitted that certification to the Federal Energy Regulatory Commission. A copy of the transmittal letter and the actual certification are appended to this notice.

Issued in Washington, D.C., on December 7, 1979.

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Appendix I

December 11, 1979.

Mr. Kenneth F. Plumb,
Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Re: ERA Certification of Eligible Use, ERA Docket No. 79-CERT-102, Consolidated Edison Company of New York, Inc.

Dear Mr. Plumb: Pursuant to the provisions of 10 CFR Part 595, I am hereby transmitting to the Commission the enclosed certification of an eligible use of natural gas to displace fuel oil. This certification is required by the Commission as a precondition to interstate transportation of fuel oil displacement gas in accordance with the authorizing procedures in 18 CFR Part 284, Subpart F. As noted in the certificate, it is effective for one year from the date of issuance, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. A copy of the enclosed certification is also being published in the **Federal Register** and provided to the applicant.

Should the Commission have any further questions, please contact Mr. Finn K. Neilsen, Director, Import/Export Division, Economic Regulatory Administration, 2000 M Street, NW., Room 4126, Washington, D.C. 20461, telephone (202) 254-8202. All correspondence and inquiries regarding this certification should reference ERA Docket No. 79-CERT-102.

Sincerely,

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Enclosure.

[ERA Docket No. 79-CERT-102]

Certification by the Economic Regulatory Administration to the Federal Energy Regulatory Commission of the Use of Natural Gas for Fuel Oil Displacement by the Consolidated Edison Co. of New York, Inc.

Application for Certification

Pursuant to 10 CFR Part 595, Consolidated Edison Company of New York, Inc. (Con Ed) filed an application for certification of an eligible use of up to 150,000 Mcf of natural gas per day at its Astoria, East River, Narrows, Ravenswood, Waterside, and 60th Street steam and electric generating facilities in New York City, with the Administrator of the Economic Regulatory Administration (ERA) on October 5, 1979. The application states that the eligible seller of the gas is Consumers Power Company (Consumers) and that the gas will be transported by the Trunkline Gas Company, the Transcontinental Gas Pipe Line Corporation, and the Texas Eastern Transmission Corporation. The application and supplemental information indicate that the use of this natural gas is estimated to displace up to 2,942,000 barrels of residual fuel oil (0.3 percent sulfur) for the period October 1, 1979 to June 1, 1980. The application also indicates that neither the gas or the displaced fuel oil will be used to displace coal in the applicant's facilities.

Certification

Based upon a review of the information contained in the application, as well as other information available to ERA, the ERA hereby certifies, pursuant to 10 CFR Part 595, that the use of up to 150,000 Mcf of natural gas per day at Con Ed's Astoria, East River, Narrows, Ravenswood, Waterside, and 60th Street steam and electric generating facilities purchased from Consumers is an eligible use of gas within the meaning of 10 CFR Part 595.

Effective Date

This certification is effective upon the date of issuance, and expires one year from that date, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. It is effective during this period of time for the use of up to the same certified volume of natural gas at the same facilities purchased from the same eligible seller.

Issued in Washington, D.C., on December 7, 1979.

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

[FR Doc. 79-38493 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

E.D.G., Inc. (Formerly Named Edgington Oil Co.); Action Taken on Consent Order

Pursuant to 10 CFR 205.199J, the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) as successor to the Federal Energy Administration (FEA) hereby gives notice of final action taken on a Consent Order. Under the terms of 10 CFR 205.197(c), no Consent Order involving sums in excess of $500,000 shall became effective until ERA publishes notice of its execution and solicits and considers public comments with respect to its terms.

On October 5, 1979, ERA published a notice of a Proposed Consent Order which was executed between the Trustees for the benefit of the former shareholders of E.D.G., Inc., formerly named Edgington Oil Company (E.D.G.) and the Office of Enforcement of the ERA (44 FR 57468, October 5, 1979). With that notice, and in accordance with 10 CFR 205.199J, ERA invited interested persons to comment on the proposed Consent Order.

Also, in that notice, and in accordance with 10 CFR 205.283, interested parties who believe that they have a claim to all or a portion of the refund were instructed to provide written notification to ERA.

Several parties submitted written notification of claims; however, no comments on the terms, conditions or procedural aspects of the Consent Order were received. Therefore, ERA has concluded that the Consent Order as executed between ERA and E.D.G. is an appropriate resolution of the compliance proceedings described in the notice published October 5, 1979 and hereby gives notice that the Consent Order shall become effective as proposed, without modification, on December 10, 1979.

Issued in Washington, D.C. on the 7th day of December 1979.

Robert D. Gerring,

Director, Program Operations Division, Economic Regulatory Administration.

[FR Doc. 79-38491 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

Issuance of Presidential Permit for 230 kV International Interconnection, PP-64: Basin Electric Power Cooperative

AGENCY: Department of Energy, Economic Regulatory Administration.

ACTION: Notice of Issuance of Presidential Permit for 230 kV International Interconnection, PP-64: Basin Electric Power Cooperative.

SUMMARY: The Department of Energy (DOE) gives notice of the issuance of a Presidential Permit, PP-64, to Basin Electric Power Cooperative for a 230 kV International Interconnection at the United States-Canadian Border.

FOR FURTHER INFORMATION CONTACT: James M. Brown, Jr., System Reliability and Emergency Response Branch, Department of Energy, Room 4110, 2000 M Street, N.W., Washington, D.C. 20461, (202) 254-8247; and Lise Courtney M. Howe, Office of General Counsel, Department of Energy, Room 5E-064, Forrestal Building, 1000 Independence Avenue, S.W., Washington, D.C. 20585 (202) 252-2900.

SUPPLEMENTARY INFORMATION: On July 24, 1979, Basin Electric Power Cooperative (Basin) applied to the Economic Regulatory Administration (ERA) for authorization, pursuant to Executive Order No. 10485, as amended by Executive Order No. 12038, to construct, connect, operate and maintain an international interconnection at a point on the United States-Canadian border forty-five miles due north of Tioga, North Dakota. The three-phase, 60 hertz, 230 kilovolt overhead transmission line, which is approximately 135 miles in length, will interconnect with a similar transmission line owned and operated by the Saskatchewan Power Corporation. Basin also applied to the Rural Electrification Administration (REA) for a loan guarantee in order to construct this line.

On September 14, 1979, the Department of Energy adopted the environmental impact statement on this project, which was prepared by REA as lead agency, pursuant to an agreement between REA and DOE. REA issued a notice of availability of the final environmental impact statement on September 25, 1979 (44 F.R. 55221).

The Secretary of State by letter dated October 24, 1979 and the Secretary of Defense by letter dated November 21, 1979 favorably recommended that the permit be granted.

Upon consideration of the matter, ERA found that issuance of the Permit was appropriate and consistent with the public interest. Accordingly, the Administrator of ERA issued the Permit on November 30, 1979 authorizing Basin Electric Power Cooperative to construct, connect, operate and maintain an electric transmission facility at the United States-Canadian border.

Copies of the order and the record of decision, which also was signed by the administrator on November 30, 1979, are on file with ERA and upon request will be made available for public inspection and copying at the ERA Docket Room, Room B-210, 2000 M Street, N.W., Washington, D.C. and at the System Reliability and Emergency Response Branch, Room 4110, 2000 M Street, N.W., Washington, D.C.

Issued in Washington, D.C., December 10, 1979.

Jerry L. Pfeffer,

Assistant Administrator for Utility Systems, Economic Regulatory Administration.

[FR Doc. 79-38492 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

PGP Gas Products, Inc.; Action Taken on Consent Order

Pursuant to 10 CFR 205.199J, the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives notice of final action taken on a Consent Order. Under the terms of 10 CFR 205.199J(c), no Consent Order involving sums in excess of $500,000 shall become effective until ERA publishes notice of its execution and solicits and considers public comments with respect to its terms.

On October 24, 1979, ERA published a notice of a Proposed Consent Order which was executed between PGP Gas Products, Inc. and the ERA (44 FR 61242, October 24, 1979). With that notice, and in accordance with 10 CFR 205.199J, ERA invited interested persons to comment on the proposed Consent Order. Also, in that notice, and in accordance with 10 CFR 205.283, interested parties who believe that they have a claim to all or a portion of the refund were instructed to provide written notification to ERA.

One party submitted written notification of claim; however, no comments on the terms, conditions or procedural aspects of the Consent Order were received. Therefore, ERA has concluded that the Consent Order as executed between ERA and PGP Gas Products, Inc. is an appropriate resolution of the compliance proceedings decribed in the notice published October 24, 1979, and hereby gives notice that the Consent Order shall become effective as proposed, without modification, on December 11, 1979.

Issued in Dallas, Texas, this 27th day of November, 1979.

Wayne I. Tucker,

District Manager, Southwest District Enforcement, Economic Regulatory Administration.

[FR Doc. 79-38490 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Docket No. 79-CERT-105]

United States Steel Corp.; Certification of Eligible Use of Natural Gas To Displace Fuel Oil

United States Steel Corporation (USSC) filed an application for certification of an eligible use of natural gas to displace fuel oil at its Minntac facility in Mt. Iron, Minnesota, with the Administrator of the Economic Regulatory Administration (ERA), pursuant to 10 CFR Part 595 on October 9, 1979. Notice of that application was published in the **Federal Register** (44 FR 65432, November 13, 1979) and an opportunity for public comment was provided for a period of ten (10) calendar days from the date of publication (December 27, 1979). No comments were received.

The ERA has carefully reviewed USSC's application in accordance with the 10 CFR Part 595 and the policy considerations expressed in the Final Rulemaking Regarding Procedures for Certification of the Use of Natural Gas to Displace Fuel Oil (44 FR 47920, August 16, 1979). The ERA has determined that USSC's application satisfied the criteria enumerated in 10 CFR Part 595, and, therefore, has granted the certification and transmitted that certification to the Federal Energy

Regulatory Commission. A copy of the transmittal letter and the actual certification are appended to this notice.

Issued in Washington, D.C., on December 7, 1979.

Doris J. Dewton

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

December 11, 1979.

Re ERA Certification of Eligible Use, ERA Docket No. 79–CERT–105, United States Steel Corporation.

Mr. Kenneth F. Plumb,
Secretary, Federal Energy Regulatory Commission, 825 North Capitol Street, NE., Washington, D.C.

Dear Mr. Plumb: Pursuant to the provisions of 10 CFR Part 595, I am hereby transmitting to the Commission the enclosed certification of an eligible use of natural gas to displace fuel oil. This certification is required by the Commission as a precondition to interstate transporation of fuel oil displacement gas in accordance with the authorizing procedures in 18 CFR Part 284, Subpart F. As noted in the certificate, it is effective for one year from the date of issuance, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. A copy of the enclosed certification is also being published in the **Federal Register** and provided to the applicant.

Should the Commission have any further questions, please contact Mr. Finn K. Neilsen, Director, Import/Export Division, Economic Regulatory Administration, 2000 M Street, N.W., Room 4126, Washington, D.C. 20461, telephone (202) 254–8202. All correspondence and inquiries regarding this certification should reference ERA Docket No. 79–CERT–105.

Sincerely,

Doris J. Dewton,
Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Enclosure.

ERA Docket No. 79–CERT–105

Certification by the Economic Regulatory Administration to the Federal Energy Regulatory Commission of the Use of Natural Gas for Fuel Oil Displacement by the United States Steel Corp.

Application for Certification

Pursuant to 10 CFR Part 595, United States Steel Corporation (USSC) filed an application for certification of an eligible use of 1.5 Bcf of natural gas at its Minntac facility in Mt. Iron, Minnesota, with the Administrator of the Economic Regulatory Administration (ERA) on October 9, 1979. The application states that the eligible seller of the gas is Channel Industries Gas Company (Channel) and that the gas will be transported by Tenngasco, Incorporated, the Northern Natural Gas Company, the Peoples Natural Gas Division of Northern Natural Gas Company, and the Oasis Pipe Line Company. The application and supplemental information indicate that the use of this natural gas is estimated to displace 284,500 barrels of No. 2 fuel oil (low sulfur) at the Minntac facility between November 1, 1979 and May 31, 1980. The application also indicates that neither the gas nor the displaced fuel oil will be used to displace coal in the applicant's facilities.

Certification

Based upon a review of the information contained in the application, as well as other information available to ERA, the ERA hereby certifies, pursuant to 10 CFR Part 595, that the use of 1.5 Bcf of natural gas at USSC's Minntac facility purchased from Channel is an eligible use of gas within the meaning of 10 CFR Part 595.

Effective Date

This certification is effective upon the date of issuance, and expires one year from that date, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. It is effective during this period of time for the use of up to the same certified volume of natural gas at the same facility purchased from the same eligible seller.

Issued in Washington, D.C., on December 7, 1979.

Doris J. Dewton,
Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

[FR Doc. 79–38494 Filed 12–14–79; 8:45 am]

BILLING CODE 6450–01–M

[ERA Dockets Nos. 50868–2444–02–41, 50868–2444–02–41, 50868–2444–03–41, 50868–2444–04–41, 50868–2444–05–41, 50868–2444–06–41, and 50868–2444–07–41]

El Paso Electric Co.; Petition for Temporary Public Interest Exemptions

The Economic Regulatory Administration (ERA) of the Department of Energy hereby issues this Decision and Order granting temporary public interest exemptions from the prohibitions of Section 301(a) (2) and (3) of the Powerplant and Industrial Fuel Use Act of 1978 (FUA or the Act), 42 U.S.C. 8301 *et seq.* This Decision and Order is issued pursuant to Section 311(e) of FUA, 10 CFR 501.68 and 10 CFR 508 to the El Paso Electric Company (petitioner).

The petitioner filed for these temporary public interest exemptions pursuant to 10 CFR 508 (Exemption for Use of Natural Gas by Existing Powerplants Under the Powerplant and Industrial Fuel Use Act of 1978, April 9, 1979, 44 FR 21230, hereafter referred to as the Special Rule) with ERA on May 7, 1979. Notice of the petition and a proposed order granting these temporary exemptions was published in the June 1, 1979, **Federal Register** (44 FR 31677) with a request for public comments relating to the petition and the proposed order. Upon review of the public comments and the purposes of FUA, ERA has determined to grant the requested temporary public interest exemptions.

Based on the information provided by the petitioner, the powerplants listed in the table below are either prohibited by Section 301(a)(2) of FUA from using natural gas as a primary energy source or are prohibited from using natural gas as a primary energy source in excess of the average base year proportion allowed in Section 301(a)(3) of the Act. These temporary exemptions will allow these units to burn natural gas, notwithstanding the prohibitions of Section 301(a) (2) and (3) of FUA, to displace consumption of low sulfur residual fuel oil. The estimated amount and sulfur content of fuel oil to be displaced on a daily basis are as follows:

Generating station	Powerplant identification No.	Low sulfur residual fuel oil (barrels)	Percent sulfur content
Rio Grande (Sunland Park, N. Mex.).	2	1.5	0.45
	3	6.4	.45
	4	27.5	.45
	5	45.2	.45
	6	219.6	.45
	7	268.6	.45

These powerplants will burn an estimated 3,804,030 MCF of natural gas annually which will result in an estimated displacement of 569.3 barrels of low sulfur residual fuel oil per day (207,789 barrels annually).

Statement of Reasons

Because petroleum products are in short supply, there is an urgent need to use these natural resources wisely.

To the extent that the near-term choice of fuels for certain existing powerplants is limited to petroleum or natural gas, the use of natural gas is preferred over petroleum. The use of natural gas in these powerplants will be a significant step toward reducing our short-term oil consumption and will help the United States reduce its dependence on imported petroleum. This increased use of natural gas will also protect the Nation from the effects of any oil shortages, and will cushion the impact of increasing world oil prices, which have a detrimental effect on the Nation's balance of payments and domestic inflation rate.

To the extent that increased use of natural gas will accomplish these goals, it will reduce the importation of petroleum and further the goal of national energy self-sufficiency.

The petitioner has demonstrated that these powerplants, for which it is requesting temporary exemptions, are existing units that are either prohibited from using natural gas as a primary energy source by Section 301(a)(2) of FUA, or prohibited from using natural gas in excess of the average base year proportion allowed in Section 301(a)(3) of FUA. The petitioner has also shown that the proposed use of natural gas as a primary energy source, to the extent that such use would be prohibited by Section 301(a)(2) or (3) of FUA, will displace consumption of low sulfur residual fuel oil, and will not displace the use of coal or any other alternate fuel in any facility of the petitioner's utility system, including the powerplants for which these temporary exemptions are issued.

By establishing these facts the petitioner has met the eligibility criteria set out in Section 508.2 of the Special Rule. Since the increased use of natural gas is in keeping with the purposes of FUA and is in the public interest, and since the petitioner has demonstrated that it has met the eligibility criteria, ERA is granting these temporary exemptions.

Duration of Temporary Exemptions

ERA grants these temporary public interest exemptions for an initial period from the effective date of this Decision and Order until December 31, 1981. These exemptions will be automatically extended for an additional three year period upon written acceptance by ERA of a conservation plan pursuant to the third term and condition set forth below in this Decision and Order. The temporary exemptions are subject to termination by ERA, upon six months written notice, if ERA determines such termination to be in the public interest.

Effective Date of Decision and Order

This Decision and Order shall become effective on the sixtieth calendar day following publication in the **Federal Register** in accordance with Section 702(a) of FUA. However, in accordance with the policy set forth in the notice implementing this Special Rule (44 FR 21230) ERA will take no action with respect to any natural gas used by these exempted powerplants between May 8, 1979, the effective date of FUA, and the date this Decision and Order becomes effective.

Terms and Conditions

Pursuant to Section 314 of FUA and 10 CFR 508.6, these temporary exemptions granted under this Decision and Order are conditioned upon, and shall remain in effect so long as the petitioner, its successors and assigns, complies with the following terms and conditions:

(1) Petitioner will report to ERA for the period from May 8, 1979, through December 31, 1979, and for each subsequent six-month period thereafter the actual monthly volumes of natural gas consumed in the exempted powerplants, and an estimate of the number of barrels of each type of fuel oil displaced.

(2) Petitioner will submit to ERA, within one year after the date this Decision and Order is issued, a system-wide fuel conservation plan to include the initial period covered by these temporary exemptions, including the means by which the petitioner will measure progress in implementing this plan, or

(3) If the petitioner seeks to have the exemptions automatically extended, the fuel conservation plan must cover both the initial period covered by these temporary exemptions and the additional three year period, including the means by which the petitioner will measure progress in implementing this plan.

(4) Petitioner will submit annually to ERA, commencing with the calendar year ending December 31, 1980, a report on progress achieved in implementing the pertinent fuel conservation plan.

Issued in Washington, D.C. on December 11, 1979.

Robert L. Davies,
Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79–38571 Filed 12–14–79; 8:45 am]

BILLING CODE 6450–01–M

[ERA Dockets Nos. 54015–2390–05–41, 54015–2390–07–41, and 54015–2390–08–41]

Jersey Central Power & Light Co.; Petition for Temporary Public Interest Exemptions

The Economic Regulatory Administration (ERA) of the Department of Energy hereby issues this Decision and Order granting temporary public interest exemptions from the prohibitions of Section 301(a) (2) and (3) of the Powerplant and Industrial Fuel Use Act of 1978 (FUA or the Act), 42 U.S.C. 8301 *et seq.* This Decision and Order is issued pursuant to Section 311(e) of FUA, 10 CFR 501.68 and 10 CFR 508 to the Jersey Central Power and Light Company (petitioner).

The petitioner filed for these temporary public interest exemptions pursuant to 10 CFR 508 (Exemption for Use of Natural Gas by Existing Powerplants Under the Powerplant and Industrial Fuel Use Act of 1978, April 9, 1979, 44 FR 21230, hereafter referred to as the Special Rule) with ERA on April 19, 1979. Notice of the petition and a proposed order granting these temporary exemptions was published in the May 11, 1979, **Federal Register** (44 FR 27668) with a request for public comments relating to the petition and the proposed order. Upon review of the public comments and the purposes of FUA, ERA has determined to grant the requested temporary public interest exemptions.

Based on the information provided by the petitioner, the powerplants listed in the table below are either prohibited by Section 201(a)(2) of FUA from using natural gas as a primary energy source or are prohibited from using natural gas as a primary energy source in excess of the average base year proportion allowed in Section 301(a)(3) of the Act. These temporary exemptions will allow these units to burn natural gas, notwithstanding the prohibitions of Section 301(a) (2) and (3) of FUA, to displace consumption of low sulfur residual fuel oil. The estimated amount and sulfur content of fuel oil to be displaced on a daily basis are as follows:

Generating Station	Powerplant identification No.	Low sulfur residual fuel oil (barrels)	Percent sulfur content
Sayreville (Sayreville, N.J.).	5	44.7	0.3
	7	704.1	0.2
	8	484.9	0.3

These powerplants will burn an estimated 2,878,000 MCF of natural gas annually which will result in an estimated displacement of 1233.7 barrels of low sulfur residual fuel oil per day (450,300 barrels annually).

Statement of Reasons

Because petroleum products are in short supply, there is an urgent need to use these natural resources wisely.

To the extent that the near-term choice of fuels for certain existing powerplants is limited to petroleum or natural gas, the use of natural gas is preferred over petroleum. The use of natural gas in these powerplants will be a significant step toward reducing our short-term oil consumption and will help the United States reduce its dependence on imported petroleum. This increased use of natural gas will also protect the Nation from the effects of any oil shortages, and will cushion the impact of increasing world oil prices, which have a detrimental effect on the Nation's balance of payments and domestic inflation rate.

To the extent that increased use of natural gas will accomplish these goals, it will reduce the importation of petroleum and further the goal of national energy self-sufficiency. The petitioner has also shown that the proposed use of natural gas as a primary

energy source, to the extent that such use would be prohibited by Section 301(a) (2) or (3) of FUA, will displace consumption of low sulfur residual fuel oil, and will not displace the use of coal or any other alternate fuel in any facility of the petitioner's utility system, including the powerplants for which these temporary exemptions are issued.

By establishing these facts the petitioner has met the eligibility criteria set out in Section 508.2 of the Special Rule. Since the increased use of natural gas is in keeping with the purposes of FUA and is in the public interest, and since the petitioner has demonstrated that it has met the eligibility criteria, ERA is granting these temporary exemptions.

Duration of Temporary Exemptions

ERA grants these temporary public interest exemptions for an initial period from the effective date of this Decision and Order until December 31, 1981. These exemptions will be automatically extended for an additional three year period upon written acceptance by ERA of a conservation plan pursuant to the third term and condition set forth below in this Decision and Order. The temporary exemptions are subject to termination by ERA, upon six months written notice, if ERA determines such termination to be in the public interest.

Effective Date of Decision and Order

This Decision and Order shall become effective on the sixtieth calendar day following publication in the **Federal Register** in accordance with Section 702(a) of FUA. However, in accordance with the policy set forth in the notice implementing this Special Rule (44 FR 21230) ERA will take no action with respect to any natural gas used by these exempted powerplants between May 8, 1979, the effective date of FUA, and the date this Decision and Order becomes effective.

Terms and Conditions

Pursuant to Section 315 of FUA and 10 CFR 508.6, these temporary exemptions granted under this Decision and Order are conditioned upon, and shall remain in effect so long as the petitioner, its successors and assigns, complies with the following terms and conditions:

(1) Petitioner will report to ERA for the period from May 8, 1979, through December 31, 1979, and for each subsequent six-month period thereafter the actual monthly volumes of natural gas consumed in the exempted powerplants, and an estimate of the numer of barrels of each type of fuel oil displaced.

(2) Petitioner will submit to ERA, within one year after the date this Decision and Order is issued, a system-wide fuel conservation plan to include the initial period covered by these temporary exemptions, including the means by which the petitioner will measure progress in implementing this plan, or

(3) If the petitioner seeks to have the exemptions automatically extended, the fuel conservation plan must cover both the initial period covered by these temporary exemptions and the additional three year period, including the means by which the petitioner will measure progress in implementing this plan.

(4) Petitioner will submit annually to ERA, commencing with the calendar year ending December 31, 1980, a report on progress achieved in implementing the pertinent fuel conservation plan.

Issued in Washington, D.C., on December 11, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38572 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Dockets Nos. 51685-2511-01-41, 51685-2511-02-41, 51685-2514-04-41, and 51685-2514-05-41]

Long Island Lighting Co.; Petition for Temporary Public Interest Exemptions

The Economic Regulatory Administration (ERA) of the Department of Energy hereby issues this Decision and Order granting temporary public interest exemptions from the prohibitions of Section 301(a) (2) and (3) of the Powerplant and Industrial Fuel use Act of 1978 (FUA or the Act), 42 U.S.C. 8301 *et seq.* This Decision and Order is issued pursuant to Section 3111(e) of FUA, 10 CFR 501.68 and 10 CFR 508 to the Long Island Lighting Company (petitioner).

The petitioner filed for these temporary public interest exemptions pursuant to 10 CFR 508 (Exemption for Use of Natural Gas by Existing Powerplants Under the Powerplant and Industrial Fuel Use Act of 1978, April 9, 1979, 44 FR 21230, hereafter referred to as the Special Rule) with ERA on April 30, 1979. Notice of the petition and a proposed order granting these temporary exemptions was published in the May 11, 1979, **Federal Register** (44 FR 27668) with a request for public comments relating to the petition and the proposed order. Upon review of the public comments and the purposes of FUA, ERA has determined to grant the requested temporary public interest exemptions.

Based on the information provided by the petitioner, the powerplants listed in the table below are either prohibited by Section 301(a)(2) of FUA from using natural gas as a primary energy source or are prohibited from using natural gas as a primary energy source in excess of the average base year proportion allowed in Section 301(a)(3) of the Act. These temporary exemptions will allow these units to burn natural gas, notwithstanding the prohibitions of Section 301(a) (2) and (3) of FUA, to displace consumption of low sulfur residual fuel oil. The estimated amount and sulfur content of fuel oil to be displaced on a daily basis are as follows:

Generating station	Powerplant identification No.	Low sulfur residual fuel oil (barrels)	Percent sulfur content
E. F. Barrett (Island Park, N.Y).	1	1,293.2	0.37
	2	2,463.0	.37
Glenwood (Glenwood Landing, N.Y.).	4	991.8	.37
	5	898.6	.37

These powerplants will burn an estimated 20,384,000 MCF of natural gas annually which will result in an estimated displacement of 5646.6 barrels of low sulfur residual fuel oil per day (2,061,000 barrels annually).

Statement of Reasons

Because petroleum products are in short supply, there is an urgent need to use these natural resources wisely.

To the extent that the near-term choice of fuels for certain existing powerplants is limited to petroleum or natural gas, the use of natural gas is preferred over petroleum. The use of natural gas in these powerplants will be a significant step toward reducing our short-term oil consumption and will help the United States reduce its dependence on imported petroleum. This increased use of natural gas will also protect the Nation from the effects of any oil shortages, and will cushion the impact of increasing world oil prices, which have a detrimental effect on the Nation's balance of payments and domestic inflation rate.

To the extent that increased use of natural gas will accomplish these goals, it will reduce the importation of petroleum and further the goal of national energy self-sufficiency.

The petitioner has demonstrated that these powerplants, for which it is requesting temporary exemptions, are existing units that are either prohibited from using natural gas as units that are either prohibited from using natural gas as a primary energy source by Section

301(a)(2) of FUA, or prohibited from using natural gas in excess of the average base year proportion allowed in Section 301(a)(3) of FUA. The petitioner has also shown that the proposed use of natural gas as a primary energy source, to the extent that such use would be prohibited by Section 301(a) (2) or (3) of FUA, will displace consumption of low sulfur residual fuel oil, and will not displace the use of coal or any other alternate fuel in any facility of the petitioner's utility system, including the powerplants for which these temporary exemptions are issued.

By establishig these facts the petitioner has met the eligibility criteria set out in Section 508.2 of the Special Rule. Since the increased use of natural gas is in keeping with the purposes of FUA and is in the public interest, and since the petitioner has demonstrated that it has met the eligibility criteria, ERA is granting these temporary exemptions.

Duration of Temporary Exemptions

ERA grants these temporary public interest exemptions for an initial period from the effective date of this Decision and order until December 31, 1981. These exemptions will be automatically extended for an additional three year period upon written acceptance by ERA of a conservation plan pursuant to the third term and condition set forth below in this Decision and Order. The temporary exemptions are subject to termination by ERA, upon six months written notice, if ERA determines such termination to be in the public interest.

Effective Date of Decision and Order

This Decision and Order shall become effective on the sixtieth calendar day following publication in the **Federal Register** in accordance with Section 702(a) of FUA. However, in accordance with the policy set forth in the notice implementing this Special Rule (44 FR 21230) ERA will take no action with respect to any natural gas used by these exempted powerplants between May 8, 1979, the effective date of FUA, and the date this Decision and Order becomes effective.

Terms and Conditions

Pursuant to Section 314 of FUA and 10 CFR 508.6, these temporary exemptions granted under this Decision and Order are conditioned upon, and shall remain in effect so long as the petitioner, its successors and assigns, complies with the following terms and conditions:

(1) Petitioner will report to ERA for the period from May 8, 1979, through December 31, 1979, and for each subsequent six-month period thereafter the actual monthly volumes of natural gas consumed in the exempted powerplants, and an estimate of the number of barrels of each type of fuel oil displaced.

(2) Petitioner will submit to ERA, within one year after the date this Decision and Order is issued, a system-wide fuel conservation plant to include the initial period covered by these temporary exemptions, including the means by which the petitioner will measure progress in implementing this Plan, or

(3) If the petitioner seeks to have the exemptions automatically extended, the fuel conservation plan must cover both the initial period covered by these temporary exemptions and the additional three year period, including the means by which the petitioner will measure progress in implementing this plan.

(4) Petitioner will submit annually to ERA, commencing with the calendar year ending December 31, 1980, a report on progress achieved in implementing the pertinent fuel conservation plan.

Issued in Washington, D.C. on December 11, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38573 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Dockets Nos. 52414-2398-01-41, 52414-2398-02-41, 52414-2403-01-41, 52414-2411-01-41, 52414-2411-02-41, 52-414-2411-03-41, and 52414-2411-04-41]

Public Service Electric & Gas Co.; Petition for Temporary Public Interest Exemptions

The Economic Regulatory Administration (ERA) of the Department of Energy hereby issues this Decision and Order granting temporary public interest exemptions from the prohibitions of Section 301(a)(2) and (3) of the Powerplant and Industrial Fuel Use Act of 1978 (FUA or the Act), 42 U.S.C. 8301 *et seq.* This Decision and Order is issued pursuant to Section 311(e) of FUA, 10 CFR 501.68 and 10 CFR 508 to the Public Service Electric and Gas Company (petitioner).

The petitioner filed for these temporary public interest exemptions pursuant to 10 CFR 508 (Exemption for Use of Natural Gas by Existing Powerplants Under the Powerplant and Industrial Fuel Use Act of 1978, April 9, 1979, 44 FR 21230, hereafter referred to as the Special Rule) with ERA on May 15, 1979. Notice of the petition and a proposed order granting these temporary exemptions was published in the June 1, 1979, **Federal Register** (44 FR 31677) with a request for public comments relating to the petition and the proposed order. Upon review of the public comments and the purposes of FUA, ERA has determined to grant the requested temporary public interest exemptions.

Based on the information provided by the petitioner, the powerplants listed in the table below are either prohibited by Section 301(a)(2) of FUA from using natural gas as a primary energy source or are prohibited from using natural gas as a primary energy source in excess of the average base year proportion allowed in Section 301(a)(3) of the Act. These temporary exemptions will allow these units to burn natural gas, notwithstanding the prohibitions of Section 301(a)(2) and (3) of FUA, to displace consumption of low sulfur residual fuel oil. The estimated amount and sulfur content of fuel oil to be displaced on a daily basis are as follows:

Generating station	Powerplant identification No.	Low sulfur residual fuel oil (barrels)	Percent sulfur content
Bergen (Ridgefield, N.J.).	1	1,156.2	0.3
	2	3,378.1	.3
Hudson (Jersey City, N.J.).	1	3,906.6	.3
Sewaren (Sewaren, N.J.).	1	104.1	.3
	2	87.7	.3
	3	454.8	.3
	4	832.9	.3

These powerplants will burn an estimated 23,554,000 MCF of natural gas annually which will result in an estimated displacement of 9920.5 barrels of low sulfur residual fuel oil per day (3,621,000 barrels annually).

Statement of Reasons

Because petroleum products are in short supply, there is an urgent need to use these natural resources wisely.

To the extent that the near-term choice of fuels for certain existing powerplants is limited to petroleum or natural gas, the use of natural gas in preferred over petroleum. The use of natural gas in these powerplants will be a significant step toward reducing our short-term oil consumption and will help the United States reduce its dependence on imported petroleum. This increased use of natural gas will also protect the Nation from the effects of any oil shortages, and will cushion the impact of increasing world oil prices, which have a detrimental effect on the Nation's balance of payments and domestic inflation rate.

To the extent that increased use of natural gas will accomplish these goals,

it will reduce the importation of petroleum and further the goal of national energy self-sufficiency.

The petitioner has demonstrated that these powerplants, for which it is requesting temporary exemptions, are existing units that are either prohibited from using natural gas as a primary energy source by Section 301(a)(2) of FUA, or prohibited from using natural gas in excess of the average base year proportion allowed in Section 301(a)(3) of FUA. The petitioner has also shown that the proposed use of natural gas as a primary energy source, to the extent that such use would be prohibited by Section 301(a)(2) or (3) of FUA, will displace consumption of low sulfur residual fuel oil, and will not displace the use of coal or any other alternate fuel in any facility of the petitioner's utility system, including the powerplants for which these temporary exemptions are issued.

By establishing these facts the petitioner has met the eligibility criteria set out in Section 508.2 of the Special Rule. Since the increased use of natural gas is in keeping with the purposes of FUA and is in the public interest, and since the petitioner has demonstrated that it has met the eligibility criteria, ERA is granting these temporary exemptions.

Duration of Temporary Exemptions

ERA grants these temporary public interest exemptions for an initial period from the effective date of this Decision and Order until December 31, 1981. These exemptions will be automatically extended for an additional three year period upon written acceptance by ERA of a conservation plan pursuant to the third term and condition set forth below in this Decision and Order. The temporary exemptions are subject to termination by ERA, upon six months written notice, if ERA determines such termination to be in the public interest.

Effective Date of Decision and Order

This Decision and Order shall become effective on the sixtieth calendar day following publication in the **Federal Register** in accordance with Section 702(a) of FUA. However, in accordance with the policy set forth in the notice implementing this Special Rule (44 FR 21230) ERA will take no action with respect to any natural gas used by these exempted powerplants between May 8, 1979, the effective date of FUA, and the date this Decision and Order becomes effective.

Terms and Conditions

Pursuant to Section 314 of FUA and 10 CFR 508.6, these temporary exemptions granted under this Decision and Order are conditioned upon, and shall remain in effect so long as the petitioner, its successors and assigns, complies with the following terms and conditions:

(1) Petitioner will report to ERA for the period from May 8, 1979, through December 31, 1979, and for each subsequent six-month period thereafter the actual monthly volumes of natural gas consumed in the exempted powerplants, and an estimate of the number of barrels of each type of fuel oil displaced.

(2) Petitioner will submit to ERA, within one year after the date this Decision and Order is issued, a systemwide fuel conservation plan to include the initial period covered by these temporary exemptions, including the means by which the petitioner will measure progress in implementing this plan, or

(3) If the petitioner seeks to have the exemptions automatically extended, the fuel conservation plan must cover both the initial period covered by these temporary exemptions and the additional three year period, including the means by which the petitioner will measure progress in implementing this plan.

(4) Petitioner will submit annually to ERA, commencing with the calendar year ending December 31, 1980, a report on progress achieved in implementing the pertinent fuel conservation plan.

Issued in Washington, D.C. on December 11, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38574 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

Powerplant and Industrial Fuel Use Act; Issuance of Orders Granting Temporary Public Interest Exemptions

The Economic Regulatory Administration (ERA) of the Department of Energy hereby gives notice that on December 11, 1979, it issued orders granting temporary public interest exemptions, pursuant to the authorities granted it by Section 311(e) of the Powerplant and Industrial Fuel Use Act of 1978 (FUA or the Act), 42 U.S.C. 8301 *et seq.*, and 10 CFR 501.68 and 10 CFR 508, from the prohibitions of Section 301(a) (2) and (3) of the Act to the following powerplants:

Docket No.	Owner	Generating station location	Powerplant identification	Daily low-sulfur residual displacement (barrels)
51685-2511-01-41	Long Island Lighting Co	E. F. Barrett, (Island Park, N.Y.)	No. 1	1,293.2
51685-2511-02-41			No. 2	2,463.0
51685-2514-04-41		Glenwood (Glenwood Landing, N.Y.).	No. 4	991.8
51685-2514-05-41			No. 5	898.6
54015-2390-05-41	Jersey Central Power & Light Co	Sayreville (Sayreville, N.J.)	No. 5	44.7
54015-2390-07-41			No. 7	704.1
54015-2390-08-41			No. 8	484.9
50868-2444-02-41	El Paso Electric Co	Rio Grande (Sunland Park, N. Mex.).	No. 2	1.5
50868-2444-03-41			No. 3	6.4
50868-2444-04-41			No. 4	27.8
50868-2444-05-41			No. 5	45.2
50868-2444-06-41			No. 6	219.8
50868-2444-07-41			No. 7	268.6
52414-2390-01-41	Public Service Electric & Gas Co	Bergen (Ridgefield, N.J.)	No. 1	1,156.2
52414-2398-02-41			No. 2	3,378.1
52414-2403-01-41		Hudson (Jersey City, N.J.)	No. 1	3,906.8
52414-2411-01-41		Sewaren (Sewaren N.J.)	No. 1	104.1
52414-2411-02-41			No. 2	87.7
52414-2411-03-41			No. 3	454.8
52414-2411-04-41			No. 4	832.9

Petitions were received and filed with ERA, pursuant to 10 CFR 508 (Exemption for Use of Natural Gas by Existing Powerplants Under the Powerplant and Industrial Fuel Use Act of 1978, April 9, 1979, 44 FR 21230) for temporary public interest exemptions for the use of natural gas as a primary energy source.

Notice of the petitions and the proposed orders granting these temporary exemptions were published in the **Federal Register** on May 11, and June 1, 1979 (44 FR 27668 and 44 FR 31677). Written comments were requested on the proposed orders. All comments were considered by ERA.

A general comment from Allied Chemical Corporation expressed concern that the chemical industry has experienced production curtailments and plant shutdowns due to inadequate gas supplies for nonsubstitutable feedstock and process needs at the same time that DOE has concluded that excess supplies of natural gas are available. The Allied Chemical Corporation comment did not refer to any specific region nor did it specify impacts resulting from any particular petition or proposed order.

The State of New Jersey Department of Environmental Protection supports ERA's decision, stating, "Besides representing a positive response to the Nation's need to reduce its demand for imported petroleum products and related problems, ERA's action will result in a net air quality benefit * * *."

The State of New York Department of Environmental Conservation is "in favor of the use of natural gas wherever possible, since the environmental benefits are obvious * * *."

These temporary exemptions will allow the above-named units to burn an estimated total of 50,618,030 MCF of natural gas annually, notwithstanding the prohibitions of Section 301(a) (2) and (3) of FUA, displacing an estimated 17,370.1 barrels of low sulfur residual fuel oil per day (6,340,089 barrels annually).

The orders granting these temporary exemptions shall become effective sixty days following publication in the **Federal Register** in accordance with Section 702(a) of FUA. Owners of the above-named powerplants have received the Decision and Order by certified mail.

The individual orders are set forth following this notice. These temporary exemptions shall be in effect, subject to terms and conditions stated in each order, for an initial period ending December 31, 1981 and may be terminated by ERA, upon six months written notice, if ERA determines such termination to be in the public interest. The temporary exemptions may be extended for an additional period of three years upon written acceptance by ERA of a system-wide fuel conservation plan. Copies of all comments received during the public comment period will be available for public inspection and copying in the Public Information Office located in Room B-110, 2000 M Street, N.W., Washington, D.C. 20461.

Any questions regarding these temporary exemptions should be directed to Mr. James W. Workman, Acting Director, Existing Facilities Conversion Division, Office of Fuels Conversion, Economic Regulatory Administration, Department of Energy, Room 3128, 2000 M Street, N.W., Washington, D.C. 20461, (202) 254-7442.

Issued in Washington, D.C., on December 11, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38570 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

Federal Energy Regulatory Commission

[Docket No. ER80-120]

Central Hudson Gas & Electric Corp.; Filing

December 10, 1979.

The filing Company submits the following:

Take notice that Central Hudson Gas & Electric Corporation (Central Hudson) on December 4, 1979 tendered for filing as a supplement to its Rate Schedule F.P.C. No. 22 a letter of notification dated November 20, 1979 from Central Hudson to New York State Electric & Gas Corporation. Central Hudson states that this letter provides for an increase in the monthly operation and maintenance charge from $1,999.62 to $2,142.17 in accordance with Article IV.2 of its Rate Schedule F.P.C. No. 22. The increase is proposed to become effective January 1, 1980.

Copies of the filing by Central Hudson have been sent to the New York State Electric & Gas Corporation and the Public Service Commission of the State of New York.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 28, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38400 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-26]

Cimarron Transmission Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Cimarron Transmission Company (Cimarron) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Cimarron in its evidentiary submission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale in automatically joined as a party.

Kenneth Plumb,

Secretary.

Appendix A

Producer	Rate Schedule No. or contract date
Vi-Roi Oil Income Development Program 1975	4-10-78
Jerome M. Westheimer	4-10-78
Westeimer-Neustadt Corp	4-10-78
Lincoln Rock Corporation	12-1-76
Holden Energy Corp	12-19-78
Texaco, Inc	188

[FR Doc. 79-38471 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

[Project No. 2232]

Duke Power Co.; Application for Approval of Change in Land Rights

December 10, 1979.

Take notice that an application was filed on April 19, 1979, under the Federal Power Act, 16 U.S.C. Sections 791(a)–825(r), by Duke Power Company (Applicant) for approval of a change in land rights at the Wateree Development of the Catawba-Wateree Project No. 2232. The Wateree Development is located on the Wateree River in Fairfield County, South Carolina. Correspondence with the Applicant on this matter should be addressed to: Mr. John E. Lansche, Assistant General Counsel, Duke Power Company, Box 2178, Charlotte, North Carolina 28242.

Applicant requests approval to sell, in fee, three islands, totalling approximately 147.22 acres of project lands, and to grant three small rights-of-way to its subsidiary Crescent Land and Timber Corporation (Crescent). The three small (66 feet wide) rights-of-way would provide access over existing causeways which are located between the mainland and the islands to be conveyed. The islands are near the western shore of Lake Wateree, between Dutchmans Creek and Taylor Creek approximately 12 miles upstream from Wateree Dam.

Crescent, in exchange for other lands owned by the State, would thereafter convey the three islands and rights-of-way to the South Carolina Department of Parks, Recreation, and Tourism, for development of a state park.

Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR § 1.8 or 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest or comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before January 21, 1980. The Commission's address is: 825 North Capitol Street, N.E., Washington, D.C. 20426. The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38462 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2232]

Duke Power Co.; Application for Approval of Change in Land Rights

December 10, 1979.

Take notice that an application was filed on September 5, 1979, under the Federal Power Act, 16 U.S.C. 791a–285r, by Duke Power Company (Applicant) for approval of a change in land rights at the Cowen's Ford Development of the Catawba-Wateree Project No. 2232. The project lands to be conveyed are adjacent to the Catawba River (Lake Norman) in Iredell County, North Carolina. Correspondence with the Applicant on this matter should be addressed to: Mr. John E. Lansche, Assistant General Counsel, Duke Power Company, Box 2178, Charlotte, North Carolina 28242.

Applicant requests Commission approval to convey, in fee, five small parcels of project land, totalling 1.62 acres, to Mr. Irwin Belk, a private property owner. The parcels are located adjacent to Mr. Belk's property, which is in Davidson Township, Iredell County, south of the County Road Number 1111.

The five parcels of land, which were filled, bulkheaded and planted with vegetation approximately 10 years ago without Applicant's approval or knowledge, would be removed from the project. Applicant states in its application that the removal of these parcels from the project lands would not affect the operational or recreational aspects of the project.

Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR 1.8 or 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules.

Any comments, protests, or petitions to intervene must be filed on or before January 21, 1980. The Commission's address is: 825 North Capitol Street, N.E., Washington, D.C. 20426. The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38463 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2232]

Duke Power Co.; Application for Approval Of Change in Land Rights

December 10, 1979.

Take notice that an application was filed on June 13, 1979, under the Federal Power Act, 16 U.S.C. Section 791 (a)–825(r), by Duke Power Company (Applicant) for the approval of a change in land rights at the Catawba Development of the Catawba-Wateree Project No. 2232. The project lands to be conveyed are on the Catawba River (Lake Wylie) in Gaston County, North Carolina. Correspondence with the Applicant on this matter should be addressed to: Mr. John E. Lansche, Assistant General Counsel, Duke Power Company, Box 2178, Charlotte, North Carolina 28242.

Applicant requests Commission approval to sell, in fee, approximately 4.32 acres of project lands to Daniel J. Stowe, a private landowner. The project lands to be conveyed are currently inundated by three small impoundments, which are wholly within the project boundary, and were created by damming small coves of the project reservoir. The impoundments are located in an area between the South Fork River and the Catawaba Creek. The dams were constructed approximately 15 years ago, and the small impoundments have been managed by Mr. Stowe, as wildlife and waterfowl feeding and sanctuary areas, since that time. The intended use of the impoundments would remain the same.

Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedures 18 CFR 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments

filed, but a person who merely files a protest or other comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before January 21, 1980. The Commission's address is: 825 North Capitol Street, N.E. Washington, D.C. 20426. The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38464 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-29]

Florida Gas Transmission Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23–B,[2] and "Order on Rehearing of Order No. 23–B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Florida Gas Transmission Company (Florida Gas) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Florida Gas in its evidentiary submission.

Take further notice that "Florida Cities" also filed a third-party protest on October 15, 1979. "Florida Cities" protests that the contracts in Appendix B do not constitute contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price. Florida Cities' position has been adopted and incorporated in protests filed by the Arizona Corporation Commission, the Associated Gas Distributors, the Gas Consumers Group, the Cities of Mangum, Oklahoma and Winfield, Kansas, the Kansas State Corporation Commission, Congressman Andrew Maguire, the Memphis Light, Gas and Water Division, the Public Service Commission of the State of New York, Lone Star Florida Pennsuco, Inc., the South Dakota Public Service Commission and the Minnesota Public Service Commission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate schedule No. or contract date
Texaco, Inc	239
Exxon	477
Florida Gas Exploration Co	6
Amoco	439
Sun Oil	505
Louisiana Land and Exploration Co	10
Kerr McGee	125

Appendix B

Producer	Rate schedule No. or contract date
Amerada Hess	82
Gulf Oil Co	159
Gulf Oil Co	344
Partnership Properties Petro-Lewis	1–14–59
Phillips Petroleum Corp	417
Phillips Petroleum Corp	372
Amoco	439
Exxon	409
Texaco	281
Texaco	279
Superior Oil Co	112
Amoco	668
Aminoil	45
Florida Gas Exploration Co	30
Atlantic Richfield	200
Getty Oil	88
Perry R. Bass	4
Perry R. Bass	3
Florida Gas Exploration Co	35
Getty Oil	86
Mitchell Energy	20
Perry R. Bass	44
Chevron USA	75
Dow Chemical *et al.*, including J. M. Huber	90
Exxon	477
Exxon	504
Florida Gas Exploration Co	6
Gulf Oil Co	158
Gulf Oil Co	437
Florida Gas Exploration Co	26
MAPCO, Inc	26
Florida Gas Exploration Co	36
Shell Oil Co	8–1–78
Florida Gas Exploration Co	10
Shell Oil Co	409
Florida Gas Exploration Co	11
MAPCO, Inc	25
Shell Oil Co	229
Florida Gas Exploration Co	21
Do	19
Do	20
Do	24
Do	17
Do	23
Do	25
Do	22
Do	31
Do	13
Shell Oil Co	416
Shell Oil Co	194
Superior Oil Co	67
Sabine Production Co	8
Systems Fuels, Inc	32
MAPCO, Inc	27
Louisiana Land & Exploration Co	25
Sun Oil Co	592
Florida Gas Exploration Co	7
MAPCO, Inc	23
Florida Gas Exploration Co	32
Florida Gas Exploration Co	34
Gulf Oil Co	157
H. L. Hunt	26
Shell Oil Co	192
Superior Oil Co	86
Superior Oil Co	64
Kerr McGee	125
Louisiana Land & Exploration Co	10
Louisiana Land & Exploration Co	7
Sun Oil Co	505
Shell Oil Co	264
Texaco	238
Texaco	457
Texaco	485
Phillips Petroleum Corp	352
George R. Brown	19
Texaco	239
Sun Oil Co	254
Superior Oil Co	83
Superior Oil Co	229

[FR Doc. 79-38465 Filed 12-14-79; 8:45 am]

BILLING CODE 6540-01-M

[Docket No. ER80-119]

Holyoke Water Power Co.; Filing

December 10, 1979.

The filing Company submits the following:

Take notice that Holyoke Water Power Company (the "Company") on December 4, 1979, tendered for filing an electric rate schedule entitled:

Resale Service Rate CD–1

Service Agreement Between Holyoke Water Power Company and City of Chicopee, Massachusetts Municipal Lighting Plant

The City of Chicopee is presently served under the Company's Rate Schedule FPC No. 5. The proposed rate schedule (the "CD–1 Rate") is intended to supercede Rate Schedule FPC No. 5. The CD–1 Rate is the so-called "contract demand" (or "CD") rate form which was approved by the Commission's Order issued October 20, 1975, in Dockets No. E–8798 and E–8843, as part of a settlement which provided that Chicopee could elect to receive a portion of its firm power service requirements in accordance with the contract demand rate form specified in said settlement.

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79–22, issued June 21, 1979.

[3] Docket No. RM79–22, issued August 6, 1979.

The charges in the proposed rate schedule have been designed to achieve the revenue levels agreed upon in the Settlement Agreement approved by the Commission in Docket No. ER77-90 (less that portion of the settlement revenues which are attributable to replacement energy charges by the Company for the backup of Chicopee's entitlements in the Maine Yankee and Vermont Yankee nuclear units).

The Company proposes an effective date of December 1, 1979, the date which Chicopee has indicated to the Company it wishes to receive service under the CD-1 Rate. The Company states that copies of the filing were served upon Chicopee and the Commonwealth of Massachusetts Department of Public Utilities.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest before December 28, 1979, with the Federal Energy Regulatory Commission, 825 No. Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38466 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ER80-116]

Idaho Power Co.; Filing

December 10, 1979.

The filing Company submits the following:

Take notice that on December 3, 1979, the Idaho Power Company tendered for filing in compliance with the Federal Energy Regulatory Commission's Order of October 7, 1978, a summary of sales made under the Company's 1st Revised FERC Electric Tariff, Volume No. 1 (Supersedes Original Volume No. 1) during October, 1979, along with cost justification for the rate charged.

Any person desiring to be heard or to protest said filing should file a protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 28, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38467 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-16]

Mid-Louisiana Gas Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Mid-Louisiana Gas Company (Mid-Louisiana) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect certain applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A does not constitute authority for the producer to increase price to the extent claimed by Mid-Louisiana in its evidentiary submission.

Any person, other than Mid-Louisiana and the sellers, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 24, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate Schedule No. or contract date
Burke Royalty Co	4-18-75
Richard B. Nelson	8-1-77

[FR Doc. 79-38468 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-17]

Mississippi River Transmission Corp.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Mississippi River Transmission Corporation (Mississippi) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect certain applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A does not constitute authority for the producer to increase price to the extent claimed by Mississippi in its evidentiary submission.

Any person, other than Mississippi and the sellers, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 24, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate schedule No. or contract date
Dyco Petroleum	9-7-76
Jack T. Everett, et al	5-12-76
Jake L. Hamon	7-25-77
Hinton Production Co., et al	7-29-77
Hinton Production Co., et al	3-10-78
MRT Exploration Co	RS#10
MRT Exploration Co	RS#11
Amoco Production Co	RS#31
Hurley Foundation	4-23-51
Kaiser-Francis Oil Co	5-31-77
Natomas North America, Inc	1-21-77
Chevron, USA, Inc	RS#163
Four M. Properties, Ltd	8-16-78
MRT Exploration Co	RS#5
MRT Exploration Co	RS#12
Union Oil Co. of California	RS#243

[FR Doc. 79-38469 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

[Docket No. ER80-117]

The Montana Power Co.; Filing

December 10, 1979.

The filing Company submits the following:

Take notice that on November 30, 1979, The Montana Power Company tendered for filing in compliance with the Federal Power Commission's Order of May 6, 1977, a summary of sales made under the Company's FPC Electric Tariff, M-1 during October, 1979, along with cost justification for the rate charged.

Any person desiring to be heard or to protest said filing should file a protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 28, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38470 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-30]

Mountain Fuel Supply Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Mountain Fuel Supply Company (Mountain Fuel) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximm lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Mountain Fuel in its evidentiary submission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the commmission, on or before December 26, 1979, a petition to intervene in accordance with 18 C.F.R. 1.8. The seller need not file for intervention because under 18 C.F.R. § 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate schedule No. or contract date
Gulf Oil Corp	519
Gulf Oil Corp	520
Energy Reserves Group, Inc	123
Energy Reserves Group, Inc	103
Belco Petroleum Corp	4
Belco Petroleum Corp	7

[FR Doc. 79-38471 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM-79-22, issued August 6, 1979.

[Project No. 2981]

Nevada Irrigation District; Application for Preliminary Permit

December 10, 1979.

Take notice that the Nevada Irrigation District (Applicant) filed on October 5, 1979, an application for preliminary permit [pursuant to the Federal Power Act, 16 U.S.C., § 791(a)-825(r)] for a proposed water power project to be known as the Lake Combie Power Project, FERC No. 2981, located on the Bear River and Lake Combie in the County of Nevada, California.

Correspondence with the Applicant should be directed to: Mr. Fred Bandy, General Manager, Nevada Irrigation District, P.O. Box 1019, Grass Valley, California, 95945, and Mr. David H. Minasian, Esq., Minasian, Minasian, Minasian, Spruance & Baber, Attorneys at Law, P.O. Box 1679, Oroville, California, 93270.

Purpose of Project—Applicant would use the power generated at the project to operate the pumps at its Magnolia #3 pumping station. Energy in excess of pumping requirements would be sold to a public or private utility or banked with a utility in exchange for energy on demand or utilized internally by the Applicant.

Proposed Scope and Cost of Studies Under Permit—Applicant seeks issuance of a preliminary permit for a period of 36 months, during which time it would conduct surveys and investigations, make comparative studies, prepare cost estimates, consult with agencies, perform an environmental assessment, prepare a feasibility report, and prepare a FERC license application. The estimated cost for the work required up to and including the submittal of a license application is $100,000.

Project Description—The proposed Lake Combie Power Project would consist of: (1) an existing reservoir with a gross storage capacity of 7,164 acre-feet; (2) an existing concrete-arch dam, 85 feet high and 762 feet long; (3) an existing steel outlet pipe, 34 inches in diameter; (4) a proposed "Y" branch to be connected to the outlet pipe, which would allow water to flow to either the powerhouse or the existing Combie North Aqueduct; (5) a proposed penstock; (6) a proposed powerhouse with an installed capacity of 1,000 kW; (7) a proposed return conduit from the powerplant to the Combie North Aqueduct; and (8) a proposed 13.8/kV transmission line. The proposed powerplant would be designed to allow power to be generated while supplying

to the Bear River. During periods when water is required in the aqueduct the powerplant would operate utilizing a head of 35 feet. When flows are released into the river, the powerplant would operate utilizing a head of 70 feet.

Purpose of Preliminary Permit—A preliminary permit does not authorize construction. A permit, if issued, gives the Permittee, during the term of the permit, the right of priority of application for license while the Permittee undertakes the necessary studies and examinations to determine the engineering, economic, and environmental feasibility of the proposed project, the market for the power, and all other necessary information for inclusion in an application for a license.

Agency Comments—Federal, State, and local agencies that receive this notice through direct mailing from the Commission are invited to submit comments on the described application for preliminary permit. (A copy of the application may be obtained directly from the Applicant.) Comments should be confined to substantive issues relevant to the issuance of a permit and consistent with the purpose of a permit as described in this notice. No other formal request for comments will be made. If any agency does not file comments within the time set below, it will be presumed to have no comments.

Comments, Protests, or Petitions to Intervene—Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR, § 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the apropriate action to take, the Commission will consider all protests or other comments filed, but a persons who merely files a protest or comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a persons must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before February 11, 1980. The Commission's address is: 825 N. Capitol Street, N.E., Washington, D.C. 20426. The application is on file with the Commission and is available for public inspection.

Competing Applications—Anyone desiring to file a competing application must submit to the Commission, on or before February 11, 1980, either the competing application itself or a notice of intent to file a competing application. Submission of a timely notice of intent allows an interested person to file the competing application no later than April 11, 1980. A notice of intent must conform with the requirements of 18 CFR 4.33 (b) and (c), (*as amended*, 44 FR 61328, October 25, 1979). A competing application must conform with the requirements of 18 CFR, 4.33 (a) and (d), (*as amended*, 44 FR 61328, October 25, 1979).

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38472 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ER80-116]

Niagara Mohawk Power Corp.;

Filed: December 10, 1979.

The filing Company submits the following:

Take notice that Niagara Mohawk Power Corporation (Niagara), on December 3, 1979, tendered for filing an agreement between Niagara and the Village of Lake Placid, New York (Village) dated July 11, 1979.

Under the terms of this agreement, Niagara has agreed to construct a 115 Kv transmission line from Niagara's Lake Colby Substation to the Village. In exchange for Niagara's consent to construct this line, the Village has agreed to make certain cash payments to Niagara and to pay additional wheeling rates over and above those currently paid to the Power Authority of the State of New York (PASNY).

Niagara requests a waiver of the prior notice requirments to allow the agreement to become effective on November 28, 1979, the date that the new line was scheduled to be energized.

Niagara states that copies of the filing were served on the Village, PASNY and the Public Service Commission, State of New York.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 28, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38473 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-36]

Northwest Pipeline Corp.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Northwest Pipeline Corporation (Northwest) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Northwest in its evidentiary submission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR § 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate schedule No. or contract date
Chandler & Associates, Inc	1-9-78
Do	1-9-78
Do	1-9-78
Do	1-9-78
Do	12-26-76
Do	12-26-76
Do	12-26-76

[FR Doc. 79-38474 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 22, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

[Docket No. HB24-63-3 (formerly E-7719)]

Public Service Co. of Colorado; Proposed Determination of Headwater Benefits Payments in the Upper Colorado River Basin

December 11, 1979.

Take notice that Commission staff proposes a determination pursuant to the provisions of Section 10(f) of the Federal Power Act, 16 U.S.C. 803, of certain payments for benefits provided by the federal Green Mountain headwater improvement in the Upper Colorado River basin to the downstream Shoshone hydroelectric plant owned by the Public Service Company of Colorado. The proposed payment of $433,465 for benefits, plus $50,311 for costs of the investigation, for the period of November 16, 1942, through December 31, 1970. The proposed payments are based on a report dated November 1974 by the Commission's Office of Electric Power Regulation (formerly Bureau of Power). Adjustments have been made subsequent to the report.

The report has been circulated for comment. Legal and technical objections have been raised to the report. Commission staff recognized only those objections to the effect of net evaporation from federal reservoirs and irrigation diversions by certain holders of junior water rights as appropriate for adjusting the computations. The payments proposed above reflect revised computations for those effects.

Anyone desiring to be heard or to make any protest about this report should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR § 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest or comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before January 17, 1980. The Commission's address is: 825 North Capitol Street, N.E., Washington, D.C. 20426. The report is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38475 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-40]

RJB Pipeline Co.; Application for Determination of First Sale Status or for Adjustment and Interim Relief

December 10, 1979.

Take notice that on November 28, 1979, RJB Gas Pipeline Company (RJB), 3080 Liberty Tower, Oklahoma City, Oklahoma 73102, filed with the Federal Energy Regulatory Commission (Commission) in Docket No. SA80-40, an application for determination of first sale status or in the alternative for an adjustment and interim relief under section 502(c) of the Natural Gas Policy Act of 1978 (NGPA) 15 USC 3301 *et seq.*, and sections 280.202, 270.203(b)(2), 271.1105, and 271.1106 of the Commission's Regulations (18 CFR § 202; 203(b)(2); 1105; 1106).

Specifically, RJB requests the Commission to determine not to treat its sales of natural gas from wells located in Baca County, Colorado to Colorado Interstate Gas Company (CIG) as first sales retroactive to March 1, 1979; or in the alternative for the Commission to grant an adjustment to permit recovery of gathering costs as indicated in the cost of service attached to the application filed with the Commission. Furthermore, RJB seeks interim relief to permit RJB to collect from CIG a $.20 per Mcf gathering charge retroactive to March 1, 1979.

The procedures applicable to the conduct of this adjustment proceeding are found in 18 CFR § 1.41 *et seq.* See also Commission Order No. 24 issued March 22, 1979. (44 F.R. 18961, March 30, 1979.)

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of 18 CFR § 1.41(e). All petitions to intervene must be filed within 15 days after publication of this notice in the **Federal Register** and should be sent to the Federal Energy Regulatory Commission, 825 North Capitol St., NE., Washington, D.C., 20426.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38476 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2101]

Sacramento Municipal Utility District; Application for Amendment of License

December 10, 1979.

Take notice that on August 13, 1979, Sacramento Municipal Utility District (Licensee) filed an application for amendment of its license for the existing Upper American River Project No. 2101, located on the Rubicon River and tributaries, Silver Creek and tributaries, and South Fork of the American River in El Dorado County, California. Correspondence concerning the application should be sent to Mr. William C. Walbridge, General Manager, and Mr. David S. Kaplan, General Counsel, Sacramento Municipal Utility District, P.O. Box 1583, Sacramento, California 95813.

The license for the Upper American River Project was issued on August 28, 1957, for a period of 50 years. The Commission has, since that time, issued several orders approving additional power facilities. The project, as it presently exists, consists of: three main dams and storage reservoirs; eight diversion dams and regulating reservoirs; 6 powerhouses with total installed capacity of 596,000 kW; and associated tunnels and penstocks.

Proposed Project Description—The Licensee now seeks authorization to construct: (1) a reinforced concrete powerhouse, to be located on the downstream face of Slab Creek Dam, containing one turbine generating unit with an installed capacity of 400 kW; and (2) approximately 200 feet of transmission line which would connect to an existing 12-kV transmission line. The existing outlet works for the Slab Creek Dam would be modified for power development. The power plant and the 200-foot transmission line would be located within the existing project boundary.

Estimated Cost—The Licensee estimates the capital cost of the proposed project at $716,000.

Purpose Of The Project—The plant would generate about 2.95 million kWhs annually and would be connected, through the Licensee's interconnected system, to the Northern California Power Grid System.

Recreation Facilities—The Licensee states, in the application, that the recreation facilities of the Upper American River Project have been fully developed under the original license and that the economics of the proposed power plant do not justify any new recreation facilities at this time.

Agency Comments—Federal, State, and local agencies that receive this

notice through direct mailing from the Commission are requested to provide comments pursuant to the Federal Power Act, the Fish and Wildlife Coordination Act, the Endangered Species Act, the National Historic Preservation Act, the Historical and Archeological Preservation Act, the National Environmental Policy Act, Pub. L. No. 88–29, and other applicable statutes. No other formal requests for comments will be made.

Comments should be confined to substantive issues relevant to the issuance of an order amending project license. A copy of the application may be obtained directly from the applicant. If an agency does not file comments within the time set below, it will be presumed to have no comments.

Protests and Petitions to Intervene—Anyone desiring to be heard or make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 C.F.R. Section 1.8 or Section 1.10 (1979). In determining the appropriate action to take, the Commission will consider all protests filed, but a person who merely files a protest does not become a party to the proceeding. To become a party or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules.

Any protest, petition to intervene, or agency comments must be filed on or before January 21, 1980. The Commission's address is: 825 N. Capitol Street, N.E., Washington, D.C. 20426.

The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38477 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. GP80-22]

Texas Gas Pipeline Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23–B,[2] and "Order on Rehearing of Order No. 23–B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Texas Gas Pipeline Company (Texas Gas) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Texas Gas in its evidentiary submission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR § 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,

Secretary.

Appendix A

Producer	Rate Schedule No. or Contract date
Sun Oil Co	41
Sun Oil Co	42

[FR Doc. 79-38478 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ER80-115]

The Toledo Edison Co.; Service Agreement

December 10, 1979.

The filing Company submits the following:

Take notice that The Toledo Edison Company on December 3, 1979, tendered for filing proposed changes in its FPC Electric Service Tariff, Original Volume Number 1. The changes consist of the filing of a Service Agreement executed by the Southeastern Michigan Rural Electric Co-operative Inc.

Toledo Edison states that the executed Service Agreement with Southeastern Michigan Rural Electric Co-operative Inc. provides that service will be rendered under the terms of a new rate classification identical in all respects to the Company's existing Municipal Resale Service Rate—Small. Toledo Edison further states that the service which it has rendered and will render to Southeastern Michigan Rural Electric Co-operative Inc. is necessary to alleviate a low voltage condition being experienced on a portion of Southeastern's distribution system. An effective date of March 1, 1978 has been requested for the filed Service Agreement.

Copies of this filing were served upon Southeastern Michigan Rural Electric Co-operative Inc. and the Public Utilities Commission of Ohio.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 28, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38479 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket Nos. RP77-107, RP71-41, et al.]

United Gas Pipeline Co.; Request for Approval of Refund Procedure

December 7, 1979.

Take notice that on December 4, 1979, United Gas Pipeline Company (United) requested that this Commission issue an order approving the payment of cetain refunds to its customers. United states that, pursuant to Commission orders approving settlements in the proceedings involving the refunds, such refunds would not flow until those orders are no longer subject to judicial review. United further states its willingness to pay out the refunds. notwithstanding the fact that one party has sought review of the orders approving the settlements. United also requests that the Commission grant approval by December 27, 1979, and that certain protective conditions be attached to the grant of approval, all as more fully set out in the application, which is on file and available for inspection at the Commission. Should the appellant prevail on appeal, these protective conditions would permit United to, in the future, recoup from customers amounts refunded.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before December 18, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38480 Filed 12-14-79; 8:45 am]

BILLING CODE 6450-01-M

[1] The term "third party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79–22, issued June 21, 1979.

[3] Docket No. RM79–22, issued August 6, 1979.

Office of Nuclear Energy

Nuclear Proliferation and Civilian Nuclear Power; Publication of Report of the Nonproliferation Alternative Systems Assessment Program and Announcement of Public Meeting

The draft final report of the Nonproliferation Alternative Systems Assessment Program (NASAP), *Nuclear Proliferation and Civilian Nuclear Power*, was released by the U.S. Department of Energy on December 14, 1979.

The goal of the NASAP study has been to provide recommendations for the development and deployment of more proliferation-resistant civilian nuclear power systems and institutions without jeopardizing the development of nuclear energy. In this context, "proliferation resistance" is the capability of a nuclear power system to inhibit, impede, or prevent the diversion of the system's fuel cycle materials or facilities from civilian to military uses. In addition, NASAP has supported, through its technical studies and analyses, U.S. participation in the International Nuclear Fuel Cycle Evaluation Studies.

The ten-volume draft report, consisting of an Executive Summary, a Program Summary and eight supporting technical volumes, was prepared by the Division of Nuclear Alternative Systems Assessment within the Office of the Assistant Secretary for Nuclear Energy.

It is now being released for public review and comment. The comment period will extend through Fedruary 15, 1980. The final report, reflecting the public review, is scheduled to be issued by the Department of Energy in the summer of 1980.

The principal findings and recommendations of the NASAP study are described in the following summary.

The NASAP report concludes that nuclear power systems can be made more proliferation resistant. All nuclear fuel cycles would entail varying degrees of proliferation risks. However, the light-water reactor fuel cycle which discharges spend fuel to interim storage involves no directly weapons-usable material in any part of the fuel cycle. It is a more proliferation-resistant fuel cycle than those which use highly enriched uranium or pure plutonium.

Differences in proliferation risk can be reduced by the introduction of combinations of technical and institutional measures rather than by technical measures alone. Some of these measures would be: wider acceptance of international safeguards on all civilian nuclear activities and wider acceptance of existing nonproliferation treaties; adherence to export controls and guidelines adopted by each of the nuclear supplier nations; cooperative arrangements to perform breeder reactor R&D only when the need is clear and then under international auspices; and limiting research reactor material to enrichment levels that minimize the presence of weapons-usable material.

A major theme of the NASAP report, which in many ways summarizes its findings, is that U.S. policy should continue to be directed toward establishing a nonproliferation regime which recognizes the need for security of energy supply.

To enhance security of supply and nonproliferation effectiveness, existing international arrangements must be improved and new ones established on a cooperative basis. In this area, NASAP made the following major observations: New enrichment capacity should be under effective multinational or international auspices; improved institutional arrangements for spent-fuel storage and disposal services should be pursued; the U.S. should continue to urge others to refrain from developing reprocessing capability until it is clearly needed. However, where reprocessing occurs, there would be less proliferation risk if services were to be provided by a few large facilities, if safeguards were to be strengthened at all bulk-handling facilities, and if services were to be supplied based on fast-breeder and advanced reactor R&D needs where there exist both economic and technical justification; and the U.S. should seek to insure that an international plutonium-management regime operates under effective and credible nonproliferation norms.

The nuclear systems examined by the study ranged from those currently in use throughout the world to others that have not yet progressed beyond the conceptual stage. They were examined not only from the standpoint of proliferation risk, but also in terms of their efficiency of resource use, cost, and safety and environmental characteristics. These elements, along with the commitments that would have to be undertaken in performing the research, development and demonstration of the systems, were summarized in an assesment of commercial potential.

Consistent with the report's theme of both assuring supply and strengthening the nonproliferation regime, recommendations for research, development and demonstration were provided:

- Support for developing and improving safeguards technology;
- Improving fuel utilization efficiency of today's light-water reactors by 1990, and developing still more resource efficient light-water fuel for commercial adoption by 2000;
- Completing the National Uranium Resource Evaluation Program by 1985 and continuing research and development of uranium discovery and extraction methods;
- Demonstrating low enriched uranium fuel for use in research reactors as compared to today's use of high enriched uranium fuel; 20–45% U–235 enriched fuel by 1982, less than 20% U–235 enriched fuel by 1984;
- Continuing with the development of the Liquid Metal Fast Breeder Reactor so that it could be commercially available, if needed, by about 2010 to 2020 while postponing the decision to start or defer a demonstration project until after the completion of the Conceptual Design Study;
- Continuing planned commitments to expand domestic enrichment capacity, improving the performance of existing technology and demonstrating the technical and economic performance of Advanced Isotopic Separation processes;
- Completing the Light Water Breeder Reactor proof-of-breeding demonstration in Shippingport;
- Demonstrating designs to improve the proliferation resistance of reprocessing in pilot facilities in the fast breeder program;
- Assessing unique markets such as for process heat and for use in water scarce regions for the High Temperature Gas-Cooled Reactor; and
- Investigating high burnup fuel technology for the Fast Mixed-Spectrum Reactor.

V 4 4 D E 1 7 7 9 UMI

Copies of the Executive Summary and Volume I

The Program Summary, of the draft report of the Nonproliferation Alternative Systems Assessment Program are available from: Technical Information Center, P. O. Box 62, Oak Ridge, Tennessee 37830 (Attention: *NASAP Report,* DOE/NE–0001).

Public Comments

We welcome comments on any aspect of the draft report. All comments should be submitted in writing by February 15, 1980, to: Dr. Hugh Kendrick, Acting Director, Division of Nuclear Alternative, Systems Assessment, NE–50 (P), Mail Stop B–107, U.S. Department of Energy, Washington, D.C. 20545.

In order to facilitate handling, the designation *NASAP Report,* should appear on all comments as well as on the outside envelope.

Public Meeting

The U.S. Department of Energy will conduct a public meeting to discuss the findings and recommendations of the Report of the Nonproliferation Alternative Systems Assessment Program on Thursday, January 17, 1980, in Washington, DC. The meeting will be held at 9:30 a.m. at the Department of Commerce Auditorium. The entrance is on 14th Street, NW. between Constitution Avenue and E Street. Parking and public transportation is available at 12th Street, NW. and Pennsylvania Avenue.

Following a short presentation, a panel will be available to respond to questions and hear comments. Questions may be submitted in advance to: Dr. Hugh Kendrick, Acting Director, Division of Nuclear Alternative Systems Assessment, NE–50 (P), Mail Stop B–107, U. S. Department of Energy, Washington, D.C. 20545, Attention: *NASAP Public Meeting.*

In addition, questions may be brought to the public meeting in written form or will be taken from the floor.

For further information contact: Mr. Howard Rohm, Division of Nuclear Alternative Systems Assessment, NE–50, Mail Stop B–107, U.S. Department of Energy, Washington, D.C. 20545 or call 301/353–4988.

Issued in Washington, D.C., December 10, 1979.

John W. Crawford, Jr.,

Acting Assistant Secretary for Nuclear Energy.

[FR Doc. 79–38485 Filed 12–14–79; 8:45 am]

BILLING CODE 6450–01–M

Office of Hearings and Appeals

Objection to Proposed Remedial Orders Filed With the Office of Hearings and Appeals

Notice is hereby given that during the week of November 19 through November 23, 1979, the Notices of Objection to Proposed Remedial Orders listed in the Appendix to this notice were filed with the Office of Hearings and Appeals of the Department of Energy.

Within 20 days after publication of this notice, any person who wishes to participate in the proceeding which the Department of Energy will conduct concerning the Proposed Remedial Orders described in the Appendix to this notice must file a request to participate pursuant to 10 CFR 205.194 (44 FR 7926, February 7, 1979). Within 30 days of the publication of this notice, the Office of Hearings and Appeals will determine those persons who may participate on an active basis in this proceeding, and will prepare an official service list which it will mail to all persons who filed requests to participate. Persons may also be placed on the official service list as non-participants for good cause show. All requests regarding this proceeding shall be filed with the Office of Hearings and Appeals, Department of Energy, Washington, D.C. 20461. Issued in Washington, D.C.

Melvin Goldstein,

Director, Office of Hearings and Appeals.

December 12, 1979

Alcatraz Mobil Service, Oakland, Calif., BRO–0819, motor gasoline

On November 20, 1979, Alcatraz Mobil Service, 6392 Telegraph Avenue, Oakland, California 94609, filed a Notice of Objection to a Proposed Remedial Order that the Department of Energy Western District Office of Enforcement issued to the firm on October 3, 1979. The Proposed Remedial Order found that during the period August 1, 1979 through September 19, 1979 Alcatraz committed pricing violations of $2,890.77 in connection with the sale of motor gasoline in the State of California.

Edwards Producing Co., Inc., Jackson, Miss., BRO–0178, crude oil

On November 20, 1979, Edwards Producing Company, Inc., 1755 Lella Drive, Suite 301, Jackson, Mississippi 39216 filed a Notice of Objection to a Proposed Remedial Order which the Department of Energy Southeast District Office of Enforcement issued to the firm on November 1, 1979. In the Proposed Remedial Order the Southeast District found that during the period September 1, 1973 through December 31, 1977, Edwards Producing Company, Inc. violated the Mandatory Petroleum Price Regulations in connection with its sales of crude oil. According to the Proposed Remedial Order the Edwards Producing Company, Inc. violation resulted in $125,567.47 of overcharges.

Exxon Co., U.S.A., Houston, Tex., BRO–0177, Benzene/Toluene

On November 20, 1979, Exxon Company, U.S.A., 800 Bell Street, Houston, Texas 70002 filed a Notice of Objection to a Proposed Remedial Order which the Department of Energy Office of Special Counsel for Compliance issued to the firm. In the Proposed Remedial Order the Office of Special Counsel found that during February through May 1974, Exxon carried over (banked) price premiums for benzene and toluene, in violation of the Mandatory Petroleum Price Regulations. According to the Proposed Remedial Order the Exxon Company overstated its banks for such products in the amount of $3,952,000.

[FR Doc. 79–38575 Filed 12–14–79; 8:45 am]

BILLING CODE 6450–01–M

ENVIRONMENTAL PROTECTION AGENCY

[OPP–50425A; FRL 1377–1]

Amendment to Experimental Use Permit Issued to U.S. Department of Agriculture

On Monday, May 7, 1979 (44 FR 26794), information appeared pertaining to the issuance of an experimental use permit, No. 42634–EUP–2, to the U.S. Department of Agriculture. At the request of the department, that permit has been amended. The program is now authorized in the State of Georgia as well as Louisiana. (PM–17, Franklin Gee, Room: E–341, Telephone: 202/426–9417.)

(Section 5 of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended in 1972, 1975, and 1978 (92 Stat. 819; 7 U.S.C. 136))

Dated: December 4, 1979.

Douglas D. Campt,

Director, Registration Division.

[FR Doc. 79–38506 Filed 12–14–79; 8:45 am]

BILLING CODE 6560–01–M

[OPTS–59000A; FRL 1374–5]

Pesticides and Toxic Substances; Approval of Exemption Application

AGENCY: Environmental Protection Agency (EPA).

ACTION: Approval for an exemption for test marketing activities from the premanufacture notification requirements of Section 5 of the Toxic Substances Control Act (TSCA).

SUMMARY: On October 22, 1979 EPA received an application from Hesser and Associates of Overland Park, Kansas to import sucrose tallowate for test marketing purposes. EPA has reviewed information supplied in the exemption application and other information gathered by the Agency. EPA has determined that Hesser's test marketing of sucrose tallowate will not present any unreasonable risk of injury to health or the environment. Therefore the Agency has granted Hesser an exemption from the premanufacture reporting requirements for the import of sucrose tallowate for test marketing in the manner described in the application. The exemption is effective immediately. A Federal Register notice published on November 20, 1979 (44 FR 66371) announced the receipt of the exemption application.

FOR FURTHER INFORMATION CONTACT: Paige Beville, Application Manager, Premanufacturing Review Division (PTS–794), Office of Pesticides and Toxic Substances, EPA, Washington, D.C. 20460 (202/426–8815).

SUPPLEMENTAL INFORMATION: Under section 5 of TSCA, anyone who intends to manufacture or import a new chemical substance for commercial purposes in the United States must submit a notice to EPA before manufacture or import begins. A "new" chemical substance is any chemical substance that is not on the Inventory of existing substances compiled by EPA under Section 8(b) of TSCA. Section 5(a)(1) requires each PMN to be submitted in accordance with section 5(d) and any applicable requirement of section 5(b). Section 5(d)(1) defines the contents of a PMN and section 5(b)(1) contains additional reporting requirements for certain new chemical substances.

Section 5(h), "Exemptions", contained several provisions for exemptions from some or all of the requirements of section 5. In particular, section 5(h)(1) authorizes EPA, upon application, to exempt persons from any requirement of section 5(a) or section 5(b), to permit the persons to manufacture or process chemical substances for test marketing purposes. To grant an exemption, the Agency must find that the test marketing activities will not present any unreasonable risk of injury to health or the environment. EPA must either approve or deny the application within 45 days of its receipt, and the Agency must publish a notice of its disposition in the Federal Register. If EPA grants a test marketing exemption, it may impose restrictions on the test marketing activities.

On October 22 EPA received an application from Hesser and Associates, 10100 Santa Fe Drive, Overland Park, Kansas for an exemption from the requirements of sections 5(a) and 5(b) of TSCA, to import sucrose tallowate for test marketing purposes. Under this test marketing exemption, Hesser intends to import sucrose tallowate, and mixtures containing this substance with any or all of the following existing chemicals:

1. Mono- and diglycerides of tallow fatty acids;
2. Calcium salts of tallow fatty acids; and
3. Potassium salts of tallow fatty acids.

Sucrose tallowate is a detergent and emulsifying agent, with a potentially wide application as an ingredient in household detergents, foods and cosmetics. The components of sucrose tallowate are common table sugar and naturally occuring fatty acids derived from beef tallow which have been chemically joined to form esters. During the test marketing phase, Hesser plans to supply the substance and mixtures containing the substance primarily to the detergents industry for laboratory testing as ingredients in laundry and dishwashing detergents. [The applicant also may supply other samples to the cosmetics industry for laboratory testing as ingredients in protective hand creams; these uses are not covered under this exemption because they may be regulated under the Federal Food, Drug, and Cosmetic Act). Hesser stated that samples of the formulated product will not be supplied to the general consumer.

Data reviewed by EPA indicate no acute toxicity problems associated with sucrose tallowate. Animal feeding studies using very close structural analogs of sucrose tallowate indicate that the analogs are not toxic to test animals when fed in quantities up to 10% of their diets. The Agency found no data on carcinogenic, mutagenic, or teratogenic effects of sucrose tallowate. However, based on the nature of the components of sucrose tallowate and the structure of the derived compound, we have no reason to suspect that it will cause any of these effects.

With regard to ecological effects, the Agency found no data concerning hazards to invertebrates, plants, fish, mammals, birds or most micro-organisms. There is no reason to anticipate such problems, however, based on the non-toxic nature of the components, their biodegradability, and the low amounts that would be discharged to the environment during the test marketing period. No effects on ecosystem processes were reported and none are expected as a result of test marketing.

Based upon the relatively benign nature of sucrose tallowate and its limited exposure during test marketing, EPA has determined that sucrose tallowate will not present any unreasonable risk of injury to health or the environment as a result of the test marketing activities described in this application. Accordingly, EPA grants Hesser and Associates an exemption, effective immediately, from the premanufacture reporting requirements for purposes of test marketing sucrose tallowate as an import in the manner described above.

This exemption is granted only for importation of the substance, and samples will be provided only to industrial laboratories for end-product testing. Therefore EPA has not evaluated possible worker and consumer exposures that may result from full-scale commercialization. However, prior to import into the United States for purposes other than test marketing, and before the substance is manufactured in this country for either test marketing or commercialization, a premanufacture notice (PMN) must be submitted as required under section 5(a) of TSCA. At such time as it reviews the PMN, EPA will evaluate worker and consumer exposures.

Dated: December 11, 1979.

Douglas M. Costle,

Administrator.

[FR Doc. 79–38507 Filed 12–14–79; 8:45 am]

BILLING CODE 6560–01–M

FEDERAL COMMUNICATIONS COMMISSION

Notice of Request To Establish Advisory Committee on AM Broadcasting in Region 2

December 5, 1979.

The Commission has requested the Committee Management Secretariat of the National Archives and Records Service (GSA) to approve the creation of an "Advisory Committee on AM Broadcasting in Region 2." The Committee will provide advice to FCC representatives responsible for participating in the preparatory and plenary sessions of the Region 2 Administrative Radio Conference on AM broadcasting, and in the implementation of agreements which may be prepared by the Conference concerning use of the AM broadcast spectrum by the nations of the Western Hemisphere.

Advice by interested agencies, institutions, organizations, industry sectors and other members of the public will be needed on the matters to be dealt with by the Region 2 Conference. These include the designation of frequencies to be used as AM broadcast channels, the classification and

conditions governing use of each class of channels, the protection to be afforded to AM stations in other countries, the technical standards to be used in determining service and interference, and related matters.

The Committee will have up to 30 members. Membership will be selected on the basis of individual experience and expertise in the following areas: (1) the transmission and reception of AM broadcast signals, (2) the design capacities and manufacture of transmitting and receiving equipment, (3) the operation of stations providing AM broadcast service, and (4) the public purposes and goals of the AM service. The Commission will attempt to ensure that the composition of the Committee is fairly balanced and representative of all technically qualified parties having an interest in AM broadcasting.

Although the Committee cannot be instituted unless and until GSA approves the FCC's proposal, the Commission would like to give early consideration to the selection of members. The Commission accordingly invites recommendations as to the composition of the proposed Committee, and the submission of the names of persons who it is believed could contribute usefully to the work of advising FCC staff responsible for participation in the Administrative Radio Conference for Region 2, and in the preparations and implementation of sub-regional agreements which may be negotiated on the basis of such Regional radio agreement as the Conference may develop.

If approval is obtained for establishing the proposed advisory committee, it will be important that its membership be so constituted as to afford balanced representation of diverse interests, views, and experience, and that minorities and women be represented.

All suggestions on the composition and membership of the Committee will be welcome. They should be addressed no later than December 14, 1979, to Federal Communications Commission, Washington, D.C. 20554, Attention: Wilson La Follette, Room 8104.

Action by the Commission November 20, 1979. Commissioners Ferris (Chairman), Lee, Quello, Washburn, Fogarty, Brown and Jones.

Federal Communications Commission.

William J. Tricarico,

Secretary.

[FR Doc. 79-38451 Filed 12-14-79; 8:45 am]

BILLING CODE 6712-01-M

FEDERAL EMERGENCY MANAGEMENT AGENCY

[Docket FEMA-EA-1979-1]

Finding of No Significant Impact on Environment of Relocations, Consolidations and Related Moves To Establish and Activate the Federal Emergency Management Agency (FEMA) in the 10 Federal Cities

Pursuant to Section 102(2)(C) of the National Environmental Policy Act of 1969 and the implementing regulations of the Council on Environmental Quality (40 CFR Parts 1500–1508), the Federal Emergency Management Agency (FEMA) has prepared an environmental assessment of the relocation of resources resulting from the reorganizations of FEMA regional offices to implement the ten Federal city regional concept.

The assessment concludes that there will be no significant impact on the natural or manmade environment as a result of the establishment of the ten regional offices and the accompanying relocations of personnel and functions. It is estimated that these plans represent a movement of approximately 185 employees (including possible local recruitment), spread out over the ten regions. The relocation costs for personnel and necessary equipment should total about $768,500, also spread out over the ten regions.

It is therefore found that there will be no significant impact on the environment caused by the relocations, consolidations and related moves of personnel, records, furniture and equipment to establish and activate FEMA regional offices in the ten Federal cities. On this basis, an environmental impact statement will not be prepared.

Copies of the environmental assessment are available for inspection at: Federal Emergency Management Agency, Room 802, 1725 I Street, NW., Washington, DC 20472, Telephone (202) 634–4100.

A limited number of single copies are available and may be obtained by writing the above offices.

Dated: December 11, 1979.

John W. Macy, Jr.,

Director.

[FR Doc. 79-38534 Filed 12-14-79; 8:45 am]

BILLING CODE 6718-01-M

[FEMA-611-DR]

Marshall Islands of the Trust Territory; Notice of Major Disaster and Related Determinations

AGENCY: Federal Emergency Management Agency.

ACTION: Notice.

SUMMARY: This is a Notice of the Presidential declaration of a major disaster for the Marshall Islands of the Trust Territory (FEMA–611–DR), dated December 1, 1979, and related determinations.

DATED: December 1, 1979.

FOR FURTHER INFORMATION CONTACT: Sewall H. E. Johnson, Disaster Response and Recovery, Federal Emergency Management Agency, Washington, D.C. 20472 (202) 634–7845.

NOTICE: Pursuant to the authority vested in the Director of the Federal Emergency Management Agency by the President under Executive Order 12148 effective July 15, 1979, and delegated to me by the director under Federal Emergency Management Agency Delegation of Authority, and by virtue of the Act of May 22, 1974, entitled "Disaster Relief Act of 1974" (88 Stat. 143); notice is hereby given that, in a letter of December 1, 1979, the President declared a major disaster as follows:

> I have determined that the damage in certain areas of the Marshall Islands of the Trust Territory resulting from seawave action and flooding, beginning on or about November 26, 1979, is of sufficient severity and magnitud to warrant a major-disaster declaration under Public Law 93–288. I therefore declare that such a major disaster exists in the Marshall Islands Trust Territory.

Notice is hereby given that pursuant to the authority vested in the Director of Federal Emergency Management Agency under Executive Oder 12148, and delegated to me by the Director under Federal Emergency Management Agency Delegation of Authority. I hereby appoint Mr. Francis S. Manda of the Federal Emergency Management Agency to act as the Federal Coordinating Officer for this declared major disaster.

I do hereby determine the following areas of the Marshall Islands of the Trust Territory to have been affected adversely by this declared major disaster.

The following for Individual Assistance and Public Assistance:

Majuro Atoll.

T. R. Casey,

Acting Director, Disaster Response and Recovery.

(Catalog of Federal Domestic Assistance No. 14.701, Disaster Assistance.)

[FR Doc. 79-38540 Filed 12-14-79; 8:45 am]

BILLING CODE 6718-02-M

FEDERAL RESERVE SYSTEM

Florida National Banks of Florida, Inc., Acquisition of Bank

Florida National Banks of Florida, Inc., Jacksonville, Florida, has applied for the Board's approval under § 3(a)(3) of the Bank Holding Company Act (12 U.S.C. § 1842(a)(3)) to acquire 100 per cent (less directors' qualifying shares) of the voting shares of Florida National Bank of Martin County, the successor by merger to Stuart National Bank, Stuart, Florida and Port Salerno National Bank, Port Salerno, Florida. The factors that are considered in acting on the application are set forth in § 3(c) of the Act (12 U.S.C. § 1842(c)).

The application may be inspected at the offices of the Board of Governors or at the Federal Reserve Bank of Atlanta. Any person wishing to comment on the application should submit views in writing to the Reserve Bank to be received not later than January 10, 1980. Any comment on an application that requests a hearing must include a statement of why a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute and summarizing the evidence that would be presented at a hearing.

Board of Governors of the Federal Reserve System, December 10, 1979.

William N. McDonough,

Assistant Secretary of the Board.

[FR Doc. 79-38471 Filed 12-14-79; 8:45 am]

BILLING CODE 6210-01-M

Gulf Southwest Bancshares, Inc.; Formation of Bank Holding Company

Gulf Southwest Bancshares, Inc., Houston, Texas, has applied for the Board's approval under section 3(a)(1) of the Bank Holding Company Act (12 U.S.C. 1842(a)(1)) to become a bank holding company by acquiring 80.8 per cent or more of the voting shares of Merchants Park Bank, Houston, Texas. The factors that are considered in acting on the application are set forth in section 3(c) of the Act (12 U.S.C. 1842(c)).

The application may be inspected at the offices of the Board of Governors or at the Federal Reserve Bank of Dallas. Any person wishing to comment on the application should submit views in writing to the Reserve Bank, to be received not later than January 10, 1980. Any comment on an application that requests a hearing must include a statement of why a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute and summarizing the evidence that would be presented at a hearing.

Board of Governors of the Federal Reserve System, December 10, 1979.

William N. McDonough,

Assistant Secretary of the Board.

[FR Doc. 79-38528 Filed 12-14-79; 8:45 am]

BILLING CODE 6210-01-M

FEDERAL TRADE COMMISSION

Early Termination of the Waiting Period of the Premerger Notification Rules; American Petrofina Inc.

AGENCY: Federal Trade Commission.

ACTION: Granting of request for early termination of the waiting period of the premerger notification rules.

SUMMARY: American Petrofina Incorporated is granted early termination of the waiting period provided by law and the premerger notification rules respect to its proposed acquisition of Wintershall Oil and Gas Company. The grant was made by the Federal Trade Commission and the Assistant Attorney General in chage of the Antitrust Division of the Department of Justice in response to a request for early termination submitted by Wintershall Oil and Gas Company. Neither agency intends to take any action with respect to this acquisition during the waiting period.

EFFECTIVE DATE: December 6, 1979.

FOR FURTHER INFORMATION CONTACT: Joan S. Truitt, Attorney, Premerger Notification Office, Bureau of Competition Room 303, Federal Trade Commission, Washington, D.C. 20580 (202–523–3894).

SUPPLEMENTARY INFORMATION: Section 7A of the Clayton Act, 15 U.S.C. § 18a, as added by Title II of the Hart-Scott-Rodino Antitrust Improvements Act of 1976, requires persons contemplating certain mergers or acquisitions to give the Commission and Assistant Attorney General advance notice and to wait designated periods before consummation of such plans. Section 7A(b)(2) of the Act permits the agencies, in individual cases, to terminate this waiting period prior to its expiration and requires that notice of this action be published in the Federal Register.

By direction of the Commission.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38455 Filed 12-14-79; 8:45 am]

BILLING CODE 6750-01-M

Early Termination of the Waiting Period of the Premerger Notification Rules; Howard L. Terry

AGENCY: Federal Trade Commission.

ACTION: Granting of request for early termination of the waiting period of the premerger notification rules.

SUMMARY: Mr. Howard L. Terry is granted early termination of the waiting period provided by law and the premerger notification rules with respect to his proposed acquisition of certain voting securities of the Penn Central Corporation. The grant was made by the Federal Trade Commission and the Assistant Attorney General in charge of the Antitrust Division of the Department of Justice in response to a request for early termination submitted by Mr. Terry. Neither agency intends to take any action with respect to this acquisition during the waiting period.

EFFECTIVE DATE: December 5, 1979.

FOR FURTHER INFORMATION CONTACT: Joan S. Truitt, Attorney, Premerger Notification Office, Bureau of Competition, Room 303, Federal Trade Commission, Washington, D.C. 20580 (202–523–3894).

SUPPLEMENTARY INFORMATION: Section 7A of the Clayton Act, 15 U.S.C. § 18a, as added by Title II of the Hart-Scott-Rodino Antitrust Improvements Act of 1976, requires persons contemplating certain mergers or acquisitions to give the Commission and Assistant Attorney General advance notice and to wait designated periods before consummation of such plans. Section 7A(b)(2) of the Act permits the agencies, in individual cases, to terminate this waiting period prior to its expiration and requires that notice of this action be published in the Federal Register.

By direction of the Commission.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38456 Filed 12-14-79; 8:45 am]

BILLING CODE 6750-01-M

Early Termination of the Waiting Period of the Premerger Notification Rules; United Parcel Service of America, Inc.

AGENCY: Federal Trade Commission.

ACTION: Granting of request for early termination of the waiting period of the premerger notification rules.

SUMMARY: United Parcel Service of America, Inc. is granted early termination of the waiting period provided by law and the premerger notification rules with respect to its proposed acquisition of NUPARMAC

Corporation. The grant was made by the Federal Trade Commission and the Assistant Attorney General in charge of the Antitrust Division of the Department of Justice in response to requests for early termination submitted by both parties to the transaction. Neither agency intends to take any action with respect to this acquisition during the waiting period.

EFFECTIVE DATE: December 6, 1979.

FOR FURTHER INFORMATION CONTACT: Joan S. Truitt, Attorney, Premerger Notification Office, Bureau of Competition Room 303, Federal Trade Commission, Washington, D.C. 20580 (202–523–3894).

SUPPLEMENTARY INFORMATION: Section 7A of the Clayton Act, 15 U.S.C. § 18a, as added by Title II of the Hart-Scott-Rodino Antitrust Improvements Act of 1976, requires persons contemplating certain mergers or acquisitions to give the Commission and Assistant Attorney General advance notice and to wait designated periods before consummation of such plans. Section 7A(b)(2) of the Act permits the agencies, in individual cases, to terminate this waiting period prior to its expiration and requires that notice of this action be published in the **Federal Register.**

By direction of the Commission.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38458 Filed 12-14-79; 8:45 am]

BILLING CODE 6750-01-M

Early Termination of the Waiting Period of the Premerger Notification Rules; NVF Co.

AGENCY: Federal Trade Commission.

ACTION: Granting of request for early termination of the waiting period of the premerger notification rules.

SUMMARY: NVF Company is granted early termination of the waiting period provided by law and the premerger notification rules with respect to the proposed acquisition of the assets of UV Industries, Inc. The grant was made by the Federal Trade Commission and the Assistant Attorney General in charge of the Antitrust Division of the Department of Justice in response to requests for early termination submitted by both parties to the transaction. Neither agency intends to take any action with respect to this acquisition during the waiting period.

EFFECTIVE DATE: December 5, 1979.

FOR FURTHER INFORMATION CONTACT: Joan S. Truitt, Attorney, Premerger Notification Office, Bureau of Competition, Room 303, Federal Trade Commission, Washington, D.C. 20580 (202–523–3894).

SUPPLEMENTARY INFORMATION: Section 7A of the Clayton Act, 15 U.S.C. 18a, as added by Title II of the Hart-Scott-Rodino Antitrust Improvements Act of 1976, requires persons contemplating certain mergers or acquisitions to give the Commission and Assistant Attorney General advance notice and to wait designated periods before consummation of such plans. Section 7A(b)(2) of the Act permits the agencies, in individual cases, to terminate this waiting period prior to its expiration and requires that notice of this action be published in the **Federal Register.**

By direction of the Commission.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38457 Filed 12-14-79; 8:45 am]

BILLING CODE 6750-01-M

GENERAL ACCOUNTING OFFICE

Regulatory Reports Review; Receipt of Report Proposals

The following requests for clearance of reports intended for use in collecting information from the public were received by the Regulatory Reports Review Staff, GAO, on December 10, 1979 (CAB) and December 11, 1979 (NRC). See 44 U.S.C. 3512(c) and (d). The purpose of publishing this notice in the **Federal Register** is to inform the public of such receipts.

The notice includes the title of each request received; the name of the agency sponsoring the proposed collection of information; the agency form number, if applicable; and the frequency with which the information is proposed to be collected.

Written comments on the proposed CAB and NRC requests are invited from all interested persons, organizations, public interest groups, and affected businesses. Because of the limited amount of time GAO has to review the proposed requests, comments (in triplicate) must be received on or before January 4, 1980, and should be addressed to Mr. John M. Lovelady, Assistant Director, Regulatory Reports Review, United States General Accounting Office, Room 5106, 441 G Street, NW., Washington, DC 20548

Further information may be obtained from Patsy J. Stuart of the Regulatory Reports Review Staff, 202–275–3532.

Civil Aeronautics Board

The CAB requests clearance of a new Form 297A, Registration or Amendment under Part 297 of the Economic Regulations of the Civil Aeronautics Board. This form must be filed by every foreign air freight forwarder and foreign cooperative shippers' association not later than 60 days before the start of operations as in indirect air carrier, pursuant to Part 297 of the Board's Economic Regulations and Section 402 of the Federal Aviation Act of 1958, as amended. The CAB estimates that respondents will number approximately 15 and that 3 hours will be required for preparation of a registration or amendment.

Nuclear Regulatory Commission

The NRC requests an extension without change clearance of Form NRC–212, Qualifications Investigation (Professional). Information entered on Form 212 is used to determine the qualifications and suitability of applicants for employment with the NRC and of current NRC employees for reassignment, reinstatement, transfer, and promotion. Respondents are supervisors and former supervisors of individuals who have applied for employment with the NRC or are being considered for promotion, transfer, or reinstatement. The NRC estimates that respondent burden will average 15 minutes for each response and that approximately 2,000 responses will be received annually.

The NRC requests an extension without change clearance of Form NRC–212A, Qualifications Investigation (Secretarial/Clerical). Information entered on Form 212A is used to determine the qualification and suitability of applicants for employment with the NRC and of current NRC employees for reassignment, reinstatement, transfer, and promotion. Respondents are supervisors and former supervisors of individuals who have applied for employment with the NRC or are being considered for promotion, transfer, or reinstatement. The NRC estimates that respondent burden will average 15 minutes for each response and that approximately 2,000 reponses will be received annually.

Norman F. Heyl,

Regulatory Reports Review Officer.

[FR Doc. 79-38564 Filed 12-14-79; 8:45 am]

BILLING CODE 1610-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

National Institutes of Health

Board of Scientific Counselors, National Institute of Environmental Health Sciences; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the Board of Scientific Counselors, National Institute of Environmental Health Sciences, January 30–31, 1980, in Building 18 conference room, National Institute of Environmental Health Sciences, Research Triangle Park, North Carolina.

This meeting will be open to the public from 9 a.m. to 12 noon on January 30, for the purpose of discussing recent developments in the Institute's budget, personnel, permanent facilities, contracts, scientific programs, and plans of the Laboratory of Molecular Genetics and the Laboratory of Animal Genetics. Attendance by the public will be limited to space available.

In accordance with the provisions set forth in Section 552b(c)(6) Title 5 U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting will be closed to the public on January 30 from 1 p.m. to adjournment on January 31, 1980, for the evaluation of the program of the Laboratory of Molecular Genetics and the Laboratory of Animal Genetics, including the consideration of personnel qualifications and performance, the competence of individual investigators, and similar items, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

The Executive Secretary, Dr. Charles E. Carter, Scientific Director, National Institute of Environmental Health Sciences, Research Triangle Park, North Carolina 27709, telephone (919) 541–3205, will furnish summaries of the meeting, rosters of committee members, and substantive program information.

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79-38521 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-08-M

Clinical Applications and Prevention Advisory Committee; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the Clinical Applications and Prevention Advisory Committee, Division of Heart and Vascular Diseases, National Heart, Lung, and Blood Institute, January 10–11, 1980, Federal Building, Conference Room 6C01, Bethesda, Maryland.

This meeting will be open to the public on January 10 from 8:30 a.m. to noon when the current progress of the Beta Blocker Heart Attack Trial will be discussed, and January 11 from 8:30 a.m. to adjournment for discussion of initiatives and plans. Attendance by the public will be limited to space available.

In accordance with provisions set forth in Sections 552b(c)(4) and 552b(c)(6), Title 5, U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting will be closed to the public on January 10, from noon to adjournment for the review, discussion and evaluation of individual contract renewal proposals. The proposals and the discussions could reveal confidential trade secrets or commercial property such as patentable material, and personal information concerning individuals associated with the proposals, disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Mr. Yourk Onnen, Chief, Public Inquiries and Reports Branch, National Heart, Lung, and Blood Institute, Building 31, Room 4A21 National Institutes of Health, Bethesda, Maryland 20205, phone (301) 496–4236, will provide summaries of meetings and rosters of committee members. Dr. William Friedewald, Executive Secretary of the Committee, Federal Building, Room 212, Bethesda, Maryland 20205, phone (301) 496–2533, will furnish substantive program information.

(Catalog of Federal Domestic Assistance Program No. 13.837, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79-38523 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-08-M

Epilepsy Advisory Committee Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the Epilepsy Advisory Committee, National Institute of Neurological and Communicative Disorders and Stroke, NIH, February 7–8, 1980, Room 6C01, Federal Building, Bethesda, MD 20205.

The entire meeting will be open to the public from 9 a.m. to 5 p.m. to discuss research progress and research plans related to the Institute's epilepsy program. Attendance by the public will be limited to space available.

Dr. Roger J. Porter, Acting Chief, Epilepsy Branch, Neurological Disorders Program, NINCDS, Federal Building, Room 114, National Institutes of Health, Bethesda, MD 20205, telephone 301/496–1917, will provide summaries of the meeting, rosters of the committee members, and substantive program information.

(Catalog of Federal Domestic Assistance Program No. 13.356, National Institutes of Health.)

Dated: December 10, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79-38518 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-08-M

National Advisory Child Health and Human Development Council; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the National Advisory Child Health and Human Development Council, January 28–29, 1980, Building 31, Conference Room 10, National Institutes of Health, Bethesda, Maryland.

This meeting will be open to the public on January 28 from 9:00 a.m. to 5:00 p.m. with current status reports, review of the Reproductive Biology Program, and scientific presentations. Attendance by the public will be limited to space available.

In accordance with provisions set forth in Sections 552b(c)(4) and 552b(c)(6), Title 5, U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting will be closed to the public on January 29 from 9:00 a.m. to adjournment for the review, discussion, and evaluation of individual grant applications. These applications and the discussions could reveal confidential trade secrets or commercial property such as patentable material, and personal information concerning individuals associated with the applications, disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Mrs. Marjorie Neff, Council Secretary, NICHD, Landow Building, Room 7C09, National Institutes of Health, Bethesda, Maryland 20205, Area Code 301, 496–1485, will provide a summary of the meeting and a roster of Council members as well as substantive program information.

(Catalog of Federal Domestic Assistance Program Nos. 13.864 and 13.865, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79-38525 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-08-M

National Advisory Council on Aging; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the National Advisory Council on Aging, National Institute on Aging, on January 28, 29, and 30, 1980 in Building 31C, Conference Room 6, National Institutes of Health, Bethesda, Maryland.

The meeting will be open to the public from 9:00 a.m. until adjournment on January 28, and 29. Attendance by the public will be limited to space available.

In accordance with the provisions set forth in Section 552b(c)(4) and 552b(c)(6), Title 5, U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting will be closed to the public on January 30, 1980 for the review, discussion and evaluation of grant applications. These applications and the discussions could reveal confidential trade secrets or commercial property such as patentable material, and personal information concerning individuals associated with the applications, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Ms. June McCann, Council Secretary, National Institute on Aging, Building 31, Room 5C–05, National Institutes of Health, Bethesda, Maryland, 20205, (Area Code 301, 496–5345), will furnish substantive program information.

(Catalog of Federal Domestic Assistance Program No. 13.866, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38522 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

National Advisory Dental Research Council; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the National Advisory Dental Research Council, National Institute of Dental Research, on January 31–February 1, 1980, in Conference Room 9, Building 31–C, National Institutes of Health, Bethesda, Maryland. This meeting will be open to the public from 9:00 a.m. to adjournment on February 1 for general discussion and program presentations. Attendance by the public will be limited to space available.

In accordance with the provisions set forth in Sections 552b(c)(4) and 552b(c)(6), Title 5, U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting of the Council will be closed to the public on January 31 from 9:00 a.m. to adjournment for the review, discussion and evaluation of individual grant applications. These applications and the discussions could reveal confidential trade secrets or commercial property such as patentable material, and personal information concerning individuals associated with the applications, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Mrs. Dorothy Costinett, Committee Management Assistant, National Institute of Dental Research, National Institutes of Health, Building 31–C, Room 2C36, Bethesda, MD 20205, (phone 301 496–6705) will furnish rosters of committee members, a summary of the meeting, and other information pertaining to the meeting.

(Catalog of Federal Domestic Assistance Program Nos. 13–840 thru 13–845, and 13–876, National Institutes of Health)

Dated: December 7, 1979

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38520 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

National Advisory Environmental Health Sciences Council Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the National Advisory Environmental Health Sciences Council, National Institute of Environmental Health Sciences, January 28–29, 1980, in Building 18 conference room, National Institute of Environmental Health Sciences, Research Triangle Park, North Carolina.

This meeting will be open to the public on January 28, 1980, from 9 a.m. to approximately 12 noon for the report of the Director, NIEHS, and for discussion of the NIEHS budget, program policies and issues, recent legislation, interagency activities, and other items of interest. Attendance by the public will be limited to space available.

In accordance with the provisions set forth in Sections 552b(c)(4) and 552b(c)(6), Title 5 U.S. Code and Section 10(d) of Pub. L. 92–463, the meeting will be closed to the public on January 28, from 1:00 p.m. to adjournment on January 29, 1980, for the review, discussion and evaluation of individual grant applications. These applications and the discussions could reveal confidential trade secrets or commercial property such as patentable material, and personal information concerning individuals associated with the applications, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Leota B. Staff, Committee Management Officer, NIEHS, Building 31, Room 4B31, National Institutes of Health, Bethesda, Maryland 20205, (301) 496–3511, will provide summaries of the meeting and rosters of council members.

Dr. Wilford L. Nusser, Associate Director for Extramural Program, National Institute of Environmental Health Sciences, P.O. Box 12233, Research Triangle Park, North Carolina 27709, (919) 755–4015, will furnish substantive program information.

(Catalog of Federal Domestic Assistance Program Nos. 13.892, 13.893, 13.894, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38524 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

National Diabetes Advisory Board; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of meetings of the National Diabetes Advisory Board on January 14 and 15, 1980, in Houston, Texas. The Executive Committee will meet on January 14 and the Board meeting will be held on January 15, 1980. The time and exact location of the meetings may be obtained by contacting Mr. Raymond M. Kuehne, Executive Director of the Board, P.O. Box 30174, Bethesda, Maryland 20014, (301) 496–6045.

The meetings, which will be open to the public, are being held to continue review of the status and implementation of national diabetes programs. Attendance by the public will be limited to space available.

Mr. Raymond M. Kuehne (address above) will provide summaries of the meeting and a roster of the committee members.

Dated: December 10, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38517 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

Pulmonary Diseases Advisory Committee; Meeting

Pursuant to Pub. L. 92–463, notice is hereby given of the meeting of the Pulmonary Diseases Advisory Committee, National Heart, Lung, and Blood Institute, on February 21 and 22, 1980, in Conference Room 7, Building 31, at the National Institutes of Health, Bethesda, Maryland.

The entire meeting, from 8:30 a.m. on February 21 until 4:00 p.m. on February 22, will be open to the public. The Committee will discuss proposed initiatives for Division programs during fiscal year 1981. Attendance by the public will be limited to the space available.

Mr. York Onnen, Chief, Public Inquiries and Reports Branch, National Heart, Lung, and Blood Institute, Building 31, Room 4A21, National Institutes of Health, Bethesda, Maryland 20205, phone (301) 496–4236, will provide summaries of the meeting and rosters of the committee members.

Dr. Malvina Schweizer, Executive Secretary of the Committee, Westwood Building, Room 6A16, National Institutes of Health, Bethesda, Maryland 20205, phone (301) 496–7208, will furnish substantive program information.

(Catalog of Federal Domestic Assistance Programs No. 13.838, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38519 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

Review of Contract Proposals and Grant Applications Meetings

Pursuant to Pub. L. 92–463, notice is hereby given of the meetings of committees advisory to the National Cancer Institute. These meetings will be open to the public to discuss administrative details or other issues relating to committee business as indicated in the notice. Attendance by the public will be limited to space available.

These meetings will be closed to the public as indicated below in accordance with the provisions set forth in Sections 552b(c)(4) and 552b(c)(6), Title 5, U.S. Code and Section 10(d) of Pub. L. 92–463, for the review, discussion and evaluation of individual contract proposals and grant applications, as indicated. These proposals and applications and the discussions could reveal confidential trade secrets or commercial property such as patentable materials, and personal information concerning individuals associated with the proposals and applications, the disclosure of which would constitute a clearly unwarranted invasion of personal privacy.

Mrs. Marjorie F. Early, Committee Management Officer, NCI, Building 31, Room 4B43, National Institutes of Health, Bethesda, Maryland 20205 (301/496–5708) will furnish summaries of the meetings and rosters of committee members, upon request. Other information pertaining to the meeting can be obtained from the Executive Secretary indicated. Meetings will be held at the National Institutes of Health, 9000 Rockville Pike, Bethesda, Maryland 20205, unless otherwise stated.

Name of committee: Bladder and Prostatic Cancer Review Committee (Prostatic Subcommittee)
Dates: January 16, 1980
Place: Roswell Park Research Study Center, Cary Meeting Room, 666 Elm Street, Buffalo, New York
Times:
Open: January 16, 8:30 a.m.–9:00 a.m.
Closed: January 16, 9:00 a.m.–adjournment
Closure reason: To review grant applications
Executive secretary: Dr. Andrew Chiarodo
Address: Westwood Building Room 853, National Institutes of Health
Phone: 301/496–7481

(Catalog of Federal Domestic Assistance Number 13.393, 13.394, 13.395, National Institutes of Health)

Name of committee: Biometry and Epidemiology Contract Review Committee
Dates: January 23, 1980
Place: Building 31C Conference Room 9, National Institutes of Health
Times:
Open: January 23, 8:30 a.m.–9:00 a.m.
Closed: January 23, 9:00 a.m.–adjournment
Closure reason: To review contract proposals
Executive secretary: Dr. Wilna A. Woods
Address: Westwood Building Room 821, National Institutes of Health
Phone: 301/496–7153

(Catalog of Federal Domestic Assistance Number 13.393 National Institutes of Health)

Name of committee: Clinical Cancer Program Project and Cancer Center Support Review Committee (Clinical Cancer Program Project Review Subcommittee)
Dates: March 24–26, 1980
Place: Building 31C Conference Room 6, National Institutes of Health
Times:
Open: March 24, 8:30 a.m.–10:00 a.m.
Closed: March 24, 10:00 a.m.–adjournment; March 25, 8:30 a.m.–adjournment; March 26, 8:30 a.m.–adjournment
Closure reason: To review grant applications
Executive secretary: Dr. Louise G. Thomson
Address: Westwood Building Room 809, National Institutes of Health
Phone: 301/496–7924

(Catalog of Federal Domestic Assistance No. 13.397, National Institutes of Health)

Dated: December 7, 1979.

Suzanne L. Fremeau,

Committee Management Officer, National Institutes of Health.

[FR Doc. 79–38526 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–08–M

Office of Education

Consumers' Education Program

AGENCY: Office of Education, HEW.

ACTION: Extension of Closing Date for Submission of Applications.

SUMMARY: The closing date for the submission of applications for the Consumers' Education Program is extended from December 19, 1979 to approximately *60 days after publication of the final regulations.* Proposed regulations for the Consumers' Education Program were published in the **Federal Register** on May 16, 1979. The proposed regulations have been revised extensively in light of public comment. The deadline is being extended to give applicants sufficient time to submit or amend their applications to take into account any changes in the regulations when they are published in final form.

The new notice of closing date will be published together with the final regulations in the same issue of the **Federal Register.** That notice will include instructions for submitting applications and program information.

FOR INFORMATION CONTACT: Dr. Dustin W. Wilson, Jr., Director, Office of Consumers' Education, U.S. Office of Education, 400 Maryland Avenue, S.W., (Room 807, Riviere Building), Washington, DC 20202, (202) 653–5983.

Dated: December 10, 1979.

John Ellis,

Executive Deputy Commissioner for Educational Programs.

(Catalog of Federal Domestic Assistance Number 13.564, Consumers' Education Program)

[FR Doc. 79–38446 Filed 12–14–79; 8:45 am]

BILLING CODE 4110–02–M

Library Training Program

AGENCY: Office of Education, HEW.

ACTION: Notice of Closing Date for Transmittal of Applications for New Projects.

Applications are invited for new projects under the Library Training Program.

Authority for this program is contained in sections 201, 221, and 222 of the Higher Education Act of 1965, as amended. (20 U.S.C. 1021, 1031, 1033)

This program issues awards to individual institutions of higher education and other nonprofit library agencies and organizations.

The purpose of the awards is to assist in training persons in librarianship through the conduct of traineeship and fellowship programs.

Closing date for transmittal of applications: An application for a grant must be mailed or hand delivered by February 19, 1980.

Applications delivered by mail: An application sent by mail must be addressed to the U.S. Office of Education, Application Control Center, Attention: 13.468, Washington, D.C. 20202.

An applicant must show proof of mailing consisting of one of the following:

(1) A legibly dated U.S. Postal Service postmark.

(2) A legible mail receipt with the date of mailing stamped by the U.S. Postal Service.

(3) A dated shipping label, invoice, or receipt from a commercial carrier.

(4) Any other proof of mailing acceptable to the U.S. Commissioner of Education.

If an application is sent through the U.S. Postal Service, the Commissioner does not accept either of the following as proof of mailing: (1) a private metered postmark, or (2) a mail receipt that is not dated by the U.S. Postal Service.

An applicant should note that the U.S. Postal Service does not uniformly provide a dated postmark. Before relying on this method, an applicant should check with its local post office.

An applicant is encouraged to use registered or at least first class mail. Each late applicant will be notified that its application will not be considered.

Applications delivered by hand: An application that is hand delivered must be taken to the U.S. Office of Education, Application Control Center, Room 5673, Regional Office Building 3, 7th and D Streets, S.W., Washington, D.C.

The Application Control Center will accept a hand-delivered application between 8 a.m. and 4:30 p.m. (Washington, D.C. time) daily, except Saturdays, Sundays, and Federal holidays.

An application that is hand delivered will not be accepted after 4:30 p.m. on the closing date.

Program information: Priority levels of training for new awards in FY 1980 are contained in §§ 132.11 and 132.12 of the program regulations. Institute proposals will not be considered for funding in FY 1980, since the legislation gives priority funding to fellowship/traineeship grants and in view of the reduced level of funding for the Library Training Program.

Available funds: It is expected that approximately $667,000 will be available for the Library Training Program in FY 1980.

It is estimated that these funds could support 20 new projects, and 4 competing continuation projects.

The anticipated award for each new project will be between $12,600 and $85,000.

However, these estimates do not bind the U.S. Office of Education to a specific number of grants or to the amount of any grant unless that amount is otherwise specified by statute or regulations.

Application forms: Application forms and program information packages are expected to be ready for mailing by January 4, 1980. They may be obtained by writing to the Library Education and Postsecondary Resources Branch, U.S. Office of Education (Room 3622, Regional Office Building 3), 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Applications must be prepared and submitted in accordance with the regulations, instructions, and forms included in the program information package. The Commissioner strongly urges that the narrative portion of the application not exceed 30 pages in length. The Commissioner further urges that applicants not submit information that is not requested.

Applicable regulations: Regulations applicable to this program include the following:

(a) Regulations governing the Library Training Program (45 CFR Part 132); and

(b) General Provisions Regulations for Office of Education Programs (45 CFR Parts 100 and 100a).

Note.—The proposed Education Division General Administrative Regulations (EDGAR) were published in the **Federal Register** on May 4, 1979 (44 FR 26298). When EDGAR becomes effective, it will supersede the General Provisions Regulations for Office of Education Programs.

If EDGAR takes effect before grants are made under this program, those grants will be subject to the following provisions of EDGAR: Subpart A (General); Subpart E (What Conditions Must Be Met by a Grantee?); Subpart F (What Are the Administrative Responsibilities of a Grantee?); and Subpart G (What Procedures Does the Education Division Use to Get Compliance?).

Further information: For further information contact Mr. Frank A. Stevens, Chief, Library Education and Postsecondary Resources Branch, U.S. Office of Education (Room 3622, Regional Office Building 3), 400 Maryland Avenue SW., Washington, D.C. 20202, Telephone: (202) 245–9530.

(20 U.S.C. 1021, 1031, 1033)

(Catalog of Federal Domestic Assistance No. 13.468, Library Training Program)

Dated: December 12, 1979.

John Ellis,

Executive Deputy Commissioner for Educational Programs.

[FR Doc. 79-38508 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-02-M

Office of the Secretary

Medicare Program; Premium Rate for the Uninsured Aged

AGENCY: Office of the Secretary (OS), HEW.

ACTION: Notice.

SUMMARY: This notice announces Medicare's monthly hospital insurance premium for the uninsured aged for the 12 months beginning July 1, 1980. Section 1818(d)(2) of the Social Security Act requires the Secretary of HEW to publish during the last quarter of each calendar year, the amount of the monthly hospital insurance program (Part A of Medicare) premium for voluntary enrollment for the 12 month period begining with the following July 1.

EFFECTIVE DATE: July 1, 1980.

FOR FURTHER INFORMATION CONTACT: Guy King, Director, Division of Medicare Cost Estimates, 3–0–3 Operations Building, Baltimore, Maryland 21235, Telephone: (301) 594–2826.

SUPPLEMENTARY INFORMATION: Under the authority in Section 1818(d)(2) of the Social Security Act (42 U.S.C. 1395i–2(d)(2)), I have determined that the monthly Medicare hospital insurance premium for the uninsured aged for the 12 months beginning July 1, 1980, is $78.

Section 1818 of the Social Security Act provides for voluntary enrollment in the hospital insurance program (Part A of Medicare), subject to payment of a monthly premium, of certain persons age 65 and older who are uninsured for social security or railroad retirement benefits and do not otherwise meet the requirements for entitlement to hospital insurance. (Persons insured under the Social Security or Railroad Retirement Acts need not pay premiums for hospital insurance.)

Section 1818(d)(2) of the Act requires the Secretary to determine and publish, during the last quarter of each calendar year, the amount of the monthly Part A premium for voluntary enrollment for the 12-month period beginning with the following July 1. This section also requires that, for the period beginning July 1, 1980, the premium must be $33 multiplied by the ratio of (1) the 1980 inpatient hospital deductible to (2) the 1973 inpatient hospital deductible, rounded to the nearest mutliple of $1 or, if midway between multiples of $1, to the next higher multiple of $1.

Under Section 1813(b)(2) of the Act, the 1980 inpatient hospital deductible was determined to be $180. (See 44 FR 55660, September 27, 1979.) The 1973 deductible was actuarially determined to be $76, although the 1973 deductible was actually promulgated to be only $72 to comply with a ruling of the Cost of Living Council. (See 37 FR 21452, October 11, 1972.) The monthly premium for the 12-month period beginning July 1, 1980, has been calculated using the $76 deductible for 1973, since this more closely satisfies the intent of the law. Thus, the monthly hospital insurance premium is $33×(180/76)=$78.16, which is rounded to $78.

(Section 1818(d)(2) of the Social Security Act (42 U.S.C. 395i–2(d)(2)) (Catalog of Federal Domestic Assistance Program No. 13.773, Medical Hospital Insurance)

Dated: December 8, 1979.

Patricia Roberts Harris,

Secretary.

[FR Doc. 79-38496 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-35-M

Office of the Assistant Secretary for Management and Budget; Statement of Organization, Functions and Delegations of Authority

This Notice amends Part A of the Statement of Organization, Functions, and Delegations of Authority of the Department of Health, Education, and Welfare, Office of the Secretary, by modifying certain portions of Chapter AMG, "Office of Grants and Procurement" (42 FR 36312, dated July 14, 1977). This announcement abolishes the Division of Materiel Policy and Regulations Development and the Division of Procurement Policy and Regulations Development, replacing them with an Office of Procurement Policy.

1. Replace Section AMG 10. Organization with the following:

Section AMG.10 Organization. The Office of Grants and Procurement reports through the Deputy Assistant Secretary for Grants and Procurement to the Assistant Secretary for Management and Budget. The Office consists of the following:

Immediate Office (AMG).

Division of Grants Policy and Regulations Development (AMG1).

Division of Analysis, Review, and Compliance (AMG2).

Division of Minority Business (AMG4).

Office of Procurement Policy (AMG5).

Office of Grant and Contract Financial Management (AMG8).

2. Delete Section AMG20. D in its entirety and add the following in its place.

D. Office of Procurement Policy. 1. Develops and issues Departmental and recommends Government-wide policies and procedures pertaining to (a) the procurement from all sources of personal property and non-personal services (including construction) by such means as purchasing, renting, leasing (including real property), contracting, bartering, seizure, condemnation, donation, or requisition. Recommends issuance of procurement regulations. Coordinates with OFEPM concerning material involving architectural/engineering and construction related matters; (b) supply and transportation, including utilization, inventory management, storage and distribution and disposition of materials, supplies and equipment as well as transportation and traffic management; (3) the commercial and industrial activities; and (4) the acquisition and management of automatic data processing equipment and services in conjunction with the Office of Management Analysis and Systems.

2. Provides staff guidance to activities of the Department on all procurement, supply, and transportation management matters.

3. Approves all new or revised forms to be used for contracts, supply, and transportation and develops general and standard forms for Departmental use.

4. Maintains liaision with other Government agencies and represents the Department in interagency activities, such as the GSA Interagency Procurement Policy Committee, the National Supply System Advisory Board, and the Office of Management and Budget Procurement Committee on procurement, supply, and transportation matters other than small business, disadvantaged business and labor surplus area programs.

5. Conducts research, originates, and develops innovations in procurement, supply, and transportation concepts, philosophies, and practices.

6. Reviews and makes recommendations on the determination and findings required by statute or regulation to be made at the Office of the Secretary level, such as research and development, etc., and reviews findings and determinations for advance payments.

7. Reviews and takes necessary action on cases involved with mistakes in bid, protests of awards, and complaints regarding contractual arrangements.

8. Recommends proposed delegations of procurement, supply, and transportation authority to Principal Operating Components.

9. Directs and provides Departmental training to procurement, supply and transportation management personnel, or program officials engaged in the processes. Directs and monitors a Department-wide certification program.

Dated: December 3, 1979.

Nathan J. Stark,

Under Secretary.

[FR Doc. 79-38587 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-12-M

Public Health Service and Food and Drug Administration

Office of the Commissioner (HFA), et al.; Statement of Organization, Functions, and Delegations of Authority

Part H, Chapter HF (Food and Drug Administration) of the Statement of Organization, Functions, and Delegations of Authority for the Department of Health, Education, and Welfare (35 FR 33685, 1970, as amended most recently at 44 FR 27750, May 11, 1979) is amended to reflect the establishment of an Office of Consumer Affairs (OCA) within the Office of the Commissioner. The OCA is being created to serve as the Agency focal point for gathering and channelling consumer input into, and stimulating consumer participation in, Agency policy development.

Section HF-B, Organization and Functions, is amended by deleting paragraph (a) and substituting a new paragraph (a) reading as follows:

* * * * *

(a) *Office of the Commissioner (HFA).* The Commissioner and the Deputy Commissioner are responsible for the efficient and effective implementation of the Food and Drug Administration's (FDA) mission.

(a-1) *Office of Consumer Affairs (HFA-C).* Serves as the Agency focal point for coordinating information from the Bureaus and other Agency components about significant or public interest issues; develops mechanisms to gather consumer views for use in developing Agency policy recommendations to the Commissioner on these issues; monitors the development of Agency policy on these issues; apprises the Policy Board and Commissioner of the impact of consumer involvement in resolving these issues.

Serves as the Agency focal point for contacting and involving national consumer groups in Agency public participation programs; analyzes consumer feedback at the national level in collaboration with the Executive Director of Regional Operations (EDRO) to assess potential major health issues, to determine national trends in consumer concerns, and to compile a consumer perspective of Agency regulatory policies and activities.

Serves as the Agency focal point for coordinating information from Bureaus and other Agency components about potential public participation opportunities and informs the consumer of these activities.

Designs and administers special community outreach projects to broaden Agency interaction with special target audiences, including the economically and educationally disadvantaged and the minorities.

Designs public participation compliance programs for implementation by field Consumer Affairs Officers (CAO); reviews and approves CAO consumer education compliance programs developed by other Agency components to assess the public participation impact.

Administers consumer awareness and advocacy skills training programs, designed to educate lay consumers and current/potential consumer representatives for advisory committees to enhance their participation in Agency regulatory and decision-making processes.

Administers the Agency selection process for consumer representatives on advisory committees and panels.

Administers the Agencywide Public Participation Reimbursement Program.

* * * * *

Dated: December 6, 1979.

Nathan J. Stark,

Under Secretary.

[FR Doc. 79-38568 Filed 12-14-79; 8:45 am]

BILLING CODE 4110-03-M

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

Intent To Prepare a Strategic Plan

AGENCY: United States Fish and Wildlife Service, Department of the Interior.

ACTION: Advance notice of preparation of a strategic plan for the Alaska Area, United States Fish and Wildlife Service.

SUMMARY: The United States Fish and Wildlife Service has expanded its operation in Alaska. Impending Alaska Lands legislation, increased support services, and Alaska Native Claims Settlement Act responsibilities have created a situation wherein it is imperative that the agency prepare a planning document that will inform both Service employees and the public about the approach the Fish and Wildlife Service will take in meeting these responsibilities. The Fish and Wildlife Service is seeking public input in this planning process. The purpose of this Intent to Prepare a Strategic Plan is to invite comments as to what this plan should contain. It is pointed out that this will not be a detailed operational plan—operational plans will be prepared later. Neither is this a rulemaking. The strategic plan will include, but not necessarily be limited to or constrained to, the following sections: I. Introduction; II. Authorities; III. Responsibilites; IV. Mission and Goals; V. Alaska Program Objectives; VI. Policies; VII. Issues and Strategies; VIII. Summary; IX. Glossary of Terms.

DATE: Comments will be received on or before January 14, 1980. Individual responses will not be provided; however, all comments will be considered in preparing the draft plan.

ADDRESS: Send written comments to Mr. Keith M. Schreiner, Area Director, United States Fish and Wildlife Service, Department of the Interior, 1011 East Tudor Road, Anchorage, Alaska 99503.

FOR FURTHER INFORMATION CONTACT: Mr. Jan E. Riffe, Assistant Area Director, United States Fish and Wildlife Service, 1011 East Tudor Road, Anchorage, Alaska 99503, Telephone: (907) 276-3800, Extension 537.

SUPPLEMENTARY INFORMATION: In keeping with the United States Fish and Wildlife Service policy of public involvement in its planning process, this notice of intent to prepare a strategic plan for USFWS-Alaska is published. The Area Director has determined that this document will not establish any new policy or alter any old policy. Rather, this document will codify for and inform both Service employees and the public of existing policies and processes. Therefore, pursuant to the provisions of the National Environmental Policy Act an environmental impact statement is not necessary. A negative declaration is on file in the Area Office.

The Need for a Strategic Fish and Wildlife Service Plan for Alaska. The responsibilities of the Fish and Wildlife Service in Alaska are broad and varied. Currently there is no public document available to explain what these responsibilities are nor how they will be met. This plan will serve that need.

Procedures for Drafting the Plan. A task force of Fish and Wildlife Service personnel has been assigned the responsibility of preparing the draft plan. Written public comments will be received and appropriate agencies and groups will be informally contacted for their views. No public hearings will be held on this Intent to Prepare a Strategic Plan. A draft of this plan is scheduled to be completed by July 1, 1980. At that time the draft will be published in the **Federal Register** and specific comments invited. At least one public hearing will be held in Alaska. Final publication will depend upon the extent of the specific comments.

Dated: December 5, 1979.

Keith M. Schreiner,

Alaska Area Director, United States Fish and Wildlife Service.

[FR Doc. 79-38452 Filed 12-14-79; 8:45 am]

BILLING CODE 4310-55-M

INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Agency for International Development

[Redelegation of Authority No. 40.13]

A.I.D. Missions and Offices

Pursuant to the authority delegated to me by Delegation of Authority No. 40 dated March 5, 1978, I hereby redelegate to the officials in the field having authority to waive source requirements for goods (under Redelegations of Authority Nos. 40.5, 40.8, 40.9, 40.10, 40.11, and 40.12) the following authority: To waive, in accordance with the criteria prescribed in Supplement B of AID Handbook 1, the flag registry requirements for ocean and air transportation services to permit financing of transportation on aircraft or ocean vessels under flag registry of the cooperating country, any country included in AID Geographic Code 941, or any country included in AID Geographic Code 899; *provided, however,* that such authority may be exercised only for shipment of goods for which the official has approved a commodity source waiver and for which the cost of shipment does not exceed twenty-five (25) percent of the official's authority to waive commodity source requirements. All waviers approved pursuant to this authority which permit financing of transportation on aircraft or ocean vessels under flag registry of any country included in AID Geographic Code 899 shall contain a certification by the approving official that "The interests of the U.S. are best served by permitting financing of transportation services on aircraft or ocean vessels under flag registry of free world countries other than the cooperating country and countries included in Code 941."

The authority herein redelegated to the officials specified above may not be further redelegated by these officials, but may be exercised by duly authorized persons who are performing the functions of such officials in an "Acting" capacity. This redelegation of authority is effective immediately.

Dated: December 7, 1979.

Donald G. MacDonald,

Assistant Administrator, Bureau for Program and Management Services.

[FR Doc. 79-38549 Filed 12-14-79; 8:45 am]

BILLING CODE 4710-02-M

[Delegation of Authority No. 134]

Authorization To Register Private and Voluntary Organizations; Delegation of Authority

1. In accordance with Executive Order 12163 of September 29, 1979 and Delegation of Authority No. 1 from the Director of the International Development Cooperation Agency to me, I hereby delegate to the Assistant Administrator, Bureau for Private and Development Cooperation, the authority to register private and voluntary organizations for purposes of Sections 123(b), 607(a) and 635(c) of the Foreign Assistance Act of 1961 and Sections 104(f) and 202(a) of the Agricultural Trade Development and Assistance Act of 1954 and for such other purposes as may be necessary under these Acts.

2. Authorities hereby delegated may be redelegated.

3. This Delegation of Authority is effective immediately.

Dated: November 26, 1979.

Douglas J. Bennet,

Administrator.

[FR Doc. 79-38544 Filed 12-14-79; 8:45 am]

BILLING CODE 4710-02-M

DEPARTMENT OF JUSTICE

Proposed Consent Decree in Action To Enjoin Discharge of Water Pollutants by the City of Colorado Springs, Colo.

In accordance with Departmental Policy, 28 CFR 50.7, 38 FR 19029, notice is hereby given that on November 8, 1979, a proposed consent decree in *United States* v. *City of Colorado Springs* (D. Colo., Civ. No. 78-F-589), was lodged with the United States District Court for the District of Colorado. The proposed consent decree requires the City to pay a civil penalty and improve its waste water treatment plant to insure that it complies with the requirements of the Clean Water Act.

The proposed consent decree may be examined at the office of the United States Attorney, 674 United States Courthouse, Room C-330, 1929 Stout Street, Denver, Colorado 80294, and at the Pollution Control Section, Land and Natural Resources Division of the Department of Justice, Room 2633, Ninth and Pennsylvania Avenue, N.W., Washington, D.C. 20530. A copy of the proposed decree may be obtained in person or by mail from the Pollution Control Section, Land and Natural Resources Division of the Department of Justice.

The Department of Justice will receive written comments relating to the proposed consent decree on or before January 14, 1980. Comments should be addressed to the Assistant Attorney General, Land and Natural Resources Division, Department of Justice, Washington, D.C. 20530, and should refer to *United States* v. *City of Colorado Springs, Colorado* (D. Colo., Civ. No. 78-F-589), D.J. Ref. 90-5-1-1-1003.

Angus Macbeth,

Deputy Assistant Attorney General, Land and Natural Resources Division.

[FR Doc. 79-38454 Filed 12-14-79; 8:45 am]

BILLING CODE 4410-01-M

Dayton Power & Light Co.; Proposed Consent Decree in Action To Enjoin Discharges of Water Pollutants by the City

In accordance with Departmental policy, 28 CFR 50.7, 38 FR 19029, notice is hereby given that a proposed consent decree in *United States* v. *Dayton Power and Light Company,* Civil Action No. C-1-79-642, filed November 13, 1979, is available for public inspection and comment. The proposed consent decree calls for the company to install the best available control technology economically achievable ("BAT") to reduce discharges of pollutants on or before November 1, 1981, a compliance date over two years in advance of the July 1, 1984 statutory deadline.

The Department of Justice will receive comments relating to the proposed consent decree on or before January 14, 1980. Comments should be addressed to the Assistant Attorney General, Land and Natural Resources Division, Department of Justice, Ninth and Pennsylvania Ave., N.W., Washington, D.C. 20530 and should explicitly note that they are in reference to *United States* v. *Dayton Power and Light Co.,* D.J. No. 90-5-1-1-1236.

The proposed decree may be examined at the office of the United States Attorney, 722 U.S. Post Office and Courthouse, Cincinnati, Ohio 45202; at the Region V office of the United States Environmental Protection Agency, Enforcement Division, 12th Floor, 230 South Dearborn Street, Chicago, Illinois 60604; and, at the Pollution Control Section, Land and Natural Resources Division, Department of Justice, Ninth and Pennsylvania Avenue, N.W., Washington, D.C. 20530 (Room 2644). A copy of the proposed decree may be obtained in person or by mail from the Pollution Control Section, Land and Natural Resources Division. In requesting a copy please enclose a check in the amount of $2.40 (10 cents per page reproduction cost) payable to the Treasurer of the United States.

Angus Macbeth,

Deputy Assistant Attorney General, Land and Natural Resources Division.

[FR Doc. 79-38453 Filed 12-14-79; 8:45 am]

BILLING CODE 4410-01-M

Law Enforcement Assistance Administration

Competitive Research Grant To Study Relationships Between Commercial Land Use, Crime, and Fear of Crime; Solicitation

The National Institute of Law Enforcement and Criminal Justice announces a competitive research grant to study relationships between commercial land use, crime, and fear of crime. The first part of the research is to examine public records dealing with commercial land use and crime to determine whether significant relationships exist at the block or sub-neighborhood level. If they are demonstrated, data should be obtained to explain how the location of certain commercial facilities can affect each other and a surrounding area. In the second part of the project, research should specifically address the problem of fear that may be generated by particular types of commercial activity at the local level. Findings from the research will be synthesized and discussed in terms of their relevance to land use and criminal justice system planners, police, and others. The grant will be awarded for not more than 24 months and $250,000.

The solicitation requests submission of full proposals and requires that submitting organizations have experience in and resource capabilities for designing and conducting research on social issues. Additional qualifications include knowledge of the substantive areas of land use analysis and utilization of criminal justice data.

To be considered for funding, all proposals must be postmarked not later than February 15, 1980.

Copies of the solicitation may be obtained by sending a mailing label to: Solicitation Request #80-110, Commercial Land Use and Crime, National Criminal Justice Reference Service, Box 6000, Rockville, Maryland 20850.

Dated: December 3, 1979.

Approved:

Harry M. Bratt,

Acting Director, National Institute of Law Enforcement and Criminal Justice.

[FR Doc. 79-38548 Filed 12-14-79; 8:45 am]

BILLING CODE 4410-18-M

LIBRARY OF CONGRESS

Copyright Office

[Docket LPR 80-1]

Report of the Register of Copyrights on the Effects of 17 U.S.C. 108 on the Rights of Creators and the Needs of Users of Works Reproduced By Certain Libraries and Archives; Public Hearing

AGENCY: Library of Congress, Copyright Office.

ACTION: Notice of public hearing.

SUMMARY: The Copyright Office of the Library of Congress is preparing a report for Congress in accordance with 17 U.S.C. 108(i). The subject of the report is the extent to which 17 U.S.C. 108 has achieved the intended balance between the rights of creators and the needs of users of copyrighted works which are reproduced by certain libraries and archives. This notice announces and invites participation in the first of a series of regional public hearings designed to elicit views, comments, and information from all interested persons, including copyright proprietors, librarians, and users of all types of libraries. The Copyright Office actively seeks the participation not only of organizational representatives, but also of any individual whose informed opinion may contribute to the preparation of the report and the possible recommendation of changes in the copyright law.

DATES: The hearing will be held in the Red Lacquer Room of the Palmer House Hotel, State and Monroe Streets, Chicago, Illinois on January 19, 1980, beginning at 9:30 a.m. This is immediately before the midwinter meeting of the American Library Association. (It is anticipated that the remaining regional hearings will be held, later in 1980, in several geographically diverse cities.)

Anyone desiring to testify should submit a written request to present testimony by January 11, 1980, to the address set forth below. Ten copies of written statements must be received by the Copyright Office by 4:00 p.m. on January 11, 1980.

Supplemental statements will be entered into the record until February 19, 1980. Ten copies of such statements should be submitted.

ADDRESSES: Written requests to present testimony and ten copies of written statements or of supplementary statements should be submitted as follows: If sent by mail: Office of the General Counsel, U.S. Copyright Office, Library of Congress, Caller No. 2999, Arlington, Virginia 22202. If delivered by hand, the copies should be brought to: Office of the General Counsel, Room 519, Crystal Mall, Building No. 2, 1921 Jefferson Davis Highway, Arlington, Virginia.

All requests to testify should clearly identify the individual or group desiring to testify and the amount of time desired. The Copyright Office will try to contact all witnesses to confirm the times of their appearances.

FOR FURTHER INFORMATION CONTACT: Dorothy Schrader, General Counsel, Copyright Office, Library of Congress, Washington, D.C. 20559, Telephone: (703) 557-8731.

SUPPLEMENTAL INFORMATION:

1. Background and Purpose of the Report

The Copyright Act of 1976, 17 U.S.C. 101 *et. seq.*, was a product of many years of intense effort by Congress to replace what many felt was a copyright law which was ill-suited to such technological developments of the twentieth century as cable television, computers, and photocopying machines. One of the most difficult problems to resolve concerned the photomechanical reproduction, in whole or in part, of copyrighted works by libraries and archives. In addition to codifying the doctrine of fair use for the first time (17 U.S.C. 107), the Copyright Act of 1976 contains provisions authorizing certain acts of reproduction and distribution by qualifying libraries (17 U.S.C. 108).

These provisions represent a rather delicate balance between the positions forcefully advocated by the proprietor and user communities in testimony before Congress during the legislative effort that resulted in the current Act. Because of the uncertainty about their effect, at present and in the future, Congress provided that the Register of Copyrights should prepare, at five-year intervals, reports concerning the effectiveness of the balance created by the Copyright Act. The first such report, the subject of the hearing here announced, is due January 1, 1983. An advisory committee composed of ten representatives of concerned interests meets regularly with the Copyright Office to plan the preparation of the report. In addition to public hearings, the Copyright Office has under consideration the possibility of conducting an empirical survey to provide objective data on the effects of section 108.

The purpose of this hearing is to examine practices under section 108 as they have developed since January 1, 1978, when the Copyright Act of 1976 became effective. It would therefore be most helpful if witnesses not simply reiterate positions previously taken with respect to library copying, but amplify their remarks with a discussion of ways in which the Act has or, of equal importance, has not affected their practices.

2. Summary of Section 108

Under section 106 of the Copyright Act of 1976, authors and other owners of copyright are given the exclusive rights, among others, to reproduce the copyrighted work in copies or phonorecords and to distribute copies or phonorecords of the copyrighted work to the public. These exclusive rights are subject to several exemptions, including those contained in section 107 ("fair use") and section 108 ("reproduction by libraries and archives").

Section 108 deals with a variety of situations involving photocopying and other forms of reproduction by libraries and archives. Subsection (a) provides that "* * * it is not an infringement of copyright for a library or archives, or any of its employees acting within the scope of their employment, to reproduce no more than one copy or phonorecord of a work, or to distribute such a copy or phonorecord, under the conditions specified by this section if—"

(1) The reproduction or distribution is made without any purpose of direct or indirect commercial advantage;

(2) The collections of the library or archives are open to the public or specialized researchers; and

(3) The reproduced or distributed material includes a notice of copyright.

Thus, paragraph (a) of section 108 establishes the basic conditions under which a library or archives may claim an exemption from the exclusive rights of copyright proprietors. In addition, for the library activity to be exempt under section 108, one of the other conditions set forth in paragraphs (b) through (f) must be satisfied. Moreover, under paragraph (h), the exemptions for nonprint copyrighted works are modified substantially. Very generally, with the exception of facsimile duplication for preservation purposes and to replace damaged, deteriorating, or lost copies, the exemptions of section 108 apply primarily to books and periodicals.

Archival preservation (section 108(b)). This exemption applies only to *unpublished* works in the current collection of a library or archives. It allows reproduction only in facsimile form, and only for "purposes of preservation or security or for deposit for research use in another library or archives."

Replacement (section 108(c)). Libraries or archives are authorized to duplicate a *published* work in facsimile form solely for the purpose of replacement of a copy or phonorecord that is damaged, deteriorating, lost or stolen *but* only if they find that an unused replacement copy cannot be obtained at a fair price. The legislative reports offer some guidance as to what is meant—they indicate that a reasonable investigation will always require recourse to commonly known trade sources in the United States, and in the normal situation also to the publisher or copyright owner or an authorized reproducing service.

Journal articles, small excerpts, etc. (section 108(d)). This paragraph applies to "no more than one article or other contribution to a copyrighted collection or periodical issue, or to * * * a small part of any other copyrighted work." The only conditions for suppling a reproduction are that: "The copy becomes the property of the user"; there is no reason to suppose that it "would be used for any purposes other than private study, scholarship, or research"; and the library or archives must display prominently, at the place where orders are accepted, and include on the order form, a warning of copyright in language prescribed by a Copyright Office regulation.

Entire works or substantial parts (section 108(e)). With one addition, the conditions applicable under paragraph (d), as listed above, apply under paragraph (e) to "the entire work," or "a substantial part of it." The added condition is that "the library or archives has first determined, on the basis of a reasonable investigation, that a copy or phonorecord of a copyrighted work cannot be obtained at a fair price." This paragraph applies essentially to out-of-print works.

General exemptions (section 108(f)). In addition to the specific exemptions described above, paragraph (f) makes clear that no copyright liability attaches to a library or its employees for copying done on unsupervised copying machines provided the machines bear a warning that certain copying activity may represent an infringement of the copyright law. Also, nothing in section 108 "in any way affects the right of fair use as provided by section 107," and a small number of copies of an audiovisual news program may be made and distributed by lending.

Multiple and systematic copying (section 108(g)). Section 108 does not permit copying when the library or archives, or its employee—

(1) Is aware or has substantial reason to believe that it is making or distributing multiple copies of the same material, whether on one or several occasions, or

(2) Engages in the systematic reproduction or distribution of copies of periodical articles or excerpts from other copyrighted works; however, certain copying for interlibrary loan purposes is permissible, even if it might otherwise appear "systematic."

Copying for interlibrary loan purposes is authorized to the extent that libraries receiving copies so made do not do so "in such aggregate quantities as to substitute for a subscription to or purchase of such work." Guidelines for interpretation of the language "such aggregate quantities * * *" were adopted by Congress during its enactment of the Copyright Act, and their effectiveness is a subject of this hearing. They, as the Act, represent a compromise between proprietary and user interests. Because they were drafted by the interested parties with the administrative support of the National Commission on New Technological Uses of Copyrighted Works (CONTU), they have come to be known as the "CONTU Guidelines." (CONTU was a temporary commission which examined certain copyright issues related to computers and photocopying in order to permit Congress to proceed with its revision of the copyright law in general.)

The guidelines which were adopted provide, essentially, that copying for interlibrary loans is permissible—

(1) If no more than five requests for copies of periodical articles from any given periodical are filled for a requesting library during a calendar year, with respect to articles less than five years old. (There is no provision covering the copying of older articles);

(2) If no more than five requests for copies of excerpts of any given work are filled for a requesting library within a calendar year; and

(3) If requesting libraries state that their requests comply with the Act and keep records of their requests for three years.

3. Copyright Clearance Center

In an attempt to establish a centralized mechanism to facilitate payment of royalty fees for copying activities not exempt under the Copyright Act, publishers, with planning assistance by authors and librarians, established the Copyright Clearance Center, Inc. The Center, which is a not-for-profit organization, does not provide copies or grant permission to copy. Each publisher sets its own article copying fees and, to the extent feasible, publishes an article-fee code on the first page of articles to inform users of the appropriate charges for copying.

Participating libraries register with the Center and obtain a user-registration number for use in reporting copying. They submit periodic reports of copying activities and pay the applicable royalty fees on the basis of their chosen payment method, including deposit accounts, billing, and possible prepayment through a stamping meter or stamp.

Presently, this clearance system operates with respect to works in journals, magazines, newsletters, proceedings, symposia, and similar works. Its operating costs are borne by participating publishers.

4. Specific Questions

The Copyright Office is interested in receiving comments and testimony about any issues relevant to section 108 which concern copyright owners, librarians, and their patrons. Of particular interest are answers to the following questions:

(1) To what extent has section 108 changed library procedures? Has there been any significant effect on users' and librarians' access to information?

(2) To what extent has section 108 affected established patterns in the publishing industry and the relationship between authors, libraries, and library users?

(3) Depending upon the type of library involved, describe the effect, if any, of section 108 upon the type and amount of copying performed by the library on its own behalf or on behalf of users. To what extent have publishers and authors experienced a change in the number of requests from libraries to reproduce works since the present law went into effect?

(4) In what manner has the establishment of the Copyright Clearance Center affected your experience under section 108? (The intent of this question is to elicit responses from publishers and authors on the one hand and libraries and library users on the other.)

(5) Describe the impact, if any, that section 108 has had upon the replication of nonprint materials, including the ability of libraries to reproduce phonorecords and audio visual works dealing with news. In response to this

question describe any problems which have been encountered as the result of the narrower exemptions for nonprint materials under section 108.

(6) How has the CONTU "rule of five" worked in practice? How should periodicals more than five years old be treated?

(7) What is your opinion of the relationship between section 107 ("fair use") and section 108 ("reproduction by libraries and archives")?

(8) If problems do exist, can they be resolved without resort to legislative amendment? If so, what are the problems, and how could they best be resolved? If not, what changes should be made in the law?

(17 U.S.C. 108)

Dated: December 10, 1979.

Barbara Ringer,

Register of Copyrights.

Approved:

Daniel J. Boorstin,

The Librarian of Congress.

[FR Doc. 79-38537 Filed 12-14-79; 8:45 am]

BILLING CODE 1410-03-M

NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

Humanities Panel Advisory Committee; Meetings

December 6, 1979.

Pursuant to the provisions of the Federal Advisory Committee Act (Pub. L. 92-463, as amended), notice is hereby given that the following meetings of the Humanities Panel will be held at 806 15th Street NW., Washington, D.C. 20506.

1. Date: January 10 & 11, 1980. Time: 9:00 a.m. to 5:30 p.m. Room: 1134. Purpose: To review NEH publications proposals submitted to the National Endowment for the Humanities for projects beginning after March 1, 1980.
2. Date: January 17 & 18, 1980. Time: 2:00 a.m. to 5:30 p.m. Room: 1023. Purpose: To review applications in Archaeology that have been submitted to the General Research Program of the National Endowment for the Humanities for projects beginning after April 1, 1980.
3. Date: January 17 & 18, 1980. Time: 9:00 a.m. 5:30 p.m. to Room: 1134. Purpose: To review NEH publications proposals submitted to the National Endowment for the Humanities for projects beginning after March 1, 1980.
4. Date: January 24 & 25, 1980. Time: 9:00 a.m. to 5:30 p.m. Room: 1134. Purpose: To review Research Conferences Program proposals submitted to the National Endowment for the Humanities for projects beginning after March 1, 1980.
5. Date: January 25, 1980. Time: 9:00 a.m. to 5:30 p.m. Room: 1023. Purpose: To review applications in Basic Research that have been submitted to the General Research Program of the National Endowment for the Humanities for projects beginning after May 1, 1980.
6. Date: January 28 & 29, 1980. Time: 9:00 a.m. to 5:30 p.m. Room: 807. Purpose: To review applications submitted to the Research Tools Program of the National Endowment for the Humanities for projects using computer technology beginning June 15, 1980.

Because the proposed meetings will consider financial information and disclose information of a personal nature the disclosure of which would constitute a clearly unwarranted invasion of personal privacy, pursuant to authority granted me by the Chairman's Delegation of Authority to Close Advisory Committee Meetings, dated January 15, 1979, I have determined that the meetings would fall within exemptions (4) and (6) of 5 U.S.C. 552(b)(c) and that it is essential to close these meetings to protect the free exchange of internal views and to avoid interference with operation of the Committee.

If you desire more specific information, contact the Advisory Committee Management Officer, Mr. Stephen J. McCleary, 806 15th Street NW., Washington, D.C. 20506, or call 202-724-0367.

Stephen J. McCleary,

Advisory Committee Management Officer.

[FR Doc. 79-38498 Filed 12-14-79; 8:45 am]

BILLING CODE 7536-01-M

Office of Partnership Panel (State Programs Section); Meeting

Pursuant to Section 10(a)(2) of the Federal Advisory Committee Act (Public Law 92-463), as amended, notice is hereby given that a meeting of the Office of Partnership Panel (State Programs Section) to the National Council on the Arts will be held January 9, 1980 from 8:30 a.m.-6:00 p.m.; January 10, 1980 from 8:30 a.m.-6:00 p.m.; January 11, 1980 from 8:30 a.m.-4:30 p.m. in Room 1426, Columbia Plaza Office Building, 2401 E St., N.W., Washington, D.C.

A portion of this meeting will be open to the public on January 9, 1980 from 8:30-9:15 a.m. and 3:00-6:00 p.m.; January 10, 1980 from 3:00 p.m.-6:00 p.m.; January 11, 1980 from 8:30 a.m.-4:30 p.m. Reports and recommendations on applications will be discussed.

The remaining sessions of this meeting on January 9, 1980 from 9:15 a.m.-3:00 p.m. January 10, 1980 from 8:30 a.m.-3:00 p.m. are for the purpose of Panel review, discussion, evaluation, and recommendation on applications for financial assistance under the National Foundation on the Arts and the Humanities Act of 1965, as amended, including discussion of information given in confidence to the agency by grant applicants. In accordance with the determination of the Chairman published in the **Federal Register** March 17, 1977, these sessions will be closed to the public pursuant to subsections (c) (4), (6) and 9(b) of section 552b of Title 5, United States Code.

Further information with reference to this meeting can be obtained from Mr. John H. Clark, Advisory Committee Management Officer, National Endowment for the Arts, Washington, D.C. 20506, or call (202) 634-6070.

John H. Clark,

Director, Office of Council and Panel Operations, National Endowment for the Arts.

[FR Doc. 79-38547 Filed 12-14-79; 8:45 am]

BILLING CODE 7537-01-M

NUCLEAR REGULATORY COMMISSION

Advisory Committee on the Medical Uses of Isotopes; Public Meeting

The Nuclear Regulatory Commission's (NRC) Advisory Committee on the Medical Uses of Isotopes will hold a public meeting at 9:00 a.m. on Friday, January 18, 1980 in Room 150, Willste Building, 7915 Eastern Avenue, Silver Spring, Maryland

The following agenda is scheduled:

1. *Training and Experience Criteria for Physician-Users.* The Committee will review and discuss NRC's current physician-user qualification program. By way of background, NRC's objective is to ensure that authorized physician-users have sufficient training and experience to handle safely the radioactive material they request. The current criteria are stated in Appendix A, Regulatory Guide 10.8 for Groups I through VI and in NUREG-0339 for teletherapy.

Evidence of adequate training and experience may be documented by using Supplements A and B of Form NRC-313M. The physician-applicant completes Items 4 and 5 of Supplement A outlining his training in basic radioisotope handling techniques and his experience in using various types and quantities of radioactive material. The physician's preceptor completes and signs Supplement B describing the applicant's clinical experience.

In lieu of documenting training and experience by submitting Supplements A and B, Form NRC-313M, a physician may submit evidence of certification by certain medical specialty boards. The current acceptable specialty boards and nuclear medicine procedures are referenced in Appendix A and in NUREG-0339.

Relative to this subject, the following questions will be discussed:

a. Whether NRC's method of ensuring this objective is appropriate.

b. Whether current criteria are appropriate.

c. Whether NRC should require certification that the physician has successfully completed a course in basic radioisotope handling techniques.

d. Whether NRC should require that the preceptor certify that the physician-applicant is qualified to perform independently the clinical procedures specified on Supplement B, Form NRC-313M.

e. Whether there are other medical specialty board certifications other than those currently accepted by NRC that can be used as evidence of adequate training and experience.

2. *Training and Experience for Physicians Whose Use of Byproduct Material is Limited to Nuclear Cardiology.* At its December 14, 1978 meeting the ACMUI discussed criteria for the training and experience of physicians performing only nuclear cardiology studies. It was decided that training and experience criteria should be almost identical to that for all diagnostic procedures (Groups I-III). The exception was a reduction in the required number of clinical hours to 250. Individuals and professional societies have disagreed with these criteria. The NRC staff will request additional guidance on this subject.

3. *Regulation of Naturally Occurring and Accelerator Produced Radioactive Materials (NARM).* The Atomic Energy Act of 1954, as amended, authorizes the Commission to regulate byproduct, source and special nuclear materials. The regulation of NARM is not covered under this Federal legislation. The regulation of NARM at the Federal and State levels is fragmented and non-uniform.

Whether NRC should seek additional legislative authority to regulate NARM will be discussed.

4. *Status Report on Proposed and Final Rule Changes and Other Items Of Interest.* The NRC staff will provide a report on the current status of various rule changes (e.g., misadministration reporting requirement; changes in composition and function of medical isotopes committee) and other items of interest (e.g., disposal of radioactive waste, model program for medical licenses for keeping radiation exposures as low as reasonably achievable, retention in Group IV of use of iodine-131 to treat cardiac dysfunction, rewriting of 10 CFR Part 20).

Practical considerations may dictate alterations in the above agenda.

Mr. Richard Cunningham, Director, Division of Fuel Cycle and Material Safety, U.S. Nuclear Regulatory Commission, will serve as Chairperson of the Advisory Committee meeting. Mr. Cunningham is empowered to conduct the meeting in a manner that, in his judgment, will facilitate the orderly conduct of business.

The following requirements shall apply to public participation in the agenda items listed above.

1. Persons wishing to submit written statements on agenda items may do so by providing a readily reproducible copy at the beginning of the meeting. Persons wishing to mail written comments may do so by sending at least one readily reproducible copy (preferably 25 copies) to Mr. Cunningham in care of NRC, Washington, D.C. 20555. Comments postmarked no later than January 11, 1980 should be received in time for consideration at the meeting. The minutes of the meeting will be kept open for 30 days for the receipt of written statements for the record.

2. Person desiring to make oral statements should make a request to do so prior to the beginning of the meeting, identifying the agenda items and describing the need for the oral statement and its usefulness to the Committee. To the extent that the time available for the meeting permits, the Committee will receive oral statements during a period of not more than 60 minutes at a time chosen by the Chairperson. The Chairperson shall rule on requests to make oral statements and shall apportion the available time among those he selects to make oral statements.

3. Questions may be asked only by Committee members, consultants, and staff.

4. Seating for the public will be on a first come-first served basis.

5. Rulings on requests to make oral statements and the time alloted may be obtained by prepaid telephone call to Mr. Cunningham at (301) 427-4485 between 9:00 a.m. and 5:00 p.m. EST on January 15, 16 or 17, 1980.

6. Other information regarding the meeting may be obtained by prepaid telephone call to Dr. William J. Walker at (301) 427-4232 between 9:00 a.m. and 5:00 p.m. EST.

7. A copy of the minutes of the meeting will be available for inspection at the NRC Public Document Room, 1717 H Street NW., Washington, D.C. 20555 on or before March 7, 1980. Copies of the minutes may be obtained upon payment of required charges.

The meeting is held in accordance with the Atomic Energy Act of 1954, as amended (primarily Section 161a), Federal Advisory Committee Act (Pub. L. 92-463), Executive Order 11769, and the Commission's regulations in Title 10, Code of Federal Regulations, Part 7.

Dated at Washington, D.C., this 10th day of December 1979.

John C. Hoyle,

Advisory Committee Management Officer.

[FR Doc. 79-38529 Filed 12-14-79; 8:45 am]

BILLING CODE 7590-01-M

[Docket No. 50-348]

Alabama Power Co.; Granting of Relief From ASME Section XI Inservice Testing Requirements

The U.S. Nuclear Regulatory Commission (the Commission) has granted relief from certain requirements of the ASME Code, Section XI, "Rules for Inservice Inspection of Nuclear Power Plant Components" to the Alabama Power Company (the licensee). The relief relates to the inservice testing program for the Farley Nuclear Plant Unit No. 1 located in Houston County, Alabama. The ASME Code requirements are incorporated by reference into the Commission's regulations in 10 CFR Part 50. The relief is effective as of its date of issuance.

The relief consists of the substitution of visual or surface examinations for certain Class 1, 2, and 3 component ASME Code examination requirements and the extension intervals for certain components until disassembled for maintenance.

The request for relief complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's regulations. The Commission has made appropriate findings as required by the Act and the Commission's regulations in 10 CFR Chapter I, which are set forth in the letter granting relief. Prior public notice of this action was not required since the granting of this relief from ASME Code requirements does not involve a significant hazards consideration.

The Commission has determined that the granting of this relief will not result in any significant environmental impact and that pursuant to 10 CFR § 51.5(d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with this action.

For further details with respect to this action, see (1) the licensee's requests for relief contained in the submittal to the Commission dated July 8, 1977, supplemented on November 21, 1977, March 16 and March 30, 1978, and (2) the Commission's letter to the licensee dated December 7, 1979.

These items are available for public inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. and at the George S. Houston Memorial Library, 212 W. Burdeshaw Street, Dothan, Alabama 36303. A copy of item (2) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Maryland, this 7th day of December 1979.

For the Nuclear Regulatory Commission.

A. Schwencer,

Chief, Operating Reactors Branch #1, Division of Operating Reactors.

[FR Doc. 79-38532 Filed 12-14-79; 8:45 am]

BILLING CODE 7590-01-M

[Docket No. 50-324]

Carolina Power & Light Co.; Issuance of Amendment to Facility Operating License

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 49 to Facility Operating License No. DPR-62, issued to Carolina Power and Light Company (the licensee) for operation of the Brunswick Steam Electric Plant, Unit No. 2 (the facility), located in Brunswick, North Carolina. The amendment is effective as of the date of issuance.

The amendment revises the Technical Specifications to provide corrected Minimum Critical Power Ratio (MCPR) Limits for the latter part of Cycle 3.

The application for the amendment complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of the amendment was not required since the amendment does not involve a significant hazards consideration.

The Commission has determined that the issuance of the amendment will not result in any significant environmental impact and that pursuant to 10 CFR 51.5(d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with issuance of the amendment.

For further details with respect to this action, see (1) the application for amendment dated October 10, 1979, (2) Amendment No. 49 to License No. DPR-62, and (3) the Commission's related Safety Evaluation. These items are available for public inspection at the Commission's Public Document Room, 1717 H Street, N.W., Washington, D.C. 20555, and at the Southport-Brunswick County Library, 109 West Moore Street, Southport, North Carolina 28461. A copy of items (2) and (3) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Md., this 10 day of December 1979.

For the Nuclear Regulatory Commission.

Thomas A. Ippolito,

Chief, Operating Reactors Branch No. 3, Division of Operating Reactors.

[FR Doc. 79-38530 Filed 12-14-79; 8:45 am]

BILLING CODE 7590-01-M

[Docket No. 50-298]

Nebraska Public Power District; Issuance of Amendment to Facility Operating License and Negative Declaration

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 60 to Facility Operating License No. DPR-46, issued to Nebraska Public Power District, which revised the Technical Specifications for operation of the Cooper Nuclear Station, located in Nemaha County, Nebraska. The amendment is effective as of the date of its issuance.

This amendment modifies the Technical Specifications to allow termination of the aquatic surveillance study and evaluation program.

The application for the amendment complies with the standard and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendment. Prior public notice of this amendment was not required since the amendment does not involve a significant hazards consideration.

The Commission has prepared an environmental impact appraisal for this action and has concluded that an environmental impact statement for this particular action is not warranted because there will be no significant environmental impact attributable to the action other than that which has already been predicted and described in the Commission's Final Environmental Statement for the facility.

For further details with respect to this action, see (1) the application for amendment dated July 10, 1979, (2) Amendment No. 60 to License No. DPR-46, and (3) the Commission's related Environmental Impact Appraisal. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street, NW., Washington, D.C. and at the Auburn Public Library, 118—15th Street, Auburn, Nebraska 68305. A copy of items (2) and (3) may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Md., this 7th day of December, 1979.

For the Nuclear Regulatory Commission.

Vernon L. Rooney,

Acting Chief, Operating Reactors Branch No. 3, Division of Operating Reactors.

[FR Doc. 79-38531 Filed 12-14-79; 8:45 am]

BILLING CODE 7590-01-M

Draft Regulatory Guide; Issuance and Availability

The Nuclear Regulatory Commission has issued for public comment a draft of a proposed revision to a guide in its Regulatory Guide Series together with a draft of the associated value/impact statement. This series has been developed to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations and, in some cases, to delineate techniques used by the staff in evaluating specific problems or postulated accidents and to provide guidance to applicants concerning certain of the information needed by the staff in its review of applications for permits and licenses.

The draft, temporarily identified by its task number, RS 917-4 (which should be mentioned in all correspondence concerning this draft guide), is proposed Revision 2 to Regulatory Guide 1.97 and is entitled "Instrumentation for Light-Water-Cooled Nuclear Power Plants To Assess Plant and Environs Conditions During and Following an Accident." The guide was originally developed to provide a method acceptable to the NRC staff for complying with the Commission's regulations to provide instrumentation for monitoring plant variables and systems during and following an accident in a light-water-cooled nuclear power plant. The proposed revision is being developed on a high-priority basis in order to include applicable lessons learned in an investigation of the accident at Three Mile Island. The scope of the guide has been expanded to include all accident-monitoring instrumentation needed by the licensee to protect the health and safety of the public, including that required for emergency planning. Proposed Revision 2 to Regulatory Guide 1.97 endorses, with certain exceptions, Draft 4 dated November 1979, of Standard ANS-4.5, "Functional Requirements for Accident Monitoring in a Nuclear Power Generating Station." Comments received on the draft standard will be transmitted to the ANS-4 working group that is developing the standard in addition to being given consideration by the staff for inclusion in the regulatory guide.

This draft guide and the associated value/impact statement are being issued to involve the public in the early stages of the development of a regulatory position in this area. They have not received complete staff review, have not been reviewed by the NRC Regulatory Requirements Review Committee, and do not represent an official NRC staff position.

Public comments are being solicited on both drafts, the guide (including any implementation schedule) and the draft value/imkpact statement. Comments on the draft value/impact statement should be accompanied by supporting data. Comments on both drafts should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch, by February 14, 1980.

Although a time limit is given for comments on these drafts, comments and suggestions in connection with (1) items for inclusion in guides currently being developed or (2) improvements in all published guides are encouraged at any time.

Regulatory guides are available for inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. Requests for single copies of draft guides (which may be reproduced) or for placement on an automatic distribution list for single copies of future draft guides in specific divisions should be made in writing to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Director, Division of Technical Information and Document Control. Telephone requests cannot be accommodated. Regulatory guides are not copyrighted, and Commission approval is not required to reproduce them.

(5 U.S.C. 552(a))

Dated at Rockville, Maryland this 6th day of December 1979.

For the Nuclear Regulatory Commission.

Guy A. Arlotto, Director,

Division of Engineering Standards, Office of Standards Development.

[FR Doc. 79-38533 Filed 12-14-79; 8:45 am]

BILLING CODE 7590-01-M

OFFICE OF MANAGEMENT AND BUDGET

Agency Forms Under Review

Background

December 12, 1979.

When executive departments and agencies propose public use forms, reporting, or recordkeeping requirements, the Office of Management and Budget (OMB) reviews and acts on those requirements under the Federal Reports Act (44 USC, Chapter 35). Departments and agencies use a number of techniques including public hearings to consult with the public on significant reporting requirements before seeking OMB approval. OMB in carrying out its responsibility under the Act also considers comments on the forms and recordkeeping requirements that will affect the public.

List of Forms Under Review

Every Monday and Thursday OMB publishes a list of the agency forms received for review since the last list was published. The list has all the entries for one agency together and grouped into new forms, revisions, extensions, or reinstatements. Each entry contains the following information:

The name and telephone number of the agency clearance officer;

The office of the agency issuing this form;

The title of the form;

The agency form number, if applicable;

How often the form must be filled out;

Who will be required or asked to report;

An estimate of the number of forms that will be filled out;

An estimate of the total number of hours needed to fill out the form; and

The name and telephone number of the person or office responsible for OMB review.

Reporting or recordkeeping requirements that appear to raise no significant issues are approved promptly. In addition, most repetitive reporting requirements or forms that require one half hour or less to complete and a total of 20,000 hours or less annually will be approved ten business days after this notice is published unless specific issues are raised; such forms are identified in the list by an asterisk(*).

Comments and Questions

Copies of the proposed forms and supporting documents may be obtained from the agency clearance officer whose name and telephone number appear under the agency name. Comments and questions about the items on this list should be directed to the OMB reviewer or office listed at the end of each entry.

If you anticipate commenting on a form but find that time to prepare will prevent you from submitting comments promptly, you should advise the reviewer of your intent as early as possible.

The timing and format of this notice have been changed to make the publication of the notice predictable and to give a clearer explanation of this process to the public. If you have comments and suggestions for further improvements to this notice, please send them to Stanley E. Morris, Deputy Associate Director for Regulatory Policy and Reports Management, Office of Management and Budget, 726 Jackson Place, Northwest, Washington, D.C. 20503.

New Forms

Science and Education Administration
*Soil/Plant Laboratory Testing Activities
SEA-501
Other (See SF-83)
Testing laboratories, 78 responses, 38 hours
Charles A. Ellett, 395-5080

Revisions

Economics, Statistics, and Cooperatives Service
*Hay Production and Sales Inquiry
Annually
Farmers producing hay, 13,000 responses, 1,083 hours
Office of Federal Statistical Policy and Standard, 673-7974.

Food and Nutrition Service
Food Stamp Program Regulations—Part 278, Participation of Retail Food Stores, Wholesale Food Concerns and Banks
FNS 252, 252-2 and 350
On occasion
Retailers, wholesalers meal service organizations, 269,530 responses, 25,482 hours
Charles A. Ellett, 395-5080

Rural Electrification Administration

Service Area Data
REA 50
On occasion
REA borrowers, 380 responses, 855 hours
Charles A. Ellett, 395–5080

Reinstatements

Food and Nutrition Service
Part 215—Special Milk Program for Children
On occasion
State agencies, school food authorities, child care institutions, 46,124 responses, 65,124 hours
Charles A. Ellett, 395–5080

DEPARTMENT OF COMMERCE

Agency Clearance Officer—Edward Michals—377–3627

New Forms

Departmental and other
Pilot Study: Tracking Lighting Design Decisions for New Open Office Projects
NBS–1135
Single time
Architecture firms, 20 responses, 65 hours
Richard Sheppard, 395–3211

Revisions

Maritime Administration
Application for Ship Financing Guarantees
MA–163
On occasion
Shipowners, 60 responses, 4,200 hours
Richard Sheppard, 395–3211

Extensions

Bureau of Economic Analysis
Direct Transactions of U.S. Reporter With Foreign Affiliate Incorporated Abroad
BE–577
Quarterly
U.S. Enterprises owning foreign enterprises, 48,000 responses, 48,000 hours
Office of Federal Statistical Policy and Standard, 673–7974

Bureau of Economic Analysis
Direct Transactions of U.S. Reporter With Unincorporated Foreign Affiliate, Except a Bank
BE–578
Quarterly
U.S. Enterprises owning foreign enterprises, 9,200 responses, 9,200 hours
Office of Federal Statistical Policy and Standard, 673–7974

Bureau of Economic Analysis
U.S. Reporter's Directly-Owned Foreign Affiliate's Share in Net Income of Indirectly-Owned Foreign Affiliate
BE–577s
Annually
U.S. Enterprises owning foreign enterprises, 300 responses, 2,400 hours
Office of Federal Statistical Policy and Standard, 673–7974

Bureau of Economic Analysis
Direct Transactions of U.S. Reporter With Unincorporated Foreign Banking Affiliate
BE–578(B)
Quarterly
U.S. Enterprises owning foreign enterprises, 1,200 responses, 1,200 hours
Office of Federal Statistical Policy and Standard, 673–7974

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Agency Clearance Officer—William Riley—245–7488

Revisions

National Institutes of Health
Questionnaire for Source Director
On occasion
Suppliers of laboratory animals, 25 responses, 25 hours
Richard Eisinger, 395–3214

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Agency Clearance Officer—Robert G. Masarsky—755–5184

New Forms

Community Planning and Development
CDBG Indian Program Application Form
Annually
Tribal governments, 300 responses, 24,000 hours
Arnold Strasser, 395–5080

DEPARTMENT OF THE INTERIOR

Agency Clearance Officer—William L. Carpenter—343–6716

Revisions

Bureau of Land Management
Transfer/Sublease Forms Oil/Gas Lease Record Title/Operating Rights Assignment
3106–5 and 3106–14
On occasion
Holders of oil and gas leases/subleases, 60,000 responses, 30,000 hours
Charles A. Ellett, 395–5080

DEPARTMENT OF LABOR

Agency Clearance Officer—Philip M. Oliver—523–6341

Reinstatements

Employment and Training Administration
ESARS Handbook Chapter VII, Report Preparation
ETA Handbook No. 309
Monthly
State employment service offices, 624 responses, 192,920 hours
Arnold Strasser, 395–5080

FEDERAL EMERGENCY MANAGEMENT AGENCY

Agency Clearance Officer—Linda Shiley—254–9515

New Forms

Smoke and Fire Detector Survey Questionnaire
FEMA OT–2
Single time
Nat's prob. samp. of 1200 hshlds supp. samp. of 300 in so., 1,500 responses, 450 hours
Edward H. Clarke, 395–5867

OFFICE OF PERSONNEL MANAGEMENT

Agency Clearance Officer—John P. Weld—632–7737

New Forms

*Notice if Child Is Unable To Qualify for survivor
Benefits Paid for Him
BRI 49–235A
On occasion
Survivor annuitants (students), 10,000 responses, 833 hours
Laverne V. Collins, 395–3214

Extensions

*Presidential Management internship Program evaluation
OPM 1378
Annually
Nominees to PMIP, 1,000 responses; 500 hours
Laverne V. Collins 395–3214

RAILROAD RETIREMENT BOARD

Agency Clearance Officer—Pauline Lohens—312–751–4693

Revisions

*Annual Policing Questionnaire
G–19
Annually RRA beneficiaries, 12,000 responses, 1,000 hours
Barbara F. Young, 395–6132

*Survivor Ouestionnaire
RL–94F
On Occasion
Survivor or potential beneficiary of deceased employee, 26,500 responses, 4,858 hours
Barbara F. Young, 395–6132

Extensions

*Certificate of Guardian-in-Fact of Person in Loco Parentis
G–469
On occasion
Per. Fil. for surv. bene. on behalf of beneficiary (BRA), 300 responses, 50 hours

Barbara F. Young, 395–6132

Stanley E. Morris,
Deputy Associate Director for Regulatory Policy and Reports Management.

[FR Doc. 79–38644 Filed 12–14–79; 8:45 am]
BILLING CODE 3110–01–M

PENSION BENEFIT GUARANTY CORPORATION

Privacy Act of 1974; Systems of Records; Annual Publication

AGENCY: Pension Benefit Guaranty Corporation.

ACTION: Annual Privacy Act Notice; advance notice of new routine uses and new systems of records; and final notice of amendments to existing systems of records.

SUMMARY: This document sets forth the annual notice of the systems of records maintained by the Pension Benefit Guaranty Corporation, as required by the Privacy Act of 1974. In addition, this document provides final notice of several records systems description changes and advance notice of routine uses. Because of these multiple changes, this notice contains the complete text of all the Pension Benefit Guaranty Corporation's systems of records and routine uses.

DATES: The annual notice is effective on December 17, 1979. The new proposed routine uses are published for coment and will be effective on January 16, 1980, unless a notice is published to the contrary. Comments must be received on or before January 16, 1980.

ADDRESSES: Send comments to the Office of the General Counsel, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006. Written comments will be available for public inspection at the PBGC, Suite 7000, at the same address, on weekdays between 9 a.m. and 4 p.m.

FOR FURTHER INFORMATION CONTACT: Ms. Nina R. Hawes, Staff Attorney, Office of the General Counsel, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, (202) 254–4895.

SUPPLEMENTARY INFORMATION: As a result of the Pension Benefit Guaranty Corporation's annual review of the records it maintains subject to the Privacy Act, the PBGC has: (1) determined it has two previously unannounced systems of records; (2) determined it is necessary to provide notice of two proposed routine uses; (3) found it necessary to make minor editorial corrections and revisions in the descriptions of several systems of records; and (4) determined that the method of storage of two systems has changed. By this document the PBGC is making the necessary changes and providing the necessary notices. Public comment is invited on the first, second and fourth actions. Actions (1), (3) and (4) are effective immediately. Action (2) and the routine uses announced in action (1) will be effective January 16, 1980, unless the PBGC publishes a notice to the contrary.

Notice of Two Existing Systems

As required by 5 U.S.C. 552a(e)(4), this document presents initial statements of the existence and character of two systems of records. These two systems were previously included in the system of records designated PBGC–6, Personnel Records, but a review of PBGC records maintenance practices indicates that these two systems are now separately maintained and should therefore be reported separately. The two systems are PBGC–7, Equal Employment Opportunity Discrimination Complaints, and PBGC–8, Employee Adverse Action Files.

Since these systems are already in existence, suspending operation of the systems would adversely affect the PBGC employees and applicants for employment covered by the systems. Therefore, concurrently with this publication, a waiver of advance notice of the establishment of these systems is being requested from OMB. A report on the new systems required by the Privacy Act, 5 U.S.C. 552a(o), is being filed concurrently with the publication of this notice. The public is invited to comment on the new systems of records.

Additional Routine Uses

The PBGC is also publishing two proposed routine uses for public comment. Section 552a(e)(11) of the Privacy Act requires that notice of an intended routine use of records be published at least 30 days prior to the implementation of the use and that the public be given an opportunity to comment on the routine use. The proposed routine uses are set forth below. They will become final on January 16, 1980, unless PBGC publishes a notice to the contrary.

The first routine use involves the release of information to recognized labor organizations which represent PBGC employees. This routine use would allow certain records from record system PBGC–3, Payroll, Leave and Attendance Records, PBGC–5, Personnel Records, and PBGC–8, Employee Adverse Action Files to be disclosed to the recognized bargaining representative of PBGC employees when necessary for full and proper discussion, understanding, and negotiation of subjects within the scope of collective bargaining and for representation of employees in the bargaining unit. This routine use is needed to enable the PBGC to comply with Executive Order 11491 concerning Labor-Management Relations in the Federal Service. If adopted, the routine use would apply to records systems PBGC–3, PBGC–5, and PBGC–8. The proposed routine use reads as follows:

> Pursuant to Title VII of the Civil Service Reform Act, pertinent records from this system may be furnished to a labor organization upon its request when needed by that organization to perform its duties as the recognized collective bargaining representative of PBGC employees in the bargaining unit.

The second routine use involves the release of records from records system PBGC–6, Plan Participant and Beneficiary Data, to a union representative of the plan participants. The representative must be an official of a labor organization which is the duly recognized collective bargaining representative of the plan participant about whom the request is made.

PBGC has had requests from labor unions which represent the plan participants in a terminated plan for information included in record system PBGC–6. PBGC believes it would be to the benefit of plan participants to allow this release without requiring the union to obtain the written consent of each participant about whom information is requested. The following proposed routine use would apply to records system PBGC–6 and reads as follows:

> Disclosure may be made to an official of a labor organization which is the duly recognized collective bargaining representative of the individual about whom the request is made.

As required by 5 U.S.C 552a(e)(11), interested persons are invited to submit written data, views or arguments on the above-described proposed routine uses. The routine uses may be changed in light of the comments received.

Editorial Corrections and Revisions

The PBGC has determined that it is necessary to make certain editorial corrections and revisions to the descriptions of its systems of records. These changes do not affect the general character or purpose of any system as described nor do they expand the population of individuals to which the systems apply. The modifications merely provide a more accurate description of the affected systems of

records. Two of the more noteworthy changes are that:

(1) The system managers were changed in some cases because of an internal reorganization;

(2) In PBGC–6, Personnel Records, employment applications and additional information submitted by applicants for attorney positions are now shown as kept by the Office of the General Counsel, rather than by the Personnel Office.

Change in Method of Storage of Systems of Records.

The PBGC has been computerizing records that were previously kept manually in file folders. The records in systems PBGC–5 and PBGC–6 are now partially computerized, and are also maintained in file folders. Safeguards for the computerized sections of the systems have been developed and include restriction of access to the computer areas. Waiver of advance notice of these changes is being requested from OMB, and a systems report is being filed concurrently with the publication of this notice. The public is invited to comment on these changes.

Issued in Washington, D.C. this 10th day of Dec. 1979.

Robert E. Nagle,

Executive Director, Pension Benefit Guaranty Corporation.

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1. Correspondence Between PBGC and Persons Outside PBGC—PBGC.
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5. Personnel Records—PBGC.
6. Plan Participant and Beneficiary Data—PBGC.
7. Equal Employment Opportunity Discrimination Complaints—PBGC.
8. Employee Adverse Action Files—PBGC.

Prefatory Statement of General Routine Uses

The following routine uses, except for number 3, apply to and are incorporated by reference into each system of records set forth below. Routine use number 3 applies to and is incorporated by reference into systems 1–5 and 7–8 set forth below.

1. Routine Use—Law Enforcement: In the event that a system of records maintained by the PBGC to carry out its functions indicates a violation or potential violation of law, whether criminal, civil or regulatory in nature, and whether arising by general statute or particular program pursuant thereto, the relevant records in the system of records may be referred to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

2. Routine Use—Disclosure When Requesting Information: A record from this system of records may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, if necessary to obtain information relevant to a PBGC decision concerning the hiring or retention of an employee, the issuance of a security clearance, or the letting of a contract.

3. Routine Use—Disclosure of Requested Information: A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

4. Routine Use—Disclosure During and in Anticipation of Litigation: A record from this system of records may be disclosed during litigation, including disclosure to all counsel in the course of discovery or settlement negotiations and during the presentation of evidence to a court, magistrate or administrative tribunal, or during proceedings in reasonable anticipation thereof.

5. Routine Use—Disclosure to OMB: A record contaied in this system of records will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular No. A–19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

6. Routine Use—Congressional Inquiries. Disclosure may be made to a congressional office from the record of an individual in response to an inquiry from the Congressional office made at the request of that individual.

PBGC–1

SYSTEM NAME:

Correspondence Between PBGC and Persons Outside PBGC—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Pension Benefit Guaranty Corporation, Los Angeles Regional Office, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Individuals who hav corresponded with PBGC and with divisions of the PBGC and individuals who have received replies in response to their correspondence with the PBGC.

CATEGORIES OF RECORDS IN THE SYSTEM:

Corresponsence containing the name and address of the correspondent and other information regarding various aspects of the PBGC and Title IV of the Employee Retirement Income Security Act of 1974. Correspondence is kept by the Office Director to whom the correspondence was addressed or the Office Director who replied to the correspondent.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Used for regulatory purposes including use in evidence in proceedings before the PBGC and the courts.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders.

RETRIEVABILITY:

Indexed by name.

SAFEGUARDS:

Records are kept in lockable file cabinets in areas of restricted access which are locked after office hours.

RETENTION AND DISPOSAL:

Retained for 6 years, then transferred to Federal Records Center. Offered to National Archives and Records Service after 15 years.

SYSTEMS MANAGER(S) AND ADDRESS:

Executive Director, Director of Office of Financial Operations, Director of the Office of Information Management, Director of the Office of Management Services, Director of the Office of Program Operations, Director of the Office for Research and Evaluation, and General Counsel, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Special Assistant for Field Liaison, Los Angeles Regional Office, Pension Benefit Guaranty Corporation, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORD PROCEDURES:

Same as notification procedure.

RECORD SOURCE CATEGORIES:

Individuals writing to the PBGC and the PBGC responses.

PBGC–2

SYSTEM NAME:

Disbursements—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Consultants and vendors to PBGC.

CATEGORIES OF RECORDS IN THE SYSTEM:

Payment vouchers, including SF 1081.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Transmittal of data to United States Department of Treasury to effect payments to consultants and vendors.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders.

RETRIEVABILITY:

Indexed by name.

SAFEGUARDS:

Records are kept in lockable file cabinets in areas of restricted access which are locked after office hours.

RETENTION AND DISPOSAL:

Records created after June 30, 1975 are destroyed 6 years and 3 months after date of voucher.

SYSTEM MANAGER(S) AND ADDRESS:

Controller, Office of Financial Operations, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORDS PROCEDURES:

Same as notification procedure.

RECORD SOURCE CATEGORIES:

Subject consultant or vendor.

PBGC–3

SYSTEM NAME:

Employee Payroll, Leave and Attendance Records—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Los Angeles Regional Office, Pension Benefit Guaranty Corporation, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees of PBGC.

CATEGORIES OF RECORDS IN THE SYSTEM:

Name; address; social security number and employee number; earnings records; leave status and data; jury duty data; military leave data; time and attendance records, including number of regular, overtime, holiday, Sunday and other hours worked, co-owner and/or beneficiary of bonds, marital status and number of dependents; and "Notification of Personnel Action". The individual records listed herein are included only as pertinent or applicable to the individual employee.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. Transmittal of data to United States Department of Labor to effect issuance of paychecks to employees and distribution of pay according to employee directions for savings bonds, allotments, financial institutions, and other authorized purposes and to effect tax withholdings and other authorized deductions.

2. Pursuant to Title VII of the Civil Service Reform Act, pertinent records from this system may be furnished to a labor organization upon its request when needed by that organization to perform its duties as the recognized collective bargaining representative of PBGC employees in the bargaining unit.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders and in machine readable form.

RETRIEVABILITY:

Indexed by name and/or employee or social security number.

SAFEGUARDS:

Records are kept in lockable file cabinets in areas of restricted access which are locked after office hours. Magnetic tapes and computer records are kept under restricted access.

RETENTION AND DISPOSAL:

Sent to Federal Record Center after 3 years and destroyed after 7 years.

SYSTEM MANAGER(S) AND ADDRESS:

Controller, Office of Financial Operations, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Special Assistant for Field Liaison, Los Angeles Regional Office, Pension Benefit Guaranty Corporation, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORD PROCEDURES:

Same as notification procedure.

RECORD SOURCE CATEGORIES:

Subject individual and Office of Personnel Management.

PBGC–4

SYSTEM NAME:

Employee Travel Records—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Los Angeles Regional Office, Pension Benefit Guaranty Corporation, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees of PBGC who have filed travel vouchers and related documents.

CATEGORIES OF RECORDS IN THE SYSTEM:

Travel vouchers and related documents filed by employees of PBGC.

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AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Transmittal of data to United States Department of Treasury to effect reimbursement to employees for travel expenses.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders.

RETRIEVABILITY:

Indexed by name.

SAFEGUARDS:

Records are kept in lockable file cabinets which are locked after office hours, in areas of restricted access.

RETENTION AND DISPOSAL:

Retained for 3 years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Controller, Office of Financial Operations, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and Special Assistant for Field Liaison, Los Angeles Regional Office, Pension Benefit Guaranty Corporation, Room 4033A, 300 N. Los Angeles Street, Los Angeles, California 90012.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORD PROCEDURES:

Same as notification procedure.

RECORD SOURCE CATEGORIES:

PBGC employee executing vouchers.

PBGC–5

SYSTEM NAME:

Personnel Records—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Employees and applicants for employment with PBGC.

CATEGORIES OF RECORDS IN THE SYSTEM:

Personnel records that the PBGC maintains, including applications and related information for attorneys maintained by the Office of the General Counsel. (Records included in the Permanent Official Personnel File are maintained as a system of records by the Office of Personnel Management and are not included in this system of records).

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. These records are used to carry out authorized personnel programs.

2. Pursuant to Title VII of the Civil Service Reform Act, records from this system may be furnished to a labor organization upon its request when needed by that organization to perform properly its duties as the collective bargaining representative of PBGC employees in the bargaining unit.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders and in machine readable form.

RETRIEVABILITY:

Indexed by name.

SAFEGUARDS:

Records are kept in areas of restricted access and in lockable file cabinets which are locked after office hours. Magnetic tapes and computer records are kept under restricted access.

RETENTION AND DISPOSAL:

Temporary Personnel File records are kept until the employee leaves PBGC, at which time they are destroyed. Applications for employment and training are kept indefinitely. Attorney applicant files are kept for 3 years and then destroyed.

SYSTEM MANAGER(S) AND ADDRESS:

Chief, Division of Personnel Programs and Services, Office of Management Services, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006, and the Management Officer, Office of the General Counsel, Pension Benefit Guaranty Corporation, Suite 7200, 2020 K Street, N.W., Washington, D.C. 20006.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORD PROCEDURES:

Same as notification procedure.

RECORD SOURCE CATEGORIES:

Subject individuals, present and past employers, references given by subject individuals and responses to security investigations.

SYSTEMS EXEMPTED FROM CERTAIN PROVISIONS OF THE ACT:

This system is exempt from access and contest and certain other provisions of the Privacy Act 5 U.S.C. 552a (c)(3), (d), (e)(1), (e)(4) (G), (H) and (I), and (f), to the extent it includes material which would reveal the identity of a source who furnished information to the PBGC under an express promise that the identity of the source would be held in confidence or prior to September 27, 1975, was provided to the PBGC under an implied promise of confidentiality.

PBGC–6

SYSTEM NAME:

Plan Participant and Beneficiary Data—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

Participants and beneficiaries in terminated pension plans covered by Title IV of the Employee Retirement Income Security Act of 1974.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records contain name, address, telephone number, sex, social security number and other social security data, date of birth, date of hire, salary, marital status, time of plan participation, participant status, pay status, benefit data, health data, and insurance information where plan benefits are guaranteed by private insurers. The individual records listed herein are included only as pertinent or applicable to the individual plan participant or beneficiary.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 U.S.C. 1302, 1322 and 1341.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

1. Disclosed to third parties, such as banks, insurance companies and trustees, for the purpose of paying benefits to plan participants and beneficiaries.

2. Disclosure, in furtherance of proceedings under Title IV of the Employee Retirement Income Security Act of 1974, of plan participant and beneficiary data to an employer maintaining the plan.

3. Disclosure may be made to an official of a labor organization which is the duly recognized collective bargaining representative of the individual about whom the request is made.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders and in machine readable form.

RETRIEVABILITY:

Indexed by plan and participant and/or beneficiary name.

SAFEGUARDS:

Manual records are maintained in lockable file cabinets which are locked after office hours, in areas of restricted access. Magnetic tapes and computer records are kept under restricted access.

RETENTION AND DISPOSAL:

Records will be retained for such periods of time and disposed of in the manner to be prescribed by the PBGC's program of management authorized by General Services Administration.

SYSTEM MANAGER(S) AND ADDRESS:

Director, Office of Program Operations, and Director, Internal Audit, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure.

CONTESTING RECORD PROCEDURES:

Same as notification procedures.

RECORD SOURCE CATEGORIES:

Plan administrators and Social Security Administration.

PBGC–7

SYSTEM NAME:

Equal Employment Opportunity Discrimination Complaints—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, Equal Employment Opportunity Office, Room 4033A, 2020 K Street, N.W., Washington, D.C. 20006.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

PBGC employee and applicant complainants.

CATEGORIES OF RECORDS IN THE SYSTEM:

Records contain names, work locations, dates, Social Security numbers, and other information as included on affidavits, interviews, informal and formal discrimination complaint reports and investigative files of complaints.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

29 CFR Part 1613.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSE OF SUCH USES:

Purpose—Used by EEO Officer, staff of Equal Employment Opportunity Commission, staff of the Merit System Protection Board, Complaints examiners, Contract EEO investigators, PBGC EEO investigators and PBGC EEO counselors to investigate complaints of alleged discrimination and to evaluate the effectiveness of the EEO program:

Use—

1. Disclosed to complainant's representative.

2. Portions may be disclosed to the alleged discriminating official and his/her representative.

3. Disclosed to Equal Employment Opportunity Commission and Merit Systems Protection Board to carry out authorized investigations, to adjudicate appeals of discrimination complaints, and make recommendations regarding discrimination complaints.

4. Disclosed to Contract EEO investigators.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Records are maintained manually in file folders, binders and marked exhibits.

RETRIEVABILITY:

Indexed by complainant's name.

SAFEGUARDS:

Records are kept in lockable file cabinets which are locked after office hours in rooms with restricted access.

RETENTION AND DISPOSAL:

Files are retained indefinitely.

SYSTEM MANAGER(S) AND ADDRESS:

Equal Employment Opportunity Officer, Division of Personnel Programs and Services, Office of Management Services, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure above.

CONTESTING RECORDS PROCEDURES:

Same as notification procedure above.

RECORD SOURCE CATEGORIES:

Information is received from the complainants, respondent and from investigations and interviews.

PBGC–8

SYSTEM NAME:

Employee Adverse Action files—PBGC.

SYSTEM LOCATION:

Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

CATEGORIES OF INDIVIDUALS COVERED BY THE SYSTEM:

PBGC employees against whom an adverse action covered by this system has been initiated, or a PBGC employee who has initiated a grievance.

CATEGORIES OF RECORDS IN THE SYSTEM:

Notices to employees of disciplinary actions, performance warning letters, adverse actions, reductions-in-force, employees' replies to notices, employee notice of grievance, employee notice of appeal, records of hearing proceedings, appeal decisions and rebuttals, notice of action, investigative reports and related information.

AUTHORITY FOR MAINTENANCE OF THE SYSTEM:

5 U.S.C. 301.

ROUTINE USES OF RECORDS MAINTAINED IN THE SYSTEM, INCLUDING CATEGORIES OF USERS AND THE PURPOSES OF SUCH USES:

Purpose—

Provides a record keeping system, 1) for grievances and related appeals filed by an employee who alleges his rights regarding compensation, benefits, or other terms and conditions of employment have been adversely affected and, 2) for adverse actions brought against a PBGC employee.

Use—

1. Disclosed to employee's representative.

2. Disclosed to the Office of Personnel Management and Merit Systems Protection Board to carry out their authorized functions.

3. Pursuant to Title VII of the Civil Service Reform Act, records from this

system may be furnished to a labor organization upon its request when needed by that organization to perform properly its duties as the collective bargaining representative of PBGC employees in the bargaining unit.

POLICIES AND PRACTICES FOR STORING, RETRIEVING, ACCESSING, RETAINING, AND DISPOSING OF RECORDS IN THE SYSTEM:

STORAGE:

Information is retained manually in file folders.

RETRIEVABILITY:

Indexed by employee name.

SAFEGUARDS:

Records are kept in lockable file cabinets which are locked after office hours in areas of restricted access.

RETENTION AND DISPOSAL:

Records are kept for two years in active files and then are transferred to the Federal Records Center.

SYSTEM MANAGER(S) AND ADDRESS:

Director of Division of Personnel Programs and Services, Pension Benefit Guaranty Corporation, 2020 K Street, N.W., Washington, D.C. 20006.

NOTIFICATION PROCEDURE:

Procedures are detailed in PBGC regulations: 29 CFR Part 2607.

RECORD ACCESS PROCEDURES:

Same as notification procedure above.

CONTESTING RECORD PROCEDURES:

Same as notification procedure above.

RECORD SOURCE CATEGORIES:

Information is received from an employee who initiates a grievance, or against whom an adverse action is initiated, employee's supervisors, and other PBGC employees and from investigations and interviews.

[FR Doc. 79-38579 Filed 12-14-79; 8:45 am]

BILLING CODE 7708-01-M

SMALL BUSINESS CONFERENCE COMMISSION

White House Conference on Small Business

Small Business Conference Public Forum

January 14, 1980—2:00 p.m.–5:00 p.m., Sheraton Washington Hotel, 2660 Woodley Road, N.W., Washington, D.C.

Public Forum

Views on the future of small business in the national economy will be aired at public hearings scheduled by the White House Conference on Small Business on Monday, January 14, 1980 from 2:00 p.m.–5:00 p.m. at the Sheraton Washington Hotel.

The hearing, a part of the White House Conference's week-long activities, are intended to elicit positions and opinions relative to this broad subject area from organizations and the public. The White House Conference on Small Business was established in May 1978 by executive order of President Carter. Recommendations emanating from the Conference will be presented to the President within 60 days of these hearings.

The Conference program is organized around 12 major issue areas: Capital Formation and Retention, Minority Business Development, Economic Policy and Government Programs, Women in Business, Government Regulations and Paperwork, Inflation, International Trade, Federal Procurement, Education Training/Assistance, Innovation and Technology, Energy and Veterans in Business. Witnesses should focus their remarks within these issue areas.

The Conference is an important opportunity for citizens' organizations, public interest groups, labor and business representatives and state and local officials to recommend ways in which the private sector and government at all levels can work toward a better future for small business.

Those interested in testifying personally or in submitting written statements should communicate in writing no later than December 28, 1979 at 5:00 p.m. EST to: Ms. Elise Knapp, White House Conference on Small Business, 730 Jackson Place, N.W., Washington, D.C. 20006.

Dated: December 12, 1979.

Michael B. Kraft,

Deputy Advocate for Advisory Councils, U.S. Small Business Administration.

[FR Doc. 79-38569 Filed 12-14-79; 8:45 am]

BILLING CODE 8025-01-M

TENNESSEE VALLEY AUTHORITY

Phipps Bend-Pocket 500-kV Transmission Line; Finding of No Significant Impact

In accordance with section 102(2)(C) of the National Environmental Policy Act of 1969 (NEPA), and section V–B1 of the Tennessee Valley Authority's Procedures for Environmental Planning and Assessment (39 FR 5671–75 (1974)) and consistent with § 1501.4 of the Council on Environmental Quality Provisions for Implementing NEPA (43 FR 55,978–56,007 (1978)), the Tennessee Valley Authority (TVA) hereby gives notice that it has determined that the construction and operations of its portion (about 11 miles in length) of a 500–kV transmission line connection from TVA's Phipps Bend 500–kV Substation to Kentucky Utilities Company's Pocket 500–kV Substation (located in Lee County, approximately two miles north of Pennington Gap, Virginia), is not a major Federal action significantly affecting the quality of the human environment and an environmental statement is not necessary for this proposed action. TVA has prepared an environmental evaluation of the impacts related to this proposal and has identified measures to minimize the effects of construction and operation on the environment. The proposal is compatible with both regional and local planning and no significant adverse comments have been received from the public. The evaluation record also addresses Kentucky Utilities' portion of the transmission facilities.

This project is required in order to maintain acceptable operating voltage levels and to maximize electric power transfer capabilities between the two systems. Although the proposed transmission line route will traverse several floodplains and could require the installation of transmission structures within an area subject to flooding, TVA is of the opinion that neither the construction activities associated with their installation nor their presence will significantly impact the floodplain. TVA has determined that there are no practical alternate means to achieve the needed project purposes or practical alternative routes which would avoid traversing one or more of these floodplains, and that the proposed action is consistent with policies on Floodplain Management. TVA will assure in the construction of its facility that the floodplains will not be (1) irreparably damaged by construction activities; (2) altered significantly in volume and rate of flow; and (3) significantly reduced in flood stroage capacity. Should transmission line structures be located in a floodplain, for each foot of flood elevation less than one cubic foot of flood capacity per tower will be displaced.

A preannounced public meeting on this proposal was held at the city hall in Church Hill, Tennessee, on February 6, 1979. Information was presented concerning the project and TVA personnel answered questions from several of the approximately 100 people in attendance. No significant conflicts or environmental impacts related to this project were identified at the meeting or by any of the agencies contacted by TVA.

Copies of the environmental evaluation are available to the public by calling TVA's toll free Citizen Action Line at 1–800–362–9250 (inside Tennessee), 1–800–251–9242 (outside Tennessee), and 632–4100 in Knoxville or by contacting TVA's Information Office, 400 Commerce Avenue, Knoxville, Tennessee 37902.

Any questions or comments concerning this proposal should be directed to: Mohamed T. El-Ashry, Ph.D., Director of Envrionmental Quality, Forestry Building, Norris, Tennessee 37828.

No further action will be taken on this proposal before January 2, 1980, pending receipt of public comment.

Dated: December 5, 1979.

Mohamed T. El-Ashry,

Director of Environmental Quality.

[FR Doc. 79-38545 Filed 12-14-79; 8:45 am]

BILLING CODE 8120-01-M

Phipps Bend-Sullivan 500–kV No. 2 Transmission Line, Loop to Appalachian Electric Power Co.'s Substation; Finding of No Significant Impact

In accordance with section 102(2)(c) of the National Environmental Policy Act of 1969 (NEPA), and section V–B–1 of the Tennessee Valley Authority's Procedures for Environmental Planning and Assessment (39 FR 5617–75 (February 14, 1974)) and consistent with § 1501.4 of the Council on Environmental Quality Provisions for Implementing NEPA (43 FR 55978–56007 (November 29, 1978)), the Tennessee Valley Authority (TVA) hereby gives notice that it has determined that the construction and operation of a 500-kV transmission line connection from TVA's Phipps Bend 500-kV Substation to Appalachian Electric Power Company's Substation site (located in Stanley Valley, just south of the Virginia-Tennessee State line), is not a major Federal action significantly affecting the quality of the human environment and an environmental statement is not necessary for this proposed action.

The proposed route is approximately 6.3 miles in length and 300 feet wide and proceeds through and across Carter Valley, generally paralleling U.S. 11 West. This facility is required to maintain acceptable operating voltage levels and maximize electric power transfer capabilities between the two systems. TVA has prepared an environmental evaluation of the impacts related to this proposal and has identified measures to minimize the effects of contruction and operation on the environment. The proposal is compatible with both regional and local planning and is not considered controversial.

Copies of the environmental evaluation are available to the public by calling TVA's toll free Citizen Action Line at 1–800–362–9250 (inside Tennessee), 1–800–251–9242 (outside Tennessee), and 632–4100 in Knoxville or by contacting TVA's Information Office, 400 Commerce Avenue, Knoxville, Tennessee 37902.

Any questions or comments concerning this proposal should be directed to: Mohamed T. El-Ashry, Ph.D., Director of Environmental Quality Forestry Building, Norris, Tennessee 37828.

No further action will be taken on this proposal before January 2, 1980, pending receipt of public comment.

Dated: December 5, 1979.

Mohamed T. El-Ashry,

Director of Environmental Quality.

[FR Doc. 79-38546 Filed 12-14-79; 8:45 am]

BILLING CODE 8120-01-M

DEPARTMENT OF TRANSPORTATION

Federal Aviation Administration

First Commuter Air Carrier Safety Symposium

The Department of Transportation hereby announces the First Commuter Air Carrier Safety Symposium. This two day symposium will commence at 9 a.m. on January 16, 1980, at the Sheraton International Conference Center, 11810 Sunrise Valley Drive, Reston, Virginia 22091.

The purpose of this symposium is for the FAA to exchange safety ideas with the commuter industry and the public on operations, maintenance, training, security, and other issues touching on commuter air carrier operations under the purview of the revised Federal Aviation Regulation Part 135. This revised regulation was issued December 1, 1978, with the objective of upgrading the level of safety for operations conducted under this part by commuter air carriers, on demand air taxi operators and commercial operators. The commuters had until December 1, 1979, to upgrade their operations to meet the new safety requirements. However, FAA expects the commuters will have further refinements to make in their operations and maintenance programs over the next few months, and the symposium will give them a chance to discuss some of the problems expected to arise in adjusting to the new rules.

Following an opening morning session, the symposium will include an FAA presentation on Commuter Air Carrier Safety Issues, an Industry panel on Commuter Operations Overview, User/Government panels on: (1) Concerns of the Consumer, (2) Training and Proficiency Issues in Commuter Air Carrier Operations, and (3) Commuter Air Carrier Maintenance Issues and a Wrap-up session. All sessions will include a question and answer period and audience participation will also be included in the Wrap-up session. It is also planned to have a prominent speaker at the luncheon on each day.

Although the meeting is open to the public (space permitting) the hotel levies a per day rate of $18 per registrant which covers the cost of lunch and coffee breaks for that day. This rate is incorporated as a registration fee.

Further information concerning the symposium may be obtained from the Federal Aviation Administration, Office of Aviation System Plans, ASP–10, 800 Independence Avenue SW., Washington, D.C. 20591, telephone 202–426–3912.

Issued in Washington, D.C., on December 10, 1979.

Charles R. Foster,

Acting Associate Administrator for Aviation Standards.

[FR Doc. 79-38497 Filed 12-14-79; 8:45 am]

BILLING CODE 4910-13-M

Radio Technical Commission for Aeronautics (RTCA), Special Committee—136 Installation of Emergency Locator Transmitters (ELT) in Aircraft; Meeting

Pursuant to section 10(a) (2) of the Federal Advisory Committee Act (Pub. L. 92–463; 5 U.S.C. App. I) notice is hereby given of a meeting of RTCA Special Committee 136 on Installation of Emergency Locator Transmitters (ELT) in Aircraft to be held on January 8–9, 1980, in RTCA Conference Room 261, 1717 H Street NW., Washington, D.C. commencing at 9:30 a.m.

The Agenda for this meeting is as follows: (1) Chairman' introductory Remarks; (2) Approval of Minutes of Fifth Meeting held September 6–7, 1979; (3) Reports of Working Group Activities; (4) Review of Initial Draft of Committee Report; (5) Working Groups Meet in Separate Sessions; (6) Committee Plenary Session; and (7) Other Business.

Attendance is open to the interested public but limited to space available. With the approval of the Chairman, members of the public may present oral

statements at the meeting. Persons wishing to present oral statements or obtain information should contact the RTCA Secretariat, 1717 H Street NW., Washington, D.C. 20006; (202) 296–0484. Any member of the public may present a written statement to the committee at any time.

Issued in Washington, D.C. on December 7, 1979.

Karl F. Bierach,

Designated Officer.

[FR Doc. 79–38496 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–13–M

Research and Special Programs Administration

Applications for Renewal or Modification of Exemptions or Applications to Become a Party to an Exemption

AGENCY: Materials Transportation Bureau, D.O.T.

ACTION: List of applications for renewal or modification of exemptions or application to become a party to an exemption.

SUMMARY: In accordance with the procedures governing the application for, and the processing of, exemptions from the Department of Transportation's Hazardous Materials Regulations (49 CFR Part 107, Subpart B), notice is hereby given that the Office of Hazardous Materials Regulation of the Materials Transportation Bureau has received the applications described herein. This notice is abbreviated to expedite docketing and public notice. Because the sections affected, modes of transportation, and the nature of application have been shown in earlier **Federal Register** publications, they are not repeated here. Except as otherwise noted, renewal applications are for extension of the exemption terms only. Where changes are requested (e.g. to provide for additional hazardous materials, packaging design changes, additional mode of transportation, etc.) they are described in footnotes to the application number. Application numbers with the suffix "X" denote renewal; application numbers with the suffix "P" denote party to. These applications have been separated from the new applications for exemptions to facilitate processing.

DATES: Comment period closes January 2, 1980.

ADDRESSED TO: Dockets Branch, Information Services Division, Materials Transportation Bureau, U.S. Department of Transportation, Washington, D.C. 20590. Comments should refer to the application number and be submitted in triplicate.

FOR FURTHER INFORMATION: Copies of the applications are available for inspection in the Dockets Branch, Room 8426, Nassif Building, 400 7th Street SW., Washington, D.C.

Application No.	Applicant	Renewal of exemption
1862–X	Greer Hydraulics, Inc., City of Commerce, Calif.[1]	1862
2326–X	E. I. du Pont de Nemours & Co., Inc., Wilmington, Del.	2326
3302–X	NCG Industrial Gases, Chicago, Ill	3302
4390–X	MCB Manufacturing Chemists, Inc., Cincinnati, Ohio.	4390
4390–X	Eastman Kodak Company, Rochester, N.Y.	4390
4490–X	National Aeronautics and Space Administration, Washington, D.C.	4490
5022–X	Aerojet Solid Propulsion Company, Sacramento, Calif.	5022
5062–X	Dow Chemical Company, Freeport, Tex.[2]	5062
5243–X	E. I. du Pont de Nemours & Co., Inc., Wilmington, Del.	5243
5454–X	Air Products & Chemicals, Inc., Allentown, Pa.[3]	5454
5520–X	Pennwalt Corporation, Philadelphia, Pa.	5520
5520–X	Amchem Products, Inc., Ambler, Pa.	5520
5526–X	MCB Manufacturing Chemists, Inc., Cincinnati, Ohio.	5526
5854–X	Sea-Land Service, Inc., Elizabeth, N.J.	5854
6173–X	Publicker Industries, Inc., Greenwich, Conn.	6173
6173–X	Allied Chemical Corp., Morristown, N.J.	6173
6232–X	Department of the Army, Washington, D.C.[4]	6232
6614–X	FMC Corporation, Philadelphia, Pa.[5]	6614
6614–X	Georgia-Pacific Corp., Newport Beach, Calif.	6614
6629–X	Fenwal Incorporated, Ashland, Ma	6629
6720–X	Sea-Land Service, Inc., Elizabeth, N.J.	6720
6762–X	DuBois Chemicals, Cincinnati, Ohio	6762
6793–X	Container and Pressure Vessels Ltd., Monaghan, Ireland.[6]	6793
6913–X	Conoco Inc., Houston, Tex	6913
6969–X	State of Kansas, Topeka, Kans	6969
6974–X	Tavco, Inc., Chatsworth, Calif	6974
7060–X	Summit Airlines, Inc., Philadelphia, Pa.	7060
7060–X	Federal Express Corp., Memphis, Tenn.	7060
7280–X	Department of the Army, Washington, D.C.	7280
7409–X	Sea-Land Service, Inc., Elizabeth, N.J.	7409
7803–X	Plastican, Inc., Leominster, Mass	7803
7882–X	Dow Chemical Company, Midland, Mich.	7882
7890–X	Union Carbide Corp., Bound Brook, N.J.	7890
7895–X	Dow Corning Corp., Midland, Mich	7895
8136–X	Eastman Kodak Co., Rochester, N.Y.[7]	8136
8206–X	Rexnord, Inc., Milwaukee, Wis.[8]	8206
8207–X	Rexnord, Inc., Milwaukee, Wis.[8]	8207
8246–X	Honeywell, Inc., Minneapolis, Minn	8246
4453–P	Atlas Powder Co., Dallas, Tex	4453
5704–P	Hercules Inc., Wilmington, Del	5704
5792–P	Publicker Chemical Corp., Greenwich, Conn.	5792
5972–P	Quadrel Leasing Corp., Rahway, N.J.	5972
7835–P	Synthatron Corp., Parsippany, N.J	7835
7897–P	Eurotainer, Paris, France	7897
7952–P	White Chemical Corp., Bayonne, N.J.	7952
8229–P	Austin Powder Co., Cleveland, Ohio	8229
8240–P	Hoyer S.A.G.L., Chiasso, Switzerland.	8240
8273–P	Rocket Research Co., Redmond, Wash.	8273
8325–P	SLEMI, Paris, France	8325

[1] To authorize a newly designed seamless hydraulic accumulator for shipment of nitrogen.

[2] To authorize a new cargo tank design for the shipment of hydrogen chloride.

[3] To renew and authorize water as an additional mode of transportation.

[4] To authorize a second survival kit containing a butane lighter and a signal kit.

[5] To renew and to remove the restriction against interstate shipments transported by common carrier.

[6] To authorize uprating of the working pressure on containers presently authorized for shipment of various hazardous materials.

[7] Request authorization to ship acetic acid, glacial as additional commodity.

[8] To authorize water, cargo-only aircraft, and rail as additional modes of transportation.

[9] To authorize water, cargo-only aircraft, and rail as additional modes of transportation.

This notice of receipt of applications for renewal of exemptions and for party to an exemption is published in accordance with Section 107 of the Hazardous Materials Transportation Act (49 CFR U.S.C. 1806; 49 CFR 1.53(e)).

Issued in Washington, D.C., on December 10, 1979.

J. R. Grothe,

Chief, Exemptions Branch, Office of Hazardous Materials Regulation, Materials Transportation Bureau.

[FR Doc. 79–38439 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–60–M

Applications for Exemptions

AGENCY: Materials Transportation Bureau, D.O.T.

ACTION: List of Applicants for Exemptions.

SUMMARY: In accordance with the procedures governing the application for, and the processing of, exemptions from the Department of Transportation's Hazardous Materials Regulations (49 CFR Part 107, Subpart B), notice is hereby given that the Office of Hazardous Materials Regulations of the Materials Transportation Bureau has received the applications described herein.

DATES: Comment period closes January 16, 1979.

ADDRESS COMMENTS TO: Dockets Branch, Information Services Division, Materials Transportation Bureau, U.S. Department of Transportation, Washington, D.C. 20590.

Comments should refer to the application number and be submitted in triplicate.

FOR FURTHER INFORMATION: Copies of the application are available for inspection in the Dockets Branch, Room 8426, Nassif Building, 400 Seventh Street, S.W., Washington, D.C.

Each mode of transportation for which a particular exemption is requested is indicated by a number in the "Nature of Application" portion of the table below as follows: 1—Motor vehicle, 2—Rail freight, 3—Cargo vessel, 4—Cargo-only aircraft, 5—Passenger-carrying aircraft.

New Exemptions

Application No.	Applicant	Regulation(s) affected	Nature of exemption thereof
8323–N	Westerwalder Eisenwerk, Gerhard G.m.b.H., Weitefeld Sieg, West Germany.	49 CFR 173.136, 173.247, 173.249, 173.510, 173.605.	To authorize shipment of various flammable, corrosive, and ORM–A liquids in non-DOT specification IMCO Type I portable tanks. (Modes 1, 2, 3.)
8324–N	Rexnord, Inc., Milwaukee, Wis	49 CFR 173.245(a)(17), 175.3, 178.131.	To authorize shipment of certain corrosive liquids, n.o.s., in a 1 gallon tin can, placed in a molded polyethylene liner, overpacked in a modified 26 gauge unlined DOT Specification 37A 5-gallon steel drum containing a non-hazardous resin mix. (Modes 1, 3, 4.)
8325–N	Fauvet-Girel, Paris, France	49 CFR Part 173, Subparts D, F, and H.	To authorize shipment of various flammable, corroeive and poisonous liquids in non-DOT specification IMCO Type I portable tanks. (modes 1, 2, 3.)
8326–N	3M Company, St. Paul, Minn	49 CFR 173.3	To authorize shipment of packaged hazardous waste, classed as flammable liquids, overpacked in salvage drums. (Mode 1.)
8327–N	Dow Chemical Co., Midland, Mich	49 CFR 173.245	To authorize shipment of 4-Tertiary butyl catechol, classed as a corrosive liquid, n.o.s., in a DOT Specification 51 portable tank either stainless steel or poly lined. (Modes 1, 2, 3.)
8328–N	Rockwell international Canoga Park, Calif	49 CFR 173.301(h), 173.304 (a), (e), 173.305(c), 173.308(a)(3)(11), and (v), 175.3.	To authorize shipment of a Leak Plugging System containing a polystyrene foam mixture and three individual compressed gases (methyl chloride, carbon dioxide, and a refrigerant gas). (Modes 1, 3, 4.)
8329–N	Texas Instruments, Inc., Dallas, Tex	49 CFR 173.266(e)	To authorize shipment of up to 35% hydorgen peroxide in 200-gallon capacity portable tanks, complying with DOT Specification 57 except for marking, to be loaded and transported with other hazardous materials. (Mode 1.)
8330–N	General Dynamics, Pomona, Calif.; Flying Tiger Line, Inc., Los Angeles, Calif.	49 CFR 172.101	To authorize a one time shipment of ammunition for cannon, Class A and B explosives, which are not presently authorize for shipment by air. (Mode 4.)
8331–N	Department of the Army, Washington, D.C.	49 CFR 173.102, 173.108. 175.3	To authorize shipment of life support equipment (parachutes and signal devices) containing a minute quantity of Class C explosive overpacked in an aerosol delivery bag aboard passenger carrying aircraft. (Mode 5.)
8332–N	Drew Chemical Corp., Boonton, N.J	49 CFR 173.245, 173.276	To authorize shipment of hydrazine solutions and cleaning or rust preventing compounds in DOT Specification 57 portable tanks. (Mode 1.)
8334–N	Ford Aerospace & Communications Corp., Newport Beach, Calif.; Flying Tiger Line, Inc., Los Angeles, Calif.	49 CFR 172.101, 175.3	To authorize a one time shipment of Class A, B, and C explosives which are not presently authorize for shipment by air. (Modes 4.)
8335–N	Hughes Aircraft Co., El Segundo, Calif	49 CFR 173.336, 179.300–7	To authorize shipment of nitrogen tetroxide in non-DOT specification tank car tanks complying with DOT Specification 110A500W except for marking and material of construction. (Modes 1, 2.)
8336–N	Cities Service Co., Tulsa, Okla	49 CFR 173.315(a)(1), 173.315(c)(1).	To authorize shipment of certain compressed gases, n.o.s. (methane-ethane mixture) in DOT Specification MC–331 tank motor vehicles. (Mode 1.)
8337–N	Industrial & Municipal Engineering, Galva, Ill	49 CFR 173.119(a)(17), 173.245(a) (30), (31), 178.340–7, 178.342–5, 178.343–5.	To manufacture, mark and sell non-DOT specification cargo tanks for shipment of flammable or corroeive waste, liquid, or semi-solids. (Mode 1.)
8338–N	Dow Chemical Co., Midland, Mich	49 CFR 173.357(b)(3)	To authorize shipment of chloropicrin mixtures (containing no compressed gases nor poison A liquids) in DOT Specification 17C drums of 55-gallon capacity. (Modes 1, 2, 3.)
8339–N	Eastern Steel Barrel Corp., Piscataway, N.J	49 CFR Part 173, Subpart D, F, and H.	To manufacture, mark and sell non-DOT Specification 55-gallon capacity polyethylene containers for shipment of various liquid hazardous materials. (Modes 1, 2, 3.)
8340–N	Columbus Steel Drum Co., Blacklick, Ohio	49 CFR 173.28(o), 178.118–10(a)	To authorize conversion of non-DOT Specification tight head drum 18-guage steel 55-gallon drums to DOT Specification 17H except for location of markings for shipment of all commodities presently authorized in a DOT Specification 17H drum. (Modes 1, 2, 3, 4.)
8341–N	Pacific Coast Drum Co., South El Monte, Calif	49 CFR 173.28(o), 178.118–10(a)	To authorize conversion of non-DOT Specification tight head 18-guage steel 55-gallon drums to DOT Specification 17H except for location of markings for shipment of all commodities presently authorized in a DOT Specification 17H drum. (Modes 1, 2, 3, 4.)
8342–N	Great Lakes Chemical Corp., Southfield, Mich	49 CFR 173.28(o), 178.118–10(a)	To authorize conversion of non-DOT Specification tight head 18-guage steel 55-gallon drums to DOT Specification 17H except for location of markings for shipment of all commodities presently authorized in a DOT Specification 17H drum. (Modes 1, 2, 3, 4.)
8343–N	Westerwalder Eisenwerk, Gerhard G.m.b.H., Weitefeld Sieg, West Germany.	49 CFR 173, Subpart D and F	To authorize shipment of various flammable, combustible, and corroeive liquids in non-DOT Specification IMGO Type II portable tanks. (Modes 1, 2, 3.)
8344–N	All Sports Supply, Inc., Portland, Oreg	49 CFR 173.197a, 177.821(f)	To authorize certain packages of smokeless powder for small arms to be shipped as a flammable solid. (Mode 1.)

This notice of receipt of applications for new exemptions is published in accordance with Section 107 of the Hazardous Materials Transportation Act (49 CFR U.S.C. 1806; 49 CFR 1.53(e)).

Issued at Washington, D.C., on December 7, 1979.

J. R. Grothe,

Chief, Exemptions Branch,
Office of Hazardous
Materials Regulation, Materials Transportation Bureau.

[FR Doc. 79–38440 Filed 12–14–79; 8:45 am]

BILLING CODE 4910–60–M

VETERANS ADMINISTRATION

Station Committee on Educational Allowances; Meeting

Notice is hereby given pursuant to Section V, Review Procedure and Hearing Rules, Station Committee on Educational Allowances that on January 9, 1980, at 1:00 p.m., the Winston-Salem Veterans Administation Regional Office Station Committee on Educational Allowances shall at Room 609, Federal Building, 251 North Main Street, Winston-Salem, North Carolina, conduct a hearing to determine whether Veterans Administration benefits to all eligible persons enrolled in Jefferson College, Greensboro, North Carolina, should be discontinued, as provided in 38 C.F.R. 21.4207, because a requirement of law is not being met or a provision of the law has been violated. All interested persons shall be permitted to attend, appear before, or file statements with the committee at that time and place.

Dated: December 7, 1979.

Kenneth E. McDonald,

Director, Veterans Administration Regional Office.

[FR Doc. 79-38576 Filed 12-14-79; 8:45 am]

BILLING CODE 8320-01-M

INTERSTATE COMMERCE COMMISSION

[Ex Parte No. 311]

Expedited Procedures for Recovery of Fuel Costs

Decided: December 11, 1979.

In our decision of November 13, 20, 27, and December 4, 1979, a 10-percent surcharge was authorized on all owner-operator traffic, and on all truckload traffic whether or not owner-operators were employed. We ordered that all owner-operators were to receive compensation at this level.

Although the weekly figures set forth in the appendix for transportation performed by owner-operators and for truckload traffic is 10.4 percent, we are authorizing that the 10-percent surcharge on this traffic remain in effect. All owner-operators are to continue to receive compensation at the 10-percent level. In addition, no change will be made in the existing authorization of a 1.8 percent surcharge on less-than-truckload (LTL) traffic performed by carriers not utilizing owner-operators. However, we are authorizing a 3.9 percent surcharge for the bus carriers.

Notice shall be given to the general public by mailing a copy of this decision to the Governor of each State and to the Public Utilities Commissions or Boards of each State having jurisdiction over transportation, by depositing a copy in the Office of the Secretary, Interstate Commerce Commission, Washington, D.C. for public inspection, and by delivering a copy to the Director, Office of the Federal Register, for publication therein.

It is ordered: This decision shall become effective Friday, 12:01 a.m., December 14, 1979.

By the Commission, Chairman O'Neal, Vice Chairman Stafford, Commissioners Gresham, Clapp, Christian, Trantum, Gaskins, and Alexis.

Agatha L. Mergenovich,

Secretary.

Appendix—Fuel Surcharge

Base date and price per gallon (including tax)

January 1, 1979 ..... 63.5¢

Date of current price measurement and price per gallon (including tax)

December 10, 1979 ..... 102.5¢

	(1) From transportation performed by owner-operators [1]	(2) Other [2]	(3) Bus carriers
Average percent: Fuel expenses (including taxes) of total revenue	16.9	2.9	6.3
Percent surcharge developed	10.4	1.8	3.9
Percent surcharge allowed	10.0	1.8	3.9

[1] Apply to all truckload rated traffic.
[2] Including less-truckload traffic.

[FR Doc. 79-38500 Filed 12-14-79; 8:45 am]

BILLING CODE 7035-01-M

Fourth Section Application for Relief

December 12, 1979.

This application for long-and-short-haul relief has been filed with the I.C.C.

Protests are due at the I.C.C. within 15 days from the date of publication of this notice.

FSA No. 43778, joint rail/water rates on general commodities, in containers, from rail stations in Texas and Oklahoma, to Ports in Singapore and Indonesia, via rail interchange at Los Angeles and San Francisco, CA, in Hoegh Lines A.S. Tariff ICC HOLU 700, to become effective December 30, 1979. Grounds for relief—water competition.

By the Commission.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38501 Filed 12-14-79; 8:45 am]

BILLING CODE 7035-01-M

[Notice No. 213]

Motor Carrier Temporary Authority Applications

November 20, 1979.

The following are notices of filing of applications for temporary authority under Section 210a(a) of the Interstate Commerce Act provided for under the provisions of 49 CFR 1131.3. These rules provide that an original and six (6) copies of protests to an application may be filed with the field official named in the **Federal Register** publication no later than the 15th calendar day after the date the notice of the filing of the application is published in the **Federal Register.** One copy of the protest must be served on the applicant, or its authorized representative, if any, and the protestant must certify that such service has been made. The protest must identify the operating authority upon which it is predicated, specifying the "MC" docket and "Sub" number and quoting the particular portion of authority upon which it relies. Also, the protestant shall specify the service it can and will provide and the amount and type of equipment it will make available for use in connection with the service contemplated by the TA application. The weight accorded a protest shall be governed by the completeness and pertinence of the protestant's information.

Except as otherwise specifically noted, each applicant states that there will be no significant effect on the quality of the human environment resulting from approval if its application.

A copy of the application is on file, and can be examined at the Office of the Secretary, Interstate Commerce Commission, Washington, D.C., and also in the ICC Field Office to which protests are to be transmitted.

Note.—All applications seek authority to operate as a common carrier over irregular routes except as otherwise noted.

Motor Carriers of Property

Notice No. 213

November 20, 1979.

MC14215 (Sub-76TA), filed September 24, 1979. Applicant: SMITH TRUCK SERVICE, INC., 1118 Commercial, Mingo Junction, OH 43938. Representative: A. Charles Tell, 100 E. Broad St., Columbus, OH 43215. *Iron and steel articles,* from the facilities of Connor Steel Co. at Huntington, WV to points in IL, IN, MI, OH, PA, and MD, and *(2) materials and supplies used in the manufacture of the commodities specified in (1) above,* from points in IL, IN, MI, OH, PA, and MD to the facilities of Connor Steel Co. at Huntington, WV for 180 days. Supporting shipper: Connor Steel Co., P.O. Box 118, Huntington, WV 25706. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 29555 (Sub-102TA), filed October 4, 1979. Applicant: BRIGGS TRANSPORTATION CO., N. 400 Griggs-Midway Bldg., St. Paul, MN 55104. Representative: Stephen F. Grinnell, same address as applicant. *Common carrier:* regular routes: *General commodities, except those of unusual value, livestock, Class A & B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment, and those injurious or contaminating to other lading* serving Mt. Vernon, IN as an off-route point in connection with applicant's authorized regular route operations, for 180 days. An underlying ETA seeks 90 days authority. Applicant requests authority to interline at Chicago & Rockford, IL; Cincinnati, OH; Louisville, KY; and St. Paul, MN and to tack this authority with authority it presently holds in No. MC-29555 Sub-No. 88. Supporting shipper: There are 7 statements of support attached to this application which may be examined at the ICC in Washington, DC or the field office named below. Send protests to: Judith L. Olson, TA, ICC, 414 Fed. Bldg., 110 S. 4th St., Minneapolis, MN 55401.

MC 30374 (Sub-29TA), filed November 1, 1979. Applicant: TRI-STATE TRANSPORTATION CO., INC., PO Box 488, Bellmawr, NJ 08031. Representative: Michael R. Werner, PO Box 1409, 167 Fairfield Road, Fairfield, NJ 07006. *Wearing apparel, on hangerrs and in cartons and materials, supplies and equipment used in the manufacture of wearing apparel (except commodities in bulk)* Between Secaucus, NJ on the one hand, and on the other, Buffalo, NY, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: M. Wile & Co., Inc. 2020 Elmwood Avenue, Buffalo, NY 14207. Send protests to: Joel Morrow, D/S, ICC, 744 Broad St., Room 522, Newark, NJ 07102.

MC 50935 (Sub-28TA), filed October 3, 1979. Applicant: WOLVERINE TRUCKING COMPANY, 1020 Doris Road, Pontiac, MI 48057. Representative: Robert E. McFarland, 999 West Big Beaver Road, Suite 1002, Troy, MI 48084. *Malt beverages,* from St. Paul, MN, and the commercial zone thereof to Toledo, OH for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Seaway Beverage Company, 3917 Imlay Street, Toledo, OH 43612. Send protests to: Annie Booker, TA, ICC, 219 S. Dearborn, Room 1386, Chicago, IL 60604.

MC 59655 (Sub-34TA), filed October 30, 1979. Applicant: SHEEHAN CARRIERS, INC., 62 Lime Kiln Road, Suffern, NY 10901. Representative: George A. Olsen, P.O. Box 357, Gladstone, NJ 07934. *Glass Containers and accessories,* from Charlotte, MI to Williamsburg, VA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Owens-Illinois, Inc., Glass Container Division, P.O. Box 1035, Toledo, OH 43666. Send protests to: Maria B. Kejss, Transportation Assistant, Interstate Commerce Commission, 26 Federal Plaza, New York, NY 10007.

MC 59655 (Sub-35TA), filed October 26, 1979. Applicant: SHEEHAN CARRIERS, INC., 62 Lime Kiln Road, Suffern, NY 10901. Representative: George A. Olsen, POB 357, Gladstone, NJ 07934. *Malt beverages and related advertising materials, and materials, equipment, and supplies used in the manufacture and sale of malt beverages,* between points in Onondaga and Oswego Counties, NY, on the one hand, and, on the other points in the state of MI; for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Miller Brewing Company, 3939 W. Highland Blvd., Milwaukee, WI 53208. Send protests to: Maria B. Kejss, Transportation Assistant, Interstate Commerce Commission, 26 Federal Plaza, New York, NY 10007.

MC 59655 (Sub-36TA), filed October 31, 1979. Applicant: SHEEHAN CARRIERS, INC., 62 Lime Kiln Road, Suffern, NY 10901. Representative: George A. Olsen, PO Box 357, Gladstone, NY 07934. *Containers* between Liverpool and Syracuse, NY and its commercial zone on the one hand, and on the other, Needham Heights and Boston, MA and its commercial zone, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: American Can Company, American Lane, Greenwich, CT 06830. Send protests to: Maria B. Kejss, Transportation Assistant, Interstate Commerce Commission, 26 Federal Plaza, New York, NY 10007.

MC 59655 (Sub-37TA), filed October 31, 1979. Applicant: SHEEHAN CARRIERS, INC., 62 Lime Kiln Road, Suffern, NY 10901. Representative: George A. Olsen, PO Box 357, Gladstone, NJ 07934. *Glass containers and accessories,* from the warehouse facilities of Owens-Illinois Inc. located in Onondaga and Oswego Counties, NY to Merrimack, NH and Williamsburg, VA; for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Owens-Illinois, Inc., PO Box 1035, Toledo, OH 43666. Send protests to: Maria B. Kejss, Transportation Assistant, Interstate Commerce Commission, 26 Federal Plaza, New York, NY 10007.

MC 61825 (Sub-116TA), filed September 21, 1979. Applicant: ROY STONE TRANSFER CORP., V.C. Drive, P.O. Box 385, Collinsville, VA 24078. Representative: John D. Stone (same as applicant). *Glass containers and container accessories* from Oswego and Syracuse, NY to Eden, Midway, Winston-Salem, NC and Williamsburg, VA and from S. Volney, NY to Winston-Salem, NC and Williamsburg, VA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Owens-Illinois, Inc., P.O. Box 1035, Toledo, OH 43666. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 61955 (Sub-27TA), filed August 24, 1979. Applicant: Centropolis Transfer Co, Inc., 701 North Sterling, Suger Creek, MO 64054. Representative: Frank W. Taylor, Jr., Suite 600, 1221 Baltimore Ave., Kansas City, MO 64105. Cement, in bulk, from the facilities of Missouri Portland Cement, Kansas City, MO to Redfield, AR and points within 10 miles thereof, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Missouri Portland Cement Company, 7711 Carondelet Avenue, St. Louis, MO 63105. Send protests to: Vernon V. Coble, District Supervisor, 600 Federal Building, 911 Walnut Street, Kansas City, MO 64106.

MC 69224 (Sub-45TA), filed October 23, 1979. Applicant: H & W MOTOR EXPRESS COMPANY, 3000 Elm St., Dubuque, IA 52001. Representative: James E. Ballenthin, 630 Osborn Bldg., St. Paul, MN 55102. *Batteries and packaged acid solutions* from Manchester, IA, to Horicon and Milwaukee, WI, and points in their respective commercial zones, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Prestolite Battery Division, P.O. Box 931, Toledo, OH 43694. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 69224 (Sub-46TA), filed October 23, 1979. Applicant: H & W MOTOR EXPRESS COMPANY, 3000 Elm St., Dubuque, IA 52001. Representative: James E. Ballenthin, 630 Osborn Bldg., St. Paul, MN 55102. *Iron castings* from

Marshalltown, IA, to Milwaukee and Racine, WI, and points in their commercial zones, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Gra-Iron Foundry Corporation, 501 South 12th Ave., Marshalltown, IA 50158. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 81495 (Sub-6TA), filed October 1, 1979. Applicant: GRAYPORT TRANSFER & STORAGE CO., INC., P.O. Box 1499, 500 South Alder, Aberdeen, WA 98520. Representative: George Kargianis, 2120 Pacific Building, Seattle, WA 98104. *Wood pulp in bales and rolls,* between Cosmopolis, WA on the one hand and Everett, Seattle, Tacoma, Longview, WA and Portland, OR and those points on the U.S.-Canada International border at or near Blaine and Sumas, WA on the other, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Weyerhaeuser Company, Tacoma, WA 98401. Send protests to: Shirley M. Holmes, T/A, ICC, 858 Federal Building, Seattle, WA 98174.

MC 85255 (Sub-69TA), filed August 17, 1979. Applicant: PUGET SOUND TRUCK LINES, INC., P.O. Box 24526 (3720 Airport Way So.), Seattle, WA 98124. Representative: James F. Walker, 3720 Airport Way So., Seattle, WA 98134. *Acids and chemicals, excluding commodities in bulk,* between Kalama, WA and Seattle, Tacoma, Everett, Longview, Vancourver, WA and Portland, OR, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Kalama Chemical, Inc., Suite 1110, Bank of Calif. Center, Seattle, WA 98164. Send protests to: Shirley M. Holmes, T/A, ICC, 858 Federal Building, Seattle, WA 98174.

MC 98864 (Sub-6TA), filed October 2, 1979. Applicant: EDWARD SITAR TRUCKING CO., INC., 2501 South Artesian, Chicago, IL 60608. Representative: H. Neil Garson, 3251 Old Lee Highway, Fairfax, VA 22030. *Batteries, battery trays and battery parts,* between the plant site of the K W Battery Co. at Skokie, IL on the one hand, and on the other points in: IN, IA, KY, MI, MN, OH and WI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: K W. Battery Company, 3555 Howard St., Skokie, IL 60076. Send protests to: Annie Booker, TA, ICC, 219 S. Dearborn, Room 1386, Chicago, IL 60604.

MC 99234 (Sub-17TA), filed October 9, 1979. Applicant: WESTWAY MOTOR FREIGHT, INC., 5231 Monroe St., Denver, CO 80216. Representative: Leslie R. Kehl, 1600 Lincoln Center, 1660 Lincoln St., Denver, CO 80264. *Foodstuffs* from Delta, CO to points in AZ, CA, NM, OK, UT and TX for 180 days. ETA filed seeking 90 days authority. Supporting shipper: Skyland Foods Corporation, Delta, CO 81416. Send protests to: R. Buchanan, 492 U.S. Customs House, Denver, CO 80202.

MC 106074 (Sub-134TA), filed October 9, 1979. Applicant: B AND P MOTOR LINES, INC., Shiloh Road and US Hwy. 221 South, Forest City, NC 28043. Representative: Clyde W. Carver, P.O. Box 720434, Atlanta, GA 30328. *(1) Foodstuffs, pet foods, and animal feeds, (2) such commodities that are used in the processing, milling, packaging, manufacturing or sale of foodstuffs, pet foods, and animal feeds (except commodities in bulk, in tank vehicles)* between points in the US in and east of ND, SD, NE, CO, OK and TX. Restricted to transportation of traffic originating at or destined to the facilities of Carnation Company, for 180 days. Supporting shipper: Carnation Company, 5045 Wilshire Blvd., Los Angeles, CA 90036. Send protests to: Sheila Reece, TA, 800 Briar Creek Rd—Rm CC516, Charlotte, NC 28205.

MC 106775 (Sub-43TA), filed October 23, 1979. Applicant: ATLAS TRUCK LINE, INC., P.O. Box 9848, Houston, TX 77015. Representative: Hugh R. Arnold (same as applicant). *Iron or steel pipe, tubing or conduit, other than oilfield pipe,* from Houston, TX to Lone Star, TX and points within 5 miles of Lone Star, TX, restricted to shipments having prior movements in interstate commerce, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Lone Star Steel Company, P.O. Box 35888, Dallas, TX 75235. Send protests to: John F. Mensing, DS, ICC, 515 Rusk Ave. #8610, Houston, TX 77002.

MC 107064 (Sub-137TA), filed October 3, 1979. Applicant: STEERE TANK LINES, INC., P.O. Box 220998, Dallas, TX 75222. Representative: Hugh T. Matthews, 2340 Fidelity Union Tower, Dallas, TX 75201. *Sodium sulfate, in bulk* from the plantsite and facilities of Ozark-Mahoning Co. at or near Seagraves and Brownfield, TX to points in the states of AL, AR, CO, GA, FL, IL, IN, IA, KS, LA, MD, MI, MN, MS, MO, NE, NY, OH, OK, TN, and WI for 180 days. Underlying ETA. Supporting shipper(s): Ozark-Mahoning Co., 1870 South Boulder St., Tulsa, OK 74119. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Ft. Worth, TX 76102.

MC 107064 (Sub-138TA), filed November 2, 1979. Applicant: STEERE TANK LINES, INC., P.O. Box 220998, Dallas, TX 75222. Representative: Hugh T. Matthews, 2340 Fidelity Union Tower, Dallas, TX 75201. *Nitrogen compounds, in bags,* from points in Eddy County, New Mexico to points in Utah and Wyoming for 180 days. Underlying ETA for 90 days has been filed. Supporting shipper(s): N-Ren Southwest, Post Office Drawer H, Carlsbad, NM 88220. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Ft. Worth, TX 76102.

MC 107515 (Sub-1296TA), filed October 9, 1979. Applicant: REFRIGERATED TRANSPORT CO., INC., P.O. Box 308, Forest Park, GA 30050. Representative: David I. Funk, 3390 Peachtree Road, N.E., 5th Floor-Lenox Towers South, Atlanta, GA 30328. *Foodstuff* from the facilities of J. Hungerford Smith Co., Inc., at or near Humboldt, TN, to points in the United States (except AK and HI) for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): J. Hungerford Smith Co., Inc., 1500 North Central Avenue, Humboldt, TN 38343. Send protests to: Sara K. Davis T/A, ICC 1252 W. Peachtree St., NW, Room 300, Atlanta, GA 30309.

MC 107934 (Sub-33TA), filed October 31, 1979. Applicant: BYRD MOTOR LINE, INCORPORATED, Hargrave Rd., Box 787, Lexington, NC 27292. Representative: John R. Sims, Jr., 915 Pennsylvania Bldg., 425 13th St., NW, Washington, DC 20004. *Soybean oil (except commodities in bulk in tank vehicles)* from Louisville, KY to Lexington, NC and return or rejected shipments from Lexington, NC to Louisville, KY, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): PPG Industries, Inc., P.O. Box 949, Lexington, NC 27292. Send protests to: Sheila Reece, T/A 800 Briar Creek Rd-Rm CC516, Charlotte, NC 28205.

MC 107934 (Sub-34TA), filed October 31, 1979. Applicant: BYRD MOTOR LINE, INCORPORATED, Hargrave Rd., Box 787, Lexington, NC 27292. Representative: John R. Sims, Jr., 915 Pennsylvania Bldg., 425 13th St., NW, Washington, DC 20004. *Paper forming tubes* from Donalds, SC and Minerva, OH to Lexington, NC and return or rejected shipments from Lexington, NC to Donalds, SC and Minerva, OH for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): PPG Industries, Inc., Works 53, P.O. Box 949, Lexington, NC 27292. Send protests to: Sheila Reece, T/A 800 Briar Creek Rd-Rm CC516, Charlotte, NC 28205.

MC 109124 (Sub-94TA), filed October 15, 1979. Applicant: SENTLE TRUCKING CORPORATION, P.O. Box 7850, Toledo, OH 43619. Representative: James M. Burtch, 100 E. Broad St., Suite 1800, Columbus, OH 43215. *Lime* in bulk, from Huron, OH to points in IL, IN, KY, MI, PA and WV, for 180 days. Supporting shipper: Federal Lime & Stone Company, 20600 Chagrin Blvd., Room #420, Shaker Heights, OH 44122. Send protests to: ICC, Fed. Res. Bank Bldg., 101 N. 7th St, Rm. 620, Phila., PA 19106.

MC 109584 (Sub-201TA), filed October 26, 1979. Applicant: ARIZONA PACIFIC TANK LINES, 3980 Quebec St., P.O. Box 7240, Denver, CO 80207. Representative: Rick Barker (same address as applicant). *Meat fats and tallow,* in bulk, in tank vehicles from San Angelo, TX to points in AZ and CA for 180 days. Underlying ETA filed seeking 90 days authority. Supporting shipper: San Angelo By-Products, P.O. Box 631, San Angelo, TX 76902. Send protests to: R. Buchanan, 492 U.S. Customs House, Denver, CO 80202.

MC 109584 (Sub-202TA), filed October 26, 1979. Applicant: ARIZONA PACIFIC TANK LINES, 3980 Quebec St., P.O. Box 7240, Denver, CO 80207. Representative: Rick Barker (same address as applicant). *Sodium hydrosulfide,* in bulk, in tank vehicles, from Los Angeles, CA to Sahuarita, AZ for 180 days. Underlying ETA filed seeking 90 days authority. Supporting shipper: Kerley Chemical Co., 2801 W. Osborn St., Phoenix, AZ. Send protests to: R. Buchanan, 492 U.S. Customs House, Denver, CO 80202.

MC 111434 (Sub-103TA), filed October 22, 1979. Applicant: DON WARD, INC., 241 W. 56th Ave., Denver, CO 80216. Representative: Susan B. Price, 1700 Western Federal Bldg., Denver, CO 80202. *Industrial sand* from points in CO to points in KS, OK, TX, NM, UT, WY, NE and MT, for 180 days. Supporting shipper: Fountain Sand and Gravel Company, P.O. Box 535, Pueblo, CO 81002. Send protests to: R. Buchanan, 492 U.S. Customs House, Denver, CO 80202.

MC 111545 (Sub-297TA), filed September 28, 1979. Applicant: HOME TRANSPORTATION COMPANY, INC., P.O. Box 6426, Station A, Marietta, GA 30065. Representative: Robert E. Born, P.O. Box 6426, Station A, Marietta, GA 30065. *(1) Tractors; (2) industrial, construction and material handling equipment; and (3) parts and attachments for (1) and (2) above,* from Terre Haute, IN to AZ, CA, FL, GA, NM, NV, NC, OK, SC, TX, and TN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: J. I. Case Company, 700 State Street, Racine, WI 53404. Send protests to: Sara K. Davis T/A, ICC, 1252 W. Peachtree St., NW, Room 300, Atlanta, GA 30309.

MC 111545 (Sub-298TA), filed October 23, 1979. Applicant: HOME TRANSPORTATION COMPANY, INC., P.O. Box 6426, Station A, Marietta, GA 30065. Representative: Robert E. Borm, P.O. Box 6426, Station A, Marietta, GA 30065. *Mag-coke in drums,* from the facilities of American Cast Iron Pipe at or near Birmingham, AL to Silvis, IL; East Chicago, IN; and St. Paul, MN for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): American Cast Iron Pipe Company, 2930 16th Street, Birmingham, AL 35202. Send protests to: Sara K. Davis, ICC, 1252 W. Peachtree St., N.W., Rm. 300, Atlanta, GA 30309.

MC 112304 (Sub-215TA), filed October 4, 1979. Applicant: ACE DORAN HAULING & RIGGING CO., 1601 Blue Rock St., Cincinnati, OH 45223. Representative: John D. Herbert (same as applicant). *Iron and steel articles* from the facilities of New York Wire Mills Corp., at or near Tonawanda, NY to points in IL, IN, KY, MD, MI, MN, MO, NJ, ND, OH, PA, and WI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): New York Wire Mills Corp., 3937 River Road, Tonawanda, NY 14150. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila. PA 19106.

MC 112304 (Sub-216TA), filed October 9, 1979. Applicant: ACE DORAN HAULING & RIGGING CO., 1601 Blue Rock St., Cincinnatai, OH 45223. Representative: John D. Herbert (same as applicant). *Iron and steel articles* from Baytown, TX, to points in the states of AL, FL, GA and TN, for 180 days. Supporting shipper(s): United States Steel Corp., 600 Grant St., Pittsburgh, PA 15230. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila. PA 19106.

MC 116254 (Sub-297TA), filed October 31, 1979. Applicant: CHEM-HAULERS, INC., 118 East Mobile Plaza, Florence, AL 35630. Representative: M. D. Miller (same address as above). *Cullet,* in dump vehicles, from Cedar Rapids, IA and Des Moines, IA, to MN, IL, and IN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Champion Cullett, P.O. Box K, Champion, PA 15622. Send protests to: Mabel E. Holston, T.A., I.C.C., Room 1616—2121 Building, Birmingham, AL 35203.

MC 117574 (Sub-340TA), filed September 26, 1979. Applicant: DAILY EXPRESS, INC., 1076 Harrisburg Pike, P.O. Box 39, Carlisle, PA 17013. Representative: E. S. Moore, Jr. (same as applicant). *Cranes, excavators, and self-propelled industrial and construction equipment between points in* the U.S. (except AK and HI), restricted to the transportation of shipments originating at or destined to the facilities owned or used by Markim, Inc. for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Markim, Inc., 11700 Roosevelt Blvd., Phila., PA 19116. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 119555 (Sub-25TA), filed October 31, 1979. Applicant: OIL AND INDUSTRY SUPPLIERS LTD., P.O. Box 3500, Calagary, AB, Canada T2P 2P9. Representative: D. S. Vincent (same address as applicant) *Alcohol (NOS), in bulk, in tank vehicles,* from ports of entry on the U.S.-Canada International Boundary line located in MI to Plainfield, IL, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): McGuinness Distillers Limited, 2 Algoma St., Toronto, ON, Canada M8Y 1B9. Send protests to: Paul J. Labane, DS, ICC, 2602 First Avenue North, Billings, MT 59101.

MC 119765 (Sub-94TA), filed October 26, 1979. Applicant: EIGHT WAY XPRESS, INC., 5402 South 27th Street, Omaha, NE 68107. Representative: Arlyn L. Westergren, Suite 106, 7101 Mercy Road, Omaha, NE 68106. *Fire retardent chemicals, in bags* from Phoenix, AZ to points in IL, IA, KS, KY, MI, ND, OR, SD and WI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): H.J.H. Insulation Chemical, Inc., James R. Blasius, President, 2229 East Magnolia, Phoenix, AZ. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 119974 (Sub-88TA), filed October 1, 1979. Applicant: L. C. L. TRANSIT COMPANY, 949 Advance St., Green Bay, WI 54305. Representative: L. F. Abel, P.O. Box 949, Green Bay, Wi 54305. *Packinghouse products,* in bulk, in tank vehicles, from the plantsites and storage facilities of Lauridsen Foods, Inc., at or near Britt, IA to IL, IN, IA, KY, MI, MN, MO, OH & WI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Armour & Company, Greyhound Tower, Phoenix, AZ 85077. Send protests to: John E. Ryden, DS, ICC, 517 E. Wisonsin Ave., Rm 619, Milwaukee, WI 53202.

MC 120675 (Sub-11TA), filed October 10, 1979. Applicant: ACME TRUCK LINE, INC., P.O. Box 183, Harvey, LA 70059. Representative: Paul D. Angenend, P.O. Box 2207, Austin, TX 78767. *Iron and steel articles* from Baytown, TX to points in AL, AR, FL, GA, LA, MS, and TN, for 180 days. Supporting shipper(s): United States Steel Corporation, 600 Grant St.,

Pittsburgh, PA 15230. Send protests to: Robert J. Kirspel, DS, ICC, T–9038 Federal Bldg., 701 Loyola Ave., New Orleans, LA 70113.

MC 123194 (Sub-11TA), filed October 9, 1979. Applicant: ENTERPRISE TRUCK LINE, INC., 1336 West 15th Avenue, Gary, IN 46406. Representative: Anthony E. Young, 29 South LaSalle Street, Suite 350, Chicago, IL 60603. *Meats, meat products, meat by-products, and articles distributed by meat packing houses as described in Sections A, B & C of Appendix I to the Report in Descriptions in Motor Carrier Certificates, 61 MCC 209 and 706 (except hides and commodities in bulk, in tank vehicles),* from the facilities of Peet Packing, Inc. located at or near Chesaning, MI to points in IL and IN for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Peet Packing, Inc., 1100 North Line Street, Chesaning, MI 48616. Send protests to: Annie Booker, TA, ICC, 219 S. Dearborn, Room 1386, Chicago, IL 60604.

MC 124174 (Sub-161TA), filed October 11, 1979. Applicant: MOMSEN TRUCKING CO., 13811 "L" Street, Omaha, NE 68137. Representative: Karl E. Momsen (same address as applicant). *Composition boards and wood fiber products* from the facilities of The United States Gypsum Co. at Auburn, ME to points in AL, AR, FL, GA, IL, IN, IA, KS, KY, LA, MI, MN, MS, MO, NE, ND, OH, OK, SC, SD, TN, TX, and WI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): United States Gypsum Company, Russell S. Hancock, Traffic Manager, 101 South Wacker Drive, Chicago, IL 60606. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 124835 (Sub-25TA), filed October 10, 1979. Applicant: PRODUCERS TRANSPORT CO., P.O. Box 4022, Chattanooga, TN 37405. Representative: David K. Fox (same address as applicant). *Sodium sulfate,* from Lowland, TN, to all points in AL, GA, KY, NC, SC, TN, and VA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): International Salt Co., 1600 Tullie Circle, N.E., Suite 133, Atlanta, GA 30329. Send protests to: Glenda Kuss, TA, ICC, Suite A–422, U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 125335 (Sub-87TA), filed October 9, 1979. Applicant: GOODWAY TRANSPORT, INC., P.O. Box 2283, York, PA 17405. Representative: Gailyn L. Larsen, P.O. Box 82816, Lincoln, NE 68528. *Confectionery* from the facilities of Wilbur Chocolate Co., Inc. at or near Lititz, PA to points in IN, IL, WI, MN, IA, NE, KS, CO, OK, TX, and OH for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Wilbur Chocolate Co., Inc., 48 N. Broad St., Lititz, PA 17543. Send protests to: ICC, Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 128685 (Sub-34TA), filed October 9, 1979. Applicant: DIXON BROS., INC., P.O. Drawer No. 8, Newcastle, WY 82701. Representative: Jerome Anderson, Attorney at Law, 100 Transwestern Building, Billings, MT 59101. (a) *Lubricating oil* in containers from Ponca City, OK to Gillette, WY; (b) *Anti Freeze* in containers from Omaha, NE to Gillette, WY; (c) *Empty Barrels* from Gillette, WY to Kansas City, MO and Tulsa, OK, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Northeastern Oil Co., Inc., P.O. Box 964, Gillette, WY 82716. Send protests to: District Supervisor Paul A. Naughton, Interstate Commerce Commission, Rm. 105, Federal Building & Court House, 111 South Wolcott, Casper, WY 82601.

MC 129124 (Sub-26TA), filed September 29, 1979. Applicant: SAMUEL J. LANSBERRY, INC., P.O. Box 58, Woodland, PA 16881. Representative: Herbert R. Nurick, P.O. Box 1166 (100 Pine St). Harrisburg, PA 17108. *Coal, in bulk in dump vehicles,* from Snow Shoe Township, Centre County, PA to the facilities of Joseph E. Seagram & Sons, Inc. at or near Relay, MD, and *Fly ash, in dump vehicles in bulk,* from said facilities to Snow Shoe Township, Centre County, PA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Basic Energies, Inc., 414 Main St., Reynoldsville, PA 15851; Joseph E. Seagram & Sons, Inc., P.O. Box 208, Relay, MD 21203. Send protests to: ICC, Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 133095 (Sub-280TA), filed October 30, 1979. Applicant: TEXAS CONTINTENTAL EXPRESS, INC., P.O. Box 434, Euless, TX 76039. Representative: Rocky Moore, P.O. Box 434, Euless, TX 76039. *Fresh Meats* from Shreveport, LA to New York, NY, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): John Morrell and Co., 208 South LaSalle St., Chicago, IL 60604.Send protests to: Marianne Minnich, TCS, Interstate Commerce Commission, Rm. 9A27 Federal Bldg., 819 Taylor St., Fort Worth, TX 76102.

MC 133805 (Sub-38TA), filed October 3,, 1979. Applicant: LONE STAR CARRIERS, INC., Rt. 1, Box 48, Tolar, TX 76476. Representative: Harry F. Horak, Suite 115, 5001 Brentwood Stair Rd., Ft. Worth, TX 76112. *Frozen processed boxed meat* from facilities of Prepared Foods, Inc. at or near El Paso, TX to points in CO, UT, ID, MT, OR, WA, and all point in US east of the states of ND, SD, NE, KS, OK, and TX for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Prepared Food, Inc., P.O. Box 26918, El Paso, TX 79926. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Ft. Worth, TX 76102.

MC 134105 (Sub-75TA), filed October 29, 1979. Applicant: CELERYVALE TRANSPORT, INC., 206 East 28th St., Chattanooga, TN 37410. Representative: Daniel O. Hands, Suite 200, 205 West Touhy Ave., Park Ridge, IL 60068. *Alcoholic beverages and wine (except in bulk),* from the facilities of Heublein, Inc., at Paducah, KY to AL, FL, IA, LA, TX and Detroit, MI, Chicago, IL, Columbia, SC, Aurora and Denver, CO, and San Francisco, CA restricted to the transportation of traffic originating at the named origin, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Heublein, Inc., 5000 CHARTER Oak Dr., Puducah, KY 42001. Send protests to: Glenda Kuss, TA, ICC, Suite A–422, U.S. Court House, 801 Broadway, Nashville, TN 37023.

MC 134134 (Sub-51TA), filed October 22,, 1979. Applicant: MAINLINER MOTOR EXPRESS, INC., 4202 Dahlman Avenue, Omaha, NE 68107. Representative: James F. Crosby, P.O. Box 37205, Hwy. 50 & I–80, Omaha, NE 68137. *Alcoholic beverages, including wine* from points in IN, KY, MD, NJ and NY to Kansas City, MO and points in its commercial zone for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): General Standard, Inc., Charles Mieras, Controller, 165 W. 9th Avenue, North Kansas City, MO 64116.Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 138104 (Sub-86TA), filed September 12, 1979. Applicant: MOORE TRANSPORTATION CO., INC., 3509 N. Grove St., Fort Worth, TX 76116. Representative: Bernard H. English, 6270 Firth Road, Fort Worth, TX 76116. *Iron and steel articles, including pipe* from Laredo and Eagle Pass, TX to points in AL, AZ, AR, CA, CO, IL, KS, LA, MS, MO, NM, OK, TN, and UT for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): A. H. M. S. A. Steel International, Inc., P.O. Box 5906, San Antonio, TX 78201. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor Street, Ft. Worth, TX 76102.

MC 138304 (Sub-17TA), filed October 9, 1979. Applicant: NATIONAL PACKERS EXPRESS, INC., 3445 Patterson Plank Road, North Bergen, NJ 07047. Representative: Craig B. Sherman, Attorney at Law, Broad and Cassel, Barnett Bank Building, 1108 Kane Concourse, Bay Harbor Islands, FL 33154. *Steel nuts, bolts, screws and metal fasteners,* from New Haven and Bridgeport, CT and Baltimore, MD to points in OH, IN, IL, WI, MN, IA, NE, KS, MO and MI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Allied International—American Eagle Trading Corp., 77 Purchase Street, Rye, NY 10580. Send protests to: Robert E. Johnston, D/S, ICC, 744 Broad St., Room 522, Newark, NJ 07102.

MC 139495 (Sub-497TA), filed October 4, 1979. Applicant: NATIONAL CARRIERS, INC., P.O. Box 1358, Liberal, KS 67901. Representative: Herbert Alan Dubin, 1320 Fenwick Lane, Silver Springs, MD 20910. *Frozen fruits, vegetables and juice concentrates* from Monte Alto & Brownsville, TX to points in Atlanta & Augusta, GA; Barrington & Chicago, IL; Birmingham & Mobil, AL; Jackson, MS; Jersey City, NJ; Kansas City & St. Louis, MO; Jessup, MD; Memphis & Nashville, TN; Monore & New Orleans, LA; New York City, NY; Norfolk, VA; Oklahoma City & Tulsa, OK; Pittsburgh & Springhouse, PA; & Winston Salem, NC; for 180 days, common, irregular. Supporting shipper: Monte Alto Foods, Inc., Monte Alto, TX 78538. Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67292.

MC 140444 (Sub-2TA), filed October 26, 1979. Applicant: HIGHLAND TOURS, INC., 8550 B—Atlantic Blvd., Jacksonville, FL 32216. Representative: Sol H. Proctor, 1101 Blackstone Building, Jacksonville, FL 32202. *Passengers and express and baggage, when moving on the same vehicles with passengers* between Jacksonville, FL on the one hand, and, on the other points in Camden County, GA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): There are approximately 6 supporting shippers. Their statements may be examined at the office listed below and Headquarters. Send protests to: Jean King, TA, ICC, Box 35008, 400 West Bay Street, Jacksonville, FL 32202.

MC 141804 (Sub-285TA), filed October 30, 1979. Applicant: WESTERN EXPRESS, DIVISION OF INTERSTATE RENTAL, INC., P.O. Box 3488, Ontario, CA 91761. Representative: Frederick J. Coffman, P.O. Box 3488, Ontario, CA 91761. *Plastic articles,* (1) From City of Industry, CA to points in TX, and points in the U.S. west of ND, SD, NE, KS, OK, and TX (except AK and HI), and (2) From Rockaway and Kearney, NJ and their commerical zones to points in the U.S. (except AK and HI), for 180 days. An underlying ETA seeks up to 90 days operating authority. Supporting shipper(s): A & E Plastics, Division of A & E Plastic Pak, P.O. Box 1268, Industry, CA 91749. Send protests to: Irene Carlos, TA, ICC, Room 1321 Federal Building, 300 North Los Angeles Street, Los Angeles, CA 90012.

MC 142364 (Sub-22TA), filed October 26, 1979. Applicant: KENNETH SAGELY d.b.a. SAGELY PRODUCE, 2802 Kibler Rd., Van Buren, AR 72956. Representative: Don Garrison, P.O. Box 1065, Fayetteville, AR 72701. *Ground clay cat box filler,* from the facilities of Absorbent Clay Products, Inc., at or near Anna, IL, to points in the U.S. (except AK, AZ, CA, CO, HI, ID, MT, ND, NV, NM, OR, SD, UT, WA and WY), for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Absorbent Clay Products, Inc., 200 N. Main St., Anna, IL. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 142364 (Sub-23TA), filed October 26, 1979. Applicant: KENNETH SAGELY d.b.a. SAGELY PRODUCE, 2802 Kibler Rd., Van Buren, AR 72956. Representative: Don Garrison, P.O. Box 1065, Fayetteville, AR 72701. *Cardboard sheets* from points in TN and TX to the facilities of West-Ark Specialties, Inc., at or near Ft. Smith, AR, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Westark Specialties, Inc., 7209 Jenny Lind, Ft. Smith, AR 72901.Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 144574 (Sub-3TA), filed October 22, 1979. Applicant: RUSSELL TRANSFER COMPANY, INC., P.O. Box 829, Washington, GA 30673. Representative: Frank D. Hall, Suite 713, 3384 Peachtree Rd., N.E., Atlanta, GA 30326. *Beer and malt liquors,* from Winston-Salem, NC, to Charleston, Port Royal and Hanahan, SC for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Henry J. Lee Distributors, Inc., 5802 N. Rhett Ave., Box 9727, Hanahan, SC 29410. Send protests to: Sara K. Davis, ICC, 1252 W. Peachtree St., NW., Rm. 300, Atlanta, GA 30309.

MC 144715 (Sub-7TA), filed October 17, 1979. Applicant: ANDERSON & WEBB TRUCKING CO., INC., P.O. Box 1523, Mt. Airy, NC 27030. Representative: Eric Meierhoefer, Suite 423, 1511 K Street, NW, Washington, DC 20005. *Malt beverages* from Williamsburg, VA and Jacksonville, FL and points in their commercial zones to North Wilkesboro, NC and points in its commercial zone, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Forrester Beverage Corp., Rt. 5, Box 2A, North Wilkesboro, NC 28659. Send protests to: Sheila Reece, T/A, 800 Briar Creek Rd., Rm. CC516, Charlotte, NC 28205.

MC 145625 (Sub-5TA), filed September 28, 1979. Applicant: DUTCHLAND TRUCKING, INC., 1051 Center Ave., Oostburg, WI 53070. Representative: Richard A. Westley, 4506 Regent St., Suite 100, Madison, WI 53705. *Such commodities as are dealt in by auto supply stores (except tires, batteries, automotive repair parts and commodities in bulk),* from the facilities of Crystal Manufacturing & Packaging, Inc., at or near Melrose Park, Il to points in WI, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Crystal Manufacturing & Packaging, Inc., 2731 W. Lake St., Melrose Park, IL 60160. Send protests to: John E. Ryden, DS, ICC, 517 E. Wisconsin Ave., Rm. 619, Milwaukee, WI 53202.

MC 147644 (Sub-3TA), filed October 9, 1979. Applicant: J.M.C. TRANSPORT, INC., 900 W. Stephen Foster Blvd., Bardstown, Ky. 40004. Representative: Gerald K. Gimmel, Suite 145, 4 Professional Dr., Gaithersburg, MD. 20760. (1) Glass Bottles and ceramic decanters from Joilet and Lincoln, IL, to Bardstown, KY, and (2) Alcoholic Beverages (except in bulk) from Pekin, IL, to Bardstown, KY, for 180 days. Supporting shipper(s): Russell Broaddus, Chairman of Bd., Old Bardstown Distilling Co., Inc., 900 W. Stephen Foster Blvd., Bardstown, KY 40004. Send protests to: Ms. Clara L. Eyl, T/A, ICC, 426 Post Office Bldg., Louisville, KY 40202.

MC 148445 (Sub-1TA), filed October 11, 1979. Applicant: WLD TRUCKING COMPANY, 4527 N. 16th St., Phoenix, AZ 85064. Representative: Phil B. Hammond, Esq., Evans, Hammond & Milliken, 3003 N. Central, Suite 1705. Phoenix, AZ 85012. *(A) Materials, equipment and supplies used in the manufacture of wooden flush doors, and wooden flush doors and component parts thereof,* from points in the United States (except AK and HI), to the facilities of Walled Lake Door Co. at Tupelo, MS, Cameron, TX, Mobile, AL, and Gila Bend, AZ, between the facilities of Walled Lake Door Co. at Tupelo, MS, Cameron, TX, Mobile, AL, and Gila Bend, AZ, *(B) Wooden flush*

doors and component parts thereof, from the facilities of Walled Lake Door Co. at Tupelo, MS, Cameron, TX, Mobile, AL and Gila Bend, AZ, to points in the United States (except AK and HI), for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Walled Lake Door Co., 4527 N. 16th St., Phoenix, AZ 85064. Send protests to: Ronald R. Mau, District Supervisor, 2020 Federal Bldg., 230 N. 1st Ave., Phoenix, AZ 85025.

MC 147874 (Sub-1TA), filed September 13, 1979. Applicant: STEVE ZIOLKOWSKI, d.b.a. Zilk Enterprises, 2807 S. Maple St. Brookfield, Illinois. Representative: James R. Madler. 120 W. Madison St., Chicago, Illinois 60602. *Such commodities as are dealt in or used by wholesale and retail shoe and apparel stores,* between Chicago, IL on the one hand, and, on the other, points in MI, OH, IN, and WI. Restricted to shipments originating at or destined to the facilities of Butler Shoe Corp., Elk Grove Village, IL for 180 days. Supporting shipper(s): Butler Shoe Corp., 1600 Pratt Blvd., Elk Grove Village, Illinois. Send protests to: Annie Booker, TA, ICC, 219 South Dearborn, Room 1386, Chicago, Illinois 60604.

MC 148225 (Sub-1TA), filed October 29, 1979. Applicant: ARNOLD M. SCHLAM and JONATHAN MARKS, d.b.a. SPA CARRIERS, 5706 Ostin, Woodland Hills, CA 91367. Representative: Arnold M. Schlam (same address as applicant). *Contract:* Irregular: *Spas and hot tubs,* between CA and points in AZ, CO, FL, ID, IL, KS, MO, NE, NM, OK, OR, TX, UT, and WA, for 180 days. An underlying ETA seeks up to 90 days operating authority. Supporting shipper(s): Islander Spas, 3321 W. Castor Street, Santa Ana, CA 92704. Send protests to: Irene Carlos, TA, ICC, Room 1321 Federal Building, 300 North Los Angeles Street, Los Angeles, California 90012.

MC 148334 (Sub-1TA), filed October 30, 1979. Applicant: BLUE MOUNTAIN TRUCKING CORPORATION, P.O. Box 86, Blue Mountain, MS 38610. Representative: Fred W. Johnson, Jr., 1500 Deposit Guaranty Plaza, P.O. Box 22828, Jackson, MS 39205. Contract: (1) *New furniture,* from the facilities of Bench Craft, Inc. at or near Blue Mountain, MS to points in AL, AR, CO, IL, IA, KS, KY, LA, MI, MO, NE, ND, OH, OK, TN, TX, SD, WI, and IN and (2) *Equipment, materials and supplies* used in the manufacture and distribution of the commodity in (1) above in the reverse direction under a continuing contract or contracts with Bench Craft, Inc., Blue Mountain, MS, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Bench Craft, Inc., P.O. Box 86, Blue Mountain, MS 38610. Send protests to: Floyd A. Johnson, Suite 2006—100 N. Main St., Memphis, TN 38103.

MC 148364 (Sub-1TA), filed October 1, 1979. Applicant: COOPER AIR FREIGHT SERVICE, INC., 2710 Barris Drive, Memphis, TN 38132. Representative: Henry E. Cooper, 2710 Barris Dr., Memphis, TN 38132. *General commodities of air freight. The authority granted herein is restricted to shipments of general commodities having immediately prior or subsequent thereto been moved by aircraft,* between Memphis, TN on the one hand, and, on the other, points in AR, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Applicant has three (3) supporting shippers. Send protests to: Floyd A. Johnson, Rm. 2006—100 N. Main St., Memphis, TN 38103.

MC 148465 (Sub-1TA), filed October 23, 1979. Applicant: ASSOCIATED CARRIERS COMPANY, 1759 East Grand Ave., Des Moines, IA 50316. Representative: Thomas E. Leahy, Jr., 1980 Financial Ctr. Des Moines, IA 50309. *Motor vehicle, in truckaway service,* (1) between Des Moines, IA, on the one hand, and, on the other, points in CO, IL, ID, MN, MO, NE, OK, and WI: (2) between the Chicago, IL, commercial zone on the one hand, and, on the other, points in CO, LA, ID, MN, MO, NE, OR, OK, WA, UT, WI, and WY; and (3) between Pennsauken, NJ, on the one hand, and on the other, points in CO, IA, IL, ID, MN, MO, NE, OR, OK, UT, WA, WI, and WY, for 180 days. An underlying ETA seeks 90 days authority. Supportng shipper(s): There are 7 supporting shippers. Their statements may be examined at the ofice listed below and Headquarters. Send protests to: Herbert W. Aallen, DS, ICC, 518, Federal Bldg., Des Moines, IA 50309.

MC 148615 (Sub-1TA), filed October 29, 1979. Applicant: JACK F. HERMANN TRUCKING INC., 3246 Virginia Street, Springfield, Oregon 97477. Representative: Jack F. Hermann, 3246 Virginial Street Springfield, Oregon 97477 (505)–746–7109. (1) Wooden furniture stock, in cartons, (2) Kiln dry lumber (1) from Eugene, Oregon to points in Washington California, Arizona, New Mexico, Texas, Utah, Idaho, and Colorado and (2) from points in Washington to Eugene, Oregon, for 180 days. Supportng shipper(s): Whittier Wood Products, 3787 West 1st Avenue, Eugene, Oregon 97402, 503–687–0213. Send protests to: A. E. Odoms, DS, ICC, 114 Pioneer Courthouse, Portland, Oregon 97204.

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MC 682 (Sub-19TA), filed October 9, 1979. Applicant: BURNHAM VAN SERVICE, INC., P.O. Box 7966, Columbus, GA 31908. Representative: Paul F. Sullivan, 711 Washington Building, Washington, DC 20005. *Carpet Padding* from Shelbyville, TN, to points in NC, SC, GA, FL, AL, MS, LA, AR, and TN for 180 days. Supportng shipper(s): General Felt Industries, Park 80 Plaza, West -1, Saddlebrook, NJ 07662. Send protests to: Sara K. Davis, T/A ICC, 1252 W. Peachtree St., NW, Room 300, Atlanta, GA 30309.

MC 2392 (Sub-133TA), filed October 4, 1979. Applicant: WHEELER TRANSPORT SERVICE, INC., 7722 "F" Street, Omaha, NE 68127. Representative: Keith D. Wheeler (same address as applicant). *Alcohol ethanol 200 proof* from Atchison, KS to points in IA and NE for 180 days. An underlying ETA seeks 90 days authority. Supportng shipper(s): (1) Oil Products, D. A. Christensen, President, 101 So. 18th St., Council Bluffs, IA 51501; (2) Jones Oil Company, Terry I. Jones, President, 3301 Cornhusker, P.O. Box 30225, Lincoln, NE 68504. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 11722 (Sub-67TA), filed September 17, 1979. Applicant: BRADER HAULING SERVICE, INC., P.O. Box 655, Zillah, WA 98953. Representative: Philip G. Skofstad, 1525 N. E. Weidler St., Portland, OR 97232. Rolled paper wrapping combined or coated with plastic, and boxes, pulp board, other than corrugated, KDF, without wooden frames (paper boxes) from facilities of American Can Co., in or near Sunnyside, WA to Albany, Stayton, Salem, Woodburn and Hermiston, Or and Twin Falls, American Falls, and Blackfoot, ID for 180 days. A Corresponding ETA, R–60, has been granted for 30 plus 2, effective September 17, 1979, expiring December 15, 1979, and a permanent will be filed. Supportng shipper(s): American Can Co., 310–314 E. Edison Ave., Sunnyside, WA 98944. Send protests to: R. V. Dubay, District Supervisor, Bureau of Operations, Interstate Commerce Commission, 114 Pioneer Courthouse, Portland, Oregon 97204.

MC 111302 (Sub-158TA), filed September 4, 1979. Applicant: HIGHWAY TRANSPORT, INC., P.O. Box 10108, 1500 Amherst Road, Knoxville, TN 37919. Representative: David A. Petersen (same address as applicant). *Spent Methyl Propyl Ketone, in bulk, in tank vehicles,* from the facilities of The Polaroid Corp: in Freetown, Waltham, and New Bedford, Mass. to the facilities of Tennessee Eastman Company in Kingsport, TN, for 180 days. Supporting shipper(s): Polaroid Corp., 140 Kendrick St., Needham Heights, MA 02194. Send protests to: Glenda Kuss, TA, I.C.C., Suite A–422 U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 11302 (Sub-159TA), filed September 4, 1979. Applicant: HIGHWAY TRANSPORT, INC., P.O. Box 10108, 1500 Amherst Road, Knoxville, TN 37919. Representative: David A. Petersen (same address as applicant). *Liquid chemicals, in bulk, in tank vehicles,* from the facilities of The Goodyear Tire and Rubber Co., in Calhoun, GA., to points in, IN, IL, MA, MD, NE, NJ, OH, PA, and TN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): The Goodyear Tire and Rubber Co., 1144 E. Market St., Akron, OH 44316. Send protests to: Glenda Kuss, TA, I.C.C., Suite A–422 U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 111302 (Sub-160TA), filed September 6, 1979. Applicant: HIGHWAY TRANSPORT, INC., P.O. Box 10108, 1500 Amherst Road, Knoxville, TN 37919. Representative: David A. Petersen (same address as applicant). *Liquid chemicals, in bulk, in tank vehicles,* from the facilities of Sherwin Williams Company, in Morrow, GA., to points in, AL, AR, KY, FL, MS, NC, SC, TN, and VA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): The Sherwin Williams Co., 6795 S. Main St., Morrow, GA 30260. Send protests to: Glenda Kuss, TA, I.C.C., Suite A–422 U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 111302 (Sub-161TA), filed September 7, 1979. Applicant: HIGHWAY TRANSPORT, INC., P.O. Box 10108, 1500 Amherst Road, Knoxville, TN 37919. Representative: David A. Petersen (same address as applicant). *Water treating compounds, in bulk, in tank vehicles,* from the facilities of Betz Labs, in Macon GA, to points in AR, LA, DE, NC, SC, PA, NJ, AL, MS, VA, TX, FL, KY, IL, IN, TN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Betz Laboratories, Inc., 4636 Somerton Rd., Trevose, PA 19047. Send protests to: Glenda Kuss, TA, I.C.C., Suite A–422 U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 111302 (Sub.162TA), filed September 7, 1979. Applicant: HIGHWAY TRANSPORT, INC., P.O. Box 10108, 1500 Amherst Road, Knoxville, TN 37919. Representative: David A. Petersen (same address as applicant). *Lubricating, oils, Hydraulic fluids, defoaming compounds and plasticizers in bulk, in tank vehicles,* from the facilities of E. F. Houghton Company, Carrollton, GA, to points in: TX, AR, LA, MS, AL, NC, SC, TN, Milwaukee, WI, Finksburg, MD, Chicago, IL, Fogelsville, PA, Reading, PA, Ravenswood, WV for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): E.F. Houghton & Co., Madison & Van Buren Aves., Valley Forge, PA 19482. Send protests to: Glenda Kuss, TA, ICC, Suite A–422, U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 111812 (Sub-694TA), filed September 4, 1979. Applicant: MIDWEST COAST TRANSPORT, INC., P.O. Box 1233, Sioux Falls, SD 57101. Representative: Lamoyne Brandsma (same address as applicant). (1) *Lead and lead products and shot bins or shot containers* from Anoka and Minneapolis, MN to Lonoke, AR and (2) *lead shot* from Lonoke, AR to Anoka, MN for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Federal Cartridge Corp., 9th and Tyler Street, Anoka, MN 55303. Send protests to: J. L. Hammond, DS, ICC, Room 455, Federal Bldg., Pierre, SD 57501.

MC 112962 (Sub-17TA), filed September 13, 1979. Applicant: CRUPPER TRANSPORT COMPANY, INC., 25 Sourth Third, Kansas City, KS 66118. Representative: Tom B. Kretsinger, 20 East Franklin, Liberty, MO 64068. *Show displays and exhibits and machinery, equipment, materials* and supplies used in connection therewith for display and show purposes only, between points and places in the United States except AL and HI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Greyhound Exposition Services, 1919 Cherry Street, Kansas City, MO 64108. Send protests to: Vernon V. Coble, DS, I.C.C., 600 Fed. Bldg., 911 Walnut St., Kansas City, MO 64106.

MC 113362 (Sub-371TA), filed September 7, 1979. Applicant: ELLSWORTH FREIGHT LINES, INC., 310 East Broadway, Eagle Grove, IA 50533. Representative: Milton D. Adams, P.O. Box 429, Austin, MN 55912. *Millwork, hardwood furniture parts, and hardwood furniture dimension stock* from the facilities of Foreston Dimension Co. and Woodcraft Industries, Inc. at Foreston and St. Cloud, MN, to points in AR, IN, IA, KY, and TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Woodcraft Industries, Inc., 525 Lincoln Ave., S.E., St. Cloud, MN 56301. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 107162 (Sub-58TA), filed September 13, 1979. Applicant: NOBLE GRAHAM TRANSPORT, INC., Rural Route #1, Brimley, MI 49715. Representative: John Duncan Varda, 121 Spitj ¼omclmeu Street, Madison, WI 53701. *Lumber;* from the ports of entry on the International Boundary Line between the United States and Canada, at or near Detroit, MI to points in MI, IN, and OH. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Schultz, Snyder & Steele Lumber Co., Inc., P.O. Box 24128, Lansing, MI 48909. Send protests to: C. R. Flemming, D/S, I.C.C., Room 201 Corr Bldg., 300 E. Michigan Avenue, Lansing, MI 48933.

MC 107912 (Sub-31TA), filed September 6, 1979. Applicant: Rebel Motor Freight, Inc., 3934 Homewood, Memphis, TN 38118. Representative: A. Doyle Cloud, Jr., 2008 Clark Tower, 5100 Poplar Avenue, Memphis, TN 38137, *Containers,* from the facilities of Inland Steel Containers, Inc., Canton, MS to West Helena, AR, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): Inland Steel Containers, Inc., 480 Industrial Drive, Canton, MS. Send protests to: Floyd A. Johnson, Suite 2006–100 N. Main St., Memphis, TN 38103.

MC 123502 (Sub-55TA), filed September 10, 1979. Applicant: FREE STATE TRUCK SERVICE, INC., P.O. Box 760, Glen Burnie, MD 21061. Representative: Judith Anne Hough (same as applicant). *Petroleum fuel oil flue dust, in bulk, in dump vehicles* from Strasburg, VA to Bartlesville & Tulsa, OK for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Philipp Brothers, 1221 Avenue of the Americas, New York, NY 10020. Send protests to: Interstate Commerce Commission, Federal Reserve Bank Building, 101 North 7th Street, Room 620, Philadelphia, PA 19106.

MC 127022 (Sub-5TA), filed September 4, 1979. Applicant: SECO TRUCKING CO., 219 North Jackson, Mason City, IA 50401. Representative: Thomas F. Kilroy, 406 Executive Bldg., 6901 Old Keene Mill Road, Springfield, Va 22150. *Malt beverages and advertising materials* from (a) St. Louis, MO to Independence, KS and (b) between Columbus, KS, on the one hand, and, on the other, Evansville, IN and La Crosse, WI for 180 days. An underlying ETA seeks 90 day authority. Supporting shipper(s): Best Beverage Sales, Inc., 709 N. 20th, Independence, KS 67301; Saporito

Beverage Co., RFD Route 3, Box 71, Columbus, KS67301. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 127042 (Sub-286TA), filed September 4, 1979. Applicant: HAGEN, INC., 3232 Highway 75 North, P.O. Box 98-Leeds Station, Sioux City, IA 51108. Representative: Joseph B. Davis (same address as applicant). *Meats, meat products and articles distributed by meat packinghouses* from the facilities of Wilson Foods Corp. at Cedar Rapids and Des Moines, IA to points in CO for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Wilson Foods Corporation, 4545 Lincoln Blvd., Oklahoma City, OK 73105. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 127602 (Sub-24TA), filed September 12, 1979. Applicant: DENVER-MIDWEST MOTOR FREIGHT, INC., 5555 East 58th Avenue, Commerce City, CO 80022. Representative: Richard E. Cole (same address as above). Liquor, Beverage: Wine (except in bulk), from points in CA to points in CO, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): (4 supporting shippers. which can be examined at the field office listed below or Headquarters). Send protests to: H. Ruoff, 492 U.S. Customs House, Denver, CO 80202.

MC 129032 (Sub-113TA), filed October 5, 1979. Applicant: TOM INNMAN TRUCKING, INC., 5656 S. 129th East Ave., Tulsa, OK. 74121. Representative: David R. Worthington, 5656 S. 129th East Ave., Tulsa, OK 74121. *Candy and confectionery and commodities used in the production of candy and confectionery (except in bulk, in tank vehicles)* from the state of IL (excluding Chicago and its commercial zone) to the facilities of Bunte Candies, Inc. located at or near Oklahoma City, OK, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Bunte Candies, Inc., 129 E. California, Oklahoma, OK 73126. Send protests to: Connie Stanley, Rm 240, 215 N.W. 3rd, Oklahoma City, OK 73102.

MC 135052 (Sub-22TA), filed September 18, 1979. Applicant: ASHCRAFT TRUCKING, INC., 875 Webster Street, Shelbyville, IN 46176. Representative: Warren C. Moberly, 777 Chamber of Commerce Bldg., Indianapolis, IN 46204. (1) *Battery boxes,* from Waterbury, CT to Cleveland, TN and Lancaster, SC; (2) *battery tubes or sleeves,* from Rockford, IL to Cleveland, TN and Lancaster, SC; (3) *zinc powder, in containers,* from Palmerton, PA to Cleveland, TN and Lancaster, SC; (4) *batteries, alkaline or carbon zinc,* from Lancaster, SC and Cleveland, TN to Indianapolis, IN, Bethel, CT, Dallas and Fort Worth, TX; (5) *steel coils, palletized,* from Warren, OH to Waterbury, CT, for 180 days. An underlying ETA seeks 90 days. Supporting shipper: Duracell Products Company, A Subsidiary of Dart Industries, Berkshire Industrial Park, Bethel, CT 06801. Send protests to: Beverly J. Williams, Transportation Assistant, ICC, 46 E. Ohio St., Rm 429, Indianapolis, IN 46204.

MC 135052 (Sub-23TA), filed September 19, 1979. Applicant: ASHCRAFT TRUCKING, INC., 875 Webster Street, Shelbyville, IN 46176. Representative: Warren C. Moberly, 320 N. Meridian Street, #777, Indianapolis, IN 46204. (1) *Paper and paper products,* (a) from Indianapolis, IN to points in the States of FL, MO, NJ, NY, PA, and WI, and (b) from Cayuga, IN to points in the states of IA, IL, KY, MI, MO, OH, PA, and WI. (2) *Waste paper for recycling,* (a) from points in the states of FL, IA, IL, KY, LA, MI, MO, NY, OH, PA, TN, TX, WI & WV, to Cayuga, IN, (b) from points in the states of AL, GA, IA, IL, KS, KY, MI, MN, MO, NE, OH, TN, WI, to points in IN., (3) *Pulpboard, NOIBN,* from Indianapolis, IN to AL, AR, CT, DE, DC, FL, GA, IA, IL, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, NC, NE, NH, NJ, NY, OH, OK, PA, RI, SC, TN, TX, VA, VT, WI, and WV. (4) *Kaolin clay,* from Wrens, GA to Indianapolis, IN for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Channel Resources, Inc., 444 North Lakeshore Drive, Chicago, IL 60611; Inland Container Corp., 151 North Delaware Street, Indianapolis, IN 46204; Stenotype Supplies Co., Inc., 6666 Guion Road, Indianapolis, IN; Beveridge Paper Company, 717 West Washington St., Indianapolis, IN 46204. Send protests to: Beverly J. Williams, Transportation Assistant, ICC, 429 Federal Bldg., 46 E. Ohio Street, Indianapolis, IN 46204.

MC 135082 (Sub-94TA), filed September 13, 1979. Applicant: ROADRUNNER TRUCKING, INC., 4100 Edith Blvd. NE, P.O. Box 26748, Albuquerque, NM 87125. Representative: Randall R. Sain (same address as applicant). *Gypsum wallboard* from the plantsite of Gold Bond Building Products, Division of National Gypsum, Phoenix, AZ, to points in CA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): National Gypsum Corp., P.O. Box 1888, Long Beach, CA 90801. Send protests to: DS/ICC, 1106 Federal Office Building, 517 Gold Ave. SW, Albuquerque, NM 87101.

MC 135082 (Sub-95TA), filed September 13, 1979. Applicant: ROADRUNNER TRUCKING, INC., 4100 Edith Blvd. NE, P.O. Box 26748, Albuquerque, NM 87125. Representative: Randall R. Sain (same address as applicant). *Grinding balls and castings,* from the facilities of Midland-Ross Corp. Capitol Casting Div. at or near Phoenix, AZ to Questa, NM, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Capitol Casting Division, Midland-Ross Corporation, P.O. Box 759, Phoenix, AZ 85001. Send protests to: DS/ICC, 1106 Federal Office Building, 517 Gold Ave. SW, Albuquerque, NM 87101.

MC 135082 (Sub-96TA), filed September 13, 1979. Applicant: ROADRUNNER TRUCKING, INC., 4100 Edith Blvd. NE, P.O. Box 26748, Albuquerque, NM 87125. Representative: Randall R. Sain (same address as applicant). *Fencing, fencing materials, and commodities used in the installation thereof,* from facilities of American Tube & Fence, Phoenix, AZ, to points in the US in and west of WI, IL, MO, AR, LA (except AK and HI), for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): American Tube Company, Inc., 2525 North 27th Ave., Phoenix, AZ 85005. Send protests to: DS/ICC, 1106 Federal Office Building, 517 Gold Ave. SW, Albuquerque, NM 87101.

MC 135082 (Sub-97TA), filed September 14, 1979. Applicant: ROADRUNNER TRUCKING, INC., 4100 Edith Blvd. NE, P.O. Box 26748, Albuquerque, NM 87125. Representative: Randall R. Sain (same address as applicant). *Scrap car bodies,* from Odessa, TX to Eagle Pass, TX on export traffic destined to the Republic of Mexico, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): AHMSA Steel International, Inc., P.O. Box 5906, San Antonio, TX 78201. Send protests to: DS/ICC, 1106 Federal Office Building, 517 Gold Ave. SW, Albuquerque, NM 87101.

MC 135082 (Sub-98TA), filed September 18, 1979. Applicant: ROADRUNNER TRUCKING, INC., 4100 Edith Blvd. NE, P.O. Box 26748, Albuquerque, NM 87125. Representative: D. F. Jones (same address as applicant). *Resin in drums and commodities used in the manufacture of insulation and return of empty containers,* from Benicia, CA to the facilities of West Con Industries, Tucson, AZ, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): West Con Industries, 2030 N. Forbes Blvd., Suite 102, Tucson, AZ

85705. Send protests to: DS/ICC, 1106 Federal Office Building, 517 Gold Ave. SW, Albuquerque, NM 87101.

MC 140612 (Sub-74TA), filed September 10, 1979. Applicant: ROBERT F. KAZIMOUR, P.O. Box 2207, Cedar Rapids, IA 52406. Representative: J. L. Kazimour (same address as applicant). *Foodstuffs and materials, equipment, and supplies used in the manufacture, sale, and distribution of foodstuffs (except commodities in bulk, in tank vehicles)* between Battle Creek, Grand Rapids, and Kalamazoo, MI; Omaha, NE; Memphis, TN; and San Leandro, CA, on the one hand, and, on the other, points in and west of MI, OH, KY, TN, NC, SC, GA, and FL, for 180 days. Restricted to traffic originating at or destined to facilities used by the Kellogg Co. An underlying ETA seeks 90 days authority. Supporting shipper: Kellogg Company, 235 Clift, Battle Creek, MI 49106. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 141212 (Sub-6TA), filed September 17, 1979. Applicant: JOHN M. RADKE, Rt. 2, Box 93, Marathon, WI 54448. Representative: Richard Westley, 4506 Regent St., Suite 100, Madison, WI 53705. *Feed and feed ingredients,* in bulk, from Minneapolis-St. Paul, MN Commercial Zone to points in WI, restricted to traffic originating at facilities of Cargill, Inc., for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Cargill, Inc., Dept. 17, P.O. Box 9300, Minneapolis, MN 55440. Send protests to: Gail Daugherty, TA, ICC, 517 E. Wisconsin Ave., Rm. 619, Milwaukee, WI 53202.

MC 141402 (Sub-45TA), filed September 17, 1979). Applicant: LINCOLN FREIGHT LINES, INC., P.O. Box 427, Lapel, IN 46051. Representative: Norman R. Garvin, 1301 Merchants Plaza, Indianapolis, IN 46204. Contract carrier. Irregular routes: *Paper and paper products,* from the facilities of Willamette Industries, Inc., Western Craft Paper Group, at or near Hawesville, KY, to points in AL, CT, DE, DC, FL, GA, IL, IN, IA, MD, MA, ME, MI, MN, MS, MO, NJ, NY, NC, OH, PA, RI, SC, TN, VA, WV and WI under a contract or continuing contracts with Willamette Industries, Inc., Western Craft Paper Group, for 180 days. Supporting shipper: Willamette Industries, Inc., Western Craft Paper Group, P.O. Box 130, Hawesville, KY 42348. Send protests to: Beverly J. Williams, Transportation Assistant, ICC, 46 E. Ohio St., Rm. 429, Indianapolis, IN 46204.

MC 141532 (Sub-52TA), filed September 11, 1979. Applicant: PACIFIC STATES TRANSPORT, INC., 3328 East Valley Road, Renton, WA 98055. Representative: Henry C. Winters, 525 Evergreen Building, Renton, WA 98055. *Common carrier:* irregular routes: *Saturated felt,* from the facilities of Tarco, Inc., at or near North Little Rock, AR to points in AZ, CA, ID, MT, NM, NV, OR and WA. An underlying ETA seeks 90 days authority. Supporting shipper: Tarco, Inc., Highway 130, Post Office Box 3330, North Little Rock, Arkansas 72117. Send protests to: Shirley Holmes, T/A, ICC, 858 Federal Building, Seattle, WA 98174.

MC 142082 (Sub-9TA), filed October 4, 1979. Applicant: OLIVER BROWN TRUCKING CO., INC., 700 South Avenue, Middlesex, NJ 08846. Representative: Eugene M. Malkin, Suite 1832, 2 World Trade Center, New York, NY 10048. Contract carrier, irregular routes for 180 days. Paper and paper products and materials, equipment and supplies used in the manufacture and sale of paper and paper products (except commodities in bulk and those which because of size or weight require the use of special equipment) between the facilities of Packaging Corporation of America at or near Northampton, MA, Lancaster and Trexletown, PA and Harrisonburg, VA, on the one hand, and, on the other points in CT, MA, MD, NJ, PA, RI and VA. An underlying ETA seeks 90 days authority. Supporting shipper: Packaging Corporation of America, 1603 Orrington Avenue, Evanston, IL 60204. Send protests to: Irwin Rosen, TS, ICC, 744 Broad Street, Room 522, Newark, NJ 07102.

MC 142672 (Sub-87TA), filed September 12, 1979. Applicant: DAVID BENEUX PRODUCE & TRUCKING, INC., P.O. Drawer F, Mulberry, AR 72947. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Such commodities as are dealt in or used by wholesale and retail discount and variety stores,* from points in AL, CA, CT, IA, IL, IN, MO, OH, TX, VA and WV, to the facilities of Wal-Mart Stores, Inc. at or near Bentonville and Searcy, AR, for 180 days. Supporting shipper: Wal-Mart Stores, Inc., P.O. Box 116, Bentonville, AR 72712. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 142672 (Sub-88TA), filed September 14, 1979. Applicant: DAVID BENEUX PRODUCE & TRUCKING, INC., P.O. Drawer F, Mulberry, AR 72947. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Fresh meats and packaged meats* from facilities of John Morrell & Company, at or near East St. Louis, IL, to points in AR for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper(s): John Morrell & Co., 208 S. LaSalle St., Chicago, IL 60004. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 142672 (Sub-89TA), filed October 10, 1979. Applicant: DAVID BENEUX PRODUCE & TRUCKING, INC., P.O. Drawer F, Mulberry, AR 72947. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Refined sugar* (except in bulk) from Reserve and Kenner, LA to points in AL, AR, FL, GA, IL, IN, KY, MO, MS, NC, OH, SC, TN and TX, for 180 days. Supporting shipper: Godchaux-Henderson Sugar Company, Inc., P.O. Drawer AM, Reserve, LA 70084. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 142672 (Sub-90TA), filed October 19, 1979. Applicant: DAVID BENEUX PRODUCE & TRUCKING, INC., P.O. Drawer F, Mulberry, AR 72947. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Steam cleaning equipment* from the facilities of Delco Manufacturing Company, at or near Siloam Springs, AR to points AL, CA, GA, KY and TN, for 180 days. Supporting shipper: Delco Manufacturing Company, Siloam Springs, AR. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 142672 (Sub-91TA), filed October 19, 1979. Applicant: DAVID BENEUX PRODUCE & TRUCKING, INC., P.O. Drawer F, Mulberry, AR 72947. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Confectionery and chewing gum* from Philadelphia, PA to points in GA, IL, IN, OH and SC, restricted to transportation of traffic originating at facilities of Fleer Corporation, at or near Philadephia, PA, for 180 days. Supporting shipper: Fleer, Inc., 10th and Somerville Sts., Philadelphia, PA 19107. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 144442 (Sub-7TA), filed October 19, 1979. Applicant: ESSEX EXPRESS, INC., 1200 Hammondville Rd., Pompano Beach, FL 33060. Representative: Don A. Allen, 2550 M St., N.W., Washington, D.C. 20037. Contract carrier—Irregular routes: *Frozen and fresh meats* from the Ports of Miami and Tampa, FL to the states of NC, OH, PA, SC, VA, WI, GA, IL, IN, MI, NJ, NY, and MA for 180 days. Supporting shipper: United Beef Packers, 1630 N.W. 70th St., Miami, FL 33126. Send protests to: Donna M. Jones, T/A, ICC—BOp, Monterey Bldg., Suite 101, 8410 N.W. 53rd Ter., Miami, FL 33166.

MC 144842 (Sub-5TA), filed October 16, 1979. Applicant: CLIFFORD L.

RIGGINS d.b.a. RIGGINS TRUCKING, 1004 W. Maple St., Springdale, AR 72764. Representative: Nancy Pyeat, 815 15th St., N.W., Washington, DC 20005. Alcoholic beverages (except in bulk) (1) from Brooklyn, NY to points in CA; Phoenix and Tucson, AZ; Las Vegas, NV; (2) from Lodi, Los Angeles, and San Jose, CA to Brooklyn, NY, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Monarch Wine Company, 4500 Second Ave., Brooklyn, NY 11232. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145022 (Sub-5TA), filed October 9, 1979. Applicant: MARSH BROS. TRUCKING SERVICE, INC., Box 7398, Station B, Dayton, OH 45407. Representative: Paul F. Berry, 275 E. State St., Columbus, OH 43215. *(1) Iron and steel and iron and steel articles, and (2) equipment, materials and supplies used in the manufacture of the commodities named in (1) above* (1) between the plant site of Armco Inc at Middletown, OH on the one hand, and on the other points in IN, IL, OH, PA, WV and the lower peninsula of MI (2) between the plant site of the Fisher Body Division of General Motors Corp at Fairfield, Mansfield, Cleveland, Columbus, and Elyria, OH; Marion, IN; Flint, Grand Rapids, Grand Blanc, Kalamazoo, MI on the one hand, and on the other, points in IN, IL, OH, PA, WV and the lower peninsula of MI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Fisher Body Division of General Motors Corp., 30001 Van Dyke Ave, Warren, MI 48090. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 145072 (Sub-28TA), filed October 16, 1979. Applicant: M. S. CARRIERS, 7372 Eastern, Germantown, TN 38138. Representative: Doyle Cloud, 2008 Clark Tower, 5100 Poplar Ave., Memphis, TN 38137. *Christmas tree decorations, notions, and supplies; paper products, scrap aluminum and janitorial supplies,* between New Madrid, MO, on the one hand, and, on the other, all points in or east of the states of TX, OK, KS, IA and MN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Continental Warehouse of Missouri, Inc., P.O. Box 236, New Madrid, MO 63869. Send protests to: Floyd A. Johnson, Rm. 2006—100 N. Main St., Memphis, TN 38103.

MC 145152 (Sub-119TA), filed October 4, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 708, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. (1) *Electrical applicances, equipment and parts,* as defined by the Commission in Descriptions in Motor Carrier Certificates, 61 M.C.C. 283, Appendix VII, and (2) *Materials, equipment and supplies used in the manufacture of the commodities named in (1) above* (except in bulk, in tank vehicles), between the facilities of Bigson-Metalux Corporation, at or near Eufala, AL on the one hand, and on the other, points in the U.S. (except AK and HI) for 180 days. Supporting shipper: Gibson-Metalux Corporation, P.O. Box 1207, Americus, GA 31709. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-120TA), filed October 4, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 708, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Such commodities as ar dealt in or used by discount, variety and grocery stores* (except in bulk), from points in AL, CT, DE, FL, GA, IA, IL, IN, KS, KY, LA, MA, MD, ME, MI, MN, MO, MS, NC, ND, NE, NH, NJ, NY, OH, OK, PA, RI, SC, SD, TN, TX, VA, VT, WI, WV and DC, to Harrison, AR, for 180 days. Supporting shipper: Mass Merchansiders, Inc., P.O. Box 790, Harrison, AR 72601. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 146102 (Sub-4TA), filed September 4, 1979. Applicant: TAMWAY CORPORATION, P.O. Box 888, Simpsonville, SC 29681. Representative: Henry P. Willimon, P.O. Box 1075, Greenville, SC 29602. *Such commodities as are dealt in by distributors or suppliers of empty containers and packaging materials,* between points in the United States in and east of MI, TN, KY, IL and WI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Industrial Packaging, Inc., P.O. Box 5794, Sta. B, Greenville, SC 29606. Send protests to: E. E. Strotheid, D/S, ICC, Rm. 302, 1400 Bldg., 1400 Pickens St., Columbia, SC 29201.

MC 146392 (Sub-3TA), filed October 1, 1979. Applicant: AMALGAMATED TRANSPORTATION, INC., 121—12th St., N.W., Cedar Rapids, IA 52405. Representative: Dennis L. Wengert (same address as applicant). Contract Carrier—irregular routes. *General commodities (except those of unusual value, classes A and B explosives, household goods, commodities in bulk, and commodities requiring special equipment)* between Anamosa, Belle Plaine, Burlington, Centerville, Council Bluffs, Clinton, Davenport, Decorah, Des Moines, Dubuque, Fairfield, Fort Dodge, Fort Madison, Grinnell, Keokuk, Iowa City, Marshalltown, Montezuma, Monticello, Mt. Pleasant, Mason City, Muscatine, Newton, Oelwein, Ottumwa, Oskaloosa, Sioux city, Spencer, Washington, Waterloo, West Union, and Williamsburg, IA, and their respective commercial zones on the one hand, and, on the other, Chicago, IL, and its commercial zone, for 180 days. Restricted to traffic having prior or subsequent transportation by air. An underlying ETA seeks 90 days authority. Authority sought would be performed under contract with Burlington Northern Air Freight, Inc. Supporting shipper: Burlington Northern Air Freight, Inc., 3317 McKinley Ave., Des Moines, IA 50321. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 146782 (Sub-22TA), filed October 17, 1979. Applicant: ROBERTS CONTRACT CARRIER CORP., 300 First Avenue South, Nashville, TN 37201. Representative: Stephen L. Edwards, 806 Nashville Bank & Trust Bldg., Nashville, TN 37201. *Iron and steel articles,* between the facilities of Volunteer Structures, Inc., at or near Nashville, TN, on the one hand, and on the other, points in the United States (except AK and HI), for 180 days. Restriction: Restricted to transportation of the above named commodities originating at or destined to the above named facilities. Supporting shipper: Volunteer Structures, Inc., 4106 Dakota Avenue, P.O. Box 90405, Nashville, TN 37209. Send protests to: Glenda Kuss, TA, ICC, Suite A–422, U.S. Courthouse, 801 Broadway, Nashville, TN 37203.

MC 146892 (Sub-9TA), filed October 1, 1979. Applicant: R & L TRANSFER, INC., P.O. Box 271, Wilmington, OH 45177. Representative: Boyd B. Ferris, 50 W. Broad St., Columbus, OH 43215. *Paper, paper products and supplies,* between Mt. Orab, OH, on the one hand, and, on the other, points in KY, WV, VA, IN, OH, PA, and the southern peninsula of MI, for 180 days. Restricted, to the transportation of shipments originating at or destined to the facilities of N.A.L. Co., Inc. at or near Mt. Orab, OH. An underlying ETA seeks 90 days authority. Supporting shipper: N.A.L. Co., Inc., P.O. Box 14, Mt. Orab, OH 45154. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila., PA 19106.

MC 146892 (Sub-10TA), filed October 11, 1979. Applicant: R & L TRANSFER, INC., P.O. Box 271, Wilmington, OH 45177. Representative: Boyd B. Ferris, 50 W. Broad St., Columbus, OH 43215. Such commodities as are dealt in or used by manufacturers of automotive parts, between Hillsboro, OH, on the one hand, and, on the other, points in MI, KY, IN, OH, WV, PA and MD, for 180 days. Restricted to the transportation of shipments originating at or destined to the facilities of Hillsboro Manufacturing at or near Hillsboro, OH. An underlying ETA seeks 90 days authority. Supporting shipper: Hillsboro Manufacturing Co., 120 Moore Rd., Hillsboro, OH 45133. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila., PA 19106.

MC 147242 (Sub-7TA), filed October 11, 1979. Applicant: 12–90 Plaza Corp., trading as PLAZA FREIGHT TRANSPORT, 12–90 Plaza Road, Fairlawn, NJ 07410. Representative: Arthur Lieberstein, 888 Seventh Avenue, New York, NY 10019. Contract, irregular. *Toilet preparations and packaging materials for displays thereof, except commodities in bulk,* between East Hills, NY on the one hand, and on the other, Chicago, IL and Los Angeles and San Francisco, CA, over irregular routes, under continuing contract with Helena Rubenstein, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Helena Rubenstein, Inc., Greenvale, Long Island, NY 11548. Send protests to: Joel Morrows, D/S, ICC, 744 Broad St., Room 522, newark, NJ 07102.

MC 147322 (Sub-2TA), filed October 1, 1979. Applicant: NOR–PAC DISTRIBUTING CORP., P.O. Box 429, Cosmopolis, WA 98537. Representative: George Kargianis, 2120 Pacific Building, Seattle, WA 98104. *Lumber, plywood, particle board, hardboard, cants, and wood pulp in bales or rolls,* between points in WA (Aberdeen, Hoquiam, Raymond, S. Bend, Humptulips, Aloha, Tacoma, Seattle, Cosmopolis, Bellingham, Arlington, Snohomish, Everett, Olympia, Longview, Kelso, Vancouver, DuPont, Kent, Puyallup, Auburn, Renton, Bremerton, Bellevue, Port Angeles and Spokane) and points in OR (Portland, Beaverton, Gaston, Springfield, Albany, Eugene, Salem, Roseburg, Grants Pass, Medford and The Dalles) and between those pts and the U.S./Canada Int'l Border at Blaine, WA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Weyerhaeuser Company, Tacoma, WA 98477; Hampton Hardwoods, Inc., P.O. Box 111, South Bend, WA 98586. Send protests to: Shirley M. Holmes, T/A ICC, 858 Federal Building, Seattle, WA 98174.

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MC 64932 (Sub-607TA), filed October 5, 1979. Applicant: ROGERS CARTAGE CO., 10735 South Cicero Avenue, Oak Lawn, IL 60453. Representative: William F. Farrell (same address as applicant).

Chemicals, in bulk, in tank vehicles, from LA and TX to points in the United States in and east of the states of MN, IA, MS, AR and LA for 180 days. Supporting Shipper: Sherex Chemical Company, Inc., 5200 Blazer Parkway, Dublin, OH 43017. Send protests to: Annie Booker, TA, ICC, 219 S. Dearborn, Room 1386, Chicago, IL 60604.

MC 82492 (Sub-250TA), filed October 11, 1979. Applicant: Michigan & Nebraska Transit Co., Inc., 2109 Olmstead Road, P.O. Box 2853, Kalamazoo, MI 49003. Representative: Dewey R. Marselle, 2109 Olmstead Road, P.O. Box 2853, Kalamazoo, MI 49003. *Frozen foods* (except in bulk) from the facilities of ITT Continental Baking Co. at Points in the lower peninsula of MI and points in WI to Russelville, AR; Chicago, IL; Minneapolis, MN; St. Louis, MO; Omaha, NE: Cleveland and Cincinnati, OH. Restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. For 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper: ITT Continental Baking Co., P.O. Box 731, Rye, NY 10580. Send protests to: C. R. Flemming, D/S, I.C.C., 201 Corr Building, 300 E. Michigan Avenue, Lansing, MI 48933.

MC 109632 (Sub-32TA), filed October 11, 1979. Applicant: LOPEZ TRUCKING, INC., 131 Linden Street, Waltham, MA 02154. Representative: Joseph M. Klements, 84 State Street, Boston, MA 02109. *Iron and Steel Wire Rods, in coils,* from Perth Amboy, NJ to points in CT, DE, ME, MD, MA, NH, NJ, NY, PA, RI, VT, VA and DC, and returned material in the reverse direction. For 180 days. Supporting Shipper: Raritan River Steel Co., P.O. Box 309, Perth Amboy, NJ 08862. Send protests to: Mr. John Thomas, District Supervisor, I.C.C., 150 Causeway Street, Boston, MA 02114.

MC 111812 (Sub-696TA), filed October 16, 1979. Applicant: MIDWEST COAST TRANSPORT, INC., P.O. Box 1233, Sioux Falls, SD 57101. Representative: Lamoyne Brandsma (same address as applicant). *Foodstuffs (except commodities in bulk)* from the facilities of Universal Foods Corporation at Peru, IN, Chicago, IL; and Beloit and Milwaukee, WI to points in AZ, CA, CO, ID, MT, NV, NM, OR, UT, WA and WY for 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper: Universal Foods Corporation, 433 East Michigan Street, Milwaukee, WI 53201. Send protests to: J. L. Hammond, DS, I.C.C., Room 455, Federal Bldg., Pierre, SD 57501.

MC 111812 (Sub-697TA), filed October 18, 1979. Applicant: MIDWEST COAST TRANSPORT, INC., P.O. Box 1233, Sioux Falls, SD 57101. Representative: Lamoyne Brandsma (same address as applicant). *Dairy products* from the facilities of Swift & Co. at Green Bay, WI to points in AL, FL and GA for 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper: Swift & Company, 115 West Jackson Blvd., Chicago, IL 60604. Send protests to: J. L. Hammond, DS, I.C.C., Room 455, Federal Bldg., Pierre, SD 57501.

MC 113362 (Sub-372TA), filed October 12, 1979. Applicant: ELLSWORTH FREIGHT LINES, INC., 310 East Broadway, Eagle Grove, IA 50533. Representative: Milton D. Adams, P.O. Box 429, Austin, MN 55912. *Floor covering and materials and supplies used in the installation thereof* (except in bulk) from the facilities of General Felt Industries at Philadelphia, PA, and its commercial zone to points in AR, LA, MS, OK, and TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper: General Felt Industries, Inc., Park 80 Plaza West-One, Saddle Brook, NJ 07662. Send protests to: Herbert W. Allen, DS, I.C.C., 518 Federal Bldg., Des Moines, IA 50309.

MC 115092 (Sub-95TA), filed October 1, 1979. Applicant: TOMAHAWK TRUCKING, INC., P.O. Box O, Vernal, UT 84178. Representative: Walter Kobos, 1016 Kehoe Drive, St. Charles, IL 60174. *Cement and sheet rock* in packages, from Fort Worth, TX to points in Maricopa, Pina and Pinal Counties, AZ and San Luis, Obispo, Kern and San Bernardino Counties, CA and counties thereof, and from Amarillo, TX to points in AZ for 180 days. Supporting shipper(s): Contrade Company, 1908 E. Randol Mill Road, Arlington, TX 76010. Send protests to: L. D. Helfer, DS, ICC, 5301 Federal Bldg., Salt Lake City, UT 84138.

MC 115092 (Sub-94TA), filed October 1, 1979. Applicant: TOMAHAWK TRUCKING, INC., P.O. Box O, Vernal, UT 84078. Representative: Walter Kobos, 1016 Kehoe Drive, St. Charles, IL 60174. *Flat glass* From Provo, UT to Owensville, MO for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Jahabow Industries, P.O. Box 1164, Provo, UT 84601. Send protests to: L. D. Helfer, ICC, 5301 Federal Bldg., Salt Lake City, UT 84138.

MC 115092 (Sub-96TA), filed October 4, 1979. Applicant: TOMAHAWK TRUCKING, INC., P.O. Box O, Vernal, UT 84178. Representative: Walter Kobos, 1016 Kehoe Drive, St. Charles, IL 60174. *Lumber and lumber products* from Anderson, Blue Lake Calpella, Camino, Crescent Mills, Davenport,

Diamond Springs, Fresno, Grass Valley, Healdsburg, Inyokern, Johnsondale, Loomis, Martell, Northfork, Ordville, Sacramento, Santa Fe Springs, Stockton, Susanville, Yreka and Yuba City, CA to points in CO, OK and TX for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Eagle Forest Products, 5671 Warehouse Way, Sacramento, CA 95826. Send protests to: L. D. Helfer, DS, ICC, 5301 Federal Bldg., Salt Lake City, UT 84138.

MC 115162 (Sub-509TA), filed October 24, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Drawer 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address of applicant). *Cement and lime.* From points in Jefferson, Marengo, St. Clair and Shelby Counties, AL to points in the states of FL, GA, MS and TN, for 180 days. Supporting shipper(s): Martin Marietta Cement, 1800 Daniel Building, Birmingham, AL 35233; Alpha Portland Cement Company, P.O. Drawer B, Midfield: Birmingham, AL 35228. Send protests to: Mabel E. Holston, T/A, ICC, Room 1616—2121 Building, Birmingham, AL 35203.

MC 115162 (Sub-510TA), filed October 30, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Drawer 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address of applicant). *Fuel wood and compressed logs,* from Pocahontas, AR and Memphis, TN to points in the United States in and east of the states of ND, SD, NE, KS, OK and TX, for 180 days. Supporting shipper: Agnew Environmental Products, Inc., 211 SE 10th, P.O. Box 1168, Grants Pass, OR 97526. Send protests to: Mabel E. Holston, T/A, ICC, Room 1616—2121 Building, Birmingham, AL 35203.

MC 118142 (Sub-239TA), filed October 5, 1979. Applicant: M. BRUENGER & CO., INC., 6250 No. Broadway, Wichita, KS 67219. Representative: Brad T. Murphree, 814 Century Plaza Bldg., Wichita, KS 67202. *Alcoholic beverages* (except commodities in bulk in tank vehicles) from Lawrenceburg, IN; Bardstown, Clermont, Frankfort, Lawrenceburg and Louisville, KY; and Detroit, MI to points in KS; for 180 days, common, irregular; An underlying ETA seeks 90 days authority. Supporting shipper: Standard Liquor Corporation, 3629 N. Hydraulic, Wichita, KS 67219; Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67202.

MC 118142 (Sub-240TA), filed October 10, 1979. Applicant: M. BRUENGER & CO., INC., 6250 No. Broadway, Wichita, KS 67219. Representative: Lester C. Arvin, 814 Century Plaza Bldg., Wichita, KS 67202. *Bananas and agricultural commodities* otherwise exempt from regulation under Section 203(b)(3) of the Interstate Commerce Act when moving in mixed loads with bananas from New Orleans, LA to points in AR, CO, IL, IN, IA, KS, MI, MO, NE, ND, OK, SD, TN & TX. Restricted to the transportation of traffic having prior movement by water; for 180 days, common, irregular; An underlying ETA seeks 90 days authority. Supporting shipper: American Fruit Company, 725 Girod St., New Orleans, LA 70130; Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67202.

MC 119012 (Sub-17TA), filed August 22, 1979. Applicant: RIVER TERMINALS TRANSPORT, INC., 202 George Street, Aurora, IN 47001. Representative: Fred Schmits (same address as applicant). *Manufactured concrete block, steel, and brick, except commodities in bulk, in tank vehicles* (A) manufactured concrete block from the facilities of C-Block of Ohio, Inc. to points in OH, IN, KY & WV; (B) same from facilities of C-Block of Indiana, Inc. to points in OH, IN, KY & WV; (C) Steel from points in IN & OH to facilities of C-Block of OH & IN, Inc; (D) brick from points in IN & OH to facilities of C-Block of OH & IN, Inc. for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: C-Block, Inc., 4183 Taylor Road, Batavia, OH 45103. Send protests to: Beverly J. Williams, Transportation Assistant, ICC, 429 Federal Bldg., 46 E. Ohio St., Indianapolis, IN 46204.

MC 119192 (Sub-13TA), filed August 31, 1979. Applicant: EASTERN DELIVERY SERVICE, INC., 80 Central Avenue, Bridgeport, CT 06607. Representative: Morton E. Kiel, Suite 1832, 2 World Trade Center, New York, NY 10048. *Contract carrier:* irregular routes: (1) *Such commodities* as are dealt in by department stores, and materials, supplies and equipment (except in bulk) used in the conduct of such business, From Rutherford, NJ to points in PA and DE. From St. Davids, PA to points in NJ and DE. (2) *Return shipments* of the commodities specified in (1) above, From points in PA and DE to Rutherford, NJ. From points in DE and NJ to St. Davids, PA. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: B. Altman & Company, 1 Altman Blvd., Rutherford, NJ 07070. Send protests to: J. D. Perry, Jr., District Supervisor, Interstate Commerce Commission, 135 High Street, Hartford, CT 06103.

MC 124692 (Sub-313TA), filed August 30, 1979. Applicant: SAMMONS TRUCKING, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). (1) *Buildings, complete, knocked down or in sections;* (2) *building sections and building panels;* (3) *parts and accessories* used in the installation and completion of commodities in (1) and (2) above; and (4) *metal prefabricated structural components and panels and accessories* used in the installation and completion of such commodities, from the facilities of Armco, Inc., Hanford, CA to points in WA, OR, ID, NV, UT, AZ, CO, MT, WY, ND, SD, NE, KS, OK, NM and TX, for 180 days. Supporting shipper: Armco, Inc., 703 Curtis Street, Middletown, OH 45043. Send protests to: Paul J. Labane, DS, ICC, 2602 First Avenue North, Billings, MT 59101.

MC 126472 (Sub-25TA), filed October 1, 1979. Applicant: WILLCOXSON TRANSPORT, INC., R.R. #1, Kahoka, MO 63445. Representative: Kenneth F. Dudley, 1501 East Main St., P.O. Box 279, Ottumwa, IA 52501. *Nitrogen Fertilizer Solution, in bulk, in tank vehicles, and Potach, in hopper and dump trucks,* From Pekin, IL, Janesville, WI and Brunswick, MO, to points in IA. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Amoco Oil Company, 200 East Randolph Drive, Chicago, IL 60601. Send protests to: Vernon Coble D/S, 600 Federal Building, 911 Walnut St., Kansas City, MO 64106.

MC 127042 (Sub-288TA), filed October 12, 1979. Applicant: HAGEN, INC., 3232 Highway 75 North, Sioux City, IA 51108. Representative: Joseph B. Davis, same address as applicant. *Dairy products* from West Bend, WI to points in CA and WA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Level Valley Dairy Company, Craig Devenport, Traffic Manager, 807 Pleasant Valley Road, West Bend, WI 53095. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 127042 (Sub-289TA), filed October 16, 1979. Applicant: HAGEN, INC., 3232 Highway 75 North, P.O. Box 98—Leeds Station, Sioux City, IA 51108. Representative: Joseph B. Davis (same address as applicant). *Meats, meat products, meat by-products and articles distributed by meat packinghouses as described in Sections A and C of Appendix I to the report in Descriptions in Motor Carrier Certificates 61 M.C.C. 209 and 766 (except hides and commodites in bulk)* from Chicago, IL to points in IA, NE, MO, TX, OK and KS for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Nationwide Beef, Jim Nelson, Traffic Manager, 219 N. Green St., Chicago, IL. Send protests to: D/S Carrol Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 128102 (Sub-1TA), filed August 13, 1979. Applicant: STATE MOTOR FREIGHT, INC., 3905 E. A, Pasco, WA 99300. Representative: Boyd Hartman, P.O. Box 3641, Bellevue, WA 98009. *Dry and liquid fertilizer (including anhydrous ammonia),* from points in Benton County, WA to points in the States of OR and ID, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: There are 7 statements of support attached to this application which may be examined at the ICC in Washington, D.C., or copies of which may be examined in the field office named below. Send protests to: Shirley M. Holmes, T/A, ICC, 858 Federal Building, Seattle, WA 98174.

MC 129032 (Sub-112TA), filed October 3, 1979. Applicant: TOM INMAN TRUCKING, INC., 5656 South 129th East Avenue, Tulsa, OK 74121. Representative: David R. Worthington (same address as applicant). *Candy and confectionery and commodities used in the production of candy and confectionery,* (except in bulk, in tank vehicles), from Chicago, IL and its commercial zone, to Oklahoma City, OK, (restricted to commodities originating at named origin and destined to the indicated destination), for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Bunte Candies, Inc., 129 E. California, Oklahoma City, OK 73126. Send protests to: Connie Stanley, ICC, Rm. 240, 215 N.W., 3rd, Oklahoma City, OK 73102.

MC 129732 (Sub-6TA), filed October 12, 1979. Applicant: EMPIRE FUEL & TRANSFER CO., P.O. Box 126, Coos Bay, OR 97420. Representative: David C. White, 2400 S.W. Fourth Ave., Portland, OR 97201. (1) Dry sodium sulfate, in bulk; and (2) paper mill machinery and machinery parts (10 from the facilities of Menasha Corpn. at North Bend, OR to Seattle, WA; and (2) between the facilities of Menasha Corpn. at North Bend, OR on the one hand, and, on the other, points in WA, for 180 days. A corresponding ETA has been granted and a permanent will be filed. Supporting shipper: Manasha Corpn, P.O. Box 329, North Bend, OR 97459. Send protests to: A. E. Odoms, D/S, Interstate Commerce Commission, 114 Pioneer Courthouse, Portland, OR 97204.

MC 135762 (Sub-6TA), filed October 15, 1979. Applicant: JOHN H. NEAL, INC., P.O. Box 3877, Ft. Smith, AR 72913. Representative: John H. Neal, (same address as applicant). Contract carrier over irregular routes; *Fencing, fencing materials, wire and wire products,* from the facilities of Bekaert Steel Wire Corporation, at or near Van Buren, AR, to points in IA, IL, IN, KS, KY, MI, MN, MO, NE, ND, OH, PA, SD, WV and WI, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Bekaert Steel Wire Corporation, P.O. Box 668, Van Buren, AR 72956. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 136212 (Sub-30TA), filed October 11,, 1979. Applicant: JENSEN TRUCKING COMPANY, INC., P.O. Box 349, Gothenburg, NE 69138. Representative: Scott T. Robertson, P.O. Box 81849, Lincoln, NE 68501. *Inedible meats, meat products and meat by-products, as described in Sections A & C of Appendix I to the report in Descriptions in Motor Carrier Certificates, 61 M.C.C. 209 and 766 and offal (except commodities in bulk, in tank vehicles)* between points in AR, CO, IL, IN, IA, KS, KY, LA, MI, MN, MO, NE, OH, OK, SD, TN, TX, UT and WI for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: In-Tex Commodities Corporation, Lynn Gumm, Traffic Manager, Suite 705B, 605 South Sherman, Richardson, TX 75080. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE, 68102.

MC 136342 (Sub-18TA), filed October 10, 1979.Applicant: JACKSON & JOHNSON, INC., P.O. Box 327, Savannah, NY 13146. Representative: S. Michael Richards, 44 North Ave., P.O. Box 225, Webster, NY 14580. Contract carrier-irregular routes. *Cranberries and cranberry products, grapefruit, grapefruit juice, prunes and prune products in containers,* for the account of Ocean Spray Cranberries, Inc., between North East, PA, on the one hand, and, on the other, points in MA, NY, OH, and Bordentown, NJ; and between the facilities of Ocean Spray Cranberries, Inc., in MA on the one hand, and, on the other, Bordentown, NJ (except as otherwise authorized), for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Ocean Spray Cranberries, Inc., Bridge & Wood St., P.O. Box 152, Middleborough, MA 02346. Send protests to: R. H. Cattadoris, DS, ICC, 910 Federal Bldg., 111 West Huron Street, Buffalo, NY 14202.

MC 138322 (Sub-15TA), filed October 3, 1979. Applicant: BHY TRUCKING, INC., 9231 Whitmore, El Monte, CA 91733. Representative: Robert Fuller, Suite 310, 13215 East Penn Street, Whittier, CA 90602. *Cat litter, in packages,* from Maricopa (Kern County), CA to points and places in the United States west of the Mississippi River, for 180 days. An underlying ETA seeks up to 90 days operating authority. Supporting shipper: Panamint Marketing, Traffic Manager, Elkhorn Valley Road, Maricopa, CA 93252. Send protests to: Irene Carlos, TA, ICC, Room 1321—Federal Building, 300 North Los Angeles Street, Los Angeles, CA 90012.

MC 13872 (Sub-32TA), filed October 1, 1979. Applicant: OSTERKAMP TRUCKING, INC., 764 North Cypress Street, P.O. Box 5546, Orange, California 92667. Representative: Michael R. Eggleton, 2500 Old Crow Canyon Road, Suite 325, San Ramon, California 94583. *Lumber, lumber products, and wood products,* from points in Oregon and Washington, to points in Arizona and New Mexico, for 180 days. Supporting shippers: Bendix Forest Products Corporation, Manager of Physical Distribution and Transportation, 2740 Hyde Street, San Francisco, California 94109. American International Forest Products, Inc., Manager of Truck Transportation, P.O. Box 4166, Portland, Oregon 97208. North Pacific Lumber Company, Trucking Division Manager, 1505 S.E. Gideon Street, P.O. Box 3915, Portland, Oregon 97208. Send protests to: Irene Carlos, TA, ICC, P.O. Box 1551, Los Angeles, CA 90053.

MC 138732 (Sub-33TA), filed October 12, 1979. Applicant: OSTERKAMP TRUCKING, INC., 764 N. Cypress St., P.O. Box 5546, Orange, CA 92667. Representative: Michael R. Eggleton, 2500 Old Crow Canyon Rd., Suite 325, San Ramon, CA 94583. *Building materials,* as described in Descriptions in Motor Carrier Certificates 61 MCC 209, 279–283 (1952) from points in Alameda, Contra Costa, Kern, Los Angeles, Orange, San Francisco and San Mateo Counties, California, to points in Carson City, Churchill, Douglas, Lyon, Mineral, Storey and Washoe Counties, Nevada for 180 days. Supporting shipper: Flintkote Supply Company, 2201 E. Washington Blvd. Los Angeles, CA 90021. Send protests to: Irene Carlos, T/A, ICC, 300 N. Los Angeles St., Rm. 1321, Los Angeles, CA 90012.

MC 139482 (Sub-161TA), filed October 9, 1979. Applicant: NEW ULM FREIGHT LINES, INC., P.O. Box 877, New Ulm, MN 56073. Representative: Samuel Rubenstein, 301 N. 5th St., Minneapolis, MN 55403. *Building materials and supplies, and fireplaces, wood stoves and materials and supplies used in the manufacture of fireplaces and wood stoves* between Santa Cruz, CA, Jacksonville and Miami, FL, Valdosta, GA, Boise, ID, Chicago, IL, Elkhart, IN, Blue Earth, Montevideo, New Ulm and Worthington, MN, St. Genevieve, MO, Madison and Watertown, SD, Beaverton, Eugene and Harrisburg, OR, Marion, VA and Stevens Point and Wisconsin Rapids, WI, for 180 days. An

underlying ETA seeks 90 days authority. Supporting shipper: DG Shelter Products Company, P.O. Box 174, New Ulm, MN 56073. Send protests to: Judith L. Olson, TA, ICC, 414 Fed. Bldg., 110 S. 4th St., Minneapolis, MN 55401.

MC 139482 (Sub-162TA), filed October 10, 1979. Applicant: NEW ULM FREIGHT LINES, INC., P.O. Box 877, New Ulm, MN 56073. Representative: James E. Ballenthin, 630 Osborn Bldg., St. Paul, MN 55102. *Plumbing fixtures and fittings and accessory parts and supplies* from the facilities of American Standard, Inc. at New Orleans, LA to points in and west of MT, WY, CO, and NM, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: American Standard, Inc., P.O. Box 2003, New Brunswick, NJ 08903. Send protests to: Judith L. Olson, TA, ICC, 414 Fed. Bldg., 110 S. 4th St., Minneapolis, MN 55401.

MC 141742 (Sub-7TA), filed October 4, 1979. Applicant: FLOWERS TRANSPORTATION, INC., P.O. Box B, Station A, Auburn, California 95603. Representative: William D. Taylor, 100 Pine Street, San Francisco, California 94111. *Millwork* from the facilities of Rocklin Forest Products, Inc. at or near Douglas, AZ, on the one hand, and, on the other, Albuquerque, NM and/or Colorado Springs and Denver, CO., for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Rocklin Forest Products, Inc., P.O. Box 400, Roseville, CA 95678. Send protests to: DS W. J. Huetig, ICC, 705 N. Plaza, Carson City, NV 89701.

MC 144572 (Sub-29TA), filed August 23, 1979. Applicant: MONFORT TRANSPORTATION COMPANY, P.O. Box G, Greeley, CO 80631 Representative: John T. Wirth, 717 17th St. Suite 2600, Denver, CO 80202. *Plastic and iron pipe fittings and adhesive cement* (except in bulk, in tank vehicles) from the facilities of U Brand Corporation at or near Shelby, OH to points in CO, KS, MO and NE for 180 days. Underlying ETA filed seeking 90 days authority. Supporting shipper: U Brand Corporation, Central Ohio Industrial Park, Building No. 6, P.O. Box 255, Shelby, OH 44875. Send protests to: R. Buchanan, 492 U.S. Customs House, Denver, CO 80202.

MC 144982 (Sub-9TA), filed September 4, 1979. Applicant: OHIO PACIFIC EXPRESS, INC., 2385 S. High St., Columbus, OH 43207. Representative: Harry F. Horak, Suite 115, 5001 Brentwood Stair Rd., Fort Worth, TX 76112. *Quarry Tile and building brick* from the facilities utilized by Summitville Tile, Inc. at or near Summitville, OH to points in CA, OR, and WA for 180 days. Supporting shipper: Summitville Tile, Inc., Summitville, OH 43962. Send protests to: ICC, Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila., PA 19106.

MC 145042 (Sub-5TA), filed September 17, 1979. Applicant: ZEELAND FARM SERVICES, INC., 2468 84th Street, Zeeland, MI 49464. Representative: James R. Neal, 1200 Bank of Lansing Bldg., Lansing, MI 48933. *Vegetable Oil,* in bulk, in tank vehicles, from the facilities of Cargill, Incorporated, at or near Chicago, IL to points in IL, IN, KY, MI and OH. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Cargill, Incorporated, 122nd Street and Torrence, Chicago, IL 60617. Send protests to: C. R. Flemming, D/S, Room 201 Corr Building, 300 East Michigan Avenue, Lansing, MI 48933.

MC 145072 (Sub-27TA), filed September 10, 1979. Applicant: M. S. CARRIERS, INC., 7372 Eastern Avenue, Germantown, TN 38138. Representative: A. Doyle Cloud, Jr., 2008 Clark Tower, 5100 Poplar Avenue, Memphis, TN 38137. *Petroleum products, lubricating oils (except in bulk), auto parts and accessories, material, equipment and supplies used in service station operations,* from Baton Rouge, LA to points in TN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Exxon Company, U.S.A., P.O. Box 2180, Houston, TX 77001. Send protests to: Floyd A. Johnson, Suite 2006—100 N. Main St., Memphis, TN 38103.

MC 145152 (Sub-121TA), filed October 10, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. (1) *Confectionery* from the facilities of Peter Paul-Cadbury, Inc., at or near Naugatuck, CT; Chicago, IL; Frankfort, IN; Hazleton and York, PA, to Salinas, CA; Dallas, TX and points in OR and WA; and (2) *Foodstuffs* from the facilities of Peter Paul-Cadbury, Inc., in CA to Naugatuck, CT; Frankfort, IN; and York, PA, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Peter Paul-Cadbury, Inc., New Haven Road, Naugatuck, CT 06770. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-122TA), filed October 10, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Paper bags* from the facilities of Environmental Control Systems, Inc., at or near Gallaway, TN to Philadelphia, PA and New York, NY, for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Environmental Control Systems, Inc., P.O. Box 167, Gallaway, TN 38036. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-123TA), filed October 12, 1979. Applicant: BIG THREE TRANPORTATION, INC., P.O. Box 706, Springdale, AR 72756. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Candy and confectionery* from the facilities of Zachary Confections, Inc., at or near Chicago, IL to Orlando, FL; Shelbyville, KY; and Hattiesburg, MS for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Zachary Confections, Inc., 855 W. Washington Blvd., Chicago, IL 60607. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-124TA), filed October 12, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Kent L. Tharel, P.O. Box 334, Fayetteville, AR 72701. *Such commodities as are dealt in by health and beauty aid distributors and wholesalers,* from facilities of Supreme Distributors Company and Advance Promotions, Inc., in or near Detroit, MI, to points in CA, NE, KS, OK, TX, MN, IA, MO, AR, LA, WI, IL, IN, OH, KY, TN, MS, AL, GA, FL, SC, NC, VA, WV, DC, MD, DE, NJ, PA, CT, RI, MA, NH and NY, for 180 days. Supporting shipper: Supreme Distributors Co., 6501 McNichols Rd., Detroit, MI 48212. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-125TA), filed October 15, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Candy and confectionery* from the facilities of Queen Anne Candy Company, at or near Hammond, IN, to points in OR and WA for 180 days. Underlying ETA seeks 90 days authority. Supporting shipper: Queen Anne Candy Company, P.O. Box 948, Hammond, IN 46325. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-126TA), filed October 15, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. (1) *BX broilers, cookers, roasters,* (outdoor BBQ type, gas-fired, cast aluminum; and (2) *materials, equipment and supplies* used in the manufacture and distribution of the commodities named in (1) above, between the facilities of Arkla Industries, Inc., at or near Paragould, AR on the one hand, and on the other, points in the U.S., (except AK and HI) for 180 days. Underlying ETA seeks 90 days authority. Supporting Shipper(s): Arkla Industries, Inc., P.O. Box 1309, Paragould, AR 72450. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-127TA), filed October 16, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Candy and confectionary products* from the facilities of R. M. Palmer Candy Company, at or near West Reading, PA, to points in the U.S. (except CT, DE, FL, MA, MD, ME, MT, NH, NJ, NY, RI, VA, VT, WV and WY) for 180 days. Underlying ETA seeks 90 days authority. Supporting Shipper(s): R. M. Palmer Candy Company, Second & Franklin Sts., West Reading, PA 19602. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 145152 (Sub-128TA), filed October 10, 1979. Applicant: BIG THREE TRANSPORTATION, INC., P.O. Box 706, Springdale, AR 72764. Representative: Don Garrison, P.O. Box 159, Rogers, AR 72756. *Candy and Confectionary* from the facilities of Bortz Chocolate Company, at or near Reading, PA to points in CA, FL, LA, MN, TN, TX and WA for 180 days. Underlying ETA sought corresponding authority for 90 days. Supporting Shipper(s): Bortz Chocolate Company, 1414 Moss Street, Reading, PA 19604. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 146102 (Sub-5TA), filed September 4, 1979. Applicant: TAMWAY CORPORATION, P.O. Box 888, Simpsonville, SC 29681. Representative: Henry P. Willimon, P.O. Box 1075, Greenville, SC 29602. *Tools and machinery, and materials and supplies used in the manufacture and sale therof,* between Greenville, SC, on the one hand, and, on the other, points in the United States, for 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper(s): Standard Manufacturing Company, P.O. Box 4628, Taylors, SC 29608. North American Tool Co., Woodruff Rd., Industrial Park, Greenville, SC 29608. Consolidated Tool & Equipment Company, 18 Crestone Drive, Greenville, SC. Send protests to: E. E. Strotheid, D/S, ICC, Rm. 302, 1400 Bldg., 1400 Pickens St., Columbia, SC 29201.

MC 146102 (Sub-6TA), filed September 4, 1979. Applicant: TAMWAY CORPORATION, P.O. Box 888, Simpsonville, SC 29681. Representative: Henry P. Willimon, P.O. Box 1075, Greenville, SC 29602. *Insulation materials,* from points in IN and GA to points in SC, for 180 days. An underlying ETA seeks 90 days authority. Supporting Shipper(s): Gallaway & Tripp Insulation Co., P.O. Box 256, Easley, SC 29640. Send protests to: E. E. Strotheid, D/S, ICC, Rm. 302, 1400 Bldg., 1400 Pickens St., Columbia, SC 29201.

MC 146102 (Sub-7TA), filed September 4, 1979. Applicant: TAMWAY CORPORATION, P.O. Box 888, Simpsonville, SC 29681. Representative: Henry P. Willimon, P.O. Box 1075, Greenville, SC 29602. *Industrial chemicals, adhesives, solvents, cotton softeners, and cleaning compounds (except in bulk),* Between Greenville and Simpsonville, SC, on the one hand, and, on the other, points in the U.S. in and east of TX, OK, MO, IA and MN, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Intex Products, Inc., P.O. Box 6648, Greenville, SC 29606. Para-Chem Southern, Inc., P.O. Box 127, Simpsonville, SC 29681. Crucible Chemical Company, Donaldson Center, Greenville, SC. Send protests to: E. E. Strotheid, D/S, ICC, Rm. 302, 1400 Bldg., 1400 Pickens St., Columbia, SC 29201.

MC 146222 (Sub-5TA), filed August 27, 1979. Applicant: ILCO TRUCKING, INC., P.O. Box 57087, Birmingham, AL 35209. Representative: Marc A. Pearl, 3390 Peachtree Road NE, 5th Floor, Atlanta, GA 30326. Contract, Irregular: *Materials, machinery, equipment and supplies used in the manufacture, distribution and sale of iron and steel products and parts,* from points in the United States in and east of MT, WY, CO, and NM, to the facilities of American Cast Iron Pipe Company located at or near Birmingham, AL, under a continuing contract or contracts with American Cast Iron Pipe Company, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): American Cast Iron Pipe Company, P.O. Box 2727, Birmingham, AL 35202. Send protests to: Mabel E. Holston, T/A, ICC, Room 1616—2121 Building, Birmingham, AL 35203.

MC (148232TA), filed August 30, 1979. Applicant: LITTLE SQUAW TRUCK LINES, INC., 4420 Mariposa Road, Stockton, CA 95205. Representative: John E. Himle, P.O. Box 5038, Stockton, CA 95205. *Wood and wood products and building materials* between points in CA, AZ, NV and OR for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Down River International, Inc., P.O. Box 15290–C, Sacramento, CA 95813; Haley Bros., Inc., 5700 South San Pedro Street, Los Angeles, CA 90011. Send protests to: A. J. Rodriguez, TS, ICC, 211 Main Street, Suite 500, San Francisco, CA 94105.

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MC 1515 (Sub-280TA), filed October 3, 1979. Applicant: GREYHOUND LINES, INC., Greyhound Tower, Phoenix, AZ 85077. Representative: Lat J. Celmins (same address as applicant). Regular Route, *Passengers and their baggage and express and newspapers in the same vehicle with passengers,* (A) between the junction of Interstate Hwy 80 and Marconi Ave. and the junction of Marconi Ave. and Fulton Ave., serving all intermediate points: From the junction of Interstate Hwy 80 and Marconi Ave. over Marconi Ave. to junction Fulton Ave. and return over the same route, (B) between the junction of Interstate Hwy 80 and Fulton Ave. and the junction of Watt Ave. and U.S. Hwy 50, serving all intermediate points: From the junction of Interstate Hwy 80 and Fulton Ave. over Fulton Ave. to junction Fair Oaks Blvd., thence over Fair Oaks Blvd. to junction Watt Ave., thence over Watt Ave. to junction of U.S. Hwy 50 and return over the same route, for 180 days. An underlying ETA seeks 90 days authority. Applicant proposes to tack the authority here applied for to its MC–1515. Supporting shipper(s): There are twelve (12) supporting shippers. Their statements may be reviewed at the below listed field office or at Washington, D.C. Send protests to: Ronald R. Mau, District Supervisor, 2020 Federal Bldg., 230 N. 1st Ave., Phoenix, AZ 85025.

MC 1934 (Sub-43TA), filed October 26, 1979. Applicant: THE ARROW LINE, INCORPORATED, 105 Cherry Street, East Hartford, CT 06108. Representative: Dominick T. Bisesti (same address as applicant). *Common carrier:* irregular routes: *passengers and their baggage when moving in the same vehicles with posengers* in special round trip operations during the televised racing meets of each year at "Teletrack", located in New Haven, Connecticut, beginning and ending at Springfield, Massachusetts on the one hand, and, on the other, the site of Teletrack at New Haven, Connecticut. Said operations are restricted to transportation of passengers and their baggage having a sole desire to attend televised racing meets at New Haven, Connecticut. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s):

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Nineteen attached. Send protests to: J. D. Perry, Jr., District Supervisor, Interstate Commerce Commission, 135 High Street, Hartford, CT 06103.

MC 44605 (Sub-54TA), filed July 17, 1979. Applicant: MILNE TRUCK LINES, INC., 2500 West California Avenue, Salt Lake City, UT 84104. Representative: Ann M. Pougiales, Loughran & Hegarty, 100 Bush Street, San Francisco, CA 94104. *Common carrier:* regular routes: *General commodities,* except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk and those requiring special equipment, between Reno, NV, and Los Angeles, CA, serving the intermediate point of Carson City, NV: (1) from Reno over US Hwy 395 to junction CA Hwy 14 or Walker Pass, the over CA Hwy 14 to Los Angeles, and return over the same route; (2) from Reno over US Hwy 395 to junction Interstate Hwy 15, then over Interstate Hwy 15 to junction Interstate Hwy 10, then over Interstate Hwy 10 to Los Angeles, and return over the same route; (3) from Reno over Interstate Hwy 80 to junction Interstate Hwy 5 at Sacramento, CA, then over Interstate Hwy 5 to Los Angeles, and return over the same route; and (4) from Reno over Interstate Hwy 80 to junction Temporary Interstate Hwy 5 and CA Hwy 99 at Sacramento, CA, then over Temporary Interstate Hwy 5 and CA Hwy 99 to junction Interstate Hwy 5 at Wheeler Ridge, then over Interstate Hwy 5 to Los Angeles, for 180 days. An underlying ETA seeks 90 days authority. NOTE: Applicant proposes to tack the authority here applied for to its MC 44605 (lead), Sub-No. 13, and Sub-No. 39, and to interline with other carriers at Sparks, NV, Fontana, CA, and points in the commercial zones of Reno, NV, and Los Angeles, CA. Supporting shipper(s): None. Send protests to: L. D. Helfer, DS, ICC, 5301 Federal Bldg., Salt Lake City, UT 84138.

MC 20894 (Sub-25TA), filed August 31, 1979. Applicant: P. CALLAHAN, INC., 5240 Comly St., Philadelphia, PA 19135. Representative: Maxwell A. Howell, 1100 Investment Bldg., 1511 K Street, N.W., Washington, DC 20005. *Such commodities* as are dealt in by retail stores, department stores and mail order houses, *glass products,* and *plastic products,* between Philadelphia, PA and points in Berks, Bucks, Chester, Delaware, Lancaster, Lehigh, Montgomery and Northampton Counties, PA, points in DE, points in Cecil, Harford, Baltimore, Kent, Queen Annes, Talbot, Caroline, Dorchester, Wicomico, Worcester and Somerset Counties, MD, Westminster, MD, and points in Accomack and Northampton Counties, VA, for 180 days. An underlying ETA seeks 90 days authority. Applicant intends to tack authority in this application to previous authority held under docket MC–20894. Applicant intends to interline with another carrier in Philadelphia, PA. Supporting shipper(s): J. C. Penny Catalog Distr. Ctr., 5500 S. Expressway, Forest Park, GA 30050. Wheaton Industries, Inc., Millville, NJ 08332. Sears Roebuck & Co., 4640 Roosevelt Blvd., Phila, PA 19132. Send protests to: I.C.C. Fed. Res. Bank Bldg., 101 N. 7th St., Rm 620, Phila, PA 19106.

MC 29555 (Sub-103TA), filed October 9, 1979. Applicant: GRIGGS TRANSPORTATION CO., N. 400 Griggs-Midway Bldg., St. Paul, MN 55104. Representative: Winston W. Hurd (same address as applicant). *Common carrier:* regular routes: *General commodities, except those of unusual value, livestock, Class A & B explosives, household goods as defined by the Commission, commodities in bulk, commodities requiring special equipment (except those requiring temperature control) and those injurious or contaminating to other lading* serving Milwaukee, West Milwaukee, West Allis, Wauwatosa Sherwood and Whitefish Bay, WI and the town of Milwaukee, Lake, Greenfield, Wauwatosa and Granville, Milwaukee County, WI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): There are 15 statements of support attached to this application which may be examined at the ICC in Washington, DC or the field office named below. Send protests to: Judith L. Olson, TA, ICC, 414 Fed. Bldg., 110 S. 4th St., Minneapolis, MN 55401.

Note.—Applicant request authority to interline and to tack this authority with authority it presently holds in No. MC–29555 and MC–F–13936.

MC 69224 (Sub-47TA), filed September 27, 1979. Applicant: H & W MOTOR EXPRESS COMPANY, 3000 Elm St., Dubuque, IA 52001. Representative: James E. Ballenthin, 630 Osborn Bldg., St. Paul, MN 55102. Common carrier, regular routes, *general commodities (except classes A and B explosives, household goods as defined by the Commission, and commodities requiring special equipment)* between Davenport, IA, and points in its commercial zone and Peoria, IL, and points in its commercial zone, from Davenport, IA, over Interstate Highway 74 to Peoria, IL, and return over the same route, for 180 days. Applicant intends to tack with authority in MC–69224 and interline with other carriers at Davenport, IA, and points in its commercial zone and Peoria, IL, and points in its commercial zone. An underlying ETA seeks 90 days authority. Supporting shipper(s): There are 23 shippers. Their statements may be examined at the office listed below and Headquarters. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 94265 (Sub-325TA), filed October 11, 1979. Applicant: BONNEY MOTOR EXPRESS, INC., P.O. Box 305, Windsor, VA 23487. Representative: John J. Capo, P.O. Box 720434, Atlanta, GA 30328. *Toilet preparations and related sundries carried by retail chains;* (1) from Detroit, MI, to AL, GA, NC, VA, WV, MD, DE, TN east of I–65, Philadelphia, PA, and SC; and (2) from Pulaski and Falmouth, VA, and Irwin, TN, to Detroit, MI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Supreme Distributors Company, 6501 E. McNichols, Detroit, MI 48205. Advance Promotions, Inc., 5570 Bellvue, Detroit, MI 48211. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila, PA 19106.

MC 107544 (Sub-149TA), filed October 9, 1979. Applicant: LEMMON TRANSPORT CO., INC., P.O. Box 580, Marion, VA 24354. Representative: Daryl J. Henry, P.O. Box 580, Marion, VA 24354. *Coal Treating Compounds and industrial water treating compounds, liquid, in bulk,* from Muscle Shoals, AL to points in KY, TN, VA and WV for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Nalco Chemical Co., 2901 Butterfield Rd., Oak Brook, IL 60521. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 109324 (Sub-44TA), filed October 25, 1979. Applicant: GARRISON MOTOR FREIGHT, INC., P.O. Box 1278, Harrison, AR 72601. Representative: W. D. Kirkpatrick, P.O. Box 1000, Staunton, VA 24401. Common carrier over regular routes: *General commodities* (except those of unusual value, class A and B explosives, household goods as defined by the Commission, commodities in bulk, and commodities requiring special equipment), between Oklahoma City, OK, and Sherman, TX, serving no intermediate points: from Oklahoma City over Interstate Hwy 35 to its junction with U.S. Hwy 82, then over U.S. Hwy 82 to Sherman, and return over same route, for 180 days. Underlying ETA seeks 90 days authority. Applicant intends to tack and interline. Supporting shipper(s): Approximately 10 shippers. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 109324 (Sub-45 TA), filed October 25, 1979. Applicant: GARRISON MOTOR FREIGHT, INC., P.O. Box 1278, Harrison, AR 72601. Representative: W. D. Kirkpatrick, P.O. Box 1000, Staunton, VA 24401. Common carrier over regular routes: *General commodities,* except those of unusual value, class A and B explosives, household goods as defined by the Commission, commodities in bulk, and commodities requiring special equipment, between Joplin, MO and Quapaw, OK, serving no intermediate points: from Joplin over U.S. Hwy 66 to Quapaw, and return over same route; between junction of U.S. Hwy 82 and Interstate Hwy 30 and Sherman, TX, serving no intermediate points, and serving the junction of U.S. Hwy 82 and Interstate Hwy 30 for joinder only: from the junction of U.S. Hwy 82 and Interstate Hwy 30 over U.S. Hwy 82 to Sherman, and return over same route; between Sherman, TX and Dallas, TX, serving no intermediate points: from Sherman over U.S. Hwy 75 to Dallas, and return over same route, restricted against handling of traffic between any two points in TX, for 180 days. Underlying ETA seeks 90 days authority. Applicant intends to interline and tack. Supporting Shipper(s): Approximately 26 shippers. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

Note.—This authority shall become null and void if for any reason the control of Rocket Freight Lines Company by Garrison Motor Freight, Inc., authorized in Docket MC–F–13638, is terminated.

MC 110325 (Sub-114 TA), filed October 2, 1979. Applicant: TRANSCON LINES, 101 Continental Boulevard, El Segundo, CA 90245. Representative: Wentworth E. Griffin, Esq., Griffin, Dysart, Taylor, Penner & Lay, P.C., 1221 Baltimore Avenue, Kansas City, Missouri 64105. *General commodities, (except Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment),* between the junction of Interstate Hwy 40 and U.S. Hwy 77 and the junction of Interstate Hwys 70 and 25, serving no intermediate points; from the junction of Interstate Hwy 40 and U.S. Hwy 77 over Interstate Hwy 40 to the junction of U.S. Hwy 270, then over U.S. Hwy 270 to the junction of OK Hwy 3, then over OK Hwy 3 to the junction of U.S. Hwy 83, then over U.S. Hwy 83, to the junction of Interstate Hwy 70, then over Interstate Hwy 70, to the junction of Interstate Hwy 25, and return over the same route, for 180 days. An underlying ETA seeks up to 90 days operating authority. Applicant intends to interline and tack. Supporting Shipper(s): Applicant's statement of operating economies. The statement of support may be examined at the office listed below and at the Interstate Commerce Commission Headquarters. Send protests to: Irene Carlos, TA, ICC, P.O. Box 1551, Los Angeles, CA 90053.

MC 110325 (Sub-115 TA), filed October 2, 1979. Applicant: TRANSCON LINES, 101 Continental Boulevard, El Segundo, CA 90245. Representative: Wentworth E. Griffin, Esq., Griffin, Dysart, Taylor, Penner & Lay, P.C., 1221 Baltimore Avenue, Kansas City, Missouri 64105. *General commodities, (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment),* between the junction of Interstate Hwy 20 and U.S. Hwy 81 and the junction of Interstate Hwys 25 and 70 serving no intermediate points, but serving the junction of Interstate Hwy 40 and U.S. Hwy 287 for purposes of joinder only, from the junction of Interstate Hwy 20 and U.S. Hwy 81 over combined U.S. Hwys 81 and 287 to the junction of U.S. Hwy 287, then over U.S. Hwy 287 to the junction of combined U.S. Hwys 287 and 87, then over combined U.S. Hwys 287 and 87 to the junction of U.S. Hwy 87, then over U.S. Hwy 87, to the junction of Interstate Hwy 25, then over Interstate Hwy 25, to the junction of Interstate Hwy 70, and return over the same route, for 180 days. An underlying ETA seeks up to 90 days operating authority. Applicant intends to interline and tack. Supporting Shipper(s): Applicant's statement of operating economies. The statement of support may be examined at the office listed below and at the Interstate Commerce Commission Headquarters. Send protests to: Irene Carlos, TA, ICC, P.O. Box 1551, Los Angeles, CA 90053.

MC 110325 (Sub-121 TA), filed October 5, 1979. Applicant: TRANSCON LINES, 101 Continental Boulevard, El Segundo, CA 90245. Representative: Wentworth E. Griffin, Esq., Griffin, Dysart, Taylor, Penner & Lay, P.C., 1221 Baltimore Avenue, Kansas City, Missouri 64105. *General commodities, (except those of unusual value, Classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment),* between the junction of Interstate Hwy 20 and U.S. Hwy 81 and the junction of CA Hwys 99 and 58, serving no intermediate points, from the junction of Interstate Hwy 20 and U.S. Hwy 81 over combined U.S. Hwy 81 and 287 to the junction of U.S. Hwy 287, then over U.S. Hwy 287 to to the junction of Interstate Hwy 40, then over Interstate Hwy 40 to the junction of CA Hwy 58, then over CA Hwy 58 to the junction of CA Hwy 99, and return over the same route, for 180 days. An underlying ETA seeks up to 90 days operating authority. Applicant intends to interline and tack. Supporting Shipper(s): There are no Certificates of Support attached, as this is an Application for an Alternate Route, and all the testimony will relate to the operating efficiencies and economy accruing to the Applicant. Send protests to: Irene Carlos, TA, ICC, 1321 Federal Building, 300 North Los Angeles St., Los Angeles, CA 90012.

MC 120364 (Sub-22TA), filed October 1, 1979. Applicant: A & B FREIGHT LINE, INC., 4805 Sandy Hollow Road, Rockford, IL 61109. Representative: Robert Kaske (same address as applicant). *General commodities (with the usual exceptions),* between Edgerton, Stoughton, and Madison, WI on the one hand, and, on the other, points in that part of IL bounded by a line beginning at the IL–WI line and extending southerly on IL 76, then to junction with IL Hwy. 88, then southeasterly on IL Hwy. 88 to junction IL Hwy. 92, then easterly on IL Hwy. 92 to junction with U.S. Hwy. 34, then easerly on U.S. Hwy. 34 to junction IL Hwy. 59, then northerly on IL Hwy. 59 to junction with IL Hwy. 83, to the IL–WI State line, then west on the State line to the place of beginning. Then also the points of Chicago, Des Plaines, Mt. Prospect, Arlington Heights, Elizabeth, Savanna, Mundelein, Round Lake, Woodbine, Apple River, Waudege Hanover, North Chicago, Galena, and Scales Mound, IL for 180 days. An underlying ETA seks 90 days authority. Applicant intends to interline and tack. Supporting shipper(s): There are ten supporting shippers. Their statements can be examined at the office listed below and Headquarters. Send protests to: Cheryl Livingston, TA, ICC, 219 S. Dearborn, Rm 1386, Chicago, IL 60604.

MC 121794 (Sub-7TA), filed November 9, 1979. Applicant: JAMES WILKETT, and individual, d.b.a. WILKETT TRUCKING COMPANY, P.O. Box 209, Stigler, OK 74462. Representative: John J. McMackin, Jr., Exq., 1101 Connecticut Avenue, Suite 500, Washington, DC 20036. *Coal,* from points in Haskell, LeFlore, Muskogee, Latimer, and Pittsburg Counties, OK, to points in Bosque, Morris, Freestone, and Harris Counties, TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Great National Corp.—Nevada, P.O. Box 35, McCurtain, OK 74944; Westhoff Brothers, Inc., Box 1096, Great Bend, KS 67930; and Randall

& Blake, Oklahoma, Inc., Box 133E, Route 1, Kinta, OK 74552. Send protests to: Connie Stanley, ICC, Rm. 240, 215 N.W. 3rd, Oklahoma City, OK 73102.

MC 123255 (Sub-218TA), filed September 14, 1979. Applicant: B & L MOTOR FREIGHT, INC., 1984 Coffman Rd., Newark, OH 43055. Representative: C. F. Schnee, Jr., (same address as applicant). *Paper and paper products* and *equipment, materials, and supplies* used in the manufacture and distribution thereof, from Philadelphia, PA commercial zone to all points in the States of IL, IN, and OH; from Columbus and Sandusky, OH, to all points in the States of IL, IN, and KY; from Jacksonville, FL, to all points in the States of AL, GA, and LA; From Mobile, AL, to all points in the States of IL, IN, OH and LA; and from Winslow, ME, to all points in the States of NJ, NY, OH and PA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Scott Paper Co., Scott Plaza, Phila., PA 19113. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila., PA 19106.

MC 124004 (Sub-53TA), filed November 2, 1979. Applicant: RICHARD DAHN, INC., 620 West Mountain Road, Sparta, NJ 07871. Representative: George A. Olsen, P.O. Box 357, Gladstone, NJ 07934. *Recycled materials,* between New York, NY on the one hand, and, on the other, points in the U.S. east of and including AR, IA, MN, MO and TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Parsons and Whittemore, Inc., 200 Park Avenue, New York, NY 10017. Send protests to: Joel Morrows, D/S, ICC, 744 Broad St., Room 522, Newark, NJ 07102.

MC 124774 (Sub-121TA), filed October 15, 1979. Applicant: MIDWEST REFRIGERATED EXPRESS, INC., 4440 Buckingham Avenue, Omaha, NE 68107. Representative: Arlyn L. Westergren, Westergren & Hauptman, Suite 106, 7101 Mercy Road, Omaha, NE 68106. *Iron and steel articles* from Marengo, IL to the facilities of Phillips Manufacturing Co., Inc. at Omaha, NE for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Phillips Manufacturing Co., Inc., Phil Sokolof, President, 4601 South 76th Street, Omaha, NE 68127. Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 124964 (Sub-60TA), filed October 17, 1979. Applicant: J. M. BOOTH TRUCKING, INC., P.O. Box 265, Tavares, FL 32778. Representative: George A. Olsen, P.O. Box 357, Gladstone, NJ 07934. *Contract carrier,* irregular routes, *transporting foodstuffs, as are dealt in by retail, wholesale, chain grocery, and food business houses,* from Starkville, MS, to points in FL, GA, and NC for 180 days. Under a continuing contract or contracts with Borden Foods, Division of Borden, Inc. An underlying ETA seeks 90 days authority. Supporting shipper: Borden Foods, Div. of Borden, Inc., 180 E. Broad Steet, Columbus, OH 43215. Send protests to: Jean King, TA, ICC, Box 35008, 400 West Bay Street, Jacksonville, FL 32202.

MC 126514 (Sub-61TA), filed October 30, 1979. Applicant: SCHAEFFER TRUCKING, INC., 5200 W. Bethany Home Rd., Glendale, AZ 85301. Representative: Leonard R. Kofkin, 39 S. La Salle St., Chicago, IL 60603. *Costume jewelry,* from the facilities of Avon Products, Inc., at Suffern, NY; Mansfield, MA; and Hoboken, NJ to Pasadena, CA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Avon Products, Inc., 9 West 57th St., New York, NY 10019. Send protests to: Ronald R. Mau, District Supervisor, 2020 Federal Bldg., 230 N. 1st Ave., Phoenix, AZ 85025.

MC 129974 (Sub-16TA), filed June 28, 1979. Applicant: THOMPSON BROS., INC., 3604 Hoveland Drive, Sioux Falls, SD 57101. Representative: Richard P. Anderson, 502 First National Bank Bldg., Fargo, ND 58126. *Contract carrier:* irregular routes: (1) *Pipe, pipe fittings, conduit, couplings and building materials; (2) materials and supplies used in the installation of those commodities names in part (1) above* from the facilities of Certain-Teed Corp. at or near McPerson, KS to points in MN, ND and SD for the account of Certain-Teed Corp. for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Certain-Teed Corp., P.O. Box 860, Valley Forge, PA. Send protests to: J. L. Hammond, DS, ICC, Room 455, Federal Bldg., Pierre, SD 57501.

MC 133655 (Sub-190TA), filed October 22, 1979. Applicant: TRANS-NATIONAL TRUCK, INC., P.O. Box 31300, Amarillo, TX 79120. Representative: Neil A. DuJardin, P.O. Box 2298, Green Bay, WI 54306. *Boxed cookies* from Abilene, TX to Birmingham, AL; Chatanooga, TN; Knoxville, TN; and Memphis, TN, for 180 days. An underlying ETA filed. Supporting shipper: Sunbeam Cookies, Inc., 6803 Anson Hwy, Abilene, TX 79604. Send protests to: Marianne Minnich, TCS, Interstate Commerce Commission, Rm. 9A27 Federal Bldg., 819 Taylor St., Fort Worth, TX 76102.

MC 133405 (Sub-11TA), filed June 29, 1979. Applicant: BOWIE HALL TRUCKING, INC., P.O. Box 353, Waldorf, MD 20601. Representative: Daniel B. Johnson, 4304 Eastwest Highway, Washington, D.C. 20014. *Malt bererages and materials and supplies used or useful in the manufacture of malt beverages (except commodities in bulk)* (1) between St. Louis, MO; Columbus, OH; Newark, NJ; Merrimack, NH, Williamsburg, VA; and Jacksonville and Tampa, FL for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Anheuser-Busch, Inc., St. Louis, MO 63118. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila., PA 19106.

MC 133805 (Sub-39TA), filed October 11, 1979. Applicant: LONE STAR CARRIERS, INC., Route 1, Box 48, Tolar, TX 76476. Representative: Gerald Ragle, 9632 Palo Pinto Road, Fort Worth, TX 76116. *Chemicals (except commodities in bulk) and mateials and supplies used in the distribution ihereof* from St. Louis, MO, points in CA and WY, and all points in the states east of the states of MN, IA, MO, AR, and LA, except Memphis, TN and Midland, MI, to the facilities of McKesson Chemical Company in the states of AR, LA, OK, TX and at Memphis, TN for 180 days. Supporting shipper(s): McKesson Chemical Company, 3525 N. Causeway Blvd., Jefferson Bank Bdg., Metairie, LA 70002. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Fort Worth, TX 76102.

MC 134404 (Sub-55TA), filed October 11, 1979. Applicant: AMERICAN TRANS-FREIGHT, INC., P.O. Box 796, Manville, NJ 08835. Representative: Eugene M. Malkin, Suite 1832, 2 World Trade Center, New York, NY 10048. Contract, irregular. *Calcium carbonate, drugs, chemicals, medicines and toilet preparations* (except commodities in bulk), between the facilities of Miles Laboratories, Inc., at or near West Haven, CT; Savannah, Ga; Elkhart, IN; Mechanicsburg, PA and Memphis, TN, for 180 days. Supporting shipper(s): Miles laboratories, Inc., 1127 Myrtle Street, Elkhart, IN. Send protests to: Irwin Rosen, T/S, ICC, 744 Broad Street, Room 522, Newark, NJ 07102.

MC 134405 (Sub-91TA), filed October 26, 1979. Applicant: BACON TRANSPORT COMPANY, P.O. Box 1134, Ardmore, OK 73401. Representative: Wilburn L. Williamson, Suite 615–East, The Oil Center, 2601 Northwest Expressway, Oklahoma City, OK 73112. *Proppant,* in bulk, from Fort Smith, AR, to points in TX, OK, WY, and LA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Norton Company, One New Bond St., Worcester, MA 01606. Send protests to: Connie Stanley, ICC, 240 Old U.S. Post Office and Courthouse, 215 Northwest Third Street, Oklahoma City, OK 73102.

MC 135605 (Sub-9TA), filed October 30, 1979. Applicant: WILKINSON TRANSPORT, INC., P.O. Box 25, Barton, AR 72312. Representative: R. Connor Wiggins, Jr., Suite 909, 100 North Main Building, Memphis, TN 38103. *(1) Plywood* from the facilities of McKnight Plywood, Inc., at or near Helena, AR, to points in the states of AL, KS, MS, OK, TN and TX; and *(2) particle board* from LA and OK to the facilities of McKnight Plywood, Inc. at or near Helena, AR; and *(3) veneer* from New Albany, IN, to the facilities of McKnight Plywood, Inc. at or near Helena, AR for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): McKnight Plywood, Inc., Garland Avenue, Helena, AR 72342. Send protests to: William H. Land, DS, 3108 Federal Bldg., Little Rock, AR 72201.

MC 135684 (Sub-98TA), filed October 16, 1979. Applicant: BASS TRANSPORTATION CO., INC., P.O. Box 391, Old Croton Road, Flemington, NJ 08822. Representative: Ronald L. Knorowski, P.O. Box 391, Old Croton Road, Flemington, NJ 08822. *Such commodities as are dealt in by retail, chain grocery and food business houses; material and supplies used in the manufacture and distribution of the above (restricted against transportation of commodities in bulk).* Between the facilities of Lever Brothers Company at or near Chicago, IL and Hammond, IN on the one hand, and on the other, points in CO, IL, LA, MN, MI, MO, MD, NJ, NY, OH, PA, RI, TX, and WI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Lever Brothers Company, 390 Park Avenue, New York, NY 10022. Send protests to: Irwin Rosen, T/S, ICC, 744 Broad St., Room 522, Newark, NJ 07102.

MC 135895 (Sub-72TA), filed September 26, 1979. Applicant: B & R DRAYAGE, INC., P.O. Box 8534, Battlefield Sta., Jackson, MS 39204. Representative: Douglas C. Wynn, P.O. Box 1295, Greenville, MS 38701. (1) *Salt and salt products* and (2) *equipment, materials and supplies used in the manufacture and distribution of salt and salt products* (except commodities in bulk and those requiring special equipment) between the facilities of Morton Salt Divison of Morton-Norwich Products, Inc. at or near Weeks Island, LA, on the one hand, and, on the other, points in AL, AR, FL, GA, LA, MO, MS, NC, OK, SC, TN and TX. Supporting shipper: Morton Salt Division of Morton-Norwich Products, Inc., 110 N. Wacker Dr., Chicago, IL 60606. Send protests to: Alan Tarrant, D/S, ICC, Federal Bldg., Suite 1441, 100 W. Capitol St., Jackson, MS 39201.

MC 138635 (Sub-97TA), filed October 22, 1979. Applicant: CAROLINA WESTERN EXPRESS, INC., Box 3995, Gastonia, NC 28052. Representative: W. C. Sutton, Box 3995, Gastonia, NC 28052. *Printed matter* from Gallatin, TN to points in GA, SC, NC, VA, NJ, PA, MD, DE, NY, CT, DC, WA, ID, OR, CA, UT, NV, and AZ, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Donnelly Printing Company, Gallatin Manufacturing Division, Steam Plant Rd., Gallatin, TN 37066. Send protests to: Sheila Reece, T/A, 800 Briar Creek Rd., Rm CC516, Charlotte, NC 28205.

MC 138635 (Sub-98TA), filed October 22, 1979. Applicant: CAROLINA WESTERN EXPRESS, INC., P.O. Box 3995, Gastonia, NC 28052. Representative: W. C. Sutton, P.O. Box 3995, Gastonia, NC 28052. *Materials, equipment, parts, and accessories used in the manufacture and distribution of trucks and truck tractors* from points in CA, OR, WA to Madison, TN and Denton, TX, restricted to traffic destined to the facilities of Peterbilt Motors Company, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Peterbilt Motors Company, 430 Myatt Dr., Madison, TN 37115. Send protests to: Sheila Reece, T/A, 800 Briar Creek Rd., Rm CC516, Charlotte, NC 28205.

MC 138885 (Sub-3TA), filed June 25, 1979. Applicant: BALDWIN LEASING COMPANY, INC., 801 Industrial Blvd., Bay Minette, AL 36507. Representative: Robert E. Tate, P.O. Box 517, Evergreen, AL 36401. Contract, irregular: *Cabinets, moulding, lumber and other materials used in the manfacture of cabinets* between Bay Minette, AL, on the one hand, and, on the other, points in the U.S. (except Alaska and Hawaii, from 180 days. Supporting shipper(s): Southern Kitchens, and W. N. Stuckey Moulding & Dimension Co., Inc., P.O. Box 428, Bay Minette, AL 36507. Send protests to: Mabel E. Holston, TA, 2121 Building, Suite 1616, 2121 Eighth Avenue, North, Birmingham, AL 35203.

MC 147475 TA filed November 15, 1979. Applicant: WHITE TOP TRANSPORT, INC., P.O. Box 675, 355 2nd Street, Lafayette, OR 97127. Representative: Patton Boggs & Blow, 2550 M Street NW., Washington, DC 20037, 202–457–6495. Contract, Irregular *(1) Scrap iron and steel and other raw materials, used in the manufacturing operations of Cascade Steel* from points in the United States west of the Mississippi River (except points in Alaska and Hawaii), on the one hand, to McMinnville, OR, on the other; *(2) Steel bars, fence posts and finished steel products* from McMinnville, OR, on the one hand, to points in the United States west of the Mississippi River (except points in Alaska and Hawaii), on the other, for 180 days. Supporting shipper(s): Cascade Steel Rolling Mills, Inc., 3200 N. Highway 99W, P.O. Box 687, McMinnville, OR 97128. Send protests to: A. E. Odoms, DS, ICC, 114 Pioneer Courthouse, 555 S.W. Yamhill, Portland, OR 97204.

MC 147904 (Sub-1TA), filed July 27, 1979. Applicant: BALLY CASE & COOLER, INC., Bally, PA 19503. Representative: Irving W. Coleman, 825 N. 12th Street, Allentown, PA 18102. *Contract carrier:* irregular routes: *glass refrigerator and freezer doors,* from Anthony's Manufacturing Co., Inc.'s premises in San Fernando, CA, to Anthony's customers east of the Mississippi. Initially, delivery points will be Fleetwood, PA, and Mt. Vernon, NY, for 180 days. Supporting shipper(s): Anthony's Manufacturing Co., Inc., 12812 Arroyo Street, San Fernando, CA 91342. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Phila, PA 19106.

By the Commission.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79–38502 Filed 12–14–79; 8:45 am]

BILLING CODE 7035–01–M

Fourth Section Application for Relief; Correction

In FR Doc. 79–37456, appearing page 70274 in the issue of Thursday, December 6, 1979, make the following change:

In the fourth line the date "January 7, 1980" should read "December 21, 1979".

BILLING CODE: 1505–01–M

V 44 D E 17 79 UMI

Sunshine Act Meetings

Federal Register
Vol. 44, No. 243
Monday, December 17, 1979

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94–409) 5 U.S.C. 552b(e)(3).

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1

[M–260, Amdt. 1; Dec. 10, 1979]

CIVIL AERONAUTICS BOARD.

Notice of deletion and addition of items to the December 13, 1979, meeting agenda.

TIME AND DATE: 9:30 a.m., December 13, 1979.

PLACE: Room 1027 (Open), Room 1011 (Closed), 1825 Connecticut Avenue, NW., Washington, D.C. 20428.

SUBJECT:

Deletion

15. Dockets 36174, 36397, 36384, 36321, 36395, 36389, 36392, 36386, and 36460; Pittsburgh/Houston-El Peso/Albuquerque/San Diego Show Cause Proceeding; new applications of American, Continental, Eastern, Hughes Airwest, Pan American, Republic, Southwest, Texas International and USAir. (BDA).

Addition

24a. Fuel-related transpacific fare increases proposed by Air New Zealand. (BIA).

STATUS: Open (Items 1–24a), Closed (Item 25).

PERSON TO CONTACT: Phyllis T. Kaylor, the Secretary, (202) 673–5068.

SUPPLEMENTARY INFORMATION: Item 15 is being deleted because it was improperly identified (should have been submitted as a "delegated authority" item), it was inadvertently placed on December 13, 1979 calendar. Item 24a must be acted upon by the Board prior to December 18, 1979, in order that the President be given his full ten days for review period. Because of the press of other work, it was not possible to submit Item 24a on a more timely basis. Accordingly, the following Members have voted that agency business requires the deletion of Item 15 and the addition of Item 24a to the December 13, 1979 agenda and that no earlier announcement of these changes was possible:

Chairman, Marvin S. Cohen
Member, Richard J. O'Melia
Member, Elizabeth E. Bailey
Member, Gloria Schaffer

[S–2439–79 Filed 12–12–79; 4:29 pm]
BILLING CODE 6320–01–M

2

[M–260, Amdt. 2; Dec. 12, 1979]

CIVIL AERONAUTICS BOARD.

Notice of addition of items to the December 13, 1979, meeting agenda.

TIME AND DATE: 9:30 a.m., December 13, 1979.

PLACE: Room 1027—(Open) 1825 Connecticut Avenue, NW., Room 1011—(Closed) Washington, D.C. 20428

SUBJECT:

16a. Dockets 37249 and 37250—Coleman Air Transport Corporation's 90-day notice and emergency exemption to suspend service at Cedar Rapids, Cincinnati, Des Moines, Indianapolis, Milwaukee and Moline (BDA) (Memo 9355)

24b. National's proposed fare increases between the Mainland and Puerto Rico (BDA) (Memo 9354)

STATUS: 1–24 (Open), 25 (Closed).

PERSON TO CONTACT: Phyllis T. Kaylor, the Secretary, (202) 673–5068.

SUPPLEMENTARY INFORMATION: The 90-day notice to terminate service was filed on December 11, 1979 along with an emergency exemption to terminate the service on one day's notice, effective December 11, 1979. Therefore, because of the time frame, Item 16a is being added to the December 13, 1979 agenda. Item 24b is being added to the December 13, 1979 agenda because that is the only remaining meeting before the effective date of the tariff, December 15. The reason for adding this item late is that the proposal was made on 30 days notice and a complaint was filed at the Division on November 27. Consultations were required with other offices of the Board. Accordingly, the following Members have voted that Items 16a and 24b be added to the December 13, 1979 agenda and that no earlier announcement of these additions was possible:

Chairman, Marvin S. Cohen
Member, Richard J. O'Melia
Member, Elizabeth E. Bailey
Member, Gloria Schaffer

[S–2443–79 Filed 12–13–79; 4:00 pm]
BILLING CODE 6320–01–M

3

FEDERAL HOME LOAN BANK BOARD.

TIME AND DATE: 9:30 a.m., December 20, 1979.

PLACE: 1700 G Street NW., Sixth Floor, Washington, D.C.

STATUS: Open Meeting.

CONTACT PERSON FOR MORE INFORMATION: Franklin O. Bolling, (202–377–6677).

MATTERS TO BE CONSIDERED:

Application for Branch Office—Fidelity Federal Savings and Loan Association, West Palm Beach, Florida
Application for Branch Office—Heritage Federal Savings and Loan Association, Kingsport, Tennessee
Application for Branch Office—Rusk Federal Savings and Loan Association, Rusk, Texas
Application for Branch Office—Western Federal Savings and Loan Association, Los Angeles, California
Application for Branch Office—Coast Federal Savings and Loan Association, Los Angeles, California
Application for Branch Office—Home Federal Savings and Loan Association, Marion, Ohio
Application for Branch Office—Coast Federal Savings and Loan Association, Los Angeles, California
Application for Limited Facility Branch Office—Naples Federal Savings and Loan Association, Naples, Florida
Service Corporation Investment in Limited Partnership—First Federal Savings and Loan Association of LaCrosse, La Crosse, Wisconsin
Merger—Northeast Savings and Loan Association, Honesdale, Pennsylvania INTO Citizens Savings Association, Mount Pocono, Pennsylvania
Merger—Holdrege Savings and Loan Association, Holdrege, Nebraska INTO Commercial Federal Savings and Loan Association, Omaha, Nebraska
Merger—Commerce Building and Loan Association, Commerce, Georgia INTO Athens Federal Savings and Loan Association, Athens, Georgia
Modification of Merger Condition—First Federal Savings and Loan Association of Tuscaloosa, Tuscaloosa, Alabama
Application for Bank Membership—Poughkeepsie Savings Bank, Poughkeepsie, New York
Application for Bank Membership—Branford Savings Bank, Branford, Connecticut
Application for Insurance of Accounts—Concho Valley Savings and Loan Association, San Angelo, Texas
Bank Membership and Insurance of Accounts—Lynnwood Savings and Loan Association, Lynnwood, Washington
Request for Extension of Time for Membership and Insurance Compliance—Mother Lode Savings and Loan Association, Sacramento, California
Preliminary Application for Conversion to a Federal Mutual Association—Standard Savings and Loan Association, Columbia, South Carolina
Permission to Organize a New Federal Association—Porter S. Horgan, et al., Hammond, Louisiana
Modification of Order—Surety Savings Association, Houston, Texas
Nomination of Director—Farmington Valley Savings and Loan Association, Farmington, Connecticut
Reconsideration Request Re:—Westchester Federal Savings and Loan Association, New Rochelle, New York
Proposed Automation of Consumer Complaint System
Authority to Incur Debt—Greater Ohio Corporation, Columbus, Ohio
Modification of Branch Office Resolution—First Federal Savings and Loan Association of Council Bluffs, Council Bluffs, Iowa
No. 300, December 13, 1979.

[S–2442–79 Filed 12–13–79; 3:28 pm]
BILLING CODE 6720–01–M

4

SECURITIES AND EXCHANGE COMMISSION.

Notice is hereby given, pursuant to the provisions of the Government in the Sunshine Act, Pub. L. 94–409, that the Securities and Exchange Commission will hold the following meetings during the week of December 17, 1979, in Room 825, 500 North Capitol Street, Washington, D.C.

An open meeting will be held on Tuesday, December 18, 1979, at 10 a.m., immediately followed by a closed meeting.

The Commissioners, their legal assistants, the Secretary of the Commission, and recording secretaries will attend the closed meeting. Certain staff members who are responsible for the calendared matters may be present.

The General Counsel of the Commission, or his designee, has certified that, in his opinion, the items to be considered at the closed meeting may be considered pursuant to one or more of the exemptions set forth in 5 U.S.C. 552b(c)(4)(8)(9)(A) and (10) and 17 CFR 200.402(a)(4)(8)(9)(i) and (10).

Chairman Williams and Commissioners Loomis, Evans, Pollack and Karmel determined to hold the aforesaid meeting in closed session.

The subject matter of the open meeting scheduled for Tuesday, December 18, 1979, at 10 a.m., will be:

1. Consideration of whether to amend certain rules which would (a) delegate to the Director of the Division of Investment Management ("Investment Management Director") the authority (i) to issue notices and orders in connection with certain applications for exemptive orders under the Investment Advisers Act of 1940 ("Advisers Act") and (ii) to permit the withdrawal of applications under the Advisers Act; and (b) delegate to the Investment Management Director, the Director of the Division of Enforcement and each of the Regional Administrators the authority to make written demands upon certain nonresident investment advisers to furnish to the Commission copies of certain books and records. For further information, please contact Michael J. Eizelman at (202) 272–2079.

2. Consideration of a petition of H. J. Heinz Company for review of the refusal by the Division of Corporation Finance to grant a request for an extension of time to file an annual report on Form 10–K for the fiscal year ended May 2, 1979, and the denial of a request for an extension of time to file the quarterly report on Form 10–Q for the three months ended August 1, 1979. For further information, please contact Michael A. Harring at (202) 272–2692 or Edward R. Zaval at (202) 272–2688.

3. Consideration of whether to adopt amendments to Rule 13a–13 [17 CFR 240.13a–13] and 15d–13 [17 CFR 240.15d–13] which are designed to defer the applicability of the quarterly reporting requirements to small life insurance companies through 1980. For further information, please contact Robert Rupp at (202) 272–2644.

The subject matter of the closed meeting scheduled for Tuesday, December 18, 1979, immediately following the 10 a.m. open meeting, will be:

Formal orders of investigation.
Access to investigative files by Federal, state, or self-regulatory authorities.
Litigation matters.
Chapter X proceedings.
Settlement of administrative proceeding of an enforcement nature.
Institution of injunctive action.
Freedom of Information Act appeal.

At times changes in Commission priorities require alterations in the scheduling of meeting items. For further information and to ascertain what, if any, matters have been added, deleted or postponed, please contact: John Ketels at (202) 272–2091.

December 12, 1979.

[S–2440–79 Filed 12–13–79; 9:18 am]
BILLING CODE 8010–01–M

5

[Meeting No. 1233]

TENNESSEE VALLEY AUTHORITY.

TIME AND DATE: 9:30 a.m., EST, Thursday, December 20, 1979.

PLACE: Conference Room B–32, West Tower, 400 Commerce Avenue, Knoxville, Tenn.

STATUS: Open.

MATTERS FOR ACTION:

Personnel Actions

1. Change of status for Ronald G. Domer from Chief, Civil Engineering Branch, to Assistant Manager of Engineering Design, Office of Engineeting Design and Construction.[1]

2. Change of status for Robert O. Barnett, Jr., from Civil Engineer to Chief, Civil Engineering Branch, Office of Engineering Design and Construction.[1]

3. Change of status for George F. Dilworth, Jr., from Nuclear Engineer to Chief Nuclear Engineer, Office of Engineering Design and Construction.[1]

4. New wage schedules for hourly and annual trades and labor employees and other recommendations resulting from negotiations between TVA and Tennessee Valley Trades and Labor Council. 45th Annual Wage Conference.[1]

Purchase Awards

1. Amendment to Contract No. 65P–47–T1 with AMAX, Inc., for coal for Paradise Steam Plant.

2. Req. No. 603008—Indefinite quantity term contract for carbon steel sheets, coils and strips (nuclear) for any TVA nuclear plant.

Project Authorization

1. No 3217.1—Amendment to project authorization for participation in Concurrent Scrubber Test Project with Electric Power Research Institute.

Real Property Transaction

1. Abandonment of easement rights in the Cleveland-Lonsdale telephone line right of way in Cleveland, Tennessee.

Unclassified

1. Revised TVA policy code relating to transportation.

CONTACT PERSON FOR MORE INFORMATION: Lee C. Sheppeard, Acting Director of Information, or a member of his staff can respond to requests for information about this meeting. Call (615) 632–3257, Knoxville, Tennessee. Information is also available at TVA's Washington Office (202) 245–0101.

Dated: December 13, 1979.

[S–2441–79 Filed 12–13–79; 2:42 pm]
BILLING CODE 8120–01–M

[1] These items were approved by individual Board members. This would give formal ratification to the Board's action.

V 44 D E 17 7 9 UMI

Reader Aids

Federal Register

Vol. 44, No. 243

Monday, December 17, 1979

INFORMATION AND ASSISTANCE

Questions and requests for specific information may be directed to the following numbers. General inquiries may be made by dialing 202-523-5240.

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CFR PARTS AFFECTED DURING DECEMBER

At the end of each month, the Office of the Federal Register publishes separately a list of CFR Sections Affected (LSA), which lists parts and sections affected by documents published since the revision date of each title.

3 CFR

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Memorandums:
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Executive Orders:
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AGENCY PUBLICATION ON ASSIGNED DAYS OF THE WEEK

The following agencies have agreed to publish all documents on two assigned days of the week (Monday/Thursday or Tuesday/Friday).

This is a voluntary program. (See OFR NOTICE FR 32914, August 6, 1976.)

Monday	Tuesday	Wednesday	Thursday	Friday
DOT/SECRETARY*	USDA/ASCS		DOT/SECRETARY*	USDA/ASCS
DOT/COAST GUARD	USDA/APHIS		DOT/COAST GUARD	USDA/APHIS
DOT/FAA	USDA/FNS		DOT/FAA	USDA/FNS
DOT/FHWA	USDA/FSQS		DOT/FHWA	USDA/FSQS
DOT/FRA	USDA/REA		DOT/FRA	USDA/REA
DOT/NHTSA	MSPB/OPM		DOT/NHTSA	MSPB/OPM
DOT/RSPA	LABOR		DOT/RSPA	LABOR
DOT/SLSDC	HEW/FDA		DOT/SLSDC	HEW/FDA
DOT/UMTA			DOT/UMTA	
CSA			CSA	

Documents normally scheduled for publication on a day that will be a Federal holiday will be published the next work day following the holiday.

Comments on this program are still invited. Comments should be submitted to the Day-of-the-Week Program Coordinator, Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408

***NOTE: As of July 2, 1979, all agencies in the Department of Transportation, will publish on the Monday/Thursday schedule.**

REMINDERS

The items in this list were editorially compiled as an aid to **Federal Register** users. Inclusion or exclusion from this list has no legal significance. Since this list is intended as a reminder, it does not include effective dates that occur within 14 days of publication.

Rules Going Into Effect Today

COMMODITY FUTURES TRADING COMMISSION

65735 11-15-79 / Designation of senior official to oversee Commission use of national security information

HEALTH, EDUCATION, AND WELFARE DEPARTMENT

Food and Drug Administration—

65974 11-16-79 / Listing of silver as color additive exempt from certification

HOUSING AND URBAN DEVELOPMENT DEPARTMENT

65924 11-15-79 / Section 8 Housing assistance payments program—Fair market rents and automatic annual adjustment factors, Schedule C

Office of the Assistant Secretary for Community Planning and Development—

69590 11-15-79 / Community development block grants technical amendments; interim rule

INTERSTATE COMMERCE COMMISSION

62517 10-31-79 / Pipeline companies, annual and quarterly reporting; elimination effective 12-17-79

Listing of Public Laws

Last Listing December 12, 1979

This is a continuing listing of public bills from the current session of Congress which have become Federal laws. The text of laws is not published in the **Federal Register** but may be ordered in individual pamphlet form (referred to as "slip laws") from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (telephone 202-275-3030).

H.R. 3354 / Pub. L. 96-137 To authorize appropriations for fiscal year 1980 for conservation, exploration, development, and use of naval petroleum reserves and naval oil shale reserves, and for other purposes. (Dec. 12, 1979; 93 Stat. 1061) Price $.75.

H.R. 4259 / Pub. L. 96-138 Authorizing the President of the United States to present a gold medal to the American Red Cross. (Dec. 12, 1979; 93 Stat. 1063) Price $.75.

S. 1491 / Pub. L. 96-139 To designate the building known as the Federal Building, at 211 Main Street, in Scott City, Kans., as the "Henry D. Parkinson Federal Building". (Dec. 12, 1979; 93 Stat. 1064) Price $.75.

S. 1535 / Pub. L. 96-140 To designate the Federal Building in Rochester, N.Y., the "Kenneth B. Keating Federal Building". (Dec. 12, 1979; 93 Stat. 1065) Price $.75.

S. 1655 / Pub. L. 96-141 To designate the building known as the Department of Labor Building in Washington, District of Columbia, as the "Frances Perkins Department of Labor Building". (Dec. 12, 1979; 93 Stat. 1066) Price $.75.

S. 497 / Pub. L. 96-142 To extend for three fiscal years the authorizations of appropriations under section 789 and title XII of the Public Health Service Act relating to emergency medical services, to revise and improve the authorities for assistance under such title XII, to increase the authorizations of appropriations and revise and improve the authorities for assistance under part B of title XI of such Act for sudden infant death syndrome counseling and information projects, and for other purposes. (Dec. 12, 1979; 93 Stat. 1067) Price $.75.

S. 239 / Pub. L. 96-143 "Domestic Volunteer Service Act Amendments of 1979". (Dec. 13, 1979; 93 Stat. 1074) Price $1.00.

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(Revised as of October 1, 1979)

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[A cumulative checklist of CFR issuances for 1979 appears in the back of the first issue of the Federal Register each month in the Reader Aids section. In addition, a checklist of current CFR volumes, comprising a complete CFR set, appears each month in the LSA (List of CFR Sections Affected).]

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Part II

Department of Defense

Privacy Act of 1974; Systems of Records; Annual Publication

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DEPARTMENT OF DEFENSE

Privacy Act Issuances; 1979 Annual Publication of Systems of Records

AGENCY: Department of Defense (DoD)

ACTION: 1979 Annual Publication of System of Records

SUMMARY: Federal agencies are required by the Privacy Act of 1974 to publish annually in the FEDERAL REGISTER a notice of record systems subject to the Act that are maintained by the agency. The purpose of this notice is to inform the public of the record systems maintained by the Components of the Department of Defense.

DATES: This document fulfills the annual notice requirement of the Privacy Act for the year 1979.

FOR FURTHER INFORMATION CONTACT: Lt Col Aurelio Nepa, Jr. USAF, Staff Director, Defense Privacy Board, ODASD(A), Room 818, Pomponio Plaza Building, 1735 N. Lynn Street, Arlington, VA 22209, telephone 202-694-3027.

SUPPLEMENTARY INFORMATION: This document gives public notice that the Department of Defense is issuing its annual publication for 1979 of system of records notices as required by 5 U.S.C. 552a(e)(4) of the Privacy Act of 1974 (Public Law 93-579). The system of records published herein by each individual Component of the Department of Defense represents the current record systems in effect as of October 26, 1979. This compilation includes all record systems that have been in existence, amended or added within the Department as of October 26, 1979. All systems included have been previously published in the FEDERAL REGISTER as a system notice for public review and comment. Accordingly, this annual compilation supersedes all previously published system of records and shall serve as a new base line of reference for citation purposes for any future deletions, additions, or amendments published subsequent to October 26, 1979, for the Department until the next annual publication.

DEPARTMENT OF DEFENSE COMPONENTS

The system of records in the DoD which are subject to the Privacy Act are maintained by the Components of the Department. These Components are:

Defense Mapping Agency
Defense Civil Preparedness Agency
Office of the Secretary of Defense
Defense Advanced Research Projects Agency
Department of the Air Force
National Security Agency
Defense Nuclear Agency
Organization of the Joint Chiefs of Staff
Defense Communications Agency
Defense Intelligence Agency
Department of the Navy/U.S. Marine Corps
Defense Contract Audit Agency
Defense Logistics Agency
Defense Security Assistance Agency
Defense Investigative Service

The Defense Security Assistance Agency has no system of records which requires publication under the Privacy Act. The Defense Civil Preparedness Agency (DCPA) has been incorporated by the Federal Emergency Management Agency (FEMA) by Presidential Reorganization Plan No. 3, of 1978. Although the DCPA record systems for 1979 are included in this DoD compilation, henceforth any further publications pertaining to DCPA systems shall be under the control of FEMA. Taking all the individual Component listings together constitute the total record systems in the Department which are required to be published.

DEPARTMENT OF DEFENSE COMPONENT IDENTIFIERS

Each published system of records is preceded by a code identifier. The first letter of the code represents the appropriate Component identifier. Following is a list of identifiers for the Department of Defense and its Components assigned by the Office of the Federal Register.

IDENTIFIER-COMPONENTS

A—Department of the Army (DA)
B—Defense Mapping Agency (DMA)
C—Defense Civil Preparedness Agency (DCPA)
D—Office of the Secretary of Defense (OSD)
E—Defense Advanced Research Projects Agency (DARPA)
F—Department of the Air Force (AF)
G—National Security Agency (NSA)
H—Defense Nuclear Agency (DNA)
J—Organization of the Joint Chiefs of Staff (JCS)
K—Defense Communications Agency (DCA)
L—Defense Intelligence Agency (DIA)
M—U.S. Marine Corps (USMC)
N—Department of the Navy (DON)
R—Defense Contract Audit Agency (DCAA)
S—Defense Logistics Agency (DLA)
T—Defense Security Assistance Agency (DSAA)
V—Defense Investigative Service (DIS)
W—Uniformed Services University of the Health Sciences (USUHS)

November 28, 1979

H. E. LOFDAHL,
Director, Correspondence and Directives, Washington Headquarters Services, Department of Defense

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602.04 Litigation Against AAFES Employees and/or AAFES
AAFES0604.02
604.02 Unfair Labor Practice Claim/Charges File
AAFES0702.01
0702.01 Paid Disbursement Files.
AAFES0702.22
0702.22 Check-Cashing Privilege Suspense Files.
AAFES0702.23
0702.23 Check-Cashing Privilege Files.
AAFES0702.23b
702.23 Dishonored Check Files
AAFES0702.34
0702.34 Accounts Receivable Files.
AAFES0702.43
0702.43 Travel Advance Register Files.
AAFES0702.44
0702.44 Travel Advance - Trial Balance Files.
AAFES0703.01
0703.01 AAFES Time Sheets.
AAFES0703.02
0703.02 Payroll Allotment Files.
AAFES0703.03
0703.03 United States Savings Bond Register Files.
AAFES0703.05
0703.05 Personnel Action/Discrepancy Notice Files.
AAFES0703.07
0703.07 Payroll Register Files.
AAFES0703.09
0703.09 Employer's Copy of Income Tax Withheld.
AAFES0703.10
0703.10 Employer's Quarterly Federal Tax Return Files.
AAFES0703.11
0703.11 Wage and Separation Information Report Files.
AAFES0703.12
0703.12 Payroll Adjustment Files.
AAFES0703.13
0703.13 Levy and Garnishment Files.
AAFES0703.14
0703.14 Payroll Report Files.
AAFES0704.04
704.04 Group Insurance Card Files
AAFES0704.05
0704.05 Retirement Card Files
AAFES0704.06
0704.06 Group Insurance Printout Files
AAFES0704.07
0704.07 Fidelity Bond Files
AAFES0704.08
0704.08 Accidental Death and Dismemberment Administrative Files
AAFES0704.09
0704.09 Personal Property Claim Files
AAFES0704.10
0704.10 Insurance Claims Files - Workmen's Compensation
AAFES0704.11
0704.11 Short/Long Term Disability Files
AAFES0704.12
704.12 Miscellaneous Employee Claim Files
AAFES0704.13
704.13 Annuity Eligibility Files
AAFES0704.14
704.14 Waiver of Premium Files
AAFES0704.15
704.15 Individual Retirement Files
AAFES0704.18
0704.18 Paid Death Claim Files
AAFES0803.01
0803.01 AAFES Incident Record.
AAFES0903.06a
0903.06 Systems Magnetic Tape Files.
AAFES0903.06c
0903.06 Systems Magnetic Tape Files.
AAFES0903.06d
903.06 Personal Property Transfer System
AAFES0903.06e
0903.06 Personal Profile.
AAFES0903.06f
0903.06 Personnel Management Information System (PMIS).
AAFES1100.31
1100.31 Personal Data Card
AAFES1203.03
1203.03 Appointment of Contracting Officers

AAFES1204.07
1204.07 Customers' Merchandise Returned for Repair or Replacement.
AAFES1300.01
1300.01 Progression Analysis Report (PAR)
AAFES1504.02
1504.02 Personal Property Shipment Files
AAFES1504.03
1504.03 Personal Property Storage Files
AAFES1504.04
1504.04 Carrier/Contractor Management Files
AAFES1609.03
1609.03 AAFES Catalog System (ACS)
AFAI-1
Federal Acquisition Personnel Information System.
AFAI-2
Individual Credentialing Services Program
A0007.02aDAPC
007.02 Information Personnel Files
A0101.20aAMC
101.20 Classified Matter Inventory Reporting Files
A0102.02aDARCOM
102.02 Office Personnel Register Files
A0102.03aDAAG
102.03 Office Personnel Locator/Organizational Rosters
A0102.04aDAPE
102.04 Supervisor/Manager Employee Records Files
A0102.04bNGB
102.04 Supervisor's Record of Technician Employment (NGB Form 904-1)
A0102.08aDAAG
102.08 Army Community Service (ACS) Volunteer Record
A0102.08bMTMC
102.08 Casualty Control Card
A0124.06aUSAREC
124.06 Recruiter Assignment Report
A0201.08aDACS
201.08 Central Files, Office of the Chief of Staff (DACS-DAS)
A0201.08bDAAG
201.08 Privacy Act Request File
A0201.08cOSA
201.08 Central Files, Office, Secretary of the Army (SAAA)
A0202.08DAAG
202.08 Request for Information Files
A0221.01aOSA
221.01a Committee Management Files
A0224.04DAIG
224.04 Inspector General Investigative Files
A0224.05aDAIG
224.05 Inspector General Complaint Files
A0225.01aDAPE
225.01 Military Police Management Information System (MPMIS) - Correctional Reporting System (CRS)
A0225.01bDAPE
225.01 Carpool Information/Registration System
A0225.06aTRADOC
225.06 Resource Accounting System
A0225.06bDACS
225.06 MISO Management (TWV)
A0225.06cDACS
225.06 Management of Army ADP
A0225.07aDACS
225.07 Teleprocessing Customer Identification System
A0225.09aAMC
225.09 Computer Technology Files
A0225.09bDARCOM
225.09 Visual Information System (VIS) Utilization.
A0225.11aDAAG
225.11 Master Index (NMI)
A0225.11bDAAG
225.11 USA Individual Ready, Standby and Retired Reserve Personnel Information System.
A0225.11eDAPC
225.11 Enlisted Master File (EMF)
A0225.11fDAPC
225.11 Enlisted Year Group Management File/RETAIN
A0225.11gDAPC
225.11 Recruit Quota System (REQUEST)
A0225.11iDAPC
225.11i Enlisted Evaluation System
A0225.11kDACS
225.11 Computer Users Information System
A0225.11lDACS
225.11 Consultant Reference System
A0225.12aDACS
225.12 Data Processing Installation Control System
A0228.01DAMH
228.01 Historian's Background Material
A0228.03DAMH
228.03 Historical Inquiry Files
A0228.04aDAMH
228.04 Historical Photographic Files
A0228.11DAAG
228.11 Memorialization Board Files
A0301.07aDAAG
301.07 Army Club Membership Registration System
A0301.08aDACA
301.08 Military and Civilian Waiver Files
A0301.08bDACA
301.08b Contractor Indebtedness Files
A0302.03aDACA
302.03 Subsidiary Ledger Files (Accounts Receivable)
A0302.06aDAIG
302.06 Travel Advance Accounting System (TAAS)
A0302.06bDACA
302.06b Absentee Apprehension/Reward/Expenses Payment SYSTEM
A0305.05aDACA
305.05 Travel Payment System
A0305.08aDACA
305.08 Military Pay System-Active Army (Manual)
A0305.10aDACA
305.10 Joint Uniform Military Pay System-Active Army (JUMPS-AA)
A0305.10bDACA
305.10 Joint Uniform Military Pay System-Reserve Components-Army
A0305.10cDACA
305.10 Joint Uniform Military Pay System-Army-Retired Pay
A0305.10dDACA
305.10 Health Program Pay and Reimbursement System
A0305.11aDAPE
305.11a USMA Cadet Pay and Accounts System
A0306.01aDACA
306.01 Civilian Employee Pay System
A0306.02aDACA
306.02 Nonappropriated Fund Employee Pay System
A0309.05aDAAG
309.05a Resource Management and Cost Accounting Files
A0314.08aDAAG
314.08 Check Cashing Privilege Files
A0314.09aDACA
314.09 Nonappropriated Fund Accounts Receivable System (NAFARS)
A0314.17aDAAG
314.17 Individual Transaction Files (Customer Orders)
A0314.24DAAG
314.24 Nonappropriated Fund Employee Insurance Files
A0314.30aDAAG
314.30 Nonappropriated Fund Instrumentality Membership Files
A0316.10DAIG
316.10 Program Management and Review System (PROMARS)
A0319.04DACA
319.04 Validation Files
A0319.06DACA
319.06 Household Goods Shipment Excess Cost Collection File
A0319.07DACA
319.07 Federal Housing Administration (FHA) Mortgage Payment Insurance Files
A0319.10DACA
319.10 Conversion Files
A0319.11DACA
319.11 Disbursing Office Establishment and Appointment Files
A0319.13DACA
319.13 Bankruptcy Processing Files
A0319.14DACA
319.14 Pecuniary Charge Appeal Files
A0320.01aDAEN
320.01 Corps of Engineers Management Information System Files
A0401.02bDAAG
401.02 Mailing List for Army Newspapers/Periodicals
A0401.07aOSA
401.07 Media Contact Files
A0401.07bOSA
401.07 Medal of Honor Recipient Files (Vietnam Era)

A0401.08DAJA
401.08 Prosecutorial Files
A0402.01aDAJA
402.01 General Legal Files
A0402.05aDAPE
402.05 Employment and Financial Interest Statement Files
A0402.06DAJA
402.06 Legal Assistance Case Files
A0402.07DAJA
402.07 Legal Assistance Interview Record Files
A0403.01aDAJA
403.01 U.S. Army Claims Service Management Information System (USARCS MISO).
A0403.06DAJA
403.06 Tort Claim Files
A0403.16DAJA
403.16 Army Property Claim Files
A0403.17DAJA
403.17 Medical Expense Claim Files
A0403.18DAAG
403.18 Claims Back-up File
A0404.08aDAPE
404.08 USMA Legal Files on Military and Civilian Personnel.
A0405.02DAJA
405.02 Foreign Jurisdiction Case Files.
A0405.04DAJA
405.04 Foreign Jurisdiction Reporting Files
A0406.01aDAJA
406.01 Patent, Copyright, Trademark, and Proprietary Data Files
A0406.01bUSAREUR
406.01b Civil Process Case Files and Reference Files
A0407.01aDAJA
407.01 Patent, Copyright, and Trademark Soliciting Files
A0408.01aDAJA
408.01 Patent, Copyright, and Data License Proffers, Infringement Claims, and Litigation Files
A0410.01DAJA
410.01 Litigation Case Files
A0410.04DAJA
410.04 Judicial Information Release File
A0411.03bDAAG
411.03 Congressional Correspondence Files
A0411.03cOSA
411.03 Congressional Inquiry File
A0411.08aOSA
411.08 Biographical Files of Members of Congress
A0412.01aDAAG
412.01 FUNERAL PLANS
A0412.05aOSA
412.05 Press Interest Reference Files
A0412.07DAJA
412.07 Witness Appearance Files
A0412.14aOSA
412.14 Biography Files
A0412.18aOSA
412.18 Correspondence (Civilian Aides to the Secretary of the Army)
A0501.02aDAMO
501.02 Security Issues Symposium
A0501.08eUSACIDC
501.08e Informant Register
A0501.10DAMI
501.10 Counterintelligence Research File System (CIRFS)
A0502.03aDAMI
502.03a Intelligence Collection Files
A0502.03bDAMI
502.03b Technical Surveillance Index
A0502.08aDAMI
502.08a Badge and Credential Files
A0502.10aDAMI
502.10 USAINSCOM Investigative Files System
A0503.03aDAMI
503.03a Department of the Army Operational Support Activities Files
A0503.06aDAMI
503.06 Counterintelligence Operations Files
A0506.01fDAMI
506.01 Personnel Security Clearance Information Files
A0506.01jUSAREUR
506.01 Employee Screening Program/Installation Access Files
A0506.05aUSMACTHAI
506.05 Diplomatic Immunity Roster
A0508.04USACIDC
508.04 US Army Criminal Investigation Fund Vouchers.
A0508.07aUSACIDC
508.07 Criminal Investigation Accreditation Files
A0508.09DAPE
0508.09 FBI Criminal-Type Reporting Files
A0508.11aUSACIDC
508.11 Criminal Investigation and Crime Laboratory Files
A0508.11bUSACIDC
508.11b Criminal Information Reports and Cross Index Card Files
A0508.11cUSACIDC
508.11c Special Agent Evaluation Files
A0508.16aDAPE
508.16 Absentee Case Files
A0508.17aDAPE
508.17 Military Police (MP) Reporting Files
A0508.17bUSARJ
508.17 Blackmarket Monitoring Files
A0508.17cUSARJ
508.17 Transfer of POV Files
A0508.24aDAPE
508.24 Serious Incident Reporting Files
A0508.25aUSACIDC
508.25a Index to Criminal Investigative Case Files
A0509.02aDAAG
509.02 Security Badge/Identification Card Files
A0509.03aDAPE
509.03 Trophy Firearm Registration
A0509.04aDAAG
509.04 Rod and Gun Clubs, Posts, Camps and Stations
A0509.05aTRADOC
509.05 Camper Trailer Registration Card File
A0509.08aDAPE
509.08a Registration and Permit Files
A0509.09aDAPE
509.09 Traffic Law Enforcement Files
A0509.18aDAAG
509.18 Solicitation Ban List Files.
A0509.18bDAPE
509.18b Expelled or Barred Person Files
A0509.19aDAPE
509.19a Military Police Investigator Certification Files
A0509.19bUSAREUR
509.19 US Army, Europe (USAREUR) Motor Vehicle Registry Files
A0509.19cUSMACTHAI
509.19 Vehicle Registration File
A0509.20aUSMACTHAI
509.20 Ration Control/Commissary/Cosmetic Purchase File
A0509.20bUSMACTHAI
509.20 Alphabetical Roster (Thailand)
A0509.21aDAPE
509.21a Local Criminal Information Files
A0601.08aDAAG
601.08 Club Management Personnel Files
A0603.05aDALO
603.05 Manpower Utilization Reporting System
A0606.07aDAPE
606.07 Safety Award Files
A0607.01bDAPE
607.01 Accident and Incident Case Files; Army Safety Management Information System
A0608.04aDASG
608.04 Radiation Incident Case Files
A0609.01aDASG
609.01 Individual Radiation Protection Files
A0611.05aDAAG
611.05 Individual Gravesite Reservation Files
A0614.01aNGB
614.01 Equal Opportunity Investigative Files
A0614.03aDAPE
614.03 Race Relations/Equal Opportunity & Equal Employment Opportunity Complaint Files
A0701.01aDAPC
701.01 Classification, Reclassification, Utilization of Soldiers
A0701.02aDAPC
701.02 Qualitative Management Program (QMP) Appeal File
A0701.02cDAPC
701.02 Separation Transaction Control/Records Transfer System
A0701.02eDAPC
701.02 Military Personnel Management Reports
A0701.02fDAPC

701.02 Selective/Variable Reenlistment Bonuses
A0701.02gDAPC
701.02 Dependents of Military Personnel/US Citizen Employees
A0701.07bAMC
701.07 Retirement Services Control Reference Paper Files.
A0701.07cDAPC
701.07 Enlisted Evaluation System/Report
A0701.07dUSAREC
701.07 High School Folder (Lead List)
A0701.08DAAG
701.08 Clemency Project
A0702.03aUSAREC
702.03 Enlistment Eligibility Files
A0702.04aDAAR
702.04 OCS Waiver Requests
A0702.04bDAPC
702.04 Eligibility Determination Files
A0702.08aDASG
702.08 Army Medical Procurement Applicant Files
A0703.01aDAPC
703.01 Military Personnel Action File
A0703.02aDAPE
703.02 United States (US) Military Academy Entrance Examination Result Files
A0703.04aDAPC
703.04 ROTC Member File
A0703.05aDAPC
703.05 ROTC Cadet Application Files
A0703.06bDAPC
703.06 Officer Candidate School (OCS) Application File
A0703.07aDAPE
703.07 Officer Availability and Civil School Mgt System
A0703.08a DAPE
703.08 Officer Personnel Information Files
A0703.09aDAPE
703.09 Evaluation Files on Cadets and Potential Instructors
A0704.03aDAPE
704.03 Accelerated Promotion/Early Discharge Report
A0704.04DASG
704.04 Medical and Dental Registrant Case Files
A0704.06aUSAREC
704.06 Recruiting Prospect Card Files
A0704.06bTRADOC
704.06b Army Reserve Officers' Training Corps (ROTC) LEADS Referral Card System
A0704.09aUSAREC
704.09 Center of Influence Card Files (USAREC Form 125)
A0704.09bDAPE
704.09 University of Hawaii Army ROTC Alumni
A0704.10aUSAREC
704.10 Recruiter Malpractice Files
A0704.10bMEPCOM
704.10 ASVAB Institutional Test Scoring and Reporting System
A0704.11aUSAREC
704.11 Recruiter Identification Report
A0706.02DAAG
706.02 Departure Clearance Files
A0706.06aUSAREC
706.06 Armed Forces Examining and Entrance Station (AFEES) Reporting System
A0707.05DAAG
707.05 Privilege Card Application Files
A0708.01aDAPC
708.01 Military Personnel Records Jacket Files (MPRJ)
A0708.01bNGB
708.01 Army National Guard Automated Personnel Reporting System
A0708.01cNGB
708.01 Military Personnel Records Jacket (MPRJ) (NGB)
A0708.02aDAPC
708.02 Official Military Personnel File
A0708.02bNGB
708.02 Official Military Personnel File (Army National Guard)
A0708.02cDAPC
708.02 Officer Personnel Management Information System (OPMIS)
A0708.03aDAPE
708.03 Special Review Board (SRB) Appeal Case Summary File
A0708.03bDAPC
708.03 Office General Reference/Information/Personnel File
A0708.05DAAG
708.05 Emergency Data Files
A0708.06aDAPC
708.06 Project Managers Development Program (PMDP).
A0708.07DAPE
708.07 Unfavorable Information Files
A0708.08aDAPC
708.08 Career Management Individual Files
A0708.08bUSAREC
708.08 Rapid Electric Ad Coupon Transmission (REACT)
A0708.13aDAIG
708.13 Inspector General Management Information System
A0708.13cDAPC
708.13 Foreign Area Officer (FAO) Training
A0708.13dDAPC
708.13 Enlisted Linguist Data Base (ELDB)
A0708.16aUSREDCOM
708.16 Military Personnel Data File, USREDCOM
A0708.17bDASG
708.17 Contract Surgeon Personnel Files
A0708.18aDAAG
708.18 Line of Duty Investigations
A0708.19aOSA
708.19 Correction Case Folders
A0708.20DAAG
708.20 Philippine Army Files
A0708.21aTRADOC
708.21 MASSTER Personnel Information System
A0708.21bDACA
Statement of Employment Files
A0709.01aDAPE
709.01 United States Military Academy Candidate Files
A0709.03aDAPE
709.03 United States Military Academy Cadet Files
A0709.03bDAPE
709.03 United States Corps of Cadets Personnel Records
A0709.03cDAPE
709.03 Admissions and Registrar Mailback Card
A0709.05aDAPE
709.05 Physical Profile
A0709.06aDAPE
709.06 Alumni Affairs and Gifts Program Division Donor Data Sys.
A0709.07aDAPE
709.07 Cadet Academic Management Information System
A0709.08aDAPE
709.08 Cadet Counseling File
A0709.09aDAPE
709.09 Biographical Card File
A0709.10aDAPE
709.10 Athletic Pointer File
A0709.11aDAPE
709.11 United STates Military Academy Cadet Record Card,
A0709.12aDAPE
709.12a USMA Admissions Participant Roster and File
A0710.02DAJA
710.02 JAGC Reserve Components Officer Personnel Records
A0710.08DAAG
710.08 Career Management Files of Dual Component Personnel.
A0710.09DAAG
710.09 Personnel Management/Action Working Files
A0710.10DAAG
710.10 Reserve Personnel Information Reporting System
A0711.02aDAPE
711.02 Personnel Research Survey Questionnaire and Test Records
A0713.09aTRADOC
713.09a Skill Qualification Test (SQT)
A0714.02aDAPC
714.02 Military Personnel Assignment Files
A0714.02dDAPC
714.02 Central Transient Account System (CTAS)
A0714.02fDAPC
714.02 Army Military Central Registry System.
A0714.04aDAPC
714.04 Branch Transfer/Detail Files.
A0714.06aHSC
714.06 Army Medical Department Personnel Management and Manpower Control System
A0714.06cDASG
AMEDD Personnel Management System
A0715.01aDAPC
715.01 Personnel Data Card
A0715.06aDAPC
715.06a Field Military Personnel Information System - SIDPERS

A0715.07bAMC
715.07 Computerized Time Accounting System (CTAS)
A0715.07cUSFK
715.07 Command Unique Personnel Information Data System (CUPIDS)
A0716.04aDAAG
716.04 Military Personnel Register Files
A0718.01DAPC
718.01 Military Award Case File
A0718.08DAAG
718.08 World War I Awards and Decorations Card File
A0719.01aDAPE
719.01 BOQ (Background Opinion Questionnaire)
A0719.01bDAPE
719.01 Attitude Surveys
A0720.04aDAPE
720.04 Individual Correctional Treatment Files
A0720.04bDAPE
720.04 Individual Correctional Treatment Files
A0721.11aDAPE
721.11 Individual Correctional Treatment Files
A0722.05aDACH
722.05 Chaplain Counseling/Interview Files
A0722.06aDACH
722.06 Religious Census, Education, and Registration Files
A0722.07aDACH
722.07 Religious Education Directors
A0723.01DAAG
723.01 Entertainment Case Files
A0723.02aUSAREUR
723.02 AYA Registration File
A0723.03aDAPE
723.03 Civilian Season Ticket Holders File
A0723.08bDAPE
723.08 Army Athletic Association Membership File
A0723.08cDACS
723.08 Pentagon Officers' Athletic Center Membership File
A0723.09aDAAG
723.09 Recreation Services Program Files
A0725.01aDAAG
725.01 Child Care Centers - Registration Files
A0725.01bDAAG
725.01 Financial Management Planning and Counseling
A0725.01cDAPC
725.01 Personnel Actions - Personal Affairs
A0725.01dDAAG
725.01 Personal Affairs Army Community Service Assistance Files
A0725.06aDAAG
725.06 Army Emergency Relief Transaction File
A0725.07aDAAG
725.07 Commercial Business Solicitation Files
A0726.04aDAAG
726.04 Casualty Case Files
A0726.04bDAAG
726.04 Report of Casualty Department of Defense (DD) Form 1300
A0726.06DAAG
726.06 Casualty Information System (CIS).
A0727.01DAPC
727.01 Misconduct/Unfitness/Unsuitability Discharge Board Proceedings File
A0727.05aOSA
727.05Army Council of Review Boards Files
A0727.05bDAPE
DOD Discharge Review Program (Special)
A0727.08aDAPC
727.08 Temporary Disability Retirement Master List (TDRL)
A0728.01DAAG
728.01 Retired Personnel Data File
A0802.01aNGB
802.01 Technician Personnel Management Information System (TPMIS)
A0807.01DAAG
807.01 MCT USAR Civilian Technician System
A0807.05aDAPE
807.05 NAF Personnel Records
A0807.09aDAPE
807.09 Grievances and Appeals Under Negotiated Grievance Procedures
A0807.14aDAPE
807.14 Department of the Army Civilian Personnel Systems
A0808.01aAMC
808.01 Hazardous Devices Course Graduates
A0810.01aAMC
810.01 Educational Development/Contractor Personnel
A0810.09DAEN
810.09 Contract Training File
A0810.10aDAEN
810.10 Military Construction Training Files
A0810.15AMC
810.15 Training Summary
A0811.05aAMC
811.05 Civilian Attorney/Patent Adviser Career Files
A0811.05bDAEN
811.05 Occupational Inventory Files
A0811.06DAPE
811.06 Referral Program for NAF Employees
A0812.04DAPE
812.04 NAF Complaint, Appeal & Grievance Case Files
A0814.02aDAPE
814.02 Labor Management Relations Records System
A0902.07aDASG
902.07 Medical Regulating Files
A0903.07DASG
903.07 Entrance Medical Examination Files
A0904.01aHSC
904.01 Medical Care Inquiry Files
A0905.03USAREUR
905.03 Claims Inventory of Active Claims for Medical Care under CHAMPUS
A0905.04USAREUR
905.04 Cross Reference List Report of Claims for CHAMPUS
A0905.05aUSMACTHAI
905.05 Active Claims for Medical Care Provided under CHAMPUS File
A0906.01DASG
906.01 Medical Review Files
A0906.02DASG
906.02 Mental Competency Review Files
A0906.03DASG
906.03 Medical Classification Files
A0906.04aDASG
906.04 Medical Evaluation Files
A0907.02DASG
907.02 USA Reserve Officer Training Corps (ROTC) Medical Examination Files
A0907.04DASG
907.04 United States Military Academy (USMA) Medical Qualification Files
A0909.01DASG
909.01 Patient Accountability Files
A0909.05DASG
909.05 Control Card Files
A0910.02DASG
910.02 Patient Trust Fund and Baggage Files
A0910.06DASG
910.06 Medical Services Account Files
A0911.05DASG
911.05 Individual Patient Diet Files (Department Army Form 2924)
A0912.01aDASG
912.01 Medical Staff Credentials File
A0912.01bDASG
912.01 Professional Consultant Control Files
A0912.01cDASG
912.01 Professional Personnel Informational File
A0913.02aDASG
913.02 Medical Prescription Files
A0914.02aDASG
914.02 Pathology Consultation Record Files
A0914.04aDASG
914.04 Clinical Investigation Record System
A0914.05DASG
914.05 Blood Donor Files
A0915.01aDASG
0915.01 Nursing Service Schedule Files
A0915.01bDASG
915.01 Nursing Service Personnel Data and Schedule Files
A0915.02DASG
915.02 Patient Condition Reporting File
A0915.03DASG
915.03 Temperature, Pulse, and Respiration Files
A0915.07DASG
915.07 Medical Facility Individual Reporting Files
A0916.02aDASG

916.02 Medical Treatment Indices
A0916.06DASG
916.06 Installation X-ray Index Files
A0917.01aDASG
917.01 Medical Treatment Record Files
A0917.05DASG
917.05 Spectacle Issue and Receipt Files
A0917.07DASG
917.07 Clinical Psychology Individual Case Files
A0917.08DASG
917.08 Social Work Individual Case Files.
A0917.09aDASG
917.09 Alcohol and Drug Abuse Rehabilitation Files
A0917.10aDAAG
917.10 Child Protection Case Management Files
A0918.05DASG
918.05 Tuberculosis Registry
A0920.02aDASG
920.02 Civilian Consultation Service Case Files
A0920.02bDASG
920.02 Military Consultation Service Case Files
A0920.04DASG
920.04 American Red Cross Consultation Service Case Files
A0921.01aDASG
921.01 Army Medical X-Ray Film Files
A0921.06DASG
921.06 Patient Treatment X-ray Films
A0922.01aDASG
922.01 Occupational Health and Tuberculosis Control System
A0923.01aDASG
923.01 Individual Safety and Health System
A0924.01DASG
924.01 Health Nursing Case Files
A0924.02DASG
924.02 Family Index Files
A0924.04DASG
924.04 School Health Files
A0925.04aDASG
925.04 Prosthetic Case Files
A0926.01DASG
926.01 Dental Health Record Files
A0926.02DASG
926.02 Military Dental Files
A0926.03DASG
926.03 Civilian Dental Files
A0926.05DASG
926.05 American Red Cross Dental Files
A0927.01DASG
927.01 Extra Oral Dental X-ray Files
A0929.02aDASG
929.02 Privately Owned Animal Record Files
A0929.04aDASG
929.04 Animal Death Certificate Files
A1001.02aTRADOC
1001.02 MASSTER OSUT Individual Basic Training Survey
A1001.07aDAMO
1001.07 Student Research Report Index
A1001.07bDAPE
1001.07 Training Performance Rating (TPR)
A1001.07dUSAREUR
1001.07 Training Management System
A1001.08aMTMC
1001.08 Computer Directed Training System (CDTS)
A1001.08bDAMO
1001.08 Student Reference Files
A1002.02aTRADOC
1002.02 Assessment of Tank Crew Training
A1002.05aDAPC
1002.05 Enlisted Training Base (ACT)
A1004.06aTRADOC
1004.06 ROTC Financial Assistance (Scholarship) Application File
A1008.05aUSAMSSA
1008.05 SMART (System to Manage AMSSA Required Training)
A1010.03aDAMO
1010.03 National Security Seminar (NSS) Guest Reference File
A1010.07aTRADOC
1010.07 Army School Files
A1010.07bAMC
1010.07 AMC School Files
A1010.07cDAMO
1010.07 Representatives of Carlisle and Vicinity
A1010.07dDAMO
1010.07 Biographic Files
A1011.04aDAPE
1011.04 USMA Institutional Research Survey File
A1011.04bDAMO
1011.04 Delphi Evaluation
A1012.01bDAPE
1012.01 USMAPS Admissions File
A1012.01dAMC
1012.01 Student Selection Files
A1012.02aDAPC
1012.02 Language School Files
A1012.03aTRADOC
1012.03 Army School Student Files
A1012.03bAMC
1012.03 AMC School Student Files
A1012.03cDAPE
1012.03 USMAPS Academic Files
A1012.03dTRADOC
1012.03 TRADOC Educational Data System (TREDS-ARS)
A1012.03eTRADOC
1012.03 TRADOC Educational Data System (TREDS-NRI)
A1012.03fDASG
1012.03 Army School Student Files, Physical Therapy Program
A1012.03gDASG
1012.03 Academy of Health Sciences, Student Affiliated Academic Records.
A1012.03hDASG
1012.03 Academy of Health Sciences-Nonresident Instruction Files.
A1012.03iDLI
1012.03 Standardized Student Records System
A1012.03jHSC
1012.03 Army School Student Files
A1012.03kUSAREUR
1012.03 Individual Academic Record Files
A1012.03lDAAG
1012.03 Reserve Officer Training Corps - Active Duty Training
A1012.03mDAMO
1012.03 United States Army War College Graduate Directory File
A1012.03nTRADOC
1012.03 Nonresident Instruction Automated System (NRIAS)
A1012.03oDAMO
1012.03 US Army War College Cooperative Degree Program Files
A1012.03pDAMO
1012.03 USAWC Individual Student Counseling Records
A1012.03qHSC
1012.03 Resident Instruction & Support Files
A1012.03rUSACSC
1012.03 Training/Development Records USACSC Military Personnel
A1012.04aDAPE
1012.04 USMAPS Training Files
A1012.04bTRADOC
1012.04 Resident Student Record System (RSR)
A1012.04cDAPE
1012.04 Correspondence School Academic Data File
A1012.04dDAPE
1012.04 Resident Student Electives Assignment File
A1012.04eDAPE
1012.04 Resident Student Evaluation System File
A1012.04fDAPE
1012.04 Resident Student Biographical Data Base
A1012.04gDAPE
1012.04 Resident Section Assignment File
A1012.09aDASG
1012.09 House Staff Evaluation Report File
A1012.10aDASG
1012.10 AMEDD Training Application Status Record
A1012.11aDASG
1012.11 Continuing Medical Education Course Attendance Files
A1013.01DAPC
1013.01 Civilian School Files
A1013.02aDASG
1013.02 Long Term Civilian Training Student Contract Files
A1013.04aDASG
1013.04 Residency, Subspecialty and Fellowship Training
A1013.05aDASG
1013.05 US Army Graduate Medical Education Trainee Card File
A1014.06aDAAG

1014.06 College Equivalency Evaluation
A1014.07aDAAG
1014.07 Enrollment Application Files
A1014.07bDAPE
1014.07 Correspondence School Basic Data File
A1014.08aDAAG
1014.08 General Educational Development (GED) Individual Record.
A1014.08bDAAG
1014.08 GED Reference Papers/Participation Education Program
A1014.08cDAAG
1014.08 College Transcript Registry System
A1014.10aDAAG
1014.10 Army Apprenticeship Program Participation Files
A1015.01aDAAG
1015.01 Dependent Children School Program Files
A1015.06DAAG
1015.06 School Employee File
A1019.03FORSCOM
1019.03 US Army Marksmanship Unit Data System (AMUDS)
A1101.07aDAMO
1101.07 Telephone Directories
A1101.08aUSACC
1101.08 Operation of Private Radio Station/Citizen Band Radio
A1106.04USACC
1106.04 MARS Member Files
A1107.17DAMO
1107.17 Photographer Identification Files
A1107.20aDAMO
1107.20 Photographic Caption Files
A1107.21aDAMO
1107.21 Still Picture Files (Personalities/Categories)
A1108.05aDAAG
1108.05 Postal Personnel Designation Files
A1108.16aDAAG
1108.16 Postal Directory Files
A1108.18DAAG
1108.18 Standing Delivery Order Files
A1111.01aDAPC
1111.01 Individual Flight Record File
A1111.02DAMO
1111.02 Flight Examination Files
A1111.14aUSACC
1111.14 Flight Regulation Violation Files.
A1111.16aUSACC
1111.16 Controller Training and Proficiency Record Files.
A1201.02aMTMC
1201.02 Transportation Administrative Files
A1201.02bMTMC
1201.02 Discrepancy in Shipment Report (DISREP)
A1201.07aUSAREUR
1201.07 Passenger Reservation Reference Paper Files
A1201.07bMTMC
1201.07 Transportation Reference Paper Files
A1201.07cMTMC
1201.07 Surface Cargo Export System (SURS)
A1201.07dMTMC
1201.07 Surface Retrograde Cargo Accountability/Control System
A1201.07eMTMC
1201.07 Terminal Management System - TOLS, CARDPAC, PRELODGE
A1201.07fMTMC
1201.07 Mechanized Export Traffic System (METS)
A1201.08aTRADOC
1201.08 Marine Personnel Qualifications/Record of Service Files.
A1202.15aUSAREUR
1202.15 Statistical Files-Household Goods and Baggage System
A1203.12aMTMC
1203.12 Bill of Lading Files
A1203.14aMTMC
1203.14 Prepaid Inbound Bill of Lading Files
A1203.18aMTMC
1203.18 Household Shipment Bill of Lading Files
A1203.19aAMC
1203.19 Household Shipment Contract Files
A1203.19cMTMC
1203.19 Household Shipment Contract Files
A1203.19dMTMC
1203.19 Household Shipment Contract/Nontemporary Storage Files
A1203.20aMTMC
1203.20 Household Shipment Reimbursement Files
A1203.27aMTMC
1203.27 Privately Owned Vehicle Shipment Files
A1205.16aDAAG
1205.16 Passport Files
A1205.17aDALO
1205.17 Passenger Warrant Files
A1205.19aDALO
1205.19 Baggage Inspection and Clearance Files
A1205.26aDALO
1205.26 Local Transportation Authorization Files
A1205.27aDALO
1205.27a Bus Pass File
A1205.30aDAAG
1205.30 Individual travel files
A1205.30bMTMC
1205.30 Individual Travel Files
A1207.08aDAPE
1207.08 Operator's Examination and Qualification Record Files.
A1207.08bUSAREUR
1207.08 Government Equipment Operator Permit Files
A1207.09aUSAREUR
1207.09 School Bus System (SBS)
A1301.07aAMC
1301.07 Alphabetical Listing of Scientists
A1301.07bAMC
1301.07b Food Taste Test Panel Reference Files
A1301.07cAMC
1301.07c Visiting Scientist Research Associates Reference Files
A1302.15aDAJA
1302.15 Unsolicited Proposal Files
A1304.08aDASG
1304.08 Immunity Booster Files
A1304.21aDASG
1304.21 Sandfly Fever Files
A1401.07aAMC
1401.07 Resumes for Non-Government Technical Personnel
A1401.08aDAAG
1401.08 Alphabetical Library Borrowers' File
A1402.18DAJA
1402.18 Procurement Misconduct Files (Fraud Cases)
A1402.20aUSAREUR
1402.20 Procurement Management Information System Europe
A1403.30aDAAG
1403.30 Commercial Entertainment Transaction Records
A1405.01AMC
1405.01 Contractor Personnel Files
A1416.05DALO
1416.05 Property Officer Designation Files
A1416.16DALO
1416.16 Hand Receipt Files
A1416.20DALO
1416.20 Personal Property Accounting Files
A1416.34DALO
1416.34 Personal Clothing Record Files
A1417.02DALO
1417.02 Authorized Supply Representative Card Files
A1417.03DALO
1417.03 Authorized Supply Representatives Card Register Files
A1420.08aAMC
1420.08 Equipment Operator Permit Files.
A1420.09AMC
1420.09 Equipment Operator Permit Register Files
A1427.01aDALO
1427.01 Laundry and Dry Cleaning Accounting Files
A1434.10AMC
1434.10 Small Arms Sales Record Files
A1501.07aDAEN
1501.07 Users' Profile System
A1503.07aDAEN
1503.07 Resettlement Files
A1504.08aDAEN
1504.08a Real Estate Outgrants
A1506.02aDAEN
1506.02 Homeowners Assistance Case Files
A1509.11aDAEN
1509.11 Integrated Facilities System (IFS)
A1511.01aDAEN
1511.01 Army Housing Information Management System (HIMS)
A1522.10aDAEN
1522.10 Reservoir Permit Files

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A1522.15aDAEN
1522.15 General Permit Files
A1524.11DAEN
1524.11 Violation Warning Files

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B0102-01 HQHTASID
102-01 Office General Personnel Files
B0102-03 HQHTASI
102-03 Office Personnel Locator Files
B0102-04 HQHTASID
102-04 Employee Record Card Files
B0102-08 HQHTASID
102-08 Office Personnel Information Files
B0102-09 HQHTASID
102-09 Duty Roster Files
B0102-09-2 HQHTASID
102-09 Duty Roster Files
B0102-10 HQHTASID
102-10 Standard of Conduct Files
B0102-11 HQHTASID
102-11 Temporary Duty Travel Files
B0104-02 HQHTASID
104-02 Records Access Files
B0104-12 HQHTASID
104-12 Security Awareness Files
B0104-13 HQHTASID
104-13 Personnel Security Clearance Information Files
B0201-05 HQHTA
201-05 DMA Central Clearance Group Pre-Employment Files
B0201-07 HQHT
201-07 Communications Center Release Authorization
B0201-07-1 HQHTASID
201-07 Military Personnel Reference Paper Files
B0210-06 HQHTASI
210-06 Inspector General Investigative Files
B0210-07 HQHTASI
210-07 Inspector General Complaint Files
B0228-04 HT
AR 228-04 Historical Photographic Files
B0228-10 HT
AR 228-10 Installation Historical Files
B0302-21 HTA
302-21 Record of Travel Payments
B0303-01 A
303-01 Individual Pay Record Files
B0303-02 HTA
303-02 Compensation Data Request Files
B0303-03 HTA
303-03 Individual Retirement Record Control Files
B0303-04 A
303-04 Leave Record Files
B0303-21 HTA
303-21 Decedent Claim Files
B0401-02 HQHTA
401-02 Statements of Employment and Financial Interest Files
B0401-03 HQHTA
401-03 Legal Assistance Case Files
B0402-05 HQHTA
402-05 Personal Property Claim Files
B0402-06 HQHT
402-06 Tort Claim Files
B0402-13 HQHTA
402-13 Agency Claim Files
B0403-12 HQHTASI
403-12 Patent and Invention Files
B0407-03 HQHTASID
407-03 Congressional Correspondence Files (Civilian Personnel-Congressional Inquiries)
B0408-11 HQHTASI
408-11 Biography Files
B0502-03 HQHTA
502-03 Master Billet/Access Record
B0502-03-2 HQHTASI
502-03 Classified Material Access Files
B0502-15 HQHTASI
502-15 Security Compromise Case Files
B0502-15-2 A
502-15 Security Violation Card File
B0503-02 HTASI
503-02 Security Identification Accountability Files
B0503-03 HTA
503-03 Firearms Authorization Files
B0503-04 HQHTASI
503-04 Parking Permit Control Files
B0503-05 HQHTASI
503-05 Vehicle Registration and Driver Record File
B0503-07 HTA
503-07 Traffic Law Enforcement Files
B0503-09 HQHTASI
503-09 Key Accountability Files
B0504-01 HQHTA
504-01 Personnel Security Files
B0504-01-2 HQHTASI
504-01 Personnel Security Files
B0504-01-3 HQHTA
504-01 Personnel Security Investigative Files
B0504-02 HQHTASI
504-02 Security Briefing and Debriefing Files
B0504-02-2 HQHTA
504-02 Special Security Briefing and Debriefing Files
B0601-01 HQHTASI
601-01 Civilian Personnel Program Reporting Files (Master File Printout)
B0601-01-2 HTA
601-01 Civilian Personnel Program Reporting Files (Employee Retirement Record)
B0601-01-3 A
601-01 Personnel Assistance Files
B0601-03 HQHTASI
601-03 Advanced Personnel Data System - Civilian (APDS-C)
B0602-03 HQHTASI
602-03 Organization File
B0602-06 A
602-06 Differential and Allowance Files
B0604-03 HQHTASI
604-03 Active Application Files (Applicant Supply Files)
B0604-04 HTA
604-04 Pending Application Files
B0605-01 HQHTASID
605-01 Equal Employment Opportunity Reporting Files
B0605-03 HQHTASID
605-03 Equal Employment Opportunity Complaint Case Files
B0606-01 HQHTASI
606-01 Official Personnel Folder Files
B0606-02 HQHTASI
606-02 Employee Service Record File
B0606-03 HQHTA
606-03 Expert and Consultant Data Files
B0606-05 HQHTASI
606-05 Adverse Action Files
B0607-01 HQHTASI
607-01 Personnel Locator Files (Alpha Listing)
B0607-03 HQHTASI
607-03 Chronological Journal Files
B0608-06 HQHTASI
608-06 Civilian Training Reporting Files
B0608-07 HTA
608-07 Civilian Training Program Files
B0608-08 HQHTASI
608-08 Training Files
B0608-09 HQHTASI
608-09 Contract Training Files
B0608-10 HQHTASI
608-10 Record of Training Files
B0609-01 HQHTASI
609-01 Referral and Selection Files
B0609-05 A
609-05 Occupational Inventory Files
B0609-05-2 HQ
609-05 Comptroller/Financial Management Civilian Career Referral System.
B0609-07 HQHTAI
609-07 Individual Overseas Employment Referral Files
B0609-09 A
609-09 Occupational Qualification List Files
B0609-11 HQHTA
609-11 Repromotion Eligibility Files
B0610-01 HQHTASI
610-01 Hours of Work Files
B0610-03 HQHTASID
610-03 Appeals Files
B0610-03-2 HQHTASID
610-03 Grievance Files

B0611-01 HTAI
611-01 Reduction in Force Card Files
B0611-03 HTAI
611-03 Retention Register Files
B0612-01 HQHTASI
612-01 Basic Labor Relations Files
B0613-05 HQHTASID
613-05 Incentive Awards
B0614-01 HT
614-01 Official Records (Military) Files and Extracts
B0614-02 HTA
614-02 Military Services Administrative Record Files
B0615-02 HQHTASI
615-02 Federal, State and Professional Safety Councils and Committees Files
B0615-07 HQHTASI
615-07 Safety Awards Files
B0615-11 HQHTASID
615-11 Accidental Injury/Death Reporting Records Files
B0901-04 HTA
901-04 Civilian Employee Health Clinic Record
B0901-06 HTAS
901-06 Blood Donors Files
B0901-07 HQHTAI
901-07 Alcoholism and Drug Abuse Files
B1001-09 S
1001-09 School Reporting Files
B1001-11 S
1001-11 Faculty Development Program Files
B1002-02 S
1002-02 School Faculty Board Review Files
B1002-06 S
1002-06 Individual Academic Record Files
B1002-07 S
1002-07 Collateral Individual Training Record Files
B1202-17 HTA
1202-17 Contracting Officer Designation Files
B1205-05 HTA
1205-05 Property Officer Designation Files
B1205-23 HTASID
1205-23 Report of Survey Files
B1206-02 HTA
1206-02 Self Service Store Authorization Card Files
B1208-06 HTA
1208-06 Motor Vehicle Operator's Permits and Qualifications Files
B1211-03 HQHTAI
1211-03 Passport Files
B1211-06 HQHTA
1211-06 Transportation Officer Appointment Files
B1211-07 HQHTA
1211-07 Individual Government Transportation Files

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CACC 2,3,5,6.
DCPA ACC 2, 3, 5, and 6 Payroll and Leave Accounting.
CACC 2,3,5,6A.
DCPA ACC 2, 3, 5, 6A, Travel and Transportation Accounting
CCOM 5
DCPA COM 5, Radio Amateur Civil Emergency Services (RACES) Plans
CEMO 1
DCPA EMO 1 EMERGENCY OPERATING PLANNING
CFEA 3-1
DCPA FEA 3-1 Civil Rights Complaint and Compliance Files
CIND 2
DCPA IND 2, Industrial Group Consultation
CINF 2-3
DCPA INF 2-3, Biographies
CINF 7
DCPA INF 7, Civil Defense Awards
CLEG 5
DCPA LEG 5-Interest-Conflict Review
CLEG 7-1
DCPA LEG 7-1-Claims (Litigation) - Employees
CLEG 7-2
DCPA LEG 7-2, Claims (Litigation)-Other than employees
CLEG 8-1
DCPA LEG 8-1 Enforcement, Compliance (DCPA Employees)
CLEG 8-2
DCPA LEG 8-2 Enforcement (Compliance) - Non-DCPA Employees
CMGT 2
DCPA MGT 2, Delegations and Designations Files
CMGT 4
DCPA MGT 4, Committee Management Files
CMGT 7
DCPA MGT 7, Defense Civil Preparedness Agency (DCPA) Central Files
CMGT 10
DCPA MGT 10, Program Management Information System
COSV 5
DCPA OSV-5, Office Services File System
CPER 1
DCPA PER 1, General Personnel
CPER 1-1
DCPA PER 1-1, Bond, Charitable, and Blood Donor Drives Files
CPER 4
DCPA Per 4, Military Reserve Program
CPER 5-1
DCPA PER 5-1 Executive Reserves
CPER 6
DCPA PER-6, Equal Employment Opportunity Discrimination Complaint Files
CPER 7
DCPA PER 7, Emergency Notification Lists
CPER 8
DCPA PER 8, Handicapped Employees and Handicapped Veterans
CPUB 3
DCPA PUB 3, Publications Distribution Lists - Computer Center
CPUB 3-2
DCPA PUB 3-2, Standard Publications Distribution Lists
CRAD 2-3
DCPA RAD 2-3, Instruments and Equipment, Loaned, Radioactive Materials
CRAD 3
DCPA RAD 3, Maintenance and Calibration
CRAD 4
DCPA RAD 4, Radiation Exposure and Radioactive Materials; Radiation Committee Records
CSEC 2
DCPA SEC 2, Classified Documents Control Files
CSEC 3-4
DCPA PER 3-4, Classified Clearances
CSHL 3
DCPA SHL 3, Summer Hire
CTNG 3
DCPA TNG 3, State and Local Civil Preparedness Instructional Program (SLCPIP)
CTNG 8
DCPA TNG 8, DCPA Form 1353, Appl for Enrollment in Arch & Engr Prof Dev Prog
CTNG 8-1
DCPA TNG 8-1 Qualified Instructor File
CTNG 13
DCPA TNG 13, Student Academic and Course Records, DCPA Staff College
CTNG 14
DCPA TNG 14, Home Study Courses, DCPA Staff College
CWNG 2-1
DCPA WNG 2-1, List of custodians of Decision Info Sys (DIDS) Radio Receivers

OFFICE OF THE SECRETARY OF DEFENSE

DAE01
Office Social Roster and Locator Card.
DAE02
03-3 and 03-4 Individual Personnel Files, 03-1b Consultants Files
DAS 01
Defense Audit Management Information System (DAS/MIS).
DATSD01
Files of Personnel Evaluated for Presidential Support Duties
DATSD02
Files of Periodic Management Assessments of certain Key Management Personnel and in DoD
DATSD03

Files of Personnel Evaluated for Non-Career Employment in DoD
DCOMP 01
Personnel Roster
DCOMP MS01
Training Records.
DCOMP MS02
Personnel Leave Schedule
DCOMP MS03
Personnel Records
DCOMP MS04
Civilian Pay time and Attendance Report.
DCOMP MS05
Request for Overtime Authorization.
DCOMP MS06
Time and Attendance Report.
DCOMP MS07
Classified Container Custodian Data, SD 411.
DCOMP MS08
List of personnel and security clearances
DCOMP MS11
List of Female Employees of OSD/OJCS
DCOMP PB01
Personnel File/Biography
DCOMP PB02
Personnel Roster
DCOMP PB03
Personnel Roster
DCOMP PB04
Personnel Roster
DCOMP SP02
Industrial Personnel Security Clearance Case Files.
DCOMP SP03
Administrative Files on Active Psychiatric Consultants to DoD.
DCOMP SP04
Motions for Discovery of Electronic Surveillance Files
DGC02
Private Relief Legislation File
DGC03
General Administrative File
DHA 04
Variable Incentive Pay for Medical Officers-Data Management System
DISA 01
ISA TELEPHONE DIRECTORY
DISA 02
ISA LOCATOR FILE
DISA 03
Organizational Personnel Files and 201 Files
DLA01
Security Clearance File
DLA02
Biographic Data File.
DMRA&L 01.0
Teacher Correspondence Files
DMRA&L 02.0
Teacher Application Files.
DMRA&L 03.0
Employer Support File (PLEDGE)
DMRA&L 06.0
Department of Defense Priority Placement Program (STOPPER LIST)
DMRA&L 07.0
Department of Defense Overseas Employment Program
DMRA&L 09.0
Defense Race Relations Institute (DRRI) Student File
DMRA&L 10.0
Equal Opportunity Complaint File
DMRA&L 12.0
Reserve Components Common Personnel Data System (RCCPDS)
DMRA&L 15.0
Reports of Defense Related Employment.
DMRA&L 16.0
Retired Personnel Master File
DMRA&L 17.0
DoD Overseas Dependent School Teachers Retroactive Pay Project
DMRA&L 18.0
Administrative Files (MRA&L)
DMRA&L 19.0
Automated Career Management System (ACMS) DD-M(AR)1456.
DOCHA 01
Health Benefits File
DOCHA 02
AR 340-18-9 Medical Care Inquiry Files
DOCHA 03
Health Benefits Preapproval Files
DOCHA 04
AR 340-18-4 Legal Opinion Files
DOCHA 05
Health Facilities File
DOCHA 06
AR 340-18-9 Policy and Precedent Files
DOCHA 07
Medical Claim History Files
DOCHA 08
DoD Health Services Enrollment/Eligibility System.
DPA DCR.A 01
Joint Civilian Orientation Conference Files
DPA DDI.A 02
Biography File
DPA DDI.B 03
Portrait-Photograph File
DPA DDI.C 04
Case Files
DPA DFOI.A 05
Freedom of Information Program Case Files
DPA DSR.A 06
Security Review Index File
DPA DXA.A 07
Personnel Files
DPA DXA.B 08
Contact Files
DPA DXA.C 09
Public Correspondence Files
DPA DXA.D 10
Privacy Act Request for Access Files
DPA&E 02
Administrative Files for Office of the Assistant Secretary of Defense for PA&E
DSMC-01
Defense Systems Management College (DSMC) Personnel Information Files
DSMC-02
Defense Systems Management College (DSMC) Student Files
DSMC-03
Defense Systems Management College (DSMC) Track Record System
DSMC-04
Defense Systems Management Collge (DSMC) Academic Analysis System
DSMC-05
Biographical Record System
DSMC-06
Defense Systems Management College (DSMC) Mailing List
DUSDRE 02
OUSDRE Personnel Administration Files
DUSDRE 03
Office of the Under Secretary of Defense for Research and Engineering (OUSDRE), Inventor's File.
DUSDRE 04
Requests for Two-year Foreign Residence Waiver Files
DWHS BF01
Travel Files
DWHS CD01
OSD General Correspondence Files
DWHS CD02
Cable Division Personnel Administration Files
DWHS IO&R01
Combat Area Casualties
DWHS P01
Supergrade Correspondence, Reports, and Case Files
DWHS P02
Job Opportunity Announcements
DWHS P03
DoD Program for Stability of Civilian Employment
DWHS P04
Reduction-In-Force Case Files.
DWHS P05
Roster of When Actually Employed Employees
DWHS P06
DoD-Wide Civilian Career Program for Comptroller/Financial Management Personnel
DWHS P07

Incentive Awards Records
DWHS P08
Worker's Compensation-On-The-Job Injuries Report File
DWHS P09
Computer Data Base.
DWHS P10
Training File.
DWHS P12
Executive Development Programs File
DWHS P13
Management Intern File
DWHS P14
Blood Donor Files
DWHS P17
Assignment Folders
DWHS P18
The Office of the Secretary of Defense Identification Badge Suspense Card System.
DWHS P19
General/Flag Officer Files
DWHS P20
Report of Personnel Assigned Outside of Department of Defense
DWHS P21
Duty Status Cards
DWHS P22
General/Flag Officer Roster
DWHS P23
Roster of Military Personnel.
DWHS P25
Overseas Staffing Files.
DWHS P26
Protective Services File
DWHS P27
Pentagon Building Pass Application File
DWHS P28
The Office of the Secretary of Defense Clearance File
DWHS P29
Employee Assistance Program Case Record Systems
DWHS P30
Labor Management Relations Records Systems
DWHS P32
Standards of Conduct Inquiry File
DWHS P33
Statements of Affiliations and Financial Interests File
DWHS P34
Non-Career Personnel Job Files
DWHS P36
Award records for military-Office of the Secretary of Defense (OSD) personnel.
DWHS SPM001
Application for Pentagon Parking Permit
DWHS SPM002
Pentagon Carpool Locator

DEFENSE ADVANCED RESEARCH PROJECT AGENCY

E DARPA 001
Travel File
E DARPA 002
Biographical Sketch
E DARPA 004
DARPA Personnel.

UNITED STATES AIR FORCE

F00401 05HCHLA
For Cause Separations of Personnel with Duty and Travel Restrictions (FCS/DTR)
F01001 AFA A
01001 AFA A Cadet Administrative Records.
F01001 CVAE A
01001 CVAE A Secretary of the Air Force Historical Records
F01001 DAYYT A
Unusual and Incoherent Translation Material
F01001 OBXQPCF
Planning and Resource Management Information System
F01001 REPX A
Inquiries (Presidential, Congressional)
F01001 SAFPC A
Air Force Discharge Review Board Retain Files
F01001 0CGBUZA
01001 0CGBUZA Individual Weight Control File.
F01001 0J DP F
Drug Abuse Ledger
F01001 0JDJDBB
Administrative Discharge Information Summary
F01001 0JMPLSA
Instructor of the Month Records
F01001 0KPNQSA
Potential Faculty Rating System
F01001 0QFJXTA
Office Projects/Studies (Behavioral Service Program)
F01001 0QKRSMA
Academic Completion Report
F01001 0QVDYDA
Correspondence, Message and Project Files (Civil Reserve Air Fleet Personnel)
F01001 05HCHLC
01001 05HCHLC Air Force Attache Record System
F01001 05HCHLD
01001 05HCHLD USAF Prisoner of War (PW) Debriefing Files
F01002 0QVDYDA
Military Airlift Command (MAC) Dishonored Check Program.
F01003 0IACYVA
01003 0IACYVA Background Material
F01101 DAYYT A
Operational Reference File
F01101 DPXJ B
Record of Air Force Personnel Assigned Outside the Department of Defense
F01101 DPXJC C
01101 DPXJC C USAF Reconstitution Requirements for Office of JCS and HQ USAF
F01101 PRES A
Check Cashing Privilege Files
F01101 0J TTSB
Graduate Evaluation Master File
F01101 0KPNQSA
Air Force Reserve Officer Training Corps (AFROTC) Membership System
F01101 0KPNQSB
Four Year Reserve Officer Training Corps (AFROTC) Scholarship Program Files
F01101 0KPNQSC
Individual Weight Loss Record.
F01101 0KPNQSD
Air Force Reserve Officer Training Corps (AFROTC) Guest Lecture Files
F01101 0SAWUBB
Source Support - Control Data
F01101 0UJCGJA
01101 0UJCGJA Career Development Graduates Historical Roster/Course Enrollees
F01101 02 ALSB
Complaints and Inquiries
F01102 ARPC A
01102 ARPC A Locator or Personnel Data.
F01102 DAYX A
01102 DAYX A Base, Unit, and Organizational Military and Civilian Personnel Locator Files
F01102 DPEEB A
01102 DPEEB A Congressional and Other High Level Inquiries.
F01102 DPXVH F
Congressional Inquiries
F01102 LLI A
01102 LLI A Microfilm Records Congressional/Executive Inquiries
F01102 OBXQPCA
Student Information Cards
F01102 SGA B
Medical Service Corps Personnel Files
F01102 SGPC C
Professional Inquiry Records System
F01102 SGPS D
Files of Waiver from flying duty (WAVR FILE)
F01102 SGPS F
High Level Inquiry File
F01102 SGV A
Veterinary Personnel Files
F01102 0IACYVB
01102 0IACYVB Locator Personnel Data.
F01102 0MUHHZA

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Air Force Office of Information/OI Personnel Background Record.
F01102 0MUHHZB
General/Colonel Status Board.
F01102 0RKNMDA
General Colonel Personnel Data Action Report.
F01102 0UMCBVB
Visual Aid.
F01102 02 ALSB
Civil Engineer Personnel Data Cards
F01103 OBXQPCC
Faculty Biographical Sketch
F01103XOBXQPCD
Class Committee Products
F01201 DAD A
01201 DAD A Privacy Act Request File.
F01201 0QPTFLA
Information Requests-Freedom of Information Act
F01201X0IACYVA
01201X0IACYVA Fee Case File
F016301SGV A
Veterinary Records
F02501 0IACYVA
02501 0IACYVA Manpower standards study reports.
F02503 DPCXP A
Committee Management Records
F02503 NB A
Biographical Information File
F02503 0J DP A
Commander Commander selection file.
F02503 0J DP B
Brigadier General screening board results
F03001 SAC A
03001 SAC A Drug Rehabilitation Action Management Information System.
F03001 DPXVV A
File Designation, Drug Abuse, Waiver Requests
F03001 JALA A
03001 JALA A Confidential Statement of Employment and Financial Interest
F03001 SPI A
Duty and Travel Restriction Notification Letters.
F03001 0CGBUZA
03001 0CGBUZA Drug/Alcohol Abuse Control Case Files
F03001 0JMPLSC
Drug Abuse Control Case Files
F03001XOBXQPCB
Military and Leadership Order of Merit System
F03001X0IACYVB
03001X0IACYVB Inquiries on the Reserve Program
F03002 SPO A
Documentation for Identification and Entry Authority .
F03002 0IACYVA
03002 0IACYVA Applications for Identification (ID) cards.
F03003 DPMSACB
Deceased Service Member's Dependent File
F03003 DPMSACC
Indebtedness, Nonsupport, Paternity
F03003 DPMSC A
03003 DPMSC A Casualty Files
F03003 XOXXX
03003 XOXXX Next of Kin Inquiries Civilian MIA/PWs
F03004 AFDPMDA
Contingency Planning Support Capability (CPSC)-Data Systems Designator (DSD) A349
F03004 AFDPMDB
03004 AFDPMDB Advanced Personnel Data System (APDS) - ADS: E300
F03004 ARPC A
03004 ARPC A Point Credit Accounting Record System. (PCARS).
F03004 SGPA A
USAF Aerospace Medicine Personnel Career Information System
F03004 SGPA B
Bioenvironmental Engineer Personnel Career Information System
F03004 SGPA C
Aerospace Physiology Personnel Career Information System
F03004 0EACYVA
03004 0EACYVA Military Personnel Expense Distribution Listing.
F03004 0J RSSA
processing and Classification of Enlistees (PACE)
F03004 0J RSSB
Enlistee Quality Control Monitoring System E818.
F03004 0QVDYDA
military Airlift Command (MAC) Special Executive Development Program
F03004 0SGHLNA
Group Scheduling Listing
F03004 0TMUHJK
base Automated Mobility System (BAMS) Personnel Extract Tape
F030040BXQPCAB
Military Personnel Administrative Records.
F0300410HAJXFA
Air Force Systems Command (AFSC) Personnel Resource Management System
F0300410HAJXFB
potential Program Managers Tracking System (PPMTS)
F0300410HAJXFC
Air Force System Command Personnel Data Retrieval System.
F03005 PRENC A
Equal Opportunity in Off-Base Housing
F03005 PRENC B
Off-Base Housing Referral Service
F03005 PRENC C
Base Housing Management
F03005 02 ALSA
On/Off-Base Housing Records
F03007 0QPTFLB
Visiting Officer quarters-transient airman quarters reservation.
F03403 DPMSP A
Nonappropriated Fund (AF NAF) Employee Insurance and Benefits System File.
F03501 AFDPG O
03501 AFDPG O General Officer Personnel Data System
F03501 AFDPG Z
03501 AFDPG Z General Officer Personnel Data System
F03501 AFDPO U
Office File
F03501 AFREP T
Files on General Officers and Colonels Assigned to General Officer Positions
F03501 ARPC A
03501 ARPC A Informational Personnel Records.
F03501 ARPC B
03501 ARPC B Biographical File.
F03501 ARPC C
03501 ARPC C Personnel Management Records
F03501 ASGPS R
03501 ASGPS R Medical Opinions on Board for Correction of Air Force Military Records Cases (BCMR)
F03501 DP 3
03501 DP 3 Unit Assigned Personnel Information File
F03501 DPMAK J
Separation Case Files (Officer and Airman).
F03501 DPMAKEI
03501 DPMAKEI Absentee and Deserter Information Files
F03501 DPMAO K
Officer Effectiveness Report (OER)/Airman Performance Report (APR) Appeal Case Files.
F03501 DPMAR
03501 DPMAR Disability/Non-Disability Retirements Records
F03501 DPMDQIA
03501 DPMDQIA Military Personnel Records System
F03501 DPMDRAB
Correction of Military Record Card
F03501 DPMHC L
Chaplain Applicant Processing Folder
F03501 DPMSG M
Health Education Records.
F03501 DPMSG N
Application for Appointment and Extended Active Duty Files.
F03501 DPMSG O
Medical Officer Personnel Utilization Records
F03501 DPMVO I
Effectiveness/Performance Reporting Systems.
F03501 DPMYR R
Statutory Tour Program
F03501 DPPPS S
United States Air Force (USAF) Airman Retraining Program.
F03501 HC A
Chaplain Personnel Record
F03501 HC B

Chaplain Information Sheet
F03501 MPC A
F03501 MPC A Civilian/Military Service Review Board Card.
F03501 REP A
03501 REP A Personnel Files on Statutory Tour Officers
F03501 REP B
Files on AF Reserve General Officers; Colonels assigned to General Officer Positions
F03501 SAFCB A
Military Records Processed by the Air Force Correction Board
F03501 SAFOI B
Mobilization Augmentee Training Folders
F03501 SGPC M
Physician Personnel Files
F03501 0CGBUZA
Informational Personnel Training Records
F03501 0CGBUZB
Informational Personnel Records.
F03501 0IACYVG
03501 0IACYVG Correction of Military Records of Officers and Airmen
F03501 0J DP A
Officer Status File
F03501 0J DP B
Status of Ineffective Recruiter
F03501 0KPNQSC
03501 0KPNQSC AFJROTC Instructor Records System
F03501 0KPNQSD
Air Force Junior ROTC (AFJROTC) Instructor Applicant System
F03501 0MUHHZA
Personnel Interview Record
F03501 0MUHHZB
Curriculum Vitae
F03501 0QAGGNA
Informational Personnel Records.
F03501 0TKWRDC
Informational Personnel Records.
F03501 0TMUHJA
Informational Personnel Records. (OI personnel background)
F03501 0UMCBVA
Geographically Separated Unit Copy Officer Effectiveness & Airman Performance Report
F03501 05HCHLH
Reserve Management and Mobilization System (RMAMS)
F03501 06SCEYA
Air Force Audit Agency (AFAA) Personnel Electronic Evaluation, Reporting System (PEERS)
F03501 06SCEYB
Informal Airmen/Reserve Information Record
F03501 06SCEYC
AFAA Management Information System - Career File
F03501 06SCEYD
Air Force Audit Agency Office Personnel File
F03501 06SCEYE
Air Force Audit Agency Office File
F03501 07YLNGA
Informational Personnel Records.
F03501 07YLNGB
Internal Personnel Data System
F03501A0SSGBP
Education and Training Fact Sheets.
F03501B0SBAEYA
Request for Clinical Priviledge at USAF Hosp Beale
F03501B0SPCZPB
Navigator Background Information
F03501FSFPC A
Air Force Discharge Review Board original case files.
F03501XOBXQPCB
Prospective Instructor Files
F03501X0IACYVA
03501X0IACYVA Reserve Supplement Officer (RSO) Case File.
F03501X0IACYVB
03501X0IACYVB Application for Separation from the Regular AF to AF Reserve/Air National Guard.
F03501X0IACYVD
03501X0IACYVD Servicemens Group Life Insurance (SGLI) Entitlement Case Files.
F03501X0OTAYZA
Management Control System (MCS)
F035010BXQPCAB
Admissions and Registrar Records
F0350120SSGBPA
Information Officer Background Record
F03502 AFA A
03502 AFA A Cadet Management System
F03502 DPMMB A
Selective Reenlistment Consideration
F03502 DPMMB B
Request for Variable Reenlistment Bonus (VRB) and/or Advance Payment of VRB.
F03502 OBXQPCB
03502 OBXQPCB Cadet Personnel Records System
F03502 OBXQPCD
Master Cadet Personnel Record (RR)/Historical
F03502 OBXQPCE
Master Cadet Personnel Record (RR)/Active, Directorate of Cadet Records
F03502 0MUHHZA
Manning Specialist Evaluation.
F03502 07YLNGA
Career Development Folder.
F03503 ATC A
03503 ATC A Recruiting Research and Analysis System
F03503 ATC RSL
03503 ATC RSL Basic Trainee Interview Record
F03503 ATC RSM
03503 ATC RSM Recruiting Activities Management Support System (RAMSS)
F03503 DPMMP A
Air Force Enlistment/Commissioning Records System
F03503 0MUHHZA
Reserve manning Report.
F03504 AA A
Secretary of the Air Force Military Personnel Administration
F03504 DPM A
03504 DPM A Relocation Preparation Project Folders.
F03504 DPMHC A
Chaplain Personnel Action Folder
F03504 DPMHC B
Assignment Action File
F03504 DPMRA C
Airmen Utilization Records System
F03504 DPMRO D
Officer Utilization Records System
F03504 DPMYCOF
Incoming Clearance Record
F03504 OYUEBLA
Training status Code.
F03504 OYUEBLB
03504 OYUEBLB Commander Identification.
F03504 OYUEBLC
03504 OYUEBLC Air Traffic Control (ATC) Personnel Reporting.
F03504 XOXXE A
Air Force Advisory Personnel in Latin America
F03504 0IACYVA
03504 0IACYVA Data Change/Suspense Notification.
F03504 0JMPLSB
Classification screening records.
F03504 0JMPLSC
03504 0JMPLSC Assessments screening records.
F03504 0JMPLSD
Redline control report.
F03504 0KPNQSB
Air University (AU) Advanced Degree Application.
F03504 0KPNQSC
Officer assignment files.
F03504 0SPCZPA
Bomber mobilization recovery roster.
F03504 0TMUHJD
PCS funds control log.
F03504AAFSS S
Office Personnel Data Informational Files
F03504B0SSGBPB
Palace Chase assignment applications.
F03504X0XOXASA
Officer Effectiveness Report Data Card
F03505 DPMAO A
Unfavorable Information Files (UIFs)
F03505 DPMAO B
03505 DPMAO B Personnel Action File (Digest File)
F03505 0IACYVA
03505 0IACYVA Unfavorable Information Files (UIFS) on Officers and Airmen.
F03506 DPMAW A

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Air Force Personnel Test 851, Test Answer Cards.
F03506 DPMYA
03506 DPMYA Military Service Inventory Research Program.
F03506 0KPNQSA
Air Force Reserve Officer Training Corps Qualifying Test Scoring System
F03507 DPMAJDA
Flying Status Branch File
F03507 SGPA A
Application for Advanced Aeronautical Rating File (Senior and Chief Flight Surgeon)
F03507 0IACYVA
03507 0IACYVA Flying Status Actions
F03507 0J DP A
flying evaluation board(feb) file
F03508 DPMAJAA
Officer Promotion and Appointment
F03508 DPMAJBA
Recorder's Roster
F03508 DPMAW M
Historical Airman Promotion Master Test File (MTF)
F03508 0IACYVA
03508 0IACYVA Officer promotions.
F03508 0IACYVB
03508 0IACYVB Air Force Reserve Airman Demotions
F03508DPMAW
Airman Promotion Historical Records
F03509 0IACYVA
03509 0IACYVA Requests for Discharge From the Air Force Reserve.
F03509 0IACYVB
03509 0IACYVB Administrative Discharge for Cause on Reserve Personnel
F03509A0SSGBPA
Administrative Discharge File
F04001 DPCX A
Non-Appropriated Fund (NAF) Civilian Personnel Records
F04001 06SCEYA
Merit Promotion File
F04001 1PTAYZC
Civilian Pay-Personnel-Manpower (Paperman) - E205
F04002 DPCMS A
Civilian Personnel Applicant Supply Files
F04002 DPCMS B
Civilian Personnel Test Score Record
F04002 DPCMS C
Job Element Questionnaires for Civilian Trades and Labor occupations
F04002 DPCMS D
Civilian Personnel Occupational and suitability employment examinations
F04002 OBXQPCB
Temporary Quarters Subsistence Expense
F04002 0MUHHZA
Air Reserve Technician (ART) officer selection folders
F04002 0MUHHZB
Air Reserve Technician Data System
F04003 DPCMT A
Training and Employee Development Record Systems.
F04003 06SCEYB
Long-Term Full-Time Training File
F04004 DPCE B
04004 DPCE B Civilian Personnel Performance Awards and Outstanding Performance Ratings
F04004 DPCE C
Labor Management Relations Records Systems
F04004 DPCMS A
Employee Assistance Program Case Record Systems.
F04008 AA A
Civilain Personnel Files
F04008 DPCE A
Supervisor's Record of Civilian Employee
F04501 ARPC A
04501 ARPC A Air Force Reserve Application.
F04501 DPMMP A
Educational Delay Board Findings
F04501 OI A
04501 OI A Air National Guard Information Personnel Background File
F04501 0IACYVA
04501 0IACYVA Air Force Reserve Applications
F04501 0IACYVC
04501 0IACYVC Professional Officer Course(POC) and Financial Assistance Program Cadets
F04501 0KPNQSA
04501 0KPNQSA Cadet records.
F04501 0KPNQSB
04501 0KPNQSB Air Force ROTC Field Training Administration System.
F04501 0KPNQSC
AFROTC field training assigment system.
F04501 0KPNQSD
Flight instruction program (FIP).
F04501X0IACYVA
04501X0IACYVA Air Force Service Data of Employees and Relatives.
F04501X0IACYVD
04501X0IACYVD Air Force Reserve Officer Training Corps (AFROTC) Contract Violators.
F04501X0IACYVE
04501X0IACYVE Involuntary Recall.
F04501X0MUHHZA
Reserve medical service corps Officer appointments.
F04502 0IACYVA
04502 0IACYVA Inactive Duty Training, Extension Course Institute (ECI) Training
F05001 AFA A
05001 AFA A Faculty Academic Records.
F05001 AFSS A
05001 AFSS A Training Summaries.
F05001 SAFOI B
Information Officer Short Course Eligibility File
F05001 0BXQPBB
05001 0BXQPBB USAF Academy Cadet/Nominee/Applicants Athletic Records
F05001 0IACYVA
05001 0IACYVA Professional Military Education (PME).
F05001 0J DP A
Faculty board ledger.
F05001 0MUHHZA
Undergraduate pilot and navigator training.
F05001 0MUHHZB
Air Force Reserve Medical School tour allocations.
F05001 0QKRSMA
Training Instructors (Academic Instructor Improvement/ Evaluation)
F05001 0SGHLNE
Combat intelligence crew training record.
F05001 0SGHLNG
Officers Electronic Warfare Officer (EWO) training record.
F05001 0SGHLNH
Missile procedures training (MPT) accomplishment.
F05001 0SSZDTA
Nursing skill inventory.
F05001 06SCEYA
Advanced Degree File
F05001 06SCEYB
Air Force Audit Agency Office Training File
F05001A0SGHLNB
Upgrade training missile procedures training (MPT) critique form.
F05002 ATC A
Maintenance Management Automated Training System MMATS.
F05002 ATC TTS
05002 ATC TTS Student Record of Training.
F05002 DPPE A
Education Services Program Records (Individual)
F05002 OI A
Graduates of Air Force Short Course in Communication (Oklahoma University)
F05002 OYUEBLA
Air Traffic Control (ATC) Certification Documentation
F05002 OYUEBLB
Air Traffic Control (ATC) Certification Documentation
F05002 OYUEBLC
Air Traffic Control Rating and Training Program Documentation
F05002 OYUEBLD
05002 OYUEBLD Student Record
F05002 OYUEBLE
05002 OYUEBLE Individual Academic Training Record
F05002 0J DOZB
05002 0J DOZB Individual Academic Records - Survival Training Students

F05002 0J TTPA
Technical Training Course Management Information System
F05002 0KPNQSA
Air University Academic Records
F05002 0KPNQSB
Student Record Folder
F05002 0OJUBJB
Maintenance Management Information and Control System (MMICS)
F05002 0QSCEYA
Training Progress (Permanent Student Record)
F05002 0QVDYDA
Unit Training Program
F05002 0SGHLNA
Training Work Sheet (GRF Form 36)
F05002 0TMUHJA
Student Record File
F05002 0UJCGJA
Training Progress
F05002 0UJCGJB
Training Progress Student Data Records
F05002 0UMCBVA
Defense Language Institute Student History
F05002 07YLNGA
United States Air Force Special Investigations School Individual Academic Records
F05002X0J ED A
05002X0J ED A Community College of the Air Force Student Record System
F05004 0QKRSMA
Training Systems Research and Development Materials
F05101 ADC A
05101 ADC A Aircrew Training Records, Aerospace Defense Command (ADCOM).
F05101 OJ DOTA
05101 OJ DOTA Flying Training Records - Nonstudent.
F05101 OJ DOTB
Flying Training Records - Student
F05101 0JMPLSA
Flying Training Records
F05101 0QKRSMA
Aircrew Instruction Records (Flying Training Records)
F05101 0QKRSMB
Training Aids Usage (Simulator Student Training Records)
F05101 0TMUHJA
Tactical Air Command Automated Flying Training Management System.
F05101A0SSGBPA
Aircrew Resource Management System (SACARMS)/Aircrew Qualification Report
F05301 DPP A
Air Force Academy Appointment and Separation Records
F05301XOBXQPCB
Education and Research Data Base
F05302 OBXQPCB
Air Force Academy Candidate System
F053030BXQPCAB
053030BXQPCAB Preparatory School Records
F06003 ANGBXOB
Progress Report, Undergraduate Pilot Training
F06005 XOOFF A
06005 XOOFF A Air Force Operations Resource Management Systems (AFORMS).
F06604 AFLC A
Maintenance Labor Distribution and Cost System
F06608 SAC A
06608 SAC A ICBM Maintenance Standardization and Evaluation Program.
F06608 0OJUBJB
Maintenance Management Information and Control System MMICS
F06608 0OJUBJC
Exception Time Accounting (ETA) System (G001A)
F06711 AFSC A
06711 AFSC A Equipment Maintenance Management Program (EMMP).
F06711 LGYPS A
Personal Clothing and Equipment Record
F06711 0OJUBJA
Tool Kit Control Card
F07001 0EACYVA
Accounts Payable Records
F07503 AA A
07503 AA A Office, Secretary of Air Force Travel Files
F075031LGTT A
075031LGTT A Personal Property Movement Records
F0750310JUBJH
Household Goods Nontemporary Storage Accounts System (NOTEMPS)
F07601 MAC A
07601 MAC A Passenger Reservation and Movement System.
F07702 LGTN A
Motor Vehicle Operators' Records
F08001 0HMASIS
Research and Development Planning and Programming Records
F08002 0JMPLSA
Research and Development (R&D) Projects Records.
F08003 OBXQPCA
08003 OBXQPCA Minnesota Multiphase Personality Inventory Research Program
F08003 0HCNBCA
08003 0HCNBCA Aeromedical Research Data.
F08003 0HMPLSA
Personnel Research Laboratory Historical Data Base File.
F09503 0JMPLSA
Sound Recordings.
F10010 AFCS A
10010 AFCS A Military Affiliate Radio System (MARS) Member Records.
F11001 AJA
Judge Advocate Personnel Records
F11001 IGQ A
11001 IGQ A Inspector General Records Freedom of Information Act
F11001 JACA H
Legal Assistance Administration
F11001 JACL F
Freedom of Information Act Appeals
F11001 JAG A
11001 JAG A Litigation Records (Except Patents).
F11001 SAFPC A
Air Force Discharge Review Board Voting Cards
F11001 SAFPC B
Air Force Discharge Review Board Case Control/Locator Cards
F11001 0EACYVA
Legal Administration Records of the Staff Judge Advocate
F11001AJACI A
USAF Foreign Criminal Jurisdiction cases
F11001X0MUHHZA
Reserve Judge Advocate Training Report
F11002 AJACP
Invention, Patent Application and Patent Application Secutiry, and Patent Files
F11002 JACP C
11002 JACP C Patent Infringement and Litigation Records
F11101 AJAJM
Court-Martial and Article 15 Records
F11101 0SPCZPA
11101 0SPCZPA Military Justice Administration
F11101 0UMCBVA
Military Justice Administration
F11101XJAJM C
Automated Military Justice Analysis and Management System (AMJAMS)
F11201 JACC A
Claims Administrative Management Program (CAMP) E064
F11201 JACC B
Claims Records
F12001 DPX B
12001 DPX B Investigation/Complaint Files
F12001 IGQ A
Inspector General Records
F12301 02SCEYA
United States Air Force (USAF) Inspection Scheduling System
F12401 07YLNGA
Badge and Credentials
F12401 07YLNGB
12401 07YLNGB Investigative Applicant Processing Records
F12404 07YLNGA
Investigative Support Records
F12406 07YLNGA
Security and Related Investigative Records
F12408 07YLNGA
Counterintelligence Operations and Collection Records
F12410 07YLNGA

Criminal Records
F12501 ASPP
Firearms Authorization and Safety Records
F12501 SPO D
Provisional Pass
F12501 SPO E
Registration Records (Excluding Private Vehicle Records)
F12501 SPO F
Notification Letters to Persons Barred From Entry to Air Force Installations
F12501 SPO G
Complaint/Incident Reports
F12501 SPO H
Serious Incident Reports
F12501 SPO I
Incident Investigation Files
F12501 SPO J
Traffic Accident and Violation Reports
F12501 0QVDYDC
12501 0QVDYDC Field Interview Card
F12501 02 ALSB
Temporary Private Vehicle Impoundment Record
F12501XSPP B
Pickup or Restriction Order
F12502 SPP A
12502 SPP A Correction Records
F12503 SPO A
Vehicle Administration Records
F12503 02 ALSB
Bicycle Registration File
F12503 02 ALSC
Storage and Special Permits for Recreational and Utility Trailers
F12701 0J IGYA
Air Training Command Aircraft Accident Board Resources List
F12701 02SCEYA
Safety Education File
F12702 02SCEYA
Aircraft Accidents and Incidents Computer File
F12702 02SCEYB
human factors in aircraft accident/incident computer file.
F12702 02SCEYC
United States Air Force (USAF) Ground Accident Fatality File
F14001 0SGHLNA
Bachelor Airmen's Quarters (BAQ) Temporary Issue Receipt
F16001 AFA A
16001 AFA A Cadet Hospital/Clinic Records.
F16001 SGPC A
16001 SGPC A Medical Professional Staffing Records
F16001 SGPS A
Aircrew Standards Case File
F16002 SGPS A
Department of Defense Medical Examination Review Board Medical Examination Files
F16002 SGPS B
16002 SGPS B Retirements/Separations Records System
F16002 0IACYVA
16002 0IACYVA Physical Examination Reports Suspense File
F16003 ASGH R
Air Force Clinical Laboratory Automation Systems (AFCLAS)
F16003 0SPCZPA
Laboratory Course Phase II
F16003 02 ALSA
Chain of Custody Receipt
F16006 ASGPA R
USAF Hearing Conservation Record System
F16006 SGPC A
Central Medical Registry Files
F16007 SGPA A
Drug Abuse Rehabilitation Report System
F16101 SGPA A
Medical Recommendation for Flying Duty
F16101 0SSGBPA
Aerospace Medicine Program Medical Recommendation Missile Duty
F16102 SGPA A
Air Force Aerospace Physiology Training Programs
F16102 SGPA B
USAF Compression Chamber Operation
F16104 SGPA A
USAF Master Radiation Exposure Registry
F16201 SGD A
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F16202 SGD A
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F17101 0HZHTVA
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F17101 0JNTMUA
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F17101 0OJUBJA
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F17101 0UMCBVA
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F1710100HAJXFA
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F17501 06SCEYA
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F17602 0EACYVA
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F17603 AA A
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F17603 HC
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F17603 OYUEBLA
17603 OYUEBLA Individual Earning Data
F17607 DPM A
17607 DPM A Morale, Welfare, and Recreation (MWR) Participation/Membership/Training Records
F17607 DPMS
17607 DPMS Nonappropriated Fund Instrumentalities (NAFIs) Financial System.
F17701 NGBJA A
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F17701 OBXQPCA
17701 OBXQPCA Cadet Accounting and Finance, System Code RZ, Data System Designator E516
F17705 0EACYVA
17705 0EACYVA Accounting and Finance Officer Accounts and Substantiating Documents
F17707 0EACYVA
17707 0EACYVA Loss of Funds Case Files
F17708 0EACYVA
17708 0EACYVA Claims case file - corrected military pay and allowances.

F17708 0EACYVB
17708 0EACYVB Claims case file - missing in action data
F17708 0EACYVC
17708 0EACYVC Claims case file - death gratuity records
F17708 0EACYVD
17708 0EACYVD Indebtedness and claims
F17709 0EACYVA
17709 0EACYVA Reports of Survey.
F17718 0EACYVA
17718 0EACYVA Account receivable records maintained by Accounting & Finance
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17720 0EACYVA Travel Records
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17721 0EACYVA Civilian Pay Records
F17721 02 ALSA
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F17722 0EACYVA
17722 0EACYVA Accrued military pay system, discontinued (AMPS 360/390)
F17722 0EACYVC
17722 0EACYVC Military Pay Records
F17722 0EACYVD
17722 0EACYVD Uniformed Services Savings Deposit Program (USSDP).
F17724 0KPNQSA
17724 0KPNQSA Air Force ROTC Cadet Pay System
F17725 0EACYVA
17725 0EACYVA Air Reserve Pay and Allowance System (ARPAS)
F17726 0EACYVA
17726 0EACYVA Pay and Allotment Records
F17730 0EACYVA
17730 0EACYVA Joint uniform military pay system (JUMPS)
F17734 0EACYVA
17734 0EACYVA USAF Retiree/Annuitant Pay System (RAPS)
F17801 OJ RS A
17801 OJ RS A Recruiting Advertising Evaluation (RAE).
F17801 0HFREZA
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F17801 0HZHTVA
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F17801 0KPNQSA
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F17802X0OTAYZM
17802X0OTAYZM Personnel Cost Accounting System (PCAS)
F18201 DAC A
18201 DAC A Air Force Postal Directory File
F18202 HC A
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F19001 AA AB
19000 Public Affairs References
F19001 OI B
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F19001 OI AB
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F19001 SAFOI
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F20002 05HCHLA
20002 05HCHLA Operations Security File for Foreign Intelligence Collection Activities
F20002 05HCHLB
20002 05HCHLB DIA Source Administration Program for Foreign Intelligence Collection Activities
F20002 05HCHLC
20002 05HCHLC Events and Installation File
F20002 05HCHLD
20002 05HCHLD Master Alpha Resource List (MARLA)
F20501 SPI A
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F20501 0UMCBVA
20501 0UMCBVA Compartmented Intelligence Access Roster
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20503 DAI A Personnel Security Case Files.
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20505 AFIS A Sensitive Compartmented Information Personnel Security Records
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20505 0UMCBVA Security Records Behavioral Data Reports
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21208XOBQPCE Library Authorized Patron File
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F21401 0KPNQSA
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F21401 0RKNMDA
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F90001 DPMSAAB
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F90001 0KPNQSA
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F90001 0TMUHJA
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F90002 MPC A Suggestions, Inventions, Scientific Achievements.

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GNSA02
NSA/CSS Applicants
GNSA03
NSA/CSS Correspondence, Cases, Complaints, Visitors, Requests
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NSA/CSS Cryptologic Reserve Mobilization Designee List
GNSA05
NSA/CSS Equal Employment Opportunity Data
GNSA06
NSA/CSS Health, Medical and Safety Files
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KDCE.02
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KDCE.03
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KEUR.05
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KEUR.07
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KEUR.08
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KEUR.09
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KEUR.10
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KMIN.01
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KNCS.01
National Communications Systems Continuity of Operations Plan (NCS COOP).
KNCS.02
National Communications System (NCS) Plan for Emergencies and Major Disasters.
KNCS.03
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KPAC.01
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KPAC.02
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KWHC.04
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K240.03
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K240.06
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L DIA 0011
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L DIA 0012
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L DIA 0015
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L DIA 0140
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L DIA 0209
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L DIA 0271
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L DIA 0435
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L DIA 0480
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L DIA 0660
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L DIA 0800
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L DIA 0801
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L DIA 0813
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MIL00021
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MJA00012
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Marine Corps Motion Picture/Instructional Television (ITV) Archives
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Military Police Information System (MILPINS)
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N00039 CONTFLDSERV
Contract Field Service File
N00060 CUBEX
List of Cuban Exile Families at U.S. Naval Base Guantanamo Bay, Cuba
N00062 INSGEN
Naval Educational Development
N00062 LORR 1130
Low Quality Recruiting Report (CNET Report 1130-1)
N00062 NEDRECS
Naval Educational Development Records.
N00062 NROTC
NROTC Educational Development Records
N00063CDP
Career Development Program for Communicators
N00063FTAR
Field Training Assistance Representatives (FTAR) File
N00063NC09PS
Personnel Information System
N00069NSGAGNPAC01
Professional Qualifications Records (PQR's)
N00069NSGHG11PAC01
NAVAL RESERVE SECURITY GROUP PERSONNEL RECORDS
N00069NSGHG12PAC01
Naval Security Group Personnel Security/Access Files
N00069NSGHG13PAC01
Personnel Resources Information System for Management (PRISM)
N00159 D-3/01
Seismic survey list of companies involved in outer continental shelf.
N00164 01
Employee Explosives Certification Program
N00173 DEC10-ADPBUD
ADP Budget
N00173 1200-5
Listing of Personnel - Sensitive Compartmented Information
N00173 265
Sight Conservation Program
N00175 03004
Staff Judge Advocate's Memorandum File
N00250 CHK/DEBT-LIST
Bad Checks and Indebtedness Lists
N00250 FIDELITY BOND
Commercial Fidelity Bond Insurance Records
N00250 IR-PERS-RECORD
Industrial Relations Personnel Records
N00250 LAYAWAYS
Layaway Sales Records
N00250 MILITARY-MISYS
Resale System Military Management Information System
N00250 PAY&BENEFITS
Payroll and Employee Benefits Records
N00250NAVLODGE RECORD
Navy Lodge Records
N00251 007
Legal Office Litigation/Correspondence Files
N00251 080
Puget Sound Naval Shipyard, Navy Exchange Tobacco Sales
N00344 BP 714003
Youth Activities Association Membership Record
N00600-1NAVTIS
Navscols/Tis, USMC Aviation Training Supsys
N0529A NAVJAG 5813-1
Court-Martial Case Report
N09191 POW DEBRIEFS
Summary debriefs of former Prisoners of War.
N09520 CMIS
Court-Martial Index and Summary
N30460(STUDENT)
Legal Diary
N30571 STAEMP/FININ
Statements of Employment and Financial Interest
N30640 NATTCL 1080/1
Students Awaiting Legal, Medical Action Account
N31698.WHSP
White House Support Program
N31708NC&PB

Naval Clemency and Parole Board files
N31708NDRB
Navy Discharge Review Board Proceedings.
N57043 NAVMAR4065
Commissary Control Program
N60258 002
Welfare and Recreation Ticket Selection Program
N60530 1
BIBLIOGRAPHY
N61339 WA1144
Design of Training Systems Data Base - Instructor File
N61581 LOGISTICS
Otsu Prision health and comfort items
N62585 RATION PERMITS
Ration Card, Luxury Permit Record Cards.
N62585POV/GAS RECORDS
Privately-owned Tax-free Vehicle Record Cards. Tax-free Gasoline Record Cards.
N62695-01
Naval Audit Personnel Development System
N62769 02
Individual Merchandise Control Record
N6276903
International Legal Hold Files
N62932 COMSYSTOSHOPRE
Commissary store monetary allowance records
N63110 ATJ
Aviation Training Jacket
N63110 FIST
Flight Instruction Standardization and Training (FIST) Jacket
N63116 MASTER FILE
Naval Health Research Center Date File
N63116 POW/MIA FILE
pow/mia captivity studies
N63285 ADMIN
Administrative Files System
N63285 01
NIS Investigative Files System
N63285 03
Defense Central Index of Investigations (DCII)
N63393 F0013BA013
Aviation Medical Officer's Report
N63393 F0015BA054
Aircraft Mishap
N63393 F0024CA171
Diving Log
N63393 F0024CA174
Diving Accidents and Injuries
N63393 F0025AA041
Occupational Injury and Illness
N63393 F0026EA033
Motor Vehicle Accidents and Injuries
N63393 F0048BA111
Individual Flight Activity Report
N63395 10140.IF
USAREUR/USAFE Ration Card
N63395 11240.3E
File of Records of Acquisition, Transfer and Disposal of Privately Owned Vehicles
N63425 SHELTER LIST
Military and Civilian Employee Dependents Hurricane Shelter Assignment List
N63427 AUTOIMPEXPREC
Record of Import and Export of Foreign Made Auto Vehicles into and out of Australia
N63427 COMWEALTHPASS
Commonwealth Pass Application Form
N63427 NEXSALESSLIP
Large purchases in Navy Exchange.
N64168 NUC
Nuclear Program Interview and Screening
N64168 RADINJCLRDS
NAVSEA RADIATION INJURY CLAIM RECORDS
N64168 SEA TRIAL
Next of Kin Information for Sea Trial Riders
N64223 NMRI
Kidney transplant histocompatibility study
N64648-EARB
Employee Grievances, Complaints, and Adverse Action Appeals.
N64980 CONCESSION VEH
Duty Free Vehicle Log
N64980GAS RATION FILE
Gasoline Ration System
N64980RATION PRMT LOG
Application for U.S. Navy Ration Permit
N65196 DODCI.01
DODCI Student Record System
N65196 DODCI.02
DODCI Student/Faculty/Senior Staff Biography System
N65196 DODCI.03
DODCI Course Evaluation System
N65196 DODCI.04
DODCI Lecture-Instructor Inventory System.
N65872SA14102
Project Analysis and Control System (PAC)
N65872SA53105
VGA Personnel and Manpower Information System (PERMIS).
N66001 TECHAUTHIND
Technical Paper/Author Cross Index System
N66123 PRIVATE RELIEF
Private Relief Legislation
N66715.1RLPS
NAME/LEAD Processing System
N66715.20SAS
Officer Selection and Appointment System
N66715.3RESS
Recruiting Enlisted Selection System
N66715.4RATS
Navy Recruiting Command Attrition Tracking System
N66715.5RCSS
Navy Recruiting Support System
N68056 005
Legal Records System
N68142MHAS
Manhour Accounting System
N68142PDBA/SIPM
Personnal Data Base Application/Student Instructor Performance Module
N68221 PERSRESCHSYSTM
Personnel Management and Training Research Statistical Data System
N96021 - 263
Tests and Examinations Record Systems
N96021-LQA
Living Quarters and Lodging Allowance
N96021-02
Supervisors Report of Potential to Perform and Reference Check Records System
N96021-06
Navy Automated Civilian Manpower Information System (NACMIS)
N96021-07
Area Coordinator Information and Operation Files
N96021-21
Navy Civilian Career Management Inventory and Referral System
N96021-26
Recruitment, Employment and Internal Placement
N96021-261
Appraisals of Performance Record System
N96021-41
Labor Management Relations Records System
N96021-431
Employee Relations Including Discipline, Employee Grievances, Complaints, etc.
N96021-433
Employee Assistance Program Case Record System
N96021-434
Suggestions and Awards Record System
N96021-44A
Navy Central Clearance Group (NCCG) Records
N96021-44B
Civilian Personnel Security Files
N96021-51
Job Evaluation, Position Classification, Job Grading, Position Management, etc.
N96021-53
Health Programs, Insurance and Annuties
N96021-54
Travel Allowance Claims Record System
N96021-62
Personnel Automated Data System (PADS)
N96021-63
Local Automated Personnel Information System (LAPIS)--Prototype.

N96021-64A
Computer Assisted Manpower Analyses System (CAMAS)
N96021-64B
Models for Organizational Design and Staffing (MODS)
N96021/23
Training and Employee Development Record System

DEFENSE CONTRACT AUDIT AGENCY

RDCAA 152.13
152.13 Notifications of Visits
RDCAA 152.17
152.17 Security Status Master List
RDCAA 152.2
152.2 Personnel Security Data Files
RDCAA 152.3
152.3 Reports of Personnel Security Investigations
RDCAA 152.4
152.4 Personnel Security Adjudication File
RDCAA 152.5
152.5 Notification of Security Determinations
RDCAA 152.6
152.6 Regional Security Clearance Request Files
RDCAA 152.7
152.7 Clearance Certification
RDCAA 160.5
160.5 Travel Orders
RDCAA 240.1 2
240.1 Cross Reference Index to Legal Opinions
RDCAA 240.2
240.2 Statements of Employment and Financial Interest
RDCAA 240.3
240.3 Legal Opinions
RDCAA 240.5
240.5 Standards of Conduct, Conflict of Interest
RDCAA 260.4
260.4 White House Correspondence
RDCAA 260.5
260.5 Congressional Committee Correspondence
RDCAA 260.6
260.6 Congressional Correspondence
RDCAA 311.3
311.3 Applicant Supply File Index
RDCAA 311.4
311.4 Applicant correspondence
RDCAA 315.10
315.10 Executive Development Program
RDCAA 315.11
315.11 Career Files
RDCAA 322.7
322.7 Students and Instructors
RDCAA 347.2
347.2 Labor Management Relations Case Files
RDCAA 358.1
358.1 General EEO Files
RDCAA 358.21
358.21 EEO Complaints Resolved by DCAA
RDCAA 358.22
358.22 EEO Cases resolved by CSC.
RDCAA 358.23
358.23 Other copies of EEO Complaint Case files
RDCAA 358.24
358.24 EEO Background Documents not included in case files.
RDCAA 358.3
358.3 Grievance & Appeal Files
RDCAA 371.1
371.1 Name Files
RDCAA 371.13
371.13 Official Personnel Folders
RDCAA 371.2
371.2 Supervisor Personnel Records
RDCAA 371.5
371.5 Locator Records
RDCAA 371.7
371.7 Service Record File
RDCAA 371.8
371.8 Inactive Service Records
RDCAA 440.2
440.2 Time and Attendance Reports
RDCAA 502.6
502.6 Freedom of Information Administrative Appeals
RDCAA 503.5
503.5 Privacy Act Administrative Appeals
RDCAA 575.4
575.4 Postal Directory
RDCAA 590.8
590.8 DCAA Management Information System (MIS)
RDCAA 590.9
590.9 DCAA Automated Personnel Inventory System (APIS)

DEFENSE LOGISTICS AGENCY

S111.11DCRA-AA
Atlanta Personnel Data Bank System.
S111.11DCRT-E
111.11 Defense Contract Administration Services Region (DCASR) Dallas Personnel Data Bank
S111.11DDTC-R
111.11 Civilian Personnel Data Bank
S111.11DESC-KER
Civilian Personnel and Manpower Control System
S111.11DLA-K
111.11 Rotation of Employees From Foreign Areas and the Canal Zone
S111.11DLA-KP
111.11 Bye-Bye Retirement System
S111.11DLA-KS
111.11 Official Records for Host Enrollee Programs
S111.11DLA-XA
111.11 Personnel Roster/Locator Files
S120.05DLA-K
120.05 Schedule and Record of Overtime Assignment and Request
S120.05DLA-KP
120.05 Supervisors' Records and Reports of Employee Attendance and Leave.
S150.20DLA-T
150.20 Security Violations Files
S153.01 DLA-T
153.01 Personnel Security Files
S153.20 DLA-T
153.20 Personnel Security Clearance Status - CAPSTONE
S155.05 1DLA-NS
155.05 Enrollment, Registration and Course Completion Record.
S155.05 2DLA-NS
155.05 2 Guest Instructor Introduction Card
S155.53DLA-NS
155.53 Industrial Personnel Security Clearance File
S160.50 DLA-T
160.50 Criminal Incidents/Investigations file
S161.20DLA-T
161.20 Visitors and Vehicle Temporary Passes and Permits File
S161.25DLA-T
161.25 Individual Access Files
S161.30DLA-T
161.30 Motor Vehicle Registration Files
S161.40DLA-T
161.40 Vehicle Accident Investigation Files
S161.50DLA-T
161.50 Traffic Violations File
S161.60DLA-T
161.60 Seizure and Disposition of Property Records
S161.70DLA-T
161.70 Firearms Registration Records
S162.60DLA-T
162.60 Police Force Records
S214.10DCRN-MA
214.10 Emergency Transportation of Essential Personnel
S214.20DLA-L
214.20 Emergency Assignment and Training Records
S233.10DLA-K
233.10 Work Assignment, Performance and Productivity Records and Reporting Systems
S233.20DLA-L
233.20 Data Processing Project Control Assignment and Machine Utilization
S243.30DLA-K
243.30 Complaints
S252.50 DLA-G
252.50 Claims & Litigation, other than Contractual
S253.10 DLA-G
253.10 Invention Disclosures
S253.30DLA-G I
253.30 Royalties

S253.30DLA-G 2
253.30 Patent Licenses and Assignments
S253.40DLA-G
253.40 Patent Infringement.
S255.01 DLA-G
255.01 Fraud & Irregularities
S257.10 DLA-G
257.10 Standards of Conduct
S259.05DLA-G
259.05 Legal Assistance
S270.10DLA-K
270.10Request for Assistance and Information
S270.30DLA-B
270.30 Biography File
S322.10DLA-LZ
Defense Manpower Data Center Data Base.
S322.15 DLA-M
322.15 Information Military Personnel Records
S322.20DLA-LZ
Reenlistment Eligible File (RECRUIT).
S322.35 DLA-M
322.35 Officer/Enlisted Evaluation Report File and File Summary
S322.45 DLA-M
322.45 Military Personnel Data Bank System
S322.70 DLA-M
322.70 Reserve Affairs
S322-35DLA-LZ
Survey Data Base.
S330.15 DPSC-G
330.15 Authorization File
S330.50DPSC
330.50 Defense Personnel Support Center (DPSC) Civilian Personnel File
S330.60DCRT-E-Z
330.60 Dallas Internal Personnel Management Information System (DIPMIS)
S332.01DLA-KS
332.01 Employment Inquiries
S333.10 DLA-G
333.10 Attorney Personal Information and Applicant Files
S334.05DLA-K
334.05 Civilian Personnel Administration Career Program
S334.10DLA-KT1
334.10 Central Inventory, Comptroller/Financial Management Career Program
S335.01DLA-K
335.01 Training and Employee Development Record Systems
S335.80DLA-Q
335.80 Quality Assurance Staff Development Program
S336.10 DCRS-F
336.10 Personnel Cost Forecast System
S336.60DLA-KM
336.60 Position Classification Appeals
S337.01DLA-K
337.01 Labor Management Relations Records Systems
S337.25DLA-K
337.25 Employee Relations under Negotiated Grievence Procedures
S339.10 DLA-C
339.10 Auditor Profile
S339.10DLA-K
339.10 Headquarters Defense Logistics Agency (HQ DLA) Automated Civilian Personnel Data Bank Sy
S339.50DLA-K
339.50 Supervisors' Personnel Records
S339.50DSAO-S
339.50 DSAO Staff Information File
S352.10DLA-K
352.10 Nominations for Awards
S370,20DLA-KH
370.20 Individual Accident Case Files
S380.01DLA-K
380.01 Employee Assistance Program Case Record Systems
S380.20DLA-K
380.20 Civilian Medical Case Files
S390.01DLA-KS
390.01 Grievance Examiners and Equal Employment Opportunity Investigators Program
S390.05 DCRB-M
S390.05 Boston Equal Employment Opportunity (EEO) Skills Bank.
S431.15DLA-C
431.15 Travel Record
S434.15DLA-C
434.15 Automated Payroll Cost and Personnel System (APCAPS)
S434.15DLA-KP
434.15 Automated Payroll, Cost and Personnel System (APCAPS) Personnel Subsystem
S434.20DLA-C
434.20 Mechanization of Contract Administration Services - 1B Payroll (MOCAS 1B)
S434.87DLA-C
434.87 Debt Records for Individuals
S491.10 DLA-M
491.10 Nonappropriated Fund (NAF) Membership Records
S493.10DLA-K
493.10 Official Personnel Folders for Non-Appropriated Fund Employees
S672.70DLA-X
672.70 Dependents Travel
S690.10DLA-W
690.10 Individual Vehicle Operators File
S810.50 DLA-P-1
810.50 Contracting Officer Files
S850.10DLA-Q 1
850.10 Quality Assurance Activity Certification Report
S850.10DLA-Q 2
850.10 Monthly Quality Assurance Activity Report by Person
S866.15DPSC
866.15 Manufacturing Payroll System; Weekly Piece Work

DEFENSE INVESTIGATIVE SERVICE

V1-01
V1-01 Privacy and Freedom of Information Request Records
V1-02
V1-02 DIS Personnel Locator System
V2-01
V2-01 Inspector General Complaints
V4-01
V4-01 Civilian Employee Personnel Records
V4-02
V4-02 Optional Personnel Management Records (OPMR)
V4-04
V4-04 Civilian Applicant Records
V4-05
V4-05 Military Personnel Management Information System (MILPERS)
V4-06
V4-06 Civilian Personnel Management Information System (CPMIS)
V4-07
V4-07 Adverse Actions, Grievance Files and Administrative Appeals
V4-08
V4-08 EEO Complaints
V4-09
V4-09 Merit Promotion Plan Records
V4-10
V4-10 Incentive Awards
V5-01
V5-01 Investigative Files System
V5-02
V5-02 Defense Central Index of Investigations (DCII)
V5-03
V5-03 National Agency Check (NAC) Case Control System (NCCS)
V5-04
V5-04 Defense Case Control System (DCCS)
V5-05
V5-05 Subject and Reference Locator Records.
V6-01
V6-01 Personnel Security Files
V6-02
V6-02 Special Compartmented Intelligence (SCI) Access file.

UNIFORMED SERVICES UNIVERSITY OF HEALTH SCIENCES

WUSU01
Uniformed Services University of the Health Sciences (USUHS) Personnel Files
WUSU02
Uniformed Services University of the Health Sciences (USUHS) Payroll System.
WUSU03
Uniformed Services University of the Health Sciences (USUHS) Student Record System.
WUSU04
Uniformed Services University of the Health Sciences (USUHS) Applicant Record System.

BILLING CODE 3810-70-F

UNITED STATES ARMY

HOW SYSTEMS OF RECORDS ARE ARRANGED. Department of the Army records are arranged by major functional categories. Systems of records notices are grouped similarly. For example, a system of records about assignment of military personnel may be found in the 'military personnel' functional area - the 700 series; medical treatment records are in the 'medical' functional area - the 900 series. Some subjects, such as investigations, are treated as subelements of a major function; e.g., 'military police', 'security', and 'intelligence' investigations are found in the 500 series; 'criminal' investigations in the 400 series; 'military personnel' investigations in the 700 series. 'Civilian personnel' investigations, however, are not covered by Army system notices but can be found in Civil Service Commission systems of records - in this case, under 'CSC/GOVT-4'. The following list serves as a general guide to subjects which are retrieved by personal identifier and are contained in the Army systems of record notices. To this guide have been added Civil Service Commission systems of record notices which identify records in the temporary custody of the Army and bear CSC/GOVT identification numbers.

HOW TO USE THE INDEX GUIDE. As an aid in locating a particular system of records, follow the general guide below. The series in which the subject is located will appear as numbers of the system notice identification. For example: pay records for military and civilian personnel are in the 300 series; comparable system notices are A0305.08aDACA and A0306.01aDACA respectively. The first letter A represents the Army and the suffix letters are internal management accounting devices. System notices are published in numerical sequence. Following the identification number, the system notice is further identified by name, location, and the category of individuals included.

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Appeals, Grievances, Complaints (civilian)	A0614 and CSC/GOVT-1.
Awards and Decoration	A0600 and A0718.
Civilian Personnel Investigations	A0502 and CSC/GOVT-4
Civilian Personnel Records	A081 and CSC/GOVT-3
Congressional Inquiries	A0411.
Contractors	A1405 and A1519.
Court-martials	A0404.
Criminal Investigations	A0508.
Dependents' Education	A1015.
Housing	A1511.
Inspector General Inspections/Investigations	A0224.
Intelligence/Counterintelligence	A0500.
Labor-Management Relations	A0814.
Laundry and Drycleaning	1427.
Law Enforcement	A0225 and A0509.
Legal Assistance	A0402.
Logistics	A1400.
Locator Files	A0100.
Management Functions	A0200.
Medical Records (civilian)	A0609, A0917, and CSC/GOVT-3.
Medical Records (military)	A0714 and A0900.
Military History	A0228.
Military Personnel Records	A007, A0200, and A0700.
Non-appropriated Funds	A0314.
Passports	A1205.
Pay (civilian and military)	A0300.
Pharmacy Services	A0913.
Photographic Records	A1107.
Planning, Programming, and Operations	A0200.
Postal	A1108.
Privacy Act Requests	A0201.
Procurement	A1402.
Real Estate	A10504.
Review Boards (military)	A0708 and A0727.
Security Access/Clearance	A0506.
School Files	A1010 and A1012.
Telephone Directories	A1101.
Training	A0700, A0800, A1000, A1111, and CSC/GOVT-3.
Travel and Transportation	A0302, A1201, and A1205.
Veterinary Service	A0929.

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

AAFES0207.02

System name:

0207.02 Customer Comments, Complaints, and Direct Line Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Command and Public Relations Division; also oversea system headquarters, regional headquarters, area exchanges and individual exchanges, within the worldwide system.

Categories of individuals covered by the system:

Customer inquiries, complaints, and comments on all phases of AAFES operations; also, customer opinion survey information.

Categories of records in the system:

File contains: Customer addresses, telephone numbers, information pertaining to nature of the inquiry, research information, and AAFES response to the customer.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To aid the exchange management in determining the needs of the customers and deciding a course of action, if deemed necessary in settling any complaint to the customer's satisfaction.

Information regarding the customer's inquiry may be exchanged between AAFES HQs and field elements for the purpose of expediting customer satisfaction, corrective action and response.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in metal cabinets. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Command and Public Relations Division.

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Retrievability:

Customer correspondence is logged by name and cross-referenced, then filed in metal containers by number and by exchange.

Safeguards:

Folders maintained in metal filing cabinets. Buildings employ security guards.

Retention and disposal:

Command and Public Relations Division - Regulation 1300-01b. Cutoff at close of fiscal year. Destroyed after 3 years.

System manager(s) and address:

Director, Command and Public Relations Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES (AAFES-AD)
ATTN: CP
Dallas, Texas 75222
Telephone: Area Code 214/330-3865

Record access procedures:

Requests from individuals should be addressed to HQ AAFES ATTN: CP, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case (control) number that appears with the office symbol on all correspondence received from this office.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1200-75/1200-76, Personnel Action.

Systems exempted from certain provisions of the act:

None.

AAFES0306.03

System name:

306.03 Debriefing Acknowledgment Files

System location:

Primary Safety and Security Office, Headquarters AAFES Decentralized segments - Commanders OES and Regions

Categories of individuals covered by the system:

Any person whose access authorization for classified defense information has been terminated due to lack of need.

Categories of records in the system:

File contains individual's cancelled Access Authorizations which have been signed and dated by the individuals who have been debriefed, acknowledging the debriefing.

Authority for maintenance of the system:

Section 6, Executive Order 11652, Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine if a person charged with disclosing classified information was debriefed and knew the consequences of such disclosure.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name

Safeguards:

Building has security guards. Records are maintained in a locked file/safe.

Retention and disposal:

Records are permanent. They are retained in active file until the end of the fiscal year in which the debriefing occurred, held two additional years in inactive status and retired to the National Records Center.

System manager(s) and address:

Security Specialist, Safety and Security Office HQ AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
HQ AAFES, ATTN: AAFES-SS
Dallas, Texas 75222
Telephone AC 214-330-2721

Record access procedures:

Requests from individuals should be addressed to Headquarters, Army and Air Force Exchange Service (ATTN: AAFES-SS) Dallas, Texas 75222

Written requests should contain the full name of the individual, current address and telephone number.

For personal visits, valid acceptable identification is required.

Contesting record procedures:

The agency's rules for contesting contents and appealing determinations may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from individual requesting access personal clearance from Defense Investigative Service.

Systems exempted from certain provisions of the act:

None

AAFES0306.04

System name:

306.04, Classified Material Access Files

System location:

Primary System - Safety and Security Office, HQ AAFES; Decentralized Segments in Offices of Commanders OES, Region Chiefs and Division Directors.

Categories of individuals covered by the system:

Any citizen whose trustworthiness has been established (in accordance with applicable military regulations) and access granted in response to a request from a region chief or division director.

Categories of records in the system:

File contains Director's/Chief's request and Access Authorization Form granted by Security Control Officer.

Authority for maintenance of the system:

Section 6, Executive Order 11652, Classification and Declassification of National Security Information and Material

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents are maintained in Division/Region/OES Offices by custodians of classified defense information files to determine personnel with access to such information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of individual with access

Safeguards:

Building has security guards. Files kept in locked file cabinet. Records available to those with a need to know.

Retention and disposal:

Records are retained in active file until access is terminated for any reason, then transferred to AAFES Security Control Officer for retention under AAFES 306-03

System manager(s) and address:

Security Specialist, Headquarters AAFES, ATTN: AAFES-SS, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: AAFES-SS
Dallas, Texas 75222
Telephone AC 214-330-2721

Record access procedures:

Requests from individuals should be addressed to: Headquarters, AAFES, ATTN: AAFES-SS, Dallas, Texas 75222

Written requests for information should contain the full name of the individual, correct address, telephone number and job title.

For personal visits, the individual should be able to provide acceptable valid identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing determinations may be obtained from HQ AAFES-SS, Dallas, Texas 75222

Record source categories:

From security control officer in response to request from manager requesting access for individual. Access based on trustworthiness established by investigation completed by Defense Investigative Service.

Systems exempted from certain provisions of the act:

None

AAFES0306.12

System name:

306.12 Personnel Security Case Files

System location:

Primary, Safety and Security Office Headquarters AAFES, Dallas, Texas Decentralized segments - Commanders AAFES-PAC, AAFES-EUR and AAFES-ALX

Categories of individuals covered by the system:

Persons whose trustworthiness has been established (in accordance with appropriate regulations) at the request of their division director or region chief.

Categories of records in the system:

File contains individual's request for clearance, copy of Statement of Personal History, Certificate of Clearance and results of investigation.

Authority for maintenance of the system:

Section 6, Executive Order 11652, Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Safety and Security Office - To obtain and grant security clearances and access authorizations to personnel whose trustworthiness has been established.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name

Safeguards:

Building has security guards. Records are maintained in a locked safe file.

Retention and disposal:

Records are maintained until end of fiscal year of individual's separation and placed in inactive status for two years and are then destroyed.

System manager(s) and address:

Security Specialist, HQ AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters Army and Air Force Exchange Service
Attention: AAFES-SS
Dallas, Texas 75222
Telephone AC 214-330-2721

Record access procedures:

Requests from individuals should be addressed to: Headquarters AAFES, ATTN: AAFES-SS, Dallas, Texas 75222

Written requests should include the full name of the individual, current address, Social Security number and telephone number

For personal visits, valid, acceptable identification is required.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications and related forms from individual, notification of results of security investigation from Defense Investigative Service. Certificates of clearance from this headquarters and other Department of Defense entities

Systems exempted from certain provisions of the act:

None

AAFES0306.13

System name:

306.13, Personnel Security Status Files

System location:

Primary roster - in Safety and Security Office HQ AAFES, Dallas, Texas. Rosters by OES and Regions are maintained in respective OES and region headquarters.

Categories of individuals covered by the system:

Any employee with a valid Certificate of Clearance in their Official Personnel File.

Categories of records in the system:

Roster is a computer print-out listing all personnel with valid clearance certificates.

Authority for maintenance of the system:

Section 6, Executive Order 11652, Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Roster copies are provided OES and region security control officers to identify personnel with security clearance levels since the original documents are maintained in Official Personnel Files.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer print out in ACCO binder

Retrievability:

Listed alphabetically by region by facility

Safeguards:

Building has security guards. Records maintained in locked filesafe

Retention and disposal:

Records are maintained until the next quarterly run, and held in inactive status for an additional nine months and then destroyed.

System manager(s) and address:

Security Specialist, Headquarters AAFES, Dallas, Texas

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: AAFES-SS
DALLAS, TEXAS 75222
Telephone AC 214-330-2721

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, ATTN: AAFES-SS Dallas, Texas 75222

Written request for information should include the full name and Social Security number of the individual and job location.

For personal visits, the individual should provide valid acceptable identification.

Contesting record procedures:

The agency's rules for contesting may be obtained from SYSMANAGER

Record source categories:

Printout is requested from Personnel Division from information on ID Automated SYSNAME 903-06, System Magnetic Tape Files.

Systems exempted from certain provisions of the act:

None

AAFES0307.01

System name:

0307.01 Carpooling Program

System location:

Headquarters Army and Air Force Exchange Service (HQ AAFES), Administrative Services Division, Headquarters Personnel Branch (AD-P), Dallas, TX 75222.

Categories of individuals covered by the system:

All HQ AAFES personnel who voluntarily participate in carpool program.

Categories of records in the system:

Name, duty address and phone number, hours of duty, residence address and phone number, and any other information necessary for carpool arrangements which may include map coordinates of home or nearby reference points, working hours, etc.

Authority for maintenance of the system:

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10 U.S.C. 3012 and 8012 which identify the powers and duties delegated by the Secretary of the Army and the Secretary of the Air Force, respectively, each of whom is responsible for and has the authority necessary to conduct all affairs of his respective department, including functions necessary or appropriate for administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal use: To assist HQ AAFES personnel who desire to form carpools.

External use: To the City of Dallas, TX for inclusion in its Ride-sharing Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee name.

Safeguards:

Information is retained in file cabinets. Work and storage area is within a controlled building, access to which is limited to assigned personnel.

Retention and disposal:

Retained until such time as individual's employment with HQ AAFES is terminated, after which record is destroyed.

System manager(s) and address:

Director, Administrator Services Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD-P)
Dallas, TX 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: AD-P, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, and duty phone number.

Personal visits may be made to the Administrative Services Division, HQ AAFES. Individual should be able to provide acceptable identification such as a valid driver's license.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned are contained in Army Regulation 340-21.

Record source categories:

Provided by individual interested in carpool program.

Systems exempted from certain provisions of the act:

None.

AAFES0401.04

System name:

0401.04 Official Personnel Folders (OPF).

System location:

Primary: OPF - Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; HQ, AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; all regional offices; and post and base area exchanges within the AAFES system.

Decentralized: Career Management Folder (CMF) - Personnel Division, HQ AAFES, Dallas, TX 75222.

Convenience Personnel Folder (CPF) - HQ AAFES, Dallas, TX 75222 HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES, Alaska; all regional offices; all past and base exchanges and satellites within the AAFES system.

Categories of individuals covered by the system:

OFP: All United States (US) citizen (to include permanent-resident alien and non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

CMF: All US citizen (to include permanent-resident alien and non-immigrant alien) employees with category of regular full-time temporary full-time who are at the managerial level.

CPF: All US citizen (to include permanent-resident alien and non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

OPF: Name; social security number (SSN); employment history; education; job and pay data; performance reviews; letters of commendation, reprimand; training certificates; salary and benefits information to include allowances and insurance data; travel orders and general correspondence; other personal data such as security clearance, loyalty, non-affiliation, etc.

CMF: Name; SSN; employment history; education; job and pay data; performance reviews; letters of commendation, reprimand; training certificates; travel orders and general correspondence; personal data to include health, security clearance, military separation, etc.

CPF: Name; SSN; training certificates; employment history; job and pay data; performance reviews; letters of commendations, reprimand; travel orders and general correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

OPF: Servicing Personnel Offices to provide hard-copy documentation on employee's current job and pay data, past job history, career progression, etc.

CMF: Personnel Division to obtain information on current and past employment for the purposes of job assignments, promotions, and career progression.

CPF: Maintained by non-servicing personnel offices for ready reference of employee's current and past employment history, job and pay data, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee name.

Safeguards:

Folders maintained in locked filing cabinets.

Retention and disposal:

OPF: Placed in active file upon separation. Hold 1 year then forward to National Personnel Records Center (NPRC) (Civilian), 111 Winnebago Street, St. Louis, MO 63118. Inactive OPF may be retired to NPRC 3 months after separation by AAFES elements when the volume of inactive OPFs creates a storage problem.

CMF: Cutoff at close of fiscal year in which employee is separated. Destroyed after 3 years.

CPF: Transferred with OPF to gaining location upon transfer. Cutoff at close of fiscal year employee is separated. Destroy after 1 year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

OPF: Application for Employment; Application for Fidelity Bond; College Transcripts; Personnel Actions; Performance Reviews and/or Personnel Evaluation Reports; Letters of Commendation, Reprimand; Training Certificates; Travel Orders; Employee Insurance Data; Housing Allowance; Certificate of Clearance; Loyalty Affidavit; Certificate of Non-Affiliation; and Bonds.

CMF: Application for Employment; College Transcripts; Personnel Actions; Personel Evaluation Reports; Letters of Commendation, Reprimand; Training Certificates; Travel Orders; Certificate of Clearance; and other related papers.

CPF: Personnel Actions; Training Certificates; Performance Reviews and/or Personnel Evaluation Reports; Letters of Commendation, Reprimand; Travel Orders; and other related papers.

Systems exempted from certain provisions of the act:

None.

AAFES0401.05

System name:

0401.05 Employee Service Record Card Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; all regional offices; and all post and base exchanges and satellites within the AAFES system.

Categories of individuals covered by the system:

All United States citizen (to include permenent-resident alien and non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

Official summary of employment history to include name; social security number (SSN); date of birth; home address and telephone number; emergency contact; passport data; identification card data; dependent data; foreign languages to include degree of proficiency; clerical skills; education to include schools attended, degree achieved; AAFES education/training courses; performance reviews to include date and type; service award data; employment record to include date, job data, pay data, and separation data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To have as ready reference to official summary of employment history, chronology of personal and service data for employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in kardex or file boxes.

Retrievability:

Alphabetical by employee name.
Alphabetical within activity and branch.

Safeguards:

Maintained in locked cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which employee is separated or transferred. Retain 5 additional years in current files area and retire. Destroy 15 years after cutoff. Exception: Forward files to employees of discontinued installations to National Personnel Records Center (Civilian).

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Personnel Actions: Performance Reviews and/or Personnel Evaluation Reports; application form; training certificates; and service award certificates.

Systems exempted from certain provisions of the act:

None.

AAFES0401.11

System name:

0401.11 Personnel Records Maintained at Supervisory Level.

System location:

All supervisory personnel within the Army and Air Force Exchange Service (AAFES) for subordinate employees.

Categories of individuals covered by the system:

All United States citizen (including permanent-resident alien and non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

Name; social security number (SSN); job data; performance review data to include date and rating; counseling interview record; training record to include courses, type, and completion data; job description; and standards of conduct review.

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Ready reference for supervisor of pertinent data on subordinate employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper file maintained in file folder.

Retrievability:

Alphabetical by employee's name.

Safeguards:

Maintained in locked filing cabinet or supervisor's desk.

Retention and disposal:

Destroy upon separation, retirement, or non-local transfer of employee.

System manager(s) and address:

Director, Personnel Division, Headquarters, (HQ) AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ ATFES, AATN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Supervisor's Record of Employee, Employee Interview Record Card (Counseling), Job Description, Employee Training Record, and comparable papers.

Systems exempted from certain provisions of the act:

None.

AAFES0403.01

System name:

0403.01 Application for Employment Files

System location:

Executive and Managerial: Personnel Division, Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

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Non-Managerial - HQ AAFES, Dallas, TX 75222; HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; all regional offices; and all post and base exchanges and satellites within the AAFES system.

Categories of individuals covered by the system:

Individuals outside of AAFES applying for positions within the AAFES.

Categories of records in the system:

Active applications: Application for Employment, resume, applicant referals, interview form, previous employers' references, and related papers.

Inactive applications: Application for Employment, resume, letter of rejection, and related papers.

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: Filling of vacancies at the managerial level for which outside recruitment is necessary.

Servicing Personnel Office: Filling of vacancies of non-managerial level that require outside recruitment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in file folders.

Retrievability:

Active applications: Alphabetical within position category.
Inactive applications: Alphabetical by individual name.

Safeguards:

Maintained in locked cabinets.

Retention and disposal:

Active applications: Destroy after 2 years, except that on request they may be returned to individuals.

Inactive applications: Cutoff monthly. Destroy after 3 months.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applicant; previous employers.

Systems exempted from certain provisions of the act:

None.

AAFES0403.04

System name:

0403.04 College Recruitment Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Personnel Division, Career Management Branch, Recruitment and Executive Development Section, Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) who have been interviewed at a college or university for employment with the AAFES.

Categories of records in the system:

File contains copies of correspondence with school, school recruiting trip report, and report of campus visit.

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To maintain information on school placement functions and curriculums, available on-campus interviewing dates, and other information relevant to students' interest in AAFES employment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked containers.

Retrievability:

Alphabetical by school name. Each request for information evaluated as to need before release.

Safeguards:

Stored in locked containers.

Retention and disposal:

Cutoff at close of fiscal year. Destroy after 3 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN-PE, Dallas, Texas 75222.

Written requests for information should contain the name of the school and date visited and the name of the student/applicant interviewed.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information obtained directly from school in correspondence form.

Systems exempted from certain provisions of the act:

None

AAFES0403.05

System name:

0403.05 Employee Examination Records.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All managerial and regular full-time hourly-paid employees who have been considered for promotion to managerial level.

Categories of records in the system:

File contains test scores and normative data on those persons who have taken the AAFES test battery which consists of (a) SET tests; (b) Thurstone Test of Mental Alertness; (c) Wesman Personnel Classification Test; (d) Thurston Tempermanent Schedule; and (e) Personagraph (Allston B. Hobby Associates).

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as research data and a predictor of success in given situations during job considerations. Test battery is read only by a professional psychologist with a minimum of a MA in Psychology.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked containers.

Retrievability:

Alphabetical by employee name. Each request for data evaluated as to need before release.

Safeguards:

Stored in locked containers.

Retention and disposal:

Permanent; cutoff at close of fiscal year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personnel visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual tests taken by employee.

Systems exempted from certain provisions of the act:

None.

AAFES0403.08

System name:

0403.08 Reference and Pre-Employment Credit Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) who have interviewed for a management or management trainee position with the AAFES.

Categories of records in the system:

File contains correspondence and other documents regarding employment suitability. Includes letters to and replies from previous employers, personal reference checks, security and/or other preemployment investigations and clearances deemed appropriate to the position, and evidence that the applicant is in satisfactory physical condition.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assure that an individual, after having been selected for appointment but prior to official appointment, has cleared for employment suitability.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by employee's name.

Safeguards:

Maintained in locked filing cabinet.

Retention and disposal:

Cutoff at close of fiscal year. Destroy after 1 year for satisfactory reference and credit checks. Destroy after 3 years for adverse reference and/or derogatory credit checks.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information obtained from employee's previous employer(s) and from personal references provided AAFES by the employee.

Systems exempted from certain provisions of the act:

None.

AAFES0403.11

System name:

403.11 Personnel Clearance Records

System location:

Headquarters, Army and Air Force Exchange Service, Dallas, Texas; Headquarters, AAFES-Pacific; Headquarters, AAFES-Europe; Headquarters, AAFES-Alaska; all regional offices; all base and post exchanges and satellites within the Army and Air Force System.

Categories of individuals covered by the system:

All US citizen (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time and intermittent.

Categories of records in the system:

Name; social security number; job data; clearance reason and clering office's approval.

Authority for maintenance of the system:

Title 10, United States Code, Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assure that departing personnel have been properly processed and cleared prior to transfer, termination or leave without pay.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in file folders.

Retrievability:

Alphabetical by employees name.

Safeguards:

Maintained in locked filing cabinet.

Retention and disposal:

Cutoff at close of fiscal year of departure. Destroy after 1 year.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
HEADQUARTERS AAFES (AAFES-AD)
Dallas, Texas 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AD), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation and last employing location in addition to the above.

Instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

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Record source categories:

Personnel Actions; Performance Reviews and/or Personnel Evaluation Reports; application form; training certificates; service award certificates.

Systems exempted from certain provisions of the act:

None

AAFES0403.12

System name:

403.12 Oversea Processing Records

System location:

Administrative Services Division, Headquarters, Army and Air Force Exchange Service, Dallas, Texas.

Categories of individuals covered by the system:

All US citizen employees of a managerial level who are programmed for transfer from CONUS to an oversea activity of the Army and Air Force Exchange Service.

Categories of records in the system:

Name; social security number; grade; transfer date; household goods; privately-owned vehicle authorization; residence information; dependent data; passport data; security clearance data; flight information and related papers.

Authority for maintenance of the system:

Title 10, United States Code, Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To accomplish travel arrangements on a timely basis to insure departure/arrival of employee (and family) to new location in support of operational requirements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files maintained in filing cabinet.

Retrievability:

Alphabetical by employee name.

Safeguards:

Files maintained in locked cabinet.

Retention and disposal:

Cutoff when employee departs the US. Destroy after 1 year.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AD)
Dallas, Texas 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AD), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation and last employment location in addition to the above.

Instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Personnel Request; Relocation Questionnaire; Travel Orders; Passport; Airline tickets.

Systems exempted from certain provisions of the act:

None

AAFES0404.01

System name:

0404.01 Incentive Awards Case Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains name, social security number (SSN), grade/step, position title, organization, award nominated for, accomplishment, requirements of the position occupied during period covered in award nomination, and staff comments/ concurrence/non-concurrence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To accomplish staff comments and recommendations to support justification for award nominations in order to present findings to AAFES Incentive Awards Committee for recommendation of honorary award to Commander, AAFES.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files stored in filing cabinets.

Retrievability:

Alphabetical by employee name.

Safeguards:

Files maintained in locked filing cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which case is closed; destroyed after 2 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222 Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1900-19, Award Nomination Form, submitted by employees' supervisor; AAFES Form 1900-22, Evaluation of Honorary Award Nomination.

Systems exempted from certain provisions of the act:

None.

AAFES0404.03

System name:

0404.03 Award Control Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas TX 75222.

Categories of individuals covered by the system:

United States (US) citizen, US national and permanent resident alien employees; local national and third-country national AAFES employees providing there is no conflict with local treaties, host-country agreements or command directives.

Categories of records in the system:

Managerial and nonmanagerial employees (Hourly Pay Plan/Universal Annual): name, social security number (SSN), grade/step, organization, and for which nominated.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To control award nominations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Three four-drawer and one five-drawer file cabinets.

Retrievability:

By name.

Safeguards:

Files maintained in locked filing cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which case is closed; destroyed after 2 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1900-19, Award Nomination Form, submitted by employee's supervisor.

Systems exempted from certain provisions of the act:

None.

AAFES0404.04

System name:

0404.04 Award Ceremony Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Personnel Branch, Dallas, TX 75222; and Command and Public Relations Division and Office of the Commander.

Categories of individuals covered by the system:

HQ AAFES employees who have been recipients of military awards, AAFES service, and other awards.

Categories of records in the system:

Managerial and nonmanagerial employees (Hourly Pay Plan/Universal Annual): name, grade, position title, organization, award for which nominated, accomplishments, and requirements of the position occupied during period covered in award nomination.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Background on recipients of awards to be read at an awards ceremony held by the Commander, AAFES or his designated representative.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file folders in one four-drawer file cabinet.

Retrievability:

By name

Safeguards:

Files maintained in filing cabinets.

Retention and disposal:

Cutoff at close of fiscal year. Destroyed after 3 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from employee on AAFES Form 1100-22 and from employee's Official Personnel Folder.

Systems exempted from certain provisions of the act:

None.

AAFES0405.03

System name:

405.03 Personnel Appeals and Grievances

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES Europe; Office of the General Counsel, AAFES PAcific.

Categories of individuals covered by the system:

Any AAFES employee who has filed an appeal of an adverse action and/or who is contesting a personnel action when the appeal/contest has been referred to the servicing General Counsel's office.

Categories of records in the system:

Files contain correspondence, documentation and memoranda concerning the employee's appeal/contest.

Authority for maintenance of the system:

Title 10, United Stated Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The servicing General Counsel's office uses the file to review the appeal for legal sufficiency. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of AAFES employee.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Files are retained in the servicing General Counsel's office for one year after the final decision is made and subsequently retired to the servicing AAFES warehouse or to the servicing General Services Administration Records Holding Center. Records are destroyed seven years after the fiscal year in which the case is closed.

System manager(s) and address:

General Counsel, Headquarters AAFES; General Counsel AAFES-Europe; General Counsel, AAFES-Pacific.

Notification procedure:

Information may be obtained from the servicing General Counsel (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number, and the latest correspondence received from the servicing General Counsel's office, if available.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe, or AAFES-PAcific).

Record source categories:

File information and documentation is provided by the AAFES personnel office responsible for records on the AAFES employee, the AAFES Grievance Examiner, and by the AAFES employee or his/ her representative.

Systems exempted from certain provisions of the act:

None

AAFES0405.05

System name:

405.05 Statement of Employment and Financial Interests

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES Europe; Office of the General Counsel, AAFES Pacific.

Categories of individuals covered by the system:

All general military officers assigned to AAFES and all AAFES employees classified as Universal Annual grade 16 or above; and all AAFES employees classified as Universal Annual grade 13 or above, and commissioned military officers in the rank of lieutenant colonel or above assigned to AAFES whose basic duties and responsibilities require the exercise of judgement in making an AAFES/government decision or in taking an AAFES/ government action in regard to contracting or procurement, auditing, and activities in which the final decision or action has a significant economic impact on the interests of any nonfederal enterprise.

Categories of records in the system:

File contains Department of Defense (DD) Form 1555, 'Confidential Statement of Employment and Financial Interest' and the indorsement of said Form by the AAFES employee's superior.

Authority for maintenance of the system:

Executive Order No. 11222, 'Prescribing Standards of Ethical Conduct For Government Officers And Employees' dated 11 May 1965 and Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Servicing General Counsel's Office - To collect and maintain complete DD Forms 1555 as required. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file.

Retrievability:

Filed alphabetically by last name of AAFES employee or military officer.

Safeguards:

Buildings employ security guards. Records are maintained in locked safe or cabinet and maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

File is retained in active status until the close of the fiscal year in which the employee leaves a position for which a DD Form 1555 is required, or when the employee leaves AAFES, or when the statement is superseded, whichever is earlier. Obsolete DD Forms 1555 are maintained for two years in servicing General Counsel's inactive office files and then destroyed.

System manager(s) and address:

Deputy General Counsel in servicing General Counsel's office (Headquarters AAFES, AAFES-Europe or AAFES-Pacific).

Notification procedure:

Information may be obtained from the Deputy General Counsel of the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number and the latest correspondence received from the servicing General Counsel's office, if available.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe or AAFES-Pacific).

Record source categories:

Information is furnished by the AAFES employee.

Systems exempted from certain provisions of the act:

None

AAFES0405.07

System name:

0405.07 Retirement Assistance Files

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary part-time, temporary full-time, and intermittent employment.

Categories of records in the system:

File contains social security number (SSN), name, exchange location, date of birth, date of hire, leave accrual date, retirement participation date, service award base date, citizenship, marital status, sex, security clearance, current military status, prior AAFES service, job and pay data, type of insurance coverage, deductions, mobility status, date in grade, and step.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

To accomplish authority to employ a retired member of the armed forces during the 180 days immediately following retirement.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Contains inquiries and the replies to questions submitted in writing by employees concerning their own retirement situations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Five drawer metal file cabinet.

Retrievability:

Alphabetical by employee's name.

Safeguards:

File cabinets are locked when not in use.

Retention and disposal:

Cutoff at close of fiscal year. Destroyed after 1 year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personnel visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is furnished by Servicing Personnel Office.

Systems exempted from certain provisions of the act:

None.

AAFES0405.11

System name:

405.11 Individual Health Records

System location:

Headquarters, Army and Air Force Exchange Service, Dallas, Texas

Categories of individuals covered by the system:

All Headquarters employees

Categories of records in the system:

Contains on managerial and nonmanagerial employees (Hourly Pay Plan/Universal Annual); Military: Name, address, birthdate, telephone and short health history. All are given voluntarily. Contains date of visit to dispensary, complaint of illness or injury and exact treatment given. The file contains correspondence from doctors regarding illnesses with special instructions for returning to work.

Authority for maintenance of the system:

Title 10 United States Code, Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To aid Occupational Health Nurses in giving better health care to employees who become ill or are injured during working hours. To help employees maintain good health. Used as reference for past injuries and/or treatment, since recall on medical treatment may be vague and personnel may have changed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

One five-drawer file cabinet and one four-shelf cabinet.

Retrievability:

Name, alphabetical order (active files)
Name, alphabetical order; year (inactive files)

Safeguards:

Maintained in dispensary in locked cabinets.

Retention and disposal:

Cut off active file when employee is transferred or separated. Destroy after six years.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AD)
Dallas, Texas 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AD), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation and last employing location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

Employee

Systems exempted from certain provisions of the act:

None

AAFES0405.15

System name:

0405.15 Retirement Extension Files

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen employees who have applied for deferred retirement.

Categories of records in the system:

File contains social security number (SSN), name, Exchange location, date of birth, service award base date, citizenship, marital status, sex, security clearance, current military status, prior AAFES service, job and pay data, type of insurance coverage, deductions, mobility status, date in grade, and step.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To accomplish authority to employ a retired member of the armed forces during the 180 days immediately following retirement.

Used to approve and control requests for extension of normal retirement date.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Five-drawer metal file cabinet.

Retrievability:

Alphabetical by employee's name.

Safeguards:

File cabinets are locked when not in use.

Retention and disposal:

Cutoff at close of fiscal year. Destroyed after 1 year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to:
HQ AAFES
ATTN: PE
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personnel visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is furnished by servicing personnel office.

Systems exempted from certain provisions of the act:

None.

AAFES0406.12a

System name:

0406.12a Skills Bank File (Employee Skills Survey)

System location:

Headquarters Army and Air Force Exchange Service (HQ AAFES), Dallas, TX; HQ AAFES-Europe; HQ AAFES-Pacific: HQ AAFES-Alaska; all regional offices; base and post exchange offices within the Army and the Air Force.

Categories of individuals covered by the system:

All AAFES regular full time (RFT) and regular part-time (RPT) hourly pay plan (HPP) employees and intermittent (regularly scheduled) employees.

Categories of records in the system:

Name, social security number (SSN), current job title, grade, duty phone, job location, date of Skills Survey (AAFES Form 1200-61), education/training courses completed, skills/experience acquired, skills used in daily work, and those identified as needed.

Authority for maintenance of the system:

10 U.S.C. 3012 and 8012 which identify the powers and duties delegated by the Secretary of the Army and the Secretary of the Air Force, respectively, each of whom is responsible for and has the authority necessary to conduct all affairs of his respective depart-

ment, including functions necessary or appropriate for the training operations and administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To aid servicing personnel office in identifying and referring qualified employees for vacant positions. A skills bank for HQ AAFES employees is established/maintained from Employee Skills Survey, AAFES Form 1200-61. The completed forms are filed alphabetically by employee name.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee name.

Safeguards:

Files are maintained in locked file cabinets.

Retention and disposal:

Retained until such time as employee retires, resigns, or is otherwise separated, at which time record is destroyed. Upon employee's transfer to another AAFES location file is forwarded to gaining personnel office.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD-P)
Dallas, TX 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: AD-P, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, duty phone, and job location.

Personal visits may be made to the Administrative Services Division. Individuals should provide acceptable identification such as a valid driver's license.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned are contained in Army Regulation 340-21.

Record source categories:

Employee Skills Survey (AAFES Form 1200-61), submitted by eligible RFT and RPT HPP employees and intermittent (regularly scheduled) employees.

Systems exempted from certain provisions of the act:

None.

AAFES0406.12b

System name:

0406.12b Employee Career Development Plan File

System location:

Headquarters Army and Air Force Exchange Service (HQ AAFES), Dallas, TX; HQ AAFES-Europe; HQ AAFES-Pacific; HQ AAFES-Alaska; all regional offices; base and post exchange offices within the Army and the Air Force.

Categories of individuals covered by the system:

All AAFES regular full time (RFT) and regular part-time (RPT) hourly pay plan (HPP) employees and intermittent (regularly scheduled) employees.

Categories of records in the system:

Name, social security number (SSN), current job title, grade, duty phone, job location, career goals as identified on AAFES Form 1200-62 and progress in achieving goals, career appraisals, and employee/supervisor comments.

Authority for maintenance of the system:

10 U.S.C. 3012 and 8012 which identify the powers and duties delegated by the Secretary of the Army and the Secretary of the Air Force, respectively, each of whom is responsible for and has the authority necessary to conduct all affairs of his respective department, including functions necessary or appropriate for the training operations and administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide HQ AAFES Personnel Branch (AD-P) a central reference of identifiable employees who have devised a career development plan, or who have attained eligiblity for referral consideration to vacant HPP positions. File also provides a source of information from which referral rosters of HPP employees for junior/middle management positions may be compiled.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee name.

Safeguards:

Files are maintained in locked file cabinets.

Retention and disposal:

Retained until such time as employee retires, resigns, or is otherwise separated, at which time record is destroyed. Upon employee's transfer to another AAFES location, file is forwarded to gaining personnel office.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD-P)
Dallas, TX 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: AD-P, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, duty phone and job location.

Personal visits may be made to the Administrative Services Division. Individuals should provide acceptable identification such as a valid driver's license.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned are contained in Army Regulation 340-21.

Record source categories:

Employee Career Development Plan (AAFES Form 1200-62), submitted by interested/eligible RFT and RPT HPP employees and intermittent (regularly scheduled) employees.

Systems exempted from certain provisions of the act:

None.

AAFES0408.05

System name:

0408.05 Individual Trainee Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) who have been selected for a college trainee or management development trainee position.

Categories of records in the system:

Copy of employment application forms; copy of trainee appointment personnel action; copy of trainee appointment letter; copy of completion of college/university baccalaureate degree requirements; if Hourly Pay Plan (HPP), letter of nomination to college trainee or management development trainee programs; if HPP, and participating in AAFES Upward Mobility Program, copy of Employee Qualification Record and Employee Career Appraisal Form; copy of Statement of Mobility; if HPP, copy of supervisor's record of employee; and if HPP, copies of last three performance reviews.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To obtain information on current and past employment, education, training history, mobility preference, and personal data for the purpose of assignment to a college trainee or a management development trainee position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked container.

Retrievability:

Alphabetical by employee's name. Each file is retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Safeguards:

Stored in locked container.

Retention and disposal:

Cutoff at close of fiscal year following completion of training. Destroy after 5 years.

System manager(s) and address:

Director, Personnel Division, HQ AFFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to:
HQ AAFES,
ATTN: PE,
Dallas, TX 75222

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition of the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is based on initial written data provided by the applicant and AAFES to assist in the employment selection process.

Systems exempted from certain provisions of the act:

None.

AAFES0408.06

System name:

0408.06 Trainee Card Index.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) selected for college trainee or management development trainee positions.

Categories of records in the system:

Card contains trainee category, name, social security number (SSN), date of hire, date of birth, training location, marital status, position and grade to which assigned, and date and location of assignment.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To obtain ready reference regarding summary information, trainee employment status, and pertinent data for trainee employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Locked cabinet.

Retrievability:

Alphabetical by employee name.

Safeguards:

Stored in locked cabinet.

Retention and disposal:

Cutoff at close of fiscal year in which individual's trainee program is completed. Destroy after 1 year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AFFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to:
HQ AAFES,
ATTN: PE,
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from employee's Career Management Folder.

Systems exempted from certain provisions of the act:

None.

AAFES0408.14

System name:

0408.14 Tuition Assistance Case Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent resident aliens) who are regular full-time employees.

Categories of records in the system:

Managerial and non-managerial employees: Application for Tuition Assistance, approval letters, letters of congratulations, copies of Request for Disbursement, transcripts, curricula, grade reports, and course receipts.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To maintain information on participants in the tuition assistance program of the AAFES in order to properly administer the program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filing cabinets.

Retrievability:

Alphabetical by employee's name.

Safeguards:

Stored in locked cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which course is completed or 2 years after date of last action, if completion is unknown. Destroy after 2 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to:

HQ AAFES,
ATTN: PE,
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1850-3, Application for Tuition Assistance.

Systems exempted from certain provisions of the act:

None.

AAFES0408.15

System name:

0408.15 Correspondence Course Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Services (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

Managerial and non-managerial employees who are enrolled in AAFES correspondence courses and US Army correspondence courses: Application for enrollment, notice of enrollment, notice of completion, and certificate of completion.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain information on participants in the correspondence course program of the AAFES in order to properly administer the program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets.

Retrievability:

Alphabetical by employee's name.

Safeguards:

None.

Retention and disposal:

Cutoff at close of fiscal year in which course is completed, or 2 years after date of last action, if completion date is unknown. Destroy after 2 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to:
HQ AAFES,
ATTN: PE,
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1850-43, Management Development Program Course/ Correspondence Course Enrollment Application; DA Form 145.

Systems exempted from certain provisions of the act:

None.

AAFES0409.01

System name:

0409.01 AAFES Accident Report.

System location:

Primary system will be at the Exchange reporting the accident/incident, at the Safety and Security Office at Exchange Region/Regional Exchange, and the Overseas Exchange System (OES) having jurisdiction over the reporting Exchange.

Categories of individuals covered by the system:

Any individual injured in Army and Air Force Exchange Service (AAFES) controlled property/equipment/facility or involved in accidents or mishaps resulting in reportable damage to AAFES property or facilities; or who is injured or becomes ill when those injuries or illnesses are covered by the Williams-Steiger Occupational Safety and Health Act of 1970.

Categories of records in the system:

AAFES Accident Report/Supplementary Record of Federal Occupational Injuries and Illnesses/physicians' reports.

Authority for maintenance of the system:

Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are maintained at Headquarters (HQ) AAFES/HQ OES/Exchange Regions/Regional Exchanges/Area Exchanges/Exchanges as a primary record of accidents, incidents, mishaps, fires, or illnesses to be used in correcting deficiencies in safety field; in initiating insurance and workman's compensation claims; and in satisfying statistical reporting requirement to higher echelons of AAFES and the Department of Labor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by location of incident and code identifier.

Safeguards:

Buildings have security guards. Files kept in file cabinets. Records available to those with a need-to-know.

Retention and disposal:

Retained by reporting Exchange for 5 years and by Safety and Security Offices for 2 years, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Director, Safety and Security Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: SS
Dallas, TX 75222
Telephone: Area Code 214-330-2721

Record access procedures:

Requests from individuals should be addressed to:
HQ AAFES,
ATTN: SS,
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, correct address, social security number, status, telephone number, job title, and date/place/time of the incident.

For personal visits, the individual should be able to provide acceptable identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from HQ AAFES, ATTN: SS, Dallas, TX 75222.

Record source categories:

Data obtained from medical institutions/police/investigating officials/bureau of motor vehicle/state and local governments/witnesses and victims.

Systems exempted from certain provisions of the act:

None.

AAFES0410.01

System name:

410.01 Employee Travel Files

System location:

Headquarters, Army and Air Force Exchange Service, Dallas, Texas; Headquarters, AAFES-Pacific; Headquarters, AAFES-Europe; Headquarters, AAFES-Alaska; all regional offices; all base and post exchanges and satellites within the Army and Air Force System.

Categories of individuals covered by the system:

All US citizen employees at the managerial level.

Categories of records in the system:

Name; social security number; location; travel orders; itineraries; travel expense vouchers and related papers.

Authority for maintenance of the system:

Title 10, United States Code, Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistical analysis for the purpose of personnel costs, requirements, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files maintained in file folders.

Retrievability:

Alphabetical by employee name.

Safeguards:

Maintained in locked filing cabinets.

Retention and disposal:

Cutoff at close of fiscal year. Destroy after 2 years.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AD)
Dallas, Texas 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AD), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation and last employing location in addition to the above.

Instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Travel Expense Vouchers; Travel Orders; Receipt and related paper.

Systems exempted from certain provisions of the act:

None

AAFES0410.04

System name:

410.04 Passport Files

System location:

Office responsible for security passports and visas for official foreign travel.

Categories of individuals covered by the system:

All US citizen employees at the managerial level.

Categories of records in the system:

Name; job data; passport data and related papers.

Authority for maintenance of the system:

Title 10, United States Code, Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Renewal purposes: ready-reference to identify employees possessing current passports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper cards maintained in file box.

Retrievability:

Alphabetical by employee name.

Safeguards:

None

Retention and disposal:

Destroy when employee is separated or when passport has expired without request for renewal or revoked, whichever is earlier.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AD)
Dallas, Texas
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AD), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation and last employing location in addition to the above.

Instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Request for Passport; Passport.

Systems exempted from certain provisions of the act:

None

AAFES0501.01

System name:

501.01 AAFES No-Notice Evaluation Report File

System location:

Headquarters (HQ), Army and Air Force Exchange Service (AAFES), Command and Public Relations Division, Dallas, Texas.

Categories of individuals covered by the system:

Military and civilian personnel assigned to Customer Services Evaluation Branch and military and civilian personnel interviewed at posts/bases in continental United States (CONUS) and offshore stations.

Categories of records in the system:

Files contain no-notice evaluation reports which contain customer names, addresses and comments on all phases of AAFES activities.

Authority for maintenance of the system:

Title Five, United States Code, Section 301, Voluntary Information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Commander, AAFES and exchange management in determining customer needs, and in resolving customer complaints.

Information regarding the customers' names and addresses may be exchanged between AAFES headquarters and field elements for the purpose of expediting customer satisfaction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retained and controlled by Director, Command and Public Relations Division and those exchange regions the reports pertain to.

Storage:

Reports are stored in a metal safe with combination lock.

Retrievability:

Alphabetically by post/base and by region.

Safeguards:

Building employs security guards. Records maintained in areas accessible only to authorized personnel.

Retention and disposal:

Reports are permanent records.

System manager(s) and address:

Director, Administrative Services Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters, AAFES (AAFES-AD).
Dallas, TX 75222
Telephone: Area Code 214/330-2011

Record access procedures:

Information may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

No-notice evaluation reports.

Systems exempted from certain provisions of the act:

None

AAFES0501.04

System name:

0501.04 Universal Annual Photograph Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All Universal Annual (UA) Salary Plan employees worldwide.

Categories of records in the system:

File contains photographs of UA employees with their name and date of photograph.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for publicity purposes when photograph is needed for publication.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinet. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

Alphabetically by employee's name.

Safeguards:

Maintained in locked file cabinet. Available only to personnel having specific authorization to retrieve photographs.

Retention and disposal:

Maintained in active status for duration of UA's employment. Maintained in inactive status for 3 years after separation, after which time it is destroyed.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests for individuals should be addressed to:
HQ AAFES,
ATTN: PE,
Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Photographs taken of UA employees at duty stations.

Systems exempted from certain provisions of the act:

None.

AAFES0505.02

System name:

0505.02 IO Biographical Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Command and Public Relations Division; AAFES-Europe-CP; and AAFES-Pacific-CP.

Categories of individuals covered by the system:

Military and Universal Annual personnel assigned to HQ AAFES, continental United States Exchange Regions, and overseas headquarters.

Categories of records in the system:

File contains: Individual's name; current position title; home address to include street, city, state, zip code, Army Post Office; date of birth; place of birth; marital status; maiden name of spouse; place of birth; name and ages of children; education to include high school and/or college attended, degree; military history, rank, date and type of discharge; reserve status, awards and decorations; membership in fraternal and civic organizations; prior employment; AAFES assignments, AAFES training, awards of honors; special interests or hobbies, name of hometown newspaper, and individual 5x7/8x10 photograph.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Command and Public Relations Division, Information Service Branch: To prepare news and feature articles about employees for employee newspaper, trade media, and/or hometown newspaper.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee's name.

Safeguards:

Buildings employ security guards. Records maintained in areas accessible only to authorized personnel.

Retention and disposal: Records are retained in active file for as long as individual is employed. Destroyed upon termination of employment.

System manager(s) and address:

Director, Command and Public Relations Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: CP
Dallas, TX 75222
Telephone: Area Code 214/330-3865

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: CP, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1200-75/1200-76, Personnel Action.

Systems exempted from certain provisions of the act:

None.

AAFES0602.01

System name:

602.01 Claims v. AAFES

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES-Europe; Office of the General Counsel, AAFES-Pacific.

Categories of individuals covered by the system:

Any individual who has filed a claim against AAFES and whose claim has been forwarded to this office.

Categories of records in the system:

File contains correspondence received from the claimant or claimant's attorney and related claim documentation.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Servicing General Counsel's office-To investigate the claims and prepare responses when necessary. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed aphabetically by last name of claimant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

The file is retained until the claim is settled or withdrawn or one year from the date of the claimant's latest submission if the claim is not pursued. The file is then retired to the servicing AAFES warehouse or the servicing General Services Administration Records Holding Center for six years. Files are destroyed after six years.

System manager(s) and address:

General Counsel, Headquarters AAFES; General Counsel, AAFES-Europe; General Counsel, AAFES-Pacific.

Notification procedure:

Information may be obtained from the servicing General Counsel (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number, and the latest correspondence received from the servicing General Counsel's Office, if available.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe or AAFES-Pacific).

Record source categories:

Information is obtained from any individual who can provide information concerning the claim and from all available documentation concerning the claim.

Systems exempted from certain provisions of the act:

None

AAFES0602.04a

System name:

602.04 Litigation Initiated by AAFES

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES-Europe; Office of the General Counsel, AAFES-Pacific.

Categories of individuals covered by the system:

Any individual against whom AAFES has filed a complaint or similar pleading in a court or administrative body.

Categories of records in the system:

File contains pleadings and documents filed by parties to the action and documentation, correspondence and memoranda pertaining thereto.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8013.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Servicing General Counsel's office-To process and respond, as necessary, to all complaints and other pleadings filed. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of defendant in the proceeding.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Files are retained in the servicing General Counsel's office until the judicial proceeding has been resolved, then retired to the servicing AAFES warehouse or servicing General Services Administration Records Holding Center. Files are permanent.

System manager(s) and address:

General Counsel, Headquarters AAFES; General Counsel, AAFES-Europe; General Counsel, AAFES-Pacific.

Notification procedure:

Information may be obtained from the servicing General Counsel (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number, and the latest correspondence received from the servicing General Counsel's office, if available.

Neither instructions no provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe and AAFES-Pacific).

Record source categories:

Information is obtained from any individual who can provide information concerning the proceedings and from all available documentation concerning the proceedings.

Systems exempted from certain provisions of the act:

None

AAFES0602.04b

System name:

602.04 Litigation Against AAFES Employees and/or AAFES

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES-Europe; Office of the General Counsel, AAFES-Pacific.

Categories of individuals covered by the system:

Any individual who has filed a complaint or similar pleading in a court or administrative body in which an AAFES employee and/or AAFES is named as a defendant.

Categories of records in the system:

File contains pleadings and documents filed by parties to the action and documentation, correspondence and memoranda pertaining thereto.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Servicing General Counsel's office-To process and respond, as necessary, to all complaints and other pleadings filed. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of plaintiff in the proceeding.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Files are retained in the servicing General Counsel's office until the judicial proceeding has been resolved, then retired to the servicing General Services Administration Records Holding Center. Files are permanent.

System manager(s) and address:

General Counsel, Headquarters AAFES; General Counsel, AAFES-Europe; General Counsel, AAFES-Pacific.

Notification procedure:

Information may be obtained from the servicing General Counsel (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number, and the latest correspondence received from the servicing General Counsel's office, if available.

Neither instructions no provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe and AAFES-Pacific).

Record source categories:

Information is obtained from any individual who can provide information concerning the proceedings and from all available documentation concerning the proceedings.

Systems exempted from certain provisions of the act:

None

AAFES0604.02

System name:

604.02 Unfair Labor Practice Claim/Charges File

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES-Europe; Office of the General Counsel, AAFES-Pacific; All Continental United States (CONUS) exchange region personnel offices.

Categories of individuals covered by the system:

All AAFES civilian employees, except those not permitted to file charges/claims under Executive Order 11491, as amended.

Categories of records in the system:

File contains written allegation(s) by AAFES employees of an unfair labor practice (ULP), correspondence, documentation and memoranda concerning the ULP claim/charge.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012; and Executive Order 11491, 'Labor-Management Relations in the Federal Service,' dated 31 October 1969, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

General Counsel offices-To process all ULP charges/claims through informal and formal negotiations, to provide information and documentation to U.S. Department of Labor personnel, to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

All personnel offices-To accumulate information and documentation regarding ULP charges/claims, to provide information to the servicing General Counsel office and to AAFES management personnel on a need-to-know basis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of individual and by installations where the employee is located.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are retained in an active file for five calendar years and then stored in the servicing AAFES warehouse or General Services Administration Records Holding Center for five additional years after which time they are destroyed.

System manager(s) and address:

General Counsel, Headquarters Army and Air Force Exchange Service, Dallas Texas 75222.

Notification procedure:

Information for all Headquarters AAFES employees may be obtained from General Counsel, Headquarters AAFES.

Information for all AAFES-Alaska employees may be obtained from the Chief of Personnel, AAFES-Alaska.

Information for all AAFES-Europe employees may be obtained from the Chief of Personnel, AAFES-Europe.

Information for all AAFES-Pacific employees may be obtained from the Chief of Personnel, AAFES-Pacific.

Information for all AAFES employees of the Alamo Exchange Region may be obtained from the Chief of Personnel, Alamo Exchange Region.

Information for all AAFES employees of the Capitol Exchange Region may be obtained from the Chief of Personnel, Capitol Exchange Region.

Information for all AAFES employees of the Golden Gate Exchange Region may be obtained from the Chief of Personnel, Golden Gate Exchange Region.

Information for all AAFES employees of the Ohio Valley Exchange Region may be obtained from the Chief of Personnel, Ohio Valley Exchange Region.

Information for all AAFES employees of the Southeast Exchange Region may be obtained from the Chief of Personnel, Southeast Exchange Region.

Record access procedures:

Requests from individuals should be addressed to Headquarters AAFES (AAFES-GC), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, and last employing location.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the General Counsel, Headquarters Army and Air Force Exchange Service, Dallas, Texas 75222.

Record source categories:

Information is furnished by the AAFES employee, the union representing the AAFES employee, any individual who can provide information concerning the ULP charge/claim, and from all available documentation concerning the ULP charge/claim.

Systems exempted from certain provisions of the act:

None

AAFES0702.01

System name:

0702.01 Paid Disbursement Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in continental United States: AAFES Exchange Regions, Area Exchanges; Overseas: HQ AAFES-Alaska, HQ AAFES-Europe, HQ AAFES-Pacific, and Exchange Regions.

Categories of individuals covered by the system:

All U.S. citizen Universal Annual Salary Plan employees and foreign national employees who are required to travel.

Categories of records in the system:

File contains alphanumeric: Employee's social security number (SSN)/payroll number, employee's name, and payments made to or on behalf of employee for travel-transfer expenses.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ AAFES Comptroller Division, General Accounting Branch, utilizes file to control payments to employees and furnish necessary information to both employee and Internal Revenue Service for income tax purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Copies of checks and supporting documents such as travel orders, travel vouchers, invoices, etc. All records are retrieved, retained, stored, and disposed by authorization of AAFES Comptroller.

Retrievability:

By SSN/payroll number, employee's name or check number.

Safeguards:

Documents maintained in file folders in metal containers such as standard file cabinets. Retrievability request must be written and requires signature of section chief or unit supervisor.

Retention and disposal:

Cutoff at close of fiscal year; destroyed after 6 years.

System manager(s) and address:

Chief, General Accounting Branch, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller Division, CM-G
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-G, Dallas, TX 75222.

Written request should contain full name of individual, SSN/payroll number, and location of employment.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Travel orders, travel vouchers, records of expenses incurred, and copies of checks issued for reimbursement.

Systems exempted from certain provisions of the act:

None.

AAFES0702.22

System name:

0702.22 Check-Cashing Privilege Suspense Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in continental Unites States: AAFES Exchange Regions and Main Stores at Exchanges; Overseas: HQ AAFES-Alaska, HQ AAFES-Europe, HQ AAFES-Pacific, Exchange Regions and Main Stores.

Categories of individuals covered by the system:

Exchange customers; military, dependents, retirees, and exchange employees.

Categories of records in the system:

File contains alphanumeric: Customer name and social security number (SSN), amounts of checks not paid by bank, and category (military, dependent, retiree, etc.) of customer.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Printout of listing distributed to applicable locations where mechanical device is not available. Mechanical device, where used, will indicate eligibility to cash a check by displaying a colored light. Printout or mechanical device used to control customer eligibility to cash checks.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disks and computer printouts. All records are established, maintained, and/or deleted by authorization of AAFES Comptroller.

Retrievability:

By SSN.

Safeguards:

Computer printouts usually covered by pressboard binders and are located in offices accessible only by personnel authorized to cash checks.

Computer disks maintained by Computer Processing Branch, Data Systems Division. Retrievability by persons authorized to cash checks.

Retention and disposal:

Destroyed when superseded.

System manager(s) and address:

Chief, General Accounting Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information is restricted to personnel authorized to cash checks and is presented only to person who presents a check for encashment.

Record access procedures:

Information is assessed at time a check is presented for encashment.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Checks that were cashed and not paid by the bank.

Systems exempted from certain provisions of the act:

None.

AAFES0702.23

System name:

0702.23 Check-Cashing Privilege Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in continental United States: AAFES Exchange Regions, Area Exchanges and Installation Exchanges Overseas: HQ AAFES-Alaska, HQ AAFES-Europe, HQ AAFES-Pacific, and Exchange Regions.

Categories of individuals covered by the system:

Exchange Customers: Military, dependents, retirees, and Exchange Service employees.

Categories of records in the system:

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File contains alphanumeric: Customer name and social security number (SSN), indebtedness amount and collection efforts documentation.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ AAFES Comptroller Division, General Accounting Branch, utilizes file to collect checks that were not paid by the bank.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in metal filing cabinets; access is restricted to employees with a need-to-know. All records are retrieved, retained, stored, and disposed by authorization of AAFES Comptroller.

Retrievability:

By SSN and customer name.

Safeguards:

Documents maintained in file folders and stored in metal containers such as standard file cabinets.

Retention and disposal:

Cutoff at time case is closed and destroyed after 3 years.

System manager(s) and address:

Chief, General Accounting Branch, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES, Comptroller Division, CM-G
ATTN: Comptroller Division, CM-G
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-G, Dallas, TX 75222.

Written request should contain full name of individual and SSN.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Checks cashed by customers and not paid by the bank.

Systems exempted from certain provisions of the act:

None.

AAFES0702.23b

System name:

702.23 Dishonored Check Files

System location:

Office of the General Counsel, Headquarters Army and Air Force Exchange Service (AAFES); Office of the General Counsel, AAFES-Europe; Office of the General Counsel, AAFES-Pacific.

Categories of individuals covered by the system:

Any individual who has negotiated dishonored checks at AAFES facilities and whose check cashing privilege file has been transferred to the servicing General Counsel's office for further collection as appropriate.

Categories of records in the system:

File contains alpha-numeric: customer name and social security number, indebtedness amount and collection efforts and documentation.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The servicing General Counsel's office uses the file to collect the dishonored check indebtedness from the responsible individual. Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense and Department of Justice who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of the individual responsible for the dishonored checks.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Files are retained in the servicing General Counsel's office until the indebtedness has been collected, the indebtedness has been determined uncollectible, or additional administrative action from Comptroller Division, Headquarters AAFES, AAFES-Pacific or AAFES-Europe is required. Files are returned to the servicing Comptroller Division to be maintained with the appropriate check cashing privilege files.

System manager(s) and address:

General Counsel, Headquarters AAFES; General Counsel, AAFES-Europe; General Counsel, AAFES-PAcific.

Notification procedure:

Information may be obtained from the servicing General Counsel (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record access procedures:

Requests from individuals should be addressed to the servicing General Counsel's office.

Written requests for information should contain the full name of the individual, current address and telephone number, and the latest correspondence received from the servicing General Counsel's office, if available.

Neither instructions nor provisions for personal visits are provided at this time.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the servicing General Counsel's office (Headquarters AAFES, AAFES-Europe, or AAFES-Pacific).

Record source categories:

Dishonored checks returned by a banking facility, information from the individual's employer or military commander (as applicable), information received from law enforcement investigative agencies, and information concerning the individual's credit.

Systems exempted from certain provisions of the act:

None

AAFES0702.34

System name:

0702.34 Accounts Receivable Files.

System location:

Headquarters (HQ), Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; continental United States and oversea exchange regions, area exchanges, and post and base exchanges and satellites within the AAFES system.

Categories of individuals covered by the system:

All AAFES customers to include military, retirees, civilians, and civilian dependents.

Categories of records in the system:

File contains charge or credit vouchers, oil company credit card tickets, cash receipts documents, purchase orders, receiving reports, and correspondence with the customer.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to establish exchange receivables from customers for purchase under a deferred payment plan, book store catalog sales, mail order payment shortages, and rejected oil company credit cards/tickets. Provides documentation to monitor amounts due to take necessary collection actions. Provides support for monthly detailed listings of open items which are prepared to support ledger balances.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of customer.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Paper documents are maintained in steel storage cabinets.

Retention and disposal:

Records are retained in current files until close of fiscal year in which receivable is cleared. At year end, files are stored and subsequently destroyed after 6 years.

System manager(s) and address:

Chief, General Accounting Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller Division, General Accounting Branch
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: CM-G, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, current address and telephone number, AAFES activity at which the receivable was established, and date of transaction.

Contesting record procedures:

The agency's rules for access to records for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is collected directly from the customer either in writing or verbally. Additional data may be obtained from correspondence between AAFES and vendors.

Systems exempted from certain provisions of the act:

None.

AAFES0702.43

System name:

0702.43 Travel Advance Register Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Dallas, TX 75222.

Categories of individuals covered by the system:

Universal Annual Salary Plan employees who are required to travel either for frequent intermittent periods or sustained periods of time.

Categories of records in the system:

File contains alphanumeric: employee's name, area of assignment, and dollar amount advanced.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ AAFES Comptroller Division, General Accounting Branch, utilizes file to monitor travel advances paid out.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in locked metal filing cabinets; access is restricted to employees who have a need-to-know. All records are retrieved, retained, stored, and disposed by authorization of AAFES Comptroller.

Retrievability:

By employee's name.

Safeguards:

Documents maintained in file folders in combination locked file cabinet. Retrievability authorized by unit supervisor.

Retention and disposal:

Cutoff after advance has been repaid. Destroy after 1 year.

System manager(s) and address:

Chief, General Accounting Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller Division, CM-G
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-G, Dallas, TX 75222.

Written request should contain full name of individual.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Checks issued to employees for permanent travel advance.

Systems exempted from certain provisions of the act:

None.

AAFES0702.44

System name:

0702.44 Travel Advance - Trial Balance Files.

System location:

Headquarters (HQ), Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in continental United States: AAFES Exchange Regions and Area Exchanges; Overseas: HQ AAFES-Alaska, HQ AAFES-Pacific, HQ AAFES-Europe, and Exchange Regions.

Categories of individuals covered by the system:

Universal Annual Salary Plan employees who have been issued travel advances.

Categories of records in the system:

File contains alphanumeric: Employee name and dollar amount advanced.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ AAFES Comptroller Division, General Accounting Branch, utilizes file to control travel advances issued.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in metal filing cabinets; access is restricted to employees who have a need-to-know. All records are retrieved, retained, stored, and disposed by authorization of AAFES Comptroller.

Retrievability:

By employee's name and location where advance was issued.

Safeguards:

Documents maintained in file folders in standard file cabinets. Retrievability authorized by section supervisor.

Retention and disposal:

Cutoff at close of fiscal year. Destroy after 1 year.

System manager(s) and address:

Chief, General Accounting Branch, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller Division, CM-G
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-G, Dallas, TX 75222.

Written request should contain full name and area of assignment.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Trial balances prepared by exchange elements.

Systems exempted from certain provisions of the act:

None.

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AAFES0703.01

System name:

0703.01 AAFES Time Sheets.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in Continental Unites States (CONUS): AAFES Exchange Regions, Area Exchanges, post and base exchanges including satellites; overseas: HQ AAFES-Europe, HQ AAFES-Pacific, and HQ AAFES-Alaska.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Facility number, employee's name, social security number (SSN), category, leave balance, and shift identification number. Printout is combination Time Sheet and Time and Attendance (TA), Register for CONUS exchanges and TA Register only for oversea exchanges.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Printout distributed to all exchanges biweekly two pay periods in advance for recording hours worked, leave hours, and other data essential to payroll processing. CONUS exchanges record payroll data from TA Register to Optical Character Recognition (OCR) Time Sheet and submit to HQ AAFES for OCR Reader. Oversea exchanges key punch data from TA Register and submit via wire transmission to HQ AAFES.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape and printouts resulting from source input. OCR paper source documents stored by exchange number in steel file cabinets in HQ AAFES CM-M. All records are retrieved, retained, stored, and disposed of by Authorization of the Comptroller.

Retrievability:

Source documents by payroll period, exchange number, SSN or name.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Maintained 3 months in Payroll Branch. Transferred to AAFES Records Warehouse. Destroyed after 2 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES, Comptroller, Payroll Branch
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Requests from individuals should be addressed to: HQ, AAFES, ATTN: CM-M, Dallas, TX 75222

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

TA Registers.

Systems exempted from certain provisions of the act:

None.

AAFES0703.02

System name:

0703.02 Payroll Allotment Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Dallas, TX 75222.

Categories of individuals covered by the system:

All regular full-time employees of HQ AAFES and all Universal Annual employees worldwide.

Categories of records in the system:

File contains alphanumberic: Employee's social security number (SSN) or pseudo number, employee's name, exchange number, amount of allotment, and allottee's name and address.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as source document to update employee's payroll master records and name and address file for mechanical preparation of checks payable to allottee.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printouts and paper documents in file folders. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Usually by name within Exchange.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Replaced when superseded by new or revised document or deleted upon employee termination. Pulled documents destroyed after 1 year.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Requests from individuals should be addressed to: HQ, AAFES, ATTN: CM-M, Dallas, TX 75222

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Employee completes and submits document through servicing personnel office.

Systems exempted from certain provisions of the act:

None.

AAFES0703.03

System name:

0703.03 United States Savings Bond Register Files.

System location:

Headquarters (HQ), Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in Continental United States: AAFES Exchange Region, Area Exchanges, post and base exchanges including satellites; Overseas: HQ AAFES-Europe, HQ AAFES-Pacific, and HQ AAFES-Alaska.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

Computer printout showing employee's name, social security number (SSN), Exchange number, maturity value, cost of bond, current deduction, refund, old balance, new balance, and serial number of bond purchased.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Printout of listing by exchange distributed to each applicable servicing personnel office biweekly with purchased bonds. HQ AAFES Comptroller Division, Payroll Branch, utilizes printout to control employee's bond balance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape, printout, and microfiche. All records are retrieved, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Usually by SSN or pseudo number within exchange number.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible to authorized personnel on a need-to-know basis.

Retention and disposal:

HQ AAFES Payroll Branch: Destroy after 4 years.
Other offices: Destroy after 1 year.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES, Comptroller, Payroll Branch
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Requests from individuals should be addressed to: HQ, AFFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Bond application form completed by employee.

Systems exempted from certain provisions of the act:

None.

AAFES0703.05

System name:

0703.05 Personnel Action/Discrepancy Notice Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222 and applicable Servicing Personnel Offices within the AAFES worldwide system.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains: social security number (SSN); name; exchange location; home address to include street, city/state/county, zip code/Army Post Office; date of birth; date of hire; leave accrual date; retirement participation date; service award base date; citizenship; marital status; prior military status; prior AAFES service; sponsor affiliation where the employee is a dependent of a U.S. government/military member; job code and job title; mobility status; employment category; pay plan wage schedule number; grade/step; base hourly rate; scheduled work week; scheduled shift; commission rate/override where applicable; Federal tax exemptions; state tax code and exemptions; type of insurance coverage and deduction amount; deductions to include janitorial fee, union dues, employees' association, and Combined Federal Campaign; and overseas allowances where applicable to include cost of living allowance, post differential, quarters allowance, and separate maintenance allowance.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To correct errors in keypunch Personnel Actions which are identified through machine edits.

Comptroller Division: To maintain hard copy documentation of the employee's current and past personnel records for pay purposes.

Servicing Personnel Offices: To document corrections to the personnel actions in the employee's Official Personnel Folder (OPF).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

Alphabetically by employee's name.

Safeguards:

Folders maintained in locked filing cabinets.

Retention and disposal:

Personnel Division: Destroyed upon verification of error correction.

Comptroller Division: Cutoff at close of fiscal year in which employee is terminated. Destroyed after 4 years.

Servicing Personnel Office: Destroyed after posting correction to the employees OPF.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1200-75/1200-76, Personnel Action

Systems exempted from certain provisions of the act:

None.

AAFES0703.07

System name:

0703.07 Payroll Register Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in Continental United States: AAFES Exchange Region, Area Exchanges, post and base exchanges including satellites; overseas: HQ AAFES-Europe, HQ AAFES-Pacific, and HQ AAFES-Alaska.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Employee's social security number (SSN) or psuedo number, employee's name, current payroll data, quarter-to-date and year-to-date wages and/or deductions, leave balances, and control information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Printout of listing by exchange distributed to each applicable servicing personnel office biweekly. HQ AAFES Comptroller Division, Payroll Branch, utilizes microfiche of subject report. Printout serves to control employees current pay status and year-to-date data in order to reply to valid inquiries to individual employee's payroll data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape and computer printout. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Usually by SSN or psuedo number within Exchange number.

Safeguards:

Tape file maintained at Data Systems Division, Computer Processing Branch - Computer Processing Tape Library. Retrievability requests must be written and need the signature of the Comptroller.

Retention and disposal:

Tape file: 1 year.

Computer Printout: Permanent, cutoff at close of fiscal year and maintained for 2 years, then retired to National Personnel Records Center.

Other offices: Cutoff at close of fiscal year. Destroy after 1 year.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Requests from individual should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above information.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Personnel Action, Time Sheet, other related documents, and calculated results from current payroll.

Systems exempted from certain provisions of the act:

None.

AAFES0703.09

System name:

0703.09 Employer's Copy of Income Tax Withheld.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Payroll Branch, Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumberic: Employee's name; address; social security number (SSN); exchange number; Federal, social security, State or local information; and other information required.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Printout is replica of wage and tax statement Form W-2 on microfiche. File is utilized to reply to valid inquiries and to replace lost W-2 Forms for employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape and microfiche printout. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

By employee's last name.

Safeguards:

Tape file maintained at Data Systems Division, Comptroller Processing Branch, Tape Library. Retrievability request should be written and requires authority of Comptroller.

Retention and disposal:

Destroy microfiche after 5 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code: 214/330-3870

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

At end of taxable year from mechanically stored payroll data (Payroll Master File).

Systems exempted from certain provisions of the act:

None.

AAFES0703.10

System name:

0703.10 Employer's Quarterly Federal Tax Return Files.

System location:

Headquarters (HQ) Army and Air Force Exchange System (AAFES), Comptroller Division, Payroll Branch, Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

These files consist of Treasury Department Form 941, other comparable forms, computer printouts, magnetic tape, and related documents showing reports of Federal and State tax withheld from employees and the banking and payment thereof.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For reconciliation and payment of taxes withheld from employees and employer's share.

To provide Internal Revenue Service (IRS) with magnetic tape representating wages covered by Social Security.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape and microfilm received from IRS and computer printouts. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

By social security number (SSN).

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Destroy after 5 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES, Comptroller, Payroll Branch
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Data stored in payroll master file.

Systems exempted from certain provisions of the act:

None.

AAFES0703.11

System name:

0703.11 Wage and Separation Information Report Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Payroll Branch, Dallas, TX 75222

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Employee's social security number (SSN), employee's name, last employment facility, reason for separation, and wage data as requested.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To furnish data requested by State Employment Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Documents maintained alphabetically in file folders. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

By employee's name.

Safeguards:

Building employs security guards. Records are maintained in area accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Destroy after 4 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Document received from State Employment Service. Data retrieved from computer printouts, microfilm, and personnel actions.

Systems exempted from certain provisions of the act:

None.

AAFES0703.12

System name:

0703.12 Payroll Adjustment Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Payroll Branch, Dallas, TX 75222

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular fill-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Facility number, employee's name, social security number (SSN), hours, and dollar amount by type to be paid or withheld to/from employee.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To adjust employee's pay due to retroactive increases/decreases or over/under withholding deductions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

By exchange number within pay period ending date. Copy maintained in servicing personnel office and copy furnished to employee. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

By Exchange, by employee's name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Destroy after 4 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Documents completed by servicing personnel offices or HQ AAFES, Comptroller Division, Payroll Branch.

Systems exempted from certain provisions of the act:

None.

AAFES0703.13

System name:

0703.13 Levy and Garnishment Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Comptroller Division, Payroll Branch, Dallas, TX 75222

Categories of individuals covered by the system:

All United States citizen (to include permanent resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Employee's name and address, social security number (SSN), and tax assessment data. File is applicable only to Internal Revenue Service (IRS) Notice of Levy.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To comply with IRS requirements regarding the Notice of Levy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents maintained in file folders. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Filed alphabetically by employee's name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Destroy after 4 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing determinations may be obtained from the SYSMANAGER.

Record source categories:

Notice of Levy received from IRS.

Systems exempted from certain provisions of the act:

None.

AAFES0703.14

System name:

0703.14 Payroll Report Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in Continental United States: AAFES Exchange Region, Area Exchanges, post and base exchanges including satellites; Overseas: HQ AAFES-Europe, HQ AAFES-Pacific, and HQ AAFES-Alaska.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains alphanumeric: Facility number, employee's name, social security number (SSN) or pseudo number, employee category, pay plan, current wages and deductions, quarter-to-date wages, year-to-date wages and deductions, hours worked, and leave hours accrued and taken.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Computer printouts distributed biweekly to exchanges to facilitate adjustment to employee's pay, if applicable, and to identify payments to employee unions, associations, Federal campaigns, allotments, and to facilitate payment of Federal and State taxes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape, computer printouts, and microfiche. All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Usually by SSN within Exchange.

Safeguards:

Tape file maintained at Data Systems Division, Computer Processing Branch - Computer Processing Tape Library. Retrievability request should be written and requires authority of the Comptroller.

Retention and disposal:

Destroy after 4 years.

System manager(s) and address:

Chief, Payroll Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Comptroller, Payroll Branch
Dallas, TX 75222
Telephone: Area Code 214/330-3870

Record access procedures:

Request from individuals should be addressed to: HQ AAFES, ATTN: CM-M, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of separation and last location in addition to the above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Payroll master file.

Systems exempted from certain provisions of the act:

None.

AAFES0704.04

System name:

704.04 Group Insurance Card Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES), Dallas, Texas

Categories of individuals covered by the system:

Regular full-time employees who participate in group insurance plan

Categories of records in the system:

Card contains: Employees name, social security number or certificate number, name of beneficiary, date of employees birth, date insurance began, date amount of insurance changed or terminated

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Card serves to assist in establishing employees eligibility for continued group insurance at retirement

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored and disposed of by authorization of the Comptroller

Storage:

Vertical file cards and roll microfilm

Retrievability:

Alphabetical by name

Safeguards:

Building employs security guards. Records are maintained in steel storage cabinets

Retention and disposal:

Cutoff at close of fiscal year in which employee separates or cancels insurance. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters, AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Request from individuals should be addressed to: Headquarters, AAFES, CM-I, Dallas, Texas 75222

Written requests for Information should contain the full name of the individual, current address (date of separation) and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER

Record source categories:

Employee's request for insurance and personnel actions

Systems exempted from certain provisions of the act:

NONE

AAFES0704.05

System name:

0704.05 Retirement Card Files

System location:

Headquarters Army and Air Force Exchange Service, (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

All regular full-time AAFES employees assigned to AAFES exchanges located in the U.S. and the Canal Zone, Panama and those regular full-time civilian employees assigned to AAFES exchanges located overseas who are U.S. citizens, non-citizen nationals or permanent residents of U.S.

Categories of records in the system:

File contains alphanumeric-employees' social security number, pseudo social security number,, employee name and certificate number if assigned. Information relative to retirement contributions and credited service.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected as necessary to compute and effect payment of individual employee's retirement, death or termination benefits. Referrals to insurance carriers. Referrals for active, retired or terminated employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored and disposed of by authorization of Comptroller.

Storage:

Individual files are retained at Headquarters AAFES in steel cabinets.

Retrievability:

Usually by social security number or pseudo social security number, name and certificate number if assigned.

Safeguards:

Retained in locked retrievers. Retrievability request must be approved by Assistant Comptroller, Insurance Branch.

Retention and disposal:

Kept at Army and Air Force Exchange Service Headquarters until close of fiscal year following AAFES involvement. Destroyed after six years of storage.

System manager(s) and address:

Director, Administrative Services Division, AAFES Headquarters, Dallas, Texas 75222

Notification procedure:

Information may be obtained from AAFES Headquarters Comptroller Division, Insurance Branch, Dallas, Texas 75222

Record access procedures:

Requests should be addressed to Headquarters, Army and Air Forces Exchange Service, Headquarters Comptroller Division, Insurance Branch, Dallas, Texas 75222

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Personnel actions, enrollment applications, retirement applications, death certificates, termination notices, year-end printout listing of employees retirement contributions and requests for prior service credit.

Systems exempted from certain provisions of the act:

None

AAFES0704.06

System name:

0704.06 Group Insurance Printout Files

System location:

Headquarters Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

All regular full-time employees who participate in group insurance plan. All retirees who have obtained eligibility for continued group insurance.

Categories of records in the system:

File contains: Employee name, social security number, date of birth, date insurance changed or terminated, exchange location, amount of disability income and life insurance, dependent coverage, executive management program member or not.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Forwarded to insurance carrier for payment of submitted claims. Verify existence of insurance coverage, date of insurance change

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored and disposed of by authority of the Comptroller.

Storage:

Paper records in hard-back folders and roll microfilm.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards.

Retention and disposal:

Cutoff at close of fiscal year in which superseded or cancelled, then destroy

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters, Army and Air Force Exchange Service
Comptroller, Insurance Branch, Dallas, Texas 75222
Telephone Number: Area Code 214/330-2271

Record access procedures:

Request from individuals should be addressed to: Headquarters, AAFES, CM-I, Dallas, Texas 75222

Written requests for information should contain the full name of the individual, current address, last location, and social security number.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER

Record source categories:

Employee's request for insurance and personnel action

Systems exempted from certain provisions of the act:

None

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AAFES0704.07

System name:

0704.07 Fidelity Bond Files

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; in Continental United States: AAFES Exchange Region, Area Exchanges; overseas: HQ AAFES-Europe, HQ AAFES-Pacific, HQ AAFES-Alaska and Exchange Regions.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, non immigrant alien) employees with caregory of regular full-time, regular part-time, temporary full-time, and temporary part-time employment.

Categories of records in the system:

File contains fidelity bond applications, transmittal letter to insurance company, and related correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Exchange activities as listed in location above. Uses are primarily as a record to assure that all individuals as listed above did submit a fidelity bond application. The originals are submitted to the bonding company for review and retention.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. All records in AAFES are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Cutoff as close of fiscal year in which bond becomes inactive. Destroy after 3 years.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Personnel Division
Dallas, TX 75222
Telephone: Area Code 214/330-2621

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: PE, Dallas, TX 75222.
Written requests for information should contain the full name of the individual, social security number, current address and telephone number.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Fidelity bond applications completed by the employee; correspondence relating thereto.

Systems exempted from certain provisions of the act:

None.

AAFES0704.08

System name:

0704.08 Accidental Death and Dismemberment Administrative Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES), Dallas, Texas 75222

Categories of individuals covered by the system:

All regular full-time employees and military personnel assigned to AAFES who submit application to participate in insurance plan.

Categories of records in the system:

File contains: Employees name, social security number, effective date, date of birth, occupation, name of beneficiary and relationship and address, amount of insurance on application. Renewals and payment of premium records.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify existence of insurance, amount of insurance in force, identity of beneficiary and assistance in responding to written inquiries; obtain renewal premiums.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders,

Retrievability:

Alphabetical by name,

Safeguards:

Building employs security guards. Files are maintained in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which insurance is cancelled or claim is paid. Destroy after 3 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Request from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, Dallas, Texas 75222
Written requests for information should contain the full name of the individual, social security number, current address, and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Application from the individual requesting insurance.

Systems exempted from certain provisions of the act:

None

AAFES0704.09

System name:

0704.09 Personal Property Claim Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES), Dallas, Texas 75222; AAFES Exchange Regions; Area Exchanges, HQ AAFES-Europe; HQ AAFES-Pacific; HQ AAFES-Alaska

Categories of individuals covered by the system:

All civilian employees entitled to permanent change of station moves at AAFES expense.

Categories of records in the system:

File contains employee's claim, travel orders, exception reports, repair bills/ estimates, and correspondence pertaining to the employee's insurance and claim.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Employee - To file claim for loss/damage to household goods in conjunction with Permanent change of Station (PCS) moves.
Exchange Activities - To assist employee in filing claim and transmit to HQ AAFES.
HQ AAFES - To adjudicate and pay claim.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Cutoff at close of fiscal year in which claim is closed. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES, Dallas, Texas 75222.

Notification procedure:

Information may obtained from:
HQ AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-3583

Record access procedures:

Request from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, CM-I, Dallas, Texas 75222
Written requests for information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The agency's rule for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Inventory of household goods, exceptions noted on delivery, application for movement of household goods and personal effects, repair estimates, bills and correspondence relating thereto

Systems exempted from certain provisions of the act:

None

AAFES0704.10

System name:

0704.10 Insurance Claims Files - Workmen's Compensation

System location:

Headquarters Army and Air Force Exchange Service (AAFES), Dallas, Texas 75222 In continental United States: AAFES Exchange Region, Area Exchanges, base and post exchanges, including satellites; overseas: Headquarters AAFES-Europe, Headquarters AAFES-Pacific, Headquarters AAFES-Alsaka

Categories of individuals covered by the system:

All employees who suffer on the job accidents, illness or death

Categories of records in the system:

Claim reports, correspondence and documents relating to claims arising under the insurance program.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify amount of weekly compensation, transmit documents to insurance carrier for reimbursement, transmit payment received to exchange. Respond to inquiries relating to claim. Processing and settlement of workmen's compensation claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name; claim number by location.

Safeguards:

Files are maintained in file folders and stored in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which claim is closed. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, Dallas, Texas 75222
Written requests for information should contain the full name, social security number, claim number that appears on all correspondence received on claim, date of accident, and location of accident.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Claim application received from exchange. Correspondence and documents received from insurance company and individual.

Systems exempted from certain provisions of the act:

None

AAFES0704.11

System name:

0704.11 Short/Long Term Disability Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

Short Term: All insured headquarters employees who file claims for disabilities extending beyond seventeen days,
Long Term: All insured employees when file claims for disabilities extending beyond six months,

Categories of records in the system:

Claims for disabling injuries or illness includes employee's application for benefits, medical reports, records of payments received and communications pertaining to the claim.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify existence of coverage, amount of payment owed ,and length of payment period.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards. Records are maintained in steel storage cabinets.

Retention and disposal:

Short term: Cutoff at close of fiscal year in which employee returns to work. Destroy after 6 years.
Long term: Cutoff at close of fiscal year in which employee returns to work or when age 62 is reached. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters, AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, Dallas, Texas 75222
Written requests for information should contain the full name, social security number, current address ,and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Claim application received from exchange, correspondence, and documentation from individual, and insurance company.

Systems exempted from certain provisions of the act:

None

AAFES0704.12

System name:

704.12 Miscellaneous Employee Claim Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

Medical, hospital, and surgical claim files,

Categories of records in the system:

Documents accumulated on benefit payments made, disputed claims, and related papers not included in other categories of the insurance plan records.

Authority for maintenance of the system:

Title 10 USC, Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record of assistance provided on claims, response to inquiries regarding benefit coverage, and correspondence pertaining to claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards. Records are maintained in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which claim is closed. Destroy after 6 years.

System manager(s) and address: Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters AAFES Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters Army and Air Force Exchange Service, Dallas, Texas 7522
Written requests for information should contain the individual's full name, current address, and last location,

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER,

Record source categories:

Claim application received from overseas exchange. Correspondence and supporting documents from individual, and insurance company.

Systems exempted from certain provisions of the act:

None

AAFES0704.13

System name:

704.13 Annuity Eligibility Files

System location:

Headquarters Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

Retired employees who completed fifteen years of insured employment and are eligible for life insurance and hospitalization insurance after retirement.

Categories of records in the system:

File contains employee name, social security number, name of beneficiary, current address, amount of insurance, and related papers.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify continuance of insurance coverage for retiree and dependents. Assist in replying to written inquiires, and processing claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards. Records are maintained in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which AAFES involvement is terminated. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222.

Notification procedure:

Information may be obtained from:
Headquarters AAFES Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army andAir Force Exchange Service, Dallas, Texas 75222.
Written requests for information should contain the individual's full name, current address, date of retirement, and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Claim application received from individual. Correspondence and documents received from individual and insurance company.

Systems exempted from certain provisions of the act:

None

AAFES0704.14

System name:

704.14 Waiver of Premium Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222.

Categories of individuals covered by the system:

Employees who have been disabled for more than 9 months and who have applied for waiver of group insurance premiums due to diability.

Categories of records in the system:

File contains employee's claim application and supporting documents, record of action by the insurance carrier to approve or disapprove the waiver, and related correspondence.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Accumulation of documentation to verify continuance of extended insurance coverage.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards. Files are maintained in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which employee returns to work or AAFES involvement is terminated. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222

Notification procedure:

Information may be obtained from:
Headquarters AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service, Dallas, Texas 75222.
Written requests for information should contain the individuals full name, current address, and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Employee's claim application received from exchange. Correspondence and documentation received from insurance company and individual and other sources.

Systems exempted from certain provisions of the act:

None

AAFES0704.15

System name:

704.15 Individual Retirement Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES) Dallas, Texas 75222

Categories of individuals covered by the system:

Regular full-time AAFES employees assigned to AAFES exchanges located in the U.S., and the Canal Zone, Panama and regular full-time employees in oversea areas who are U.S. citizens, noncitizen nationals or permanent residents of the U.S.

Categories of records in the system:

File contains alphanumeric employee's social security number and certificate number of assigned, employee name, retirement plan participation data, documents and correspondence pertaining to participation and benefits of the Plan.

Authority for maintenance of the system:

Title 10, USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected for use in administering retirement plan, computation of annuities, processing of retirements, subsequent follow-up inquiries, and processing of actions pertaining to retirement benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Individual files are maintained in file folders at HQ AAFES.

Retrievability:

Usually by social security number or pseudo social security number, and certificate number, if assigned.

Safeguards:

Building employs security guards.

Retention and disposal:

Retained until cutoff at close of fiscal year in which the involvement of AAFES is terminated. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, AAFES Headquarters, Dallas, Texas 75222.

Notification procedure:

Information may be obtained from AAFES Headquarters, Comptroller Division, Insurance Branch, Dallas, Texas 75222.

Record access procedures:

Request should be addressed to:
Headquarters,Army and Air Force Exchange Service Comptroller Division, Insurance Branch, Dallas, Texas 75222

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Personnel actions, enrollment applications, retirement applications, relating correspondence, and documents pertaining to the individual's retirement plan participation.

Systems exempted from certain provisions of the act:

None

AAFES0704.18

System name:

0704.18 Paid Death Claim Files

System location:

Headquarters, Army and Air Force Exchange Service (AAFES), Dallas, Texas 75222

Categories of individuals covered by the system:

Incidents of death on which insurance proceeds have been paid by the carrier

Categories of records in the system:

file contains application for benefits, death certificate and related supporting documentation and correspondence.

Authority for maintenance of the system:

Title 10 USC Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Processing death claims for payment of benefits, assistance in responding to inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All records are retrieved, retained, stored, and disposed of by authorization of the Comptroller.

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by name.

Safeguards:

Building employs security guards. Records are maintained in steel storage cabinets.

Retention and disposal:

Cutoff at close of fiscal year in which claim is paid. Destroy after 6 years.

System manager(s) and address:

Director, Administrative Services Division, Headquarters AAFES, Dallas, Texas 75222.

Notification procedure:

Information may be obtained from:
Headquarters, AAFES, Comptroller, Insurance Branch
Dallas, Texas 75222
Telephone: Area Code 214/330-2271

Record access procedures:

Requests from individuals should be addressed to: Headquarters Army and Air Force Exchange Service, Dallas, Texas 75222
Written requests for information should contain the individual's full name, current address, date of separation, date of death, and last location.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Claim application received from exchange or beneficiary. Correspondence and documentation received from insurance company, and exchange or beneficiary.

Systems exempted from certain provisions of the act:

None

AAFES0803.01

System name:

0803.01 AAFES Incident Record.

System location:

Primary System: Safety and Security Office, Headquarters (HQ) Army Air Force Exchange Service (AAFES); Dallas, TX 75222.

Decentralized Segments: Safety and Security Offices in Overseas Exchange System Regions.

Categories of individuals covered by the system:

Any individual suspected to be involved in criminal activities/fires/accidents at AAFES activities or involving AAFES property who are identified in criminal reports of investigation furnished AAFES by military and civilian investigating agencies.

Categories of records in the system:

AAFES Incident Record.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify in a single AAFES record system, criminal reports prepared by investigating and law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records stored in card index filing cabinets.

Retrievability:

Filed alphabetically by last name of individual and by identifier code.

Safeguards:

Buildings have security guards. Files kept in locked file cabinets. Records available only to those with a need-to-know.

Retention and disposal:

Records are retained until corresponding investigative files are destroyed or until the records are no longer needed. Records are destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Director, Safety and Security Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: SS
Dallas, TX 75222
Telephone Area Code: 214/330-2721

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: SS, Dallas, TX 75222.

Written requests for information should contain the full name of the individual; correct address; telephone number; status; job title; social security number; and time, date, and place incident occurred.

For personal visits, the individual should be able to provide acceptable identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

From AAFES Incident Reports and Criminal Investigative Reports.

Systems exempted from certain provisions of the act:

None.

AAFES0903.06a

System name:

0903.06 Systems Magnetic Tape Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

File contains information on (a) non-managerial employees: social security number (SSN); name; exchange location; home address to include street, city, state/country, zip code/Army Post Office (APO); date of birth; date of hire; leave accrual date; retirement participation date; service award base date; citizenship; marital status; sex; security clearance to include type; current military status; prior military status; prior AAFES service to include type; sponsor affiliation where the employee is a dependent of a US government/military member; job code and job title; employment category; pay plan; wage schedule, number, grade, and step; base hourly rate; scheduled work week and shift; commission rate where applicable to commission pay plan employees; Federal exemptions; State exemptions; type of insurance coverage; deductions to include janatorial fee, union dues, employees association, Combined Federal Campaign, and Panamanian hospital and life insurance supplement; (b) managerial employees: All of the above as well as mobility status; place of birth ;date in grade and step; assignment/health restrictions; date of last Executive Management Program (EMP) physical examination, passport issuance date; number of dependents, to accompany upon reassignment; dates number of months active military service; date assigned to an oversea area; date returned to the Continental United States (CONUS); foreign languages to include degree of proficiency; education to include high school, name of college, major, minor, type of degree, date completed, non-graduate semester/quarter hours completed, whether or not currently enrolled in college, and whether or not seeking a degree; professional licenses; professional/technical field of study to include date completed; assignment preference locations (overseas and within the CONUS); career area interests outside current field; dependents to include name, date of birth, relationship, country of citizenship, health restrictions, and emergency contact to include name and address; whether or not employee is home-owner; training courses to include date, title, type (AAFES, management development, correspondence, professional/technical); EMP member and date status attained; and Personnel Evaluation Report (PER) to include period covered, total score, overall evaluation, promotion potential, career area, and recommended outside career area.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To accomplish statistical analysis of the work force for the purpose of projecting trends in such areas as personnel costs, organizational configurations, strength requirements, etc. For managerial employees, to obtain information on current and past employment for the purposes of job assignment, promotions, and career progression.

Comptroller Division: To provide updated data on pay and deductions necessary to compute bi-weekly payrolls.

Servicing Personnel Offices: To provide hard-copy documentation on employee's current pay and job data, career progression, cost analysis, etc.

Employee: To provide a permanent record of his personal master file record as updated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk file and computer printout. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

Usually by SSN; however, capability exists to retrieve by any data item listed under Record-Category.

Safeguards:

Disk files maintained in locked room. Retrievability requests must be written and under signature of Director, Personnel Division.

Retention and disposal:

Disk file: Retained for 18 months after separation and destroyed, with the exception of employees terminated under disciplinary action (ineligible for rehire), retired employees, and all Universal Annual Salary Plan employees whose file remains a permanent record.

Personnel Management Information System: Back-up tapes retained for 90 days.

Computer printouts of purged files maintained for 1 year.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222

Notification procedure:

Information may be obtained from:
HQ AAFES (AAFES-AD)
ATTN: PE
Dallas, TX 75222

Telephone: Area Code 214/330-2761.

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Personnel Action: PER and Personal Profile Questionaires for managerial personnel only; bonds.

Systems exempted from certain provisions of the act:

None.

AAFES0903.06c

System name:

0903.06 Systems Magnetic Tape Files.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

Categories of individuals covered by the system:

All United States citizens (to include permanent-resident alien, non-immigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

Managerial and non-managerial employees: social security number (SSN), name, job title, course number and name, date enrolled, enrollment action/status, and transaction date.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To provide updated data on employees worldwide who are enrolled in Management Development Program (MDP) courses as to status of their continuing participation, drop-out or completion.

Servicing Personnel Offices: To provide updated data on employees, under jurisdiction of particular servicing personnel offices, who are enrolled in MPD courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk file and computer printout. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

By SSN.

Safeguards:

Disk files maintained in locked room. Retrievability requests made through Personnel Division.

Retention and disposal:

Disk file: Retained for 90 days after processing cycle is completed.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
Headquarters
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-3871

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

AAFES Form 1850-33, Study Course - Notice of Status.

Systems exempted from certain provisions of the act:

None.

AAFES0903.06d

System name:

903.06 Personal Property Transfer System

System location:

Primary System - Personal Property Section, Distribution Division, Headquarters, Army and Air Force Exchange Service (HQ AAFES), Dallas, Texas; Data Systems Division, HQ AAFES, Dallas, Texas.

Categories of individuals covered by the system:

Any Army and Air Force Exchange Service employee who has made or is in the process of making a permanent change of station (PCS) officially connected with his position as an AAFES employee.

Categories of records in the system:

File contains automated records pertaining to receipt, shipment, storage, weight allowances, and payments of employees' household goods. Specifically data includes such things as employee's name and social security number, PCS order number, employee's grade, marital status, number of dependents, present location and new assignment location. Additionally, all cost data relating to shipment, handling and storage of employee's personal property is captured in this system.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal Property Section-to review costs, by type, for all employee personal property shipments. To monitor records of payment and other statistical reports pertaining to personal property transactions.

General Accounting Branch, Comptroller Division-to monitor charges incurred by AAFES for shipping, handling, and storing of employee's personal property and to initiate payments accordingly.

Regional Storage Management Offices (RSMO)-to monitor volume of AAFES employees' personal property in non-temporary storage and the value of invoices paid.

Release of information contained in this system of records is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, microfiche, and computer paper printouts.

Retrievability:

Microfiche-by social security number and employee's name.

Computer Magnetic Tapes-by specific parameters as required by System Operating Procedures-AAFES Training Guide No. 1014.

Computer Paper Printouts-access depends upon the parameters used to generate the reports. The reports will be filed either by general parameter or by employee's name and social security number. Reports that specify employee name and social security number are of a one time nature and are destroyed after use.

Safeguards:

Building employs security guards. Magnetic tapes are kept in secured room in Data Processing Division which allows authorized personnel only.

Microfiche-maintained by Personal Property Section and Data Processing Division in filing cabinets accessible to authorized personnel only.

Computer Paper Printouts are maintained in filing cabinets in Personal Property Section.

Retention and disposal:

Magnetic Tapes (Active)-maintained for 4 weeks in Data Processing Division, HQ AAFES.

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Magnetic Tapes (History)-records are permanent, maintained in Data Processing Division, HQ AAFES.

Magnetic Tapes (COM)-maintained for 6 weeks in Data Processing Division, HQ AAFES.

Microfiche-maintained for 3 years by Personal Property Section, Distribution Division, HQ AAFES, and then destroyed.

Computer Paper Printouts-as needed by Personal Property Section, Distribution Division, HQ AAFES.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD)
3911 Walton Walker Blvd.
Dallas, Texas 75222
Telephone: Area Code 214/330-2011

Record access procedures:

Requests from individuals should be addressed to Headquarters, Army and Air Force Exchange Service (HQ AAFES), Director, Distribution Division, Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification such as driver's license, etc.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Employee's travel orders; Department of Defense (DOD) approved carriers and storage contractors invoices and substantiating documentation; Military Airlift Command, Military Sealift Command, and Military Traffic Management Command billing offices; Comptroller Division-HQ AAFES.

Systems exempted from certain provisions of the act:

None

AAFES0903.06e

System name:

0903.06 Personal Profile.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; Continental United States (CONUS) exchange regions; oversea regional Exchanges; post and base area exchanges within the AAFES system.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time temporary full time, and temporary part-time who are serving as managerial (Universal Annual (UA)) employees.

Categories of records in the system:

File contains social security number (SSN); name; date of birth; date of hire; citizenship; marital status; sex; security clearance to include type; employment category; pay plan; grade; step; mobility status; place of birth; date in grade; date in step; assignment/health restrictions; date of last Executive Management Program (EMP) physical examination; passport issuance date; number of dependents to accompany upon reassignment; dates of military service; number of months active military service; date assigned to an overseas area; date returned to the CONUS; foreign languages to include degree of proficiency; education to include high school, name of college, major, minor, type of degree, date completed, non-graduate semester/quarter hours completed, whether or not currently enrolled in college, and whether or not seeking a degree; professional licenses; professional/technical field of study to include date completed; assignment preference locations (overseas and within CONUS); career area interests outside current field; dependents to include name, date of birth, relationship, country of citizenship, and health restrictions; emergency contact to include name and address; whether or not employee is home-owner; training courses to include date, title, and type (AAFES, management development, correspondence, professional/technical; EMP member and date status attained; employment experience (beginning with current data) to include date in facility, location, date-in-job, job code, and job title.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To obtain information on current and past employment training history, education, and personal data for the purposes of job assignment, promotions, and career progression.

Servicing Personnel Offices located at CONUS exchange regions, area exchanges; and oversea headquarters, regional exchanges, and area exchanges: To provide hard-copy documentation on employee's career progression. CONUS exchange regions and overseas headquarters forward copy to gaining regional/area exchange where it is filed in Official Personnel Folder (OPF).

Personnel Division and Servicing Personnel Offices: Release of information contained in the system of records is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Employee: To provide a permanent record of data as updated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printout maintained in Career Management Folder (CMF), Personnel Division; Convenience Personnel Folder (CPF) at CONUS Exchange regions; oversea headquarters; and OPF at gaining regional/area Exchange. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

Usually by SSN; however, capability exists to retrieve by any data item.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Personal Profiles are available only to authorized personnel having access to CMFs and OPFs where copies are maintained.

Retention and disposal:

Disk file: Retained for 18 months after separation and destroyed, with the exception of employees terminated under disciplinary action (ineligible for rehire), retired employees and all UA Salary Plan employees, whose files remain a permanent record.

Computer printout:

CMF: Maintained in Career Management Branch, HQ AAFES and destroyed 3 years after employee is separated.

CPF: Transferred to gaining CONUS exchange region upon transfer of employee; oversea headquarters. Destroyed 1 year after employee is separated.

OPF: Placed in inactive file upon separation. Held at Servicing Personnel Office 1 year then forwarded to National Personnel Records Center (Civilian), 111 Winnebago Street, St. Louis, MO 63118. May be retired 3 months after separation when the volume of inactive OPF creates a storage problem.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, and current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Personnel Actions; Training Certificates; College Transcripts; Personal Profile Questionnaires.

Systems exempted from certain provisions of the act:

None.

AAFES0903.06f

System name:

0903.06 Personnel Management Information System (PMIS).

System location:

Disk files and computer tapes are maintained at Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222.

System maintenance and output products are maintained by Servicing Personnel Offices of the AAFES.

Categories of individuals covered by the system:

All United States citizen (to include permanent-resident alien, nonimmigrant alien) employees with category of regular full-time, regular part-time, temporary full-time, temporary part-time, and intermittent employment.

Categories of records in the system:

The system consists of those documents necessary to maintain the centralized AAFES personnel data base, that information which is mechanically stored, and a variety of computer printouts related to the personnel management function of AAFES. The system contains the following information: (a) non-managerial employees: social security number (SSN); name; Exchange location; home address to include street, city, state/country, zip code/Army Post Office (APO); date of birth; date of hire; leave accrual date; retirement participation date; service award base date; citizenship; marital status; sex; security clearance to include type; current and prior military status; prior AAFES service to include type; sponsor affiliation where the employee is a dependent of a US government/military member; job code and title; employment category; pay plan; wage schedule number; grade step; base hourly rate; scheduled work week and shift; commission rate where applicable to commission pay plan employees; Federal and State exemptions; type of insurance coverage; deductions to include janitorial fee, union dues, employees' association, Combined Federal Campaign, Panamanian hospital and life insurance supplement; disability identification; minority code; city tax code and deduction; (b) managerial employees: all of the above as well as mobility status; place of birth; date in grade and step; assignment/health restrictions; date of last Executive Management Program (EMP) physical examination; passport issuance date; number of dependents to accompany upon reassignment; dates of military service; number of months' active military service; date assigned to an oversea area; date returned to the Continental United States (CONUS); foreign languages to include degree of proficiency; education to include high school, name of college, major, minor, type of degree, date completed, non-graduate semester/quarter hours completed, whether or not currently enrolled in college and seeking a degree; professional licenses; professional/technical field of study to include date completed; assignment preference location (overseas and within the CONUS; career area interests outside current field; dependents to include name, date of birth, relationship, country of citizenship, and health restrictions; emergency contact to include name and address; whether or not employee is homeowner; training courses to include date, title, type (AAFES, management development, correspondence, professional/technical); EMP member and date status attained; and Personnel Evaluation Report to include period covered, total score, overall evaluation, promotion potential, career area, and recommended outside career area.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division: To produce statistical reports (without individual identification) for various echelons of AAFES management for use in projecting trends and evaluating results in such areas as personnel costs, organizational configurations, strength requirements, etc., or evaluating programs not directly related to personnel management function; to obtain information on individual's current and past employment for the purposes of job assignments, promotions, and career progression; to identify and correct errors in employees computerized data files; and to provide summary reports (with or without personal identification) in support of the function for which the records are maintained or for related personnel management or manpower studies.

Comptroller Division: To provide updated data on pay and deductions necessary to computer biweekly payrolls and/or to determine the validity of individual claims related to pay adjustments.

Audit and Inspection Division: To produce summary reports (with or without personal identification) in support of auditing the conduct of personnel programs within various AAFES elements.

Office of the Commander: To provide summary statistics (without individual identification) to evaluate AAFES Equal Employment Opportunity (EEO) programs and to report to the Civil Service Commission, and to produce summary listings or information (with or without individual identification) necessary to the investigation of EEO complaints or employee grievances and complaints.

Servicing Personnel Offices: To provide hard-copy documentation on employee's current pay and job data, career progression, cost analysis, etc.; to produce statistical reports (without individual identification) for various echelons of AAFES management for use in projecting trends and evaluating results in such areas as personnel costs, organizational configurations, strength requirements, etc., or evaluating programs not directly related to personnel management functions; to obtain information on individual's current and past employment for the purpose of job assignments, promotions, and career progression; to identify and correct errors in employees computerized data files; and to provide summary reports (with or without personal identification) in support of the function for which the records are maintained or for related personnel management or manpower studies.

Employee: To provide a permanent record of his/her personal master file record as updated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on disk file, computer tapes, computer printouts, and in file folders. All records are retrieved, retained, stored, and disposed of by authorization of the Director, Personnel Division.

Retrievability:

Computer records are indexed by SSN, but may be retrieved by any data item listed under Record Category. Computer printouts are normally indexed by name or SSN within employment location but may be sorted chronologically and/or on the basis of any data item listed under Record Category.

Safeguards:

Disk files and tapes are located in restricted areas accessible only to authorized personnel who are properly screened, cleared, and trained. Retrievability requests must be written and under the signature of the Director, Personnel Division; manual records and computer printouts which contain individual identification are maintained in locked file drawers or storage cabinets and are available only to individuals having a need-to-know.

Retention and disposal:

Disk file retained for 18 months after separation and destroyed, with the exception of employees terminated under disciplinary action (ineligible for rehire), retired employees and all Universal Annual Salary Plan employees whose file remains a permanent record. PMIS back-up tapes retained for 90 days. Computer printouts are maintained as follows: system edit reports are destroyed upon verification that identified errors have been corrected, printouts produced in connection with management functions (as described in routine uses) are maintained for periods varying from 2 to 10 years, and source documents and computer printouts which are included as part of the employees official personnel folder are permanent.

System manager(s) and address:

Director, Personnel Division, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: PE
Dallas, TX 75222
Telephone: Area Code 214/330-2761

Record access procedures:

Requests from individuals should be addressed to: HQ AFFES, ATTN: PE, Dallas, TX 75222.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number; if terminated, date of birth, date of separation, and last employing location in addition to the above.

Visits are limited to HQ AAFES, Director, Personnel Division, Dallas, TX 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Employee, employee's supervisor, servicing personnel office representatives, and other AAFES management officials.

Systems exempted from certain provisions of the act:

None.

AAFES1100.31

System name:

1100.31 Personal Data Card

System location:

Headquarters, Army and Air Force Exchange Service, Dallas, Texas, Desk File, Administrative Section, Audit & Inspection Division.

Categories of individuals covered by the system:

All auditors/inspectors who perform temporary duty travel (TDY).

Categories of records in the system:

File contains card with personal data such as name, address, telephone number, and authorization for Audit and Inspection Administrative Assistant to act on individual's behalf regarding disposition of personal mail, payroll checks, expense checks, bonds, etc. while individual is on TDY.

Authority for maintenance of the system:

10 USC 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used solely to assure compliance with auditors/inspectors instructions regarding disposition of their personal mail while on TDY.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Retained in Audit & Inspection Division until auditor/inspector is transferred then destroyed.

Storage:

Desk file within Administrative Section of Audit & Inspection Division.

Retrievability:

By name.

Safeguards:

Desk file is accessible to Administration Section, Audit & Inspection Division personnel. Offices are locked at closing time.

Retention and disposal:

Card records are destroyed upon employee's transfer or termination from Audit & Inspection Division.

System manager(s) and address:

Director, Audit & Inspection Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AI)
Dallas, Texas 75222
Telephone: Area Code 214/330-2251

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AI), Dallas, Texas 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information provided by auditors/inspectors, Audit & Inspection Division.

Systems exempted from certain provisions of the act:

None

AAFES1203.03

System name:

1203.03 Appointment of Contracting Officers

System location:

Procurement Management Office, Headquarters Army and Air Force Exchange Service (HQ AAFES); HQ AAFES-Europe; HQ AAFES-Pacific; HQ AAFES-Alaska; all regional offices within the Continental United States.

Categories of individuals covered by the system:

All civilian employees and/or military personnel assigned to AAFES who are appointed as contracting officers.

Categories of records in the system:

Name, social security number (SSN), job title and grade; qualifications, training and experience; request for appointment as contracting officer; copy of Certificate of Appointment, and other correspondence and documents relating to the individual's qualifications to act as a contracting officer.

Authority for maintenance of the system:

10 U.S.C. 5012 and 8012 which identify the powers and duties delegated by the Secretary of the Army and the Secretary of the Air Force, respectively, each of whom is responsible for and has the authority necessary to conduct all affairs of his respective department, including functions necessary or appropriate for the training operations and administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by AAFES contracting officer appointing authority to ascertain an individual's qualifications to be appointed as contracting officer, to determine if limitations on procurement authority are appropriate; and to complete the Certificate of Appointment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by employee name.

Safeguards:

Information is retained in filing cabinets. Both the working and storage areas are within a controlled building, the entrance to which is limited to personnel assigned to AAFES.

Retention and disposal:

Records in this system are retained only so long as individual's appointment as contracting officer is valid. Upon termination of this appointment, records are destroyed.

System manager(s) and address:

Director, Procurement Management Office, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information may be obtained from:
HQ AAFES
ATTN: Procurement Management Office
Dallas, TX 75222
Telephone: Area Code 214/330-3761

Record access procedures:

Requests from individuals should be addressed to HQ AAFES, ATTN: Procurement Management Office, Dallas, TX 75222.

Written requests for information should contain the full name of the individual and activity to which assigned.

Personal visits may be made to HQ AAFES, or to an AAFES regional office, as appropriate. Individual should provide acceptable identification such as a valid driver's license, military identification card, or SSN.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned are contained in Army Regulation 340-21.

Record source categories:

The individual concerned, personnel records, former employers, educational institutions.

Systems exempted from certain provisions of the act:

None.

AAFES1204.07

System name:

1204.07 Customers' Merchandise Returned for Repair or Replacement.

System location:

Headquarters (HQ) Army and Air Force Exchange Service (AAFES), Dallas, TX 75222; HQ AAFES-Pacific; HQ AAFES-Europe; HQ AAFES-Alaska; all Continental United States and oversea exchange regions, area exchanges, and post and base exchanges and satellites within the AAFES system.

Categories of individuals covered by the system:

All AAFES customers to include military, retirees, civilians, and civilian dependents.

Categories of records in the system:

File contains charge or credit vouchers, shipping and receiving documents, warranty documents, correspondence between AAFES and customers, and correspondence between AAFES and vendors.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document receipt from customers of merchandise which is subsequently returned to vendors for repair or replacement. Used for follow-up actions with vendor and provides details of vendor's actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of customer.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Paper documents are maintained in steel storage cabinets.

Retention and disposal:

Records are retained in current files until close of fiscal year in which transaction is completed. At year end, files are stored and subsequently destroyed after 2 years.

System manager(s) and address:

Chief, General Accounting Branch, Comptroller, HQ AAFES, Dallas, TX 75222.

Notification procedure:

Information should be obtained from:
HQ AAFES
ATTN: Comptroller Division, General Accounting Branch
Dallas, TX 75222
Telephone: Area Code 214/330-2631

Record access procedures:

Requests from individuals should be addressed to: HQ AAFES, ATTN: CM-C, Dallas, TX 75222.

Written requests for information should contain full name of the customer, current address and telephone number, AAFES activity to which the merchandise was returned, and date of return.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANGER.

Record source categories:

Information is collected directly from the customer in writing or verbally. Additional data may be obtained from correspondence between AAFES and vendors.

Systems exempted from certain provisions of the act:

None.

AAFES1300.01

System name:

1300.01 Progression Analysis Report (PAR)

System location:

Headquarters, Army and Air Force Exchange Service, Dallas, Texas, Audit & Inspection Division.

Categories of individuals covered by the system:

Auditors/Inspectors within Audit & Inspection Division.

Categories of records in the system:

File contains name and information regarding individual's work performance and progression during each audit/inspection.

Authority for maintenance of the system:

10 USC 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To evaluate auditor's performance/progression during audits/ inspection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

PAR's are retained within Audit & Inspection Division files for a period of 1 year then destroyed.

Storage:

Filed within Administrative Section of the Audit & Inspection Division.

Retrievability:

By name.

Safeguards:

Files are maintained in locked cabinet. Retrieved upon request from Director, Deputy Director, Assistant Deputy Director and Group Chiefs, Audit & Inspection Division.

Retention and disposal:

Retained for 12 month period and destroyed.

System manager(s) and address:

Director, Audit & Inspection Division, Army and Air Force Exchange Service, Dallas, Texas.

Notification procedure:

Information may be obtained from:
Headquarters AAFES (AAFES-AI)
Dallas, Texas 75222
Telephone: Area Code 214/330-2251

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (AAFES-AI), Dallas, Texas 75222.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Visual evaluation of personnel on the job.

Systems exempted from certain provisions of the act:

None

AAFES1504.02

System name:

1504.02 Personal Property Shipment Files

System location:

Primary System - Personal Property Section, Distribution Division, Headquarters, Army and Air Force Exchange Service (HQ AAFES), Dallas, Texas;

Decentralized Segments - HQ AAFES-Pacific; HQ AAFES-Europe; Military Transportation Offices (European, Pacific, Alaskan, and United States Army Southern Commands); and Department of Defense (DOD) - Approved Household Goods and Mobile Home Carriers.

Categories of individuals covered by the system:

Any Army and Air Force Exchange Service employee who has made or is in the process of making a permanent change of station (PCS) officially connected with his position as an AAFES employee.

Categories of records in the system:

File contains documents relating to the receipt, crating, shipment, and storage of employees' household goods, privately-owned vehicles, and/or mobile homes pursuant to competent travel orders. Included are applications for shipment, travel orders, bills of lading, purchase orders, shipment orders, delivery orders, one-time manual rate tenders, insurance papers, accessorial service statements, inventories, receipts, loss and damage claims, payment and collection vouchers, and related documents.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal Property Section - to prepare and issue Government Bills of Lading (GBL) covering movement of employees' personal property, to audit carrier's handling and shipping charges, to verify employee shipping within authorized weight limits and between authorized locations.

DOD-Approved Household Goods and Mobile Home Carriers - to facilitate movement of employees' property and preparation of subsequent handling and shipping charges.

Employee - to maintain personal records and receipts pertaining to employee's shipping and storage data and entitlements.

Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Arranged in fiscal year groups alphabetically by employee name.

Safeguards:

Building employs security guards. Files are kept in filing cabinets in walled off section occupied by authorized Personal Property employees only. Auditing personnel have access to files for auditing of bills.

Retention and disposal:

Records are permanent. They are retained in active file for three fiscal years and subsequently retired to the servicing AAFES warehouse and/or servicing General Services Administration Records Holding Center.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD)
3911 Walton Walker Blvd.
Dallas, Texas 75222
Telephone: Area Code 214/330-2011

Record access procedures:

Requests from individuals should be addressed to Headquarters Army and Air Force Exchange Service (HQ AAFES), Director, Distribution Division, Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification such as driver's license, etc.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Owner of personal property shipped; DOD-approved carriers involved with given shipment; Military Finance and Accounting Offices; AAFES Personnel and AAFES Administrative Services Offices and Military Transportation Offices of the Europe, Pacific, Alaska, and United States Army Southern commands.

Systems exempted from certain provisions of the act:

None

AAFES1504.03

System name:

1504.03 Personal Property Storage Files

System location:

Primary System - Personal Property Section, Distribution Division, Headquarters, Army and Air Force Exchange Service (HQ AAFES), Dallas, Texas;

Decentralized Segments - HQ AAFES-Europe, Military Transportation Offices (European, Pacific, Alaskan, and United States Army Southern Commands), and Department of Defense (DOD) approved Household Goods Storage Contractors.

Categories of individuals covered by the system:

Any Army and Air Force Exchange Service employee who has made or is in the process of making a permanent change of station (PCS) officially connected with his position as an AAFES employee.

Categories of records in the system:

File contains documents relating to the receipt, crating, drayage, and storage of employees' household goods pursuant to competent travel orders. Included are applications for storage, travel orders, purchase orders, service orders, warehouse receipts, insurance papers, inventories, delivery orders, loss and damage claims, payment and collection vouchers and related documents.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal Property Section - to prepare and issue Service Orders covering storage of employees' personal property, to audit contractors' invoices and storage charges, and to verify that employee is not exceeding storage entitlements.

DOD Approved Household Goods Storage Contractors - to facilitate the procurement of required storage space and provide related services as needed.

DOD Regional Household Goods Storage Management Offices - to facilitate the maintenance and monitoring of all storage account records under their jurisdiction.

Employee - to maintain personal records and receipts pertaining to employee's storage entitlements and actual use.

Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Arranged alphabetically by employee name, color coded to indicate year in which storage began.

Safeguards:

Building employs security guards. Files are kept in filing cabinets in walled off section occupied by authorized Personal Property employees only. Auditing personnel have access for auditing of bills.

Retention and disposal:

Records are retained in the Personal Property Section, Distribution Division, HQ AAFES, until the close of fiscal year in which final payment is made and subsequently retired to servicing AAFES warehouse and/or servicing General Services Administration Records Holding Center and destroyed after 6 years.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD)
3911 Walton Walker Blvd.
Dallas, Texas 75222
Telephone: Area Code 214/330-2011

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Army and Air Force Exchange Service (HQ AAFES), Director, Distribution Division, National Traffic Branch (DD-N), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification such as driver's license, etc.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

From individuals to whom records pertain, DOD-Approved Storage Contractors, Finance and Accounting Office-HQ AAFES and Comptroller Office-HQ AAFES.

Systems exempted from certain provisions of the act:

None

AAFES1504.04

System name:

1504.04 Carrier/Contractor Management Files

System location:

Primary System - Personal Property Section, National Traffic Branch,Headquarters, Army and Air Force Exchange Service (HQ AAFES), Dallas, Texas.

Decentralized Segments - HQ AAFES-Pacific, HQ AAFES-Europe, Military Transportation Offices (European, Pacific, Alaskan, and the United States Army Southern Commands) and Department of Defense (DOD) approved household goods and mobile home carriers.

Categories of individuals covered by the system:

Any Army and Air Force Exchange Service employee who has made a permanent change of station (PCS) officially connected with his position as an AAFES employee and subsequently has experienced a problem resulting in claim action or other related action against the carrier.

Categories of records in the system:

File contains reports, complaints, commendations, inspection reports, performance records, quality control information, claims, and related documents pertaining to carrier/contractor qualification, selections, and performance.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal Property Section - to review carrier performance in shipment and storage of personal property and to issue letters of warning and suspensions when necessary.

DOD-Approved Household Goods and Mobile Home Carriers - to facilitate self evaluation of performance and to be aware when corrective action is required by AAFES.

Release of information contained in the files is made to civil or criminal law enforcement agencies for law enforcement purposes and to officials and employees of the Department of Defense who have a need for the information in the performance of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Arranged in fiscal year groups subjectively and/or alphabetically by carrier/contractor.

Safeguards:

Building employs security guards. Files are kept in filing cabinets in walled off section occupied by authorized Personal Property employees only. Auditing personnel have access for auditing of bills.

Retention and disposal:

Files are retained in the Personal Property Section, Distribution Division, HQ AAFES, until the close of the fiscal year in which action has been completed and subsequently retired to the servicing AAFES warehouse and/or servicing General Services Administration Records Holding Center. Records are destroyed after 6 years.

System manager(s) and address:

Director, Administrative Services Division, HQ AAFES.

Notification procedure:

Information may be obtained from:
HQ AAFES (AD)
3911 Walton Walker Blvd.
Dallas, Texas 75222
Telephone: Area Code 214/330-2011

Record access procedures:

Requests from individuals should be addressed to Headquarters Army and Air Force Exchange Service (HQ AAFES), Director, Distribution Division, National Traffic Branch (DD-N), Dallas, Texas 75222.

Written requests for information should contain the full name of the individual, social security number, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification such as driver's license, etc.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

From employee, Personal Property Section - HQ AAFES, DOD-approved carriers, HQ AAFES-Europe, and Military Transportation Offices (Europe, Pacific, Alaska, and United States Army Southern commands).

Systems exempted from certain provisions of the act:

None

AAFES1609.03

System name:

1609.03 AAFES Catalog System (ACS)

System location:

Catalog Sales Center (MR-S), Merchandising Division, Headquarters (HQ) Army and Air Force Exchange Service (AAFES)
Command and Public Relations Division, AAFES-Europe;
Command and Public Relations Division, AAFES-Pacific.

Categories of individuals covered by the system:

All exchange customers who place a catalog sales order.

Categories of records in the system:

Order Master Record containing the following: customer name, grade, social security number, address; recipient name and address; description and prices of items ordered; method of shipment; amount of order; amount of any refund; returned check identifier; claim data for returns, loss non-receipt, damage of shipments; accounts receivable or paid; replacement mailing; communication dates; and roster of customers and recipients.

Authority for maintenance of the system:

Title 10, United States Code, Sections 3012 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To locate order information to reply to customer inquiries, complaints; to create the necessary labels to effect shipment to the proper location; to refund customer remittances or to collect monies due; to provide claim and postal authorities with confirmation/certification of shipment for customer claims for damage or lost shipments; and to release information contained in the System of Records to civil or criminal law enforcement agencies for law enforcement purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, computer printouts, microfiche, microfilm

Retrievability:

Primarily by control number assigned to order when received. Customer order information is also retrievable by social security number (SSN) or insurance number assigned to shipment when the control number assigned to the order is not located. Microfiche and microfilm records are retrievable by order control number.

Safeguards:

Active order information can only be obtained by submission of an approved file maintenance request to appropriate computer operation personnel. Computer operations rooms are locked and all visitors screened and visitor registers maintained. Microfiche and microfilm records are stored in a locked room.

Retention and disposal:

Records are maintained on computer files for a period of 180 days following completion of shipment. Microfiche and microfilm records are retained for two years for postal claim purposes. These are destroyed after six years.

System manager(s) and address:

Chief, Catalog Sales Center, HQ AAFES, Dallas, Texas

Notification procedure:

Requests for information should be submitted to the System Manager.

Record access procedures:

Same as Notification procedures.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

The record contains all specifics pertaining to the order for catalog merchandise. The complete name, title, SSN and address of the customer, the complete name and address of the recipient.

Systems exempted from certain provisions of the act:

None

AFAI-1

System name:

Federal Acquisition Personnel Information System.

System location:

Federal Acquisition Institute (FAI), 5001 Eisenhower Avenue, Alexandria, VA 22333.

Categories of individuals covered by the system:

Personnel of Federal agencies (civilian and military) involved in Federal acquisition and logistics management. Such individuals are generally employed in the Business and Industry (GS-1100); Equipment, Facilities and Services (GS-1600); Quality Assurance, Inspection and Grading (GS-1900); Supply (GS-2000); and Transportation (GS-2100) General Schedule occupational fields, or equivalent military fields.

Categories of records in the system:

Records contain biographical data on individuals such as name, social security number (SSN), birth date, past and present pay levels, position title, occupational series, training, and past personnel actions. Data also include employee's work such as description of tasks, types and number of contracts assigned.

Authority for maintenance of the system:

Title 41 U.S.C., Sections 404, 406, and 411, which established the Office of Federal Procurement Policy (OFPP), OMB, and requires executive agencies to furnish such Office access to all information and records determined to be necessary for the performance of its missions.

OFPP Policy Memorandum of July 14, 1976, which established the Federal Procurement Institute (now the Federal Acquisition Institute) and delegated responsibility to the Institute for the Government-wide planning, development, implementation and evaluation of programs in procurement research, education and training, and career development.

Memorandum of Understanding for the Sponsorship and Operation of the Federal Procurement Institute (May 11, 1976), which is an agreement between its signatories (at present: 24 Federal departments and agencies) for the interagency sponsorship and operation of the FAI and further provides that the FAI's policies and programs will be under the direction and guidance of a Policy Board comprised of representatives from the FAI's member departments and agencies.

Title 5 U.S.C., Sections 4103 and 4105, which authorize agencies to establish interagency training facilities such as the FAI, and to jointly operate training programs for Government personnel.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary purpose of this system of records is to enable the FAI to prepare statistical reports on characteristics of the acquisition and logistics occupations and to periodically contact individual employees for personnel research projects that extend over a period of time (longitudinal studies). The FAI obtains data from employees and the management information systems of its member agencies, applying such data in the development of training, career development, education and research reports and programs.

Automated data processing services are provided FAI by the Bureau of Personnel Management Information Systems, U. S. Civil Service Commission; Defense Manpower Data Center (Alexandria, VA); Air Force Human Resources Laboratory (Lackland Air Force Base, TX); and the US Army Military Personnel Center (Alexandria, VA).

Records at the FAI are used to prepare reports on the acquisition and logistics workforce, addressing: (1) the distribution of acquisition and logistics tasks among Federal occupations, agencies and pay levels, (b) employee perceptions of the relative learning difficulty of each acquisition and logistics task, and (c) the frequency of promotions in acquisition and logistics occupations as compared to other Federal professional and administrative occupations. These reports consist of summary descriptive statistics only. No individually identifiable information on employees is disclosed in the reports. Copies of the reports are therefore made available to Federal agencies, educational institutions, and any other individual who requests general statistical information on acquisition and logistics occupations.

The FAI may transmit lists of names, SSN's, birth dates, organizational mailing addresses and phone numbers of individual employees to the Federal agencies listed below. Purposes served thereby are to identify specific individuals who should be included in agency reports on members of the acquisition and logistics workforce and/or to locate specific individuals for personnel research. No individually identifiable data will be disclosed that would permit an individual's employing agency to make a decision about the individual.

Department of Energy
National Aeronautics and Space Administration
General Services Administration
Department of Health, Education and Welfare
Department of Justice
Department of Interior
Environmental Protection Agency
State Department
Veterans Administration
Department of Transportation
Department of Treasury
Department of Agriculture
Department of Housing and Urban Development
Department of Commerce
Small Business Administration
United States Civil Service Commission
Department of Defense
Department of Labor
National Science Foundation
Office of Management and Budget

The above agencies are signatories to the Memorandum of Understanding for the Sponsorship and Operation of the FAI. No individually identifiable information is furnished outside the agencies enumerated above.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

At FAI: paper records and computer printouts.

At U. S. Civil Service Commission; Defense Manpower Data Center; Air Force Human Resources Laboratory; and US Army Military Personnel Center: magnetic tapes and discs, and computer printouts.

The FAI may, on occasion, employ contractors to print questionnaires, transfer questionnaire responses to magnetic tapes and discs, and analyze responses. No such contractor shall be allowed to retain any data on individual employees for longer than one year, and any such contractor shall be obligated to observe the policies and practices of this notice and in Army Regulation 340-21 for storing, retrieving, accessing, retaining and disposing of records in this system.

Retrievability:

By name, SSN, and date of birth.

Safeguards:

Manual records are stored in buildings which employ security guards; records are accessible only to authorized personnel.

Automated records are under the control of a cardkey access system which requires positive identification and authorization, and are located in a designated controlled area to which access is limited to selected personnel only. Output products bear the annotation: 'This document contains Privacy Act information and will not be released unless request meets the requirements of AR 340-21'.

Retention and disposal:

Records are retained indefinitely by FAI for longitudinal studies of changes in the acquisition and logistics workforce. Re-examination of the same population will occur at four year intervals (approximate) to update records on work assigned employees. Biographical data are updated annually through the acquisition of data from the Central Personnel Data File of the U. S. Civil Service Commission and agency personnel management information systems.

System manager(s) and address:

Director, FAI, 5001 Eisenhower Avenue, Alexandria, VA 22333.

Notification procedure:

Information may be obtained for the System Manager.

Record access procedures:

Requests from individuals should be addressed to the System Manager.

Written requests should contain the individual's full name, SSN, birth date, and current address.

Contesting record procedures:

The FAI is guided by the Army's rules for access to records, contesting contents and appealing initial determinations. These are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

The Civil Service Commission's Central Personnel Data File is the primary source of biographical data on members in this system of records. The primary source of data on work performed by an employee is the employee to whom the record pertains. This information is collected through questionnaires which are re-issued to employees on a four year cycle to update their records. Additional information may be obtained from management information systems of the individual's employing agency, from professional societies (which would report only the names and other identifiers of individual Federal employees they have certified as professional acquisition or logistics specialists), and from educational institutions (which would report only the names and other identifiers of individual Federal employees who have attended educational programs in the fields of acquisition and logistics management) on an annual basis.

Systems exempted from certain provisions of the act:

None.

AFAI-2

System name:

Individual Credentialing Services Program

System location:

Federal Acquisition Institute (FAI), 5001 Eisenhower Avenue, Alexandria, VA 22333. A segment of the records may reside temporarily at the American Council on Education (ACE) or the University of the State of New York, which serve a contractual role for evaluation of individuals' questionnaires, transcripts, training, and work experience and determination of academic credit.

Categories of individuals covered by the system:

Personnel of Federal agencies involved in government procurement/ acquisition and Federal assistance functions.

Categories of records in the system:

Questionnaires completed by Federal employees who provide name, social security account number (SSAN), date of birth, home address and telephone number, military and civilian service data, citizenship, work experience, educational attainment level, and other similar relevant biographical data, together with appropriate support documents that may be required; academic transcripts furnished by colleges/universities; results of program manager/participant consultation; determinations/recommendations of the accrediting organization.

Authority for maintenance of the system:

Pub. L. 93-400, August 30, 1974 (Title 41 U.S.C. 404, 405, 406, and 411 which established the Office of Federal Procurement Policy (OFPP) within the Office of Management and Budget (OMB) and authorizes the Administrator for Federal Procurement Policy to recommend and promote programs for recruitment, training, career development, and performance evaluation of procurement personnel. These functions were delegated to the Federal Procurement Institute by the Administrator by 'Memorandum to Heads of Executive Departments and Agencies', dated July 14, 1976. (The name of the Institute was changed to the Federal Acquisition Institute on 1 March 1978.)

Title 5 U.S.C. 4104 and 4105 which authorizes the establishment of interagency training centers, such as the FAI, and the joint operation of a training program applicable to Government personnel.

Pub. L. 93-400, August 30, 1974 which sets forth OFPP responsibility for improving the quality, efficiency, economy, and performance of Government procurement organizations and personnel and the 'Memorandum of Understanding' issued by the Administrator for Federal Procurement Policy on May 11, 1976 and signed by 24 member agencies, for the organization and operation of the FAI to assist in these responsibilities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to enable FAI to provide academic and/or other training accreditation services to Federal employees of Government agencies involved in procurement/acquisition and Federal assistance functions. This service will be provided by the organizations mentioned under 'System Location', and will constitute an authenticated evaluation of experience, education, and training and a determination of allowable credit. Information may be disclosed to an individual's employing agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Hard copy records.

Retrievability:

By name.

Safeguards:

Records are stored in cabinets accessible only to authorized personnel, within buildings secured by guards.

Retention and disposal:

Retained by FAI indefinitely; disposition will be negotiated with GSA National Archives and Records Service. Records at supporting accreditation organizations are retained only for time necessary to review and provide credentialing service, after which they are returned to FAI.

System manager(s) and address:

Director, FAI, 5001 Eisenhower Avenue, Alexandria, VA 22333.

Notification procedure:

Information may be obtained from the System Manager.

Record access procedures:

Requests from individuals should be addressed to the System Manager. Written inquiries should contain requester's full name, SSAN, date of birth, and current address. For personal visits, the individual must provide sufficient identification such as valid driver's license, and information that can be verified with his/her records.

Contesting record procedures:

The FAI is guided by the Army's rules for access to records and for contesting contents and appealing initial determinations. These are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

Primary information is furnished by the individual to whom the record pertains. With consent of the individual, additional information is obtained from college/university registrars.

Systems exempted from certain provisions of the act:

None.

A0007.02aDAPC

System name:

007.02 Information Personnel Files

System location:

Segments are maintained in each company, battery, troop, detachment, and element of the active Army, US Army Reserve, and US National Guard which performs unit level administration for military personnel.

Categories of individuals covered by the system:

Military personnel, and in some instances dependents of military personnel, who are assigned or attached to the respective unit.

Categories of records in the system:

Records include papers/documents relating to the individual's assignment/attachment including promotion, reduction, trans- fer, reassignment, special duty, correspondence relating to the individual concerning indebtedness, unit actions, dependents, and similar matters which are within the purview of the unit commander.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide commanders a means of communication/correspon- dence and documentation of actions relating to day-to-day actions pertaining to the assigned/attached service member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards: Records are kept in file containers, locked desks, cabinets, or rooms accessible only to authorized personnel.

Retention and disposal:

Individual records are retained for 2 years and destroyed in the office of origin.

System manager(s) and address:

Commander of the unit maintaining the file.

Notification procedure:

Information may be obtained from the commander of the unit to which the individual is assigned or attached.

Record access procedures:

Requests should be addressed to the appropriate commander.

Written requests should include the full name, social security number, and grade.

For personal visits, individual must provide military identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from the individual, from personnel files, or generated by subject matter in correspondence relating to the individual.

Systems exempted from certain provisions of the act:

None

A0101.20aAMC

System name:

101.20 Classified Matter Inventory Reporting Files

System location:

Document Control Center, Administrative Services Branch, Technical and Administrative Support Office, Harry Diamond Laboratories (HDL), Adelphi, MD 20783

Categories of individuals covered by the system:

V 44 DE 17 7 9 UMI

Any HDL employee

Categories of records in the system:

Listing of controlled classified documents for which the employee has provided a receipt to the Document Control Center

Authority for maintenance of the system:

Executive Order 11652

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Document Control Center is notified by employing organization that an employee will leave, the classified document file in the computer is searched by employee name and social security number (SSN). All documents listed for either the name or the social security number are listed and furnished to the Document Control Center. Final clearance is withheld until all documents are accounted for and the computer file cleared of any charges to that name or number.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in computer data base.

Retrievability:

Alphabetically by full name and numerically by social security number (SSN).

Safeguards:

Building is a security restricted area guarded full time. Computer data available only to authorized, trained personnel.

Retention and disposal:

Until data is cleared from data base as a result of satisfactory disposal of all documents.

System manager(s) and address:

Chief, Administrative Services Branch, Technical & Administrative Support Office, Harry Diamond Laboratories, 2800 Powder Mill Rd., Adelphi, MD 20783

Notification procedure:

Inquiries may be addressed to:
Commander, Harry Diamond Laboratories
2800 Powder Mill Road
Adelphi, MD 20783

Record access procedures:

Official mailing address of SYSMANAGER is listed above.

Written requests should contain full name, social security number, dates of employment at HDL, and current address.

For personal visits, employees should show their picture badge. Former employees should present acceptable identification such as a driver's license and be identified by a badged escort.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

From receipts for classified documents signed by the employee and filed in the document control center.

Systems exempted from certain provisions of the act:

None

A0102.02aDARCOM

System name:

102.02 Office Personnel Register Files

System location:

Visitor registration forms are maintained at the U. S. Army Material Development and Readiness Command (DARCOM), and all subordinate elements.

Categories of individuals covered by the system:

Any visitor who represents a person, firm, corporation, academic institution, or other entity involved in business transactions with DARCOM.

Categories of records in the system:

Records comprise business registration forms that give an individual's name, name and address of company represented, purpose of visit and individual's affiliation with the Department of Defense.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information obtained is used to determine the visitor's purpose and status to prevent a conflict of interest.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in locked file cabinets.

Retrievability:

By name of visitor.

Safeguards:

Paper records are maintained in the Office of the General Counsel (GC), with access limited to Division and Branch Chiefs having primary interest.

Retention and disposal:

The information is retained for 1 year, after which time it is destroyed.

System manager(s) and address:

General Counsel
US Army Material Development and Readiness Command
5001 Eisenhower Avenue
Alexandria, VA 22333

Notification procedure:

Information may be obtained from the System Manager.

Record access procedures:

Information may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for access to records, for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Information on the Visitor Registration Form is obtained from the individual concerned.

Systems exempted from certain provisions of the act:

None

A0102.03aDAAG

System name:

102.03 Office Personnel Locator/Organizational Rosters

System location:

Segments are maintained by offices at Headquarters, Department of the Army, Staff and field operating agencies, commands, installations and activities. Official mailing addresses are in the organizational directory in the appendix to these system notices.

Categories of individuals covered by the system:

Military personnel and civilian employees and in some instances their dependents.

Categories of records in the system:

Records include cards, sheets of individual paper files, lists and compilations of individual's name, social security number, unit of assignment and/or home address, unit and/or home telephone number, and related information. Rosters of office personnel, military alert rosters, and office directories are included in this system.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide commanders and supervisors with locator information and emergency notification data pertaining to present and former military members or civilian employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files and loose leaf and bound notebooks. Rosters may also be stored on mag- netic tape, cards, or disks.

Retrievability:

Filed alphabetically by name. Rosters may be filed by unit or organization.

Safeguards:

Records are filed in secure file containers, locked desks, or rooms accessible only to authorized personnel.

Retention and disposal:

Individual records are destroyed upon separation or transfer of employee.

Previous rosters are destroyed when listing is updated.

System manager(s) and address:

Commander/supervisor of organization maintaining locator information, roster, or office directory.

Notification procedure:

Information may be obtained from commander/supervisor of organization to which the individual is assigned or at which he/she is employed. Individual must provide full name and social security number.

Record access procedures:

Requests should be addressed to appropriate commander or supervisor. Official mailing addresses are in the appendix to Department of the Army system notices.

Written requests should include full name of individual and social security number.

For personal visits, individual must provide acceptable identification; e.g., driver's license, military or civilian identification card.

No identification is required if the individual has previously given consent for release to the general public.

Contesting record procedures:

The Department of the Army rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

Information is obtained directly from the individual concerned or from official personnel files.

Systems exempted from certain provisions of the act:

None

A0102.04aDAPE

System name:

102.04 Supervisor/Manager Employee Records Files

System location:

Offices of supervisors/managers of the functional elements of an Army activity, installation or agency.

Categories of individuals covered by the system:

Any civilian (both appropriated non-appropriated fund) who is employed within the specific organizational element.

Categories of records in the system:

Files contain copies of documents pertaining to the administration of individual civilian employees which are duplicated in, or are generated in support of actions recorded in, the Official Personnel Folder, or related personnel files maintained in the civilian personnel office. The records in this file contain information about an individual relating to birth date; social security number; veteran's preference; tenure; handicap; past and present salaries, grades, and position titles; letters of commendation, reprimand, charges, and decision on charges; personnel actions, including but not limited to, appointment, reassignment, demotion, detail, promotion, transfer, and separation; training; performance ratings, data documenting the reasons for personnel actions or decisions made about an individual; and awards.

Authority for maintenance of the system: Title 5, U.S.C. Section 301, 1302, 2951, 4118, 4308, 4506, and EO 1056, September 13, 1954.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in these records is used for reference or to support supervisory/managerial actions required in the conduct of official civilian personnel management business; by the US Civil Service Commission in the conduct of its responsibilities; To Justice Department, Department of Labor, or other Federal agencies or judiciary bodies in the conduct of official business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in folders, Kardex files.

Retrievability: Alphabetically, by surname.

Safeguards:

Filed in locked files. Access limited to management/supervisory official supervising or managing the assigned employees and the clerical personnel maintaining the files.

Retention and disposal:

When an employee leaves the activity through transfer or other separation, the Supervisor/Manager Employee Records File will immediately be forwarded to the civilian personnel office maintaining the Official Personnel Folder. There it will be screened to insure that it contains no documents that should be permanently filed in the Official Personnel Folder other than exact duplicates of papers already so filed. The Supervisor/ Manager Employee Folder and its contents will then be destroyed.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, Department of the Army, The Pentagon, Washington, DC, 20310

Notification procedure:

Information may be obtained from the individual's supervisor/manager.

Record access procedures:

Requests, verbal or written, should be addressed to the individual's supervisor or manager.

Contesting record procedures:

The Army's rules for contesting contents of the records and appealing initial determinations may be obtained from HQDA (DAPE-HRE), Washington, DC 20310.

Record source categories:

From the supervisor/manager by documenting facts or statements of judgments; copies of records maintained in the civilian personnel office or information obtained from same records.

Systems exempted from certain provisions of the act:

None

A0102.04bNGB

System name:

102.04 Supervisor's Record of Technician Employment (NGB Form 904-1)

System location:

Appropriate supervisory personnel for all National Guard Technicians of each State, Puerto Rico, Virgin Islands and District of Columbia.

Categories of individuals covered by the system:

All personnel within the National Guard Technician Program.

Categories of records in the system:

Record includes an NGB Form 904-1 for each technician assigned to the supervisor together with copies of documents pertaining to the administration of technician personnel. This includes but is not limited to performance rating notices, debt letters, letters of warning, reprimand and similar disciplinary papers, job descriptions and documents necessary for the furtherance of equal opportunity.

Authority for maintenance of the system:

Title 5 of U.S.C., Section 301 and Title 32 U.S.C., Section 709.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides supervisor with up-to-date record of technician employment data, locator files, and information for requesting personnel actions. Routine uses include recording changes in technician employment data, discussions relevant to technician employment, and information for use in future personnel actions. May be reviewed by Management Officials and Civil Service Commission personnel. May be transferred to any component of the Department of Defense. May be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetical by technician's last name.

Safeguards:

Records are maintained in filing cabinet or supervisor's desk. Access limited to supervisor, management officials, the technician concerned, and individuals to whom the technician has given written permission.

Retention and disposal:

Maintain throughout technician employment within a particular State. Record is destroyed 60 days after movement to a technician position in another State, separation, or retirement. Maintained in Technician Personnel Office while technician is on extended active military duty. Record may be kept longer than 60 days if needed as reference material. Destroyed by tearing into pieces, shredding, or burning.

System manager(s) and address:

V 44 DE 17 79 UMI

Chief, Office of Technician Personnel, National Guard Bureau (NGB-TN), Defense Post Office Unit, R-411, 5600 Columbia Pike Office Building, Falls Church, VA 22041.

Decentralized segments - Office of the State Adjutant General (Attention: Technician Personnel Office) of each State, Puerto Rico, Virgin Islands and District of Columbia.

Notification procedure:

If currently employed in the National Guard Technician Program, contact current supervisor. Other requests may be sent to the State Adjutant General (Attention: Technician Personnel Office) of appropriate State, Puerto Rico, the Virgin Islands or District of Columbia.

Individual must supply full name, dates of employment in technician program, military status while employed and SSN.

Requesters may visit the appropriate State Technician Personnel Office.

Verification not required for current employee. Other requesters must provide proof of identity by driver's license, date and place of birth.

Record access procedures:

Contact current supervisor or sysmanager of decentralized segments.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Information from Technician Personnel Office, supervisor, technician concerned, financial institutions.

Systems exempted from certain provisions of the act:

None

A0102.08aDAAG

System name:

102.08 Army Community Service (ACS) Volunteer Record

System location:

Army Community Service Centers, Army-wide; Headquarters of installations. Official mailing addresses are in the appendix, to this Federal Register.

Categories of individuals covered by the system:

Active duty and retired military personnel and their dependents and civilians with no formal affiliation with the military community who serve as ACS volunteers.

Categories of records in the system:

File contains special skills, experience or education of volunteer, volunteer training, awards and special recognition received, and record of hours volunteered.

Authority for maintenance of the system:

Title 10 U.S.C. Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ACS Centers - To record essential background information on volunteers; to assist in planning and assigning volunteer duties; to keep records of hours volunterred and awards received; to coordinate volunteer services in ACS Program.

Volunteers - To maintain personal record of time and services volunteered to ACS Program.

Installation Commanders - To determine eligibility of volunteers for ACS awards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

5x8 cards in card file, and individual possession by volunteers.

Retrievability:

Filed alphabetically by last name of individual volunteer.

Safeguards:

Cards maintained in ACS files and accessible to ACS officer, volunteer supervisor, and individual volunteer upon transfer from one ACS center to another.

Retention and disposal:

Cards are reviewed at end of each year; documents which have been superseded or are no longer applicable are destroyed.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, D.C.

Notification procedure:

Information may be obtained from ACS officers at installation ACS centers.

Record access procedures:

Requests for assistance should be addressed to ACS Officers at installations having ACS centers. Official mailing addresses are in the appendix.

For personal visits individual must provide full name and social security number and suitable proof of identity (e.g., drivers license, employee identification card).

Contesting record procedures:

The Department's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

ACS Centers

Systems exempted from certain provisions of the act:

None

A0102.08bMTMC

System name:

102.08 Casualty Control Card

System location:

Commander, Military Traffic Management Command, Eastern Area, Bayonne, NJ 07002

Categories of individuals covered by the system:

All individuals working for Commander, Military Traffic Management Command, Eastern Area, Bayonne, NJ 07002

Categories of records in the system:

File contains blood type, religious preference, social security number of individual and name and address of individual to be notified in event of emergency.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For casualty reporting only.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards are stored in each office.

Retrievability:

Cards are filed in each office of Commander, Military Traffic Management Command, Eastern Area, Bayonne, NJ 07002 by individual's name.

Safeguards:

Installation is secure-patrolled by security guards.

Retention and disposal:

Destroy upon transfer or separation of the individual.

System manager(s) and address:

Commander, Military Traffic Management Command, Washington, D.C. 20315

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to Commander, Military Traffic Management Command, Washington, DC 20315

Contesting record procedures:

The Army's rule for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from the individual.

Systems exempted from certain provisions of the act:

None

A0124.06aUSAREC

System name:

124.06 Recruiter Assignment Report

System location:

Military Personnel Division, Directorate of Recruiting Force Management, US Army Recruiting Command, USARCRFM-MP-A, Fort Sheridan, IL 60037

Directorate of Management Information Systems/ADP, US Army Recruiting Command, USARCMIS, Fort Sheridan, IL 60037

Categories of individuals covered by the system:

Individuals who have been relieved from or not accepted for recruiting duty.

Categories of records in the system:

System contains name, social security number (SSN), and reason for nonselection or relief from recruiting duty, and unit of assignment.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949 (64 Stat. 578), as amended by act of 22 Oct 1968 (82 Stat. 1238; 44 U.S.C. 3101-03).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To screen applications for recruiting duty to insure that previously rejected or relieved individuals are not accepted for recruiting duty unless previous disqualification has been corrected.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printout in file cabinet.

Retrievability:

Listed alphabetically by last name.

Safeguards:

Building secured. Records are maintained in area accessible only to properly screened and trained personnel.

Retention and disposal:

Listing updated monthly and previous listing destroyed. Information contained in report covers a 6-year period.

System manager(s) and address:

Director, Recruiting Force Management, US Army Recruiting Command

Notification procedure:

Information may be obtained from:
Director, Recruiting Force Management, USARCRFM-MP-A
US Army Recruiting Command
Ft Sheridan, IL 60037
Telephone: 312/926-3910

Request for information should contain full name, SSN, and military status.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, US Army Recruiting Command, ATTN: USARCRFM-MP-A, Ft Sheridan, IL 60037.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, ID card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual applications and relief actions.

Systems exempted from certain provisions of the act:

None

A0201.08aDACS

System name:

201.08 Central Files, Office of the Chief of Staff (DACS-DAS)

System location:

Office of the Chief of Staff, Department of the Army, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Any military or civilian employee or correspondent of the Army who may have been the subject of, or initiated correspondence referred to, the Office of the Chief of Staff, Army.

Categories of records in the system:

Original or copies of papers relating to matters concerning individuals which have been directed to the Office of the Chief of Staff, Army (e.g., inquiries, complaints, appeals, investigations, personnel actions).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Correspondence control and reference files used by action officers in Headquarters, Department of the Army (HQDA), in processing paperwork and documenting actions taken in Office of the Chief of Staff, Army (OCSA).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system: Files are coded, indexed, and filed in alpha-numeric files arrangement under The Army Functional Files System.

Storage:

Paper records in file folders are stored in mechanized files shelves.

Retrievability:

Location of file folder is determined by searching files record cards, which are filed by numerical code, and alphabetically arranged by name, with further chronological breakdown of each entry. Each entry is cross referenced to all previous related entries.

Safeguards:

Files are released only to OCSA staff action officers cleared and authorized access. Pentagon employs security guards. Files area is protected by electronic surveillance system with combination lock doors.

Retention and disposal:

Records are permanent. They are retained in active file until end of calendar year, held two additional years in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

The Chief of Staff, Headquarters, Department of the Army, The Pentagon, Washington, DC.

Notification procedure:

Information may be obtained from:
HQDA (DACS-DSA)
Rm 3D-671
Pentagon
Washington, DC
Telephone: Area Code 202/695-3503 or 695-2765.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army, ATTN: DACS-DSA, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and nature of information desired.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Internal action correspondence processed by Army Staff.

Individuals addressing correspondence to Department of Defense or United States (US) Army regarding Army matters.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

A0201.08bDAAG

System name:

201.08 Privacy Act Request File

System location:

Primary System: Headquarters, Department of the Army, The Adjutant General Center. Records Management Division (DAAG-AMR), Washington, DC 20314.

Decentralized Segments-Headquarters, Department of the Army, staff agencies, field operating agencies, commands, installations and activities. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

All individuals who request information on records concerning them which are in the custody of Department of the Army (DA), or individuals who request access or amendment to such records under the provisions of Title 5 United States Code, section 552a (The Privacy Act of 1974).

Categories of records in the system:

Files contain copies of correspondence between the individual and Army custodian officials; written summaries of verbal conversations

with the individual; coordination documents between the Army and other Federal, state, and local government agencies when records which are the subject of an individual inquiry were originated by another agency; and copies of documents which are the subject of an individual inquiry.

Originals of amendment requests, refusals, and appeals accumulated by the custodian of the records concerned are included in the file containing those records.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used to process and coordinate individual requests for information access, and amendment of personal records; to process and record appeals by the individual against agency rulings; and to ensure timely response to requesters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by individual's name.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Classified documents are stored in locked containers approved for this purpose by the General Services Administration.

Retention and disposal:

Records are permanent. They are cut off at the end of the calendar year, held two years in inactive files, and subsequently retired to the Washington National Records Center, Washington, DC 20409.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington DC 20310.

Notification procedure:

Requests from individuals should be addressed to:
HQDA (DAAG-AMR)
Forrestal Building
1000 Independence Avenue, SW
Washington, DC 20314
Telephone: Area Code 202/Extension 693-0631

Record access procedures:

Written requests should be addressed to Headquarters, Department of the Army (DAAG-AMR), Forrestal Building, or to the Army office that processed the initial inquiry, access request, amendment request, or appeal.

Personal visits may be made to Room GA 175, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC.

For personal visits the individual should present acceptable identification (e.g., driver's license, employee identification card) and furnish some verbal information which could be verified from his case file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Records are obtained from the individual requester, DA organizations, other Department of Defense organizations, and agencies of Federal, state and local governments.

Systems exempted from certain provisions of the act:

The majority of records in this system are not exempt; however, copies of documents to which an individual has been denied access infer the provisions of 5 USC 552a, subsections j(2), k(1), k(2), k(3), k(4), k(5), k(6), or k(7), are exempt from diclosure.

A0201.08cOSA

System name:

201.08 Central Files, Office, Secretary of the Army (SAAA)

System location:

Office, Secretary of the Army (OSA), Administrative Support Group, Rm 3D-718, The Pentagon, Washington, DC.

Relevant segments of the system are maintained throughout Secretariat offices.

Categories of individuals covered by the system:

Any military or civilian employee or correspondent of the Army who may have been the subject of, or initiated, correspondence referred to the Office, Secretary of the Army.

Categories of records in the system:

Originals or copies of letters, reports, complaints, appeals, inquiries, investigations, personnel actions, requests for assistance and any other documents referring to any subject that requires action of, or that should be brought to the attention of the Office of the Secretary of the Army.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Correspondence control and reference files used by action officers in Headquarters, Department of the Army (HQDA), in processing paperwork and documenting actions taken in the Office, Secretary of the Army.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Files are coded, indexed, and filed in alpha-numeric files arrangement under The Army Functional File System.

Storage:

Paper records in file folders are stored in mechanized file shelves.

Retrievability:

Location of file folder is determined by searching files record index sheets, which are filed by numerical code, and alphabetically arranged by subject, with further chronological breakdown of each entry. Each entry is cross referenced to all previous related entries.

Safeguards:

Files are released only to OSA staff action officers cleared and authorized access. The Pentagon employs security guards. Files area is protected by electronic surveillance system with combination lock doors.

Retention and disposal:

Records are permanent. They are retained in active file until end of calendar year, held 2 additional years in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

The Administrative Assistant, Office, Secretary of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (SASG)
Room 3D-718
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-2092 or 695-3565

Record access procedures:

Requests from individuals should be addressed to: Office, Secretary of Army, SASG, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Internal action correspondence processed by the Army Secretariat. Individuals addressing correspondence to Department of Defense or the Secretary of the Army regarding Army matters.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (j) or (k) as applicable. For additional information, contact the System Manager.

A0202.08DAAG

System name:

202.08 Request for Information Files

System location:

Primary System: Records Management Division, Administrative Directorate, The Adjutant General Center (Department of Army Adjutant General, Records Management Division, Access and Release Branch).

Decentralized Segments: Office of the Secretary of the Army, initial denial authorities of the Department of the Army, and Department of the Army Staff agencies and commands.

Categories of individuals covered by the system:

Any person that requests documents under the Freedom of Information Act, mandatory review under Executive Order 11652, or under any other circumstances.

Categories of records in the system:

File contains individual's request for documents and related processing papers, correspondence between the office receiving requests, records custodians, Army staff offices and other government agencies, retained copies of classified documents, and other selective documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 552(b) Freedom of Information Act and Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records Management Division: to control requests from the public, to insure requests are answered within time limits; to process denials and individual appeals.

Office Secretary of the Army: to control and accomplish appeals of initial denials.

Initial Denial Authority of the Department of the Army: to process denials and release of requested documents.

Department of the Army staff agencies and commands: to process requests for release or recommend denials to initial denial authorities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of requester.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly trained.

Retention and disposal:

Records are permanent. They are retained in active file until end of calendar year in which case is completed, held 2 additional years in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

The Adjutant General, Headquarters Department of the Army, The Pentagon, Washington, DC.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-AMR-S)
Room GA 084
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-1847

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAAG-AMR-S) Room GA 084, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number and reference to original request.

Visits can be made to any office releasing documents. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing determinations may be obtained from HQDA (DAAG-AMR-S), Washington, DC 20314.

Record source categories:

Requesting letters or related forms from the individual requesting documents; correspondence originating from the document custodian; documents concerning appeals from General Counsel, Office, Secretary of the Army, Washington, DC 20310.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a(j) or (k) as applicable. For additional information, contact the SYSMANAGER.

A0221.01aOSA

System name:

221.01a Committee Management Files

System location:

Primary System: DA Committee Management Office, Studies & Analyses Staff, Office of the Administrative Assistant to the Secretary of the Army, Department of the Army (DA), Pentagon, Washington, DC 20310 and each DA Agency, Activity, Major Army Command, and Command to which a DA Advisory Committee reports and individual DA Advisory Committee offices when the committee maintains offices separate from those of the Agency, Command, or Activity to which it reports.

Categories of individuals covered by the system:

Army Member or Consultant, current and past, of any duly chartered DA Advisory Committee.

Categories of records in the system:

Documents reflecting name, date established or approved for continuation, function, dates of meetings held, and similar data on each advisory committee. Included are feeder reports, Army-wide consolidations or summaries, and papers directly related to them and documents in connection with appointment to and retirement from individual advisory committees by the Secretary of the Army, Confidential Statements of Employment and Financial Interests, Travel and Pay records, correspondence reflecting participation in the various ad hoc group efforts of Committees, Conflict of Interest Statements, and biographical data.

Authority for maintenance of the system:

5 USC, Appendix 1 (Federal Advisory Committee Act - PL 92-463) E011769, OMB Circular A63, DOD Directives 1442.4, 5500.7, and 5105.18.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To obtain and maintain personal and professional information on individuals who are not full-time employees or officers of the Federal Government who are nominated or being considered for membership on a Federal Advisory Committee. This information is provided the Office, Secretary of Defense for review to determine eligibility and propriety for membership on a particular advisory committee. Under the provisions of P.L. 92-463, the Congress and the public are to be kept informed with respect to the number, purpose, membership, activities, and cost of advisory committees. Therefore, individual membership and all background information relating thereto is available as a part of committee records for public review and is used to comply with advisory committee reporting requirements as stated in P.L. 92-463 and implementing directives. Other uses are to obtain clearance for access to classified information; to enter on payroll for reimbursement when actually employed; to preclude ad hoc group participation which could lead to individual conflict of interest; and to compile individual biographies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and looseleaf binders.

Retrievability:

Filed alphabetically by last name of individual Member and Consultant within individual Advisory Committee Files.

Safeguards:

Records are maintained in Army offices or areas normally accessible only to authorized personnel, and which are secured during nonduty hours.

Retention and disposal:

DA Committee Management Office: Permanent, they are retained in active file until member or consultant is retired from the Committee, at which time the records are placed in an inactive file for 2 years. They are then retired to the Federal Records Center. Agency and Command Committee Management Offices: Destroyed 1 year after disapproval or dissolution of the committee. Reviewing and Commenting Offices: Destroyed after 2 years or on discontinuance, whichever is first.

System manager(s) and address:

DA Committee Management Office, Office of the Administrative Assistant to the Secretary of the Army, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA SAAA-SS (DA Committee Management Officer)
Room 3E 749
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2604

Record access procedures:

V 44 DE 17 79 UMI

Requests from individuals should be addressed to: Headquarters, Department of the Army (SAAA), Washington, DC 20310; to the individual committee concerned or to the agency, activity, or command to whom the committee reports. For personal visits, individual should contact the DA Committee Management Officer, Room 3E 749, The Pentagon at Area Code 202/697-2604.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Applications and related forms from the individual; notification of personnel (security) clearances from The Army Staff Personnel Security Office; correspondence originating between individual and the DA Advisory Committee concerned or the Agency, Activity or Command to whom it reports; Department of the Army Staff agencies and commands, and other Federal agencies.

Systems exempted from certain provisions of the act:

None

A0224.04DAIG

System name:

224.04 Inspector General Investigative Files

System location:

Primary System, Office of The Inspector General and Auditor General, Department of the Army.

Decentralized Segments: Washington National Records Center, Suitland, Maryland; US Army Inspector General offices and records holding areas located worldwide. Official mailing addresses are in the Department of Defense directory.

Categories of individuals covered by the system:

Any person who has been the subject of, witness for, or referenced in an Inspector General investigation.

Categories of records in the system:

File contains Inspector General reports of investigation which normally contain the authority for the investigation, the matters investigated, a narrative report, documentary evidence, and transcripts of verbatim testimony, or summaries thereof.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3039 and 3040.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of an Inspector General investigation is to determine the facts and circumstances surrounding the allegation(s)/problem(s). The information is assembled in report format and presented to the official directing the investigation.

The report of investigation may be used by any Department of Defense organization which has an official interest in the matters under investigation. The information contained therein may be used to take corrective action or as a basis for making decisions concerning: Department of Defense/Department of the Army policy; personnel actions; legal, fiscal, logistic, operational, public information, personnel management, and procurement matters.

The report of investigation may be forwarded to the Department of Justice if it contains evidence of possible criminality not within the jurisdiction of the Uniform Code of Military Justice. The Department of Justice will review the report to determine if further investigation by that agency is warranted.

The report of investigation may be used as a basis for summaries or briefing presented to Members of Congress. Members of Congress may use the material to respond to constituents, or to enlighten themselves on matters of concern and interest to them.

The report of investigation may be used as a basis for responses to agencies in the Executive Branch of the Federal government. This information may be used as a basis for responses to concerned citizens and other individuals/organizations querying the Executive Branch.

All or part of reports of investigation, subject to the rules of evidence, may be entered as evidence in court proceedings.

The report of investigation may be provided to appropriate individuals/organizations under the provisions of the Freedom of Information Act.

The report of investigation may be used as the basis for responding to press queries.

Reports of investigation may be analyzed to determine trends within the Army.

Nonsensitive portions of reports of investigation may be used as instructional vehicles in certain Army schools to inform students about lessons learned as a result of the investigation.

The report of investigation may be used as reference material in other reports of investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in hard cover binders and/or file folders.

Retrievability:

Reports are accessed and retrieved by reference to the case name which is normally derived from either the nature of the allegation, the geographic location of the investigation, or, in some instances, the name of the subject or the complainant. Case files are frequently, but not always, assigned a file code number which is cross-referenced with the case name. The file code number, if assigned, is used to administratively file the case, chronologically by calendar year.

Safeguards:

Primary System: Building employs security guards and access is limited to authorized personnel. Files are stored in locked containers and access given only to persons with an official need to know.

Safeguards for decentralized segments vary but should include, as a minimum, the storage of the reports in locked containers and access given only to persons with an official need to know.

Retention and disposal:

Reports of investigation conducted by The Inspector General and Auditor General, Department of the Army will be stored permanently. Reports prepared by Inspectors General of other Department of the Army agencies/organizations will be destroyed 10 years after completion. All other Inspectors General reports will be destroyed 3 years after completion.

System manager(s) and address:

The Inspector General and Auditor General, Department of the Army, the Pentagon, Washington, DC 20310

Notification procedure:

Requests should be addressed to the SYSMANAGER.

Because reports are seldom filed by surname or social security number (SSN), requests to determine if the system contains a record about requester should include full name, rank (if applicable), SSN (if applicable), address or Army Post Office (APO) if applicable, approximate date of investigation, subject of investigation, location of Inspector General office conducting the investigation, and the requester's role in the investigation.

Information may be obtained from:
HQDA (DAIG-IN)
Room 1D731
Pentagon
Washington, DC 20310
Telephone: Area Code 202/695/7385

Record access procedures:

Because reports are seldom filed by surname or SSN, requests from individuals should be addressed to: Headquarters, Department of the Army (DAIG-IN), Room 1D731, Pentagon, Washington, DC 20310.

Written requests for information should include full name, rank (if applicable), SSN (if applicable), address or APO (if applicable), approximate date of investigation, subject of investigation, location of Inspector General office conducting the investigation, and the requester's role in the investigation.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The nature of investigations varies greatly, and the source of the evidence required is not predictable. Previous sources have included: testimony of witnesses; correspondence/records maintained by organizations/ individuals party to the matters being investigated; military personnel files; military pay records; security dossiers; newspaper clippings, and other media material; photographs; reference material/ correspondence originating in Department of the Army staff agencies and commands, and other Federal, State, local, and foreign agencies; research notes/documents obtained from reference libraries and records custodians; and other materials in the public domain.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the System Manager.

A0224.05aDAIG

System name:

224.05 Inspector General Complaint Files

System location:

Assistance Division and Central Files, Office of the Inspector General (OTIG), Department of the Army (DA), Washington, DC 20310.

Decentralized Segments: Offices of all command Inspectors General, Army-Wide.

Categories of individuals covered by the system:

Any Person, Civilian or Military, who presents to an Inspector General in writing or in person a Complaint/Request for Assistance.

Categories of records in the system:

Record copy (hard copy) contains the Inspector General Action Request (IGAR) or letter submitted to an Inspector General requesting assistance and all related reports of investigation, inquiries, studies, memoranda and reference material and final replies.

Automated data elements of record contain: Case number, includes fiscal year and sequence number; case name, to include first, last and middle initial of complainant; component of complainant, the functional relationship to military, DA civilian, or other military service; source of complaint, such as the serviceman, his dependent, relative, or DA civilian. The recipient, or the Agency which received the case before it was referred to the OTIG, DA Command or Staff Agency against whom the complaint was made; date case was received by OTIG; suspense data to control information gathering; action officer in OTIG; command to which case referred to have investigation or inquiry conducted; type of allegations made by complainant; number of days for case processing; date reply sent to complainant; and whether complaints were justified/unjustified.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3039, 3040 and subsection 3065(a) provide for and describe the mission of The Inspector General and Auditor General of the Army and his deputies and assistants. Provides for the detail of commissioned officers as Inspectors General.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose is to obtain sufficient information by investigation, inquiry, research of existing historical data; to review and process the data to insure that appropriate action was taken to substantiate or refute allegations presented, and to correct deficiencies.

The purpose of the automated data elements file is to provide a management system to report categories and frequency of complaints and trends by type and command and to improve processing of correspondence and thereby improve responsiveness of the Inspector General assistance function.

Users are Inspectors General Army-wide; Army Commanders at all levels, DA Staff Agencies, Members of Congress, and other government agencies, when determined by The Inspector General to be in the best interest of that agency.

Used to answer complainants or respond to requests for assistance, advice or information. After consultation with appropriate staff judge advocate may be referred for use in trials by court-martial or other military justice matters, as authorized by the Uniform Code of Military Justice. Used by commanders to correct deficiencies found during inquiry/investigation.

User of automated data file is the Office of The Inspector General, DA. Automated data is used to provide weekly and quarterly reports to elements of OTIG and the Army Staff concerning the categories and frequencies of the Inspector General Action Request and trends. Used as a management tool to improve responsiveness of OTIG in its assistance function. It is not used to associate allegations with complainant and does not divulge findings or recommendations as a result of an inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.
Computer magnetic tapes.

Retrievability:

Filed alphabetically by last name of requester for assistance or information.

Automated data information is filed by sequential case number or case name.

Safeguards:

Records are maintained in locked areas in locked containers accessible only to authorized personnel who are properly cleared and trained in their release.

Retention and disposal:

IG complaint files are destroyed 1 year following final action, except those which include reports of investigation or inquiry conducted by Inspectors General. IG complaint files containing reports of investigation or inquiry or documents relating to investigations and inquiries conducted by Inspector General will be destroyed according to the level at which the inquiry/investigation was conducted: files which contain an investigation or inquiry conducted by the Office of The Inspector General, DA, will be permanent; files containing an investigation or inquiry conducted by other Headquarters, Department of the Army offices and field commands authorized an Inspector General, that report directly to Headquarters, Department of the Army will be destroyed after 10 years; files containing an investigation or inquiry conducted by any other Inspector General element will be destroyed after 3 years.

Automated record kept on active file 1 year then transferred to a history file and destroyed electronically after 5 years.

System manager(s) and address:

The Inspector General and Auditor General, Headquarters, Department of the Army, the Pentagon, Washington, DC 20310

Notification procedure:

Information may be obtained from:
HQDA (DAIG-AC)
Room 1D736
Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-1578

Requester must furnish full name, grade, social security number (SSN), unit of assignment, nature of complaint, and proof of personal identification, and identify the Command Inspector General to which his complaint was submitted.

Record access procedures:

Requests from individuals should be addressed to: The Inspector General, Headquarters, Department of the Army, (DAIG-AC), Washington, DC 20310.

Written requests for information should contain: the full name, grade, SSN, current address and telephone number, and the nature of previous complaint.

For personal visits, the individual must provide acceptable identification and verbal information that could be verified with his case file.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Personal inquiry or investigation by Inspectors General into matters presented as a complaint or request for assistance. The nature of inquiries and investigations varies greatly, and the source of the evidence required is not predictable. Previous sources have included: testimony of witnesses; correspondence/records maintained by organizations/individuals party to the matters being investigated; military personnel files; military pay records; security dossiers; newspaper clippings, and other media material; photographs; reference material/ correspondence originating in Department of the Army staff agencies; research notes/documents obtained from reference libraries and records custodians; and other materials in the public domain.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0225.01aDAPE

System name:

225.01 Military Police Management Information System (MPMIS) - Correctional Reporting System (CRS)

System location:

Primary System: Law Enforcement Division, Human Resources Development Directorate, Office of the Deputy Chief of Staff for Personnel, Department of the Army, (DAPE-HRE).

Decentralized Copies: CRS is programmed for Army installations; the system will be maintained by the installation provost marshall office (PMO). Official mailing addresses are in the Department of Defense directory in the Appendix. The CRS will replace command-unique systems at installations where they exist.

Categories of individuals covered by the system:

Any military member confined at any Army confinement facility as a result of, or pending, trial by courts-martial.

Categories of records in the system:

The CRS data are added to the corrections master file. Following output is produced: a daily 4 part prisoner status roster which provides a by name roster showing social security number (SSN), military occupational speciality (MOS), religion, marital status, education level and offense for which confined. Part 1 provides a history of all prisoners confined in the last 24 hours and shows totals by status (i.e., detained, pretrial, detained post trial, adjudged, etc.). Part 2 shows a recapitulation by custody of total number of prisoners in confinement by this category. Part 3 lists all prisoners that departed the facility in the past 24 hours and lists their disposition. Part 4 indicates those individuals in pretrial confinement in excess of 25 days; a monthly status roster showing, by name, all prisoners confined or released for the reporting period. Report shows detailed additional information including totals of new prisoners, total departures, total escapes, total in hospital and totals by custody grade, race, status and such information as total by types or release, confinement less than 30, 60, or 90 days; the semiannual prisoner profile report produces a series of two-dimensional matrices for each type offense and profiles prisoner age, race, education, marital status, and religion for each offense.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The CRS is used to provide, on a daily basis, pertinent information required for proper management of confinement facility population; to provide on a monthly basis, statistical information required by the installation commander provost marshal and confinement facility commander pertaining to the prisoner population, status of discipline and responsiveness of personnel procedures relating to prisoner personnel; to provide the installation with monthly data on the total spectrum of the confinement facility utilization, i.e., population turnover, recidivism, and to identify semiannually, prisoner profiles showing the relationship of particular offenses to age, race, education, marital status and religion. CRS output will be furnished to criminal justice elements outside Department of Defense (DOD) and Department of the Army (DA) when law enforcement and crime prevention functions fall within their jurisdiction or concurrent jurisdiction is applicable. These include local, state and Federal agencies such as the Federal Bureau of Investigation, US Customs Service; US District Courts, US Magistrates; US Federal Marshals, state police agencies, local police agencies; and in oversea areas, host government law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The CRS master file is stored on disk at the installation data processing activity. The CRS data, produced also in three copies, is maintained at the installation correctional facility in file folders.

Retrievability:

Access to the data base/master file is restricted. To receive CRS output personnel must utilize a 'systems control card'. This control card must be prepared for each specific entry and requires unique originator codes. Instructions for creating and using the control card are maintained at two locations; the PMO and the data processing facility. Access to hard copy output is prescribed by installation standard operating procedures (SOP) and policies.

Safeguards:

The data base and output are managed through extensive SOP and policies prescribed in system functional users manuals. Safeguards include: limited output with distribution controlled by the PMO and released only to designated persons; output is controlled at both pick-up and delivery points: the PMO, confinement facility and data processing activity are 24 hour per day operations; consequently, reports are continuously under scrutiny; the confinement facility and the data processing site are considered secure areas with limited access.

Retention and disposal:

Individuals are deleted from the CRS master file upon their departure from the correctional/confinement facility. Certain elements of information, pertaining to the prisoner are posted to a corrections history tape which produces the semiannual prisoner profile report. A prisoner can remain on this history tape for as long as 5 months or until the semiannual report is produced. Once this occurs, he is then deleted from the CRS master file.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310. Decentralized to command/installation.

Notification procedure:

Information may be obtained from the command/installation/activity office of record.

Record access procedures:

Requests for access should be addressed to the command/installation/activity at which the record is located. Written requests should contain full name of individual, current address, SSN and specificity as to the information sought.

Contesting record procedures:

Rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Subjects, suspects, witnesses, victims, military police and US Army Criminal Investigation Command personnel and special agents, informants, various Department of Defense Federal, state and local investigative and law enforcement agencies, departments or agencies of foreign governments, personnel records of the individual and other individuals and organizations which may provide exempt information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C., 552a (j) or (k) as applicable. For additional information contact the SYSMANAGER.

A0225.01bDAPE

System name:

225.01 Carpool Information/Registration System

System location:

Primary System: Law Enforcement Division, Human Resources Development Directorate, Office of the Deputy Chief of Staff for Personnel, Department of the Army (DAPE-HRE): Decentralized to Army installation/activity level, the official mailing addresses of which are in the appendix.

Categories of individuals covered by the system:

All personnel participating in carpool program who voluntarily provide information for release.

Categories of records in the system:

Name of individual, Social Security Number (SSN), home phone, and address, office address and phone, map coordinates of home or nearby reference points, working hours, etc.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012 and Federal Property and Administrative Service Act of 1949 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assign and administer allocated carpool parking assignments; establish priority of assignments, assist members and applicants in contacting one another and provide printout of individuals in system to other participants who desire to make contact.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Reference cards, computer cards, disk or tape, file folders.

Retrievability:

Access is based on name, SSN, grid coordinate reference system and working hours.

Safeguards:

Accessible only to authorized personnel and those providing identification and purpose for which information is requested; may be accessed by persons seeking members with voluntary consent of person providing information.

Retention and disposal:

Data are retained only on active participants; destroyed upon request/reassignment.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Department of the Army (DAPE-HRE); decentralized to command/installation/activity level.

Notification procedure:

Information may be obtained from command/installation/activity office of record.

Record access procedures:

Requests should be addressed to command/installation/activity office; on personal visits, individual should provide acceptable means of identification, e.g., driver's license, SSN card, DD FM 2. Written requests should contain full name of individual, current address, SSN and specificity.

Contesting record procedures:

Rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Provided by individual on various local, Department of Army, Department of Defense, or Department of Transportation Forms 1700.9.1.

Systems exempted from certain provisions of the act:

None

A0225.06aTRADOC

System name:

225.06 Resource Accounting System

System location:

US Army Training and Doctrine Command (TRADOC), Data Processing Field Office (DPFO), Ft Leavenworth, Kansas 66027.

Categories of individuals covered by the system:

All employees of the Agency both civilian and military.

Categories of records in the system:

A record by individual of man-hours utilized by Resource Accounting Code.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide management a statistical report by individual application of man-hours expended on assigned tasks. Provides data base to collect man-power cost by task to the Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes
Computer paper printouts

Retrievability:

By employee number

Safeguards:

Magnetic tapes are located in a security restricted area.
Computer system safe software is employed.
Computer paper printouts are located in a security restricted area and/or in locked building.

Retention and disposal:

Source documents are key-punched in order to update magnetic tape. Source documents are retained for one year. Magnetic tape is retained until no longer required.

System manager(s) and address:

Resource Accounting System Analyst, US Army Training and Doctrine Command, Data Processing Field Office, Ft Leavenworth, Kansas.

Notification procedure:

Information may be obtained from:
TRADOC DPFO (ATDS-FO-SA)
Building 136
Ft Leavenworth, Kansas 66027
Telephone: Area Code 913/684-2507

Record access procedures:

Requests from individuals should be addressed to: Resource Accounting System Analyst (ATDS-FO-SA), TRADOC DPFO, Ft Leavenworth, Kansas 66027.

Written request for information should contain the full name of the individual, current address and telephone number, social security account number and/or employee number, if so issued, and date(s) of employment or assignment.

For personal visits, the individual should provide some acceptable identification, that is, military identification card, driver's license, or other identification normally acceptable in the transaction of business, and give some verbal information that could be verified by his record.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Resource Accounting System Manpower Expenditure, TRADOC DPFO Form 7, submitted by the individual.

Systems exempted from certain provisions of the act:

None

A0225.06bDACS

System name:

225.06 MISO Management (TWV)

System location:

Primary system - Management Information Systems Office, Fort Bliss, Texas.

Categories of individuals covered by the system:

All personnel assigned to the MISO, Fort Bliss, Texas.

Categories of records in the system:

Records contain employee number, salary rates, working shift data and non-productive time.

Authority for maintenance of the system:

Public Law 89-306

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected pertaining to preparation of personnel and machine time and costs which is properly chargeable to each ADP system which is processed by the MISO. Records developed are used as feeder information to prepare reports required by TRADOC and DA and for local management of computer operations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Magnetic Tape

Retrievability:

Individual records are retrieved by employee number and are updated with daily records of work performed by system. The data is summarized daily. Reports are prepared monthly, quarterly, semiannually and annually. A separate file is maintained for each month.

Safeguards:

Tape files are retained in a vault when not being processed. A tape librarian keeps a record of files removed from the vault. Vault is within the computer room to which entrance is restricted. Building housing the computer is locked during non duty hours.

Retention and disposal:

Monthly summary records are retained in the active files for the current calendar year and retained in the vault file for 1 calendar year after the end of the calendar year. Records are destroyed by erasing and reusing magnetic tapes.

System manager(s) and address:

Management Information Systems Officer, Bldg. 111, Fort Bliss, Texas 79916.

Notification procedure:

Information may be obtained from: The Management Information Systems Officer,Bldg. 111, Fort Bliss, Texas 79916.

Record access procedures:

Assistance can be obtained by addressing correspondence to the SYSMANAGER.

Contesting record procedures:

The agencies rules for accessing records and contesting contents and appealing determinations may be obtained from the SYSMANAGER.

Record source categories:

Date is obtained from individual personnel records.

Systems exempted from certain provisions of the act:

None

A0225.06cDACS

System name:

225.06 Management of Army ADP

System location:

Fort Leavenworth Management Information Systems Office (MISO), Ft. Leavenworth, KS

Categories of individuals covered by the system:

All MISO employees.

Categories of records in the system:

File contains personnel utilization and hourly pay rate by employee number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

MISO-To develop schedules and provide costs of computer output used in the management of the MISO.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in bulk storage, card files, computer magnetic tapes and computer printouts.

Retrievability:

Filed by employee number

Safeguards:

MISO building is locked during nonduty hours. Working area access is limited to authorized personnel having a 'need to know' of the personnel utilization and hourly rate data.

Retention and disposal:

Computer printouts are retained in MISO indefinitely in compliance with court order in the case of US versus IBM. Card files and computer magnetic tapes not constituting a final product are retained in MISO 120 days.

System manager(s) and address:

MISOFFICER, Fort Leavenworth, Kansas.

Notification procedure:

Information may be obtained from
MISO
ATTN ATZLIS
Fort Leavenworth, KS 66027. Individual must provide employee number assigned by MISO Administrative Assistant.

Record access procedures:

Requests from individuals should go to the MISO, ATTN: ATZLIS, Fort Leavenworth, KS 66027.
Written request must contain employee number assigned by MISO Administrative Assistant.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Employee utilization obtained from forms prepared by employees during work hours. Employee hourly rate is obtained from General Pay Schedule.

Systems exempted from certain provisions of the act:

None

A0225.07aDACS

System name:

225.07 Teleprocessing Customer Identification System

System location:

United States Army Management System Support Agency (USAMSSA), DACS-AMH-B, Pentagon, Washington, DC 20310. Data processing installations Army-wide maintaining this system.

Categories of individuals covered by the system:

Personnel and teleprocessing customers of the data processing activity.

Categories of records in the system:

Automated file contains individual's name, terminal customer identification codes, organizational element responsible for automatic data processing (ADP) jobs run, system acronym, routing box number, assigned ADP job number, option list to be presented, terminals authorized for use and related information.

Manual file contains customer's social security number, office phone, office symbol, location of terminals to be used and related information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Teleprocessing customers, agency personnel who use terminal, staff users who access remote terminals, authorized contractors who access terminals connected to central computer facility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, punch cards, disk.

Retrievability:

Control number, option list, name, delete date.

Safeguards:

Records are maintained in secure areas accessible only to authorized personnel.

Retention and disposal:

Records on file are updated every 6 months. Customer roster updated weekly. Records not in use are destroyed.

System manager(s) and address:

Director, USAMSSA, The Pentagon, Washington, D.C. 20310. Commander of each data processing installation maintaining the system.

Notification procedure:

USAMSSA, ATTN: DACS-AMH-B, Room BD965A, The Pentagon, Washington, D.C. 20310. Telephone 202/695-9974.
Inquiries should be addressed to the commander of the data processing installation maintaining the system.

Record access procedures:

See Notification

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is supplied by individual, automated system interfaces for user codes on file at the agency.

Systems exempted from certain provisions of the act:

None

A0225.09aAMC

System name:

225.09 Computer Technology Files

System location:

US Army Electronics Command, Ft Monmouth, NJ

Categories of individuals covered by the system:

Members of the Army Material Command (AMC) scientific and engineering computer council, computer aided design in engineering group, and working group on advanced hybrid computer systems. Also included are AMC scientists and engineers interested in various areas of computer technology.

Categories of records in the system:

File contains name, Social Security Number (SSN), duty address, duty telephone, and abstracts on various areas of computer technology.

Authority for maintenance of the system:

Title 10 U.S.C. Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The SSN is used to identify individuals in the system. The purpose of the system is to exchange information on computer technology.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on magnetic tapes.

Retrievability:

Filed by SSN

Safeguards:

Magnetic tapes are stored in computer area with controlled access and in building under 24 hour guard surveillance.

Retention and disposal:

Destroy 1 year after all magnetic media and other data produced under the system have been destroyed.

System manager(s) and address:

Commander
US Army Electronics Command, Ft Monmouth, NJ

Notification procedure:

Information may be obtained from:
US Army Electronics Command

ATTN: AMSEL-MS-S
Ft Monmouth, NJ 07703
Telephone Area Code 201/532-2992

Record access procedures:

Requests from individuals should be addressed to: US Army Electronics Command, ATTN: AMSEL-MS-S, Ft Monmouth, NJ 07703
Written requests for information should contain the full name of the individual, SSN, duty assignment, current address, and telephone number.
For personal visits the individual should be able to provide some acceptable identification. For example: driver's license and current identification card.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

All information provided by the individual.

Systems exempted from certain provisions of the act:

None

A0225.09bDARCOM

System name:

225.09 Visual Information System (VIS) Utilization.

System location:

Directorate/Management Information Systems (DESMIS), U. S. Army Depot System Command, Chambersburg, PA 17201

Categories of individuals covered by the system:

Those individuals authorized to use VIS.

Categories of records in the system:

The file contains the user's identification number (ID), total inquiries made of the VIS during a six-month period; number of errors made in inquiries, percentage of error and number of printout requests.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Chief, Systems Design, Programming & Integration Division, DESMIS - To determine the degree of utilization of the system.
Branch project officer, DESMIS - To determine the need for further training in use of the system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are on ADP cards, disk and tape. The disk and tape store the data as the user uses VIS.

Retrievability:

By user ID.

Safeguards:

The records are accessible only to authorized personnel.

Retention and disposal:

A record is retained for 2 years.

System manager(s) and address:

Director/Management Information Systems, U. S. Army Depot System Command

Notification procedure:

Information may be obtained from
Directorate/Management Information Systems (DRSDS-MDT)
Building 10
Letterkenny Army Depot
Chambersburg, PA 17201
Telephone: Area Code 717/263-7004

Record access procedures:

Each individual is given a copy of a form with the assigned number on it. Questions may be addressed directly to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

A binder in which are listed user numbers, in sequence; forms filled out by individuals requesting user IDs; usage data recorded on disk.

Systems exempted from certain provisions of the act:

None

A0225.11aDAAG

System name:

225.11 Master Index (NMI)

System location:

Automated Equipment Division, Systems Support Directorate, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC) AGUZ-SSD; 9700 Page Blvd., St Louis, MO 63132.

Categories of individuals covered by the system:

Any individual who subsequent to 1961 has been released from the active Army.
Any individual retired from the US Army or US Army Reserves.
Any individual who has been or is a member of the US Army Reserves.

Categories of records in the system:

File contains personnel identification and location indicator of the Official Military Personnel File.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USARCPAC: To determine the location of the Official Military Personnel File.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes.

Retrievability:

By full name or by social security number.

Safeguards:

Computer Keyword Distribution of output information, routed by interoffice symbols only.
Building employs security guards, ID badge required to enter building, floor badge required.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Commander, USARCPAC, 9700 Page Blvd., St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander, USARCPAC
9700 Page Blvd
St Louis, MO 63132
Telephone: Area Code 314/268-7733

Record access procedures:

Requests from individuals should be addressed to: Commander, USARCPAC, 9700 Page Blvd., St Louis, MO 63132.
Written requests for information should contain the full name and social security number of the individual.
For personal visits, the individual should be able to provide some acceptable identification, such as driver's license.

Contesting record procedures:

The rules of the agency for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Automated system interface and by notification of the location of the Official Military Personnel File from the record holder.

Systems exempted from certain provisions of the act:

None

A0225.11bDAAG

System name:

225.11 USA Individual Ready, Standby and Retired Reserve Personnel Information System.

System location:

Automated Equipment Division, Systems Support Directorate, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC), ATTN: AGUZ-SSD, 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

V 44 D E 1 17 79 UMI

All members of the US Army Reserve who are not assigned to a Reserve unit and not serving on extended active duty in an enlisted reserve status.

Categories of records in the system:

Record contains personal and military status and qualifications data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army Reserve Components Personnel Center, Department of the Army Command and staff agencies, and Department of Defense and components thereof - The data records are primarily used to select qualified members for assignment to active Army units and mobilized reserve component units in the event of mobilization during a national emergency. Record is also used to support day to day personnel management and administration. Specifically, these uses include: selecting qualified personnel for potential assignment to reserve units based on Military Occupational Specialty, grade, and geographical location; selecting and ordering individuals to not more than 15 days annual military active duty field training; identifying personnel for promotion consideration; identifying individuals not qualified for retention in the reserve; issuing annual statements of retirement credits; printing statements of total retirement credits; and publishing orders directing personnel actions and training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and disks.

Retrievability:

Filed numerically, Social Security Number ascending.

Safeguards:

Computer located in building which has entrance controlled by Federal Protective Officers. An ID badge is required to enter building and a different floor badge is required to enter the floor. The tape and disk library is a fireproof vault with a safe combination door plus a steel bar key-locked door. The functional and systems directors approve production requests for both one-time and recurring information.

Retention and disposal:

Records are maintained for two years after completion of statutory or contractual reserve commitment.

System manager(s) and address:

Commander, Reserve Components Personnel and Administration Center, 9700 Page Boulevard, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander, USARCPAC
9700 Page Boulevard, St Louis, MO 63132
Telephone: Area Code 314/268-7733

Record access procedures:

Requests from individuals should be addressed to Commander, Reserve Components Personnel and Administration Center, 9700 Page Boulevard, St Louis, MO 63132

Written requests from individuals should contain full name, social security number, address.

For personal visits the individual should provide some acceptable identification such as a driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from Commander, Reserve Components Personnel and Administration Center, 9700 Page Boulevard, St Louis, MO 63132.

Record source categories:

Official Military Personnel File and Military Personnel Records Jacket.

Systems exempted from certain provisions of the act:

None

A0225.11eDAPC

System name:

225.11 Enlisted Master File (EMF)

System location:

United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Army enlisted personnel on active duty, in a retired status, or separated within the past 4 months.

Categories of records in the system:

The categories of information stored include: name, social security number (SSN), sex, race, citizenship, religion, marital status, dependents, date of birth, residence, physical, ethnic group, grade and date of rank, enlistment and service, promotion, assignment, qualification, skill, education and training, specialty, aptitude, separation, retirement, and mailing address.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army (DA) - Records are used for personnel management, strength accounting, and manpower management.

Department of Defense - Records are used for interdepartmental actions and personnel management.

Social Security Administration - Used to verify SSN.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disks.

Retrievability:

Normal access is by SSN, name, or other individual identifying characteristics.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, and personnel clearances.

Retention and disposal:

Records are retained 5 years after separation, or for retired personnel 1 year after death.

System manager(s) and address:

Commanding General, United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
United States Army Military Personnel Center (DAPC-MSO)
200 Stovall Street
Alexandria, VA 22332
Telephone: Area Code 202/325-9310.

Record access procedures:

Requests from individuals should be addressed to: United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Written requests for information should contain the full name of the individual, SSN, whether active or separated and if separated, date of separation.

Visits are limited to United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

For personal visits the individual should be able to provide acceptable identification, and give verbal information that could be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO),200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained in document and computer readable form from other DA Staff and commands and other federal agencies.

Systems exempted from certain provisions of the act:

None

A0225.11fDAPC

System name:

225.11 Enlisted Year Group Management File/RETAIN

System location:

Department of the Army, United States (US) Army Military Personnel Center (DAPC-EP)

Categories of individuals covered by the system:

Active duty members of the US Army in enlisted grades of E1 thru E9 and former military personnel who are applicants for enlistment.

Categories of records in the system:

AUTOMATED: File contains control number, reclassification/ enlistment action, type of enlistment, social security number (SSN), pay grade, race, sex, basic active service date, estimated termination of service, reenlistment date, civilian education, career management field, primary military occupational specialty (PMOS), PMOS evaluation score, new career management file (CMF), new PMOS, date of award of new PMOS, source of new PMOS, personnel charged to school code, status of application, assignment code, date of last status change, current location, year group; name, Security Investigation Status (SIS), terms reenlisted.

MANUAL: File contains name, control number, reclassification/ enlistment action, type of enlistment, SSN, pay grade, race, sex, basic active service date, estimated termination of service, Armed Forces Qualification Test Score, civilian education, promotion list status, reenlistment bonus status, security clearance, marital status, reenlistment date, physical profile status with code, career counselor with location, pay entry basic date, current/last oversea area, date eligible to return from overseas, date departed United States, waiver required, citizenship status, aptitude area scores, school/assignments requested, assignment confirmation, orders information.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.
Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army-Records are used for personnel management, year group management and manpower management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disk and as paper records in file folders.

Retrievability:

Normal access is by name, SSN, control number or other individual characteristics.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features and personnel clearances for individuals working with the system.

Retention and disposal:

Computer tapes are cut off annually, and are retained up to 5 years; hard copy files are cut off annually and retained up to 2 years.

System manager(s) and address:

Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from Headquarters, Department of the Army, US Army Military Personnel Center (DAPC-EP), Hoffman Bldg. I, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Written requests for information should contain the full name of the requester, SSN, current or former military status and appropriate return address. Personal visits may be made to the US Army Military Personnel Center; individuals should be able to provide their military service identification and DD Form 2A for active duty personnel, or other commonly acceptable means of identification used in normal transaction of business.

Contesting record procedures:

The department rules for contesting contents and appealing initial determinations may be obtained from US Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from the applicant, Department of the Army personnel records, computer reports and from other Department of the Army organizations and stations.

Systems exempted from certain provisions of the act:

None

A0225.11gDAPC

System name:

225.11 Recruit Quota System (REQUEST)

System location:

US Army Military Personnel Center (MILPERCEN). The official mailing address is in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

Non-prior and prior service personnel who have indicated a desire to enlist in the U. S. Army, USARNG or USAR.

Categories of records in the system:

Name, social security number (SSN), sex, race, citizenship, date of birth, education level achieved and school subjects, driver's license, physical profile, color perception, Army standard scores from the Armed Services Vocational Aptitude Battery, Audio Perception score, Defense Language Aptitude Battery (DLAB) score, Motor Vehicle Battery Test score, type of enlistment, enlistment date, term and option, military occupational speciality, enlistee's initial processing and training assignments, type, locations and dates, unit of assignment, system identification of location that created an accession record, recruiter identification; and recruiting area credit code.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army - Records are used for personnel management, manpower, training and accession management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on disk and magnetic tape.

Retrievability:

By name and/or SSN.

Safeguards:

Data security; entry protection, password, autologged, user identification.

Retention and disposal:

Records are retained for 2 years, then erased.

System manager(s) and address:

Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from the US Army Military Personnel Center, Enlisted Personnel Directorate, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Written requests for information should include the full name, social security number, and current address. Request should be made to Commander, US Military Personnel Center, Enlisted Personnel Directorate (DAPC-EP), 2461 Eisenhower Avenue, Alexandria, VA 22331.

For personal visits, the requester should provide acceptable identification, i.e., military identification card or other identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Data are obtained from individual's application (DD Form 1966) and from tests given to applicants. This information is maintained at the Armed Forces Examining and Entrance Station (AFEES).

Systems exempted from certain provisions of the act:

None

A0225.11iDAPC

System name:

225.11i Enlisted Evaluation System

System location:

United States Army Enlisted Evaluation Center, Ft Benjamin Harrison, IN 46249.

Categories of individuals covered by the system:

Active duty members of the US Army in enlisted grades E-1 through E-9, enlisted members in grades E-4 through E-9 of Army Reserve and National Guard, certain Junior ROTC cadets, and active duty Army officers and warrant officers desiring to revert to enlisted status.

Categories of records in the system:

Files contain individual's name, social security number (SSN), pay grade, Primary Military Occupational Specialty (PMOS), PMOS evaluation data, Secondary Military Occupational Specialty (SMOS), SMOS evaluation data, Duty Military Occupational Specialty

(DMOS), DMOS evaluation data (Reserve and National Guard), written MOS test data, performance MOS test data, Enlisted Efficiency Report data, and unit identification code.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.
Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records contained in the files listed above are used to develop MOS Evaluation Scores for each soldier. The data are furnished to the soldier, the soldier's commander, and to Department of the Army career personnel management officials as an aid in making decisions on personnel actions such as promotions, assignments, reenlistment, professional development, service training and education, retention in active duty, and other related military actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and hard copy computer printouts.

Retrievability:

Records are accessed by SSN.

Safeguards:

Records are maintained in a controlled area.

Retention and disposal:

Records are retained for not more than 5 years after the soldier is released from active duty.

System manager(s) and address:

Commander, United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall St., Alexandria, VA 22332, Telephone: Area Code 202/325-9306.

Record access procedures:

Written requests should contain SSN, name, and current unit identification code. Visits should be made to the servicing military personnel office (MILPO) or the headquarters of the organizational station of the service member.

For personal visits, the requester should provide acceptable identification.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the Sysmanager.

Record source categories:

Written tests, Efficiency Reports, performance tests, and other correspondence, forms, and documents originating in or collected by the military department for management purposes.

Systems exempted from certain provisions of the act:

None

A0225.11kDACS

System name:

225.11 Computer Users Information System

System location:

Management Information Systems Directorate, Picatinny Arsenal, Dover, N.J. 07801

Categories of individuals covered by the system:

Any person who is currently employed at Picatinny Arsenal, Dover, N.J. 07801 or government contractors using computing facility.

Categories of records in the system:

Name, business address, business telephone, subject interest code, user ident code, data files retained by users, assigned password, mag tape reel ident, abstracts of computer programs and name and phone number of contributors, items of policy, features and current computing facility problems.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

List authorized users, disseminate computing news, provide users with available application programs and name of author, accounting for Automatic Data Processing (ADP) mag tape reels.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer (digital and analog) magnetic tape, disk, punched cards.

Retrievability:

Name, subject, user ident code, news item number, password, application program key word/author.

Safeguards:

Building employs security guard. Magnetic tapes are held in vault accessible only to authorized computer personnel. Vault is in computer room, to which entrance is restricted by cipher lock.

Retention and disposal:

Individual data remains on file while a user of computing facility. Destroy on discontinuance or reassignment.

System manager(s) and address:

Commander, Picatinny Arsenal, ATTN: SARPA-MI-S, Dover, N.J. 07801

Notification procedure:

Information may be obtained from:
Commander
Picatinny Arsenal
ATTN: SARPA-MI-S
Dover, N.J. 07801

Record access procedures:

Requests from individuals should be addressed to: Commander, Picatinny Arsenal, ATTN: SARPA-MI-T, SARPA-MI-O

Contesting record procedures:

Rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

User, authors, computing facility management, computer programmers.

Systems exempted from certain provisions of the act:

None

A0225.11lDACS

System name:

225.11 Consultant Reference System

System location:

Production Base Modernization (PBM), Project Manager's (PM) Office, Picatinny Arsenal, Dover, N.J. 07801

Categories of individuals covered by the system:

Any person currently employed at Picatinny Arsenal, Dover, N.J. 07801 or contractors available for services.

Categories of records in the system:

Name, phone number, city, state, company affiliation, education, qualifications, and expertise by category.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Identify availability of persons for use by the PM's Technology Review Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data stored on disk.

Retrievability:

Name, category.

Safeguards:

Building employs security guard. Magnetic tapes are held in vault accessible only to authorized computer personnel. Vault is in computer room, to which entrance is restricted by cipher lock.

Retention and disposal:

Updated as required.

System manager(s) and address:

Project Manager, PBM, Picatinny Arsenal, Dover, N.J. 07801

Notification procedure:

Information may be obtained from:
Project Manager, PBM
Picatinny Arsenal
ATTN: AMCPM-PBM

Dover, N.J. 07801

Record access procedures:

Requests from individuals should be addressed to: Project Manager, Picatinny Arsenal, ATTN: AMCPM-PBM

Contesting record procedures:

Rules for access to records and for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

By registrants submission.

Systems exempted from certain provisions of the act:

None

A0225.12aDACS

System name:

225.12 Data Processing Installation Control System

System location:

Primary System: Automatic Data Processing Branch, Operations Division, Personnel Information Systems Directorate, US Army Military Personnel Center.

Decentralized Segments-Room 7E028 Forrestal Building- Room 2B744 Pentagon, both remote sites of the Primary System.

Categories of individuals covered by the system:

Any DOD employee requiring access to US Army Military Personnel Center computer facility or equipment.

Categories of records in the system:

File contains individual's name, social security number, office symbol and telephone number. In addition, the following information is maintained on operators of the equipment-assigned Table of Distribution and Allowances paragraph and line number, job title, authorized and actual grade, occupational skill, security clearance, section assignment and projected separation date.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Automatic Data Processing Branch and decentralized sites: To verify individual authority to use computer equipment; Security requirements: The processing of classified information and personnel information on equipment by users requires limited access to major remote terminals and the primary computer site.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data Base Management Mass Storage. Input correspondence maintained in paper record folders.

Retrievability:

Filed alphabetically or by submitting agency.

Safeguards:

The primary site employs security guards that check individual access against system reports. Remote location operators check access against system reports.

Retention and disposal:

Records are retained for the duration the individual is authorized access.

Destroy after 1 year.

System manager(s) and address:

US Army Military Personnel Center (DAPC-PSO-A), 200 Stovall Street, Alexandria, Virginia 22332

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Individuals should write or contact SYSMANAGER in person.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21; as supplemented by Army Regulations 18-7 and 380-5.

Record source categories:

Agencies utilizing the computer facility are requested to submit written input to the SYSMANAGER. SYSMANAGER periodically revalidates access directly with these agencies.

Systems exempted from certain provisions of the act:

None.

A0228.01DAMH

System name:

228.01 Historian's Background Material

System location:

Primary System: US Army Center of Military History, Department of the Army (DA).

Decentralized Segments: Historical Offices of Headquarters, Department of the Army and US Army Commands and the US Army Military History Research Collection, Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Military personnel and civilians who have worked for DA.

Categories of records in the system:

File contains biographical sketches, oral histories, personal papers donated by individuals, working files on personnel assigned to agency.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information of a general nature in response to inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and tapes in file folders.

Retrievability:

Filed alphabetically by last name or cross indexed by name.

Safeguards:

Buildings employ guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in historical reference collections.

System manager(s) and address:

The Chief of Military History, Department of the Army, Washington, DC 20314

Notification procedure:

Information may be obtained from:
HQDA (DAMH-HSG)
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5045

Record access procedures:

Written requests from individuals should be addressed to Headquarters, Department of the Army (DAMH-HSG), Forrestal Building, Washington, DC 20314

For personal visit, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his folder.

Contesting record procedures:

The Army's rules for access to information and for contesting contents of records and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

General biographical information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0228.03DAMH

System name:

228.03 Historical Inquiry Files

System location:

Primary System: US Army Center of Military History, Department of the Army.

Decentralized Segments: Historical offices of Headquarters, Department of the Army agencies and US Army Commands.

Categories of individuals covered by the system:

Any individual who has requested in writing information dealing with US Army activities.

Categories of records in the system:

File contains letters of individuals who have requested information dealing with US Army activities.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To verify replies to inquiries in cases of repeated requests from individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of researcher.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Destroyed after two years.

System manager(s) and address:

Chief of Military History, Department of the Army, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
HQDA (DAMH-ZF)
Room 6B018
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5035

Record access procedures:

Written requests from individuals should be addressed to Headquarters, Department of the Army (DAMH-ZF), Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his file.

Contesting record procedures:

The Army's rules for access to information and for contesting contents of records and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Letters of inquiry from individuals.

Systems exempted from certain provisions of the act:

None

A0228.04aDAMH

System name:

228.04 Historical Photographic Files

System location:

Primary System: US Army Center of Military History, Department of the Army.

Decentralized Segments: Historical Offices of Headquarters, Department of the Army, agencies and US Army Commands and the US Army Military History Research Collection, Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Military personnel and civilians who have pictures taken in line of duty.

Categories of records in the system:

Photographs of individuals, including photographs donated by individuals for historical research.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For use in the preparation of official studies dealing with the US Army activities and to answer official and unofficial inquiries concerning the US Army.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Photographs in file folders

Retrievability:

Filed alphabetically by last name of subject.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Permanent material. Some photographs are retired to the Washington National Records Center when no longer needed in the historical offices; the others are retained in the Military History Research Collection (MHRC) for historical reference.

System manager(s) and address:

Chief of Military History, Department of the Army, Washington, DC 20314

Notification procedure:

May be obtained from:
HQDA (DAMH-HSG)
Room 6A057
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5032

Record access procedures:

Written requests from individuals should be addressed to Headquarters Department of the Army, (DAMH-ZF), Forrestal Building, Washington, DC 20314, or the command concerned. Official mailing addresses are listed in the Department of Defense Directory in the Appendix to this Federal Register.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his photograph.

Contesting record procedures:

The Army's rules for access to information and for contesting contents of records and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Photographs taken by US Army photographers or by individuals and donated for historical research.

Systems exempted from certain provisions of the act:

None

A0228.11DAAG

System name:

228.11 Memorialization Board Files

System location:

Primary System: Operations Division, Administrative Management Directorate, The Adjutant General Center (i.e., HQDA (DAAG-AMO) WASH DC 20314);

Decentralized segments exist throughout the Army to the installation level.

Categories of individuals covered by the system:

Any individual for whom a memorialization action is recommended or taken. Only deceased personnel are eligible for memorialization, but sometimes living personnel are recommended.

Categories of records in the system:

File contains a record of memorialization actions taken and background information of each, consisting of letters, staff studies and related information leading to a memorialization decision. Also included in the file may be memorialization for record pertaining to processing of a particular action and an information copy of orders announcing that a street, building, installation or similar object or thing has been or will be named after a deceased individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Memorialization board files are used as an essentially decentralized record of memorialization actions taken throughout the Army. When a memorialization action is approved, orders are issued formalizing the approval. (A copy of each order is sent to operations Division where a card is prepared and filed indicating action taken, date, order number and location.)

Files maintained by the approval authority are also used as a source of information from which it can be determined whether

others were considered for a particular action and, by exclusion, those who have not been memorialized.

Unusual cases in the Operations Division file also serve as a source of policy and precedence information.

After an action is approved, records may provide information supportive of publicity and news releases.

Records are also used for historical reference.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Operations Division: filed alphabetically by last name of those memorialized.

Decentralized segments: filed loosely in a file folder by calendar year in which memorialization action occurred. Accessible by name.

Safeguards:

Operations Division - building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Decentralized segments: files accessible to records maintenance and managerial personnel.

Retention and disposal:

Records of final approving authority are permanent. In most cases approval authority is delegated to installation commanders for memorialization actions on a particular installation except when a policy exception is required or in major naming cases which must be approved by higher authority. Permanent records are held 5 years in the current files area and then sent to a records holding area from which they are retired to the Washington National Records Center. Records of supervisory, reviewing or other offices are destroyed 2 years after the end of calendar year in which a memorialization occurred or on discontinuance of the office concerned (whichever occurs first).

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, the Pentagon, Washington DC

Notification procedure:

Information may be obtained from:
HQDA (DAAG-AMO)
Room GA 159
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-8380

Record access procedures:

Requests for information concerning those rare memorialization actions in which a living person has been recommended should be addressed to the installation concerned or: HQDA (DAAG-AMO), Room GA 175, Forrestal Building, Washington, DC 20314.

Written requests for information should include the full name of the individual and when applicable, information about the building, street, installation, etc., concerned.

For personal visits an individual must be able to provide proper identification such as a driver's license or employing office identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information supporting a memorialization request is extracted from personnel records and orders and from historical references (as applicable).

Systems exempted from certain provisions of the act:

None

A0301.07aDAAG

System name:

301.07 Army Club Membership Registration System

System location:

Decentralized at Army installations worldwide; the systems will be maintained by the Officers' or NCO club manager at Army installations having club activities. Official mailing addresses are in the Department of the Defense Directory in the Appendix.

Categories of individuals covered by the system:

Any individual active military, reserve component, retired, civilian, or dependent who voluntarily applies for membership in an Army club.

Categories of records in the system:

File contains name, grade, social security number (SSN), address, phone number, name of spouse, credits, merchandise code, date of purchase, activities code. Card number, club bill, date estimated return from overseas (DEROS) where applicable.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Administration of club membership, billing by local commercial institutions maintaining credit systems for individual Army clubs or for billing by local finance and accounting office, preparation of club membership cards, determination of eligibility for membership, identification for collection of accounts due, and dissemination of information regarding club activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cards, kardex files, automated files, file folders/ jackets, and computer printouts.

Retrievability:

Filed alphabetically by name, SSN, or club membership number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

An individual's record is maintained on the individual club membership registration file as long as the individual remains a bona fide member of the particular Army club. Routinely destroyed after three years.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, (DAAG-ZA), Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Executive, Club Management Directorate,
The Adjutant General Center,
Washington, DC 20314.
Telephone (Area Code) 202/693-1090.

Record access procedures:

Written requests for information by an individual pertaining to himself should contain the full name of individual, the club at which the individual is a member, current address and SSN. Requests from individuals should be addressed to the respective club at which the individual is a member or has been a member and remains on records as having an account due. For personal visits the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card).

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Army Regulation 340-21, The Army Privacy Program.

Record source categories:

Information contained in membership registration file is obtained directly from individual making application for membership in the respective Army club.

Systems exempted from certain provisions of the act:

None

A0301.08aDACA

System name:

301.08 Military and Civilian Waiver Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249.

Categories of individuals covered by the system:

Any Army member or civilian employee or former Army member or civilian employee who applies for waiver of claims arising out of erroneous payments of pay and allowances.

Categories of records in the system:

File contains application, employment history of the individual, reports of investigation, copies of vouchers, certificates, record of

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disposition, and correspondence with the U.S. General Accounting Office, Army staff offices, and other government agencies.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office: To obtain data to determine the validity of waivers, or to make referrals to the U.S. General Accounting Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are retained indefinitely in active file.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249.

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed to: Chief, Field Services Office, U.S. Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of the individual, social security number and current address. Visits are limited to Field Services Office (FINCY), U.S. Army Finance and Accounting Center, Indianapolis, IN 46249.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office (FINCY), U.S. Army Finance and Accounting Center, Indianapolis, IN 46249.

Record source categories:

Finance and Accounting Offices, Army member's commanding officer, records custodian and other Government agencies.

Systems exempted from certain provisions of the act:

None

A0301.08bDACA

System name:

301.08b Contractor Indebtedness Files

System location:

Primary System: Contract Financing Office, Directorate of Finance and Accounting, Office Comptroller of the Army, Department of the Army.

Decentralized Segments: All Army installation and commands, and Defense Contract Administration Services Regions that administer contracts for the Department of the Army.

Categories of individuals covered by the system:

Contractors as individuals determined indebted to the United States Government.

Categories of records in the system:

File contains correspondence between contracting officer, administrative contracting officer and/or Contract Financing Office, Directorate of Finance and Accounting and the contractor, that terminates contract, demands payment and extablishes debt, and any other related papers.

Authority for maintenance of the system:

Federal Claim Collection Act of 1966, 80 Sta. 308, Title 31 U.S.C., Section 951-53.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used to initiate collection action against a contractor who is determined to be indebted to the United States, to determine whether judicial proceedings should be initiated against the contractor and to maintain and distribute a list of contractors determined to be indebted to the United States. This list is maintained by the US Army Finance and Accounting Center and used by all agencies of the Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, stored in steel filing cabinets.

Retrievability:

File alphabetically by last name of individual.

Safeguards:

Building employs GSA Security Guards. Records are maintained in file cabinets accessible only by authorized personnel in area that is locked after duty hours.

Retention and disposal:

Files are permanent. They are retained in active file until end of calendar year in which final action is taken, held 2 years after file is closed then transferred to the Washington National Records Center. Copies of files that are sent to the General Accounting Office for determination of judicial proceedings or further collection action are retained in the Contract Financing Office until notification is received that the file has been closed.

System manager(s) and address:

Chief, Contract Financing Office, Directorate of Finance and Accounting, Office Comptroller of the Army, Department of the Army, The Pentagon, Washington, D.C. 20310.

Notification procedure:

HQDA (DACA-FAC)
Room 3-A-688
Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-1300

Record access procedures:

Requests from individuals should be addressed to: Comptroller of the Army, Directorate of Finance and Accounting, ATTN: Contract Financing Office,Washington, D.C. 20310. —Written request for information should contain the full name of the individual and the contract number concerned. Visits can be made to the contracting office of the installation/command that let the contract or the Contract Financing Office (DACA-FAC), Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide some acceptable identification such as a current driver's license, and give some verbal information that can be verified with his case folders.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the installation/ command contracting officer administering the contract concerned.

Record source categories:

Correspondence received from individuals and contracting offices.

Systems exempted from certain provisions of the act:

None

A0302.03aDACA

System name:

302.03 Subsidiary Ledger Files (Accounts Receivable)

System location:

Decentralized segments - Approximately 300 Finance and Accounting Offices (FAO) World-Wide.

Categories of individuals covered by the system:

Military and civilian personnel with the Department of the Army, Department of Defense, and other government agencies.

Categories of records in the system:

Individual control files for services rendered.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Finance and Accounting Office: Purpose to maintain records of charges due the Army for services provided to effect collection action, i.e., telephone, quarters, food charges, clothing, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files.

Retrievability:

Filed alphabetically by last name, or cross indexed by name, or filed by Social Security Number(SSN).

Safeguards:

World-Wide Finance and Accounting Offices: Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed 3 years after closing ledger accounts.

System manager(s) and address:

Comptroller of the Army, HQ, Department of the Army, The Pentagon, Washington, D.C.

Finance and Accounting Officer, US Army Finance and Accounting Offices, World-Wide.

Notification procedure:

Information may be obtained from:
Comptroller of the Army
HQDA (DACA-FAA-G)
Room 2B667
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-5139

Finance and Accounting Offices World-Wide. Individual must provide full name and social security number, current address.

Record access procedures:

Requests from individuals should be addressed to: Comptroller of the Army (DACA-FAA-G), Room 2B667, The Pentagon, Washington, DC 20310 or to Finance and Accounting Officers, Finance and Accounting Offices, World-Wide.

Written requests for information should contain full name, social security number and current address.

Information may be obtained by telephone: Area Code 202/695-5139.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Finance and Accounting Offices, Army member's Commanding Officer, Custodian Records.

Systems exempted from certain provisions of the act:

None

A0302.06aDAIG

System name:

302.06 Travel Advance Accounting System (TAAS)

System location:

Office of Resource Management, Headquarters, U.S. Army Audit Agency (USAAA), IGAA-RM, NASSIF Building, 5611 Columbia Pike, Falls Church, VA 22041

Categories of individuals covered by the system:

Any USAAA employee

Categories of records in the system:

File contains individual's obligations and disbursements of funds incurred in relation to official duties and training; charges are identified by element of expense.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAAA: To control financial expenditures by type and to accumulate cost information by job.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, disks, and computer paper printouts.

Retrievability:

By name of employee and by social security number; computerized indices are required.

Safeguards:

Buildings employ security guards; records are maintained by authorized personnel that are properly cleared and trained.

Retention and disposal:

Records are maintained on computer disk for one year; records are then held for an additional year on magnetic tape and then destroyed.

System manager(s) and address:

Director, Office of Resource Management, Headquarters, U.S. Army Audit Agency, Washington, DC 20315

Notification procedure:

Information may be obtained from:
USAAA (IGAA-RM)
Room 319
NASSIF Building
5611 Columbia Pike
Falls Church, VA 22041
Telephone: Area Code 202/756-1957

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license or employing office's identification card.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, U.S. Army Audit Agency, Room 319, NASSIF Building, 5611 Columbia Pike, Falls Church, VA 22041

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Delinquent billings for travel requests received from the Indianapolis Finance Center.

Travel vouchers received from the Military District of Washington.

Travel vouchers received from various disbursing officers from within the United States and from overseas.

Systems exempted from certain provisions of the act:

None

A0302.06bDACA

System name:

302.06b Absentee Apprehension/Reward/Expenses Payment SYSTEM

System location:

Decentralized Segments. Approximately 175 Army Finance and Accounting Offices world-wide who may make payments to individuals in connection with the apprehension of service members who are absentees.

Categories of individuals covered by the system:

Individuals who may have apprehended service members who are absentees.

Categories of records in the system:

Individual payment vouchers and documents used for the payment of rewards and expenses for apprehension of absentees.

Authority for maintenance of the system:

DOD Annual Appropriation Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Finance and Accounting Offices: Purpose is to provide basis for making payments for rewards and expenses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper vouchers and documents in file folders.

Retrievability:

File numerically by voucher numbers by disbursing station symbol numbers and alphabetically by last name of individual.

Safeguards:

World-wide Finance and Accounting Offices: Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Individual vouchers and documents used for payment: Retain at installation making payment until end of month; then send to U.S.

Army Finance and Accounting Center, ATTN: FINCR, Indianapolis, Indiana 46249. Destroy after 3 years except that documents relating to exceptions taken by General Accounting Office (GAO) will be retained until cleared by a satisfactory reply to the notice of exception and then destroyed.

System manager(s) and address:

Comptroller of the Army, Headquarters, Department of the Army, Pentagon, Washington, D.C. 20310.

Finance and Accounting Officers, United States Army Finance and Accounting Offices, World-wide.

Notification procedure:

Information may be obtained from the Finance and Accounting Officer who made the payment.

Individual must provide full name, current address and pertinent information regarding items or payments being questioned.

Record access procedures:

Requests must be addressed to the Finance and Accounting Officer, Finance and Accounting Office where the payments were made.

Written requests for information should contain full name, current address, and other pertinent data required to identify the items or payments.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Information is requested from individual requesting reward, from DOD staff agencies and field installations.

Systems exempted from certain provisions of the act:

None

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System name:

305.05 Travel Payment System

System location:

Decentralized Segments--Approximately 175 Army Finance and Accounting Offices world-wide.

Categories of individuals covered by the system:

Military and civilian personnel of the Department of Defense, United States Army, Navy, and Air Force, and other individuals who perform invitational travel for Army purposes.

Categories of records in the system:

Individual travel vouchers and documents used to reflect travel allowance payments to military and civilian personnel, records of travel payments, and comparable forms.

Authority for maintenance of the system:

Department of Defense Annual Appropriations Act; Title 5 U.S.C., Sections 5701-5742; Title 10 U.S.C., Sections 828, 832, 946, 3012; Title 28 U.S.C., Section 1821; Title 37 U.S.C., Section 404-427.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Finance and Accounting Offices: Purpose is to provide basis for reimbursing military and civilian personnel for expenses incident to travel for official Government business purposes and to account for such payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, magnetic tape, disks, cassettes, printouts, and microfiche.

Retrievability:

By name of individual and/or social security number; computerized indices for automated files.

Safeguards:

World-wide Finance and Accounting Offices: Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained. Buildings employ security guards and/or military police patrols. Users of automated files are categorized as input, access, and output personnel; access is controlled by assigned passwords.

Retention and disposal:

Individual vouchers and documents used for payment: Retain at installation making payment until end of month; then send to US Army Finance and Accounting Center, ATTN: FINCR, Indianapolis, IN 46249.

Signature cards used for approval of certain vouchers: Retain at installation where payments are made until three years after date of revocation of authority; then destroy.

Records of travel payments: Retain at installation making current payments. Military member's record is transferred to New Servicing Finance Office upon permanent change of station or to the US Army Finance and Accounting Center upon death or separation from active duty. Civilian employee's record is transferred to New Servicing Finance Office upon reassignment and destroyed upon termination of service. Records for individuals performing invitational travel are destroyed one year from date of final payment.

System manager(s) and address:

Comptroller of the Army, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Finance and Accounting Officers, United States Army Finance and Accounting Offices, World-wide.

Notification procedure:

Request for information: For periods of current assignment, request should be made to Finance and Accounting Officer who currently pay the individual. For periods of Army service prior to current assignment, request should be made to the Commander, US Army Finance and Accounting Center, ATTN: FINCR, Indianapolis, IN 46249.

Individual must provide full name and social security number and current address.

Record access procedures:

Requests from individuals should be addressed to: Finance and Accounting Officer, Finance and Accounting Offices, World-wide, or to Commander, U. S. Army Finance and Accounting Center, ATTN: FINCR, Indianapolis, IN 46249.

Written requests for information should contain full name, social security number and current address.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is received from Department of Defense (DOD) Staff agencies and field installations.

Systems exempted from certain provisions of the act:

None

A0305.08aDACA

System name:

305.08 Military Pay System-Active Army (Manual)

System location:

Decentralized Segments: Approximately 122 Army-wide Finance Offices and Finance and Accounting Offices (FAO) world-wide.

Categories of individuals covered by the system:

Reserve Enlisted Program 63 Reservist and National Guard, active duty military personnel.

Categories of records in the system:

Records include individual military pay records, casual payment receipts, substantiating documents, temporary pay records, transmittal letters, locator files, financial data record folders (FDRF), miscellaneous military pay files and personal financial records (PFR).

Authority for maintenance of the system:

Title 37 U.S.C., Section 101 and following (pay and allowances of the Uniformed Services).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Finance and Accounting Division Purpose is to provide a basis for establishment of computation of each active member's military pay entitlement, to provide a history of pay transactions, and to answer inquiries or claims pertaining to such entitlements. This information is also used to provide necessary data to the Treasury Department, the Social Security Administration, the US Army Military Personnel Center, the Veterans, and those states and cities which have an agreement with the Department of the Army to receive taxable earnings information.

Treasury Department: To record check and bond issue data and to record taxable earnings and taxes withheld from military personnel.

Social Security Administration: To record earned wages by member under the Federal Insurance Contributions Act (FICA)s

US Army Military Personnel Center (MILPERCEN): To compare military personnel identification with the Social Security Administration for purpose of correction and to compare and correct common data elements with USAFAC.

Veterans Administration: To record the collection of premiums for National Service Life Insurance.

States and Cities: To verify tax liability against members' state and city income tax returns.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and in bulk storage and card files.

Retrievability:

Filed by social security number, alphabetically by name, and substantiating document number. Conventional indexing is used to retrieve data.

Safeguards:

Finance and Accounting Offices: Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Individual military pay records and other records: Retention periods vary according to category of record but total retention periods do not exceed 56 years. Disposition is as required by AR 37-104-3, AR 635-10 and AR 640-10 and destruction when individual is separated or released from active duty. Destruction is by burning or salvage as waste paper.

System manager(s) and address:

Commander, USAFAC, Indianapolis, Indiana 462449

Finance and Accounting Officer United States Army Finance and Accounting Offices, world-wide.

Notification procedure:

Information may be obtained from:
Commander USAFAC
Attention: FINCP
Indianapolis, Indiana 46249

Individuals may also contact Finance and Accounting Officers at United States Army Finance and Accounting Offices, world-wide.

Individual must provide full name, social security number and military status.

Record access procedures:

Requests from individuals should be addressed to: Commander, USAFAC, ATTENTION: FINCP, Indianapolis, Indiana 46249; or Finance and Accounting Officers at United States Army Finance and Accounting Offices, world-wide.

Written requests for information should also contain full name, social security number, military status and current address.

Contesting record procedures:

The rules of access to records, contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is received from Department of Defense staff and field installations and Treasury Department.

Systems exempted from certain provisions of the act:

None

A0305.10aDACA

System name:

305.10 Joint Uniform Military Pay System-Active Army (JUMPS-AA)

System location:

Primary System-United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249.

Decentralized Segments-Approximately 122 Army Finance Offices and Finance and Accounting Offices (FAO) world-wide.

Categories of individuals covered by the system:

All active duty military personnel.

Categories of records in the system:

Records include individual military pay records, casual payment receipts, substantiating documents, temporary pay records, transmittal letters, locator files, financial data record folders (FDRF), miscellaneous military pay files, and personal financial records (PFR).

Authority for maintenance of the system:

Title 37 U.S.C., Section 101 and following (Pay and Allowances of the Uniformed Services).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAFAC-Purpose is to provide a basis for establishment of computation of each active member's military pay entitlement, to provide a history of pay transactions, and to answer inquiries or claims pertaining to such entitlements. This information is also used to provide necessary data to the Treasury Department, the Social Security Administration, the US Army Military Personnel Center, the Veterans Administration, those states and cities which have an agreement with the Department of the Army to receive taxable earnings information, the American Red Cross and the Department of Health, Education and Welfare.

Treasury Department-To record check and bond issue data and to record taxable earnings and taxes witheld from military personnel.

Social Security Administration: To record earned wages by member under the Federal Insurance Contributions Act (FICA).

US Army Military Personnel Center (MILPERCEN): To compare military personnel identification with the Social Security Administration for purpose of correction and to compare and correct common data elements with USAFAC.

Veterans Administration: To record the collection of premiums for National Service Life Insurance and to transfer contributions to Post-Vietnam Era Veterans Education Account.

States and Cities: To verify tax liability against members' state and city income tax returns.

American Red Cross: To assist military personnel and their dependents in determining the status of monthly pay, dependents allotments, loans, and related financial transactions.

Department of Health, Education and Welfare: Disclose the name, rank and social security account number of each member of the Armed Services on active duty to the Inspector General of that Department only for comparison with appropriate rolls reflecting recipients of Aid to Families with Dependent Children (AFDC).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and in bulk storage, card files, computer magnetic tapes, computer paper printout, and microfiche.

Retrievability:

Filed by social security number, alphabetically by name, and substantiating document number. Conventional indexing is used to retrieve data.

Safeguards:

USAFAC-Buildings employ security guards. An employee badge and visitor registration system is utilized. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained. Access to computer magnetic tape files is restricted to the members' servicing finance and accounting officer. Computer equipment and files are located in a separate secured area.

World-Wide Finance and Accounting Offices-Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Individual military pay records- Records are converted to microfiche which are retained for 56 years. Destruction is by shredding.

Other records: Retention periods vary according to category of record but total retention periods do not exceed 56 years. Disposition is to federal records centers and destruction thereafter is by burning or salvage as waste paper.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Finance and Accounting Officer, United States Army Financing and Accounting Offices, world-wide.

Notification procedure:

Information may be obtained from:
Commander, USAFAC
Attention: FINCP
Indianapolis, IN 46249

Individuals may also contact Finance and Accounting Officers at United States Army Finance and Accounting Offices, world-wide.

Individual must provide full name, social security number and military status.

Record access procedures:

Requests from individuals should be addressed to: Commander, USAFAC, ATTN: FINCP, Indianapolis, IN 46249; or Finance and Accounting Officers at United States Army Finance and Accounting Offices, world-wide.

Written requests for information should also contain full name, social security number, military status and current address.

Information may be obtained by telephone: Area Code 317/542-2891

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Contesting record procedures:

The Army's rules for access to records, contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

Information is received from Department of Defense staff and field installations, Social Security Administration, Financing organizations, Treasury Department and automated system interface.

Systems exempted from certain provisions of the act:

None

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System name:

305.10 Joint Uniform Military Pay System-Reserve Components-Army

System location:

Primary System- United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249.

Decentralized Segments: There are 57 Input Stations across the continental United States, Alaska, Hawaii, Puerto Rico and the Virgin Islands.

Categories of individuals covered by the system:

All members of the United States Army National Guard and United States Army Reserve who are drawing inactive duty training (IDT) pay.

Categories of records in the system:

File contains individual military pay records, substantiating documents, transmittal letters, pay records index cards, financial data record folders, miscellaneous military pay vouchers, personal financial history records.

Authority for maintenance of the system:

Title 37 U.S.C., Section 101 and following (Pay and Allowances of the Uniformed Services).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAFAC- To maintain a record of the member's drill attendance, his entitlements and deductions in order to compute and disburse his pay while keeping a record of taxes and disbursements other than those to the member.

Treasury Department: To record check issue data, taxable earnings and taxes witheld.

Individual States of the United States- To furnish wages earned for the calendar year. These data furnished to the state of home record.

Army National Guard Bureau: To furnish budget data to account for every expenditure within categories established.

Individual National Guard States Associations-Furnish a report and an associated check regarding state sponsored life insurance premiums witheld.

American Red Cross: To assist military personnel and their dependents in determining the status of monthly pay, dependents allotments, loans, and related financial transactions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and in bulk storage, file cards, computer magnetic tape, computer paper printouts, microfiche.

Retrievability:

Filed by social security number, name of the member and document number. Conventional indexing is used.

Safeguards:

USAFAC- Buildings employ security guards. Records are maintained in area accessible only to authorized personnel that are properly screened, cleared and trained. Computer files are maintained in vaults when off line. An employee badge and visitor registration requirement is in effect.

Field activities maintain records in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Individual military pay records: Records are converted to microfiche and retained 56 years from that point. Destruction is by shredding.

Other records: Retention periods vary according to category of record but do not exceed 56 years. Disposition is to Federal Records Centers and destruction thereafter is by burning or salvage as waste paper.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249.

United States Property and Fiscal Officer, United States Army National Guard of each state of the United States plus Washington, DC, Puerto Rico and the Virgin Islands.

Finance and Accounting Officer, Fort Indiantown Gap Pennsylvania; Finance and Accounting Officer, Fort McPherson, Georgia; Finance and Accounting Officer, Fort Riley, Kansas; Finance and Accounting Officer, Presidio of San Francisco, CA. Finance and Accounting Officers herein named are responsible for United States Army Reserve pay accounts only.

Notification procedure:

Information may be obtained from:
Commander, USAFAC
Attention: FINCP
Indianapolis, IN 46249

Individuals may also contact United States Property and Fiscal Officer, Army National Guard, of each state of the United States plus Washington DC., Puerto Rico and the Virgin Islands.

Individuals may also contact the Finance and Accounting Officer, Fort Indiantown Gap, Pennsylvania; Finance and Accounting Officer, Fort McPherson, Georgia; Finance and Accounting Officer, Fort Riley, Kansas; Finance and Accounting Officer, Presidio of San Francisco, CA. Finance and Accounting Officers herein named are responsible for United States Army Reserve pay accounts only.

Individual must provide full name, social security number and military status.

Record access procedures:

Requests from individuals should be addressed to: Commander, USAFAC, Attention: FINCP, Indianapolis, IN 46249.

Information may be obtained by telephone: Area Code 317/542-2891.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The source of all data to establish and maintain JUMPS-RC-Army originates from unit level. That is, all units of the United States Army National Guard and all units of the United States Army Reserve which perform inactive duty training and whose members receive drill pay as a result of this training, furnish the data to support the system.

Systems exempted from certain provisions of the act:

None

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System name:

305.10 Joint Uniform Military Pay System-Army-Retired Pay

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

Retired Army members, Beneficiaries of Deceased Retired Army Members.

Categories of records in the system:

File contains individual retired military pay records, correspondence with individuals concerning their retired pay accounts, all documents substantiating entitlement to retired pay.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1401.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

U.S. Army Finance and Accounting Center: to establish and compute pay account of retirees and their beneficiaries; to produce permanent record of transactions; to prepare financial, budgetary, and actuarial reports; to report Federal witholding tax information to Internal Revenue Service; to report check issue and bond sales information to Department of Treasury.

U.S. Military Personnel Center: to maintain current addresses of retirees, for distribution of the Retired Army Bulletin.

Treasury Department: to record check and bond issue data.

Veterans Administration: to record the collection of premiums for National Service Life Insurance.

States and Cities-to verify tax liability against retiree's state and city income tax returns.

Used for extraction or compilation of statistical data and reports for management studies and statistical analyses for use internally or externally as required by Department of Defense or by other Government agencies.

American Red Cross-To assist military personnel and their dependents in determining the status of monthly pay, dependents allotments, loans, and related financial transactions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, computer magnetic tape files, and microfiche.

Retrievability:

Filed by social security number and alphabetically by name. Conventional indexing is used to retrieve data.

Safeguards:

Building employs security guards. An employee badge and visitor registration system is utilized. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained. Access to computer magnetic tape files is restricted to Director, Retired Pay Operations. Computer equipment and files are located in separate secured area.

Retention and disposal:

Individual retired military pay records are converted to microfiche which are retained for 56 years. Destruction is by shredding.

Other records: Retention periods vary according to category of record, but total retention periods do not exceed 6 years after termination of the account. (Account is terminated by either the death of the retiree, or if the retiree has designated annuitants under Retired Servicemen's Family Protection Plan or the Survivor Benefit Plan, the subsequent death or ineligibility of the annuitant.) Records are destroyed at the end of the 6 year retention period.

System manager(s) and address:

Commander, USAFAC, Indianspolis, IN 46249

Notification procedure:

Information may be obtained from:
Commander, USAFAC
Attention: Department 90
Indianapolis, IN 46249
Telephone: Area Code 317/542-3911

Record access procedures:

Requests from individuals should be addressed to: Commander, USAFAC, Attention: Department 90, Indianapolis, IN 46249

Written requests should contain the full name and social security number of the retiree, and be signed by the retiree or the annuitant. Visits are limited to USAFAC Inquiries Office, Room 122G, Building 1, Indianapolis, IN 46249.

For personal visits, the individual should provide some acceptable identification, such as driver's license or employing office's identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The source of the data to establish the retiree's pay account originates from other Department of Defense agencies, the Veteran's Administration, Social Security Administration, Department of Treasury, Financial Institutions and Insurance Companies.

Systems exempted from certain provisions of the act:

None

A0305.10dDACA

System name:

305.10 Health Program Pay and Reimbursement System

System location:

Primary System-United States Army Finance and Accounting Office (F&AO), Fitzsimons Army Medical Center (FAMC), Denver, CO 80240. Decentralized Segments: Input Station, Office of the Surgeon General, Headquarters, Department of the Army (DASG), Washington, D.C.

Categories of individuals covered by the system:

All members of the US Army Reserve who are enrolled in the Army-Health Professions Scholarship Program.

Categories of records in the system:

File contains individual military pay records, cost data worksheets, miscellaneous active duty military pay vouchers, personal financial history records, monthly payroll listings of present members showing entitlements and deductions, bank identification data for deposit of pay, Social Security records, permanent home address, current mailing address, telephone number, name of college student is attending, address of college, telephone number of college and course of study that student is pursuing.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 104 and following; Public Law 92-426.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Finance and Accounting Office, Fitzsimons Army Medical Center-to establish the pay account of a student in the Health Professions Scholarship Program and to establish his/her entitlements and deductions in order to compute and disburse his/her pay and reimbursable expenses while keeping a record of taxes and disbursements to other than the member. Treasury Department: to record check issue data, taxable earnings and taxes withheld. Individual states and cities of the United States: to verify tax liability against members' state and city income tax returns. Social Security Administration: to record earned wages by member under the Federal Insurance Contributions Act (FICA). Comptroller, FAMC and DASG, Washington, D. C.: to prepare automated statistical reports and personnel information rosters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files, computer magnetic tapes, computer paper printout, microfilm and ledger cards.

Retrievability:

Filed by social security number, alphabetically by name. Conventional indexing is used to retrieve data.

Safeguards:

F&AO, FAMC records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained. F&AO, FAMC secured nightly, weekends and holidays and patrolled by Military Police who make periodic security checks. Computer access is restricted to Management Information Systems Office employees only.

Retention and disposal:

Individual Pay Record Files: Permanent. Retained at F&AO, FAMC while member is enrolled in the Health Professions Scholarship Program and then transferred to microfilm. Paper record destroyed: microfilm retained 5 years and then destroyed.

System manager(s) and address:

Finance and Accounting Officer, Comptroller Division, Fitzsimons Army Medical Center, Denver, CO 80240.

Notification procedure:

Information may be obtained from
Finance and Accounting Officer (HSF-CF)
Comptroller Division
Fitzsimmons Army Medical Center
Denver, CO 80240

Record access procedures:

Requests from individuals should be addressed to: Commander, FAMC, ATTN: Finance and Accounting Officer, Denver, CO 80240.

Written requests should contain the full name and social security number of the member and be signed by the member. For personal visits, the individual must provide some acceptable identification, such as a valid driver's license, employing office's identification card, and give some verbal information which could be verified with his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Finance and Accounting Officer (HSF-CF), Fitzsimons Army Medical Center, Denver, CO 80240. Telephone AUTOVON 943-8832 or 943-8135; Area Code (303) 341-8832 or 341-8135.

Record source categories:

The source of the data to establish the member's pay account originates from Department of the Army, Office of the Surgeon General, Washington, D.C.

Other data is obtained from individually prepared forms and authorization documents prepared after admission to the HPSP.

Salary tables and tax rates are obtained from executive orders and Internal Revenue Service.

Systems exempted from certain provisions of the act:

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None

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System name:

305.11a USMA Cadet Pay and Accounts System

System location:

Finance and Accounting Office, United States Military Academy, West Point, New York 10996

Treasurer, United States Military Academy (USMA), West Point, New York 10996

Adjutant General (AG) Data Processing Branch, Adjutant General Division, United States Military Academy, West Point, New York 10996

Categories of individuals covered by the system:

Members of the United States Corps of Cadets

Categories of records in the system:

Monthly payroll listings of present members of the Corps showing entitlements and deductions (both required and voluntary).

Bank identification data for deposit of pay.

Individual account activity pertaining to funds held in trust by the Treasurer, United States Military Academy.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 205, 4340 and 4350.

Executive Orders which establish salary tables.

Title 6, General Accounting Office (GAO) Policy and Procedures Manual for Guidance of Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A payroll system for computing pay entitlements and deductions for Federal Tax; Social Security; Servicemen's Group Life Insurance, Combined Federal Campaign; Barber, Laundry & Dry Cleaning charges; Advanced Pay and funds deposited with Treasurer, United States Military Academy for holding in trust to pay for required uniforms, books, and equipment.

Internal Revenue Service (IRS): tax and social security reports.

States and Cities: to provide taxable earnings information of cadets to those states and cities who have entered into an agreement with Department of the Army and Treasury Department.

Individual Cadet Statement supplied monthly to each cadet.

United States Army Military Personnel Center furnished magnetic tape for use in verifying social security account numbers with Social Security Administration.

Commandant of Cadets, United States Military Academy: furnished copy of payroll listing for reference purposes to respond to individual cadet inquiries.

Financial institutions: furnished listings of their depositors and amounts to be credited to individual depositor accounts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape
Paper records in file folders
Computer paper printouts

Retrievability:

Files by cadet number (alphabetical within graduating class year)
Hard copy records are maintained in the Finance and Accounting Office.

Safeguards: The Finance and Accounting Office and Treasurer's Office are within buildings and the buildings themselves are secured at night and patrolled. Records are accessible to authorized employees (payroll clerks and supervisors of the Finance and Accounting Office and accounting clerks and supervisors within the Office of the Treasurer). Requests for data, except those which are based on law or court order, are answered only with the written consent of the individual cadet.

Computer access is restricted to authorized computer activity personnel. There is no remote terminal access capability. All master data files and back-up files are stored in secure facilities.

Retention and disposal:

Original payrolls are submitted monthly to the US General Accounting Office Field Office located and alternately stored at US Army Finance and Accounting Center, Indianapolis, IN 46249.

Duplicate payrolls are retained locally for 3 years and then destroyed by recycling.

Data processing input cards are retained 1 month and then salvaged.

Transaction tapes are retained 1 month then erased.

Master tape and pay check tape files are retained 3 months, then erased.

Quarterly tax report tapes - original is sent to Social Security Administration (SSA) and a back-up is retained by the computer facility. On return both the original and back-up are retained until original tape for annual report is returned, then all quarterly report tapes are erased.

Annual tax report tapes: original is sent to SSA and a back-up is retained. On return of the original, both tapes are retained for 1 year then erased.

System manager(s) and address:

Cadet Pay - Finance and Accounting Officer (MACO-F), Office of the Deputy Chief of Staff Comptroller, United States Military Academy, West Point, New York 10996

Cadet Accounts: Treasurer (MATR), United States Military Academy, West Point, New York 10996

Notification procedure:

Requests from individuals should be addressed to Finance and Accounting Office (MACO-F), United States Military Academy, West Point, New York 10996. Telephone Area Code 914, 938-2607 or 938-2104.

Record access procedures:

Request for information in current files which are retained for 3 years should be addressed to Finance and Accounting Office (MACO-F), United States Military Academy, West Point, New York 10996. Telephone Area Code 914, 938-2607 or 938-2104.

Written requests for information should contain the cadet's graduating class year, full name, Social Security Number, current address, telephone number and be signed by the requester. If request is from other than the cadet/former cadet, a notarized authorization from the cadet involved must be furnished.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information which could be verified with his payroll.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Finance and Accounting Office (MACO-F), United States Military Academy, West Point, New York 10996. Telephone Area Code 914, 938-2607 or 938-2104

Record source categories:

Director of Admissions and Registrar, United States Military Academy furnishes basic identification data on all new cadets annually which is obtained from individual application for admission to the Academy and related forms.

Other data are obtained from individually prepared forms and authorization documents prepared after admission.

Salary tables and tax rates are obtained from executive orders and IRS.

Systems exempted from certain provisions of the act:

None

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System name:

306.01 Civilian Employee Pay System

System location:

Army Finance and Accounting Offices (FAO) worldwide and United States Property and Fiscal Offices in the United States, Puerto Rico, the Virgin Islands, and the District of Columbia, having civilian payroll responsibilities.

Categories of individuals covered by the system:

Civilians and contract teachers employed by Department of the Army (DA), Office, Secretary of Defense, and specified elements of the Navy and Air Force.

Categories of records in the system:

Employees' pay, leave, and retirement records; individual withholding/ deduction authorization for dependents, allotments, health benefits, savings bonds, etc.; tax exemption certificates; personal exception and indebtedness papers; subsistence and quarters records, statements of charges, claims, repatriated payment files; roster of authorized timekeepers and signature cards; payroll and retirement control and working paper files; unemployment compensation data requests; reports of retirement fund deductions to Office of Personnel Management (OPM); management narrative and statistical reports relating to pay, leave, and retirement.

Authority for maintenance of the system:

Title 6, General Accounting Office Policy and Procedures Manual for Guidance of Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

FAO/United States Property and Fiscal Offices: To provide basis for computing civilian pay entitlements; to record history of pay transactions; to record leave accrued and taken, bonds due and issued, taxes paid; to answer inquiries and process claims.

Treasury Department: To record checks and bonds issued.

Social Security Administration (SSA): To report earned wages by employee under the Federal Insurance Contributions Act.

Internal Revenue Service: To record taxable earnings and taxes withheld.

OPM: To record monies paid into Federal Retirement Fund and to provide information pertaining to health benefits.

States and cities: To provide taxable earnings of civilian employees to those states and cities which have entered into an agreement with DA and Treasury Department.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and in bulk storage, card files, computer magnetic tapes, disks and printouts, and microfilm.

Retrievability:

In automated media: By social security number (SSN) within payroll block. In manual form: By last name within payroll block.

Safeguards:

Records are restricted to personnel who are properly cleared and trained, and have an official need therefor. In addition, integrity of automated data is ensured by internal audit procedures, data base access accounting reports, and controls to preclude unauthorized disclosure.

Retention and disposal:

Individual pay record files: Permanent. Forward to National Personnel Records Center (NPRC) after 3 years.

Individual retirement records file: Permanent. Retain at installation while member is actively employed. Forward to new installation when member is transferred to another DA activity. Forward to OPM when employee transfers to another installation under the Department of Defense (DOD) NOT serviced by Army or separates from Federal Service. Forward microfilm of manually maintained individual retirement records to NPRC after 3 years.

Personnel exception and indebtedness files: Permanent. Filed in official personnel folder (OPF). Upon separation or transfer, if OPF is not on file locally, files are forwarded to NPRC, General Services Administration, St. Louis, MO 63118.

Repatriated personnel payment files: Permanent. Forward to NPRC after 3 years.

Subsistence and quarters rate deviation files: Permanent. Retire on discontinuance of the installation.

Other records: Retention periods vary according to category of record. The minimum retention period is 2 years and the maximum period 12 years, after which records are destroyed.

System manager(s) and address:

Comptroller of the Army, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310; National Guard Bureau, Army Comptroller Division, Management Services and Systems Branch, 5600 Columbia Pike, Falls Church, VA 22041; and Finance and Accounting Officer, United States Army Finance and Accounting Offices, worldwide.

Notification procedure:

Information may be obtained from: Comptroller of the Army, Headquarters, Department of the Army (DACA-FAF-C), Washington, DC 20310.

Finance and Accounting Officers at United States Army Finance and Accounting Offices, worldwide.

Information pertaining to National Guard technicians may be obtained from: National Guard Bureau, Army Comptroller Division (NGB-ARC-M), Room 9-112, Columbia Bldg., 5600 Columbia Pike, Falls Church, VA 22041. Telephone: Area Code 202/756-2457.

United States Property and Fiscal Officers (NGB) of the United States, Puerto Rico, Virgin Islands, and the District of Columbia.

Record access procedures:

Requests from individuals should be addressed to: Comptroller of the Army (DACA-FAF-C). Records are located at the United States Army Finance and Accounting Center, Indianapolis, IN 46249; appropriate Finance and Accounting Offices, worldwide; National Guard Bureau, Army Comptroller Division (NGB-ARC-M), Room 9-112, Columbia Bldg., 5600 Columbia Pike, Falls Church, VA 22041; or United States Property and Fiscal Officers (NGB) of the United States, Puerto Rico, the Virgin Islands, or the District of Columbia.

Written requests for information should contain the full name, SSN, and current address.

Information may be obtained by telephone: Army: 202/697-5105; National Guard Bureau: 202/756-2457.

Contesting record procedures:

The Army's rules for access to records and for contesting content and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

DOD Staff agencies and field installations, former employers, SSA, financial organizations, Treasury Department, and automated systems interfaced.

Systems exempted from certain provisions of the act:

None.

A0306.02aDACA

System name:

306.02 Nonappropriated Fund Employee Pay System

System location:

Decentralized Segments at 299 installations/activities world-wide, having approximately 1632 Nonappropriated Fund (NAF) entities, maintained by Central Accounting Offices (CAO) or by independent installation systems.

Categories of individuals covered by the system:

All civilian employees of the Department of the Army who are paid from Nonappropriated funds (NAF) and who are under the exclusive control of the Secretary of the Army or his designees, but not paid from appropriated funds or not otherwise excluded.

Authorized, voluntary off-duty enlisted or officer personnel.

Categories of records in the system:

Individual records of appointment or assignment. Officially authenticated time and attendance records, supported by substantiating documents. Individual leave records files, payroll control files, individual withholding authorization files, withholding tax exemption certificate files, withholding tax files, savings bond schedule files, other deduction type files, payroll journal and check register, earnings statement, earnings records, tips received, pay check stubs or envelopes, subsistence and quarters files, unemployment compensation data request files, health, hospitalization and life insurance files.

Income tax withheld, employer and employee Federal Insurance Contributions Act (FICA) files, Federal Unemployment Insurance Tax files, Employer Quarterly Federal Tax Return, state tax files, city tax files, Fair Labor Standards Act files and total employer liability for accrued leave at separation.

Authority for maintenance of the system:

Title 5 U.S.C., Section 2105; Title 5 U.S.C., Section 5531, 5533, Public Law 92-392, Fair Labor Standard Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by Central Accounting Offices (CAO) and Payroll Office to calculate the net pay due each employee, to provide a history of pay transactions, entitlements and deductions, to maintain a record of leave accrued and taken, to keep a schedule of bonds due and issued, to keep a record of taxes paid, to provide answers to inquiries or claims pertaining to payroll data, to provide necessary data to the Treasury Department, the Social Security Administration, Internal Revenue Service, to provide information to states and cities which have an agreement with the Department of the Army to receive taxable earnings information. To provide reports required by law such as Income Tax withheld, Employer and Employee Social Security taxes, Federal Unemployment Insurance taxes, Employer Quarterly Federal Tax Returns (Forms 941), Federal Unemployment Insurance Tax. To provide information pertaining to health benefits and Fair Labor Standards (FLSA) data.

To provide salary and wage statistics to include; number of employees, average hours worked, average hourly earnings, straight time hourly earnings, average earnings per pay period, straight time earning per pay period, and average annual earnings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and in bulk storage, card files, magnetic tapes and disks, computer hardcopy printouts.

Retrievability:

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Filed by last name and social security number within each Nonappropriated fund activity (NAF) payroll (Alpha-Numeric).

Safeguards:

Files are located in areas accessible only to authorized personnel.

Retention and disposal:

Individual pay record files are permanent. Forward to National Personnel Records Center after 3 years. Retain at installation while member is actively employed. Forward to new installation when member is transferred NAF position. Upon separation or termination of employment files are placed in an inactive status and retained 18 months after close of pay year.

Leave records are retained 10 years and then destroyed.

Individual insurance and retirement records are destroyed 6 years after termination of involvement with nonappropriated fund activity.

Other management and accounting information reports are retained from 1 to 3 years before destruction.

System manager(s) and address:

Custodians of nonappropriated fund activities at various installations worldwide. Official mailing addresses are listed in the Department of Defense Directory in the Appendix.

Notification procedure:

Information may be obtained from:

Commander United States Army Finance and Accounting Center
Attention: FINCD
Indianapolis, Indiana 46249.

Individual may obtain information from the appropriate SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER at activities located at commands and installations world-wide.

Contesting record procedures:

The Army's rules for access to records and for contesting the contents and appealing initial determinations are contained in AR 340-21.

Initial determination from SYSMANAGER.

Record source categories:

Information is received from DOD staff agencies and field installations, former employers, Social Security Administration, US Treasuty Department, Nonappropriated Fund benefit plans and servicing Civilian Personnel Offices.

Time and attendance data are received from the employing office records.

Systems exempted from certain provisions of the act:

None

A0309.05aDAAG

System name:

309.05a Resource Management and Cost Accounting Files

System location:

Headquarters, Department of the Army, Staff and field operating agencies, commands, installation and activities. Official mailing addresses are in the organizational directory in the appendix to these system notices.

Categories of individuals covered by the system:

Military personnel assigned or attached to the organization and civilian employees of the organization.

Categories of records in the system:

System consists of a record by individual of manhours applied to the accomplishment of assigned tasks or projects. Specific data elements include name, social security number/employee identification number, organizational element, military rank or civilian grade, job title, regular and overtime wage rates, regular and overtime hours worked, hours of leave taken, record of official travel, project code, cost accounting code, workload units accomplished, and related information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by management to project manpower and monetary requirements; to allocate available resources to specific projects; to schedule workload and assess progress; to evaluate individual performance and equipment efficiency; to provide a record of personnel and equipment utilization; to monitor use of overtime; to control and monitor obligation and expenditure of Government funds and provide audit trail; and to generate statistical reports of workload levels and trends within the organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primarily magnetic tape, cards, or disk. Manual records are in the form of microforms, computer printouts, paper records in file folders and binders, and source cards.

Retrievability:

By name, social security number, or employee identification number. Information may also be accessed through use of a nonpersonal data element such as project code, cost accounting code, or organizational element.

Safeguards:

Automated systems employ computer hardware/software safeguard features. Records are maintained in controlled access areas and in buildings/rooms which are secured during nonduty hours. Some organizations employ military or civilian security guards.

Retention and disposal:

Magnetic media are erased after 1 year. Manual records are destroyed after 1 year by pulping, tearing, or shredding.

System manager(s) and address:

Heads of DA Staff and field operating agencies and commanders of installations/activities which maintain a resource management of cost accounting system. Official mailing addresses are in the organizational directory in the appendix to these system notices.

Notification procedure:

Individuals should contact the agency head/installation commander of the Department of the Army organization to which they are assigned or attached (if military) or at which they are employed (if civilian).

Record access procedures:

Individuals should contact the agency head/installation commander of the Department of the Army organization to which they are assigned or attached (if military) or at which they are employed (if civilian).

Contesting record procedures:

The Army's rules for contesting contents or records and appealing initial determinations may be obtained from the system manager.

Record source categories:

Employee time cards; organization manpower rosters; individual personnel records; production records; travel orders; and similar media.

Systems exempted from certain provisions of the act:

None

A0314.08aDAAG

System name:

314.08 Check Cashing Privilege Files

System location:

Files are located at all installations/activities with facilities to cash checks.

Categories of individuals covered by the system:

Persons whose checks, written at these facilities, have been dishonored and/or whose check cashing privileges have been suspended or revoked.

Categories of records in the system:

Documents related to advancing, revoking, or suspending, restoring and general supervision of check cashing privileges. Included are letters to individuals about bad checks, warnings that a recurrence in issuing a bad check may result in withdrawing check cashing privileges, notices from banks that the bank was in error, notices to activities that check cashing privileges have been suspended or restored for certain individuals, returned checks, lists of persons whose privileges have been suspended or withdrawn, and related papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To decide which individuals shall be denied check cashing privileges at installation check cashing facilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual card file, paper records in file folders, and computer tape.

Retrievability:

Information is filed both alphabetically under names of individuals or by social security number.

Safeguards:

Files are located in areas accessible only to authorized persons.

Retention and disposal:

Files are permanent for those persons whose dishonored checks have not been redeemed. For those who have made restitution, files are kept 1 year or until privileges have been restored, or until the individual obligation has been satisfied.

System manager(s) and address:

Installation commander.

Notification procedure:

Information may be obtained from the installation. commander.

Record access procedures:

Requests from individuals should be addressed to the installation commander.

Written requests should list social security number.

Contesting record procedures:

Rules and procedures for contesting file contents and appealing initial determinations may be obtained by writing to the appropriate installation commander.

Record source categories:

The dishonored check.

Systems exempted from certain provisions of the act:

None

A0314.09aDACA

System name:

314.09 Nonappropriated Fund Accounts Receivable System (NAFARS)

System location:

Nonappropriated Fund activities decentralized at various Army installations and activities world-wide. Official mailing addresses are listed in the Department of Defense Directory in the appendix to the Department of Army System Notices.

Categories of individuals covered by the system:

All current members of Officer club facilities and past members who have other than zero balance in their accounts.

Noncommissioned Officer Club facilities whose members accounts show balances other than zero.

All personnel using Post billeting facilities on a fee-paid-basis (Bachelor Officer Quarters, Visitor Officer Quarters and Guesthouse facilities) and personnel no longer using such facilities whose accounts have other than zero balances.

Any individual, military or civilian, having a statement of account for the billing period.

All military and other personnel occupying government housing at any military installation world-wide.

Individual class B telephone subscribers.

Members, customers or civilians having 30-day credit terms for 'charge' sales and/or dues obligations to NAF activities.

All personnel whose accounts have been charged with dollar accounts of checks that have been dishonored by banking institutions and returned to NAF activities.

Individuals who have cash loans charged to their accounts.

Categories of records in the system:

Dues/Charge Sales

Files contain records of individual names, social security number, rank, amount of charges, and billings of items or services furnished.

Billeting, Quarters and Utilities

Records include individual files showing establishment of quarters and utility accounts containing all charges, collections and balances on a current basis.

Files of subscriber's requests for installation or removal of telephones.

Cross references between name and telephone numbers.

Individual records describing services provided.

Retained copies of billing showing current and cumulative charges.

Subsidiary ledgers containing detail of services billed and paid by individual receiving services or items.

Customer account listings.

Alpha and numeric lists of delinquent accounts.

Invoice listings.

Toll listings, unmatched toll lists, error lists and billing lists.

Work order forms.

Master list of account showing name, social security number, phone number, unit and home address.

Cash summary lists, cumulative unpaid transaction (unpaid totals by telephone, taxes, rent and utilities).

Master transaction files showing total by type of charge.

Monthly lists compiled by building and/or room number, name and rank of occupant.

Monthly receipt vouchers, date of payment with payment method (cash/check).

File of billings associated with returned dishonored checks.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; Title 5 U.S.C., Section 5101, Section 401 PL 216, Section 113 PL 784; Title 10 U.S.C., Section 2481, Title 31 U.S.C., Section 66.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Central Accounting Officers, custodians and independent accounting service facilities maintain current rosters as subsidiary records for accounts receivable and cash accountability control.

Provide monthly statements to be mailed to customers.

Provide ledger balances for activity financial statements.

To answer inquiries of members on account status and specific transactions, researching errors and nonagreement in general ledger and subsidiary ledger account balances.

Prepare aged listing of accounts receivable, 30, 60 and 90 days.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer hardcopy printouts filed in binders, copies of statements filed in folders identified by customer name and social security number.

Account master files on tape (disks) showing current and cumulative balance data.

Retrievability:

Magnetic tapes and/or disks by account in numerical and alphabetical order.

Safeguards:

Records are maintained in lock-type cabinets within storage areas accessible only to authorized personnel.

Retention and disposal:

Hardcopy records destroyed after 3 years provided audit has been performed and no exceptions or irregularities have been disclosed.

Magnetic tapes and disk files same as other hardcopy.

Punched cards destroyed upon conversion to tape or disk files.

System manager(s) and address:

Custodian of nonappropriated fund activities at various installations world-wide.

Official mailing addresses are listed in the appendix to the Department of Army System Notices.

Notification procedure:

Obtain all information from appropriate SYSMANAGER.

Record access procedures:

Written requests for information must consist of full name, social security number and account number.

Contesting record procedures:

The rules for access to records and for contesting and appeals (AR 340-21) may be obtained from the SYSMANAGER.

Record source categories:

Daily transaction registers/journals received from billeting officer, signal officer, and/or club officers.

Systems exempted from certain provisions of the act:

None

A0314.17aDAAG

System name:

314.17 Individual Transaction Files (Customer Orders)

System location:

Files are located at Special Order Fund, US Support Activity - Iran, Box 2200, APO NY 09205

Categories of individuals covered by the system:

Personnel who have placed an order with Special Order Fund to be ordered by Special Order Fund specifically for the individual, not for sale from Special Order Fund inventory.

Categories of records in the system:

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Beside the order blank itself, also included, may be any correspondence to the vendor on the customer and related internal forms such as Receiving Report and Purchase Order.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information on the documents are used to identify and contact an individual when merchandise ordered arrives or a problem arises. Documents are used to confirm orders delivered or outstanding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinet(s) in office area.

Retrievability:

Files are maintained in alphabetical order by customer's last name.

Safeguards:

Non-Fund employees are not permitted in the files area and building (Special Order Fund only) is locked with strict key/ combination control.

Retention and disposal:

Documents relating the completed transactions for more than 2500: destroyed after 6 years. Documents related to completed transactions for 2500 or less: destroyed after 3 years.

System manager(s) and address:

Custodian, Special Order Fund.

Notification procedure:

Requests from individuals should be addressed to Custodian, Special Order Fund, US Support Activity - Iran, Box 2200, APO NY 09205. Identification should include full name and SSN of sponsor (Federal employee).

Record access procedures:

SYSMANAGER as above

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Individual placing order and vendor catalogues and price lists.

Systems exempted from certain provisions of the act:

None

A0314.24DAAG

System name:

314.24 Nonappropriated Fund Employee Insurance Files

System location:

Insurance Branch, Nonappropriated Funds Directorate, The Adjutant General Center (Department of Army Adjutant General)

Categories of individuals covered by the system:

All US Army Nonappropriated Fund (NAF) employees who participate in the USA NAF Group Insurance and Retirement Plan.

Categories of records in the system:

File contains monthly and cumulative deductions for each NAF employee.

Authority for maintenance of the system:

PL 591 93d Congress; Title 26 U.S.C., Section 401a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The data are collected to substantiate initial enrollment and subsequent enrollment changes in the system. Information is used to verify monthly deductions and to compute annuities, refunds and death benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a tape library, file folders and microfiche.

Retrievability:

Filed alphabetically by last name within each NAF activity.

Safeguards:

Building employs security guards. Records maintained are accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active file until individual terminates employment, retires or is deceased, held 1 additional year in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, the Pentagon, Washington, D. C.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-NFA-IG)
Room 1I 031
Forrestal Building
Washington, D. C. 20314
Telephone: Area Code 202-693-1280

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAAG-NFA-IG), Room 1I 031, Forrestal Building, Washington, D. C. 20314.

Written requests for information should contain the full name of the individual, social security number and activity number.

Personal visits may be made to Room 1I 031, Forrestal Building, Washington, D. C. 20314. The individual will establish identity by providing two (2) forms of identification, such as driver's license and employing office's identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAAG-NFA-IG), Washington, D. C. 20314.

Record source categories:

All Nonappropriated Fund Personnel Offices.

Systems exempted from certain provisions of the act:

None

A0314.30aDAAG

System name:

314.30 Nonappropriated Fund Instrumentality Membership Files

System location:

Army installations having Membership Association in Nonappropriated Fund Instrumentalities (Clubs) of a social or recreational nature which exist for morale support.

Categories of individuals covered by the system:

Active and retired military personnel and Department of Defense civilians who are registered members of NAFI clubs such as rod and gun, flying, riding, hunting, and fishing, and similar clubs at Army installations. Records contain member's name, grade or military rank, and mailing address; monetary balance either owed to or by the nonappropriated fund, and related information.

Categories of records in the system:

Club membership list and address labels; name, grade/rank of member and mailing address; and Accounts Payable or Receivable ledger cards, and related papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain list of current members and restrict use of club facilities to eligible personnel; to furnish members information regarding club activities; and to record monies owed to and by the NAFI to members. Accounts payable and receivable information listed and summarized at the end of accounting periods and provided to the Fund Custodian for collection or payment, as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; magnetic discs; and cards filed in metal card files.

Retrievability:

Numeric file by membership card number; alphabetically by name; and/or by Fund and Accounts Payable/Receivable.

Safeguards:

All files are housed in buildings secured by lock and entered only by authorized personnel. Magnetic discs are maintained in locked filing cabinets accessible only to authorized personnel.

Retention and disposal:

Disposition of records not authorized at this time.

System manager(s) and address:

Commander of Army installation at which NAFI (clubs) are established.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Written requests should be addressed to the Army installation listed in the Appendix and should contain individual's name and name of appropriate NAFI Club. For personnel visits, the individual must provide acceptable justification such as a valid license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in AR 340-21.

Record source categories:

Registrants' applications; records of the Membership Association NAFI Club.

Systems exempted from certain provisions of the act:

None

A0316.10DAIG

System name:

316.10 Program Management and Review System (PROMARS)

System location:

Audit Plans, Programs and Policy Office, Headquarters, U.S. Army Audit Agency (USAAA), IGAA-HA, NASSIF Building, 5611 Columbia Pike, Falls Church, VA 22041

Categories of individuals covered by the system:

Any USAAA Employee

Categories of records in the system:

File contains individual's direct and indirect monthly time charges; direct auditor time charges are identified by job and Department of Defense (DOD) Audit segment code (Functional Area).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAAA: To control and monitor audit time expenditures by auditable entity, by job and location.

DOD (Comptroller): To monitor audit time expenditures by various DOD Audit Agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Disks, Magnetic Tapes and Computer paper printouts.

Retrievability:

By name of employee and social security number.

Safeguards:

Building employs security guards. Records are maintained by authorized personnel that are properly cleared and trained.

Retention and disposal:

Computer disks and magnetic tapes are retained for 1 year; computer paper printouts are retained for 5 years.

System manager(s) and address:

Director, Audit Plans, Programs and Policy, Headquarters, U.S. Army Audit Agency, Washington, DC 20315

Notification procedure:

Information may be obtained from:
USAAA (IGAA-HA)
Room 437
NASSIF Building
5611 Columbia Pike
Falls Church, VA 22041
Telephone: Area Code 202/756-1883

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license or employing office's identification card.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, U.S. Army Audit Agency, Room 437, NASSIF Building, 5611 Columbia Pike, Falls Church, VA 22041.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Employee time records.

Systems exempted from certain provisions of the act:

None

A0319.04DACA

System name:

319.04 Validation Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

Any Army military member or Department of the Army civilian (DAC) or former military member or DAC suspected of fraud or improper payment.

Categories of records in the system:

File contains reports of investigation, copies of vouchers, copies of orders, copies of notices of exception, copies of military pay orders, copies of certificates of dependency, sworn statements, and correspondence between the Comptroller of the Army, US General Accounting Office, Department of the Army staff agencies, US Army Criminal Investigation Command, and other governmental agencies.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office: To obtain data for determining propriety and validity of Army financial transactions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed after 3 years.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed to: Chief, Field Services Office, US Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of the individual, social security number and current address. Visits are limited to Field Service Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Service Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

Record source categories:

Federal Bureau of Investigation, Criminal Investigation Detachments, finance officers, Provost Marshal and individuals.

Systems exempted from certain provisions of the act:

None

A0319.06DACA

System name:

319.06 Household Goods Shipment Excess Cost Collection File

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249.

Categories of individuals covered by the system:

Army and Air Force members who have shipped excess household goods.

Categories of records in the system:

Records contain Government bills of lading, supporting documents and copy of excess cost billing.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Establish liability and issue notices of amounts due United States for excess household goods shipments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper in file folders.

Retrievability:

Folders are filed alphabetically by last name of service number.

Safeguards:

Buildings employs security guards. An employee badge and visitor registration system is utilized. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed after 6 years.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Commander.
United States Army Finance and Accounting Center
Attention: FINCH
Indianapolis, IN 46249

Individual must provide full name, social security number, and military status.

Record access procedures:

Requests from individuals should be addressed to: Commander, United States Finance and Accounting Center, Attention: FINCH, Indianapolis, IN 46249

Written requests for information should contain the full name, social security number, military status and current address.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information obtained from paid Government Bills of Lading.

Systems exempted from certain provisions of the act:

None

A0319.07DACA

System name:

319.07 Federal Housing Administration (FHA) Mortgage Payment Insurance Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

Any Army military member with over 2 years of active duty service who applies for an FHA loan.

Categories of records in the system:

File contains individual's application, certificate of eligibility, record of payments, notices of termination of eligibility, and correspondence with FHA and other Government offices.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office-To determine the amount of insurance payments, and to control authorized payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of Army member.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed 10 years after final separation of the individual from the Army.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed to Chief, Field Services Office, US Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of the individual, social security number, FHA Number and current address. Visits are limited to Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office (FINCY), U.S. Army Finance and Accounting Center, Indianapolis, IN 46249

Record source categories:

Applicant, FHA, member's commanding officer and other Government offices.

Systems exempted from certain provisions of the act:

None

A0319.10DACA

System name:

319.10 Conversion Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

All active and former members of the Armed Services and civilians who file military payment certificate (MPC) claims.

All active and former members of the Armed Services and civilians of the Department of the Army who file foreign currency claims.

Categories of records in the system:

File contains individual's application for exchange of military payment certificates; letter request for the exchange of MPC and foreign currency; military pay vouchers; substantiating documents such as receipts; and correspondence between Field Services Office and claimant, records custodians, and other Army and Government agencies.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office-To evaluate claim, and if approved, issue Treasury check to claimant.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of claimant.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed 10 years after final action on claim.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed: Chief, Field Services Office, US Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of the individual, social security number, and current address. Visits are limited to Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

Record source categories:

Records custodians, Government agencies, and departmental offices.

Systems exempted from certain provisions of the act:

None

A0319.11DACA

System name:

319.11 Disbursing Office Establishment and Appointment Files

System location:

Primary System: United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

Any Army military member or Department of the Army civilian (DAC) who is appointed a deputy or bond issuing agent.

Any Army military member or DAC, other than a Finance Corps officer, who is appointed an accountable officer or special disbursing agent.

Categories of records in the system:

File contains Department of the Army (DA) Form 1866 (Designation and Appointment of Deputy to Disbursing Officer), USAFAC Form 35-12FL (Certification as Issuing Agent of U.S. Saving Bonds), USAFAC Form 35-13FL (Letter to Federal Reserve Bank on Bond issuing agent) and letter requests for the approval and appointment of other than Finance Corps officers as accountable officers and special disbursing agents.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office: To obtain data in the appointment or termination of deputies and bond issuing agents and the appointment or termination of other than Finance Corps officers as accountable officers and Special disbursing agents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed 10 years after revocation of appointment.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed to: Chief, Field Services Office, U.S. Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of the individual, social security number, and current address. Visits are limited to Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249

Record source categories:

Department of Defense Finance and Accounting Officers

Systems exempted from certain provisions of the act:

None

A0319.13DACA

System name:

319.13 Bankruptcy Processing Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249

Categories of individuals covered by the system:

Any Army military member or Department of the Army civilian (DAC) or former military member DAC for whom bankruptcy notice has been received.

Categories of records in the system:

File contains individual's Court notices; financial statements; certificates for deductions; agreements; military pay vouchers; and correspondence between the Judge Advocate General, United States Attorney, US District Courts, and other Government agencies.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3401.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office: To obtain data for submitting claims of the US Army to the Department of Justice for filing with the bankruptcy court and controlling financial transactions on pay accounts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed 5 years after conclusion of related bankruptcy proceedings.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3127

Record access procedures:

Requests should be addressed to: Chief, Field Services Office, US Army Finance and Accounting Center, Indianapolis, IN 46249

Written requests for information should contain the full name of individual, social security number and current address. Visits are limited to Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office — FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249

Record source categories:

Courts, records custodians, Government agencies, and departmental offices.

Systems exempted from certain provisions of the act:

None

A0319.14DACA

System name:

319.14 Pecuniary Charge Appeal Files

System location:

United States Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46246

Categories of individuals covered by the system:

Any Army military member or civilian employee held pecuniarily liable for charges for which an appeal is filed.

Categories of records in the system:

File contains reports of investigations, copies of vouchers, certificates, statements and correspondence between Department of the Army staff agencies and other Governmental agencies.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field Services Office-To obtain data for determining the propriety of the pecuniary liability ruling.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel of Field Services Office.

Retention and disposal:

Records are destroyed 10 years after close of the case.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249

Notification procedure:

Information may be obtained from:
Chief, Field Services Office
USAFAC
Indianapolis, IN 46249
Telephone: Area Code 317/542-3217

Record access procedures:

Requests should be addressed to: Chief, Field Services Office, US Army Finance and Accounting Center, Indianapolis, IN 46249.

Written requests for information should contain the full name of the individual, social security number, and current address. Visits are limited to Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Chief, Field Services Office (FINCY), US Army Finance and Accounting Center, Indianapolis, IN 46249.

Record source categories:

Information obtained from Major Army Commands.

Systems exempted from certain provisions of the act:

None

A0320.01aDAEN

System name:

320.01 Corps of Engineers Management Information System Files

System location:

US Army Engineer Waterways Experiment Station, P.O. Box 631, Vicksburg, MS; US Army Engineer Division, Missouri River, P.O. Box 103 Downtown Station, Omaha, NE; US Army Engineer District, Norfolk, 803 Front Street, Norfolk, VA; US Army Engineer Division, North Central, 536 S. Clark Street, Chicago, IL; US Army Engineer Division, North Pacific, 220 N.W. 8th Avenue, Portland, OR; US Army Engineer Division, Ohio River 550 Main Street, Cincinnati, OH; US Army Engineer Division, South Atlantic, 30 Pryor Street, S.W., Atlanta, GA; US Army Engineer Division, South Pacific, 630 Sansome Street, San Francisco, CA; US Army Engineer Division, Southwestern, 1200 Main Street, Dallas, TX; US Army Engineer Data Processing Center, P.O. Box 2828, Washington, DC; US Army Engineer Division, Europe, Army Post Office (APO) New York; US Army Engineer Division, Middle East, APO New York.

Categories of individuals covered by the system:

US Army Corps of Engineers civilian and military employees at locations covered by the system regardless of whether they are employed in the continental United States or overseas; whether employed on a part time, full time or intermittent basis; and regardless of pay plan.

Categories of records in the system:

Files contain employee's travel advance records identified by social security number (SSN). For computation of employee's labor cost, the Finance and Accounting (F&A) Subsystem retrieves 8 of the 62 personal data elements per employee from the Personnel Subsystem files of the Corps of Engineers as follows: name, SSN, pay rates, employing office, organizational breakdown, Fair Labor Standards Act coverage, cost codes and funds (functional designator).

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The employee data elements are retrieved from the Personnel Subsystem of the Corps by employee SSN. These data elements are used to compute and extend the employee labor costs which are charged to the job worked on by the employee identified by cost code and reflected as obligations and expenditures. The computer printouts produced by the common system F&A programs will list the employee labor costs by SSN or name and are used for control and checking costs recorded in accounting records. The accounting records of the F&A Subsystem will identify the employee labor by cost code and/or organization code. Travel advances are recorded and liquidated in the system using the employee SSN. The Corps of Engineers F&A field offices are provided computer printouts which are used to manage and control financial expenditures that will be recorded and updated in the applicable appropriation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and computer paper printouts.

Retrievability:

By SSN.

Safeguards:

Computers are housed behind locked doors.

Rooms are accessible only to authorized persons possessing a special badge or password.

Unauthorized access to the employee file is precluded through a system of passwords.

The official printouts are used by supervisors, managers, and members of the comptroller's office in carrying out F&A responsibilities.

Retention and disposal:

Corps of Engineers Management Information System Finance and Accounting (COEMIS F&A) files for site audits consist of cost forms as input documents and voucher output listing of employee labor and travel costs. These files are destroyed after 6 years and 3 months. Punch cards that process these data into the computer are destroyed upon completion of General Accounting Office audit.

COEMIS F&A internal or external output files containing this data are destroyed after 30 years.

COEMIS F&A utility files consisting of output reports for maintaining and controlling the F&A Subsystem transactions are destroyed after 5 years.

COEMIS F&A magnetic tape data base files that contain the net result of all transactions processed by the update programs are retained for 30 years.

F&A audit trail tape files contain each valid transaction processed by the update program. These files are retained for 6 years and 3 months.

System manager(s) and address:

Chief, Office of the Engineer Comptroller, Office of the Chief of Engineers, Washington, DC 20314.

Notification procedure:

Information may be obtained from the servicing comptroller office.

Record access procedures:

Requests from individuals should be addressed to the servicing comptroller office. Written requests should contain, as a minimum, the individual employee's name and SSN.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

The Official Personnel Folder (201 File) maintained by the employing Civilian Personnel Office.

Systems exempted from certain provisions of the act:

None

A0401.02bDAAG

System name:

401.02 Mailing List for Army Newspapers/Periodicals

System location:

HQDA Staff and Field Operating Agencies, Major Commands, field installations and activities, Army Service Schools/Colleges, Army National Guard Bureau Headquarters and field activities. Official addresses are in the Department of Defense Directory appearing in the Annual Compilation of System Notices.

Categories of individuals covered by the system:

File contains name and current mailing address of recipients of Army and/or National Guard magazines, newspapers, professional and trade publications, journals, digests, and newsletters. Recipients may be current or former Army and/or National Guard personnel, staff and faculty or graduate/resident/correspondence student of Service Schools, military reservists, ROTC cadets, civilian academicians, professional or other personnel who have requested inclusion on mailing lists.

Categories of records in the system:

Mailing lists containing names and addresses of recipients of various periodicals published by the Army and/or the National Guard which have public relations value. Types of periodicals include but are not limited to the following:

a. Journals published by military schools and colleges, medical facilities, and training institutions.

b. Army newspapers or digests containing official or quasi-official but non-directive data of either a technical or administrative nature. Other personal data may be included such as Alumni Association Member number, professional society or trade organization of which a member and related information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; Title 32 U.S.C., Section 110.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. To produce mailing lists for distribution of Army periodicals, newspapers and various journals, digests and newsletters.

b. To perform statistical analyses and surveys of reader interest and opinion.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, magnetic and computer tape, disk, cards, printouts, and addressograph plates.

Retrievability:

By name of individual.

Safeguards:

Records are maintained by authorized personnel who have a need-to-know.

Retention and disposal:

Retained until no longer needed, normally until individual requests deletion from mailing list, after which record is destroyed.

System manager(s) and address:

Heads of DA Staff and Field Operating Agencies, Major Commands, commanders of installations/activities, Army Service Schools/Colleges and National Guard activities that publish periodicals, command newspapers, or other special-interest recurring publications.

Notification procedure:

Information may be obtained from either the Editor of the publication or the Public Affairs Officer of the Army and/or National Guard element publishing the periodical.

Record access procedures:

Requests should be addressed to the Editor or the Public Affairs Officer as in 'Notification procedure'.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual's application for the periodical; records of the Army and/or National Guard organization publishing same.

Systems exempted from certain provisions of the act:

None.

A0401.07aOSA

System name:

401.07 Media Contact Files

System location:

Primary system: Public Information Division, Office of the Chief of Public Affairs, Headquarters, Department of the Army (SAPA-PI), Washington, DC 20310.

Decentralized Segments-New York Branch, Office of the Chief of Public Affairs, United States (US) Army, 663 Fifth Avenue, New York, NY 10022; Los Angeles Branch, Office of the Chief of Public Affairs, US Army, 11000 Wilshire Boulevard-Suite 10104. Los Angeles, CA 90024. Public Affairs Office of major Army commands and their subordinate units; and Office Chief of Engineers Public Affairs Office and all Corps of Engineers field operating public affairs offices.

Categories of individuals covered by the system:

Journalists, authors, editors, columnists, researchers, representatives of the news media, congressmen and other public figures who demonstrate a consistent interest in Army-related subjects.

Categories of records in the system:

Files contain name, business address, telephone number and news media affiliation. May also contain clippings, book reviews, interview reports, query sheets, memoranda and/or correspondence relating to past actions, and biographical outlines.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To contact journalists and writers to provide information or leads relevant to their interests. To advise members of the Army staff who are considering requests to grant interviews of the interests, experience and affiliation of journalists. To orient new members of the public affairs office staff to the writing styles and interests of individuals and categories of individuals within this file system; and to brief public affairs officers in the Department of Defense, in other military services, and in subordinate commands about the interests, experience and categories of individuals within this file system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card index or looseleaf paper directories; paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

V 44 N E 17 7 9 UMI

Buildings employ security guards. Records are maintained in security containers and are accessible only to authorized personnel.

Retention and disposal:

Records are maintained as long as those individuals mentioned are involved with Army public affairs officers. Records are destroyed when no longer needed.

System manager(s) and address:

Office of the Chief of Public Affairs, Headquarters, Department of the Army, The Pentagon, Washington, DC

Notification procedure:

Information may be obtained from:
HQDA (SAPA-PI)
Room 2E 641
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695/5136

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (SAPA-PI), Room 2E 641, The Pentagon, Washington, DC 20310.

Written requests should include a notarized statement of identity.

Personal visits may be made to any of the 3 Army Information Offices (Washington, New York, Los Angeles) where the requester is recognized and/or can provide acceptable identification.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Rosters of Pentagon correspondents prepared by the Office of the Assistant Secretary of Defense (Public Affairs); published directories of media contacts; query sheets and interview reports prepared by public affairs officers; clippings from published sources; and memoranda and correspondence between Army personnel and individuals contained within the file system.

Systems exempted from certain provisions of the act:

None

A0401.07bOSA

System name:

401.07 Medal of Honor Recipient Files (Vietnam Era)

System location:

Primary System: Public Information Division, Office of the Chief of Public Affairs, Headquarters, Department of the Army, (SAPA-PI), Washington, DC 20310.

Decentralized Segments: New York Branch, Office of the Chief of Public Affairs, United States (US) Army, 663 Fifth Avenue, New York, NY 10022; Los Angeles Branch, Office of the Chief of Public Affairs, US Army, 11000 Wilshire Boulevard-Suite 10104, Los Angeles, CA 90024.

Categories of individuals covered by the system:

Active duty, discharged, retired and deceased Army members who received the Medal of Honor during the period of the Vietnam War.

Categories of records in the system:

File contains photograph, statement of service, award citation and copy of the ceremonial program at the time of the award.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to queries from the press and public relating to the individuals within the file, and from the Office of the Assistant Secretary of Defense (Public Affairs), other military services, other Army staff agencies and subordinate commands for information about Medal of Honor recipients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards; files are maintained in security containers and are accessible only to authorized personnel.

Retention and disposal:

Files maintained as long as individual is likely to be a recurring subject of press interest. Eventually, files will be donated to the Congressional Medal of Honor Society, 38 Fallon Circle, Braintree, MA 02184.

System manager(s) and address:

Office of the Chief of Public Affairs, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (SAPA-PI)
Room 2E 641
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-5136

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (SAPA-PI), Room 2E 641, The Pentagon, Washington, DC 20310

Written requests should include a notarized statement of identity.

Personal visits may be made to any three Army Public Affairs Offices (Washington, New York and Los Angeles). Presentation of acceptable identification is required.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Statements of service, awards, citations and photographs from the US Army Military Personnel Center or the National Personnel Records Center; ceremonial programs for the presentation prepared by the US Army Office of the Director of the Army Staff, Protocol Office, Headquarters, Department of the Army.

Systems exempted from certain provisions of the act:

None

A0401.08DAJA

System name:

401.08 Prosecutorial Files

System location:

Decentralized System: Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory.

Categories of individuals covered by the system:

Any individual who is pending trial by court-martial.

Categories of records in the system:

File contains witness statements; pretrial advice; documentary evidence; exhibits; evidence of previous convictions; personnel records; recommendations as to the disposition of the charges; explanation of any unusual features of the case; charge sheet; and criminal investigation reports.

Authority for maintenance of the system:

Executive Order 11476, 19 June 1969.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of cases for prosecution before Court-Martial.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Permanent. Cut off annually, or on completion of the project, event, or other applicable action.

System manager(s) and address:

Staff Judge Advocate of command where case originates.

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

See EXEMPTION

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the Systems Manager.

A0402.01aDAJA

System name:

402.01 General Legal Files

System location:

Office of the Judge Advocate General, Pentagon, Washington, DC 20310; Offices of Staff Judge Advocates, Judge Advocates, and Legal Counsels of subordinate commands, installations, and organizations.

Categories of individuals covered by the system:

Individuals who have been the subject of matters (civil or criminal) referred to the Office of the Judge Advocate General or to legal offices of subordinate commands, installations, and organizations for legal opinion, legal review, or other action. Some examples of matters frequently referred for legal opinion, legal review, or other action are: Elimination and separation proceedings; questions pertaining to entitlement to pay, allowances, or other benefits; flying evaluation boards, line of duty investigations, reports of survey, and other boards of investigating officers; unfavorable information (DASEB) cases, efficiency report (DASRB) appeals; petitions to the Army Board for the Correction of Military Records; matters pertaining to on-post solicitation, revocation of privileges, and bars to entry on military installations; matters pertaining to appointments, promotions, enlistments, and discharges; matters pertaining to prohibited activities and conflicts of interest for Army personnel and employees; Article 138, UCMJ complaints (10 USC 938); private relief legislation; military justice matters including requests for delivery of service members for trial by civilian authorities, appeals from non-judicial punishment imposed under Article 15, UCMJ (10 USC 815), appeals under Article 69, UCMJ 869), Secretarial review of officer dismissal cases, petitions for clemency, requests for pardons, and requests for grants of immunity for civilian witnesses; matters pertaining to civilian employees and employees of nonappropriated fund instrumentalities including employment, pay, allowances, benefits, separations, discipline and adverse actions, grievances, equal opportunity complaints, awards, and claims processed by other agencies; and correspondence addressed to the Office of The Judge Advocate General (or subordinate legal offices), or addressed to the President, members of Congress, Department of Defense, or Department of the Army which is referred to the Office of The Judge Advocate General or other legal office for response.

Categories of records in the system:

Inquiries with substantiating documents, personnel actions, investigations, petitions, complaints, or other matters to be reviewed or acted upon; legal memoranda and legal opinions; and correspondence and responses thereto. Legal opinion files which are not indexed by individual name or personal identifier are frequently commingled with subject files, but are not a part of this system of records.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3037 and 3072.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Justice for grants of immunity and requests for pardons.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by last name.

Safeguards:

Maintained in locked file cabinets and/or in locked offices in buildings employing security guards and/or located on military installations with military police patrols and protection.

Retention and disposal:

Permanent due to legal precedence value at Army staff and headquarters of major commands. In other offices, some types of records not having legal precedence value are retained for lesser periods (as little as two years) and destoyed.

System manager(s) and address:

The Judge Advocate General, Headquarters, Department of the Army (DAJA), Washington, DC 20310. For records maintained in legal offices of subordinate commands, installations, or organizations, the Staff Judge Advocate, Judge Advocate, or Chief Legal Counsel, as appropriate. Official mailing addresses are in the DOD directory in the Appendix.

Notification procedure:

Information may be obtained by writing or visiting the office of the appropriate SYSMANAGER. Written requests for notification should contain the full name, address and telephone number of the requester, and any other personal data which would assist in identifying records pertaining to the requester such as current or former military status, date of birth, SSN or service number, and if applicable, the date, place, and type of incident which the requester believes may have been referred for legal review.

Record access procedures:

Access to records may be obtained in the same manner as notification, except that requests for access in person will require verification of identity by military, civil service or dependent ID card, driver's license, or other reasonable means.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Legal memoranda and opinions are based on records submitted with the inquiry from various Department of the Army staff agencies, commands, installations, and organizations. When responding to correspondence, the files contain information supplied by the individual, and in some cases, facts gathered from various Department of the Army records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title U.S.C., Section 552a (k)(1), (2), (5), (6) or (7), as applicable. For additional information, contact the SYSMANAGER.

A0402.05aDAPE

System name:

402.05 Employment and Financial Interest Statement Files

System location:

Major Command/Department of Army Staff Agencies and installations/activities, the addresses of which are in the Appendix.

Categories of individuals covered by the system:

All civilian officers and employees paid at the level of grades GS-16 to GS-18 and at a level of the executive schedule in subchapter 11 of chapter 53 of Title 5, United States Code.

All general officers.

Commanders and Deputy Commanders of major Army installations. For this purpose, major installations are those authorized a commander in the grade of LTC or higher.

DOD personnel classified at GS-13 or above under Section 5332 of Title 5, United States Code or at a comparable pay level under another authority, or members of the military in the rank of LTC or above whose basic duties and responsibilities require the incumbent to exercise judgment in making a government decision or in taking government action in regard to administering or monitoring grants or subsidies.

DOD personnel classified at GS-13 or above under Section 5332 of Title 5, United States Code or at a comparable pay level under another authority or members of the military in the rank of LTC, or above whose basic duties and responsibilities require the incumbent to exercise judgment in making a government decision or in taking government action in regard to: (1) Contracting or Procurement. For the purpose of this section 'Contracting or Procurement' is defined as executing or approving the award of contracts. (2) Auditing. Auditing private or other non-federal enterprise including the supervision of auditors engaged in audit activities or participating in the development of policies and procedures for the performing of such audits, including the authorizing and monitoring of grants to institutions or other non-federal enterprise. (3) Other activities in which the final decision or action has a significant economic impact on the interests of any non-federal enterprise.

Major commanders and heads of DA Staff Agencies.

Enlisted personnel occupying designated positions of trust and responsibility (para 4-2b(2) of Section 5332, Title 5).

Military personnel designated as contracting personnel for officers, non-commissioned officers or enlisted members open mess.

Categories of records in the system:

Statements of employment and financial interest, supplementary statements, reports of change, review comments, and related papers.

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Authority for maintenance of the system:

Title 10 U.S.C., Section 3012 and Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Review for sufficiency and determine if conflict of interest exists, and assist in resolving conflicts in accordance with Army Regulation 600-50.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by last name of individual.

Safeguards:

Kept in locked cabinet in building under 24 hour surveillance by security police.

Retention and disposal:

Destroyed 6 years after reassignment, retirement, or termination of employment.

System manager(s) and address:

Office of the Deputy Chief of Staff for Personnel, Department of Army, Director of Human Resources Development, Leadership and Motivation Division (DAPE-HRL).

Notification procedure:

Information may be obtained from: Major Command or Head of DA Staff Agency.

Record access procedures:

Requests from individuals should be addressed to: Major Command or Head of DA Staff Agency.

Written requests for information should contain the full name of the individual, social security number, duty assignment, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification; for example: valid driver's license and current identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in AR 340-21 and AR 600-50.

Record source categories:

Information is provided by the individual.

Systems exempted from certain provisions of the act:

None

A0402.06DAJA

System name:

402.06 Legal Assistance Case Files

System location:

Decentralized System: Legal Assistance Office, Office of the Judge Advocate General, Department of the Army, Room 2C467, Pentagon, Washington, DC 20310 and Staff Judge Advocate offices at Army commands, field operating agencies, installations, and activities. Addresses are listed in the Department of Defense (DOD) Organizational Directory.

Categories of individuals covered by the system:

These files pertain to persons having sought legal assistance in their personal and private affairs.

Categories of records in the system:

The files contain correspondence and other personal information germane to the specific individual problem.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to assist Legal Assistance personnel in drafting necessary responses to inquiries. The purpose is to maintain a record of the replies given in response to inquiries received from individuals, so their cases can be properly settled.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of client.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The files are destroyed after 1 year from the closing date of the case, except at the Pentagon where they are destroyed after 6 months from the closing date of the case.

System manager(s) and address:

Chief, Legal Assistance Office, HQDA (DAJA-LA), Washington, D. C. 20310 and the Staff Judge Advocates of organizations listed in the DOD directory.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's licenae number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office or the Legal Assistance Office, Office of The Judge Advocate General, Room 2C467, Pentagon, Washington, D. C. 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The legal assistance case file contains correspondence received from Congressmen who are requesting information in order to reply to their constituents concerning a legal assistance problem and correspondence from other legal assistance offices seeking help or guidance with legal assistance problems which concern a particular individual who has come to them for assistance.

Systems exempted from certain provisions of the act:

None

A0402.07DAJA

System name:

402.07 Legal Assistance Interview Record Files

System location:

Decentralized System - Legal Assistance Office, Office of the Judge Advocate General, Department of the Army, Washington, DC 20310 and Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) Organizational Directory in the Appendix.

Categories of individuals covered by the system:

These files pertain to persons having sought legal assistance in their personal and private affairs.

Categories of records in the system:

Interview Card.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Interview Card contains basic information which is necessary in the preparation of the legal documents, i.e., wills, power of attorneys, etc. The cards are used in the preparation of the annual statistical report which only shows the number and types of actions handled by the Legal Assistance Office during the year. The Interview Card is subject to the attorney-client privilege rule and the information contained thereon will not be given to any source without the prior approval of the client.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of client.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Interview Record File is destroyed after 1 year.

System manager(s) and address:

Decentralized Systemm - Chief, Legal Assistance Office, Office of the Judge Advocate General, Department of the Army, Washington, DC 20310 and Staff Judge Advocate offices at organizations listed in the DOD organizational directory.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requestor.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office or the Legal Assistance Office, Office of The Judge Advocate General, Room 2C467, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting countents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The Legal Assistance Interview Record File contains the Interview Cards which are prepared byy the individuals who come into the Legal Assistance Office for assistance. The card contains basic information about the individual; such as, name, grade, organization, wife's name, social security number.

Systems exempted from certain provisions of the act:

None

A0403.01aDAJA

System name:

403.01 U.S. Army Claims Service Management Information System (USARCS MISO).

System location:

For the manual system, the claims index cards and data output are located at the United States (US) Army Claims Service, Office of The Judge Advocate General, Ft Meade, MD 20755, and the individual claims index cards and claims files pertaining to settled cases are located at Reference Service Branch, Washington National Records Center, General Services Administration, Washington, DC 20409.

The automated systems are stored on computer disks located at the Management Information Systems Office, US Army Garrison, Ft Meade, MD 20755.

Relevant command sections of the automated reports are furnished to the respective Army commands monthly. In addition, claims files on all unsettled and settled claims are retained at Staff Judge Advocate offices at subordinate levels where the claim was filed until they are forwarded to US Army Claims Service.

Categories of individuals covered by the system:

Records pertain to all individuals, corporations, associations, countries, states, territories, political subdivisions presenting a claim against the United States cognizable under the following statutes and Army Regulation 27-20: (a) The Military Claims Act (10 U.S.C. 2733); (b) The Federal Tort Claims Act (28 U.S.C. 2671-2680); (c) The Act of 9 October 1962 (10 U.S.C. 2737); (d) The National Guard Claims Act (32 U.S.C. 715); (e) Title 10, U.S.C. section 2734a and 2734b (NATO claims); (f) The Maritime Claims Settlement Act (10 U.S.C. 4801-4808); (g) Article 139, Uniform Code of Military Justice (10 U.S.C. 939); (h) The Foreign Claims Act (10 U.S.C. 2734), (i) The Military Personnel and Civilian Employees' Claims Act (31 U.S.C.240-243), (j) Claims for Reimbursement under Industrial Security Regulations (DOI) Directive 5220.6) and (k) Nonappropriated Fund Claim.

Categories of records in the system:

Claims Journal and Individual claims index cards: Contain brief synopsis of claims information including name of claimant; claim file number; type of claim presented (tort, maritime, foreign, personnel, etc.); date claim received by the Army; the date of the incident giving rise to the claim; the amount claimed; and if settled, the date and disposition of the claim. In appropriate claims, data on amounts recovered or paid by third parties is included on the card.

Claims files; Contain the claim forms submitted by the claimant; reports of investigation of claims or potential claims; the witness statements; police reports; photographs; diagrams; bills; estimates; expert opinions; medical records and similar reports; and copies of correspondence with the claimant, potential claimants, third parties, and insurers of claimants or third parties, concerning claims or potential claims. When applicable, copies of finance vouchers evidencing payment of the claims are included. Occasionally Inspector General or similar reports will be included in such files.

U.S.ARCS MISO: Provides a record of every noncontractual claim arising from Army activities. Information is maintained on magnetic tape and stored in alphabetical order by fiscal year. Data includes claimant's name, file number, type of claim, date of incident, amount claimed and amount paid, if anything.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 939, 2733, 2734, 2734a, 2734b, 2737; Title 28 U.S.C., Sections 2671-2680; Title 31 U.S.C, Sections 240-243; Title 32 U.S.C., Section 715.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The primary purpose of claims investigative reports and ancillary records is to develop and preserve all relevant evidentiary facts about incidents which may generate claims against the Army. The evidence developed is used as a legal basis for payment of claims, and the amount authorized, or to support a denial of the claim. If the claimant initiates litigation the evidence helps provide a basis to defend the suit. Evidence in the files is also used to provide information to reply to the President, the Cabinet, members of Congress or to General Accounting Office and public or private insurers who may be required to participate in the settlement of claims against the United States or who may be required to reimburse the United States as a subrogee for claims paid. Information is also recorded to insure that the use of appropriated funds is legally correct. The data are also used as a management tool to supervise claims operations at subordinate commands worldwide.

Users include claimants and/or their legal representatives for use in legal action against the Government or third parties for tax purposes (Internal Revenue Service (IRS)) and/or to support or provide private relief legislation; US Department of Justice representatives in deciding disposition of claims files against the Government and for consideration of criminal prosecution, civil court action or regulatory orders; US Court of Claims to support legal actions, considerations or evidence to support proposed legislative or regulatory changes, for budgetary purposes, for quality control or assurance type studies or to support action against a third party; foreign governments for use in settlements of claims under North Atlantic Treaty Organization Status of Forces Agreement (NATO SOFA) or similar international agreements; state governments for use in defending or prosecuting claim by the state or its representatives; Department of Labor for consideration in determining rights under Federal Employees' Compensation Act or similar legislation; civilian and governmental medical experts for evaluation of medical aspects and records and related material; The President, Vice President and members of the Congress in order to provide information upon which to base replies to inquiries from claimants; Office of Management and Budget for preparation of private relief bills to be presented to Congress for its consideration; Government contractors for use in defending or settling claims filed against them arising out of the performance of a

Government contract; and workmen's compensation agencies, federal and local, for use in adjudicating claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual system: Paper records in file folders at locations indicated.
Automated system: Computer discs located at the USARCS MISO.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroy 10 years after final action on the case.

System manager(s) and address:

Chief, United States Army Claims Service, Ft Meade, MD 20755.

Notification procedure:

Information may be obtained from the SYSMANAGER.
Written requests for information should contain the full name of the individual, current address and telephone number, the claim number if known, the date and place of the incident giving rise to the claim, and any other personal identifying data (driver's license, if any) which could assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the claim number if known, the date and place of the incident giving rise to the claim, or personal identifying data (driver's license, if any) which could assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office or to the US Army Claims Service, Ft Meade, MD 20755

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Federal Bureau of Investigation, Counterintelligence Corps, Criminal Investigations Division, Inspector General, medical treatment facilities, Physicians, Armed Forces Institute of Pathology, Maritime Survey Reports, Corps of Engineers.

Systems exempted from certain provisions of the act:

None

A0403.06DAJA

System name:

403.06 Tort Claim Files

System location:

Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Personnel, military affiliated or civilians with no military connection, who have filed a complaint against the United States Army in the United States District Court under the Federal Tort Claims Act.

Categories of records in the system:

All pleadings, motions, briefs, orders, decisions, memoranda, opinions, supporting documentation, and allied material, including claims investigation, reports, and files, involved in representing the United States Army in the Federal Court System.

Authority for maintenance of the system:

Title 28 U.S.C., Section 2671-80.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to defend the Army in civil suits filed against it in the Federal Court System. Routine users of the information, in addition to Litigation Division, Office of The Judge Advocate General of the Army, are the Department of Justice and United States Attorneys' offices handling the particular case. Most of the collected information is filed in some manner in the courts in which the litigation is pending and therefore becomes a matter of public record. In addition, some of the collected information will appear in some form or fashion in the written orders, opinions, and decisions of the courts. For the most part, these orders, opinions, and decisions are published in the Federal Reporter System under the name or style of the case and are freely open and available to anyone with access to a law library.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of claimant.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroy 10 years after final action on the case.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310

Notification procedure:

Information may be obtained from the SYSMANAGER.
Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

DA Staff elements, Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory in the Appendix; National Personnel Records Center, St. Louis; US Army Military Personnel Center; Posts, Camps, and Stations; Department of the Army Field Operating Agencies; Civil Service Commission; Department of Justice; U.S. Attorneys; opposing counsel; Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0403.16DAJA

System name:

403.16 Army Property Claim Files

System location:

Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310, and Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory in the Appendix.

Categories of individuals covered by the system:

Individuals who, having damaged Government property, were not subject to the collection activities of other agencies or organizations and therefore require litigation on behalf of the Department of the Army.

Categories of records in the system:

Copies of reports from the claim investigator, accident and police reports relating to damage, and pleadings, motions, briefs, orders, decisions, memoranda, opinions, supporting documentation, and allied material involved in representing the United States Army.

Authority for maintenance of the system:

Title 28 U.S.C., Section 2416.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to negotiate with, or to sue as appropriate, the individual or entity, including insurance carriers, causing damage for loss of United States Army property. Routine users include, in addition to the Litigation Division, Office of The Judge Advocate General of the Army, the Department of Justice, United States Attorneys, and defendants and other opposing parties and their attorneys.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Judge Advocate General's Office: Collected claims; destroy 10 years after final action on the case. Uncollected claims; destroy 10 years after completion of litigation or determination that the case will not be prosecuted.
Other offices: Destroy cases settled locally 5 years after final action on the case.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from the SYSMANAGER.
Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from Department of the Army offices and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army Staff elements, Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory, National Personnel Records Center-St. Louis, US Army Military Personnel Center, Posts, Camps, and Stations, Department of the Army Field Operating Agencies, Civil Service Commission, Department of Justice, U.S. Attorneys, opposing counsel, Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0403.17DAJA

System name:

403.17 Medical Expense Claim Files

System location:

Primary: Staff Judge Advocate Offices at Army commands, field operating agencies, installations and activities. Addresses are listed in the Department of Defense (DOD) Organizational Directory.
Segment: Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Individuals who have received medical treatment at the expense of the United States (US) Army as a result of a tortuous or negligent act of a third party; third parties causing medical care to be furnished to individuals entitled to medical care at Government expense.

Categories of records in the system:

Copies of medical and personnel records of individuals injured by a third party from whom the US Army is seeking to recover the costs of medical care furnished the injured party under the Medical Care Recovery Act (42 USC 2651-3); accident and police reports relating to the injury; claims investigation files; correspondence with attorney's representing the Army's interest; court documents, if the claim is pursued through litigation.

Authority for maintenance of the system:

Title 42 U.S.C., Section 2651-3, Executive Order Number 11060 and Attorney General Regulation 28 CFR 43.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Collected information is used to negotiate with the tortfeasor or an insurance carrier or to sue the same to collect the value of medical care furnished the injured party. Routine users, in addition to the Litigation Division, Office of The Judge Advocate General of the Army, include the Department of Justice, appropriate United States Attorneys, civilian attorneys representing the injured party who agree also to represent the US Army's claim, and opposing parties and their attorneys.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Judge Advocate General's Office: Collected claims; destroy 10 years after final settlement. Uncollected claims; destroy 10 years after completion of litigation or determination that the case will not be prosecuted.
Other offices: Destroy cases settled locally 5 years after final action on the case.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310

Notification procedure:

Information may be obtained from the SYSMANAGER.
Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.
For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Staff elements, Staff Judge Advocate offices at organizations listed in the DOD Organizational Directory in the Appendix; National Personnel Records Center, St. Louis; US Army Military Personnel Center, posts, camps, and stations, DA field operating agencies, Civil Service Commission, Department of Justice, US Attorneys, opposing counsel, Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0403.18DAAG

System name:

403.18 Claims Back-up File

System location:

Judge Advocate Office, United States (US) Army Reserve Components Personnel and Administration Center (RCPAC), 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

Individuals who file claims, through RCPAC, against US Government

Categories of records in the system:

File contains name of claimant, amount of claim, disposition thereof, date claim filed and paid, amount paid, amount, if any, received from carrier or insurer.

Authority for maintenance of the system:

Title 31, U.S.C., Section 241, Military Personnel and Civilian Employees' Claim Act of 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Resolving claim at US Army Reserve Components Personnel and Administration Center (RCPAC), at higher headquarters, or in litigation.

Files used by RCPAC; higher headquarters; Litigation Division of The Office of The Judge Advocate General, US Army; U. S. Attorney.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in metal desk card file.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Building is secured through 24 hour guard service. Entry to building is by authorized badge only.

Retention and disposal:

10 years from date of submission by applicant.

System manager(s) and address:

Commander, RCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Staff Judge Advocate
RCPAC
9700 Page Boulevard
St Louis, MO 63132
ATTN: AGUZ-RPC-JA
Telephone: Area Code 314/268-7533

Record access procedures:

Requests from individuals should be addressed as shown in NOTIFICATION.

Written requests for information should contain the individual's full name, Social Security and/or Service Number, phone number, and address.

For personal visits, individual should present proof of identification that contains his picture (e.g., driver's license, military I.D., etc).

Contesting record procedures:

Rules for contesting contents of files and appealing initial determinations may be obtained from SYSMANAGER, who may be contacted at address and phone number shown under NOTIFICATION.

Record source categories:

Individual and party he claims damaged him.

Systems exempted from certain provisions of the act:

None

A0404.08aDAPE

System name:

404.08 USMA Legal Files on Military and Civilian Personnel.

System location:

Primary System-Department of Law, MADN-E, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Military Personnel (officers, enlisted personnel, and cadets) who have been the subject of official board proceeding, court-martial, criminal investigations, investigations regarding offenses against civil authorities, or matters involving potential litigation (estates, personal and property injury); Civilian Personnel who have been the subject of military or civil authority board proceedings, civil or criminal investigations, or matters involving potential litigation (estates, personal and property injury), or misconduct or adverse actions.

Categories of records in the system:

Criminal Investigation Reporting Files (Central Intelligence Division (CID) Files, Police Reports, Police Blotter Entries); General Court Martial Files; Special Court Martial Files; Summary Court Martial Files; Legal Opinion Precedent Files (Military Justice - Youthful and Civilian Offender Files, Commissioner's Court - Adverse Action Files, Military Personnel - Officer and Enlisted Files, estate matters, personal and property injury matters, legal opinions by individual departmental officers and attorneys); Cadet Board Proceeding Files; Legal Assistance Card Files.

Authority for maintenance of the system:

Title 10, U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Law: to aid in the preparation of legal opinions and legal assistance work, and to give appropriate guidance in military and civilian investigatory matters and areas of potential litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of record subject.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Cadet Board Proceeding Files: retained in active file for 5 years before transfer to USMA Archives for permanent retention; General Court Martial Files: destroyed after 3 years; Summary and Special Court Martial Files: retained in active file for 2 years, transferred to the USMA Records Holding Area after 2 years, transferred to National Personnel Records Center (Military), 9700 Page Blvd., St. Louis, MO, 63132, after 4 years, destroyed after 10 years; Legal Opinion Precedent Files: records are destroyed periodically when no longer of precedential value; Legal Assistance Card Files: destroyed after 4 years.

System manager(s) and address:

Professor and Head of the Department of Law, USMA, West Point, NY 10996.

Notification procedure:

Information can be obtained from SYSMANAGER.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, and the case (control) number that appears with the office symbol, on all correspondence received from this office.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, military identification card, employing offices identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

CID investigation reports, civil and military authority investigation reports, civil and military police blotter entries, summary and special court martial proceedings, youthful and civilian offender misconduct reports, Commissioner's Court adverse action reports, correspondence from military and civilian sources regarding record subject, investigatory records relating to matters of potential litigation, cadet board proceeding investigatory reports.

Systems exempted from certain provisions of the act:

None

A0405.02DAJA

System name:

405.02 Foreign Jurisdiction Case Files.

System location:

Primary System: International Affairs Division, Office of The Judge Advocate General, Department of the Army, Room 2D443, The Pentagon, Washington, DC 20310.

Decentralized Segments: Army commands where case originates.

Categories of individuals covered by the system:

All members of the United States (US) Army, civilians in the employ of, serving with, or accompanying the US Army abroad, and the dependents of individuals in such categories, who have been subject to the exercises of civil or criminal jurisdiction of foreign courts or foreign administrative agencies.

Categories of records in the system:

File contains individual case reports on the exercise of criminal jurisdiction by foreign tribunals, trial observer reports, requests for provision of counsel, records of trials, requests for local authorities to refrain from exercising their criminal jurisdiction, and communications with staff judge advocates, Department of the Army, diplomatic missions, and other selected documents.

Authority for maintenance of the system:

Title 10 U.S.C., 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The International Affairs Division and the office where the case originates use the information to monitor developments of each individual case to insure that all rights and protections to which United States personnel abroad and their dependents are entitled under pertinent international agreements are accorded such personnel;and to obtain information to answer appropriate queries regarding the status or disposition of individual cases involving the exercise of civil or criminal jurisdiction by foreign courts or foreign administrative agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Judge Advocate General's Office: Destroy after 30 years. Cut off annually following acquittal, fine, reprimand, dropping of charges, or on completion of sentence, as applicable.

System manager(s) and address:

Chief, International Affairs Division, Office of the Judge Advocate General, HQDA (DAJA-IA), Washington, DC 20310 and the staff judge advocate offices where the case originates.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the International Affairs Division, Office of The Judge Advocate General, Room 2D443, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is derived from reports prepared by relevant command.

Systems exempted from certain provisions of the act:

None

A0405.04DAJA

System name:

405.04 Foreign Jurisdiction Reporting Files

System location:

Primary System: International Affairs Division, Office of The Judge Advocate General, Department of the Army, Rm 2D433, The Pentagon, Washington, DC 20310.

Decentralized Segments: Army commands where case originates.

Categories of individuals covered by the system:

All members of the United States (US) Army, civilians in the employ of, serving with, or accompanying the US Army abroad, and the dependents of individuals in such categories, who have been subject to the exercise of criminal jurisdiction by foreign courts and sentenced to unsuspended confinement.

Categories of records in the system:

File contains reports concerning personnel who are confined in foreign penal institutions and reports of results of visits to confined personnel.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Both the primary and decentralized segments are used to monitor development of each individual case so as to insure that all rights and protections to which US personnel abroad and their dependents are entitled under pertinent international agreements are accorded such personnel and to obtain information in order to answer appropriate queries regarding the status of individual cases involving US personnel abroad serving a sentence to confinement in a foreign prison.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Judge Advocate General's Office: Consolidations and summaries are permanent. Feeder reports are destroyed on extraction and/or consolidation of the data contained therein.

Other offices destroy records 3 years after completion of the next report.

System manager(s) and address:

V 44 DE 17 79 UMI

Chief, International Affairs Division, Office of The Judge Advocate General, Headquarters, Department of the Army, Washington, DC and the Staff Judge Advocate Office where the case originates.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the International Affairs Division, Office of The Judge Advocate General, The Pentagon, Rm 2D443, Washington, DC or the Staff Judge Advocate Office where the case originates.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is derived from reports prepared by relevant command.

Systems exempted from certain provisions of the act:

None

A0406.01aDAJA

System name:

406.01 Patent, Copyright, Trademark, and Proprietary Data Files

System location:

Primary System: Patents Division, Office of The Judge Advocate General, Department of the Army, Room 2D444, Pentagon, Washington, DC 20310.

Decentralized System: Commander, US Army Materiel Command, ATTN: AMCGC-L, 5001 Eisenhower Avenue, Alexandria, VA 22333; Commander, US Army Aviation Systems Command, ATTN: AMSAV-J, P.O. Box 209, Main Office, St. Louis, MO 63166; Commander, US Army Armament Command, ATTN: AMSAR-GC, Rock Island Arsenal, Rock Island, IL 61201; Commander, Edgewood Arsenal, ATTN: SMUEA-LE, Edgewood Arsenal, MD 21010; Commander, Frankford Arsenal, ATTN: SMUFA-R1000, Philadelphia, PA 19137; Commander, Picatinny Arsenal, ATTN: SMUPA-L; Dover, NJ 07801; Commander, US Army Electronics Command, ATTN: AMSEL-LG, Ft Monmouth, NJ 07703; Commander Night Vision Laboratory Branch, ATTN: AMSEL-LG-NVL-L, Ft Belvoir, VA 22060; Commander, US Army Missile Command, ATTN: AMXNM-L, Redstone Arsenal, AL 35809; Commander, Natick Laboratories, ATTN: AMXNM-L, Natick MA 01760; Commander, US Army Mobility Equipment, R&D Center, ATTN: AMXBL-L, Ft Belvoir, VA 22060; Commander, US Army Tank-Automotive Command, ATTN: AMSTA-L, Warren, MI 48090; Commander, Harry Diamond Laboratories, 2800Powder Mill Road, ATTN: AMXDO-LP, Adelphi, MD 20783; Commander, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005; and Headquarters, Department of the Army (HQDA) (DAEN-GCP), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

Government employees and others who have submitted inventions to the Government; inventors with patents or applications for patents procured on behalf of Department of the Army, or in which the Government has an interest; authors of copywritable or copyrighted material in which the Government has an interest.

Categories of records in the system:

Documents relating to disposition of rights in inventions of Government employees including information about the nature and duration of the employee's employment; documents relating to the filing for a foreign patent; documents evidencing interests of the Government in or under patents or applications for patents procured on behalf of Department of the Army, including copies of licenses, assignments, other instruments, and letters of transmittal; documents relating to the granting of licenses on Government-owned patents, including requests for licenses and communications relating to the licensing arrangement; documents reflecting interests of the Government in or under copyrights procured or obtained on behalf of Department of the Army, including copies of copyright licenses and assignments; documents relating to all phases of the granting of licenses on Government-owned copyrights, service marks, and related items.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes are to determine the rights of the Government and employees in employee inventions, to maintain documents used in foreign filing for patents, to provide evidence of Government interest in or under patents or applications for patents procured on behalf of Department of the Army, to provide evidence and record of patent and copyright licensing and assignments. US Patent and Trademark Office has access to specific files for resolving disputes between the Government and the inventor concerning invention rights; for foreign filing of patents, records are presented to the Director of Patent Administration, Department of National Defense in Ottawa, Ontario, Canada and to the Patent's Agent's Managing Clerk Principal Directorate of Patents, Procurement Executive, Ministry of Defense, London, England, to obtain patents in Canada and England, respectively; the parties involved in particular licensing arrangement have access to the specific files involved, as well as the US Patent and Trademark Office and the Copyright Office, Library of Congress, as evidence of legal interests in the patent or copyright license or assignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

The Judge Advocate General's Office: For patent matters records are destroyed after 20 or 25 years depending on the specific case; for copyright matters records are destroyed after 56 years or on expiration of copyright not renewed. Other offices: records are destroyed after 2 years.

System manager(s) and address:

Chief Patents Division, HQDA (DAJA-PA), Washington, DC 20310 and the senior patent attorney at each location listed.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Employment records; job description, employee's supervisor; the invention, patent application or copyrighted material concerned; the Government agency interested in the invention or copyright; and the party seeking the license.

Systems exempted from certain provisions of the act:

None

A0406.01bUSAREUR

System name:

406.01b Civil Process Case Files and Reference Files

System location:

In Federal Republic of Germany (FRG), Civil Process Section, International Affairs Division, Office of The Judge Advocate, Headquarters (HQ), United States (US) Army, Europe (USAREUR) and 7th Army, Army Post Office (APO) New York 09403, Heidelberg, and decentralized segments at approximately 35 Judge Advocate Offices throughout the FRG to which documents have been forwarded for service.

In Berlin, Office of The Staff Judge Advocate, HQ, US Army, Berlin, APO New York 09742.

Categories of individuals covered by the system:

US Army, US Air Force and US Navy personnel, members of the civilian component of the US Forces and dependents of the foregoing upon whom service is made of documents issued by German civil courts, customs and taxing agencies, and other administrative agencies, governmental and otherwise, which, pursuant to German law, may issue: payment orders; execution orders; demands for payment of indebtedness; notifications to establish civil liability; customs and tax demands; documents assessing fines and penalties; demands for court costs or for costs for administrative proceedings; summonses and subpoenas; paternity notices; complaints; judgments; briefs; final and interlocutory orders; orders of confiscation; notices; and other judicial or administrative writs.

Categories of records in the system:

Copies of correspondence from German courts, bailiffs and administrative agencies forwarding documents for service; copies of German documents forwarded to or between Judge Advocate offices in the FRG for service; copies of forwarding correspondence to or between Judge Advocate offices in the field; copies of certificates of service; copies of correspondence to German courts, bailiffs or administrative agencies stating why documents could not be served or could not be served within a prescribed period; copies of routine or specialized instructions to Judge Advocate offices in the field pertaining to service of documents; copies of correspondence to German courts, bailiffs, or administrative authorities denying requests for service of documents, advising them of the individual's name, grade, social security account number and unit for identification purposes, advising them in accordance with applicable regulations of individual's place of residence in the FRG in connection with requests for execution or attachment, and granting or declining to grant authority to enter premises under the control of the US Forces for the purpose of effecting execution on or attachment of personal property, moneys, etc. in compliance with a writ executable pursuant to German law; card files on each document received identifying nature of document, source of document, dates received, forwarded, and served; date on which certificate of service or other reply to source was dispatched, and full identifying data on the individual.

Authority for maintenance of the system:

The North Atlantic Treaty Organization (NATO) Status of Forces Agreement, the NATO Status of Forces Supplementary Agreement, and administrative agreements executed in implementation or on the basis of the foregoing by which this office is designated as the central liaison agency of the US Forces for service of civil process documents issued by German courts or authorities upon members of the US Army, the US Navy, members of the civilian component of the US Forces, and dependents of the foregoing; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to establish strict controls on receipt and forwarding for service of German civil court documents on US personnel; to determine if time limits for service of documents as prescribed by NATO Status of Forces Supplementary Agreement have been complied with and to establish a suspense system to insure compliance by Judge Advocate offices in the FRG of service within prescribed time limits; to determine whether initial documents have been served through the agency of this office as a precondition to service of subsequent documents in the same case. Files are maintained and used in this office and in Judge Advocate offices thoughout the FRG to which documents are forwarded for service to insure that US Forces obligations under the NATO Status of Forces Supplementary Agreement are complied with and to insure that rights of individuals are protected. When individual is served the document by the Judge Advocate office in the field, the document is translated for him; its contents and legal effects are explained to him and legal assistance is made available to him to protect his interests and to enable him to avail himself of his legal rights under German law. The card file is used as a locator and control device and is essential when cases are reopened after a period of years. It records whether the individual was served the initial and subsequent documents through the agency of this office and whether the individual, following personal service on him, was afforded the opportunity to contest the initial and subsequent documents or proceedings based on them. The files or information contained in them may be transferred or disclosed to any other agency of the Department of Defense. Information from the files may be disclosed to foreign law enforcement or investigatory or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements regulating the stationing and status in the FRG of DOD military and civilian personnel. Information disclosed to authorities of the FRG may be further disclosed by them to claimants, creditors or their attorneys. Information may be disclosed in accordance with applicable regulations in response to inquiries from Congressmen or the news media.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders are stored in cabinets by individual's name. Card files are stored in cabinets.

Retrievability:

Filed in alphabetical order by last name.

Safeguards:

Doors to office to hallway and building are locked each night (triple security).

Retention and disposal:

File folders are retained 2 years and destroyed. Card files are retained indefinitely due to the continuing nature of these cases.

System manager(s) and address:

In FRG, Chief, International Affairs Division, Office of The Judge Advocate, HQ, USAREUR and 7th Army, Heidelberg.

In Berlin, The Staff Judge Advocate, HQ, US Army, Berlin, APO New York 09742.

Notification procedure:

Individuals may submit a written request or visit Office of the SYSMANAGER. An individual's name, rank and service number would be sufficient information to locate the individual's files. Verification of identity is not required since information on these court documents is a matter of public record.

Record access procedures:

Personnel desiring access to information can contact the International Affairs Division, HQ USAREUR and 7th Army, APO New York 09403, located in Building 9, Campbell Barracks, Heidelberg, FRG.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Documents received from German authorities to be served on each individual and correspondence to these authorities stating whether or not the document was served.

Systems exempted from certain provisions of the act:

None.

A0407.01aDAJA

System name:

407.01 Patent, Copyright, and Trademark Soliciting Files

System location:

Primary System: Patents Division, Office of the Judge Advocate General, Department of the Army, The Pentagon, Room 2D444, Washington, DC 20310.

Decentralized System: Commander, United States (US) Army Materiel Command, ATTN: AMCGC-L, 5001 Eisenhower Avenue, Alexandria, VA 22333; Commander, US Army Aviation Systems Command, ATTN: AMSAV-J, P.O. Box 209, Main Office, St. Louis, MO 63166; Commander, US Army Armament Command, ATTN: AMSAR-GC, Rock Island Arsenal, Rock Island, IL 61201; Commander Edgewood Arsenal, ATTN: SMUFA-R1000, Philadelphia, PA 19137; Commander, Picatinny Arsenal, ATTN: SMUPA-L, Dover, NJ 12189; Commander, US Army Electronics Command, ATTN: AMSEL-LG, Fort Monmouth, NJ 07703; Commander Night Vision Laboratory Branch, ATTN: AMSMI-L, Redstone Arsenal, AL 35809; Commander, US Army Tank-Automotive Command, ATTN: AMSTA-L, Warren, MI 48090; Commander, Harry Diamond Laboratories, 2800 Powder Mill Road, ATTN: AMXDO-LP, Adelphi, MD 20783; Commander, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005; Headquarters Department of the Army (HQDA) (DAEN-GCP), Forrestal Building, Washington, DC 20310; Commander, US Army Medical R&D Command, ATTN: SGRD-JA, Washington, DC 20314.

Categories of individuals covered by the system:

Inventors who have submitted inventions to Department of the Army or who have inventions in which the Department of the Army has an interest and Government employees to whom copyright assistance has been rendered.

Categories of records in the system:

Documents relating to invention disclosures submitted by Government employees and contractors or sources outside the Government on which a patent application may or has been filed or on which a patent has been issued, but not if issued to contractors, including invention diclosures, drawings, patentability search reports, evaluation reports, applications, amendments, petitions, appeals, interferences, and related correspondence.

Authority for maintenance of the system:

Title 5 U.S.C., SEction 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to maintain evidence and record of invention disclosures submitted to Department of the Army, of patents and applications for patents in which Department of the Army has an interest, and of copyright assistance rendered. Concerned contractor and/or Government agencies interested in a specific invention have access to the records in order to conduct patent investigations and evaluations; the United States Patent and Trademark Office and the Copyright Office, Library of Congress, have access to the records for proceedings in obtaining a patent or copyright; the Civil Division, Department of Justice, has access to the records in the event of legal proceedings and litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroyed after 20 or 25 years, depending on the specific case.

System manager(s) and address:

Chief, Patents Division, HQDA (DAJA-PA), Washington, DC 20310 and the senior patent attorney at each location listed.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The invention concerned, research material in libraries and in the Patent and Trademark Office, and correspondence with the Patent and Trademark Office and with the Copyright Office, Library of Congress.

Systems exempted from certain provisions of the act:

None

A0408.01aDAJA

System name:

408.01 Patent, Copyright, and Data License Proffers, Infringement Claims, and Litigation Files

System location:

Primary System: Patents Division, Office of the Judge Advocate General, Department of the Army, Pentagon, Room 2D444, Washington, DC 20310.

Decentralized System: Commander, United States (US) Army Materiel Command, ATTN: AMCGC-L, 5001 Eisenhower Ave., Alexandria, VA 22333; Commander, US Army Aviation Systems Command, ATTN: AMSAV-J, P. O. Box 209, Main Office, St. Louis, MO 63166; Commander, US Army Armament Command, ATTN: AMSAR-GC, Rock Island Arsenal, Rock Island, IL 61201; Commander, Edgewood Arsenal, ATTN: SMUEA-LE, Edgewood Arsenal, MD 21010; Commander, Frankford Arsenal, ATTN: SMUFA-R1000, Philadelphia, PA 19137; Commander, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005; Commander, Picatinny Arsenal, ATTN: SMUPA-L, Dover, NJ 07801; Commander, Watervliet Arsenal, ATTN: SARWV-GC, Watervliet, NY 12189; Commander, US Army Electronics Command, ATTN: AMSEL-LG, Ft Monmouth, NJ 07703; Commander, Night Vision Laboratory Branch, ATTN: AMSEL-LG-NVL-L, Ft Belvoir, VA 22060; Commander, US Army Missile Command, ATTN: AMSMI-L, Redstone Arsenal, AL 35809; Commander, Natick Laboratories, ATTN: AMXNM-L, Natick, MA 01760; Commander, US Army Mobility Equipment R&D Center, ATTN: AMXFB-L, Ft Belvoir, VA 22060; Commander, US Army Tank-Automotive Command, ATTN: AMSTA-L, Warren, MI 48090; Commander, Harry Diamond Laboratories, 2800 Powder Mill Road, ATTN: AMXDO-LP, Adelphi, MD, 20783; HQDA (DAEN-CCP), Forrestal Building, Washington, DC 20310.

Categories of individuals covered by the system:

Claimants or defendants in administrative proceedings or litigation with the Government for improper use, infringement, enforcement of agreements, or comparable claims concerning patents or copyrights; individuals having copyrights in material Department of the Army is interested in; individuals who own patents which they offer to license to Department of the Army; individuals seeking private relief before Congress because of right in inventions, patents, copyrights, or data.

Categories of records in the system:

Documents relating to the administrative assertion of claims by and against the Government and to litigation with the Government for alleged misuse of patents, copyrights, trademarks, and data, including inquiries, investigations, settlements, communications with claimants or defendants, and related correspondence; documents relating to advice and assistance provided in obtaining licenses for Department of the Army use of copyright material; documents relating to the investigation and disposition of patent license offers; documents relating to investigations in connection with processing proposed legislation or bills for private relief of individuals because of right of individuals in inventions, patents, copyrights, or data, including reports of investigations, comments or recommendations, and related correspondence.

Authority for maintenance of the system:

Title 5 U.S.C., SEction 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes are to maintain evidence and record of claims and litigation involving Department of the Army concerning patents, trademarks, copyrights, and data; to maintain evidence and record of Department of the Army attempts to use copyrighted material and to receive the copyright-owner's permission for such use; to maintain record and evidence of patent license offers received and investigations and reports pursuant thereto; and to maintain record and evidence of investigations of proposed legislation or bills for private relief. Government agencies involved in the claims or litigation and the Civil Division, Department of Justice, have access to the records to determine the validity of allegations and to properly prosecute or defend the case; Government agencies potentially interested have access to the records of offered licenses to determine actual interest; Congress receives reports on Department of the Army's position on particular bills for private relief.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroyed after 25, 30 or 35 years depending on the specific case.

System manager(s) and address:

Chief, Patents Division, HQDA (DAJA-PA), Washington, DC 20310 and the senior patent attorney at each location listed.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Department of the Army patent location.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of Justice and/or the Government agencies involved in the claims or litigation; the agency interested in the copyrighted material or in the offered license; employment records with the Government and pertinent Government patent files.

Systems exempted from certain provisions of the act:

None

A0410.01DAJA

System name:

410.01 Litigation Case Files

System location:

Primary System: Litigation Division, Office of the Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Decentralized Segments: Legal offices at Army installations and activites.

Categories of individuals covered by the system:

Active duty and former military personnel, civilian employees of the Army, dependents and heirs of military or civilian personnel of the Army, and nonaffiliated agencies and personnel who have filed a complaint against the United States (US) Army or its personnel in the Federal Civil Court System; military and civilian personnel of the Army who are named individually as defendants in civil litigation initiated against or by the Army.

Categories of records in the system:

All pleadings, motions, briefs, orders, decisions, memoranda, opinions, supporting documentation, and allied materials involved in representing the US Army in the Federal Court System.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to defend the Army in civil suits filed against it in the Federal Court System. Routine users of the information, in addition to Litigation Division, Office of The Judge Advocate General of the Army, are the Department of Justice and United States Attorneys' offices handling the particular case. Most of the collected information is filed in some manner in the courts in which the litigation is pending and therefore becomes a matter of public record. In addition, some of the collected information will appear in some form or fashion in the written orders, opinions, and decisions of the courts. For the most part, these orders, opinions, and decisions are published in the Federal Reporter System under the name or style of the case and are freely open and available to anyone with access to a law library.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroy 15 years after final action on the case.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army Staff elements, Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory in the Appendix; National Personnel Records Center, St. Louis; US Army Military Personnel Center; Posts, Camps, and Stations; Department of the Army Field Operating

Agencies; Civil Service Commission, Department of Justice; US Attorneys, opposing counsel, Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0410.04DAJA

System name:

410.04 Judicial Information Release File

System location:

Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Individuals connected in any manner with Army aircraft accidents, to include crew members, passengers of the aircraft, witnesses to the accident, technical experts who testified at the investigation into the accident, and members of the investigating boards; individuals and legal entities who have requested information from Army files for which the Litigation Division, Office of The Judge Advocate General of the Army, is the releasing authority.

Categories of records in the system:

Reports of collateral investigations of Army aircraft accident; requests and responses thereto for the release of information from Army files for which the Litigation Division, Office of The Judge Advocate General of the Army, is the releasing authority.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to respond to members of the general public who request information on Army aircraft accidents or other information for which the Litigation Division, Office of The Judge Advocate General of the Army, is the releasing authority. Routine users include any person or legal entity that requests such information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Based on date of accident and name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Safeguarded information, destroy after 10 years; nonsafeguarded information, destroy after 2 years.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army Staff elements; Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory in the Appendix; National Personnel Records Center, St. Louis; US Army Military Personnel Center; Posts, Camps, and Stations; Department of the Army Field Operating Agencies; Civil Service Commission; Department of Justice; US Attorneys; opposing counsel; Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0411.03bDAAG

System name:

411.03 Congressional Correspondence Files

System location:

Security Division, Support Operations Directorate, United States (US) Army Reserve Components Personnel and Administration Center (RCPAC), 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

Members of United States Army Reserve (USAR)
Former members: Army.
Department of the Army (DA) Civilians.
Next-of-kin and/or dependents of USAR members and former members of the Army.

Categories of records in the system:

Documents relating to Congressional inquiries on all matters within scope and activity of Department of the Army.

Authority for maintenance of the system:

Title 10, U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File maintained as reference file for continuing inquiries from Congressional sources.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by last name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Building is secured through 24 hour guard service. Entry to building is by authorized badge only.

Retention and disposal:

Records are destroyed 22 years after date of preparation.

System manager(s) and address:

Security Division, Support Operations Directorate, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC), St. Louis, MO 63132.

Notification procedure:

Information can be obtained from:
Commander, USARCPAC
9700 Page Boulevard
St. Louis, MO 63132.
Telephone: Area Code 314/268-7733

Record access procedures:

Requests from individuals should be addressed to Commander, USARCPAC, 9700 Page Boulevard, St. Louis, MO 63132.

Written requests for information should contain the full name of the individual, current address, social security number (SSN) or Army service number.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Inquiry or letter from member of Congress, Chief of Staff, US Army, White House, Secretary of Defense, Secretary of the Army.

Systems exempted from certain provisions of the act:

None

A0411.03cOSA

System name:

411.03 Congressional Inquiry File

System location:

Executive Services Division, Office, Chief of Legislative Liaison, Headquarters, Department of the Army (HQDA), Washington, DC

Decentralized segments are maintained by HQDA staff agencies, field operating agencies, major commands, installations and activities.

Categories of individuals covered by the system:

Any citizen who writes a Congressman and is so identified by the Congressman in his request to the Office, Chief of Legislative Liaison, for an answer to his respondent.

Categories of records in the system:

File contains copy of individual's letter to Congressman, letter from Congressman requesting information, and information provided to the Congressman relative to his inquiry.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1034 provides that no person may restrict any member of an armed force from communication with a Member of Congress. The records are maintained to ensure an effective service to the Member of Congress and his respondent.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Congressional Inquiry Division: To obtain information relative to timely responses and ensure that a specific case does not become 'lost' in the paperwork channels.

HQDA staff agencies, field operating agencies, major commands installations and activities: To conduct investigations based on Congressional inquiries and prepare appropriate response to Members of Congress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm records in an automatic retrieval device.
Paper records in file folders.

Retrievability:

Coded by Congressman and individual name.

Safeguards:

Primary system: Building employs security guards. Records are maintained in an area accessible only to authorized personnel. Coding system must be known to access records.

Decentralized Segments: Records are maintained in an area accessible only to trained and authorized personnel.

Retention and disposal:

Records collected prior to 27 September 1975 are maintained in an active status until the end of the calendar year, held one additional year in the current files area in an inactive status and then destroyed. Records collected after 27 September 1975 are maintained in an active status until the end of the calendar year, held 4 additional years in the current files area in an inactive status then destroyed.

System manager(s) and address:

Chief, Legislative Liaison, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: OSA(SALL), Chief, Executive Services Division, Room 20600, The Pentagon, Washington, DC 20310, Telephone: Area Code 202/695-6028.

Record access procedures:

Requests from individuals should be addressed to: Office, Chief of Legislative Liaison OSA(SALL), Room 2C600, The Pentagon, Washington, DC 20301.

Written requests for information should contain the full name of the individual concerned, his current address and telephone number, the name of the Member of Congress who initiated the inquiry.

Visits are limited to Executive Services Division, SALL, The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide some acceptable identification (i.e., driver's license or employing office's identification card) and be able to give relevant verbal information that pertains to the records sought.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Letter from the individual to a Congressman requiring HQDA to provide information to that Congressman.

Systems exempted from certain provisions of the act:

None

A0411.08aOSA

System name:

411.08 Biographical Files of Members of Congress

System location:

Office, Secretary of the Army, Chief of Legislative Liaison, Plans and Operations Branch.

Categories of individuals covered by the system:

Current Members of U.S. Congress.

Categories of records in the system:

Files contain biographical information on members of Congress, voting trends, and committee memberships.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army Congressional witnesses: To provide background information on Members of Congress before whom Army representatives may be testifying, in order to familiarize them with the members' attitudes towards the Department of Army.

Department of Army Congressional escorts: To provide background information on Members of Congress, in order to familiarize them in their official capacity as escorts to those members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in looseleaf binders.

Retrievability:

Filed alphabetically by last name of Member of Congress.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and cleared.

Retention and disposal:

Records are temporary. They are retained only for the tenure of the Member of Congress.

System manager(s) and address:

The Chief of Legislative Liaison. Office, Secretary of the Army, The Pentagon, Wash., DC

Notification procedure:

Information may be obtained from:
Office, Secretary of Army (SALL)
Chief, Plans and Operations Branch
Room 2C638, The Pentagon
Wash., DC 20310

Record access procedures:

Requests from individuals should be addressed to Office, Chief of Legislative Liaison, OSA(SALL), Room 2C638, The Pentagon, Washington, DC 20310, Telephone: Area Code 202/697-2417.

Written requests for information should contain the full name and state of representation of Member of Congress.

For personal visits, the Member should be able to provide acceptable identification such as driver's license or employment identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Official public records, such as the Congressional Record, Congressional Quarterly Weekly Report, official transcripts of unclassified committee hearings, published proceedings of committee hearings, and the Congressional Staff Directory.

Systems exempted from certain provisions of the act:

None

A0412.01aDAAG

System name:

412.01 FUNERAL PLANS

System location:

Decentralized Segments: Ceremonies and Special Events, United States (US) Army Military District of Washington, Ft L.J. McNair, Washington, DC 20319; and DOD Commands and installations supporting State, Official, and Special Military Funerals.

Categories of individuals covered by the system:

Government officials or service connected persons and dependent family members who are authorized a State, Official, Special Military, Full Honor, Simple Honor, or Dependent type funeral.

Categories of records in the system:

File contains letters, memorandums, maps, diagrams, ceremonial plans, and other related documents for military honors and/or funeral support for only those authorized individuals who have requested special arrangements for their funeral ceremony.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Ceremonies and Special Events, U.S. Army Military District of Washington, and supporting DOD Commands and installations. To maintain funeral plans or requests by only those authorized individuals who have requested special arrangements for their funeral ceremony; to facilitate coordination of military support for State, Official, Special Military, Full Honor, Simple Honor, Dependent type funerals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets.

Retrievability:

Filed alphabetically.

Safeguards:

Safes. Records are maintained in areas accessible only to authorized personnel who are properly screened.

Retention and disposal:

Records are permanent. They are retained in the office of Ceremonies and Special Events.

System manager(s) and address:

Director, Ceremonies and Special Events, US Army Military District of Washington, Ft L. J. McNair, Washington, DC 20319

Notification procedure:

Information may be obtained from
Director, Ceremonies and Special Events
US Army Military District of Washington,
Ft L. J. McNair
Washington, DC 20319
Telephone: Area Code 202-693-0636.

Record access procedures:

Requests from the individual or designated representative should be made in person or addressed to: Director, Ceremonies and Special Events, US Army Military District of Washington, Ft L. J. McNair, Washington, DC 20319.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Information obtained from the individual or designated representative.

Systems exempted from certain provisions of the act:

None

A0412.05aOSA

System name:

412.05 Press Interest Reference Files

System location:

Primary system: Public Information Division, Office of the Chief of Public Affairs, Headquarters, Department of the Army (HQDA) (SAPA-PI), Washington, DC 20310.

Decentralized Segments: New York Branch, Office of the Chief of Public Affairs, United States (US) Army, 663 Fifth Avenue, New York, NY; Los Angeles Branch, Office of the Chief of Public Affairs, US Army, 11000 Wilshire Boulevard, Suite 10104, Los Angeles, CA; Public Affairs Offices of major subordinate commands to HQDA; Headquarters First, Fifth, and Sixth Armies and major active installations worldwide; and Office, Chief of Engineers Public Affairs Office, and all Corps of Engineers field operating public affairs offices.

Categories of individuals covered by the system:

Active, retired, and discharged Army members and civilian employees who are, have been, or are likely to again become the subject of press interest.

Categories of records in the system:

Files contain miscellaneous documents depending on the reason for the individual coming to the attention of the press. Most common items are query sheets, fact sheets, statements of service, serious incident reports, copies or extracts from investigative reports, news clippings, memoranda and correspondence relating to the individual.

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to queries from the press relating to the individuals concerned and from the Office of the Assistant Secretary of Defense (Public Affairs) and other agencies or commands in the Army for information about the individuals, particularly with respect to the press interest displayed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in security containers and are accessible only to authorized personnel.

Retention and disposal:

Records are maintained as long as individual seems likely to be a recurring subject of press interest. Records are routinely destroyed thereafter.

System manager(s) and address:

The Office of the Chief of Public Affairs, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (SAPA-PI), Room 2E-641. The Pentagon, Washington, DC 20310; Telephone: Area Code 202/695-5136

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army, (SAPA-PI), Room 2E-641, The Pentagon, Washington, DC 20310.

Written requests should include a notarized statement of identity.

Personal visits may be made to any of the three Army Public Affairs Offices (Washington, New York or Los Angeles). Presentation of acceptable identification required.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Query sheets and fact sheets filed by staff public affairs officers; statements of service from the US Army Military Personnel Center or National Personnel Records Center; serious incident reports through information channels from originating commands; clippings from published media; copies or extracts of investigative reports from investigating agencies to include US Army Inspector General, US Army Criminal Investigation Command, and US Army Assistant Chief of Staff for Intelligence and memoranda and correspondence from miscellaneous sources relating to the individual case.

Systems exempted from certain provisions of the act:

None.

A0412.07DAJA

System name:

412.07 Witness Appearance Files

System location:

Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Witness requested by United States Attorneys for Federal Court proceedings.

Categories of records in the system:

Identification of witness by name and address; name and address of United States (US) Attorney requesting same; name and location of trial.

Authority for maintenance of the system:

title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To locate and provide witnesses to United States Attorneys conducting trials on behalf of United States. Litigation Division, Office of The Judge Advocate General of the Army, Department of Justice, and United States Attorneys are involved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroy after 2 years.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army Staff elements, Staff Judge Advocate offices at organizations listed in the Department of Defense (DOD) organizational directory, Records Center, St. Louis, Department of the Army Field Operating Agencies; Civil Service Commission; Department of Justice; US Attorneys, opposing counsel, Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A0412.14aOSA

System name:

412.14 Biography Files

System location:

Primary System: Public Information Division, Office of the Chief of Public Affairs, Headquarters, Department of the Army, (SAPA-PI), Washington, DC 20310.

Decentralized Segments: New York Branch, Office of the Chief of Public Affairs, United States (US) Army, 663 Fifth Ave, New York, NY 10022; Los Angeles Branch, Office of the Chief of Public Affairs, US Army, 11000 Wilshire Blvd, Suite 10104, Los Angeles, CA 90024; public affairs offices of major Army commands and subordinate units; and Office, Chief of Engineers Public Affairs Office, and all Corps of Engineers field operating public affairs offices.

Categories of individuals covered by the system:

Leading Department of the Army (DA) military and civilian personnel and other important personalities.

Categories of records in the system:

Files contain biographical material to include biographies, photographs, newspaper clippings, and related documents. Name, grade, social security number (SSN), and summary of service and outstanding achievements may also be shown.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to queries from the press relating to individuals concerned and from other Army agencies or commands for information about the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

File areas are locked when not occupied by supervisory personnel. Only authorized personnel are allowed access to files.

Retention and disposal:

Records are maintained for 2 years following retirement, transfer, separation, or death of the individual concerned.

System manager(s) and address:

Commander/supervisor of organization maintaining biographical data.

Notification procedure:

Information may be obtained from commander/supervisor of organization to which the individual is assigned or employed. Individual must provide full name.

Record access procedures:

Requests should be addressed to appropriate commander or supervisor. Official mailing addresses are in the Department of Defense Directory in the appendix to the Department of the Army system notices.

Written requests should include full name of individual and SSN.

For personal visits, individual must be able to provide acceptable identification such as driver's license, military or civilian identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Clippings from published media, published biographical data from DA and other agencies and commands.

Systems exempted from certain provisions of the act:

None

A0412.18aOSA

System name:

412.18 Correspondence (Civilian Aides to the Secretary of the Army)

System location:

Office, Staff Coordinator for Civilian Aides to the Secretary of the Army Program, Office of the Chief of Public Affairs, Office of the Secretary of the Army (OSA), public affairs offices of major and subordinate commands to Headquarters, Department of the Army and Headquarters First, Fifth, and Sixth Armies.

Categories of individuals covered by the system:

Civilian Aides actively affiliated with the Civilian Aides Program.

Categories of records in the system:

Files contain correspondence between the Secretary of the Army and Civilian Aides currently active with the Civilian Aides Program.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff Coordinator, Civilian Aides Program, Office of the Chief of Public Affairs: To maintain a record of correspondence.

OSA: Recipient of correspondence.

Department of Army Staff Agencies: To coordinate requests, provide information, and accomplish tasks.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of Civilian Aide.

Safeguards:

Buildings employ security guards. Records are maintained in security containers and are accessible only to authorized personnel.

Retention and disposal:

Retained during tenure of individual Civilian Aide and destroyed thereafter.

System manager(s) and address:

Office, Secretary of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Office, Secretary of the Army (SASA-CA), Room 2E-673, The Pentagon, Washington, DC 20310, Telephone: Area Code 202/697-8948.

Record access procedures:

Requests from individuals should be addressed to: Office, Secretary of the Army (SASA-CA), Room 2E-673, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address, and telephone number.

For personal visits the individual should provide acceptable identification such as driver's license or employee identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Activities of a personal nature provided by the individual in connection with his duties as a Civilian Aide to the Secretary of the Army; and correspondence originated by SYSMANAGER in reply or providing information.

Systems exempted from certain provisions of the act:

None

A0501.02aDAMO

System name:

501.02 Security Issues Symposium

System location:

Strategic Studies Institute, US Army War College, Carlisle Barracks, PA 17013

Categories of individuals covered by the system:

Military and civilians of Department of Defense (DOD), other executive departments, and academic institutions invited to attend annual Security Issues Symposium; military and civilian members of the United States (US) Army War College preparing papers for presentation at the Symposium.

Categories of records in the system:

Name, position title, rank, office telephone, title of paper, arrival/departure plan information, milestone dates in preparation of papers, and related data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Development of routine listings on status of invitations/acceptances and preparation of papers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in computer storage. Password known only to SYSMANAGER staff required to access file. Hard copy distributed to Command element and principal staffs.

Retrievability:

Retrieved by name, status, or title of paper.

Safeguards:

Computer file is accessible only to SYSMANAGER staff; hard copy is provided to authorized individuals only.

Retention and disposal:

Current data is maintained while effective, normally 3 to 5 years.

System manager(s) and address:

Chief, Support Group, Strategic Studies Institute, US Army War College, Carlisle Barracks, PA 17013

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Information may be obtained from SYSMANAGER.

Contesting record procedures:

Rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Official rosters, personal communications

Systems exempted from certain provisions of the act:

None

A0501.08eUSACIDC

System name:

501.08e Informant Register

System location:

Primary System: Operations Directorate, Headquarters (HQ), United States (US) Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041.

Decentralized Segments: USACIDC subordinate elements which exercise local administrative and technical control of informants; official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

All individuals, civilian or military, who are utilized as informants by USACIDC elements. 'Casual' informants, persons who walk in on a one time basis, are not documented at HQ, USACIDC primary system.

Categories of records in the system:

Files contain cross indexed code numbers; name, race, military occupational specialty (MOS), sex, date and place of birth, home of record, educational level, area of utilization, civilian employment, handler, letters, vouchers, personal history, performance, citizenship, marital status, physical descriptions, criminal history, expertise, talents, actions taken and other related personal data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Operations Directorate, HQ USACIDC, and the operational field elements of USACIDC: to monitor performance and reliability, to check the utilization of informants by subordinate USACIDC elements when the informant has been transferred, to maintain an accounting of expenditures connected with the informant, to answer Congressional inquiries concerning misuse or mistreatment of informants or those who claim they were not informants, and to document fear-of-life transfers for military personnel informants.

Information concerning USACIDC informants is provided to the below listed agencies, components, or bureaus for the purposes of criminal investigative liaison and enforcement of criminal laws, civil court or administrative action for the identification and correction of situations indicative of criminal activity, analyzing modus operandi, and detection of organized criminal activity:

Department of Defense staff and subordinate elements.

Department of the Army staff, major commands and subordinate elements.

Department of the Air Force staff, major commands and subordinate elements.

Department of the Navy staff, major commands and subordinate elements.

US Congress
US Immigration and Naturalization Bureau
Department of Justice
Federal Bureau of Investigation
National Security Agency

US Secret Service
US Marshal Service
US Postal Service
Department of the Treasury
Internal Revenue Service
Alcohol, Tobacco, and Firearms-Department of the Treasury
US Customs
US Department of State
Interpol
Central Intelligence Agency
Drug Enforcement Administration
Counsel of Governments, Washington, DC Metropolitan Area
Defense Supply Agency

Defense Investigative Service (DIS): in addition, limited data are supplied for use in the Defense Central Index of Investigations which is managed by DIS.

Naval Investigative Service
Office of Special Investigations
Civil Service Commission
Federal Aviation Administration
Department of Agriculture
Defense Communications Agency
Defense Security Agency
Defense Nuclear Agency
Law Enforcement Assistance Association
Federal Prison Service
US Coast Guard
US Department of Transportation
Social Security Administration
Selective Service Commission
US Department of Commerce
Food and Drug Administration
Agency for International Development
US Park Police
US Capitol Police
Executive Protective Services
US Department of Labor
Federal Communications Commission
Federal Deposit Insurance Corporation
Federal Trade Commission
General Accounting Office
General Services Administration
US Department of the Interior
Interstate Commerce Commission
Securities and Exchange Commission
Housing and Urban Development
US Marines
Defense Intelligence Agency
Defense Mapping Agency
Defense Security Assistance Agency
Defense Civil Preparedness Agency
Defense Advance Research Project
Defense Contract Audit Agency

Foreign nations under the provisions of Status of Forces Agreements, Treaties, or formal or informal executive agreements; or for purpose of criminal investigative liaison.

Various state and local criminal law enforcement units, departments, or agencies.

Criminal law enforcement means any activity pertaining to crime prevention, control, or reduction or enforcement of the criminal law, including, but not limited to, police effort to prevent, control, or reduce crime, or to apprehend criminals, activities of courts having criminal jurisdiction and related agencies, activities of corrections, probation or parole authorities, and programs relating to the prevention, control, or reduction of juvenile delinquency or narcotic addiction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files and paper records in file folders.

Retrievability:

Records are retrieved by the individual's name, military occupational specialty (MOS), or code number.

Safeguards:

HQ USACIDC buildings employ security guards, files are stored in locked containers during non-duty hours and are accessible only by the Informant Register Officer and an alternate.

USACIDC subordinate elements generally maintain a 24 hour duty officer, store the files in locked containers during non-duty hours and permit access only by Field Office Commander and the individual informant handler.

Retention and disposal:

3 years, or permanent.

System manager(s) and address:

The Commander, Headquarters (HQ), US Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041.

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: CIJA-RI
5611 Columbia Pike, Falls Church, VA 22041.

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041.

Written request for information should contain the full name of the individual, address, date of birth. Personal visits should be made to: Office of the Staff Judge Advocate-Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA, 22041.

For personal visits, the requesting individual must present positive identification, such as a driver's license or other identification card with a photograph, in addition to the information required for written requests.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER, ATTN: CIJA-RI.

Record source categories:

The military personnel records if the informant is in the military, or the civilian personnel records if the person is a civilian employee.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552 a (j) or (k), as applicable. For additional information, contact the System Manager.

A0501.10DAMI

System name:

501.10 Counterintelligence Research File System (CIRFS)

System location:

Counterintelligence Production Division, Intelligence and Threat Analysis Center, United States Army Intelligence and Security Command (USAINSCOM), Arlington Hall Station, Arlington, VA 22212.

Categories of individuals covered by the system:

Individuals who have come to the attention of the US Army counterintelligence community during the course of intelligence operations or normal mission requirements.

Categories of records in the system:

File contains reports employed by the United States intelligence community and, in some cases, photographs of the individual. File is random in structure and personalities are coded for retrieval by a computerized index.

Authority for maintenance of the system:

Executive Order 10450

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a quick reference file to support the Assistant Chief of Staff for Intelligence and to provide the counterintelligence desk analyst a working tool for study of historical and current intelligence material for possible trends in the state of the art.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilmed reels in cassettes and indexed on computer diskpack.

Retrievability:

Microfilmed in random order. Retrieved by personality name via computer index which identifies the reel and document location containing the requested name.

Safeguards:

Building protected by security guards and storage point electronically monitored for illegal entry. Computerized index is access controlled by a code word that is issued only to properly screened, cleared and trained personnel. Code word is presently held only by the Assistant Chief of Staff for Intelligence and issued only to the team of a group conducting a screening operation of the CIRFS.

Retention and disposal:

Records are permanent. They are photographed onto microfilm and the original document destroyed. The file is presently being screened for identification of documents no longer needed and selected documents are being destroyed at the direction of the Assistant Chief of Staff for Intelligence, Headquarters, Department of the Army, the Pentagon, Washington, DC

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Department of the Army, Washington, DC.

Notification procedure:

Information may be obtained from: Deputy Commander, United States Army Intelligence and Security Command, ATTN: IACSF-FI, Ft Meade, MD 20755; Telephone: Area Code 301/677-4742/3.

Record access procedures:

Requests from individuals should be addressed to: Deputy Commander, United States Army Intelligence and Security Command, ATTN: IACSF-FI, Ft Meade, MD 20755.

Written requests for information must contain the full name and social security number of the individual, current address, and telephone number.

For personal visits, the individual should be able to furnish acceptable identification and give verbal information that could be verified from his file card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information obtained from investigative reports of the Defense Investigative Service, USAINSCOM, other Federal and Department of Defense investigative and law enforcement agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (k)(1)(2) or (5), as applicable. For additional information, contact the SYSMANAGER.

A0502.03aDAMI

System name:

502.03a Intelligence Collection Files

System location:

United States Army Intelligence and Security Command (USAINSCOM), Ft Meade, MD 20755.

Decentralized segments located at USAINSCOM groups, field stations, battalions, detachments, field offices and resident offices stationed worldwide.

Categories of individuals covered by the system:

Any individual who qualified and may be accepted for sensitive intelligence duties with the US Army.

Categories of records in the system:

Files contain documents which describe the requirements, the objectives, the approvals, the implementation, the reports, and the results of Department of the Army (DA) sensitive intelligence activities.

Authority for maintenance of the system:

Executive Order 10450, 2,3,4,5,6,7,8,9 and 14; Title 10 U.S.C., Section 3012 (b)(c)(g); National Security Act of 1947 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to support contingency planning and military operations.

Information is used by Department of the Army, Department of Defense, Federal Bureau of Investigation, Central Intelligence Agency, and the Defense Intelligence Agency.

Information may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in, international agreements and arrangements including those regulating the stationing and status in foreign countries of DOD military and civilian personnel and other countries where there are routine reciprocal exchange of information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and visible, vertical card files. Automated data processing records on disk with video display of individual source records on cathode ray tube.

Retrievability:

Filed alphabetically by last name, numerically by source and numerically by project number.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly cleared, and have a need-to-know for the information. Automated media are protected by authorized code word for access to system, controlled access to operations rooms, and controlled input distribution.

Retention and disposal:

Records are permanent and retained in active file until no longer needed then retired to the Investigative Records Repository, USAINSCOM, Ft Meade, MD 20755.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Department of the Army, The Pentagon, Washington, DC 20310

Notification procedure:

Information may be obtained from:
Deputy Commander, United States Army Intelligence and Security Command,
ATTN: IACSF-FI, Ft Meade, MD 20755;
Telephone: Area Code 301/377-4742/3.

Record access procedures:

Requests from individuals should be addressed to:
Deputy Commander, United States Army Intelligence and Security Command,
ATTN: IACSF-FI, Ft Meade, MD 20755.

Written requests for information must contain the full name and Social Security Number of the individual, current address, and telephone number.

For personal visits, the individual should be able to furnish acceptable identification and give verbal information that could be verified from his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and for appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications and related information is obtained from the individual investigative reports of Defense Investigative Service, USAINSCOM, and other Federal and DOD investigative and law enforcement agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (k)(1) or (5), as applicable. For additional information, contact the SYSMANAGER.

A0502.03bDAMI

System name:

502.03b Technical Surveillance Index

System location:

Decentralized locations at Investigative Records Repository, Headquarters (HQ), United States Army Intelligence and Security Command (USAINSCOM) Ft Meade, MD; Systems Division, Office of the Deputy Chief of Staff, Intelligence, HQ, United States Army Europe and Seventh Army (USAREUR), Heidelberg, W. Germany; Office of the Deputy Chief of Staff for Personnel, Headquarters, Department of the Army (HQDA), The Pentagon; and Crimes Records Directorate, Ft Holabird, MD.

Categories of individuals covered by the system:

Persons whose conversations have been intercepted during technical surveillance operations conducted by, or on behalf of the Army.

Categories of records in the system:

File contains individual's name and citizenship, any associated telephone number or radio call sign; location, date, and time of the surveillance activity, and the source document.

Authority for maintenance of the system:

Title 18 U.S.C., Sections 2510-2520 and 3504.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use limited to Motions for Discovery, Military Courts-Martial, Privacy Act Requests, and Congressional inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes and paper records.

Retrievability:

USAREUR segment utilizes a computerized retrieval system using name, address, telephone number or case designation. Other segments are retrieved manually by name, address, telephone number or case designation.

Safeguards:

Access to buildings are controlled by security guards. Records are maintained in General Services Administration approved security containers, physically separated from other materials, and are accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Records are permanent.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Headquarters, Department of the Army (DAMI-CIS), The Pentagon, Washington, DC 20310

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army,
(DAMI-CIS), Room 2D481,
The Pentagon,
Washington, DC 20310;
Telephone: Area Code 202/695-4474.

Record access procedures:

Requests from individuals should be addressed to the appropriate decentralized repository.

Written requests for information should contain the full name of the individual, current address, and telephone number.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAMI-DOS) Washington, DC 20310.

Record source categories:

Army and other investigative agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (k), (1), (2), or (5), as applicable. For additional information, contact the SYSMANAGER.

A0502.08aDAMI

System name:

502.08a Badge and Credential Files

System location:

United States Army Intelligence and Security Command (USAINSCOM), Ft Meade, MD 20755.

Decentralized Segments: Each USAINSCOM group, field station, battalion, detachment, field or resident office having assigned personnel who possess Military Intelligence Badges and Credentials (B&C).

Categories of individuals covered by the system:

Individuals who currently possess or in the past possessed Military Intelligence B&C.

Categories of records in the system:

Card file containing the name, social security number (SSN), rank, and B&C number of each person who has been issued Military Intelligence (B&C). This card file is an index to a numerical filing system consisting of envelopes having a B&C status and Control Card (MIIA form 70) attached which contains the name of the individual, B&C number, component (military or civilian), military occupational specialty (MOS), clearance of civilian, authority for issue, and comments which indicate the history of the B&C keyed to the individuals having been assigned the B&C.

Authority for maintenance of the system:

Executive Order 10450, Sections 2,3,4,5,6,7,8,9, and 14; Title 10 U.S.C., Section 3012(b)(c)(d) and (g); National Security Act of 1947, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of system is to maintain control and accountability over Military Intelligence B&C.

USAINSCOM uses system to maintain strict control and accountability over all B&C; to conduct periodic inventories; to determine SSN, rank, and/or location of B&C possessors or expossessors; and to determine whether individuals have B&C.

Federal investigative and/or intelligence agencies on occasion use the file to ascertain if an individual legally possesses B&C.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files.

Retrievability:

Filed alphabetically by last name of possessor of B&C.

Safeguards:

Primary system is maintained in buildings employing security guards. Records are maintained in area accessible only to authorized personnel who are properly cleared and trained.

Retention and disposal:

Records are maintained indefinitely. Destruction is authorized by Central Custodian of the B&C.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Deputy Commander,
United States Army Intelligence and Security Command,
ATTN: IACSF-FI, Ft Meade, MD 20755;
Telephone: Area Code 301/677-4742/3.

Record access procedures:

Requests from individuals should be addressed to: Deputy Commander, United States Army Intelligence and Security Command, ATTN: IACSF-FI, Ft Meade, MD 20755.

Written requests for information must contain the full name and SSN of the individual, current address, and telephone number.

For personal visits, the individual should be able to furnish acceptable identification and give verbal information that could be verified from his file card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

United States Army personnel and security records and United States Army Orders.

Systems exempted from certain provisions of the act:

None

A0502.10aDAMI

System name:

502.10 USAINSCOM Investigative Files System

System location:

United States Army Intelligence and Security Command, (USAINSCOM), Ft Meade, MD 20755.

Decentralized Segments located at USAINSCOM groups, field stations, battalions, detachments, and field offices stationed worldwide.

Categories of individuals covered by the system:

Military personnel of the United States (US) Army to include active duty, National Guard members, reservists and retirees; civilian employees of the Department of the Army (DA), to include contract, temporary, part time, advisory, and volunteer, including citizen and alien employees located both in the US and in oversea areas; industrial or contractor personnel who are civilians working in private industry for firms which have contracts involving access to classified Department of Defense (DOD) information; aliens granted limited access authorization to US Defense information; DOD alien personnel investigated for visa purposes; individuals about whom there is a reasonable basis to believe that they are engaged in, or plan to engage in, activities such as (1) theft, destruction, or sabotage of ammunition, equipment, facilities, or records belonging to DOD units or installations, (2) possible compromise of classified defense information by unauthorized disclosure or by espionage, (3) subversion of loyalty, discipline or morale of DA military or civilian personnel by actively encouraging violation of lawful orders and regulations or disruption of military activities, (4) demonstrations on active or reserve Army installations or immediately adjacent thereto which are

of such character that they are likely to interfere with the conduct of military operations, (5) direct threats to DOD military or civilian employees regarding their official duties or to other persons authorized protection by DOD resources, and (6) activities or demonstrations endangering classified defense contract facilities or key defense facilities of the Panama Canal approved by Headquarters, Department of the Army; certain non-DOD affiliated persons whose activities involve them with the DOD, namely, activities involving requests for admission to DOD facilities or requests for certain information regarding DOD personnel, activities, or facilities; persons formerly affiliated with the DOD; persons who applied for or are/were being considered for employment with or access to DOD such as applicants for military service, pre-inductees and prospective contractors; visa applicants, individuals residing on, having authorized official access to, or conducting or operating any business or other function at any DOD installation and facility; and USAINSCOM sources.

Categories of records in the system:

Requests for investigation and attachments thereto such as personal history statements; fingerprint cards; personnel security questionnaire; waivers for release of credit; medical and/or educational records; and National Agency check requests.

Investigations conducted by USAINSCOM or other DOD, Federal, State or local investigative agency to include: National Agency checks; local agency checks; military records; birth records; employment records; education records; credit records; interviews of education, employment, and credit references; interviews of listed and developed character references; interviews of neighbors; documents which succinctly summarize information in subjects investigative file; case summaries prepared by both investigative control offices and requesters of investigation interrogation reports; correspondence pertaining to the investigation or its adjudication by clearance authority to include; (1) information which reflects the chronology of the investigation and adjudication, (2) all recommendations regarding the future status of the subject, (3) actions of security/loyalty review boards, (4) final actions/determinations made regarding the subject, and (5) security clearance, limited access authorization, or security determination; index tracing reference which contains aliases and nee names of the subject and names of co-subjects; USAINSCOM form indicating dossier has been reviewed and all material therein conforms to DOD policy regarding retention criteria; USAINSCOM form to indicate material has been removed and forwarded to the Defense Investigative Service (DIS); security termination statements; notification of denial, suspension, or revocation of clearance; record of USAINSCOM agent case assignments; reports of casualty, biographic data concerning Army personnel who are missing or captured; cross reference sheets which indicate the removal of investigative documents requiring limited access.

Case control and management documents that serve as the basis for conducting the investigation. This includes documents requesting the investigation; background data such as personal history statement, fingerprint cards, National Agency check requests, and release statments; and documents used in case management and control such as lead sheets, other field tasking documents, and transfer forms.

Card index of personnel investigations/operations which are under controlled access, to include USAINSCOM personnel, file procurement officers, and sensitive counter-espionage, counter-sabotage, and counter-subversion investigations and/or operations.

Accession file maintained to keep record of all persons and agencies authorized to receive Investigative Records Repository (IRR) Files.

Microfilm index and catalogue file, which is an index to all investigative holdings contained in microfilmed investigative records.

Investigative index card file record system maintained to keep a permanent record of all dossiers charged out of USAINSCOM on loan to user agencies or on permanent transfer to DIS.

Document account record or dossiers of their reproductions or microfiche files forwarded from and returned to USAINSCOM.

Card file and paper listing of all personnel under Army cognizance, whose clearances have been revoked. File contains individual's name, date and place of birth, social security number (SSN), coded reason for revocation, and name of agency which designated the revocation.

File containing a record of all favorable IRR dossiers destroyed because no action has transpired in the file within the past 15 years. File consists of either the last clearance certificate contained in the dossier or, if no clearance certificate exists, a summary card containing the name of the individual, his date and place of birth, his SSN, or Army service number, date and type of investigation, and the name of the agency which conducted the investigation.

Records accounting for the disclosure of USAINSCOM investigative material made outside the US Army.

Summaries of release actions under the Freedom of Information Act (FOIA) and the Privacy Act (PVA) of 1974.

Card file containing a summary of all actions taken by the USAINSCOM in the conduct of security adjudication.

Authority for maintenance of the system:

Executive Order 10450, Sections 2,3,4,5,6,7,8,9 and 14; Title 10 U.S.C., Section 3012(b)(c)(g); National Security Act of 1947, as amended; Executive Order 11652, Sections 1,2,3,4,5,6,7,8,9,10 and 12.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes for which information in the system is collected are as follows:

To conduct personnel security investigations (PSI). A PSI is an inquiry into the activities of the individual which is designed to develop pertinent information pertaining to his suitability for a position of trust. Information is compiled on loyalty, character, emotional stability, trustworthiness, and reliability to insure that an individual's access or continued access to defense information, entry to restricted areas, access to nuclear weapons, security eligibility or acceptability for assignments to or retention in sensitive civilian positions and acceptance or retention as a member of the Armed Forces is clearly consistent with the interest of national security.

To provide protective services when authorized by the Secretary of Defense for the DOD Distinguished Visitors Protection Program. The objective of this program is to provide physical protection for distinguished foreign visitors of DOD and the military departments and high ranking members of DOD and its agencies, and to assist the U.S. Secret Service in its protective functions.

To conduct special investigations as authorized by the Secretary of the Army, which are counterintelligence investigations concerning highly sensitive matters and highly placed persons within the DOD and its agencies.

To conduct limited reciprocal investigations on receipt of an official request from Federal law investigative agencies. These investigations involve the review of DA and military records.

Categories of users of USAINSCOM investigative files are:

USAINSCOM personnel in the course of their official duties.

Other DOD investigative elements, DOD agencies and elements of the Military Departments designated by the departments in official directives or regulations, and accredited representatives of the Secretary of Defense and the Joint Chiefs of Staff.

Accredited Federal criminal and civil law enforcement agencies including those responsible for conducting their own investigations as to suitability for employment or access of current or potential employees formerly affiliated with the DOD.

Other accredited Federal agencies serviced by the Civil Service Commission but with a need to evaluate the suitability of potential employees formerly affiliated with the DOD.

Congress, including the General Accounting Office.

Veterans Administration.

Specific uses of USAINSCOM Investigative Files are:

To determine the loyalty, suitability, eligibility, and general trustworthiness of individuals for assignment or appointment to sensitive military duties or to critical sensitive civilian positions by the first four categories of users, above.

To determine the eligibility and suitability of individuals for entry and retention in the Armed Forces by the first and second category of users, above.

To provide information for ongoing security and suitability investigations being conducted by Federal agencies, by the first three categories of users, above.

To provide information to assist Federal agencies in the administration of criminal justice and prosecution of offenders by the first three categories of users, above.

To provide information in judicial or adjudicative proceedings including litigation, or in accordance with a court order by the first three categories of users, above.

To make statistical evaluations of investigative activities by all categories of users, above.

To respond to legitimate FOIA and PVA access requests by the first category of users, above.

To provide information in response to Inspector General, Equal Employment Opportunity, other complaint investigations and Congressional inquiries by the first and fifth categories of users, above.

To determine the eligibility and suitability of an individual for favorable personnel actions in the Armed Forces of the United States, to include Reserve and National Guard. Unfavorable information may be used as appropriate by personnel decision managers in first and second category of users, above.

For use in alien admission and naturalization inquiries conducted under Section 105 of the Immigration and Nationality Act of 1952, as amended, by the third category of users, above.

For use in benefit determinations by the sixth category of users, above.

The distribution of investigative information to other DA activities or outside agencies is based on this agency's evaluation of their needs and the relevance of the information to the use for which it is provided. Information collected for one purpose is not automatically used for the other purposes or by the other users indicated in this description. Transfer of information from this record system to other DOD components is regarded as a routine intra-agency use under the provisions of Title 5 U.S.C., Section 552a(b)(1).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Upon receipt of a valid request for an investigation, the request package is given a control number and placed in a case folder (paper record) together with identification data concerning the subject of the request for investigation and the control number. The request is entered into an automatic data processing (ADP) system (USAINSCOM case control system), which is designed to provide statistical data and case control management information on the number and types of investigations that are opened, currently pending, and closed in USAINSCOM. This ADP system triggers automatic requests upon the Defense Central Index of Investigations (DCII), a master index that holds reference to all DOD investigations conducted by USAINSCOM and the Military Services investigative file repositories. If there are files on the subject, a request is generated by USAINSCOM upon the appropriate repository. Upon review of the request package and other investigative files retrieved through DCII, investigative requirements are then determined by the USAINSCOM Control Office and investigative leads are dispatched to the USAINSCOM field elements and other pertinent Governmental investigative agencies. Upon receipt of the investigative leads at the field level, a duplicate investigative file is prepared by the receiving DIS field element. This file contains investigatory report and case control material pertaining only to the specific investigative leads assigned to the controlling field element. At this point the USAINSCOM investigative file enters into a pending status. During this pending status investigative reports are prepared by USAINSCOM field elements and sent to the control office, based upon record and interview data obtained during the investigation. Upon completion of the investigation, the closed investigative file held by the USAINSCOM Control Office is forwarded thru the IRR to the requestor of the investigation. Upon receipt, the requestor adjudicates the investigation and returns it to the IRR for retention. The duplicate files prepared by USAINSCOM field elements are destroyed 120 days after the closing.

Storage:

Paper records in file folders, rolled microfilm, and microfiche.

Retrievability:

File folders are maintained in terminal digit order by regular dossier number and SSN. In order to obtain the dossier number of the subject at least one personal identifier is required. For those subjects who have no identifying data such as date of birth, military service number or SSN, the name only index is searched. Additionally, a non-standard search is required. The name only index will provide a subject's name and dossier number only. The non-standard search will provide a listing of all subjects with identifying data. In these instances, some other identifying data must be furnished such as address. Dossiers possibly identical with the subject may be forwarded to the requester.

Microfiche files are maintained in duplicate copy in separate locations in Microfilm Division, IRR. The records are maintained in terminal digit order according to regular dossier number or SSN.

Microfilm records are retrieved by name or dossier number.

Safeguards:

Building 4552, which houses the IRR, is under 24-hour guard and accessible only to authorized personnel. Only individuals accredited as file procurement officers may obtain and review IRR investigative records. Subordinate USAINSCOM elements and other official requesters are required to have General Services Administration-approved containers for the storage of investigative files. Certified mail is used to forward any investigative files to official requesters of USAINSCOM subordinate elements.

Retention and disposal:

Personnel Security Investigative Files may be retained for 15 years after last action reflected in the file, except that files which resulted in adverse action against the individual will be retained permanently. However, once affiliation is terminated, acquiring and adding material to the file is prohibited unless affiliation is renewed.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Headquarters, Department of the Army, the Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from
Deputy Commander
United States Army Intelligence and Security Command
ATTN: IACSF-FI
Ft Meade, MD 20755
Telephone: Area Code 301/677-4742/3.

Record access procedures:

Requests should be sent to: Deputy Commander, United States Army Intelligence and Security Command, ATTN: IACSF-FI, Ft Meade, MD 20755.

Written requests for information should contain the full name of the individual, SSN, previous service number (if any), current address, and telephone number. Visits are limited to Building 4552, Ft Meade, MD 20755.

For personal visits, the individual should be able to provide acceptable identification (e.g. driver's license, employing office's identification card) and give verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

DOD and Military Department records; Federal Agency records; State, county, and municipal records; employment records of private schools, colleges, universities, technical and trade schools; hospital records; real estate agencies; credit bureaus, loan companies, credit unions, banks, and other financial institutions which maintain credit information on individuals; Transportation companies (airlines, railroads, etc.); Other private records sources deemed necessary in order to complete an investigation; Miscellaneous records such as: telephone directories; city directories; Who's Who in America; Who's Who in Commerce and Industry; Who Knows What - A listing of experts in various fields; American Medical Directory; Martindale-Hubbell Law Directory; US Postal Guide; Insurance Directory; Dunn and Bradstreet; and The US Army Register; any other type of miscellaneous record deemed necessary to complete the USAINSCOM investigation; the interview of individuals who have knowledge of the subject's background and activities; the interview of witnesses; the interview of victims; the interview of confidential sources; and the interview of other individuals deemed necessary to complete the USAINSCOM investigation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a(k)(1), (2) or (5), as applicable. For additional information, contact the SYSMANAGER.

A0503.03aDAMI

System name:

503.03a Department of the Army Operational Support Activities Files

System location:

United States Army Intelligence and Security Command, (USAINSCOM), Ft Meade, MD 20755.

Categories of individuals covered by the system:

Selected members of the US Army and civilian employees of the Department of the Army (DA) who participate in and have received support for conducting US Army intelligence and counterintelligence duties. Included are personnel of other Federal agencies who have requested and received support from appropriate authority.

Categories of records in the system:

Card file with Automatic Data Processing (ADP) index of individuals who have received support from DA in completing specialized duties within the Army's intelligence and counterintelligence activities.

Card files and duplicate ADP files of individuals indicating any identity and other data which may be used to identify them in their support of DA's intelligence and counterintelligence activities.

Authority for maintenance of the system:

Executive Order 10450, Sections 2,3,4,5,6,7,8,9 and 14; Title 10 U.S.C., Section 3012(b) (c) (g); National Security Act of 1947 as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain within records which identify individuals performing duties in DA specialized intelligence and counterintelligence assign-

ments data to support or refute any possible future claim of the individual to the US Government.

To facilitate administrative actions by providing a reference to names and identities.

To manage individual's career while he is assigned to duties in support of the Army's intelligence and counterintelligence functions. Records provide reference during individual's period of assignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, vertical card file, ADP printouts, ADP diskpack.

Retrievability:

Filed alphabetically by last name of individual. ADP files by Social Security Number (SSN),

Safeguards:

Material is stored in General Services Administration (GSA) containers approved for the storage of secret material. Building in which material is stored is locked during hours of nonoccupancy.

ADP files are access controlled by a codeword issued only to properly screened, cleared, and trained personnel.

Retention and disposal:

Files are maintained permanently.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Deputy Commander, United States Army Intelligence and Security Command,
ATTN: IACSF-FI, Ft Meade, MD 20755;
Telephone: Area Code 301/677-4742/3.

Record access procedures:

Requests from individuals should be addressed to:
Deputy Commander, United States Army Intelligence and Security Command,
ATTN: IACSF-FI, Ft Meade, MD 20755.

Written requests for information must contain the full name and (SSN) of the individual, current address, and telephone number.

For personal visits, the individual should be able to furnish acceptable identification and give verbal information that could be verified from his file card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications and related information is obtained from the individual; investigative reports of Defense Investigative Service, USAINSCOM, and other Federal and Department of Defense investigative and law enforcement agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (k) (l), (2) or (5), as applicable. For additional information, contact the SYSMANAGER.

A0503.06aDAMI

System name:

503.06 Counterintelligence Operations Files

System location:

Primary System: US Army Intelligence Agency, Fort Meade, Maryland 20755. Segments are located in United States Army, Europe (USAREUR), Pacific Command (PACOM) area and other Army elements stationed worldwide.

Decentralized Segments: Locations of the US Army Intelligence Agency's Decentralized Segments may be obtained from the Appendix to this Federal Register.

Categories of individuals covered by the system:

Active and Retired Military Personnel, Department of Defense (DOD) affiliated civilians including contractor personnel employed by civilian firms having defense contracts, and individuals not affiliated with the Department of Defense (DOD) only if there is a reasonable basis to believe that one or more of the following situations exist:

Theft, destruction or sabotage of weapons, ammunition, equipment, facilities or records belonging to DOD units or installations.

Possible compromise of classified defense information by unauthorized disclosure or by espionage.

Subversion of loyalty, discipline or morale of Department of the Army (DA) military or civilian personnel by actively encouraging violation of laws, disobedience of lawful orders and regulations, or disruption of military activities.

Demonstrations on active or reserve Army installations or demonstrations immediately adjacent to them which are of such a size or character that they are likely to interfere with the conduct of military activities.

Armed Forces Induction Center, US Army Recruiting Stations located off-post and facilities of federalized National Guard Units are considered to be active DOD installations. For the purpose of the subparagraph, Reserve Officer Training Corps (ROTC) installations on campuses are not considered to be active or reserve Army installations and coverage of demonstrations at or adjacent to such installations is not authorized.

Direct threats to DOD military or civilian personnel regarding their official duties or to other persons authorized protection by DOD resources.

Activities or demonstrations endangering classified defense contract facilities or key defense facilities, including Panama Canal, approved by Headquarters, Department of the Army (HQDA), as key to the defense and operation of the Panama Canal.

Categories of records in the system:

Files contain those documents used to conduct special counterintelligence operations pertaining to the US Army's responsibilities under the categories of counterintelligence, counterespionage, counter-sabotage, and counter-subversion.

Authority for maintenance of the system:

Executive Order 10450, section 2,3,4,5,6,7,8,9 and 14; Executive Order 10865, Section 1(a); National Security Act of 1947 as amended; Title 10 U.S.C., Section 3012 (b) (c) (g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are maintained to detail results of investigations and operations, to facilitate guidance control and effectiveness of the investigations and operations, and to document for record and law enforcement purposes results of investigations and operations.

DOD components and federal agencies and law enforcement agencies when the mission of the agency contains responsibility for counterintelligence activities in the continental United States or oversea areas where DOD personnel are located.

To support authorized counterintelligence investigations and operations initiated to detect, identify, and neutralize counterintelligence threats to the DOD.

Information may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in, international agreements and arrangements including those regulating the stationing and status in foreign countries of DOD military and civilian personnel and other countries where there are routine reciprocal exchanges of information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.
File cards.

Retrievability:

Filed alphabetically by name or file number.

Safeguards:

Files are maintained in three-position combination, fire resistant, steel cabinets housed in security controlled areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent. At the termination of counterintelligence operations, files are retired to the US Army Intelligence Agency's Investigative Records Repository.

System manager(s) and address:

The Assistant Chief of Staff for Intelligence, Department of the Army, Washington, DC 20310

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

See EXEMPTION

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), For additional information, contact the System Manager.

A0506.01fDAMI

System name:

506.01 Personnel Security Clearance Information Files

System location:

Primary System: Joint Adjudicative Clearance System (JACS) (segment of the Defense Central Index of Investigation (DCII), Defense Investigative Service (DIS), Ft Holabird, MD 21203.

Decentralized Segments: Records as to the individual's personnel security and clearance status may be maintained by offices at Department of the Army (DA) Staff agencies, major commands, installations, activities, and unified and specified commands.

Categories of individuals covered by the system:

Any individual, civilian or military, affiliated with the United States Army by assignment, employment, contractual relationship, or as the result of an interservice support agreement on whom a personnel security clearance determination has been completed, is in process, or may be pending.

Categories of records in the system:

File may contain pending and completed personnel security clearance actions on individuals by personal identifying data. Also may contain briefing/debriefing statements for special programs, sensitive positions, and other related information and documents required in connection with personnel security clearance determinations.

Authority for maintenance of the system:

Executive Orders 10450 and 10865; Title 10 U.S.C., Section 3012; Title 50 U.S.C., Section 4039; and the National Security Act of 1947.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To process request for personnel security clearance actions; to determine eligibility for access to classified information or assignment to sensitive position; and to record security clearance issued or accepted.

Information may be released to other Department of Defense (DOD) and Federal agencies, based on formal accreditation as specified in official directives, regulations, and demonstrated need-to-know; to Federal, State, local, and foreign law enforcement, intelligence, or security agencies in connection with a lawful investigation under their jurisdiction; and to commanders/agency heads for adverse personnel actions such as fraudulent enlistment proceedings, removal from sensitive duties, elimination from the service, removal from employment, denial to a restricted or sensitive area, and revocation of security clearance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in folders, file cards; computer tape, punch cards, or disks.

Retrievability:

Filed alphabetically by last name of individual or social security number (SSN).

Safeguards:

Records are stored in locked buildings which employ security guards and are subject to Military Police and/or local civilian law enforcement patrol security. All records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained. Use of computers, including remote terminals, requires knowledge of special transaction codes to preserve integrity of data.

Retention and disposal:

Primary system files are destroyed at the same time as the dossier upon which security clearance action was based. Decentralized segment personnel security clearance files are either (1) destroyed upon termination of access, (2) destroyed 1 year from date of transfer or separation of individual, or (3) forwarded to the gaining organization. Investigative reports are forwarded to the United States Army Central Personnel Security Clearance Facility, Ft Meade, MD for inclusion in dossier at the United States Army Intelligence and Security Command (USAINSCOM) Investigative Records Repository (IRR), Ft Meade, MD 20755. Dossiers are maintained no longer than 15 years from date of last entry inless significant adverse information is present, in which case retention is 25 years. Copies of investigative reports are destroyed upon completion of final action.

System manager(s) and address:

United States Army Central Personnel Security Clearance Facility, Ft Meade, MD 20755.

Notification procedure:

Information concerning status or degree of personnel security clearance/access may be obtained from the Installation or Command Security Officer where applicant was assigned or employed. Information contained in investigative files may be obtained from the appropriate investigative agency.

Record access procedures:

Requests for security clearance information should be sent to: Commander, ATTN: Security Officer, of the command or installation of assignment or employment.

Requests for information should contain the full name of the individual, SSN, current address, and telephone number.

For personal visits to the Security Office, the individual should be able to provide identification (e.g., driver's license, identification card) and give verbal information that can be verified with office records.

Requests for information contained in investigative files should be addressed to appropriate investigative agency with personal identifying data required by that system as published in the Federal Register.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Application and related forms obtained from the individual; investigative results from the DIS, USAINSCOM IRR, and other Federal, DOD, and DA investigative or law enforcement agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a(k)(1), (2), and (5). For additional information, contact the SYSMANAGER.

A0506.01JUSAREUR

System name:

506.01 Employee Screening Program/Installation Access Files

System location:

Security Branch, Office of the Deputy Chief of Staff, Intelligence, Office of the United States (US) Commander, Berlin, Germany.

Categories of individuals covered by the system:

All civilian applicants for and/or employees in positions in US Forces activities in the Berlin Command, other than Department of Defense (DOD) civilians. Persons included are of various nationalities, paid from both appropriated and nonappropriated funds, as well as from funds provided by the German Occupation Costs Office, who are administered under the Berlin Tariff Agreement, which governs employment of the local national workforce. Non-US citizen applicants for and holders of passes authorizing unoffical access to closed US Forces installations and facilities in Berlin.

Categories of records in the system:

Cards or paper files contain name; date and place of birth; social security number (SSN) for US citizens; address; personal identity documents by type and serial number; employing or potential employing agency; type of position held or applied for and related information; dates security screening action initiated and completed; list of investigative agencies' files checked with results and disposition of case.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012 and Title 50 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine suitability for employment and to grant access to closed military installations as warranted. Information on security screening actions is provided to DOD and US State Department law enforcement investigative agencies in Berlin for use in criminal/security investigative purposes, when warranted.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards are stored in file boxes, paper records in file folders.

Retrievability:

Alphabetically by last name.

Safeguards:

Records are maintainted in locked areas, accessible only by authorized personnel who are properly screened, cleared, and trained. Buildings are enclosed in a compound to which access is controlled at all times.

Retention and disposal:

Files pertaining to US citizens are destroyed on transfer or separation of individual. Files on non-US employees on whom no derogatory information is developed during their tenure of service are held in the inactive files for 6 months after termination of employment, then destoyed; derogatory files are destroyed 2 years after termination. Files pertaining to applicants who are not accepted are destroyed upon notification by appropriate Civilian Personnel Officer. Files pertaining to non-US citizen applicants or holders of installation passes are disposed of in accordance with the following schedule: When file contains no or only minor derogatory information, destroyed upon notification from responsible official of surrender of pass. When pass is denied or withdrawn for cause, it is placed in the inactive file, held for 3 years and then destroyed.

System manager(s) and address:

Deputy Chief of Staff, Intelligence, Office of the US Commander Berlin, APO New York 09742.

Notification procedure:

Information may be obtained from:
Deputy Chief of Staff, Intelligence
Office of the US Commander, Berlin
APO New York 09742

Record access procedures:

Request from individuals should be addressed to:
Commander, United States Army, Berlin
ATTN: AEBA-IC(S),
APO New York 09742

Written request for information should contain the full name, date and place of birth, SSN (where appropriate), and current address of the individual.

For personal visits, the individual should be able to provide acceptable indentification such as national passport, government identity document, employing offical's identification card, and give verbal information that could be verified with his/her 'case' folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21 (32 CFR Part 505).

Record source categories:

Application forms from the individual, employee personnel records, files of various government investigative agencies, previous employers, financial institutions, educational institutions, and research notes/documents from records custodians.

Systems exempted from certain provisions of the act:

None

A0506.05aUSMACTHAI

System name:

506.05 Diplomatic Immunity Roster

System location:

Primary System: Computer Systems Management Branches, Assistant Chief of Staff, Communications & Electronics, United States Military Assistance Command, Thailand/Joint United States Military Advisory Group, Thailand (USMACTHAI/JUSMAGTHAI);

Decentralized Segments: American Embassy, Bangkok, Thailand; Supreme Command (Forward), Royal Thai Government; and USMACTHAI/JUSMAGTHAI Staff agencies.

Categories of individuals covered by the system:

Any member assigned to any of the following units stationed in Thailand: 7th Radio Relay Field Station; 6924 Security Squadron; Navy Detachment, Radio Relay Field Station; 4802 Joint Liaison Detachment; 17th DAR Squadron; Postal Courier Region, A116, Det 1, 1985th Communications Squadron; 6201 Aerospace Support Squadron; Department of Defense (DOD) Special Representative, Thailand; General Electric, Kokha.

Categories of records in the system:

File contains individual's name, social security number (SSN) and organization.

Authority for maintenance of the system:

Royal Thai Government and Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Computer Systems Management Branch: To maintain current status of eligibility for inclusion on roster; to print and review final roster.

American Embassy, Bangkok: To coordinate, review and verify individual's eligibility for diplomatic immunity; to declassify information.

Supreme Command (Forward), Royal Thai Government: To coordinate and verify with the American Embassy, Bangkok, the individual's eligibility for diplomatic immunity.

USMACTHAI/JUSMAGTHAI Staff agencies: To assemble and coordinate information utilized for inclusion on roster; to review and verify individual's eligibility for diplomatic immunity and to declassify information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

IBM card stock in file folders; IBM rosters in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in storage areas accessible only to authorized personnel. Rooms within some buildings are double locked.

Retention and disposal:

Records are temporary. They are retained in active file until the individual departs Thailand and then destroyed.

System manager(s) and address:

Commander, USMACTHAI/JUSMAGTHAI, Army Post Office (APO) San Francisco 96346.

Notification procedure:

Information may be obtained from:
USMACTHAI
ACofS, Personnel
APO San Francisco, CA 96346
Telephone: 985-2106

Record access procedures:

Requests from individuals should be addressed to: HQ, USMACTHAI, ACofS, Personnel, APO San Francisco, CA 96346.

Written requests should contain full name and social security number of individuals.

For personal visits, the individual should be able to provide his identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Messages and other written communications from the individual units requesting members addition or deletion from the roster.

Systems exempted from certain provisions of the act:

None

A0508.04USACIDC

System name:

508.04 US Army Criminal Investigation Fund Vouchers.

System location:

Primary System: Comptroller, US Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041.

Decentralized Segments: USACIDC subordinate elements. Official mailing addreases are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any special agent of USACIDC or Military Police Investigator (MPI), US Army, who has made expenditures of or has requested reimbursement from USACIDC limitation, 015 contingency funds (described in Army Regulation (AR) 37-47).

Categories of records in the system:

Files contain the USACIDC special agent's or MPI's name, reason for such expenditure, grade, receipts, certificates of expenditure when receipts are unavailable, statements by persons as to the receipt of funds and/or reasons for such payment, or cash advances.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USACIDC personnel with a need to know: to maintain a proper accounting of the expenditure of USACIDC funds.

Department of the Army staff, major commands and subordinates with a need to know: to monitor the proper accounting of USACIDC funds.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by voucher number only at Headquarters (HQ) USACIDC. Filed by the individual's name at USACIDC subordinate levels.

Safeguards:

Subordinate USACIDC elements generally employ 24 hour duty officers and maintain the records in locked buildings. Access is limited to authorized personnel.

HQ USACIDC buildings employ security guards; records are maintained in locked rooms; and access is limited to authorized personnel.

Retention and disposal:

Clothing records are transferred with the USACIDC special agents.

Individual vouchers are destroyed 8 years after the last entry.

System manager(s) and address:

The Commander, US Army Criminal Investigation Command, 5611 Columbia Pike, Falls Church, VA 22041

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: CIJA-RI
5611 Columbia Pike
Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041

Written requests for information should contain the individual's full name, address, and date of birth. Personal visits should be made to Office of the Staff Judge Advocate-Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041.

For personal visits, the requesting individual must present positive identification, such as a driver's license or other identification card with a photograph, in addition to the information required in written requests.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER, ATTN: CIJA-RI.

Record source categories:

Special agent or MPI, informant, or other persons' statements pertaining to expenditures.

Systems exempted from certain provisions of the act:

None

A0508.07aUSACIDC

System name:

508.07 Criminal Investigation Accreditation Files

System location:

Primary System: Accreditation Division, Directorate of Personnel and Administration, Headquarters (HQ), US Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041

Decentralized Segments: Crime Records Directorate, USACIDC, 2301 Chesapeake Avenue, Baltimore, MD 21222; Washington National Records Center, GSA, Suitland, MD.

Categories of individuals covered by the system:

Any person who makes an application to the USACIDC for acceptance into the USACIDC program as an apprentice special agent; for a warrant officer appointment in USACIDC; for USACIDC supervisor credentials; for the USACIDC officer specialty program; or for USACIDC laboratory technician credentials.

Categories of records in the system:

Files contain the individual's application to USACIDC, a statement of personal history, personal identifiers, photographs, fingerprint cards, qualifications record, biography, information pertaining to assignment capability or location, letters of recommendation, educational documents, character investigation data, reclassification orders, reassignment orders, commander's inquiry data, reports of investigation, reasons for withdrawal from the program, reason for denying the application, date of acceptance into the program, date appointed (if an officer or warrant officer), date of accreditation, badge number, credential number polygraph certificate number (if a certified polygraph examiner), agent sequence number, assignment, date assigned, marital status, and other data pertaining to the accreditation function, polygraph examiner performance and evaluation data, physical profile, date of last physical, assignment preference, humanitarian transfer restrictions, current job title, date current security clearance authorized, date of last background investigation; primary, secondary, tertiary foreign language capability, special qualifications, service agreement, spouse's place of birth and citizenship, agent's place of birth, agent's last ten assignments, agent's hobbies, and agent's private licenses.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff elements of USACIDC with a need-to-know: to determine an applicant's initial acceptance or non-acceptance into the USACIDC program, and if accepted the individual's continued eligibility, placement or standing within the USACIDC program.

U.S. Army Intelligence Security Command, for storage and utilization in determining security classifications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Alpha file: paper records in file folders.
Criminal Investigator Information Data Card: vertical card file.
Machine Punch Card System: vertical card file.
Automated data files are maintained on magnetic tapes.

Retrievability:

Alpha Card File, Criminal Information Card, and Machine Punch Card Systems are all retrievable by last name of the individual, agent Sequence number SSN, badge number, credential number and polygraph number.

Safeguards:

HQ USACIDC buildings employ security guards, material is stored in locked containers during non-duty hours, and is accessible only by authorized personnel.

Crime Records Directorate building employs security guards, data is stored within a locked wire enclosure, and is accessible only by authorized personnel.

Washington National Records Center: buildings employ security guards during non-duty hours, 24 hour intrusion alarms, and locked external doors, and is accessible only by authorized personnel.

Automated records are maintained in a building employing security guards, room and data are accessible only by authorized personnel.

Retention and disposal:

Alpha files; files of approved applicants are retained in the active file until the individual retires, is released from active duty, or is voluntarily or involuntarily removed from the USACIDC program; the file is placed in an inactive storage at HQ USACIDC for the remainder of that year plus two additional years; it is then transferred to the Washington National Records Center where it is stored for eight additional years and then destroyed; files of personnel not accepted into the USACIDC program are retained in inactive storage at HQ USACIDC for the remainder of that year plus one additional year and then destroyed.

Criminal Investigation Information Data Cards are maintained permanently.

Machine Punch Cards are maintained only during such time as the individual is currently in the USACIDC program and are destroyed upon cessation of that status.

Automated data on individuals are maintained while the individual is serving as an investigator and for 90 days after he or she leaves the program.

System manager(s) and address:

The Commander, Headquarters (HQ), US Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041

Notification procedure:

Information may be obtained from:
Commander
USACIDC

ATTN: CIJA-RI
5611 Columbia Pike, Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041

Written requests for information should contain the full name of the individual, address, date of birth, and whether or not the individual has ever applied for the USACIDC program. Personal visits should be made to: Office of the Staff Judge Advocate-Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041.

For personal visits, the requesting individual must present positive identification, such as a driver's license or other identification card with a photograph, in addition to the information required for written requests.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the sysmanager, ATTN: CIJA-RI.

Record source categories:

Previous or present employers, financial institutions, relatives and former spouses, officer master file and enlisted master file, MILPERCEN, educational institutions, trade or fraternal organizations, neighbors past and present, work associates, social acquaintances, churches, public records, current and past commanders, and other investigative departments both within and without the Department of the Army and the Federal Government.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

A0508.09DAPE

System name:

0508.09 FBI Criminal-Type Reporting Files

System location:

Primary System: Crime Records Directorate, US Army Criminal Investigation Command, 2301 Chesapeake Avenue, Baltimore, MD 21222.

Decentralized copies: A copy is furnished major commands for use in determining administrative or judicial remedies at the respective military installation. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any member or civilian employee of the Active Army or Reserve Components involved in criminal activity.

Categories of records in the system:

File contains criminal investigative reports; testimony of witnesses; substantiating records and related evidence of criminal activity.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(j).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Enforce military and civil laws on Army installations; determine whether an offense was committed; establish responsibility for criminal offenses, provide evidence to commander for administrative or judicial remedies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by full name and SSN, then unique investigation report number.

Safeguards:

Building employs security guards. Records maintained in areas accessible only to authorized personnel properly trained who have need for access.

Retention and disposal:

Retained 40 years by US Army Criminal Investigation Command. Other user agencies destroy on completion of useful life of the documents.

System manager(s) and address:

Commander, US Army Criminal Investigation Command, Crime Records Directorate, 2nd and R Street, SW, Washington, DC 20318.

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

Subjects, witnesses, victims, Military Police and US Army Criminal Investigation Command personnel and special agents, informants, various Department of Defense, Federal, State and local investigative and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additonal information, contact the System Manager.

A0508.11aUSACIDC

System name:

508.11 Criminal Investigation and Crime Laboratory Files

System location:

Primary System: Crimes Record Directorate, United States (US) Army Criminal Investigation Command (USACIDC), 2301 Chesapeake Avenue, Baltimore, MD 21222.

Decentralized Segments: Headquarters (HQ), USACIDC and all USACIDC subordinate elements, official mailing addresses are in the Department of Defense directory in the Appendix. Defense Investigative Service, Ft Holabird, MD, automated index to drug offenders in case files and automated suspense index on the disposition of offenders in case files.

Categories of individuals covered by the system:

Any individual, civilian or military, involved or suspected of being involved in or reporting possible criminal activity affecting the US Army's interests, property, and/or personnel.

Categories of records in the system:

Files contain names, social security numbers, rank, units, location, date and place of birth, physical descriptions, chronology of events, Action Officer's activity summary, letters, messages, notes; reports of investigation containing witness statements, subject statements, agents statements, laboratory reports, documentary evidence, polygraph examination reports, physical evidence, summary data and administrative data pertaining to the preparation and distribution of the report; basis for the action (allegations), Serious and Sensitive Incident reports, talking papers, fact sheets, aliases, descriptions, modus operandi, and other investigative information from Federal, State, and local investigative agencies and departments. Indices contain codes for the type of crime, location of investigation, year and date of offense, names and personal identifiers of persons who have been subjects of electronic surveillance, suspects, subjects and victims of crimes, the report number which allows access to the files noted above; agencies, firms, Department of the Army (DA), and Department of Defense (DOD) organizations which were the subjects or victims of criminal investigations; and disposition and suspense of offenders listed in criminal investigative case files, witness identification date.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ USACIDC and all USACIDC subordinate elements: to accomplish the USACIDC investigative duties assigned by the DA, to include criminal investigations and crime prevention activities; to accomplish various management functions such as case analysis, statistical compilations, quality control, review to insure that the completed investigations are legally sufficient, and overall improvement in techniques, training and professionalization.

Information concerning criminal or possible criminal activity is provided to the below listed agencies, components, or bureaus for the purposes of criminal investigative liaison and enforcement of criminal laws, civil court or administrative action for the identification and correction of situations indicative of criminal activity, analyzing modus operandi, and detection of organized criminal activity:

DOD staff and subordinate elements.

DA Staff, major commands and subordinate elements.

Department of the Air Force Staff, major commands and subordinate elements.

Department of the Navy Staff, major commands and subordinate elements.

United States Congress
US Immigration and Naturalization
Department of Justice
Federal Bureau of Investigation
National Security Agency
US Secret Service
US Marshal Service
US Postal Service
Department of the Treasury
Internal Revenue Service
Alcohol, Tobacco, and Firearms-Department of the Treasury
US Customs
US Department of State
Interpol
Central Intelligence Agency
Drug Enforcement Administration
Counsel of Governments, Washington, DC Metropolitan Area.
Defense Supply Agency

Defense Investigative Service (DIS): in addition, limited data are supplied for use in the Defense Central Index of Investigations which is managed by DIS.

Naval Investigative Service
Office of Special Investigations
Civil Service Commission
Federal Aviation Administration
Department of Agriculture
Defense Communications Agency
Defense Security Agency
Defense Nuclear Agency
Law Enforcement Assistance Association
Federal Prison Service
US Coast Guard
US Department of Transportation
Social Security Administration
Selective Service Commission
US Department of Commerce
Food and Drug Administration
Agency for International Development
US Park Police
US Capitol Police
Executive Protective Services
US Department of Labor
Federal Communications Commission
Federal Deposit Insurance Corporation
Federal Trade Commission
Government Accounting Office
Government Services Administration
US Department of the Interior
Interstate Commerce Commission
Securities and Exchange Commission
Military Transportation Major Command
Housing and Urban Development
Drug and Alcohol Abuse Directive
US Marines
Defense Intelligence Agency
Defense Mapping Agency
Defense Security Assistance Agency
Defense Civil Preparedness Agency
Defense Advance Research Projects
Defense Contract Audit Agency,
Veterans Administration,

Foreign nations under the provisions of Status of Forces Agreements, Treaties, or formal or informal executive agreements; or for purpose of criminal investigative liaison.

Various State and local criminal law enforcement units, departments, or agencies.

Criminal law enforcement means any activity pertaining to crime prevention, control, or reduction or enforcement of the criminal law, including, but not limited to, police efforts to prevent, control, or reduce crime, or to apprehend criminals, activities of courts having criminal jurisdiction and related agencies, activities of corrections, probation or parole authorities, and programs relating to the prevention, control, or reduction of juvenile delinquency or narcotic addiction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders
Card files and indexes
Automated indexes

Retrievability:

Information is retrievable by reference to the name of the individual or other identifier.

Safeguards:

Crime Records Directorate buildings employ security guards, locked wire enclosures, and access is limited to authorized personnel.

HQ USACIDC buildings employ security guards, information is stored in locked containers or rooms during non-duty hours, and access is limited to authorized personnel.

Subordinate elements of USACIDC buildings generally employ 24 hour duty officers, store the information in locked containers or rooms, and access is limited to authorized personnel.

Defense Investigative Service: buildings employ security guards, automated system is within a controlled access area, and data are accessible only by authorized personnel.

Retention and disposal:

40 years

Laboratory reports at the USACIDC laboratory level are destroyed after three years.

USACIDC subordinate elements, other than the laboratories and Crime Records Directorate, retain case files for periods ranging from 1 to 5 years depending on the level of such unit and the data involved.

System manager(s) and address:

The Commander, Headquarters (HQ), US Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: CIJA-RI
5611 Columbia Pike
Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041.

Written requests for information should contain the full name, address, and date of birth. Personal visits should be made at: Office of the Staff Judge Advocate-Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041

For personal visits, the requesting individuals must present positive identification, such as a driver's license or other identification card with a photograph in addition to the information required in written requests.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the sysmanager, ATTN: CIJA-RI.

Record source categories:

Suspects, witnesses, victims, USACIDC special agents and other personnel, informants; various DOD, Federal, State, and local investigative agencies; departments or agencies of foreign governments; and any other individual or organization which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information contact SYSMANAGER.

A0508.11bUSACIDC

System name:

508.11b Criminal Information Reports and Cross Index Card Files

System location:

Primary System Operations Directorate, Headquarters (HQ), United States (US) Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041.

Decentralized Segments: USACIDC subordinate elements, official mailing addresses are in the Department of Defense directory in the appendix to the Department of the Army systems notice.

Categories of individuals covered by the system:

Any individual, civilian or military, involved or suspected of being involved in or reporting possible criminal activity affecting the US Army's interests, property, and/or personnel.

Categories of records in the system:

Files contain names, social security numbers, rank, units, location, date and place of birth, physical descriptions, chronology of events, action officer's activity summary, letters, messages, notes; reports of

investigation containing witness statements, subject statements, agents statements, laboratory reports, documentary evidence, polygraph examination reports, physical evidence, summary data and administrative data pertaining to the preparation and distribution of the report; basis for the action (allegation), Serious and Sensitive Incident reports, talking papers, fact sheets, aliases, descriptions, modus operandi, and other investigative information from Federal, State, and local investigative agencies and departments. Indices contain codes for the type of crime, location of investigation, year and date of offense, names and personal identifiers of persons who have been subjects of electronic surveillance, suspects, subjects and victims of crimes, the report number which allows access to the files noted above; agencies, firms, Department of the Army (DA), and Department of Defense (DOD) organizations which were the subjects of criminal investigations; and disposition and suspense of offenders listed in criminal investigative case files.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To afford index to criminal information case files that are not indexed in Defense Central Index of Investigations (DCII). These records are utilized to develop investigative leads during the conduct of ongoing Army criminal investigations. This data is released only for US Army Criminal Investigation Division (CID) and Military Police (MP) investigative purposes. Statistics generated by this data are also utilized as a management tool to determine crime trends, frequency and rates. In the event that information maintained in this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file and paper records in file folders.

Retrievability:

Retrievable by name, file number and the field assigned criminal information report number.

Safeguards:

HQ USACIDC buildings employ security guards, information is stored in locked containers during non-duty hours and access is limited to authorized personnel. Buildings of subordinate elements of USACIDC generally employ 24 hour duty officers, store the information in locked containers and access is limited to authorized personnel.

Retention and disposal:

Permanent, 40 years

System manager(s) and address:

Commander, U.S. Army Criminal Investigation Command, 5611 Columbia Pike, Falls Church, VA 22041.

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: CIJA-RI
5611 Columbia Pike
Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to : Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041

Written requests for information should contain the full name, address and date of birth. Personal visits should be made at: Office of the Staff Judge Advocate - Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041.

For personal visits, the requesting individuals must present positive identification, such as a driver's license or other identification card with a photograph in addition to the information required in written requests.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Suspects, witnesses, victims, informants, USACIDC special agents and other personnel; various Department of Defense, Federal, State and local investigative agencies; department or agencies of foreign governments; and any other individual or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552 a(j) or (k) as applicable. For additional information, contact the Systems Manager.

A0508.11cUSACIDC

System name:

508.11c Special Agent Evaluation Files

System location:

Primary System: Operations Directorate, Headquarters (HQ), United States (US) Army Criminal Investigation Command (USACIDC), 5611 Columbia Pike, Falls Church, VA 22041.

Decentralized segments USACIDC subordinate elements which exercise local administrative and technical control of special agents; official mailing addresses are in the Department of Defense directory in the appendix to the Department of the Army systems notice.

Categories of individuals covered by the system:

All USACIDC Special Agents, Warrant Officer and enlisted, who prepare USACIDC reports of investigation (ROI's).

Categories of records in the system:

Files contain special agent's name and sequence number; investigative history; e.g., primary or secondary agent, or whether the special agent inherited the case; office of assignment; year of the report of investigation; ROI number; type of ROI; offense codes for the ROI; the number of days the ROI covered; determination of whether or not the number of days the ROI covered was justified; name of the field office reviewer; name of the field office approver; disposition status of the ROI; location of the incident; i.e., on post, off post or combination; determination of case difficulty; determination of the special agent's investigative effort; type of administrative deficiencies, if any; and type of investigative deficiencies, if any.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel of HQ USACIDC and all USACIDC subordinate elements with an official need-to-know, to accomplish various management functions such as statistical compilations, quality control, and special agent investigative and administative evaluations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and computer paper printouts.

Retrievability:

Information is retrievable by the name of the individual or other identifier.

Safeguards:

HQ USACIDC buildings employ security guards, information is stored in locked containers or rooms during non-duty hours and access is limited to authorized personnel. Buildings of subordinate elements of USACIDC generally employ 24 hour duty officers, store the information in locked containers or rooms, and access is limited to authorized personnel.

Retention and disposal:

Files are retained for an indefinite period, as the disposition policy has not yet been determined.

System manager(s) and address:

Commander, US Army Criminal Investigation Command, 5611 Columbia Pike, Falls Church, VA 22041.

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: Dir Opns
5611 Columbia Pike
Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: Dir, Opns, 5611 Columbia Pike, Falls Church, VA 22041

Written requests for information should contain the full name, address, and date of birth. Personnel visits should be made to: Director of Operations, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041.

For personal visits, the requesting individuals must present positive identification, such as a driver's license or other identification card with a photograph in addition to the information required in written requests.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation (AR) 340-21.

Record source categories:

The completed ROI, with all attachments and inclosures, and the objective and subjective analysis by the reviewers.

Systems exempted from certain provisions of the act:

None

A0508.16aDAPE

System name:

508.16 Absentee Case Files

System location:

Primary System: United States (US) Army Deserter Information Point (USADIP), US Army Enlisted Records Center, Ft Benjamin Harrison, IN 46249.

Manual Backup Records: US Army Deserter Information Point (USADIP), US Army Enlisted Records Center, Ft Benjamin Harrison, IN 46249.

Decentralized segments: copies are maintained at the installation initiating the report and at respective law enforcement agencies. Official mailing addresses are in the Department of Defense (DOD) directory in the Appendix. Mailing addresses for law enforcement agencies are in the USADIP official records.

Categories of individuals covered by the system:

Any active Army member absent without proper authority and administratively designated as a deserter in accordance with AR 630-10, Absenteeism and Desertion.

Categories of records in the system:

File contains reports and records which document the absence; notice of unauthorized absence from US Army which constitutes the warrant for arrest; notice of return to military control or continued absence in hands of civil authorities.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Furnished to local, State, Federal, international or foreign law enforcement authorities in automated or manual form for the purpose of support in the apprehension, detention and return of offenders to military custody.

To audit automated personnel accounting records to insure apprehension actions are initiated and terminated promptly and accurately.

Disseminate in oversea areas as required by local conditions, customary international law, treaties and agreements with allied forces and foreign governments.

To examine the causes of absenteeism and develop programs to deter unauthorized abuses.

Enter data in the FBI National Crime Information Center wanted person file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated-Verified desertions are stored on the Deserter Verification Information System (DVIS) at the USADIP.

Paper source documents and the record copy of the Arrest Warrant are maintained as paper records in official military personnel files.

Retrievability:

Access through alpha-numeric inquiry using name plus any numeric identifier such as date of birth, social security number (SSN), or Army serial number.

Manual backup records are filed alphabetically by last name.

Safeguards:

Automated and manual records are available to authorized individuals on need-to-know basis.

Manual records are stored in facilities manned 24 hours, 7 days a week. Records are in areas accessible only to authorized personnel properly trained and performing duties which authorize access to official personnel folders.

Retention and disposal:

Automated records are cleared when subject returns to military custody, is discharged, or dies. Records are cleared whenever subject is no longer wanted for unauthorized absence.

Manual backup records are retained in official personnel records until they have served their useful purposes, are destroyed, or retired with the personnel folder.

System manager(s) and address:

Manual backup records: Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

Unit Commander, First Sergeants, subjects, witnesses, Military Police and US Army Criminal Investigation Command personnel and special agents, informants, various DOD Federal, State and local investigative, and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information contact the SYSMANAGER.

A0508.17aDAPE

System name:

508.17 Military Police (MP) Reporting Files

System location:

Copies of reports are maintained at the installation producing the report. Official mailing addresses are in Department of Defense directory in the Appendix. Original reports of special categories of military police (MP) investigations, defined in Army Regulation (AR) 190-45, are maintained at Crime Records Directorate, United States Army Criminal Investigation Command (USACIDC), Washington, DC 20318.

Reference card system (manual or automatic) may be maintained at higher command/major command level based on input from subordinate elements where documents originated.

Categories of individuals covered by the system:

Any citizen who is the subject, victim, complainant, or witness in connection with a complaint.

Any citizen or group of citizens who is suspected or involved in a criminal or a traffic offense.

Categories of records in the system:

File contains the report (DA Form 3975) with supporting documents such as statements, affidavits, copies of provisional passes, receipts of prisoners or detained persons, disposition, and similar documents. System includes card indexes containing the names of persons who are identified in MP reports as subject, victim, complainant, or witness. Also contains reported traffic violations and reports with supporting documents of criminal activity directed against or involving the United States (US) Army. Has data pertaining to name. grade, organization, social security number (SSN), category of involvement, offense, case report number, disposition. May be related to local criminal information files. File may be automated as a part of the Military Police Management Information System (MPMIS).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

MP reports contain investigative information acquired pursuant to routine complaints received and incidents observed by or reported to MP. The reports provide the detailed information necessary for agency officials, commanders, or civil criminal justice agencies to meet their responsibilities regarding the maintenance of discipline, law and order through investigation and possible criminal prosecution, civil court action, or regulatory order. Routine users within the agency include: Commanders in exercising their authority under the provisions of Title 10, U.S.C., Chapter 47, 'Uniform Code of Military

Justice'; persons designated by the commander to assist him in carrying out his judicial and administrative responsibilities, i.e., staff judge advocate, investigating officers appointed in accordance with Army regulations, military intelligence personnel in those incidents involving possible or actual sabotage or espionage; other persons having a need for such information, e.g., Army-Air Force Exchange System in reports pertaining to criminal incidents involving the System; USACIDC for those incidents within their jurisdiction for investigation; and law enforcement personnel of other armed services when such service personnel are involved. MP reports will be furnished to criminal justice elements outside of the agency for investigation and prosecution when such cases fall within their jurisdiction or concurrent jurisdiction is applicable. These include: Federal Bureau of Investigation; Drug Enforcement Adminstration; US Customs Service; Bureau of Alcohol, Tobacco and Firearms; US District Courts; US Magistrates; local law enforcement agencies; local 'wildlife conservation' agencies; and in oversea areas, host government law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, reference cards, magnetic tape punch cards and computer printouts.

Retrievability:

Filed chronologically by number, by calendar year, with alphabetical cross reference index file. Portions of files and index cards may be automated.

Safeguards:

Distribution controls are specified by AR 190-45, and only authorized personnel have access to files. Physical security measures include locked containers/storage areas, controlled personnel access, and continuous presence of authorized personnel.

Retention and disposal:

Destroyed after 5 years at installations; destroyed 40 years after final action at Crime Records Directorate.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310;
Crime Records Directorate, USACIDC, Washington, DC 20318.

Notification procedure:

Information may be obtained from the SYSMANAGER or from appropriate decentralized record custodian.

Record access procedures:

Requests for access may be addressed to the SYSMANAGER or to appropriate decentralized record custodian. Letter must contain the full name, social security number, and signature of the requester and must be notarized.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Subjects, witnesses, victims, MP and USACIDC personnel and special agents, informants, various DOD, Federal, state and local investigative and law enforcement agencies; departments or agencies, foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., 552a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

A0508.17bUSARJ

System name:

508.17 Blackmarket Monitoring Files

System location:

Office of Provost Marshal, United States Army Garrison, Honshu, Japan

Categories of individuals covered by the system:

Members of the US Armed Forces civilian employees, and their dependents, who are assigned to, or under the judicial or administrative control of the United States Army Japan (USARJ), including contractors and their employees who make purchases of controlled items from authorized resale activities on mainland Japan.

Categories of records in the system:

Sales slips and control sheets used in sales of controlled items by US Forces, Japan sales outlets; overspending/overpurchase printout, produced monthly and forwarded from central computer facility.

Authority for maintenance of the system:

Status of Forces Agreement between the United States of America and Japan; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to assist Military Police, United States Army Criminal Investigation Command, Unites States Air Force Office of Special Investigations, and the Navy Investigative Service in monitoring purchases of controlled items; also to reflect those individuals who have had shopping privileges revoked or suspended and to comply with USARJ and Joint Services blackmarket control policies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in individual envelopes. Paper printouts are stored by run type and number.

Retrievability:

Paper records filed alphabetically by last name. Printouts filed by social security number (SSN), name, unit or station.

Safeguards:

Records are maintained in room accessible only to authorized personnel who are properly screened and cleared.

Retention and disposal:

Records are maintained in the active file until departure of the sponsor on permanent change of station. The records are then placed in the inactive file. The inactive file is cut off at the end of the calendar year, held 2 years in the current files area and then destroyed.

System manager(s) and address:

Commander, United States Army Japan, APO San Francisco 96343.

Notification procedure:

Information may be obtained from:
United States Army Garrison, Honshu,
Office of the Provost Marshal,
Camp Zama, APO San Francisco 96343

Record access procedures:

Requests from individuals should be addressed to: Commander, United States Army Garrison, Honshu, ATTN: GARH-MP-PM, APO San Francisco 96343.

Written requests for information should contain the full name of the individual, SSN, and current address.

For personal visits, the individual should be able to provide acceptable identification such as valid driver's license or employee identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Sales slips and control sheets from exchanges, clubs, commissaries, and other authorized resale activities.

Systems exempted from certain provisions of the act:

None.

A0508.17cUSARJ

System name:

508.17 Transfer of POV Files

System location:

Office of Provost Marshal, United States Army Garrison, Honshu, Japan.

Categories of individuals covered by the system:

Members of the US Armed Forces and members of the civilian component and their dependents, as defined in Articles I and XIV of the Status of Forces Agreement.

Categories of records in the system:

Cards and documents pertaining to acquisition, disposition and transfer of ownership of privately owned vehicles (POV) between the United States of America and Japan.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain record and control on purchase and disposal limitations, transfer of POV to other authorized United States personnel, and transfer to residents of Japan.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Visible file cards.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are maintained in room accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal:

Records are cut off at the end of a calendar year, held 2 years in the current files area, and then destroyed.

System manager(s) and address:

Commander, US Army Japan, APO San Francisco 96343.

Notification procedure:

Information may be obtained from:
United States Army Garrison (PA-PM)
Room 8, Bldg 400
Camp Zama, Japan
APO San Francisco 96343
Telephone: AUTOVON 315/233-3011/233-3732

Record access procedures:

Requests from individuals should be addressed to: Commander, United States Army Garrison, Honshu, ATTN: PA-PM, APO San Francisco 96343.

Written requests for information should contain the full name of the individual, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification, e.g., driver's license, employing office's identification, and give verbal information that could be verified with their case folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of Defense Form 430, Military Registration and Certificate of Title of Motor Vehicle.

Systems exempted from certain provisions of the act:

None

A0508.24aDAPE

System name:

508.24 Serious Incident Reporting Files

System location:

Primary System: Law Enforcement Division, Human Resources Development Directorate, Office of the Deputy Chief of Staff for Personnel, Department of the Army, (DAPE-HRE).

Decentralized Copies: Copies are maintained at the installation initiating the report and at the respective major Army command. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any citizen identified as the subject or victim of a serious incident reportable to Department of the Army (DA) in accordance with Army Regulation 190-40, Military Police Serious Incident Report. This includes in general any criminal act or other incident which because of its sensitivity or nature, publicity or other considerations should be brought to the attention of Headquarters, DA (HQDA).

Categories of records in the system:

File contains the initial report of the incident plus any supplemental reports including reports of final adjudication.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide the chain of command with timely information regarding serious incidents to permit a valid early determination of possible implication; to provide an early indication of acts or conditions which may have widespread adverse publicity; to provide a means of analysis of crime and conditions conducive to crime on which to base crime prevention policies and programs; and to meet the general needs of DA staff agencies for information regarding selected incidents which impact on their respective areas of responsibility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed numerically by installation report sequence number.

Safeguards:

Building employs security guards and controls access. Distribution and access to files based on strict need to know. Files contained in locked safes when not under personal supervision of authorized personnel.

Retention and disposal:

Destroyed 1 year after receipt of final report.

System manager(s) and address:

Deputy Chief of Staff for Personnel, HQDA, The Pentagon, Washington, DC 20310.

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

Subjects, witnesses, victims, Military Police and US Army Criminal Investigation Command personnel and special agents, informants, various Department of Defense, Federal, State and local investigative and law enforcement agencies, departments or agencies of foreign governments, and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 55 USC 552a or (k), as applicable. For additonal information contact the Systems Manager.

A0508.25aUSACIDC

System name:

508.25a Index to Criminal Investigative Case Files

System location:

Criminal Records Directorate, United States (US) Army Criminal Investigation Command (USACIDC), 2301 Chesapeake Avenue, Baltimore, MD 21222.

Categories of individuals covered by the system:

Any individual, civilian or military, involved or suspected of being involved in criminal activity affecting the US Army's interests, property, and/or personnel.

Categories of records in the system:

Indices contain codes for type of crime and location of investigation, year, date of crime, names and personnel identifiers of offenders and victims of crime and report number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To afford index to Criminal Investigation Case Files and Military Police (MP) Reporting Files that are not indexed by any other activity. These records are utilized to develop investigative leads during the conduct of ongoing Army criminal investigations. These data are released only for US Army CID and MP investigative purposes. Statistics generated by these data are also utilized as a management tool to determine crime trends, frequency and rates. In the event that information maintained in this system of records indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether Federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation, or order issued pursuant thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper card size 3x5 and computer punch cards.

Retrievability:

By name of offender, suspect or victim.

Safeguards:

Contained in a secure area; protected by a locked wire inclosure under 24 hour guard. Access to the files area is controlled through a photograph/badge ID System. No visitors are authorized access to the area, except under escort; files do not afford 'For Official Use Only' protection and release of information data is recorded on a permanent log.

Retention and disposal: Permanent; 40 years.

System manager(s) and address:

Commander, USACIDC, Crime Records Directorate, 5611 Columbia Pike, Falls Church, VA 22041.

Notification procedure:

Information may be obtained from:
Commander
USACIDC
ATTN: CIJA-RI
5611 Columbia Pike
Falls Church, VA 22041

Record access procedures:

Requests from individuals should be addressed to: Commander, USACIDC, ATTN: CIJA-RI, 5611 Columbia Pike, Falls Church, VA 22041.

Written requests for information should contain the full name, address, and date of birth. Personal visits should be made at: Office of the Staff Judge Advocate - Release of Information, USACIDC, 5611 Columbia Pike, Falls Church, VA 22041.

For personal visits, the requesting individuals must present positive identification, such as a driver's license or other identification card with a photograph in addition to the information required in written request.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Suspects, victims, USACIDC special agents and other personnel, informants; various Department of Defense, Federal, State, and local investigative agencies; departments or agencies of foreign governments; and any other individual or organization which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a(j) or (k) as applicable. For additional information, contact the System Manager.

A0509.02aDAAG

System name:

509.02 Security Badge/Identification Card Files

System location:

Offices which issue security badges and identification cards authorized by Army Regulation (AR) 606-5 and AR 190-21, located at Headquarters, Department of the Army; staff and field operating agencies; states' adjutant general; and installations/activities. Official mailing addresses are in the organizational Directory of Department of the Army Offices, Commands, Agencies, and Installations/ Activities.

Categories of individuals covered by the system:

Active duty, reserve, and retired military personnel and authorized dependents; Department of the Army (DA) civilians and authorized dependents; Medal of Honor recipients; visitors authorized for official purposes, e.g., vendors, deliverymen, utility and special equipment servicemen; accident investigators; contractor personnel and their authorized dependents; Red Cross personnel; and persons authorized by the Geneva Convention to accompany the Armed Forces.

Categories of records in the system:

Individual's application on appropriate DA and Department of Defense (DD) forms specified by AR 606-5 (the original of which may be filed in the individual's personnel file) for identification and/or building security pass/badge issuance; individual's photograph, fingerprint record, special credentials, and allied papers; registers/logs reflecting sequential numbering of badges/cards.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a record of security badges and identification cards issued; to restrict entry into installations/activities; and to insure positive identification of personnel authorized access to restricted areas. Registers/logs maintain accountability for issuance and disposition of badges and identification cards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records on cards and in file folders; magnetic tapes, disks, and cassettes; computer printouts and microfiche.

Retrievability:

By individual's name, social security number, card/badge number.

Safeguards:

Data are maintained in secure buildings and are accessed only by authorized personnel who are trained and cleared for access. Information in computer facilities is further protected by alarms and established procedures for the control of computer access.

Retention and disposal:

Applications for military identification cards are maintained by the issuing office for 1 year. Applications for civilian identification cards are retained 4 years after which they are destroyed. Registers/ logs are destroyed 3 years after last badge has been accounted for.

Limited area credentials will be replaced at the expiration of 3 years or whenever a total of 5 percent of the total have been lost or unaccounted for, whichever occurs earlier; exclusion area credentials will be replaced at least once every 3 years; controlled area credentials will be replaced at the discretion of the major command.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (DAAG-PSI), Washington, DC 20314.

Notification procedure:

Information may be obtained from the issuing office where the individual obtained the identification card.

Record access procedures:

Requests from individuals should be addressed to: Major Command or installation headquarters issuing the security badge or identification card.

Written requests for information should contain the full name of the individual and the number of the identification card, if known.

For personal visits, the individual should be able to provide acceptable identification, e.g., driver's license and verbal information that can be verified.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21 (32 CFR Part 505).

Record source categories:

Application, on appropriate DA form, from individual.

Systems exempted from certain provisions of the act:

None.

A0509.03aDAPE

System name:

509.03 Trophy Firearm Registration

System location:

Primary System: Headquarters, Department of the Army, (DAPE-HRE-CP), Washington, DC 20310.

Decentralized copies of War Trophy Firearm (WTF) Registration records are maintained at the offices of provost marshals initiating the record. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Members of the Armed Forces of the US who acquire, during periods of hostilities, firearms approved for personal retention as war trophies.

Categories of records in the system:

File contains record copies of DD Form 603, Registration of War Trophy Firearm acquired by military personnel in combat areas or zones during periods of hostilities.

Authority for maintenance of the system:

Title 10 U.S.C., SEction 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Review to assure acquisition is authorized as a war trophy firearm within the meaning of the National Firearms Act and Title 18 U.S.C., Section 102.

Verify importation authorization.

Establish ownership if weapon is identified in commission of a crime. Furnish information to criminal justice elements within Department of Defense and outside the agency for investigation and prosecution for violations of the National Firearms Act or the agency for investigation and prosecution for violations of the National Firearms Act or investigation and prosecution of criminal activities involving a weapon imported as a war trophy firearm. These agencies include: Federal Bureau of Investigation; Drug Enforcement Administration; US Customs Service; Bureau of Alcohol, Tobacco and Firearms; US District Courts; US Magistrates; local law enforcement agencies; local criminal justice agencies; and, in oversea areas, most government law enforcement agencies as prescribed in status of forces agreements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets.

Retrievability:

Filed alphabetically by last name of owner.

Safeguards:

Building employs security guards. Records accessible only to authorized personnel.

Retention and disposal:

Records are created at the onset of hostilities and retained in Headquarters, Department of Army files until end of calendar year in which hostilities ceased and held 1 additional year or until arrangements are complete to transfer the records to Director, Bureau of Alcohol, Tobacco and Firearms, Department of Treasury, Washington, DC 20226.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, the Pentagon, Washington, DC 20310.

Notification procedure:

Inquiries may be addressed to:
Official mailing address of SYSMANAGER listed above.

Record access procedures:

Official mailing address of SYSMANAGER is listed above.

Written requests should contain full name, social security number, date and location acquired, and current address.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation (AR) 340-21.

Record source categories:

All information is obtained from the individual at time of registration.

Systems exempted from certain provisions of the act:

None

A0509.04aDAAG

System name:

509.04 Rod and Gun Clubs, Posts, Camps and Stations

System location:

Rod and Gun Clubs located on Army posts, camps, and stations.

Categories of individuals covered by the system:

Active duty and retired military personnel and Department of Defense civilians who are active registered members of Rod and Gun Clubs.

Categories of records in the system:

Federal Firearms Form 4473 from the Department of the Treasury, Alcohol, Tobacco and Firearms Division, and related papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain a permanent record of firearm registration for tracing weapons to owner. This file is made available to the Department of the Treasury upon written request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Book form and file folder.

Retrievability:

Date and alphabetically by name.

Safeguards:

Records are maintained in locked containers with access limited to authorized personnel only.

Retention and disposal:

Disposal not authorized.

System manager(s) and address:

Commander of the installation where the Rod and Gun Club is established. Official mailing addresses are in the organizational directory in the appendix to these system notices.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Individual should contact the Manager of the Rod and Gun Club where the firearm was purchased.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation (AR) 340-21.

Record source categories:

Information is obtained from the individual being registered.

Systems exempted from certain provisions of the act:

None

A0509.05aTRADOC

System name:

509.05 Camper Trailer Registration Card File

System location:

Office of the Director of Personnel and Community Activities (DPCA), ATZA-PA

Categories of individuals covered by the system:

Applies to active duty and retired military personnel in the Ft Belvoir Area.

Categories of records in the system:

File contains individual's application for access to camper trailer storage area.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain record of personnel given authorization to park recreational vehicles in the storage area. Requested information will be used only by the personnel of the Office, DPCA for reregistration, emergency notification, administrative control of storage area and identification of recreational vehicle ownership.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card File

Retrievability:

Alphabetically by last name.

Safeguards:

Building access controlled by personnel of the office DPCA.

Retention and disposal:

Records are maintained in active file until the registrant has cancelled his registration. After cancellation of registration, the card is destroyed.

System manager(s) and address:

Administrative Division, Office of the DPCA, Headquarters, US Army Engineer Center and Ft Belvoir, Ft Belvoir, VA 22060.

Notification procedure:

Information may be obtained from Administrative Division, Office of the DPCA. Requesting individual will be required to identify himself by name, rank, duty status, home address.

Record access procedures:

Requests from individuals are accepted by personal interview, written correspondence or telephonic inquiries to SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation (AR) 340-21.

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Record source categories:

Individual being registered.

Systems exempted from certain provisions of the act:

None

A0509.08aDAPE

System name:

509.08a Registration and Permit Files

System location:

Maintained at the installation level. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any citizen registering restricted items of property on a military installation or desiring to engage in restricted activities on a military installation. Items/activities include but are not limited to privately owned firearms/weapons, pets and hunting and fishing.

Categories of records in the system:

File contains the registration form for items of restricted property and the permit application for restricted activities.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files contain information acquired to assist the commander in carrying out effective law enforcement, troop safety, and crime prevention programs. Routine users within the agency include: commanders in exercising their authority under the provisions of chapter 47, Title 10, US Code, 'Uniform Code of Military Justice'; persons designated by the commander to assist him in carrying out his judicial and administrative responsibilities; United States (US) Army Criminal Investigation Command (USACIDC); and law enforcement personnel of other Armed services when personnel of these services are involved. Information is furnished to criminal justice elements outside the agency for investigation and prosecution purposes when such cases fall within their jurisdiction or concurrent jurisdiction is applicable. These include: Federal Bureau of Investigation; US Customs Services; Bureau of Alcohol, Tobacco and Firearms; US District Courts; US Magistrates; state and local law enforcement, 'wildlife conservation' and public health agencies; and in oversea areas, host government law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Only authorized personnel have access to files. Physical security measures include locked containers/storage areas, controlled personnel access, and continuous presence of authorized personnel.

Retention and disposal:

Destroyed upon removal of the restricted property from the military installation or upon expiration of the permit.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

Army citizen desiring/required to register firearms/weapons, pets, etc., that will be maintained within or desiring to hunt/fish within the confines of an installation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0509.09aDAPE

System name:

509.09 Traffic Law Enforcement Files

System location:

Files are maintained at the installation producing the files. Official mailing addresses are in the Department of Defense (DOD) directory in the Appendix.

Categories of individuals covered by the system:

Any citizen who, at a military installation, registers a privately owned motor vehicle; is subject of a traffic violation/summons; is a subject, victim, complainant or witness to a traffic accident; or has registered to participate in the installation car pool system or has a parking permit issued.

Categories of records in the system:

Files contain: Documents used to register privately owned motor vehicles and to record moving traffic violations and chargeable accidents of individual drivers; accident reports; traffic violation reports, notices and summons; and documents relating to issuance of car pool or individual parking permits. File may be automated as a part of the Vehicle Registration System (VRS) which is a part of the Military Police Management Information System (MPMIS). The registration information may be coded for entry on the master file, normally updated weekly when a part of MPMIS VRS. The master file is management manipulated to produce the following reports: listing of all registrants and their vehicles on an as required basis by decal number, state license number or name; as required, rosters by unit and decal number showing registrants with safety inspections due and those requiring annual verification of DA Form 3626; monthly rosters of registrants with suspended or revoked driving privileges.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Vehicle registration information is collected to assist the commander in carrying out effective law enforcement, traffic safety, and crime prevention programs. Vehicle registration facilitates Department of Army (DA) compliance with Highway Safety Program Standards (Title 23 U.S.C., Section 402) that have been made applicable to federally administered areas. Information is released only to authorized law enforcement agencies upon request. To assist in identification and apprehension of individuals who commit traffic and criminal offenses. Car pool registrations are utilized to assist person(s) desiring to participate in the program, to be identified with other persons within the same residential geographical area to create or join existing car pools. Car pools parking permits are issued and are a means of identifying those vehicles authorized to park in Car Pool Only parking spaces. Information is released only to any law enforcement agency upon request. Traffic violation reports, notices, and summonses are: basis for disciplinary action by commander in accordance with Chapter 47, Title 10, U.S.C., 'Uniform Code of Military Justice'; referred to US Magistrates and US District Courts in accordance with Title 18, U.S.C., Section 13, 'Assimilated Crimes'; and referred to DOD agencies and host State Motor Vehicle Departments for appropriate driver improvement measures including suspension/revocation of driving privilege, remedial driver training, counseling, or rehabilitation/treatment. Accident reports, which include violation data described above, are used to identify factors contributing to the causes of accidents, injuries, and deaths as a means for initiating appropriate measures (engineer, enforcement, educational) to reduce the frequency/severity of accidents occurring on military installations. Accident reports are routinely distributed to commanders, safety directors, facility engineers, and staff judge advocates. Disclosure outside the agency is only made upon request. VRS is used to insure registrants attest to meeting certain insurance standards; to preclude individuals who have suspended or revoked installation driving privileges from operating motor vehicles or who have vehicles that fail to meet vehicle inspection standards; to assist in rapid identification and apprehension of traffic violators; to provide management data on which to base crime prevention, selective enforcement and improved driving safety.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files.

Portions of VRS and index cards may be automated using paper tape, disk, magnetic tape or card.

Retrievability:

Vehicle registrations are filed alphabetically by name and/or by any category of information contained therein; traffic violations are filed alphabetically by name; and accident reports are filed by location of accident. A cross-reference index is maintained.

Safeguards:

Distribution controls are outlined in Army Regulation (AR) 190-45, and only authorized personnel have access to files. Physical security measures include locked containers/storage areas, controlled access, and continuous presence of authorized personnel.

Retention and disposal:

Destroyed after two years or discontinuance, unless transferred with individual upon reassignment.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310, and installation commanders producing the records.

Notification procedure:

Information may be obtained from the command/installation/ activity office of record.

Record access procedures:

Requests for access should be addressed to the command/ installation/activity at which the record is located. Written requests should contain the full name of individual, current address, social security number and specificity as to the information sought.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Subjects, witnesses, victims, persons desiring to participate in the car pool system, Military Police personnel and special agents, Federal, state and local investigative and law enforcement agencies, departments or agencies of foreign governments and other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., 552a (j) or (k) as applicable. For additional information, contact the SYS-MANAGER.

A0509.18aDAAG

System name:

509.18 Solicitation Ban List Files.

System location:

Field Policy Division, Administrative Management Directorate, The Adjutant General Center.

Categories of individuals covered by the system:

Any individual whose on base solicitation privileges have been withdrawn by the Department of the Army or the Department of the Navy.

Categories of records in the system:

File contains individual's name and the name of the company he represented.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Major Army commands, OASD (M&RA), Dept of the Navy and Dept of the Air Force. To deny solicitation privileges to individuals who have been banned from military installations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Alphabetical list.

Safeguards:

Records are maintained in area accessible only to authorized personnel.

Retention and disposal:

Retained in active file until new list is published and then destroyed.

System manager(s) and address:

The Adjutant General. Headquarters Department of the Army, The Pentagon, Washington, DC

Notification procedure:

Information may be obtained from:
HQDA (DAAG-AMP)
Room GA 172
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693/0718

Record access procedures:

Requests for information should be addressed to: Headquarters, Department of the Army (DAAG-AMP) Room GA 172, Forrestal Building, Washington, DC 20314.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAAG-AMR-S), Washington, DC 20314.

Record source categories:

Names of agents forwarded to HQDA by Army installations recommending Army-wide withdrawal of solicitation privileges and approved by HQDA.

Systems exempted from certain provisions of the act:

None

A0509.18bDAPE

System name:

509.18b Expelled or Barred Person Files

System location:

Files are maintained at the installation producing the files. Official mailing addresses are in Department of Defense directory in Appendix.

Categories of individuals covered by the system:

Any citizen who is expelled or barred from an Army installation.

Categories of records in the system:

Files contain: expulsion orders, investigative reports to include related documents leading to expulsion and barring, and an alphabetical list of those individuals so expelled or barred.

Authority for maintenance of the system:

Title 18 U.S.C., Section 1382.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected to assist the commander in carrying out responsibilities required by above cited statute. Information is not disclosed outside the agency except in those instances where it would be furnished to representatives of United States (US) District Courts in connection with the investigation and prosecution of a violation of the cited statute.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Filed alphabetically by name.

Safeguards:

Distribution and access to files based on strict need to know. Physical security measures include locked containers/storage areas, controlled personnel access, and continuous presence of authorized personnel.

Retention and disposal:

Destroyed on revocation, or upon discontinuance.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Wash DC 20310.

Notification procedure:

See exemption

Record access procedures:

See exemption

Contesting record procedures:

See exemption

Record source categories:

Subjects, witnesses, victims, Military Police and US Army Criminal Investigations Command personnel and special agents, informants, various Department of Defense, Federal, State and local investigative and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the Systems manager.

A0509.19aDAPE

System name:

509.19a Military Police Investigator Certification Files

System location:

Primary System: Record files pertaining to individual certification actions are maintained at US Army Military Personnel Center (DAPC-EPM-L), 200 Stovall Street, Alexandria, Virginia 22332.

Decentralized copies: Correspondence relating to certification is maintained at the installation initiating request and at respective major Army commands. Official mailing addresses are in the Department of Defense (DOD) directory in the appendix.

Categories of individuals covered by the system:

Any individual who has been nominated by a commander for certification as a Military Police Investigator.

Categories of records in the system:

Files contain: requests, name checks, background checks, approvals, disapprovals, appeals, rebuttals, and related documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected to establish eligibility and suitability of individuals to be certified as Military Police Investigators. Information is not disclosed outside of the agency, and within the agency access to records containing adverse suitability information is restricted by use of protective markings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder and card indexes.

Retrievability:

Filed alphabetically by name.

Safeguards:

Building employs security guards and controls access. Distribution and access to files based on strict need-to-know. Files contained in locked cabinets when not under personal supervision of authorized personnel.

Retention and disposal:

Destroyed upon individual's release from active service or 3 years after involuntary withdrawal of certification.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310.

Notification procedure:

Requests should be addressed to Deputy Chief of Staff for Personnel, HQDA, (DAPE-HRE) Washington, DC 20310

Record access procedures:

Requests should be addressed to Commander, US Army Military Personnel Center (DAPC-EPM-L), 200 Stovall St., Alexandria, VA 22332

Contesting record procedures:

Requests should be addressed to Deputy Chief of Staff for Personnel, HQDA, (DAPE-HRE), Washingotn, DC 20310

Record source categories:

Subjects, witnesses, victims, Military Police and United States Army Criminal Investigations Command personnel and agents, informants, various DOD, Federal, State and local investigative and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the SYSMANAGER.

A0509.19bUSAREUR

System name:

509.19 US Army, Europe (USAREUR) Motor Vehicle Registry Files

System location:

Primary System-USAREUR Motor Vehicle Registry, Army Post Office (APO) NY 09102, Heidelberg, Federal Republic of Germany (FRG).

Decentralized Segments: Temporary Registration Stations, Customer Service Centers Driver Testing Stations, Privately Owned Vehicle (POV) Inspection Stations, and Rod and Gun Clubs. Official mailing addresses are available upon request from the USAREUR Motor Vehicle Registry.

Categories of individuals covered by the system:

Any individual who has requested a service (this includes the sponsor when a dependent requests the service) from the USAREUR Motor Vehicle Registry, e.g., the registration of a POV or a privately owned firearm (POF), or the issuance of a POV operator's license, or any other service performed for individuals.

Any individual who has been reported to have committed an offense which could have resulted in adverse action against their USAREUR POV driving privilege or their declaration of ineligibility therefore in accordance with existing directives.

Any individual who has acquired, legally or illegally, custody or ownership of a POV or POF which was or should have been registered with the USAREUR Motor Vehicle Registry in accordance with existing directives.

Categories of records in the system:

File contains information derived from individual applications to register POV and POF, applications for USAREUR POV operators license, applications for other services provided by the USAREUR Motor Vehicle Registry, and correspondence related thereto; applications include information with respect to the individual (i.e., name, rank, SSN, unit/organization, duty phone, date of birth, place of birth, marital status, accompanied or unaccompanied, whether glasses worn, and driving record), with respect to the vehicle (i.e., make, model, body type, year, color, chassis number, horsepower, insurer, policy number, effective date, lien holder and amount, origin of vehicle, disposition of vehicle, name of buyer), and with respect to a firearm (i.e., manufacturer, type, caliber, serial number, class of registration, origin, disposition, and name of buyer); information derived from reports issued by US military or host country authorities which, in accordance with existing directives, concern an offense or circumstances for which action against the USAREUR POV or POF registration or the USAREUR POV driving privilege may be or has been taken; and information concerning the transfer of ownership of POV or POF which have been or should have been registered with the USAREUR Motor Vehicle Registry in accordance with existing directives.

Manual backup is maintained of: (1) POV registration applications, supporting and related documents and correspondence - filed by registration number; (2) POV operator license applications and related documents and correspondence-filed partially by operator license number and partially alphabetically by last name of individual; and (3) POF applications-filed alphabetically by last name of individual.

The file also consists of certain manually-maintained records which are comprised of correspondence between the USAREUR Motor Vehicle Registry and individuals, groups, agencies, activities or other collective bodies - these are filed chronologically by category.

Manual records are also maintained for access to USAREUR Motor Vehicle Registry files and related processing papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; Secretary of the Army: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the files are to (1) establish prima facie ownership of POV or POF (2) determine registration status of POV and POF, insurance and lien status of POV, and licensed status of POV operators; and (3) record driving history of vehicle operators.

Offices within the USAREUR Motor Vehicle Registry use the information: (1) to evaluate and process applications for registration of POV and POF and applications for issuance of USAREUR POV operators license; (2) for locator purposes; (3) to insure compliance with existing regulations pertinent to the registration of POV and POF; (4) to take or recommend action against individuals whose driving history reflects adversely against their driving ability or performance or when conditions occur which require that action be taken to comply with existing regulations or host country laws; (5) to notify commanders, supervisors, or other responsible agencies when a violation of existing regulations has occurred; (6) to respond to requests for identification, registration, insurance and lien data concerning POV, POF and their owners, and licensed status of POV operators received from authorities of US Forces, from government agencies of Germany and other foreign countries, or from verifying authorities, attorneys, lien holders, prospective lien holders, prospective POV purchasers, or insurance companies; (7) to enable fulfillment of requests received from individuals for miscellaneous services performed by the USAREUR Motor Vehicle Registry within the scope of the registry function.

Commanders and supervisors use information provided to detect, investigate and evaluate alleged or suspected offenses, and when appropriate, to support administrative or disciplinary action against offenders, and to assist personnel with problems.

Authorities of the US Forces and other governments use information provided for law enforcement and investigative purposes, to support requests for services from US Forces personnel, to establish insured status of POV and POV operators, to aid in establishing identification of an individual, and to comply with requirements imposed by, or to claim rights conferred in, international agreements and arrangements regulating the stationing and status in foreign countries of DOD military and civilian personnel.

Attorneys use information to aid them in civil and criminal proceedings on behalf of a client.

Lien holders use information provided to assist in determining compliance with terms of contracts and agreements.

Insurance companies use information provided to validate compliance with terms of contracts, to terminate contracts for cause (cancel insurance); and to determine insured status of POV and POV operators, or to identify a POV owner, on behalf of a client.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disks, computer magnetic tapes, computer paper printouts, computer punch cards, paper records in file folders, application forms and supporting documents and related correspondence in file trays and cabinets, and microfiche.

Retrievability:

Indexed by computer alphabetically by last name, social security number, POV chassis number, POF serial number, POV operator's license number, POV registration number, and by MP or CID report number.

Manual backup records are filed by POV registration number, by POV operator's license number (however some operator's licenses will be filed alphabetically by last name until 1980), and by last name of POF registrants.

Safeguards:

Building has employees who make periodic and scheduled security checks. Records are maintained in areas accessible only to authorized personnel who are screened, cleared and trained. Computer programs have safety checks, validation code systems, and editing procedures.

Retention and disposal:

POV Registration Files: Automated files are cleared and manual files are destroyed three years after the end of the year in which final disposition of the license plates occurred (e.g., plates destroyed, cancelled or replaced or POV shipped outside of FRG).

POF Registration Files: Automated files are cleared and manual files are destroyed five years after the end of the year in which registration expired or was cancelled.

POV Operator License Files: Manual files are destroyed at the end of the year in which expiration occurred, and computer is cleared three years after the end of the year in which expiration occurred, except that both files may be transferred to Driving History Files when the license has been revoked or suspended or the individual has been declared ineligible to receive a license.

Driving History Files: (1) Records reflecting chargeable nonfatal traffic accidents/moving violations: automated files are cleared and manual files destroyed 3 years after the end of the year in which the accident/violation occurred; (2) Records reflecting nonmandatory suspensions or revocations; automated files are cleared and manual files are destroyed 5 years after the end of the year in which the suspension or revocation was imposed: (3) Records reflecting mandatory revocations or declarations of ineligibility to receive a license; automated files are cleared and manual files are destroyed 7 years after the end of the year in which revocation or declaration of ineligibility occurred.

Manual files concerning requests for services are destroyed two years after the end of the year of accumulation.

Manual files relative to applications for access to USAREUR Motor Vehicle Registry files are destroyed 5 years after the end of the year of accumulation.

System manager(s) and address:

Commander in Chief, US Army, Europe and Seventh Army, APO NY 09403.

Notification procedure:

Requests from individuals should be addressed to the Registrar, USAREUR Motor Vehicle Registry, APO New York 09102

To determine whether or not the system contains a record about himself, the requesting individual must provide his full name and either (1) social security number (SSN)--disclosure of SSN is voluntary and an individual will not be denied his right under the Privacy Act to access to a record pertaining to him solely for failure or refusal to supply his SSN, or (2) other precise information which can enable unique identification of him as a particular individual from among others with identical or similar names, e.g., date of birth, operator's license number(s), POV or POF registration numbers, chassis number of POV or serial number of POF.

A person requesting information on whether or not the system contains records pertaining to him may visit the Office of the Registrar, USAREUR Motor Vehicle Registry, APO New York 09102.

For Personal visits, the requester must provide an identification document issued by a US Federal agency (military ID card, Department of State ID card, US Passport, etc.) and verbal information that can be verified with his case folder(s).

Record access procedures:

An individual may contact the Registrar, USAREUR Motor Vehicle Registry, APO New York 09102, to obtain procedures whereby he can be notified how to gain access to any record pertaining to himself in the system of records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation (AR) 340-21.

Record source categories:

Applications and supporting documentation, and correspondence related thereto, received from individuals for registration of POF or POV, for issue of POV operator's license, and for other services provided by the USAREUR Motor Vehicle Registry.

Communications from insurance companies relative to POV insurance and registration data.

Reports from US military or host country authorities.

Communications from Temporary Registration Stations and Customer Service Centers, Driving Testing Stations, POV Inspection Stations, and Rod and Gun Clubs.

Applications and related documentation from individuals requesting access to USAREUR Motor Vehicle Registry files.

Systems exempted from certain provisions of the act:

None

A0509.19cUSMACTHAI

System name:

509.19 Vehicle Registration File

System location:

Primary System: US Military Assistance Command, Thailand (USMACTHAI), Ration Control Privately Owned Vehicle(s) (POV) Office, J1-1, Army Post Office (APO) San Francisco, CA 96346.

Decentralized Segments: Copies of all computer printouts are furnished to USMACTHAI J-1, Thailand Regional Exchange (TRE) USMACTHAI Headquarters Commandant, and the Political Military (POMIL) Section of the American Embassy in Thailand, and Royal Thai Government (RTG).

Categories of individuals covered by the system:

Any US Government Personnel residing in Thailand who are required to register vehicles under USMACTHAI Regulation 1-13.

Categories of records in the system:

The file contains information related to importing, local purchase and vehicle registration with the RTG.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All systems are used to comply with the RTG requirement that strict controls be placed on the importation, local procurement and disposal of duty-free POV by the American Government in Thailand; to insure that the duty-free POV ceiling placed on US personnel in Thailand by RTG is not exceeded.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vehicle Registration File is a card file. POV records are in file folders. Files of the various categories of POV are on computer printouts.

Retrievability:

All records are filed alphabetically. In addition the files on the categories of POV are also retrieved by license plate number.

Safeguards:

All records are maintained in areas accessible only to personnel working with POV during normal duty hours. After duty hours, records are kept in a room locked by a double lock with security guards in the compound area.

Retention and disposal:

POV Record Folders and Vehicle Registration File are retained for 5 years. All computer printouts are updated monthly and contain information only on vehicles of individuals currently residing in Thailand.

System manager(s) and address:

Commander, USMACTHAI/Chief, Joint US Military Advisory Group, Thailand (JUSMAGTHAI), APO San Francisco, CA 96346.

Notification procedure:

Information may be obtained from:
APO San Francisco, CA 96346
Telephone: 985-2765

Record access procedures:

Requests from individuals should be addressed to: HQ USMACTHAI, POV Office, J1-1, APO San Francisco, CA 96346.

Written requests for information should contain the full name of the individual.

For personal visits, the individual should be able to provide US Government ID card for identification.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Information is obtained from individuals and messages.

Systems exempted from certain provisions of the act:

None

A0509.20aUSMACTHAI

System name:

509.20 Ration Control/Commissary/Cosmetic Purchase File

System location:

Primary System: United States (US) Military Assistance Command, Thailand/Joint US Military Advisory Group, Thailand (USMACTHAI/JUSMAGTHAI), J1-1 Ration Control, Army Post Office (APO) San Francisco, CA 96346.

Decentralized copies: The Major Items Ration Control Printout will be maintained also by the Thailand Field Office, US Army Criminal Investigation Command (USACIDC), APO San Francisco, CA 96346; the AFOSI Dist. 51, APO San Francisco, CA 96346; Provost Marshall Office, ATTN: MPI, APO San Francisco, CA 96346; and each Ration Control Account in Thailand. The ration control registers (MACT Form 128) will be maintained by each individual ration control account in Thailand. Ration control register (MACT Form 57) is also maintained by the Southeast Asia Treaty Organization (SEATO) and the American Embassy in Thailand. The Duty-Free Inspection File will also be maintained by MACTHAI SLE, ATTN: Customs Branch, APO San Francisco, CA 96346 and by individual commanders throughout Thailand.

Categories of individuals covered by the system:

The major ration control printout applies to any individual who makes a purchase in any Thailand Regional Exchange (TRE) facility of a major household appliance (stove, regrigerator, freezer, clothes washer, clothes dryer, air conditioner), and items listed on the MACT Form 81 (Major Ration Card) or a single item over
100.00.

The cosmetic printout applies to an individual who makes a cosmetic purchase of
5.00 or more in any TRE facility.

The commissary printout applies to any individual possessing a MACT Form 36S (Sponsor), or MACT Form 36D (Dependent) ration card who makes a purchase in the TRE commissary.

The Post Exchange (PX), Commissary, Class VI Questionnaire file applies to any Department of Defense (DOD) or Department of State (DOS) individual or dependent residing in Thailand who desires access to TRE facilities.

The PACEX catalog purchase file applies to any individual residing in Thailand who purchases a major rationed item, as listed in the major ration control printout.

Any individual receiving a ration card will be listed on the Ration Control Registers.

The Duty-Free Inspection File applies to all individuals who move household goods and/or hold baggage out of Thailand at US Government expense.

Categories of records in the system:

Major Item Ration Control Printout: Normally updated quarterly. The master file is used to produce the following reports: listing on an 'as required' basis of all major TRE purchases made by an individual.

The commissary printout: Produced on a monthly basis. This printout is used to produce a listing of individuals overspending their monthly dollar amount in the commissary.

The PX, Commissary, Class VI Questionnaire file: Normally updated monthly. It is used to issue ration control cards on a semiannual basis; record all requests for supplemental purchases, items under control of the MACT Form 120, and major household appliance purchases.

PACEX catalog purchase file: Normally updated quarterly. It is used to produce a listing of all items purchased by an individual from PACEX on an 'as required' basis.

Ration Control Registers are produced seminannually and are used for control of MACT Forms 36S, 36D, 36U, 81 and 57.

Duty-Free Inspection File is updated daily and is used to provide information on proper disposition of duty-free merchandise.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All systems are used to assist military police (MP), USACIDC, OSI, and MACTHAIJ1 in preventing blackmarket activities in Thailand; to preclude individuals who have had their ration control privileges suspended or revoked from using US duty-free outlets in Thailand; to comply with the Royal Thai Government's requirement that adequate controls be in effect on the sale of duty-free merchandise; to comply with USMACTHAI Regulation 60-1 in adequately controlling ration cards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Major Ration Control Printout is stored on computer paper at USMACTHAI Ration Control Office, USACIDC office, and OSI office. Commissary, Cosmetic, Master 81, PACEX printout are stored on computer paper at the USMACTHAI Ration Control Office. The PX, Commissary and Class VI file and Duty-Free Inspection File are stored in file folders and maintained at the Installation Ration Control Office.

Retrievability:

Information on the printouts is retrieved by social security number (SSN), and by Ration Control Unit Number. Information on PX, Commissary, Class VI file is retrieved by Name and Unit. Information on Duty-Free Inspection File is retrieved by Name.

Safeguards:

All systems are controlled by the Ration Control Officer and information is released only to individuals working directly with ration control and on a need-to-know basis. All systems are kept in locked cabinets in locked rooms after duty hours.

Retention and disposal:

An individual's record is maintained in all systems as long as the individual is stationed in Thailand and for a period of 6 months after his departure. Because the major ration item control printout is updated quarterly, individual records are deleted only 4 times a year. Individual's records in commissary and cosmetic computer printouts are maintained for a period of 5 months. Individuals are automatically dropped from the printouts when they are no longer in Thailand to make duty-free purchases. When a record is no longer needed it is shredded.

System manager(s) and address:

Commander USMACTHAI/Chief JUSMAGTHAI, APO San Francisco, CA 96346.

Notification procedure:

Information may be obtained from:
USMACTHAI Ration Control Office, J1-1
APO San Francisco, CA 96346
Telephone: 985-2277

Record access procedures:

Requests from individuals should be addressed to: HQ, USMACTHAI, Ration Control Office, J1-1, APO San Francisco, CA 96346.

Written requests should contain the full name of the individual, SSN, and Ration Control Account Number.

For personal visits, the individual should be able to provide identification and ration card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Application and related forms from the individual requesting ration control privileges in Thailand.

Systems exempted from certain provisions of the act:

NONE

A0509.20bUSMACTHAI

System name:

509.20 Alphabetical Roster (Thailand)

System location:

Headquarters, United States Military Assistance Command, Thailand (USMACTHAI) and Joint United States Military Advisory Group, Thailand (JUSMAGTHAI), Army Post Office (APO) San Francisco 96346.

Categories of individuals covered by the system:

Military and civilian US National personnel assigned to USMACTHAI/JUSMAGTHAI and the US Embassy, Thailand, who are authorized duty-free privileges by the Thai government.

Categories of records in the system:

File consists of punched cards prepared from paper forms. Multiple copies of the entire system are produced by photo-offset process. The information stored includes: Name, rank or grade, social security number (SSN), branch of service, duty section, date of rank if military, number of dependents in Thailand, date eligible to return from overseas, duty phone number, quarters phone number, wife's first name (if in Thailand), individual's date of birth, and local address.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301 and US-Thai agreements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Community: For notification to the Thai government of those individuals eligible for duty free importation of household goods and privately owned autos. For locating individuals eligible for duty free importation of household goods and privately owned autos. For locating individuals on routine and emergency matters. Often used for mail distribution, for forwarding addresses, and as a recall list. May be used as a social roster for various official and nonofficial functions, and for social reference.

Thai government: For monitoring and control of duty-free privileges extended to a segment of the US Community.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punch cards in card files.
Printed paper rosters in booklet form.

Retrievability:

Category (military or civilian), then alphabetically by last name of individual.

Safeguards:

Records filed in areas accessible only to authorized personnel. Source documents destroyed by shredding.

Retention and disposal:

Cards: As long as named individual is eligible for duty-free privileges.

Printed copies: Cut off monthly and destroyed by shredding.

System manager(s) and address:

Commander, USMACTHAI/JUSMAGTHAI, APO San Francisco 96346.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

Apply to SYSMANAGER.

Requests for information should include full name, category (military or civilian), and SSN.

For personal visits suitable military identification or other means of identification normally accepted in the transaction of business is required.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Individual concerned and official records of the individual.

Systems exempted from certain provisions of the act:

None

A0509.21aDAPE

System name:

509.21a Local Criminal Information Files

System location:

Records are maintained at the installation initiating or collecting the documents. Official mailing addresses are in Department of Defense (DOD) directory in the Appendix.

Categories of individuals covered by the system:

Any citizen or group of citizens who is suspected or involved in criminal activity directed against or involving the United States Army.

Categories of records in the system:

Files contain reports and supporting documents of criminal activity directed against or involving the US Army.

Authority for maintenance of the system:

Title 10 U.S.C., SEction 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Local criminal information files contain reports of criminal activity to include methods of operation received from individuals or agencies and documents acquired pursuant to receipt of such reports. Information is acquired to identify individuals or groups of individuals in an effort to anticipate, prevent or monitor possible criminal activity directed against or involving the US Army; to enable agency officials, commanders, or civil criminal justice agencies to meet their responsibilities regarding the maintenance of discipline, law and order through investigation and possible criminal prosecution, civil court action, or regulatory order. Routine users within the agency include: commanders in exercising their authority under the provisions of Title 10 and 18, US Code; persons designated by the commander to assist in carrying out his responsibilities, i.e., staff judge advocate, investigating officers appointed in accordance with Army regulations, US Army Criminal Investigation Command (USACIDC), military intelligence personnel in those incidents involving possible or actual sabotage or espionage; and other persons or agencies having a need for such information, e.g., law enforcement personnel of other Armed services when such service personnel or property are involved. Acquired information falls within their jurisdiction or concurrent jurisdiction is applicable. These include: Federal Bureau of Investigation; Drug Enforcement Administration; US Customs Service; Bureau of Alcohol, Tobacco and Firearms; local law enforcement agencies; and in oversea areas, host government law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

File alphabetically by name, or by any category of information contained therein. A cross-reference index may be maintained.

Safeguards:

Only authorized personnel have access to files. Physical security measures include locked containers/storage areas, controlled personnel access, and continuous presence of authorized personnel.

Retention and disposal:

Destroyed upon supersession, obsolescence, or deactivation of the related command.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310

Notification procedure:

See EXEMPTION

Record access procedures:

See EXEMPTION

Contesting record procedures:

See EXEMPTION

Record source categories:

Subjects, witnesses, victims, Military Police and USACIDC personnel and special agents, informants, various DOD, Federal, State and local investigative and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0601.08aDAAG

System name:

601.08 Club Management Personnel Files

System location:

Headquarters, Department of the Army (HQDA) (DAAG-CMT-CS), Washington, DC 20314.

Categories of individuals covered by the system:

Personnel who have applied, are employed by, assigned to, or were employed by the Army Club System.

Categories of records in the system:

Request for Intelligence Agency dossier check copies of the individual applications, together with letters of recommendation, Enlisted Club Management Career and Development Program applications for award of Primary Military Occupational Specialties (PMOS)/ 00J50 and/or 021A. Data report; qualification record; determination of moral eligibility and waiver of disqualifications; educational transcripts; reliefs, component; awards, releases, transfers and other military service data; transmittal letters; control cards and related documents. Informational paper and card files on officers, warrant officers, enlisted personnel and civilians; training information, general personnel printouts of officer, warrant officer and enlisted temporary duty orders; copies of assignment instructions; PMOS 00J50, 021A, and Specialty Skill Identifier Code 43; letters of recommendation on Club personnel; military personnel information files; recommendations for award; letters of welcome, orders, and letters of reprimand; extracts of results of US Army Criminal Investigation Command/ Intelligence Agency Records check on military personnel only; training information and letters of commendation.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to facilitate, recruit, select, appoint, assign, pay, evaluate, recognize, discipline, train, develop, and separate individuals; and execute managerial and supervisory functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, file cards in cardex files.

Retrievability:

By last name, social security number (SSN), or other personal identifier.

Safeguards:

Storage area restricted to authorized personnel and documents treated as if they were For Official Use Only.

Retention and disposal:

Records are held for the period of probability of use; then retained in records holding area for a safety period and subsequently destroyed.

System manager(s) and address:

The Adjutant General, HQDA, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from HQDA (DAAG-CMT-CS), Washington, DC 20314.

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAAG-CMT-CS), Washington, DC 20314. Written requests from individuals should contain the full name of the requester, current address and telephone number, a specific description of the information/records sought, and any identifying numbers such as SSN. For personal visits, the individuals should be able to provide acceptable identification, such as: driver's license, employing offices, identification card and furnish verbal information that can be verified.

Contesting record procedures:

The Army's rules for contesting contents of the records and appealing initial determinations may be obtained from Army Regulation 340-21.

Record source categories:

Applicant or employee prepared or introduced documents, statements, or correspondence from persons having knowledge of the individual or acts of the individual, official records; officially generated documents noting actions or events affecting employment and/or pay.

Systems exempted from certain provisions of the act:

None

A0603.05aDALO

System name:

603.05 Manpower Utilization Reporting System

System location:

United States Army Logistics Evaluation Agency (USALEA), New Cumberland Army Depot, New Cumberland, PA 17070.

Categories of individuals covered by the system:

All employees of the Agency both civilian and military.

Categories of records in the system:

A record by individual of manhours utilized by project/function work category.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide management a statistical report by individual application of the manhours costs expended on assigned projects.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes.

Retrievability:

By social security number, project number or function-work category.

Safeguards:

Records are maintained in areas accessible only to authorized individuals.

Retention and disposal:

Source documents are key-punched in order to update permanent magnetic tape. Source documents are destroyed after 1 week. Magnetic tape is retained until system is no longer required.

System manager(s) and address:

Chief, Administration and Management Office, USALEA.

Notification procedure: Information may be obtained from:

Commander
USALEA
ATTN: DALO-LEM
New Cumberland Army Depot
New Cumberland, PA 17070
Telephone: Area Code 717/781-6002

Record access procedures:

Written requests for information should be addressed to:
Commander
USALEA
ATTN: DALO-LEM
New Cumberland Army Depot New Cumberland, PA 17070

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: Daily time utilization reports submitted by individual.

Systems exempted from certain provisions of the act:

None

A0606.07aDAPE

System name:

606.07 Safety Award Files

System location:

Decentralized maintenance: Safety Offices at all levels of command including Department of the Army (DA), Major Command and installation level.

Categories of individuals covered by the system:

Any DA military/civilian personnel who have received or who have been considered for an award for accomplishments in the safety field, i.e., operators of Army motor vehicles/equipment, and other deserving individuals.

Categories of records in the system:

File contains approved requests, orders, certificates, citations, disapproved requests and similar or related documents reflecting the consideration and selection of individuals for recognition of outstanding effort and achieve- ment in the prevention of accidents. Automated file consists solely of Broken Wing Award data.

Authority for maintenance of the system:

Pub. L. 91-596, Section 19, Occupational Safety and Health Act of 1970; and Section 2, Executive Order 11807, Occupational Safety and Health Programs for Federal Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Safety Offices at all levels of command including DA, Major Command and installation level use documents in this file for history of outstanding individual effort and achievement in the prevention of accidents. The file is used to evaluate the need for additional awards for outstanding individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Portions of Broken Wing Award files are maintained on computer magnetic tape at the United States Army Safety Center Ft Rucker, AL 36362.

Retrievability:

File is arranged by time interval such as by month, quarter, year, as required, for promotion of accident prevention; within time interval, documents are filed alphabetically by the last name of award recipient.

Safeguards:

Buildings are kept locked, and records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Office performing award selection responsibility: Permanent.

Recipient offices: Permanent.

All other offices: Destroyed after 2 years, or on discontinuance, whichever is first.

System manager(s) and address:

Army Director of Safety, Headquarters, Department of the Army, Office of the Deputy Chief of Staff for Personnel, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAPE-HRS)
Room 1E686
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-6180

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAPE-HRS), Washington, DC 20310.

Written requests for information should contain full name of recipient, date and location of award presentation, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification such as driver's license or employing office identification card.

Contesting record procedures:

The Army's rule for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Documents supporting outstanding effort and achievement in accident prevention such as accident history, driver record, efforts made in safety promotion and education as supplied by the applicable unit, are used toward the completion of the award process.

Systems exempted from certain provisions of the act:

None

A0607.01bDAPE

System name:

607.01 Accident and Incident Case Files; Army Safety Management Information System

System location:

Primary System: US Army Safety Center (USASC), Attn: PESC-D Ft Rucker, AL 36362.

Decentralized Segments: Safety Offices at all levels of command including Department, Major Command and installation level.

Categories of individuals covered by the system:

Documents describing Army accidents are maintained with personnel identification when the following categories of persons are involved in Army accidents: Active Army military personnel; Army civilian employees; Army Reserve; Army Reserve Officers Training Corps under Army supervision; Army National Guard; Army contractor employees working on an Army installation; non-US citizen Army employees both direct and indirect hire; other persons not engaged in normal activities of an Army installation or activity not specifically defined as a separate category such as persons paid from nonappropriated funds; visitors to an installation, local residents, personnel of other agencies and services, foreign military students, dependents, and government and contractor employees injured on post in activities outside their employment duties; individuals off-post involved in accidents incident to Army operation.

Categories of records in the system:

File contains all pertinent and relevant information relating to Army accidents, including Aviator Mishap Data File consisting of Preliminary Reports of Aviation Mishaps, but excludes aircraft accident reports.

Authority for maintenance of the system:

Title 5 U.S.C., section 7902; Pub. L. 91-596, Section 19, Occupational Safety and Health Act of 1970 and Section 2, Executive Order 11807, Occupational Safety and Health Programs for Federal Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is gathered and maintained solely for accident prevention purposes. Users are Department of the Army or National Guard personnel (military or civilian) tasked with analyzing and improving the Army or National Guard Safety Programs; and for determining qualification of Army or National Guard aviators for selected programs. Various Department of Defense agencies, the Department of Labor, Federal Aviation Agency, other Federal, State, and local agencies, and applicable civilian organizations, such as the National Safety Council; National Transportation Safety Board, are furnished categories of data for use in a combined effort of accident prevention.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, computer magnetic tapes, magnetic disks and microfilm.

Retrievability:

By date, location, and type of accident involved. In rare instances it may be retrieved by individual's last name and social security number (SSN) in addition to other necessary information. Aviator accident mishap data is retrieved by individual's last name and/or SSN.

Safeguards:

Information is coded, located in locked rooms, accessed by authorized personnel only. Only Major Army Command Safety Data Managers and the SYSMANAGER are allowed access to the records.

Retention and disposal:

Office performing Army-wide staff responsibility for safety function and reviewing offices at lower echelons: Destroyed after 5 years.

USASC: Permanent. Retired to Washington National Records Center on discontinuance. Aviator Mishap Data File: Destroyed after 20 years.

Offices initiating reports and investigations: Destroyed after 2 years or on discontinuance, whichever is first.

System manager(s) and address:

Army Director of Safety, Headquarters, Department of the Army (HQDA), Office of The Deputy Chief of Staff for Personnel, Washington, DC 20310

Notification procedure:

Information may be obtained from:
HQDA (DAPE-HRS)
Room 1E686
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-6180

Record access procedures:

Written requests for information should contain full name, SSN, when and where accident occurred, and type of accident.

Individuals should contact Commander, U.S. Army Safety Center, Ft Rucker, AL 36362.

For personal visits, the individual should be able to provide acceptable identification; i.e., military ID, driver's license, employment ID, or other document which displays photograph/name/SSN/address/or physical characteristics to adequately identify the visitor.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Documents originating at various Army command levels, which include reports of accident, injury, fire, morbidity, military police traffic accident investigations, casualty, individual sick slips, serious incident reports, operator's reports of motor vehicle accidents, marine casualty reports, and Preliminary Report of Aviation Mishap.

Systems exempted from certain provisions of the act:

None

A0608.04aDASG

System name:

608.04 Radiation Incident Case Files

System location:

Primary System: Health and Environment Division, Health Care Directorate, The Surgeon General's Office, Washington, DC 20310.

Categories of individuals covered by the system:

All Army personnel, military and civilian, overexposed to hazards of ionizing and non-ionizing radiation.

Categories of records in the system:

File contains documents related to investigating and reporting cases of overexposure of individuals to ionizing and non-ionizing radiation, including personnel dosimetry results, reports of film badge readings and similar and related documents; and analysis of biological specimens, whole-body counts, eye examinations, and similar or related documents.

Authority for maintenance of the system:

10 CFR; Pub. L. 91-596; Executive Order 11807.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Health and Environment Division, The Surgeon General's Office: To identify and correct unsafe working conditions, provide data for use in possible subsequent litigation, and determine whether individual should be permitted to continue to work in a radiation environment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name in approved user files.

Safeguards:

Building employs security guards. Records are maintained in area accessible only to authorized personnel who are properly screened.

Retention and disposal:

Permanent; cut off on completion of the investigation or operation. Destroyed after 30 years.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-HCH)
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, Department of the Army (DASG-HCH), Washington, DC 20310.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Interview with individual; medical records; reports of investigation.

Systems exempted from certain provisions of the act:

None

A0609.01aDASG

System name:

609.01 Individual Radiation Protection Files

System location:

Primary System - Army installations/activities which possess, use, or store radiation producing devices or radioactive materials.

Decentralized Segment - Nucleonics Section, Quality Assurance Division, Lexington Blue Grass Depot Activity, Lexington, KY.

Categories of individuals covered by the system:

All Army personnel, civilian and military, occupationally exposed to hazards of ionizing radiation and occasionally exposed and monitored visitors.

Categories of records in the system:

Installation personnel and Radiation Protection Committee files contain documents, DD Forms 1952, DD Forms 1141, DA Forms 3484, exposed dosimetry film, and related papers reflecting the training, experience, and certification of individual radiation workers to handle specific sources of ionizing radiation; summary listings of certified individuals; external exposures to ionizing radiation, including personnel dosimetry results and reports of film badge readings; and internal exposures to radioactive materials, including analysis of biological specimens and whole-body counts.

Lexington Blue Grass Depot Activity automated dosimetry file contains data elements reflecting individual name, social security number, film badge number, coded cross-reference to place of assignment at time of exposure, from-to dates of exposure and radiation dose, cumulative quarterly, annual and life-time dose, type of measuring device, and coded cross-reference to qualifying data regarding exposure readings.

Authority for maintenance of the system:

10 CFR 35; 10 CFR 20; Title 44 U.S.C., Section 3101; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To insure individual qualifications to handle radioactive materials; to monitor, evaluate, and control the risks of individual exposures to ionizing radiation or radioactive materials by comparison of both current (short-term) and long-term exposures; to provide radiation data to other Federal agencies, academic institutions, and non-governmental agencies, such as the National Council on Radiation Protection and Measurement and the National Research Council, authorized to conduct radiation research, evaluation, and monitorship.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, film packets, magnetic tape/disk.

Retrievability:

Filed alphabetically by name; automated data retrievable by name, social security number, or automatic data processing parameters.

Safeguards:

Buildings employs security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained; access to computer operations room is controlled by card key system, which requires positive identification and authorization.

Retention and disposal:

Certified user listing files - Retained 5 years after reassignment, transfer or separation of individual.

Personnel Dosimetry files - Permanent. Processed film indicating normal exposure is retained 5 years after evaluation and recorded on permanent records.

Personnel Bioassay files - Permanent medical records.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-PSP)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA (DASG-PSP), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number will be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for contesting content and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Monitored individuals and exposed dosimetry film.

Systems exempted from certain provisions of the act:

None

A0611.05aDAAG

System name:

611.05 Individual Gravesite Reservation Files

System location:

Primary System: Cemetery Division, Memorial Affairs Directorate, The Adjutant General Center TAGCEN).

Decentralized Segments: Arlington National Cemetery, Arlington, VA 22211; Soldiers' Home National Cemetery, 21 Harewood Road, NW, Washington, DC 20011; and Army post cemeteries.

Categories of individuals covered by the system:

Active and former Armed Forces personnel and non-service-connected dependents.

Categories of records in the system:

File contains records of gravesite reservations (Department of the Army (DA) Forms 2121) in Army national cemeteries and Army post cemeteries. DA Form 2121 contains reservee's address, number of grave and section reserved, and military service and reservation data of service-connected member.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cemetery Division: To maintain official records of individuals holding gravesite reservations in Army national cemeteries and post cemeteries made prior to establishment of the one-gravesite-per-family-unit policy in 1961. Records are used in the conduct of gravesite reservation 2-year and 5-year surveys and to respond to general inquiries from individuals holding gravesite reservations.

Army national cemeteries and post cemeteries: To maintain duplicate records of individuals holding gravesite reservations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by last name of reservee.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Records are destroyed when gravesite reservation is utilized or officially cancelled.

System manager(s) and address:

Assistant Secretary of the Army (Civil Works), DA, The Pentagon, Washington, DC; or Director, Memorial Affairs (TAGCEN), DA, Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
DA, Memorial Affairs Directorate (TAGCEN)
Room 7F 057
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-0876

Record access procedures:

Requests from individuals should be addressed to: Director, Memorial Affairs (TAGCEN), DA, ATTN: DAAG-MEC, Room 7F 057, Forrestal Building, Washington, DC 20314.

Written requests for information should contain reservee's full name and name of service member, rank, and date of death. Visits are limited to Cemetery Division (DAAG-MEC), Forrestal Building, Washington, DC 20314.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the Memorial Affairs Directorate (TAGCEN), ATTN: DAAG-MEC, Washington, DC 20314.

Record source categories:

Information obtained from next-of-kin and DA Forms 2122 and 2123.

Systems exempted from certain provisions of the act:

None

A0614.01aNGB

System name:

614.01 Equal Opportunity Investigative Files

System location:

Equal Employment Opportunity Branch, National Guard Bureau, NGB-EO, Nassif Building, Room 301, 5611 Columbia Pike, Falls Church, VA 22041

Categories of individuals covered by the system:

All National Guard Technicians and military members who have filed complaints of discrimination and those National Guard Technicians and military members who are involved in these complaints.

Categories of records in the system:

File contains: formal complaints of discrimination, counselors' reports, notification letters to the complainant, affidavits from the complainant and witnesses, decision on the cases, investigative reports, hearings, complaints, examiners' findings, and recommendations and related correspondence.

Authority for maintenance of the system:

Title VI Civil Rights Act 1964; Pub. L. 92-261, Nondiscrimination in the Federal Government.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The routine uses are to investigate complaints of discrimination, provide facts to the Adjutant General of a State for issuing a proposed disposition to the complainant, provide information to the Civil Service Commission Complaints Examiner in the Bureau or other agencies to be used in issuing final decisions, provide information to Civil Service Commission Appeals Review Board in making its determination, make data available to National Guard Bureau Legal Officers as required and provide data to the complainants to assist them in making their decisions to accept or reject proposals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The investigative files are maintained as paper records in file folders.

Retrievability:

Filed by name of complainant and investigation number

Safeguards:

Building employs security guards. Records are maintained in cabinets accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active file until the case is closed by final decision of the agency. Then forwarded to the Washington National Records Center, Suitland, MD.

System manager(s) and address:

Chief, National Guard Bureau, Office of Minority Affairs

Notification procedure:

Information may be obtained from:
NGB-EO
Room 301
Nassif Building
5611 Columbia Pike
Falls Church, VA 22041
Telephone, Area Code 202/756-1563

Record access procedures:

Requests from individuals should be addressed to: National Guard Bureau, Office of Minority Affairs, Nassif Building, Room 301, 5611 Columbia Pike, Falls Church, VA 22041

For personal visits positive identification is required

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence relating to the complaint, investigative reports by investigators and attached documents, hearing files and attached documents.

Systems exempted from certain provisions of the act:

None

A0614.03aDAPE

System name:

614.03 Race Relations/Equal Opportunity & Equal Employment Opportunity Complaint Files

System location:

Primary System: Office of Equal Opportunity Programs, Office of the Deputy Chief of Staff for Personnel, Headquarters, Department of the Army.

Decentralized Copies are maintained at the installation initiating the complaint and at the respective major Army command. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any member of the United States (US) Army, Active and Reserve Components who submits a complaint to this office, orally, telephonically, or in writing, or whose complaint is forwarded by a major command to this office for appropriate action.

Categories of records in the system:

Files contain correspondence relating to individuals' complaints, basic complaint, interim replies; final replies; referrals to appropriate offices, i.e., Office of the Inspector General, requests for information upon which to base a reply.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(g).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Equal Opportunity Programs: Insure complaints are properly investigated and steps taken to correct inequities; encourage chain of command to make necessary changes in cases where soldiers are obviously discriminated against.

Major commands and installations: Investigate complaints and take necessary corrective action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by installation; cross referenced by Cross Reference Sheet only, according to rank, i.e., officer or enlisted, for easier retrievability by Central File Officer.

Safeguards:

Building employs security guards. Records are maintained in safes. Action officers must request file through the Central File Officer. Charge-out sheets are used and action officers queried periodically for continued need of file.

Retention and disposal:

Office of Equal Opportunity Programs: Files are permanent. They are retained in active file until end of calendar year, held 2 additional years in inactive file and subsequently retired to Washington National Records Center. Cross Reference Sheets are destroyed upon retirement of files.

Major Commands and installations: Files are retained in active file until end of calendar year, held an additional year in inactive file, and then destroyed.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAPE-HRR)
Room 2D745
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-4200 or 697-1860

Record access procedures:

Requests from individuals should be addressed to: HQDA, (DAPE-HRR), Room 2D745, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, year in which complaint was written, and installation at which the complaint generated.

For personal visits, the individual should be able to provide some acceptable identification; i.e., driver's license or military identification card; name the installation at which the complaint initiated; and give verbal information that can be verified from the file; e.g., date of reply to him, name of office replying.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Deputy Chief of Staff for Personnel.

Record source categories:

Individuals, Congressional inquiries, Office of the Inspector General referrals, major command and installation referrals.

Systems exempted from certain provisions of the act:

None

A0701.01aDAPC

System name:

701.01 Classification, Reclassification, Utilization of Soldiers

System location:

Department of the Army (DA), US Army Military Personnel Center (USAMILPERCEN) (DAPC-EP), Hoffman Bldg 1, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Categories of individuals covered by the system:

Active duty Army members in enlisted grades E1 through E9 and former Army enlisted personnel.

Categories of records in the system:

File contains name, social security number (SSN), grade, Military Occupational Specialty, Evaluation Test Data, Enlisted Evaluation Report Data, and additional data substantiating the soldier's or agency's request for exception to or interpretation of regulatory guidance for the classification, reclassification/utilization of soldiers.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA: Records are used for personnel management, year group management and manpower management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards. Records are maintained in locked cabinets accessible only to authorized personnel.

Retention and disposal:

Retained in active file until end of calendar year, held for 1 additional year in inactive file, and then destroyed.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from USAMILPERCEN (DAPC-EP), Hoffman Bldg 1, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Written requests for information should contain the the full name of the requester, SSN, and appropriate return address. Personal visits may be made to the USAMILPERCEN; individuals should be able to provide their military service identification and Department of Defense Form 2a for active duty personnel, or other commonly acceptable means of identification used in formal transactions of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from the individual requester, DA personnel records, computer reports, and other Army organizations and stations.

Systems exempted from certain provisions of the act:

None

A0701.02aDAPC

System name:

701.02 Qualitative Management Program (QMP) Appeal File

System location:

Department of the Army (DA), United States Army Military Personnel Center (MILPERCEN) (DAPC-EP).

Categories of individuals covered by the system:

Enlisted personnel in grades E5 through E9 who have appealed DA imposed bars to reenlistment.

Categories of records in the system:

File contains name, social security number (SSN), pay grade, date of rank, basic active service date, estimated termination of service, primary and secondary military occupational specialties, bar to reenlistment letter, appeal of bar to reenlistment and associated documentation submitted by the service member or his/her commander, final determination of appeal by Reenlistment Appeals Board, enlisted efficiency computer print-out containing selected data elements pertaining to service record of appellant.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012. .

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA Staff and Commands: To accomplish management of QMP personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Normal access is by name and SSN.

Safeguards:

Physical security devices, guards, and personnel clearances for individuals working with the system.

Retention and disposal:

Records are retained for duration of individual service member's current enlistment.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: United States Military Personnel Center, (DAPC-EP) Hoffman Bldg I, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Written requests for information should include full name of the requester, SSN, grade and appropriate return address. Personal visits may be made to the United States Army Military Personnel Center; individual should be able to provide military service identification or other means of identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from: United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from documented personnel records, other DA organizations and appellant.

Systems exempted from certain provisions of the act:

None

A0701.02eDAPC

System name:

701.02 Separation Transaction Control/Records Transfer System

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

United States Army Enlisted Records and Evaluation Center, Ft Benjamin Harrison, IN 46249.

United States Army Reserve Components and Personnel Administration Center, St. Louis, MO 63132.

Categories of individuals covered by the system:

All active duty enlisted personnel separated from military service (excluding active duty for training) and all personnel immediately reenlisting after separation.

Categories of records in the system:

File contains name, social security number (SSN), grade, eligibility for reenlistment, character of separation, separation program designator, date and location of separation of reen- listment, moral waiver and specialty.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: To monitor separations of the Army active enlisted personnel as a means of enhancing strength and record accountability; to monitor immediate reenlistment processing.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disk.

Retrievability:

By name and/or SSN.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, and personnel clearances.

Retention and disposal:

Separation records are maintained for 1 year; reenlistment records retained for 45 days; tape file scratched at end of retention period; disk files purged.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should contain the full name of requester, SSN, whether active, retired or separated and, if separated, date of separation.

Personal visits may be made to the United States Army Military Personnel Center. Individual should be able to provide acceptable indentification including verbal information that can be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained through the Automatic Digital Network (AUTODIN) from field, Standard Installation/Division Personnel Systems (SIDPERS) and United States Army Enlisted Records and Evaluation Center, Ft Benjamin Harrison, IN 46249.

Systems exempted from certain provisions of the act:

None

A0701.02eDAPC

System name:

701.02 Military Personnel Management Reports

System location:

Decentralized: Each Major Command (MACOM) maintaining a segment of the system. The official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Active duty commissioned officers, warrant officers and enlisted personnel assigned or projected for assignment to the respective MACOM.

Categories of records in the system:

Name, social security number (SSN), sex, race; marital status and dependents; physical category code; component; expiration of term of service; additional pay; date of rank; annual efficiency index; last overseas short tour; Personnel Information System (PERSINS) procurement actions; Unit Identification Code; Department of Army (DA) location, assignment and status codes; permanent change of station date; date joined/departed current command; gaining unit,

location, assignment and status codes; reporting date; date returned from overseas; previous unit identification code, assignment and type transfer strength; primary and secondary military occupational specialties (MOS), secondary MOS evaluation score; duty MOS; away without leave data; date agreements and related documents, forms, and correspondence.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system extracts data from Officer and Enlisted Personnel Files and records related to organizations, personnel authorized and assigned strength and prepares printed reports designed to aid Major Command (MACOM) staffs in military personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes, disks, micro- fiche and hardcopy printouts.

Retrievability:

Access is by SSN, name, or other unique identifying characteristics.

Safeguards:

Physical security devices, computer hardware and software safeguard features, and personnel clearances for individuals working with the system.

Retention and disposal:

Records are retained for up to 90 days and destroyed.

System manager(s) and address:

Commanders of MACOMs.

Notification procedure:

Information may be obtained from the MACOM commanders to which the service member is assigned.

Record access procedures:

Written requests for information should include the full name, SSN, and current address. Visits may be made to the MACOM, showing appropriate personal identification such as valid driver's license, military or civilian ID cards.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The privacy information contained in this system is extracted from the Department of Army data base and disseminated to the MACOMs via magnetic tape.

Systems exempted from certain provisions of the act:

None

A0701.02fDAPC

System name:

701.02 Selective/Variable Reenlistment Bonuses

System location:

Department of the Army (DA), USA Military Personnel Center (USAMILPERCEN) (DAPC-EP).

Categories of individuals covered by the system:

Active duty Army members in enlisted grades E1 through E9 and former Army enlisted personnel.

Categories of records in the system:

File contains name, social security number (SSN), grade, Military Occupational Speciality and documentation substantiating service member's request for accelerated payment of Selective Variable Reenlistment Bonuses (SRB/VRB) for service financial hardship or compelling compassionate reasons. An advisory recommendation is submitted to the Army Board for Correction of Military Records (ABCMR).

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA: Records are used to determine if service member is experiencing severe financial hardship or compelling compassionate reasons to warrant approval of request for accelerated payment of SRB/VRB. Records are reviewed in order to give an advisory/recommendation to the ABCMR.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by last name of individual.

Safeguards:

Record maintained in areas accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal:

Retained in active file until end of calendar year, held for 1 additional year in inactive file and destroyed.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from MILPERCEN (DAPC-EP), Hoffman I, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Written requests for information should contain the full name of the requester, SSN and appropriate return address. Personal visits may be made to the USAMILPERCEN; individual should be able to provide military service identification and Department of Defense Form 2a if on active duty, or other commonly acceptable means of identification used in formal transaction of business.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from the individual, DA personnel records, computer reports and other DA or organizations and stations.

Systems exempted from certain provisions of the act:

None

A0701.02gDAPC

System name:

701.02 Dependents of Military Personnel/US Citizen Employees

System location:

Maintained in decentralized segments: Department of the Army commands/ installations/agencies in Europe, Africa; Middle East, Japan, Korea, Alaska, Hawaii, Central and South America, and Caribbean Area.

Categories of individuals covered by the system:

All military personnel with dependents located overseas and Army citizen civilian employees and their dependents located outside the Continental United States.

Categories of records in the system:

File contains name, social security number (SSN), military classification (officer, enlisted, civilian), unit of assignment, area of overseas residence, type sponsor, and the following information on the individual sponsor dependents located overseas: name, if paid from Army nonappropriated funds, month and year of birth, relationship to sponsor, if command sponsored; if member of household, overseas residence (city and country) and country of citizenship.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army Military Personnel Center (USAMILPERCEN): to provide statistical information to Congress on the number of dependents located outside the United States; for contingency planning; for background reference in planning for movement of dependents to and from overseas; for planning for services available to dependents in overseas areas, and similar uses.

Department of the Army staff agencies/commands/installations: to coordinate, facilitate, plan and execute the orderly evacuation of noncombatants from hostile zones when required. Personal data are utilized to verify dependency, issuance of ration cards during emergency operations, logistical manifesting and establishing priorities of evacuation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes, disks, and computer punch cards. Initial input on paper records is in file folders until data are verified by computer printout.

Retrievability:

Normal access is by geographic location of dependent/employee residence; access may be made by individual identifier.

Safeguards:

Physical security is provided by storing computer tapes in a restricted area manned at all times. Normal computer hardware and software safeguards are employed. Computer printouts are stored in security containers and limited access by authorized Department of Defense personnel making routine use of data in the performance of official duties.

Retention and disposal:

Records are maintained as long as the civilian employee, his/her dependents and/or the dependents of military personnel reside outside the Continental United States. Upon departure from overseas area, the file is purged of all data pertaining to the individual.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:

United States Army, Europe, ATTN: AEUPE-DSP, APO New York 09403

United States Army, Japan, ATTN: AG, APO San Francisco 96343

Eighth United States Army, ATTN: AJ, APO San Francisco 96301

US Army Forces Command, ATTN: AFPR-PR, Ft McPherson, GA 30330

Record access procedures:

Requests from individuals should be addressed to: Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Written requests should contain the full name, SSN of the individual, authority, need-to-know, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification, including verbal information that can be verified from his/her record.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Data are collected from the individual sponsor at time of arrival in overseas area and updated from other personnel records as required.

Systems exempted from certain provisions of the act:

None

A0701.07bAMC

System name:

701.07 Retirement Services Control Reference Paper Files.

System location:

Retired Affairs Office, Headquarters and Installation Support Activity, Electronics Command (ECOM), Ft Monmouth, NJ 07703.

Categories of individuals covered by the system:

All military personnel with more than 18 years' active duty service stationed at Ft Monmouth 07703.

Categories of records in the system:

File contains individual's name, grade, address, organization, service number, duty phone, and proposed date of retirement.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Identify members with more than 18 years service for mailing informational material regarding retirement benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Kept in locked fireproof cabinet.

Retention and disposal:

Destroyed upon permanent change of station or retirement of individual concerned.

System manager(s) and address:

Headquarters and Installation Support Activity, ECOM, Ft Monmouth, NJ 07703.

Notification procedure:

Information may be obtained from:

Headquarters and Installation Support Activity, ECOM
Retired Affairs Office
Ft Monmouth, NJ 07703
Telephone: Area Code 201/532-1703

Record access procedures:

Requests from individuals should be addressed to: Headquarters and Installation Support Activity (ECOM), SELHI-AD-C-RET, Ft Monmouth, NJ 07703.

Written requests for information should contain full name, rank, and serial number.

For personal visits, the individual should be able to provide acceptable identification, i.e., driver's license, identification card, and give verbal information that can be verified with his card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information on cards is obtained from the United States Army Electronics Command military personnel office at Ft Monmouth.

Systems exempted from certain provisions of the act:

None

A0701.07cDAPC

System name:

701.07 Enlisted Evaluation System/Report

System location:

Department of the Army (DA), United States Army Military Personnel Center (MILPERCEN) (DAPC-MS).

Categories of individuals covered by the system:

Active duty Army members in enlisted grades E1 through E9 and former Army enlisted personnel.

Categories of records in the system:

File contains name, social security number (SSN), grade, Military Occupational Specialty (MOS), Evaluation Test Data, Enlisted Evaluation Report Data, and additional data substantiating the soldier's or agency's request for exception to or interpretation of regulatory guidance for the Enlisted Evaluation System and Enlisted Evaluation Reporting System.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA: To determine appropriate response to soldier/agency initiating the inquiry and to document granted exceptions to interpretations of regulatory guidance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards. Records are maintained in locked cabinets accessible only to authorized personnel.

Retention and disposal:

Retained in active file until end of calendar year, held for 1 additional year in inactive file, and then destroyed.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

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Information may be obtained from United States Army Military Personnel Center (DAPC-EP), Hoffman Bldg I, 2461 Eisenhower Avenue, Alexandria, VA 22331 concerning Military Occupational Specialty (MOS), Evaluation Test Data; and DAPC-MS, Hoffman Bldg II, 200 Stovall Street, Alexandria concerning the Enlisted Evaluation Reporting System.

Record access procedures:

Written requests for information should contain the full name of the requester, SSN, and appropriate return address. Personal visits may be made to the United States Army Military Personnel Center; individuals should be able to provide their military service identification and Department of Defense Form 2a for active duty personnel, or other commonly acceptable means of identification used in formal transactions of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Information is obtained from the individual requester, DA personnel records, computer reports, and other Army organizations and stations.

Systems exempted from certain provisions of the act:

None

A0701.07dUSAREC

System name:

701.07 High School Folder (Lead List)

System location:

Army recruiting stations reached through the following Recruiting Commands: Northeast Regional Recruiting Command, Ft Meade, MD.; Southeast Regional Recruiting Command, 1628 Virginia Avenue, College Park, GA.; Southwest Regional Recruiting Command, Ft Sam Houston, TX.; Midwest Regional Recruiting Command, Ft Sheridan, IL.; Western Regional Recruiting Command, Ft. BAker, CA.

Categories of individuals covered by the system:

Persons of both sexes, in their senior year of high school, who may reasonably be assumed to be prospects for enlistment in the Army after graduation.

Categories of records in the system:

System contains names, addresses, and telephone numbers of prospects with qualifying information added after contact by the recruiter.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 503, 505, 510, and 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by field recruiter to record locator data on high school seniors. If an interview is conducted with the prospect, additional information will be solicited and recorded on United States Army Recruiting Command (USAREC) Form 200, Recruiting Prospect Card.

Inspected by recruiting supervisory personnel to assure recruiters are contacting a sufficient number of high school graduates to maintain high quality enlistment standards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by school, by last name of high school student.

Safeguards:

Records are maintained by individual recruiters in secured files and considered privileged information.

Retention and disposal:

High school lead lists are cut off at the end of the fiscal year, kept in the current files area for 2 years and then destroyed.

System manager(s) and address:

Commander, USAREC, Ft Sheridan, IL 60037.

Notification procedure:

Individuals who desire information as to whether their names and locator information about them are contained on high school lead lists should write to: Commander, USAREC, ATTN: USARCRFM-A, Ft Sheridan, IL 60037.

Requests should include the full name of the person desiring information, current address and telephone number, name of high school attended as a senior, and the location of the recruiting station where the information is believed to be stored.

Record access procedures:

Requests from individuals for access to information in this system should be addressed to: Commander, USAREC, ATTN: USARCRFM-A, Ft Sheridan, IL 60037.

Requests should include the full name of the person desiring access to the information, current address and telephone number, name of high school attended as a senior, and the location of the recruiting station where the information is believed to be stored.

Contesting record procedures:

The Army's rules for contesting content of records and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

High school officials of the local school, county/city school superintendent, or similar officials, yearbooks and school directories.

High school senior lists are purchased by the USAREC from professional sources of supply.

Systems exempted from certain provisions of the act:

None

A0701.08DAAG

System name:

701.08 Clemency Project

System location:

Automated Equipment Division, Systems Support Directorate and Personnel Services Directorate, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC), AGUZ-SSD, PSD, 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

Individuals who were identified as being possible eligibles for clemency discharges by Department of Defense (DOD) Components.

Individuals discharged by the Clemency Processing Center, Ft Benjamin Harrison, IN who were members of the US Army.

Individuals who had served in the US Army and applied for and were potentially eligible to participate in the Clemency Program.

Categories of records in the system:

For those individuals that were identified by DOD Components a computer print out which indicates name, social security number (SSN) or military service number, home address as shown on discharge, and service component code of the identified individuals.

For individuals that were discharged by the Clemency Processing Center a computer print out indicates name, SSN and a registry number used by National Personnel Records Center (NPRC), General Services Administration (GSA) for filing and retrieval purposes to locate the hard copy personnel record in the file storage area.

For individuals who applied to the Presidential Clemency Board a computer print out shows name, SSN or service number, NPRC, GSA registry number for filing and retrieval purposes used to locate the hard copy personnel record in the file storage area, status of the individual which indicates: performing alternate service, applied for and was not eligible for the program, authorized issuance of a Clemency discharge as recommended by the Presidential Clemency Board and directed by the President, and terminated from the program. The records received from the Presidential Clemency Board are those that were loaned to that Board from the consolidated registry of the NPRC, GSA or from USARCPAC.

Authority for maintenance of the system:

Presidential Proclamation 4313, 16 September 1974 - Program for Return Viet Nam Era Draft Evaders and Military Deserters.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Services Directorate, RCPAC: to issue Clemency discharges as directed, answer inquiries pertaining to or from identified individuals, complete other routine administrative actions prior to returning the records to the NPRC, GSA.

DOD or any component thereof: to provide personnel or statistical information if required, provide administrative data to include, but not limited to, the status of clemency discharges issued, individuals performing alternate service or terminated from the program.

Veterans Administration: to provide information or records to assist in making determinations and decisions in the adjudication of veterans claims.

Selective Service System: to provide statistical data and personnel information to include data relative to clemency discharges issued.

Presidential Clemency Board: to provide status, complete actions, receive and locate records necessary for the orderly phase-out and return of records used by the Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and computer printouts.

Paper records in file folder/jacket; military personnel files.

Retrievability:

By full name or SSN.

Hard copy personnel records filed alphabetically by last name or records may be filed by status of action required, SSN or service number to facilitate positive identification.

Safeguards:

Computer keyword distribution of output information, routed by interoffice symbols only.

Building employs security guards; identification badge required to enter building; floor badge required.

Retention and disposal:

Indefinite for computer printouts and computer magnetic tapes.

Paper records in file folders/jackets are returned periodically to NPRC, GSA for storage and maintenance as personnel actions are completed.

System manager(s) and address:

Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander, USARCPAC
9700 Page Boulevard
St Louis, MO 63132.
Telephone: Area Code 314/268-7777

Record access procedures:

Requests from individuals should be addressed to: Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain the full name and SSN or Military Service Number of the individual.

For personal visits, the individual should be able to provide acceptable identification, such as driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYS-MANAGER.

Record source categories:

Individuals were identified by the DOD Components as individuals who may be eligible for discharge under the Presidential Clemency Program.

Individuals were identified by U. S. Army Clemency Processing Center, Ft Benjamin Harrison, IN as having received an undesirable discharge from the US Army.

Individuals who had served in the US Army and applied for the Clemency program.

Systems exempted from certain provisions of the act:

None

A0702.03aUSAREC

System name:

702.03 Enlistment Eligibility Files

System location:

Directorate of Recruiting Management, United States (US) Army Recruiting Command (USAREC), USARCRM-M, Ft Sheridan, IL 60037.

Categories of individuals covered by the system:

Pertains to Regular Army applicants who have requested a waiver of moral eligibility for a juvenile or adult felony; determination of medical/Military Occupational Specialty qualifications, determination of Stripes for Skills qualification; exceptions to policy; determination of enlistment eligibility, and prior service personnel requesting a mental retest.

Categories of records in the system:

File contains individual's request and agency reply approving or disapproving the request.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 504, 505, 510, and 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference file for enlistment eligibility qualifications approved or disapproved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders in metal cabinets.

Retrievability:

By individual's last name or date of action.

Safeguards:

Records stored in file cabinet and building secured. Records are only accessible to authorized personnel who have a valid need-to-know.

Retention and disposal:

Files remain active for 1 fiscal year, inactive for 1 fiscal year and destroyed at the beginning of the third year.

System manager(s) and address:

Commanding General, USAREC, Ft Sheridan, IL 60037.

Notification procedure:

Information may be obtained from:
Director, Recruiting Management, USARCRM-M
USAREC
Ft Sheridan, IL 60037
Telephone: 312/926-2372

Record access procedures:

Requests for information should be addressed to: Headquarters, USAREC, ATTN: USARCRM-M, Ft Sheridan, IL 60037. Request for information should contain full name, address, telephone number and military status of requester.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the SYS-MANAGER.

Record source categories:

Individual, employers, probation officials, law enforcement officials, school officials, personal references, transcripts, medical records & documentation, Department of Defense Forms 214, and recruiting personnel evaluations.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0702.04aDAAR

System name:

702.04 OCS Waiver Requests

System location:

Headquarters, Department of the Army, (HQDA), Office of the Chief, Army Reserve, Organization and Training Division.

Categories of individuals covered by the system:

Any United States Army Reserve enlisted person or warrant officer who has requested a waiver of requirements to enter Officer Candidate School (OCS).

Categories of records in the system:

File contains individual's request and agency reply approving or denying a waiver.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference file for waivers approved and disapproved. Users are school officers at HQDA, and major subordinate Army Headquarters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in paper form file folder.

Retrievability:

Information retrieved by individual's name or social security number.

Safeguards:

Records stored in combination safe. Only OCS Program Manager and agency officers have access.

Retention and disposal:

Records destroyed after 3 years.

System manager(s) and address:

Chief, Army Reserve, Washington, DC 20310.

Notification procedure:

Chief, Army Reserve
Washington, DC 20310
Telephone: 202/697-5532

Record access procedures:

Inquiries should be addressed to Chief, Army Reserve, Washington, DC 20310; Telephone: 202/697-5532.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence from the individual requesting attendance at OCS and the intervening higher headquarters.

Systems exempted from certain provisions of the act:

None

A0702.04bDAPC

System name:

702.04 Eligibility Determination Files

System location:

United States (US) Army Enlistment Eligibility Activity, 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

Any individual applying for enlistment or reenlistment who requires a waiver of one or more disqualifications by Headquarters, Department of the Army (HQDA).

Persons requesting continuation on active duty under the provisions of Army Regulation 635-40, requesting withdrawal of counseling statement or cancellation of extension, or seeking clarification of enlistment/reenlistment eligibility.

Categories of records in the system:

File contains requests for enlistment eligibility or waiver of disqualifications for enlistment/reenlistment, requests for grade determinations, documents reflecting determinations made on requests for waiver or grade determinations, copies or extracted items from basic records, transmittals, and suspense documents needed to provide a means of assuring that requests are acted upon in a timely manner. Copies of auxiliary documentation submitted by applicants.

Authority for maintenance of the system:

Title 10 U.S.C., Section 333.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army Staff agencies and commands - To evaluate waiver requests and provide record of waiver considered, determinations, and disposition. To provide record of requests for enlistment eligibility determinations and disposition.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records between file dividers.

Retrievability:

Filed alphabetically.

Safeguards:

Building employs security guards and requires identification badges of authorized employees. Records are maintained in area accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Destroyed after 1 year.

System manager(s) and address:

Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Commander, US Army Enlistment Eligibility Activity, 9700 Page Boulevard, St Louis, MO 63132.

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Enlistment Eligibility Activity, 9700 Page Boulevard, St Louis, MO 63132. Requests should include the full name of the requester, current address, social security number, date of separation, and service component, if applicable.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Extracts from official military personnel files; extracts from dossiers; letters originating from applicant or inquirer; forms, documents and related papers originated by Army staff offices, command offices, or present or former service member; medical evaluations; application and related forms, records, and correspondence from applicant. Individual file may contain some or all of the foregoing.

Systems exempted from certain provisions of the act:

None

A0702.08aDASG

System name:

702.08 Army Medical Procurement Applicant Files

System location:

Primary System: Procurement Division, Army Medical Department (AMEDD) Personnel Support Agency, Headquarters, Department of the Army (HQDA) (SGPE-PD), 1900 Half Street, S.W., Washington, D.C. 20324.

Decentralized Segments: AMEDD Procurement Counselor Field Offices in the following locations: Cutler Army Hospital, Ft. Devens, MA 01433; US Post Office Building, 135 High St., Hartford, CT 06103; Room 1271, Federal Building, 100 South Clinton St., Syracuse, NY 13202; 160 North Franklin St., Hempstead, NY 11550; Building 5515, Room 309 and 316, Ft. Dix, NJ 08640; Federal Office Building, 1000 Liberty Avenue, Pittsburgh, PA 15222; Forest Glen Section, Walter Reed Army Medical Center, Washington, DC 20012; Federal Office Building, 400 North 8th St., Richmond, VA 23240; 3555 Maguire Blvd., Bennington Building, Suite 250, Orlando, FL 32803; Federal Building, 310 New Bern Avenue, Suite 310, Post Office Box 27524, Raleigh, NC 27611; 200 East Liberty St., Ann Arbor, MI 48107; Building 67, Columbus Support Facility, 530 Buckingham St., Columbus, OH 43215; HQ US Army Forces Command, Ft. McPherson, GA 30330; Building 142, Room 345, Ft. Sheridan, IL 60037; 144 Elk Place, Suite 1504, New Orleans, LA 70112; Federal Office Building, 515 Rusk Ave., Room 5122, Houston, TX 77002; Brooke Army Medical Center, ATTN: AFZG-MDZ-PP, Ft. Sam Houston, TX 78234; Federal Office Building, 1100 Commerce Street, Dallas, TX 75202; US Army Recruiting Main Station, 12th & Spruce Streets, St. Louis, MO 63102; US Army Medical Department Activity, Building 268 (Dodge Hall), Ft. Leavenworth, KS 66027; American Red Cross Building, Box 327, Fitzsimons Army Medical Center, Denver, CO 80240; Building 5, Ft. Douglas, UT 84110; Building 138, Room 116, Naval Support Activity (Sand Point), Seattle, WA 98115; Building 654, Presidio of San Francisco, San Francisco, CA 94129; 1600 N. Broadway, Suite 210, Santa Ana, CA 92706; US Army Medical Command, Europe, APO New York 09102; Tripler Army Medical Center, ATTN: HSCT-PD-P, TAMC, Hawaii 96859.

Categories of individuals covered by the system:

Potential applicants and applicants for the AMEDD procurement programs, to include applicants for appointment in the Regular Army and US Army Reserve.

Categories of records in the system:

Interview sheets; counselor evaluations; resume; Curriculum Vitae; autobiography; letters of recommendation; selection/nonselection letters; Special Orders; all correspondence to, from, and about applicant; Selection Board/Committee results; Statement of Interests; Objectives and Motivation; Letter of Appointment; US Army Reserve Components Personnel and Administration Center Transcript; Service Agreement.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 3012 and 4301, and Executive Order 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Procurement Division: To evaluate an applicant's acceptability and potential for appointment in a component of the AMEDD, to evaluate qualifications for assignment to various career areas; to determine educational and experience background for award of constructive service credit; to determine dates of service and seniority; to document service agreement with the US Army; to provide statistical information for effective management of the AMEDD Personnel Procurement Program.

AMEDD Procurement Counselor Field Offices: To assist applicants in completion of their applications; to counsel applicants in their potential for selection for procurement programs and/or for appointment in the AMEDD.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are maintained in file folders.

Retrievability:

File folders are filed alphabetically by last name of applicant.

Safeguards:

File folders are maintained in areas accessible only to authorized personnel.

Retention and disposal:

File folders are cut off at the end of the year in which action is completed, held 10 years, and destroyed, for selected individuals; for individuals not selected, records are cut off at the end of the year, held 1 year and destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Commander, AMEDD Personnel Support Agency
Officer Procurement Division
1900 Half Street, S.W.
Washington, DC 20324
Telephone: 202/693-5120

Record access procedures:

Requests should be addressed to: HQDA (SGPE-PD), 1900 Half Street, S.W., Washington, DC 20324.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from Commander, AMEDD Personnel Support Agency.

Record source categories:

Transcripts from post secondary schools; employer evaluations; faculty evaluations; AMEDD counselor evaluations; interviews; military supervisor evaluations; medical information from medical examination facilities; American Testing Program; Educational Testing Service; Selection Board/committees; prior military service records; Department of Defense (DD) Form 214 (Report of Separation from Active Duty); application and related forms from individual.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a, Section (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

A0703.01aDAPC

System name:

703.01 Military Personnel Action File

System location:

Primary System: United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Decentralized Segments: Department of the Army (DA) Staff agencies and commands.

Categories of individuals covered by the system:

Any Army service member.

Categories of records in the system:

File contains officer candidate applications; documents reflecting individual application for appointment as a warrant officer or commissioned officer in the US Army or the Army Reserve including waivers, recommendations, evaluation reports, test papers, interview sheets and similar or related papers; documents reflecting determinations made by boards on applications submitted for officer candidate school or appointment as a warrant officer or commissioned officer; documents accumulated in staff offices exercising administrative jurisdiction and used as reference records of routine actions, copies or extracted items from basic records, and transmittals; emergency data information furnished by the service member to support notification of next-of-kin, survivor benefits on forms, letters, and similar or related documents; auxiliary documents on forms, letters and similar papers concerning the individual service member; contains transitory adverse suitability information which reflects nonsupport, debts and similar acts of wrongdoing, (documents remain in file until rebutted/resolved. Adverse suitability information that is supported, substantiated, or otherwise determined to be true is transferred into the official military personnel file); supplemental data relating qualification, efficiency rating, duty assignment, grade, date of rank, and similar information needed by action officers for routine administration; suspense documents and suspense cards needed to provide a means for assuring that personnel actions are accomplished in a timely manner.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA Staff agencies and commands: To provide administration and management requirements for Army service members and to permit timely and accurate notification to next-of-kin and survivors in cases of accident/death of service member.

Department of the Air Force: When required incident to a service member's application for transfer, on duty with, or availing himself of services provied by the Air Force.

Department of the Navy: When required incident to a service member's application for transfer, on duty with, or availing himself of services provied by the Navy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically for emergency data and adverse suitability or by subject for information/auxiliary/suspense/and similar files.

Safeguards:

Records maintained in controlled areas accessible only to authorized persons.

Retention and disposal:

Records are retainable for periods ranging from 6 months to 3 years. Records are destroyed in accordance with scheduled time by the local office maintaining the file.

System manager(s) and address:

United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
Major commands for persons assigned to organization within the command.
Headquarters, Department of the Army (HQDA), 200 Stovall Street, Alexandria, VA 22332, for individuals assigned to departmental duty.

Record access procedures:

Requests from individuals should be addressed to: Commander of the appropriate command to which the service member is assigned or HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332 for persons assigned to departmental duty.

Written requests for information should contain the full name of the service member, service identification member, Army grade (and branch of service for commissioned personnel) and current address. Visits may be made to the headquarters of the appropriate command of assignment or to United States Army Military Personnel Center, Hoffman Bldg II, 200 Stovall Street, Alexandria, VA 22332.

For personal visits, the requester should be able to provide acceptable identification including his/her military service identification card or other commonly acceptable means of identification used in the normal transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Extracts from basic personnel records; letters originating from service member; forms, documents, and related papers originated by army Staff offices, command offices, or service member.

Systems exempted from certain provisions of the act:

None

A0703.02aDAPE

System name:

703.02 United States (US) Military Academy Entrance Examination Result Files

System location:

Office of the Director of Admissions and Registrar, US Military Academy, (USMA) MAAR-R, West Point, NY 10996.

Archives, USMA.

Categories of individuals covered by the system:

Listings of examination results on all candidates who were admitted as cadets or were unsuccessful in gaining admission to the USMA from 1901 to the present.

Categories of records in the system:

Entrance exam results; source of nomination; final status as candidate.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 4331, 4332, 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Research as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Bound hardcover book.

Retrievability:

Alphabetical, by source of nomination, Prep School candidates, athletic interest, and minority candidates.

Safeguards:

Stored in locked room during non-duty hours. Records are accessible only to authorized personnel.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director of Admissions and Registrar, USMA, for classes currently enrolled at USMA and the most recent graduating class.

Archives, USMA for other classes.

Notification procedure:

Information can be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER or Archives, USMA.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Transcripts from secondary and post secondary schools; faculty evaluations; employer evaluations; military supervisor evaluation; medical information from the Department of Defense Medical Review Board; interviews from Admissions Participants; American College Testing Program; Educational Testing Service; Director of Intercollegiate Athletics; Members of Congress.

Systems exempted from certain provisions of the act:

None

A0703.04aDAPC

System name:

703.04 ROTC Member File

System location:

Primary System: United States Army Military Personnel Center (MILPERCEN).

Decentralized Segments: Office of the Secretary of the Army (OSA), Department of the Army (DA) Staff agencies, Army commands, Reserve Officers Training Corps (ROTC) elements of civilian educational institutions.

Categories of individuals covered by the system:

Applicants for and enrolled members of the ROTC conducted under direction, operation, and supervision of the DA.

Categories of records in the system:

Files contain individual application for membership; enrollment record; record of enlistment; record of military status; security questionnaire; deferment agreement; personal history statement; acknowledgment of understanding and service requirement; graduate branch of service selection; medical examination; photograph; cadet record of evaluation of training; academic achievement; corps award; financial record relating to pay, travel, and entitlements; alien registration and related Justice Department records when applicable; Department of Labor records pertaining to entitlements by FECA (Title 5 U.S.C., Section 8140); Federal Aviation Agency (FAA) student pilot certification and related flight record requirements; and correspondence between (1) MILPERCEN, (2) applicant or enrolled member, (3) Army Staff offices and Army commands, (4) other Federal government agencies, and (5) ROTC accredited civilian institutions.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Sections 2101-2111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

MILPERCEN: To provide policies and procedures for administering the ROTC including application, enrollment, enlistment, training programs, cadet administration, and disenrollment and commissioning.

OSA: For formulation of plans, policies, directives, and instructions relating to statutory requirements for ROTC.

DA Staff Agencies: To implement requirements within their respective sphere of staff activity.

Army Commands: To exercise command authority and jurisdictional control of established, organized, and constituted elements containing enrolled and enlisted members of ROTC.

Department of Labor: To accomplish actions when required under provisions of FECA.

FAA: To control and accomplish flight certification in applicable cases.

National Selective Service System: To accomplish requirements relative to registration and deferment.

Department of Defense Agencies: To coordinate, review, and control student administrative actions relative to interdepartmental relationships.

Civilian Educational Institutions: To administer academic training and related institutional requirements relating to students.

Veterans Administration: For member Group Life Insurance election, coverage, and administration.

DA Staff Agencies and Army Commands: To coordinate, exchange, and administer applicant and enrollee requirements and actions necessary for mission accomplishment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder; selected data automated for management facility in a perishable manner on tapes, disks, and cards.

Retrievability:

Record accessed by name, social security number, automatic data processing (ADP) parameter of characteristics of qualification or identity.

Safeguards:

Records maintained in areas accessible only to authorized personnel who are trained and cleared for duties relating to personnel administration. Each on-line terminal employs user identification and password edits to protect the system from unauthorized access and to restrict each user to specific files and data elements. User identifications and passwords are changed at random times; control data is maintained by the system manager in a sealed envelope in an approved safe.

Retention and disposal:

Records range from permanent to 1 year retainability depending on the continuing value to the individual or the department. Permanent records are retired to the National Personnel Records Center through appropriate records holding activities in accordance with schedules established by departmental instructions.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may obtained from: Professor of Military Science of the civilian educational institution in which the individual is an enrolled ROTC member.

Record access procedures:

Requests from individuals should be addressed to: Professor of Military Science of the civilian educational institution in which the individual is an enrolled ROTC member.

Written requests for information should contain the full name of the requester, current address and telephone number, and definitive identification of the information desired.

For personal visits, the individual should be able to provide commonly used identification, such as driver's license or personal identification card used in the normal transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the Sysmanager.

Record source categories:

Application and related forms, records, and correspondence from the applicant or enrollee; personal clearance, financial transactions and entitlement status, medical examination and treatment facilities, and related records generated and accumulated from individual membership in the program by the appropriate civilian institution, Army staff agencies, Army commands, and Federal executive department agencies responsible for the action concerned.

Systems exempted from certain provisions of the act:

None

A0703.05aDAPC

System name:

703.05 ROTC Cadet Application Files

System location:

Primary system: United States Army Military Personnel Center (MILPERCEN), Procurement and Accessions Branch, DAPC-OPD, 200 Stovall Street, Alexandria, VA 22332.

Decentralized segment: Reserve Officers Training Corps (ROTC) regions and organizations processing application.

Categories of individuals covered by the system:

ROTC cadets

Categories of records in the system:

The categories of information stored include: name, social security number (SSN), sex, race, citizenship, marital status, dependents, date of birth, residence, physical profile, ethnic group, skill, education and training, language, and mailing address.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army (DA): Records are used for personnel management, strength accounting, and manpower management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper file folders.

Retrievability:

Access is by name.

Safeguards:

Physical security devices, guards, and locked doors.

Retention and disposal:

Records are retained for up to 1 year or until oath of office is executed, whichever is sooner.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (DAPC-OPD), Procurement and Accessions Branch, 200 Stovall Street, Alexandria, VA 22332.

ROTC regions and DA organizations.

Record access procedures:

Written requests for information should include the individual's full name, service identification number, and current address.

For personal visits, the requester should provide acceptable identification, i.e., military identification card or other identi- fication normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from papers and documents made available by ROTC Regions and the United States Army Reserve Components Personnel and Administration Center.

Systems exempted from certain provisions of the act:

None

A0703.06bDAPC

System name:

703.06 Officer Candidate School (OCS) Application File

System location:

Primary system: United States Army Military Personnel Center (USAMILPERCEN), Procurement and Accession Branch, DAPC-OPD.

Each Army installation and other organizational element maintaining a segment of this system.

Categories of individuals covered by the system:

Warrant officers and enlisted personnel on active duty in the US Army.

Categories of records in the system:

The categories of information stored include; name, social security number (SSN), sex, race, citizenship, marital status, dependents, date of birth, residence, ethnic group, grade, enlistment or appointment and service agreement, service data and dates, promotion, assignment, qualifications, skill, edu- cation and training, specialty, aptitude, occupation, language, awards and badges, mailing address, separation or retirement.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army: Records are used to prepare replies to written and telephonic inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper file folders.

Retrievability:

Access is by name.

Safeguards:

Physical security devices, guards, and locked doors.

Retention and disposal:

Records are retained for up to 90 days or until completion of action.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army (HQDA), (DAPC-OPP-A, 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should include the full name, service identification number, and current address.

For personal visits, the requester should provide acceptable identification, i.e. military identification card or other identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from USAMILPERCEN (DAPC-OPP-A) 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from enlisted Military Personnel Records Jacket, Career Management File, Official Military Personnel file, and related personnel documents located in organizations, installations and HQDA.

Systems exempted from certain provisions of the act:

None

A0703.07aDAPE

System name:

703.07 Officer Availability and Civil School Mgt System

System location:

Adjutant General Data Processing Branch, Adjutant General Division, United States (US) Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Any Army officer previously assigned, presently assigned, scheduled for assignment, or declared permanently not available for assignment to the USMA. Additionally, any officer declared temporarily not available, or available for a specific academic year. When a new academic year is begun, these records are removed from the file.

Categories of records in the system:

V 44 DE 17 79 UMI

File contains name, rank, social security number (SSN), branch, status of officer, individual's desires regarding assignment, departments/activities interested in the officer, department/activity to which officer will be assigned, if applicable; school attending or attended for masters or PhD training, and Army Educational Requirements Board number used for schooling and utilization.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMA: Provide information to interested departments/ activities on officer's desires and availability. Used as a means to verify status of officer. Used to prepare requisitioning documents for use at the USMA and Headquarters, Department of the Army (HQDA). Used to prepare reports to HQDA on utilization of officers.

HQDA: uses information provided on the requisitioning document (name, rank, branch and SSN) to verify availability and begin preparation of orders for direct assignment or civil schooling. Uses information on utilization reports (name, rank, branch, SSN, Army Educational Requirements Board number assigned against) to verify that officer is being utilized properly (proper discipline).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Disk.

Retrievability:

Filed by SSN.

Safeguards:

Computer disk is maintained in vault when not being used. Disk is maintained in area accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

All records of individuals declared temporarily not available or available and not assigned are destroyed annually. Records of individuals assigned to the USMA are destroyed on official confirmation of the assignment.

System manager(s) and address:

Chief, Military Personnel Branch, Adjutant General Division, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from:
Superintendent
USMA
ATTN: MAAG-P
West Point, NY 10996

Record access procedures:

Requests from individuals should be addressed to: Superintendent, USMA, ATTN: MAAG-P, West Point, NY 10996.

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification, i.e., a valid identification card, or driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Systems exempted from certain provisions of the act:

None

A0703.08a DAPE

System name:

703.08 Officer Personnel Information Files

System location:

Office of the Director of Admissions and Registrar, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Graduates of the USMA and other officers who are being considered for assignment to Office of the Director of Admissions and Registrar, USMA; officers who are presently serving or have served in the Office of the Director of Admissions and Registrar, USMA.

Categories of records in the system:

Correspondence between officers and Director of Admissions and Registrar; availability status received from the United States Army Military Personnel Center (USAMILPERCEN); personal data available from other sources. Individual files may contain some or all of the above.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Planning files for assigning officers to the Office of the Director of Admissions and Registrar, USMA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in the form of cards, file folders, or other similar material.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are maintained in an area accessible to authorized personnel only.

Retention and disposal:

Records are retained until, in the opinion of the Director, they are no longer necessary. Disposal is by destruction.

System manager(s) and address:

Director of Admissions and Registrar, USMA, West Point, NY 10996.

Notification procedure:

Write or call the SYSMANAGER.

Record access procedures:

Write or call the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications of individual officers; recommendations of individual officers submitted by others; information provided by the USAMILPERCEN in response to requests for availability data; correspondence between individuals and the office; personal data available from other agency publications.

Systems exempted from certain provisions of the act:

None

A0703.09aDAPE

System name:

703.09 Evaluation Files on Cadets and Potential Instructors

System location:

Decentralized Segments: Office of the Dean of the Academic Board and Departments of Chemistry; Earth, Space and Graphic Sciences; Electrical Engineering; English; Foreign Languages; History; Law; Mathematics; Mechanics; Physics; and Social Sciences; S1, United States (US) Corps of Cadets and Headquarters, 1st, 2nd, 3rd, and 4th Regiments, US Corps of Cadets; and Offices of Military Instruction, Military Leadership, and Physical Education; United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Cadets who are receiving or have received instruction from departments; graduates of the USMA; and other officers who are being considered for assignment to the Staff and Faculty, USMA; officers who are presently serving or have served on the Staff and Faculty, USMA.

Categories of records in the system:

Evaluation material on cadets and graduates; letters of application and recommendation; academic performance documents; correspondence between officers and departments; availability status received from Department of the Army; personal data available from other sources. Individual files may contain some or all of the above.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are utilized by the Heads of Departments in evaluating cadets and in evaluating the relative suitability of potential instructors for graduate schooling and subsequent assignment to the Staff and Faculty, USMA, or for direct assignment to the Staff and Faculty, USMA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in the form of cards, file folders, or other similar material.

Retrievability:

Filed alphabetically by last name within year-group or USMA class.

Safeguards:

Records are maintained in an area accessible to authorized personnel only.

Retention and disposal:

Records are retained until, in the opinion of the Department Head, they are no longer necessary. Disposal is by destruction.

System manager(s) and address:

Dean of the Academic Board, USMA, West Point, NY 10996.
Professor and Head, Departments of Chemistry; Earth, Space and Graphic Sciences; Electrical Engineering; English; Foreign Languages; History; Law; Mathematics; Mechanics; Physics; and Social Sciences; USMA, West Point, NY 10996.
Commandant of Cadets, ATTN: MACC-B, USMA, West Point, NY 10996.
Commanders, 1st, 2nd, 3rd and 4th Regiments, United States Corps of Cadets, USMA, West Point, NY 10996.
Director, Offices of Military Instruction, Military Leadership, and Physical Education.

Notification procedure:

Write or call the specific SYSMANAGER.

Record access procedures:

Write or call the specific SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications of individual officers; recommendations of individual officers submitted by others; college transcripts; potential instructor ratings submitted on cadets by departmental instructors; information provided by the US Army Military Personnel Center in response to requests for availability data; correspondence between individuals and departments; personal data available from other agency publications.

Systems exempted from certain provisions of the act:

None

A0704.03aDAPE

System name:

704.03 Accelerated Promotion/Early Discharge Report

System location:

Primary System: Headquarters, United States Army Recruiting Command (USAREC), Ft Sheridan, IL 60037;
decentralized segments: regional, district, and area recruiting command headquarters, and recruiting stations. Official mailing addresses of the decentralized segment are in the Appendix.

Categories of individuals covered by the system:

Individuals discharged from the Army during initial 179 days of service, and individuals who received an accelerated promotion to private E2 after basic combat training. In both cases, the name of the recruiter who recruited the soldier is provided.

Categories of records in the system:

Report contains name of soldier discharged or promoted along with the date of enlistment, date of promotion or discharge, code of the Armed Forces Examining and Entrance Station that processed the enlistee, waiver code (if applicable), separation program designator (discharged soldier only), and the name and identification number of the recruiter who recruited the soldier.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify recruiting organization, recruiters, and geographic areas with high discharge or promotion rates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printout in a metal cabinet.

Retrievability:

By geographical area and district recruiting command identifying the recruiter of the soldier.

Safeguards:

Records are maintained in cabinets; accessibility is limited to authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Report files remain active for 1 year, inactive for 1 year, and are destroyed at the beginning of the 3rd year.

System manager(s) and address:

Commander, USAREC, Ft Sheridan, IL 60037.

Notification procedure:

Information may be obtained from:
Director, Market Studies and Analysis, USAREC
Ft Sheridan, IL 60037
Telephone: Area Code 312/926-2570.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, USAREC, ATTN: USARCMSA, Ft Sheridan, IL 60037.

Written requests for information should contain the full name of the individual, social security number, current address, and telephone number.

For personal visits, the individual should be able to provide acceptable identification; i.e., driver's license, identification card.

Contesting record procedures:

The Army's rules for access to records and contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Enlisted Master File

Systems exempted from certain provisions of the act:

None

A0704.04DASG

System name:

704.04 Medical and Dental Registrant Case Files

System location:

Army Medical Support Agency, Office of the Surgeon General, Washington, DC.

Categories of individuals covered by the system:

Those physicians who registered under the Selective Service Act. Preinduction files and brief record pertaining to professional qualifications.

Categories of records in the system:

File contains individual's registration for the draft, including information on his professional education and training, preinduction physical information and in cases of non-citizens, information necessary to initiate National Agency Check.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Not currently used. Records are being held, pending possible reinstatement of physician draft.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders in boxes.

Retrievability:

Filed alphabetically by name of applicant, Army Area, and age of applicant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are retained until registrant reaches maximum draft age plus 1 year then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310

Notification procedure:

Information may be obtained from:
Commander, Army Medical Personnel Support Agency
Officer Procurement Division
Room 7B054
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-6160

Record access procedures:

Requests from individuals should be addressed to: Commander, Army Medical Support Agency, Officer Procurement Division, Room 7B054, Forrestal Building, Washington, DC 20314.

Written requests for information should contain full name of individual, current address and telephone number, address at time of registration for draft and date of birth. Visits are limited to Officer Procurement Division, Room 7B054, Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and verbal information that can be verified from folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Registrant, or his legal guardian or committee, if incompetent.

Systems exempted from certain provisions of the act:

None

A0704.06aUSAREC

System name:

704.06 Recruiting Prospect Card Files

System location:

Army recruiting stations reached through the following Recruiting Commands: Northeast Regional Recruiting Command, Ft Meade, MD.; Southeast Regional Recruiting Command, 1628 Virginia Avenue, College Park, GA.; Southwest Regional Recruiting Command, Ft Sam Houston, TX.; Midwest Regional Recruiting Command, Ft Sheridan, IL.; Western Regional Recruiting Command, Ft Baker, CA.

Categories of individuals covered by the system:

Persons of both sexes, between the ages of 17 and 35, who may reasonably be assumed to be prospects for enlistment in the Army; those persons who have recently been enlisted into the Army through a recruiting station; and those persons who have recently been determined to be ineligible for enlistment.

Categories of records in the system:

System contains name, address, social security number (SSN), telephone number and information required to determine prospect's qualifications for enlistment and desires concerning enlistment options; items of information required to process enlistment forms, to conduct testing and physical examination and/or to enlist or reject the prospect for Army service.

Authority for maintenance of the system:

Sections 503, 505, 510 and 3012 of Title 10, US Code

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by field recruiters to record information necessary to locate prospects, to process for testing and physical examination and to enlist those who are qualified and desire to enlist.

Used by Army Guidance Counselors to transcribe information onto enlistment forms; is then returned to the recruiting station responsible for the prospect.

Used by field recruiters as market data information to determine recruiting trends.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards in metal file card container.

Retrievability:

Filed alphabetically by last name of prospect.

Safeguards:

Records are maintsined by individual recruiters and are considered privileged information.

Retention and disposal:

Active prospect cards are maintained until it is apparent that the prospect will not enlist, is not qualified to enlist or has enlisted in the Army or another armed service or Reserve component.

Recruiting prospect cards on persons who have enlisted in the Army are cut off at the end of each calendar year, held in the current files area for 2 years and then destroyed.

Recruiting prospect cards on persons who have been determined to be unqualified for Army service are cut off at the end of the calendar year, held in the current files area for 2 years and then destroyed.

System manager(s) and address:

Commanding General, United States Army Recruiting Command, Fort Sheridan, IL 60037.

Notification procedure:

Individuals who desire information as to whether the recruiting prospect card system contains information on them, should write to Commander, United States Army Recruiting Command, ATTN: USARCRFM-A, Fort Sheridan, IL 60037.

Requests should include the full name of the individual desiring the information, SSN, whether individual has prior service, current address and telephone number, and the location of the recruiting station where the information is believed to be stored.

Record access procedures:

Requests from individuals for access to information in these files should be addressed to: Commander, United States Army Recruiting Command, ATTN: USARCRFM-A, Fort Sheridan, IL 60037.

Request should include the full name of the individual desiring access to the information, SSN, current address and telephone number, and the location of the recruiting station where the information is believed to be stored.

Contesting record procedures:

Rules for contesting content of records and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

The majority of the items of information on the prospect card are solicited directly from the prospect, though some items may be verified with outside documents such as a driver's license, social security card, educational records, selective service card and/or birth certificate.

Testing information is received from testing personnel at the Armed Forces Examining and Entrance Station (AFEES) and/or the Armed Forces Vocational Testing Group (AFVTG).

Prior service verification is provided from information recorded on the prospect's DD Form 214, DA Form 1181, and/or from the US Army Personnel Records Center and Army Separation Activities.

Follow-up information (locator data) and other information provided to the Army by the prospect in response to Army advertising is forwarded to the recruiting station on USAREC Form 200 cards.

Systems exempted from certain provisions of the act:

None

A0704.06bTRADOC

System name:

704.06b Army Reserve Officers' Training Corps (ROTC) LEADS Referral Card System

System location:

Primary System - LCS Industries, 10 Pelham Parkway, Pelham Manor, NY 10803.

Decentralized Segments - Ayer Direct, 1345 Avenue of the Americas, New York, NY 10019; Office of the Deputy Chief of Staff for ROTC (ODCSROTC), Headquarters (HQ), United States Army Training and Doctrine Command (TRADOC), Ft Monroe, VA 23651; United States (US) Army ROTC Region (ROTCR) HQ, and ROTC Instructor Group Staffs.

Categories of individuals covered by the system:

Any US citizen who can reasonably be assumed to be a potential enrollee in the Senior ROTC (SROTC) program.

Categories of records in the system:

System contains individual names, addresses, telephone numbers, social security numbers, high school graduation dates, colleges planning to attend, and enrollment information following recruitment follow-up actions.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 103, Section 2101-2111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

LCS Industries - To establish and maintain a central computerized master file of prospective SROTC enrollees; to generate SROTC prospect LEADS cards and recruitment management information reports.

ROTC Instructor Group Staffs - To recruit individual SROTC prospects for possible enrollment and to maintain a future reference and follow-up suspense file of prospective enrollees.

HQ, TRADOC; HQ, ROTC; and Ayer Direct - To analyze SROTC advertising program effectiveness and recruitment activitites.

United States Army Recruiting Command (USAREC); United States Army Reserve (USAR); and Army National Guard (ARNG) - To recruit individual prospects for enlistment purposes when the individual has specifically requested transfer of his/her name from the SROTC prospect file to the USAREC, USAR, or ARNG.

Admissions/Registrars Offices - To provide prospective enrollees who have indicated a desire to attend a particular host or cross-enrolled institution with catalogs or other information concerning that school.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

LCS Industries stores information on magnetic tape and magnetic disk in a film library secured by a controlled access roster.

Ayer Direct stores computer print-outs in standard file containers.

HQ, TRADOC and ROTCR store computer print-outs in standard file containers.

ROTC Instructor Groupd Staffs store LEADS cards in file folders or in standard card index files.

Admissions/Resistrars Offices store individual referral data in standard file containers.

Retrievability:

LCS Industires - Filed alphabetically by last name of prospect and by ROTCR.

HQ, TRADOC, ROTCR, and Ayer Direct - Print-out reports are alphabetized by last name of prospect and by ROTCR. Reports are filed chronologically by month.

ROTC Instructor Group Staffs - LEADS cards are filed alphabetically by last name of prospect.

Admissions/Registrars Offices - Filed alphabetically by last name of prospect.

Safeguards:

LCS Industries - Building and offices are locked in the evening. Keys are controlled. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Ayer Direct - Building employs security guard. Employees carry passes. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

HQ, TRADOC and ROTCR - Buildings are located on military reservations. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

ROTC Instructor Group Staffs and Admissions/Registrars Offices - Buildings are located on college campuses guarded by college security officials. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

LCS Industries - Records are retained in active file until the end of the fiscal year in which the data is recieved, held in an inactive file until expiration of contract.

Ayer Direct - Records are retained in an active file for up to two years and then destroyed.

HQ, TRADOC and HQ, ROTCR - Records are retained in an active file for up to two years and then destroyed.

ROTC Instructor Group Staffs and Admissions/Registrars Offices - Records are retained for as long as it is deemed necessary for appropriate follow-up action and then destroyed.

System manager(s) and address:

The Deputy Chief of Staff for ROTC, Headquarters, United States Army Training and Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from:
HQ, TRADOC
ODCSROTC (ATRO-AM)
Ft Monroe, VA 23651
Telephone: Area Code 804/727-3077

Record access procedures:

Request from individuals should be addressed to: Headquarters, United States Army Training and Doctrine Command, Office of the Deputy Chief of Staff for ROTC (ATRO-AM), Ft Monroe, VA 23651.

Written requests for information should contain the full name of the individual, current address, and telephone number. Visits are limited to the Office of the Deputy Chief of Staff for ROTC, HQ, TRADOC (ATRO-AM), Ft Monroe, VA 23651.

For personal visits, the individual should be able to provide some acceptable identification; e.g., driver's license or employing office's identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Magazine, newspaper, and poster advertising coupons; mailback reply cards; letters; walk-ins; referrals from parents, relatives, counselors, teachers, coaches, friends, associates, college registrars, dormitory directors, national testing organizations, honor societies, Boys' Clubs, Boy Scout organizations, Future Farmers of America, minority and civil rights organizations, fraternal and chruch organizations, neighborhood youth centers, YMCA, YWCA, social clubs, athletic clubs, Boy's State/Boys' Nation, scholarship organizations, previous employers, trade organizations and other agencies and commands within the Department of Defense.

Systems exempted from certain provisions of the act:

None

A0704.09aUSAREC

System name:

704.09 Center of Influence Card Files (USAREC Form 125)

System location:

Army recruiting stations reached through the following Recruiting Commands: Northeast Regional Recruiting Command, Ft Meade, MD; Southeast Regional Recruiting Command, 1628 Virginia Avenue, College Park, GA; Southwest Regional Recruiting Command, Ft Sam Houston, TX; Midwest Regional Recruiting Command, Ft Sheridan, IL; Western Regional Recruiting Command, Ft Baker, CA.

Categories of individuals covered by the system:

United States Army Recruiting Command (USAREC) Form 125 Cards are initiated and maintained on persons who actively assist the recruiter by referring applicants for enlistment.

Cards are also maintained on persons who have been or should be cultivated for improvement of community relations. In this category are program directors for radio and TV stations, newspaper editors and important civic persons, such as the town/city mayors (when applicable).

Cards will also contain by name references to persons actually referred to the recruiters by the center of influence.

Categories of records in the system:

System contains name, title, address, phone number, and specific data about the person which has caused him to be selected as a center of influence for a specific recruiter, and the manner of assistance and effectiveness of the center of influence.

Additionally, the reverse side of the USAREC Form 125 is used to record the names of persons referred to the recruiter for enlistment by the center of influence. Other information about the person referred includes social security number, date enlisted, option selected, educational level and achievement scores resulting from the Armed Forces Qualification Test (AFQT).

Authority for maintenance of the system:

Title 10 U.S.C., Sections 503, 505, 510 and 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the recruiter to determine which persons are providing recruiting assistance, and to recognize and reward those persons who assist the recruiter.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards in metal file card container.

Retrievability:

Filed alphabetically by last name of center of influence.

Safeguards:

Records are maintained by individual recruiter and are considered privileged information.

Retention and disposal:

Center of influence cards are destroyed by the individual recruiter when they are no longer needed for reference and are not transferred to any other file.

System manager(s) and address:

Commander, USAREC, Ft Sheridan, IL 60037.

Notification procedure:

Individuals who desire information as to whether the center of influence card system contains information about them should write to Commander, USAREC, ATTN: USARCRFM-A, Ft Sheridan, IL 60037

Requests should include the full name of the individual desiring the information, current address and telephone number, and the location of the recruiting station where the information is believed to be stored.

Record access procedures:

Requests from individuals for access to information in these files should be addressed to: Commander, USAREC, ATTN: USARCRFM-A, Ft Sheridan, IL 60037.

Requests should include the full name of the person desiring access to the information, current address and telephone number, and the location of the recruiting station where the information is believed to be stored.

Contesting record procedures:

The Army's rules for contesting content of records and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Personal information is solicited directly from the center of influence.

Information about persons referred for enlistment is taken directly from the USAREC Form 200, Recruiting Prospect Card.

Systems exempted from certain provisions of the act:

None

A0704.09bDAPE

System name:

704.09 University of Hawaii Army ROTC Alumni

System location:

United States Army Senior Instructor Group, University of Hawaii, 1311 Lower Campus Road, Honolulu, HI 96822.

Categories of individuals covered by the system:

Alumni of the University of Hawaii Army Reserve Officers' Training Corps (ROTC) Program.

Categories of records in the system:

Record contains social security number; rank if military; full name; ROTC class year; year commissioned; service number; active duty dates; home address and telephone number; business address and telephone number; highest rank held on active duty; summary of active duty assignments; highest rank held in reserve or national guard; summary of reserve or guard assignments; resume' of civilian occupation; advanced degrees, honors, decorations; civilian government offices held; present occupation; individual assessment of value of ROTC training, willingness to help promote the local ROTC program; and suggestions to improve the public image of ROTC.

Authority for maintenance of the system:

Title 10 U.S.C. Chapter 103, Sections 2101-2111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected to aid the ROTC cadets at the University of Hawaii in recruitment, public relations and academic enrichment programs.

Specific uses include: preparation of mailing labels for alumni newsletters and other communications; solicitation of alumni guest speakers; preparation of statistical summaries which highlight the value of ROTC graduates (devoid of personal identifiers) in civilian and military endeavors; solicitation of alumni support for recruiting and public relations programs and alumni suggestions and comments.

Name and address data are keypunched and cards processed to produce mailing labels. Individual records may be transferred to any component of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder and punched cards.

Retrievability:

Filed by alumni name and year of commissioning.

Safeguards:

Records maintained in files and are accessible only to authorized personnel.

Retention and disposal:

Destroyed when obsolete or no longer needed.

System manager(s) and address:

Director, Military Science Program, ROTC Senior Instructor Group, University of Hawaii, 1311 Lower Campus Road, Honolulu, HI 96822.

Notification procedure:

Information may be obtained from any officer of the Instructor Group at the University of Hawaii.

Record access procedures:

Individuals may gain access to records concerning them by contacting any officer of Instructor Group, University of Hawaii.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

University of Hawaii commencement records; State of Hawaii telephone directories; questionnaires completed by individuals concerned; and cadet records of current graduates.

Systems exempted from certain provisions of the act:

None

A0704.10aUSAREC

System name:

704.10 Recruiter Malpractice Files

System location:

Security/Special Actions Division, Directorate of Recruiting Force Management, United States Army Recruiting Command (USAREC), USARCRFM-SS, Ft Sheridan, IL 60037

Categories of individuals covered by the system:

Individuals who have alleged recruiter malpractice or processing irregularities against members of the Recruiting Command.

Members of the Recruiting Command who have been investigated for alleged recruiter malpractice or processing irregularities.

Categories of records in the system:

Reports of investigation pertaining to allegations of recruiter malpractice/ processing irregularities. Reports of investigation contain full identifying data of all persons involved, findings of the investigation, and disciplinary action taken, if any.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949 (64 Stat. 578), as amended by Act of 22 Oct 1968); Title 44 U.S.C., Sections 3101-3103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reports used for trend analysis in order to formulate recommendations for modifications of recruiting policies and practices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Reports of investigations stored in file cabinets.

Retrievability:

Listed alphabetically by last name of person making allegation.

Safeguards:

File cabinets and building secured. Reports are maintained in an area accessible only to properly screened and trained personnel. Information released only to persons having a valid need-to-know.

Retention and disposal:

Report files remain active for 1 year, inactive for 1 year, and are destroyed at the beginning of the 3rd year. Files cover a 2 year period.

System manager(s) and address:

Director, Recruiting Force Management,USAREC.

Notification procedure:

Information may be obtained from:
Director, Recruiting Force Management, USARCRFM-SS
USAREC
Ft Sheridan, IL 60037
Telephone: Area Code 312/926-3147

Record access procedures:

Request for information should be addressed to: Headquarters, USAREC, ATTN: USARCRFM-SS, Ft Sheridan, IL 60037.

Written requests for information should contain full name, address, telephone number and military status of requester.

For personal visits, the requester must be able to provide acceptable identification, such as a driver's license or military identification.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

USAREC

US Army Criminal Investigation Command reports of investigation.

Systems exempted from certain provisions of the act:

None

A0704.10bMEPCOM

System name:

704.10 ASVAB Institutional Test Scoring and Reporting System

System location:

Primary System: Plans/Program/Test Scoring Division, Testing Directorate, United States Military Enlistment Processing Command (MEPCOM), FT. Sheridan, IL 60037.

Decentralized Segments: Armed Forces Examining and Entrance Stations (AFEES); participating school systems; state departments of education/testing agencies; Air Force Human Resources Laboratory, Brooks Air Force Base, TX 78236; Defense Manpower Data Center, Monterey, CA 93940; all service recruiters/recruiting commands.

Categories of individuals covered by the system:

High School, job corps, college, and other students who have been administered the institutional version of the Armed Services Vocational Aptitude Battery (ASVAB).

Categories of records in the system:

File contains individual's name, social security number (SSN), address, telephone number, date of birth, sex, ethnic group identification, grade, booklet number of ASVAB test, individual's plans after graduation, and individual item responses to each of the 12 ASVAB tests.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101; Title 10 U.S.C., Sections 133 and 3012.

Executive Order 9397, 'Numbering Systems for Federal Accounts Relating to Individual Personnel.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Plans/Program/Test Scoring: To compute and furnish test score products for career/vocational guidance and group assessment of aptitude test performance; for research use by selected government contractors.

Armed Forces Examining and Entrance Stations: To establish eligibility for enlistment and verify enlistment and placement scores and retest eligibility.

School Systems: For vocational/career counseling, curriculum planning, and group assessment.

Air Force Human Resources Laboratory: For future test development, test validation, and related statistical purposes.

Defense Manpower Data Center: For marketing evaluation, assessment of manpower trends, and characteristics.

Recruiters/Recruiting Commands: For recruitment, enlistment, and placement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Plans/Program/Test Scoring Division: Microfiche, optical mark sense cards, and computer magnetic tapes.

AFEES: Microfiche.

School Systems: Computer paper printout and magnetic tapes.

Air Force Human Resources Laboratory: Magnetic tapes.

Defense Manpower Data Center: Magnetic tapes.

Recruiter/Recruiting Commands: Computer paper printout and cards.

Retrievability:

Data are first accessed by date tested, then by high school name, and then alphabetically by student name.

Safeguards:

Records are maintained in areas (locked rooms or filing cabinets) accessible only to authorized personnel who are properly screened, cleared, and trained in accordance with governing regulations. Magnetic tapes are protected by user identification and manual controls.

Retention and disposal:

Plans/Program/Test Scoring Division: Primary records (mark sense data cards) are retained 4 months after which they are destroyed. Magnetic tapes are retained for 1 year; microfiche retained for 2 years. Research data retained by contractors for more than 2 years require segregation of personal identifying information and test score data, with analyses performed using only summary statistics.

AFEES: Records retained for 2 years after which they are destroyed.

School Systems: Records released to students; counselors retain scores with student master records.

Air Force Human Resources Laboratory: Records are retained indefinitely or as long as the system is operational. Files maintained after 2 years are purged to delete each student's personal identifying information.

Defense Manpower Data Center: Data maintained for 2 years, at which time personal identifying information is erased from this system.

Recruiter/Recruiting Commands: Records are maintained for 2 years from date ASVAB are administered, then destroyed.

System manager(s) and address:

Commander, United States Military Enlistment Processing Command, Ft. Sheridan, IL 60037.

Notification procedure:

Information may be obtained from:
Commander
United States Military Enlistment Processing Command
Testing Directorate
Ft. Sheridan, IL 60037 Telephone: Area Code 312/926-2366

Record access procedures:

Requests from individuals should be addressed to Commander, United States Military Enlistment Processing Command, Testing Directorate, Ft. Sheridan, IL 60037.

Written requests for information should contain the correct name and full address of the high school, date tested, full name of individual tested, SSN, and address at the time of testing.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Students who are tested with ASVAB.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a(k)(6). For additional information contact the SYSMANAGER.

A0704.11aUSAREC

System name:

704.11 Recruiter Identification Report

System location:

Military Personnel Division, Directorate of Recruiting Force Management, US Army Recruiting Command (USAREC), USARCRFM-MP-D, Ft Sheridan, IL 60037.

Directorate of Management Information Systems/ADP, USAREC, Ft Sheridan, IL 60037.

Categories of individuals covered by the system:

Individuals assigned to recruiting duty.

Categories of records in the system:

System contains name, social security number (SSN), initial unit of assignment, reporting date to initial assignment, and recruiter identification number.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949 (64 Stat. 578), as amended by Act of 22 Oct 1968 (82 Stat. 1238); Title 44 U.S.C., Sections 3101-3103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assign recruiting objectives and evaluate recruiter production.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printout in file cabinet.

Retrievability:

Listed alphabetically by last name, and numerically by four digit recruiter identification number.

Safeguards:

Building secure. Records are maintained in area accessible only to properly screened and trained personnel.

Retention and disposal:

Listing updated monthly with previous listings being destroyed. Information contained in report covers a 6 year period.

System manager(s) and address:

Commander, USAREC.

Notification procedure:

Information may be obtained from:
Director, Recruiting Force Management, USAREC
Ft Sheridan, IL 60037
Telephone: 312/926-2442

Request for information should contain full name, SSN, and military status.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, ATTN: USARCRFM-MP-D, Ft Sheridan, IL 60037.

Written request for information should contain the full name of the individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification; i.e., driver's license, identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Recruiter Identification Control Log.

Systems exempted from certain provisions of the act:

None

A0706.02DAAG

System name:

706.02 Departure Clearance Files

System location:

Headquarters of Installations or Commands. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

All military personnel and Department of the Army (DA) civilian personnel assigned to installations and commands who are authorized to use Army facilities or who have accountable responsibility for government property, facilities, or material.

Categories of records in the system:

File contains a copy of DA Form 137 (Installation Clearance Record) and may contain copies of receipts or documents evidencing payment of telephone bills, return of material held on memorandum receipt, and similar clearance matters.

Authority for maintenance of the system:

Title 10 U.S.C. Section 3012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To verify that an individual has obtained clearance from the installation's facilities, and to verify that the individual has accomplished his/her personal oblications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by last name of departing individual, or by departure date.

Safeguards:

Maintained in file cabinets or open storage areas.

Retention and disposal:

These records are destroyed after 1 year.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained fromm headquarters of the installation to which the individual was previously assigned.

For personal visits, the requester must provide proof of identity such as an identification card or driver's license.

Record access procedures:

Requests from individuals should be addressed to the commander at the members previous command or installation of assignment.

Written requests for information should contain the full name of the individual, grade, social security number, and date of departure from unit of assignment.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations obtained from HQDA (DAAG-AMP), Washington, DC 20314.

Record source categories:

These records are derived only from those activities or facilities operating on military installations.

Systems exempted from certain provisions of the act:

None

A0706.06aUSAREC

System name:

706.06 Armed Forces Examining and Entrance Station (AFEES) Reporting System

System location:

Primary system: Management Information Systems Automatic Data Processing (ADP) Directorates, US Army Recruiting Command, USAREC),

Decentralized Segments: Input terminals at AFEES.

Categories of individuals covered by the system:

All persons, male or female, who report to an AFEES or mobile examining team site to be mentally tested and/or physically examined to determine their fitness for entry into any of the Armed Services regardless of whether or not persons enlist, and all persons who enlist in any of the armed services.

Categories of records in the system:

Records may include enlistment contract records established when a person enlists in one of the armed services, records containing results of mental tests administered to service applicants, results of physical examinations administered to service applicants, or results of abbreviated physical examinations administered to service applicants.

Authority for maintenance of the system:

Federal Property and Administrative Service Act of 1949 (64 Statute 578) as amended by Act of 22 October 1968 (82 Statute 1238); Title 44 U.S.C., Sections 3101-3103.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAREC: Enlistment contract records are collected for dissemination to Department of the Army and other armed services for master personnel files, notifying reception stations and assignment units or stations of pending arrival of enlistees, and for statistical analysis functions. Mental test record, physical examination records and physical inspection records are used in statistical analysis functions.

Army Surgeon General's Office: For statistical analysis functions relating to physical patterns and trends of the military available population.

Department of Defense Manpower Research and Data Analysis Center: Statistical analysis functions using data for applicants from all armed services.

Other Armed Services: For input to master personnel files for persons going on active duty with the respective services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Magnetic Tape.

Retrievability:

Individual records are accessed and retrieved by social security number (SSN). Sequential access tape files are maintained on a monthly basis, with a separate file for each calendar month.

Safeguards:

Tape files are retained in a vault when not being processed on the computer. A tape librarian keeps a record of files removed from vault. Vault is within computer room, to which entrance is restricted by a cypher lock. A visitors register is used. Building housing the computer center is locked during off-duty hours.

Retention and disposal:

Records are maintained in the active file until the end of the calendar month, after which they are retained in vault storage for a maximum of 7 years. Records are destroyed by erasing and re- using the magnetic tapes.

System manager(s) and address:

Commander, USAREC, Ft Sheridan, IL 60037.

Notification procedure:

Information may be obtained from:
Commander
USAREC
Ft Sheridan, IL 60037
Telephone: 312/926-3115

Request must include full name, SSN and year/month of processing at an AFEES.

Record access procedures:

Assistance can be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information collected at the AFEES while the service applicant is being porcessed to determine medical and mental qualification for entry into the service.

Systems exempted from certain provisions of the act:

None

A0707.05DAAG

System name:

707.05 Privilege Card Application Files

System location:

Major commands; installation headquarters; United States (US) Army Finance and Accounting Center (USAFAC); Administrative Management Directorate, The Adjutant General Center (Field Policy and Operations Division). Official mailing addresses are in the Department of Defense (DOD) directory in the Appendix.

Categories of individuals covered by the system:

Dependents of active duty or retired personnel and deceased military personnel; disabled veterans; Medal of Honor recipients; foreign military personnel; civilian employees of the Department of the Army assigned overseas or residing on a military installation within the US; civilian employees under private or Government contract with the US Army and their dependents; civilians of foreign nations on duty in the US at invitation of DOD.

Categories of records in the system:

File contains individual's application for issuance of an identification card.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control and maintain a record of identification cards issued.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Applications are placed in file folders.

Retrievability:

Filed alphabetically by last name of applicant and social security number.

Safeguards:

Buildings employ security guards. Records are maintained in an area accessible only to authorized personnel.

Retention and disposal:

Applications are temporary documents. Applications are maintained until either the identification card expires, is replaced or is no longer required.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-AMP)
Room GA 172
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-0713

Record access procedures:

Requests from individuals should be addressed to: Major commands; installation headquarters that issued the identification card; the USAFAC when the application was submitted to that agency for determination of dependency.

Written requests for information should contain the full name of the military or civilian sponsor and number from the identification card, if known. Visits may be made to the same agencies to which written requests are submitted.

For personal visits, the individual should be able to provide acceptable identification, i.e., driver's license, employing office's or military identification card, including verbal information that can be verified with his application.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Sponsor's personnel records when member is on active duty; US Army Reserve Components Personnel and Administration Center when member is deceased or retired.

Systems exempted from certain provisions of the act:

None

A0708.01aDAPC

System name:

708.01 Military Personnel Records Jacket Files (MPRJ)

System location:

United States Army Reserve Components Personnel and Administration Center (RCPAC), each Army command/organization/detachment, and each Army Reserve command/organization/detachment.

Categories of individuals covered by the system:

Enlisted, warrant officers, and commissioned officers on active duty in the United States (US) Army; enlisted, warrant officers, commissioned officers of the US Army Reserve in active reserve (non-unit or unit) status; all living retired persons; commissioned/warrant officers separated after 30 June 1917 and enlisted personnel separated after 31 October 1912.

Categories of records in the system:

Files contain qualification record; emergency data record; enlistment record and related service agreement/extension/active duty orders; military occupational specialty (MOS) evaluation data report; Group Life Insurance Election; record of induction; security questionnaire; transfer/discharge report; license application; language proficiency questionnaire; police record check; current declaration of parent/guardian; statement of personal history; identification card application; Veterans Administration (VA) compensation forms and related papers; security clearance; certificate/determination; airborne jump record; dependent medical care statement and related forms; training and experience records; Department of Defense (DOD) summary sheet for review of conscientious objector; oath of extension of enlistment; survivor benefit plan election certificate; efficiency report; application/ nomination for assignment; achievement certificates; summarized record of proceeding, record of proceeding and appellate or other supplementary actions, Article 15 (Title 10 U.S.C., Section 815); weight control record; personnel screening and evaluation record; individual statement relating to removal from temporary disability retired list; change of name statements; enlistment statement application/approval/disapproval/ classification/removal for discharge/identification as conscientious objector; requests for appointment; affidavits relating retention beyond expiration of term of service; prior service enlistment documents; certificate barring reenlistment; waivers for enlistment; physical evaluation board letters/election/summaries/status of conditions; authority to change name/birthdate; statement of military service; record brief (SIDPERS); letters of failure to complete Army school; certificate of completion of Army school; MOS classification board proceedings; award of MOS; waiver of right to deferment; agreement for noncombatant duty; citation of award; correspondence relating to badges, medals, and unit awards; correspondence/ authorizations/orders regarding foreign decorations; correspondence regarding Medal of Honor and certification to VA; letters of appreciation/commendation; recommendations/approvals/declinations/ board proceedings/announcement relating to promotion/reduction; correspondence/letters/administrative reprimands/censures/admonitions relating to apprehensions/confinement/discipline; letters of sympathy relating to a deceased member; dependent travel and movement of household goods and acknowledgement of restriction; document and orders relating to National Guard status; adverse suitability information; personal indebtedness correspondence and related papers; statement of involun-

tary retirement; orders/revocations/amendments/indorsements/ extracts relating to active duty/awards/change data/court martial/ discharge/enlistment-reenlistment/MOS award/proficiency pay/promotion/ reduction/release/retirement/temporary duty; individual flight records/ physical examination records/aviator flight record/instrument certification papers/application for identification cards/other training/ proficiency/evaluation forms, records, and papers; other correspondence/ letters/documents/papers relating to duty status/leave/pass/organizational entitlements. Correspondence among the (l) United States Army Military Personnel Center (MILPERCEN), (2) service member, (3) Army Staff offices, (4) Army commands, (5) other Federal agencies, (6) general public to commander or service member.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Army command or US Army Reserve command of assignment/ station/ location of the Army or Army Reserve service member: To provide day-to-day administration, training, qualification, reenlistment, discharge, and related matters pertaining to individual's military service; to publish officer registers/rosters as authorized by Title 10 U.S.C., Section 122.

Inquiries are received for information, documents, papers, and records which are provided to the requester to enable the agency to adjudicate claims, perform investigative actions, support criminal cases, state determinations, research, security clearance, citizenship, location and other related uses consistent with the functional and statutory responsibility of the agency.

Agencies using files are: Central Intelligence Agency; Department of Agriculture; Department of Commerce; Department of Health, Education, and Welfare; Department of Housing and Urban Development; Department of Interior; Department of Labor; Department of State; Department of Transportation; Department of Treasury; American Battle Monuments Commission; Atomic Energy Commission; Civil Aeronautics Board; Federal Communications Commission; Federal Aviation Administration; VA; US Postal Service; Office of Personnel Management; Selective Service System; DOD agencies, elements and military departments; Social Security Administration; Defense agencies of the North Atlantic Treaty Organization, and military commands thereof (i.e., Supreme Headquarters Allied Powers Europe (SHAPE) and its subordinate commands of Allied Forces, Northern (AFNORTH), Central (AFCENT), Central Army Group (CENTAG), Southern (AFSOUTH), and Allied Land Forces Southeast Europe (LANDSOUTHEAST); State, County and City Welfare Organization - when information is required to conduct business of the agency concerned; Penal Institutions: when the individual is a patient or an inmate; and State, County and City Probation/Parole and Pardon Officers - for use in pre-sentencing or parole investigations; Correspondence with next-of-kin in accordance with Army Regulation 630-10; other elements of the federal government in accordance with their respective authority and responsibility.

Patriotic societies incorporated under the provisions of Title 36 U.S.C. in consonance with their respective corporate mission when their use of records or information is in furtherance of the welfare, morale, or mission of the service members of the Army.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in record jacket folder.

Retrievability:

Records accessed by name.

Safeguards:

Records maintained in areas accessible only to authorized personnel; transferred from station to station in personal possession of individual concerned or by US mail.

Retention and disposal:

Permanent

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from the commander of the organization to which the service member concerned is assigned; for retired and non-unit reserve personnel, information may be obtained from the Reserve Components Personnel and Administration Center, United States Army, 9700 Page Blvd, St Louis, MO 63132; for separated and deceased personnel notify the National Personnel Records Center, General Services Administration, 9700 Page Blvd, St Louis, MO 63132.

Record access procedures:

Written requests for information should include the full name, service identification number, branch of service of an officer, and current address. Visits should be made to the Consolidated Military Personnel Activity (COMPACT) or the Military Personnel Office (MILPO) of the organization/station of the service member concerned or the RCPAC.

For personal visits, the requester should provide acceptable identification, i.e., military identification card or other identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters, Department of the Army (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Letters, statements, forms, records and related papers originating with the service member; generated by Army Staff offices, Army commands, other Federal agencies in accordance with their respective functional or statutory requirements; and by the general public or the commander of service member when such papers relate to the service status of the individual.

Systems exempted from certain provisions of the act:

None

A0708.01bNGB

System name:

708.01 Army National Guard Automated Personnel Reporting System

System location:

Primary System: National Guard Computer Center, National Guard Bureau, Columbia Building, 5611 Columbia Pike, Falls Church, VA 22041.

Decentralized Segments: Offices of the Adjutants General of all States, Puerto Rico, the Virgin Islands, and the District of Columbia and units of the Army National Guard (ANG) not on active duty.

Categories of individuals covered by the system:

Each individual who is a member of the ANG in a commissioned officer, warrant officer or enlisted status.

Categories of records in the system:

File contains items of data relating to individual's service which have been extracted from his/her military records or computed from the information contained therein. The records from which the data are extracted are: military personnel records jacket; financial records data folder; health records; statement of service; qualification record; group life insurance election; application for appointment; enlistment records; medical examination; active duty report; record of retirement points; notification of eligibility for retired pay at age 60; voluntary reduction; academic report; officer evaluation report; transcript of military record; oath of enlistment extension; temporary disability record; change of name; statement for enlistment; acknowledgement of service requirements; report of proceedings of physical fitness board; report of proceedings of physical review board; birth certificate; citizenship statement and status; record of security clearance; educational constructive credit; educational transcript; flight record; federal recognition orders; special orders; recommendation for promotion; notification of non-selection for promotion; miscellaneous correspondence documents and other military orders relating to military service including information pertaining to dependents, interservice actions, intraservice actions, assignments, attachments, details, military qualifications, determinations, reliefs, component, branch of service, military awards, pay entitlements, releases, transfers, and other military service data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275; Title 32 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Defense and Department of the Army (DA) (to include United States Army Forces Command (FORSCOM) and United States Army Reserve Components Personnel and Administration Center (RCPAC): To provide feeder information necessary to enable computation of the monthly pay for each member of the ANG who is paid by the Joint Military Pay System for Reserve Components of the Army; to provide suspense information to assure completion of individual personnel actions required by Federal statute at the expiration of specified periods of time. These actions are: removal from an active status upon completion of maximum periods of service or attainment of maximum ages; to provide lists of female personnel to facilitate selection of individuals for specialized assignments in connection with ANG activities; to provide lists of military chaplains and chaplains' assistants to facilitate the selection of individuals for specialized duties or training.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he/she ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic computer tape.

Retrievability:

By name, social security number or automatic data processing parameter.

Safeguards:

Access to data storage area and distribution of printouts are controlled. Approval of functional manager must be obtained before data may be retrieved or distributed.

Retention and disposal:

Data retained in file until updated or service of individual is terminated. In case of enlisted personnel the data are destroyed 1 month after individual is separated from the ANG. In the case of Commissioned officers and warrant officers, the data are retained indefinitely in separate file.

System manager(s) and address:

Chief, National Guard Bureau, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Chief, Army Personnel Division, NGB, The Pentagon, Washington DC 20310.

Record access procedures:

Written requests for information should contain full name of individual, service identification number, current military status and appropriate return address.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Sysmanager.

Record source categories:

Enlistment, appointment, or commission related forms pertaining to the individual having a current or former military status; academic, training or qualification records acquired prior to or during military service; correspondence, forms, records, documents and other related papers originating in or collected by Department of the Army Staff agencies and commands; other federal departmental agencies, administrations, federal separate agencies, commissions, boards, service, or authority; state and local governmental entities; civilian education and training institutions; and members of the public when such information directly concerns the military service member.

Systems exempted from certain provisions of the act:

None

A0708.01cNGB

System name:

708.01 Military Personnel Records Jacket (MPRJ) (NGB)

System location:

Each National Guard Armory in all states, Puerto Rico, the Virgin Islands, and the District of Columbia.

Categories of individuals covered by the system:

Enlisted personnel, warrant officers, and commissioned officers who are members of the Army National Guard ((ANG) not on active duty.

Categories of records in the system:

Files contain qualification record; emergency data record; enlistment record and related service agreement/extension/active duty orders; military occupational specialty (MOS) evaluation data report; Group Life Insurance Election; record of induction; security questionaire; transfer/discharge report; license application; language proficiency questionaire; police record check; current declaration of parent/guardian; statement of personal history; identification card application; Veterans Administration (VA) compensation forms and related papers; security clearance; certificate/determination; airborne jump record; dependent medical care statement and related forms; training and experience records; Department of Defense (DOD) summary sheet for review of conscientious objector; oath of extension of enlistment; survivor benefit plan election certificate; efficiency report; application/nomination for assignment; achievement certificates; summarized record of proceeding, record of proceeding and appellate or other supplementary actions, Article 15 (Title 10 U.S.C., Section 815); weight control record; personnel screening and evaluation record; individual statement relating to removal from temporary disability retired list; change of name statements; enlistment statement application/approval/ disapproval/classification/removal for discharge/identification/ as conscientious objector; requests for appointment; affidavits relating retention beyond expiration of term of service; prior service enlistment documents; certificate barring reenlistment; waivers for enlistment; physical evaluation board letters/election/summaries/status of conditions; authority to change name/birth/ date; statement of military service; record brief; letters of failure to complete Army school; certificate of completion of Army school; MOS classification board proceedings; award of MOS; waiver of right to deferment; agreement for noncombatant duty; citation of award; correspondence relating to badges, medals, and unit awards; correspondence/authorizations/orders regarding foreign decorations; correspondence regarding Medal of Honor and certification to VA; letters of appreciation/ commendation; recommendations/approvals/ declinations/board proceedings/announcements relating to promotion/reduction; correspondence/letters/administrative reprimands/ censures/ admonitions/relating to apprehensions/confinement/discipline; letters of sympathy relating to a deceased member; dependent travel and movement of household goods and acknowledgment of restriction; document and orders relating to National Guard status; adverse suitability information; personal indebtedness correspondence and related papers; statement of involuntary retirement; orders/revocations/amendments/ extracts relating to active duty/awards/change data/court martial/discharge/enlistment-reenlistment/MOS award/ proficiency pay/promotion/reduction/release/retirement/temporary duty; individual flight records/physical examination records/aviator flight record/instrument certification papers/application for identification cards/other training/proficiency/evaluation forms, records, and papers; other correspondence/letters/ documents/papers relating to duty status/leave/pass/organizational entitlements. Correspondence between the (1) US Army Military Personnel Center (USA-MILPERCEN), (2) service member, (3) Army staff offices, (4) Army commands, (5) other Federal agencies, (6) general public to commander or service member.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 275, 3012; Title 5 U.S.C., 301; Title 32, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Army command, US Army Reserve Command or ANG Command of assignment/station/location of the Army, Army Reserve or ANG service member: To provide day-to-day administration, training, qualification, reenlistment. discharge, and related matters pertaining to individual's military service; to publish officer registers/rosters as authorized by Title 10 U.S.C., Section 122.

Inquiries are received for information, documents, papers, and records which are provided to the requestor to enable the agency to adjudicate claims, perform investigative actions, support criminal cases, state determinations, research, security clearance, citizenship, location and other related uses consistent with the functional and statutory responsibility of the agency. Agencies using files are: Central Intelligence Agency; Department of Agriculture; Department of Commerce; Department of Health, Education, and Welfare; Department of Housing and Urban Development; Department of Interior; Department of Labor; Department of State; Department of Transportation; Department of Treasury; American Battle Monuments Commission; Atomic Energy Commission; Civil Aeronautics Board; Fed-

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eral Communications Commission: Federal Aviation Administration; Veterans Administration; US Postal Service; US Civil Service Commission; Selective Service System; DOD agencies, elements and military departments; Social Security Administration; Other elements of the Federal government in accordance with their respective authority and responsibility.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in record jacket folder.

Retrievability:

Records accessed by name.

Safeguards:

Records maintained in areas accessible only to authorized personnel; transferred from station to station in personal possession of individual concerned or by US mail.

Retention and disposal:

Data retained in file until updated or service of individual is terminated. Following separation, record reverts to State status, not subject to the Privacy Act, and is retained indefinitely in appropriate state depository.

System manager(s) and address:

Chief, NGB, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the Commander of the unit to which the ANG member is assigned; for retired and separated personnel information may be obtained from the Office of the Adjutant General of each State, Puerto Rico, the Virgin Islands, or the District of Columbia as appropriate.

Record access procedures:

Written requests for information should include the full name, service identification number, current military status, and current return address. For personal visits the requester should provide acceptable identification, i.e., military identification card or other identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from Chief, NGB, The Pentagon, Washington, DC 20310.

Record source categories:

Letters, statements, forms, records and related papers originating with the service member; generated by Army staff offices, Army commands, other Federal agencies in accordance with their respective functional or statutory requirements; and by the general public or the commander of service member when such papers relate to the service status of the individual.

Systems exempted from certain provisions of the act:

None

A0708.02aDAPC

System name:

708.02 Official Military Personnel File

System location:

Primary System: Personnel Information Systems Directorate, US Army Military Personnel Center (USAMILPERCEN).

Decentralized Segments: US Army Enlisted Records and Evaluation Center; US Army Reserve Components Personnel and Administration Center (USARCPAC); and National Personnel Records Center, General Services Administration (GSA).

Categories of individuals covered by the system:

Each individual on active duty in the United States (US) Army in enlisted, appointed or commissioned status; or in a USA or Army of the United States (AUS) retired status; each individual not on active duty who has a reserve status in an enlisted, appointed or commissioned status, or in a retired reserve status; and each individual who was an enlisted, appointed, or commissioned member of the US Army and who was completely separated by discharge, death, or other termination of his/her military status.

Categories of records in the system:

File contains individual records including enlistment contract; Veterans Administration laws; physical evaluation board proceedings; military occupational specialty data report; statement of service; qualification record; group life insurance election; emergency data form; application for appointment; qualification/evaluation report; oath of office; medical examination; security questionaire; application for retired pay; application for correction of military records; application for active duty; transfer or discharge report; active duty report; voluntary reduction; line of duty and misconduct determinations; discharge or separation reviews; police record checks; consent/declaration of parent/guardian; Army Reserve Officers Training Corps (ROTC) supplemental agreement; award recommendations; academic reports; casualty reports; US field medical card; retirement points; deferment; preinduction processing and commissioning data; transcripts of military records; summary sheets review of conscientious objector; election of options; oath of enlistment extensions; survivor benefit plans; efficiency reports; records of proceeding Title 10 U.S.C., Section 815 appelate actions; determination of moral eligibility; waiver of disqualifications; temporary disability record; change of name; statements for enlistment; acknowledgements of service requirements; retired benefits; application for review of physical evaluation board and disability board; appointments; designations; evaluations; extensions; birth certificates; photographs; citizenship statements and status; educational constructive credit; educational transcripts; flight status board reviews; assignment agreements/limitations/waivers/election/and travel; efficiency appeals; promotion/reduction recommendations/approvals/ declinations/announcements/ notifications/reconsiderations/worksheets/ elections/letters of notification to deferred officers/and promotion passover notifications; absence without leave and desertion records; FBI reports; SSA correspondence; miscellaneous correspondence, documents, and military orders relating to military service including information pertaining to dependents, interservice action, inservice details, determination, reliefs, component; awards, pay entitlements, releases, transfers and other military service data.

Authority for maintenance of the system:

Title 5 U.S.C., SEction 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: To maintain, use, collect, and disseminate information with respect to an individual holding a military status or former military status, including regular reserve, retired, former member separated, or deceased. Information pertains to individual's former, current, and subsequent to active duty status relating to birth; citizenship; parentage; home of record; education; training; dependents; travel; language proficiency; former and current association; brotherhood, memberships and related affiliations with organizations and like collective elements which service member divulges as having meaning, substance, or significance to his military service status; assignment history; and other related military experiences, qualification, training, preferences, restriction, and status actions.

Department of State: To issue passport/visa; to document personanon-grata status/attache assignments/and related administration of personnel assigned and performing duty with the State Department.

Department of Treasury: To issue bonds; to collect and record incoming taxes.

Department of Defense (DOD): To authorize and consummate interdepartmental actions relating to interservice requirements pertaining to the Army, Navy, Air Force, and Coast Guard when the Coast Guard is operational under DOD.

Department of Justice: To file fingerprint cards; to perform intelligence function.

Department of Agriculture: To coordinate interdepartmental functions related to education conducted by the Department of Agriculture's advanced education element.

Department of Labor: To accomplish actions required under Federal Employees Compensation Act.

Department of Health, Education and Welfare: To provide services authorized by medical, health and related functions authorized by Title 10 U.S.C., Section 1074-1079.

Atomic Energy Commission: To accomplish requirements incident to Nuclear Accident/Incident Control Officer functions.

American Red Cross: To accomplish coordination and complete service functions including blood donor programs and emergency investigative support and notifications.

Civil Aeronautics Board: Flight qualifications, certification and license actions relating to inservice pilots.

Federal Aviation Agency: To accomplish aviation and air service actions involving inservice aviators.

General Services Administration: For records storage and archival services and for printing of directories and related material which includes personal data.

US Postal Service: To accomplish postal service authorization involving postal officers and mail clerk authorizations.

Veterans Administration: To provide information relating to benefits, pensions, inservice loans, insurance, and appropriate hospital support.

Bureau of Immigration and Naturalization: To comply with statutes relating to inservice alien registration, and annual residence/location.

Office of the President of the United States of America: to exchange required information relating to White House Fellows, regular Army promotions, aides, and related support functions staffed by Army members.

Federal Maritime Commission: To obtain licenses for military members accredited as captain, mate, and harbor master for duty as Transportation Corps warrant officer.

Each of the several states, and US possessions: To support state bonus applications; to fulfill income tax requirements appropriate to the service member's home of record; to record name changes in state bureaus of vital statistics; and for National Guard Affairs.

Civilian educational and training institutions: To accomplish student registration, tuition support, Graduate Record Examination (GRE) tests requirement, and related school requirements incident to inservice education programs in compliance with Title 10 U.S.C., Chapters 102 and 103.

Social Security Administration: To obtain or verify social security number (SSN); to transmit Federal Insurance Compensation Act deductions made from inservice members wages.

Department of Transportation: To coordinate and exchange necessary information pertaining to interservice relationships between US Coast Guard and US Army when service members perform duty with the US Coast Guard elements or training activities.

Civil Authorities: For compliance with Title 10 U.S.C., Section 814.

Department of the Air Force: To administer personnel support for individual Army members assigned for duty with the Air Force.

Department of the Navy: To administer personnel support for individual Army members assigned for duty with the Navy or Marine Corps.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfiche in plastic carriers stored randomly in electro-mechanical storage/retrieval devices. Temporary files consist of paper records in file folder/jacket; selected data automated for management facility in a perishable manner on tapes, discs, cards and other computer media.

Retrievability:

Filed alphabetically by last name; automated data retrievable by name, SSN, or automatic data processing (ADP) parameter; reserve component, retired, and deceased persons records accessed by SSN terminal digit sequence.

Safeguards:

Records maintained in areas accessible only to authorized personnel; automated media protected by authorized password system for access terminals, controlled access to operation rooms, and controlled output distribution.

Retention and disposal:

Microfiche and paper records are permanent. They are retained in active file until termination of service, held in inactive file in accordance with retention and retirement schedule and subsequently retired to National Personnel Records Center.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:

USAMILPERCEN
Personnel Information Systems Directorate
Hoffman Building II
200 Stovall Street
Alexandria, VA 22332
Area Code 202/325-9606

Above address should be used for inquiries on records of commissioned officers or warrant officers (including members of Reserve Components) serving on active duty.

US Army Enlisted Records and Evaluation Center
Ft Benjamin Harrison, IN 46249
Area code 317/542-3361

Above address should be used for inquiries on records of enlisted members (including members of Reserve Components) serving on active duty.

USARCPAC
9700 Page Boulevard
St Louis, MO 63132
Area code 314/268-7770

Above address should be used for inquiries on records of commissioned officers or warrant officers in a reserve status not on active duty; or Army enlisted reservists not on active duty; or members of the National Guard who performed active duty; or commissioned officers, warrant officers, or enlisted members in a retired status.

National Personnel Records Center, GSA
9700 Page Boulevard
St Louis, MO 63132
Area code 314/268-7262

Above address should be used for inquiries on records of commissioned officers or warrant officers who were completely separated from the service after 30 June 1917 or enlisted members who were completely separated after 31 October 1912.

Record access procedures:

Written requests for information should contain full name of individual, service identification number, current or former military status and appropriate return address.

Personal visits may be made to the appropriate location based on the individual's status; individual should be able to provide commonly acceptable identification, such as driver's license, employment identification card, and give some verbal information relative to his/her current or former military status.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters, Department of the Army (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Enlistment, appointment, or commission related forms pertaining to the individual having a current or former military status; academic, training or qualification records acquired prior to or during military service; correspondence, forms, records, documents and other related papers originating in or collected by Department of the Army Staff agencies and commands; other federal departmental agencies, administrations, federal separate agencies, commissions, boards, service, or authority; state and local governmental entities; civilian education and training institutions; and members of the public when such information obtained directly concerns the military service member.

Systems exempted from certain provisions of the act:

None

A0708.02bNGB

System name:

708.02 Official Military Personnel File (Army National Guard)

System location:

Army National Guard Personnel Center, National Guard Bureau, Columbia Pike Office Building, 5600 Columbia Pike, Falls Church, VA 22041.

Categories of individuals covered by the system:

Each commissioned officer or warrant officer in the Army National Guard not on active duty.

Categories of records in the system:

File contains individual records including enlistment contract; Veterans Administration laws; physical evaluation board proceedings; military occupational specialty data report; statement of service; qualification record; group life insurance election; emergency data form; application for appointment; qualification/evaluation report; oath of office; medical examination; security questionnaire; application for retired pay; application for correction of military records;

application for active duty; transfer or discharge report; active duty report; voluntary reduction; line of duty and misconduct determinations; discharge or separation reviews; police record checks; consent/declaration of parent/guardian; Army Reserve Officers Training Corps (ROTC) supplemental agreement; award recommendations; academic reports; casualty reports; United States (US) field medical card; retirement points; deferment; preinduction processing and commissioning data transcripts of military records; summary sheets review of conscientious objector; election of options; oath of enlistment extensions; survivor benefit plans; efficiency reports; records of proceeding Title 10 U.S.C., Section 815 and appellate actions; determination of moral eligibility; waiver of disqualifications; temporary disability record; change of name; statements for enlistment; acknowledgments of service requirements; retired benefits; application for review of physical evaluation board and disability board; appointments; designations; evaluations; birth certificates; photographs; citizenship statements and status; educational constructive credit; educational transcripts; flight status board reviews; assignment agreements/limitations/ waivers/election/and travel; efficiency appeals; promotion/ reduction recommendations/approvals/declinations/announcements/ notifications/reconsiderations/worksheets/elections/letters of notification to deferred officers/and promotion passover notifications; absence without leave and desertion records; FBI reports; Social Security Administration (SSA) correspondence; miscellaneous correspondence, documents, and military orders relating to military service including information pertaining to dependents, interservice action, inservice details, determination, reliefs, component; awards, pay entitlements, releases, transfers and other military service data.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 275 and 3012; Title 5 U.S.C., Section 301; Title 32 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: To maintain, use, collect, and disseminate information with respect to an individual holding a military status or former military status, including regular reserve, retired, and former member separated. Information pertains to individual's former, current, and subsequent to active duty status relating to birth; citizenship; parentage; home of record; education; training; dependents; travel; language proficiency; former and current association; brotherhood, memberships and related affiliations with organizations and like collective elements which service member divulges as having meaning, substance, or significance to his military service status; assignment history, and other related military experiences, qualification, training, preferences, restriction, and status actions.

Department of State: To issue passport/visa; to document personanon-grata status/attache assignments/and related administration of personnel assigned and performing duty with the State Department.

Department of Defense (DOD): To authorize and consummate interdepartmental actions relating to interservice requirements pertaining to the Army, Navy, Air Force, and Coast Guard when the Coast Guard is operational under DOD.

Department of Justice: To file fingerprint cards; to perform intelligence function.

Department of Labor: To accomplish actions required under Federal Employees Compensation Act.

Department of Health, Education and Welfare: To provide services authorized by medical, health, and related functions authorized by Title 10 U.S.C., Section 1074-1079.

Atomic Energy Commission: To accomplish requirements incident to Nuclear Accident/Incident Control Officer functions.

American Red Cross: To accomplish coordination and complete service functions including blood donor programs and emergency investigative support and notifications.

Civil Aeronautics Board: Flight qualifications, certification and license actions relating to inservice pilots.

Federal Aviation Agency: To accomplish aviation and air service actions involving inservice aviators.

General Services Administration: For records storage, archival services and for printing of directories and related material which includes personal data.

US Postal Service: To accomplish postal service authorization involving postal officers and mail clerk authorizations.

Veterans Administration: To provide information relating to benefits, pensions, inservice loans, insurance, and appropriate hospital support.

Bureau of Immigration and Naturalization: To comply with statutes relating to inservice alien registration, and annual residence/locations.

Office of the President of the United States of America: To exchange required information relating to White House Fellows, regular Army promotions, aides, and related support functions staffed by Army members.

Federal Maritime Commission: To obtain licenses for military members accredited as captain, mate, and harbor master for duty as Transportation Corps warrant officer.

Each state and US possessions: To support state bonus applications; to fulfill income tax requirements appropriate to the service member's home of record; to record name changes in state bureaus of vital statistics; and for National Guard Affairs.

Civilian educational and training institutions: To accomplish student registration, tuition support, Graduate Record Examination (GRE) tests requirement, and related school requirements incident to inservice education programs in compliance with chapter 102 and 103 USC 10.

Social Security Administration: To obtain or verify social security number (SSN); to transmit Federal Insurance Compensation Act deductions made from inservice members wages.

Department of Transportation: To coordinate and exchange necessary information pertaining to interservice relationships between US Coast Guard and US Army when service members perform duty with the US Coast Guard elements or training activities.

Civil Authorities: For compliance with Section 814 USC 10.

Department of the Air Force: To administer personnel support for individual Army members assigned for duty with the Air Force.

Department of the Navy: To administer personnel support for individual Army members assigned for duty with the Navy or Marine Corps.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder/jacket; selected data automated for management facility in a perishable manner on tapes, disc, cards and other computer media.

Retrievability:

Filed alphabetically by last name; automated data retrievable by name, SSN, or automatic data processing (ADP) parameter.

Safeguards:

Records maintained in areas accessible only to authorized personnel; automated media protected by authorized password system for access terminals, controlled access to operation rooms, and controlled output distribution.

Retention and disposal:

Paper records are permanent. They are retained in active file until termination of service or transfer to the US Army Reserve, at which time records are transferred to the custody of the Commander, US Army Reserve Components Personnel and Administration Center.

System manager(s) and address:

Chief, National Guard Bureau, The Pentagon, Washington, DC 20310

Notification procedure:

Information may be obtained from:
Army National Guard Personnel Center,
Columbia Pike Office Building
Falls Church, VA 22041
Area Code 202/756-1210.

Record access procedures:

Written requests for information should contain full name of individual, service identification number, current or former military status and appropriate return address.

Personal visits may be made to the appropriate location based on the individual's status; individual should be able to provide commonly acceptable identification, such as driver's license, employment identification card, and give some verbal information relative to his/her current or former military status.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from Chief, National Guard Bureau, The Pentagon, Washington, DC 20310.

Record source categories:

Enlistment, appointment, or commission related forms pertaining to the individual having a current or former military status; academic, training or qualification records acquired prior to or during military service; correspondence, forms, records, documents and other related papers originating in or collected by Department of the Army Staff agencies and commands; other Federal departmental agencies, administrations, Federal separate agencies, commissions, boards, service, or authority; state and local governmental entities; civilian education and training institutions; and members of the public when such information obtained directly concerns the military service member.

Systems exempted from certain provisions of the act:

None

A0708.02cDAPC

System name:

708.02 Officer Personnel Management Information System (OPMIS)

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Individuals projected for entrance into the Army officer corps; Army officer and warrant officer personnel projected to enter on active duty, on active duty, separated, or in a retired status; individuals, civilian and military, who serve as senior rating officials on the officer evaluation reports (OERs) of Army officers.

Categories of records in the system:

a. Officer Master File (OMF) contains name, social security number (SSN), grade and date of rank, appointment and service agreement, service data and date, promotion, assignment, qualification, specialty, efficiency, education and training, occupation, language, career pattern, awards and badges, physical location, separation, retirement, date and place of birth, race, religion, ethnic group, dependents, sex, citizenship, marital status, and mailing address.

b. Officer Accession Suspense Information System (OASIS) contains selected information from the OMF, the date of entry on active duty, temporary duty (TDY) data, and permanent change of station (PCS) data.

c. Officer Evaluation Reporting System (OERS) contains selected information from the OMF; selection board status; OER suspense indicator for action being taken to obtain missing or erroneous OER; selected information for each of the last ten OERs; and the name, SSN, and rating history of each individual, military and civilian, who has served as the senior rating official for an active duty Army officer.

d. Assignments and Training Selection for ROTC Graduates contains selected information from the OMF, the cadet's preference statement for specialty (branch), duty and initial training; Reserve Forces duty or delay selection, Regular Army selection, and branch selection.

e. Officer Personnel Utilization System (OPUS) contains selected information from the OMF, projected assignment information for accessions and officers or warrant officers who are being reassigned.

f. Reserve Officer Training Corps (ROTC) Instructor File contains selected information from the OMF and the following information pertaining to ROTC instructors; ROTC detachment, duty station, date assigned to ROTC detachment, date projected to be reassigned.

g. Officer Fully Funded Civil School File contains selected information from the OMF and the following information concerning officer and warrant officer personnel participating or who have participated in the Army sponsored degree completion program; school attended, start and completion dates, degree level and discipline, and Army Education Requirements Board (AERB) positions.

h. Officer Partially Funded Civil School File contains the same type information maintained in the Fully Funded Civil School File for officer and warrant officer personnel participating or who have participated in the Army partially sponsored degree completion program.

i. Army Education Requirements Board (AERB) File contains selected information from the OMF for officer and warrant officer personnel who are serving or are projected to serve in an AERB approved position requiring graduate level education.

j. Distribution Management File contains selected information from the OMF and summary manner of performance data for MILPERCEN managed officers.

k. USMA Potential Instructor File contains selected information from the OMF and the following information pertaining to previous, current, and potential instructors for the United States Miliary Academy (USMA) teaching staff: academic department and projected availability for USMA instructor duty.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army (DA): Records are used for personnel management, strength accounting, manpower management, accessioning and determining basic entry specialty (Branch) and initial duty assignments; tracking OER; monitoring actions to obtain missing, late, or erroneous OER; tracking the rating history of senior rating officials; posting of the senior rating official's rating history on individual OER; producing reports on Active Duty officers, who have served as senior rating officials, for inclusion in their Official Military Personnel File; managing instructor population at ROTC detachments and USMA; tracking information relative to the Army Degree Completion Civil School Program; transmitting necessary assignment instructions.

Department of Defense: Records are used for interdepartmental actions and personnel management.

Social Security Administration: Used to verify SSNs.

General Services Administration: Used to publish US Army Registers as authorized by Title 10 U.S.C., Section 122.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disks.

Retrievability:

Normal access is by SSN, name, or other individual identifying characteristics.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, and personnel clearances. Magnetic tape is maintained in an area accessible only to authorized personnel. Automated media protected by authorized password for system, controlled access to operator rooms, and controlled output distribution.

Retention and disposal:

Records are retained on the active OMF files for 4 months after separation. Historical OMF records are retained dating back to FY 1970. Accessions in OASIS are retained on active file until effective date of accession and are then placed on a history file for a period of 6 months. Records in the ROTC Graduate Assignment and Training Selection File are retained for approximately 400 days after the file is created (approximately December each year). Historic files for the OER system will be kept for the life of the system. All other records are retained for active duty only until the individual is released from active duty and then destroyed.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from
United States Army Military Personnel Center (DAPC-MSO-S)
200 Stovall Street
Alexandria, VA 22332
Telephone: Area Code 202/325-9305.

Record access procedures:

Requests from individuals should be addressed to: United States Army Military Personnel Center (DAPC-MSO-S), 200 Stovall Street, Alexandra, VA 22332.

Written requests for information should contain the full name of the individual; social security number; whether awaiting active duty, active, retired, or separated; return address; and must identify the specific category of record involved; blanket requests against this consolidated system will not be accepted. If separated, date of separation, and if awaiting active duty, the date thereof.

Visits are limited to United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332. For personal visits, the individual should be able to provide acceptable identification, and give verbal information that could be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from MILPERCEN (DAPC-MSO-S), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained in document and computer readable form from other DA Staff and commands, other Federal agencies and departments, and individuals.

Systems exempted from certain provisions of the act:

None.

A0708.03aDAPE

System name:

708.03 Special Review Board (SRB) Appeal Case Summary File

System location:

Office of the Deputy Chief of Staff for Personnel, Special Review Board (DAPE-MPC-S), Washington, DC

Categories of individuals covered by the system:

Army officer personnel who have submitted substantive, as opposed to administrative, appeal of Officer Evaluation Reports.

Categories of records in the system:

File contains identification data on individual, date of appeal, dates of contested period, names of voting Special Review Board (SRB) members, names of any persons contacted directly by Board, summary of evidence considered, discussion, recommendation, conclusions, final determination of the appeal, and disposition.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record of cases considered, adjudications, determinations, and dispositions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent for historical purposes.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army (HQDA), (DAPE-MP), The Pentagon, Washington DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAPE-MPO-C)
Room 2B724
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-5100

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAPE-MPO-C), Room 2B724, The Pentagon, Washington, D.C. 20310.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to Officer Division, Military Personnel Management Directorate (DAPE-MPO), The Pentagon, Washington, DC 20310

For personal visits, the individual should be able to provide acceptable identification such as military identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPE-MPO-C), Washington, DC 20310.

Record source categories:

File containing name, rank, social security number (SSN), date, dates of contested period, voting SRB members, personnel contacted, summary of evidence considered, discussion, recommendation, conclusion and final determination.

Systems exempted from certain provisions of the act:

None

A0708.03bDAPC

System name:

708.03 Office General Reference/Information/Personnel File

System location:

Decentralized system of records maintained at various Army levels where information relating to individuals by name is maintained; e.g., section/team, branch, division, directorate, subordinate command, Major Command, and Department of the Army.

Categories of individuals covered by the system:

Military personnel who are supervised and/or administered within the respective organizational element.

Categories of records in the system:

File contains records/documents/papers pertaining to military personnel, relating to day-to-day administration. Files include papers pertaining to reclassification, promotion, orders, sponsors, indebtedness, leave,enlistment, waivers, statement of service, bonus, evaluations, identification, group life insurance, applications for appointment, application for outside employment, Army Board for Correction of Military Records papers, line of duty actions, academic and individual training reports and transcripts, training instructor evaluations, mandatory retirement papers, soldier voting, survivor benefits options, Physical Evaluation Board actions, qualifications, and related administrative papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain a general reference file of information, data, and actions to support day-to-day operations and administration within the office or administrative element.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; index cards, microfiche.

Retrievability:

Alphabetical, by name.

Safeguards:

Files are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Files are retained for 1 year; certain files may be destroyed upon departure of individual concerned.

System manager(s) and address:

Head of Army Staff office or organizational element concerned.

Notification procedure:

Information may be obtained from the Head of the Army Staff office or organization concerned.

Record access procedures:

Requests for access should be directed to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Copies of records/documents/papers contained in basic record files regarding the Military Personnel Records Jacket, Official Military Personnel File and correspondence originated by individual, or from sources relating to subjects in which the military member may participate, show interest, or be involved.

Systems exempted from certain provisions of the act:

None

A0708.05DAAG

System name:

708.05 Emergency Data Files

System location:

Primary System: Casualty Services Office, Casualty Directorate, The Adjutant General Center, Department of the Army (DA).

Decentralized Segments: Military Personnel Records Jacket (MPRJ), maintained at Army personnel offices world-wide.

Categories of individuals covered by the system:

All military personnel on active duty.

Categories of records in the system:

File contains DA Form 41, Record of Emergency Data (1 Apr 74 or 1 Jul 70 edition). Document reflects the service member's name; social security number (SSN); wife and children's names and current address; persons to be and not to be notified in the event of death or injury; information on wills, insurance, and other such information; and designation of beneficiaries for certain benefits.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Casualty Services Office: When properly completed, it is an official and legal document that governs the disposition of pay and allowances of a member who is missing, is captured, or becomes a casualty. It is also used to determine the person(s) to receive death gratuity payments and beneficiary(ies) to receive other benefits. The form provides the names and addresses of the person(s) to be notified in case of emergency or death.

MPRJ: Copy serves the same purposes as stated above in the event the record copy can not be located.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Original (machine processed card) in vertical file.
Paper copy in MPRJ.

Retrievability:

Card is filed numerically using SSN. File is sorted initially by last digit of the SSN, then in numerical sequence. Paper copy located at unit level is fastened on the left side of the MPRJ.

Safeguards:

Building employs security guards. Office is in operation 24 hours a day, 7 days a week. Records are accessible only to authorized personnel.

Retention and disposal:

Form is retained in the DA active file until individual's separation from the Army, then destroyed. Copy in personnel folder remains with file when records are retired. If individual dies, the form is placed in the casualty case file. Casualty case files are retired upon completion to National Personnel Records Center (Military), St Louis, MO 63122.

System manager(s) and address:

The Adjutant General, Headquarters, DA (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-CAC)
Room 7G083
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-6607

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAAG-CAC), Room 7G083, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address, telephone number, SSN, and grade. Visits are limited to Casualty Directorate, The Adjutant General Center, Forrestal Building, Washington, DC 20314.

For personal visits, the individual must be able to provide acceptable identification, i.e., military identification card or driver's license and social security card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

Data are furnished by service member at initial date of entry and during active duty.

Systems exempted from certain provisions of the act:

None

A0708.06aDAPC

System name:

708.06 Project Managers Development Program (PMDP).

System location:

Department of the Army, United States (US) Army Military Personnel Center (USAMILPERCEN),(DAPC-OP).

Categories of individuals covered by the system:

Commissioned officers.

Categories of records in the system:

File contains name, social security number (SSN), pay grade, PMDP Selection Board Officer Record Brief, letters to and from individual, and determination; correspondence originating with program members and USAMILPERCEN; other forms/papers/documents relating to the program.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: To monitor the professional development of PMDP members.

Other Department of Defense elements: As required for program separations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Access is alphabetical by name.

Safeguards:

Physical security devices, guards, and personnel clearances for individuals working with the system.

Retention and disposal:

Records are retained for duration of individual's membership in the program.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (HQDA), USAMILPERCEN, (DAPC-OPP-S), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should include full name of the requester, SSN, grade and appropriate return address.

Personal visits may be made to USAMILPERCEN; individual should be able to provide military service identification or other means of identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from: USAMILPERCEN (DAPC-OPP-S), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from documented personnel records, other Department of Army organizations, and program member.

Systems exempted from certain provisions of the act:

None

A0708.07DAPE

System name:

708.07 Unfavorable Information Files

System location:

Primary System: Department of the Army Suitability Evaluation Board (DASEB) (DAPE-MPC-E), Washington, DC 20310.

Decentralized Segment: Office of the Deputy Chief of Staff for Personnel (DAPE-MPO-C), Washington, DC 20310.

Categories of individuals covered by the system:

Army personnel on whom unfavorable information has been discovered, considered, referred to individual, and disposition determination reached.

Categories of records in the system:

File contains summary of unfavorable information, copy of letter of notification to individual, individual's response, summary of consideration of response, disposition determination, and voting record of Board members.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Suitability Evaluation Board: Record of Board actions; back up consideration of subsequent unfavorable information by DASEB.

Department of the Army Promotion/Selection Boards: Reference only to unfavorable information filed in Official Military Personnel File after due process.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly cleared, screened and trained.

Retention and disposal:

Records are permanent for historical purposes.

System manager(s) and address:

Headquarters, Department of the Army (HQDA) (DAPE-MP), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAPE-MPO-C)
Room 2B 724
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-5100

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAPE-MPO-C), Room 2B 724, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the office symbol that appears on correspondence received from this office. Visits are limited to Officer Division, Military Personnel Management Directorate (DAPE-MPO), The Pentagon, Washington DC 20310.

For personal visits, the individual should be able to provide acceptable identification, i.e., military identification card, driver's license, including verbal information that can be verified with his case folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPE-MPO-C), Washington, DC 20310.

Record source categories:

Suitability Evaluation Board case summary of unfavorable information; letter of notification/request for comment to the individual; individual's response to the Board; final determination case summary by the Board.

Systems exempted from certain provisions of the act:

None

A0708.08aDAPC

System name:

708.08 Career Management Individual Files

System location:

Primary System: United States Army Military Personnel Center (MILPERCEN).

Decentralized Segments: The Surgeon General's Office (TSGO), the Judge Advocate General's Office (TJAGO), Office of Chief of Chaplains, and United States Army Intelligence and Security Command (INSCOM).

Categories of individuals covered by the system:

Active duty members of the US Army in enlisted grades of E1 through E9, all warrant officers and commissioned officers.

Categories of records in the system:

File contains orders; record briefs; statements of preference; school credit papers; transcripts; details; career personnel actions; memorandum for record of telephone calls; personal correspondence originated by individual concerned; original copy of efficiency report; appeal actions; assignment memoranda and requests for orders; memoranda of professional development actions; promotion orders; classification data; papers relating to service awards; letters and other forms of written communications relating to military career matters; service agreements; variable incentive pay data; memoranda of interviews; copies of applications for assignment consideration; resumes of qualifications, personal background, and service experience supporting service member's desires, or nominative action by career managers; academic reports; copies of admonitions/ reprimands imposed under Article 15 Uniform Code of Military Justice (Title 10 U.S.C., Section 815); letters of appreciation/commendation/recommendation; and correspondence among (1) MILPERCEN, (2) individual service member, (3) Army Staff offices and Army organizations (4) other Federal, State, and local government elements, and (5) accredited educational and training organizations.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

MILPERCEN, TSGO, TJAGO, Office of Chief of Chaplains, INSCOM: To accomplish military service career management including assignment, professional development, service training and education, and other related military actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; card files.

Retrievability:

Record accessed by name.

Safeguards:

Records maintained in areas accessible only to authorized career management activity personnel.

Retention and disposal:

Records range from transitory to permanent depending on the continuing value to the service member or the Army. Records determined to be permanent are merged with the Official Military Personnel File (when not duplicated) upon separation of the service member from active duty by reason of discharge, transfer, retirement, or death.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information in regard to other than professional officers may be obtained from:
Headquarters, Department of the Army (DAPC-MSO)
Hoffman Bldg II
200 Stovall Street
Alexandria, VA 22332.
Information in regard to medical department officers:
The Surgeon General's Office
1900 Half Street, SW, Room 6126
Washington, DC 20324
Information in regard to Chaplains:
Office of the Chief of Chaplains
The Pentagon, Room 1E417
Washington, DC 20310
Information in regard to The Judge Advocate General Corps officers:
The Judge Advocate General's Office
The Pentagon, Room 1E444
Washington, DC 20310.
Information in regard to United States Army Intelligence and Security Command enlisted personnel:
Headquarters, United States Army Intelligence and Security Command
Ft George G. Meade, MD 20755.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAPC-MSO), Hoffman Bldg II, 200 Stovall Street, Alexandria, VA 22332.

Written requests for information should contain the full name of the requester, service identification number, current or former military status, and appropriate return address.

Personal visits may be made to the United States Army Military Personnel Center; individual should be able to provide his/her military service identification card; Department of Defense Form 2A for active duty persons; or other commonly acceptable means of identification used in normal transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters Department of the Army (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Enlistment, appointment, or commission related forms pertaining to the service member having a current active duty military status; academic, training, and qualification records acquired incident to military service; correspondence, forms, documents and other related papers originating in or collected by the military department for management purposes.

Systems exempted from certain provisions of the act:

None

A0708.08bUSAREC

System name:

708.08 Rapid Electric Ad Coupon Transmission (REACT)

System location:

Philadelphia, PA. Maintained by Worldwide Direct Marketing, Inc., an Army subcontractor through N.W. Ayer ABA International of New York, NY.

Categories of individuals covered by the system:

The file contains data on individuals who have specifically inquired for information on Army enlistment and, conversely, individuals who have specifically asked not to be included in Army promotional mailings.

Categories of records in the system:

Records include name and address (including zip code) of individuals who have requested enlistment information. If the individual volunteered additional information, the following is also included: age, telephone number, social security number, years of education, and the individual's source of request coupon. Each record also contains a unique identification (ID) number generated from the date of initial processing and its sequence in receipt. Finally, each record is ultimately annotated with the final disposition of recruiter action on the individual as an enlistment lead.

Records include name and address of individuals who have asked to be excluded from Army promotional mailings.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949 (64 Stat. 578), as amended by Act of 22 Oct 1968 (82 Stat. 1238; Title 44 U.S.C. 3101-03).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To prepare a solicitation letter to the prospect providing requested information and referral to the local recruiter.

To notify the field recruiter and his supervisor of the inquiry.

To follow-up the lead with a second letter to the individual if requested by the local recruiter.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on computer magnetic tape.

Retrievability:

Individual records are retrieved by ID number for adding information provided by the individual through the local recruiter. Records are retrieved by a date signal when a second letter to the individual has been requested by the recruiter.

Safeguards:

Subcontractor is under contract stipulating proprietary use of the file by Army or Army-authorized agents.

Retention and disposal:

Once created, records are retained permanently.

System manager(s) and address:

Director, Advertising & Sales Promotion (USARCASP), Headquarters, United States Army Recruiting Command (USAREC), ATTN: USARCASP-D, Ft Sheridan, IL 60037.

Notification procedure:

Information may be obtained from:
Director, Advertising & Sales Promotion, ATTN: USARCASP-D
USAREC
Ft Sheridan, IL 60037
Telephone: Area Code 312/926/2547
Name and address (including zip code) are needed.
Requesters may visit SYSMANAGER office.
Full name, address, driver's license required as identification.

Record access procedures:

Individuals may contact SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned may be obtained from SYSMANAGER.

Record source categories:

Sources are either coupon or letter requests for information from individuals or letters requesting exclusion from future Army promotional mailings.

Systems exempted from certain provisions of the act:

None

A0708.13aDAIG

System name:

708.13 Inspector General Management Information System

System location:

System Management Division, United States Army Inspector General (USAIG) Agency, Department of the Army, (DA) Washington, DC 20310.

Categories of individuals covered by the system:

Army Officers approved and assigned as detailed Inspectors General in the DA and certain Department of Defense (DOD) and Joint Activities.

Categories of records in the system:

Name of officer, grade, social security number (SSN), duty position, organization of assignment, date approved for detail, date assigned to position, estimated date of departure, officer's basic branch and date of rank.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

System Management Division: To maintain status, strength and assignment data for worldwide Army IG System; to provide to other DA, DOD, and other Government Agencies the information listed in Record-Category.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards in card file, magnetic tapes, and computer paper printouts of alphabetical rosters.

Retrievability:

Filed alphabetically by last name of Inspector General.

Safeguards:

Access to card file and computer printout limited to designated responsible personnel in System Management Division, USAIG. Building employs security guards and access is limited to authorized personnel.

Retention and disposal:

Cards are initiated upon nomination of officer for detail as IG, destroyed upon relief from detail and reassignment. Computer printouts are disposed of as updated copy is received.

System manager(s) and address:

The Inspector General and Auditor General, Headquarters, Department of the Army (HDQA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAIG-SM)
Room 1E729
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-1519.

Record access procedures:

Requests from individuals should be addressed to: HQDA, (DAIG-SM), Room 1E729, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Requests for approval for nomination; reports from IG offices worldwide; letters, assignment and detail orders; Army Register; Military Personnel Center records.

Systems exempted from certain provisions of the act:

None

A0708.13cDAPC

System name:

708.13 Foreign Area Officer (FAO) Training

System location:

Department of the Army (DA), United States (US) Army Military Personnel Center (USAMILPERCEN), (DAPC-OP).

Categories of individuals covered by the system:

Commissioned officers.

Categories of records in the system:

File contains name, social security number(SSN), sex, race, citizenship, religion, marital status, dependents, date of birth, residence, physical profile, ethnic group, grade and date of rank of appointment and service agreement, service data and dates, promotion, assignment, qualifications, skill, edu- cation and training, specialty, aptitude, occupation, language, career pattern, awards and badges, mailing address, letters to and from individual, memoranda of telephone conversations with member, correspondence originating with FAO members and USAMILPERCEN; application for training, preferences, DA Form 873 (Certificate of Clearance and/or Security Determination); other forms/papers/documents relating to the FAO training.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DA: Records are used for personnel manage- ment, strength accounting, and manpower management; and for monitoring the training and professional development of FAO specialty members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Access is alphabetically by name.

Safeguards:

Physical security devices, guards, and personnel clearances for individuals working with the system.

Retention and disposal:

Records are retained for duration of member's training; then destroyed.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (DAPC-OPP-S), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should include full name of requester, SSN, grade and appropriate return address.

Personal visits may be made (by appointment) to the USAMILPERCEN; individual should be able to provide military service identification or other means of identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from USAMILPERCEN (DAPC-OPP-S), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from service member, various related correspondence, preferences for training, DA Form 873, and documents originating in or collected by the military department for training specialty purposes.

Systems exempted from certain provisions of the act:

None

A0708.13dDAPC

System name:

708.13 Enlisted Linguist Data Base (ELDB)

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Army enlisted linguist personnel on active duty, or those separated within the past 4 months.

Categories of records in the system:

The categories of information stored include: name, social security number (SSN), sex, race, citizenship, number of dependents, year of birth, grade and date of rank, country of birth, foreign language code, listening and reading proficiency, ratings, and scores, dates of evaluation test or interview, how each language capability was acquired, with the principal type, highest level and date of recency for each foreign language in which proficient.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army (DA): Records are used for personnel management, assignments, and manpower management.

Department of Defense: Records are used for interdepartmental actions, deployment, and personnel management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disks.

Retrievability:

By SSN, name, or other individual identifying characteristics, language code, specialty and grade.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, personnel clearances, passwords, and file identity codes.

Retention and disposal:

Records are retained 4 months after separation.

System manager(s) and address:

Commanding General, United States Army Military Personnel Center, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
United States Army Military Personnel Center (DAPC-PSS)
200 Stovall Street
Alexandria, VA 22332
Telephone: Area Code 202/325-8894

Record access procedures:

Requests from individuals should be addressed to: United States Army Military Personnel Center, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Written requests for information should contain the full name of the individual, SSN, whether active or separated and if separated, date of separation.

Visits are limited to United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332. For personal visits, the individual should be able to provide acceptable identification including verbal information that can be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained in document and computer readable form from other DA Staff and commands.

Systems exempted from certain provisions of the act:

None

A0708.16aUSREDCOM

System name:

708.16 Military Personnel Data File, USREDCOM

System location:

Primary System-Computer Operations Section, Command Control Support Division, Directorate of Operations, J3, Building 501, United States Readiness Command (USREDCOM), MacDill Air Force Base (AFB), FL 33608.

Computer Products-Military Personnel Division, J1, Room 160, Building 501, USREDCOM, MacDill AFB, FL 33608.

Categories of individuals covered by the system:

All Army, Navy, Marine Corps, and Air Force personnel assigned for duty with USREDCOM, MacDill AFB, FL 33608.

Categories of records in the system:

File contains following information on all military personnel assigned for duty with USREDCOM: (1) social security number (SSN), (2) name, (3) rank, (4) pay grade, (5) date of rank, (6) branch of service, (7) Army officer branch, (8) basic active service date, (9) basic pay entry date, (10) date of birth, (11) passport expiration date, (12) organization and division, (13) Joint Table of Distribution paragraph and line number, (14) alert status - joint task force, (15) immunization dates, (16) weapon qualification, (17) primary military specialty/Air Force specialty code (MOS/AFSC), (18) marital status, (19) secondary MOS/AFSC, (20) duty MOS/AFSC, (21) officer evaluation report/enlisted efficiency report (OER/EER) date, (22) date assigned to supervisor, (23) reserve/regular officer, (24) duty telephone number, (25) building and room number, (26) home address, (27) nearest town, (28) home telephone number, (29) spouse's name, (30) date arrived USREDCOM, (31) projected loss date, (32) expiration term of service, (33) foreign service availability code, (34) human personal reliability screening date, (35) language proficiency, (36) enlisted evaluation report weighted average, (37) primary MOS evaluated, (38) primary evaluation date, (39) primary score, (40) secondary MOS evaluated, (41) secondary evaluation date, (42) secondary score, (43) name of OER rater, (44) duty title, (45) permanent grade, officers, (46) permanent date of rank, (47) rated category, (48) highest professional military education, (49) civilian education, (50) source of commission, (51) mandatory retirement date, officers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of system is to maintain a consolidated joint personnel file pertaining to Army, Navy, Marine Corps, and Air Force personnel. Although each service has its own personnel reocrds system, USREDCOM requires a consolidated system of basic personnel data that would allow the production of Command Manning Rosters, Immunization Rosters, Joint Task Force Deployment Rosters, and retrievability of individual personnel data as needed in the Joint Military Personnel Division.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The entire personnel system is an on-line disk resident application with back-up maintained on magnetic tape.

Retrievability:

Standard reports and ad hoc retrievals are generated via remote terminals using a data management system. Additionally, updates and record brousing may be accomplished in the interactive mode through keying by SSN.

Safeguards:

All personnel qualified to add, change, or delete records of this file must be cleared for TOP SECRET as the computer equipment used to maintain this file is physically located within a TOP SECRET access area. The overall classification of the personnel file is 'FOR OFFICIAL USE ONLY,' but all operators have individual 'Pass Words' which are required for access to the computer file. All output products have the following statement printed at the beginning of each page: 'This roster contains Privacy Act information and will not be released unless request meets the requirements of para 3-2, AR 340-21'.

Retention and disposal:

All personnel data collected from military records for local use of this command are deleted from the data file upon the departure of the individual from USREDCOM. No history is maintained on departing individuals under this system.

System manager(s) and address:

Chief, Military Personnel Division, Directorate of Personnel, J1, USREDCOM, MacDill AFB, FL 33608.

Notification procedure:

Information may be obtained from:
Directorate of Personnel, J1
ATTN: RCJ1-MP
Room 160, Building 501
USREDCOM
MacDill AFB, FL 33608
Telephone: Area Code 813/830-4106

Record access procedures:

Requests from individuals should be addressed to : Chief, Military Personnel Division, ATTN: RCJ1-MP, USREDCOM, MacDill AFB, FL 33608.

Written requests for information should contain the full name of the individual, SSN, current address, and telephone number.

Visits are permitted at the Directorate of Personnel, J1, Room 168, and at the Military Personnel Division, Room 160, Building 501, MacDill AFB, FL 33608, where computer products are maintained.

For personal visits, the individual should be able to provide some acceptable identification; e.g., military identification card, driver's license, or some other acceptable identification card, and give some verbal information which can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records, contesting contents, and appealing initial determinations are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

Fields of data recorded in this system were taken from official military personnel records of the individual upon his/her reporting to USREDCOM for duty.

Systems exempted from certain provisions of the act:

None.

A0708.17bDASG

System name:

708.17 Contract Surgeon Personnel Files

System location:

Primary System: Management Office, Medical Centers and hospitals where contract surgeons are employed.

Decentralized Segments: Office of The Surgeon General (OTSG), Department of the Army (DA).

Categories of individuals covered by the system:

Any civilian physician with an executed contract, employed as a contract surgeon.

Categories of records in the system:

File contains individual's justification for employment; executed contract; correspondence between medical centers and hospitals and applicant; and selected documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4022, Contract Surgeons; Title 37 U.S.C., Section 201, Basic Pay; Title 37, U.S.C., Section 421, Contract Surgeons

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Medical Center or Hospital Management Office: To determine need, accessibility, and qualification of private physician for employment as contract surgeon; to coordinate and request DA approval for employment as contract surgeon; to execute contract with private physician as contract surgeon.

OTSG, DA: To control, review, and approve need and qualifications of contract surgeon.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of contract surgeon.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 2 years or on discontinuance, whichever occurs last.

System manager(s) and address:

The Surgeon General, DA.

Notification procedure:

Information may be obtained from:
Headquarters, Department of the Army (HQDA), (DASG-HCC)
Washington, DC 20310
Telephone: Area Code 202/697-8394

Record access procedures:

Requests from individuals should be addressed to: Commander, Medical center or hospital where employed; or HQDA (DASG-HCC), Room 2D528, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to Management Office, Medical Center or hospital where employed; and Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide sufficient identification, including verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Related papers and forms from individual physician.

Systems exempted from certain provisions of the act:

None

A0708.18aDAAG

System name:

708.18 Line of Duty Investigations

System location:

Personnel Actions Branch, all Army Installations. Official mailing addresses are in the Department of Defense (DOD) directory in the Appendix.

Categories of individuals covered by the system:

A service member who has been injured.

Categories of records in the system:

Department of the Army (DA) Form 2173 (Statement of Medical Examination and Duty Status); DD Form 261 (Report of Investigation-Line of Duty and Misconduct Status); and supporting documents such as military police reports, accident reports, witness statements, and appointment instruments.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 972, 1204, 1207, 3722; and Title 37 U.S.C., Section 802.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information collected will be used within DA for making a line of duty determination.

Information may be used as a basis for denying certain active military benefits and pay and allowances.

May be provided to Veterans Administration or other government agencies, to include state agencies, for a determination of the service member's entitlements to benefits.

May be used as a basis for determining facts and circumstances concerning service member's injuries in correspondence to members of the United States House of Representatives and Senate.

Will be provided to the service member or next-of-kin in cases of deceased or mentally incompetent personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of service member.

Safeguards:

Records are maintained in metal file cabinets accessible only to authorized personnel who are instructed in the permissible use of the information.

Retention and disposal:

Original: Permanently maintained as a part of service member's Official Military Personnel File (OMPF). For active duty personnel: Enlisted personnel file is maintained at Enlisted Records Center (AGPE), Ft Benjamin Harrison, IN 46249; Officer personnel file is maintained at Headquarters, Department of the Army (HQDA), Military Personnel Center, Hoffman Building II, Alexandria, VA 22332. For United States (US) Army Reserve Personnel: US Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St Louis, MO 63132. Upon separation of service member (officer and enlisted), file is transferred to the National Personnel Records Center (NPRC) (Military), 9700 Page Boulevard, St Louis, MO 63132. Copies filed in offices of investigating officer, unit commander, appointing authority, and final reviewing authority are destroyed after 5 years.

System manager(s) and address:

The Adjutant General, HQDA, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Commander, US Army Enlisted Records Center, Ft Benjamin Harrison, IN 46249 (for enlisted personnel on active duty); HQDA, ATTN: DAPC-PAR-R, 200 Stovall Street, Alexandria, VA 22332 (for officers on active duty); Commander, USARCPAC, 9700 Page Boulevard, St Louis MO 63132 (for US Army Reserve personnel); NRPC (military), 9700 Page Boulevard, St Louis, MO 63132 (for separated personnel, both enlisted and officer).

Individual must provide name and social security number (SSN) to determine if a record is maintained on him/her. Individual must present positive proof of identification if requesting a personal visit.

Record access procedures:

Requests should be addressed as appropriate to: Commander, US Army Enlisted Records Center (AGPD), Ft Benjamin Harrison, IN 46249; HQDA (DAPC-PAR-R),Alexandria, VA 22332; Commander, USARCPAC (AGUZ-SAD), St Louis, MO 63132; NPRC (Military), 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain the full name of the service member, SSN, and Army service number if known.

For personal visits, individual should be able to provide information which can be verified with the OMPF, and a valid identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Medical Records
DA Form 2173
Commander in Continental United States Army or overseas Army installation assigned responsibility for the geographic area in which an injury occurs.
Personnel Records Jacket.
Official Military Personnel File.
Witness statements.

Systems exempted from certain provisions of the act:

None

A0708.19aOSA

System name:

708.19 Correction Case Folders

System location:

Department of the Army Military Review Boards Agency, Army Board for the Correction of Military Records (ABCMR).

Decentralized segments in United States (US) Army Military Personnel Center, and in individual Official Military Personnel File of the service member.

Categories of individuals covered by the system:

Any member or former member of the US Army who has applied for the correction of his/her military records.

Categories of records in the system:

Records consist of file cards with basic case information and case files containing Board proceedings and related correspondence, hearing transcripts, and action taken by the Board.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ABCMR: To review applicants' military records to issue rulings on merits of applicants' requests for correction of records; to answer inquiries from applicants, counsel, and Members of Congress for reasons of Board's denial of application or status/disposition of applications.

Litigation Division of Judge Advocate General's Office: To assemble information for transmittal to Department of Justice.

Department of Justice: To gather information sufficient to defend cases in court.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files.

Retrievability:

Filed alphabetically by last name of applicant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

File cards are retained permanently.

Case files are permanent. They are retained in active file at least 6 months after the case is closed, held until the end of that calendar year, and subsequently retired to the Washington National Records Center.

System manager(s) and address:

Special Assistant to the Under Secretary of the Army, DA Military Review Boards Agency, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Office, Secretary of the Army
ABCMR
Room 1E512
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-4254

Record access procedures:

Requests from individuals should be addressed to: Office, Secretary of the Army, ABCMR, Room 1E512, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number and Army Service Number if applicable. Visits are limited to the ABCMR The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide acceptable identification such as driver's license, employing office's identification card, including verbal information that can be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

All official Army records, Veterans Administration records and Police and Law Enforcement Agency records.

Systems exempted from certain provisions of the act:

None

A0708.20DAAG

System name:

708.20 Philippine Army Files

System location:

Philippine Army Branch, Special Actions Division, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

US Armed Forces Far East (USAFFE): Applies to those members of the Philippine Commonwealth Army who were inducted for service with USAFFE under the Military Order of the President of the United States dated 26 July 1941.

USAFFE Guerrillas: Applies to Filippinos who served in Guerrilla units officially recognized and listed in the Recognized Philippine Guerrilla Rosters.

Categories of records in the system:

Individual military personnel file contains enlistment papers, orders inducting individual into USAFFE service, soldier's qualification card, unit orders of assignment, efficiency rating sheets, pay vouchers or receipts, affidavits and certificates, service records, determination of status under the Missing Persons Act.

Authority for maintenance of the system:

Pub. L. 490-77, 7 May 1942.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Veterans Administration (VA): To certify or verify service with USAFFE or recognized guerrilla units; provide any available medical records or other documents in order to assist in determining benefits.

Department of Justice: To certify or verify service regarding applications for citizenship.

Department of Health, Education and Welfare: To verify type of service which is used to assist in determining eligibility for benefits.

Department of the Army (DA) Staff agencies and commands: To provide information regarding the individuals status, service, and awards in response to requests from the Philippine Goverment to include Embassy and military attaches; to review policies and procedures.

Department of State: To provide statement of service or verification of type of service performed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Individual military personnel file; paper records in file folders.

Retrievability:

Filed alphabetically by name; identified by name, service number, VA claim number, units assigned to during period of service in question, names of parents, birth date and place, name of spouse and children if applicable. Due to similarity of names complete file must be screened to determine correct individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Building is secured through 24 hour guard service. Entry to building is by authorized badge only.

Retention and disposal:

Records are permanent. Remain as active file and are not retired.

System manager(s) and address:

The Secretary of the Army, The Pentagon, Washington, DC 20310;
Commander, USARCPAC, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander USARCPAC.
ATTN: AGUZ-SAD-PA
St Louis, MO 63132
Telephone: Area Code 314/268-7359

Record access procedures:

Requests from individuals should be addressed to: Commander, USARCPAC, ATTN: AGUZ-SAD-PA, 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain the full name of the individual, service number, VA claim number if applicable, and name and/or number of the unit assigned to during the period of service.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Commander, USARCPAC.

Record source categories:

Military record compiled during service of each individual who served with the Philippine Commonwealth Army and or/the US Armed Forces Far East prior to 7 December 1941 up to August 1945. Entire record file transferred from the Philippines to the US Army in 1951. Nothing has been added to the files other than current copies of papers concerning the service in question.

Systems exempted from certain provisions of the act:

None

A0708.21aTRADOC

System name:

708.21 MASSTER Personnel Information System

System location:

Office of the Deputy Chief of Staff, Resource Management, Military Personnel Branch, Headquarters Modern Army Selected Systems Test Evaluation Review (MASSTER), ATMAS-RM-PM, Ft Hood, TX 76544.

Categories of individuals covered by the system:

Officers, Warrant Officers, enlisted personnel, and Department of the Army civilians currently assigned or attached to HQ MASSTER

Categories of records in the system:

Files contain automated records on individuals to include first and last name, middle initial, social security number (SSN); rank or grade and step; control specialty; date of rank; basic pay entry date; component; branch; date assigned to MASSTER; flight status; Primary Military Occupational Specialty/General Schedule Series; organization location by paragraph and line number; office phone; liaison office; marital status; spouse; home phone; present address; city code; legal residence; loss code and date; special qualifications; highest military schooling; latest evaluation date; source of commission; civil-

ian education level and major; background experience; language code; additionally awarded Military Occupational Specialties.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide Commander, MASSTER with the ability to effectively manage personnel resources by furnishing real time information pertaining to individuals' qualifications and status through use of the following rosters: alphabetical qualification, officers by branch, Majors and higher, all personnel by grade and birthdate, Military Occupational Specialty, military personnel by the city in which they live, slotting and departing personnel; organizational directory, and telephone directory of GS-7's and above. Data provides bases for reports generated on an 'as required' basis in response to specific management queries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disk.

Retrievability:

SSN.

Safeguards:

Automated media protected by authorized password system for access terminals, controlled access to operation rooms, and restricted output distribution.

Retention and disposal:

Records destroyed upon departure of person.

System manager(s) and address:

Chief, Military Personnel Branch, ATMAS-RM-PM, Ft Hood, TX 76544.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Information may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in AR 340-21.

Record source categories:

Individual interviewed, Military Personnel Records, and Employee Record Cards.

Systems exempted from certain provisions of the act:

None

A0708.21bDACA

System name:

Statement of Employment Files

System location:

Retired Pay Operations, US Army Finance and Accounting Center (USAFAC), Indianapolis, IN 46249.

Categories of individuals covered by the system:

United States Regular Army officers and warrant officers retired from Active Army service.

Categories of records in the system:

File contains all data concerning his employment to include employer's name, address, product employer sells or offers for sale, individual's position with company and his duties and other related correspondence concerning his employment.

Authority for maintenance of the system:

Executive Order 11222, Prescribing Standards of Ethical Conduct for Government Officers and Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To obtain information concerning employment of Regular Army officers and warrant officers who are retired from active military service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By social security number (SSN) and name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel. Building is secured through 24 hour guard service. Entry to building is by authorized badge only.

Retention and disposal:

Records are retained until officer or warrant officer is deceased.

System manager(s) and address:

Commander, USAFAC, Indianapolis, IN 46249.

Notification procedure:

Information may be obtained from:

Commander
US Army Finance and Accounting Center
ATTN: FINCM
Indianapolis, IN 46249
Telephone: Area Code 317/542-3911; 800/428-2290

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, office symbol that appears on all correspondence from this Center and form number of Form Letter (FL) that may be in bottom of left corner of correspondence from this Center.

For personal visits, the individual should be able to provide some acceptable identification, that is, identification card, driver's license, employing officer identification card, and give some verbal information that could be verified from his employment statement.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Completed form from individual, correspondence from employing agency.

Systems exempted from certain provisions of the act:

None.

A0709.01aDAPE

System name:

709.01 United States Military Academy Candidate Files

System location:

Primary system: Office of the Director of Admissions and Registrar, MAAR-R, United States Military Academy (USMA).

Decentralized Segment: Instruction Support and Information System Division, Office of the Dean, USMA.

Categories of individuals covered by the system:

Potential and actual candidates of the USMA for the current and previous 2 years.

Categories of records in the system:

Candidate Activities Record (Department of Defense (DD) Form 1868); Prospective Candidate Questionnaire, DD Form 1908; Interview Sheets; Evaluation by Director of Intercollegiate Athletics; School Official's Evaluation, DD Form 1869; Employer's Evaluation of Candidate, USMA Form 5-518; Scholastic Aptitude Exam Scores; American College Testing Program Scores; Request for Secondary School Transcript, DD Form 1875; High School Transcript; College Transcript; Physical Aptitude Exam; Candidate Summary Sheets; Nomination Letter; Progress Report 5-413; Selection Letter; Naturalization Papers; Adoption Papers; Birth Certificate; Statement of Consent; OATH 5-50; Special Orders; all correspondence to, from and about candidate; Personal Data Record (DD Form 1867).

Authority for maintenance of the system:

Title 10 U.S.C., Sections 4331, 4332, 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director of Admissions and Registrar: to evaluate a candidate's academic, leadership, and physical aptitude potential for the USMA; to assist candidates in the completion of their file; to counsel candidates in their potential for USMA.

Office of the Dean: to evaluate an admitted candidate's academic potential

Office of the Director of Intercollegiate Athletics: to evaluate a candidate's intercollegiate athletic potential.

Director of Institutional Research: to assist the Director of Admissions in evaluating current admissions procedures and recommend changes in admissions procedures.

Members of Congress, Washington, DC: to aid them in the selection of candidates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are maintained in file folder. Selected items of information are on computer printouts and magnetic disks.

Retrievability:

File folders are filed alphabetically by last name of candidate. Computer printouts are printed alphabetically by source of nomination, current status, and special categories.

Safeguards:

File folders and computer printouts stored in a room in which authorized representative is always present during working hours. After working hours the room is locked with restricted access to appropriate personnel. Records are accessible only to authorized personnel. Magnetic disks are protected by a user identification and password convention.

Retention and disposal:

Admitted candidates: Records are transferred to the office of the Dean in August of each year. Other candidates: Records are maintained in the Admissions Office for 2 years and then transferred to Records Holding Area for 2 years after which they are destroyed.

System manager(s) and address:

Director of Admissions and Registrar, USMA.

Notification procedure:

Information can be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Transcripts from secondary and post secondary schools; faculty evaluations; employer evaluations; military supervisor evaluation; medical information from the Department of Defense Medical Review Board; interviews from Admissions Participants; American College Testing Program; Educational Testing Service; Director of Intercollegiate Athletics; Members of Congress.

Systems exempted from certain provisions of the act:

All portions of this system are exempt pursuant to 5 U.S.C. 552a(k)(5), (6), or (7). Publication of rules is set forth in 32 CFR Part 505.

A0709.03aDAPE

System name:

709.03 United States Military Academy Cadet Files

System location:

Graduates and Ex-cadets-Cadet Records Branch, Office of the Dean, United States (US) Military Academy (USMA), West Point, NY 10996.

Enrolled Cadets: Academic and Admissions Record;Office of the Dean, USMA, West Point; Military Record: Commandant of Cadets, USMA; Health Record: Commander, Medical Department Activity, West Point, NY 10996.

Categories of individuals covered by the system:

Complete file on any individual who was admitted as a cadet to the USMA from 1966 to the present and academic transcripts for others.

Categories of records in the system:

File contains (1) documents used to evaluate candidates for admission to the USMA, (2) academic performance documents to include the official transcript of courses taken and completed, (3) military performance documents to include ratings by supervisors, (4) health records not included in the officer's medical file upon commissioning, (5) evaluations prepared at the request of the individual concerned to support application for further schooling or employment.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Graduates and ex-cadets: Reproduction and dispatch of transcripts as directed by the individual concerned; preparation of letters of evaluation; research as appropriate.

Enrolled cadets: Office of the Dean: To maintain admissions information, course enrollment records and grades achieved; Commandant of Cadets: To document the military performance of cadets to support a decision regarding their potential for service as an officer of the Regular Army; Commander, Medical Department Activity: To document the state of health of each cadet. The information may be used to determine medical suitability for commissioning and/or to substantiate future claims for physical disability.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by graduating class by last name in alphabetical sequence.

Safeguards:

Stored in a room whose access during business hours is only through the Chief, Records Branch. After business hours, the storage room is secured by two separate locked doors. Records are accessible only to authorized personnel.

Retention and disposal:

Records are permanent. Commencing with the USMA Class of 1970, the records are maintained by the Office of the Dean. After 30 years, they are transferred to the USMA Archives.

System manager(s) and address:

Graduates and Ex-Cadets: Director, Operations Division, Office of the Dean, West Point, NY 10996.

Enrolled Cadets: Academic and Admissions Information; Director, Operations Division, Office of the Dean, USMA, West Point, NY 10996; Military Information: Commandant of Cadets, USMA, West Point, NY 10996; Health Information: Commander, Medical Department Activity, West Point NY 10996.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to the SYSMANAGER.

Requests should contain the USMA class and the name of the individual about whom information is requested.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Transcripts from secondary and post secondary schools; faculty evaluations; evaluations from military supervisors; forms and letters required for administration; grades awarded by the heads of academic departments; health records resulting from routine examination or illness; copies of letters of evaluation prepared subsequent to graduation or separation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a, Section (j) or (k), as applicable. For additional information contact the SYSMANAGER.

A0709.03bDAPE

System name:

709.03 United States Corps of Cadets Personnel Records

System location:

Enrolled Cadets: (1) Cadet Personnel Branch, S-1 Division, Department of Tactics, United States (US) Military Academy (USMA), West Point, NY 10996, or (2) Headquarters, 1st, 2nd, 3d, or 4th Regiment, US Corps of Cadets, West Point, NY 10996.

Categories of individuals covered by the system:

Complete military file on any individual who is enrolled as a cadet in a class currently in attendance at the USMA.

Categories of records in the system:

File contains military performance documents to include interviews and ratings by supervisors.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document the military performance of cadets to support a decision regarding their potential for service as officers of the Regular Army.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

V 44 DE 17 79 UMI

Paper records in file folders

Retrievability:

Filed by Regiment, by Company, by class year, by last name in alphabetical sequence.

Safeguards:

Stored in a room having access during business hours through each Regimental Administration Office. After business hours the room is secured by single locked doors. Records are accessible only to authorized personnel.

Retention and disposal:

Records are maintained until class graduation, then screened and purged of excess documents and transferred to the office of the Dean. Purged files are incorporated in the records system designated US Military Cadet files.

System manager(s) and address:

Commandant of Cadets, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from SYSMANAGER

Record access procedures:

Requests should be addressed to the SYSMANAGER and should contain the class and the name of the individual.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Forms and letters required for administration; Leadership System Evaluations from peers, cadets and military supervisors; grades, reports and evaluations awarded by the heads of physical education and academic departments; cadet conduct records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the System Manager.

A0709.03cDAPE

System name:

709.03 Admissions and Registrar Mailback Card

System location:

Primary system: Office of the Director of Admissions and Registrar, MAAR-C, United States Military Academy, (USMA) West Point, NY 10996.

Decentralized Segment: Instruction Support and Information System Division, Office of the Dean, USMA, West Point, NY 10996.

Categories of individuals covered by the system:

Potential candidates for the USMA and other individuals who have requested entrance information, to include the catalog.

Categories of records in the system:

File contains name, address and social security number (SSN) of potential candidates, types of material dispatched to potential cadets, and the sequential number assigned to the request from the individual.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 4331, 4332, 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director of Admissions and Registrar: to generate mailing labels, check for duplicate information requests, provide accumulative statistics on the progress of Admissions programs and provide inquiry data to the Admissions field force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data are stored on magnetic disks and computer printouts.

Retrievability:

Retrieved by name and/or SSN.

Safeguards:

Computer file magnetic disks are protected by a user identification and password convention.

Retention and disposal:

Following candidate admission cycle, magnetic disk file records will be purged of all entries showing a high school graduation date equal to or less than the high school graduation date of the newly entering plebe class.

System manager(s) and address:

Director of Admissions and Registrar, USMA, West Point, NY 10996.

Notification procedure:

Information can be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

All personal information is provided by the individual on mailback cards, letter, or telephone inquiry.

Systems exempted from certain provisions of the act:

None

A0709.05aDAPE

System name:

709.05 Physical Profile

System location:

Office of Physical Education, Building 735, Room 4954, West Point, NY 10996.

Categories of individuals covered by the system:

All members of the Corps of Cadets.

Categories of records in the system:

File contains information on each cadet's performance in Office of Physical Education related activities and concerns: (1) activity grades; (2) test grades; (3) athletic participation record; (4) pre-West Point athletic participation records; (5) physical aptitude exam score; (6) physical aptitude exam order of merit; (7) swimming ability classification; (8) date survival swimming passed; (9) instructor training grade; (10) number of pull-ups able to perform on day of entrance to the Academy; (11) weight at day or entrance; (12) results of bimonthly survey during fourth class year of pull-up ability and total body weight; (13) year-end order of merit standing in physical education; (14) year-end grade average in physical education; (15) size of the cadet's high school graduating class; and (16) appropriate remarks concerning nongraded participation, medical problems, physical test failures, and any other pertinent information relating to an individual's physical performance.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Tactics: To provide a record of the physical ability of each cadet; to provide a basis to monitor the progress in physical ability improvement of each cadet; and to provide a basis for ongoing evaluation and counseling of each cadet.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file notebooks.

Retrievability:

Filed alphabetically by last name of cadet, by cadet class, by company.

Safeguards:

Records are maintained in areas accessible only to authorized personnel; records are locked up overnight.

Retention and disposal:

Records are kept in the active file for each cadet until his class graduates; held 1 additional year in inactive file and subsequently destroyed.

System manager(s) and address:

Director, Office of Physical Education.

Notification procedure:

All requests for information should contain the full name of the individual, current address, graduating class, and cadet company.

Record access procedures:

For personal visits, the individual should be able to provide some acceptable identification, e.g., driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Entrance application and related forms from the individual; faculty evaluations; testing results; and course grade results.

Systems exempted from certain provisions of the act:

None

A0709.06aDAPE

System name:

709.06 Alumni Affairs and Gifts Program Division Donor Data Sys.

System location:

Adjutant General (AG) Data Processing Branch, AG Division, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Any individual or organization that has made a contribution to the West Point Fund.

Categories of records in the system:

File contains dates, amounts, types and purposes for which contributions were made to the West Point Fund. The file records the donor's military or civilian status, name, address and an identifying number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a permanent historical record of contributions to the West Point Fund; to identify the type of fund-raising appeal which is most successful, and to identify possible future contributors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disk

Retrievability:

Filed by individual's identifying number.

Safeguards:

Computer disk is maintained in a vault when not being used. Disk is maintained in an area accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Chief, Alumni Affairs and Gifts Program Division, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from the Chief, Alumni Affairs and Gifts Program Division, USMA, West Point, NY 10996.

Record access procedures:

Requests from individuals should be addressed to the Chief, Alumni Affairs and Gifts Program Division, USMA, West Point, NY 10996.

Contesting record procedures:

The Army's rules for contesting contents of records and appealing initial determinations may be obtained from the Chief, Alumni Affairs and Gifts Program Division, USMA, West Point, NY 10996.

Record source categories:

Correspondence originating with the donor and biographical information maintained by the Association of Graduates, West Point, NY 10996.

Systems exempted from certain provisions of the act:

None

A0709.07aDAPE

System name:

709.07 Cadet Academic Management Information System

System location:

Academic Computer Center, Instruction Support & Information Systems Division, Office of the Dean, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

An integrated record on any individual who (1) was admitted as a cadet to the USMA for the Class of 1973 and later; (2) was an exchange student to the USMA and received academic credit for the academic year 1975 - 1976 or later.

Categories of records in the system:

Integrated Record contains (1) a subset of the information used to evaluate candidates for admission to the USMA; (2) academic performance information; (3) a subset of the military performance information used to evaluate leadership potential; (4) blood type; (5) biographical information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To support the academic and military administration of the Corps of Cadets; to support research as appropriate.

Academic User (Office of the Dean of the Academic Board): to administer the academic program, to maintain academic grades, and to provide data to evaluate academic performance of the Corps of Cadets.

Military User (Commandant of Cadets): to administer the physical education, military training education, and leadership potential grades; to provide data to evaluate the physical, military and leadership performance of the Corps of Cadets.

Research User: to research and evaluate characteristics of the Corps of Cadets as directed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes.

Retrievability:

Filed by academic course, graduating class, cadet company assignment, or cadet seven-digit identification number.

Safeguards:

Computer files are stored and safeguarded in accordance with Army Regulations 18-7 and 18-23. Records are accessible only to authorized USMA agencies in accordance with USMA Regulation 18-2, Management Information Systems - Cadet Integrated Record.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Academic Information: Dean of the Academic Board, ATTN: MADN-1, USMA, West Point, NY 10996.

Military Information: Commandant of Cadets, ATTN: MACC-B, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to the SYSMANAGER.

Requests should contain (1) the USMA class and the full name of the individual for graduates and ex-cadets; (2) the academic year of attendance and full name of exchange students.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Records used in the admissions process; examinations used in academic placement; evaluations from military supervisors; faculty evaluations; grades awarded by the heads of academic departments; information required for administration; health records.

Systems exempted from certain provisions of the act:

None

A0709.08aDAPE

System name:

709.08 Cadet Counseling File

System location:

Cadet Counseling Center, Office of Military Leadership, Department of Tactics, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

Counseling file on any individual who is enrolled as a cadet in a class currently in attendance at the USMA.

Categories of records in the system:

File contains comments by officer conducting interviews or discussion with cadet, with other cadets, or with the officer's superiors.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document case history of cadets using the services of the counseling center.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by Class Year by last name in alphabetical sequence.

Safeguards:

Stored in a room with controlled access during business hours. After business hours, the room is secured by single locked doors. Records are accessible only to authorized personnel.

Retention and disposal:

Records are maintained until 1 year after cadet departs West Point; then destroyed.

System manager(s) and address:

Commandant of Cadets, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER and should contain the USMA class and the name of the individual.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Forms and letters required for administration; cadets and military supervisors; and cadet interviews.

Systems exempted from certain provisions of the act:

None

A0709.09aDAPE

System name:

709.09 Biographical Card File

System location:

Decentralized Segments: S1/S3, United States Corps of Cadets and Headquarters, 1st, 2d, 3d, and 4th Regiments, United States Corps of Cadets; and Offices of Military Instruction, Military Leadership, and Physical Education, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

All officers, warrant officers, senior enlisted and key civilian personnel assigned to the Department of Tactics, USMA.

Categories of records in the system:

File contains the following information: name, nickname, grade, branch, social security number (SSN), place and date of birth, date of rank, year group, date arrived at West Point on current tour, present assignment, duty phone, wife's name, children's names and dates of birth, quarters number and phone, permanent home address, civilian and military schools attended, combat experience, decorations and service medals, record of principal duty assignments, and a picture of the individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to make special action assignments, prepare invitation lists for social functions, compile official manning rosters, and prepare biographical sketches for key personnel briefings. Data are not released to agencies other than staff and faculty of the USMA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards filed in metal/wooden boxes.

Retrievability:

Filed by subagency by last name in alphabetical sequence.

Safeguards:

Stored in a room with controlled access during business hours. After duty hours the room is secured by single locked doors. Records are accessible only to authorized personnel.

Retention and disposal:

Records are destroyed upon departure of individual.

System manager(s) and address:

Commandant of Cadets, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER.

For personal visits, individual must present acceptable identification (e.g., driver's license, military driver's license, etc.) and furnish verbal information which can be verified from his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Records are obtained from the individual concerned, Department of the Army organizations, and other Department of Defense organizations, and agencies of Federal, state, and local governments.

Systems exempted from certain provisions of the act:

None

A0709.10aDAPE

System name:

709.10 Athletic Pointer File

System location:

Admission Support Office, Office of the Director of Intercollegiate Athletics, United States Military Academy (USMA).

Categories of individuals covered by the system:

Friends of the USMA who assist in the recruitment of student athletes.

Categories of records in the system:

Record contains name and address of supporters of the USMA who assist the Director of Intercollegiate Athletics in identifying athletes.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide mailing labels and address listing of Pointers for Office of the Director of Intercollegiate Athletics, USMA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punch cards in file cabinets.

Retrievability:

Filed alphabetically by last name of Pointer.

Safeguards:

Records are maintained in an area accessible only to authorized personnel employed by the Admission Support Office, Office of the Director of Intercollegiate Athletics USMA. Records are stored in file cabinets in locked storage room.

Retention and disposal:

Records are retained until individual is no longer active in program.

System manager(s) and address:

Assistant Director of Intercollegiate Athletics for Recruiting, Office of the Director of Intercollegiate Athletics, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from:
Admission Support Office
Office of the Director of Intercollegiate
Athletics
USMA
West Point, NY 10996
Telephone: Area Code 914/938-2325

Record access procedures:

Request from individual should be addressed to: Admission Support Office, Office of the Director of Intercollegiate Athletics, USMA, West Point, NY 10996.

Written request for information should contain full name of individual and current address.

For personal visit, the individual should be able to provide acceptable identification and driver's license.

Contesting record procedures:

The Army's rule for access to records, for contesting contents and appealing initial determination may be obtained from the Director of Intercollegiate Athletics, USMA, West Point, New York 10996.

Record source categories:

Individual's request to participate in program.

Systems exempted from certain provisions of the act:

None

A0709.11aDAPE

System name:

709.11 United STates Military Academy Cadet Record Card,

System location:

United States Military Academy (USMA) Archives, West Point, NY 10996.

Categories of individuals covered by the system:

Individuals admitted to USMA as cadets during the period 1802 to 1965.

Categories of records in the system:

Card contains class year, date of admission, age at date of admission, legal residence, date and place of birth, source of appointment, name and address of parent or guardian, order of general merit for each academic year and at graduation, date of graduation, branch in which commissioned, Cullum number, and remarks relating to separation (e.g., for physical disability or academic deficiency) and readmission.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cards are a basic biographical and historical summary of a cadet's tenure at the USMA. They are a source of conveniently available information which eliminates a time-consuming search through numerous other series of official records.

Used by members of the archives or library staff for special studies, expedient replies to historical, biographical, and genealogical inquiries, and confirmation of attendance at the USMA; cadets and faculty members conducting geographic, social, or demographic studies on the background of cadets admitted or graduated; other USMA staff agencies, such as the Office of Institutional Research or the Office of the Dean, engaged in officially sanctioned projects or functions; investigators from the Federal Bureau of Investigation, United States Civil Service Commission, or the Department of Defense conducting records checks on former cadets; the Association of Graduates, USMA, and the Army Athletic Association to determine eligibility of former cadets applying for membership; and scholars and historians conducting research on former cadets or private citizens seeking information on their forebears.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards.

Retrievability:

Filed alphabetically by surname of cadet.

Safeguards:

Cards are maintained in steel cabinets in the Archives office and are under the observation of staff members from 8:00 A.M. to 4:30 P.M. Monday through Friday. Room is locked during non-duty hours. Only authorized personnel and properly screened visitors are allowed access to or use of the cards.

Retention and disposal:

Records are permanent and will remain in the Archives Office.

System manager(s) and address:

Chief, USMA Archives, West Point, NY 10996.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Written requests should be addressed to the SYSMANAGER and should include the full name of the individual and the approximate dates of his attendance at USMA.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

For cadets in the Classes of 1920 through 1969, the primary sources of information are various documents in the USMA cadet's personnel file, supplemented by publications such as the Register of Graduates and Former Cadets of the USMA, post orders, and the Official Register of Officers and Cadets. Information on earlier cadets has been obtained from the latter source and other registers, lists, books, and academic records formerly maintained by the Adjutant, USMA.

Systems exempted from certain provisions of the act:

None

A0709.12aDAPE

System name:

709.12a USMA Admissions Participant Roster and File

System location:

Primary system: Office of the Director of Admissions and Registrar, MAAR-R, United States Military Academy (USMA), West Point, NY 10996.

Decentralized segment: Instruction Support and Information System Division, Office of the Dean, USMA, West Point, NY 10996.

Categories of individuals covered by the system:

Admissions Participants (USMA recruiter contacts) including active and inactive, actual and potential, in following general categories: USMA Reserve Liaison Officers currently attached to Admissions, USMA; USMA graduate volunteers; USMA Admissions contacts at United States (US) Army Installations/Agencies/Activities worldwide; USMA alumni organi- zations; secondary school educators who have visited USMA under Educator Visit Program; Association of the US Army Presidents and applicants for Reserve Liaison Officer positions; Members of Congress; and Congressional Staff Assistants dealing directly with USMA applicants.

Categories of records in the system:

Admissions Participant Roster and Admissions Participant files include the names, addresses and telephone numbers of active and inactive USMA admissions contacts and correspondence reference USMA Admissions recruiting activities. Con- gressional file includes current mailing address (Washington and local office) of all current Members, including Staff Assistants' names and office telephone numbers, and all Admissions related Congressional correspondence. A subsystem Admissions Participant mailing list entitled, 'Educator Visitors' includes the name and school address of visitors to USMA under the Admissions Educator Visit Program. Applications from US Army Reservists seeking a position as USMA Reserve Liaison Officer include name, address, SSN, telephone number and resumes which are periodically reviewed for position selection.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 4331, 4332, 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Active Admissions Participants, to include each Member of the US Congress and educators who have visited the USMA under the 'USMA Admissions Educator Visit Program', receive informational Admissions mail- ings concerning present USMA Admissions policy and procedures from the Admissions Participant mailing list. USMA appli- cants are referred to Admissions Participants who render advice and assistance in regard to West Point's admission process. US Army Reservists' applications for USMA Liaison Officer positions are maintained and reviewed at Admissions, USMA, to fill nationwide position vacancies as they occur. A correspondence file is maintained for each active Admissions Participant containing file copies of all correspondence related to the Admissions Participant's activity in support of West Point programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are maintained in file folders. Selected items of information (name, address, telephone numbers, organization) are maintained on completed paper printouts, magnetic disks, magnetic tape for all active Admissions

Retrievability:

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File folders and computer printouts are maintained by name in State and ZIP Code sequence.

Safeguards:

File folders and computer printouts stored in room where Admissions Officers are always present during working hours. After working hours, rooms are locked. Access to the building is limited during non-duty hours. Records are accessible only to authorized personnel. Computer file magnetic disks are protected by a user identifi- cation and password convention.

Retention and disposal:

Files are under continuous review for additions and deletions. Once a file is deleted, all related correspondence is destroyed.

System manager(s) and address:

Director of Admissions and Registrar, USMA, West Point, NY 10996.

Notification procedure:

Information can be obtained from:
Director of Admissions and Registrar
USMA
West Point, NY 10996
Telephone: Area Code 914/938-4041

Record access procedures:

Requests should be addressed to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

As submitted by individual Admissions Participant volunteers; Congressional information from public record; US Army published orders appointing USMA Candidate Advisory Officers; resumes submitted by US Army Reservists.

Systems exempted from certain provisions of the act:

None

A0710.02DAJA

System name:

710.02 JAGC Reserve Components Officer Personnel Records

System location:

Reserve Affairs Department (Room 232), The Judge Advocate General's School, United States Army (TJAGSA), Charlottesville, VA 22901.

Computer Center, University of Virginia, Charlottesville, VA 22901.

Categories of individuals covered by the system:

All Judge Advocate General Corps (JAGC) United States Army Reserve and National Guard officers, not serving on extended active duty; and officers seeking appointment, branch transfer, or Federal Recognition to the JAGC without concurrent call to active duty.

Categories of records in the system:

Data bank includes individual officer's name, social security number (SSN), home and business addresses, home and business telephone numbers, grade, promotion eligibility date, primary military occupational specialty, date of birth, sex, basic date of mandatory removal, educational courses taken, unit assignment and unit address, employer, job title, specialty, and awards.

Personnel file contains such documents as application for appointment, active duty training, constructive credit, mobilization designee (MOBDES) position, and related matters dealing with educational courses completed; correspondence between Reserve Affairs Department personnel and the individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275(a) and regulations promulgated thereto.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Career Management: To schedule JAGC reserve officer training; select officers for reserve unit command positions; identify individual reservists in need of training; determine mandatory retirement dates; provide full background information on individuals applying for MOBDES positions, constructive credit by The Judge Advocate General for portions of a judge advocate course, and/or Active Duty for Training; to document background of applicants for appointment in the JAGC or branch transfer to JAGC consistent with prerequisites required for type of appointment/branch transfer and to establish eligibility for appointment/branch transfer.

Communications: To maintain current and complete address and telephone listings to insure that each officer can be quickly and reliably contacted.

Manpower Management: To forecast field grade officer requirements and the number of officers required to fill positions vacated by officers transferred to the Retired Reserve; to provide aggregate statistical reports to other Department of the Army elements for analysis of Total Force and mobilization readiness.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; automated records on magnetic tape.

Retrievability:

Alphabetically by last name and SSN.

Safeguards:

Records maintained in areas where authorized personnel work. During non-duty hours files and office doors are secured.

Computer records maintained in computer building in areas accessible only to authorized personnel; system entry by password.

Retention and disposal:

Records are maintained until individual officer retires from Reserve Component. They are then placed in inactive file for two years after which they are destroyed.

System manager(s) and address: Director, Reserve Affairs Department, The Judge Advocate General's School, U.S. Army, Charlottesville, VA 22901.

Notification procedure:

Information may be obtained from:
Director, Reserve Affairs Department
TJAGSA
Charlottesville, VA 22901

Record access procedures:

Requests from individuals should be addressed to: Director, Reserve Affairs Department, The Judge Advocate General's School, United States Army, Charlottesville, VA 22901.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21, (32 CFR Part 505).

Record source categories:

Individual officer(s) concerned; official personnel documents.

Systems exempted from certain provisions of the act:

None

A0710.08DAAG

System name:

710.08 Career Management Files of Dual Component Personnel.

System location:

Counseling Section, Guidance Branch, Personnel Management and Training Division, Reserve Components Personnel Directorate, and Systems Support Directorate, United States Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

Any reserve or warrant officer on active duty as an enlisted man; any reserve officer on active duty as a Regular Army warrant officer.

Categories of records in the system:

Manual file contains copies of officer evaluation reports, academic reports, officer qualification records, letters of appreciation and commendation, general orders announcing awards, and other documents furnished by individual concerned. Automated file contains name, rank, social security number (SSN), basic pay entry date, promotion eligibility date, mandatory removal date, highest military education completed and current military education being completed.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To advise reserve officers when they will be considered for promotion; what military education must be completed to be eligible for promotion; to determine if officer should be removed for substandard performance of duty; to advise them of eligibility for retirement as either an officer or enlisted man; (Officer evaluation reports are available for review by promotion boards when officers are being considered for promotion); and to advise officers of latest changes in reserve program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, and computer tape.

Retrievability:

Filed alphabetically by last name of officer and SSN.

Safeguards:

Buildings employ security guards. Computer tapes are stored in tape vault. Paper records are stored in filing cabinets with access limited to individuals with a need-to-know.

Retention and disposal:

Records are retained as long as officer remains on active duty. When an officer retires, his career management file is combined with his active Army enlisted file. If officer separated and is still on active duty as enlisted man, his career management file is sent to United States (US) Army Enlisted Records Center, Ft Harrison and combined with his enlisted record.

System manager(s) and address:

Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander, USARCPAC,
9700 Page Boulevard
St. Louis, MO 63132
Telephone: Area Code 314/268-7868 or Autovon 698-7868.

Record access procedures:

Requests from officers should be addressed to: Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain the full name of the officer, current address and SSN. Visits are limited to Guidance Branch, Personnel Management and Training Division, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

For personal visits, the officer must present active Army identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

All material is obtained from elements of the US Army, officer's company commander, military schools completed in residence or by correspondence, copies of general orders.

Systems exempted from certain provisions of the act:

None.

A0710.09DAAG

System name:

710.09 Personnel Management/Action Working Files

System location:

Working files and/or folders are maintained by each of the operating Divisions within the United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St Louis, MO 63132 and, in certain instances, such as mobilization designation assignments, attachments to Reinforcement Training Units or Army National Guard/US Army Reserve Units, in Department of Defense (DOD) elements and military departments and Selective Service Headquarters in order to accomplish administrative actions.

Categories of individuals covered by the system:

Pertains to members of the Individual Ready Reserve (IRR), Standby Reserve, Retired Reserve, unit personnel, and civilians relating to a variety of personnel actions and inquiries concerning Reserve component personnel management and administration.

Categories of records in the system:

Files and/or folders contain varied types of applications; correspondence; orders; pay vouchers; efficiency reports; assignment instructions; replies to correspondence; medical evaluations; request for waiver of disqualifications; grade determinations; approvals or disapprovals of specific actions; flagging actions which preclude completion of favorable personnel actions; computer transcripts; requests for transfer to another Branch, status, or service; claims for pay; and notifications to the individual of personnel actions being processed.

These are all working files/folders which contain information and copies of correspondence pertaining to appointment as US Army Reserve (USAR) commissioned or warrant officers; applications for active duty; assignment instructions for active duty (AD) or Active Duty for Training (ADT); applications for delay or exemption from AD/ADT; requests for branch transfers; requests for award of Military Occupational Specialty; nominations for decorations or awards; selection or nonselection for promotion of commissioned or warrant officers; notifications of removal from an active Reserve status for physical disqualification, nonparticipation, two-time passover for promotion or elimination action; request for grade determinations for enlistment in the USAR; applications for waiver of disqualifications for enlistment in the USAR; request for discharge or voiding of enlistments; requests for transfer to or from the Ready Reserve, Standby Reserve, or Retired Reserve; claims for pay not received while on ADT; request for assignment or attachment to Army National Guard (ARNG)/USAR units, mobilization designation positions or detachments, reinforcement training units, and USAR school student detachments; applications for participation in Army Reserve Logistics Career Program and Foreign Area Officers Program; applications for ADT; and correspondence pertaining to the career management of officers and senior enlisted personnel. Correspondence includes copies or orders; approvals or disapprovals of actions requested by the individual and backup copies of correspondence relating to the specific action; these are reference copies of documents normally filed in the individual's Military Personnel Records Jacket or Official Military Personnel File.

Authority for maintenance of the system:

Title 10 U.S.C., SEction 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Working or reading files are maintained in order for the action element of USARCPAC to respond to written, personal, or telephonic inquiries received from an individual or other government agency. Files maintained in DOD elements, military departments and Selective Service Headquarters are used to insure that administrative actions are accomplished.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files and folders are maintained in 4 drawer file cabinets and card files are maintained in standard card file drawers or IBM card cabinets, as appropriate.

Retrievability:

Filed alphabetically by last name.

Safeguards:

USARCPAC building has security guard at all times. Papers are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Files or folders are maintained for a period of 6 months to 3 years depending on the type of action involved. At the specified time, the file is destroyed.

System manager(s) and address:

Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132. 9700 Page Boulevard, St Louis, MO 63132

Notification procedure:

Information may be obtained from:
Commander, USARCPAC,
ATTN: AGUZ-RCPD
9700 Page Boulevard
St Louis, MO 63132
Telephone: Area Code 314/268-7733

Record access procedures:

Requests from individuals should be addressed to: Commander, USARCPAC, ATTN: AGUZ-RCPD, 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain full name of individual, current address, and telephone number. Visits are limited to Reports and Inquiries Section, Personnel Management and Training Division (AGUZ-PMT-GRI) USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

For personal visits, the individual should be able to provide acceptable identification, i.e., Reserve Identification Card, driver's license, employing office's identification card, and give some verbal information that could be verified from his 'Reading file'.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual/Department of Defense.

Systems exempted from certain provisions of the act:

None

A0710.10DAAG

System name:

710.10 Reserve Personnel Information Reporting System

System location:

Decentralized Segments: Commander, First United States (US) Army, Ft George G. Meade, MD 20755; Commander, Fifth US Army, Ft Sam Houston, TX 78234; Commander, Sixth US Army, Presidio of San Francisco, CA 94129; Commander, US Army Support Command HI, APO San Francisco 96558; Commander, 172d Infantry Brigade Alaska, APO Seattle 98749; Commander-In-Chief US Army Europe, APO NY 09403. Each Army Headquarters maintains the records pertaining to its geographical area.

Centralized User: Systems Support Directorate, US Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

All individuals currently assigned to a US Army Reserve (USAR) Unit.

Categories of records in the system:

File contains: Identification data, including name, social security number (SSN); current assignment data including unit identification code grade and occupational specialty; retirement data, including number of retirement points and years of satisfactory military service; and other selected data which serve in the administration and reporting of the individual, including security clearance, date entered military service, date of last promotion, date military obligation expires, sex, race and civilian occupation.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained at each Army Command Headquarters for the administration of USAR unit personnel. Administration includes control of promotions, transfers and other day-to-day actions in addition to maintaining unit readiness which includes identifying training needs and assuring that needs are filled on a continuing basis.

A copy of each Army file is sent to USARCPAC on a monthly basis for reporting purposes. Statistical reports are prepared at USARCPAC for use by various Department of the Army (DA) and Department of Defense (DOD) Staff Agencies. The main users of this report are: The Office of Chief, Army Reserve; Headquarters, US Army Forces Command; Headquarters, Continental US Armies, Office of the Chief of Chaplains, and Office of the Deputy Chief of Staff for Personnel (DCSPER). Uses include: strength accounting, budgeting, readiness in case of mobilization of reserve units, and forecasting of future needs based upon expected attrition. In addition, the Command Involvement Program (CIP) computer system inspects the personnel data contained in each record and reports percentage of accuracy and completeness to the unit commander and his superiors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File is stored on computer magnetic tapes and in air- conditioned libraries.

Retrievability:

File is sequenced by SSN. To retrieve an individual's record, an authorized requester must enter SSN, five characters of last name, unit identification code, military personnel class (indicates individual is an officer, warrant officer or enlisted), and a particular code identifying the transaction as a record request.

Safeguards:

Tape files are stored on tape racks in reel number sequence in a restricted library within the computer room complex which is a restricted area. In addition, the building housing the computer room is restricted to authorized personnel.

Retention and disposal:

A record is retained for the duration of the reservist's unit assignment. The current and 2 previous tape files are retained at any given time. Upon creation of a new file, the oldest file is erased.

System manager(s) and address:

DCSPER, The Pentagon, Washington, DC 20310.

Notification procedure:

To ascertain if the tape file contains data on a particular individual, the individual should write or visit the Headquarters of the Continental US Army area in which his/her unit is located.

Record access procedures:

To request access to the information contained on this tape file, the individual should write or visit the Headquarters of the Continental US Army in which his/her unit is located.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from DCSPER (DAPE-PBP), The Pentagon, Washington, DC 20310.

Record source categories:

Data are extracted from the following sources:
Correspondence from Reservist;
National ZIP Code Directory;
DA Form 1383 - Statement of Retirement Points;
Release From Active Duty Orders;
DA Form 873 - Certificate of Clearance and/or Security Determination;
DA Form 1379 - USAR Unit Record of Reserve Training;
Promotion Orders;
Assignment Orders;
Language Proficiency Questionnaire;
DA Form 268 - Report for Suspension of Favorable Personnel Actions;
DA Form 67-7 - US Army Officer Efficiency Report;
DA Form 1506 - Statement of Service;
National Guard Bureau (NGB) Form 23 - Retirement Credits Record;
DD Form 4 - Enlistment Contract Armed Forces of the US;
DD Form 47 - Record of Induction;
DA Form 61 - Application for Appointment;
DA Form 2, 2-1 - Qualification Record;
DA Form 3725 - Army Reserve Status and Address Verification Questionnaire;
Dictionary of Occupational Titles;
DA Form 3726, 3726-1 - Ready Reserve Service Agreement;
DD Form 214 - Armed Forces of the US Report of Transfer or Discharge;
Standard Form (SF) 88 - Report of Medical Examination.

Systems exempted from certain provisions of the act:

None.

A0711.02aDAPE

System name:

711.02 Personnel Research Survey Questionnaire and Test Records

System location:

Army Research Institute (ARI) for the Behavioral and Social Sciences, 1300 Wilson Boulevard, Arlington, VA 22209;

Decentralized Segments: ARI Field Unit Ft Bliss, Building 118, Ft Bliss, TX 79916; United States (US) Army Infantry Human Research Unit, Post Office Box 2086, Ft Benning, GA 31905; ARI Field Unit Ft Hood Hq Modern Army Selected System Test, Evaluation and Review (MASSTER), ATTN: PERI-OH, Ft Hood, TX 76544; ARI Human Research Unit Ft Knox, Building 2423, Ft Knox, KY 40121; ARI Field Unit Ft Leavenworth, USCACDA (ATCACO-RT), Ft Leavenworth, KS 66027; ARI Field Unit Ft Rucker, Post Office Box 476, Ft Rucker, AL 36360; ARI Field Unit Monterey, Post Office Box 5787, Presidio of Monterey, CA 93940; ARI Korea, c/o Army Audit Agency, APO San Francisco 96301; ARI Field Unit US Army Europe (USAREUR), c/o (ODCSPER), HQ USAREUR, APO NY 09403; ARI Liaison Officer, US Army Office, Deputy Chief of Staff for Personnel, Research and Development Group (Europe) Box 15, APO NY 09510.

Categories of individuals covered by the system:

Active duty enlisted, warrant officer, and commissioned officer members of US Army worldwide.

Categories of records in the system:

File contains statistical research questionnaire test and criterion tabulations of items of information obtained directly from the individual respondent/examinee. The record is used for statistical research and reporting purposes only. The data collection is done on a repetitive basis; the file is expanded and reduced in accordance with research requirements.

Authority for maintenance of the system:

Title 10 U.S.C., SEction 4503.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By the Army Research Institute for the Behavioral and Social Sciences for production of scientific and professional reports and research products based upon statistical records that are compatible with the purposes for which the questionnaire/tests were administered.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer data base; punch cards; magnetic tape; computer printouts.

Retrievability:

Information amassed and retrieved by assigned code number.

Safeguards:

Primary System: Building employs security guards and access is limited to authorized personnel. Files are stored in locked containers and access given only to authorized persons.

Safeguards for decentralized segments conform to the same standard as the primary system storage.

Retention and disposal:

Records are temporary; destroyed upon completion of final report.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army; Commander of ARI; Chiefs of ARI Field Units.

Notification procedure:

Information can be obtained from:
Army Research Institute for the Behavioral and Social Sciences
ARI (PERI-P)
Room 270
Commonwealth Building
Arlington, VA 22209
Telephone: Area Code 202/694-3540

Record access procedures:

Requests from individuals should be addressed to Commander of the appropriate ARI.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Directly from the individual.

Systems exempted from certain provisions of the act:

None

A0713.09aTRADOC

System name:

713.09a Skill Qualification Test (SQT)

System location:

a. Headquarters, United States Army Training and Doctrine Command (TRADOC), Ft Monroe, VA 23651: Main computer location and soldier response files.

b. United States Army Training Support Center, Individual Training Evaluation Directorate (ITED): Enlisted Master File and original test forms.

c. Test Control Officers (TCO) at military installations worldwide: Transmittal rosters and source documents for Hands-On Component (HOC) and Performance Certification Component (PCC): (retained 120 days).

d. United States Army Military Personnel Center (MILPERCEN) (Enlisted Evaluation Center: Soldier's SQT scores (DA Form 10a).

e. Supervisory Non-Commissioned Officers (NCOs) at unit level worldwide: SQT Job Books.

Categories of individuals covered by the system:

All active Army and Reserve Component enlisted personnel who take the SQT.

Categories of records in the system:

Soldier response history of answers to SQTs, both individual and cumulative; quarterly analyses of soldier's test results. The Enlisted Master File at ITED contains update listings of name, social security number (SSN), pay grade, primary and secondary military occupational specialties (MOS), and component. File in TCO (located at the soldier's installation) contains name, rank, SSN, and source document for HOC and PCC. SQT Job Book (located at soldier's unit) contains name, rank, and record of individual performance of job tasks conducted in a unit training environment.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ITED, Ft Eustis, VA and Enlisted Records and Evaluation Center, Ft Benjamin Harrison, IN. Individual scores are computed and forwarded to MILPERCEN for entry on DA Form 10a. This score is used to measure a soldier's job proficiency, to determine eligibility for schooling, and eligibility for promotions. SQT Job Books are used by Commanders and NCOs to assess individual and unit proficiency and combat readiness and to identify routine and intensified training needs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; computer magnetic tape, disks and printouts.

Retrievability:

Paper records filed in folders retrieved by processing date and imprinted serial number. Computer magnetic tape and disk retrieved by SSN and name.

Safeguards:

Paper records are filed in folders sorted in a locked room. Magnetic tapes are kept in controlled vault area. Magnetic disks are protected by a user identification and manual controls.

Retention and disposal:

Magnetic tapes are retained 1 year after which data are erased; disks retained for 6 months before data are erased; hard copy is retained for 5 years; then destroyed.

System manager(s) and address:

Commander, United States Army Training Support Center, ATTN: ITED, Ft Eustis, VA 23604.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER. Appropriate identification such as driver's license, is required if request is presented in person; written requests must bear notarized signature of the individual making request to prevent disclosure to unauthorized persons.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

From other Department of Army Staff and Commands in document and computer readable form.

Systems exempted from certain provisions of the act:

All portions of this system are exempt pursuant to Title 5 U.S.C., Section 552a(k)(6). Publication of rules in order to exempt this system is set forth in 32 CFR Part 505.

A0714.02aDAPC

System name:

714.02 Military Personnel Assignment Files

System location:

Primary System: (l) officers: United States Army Military Personnel Center (MILPERCEN), Officer Personnel Directorate, (2) enlisted: USAMILPERCEN, Enlisted Personnel Directorate.

Decentralized Segments: Army commands.

Categories of individuals covered by the system:

Active duty enlisted, warrant officer, and commissioned officer members of the United States (US) Army worldwide.

Categories of records in the system:

File contains letters, forms, statements relating to travel restrictions, dual nationality status, controlled Military Occupational Specialty (MOS) constraints on assignment, Special Forces organization, sole surviving son limitations, compassionate requests, permissive reassignments. Preference for assignment statements, service member/spouse kinship with foreign national considerations, Crimi-

nal Investigation eligibility determinations, initial accession assignment data, conscientious objector statement, application and special orders pertaining to airborne qualification and assignemnt, Army Research Association selection and assignment to Atomic Energy Commission, results of Graduate Record Examination or Aptitude Test for Graduate Studies in Business examinations relating to graduate school selection, nominations for position assignment, biographical sketch supporting assignment as Military Assistance Operations Program positions and (1) letters from service member, (2) documents, and forms originating in departmental/ command assignment officers, (3) correspondence between Department of Navy, US Marine Corps, US Coast Guard, Department of the Air Force, Army Staff offices, and Army Command.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army Staff offices and commands: To document assignment considerations of each service member to assure equity of duty, basis for special assignment, protection of service member and dependents assigned in foreign areas; to insure that service member is not assigned contrary to persona-non-grata status; and related assignment limitations, restrictions, and constraints.

Department of the Navy: To accomplish administration incident to service when Army members are assigned for duty with the Navy, Marine Corps or Coast Guard when the Coast Guard is under operational control of the Navy.

Department of the Air Force: To accomplish administration incident to service when Army members are assigned for duty with the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records maintained in area accessible to authorized personnel engaged in assignment and reassignment actions.

Retention and disposal:

Records are destroyed when superseded by subsequent assignment or, in accordance with scheduled destruction, upon discontinuance or obsolescence.

System manager(s) and address:

United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information for officer personnel may be obtained from:
Headquarters, Department of the Army, (DAPC-OP)
Hoffman Bldg II
200 Stovall Street
Alexandria, VA 22332
Information for enlisted personnel may be obtained from:
Headquarters Department of the Army (DAPC-EP)
Hoffman Bldg II
200 Stovall Street
Alexandria, VA 22332

Record access procedures:

Requests from individuals should be addressed to Headquarters Department of the Army ((DAPC-OP) or DAPC-EP)), 200 Stovall Street, Alexandria, VA 22332, or to Commander of the command in which the service member is assigned for duty.

Written requests for information should contain the full name of the requester, his/her service identification number, branch of service if the requester is an officer; grade, and current address.

Visits may be made to command headquarters, or to the Directorate of Officer Personnel for officer visitors, or the Directorate of Enlisted Personnel for enlisted visitors located in Hoffman Bldg I and II, 200 Stovall Street, Alexandria, VA 22332.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Letters, forms, statements and related forms originating from individual service member; letters, forms, documents originating in assignment offices of United States Army Military Personnel Center or in Army Ccommands.

Systems exempted from certain provisions of the act:

None

A0714.02dDAPC

System name:

714.02 Central Transient Account System (CTAS)

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Active Army Commissioned, Warrant Officers and enlisted personnel in present transient status or within a seven-month period.

Active Army Commissioned, Warrant Officers and enlisted personnel in transient status whose prescribed reporting date has passed and notification of arrival at gaining unit has not been received.

Categories of records in the system:

Name, social security number (SSN), military payment certifi- cate, grade, departure date, prescribed reporting date, leave, temporary duty, losing and gaining data, movement designator code, type transaction, months overseas, appointment, record identification number and processing code.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: Records used for accountability of transient strength, mandays of transient time and individuals dropped from rolls.

Standard Installation/Division Personnel System (SIDPERS): Records are used for tracer action on personnel who have departed old unit but not yet arrived at new unit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disk.

Retrievability:

Records are retrieved by name and/or SSN.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, and personnel clearances.

Retention and disposal:

The active file is retained for 7 months after its initial update, at which time the earlier file is destroyed.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should contain the full name of the requester, SSN, whether active, retired or separated and, if separated, date of separation.

Personal visit may be made to the United States Army Military Personnel Center. Individual should be able to provide acceptable identification including verbal information that can be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from Officer and Enlisted Master Files.

Systems exempted from certain provisions of the act:

None

A0714.02fDAPC

System name:

714.02 Army Military Central Registry System.

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Army officers and enlisted personnel on active duty or separated within the past 4 months. Records on file have been accessed to the Officer and Enlisted Master Files.

Categories of records in the system:

File contains individual's present name and social security number (SSN), previous name and SSN (if applicable), date of birth, sex, race, and financial nomenclature.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army: To validate individual's name, SSN, and date of birth with Social Security Administration records, Baltimore, MD; to validate Joint Uniform Military Pay System Active Army pay file; to furnish Enlisted Records and Evaluation Center with name and SSN changes; to furnish Enlisted and Officer Master Data bases with a verification status SSN code for updating.

Social Security Administration: To insure that individual's Federal Insurance Compensation Act benefits are credited in the correct account.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes.

Retrievability:

Records are retrievable by name and/or SSN.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, and personnel clearances.

Retention and disposal:

Records are retained 1 year after separation.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should contain the full name of the requester, SSN, whether active, retired or separated and, if separated, date of separation.

Personal visits may be made to United States Army Military Personnel Center. Individual should be able to provide acceptable identification including verbal information that can be berified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from Officer and Enlisted Military Personnel Files.

Systems exempted from certain provisions of the act:

None

A0714.04aDAPC

System name:

714.04 Branch Transfer/Detail Files.

System location:

US Army Military Personnel Center (USAMILPERCEN), (DAPC-OP), Washington, DC 22332.

Categories of individuals covered by the system:

Commissioned officers on active duty in the United States Army.

Categories of records in the system:

The categories of information stored include; name, social security number (SSN), grade, service agreement, branch of ser- vice, date of receipt of request for branch transfer and final action (approval/ disapproval).

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army: Records are used for personnel management, strength accounting, and manpower management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders and on cards (Office of Personnel Operations-Officer Personnel Directorate Form 177).

Retrievability:

Access is by name.

Safeguards:

Physical security devices and guards.

Retention and disposal:

Records are retained for 1 year; then destroyed.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: Headquarters, Department of the Army, (HQDA)(DAPC-OP), 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should include the full name, SSN, and current address, and submitted to USAMILPERCEN.

For personal visits, the requester should provide acceptable identification, i.e., military identification card or other identi- fication normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from USAMILPERCEN (DAPC-OP), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from documents, papers, and forms related to branch transfer and branch detail actions.

Systems exempted from certain provisions of the act:

None

A0714.06aHSC

System name:

714.06 Army Medical Department Personnel Management and Manpower Control System

System location:

United States (US) Army Medical Centers: Brooke Army Medical Center, Ft Sam Houston, TX; William Beaumont Army Medical Center, Ft Bliss, TX; Madigan Army Medical Center, Ft Lewis, WA; Letterman Army Medical Center, Presidio of San Francisco, CA; Walter Reed Army Medical Center, Washington, DC; Fitzsimons Army Medical Center, Denver, CO; and Tripler Army Medical Center, Honolulu, HI.

Categories of individuals covered by the system:

All military personnel assigned or attached, and all civilian employees of the organization.

Categories of records in the system:

Military personnel management subsystem contains data extracted from military personnel records and is essentially that data maintained on enlisted and officer master files at Department of the Army (DA) plus selected suspense items such as immunization requirements, efficiency report and periodic photograph submission dates.

Civilian personnel management subsystem contains data extracted from civilian personnel records and is essentially that data maintained in the civilian personnel information system at DA.

Manpower control subsystem contains data to identify authorized military and civilian positions within the organization.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

System is utilized to provide numerous reporting suspense action and general personnel management requirements for the personnel divisions of the medical centers. System provides interface with automated finance, accounting, civilian pay, and leave accounting. System will be closed out following minor modifications in the Standard Installation/Division Personnel System (SIDPERS) and full implementation of the Civilian Personnel Information System (CIV-

PERSINS). Type data generated includes authorized and assigned strengths by grade and military occupational specialty (MOS) with projected losses, notification of individual requirements for immunizations, listing of personnel requiring proficiency testing or eligible for promotion or civilian within-grade increases. It also provides information retrieval of combinations of data elements for special or one-time reports. Examples are listings of: all personnel within a given MOS; all personnel of a given grade; all personnel assigned before or after a given date; all personnel whose expiration of term of service (ETS) occurs before or after a given date; and all personnel not occupying an authorized position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

System uses disk and tape storage.

Retrievability:

Data may be extracted by name, social security number (SSN), military occupational specialty or other element included in the system.

Safeguards:

Records are maintained in secured areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Data are retained in system until departure of the individual; erased from system on reassignment, discharge, separation, retirement or termination of individual's employment.

System manager(s) and address:

Commander, US Army Health Services Command, Ft Sam Houston, TX 78234.

Notification procedure:

Information may be obtained from Director of Personnel at each medical center operating the system. Military or civilian identification card, name, SSN and military or civilian employee status required.

Record access procedures:

Information may be obtained from Director of Personnel at each medical center operating the system. Military or civilian identification card, name, SSN and military or civilian employee status required.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military and civilian personnel records.

Systems exempted from certain provisions of the act:

None

A0714.06cDASG

System name:

AMEDD Personnel Management System

System location:

United States Army Medical Department Personnel Support Agency (USAMEDDPERSA), 1900 Half Street, S.W., Washington, DC 20324.

Categories of individuals covered by the system:

Individuals either applying for commissions in, on active duty as an officer in, or recently released from active duty in one of the six Army Medical Department Corps.

Categories of records in the system:

The categories of information stored include name, social security number, sex, race, date and place of birth, home of record, dependent data, physical profile data, religious preference, ethnic group, citizenship, marital status, personal mailing address, professional qualification data, assignment data, promotion data, education and training data, awards and badges, and incentive pay data.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.; Title 37 U.S.C.; and Executive Order 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army-Used for strength accounting, manpower and budgetary management, recruitment, military service career management of officers to include assignments, promotion, professional development and training, and in the administration of the Variable Incentive Pay Program.

Department of Defense-Used for interdepartmental management regarding medical assets, and development of policies and statistical accounting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tape and disk.

Retrievability:

Normal access is by name, the first data element in the file, with SSN or other individual or group discriminators for positive identification. Computerized indices are utilized in record retrievals.

Safeguards:

Physical security devices, limited access via building guard and personnel clearances will limit computer access to only authorized personnel. Each on-line terminal access or update to the system will be protected through a system of passwords that will restrict each user to specific data elements. Password changes will be made incrementally at the rate of 20 percent per month. System reconstruction procedures provide for two copies of files, programs, and procedures in-house and one copy at an offsite location both updated and maintained in an operational condition.

Retention and disposal:

Records are retained on an active file for three months after separation, and accumulated on an inactive file for five years after separation.

System manager(s) and address:

Commander, United States Army Medical Department Personnel Support Agency, 1900 Half Street, S.W., Washington, DC 20324.

Notification procedure:

Information may be obtained from: Commander, USAMEDDPERSA, 1900 Half Street, S.W., Washington, DC 20324.

Record access procedures:

Requests from individuals should be addressed to: Commander, USAMEDDPERSA, 1900 Half Street, S.W., Washington, DC 20324.

Written requests for information should contain the full name of the individual, SSN, current or former military status, and appropriate return address.

Visits may be made to USAMEDDPERSA. Individual should be able to provide some acceptable identification, and give some verbal information that could be verified with his/her record.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

Data contained in this system of records is obtained in document and computer readable form from the following systems of records: Army Medical Procurement Applicant Files, Officer Master File, Career Management Individual Files, AMEDD Training Application Status Record, Long-Term Civilian Training Student Contract Files, Residency, Subspecialty and Fellowship Training, and US Army Graduate Medical Education Trainee Card File.

Systems exempted from certain provisions of the act:

None.

A0715.01aDAPC

System name:

715.01 Personnel Data Card

System location:

Decentralized: Each active Army unit furnishing personnel and strength data to the Department of the Army (DA).

Categories of individuals covered by the system:

Active duty members of the United States Army (Commissioned, warrant, and enlisted service members).

Categories of records in the system:

File contains a personnel data form (DA Form 2475-2) which includes organization, unit, station, name, social security number (SSN), grade and pay group, blood type, duty assignment, duty phone local address, local phone number, name and address of next-of-kin, home of record, place of birth, awards, military occupational specialty evaluation data, and the unit commander's grade and name. File is augmented by change reports transmitted to higher echelons of the Army to support automated data stored on computer magnetic tapes and discs.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Active Army reporting unit: To account for and maintain data relating to each assigned and/or attached active military person under the military jurisdiction of the company/detachment/Army element for use in personnel management; to support the accounting of and reporting function incident to the maintenance of the Officer Master File (OMF)/ Enlisted Master File (EMF), the Military Personnel Records Jacket file (MPRJ), and the Official Military Personnel File (OMPF).

Department of the Army commands/organizations/elements and staff agencies: To perform relevant military functions/requirements/ action consistent with their respective mission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by name.

Safeguards:

Records filed in areas accessible only to authorized personnel who are trained, cleared, and assigned the functional duty of unit level personnel administration.

Retention and disposal:

Records are retained in the reporting unit for 8 years following the date of the last entry appearing on the individual personnel data card.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from the reporting unit of assignment/attachment of the individual concerned.

Record access procedures:

Request from individual should be addressed to the appropriate military unit.

Written requests for information should contain the full name, grade, service identification number, and unit of assignment/attachment.

Personal visits may be made to the unit of assignment; identification of visitors will be established by suitable military identification or other means normally accepted in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters, Department of the Army, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Enlistment Record (Department of Defense (DD Form 4)); Report of Separation (DD Form 214) for reenlistees; Extention of enlistment (DA Form 1695); Special Orders issued by enlistment/reenlistment authorities; personal information furnished by the individual concerned; documents/records/reports/ forms originated within the reporting unit.

Systems exempted from certain provisions of the act:

None

A0715.06aDAPC

System name:

715.06a Field Military Personnel Information System - SIDPERS

System location:

Each Army installation and other organizational elements maintaining a segment of the Standard Installation/Division Personnel System (SIDPERS). The official mailing addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

All active Army military personnel and personnel attached from the National Guard or United States Army Reserve based upon local option.

Categories of records in the system:

The categories of information stored include: name, social security number (SSN), sex, race, citizenship, status, religious denomination, marital status, number of dependents, date of birth, physical profile, ethnic group, grade and date of rank, term of service for enlisted personnel, service agreement for non-regular officers, service data and dates, unit of assignment, military occupation specialty, additional skill identifiers, civilian military education level, language, assignment eligibility and availability and termination date thereof, security status, special pay and bonus, suspense termination date thereof, suspension of favorable personnel action indicator, Privacy Act disputed record indicator.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army: Records are used for personnel management, strength accounting, and manpower management.

Department of Defense: Records are used for interdepartmental actions and personnel management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disks and computer punch cards.

Retrievability:

Access is by SSN, name, or other individual identifying characteristics.

Safeguards:

Physical security devices, guards, computer hardware and software features, and personnel clearances for individuals working with the system.

Retention and disposal:

Records are destroyed 90 days after the individual is no longer active.

System manager(s) and address:

Commander, US Army Military Personnel Center, (USAMILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from the commander of the organization to which the service member is assigned.

Record access procedures:

Written requests for information should include the full name, service identification number, and current address. Visits should be made to the servicing military personnel office (MILPO) or headquarters of the organization/station of the service member.

For personal visits, the requester should provide acceptable identification, i.e., military identification card or other identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from USAMILPERCEN (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained in documented and other computer readable form from other Department of Army organizations/stations and other federal agencies.

Systems exempted from certain provisions of the act:

None

A0715.07bAMC

System name:

715.07 Computerized Time Accounting System (CTAS)

System location:

Director of Plans and Programs, Army Logistics Management Center (ALMC), Ft Lee, VA 23801.

Categories of individuals covered by the system:

Employees of ALMC both civilian and military, except top management, clerical, and administrative employees.

Categories of records in the system:

A record by individual of man-hours applied to projects identified in the system.

Authority for maintenance of the system:

Title 5 U.S.C., Sections 301 and 305.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide management a statistical report of the man-hours spent on one or more projects by each identified individual, by all identified individuals in one or more organizational elements of ALMC, and by all identified individuals of ALMC. Provides data base for

collection of costs by projects identified in the system and for comparative analyses of performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk packs and magnetic tapes.

Retrievability:

By employee number, by major organization and suborganization, and by project number.

Safeguards:

Disk packs and magnetic tapes are stored in a room which is occupied during working hours by authorized computer operations personnel only. After duty hours a duty officer or civilian guard ensures departure of custodial personnel before securing the building for the night.

Retention and disposal:

Source documents are mark sense cards which are utilized to update disk packs and are then destroyed daily. Disk packs are converted to magnetic tape annually. Magnetic tape is retained indefinitely for historical purposes.

System manager(s) and address:

Director of Plans and Programs, ALMC, Ft Lee, VA 23801.

Notification procedure:

Information may be obtained from: Director of Plans and Programs (AMXMC-P), ALMC, Ft Lee, VA 23801, Telephone: Area Code 804/734-4409

Record access procedures:

Information may be obtained from: Director of Plans and Programs (AMXMC-P), ALMC, Ft Lee, VA 23801, Telephone: Area Code 804/734-4409

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Daily mark sense card submitted by individual

Systems exempted from certain provisions of the act:

None

A0715.07cUSFK

System name:

715.07 Command Unique Personnel Information Data System (CUPIDS)

System location:

Primary System: Office of the Assistant Chief of Staff, Personnel Directorate (J1), Headquarters (HQ) United Nations Command (UNC)/United States (US) Forces, Korea (USFK)/Eighth US Army (EUSA), ATTN: AJ-PER-DM, Army Post Office San Francisco (APO SF) 96301.

Decentralized Segments: US Army Yongsan Data Processing Center Korea, APO SF 96301; HQ UNC/USFK/EUSA, ATTN: PMJ-O, APO SF 96301; HQ UNC/USFK/EUSA, ATTN: DJ-SP, APO SF 96301; and HQ UNC/USFK/EUSA, ATTN: GCT, APO SF 96301.

Categories of individuals covered by the system:

All members of UNC/USFK/EUSA who are authorized duty-free privileges in the Republic of Korea (ROK) as well as US Embassy personnel, contract personnel, technical representatives, and authorized potential noncombatant evacuees living in the ROK.

Categories of records in the system:

The CUPIDS data base includes the individual's name, social security number (SSN), date and place of birth, sex, rotation date, citizenship, passport number, date arrived in the ROK, previous tours in the ROK, service component, pay grade/position status, marital status, dependent status, and religion. The following dependent information is maintained: spouse's name, date and place of birth, date arrived in the ROK, passport number, citizenship, sex, date and place of marriage, local address, and religion. Applicable information is extracted from this central data base to provide a noncombatant report, contractor and technical representative listing, religious preference listing, and dependent information roster.

An individual purchase record is maintained for those personnel authorized duty-free privileges. It consists of a record of exchange catalog sales and purchases made by authorized shoppers in the exchange system, Class VI stores, and commissaries in the ROK.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301 and the Status of Forces Agreement, United States of America (USA) and the ROK.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record the number and location of contractor and technical representatives in the ROK for reporting to the Korean Government in accordance with the USA-ROK Status of Forces Agreement.

Identify and locate noncombatant evacuees in case of emergency. Provide Department of Defense (DOD) information pertaining to the number of dependents in the ROK.

Obtain a religious profile to determine a realistic distribution of Chaplain assets throughout the command.

Produce list of suspected violators of the ration control authorizations set for retail facilities in the ROK. Produce a list of exchange catalog sales shipped into the ROK. Information is provided the Provost Marshal, US Army Criminal Investigation Command, US Department of State, Office of Special Investigation, Customs Officials, law enforcement authorities of the ROK and commanders for investigative action where appropriate and/or administrative or judicial disposition.

Provide listing of dependents in Korea to the Comptroller for verification of housing dollar authorizations.

Maintain file of selected controlled item purchases made in retail facilities.

Provide management data pertaining to expenditures by grade and family size. This information is used to determine if authorizations are sufficient.

Provide a dependent profile throughout the command for management purposes.

Produce ration control plates for authorized individuals for use in recording purchases in retail facilities.

Produce medical cards which are used for identification in medical facilities.

Provide retail sales information to the USA-ROK Status of Forces Ad Hoc Committee on black marketing activities.

Provide list by date eligible for return from overseas (DEROS) for transportation forecasting requirements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape in tape library.
Microfiche in file library and user level.
Paper printout at user location.

Retrievability:

Noncombatants listing by area and geographical sub-area is alphabetic by last name.
All other records by SSN sequence.

Safeguards:

The records area is accessible only to authorized personnel. During off duty hours, the facility is locked and secured by sound activated alarm.

Retention and disposal:

The command profile, sales profile, and individual sales file are retained for 1 year. Individual violations are retained until the end of the tour of the concerned individual.

Regular card sales are destroyed monthly unless retained for evidence.

Controlled items sales records are maintained for duration of individual tour.

The data base account is retained for the duration of individual tour plus one month.

All other information is eliminated at termination of tour or employment.

System manager(s) and address:

Assistant Chief of Staff, J1, HQ UNC/USFK/EUSA, APO SF 96301.

Notification procedure:

Information may be obtained from:
HQ UNC/USFK/EUSA (AJ-PER-DM)
Building 2402A
Yongsan/Seoul Korea
Telephone: 293-3585

Record access procedures:

Requests from individuals should be addressed to: HQ, UNC/USFK/EUSA (AJ-PER-DM), APO SF 96301.

Written requests for information should contain the full name of the individual, current address and telephone number, SSN.

For personal visits, the individual should provide a military identification card and ration control plate if issued, or other acceptable identification such as a valid vehicle operator's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Application for ration control; recorded sales made with ration control plate at retail US military facilities throughout the ROK; orders made through exchange catalog sales.

Systems exempted from certain provisions of the act:

None

A0716.04aDAAG

System name:

716.04 Military Personnel Register Files

System location:

Headquarters of Installations or Commands. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military personnel; official visitors at Army installations, facilities, or activities.

Categories of records in the system:

File contains a copy of Department of the Army (DA) Form 647 or DA Form 647-1 (Personnel Register).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as a source document for personnel accounting systems. Provides a record of Army personnel arriving at or departing from Army installations on permanent change of station or temporary duty. Used to record official visitors at Army installations or at any location where United States troops are on duty in connection with a civil disorder.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; loose leaf binders.

Retrievability:

Filed in chronological order.

Safeguards:

Maintained in file cabinets or open storage areas.

Retention and disposal:

Records are destroyed after 6 months.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the Headquarters of the installation at which the individual was previously assigned or the visit occurred.

Record access procedures:

Requests from individuals should be addressed to the commander of the installation where individual was assigned or the visit took place.

Written requests should contain the full name of the individual, grade, social security number, and date of arrival or departure.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA, (DAAG-AMP), Washington, DC 20314.

Record source categories:

All information is collected directly from the individual.

Systems exempted from certain provisions of the act:

None

A0718.01DAPC

System name:

718.01 Military Award Case File

System location:

Primary System: United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Decentralized Segments: Each Army command delegated authority for approval of an award.

Categories of individuals covered by the system:

Military personnel on active duty, members of reserve components, United States (US) civilians serving with US Army in a combat zone, and deceased former members of the US Army.

Categories of records in the system:

Files contain recommendation for award; endorsements; transmittals; letters; memoranda; award board approvals/disapprovals; citation texts pertaining to the specific individual and award; Department of the Army (DA) letter orders/general orders; related papers supporting the recommendation; correspondence among (1) MILPERCEN, (2) service member, (3) Army Staff offices, (4) Army commands, (5) and individuals having knowledge/information relative to the service member concerned or the act or achievement stated in the recommendation.

Authority for maintenance of the system:

Title 10 U.S.C., Chapters 57 and 357; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Each Army command having authority for action for a specific award: To accomplish review; to authorize the award; to maintain the award case file of approved and disapproved recommendations.

MILPERCEN: To act as the Army element for Headquarters, Department of the Army (HQDA); to accomplish the review and to authorize the award of those awards/decorations which are not delegated or within the scope of authority of a subordinate element of the Army; to maintain the award case file of approved and disapproved recommendations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Records accessed by name.

Safeguards:

Records maintained in areas accessible only to authorized individuals.

Retention and disposal:

Case files for approved recommendations retained for 1 year and destroyed in local office; case files for disapproved recommendations retained for 6 years and destroyed in the local office.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Written requests for information should include the full name, service identification number, grade and branch of service, name of award, and current address. Visits should be made to the organization/station of the service member or to the United States Army Military Personnel Center.

For personal visits, the visitor should be able to provide acceptable identification, i.e., military identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from HQDA (DAPC-MSS), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Recommendation for award (DA Form 638) with supporting records, forms, statements, letters, and related papers originated by persons other than the awardee and other individuals having information useful in making an award determination.

Systems exempted from certain provisions of the act:

None

A0718.08DAAG

System name:

718.08 World War I Awards and Decorations Card File

System location:

Awards Section, Entitlements Division, Personnel Services Directorate, United States Army Reserve Components Personnel & Administration Center (USARCPAC), 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

Partial file of individuals who received an award or foreign decoration for service during World War I.

Categories of records in the system:

File contains information concerning awards and/or foreign decorations earned as a result of World War I service according to the type of award and action for which presented. Serial number, rank and unit to which assigned when authorized award is shown for most individuals.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army Staff agencies and commands: To review policy, coordinate certain actions and verify information.

General Services Administration, National Personnel Record Center (NPRC); To verify awards and provide information to assist in the reconstruction of certain records.

Veterans Administration: To verify service, provide background information on awards issued.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File is checked upon receipt of application from individual for verification purposes. Card file (3 x 5) stored in file cabinet.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records maintained in areas accessible only to authorized personnel. Building is secured through 24-hour guard service. Identification badge required by all entering the building.

Retention and disposal:

Permanent; remains as active file.

System manager(s) and address: Commander, USARCPAC, 9700 Page Boulevard, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
Commander, USARCPAC
ATTN: AGUZ-PSD-ED
St Louis, MO 63132
Telephone: Area Code 314/268-7574

Record access procedures:

Requests should be addressed to Commander, USARCPAC, ATTN: AGUZ-PSD-ED, 9700 Page Boulevard, St Louis, MO 63132. Written requests should contain the full name of the former service member, address and telephone number, and period of Army service. For personal visits, including next-of-kin, the individual should be able to provide suitable identification and provide verbal confirmation.

Contesting record procedures:

The Army's rules for contesting contents or appealing initial determination may be obtained from Commander, USARCPAC, ATTN AGUZ-PSD, 9700 Page Boulevard, St Louis, MO 63132.

Record source categories:

Military personnel files and orders.

Systems exempted from certain provisions of the act:

None

A0719.01aDAPE

System name:

719.01 BOQ (Background Opinion Questionnaire)

System location:

Army Research Institute (ARI) for the Behavioral and Social Sciences, Room 313, 1300 Wilson Boulevard (PERI), Arlington, VA 22209.

Categories of individuals covered by the system:

Self report data secured from a sample of 68,000 enlisted men between 1972-1973.

Categories of records in the system:

25 Item questionnaire consisting of measures of pre-service education, occupation, marital status, and civilian difficulties with law enforcement officials, teachers, parents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4503.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistical analyses to determine reliability and validity of the BOQ.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punch cards and magnetic tape.

Retrievability:

By name and social security number.

Safeguards:

Building employs security guards and access is limited to authorized personnel. Files are stored in locked containers and access given only to authorized personnel.

Record is destroyed upon completion of the final report.

Retention and disposal:

Analyses to continue for an indefinite period.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army and Commander of ARI.

Notification procedure:

Information can be obtained from:
ARI for the Behavioral and Social Sciences.
ARI(PERI-P)
Room 270
Commonwealth Building
Arlington, VA 22209
Telephone: Area Code 202/694-3540

Record access procedures:

Requests from individuals should be addressed to Commander of the appropriate ARI.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual responses to questionnaire.

Systems exempted from certain provisions of the act:

None

A0719.01bDAPE

System name:

719.01 Attitude Surveys

System location:

Army Research Institute (ARI) for the Behavioral and Social Sciences, Room 113, 1300 Wilson Boulevard (PERI), Arlington, VA 22209.

Categories of individuals covered by the system:

Five waves of an attitude survey administered to a sample of 3000 enlisted men between November 1973 and August 1975.

Categories of records in the system:

Surveys consist of self report data on enlistment motivations, expectations, and attitudes about Army life and measures of individual and organizational adjustment.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4503.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistical analyses to determine changes in attitudes over a period of time.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tape.

Retrievability:

By name and social security number.

Safeguards:

Building employs security guards and access is limited to authorized personnel. Files are stored in locked containers and access given only to authorized personnel.

Retention and disposal:

Analyses to continue for an indefinite period.

Record is destroyed upon completion of the final report.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army and Commander of ARI.

Notification procedure:

Information can be obtained from:
ARI for the Behavioral and Social Sciences
ARI(PERI-P)
Room 270
Commonwealth Building
Arlington, VA 22209
Telephone: Area Code 202/694-3540

Record access procedures:

Requests from individuals should be addressed to Commander of the appropriate ARI.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual responses to questionnaire.

Systems exempted from certain provisions of the act:

None

A0720.04aDAPE

System name:

720.04 Individual Correctional Treatment Files

System location:

United States (US) Army confinement facilities. Official mailing addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

Any military member confined at an Army confinement facility as a result of, or pending, trial by courts-martial.

Categories of records in the system:

File contains documents related to the administration of individual military prisoners in US Army confinement facilities; court-martial orders, release orders, confinement orders, medical examiner's reports, requests and receipts for health and comfort supplies, reports and recommendations relative to disciplinary actions, clothing and equipment issue records, forms indicating authorized correspondence by prisoner, mail records, personal history records, individual prisoner utilization records, requests for interview, initial interview, fingerprint cards, military police reports, prisoner identification records, parolee agreements, inspection record of prisoner in segregation, documents relating to the custodianship of personal funds and property of prisoners.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 951, 952, and 953, Chapter 48, 'Military Correctional Facilities'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Confinement Facility Commander and Staff: To determine initial custody classifications; to determine when custody elevation is appropriate; to gauge prisoner's adjustment to confinement; to identify areas of particular concern to individual prisoners; to determine work assignment; to determine educational needs; serves as basis for correctional treatment.

Portions disclosed to Departments of Justice, Defense, and Army Staff agencies and commands; state and local criminal justice agencies established by law. Disclosure to law enforcement and investigatory agencies is for investigation and possible criminal prosecution, civil court actions or regulatory order. Disclosure to confinement/correctional system agencies is for use in the administration of correctional programs to include custody classification; employment, training and educational assignments; treatment programs; clemency, restoration to duty and parole actions; verifications concerning military offenders' or military criminal records, employment records and social histories.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of prisoner.

Safeguards:

Confinement facilities are considered to be secure. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files are transferred to National Personnel Records Center, St. Louis, MO 63132 2 years after release of prisoner. Records are held at Records Center 2 years; then destroyed. Transfer of a prisoner from one confinement facility to another is not construed as release from confinement. When a prisoner is transferred to another such facility his file is transferred with him.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, Headquarters, Department of the Army; Installation Commanders having Installation and Area Confinement Facilities.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

See Exemption

Record source categories:

Subjects, witnesses, victims. Military Police and US Army Criminal Investigation Command personnel and special agents, informants, various Department of Defense, Federal, state and local investigative and law enforcement agencies, departments or agencies of foreign governments; and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the Systems Manager.

A0720.04bDAPE

System name:

720.04 Individual Correctional Treatment Files

System location:

Primary System: Personal and Administrative Service Division, United States Army Retraining Brigade, Ft Riley, KS 66442.

Decentralized Segment: Team and Battalion level units, United States Army Retraining Brigade, Ft Riley, KS 66442; Research and Evaluation Division, United States Army Retraining Brigade, Ft Riley, KS 66442.

Categories of individuals covered by the system:

Any United States military servicemember in confinement or training status at the United States Army Retraining Brigade, Ft Riley, KS.

Categories of records in the system:

System contains documents and items of information relating to the training and administration of individual military confinees and trainees at the United States Army Retraining Brigade; court-martial orders; confinement and release orders; past, present or future duty assignment orders; records of disciplinary actions of a judicial or nonjudicial nature; military police reports; prisoner identification records; medical examination records; requests and receipts for health and comfort supplies; clothing and equipment issue records; mail records; forms authorizing correspondence; individual prisoner utilization records; interview records; fingerprint cards; prisoner identification records; parolee agreements; inspection records on prisoners in segregation; documents reflecting custodianship of personal funds and property; correspondence or other documents reflecting coordination between trainee's present, past or future unit of assignment; personal history data to include name, sex, social security number (SSN), date of birth, race, marital status, educational level, military skills test scores, military rank levels and qualifications, data relating to separation from service; documents relating to progress and training of confinees or trainees.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 951-953 and 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Retraining Brigade Commanders, subordinate commanders, and staff: To determine initial custody classifications, to determine what

type of custody appropriate, to gauge prisoner's adjustment to confinement, to identify areas of particular concern to individual prisoners, to determine work assignment, to determine educational needs, to serve as basis for correctional treatment or training program, to assist in development of correctional treatment or training program, to determine confinee or trainee's potential for future duty performance, to evaluate effectiveness of correctional treatment program or training program, to monitor performance and progress of confinees or trainees, to establish the function of information management, to provide guidelines valid statistical data for research projects, to analyze retraining program effectiveness, to perform follow-up studies of trainee's performance, to determine cost effectiveness of correction systems, and to provide for decision making.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; punch cards; magnetic tapes and disks.

Retrievability:

Information is maintained and filed alphabetically by last name of servicemember. Information retrieved alphabetically or by SSN by computer.

Safeguards:

Records, punch cards, tapes, and disks are maintained in secure area accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Paper files are retained in an inactive status until the end of the calendar year in which the individual departed the Retraining Brigade, held for 2 years, transferred to the local records holding area for 2 additional years, and then destroyed. Transfer of a prisoner from one confinement facility to another is not construed as release from confinement. When a prisoner is transferred to another facility in confined status, the file is transferred also. Computer punch cards, tapes or disks containing information on confinees or trainees which is used to provide statistical data concerning effectiveness of the retraining program, cost effectiveness of corrections systems and to provide guidelines for decision making, are retained by Chief, Research and Evaluation Division, United States Army Retraining Brigade, for an indefinite period after individual completes the training or otherwise departs the Retraining Brigade. However, names and other individual identifiers are retained only for a period of 4 years after the close of the year individual departed the Retraining Brigade. Upon completion of the 4 year retention period, individual identifiers are purged from the computer tapes/disks and information retained in statistical form only.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, Headquarters, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Commander, United States Army Retraining Brigade, ATTN: Chief, Personnel and Administrative Division, Ft Riley, KS 66442. Telephone: Area Code 913/239-6119.

Record access procedures:

Requests from individuals should be addressed to: Commander, United States Army Retraining Brigade, ATTN: Chief, Personnel and Administrative Division, Ft Riley, KS 66442.

Requests should include the full name of the individual desiring access to the information SSN, military status, present address, telephone number, and approximate dates individual trained at the United States Army Retraining Brigade.

Personal visits are limited to Chief, Personnel and Administrative Division, Bldg 1204, United States Army Retraining Brigade, Ft Riley, KS 66442. Individuals must present acceptable identification such as driver's license or social security card and give verbal information which could be verified with information in their file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Military personnel records, military financial and medical records; military and civilian investigative and law enforcement agencies; courts- martial proceedings; records of nonjudicial administrative proceedings; United States military commanders; staff members and cadre supply information relevant to servicemember's conduct or duty performance; and other individuals or organizations which may supply information relevant to the purpose for which this system was designed.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (j)(2). For additional information, contact the SYSMANAGER.

A0721.11aDAPE

System name:

721.11 Individual Correctional Treatment Files

System location:

Primary System: United States (US) Disciplinary Barracks, Ft Leavenworth, KS 66027.

Decentralized Segment: Federal penal institutions to which prisoner may have been transferred.

Categories of individuals covered by the system:

Any military member confined at the US Disciplinary Barracks.

Categories of records in the system:

File contains documents related to the administration of individual military prisoner in US Disciplinary Barracks; court-martial orders, release orders, confinement orders, medical examiner's reports, requests and receipts for health and comfort supplies, reports and recommendations relative to disciplinary actions, clothing and equipment issue records, forms indicating authorized correspondence by prisoner, mail records, personal history records, individual prisoner utilization records, requests for interview, initial interview, fingerprint cards, military police reports, prisoner identification records, parolee agreements, inspection record of prisoner in segregation, documents relating to the custodianship of personal funds and property of prisoners, former commanding officer's report, parents' report, wife's report, classification recommendations, admission classification summary, request to transfer prisoner, social history, clemency actions, psychologist's report, psychiatric and sociologic report, certificate of parole, certificate of release from parole, assignment progress reports.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 951, 952 and 953, Chapter 48, 'Military Correctional Facilities'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Commandant, US Disciplinary Barracks and Staff: To determine initial custody classifications; to determine when custody elevation is appropriate; to gauge prisoner's adjustment to confinement; to identify areas of particular concern to individual prisoners; to determine work assignment; to determine educational needs; serves as basis for correctional treatment; serves as basis for clemency, parole and restoration considerations.

Portions disclosed to Departments of Justice, Defense and Army Staff agencies and commands; state and local criminal justice agencies established by law. Disclosure to law enforcement and investigatory agencies is for investigation and possible criminal prosecution, civil court actions or regulatory order. Disclosure to confinement/correctional system agencies is for use in the administration of correctional programs to include custody classification; employment, training and educational assignments; treatment programs; clemency, restoration to duty and parole actions; verifications concerning military offenders' civil or military criminal records, employment records and social histories.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; disk.

Retrievability:

Filed alphabetically by last name of prisoner; social security number (SSN), register number, alpha.

Safeguards:

Records and disk are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files pertaining to military personnel will be forwarded to National Personnel Records Center (NPRC), St Louis, MO 63132, 3 months after release from confinement; or if individual is released on parole, the files will be forwarded 3 months after expiration of parole. Files pertaining to civilian personnel (former military members who received a dishonorable discharge) will be retired to NPRC (Civilian), St Louis, MO 63118, 3 years after release from confinement; or if individual is released on parole, the file will be retired 3 years after expiration of parole. Transfer of a prisoner from one facility to another is not construed as release from confinement. When a prisoner is transferred to another facility his file is transferred with him.

Disks are retained permanently at the US Disciplinary Barracks.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, Headquarters, Department of the Army;

Commandant, US Disciplinary Barracks.

Notification procedure:

See Exemption.

Record access procedures:

See Exemption.

Contesting record procedures:

See Exemption.

Record source categories:

Subjects, witnesses, Military Police and US Army Criminal Investigation Command personnel and special agents, informants, various Department of Defense, Federal, state and local investigative and law enforcement agencies, departments or agencies of foreign governments, and any other individuals or organizations which may supply pertinent information.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k) as applicable. For additional information, contact the Systems Manager.

A0722.05aDACH

System name:

722.05 Chaplain Counseling/Interview Files

System location:

Army installations. Official mailing addresses are in the Department of Defense (DOD) directory in the Appendix.

In privileged files of individual Army Chaplains on Army installations.

Categories of individuals covered by the system:

Army members, their dependents and any other persons who have received counseling of a privileged nature from the Chaplain maintaining the file.

Categories of records in the system:

Memoranda and resume of counseling interview sessions between Chaplain and individual counseled.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3107.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained by the Chaplain for use in counseling.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders or card holder files.

Retrievability:

Filed by name of individual counseled.

Safeguards:

Files are stored in locked cabinets, desks or other appropriately secured containers. Access is only by the Chaplain maintaining the file and the individual to whom the file material pertains.

Retention and disposal:

Retained until superseded, obsolete, or no longer needed for reference; then destroyed by shredding, pulping or burning.

System manager(s) and address:

Chaplain/Army Installations; and Chief of Chaplains, Department of the Army (DA), Washington, DC 20310.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER.

Record access procedures:

Individual can obtain assistance in gaining access from the SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from the Chief of Chaplains, DA, DACH-AMB, Washington, DC 20310.

Record source categories:

Information obtained from individual counseled.

Systems exempted from certain provisions of the act:

None

A0722.06aDACH

System name:

722.06 Religious Census, Education, and Registration Files

System location:

Chaplains at Army installations. Official mailing addresses are in the Department of Defense (DOD) directory in Appendix.

Categories of individuals covered by the system:

All of the following personnel who voluntarily participate: active duty military personnel, retired military personnel, reserve personnel, dependents of military personnel, and Army civilian employees.

Categories of records in the system:

Post Chaplains at various Army installations may have personal data and other information relative to religious census, education needs by age groups, individual faith groups, or denomination, and/or registration for religious education.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3107.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide data on religious education/training or needs of faith groups, denominations, or religious sects. Used by Chaplains, chapel management personnel, lay or salaried personnel in a supervisory position. Used to determine and administer educational or training needs in interpersonal relationship, social, spiritual, and humanitarian welfare that meet the needs of the military community served. To record attendance, training accomplished, participation, and spiritual growth.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and/or card files.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by custodian of the record system and/or by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed. Retained in office files until graduation or elimination from training and then destroyed.

System manager(s) and address:

Chaplains at Army installations.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER (Installation Chaplain) where the individual participated in religious programs.

Record access procedures:

Individual can obtain assistance in gaining access from the SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from the Chief of Chaplains, Department of the Army, DACH-AM, Washington, DC 20310.

Record source categories:

From individual.

Systems exempted from certain provisions of the act:

None

A0722.07aDACH

System name:

722.07 Religious Education Directors

System location:

Religious Education Office, United States (US) Army Chaplain Board, Building 209, Ft Wadsworth, NY 10305. For information on records accumulated before 1 July 1975, contact Office, Chief of Chaplains, Department of the Army (DA), Washington, DC 20310.

Categories of individuals covered by the system:

Any qualified applicant for Director of Religious Education (DRE) position in the US Army.

Categories of records in the system:

V 4 4 D E 17 7 9 UMI

Files contain individual personnel data sheets, trans- cripts of college or university credits, reference letters of applicants.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3107.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Religious Education Officer screens college transcripts and reference letters to determine whether applicant con- forms to minimum standards of education and experience established by the Chief of Chaplains, DA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name.

Safeguards:

Files are stored in locked cabinets. Access only by the Chaplain Branch of the Army and Chaplain maintaining the file.

Retention and disposal:

Files of applicants not qualifying are returned to the applicants or destroyed. Files of qualified applicants and those employed by DRE are maintained until persons terminate their application or their employment.

System manager(s) and address:

Religious Education Officer, US Army Chaplain Board, Ft Wadsworth, NY 10305. For information on records accumulated before 1 July 1975, contact Office, Chief of Chaplains, DA, Washington, DC 20310.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER.

Record access procedures:

Individual can obtain assistance in gaining access from the SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from US Army Chaplain Board, Ft Wadsworth, NY 10305.

Record source categories:

Information obtained from individual applicants and those whom they give as references.

Systems exempted from certain provisions of the act:

None

A0723.01DAAG

System name:

723.01 Entertainment Case Files

System location:

Recreation Services Directorate; Armed Forces Professional Entertainment Office, The Adjutant General Center, (DAAG-RE-P), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

Any individual who, either as an individual entertainer or as a member of an entertainment group, performed for the Armed Forces overseas and was sponsored by the United Service Organizations, Inc. (USO) and/or Armed Forces Professional Entertainment Office.

Categories of records in the system:

File contains 2 types of automated records: (1) individual, (2) group. Both files contain individual's legal name, social security number (SSN), name of entertainment group, circuit toured, year of tour, length of tour, professional specialty, professional name, and circuit evaluation of the tour.

In addition, manual files contain National Agency Check (NAC) for each individual, invitational travel orders, and travel vouchers with substantiating documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To administer the Armed Forces Professional Entertainment Program.

To identify all individuals and groups which have toured.

To provide information to the USO concerning the past tour history of individuals or groups.

To provide statistics concerning the number of individual entertainers, number of entertainers in location and total tour days.

To answer inquiries from various federal agencies concerning whether or not a particular individual either singly or as a member of a group has toured for the Armed Forces Professional Entertainment Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, individual data record cards, magnetic tapes, disk, computer printouts.

Retrievability:

Paper record files are by entertainment group number and year of tour; data cards are alphabetical by individual's name. Automated file is in alphabetical sequence by legal name, with SSN and group name. Either identifier can be used to retrieve information.

Safeguards:

Buildings employ security guards. Paper files are stored in office with lock. Computer printouts are maintained in a single area where only authorized, properly screened personnel have access; computers are housed in a secure area requiring special authorization and screening prior to admittance. Computer tapes are maintained in a secure vault.

Retention and disposal:

Paper records in file folders are retained for 2 years; data cards and computer tape records are permanently maintained.

System manager(s) and address:

The Adjutant General, Headquarters Department of the Army (HQDA), The Pentagon, Washington, DC 20310 or Director, Recreation Services, The Adjutant General Center (DAAG-RE-P), Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-RE-P)
Room 5A 081
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-8230

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAAG-RE-P), Room 51 081, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full legal name of the individual, SSN, current mailing address and telephone number, and the case (control) number that appears on all correspondence received from this office. Visits may be made to this office during normal working hours.

For personal visits, individuals are required to present positive information that can be verified with the case folder.

Contesting record procedures:

The Army rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information contained in this file is obtained from individual entertainers, NAC forms, the commands and installations toured, the USO, and entertainers' agents or authorized spokesman.

Systems exempted from certain provisions of the act:

None

A0723.02aUSAREUR

System name:

723.02 AYA Registration File

System location:

American Youth Activities (AYA), Directorate, Personnel, and Community Activities, at various command levels within the United States (US) Army, Europe. Official mailing addresses are contained in the Appendix.

Categories of individuals covered by the system:

Dependent children between the ages of 6 and 19 who register for any of the American youth activities, within US Army, Europe.

Categories of records in the system:

File contains individual's registration card, medical release, individual capabilities and limitations.

Authority for maintenance of the system:

Title 5.U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

AYA Directors of all communities/installations and various command levels within US Army, Europe: To verify payment of registration fee, parental consent to enroll in AYA activities, and to obtain release of pecuniary liability for accidents or injuries.

AYA Sports Commisioners: To develop draft choices for team coaches from data. AYA coaches interview and select team members by locator data, physical characteristics, and personal data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards in cardex file container.

Retrievability:

Filed alphabetically by last name of registrant.

Safeguards:

File is maintained in office area accessible only to authorized employees.

Retention and disposal:

Cards are destroyed 1 year after completion of seasonal activity. Earlier destruction is accomplished when the individual leaves the area on sponsor's permanent change of station.

System manager(s) and address:

AYA Director, US Army Recreation Services Agency, Europe, APO NY 09081.

Notification procedure:

Information may be obtained from:
AYA Director
US Army Recreation Services Agency, Europe,
APO NY 09081

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Recreation Services Agency, Europe, ATTN: AYA Director, APO NY 09081.

Written requests for information should contain the full name of the youth and the time period.

Visits are limited to AYA Director, Building 4313, Kilbourne Kaserne, Schwetzingen, Federal Republic of Germany.

For personal visits, the individual should provide some identification, such as military identification card or driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination by the individual may be obtained from the SYSMANAGER.

Record source categories:

Registration cards from registrants.

Systems exempted from certain provisions of the act:

None

A0723.03aDAPE

System name:

723.03 Civilian Season Ticket Holders File

System location:

Army Athletic Association, United States Military Academy (USMA),

Categories of individuals covered by the system:

Civilian season priority football ticket holders.

Categories of records in the system:

Record contains name, address and social security number of ticket holder, number of season tickets purchased, and location of seats within the football stadium.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide address labels and reference files for use by employees of the Army Athletic Association (AAA).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer punch cards.

Retrievability:

Filed alphabetically by name of ticket holder and numerically by priority numbers.

Safeguards:

Records are maintained in an area accessible only to authorized personnel employed by the AAA.

Retention and disposal:

Records are retained 1 year from date of purchase.

System manager(s) and address:

Custodian, AAA, USMA, West Point, NY 10996.

Notification procedure:

Information may be obtained from:
AAA
Bldg 727
USMA
West Point, NY 10996
Telephone: Area Code 914/446-4996

Record access procedures:

Request from individuals should be addressed to: AAA, Bldg 727, USMA, West Point, NY 10996.

Written request for information should contain full name of individual and current address.

For personal visit, the individual should be able to provide acceptable identification, such as season priority number and driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the Custodian, AAA, USMA, West Point, NY 10996.

Record source categories:

Individual's application for season tickets.

Systems exempted from certain provisions of the act:

None

A0723.08bDAPE

System name:

723.08 Army Athletic Association Membership File

System location:

Army Athletic Association (AAA), United States Military Academy (USMA), West Point, NY 10996

Categories of individuals covered by the system:

Graduates of the USMA; present and past members of the Staff & Faculty, USMA; and ex-cadets with more than 6 months' honorable service enrolled at the USMA.

Categories of records in the system:

Addressograph plates, with a file card attached.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To establish membership with the AAA to provide addresses of members of the Association for mailing ticket applications and information of the Association, and to record the payment of membership dues.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Addressograph plates with file card attached in a vertical tray file.

Retrievability:

Filed alphabetically by last name of member.

Safeguards:

Records are maintained in an area accessible only to authorized personnel employed by the AAA. Records are stored in steel locked cabinets.

Retention and disposal:

Records are permanent. They are retained in active file upon payment of annual dues. Addressograph plates are destroyed upon non-payment of dues at the beginning of a fiscal year; the attached file card is then placed in the inactive file permanently.

System manager(s) and address:

Custodian, AAA, USMA, West Point, NY 10996.

Notification procedure:

V 4 4 D E 1 7 7 9 UMI

Information may be obtained from:
AAA
Bldg 727
USMA
West Point, NY 10996
Telephone: Area Code 914/446-4996

Record access procedures:

Requests from individuals should be addressed to: AAA, Bldg 727, USMA, West Point, NY 10996.

Written request for information should contain full name of individual, current address, and membership number.

For personal visit, the individual should be able to provide acceptable identification, membership card, driver's license, military identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Custodian, AAA, USMA, West Point, NY 10996.

Record source categories:

Individual application for membership and renewal application.

Systems exempted from certain provisions of the act:

None

A0723.08cDACS

System name:

723.08 Pentagon Officers' Athletic Center Membership File

System location:

Pentagon Officers' Athletic Center, Room BG-877, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Active duty member: Officers of the Armed Forces of the United States (US) on active duty.

Associate Member.

Reserve Associate: Officers of the Armed Forces of the US actively participating in a reserve/drill unit, presenting proper credentials.

Retired Associate: Officers on the retired list of the Armed Forces of the US, retired with privileges, holding gray identification cards.

Enlisted personnel on active duty who are assigned to duty stations in The Pentagon.

Sponsored Civilian Associate: Civilian employees of the Department of Defense (DOD) in the Military District of Washington (MDW), who are GS-11 and above, sponsored by an active duty member of the Center and approved by the Board of Governors; and those civilian employees of the DOD in grade GS-10 and below (including Wage Board equivalents) whose principal place of duty is in The Pentagon, and who are sponsored by an active duty member of the Center and approved by the Board of Governors.

Foreign Associate: Officers of the Armed Forces of other nations on duty with the DOD in the MDW.

Exchange Officer Associate: State Department Foreign Service Officers, FSO/FSR-4 or above, who are assigned to DOD agencies.

Uniformed Services: Those officers on active duty in the Public Health Service and the National Oceanic and Atmospheric Agency.

Honorary Members: Those individuals, for tenure in office, who have distinguished themselves in service to DOD.

Categories of records in the system:

Addressograph plates, with file card.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To establish membership with the Pentagon Officers' Athletic Center, to provide addresses of members of the Center for mailing information and billing statements, and to record the payment of membership dues.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Addressograph plates with file card attached in a vertical tray file.

Retrievability:

Filed alphabetically by last name of member in each category of membership.

Safeguards:

Records are maintained in an area accessible only to authorized personnel employed by the Pentagon Officers' Athletic Center. Records are stored in steel locked cabinets.

Retention and disposal:

Records are retained in active file upon payment of annual dues. Addressograph plates are destroyed upon non-payment of dues or termination of membership. The attached file card is then placed in the inactive file permanently.

System manager(s) and address:

Secretary, Pentagon Officers' Athletic Center, Room BG-877, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Pentagon Officers' Athletic Center
Room BG-877
The Pentagon
Washington, DC 20310
Telephone: Area Code 703/521-5020

Record access procedures:

Requests from individuals should be addressed to: The Pentagon Officers' Athletic Center, Room BG-877, The Pentagon, Washington, DC 20310.

Written request for information should contain full name of individual, current address, and membership number.

For personal visit, the individual should be able to provide acceptable identification, membership card, driver's license, military identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Secretary, Pentagon Athletic Center, Room BG-877, The Pentagon, Washington, DC 20310.

Record source categories:

Individual application for membership and renewal application.

Systems exempted from certain provisions of the act:

None

A0723.09aDAAG

System name:

723.09 Recreation Services Program Files

System location:

All offices of the Army Recreation Services (i.e., Library, Dependent Youth Activities, Music and Theatre, Arts and Crafts, Recreation Centers, Outdoor Recreation, and Sports) at Army installations worldwide. Official mailing addresses are in the organizational directory in the Appendix.

Categories of individuals covered by the system:

All active and retired military personnel and their dependents, Department of the Army (DA) civilians and dependents, and all other civilians using Army-sponsored Recreation Services Programs worldwide.

Categories of records in the system:

Arts and Crafts: Contests for Interservice Photography, all Army Art and Designer/Craftsman Contests;

Music and Theatre; Equipment check-out files, registration for training; Recreation Center: chess tournament participation; award; equipment check-out files, part-time personnel and director listings,

Sports: individual bowling and golf handicap scores, athletic team rosters (all sports), applications for higher level sports, equipment check-out files, sign-in rosters for use of recreation facilities, payroll files of contract sports officials, duty roster for facility work schedule, receipts for awards, golf and swimming pool memberships.

Dependent Youth Activities and registration files; Outdoor Recreation reservations files for recreational lodging facilities.

Records of boating, skiing, swimming, hunting, scuba, and other activity safety and instruction classes; identification files and cards for use at equipment check-out facilities.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Arts and Crafts: To record participation in contest activities and for publicity purposes;

Music and Theatre: To record individual loan of government equipment, maintain records on program training;

Recreation Center: To record participation in chess tournaments and for publicity purposes, receipt for awards; to account for property loaned for personal use in recreation center; to maintain records on program volun- teers, and to maintain a listing of all recreation directors worldwide;

Sports: Scores are used in competitive ratings, rosters are used to assemble teams in all sports, applications for higher level sports are retained to assemble teams in higher level sports programs; equipment check-out files are maintained to account for govern- ment property; sign-in rosters for use of facilities are maintained for resources management purposes; payroll files for sports officials paid by the United States Army are maintained to account for expenditure of government funds; duty rosters are maintained for administrative management purposes; receipts for awards are maintained to account for government disbursement of funds; memberships in athletics activities are maintained to account for participation in various sports;

Dependent Youth Activities: To verify payment of registration fees and charges and parental consent; to provide locator data, physical characteristics and personal data in order to organize athletic teams, committees, volunteers, activity groups, special interest classes, clinics, and local units of national youth groups such as Boy Scouts, Girl Scouts, Camp Fire Girls, and 4-H Clubs.

Outdoor Recreation: To identify personnel who have completed safety and/or instruction courses, paid fees, checked out equipment or qualify as group leaders, instructors, facility managers, or program volunteers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. Selected data automated for management facility on tapes, disks, and cards.

Retrievability:

Filed alphabetically by last name of subject.

Safeguards:

Records maintained in files accessible only to authorized personnel.

Retention and disposal:

Destruction is authorized upon completion of activity or when information is superseded, obsolete, or no longer needed.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Recreation Services officers at Army Recreation Services Offices.

Record access procedures:

Requests for assistance should be addressed to Recreation Services officers at Army installations having appropriate programs.

For personal visits, individual must provide full name, social security number, and acceptable proof of identity (e.g., driver's license, employee or military identification card).

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

From the individual concerned, Department of the Army organizations, other Department of Defense organizations and agencies of the Federal Government.

Systems exempted from certain provisions of the act:

None

A0725.01aDAAG

System name:

725.01 Child Care Centers - Registration Files

System location:

Child Care Centers, Army wide: Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Any of the following who use Child Care Center services: active duty and retired military personnel and their de- pendents; members of the military Reserve components on active duty for training and their dependents; Department of the Army (DA) civilians overseas and their dependents overseas and in Continental United States (US) where local civilian resources are not available; and other personnel designated by the Commander.

Categories of records in the system:

Documents include, but are not limited to, parent's/guardian's name, grade or rank, social security number (SSN), home address and telephone number; duty address and telephone number; signature of parent/guardian for emergency notification; child's name, birthdate, medical information including allergies, immunization dates; remarks and observations by Child Care Center employees, parents, or physician; and financial records.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Child Care Centers: to obtain information necessary to identify each child; to provide assistance or service required; to coordinate and facilitate other agency services; to facilitate referrals and complete follow-up actions to Army and civilian health and welfare departments or agencies as required; to main- tain a record of services provided for analysis and evaluation of Child Care Center Programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files and paper files in folders/machine readable disks.

Retrievability:

Alphabetically by surname of parent/guardian/SSN.

Safeguards:

Records are maintained in the Child Care Center office and are accessible only to authorized personnel. Personal data is safeguarded to the same degree as material marked 'FOR OFFICIAL USE ONLY'; positive identification and authorization to access data is established prior to releasing personal data to an individual. Output products and storage media of automated files are labeled ' PERSONAL DATA - PRIVACY ACT OF 1974 (PL 93-579); paper products, such as listings, cards, paper tape, and carbons, are disposed of by tearing into pieces to render unreadable, shredding, pulping, macerating, burning, or burial. For computerized segments, computer systems(s)/remote terminals(s) are housed in designated controlled areas. The entire system is under lock and key when not in use.

Retention and disposal:

Destroyed after 2 years, or on discontinuance, whichever comes first; may be transferred from one Child Care Center to another upon transfer of child.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, Washington, DC 20310.
Installation Commanders.
Directors of the Child Care Centers.

Notification procedure:

Information may be obtained from Director of Army Installation Child Care Center. Requesting individual must present name, rank, SSN, and proof of identification.

Record access procedures:

Requests for assistance should be addressed to the installation commander.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Director of Child Care Center and individual receiving service.

Systems exempted from certain provisions of the act:

None

A0725.01bDAAG

System name:

725.01 Financial Management Planning and Counseling

System location:

Army Community Service (ACS) centers, Army-wide. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Any of the following who receive ACS consumer assistance and/or are enrolled in budget counseling services: active duty and retired military personnel and their dependents; members of the military reserve components on active duty for training and their dependents; Department of the Army (DA) civilians overseas and their depend-

ents overseas and in the Continental Unites States (CONUS) where local civilian resources are not available; widows, widowers and other next-of-kin (NOK) regardless of dependency status, of military personnel who were on active duty or retired at time of decease; NOK of prisoner of war/missing in action (POW/MIA) of all Armed Services; and other personnel designated by the commander.

Categories of records in the system:

Documents accumulated by ACS Centers to include listings of financial resources and liabilities, proposed budgets, calendars of payments, listings of accumulated resources, inventories of important records and papers, and similar documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ACS centers: To counsel military members and dependents regarding the creation of sound economic plans that will prevent accumulation of financial problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records maintained in files accessible only to ACS officer and authorized ACS staff.

Retention and disposal:

Destroyed after 2 years, or on discontinuance, whichever comes first; may be transferred from one ACS center to another upon permanent change of station (PCS) of client.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army; Installation ACS Officers.

Notification procedure:

Information may be obtained from Installation ACS Offices. Requesting individual must provide full name, rank, social security number, military status, and current military or dependent identification card.

Record access procedures:

Requests for information should be addressed to ACS Officers at installations having ACS Centers.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

ACS Officers and individuals receiving counseling.

Systems exempted from certain provisions of the act:

None

A0725.01cDAPC

System name:

725.01 Personnel Actions - Personal Affairs

System location:

Primary: United States Army Military Personnel Center (USAMILPERCEN) 200 Stovall Street, Alexandria, VA 22332.

Decentralized segments: Each Major Command, installation, organization and/or unit.

Categories of individuals covered by the system:

Commissioned officers, warrant officers, and enlisted personnel on active duty.

Categories of records in the system:

Correspondence, inquiries, applications and other administrative communications pertaining to dependent assistance, personal in- debtedness, lack of support, identification and claims under Civilian Health and Medical Program of the Uniformed Services, marriage in overseas areas, paternity claims, health and welfare actions, and other actions related to a service member which originate from sources other than the individual concerned.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAMILPERCEN: To record special action considerations pertaining to an active service member as defined in the record category.

Decentralized segments: Same as USAMILPERCEN.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index file.

Retrievability:

Access is by surname of service members.

Safeguards:

Files are stored in areas accessible only to authorized civilian employees and military members.

Retention and disposal:

Files are cut off annually and destroyed after 2 years.

System manager(s) and address:

Commander, USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from the appropriate decentralized element or from USAMILPERCEN, 200 Stovall Street, Alexandria, VA 22332.

Record access procedures:

Requests should be addressed to the SYSMANAGER or to the appro- priate decentralized element. Addresses of the decentralized element may be obtained from the Department of Defense directory in the Appendix. Visits may be made to the decentralized ele- ments or to USAMILPERCEN.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence and communications from persons indicated in record category and military personnel records.

Systems exempted from certain provisions of the act:

None

A0725.01dDAAG

System name:

725.01 Personal Affairs Army Community Service Assistance Files

System location:

Army Community Service (ACS) Centers at installations Army-wide. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Any of the following who receive ACS assistance: active duty and retired military personnel and their dependents; members of components on active duty for training and their dependents; Department of the Army (DA) civilians overseas and their dependents overseas and in Continental United States (CONUS) where local civilian resources are not available; widows, widowers and other next-of-kin, regardless of dependency status, of military personnel who were on active duty or retired at time of decease; next-of-kin of prisoner of war/missing in action (POW/MIA) of all Armed Services; and other personnel designated by the Commander.

Army Community Service (ACS) Program volunteers.

Categories of records in the system:

Documents accumulated by ACS Centers include, but are not limited to, contact summaries, progress notes, referral forms, problem statements used to provide referral and follow-up, financial aid, exceptional children assistance, child advocacy assistance, relocation services, emergency assistance, counseling, community life services, general assistance, and similar services. ACS volunteer service records. (See Department of the Army (DA) Form 3063-R, Army Regulation 608-1 for detailed services provided.)

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ACS Centers: To obtain information necessary for providing the assistance or service required; to coordinate and facilitate other agency services; to facilitate referrals and complete follow-up actions; to maintain a record of services provided for purposes of analysis and evaluation of ACS Center program; to maintain record of household items loaned; to communicate between losing and gaining ACS activities concerning unresolved, continuing, or anticipated personal problems of individuals; to develop and coordinate ACS volunteer services and determine volunteer qualifications for task assignments and awards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records maintained in ACS files accessible only to ACS Officer and authorized ACS staff.

Retention and disposal:

Destroyed after 2 years, or on discontinuance, whichever comes first; may be transferred from one ACS Center to another upon permanent change of station (PCS) of client.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Installation ACS Officers.

Notification procedure:

Information may be obtained from Installation ACS Officers. Requesting individual must provide full name, rank, social security number, and military status, together with current military or dependent identification card.

Record access procedures:

Requests for assistance should be addressed to ACS officers at installations having ACS Centers.

Contesting record procedures:

The Army's rules for obtaining access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

ACS Officers and individuals receiving assistance.

Systems exempted from certain provisions of the act:

None

A0725.06aDAAG

System name:

725.06 Army Emergency Relief Transaction File

System location:

Army Emergency Relief (AER) offices, Army-wide. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Any of the following who receive AER financial assistance: active duty Army personnel and their dependents; members of all components of the Army retired after completion of 20 or more years of active duty and their dependents, and members of all components of the Army retired by reason of physical disability in line of duty and their dependents; dependents of Army personnel missing in action; and eligible widows and orphans of extended active duty Reserve component or Army of the United States (AUS) personnel.

Categories of records in the system:

Documents accumulated by AER branches and sections, including financial and loan reports, applications for financial assistance, acknowledgments of remittance and assistance received, collection and indebtedness documents, cash books, loan ledgers, control ledgers, canceled checks, prenumbered receipts, and similar documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record and control over loans and repayment actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files.

Retrievability:

Filed alphabetically by last name of applicant.

Safeguards:

Records maintained in AER files accessible only to AER Officer and authorized AER staff.

Retention and disposal:

Records are active until loan is paid or determined uncollectable and then kept 2 years in AER office and 1 year in records holding area (RHA); then destroyed.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, Washington, DC 20310.

Director, Army Emergency Relief, Department of the Army, Washington, DC 20314.

Installation AER Officers.

Notification procedure:

Information may be obtained from AER Officers at install- ation AER offices. Requesting individual must provide full name, rank, social security number, military status, date and social security number, military status, date and place place where last AER loan was obtained and current military or dependent ID card.

Record access procedures:

Requests for assistance should be addressed to AER Officers at installations having AER offices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

AER Officers and individual applicants for assistance.

Systems exempted from certain provisions of the act:

None

A0725.07aDAAG

System name:

725.07 Commercial Business Solicitation Files

System location:

Files are maintained at the installation producing the files. Official mailing addresses are in Department of Defense directory in Appendix.

Categories of individuals covered by the system:

Any individual submitting an application for installation solicitation privileges.

Categories of records in the system:

File contains individual's application for solicitation privileges and related processing papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012g; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify individuals cleared and authorized to conduct commercial business on the installation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and on index cards.

Retrievability:

Filed alphabetically by last name of solicitors.

Safeguards:

Records are maintained in an area accessible only to authorized personnel.

Retention and disposal:

Records are destroyed when superseded by a new authorization, except final authorizations are destroyed after removal of accreditation.

System manager(s) and address:

Installation commander where records are maintained.

Notification procedure:

Information may be obtained from headquarters of the installation where the individual requested solicitation privileges.

Record access procedures:

Requests from individuals should be addressed to the installation commander.

Written requests should contain, as a minimum, the solicitor's name and social security number.

For personal visits, individuals should provide acceptable identification.

Contesting record procedures:

V 44 D E 1 7 7 9 UMI

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Application and related papers from the individual requesting a solicitation permit.

Systems exempted from certain provisions of the act:

None

A0726.04aDAAG

System name:

726.04 Casualty Case Files

System location:

Primary System: Casualty Directorate, The Adjutant General Center;
National Personnel Records Center (NPRC);
Center for Prisoner of War Studies, San Diego, CA;
Washington National Records Center;
Decentralized Segments: Department of the Army (DA) Staff Agencies and Commands.

Categories of individuals covered by the system:

Any service member who is Missing-In-Action (MIA) or a Prisoner of War (POW) as a result of the Vietnam conflict.

Categories of records in the system:

Files contain individual Servicemen's Group Life Insurance designations; DA Form 41 (Record of Emergency Data); Health and Dental Records; 201 Files; Intelligence Files on MIA's and POW's; personal correspondence from the next-of-kin and DA correspondence from Members of Congress; records of telephonic inquiries from the next-of-kin.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used to brief the next-of-kin of MIA's and POW's; Members of Congress; other DA Staffs at Headquarters, Department of the Army. Files are also presented to the next-of-kin upon request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filed in individual file folders.

Retrievability:

Filed alphabetically by last name of service member.

Safeguards:

Correspondence filed in safes.

Retention and disposal:

Records are permanent. They are retained in active file until individual is declared deceased or returned to military control, then retired to NPRC (Military), St. Louis, MO 63132.

System manager(s) and address:

The Adjutant General, DA, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Headquarters, Department of the Army (HQDA)
Room 7G-064
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-6452/6453/6454

Record access procedures:

Requests from next-of-kin or their designated legal representatives should be addressed to: HQDA (DAAG-CAD), Room 7G-064, Forrestal Building, Washington, DC 20314.

For personal visits, individual should be able to provide verbal information that can be verified with the case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories: Personal data are furnished by service member prior to entry and during service of active duty

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

A0726.04bDAAG

System name:

726.04 Report of Casualty Department of Defense (DD) Form 1300

System location:

Casualty Branch, Special Actions Division, Personnel Services Directorate, United States Army Reserve Components Personnel and Administration Center (USARCPAC), 9700 Page Boulevard, St Louis, MO 63132.

Categories of individuals covered by the system:

Any member of the United States Army Reserve (USAR) who dies while not in active duty status who is eligible for Servicemen's Group Life Insurance (SGLI) coverage.

Categories of records in the system:

Form contains information pertinent to deceased Reservist; name, social security number (SSN), address, date of death, cause of death, next-of-kin, designated beneficiary for SGLI.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275; Pub. L. 93-289.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office, Servicemen's Group Life Insurance (OSGLI): For payment of insurance to beneficiary; to check certificate of eligibility of reservist.

Federal Bureau of Investigation (FBI): Notification of death - removal of name from active military listing.

Selective Service System: Remove name and file from mobilization pool.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in Casualty Branch, USARCPAC for 6 months from notification of death pending settlement by OSGLI.

Retrievability:

By name, verified by SSN.

Safeguards:

Maintained in closed area accessible only to authorized personnel. Building employs security guards on 24-hour basis. Entry to building is by authorized badge only.

Retention and disposal:

Original copy is permanently maintained as a part of individual's Official Military Personnel File by the National Personnel Records Center, 9700 Page Boulevard, St Louis, MO 63132. Duplicate copy is maintained in Casualty Branch, USARCPAC, for reference pending settlement of insurance claim, for 6 months from notification of death; then destroyed.

System manager(s) and address:

Commander, USARCPAC, St Louis, MO 63132.

Notification procedure:

Information may be obtained from:
USARCPAC (AGUZ-SAD-CAS)
9700 Page Boulevard
St Louis, MO 63132
Telephone: Area Code 314/268-7505

Record access procedures:

Requests from individuals should be addressed to: Commander, USARCPAC, ATTN: AGUZ-SAD-CAS, 9700 Page Boulevard, St Louis, MO 63132.

Written requests for information should contain the full name of the individual, SSN and Army service number, if known. Requests must be accompanied by written authorization of legal next-of-kin.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing determinations by the individual's legal next-of-kin may be obtained from the Commander, USARCPAC.

Record source categories:

Notification or Certificate of Death from next-of-kin, USAR Units, United States Postal Service on undeliverable mail, Survivor Assistance Officers appointed by Casualty Area Commander (Commander assigned responsibility for the area in which a casualty occurs in the Continental United States).

Systems exempted from certain provisions of the act:

None

A0726.06DAAG

System name:

726.06 Casualty Information System (CIS).

System location:

Casualty Directorate, Casualty Services Office, The Adjutant General Center (DAAG-CA)
Forrestal Building
Washington, DC 20314.

Categories of individuals covered by the system:

All Army personnel who are reported as casualties in accordance with established Army casualty notification procedures.

Categories of records in the system:

File consists of two types of records: (1) individual history file containing a list of every casualty report submitted for an individual, (2) a statistical file containing the latest casualty report for an individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The statistical file is used to provide daily statistics concerning the type, number and location of Army casualties. Reports are used by the Casualty Directorate, which reports to the Deputy Chief of Staff for Personnel, Headquarters, Department of the Army (HQDA).

The history file is used to determine if an individual was an Army casualty, when, where, and type of casualty. This file is used to verify the casualty status of individual Army members and, on request, reports are provided the United States Army Military Personnel Center.

Information contained in these files is used to conduct personal transactions concerning Army members, particularly in conjunction with individual benefits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes, computer printouts, punch cards.

Retrievability:

File is in alphabetic sequence by legal last name with social security number.

Safeguards:

Buildings employ security guards. Computer printouts and cards are maintained in a single location where only authorized, properly screened personnel have access. Computers and tape files are housed in a secure area requiring special authorization for admittance.

Retention and disposal:

Files are permanent.

System manager(s) and address:

The Adjutant General, HQDA, The Pentagon, Washington, DC: or Director, Casualty Directorate, The Adjutant General Center, Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-CAC)
Room 7G 083
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-6390

Record access procedures:

Requests from individuals should be addressed to: HQDA (DAAG-CAC), Room 7G 083, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full legal name of the individual, current mailing address and telephone number. Individuals may gain access only to information pertaining to their record.

Personal visits may be made to this office during normal working hours. Individuals are required to present positive proof of identification. In those cases where a survivor is requesting information, positive proof will be required prior to release of information. All visitors will be required to provide verbal information that can be verified with the case folder.

Contesting record procedures:

The Army's rules for access to records, for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information contained in this file is obtained from casualty reports received from field commands in accordance with established reporting procedures. Methods used include teletype, electrical messages, telephone reports.

Systems exempted from certain provisions of the act:

None

A0727.01DAPC

System name:

727.01 Misconduct/Unfitness/Unsuitability Discharge Board Proceedings File

System location:

Primary System: United States Military Personnel Center (MILPERCEN).

Decentralized Segments: US Army commands having authority to appoint appropriate boards and approve findings thereof.

Categories of individuals covered by the system:

Any Army member whose unfitness, unsuitability, or misconduct is of such a nature that warrants his appearance before a properly constituted board for a determination of his continuance in the service or his discharge therefrom.

Categories of records in the system:

File contains orders appointing the board; verbatim testimony of individuals who appear before the board; personnel records/ forms, papers/documents relating to the individual concerned.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The appointed Board: To determine the continuance in service or the separation of the service member who has been directed to appear before the board.

Department of the Army Commands and Staff agencies: To accomplish required administrative actions and for review of board proceedings for accuracy, completeness, and adherence to policy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records of board proceedings which are approved for separation of the individual are permanent and become a part of the official military personnel file. Records of board proceedings and related papers which do not result in separation of the service member are filed in the appropriate command for 2 years and destroyed in accordance with existing files destruction plans and schedules.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
Commander
United States Army Military Personnel Center
200 Stovall Street
Alexandria, VA 22332

Record access procedures:

Requests from individuals should be addressed to: (1) National Personnel Records Center, General Services Administration, 9700 Page Blvd, St Louis, MO 63132 if separated; (2) The Command/ organization/Army element where the service member is assigned, if retained in service.

For personal visits, the individual should provide acceptable military identification or identification normally used in the transaction of civilian business and verbal information that can be verified from the subject file.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters, Department of the Army (DAPC-MSO) 200 Stovall Street, Alexandria, VA 22332.

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Record source categories:

Correspondence directing appearance before a duly appointed board; source records pertaining to the alleged misconduct, unfitness, unsuitability; personnel records of individual directed to appear; testimony of witnesses; depositions; affidavits and related papers presented to the board to support and/or refute pertinent allegations. Other records/forms/documents/papers accumulated by the board for information used in reaching a conclusion and formulating a decision.

Systems exempted from certain provisions of the act:

None

A0727.05aOSA

System name:

727.05Army Council of Review Boards Files

System location:

Army Council of Review Boards, Office, Secretary of the Army (SFRB), The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Members of active Army and former members of active Army, and prospective enlistees/inductees eliminated or denied enlistment who have cases pending or under consideration by the Army Council of Review Boards or any of its component boards.

Categories of records in the system:

Index files contain copies of Board proceedings, hearing transcripts, and findings of Boards.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 1214, 1216, 1553, and 1554.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Army Discharge Review Board: to hear appeals from former active duty Army members separated administratively.

Army Disability Rating Review Board: to hear appeals from former Army members retired with or for physical disability.

Army Physical Disability Appeal Board: to hear from active duty Army members being eliminated for physical disability under provisions of Army Regulation (AR) 635-40.

AD-HOC Review Board: to conduct automatic review of officer-qualified resignations under provisions of AR 635-100, grade determinations of all former Army members with combined active and former service greater than 30 years and retired at a grade less than the highest grade ever held, or any other matters that the Secretary of the Army may direct.

Army Security Review Board: to conduct automatic review of officer elimination or denial of induction of Selective Service Registrants or inductees or active duty members eliminated under provisions of AR 604-10.

All Review Boards: to respond to inquiries from individuals, counsel, Members of Congress and other Federal agencies concerning the status and disposition of cases.

Other Army Agencies from which expert comment may be required: to review records and make recommendations within their areas of jurisdiction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cards.

Paper records in file folders.

Retrievability:

Grouped by individual boards, and thereunder filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel and classified records are kept in locked safes.

Retention and disposal:

File cards are historical and maintained permanently.

Working files are retained, on a calendar year basis, for the current year in which a case is closed, plus 1, then are destroyed after 5 years.

System manager(s) and address:

The Special Assistant to the Under Secretary of the Army, Office, Secretary of the Army, The Pentagon, Eashington, DC 20310.

Notification procedure:

Information may be obtained from:
Office, Secretary of the Army
Army Council of Review Boards
Room 1E474
The Pentagon
Washington, DC 20310
Telephone: Area code 202/697-3071

Record access procedures:

Requests from individuals should be addressed to: Office, Secretary of the Army, Army Council of Review Boards, Room 1E474, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the type of case involved. Visits are limited to the Army Council of Review Boards, The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide some acceptable identification, such as driver's license or employing office identification card, and give some verbal information that can be verified with his case folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Official Military Personnel Files and related records.

Correspondence, documents and other materials generated as a result of action by the Boards.

Systems exempted from certain provisions of the act:

Those portions of Army Security Review Board records which are properly and currently classified are exempt from subsections c(3), d, e(1), e(4)G, H and I, and f of Section 552a of the Privacy Act of 1974 for reasons of national security.

A0727.05bDAPE

System name:

DOD Discharge Review Program (Special)

System location:

Primary manual/paper file record located at the Joint Liaison Office, US Army Reserve Components Personnel Administration Center (RCPAC), St Louis, MO; at the National Personnel Records Center (NPRC) of General Services Administration (GSA), St Louis, MO; US Army Administration Center, Ft Harrison, IN; Army Discharge Review Board, The Pentagon, Washington, DC 20310; Army Council of Review Boards, Office, Secretary of the Army, The Pentagon, Washington, DC 20310. Demographic data on people applying will exist in the Office, Secretary of Defense.

Automated case summary information for all former military members, regardless of Service, maintained by Headquarters, Department of the Army (HQDA), US Army Management Systems Support Agency, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Former members of the Army who seek discharge upgrade action in accordance with Department of Defense special discharge review program and case summary sheet data on former military members of the Navy, Marine Corps, and Air Force, and the Coast Guard.

Categories of records in the system:

Contains information initially provided by individual when seeking discharge upgrade consideration; includes but is not limited to: name, social security number (SSN), mailing address, telephone number, former service number(s), and dates of military service. File subsequently contains information provided by requester in written form; information includes discharge date (between 4 Aug 64 and 28 Mar 73 except where otherwise noted), type discharge, desertion data (if applicable), branch of service, SSN, service number(s), address, hearing method, and dates of confirmation letter.

Case data sheet consolidates preceding information as well as information provided from official military records pertaining to the requester and includes, but is not limited to, the following: index reference and case number associated with individual request, date official military personnel file received from NPRC, date of birth, home of record, officer or inductee/enlistee, sex, race, date entered/discharged from service, reason and authority for discharge, documents submitted by individuals meriting special consideration, dates of accomplishment of steps related to processing of request; discharge review date; conclusion (upgrade to honorable, general, or appeal denied); vote of discharge review board and reasons (special considerations, mitigating factors, compelling reasons, deserving post service conduct); date of applicant notification of discharge review determination, and application for rehearing if applicable.

Information which may be obtained from military service records pertaining to the requester includes whether individual completed tour in Southeast Asia or Western Pacific, was wounded in combat, decorated for valor or merit, honorably discharged from previous tour, satisfactorily served 24 months prior to discharge or completed alternative service, or was excused in accordance with Presidential Proclamation 4313. Mitigating data pertaining to request include general aptitude, length of service at time of discharge, education level, socio-economic background, factors related to personal distress, waiver(s) granted for service entry, offense(s) motivated by conscience, drug/alcohol related discharge, and good citizenship. Disqualifying data include whether discharged for act(s) of violence/dishonor, offense(s) subject to civilian criminal prosecution, and desertion in or from combat theater.

Automated record contains summary data from case data summary sheet described above, accumulated by Army for all military services, and includes type record, SSN or service number(s), discharge date (between 4 Aug 64 and 28 Mar 73), name, address, telephone number, hearing method, date of inquiry, date of confirmation letter.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Sections 3012, 1553, and 1554.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To support Army Discharge Review Board actions and notify appropriate government agencies (e.g., Veterans Administration) of matters pursuant to such action.

To render recurring reports on number of cases processed by each military service, and matters associated therewith.

To respond to inquiries from individuals to whom records pertain, their counsel, members of Congress, and other governmental agencies concerning the status and disposition of cases.

To obtain views and recommendations, as required, from other governmental activities within their area of responsibility, including The Attorney General and other law enforcement agencies in those cases alleging acts of force or violence and criminal conduct deemed to be so serious as to warrant continued investigation or possible prosecution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in files, card indexes, computer magnetic tapes/disks, computer punch cards, and computer printouts.

Retrievability:

By name, SSN or service number, case number or other individually unique identifier assigned the record. Case Summary may be grouped by military service Discharge Review Board and thereunder filed alphabetically by name, case number, SSN or service number, or by other appropriate identifier.

Safeguards:

Manual records are stored in buildings which employ security guards; records are accessible only to authorized personnel.

Automated records are under the control of a cardkey access system which requires positive identification and authorization, and are located in a designated controlled area to which access is limited to selected personnel only.

Retention and disposal:

Final determination and associated supporting documentation incorporated into the Official Military Personnel Folder of the Army member and returned to NPRC, GSA upon completion of action by the Discharge Review Board. Copy of case data summary sheet for each former military service member (Army, Navy, Marine Corps, Air Force) and copy of a comprehensive final report by each military service upon completion of the program will be retained by the Army Council of Review Boards for a period not yet determined.

Automated record information retained for 5 years or until such time as necessary to complete all special Discharge Review Board program actions and attendant administrative matters associated with accounting, reporting, and historical file maintenance in support of DOD requirements. Subsequently destroyed.

System manager(s) and address:

HQDA, ATTN: DAPE-HRL, The Pentagon, Washington, DC 20310.

Army Discharge Review Board, OSA, Room 1E-474, The Pentagon, Washington, DC 20310.

Commander, US Army Management and Systems Support Agency (for ADP portions of the DOD system).

Notification procedure:

Information may be obtained by contacting the respective military department discharge review boards. Addresses are as follows:

Office of the Secretary of the Army
ATTN: Discharge Review Board (Special Discharge Review Program)
Room 1E-474, The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-3071
Office of the Secretary of the Navy
ATTN: Discharge Review Board (Special Discharge Review Program)
Room 910, Ballston Centre Tower 2
801 North Randolph Street
Arlington, VA 22203
Telephone: Area Code 202/692-4991
Office of the Secretary of the Air Force
ATTN: Discharge Review Board (Special Discharge Review Program)
Room 920, Commonwealth Building
1300 Wilson Boulevard
Arlington, VA 22209
Telephone: Area Code 202/694-5669

Record access procedures:

Requests from individuals formerly with the Army should be addressed as indicated above. Written requests should contain the full name, SSN, former service number(s), address, telephone number and case number (if known) of the requester, and the fact that the request is related to the DOD Discharge Review Program (Special). Requests for information from other former service personnel should be addressed as indicated under 'Notification procedure'. (Requests of former members of the Coast Guard should be addressed to the Navy Discharge Review Board.)

For personal visits, the individual should be able to provide some acceptable identification such as driver's license and verbal information which can be used to verify that information contained in the record sought (e.g., SSN, former service number(s), address, and case number).

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA, ATTN: DAPE-HRL, The Pentagon, Washington, DC 20310.

Record source categories:

Official Army personnel files and related records.

Reports from the Navy, Marine Corps, and the Air Force.

Correspondence, documents, and other material generated as a result of action required by the DOD Discharge Review Program (Special).

Systems exempted from certain provisions of the act:

None.

A0727.08aDAPC

System name:

727.08 Temporary Disability Retirement Master List (TDRL)

System location:

United States Army Military Personnel Center (MILBERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Army personnel who are on temporary disability retirement.

Categories of records in the system:

File contains social security number (SSN), name, address, Department of the Army (DA) special order number, percentage of disability, doctor code, re-examination date, date placed on list, hospital code, travel code, Army component, pay termination code, requirement for board code, record control number, hospital name and address.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1376.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To fulfill statutory requirements assuring that personnel who are on temporary disability receive periodic physical examina- tions.

To prepare address verification letters, letter orders and allied listings.

To provide a quarterly listing of individuals in hospital code sequence to US Army Health Services Command. Disclosures may be made to a congressional office from the records of an in- dividual in response to a Congressional inquiry made at the re- quest of that individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tape and disk.

Retrievability:

Records accessed by SSN and date (parameter) control card.

Safeguards:

Magnetic tape is maintained in areas accessible only to authorized personnel; automated media are protected by authorized password for system, controlled access to operation rooms and controlled output distribution.

Retention and disposal:

A magnetic tape record is maintained on each individual while in a temporary disability retired status or removed by pro- cessing a deletion transaction. The current and two previous tape files are maintained at any given time. Upon creation of a new file, the oldest file is erased.

System manager(s) and address:

Commander, United States Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
Commander, United States Military Personnel Center
200 Stovall Street
Alexandria, VA 22332.

Record access procedures:

Requests for information should be addressed to: Headquarters, Department of the Army (DAPC-PAS-RD), 200 Stovall Street, Alexandria, VA 22332.

Written request for information should contain the individual's name, SSN, and appropriate return address.

Personal visits may be made to United States Army Military Personnel Center; individuals should be able to provide their military service identification card or other commonly accepted identification.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained from documents and computer readable form from other DA offices.

Systems exempted from certain provisions of the act:

None

A0728.01DAAG

System name:

728.01 Retired Personnel Data File

System location:

Primary System: The Adjutant General Center, 1000 Independence Avenue SW, Washington, DC 20314.

Decentralized segments: United States Army Military Personnel Center (USAMILPERCEN), 200 Stovall Street, Alexandria, VA 22332; Army commands/installations operating retiree councils and/or service activities.

Categories of individuals covered by the system:

All retired Army personnel.

Categories of records in the system:

File contains name, grade codes, retirement class, social security number, branch of service, date of birth, date of retirement, component, years of service, percentage of disability, sex, retired pay codes, address codes, and retirement codes. File is maintained on magnetic tape for output to microfiche for manual video use.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Adjutant General Center: To fulfill statutory requirement for listing of retired personnel; to accomplish a continuing contact with the retired person with respect to their entitlements, envolvements, and status as a retired military member; to provide listings, geographically, for use by commands/installations operating retiree councils and/or service activities; and for locator use.

General Services Administration: To obtain printing services for volume III, Army Registers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfiche and magnetic tapes.

Retrievability:

Record accessed by name.

Safeguards:

Microfiche maintained in areas accessible only to authorized personnel who are trained and cleared for duty in the retired activities branch; magnetic tape is maintained in areas accessible only to personnel who are trained and cleared for computer duties.

Retention and disposal:

Magnetic tape updated through input of new retiree, address change, and death; individual data record retained until death.

System manager(s) and address:

Commander, The Adjutant Genral Center, 1000 Independence Avenue SW, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Commander
The Adjutant General Center
1000 Independence Avenue SW
Washington, DC 20314

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (HQDA) (DAAG-PER), 1000 Independence Avenue SW, Washington, DC 20314.

Written requests for information should contain the full name of the requester, service identification number, and current address.

Personal visits may be made to the Adjutant General Center. Individuals should be able to provide their military service identification card or other commonly acceptable means of identification used in the normal transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAAG-AMR), 1000 Independence Avenue SW, Washington, DC 20314.

Record source categories:

Retirement order and documents; retiree input of address change data; death notifications.

Systems exempted from certain provisions of the act:

None

A0802.01aNGB

System name:

802.01 Technician Personnel Management Information System (TPMIS)

System location:

Primary System: Office of Technician Personnel National Guard Bureau (NGB-TN) and National Guard Computer Center (NGB-AD), Columbia Building, 5600 Columbia. Pike, Falls Church, VA 22041.

Decentralized Segments: Adjutants General of each State, Puerto Rico, Virgin Islands and District of Columbia.

Categories of individuals covered by the system:

Army and Air National Guard technicians employed under the provisions of Title 32 U.S.C., Section 709.

Categories of records in the system:

Centralized file contains the following data elements: name, social security number (SSN), submitting office number, date of birth, sex, citizenship code, reportable handicap code, organization designation, state code, date of retirement from uniform service, purpose and source of training, on duty and non-duty hours of training, training priority, special interest program, direct and indirect training costs, record type, card code, uniform service designation code, uniform service component code, uniform service pay grade, type technician, service computation date, effective date of action, nature of personnel action, employee tenure, Federal Employees Group Life Insurance (FEGLI), retirement, veterans preference, pay plan, grade level, step/rate, occupation series, functional classification, pay basis, salary, geographic location, unit identification code, position occupied, work schedule, pay rate determinate, identification code, position occupied, work schedule, pay rate determinate, special program identification, type of appointment, job number, position tenure, supervisory identification, manning document number and date, project number, function code, level of education, academic discipline, date degree attained, Federal Employees Health Benefit Status Code, National Guard Association Insurance Trust Insurance Status Code, program element code, losing state code, reason for separation code, minority group designator, type of training code, converted military grade, Air Force specialty code (AFSC), military occupation series (MOS), job title, personnel accounting symbol (PAS), military pay date, total years service date.

Decentralized file contains those data elements within the centralized file plus the following: annual performance rating date, probationary or trial period completion date, conversion to career date, conversion to excepted date, within-grade due date, length of service due date, limitation code, not to exceed date, technician/military code, and mandatory retirement date.

Information other than that specified in National Guard Bureau (NGB) publications will not be maintained in the system. In the event any other information is maintained, the State Adjutant General will be the responsible agent for such information.

Authority for maintenance of the system:

Title 32 U.S.C., Section 709 and Executive Order 93-97, November 22, 1943.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To statistically analyze the technician workforce strength trends and composition in support of established manpower and budgeting programs and procedures.

To provide statistics and individual personnel information required of the NGB by the Departments of the Army and Air Force, Department of Defense, Office of Management and Budget, Department of Labor, the United States Civil Service Commission, and various staff offices of the National Guard.

To prepare reports, reply to correspondence from both individuals and groups under the Freedom of Information Act and Privacy Act of 1974, and to respond to requests from courts and regulatory bodies.

To produce suspense notices for performance ratings, trainee status, probationary or trial period completion date, conversion to career date, conversion to excepted date, within-grade due date, length of service due date, not to exceed date and mandatory retirement date; and to provide information for internal audit and file maintenance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes, disks, computer printouts, punch cards, paper records and microfiche.

Retrievability:

Information is accessed and retrieved by SSN, and/or data elements listed in RECORD-CATEGORY above.

Safeguards:

Accessed by custodian of the system, by employee(s) responsible for servicing the record system in performance of their official duties. Building in which computer system is housed employs security guards. Computer room is accessible by authorized persons only. Computer software precludes unauthorized access to the file through a system of password and system lockout procedures. Buildings in which the microfiche, punch cards, and paper records are housed are secured by uniformed guards and the office maintaining these data is secured when not occupied.

Retention and disposal:

Updated master files contained on either magnetic tape or disks are maintained as permanent records. Work tapes or disks are cleaned (degaussed) immediately or within 45 days after creation. Computer printouts and microfiche containing selected workforce characteristics are retired to National Guard Records Storage in accordance with applicable regulations. Work records are retained for 45 days and then destroyed.

System manager(s) and address:

Chief, NGB-TN, Defense Post Office Unit R-411, 5600 Columbia Pike Office Building, Falls Church, VA 22041.

Decentralized SYSMANAGERS: Office of the State Adjutant General of each State, Puerto Rico, Virgin Islands and District of Columbia.

Notification procedure:

Requests from individuals should be addressed to the appropriate State decentralized SYSMANAGER or the centralized SYSMANAGER. Written requests should contain full name of individual, SSN, current employing State.

For personal visits, requester must provide name and SSN from an acceptable form such as driver's license and employee identification card.

Record access procedures:

Individual requests should be addressed to either the appropriate Decentralized SYSMANAGER or the centralized SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information received from the employee official personnel folder, payroll records, manpower authorization document, and automated interface with Army and Air Guard Military Personnel Systems.

Systems exempted from certain provisions of the act:

None

A0807.01DAAG

System name:

807.01 MCT USAR Civilian Technician System

System location:

Primary System: Systems Support Directorate, United States (US) Army Reserve Components Personnel and Administration Center (USARCPAC) (Field Operating Agency of The Adjutant General's Office, Department of the Army), 9700 Page Boulevard, St Louis, MO 63132.

Decentralized Segments: Office of Chief Army Reserve (OCAR), and Department of the Army Staff (DAS) agencies and commands.

Categories of individuals covered by the system:

Any person who is currently employed as a US Army Reserve Civilian Technician.

Categories of records in the system:

File contains personnel identification data to include name and social security number (SSN), and work status data concerning job category, grade, assigned work station and location. If personnel are members of the US Army Reserve (USAR), data on reserve assignment and reserve grade are also carried.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USARCPAC: Receive raw input data from USAR Commands, maintain the centralized data processing system and produces and distributes reports to the users. Is the computer processing support agency; does not utilize or dispense data to other than officially designated agencies.

USAR Commands: To obtain current management data to administer to technicians assigned within their command.

OCAR: To monitor the overall program and to provide policy guidance and budget planning for the program.

Other DAS agencies and commands: To provide data for inclusion in training and mobilization plans.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored as computer tape and paper printout.

Retrievability:

Sequenced numerically by SSN within unit identification code of unit to which assigned.

Safeguards:

Security guards limit access to the USARCPAC. Magnetic tape files are maintained in a library by reel numbers; access to a specific file must be determined by responsible scheduling personnel. In addition, basic file characteristics must be programmed into access programs before individual data records can be referenced.

Access to hardcopy listings is limited to employed personnel with a job related need-to-know requirement at the OCAR, USAR Commands, and other DAS agencies and commands.

Retention and disposal:

The automatic data processing system at the USARCPAC requires records to be maintained on an evolutionary schedule; a record is created upon hiring and is eliminated when employment is terminated. Tape files are retained for 60 days; tape files are retained in a tape library through 3 processing cycles, a creation cycle, for use as the current file in next creation cycle and then as the emergency backup file.

Printed reports/listings are maintained at the OCAR, USAR Commands, and other DAS agencies and commands until superseded by the next edition.

System manager(s) and address:

The Chief of Army Reserve. Headquarters Department of the Army, (HQDA), The Pentagon, Washington, DC 20310.

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Notification procedure:

Information may be obtained from:
OCAR (DARR-PE)
Room 2D532
The Pentagon
Washington, DC 20310.
Telephone: Area Code 202/695-0877

Record access procedures:

Requests for information should be addressed to: HQDA, OCAR, ATTN: DAAR-PE, Washington, DC 20310.

Requests should contain the full name and SSN of the individual, current address and telephone number and a clear, concise request statement.

Personal visits are limited to the USAR Command having jurisdiction over the unit by whom the technician is employed. Acceptable identifying documents such as driver's license, Reserve identification card or other document that can be verified against record is required.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA, OCAR (DAAR-PE), Washington, DC 20310.

Record source categories:

Data are transmitted from the employing USAR Command to the USARCPAC, on Department of Army Forms 3615-R, Strength and Utilization of USAR Technicians via the US Postal Service. Processed data are returned to authorized agencies by reports controlled by the US Army Reports Control System.

Systems exempted from certain provisions of the act:

None

A0807.05aDAPE

System name:

807.05 NAF Personnel Records

System location:

Decentralized Segments: Installation Civilian Personnel Offices and National Personnel Records Center, (NPRC), St Louis, MO.

Categories of individuals covered by the system:

All individuals who have applied for employment with, are employed by, or were employed by nonappropriated fund (NAF) activities.

Categories of records in the system:

Files may contain applications and requests for employment, testing and qualification documents, ratings documents, documentation of prior employment, appointment documents, notification of personnel actions, medical certificates, suitability and security documents, performance evaluations, retirement and group insurance documents, job descriptions and experience statements, training and career development records, records of awards and commendations, withholding authorizations, authorizations for differentials and allowances, authorizations for local logistical support, injury and death compensation documents, unemployment compensation documents, requests for personnel actions and/or entitlements, travel and transportation authorization documents, reduction-in-force and adverse action documents, disciplinary action records, statements covering conflict of interest and/or conduct, and correspondence relating to the above named.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by Department of the Army (DA) Staff Agencies, commands and installations to carry out a personnel management program for DA NAF instrumentalities. The records are used to recruit, select, appoint, assign, pay, evaluate, recognize, discipline, train and develop, and separate individuals; to administer employee benefits; for labor-management relations, employee-management relations, and responsibilities inherent in the execution of managerial and supervisory functions. Records are used to prepare reports, prepare correspondence, respond to courts and regulatory bodies, execute statutory requirements (such as Freedom of Information Act) and to respond to employee inquiries.

Other Federal agencies, such as General Accounting Office, General Services Administration, Civil Service Commission, Department of Labor, Department of Justice, use these records to resolve and/or adjudicate matters falling in their jurisdiction.

Records may also be disclosed to labor organizations in response to requests for names of employees and identifying information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, kardex files.

Retrievability:

Filed alphabetically, manually, by last name; by social security number (SSN); or other individually assigned number by numerical sequence.

Safeguards:

Storage area restricted to authorized personnel only and the documents treated as if they were FOR OFFICIAL USE ONLY.

Retention and disposal:

Documents denoting appointment, tenure and pay are retained at Activity level during period of employment and 30 days after separation are forwarded to the NPRC for permanent retention. Other records are held for the period of probability of use, then retained in records holding area for a safety period and subsequently destroyed.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, DA, The Pentagon, Washington, DC, 20310.

Notification procedure:

Information may be obtained from:
Civilian Personnel Officer (at installation where employed).
Former nonappropriated fund employees: NPRC (Civilian) 111 Winnebago Street, St Louis, MO 63118.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (HQDA) (DAPE-CPR), Washington, DC 20310.

Written requests from individuals should contain the full name of the requester, current address and telephone number, a specific description of the information/records sought, and any identifying numbers such as SSN.

For personal visits, the individual should be able to provide acceptable identification such as: driver's license, employing office's identification card, and furnish verbal information in support of his request.

Contesting record procedures:

The Army's rules for contesting contents of the records and appealing initial determinations may be obtained from HQDA (DAPE-CP) Washington, DC 20310.

Record source categories:

Applicant or employee prepared or introduced documents, statements or correspondence from persons having knowledge of the individual or acts of the individual, official records, officially generated documents notating actions or events affecting employment and/or pay.

Systems exempted from certain provisions of the act:

None

A0807.09aDAPE

System name:

807.09 Grievances and Appeals Under Negotiated Grievance Procedures

System location:

Civilian Personnel Office servicing the Department of the Army (DA) activity/installation.

Categories of individuals covered by the system:

DA civilian employees paid from appropriated funds serving under career, career-conditional, temporary and excepted service appointments on whom discipline, grievances and complaints records exist.

Discrimination complaints of civilian employees, paid from appropriated and nonappropriated funds, applicants for employment and former employees in appropriated and non-appropriated positions.

Management operation record system consisting of manual file maintained by immediate supervisors and high level managers concerning employee performance, capability, informal discipline, attendance, leave and tardiness, work assignments and similar work-related, employee-related, employee records.

Categories of records in the system:

Manual files, maintained in paper folders, contain copies of documents and information pertaining to discipline, grievances, complaints and appeals.

Authority for maintenance of the system:

Executive Order 9830, Amending the Civil Service Rules and Providing for Federal Personnel Administration; Title 4 U.S.C., Sections 1302, 3301 and 3302; Executive Order 10577, Amending the Civil Servic Rules and Authorizing a New Appointment System for the Competitive Service.

Pub. L. 92-261, The Equal Employment Opportunity Act of 1972; Pub. L. 93-259, Extension of Age Discrimination in Employment Act of 1967.

Title 5 U.S.C., Section 7512; Executive Order 11491, Labor Management Relations in the Federal Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials of the DA or other Department of Defense (DOD) agencies in the performance of their duties related to the management of civilian employees in the processing, administration and adjudication of discipline, grievances, complaints, appeals, litigation and program evaluation.

Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of civilian personnel management programs or personnel actions, or such other matters under the jurisdiction of the Commission. Appeals officers and complaints examiners of the Federal Employee Appeals Authority for the purpose of conducting hearings in connection with employees' appeals from adverse actions and formal discrimination complaints.

The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the civilian manpower management programs.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

The Senate or House of Representatives of the United States, or any member, committee or subcommittee or joint committees on matters within their jurisdiction relating to the above programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records stored in paper folders.

Retrievability:

Manual records filed by last name.

Safeguards:

All records are stored under strict control and are available only to authorized personnel having a need-to-know.

Retention and disposal:

Manual records are destroyed upon separation of the employee from the activity or in accordance with appropriate record disposal schedule.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Office of the Director of Civilian Personnel (DAPE-CP), Headquarters, Department of Army, Washington, DC 20310.

Notification procedure:

Request by correspondence should be addressed to: Director of Civilian Personnel, DA activity/installation. The letter should contain the full name, social security number, and signature of the requester. The individual may visit the DA activity at which he or she is employed. In the event requester is unable to obtain information, contact DOD Privacy Board, Washington, DC 20314.

Record access procedures:

The Army's rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Supervisors or appointed officials designated for this purpose.

Systems exempted from certain provisions of the act:

None

A0807.14aDAPE

System name:

807.14 Department of the Army Civilian Personnel Systems

System location:

Primary System: Civilian Personnel Information System I/Civilian Career Management File, United States (US) Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Derivative Systems are maintained at commands, installations and activities dependent on the type of system maintained. Command-wide systems are the Civilian Personnel Accounting System of the US Army Military District of Washington, the US Army Corps of Engineers Management Information System Files for Personnel Administration, and the Personnel Management Information System of US Army Materiel Command. Official mailing addresses are in the organizational directory in the Appendix.

Categories of individuals covered by the system:

All US citizen appropriated fund employees and in some instances non-appropriated fund employees, dependents, and foreign nationals; military personnel are included in the incentive awards and training programs.

Categories of records in the system:

Records maintained are afforded broad and general coverage by the US Civil Service Commission (CSC) system notices for application to CSC systems of records which are temporarily in custody of the Department of Army (DA). To support personnel administration at DA Headquarters, commands, installations, and activities, civilian personnel systems vary in informational capacity according to respective requirements and contain several or all of the following records: academic discipline; career program; citizenship; command; date (year) degree attained; date of birth; educational level; academic; effective date of action; employee tenure; Federal Employees Group Life Insurance; functional classification; function designator; General Services Administration location; grade or level; minority group designator; name of employee; nature of action; occupational series; pay basis; pay plan; pay rate determinant; physical handicap; position occupied; position supervisory; position tenure; retirement; retired military; salary; service computation date; sex; social security number (SSN); special program identifier; step or rate; submitting office number (SON); training; date of completion; training direct costs; training; non-duty hours; training; on-duty hours; training; principal purpose of; training; special interest program; training; source; training; type; type of appointment; unit identification code (UIC); veterans preference; work schedule; organizational and position data; retention data; adverse action data; Fair Labor Standards Act coverage; cost of living allowances; transportation entitlements; cost codes; leave category; salary history; wage area; position sensitivity; security investigation data; security clearance and access data; performance award; suggestion award; cash award; reemployment rights; training agreement; reserve status; vessel operations qualification; Government driver's license; food handler's permit; intern recruitment and training data; career management data including performance/potential ratings; employee evaluation; education; experience; qualifications; achievements; training; geographic availability; health; dependent data; careerist comments; and similar information; overseas sponsor information; state address; home address leave data; foreign language code. Records are maintained for military personnel participating in the DOD Incentive Awards Program and training programs sponsored by operating civilian personnel offices.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 1124.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The CSC system notices applying to CSC systems of records which are in custody of the DA provide broad and general coverage of routine uses of DA civilian personnel systems. Information for which these records are used or may be used by Headquarters, Department of the Army (HQDA) commands, installations, and activities include reports and statistical analysis of the civilian workforce strength trends and composition in support of established manpower and budget programs and procedures, provide employment verification, provide data in support of Equal Employment Opportunity program requirements, provide locator and emergency notification data pertaining to civilian employees, provide data for the Central Personnel Data File, provide interface with other automated systems, provide information in response to union requests, provide data for retention purposes, identification of training requirements, strength accounting to insure employment within manpower ceilings, grade control, salary data for current and projected fiscal guidance, personnel data for current and projected staffing requirements, provide certain information releasable under the Freedom of Information Act, security clearance and access information, employee data for retirement processing, provide data for individual personnel action forms, suspense dates for within grade increases, length of service awards, performance ratings, pay adjustments and tenure group, prepare labor cost distribution reports, analysis of leave usage, investigation of complaints, grievances and appeals, response to requests from courts and regulatory bodies, provide incentive awards information, used in providing qualified candidates to fill position vacancies, eval-

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uation of special employment programs, contingency planning for civilian employees and dependents, counseling employees on career development and planning future training, plan dependent services in overseas areas, used to advise and counsel employees for development, identify training needs, record historical training data, produce average grade and position control data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tapes, drum, disk, punched cards, microfilm/fiche, or hard copy.

Retrievability:

Records are retrieved by SSN and name, or by 1 or a combination of data elements contained in DA civilian personnel systems.

Safeguards:

The computer facilities and terminals are located in restricted areas accessible only to authorized personnel who are properly screened, cleared, and trained. Manual records, microfilm/fiche, and computer printouts are stored in locked rooms, locked cabinets on military installations or buildings secured by guards.

Retention and disposal:

Records are permanent through employee tenure and maintained after separation, transfer, or retirement. Records are maintained for various periods according to category.

System manager(s) and address:

HQDA, Deputy Chief of Staff for Personnel, Washington, DC 20310.

Notification procedure:

Upon presentation of proper identification, information may be obtained from servicing civilian personnel office. Individual must provide full name and SSN.

Record access procedures:

Requests from individuals should be addressed to the servicing civilian personnel office.

Written requests should contain as a minimum, the individual employee's name and SSN.

For personal visits, individual must provide acceptable identification, e.g., driver's license, military or civilian identification card.

No identification is required if the individual has previously given written consent for release to the general public.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained directly from the individual concerned or from official personnel files.

Systems exempted from certain provisions of the act:

None

A0808.01aAMC

System name:

808.01 Hazardous Devices Course Graduates

System location:

Hazardous Devices Division, Munitions Department, Deputy Commandant for Training and Education, United States Army Missile and Munitions Center and School (USAMMCS), Redstone Arsenal, AL 35809.

Categories of individuals covered by the system:

Civilian public safety personnel who are graduates of the Hazardous Devices Course.

Categories of records in the system:

The locator card contains personal information such as home phone number, business phone number, present employer, and position title of public safety personnel who are graduates of the Hazardous Devices Course.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cards are used to retain information pertaining to graduates of the Hazardous Devices Course for release to responsible agencies and individuals who have a valid need to identify bomb disposal technicians within their area.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in the form of cards.

Retrievability:

Filed alphabetically by name and geographically by State.

Safeguards:

Records are accessible only to authorized personnel.

Retention and disposal:

Cards are destroyed upon request of the individual or when the individual no longer is associated with the bomb disposal field.

System manager(s) and address:

Commandant, USAMMCS, Redstone Arsenal, AL 35809.

Notification procedure:

Information may be obtained from:
Commandant, USAMMCS,
ATTN: ATSKTEB-H,
Redstone Arsenal, AL 35809.

Record access procedures:

Request from individuals should be addressed to the SYSMANAGER.

Written requests for information should contain the full name, grade, position, and title.

For personal visits, the individual should be able to provide acceptable identification.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Personal information furnished by the individual concerned.

Systems exempted from certain provisions of the act:

None

A0810.01aAMC

System name:

810.01 Educational Development/Contractor Personnel

System location:

Education Branch, Personnel Services Division, Director of Personnel and Community Activities, ATTN: ATZC-PAPE, Ft Bliss, TX 79916.

Categories of individuals covered by the system:

Civilian personnel who hold or have held contracts as instructors, test proctors or Librarian military occupational specialty pro- viding nonpersonal services for the Director of Personnel and Community Activities, Ft Bliss, TX.

Categories of records in the system:

File contains Letters of Applications or Statement of Applicant Qualifications; Provost Marshal Files Check; Disposition Form; Personnel Security Action; Standard Form (SF) 26, Contracts Award; SF 30, Amendment to Contracts (as required); Department of Defense (DD) Form 1155, Delivery Order; SF 1034, Public Voucher for Purchases and Services other than Personal.

Authority for maintenance of the system:

Title 31 U.S.C., Sections 82b-82f, Title 10 U.S.C., Section 4302; Title 10 U.S.C., Section 3012-G.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain data on contractor personnel required by Army Security Regulations, for pay purposes and schedule of services.

Used by Education Branch, administrative and budget management personnel to process contract requests, prepare vouchers for payment of services and to derive education program costs for budget reports and projection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of contractor.

Safeguards:

Records maintained in an area accessible only to authorized personnel.

Retention and disposal:

Destroy after 2 years, or on discontinuance, whichever is first.

System manager(s) and address:

Director of Personnel and Community Activities, Headquarters, US Army, Air Defense Center and Ft Bliss (USAADCENFB), Ft Bliss, TX 79916.

Notification procedure:

Information may be obtained from:
Commander
USAADCENFB and Ft Bliss
ATTN: ATZC-PAPE
Ft Bliss, TX 79916
Telephone: Area Code 915/568-1011

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER.

Written requests should contain name, social security number (SSN), dates and type of work.

Personal visits are limited to the Administrative Office of the Ft Bliss Education Branch, Ft Bliss, TX. Individual must be able to provide proof of identity including verbal infor- mation that can be verified.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Applications from individuals; Notice of Files Check from Provost Marshal; Notice of Award of Contract; Amendments to Contract, and Delivery Orders from Procurement Division, Director of Industrial Operations (DIO); Personnel Security Action Notice from Director of Security; and Public Vouchers for Purchases and Services other than Personal from Education Branch Administrative Office.

Systems exempted from certain provisions of the act:

None

A0810.09DAEN

System name:

810.09 Contract Training File

System location:

Office of General Counsel, Office, Chief of Engineers (DAEN-GCZ-C), Headquarters, Department of the Army (HQDA), Washington, DC 20314.

Categories of individuals covered by the system:

Persons applying for the Corps of Engineers (COE) student program sponsored by the Office of General Counsel.

Categories of records in the system:

File contains letters of application, transcripts for educational institutions, resumes, writing samples, and correspondence between the COE and the applicant.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of General Counsel: Used as a basis for selecting participants in program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building has security guards.

Retention and disposal:

Destroyed 3 years after completion of training program.

System manager(s) and address:

Office of General Counsel, Office, Chief of Engineers, Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
HQDA (DAEN-GCH)
Room 4A169
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-6961

Record access procedures:

Requests from individuals should be addressed to Office of General Counsel, The Chief of Engineers, Room 4A169, Forrestal Building, (DAEN-GCH) Washington, DC 20314.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Employers, educational institutions and bar associations.

Systems exempted from certain provisions of the act:

None

A0810.10aDAEN

System name:

810.10 Military Construction Training Files

System location:

Construction Training, Construction Support Branch, Construction Division, Directorate of Military Construction, Office of the Chief of Engineers (COE), Washington, DC 20314.

Categories of individuals covered by the system:

Any participant in the annual Chief of Engineers Construction Training Program.

Categories of records in the system:

File contains individual's grade, occupational code, district or division employed by, and age.

Authority for maintenance of the system:

Government Employees Training Act of 7 Jul 58, 72 Stat 327 (Pub. L. 85-507).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides an historical record of training and source of data for statistical reports; serves as basis for developing additional courses and evaluating the effectiveness of training; and provides data for cost accounting and developing budget estimates for the training program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, disk, and computer printouts.

Retrievability:

Accessed by name and social security number (SSN).

Safeguards:

Computer 'Fail Safe' System.

Retention and disposal:

Information on individuals is deleted from the system upon termination of employment.

System manager(s) and address:

Chief of Engineers, Department of the Army (DA), Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Chief of Engineers
ATTN: DAEN-MCC-E
Department of the Army
Washington, DC 20314
Telephone: Area Code 202/693-1310

Record access procedures:

Requests from individuals should be addressed to Chief of Engineers, DA, ATTN: DAEN-MCC-ET, Washington, DC 20314.

Written requests for information should contain, as a minimum, the individual's full name and SSN.

For personal visits, the individual should be able to provide employing office's identification card or other suitable identification such as a passport or driver's license with photograph.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is submitted by the individual student.

Systems exempted from certain provisions of the act:

None

A0810.15AMC

System name:

810.15 Training Summary

System location:

Program Management Division, Management Information Systems Directorate, Headquarters, United States Army Armament Command, (HQUSAAC), ATTN: AMSAR-MSP, Rock Island, IL 61201.

Categories of individuals covered by the system:

All personnel of the Management Information Systems Directorate, HQUSAAC.

Categories of records in the system: Name, job series, title, grade, cost center, payroll number, security clearance, education code, social security number (SSN), birthdate, date of last promotion, date of last step-increase, in hire date, service computation date, college courses taken, training courses completed, clock hours of training courses, credit hours of college courses, completion dates of all college courses and training courses taken.

Authority for maintenance of the system:

Executive Order 11348.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a record of individual training and experience.

Report is used by supervisors and training coordinator in development of 5 year training projection and individual career training programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Listing is maintained on computer printouts and stored in binders. Magnetic tapes are stored in main computer area.

Retrievability:

SSN.

Safeguards:

Locked in storage cabinet; protected by security guards.

Retention and disposal:

Records are kept until superseded. They are updated on a quarterly basis and old report is shredded prior to disposal.

Magnetic tape is released for use after updating.

System manager(s) and address:

Commander, USAAC, Rock Island, IL 61201.

Notification procedure:

Requests for information should be made to HQUSAAC, Rock Island, IL 61201.

Individual must submit SSN and name to determine whether system contains records pertaining to him/her.

Record access procedures:

Requests should be addressed to HQUSAAC (AMSAR-MSP), Rock Island, IL 61201.

Written requests for information should contain the individual's name, SSN, and current address.

For personal visits, the individual should be able to provide acceptable identification, i.e., employing office identification badge or card, or driver's license, and provide verbal information as to SSN.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual personnel records, unit training records, college and service school catalogs, and vendor information bulletins.

Systems exempted from certain provisions of the act:

None

A0811.05aAMC

System name:

811.05 Civilian Attorney/Patent Adviser Career Files

System location:

Office of the General Counsel, United States Army Materiel Command, (USAMC), ATTN: AMCGC-A, 5001 Eisenhower Avenue, Alexandria, VA 22333

Categories of individuals covered by the system:

All civilian attorneys and patent advisers of the USAMC.

Categories of records in the system:

Applications for employment, evaluation statements, reference statements, law school transcript, certificate of admission to the bar, certificate of good standing, personnel notification of appointments, transfers, promotions and details, and job description.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine qualifications, accredited law school or nonaccredited, academic standing, what bar the applicant is a member of, and whether he/she is currently an active member in good standing. This information is used by the General Counsel and/or a panel of senior attorneys to determine eligibility of an individual for appointment, promotion, or transfer within the USAMC. The only other personnel who see the files are file clerks.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in locked safe cabinets, with access limited to the file clerks, career program manager, functional chief, and the panel of senior attorneys who sit on the ad hoc committee to determine best qualified individuals for a particular position. An individual file folder is maintained for each professional attorney/patent adviser in the command.

Retrievability:

Files are maintained and retrieved by name.

Safeguards:

The records are maintained in safe file cabinets and can only be retrieved at the direction of the General Counsel or the Career Program Manager.

Retention and disposal:

Files are destroyed in the current files area 2 years after the individual is no longer eligible for consideration for appointment, promotion, or transfer.

System manager(s) and address:

General Counsel
USAMC
5001 Eisenhower Avenue
Alexandria, VA 22333
Telephone: Area Code 202/274-8046

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Only those records submitted by the individual are maintained and are available in the Office of the General Counsel, USAMC for the individual to review. Each individual's travel order or Department of Defense pass is checked to verify identity. The Career Program Manager is authorized to give access to records. The address is:

Career Program Manager
Office of the General Counsel
USAMC
5001 Eisenhower Avenue
Alexandria, VA 22333

Contesting record procedures:

The Army's rules for access to records for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from educational institutions, state bar associations, previous employers, prospective employers, and individuals whose names have been furnished as references.

Systems exempted from certain provisions of the act:

None

A0811.05bDAEN

System name:

811.05 Occupational Inventory Files

System location:

Office of General Counsel, Office, Chief of Engineers (DAEN-GCZ-B), Headquarters, Department of the Army, Washington, DC 20314.

Categories of individuals covered by the system:

All attorneys employed by the Corps of Engineers.

Categories of records in the system:

File contains individual's application for attorney employment, school transcript, bar admission certificate, references, evaluation by superior, Standard Form 50.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of General Counsel: Used as a basis for determining promotion and reassignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building has security guards. Records are maintained in locked files accessible only to authorized personnel.

Retention and disposal:

Destroyed 2 years after individual is no longer eligible for consideration for promotion or reassignment.

System manager(s) and address:

General Counsel, Office of Chief of Engineers, Forrestal Building, 1000 Independence Avenue, SW, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
OCE (DAEN-GCZ-A)
Room 4A213
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-3047

Record access procedures:

Requests from individuals should be addressed to Office of General Counsel Chief of Engineers (DAEN-GCK), Room 4A169, Forrestal Building, Washington, DC 20314.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Previous employers, educational institutions and bar associations.

Systems exempted from certain provisions of the act:

None

A0811.06DAPE

System name:

811.06 Referral Program for NAF Employees

System location:

Primary System: Nonappropriated Fund (NAF) Branch, Procedures and Regulations Division, Deputy Chief of Staff for Personnel (DCSPER) (Civilian Personnel), Department of the Army (DA).

Categories of individuals covered by the system:

Individuals who register in the NAF Referral Program.

Categories of records in the system:

File contains individuals' applications for employment, requests and referral lists to fill vacant positions, and related correspondence between the DCSPER NAF Branch, field activities (servicing civilian personnel offices and NAF activities), and individual applicants.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as an applicant and referral file for currently registered NAF employees; used to determine qualifications, availability, and mobility of employees for existing and future vacancies in the United States and foreign locations and to produce referral lists of qualified employees. Information from records is used in preparing reports, replying to correspondence, responding to requests from courts and regulatory bodies and executing statutory requirements such as Freedom of Information Act.

Department of the Army Staff agencies and commands: To select individuals for existing vacancies, process related personnel actions, respond to grievances and complaints related to questions of qualification determination and nonselection to specific positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by occupational file and series and therein alphabetically by last name of applicant.

Safeguards:

Building employs security guards. Records are maintained in steel file cabinets in areas accessible only to authorized personnel.

Retention and disposal:

Application is retained in the active file as long as the individual is employed, unless he requests that it be returned. Applications are placed in the inactive file for 1 year after the employee's separation. Requests for and referral lists are maintained in the active file for 2 years from the date of the request. Records are destroyed after expiration of the 1 or 2 year time limitations, respectively.

System manager(s) and address:

NAF Branch, Procedures and Regulations Division, DCSPER (Civilian Personnel), Headquarters, Department of the Army, (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAPE-CPR-NAF)
Pentagon, Washington, DC 20310
Telephone: Area Code 202/697-2204

Record access procedures:

Requests from individuals should be addressed to: HQDA, (DAPE-CPR-NAF), The Pentagon, Washington, DC 20310.

Written requests from individuals should contain the full name of the requester, current address and telephone number, a specific description of the information/records sought, and if previous correspondence was involved, the subject and date thereof.

For personal visits, the individual should be able to provide acceptable identification such as: driver's license, employing office's identification card, and furnish verbal information that can be verified from his case file.

Contesting record procedures:

The Army's rules for contesting contents of the records and appealing initial determinations may be obtained from HQDA (DAPE-CP), Washington, DC 20310.

Record source categories:

Applications submitted by individual employees, requests for referral lists submitted by servicing civilian personnel offices, referral lists furnished by DAPE-CPR-NAF, and related correspondence.

Systems exempted from certain provisions of the act:

None

A0812.04DAPE

System name:

812.04 NAF Complaint, Appeal & Grievance Case Files

System location:

Files on cases which have reached the formal investigative stage are maintained at Headquarters, Department of the Army, (HQDA), Washington, DC 20310, ATTN: PECA. Copies of these files are maintained in decentralized area Appellate Review Offices. Files on cases in the informal stages and cases which have not reached the formal investigative stage are maintained within either the Equal Employment Opportunity Office or the servicing Civilian Personnel Office of the appropriate installation or activity. Official mailing addresses are in the Department of Defense directory in the Appendix.

Categories of individuals covered by the system:

Any individual who has applied for employment with, is employed by or was employed by a nonappropriated fund (NAF) instrumentality within Department of the Army (DA) and who has filed (individually or collectively) a complaint, grievance or appeal.

Categories of records in the system:

Records may contain any and all material pertaining to employment practices or working conditions which are the subject of the complaint, grievance or appeal. The file may contain, but is not limited to, copies of employment and pay documents, statements of knowledgeable parties, exhibits, and investigative reports.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Installations and activities use these records to investigate, resolve and/or adjudicate complaints, grievances and appeals. DA Staff agencies and commands use these records to investigate, resolve and/or adjudicate complaints, grievances, and appeals. Federal agencies, including General Accounting Office, General Services Administration, Civil Service Commission, Department of Labor, and Department of Justice use these records to resolve and/or adjudicate matters falling within their jurisdiction. Information from the records is used in preparing reports, replying to correspondence, responding to requests from courts and regulatory bodies, and executing statutory requirements such as Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed chronologically by geographical area. Cross indexed by alpha listing of last name (or filed alphabetically by last name); retrieved manually.

Safeguards:

Storage area restricted to authorized personnel only and the documents treated as FOR OFFICIAL USE ONLY records.

Retention and disposal:

Records are retained in an active file for a period of 3 years at DA and area offices and then destroyed. Retained in active file for 5 years at activity level.

System manager(s) and address:

The Deputy Chief of Staff for Personnel, DA, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (PECA)
Washington, DC 20310
Telephone: Area Code 202/693-1596

Record access procedures:

Requests from individuals should be addressed to: HQDA, (PECA), Washington, DC 20310.

Written requests for information should contain the full name, current address and telephone number of the requester and the docket number (if available) of the file requested.

For personal visits, the individual should be able to provide acceptable identification: that is, driver's license, employing office's identification card, including verbal information that can be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPE-CP) Washington, DC 20310.

Record source categories:

Official personnel and pay records, parties, witnesses, and persons having knowledge or maintaining relevant evidentiary material pertaining to the complaint, grievance or appeal.

Systems exempted from certain provisions of the act:

None

A0814.02aDAPE

System name:

814.02 Labor Management Relations Records System

System location:

Civilian Personnel Office servicing the Department of the Army (DA) activity/installation.

Categories of individuals covered by the system:

Civilian employees paid from appropriated and non-appropriated funds, who are involved in a grievance which has been referred to an arbitrator for resolution; civilian employees involved in the filing of an unfair labor practice complaint which has been referred to the Assistant Secretary of Labor-Management Relations; union officials; union stewards; and representatives.

Categories of records in the system:

Records comprise: manual files, maintained in paper folders, filed by type of case and case number (not individual). Folder contains all information pertaining to a specific arbitration case or specific unfair labor practice with which the DA has dealings; field activities maintain manual roster of local union officials and union stewards.

Authority for maintenance of the system:

Executive Order 11491, as amended 'Labor-Management Relations in the Federal Service'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the DA in the performance of their official duties related to the Labor- Management Relations Program, e.g., administration/ implementation of arbitration awards, interpretation of the Executive Order through 3rd party case decisions; national consultation and other dealings with the recognized unions.

Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Civilian Personnel Management Programs.

The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Labor Management Relations Program.

Officials and employees of other components of the DA in the performance of their official duties related to the administration of the Labor-Management Relations Program. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are retrieved by case subject, case number, and/ or individual employee names.

Safeguards:

All manual files are accessible only to authorized personnel having a need-to-know.

Retention and disposal:

Case files are permanently maintained. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

Deputy Chief of Staff for Personnel. Director of Civilian Personnel, Headquarters, DA, Washington, DC 20310. Washington, DC 20310.

Notification procedure:

Request by correspondence should be addressed to Civilian Personnel Office of Army activity/installation. The letter should contain the full name, social security number, and signature of the requester. The individual may visit the DA activity at which he/she is employed. In the event requester is unable to obtain information, contact DA Privacy Review Board, Washington, DC 20310.

Record access procedures:

The Army's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Servicing civilian personnel offices; arbitrator's office; office of the Assistant Secretary of Labor-Management Relations; union headquarters offices.

Systems exempted from certain provisions of the act:

None

A0902.07aDASG

System name:

902.07 Medical Regulating Files

System location:

Primary System: Armed Services Medical Regulating Office (ASMRO), Office of the Surgeon General, Department of the Army (DA), Washington, DC, 20310.

Decentralized Segments: United States (US) Government medical treatment facilities, evacuation units and medical regulating offices.

Categories of individuals covered by the system:

Any patient requiring transfer to another medical treatment facility who is reported to ASMRO by US Government medical treatment facilities for designation of the receiving medical facility.

Categories of records in the system:

File contains information reported by the transferring medical treatment facility and includes, but is not limited to, patient identity, service affiliation and grade or status, sex, medical diagnoses, medical condition, special procedures or requirements needed, medical specialties required, administrative considerations, personal considerations, the patient's home town and/or duty station and other information having an effect on the transfer.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ASMRO: To properly determine the appropriate medical treatment facility to which the reported patient will be transferred; to notify the reporting US Government medical treatment facility of the transfer destination; to notify the receiving medical treatment facility of the transfer; to notify evacuation units, medical regulating offices and other government offices for official reasons; to evaluate the effectiveness of reported information; to establish further the specific needs of the reported patient; for statistical purposes; and when required by law and official purposes.

US Government medical treatment facilities-evacuation units and medical regulating offices for official purposes concerned with, but not limited to, the transfer of the patient.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and on index cards.

Retrievability:

File alphabetically and by ASMRO control number.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Destroyed 1 year following the end of the calendar year in which the patient was reported to ASMRO.

System manager(s) and address:

Director, ASMRO, Office of the Surgeon General, DA, Room 1E641, The Pentagon, Washington DC 20310; Commanders of US Government medical treatment facilities, evacuation units and medical regulating offices.

Notification procedure:

Information may be obtained from SYSMANAGER or from the patient administrator of US Government medical treatment facilities reporting patient to ASMRO.

Written requests should include full name of patient, rank or status and parent service, approximate date of transfer, medical treatment facility from which transferred and current address of the individual making request.

For personal visits, requester must provide acceptable identification such as military identification card, social security card or driver's license.

Record access procedures:

Requests from individuals should be addressed to Director, ASMRO, Office of the Surgeon General, DA, Room 1E641, The Pentagon, Washington DC 20310, telephone: Area Code 202/695-9118, or to Patient Administrator at US Government medical treatment facilities reporting patients to ASMRO. The official mailing addresses are in the Department of Defense directory in the appendix to Army system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information provided by transferring and receiving medical treatment facilities, medical regulating offices, evacuation offices, and other US Government offices, agencies and commands having information bearing on a patient transfer.

Systems exempted from certain provisions of the act:

None

A0903.07DASG

System name:

903.07 Entrance Medical Examination Files

System location:

Primary System: Armed Forces Examining and Entrance Stations (AFEES);

Decentralized Segments: Health Services Command, Department of the Army; Military department receiving recruits; and Selective Service States Boards concerned.

Categories of individuals covered by the system:

Applicants and registrants for United States military service.

Categories of records in the system:

File contains reports of medical examination and history, related documents and medical evaluation results.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Armed Forces Examining and Entrance Stations: To record results of medical evaluation for military service.

Health Services Command: To identify medical conditions which are causes of rejection for military service; to assess health quality distribution of recruited personnel; and to evaluate effectiveness of procurement medical standards.

Military departments: To properly assign and utilize recruits.

Selective Service State Boards: To note disposition of registrant.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by date.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened and trained.

Retention and disposal:

Records of individuals accepted for military service: Armed Forces Examining Stations: records are destroyed after 3 years; Military departments concerned: records are retained as permanent records. They are retained in active file during term of service, then retired to National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Records of individuals rejected for military service: records used in statistical analyses are destroyed after 2 years, other records are destroyed after 1 year. Earlier destruction is authorized.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the official responding to a written request.

Record source categories:

Armed Forces Examining and Entrance Stations.

Systems exempted from certain provisions of the act:
None

A0904.01aHSC

System name:
904.01 Medical Care Inquiry Files

System location:
Headquarters, United States Army Health Services Command (HSC), (HSCM-A), Ft Sam Houston, TX 78234.

Categories of individuals covered by the system:
Active duty and Reserve component members of the Army whose medical treatment, entitlement to medical care from civilian sources and eligibility for payment of medical claims have been questioned.

Categories of records in the system:
Files contain documents reflecting inquiries from members of Congress, private individuals, civilian sources of care, for nonprivileged information concerning medical treatment, entitlement to medical care, payment of medical claims.
File includes copies of some medical records, Line of Duty Determinations and similar or related documents.

Authority for maintenance of the system:
Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by HSC to facilitate and control processing and adjudication of claims requests until such claims have either been paid or disapproved for payment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders.

Retrievability:
Filed alphabetically by name of individual claimant.

Safeguards:
Building is secured after duty hours. During duty hours, files are controlled through visual observation.

Retention and disposal:
Records are retained for 6 years and then destroyed.

System manager(s) and address:
Commander, HSC, Ft Sam Houston, TX 78234.

Notification procedure:
Information may be obtained by written request to Commander, HSC, ATTN: HSCM-A, Ft Sam Houston, TX 78234.

Record access procedures:
Requests from individuals should be addressed to: Commander, HSC, ATTN: HSCM-A, Ft Sam Houston, TX 67234.
Written requests for information should contain the full name of the individual, social security number, current address and telephone number.
For personal visits, the individual should be able to provide some acceptable identification and give some verbal information that could be verified with his case folder.

Contesting record procedures:
The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:
Individual's health claim records, reports received from civilian physicians and similar or related documents.

Systems exempted from certain provisions of the act:
None

A0905.03USAREUR

System name:
905.03 Claims Inventory of Active Claims for Medical Care under CHAMPUS

System location:
Headquarters (HQ), United States (US) Army Medical Command, Europe (USAMEDCOMEUR), ATTN: Executive Director, Office of Civilian Health and Medical Program of the Uniformed Services, Heidelberg, Federal Republic of Germany.

Categories of individuals covered by the system:
All eligible Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) beneficiaries, i.e., retired members of the Forces who are not entitled to hospital insurance benefits under social security, spouses and children of retired or deceased service members, and spouses and children of active duty members residing both with and apart from duty member.

Categories of records in the system:
Names of claimants (beneficiaries of CHAMPUS). Lists contain names, social security number, date applications for medical care are received, assigned claim number, number of days of treatment, type of treatment, and costs of medical care to be paid from CHAMPUS Funds.

Authority for maintenance of the system:
Dependents Medical Act, Title 10, U.S.C., Sections 1079-1087, as amended by the Military Medical Benefits Amendments of 1966 (Public Law 89-614).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by Office of CHAMPUS, USAMEDCOMEUR, to facilitate and control processing and adjudication of claims until such claims are paid.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Tapes stored in cabinets by system or program number.
Paper listings stored in file cabinets.

Retrievability:
Numerically by locally devised alphabetical-numerical code combination.

Safeguards:
Room is secured by locked doors. Office is checked nightly by staff duty personnel. Individuals employed in data use are given orientations as to sensitivity of personal information and the obligation to protect documents.

Retention and disposal:
Master program file is retained indefinitely. All other tapes erased 45 days from date printout is produced.
Printout is destroyed by shredding after 1 year.

System manager(s) and address:
Executive Director, Office of CHAMPUS, USAMEDCOMEUR, Army Post Office (APO) New York 09403.

Notification procedure:
Information may be obtained by writing to Commander, US Army Medical Command, Europe, ATTN: Executive Director, Office of CHAMPUS, APO 09403.

Record access procedures:
Persons desiring access to information may contact Commander: USAMEDCOMEUR; ATTN: Executive Director, Office of CHAMPUS; APO 09403; Telephone: MEDCOMEUR 2122, x840 or x661.

Contesting record procedures:
Procedures for access to records and for contesting contents and appealing initial determinations may be obtained from Commander, USAMEDCOMEUR, ATTN: Executive Director, Office of CHAMPUS, APO 09403.

Record source categories:
Applications by beneficiaries of CHAMPUS and information from medical facilities or physicians that have provided prior medical care.

Systems exempted from certain provisions of the act:
None

A0905.04USAREUR

System name:
905.04 Cross Reference List Report of Claims for CHAMPUS

System location:
Headquarters, United States Army Medical Command, Europe, (USAMEDCOMEUR), ATTN: Executive Director, Office of Civilian Health and Medical Program of the Uniformed Services (CHAMPUS), Heidelberg, Federal Republic of Germany.

Categories of individuals covered by the system:
All eligible CHAMPUS beneficiaries, i.e., retired members of the Forces who are not entitled to hospital insurance benefits under social security, spouses and children of retired or deceased service members, and spouses and children of active duty members residing both with and apart from duty member.

Categories of records in the system:

List of all active claims for medical care in process, listing names, social security number of patients and sponsors, date claims received, and if applicable, the date claim was paid and amount.

Authority for maintenance of the system:
Dependents Medical Act, Title 10, U.S.C., Sections 1079-1087, as amended by the Military Medical Benefits Amendments of 1966 (Public Law 89-614).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by Office of CHAMPUS, USAMEDCOMEUR, to facilitate and control processing and adjudication of claims. Also used to accumulate dollar figures to be used for program funding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Tapes stored in cabinets by system or program number.
Paper listing stored in file cabinets.

Retrievability:
Alphabetical by name of claimants.

Safeguards:
Room is secured by locked doors. Office is checked nightly by staff duty personnel. Individuals employed in data use are given orientations as to sensitivity of personal information and the obligation to protect documents.

Retention and disposal:
Printout is destroyed by shredding after 1 year.
Automated tapes retained indefinitely pending Department of Defense decision.

System manager(s) and address:
Executive Director, Office of CHAMPUS, USAMEDCOMEUR, Army Post Office (APO), New York 09403.

Notification procedure:
Information may be obtained by writing to Commander, US Army Medical Command, Europe, ATTN: Executive Director, Office of CHAMPUS, APO 09403.

Record access procedures:
Persons desiring access to information may contact Commander; USAMEDCOMEUR; ATTN: Executive Director, Office of CHAMPUS; APO 09403; Telephone: MEDCOMEUR 2122, x 840 or x 661.

Contesting record procedures:
Procedures for access to records and for contesting contents and appealing initial determinations may be obtained from Commander, USAMEDCOMEUR, ATTN: Executive Director, Office of CHAMPUS, APO 09403.

Record source categories:
Applications by beneficiaries of CHAMPUS and information from medical facilities or physicians that have provided prior medical care.

Systems exempted from certain provisions of the act:
None

A0905.05aUSMACTHAI

System name:
905.05 Active Claims for Medical Care Provided under CHAMPUS File

System location:
Headquarters, United States (US) Army Medical Department Activity (MEDDAC), ATTN: Chief, Patient Administration Division, Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) Officer, Bangkok, Thailand.

Categories of individuals covered by the system:
All eligible CHAMPUS beneficiaries, i.e., retired members of the Uniformed Services who are not entitled to hospital insurance benefits under social security, spouses and children of retired or deceased service members, and spouses and children of active duty members residing both with and apart from duty member.

Categories of records in the system:
File contains documents relating to medical care obtained by CHAMPUS beneficiaries from civilian sources at US government expense. Included are forms completed by military and civilian medical treatment facilities and practitioners, billings received from civilian sources, forms completed by the patient or sponsor, and related documents.

Authority for maintenance of the system:
Dependents Medical Act, Title 10, U.S.C., Sections 1079-1087, as amended by the Military Benefits Amendments of 1966 (Public Law 89-614).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by Patient Administration Division, US Army MEDDAC, Bangkok, Thailand, to facilitate and control processing and adjudication of claims submitted by beneficiaries for care provided under CHAMPUS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders.

Retrievability:
Filed alphabetically by CHAMPUS case number and year.

Safeguards:
Maintained in metal filing cabinets. Room is secured by locked doors. Office is checked nightly by staff duty personnel. Individuals employed in data use are given orientations as to sensitivity of personal information and the obligation to protect documents.

Retention and disposal:
Records are retained for 3 years then destroyed.

System manager(s) and address:
Chief, Patient Administration Division (CHAMPUS Office), USA MEDDAC, Thailand, Army Post Office (APO) San Francisco 96346.

Notification procedure:
Information may be obtained by writing to Commander, US Army MEDDAC Thailand, ATTN: CHAMPUS Officer, APO 96346.

Record access procedures:
See NOTIFICATION

Contesting record procedures:
Procedures for access to records and for contesting contents and appealing initial determinations may be obtained from Commander, USA MEDDAC, Thailand, ATTN: CHAMPUS Officer, APO 96346.

Record source categories:
Applications by beneficiaries of CHAMPUS and information from medical facilities or physicians that have provided prior medical care.

Systems exempted from certain provisions of the act:
None

A0906.01DASG

System name:
906.01 Medical Review Files

System location:
Office of The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:
Applicants and registrants who are being considered for Army service and whose medical fitness is questionable; Army members being considered for continuance in service, promotion, special assignment, or separation whose medical fitness is questioned either by the medical evaluating authority or by the individual.

Categories of records in the system:
Files contain documents relating to medical fitness of individuals for appointment, enlistment, retention in service, promotion, special assignment, or separation. Included are reports of medical examination and evaluation, psychological evaluation reports, and similar or related documents.

Authority for maintenance of the system:
Title 5 U.S.C., Section 301 and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
To evaluate medical fitness of marginally qualified personnel for Army program with strict regard to established medical standards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders.

Retrievability:
Filed alphabetically by file number and year.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Records are retained for 3 years and destroyed.

System manager(s) and address:

The Surgeon General, HQDA, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA, (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, Area Code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the official responding to a written request.

Record source categories:

Clinical records, health records, medical boards, reports received from civilian physicians, and consultation reports.

Systems exempted from certain provisions of the act:

None

A0906.02DASG

System name:

906.02 Mental Competency Review Files

System location:

Primary System: United States Army Finance Center (USAFC), Indianapolis, IN 46249.

Decentralized Segments: Office of The Surgeon General (OTSG), Department of the Army; US Army Health Services Command (HSC), Ft Sam Houston, TX; Medical center or hospital where determination is made.

Categories of individuals covered by the system:

Retired members of the US Army whose mental competency has been reviewed by a medical board.

Categories of records in the system:

File contains requests for competency determinations; medical board proceedings; correspondence between USAFC and OTSG and HSC; appointments of guardians; and selected documents.

Authority for maintenance of the system:

Title 37 U.S.C., Section 601, Payments to Mentally Incompetent Persons; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAFC: To determine degree and ability of retired Army military personnel to use their mental faculties in handling financial matters.

OTSG: To process and review mental competency determinations of retired Army military personnel located outside jurisdiction of HSC, when requested by USAFC.

HSC: To process and review mental competency determinations of retired Army military personnel located within jurisdiction of HSC, when requested by USAFC.

Medical center or hospital where determination is made: To hold medical board on retired Army personnel when requested by OTSG or HSC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 2 years.

System manager(s) and address:

USAFC, Retired Pay Division, Indianapolis, IN 46249.

Notification procedure:

Information may be obtained from:
Commander, Finance Center, US Army
Retired Pay Division
Indianapolis, IN 46249
Telephone: Area Code 317/699-1110.

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Finance Center, Retired Pay Division, Indianapolis, IN 46249.

Written requests for information should contain the full name of the individual, social security or identification number, retired rank, current address and telephone number. Visits are limited to Retired Pay Division, USAFC, Indianapolis, IN 46249; Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310; and Clinical Medicine Division, HSC, Ft Sam Houston, Command, TX 78234.

For personal visits, the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card) and information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Letters and related requests from individual requesting mental competency determination on retired Army personnel; competency determination requests from Retired Pay Division to OTSG and HSC; medical board proceedings; correspondence between OTSG and HSC and medical center or hospital where competency determination is made.

Systems exempted from certain provisions of the act:

None

A0906.03DASG

System name:

906.03 Medical Classification Files

System location:

Army Medical Department (AMEDD) medical facility providing medical care for the military unit of assignment.

Categories of individuals covered by the system:

Active Army personnel who are being considered for initial or change of assignment.

Categories of records in the system:

File contains health record documents relating to the physical classification of Army personnel. Included are work sheets, cards, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 1071; and Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine medical fitness for Army occupational specialty considered, and to determine general physical profile.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by file number.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Records are retained for 2 years, until revised, or until discontinued, whichever occurs first.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the official responding to a written request.

Record source categories:

Health records from Army medical treatment facilities and civilian physicians.

Systems exempted from certain provisions of the act:

None

A0906.04aDASG

System name:

906.04 Medical Evaluation Files

System location:

Primary System: Army Medical Department (AMEDD) Medical facilities convening a Medical Board.

Decentralized Segments: United States (US) Army Physical Evaluation Boards, US Army Physical Disability Agency and Headquarters, US Army Recruiting Command Ft Sheridan, IL.

Categories of individuals covered by the system:

Army members whose medical fitness for continued service has been questioned either by the member or his commander.

Categories of records in the system:

File contains documents reflecting determination by a medical board of medical fitness for continued Army active service. Includes medical board proceedings and related documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071 and Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Medical Board: To determine medical fitness for continued Army active service.

Physical Evaluation Board: To review medical board findings when required and to determine if the individual should be discharged, temporarily or permanently retired for disability, or retained for active service.

US Army Physical Disability Agency: Record of cases considered, adjudications, reviews determinations, and dispositions. To respond to inquiries received from an individual, other Government agency or other authorized recipient of requested information.

US Army Recruiting Command: To assess cause of possible entry medical examination failure, in cases when the individual is being discharged because of a medical condition which existed prior to entering service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed chronologically by name.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Medical Boards: Retained for 5 years and destroyed.

Physical Evaluation Boards: Retained for 2 years or until discontinued, whichever occurs first.

US Army Physical Disability Agency: Files are maintained for a period of 2 to 5 years depending on the type of action involved.

US Army Recruiting Command: Retained for 6 months or until review of records has been completed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA, (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written, since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination may be obtained from the official responding to a written request.

Record source categories:

Interviews with the individual; medical records on the individual; reports of medical boards and physical evaluation boards.

Systems exempted from certain provisions of the act:

None

A0907.02DASG

System name:

907.02 USA Reserve Officer Training Corps (ROTC) Medical Examination Files

System location:

Primary System: Department of Army medical facilities conducting medical examination; Office of Professor of Military Science of educational institutions concerned; and United States Army Reserve (USAR) unit sponsors of ROTC summer camps and ROTC flight training programs.

Decentralized Segment: Department of Defense Medical Review Board.

Categories of individuals covered by the system:

Applicants for and participants in United States (US) Army ROTC scholarship programs.

Categories of records in the system:

File contains reports of medical history and examination and related documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071 and Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Examining Department of Army medical facilities: To verify record of medical examination.

Office of Professor of Military Science (PMS) and USAR unit: To certify medical eligibility of ROTC participants for training performed.

Department of Defense Medical Review Board (DOD MRB): For uniform evaluation and certification of medical fitness qualification of applicants for Armed Forces ROTC scholarship programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by programs; within each program filed by individual's name.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

US Army examining medical facilities: Retain 1 year and destroy.

Office of PMS and USAR Units: Retain during training and forward to Headquarters, USAR sponsor (e.g., ROTC Region Headquarters, PMS of university, USAR Components Personnel and Administration Center).

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, HQDA (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for acces to records and for contesting contents and appealing initial determinations may be obtained from the official responding to a written request.

Record source categories:

Written application from the individual requesting access.

Systems exempted from certain provisions of the act:

None

A0907.04DASG

System name:

907.04 United States Military Academy (USMA) Medical Qualification Files

System location:

Primary System: United States Military Academy (USMA), West Point, NY 10996.

Decentralized Segments: Department of Defense Medical Review Board (DOD MRB) and selected Department of Army medical facilities conducting medical examination.

Categories of individuals covered by the system:

Applicants and nominees for attendance at the United States Military Academy Preparatory School (USMAPS) and USMA.

Categories of records in the system:

File contains medical documents relating to physical evaluation for admission to the USMAPS and to the USMA. Inclosed are reports of medical examination and medical history and related documents, evaluated against Army medical standards for appointment and enlistment into the active Army, retention, promotion, separation, flying duty, mobilization, and similar circumstances.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071 and Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMA: To verify medical qualification for prescribed training.

DOD MRB: To apply uniform Department of Defense medical standards for selecting attendees for military service academies.

Selected Army medical facilities: To record results of medical examinations conducted for admission to an Armed Force military academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by school year.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

USMA: Records are permanent. Records are retained in active file during tour of service.

DOD MRB: Upon completion of evaluation, records of accepted applicants are forwarded to USMA medical facility. Records of rejected applicants are retained for 5 years and destroyed.

Selected medical facilities retain one copy of records for 1 year after submission of medical report to DOD MRB.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained by written request to:
HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to: Office of The Surgeon General, Headquarters, Department of the Army (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in HQDA. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be arranged only with the official assigned to respond to a written request.

Contesting record procedures:

The Army's rules for access to records and for contesting contents may be obtained from the official responding to a written request.

Record source categories:

Written application from the individual requesting access.

Systems exempted from certain provisions of the act:

None

A0909.01DASG

System name:

909.01 Patient Accountability Files

System location:

Medical Centers, hospitals, health clinics, troop medical clinics. The official mailing addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

Patients treated by Army Medical Department medical treatment facility.

Categories of records in the system:

Documents reflecting patients admitted or discharged from hospital, interward transfers, leave, absence requests and authorizations, births, deaths, clearance of patients and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to account for patients and their status in medical treatment facilities. Information may be reported to civilian or military authorities for official reasons.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Plain cards, rule cards, punched cards, microfiche, cassette, printout, paper records in file holders and similar or related documents.

Retrievability:

Filed by last name, register number sequence or social security number (SSN) of sponsor.

Safeguards:

Records maintained in areas accessible only to authorized personnel that are properly trained and screened.

Retention and disposal:

Birth reporting files: Permanent.
Death reporting files: Destroyed after 3 years.
Admission and Disposition Files: Destroyed after 5 years.
Absence Suspense Files: Destroyed on return of patient.
Patient clearance sheet and pay patient files: Destroyed after 1 year or on discontinuance, whichever is first.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Patient Administrator at medical center or hospital where treatment was provided. Official mailing addresses are in the Department of Defense Directory in the Appendix.

Requesting individual is required to submit full name, SSN of sponsor, date care was provided and facility providing care.

The requester may visit the office of the Patient Administrator at medical center or hospital where care was provided.

For personal visits, the requester is required to provide full name, SSN of sponsor and present some form of acceptable identification, such as identification card, driver's license.

Record access procedures:

Requests from individuals should be addressed to Patient Administrator at medical center or hospital where care was provided. The official mailing addresses are in the Department of Defense Directory in the Appendix.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from any medical center or hospital.

Record source categories:

Patient Admission Data forms, patient requests, medical records, hospital reports.

Systems exempted from certain provisions of the act:

None

A0909.05DASG

System name:

909.05 Control Card Files

System location:

Primary System: Each United States (US) Army medical treatment facility where patients are hospitalized.

Decentralized Segments: Each ward where patients are assigned.

Categories of individuals covered by the system:

Any individual hospitalized in a medical treatment facility.

Categories of records in the system:

Files consist of individual patient data cards, bed cards, pass lists.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army medical treatment facility: Prepared by Patient Administration Division of the facility on each patient.

Ward: Used as determined by nursing personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards placed on bed of patient.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Cards are maintained in areas where personnel are on duty 24 hours each day in each hospital ward.

Retention and disposal:

Destroy upon disposition of patient.

System manager(s) and address:

The Surgeon General, US Army; commanders of medical centers and hospitals.

Notification procedure:

Information may be obtained from:
Commander
Medical center or hospital where patient is hospitalized

Record access procedures:

Individual while a patient in the medical treatment facility may review these forms at any time.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Cards are prepared upon admission to the medical treatment facility.

Systems exempted from certain provisions of the act:

None

A0910.02DASG

System name:

910.02 Patient Trust Fund and Baggage Files

System location:

Medical Centers, hospitals, health clinics, troop medical clinics. The official mailing addresses are in the Department of Defense (DOD) directory in the Appendix.

Categories of individuals covered by the system:

Patients treated by Army Medical Department medical treatment facility.

Categories of records in the system:

Documents reflecting receipt and return of monies, valuables and property of a patient in an Army medical treatment facility and related accounting transactions.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to account for patients' funds, valuables and property while patient is in hospital.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, cards, punched cards, printout and similar related documents.

Retrievability:

Filed by last name, social security number (SSN) of sponsor.

Safeguards:

Records maintained in areas accessible only to authorized personnel that are properly trained and screened.

Retention and disposal:

Patient trust fund individual record files: Destroyed 3 years after final withdrawal of all money and valuables.

Patient trust fund accounting files: Destroyed after 3 years.

Patient Property Files: Destroyed 6 months after transfer of the patient or on discontinuance.

System manager(s) and address:

The Surgeon General, Headquarters Department of the Army (HQDA), The Pentagon, Washington, DC 20314.

Notification procedure:

Information may be obtained from Patient Administrator at Medical Center or hospital where treatment was provided. Official mailing addresses are in the DOD directory in the Appendix.

Requesting individual is requested to submit full name, SSN of sponsor, date care was provided and facility providing care.

The requester may visit the office of the Patient Administrator at Medical Center or hospital where care was provided.

For personal visits, the requester is required to provide full name, SSN of sponsor and present some form of acceptable identification such as identification card or driver's license.

Record access procedures:

Requests from individuals should be addressed to Patient Administrator at Medical Center or hospital where care was provided. The official mailing addresses are in the DOD directory in the Appendix.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from any medical center or hospital.

Record source categories:

Inventory of funds, property valuables upon admission of patient and transactions thereafter.

Systems exempted from certain provisions of the act:

None

A0910.06DASG

System name:

910.06 Medical Services Account Files

System location:

Medical Centers and Hospitals. Official mailing addresses are in the Department of Defense (DOD) Directory in the Appendix.

Categories of individuals covered by the system:

Any person receiving medical care in an Army Medical Treatment Facility and is subject to charge for such service.

Categories of records in the system:

File includes patient ledger cards, invoices and receipts for collection, cash records, schedules of collection, vouchers, registers, and related basic accounting documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Chapter 55, Medical and Dental Care; Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Hospitals: Accounting for charges and making proper distribution of funds received in payment for authorized medical and dental services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Name, social security number (SSN), hospital and invoice number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened.

Retention and disposal:

Records are destroyed 3 years after completion of collection action or 3 years after inclusion in uncollectable accounts report.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from registrar at medical center or hospital where treatment was provided. Official mailing addresses are in the DOD directory in the Appendix.

Requesting individual is required to submit full name, SSN, date care was provided, and invoice number.

The requester may visit the office of the registrar at medical center or hospital where care was provided.

For personal visits, the requester is required to provide full name, SSN, date care was received and invoice number.

Record access procedures:

Requests from individuals should be addressed to registrar at medical center or hospital where care was provided. The official mailing addresses are in the DOD directory in the Appendix.

Written requests for information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from HQDA (DASG-RMP), Washington, DC 20310.

Record source categories:

Clinic or hospital where treatment was provided.

Systems exempted from certain provisions of the act:

None

A0911.05DASG

System name:

911.05 Individual Patient Diet Files (Department Army Form 2924)

System location:

In medical centers and hospitals, Patient Dietary History Records would be maintained in the Clinical Dietetics Branch of the hospital for inpatients.

Outpatient Patient Dietary History Records may be maintained either in the Clinical Dietetics Branch or the Department of Clinics, dependent upon local organizational structure.

Patient Dietary History Records may also be maintained in those health clinics which have a consultant dietetian. Official mailing addresses for all hospitals, medical centers and health care clinics are in the Department of Defense (DOD) Directory in the Appendix.

Categories of individuals covered by the system:

Individual patient diet files may be maintained on any individual authorized inpatient or outpatient medical care in army medical treatment facilities.

Categories of records in the system:

The Individual Patient's Diet File would normally include, but not be limited to, the Patient Dietary History Record, Consultation Sheets (Standard Form (SF) 513), prescriptions for nutritional care, patient satisfaction surveys, dietary intake and analyses records, dietetic progress notes, menu patterns and special nourishment or feeding information.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301;Title 44 U.S.C., Section 3101; and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information collected is used by the personnel assigned to the Clinical Dietetics Branch or health clinic for the purpose of assisting the nutritional well-being of the patient and developing a plan for nutritional care. This information also serves to improve the quality of nutritional care rendered. Access to these records is limited to a need to know basis, i.e., to dietetians, dietetic technicians, diet aides, patient tray service personnel and to clerical personnel involved in maintaining the records. For both inpatients and outpatients, nutritional care plans and/or diet instructions are developed from this information by the users as required. For inpatients, in addition to the nutritional care plans, daily menus are prepared and trays are set up in accordance with the menus by the users for the patients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The Patient's Dietary History Record is normally stored in a visible card file or card file box. Additional or supplemental information is usually stored in file folders in desks or file cabinets.

Retrievability:

Information is normally filed by ward, room or bed number and name for inpatients. For outpatients an alphabetical file is usually maintained.

Safeguards:

Only the individuals specified under Routine-Uses are permitted to use the records. Records are kept in office areas which are secured when not in use.

Retention and disposal:

When the patient is discharged the record is destroyed unless the patient has indicated many intolerances and/or is likely to return for consultation or hospitalization. In these cases the record is placed in an inactive file which is periodically screened for retention.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Requests from individuals should be addressed to the Commander of the health clinic, hospital or medical center where the individual is or was seen as a patient. Addresses are given in the DOD Directory. Written requests for information must contain the full name of the individual, current address and telephone number and date of hospitalization or consultation. Further communications should also have the case (control) number that appears with the office symbol. Visits should be by appointment arranged through the Commander of the medical facility. For personal visits, the individual should be able to provide his ID card which indicates he/ she is authorized medical care and give some verbal information which can be verified with his case folder.

Record access procedures:

Same as SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Patient's chart, interviews with patient's family, observation consultation sheets from other services, Diet and Nourishment Rosters, and Progress Notes (nurses, doctors, etc.)

Systems exempted from certain provisions of the act:

None

A0912.01aDASG

System name:

912.01 Medical Staff Credentials File

System location:

Medical treatment facilities at Army commands, installations and activities. Official mailing addresses are in the Department of Defense (DOD) Directory in the Appendix.

Categories of individuals covered by the system:

Individuals performing clinical practice in medical treatment facilities.

Categories of records in the system:

Documents reflecting delineation of clinical privileges and clinical performance.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine and assess capability of practitioner's clinical practice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by last name.

Safeguards:

Records are maintained in areas accessible only to the medical treatment facility commander and credentials committee members.

Retention and disposal:

Records are destroyed 5 years after separation, retirement, or termination of employment. Records are retained in last medical treatment facility of appointment or employment until destroyed. (This retention period is subject to approval by the National Archives and Records Service.)

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be requested from commander at medical treatment facility where practitioner is providing clinical service.

Record access procedures:

Requests from individuals should be addressed to commander at medical treatment facility where practitioner is providing clinical service.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from any medical treatment facility.

Record source categories:

Interviewer, application, medical audit results, other available administrative records obtained from civilian or military sources.

Systems exempted from certain provisions of the act:

None

A0912.01bDASG

System name:

912.01 Professional Consultant Control Files

System location:

Primary System: Department of the Army, Office of The Surgeon General; US Army Health Services Command; US Army Medical Command, Europe.

Decentralized Segments: Individual appointing/controlling offices.

Categories of individuals covered by the system:

Any individual who has been utilized or appointed as a professional consultant in the professional medical services.

Categories of records in the system:

Files contain documents relating to utilization, appointment, duties, responsibilities, and compensation of professional consultants.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Sections 1071-1086; Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To appoint and monitor utilization of designated consultants.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of consultant.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are maintained for the duration of consultant status. They are destroyed 1 year after termination of the appointment, or on discontinuance, whichever is sooner.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DASG-PTZ-C)
Room 2E519
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-1918

Record access procedures:

Requests from individuals should be addressed to: HQDA (DASG-PTZ-C), Room 2E519, The Pentagon, Washington, DC 20310.

Written requests for information should contain full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Application and related forms from the individual requesting appointment as consultant; notice of appointment; correspondence between offices and consultants.

Systems exempted from certain provisions of the act:

None

A0912.01cDASG

System name:

912.01 Professional Personnel Informational File

System location:

Clinical Medical Division (HSPA-C), Deputy Chief of Staff for Professional Activities, Headquarters (HQ), US Army Health Services Command (HSC), Ft Sam Houston, TX 78234.

Categories of individuals covered by the system:

Practicing physicians, residents, psychologists, social workers, and pharmacists assigned or employed in medical treatment facilities operated by the HSC.

Categories of records in the system:

Files contain personal information provided to the various professional consultants assigned to the Clinical Medical Division, HQ, HSC by practitioners assigned to command medical treatment facilities. These files consist of personal data questionnaires, curricula, vitae, assignment preferences data, personal correspondence, and other such records pertaining to the professional quali- fications and experience of the personnel being monitored by the consultant.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used by the consultant to establish and maintain familiarity with the locations, assignments, utilization, marital and family status, professional and military experi- ence and qualifications, and assignment preferences as an aid in monitoring the utilization of professional personnel and to assist in career management and assignment activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders, three-ring looseleaf binders and visible index card files.

Retrievability:

Filed alphabetically by last name of professional person within treatment facility to which assigned.

Safeguards:

Stored in an office of a headquarters building, portions of which are occupied and/or under surveillance at all times. Records are accessible only to authorized personnel.

Retention and disposal:

Records are retained in active file until individual practitioner to whom they pertain is no longer assigned or employed within HSC and are destroyed within 1 year following his reassignment or termination.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army and Commander, HSC.

Notification procedure:

Information may be obtained from:
Commander, US Army Health Services Command
(HSPA-C)
Room 302, Bldg 2263
Ft Sam Houston, TX 78234
Telephone: Area Code 512/221-6616

Record access procedures:

Requests from individuals should be addressed to: Commander, HSC (HSPA-C), Ft Sam Houston, TX 78234.

Written requests for information should contain the full name and address of the requester.

For personal visits; individual should be able to provide personal identification and verbal information that could be verified with his 'personnel data file.'

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories: Written and verbal communications provided by the individual to whom the file pertains.

Official Personnal Rosters, registers, and reports published by the SYSMANAGER and the Department of the Army Agencies.

Systems exempted from certain provisions of the act:

None

A0913.02aDASG

System name:

913.02 Medical Prescription Files

System location:

Primary System: Pharmacy of each United States (US) Army medical treatment facility.

Decentralized Segments: Records holding area/overseas records center.

Categories of individuals covered by the system:

Any individual for whom a prescription has been written.

Categories of records in the system:

Files consist of Department of Defense (DD) Form 1289 (Prescription Form); Department of the Army (DA) Form 3875 (Bulk Drug Order); cross reference files of information extracted from DD Form 1289, and/or civilian prescriptions concerning controlled substances as per U.S.C.; reports of board actions; tear sheets; and similar or related documents.

Authority for maintenance of the system:

Title II of the Comprehensive Drug Abuse Prevention and Control Act of 1970; Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army medical treatment facility: Prescriptions and bulk drug orders prepared by authorized personnel to provide for dispensation of drugs. Cross reference file used to monitor the order and usage of controlled substances, and supply information to legal authorities reference infractions of Army regulations or the U.S.C.

Records holding area/overseas record center: Storage of records until destruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Prescriptions and bulk drug orders: filed by number series.

Cross reference file: retrievable by conventional alphabetical index of surname of recipient.

Safeguards:

Pharmacy is locked when no one is on duty. Only authorized personnel are authorized access to the area when open.

Retention and disposal:

Records are destroyed after 5 years. They are maintained in the local file area for 1 year after cutoff, then transferred to the records holding or overseas records center for the remainder of the retention period.

System manager(s) and address:

The Surgeon General, USA; commanders of medical centers and hospitals.

Notification procedure:

Information may be obtained from Commander, medical center or hospital where prescription is on file.

Record access procedures:

Individual may review prescription.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Prescription is written by physician during treatment of patient.

Systems exempted from certain provisions of the act:

None

A0914.02aDASG

System name:

914.02 Pathology Consultation Record Files

System location:

Armed Forces Institute of Pathology (AFIP); Walter Reed Army Medical Center (WRAMC), Washington, DC 20306.

Categories of individuals covered by the system:

Individuals treated in military or civilian medical facilities whose cases were reviewed on a consultative basis by members of the staff of the AFIP. of Pathology.

Categories of records in the system:

Documents, tissue blocks, microscopic slides, X-rays and photographs reflecting outpatient or inpatient treatment or observation of all individuals on whose cases consultation has been requested.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301 and Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to insure complete medical data is available to pathologist providing consultative diagnosis to re- questing physician in order to improve quality of care provided to individuals; to provide a data base for education of medical personnel; to provide a data base for medical research and statistical purposes and when required by law or for official purposes. Individual records may be released to referring physician, to physicians treating the individual, to qualified medical researchers and students, and to other Federal agencies and law enforcement personnel when requested for official purposes involving criminal prosecution, civil court action or regulatory orders.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, X-rays, photographs in paper file folders, microfiche, magnetic tape, printout; tissue blocks in appropriate storage containers; and microscopic slides in cardboard file folders.

Retrievability:

Filed by last name or terminal digit number (social security number (SSN)) or accession number assigned when case is received for consultation.

Safeguards:

Access to the AFIP is controlled. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Retained as long as case material has value for medical research or education. Individual cases are reviewed periodically and materials no longer of value to the AFIP are destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington DC 20310.

Notification procedure:

Information may be obtained from the Chief, Patient Records and Tissue Repository Division, Armed Forces Institute of Pathology, Walter Reed Army Medical Center, Washington, DC 20306. Requesting individual is required to submit full name, SSN or service number of military sponsor and branch of military service if applicable, or AFIP accession number if known. For requests made in person, acceptable identification such as military ID card or driver's license will be required.

Record access procedures:

Requests from individuals should be addressed to the Chief, Patient Records and Tissue Repository Division, AFIP, WRAMC, Washington, DC 20306.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Interview, diagnostic test, other available administrative or medical records obtained from civilian or military sources.

Systems exempted from certain provisions of the act:

None

A0914.04aDASG

System name:

914.04 Clinical Investigation Record System

System location:

Commander, Edgewood Arsenal, ATTN: SAREA-BL-O, Aberdeen Proving Ground, MD 21010.

Categories of individuals covered by the system:

Any military individual who volunteered to participate in the clinical investigations.

Categories of records in the system:

Individual medical records; individual test records of performance and physiological measures taken while individual was being tested.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4503 and Title 10 U.S.C., Section 3012e.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For scientific information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, file cards, computer magnetic tapes and drums, computer paper printouts, photographs, video-tape, 16mm movie film.

Retrievability:

Filed alphabetically by name and by case file number.

Safeguards:

Kept in locked cabinets in locked rooms.

Retention and disposal:

Permanent.

System manager(s) and address:

Commander, Edgewood Arsenal, ATTN: SAREA-BL-O, Aberdeen Proving Ground, MD 21010.

Notification procedure:

Name, serial number, SSN, or other identification number, date of birth (DOB), and time when individual was enrolled in program.

Record access procedures:

Information may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual volunteers.

Systems exempted from certain provisions of the act:

None

A0914.05DASG

System name:

914.05 Blood Donor Files

System location:

All Army medical treatment facilities. Mailing addresses are listed in the Appendix.

Categories of individuals covered by the system:

Any individual from whom blood was procured.

Categories of records in the system:

Files contain blood donor record cards, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Public Health Service Act, Section 351, Licensure for Department of the Army.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record time of withdrawal, type of blood, suitability for voluntary blood donation, and similar information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 3 years, or on discontinuance, whichever is first. They are held 1 year after cutoff in the current files area, then forwarded to a records holding area for retention until destruction.

System manager(s) and address:

The Surgeon General, Unites States Army.

Notification procedure:

Information may be obtained from:
HQDA (DASG-HCC-L)
Room 2D528
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-8394

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-HCC-L), Room 2D528, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to Army Blood Donor Centers and Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card) and give some verbal information that could be verified from his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Blood donor record cards filled out by the individual concerned.

Systems exempted from certain provisions of the act:

None

A0915.01aDASG

System name:

0915.01 Nursing Service Schedule Files

System location:

Primary System: Department of Nursing, Medical Department Activity and/or Medical Center.

Decentralized Segments: None.

Categories of individuals covered by the system:

Department of Nursing personnel.

Categories of records in the system:

File contains time schedules and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Nursing: To assist in scheduling nursing personnel to insure nursing care of patients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders.

Retrievability:

Filed categorically by nursing unit.

Safeguards:

24 hour coverage by nursing personnel. Only authorized personnel allowed access.

Retention and disposal:

Records are destroyed 1 month following the end of schedule period.

System manager(s) and address:

The Surgeon General, United States Army; Director, Medical Department Activity.

Notification procedure:

Information may be obtained from:
Director
Medical Department Activity where treated.

Record access procedures:

Requests from individuals should be addressed to: Director, Medical Department Activity where treated.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to Department of Nursing, Medical Department Activity where treated.

For personal visits, the individual should be able to provide some acceptable identification, and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Form 3872, Nursing Personnel Service Time Schedule; DA Form 3951, Nursing Service Assignment Roster.

Systems exempted from certain provisions of the act:

None

A0915.01bDASG

System name:

915.01 Nursing Service Personnel Data and Schedule Files

System location:

Primary System: Department of Nursing, Army Medical Center or Medical Department Activity.

Decentralized Segments: Nursing Division, Headquarters (HQ), United States Army Health Services Command (HSC), Ft Sam Houston, TX; and Headquarters, US Army Medical Command, Europe, Heidelberg, West Germany.

Categories of individuals covered by the system:

Department of Nursing personnel.

Categories of records in the system:

Files contain nursing personnel data, time schedules, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assist the Office of the Chief, Nursing Department or Division, in the proper utilization and scheduling of nursing personnel commensurate with individual qualifications, experiences, personal preferences, and in planning effective nursing care for patients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. Nursing personnel data in visible card file or card file box.

Retrievability:

Filed categorically or numerically by nursing unit and alphabetically for personnel data.

Safeguards:

Records are maintained in areas accessible only to authorized personnel who have been properly screened. Office areas are secured when not in use.

Retention and disposal:

Records are destroyed 1 month following the end of scheduled period or when no longer needed.

System manager(s) and address:

The Surgeon General, Department of the Army; Commander of each Army Medical Center or Medical Department Activity.

Notification procedure:

Requests from individuals should be addressed to the Commander of the Army Medical Center or Medical Department Activity where the individual was treated or assigned. Addresses are listed in the Department of Defense directory in the Appendix to Army system notices.

Each request must include the individual's full name, current address and telephone number, social security number, and dates of hospitalization or assignment.

In addition, for personal visits, the requester should present his identification card and provide some verbal information which can be verified with his file or folder.

Record access procedures:

See NOTIFICATION.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Form 3872, Nursing Personnel Service Time Schedule; DA Form 3951, Nursing Service Assignment Roster; and DA Form 3887, Nursing Department--Army Nurse Corps Data.

Systems exempted from certain provisions of the act:

None

A0915.02DASG

System name:

915.02 Patient Condition Reporting File

System location:

Department of Nursing, Medical Department Activities.

Categories of individuals covered by the system:

Patients hospitalized in United States (US) Army medical treatment facilities whose condition requires special note.

Categories of records in the system:

File contains 24 hour reports and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents used to keep the Chief of Nursing Department informed of each patient's condition and of ward activities which affect the workload and determine assignment of personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by patient's name.

Safeguards:

24 hour coverage by nursing personnel. Only authorized personnel are allowed access to records.

Retention and disposal:

Records are destroyed 1 month following the period covered in the report.

System manager(s) and address:

The Surgeon General, United States Army; Director, Medical Department Activity.

Notification procedure:

Information may be obtained from: Director, Medical Department Activity where treated.

Record access procedures:

Requests from individuals should be addressed to: Director, Medical Department Activity where treated.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to Department of Nursing, Medical Department Activity where treated.

For personal visits, the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card), and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Form 3889, Nursing Unit 24 Hour Report and DA Form 3889-1, Nursing Unit 24 Hour Report - Continuation Sheet; DA Form 4015, Nursing Care Assignment; DA Form 3629, Twenty-Four Hour Patient Intake and Output Worksheet.

Systems exempted from certain provisions of the act:

None

A0915.03DASG

System name:

915.03 Temperature, Pulse, and Respiration Files

System location:

Primary System: Department of Nursing, Medical Department Activity.

Decentralized Segments: None.

Categories of individuals covered by the system:

Patient hospitalized in United States (US) Army medical treatment facilities.

Categories of records in the system:

File contains flow sheets, lists, cards, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record reflects temperature, pulse, and respiration of all patients in the wards for designated time periods, and is used to make continuing assessment of patient's physical condition.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in individual patient's medical record.

Retrievability:

Filed in individual patient's medical record.

Safeguards:

24 hour coverage by nursing personnel. Only authorized personnel are allowed access to records.

Retention and disposal:

Record becomes part of patient's medical record.

System manager(s) and address:

The Surgeon General, US Army; Director, Medical Department Activity.

Notification procedure:

Information may be obtained from:
Director
Medical Department Activity where treated.

Record access procedures:

Requests from individuals should be addressed to: Director, Medical Department Activity where treated.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to Department of Nursing, Medical Department Activity where treated.

For personal visits, the individual should be able to provide some acceptable identification, and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army, DA Form 3950, Temperature, Pulse and Respiration Record.

Systems exempted from certain provisions of the act:

None

A0915.07DASG

System name:

915.07 Medical Facility Individual Reporting Files

System location:

Primary System: Department of Nursing, Medical Department Activities.

Decentralized Segments: Hospital safety offices, at United States (US) Army medical treatment facilities.

Categories of individuals covered by the system:

Any patient involved in an unusual occurrence or accident at a US Army medical treatment facility.

Categories of records in the system:

File includes reports of unusual occurrences and related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record is used by the hospital commander, chief nurse, and safety officer to record the incidence of and corrective action taken when patients are involved in accidents and unusual occurrences.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

24 hour coverage by nursing personnel. Only authorized personnel allowed access to records.

Retention and disposal:

Records are destroyed after 50 years. Records are held 1 year after cutoff in the current files area, then transferred to a records holding area or oversea records center for 2 years, and then retired to the Washington National Records Center.

System manager(s) and address:

The Surgeon General, United States Army; Director, Medical Department Activity.

Notification procedure:

Information may be obtained from: Director, Medical Department Activity where treated.

Record access procedures:

Requests from individuals should be addressed to: Director, Medical Department Activity where treated.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to Department of Nursing, Medical Department Activity where treated.

For personal visits, the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card), and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Form 4106, Report of Unusual Occurrence.

Systems exempted from certain provisions of the act:

None

A0916.02aDASG

System name:

916.02 Medical Treatment Indices

System location:

Medical centers, hospitals, health clinics, troop medical clinics. The official mailing addresses are in the Department of Defense (DOD), Directory in the Appendix.

Categories of individuals covered by the system:

Individuals treated by or seeking treatment from the Army Medical Department.

Categories of records in the system:

Documents reflecting patient names, register numbers assigned, clinic ward, and other identifying medical history data used to locate medical records, patients, permit scheduling of appointments and similar functions.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to locate medical records, personnel, schedule appointments, provide research and statistical data and similar functions at a medical treatment facility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Plain cards, rule cards, punched cards, microfiche, cassette, printout and similar or related documents.

Retrievability:

Filed by last name, register number sequence, diagnosis, operation, death, physician, pathology and similar topics as required by medical treatment facility.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly trained and screened.

Retention and disposal:

Register number files: Destroyed after 10 years.

Nominal index: Destroyed after 20 years. Cutoff after 10 years and held 10 more years in current files area. Transferred to records holding area, held 10 more years and destroyed. Documents in cutoff files for readmitted patients are brought forward and filed in current 10 year block.

Diagnosis, operation, death or similar index files: Destroyed after 20 years. Cutoff after 10 years and held 10 more years in current files area. Transferred to records holding area, held 10 more years and destroyed. Special purpose indexes: Destroyed when no longer needed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Patient Administrator at medical center or hospital where treatment was provided. Official mailing addresses are in the DOD Directory in the Appendix.

Requesting individual is required to submit full name, social security number (SSN) of sponsor, date care was provided and facility providing care.

The requester may visit the office of the Patient Administrator, Department of Clinics, or Information Office, as appropriate, at medical center or hospital where care was provided.

For personal visits, the requester is required to provide full name, SSN of sponsor and present some form of acceptable identification, such as identification card, driver's license.

Record access procedures:

Requests from individuals should be addressed to Patient Administrator at medical center or hospital where care was provided. The official mailing addresses are in the DOD Directory in the Appendix.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from any medical center or hospital.

Record source categories:

Patient admission data form, medical records, and patient.

Systems exempted from certain provisions of the act:

None

A0916.06DASG

System name:

916.06 Installation X-ray Index Files

System location:

Primary System: Department of Radiology at medical treatment facilities.

Decentralized Segments: None.

Categories of individuals covered by the system:

Any individual on whom an x-ray is taken.

Categories of records in the system:

Files contain nominal pathological indexes and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Radiology: To locate x-ray films.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Department of Radiology is secured when no one is on duty. Only authorized personnel are authorized access to the area when open.

Retention and disposal:

Records are retired or destroyed concurrently with the x-ray files to which they pertain. X-ray films are withdrawn and destroyed 5 years after the end of the year in which last medical treatment was given.

System manager(s) and address:

The Surgeon General, United States Army; commanders of medical centers and hospitals.

Notification procedure:

Information may be obtained from:
Commander
Medical center or hospital where x-ray was taken.

Record access procedures:

Requests from individuals should be addressed to Commander, medical center or hospital where treated; or Headquarters, Department of the Army (DASG-HCP), Room 2C484, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to Department of Radiology, medical center or hospital where treated; and Patient Administration Division (DASG-HCP), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide sufficient identification, and give some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Prepared by personnel assigned to Department of Radiology at time x-ray is taken.

Systems exempted from certain provisions of the act:

None

A0917.01aDASG

System name:

917.01 Medical Treatment Record Files

System location:

Decentralized Segments: medical centers, hospitals, health clinics, troop medical clinics, and National Personnel Records Center.

Categories of individuals covered by the system:

Individuals treated on inpatient or outpatient basis by the Army Medical Department and/or individuals for whom primary medical care is rendered.

Categories of records in the system:

Documents reflecting outpatient or inpatient treatment or observation of all individuals treated to include, but not limited to, Health Records, Outpatient Treatment Records, Foreign National Outpatient and Inpatient Records, American Red Cross Outpatient and Inpatient Records, Reserve Component Outpatient Records; Physical Medicine Treatment Records and supporting documents to above.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; and Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be used to plan and coordinate health care. It may be used to provide medical treatment; conduct research; teach; compile statistical data; determine suitability of persons for service or assignments; implement preventive health and communicative disease control programs; adjudicate claims and determine benefits; evaluate care rendered; determine professional certification and hospital accreditation; conduct authorized investigations; provide physical qualifications of patients to other Federal, State and local agencies upon request in the pursuit of their official duties; for research purposes by the National Research Council; and to report medical conditions required by law to Federal, State and local agencies; for other lawful purposes including law enforcement and litigation.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, microfiche, cassettes, computer printouts and magnetic tapes and disks.

Retrievability:

Filed by last name or terminal digit file system (social security number).

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly trained and screened.

Retention and disposal:

Troop and Health Clinic Clinical Record Cover Sheets: Destroyed after 5 years.

Health Records: Active while individual is on active duty, then retired with Military Personnel Records Jacket.

Military Clinical Record Files: Destroyed after 50 years. Withdrawn and retired to National Personnel Records Center, 111 Winnebago St., St Louis, MO 63118, as follows, except that files pertaining to United States Military Academy (USMA) cadets are transferred to The Surgeon, United States Military Academy, West Point, NY 10996: 5-year clinical record libraries: 5 years after the end of the year in which last medical treatment was given. Nonfixed medical facilities: at the end of each month for records completed on all patients released during the month. Other medical facilities: 1 year after the end of the year in which last medical treatment was given.

Civilian Clinical Record Files: Destroyed after 25 years. Withdrawn and retired to National Personnel Records Center (Civilian), 111 Winnebago St., St Louis, MO 63118, as follows: 5-year clinical record libraries: 5 years after the end of the year in which last medical treatment was given. Nonfixed medical facilities: at the end of each month for records completed on all patients released during the month. Other medical facilities: 1 year after the end of the year in which last medical treatment was given.

American Red Cross Clinical and Outpatient Record Files: Withdrawn and forwarded to Medical Officer, American National Red Cross, 18th and D Streets NW, Washington, DC 20006, 1 month after patient's medical treatment is completed for clinical records and 1 year for outpatient records.

Foreign National Clinical and Outpatient Record Files Continental United States (CONUS) medical facilities: Forwarded to the Commander, United States Army Health Services Command (HSC), ATTN: HSC-OP-PS, Ft Sam Houston, TX, 78234, at the end of the month in which treatment is completed for transfer to appropriate embassy. However, when the individual's length of stay in the local area can be readily determined, files are forwarded to the HSC at the end of the month in which residence is terminated. Medical facilities in oversea command: Transfered to the foreign official, or to The Surgeon General, whichever is appropriate.

Military Outpatient Record Files: Destroyed after 50 years. Withdrawn and retired to National Personnel Records Center, 111 Winnebago St., St Louis, MO 63118, 3 years after the end of the year in which last medical treatment was given. Outpatient files of active Coast Guard and other military personnel, including members of any of the Reserve components on active duty or active duty for training for more than 30 days, and cadets of the military academies are filed in the health record jacket. Outpatient files for these personnel are forwarded for insertion in the health record jackets on completion of treatment or observation. Outpatient files of all other categories are forwarded, on request, to the gaining medical facility when the patient moves to a new location.

Civilian Outpatient Record Files: Destroyed after 25 years. Withdrawn and retired to National Personnel Records Center (Civilian), 111 Winnebago St., St Louis, MO 63118, 3 years after the end of the year in which last medical treatment was given.

Reserve Component Outpatient Files: Destroyed after 50 years. Withdrawn and retired to National Personnel Records Center, 111 Winnebago St., St Louis, MO 63118, 1 year after the end of the year of summer camp or annual training.

Civilian Employee Medical Files: Destroyed 25 years after separation. Placed in inactive file upon separation and retired to National Personnel Records Center (Civilian), 111 Winnebago St., St Louis, MO 63118, with the next regular retirement.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Patient Administrator at medical center or hospital where treatment was provided. Official mailing addresses are in the Department of Defense directory in the Appendix to Army system notices.

Requesting individual is required to submit full name, social security number (SSN) of sponsor, date care was provided, and facility providing care.

The requester may visit the office of the Patient Administrator at medical center or hospital where care was provided.

For personal visits, the requestor is required to provide full name, SSN of sponsor and present some form of acceptable identification, such as identification card, driver's license.

Record access procedures:

Requests from individuals should be addressed to Patient Administrator at medical center or hospital where care was provided. The official mailing addresses are in the Department of Defense directory in the Appendix to Army system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from any Army medical center or hospital.

Record source categories:

Interviewer, diagnostic tests, other available administrative or medical records obtained from civilian or military sources.

Systems exempted from certain provisions of the act:

None

A0917.05DASG

System name:

917.05 Spectacle Issue and Receipt Files

System location:

Primary System: Eye clinic of each United States (US) Army medical treatment facility.

Decentralized Segments: Individual Patient Health Record/ Outpatient Treatment Record, US Army medical treatment facility; optical laboratory.

Categories of individuals covered by the system:

Any individual who has eyes refracted and receives diagnosis and prescription for spectacles.

Categories of records in the system:

File contains cards, receipts, Department of Defense (DD) Form 771 (Eyewear Prescription), and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army medical treatment facility eye clinic: To record treatment, need, and refraction of patient's spectacles.

US Army medical treatment facility (Individual Patient Health Record/Outpatient Treatment Record): To retain record of spectacle prescription.

Optical laboratory: To permit manufacture of prescribed spectacles.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by eye clinic alphabetically by last name; filed in individual's health record/outpatient treatment record.

Safeguards:

Clinic and records area at medical treatment facility accessible only to authorized personnel.

Retention and disposal:

Clinic copy is destroyed 3 months following end of quarter in which prescription was made.

Health Record/Outpatient Treatment Record copy is retired with record.

Optical laboratory copy returned with glasses to patient.

System manager(s) and address:

The Surgeon General, USA; commanders of medical centers and hospitals.

Notification procedure:

Information may be obtained from:
Commander
Medical center or hospital where patient was examined.

Record access procedures:

Requests from individuals should be addressed to Commander, medical center or hospital where examined; or Headquarters, Department of the Army (DASG-HCC-O), Room 2D528, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to eye clinic, medical center or hospital where examined; and Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide sufficient identification, and give some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Prepared at clinic when patient requires spectacles.

Systems exempted from certain provisions of the act:

None

A0917.07DASG

System name:

917.07 Clinical Psychology Individual Case Files

System location:

Primary System: Psychology Service, medical centers and hospitals.

Decentralized Segments: Mental Hygiene Consultation Service, located in divisions and at each post, camp, or station.

Categories of individuals covered by the system:

Any individual who undergoes psychological evaluation at Army medical treatment facility.

Categories of records in the system:

File contains examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes, abstracts or copies of pertinent medical records; observations of patient's behavior; and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Psychology service: To assist in psychological evaluation of individuals who have drug, alcohol, marital, work adjustment, neuropsychological, and similar problems.

Mental Hygiene Consultation Service: To assist in psychological evaluation of individuals who have drug, alcohol, marital, neuropsychological, work adjustment, and similar problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name in clinic until case is closed or treatment discontinued. Selected forms are then placed in individual's health record.

Safeguards:

Buildings are secured when not in use. Files and records are accessible only to authorized individuals.

Retention and disposal:

Standard Form (SF) 600 placed in individual's health record/outpatient treatment record; other related forms are destroyed 3 years after the case is closed, or on discontinuance, whichever is first.

System manager(s) and address:

The Surgeon General, USA; commanders of medical department activities.

Notification procedure:

Information may be obtained from:
Commander
Medical center or hospital where treated.

Record access procedures:

Requests from individuals should be addressed to: Commander, medical center or hospital where treated; or Headquarters, Department of the Army (DASG-HCC-H), Room 2D528, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to Psychology Clinic or Mental Hygiene Consultation Service; the Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide sufficient identification, and give some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes, abstracts or copies of pertinent medical records; observations of patient's behavior; related papers and forms from psychologist.

Systems exempted from certain provisions of the act:

None

A0917.08DASG

System name:

917.08 Social Work Individual Case Files.

System location:

Primary System: Mental Hygiene Consultation Service, Medical Department Activities.

Decentralized Segments: Records holding area/overseas records center.

Categories of individuals covered by the system:

Each individual that receives treatment at a mental hygiene consultation service.

Categories of records in the system:

File contains interviews, personal history statements, abstracts or copies of pertinent medical records, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents relate to the interview of patients and appropriate individuals, to assist in the adjustment of the patient and in the evaluation of personal and social data for diagnosis and treatment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name in clinic until case is closed or treatment is discontinued. Selected forms are placed in individual's health record/outpatient treatment record.

Safeguards:

Buildings are secured when not in use. Files and records are accessible only to authorized individuals.

Retention and disposal:

Records are destroyed 3 years after the case is closed or on discontinuance, whichever is first. They are maintained in the local file area for 1 year after cutoff, then transferred to the records holding or overseas records center for the remainder of the retention period.

System manager(s) and address:

The Surgeon General, USA; commanders of medical department activities.

Notification procedure:

Information may be obtained from:
Director
Medical Department Activity where treated.

Record access procedures:

Requests from individuals should be addressed to Director, medical department activity where treated; or Headquarters, Department of the Army (DASG-HCC-G), Room 2D528, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, social security number (SSN), current address and telephone number. Visits are limited to Mental Hygiene Consultation Service; and Professional Services Division (DASG-HCC), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to give sufficient identification, and some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Interviews, personal history statements, abstracts or copies of pertinent medical records, and similar or related papers prepared by the social worker.

Systems exempted from certain provisions of the act:

None

A0917.09aDASG

System name:

917.09 Alcohol and Drug Abuse Rehabilitation Files

System location:

Alcohol and Drug Abuse Prevention and Control Program (ADAPCP) rehabilitation/counseling facilities (e.g., halfway houses, rap centers) at installation level.

Categories of individuals covered by the system:

Any individual who is diagnosed as an alcohol drug abuser by a physician and subsequently enrolled in the ADAPCP.

Categories of records in the system:

File contains client intake and followup records, initial interview forms, psychosocial histories, counselor observations and impressions of client's behavior and rehabilitation progress, copies of medical consultations and laboratory procedures performed, results of biochemical urinalysis for drug abuse, and similar or related documents.

Authority for maintenance of the system:

Title V, Public Law 92-129; Section 413, Public Law 92-255.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents relate to results of counseling sessions and in- terviews with clients and appropriate individuals, to assist in the adjustment of the client and in the evaluation of personal and social data for further diagnosis and treatment.

Record of the identity, diagnosis, prognosis, or treatment of any client/patient, irrespective of whether or when he ceases to be a client/patient, maintained in connection with the performance of any alcohol or drug abuse prevention and treatment function conducted, regulated, or directly or indirectly assisted by any department or agency of the United States, shall, except as provided therein, be confidential and be disclosed only for the purposes and under the circumstances expressly authorized in Title 21 U.S.C., Section 1175. This statute takes precedence over the Privacy Act of 1974, in regard to accessibility of such records except to the individual to whom the record pertains.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed alphabetically by last name and maintained in ADAPCP facilities for 1 year following termination of treatment. Selected forms are transferred to the service member's health record.

Safeguards:

Files and records are maintained in central storage areas in locked file cabinets. Access is limited only to authorized individuals.

Retention and disposal:

Records maintained in ADAPCP facilities are destroyed 1 year after termination of the case.

System manager(s) and address:

The Surgeon General, Department of the Army; commanders of medical department activities.

Notification procedure:

Information may be obtained from Commander of medical center or medical department activity at installation where treatment for alcohol/drug abuse was obtained.

Record access procedures:

Requests from individuals should be addressed to: Commander, medical center or medical department activity at installation where treatment was received; or Headquarters, Department of the Army (DASG-HCA), Room 2C468, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, social security number, year of birth, current address and telephone number. Visits are limited to ADAPCP facilities, medical center or medical department activity; and Alcohol and Drug Policy Office (DASG-HCA), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to give sufficient identification and provide some verbal information that can be verified from his/her file.

Contesting record procedures:

Army's policy for gaining access to records and for contesting contents and appealing initial determinations may be ob- tained from the SYSMANAGER.

Record source categories:

Interviews, personal history statements, abstracts or copies of pertinent medical records, abstracts from personnel records, results of tests, physician's notes, observations of client's behavior, related notes, papers and forms from counselor and/or clinical director.

Systems exempted from certain provisions of the act:

None

A0917.10aDAAG

System name:

917.10 Child Protection Case Management Files

System location:

Primary System: Commander, United States (US) Army Health Services Command, ATTN: HSOP-PR, Ft Sam Houston, TX 78234.

Decentralized Segments: Office of The Surgeon General, ATTN: DASG-HCC-G, Washington, DC 20310; US Army medical treatment facility and/or child protection and case management team office on post, camp, or station where file was initiated or, in some cases, subsequently transferred upon reassignment of military member.

Categories of individuals covered by the system:

All children entitled to care at Army medical and dental facilities whose abuse or neglect is brought to the attention of appropriate authorities and all persons suspected of abusing or neglecting such children.

Categories of records in the system:

Medical records of suspected and established cases of child abuse or neglect, investigative reports, correspondence, child protection case management team reports, follow-up and evaluative reports, and other supportive data assembled relevant to individual child protection case management.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Army in the performance of their official duties relating to health and medical treatment of members and former members of the uniformed services,

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civilians and dependents receiving medical care under Army auspices; performance of research studies and compilation of statistical data.

Officials and employees of other components of the Department of Defense and other Departments and agencies of the Executive Branch of government in the performance of their official duties relating to the coordination of child advocacy programs, medical care and research concerning child abuse and neglect.

The Attorney General of the United States or his authorized representatives in connection with litigation or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Federal, state or local governmental agencies when it is deemed appropriate to utilize civilian resources in the counseling and treatment of individuals or families involved in child abuse or neglect, or when it is deemed appropriate or necessary to refer a case to civilian authorities for civil or criminal law enforcement.

Authorized officials and employees of the National Academy of Sciences, private organizations and individuals for health research in the interest of the Federal government and the public; and authorized surveying bodies for professional certification and accreditation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, microfilm or magnetic tape, punched cards, machine lists, disks, and other computerized or machine readable media.

Retrievability:

Filed by name of the suspected abused child and the name and/or social security number (SSN) of the military sponsor, with no index by the name and/or SSN of any other person not an Army employee (including the spouse of the military sponsor).

Safeguards:

Records are maintained in various kinds of filing equipment in specified monitored or controlled access rooms or areas. Public access is not permitted. Records are accessible only to authorized personnel that are properly screened and trained, and on a need-to-know basis only. Computer terminals are located in supervised areas with access controlled by password or other user code system.

Retention and disposal:

Records are retained in decentralized office files for 5 years after the end of the year in which the case was closed and are then destroyed. Records are retained in the central file until the minor child is age 22 and are then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army; Commander, US Army Health Services Command; commanders of medical centers and hospitals.

Notification procedure:

Information on specific cases may be obtained from the commander of the medical center or hospital where treatment was received. Official mailing addresses are in the Department of Defense Directory in the Appendix to Army system notices.

Information in central files may be obtained from:

Commander
US Army Health Services Command
ATTN: HSOP-PR
Ft Sam Houston, TX 78234

Record access procedures:

Requests from individuals should be addressed to the commander of the medical center or hospital where treatment was received; or to Commander, US Army Health Services Command, ATTN: HSOP-PR, Ft Sam Houston, TX 78234.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number. Visits are limited to the commander of the medical center or hospital where treatment was received; and to the Office of The Surgeon General (DASG-HCC-G), Room 2D528, The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to give sufficient identification, and provide some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

Information obtained from educational institutions, medical institutions, police and investigating officers, state and local government agencies, witnesses, and source documents (i.e., reports) prepared on behalf of the Army by boards, committees, panels, auditors, etc. Information may also be from interviews, personal history statements, and observations of behavior by various professionals (i.e., social workers; physicians, to include psychiatrists and pediatricians; psychologists; nurses and lawyers).

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C., Section 552a (k)(2) and (5), as applicable. For additional information, contact the SYSMANAGER.

A0918.05DASG

System name:

918.05 Tuberculosis Registry

System location:

Medical centers, world-wide, Army
Hospitals, world-wide, Army
Health clinics, world-wide, Army
Official mailing addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

All personnel eligible to receive medical care from Army medical treatment facilities to the extent authorized in Army Regulations AR 40-3 and AR 40-121.

Categories of records in the system:

The only record in this system is the Tuberculosis Registry (Department of the Army (DA) Form 3897-R) form which is used by medical personnel on all persons eligible for military medical care under medical surveillance for tuberculosis.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C., Section 1071; Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Form is maintained to serve as a current registration of all tuberculosis cases, contacts and convertors and as a suspense file to insure timely follow-up.

Form is used by medical personnel to record all pertinent information relative to individual's status, i.e., tuberculosis case, contact or convertor; tests performed, date performed and results of tests; drug therapy regimen; and recommendations for frequency of visits, tests, and duration of follow-up.

The medical treatment facility commander is responsible for the maintenance of this registry. The actual file and surveillance is performed by the medical treatment facility, Health and Environment Activity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper folders in file folders or vertical file cards.

Retrievability:

Filed alphabetically by last name of sponsor.

Safeguards:

Form is filed in office packed during non-duty hours.

Professional and trained non professional Health and Environment activity staff, civilian and military, personnel are authorized access to these records.

Retention and disposal:

Forms are retained in Health and Environment Activity Office as long as sponsor assigned to area serviced by Army medical treatment facility.

Form is mailed to medical treatment facility commander of joining organization upon permanent change of station for active duty military sponsor.

Medical treatment facility commander notifies the appropriate State health department or Veterans Administration when military sponsor is discharged or separated from the Army.

When medical surveillance is discontinued, the form is removed from the active file and placed in an inactive file for a period of 1 year and then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Requests for information should be addressed to the Patient Administration Office of the medical treatment facility where care was provided.

Information may be obtained from:

Patient Administration Office of Army medical treatment facilities which provided the health nursing care.

Record access procedures:

Requests from individuals should be addressed to: Patient Administration Office of Army medical treatment facility from which health nursing care was provided.

Written requests for information should contain the full name of the individual, military or retired sponsor's social security number, relationship to sponsor, current address and telephone number and the name of military medical treatment facility which provided health nursing care.

Visits are limited to Patient Administration Office of the Army medical treatment facilities which provided the health nursing care.

For personal visits, the individual should be able to provide some acceptable identification, i.e., military, retired military or dependent identification card, driver's license, and give some verbal information that could be verified with his health nursing records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from local Army medical treatment facility commanders.

Record source categories:

Medical and other allied health professional and non professional personnel, civilian and military.

Systems exempted from certain provisions of the act:

None

A0920.02aDASG

System name:

920.02 Civilian Consultation Service Case Files

System location:

Primary System: Mental Hygiene Consultation Services, Medical Department Activities located at posts, camps, or stations.

Decentralized Segments: National Personnel Records Center, 111 Winnebago St., St Louis, MO 63118.

Categories of individuals covered by the system:

Any dependent of military personnel, and under unusual circumstances, any other category of personnel other than military, foreign nationals, American Red Cross personnel, members of the United States (US) Coast Guard, Public Health Service, Coast and Geodetic Survey, and beneficiaries of the Veterans Hygiene Consultation Service.

Categories of records in the system:

File contains examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes, abstracts and copies of pertinent medical records; observations of patient's behavior; interviews, personal history statements, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Mental Hygiene Consultation Service: To provide consultation services dealing with problems of emotional adjustments, classification and/or reclassification, disposition, and the prevention of mental disorders.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings are secured when not in use. Files and records are accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 25 years. They are retained in active file until end of treatment, held 1 year in inactive file and subsequently retired to National Personnel Records Center.

System manager(s) and address:

The Surgeon General, US Army or US Air Force, or Chief, Bureau of Medicine and Surgery, US Navy; Director, Medical Department Activity; and the Director, National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Notification procedure:

Information may be obtained from Director, Medical Department Activity where treated, or if more than 1 year following treatment, from:

Director
National Personnel Records Center
lll Winnebago St.
St. Louis, MO 63118
Telephone Number: Area Code 314/622-5766

Record access procedures:

Requests from individuals should be addressed to Director, Medical Department Activity where treated; or Director, National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to Mental Hygiene Consultation Service; and National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

For personal visits, the individual should be able to provide sufficient identification (e.g., driver's license, employee identification card) and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Interviews, personal history statements, abstracts or copies of pertinent medical records; examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes.

Systems exempted from certain provisions of the act:

None

A0920.02bDASG

System name:

920.02 Military Consultation Service Case Files

System location:

Primary System: Mental Hygiene Consultation Services, medical department activities located at posts, camps, or stations.

Decentralized Segments: National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Categories of individuals covered by the system:

Any active member of the Army, Air Force, Navy, and Marine Corps; retired members of the Armed Forces; cadets and midshipmen of the military academies; members of the Reserve components of the Armed Forces; active and retired uniformed members of the United States (US) Coast Guard, Public Health Service, and Coast and Geodetic Survey; and beneficiaries of the Veterans Administration who receive consultation services at a mental hygiene consultation service.

Categories of records in the system:

File contains examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes, abstracts and copies of pertinent medical records; observations of patient's behavior; interviews, personal history statements, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Mental Hygiene Consultation Service: To provide consultation services dealing with problems of emotional adjustments, classification and/or reclassification, disposition, and the prevention of mental disorders.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings are secured when not in use. Files and records are accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 50 years. They are retained in active file until end of treatment, held 1 year in inactive file and subsequently retired to National Personnel Records Center.

System manager(s) and address:

The Surgeon General, US Army or US Air Force, or Chief, Bureau of Medicine and Surgery, US Navy; Director, Medical Department Activity, and the Director, National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Notification procedure:

Information may be obtained from: Director, Medical Department Activity where treated, or if more than 1 year following treatment, from:

Director
National Personnel Records Center
111 Winnebago St.
St. Louis, MO 63118
Telephone Number: Area Code 314/622-5766

Record access procedures:

Requests from individuals should be addressed to Director, Medical Department Activity where treated; or Director, National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to Mental Hygiene Consultation Service; and National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118.

For personal visits, the individual should be able to provide sufficient identification (e.g., driver's license, employee identification card) and give some verbal information that could be verified with his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Interviews, personal history statements, abstracts or copies of pertinent medical records; examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes.

Systems exempted from certain provisions of the act:

None

A0920.04DASG

System name:

920.04 American Red Cross Consultation Service Case Files

System location:

Primary System: Mental Hygiene Consultation Services, medical department activity located at posts, camps, or stations.

Decentralized Segments: American Red Cross, 18th and D Streets NW, Washington, DC 20006.

Categories of individuals covered by the system:

Employees of the American Red Cross who recieve consultation service at an Army medical facility.

Categories of records in the system:

File contains examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes; abstracts and copies of pertinent medical records; observations of patient's behavior; interviews, personal history statements, and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Mental Hygiene Consultation Service: To provide consultation services dealing with problems of emotional adjustments, classification and/or reclassification, disposition, and the prevention of mental disorders.

American National Red Cross: Storage of records until destruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings are secured when not in use. Files and records are accessible only to authorized personnel.

Retention and disposal:

Records are retained in the inactive file for 1 year after the end of the year in which last medical treatment was given and subsequently retired to the Medical Officer, American National Red Cross, 18th and D Streets NW, Washington DC 20006.

System manager(s) and address:

The Surgeon General, United States Army; Director, Medical Department Activity; Medical Officer, American National Red Cross, 18th and D Streets NW, Washington, DC 20006.

Notification procedure:

Information may be obtained from:
Director
Medical Department Activity where treated, or if more than 1 year following treatment,

Medical Officer
American National Red Cross
18th and D Streets NW
Washington, DC 20006
Telephone: Area Code 202/737-8300

Record access procedures:

Requests from individuals should be addressed to Director, Medical Department Activity where treated; or Medical Officer, American National Red Cross, 18th and D Streets NW, Washington, DC 20006.

Written requests for information should contain the full name of the individual, social security number, current address and telephone number. Visits are limited to Mental Hygiene Consultation Service; and American National Red Cross, 18th and D Streets NW, Washington, DC 20006.

For personal visits, the individual should be able to provide sufficient identification and give some verbal information that could be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Interviews, personal history statements, abstracts or copies of pertinent medical records; examination records of intelligence, personality, achievement, and aptitude; results of tests; doctor's notes.

Systems exempted from certain provisions of the act:

None

A0921.01aDASG

System name:

921.01 Army Medical X-Ray Film Files

System location:

Department of Army medical treatment facilities (MTF) where examination is conducted and National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118.

Categories of individuals covered by the system:

All individuals exposed to x-ray during medical examination incident to any Army purpose.

Categories of records in the system:

File contains exposed x-ray film and other related radiological reports, if any, pertaining to the individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071; Title 44 U.S.C., Section 3101; Title 50 U.S.C., Supplement IV, Appendix 454 as amended; and Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be used to plan and coordinate health care. It may be used to provide medical treatment; conduct research; teach; compile statistical data; determine suitability of persons for service or assignments; implement preventive health and communicative disease control programs; adjudicate claims and determine benefits; evaluate care rendered; determine professional certification and hospital accreditation; conduct authorized investigations; provide physical qualifications of patients to other Federal, State and local agencies upon request in the pursuit of their duties; for research purposes by the National Research Council; and to report medical conditions required by law to Federal, State and local agencies; other lawful purposes including law enforcement and litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Exposed x-ray film is retained in standard negative preservers (Federal Stock Number 7530-612-3950).

Retrievability:

Filed as a part of the individual's health record of active Army personnel. Other records are filed by name and social security number by year when x-ray was taken.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Medical treatment facilities.

Procurement and separation x-ray files: Permanent. Depending on accumulation, records are forwarded to the National Personnel Records Center (NPRC) (Civilian), 111 Winnebago Street, St. Louis, MO 63118; on a daily, weekly or monthly basis.

Patient treatment x-ray films: Destroyed 5 years after the end of the year in which last treatment was given.

Rejected applicant and registrant files: for temporary defects, destroyed after 1 year. All others - destroyed when finding is entered on report of medical examination.

Declined enlistment: Destroyed after 1 year.

Uncalled registrant: Forward to Selective Service local board concerned.

Tubercular applicant and registrant: Forward to State Health Officer, state of residence.

US military applicant x-ray files: Destroy 5 years after examination.

NPRC (military and civilian): Permanent records.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from medical center, hospital or clinic where treatment or film was provided. Official mailing addresses are in the Department of Defense Directory in the Appendix to Army system notices.

Information on applicant, procurement, registrant film may be obtained by written request to:

HQDA (DASG-AOM)
Room 2D453
The Pentagon
Washington, DC 20310

Record access procedures:

Requests should be addressed to medical center, hospital or clinic where treatment or film was provided. Official mailing addresses are in the Department of Defense Directory in the Appendix to Army system notices.

Requests on applicants, procurement, registrant film should be addressed to: Office of The Surgeon General, Headquarters, Department of the Army (DASG-AOM), Room 2D453, The Pentagon, Washington, DC 20310.

All requests should be written since files are not stored in Headquarters, Department of the Army. If telephone conversation is desired, at the expense of the inquirer, area code and telephone number should be furnished.

Personal visits by the individual requesting access may be subsequently arranged with the custodian of the x-ray when it has been determined where the film was taken and for what purpose.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Exposed film of the patient.

Systems exempted from certain provisions of the act:

None

A0921.06DASG

System name:

921.06 Patient Treatment X-ray Films

System location:

Primary System: Department of Radiology, United States (US) Army medical treatment facility.

Decentralized Segments: National Personnel Records Center, 9700 Page Blvd., St. Louis, MO 63132.

Categories of individuals covered by the system:

Any individual on whom an x-ray is taken.

Categories of records in the system:

File contains exposed x-ray film.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information may be used to plan and coordinate health care. It may be used to provide medical treatment; conduct research; teach; compile statistical data; determine suitability of persons for service or assignments; implement preventive health and communicative disease control programs; adjudicate claims and determine benefits; evaluate care rendered; determine professional certification and hospital accreditation; conduct authorized investigations; provide physical qualifications of patients to other Federal, State and local agencies upon request in the pursuit of their official duties; for research purposes by the National Research Council; and to report medical conditions required by law to Federal, State and local agencies; for other lawful purposes including law enforcement and litigation.

National Personnel Records Center for storage of x-ray films not destroyed at medical treatment facility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Exposed x-ray film filed in x-ray film negative preservers (Department of the Army (DA) Forms 3443 and 3443-1 through-9).

Retrievability:

Filed by last name or terminal digit file system (social security number (SSN)).

Safeguards:

Department of Radiology is secured when no one is on duty. Only authorized personnel are authorized access to the area when open.

Retention and disposal:

Records are destroyed 5 years after the end of the year in which last medical treatment was given. When installation is discontinued before expiration of the 5 year retention period, they are retired to National Personnel Records Center (Military), 9700 Page Blvd., St. Louis, MO 63132. Appropriate x-rays may be retained at chest centers when needed for follow-up or research purposes. When inpatients are transferred, x-ray films pertaining to the current period of treatment are transferred with the clinical records.

System manager(s) and address:

The Surgeon General, US Army; Commander, US Army medical treatment facility.

Notification procedure:

Information may be obtained from:
Commander
Medical treatment facility where x-ray was taken.

Record access procedures:

Requests from individuals should be addressed to: Commander, medical treatment facility where x-ray was taken: or Headquarters, Department of the Army (DASG-HCP), The Pentagon, Room 2C484, Washington, DC 20310.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number. Visits are limited to Department of Radiology, medical treatment facility where x-ray was taken: and Patient Administration Division (DASG-HCP), The Pentagon, Washington, DC 20310.

For personal visits, the individual should be able to provide sufficient identification, and give some verbal information that can be verified from his/her file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Referral of patient by attending Army medical department personnel to Department of Radiology.

Systems exempted from certain provisions of the act:

None

A0922.01aDASG

System name:

V 44 DE 1 17 79 UMI

922.01 Occupational Health and Tuberculosis Control System

System location:

Decentralized segments: Health and Environment Activity, Management Information Systems Office (MISO), Fitzsimons Army Medical Center (FAMC), Denver, CO 80240.

Categories of individuals covered by the system:

Individuals treated on an outpatient basis by the medical treatment facility (MTF) for whom specific occupational health examinations have been requested. This includes civilian employees, active duty (AD) military stationed at FAMC and their dependents.

Categories of records in the system:

Tuberculosis Control (TB) and Occupational Health Data Cards reflecting medical test results of all individuals incorporated within the TB Control and Occupational Health System. Health data cards contain the following: names, social security number (SSN), date of birth, marital status, place of birth, dates of medical surveillance tests and their results.

Authority for maintenance of the system:

Title 29, Code of Federal Regulations (CFR), Chapter XVII, Part 1910, Occupational Safety and Health Standard and Title 5 U.S.C., Section 150.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Health and Environment Activity, FAMC, to determine medical fitness and to evaluate health of AD military personnel, civilian employees and dependents pursuant to providing appropriate preventive medicine programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes are stored in MISO Tape Library by system or program number. Paper listing stored in file cabinets. Medical test results are stored at the Health and Environment Activity in file cabinets.

Retrievability:

Stored by terminal digit file system (social security number (SSN)) and last name.

Safeguards:

Magnetic tape storage library is secured by locked doors. Office is checked daily by staff personnel. Individuals employed in data use are given orientations as to sensitivity of personnel information and the obligation to protect information.

Retention and disposal:

Master program is retained indefinitely. Computer data bank records are destroyed by conventional binary overwriting. Medical test results are transferred to military medical records when individual departs FAMC. Civilian employee Occupational Health and TB Control data cards withdrawn from Health and Environment Activity and forwarded to Civilian Personnel Officer (CPO), FAMC, for inclusion with Civilian Personnel Record Jacket. Withdrawn and retired to National Personnel Records Center, 111 Winnebago St., St. Louis, MO 63118. Civilian employee medical records file destroyed 25 years after separation. Civilian employees transferring to another duty station: records are forwarded to gaining installation CPO by FAMC CPO. Other civilian categories-dependents of AD military: medical surveillance test results transferred to outpatient medical treatment records, and TB Control Data Card destroyed by mutilation.

System manager(s) and address:

Chief, Health and Environment Activity, FAMC, Denver, CO 80240.

Notification procedure:

Information may be obtained from Patient Administration Division, FAMC. Official mailing address is:

Chief, Patient Administration Division
Fitzsimons Army Medical Center
Denver, CO 80240

Record access procedures:

Requests from individuals should be addressed to Patient Administration Division, FAMC, Denver, CO 80240.

Requesting individual is requested to submit full name, SSN (if military dependent, sponsor's SSN, date care was provided. For personal visits, the requester is required to provide full name, SSN, some form of acceptable identification such as identification card (ID), driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Occupational Health and TB Control Data Cards prepared by personnel assigned to Health and Environment Activity at time of incorporation into the Occupational Health and TB Control System.

Systems exempted from certain provisions of the act:

None

A0923.01aDASG

System name:

923.01 Individual Safety and Health System

System location:

Primary System: Edgewood Arsenal, Aberdeen Proving Ground, MD 21010.

Categories of individuals covered by the system:

All employees and military members working within Edgewood Arsenal, occupationally exposed to environmental health hazards.

Categories of records in the system:

File contains documents reflecting the training, experience and certification to work within hazardous environments; external exposures to: chemicals, radiation, physical stress, nonhuman primates, including personnel monitoring results, work area monitoring readings, and similar and related documents; personnel protective equipment and medical programs required to limit exposure to environmental safety and health hazards.

Authority for maintenance of the system:

Title 29, Code of Federal Regulations (CFR) Chapter 17; Executive Order (EO) 11807; EO11612.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To insure that the individual is qualified to perform duties under environmental stress and to insure environmental stress is limited to lowest level practical and in other environmental safety management. Provided upon request to authorized representatives of the assistant Secretary of Labor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and computer magnetic tapes, or disks, computer paper printouts.

Retrievability:

Filed and retrieved by social security number (SSN), job number, medical information number, alphabetically by name, supervisor's name, and work area.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Permanent Computer Files: retained 5 years after reassignment, transfer or separation of individual. Personnel exposure files: area monitoring data indicating normal exposure is retained 5 years after evaluation and recorded on permanent records.

System manager(s) and address:

Commander, Headquarters, US Army Edgewood Arsenal, Aberdeen Proving Ground, MD 21010.

Notification procedure:

Information may be obtained by written request to:

Commander, Edgewood Arsenal
ATTN: SAREA-SA
Aberdeen Proving Ground; MD 21010.

Record access procedures:

Requests from individuals should be addressed to Commander, Edgewood Arsenal, ATTN: SAREA-SA, Aberdeen Proving Ground, MD 21010.

Requests should contain SSN, current address, and individual's signature.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the official responding to a written request.

Record source categories:

Written application from the individual requesting access, employee's supervisor, medical department and the Edgewood Arsenal Safety Office.

Systems exempted from certain provisions of the act:

None

A0924.01DASG

System name:

924.01 Health Nursing Case Files

System location:

Medical Centers, world-wide, Army
Hospitals, world-wide, Army
Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

All individuals eligible for Army military medical care.

Categories of records in the system:

Files contain Family Record Form (Department of the Army (DA) Form 3762) and Case Referral Form (DA Form 3763) which are documents used in patient and family health care provided by Army community health nurses.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; Title 10 U.S.C., Section 1071, Medical and Dental Care, Purposes.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A family record is initiated on each family receiving Army community health nursing supervision. This record provides a means for recording family identification, health and socio-economic data and nursing services rendered to patient and family. It assists the nurse in identifying patient and family needs and in planning and evaluating their care. Records include the source of referral, medical diagnosis, observations, nursing care rendered and plan and goals for nursing care. Record also includes brief summarization of consultations made in behalf of the patient of family and of advice provided telephonically to patient or family member that has significant health impact to that patient or family group. The primary users of this record are Army community health nurses. Pertinent information is shared with medical and allied medical personnel to provide continuity of health care.

Case referral form provides a means for medical and allied medical personnel to refer individuals and families for Army community health nursing services. The Army community health nurse may use this form to refer patients to other military and civilian health and welfare agencies or to Army community health nurses at other military installations. A case referral which contains medical information requires written consent of the patient or legal representative prior to release to a civilian agency. A doctor's signature is required when medications and/or treatments are ordered. This form initiated primarily by Army community health nurses helps to provide continuity of care, minimizes duplication of effort and furnishes accurate information to other health care providers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Both forms/records are stored as paper records in file folders. The Family Record is filed alphabetically in the Army community health nursing office. Closed records are filed in the inactive section. Both forms/records are handled so as to preclude access by unauthorized personnel. When requested, summary of family health record is sent to another military medical installation. The case referral form is prepared by the medical or allied health care provider. After acting upon the request, recipient records findings and recommendations on the reverse of the form. A copy of completed form is returned to the initiator and filed in the patient's outpatient medical record. Another copy is retained in the Army community health nursing files. If a family record is initiated, the referral is filed with the family record.

Retrievability:

Filed alphabetically by last name of eligible military/retired sponsor.

Safeguards:

Army community health nursing offices are locked during nonduty hours. Records are maintained in areas accessible only to authorized personnel, i.e., Army community health nurses and trained and supervised clerks and non professional health care providers assigned to the health nursing section.

Retention and disposal:

Both records/forms are retained in active file as long as nursing service is provided to patient and family group. Both records/forms are destroyed 3 years after the case is closed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Patient Administration Office of Army Medical Treatment Facilities which provided the health nursing care.

Record access procedures:

Requests from individuals should be addressed to: Patient Administration Office of Army medical treatment facility from which health nursing care was provided.

Written requests for information should contain the full name of the individual, military or retired sponsor's social security number, relationship to sponsor, current address and telephone number and the name of military medical treatment facility which provided health nursing care.

Visits are limited to Patient Administration Office of the Army medical treatment facilities which provided the health nursing care.

For personal visits, the individual should be able to provide some acceptable identification, i.e., military, retired military or dependent identification card, driver's license and give some verbal information that could be verified with his health nursing records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from local Army medical treatment facility commanders.

Record source categories:

All military personnel and their dependents.
All retired military personnel and their dependents.
Military and civilian educational institutions.
Civilian health, welfare and recreational official and voluntary agencies.
Civilian law enforcement agencies.
Civilian population.

Systems exempted from certain provisions of the act:

None

A0924.02DASG

System name:

924.02 Family Index Files

System location:

Medical Centers, world-wide, Army; hospitals, world-wide, Army; health clinics, world-wide, Army.

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

All individuals eligible for Army military medical care.

Categories of records in the system:

File contains Family Index Forms (Department of the Army (DA) Form 3760) which is used by Army community health nurses to determine case load by program classification and for scheduling provision of health nursing care.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101; Title 10 U.S.C., Section 1071.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A Family Index Form is initiated for each family in which at least one family member is receiving Army community health nursing care. This form provides a means of identifying families receiving health nursing supervision. It assists in determining numbers of families or individuals within family groups obtaining health nursing care according to program classification and is used as a method of scheduling this care based on a locally determined system of priorities. Program classifications are maternity, health promotion and disease control.

Family Index Form is used only by the Army community health nursing staff, which includes registered professional nurses and specially trained non professional health care workers, military as well as civilian.

The Army community health nursing staff utilizes this form as a tickler file to serve as a reminder of services needed at a particular time.

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Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Form is initiated for each family or individual receiving health nursing care.

Form is filed alphabetically as paper record, generally in each health nursing staff member's personal office area.

Retrievability:

Filed alphabetically by last name of eligible military/retired sponsor.

Safeguards:

Army community health nursing offices are locked during non-duty hours. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Form remains in active file until family record is closed, then it is placed in the health nursing office cumulative inactive file for 3 years, following which it is destroyed.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Patient Administration Office of Army medical treatment facilities which provided the health nursing care.

Record access procedures:

Requests from individuals should be addressed to Patient Administration Office of Army medical treatment facility which provided health nursing care.

Written requests for information should contain the full name of the individual, military or retired sponsor's social security number, relationship to sponsor, current address and telephone number and the name of military medical treatment facility which provided health nursing care.

Visits are limited to Patient Administration Office of the Army medical treatment facilities which provide health nursing care.

For personal visits, the individual should be able to provide some acceptable identification, i.e., military, retired military or dependent identification card, driver's license and give some verbal information that could be verified with his health nursing records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from local Army medical treatment facility commanders.

Record source categories:

Army community health nursing staff, professional and appropriate non professional; civilian as well as military personnel.

Systems exempted from certain provisions of the act:

None

A0924.04DASG

System name:

924.04 School Health Files

System location:

Dependent school systems in the Continental United States (CONUS) in which similar state, county or city civilian forms are not used.

Overseas dependent school systems under the jurisdiction of the Department of the Army.

Official mailing addresses are in the Department of Defense (DOD) Directory in the Appendix to the component's systems notice.

Categories of individuals covered by the system:

Students enrolled in kindergarten thru 12th grade attending schools as listed above.

Categories of records in the system:

Recorded in this system is the school health record form (DA Form 4112) which is used to record pertinent data concerning a student's health.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301;
Title 10 U.S.C., Section 1071;
Title 44 U.S.C., Section 3101: Records Management by Agency Heads.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Recorded data assists school and medical personnel in providing and evaluating school health services as well as the needs of the student.

Identifying information, health history and types and dates of immunizations are obtained from parents and entered on the form.

Results of physical examination and screening tests are entered at time of examination.

Nurse: student visits and consultations with parents, school personnel and other appropriate individuals in behalf of the student are recorded on reverse side of the form.

Primary users of this form are professional dependent school and specially trained medical personnel. Occasionally it is necessary to disclose all or some data found in the school health records to include but not limited to law enforcement agencies, protective services or similar health and welfare institutions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Generally, record stored in paper records by school classes and retained in school nurse's office.

Records are filed so as to preclude access by unauthorized personnel.

In some cases, permanent copy of record is filed with rest of family records in the medical treatment facility outpatient record room, while a copy of the school health form is filed as described above.

Retrievability:

Filed alphabetically by last name of student and school grade.

Safeguards:

Files stored in locked cabinets and office doors locked when school is not in session.

Professional dependent school and specially trained medical personnel are only individuals who have access to this information.

Retention and disposal:

Record remains in school nurse's office as long as student remains in that school. When child is transferred to another school, the record is given to the parent to deliver to the next school.

System manager(s) and address:

Principal of school in which individual is enrolled.

Notification procedure:

Requests from parent or student should be addressed to the above SYSMANAGER.

The name, date of birth and social security number (SSN) of sponsor will be required from the requesting individual.

Record access procedures:

Official mailing addresses are in the DOD Directory in the Appendix to the component's system notice.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the appropriate SYSMANAGER or local medical treatment facility commander, as applicable.

Record source categories:

Dependent professional school and especially trained medical personnel, and parents.

Systems exempted from certain provisions of the act:

None

A0925.04aDASG

System name:

925.04 Prosthetic Case Files

System location:

PRIMARY SYSTEM: Army Dental Clinic; regional dental activities.

Categories of individuals covered by the system:

All military personnel; dependents; retired personnel.

Categories of records in the system:

Dental prosthetic case forms; individual treatment records, Standard Form (SF) 603.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental Clinic: patient care and teaching by Army dentists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records attached to prosthetic case box.

Retrievability:

Filed alphabetically by name of patient.

Safeguards:

Normal protective measures common to all government property and other health records.

Retention and disposal:

Files are destroyed 3 months after completion.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army (HQDA);
Commanders of dental activities and regional dental activities.

Notification procedure:

Information may be obtained from:
HQDA (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310.
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: HQDA (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol, on all correspondence received from this office. Visits are limited to the individual whose dental prosthetic case file is maintained in the clinic.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Dental treatment record (DD Form 722).

Systems exempted from certain provisions of the act:

None

A0926.01DASG

System name:

926.01 Dental Health Record Files

System location:

Army Dental Clinics; regional dental activities.

Categories of individuals covered by the system:

All military personnel (Active Army, Air Force, Navy and Marine Corps military personnel) including Reserve Component and personnel on active duty more than 30 days.

Categories of records in the system:

Standard Form (SF) 603, Health Record-Dental; Department of the Army (DA) Form 3984, Dental Treatment Plan; SF 513, Clinical Record-Consultation Sheet; SF 514 and SF 557, Clinical Record, Laboratory Reports; SF 519, Clinical Record-Radiographic Report.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental Clinic: patient care and teaching by Army dentists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically.

Safeguards:

Normal protective measures common to all health records.

Retention and disposal:

Records are permanent. They accompany the individual during his/her active military service career. On separation from the active Army records of individuals having a Reserve obligation are transferred to the US Army Reserve Components Personnel and Administration Center, St. Louis, MO 63132. On completion of the Reserve obligation records are retired to the National Personnel Records Center (NPRC) (Military), 9700 Page Boulevard, St. Louis, MO 63132. Records of individuals not having a Reserve obligation are retired directly to NPRC (Military) on termination of active Army service.

System manager(s) and address:

The Surgeon General, United States Army; commanders of dental activities and regional dental activities.

Notification procedure:

Information may be obtained from:
HQDA (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol, on all correspondence received from this office. Visits are limited to the individual whose dental health records apply.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Dental Health Record (Department of Defense Form 722).

Systems exempted from certain provisions of the act:

None

A0926.02DASG

System name:

926.02 Military Dental Files

System location:

PRIMARY SYSTEM: Army Dental Clinics; regional dental activities.

Categories of individuals covered by the system:

Retired members of the Army; Air Force, Navy, Marine Corps and Coast Guard; Reserve Officers' Training Corps, Reserve Component on active duty for periods of less than 30 days.

Categories of records in the system:

Standard Form (SF) 603, Health Records-Dental; Department of Army (DA) Form 3984, Dental Treatment Plan; SF 513, Clinical Record - Consultation Sheet; SF 514 and SF 545-557 series, Laboratory Reports, SF 519 Clinical Record - Radiographic Report.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental Clinic: patient care and teaching by Army dentists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Filed alphabetically by name of patient.

Safeguards:

Normal protective measures common to all Army health records.

Retention and disposal:

Destroy after 50 years. Retire 1 year after annual cutoff to National Personnel Records Center (Military), 9700 Page Blvd, St Louis, MO 63132.

System manager(s) and address:

The Surgeon General, United States Army; commanders of dental activities.

Notification procedure:

Information may be obtained from:
HQDA (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol, on all correspondence received from this office. Visits are limited to individuals to whom the records apply.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of Defense Form 722-1 Health Record-Dental.

Systems exempted from certain provisions of the act:

None

A0926.03DASG

System name:

926.03 Civilian Dental Files

System location:

Army dental clinics at organizations listed in the Department of Defense Directory in the Appendix to this Federal Register.

Categories of individuals covered by the system:

Dental Health Records pertaining to all categories of beneficiaries except active duty military personnel and retirees.

Categories of records in the system:

Standard Form (SF) 603, Health Record-Dental; Department of the Army (DA) Form 3984, Dental Treatment Plan; SF 513, Clinical Record Consultation Sheet; SF 514 and SF 545-557 series, Laboratory Reports; SF 519, Clinical Record-Radiography Report.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental Clinic: patient care and teaching by Army dentists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name of patient.

Safeguards:

Normal protective measures common to all Army health records.

Retention and disposal:

Destroy after 25 years. Retire 1 year after annual cutoff to National Personnel Records Center (Civilian), 111 Winnebago St., St. Louis, MO 63118.

System manager(s) and address:

The Surgeon General, United States Army; commanders of dental activities.

Notification procedure:

Information may be obtained from:
HQDA (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol on all correspondence received from this office. Visits are limited to the individual whose dental records are maintained in the clinic.

For personal visits, the individual should be able to provide some acceptable identification; i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of Defense Form 722-1 Health Record-Dental.

Systems exempted from certain provisions of the act:

None

A0926.05DASG

System name:

926.05 American Red Cross Dental Files

System location:

Army Dental Clinics at organizations listed in the Department of Defense Directory in the Appendix to this Federal Register.

Categories of individuals covered by the system:

American Red Cross personnel when authorized dental care in accordance with paragraph 4-49, Army Regulation 40-3.

Categories of records in the system:

Standard Form (SF) 603, Health Record Dental; Department of the Army Form 3984, Dental Treatment Plan; SF 513 Clinical Record-Consultation Sheet; SF 514 and SF 545-557 series, Laboratory Reports; SF 519 Clinical Record-Radiography Report.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental Clinic: patient care and teaching.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name of patient.

Safeguards:

Normal protective measures common to all Army health records.

Retention and disposal:

Withdrawn and forwarded to Medical Officer, American National Red Cross, 18th and D Sts, NW, Washington, DC 20006, 1 month after completion of treatment. Destroyed after 25 years.

System manager(s) and address:

The Surgeon General, United States Army; commanders of dental activities; Medical Officer, American National Red Cross.

Notification procedure:

Information may be obtained from:
HQDA (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol on all correspondence received from this office. Visits are limited to individuals to whom records pertain.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Department of Defense Form 722-1 Health Record-Dental.

Systems exempted from certain provisions of the act:

None

A0927.01DASG

System name:

927.01 Extra Oral Dental X-ray Files

System location:

Primary System: Army Dental Clinics.

Categories of individuals covered by the system:

All military personnel, dependents, retired personnel, and dependents when authorized.

Categories of records in the system:

Exposed X-rays involving jaw fractures and diseases; skull fractures, injuries and plates; bone grafting, and similar conditions.

Authority for maintenance of the system:

Title 10 U.S.C., Section 1071-1085.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dental clinic: patient care, research, and training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

X-ray film mounted in on Department of Defense (DD) Form 722-1 Health Record-Dental.

Retrievability:

Filed alphabetically by name of patient.

Safeguards:

Normal protective measures common to all government property and other health records.

Retention and disposal:

Files are destroyed after 5 years.

System manager(s) and address:

The Surgeon General, United States Army; Commanders of all dental activities.

Notification procedure:

Information may be obtained from:
Headquarters, Department of the Army (DASG-DCM)
Room 3E480
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-2282

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DCM), Room 3E480, The Pentagon, Washington, DC 20310.

Written requests for information should contain the full name of the individual, current address and telephone number, and the case control number that appears with the office symbol, on all correspondence received from this office. Visits are limited to the individual whose x-ray files are maintained in the clinic.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Dental Treatment Record (DD Form 722-1).

Systems exempted from certain provisions of the act:

None

A0929.02aDASG

System name:

929.02 Privately Owned Animal Record Files

System location:

United States (US) Army Medical Department Activities (ATTN: Veterinarian) at Army commands, installations and activities. Official mailing addresses are located in the Department of Defense (DOD) Directory in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

Any authorized individual who has received vaccination or treatment for his privately owned animal at a military Veterinary Animal Disease Prevention and Control Facility.

Categories of records in the system:

File contains documents pertaining to the health of individual animals belonging to military members or their dependents and under the care of an Army veterinarian. Included in the file for each animal are medical treatment records, vaccination certificates, diagnostic test certificates, health certificates and similar or related documents. These documents may contain the home address and home telephone number of the animal owner.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 133, 1071-1085, 5031 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are utilized to identify and locate the owner of an animal when the animal is lost, apprehended by the Provost Marshal as a stray, or is in need of revaccination for rabies. They may be used in determining the need for medical treatment in cases of animal bites. They are utilized to record diagnosis and treatment provided, to compile statistical data and to determine the effective- ness of the rabies vaccination and stray animal control programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

Filed alphabetically by animal owner's last name. In addition, Rabies Vaccination Certificates may also be filed by the number on the vaccination tag provided to the owner at the time of vaccination.

Safeguards:

Building is locked when unattended. Records are available only to authorized personnel working in the animal treatment facility who have been properly screened and trained.

Retention and disposal:

Files are destroyed 1 year after the death of the animal or released to the owner when the owner is transferred or is no longer entitled to veterinary care for his/her animal.

System manager(s) and address:

Veterinarian, US Army Medical Department Activity.

Notification procedure:

Information may be obtained from US Army Medical Department Activity Veterinarian at the military facility at which the animal was vaccinated. Requesting individual's full name and the rabies vaccination tag number should be provided. For personal visits the military identification card should be presented.

Record access procedures:

Access to individual's records may be gained by notifying the Army Medical Department Activity Veterinarian at the military installation where the records are maintained. Official mailing addresses are listed in the DOD Directory in the Appendix to the DA system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Animal owner.

Systems exempted from certain provisions of the act:

None

A0929.04aDASG

System name:

929.04 Animal Death Certificate Files

System location:

United States (US) Army Medical Department Activities, ATTN: Veterinarian, at Army commands, installations and activities. Official mailing addresses are located in the Department of Defense (DOD) Directory in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

Military personnel owning animals which were euthanized at a military facility.

Categories of records in the system:

File contains documents reflecting the cause of animal deaths. Included are death certificates and related documents. File may contain the home address and home telephone number of the animal owner.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 133, 1071-87, 5031, and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information will be utilized to identify and remove the animal's registration record from the files of animals registered with the Veterinary Animal Disease Prevention and Control Facility in order to facilitate the Veterinary Preventive Medicine and Zoonotic Disease Control Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

Filed alphabetically by the animal owner's last name.

Safeguards:

Building is locked when unattended. Records are available only to authorized personnel working in the animal treatment facility who have been properly screened and trained.

Retention and disposal:

Files are destroyed after 6 months or on discontinuance, whichever is first.

System manager(s) and address:

Veterinarian, US Army Medical Department Activity.

Notification procedure:

Information may be obtained from the US Army Medical Department Activity, ATTN: Veterinarian, at the military facility at which the animal was euthanized. For personal visits, the military identification card should be presented.

Record access procedures:

Access to individual's records may be gained by notifying the US Army Medical Department Activity, ATTN: Veterinarian at the military installation at which the animal was euthanized. Official mailing addresses are listed in the DOD Directory in the Appendix to the DA system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Animal owner.

Systems exempted from certain provisions of the act:

None

A1001.02aTRADOC

System name:

1001.02 MASSTER OSUT Individual Basic Training Survey

System location:

Primary System: Office of the Director, Engineering and Instrumentation Directorate, Automatic Data Processing Division, Test Support Branch, Headquarters, Modern Army Selected System Test, Evaluation and Review (MASSTER), ATMAS-EI-DP, Ft Hood, TX 76554.

Decentralized Segments: Office of the Management Information Systems Officers at Fts Polk, LA; Gordon, GA; Knox, KY; Leonard Wood, MO; Sill, OK; Bliss, TX.

Official mailing addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

Officers and enlisted personnel currently assigned or attached as training cadre; enlisted personnel assigned or attached for purpose of completing US Army individual basic training and/or individual advanced training at Fts Polk, LA; Gordon, GA: Knox, KY; Leonard Wood, MO; Sill, OK; Bliss, TX; First-line officer and enlisted supervisors of the graduate trainee upon arrival at his first United States (US) Army Forces Command (FORSCOM) station/unit after graduation.

Categories of records in the system:

Files contain automated records on individuals to include social security number (SSN); last name, first name; middle initial; date assigned; unit assigned; race; marital status; component; age; education level and years; prior service; branch of service; enlistment option; enlistment commitment; military occupational specialty (MOS) training; infusee/recycle into unit; mental category; general technical aptitude area (GT) score; years of active service; grade; job title; last primary MOS (PMOS) score; PMOS; combat experience; months' total experience on this job; drill sergeant program entry method; gaining unit identification code (UIC); all trainee daily incidents such as discharge, Uniform Code of Military Justice (UCMJ) actions, sick call, absent without leave (AWOL), recycles, receipt of mental hygiene consultation service, graduated, injured in training; non-graduate and reason, admittance to hospital; all trainee basic MOS qualification tests and scores to include the number of attempted tries to pass the tests; supervisors' responses to an automated questionnaire as to the graduate trainees' level of expertise and qualifications to function at an entry skill level for his assigned MOS; an attitude survey on trainees as a group unit which is not keyed to individuals' name or SSN.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide Commanders of US Training and Doctrine Command (TRADOC), MASSTER, Ft Polk, Ft Gordon, Ft Knox, Ft Leonard Wood, Ft Sill, and Ft Bliss with the ability to determine if the OSUT philosophy is a successful method of training the individual soldier of the US Army in critical entry level skills for first unit assignment through the use of the following statistical summary documents on groupings of trainees by units of assignment: Trainee Biographical Summary Data; Individual Biographical Training Data; Cadre Biographical Summary Data; Cadre Individual Biographical Data; Training Personnel Status and Update of Incident Data; Trainee Basic Physical Fitness Test Summary Data; Trainee Advanced Physical Fitness Test Summary Data; Trainee Weapons Qualification Summary Data; Trainee Individual Branch or MOS Qualification Test Summary Data; Summary of Critical Task Results Data, Summary of Unit Profile Data; Individual Trainee SSN, Name Sequence Reference Data; additionally, statistical summary reports are generated on as 'as required' basis in response to specific management queries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, disks and paper printouts.

Retrievability:

SSN, unit of assignment, date; computer indices are required to retrieve individual records from the system.

Safeguards:

Automated media protected by controlled access to operations rooms, restricted output distribution; computer printouts protected by locked cabinets, personnel screenings, and a need-to-know verification.

Retention and disposal:

Records on all automated media and computer printout are destroyed when no longer needed.

System manager(s) and address:

Primary System: Management Information Systems Officer, HQ, MASSTER, Ft Hood, TX 76554.

Decentralized Segments: Management Information Systems Officers at Fts Polk, LA; Gordon, GA; Knox, KY; Leonard Wood, MO; Sill, OK; Bliss, TX.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Information may be obtained from SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual interviewed, Standard Installation/Division Personnel System (SIDPERS) automated system interfaces, military personnel records, and individual trainee qualification test score cards.

Systems exempted from certain provisions of the act:

None

A1001.07aDAMO

System name:

1001.07 Student Research Report Index

System location:

Computer data base, United States Army War College (USAWC), 1971-current;
USAWC Library card catalog, 1966-1970;
Military History Research Collection (MHRC), 1951-1965.

Categories of individuals covered by the system:

USAWC students and selected staff and faculty who prepared a research report, either independently or as part of a group.

Categories of records in the system:

Files contain author's name, rank, branch of service, and title of research paper.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To locate reports prepared by USAWC personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In computer data base.
On 3x5 cards in respective library card catalog.

Retrievability:

Filed alphabetically by last name of author.

Safeguards:

Manual card catalog at USAWC Library: Entrance is monitored through closed circuit TV by military policeman on duty at building entrance.
Files are available to personnel authorized entrance to the Library.
Manual card catalog at MHRC: Files are available to personnel authorized use of the collection.

Retention and disposal:

Records are permanent. Manual records are retained in USAWC Library files until research reports are transferred to MHRC; then records are transferred with reports.

System manager(s) and address:

Secretary, USAWC, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from:
Library
United States Army War College
Carlisle Barracks, PA 17013
Telephone: Area Code 717/245-4318
Military History Research Collection
Carlisle Barracks, PA 17013
Telephone: Area Code 717/245-3611

Record access procedures:

Requests from individuals should be addressed to: Secretary, United States Army War College, Carlisle Barracks, PA 17013, or to Director, Military History Research Collection, Carlisle Barracks, PA 17013.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Correspondence from the individual; magazines, newspapers, biographical reference works.

Systems exempted from certain provisions of the act:

None

A1001.07bDAPE

System name:

1001.07 Training Performance Rating (TPR)

System location:

Army Research Institute (ARI) for the Behavioral and Social Sciences, Room 313, 1300 Wilson Boulevard (PERI), Arlington, VA 22209.

Categories of individuals covered by the system:

Ratings of 68,000 enlisted men during Basic Combat Training (BCT) 1972-1973 on their performance secured from the individual, a peer and a platoon sergeant.

Categories of records in the system:

Records contain items covering performance during BCT, such as learning ability, physical performance, compatibility, dependability, obedience, desirability for combat, and discipline.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4503.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistical analyses to determine differences in rated performance of enlisted personnel for preparation of research reports and technical papers. Reports are primarily used by Department of Defense (DOD) military sponsors for the training of soldiers. Final reports are approved for public release with unlimited distribution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, punch cards and magnetic tape.

Retrievability:

By name and social security number, date, past, and BCT Company.

Safeguards:

Building employs security guards and access is limited to authorized personnel. Files are stored in locked containers and access given only to authorized persons.

Retention and disposal:

Record is destroyed upon completion of the final report.

System manager(s) and address:

Deputy Chief of Staff for Personnel, Headquarters, Department of the Army (HQDA) and Commander of ARI.

Notification procedure:

Information can be obtained from:
Army Research Institute for the Behavioral and Social Sciences
ARI(PERI-P)
Room 270
Commonwealth Building
Arlington, VA 22209
Telephone: Area Code 202/694-3540

Record access procedures:

Requests from individuals should be addressed to Commander of ARI.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Information secured from (1) individual, (2) peer, and (3) platoon sergeant responses to questionnaire.

Systems exempted from certain provisions of the act:

None

A1001.07dUSAREUR

System name:

1001.07 Training Management System

System location:

United States Army Command and Control Data Management Center, Europe, (USACCDMCE); US Army Europe and 7th Army (USAREUR), APO NY 09403.

Categories of individuals covered by the system:

All personnel (military and civilian) currently assigned or attached to USACCDMCE.

Categories of records in the system:

File contains individual's name, rank, social security number (SSN), primary military occupational specialty (MOS), secondary MOS, date of expected return from overseas (DEROS), civilian education level, experience level in all fields of automatic data processing (ADP), formal and on-the-job training completed.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director, Division Chiefs, and Training Manager, USACCDMCE: To provide statistical and individual training and qualifications data on assigned and attached personnel; to develop annual budget and

training quota projections so that specific individuals may be scheduled for attendance at required courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic disks.

Retrievability:

Filed by last name of individual.

Safeguards:

Records are maintained in a computer located in a secure area; cleared personnel only are permitted in the area. Computer room is occupied 24 hours a day, 7 days a week.

Retention and disposal:

Records are temporary. They are maintained only as long as the individual is assigned or attached to the USACCDMCE.

System manager(s) and address:

Director, USACCDMCE, HQ USAREUR and 7th Army, APO NY 09403.

Notification procedure:

Information may be obtained by writing SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

All information in the system is collected from the individual on a voluntary basis.

Systems exempted from certain provisions of the act:

NONE

A1001.08aMTMC

System name:

1001.08 Computer Directed Training System (CDTS)

System location:

World-wide Military Command and Control System Sites (WWMCCS).

Categories of individuals covered by the system:

Individuals taking CDTS training.

Categories of records in the system:

A record by individual of CDTS lessons completed and underway.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify users of the CDTS; associate lesson activity with individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk.

Retrievability:

By organization, by individual name.

Safeguards:

Software to access the file is restricted access.

Retention and disposal:

Destroyed upon course completion or 90 days, whichever comes first.

System manager(s) and address:

Commander, Military Traffic Management Command (MTMC), Washington, DC 20315.

Notification procedure:

Information may be obtained from the SYSMANAGER and Headquarters, MTMC, Washington, DC 20315.

Record access procedures:

Requests from individuals should be addressed to Commander, MTMC, Washington, DC 20315.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Each individual concerned.

Systems exempted from certain provisions of the act:

None

A1001.08bDAMO

System name:

1001.08 Student Reference Files

System location:

United States Army War College (USAWC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Current and previous resident and correspondence students at USAWC, Carlisle Barracks, PA 17013.

Categories of records in the system:

Records are composed of draft and final academic reports, feeder reports and similar actions while individual was a student, and evaluations (grades).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Selection of future faculty members; preparation of final academic reports; determination of student status; record for possible transfer of college credits when requested by the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual files and computer data base with access limited to Commandant, Deputy Commandant, Secretary, Chairman, Department of Correspondence Studies, Deputy Secretary, necessary administrative personnel, and others authorized by Secretary or Chairman, Department of Correspondence Studies, USAWC.

Retrievability:

Primarily by name and class year.

Safeguards:

Disk is maintained in a secure area with access only to authorized personnel. Manual data are maintained in a restricted area in lockable file cabinets.

Retention and disposal:

Indefinite.

System manager(s) and address:

Dual responsibility of Secretary and Chairman, Department of Correspondence Studies, USAWC, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Information may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in the records is obtained from academic schedules and raters of individuals throughout the academic year.

Systems exempted from certain provisions of the act:

None

A1002.02aTRADOC

System name:

1002.02 Assessment of Tank Crew Training

System location:

Primary System: Training Development Branch, Quality Control and Analysis Division, Deputy Chief of Staff for Operations and Plans Headquarters, Modern Army Selected System Test, Evaluation and Review (MASSTER), Ft Hood, TX 76544, ATMAS-OP-Q.

Categories of individuals covered by the system:

Officer and enlisted personnel who are currently assigned to selected tank battalions at Ft Hood, TX; Ft Riley, KS; Ft Benning, GA; and United States (US) Army, Europe.

Categories of records in the system:

Files contain automated records on individuals to include social security number (SSN), first name, middle initial and last name; rank; time in service; time in grade; unit assigned; specific vehicle assigned; primary and duty military occupational specialty (MOS); height; weight; age; date of advanced individual training; date and name of other military schooling; date assigned to tank crew; combat experience; civil schooling level; marital status; manner of enlistment; indications of reduction in rank; reenlistment intention; primary and duty MOS test scores; time in MOS; aptitude scores; date of rank; past courts-martial; past flagging actions of records; state of birth; civil occupation; date of last physical examination; sex; race; physical profile and limitations; assignment considerations.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide Commander (Cdr), Training and Doctrine Command (TRADOC); MASSTER: Cdr, Ft Knox, KY; Cdr, Army Research Institute; Cdr, Army units involved in providing information with the ability to determine methods for selecting and controlling personnel in tank crews through the use of the following statistical summary documents: Tank Crew Position Summary Data; Tank Unit Summary Data; Top and Bottom Ten Percent Summary Data.

Additionally, statistical summary reports are generated on an 'as required' basis in response to specific management queries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, disk and paper printouts.

Retrievability:

SSN (last four digits); unit of assignment; crew assignment crew position. Computerized indices are required to retrieve individual records from the system.

Safeguards:

Automated media protected by controlled access to operations rooms; Restricted output distribution; Computer printouts protected by locked cabinets, personnel screenings, and a need-to-know verification.

Retention and disposal:

Records will be maintained as a permanent data base for future comparisons.

System manager(s) and address:

Primary System: Management Information Systems Officer, HQ, MASSTER, Ft Hood, TX 76544.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Information may be obtained from SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual questionnaire; Standard Installation/Division Personnel System (SIDPERS) automated system interfaces; military personnel and medical records; tank crew gunnery qualification records; personal interviews.

Systems exempted from certain provisions of the act:

None

A1002.05aDAPC

System name:

1002.05 Enlisted Training Base (ACT)

System location:

United States Army Military Personnel Center (MILPERCEN), 200 Stovall Street, Alexandria, VA 22332.

Categories of individuals covered by the system:

Active Army enlisted personnel prior service, non-prior service, US Army National Guard, and Reserve initial active duty training (IADT) who are undergoing basic training/advanced individual training (BT/AIT).

Categories of records in the system:

The categories of information stored include: name, social security number (SSN), race, citizenship, physical profile, enlistment and service, assignment, qualification, skill, education and training, specialty, enlistment commitments by military occupational specialty (MOS) and type, college subject, civilian acquired skill, advanced or basic individual training start and graduation dates, location, and MOS, follow-on MOS, location, training recommended versus preferred, aptitude area scores and categories.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Army (DA): Records are used for personnel and manpower management and strength accounting.

Department of Defense: Records are used for interdepartmental actions and personnel management.

Social Security Administration: Used to verify SSN.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tape.

Retrievability:

By SSN, name, or other individual identifying characteristics.

Safeguards:

Physical security devices, guards, computer hardware and software safeguard features, personnel clearances and passwords.

Retention and disposal:

Historical records are retained 5 years after separation of individual.

System manager(s) and address:

Commanding General, United States Army Military Personnel Center, (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
MILPERCEN (DAPC-MSO)
200 Stovall Street
Alexandria, VA 22332
Telephone: Area Code 202/325-8909

Record access procedures:

Requests from individuals should be addressed to: United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Written requests for information should contain the full name of the individual, SSN, whether active or separated and, if separated, date of separation.

Visits are limited to United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

For personal visits, the individual should be able to provide acceptable identification including verbal information that can be verified with his/her record.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from United States Army Military Personnel Center (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Information is obtained in document and computer readable form from other DA Staff and commands and other Federal agencies.

Systems exempted from certain provisions of the act:

None

A1004.06aTRADOC

System name:

1004.06 ROTC Financial Assistance (Scholarship) Application File

System location:

Primary System: United States (US) Army Training and Doctrine Command (USATRADOC)

Decentralized Segments: US Army Reserve Officers' Training Corps (ROTC) Regions, Reserve Officers' Training Corps elements of civilian educational institutions.

Categories of individuals covered by the system:

Files contain applications received from individual students and service members who desire to participate in the Army ROTC Financial Assistance (Scholarship) Program.

Categories of records in the system:

Files contain individual application for membership; individual academic transcripts; college board scores and test results forms; applicant reference forms; application data worksheet; individual photograph; interview board results; applicant acceptance or declination form; notice of selection or nonselection; notice of applicant medical

status to include reports of medical examination; Professor of Military Science or Commanding Officer's evaluation of applicant; letters of recommendation to include Congressional inquiries; Congressional or other letters of inquiry regarding applicant selection or non selection; reports of Reserve Officers' Training Corps Advanced Camp, Ranger Camp or Basic Camp performance of applicant; report of selection board action to include applicant scores in the areas evaluated for selection; information regarding applicant's choice of institution.

Authority for maintenance of the system:

Title 10 U.S.C., Section 2101-2111.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USATRADOC: To make selection of 4-year financial assistance recipients, 2-year financial assistance enlisted active duty scholarship recipients and 1-year financial assistance recipients; to determine applicant medical status, enrollment of individuals in the ROTC; to compile statistics used in managing the financial assistance program; to develop policies and procedures for administration of the financial assistance program.

US Army Reserve Officers' Training Corps Regions: To make preliminary selection of 4-year financial assistance recipients, final selection of 3-year and 2-year financial assistance recipients; to enroll financial assistance recipients; to monitor the distribution of financial assistance recipients; to develop policies and procedures for administration of designated portions of the financial assistance program.

ROTC elements of civilian educational institutions: To make preliminary selection of 3- and 2-year financial assistance recipients; to enroll financial assistance recipients; to monitor recipient's academic and ROTC performance - to provide name, address and academic purpose of assisting applicants/recipients in obtaining enrollment at a host educational institution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder; selected data automated for management facility in a perishable manner on tapes, disks, cards and data printouts; microfilm and microfiche.

Retrievability:

Records accessed by name, social security account number, automatic data processing (ADP) parameter of characteristics of qualification or identity.

Safeguards:

Records maintained in areas accessible only to authorized personnel that are trained and cleared for duties relating to personnel administration.

Retention and disposal:

Records range from 1 year to 5 years retainability depending on the continuing value to the individual or the department.

System manager(s) and address:

Commander, US Army Training and Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from: Commander, US Army Training and Doctrine Command; Commander, US Army Reserve Officers' Training Corps Region; Professor of Military Science of the civilian educational institution in which the individual is an enrolled ROTC financial assistance member.

Record access procedures:

Requests from individuals applying for the 4-year financial assistance program or the 2-year enlisted active duty program should be addressed to: Commander, US Army Training and Doctrine Command, Ft Monroe, VA 23651. Requests from individual applicant for the 3- or 2-year financial assistance program should be addressed to Commander of the ROTC Region in which the applicant has applied for the program.

Written requests for information should contain the full name of the requester, current address and telephone number and some definitive identification of the information desired.

For personal visits, the individual should be able to provide some commonly used identification, such as driver's license or personal identification card used in the normal transaction of business.

Contesting record procedures:

The Army's rules for contesting contents of records and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms, records and correspondence from the applicant or enrollee; medical examination and related records generated and accumulated from individual application and membership in the program by the appropriate civilian institution, Army staff agencies, Army commands, and federal executive or legislative department agencies responsible for the action concerned.

Systems exempted from certain provisions of the act:

None

A1008.05aUSAMSSA

System name:

1008.05 SMART (System to Manage AMSSA Required Training)

System location:

Training Section, Management Branch, Management and Administrative Support Group, United States Army Management Systems Support Agency (USAMSSA), DACS-AMD-B.

Categories of individuals covered by the system:

All personnel of the USAMSSA.

Categories of records in the system:

The personnel file contains data to include social security number (SSN), employee's full name, place assigned, grade, function code, level code, military occupational specialty (MOS) or series number, education, degree, date assigned to USAMSSA, street address, home phone, office phone, date of birth, courses taken or scheduled and planned, and cost of course.

The course catalog file contains data to include titles of courses, vendor code, vendor name, length of courses, cost, scheduled dates of courses.

Authority for maintenance of the system:

Title 5 U.S.C., Chapter 41; Executive Order 11348.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of SMART is to collect personnel and course data to establish a data base for use in managing the USAMSSA management information requirements pertaining to training.

Supervisors and Individuals: Individual training plans extracted from data base provide a report of the subjects each individual should complete to fully accomplish the functional level of the job presently holding. This report is used in the development of a training projection and an individual career training program. This plan is used to assist supervisors and individuals in identifying required training, developing a training plan for each individual, and providing a record of training for each person assigned to USAMSSA.

Supervisors: Training reports are provided to each level of management which show the courses that have been projected for each individual and another report which shows how many people are projected to take the courses required. Two alphabetical telephone listings are provided. One listing shows the/home telephone numbers of all USAMSSA personnel and is distributed only to key personnel within USAMSSA who have a need for this information in the performance of their official duties. The other telephone listing identifies the office phone extension for each person assigned to USAMSSA and is distributed down to section level. The personal information is used in the preparation of nomination documents for approval of training conducted within Department of Defense (DOD) or at another Federal agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape/disk.

Retrievability:

SSN.

Safeguards:

The Pentagon in which computer system is housed employs security guards. Computer room is accessible only to authorized persons possessing a unique identity badge. Computer software precludes unauthorized access to the file through a system password and system lock-out procedures.

Retention and disposal:

Records are maintained throughout the employee's tenure with USAMSSA. Following separation, transfer, or retirement of an individual, the individual's personal information, to include home address and home telephone, is destroyed, except name and SSN, which is maintained for a period of 18 months and then destroyed.

System manager(s) and address:

Director, USAMSSA, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from SYSMANAGER, by address as follows: DACS-AMZ-A, Room BD 1028, The Pentagon, Washington, DC 20310. Telephone: Area Code 202/695-0167.

Record access procedures:

Requests from individuals should be addressed to Director, USAMSSA, ATTN: DACS-AMZ-A, The Pentagon, Washington, DC 20310. Written requests should contain, as a minimum, the individual employee's name and SSN.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

From individual by personal interview, vendor information bulletins, college and service catalogs.

Systems exempted from certain provisions of the act:

None

A1010.03aDAMO

System name:

1010.03 National Security Seminar (NSS) Guest Reference File

System location:

United States Army War College (USAWC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Prominent military and civilian personnel who are or have been recommended for attendance at USAWC National Security Seminar (NSS) held annually.

Categories of records in the system:

Contains name, occupational category, file number, current position, title, address, telephone number, date of birth, (DOB) place of birth (POB), security clearance, equal opportunity information, recommender, and other administrative data necessary to coordinate processing lists and invitations for the current seminar. Also selected reference clippings from publicly available sources and biographical sketch data furnished by individuals who agree to attend.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Request limited security clearance for prospective attendees; select attendees; prepare invitations; prepare biographical sketch for distribution to attendees and other personnel and agencies authorized by SYSMANAGER; maintain historical record of attendees; provide the Army with information concerning prospective attendees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in computer data base and manual files with access limited to Commandant, Deputy Commandant, Secretary, Deputy Secretary, Chairman, Department of Military Strategy, Planning and Operations (DMSPO), necessary administrative and other personnel authorized by Director, NSS.

Retrievability:

Primarily by name, identification (ID) number, geographical location recommender, equal opportunity information, profession. Can be retrieved by any data element.

Safeguards:

Disk is maintained in a secure area with access only to authorized personnel. Manual data are maintained in a restricted area in lockable file cabinets.

Retention and disposal:

Biographical data are permanent. All other data are destroyed when no longer required for reference.

System manager(s) and address:

Director, NSS, USAWC, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to the Commandant, USAWC, ATTN: Dir, NSS, Carlisle Barracks, PA 17013.

Contesting record procedures:

The Army's rules for access to records and for contesting contents of records and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Original entry from recommendations by USAWC personnel, Department of Defense (DOD) agencies, prior attendees, and other academic institutions. Biographical sketch data provided by direct communication with the individual.

Systems exempted from certain provisions of the act:

None

A1010.07aTRADOC

System name:

1010.07 Army School Files

System location:

United States (US) Army Training & Doctrine Command (TRADOC) schools, colleges and training centers. Addresses are in the Department of Defense Directory in the Appendix to this Federal Register.

Categories of individuals covered by the system:

Assigned and potential instructors and guest speakers at above locations.

Categories of records in the system:

Instructor evaluation forms, qualification data, biographical sketches and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents accumulated by schools provide a locally available record of qualifications, experience, effectiveness and comparable information on potential instructors, assigned instructors and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors and determining their need for additional training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, visible and vertical card files.

Retrievability:

Information is accessed and retrieved by name, social security number (SSN)/service number, and by year.

Safeguards:

Locked cabinets or locked rooms depending on location.

Retention and disposal:

Place in inactive file on transfer or separation of the instructor. Inactive file cut off after 5 years, held 5 years and destroyed. Earlier destruction is authorized.

System manager(s) and address:

Commander, US Army Training & Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from the Commander, US Army Training & Doctrine Command, ATTN: ATAG-FOIA, Ft Monroe, VA 23651.

Record access procedures:

Written requests for information should be addressed to the commander of the appropriate school, college or training center. Requests should contain the full name, rank, SSN/military service number, duty position, academic department and dates of service at the applicable training activity.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Staff and faculty of appropriate school, college or training center responsible for conduct of instruction and presentations by guest speakers.

Systems exempted from certain provisions of the act:

None

A1010.07bAMC

System name:

1010.07 AMC School Files

System location:

Army Materiel Command (AMC) school files are maintained at the following geographical locations: United States (US) Army Logistics Management Center, Ft Lee VA 23801; US Army Management Engineering Training Agency, Rock Island, IL 61201; Joint Military Packaging Training Center, Aberdeen Proving Ground, MD 21005; USAMC Ammunition Center, Ammunition School, Savanna, IL 61074; USAMC Field Safety Agency, Charlestown, IN 47111.

Categories of individuals covered by the system:

Assigned and potential instructors and guest speakers at above locations.

Categories of records in the system:

Instructor evaluation forms, qualification data, biographical sketches and similar or related documents.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents accumulated by schools provide a locally available record of qualifications, experience, effectiveness and comparable information on potential instructors, assigned instructors and guest speakers. They are used in requesting assignment or employment of instructors, utilizing instructors and determining their need for additional training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, photographs, and visible and vertical card files.

Retrievability:

Information is accessed and retrieved by name, social security number (SSN)/military service number, and by year.

Safeguards:

Locked cabinets, desks, or rooms depending on location.

Retention and disposal:

Placed in inactive file or transferred on separation of the instructor. Inactive file cut off after 5 years, held 5 years and destroyed. Earlier destruction is authorized.

System manager(s) and address:

Commandant, US Army Logistics Management Center
Director, US Army Management Engineering Training Agency
Director, Joint Military Packaging Training Center
Director, USAMC Ammunition Center, Ammunition School
Director, USAMC Field Safety Agency

Notification procedure:

Information may be obtained from the Commandant/Director of the appropriate AMC school. Requests should contain the full name, rank/grade, SSN/military service number, duty position, academic department and dates of service.

Record access procedures:

Written requests for information should be addressed to the Commandant/Director of the appropriate school, training center, or agency. Requests should contain the full name, rank/grade, SSN/military service number, duty position, academic department and dates of service.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Staff and Faculty of appropriate school or directorate responsible for conduct of instruction and presentation by guest speakers.

Systems exempted from certain provisions of the act:

None

A1010.07cDAMO

System name:

1010.07 Representatives of Carlisle and Vicinity

System location:

United States Army War College (USAWC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Military and civilian representatives of Carlisle and vicinity who provide a cross section of the community for interaction with students of the Army War College.

Categories of records in the system:

Records are composed of names, addresses, phone numbers, job/duty positions and titles.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Selection of speakers and other guests for discussion groups. Develop history of representatives for use by Commandant and other members of the Army War College command element.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in manual files with access limited to USAWC command element.

Retrievability:

Primarily by name and type of organization.

Safeguards:

Maintained in a secure area with access only by authorized personnel.

Retention and disposal:

Records are retained only when current.

System manager(s) and address:

Secretary, USAWC, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Information may be obtained from SYSMANAGER.

Contesting record procedures:

Rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in the records is obtained from military and civilian members of the community as well as the individuals themselves.

Systems exempted from certain provisions of the act:

None

A1010.07dDAMO

System name:

1010.07 Biographic Files

System location:

Reference Section, United States (US) Army War College (USAWC) Library, US Army War College, Carlisle Barracks, PA (current files plus prior 10 years); files older than 10 years are transferred to Military History Research Collection (MHRC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Distinguished individuals in all disciplines who have lectured at the USAWC, or could be considered potential lecturers because of their expertise; newsworthy individuals of interest to the USAWC staff, faculty and students; biographies of generals and admirals.

Categories of records in the system:

File contains biographical data to include date and place of birth, education, positions held, awards received, current position, residence, religious affiliation, political preference, clubs; also clippings covering activities of individual, and selected speeches made by the individual.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide faculty members of the USAWC with biographical information on lecturers and potential lecturers.

To provide staff and faculty with biographical information on visitors to USAWC, specifically for guests for the annual National Security Seminar.

To provide staff, faculty and students with biographical information, specifically current assignments of general officers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and three-ring notebooks.

Retrievability:

Filed alphabetically by the biographee's last name.

Safeguards:

USAWC Library entrance is monitored through closed circuit TV by military policeman on duty at building entrance. Files are available to personnel authorized entrance to the Library.

MHRC Library files are available to personnel authorized use of the Collection.

Retention and disposal:

Retained in active files in USAWC Library for 10 years, transferred to Military History Research Collection for permanent retention.

System manager(s) and address:

Director, USAWC Library, US Army War College, Carlisle Barracks, PA 17013.

Director, Military History Research Collection, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from:
Library
US Army War College
Carlisle Barracks, PA 17013
Telephone: Area Code 717/245-4319;
Military History Research Collection
Carlisle Barracks, PA 17013
Telephone: Area Code 717/245-4114

Record access procedures:

Requests from individuals should be addressed to Secretary, US Army War College, Carlisle Barracks, PA 17013;

Director, Military History Research Collection, Carlisle Barracks, PA 17013.

Written requests for information should contain the full name of the individual, current address, and telephone number.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Correspondence from the individual; magazines, newspapers, biographical reference works.

Systems exempted from certain provisions of the act:

None

A1011.04aDAPE

System name:

1011.04 USMA Institutional Research Survey File

System location:

Office of the Director of Institutional Research, United States Military Academy (USMA), West Point, NY 10996.

Categories of individuals covered by the system:

USMA candidates, cadets and former cadets.

Categories of records in the system:

Personnel survey data from questionnaires, inventories, psychological tests and similar instruments.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4334.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director of Institutional Research: To conduct institutional research relating to the USMA.

Commandant of Cadets: To evaluate and counsel cadets; to conduct institutional research.

Surgeon: To assist in the diagnosis and treatment of hospital patients; to conduct institutional research.

Director of Admissions: To evaluate candidate qualifications for admission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data are contained on magnetic tape, magnetic disks and punched cards. Selected data collection instruments and computer listings also are maintained.

Retrievability:

Data are retrieved only as group data by class year but are filed by class year and cadet number.

Safeguards:

Data collection instruments, punched cards, and some magnetic tapes are kept in storage room controlled by Administrative Branch Chief or representative during working hours. Area is locked after working hours. Magnetic disks are protected by a user identification and password convention. These disks and some magnetic tapes are kept in the computer room where computer operator is on duty and admittance is to authorized personnel only. Remainder of the tapes are located in a locked vault in the Office of the Director of Institutional Research, under control of Chief, Data Support Branch.

Retention and disposal:

Data collection instruments and punched cards are destroyed after 1 year by shredding or burning. Magnetic disk and magnetic tape records are permanent.

System manager(s) and address:

Director of Institutional Research, United States Military Academy, West Point, NY 10996.

Notification procedure:

Information can be obtained from SYSMANAGER.

Record access procedures:

Requests should be addressed to SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Questionnaires, inventories, psychological tests, and similar instruments administered to subject individuals and processed by the staff of the Office of the Director of Institutional Research.

Systems exempted from certain provisions of the act:

None

A1011.04bDAMO

System name:

1011.04 Delphi Evaluation

System location:

Strategic Studies Institute, United States Army War College, Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Military and professional civilian employees of the Strategic Studies Institute and Army War College and faculty members of Shippensburg State College.

Categories of records in the system:

File contains participant's name, business-correspondence address, identification code number, and individual responses to questionnaires.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by professional civilian research employee to obtain comparative data for statistical and qualitative analysis and to correspond periodically with individual participant to provide summary information and to verify and update individual data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disks, paper printouts and on paper records in file folders.

Retrievability:

By computer: randomly or serially by identification (ID) number only;

Paper records: by name or ID.

Safeguards:

Disks are maintained in a secure area accessible only to authorized personnel. Paper records are maintained in locked desk file accessible only to professional civilian research employee. Computer paper printouts are maintained in folders in file cabinets.

Retention and disposal:

Computer disks are retained only for the time required for analytical and statistical comparison (24 to 36 months), then cleared from data base. Selected (non-attributable) paper printouts are retained as permanent research documentation. Paper records in file are retained approximately 24 months.

System manager(s) and address:

Director, Strategic Studies Institute, United States Army War College, Carlisle Barracks, PA 17013.

Notification procedure:

Information may be obtained from the SYSMANAGER by providing SYSNAME, individual name, and ID.

Requests from individuals should be addressed to SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER.

Contesting record procedures:

Rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Original entries from questionnaires filled out by participating individuals during the process of the Delphi Evaluation exercise.

Systems exempted from certain provisions of the act:

None

A1012.01bDAPE

System name:

1012.01 USMAPS Admissions File

System location:

Office of the Director of Admissions, MAPS-A&R, United States Military Academy Preparatory School (USMAPS), Fort (Ft) Monmouth, NJ 07703.

Categories of individuals covered by the system:

Applicants for the United States Military Academy Preparatory School.

Categories of records in the system:

Application; evaluation by commanding officer; high school transcript; college transcript; GED certificate; Scholastic Aptitude Test scores; American College Test scores; CLEP scores; GT score; Officer Candidate Test score; PCPT score; BPFT score; Report of Medical History, Standard Forms (SF) 88 and 93; School and College Ability Test Form 2A; special orders; all correspondence to and from applicant; correspondence received concerning applicant; application checklist; application evaluation; admissions evaluation worksheet.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMAPS and Director of Admissions & Registrar, United States Military Academy (USMA): To evaluate an applicant's academic, leadership and physical aptitude potential for the USMA; to assist applicants in the completion of their files; to counsel candidates concerning their potential for the USMA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

File folders are filed alphabetically by last name of applicant.

Safeguards:

File folders are stored in a room in which Director of Admissions or his representative is present during working hours. After working hours the room is locked. Access to room is limited during nonworking hours.

Retention and disposal:

Unaccepted applicants-Records are maintained until applicant is too old to reapply for the United States Military Academy Preparatory School. Accepted applicants who do not enter the United States Military Academy-Records are maintained until applicant is too old to enter the United States Military Academy. Accepted applicants who enter the United States Military Academy-Records are maintained until applicant's class graduates from the United States Military Academy. The records are destroyed by burning and/or shredding.

System manager(s) and address:

Director of Admissions, United States Military Academy Preparatory School, Ft Monmouth, NJ 07703.

Notification procedure:

Requests should be addressed to SYSMANAGER.

Record access procedures:

Requests should be addressed to SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Transcripts from secondary and post secondary schools, State Departments of Education, individual medical records, military supervisor evaluation, Educational Testing Service, American College Test Program, applicant, Army Education Centers, United States Military Academy Preparatory School Admissions Office, Unit Personnel Offices.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a, section (j) or (k), as applicable.

A1012.01dAMC

System name:

1012.01 Student Selection Files

System location:

United States (US) Army Electronics Command, Ft Monmouth, NJ 07703.

Categories of individuals covered by the system:

individuals applying for and/or attending Army and Department of Defense schools.

Categories of records in the system:

File contains name, rank, social security number (SSN), date of birth (DOB), military occupational specialty (MOS), MOS evaluation, clearance, physical profile, test scores, expiration term of service (ETS), duty assignment, duty phone, justification for schooling, name of course, name of school, and similar information.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to develop requests for quotas from schools, monitor and control attendance at schools and as base for statistical reporting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Kept in locked container in building which is locked during nonduty hours.

Retention and disposal:

Destroyed in annual blocks 2 years after close of school year.

System manager(s) and address:

Commander, US Army Electronics Command, Ft Monmouth, NJ 07703.

Notification procedure:

Information may be obtained from:
US Army Electronics Command
ATTN: AMSEL-PT-MP
Ft Monmouth, NJ 07703
Telephone: Area Code 201/532-3006

Record access procedures:

Requests from individuals should be addressed to: US Army Electronics Command, ATTN: AMSEL-PT-MP, Ft Monmouth, NJ 07703.

Written requests for information should contain the full name of the individual, SSN, current address and telephone number.

For personal visits the individual should be able to provide some acceptable identification, e.g., driver's license or current identification card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from individual, his duty office, and school which he will attend.

Systems exempted from certain provisions of the act:

None

A1012.02aDAPC

System name:

1012.02 Language School Files

System location:

United States (US) Army Military Personnel Center, Alexandria, VA 22332.

Categories of individuals covered by the system:

Active duty members of the US Army in enlisted grades of E1 through E9.

Categories of records in the system:

Files contain statements of preference, career personnel actions, record briefs, service agreements, qualifications, personal background, service experience supporting service member's desires or nominative action by career managers, correspondence between service member and Army organization.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.
Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army Military Personnel Center and Defense Language Institute: To accomplish military service career management including assignment, professional development, service training and education and other related military actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records maintained in areas accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal:

Records destroyed 3 years after school completion date.

System manager(s) and address:

Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from: HQDA (DAPC-EP), Hoffman Bldg I, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Record access procedures:

Requests from individuals should be addressed to HQDA (DAPC-EP), Hoffman Bldg I, 2461 Eisenhower Avenue, Alexandria, VA 22331.

Personal visits may be made to the US Army Military Personnel Center; individuals should be able to provide their military service identification card (DD Form 2A for active duty persons) or other commonly acceptable means of identification used in normal transaction of business.

Contesting record procedures:

The Department of the Army rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Enlistment forms pertaining to the service member having a current active military status, training and qualification records acquired incident to military service, correspondence, forms and other related papers originating in or collected by the military department for management purposes.

Systems exempted from certain provisions of the act:

None

A1012.03aTRADOC

System name:

1012.03 Army School Student Files

System location:

All Army schools, colleges, and training centers. Addresses are in the DOD Directory in the Appendix to the Federal Register.

Categories of individuals covered by the system:

These files relate to student personnel who attend formal and/or nonresident courses of instruction at Army schools, colleges and training centers.

Categories of records in the system:

Individual Academic Record Files: Documents indicating courses attended by Army members, length of each course, extent of completion of courses and results thereof, aptitudes and personal qualities, grade and rating attained and related data for each individual.

Collateral Individual Training Record Files: Documents relating to the training record of individuals and posted to the basic individual academic training record files or other long term records.

Faculty Board Files: Documents pertaining to the class standing, rating, classification and proficiency of students.

Class Academic Record Files: Documents maintained by training instructors indicating progress and attendance of class members.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used by the training activity to confirm eligibility for attendance, monitor student progress, determine successful completion of academic requirements and serve as record of accomplishment of courses which may be prerequisites for attendance at other formal courses of instruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files, computer magnetic tapes, and computer paper printouts.

Retrievability:

Information is accessed by name, social security number (SSN), military service number.

Safeguards:

Locked cabinets or locked rooms depending on training locations.

Retention and disposal:

Individual Academic Record Files: Destroy after 40 years. Cut off annually. Resident courses - transfer to Records Holding Area (RHA) after 1 year in Central Files Area (CFA). Retire to National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118, after 2 years in RHA. Extension courses - transfer to RHA after 3 years in CFA. Retire to NPRC, above address, after 2 years in RHA. Records of individuals re-enrolling in extension courses will be withdrawn and refiled in the active file.

Collateral Individual Training Record Files: Destroy after 1 year.

Faculty Board Files: Destroy after 1 year, or on discontinuance, whichever is first.

Class Academic Record Files: Destroy after 40 years.

System manager(s) and address:

Commander, USA Training & Doctrine Command (TRADOC), Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from:
Commander, US Army Training & Doctrine Command
ATTN: ATAG-FOIA
Ft Monroe, VA 23651.

Record access procedures:

Written requests for information should be addressed to the commander of the appropriate school, college or training center. Request should contain the full name, rank (at time of attendance), SSN/military service number or student number if applicable, course title and class number (if known) or description of type training received and dates of course attendance.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

V 44 D E 17 79 UMI

Staff and faculty of appropriate school, college, or training center responsible for presentation of instruction.

Systems exempted from certain provisions of the act:

None

A1012.03bAMC

System name:

1012.03 AMC School Student Files

System location:

Army Materiel Command (AMC) school student files are maintained at the following geographical locations: United States (US) Army Logistics Management Center, Ft Lee, VA 23801; US Army Management Engineering Training Agency, Rock Island, IL 61201; Joint Military Packaging Training Center, Aberdeen Proving Ground, MD 21005; USAMC Ammunition Center, Ammunition School, Savanna, IL 61074; USAMC Field Safety Agency, Charlestown, IN 47111.

Categories of individuals covered by the system:

These files relate to student personnel who enroll in or attend courses of instruction at the AMC schools.

Categories of records in the system:

Individual Academic Record Files. Documents indicating courses attended by Department of Defense (DOD) and non-DOD members, length of each course, extent of completion of courses and results thereof, aptitudes and personal qualities, grade and rating attained and related data for each individual.

Individual Training Record Files. Documents relating to the training record of individuals and posted to the basic individual academic training record files or other long term records.

Class History Files. Documents pertaining to the class standing, rating, classification, conduct and proficiency of students.

Class Academic Record Files. Documents maintained by training instructors indicating progress and attendance of class members.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used by the training activity to confirm eligibility for attendance, monitor student progress, determine successful completion of academic requirements and serve as record of accomplishment of courses which may be prerequisites for attendance at other formal courses of instruction. Also used for statistical purposes in course evaluation and historical analysis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files, computer magnetic tapes and computer printouts.

Retrievability:

Information is accessed by name, social security number (SSN), military service number.

Safeguards:

Locked cabinets, desks, or rooms depending on location.

Retention and disposal:

Individual Academic Record Files. Destroy after 40 years. Cut off annually. Resident courses: transfer to Records Holding Area (RHA) after 1 year in Current Files Area (CFA). Retire to National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118 after 2 years in RHA. Extension courses: transfer to RHA after 3 years in CFA. Retire to NPRC, above address, after 2 years in RHA. Records of individuals re-enrolling in extension courses will be withdrawn and refiled in the active file.

Individual Training Record Files. Destroy after 1 year. Earlier destruction is authorized.

Class History Files. Destroy after 1 year, or on discontinuance, whichever is first.

Class Academic Record Files. Destroy after 40 years.

System manager(s) and address:

Commandant, US Army Logistics Management Center
Director, US Army Management Engineering Training Agency
Director, Joint Military Packaging Training Center
Director, USAMC Ammunition Center, Ammunition School
Director, USAMC Field Safety Agency

Notification procedure:

Information may be obtained from the Commandant/Director of the appropriate AMC school. Request should contain the full name, rank or grade (at time of attendance), SSN/military service number or student number if applicable, course title and class number (if known) or description of type training received and dates of course attendance.

Record access procedures:

Written requests for information should be addressed to the Commandant/Director of the appropriate school, training center, or agency. Requests should contain complete data specified above.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Staff and faculty of appropriate school or directorate responsible for conduct of instruction and presentation by guest speakers.

Systems exempted from certain provisions of the act:

None

A1012.03cDAPE

System name:

1012.03 USMAPS Academic Files

System location:

Office of the Director of Academics, United States Military Academy Preparatory School (USMAPS), Ft Monmouth, NJ 07703.

Categories of individuals covered by the system:

Students enrolled in United States Military Academy Preparatory School.

Categories of records in the system:

Student history/grade card, correspondence to and from student, correspondence received concerning student.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMAPS and Director of Admissions & Registrar, United States Military Academy: To keep a record of a student's academic progress and potential for United States Military Academy. To assist in counseling students.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

File folders are filed alphabetically by last name of student.

Safeguards:

File folders are filed in locked file cabinet.

Retention and disposal:

Forty years after class graduation. Records will be destroyed by burning.

System manager(s) and address:

Director of Admissions, United States Military Academy Preparatory School, Ft Monmouth, NJ 07703.

Notification procedure:

Requests should be addressed to Director of Academics, United States Military Academy Preparatory School.

Record access procedures:

Requests should be addressed to Director of Academics, United States Military Academy Preparatory School.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual, high school transcript, college transcript, United States Military Academy Preparatory School staff and faculty, Educational Testing Service.

Systems exempted from certain provisions of the act:

None

A1012.03dTRADOC

System name:

1012.03 TRADOC Educational Data System (TREDS-ARS)

System location:

Central computer facility located at United States (US) Army Management Systems Support Agency (USAMSSA), Headquarters, Department of the Army (HQDA);

Input-output terminals located at US Army Armor School, Ft Knox, KY; US Army Quartermaster School, Ft Lee, VA; US Army Engineer School, Ft Belvoir, VA; US Army Transportation School, Ft Eustis, VA; US Army Air Defense School, Ft Bliss, TX; US Army Field Artillery School, Ft Sill, OK; US Army Intelligence Center and School, Ft Huachuca, AZ; US Army Ordnance Center and School, Aberdeen Proving Ground, MD; US Army Institute for Military Assistance, Ft Bragg, NC; US Army Missile and Munitions Center and School, Redstone Arsenal, AL; US Army Chaplain Center and School, Ft Wadsworth, NY; US Army Signal School, Ft Gordon, GA; US Army Military Police School, Ft McClellan, AL; US Army Infantry School, Ft Benning, GA; US Army Administration Center and School, Ft Benjamin Harrison, IN.

Categories of individuals covered by the system:

Members of all components of the Army, Navy, Marine Corps, and Air Force, Reserve Officer Training Corps and National Defense Cadet Corps students, Department of Defense (DOD) civilian employees, and approved foreign military personnel enrolled in a resident course at a US Army service school.

Categories of records in the system:

Files contain name, grade or rank, social security number (SSN), address, component, branch personnel classifications, military occupational specialty (MOS), credit hours accumulated, examination and lesson grades, student academic status, student curricula, course description.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(B) and (G).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Designated administrative and academic personnel at Training and Doctrine Command (TRADOC) headquarters and service schools use student records to record lessons and/or exam grades, maintain student academic status, maintain course and subcourse descriptions, produce management summary reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes or disks and computer paper printouts.

Retrievability:

Individual records may be retrieved by SSN.

Safeguards:

Random number sign on authentication for each inquiry made to the system is required. SIGNON decks to enable such access are updated weekly, safeguarded under Army Regulation (AR) 380-5 due to their Confidential classification and are unique to one TREDS terminal only. Access is granted only designated personnel at Headquarters TRADOC and Army Service Schools responsible for the administration and processing of resident students.

Retention and disposal:

Machine records are retained during student's entire enrollment, which can vary from a few weeks to a year, depending on the course length. After a course has been completed, the student's record is transferred to the Academic Records System (ARS) History File where his records are maintained indefinitely. Also upon graduation, a hard copy transcript reflecting the student's personal and academic data is produced. The hard copy is retained by the service school for 4 years, then it is transferred to a records holding area on the installation housing the service school and retained for 2 years. It is then transferred to the National Personnel Records Center, St. Louis, MO, where it is retained for 34 years, then, destroyed.

System manager(s) and address:

Deputy Chief of Staff for Individual Training, Headquarters, US Army Training and Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from the Commandant of the US Army Service school where student is enrolled.

Written requests must contain notarized signature for identification.

Individual making request in person must provide acceptable identification (driver's license, military identification (ID)).

Record access procedures:

Request from an individual for stored data concerning himself may be made in writing or in person to the Commandant of the school in which he is enrolled.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is collected from individuals upon enrollment, from class records and instructors, from student's personnel records, and from graded examinations.

Systems exempted from certain provisions of the act:

None

A1012.03eTRADOC

System name:

1012.03 TRADOC Educational Data System (TREDS-NRI)

System location:

Central computer facility located at United States (US) Army Management Systems Support Agency (USAMSSA), Headquarters, Department of the Army (HQDA).

Input-output terminals located at Headquarters (HQ), US Army Training and Doctrine Command (TRADOC), Ft Monroe, VA; US Army Armor School, Ft Knox, KY; US Army Quartermaster School, Ft Lee, VA; US Army Engineer School, Ft Belvoir, VA; US Army Transportation School, Ft Eustis, VA; US Army Air Defense School, Ft Bliss, TX; US Army Field Artillery School, Ft Sill, OK; US Army Intelligence Center and School, Ft Huachuca, AZ; US Army Ordnance Center and School, Aberdeen Proving Ground, MD; US Army Institute for Military Assistance, Ft Bragg, NC; US Army Missile and Munitions Center and School, Redstone Arsenal, AL; US Army Chaplain Center and School, Ft Wadsworth, NY; US Army Signal School, Ft Gordon, GA; US Army Military Police School, Ft McClellan, AL; US Army Infantry School, Ft Benning, GA; US Army Administration Center and Fort Benjamin Harrison, Ft Benjamin Harrison, IN; US Army Aviation Center and Ft Rucker, Ft Rucker, AL.

Categories of individuals covered by the system:

Members of all components of the Army, Navy, Marine Corps, and Air Force, Reserve Officer Training Corps, National Defense Cadet Corps, Federal govern- ment civilian employees, and approved foreign military personnel enrolled in an Army correspondence or nonresident course or subcourse.

Categories of records in the system:

Files contain name, grade or rank, social security number (SSN), mailing address, through address, component, branch, personnel classification, military occupational specialty (MOS), retirement year ending date, credit hours accumulated, examination and lesson grades, student academic status, student curricula, course/subcourse descriptions, and sub- course inventory status.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012(B) and (G).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Designated administrative and academic personnel at TRADOC headquarters and service schools use student records to record lessons and/or exam grades, maintain student academic status, maintain course and subcourse descriptions, produce mailing labels, produce management summary reports, produce course and subcourse completion certificates used as notification of work completed and as permanent documents in official military personnel files, produce record of credit hours earned for Reservists retirement point credits.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes or disks and computer paper printouts.

Retrievability:

Individual records may be retrieved by SSN.

Safeguards:

Random number sign on authentication for each inquiry made to the system is required. SIGNON decks to enable such access are updated weekly, safeguarded under Army Regulation (AR) 380-5 due to their Confidential classification and are unique to one TREDS terminal only. Access is granted only designated personnel at Army service schools and HQ TRADOC responsible for the administration and processing of nonresident students.

Retention and disposal:

Machine records are retained during students' entire enrollment, which can vary from a few months to years, depending on the type of enrollee. (Students enrolled in one subcourse are automatically assigned a 6 month enrollment period; students enrolled in multiple

subcourses or a course are automatically assigned an enrollment period of 1 year.) The student may complete the subcourse(s) or course before the end of the enrollment, and if this occurs, the student records are deleted from the file. Conversely, if the student does not complete the academic requirements within the assigned enrollment period, a waiver may be granted which will extend the enrollment period. In all cases, upon termination, a hard copy transcript reflecting the student's personal and academic data is produced. The hard copy transcript is retained at the proponent school for 4 years. It is then transferred to a records holding area on the installation housing the service school for 2 years' retention. It is then transferred to the National Personnel Records Center, St. Louis, MO, where it is retained for 34 years, then destroyed.

System manager(s) and address:

Deputy Chief of Staff for Individual Training, Head- quarters, US Army Training and Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Information may be obtained from the Commandant of the US Army service school proponent for the course or subcourse in which the individual is enrolled.

Written requests must contain notarized signature for identification.

Individual making request in person must provide acceptable identification (driver's license, military identification (ID)).

Record access procedures:

Request from an individual for stored data concerning himself may be made in writing or in person to the Commandant of the school servicing the course or subcourse in which the individual is enrolled.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is collected from individuals upon enrollment and from graded lessons and examinations.

Systems exempted from certain provisions of the act:

None

A1012.03fDASG

System name:

1012.03 Army School Student Files, Physical Therapy Program

System location:

Headquarters, Department of the Army, Office of the Surgeon General, Office of the Chief, Army Medical Specialist Corps (DASG-DBP), Washington, DC 20310.

Categories of individuals covered by the system:

Graduates of US Army Physical Therapy Program since 1928.

Categories of records in the system:

Academic grades only on graduates from 1973 to present. Academic grades and varying amounts and types of anecdotal information on performance, 1945-1972. Academic grades only, 1928-1944.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide certification of graduation from an approved physical therapy program to the individual graduate and to institutions (schools, places of employment, etc.) upon the request of the graduate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of graduate.

Safeguards:

Building employs security guard. Office is locked when not occupied by tenants. Records are in closed files.

Retention and disposal:

Records are permanent. Retained in active file.

System manager(s) and address:

The Army Surgeon General; Chief, Physical Therapist Section, Army Medical Specialist Corps.

Notification procedure:

Information may be obtained from:

HQDA (DASG-DBP)
Room 3E 477
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/695-1710

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DASG-DBP); Room 3E 477, The Pentagon; Washington, DC 20310.

Written requests for transcript should contain the full name of the individual, maiden name if married, year of graduation, current address, institution and complete address to which transcript is to be mailed if other than that of individual concerned.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Staff and faculty of appropriate school and/or training hospital responsible for presentation of instruction.

Systems exempted from certain provisions of the act:

None

A1012.03gDASG

System name:

1012.03 Academy of Health Sciences, Student Affiliated Academic Records.

System location:

Registrar, Academy of Health Sciences, Fort Sam Houston, Texas 78234.

Categories of individuals covered by the system:

These records relate to student personnel receiving formal academic instruction which is accredited with a college or university for which the student, upon successful completion, receives credit from the civilian institution.

Categories of records in the system:

Academy of Health Sciences maintains Class Academic Record Files which are in turn the source document for the affiliated civilian institution's academic record. Files contain class roster for each course of instruction including name, rank, social security number and letter grade as estab- lished by the college/university.

Authority for maintenance of the system:

5 USC 301 10 USC

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used to monitor student progress, determine level of academic success within the course of instruc- tion, and serve as a record of accomplishment of courses which may be prerequisites for attendance at other formal courses of insturction. These records are released to the following colleges or universities which has accredited the instruction: (1) Registrar, Baylor University, Waco, Texas 76206; (2) Registrar, Regis College, 3539 W. 50 Ave Parkway, Denver, Colorado 80221; (3) Registrar, University of Maryland, Baltimore City Campus, 132 Howard Hall, 660 West Redwood Street, Baltimore, Maryland 21201; (4) Systems Office, The University of Texas, System School of Nursing, Director of Admissions, 214 Archway, Austin, Texas 78712; (5) Director of Admissions, School of Health and Tropical Medicine, Tulane University, 1430 Tulane Avenue, New Orleans, Louisiana 70112.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Class Academic Record Files maintained in file folders at the Academy.

Retrievability:

Information is obtained by inclusive dates of course, name, and social security number at the Academy of Health Sciences.

Safeguards:

Locked file cabinets at the Academy of Health Sciences.

Retention and disposal:

Records are maintained 40 years at the Academy of Health Sciences.

System manager(s) and address:

Superintendent, ATTN: Registrar, Academy of Health Sciences, Fort Sam Houston, Texas 78234.

Notification procedure:

Information may be obtained from the System Manager.

Record access procedures:

Written requests to the System Manager should include, social security number, and dates of course attendance.

Contesting record procedures:

The agency's rules for access to records and for contesting contents may be obtained form the SYSMANAGER.

Record source categories:

Academy of Health Sciences Faculty responsible for prepa- ration of instruction.

Systems exempted from certain provisions of the act:

None

A1012.03hDASG

System name:

1012.03 Academy of Health Sciences-Nonresident Instruction Files.

System location:

Primary System: Director of Management Information Systems, Health Services Command, Ft Sam Houston, Texas 78234.

General: Academy of Health Sciences, Ft Sam Houston, Texas 78234. Official mailing addresses are in the Department of Defense Directory in the Appendix to the Federal Register.

Categories of individuals covered by the system:

Any military personnel who have taken nonresident instruction courses through Academy of Health Sciences, including active duty, Reserves, and National Guard personnel.

Categories of records in the system:

Progress cards: shows subcourses completed and status of each enrolled individual.

Enrollment application each individual.

Microfiche file for historic data on past enrolled students.

Records indicating subcourses completed, grades, and rating attained, and related data on each individual.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This data is used by the Academy of Health Sciences to establish eligibility for enrollment, monitor student progress, determine successful completion of courses, and serve as record of accomplishment of courses which may be prerequisites for enrollment in other courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, microfiche, 80 column cards, magnetic tape, computer disk, and computer printout.

Retrievability:

Information is retrieved by name, social security number (SSN), student number, or a combination of these.

Safeguards:

Computer center operates 'Closed Shop' to allow access to authorized personnel only. Locked cabinets and rooms at Academy of Health Sciences.

Retention and disposal:

Transaction files: blank or destroy after 4 updating cycles.

Master Files: blank after 4th updating cycle.

Academic Record Files: destroy after 40 years, cutoff annually.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army; Commander, Health Services Command; Superintendent, Academy of Health Sciences.

Notification procedure:

Information may be obtained from:
Office of the Secretary
Academy of Health Sciences
Ft Sam Houston, TX 78234

Record access procedures:

Written requests for information should contain the full name of individual, current address, telephone number, SSN, and data of course completion.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Personnel information obtained from official files and individuals. Information obtained from enrollment applications, and past records if previously enrolled.

Systems exempted from certain provisions of the act:

None

A1012.03iDLI

System name:

1012.03 Standardized Student Records System

System location:

Defense Language Institute, Foreign Language Center (DLIFLC), ATTN: Academic Records Office, Presidio of Monterey, CA 93940.

Categories of individuals covered by the system:

Any person who has ever been enrolled for foreign language training at any facility of the DLIFLC.

Categories of records in the system:

File contains individual's name, social security number (SSN), and military administrative data, together with academic data generated at DLIFLC.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supplies data to DLIFLC for dividing students among class sections, selecting section monitors, preparing rosters and academic bulletins, preparing summaries of training activity used in managing current operations and reporting workload, establishing a permanent student record used for issuing official grade transcripts and preparing statistical studies used to improve training and testing methods.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Remote computer magnetic tape and disk.

Retrievability:

Files accessed by remote terminals with records filed by SSN.

Safeguards:

Records are accessible via remote terminal only by authorized personnel citing established user identifier and password.

Retention and disposal:

Records are permanent. They are retained in active file (on-line) until the student departs; then retired to a history tape.

System manager(s) and address:

The Commandant, DLIFLC, Presidio of Monterey, CA 93940.

Notification procedure:

Information may be obtained from:
Defense Language Institute
Foreign Language Center
ATTN: Academic Records Office
Presidio of Monterey, CA 93940
Telephone: Area Code 408/242-8221

Record access procedures:

Request from individuals should be addressed to: Defense Language Institute, Foreign Language Center, ATTN: Academic Records Office, Presidio of Monterey, CA 93940.

Written requests for information should contain the full name and current address of the individual, SSN, class attended and year graduated.

For personal visits to the Academic Records Office, the individual should be able to provide positive identification, such as, valid driver's license, employing office identification card, etc.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Student registration form (DLIFLC FORM 90) prepared by student upon enrollment and various local forms containing academic data.

Systems exempted from certain provisions of the act:

None

A1012.03JHSC

System name:

1012.03 Army School Student Files

System location:

United States Army Health Services Command (HSC) Clinical Specialist School, Fitzsimons Army Medical Center, Denver, CO 80240.

Categories of individuals covered by the system:

These files relate to student personnel who attend formal course of instruction at the Clinical Specialist School.

Categories of records in the system:

Individual Academic Record Files: Documents indicating courses attended by Army members, length of each course, extent of completion of courses and results thereof, aptitudes and personal qualities, grade and rating attained and related data for each individual.

Collateral Individual Training Record Files: Documents relating to the training record of individuals and posted to the basic individual academic training record files or other long term records.

Faculty Board Files: Documents pertaining to the class standing rating, classification and proficiency of students.

Class Academic Record Files: Documents maintained by training instructors indicating progress and attendance of class members.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used by the training activity to confirm eligibility for attendance, monitor student progress, determine successful completion of academic requirements and serve as record of accomplishment of courses which may be prerequisites for attendance at other formal courses of instruction, or taking of State Board, Licensed Practical Nursing examinations. Preparation of transcripts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, visible and vertical card files, disks and tapes. Information is retained on disks/tapes for a period of 40 weeks and then purged from the system. Computer printouts are retained by the school for 1 year after the completion of each class. Disposition of hard copy records is in accordance with Retention below.

Retrievability:

Information is accessed by name and or assigned class number.

Safeguards:

Building has limited access. Information is only released to authorized personnel.

Retention and disposal:

Individual Academic Record Files: Destroyed after 40 years. Cut off after each course. Resident Courses: transferred to Record Holding Area (RHA) after 1 year in Central Files Area (CFA). Retired to National Personnel Records Center (NPRC), 111 Winnebago Street, St. Louis, MO 63118, after 2 years in RHA. Collateral Individual Training Record Files: Destroyed after 1 year; earlier destruction is authorized.

Faculty Board Files: Destroyed after 1 year or on discontinuance, whichever is first.

Class Academic Record Files: Destroyed after 40 years.

System manager(s) and address:

Commander, Fitzsimons Army Medical Center, Director, Clinical Specialist Course, Fitzsimons Army Medical Center, Denver, CO 80240.

Notification procedure:

Information may be obtained from the Commander, Fitzsimons Army Medical Center, ATTN: HSF-N, Denver, CO 80240.

Record access procedures:

Written requests for information should be addressed to the appropriate Course Director. Request should include the full name, rank (at time of attendance), social security number (SSN), military service number or student number, if applicable, course title and class number (if known), or description of type training received and dates of course attendance.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Staff and faculty of the school responsible for presentation of instruction.

Systems exempted from certain provisions of the act:

None

A1012.03kUSAREUR

System name:

1012.03 Individual Academic Record Files

System location:

Manual input system files (Student Travel Orders, Student Record Information Card, Class Rosters, Grade Record Sheets) and automated data output are maintained at Headquarters, Seventh Army Combined Arms Training Center, ATTN: AETTV-DI, Army Post Office (APO) NY 09114.

Automated systems are stored in computer tapes maintained at Data Processing Branch, Seventh Army Training Center, APO NY 09114.

Pertinent data output (notice of individual student graduation or non completion, grade and deficiencies) is forwarded through command military channels to the student and his commander.

Pertinent statistical data is extracted and forwarded to Headquarters, US Army, Europe and Seventh Army, APO NY 09403 and major subordinate commands.

Categories of individuals covered by the system:

Any person, military or civilian, admitted as a student at a course of instruction conducted by the Seventh Army Combined Arms Training Center.

Categories of records in the system:

Source documents consisting of Student Travel Orders or equivalent, Student Information Cards, Student Rosters and Grade Sheets are retained and filed by name and/or assigned student roster number by course and class.

Automated system contains the following data for each student extracted from source documents: name, rank, social security number (SSN), assigned student roster number, unit of assignment including APO, course quota status, race, mode of transportation to school, applicable Army Classification Battery Scores, beginning and graduation dates; information regarding whether or not student meets course prerequisites; whether or not student graduated; reason for early release, if applicable; academic achievement awards received.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data utilized to inform students' commanders/supervisors of students' academic performance in the attended course in order that they make appropriate management decisions.

Used to inform Personnel Officers of course attendance for posting to the students' personnel records.

Used to inform other agencies of student attendance and performance, upon request by the student.

Used to perform the following statistical analyses: relationships of performance to prerequisites; total students attending by course, class, command; attrition and reasons therefor; racial composition; funding projections. Resultant statistical data is utilized for analysis and revision of courses and prerequisites; analysis of training center mission accomplishment and unit/command education and training accomplishments; analysis of command support of the Equal Opportunity Program; planning of future courses and funding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Source documents maintained as paper records in file folders.

Automated systems on magnetic tape.

Retrievability:

Source documents filed by course/class by assigned roster number (normally alphabetically by last name of student).

Automated systems retrievable by specification of student name, SSN or roster number and course/class.

Safeguards:

Source documents filed in cabinets in locked room with access only to authorized personnel. Building is under constant supervision.

Automated systems maintained under constant supervision with only authorized personnel with proper training having access. Computer facility is restricted area.

Retention and disposal:

Source documents are maintained in the active file until the end of the fiscal year of graduation; maintained in inactive files 3 additional years; class rosters and grade sheets are then retired for 40 years to National Personnel Records Center, 111 Winnebago Street, St. Louis, MO 63118. All other source documents are extracted and destroyed prior to forwarding to the National Personnel Records Center.

Automated system maintained at the data processing center for 5 years and then erased.

System manager(s) and address:

Chief, Academic Operations, Seventh Army Combined Arms Training Center, Vilseck, Federal Republic of Germany, APO NY 09114.

Notification procedure:

Information may be obtained from:

Commander
Seventh Army Combined Arms Training Center
Building 305, Rose Barracks
APO NY 09114
Telephone: Vilseck Military (2641) 880 or 680

Former students should state full name, course and class or dates of attendance.

Record access procedures:

Requests should be addressed to: Commander, Seventh Army Combined Arms Training Center, ATTN: AETTV-DI, APO NY 09114.

Written requests should contain full name, course and class or dates of attendance.

For personal visits, the individual should be able to provide some acceptable identification (identification card, driver's license, etc.).

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Student travel orders prepared by the student's unit from official military personnel records.

Student Record Information Card prepared by the student upon arrival and registration for the course.

Draft class rosters prepared or verified by students in each class.

Class grade sheets prepared by instructor personnel.

Systems exempted from certain provisions of the act:

None

A1012.03lDAAG

System name:

1012.03 Reserve Officer Training Corps - Active Duty Training

System location:

Automated Equipment Division, Systems Support Directorate, United States (US) Army Reserve Components Personnel and Administration Center (RCPAC), AGUZ-SSD; 9700 Page Blvd, St Louis, MO 63132.

Categories of individuals covered by the system:

Reserve Officer Training Corps Cadets and Officer Active Duty Obligors who have been selected for Active Duty Training.

Categories of records in the system:

Record contains personal and military status and qualifications data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 275, Personnel Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army Reserve Components Personnel and Administration Center - to assign the branch school which the officer will attend when ordered to Active Duty for Training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes.

Retrievability:

By social security number (SSN).

Safeguards:

Computer located in building which has entrance controlled by Federal Protective Officers. The functional and systems directors approve production requests for both one-time and recurring information. Tapes filed in a restricted tape library within computer room complex, which is also a restricted area.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Commander, US Army Reserve Components Personnel and Administration Center, 9700 Page Blvd., St Louis, MO 63132.

Notification procedure:

Information may be obtained from:

Commander
US Army Reserve Components Personnel and Administration Center
9700 Page Blvd.
St Louis, MO 63132
Telephone: Area Code 314/268-7733

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Reserve Components Personnel and Administration Center, 9700 Page Blvd., St Louis, MO 63132.

Written request for information should contain the full name and SSN of the individual.

For personal visits, the individual should be able to provide some acceptable identification, such as driver's license.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Automated system interface and Official Military Personnel File.

Systems exempted from certain provisions of the act:

None

A1012.03mDAMO

System name:

1012.03 United States Army War College Graduate Directory File

System location:

Computer Center, Administrative Office, United States Army War College (USAWC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

USAWC graduates; present resident USAWC students; present and past USAWC staff and faculty; honorary alumni; Senior Reserve Component Officer Course graduates.

Categories of records in the system:

File contains name, category, rank, branch, mailing address, status, year of USAWC attendance and an identifying number for each individual's record.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To publish annual USAWC Graduate Directory, to allow statistical analysis of past and present student and faculty compositions, and as a locator file to allow former members of the USAWC to maintain close professional relationships with their USAWC associates. Produce address labels for alumni mailings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disk.

Retrievability:

Filed by class year, identifying number, name, rank, branch, and ZIP Code.

Safeguards:

Disk is maintained in a secure area with access only to authorized personnel.

Retention and disposal:

Records are permanent.

System manager(s) and address:

The Secretary, US Army War College, Carlisle Barracks, PA 17013.

Notification procedure:

Requests from individuals should be addressed to The Secretary, US Army War College, Carlisle Barracks, PA 17013.

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Record access procedures:

Requests from individuals should be addressed to The Secretary, US Army War College, Carlisle Barracks, PA 17013.

Contesting record procedures:

The Army's rules for access to records and for contesting contents of records and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Original entry from personnel files with currency maintained by direct correspondence with the individual and through United States Postal notifications.

Systems exempted from certain provisions of the act:

None

A1012.03aTRADOC

System name:

1012.03 Nonresident Instruction Automated System (NRIAS)

System location:

United States (US) Army Command and General Staff College (USACGSC), ATSW-NI, Ft Leavenworth, KS 66027; US Army Training and Doctrine Command (TRADOC) Data Processing Field Office (DPFO), Ft Leavenworth, KS 66027.

Categories of individuals covered by the system:

Active, Reserve and National Guard officers of US and allied military services, and US Department of the Army civilian employees who are enrolled in the Command and General Staff Officer Course, Nonresident/Resident (CGSOC, N/R).

Categories of records in the system:

File contains data pertinent to the administration of the CGSOC, N/R. Specific items include the application (CGSC Form 59); academic records of course progress; correspondence with students; notice of termination; and, upon course completion, an academic transcript.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Establish and maintain student academic records; provide the student's Military Personnel Record Jacket (MPRJ) and the Official Military Personnel File (OMPF) custodians with periodic progress reports as follows: official notice of enrollment, 90-day warning notice of insufficient progress, annual statement of academic progress, retirement credits, certificate of 50 percent completion, termination of enrollment, and certificate of eligibility to attend Ft Leavenworth Phase instruction; provide the student with copies of the reports furnished OMPF and MPRJ custodians plus letters of welcome, subcourse completion certificates, phase completion certificates, and lesson and examination grades; provide enrollment data and examination results to Commandants of US Army Reserve (USAR) Schools conducting CGSOC, N/R instruction; produce periodic reports of daily transactions, transactions errors, statistical summaries, listings of students, and mailing labels for dispatch of course material; determine eligibility for initial enrollment, continuing enrollment, reenrollment, and course completion; analyze data for program management and review.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Academic master files stored on magnetic disk and tape in TRADOC DPFO.

Documents and microfiche are stored in vertical files in USACGSC Department of Nonresident Instruction (DNRI).

Retrievability:

Tape and disk files are accessed sequentially by social security number (SSN).

Hard copy files are maintained in alphabetical order.

Safeguards:

Buildings employ security guards. Storage areas are locked and keys held by security guards. Records are maintained in areas accessible only to authorized personnel.

Magnetic disks, magnetic tapes, and computer printouts are located in a physical security restricted area at TRADOC DPFO.

Retention and disposal:

Tape and disk files are maintained indefinitely through thrice weekly updates; hard copy files are maintained for 3 years by DNRI, 3 additional years by Ft Leavenworth Adjutant General's Record Holding Section and then retired to the National Personnel Records Center (Military), Saint Louis, MO 63132.

System manager(s) and address:

Director, Nonresident Instruction, USACGSC.

Notification procedure:

Information may be obtained from: Commandant, USACGSC (ATSW-NI), Ft Leavenworth, KS 66027.

Telephone: Area Code 913/684-5584

Record access procedures:

Requests from individuals should be addressed to: Commandant, USACGSC (ATSW-NI), Ft Leavenworth, KS 66027.

Written requests for information should contain the full name, SSN, and program type (correspondence course or USAR School) of the individual.

For personal visits, the individual should be able to provide some acceptable identification; i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Application form, change of address card, lesson and examination answer sheets, student request for administrative action.

Systems exempted from certain provisions of the act:

None

A1012.03oDAMO

System name:

1012.03 US Army War College Cooperative Degree Program Files

System location:

United States (US) Army War College, Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Present and past resident students participating in the Cooperative Degree Program.

Categories of records in the system:

Records contain student names, ranks, and service numbers, and their past military and civilian academic records (transcripts, diplomas, letters of recommendation, Veterans Administration (VA) applications, etc.).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To assist students in applying for, and pursuing their graduate degree, (2) to monitor administrative data for use in managing the program (number and percent of students participating, degrees being pursued, anticipated completion dates, schools being attended, etc.), and (3) maintain data for evaluating the program (percent completion; enrollment trends from year to year; shifts in curricular choice, etc.).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets; may be converted to computer storage on computer disks.

Retrievability:

By student's name; and by name of cooperating institution.

Safeguards:

Records maintained in locked filing cabinets. If placed on computer disks, disks will be maintained in a secured area with access only by authorized personnel. Access to computer will be by password known only to authorized personnel.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, Human Resources Development, US Army War College.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to The Secretary, US Army War College, Carlisle Barracks, PA 17013.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Original entries based on records provided by students; additional administrative information may be provided by the Director, Human Resources Development and other USAWC authorities, or received from officials at the cooperating civilian institutions (currently Shippensburg State College and the Capitol Campus of the Pennsylvania State University).

Systems exempted from certain provisions of the act:

None

A1012.03pDAMO

System name:

1012.03 USAWC Individual Student Counseling Records

System location:

United States Army War College (USAWC), Carlisle Barracks, PA 17013.

Categories of individuals covered by the system:

Past and present resident course students at the Army War College.

Categories of records in the system:

Files contain names, rank, branch, service numbers and personnel data obtained from questionnaires, psychological tests and personal interviews.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Records are used to counsel individual students for purposes of personal and professional growth and development, (2)summarized group data are used to establish psychological profiles of the 'typical' USAWC student. In such analyses, no individual student is identified; all data are reported as averages, correlations, or other group statistics, and (3) data are used to detect changes in students as a result of academic instruction, counseling or other causes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in locked file cabinets.

Retrievability:

By name, or student identification number known only to the student and sometimes known to his individual counselor. Data are obtained from hard copy files containing student's name and class year.

Safeguards:

Records are kept locked, used only by counselors, and are not revealed to any other staff, faculty or student personnel. These counseling records are kept separate from other student academic records, and information from them is not provided to regular faculty counselors nor is it placed in student's normal academic or personnel records.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, Human Resources Development - US Army War College.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to The Secretary, US Army War College, Carlisle Barracks, PA 17013.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Original data entries come from questionnaires and tests filled out by students; additional data are provided by counselors based upon their interviews with students.

Systems exempted from certain provisions of the act:

None

A1012.03qHSC

System name:

1012.03 Resident Instruction & Support Files

System location:

Primary System: Director of Management Information Systems, Health Services Command, Ft Sam Houston, TX.

Decentralized Segments: Academy of Health Sciences, Ft Sam Houston, TX and other hospitals and schools. Official mailing addresses are in the Department of Defense Directory in the Appendix to the Federal Register.

Categories of individuals covered by the system:

These files include all student personnel taking resident medical courses, instructors, staff, and faculty.

Categories of records in the system:

Individual Academic Records File. Records indicating courses attended, length of each course, grades and rating attained and related data for each individual.

Instructor, Staff, and Faculty Files. Personnel records of individuals for instructor scheduling.

Class Academic Records File. Records maintained by class of individual student academic standing and overall class standing.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used by the school to confirm eligibility for attendance, monitor student progress, determine successful completion of academic requirements, and serve as record of courses which may be prerequisites for attendance at other formal courses of instruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, computer magnetic tape, and disk, computer paper printouts, 80 column punched cards.

Retrievability:

Information is accessed by name, social security number (SSN), course number, class number, student number or a combination of these.

Safeguards:

Computer Center operated 'Closed Shop' to allow only authorized personnel entry. Locked cabinets, rooms and vaults depending upon media and location.

Retention and disposal:

Transaction files. Blank or destroy after 4 updating cycles.

Master Magnetic Media Files. Blank after 4th updating cycle.

Instructor files maintained until instructor is reassigned or retired.

Academic Records File. Destroy after 40 years. Cut off annually.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army; Commander, Health Services Command; Superintendent, Academy of Health Sciences.

Notification procedure:

Information may be obtained from:

Office of the Secretary
Academy of Health Sciences
Ft Sam Houston, TX 78234

Record access procedures:

Written requests for information should contain the full name of individual, current address, telephone number, SSN, and dates of course attendance.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Personnel information obtained from instructors, staff, and faculty responsible for instruction.

Systems exempted from certain provisions of the act:

None

A1012.03rUSACSC

System name:

1012.03 Training/Development Records USACSC Military Personnel

System location:

Headquarters, US Army Computer Systems Command (USACSC) Ft Belvoir, Virginia and all other world-wide USACSC Support Groups and activities.

Categories of individuals covered by the system:

All USACSC assigned military personnel who have applied for, been selected for, have attended or have a need for, training offered through in-house efforts, resident/nonresident service schools, colleges, universities, interagency, commercial vendors, professional societies, or other sources of training and education.

Categories of records in the system:

Files include name, grade, social security number (SSN), address, home phone, duty phone, branch of service, date of birth, marital status, military occupational specialties, job title, enlisted status, civilian and military educational data, transcripts, academic evaluation reports and records, degree major, class standing, student training reports, photographs, enlisted qualification record, statements of service and schooling obligation, correspondence between (1) individual student, (2) Army commands and staff agencies (3) civilian industry training agencies and (4) civilian educational schools, courses taken, length of courses, extent of completion of courses and results thereof, aptitudes and personal qualities, grades, rating attained and related data for each individual.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.; and Executive Order 11348.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide USACSC activities with a record of individual training, experience, qualifications and effectiveness. Information is used by the concerned individual, supervisors, training coordinators, Employee Development personnel and training activity managers to develop Command training programs and individual development plans. This information is used by the training activity to confirm eligibility for attendance, monitor student programs, determine successful completion of academic requirements and serve as a record of accomplishment of courses which may be prerequisites for attendance at other formal courses of instruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in metal cabinets.

Retrievability:

Information is accessed by name or SSN.

Safeguards:

Locked in metal cabinets in building protected by security guards.

Retention and disposal:

Records are maintained throughout the military member's tenure with USACSC. Records have a retention period from 2 to 10 years depending on the category of the individual record concerned and/or the element maintaining the file.

System manager(s) and address:

Commanding General, US Army Computer Systems Command, Ft Belvoir, VA 22060.

Notification procedure:

Information may be obtained from: Headquarters, US Army Compu- ter Systems Command, Ft Belvoir, VA 22060.

Record access procedures:

Written requests for information should contain the individual's name, SSN and current address.

For personal visits, the individual should be able to provide acceptable identification; that is, a driver's license with other identification normally used in business transactions.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

From individuals as obtained through surveys of training needs and accomplishments. Applications and related forms incident to the individual's qualification for attendance at a specified military or civilian school or training agency; records, forms, documents, and correspondence originating in/by Department of the Army Staff agencies and commands, the student service member, and civilian school or industry training agency.

Systems exempted from certain provisions of the act:

None

A1012.04aDAPE

System name:

1012.04 USMAPS Training Files

System location:

Company Tactical Officers, MAPS-DMT; Admissions, MAPS-A&R; United States Military Academy Preparatory School (USMAPS), Ft Monmouth, NJ 07703.

Categories of individuals covered by the system:

Students enrolled in USMAPS.

Categories of records in the system:

Individual cadet candidate records used to track the individual's performance at USMAPS.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USMAPS and Director of Admissions & Registrar, United States Military Academy: To evaluate a student's military and physical aptitude for the United States Military Academy. To assist in counseling students concerning their strengths and weaknesses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

File folders are filed alphabetically by last name of student.

Safeguards:

File folders are filed in locked file cabinets.

Retention and disposal:

Students not entering United States Military Academy: Records are maintained until student is too old to enter United States Military Academy. Students who enter United States Military Academy: Records are maintained until student's class graduates from United States Military Academy. Records are destroyed by burning and/or shredding.

System manager(s) and address:

Director of Admissions, United States Military Academy Preparatory School, Ft Monmouth, NJ 07703.

Notification procedure:

Requests should be addressed to SYSMANAGER.

Record access procedures:

Requests should be addressed to SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual, other students, USMAPS staff and faculty.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a, section (j) or (k), as applicable.

A1012.04bTRADOC

System name:

1012.04 Resident Student Record System (RSR)

System location:

Director of Automation (ATZLSW-DOA), United States Army Command and General Staff College (USACGSC), Ft Leavenworth, KS 66027.

Categories of individuals covered by the system:

Any officer, United States or Allied, enrolled in the USACGSC resident program.

Categories of records in the system:

File contains: Personal data which includes name, social security number (SSN), student number, branch of service, rank, component, alternate Officer Personnel Management System (OPMS), primary OPMS; administrative data including counselor's name, class division, class section, class work group, type course (i.e., regular United States, reserve component, Ally); and academic data including test scores, courses, student exam code, cooperative degree program, course number, academic term, course module, course block, and selected related data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used to schedule students for courses, process student grades and other academic related information, record student grades and prepare school transcripts. Records are used by USACGSC instructional departments and the Director of Education and Curriculum Affairs to prepare rosters, and by USACGSC resident academic records personnel to prepare transcripts.

The automated grading examination system (GRADEX) constitutes a subsystem of this file, in that it provides an important element of front end curriculum analysis, and basis for curriculum changes and evaluation of entry level knowledges. It also provides the capability to administer various course/subcourse tests with MARK SENSE forms during the academic year.

Computerized interactive quizzes provide the capability to administer course/subcourse tests interactively using computer terminals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disk and magnetic tape.

Retrievability:

Records are retrieved by SSN, name, student number, or by one or a combination of data elements contained in the system.

Safeguards:

At the USACGSC, the computer programs are kept in locked cabinets in building secured by guards. Computer access is controlled by passwords which are periodically changed. Access to the computer programs is further restricted by additional passwords which are changed weekly. Data files are maintained in a secure environment restricted to authorized employees.

Retention and disposal:

Records are destroyed at completion of an academic year.

System manager(s) and address:

Director of Automation, USACGSC, Ft Leavenworth, KS 66027.

Notification procedure:

Information may be obtained from:
Commandant, USACGSC
Attention: Director of Automation
Bell Hall
Ft Leavenworth, KS 66027
Telephone: Area code 913-684-2685

Record access procedures:

Requests should be addressed to: Commandant, USACGSC, ATTN: ATZLSW-DOA, Ft Leavenworth, KS 66027.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Personnel data and enrollment information are obtained from the students at the time they complete enrollment and from Department of the Army orders. Grades, class section number, and academic information is obtained from the USACGSC academic departments. Data for the GRADEX system are obtained from the MARK SENSE cards completed by the students and information extracted from the RSR.

Systems exempted from certain provisions of the act:

None.

A1012.04cDAPE

System name:

1012.04 Correspondence School Academic Data File

System location:

Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All authorized enrollees in the Industrial College Correspondence School.

Categories of records in the system:

File contains social security number (SSN), name, and records of progress through the various units of the course.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Nonresident Instruction: Miscellaneous communications with enrollees regarding progress through courses of instruction; miscellaneous management level reports to reflect progress of the student body through the course, provides tran- scripts to colleges and universities under specific written re- quest from the student, and provides a record of completion of each unit by reserve officers to the appropriate records center for reserve retention/retirement point purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Sequenced by SSN.

Safeguards:

File information available only to trained and authorized Industrial College personnel.

Retention and disposal:

Records are permanent. Records are retained in active portion of file during student's enrollment in course. Upon completion of course, student's records are retired to historic portion of file.

System manager(s) and address:

Head, Department of Nonresident Instruction, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Head, Department of Nonresident Instruction
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8672

Record access procedures:

Requests from enrollees should be addressed to the above address.

Written requests for information should contain full name of the requester, current address, SSN, and date of enrollment and/or graduation.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Application for enrollment from individual and related documents.

Systems exempted from certain provisions of the act:

None

A1012.04dDAPE

System name:

1012.04 Resident Student Electives Assignment File

System location:

Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All students currently enrolled in the resident course of instruction at the Industrial College.

Categories of records in the system:

File contains student number and current course and section assignment.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dean of Students: To assign students to various elective courses and sections, prepare rosters of assignments, analyse numbers of inter-student contacts, input to Resident Student Evaluation System File.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk file.

Retrievability:

Sequenced by student number.

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Safeguards:

File information available only to trained and authorized Industrial College personnel.

Retention and disposal:

File maintained through current academic year only.

System manager(s) and address:

Dean of Students, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Dean of Students
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8306

Record access procedures:

Requests by students should be made directly to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Preferences submitted by the individual students.

Systems exempted from certain provisions of the act:

None

A1012.04eDAPE

System name:

1012.04 Resident Student Evaluation System File

System location:

Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All students currently enrolled in the resident course of instruction at the Industrial College.

Categories of records in the system:

File contains student course and section assignments, evaluations received for each course, course weights, evaluator assignments.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dean of Students: Preparation of reports of student academic standings for use in preparing academic reports on the individual students, accountability of courses completed by the students, analysis of achievements in the various courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Random access disk file.

Retrievability:

Locally assigned student identification number.

Safeguards:

File information available only through trained and authorized Industrial College personnel, as specifically directed by the Dean of Students. Portions of retrieval software passworded.

Retention and disposal:

File maintained through current academic year only.

System manager(s) and address:

Dean of Students, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Dean of Students
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8306

Record access procedures:

Requests by students should be made directly to the Dean of Students, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Assignments from Resident Student Section Assignment File and Resident Student Electives Assignment File.

Grades from the evaluations submitted by the designated faculty evaluators.

Systems exempted from certain provisions of the act:

None

A1012.04fDAPE

System name:

1012.04 Resident Student Biographical Data Base

System location:

Industrial College of the Armed Forces (ICAF), Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All students currently enrolled in the resident course of instruction at the Industrial College.

Categories of records in the system:

File contains student number, social security number (SSN), name, grade, branch of service or civilian agency, prior education, date of birth, date of rank, years of federal service, marital status, wife's name.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dean of Students: Preparation of initial rosters for personnel officer use; statistical analysis of student body composition.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Random access disk file.

Retrievability:

Locally assigned student identification number.

Safeguards:

File information available only through trained and authorized Industrial College personnel.

Retention and disposal:

File maintained through current academic year only.

System manager(s) and address:

Head of the Department of Administration, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Dean of Students
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8306

Record access procedures:

Requests by students should be made directly to the Dean of Students, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Biographical questionnaires submitted by the students, as updated by related documents.

Systems exempted from certain provisions of the act:

None

A1012.04gDAPE

System name:

1012.04 Resident Section Assignment File

System location:

Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All students currently enrolled in the resident course of instruction at the Industrial College.

Categories of records in the system:

File contains student number, current course and section assignment, preference for this assignment, current office and telephone number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dean of Students: Assignment of students to various core curriculum courses and sections, preparation of rosters of assignments, analysis of numbers of inter-student contacts, input to Resident Student Evaluation System File.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk file.

Retrievability:

Sequenced by student number.

Safeguards:

File information available only to trained and authorized ICAF personnel.

Retention and disposal:

File maintained through current academic year only.

System manager(s) and address:

Dean of Students, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Dean of Students
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8306

Record access procedures:

Requests by students should be made directly to the Dean of Students.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Preferences submitted by the individual students.

Systems exempted from certain provisions of the act:

None

A1012.09aDASG

System name:

1012.09 House Staff Evaluation Report File

System location:

Primary System: Graduate Medical Education Branch, Education and Training Division, Army Medical Personnel Support Agency (SGPE-EDG), Room 7B-014, Forrestal Building, Washington, DC 20314.

Decentralized Segments: Commander, Brooke Army Medical Center, Ft Sam Houston, TX 78234; Commander, Fitzsimons Army Medical Center, Denver, CO 80240; Commander, Letterman Army Medical Center, San Francisco, CA 94129; Commander, Madigan Army Medical Center, Tacoma, WA 98431; Commander, Tripler Army Medical Center, Army Post Office (APO) San Francisco 96438; Commander, Walter Reed Army Medical Center, Washington, DC 20012; Commander, William Beaumont Army Medical Center, El Paso, TX 79920; Commander, Womack Army Hospital, Ft Bragg, NC 28307; Commander, DeWitt Army Hospital, Ft Belvoir, VA 22060; Commander, Martin Army Hospital, Ft Benning, GA 31905; Commander, Dwight Eisenhower Army Medical Center, Ft Gordon, GA 30905; Commander, Silas B. Hays Army Hospital, Ft Ord, CA 93941.

Categories of individuals covered by the system:

All military physicians currently participating in a United States (US) Army graduate medical education program.

Categories of records in the system:

File contains from 1 to 3 Department of the Army (DA) Forms 1970-R, (House Staff Evaluation Report) on individuals indicated above. Contains name, rank, social security number (SSN), and evaluation of graduate medical training performance.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 401, Section 4301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Graduate Medical Education Branch: To increase the professional qualification information available on an individual currently participating in a graduate medical education program and applying for another graduate medical education program; to evaluate the effectiveness of the selection process for graduate medical education; to develop a position on an individual's ability to function as a physician in his selected area of training; to assist career managers in proper assignment of an officer after he completes training.

Education and Training Committees, US Army Teaching Hospitals: To monitor professional and career development of Medical Corps officers participating in graduate medical education.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of trainee.

Safeguards:

Graduate Medical Education Branch records maintained in suite of offices staffed by responsible personnel. Offices are locked during non-duty hours. Only authorized personnel who are properly cleared have access. The building employs security guards during non-duty hours and on weekends and holidays, and a building pass is required for entry.

Retention and disposal:

Records are retained in active file until 6 months after an individual has completed or terminated training, then destroyed.

System manager(s) and address:

Commander, Army Medical Department Personnel Support Agency; Commanders of US Army Teaching Hospitals.

Notification procedure:

Information may be obtained from:
AMEDDPERSA (SGPE-EDG)
Room 7B-014
Forrestal Building
Washington, DC 20314
Telephone; Area Code 202/693-5455

Record access procedures:

Requests from individuals should be addressed to: Army Medical Personnel Support Agency (SGPE-EDG), Room 7B-014, Forrestal Building, Washington, DC 20314

Written request for information should contain the full name of the individual, current mailing address and telephone number, current unit of assignment (if on active duty), specialty or specialties and internship training received in US training facilities. Visits are limited to AMEDDPERSA (SGPE-EDG), Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification; i.e., military identification card or driver's license, and give some verbal information that could be verified with his evaluation reports.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

DA Form 1970-R completed by each trainee's immediate superior.

Systems exempted from certain provisions of the act:

None

A1012.10aDASG

System name:

1012.10 AMEDD Training Application Status Record

System location:

Continuing Health Education Branch, Education and Training Division, Army Medical Department (AMEDD) Personnel Agency, (SGPE-EDT), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

Military personnel who apply for a short course which is funded by the Army Medical Department centralized training fund.

Categories of records in the system:

File consists of a 5 inch x 8 inch card which contains individual's name, social security number (SSN), course date and title; dates application received and dispatched; and action taken.

Authority for maintenance of the system:

Title 10 U.S.c., Chapter 401, Section 4301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To obtain the status of short course application and to record courses that individuals attend; also serves as a suspense card to insure the timely processing of applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

5x8 cards in card filing cabinets.

Retrievability:

Filed by individual's name and corps of assignment.

Safeguards:

Building employs security guards. After normal duty hours the room in which the records are stored is locked. Access to this card file is limited to those individuals who process applications.

Retention and disposal:

Records are kept 2 years then destroyed.

System manager(s) and address:

Chief, Continuing Health Education Branch, Education and Training Division, Army Medical Department Personnel Support Agency, Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
COMMANDER
AMEDD PERSA
ATTN: SGPE-EDT
Room 7B022, Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5358

Written requests for information should contain the full name of the individual, SSN, and corps.

For personal visits, requester must present military identification card as proof of identity.

Record access procedures:

Requests from individuals should be addressed to: Commander, AMEDD Personnel Agency, ATTN: SGPE-EDT, Room 7B022, Forrestal Building, Washington, DC 20314.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Application for Professional Training form submitted by the applicant and the Approval for Professional Short Term Training form prepared by Continuing Health Education Branch.

Systems exempted from certain provisions of the act:

None

A1012.11aDASG

System name:

1012.11 Continuing Medical Education Course Attendance Files

System location:

Armed Forces Institute of Pathology, Walter Reed Army Medical Center, Washington, DC 20306.

Categories of individuals covered by the system:

Individuals who have attended continuing medical education courses conducted by the Armed Forces Institute of Pathology.

Categories of records in the system:

Documents reflecting requests for attendance and completion of courses.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to facilitate billing for course attendance fees, to meet course accreditation requirements, and to verify attendance when requested by individuals concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

File by last name under each course attended.

Safeguards:

Access to the Armed Forces Institute of Pathology is controlled. Access to records is limited to authorized personnel.

Retention and disposal:

Held 7 years in active file then transferred to Forest Glen records holding area and held for 3 years. At the end of 3 years retired to National Personnel Records Center (Military), 9700 Page Boulevard, St. Louis, MO 63122.

System manager(s) and address:

The Surgeon General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the Associate Director for Medical Education, Armed Forces Institute of Pathology, Walter Reed Army Medical Center, Washington, DC 20306.

Record access procedures:

Requests from individuals should be addressed to the Associate Director for Medical Education, Armed Forces Institute of Pathology, Walter Reed Army Medical Center, Washington, DC 20306.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Written request by individual for attendance at continuing medical education courses.

Systems exempted from certain provisions of the act:

None

A1013.01DAPC

System name:

1013.01 Civilian School Files

System location:

Primary System: United States (US) Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Decentralized Segments: Army commands/stations/installations/organizations/activities including overseas areas.

Categories of individuals covered by the system:

Any military service member who applies for or is selected for attendance at civilian school; or for training with industry; or participation in a fellowship/scholarship program of training or instruction.

Categories of records in the system:

File contains Department of the Army (DA) Forms 1618-R, 2086-R, 2593-R, 3719-R which include personal data of name, grade, social security number, address, home phone, duty phone, permanent legal address, branch of service, date of birth, marital status, number of dependents, state of legal residence, military occupational specialties, enlistment status, component, foreign service, civilian educational data, military educational data, transcripts, academic records, social fraternities, honorary fraternities, clubs, degree major, class standing, and personal resumes; Standard Form 1034 (Public Voucher for Purchases and Services Other than Personal), school contracts; student training report; photographs; enlisted qualification record; theses; statements of service and schooling obligation; United States Armed Forces Institute test reports; civilian institution Academic Evaluation reports; correspondence between (1) individual student, (2) Army commands and staff agencies, (3) civilian industry training agencies, (4) and civilian educational schools.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

US Army Military Personnel Center: To document, monitor, manage, and administer the service member's attendance at a civilian training agency or civilian school under the authority of Title 10 U.S.C., Section 4301.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Files and records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records have a retention space of from 2 to 10 years depending on the category of the individual record concerned and/or the element maintaining the file.

System manager(s) and address:

US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:
HQDA (DAPC-MSO)
Hoffman Bldg 2
200 Stovall Street
Alexandria, VA 22332

Appropriate command/station/installation/organization/activity/overseas command of the student service member as shown in the Directory of Units.

Record access procedures:

Written requests for information should contain the full name, grade, branch of service, service identification number, and civilian school or training agency (if known), and the current address.

For personal visits, the individual should be able to provide acceptable military identification or acceptable identification, i.e., a driver's license with other identification normally used in business transactions.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Application and related forms incident to the service member's qualification for attendance at a specified civilian school or training agency; records, forms, documents, and correspondence originating in/ by DA Staff agencies and commands, the student service member, and civilian school or industry training agency.

Systems exempted from certain provisions of the act:

None

A1013.02aDASG

System name:

1013.02 Long Term Civilian Training Student Contract Files

System location:

Primary System: Civilian Health Education Branch, Education and Training Division, Army Medical Personnel Support Agency (AMEDDPERSA) (SGPE-EDC), Washington, DC 20314.

Decentralized Segments: Army Medical Department (AMEDD) Student Detachment, Academy of Health Sciences, Ft Sam Houston, TX 78234; Plans & Program Branch, Education & Training Division, AMEDDPERSA, Washington, DC 20314; Purchasing & Contracting Office, Procurement Division, Ft Bragg, NC 28307; Purchasing & Contracting Office, Procurement Division, Ft Knox, KY 40121; Purchasing & Contracting Office, Procurement Division, Ft Riley, KS 66442; Purchasing & Contracting Office, Procurement Division, Ft Lewis, WA 98433; Purchasing and Contracting Office, Procurement Division, Cameron Station, Alexandria, VA 22314; Finance & Accounting Office, Ft Sam Houston, TX 78234.

Categories of individuals covered by the system:

All AMEDD personnel currently participating in long term civilian training on a fully funded basis in the following programs: pre-Walter Reed Army Institute of Nursing Program (Nonresident Phase), Army Student Nurse Program, Validated Requirements Program, Undergraduate Program, and Medical, Osteopathic, Dental and Veterinary Education for Army Officers Program.

Categories of records in the system:

File contains 1 to 4 copies of Office of the Surgeon General (OTSG) Form 896, Instructions to Negotiate Contract for Civil Schooling of Army Medical Department Personnel, 1 copy of Army Health Services (AHS) Form 67a, Enrollment Application for Civilian Schools; 1 copy of individual's Letter of Acceptance from the civilian college or university; 1 copy of Department of the Army (DA) Form 3838, Application for Professional Training; 1 copy of each 'Request for Amendment of Contract for Civilian Schooling of Army Medical Department Personnel'; copies of all correspondence between student personnel and return correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 401, Section 4301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Health Education Branch: To request issuance of an Educational Service Agreement (Contract) between the Army and a civilian academic institution for the purpose of sending AMEDD officer and enlisted personnel to long term civilian training under 5 fully funded programs: The Pre-Walter Reed Army Institute of Research (Nonresident Phase), Army Student Nurse Program, Validated Requirements Program; Undergraduate Program, and Medical, Osteopathic, Dental and Veterinary Education for Army Officers Program; to amend aforementioned contracts; to manage the funding of AMEDD officer and enlisted personnel under contract.

Plans and Programs Branch, AMEDDPERSA: The OTSG Form 896 is used to issue fund citations and as a control document.

AMEDD Central Student Detachment: The OTSG Form 896 is a control document for students under the fully funded programs who are eligible for a maximum of

100.00 reimbursement for books and minor expenditures.

Purchasing and Contracting Offices: The OTSG Form 896 and amendments are used as control documents for negotiating an Educational Service Agreement (ESA) with civilian academic institutions and for issuing Department of Defense (DD) Form 1155, Purchase Orders, against the ESA for each military student at the academic institution.

Finance and Accounting Office, Ft Sam Houston: The OTSG Form 896 and amendments are used as a control document for accounting purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of student, by program.

Safeguards:

Civilian Health Education Branch records are maintained in one of a suite of offices which are locked during non-duty hours. The office is staffed by responsible personnel and only authorized personnel are given access to the records. Security guards are on duty during and after duty hours, to include weekends and holidays. A building pass is required for entry.

Retention and disposal:

Records are temporary. They are destroyed 2 years after an individual has completed training or has been cancelled or withdrawn from the program.

System manager(s) and address:

Commander, Army Medical Department Personnel Support Agency.

Notification procedure:

Information may be obtained from:
AMEDDPERSA (SGPE-EDC)
Room 7B014
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5368

Record access procedures:

Requests from individuals should be addressed to: Army Medical Department Personnel Support Agency (SGPE-EDC), Room 7B014, Forrestal Bldg, Washington, DC 20314.

Written requests for information should contain the full name of the individual, social security number, current mailing address and telephone number, current unit of assignment (if on active duty), sponsoring program and calendar years in training.

For personal visits, the individual should be able to provide some acceptable identification; i.e., driver's license, employing office identification card, and give some verbal information that can be verified with his case folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents or appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Individual application for training (DA Form 3838) and the financial requirements of the academic institution.

Systems exempted from certain provisions of the act:

None

A1013.04aDASG

System name:

1013.04 Residency, Subspecialty and Fellowship Training

System location:

Graduate Medical Education Branch, Education and Training Division, Army Medical Department Personnel Support Agency (AMEDDPERSA) (SGPE-EDG), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

All physicians applying in the current year or previous year for US Army sponsored residency, subspecialty or fellowship training in any Federal facility or civilian institution.

Categories of records in the system:

File contains one or more copies of Department of the Army (DA) Form 3838 (Application for Professional Training), letters of recommendation for training, individual's photo, medical school transcripts and any correspondence or other paperwork received or supplied concerning an individual's application for residency, subspecialty or fellowship training.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 401, Section 4301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine eligibility for current and future graduate medical education; to determine level of entry into current and future graduate medical education.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by specialty, by last name of applicant.

Safeguards:

Graduate Medical Education Branch records maintained in suite of offices staffed by responsible personnel. Offices are locked during non-duty hours. Only authorized personnel who are properly cleared have access. The building employs security guards during non-duty hours, on weekends and holidays, and a building pass is required for entry.

Retention and disposal:

Records are retained in active file until individual is selected for training or until 1 year after an individual is not selected for training, provided that individual does not reaffirm his interest for application in the next training cycle. Files on individuals selected for training are transferred to Medical Corps Career Assignment Office, Army Medical Department Personnel Support Agency (SGPE-MC), where they are integrated into the selectee's career branch individual file. Files on individuals not selected for training and not reaffirming application are destroyed.

System manager(s) and address:

Commander, Army Medical Department Personnel Support Agency.

Notification procedure:

Information may be obtained from:
AMEDDPERSA (SGPE-EDG)
Room 7B-014
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5455

Record access procedures:

Requests from individuals should be addressed to: Army Medical Department Personnel Support Agency (SGPE-EDG), Room 7B-014, Forrestal Building, Washington, DC 20314.

Written request for information should contain the full name of the individual, current mailing address and telephone number, current unit of assignment (if on active duty), specialty or specialties and internship training received in United States training facilities. Visits are limited to AMEDDPERSA (SGPE-EDG), Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification; i.e., military identification card or driver's license, and give some verbal information that could be verified with his evaluation reports.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

DA Form 3838, telephone information, interview information, and any written inquiries or general correspondence concerning an individual's application for residency, subspecialty or fellowship training.

Systems exempted from certain provisions of the act:

None

A1013.05aDASG

System name:

1013.05 US Army Graduate Medical Education Trainee Card File

System location:

Graduate Medical Education Branch, Education and Training Division, Army Medical Department Personnel Support Agency (SGPE-EDG), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

All physicians who are receiving, or since 1947 have received, any program of long term graduate medical education under United States (US) Army sponsorship in any Federal facility or civilian institution.

Categories of records in the system:

File contains 3' x 5' index cards with individual's name, rank, social security number and history of US Army sponsored training in Federal training facilities or civilian institutions.

Authority for maintenance of the system:

Title 10 U.S.C., Chapter 410, Section 4301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To verify finishing dates for training when an officer requests release from active duty; to verify length of training when this information is not available in an officer's official military personnel file; to verify type of subspecialty training within basic training specialties; to specify names of individuals who approved training at different levels; to provide input for special projects levied on The Surgeon General by various other Army and Federal agencies; to main- tain a count on the total number of individuals completing training since the US Army Graduate Medical Education Program began in 1947; to maintain information on former inquiries and information provided in response to those inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of trainee.

Safeguards:

Graduate Medical Education Branch records maintained in suite of offices staffed by responsible personnel. Offices are locked during non-duty hours. Only authorized personnel who are properly cleared have access.

Retention and disposal:

Records are permanent. They will be retained in the active file indefinitely as reference material.

System manager(s) and address:

Commander, Army Medical Department Personnel Support Agency.

Notification procedure:

Information may be obtained from:
AMEDDPERSA (SGPE-EDG)
Room 7B-014
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-5455

Record access procedures:

Requests from individuals should be addressed to: Army Medical Department Personnel Support Agency (SGPE-EDG), Room 7B-014, Forrestal Building, Washington, DC 20314.

Written request for information should contain the full name of the individual, current mailing address and telephone number, current unit of assignment (if on active duty), specialty or specialties and internship training received in US training facilities or under US Army sponsorship in civilian facilities. Visits are limited to AMEDDPERSA (SGPE-EDG), Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification; i.e., military identification card or driver's license, and give some verbal information that could be verified with his evaluation reports.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Department of the Army (DA) Form 3838 (Application for Professional Training), telephone inquiries, in person inquiries, or written inquiries and general correspondence concerning an individual's graduate medical education.

Systems exempted from certain provisions of the act:

None

A1014.06aDAAG

System name:

1014.06 College Equivalency Evaluation

System location:

The Adjutant General Center (Department of the Army (DA), Education Directorate);
Military Personnel Center (Department of the Army, AG-Personnel Records Division).

Categories of individuals covered by the system:

Army service member who might request that Education Services Officer evaluate his transcripts in pursuance of the College Equivalency Certificate or higher education.

Categories of records in the system:

Files contain individual's application for Department of the Army Two-Year College Equivalency Certificates. The processing paper will include substantiating documents, such as college transcripts, certificates from academic and vocational-technical schools, certificates from military training courses, letters of academic evaluation and acceptance from colleges and universities. Certificates of correspondence study and DANTES (Defense Activity for Non-Traditional Education Support) test results reporting forms.

Authority for maintenance of the system:

Title 4 U.S.C., 'Enlisted Members of Army - Schools.'
PL 91-219; PL 92-540-Predischarge Education Program.
The Annual Appropriations Act - Tuition Assistance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Two-Year Equivalency is used by Commissioned Officers in their application for regular Army appointment and by Noncommissioned Officers in achieving recognition of two years of college credit.

DA Two-Year Equivalency is used in rates promoting professional development in table(s) of organization and equipment (TOE) units which are heavily committed to field duty and training.

The letter of request, including inclosures, and a copy of the approved DA Certification will be included in the applicant's official file that is maintained by the United States (US) Army Military Personnel Center (USAMILPERCEN).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in area accessible only to authorized personnel that are properly screened, cleared and trained. File cabinet is kept locked during non-duty hours.

Retention and disposal:

Records are permanent. They are held in active file until individual is discharged, separated or retired by the USAMILPERCEN.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Individuals on active duty should contact their installation Education Services Officer (ESO) or Department of the Army Civilian Education Counselor.

Information may be obtained from:
HQDA (DAAG-EDG)
Rm 5A109
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-7748

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAAG-EDG), Room 5A109, Forrestal Building, Washington DC 20314

Contesting record procedures:

The Army's rules for access to the records and for contesting contents and appeals by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The DA Two-Year Equivalency is originated at the Army Education Center of the individual concerned.

Systems exempted from certain provisions of the act:

None

A1014.07aDAAG

System name:

1014.07 Enrollment Application Files

System location:

Army installations having a troop strength of 750 or more will maintain at least one Army Education Center or subcenter.

Isolated units, and off post activities will be satellited for educational services upon the nearest installation having an Army Education Center where the forms are kept.

Categories of individuals covered by the system:

Each service member who participates in the general education development (GED) program, enrolls in an educational institution and requests government assistance, will complete Tuition Assistance Form.

Categories of records in the system:

Department of the Army (DA) Form 2171 - Request for Tuition Assistance is the major record for individual use of appropriate funds for up to 75

government assistance to attend off-duty classes conducted by accredited civilian educational institutions.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4302, 'Enlisted Members of Army - Schools'.

PL 91-219; PL-540 - Predischarge Education Program
The Annual Appropriations Act - Tuition Assistance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This form is designed to be of functional value to the Army and the individual military student by providing information for effective career counseling, and for requesting government financial assistance.

Professionally qualified Department of the Army Civilian (DAC) counselors will provide academic, military-related, vocational-technical services to each military person for purposes of assisting them in completing career objectives.

Copies will be provided to educational institution, contracting officer, Officer Personnel Directorate, and local personnel office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file cabinets within the Army Education Centers.
File folders are retained 2 years and retired.
Files handled only by authorized personnel prescribed in Army Regulation 604-20.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Army Education Centers are kept locked during non-duty hours. Records maintained in areas accessible only to authorized Army and DAC personnel that are properly screened, cleared and trained.

Retention and disposal:

They are retained in active file until end of fiscal year, held 1 additional year in inactive file and subsequently retired.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Individuals on active duty should contact their installation Education Services Officer or his designated representative.

Record access procedures:

Written requests for information should contain the full name of the individual, current address, telephone number, and the social security or Army service number.

For personal requests, individual must present his official identification card or some acceptable identification; such as, driver's license.

Contesting record procedures:

The Army's rules for access to the records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The DA Form 2171 is originated at the Army Education Center servicing the individual concerned.

Systems exempted from certain provisions of the act:

None

A1014.07bDAPE

System name:

1014.07 Correspondence School Basic Data File

System location:

Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Categories of individuals covered by the system:

All authorized enrollees in the Industrial College Correspondence School.

Categories of records in the system:

File contains social security number (SSN), name, address, military/civilian component, rank or grade, date of enrollment for all students enrolled in the course.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Nonresident Instruction, miscellaneous communications with enrollees regarding progress through course of instruction; miscellaneous management level reports to reflect composition of student body.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Sequenced by SSN.

Safeguards:

File information available only to trained and authorized Industrial College personnel.

Retention and disposal:

Records are permanent. Records are retained in active portion of file during student's enrollment in course, at which time records are retired to historic portion of file.

System manager(s) and address:

Head of the Department of Nonresident Instruction, Industrial College of the Armed Forces, Ft McNair, Washington, DC 20319.

Notification procedure:

Information may be obtained from:
Head, Department of Nonresident Instruction
Industrial College of the Armed Forces
Ft McNair
Washington, DC 20319
Telephone: Area Code 202/693-8672

Record access procedures:

Requests from enrollees should be addressed to the above address. Written requests for information should contain full name of the requester, current, SSN and date of enrollment and/or graduation.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Application for enrollment from individual, and related documents.

Systems exempted from certain provisions of the act:

None

A1014.08aDAAG

System name:

1014.08 General Educational Development (GED) Individual Record.

System location:

Army installations having a troop strength of 750 or more will maintain at least one Army Education Center or subcenter where the GED individual records are stored.

Small posts, isolated units, and off-post activities will be satellited for educational services upon the nearest installation having an Army Education Center where the forms are stored.

Categories of individuals covered by the system:

Each service member who participates in the Army GED program will have his progress recorded on the GED Individual Record.

Categories of records in the system:

Department of the Army (DA) Form 669 (GED Individual Record) is the major record of counseling and educational progress of the individual's academic and vocational-technical achievements.

Aptitude area scores; Military Occupational Specialty (MOS) codes and titles; transcripts; certificates from civilian academic and vocational-technical institutions, government agencies, national labor organizations; and other pertinent educational and counseling information will be entered on the DA Form 669.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4302, 'Enlisted Members of Army - Schools.'

Pub. L. 91-219; Pub. L. 92-540 - Predischarge Education Program. The Annual Appropriations Act - Tuition Assistance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This record is designed to be of functional value to the Army and the individual military student by providing information for effective career counseling.

Professionally qualified, full-time Department of Army civilian counselor personnel will provide academic, military-related, vocational-technical, testing, interpretive, and referral services to each military person for purposes of assisting them in establishing career objectives.

This information will be recorded on the DA Form 669 for future reference to be used by the individual and other Army counseling personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file cabinets within the Army Education Centers.

Transferred during Permanent Change of Station (PCS) moves via the Military Personnel Records Jacket, United States Army (DA Form 201) and handled only by authorized personnel.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Army Education Centers are kept locked during non-duty hours. Records maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Information retained on the DA Form 669 may not be released to non-governmental agencies or individuals without the consent of the individual concerned.

Retention and disposal:

Upon discharge, separation, or retirement, this record will be given to the individual during final counseling.

The DA Form 669 will be destroyed if the service member dies while on active duty.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Individuals on active duty should contact their installation Education Services Officer (ESO) or Education Counselor.

Record access procedures:

Active duty personnel may obtain their academic, vocational-technical, test results and counseling information recorded on the DA Form 669 by contacting their ESO.

Individual must present official identification card prior to receipt of DA Form 669 from the ESO or DAC counselor.

Contesting record procedures:

The Agency's rules for access to the records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The DA Form 669 is originated at the Army Education Center of the individual concerned.

Transcripts, grades, test results, certificates and counseling information from: service schools; servicing military personnel offices; civilian academic and vocational-technical institutions; proprietory institutions; professional testing centers/associations; accrediting associations (educational-national, state and local); foreign academic and vocational-technical schools/institutions; national, state and local trade/labor unions/organizations; government agencies; counseling information from DAC personnel, ESO, Service School personnel, college/university registrars and instructors.

Systems exempted from certain provisions of the act:

None

A1014.08bDAAG

System name:

1014.08 GED Reference Papers/Participation Education Program

System location:

Primary System: Army Education element at installations having an education program. Official mailing addresses are in the organizational directory in the Appendix to these system notices. Decentralized Segments: Separate elements within the commander's area of responsibility.

Categories of individuals covered by the system:

Active duty military personnel who have participated in the General Educational Development (GED) Program.

Categories of records in the system:

Listing contains name, grade, social security number (SSN), military address, GT score, education level, type of parti- cipation, date and Education Branch activity initiating the participation.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, 'Secretary of the Army: Powers and Duties; delegation by.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Education Branch to derive data for Education Services reports required by Army Regulation (AR) 621-5 and to derive management data on program effectiveness.

Purpose of decentralized system is to inform commanders of Education Program participation by members of their units.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts in binders or paper records in file folders.

Retrievability:

Filed by military address, type of participation and name and SSN of participant.

Individual records are retrieved by use of name or SSN.

Safeguards:

Records are maintained in an area accessible to authorized and trained personnel only. They are maintained in locked cabinets, safes or vaults when not in use.

Retention and disposal:

Records are destroyed when superseded, obsolete or no longer needed for reference.

System manager(s) and address:

Education Services Officer or Education Officer at installations having an Education Program.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, and any other personal identifying data which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'CASE' folder.

Record access procedures:

Written requests should contain the name, SSN, date of participation, military address at time of participation in the Education Program.

Personal visits are limited to the Administrative Office of the Education Branch. Individuals should be able to provide identification and give some verbal verification of the informa- tion in file folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Data are derived from information provided by service member during active duty and from educational institutions where courses have been completed.

Systems exempted from certain provisions of the act:

None

A1014.08cDAAG

System name:

1014.08 College Transcript Registry System

System location:

Primary System: American College Testing Program (ACT), PO Box 168, Iowa City, IA 52240.

Decentralized Segments: Education Directorate, The Adjutant General Center (TAGCEN), Forrestal Building, Washington, DC 20314; Army Education Center, Ft Eustis, VA 23604; and Army Education Center, Ft Polk, LA 71459.

Categories of individuals covered by the system:

All military personnel assigned or attached to Fts Eustis and Polk who have participated in the Army Continuing Education System and who have attended Army service schools.

Categories of records in the system:

Records include Education Services Officer File, Course/Test File, Soldier File, Confirmation Rosters - Courses, Confirmation Rosters - Tests, separation lists, and correspondence or documents containing similar or related information.

The Soldier File contains the following information: name, social security number (SSN), date of birth, racial/ethnic data (optional), sex (optional), pay grade, unit number, primary and secondary military occupational specialties, and record of each course or test the individual has taken -- in the form of course/test number, test scores, and education services officer identification code.

Separation lists contain home addresses.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the system is to provide a transcript, properly authenticated and endorsed by an independent agency recognized by the academic institutions, to the individual or to academic institutions, or other agencies designated by the affected member to allow advanced placement of the individual in an educational program, which precludes a retake of basic college courses; for verification of training and experiences recognized by the civilian labor market; and to conduct research.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and drums at ACT and TAGCEN.

Paper records in file folders, cards in card files, and computer printouts may be filed at any/all locations participating in the system.

Retrievability:

Records are retrieved by SSN and name or by one, or a combination of, data elements contained in the system.

Safeguards:

At ACT the physical security of the registry data is guarded in a variety of ways. Data are collected and distributed via first class

mail. The data-collection forms are retained in security containers for a year after the data have been entered into the system. All programs and data files are kept in a secure environment, which includes closed-circuit video monitoring, the use of identification cards and passes, with restricted areas (such as the tape library) open only to certain employees. The building also includes fire detection and suppression equipment.

At other locations buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Data-collection forms and related correspondence are destroyed 1 year after data are transferred to the register. The individual record will be dropped from the active register when there are too few event segments (records of courses/tests taken) for an individual in any given quarter or the individual is separated from the Army. No data for persons with too few event segments will be kept. Data on separated individuals will be stored on an inactive register, retained at ACT for 3 years, transferred to TAGCEN, held for 10 years and destroyed. (This retention period is subject to approval by the National Archives and Records Service.)

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
HQDA (DAAG-ED)
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-7748

Record access procedures:

Transcript requests from individuals should be addressed to Education Services Officer at Ft Eustis or Ft Polk, as applicable.

Written requests for information should contain the full name of the individual, SSN, current address, and telephone number.

Visits are permitted to the Education Directorate, TAGCEN (DAAG-ED), Forrestal Building, Washington, DC 20314 and at the Army Education Centers at posts where data are maintained.

For personal visits, the individual should be able to give sufficient identification, i.e., military identification card, driver's license, and give some verbal information that could be verified with his/her records.

Contesting record procedures:

The Army's rules for access to records and for contesting contests and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Completed forms from individuals, forms from Education Services Officers at Fts Eustis and Polk which include: Department of the Army (DA) Form 4540, Apprenticeship Application; DA Form 1821, Army Continuing Education System; DA Form 669, Educational Development Record; DA Form 2171, Request for Tuition Assistance; and VA Form 22-1990, Request for Educational Assistance; United States Army Military Personnel Center (MILPERCEN) Officer Master Files (OMF) and Enlisted Master Files (EMF).

Systems exempted from certain provisions of the act:

None.

A1014.10aDAAG

System name:

1014.10 Army Apprenticeship Program Participation Files

System location:

Primary System: Education Directorate, The Adjutant General Center, Forrestal Building, Room 5A109, Washington, DC 20314.

Decentralized Segments: Servicing Army Education Centers at posts, camps, and stations, Army-wide.

Categories of individuals covered by the system:

Any soldier who applies for enrollment in an Army Apprenticeship Program registered by the Bureau of Apprenticeship and Training, Department of Labor.

Categories of records in the system:

File contains following information on Army Apprenticeship Program participants: (1) name, (2) social security number (SSN), (3) education services officer identification code, (4) Dictionary of Occupational Titles Code, (5) military occupational specialty code, (6) apprenticeship program registration number, (7) home of record, (8) participant progress data, (9) birth date, (10) educational data, (11) veterans status, (12) racial/ethnic data, (13) sex, and (14) correspondence and documents containing similar or related information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of system is to maintain participation/management data on participants in the Army Apprenticeship Program. Data are reported to Department of Labor periodically, and are used by that organization as the basis for registering applicants with that agency and issuance of journeyman certificates upon completion of period of apprenticeship.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files, computer magnetic tapes, and computer paper printouts.

Retrievability:

Information is accessed by SSN.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Records are destroyed 5 years after the individual's termination/completion of apprenticeship training. (This retention period is subject to approval by the National Archives and Records Service.)

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Headquarters, Department of the Army (DAAG-ED)
Room 5A109
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-7748

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAAG-ED), Room 5A109, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full name of the individual, SSN, current address, and telephone number. Visits are permitted at the Education Directorate, The Adjutant General Center (DAAG-ED), Room 5A109, Forrestal Building, Washington, DC 20314, and at Army education centers at posts, camps, and stations where data are maintained.

For personal visits the individual should be able to provide some acceptable identification; i.e., driver's license or some other acceptable identification card, and give some verbal information which can be verified from his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in 32 CFR Part 505 (Army Regulation 340-21).

Record source categories:

Apprenticeship application and periodic progress reports submitted by the individual.

Systems exempted from certain provisions of the act:

None

A1015.01aDAAG

System name:

1015.01 Dependent Children School Program Files

System location:

Active students: Army-operated overseas dependents schools located in oversea areas or in the United States (US) at the following locations: Ft Benning, GA; Ft Bragg, NC; Ft Campbell, KY; Ft Jackson, SC; Ft Knox, KY; Ft McClellan, AL; Ft Rucker, AL; Ft Stewart, GA; US Military Academy, West Point, NY.

Former students: Washington National Records Center (WNRC), Washington, DC 20409.

Categories of individuals covered by the system:

Students in the Army-operated dependents schools located in oversea areas or in the US at installations cited above.

Categories of records in the system:

Enrollment files. Documents relating to the admission, registration, and departure of dependent school students. Included are pupil enrollment applications, course preferences, admission cards, drop cards, and similar or related documents.

Daily attendance register files. Documents reflecting the daily attendance of pupils at dependent schools. Included are forms, printouts, bound registers, and similar or related documents.

Elementary school academic record files. Documents reflecting the standardized achievement, mental ability, yearly grade average, attendance of each student, and the teachers' comments. Included are forms, notes, and similar or related documents.

Elementary school report card files. Documents reflecting grades, personality traits, and promotion or failure. Included are report cards and similar or related documents.

Elementary school teacher class register files. Documents reflecting daily, weekly, semester, or annual scholastic grades and averages, absence and tardiness data.

Elementary school student files. Documents pertaining to individual elementary school students. Included in each folder are reading records and health records; intelligence quotient, achievement, aptitude, and similar test results; notes related to pupil's progress and characteristics; and similar matters used by counselors and successor teachers.

Secondary school absentee files. Documents reflecting absence of students. Included are homeroom teachers' registers, secondary school daily attendance records of absentees reported by teachers, tardy slips for admission of students to classroom, transfer slips notifying teachers of new class or homeroom assignment, notices of change by school principal to teacher upon change of classroom, student applications for permission to be absent, student pass slips, and similar or related documents.

Secondary school academic record files (high school transcript). Documents reflecting student grades, and credits earned. Included are forms, notes, and similar or related documents.

Secondary school report card files. Documents reflecting scholastic grades, personality traits, and promotion or failure. Included are report cards and related documents.

Secondary school teacher class register files. Documents reflecting daily, weekly, semester, or annual scholastic marks and averages, absence and tardiness and withdrawal data. Included are class registers and similar or related documents.

Secondary school class reporting files. Documents reflecting teacher reports to principals and used as source documents for preparing secondary school academic record cards. Included are forms, correspondence, and similar or related documents.

Credit transfer certificate files. Documents reflecting secondary school scholastic credits earned. Included are certificates and similar or related documents.

Secondary school student files. Documents pertaining to individual secondary school students. Included in each folder are student health records, absence reports, and correspondence with parents/guardains pertaining to absence; records of achievement and aptitude tests; notes concerning participation in extracurricular activities, hobbies, and other special interests or activities of the student; and miscellaneous memoranda used by student counselors.

Authority for maintenance of the system:

Title 20 U.S.C., Chapter 25, Army-operated dependents schools located in oversea areas.

Title 20 U.S.C., Sections 236.451, 242.245, Army-operated dependents schools located in the United States; and Pub. L. 93-380.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dependent children school program files (general): Records of students attending the Army-operated dependents schools located in oversea areas are used by school officials, including teachers, to determine the eligibility of children to attend these schools; to schedule children for transportation, to record daily and/or class attendance of students, and date of withdrawal. Records of students attending the Army-operated dependents schools located in the US at installations cited above are used by school officials, including teachers, and authorized representatives of the Secretary of Health, Education and Welfare, to determine eligibility of children to attend these schools, to determine transportation requirements, to record daily and/or class attendance of students, and date of withdrawal. Documents of students attending the Army-operated dependents schools located in the US are used also by officials of Federal and State agencies in connection with a student's application for or receipt of, financial aid in connection with an audit and evaluation of Federally supported education programs, or in connection with the enforcement of the Federal legal requirements which relate to such programs; or by authorized representatives of the Comptroller General of the US, the Secretary of Health, Education and Welfare, or the Secretary of the Army, as authorized by Public Law 93-380 to insure compliance with Part 99 of Title 45 of the Code of Federal Regulations which provides for the privacy rights of parents/guardians and students regarding access to students' school records.

Dependent children school program files (elementary): Used by school officials, including teachers, in the current and/or gaining school to develop and provide an educational program for elementary students by school personnel cited above. Documents are used in the following manner: To record teacher or standardized test data; to record attendance, absences, and/or tardiness of each student; to record recommendations for promotion or retention including teacher comments; to record daily, weekly, semester or annual grades; to develop and maintain reading records, health records, including school related medical needs; to record notes related to the individual pupil's progress and learning characteristics useful to professional school personnel in counseling the student and in the determination of his/her proper placement.

Dependent children school program files (secondary): Used by school officials, including teachers, in the current and/or gaining school to develop and provide an educational program for secondary students. Documents are used by school personnel cited above in the following manner: To record teacher and/or standardized test data; to record attendance, absences, and/or tardiness of each student; to form the basis for a decision on a student request for permission to be absent from a class or classes; to determine proper class or grade placement or graduation; to determine scholastic grades and/or grade point averages; to form the basis for school recommendations for student financial aid for post secondary education; to form the basis for preparing the secondary school transcript; to determine secondary school academic credits earned; to determine school related medical needs of a student; to determine, from correspondence from parents/guardians or medical authorities, the need for special attention in school activities; to note special interest or hobbies of the student.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Elementary school academic record and secondary school academic record (high school transcript) filed alphabetically by school, by school year, and last name of student.

Elementary school teacher class register file and secondary school teacher class register file are filed by school, school year, and by last name of teacher.

Remaining dependent school student files are filed by school, school year, and last name of student.

Safeguards:

Records maintained in files accessible only to authorized personnel.

Retention and disposal:

Enrollment files: Maintained at the respective school for 1 year after graduation, withdrawal, transfer, or death of the student, then destroyed.

Daily attendance register files: Destroyed after reviewing attendance registers for the next school year.

Elementary school academic record files: When a student transfers to another school, this file is forwarded by mail to the parent/guardian or official of the receiving school on request; or destroyed at the school 5 years after graduation, death, or withdrawal of the student.

Elementary school report card files: Released to parents/guardians or student at the end of the school year, or on transfer of student.

Elementary school teacher class register files. Destroyed at the school concerned after 5 years.

Elementary school student files: When a student transfers to another school, the reading record and health record are released to the parents/guardians or student for hand carrying to the receiving school. Remaining documents pertaining to the students are forwarded by mail to the official of the receiving school or the parent/guardian on request; if not requested, documents are destroyed at the school concerned 1 year after graduation, death, or withdrawal of the student.

Secondary school absentee files: Destroyed at the school after 1 year.

Secondary school academic record files (high school transcript): Destroyed after 70 years. When a student transfers to another Department of Defense (DOD) school, this file (transcript) is forwarded by mail to officials of the receiving school on request. When a

student transfers to a non-DOD school, a copy of the transcript is forwarded to the receiving school on request. Files not forwarded are retained at the school concerned for 5 years and then retired to the WNRC, Washington, DC 20409.

Secondary school report card files: Released to parents/guardians or student at the end of the school year, or on transfer of student.

Secondary school teacher class register files: Retained at the school concerned for 5 years and then destroyed.

Secondary school class reporting files: Destroyed at the school after 1 year.

Credit transfer certificate files: Destroyed at the school after 1 year.

Secondary school student files: Retained at the school concerned for 2 years after graduation, death, or withdrawal of the student. Note: When a student transfers to another school, the reading record and health record are released to the parents/guardians or student for hand carrying to the receiving school. Remaining documents pertaining to the student are forwarded by mail to the official of the receiving school or the parent/guardian on request.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from officials of the school concerned or from the WNRC, as appropriate.

Record access procedures:

Written requests for information on the records system and for instructions concerning personal visits may be forwarded to the principal of the Army-operated oversea dependents school, the superintendent of Army-operated dependents school located in the US at installations cited above, or from the WNRC. Written requests should contain the following information: current name, and, if different, the name used during the period inquirer was a student; date of birth; names of schools, locations, and dates of attendance.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application for enrollment and related forms from the student or student's parents/guardians; teachers' comments, correspondence or documents from medical authorities; correspondence from parents/guardians; written requests from parents/guardians, students, or authorized officials to inspect the student's file and determinations thereto; determinations by school officials concerning the student's need for a particular course or educational program; recommendations for awards, commendations or adverse notifications and decisions; notification concerning suspensions, expulsions, or dismissal; parent/guardian or student requests for permission to be tardy or absent; parent's/guardian's permission for student's participation in class field trips, other school related trips, athletic activities, or vocational training outside of the school.

Systems exempted from certain provisions of the act:

None

A1015.06DAAG

System name:

1015.06 School Employee File

System location:

During employment and for 30 days thereafter: individual employee files are maintained at the Army-operated dependents schools in the United States (US) located at Fort (Ft) Benning, GA; Ft Bragg, NC; Ft Campbell, KY; Ft Jackson, SC; Ft Knox, KY; Ft McClellan, AL; Ft Rucker, AL; Ft Stewart, GA; and at the US Military Academy, West Point, NY. Individual records are retired to the National Personnel Records Center 30 days after termination of employment.

Categories of individuals covered by the system:

Employees of the Army-operated dependents schools located at installations cited above. This includes individual records of teaching, administrative, and support personnel.

Categories of records in the system:

Documents pertaining to dependent school civilian employees at locations cited above. Included in each folder are copies of employment applications, personnel action forms, copies of contracts or excerpts therefrom which describe the services to be performed, the time periods involved, the amount of pay, location of employment, appointment affidavits, statements of service, group life and accident insurance election, survivor benefit elections, change of name request, educational transcripts, position assignment notices, promotion/reduction recommendations with approvals/declinations, supervisor evaluations, annual, sick and/or teacher leave records, miscellaneous correspondence, documents, and records concerning dependents, military and other Federal service including service in other Federally funded dependents schools, letters of recommendations, commendations, reprimands, counseling sessions, and conference records.

Authority for maintenance of the system:

Public Law 81-874, Section 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents are used to maintain, collect, and use information with respect to the administration of the individual's Federal service; to document actions which are attributable to the individual's Federal employment and status; to administer pay and other employment policies and regulations as required by Public Law 81-874, the United States Commissioner of Education, and/or respective State Departments of Education. Use is also made of these files by authorized representatives of the Secretary of the Department of Health, Education and Welfare to verify that pay and employment practices in the Army-operated dependents schools are comparable to those of the school districts in the State used for comparability purposes; verification, for salary and retirement purposes, of Federal employment for personnel subsequently employed by public, Federal, or private school systems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Records are maintained in the schools in files accessible only to authorized personnel that are properly screened, cleared, and trained. Records are maintained in the National Personnel Records Center in areas that are properly controlled by authorized personnel.

Retention and disposal:

Records are permanent. They are retained at the dependents schools located at installations cited above until 30 days after termination of service and subsequently retired to the National Personnel Records Center.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington DC, 20310.

Notification procedure:

Information may be obtained from the Superintendent of Schools at the installations listed above. If inquiry is made 30 days after termination of employment, inquiry should be made to the National Personnel Records Center. Written requests should contain the following information: current name, and if different, the name used during the period of Federal employment at the school concerned, date of birth, names of schools, locations, and dates of employment.

Record access procedures:

Written requests for information concerning individual records or for instructions concerning personal visits may be forwarded to the superintendent of schools at the dependent school concerned or, if made 30 days after termination of employment, to the National Personnel Records Center (civilian), 111 Winnebago St., St. Louis, MO 63118. Written requests should contain the following information: current name, and if different, the name used during the period of Federal employment at the school concerned, date of birth, names of schools, locations, and dates of employment.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individual requesting access, notification of personal security clearance from the Defense Investigative Service, appointment affidavits, copies of contracts or excerpts therefrom, personnel action forms, survivor benefit forms, education transcripts, position assignment notices, promotion/reduction recommendations with approvals/declinations, annual, sick, and/or teacher leave records, miscellaneous correspondence, documents, and records concerning prior Federal and non-Federal service provided by the employee or other Federal or non-Federal agencies or offices.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

A1019.03FORSCOM

System name:

1019.03 US Army Marksmanship Unit Data System (AMUDS)

System location:

Primary System: Office Deputy Chief of Staff for Operations (ODCSOPS-TAT), Headquarters, United States Army Forces Command (FORSCOM), Ft. McPherson, GA 30330.

Decentralized Segments: Headquarters, United States (US) Army Marksmanship Unit, Ft. Benning, GA 31905 and US Army Marksmanship Training Units at the following locations: Ft. Meade, MD 20755; Ft. Riley, KS 66442; and Ft. Ord, CA 93941.

Categories of individuals covered by the system:

All US Army active duty personnel who compete in FORSCOM regional or US Army Shooting Championships, Interservice Shooting Championships or National Rifle Association (NRA) National Shooting Championships.

Categories of records in the system:

File contains name, social security number (SSN), information concerning shooting classifications, levels of participation in competition, scores fired in such competitions, primary military occupational specialty (PMOS), estimated termination of service (ETS), date of estimated return from overseas (DEROS) or date of return from overseas (DROS), last unit address, phone numbers, and assignment preferences.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; US Army Forces Command (FORSCOM)/US Army Training and Doctrine Command (TRADOC) Supplement 1 to Army Regulation (AR) 350-6, 'Army-wide Small Arms Competitive Marksmanship.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To monitor the competition status of marksmanship qualified personnel throughout the Army and coordinate the assignment of qualified officers and noncommissioned officers to FORSCOM Marksmanship Units.

To facilitate ranking by demonstrated competitive shooting ability, locating (if not competing in all Army Championships), and attachment, if appropriate, to the US Army Marksmanship Unit for support of the National Trophy Group in the National Matches or for support in the US Army efforts to place individuals on US International Teams.

To assist installation commanders in identifying qualified personnel within their commands to conduct marksmanship programs.

To verify competitive marksmanship qualifications of any individual for Army Marksmanship Unit managers on whose area of responsibility that individual's qualification would have an impact.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes and disks at ODCSOPS-TAT.

Paper records in file folders may be filed at any of the locations participating in the system.

Retrievability:

Alphabetically by last name of individual and by SSN.

Safeguards:

At ODCSOPS-TAT, Headquarters, FORSCOM, the computer software is secured in a combination locked area restricted to authorized personnel. Access is limited to personnel actually involved in daily computer operations. Visitors are registered and escorted while in the area. Paper records maintained elsewhere are maintained in locked file cabinets accessible only to US Army Marksmanship Unit coaches and managers of FORSCOM Marksmanship Unit teams. Buildings are locked during non-duty hours with a charge of quarters in attendance.

Retention and disposal:

ODCSOPS-TAT, Headquarters, FORSCOM: Paper records containing the individual data and competitive marksmanship results are destroyed upon transposition of information to computer tapes and disks. Information pertaining to an individual is automatically purged from the computer file 4 years after the last competition entry. Identifying and locating information is updated annually.

US Army Marksmanship Units: Computer printouts are destroyed upon receipt of updated ones.

(This retention period is subject to approval by the National Archives and Records Service.)

System manager(s) and address:

Deputy Chief of Staff for Operations (ODCSOPS-TAT), Headquarters, US Army Forces Command, Ft. McPherson, GA 30330; Commander, US Army Marksmanship Unit, Ft. Benning, GA 31905.

Notification procedure:

Information may be obtained from:
Commander
US Army Forces Command
ATTN: AFOP-TAT
Ft. McPherson, GA 30330
Telephone: Area Code 404/752-3908
or
Commander
US Army Marksmanship Unit
ATTN: S-3
Ft. Benning, GA 31905
Telephone: Area Code 404/545-7174

Record access procedures:

Requests from individuals should be addressed to: Commander, FORSCOM, ATTN: AFOP-TAT, Ft. McPherson, GA 30330 or to: Commander, US Army Marksmanship Unit, ATTN: S-3, Ft. Benning, GA 31905.

Written requests for information should contain the full name and SSN of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification; e.g., Armed Forces Identification Card, driver's license, etc.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Locally designed forms completed by individuals on whom data is recorded and official match bulletins.

Systems exempted from certain provisions of the act:

None.

A1101.07aDAMO

System name:

1101.07 Telephone Directories

System location:

Maintained by any distinct, independent Army telephone system at organizations listed in the Department of Defense Directory in the Appendix to the Department of the Army system notices.

Categories of individuals covered by the system:

Military personnel and civilian employees and in some instances their dependents.

Categories of records in the system:

Listing contains individual's name, home address and telephone number, duty address and telephone number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide users and operators with telephone numbers for each assigned military or civilian employee.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Books or booklets.

Retrievability:

Filed alphabetically by last name.

Safeguards:

When the individual has given prior consent for release, data such as quarters telephone numbers are available to the general public. When consent is not given the information is not listed.

Retention and disposal:

Individual telephone directories are periodically updated and old editions destroyed.

V 44 DE 17 79 UMI

System manager(s) and address:

Commanders/supervisor of organization maintaining telephone directory.

Notification procedure:

Information may be obtained by inspection of publicly available telephone directories. Information may also be obtained from telephone operators and the SYSMANAGER.

Record access procedures:

Available to the public.

Contesting record procedures:

The Army's rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained directly from the individual concerned.

Systems exempted from certain provisions of the act:

None

A1101.08aUSACC

System name:

1101.08 Operation of Private Radio Station/Citizen Band Radio

System location:

Office of the Director of Telecommunications, Continental United States (US) and Overses Commander, State Adjutant General, Army Reserve Center and Reserve Officers Training Corps (ROTC) Instructor Groups.

Categories of individuals covered by the system:

Military and civilian personnel maintaining and operating a private radio station and/or citizen band radio on a military installation or other real estate under the direct control of the Department of the Army. This includes US Army Reserve Centers, ROTC Instructor Groups and National Guard Armories.

Categories of records in the system:

File contains name of individual, type of equipment, location, telephone number, Federal Communications Commission (FCC) call sign, frequencies, and type of operation.

Authority for maintenance of the system:

Chapter 652 48 Statute 1064.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to insure that frequencies in use are properly allocated to users; to determine if radio frequencies in use will interfere with any other frequency devices in the area. May also be used in emergencies to determine if the equipment may be used for emergency communications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By authorization number and/or name.

Safeguards:

Files are maintained in building with access by authorized personnel only.

Retention and disposal:

Files are destroyed on notification that operation of a private radio station and/or citizen band radio has been discontinued.

System manager(s) and address:

Commanding General, US Army Communications Command, Ft Huachuca, AZ 85613.

Notification procedure:

Information may be obtained from:

Director of Telecommunications, Active Army installations or oversea commander for Department of the Army personnel, State Adjutant General for National Guard personnel, Commander of the Reserve Training Center or Professor of Military Science (PMS) of ROTC unit for personnel assigned.

Record access procedures:

Requests for information should be addressed to the individual under Notification, giving name and authorization number.

Personal visits to office maintaining records require identification.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Local form completed by individual.

Systems exempted from certain provisions of the act:

None

A1106.04USACC

System name:

1106.04 MARS Member Files

System location:

Primary System: Chief, Army Military Affiliate Radio System (MARS), Operations Division, Deputy Chief of Staff Operations, Headquarters (HQ), United States (US) Army Communications Command (USACC), Ft Huachuca, AZ 85613.

Decentralized Segments: 5th Signal Command, HQ USACC-Continental United States (CONUS) CONUS area MARS Directors, 8th US Army and subordinate elements of 6th Signal Command.

Categories of individuals covered by the system:

Any military or civilian Federal Communications Commission licensed amateur radio operator whose application for Army MARS membership has been approved.

Categories of records in the system:

File contains Army MARS individual's name, Federal Communications Commission call sign, Army MARS call sign, expiration of FCC Amateur operator's license, home address.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For issuance of Army MARS Station licenses, mailing of Technical Directives and Quarterly Army MARS Bulletin.

Area and command MARS directors utilize their files to control Army MARS membership, mailing of information and periodicals to Army MARS members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3'x5' cards.

Retrievability:

Filed alphabetically by last name by state.

Safeguards:

Building employs security guards. Cards are maintained only by authorized personnel.

Retention and disposal:

Cards are destroyed when individual leaves Army MARS Program.

Area and command MARS Directors maintain a file folder on all active Army MARS members. When a member leaves the Army MARS Program the file is placed in an inactive file. Destroyed after 3 years.

System manager(s) and address:

Commander, US Army Communications Command, Ft Huachuca, Arizona 85613.

Each area and command MARS directors.

Notification procedure:

Information may be obtained from:

Commander, HQ USACC, ATTN: CC-OPS-OM, Ft Huachuca, AZ 85613.
Commander, HQ USACC-CONUS, ATTN: CCN-PO-MARS, Ft Ritchie, MD 21719.
Commander, HQ 5th Sig Comd, ATTN: CCE-OPS, APO NY 09056.
USA Communications Command Agency, Eastern Area MARS Director, ATTN: CCNA-MDE, Ft Meade, MD 20755.
USA Communications Command Agency, Southeastern Area MARS Director, ATTN: CCNA-MCP-AMD, Ft McPherson, GA 30330.
US Army Communications Command Agency, Central Area MARS Director, ATTN: CCNA-SHN-AX, Ft Sam Houston, TX 78234.
US Army Communications Command Agency, Western Area MARS Director, ATTN: CCNA-PSF, Presidio of San Francisco, CA 94129.
Commander, 8th Army, ATTN: SJOF, APO San Francisco 96301.

Record access procedures:

Written requests with name and call sign for information should be addressed to the offices in preceding paragraph.

Personal visits to offices maintaining information records require identification.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information in files in provided by individual Army MARS members.

Systems exempted from certain provisions of the act:

None

A1107.17DAMO

System name:

1107.17 Photographer Identification Files

System location:

Army commands and installations.

Categories of individuals covered by the system:

Any citizen who applies for access to unclassified files.

Categories of records in the system:

Files contain photographer's identification, permit number, and related documents used to record the issue.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain control of personnel authorized to photograph activities at military installations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by permit number and individual's name.

Safeguards:

Local installation security system. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Destroy on expiration or transfer of individual concerned.

System manager(s) and address:

Commander of installation or organization issuing photographers permits.

Notification procedure:

Information may be obtained from the installation or organization issuing photographic permits.

Record access procedures:

Requests from individuals should be addressed to the commander of the installation or organization where the photographer's permit was issued.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations may be obtained from the commanders of major commands responsible for subordinate commands where the photographer's permit was issued.

Record source categories:

Application and related forms from the individual requesting access for unclassified information.

Systems exempted from certain provisions of the act:

None

A1107.20aDAMO

System name:

1107.20 Photographic Caption Files

System location:

Installation or organization photographic facilities.

United States (US) Army Audio-Visual Activity, RM 5A474, The Pentagon, Washington, DC 20310.

US Army Training Support Activity, Training Materiel Support Division, Tobyhanna Army Depot, Tobyhanna, PA 18466.

Categories of individuals covered by the system:

Military and civilian personnel who have had photographs taken in line of duty; Department of Defense (DOD) personnel; general officers; recipients of military and civilian awards; congressmen and other prominent civilians who visit dignitaries in DOD and military installations.

Categories of records in the system:

Files contain copies of captions or other descriptive material identifying exposures submitted to the photographic facility by the photographer and maintained as a caption file.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to identify who, where, what, when, how, and why content of photography and reproduce caption information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file drawer or file cabinet.

Retrievability:

Filed by negative (picture) identification number.

Safeguards:

Installation or organization security system. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Installation and organizational photographic facilities destroy temporary record materials within 2 years.

The US Army Audio-Visual Activity, US Army Military District of Washington, retains permanent record still photographic records until inactive. Records are subsequently accessioned by the National Archives and Records Service, GSA.

The US Army Training Support Activity, Training Materiel Support Division, Tobyhanna Army Depot, Tobyhanna, PA 18466, retains permanent record motion picture and video recording records for 10 years and subsequently offers them to the National Archives and Records Service, GSA.

System manager(s) and address:

Local Files: Commanders of installation or organizational photographic facilities.

Permanent record still photography: Commander, US Army Audio-Visual Activity, US Army Military District of Washington, Wash, DC 20310.

Permanent record motion picture and video recording: Commander, US Army Training Support Activity, Training Materiel Support Division, Tobyhanna Army Depot, Tobyhanna, PA 18466.

Notification procedure:

Information may be obtained from:

Commanders of installation or organizational photographic facilities.
Commander, US Army Audio-Visual Activity, US Army Military District of Washington, DC 20310.
Commander, US Army Training Support Activity, Training Materiel Support Division, Tobyhanna Army Depot, Tobyhanna, PA 18466.

Record access procedures:

Requests from individuals should be addressed to:

Commanders of installation or organizational photographic facilities.
Commander, US Army Audio-Visual Activity, US Army Military District of Washington, Washington, DC 20310.
Commander, US Army Training Support Activity, Training Materiel Support Division, Tobyhanna Army Depot, Tobyhanna, PA 18466.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations may be obtained from:

Local records: Commanders of installations and organization responsible for the photographic facility concerned.
Permanent record still photography: Commander, US Army Military District of Washington, Ft McNair, Wash, DC 20310.
Permanent record motion picture and video recordings: Commander, US Army Training and Doctrine Command, Ft Monroe, VA 23651.

Record source categories:

Application and related forms from the individual requesting access: Notification of personal (security) clearance from the Defense

Investigative Service; correspondence originating in Department of Army staff agencies and commands, and other federal agencies.

Systems exempted from certain provisions of the act:

None

A1107.21aDAMO

System name:

1107.21 Still Picture Files (Personalities/Categories)

System location:

Installation or organizational photographic facilities.

United States (US) Army Audio-Visual Activity, RM 5A474, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Military and civilian personnel who have had photographs taken in line of duty; Department of Defense (DOD) personnel; general officers; recipients of military and civilian awards; congressmen and other prominent civilians who visit dignitaries in DOD and and military installations.

Categories of records in the system:

Files contain original and/or duplicate negatives and copies of still photographs produced and maintained by photographic facilities.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Installation or organizational photographic facilities: Used to retrieve original photographic materials used for reproduction.

US Army Audio-Visual Activity, US Army Military District of Washington, Washington, DC 20310: Official military use in publications, briefings, reports, displays by Army and other Defense organizations: public and command informational use by military public affairs offices; sales to news, and publishing media and the public; eventual forwarding to the National Archives and Records Service, General Services Administration (GSA).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Photographic paper and film in file drawer or file cabinet.

Photographs on microfilm storage racks and in file containers.

Retrievability:

Filed by name, subject, place and identification number.

Safeguards:

Photographic paper and film in file drawers, file cabinets, and on storage racks.

US Army Audio-Visual Activity: Building employs security guards and controls access. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Installation or organizational photographic facilities: Destroy temporary record material within 2 years.

The US Army Audio-Visual Activity, US Army Military District of Washington, Washington, DC 20310: Retains permanent still picture files and subsequently forwards them to the National Archives and Records Services, GSA when no longer active.

System manager(s) and address:

Commander, US Army Audio-Visual Activity, US Army Military District of Washington, Washington, DC 20310.

Notification procedure:

Information and photographs may be obtained from US Army Audio-Visual Activity, Still Photographic Library, Rm 5A474, The Pentagon, Washington, DC 20310. Photographs may be purchased from the same address. For personal visits, individuals should write above address or call Area Code 202/OX5-6990 between 0800 and 1600 hours.

Record access procedures:

Requests from individuals should be addressed to:

Commander, US Army Audio-Visual Activity, Headquarters, US Army Military District of Washington, Washington, DC 20310.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from:

Commander, US Army Audio-Visual Activity, Rm 5A474, The Pentagon, Washington, DC 20310.

Record source categories:

Individuals concerned, Army events and projects.

Systems exempted from certain provisions of the act:

None

A1108.05aDAAG

System name:

1108.05 Postal Personnel Designation Files

System location:

All segments are maintained in unit mailrooms, consolidated mailrooms, servicing Army Post Offices (APO) overseas, and continental United States (CONUS) postal sections. See installation mailing addresses in the Department of Defense directory in the Appendix to the components system notice.

One copy is provided the individual concerned.

Categories of individuals covered by the system:

Those personnel appointed to Unit Postal Officer and Unit Mail Clerk duties.

Categories of records in the system:

File contains information pertaining to specific appointments of personnel to Unit Postal Officer and Unit Mail Clerk duties such as name, rank or grade, social security number (SSN) and organization or activity of appointee; and title of position, effective date and date of revocation, and mail authorized to receive.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Unit/organization commander, First Sergeant, Postal Officer, and individual concerned: To identify personnel in the organization authorized to handle/process personal and official mail.

Military and civil postal personnel tendering mail to individuals concerned: To identify and verify authorizations of unit personnel to pick-up and receipt for mail for the particular unit.

Military and civil postal inspectors: To ensure that files are being maintained in the manner prescribed by Army Regulation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card stock in file folders.

Retrievability:

Retrieved by name of appointee.

Safeguards:

Records accessible only to authorized personnel. Building employs security guards.

Retention and disposal:

Files are destroyed 2 years after revocation of specific appointments.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Unit Commanders and Postal Officers of the appropriate mail handling facilities.

Record access procedures:

Written requests should contain the full name, rank or grade, SSN, and current address of the requesting individual; and the time period during which he was assigned to duty as Unit Postal Officer or mail clerk.

For personal visits, the individual should be able to provide some acceptable identification (e.g., driver's license, employee identification card).

Contesting record procedures:

Actions contesting the contents of these files must be addressed to the appropriate unit commander/postal officer.

Record source categories:

Individuals concerned and appropriate unit commanders and postal officers.

Systems exempted from certain provisions of the act:

None

A1108.16aDAAG

System name:

1108.16 Postal Directory Files

System location:

Segments are maintained at each Army postal facility responsible for delivering mail to individual addressees, e.g., unit, company, and battalion etc., postal facilities, and Army Post Offices (APO) overseas. Duplicate directories may be maintained at higher echelon mailrooms where needed to route mail for replacements assigned to subordinate units. See installation mailing addresses in the Department of Defense Directory in the Appendix to the components system notice.

Categories of individuals covered by the system:

All personnel assigned or attached to an Army unit and those personnel who departed the unit within the past year.

Categories of records in the system:

File contains information necessary for proper mail delivery to those personnel serviced by the individual postal facilities and for forwarding of mail to departees.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individual concerned and Department of the Army military and civilian personnel performing mail handling functions: To ensure that mail is routed/forwarded to addressee in the most efficient manner possible.

Commanders, Postal Officers and military and civil postal inspectors: To ensure that files are being maintained in the manner prescribed by Army Regulation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card stock maintained in a card file.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records accessible only to authorized personnel. Buildings employ security guards.

Retention and disposal:

Records are withdrawn and destroyed 1 year after transfer, departure or separation of the related individual except that cards on trainees at Army training facilities, patients at hospitals, and students at service schools are withdrawn and destroyed 6 months after departure.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Army mail clerks at the appropriate mail handling facilities.

Record access procedures:

Written requests should contain the full name, rank or grade, social security number, and current address of the requesting individual, and the date of his departure from the organization concerned.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license, military identification card, etc.

Contesting record procedures:

Individual concerned should notify Army mail clerks at appropriate mail handling facilities of changes required.

Record source categories:

Individuals concerned; postal officers or postmasters of previous servicing Army Post Offices (APO) or installations, postal officers or postmasters of new servicing APO or installations; oversea commands or area/central postal directories; unit postal officers of losing units; unit postal officers of gaining units; and commanders of individuals concerned.

Systems exempted from certain provisions of the act:

None

A1108.18DAAG

System name:

1108.18 Standing Delivery Order Files

System location:

Segments are maintained at Army Postal Facilities responsible for delivering mail to individual addresses. See installation mailing addresses in the Department of Defense Directory in the Appendix to the components system notice.

Categories of individuals covered by the system:

All personnel authorized use of the Army Postal Service who appoint an agent to pick up and receipt for their mail and all agents so appointed.

Categories of records in the system:

File contains designations of/authority for agents to pick up and receipt for mail for specific individuals.

Authority for maintenance of the system:

Title 44 U.S.C., Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel designating an agent to pick up their mail and Department of the Army military and civilian personnel performing mail handling functions to ensure that mail is delivered only to duly appointed agents.

Commanders, Postal Officers and military and civil postal inspectors: To ensure that files are being maintained in the manner prescribed by Army Regulation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card or paper stock maintained in card file or file folder.

Retrievability:

Filed alphabetically by last name of the individual appointing an agent.

Safeguards:

Records accessible only to authorized personnel. Building employs security guards.

Retention and disposal:

File are destroyed 3 years after revocation of appointment.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from Army Postal Officers at the appropriate mail handling facilities.

Record access procedures:

Written requests should contain the full name, rank or grade, social security number and current address of requesting individual. Those persons appointed to agent status must include the full name of the individual represented.

For personal visits, the individual should be able to provide some acceptable identification.

Contesting record procedures:

Individual concerned should notify Army Postal Officer at appropriate mail handling facilities of changes required.

Record source categories:

Individuals appointing an agent to pick up and receipt for mail and those persons so appointed.

Systems exempted from certain provisions of the act:

None

A1111.01aDAPC

System name:

1111.01 Individual Flight Record File

System location:

Primary System: US Army Agency for Aviation Safety, Ft Rucker, AL 36360.

Decentralized Seqments: Each command/or organization/element of the United States (US) Army in which an aviator pilot, aircraft observer, technical observer, flight engineer, crew chief, aircraft mechanic, flight surgeon, flight medical attendant, aerial photographer, and gunner is assigned.

Categories of individuals covered by the system:

US Army personnel on flying status; US Army personnel on flying status who are prohibited from participating in aerial flights; US Army personnel on flying status who are prohibited by statute from participating in aerial flight; foreign students; flight crews, observers, technicians, flight medical personnel, photographers, gunners, and mechanics; National Guard aviators; US Army Reserve aviators.

Categories of records in the system:

File contains individual flight record and flight certificate (Department of the Army (DA) Form 759 and DA Form 759-1); medical clearance for flying; physical examination; documentation of medical

suspensioned/restrictions/waivers; orders relating to flying status, aeronautical designation, instructor, instructor standardization, suspension nonmedical; records, forms, papers relating to the issue, renewal, invalidation of instrument qualification; documents relating to orientation, qualification, and proficiency. File materials exist in hard copy, microfilm, microfiche, and magnetic tape.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; Title 10 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document the qualification, flying service, data, medical condition of aviators, aircraft accidents, flight violations, aviation training and other related aviation status conditions and requirements by each command/organization/element of the US Army.

To reconstitute the individual flight record and flight certificate when the individual flight record file is lost or destroyed by the the US Army Agency for Aviation Safety.

To file first copy of DA Form 759 and DA From 759-1 with personnel records of individual reservist flying status personnel by the Reserve Components Personnel and Administration Center.

For review of original copy of DA Form 759 and DA Form 759-1 of Army National Guard flying status personnel by the State Adjutant General with subsequent transmittal to Headquarters, Department of the Army (HQDA), Nation Guard Bureau and further transmittal to the US Army Agency for Aviation Safety.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder; on microfilm, microfiche and magnetic tape.

Retrievability:

Records accessed by name; by social security number (SSN) when information is stored by automatic data processing (ADP) machine capability.

Safeguards:

Records maintained in areas accessible only to authorized personnel.

Retention and disposal:

Permanant: Filed with personnel records when individual is retired, discharged, resigned, or dies.

System manager(s) and address:

Commander, US Army Military Personnel Center, 200 Stovall Street, Alexandria, VA 22332.

Notification procedure:

Information may be obtained from:

US Army Agency for Aviation Safety, Ft Rucker, AL 36360 for all active Army, National Guard, and Army Reserve flying status personnel.

US Army Reserve Components Personnel and Administration Center, 9700 Page Blvd, St Louis, MO 63112 for all separated, retired, deceased flying status personnel.

Record access procedures:

Written requests for information should include the full name, service identification number, grade and branch of service and current address. Visits may be made to the command/organization/element of the US Army to which the individual is assigned; or to the US Army Agency for Aviation Safety; or to the Reserve components Personnel and Administration Center.

For personal visits, the visitor should be able to provide acceptable military identification or the identification normally acceptable in the transaction of business.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAPC-MSO), 200 Stovall Street, Alexandria, VA 22332.

Record source categories:

Training and qualification records initiated by the individual or training agency. Certificates/documents/records/papers/forms originated by commands/organization/Army elements relating to aviation activities. Examinations/statements/records/reports initiated by medical examining facilities.

Systems exempted from certain provisions of the act:

None

A1111.02DAMO

System name:

1111.02 Flight Examination Files

System location:

Office of the Deputy for Standardization, United States (US) Army Aviation Center (USAAVNC), Ft Rucker, AL 36360.

Categories of individuals covered by the system:

All Army aviators on active duty.

Categories of records in the system:

File contains examination cards reflecting scores achieved by Army aviators accomplishing the US Army Aviation Annual Written Examination.

Authority for maintenance of the system: Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Permits Commander, USAAVNC, to analyze results of examinations, improve subsequent examinations, and make recommendations for appropriate change in Army aviation training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information stored on aperture cards.

Retrievability:

Filed by last name, social security number (SSN), and branch of Army.

Safeguards:

Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Records are maintained with SYSMANAGER for 1 year, then destroyed at end of FY.

System manager(s) and address:

Deputy for Standardization, USAAVNC, Ft Rucker, AL 36360.

Notification procedure:

Information may be obtained from:

SYSMANAGER
Telephone: AUTOVON 558-2603
Area Code 205-255-2603

Record access procedures:

Requests from individuals should be addressed to: Deputy for Standardization, USAAVNC, Ft Rucker, AL 36360. Written request for information should contain the full name of the individual, SSN, and current address and telephone number. For personal visits, the individual should be able to provide a military identification card and give some verbal information that could be verified with his aperture card.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Instrument Flight Examiners.

Systems exempted from certain provisions of the act:

None

A1111.14aUSACC

System name:

1111.14 Flight Regulation Violation Files.

System location:

Flight operations offices at each fixed Army airfield and installation.

United States (US) Army Agency for Aviation Safety, Ft Rucker, AL 36360 on Department of the Army (DA) Form 759.

Categories of individuals covered by the system:

All members who fly as pilot, student pilot, copilot or instructor pilot.

Categories of records in the system:

File contains documents, reports and investigation papers of violations and/or alleged violations.

Recorded on individual flight record DA Form 759.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as part of historical flying record and may be used as record material for courts martial, claims against the government or an accident investigation report.

Federal Aviation Authority to maintain file of violation.

Other Army activities as a part of claim action, courts martial or investigative reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name and social security number (SSN) of individual.

Safeguards:

Records are maintained in areas accessible only to authorized flight operations personnel who are cleared, screened and trained.

Retention and disposal:

Records are permanent and are retained in the flight folder of the individual while on active duty. When the individual is no longer active record is forwarded to Commander, Reserve Components Personnel and Administration Center (RCPAC), 9700 Page Blvd, St. Louis, MO 63132 for retention in 201 file.

System manager(s) and address:

Commander, US Army Communications Command, Ft Huachuca, AZ 85613.

Supervisor of Flight Operations Offices.

Notification procedure:

Information may be obtained in person or by furnishing name, military status, SSN, and location to:

Supervisor of Flight Operations Office.

US Army Agency for Aviation Safety, Ft Rucker, AL 36360.

Commander, RCPAC, 9700 Page Blvd, St Louis, MO 63132 (inactive files).

Record access procedures:

See Notification.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Investigations of alleged flight violations.

Systems exempted from certain provisions of the act:

None

A1111.16aUSACC

System name:

1111.16 Controller Training and Proficiency Record Files.

System location:

Army Air Traffic Control Facilities at Fixed Army Airfields and in other Army Aviation Units having assigned air traffic control personnel.

Categories of individuals covered by the system:

A member of the military or a civilian employee who is qualified in air traffic control specialties.

Categories of records in the system:

Department of the Army (DA) Form 3479-R (Air Traffic Control Training and Proficiency Record) and correspondence related to training.

Authority for maintenance of the system:

Federal Aviation Act of 1958, Title 49 U.S.C., Section 313 USC 1354(a), and Sec 601 (Stat 72-77) USC 1421.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as a record of certification ratings, training received, physical fitness examinations, test results and performance. Also used to determine proficiency to perform air traffic control duties.

Record is available to supervisors, Federal Aviation Authority and military examiners to rate the controller for duty.

Record is available to investigators of aircraft accidents and flight violations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in a file folder.

Retrievability:

Filed alphabetically by last name of controller.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Record is maintained as long as controller is on active duty.

Record is destroyed upon death or given to the controller upon termination of active service.

System manager(s) and address:

Commander, United States (US) Army Communications Command, Ft Huachuca, AZ 85613.

Commander, Air Traffic Control Activity, Ft Huachuca, AZ 85613.

Air Traffic Control Facility chief having custody of the record.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Requests from individuals may be made in person to the custodian of the record or by written request to the SYSMANAGER stating name, military or civilian status, social security number (SSN) and address.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from Headquarters, US Army Communications Command, Ft Huachuca, AZ 85613.

Record source categories:

Grades, ratings and certifications obtained through training and DA Forms 3479-1-R, 3479-2-R, and 3479-3-R.

Systems exempted from certain provisions of the act:

None

A1201.02aMTMC

System name:

1201.02 Transportation Administrative Files

System location:

Military Traffic Management Command, Headquarters of Installations, Major Army Commands, and Transportation Offices worldwide. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military or civilian personnel, incoming or outgoing, for whom household goods are stored, packed and crated.

This file is necessary when an installation does not have property disposition instructions.

Categories of records in the system:

Individual jacket check file contains documents pertaining to individual administrative household goods transportation inquiries; Permanent Change of Station (PCS) Orders; Travel Orders; Department of Defense (DD) Form 1384-2, Transportation Control & Movement Document; DD-1299, Application for Shipment and/or Storage of Personal Property; Correspondence; Messages; and the number nine copy, the Memorandum Copy of the Government Bill of Lading.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained to control inquiries regarding household goods/and baggage. To answer messages and correspondence, to give status to Transportation Officers, export carriers, and to answer any individual queries. It is necessary to maintain the record in order to research the problem area and give an appropriate answer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are destroyed after 2 years.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the Installation to which the individual is assigned.

Record access procedures:

Requests from individuals should be addressed to Commander of the Installation to which the individual is assigned.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Information received from individual; Permanent Change of Station (PCS) Orders; DD Form 1384-2, Transportation Control & Movement Document; DD Form 1299, Application for Shipment and/or Storage of Personal Property.

Systems exempted from certain provisions of the act:

None

A1201.02bMTMC

System name:

1201.02 Discrepancy in Shipment Report (DISREP)

System location:

Military Traffic Management Command, Washington, DC 20315.

Military Reporting Activities world-wide submit Standard Form (SF 361), Discrepancy in Shipment Report, to the appropriate Area Command. Information is keypunched and input in the central computer: Directorate of Management Information Systems, Headquarters, Eastern Area, Military Traffic Management Command, Military Ocean Terminal, Bayonne, NJ 07002.

Categories of individuals covered by the system:

Military members and civilian government employees whose personal property was lost or suffered damage during the shipment cycle.

Categories of records in the system:

SF 361, Discrepancy in Shipment Report, reports all available transportation data pertinent to a specific shipment which has been damaged or lost. If the shipment is personal property, the contents are described, and when available the member's social security number (SSN) and address are listed.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Identification of shipment reported lost, astray or damaged due to movements by commercial or government transportation. Information may be released to commercial carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Standard Forms 361 are removed from active paper files and entered on existing magetic tape after 180 days.

Retrievability:

Programs exist to retrieve data by carrier, activity, and commodity. Information may be retrieved by either member's name or SSN.

Safeguards:

Access to data requires authorization of SYSMANAGER.

Retention and disposal:

History tapes are retained for 2 years.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Military Traffic Management Command, Washington, DC 20315.

Written requests for information should contain the name of the individual, SSN, current address and telephone number.

For personal visits the individual should be able to provide acceptable identification and to give some verbal information that could be verified as it pertains to the personal property shipment.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Standard Form 361, Discrepancy in Shipment Report.

Systems exempted from certain provisions of the act:

None

A1201.07aUSAREUR

System name:

1201.07 Passenger Reservation Reference Paper Files

System location:

Data systems tapes are maintained in V Corps, Army Post Office (APO) NY 09757, (Creighton Abrams Complex) Frankfurt, Germany. Printouts are stored at Passenger Management Division (PMD), Camp King, Oberursel, Germany; Headquarters, 4th Transportation Brigade, APO New York 09451. Those portions of the printouts pertaining to individuals eliminated upon Chapter 10, Army Regulation (AR) 600-200 (Separation for the good of the service) and Chapter 13, AR 600-200 (Separation for unfitness or unsuitability) are forwarded to the United States (US) Army Military Personnel Center, Europe, APO NY 09081. Those portions of the printouts pertaining to port call requests and confirmation are forwarded to US Army, Europe (USAREUR) & 7th Army subordinate organizations/activities to include the Regional Personnel Centers. Official mailing addresses are derivable from the Appendix in the Federal Register.

Categories of individuals covered by the system:

Any member of the Armed Forces, Department of the Army Civilian (DAC), contract civilian and dependent authorized use of government flight facilities.

Categories of records in the system:

File contains the following items of information: Name, Grade/Title, Seats Required, Special Passenger Category (A-Military member on permanent change station (PCS) accompanied by dependents. Civilians or dependents, or both, not otherwise described (does not apply to unaccompanied PCS personnel), D-Civilian paying cash in place of using a customer identification code (CIC) or for whom special credit billing procedure must be applied, E-Military paying cash in place of using a CIC or for whom special credit billing procedures must be applied, F-Combination of passengers in codes D and E, H- Foreign national, J-School teachers, K-Key school officials, M-Retirees, N-Separatees, P-Prisoners, R-Prisoner escorts, S-Board actions). Children Under 12 Years Old (as of date of movement), Excess Baggage, Origin of Aerial Post of Embarkation, Destination Aerial Port of Debarkation, Transporatation Passenger Movement Priority, Type Travel, Sponsor Service, Movement Month, Availability Date, Availability Data Code Mandatory Departure Date, Final Destination, Mode of Travel (Continental United States), Unit Identification Code, Mail Code, Social Security/Passport Number, Type Transaction.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301, Departmental Regulations; Title 10 U.S.C., Section 3012, Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Other USAREUR organizations to include Regional Personnel Centers (RCPs): To notify individuals of flight information. Receives daily notification rosters which list individuals with their associated flight data.

Passenger Movement Division (PMD), 4th Transportation Brigade: To schedule flights for all Army and Department of the Army civilian (DAC) personnel departing USAREUR. Statistical data generated is used to improve efficiency of passenger movements. Collects all source data from RCP's, submits it for introduction into the system, then destroys all source documents after verification of submission.

United States Army Military Personnel Center, Europe (MIPERCENEUR): To monitor and enforce USAREUR Regulation 55-6, which prescribes minimum/maximum time frames allowable for movement for such individuals.

Other components within Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is kept in data systems tapes for a period of 6 months after individual has departed and then automatically purged from system. Computer printouts are maintained at PMD for a period of 6 months in filing cabinets and then destroyed. Those portions of the printouts forwarded to MILPERCENEUR and the RCP's are stored in filing cabinets for a period of 1 year and then destroyed.

Retrievability:

Individual record can be retrieved by name, rank, and social security number (SSN).

Safeguards:

Systems tapes are maintained in a classified computer processing site; access is controlled by physical barriers with only authorized personnel being allowed entry. Area is manned 24 hours a day. All printouts are maintained in file cabinets with areas secured after duty hours.

Retention and disposal:

Information retained in data systems 6 months after individual has departed and then automatically purged from system. Computer printouts at PMD are kept for a period of 6 months and then destroyed. Computer printouts at RPC's and MILPERCENEUR are kept for a period of 1 year and then destroyed.

System manager(s) and address:

Chief, Passenger Movement Division, 4th Transportation Brigade APO NY 09451.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER.

Written requests should contain full name, rank, flight (if possible), and date departed. Voluntary submission of SSN is requested to aid in file search.

Record access procedures:

Requests should be addressed to the SYSMANAGER.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Information gathered from official military personnel files.

Systems exempted from certain provisions of the act:

None

A1201.07bMTMC

System name:

1201.07 Transportation Reference Paper Files

System location:

Military Traffic Management Command, headquarters of installations, major army commands, and transportation officers world-wide. Official Department of Defense (DOD) mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military and civilian incoming personnel for whom household goods or baggage has been or is being shipped.

Categories of records in the system:

File contains information received from various sources within the installation. It contains locator information that gives pier or warehouse location of material. This includes name, rank, number of cartons in the shipment, port of discharge, weight and cube of the shipment, and receipt date. When property is shipped, information is received that indicates date shipped, name of vessel, name of shipping company and other pertinent information.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained for alphabetical tracer information and for supervision and control of specific transportation of household goods functions. Information may be released to commercial carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Under personal surveillance of office staff.

Retention and disposal:

1 year.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the installation to which the individual is assigned.

Record access procedures:

Requests from individual should be addressed to the Commander of the installation to which the individual is assigned.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Government Bill of Lading (GBL), Transfer Orders and Department of Defense (DD) Form 1299, Application for Shipment and/or Storage of Personal Property.

Systems exempted from certain provisions of the act:

None

A1201.07cMTMC

System name:

1201.07 Surface Cargo Export System (SURS)

System location:

Commander, Military Traffic Management Command (MTMC), Washington, DC 20315.

Commander, MTMC, Eastern Area, Bayonne, NJ 07002.

Commander, MTMC, Western Area, Oakland Army Base, Oakland, CA 94626.

Transportation Offices world-wide.

Categories of individuals covered by the system:

Any person shipping personal property including privately owned vehicles.

Categories of records in the system:

File contains name, Department of Defense (DD) Form 1384, Transportation Control and Movement Document, DD Form 1385, Cargo Manifest, date cargo received, location, container number, port of discharge, consignee project commodity code, port of embarkation (POE), piece or package code, weight, cube, transportation account code (TAC), date shipped, vessel number, Government Bill of Lading number, and support Transportation Control and Movement Document number. Used to support billings for services rendered and justify claims for loss, damage or theft.

Authority for maintenance of the system:

Department of Defense (DOD) 4500.32R, Volume 1, Military Traffic Management Regulation and Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For tracer action: Information may be released to the commercial carriers. Used to accurately identify ownership, verify delivery of cargo, support billing for services rendered and justify claims for loss, damage or theft. Manifest punched cards are used to transmit manifest data via automatic digital network (AUTODIN) to the receiving water terminal clearance activity (WTCA) or port of debarkation (POD).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm cartridges, paper records in file folders, computer printouts, cards, disks, and similar related media.

Retrievability:

Name, Transportation Control and Movement Document number, container number.

Safeguards:

Correct code is needed to query computer. Records maintained in area accessible only to authorized personnel.

Retention and disposal:

2 years.

System manager(s) and address:

Headquarters, MTMC, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the installation to which the individual is/was assigned.

Record access procedures:

Requests from individuals should be addressed to the Commander of the installation to which the individual is/was assigned.

Contesting record procedures:

The Army's' rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Transportation Control and Movement Document number and Government Bill of Lading.

Systems exempted from certain provisions of the act:

None

A1201.07dMTMC

System name:

1201.07 Surface Retrograde Cargo Accountability/Control System

System location:

Headquarters, Military Traffic Management Command, Western Area, Oakland Army Base, Oakland, CA 94626.

Headquarters, Military Ocean Terminal, Eastern Area, Bayonne, NJ 07002.

Categories of individuals covered by the system:

Any individual, military or Department of Defense (DOD) civilian personnel, shipping personal property through the Defense Transportation System (DTS).

Categories of records in the system:

Automated file contains name, rank, or grade and social security number (SSN) in connection with property shipped by the individual. The information is derived from application for shipment completed by the individual or his agent.

Authority for maintenance of the system:

Title 37 U.S.C., Section 406; Title 5 U.S.C., Sections 5726, 5727.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document and effect transshipment of import military cargo, including personal property shipments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, cards, disks, tapes, printouts and similar related media.

Retrievability:

Filed by last name, SSN of sponsor. Automated record accessible by last name and transportation control number.

Safeguards:

Records maintained in areas accessible only to authorized personnel. Correct code is needed to query computer.

Retention and disposal:

Records maintained for a maximum of 3 years.

System manager(s) and address:

Commander, Military Traffic Management Command Washington, DC 20315.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Commander, Military Traffic Management Command, Washington, DC 20315.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Import Manifests; Department of Defense (DD) Form 1385, Cargo Manifest.

Systems exempted from certain provisions of the act:

None

A1201.07eMTMC

System name:

1201.07 Terminal Management System - TOLS, CARDPAC, PRELODGE

System location:

Headquarters, Military Traffic Management Command, Washington, DC 20315.

Military Traffic Management Command, Eastern Area, Military Ocean Terminal, Bayonne, NJ 07002.

Military Traffic Management Command, Western Area, Oakland Army Base, Oakland, CA 94626.

Categories of individuals covered by the system:

Any individual, military or Department of Defense civilian personnel, shipping personal property through the Defense Transportation System (DTS).

Categories of records in the system:

Automated file contains name, rank or grade, social security number (SSN) in connection with personal property shipped by individual. The information is derived from application for shipment completed by the individual or his agent.

Authority for maintenance of the system:

Title 37 U.S.C., Section 406.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Produce hard copy transportation document in advance of enroute shipments, including punched cards and printouts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printouts and punched card packets, disks, tapes and similar media.

Retrievability:

Filed by transportation control number (TCN) which includes individual's SSN and member's name.

Safeguards:

Records maintained in areas accessible only to authorized individuals. Correct code is needed to query computer.

Retention and disposal:

Historical file maintained a maximum of 3 years.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Military Traffic Management Command, Washington, DC 20315.

Contesting record procedures:

Rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Government Bills of Lading, Advance Transportation Control and Movement Documents (A-TCMD's) and transportation documents related to personal property shipments.

Systems exempted from certain provisions of the act:

None

A1201.07fMTMC

System name:

1201.07 Mechanized Export Traffic System (METS)

System location:

Headquarters, Military Traffic Management Command, Washington, DC 20315.

Eastern Area, Military Traffic Management Command, Bayonne, NJ 07002.

Western Area, Military Traffic Management Command, Oakland, CA 94626.

Categories of individuals covered by the system:

Any individual, military or Department of Defense civilian personnel, shipping personal property through the Defense Transportation System.

Categories of records in the system:

Automated file contains export offering, export release, port call file number, pieces, weight cube, commodity code, sponsors name, grade, social security number (SSN).

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Line-haul determination, port of embarkation selection, cargo offering to Military Sealift Command for ocean carriage.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, computer printouts.

Retrievability:

Information is retrieved by use of the port call file number.

Safeguards:

Records maintained in areas accessible only to authorized personnel. Correct code is needed to query computer.

Retention and disposal:

File is maintained a maximum of 3 years.

System manager(s) and address:

Commander, Headquarters, Eastern Area, Military Traffic Management Command, Military Ocean Terminal, Bayonne, NJ 07002.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals can be addressed to Commander, Military Traffic Management Command, Washington, DC 20315.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Export Offering (R-11): Department of Defense (DD) Form 1086, Export Traffic Release Requests.

Systems exempted from certain provisions of the act:

None

A1201.08aTRADOC

System name:

1201.08 Marine Personnel Qualifications/Record of Service Files.

System location:

Office of the Marine Qualification Board, Transportation Education and Military Arts Department, United States (US) Army Transportation School, Ft Eustis, VA 23604.

Categories of individuals covered by the system:

Active and former Army and US Army Reserve marine operations, maintenance, and supply (commissioned officers, warrant officers, enlisted men, and civilian) personnel whose actual or intended assignment is/was aboard Army watercraft (any type of self-propelled and non self-propelled waterboard craft used or capable of being used as a means of transportation on water and for which the Army has operational and/or maintenance responsibility; the terms watercraft, ship, vessel, harbor craft, and boat are used interchangeably), or in related marine activities. They may be licensed, certified, or non-certified military occupational specialty (MOS) personnel.

Categories of records in the system:

Files contain copies of the DA Form 3068-1 (Marine Service Record), individual requests for examination, character and suitability statements, recommendations to commanding officers, physical qualification statements, experience qualifications and evaluations, and individual requests and replies regarding professional requirements for marine licensing, upgrading, and renewing.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The individual personnel record is maintained to keep a complete, up-to-date file of previous marine service, including military and civilian, which is kept current by the Marine Qualification Office (MQO) posting subsequent changes (renewals, upgrades, expirations, etc.) and is a permanent source of information used to document actions of the Marine Qualification Board when awarding licenses based on completion of an appropriate examination, sea service, and on-the-job training. The information may duplicate that contained in the Military Personnel Records Jacket (MPRJ) but contains other documents not suitable for filing in the MPRJ. The record is also used as the basis for awarding Special Qualification Identifiers to certain personnel who by order are appointed as Marine Qualification Field Examiners. Used to compile lists of results of marine qualification examinations which are forwarded to Headquarters, Department of the Army (HQDA) (DAPC-OPD-TC) or HQDA (DAPC-EPC-XE) after each Marine Qualification Board meeting. May be used to verify qualifications of marine personnel in the event of loss or destruction of other records and for inquiries from administrative personnel at any Department of Defense installation where marine units are active.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building is locked and has normal building security during nonduty hours. Records are maintained in area used only by authorized personnel who are properly trained and cleared.

Retention and disposal:

Records are permanent. Files of discharged, retired, deceased, or eliminated personnel are cut off and placed in an inactive file which is held for 2 years from cut off in the Marine Qualification Office, transferred to the installation Records Holding Area to be held 1 year, and then retired to the Washington National Records Center where records are stored permanently.

System manager(s) and address:

Commander, US Army Training and Doctrine Command, Ft Monroe, VA 23651.

Notification procedure:

Requests should not be addressed to SYSMANAGER but to the Marine Qualification Board, Transportation Education and Military Arts Department (TEMAD), US Army Transportation School (USATSCH), Ft Eustis, VA 23604.

Record access procedures:

Written requests for information should be addressed to the Marine Qualification Board, TEMAD, USATSCH, Ft Eustis, VA 23604. Requests should contain full name, rank, and social security number/military service number of the individual.

For personal visits, the individual should be able to provide some acceptable identification; i.e., military identification card, or driver's license with a photograph.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories: Other military and civilian personnel records and reports, personal records, civilian maritime records, other service records, and personal statements verified by commanders and physicians.

Systems exempted from certain provisions of the act:

None

A1202.15aUSAREUR

System name:

1202.15 Statistical Files-Household Goods and Baggage System

System location:

Data system tapes maintained in V Corps, Army Post Office (APO) New York 09757 (Creighton Abrams Complex), Frankfurt, Federal Republic of Germany. Printouts are sent to Installation Transportation Officers (ITO's) in Germany, England, Spain, Ethiopia, Greece, Turkey, Italy, and Benelux. Official mailing addresses are derivable from the Department of Defense Directory in the Appendix to the Department of the Army systems notices. Printouts are also maintained at Personnel Property Division (PPD), Headquarters, 4th Transporatation Brigade, APO 09451, Oberursel, Federal Republic of Germany.

Categories of individuals covered by the system:

Any member of the Armed Forces, Department of the Army Civilian (DAC), contract civilian or dependent authorized to ship household goods and baggage.

Categories of records in the system:

File contains the following categories of information: origin of shipment, destination of shipment, first two digits of destination ZIP code, mode of shipment, required delivery date of shipment, date shipment was shipped or received, gross shipping weight of shipment, container size code if applicable, total cubic feet of shipment, quality control inspection and rating code, store in transit indicator, reweigh code for shipment if applicable, excess weight indication, excess cost indication, customs indication, pay grade of individual,

branch of service (to include civilian) of individual, first 10 characters of individual's last name, last 4 numbers of social security number (SSN), type of shipment, support district for shipment.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301, Departmental Regulations; Title 10 Section 3012, Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Installation Transportation Office (ITO) - All ITO's in areas itemized above (see LOCATIONS) submit input data to the household goods and baggage system. They in turn receive one copy pertaining to their area of a formatted listing which the ITO uses to monitor shipment performance.

Personal Property Division (PPD) - Maintains one complete copy of the listing. The listing is used solely to identify shipments that have been reported by the originating ITO's to ensure that Department of Defense (DOD) shipment policy is being complied with.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information retained by last name only and last four digits of individual's SSN. Information is kept in data systems tapes for a period of 6 months and then automatically purged from system.

Retrievability:

Filed by name, date and period household goods or baggage were shipped.

Safeguards:

Tapes are maintained in a classified computer complex with access controlled by physical barriers. Only authorized personnel are allowed entry and the site is manned 24 hours per day. Computer printouts are maintained at PPD in file cabinets with offices secured after duty hours. Computer printouts are maintained at ITO's in file cabinets with areas secured after working hours.

Retention and disposal:

Information retained in data system tapes 6 months, printouts are maintained for a 6 year period and then destroyed.

System manager(s) and address:

Chief, Personnel Property Division, 4th Transportation Brigade, Chief, Personnel Property Division, JTMA, APO NY 09451.

Notification procedure:

Requests from individuals should be addressed to the above SYSMANAGER. Written requests should contain full name and date goods were shipped.

Record access procedures:

Requests should be addressed to Commander, 4th Transportation Brigade, Chief, Personnel Property Division, JTMA, APO NY 09451.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applications for movement of household goods and baggage.

Systems exempted from certain provisions of the act:

None

A1203.12aMTMC

System name:

1203.12 Bill of Lading Files

System location:

Military Traffic Management Command, Headquarters of Major Army Commands and Installations, Military Finance Centers, and Transportation Offices world-wide. Official Department of Defense (DOD) mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military and civilian personnel who meet the entitlements criteria as prescribed in the Joint Travel Regulations and Army Regulation (AR) 55-71.

Categories of records in the system:

File contains documents relating to inbound and outbound shipments. Included are: property received and property shipped bills of lading, freight bills, shipping documents, shipment planning work sheets, express receipts, tally sheets, waybills, dray tickets, holding orders, switching orders, demurrage reports, transit privilege bills of lading cross reference sheets, and similar and related documents.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control shipment of household goods and baggage. Maintained for reference purposes in answering inquiries. Information may be released to commercial carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, magnetic tapes and computer printouts.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Permanent. These records are not retired.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the Installation to which the individual is assigned.

Record access procedures:

Requests from individuals should be addressed to the Commander of the Installation to which the individual is assigned.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Permanent Change of Station (PCS) Orders, Government Bills of Lading, letters from an individual, messages from Transportation Officers.

Systems exempted from certain provisions of the act:

None

A1203.14aMTMC

System name:

1203.14 Prepaid Inbound Bill of Lading Files

System location:

Military Traffic Management Command, Headquarters of Major Army Commands and Installations, and Transportation Offices world-wide. Official Department of Defense (DOD) mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Military or civilian personnel who prepaid household goods inbound shipments freight charges.

Categories of records in the system:

Individual file contains documents relating to inbound shipments where freight charges are prepaid by the shipper. Included are receiving documents, commercial bills of lading, freight bills, transit privilege bills of lading, cross reference sheets, similar documents and related correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control prepaid shipment for record purposes and reimbursement. Information may be released to commercial carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files maintained alphabetically by last name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Destroyed after 2 years.

System manager(s) and address:

Commander, Headquarters Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the Installation to which the individual is assigned.

Record access procedures:

Request from individual should be addressed to the Commander of the Installation to which the individual is assigned.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Correspondence from individual, or commercial carrier freight bill.

Systems exempted from certain provisions of the act:

None

A1203.18aMTMC

System name:

1203.18 Household Shipment Bill of Lading Files

System location:

Military Traffic Management Command, Headquarters of Installations and Major Army Commands, Military Finance Centers and Transportation Offices world-wide. Official Department of Defense (DOD) mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military and civilian personnel who meet the entitlements criteria as prescribed in the Joint Travel Regulations and Army Regulation (AR) 55-46, including inbound and outbound property and effects.

Categories of records in the system:

File contains documents relating to the receipt, packing, crating, shipment, and storage of household goods and effects. Included are bills of lading, travel orders, requests for shipment, inventories, service orders, delivery orders, receipts, permits for importation of firearms, transportation control and movement documents, report of carrier service, personal property shipment documents, property owners report of carrier performance, carrier warning, suspension, reinstatement; statement of accessional services, and re-weigh of personal property documents and related documents. Occasionally files contain information on property rights as a result of divorce or separation actions. Also contains counseling check list and United States (US) Customs Declaration for Personal Property Shipments.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control shipments of household goods and effects. Files are required to answer inquiries from the individual Transportation Officers, members and commercial carriers. Information may be given to commercial carriers and finance and accounting offices to insure accurate billing and preparation of invoices for storage. To certify bills for services rendered, check items against inventories, document cases, cases involving shipment of excess weight and claims for missing or damaged household goods. Used to check weights and certify services rendered.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, magnetic tape and computer printouts.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent. They are retained in the current files area for 2 years following year of accumulation, then transferred to the Records Holding Area. These records are not retired.

System manager(s) and address:

Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from Headquarters of the Installation to which the individual is/was assigned.

Record access procedures:

Requests from individuals should be addressed to the Commander of the Installation to which the individual is/was assigned.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information received from individual: Permanent Change of Station (PCS) Orders: Department of Defense (DD) Form 1384-2, Transportation Control and Movement Document; DD Form 1299, Application for Shipment and/or Storage of Personal Property; Standard Form (SF) 1103, Government Bill of Lading, and related forms.

Systems exempted from certain provisions of the act:

None

A1203.19aAMC

System name:

1203.19 Household Shipment Contract Files

System location:

Logistics Directorate, Movement Services Division, Personal Property/ Passenger Branch, Building 4603, United States (US) Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005.

Categories of individuals covered by the system:

Any citizen, military or civilian, who applies for nontemporary storage, local move or pack and crate of personal property paid by contract.

Categories of records in the system:

File contains individual's application Department of Defense (DD) Form 1299, copies of travel orders, inventory, service orders and/or purchase orders.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain a record of shipments processed and payment of charges relating thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of applicant.

Safeguards:

Records are maintained in areas accessible only to personnel engaged in processing applications.

Retention and disposal:

Records are permanent. They are retained in active file until end of the calendar year, held 1 additional year in inactive file and subsequently transferred to Records Holding area, US Army Aberdeen Proving Ground.

System manager(s) and address:

Transportation Officer, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005.

Notification procedure:

Requests for information should be addressed to: Transportation Officer, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005.

Record access procedures:

Requests from individuals should be addressed to: Transportation Officer, US Army Aberdeen Proving Ground, Aberdeen Proving Ground, MD 21005.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license or identification card.

Contesting record procedures:

The Army's rules for contesting contents of records and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individual, travel order, billing notices and storage information.

Systems exempted from certain provisions of the act:
None

A1203.19cMTMC

System name:
1203.19 Household Shipment Contract Files

System location:
Commander, Headquarters Military Management Command, Washington, DC 20315; Headquarters of Installations, Major Army Commands, and Transportation Offices world-wide.

Categories of individuals covered by the system:
All military or civilian, incoming or outgoing, for whom household goods are stored, packed and crated, unpacked or uncrated, or moved locally paid by contract. Any citizen, military or civilian, who applies for nontemporary storage.

Categories of records in the system:
File contains individual's application (Department of Defense (DD) Form 1299, Application for Shipment of Personal Property), copies of travel orders, inventory of items, service orders, purchase orders, inspection reports, invoices and storage contract information. Cross referenced by file number and name of individual.

Authority for maintenance of the system:
Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
To control storage of household goods, certify bills for services rendered and check items against inventory. Information may be released to common carriers, carriers' agents, and members' insurance companies. Also used for payment of charges related to household goods shipments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders, microfilm, computer printouts, microfilm records and tapes.

Retrievability:
Filed alphabetically by last name of individual.

Safeguards:
Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:
Records are permanent. They are retained for 2 calendar years following year of creation, then held in Records Holding Area.

System manager(s) and address:
Commander, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:
Information may be obtained from Headquarters of the Installation to which the individual is/was assigned or transferred from.

Record access procedures:
Requests from individuals should be addressed to Headquarters of the Installation to which the individual is assigned or transferred from.
Written requests should contain the full name, rank, and social security number.
For personal visits, individual should be able to provide a valid identification (ID) card or driver's license.

Contesting record procedures:
The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:
Applications, inventories and travel orders from the individual. Service and purchase orders, delivery orders from the SYSMANAGER, and receipts from the Installation Transportation Officer.

Systems exempted from certain provisions of the act:
None

A1203.19dMTMC

System name:
1203.19 Household Shipment Contract/Nontemporary Storage Files

System location:
Maintained in Transportation Office Files world-wide.

Categories of individuals covered by the system:
Nontemporary Storage Files are maintained on personnel who are restricted as to amount of household goods permitted by regulation in certain areas or do not require household goods.
Members who retire can store household goods for 1 year before they decide on home of selection.
Members can store household goods if they are going from a permanent duty station (PDS) to a restricted duty station. Member can store household goods when going from one duty station to another with temporary duty (TDY) enroute and items are not required until he arrives at his permanent duty station. Members can store household goods while attending a course of instruction in excess of 20 weeks.

Categories of records in the system:
File contains individual's last name, rank, date items placed in storage, expiration date of storage authorization, weight of shipment, storage rate, quarterly cost, date of billing, date shipment handled out.

Authority for maintenance of the system:
Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used to maintain a record of household goods in storage by name, weight, cost, date-in and out. Information may be released to contractors, common carriers, and the member's insurance company.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records are kept in file cabinets. Magnetic tapes also maintained in systems offices.

Retrievability:
Filed alphabetically by last name of individual.

Safeguards:
Paper records are maintained in file cabinet accessible to authorized personnel working in the Personal Property Section. Tapes are maintained in computer facilities.

Retention and disposal:
Records are permanent. They are retained in active file until end of calendar year in which member withdraws storage, held 1 additional year in inactive file and subsequently transferred to records holding areas.

System manager(s) and address:
Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:
Information may be obtained from Headquarters where assigned.

Record access procedures:
Written requests for information should contain full name of the individual, date items placed in storage, current address. Address to Headquarters of Installations at which individual is/was assigned.

Contesting record procedures:
The Army's rules for access to records and for contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:
Information is derived primarily from member, his transfer orders and storage facilities.

Systems exempted from certain provisions of the act:
None

A1203.20aMTMC

System name:
1203.20 Household Shipment Reimbursement Files

System location:
Headquarters of Installations, Major Army Commands and Transportation Offices world-wide.

Categories of individuals covered by the system:
Documents accumulated by offices responsible for determining the validity of claims for reimbursement for shipment of household goods when charges are paid by the individual.

Categories of records in the system:
File contains individual's application, travel orders; inventory of items; counseling check list; statement of accessorial services performed and weight/reweight tickets; individual's name, social security number (SSN), current address, duty assignment, information on household goods, and cost information.

Authority for maintenance of the system:
Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used to act on member's reimbursement claim for household goods shipped at member's expense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders, tapes, printouts and similar data.

Retrievability:
Filed alphabetically by last name of individual.

Safeguards:
Under personal surveillance of office personnel.

Retention and disposal:
Destroyed 10 years after year in which action was taken.

System manager(s) and address:
Commander, Headquarters, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:
Information may be obtained from Headquarters of the Installation at which the individual is/was assigned.

Record access procedures:
Request from individual should be addressed to the Commander of the Installation to which the individual is/was assigned.

Contesting record procedures:
The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:
Permanent change of station orders, Department of Defense (DD) 1299, Application for Shipment and/or Storage of Personal Property. Also information received from individual member.

Systems exempted from certain provisions of the act:
None

A1203.27aMTMC

System name:
1203.27 Privately Owned Vehicle Shipment Files

System location:
Military Traffic Management Command, Headquarters of Installations and Major Army Commands, and Transportation Offices world-wide. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:
All military or civilian personnel incoming or outgoing, for whom household goods are stored, packed and crated.
This file is necessary when an installation does not have property disposition instructions.

Categories of records in the system:
Documents relating to the shipment of privately owned vehicles. Included are turn-in slips, copies of shipping documents, service orders, affidavits pertaining to encumbrances, acceptance reports, receipts for funds, and alloted documents.

Authority for maintenance of the system: Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Control of authorized Privately Owned Vehicle Shipments. Files required to answer inquiries from the individual, Transportation Officers and Commercial Carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Paper records in file folders.

Retrievability:
Files maintained alphabetically by last name of individual.

Safeguards:
Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:
Destroy after 2 years.

System manager(s) and address:
Commander, Headquarters Military Traffic Management Command, Washington, DC 20315.

Notification procedure:
Information may be obtained from
Headquarters of the installation to which the individual is assigned.

Record access procedures:
Request from individual should be addressed to the Commander of the Installation to which the individual is assigned.

Contesting record procedures:
The Army's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:
Permanent Change of Station (PCS) Orders; various correspondence from individuals and transportation officers; Department of Defense (DD) From 788, Private Vehicle Shipping Document.

Systems exempted from certain provisions of the act:
None

A1205.16aDAAG

System name:
1205.16 Passport Files

System location:
Primary File: United States (US) Army Service Center for the Armed Forces (USASCAF), ATTN: ANRDP-P, Washington, DC 20310.
Auxiliary Files: Installation passport offices, usually located in the installation transportation division, or activity passport agents.

Categories of individuals covered by the system:
Persons who have applied for passports, including military and civilian personnel and their dependents.

Categories of records in the system:
File contains a copy of Department of Defense (DD) Form 1056, requests for passports, transmittal letters, receipts for passports, control cards; passports and related documents.

Authority for maintenance of the system:
Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
To obtain passports from the State Department. USASCAF also forwards applications for visas to the appropriate embassies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Manual card file, paper records in file folders.

Retrievability:
Information is filed alphabetically.

Safeguards:
Only authorized persons have access to file areas.

Retention and disposal:
USASCAF files are destroyed after 3 months, except that DD Forms 1056 are kept for 1 year and then destroyed; other offices destroy files after 3 months.

System manager(s) and address:
Commander, US Army Service Center for the Armed Forces, Washington, DC 20310; installation commanders.

Notification procedure:
Information may be obtained from the USASCAF system manager or from installation passport offices.

Record access procedures:
Requests from individuals should be addressed to the USASCAF manager, ATTN: ANRDP-P, or to the installation commander, ATTN: passport office.

Contesting record procedures:
Rules and procedures for contesting contents may be obtained from the USASCAF SYSMANAGER.

Record source categories:
DD Form 1056 Application for Passport, some proof of citizenship, orders, personnel records.

Systems exempted from certain provisions of the act:

None

A1205.17aDALO

System name:

1205.17 Passenger Warrant Files

System location:

United States Army, Europe (USAREUR), AEAGD-T, Army Post Office (APO) New York 09403.

Categories of individuals covered by the system:

Personnel traveling in the oversea area on official business of the Department of Defense.

Categories of records in the system:

Copies of used and canceled warrants, transportation certificates, travel orders, similar documents serving the same purposes, registers and related correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Passenger warrants are used by USAREUR installation transportation officers to purchase transportation from commercial carriers for official travel in Europe.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy after 3 years, except that files involved in an incomplete investigation will be retained until completion of the investigation.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the installation transportation office which issued the passenger warrant.

Record access procedures:

Requests from individuals should be addressed to Commander in Chief, United States Army Europe, ATTN: AEAGD-T, APO New York 09403.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from the individual passenger and pertinent travel orders.

Systems exempted from certain provisions of the act:

None

A1205.19aDALO

System name:

1205.19 Baggage Inspection and Clearance Files

System location:

Army transportation offices within oversea assignment areas involved in military customs inspection of personal property shipments. Official mailing addresses are in the Department of Defense (DOD) Directory in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

All DOD personnel shipping personal property.

Categories of records in the system:

Documents related to customs inspection of personal property shipments originating in oversea areas and being moved as DOD-sponsored cargo.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of records is to retain evidence of an individual's declaration concerning entry into the United States (US) of his personal property. Users would be all personnel in the transportation office tasked to provide information on specific declarations. The use of such information could be for tracer action and/or to verify declaration to US Customs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information will be retrieved by name and/or social security number (SSN) through the use of conventional indices.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Destroy after 2 years or on discontinuance, whichever is first.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information can be obtained from the Transportation Officer at installation from which property was shipped.

Record access procedures:

Direct requests to SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from individuals shipping property, who provide information on related forms.

Systems exempted from certain provisions of the act:

None

A1205.26aDALO

System name:

1205.26 Local Transportation Authorization Files

System location:

Army transportation offices charged with responsibility for approving the use of available local transportation that may be used advantageously in the transaction of official business. Official mailing addresses are in the Department of Defense Directory (DOD) in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

All personnel required to use official transportation in the conduct of official Government business within and around their designated duty stations.

Categories of records in the system:

Documents pertaining to the issuance of local ferry tickets, commercial bus tokens, and toll bridge tickets for official travel of Government personnel.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of records is to retain evidence that an individual was issued tokens and/or tickets. Users would be all personnel in the transportation office tasked to provide information con- cerning issuance of tickets/tokens to a specific individual. The use of such information could be for tracer action and to preclude unauthorized reimbursement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information will be retrieved by name or social security number (SSN), through use of conventional indices.

Safeguards:

Records are maintained in areas accesible only to authorized personnel.

Retention and disposal:

Destroy after 3 years.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information can be obtained from the Transportation Officer responsible for the records.

Record access procedures:

Direct requests to SYSMANAGER; address is provided in the DOD Directory in the Appendix to the DA system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from individuals issued tickets/tokens for official travel.

Systems exempted from certain provisions of the act:

None

A1205.27aDALO

System name:

1205.27a Bus Pass File

System location:

Army transportation offices worldwide involved in movement of passengers by military or commericial contract bus.

Categories of individuals covered by the system:

All personnel using bus transportation.

Categories of records in the system:

Documents relating to the issuance of permanent and temporary passes to individuals for use of military and commercial contract bus.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of records is to retain evidence that an individual was issued a bus pass and would allow transportation officer to be able to identify quantity of bus passes issued and remaining outstanding. Users would be all personnel in the transportation office tasked to provide information concerning valid bus passes. The use of such information could be for tracer action and/or to verify individuals who possess valid bus passes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information will be retrieved by name and/or Social Security Number (SSN), through use of conventional indices.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Destroy on turn-in or replacement of pass.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Headquarters, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information can be obtained from the Transportation Officer responsible for the records.

Record access procedures:

Direct requests to SYSMANAGER; address is provided in the Department of Defense Directory in the appendix to the Department of the Army system notices.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is obtained from individuals using military or commercial contract bus transportation.

Systems exempted from certain provisions of the act:

None

A1205.30aDAAG

System name:

1205.30 Individual travel files

System location:

Headquarters of Installations and Major Army Commands. Official mailing addresses are in the Appendix.

Categories of individuals covered by the system:

All military and civilian personnel who meet the entitlements criteria as prescribed in the Joint Travel Regulations and Army Regulation (AR) 55-46.

Categories of records in the system:

File contains documents pertaining to the processing of individual dependents prior to movement to and from authorized destinations. Included are requests for movement of dependents; letters notifying dependents of eligibility to travel to authorized destinations and authorization to obtain passports; questionnaires and information sheets used for issuance of travel authorizations; port calls; travel authorizations; related correspondence; and indexes.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The personnel data contained on the Department of the Army (DA) Form 2370 is used in the assignment-making process for enlisted members. Each service member must be assigned to a specific unit before a determination can be made regarding dependent travel (i.e., the location to which an individual is going must be known before a quarters availability check can be made).

In most cases DA Form 2370 becomes a valuable tool in formulating an enlisted member's assignment. The data contained therein are essential in determining a member's military occupational specialty (MOS) qualifications, physical limitations, and special skills (linguistic, etc.).

DA Form 2370 is also used to determine if facilities such as hospitals and schools are suitable to service dependents who may need special care and education.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy after 2 years.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (HQDA), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from: Headquarters of the Installation at which the individual is assigned. For personal visits Headquarters of the Installation or Command to which the individual is assigned.

Record access procedures:

Request from individual should be addressed to the Commander of the installation or command at which the member is assigned.

Contesting record procedures:

The Army's rules for contesting contents may be obtained from HQDA (DAAG-AMP), Washington, DC 20314.

Record source categories:

Information is obtained from the individual service member and the installation or command evaluating official.

Systems exempted from certain provisions of the act:

None

A1205.30bMTMC

System name:

1205.30 Individual Travel Files

System location:

Military Traffic Management Command, Passenger Liaison Offices, Headquarters of Installations, Major Army Commands, and Transportation Offices world-wide. Official Department of Defense (DOD) mailing addresses are in the Appendix.

Categories of individuals covered by the system:

Any individual, military or civilian whose transportation overseas is the responsibility of the Department of the Army.

Categories of records in the system:

Individual's name, rank, social security number (SSN), destination, origin station, availability date, type of travel, sex, and port call information, unit assigned to, copy of travel orders, correspondence from individuals, military occupational specialty (MOS). File also contains documents pertaining to the processing of individual dependents prior to movement to and from authorized destinations. Included are requests for movement of dependents; letters notifying dependents of eligibility to travel to authorized destination and authorization to obtain passports; questionnaires and information sheets used for issuance of travel authorizations; related correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain record of port calls and authorized individual travel requested and action taken in response. Answer inquiries, conduct statistical research. Make arrival notification to receiving command. Answer occasional inquiries from military police relative to port call of possible away without leave (AWOL) cases. Information may be released to commercial carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfiche, computer printouts, disks, tapes, paper records in file folders, and similar data.

Retrievability:

Alphabetically by last name of individual. Microfiche by last name of individual and SSN.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly trained.

Retention and disposal:

2 years.

System manager(s) and address:

Commander, Military Traffic Management Command, Washington, DC 20315.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to the Commander of the Installation to which the individual is assigned.

Contesting record procedures:

The Army's rules for access to records and for contesting contents of records and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Information received from individual, copies of individual travel orders, and the releasing installation or command.

Systems exempted from certain provisions of the act:

None

A1207.08aDAPE

System name:

1207.08 Operator's Examination and Qualification Record Files.

System location:

Decentralized: Unit level files or installation Personnel Divisions. Filed in the individual's 201 file.

Categories of individuals covered by the system:

Each individual examined for an Army motor vehicle/equipment operator's permit.

Categories of records in the system:

Information concerning who, what, when, where, and how individuals became qualified to operate Army vehicles/equipment and an historical record of their vehicle/equipment operating activities.

Authority for maintenance of the system:

Public Law 91-596, Section 19, Occupational Safety and Health Act of 1970, and Section 2, Executive Order 11807, Occupational Safety and Health Program for Federal Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for reviewing individual's qualifications as related to motor vehicle/ equipment operations and for scheduling of individuals in training courses as an ongoing program to expand operator capabilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings are kept locked, and records are maintained in areas accessible only to authorized personnel that are properly screened and trained.

Retention and disposal:

Operator qualification record: Permanent. Transferred with Military Personnel Records Jacket or Civilian Personnel Folder, as applicable.

Tests and examinations: Destroyed after recording on applicable qualification records.

System manager(s) and address:

Army Director of Safety, Headquarters, Department of the Army, Office of the Deputy Chief of Staff for Personnel, Washington, DC 20310.

Notification procedure:

Information may be obtained from:
Headquarters, Department of the Army (DAPE-HRS)
Room 1E-686
The Pentagon
Washington, DC 20310
Telephone: Area Code 202/697-6180

Record access procedures:

Requests from individuals should be addressed to: Headquarters, Department of the Army (DAPE-HRS), Washington, DC 20310.

Written requests for information should include name, social security number, and duty element of the individual at the time the system file was initiated.

Personal visits should be limited to the personnel office at the last duty assignment whenever possible and the individual should be able to provide some acceptable identification: i.e., driver's license or employing office identification card at the time of the visit.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Army's testing organizations, provost marshal offices at Army installations, and Army motor vehicle driver examiners through written correspondence.

Systems exempted from certain provisions of the act:

None

A1207.08bUSAREUR

System name:

1207.08 Government Equipment Operator Permit Files

System location:

Driver Testing Stations and Transportation Motor Pools (TMP), US Army Europe (USAREUR) installations. Official mailing addresses are in the Department of Defense (DOD) Directory in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

Each individual examined for an Army Motor Vehicle/Equipment Operator's permit, Standard Form (SF) 46.

Categories of records in the system:

File records contain name, rank, social security number (SSN), unit, operator's permit number, record of examination and training.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012. Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the record is to establish the permissibility of an individual for operating various Government equipment. Records issuance of SF 46. Used to issue duplicate permits in event of loss or destruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building is protected from unauthorized entry by security guard and the records are maintained in areas accessible only by authorized personnel.

Retention and disposal:

Records are destroyed 3 years from date of issue.

System manager(s) and address:

Officer or Noncommissioned Officer in Charge (OIC or NCOIC) of Driver Testing Station or TMP where individual was tested or where Operator's Permit (SF 46) was issued. Official mailing addresses are in the DOD Directory in Appendix to the DA system notices.

Notification procedure:

Written request should be addressed to appropriate SYSMANAGER including name or operator permit number.

Record access procedures:

Written request should be addressed to the appropriate SYSMANAGER including name or operator permit number.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determination are contained in Army Regulation 340-21.

Record source categories:

Written examination, physical aptitude test, driver's performance test, remedial driver training course, defensive driving course.

Systems exempted from certain provisions of the act:

None

A1207.09aUSAREUR

System name:

1207.09 School Bus System (SBS)

System location:

Primary system: Office of the Deputy Chief of Staff, Logistics, Systems Division, Headquarters, United States Army, Europe (USAREUR) and Seventh Army, APO New York 09403, Heidelberg, Federal Republic of Germany (FRG).

Decentralized segments: Maintained by the V Corps, VII Corps and 1st Support Brigade Directorates of Industrial Operations. Official mailing addresses are in the Department of Defense Directory in the Appendix to the Department of the Army system notices.

Categories of individuals covered by the system:

All United States (US) Dependent School European Area students using bus transportation to attend US Dependent Schools during the previous or the current school year.

Categories of records in the system:

System contains student's name and address, assigned student number, assigned school number, assigned pickup and delivery zone number.

System contains school names, measured distances and estimated driving speeds between all towns or intersections used or anticipated for pickup or delivery points in the school district road network.

System contains numbers and capacities of vehicles in bus fleet, zones assigned first or last pickup or delivery.

System contains earliest starting and latest finishing times for bus fleet, bus route mileage and travel times, assigned route, vehicle type and passenger load, scheduled time for each pickup or delivery on route.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to produce efficient, school bus route schedules. Transportation Officer in Directorate of Industrial Operations uses information to select best school bus routes, vehicles, pickup and delivery points and times, school start times. Busmaster in transportation motor pool uses information to time passenger pickup and delivery stops along route. Comptroller management analyst uses information to select best school bus routes. Transportation system project officer uses information to estimate school bus fleet operation and maintenance costs. Comptroller system project officer uses information to contract for school bus vehicle service. Logistics system project officer uses information to establish computer files for system input. School transportation officer uses information to coordinate changes in school starting times with school officials. Transportation project officer uses information to reduce or increase assigned vehicle fleet as required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, punched cards, computer magnetic tapes, computer magnetic disks, computer paper printouts.

Retrievability:

Paper records accessed manually and retrieved alphabetically by name, school district, school and pickup point. Punched cards accessed by computer and manually, and retrieved by computer and manually by school number and pickup zone number. Computer magnetic tapes accessed by computer by school number and pickup zone number. Computer magnetic disks accessed by computer by school number and pickup zone number. Computer paper printouts accessed manually by school name, student name and address, route number, pickup and delivery zone number.

Safeguards:

Access is limited to system project officers, busmaster and bus drivers in transportation motor pool, and school officials. Buildings containing records are secured during nonworking hours.

Retention and disposal:

Road network information is updated as required and retained for an indefinite period. Paper records, punched cards and computer printouts are updated annually; previous year's paper records, punched cards and computer printouts are salvaged as automatic data processing (ADP) waste.

System manager(s) and address:

USAREUR, Deputy Chief of Staff, Logistics, ATTN: AEAGD-S, APO NY 09403.

Notification procedure:

Information may be obtained from:
USAREUR, Deputy Chief of Staff, Logistics, ATTN: AEAGD-S-PD, APO NY 09403.

Request for information must contain full name of student, school attended, dates of attendance.

Record access procedures:

Information may be obtained from the SYSMANAGER.

Contesting record procedures:

The Army's rule for access to records and for contesting con- tents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Data are received from US Dependent School European Area school officials and from Directorate of Industrial Operations transportation officers.

Systems exempted from certain provisions of the act:

None

A1301.07aAMC

System name:

1301.07 Alphabetical Listing of Scientists

System location:

Proposals Branch, Information Processing Office, United States Army Research Office (USARO), Research Triangle Park, NC 27709.

Categories of individuals covered by the system:

Any scientist that has submitted a formal, unsolicited basic research proposal in the fields of mathematics and the physical sciences, engineering, life and geosciences.

Categories of records in the system:

File contains individual's name, title of proposed research, parent organization and proposal number as assigned by the proposals branch.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Proposals Branch: To determine if a scientist has previously submitted a formal proposal and the action(s) taken on that proposal.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in metal Revo File.

Retrievability:

Filed alphabetically by last name of scientist.

Safeguards:

Records are maintained in area accessible only to authorized personnel that have proper need.

Retention and disposal:

Records are retained in active file until no longer needed to facilitate work. Held 1 additional year in inactive file and then destroyed.

System manager(s) and address:

Records Management Officer, USARO, Research Triangle Park, NC 27709.

Notification procedure:

Information may be obtained from:
USARO (AMXRO-AO)
Box 12211
Research Triangle Park, NC 27709
Telephone: Area Code 919-549-0641

Record access procedures:

Requests from individuals should be addressed to: Commander, USARO, ATTN: AMXRO-AO, Box 12211, Research Triangle Park, NC 27709.

Written requests for information should contain the full name of the individual, current address and telephone number, and the proposal number that appears with the office symbol on all correspondence received from this office. Visits are limited to the Adjutant's Office (AMXRO-AO), USARO, Research Triangle Park, NC 27709.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence received from individual scientists.

Systems exempted from certain provisions of the act:

None

A1301.07bAMC

System name:

1301.07b Food Taste Test Panel Reference Files

System location:

Primary System: Food Acceptance Group, Food Science Laboratory, United States (US) Army Natick Development Center, AMXNM-YBF, Natick, MA 01760.

Decentralized Segment: Data Analysis Office, US Army Natick Development Center, AMXNM-D, Natick, MA 01760.

Categories of individuals covered by the system:

Civilian and military personnel who volunteer to participate in sensory taste tests of food items.

Categories of records in the system:

File contains questionnaire and locator record that are completed by civilian and military personnel who volunteer to participate on a food sensory test panel. Information collected includes name, date, organization, business telephone number, sex, age, marital status, rank or grade, present or prior military service, highest educational level attained, section of country lived in the longest, willingness to test irradiated foods, food aversion data, food preference data.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, Secretary of the Army: Powers and duties, delegated by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Food Acceptance Group: Selection of Panel Members to participate in individual food sensory tests by the SYSMANAGER. Personal information on panel members is used when a particular food sensory test requires selection of panel members having specified characteristics.

Data Analysis Office: To provide automatic data processing services as requested by Head, Food Acceptance Group, Food Science Laboratory.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts, cards, magnetic tapes and paper records in file folders.

Retrievability:

Filed alphabetically by last name or unique number assigned to each volunteer.

Safeguards:

Buildings employ security guards. Records are stored in metal file cabinets which are locked when not under the control of authorized personnel.

Retention and disposal:

Records are destroyed when individual volunteer leaves or ceases to participate in program.

System manager(s) and address:

Head, Food Acceptance Group, US Army Natick Development Center, AMXNM-YBF, Natick, MA 01760.

Notification procedure:

Information may be obtained from SYSMANAGER, Telephone: Area Code 617/653-1000, X 2720.

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Natick Development Center, ATTN: AMXNM-YBF, Natick, MA 01760.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Food Acceptance Group, Food Sciences Laboratory (AMXNM-YBF), US Army Natick Development Center, Natick, MA 01760.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Subject individual.

Systems exempted from certain provisions of the act:

None

A1301.07cAMC

System name:

1301.07c Visiting Scientist Research Associates Reference Files

System location:

Deputy Technical Director/Food Service Systems Program, Office of the Technical Director, United States (US) Army Natick Development Center, AMXNM-ZTF, Natick, MA 01760.

Categories of individuals covered by the system:

Scientific investigators proposed to the US Army Natick Development Center (NDC), by the National Research Council (NRC), National Academy of Sciences, under a contract for research services in special scientific areas of interest to the NDC.

Categories of records in the system:

File contains name of each investigator proposed to the NDC, a resume of the investigator's qualifications, a copy of his research proposal, a copy of NRC letter to the investigator appointing him to the NDC, copies of travel requests and vouchers which the investigator submits to the NRC, copies of quarterly and final reports which are submitted by the investigator to the NRC, and a technical evaluation of completed assignment by the investigator's NDC Advisor.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, Secretary of the Army: Powers and duties; delegated by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are maintained for review and approval of investigators and areas of research proposed under the contract and for monitoring performance of assigned investigators under the contract.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of investigator.

Safeguards:

Buildings employ security guards. Records are stored in metal file cabinets which are locked when not under the control of authorized personnel.

Retention and disposal:

Records are retained indefinitely.

System manager(s) and address:

Deputy Technical Director/Food Service Systems Program, Office of the Technical Director, US Army Natick Development Center, AMXNM-ZTF, Natick, MA 01760.

Notification procedure:

Information may be obtained from SYSMANAGER, Telephone: Area Code 617/653-1000, X 2361.

Record access procedures:

Requests from individuals should be addressed to: Commander, US Army Natick Development Center, ATTN: AMXNM-ZTF, Natick, MA 01760.

Written requests for information should contain the full name of the individual, current address and telephone number, date and title of research assignment at NDC. Visits are limited to Deputy Technical Director/Food Service Systems Program, Office of the Technical Director, US Army Natick Development Center, AMXNM-ZTF, Natick, MA 01760.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in records is obtained from the National Research Council, National Academy of Sciences; and from the NDC Advisor in the laboratory/office to which the investigator was assigned.

Systems exempted from certain provisions of the act:

None

A1302.15aDAJA

System name:

1302.15 Unsolicited Proposal Files

System location:

Decentralized System: Commander, United States (US) Army Materiel Command, ATTN: AMCRD-A, 5001 Eisenhower Avenue, Alexandria, VA 22333; Commander, Ballistic Missile Systems Command, ATTN: BMDSC-C, P.O.Box 1500, Huntsville, AL 35807; Headquarters, Department of the Army (HQDA), (DAEN-GCP), Forrestal Building, Washington, DC 20314.

Categories of individuals covered by the system:

Persons submitting unsolicited inventive proposals to Army agencies.

Categories of records in the system:

Inventive proposals (other than those arising under contract, from performance of official duty, or in response to a solicitation by the Army) which have been individually submitted to an Army agency for evaluation, together with resultant evaluation reports and correspondence. Proposals are limited to those involving processes, machines, manufactures, compositions of matter, and improvements thereof which are or may be patentable.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inventive proposals are evaluated by technical personnel of the Army and other Governmental agencies to determine whether the proposal is technically feasible, meets military requirements, and should be accepted. Files are retained by the agency as a record of the proposal and of action taken thereon. Later proposals and claims for patent infringement may be cross checked with the records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Name of the person submitting the proposal.

Safeguards:

Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Records are held by the agency which evaluated the proposal and destroyed after 6 years.

System manager(s) and address:

Chief, Patents Division, Office of the Judge Advocate General, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from Army organization to which the proposal was submitted or the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received, and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified from his proposal.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received, and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified from his proposal.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

The proposal submitted and agencies evaluating the proposal.

Systems exempted from certain provisions of the act:

None

A1304.08aDASG

System name:

1304.08 Immunity Booster Files

System location:

United States (US) Army Medical Research Institute of Infectious Diseases (USAMRIID), Ft Detrick, Frederick, MD 21701.

Categories of individuals covered by the system:

Military and civilian employees of Ft Detrick engaged in research who have been immunized with a biological product or who fall under the Occupational Health and Safety Act or Radio- logic Safety Program.

Categories of records in the system:

File contains name of biological agents, name, social security number (SSN), age, race, date of birth (DOB), occupation, titers, immunization schedule, known allergies, amount of dosage, reaction to immunization, radiologic agents, exposure level, health screening test results, health test schedule.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301; 1943 Executive Order 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used for two primary purposes: To create a large data base of immunological data for research purposes, and to manage the scheduling of all the health screening tests, immunizations, physicals, and other special procedures required by USAM-

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RIID's biosurveillance program, radiologic safety program, and occupational health and safety program.

Scheduling documents are handled by ward clerks and the immunization nurse. Access to immunological data is given to the immunization nurse, the ward physician, and other interested professional investigators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files are maintained on random access disk files, card files and backed up on magnetic tape. Computer paper printouts are also required by the system users.

Retrievability:

For research purposes, the data are usually retrieved and analyzed with respect to relative times, vaccine lots, titers, demographic values, etc. The data are seldom retrieved by name of individual or SSN.

The schedule data are retrieved by name, by test to be taken, and by month of scheduled examinations.

Safeguards:

Files are maintained in a controlled area in the computer center at Walter Reed Army Institute of Research.

Files at USAMRIID are maintained in a building which is locked at night with periodic patrols by security personnel. Access during duty hours is by authorized personnel only.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Commander, US Army Medical Research Institute of Infectious Diseases, Ft Detrick, Frederick, MD 21701.

Notification procedure:

Information may be obtained from the above SYSMANAGER.

Record access procedures:

Requests from individuals will be addressed to the above SYSMANAGER and should indicate type of information desired.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Local form completed by physician or nurse and an interview with the individual. Laboratory results, immunization results, and other relevant test results and dates are provided by the immunization nurse.

Systems exempted from certain provisions of the act:

None

A1304.21aDASG

System name:

1304.21 Sandfly Fever Files

System location:

United States (US) Army Medical Research Institute of Infectious Diseases (USAMRIID), Ft Detrick, Frederick, MD 21701.

Categories of individuals covered by the system:

All human volunteers who participated in the Sandfly fever studies at USAMRIID.

Categories of records in the system:

Records contain data on name, body temperature, pulse, blood pressure, respirations, urinalysis results, blood serology results.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is not actively being used for any current research efforts but is being stored for possible future study. Data were collected and analyzed during a previous Sandfly fever study.

Access to the data is limited to interested professional investigative personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on punched computer cards. Computer printouts from previous analysis are also being stored.

Retrievability:

The records are retrievable by name and are usually analyzed by parameter, pre- or postinfection day and experimentals versus controls.

Safeguards:

Files are maintained in a building which is locked at night with periodic patrols by security personnel. Access during duty hours is restricted to authorized personnel only.

Retention and disposal:

Records will be maintained until they have no further research value.

System manager(s) and address:

Commander, US Army Medical Research Institute of Infectious Diseases, Ft Detrick, Frederick, MD 21701.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests from individuals will be addressed to the SYSMANAGER and should indicate type of information desired.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Quantitative data obtained from investigative staff, and clinical laboratory reports.

Systems exempted from certain provisions of the act:

None

A1401.07aAMC

System name:

1401.07 Resumes for Non-Government Technical Personnel

System location:

Primary System: Battelle Columbus Laboratories, Durham Operations (BCL-D), Suite 4A, 3333 Chapel Hill Boulevard, Durham, NC 27707.

Decentralized Segments: Battelle Columbus Laboratories (BCL), 505 King Avenue, Columbus, OH 43201.

Procurement Office, United States Army Research Office (USARO), P.O. Box 12211, Research Triangle Park, NC 27709.

Categories of individuals covered by the system:

File contains solicited and unsolicited resumes of candidates for providing scientific services to Federal agencies in the fields of mathematics and the physical, engineering, life and geosciences.

Categories of records in the system:

File contains individual's name, personal history resume, affiliations, area of expertise, social security number, record of remuneration for services provided and performance evaluations.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

BCL-D: To determine the best qualified technical personnel to provide scientific services to Federal agencies.

BCL: Provides for BCL-D quick search computer services on resume information.

Procurement Office, USARO: For evaluation of individual scientific service cost proposals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in metal containers and automatic data processing (ADP) random access.

Retrievability:

Filed alphabetically by last name of candidate and ADP by keyword.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly trained and that have proper need.

Retention and disposal:

Records are temporary. They are retained in active file for life of the contract to facilitate work. They are destroyed when no longer required.

System manager(s) and address:

Robert S. Carbonara, SSP Program Manager, BCL-D, Durham, NC.

Notification procedure:

Information may be obtained from:

Battelle Columbus Laboratories, Durham Operations
Suite 4A
3333 Chapel Hill Boulevard
Durham, NC 27707
Telephone: Area Code 919/489-2366

Record access procedures:

Requests from individuals should be addressed to: Battelle Columbus Laboratories, Durham Operations, Suite 4A, 3333 Chapel Hill Boulevard, Durham, NC 27707.

Written requests for information should contain the purpose of the request, full name of the individual, current address, telephone number, position title, and current employer. Visits are limited to BCL-D.

For personal visits, the individual should be able to provide some acceptable identification; i.e., driver's license, employing officer's identification card, and give some verbal information that can be verified.

Contesting record procedures:

The Army's rules for access to records and for contesting the contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Correspondence received from candidates.

Systems exempted from certain provisions of the act:

None

A1401.08aDAAG

System name:

1401.08 Alphabetical Library Borrowers' File

System location:

Libraries on all Army installations. For installation address see the organizational directory in the Appendix to these system notices.

Categories of individuals covered by the system:

Active and retired military and civilian personnel (including dependents of military) and all other authorized patrons of Army library facilities.

Categories of records in the system:

File contains a record showing name, address, social security number (SSN) and telephone number, which is used for patron registration and record of library materials loaned.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012 and Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To fully identify every patron authorized to borrow library materials when materials are charged out of the library. As library meterials become overdue for return, overdue notices are sent to the patrons at the military or civilian address, as appropriate, depending on the status of the patron. Used as a means of assuring that all installation property has been returned and that the individual's account is clear in conjunction with the installation clearance system. May also be used to prepare a written report to the installation commander, if the individual refuses or fails to make restitution for negligently lost, damaged or destroyed library materials, and for taking action as may be deemed appropriate to achieve restitution. It is also used to advise patrons when specific information or materials requested are available. It may be used for recording in library use of equipment as head sets, typewriters, and cassette players.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files, magnetic tape, computer printouts.

Retrievability:

File alphabetically by patron's surname.

Safeguards:

Files are maintained in areas accessible only to auth- orized personnel who are properly instructed in the permissible use of the information. Library is secured during non-duty hours.

Retention and disposal:

Records are routinely destroyed upon clearance of the individual involved.

System manager(s) and address:

The Adjutant General, Headquarters, Department of the Army (DAAG-RE), Washington, DC 20314.

Notification procedure:

Requests should be directed to the specific library involved.

Record access procedures:

Written requests should be addressed to the librarian of the library having the record and should contain the full name, rank, and SSN of the individual.

For personal visits, the individual should be able to provide identification such as a military or civilian identification card, or driver's license with a photograph.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determina- tions are contained in Army Regulation 340-21.

Record source categories:

Each patron authorized to use the library completes and personally signs a Borrower's Registration Form (may be a Department of the Army (DA) Form 1878). Information is obtained from no other source unless correspondence is returned by mail channels.

Systems exempted from certain provisions of the act:

None

A1402.18DAJA

System name:

1402.18 Procurement Misconduct Files (Fraud Cases)

System location:

Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Categories of individuals covered by the system:

Individuals or legal entities investigated for alleged procurement misconduct, such as fraudulent activities in securing or performing a Government contract.

Categories of records in the system:

Criminal and administrative investigations of fraudulent or other criminal conduct in connection with Government procurement activities and the Joint Consolidated List of Debarred, Ineligible, and Suspended Contractors.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to determine whether criminal or civil proceeding should be initiated against the contractor with the Government or Government procurement officials for criminal conduct in connection with procurement activities and to maintain and distribute a list of contractors determined to be ineligible to participate in Government procurement activities. The routine users include, in addition to the Litigation Division, Office of the Judge Advocate General of the Army, the Department of Justice, United States (US) Attorneys, and the addressees for the Joint Consolidated List of Debarred, Ineligible, and Suspended Contractors which are: Chief of Naval Material, Department of Navy; Director of Procurement Policy, DCS/S&L, Department of Air Force; Director, Defense Supply Agency; Director, Defense Communications Agency; Director, Defense Nuclear Agency; Headquarters, Department of the Army (HQDA) (DAEN-GCZ-A); HQDA (DASG-HCL); HQDA (NGB-JA); HQDA (DAMA-PPZ-A) Commander in Chief, US Army Europe and Seventh Army; Commander; US Army Forces Command, Ft McPherson, Georgia; US Army Health Service Command ATTN: HSC-LO-P; US Army Materiel Command; US Army Training and Doctrine Command; Military District of Washington, US Army; US Army Communications Command; US Army Security Agency; US Army, Alaska; US Army Theater Support Command, Europe; US Army Support Command, Hawaii; US Army Support Command, Japan.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

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Various Federal buildings employ security guards. Records are maintained in file cabinets accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Destroy 15 years after final action on the case.

System manager(s) and address:

Chief, Litigation Division, Office of The Judge Advocate General, Department of the Army, Washington, DC 20310.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to any Staff Judge Advocate Office.

Record access procedures:

Written requests for information should contain the full name of the individual, current address and telephone number, the case number that appears with the office symbol on all correspondence received from this office and any other personal identifying data (driver's license number, if any) which would assist in determining the identity of the requester.

For personal visits, the individual should be able to provide some positive identification (driver's license, identification card) and give some information that could be verified within his 'case' folder. Visits may be made to the Litigation Division, Office of The Judge Advocate General, Department of the Army, Room 2D435, The Pentagon, Washington, DC 20310.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army Staff elements, Staff Judge Advocate Offices, as listed in the DOD organizational directory, Records Center St. Louis, Military Personnel Center, Posts, Camps, and Stations, Department of the Army (DA) Field operating agencies, Civil Service Commission, Department of Justice, US Attorneys, opposing counsel, Armed Forces Institute of Pathology.

Systems exempted from certain provisions of the act:

None

A1402.20aUSAREUR

System name:

1402.20 Procurement Management Information System Europe

System location:

Primary System: Headquarters, United States (US) Army Procurement Agency, Europe (USAPAE), Box 49, APO NY 09710.

Decentralized Segments: Maintained by subordinate purchasing offices in Germany. Official mailing addresses are derivable from the Department of Defense Directory in the Appendix to the Department of the Army system notices.

Categories of individuals covered by the system:

Any person associated with a firm that desires to do business with the US Government through the US Army Procurement Agency, Europe.

Categories of records in the system:

Standard Form 129, Bidder's Mailing List Application, contains applicant's name and address; type of organization; how long in present business; name of business officers, owners, partners, affiliates of applicant; persons authorized to sign bids, offers, and contracts in applicant's name; equipment, supplies, materials, and/or services on which applicant desires to bid; type of business; size of business; business floor space; business net worth; security clearance of key personnel and/or plant.

Dun & Bradstreet business rating, name of firm owner, name and address of firm, date firm started in business, payments, annual sales, number of employees, firm history, firm finances, firm operation description, firm bankers, promptness of firm payments.

Department of Defense (DOD) Form 1057, Monthly Procurement Summary of Actions Under

10,000 by Purchasing Office, contains number and dollar value of all procurement actions; number and dollar value of negotiated actions; number and dollar value of research, development, test and evaluation actions; number and dollar value of competition in negotiated actions; number and dollar value of imprest fund actions.

Army, Europe (AE) Form 1014a, US Army, Europe (USAREUR) Dollar-Deutsche Mark Procurement Report, contains name and location of purchasing office, activity address number, monthly reporting period, number and dollar value of obligations by budget program, country where procured, dollar value of obligation of operation and maintenance, Army (OMA) and Deutsche Mark (DM) Funds.

AE Form 1014b, Analysis of USAREUR Offshore Procurement, contains, by category, monthly dollar value of services and/or supplies, FY cumulative dollar value of supplies and services.

AE Form 1014c, Breakout of Total Procurement Workload, contains name and address of purchasing office, activity address number, monthly reporting period, purchase request workload, procurement administrative lead time (PALT).

AE Form 1014d, Breakout by Purchase Method, contains name and address of purchasing office, activity address number, reporting period, number of actions accomplished in purchasing offices and number of actions accomplished by ordering officers by type of action, number of contracts awarded and number of modifications executed by category dollar value.

AE Form 1014e, Contract Execution and Administration, contains name and location of purchasing office, activity address number, monthly reporting period, contract execution by number, contract administration by number, competitive procurement by dollar value, delinquent contracts by number, contract terminations by number.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012, Secretary of the Army, powers and duties, delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to provide increased accessibility to a greater number of qualified supply sources, thereby reducing costs to the US Government through increased competition. Contracting officers and purchasing agents use information to determine sources for supplies and services required by the US Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, punched cards, computer magnetic tapes, computer magnetic disks, computer paper printouts.

Retrievability:

Paper records accessed manually and retrieved by name of bidder, type of supply or service sold. Punched cards accessed manually and by computer, and retrieved by computer index codes. Computer magnetic tapes and computer magnetic disks accessed by computer and information retrieved by computer index codes. Computer paper printouts accessed manually by name of firm or individual and address, and type of supply or service sold.

Safeguards:

Access is limited to contracting officers and purchasing agents. Buildings containing records are secured during nonworking hours. Records are filed in file containers.

Retention and disposal:

No response to two consecutive solicitations to offer results in removal and disposal of all relevant records. Paper records, punched cards and computer printouts are disposed of as Automatic data processing (ADP) salvage waste; computer tapes and computer disks are magnetically erased.

System manager(s) and address:

USAREUR Deputy Chief of Staff, Logistics, ATTN: AEAGD-S, APO NY 09403.

Notification procedure:

Information may be obtained from:

USAREUR Deputy Chief of Staff, Logistics, ATTN: AEAGD-S-PD, APO NY 09403.

Request for information must contain full name of individual, name and address of individual's business.

Record access procedures:

With assistance of SYSMANAGER. Requests will be referred to the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information is received from persons associated with business organizations expecting to do business with the US Government through US Army Procurement Agency Europe or its subordinate, area field offices.

Information is received from Dun & Bradstreet Company records.

Systems exempted from certain provisions of the act:

None

A1403.30aDAAG

System name:

1403.30 Commercial Entertainment Transaction Records

System location:

Installation and area clubs; other membership associations, nonappropriated fund (NAF) activities and instrumentalities; Armed Forces recreation centers throughout the Army; United States Army Europe and Korea commercial/entertainment offices; and the Club and Community Activities Management Directorate, The Adjutant General Center, Headquarters, Department of the Army. Addresses are listed in the Directory of the Department of the Army Offices, Commands, and Installations appearing in the Annual Compilation of System Notices.

Categories of individuals covered by the system:

Individual performers, members of entertainment groups or their agents who may be members of the United States (US) Forces and/or their dependents, civilian components of US Forces and/or their dependents, and other US citizens or foreign nationals.

Categories of records in the system:

File may contain name of individual or group, social security number (SSN), type of entertainment, passport number, nationality, location of performances, agent code, performance/band information, fees charged, payment records, individual contract number, performance date, and the code of the NAF activity.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To register individual/group entertainers appearing at NAF activities or instrumentalities, clubs, associations or recreation centers; to issue pay and supporting documents incident to contract for such entertainers; to account for monies of open messes and clubs for entertainment purposes. Used for Internal Revenue Service for income tax purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; punch cards, magnetic tapes and disks, and computer printouts.

Retrievability:

By SSN, agent code or band code.

Safeguards:

Buildings employ security guards. Paper files, computer cards, and printouts are stored in areas accessible only to authorized personnel; offices and buildings are locked during non-duty hours. Access to computer is limited to individuals who are properly cleared and trained in accordance with Army regulations.

Retention and disposal:

Records are maintained in current files for 3 years, then transferred to inactive files for 3 years before being destroyed.

System manager(s) and address:

a. Europe: Chief, Program and Budget Division, Office of the Deputy Chief of Staff for Personnel, United States Army Europe and Seventh Army, APO New York 09403.

b. Korea: Commander, Eight United States Army, ATTN: J-1, APO San Francisco 96301.

c. All others: Director, Club and Community Activities Management Directorate, The Adjutant General Center, Headquarters, Department of the Army, Washington, DC 20314.

Notification procedure:

Information may be obtained from the SYSMANAGER

Record access procedures:

Requests from individuals should be addressed to the SYSMANAGER.

Written requests for information should contain the full name of the individual, agent code (if applicable), SSN and/or passport number, and the time period and performance date involved.

For personal visits, the individual must provide acceptable identification such as military identification, driver's license or passport.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Information is obtained from individual entertainers and agents.

Systems exempted from certain provisions of the act:

None.

A1405.01AMC

System name:

1405.01 Contractor Personnel Files

System location:

Contractor Industrial Relations Office, AMSAR-PPC-IR, United States (US) Army Armament Command (ARMCOM).

Categories of individuals covered by the system:

Contractor employees at Government-owned contractor operated plants whose total compensation exceeds

15,000 per annum.

Categories of records in the system:

Files contain entrance, merit and/or promotional and current salaries, educational and experience background and other compensation paid in area of bonuses.

Authority for maintenance of the system:

Title 5 U.S.C., Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Industrial Relation Office: Establishes, maintains and controls reimbursable monetary limitations on total compensation paid to contractor employees working under cost type contracts with the government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in filing cabinets and filing card boxes in alphabetical order by plant.

Retrievability:

Filed in alphabetical order by plant and last name of employee.

Safeguards:

Buildings are periodically checked by guards, Records are maintained in locked filing cabinets.

Retention and disposal:

Records are permanent. They are maintained in active file until employee is terminated at which time they are sent to records holding area at Rock Island Arsenal.

System manager(s) and address:

Director of Procurement and Production, Headquarters (HQ) US Army Armament Command, Rock Island, IL 61201.

Notification procedure:

Information may be obtained from:
ARMCOM, AMSAR-PPC-IR
Building 350
Rock Island, IL 61201
Telephone: Area Code 309-794-6134

Record access procedures:

Request for information should be addressed: US Army Armament Command, AMSAR-PPC-IR, Bldg. 350, Rock Island, IL 61201.

Written request for information should contain full name of the individual and plant where employee last worked.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, work badge and provide basis for requiring such data.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from ARMCOM, AMSAR, P&P Director, Rock Island, IL 61201.

Record source categories:

Various Government-owned contractor-operated installations throughout the US.

Systems exempted from certain provisions of the act:

None

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A1416.05DALO

System name:

1416.05 Property Officer Designation Files

System location:

Maintained at each headquarters with orders issuing authority.

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

Those individuals with formal responsibility for United States (US) Government property.

In all instances the individual concerned is provided a copy of the designation orders.

Categories of records in the system:

File contains copies of orders appointing or relieving individuals as property officers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained to verify an individual's authority to assume responsibility for US Government property.

Utilized by other designated property officers when transferring property;

Used to verify that an individual is a designated property officer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of appointee at headquarters;

Filed by headquarters and orders number at Department of the Army, the Adjutant General.

Safeguards:

Records are maintained in locked cabinets accessible only to limited authorized personnel.

Retention and disposal:

File is maintained during an individual's incumbency and destroyed by burning or shredding 2 years after termination of appointment.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from commanding officers of orders issuing headquarters.

Written requests for information must contain the full name of the individual, social security number, current address and telephone number, orders number and date.

For personal visits, individuals may contact designated representative of commanding officers of orders issuing headquarters.

Record access procedures:

Individual may review his/her record by visiting designated representatives of or writing to commanding officers of orders issuing headquarters.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Written communications of various types, and/or verbal orders of commanding officers, designating individuals as property officers.

Systems exempted from certain provisions of the act:

None

A1416.16DALO

System name:

1416.16 Hand Receipt Files

System location:

Property book offices and supply rooms at most Army activities throughout the world.

This is a working (temporary or suspense) file maintained at the lowest organizational level.

Official mailing addresses are in the Department of Defense Directory.

Categories of individuals covered by the system:

Any individual, citizen or non-citizen, military or civilian, who assumes temporary custody or responsibility for United States (US) Government or other property.

In all instances the individual concerned is provided a copy of the completed and signed hand receipt.

Categories of records in the system:

File contains receipts reflecting acceptance of responsibility for items of property listed thereon. Included are individual receipts and listings.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained as a record of property in use or in custody of individuals.

Utilized by accountable officers as an audit trail for property responsibility.

Used in investigations to determine responsibility for lost, damaged, or stolen property.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual concerned.

Safeguards:

Records are maintained in locked cabinets or locked areas accessible only to limited authorized personnel.

Retention and disposal:

File is maintained only while property is in use by or in the custody of an individual.

File is destroyed on turn-in or other complete accounting for the property, or when superseded by a new receipt or listing.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from activities issuing hand receipts.

Written requests for information must contain the full name of the individual, social security number for a citizen, other identifying number for a non-citizen, and current address and phone number.

For personal visits, individuals may contact designated representatives of activities issuing hand receipts.

Record access procedures:

Individual may review his/her record by visiting designated representatives of or writing to the activity issuing hand receipts.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Hand receipt, either on printed form or on plain paper, signed by the individual accepting responsibility for US Government or other property.

Systems exempted from certain provisions of the act:

None

A1416.20DALO

System name:

1416.20 Personal Property Accounting Files

System location:

Maintained in orderly rooms of troop units.

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

Military individuals absent without leave or absent sick in medical facilities.

A copy of the document, with attachments, is provided to the individual concerned.

Categories of records in the system:

File contains documents reflecting items of personal property of individuals absent without leave or absent sick in medical facilities. Included are inventory of personal property and similar forms, and related papers.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained to ascertain and identify property left behind by an absent individual.

Utilized by troop commanders to protect the interests of absent personnel, and to assist in preventing loss, damage, or theft of the individual's property.

Used as a basis for claim against the United States (US) Government by individuals for property lost, damaged, or stolen.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual owning the property.

Safeguards:

Records are maintained in locked cabinets accessible only to limited authorized personnel.

Retention and disposal:

File is maintained during an individual's absence and destroyed by burning or shredding 2 years after return of the individual concerned.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from troop commanders.

Written requests for information must contain the full name of the individual, social security number, current address and telephone number, and dates and circumstances of the absence.

For personal visits, individuals may contact designated representatives of troop commanders.

Record access procedures:

Individual may review his/her record by visiting designated representatives of or writing to troop commanders holding the records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Inventories and other documents prepared by designated individuals.

Systems exempted from certain provisions of the act:

None

A1416.34DALO

System name:

1416.34 Personal Clothing Record Files

System location:

Maintained by Active Army training activities, National Guard Armories, and United States (US) Army Reserve Units.

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

All assigned personnel with military status.

In all instances the individual concerned is provided a copy of the completed and signed record.

Categories of records in the system:

File contains individual personal clothing records, Department of the Army (DA) Form 3078.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained as a record of military personal clothing in the custody of individuals.

Utilized by troop commanders as an audit trail for property responsibility; to determine unit readiness, and as a basis for requisitioning material short of allowances.

Used in investigations to determine responsibility for lost, damaged, or stolen property.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in individual file folders.

Retrievability:

Filed alphabetically by last name of individual concerned.

Safeguards:

Records are maintained in locked cabinets or locked areas accessible only to limited authorized personnel.

Retention and disposal:

For active Army personnel the record is destroyed by burning or shredding when the individual concerned has completed basic training, has been in the service 6 months, and has fulfilled their final showdown inspection as required by Army Regulation (AR) 710-2.

For National Guard and US Army Reserve personnel the record is transferred with the military personnel records jacket when the individual concerned has completed basic training.

For all personnel the record is destroyed by burning or shredding when the individual concerned is separated and has no further military status.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from troop commanders holding the records in question.

Written requests for information must contain the full name of the individual, social security number (SSN), and current address and phone number.

For personal visits, individuals may contact designated representatives of troop commanders.

Record access procedures:

Individual may review his/her record by visiting designated representatives of or writing to troop commanders holding the records.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of the Army (DA) Form 3078 is completed at the time clothing is issued and signed by the individual receiving the clothing.

Systems exempted from certain provisions of the act:

None

A1417.02DALO

System name:

1417.02 Authorized Supply Representative Card Files

System location:

Maintained at self-service supply center stores (SSSCS);

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

Individuals, military or civilian, authorized to sign for material taken from the SSSCS.

Individual signs a sample signature on the card when it is initially prepared.

Categories of records in the system:

File contains cards identifying individuals as authorized supply representatives, correspondence relating to issuance of the cards, and correspondence relating to lost and found cards.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained to identify those individuals authorized to sign for and remove property from the SSSCS.

Utilized to prevent unauthorized personnel from obtaining material from the SSSCS.

Used by the SSSCS to verify signatures of individuals removing supplies from the store.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records or embossed cards in file drawers.

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Retrievability:

Filed by organization and by last name of individual concerned.

Safeguards:

Records are maintained in locked cabinets or locked areas accessible only to limited authorized personnel.

Retention and disposal:

Obsolete cards are destroyed by burning or shredding after making necessary entries to the control register, any remaining files are destroyed in the same manner after 2 years.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the officer in charge (OIC) of the SSSCS where the supply representative card is/was maintained;

Written requests for information must contain the full name of the individual, social security number (SSN), organization to which assigned and date when supply representative card was signed, and current address and phone number.

For personal visits, individuals may contact designated representatives of the OIC of the SSSCS where the supply representative card is/was maintained.

Record access procedures:

Individual may review his or her record by visiting designated representatives of or by writing to the OIC of the SSSCS where the supply representative card is/was maintained.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Printed forms or embossed cards prepared at the direction of the OIC of the SSSCS and validated by the signature of the individual concerned.

Systems exempted from certain provisions of the act:

None

A1417.03DALO

System name:

1417.03 Authorized Supply Representatives Card Register Files

System location:

Maintained at self-service supply center stores (SSSCS);

Official mailing addresses are in the Department of Defense Directory in the Appendix to the Component's System Notice.

Categories of individuals covered by the system:

Individuals, military or civilian, authorized to sign for material taken from the SSSCS;

Individual's name is entered on the register after the card number;

This file is complementary to sysname 1417.02 Authorized Supply Representative Card Files.

Categories of records in the system:

File contains a list of authorized supply representative card numbers, each number followed by the name of the individual to whom the card is assigned.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is maintained to account for authorized supply representative cards.

Utilized to identify authorized supply representative card numbers that have been issued and are available for issue.

Used in investigations of lost, destroyed, or stolen authorized supply representative cards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Ledger sheets in a book or binder.

Retrievability:

File is in authorized supply representative card number sequence.

Safeguards:

Records are maintained in locked cabinets or locked areas accessible only to limited authorized personnel.

Retention and disposal:

The register is destroyed after all cards reflected on the sheet have expired or have been carried forward to a new sheet.

System manager(s) and address:

Deputy Chief of Staff for Logistics, Department of the Army, The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the officer in charge (OIC) of the SSSCS where the supply representative card register is maintained.

Written requests for information must contain the full name of the individual, social security number (SSN), organization to which assigned and date when supply representative card was signed, and current address and phone number.

For personal visits, individuals may contact designated representatives of the OIC of the SSSCS where the supply representative card register is maintained.

Record access procedures:

Individual may review his/her record by visiting designated representatives of or by writing to the OIC of the SSSCS where the supply representative card register is maintained.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Prepared by the SSSCS clerk at the time authorized supply representative cards are issued.

Systems exempted from certain provisions of the act:

None

A1420.08aAMC

System name:

1420.08 Equipment Operator Permit Files.

System location:

Decentralized at local installation level of the Department of the Army. For official mailing addresses see the organizational directory in the Appendix to these system notices.

Categories of individuals covered by the system:

All military and civilian personnel authorized to operate certain categories of Government equipment (generators, air compressors, gas generators, construction equipment, materials handling equipment, locomotives, guided missile hydraulic elevators, mobile floating assault bridges (MOFAB), fueled heaters and stoves, amphibious crafts, and mine detecting equipment).

Categories of records in the system:

File contains individual's permit information (Standard Form 46) for operating the above listed Government equipment.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the record is to establish the permissibility (based on physical and mental qualifications, past experience and training) of an individual for operating various Government equipment. It is used by enforcement personnel, i.e., inspectors, military police, supervisors, etc., to determine whether individuals are qualified to operate the Government equipment that is covered. These inspectors/supervisors are exclusively Department of the Army personnel.

Used by administrative personnel at local installation levels to issue duplicate permits in event of loss or destruction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings are protected from unauthorized entry by security guards and records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are destroyed 3 years from date of issue or whenever revoked by proper authority, whichever occurs first.

System manager(s) and address:

Commander, United States Army Materiel Command, ATTN: AMCSF-S (Chief, Safety Office) 5001 Eisenhower Ave., Alexandria, VA 22333, and Commanders of installations exercising control over this type of equipment.

Notification procedure:

Request should not be addressed to SYSMANAGER but to the Commander of the local installation where record is thought to be filed. Request should be addressed to the Mobility Equipment Examiner of the installation.

Record access procedures:

Requests should be addressed to the local installation where record is thought to be filed.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

All information is obtained by interview with the individual seeking permission to operate Army equipment.

Systems exempted from certain provisions of the act:

None

A1420.09AMC

System name:

1420.09 Equipment Operator Permit Register Files

System location:

Decentralized at local installation level of the Department of the Army. Addresses are in the Department of Defense Directory in the Appendix.

Categories of individuals covered by the system:

All military and civilian personnel authorized to operate certain categories of Government equipment (generators, air compressors, gas generators, construction equipment, materiels handling equipment, locomotives, guided missile hydraulic elevator, mobile floating assault bridge (MOFAB), fueled heaters and stoves, amphibious crafts, pumping equipments, mine detecting equipment, heating and cooling equipment).

Categories of records in the system:

File contains ledger of individuals who have been issued equipment operator permit Standard Form (SF) 46.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the record is to establish an account of equipment operator permits issued.

It is used by administrative personnel to keep track of total number of permits issued at an installation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper ledgers in file folders and card file by permit number.

Retrievability:

Filed numerically by card (SF46) number crossed referenced by individual's name.

Safeguards:

Buildings housing files are protected from unauthorized entry and records are maintained only by authorized personnel.

Retention and disposal:

Records are destroyed 3 years after the last entry on the page or bound register.

System manager(s) and address:

Commander, United States Army Materiel Command, ATTN: AMCSF-S (Chief, Safety Office), 5001 Eisenhower Ave., Alexandria, VA 22333, and commanders of installations exercising control over this type of equipment.

Notification procedure:

Requests should be addressed to the commander of the local installation where record is thought to be filed. Request should be addressed to the Mobility Equipment Examiner of the installation.

Record access procedures:

Written requests should contain the full name of the individual, birth date, social security number (SSN) and permit (card) number, if known.

For personal visits, the individual may contact the installation headquarters administrative staff and ask for the mobility equipment examiner.

For personal visits, the individual should be able to provide some form of identification (ID) (picture ID preferred).

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Army Classification Battery and the Driver Selection, Battery I tests or, if acceptable to the commander, evaluation of the individual's experience by personal interview.

Driver Selection, Battery II if Battery I tests are sufficiently low (below 85) or Battery I is not to be taken.

Systems exempted from certain provisions of the act:

None

A1427.01aDALO

System name:

1427.01 Laundry and Dry Cleaning Accounting Files

System location:

Maintained at all laundries world-wide; Department of the Army (DA) Forms 3799 maintained also at United States Army Finance and Accounting Center (USAFAC), Ft Benjamin Harrison, IN.

Categories of individuals covered by the system:

All military personnel who are authorized payroll deduction service. Files contain individual's name, social security number (SSN), and unit to which assigned. The first letter of the individual's surname and the last four numbers of his SSN are required for identification at installations still utilizing the old permanent marking system.

Categories of records in the system:

Files contain individual's application for laundry and/or dry cleaning start or stop deductions (DA Form 3799), laundry mark, organizational code number, amount deducted from his pay monthly for laundry or dry cleaning service, date, and organization name.

Authority for maintenance of the system:

Title 10 U.S.C., Section 3012; also Army Regulation (AR) 210-130, Fabricare Facilities.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine patrons who are authorized laundry and dry cleaning service. Roster is utilized to verify receipt and shipment of individual laundry bundles and the amount of money deducted from incumbent's pay. Used to determine the amount of reimbursables for installation accounting purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manually or machine prepared rosters based on input submitted by DA Form 3799. All information is stored on magnetic tape, alphabetically by last name.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Manual files are maintained in locked areas accessible only to limited authorized personnel.

Machine prepared files are maintained in the Data Processing Activity tape vault, which is a restricted area. Only authorized personnel have access to the data.

Retention and disposal:

Laundry rosters are retained in active files until the end of the fiscal year, held 1 year in current files area, then forwarded to Records Holding Area for retention for 1 year. Punch cards and DA Forms 3799 are retained indefinitely until laundry or dry cleaning service is cancelled by the individual concerned.

System manager(s) and address:

Chief, Services Branch, Troop Support Division, Directorate of Transportation and Services, Office, Deputy Chief of Staff for Logistics;(ODCSLOG), The Pentagon, Washington, DC 20310.

Notification procedure:

Information may be obtained from the Director of Industrial Operations (DIO) at each installation supporting a laundry facility.

Record access procedures:

V 44 DE 1 17 79 UMI

Requests for information by individuals should be submitted to the DIO of facility providing laundry service for them.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

DA Form 3799, Request for Laundry Services, submitted by active duty Army personnel and other authorized personnel.

Systems exempted from certain provisions of the act:

None

A1434.10AMC

System name:

1434.10 Small Arms Sales Record Files

System location:

Distribution Management Branch, Distribution Division, Materiel Management Directorate, Headquarters (HQ) United States (US) Army Armament Command (ARMCOM), Rock Island, IL 61201, (Correspondence office symbol, AMSAR-MMD-D).

Categories of individuals covered by the system:

Any US citizen who was considered eligible under federal regulations, and purchased a firearm from the US Government for personal use.

Categories of records in the system:

File contains name, mailing address and date the individual purchased the firearm, including; weapon caliber, model, type and serial number of firearm purchased.

Authority for maintenance of the system:

Title 10 U.S.C., Section 4308, Title: Civilian Rifle Range: Establishment; Instruction, authorizes maintenance of the system of records, through implementation of Chapter II (Sales of Ordnance Property to Individuals, Non-Federal Government Agencies, Institutions, and Organizations),

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Distribution Management Branch: To maintain record files, in order to respond to individual citizen inquiries as well as Federal, state and local law enforcement investigative agencies as to ownership or serial number identification.

Individual Citizen Inquiries: To obtain/verify serial number(s) of previous purchases of firearms due to loss of same through fire, theft, or act of God. To enable concerned individual to report loss to proper authorities.

Investigative Agency Inquiries: To provide Federal, state and local law enforcement investigative agencies a source for: determination of last known firearm ownership: tracing of recovered or confiscated firearms; and assistance to law enforcement authorities in criminal prosecution or civil court actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets.

Retrievability:

Bulk of records are filed in serial number sequence by type of weapon with a portion of this system cross-referenced alphabetically by last name of purchaser.

Safeguards:

Installation security guard force in charge of overall security. Records are maintained in building accessible only by authorized personnel.

Retention and disposal:

Records are permament. File is maintained by means of Department of the Army (DA) Form 3535 Weapon Sales Record. All other shipping documents, certificates and related papers are retained in active file until end of calendar year, held 1 additional year in inactive file and subsequently destroyed.

System manager(s) and address:

HQ, US Army Armament Command, Rock Island, IL 61201.

Notification procedure:

Information may be obtained from:
HQ, US Army Armament Command (AMSAR-MMD-D)
Rock Island Arsenal
Rock Island, IL 61201
Telephone: Area Code 309/794-6568

Record access procedures:

Requests from individuals should be addressed to: HQ, US Army Armament Command (AMSAR-MMD-D), Rock Island, IL 61201.

Written requests for information should contain the full name of the individual, current address, (as well as address at time of firearm purchase, if different from current address), the caliber, type and serial number of firearm(s) purchased, if known.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, employing office's identification card, and provide verbal information as to caliber, type and serial number of firearm(s) purchased, if known.

Contesting record procedures:

Army's rules for contesting contents and appealing content data may be obtained from HQ, ARMCOM (AMSAR-GCS), Rock Island, IL 61201.

Record source categories:

Application and related forms from the individual requesting purchase of firearm.

Systems exempted from certain provisions of the act:

None

A1501.07aDAEN

System name:

1501.07 Users' Profile System

System location:

United States (US) Army Corps of Engineers, Southwestern Division, Dallas, TX 75202.

Categories of individuals covered by the system:

All employees of the division office.

Categories of records in the system:

Record of employee by social security number (SSN) and name, with interest by subject, reader profile information.

Authority for maintenance of the system:

Reorganization Act in 1949, 63 Stat. 203, as amended; Title 5 U.S.C., Section 133z.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To aid librarian in selecting, ordering and maintaining media that meets the needs of library users.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Records are maintained on a cycling master file, periodically updated with current data.

Storage:

Computer magnetic tape and printouts.

Retrievability:

Data retrieved by SSN and name or by subject of interest.

Safeguards:

Buildings where files are kept have security guards. Files maintained in area accessible only to authorized personnel.

Retention and disposal:

Destroy when no longer needed to facilitate or control work.

System manager(s) and address:

Chief, Technical Information Division, Office of the Chief of Engineers, Washington, DC 20314.

Notification procedure:

Information may be obtained by contacting: Division Engineer, US Army Engineer Division, Southwestern, Main Tower Building, 1200 Main Street, Dallas, TX 75202.

Record access procedures:

By contacting Office, Administrative Service Branch, US Army Corps of Engineers, Southwestern Division, Dallas, TX 75202.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Information in this file is obtained by a questionnaire furnished each employee. Information voluntary.

Systems exempted from certain provisions of the act:

None

A1503.07aDAEN

System name:

1503.07 Resettlement Files

System location:

Primary System: Homeowners Assistance Division, Real Estate Directorate, Office, Chief of Engineers (OCE) (Department of the Army).

Decentralized Segments: Engineer Division and District Offices.

Categories of individuals covered by the system:

Individuals who apply for relocation assistance pursuant to the provisions of Title II of Public Law 91-646.

Categories of records in the system:

File contains the individual's application for Relocation Assistance and related papers; correspondence between the Engineer Division and District Offices; correspondence between the Homeowners Assistance Division, Real Estate Directorate, Office, Chief of Engineers, and Division and District Offices; correspondence with the applicant; correspondence between the Office of the President and Congressmen from whom the applicant has requested assistance. Documents relating to the movement of displaced persons because of the acquisition of real estate by this agency.

Authority for maintenance of the system:

Pub. L. 91-646.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Homeowners Assistance Division: Records accumulated incident to processing applications for relocation assistance benefits and to consideration of appeals in cases where appeals are filed.

Corps of Engineers Division and District Offices: To take initial action in assisting applicants in preparing their application for benefits, in reviewing applications filed, in determining benefits, and in submitting to higher authority for consideration those applications where appeals are filed which cannot be acted upon favorably at the field level.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders. Information may also be stored on magnetic tape, cards, or disk.

Retrievability:

Filed alphabetically by last name of applicant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Primary System: Records are permanent.

Decentralized Segments: Records are destroyed 6 years after notification of final determination, or 2 years after final audit approval by OCE, whichever is later. Information on magnetic tape, cards, or disk is updated on a continuing basis.

System manager(s) and address:

Chief of Engineers, Headquarters, Department of the Army (HQDA), Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Chief of Engineers
ATTN: DAEN-REH-O
Headquarters, Department of the Army
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202-693-6786

Record access procedures:

Requests from individuals should be addressed to: Chief of Engineers, ATTN: DAEN-REH-O, HQDA, Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number, and the state where the individual resided at time the application was filed. Visits can be made to the Division/District Offices or the Homeowners Assistance Division (DAEN-REH-O), Forrestal Building, Washington, DC 20314.

For personal visits, the individual should be able to provide some acceptable identification such as a current driver's license, and give some verbal information that can be verified with his case folders.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from HQDA (DAEN-REH-O), Washington, DC 20314.

Record source categories:

The individual's application for Relocation Assistance and related correspondence from the Division and District Offices.

Systems exempted from certain provisions of the act:

None

A1504.08aDAEN

System name:

1504.08a Real Estate Outgrants

System location:

Office of the Chief of Engineers (OCE), United States Army Corps of Engineers Division and District Offices with real estate responsibility.

Categories of individuals covered by the system:

Grantees holding outgrants (leases, licenses, easements, permits, and consents) for use of Government real property, or permission (under consents) for use of property over which the Government holds easement interests.

Categories of records in the system:

Outgrant instruments and listings by number and name to include location, purpose, term and rental for each outgrant and an indication when grantees are not in compliance with term of their outgrants.

Authority for maintenance of the system: Outgrants at civil and military installations are issued under the following authorities:

Title 10 U.S.C., Sections 2667, 2668, 2669, 2672, 3012, 4777, 8012 and 9777.
Title 16, U.S.C., Sections 460d and 661 et seq.
Title 30 U.S.C., Section 185.
Title 33 U.S.C., Sections 558b and 558b-1.
Title 40 U.S.C., Sections 319 and 471 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to promote processing of outgrants and to facilitate the administration of the outgrant program.

The machine listing of outgrants (Engineer Form 3560) is used by OCE personnel and District, Division, and Headquarters OCE levels in recording inspections of outgrants and determination of grantees' compliance with terms and conditions of the grant. Though presently used only for civil works projects, it may be used for inspection of military installations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punch cards in ADP Centers; paper records and computer paper printouts in file folders at District/Division/OCE Offices.

Retrievability:

Numerically by outgrant number. Numbers may be obtained from an alphabetical listing by name.

Safeguards:

Automated data are protected by physical security devices which include guards to the buildings, and limited access only to authorized personnel. Access to or update of information in the system is protected through a system of passwords, thereby preserving integrity of data handled. Paper records are maintained in areas accessible only to authorized personnel in buildings which either employ security guards or are locked when not in use.

Retention and disposal:

Outgrants at OCE level are destroyed on termination; remaining files are permanent. Division records are destroyed 4 years after termination of basic instrument. In District Offices and ADP Centers, records are destroyed 3 years after termination of basic instrument.

System manager(s) and address:

Chief, Programs Division, Directorate of Real Estate, Office of the Chief of Engineers, Department of the Army, Washington, DC 20314.

Notification procedure:

Information may be obtained from SYSMANAGER.

Record access procedures:

Access to records may be gained by contacting the SYSMANAGER.

Contesting record procedures:

The Army's rules for access to records or for contesting contents and appealing initial determinations are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

Outgrants in the names of individuals.

Systems exempted from certain provisions of the act:

None

A1506.02aDAEN

System name:

1506.02 Homeowners Assistance Case Files

System location:

Primary System: Homeowners Assistance Division, Real Estate Directorate, Office, Chief of Engineers (OCE), Department of the Army.

Decentralized Segments: Engineer Division and District Offices.

Categories of individuals covered by the system:

Civilian employees and military personnel who apply for homeowners assistance benefits under Section 1013 of Pub. L. 89-754, as amended.

Categories of records in the system:

Documents relating to the application of persons involved in losses sustained in real estate market because of closure or reduction of military bases. Included are: employment verifications; income and expense figures; Engineer (ENG) Form 42 (Offer to Sell Real Property) or similar written offer; ENG Form 3423 (Negotiator's Report), title evidence and opinions, surveys, leases; ENG Form 798 (Certificate of Inspection and Possession); ENG Form 1566 (Payment and Closing Sheet and Receipt for United States Treasurer's Check); market impact data; insurance and tax data; ENG Form 1290 (Disclaimer by Person in Possession); Department of Defense Form 1607 (Application for Homeowners Assistance); Federal Housing Administration (FHA) Form 1174 (Notification of Military Acquisition) and FHA Form 1175 (Transmittal of Recorded Deed and Title Assembly-Military Acquisition); appraisal reports, docket sheets, questionnaires, copies of deeds and mortgages, mortgage settlement data; evidence of proof of ownership and occupancy of residence, applicant appeals and final decisions thereon; comparable forms and related correspondence.

Authority for maintenance of the system:

Section 1013 of the Demonstration Cities and Metropolitan Development Act of 1966, Pub. L. 89-754 (80 Stat. 1255, 1290), as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Homeowners Assistance Division OCE: To process applications for homeowners assistance benefits and to consider appeals; to review market studies and appraisals; to review final title assemblies of deeds of conveyance to the Government for properties acquired under the program.

Corps of Engineers Division and District Offices: To investigate and study potential impact of base closures or reductions based upon personnel data and real estate market conditions; to reply to inquiries; to assist persons in applying for benefits by reviewing applications, determining benefits, furnishing deed, title evidence, name of Government's grantor, name and address of mortgagee, unpaid balance on mortgage, occupancy data, tax information, title opinion and insurance policy; to furnish FHA appropriate papers and to transmit unresolved appeals to OCE.

Department of Housing and Urban Development/FHA: In assuming custody of acquired homes, to manage and dispose of such properties on behalf of the Secretary of Defense.

FHA/Veterans Administration: In accepting subsequent purchaser in private sale when property is encumbered by a mortgage loan guaranteed or insured by them.

Department of Justice: In reviewing final title and deeds of conveyance to the Government for properties acquired under the program, pursuant to their responsibilities under Pub. L. 91-393.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; magnetic tape, cards or disk.

Retrievability:

By applicant's surname.

Safeguards:

Automated data are protected by physical security devices which include guards to the buildings, and limited access only to authorized personnel. Access to or update of information in the system is projected through a system of passwords, thereby preserving integrity of data handled. Paper records are maintained in areas accessible only to authorized personnel in buildings which either employ security guards or are locked when not in use.

Retention and disposal:

Office performing Army-wide responsibility: Files are destroyed 10 years after final action or decision on appeals, as applicable.

System manager(s) and address:

Chief of Engineers, Headquarters, Department of the Army, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Chief of Engineers, Headquarters,
Department of the Army,
ATTN: DAEN-REH-O
Washington, DC 20314
Telephone: Area Code 202/693-6786.

Record access procedures:

Requests from individuals should be addressed: Chief of Engineers, Headquarters, Department of the Army, ATTN: DAEN-REH-O, Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number, name and location of the installation announced for closure.

Personal visits may be made to the Homeowners Assistance Division, Office, Chief of Engineers, Headquarters, Department of the Army, Washington, DC 20314. The individual should be able to provide acceptable identification such as a current driver's license, and give verbal information that can be verified with case folder.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual's application for homeowners assistance.

Systems exempted from certain provisions of the act:

None

A1509.11aDAEN

System name:

1509.11 Integrated Facilities System (IFS)

System location:

Decentralized at local installation level of the Department of the Army. Addresses are in the Department of Defense Directory in the Appendix to the Department of the Army (DA) system notices.

Categories of individuals covered by the system:

All military and civilian personnel employed in the Directorate of Facilities Engineering at Department of the Army installations.

Categories of records in the system:

The Employee Master File contains employee name, social security number (SSN), shop code, normal duty category (direct labor, indirect labor, direct supervision, indirect supervision), hire category code (Full-time Permanent General Schedule (GS), Full- time Temporary (GS), Full-time Permanent Wage Board, etc.), Base rate per hour (hourly pay rate for the employee).

Adjustment Security File contains the name, grade/rank, and SSN of the several key management personnel at a DA installation (Installations Commander, Director and Deputy Director of Facilities Engineering, Chief, Resource Management Division) authorized to input Economic Indicator Adjustment Factors to the system.

Authority for maintenance of the system:

Title 31 U.S.C., Section 18c.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Army Installations: The Employee Master File is the source of individual employee labor rates used in the computations which support facilities engineering cost accounting. Monthly, there is a formatted output of this file which lists employee name, SSN, and base rate per hour. The file output is used by administrative personnel of the Directorate of Facilities Engineering in file maintenance. The Adjustment Security File is used to verify and provide positive control of the input of Economic Indicator Adjustment Factors to the system. These factors affect all the cost estimate information in the system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and computer paper printout.

Retrievability:

By name, SSN, or automatic data processing parameter.

Safeguards:

Computers are housed behind locked doors. Rooms are accessible only to authorized individuals. Data are available only to the Facilities Engineer and those of his staff responsible for system operation and maintenance.

Retention and disposal:

Data retained in file until updated or service of individual is terminated.

File printouts are retained for 30 days, until superseded by update. Outdated output is disposed of through routine waste disposal methods used for unclassified materials.

System manager(s) and address:

Chief, Systems Branch, Management & System Division, Directorate of Facilities Engineering, Office of the Chief of Engineers, Washington, DC 20314.

Notification procedure:

Individuals assigned to particular installations may obtain information from the installation functional manager: The Director of Facilities Engineering.

Record access procedures:

Requests from individuals should be addressed to the installation Facilities Engineer.

Written requests for information should contain as a minimum full name and SSN.

Contesting record procedures:

Army rules for access to records and for contesting contents and appealing initial determinations are contained in Army Regulation 340-21.

Record source categories:

Enlistment, commission, or appointment related forms which reflect base pay rate data for individuals.

Systems exempted from certain provisions of the act:

None

A1511.01aDAEN

System name:

1511.01 Army Housing Information Management System (HIMS)

System location:

Office of the Chief of Engineers, Department of the Army, Washington, DC 20314, and Housing Managers at Army installations worldwide. Official mailing addresses are in the Department of the Army Directory.

Categories of individuals covered by the system:

Military personnel, their dependents; Department of Defense or other key civilian personnel.

Categories of records in the system:

Applications for on/off post housing containing such information as name, service/social security number (SSN) rank/grade and date, service date, organization of assignment, home address and telephone number; locator data; appropriate travel orders; records reflecting housing availability/ assignment/termination; eligibility of civilians for loan to purchase housing; referral services; property inventories, hand receipts, and issue slips; cost control, job orders; survey data; reports of liaison with real estate boards, realtors, brokers and other Government agencies; other management reports regarding HIMS; complaints and investigations; and related correspondence.

Authority for maintenance of the system:

Title 10 U.S.C., Sections 133 and 2674.

Department of Defense Instructions 1100.16, 4165.27, 4165.34, 4165.43, 4165.44, 4165.47 and 4165.51.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information relating to the management, operation, and control of the Army housing program; to provide necessary housing for military personnel, their dependents, and qualified civilian employees; to determine housing adequacy/suitability; to document cost data for alterations/repair of units; to establish rental rates; to provide guidance and referral service; to reflect liaison with real estate boards, brokers, and other Government agencies; to render reports; to investigate complaints and related matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, file cards, computer tapes, disks and printouts, and punched cards.

Retrievability:

By individual's surname, facility name or number.

Safeguards:

Automated data are protected by physical security devices which include guards to the buildings, and limited access only to authorized personnel. Access to or update of information in the system is protected through a system of passwords, thereby preserving integrity of data handled. Paper records are maintained in areas accessible only to authorized personnel in buildings which either employ security guards or are locked when not in use.

Retention and disposal:

Installation troop housing files: Destroyed after 3 years.

Installation housing project tenancy files: Destroyed 3 years after termination of quarters occupancy.

Cost control files: Destroyed 11 years after last entry.

Leasing/rental rate files: Destroyed after 10 years.

Housing referral service files: Destroyed after 5 years.

Off-post rental housing reports: Office performing Army-wide staff responsibility: Destroyed after 5 years. Other offices: Destroyed after 3 years.

Off-post housing complaints/investigations: Office performing Army-wide staff responsibility: Destroy 5 years after completion. Other offices: Destroy 2 years after completion.

System manager(s) and address:

Chief of Engineers, Headquarters, Department of the Army, Washington, DC 20314.

Notification procedure:

Information may be obtained from the Director of Industrial Operations, Office of the Chief of Engineers, or his counterpart in District/Division Offices providing housing service.

Record access procedures:

An individual's request may be addressed to the Director of Industrial Operations at the appropriate installation, and contain the name and address and last assignment location.

For personal visits, the individual should be able to provide acceptable identification such as valid driver's license or military identification card.

Contesting record procedures:

The Army's rules for contesting contents and appealing initial determination are contained in Army Regulation 340-21 (32 CFR Part 505).

Record source categories:

The individual, his/her personnel records, tenants/landlords and realty activities, financial institutions, and previous employers/commanders.

Systems exempted from certain provisions of the act:

None

A1522.10aDAEN

System name:

1522.10 Reservoir Permit Files

System location:

United States Army Corps of Engineers Project Offices.

Categories of individuals covered by the system:

Any person or persons applying for permits, permittees and persons having done unauthorized work at Corps water resource development projects.

Categories of records in the system:

Applications for permits, permits and letters of comment from the general public.

Authority for maintenance of the system:

Title 16 U.S.C., Section 460d; Title 31 U.S.C., Section 483a; Title 42 U.S.C., Sections 4321, 4331-4335, 4341-4347; Title 33 U.S.C., Section 1251 et seq; Executive Order 11752.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a basis for lakeshore management and public use activity control by the Resource Manager at appropriate project.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Project offices use paper records in file.

Retrievability:

Name of applicant and permit number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Reservoir permits are destroyed 1 year after expiration of permit.

System manager(s) and address:

Chief of Recreation Resource Management Branch, Construction/Operations Division, Civil Works Directorate, Office, Chief of Engineers, Washington, DC 20314.

Notification procedure:

Individuals inquiring whether the system contains records pertaining to them should write to Project Resource Manager at project concerned.

Record access procedures:

The Corps of Engineers project office is the place of record for these permits.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in these files comes from the applicant and the Corps of Engineers.

Systems exempted from certain provisions of the act:

None

A1522.15aDAEN

System name:

1522.15 General Permit Files

System location:

Primary System: United States Army Corps Division and District Offices.

Secondary System: Office of the Chief of Engineers (OCE), Washington, DC 20314.

Categories of individuals covered by the system:

Any person or persons applying for permits, permittees and persons having done unauthorized work in navigable waters.

Categories of records in the system:

Applications for permits, permits, written comments from the general public, state, local and Federal agencies and Corps of Engineers supporting documents.

Authority for maintenance of the system:

Section 9, 10 and 14, River and Harbor Act of March 3, 1899;
Section 404, Federal Water Pollution Control Act Amendments of 1972;
Section 103, Marine Protection, Research and Sanctuaries Act of 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To serve as basis for decision by Chief of Engineers or his designated representative in enforcing the regulatory program. Records may be referred to the Department of Justice for possible criminal prosecution.

Portions of records may be released to other appropriate Federal agencies to solicit views regarding the application, as required by Federal laws, such as the National Environmental Quality Act of 1969 and the Fish and Wildlife Coordination Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Applications for permits are kept until permit is issued, denied or withdrawn. Permits are kept for the life of the structure. Files on unauthorized activities are kept until case is resolved.

Storage:

District offices use different methods of storage (paper records in file folders, computer paper printouts, computer magnetic disks and microfilm).

Retrievability:

District offices use different systems and therefore can retrieve information in a variety of ways. All Districts can retrieve information by name. Some Districts have as many as ten different parameters on which to extract information.

Safeguards:

All buildings where files are kept have security guards. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Fill and bank protection files are permanent. Dock permit files are destroyed 2 years after removal of the structure. Dredging and dumping permit files are destroyed 2 years after revocation or expiration. General permit files are permanent in field offices and destroyed after 3 years in OCE. Rejected permit application files are destroyed 1 year after disapproval. Nonaction construction permit files are destroyed 2 years after expiration of permit.

System manager(s) and address:

Chief, Regulatory Functions Branch, Civil Works Directorate, Office, Chief of Engineers, Washington, DC 20314.

Notification procedure:

Information may be obtained by writing:
HQDA, Office of the Chief of Engineers
ATTN: DAEN-CWO-N
Washington, DC 20314

Information may also be obtained by writing or visiting the nearest Corps of Engineers District office.

Record access procedures:

The location of nearest Corps of Engineers District Office can be determined by writing the SYSMANAGER. The District Offices are offices of record for these files.

Contesting record procedures:

The Army's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in these files comes from the applicant, local and state government, the general public and the following Federal agencies: Department of the Interior, Environmental Protection Agency, National Oceanic and Atmospheric Administration, Department of Justice, and Corps of Engineers.

Systems exempted from certain provisions of the act:

None

A1524.11DAEN

System name:

1524.11 Violation Warning Files

System location:

Decentralized Segments: All Corps of Engineers projects that issue Department of Defense (DD) 1805's (Violation Notice) or Corps of Engineers (ENG) Form 4381 (Warning Citation).

Categories of individuals covered by the system:

Any individual who, on lands administered by the Corps of Engineers, violates the provisions of Chapter III, Parts 313 or 327, of Title 36, Code of Federal Regulations which governs public use of water resource development projects.

Categories of records in the system:

File contains the DD 1805 or ENG Form 4381, a copy of which was given the individual at the time of preparation.

Authority for maintenance of the system:

Section 234 of the Flood Control Act of 1970 (Public Law 91-611, 31 December 1970, 84 Stat. 1818).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Resources Manager: File used for reference in checking prior offenses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Forms records in file folders.

Retrievability:

Filed alphabetically by last name of violator.

Safeguards:

Files maintained in areas accessible only to authorized personnel assigned to the project.

Retention and disposal:

Destroy after 1 year.

System manager(s) and address:

Chief of Engineers, Headquarters, Department of the Army (HQDA), Forrestal Building, Washington, DC 20314.

Notification procedure:

Information may be obtained from:
Chief of Engineers
ATTN: DAEN-PM
Headquarters, Department of the Army
Forrestal Building
Washington, DC 20314
Telephone: Area Code 202/693-7303/4

Record access procedures:

Requests from individuals shall be addressed to: The project site that originated the violation/warning notice or to HQDA (DAEN-PM), Forrestal Building, Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number, and the serial number of the violation/warning notice.

For personal visits to project sites, the individual should be able to provide some acceptable identification, i.e., Driver's license, employing office's identification card, and give some verbal information that can verify the circumstances surrounding his case.

Contesting record procedures:

The method of contesting the violation/warning is explained to each individual at time of issuance.

Record source categories:

Documents are prepared by Corps of Engineer Enforcement personnel at the civil works sites.

Systems exempted from certain provisions of the act:

None

DIRECTORY OF UNITED STATES ARMY, ARMY AND AIR FORCE EXCHANGE SERVICE AND FEDERAL ACQUISITION INSTITUTE ADDRESSES

This directory is published to enable users of record system notices to identify the location of such systems of records in order to request access to and amendment of records.

The Department of the Army also processes the record system notices of the Army and Air Force Exchange Service (AAFES) and the Federal Acquisition Institute (FAI) for publication in the FEDERAL REGISTER; therefore, the addresses of these organizations are included in this directory.

HEADQUARTERS, DEPARTMENT OF THE ARMY

The following elements of the Army constitute the Headquarters, Department of the Army and are located in Washington, DC area:

Office of the Secretary of the Army

Office of the Assistant Chief of Staff for Automation and Communications

Office of The Adjutant General

Office of the Chief, Army Reserve

Office of the Comptroller of the Army

Office of the Chief of Chaplains

Office of the Chief of Engineers

Office of the Chief of Staff

Office of The Inspector General

Office of The Judge Advocate General

Office of the Deputy Chief of Staff for Logistics

Office of the Deputy Chief of Staff for Research, Development and Acquisition

Office of the Assistant Chief of Staff for Intelligence

Office of the Chief, Military History

Office of the Deputy Chief of Staff for Operations and Plans

Office of the Chief, National Guard Bureau

Office of the Deputy Chief of Staff for Personnel

Office of The Surgeon General

Office of the Chief of Public Affairs

Army Board for Correction of Military Records

MAJOR COMMANDS

Commander US Army Materiel Development and Readiness Command 5001 Eisenhower Ave Alexandria, VA 22332

Commander US Army Military District of Washington Ft Lesley J. McNair 4th and P Sts, SW Washington, DC 20319

Commander US Army Criminal Investigation Command Nassif Bldg 5611 Columbia Pike Falls Church, VA 22041

Commander US Army Communications Command Ft Huachuca, AZ 85613

Commander US Army Health Services Command Ft Sam Houston, TX 78234

Commander US Army Forces Command Ft McPherson, GA 30330

Commander US Army Recruiting Command Ft Sheridan, IL 60037

Commander Military Traffic Management Command Washington, DC 20315

Commander US Army Training and Doctrine Command Ft Monroe, VA 23651

Commander US Army Intelligence and Security Command Arlington Hall Station 400 Arlington Blvd Arlington, VA 22212

Commander US Army Western Command Ft Shafter, HI 96823

Commander US Army Japan APO San Francisco 96343

Commander Eighth US Army APO San Francisco 96301

Commander in Chief US Army Europe and Seventh Army APO New York 09403

ARMY FIELD OPERATING AGENCIES, SUBORDINATE COMMANDS,

AND MAJOR INSTALLATIONS

ALABAMA

Commander US Army School/Training Center and Ft McClellan Ft McClellan, AL 36201

Commander US Army Aviation Center, School and Ft Rucker Ft Rucker, AL 36362

Commander US Army Aeromedical Center Ft Rucker, AL 36362

Commander US Army Safety Center Ft Rucker, AL 36362

Commander US Army Missile and Munitions Center and School Redstone Arsenal, AL 35809

Commander US Army Missile Research and Development Command Redstone Arsenal, AL 35809

District Engineer US Army Engineer District, Mobile PO Box 2288 Mobile, AL 36628

Division Engineer US Army Engineer Division, Huntsville PO Box 1600, West Station Huntsville, AL 35807

ALASKA

Commander 172d Infantry Brigade Ft Richardson, AK 99505

Commander US Army Cold Region Test Center Ft Greely APO Seattle 98733

District Engineer US Army Engineer District, Alaska Anchorage, AK 99510

ARIZONA

Commander Ft Huachuca, AZ 85613

Commander US Army Intelligence Center and School Ft Huachuca, AZ 85613

Commander US Army Yuma Proving Ground Yuma, AZ 85364

ARKANSAS

Commander Ft Chaffee Ft Smith, AR 72902

Commander US Army Pine Bluff Arsenal Pine Bluff, AR 71601

District Engineer US Army Engineer District, Little Rock PO Box 867 Little Rock, AR 72203

CALIFORNIA

Commander 7th Infantry Division and Ft Ord Ft Ord, CA 93941

Commander Military Traffic Management Command, Western Area Oakland Army Base Oakland, CA 94626

Commander US Army Communications Command, Western Area Oakland Army Base Oakland, CA 94626

Commander Letterman Army Medical Center Presidio of San Francisco, CA 94129

Commander Sixth US Army Presidio of San Francisco, CA 94129

District Engineer US Army Engineer District, Los Angeles PO Box 2711 Los Angeles, CA 90053

District Engineer US Army Engineer District, Sacramento 650 Capital Mall Sacramento, CA 95814

District Engineer US Army Engineer District, San Francisco 211 Main Street San Francisco, CA 94105

Division Engineer US Army Engineer Division, South Pacific Room 1216 630 Sansome St San Francisco, CA 94111

COLORADO

Commander Fitzsimmons Army Medical Center Denver, CO 80240

Commander Rocky Mountain Arsenal Denver, CO 80240

Commander 4th Infantry Division and Ft Carson Ft Carson, CO 80913

DISTRICT OF COLUMBIA

Commander The Adjutant General Center Forrestal Bldg 1000 Independence Ave, SW Washington, DC 20314

Administrator US Army Civilian Appellate Review Agency Rm 8H-088, Forrestal Bldg 1000 Independence Ave, SW Washington, DC 20314

Commander Ft Lesley J. McNair 4th and P Sts, SW Washington, DC 20319

Commander US Army Command and Control Support Agency The Pentagon Washington, DC 20310

Commander US Army Management Systems Support Agency The Pentagon Washington, DC 20310

Commander Walter Reed Army Medical Center 6925 16th St, NW Washington, DC 20012

Commander US Army Physical Disability Agency 6925 16th St, NW Washington, DC 20012

FLORIDA

District Engineer US Army Engineer District, Jacksonville PO Box 4970 Jacksonville, FL 32201

GEORGIA

Commander US Army Infantry Center, School, and Ft Benning Ft Benning, GA 31905

Commander US Army Signal Center and Ft Gordon Ft Gordon, GA 30905

Commander Dwight David Eisenhower Army Medical Center Ft Gordon, GA 30905

Commander Ft McPherson, GA 30330

Commander 24th Infantry Division and Ft Stewart Hinesville, GA 31313

District Engineer US Army Engineer District, Savannah PO Box 889 Savannah, GA 31402

Division Engineer US Army Engineer Division, South Atlantic 510 Title Bldg 30 Pryor St, SW Atlanta, GA 30303

HAWAII

Commander Ft Shafter, HI 96823

Commander Tripler Army Medical Center Honolulu, HI 96823

Division Engineer US Army Engineer Division, Pacific Ocean Bldg 230 Ft Shafter, HI 96823

ILLINOIS

Commander Ft Sheridan, IL 60037

Commander US Army Military Enlistment Processing Command Ft Sheridan, IL 60037

Commander US Army Armament Materiel Readiness Command Rock Island Arsenal Rock Island, IL 61201

District Engineer US Army Engineer District, Chicago 219 S Dearborn St Chicago, IL 60604

District Engineer US Army Engineer District, Rock Island Clock Tower Bldg Rock Island, IL 61201

INDIANA

Commander US Army Administration Center and Ft Benjamin Harrison Ft Benjamin Harrison, IN 46216

Commander US Army Finance and Accounting Center Ft Benjamin Harrison, IN 46216

Commander US Army Institute of Administration Ft Benjamin Harrison, IN 46216

KANSAS

Commandant US Army Command and General Staff College Ft Leavenworth, KS 66027

Commander US Army Disciplinary Barracks Ft Leavenworth, KS 66027

Commander 1st Infantry Division and Ft Riley Ft Riley, KS 66442

KENTUCKY

Commander 101st Airborne Division and Ft Campbell Ft Campbell, KY 42223

Commander US Army Armor Center and School Ft Knox, KY 40121

Commander Lexington-Blue Grass Army Depot Lexington, KY 40507

District Engineer US Army Engineer District, Louisville PO Box 59 Louisville, KY 40201

LOUISIANA

Commander 5th Infantry Division and Ft Polk Ft Polk, LA 71459

District Engineer US Army Engineer District, New Orleans PO Box 60267 New Orleans, LA 70160

MARYLAND

Commander Edgewood Arsenal Aberdeen Proving Ground, MD 21005

Commander US Army Aberdeen Proving Ground Aberdeen Proving Ground, MD 21005

Commander US Army Environmental Hygiene Agency Aberdeen Proving Ground, MD 21005

Commander US Army Ordnance School and Center Aberdeen Proving Ground, MD 21005

Commander US Army Test and Evaluation Command Aberdeen Proving Ground, MD 21005

Commander Harry Diamond Laboratories 2800 Powder Mill Road Adelphi, MD 20783

Commander Ft Detrick Frederick, MD 21701

Commander US Army Medical Research and Development Command Ft Detrick Frederick, MD 21701

Commander Ft George G. Meade, MD 20755

Commander US Army Intelligence and Security Agency Ft George G. Meade, MD 20755

Commander Ft Ritchie, MD 21719

District Engineer US Army Engineer District, Baltimore PO Box 1715 Baltimore, MD 21203

MASSACHUSETTS

Commander Ft Devens, MA 01433

Commander US Army Security Agency Training Center and School Ft Devens, MA 01433

Commander US Army Natick Research and Development Command Natick, MA 10760

Division Engineer US Army Engineer Division, New England 424 Trapelo Road Waltham, MA 02154

MICHIGAN

Commander US Army Tank-Automotive Materiel Readiness Command Detroit Arsenal Warren, MI 48089

District Engineer US Army Engineer District, Detroit PO Box 1027 Detroit, MI 48231

MINNESOTA

District Engineer US Army Engineer District, St Paul 1135 US Post Office and Custom House St Paul, MN 55101

MISSISSIPPI

District Engineer US Army Engineer District, Vicksburg PO Box 60 Vicksburg, MS 39180

Division Engineer US Army Engineer Division, Lower Mississippi Valley PO Box 80 Vicksburg, MS 39180

MISSOURI

Commander US Army Engineer Training Center and Ft Leonard Wood Ft Leonard Wood, MO 65473

Commander Automated Logistics Management Systems Activity PO Box 1578 St Louis, MO 63188

Commander US Army Reserve Components Personnel and Administration Center 9700 Page Blvd St Louis, MO 63132

District Engineer US Army Engineer District, Kansas City 700 Federal Bldg Kansas City, MO 64106

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District Engineer US Army Engineer District, St Louis 210 N 12th St St Louis, MO 63101

NEBRASKA

District Engineer US Army Engineer District, Omaha 6014 US Post Office and Courthouse 215 N 17th St Omaha, NE 68102

Division Engineer US Army Engineer District, Missouri River PO Box 103, Downtown Station Omaha, NE 68101

NEW JERSEY

Commander Military Traffic Management Command, Eastern Area Bayonne, NJ 07002

Commander Pictinny Arsenal Dover, NJ 07801

Commander US Army Training Center and Ft Dix Ft Dix, NJ 08640

Commander US Army Communications Research and Development Command Ft Monmouth, NJ 07703

Commandant US Military Academy Preparatory School Ft Monmouth, NJ 07703

NEW MEXICO

Commander White Sands Missile Range, NM 88002

District Engineer US Army Engineer District, Albuquerque PO Box 1580 Albuquerque, NM 87103

NEW YORK

Commandant US Army Chaplain School Ft Wadsworth Rosebank, Staten Island, NY 10305

Superintendent US Military Academy West Point, NY 10996

District Engineer US Army Engineer District, Buffalo 1776 Niagara St Buffalo, NY 14207

District Engineer US Army Engineer District, New York 26 Federal Plaza New York, NY 10007

Division Engineer US Army Engineer Division, North Atlantic 90 Church St New York, NY 10007

NORTH CAROLINA

Commander XVIII Airborne and Ft Bragg Ft Bragg, NC 28308

Commander US Army Institute for Military Assistance Ft Bragg, NC 28308

District Engineer US Army Engineer District, Wilmington PO Box 1890 Wilmington, NC 28401

OHIO

Division Engineer US Army Engineer Division, Ohio River PO Box 1159 Cincinnati, OH 45201

OKLAHOMA

Commander US Army Field Artillery Center, School, and Ft Sill Ft Sill, OK 73503

District Engineer US Army Engineer District, Tulsa PO Box 61 Tulsa, OK 74102

OREGON

District Engineer US Army Engineer District, Portland PO Box 2946 Portland, OR 97208

Division Engineer US Army Engineer Division, North Pacific PO Box 2870 Portland, OR 97208

PENNSYLVANIA

Commandant US Army War College Carlisle Barracks, PA 17013

Commander Letterkenny Army Depot Chambersburg, PA 17201

Commander US Army International Logistics Command New Cumberland Army Depot New Cumberland, PA 17070

Commander US Army Support Activity, Philadelphia Philadelphia, PA 17101

Commander Tobyhanna Army Depot Tobyhanna, PA 18466

District Engineer US Army Engineer District, Philadelphia US Custom House 2d and Chestnut Sts Philadelphia, PA 19106

District Engineer US Army Engineer District, Pittsburgh Federal Bldg 1000 Liberty Ave Pittsburgh, PA 15222

SOUTH CAROLINA

Commander US Army Infantry Training Center and Ft Jackson Ft Jackson, SC 29209

District Engineer US Army Engineer District, Charleston PO Box 919 Charleston, SC 29402

TENNESSEE

District Engineer US Army Engineer District, Memphis 668 Clifford Davis Bldg Memphis, TN 38103

District Engineer US Army Engineer District, Nashville PO Box 1070 Nashville, TN 37202

TEXAS

Commander William Beaumont Army Medical Center El Paso, TX 79920

Commandant Health Services Academy, US Army Ft Sam Houston, TX 78234

Commander Brooke Army Medical Center Ft Sam Houston, TX 78234

Commander Fifth US Army Ft Sam Houston, TX 78234

Commander US Army Air Defense Center, School, and Ft Bliss Ft Bliss, TX 79916

Commander III Corps and Ft Hood Ft Hood, TX 76544

Chief US Army Health Information Systems and Boistatistical Agency Ft Sam Houston, TX 78234

Commander Red River Army Depot Texarkana, TX 75501

District Engineer US Army Engineer District, Fort Worth PO Box 17300 Ft Worth, TX 76102

District Engineer US Army Engineer District, Galveston PO Box 1229 Galveston, TX 77553

Division Engineer US Army Engineer Division, Southwestern Main Tower Bldg 1200 Main St Dallas, TX 75202

UTAH

Commander US Army Dugway Proving Ground Dugway, UT 84022

Commander Tooele Army Depot Tooele, UT 84074

VIRGINIA

Commander Cameron Station Alexandria, VA 22314

Chief US Army Civilian Personnel Center Hoffman Bldg II 200 Stovall St Alexandria, VA 22332

Commander US Army Military Personnel Center Hoffman Bldg II 200 Stovall St Alexandria, VA 22332

Commander US Army Research Institute for the Behavioral and Social Sciences 5001 Eisenhower Ave Alexandria, VA 22333

Commander Arlington Hall Station 400 Arlington Blvd Arlington, VA 22212

Commandant The Judge Advocate General's School, US Army Charlottesville, VA 22901

Commander US Army Audit Agency Nassif Bldg Falls Church, VA 22041

Commander US Army Computer Systems Support and Evaluation Agency Falls Church, VA 22041

Commander US Army Operational Test and Evaluation Agency 5600 Columbia Pike Falls Church, VA 22041

Commander US Army Engineer Center and Ft Belvoir Ft Belvoir, VA 22060

Commander US Army Computer Systems Command Ft Belvoir, VA 22060

Commander US Army Transportation Center, School and Ft Eustis Ft Eustis, VA 23604

Commander US Army Logistics Management Center Ft Lee, VA 23801

Commander US Army Quartermaster Center, School and Ft Lee Ft Lee, VA 23801

District Engineer US Army Engineer District, Norfolk 803 Front St Norfolk, VA 23510

Division Engineer US Army Engineer Division, Middle East (Rear) PO Box 2250 Winchester, VA 22601

WASHINGTON

Commander 9th Infantry Division and Ft Lewis Ft Lewis, WA 98433

Commander Madigan Army Medical Center Tacoma, WA 98431

District Engineer US Army Engineer District, Seattle PO Box C-3755 Seattle, WA 98124

District Engineer US Army Engineer District, Walla Walla Bldg 602 City-County Airport Walla Walla, WA 99362

WEST VIRGINIA

District Engineer US Army Engineer District, Huntington PO Box 2127 Huntington, WV 25721

WISCONSIN

Commander Ft McCoy Sparta, WI 54656

OVERSEAS

Commander in Chief US Southern Command US Army Element APO Miami 34003

Commander V Corps APO New York 09097

Commander VII Corps APO New York 09107

Commander 32d Army and Air Force Defense Command APO New York 09227

Commander US Army Berlin Brigade APO New York 09742

Commander US Army Medical Command, Europe APO New York 90403

Commander US Army Southern European Task Force APO New York 09168

Commander in Chief US European Command US Army Element APO New York 09128

Commander US Army Element SHAPE APO New York 09055

Division Engineer US Army Engineer Division, Europe APO New York 09757

Division Engineer US Army Engineer Division, Mediterranean APO New York 09019

Division Engineer US Army Engineer Division, Middle East APO New York 09038

Commander 4th US Army Missile Command APO San Francisco 96558

Commander I Corps APO San Francisco 96358

District Engineer US Army Engineer District, Far East APO San Francisco 96301

District Engineer US Army Engineer District, Japan APO San Francisco 96343

ARMY AND AIR FORCE EXCHANGE SERVICE (AAFES)

HEADQUARTERS

Army and Air Force Exchange Service 3911 Walton Walker Blvd Dallas, TX 75222

CONTINENTAL UNITED STATES EXCHANGE REGIONS/AREA EXCHANGES/EXCHANGES

Alamo Exchange Region Army and Air Force Exchange Service Bldg 370 Ft Sam Houston, TX 78234

Southwest Area Exchange
Ft Bliss, TX 79006

South Texas Area Exchange
Lackland AFB, TX 78236

Central Texas Area Exchange
Ft Hood, TX 76544

V 44 DE 1 7 7 9 UMI

Red River Area Exchange
Barksdale AFB, LA 71110

Capitol Exchange Region Army and Air Force Exchange Service Bldg 6 Cameron Station Alexandria, VA 22314

Mid-Atlantic Area Exchange
Ft Dix, NJ 08640

New England Area Exchange
Ft Devens, MA 01433

Tidewater Area Exchange
Langley AFB, VA 23665

Washington Area Exchange
Cameron Station
Alexandria, VA 22314

Azores Area Exchange
APO New York 09406

Golden Gate Exchange Region Army and Air Force Exchange Service Box 3553 San Francisco, CA 94119

Alaska Area Exchange
Pouch 6-550
Anchorage, AK 99502

Arizona Area Exchange
Davis-Monthan AFB, AZ 85707

Northern California Area Exchange
Mather AFB, CA 95655

Northwest Area Exchange
Ft Lewis, WA 98433

Southern California Area Exchange
Norton AFB, CA 92409

Central California Area Exchange
Ft Ord, CA 93941

Ohio Valley Exchange Region Army and Air Force Exchange Service Bldg 2501, Gate 1 Indiana Army Ammunition Plant Charlestown, IN 47111

Central Area Exchange
Ft Leonard Wood, MO 65473

Great Lakes Area Exchange
K. I. Sawyer AFB, MI 49843

Midwest Area Exchange
Wright-Patterson AFB, OH 45433

North Central Area Exchange
Offutt AFB, NE 68113

Rocky Mountain Area Exchange
Ft Carson, CO 80913

Southeast Exchange Region Army and Air Force Exchange Service 1280 Kershaw St Montgomery, AL 36108

West Georgia Area Exchange
Ft Benning, GA 31905

Blue Ridge Area Exchange
Ft Bragg, NC 28307

Piedmont Area Exchange
Ft Jackson, SC 29207

Florida Area Exchange
MacDill AFB, FL 33608

Panama Area Exchange
APO Miami 34009

Puerto Rico Exchange
Ft Buchanan, PR 00934

Gulf Coast Area Exchange
Eglin AFB, FL 32542

OVERSEAS AAFES

Headquarters Army and Air Force Exchange Service-Europe
APO New York 09245

Frankfurt Area Exchange, Germany
APO New York 09757

Greece Area Exchange
APO New York 90253

Italy Area Exchange
APO New York 09168

Spain Area Exchange
APO New York 09283

United Kingdom Area Exchange
APO New York 09129

Turkey Area Exchange
APO New York 09224

Headquarters Army and Air Force Exchange Service-Pacific 919 Ala Moana Honolulu, HI 96814

Guam Area Exchange
APO San Francisco 96351

Hawaii Area Exchange
919 Ala Moana
Honolulu, HI 96814

Japan Area Exchange
APO San Francisco 96323

Korea Area Exchange
APO San Francisco 96301

Okinawa Area Exchange
APO San Francisco 96344

Philippines Area Exchange
APO San Francisco 96431

FEDERAL ACQUISITION INSTITUTE Federal Acquisition Institute 5001 Eisenhower Ave Alexandria, VA 22333

BILLING CODE 3710-08

DEFENSE MAPPING AGENCY

HOW SYSTEMS OF RECORDS ARE ARRANGED. The Defense Mapping Agency records are grouped by subject series. Each series has records about a specific activity or function to which a subject title and number is given. Systems or records are grouped in the same way. For example, a system of records on personnel security clearances may be found in Personnel Security Files - B0504-01 and one about equal employment opportunities may be found in Equal Employment Opportunity Reporting Files - B0605-01. These numbers are part of the system identifica tion (ID) which precede the notices in the Federal Register. They look like this: B0504-01 HQ,HT,A; B0605-01 HQ,HT,A,S,I. The letter B means Defense Mapping Agency. The first four digits (0504 and 0601) show that the records pertain to Personnel Security and Equal Employ ment Opportunity respectively; and the last two are a further breakdown of the series. The letters that follow these numbers are internal management accounting devices only. Other systems of records which differ from these examples but have similar documents may also be found in the same series.

HOW TO USE THE INDEX GUIDE. The systems of records maintained by the Defense Mapping Agency are contained within the subject series that are listed below. This list identifies each series in the order in which it appears in this issuance. Use the list to identify subject areas of interest. Having done so, use the series number (for example 0504 for Personnel Security) to locate the systems of records grouping in which you are interested.

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Office Personnel	0102
Document Control	0104
Common Mission	0201
Inspection	0210
Historical	0228
Finance and Accounting	0302
Civilian Personnel Pay and Accounting	0303
General Legal	0401
Claims Investigating and Processing Documents	0402
Patent, Copyright Trademark and Proprietary Data	0403
Legislative and Congressional Liaison	0407
Informational Services	0408
Information Security	0502
Guard Protective Services	0503
Personnel Security	0504
Civilian Personnel Program	0601
Civilian Personnel Position and Pay	0602
Employment Application	0604
Equal Employment Opportunity	0605
Individual Civilian Personnel	0606
Civilian Personnel Action	0607
Civilian Personnel Training	0608
Promotion, Placement, and Career Management	0609
Civilian Personnel Welfare and Grievance	0610
Civilian Personnel Reduction-in-Force	0611
Labor Management Relations	0612
Awards Files	0613
Military Personnel files	0614
Safety Management Program	0615
Medical and Health Program	0901
Training Schools and Curriculum	1001
Student Selection and Academic Records	1002
Individual Procurement Transactions	1202
General Supply Accounting	1205
Self Service Supply	1206
Maintenance	1208
Personnel Travel and Transportation	1211

other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

B0102-01 HQHTASID

System name:

102-01 Office General Personnel Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I), Office of Distribution Services (D). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Employees of DMA Civilian and Military

Categories of records in the system:

Consist of copies of and papers relating to time and attendance reports, leave reports, overtime work, work attendance, holidays, athletic events, employee unions, medical services, training, duty assignments, emergency information and similar data on related subjects. List of individuals authorized to receive these services will also be included.

Authority for maintenance of the system:

Executive Order 10561, 9/15/54; Designating Official Personnel Folders in Government Agencies as Records of the Civil Service Commission and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisory personnel in their day-to-day personnel actions for; promotion, adverse actions, training and other related actions. File subject to civil service review.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary records. Destroy after 1 year or on discontinuance, whichever is first.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from DMA Directory

Record access procedures:

Requests from individuals should be addressed to appropriate organization of address list.

Written requests for information should contain the full name of the individual current address and telephone number, social security number. Visits are limited to normal working hours.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from: System Manager.

Record source categories:

Copies of papers relative to time and attendance reports, overtime work, work attendance, leave reports, holidays, athletic events, employee unions, medical services, training and related subjects.

Systems exempted from certain provisions of the act:

NONE

B0102-03 HQHTASI

System name:

102-03 Office Personnel Locator Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Personnel currently employed or assigned at DMA

Categories of records in the system:

Documents reflecting the name, address, telephone number, and similar data for each person.

Authority for maintenance of the system:

E.O. 10561 9/15/57; Designating Official Personnel Folders in Government Agencies as Records of the Civil Service Commission and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisory Personnel - Used to record personal information and Military Career Progression and maintained on file to notify appropriate agencies and officials in case of emergencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary records. Destroy on separation or transfer of the individual or preparation of a new list.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from Above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager

Record source categories:

Information received from employee and other personnel records.

Systems exempted from certain provisions of the act:

NONE

B0102-04 HQHTASID

System name:

102-04 Employee Record Card Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I), Office of Distribution Services (D). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Active civilian employees of DMA

Categories of records in the system:

A record of the employee's conduct, performance evaluations, reprimands, commendations, debts and complaints that may be necessary and useful in making and supporting decisions or work assignments. Cards that provide complete information relative to active employees, position, strength authorization and action in process, such as SF 7B, OF 4B, Summary Records Cards and Air Force (AF) Form 971.

Authority for maintenance of the system:

E.O. 10561 9/15/54; Designating Official Personnel Folders in Government Agencies as Records of the Civil Service Commission and Prescribing Regulations Relating to the establishment, Maintenance and Transfer thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Employee Record File - An up-to-date record on each employee. A reference or locator file for each unit. Information for recommending or requesting personnel actions affecting the employee Supervisors are encouraged to make the record available for review by the employee. Third party review is limited to supervisors who are considering the employee for a vacancy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Maintained current on all Civil Service Employees presently employed. Record cards pertaining to employees separated for military service who have restoration rights: Withdrawn and placed in the separation for military service file. Record cards pertaining to employees transferred to other organizational elements within HQ or the same component will be forwarded to the gaining office. Record Cards pertaining to employees separated or transferred from DMA: Destroy on separation or transfer, in CFA.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for informa-

tion should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information summarized from existing records and current entries by supervisors.

Systems exempted from certain provisions of the act:

NONE

B0102-08 HQHTASID

System name:

102-08 Office Personnel Information Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I), Office of Distribution Services (D). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Employees of DMA Civilian and Military

Categories of records in the system:

Supervisory copies of personnel matters that are duplicated in or which are not appropriate for inclusion in the Official Personnel Folder: for example, copies of papers relating to injuries, appreciation and commendation, training received, performance appraisals and assigned responsibilities or off-duty information.

Authority for maintenance of the system:

EO 10561 - 9/15/54, Designating Official Personnel Folders in Government Agencies as Records of the CSC and Prescribing Regulations Relating to the Establishment, Maintenance, and Transfer Thereof. 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisory personnel record used for performance ratings and similar uses, appreciation, commendation, career development and responsibilities of employees. Record may be subject to CSC inspection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings and Facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are temporary, review at end of calendar year and destroy documents which have been superseded or are no longer applicable.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from Above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number, and organizational element where employed. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information summarized from existing records and current entries by supervisors.

Systems exempted from certain provisions of the act:

NONE

B0102-09 HQHTASID

System name:

102-09 Duty Roster Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I), Office of Distribution Services (D). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Assigned DMA Personnel

Categories of records in the system:

Documents used for recording recurring and routine duties performed by personnel within an office, or organization including special duties performed on a rotating basis.

Authority for maintenance of the system:

50 U.S. Code 797; Internal Security - Security Regulations and Orders; Penalty for Violations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record the date and performance of specific duties assigned personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex Book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary record. Destroy after three months or three months after last entry in book.

System manager(s) and address:

Defense Mapping Agency, ATTN: Administration Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4401

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, service number on all correspondence received from this office. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Existing records and previous roster

Systems exempted from certain provisions of the act:

NONE

B0102-09-2 HQHTASID

System name:

102-09 Duty Roster Files

System location:

Personnel Office, Military Personnel Division, DMA Headquarters (HQ) DMA Hydrographic/Topographic Center (HQ), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I), Office of Distribution Services (D). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All military personnel assigned duties on a rotating basis.

Categories of records in the system:

Documents used for recording recurring and routine duties performed by military personnel within an office, including special duties performed on a rotating basis.

Authority for maintenance of the system:

50 U.S.C. 797 - 'Internal Security - Security Regulations and Orders, Penalty for Violation'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military Personnel Supervisors - used to record the date and performance of special duties by assigned military members and movement of military.

Subject to inspection by military security.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder or roster book

Retrievability:

Alphabetically by last name or date.

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary record. Destory after three months or three months after last entry in book.

System manager(s) and address:

Director Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to the System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, service number (if any) on all correspondence. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office identification card, and give some verbal information that could be identified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from: System Manager

Record source categories:

Previous roster and existing records.

Systems exempted from certain provisions of the act:

NONE

B0102-10 HQHTASID

System name:

102-10 Standard of Conduct Files

System location:

Personnel Offices - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I), Office of Distribution Services (D), DMAAC(A), IAGS(I), DMA(S). See DMA Directory for complete Address Listing.

Categories of individuals covered by the system:

All civilian personnel of DMA.

Categories of records in the system:

A signed document by individual indicating that they fully understand the Standard of Conduct and Ethics required of them.

Authority for maintenance of the system:

E.O. 11222 - Prescribing Standards of Ethical Conduct for Government Officers and Employees - 5/11/65.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Office to assure that the employees are kept informed of the Standard of Conduct and ethics required of them.

Supervisory Personnel to assure the employees have read and understand the directives.

Supervisors, Employee representative, counsel - Used as supporting material for corrective actions.

Civil Service Commission - Inspection purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary record. Destroyed after the next periodic application or one year after obsolescence of the system, or on discontinuance of the office.

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from: System Manager.

Record source categories:

Forms provided by CSC and signed by individual.

Systems exempted from certain provisions of the act:

NONE

B0102-11 HQHTASID

System name:

102-11 Temporary Duty Travel Files

System location:

Primary DMA Travel Officer - See DMA Directory for complete address Listing.

Decentralized Segment - Offices, all Components having personnel on subject to travel.

Categories of individuals covered by the system:

Military or civilian authorized Government travel orders

Categories of records in the system:

Requests and authorizations for military personnel and civilian personnel travel

Authority for maintenance of the system: 45 USC 5707 - Travel and Subsistence Expense - Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record authorization to travel, issue orders, make travel arrangements, and prepare voucher for any reimbursement

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Alphabetically by last name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary record. Destroy after one year

System manager(s) and address:

Defense Mapping Agency, ATTN: Administrative Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4425

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information furnished by traveler and from the travel office

Systems exempted from certain provisions of the act:

NONE

B0104-02 HQHTASID

System name:

104-02 Records Access Files

System location:

Primary System - Security Office - See DMA Directory for complete address Listing.

Decentralized Segments - Requesting Offices at DMAHTC and organization requiring the access authorization

Categories of individuals covered by the system:

Personnel of DMA who need authorization to use classified information in performing their duties

Categories of records in the system:

Office request for access and security approvals thereof, roster of individuals authorized access

Authority for maintenance of the system:

Executive Order 11652 - Classification and Declassification of National Security Information and Material - 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Collateral Security Division to verify security clearance and to approve or disapprove request

Requesting DMA organization to gain approval for employees to have access to perform their duties

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record. Security Office - destroy after two years; other offices, destroy when superseded or obsolescence of the authorization document; or on transfer, separation or relief of the individual concerned

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Security clearance documents

Systems exempted from certain provisions of the act:

NONE

B0104-12 HQHTASID

System name:

104-12 Security Awareness Files

System location:

Staff Offices, Departments, Divisions and Branch Offices of all Components. See DMA Directory for complete address listing

Categories of individuals covered by the system:

All personnel of DMA

Categories of records in the system:

A signed document by individuals indicating that they fully understand the security regulation that concerns them

Authority for maintenance of the system:

Executive Order 11652 - Classification and Declassification of National Security Information and Material - 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Collateral Security Division to assure that the employees are kept informed of the security regulations that concerns them

Supervisory Personnel to assure the employees have read and understood the regulations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary record - destroy after next application

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Statements signed by individuals

Systems exempted from certain provisions of the act:

NONE

B0104-13 HQHTASID

System name:

104-13 Personnel Security Clearance Information Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A), Defense Mapping School(S), Inter American Geodetic Survey(I), Office of Distribution Services (D). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Individual employee or assigned in DMA Organizations having security classified information.

Categories of records in the system:

Documents relating to the security clearance of individuals. Included are requests for security clearance and copies of notices that individuals have been cleared for classified material, and other documents related to personnel security such as DMA Forms 5210-8-R and AF Form 47 or compatable forms.

Authority for maintenance of the system:

E.O. 11652 9/15/54; Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used internally by supervisors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary record. Destroy on supersession or obsolescence, transfer or separation or on relief of the individual concerned.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office,Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager

Record source categories:

Results of adjudication of Investigative Files by Military Services and DMA Adjudicators

Systems exempted from certain provisions of the act:

NONE

B0201-05 HQHTA

System name:

201-05 DMA Central Clearance Group Pre-Employment Files

System location:

Security Office, DMA Headquarters (HQ) See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any civilian applicant for a sensitive position within DMA

Categories of records in the system:

File includes investigations, board determinations letters or written interrogatories, applicant response letters

Authority for maintenance of the system:

Section 7532 of title 5, United States Code; Suspension and Removal

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

HQ DMA SO - Staff Director of Security, HQ DMA acts as executive secretary for the DMA Central Clearance Group. He processes all papers pertaining to an individual case and assures all actions taken are in compliance with DOD directives and regulations.

Director DMA - The authority to deny employment based on security reasons is vested solely in the authority of the Director DMA: the Central Clearance Group will review all derogatory cases and make recommendation to the Director.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

File has been rarely used within DMA; it is established to provide for the filing of papers in the event a case as specified in DOD Directive 5200.7 Department of Defense Civilian Applicant and Employee Security Program, 31 Jan 67, should be processed.

Storage:

Paper records in file folders and/or Kardex book

Retrievability:

File alphabetically by last name of employee.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Office of the secretariat designated office of record: Permanent. Cutoff when no longer needed for current operations.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to Security Office, Building 56, U.S. Naval Observatory.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, etc., and some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from: System Manager.

Record source categories:

DMA Central Clearance Group files are the result of unfavorable investigations pertaining to applicants for possible DMA employment. Determinations by the group and resulting correspondence between the group and individual are the source of the remaining files.

Systems exempted from certain provisions of the act:

NONE

B0201-07 HQHT

System name:

201-07 Communications Center Release Authorization

System location:

Primary System - Communications Center, HQ,HT. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Individuals authorized to release classified and unclassified messages

Categories of records in the system:

File contains signature cards of individuals who are authorized to release classified and unclassified messages

Authority for maintenance of the system:

Executive Order 11652 - Classification and Declassification of National Security Information and Materials Information and Material - 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Communications Center - for the purpose of determining individuals that are authorized to release messages

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card record filed in cabinet

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

This is a temporary record - destroy upon supersession

System manager(s) and address:

Defense Mapping Agency, ATTN: Special Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4603

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information is obtained from the individual's Service Military Personnel Center, the individual's rating official within the HQ DMA and the individual concerned.

Systems exempted from certain provisions of the act:

NONE

B0201-07-1 HQHTASID

System name:

201-07 Military Personnel Reference Paper Files

System location:

Military Personnel Office - See DMA Directory for complete address

Categories of individuals covered by the system:

All active duty military personnel assigned to the Defense Mapping Agency.

Categories of records in the system:

Copies of personnel career briefs provided by the individual's parent Service.

Copies of efficiency reports (USA & USAF), fitness reports (USN), and effectiveness reports (USMC) submitted periodically to the parent Service on each military individual assigned to duty in DMA during the period of such duty.

Copies of personal biographies provided by each military individual assigned to DMA.

Copies of official correspondence submitted by the individual concerned to his/her parent Service or from his/her parent Service to the individual concerned regarding requested or proposed duty assignments and related matters.

Copies of award recommendations originated within DMA for military personnel.

Copies of the Military Personnel Information Roster for the Headquarters and each of the DMA Components. This roster is updated monthly and shows the following information for all military personnel assigned: JTD Paragraph and Line Number, Position Title, Military Occupational Specialty, Grade, Service, Specialty Branch, Supplementary Remarks, Incumbent's Grade, Incumbent's Name, Incumbent's Social Security Account Number, Supplementary Remarks, Incumbent's Estimated Date of Departure.

Authority for maintenance of the system:

44 USC 3101; Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Heads of major staff elements to determine the acceptability of an individual nominated by the parent Service for a DMA position.

For review by appropriate DMA officials responsible for the preparation of efficiency/fitness/effectiveness reports, and award recommendations and presentations.

For use of appropriate officials within DMA Military Personnel Division in conducting routine daily business as prescribed by the Director, Defense Mapping Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of military person.

Safeguards:

Building in which files maintained is not open to general public and is guarded on 24-hour basis. Files are maintained in a single lock filing cabinet and are accessible only to Military Personnel Division officials.

Retention and disposal:

The file of each military person is maintained for six months to one year after detachment of the individual from the DMA at which time it is destroyed manually.

System manager(s) and address:

Chief, Military Personnel Division, Headquarters Defense Mapping Agency, Building 56, Naval Observatory, Washington, D.C. 20305, telephone 202-254-4497.

Notification procedure:

Information may be obtained from System Manager.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain full name, grade, branch, Service, current address and telephone number of the individual. Visits will be arranged through the System Manager.

For personal visits, the individual should be able to provide acceptable identification such as a Military Identification Card and be prepared to provide some verbal information that can be verified with his file.

Contesting record procedures:

The Defense Mapping Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information is obtained from the individual's Service Military Personnel Center, the individual's rating official within the HQ DMA and the individual concerned.

Systems exempted from certain provisions of the act:

NONE

B0210-06 HQHTASI

System name:

210-06 Inspector General Investigative Files

System location:

Office of the Inspector General - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I). - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any individual, military or civilian assigned to, employed by or having reason to do official business with the Defense Mapping Agency or one of its employees.

Categories of records in the system:

Investigative Files consist of written inquiries or investigative reports pertaining to complaints, possible violations or improper procedures pertaining to DMA personnel, procedures, policies or programs.

Authority for maintenance of the system:

44 U.S.C. 3101, Records Management by Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inspector General and Command Officials - to analyze and evaluate the effectiveness and efficiency of DMA policies, programs and procedures.

Complaints, inquires or investigations are used to initiate proper corrective action if the allegation is proven to be true in fact.

Security - Personnel - Supervisors - Used as basis for corrective actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Files are considered official in nature and are made available only to the Inspector General and Command officials.

Storage:

Paper records are stored in file folders and secured in safe-file cabinets.

Retrievability:

Alphabetically by last name or subject matter

Safeguards:

Building, facilities employ security guards and alarms. Records are maintained in areas accessible only to authorized personnel that are properly screened cleared and trained.

Retention and disposal:

Files accumulated in the Office of the Inspector General as permanent. Cut off on completion of Investigation.

System manager(s) and address:

Inspector General, Headquarters, Defense Mapping Agency, Bldg 56, U.S. Naval Observatory, Washington, D.C. 20305

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the indivdual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Inspector General Investigative reports are the written results of IG Inquiries or Investigation of written or oral allegations from complaints.

Systems exempted from certain provisions of the act:

NONE

B0210-07 HQHTASI

System name:

210-07 Inspector General Complaint Files

System location:

Office of the Inspector Generals - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I). - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any individual, military or civilian assigned to, employed by or having reason to do official business with the Defense Mapping Agency or one of its employees.

Categories of records in the system:

File contains letters or memorandums received by the Defense Mapping Agency wherein someone has complained about DMA personnel, programs, policies and/or procedures.

Authority for maintenance of the system:

44 U.S.C. 3101, 3102 - Records management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inspector General and Command officials - As a basis to conduct an inquiry or investigation of the complaint and to initiate proper corrective action if justified.

Security, Personnel, Supervisors - as a basis for corrective action

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Files are considered official in nature and are made available only to the Inspector General and Command officials.

Storage:

Paper records are stored in file folders and secured in safe-file cabinets.

Retrievability:

Alphabetically by last name of individual or by subject.

Safeguards:

Buildings, facilities located on guarded military installations. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record. Destroy one year after completion and close of case.

System manager(s) and address:

Inspector General, Headquarters Defense Mapping Agency, Bldg 56, U.S. Naval Observatory, Washington, D. C. 20305.

Notification procedure:

Information may be obtained from System Manager.

Record access procedures:

Request from individual should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, etc., and some verbal information.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Source of Inspector General Complaint files are letters or memorandums received by HQ DMA from military or civilian.

Systems exempted from certain provisions of the act:

NONE

B0228-04 HT

System name:

AR 228-04 Historical Photographic Files

System location:

Public Affairs office of DMAHTC - See DMA Directory for complete address.

Decentralized Segments - Records Holding Area, Records Management Division of DMAHTC

Categories of individuals covered by the system:

Commanding Officers; civilian employees (staff organization) VIP visitors; awards, suggestions, sports, retirement ceremonies.

Categories of records in the system:

Photographs and negatives of

Authority for maintenance of the system:

5 U.S.C. 301 - Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public Affairs Office - furnish copies of photographs to organizations that requested photographs to be taken

Records Holding Area - Researchers and Historians - To obtain the background information regarding events, ceremonies, awards, sports, retirements at DMATC for input to newspapers, magazine articles.

Release to News Media for Public Relations and Community Affairs Matters.

Organizers of testimonials, banquets and parties.

Supervisors - Recognize accomplishments and publications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Prints and negatives filed in cabinets.

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Retrievability:

Filed by name and/or event

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are Permanent. Records will be retired to Washington National Records Center on discontinuance of the installation.

System manager(s) and address:

DMA Hydrographic/Topographic Center, ATTN: Public Affairs Office, Room 152, Erskine Hall, 6500 Brookes Lane, Washington, D.C. 20315, TELEPHONE: Area Code 202/227-2007

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from System Manager

Record source categories:

Photographs taken at awards ceremonies; Sporting events; retirement parties.

Systems exempted from certain provisions of the act:

NONE

B0228-10 HT

System name:

AR 228-10 Installation Historical Files

System location:

Public Affairs Office of DMAHTC - See DMA Directory for complete address.

Decentralized Segments - Records Management Division - Records Holding Area of DMAHTC

Categories of individuals covered by the system:

Individuals who have given speeches or written an article for a magazine or newspaper.

Categories of records in the system:

Copies of Speeches and articles for magazine or newspapers

Authority for maintenance of the system:

5 U.S.C. 301 - Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Historian - To furnish background Information on the history of the installations.

Public Affairs Office and Records Management Division - to obtain up-to-date information on all speeches, articles for magazines and newspapers published or given by an individual of DMAHTC.

Released to News Media for Public Relations and Community Affairs.

Organizers of testimonials, banquets and supervisors to recognize accomplishments and publications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files retrieved alphabetically by name of individual.

Safeguards:

Buildings, facilities employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

This is a permanent record. Retired from Records Holding Area.

System manager(s) and address:

DMA Hydrographic/Topographic Center, ATTN: Public Affairs Office, Room 152, Erskine Hall, 6500 Brookes Lane, Washington, D.C. 20315, TELEPHONE: Area Code 202/227-2007

Notification procedure:

Information may be obtained from Above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Employee copies of speeches; newspapers; magazines, photographs and related publications.

Systems exempted from certain provisions of the act:

NONE

B0302-21 HTA

System name:

302-21 Record of Travel Payments

System location:

DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center(A). Office of the Comptroller, Pay and Travel Branch. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any employee of Defense Mapping Agency reimbursed for Travel.

Categories of records in the system:

Card file containing information used to reflect travel allowance payments made to individuals.

Authority for maintenance of the system:

5 U.S.C. 5707; Travel and subsistence Expenses-Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cards used to reflect travel allowance payments made to employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Records are temporary. Cutoff on separation of employee, Inactive three years then destroyed.

System manager(s) and address:

Defense Mapping Agency, ATTN: Finance and Accounting Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4466

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, and the travel number of visit, place visited and date on all correspondence received from this office. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Travel orders and vouchers

Systems exempted from certain provisions of the act:

NONE

B0303-01 A

System name:

303-01 Individual Pay Record Files

System location:

DMA Aerospace Center(A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Civilian pay record file contains magnetic tape. Created and updated by the use of time and attendance cards, address cards, savings bond forms, taxation documents, insurance documents, allotment documents, Standard Form 50.

Printout of Payroll

Categories of records in the system:

Record of pay data and related information pertaining to DMA employees.

Authority for maintenance of the system:

31 U.S.C. 66a - Accounting and Auditing - Duties of Agency Heads; Information and Controls to be Covered

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal data is collected for the purpose of establishing, maintaining and administering the employee's authorized pay and leave.

User of information is the Central Payroll Office and Civilian Personnel Directorate.

This information is used for the computation of bi-weekly earnings, pay deductions, and net pay due to the employee. The system further identifies rate of pay and authorized deductions as well as sick and annual leave accumulation, usage and balances. System further provides a master tape listing, civilian payroll master tape, and to the employee the system provides a bi-weekly leave and earnings statement and civilian employee paycheck.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Tapes are retained in tape library, and are updated each pay period.

Printouts maintained and retained in current files are (CFA) and are forwarded in annual blocks to the National Personnel Records Center, GSA, 111 Winnebago Street, St. Louis, MO 63118, 18 months after close of the calendar year or within 90 days after receipt of audit completion letter, whichever is first.

System manager(s) and address:

Director, DMA Aerospace Center, ATTN: Directorate of Civilian Personnel (PO), South Annex, St. Louis Air Force Station, Missouri 63125, TELEPHONE; Area Code 341/368-8383

Notification procedure:

Information may be obtained from Above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Time and attendance cards, savings bond forms and similar withholding requests of the employee.

Systems exempted from certain provisions of the act:

NONE

B0303-02 HTA

System name:

303-02 Compensation Data Request Files

System location:

Finance Accounting of DMA Hydrographic/Topographic Center (HT) and Aerospace Center (A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian employees requesting compensation.

Categories of records in the system:

Correspondence relating to Federal Employee Compensation claims.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record documents and correspondence on employees who have been injured on the job, received treatment from a medical facility, and filed a claim for compensation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee last name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary record. Destroyed after 2 years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Comptroller, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4398

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Requests from individuals for information, notice of determination and refusal of work offer. Request for claims of compensation.

Systems exempted from certain provisions of the act:

NONE

B0303-03 HTA

System name:

303-03 Individual Retirement Record Control Files

System location:

Primary System - Civil Service Commission, Retirement Bureau, Washington, D.C. 20315

Decentralized Segments - Personnel Office, DMA Hydrographic/Topographic Center and DMA Aerospace Center.

Categories of individuals covered by the system:

Any civilian employee of DMA who has retired from government service.

Categories of records in the system:

File contains employee's application for retirement from the Federal Service including documentation concerning physical disability retirement.

Authority for maintenance of the system:

E.O. 10561 - 'Designating Official Personnel Folders in Government Agencies as Records of CSC and Prescribing Regulations Relating to the Establishment, Maintenance, and Transfer Thereof' - 9/15/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To take follow-up action or answer questions from the retiree, survivors, Civil Service Commission, and health and life insurance carriers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary - Retain in active file. Destroy after 4 years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Application for retirement from Federal Service, and related documentation.

Systems exempted from certain provisions of the act:

NONE

B0303-04 A

System name:

303-04 Leave Record Files

System location:

Primary System. Director of Civilian Personnel (POX), DMA Aerospace Center. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian employees of DMA.

Categories of records in the system:

Record of official annual accumulation and use of employee's leave.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director of Civilian Personnel to record employee requests for documentation.

Employee - reference for accumulation of leave.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes and printouts.

Retrievability:

Files are by payroll block number, organization, and name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Final Leave Record - Temporary Record. Destroy 10 years after separation of individual.

Other Leave Record: Destroy after 4 years or 90 days after receipt of audit completion letter.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066.

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Time and attendance cards initialed by employee. Accumulation and use of leave.

Systems exempted from certain provisions of the act:

NONE

B0303-21 HTA

System name:

303-21 Decedent Claim Files

System location:

Personnel Office - DMA Hydrographic/Topographic Center (HT) and Aerospace Center (A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian employees of DMA Hydrographic/Topographic Center or DMA Aerospace Center.

Categories of records in the system:

Death separation - FE Form 6, SF 1153, SF 2800, and other allied papers and correspondence.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of this file is to document the death of a career employee.

Users are: Personnel Office to maintain/ascertain that documents are in file for employees who have been separated due to death.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Alphabetically by employee last name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary record. Destroyed after 10 years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Copies of vouchers with supporting documents, letters/claims from decedents.

Systems exempted from certain provisions of the act:

NONE

B0401-02 HQHTA

System name:

401-02 Statements of Employment and Financial Interest Files

System location:

Statements of DMA Headquarters Staff personnel, all Special Government Employees, all DMA Component Directors and personnel of Defense Mapping School, Inter American Geodetic Survey and Office of Distribution Services -- Office of General Counsel, DMA Headquarters, Building 56, U.S. Naval Observatory, Washington, D.C. 20305.

Statements of personnel assigned to DMA Hydrographic/Topographic Center, Office of Counsel, DMA Hydrographic/Topographic Center, 6500 Brooks Lane, N.W., Washington, D.C. 20315.

Statements of personnel assigned to DMA Aerospace Center, St. Louis Air Force Station, MISSOURI

Categories of individuals covered by the system:

Defense Mapping Agency civilian personnel classified at GS-13 or above, and military officers serving in the grade of 0-5 or above, whose duties require the exercise of judgment in making Government decisions in regard to monitoring grants or subsidies; contracting and procurement; auditing; or other activities having a significant economic impact on the interests of any non-Federal enterprise.

Special Government Employees of the Defense Mapping Agency serving as advisors or consultants.

Categories of records in the system:

File includes: individual's completed DD Form 1555 'Confidential Statement of Employment and Financial Interests,' (DD Form 1555-1 in the case of Special Government Employees) containing information as to employment and financial interests, creditors and interests in real property. Such forms are filed by individuals upon employment in affected positions and renewed annually thereafter.

Copies of the individual's current position description.

Signed statements of the individual concerned stating that none of the interests listed on his Form 1555 constitute a conflict of interest with respect to the duties of his present position.

File also contains correspondence indicating review of the individual's statement by his supervisor, and may contain correspondence between the individual, his supervisor and Agency Counsel relative to any apparent conflicts disclosed in the individual's statement and resolution thereof.

Authority for maintenance of the system:

Part IV, Executive Order 11222, 'Prescribing Standards of Ethical Conduct for Government Officers and Employees' (as amended).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individual's Supervisor (superior officer or official responsible for signing military evaluation reports or civilian performance ratings)--to determine the existence of, and, if possible, to resolve, any real or apparent conflict between the personal financial interests of the individual concerned and the performance of his services for the Government.

Agency Legal Counsel--to (1) review the individual's statement and the supervisor's evaluation thereof for legal sufficiency, (2) to assist in the resolution of any conflicts disclosed in such statements, and (3) to maintain and safeguard the confidentiality of all such statements.

Directors of Defense Mapping Agency Components and Heads of Defense Mapping Agency Headquarters Major Staff Elements--for review, comment and appropriate action with respect to resolution of any real or apparent conflicts disclosed by the statement of an individual.

The Director, Headquarters Defense Mapping Agency or the Staff Director of Personnel (as designee)--to review and take action on any conflicts not previously resolved.

Department of Justice--for possible use in investigation/prosecution of fraud or other violation of conflict of interest laws.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Buildings in which files maintained are not open to general public and are guarded on 24-hour basis. Records are maintained in combination safes and are accessible after completion of review only to Agency Counsel. Each submission and subsequent annual renewals are kept in individual, sealed manila envelopes to prevent unauthorized disclosures.

Retention and disposal:

This is a temporary record. The record of each employee is maintained until his death, retirement or separation from the Defense Mapping Agency and for six (6) years thereafter at which time it is destroyed.

System manager(s) and address:

General Counsel, DMA Headquarters, Building 56, US Naval Observatory, Washington, D.C. 20305.

Notification procedure:

Information may be obtained from:

General Counsel, DMA Headquarters, Building 56, US Naval Observatory, Washington, DC. 20305, telephone 202 254-4431.

Counsel Defense Mapping Agency Hydrographic/Topographic Center, Washington, D.C. 20315, telephone 202 227-2268.

Counsel Defense Mapping Agency Aerospace Center, St. Louis Air Force Station, Missouri 63118, telephone 314 268-4501.

Record access procedures:

Requests from individuals should be addressed to: General Counsel, DMA Headquarters Building 56, U.S. Naval Observatory, Washington, D.C. 20305.

Written requests for information should contain the full name and current address and telephone number of the individual. Visits will be arranged through the General Counsel, Headquarters DMA.

For personal visits, the individual should be able to provide some acceptable identification, such as a drivers license or an employer's identification card, and be prepared to provide some verbal information that can be verified with his file.

Contesting record procedures:

The Defense Mapping Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Statements (DD Form 1555) and related documents are obtained from the individual concerned.

Systems exempted from certain provisions of the act:

NONE

B0401-03 HQHTA

System name:

401-03 Legal Assistance Case Files

System location:

Office of Counsel, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), and Aerospace Center (A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Military personnel assigned to DMA who request legal assistance

Categories of records in the system:

Files contain legal opinions of the counsel regarding personal matters of an individual. Also copies of document prepared on behalf of the individual.

Authority for maintenance of the system:

44 U.S.C. 3101; - Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel - for consoltation with individual involved, and for reference and precedent value.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

This record is a temporary record. Records are destroyed one year after completion of the case. Selected opinions and correspondence withdrawn for use as precedent may be held until no longer required for reference.

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Request from military individual for legal opinion on a personal matter, opinions of council and documents prepared by counsil.

Systems exempted from certain provisions of the act:

NONE

B0402-05 HQHTA

System name:

402-05 Personal Property Claim Files

System location:

Primary System - Office of Counsel, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), and DMA Aerospace Center (A) - See DMA Directory for complete address listing.

Decentralized Segments - National Washington Record Center, GSA, 4205 Suitland Road, Suitland, Maryland 20409, Department of Army, Judge Advocate General, Pentagon, Washington, D.C.

Categories of individuals covered by the system:

DMA personnel having a claim against the Government for loss, damage, or destruction of personal property.

Categories of records in the system:

Files contain request from individuals filing for a claim for damage, loss or destruction of personal property, and related correspondence to that request: investigative reports and recommendations of the investigator; opinions of counsel.

Authority for maintenance of the system:

44 U.S.C. 3101; - Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel - Preliminary investigation and legal opinions for recommendation to high authority for further disposition of claim.

National Washington Records Center - To store and maintain inactive records; The Department of Justice in event of Litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

This is a temporary record. 25 years for disapproved claims and claims involving a minor, COFF on final action. Inactive one year, transfer Records Holding Area. Hold one year, retire National Washington RECORD CENTER, hold 23 years, destroy. Approved Claims - 10 year. COFF final action. Hold one year inactive, Transfer RHA, hold nine years - destroy

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Application or related forms from the individual requesting claim against the Government; correspondence relating to the claim; investigative reports and recommendations of investigator.

Systems exempted from certain provisions of the act:

NONE

B0402-06 HQHT

System name:

402-06 Tort Claim Files

System location:

Primary System - Office of Counsel, DMA Headquarters (HQ), and DMA Hydrographic/Topographic Center (HT). See DMA Directory for complete Address Listing.

Decentralized Segments - Washington National Records Center, GSA, 4205 Suitland Road, Suitland, Maryland 20409

Categories of individuals covered by the system:

Any individual filing tort claim against DMA for damage, loss, or destruction of property and for personal injury or death resulting from negligence or wrongful act or omission of acts by DMA personnel.

Categories of records in the system:

File contains individual's claim, correspondence relating to such claim and related processing papers, opinion of Counsel.

Authority for maintenance of the system:

Federal Tort Claim Act - 28 U.S.C. Sec. 2671 - Sec. 2680

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel - Preliminary investigation and legal opinion for recommendation to higher authority for further disposition of claim.

Records Holding Area, RMD - To maintain inactive records for destruction or transferring to Washington National Record Center at the end of a given date.

Washington National Record Center - to maintain records until destruction on a given date.

Army Judge Advocate General - for possible settlement

Department of Justice - in the event of litogation

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary record/approved claims: 10 year record, COFF on final action. Inactive one year, transfer Records Holding Area, hold nine years, destroy.

Disapproved claims and claims involving personal injury or a minor - COFF on final action, hold one year inactive, transfer Records Holding Area, hold 1 year, transfer to Nat'l Wash. Record Ctr, hold 23 years, destroy.

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be address to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Claims against DMA from individuals, correspondence relating to such claims, photographs, investigative documents, legal opinions

Systems exempted from certain provisions of the act:

NONE

B0402-13 HQHTA

System name:

402-13 Agency Claim Files

System location:

Office of Counsel - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), and DMA Aerospace Center (A). See DMA Directory for complete address

Categories of individuals covered by the system:

Individual against whom Agency has legal claim

Categories of records in the system:

Information pertaining to Agency claim against an individual involved in damage suit. All correspondence relating to such claims, legal opinions by counsel, investigative reports.

Authority for maintenance of the system:

44 USC 3101 - Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel - to attempt settlement and prepare for possible litigation

Records Holding Area - to maintain and storage of records until the destruction date of the file

Transfer to Department of Justice in event of litigation

Transfer to designated local Government representatives who have delegated authority to investigate and/or settle claim

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed by case (name of potential dependent)

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record - this file is a ten year record. COFF after final action. Inactive one year, transfer to Records Holding Area, hold for nine years - destroy

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Investigative reports by civilian or military police at accident sites, statements by Government personnel involved in accident; in general, any type of information gathered in anticipation of litigation and legal opinions, statements of witnesses.

Systems exempted from certain provisions of the act:

NONE

B0403-12 HQHTASI

System name:

403-12 Patent and Invention Files

System location:

Primary System - Office of General Counsel, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), and DMA Aerospace Center (A). See DMA Directory for complete address listing.

Decentralized Segments - The Judge Advocate General, Department of the Army, ATTN: DAJA-PA, Washington, D.C.; Commissioner of Patents, Washington, D.C. 20231

Categories of individuals covered by the system:

Personnel who have submitted technical descriptions, invention disclosures and/or for which patent application has been made or a patent issued

Categories of records in the system:

Patent application with related invention disclosure claims and all amendments, petitions, appeals, patent and related correspondence

Authority for maintenance of the system:

E.O. 10096, as amended - Uniform Government Patent Policy for Inventions by Government Employees; 1/23/50

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Office of Counsel in conducting patentability search. Also used in further discussions between Counsel and inventor. In cases where Defense Mapping Agency has no direct interest in the invention, the file may be forwarded to Patent Counsel of other Government agencies who may have interest in processing patent application.

Army JAG Patents Div for processing patent applications per Title 35 USC. Used by US Patent Office per Title 35 USC

Office of Counsel for reference and precedent material

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record - cut off annually after issuance of the patent, transfer to Records Holding Area, hold two additional years, retire to the Washington National Records Center, hold additional 23 years, and destroy

System manager(s) and address:

Defense Mapping Agency, ATTN: General Counsel, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4431

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Notification procedure:

Information may be obtained from System Manager

Record access procedures:

Requests from individuals should be addressed to System Manager

Written requests for information should contain the full name of the individuals current address with the office symbol on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information supplied by inventor plus any technical legal additions generated by Counsel and US Patent Office, and all related correspondence

Systems exempted from certain provisions of the act:

NONE

B0407-03 HQHTASID

System name:

407-03 Congressional Correspondence Files (Civilian Personnel-Congressional Inquiries)

System location:

Personnel Offices - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any employee who has written their Congressman or Senator regarding their employment with the Agency

Categories of records in the system:

Includes employee's letter to Congressman or Senator, referral letter from Congressman's/Senator's Office to the Agency, documents related to the matter, Agency reply to Congressman/Senator

Authority for maintenance of the system:

5 USC 2954 - Information to Committee of Congress on Requests

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to investigate and attempt to resolve employee problems conveyed to their Congressman/Senator

Officials of the Congressman's/Senator's Office

Personnel Office

Supervisors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record - destroy after five years

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Correspondence and Internal Memos originated by Employees, Congressman, Senator, Personnel Office and Supervisors

Systems exempted from certain provisions of the act:

NONE

B0408-11 HQHTASI

System name:

408-11 Biography Files

System location:

Public Affairs Officer, See DMA Directory for complete address

Categories of individuals covered by the system:

All top management and other key personnel of DMA

Categories of records in the system:

Biographies; photographs; newspaper clippings and related documents pertaining to leading military and civilian personalities

Authority for maintenance of the system:

44 USC 3101 - Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public Affairs Office - for release on public relations and community affairs matters

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Record is Permanent. Destroy two years after transfer, separation or death of the individual concerned

System manager(s) and address:

Defense Mapping Agency, ATTN: Public Affairs Officer, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4532

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Biographical data furnished by individual

Systems exempted from certain provisions of the act:

NONE

B0502-03 HQHTA

System name:

502-03 Master Billet/Access Record

System location:

Primary System - Security - Special Security/Activities Division, Department of Computer Services, DMA Hydrographic/Topographic Center. Decentralized segments - HQ DMA, DMA Aerospace Center. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All DMA employees and contractor personnel authorized and indoctrinated for access to Sensitive Compartmented Information (SCI). In addition, employees of other Government Agencies are included for the period during which their SCI access status is permanently certified to DMA.

Categories of records in the system:

File may contain for an individual the following: name, rank/grade, military component or civilian status, social security number, SCI billet number and title, SCI accesses authorized and held, date Background Investigation completed, date indoctrinated or debriefed, date and state of birth, DMA badge number and expiration date, and whether an authorized courier of SCI material.

Transcript and IBM card inputs are submitted to and batch produced output is received from the computer system and terminal operation.

Authority for maintenance of the system:

E.O. 11652 - Classification and Declassification of NS Information and Materials 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File used to produce Confidential rosters of personnel authorized SCI to access for control of access to areas accredited for use of this information and for certification of SCI access status to other Government agencies; for updating of Defense Intelligence Agency (DIA) Security Management Information System (SMIS) file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Policies and practices for storing, retrieving, accessing, retaining and disposing of records in the system.

Storage:

Records filed on magnetic tape.

Retrievability:

Information recorded alphabetically by last name and numerically by billet number

Safeguards:

Secured in alarmed vault in guarded building. Vault accessible only to properly cleared, authorized personnel. Transmission of system data between DMAAC and DMATC is by Secure (encrypted) teletype circuit.

Retention and disposal:

Active records only are maintained. Records of personnel debriefed for SCI access are dumped on a debrief tape which is printed as an alphabetical listing cumulatively each month for one year, then the tape is erased. Old printed listing is destroyed when replaced by new printed listing (weekly).

System manager(s) and address:

Director, Defense Intelligence Agency (DS-6C2), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from Defense Mapping Agency, ATTN: Security Office,Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Record access procedures:

Requests from individuals should be addressed to above.

Written requests for information should contain the full name of the individual Social Security Nmber, current address and telephone number.

For personal visits, the individual should be able to furnish personal identification containing his/her full name, Social Security Number, physical description, photograph, and signature.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305. TELEPHONE: Area Code 202/254-4411

Record source categories:

Information originated by maintaining office. Bases of billet entries are approval messages or correspondence from DIA; bases for incumbent entries are indoctrination oaths executed by incumbents at time of indoctrination.

Systems exempted from certain provisions of the act:

NONE

B0502-03-2 HQHTASI

System name:

502-03 Classified Material Access Files

System location:

Primary System - Security Offices - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I).

Decentralized Segments - Requesting offices at DMA and organizations requiring the access authorization. See DMA Directory for complete address listing.

DIA, JCS

Categories of individuals covered by the system:

Individuals authorized to have access to classified files

Categories of records in the system:

Documents relfecting authorization to have access to classified material. They include forms containing individual's name, and signature, classification of files concerned, information desired, and signature of an official authorizing access.

Authority for maintenance of the system:

Executive Order 11652/10/72; Classification and Declassification of National Security Information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Office - Check of authorized individuals for access to classified material and guard authorization.

Requesting DMA organizations - to gain approval for employees to have access to perform their duty.

Requiring DMA and other Agencies - to allow employees the right to use classified information.

DIA - to verify who has been granted authority to Special Security information.

JCS - to verify who has been granted authority to use JCS papers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

File alphabetically by last name or grade of individual requiring access

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - Destroy on transfer, reassignment, or separation of the individual.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial deter- mination may be obtained from System Manager.

Record source categories:

Report of investigating agency that conducted the background investigation.

Systems exempted from certain provisions of the act:

NONE

B0502-15 HQHTASI

System name:

502-15 Security Compromise Case Files

System location:

Primary System - Security Offices - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I). See DMA Directory for complete address listing

Decentralized Segments - Dept. of Justice and FBI on felonies cases.

Categories of individuals covered by the system:

DMA personnel security violation

Categories of records in the system:

Documents relating to investigations of alleged security violations, such as missing documents, unauthorized disclosure of information, unattended open security containers, documents not properly safeguarded and matters of a similar nature.

Authority for maintenance of the system: Executive Order 11652 3/10/72; Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Office - Conduct security investigations.
Dept. of Justice and FBI - for advise on felony cases.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - Destroy two years after completion of final corrective or disciplinary action, except that records of violations of a sufficiently serious nature to be classed as felonies are permanent.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from System Manager.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from: System Manager.

Record source categories:

Reporting organization or official

Systems exempted from certain provisions of the act:

NONE

B0502-15-2 A

System name:

502-15 Security Violation Card File

System location:

Chief, Security Office, DMAAC, Second & Arsenal Streets, St. Louis, MO 63118

Categories of individuals covered by the system:

Any employee of DMAAC having a security violation.

Categories of records in the system:

File contains information on a 3x5 card listing security violators, brief summary of the incident, and action taken.

Authority for maintenance of the system:

Executive Order 11652/10/72; Classification and Declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Offices and Supervisors have access to the file on a need to know basis, as a quick reference system on security violators

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper 3x5 cards in container.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Cards are retained in current files area (CFA) and destroyed two years after completion of final corrective or disciplinary action, except that records of violations of a sufficiently serious nature to be classed as felonies are permanent.

System manager(s) and address:

Director, DMA Areospace Center, ATTN: Security Office (SO), St. Louis Air Force Station, Missouri 63118, TELEPHONE: Area Code 314/268-4941

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial deter- mination may be obtained from: System Manager.

Record source categories:

Internal security investigation of security violations.

Systems exempted from certain provisions of the act:

NONE

B0503-02 HTASI

System name:

503-02 Security Identification Accountability Files

System location:

Security Offices - DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I). - See DMA Directory for complete address.

Categories of individuals covered by the system:

Any Civilian employee

Categories of records in the system:

File contains the application, supporting materials and the number of the identification badges.

Authority for maintenance of the system:

E.O. 11652 - Classification and Declassification of National Security Information and Materials. 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify persons to whom badges are issued.
Purpose - Maintain accountability for identification cards.
Users - Supervisor, Personnel and Security Offices

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records kept in file folders by No. also in desk type cabinet.

Retrievability:

Filed Alphabetically by name

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record-Transfer to Records Holding Area after last card or badge number entered has been accounted for. Hold for three years and destroy.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be address to system manager
Written requests for information should contain the full name of the individual, current address and telephone number and the case (Control) number that appears with the office symbol, on all correspondence received from this office.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from System Manager

Record source categories:

Individual's badge request, personnel forms and investigatory findings.

Systems exempted from certain provisions of the act:

NONE

B0503-03 HTA

System name:

503-03 Firearms Authorization Files

System location:

DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Security guards that have been issued firearms and ammunitions

Categories of records in the system:

Documents authorizing DMA civilian guards to carry firearms. Included are firearms authorization cards and related papers.

Authority for maintenance of the system: 50 U.S.C. 61; Arms and Ammunition issued to protect public property; reimbursement of Department of Army.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Collateral Security Division-Serves as a record for weapons serial numbers and firearms authorization cards issued to each Security Police.

Available to Federal and State local law enforcing agency as required by current laws and regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record, Destroy upon expiration of authorization.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Weapon serial number, and authorization of issue authorization card issued.

Systems exempted from certain provisions of the act:

NONE

B0503-04 HQHTASI

System name:

503-04 Parking Permit Control Files

System location:

Security Offices of Components - See DMA Directory for complete address

Categories of individuals covered by the system:

Individuals who have been issued parking Permits or cited for violations.

Categories of records in the system:

Documents relating to the allotment of parking spaces, recording of violations by holders of parking permits.

Authority for maintenance of the system:

50 U.S.C. 797; Internal Security - Security Regulations and Orders; Penalty for Violation. and Delegations, Promulgation by President.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Offies - Issue of spaces and recording of violators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records kept in file folders and desk type pull-out shelves.

Retrievability:

Filed by name alphabetically

Safeguards:

Buildings and Facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary-Record. Destroy on Transfer or separation of parking permit holder, or when permit is superseded or revoked.

System manager(s) and address:

Defense Mapping Agency, ATTN: Administration Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4401

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.
Written requests for information should contain the full name of the individual, current address, and telephone number, and social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified on employment.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Individuals requests for permits, copies of tickets issued.

Systems exempted from certain provisions of the act:

NONE

B0503-05 HQHTASI

System name:

503-05 Vehicle Registration and Driver Record File

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I). - See DMA Directory for complete address.

Categories of individuals covered by the system:

Any person privileged to operate a motor vehicle on a military instal- lation and who has been involved in a chargeable traffic accident or whose commission of a moving traffic violation has been verified.

Categories of records in the system:

File contains a record of issuance of decal and of all traffic offenses/ incidents and actions.

Authority for maintenance of the system: 50 U.S.C. 797; Internal Security - Security Regulations and Orders; Penalty for Violation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Office, to record all traffic offenses/incidents and action taken. State and Local Law Enforcement Agency for vehicle identifications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

8'x5' paper cards in card file cabinet

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal: Destroy one year after revocation or expiration.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification and also some information that would verify his need to know.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Report of traffic violation from Security police.

Systems exempted from certain provisions of the act:

NONE

B0503-07 HTA

System name:

503-07 Traffic Law Enforcement Files

System location:

Security Office - DMA Hydrographic/Topographic Center (HT), and DMA Aerospace Center (A) - See DMA Directory for complete address listing

Categories of individuals covered by the system:

All DMA personnel who have committed traffic violations on DoD installations.

Categories of records in the system:

Armed Forces traffic tickets and related correspondence.

Authority for maintenance of the system:

50 U.S.C. 797; Internal Security - Security Regulations and Orders; Penalty for Violation

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Office - for issue and filing ticket. Traffic violation correspondence and Armed Forces Traffic Tickets.

Supervisory - for advisory procedures

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary/Record - Destroy after 1 year.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Armed Forces Traffic Tickets issued by guard force personnel.

Systems exempted from certain provisions of the act:

NONE

B0503-09 HQHTASI

System name:

503-09 Key Accountability Files

System location:

Security Office, DMA Headquarters (HQ), DMA Hydrographic/ Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I). - See DMA Directory for complete address.

Categories of individuals covered by the system:

Individuals with keys to a secure area.

Categories of records in the system:

Documentation relating to the issue, return and accountability for keys to secure areas.

Authority for maintenance of the system:

E.O. 11652 - Classification and Declassification of National Security Information and Material. 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Police - Periodic Inspections, reissuance of keys after locks have been changed.

Personnel - Reference checks on individuals with keys to secure areas.

Supervisors - Reference checks and daily use for information purposes.

OSD and DIA - Investigation of loss or destruction of secure area.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders

Retrievability:

Filed Alphabetically by name

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record - Transfer to holding area, hold three (3) years then destroy.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determination s may be obtained from System Manager.

Record source categories:

Individual's key requests, personnel forms and investigatory findings.

Systems exempted from certain provisions of the act:

NONE

B0504-01 HQHTA

System name:

504-01 Personnel Security Files

System location:

Special Security/Activities Division - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address

Categories of individuals covered by the system: ES

DMA Military or civilian employees who have been assigned to positions that require access to Sensitive Compartmented Information (SCI).

Categories of records in the system:

Files consist of Special Security Office (SSO) security indoctrination and termination oaths; clearance and access certification messages; SSO security violation investigative reports if applicable.

Authority for maintenance of the system:

E.O. 11652 Classification and Declassification of NS Information and Material 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide central file repository for all SSO security forms pertaining to the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of file subject.

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Retained in active file during period subject is assigned to or employed by DMA, retained in inactive file for one year following reassignment or termination of employment, then destroyed.

System manager(s) and address:

See Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information obtained from such sources as review of birth records; education records; credit and former employment records; interviews of named and developed references; check of local police and FBI files & check of subversive files.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 522a (j) or (k), as applicable. For additional information, contact the Systems Manager.

B0504-01-2 HQHTASI

System name:

504-01 Personnel Security Files

System location:

Primary System - Security Office, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I). See DMA Directory for complete address.

Decentralized Segments - Cross reference index cards (i.e., Badge Requests Cards, Identification Cards, Guard Desk Roladex Identification Cards) with extracts of information contained in primary files are maintained on file in Security Office of each DMA element.

Categories of individuals covered by the system:

Those military, civilian, and industrial personnel who are assigned to, employed by DMA; whose official duties, responsibilities and/or contracts require that they have access to classified defense information which has been entrusted to or is under the Defense Mapping Agency.

Categories of records in the system:

File Contains individual's certificate of clearance indicating level of access individual is cleared for, date clearance was issued, type of investigation conducted, date investigation was completed and identification of agency that conducted the investigation. Additionally, contained in the file are; copy of Statement of Personal History (DD Form 398), individual's certification that he/she has read and understands both the Department of Defense and Agency security directives and instructions regarding the protection of classified defense information; individual certification that he/she understands responsibilities for protection of North Atlantic Treaty Organization (NATO), Central Treaty Organization (CENTO), material to a lesser extent some files will contain individuals certification that he/she has been briefed for access to NATO Top Secret (COSMIC); NATO Top Secret Restricted Data (ATOMAL); Top Secret CENTO; Single Integrated Operational Plan (SIOP); Extremely Sensitive Information (ESI); Atomic Energy Commission, Restricted Data (RD); and Atomic Energy Commission, Critical Nuclear Weapons Design Information (CNWDI).

Authority for maintenance of the system:

Section 6, Section 7, (B) (3); and Section 12 of Executive Order 11652; Classification and Declassification of National Security Information and Material - 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DMA SO - This information is maintained as a means to insure that each and every individual assigned to, employed by or contracting with the HQ DMA has been cleared for the level of access to classified information that is necessary for accomplishment of his official duties. These records further insure that each individual is made aware of his responsibilities regarding the protection and safe guarding of any classified information entrusted to him.

Other Governmental Agencies - Information regarding any individual's clearance and level of access. This enables DMA personnel to conduct official business requiring security clearance, with other governmental agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by name of individual

Safeguards:

Buildings are located on guarded government installation with security guards and alarms. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are maintained in an active status only for the period of time that the individual is actually assigned to, employed by or contracting with DMA. When the individual terminates his association with DMA, the records are maintained in an inactive status for the period of one year and then destroyed.

System manager(s) and address:

SDefense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager. Written requests for information should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Individual's certificate of clearance originates in HQ DMA Special Security Office (SSO) based on notification of personnel investigation by either the Civil Service Commission or the Defense Investigative Agency. Certification of clearance for military personnel will be certified by the individuals' parent service. Much of the routine information in these records such as name, date and place of birth, etc., is obtained during the individual's initial processing which is usually accomplished on his first duty day. Other information such as type of investigation, date of investigation, etc., is obtained from such investigating agencies as the Civil Service Commission (CSC), Defense Investigative Service (DIS), etc. The records are updated as new information is received regarding the individual's clearance and access.

Systems exempted from certain provisions of the act:

NONE

B0504-01-3 HQHTA

System name:

504-01 Personnel Security Investigative Files

System location:

Primary System - Security Offices, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address.

Categories of individuals covered by the system:

Those military and civilian personnel who are assigned to or employed by the Defense Mapping Agency and whose duties require access to classified defense information and who have therefore been investigated under the provisions of Department of Defense regulations.

Categories of records in the system:

Files consist of two parts, one part subject two exemption of 552a(K)(5) from review one part available for review. Part (l) Exempted consists of National Agency Checks with Written Inquiries (NACI); Background Investigations (BI) Special Background Investigations (SBI); Bring-up Investigations (BU). Part (2) Available for review consists of National Agency Checks (NAC).

Authority for maintenance of the system:

E.O. 11652 - Classification and Declassification of National Security Information and Material - 3/10/72.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Defense Mapping Agency - to determine eligibility for access to classified defense information and to conduct continuing Security Program

Defense Intelligence Agency - to determine eligibility for access to Sensitive Compartmented Information, applicable to Special Security Office access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of file subject.

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Retained in active file during period subject is assigned to or employed by DMA, retained in inactive file for one year following termination of subject's assignment or employment, then destroyed.

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager. Written requests for information should contain the full name of the individual current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Investigations are originated based on applicant's application for employment Source of information are inquiries of birth, education, local police, federal police agency files, credit, neighborhood, personal references, etc.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 522a (j) or (k), as applicable. For additional information, contact the Systems Manager.

B0504-02 HQHTASI

System name:

504-02 Security Briefing and Debriefing Files

System location:

Primary System - Central RS COSMIC Register Room 1B889, Pentagon, Washington, D.C. 20310

Decentralized Segments - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I) - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Personnel briefed and debriefed on security matters

Categories of records in the system:

Documents relating to security briefing and debriefing of personnel authorized access to classified material. Included are briefing statements, debriefing statements and certificates, and related papers.

Authority for maintenance of the system:

E.O. 11652 - 'Classification and Declassification of National Security Information and Material' 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Debriefing personnel upon termination of employment.

IPO Officer/TS Control Officer - use to certifying employee access of current security regulations.

Central US Cosmic Register - maintain as in information record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - Destroy one year

System manager(s) and address:

Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager. Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Form generated by employee

Systems exempted from certain provisions of the act:

NONE

B0504-02-2 HQHTA

System name:

504-02 Special Security Briefing and Debriefing Files

System location: Primary System - Defense Intelligence Agency, Special Security Office, Room 1A884, Pentagon, Washington, D.C. 20310

Decentralized Segments - Security Office, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address

Categories of individuals covered by the system:

Personnel briefed and debriefed on Special Security Matters

Categories of records in the system:

Documents relating to special security briefing and debriefing of personnel authorized access to special classified material. Included are briefing and debriefing statements, debriefing statements and certificates, and related papers.

Authority for maintenance of the system:

E.O. 11652 - Classification and Declassification of National Security Information and Material; 3/10/72

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Office - To verify individual employee compliance with current Special Security requirement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, in safe and vault.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - Destroy one year after termination of access to information.

System manager(s) and address:

DIA Special Security Office, Room 1A884, Pentagon, Washington, D.C. 20310

Notification procedure:

Information may be obtained from Defense Mapping Agency, ATTN: Security Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4411

Record access procedures:

Requests from individuals should be addressed to system manager. Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from DMA Security Officer

Record source categories:

Individuals authorized to have access to special classified material

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 522a (j) or (k), as applicable. For additional information, contact the Systems Manager.

NONE

B0601-01 HQHTASI

System name:

601-01 Civilian Personnel Program Reporting Files (Master File Printout)

System location:

Personnel Offices. See DMA Directory for Complete Address Listing

Categories of individuals covered by the system:

Any individual employed by the Agency.

Categories of records in the system:

File contains Name, Social Security Number, Date of Birth, Sex, Service Computation Date, Location, Job Title, Grade, Series, Step, Salary, Life Insurance, Health Benefits, Organization Code, Nature and Date of Last Action Tak en, Veteran's Preference, Retirement Deductions, Type of Appointment, Master Tapes, etc.

Authority for maintenance of the system:

Executive Order 10561. Designating Official Personnel Folders in Government Agencies as Records of the CSC and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer Thereof; 9/15/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide consolidated source of pertinent information on employees for internal requests for information and internal reports. Provides records of information transmitted to Civil Service Commission Central Personnel Data File.Available to Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Printout paper

Retrievability:

By organization, grade level, alpha by name

Safeguards:

Buildings/facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary. Destroy after six months.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial deter- mination may be obtained from System Manager.

Record source categories:

Digest of Information from existing Personnel Files.

Systems exempted from certain provisions of the act:

NONE

B0601-01-2 HTA

System name:

601-01 Civilian Personnel Program Reporting Files (Employee Retirement Record)

System location:

Primary System - Personnel Office, See DMA Directory for complete address listing

Decentralized Segments - Department of Computer Services

Categories of individuals covered by the system:

Any individual employed by DMA Hydrographic/Topographic Center who is qualified for retirement

Categories of records in the system:

Contains names of employees eligible for optional retirement within next five years. Contains name, job title, earliest retirement date, Date of Birth, Service Computation Date, Pay Plan, Grade, Step, Series, Organization Code.

Authority for maintenance of the system:

Executive Order 10561

Designating Official Personnel Folders in Government Agencies as Records of the CSC and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer Thereof; 9/15/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisory management planning purposes and personal benefit of individuals concerned- Available to Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer printout and tape

Retrievability:

By organization, alpha by last name

Safeguards:

Building facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Printout

Temporary - Destroy after five years

Tape - updated periodically

System manager(s) and address:

DMA Hydrographic/Topographic Center, ATTN: Personnel Office, Room 170, Erskine Hall, 6500 Brookes Lane, Washington, D.C. 20315, TELEPHONE: Area Code 202/227-2116

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Personnel Master File computer tape in Department of Computer Services

Systems exempted from certain provisions of the act:

NONE

B0601-01-3 A

System name:

601-01 Personnel Assistance Files

System location:

Civilian Personnel (POX), DMAAC, 8900 South Broadway, St. Louis, Mo. 63125

Categories of individuals covered by the system:

Aerospace Center personnel discussions with the Personnel Office.

Categories of records in the system:

File contains memorandums for record concerning Planned Assistance Visits.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to record employee's visits to Personnel Office and discussions with Personnel Office personnel concerning their questions, advice, or complaints.

User is the Personnel Office staff.

User utilizes the information to keep records of employees' visits and have a record of discussions concerning employee questions, advice, or complaints.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Papers and memorandums.

Retrievability:

Filed categorized by Directorates, Staff Agencies, and Departments, and then filed alphabetically by employee last name after that.

Safeguards:

Facility employs security guards. Records are locked in file cabinets by division secretary's desk when not in use. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary record. Destroyed after 5 years.

System manager(s) and address:

Director of Civilian Personnel (POC). DMAAC, 8900, South Broadway, St. Louis, Missouri 63125

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from the System Manager.

Record source categories:

Backup material on employee visits to Personnel Office.

Systems exempted from certain provisions of the act:

NONE

B0601-03 HQHTASI

System name:

601-03 Advanced Personnel Data System - Civilian (APDS-C)

System location:

Civilian Personnel Offices - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Current and former DMA civilian employees.

Categories of records in the system:

Civilian employment information including authorization for position, personnel data, suspense information; position control information; projected information and historical information; civilian education and training data; performance appraisal, ratings, evaluation of potential; civilian historical files covering job experinece, training and transactions; civilian awards information, merit promotion plan work files; career programs files for such functional areas as procurement, logistics, civilian personnel, etc., civilian separation and retirement data for reports and to determine eligibility; adverse and disciplinary data for statistical analysis and employee assistance; stand-along file, as for complaints, enrollee programs; extract files from which to produce statistical reports in hard copy, or for immediate access display on remote computer terminals; miscellaneous files.

Authority for maintenance of the system:

5U.S. Code 301 and 44 U.S. Code 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide automated system support to DMA officials at all levels from that part of the Civil Service Commission required personnel management and records keeping system that pertains to evaluation, authorization and position control, position management, staffing skills inventory, career management, training, retirement, employee services, rights and benefits, merit promotions, demotions, reductions in force, complaints resolution, labor management relations, and the suspensing and processing of personnel actions; to provide for transmission of such records between employing activities within the Defense Mapping Agency; to provide reports to the Civil Service Commission; to provide reports of military reserve status to other armed services for contingency planning; to obtain statistical data on the work force to fulfill internal and external report requirements and to provide DMA offices with information needed to plan for and evaluate manpower, budget and civilian personnel programs, to provide minority group designator codes to the U.S. Civil Service Commission's automated data file, to provide the Office of the Assistant Secretary of Defense, Manpower and Reserve Affairs, with data to assess the effectiveness of the program for employment of women in executive level positions; to provide data to DMA officials to facilitate the assessment of the DMA Affirmative Action Plan for minorities and women; to obtain listings of employees by function or area for locator and inventory purposes; disclosed to officials of labor organizations recognized under Executive Order 11491, as amended, when relevant and necessary to their duties of exclusive representation concerning personnel policies and practices and matters affecting working conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets, card files, computer magnetic tapes, disks or drums, computer paper printouts, microfiche.

Retrievability:

Filed by name, Social Security Account Number (SSAN), other identification number or system identifier. The primary individual record identifier in APDS-C is SSAN. There is the added capability of selecting an individual's record or certain preformatted information by SSAN on an immediate basis using a teletype or cathode ray tube display device.

Safeguards:

Records are accessed by custodian(s) of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. Records are stored in safes. Records are stored in vaults. Records are stored in locked cabinets or rooms. Records are protected by guards. Records are controlled by computer system software.

Retention and disposal:

Analog output products are retained in office files until superseded, obsolete, no longer needed for reference, or inactivated. They are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Data stored digitally within system is retained only for the period required to satisty recurring processing requirements and/or historical requirements. The Notification of Personnel Action, Standard Form 50, is disposed of as directed by the Civil Service Commission, work files and records such as the employee career brief, position survey work sheet, retention register work sheet, alphabetic and social security account number locator files, and personnel and position control register are destroyed after use by tearing into pieces, shredding, macerating, or burning work sheets pertaining to qualification and retention registers are disposed of as directed by the Civil Service Commission; transitory files such as pending files, and recovery files are destroyed after use by degaussing files and records retrieved through general retrieval systems are destroyed after use by tearing into pieces, shredding, pulping, macerating, or burning. The separated employee file retains employee information at time of separation for five years after which the employee's record is destroyed by degaussing.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to above.

Written requests for information should contain the full name of the individual, Social Security Number, current address and telephone number.

For personal visits, the individual should be able to furnish personal identification containing his/her full name, Social Security Number, physical description, photograph and signature.

Contesting record procedures:

The Agency rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Digest of information from existing Personnel Files and management/employee source documents.

Systems exempted from certain provisions of the act:

NONE

B0602-03 HQHTASI

System name:

602-03 Organization File

System location:

Personnel Offices - See DMA Directory for complete address listing

Categories of individuals covered by the system:

Military and civilian personnel assignment to HQ DMA

Categories of records in the system:

Roster of people assigned to DMA by name - job number. JTD Position series-grade-organization

Authority for maintenance of the system:

5 U.S.C. 3101 - 'Authority for Employment'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Matching people with job numbers and JTD numbers for ceiling purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in File Folders

Retrievability:

Chronological date

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Destroy when superseded or obsolete.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be

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able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from: System Manager

Record source categories:

Personnel action recorded for supervisory records.

Systems exempted from certain provisions of the act:

NONE

B0602-06 A

System name:

602-06 Differential and Allowance Files

System location:

Civilian Personnel (POX), DMAAC, 8900 South Broadway, St. Louis, Mo. 63125

Categories of individuals covered by the system:

Aerospace Center civilian employees serving overseas; rated eligible for foreign post differential and allowance.

Categories of records in the system:

File contains copies of DD Form 1351-2, memorandums and letters concerning differential and allowances.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of file is to record documentation (memorandums and letters) of employee's eligibility for foreign post differential, foreign quarters, and post allowance.

Users of the information are the Personnel Office staff members.

User utilizes the file as a reference folder for future transactions of similar nature.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee last name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Files are retained and maintained in Current Files Area (CFA). Temporary Record - Destroyed upon separation of employee.

System manager(s) and address:

Director of Civilian Personnel (POX). See DMA Directory.

Notification procedure:

Information may be obtained from System Manager.

Record access procedures:

Requests from individuals should be addressed to: See System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Foreign allowance application, grant, and reports.

Systems exempted from certain provisions of the act:

NONE

B0604-03 HQHTASI

System name:

604-03 Active Application Files (Applicant Supply Files)

System location:

Primary System - DMA Personnel Offices. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Individual job applicants

Categories of records in the system:

File contains rated applications for positions of Clerk-Typists or Clerk-Steno, test results

Authority for maintenance of the system:

5 U.S.C. Section 3301; Examination, certification and Appointment - Civil Service; Generally

Executive Order 10577 - Amending the Civil Service Rules and Authorizing a New Appointment System for the Competitive Service; 11/23/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Personnel Office to fill position vacancies for Clerk-Typist and Clerk-Steno positions up to GS-4 level, exchange with other organizations, such as NIH, subject to periodical inspection by Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and file cabinets

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary. Destroy after two years

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contests and appealing initial determination may be obtained from System Manager.

Record source categories:

Applications and tests completed by job applicants

Systems exempted from certain provisions of the act:

NONE

B0604-04 HTA

System name:

604-04 Pending Application Files

System location:

Civilian Personnel Offices - DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A) See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian personnel concerned.

Categories of records in the system:

Record of personnel applying for positions with DMA whose application is pending due to lack of qualifications, declining or not available for appointment. Applicants for whom there are adequate Civil Service registers.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to document individual's consideration for appointment.

Personnel Office, concerned employees, employee representatives, and authorized inspectors of Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee last name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary record. Destroy in CFA after 2 years or on receipt of CSC inspection report.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Request from individuals should be addressed to System Manager

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Applications from individuals concerned--qualification statements.

Systems exempted from certain provisions of the act:

NONE

B0605-01 HQHTASID

System name:

605-01 Equal Employment Opportunity Reporting Files

System location:

Primary System - Staff Offices, Department, Division and Branch Offices, All Components. See DMA Directory for complete address listing.

Decentralized Segment - Components and organizations of DMA

Categories of individuals covered by the system:

All civilian employees of DMA and Components

Categories of records in the system:

Social security number, statistical by organization/minority designation

Authority for maintenance of the system:

Executive Order 11478, 8/8/64; Equal Employment Opportunity in the Federal Government.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Equal Employment Opportunity Office only to identify minorities and for statistical purposes. Can be subject to submission to CSC for inspection or central EEO office - counselors investigators have access to files.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, vertical file cards and computer paper printouts.

Retrievability:

Social Security Number

Safeguards:

Information available only to Equal Employment Opportunity Office. Information kept in locked cabinets.

Retention and disposal:

Destroy after five years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Existing Personnel Records

Systems exempted from certain provisions of the act:

NONE

B0605-03 HQHTASID

System name:

605-03 Equal Employment Opportunity Complaint Case Files

System location:

DMA and Component organizational EEO Office

see DMA Directory for complete Address Listing

Categories of individuals covered by the system:

Any employee who files a complaint of discrimination

Categories of records in the system:

All documents pertaining to specific complaints of discrimination.

Authority for maintenance of the system:

Executive Order 11478, 8/8/69; Equal Employment Opportunity in the Federal Government.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

EEO Office - to process complaints; counselors have access;

Personnel Office - to concur or non-concur with proposed disposition

Office of Counsel - formal investigation; Complainant's designated Representative

HQ DMA - to concur or non-concur with proposed decision

Civil Service Commission - appeal from initial agency decision; Department of Justice in event of litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in folders in barred containers

Retrievability:

By name of complainant

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Components - maintained until final decision

Temporary Record - destroyed after five years

HQ DMA - permanent

System manager(s) and address: Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license,

employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Complaints, transmittal letters, investigative data and summaries, hearing transcripts, finding of fact statements, final disposition reports, acceptance statements, withdrawl notices, and similar or related documents.

Systems exempted from certain provisions of the act:

NONE

B0606-01 HQHTASI

System name:

606-01 Official Personnel Folder Files

System location:

Primary System - DMA Headquarters (HQ), DMA Hydrographic/ Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I) - See DMA Directory for complete address listing.

Decentralized Segments - National Personnel Records Center, St. Louis, MO

Categories of individuals covered by the system:

All civilian employees

Indebtedness - Allegations of indebtedness made by creditors to Personnel Office requesting help

Categories of records in the system:

File contain documentation of all official personnel action taken on an employee regarding Federal service including verification of military service.

Indebtedness - copies of court judgements, responses to claim and counseling records

Authority for maintenance of the system:

Executive Order 10561 9/15/54 Designating Government Agencies as Records of the Civil Service Commission and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer thereof.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Office - serves as the official personnel record of an employee's Federal Service

Supervisory - Merit Promotion Plan

National Personnel Records Center, St. Louis, MO. - to give information to individuals concerned after retirement or separation from government service.

Any regulatory authority such as Civil Service Commission

Indebtedness - counseling, possible use in court proceedings, supervisors and personnel for disciplinary actions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by last name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - retained in active file until employee separates. Upon separation from Federal Service, file sent to National Personnel Records Center. Upon transfer to another Agency, file is sent to Agency's personnel office. Destroyed at NPRC after 75 years after date of birth.

Indebtedness - destroyed upon separation of individual.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager

Record source categories:

Personnel forms completed by employee and Personnel Office regarding Federal employment.

Personnel Office - notification of personnel action, pay changes, change of address, change of health benefits and life insurance, letters of reprimand, verification of military service, educational transcripts. Documents generated by Civil Service Commission such as test scores, notices of ratings.

Indebtedness - official court judgements or court orders. Employees responses and creditors requests for help.

Systems exempted from certain provisions of the act:

NONE

B0606-02 HQHTASI

System name:

606-02 Employee Service Record File

System location:

Primary System - Personnel Office and each organizational field activity

Decentralized Segments - Records Holding Area, Records Management Division (For HT files only) - See DMA Directory for complete address

Categories of individuals covered by the system:

Any individual employed by HQ,HT,A,I

Categories of records in the system:

Card contains a summary of all personnel actions on SF-50's or pay change actions during employment of the individual concerned.

Log and disposition contains name, social security number, date of birth, when and where official Personnel Folder was sent from Personnel Office

Authority for maintenance of the system:

Executive Order 10561, 'Designating Official Personnel Folders in Government Agencies as Records of the Civil Service Commission and Prescribing Regulations Relating to the Establishment, Maintenance, and Transfer Thereof; 9/15/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel - Card index control of personnel actions on employees and organizational control, updated

Supervisory - Statistical Purposes

Log - used by Personnel to verify employee

Records Holding Area, Records Management Division - to furnish certain information (Permanent or Temporary; Salary; How long employed; Date of birth) to other Government agencies, commercial or credit organizations, verification of employment, reasons for leaving, birth date, date of employment, information to be given to FBI, Civil Service Commission on dates of employment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card (SF 7) and Log Book

Retrievability:

Card by organization, grade level, alphabetically by name. Log - by date

Safeguards:

Building/facility employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record. Card (SF 7) - COFF inactive files every five years. Transfer to Records Holding Area five years after cut off. Destroy in Records Holding Area after ten years. Log - retained in Personnel, destroyed after 15 years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card and give some verbal information that could be verified

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from: System Manager.

Record source categories:

Card Entries - Supervisory - SF 52 action, pay actions, performance appraisals

Personnel and Civil Service Commission Automatic Pay Actions Log - Personnel Clerk entries

Systems exempted from certain provisions of the act:

NONE

B0606-03 HQHTA

System name:

606-03 Expert and Consultant Data Files

System location:

Personnel Offices - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any individual employed as an expert or consultant with DMA

Categories of records in the system:

Employment and education history, salary data, statement of duties or functions proposed for the expert/consultant.

Authority for maintenance of the system:

5 U.S.C. 3101 - Authority for Employment

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of collecting the information is to evaluate the merits of proposed appointments of consultants/experts and to meet CSC requirements to maintain such records.

The information is used to obtain final approval by DMA/DOD on proposed appointments of experts/consultants.

Supervisors, Personnel, OSD officials, CSC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by name.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary. Destroy 2 years after separation of employee.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Personnel actions recorded for supervisory records.

Systems exempted from certain provisions of the act:

NONE

B0606-05 HQHTASI

System name:

606-05 Adverse Action Files

System location:

Personnel Offices DMA. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian employees who have had adverse action taken against them.

Categories of records in the system:

Copies of notice of proposed adverse action, the material relied on by the Agency to support the reasons in that notice, any answer made by the employee and the notice of decision.

Authority for maintenance of the system:

E.O. 11491 - 'Labor Management Relations in the Federal services' - 10/31/69

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain records on adverse actions for use in employee appeals or grievances and as documentation in further adverse actions against an employee, information from file could be used in appeal cases to Civil Service Commission, can be used by both counsel and union in cases of representation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

This is a temporary record. Destroy after 10 years unless employee appeals; in which case, transfer to File No. 610-03 (Appeals and Grievances)

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories: All documents related to adverse actions, such as removal, suspension, furlough without pay, and reduction in rank or pay for cause other than reduction-in-force. Notices of proposed action, employee's reply, statement of witness, notice of decision, and similar documents.

Systems exempted from certain provisions of the act:

NONE

B0607-01 HQHTASI

System name:

607-01 Personnel Locator Files (Alpha Listing)

System location:

Primary Personnel Offices - See DMA Directory for complete listing.

Decentralized Segments - Computer Services - DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A).

Categories of individuals covered by the system:

Any civilian individual employed by DMA

Categories of records in the system:

Alphabetical file contains name, job title, job number, social security number, date of birth, service computation date, pay plan, grade, step, series, organization code.

Social Security Listing - Contains social security number and name.

Authority for maintenance of the system:

5 U.S.C. 7301 - Regulation of Conduct - Presidential Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Alpha listing - To locate employees by organization and job title and perform certain internal reports and internal requests for information within the Personnel Office within the Agency.

Social Security Number Listing - To locate an employee when social security number only is known. Used when working with error listings sent by Civil Service Central Personnel Data File.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Printout Paper

Retrievability:

Alphabetically by last name
Social Security Number

Safeguards:

Building/Facility employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Alphabetical Listing - Temporary - Destroy after 6 months.
Social Security Number Listing

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Personnel Master File Computer Tape located in Department of Computer Services

Personnel Master File - Tab run

Systems exempted from certain provisions of the act:

NONE

B0607-03 HQHTASI

System name:

607-03 Chronological Journal Files

System location:

Personnel Offices - DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A). See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any civilian employee of the Agency who has a personnel action pertaining to him.

Categories of records in the system:

Contains all personnel actions for which an SF 50, Notification of Personnel Action is required.

Authority for maintenance of the system:

E.O. 10561 - 'Designating Official Personnel Folders in Government Agencies as Records of the CSC and Prescribing Regulations Relating to the Establishment, Maintenance and Transfer Thereof' 9/15/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Monthly strength reports - Internal, DoD and the Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper file of SF 50 in file folders

Retrievability:

By date, organization, alphabetical by name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary. Destroy after 2 years in current files area

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office Building 56, U.S. Naval Observatory, Washington, D.C. 20305 TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Typed from SF 52, Request for Personnel Action from either management or the Personnel Office.

Systems exempted from certain provisions of the act:

NONE

B0608-06 HQHTASI

System name:

608-06 Civilian Training Reporting Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

Any civilian employee receiving training in Government and non-government facilities
Civil Service Commission
Supervisory Personnel
Members of Personnel Office

Categories of records in the system:

File contains the Central Personnel Data Files Report showing training completed and also the quarterly report of career development executive and management training for minorities and women

Authority for maintenance of the system:

Executive Order 11348, - Providing for Further Training of Government Employees; 4/22/67

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - for reporting training

Civil Service Commission for review
Supervisory Personnel - access to file for review

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Appropriate folder by name of individual, social security number and type of training

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Records are destroyed after five years

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from System Manager

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Individuals, interagency - professional institutions

Systems exempted from certain provisions of the act:

NONE

B0608-07 HTA

System name:

608-07 Civilian Training Program Files

System location:

Primary System - Staff Offices, Department, Division and Branch Offices, All Components. See DMA Directory for complete address Decentralized Segments - Components and organizations of DMA

Categories of individuals covered by the system:

Any civilian employee

Categories of records in the system:

File contains career plans for certain executives and managements, GS-13 and above, career appraisals - performance evaluations, applications for career appraisal, and assessment of knowledges and abilities for certain managers. The files also contain minutes of executive manpower resources board meetings

Authority for maintenance of the system:

Executive Order 11348, Providing for the Further Training of Government Employees; 4/22/67

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - for career planning and career appraisals

Supervisory and Civil Service Commission - reviews

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed within appropriate folder in alphabetical order by name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Records are destroyed after five years or five years after completion of a specific training program

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information and/or transcripts supplied by Federal Institution - requests by supervisor or personnel to initiate action

Systems exempted from certain provisions of the act:

NONE

B0608-08 HQHTASI

System name:

608-08 Training Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I). See DMA Directory for complete address listing

Categories of individuals covered by the system:

Any DMA civilian employee

Categories of records in the system:

File contains documents reflecting such items as cumulative record of management training received by each supervisor, space allocations, listing of participants in after duty hours on base courses, and student evaluation of courses. Included also are Nomination for Interagency Training (OF Form 37); Enrollment and Registration Request for DoD Management Education and Training Program Courses (DD Form 1556); Training Attendance and Rating (AF Form 1151); Trainee Date (AF Form 1152); and Record of Training or Certification of Equivalency (AF Form 1514).

Authority for maintenance of the system:

Executive Order 11348, 'Providing for the Further Training of Government Employees'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - For use in planning, scheduling, approving, documenting, and evaluating training. Also, for statistical information needed in various reports.

Supervisory - For use in personnel administration.

Civil Service Commission - Inspection purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.
5' x 8' file cards.

Retrievability:

Filed alphabetically by name.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Civilian Personnel Office - Records are destroyed after five years.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Civil Service Commission, Academic Institutions, Professional Organizations and Inter-Agency training.

Systems exempted from certain provisions of the act:

NONE

B0608-09 HQHTASI

System name:

608-09 Contract Training Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

Any civilian employee concerned

Categories of records in the system:

File contains documents reflecting contract training of civilian employees in non-government facilities - covering such items as information used in rating applicants for Long-Term Full Time Training (LTFTT), service agreements for LTFTT, employee selection, student evaluation, contracts between Agency and non-government training facilities.

Authority for maintenance of the system:

Executive Order 11348, Providing for the Further Training of Government Employees; 4/22/67

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - For use in planning, scheduling, approving documenting and evaluating training. Also, for statistical information needed in various reports.

Managers - For use in personnel administration.

Academic Institutions - Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary - Record destroyed 3 years after completion of training or upon expiration of obligated service agreement.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Transcripts from previous academic Institutions, Professional Organizations

Systems exempted from certain provisions of the act:

NONE

B0608-10 HQHTASI

System name:

608-10 Record of Training Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any individual trainee participating in off-the-job training courses.

Categories of records in the system:

Files contain listing of all courses which the Agency sponsors for the individuals' length, dates and cost of each course.

Authority for maintenance of the system:

Executive Order 11348 5 U.S.C. Section 4103 and 4118 - Establishment of Training Programs; Training - Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - For use in administering training program and documenting record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.
Card files

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Records are reviewed annually and the portion pertaining to individuals no longer employed with Agency are destroyed.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Supervisors approval, employee request forms, academic institutions

Systems exempted from certain provisions of the act:

NONE

B0609-01 HQHTASI

System name:

609-01 Referral and Selection Files

System location:

Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

All applicants for positions

Categories of records in the system:

Contains position vacancy announcements and records of persons applying, their ratings and the persons referred and selected for the vacancy

Authority for maintenance of the system:

Executive Order 10577 - Amending the Civil Service Rules and Authorizing a New Appointment System for Competitive Service; 11/23/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain a record of employees selected under the Civilian Personnel Office, Promotion Panel, EEO, Personnel, CSC

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Envelopes in file cabinets

Retrievability: By vacancy announcement number

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary - destroy after two years

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personnel visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information is provided by employee, their supervisor, and the selecting official

Systems exempted from certain provisions of the act:

NONE

B0609-05 A

System name:

609-05 Occupational Inventory Files

System location:

Primary System - Office of Civilian Personnel (POP), DMAAC, 8900 South Broadway, St. Louis, MO 63125.

Decentralized Segments - All Directorates, Staff Agencies and Departments of DMAAC, St. Louis, MO.

Categories of individuals covered by the system:

Employee concerned, supervisor and Personnel Office

Categories of records in the system:

Record contains information on qualifications, availability, appraisals, and other data on persons registered in specific career fields (DMAHTC Fm 1405 POP-5 and 1405 pop-4)

Authority for maintenance of the system:

5, E.O. 10577 - Amending the Civil Service Rules and Authorizing a new Appointment System for Competitive Services, 11/23/54

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is utilized to provide numerical appraisal of employee's current performance.

Category of users are civilian employees, supervisors and Personnel Office.

Specific use, the user utilizes the information to provide numerical appraisal of employee's current performance and potentials for middle and high level managerial and executive positions, and potential for general schedule nonsupervisory positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically be last name according to position level.

Safeguards:

Facility employs security guards on a continuous basis. Records are maintained in area accessible only to authorized personnel. Records are stored in locked file cabinets.

Retention and disposal:

Primary System - Forms are maintained and retained in current files area (CFA). Forms are destroyed 2 years after individual is no longer eligible for consideration.

System manager(s) and address:

Office of Civilian Personnel (POP), DMAAC, 8900 South Broadway, St. Louis, MO 63125 TELEPHONE: Area Code 304/268-8334

Notification procedure:

Information may be obtained from above.

Record access procedures:

Request should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address, telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for access to records and for containing contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee, Supervisor, Personnel Office, DMAAC Fm 1405 POP-5 and 1405 POP-4

Systems exempted from certain provisions of the act:

NONE

B0609-05-2 HQ

System name:

609-05 Comptroller/Financial Management Civilian Career Referral System.

System location:

Manpower & Management Division, DMA Headquarters, Bldg. 56, U. S. Naval Observatory, Washington, D. C. 20305.

Categories of individuals covered by the system:

Any individual in the Defense Mapping Agency who is at grade GS-13 or above in occupation series covered by this program and who prepared the required registration material.

Categories of records in the system:

Personal Qualifications Statement (SF-171), Employee Career Appraisal (DD Form 1917 or DD Form 1556), Request for Preliminary Employment Data (SF Form 75) and miscellaneous other material, such as letters of commendation, which are submitted voluntarily by employees registering in the system. Also, correspondence and internal memoranda relating to the internal administration of the system.

Authority for maintenance of the system:

5 U.S.C. 3101 - Authority for Employment; 5 U.S.C. 3301 - Examination, Certification, and Appointment - Civil Service; Generally.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide referral information to DoD Components when a notice is received from a DoD Component that a vacancy exists in a position covered by this program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders in a safe.

Retrievability:

Filed alphabetically by last name of each registrant.

Safeguards:

Building employees security guards. Records are maintained in a security container and in an area accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal:

Records are retained as long as the individual is eligible for registration and desires to remain registered in the system; records are destroyed when obsolete.

System manager(s) and address:

Chief, Manpower and Management Division, Headquarters Defense Mapping Agency. TELEPHONE: 202/254-4487

Notification procedure:

Information may be obtained from the System Manager.

Record access procedures:

Information may be obtained from the System Manager at the address indicated under location.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

All information pertaining to individuals registered in the system is either supplied by the individual, his supervisors or his servicing Civilian Personnel Office.

Systems exempted from certain provisions of the act:

NONE

B0609-07 HQHTAI

System name:

609-07 Individual Overseas Employment Referral Files

System location:

Personnel Offices - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address

Categories of individuals covered by the system:

Any individual registered in the Overseas Employment Referral Program

Categories of records in the system:

File contains documents on employees registered in Overseas Employment Referral Program. Includes application, name, skills, grade levels, locations, for which registered, offers received and action taken, correspondence with registrant, date dropped from system and reasons.

Authority for maintenance of the system:

5 U.S.C. 3101 - Authority for Employment

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Place employees in automated Overseas Employment Program
Any agency employing personnel overseas
Supervisors
Personnel Office

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by last name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary - Destroy 2 years after individual is dropped from system.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Form completed by employee with advice of personnel representatives.

Systems exempted from certain provisions of the act:

NONE

B0609-09 A

System name:

609-09 Occupational Qualification List Files

System location:

DMAAC Comptroller (CM), Second & Arsenal Streets, St. Louis, MO 63118

DMAAC Civilian Personnel Directorate (PO), 8900 South Broadway, St. Louis, MO 63125.

Categories of individuals covered by the system:

Concerned civilian mathematicians, physicists, cartographers, and other scientific personnel employed at DMAAC.

Categories of records in the system:

File contains work and educational history, and training

Authority for maintenance of the system:

5 U.S.C. 3101-Authority for Employment

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of tape is to collect information concerning selected educational backgrounds, mathematicians, physicists, cartographers, and other scientific personnel.

User - Civilian Personnel Directorate (PO)

User utilizes the files to determine employee skills for merit promotion consideration

Promotion Panels (Ad-Hoc)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, paper cards and paper computer printout.

Retrievability:

Filed by reel number and within mechanized listings arranged alphabetically within organizational location and grade.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Tape is retained in tape library and is updated by input cards. The input cards and printouts are destroyed when superseded or upon separation of employee

System manager(s) and address:

DMAAC Civilian Personnel Directorate (PO), 8900 South Broadway, St. Louis, MO 63125

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Civilian Personnel Office and supervisor

Systems exempted from certain provisions of the act:

NONE

B0609-11 HQHTA

System name:

609-11 Repromotion Eligibility Files

System location:

Personnel Office - DMA Headquarters (HA) DMA Hydrographic/Topographic Center (HT) DMA Aerospace Center (A) - See DMA Directory for complete address.

Categories of individuals covered by the system:

Any individual demoted without personal cause and eligible for placement to former or higher grade.

Categories of records in the system:

Contains documents on employees demoted without personal cause and eligible for placement in former or higher grade. Included are lists or cards recording names, title, grade, and position for which employee meets minimum qualification requirements.

Authority for maintenance of the system:

5 U.S.C. 3101 - Authority for Employment and E.O. 10577 - Amending the Civil Service Rules and authorizing a new appointment system for competition service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal users, uses and purposes - Personnel Office; Supervisors; Selecting Officials. Personnel Office to advise and assist supervisors and selecting officials in determining if a downgraded employee meets minimum qualification requirements for a vacant position. External users, uses and purposes - None.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, computer printouts, or cardex files.

Retrievability:

Filed alphabetically by job title, competitive level code, name of employee.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in locked containers in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary record. Destroy when employee is placed in former or higher grade.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Request from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number. Visits are limited to normal working hours.

For personal visits the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Information pertaining to individuals in the systems either supplied by the individual, or extracted from the official Personnel.

Systems exempted from certain provisions of the act:

NONE

B0610-01 HQHTASI

System name:

610-01 Hours of Work Files

System location:

Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

Employees who request change in hours of work.

Categories of records in the system:

Contains employees name, reason for desiring change in work hours, decisions to approve or disapprove.

Supervisors, Personnel Office, Office of Comptroller

Authority for maintenance of the system:

5 U.S.C. 7301 - Regulation of Conduct - Presidential Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to show changes in hours of work of individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Alphabetically by name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy one year after no longer effective

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the indi- viduals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Individuals originating request review of approval or disapproval by supervisor.

Systems exempted from certain provisions of the act:

NONE

B0610-03 HQHTASID

System name:

610-03 Appeals Files

System location:

DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Inter American Geodetic Survey (I), Office of Distribution Services (D). - See DMA Directory for complete address.

Categories of individuals covered by the system:

All civilian employees who file an appeal to a removal, suspension for more than 30 days, furlough and reduction in rank or pay.

Categories of records in the system:

File contain copies of; notice of proposed action, supporting evidence, employee reply, notice of decision, record of when a hearing is held

Authority for maintenance of the system:

V 44 DE 17 79 UMI

Executive Order 11787 - Revoking Executive Order No. 10987, Relating to Agency Systems for Appeals from Adverse Actions 5 USC 7512, 7701

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained for use in appeal proceedings.
Personnel Office
Employee Representative
Supervisors
Hearing Officer
Civil Service Commission
Equal Employment Opportunity

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and magnetic tapes

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Destroy in current files area after seven years unless appeal is still pending.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Supervisors, employee, witnesses.

Systems exempted from certain provisions of the act:

NONE

B0610-03-2 HQHTASID

System name:

610-03 Grievance Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

All civilian employees who have filed a grievance.

Categories of records in the system:

File contains correspondence relative to grievance, investigation report, decision by management at various steps of procedure, supporting evidence. Hearing record, Examiners Report, Grievance decision.

Authority for maintenance of the system:

5 U.S.C. 1302, 3301, 3302
Executive Order 11491 as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To evaluate the merits of employee grievances and to make decisions on grievances
Personnel Office, Employee Representative, Supervisors Grievance Examiner, Civil Service Commission, Equal Employment Opportunity Officer, Local Union Officials

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folder - magnetic tape recording when a hearing is held

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Temporary Record - destroy after seven years unless appeals are pending

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Supervisors, employee, witnesses and grievance examiners

Systems exempted from certain provisions of the act:

NONE

B0611-01 HTAI

System name:

611-01 Reduction in Force Card Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

All civilian employees at Agency

Categories of records in the system:

File contains reduction-in-force data; including name of employee, date, position, grade, last performance rating, competitive level code and similar information

Authority for maintenance of the system:

5 USC 3502; Order of Retention

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To construct retention register in event of reduction in force
Employees, Union Officials, Personnel, Supervisors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper cards in card boxes

Retrievability:

Alphabetically by job title, competitive level code, name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary - destroy upon separation of employee or upon updating

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Official Personnel Folder and SF 7, Service Record Card

Systems exempted from certain provisions of the act:

NONE

B0611-03 HTAI

System name:

611-03 Retention Register Files

System location:

Personnel Offices - See DMA Directory for complete address Listing.

Categories of individuals covered by the system:

All civilian employees at Agency

Categories of records in the system:

File contains retention groups of employees according to tenure, length of service, performance ratings and veterans preference

Authority for maintenance of the system: 5 USC 3502; order of Retention

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine ranking of employees in the event of reduction-in-force
Employees, Union officials, Personnel, Supervisors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By competitive level code - individual name

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary - destroy after two years unless appeals are pending

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager

Record source categories:

Reduction-in-Force Card Files - Official Personnel Folder - Service Record Card (SF 7)

Systems exempted from certain provisions of the act:

NONE

B0612-01 HQHTASI

System name:

612-01 Basic Labor Relations Files

System location:

Personnel Offices - See DMA Directory for complete address listing

Categories of individuals covered by the system:

Civilian Employees who file grievances under negotiated grievance procedure.

Categories of records in the system:

File contains correspondence relative to grievance, decisions by supervisors at various steps of procedure and report of arbitrator when abitration is requested.

Authority for maintenance of the system:

E.O. 11491 as amended. - Labor Management Relations in the Federal Service; 10/31/69

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To resolve labor management disputes
Supervisors, Personnel Office, Union representatives, arbitrator, Federal Labor Relations Counsel, DoD.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders

Retrievability:

Alphabetically by name

Safeguards:

Buildings or facility employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record. Destroyed after 7 years unless appeals are pending.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.
Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office
For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Supervisor, Labor Organizations, Employee, Arbitrator, Witnesses.

Systems exempted from certain provisions of the act:

NONE

B0613-05 HQHTASID

System name:

613-05 Incentive Awards

System location:

Civilian Personnel Offices - See DMA Directory for complete address

Categories of individuals covered by the system:

All civilian employees who have submitted a beneficial suggestion. Civilian employees who have been recommended for an award.

Categories of records in the system:

Documents related to submitting, evaluating, and approving or disapproving each award; includes suggestion and performance awards

Authority for maintenance of the system:

5 U.S.C. Section 4502, 4503, 4504 and 4506; Incentive Awards

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as a basis for awarding employees

Suggestions - save money, increase efficiency, improve morale

Statistical Reports containing number of awards, amount of money saved

Employees (originate), Supervisors or official who evaluate suggestions, Incentive Awards Boards, Personnel Office, Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by Fiscal Year. Suggestion - sequential numerical code

Performance Awards - individuals name, alphabetical

Safeguards:

Stored in locked file cabinet

Retention and disposal:

Temporary Record - destroy two years after final action

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Suggestions received from employees, Suggestion Evaluations and Performance awards received from supervisors.

Systems exempted from certain provisions of the act:

NONE

B0614-01 HT

System name:

614-01 Official Records (Military) Files and Extracts

System location:

Military Personnel Office, DMAHTC - See DMA Directory for complete address.

Categories of individuals covered by the system:

Military Personnel assigned to DMA

Categories of records in the system:

Navy-Documents as required by Bureau of Naval Personnel Manual (BUPERSMAN) NAVPERS 15791.B.

Army-Documents as required by Army Regulation 640.10

Enlisted and Officer personnel folders - co

Statement of Military History, Qualification Records.

Authority for maintenance of the system:

44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Heads of major staff elements to determine the acceptability of an individual nominated by the parent service for a DMA Position.

For Review by appropriate DMA Officials responsible for the preparation of efficiency/fitness/effectiveness reports and award recommendations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by name of individual

Safeguards:

Buildings, facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Permanent Record. Retained until departure of individual DMA, MPRJ handcarried to transfer point by individual upon separation from the service and subsequently retired to National Records Center (Military Records) 9700 Page Boulevard, St. Louis, MO 63132.

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager

Written requests for information should contain the full name of the individual current address and telephone number, service number on all correspondence received from this office. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification cards, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Information is obtained from the individual's Service Military Personnel Center, the individual's rating official within the DMA and the individual concerned.

Systems exempted from certain provisions of the act:

NONE

B0614-02 HTA

System name:

614-02 Military Services Administrative Record Files

System location:

Directorate of Administration, DMAAC; Military Personnel Division, DMAHTC. See DMA Directory for complete mailing address.

Categories of individuals covered by the system:

Military Personnel assigned to DMA Hydrographic/Topographic Center and DMA Aerospace Center.

Categories of records in the system:

File contains letters, memorandums, emergency data, and assignment actions.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of collecting the information is to maintain information to act as a liaison between individual, DMA, and Servicing CBPO's.

User of the collected information is the Commander, Military Personnel Division, and the individual.

User utilizes the collected information to have available information when needed on assigned military personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee last name.

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Destroy in accordance with parent service directives.

System manager(s) and address:

Director of Civilian Personnel (POX). See DMA Directory

Notification procedure:

Information may be obtained from System Manager

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Leave records, finance documents, transmittals, personnel rosters, physical examinations, personnel actions, locator cards, trip reports, copies of orders/reassignments.

Systems exempted from certain provisions of the act:

NONE

B0615-02 HQHTASI

System name:

615-02 Federal, State and Professional Safety Councils and Committees Files

System location:

Safety Offices - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), Inter American Geodetic Survey (I). See DMA Directory for complete address

Categories of individuals covered by the system:

Safety Officer, Safety Monitors and Fire Marshalls of DMA

Categories of records in the system:

Individuals appointed Safety Officers, Safety Monitors, Fire Marshall and related appointments

Authority for maintenance of the system:

Executive ORDER 11807 Occupational Safety and Health Programs for Federal Employees - 9/28/74

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Safety Office - informational records of assignments

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record - destroy two years after termination of appointment

System manager(s) and address:

Defense Mapping Agency, ATTN: Facilities Engineering Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4477

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Safety Council and committee membership and appointed Safety Monitors and Fire Marshalls

Systems exempted from certain provisions of the act:

NONE

B0615-07 HQHTASI

System name:

615-07 Safety Awards Files

System location:

Safety Offices of DMA. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Any DMA Driver

Categories of records in the system:

File contains list of the names of drivers who have received safe driver awards. All correspondence between the Safety Office and the National Safety Council

Authority for maintenance of the system:

5 U.S.C. 4503 - Agency Awards

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Safety Office - used to document and present safe driver awards

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by name

Safeguards:

Buildings and facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained

Retention and disposal:

Records are permanent. Cut off annually, held inactive for one year, transferred to Records Holding Area (RHA), held two years and retired to the Washington National Records Center (WNRC)

System manager(s) and address:

Defense Mapping Agency, ATTN: Facilities Engineering Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4477

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Driver record of the individual and all correspondence between the Safety Office and the National Safety Council

Systems exempted from certain provisions of the act:

NONE

B0615-11 HQHTASID

System name:

615-11 Accidental Injury/Death Reporting Records Files

System location:

Safety Offices of DMA - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

DMA employees injured as a result of accident

Categories of records in the system:

Files contain necessary forms and records and reports of accident and injuries

Authority for maintenance of the system:

29 USC 668 - Occupational Safety and Health Programs of Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Safety Office - for reporting all injuries of persons assigned to DMA for preparation of statistical reports to other required activities

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Records is temporary-CUT OFF end of each year; Inactive one year; Transfer to Records Holding Area; Destroy after five years

System manager(s) and address:

Defense Mapping Agency, ATTN: Facilities Engineering Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4477

Notification procedure:

Information may be obtained from above System Manager

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information made available by the employee and the supervisor

Systems exempted from certain provisions of the act:

NONE

B0901-04 HTA

System name:

901-04 Civilian Employee Health Clinic Record

System location:

Primary System - Civilian Employee Health Clinic - DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A) - See DMA Directory for complete address

Categories of individuals covered by the system:

Any individual employed by DMA Hydrographic/Topographic Center (HT) and Aerospace Center (A) and any individual employed by other Government agencies housed in the DMAHTC/DMAAC complexes

Categories of records in the system:

File contains information on treatment of employee received at dispensary at HTC and AC

Authority for maintenance of the system:

5 USC 7901 - Health Service Programs; 5 U.S.C. 8103 - Compensation for Injuries - Medical Services and Initial Medical and Other Benefits

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Employee Health Clinics - to maintain medical records of individuals receiving treatment at the clinic for illness/injury while on duty

Family Doctor will have full access to the information

Supervisors may inquire to record of injury

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

5x8 card files in cabinet

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Hydrographic/Topographic Center - destroy 25 years after separation of individual, upon transfer of employee transfer to gaining organization

Aerospace Center - on transfer of individual, record is transferred to gaining organization. On separation record is returned to National Personnel Records Center (NPRC) with the individuals official Personnel Folder

System manager(s) and address:

DMA Hydrographic/Topographic Center, ATTN: Personnel Office, Room 132-A, Erskine Hall, 6500 Brookes Lane, Washington, D.C. 20315, TELEPHONE: Area Code 202/227-2116CPO DMAAC. See DMA Directory for complete address.

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Entry of information by attending nurse. Record of treatment.

Systems exempted from certain provisions of the act:

NONE

B0901-06 HTAS

System name:

901-06 Blood Donors Files

System location:

Civilian Personnel Office - See DMA Directory for complete address

Categories of individuals covered by the system:

All civilian employees who have donated blood

Categories of records in the system:

File contains cards with names, dates and amount of blood donated.

Authority for maintenance of the system:

5 U.S.C. Section 7901; Health Service Programs

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses are for awarding employees with certificates and pins.

Personnel Office, Supervisors, blood collectors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

cards

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Destroy when employee is separated from Agency

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencys' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Information received from collecting Agency

Systems exempted from certain provisions of the act:

NONE

B0901-07 HQHTAI

System name:

901-07 Alcoholism and Drug Abuse Files

System location:

Civilian Personnel Offices - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

All civilian employees who have contacted program counselor requesting assistance.

Categories of records in the system:

File contains counseling interview notes, medical documents, therapy/treatment referral notes.

Authority for maintenance of the system:

21 USC 1175

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To help employees with alcohol or drug problems

Medical Officer - diagnose problem

Counselor - to give advise and management

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed chronologically by number; names deleted, but are known by counselor.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary - destroy when no longer needed or upon separation of employee

System manager(s) and address:

Defense Mapping Agency, ATTN: Personnel Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4066

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours. For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Employee interviews and medical reports

Employee or relatives

Systems exempted from certain provisions of the act:

NONE

B1001-09 S

System name:

1001-09 School Reporting Files

System location:

Defense Mapping School(S). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Military personnel and civilian personnel attending courses of instruction at DMS.

Categories of records in the system:

Enrollment records, release of students, graduates, failure of students, class rosters.

Authority for maintenance of the system:

E.O. 11348

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for military assignments, monitor career progression and changes of courses of instruction in the event it is recommended and required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

CUTOFF at end of calendar year, held additional year, retired to Records Holding Area, held an additional year and destroyed.

System manager(s) and address:

DMA Defense Mapping School, ATTN: Office of Administration and Records, Fort Belvoir, Virginia 22060, TELEPHONE: Area Code 703/664-1983

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number, dates of attendance and name of course.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, driver's license, proof of social security identification and give some verbal information that could be verified with individual's record.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Scheduled courses of instruction, class leaders, class instructors, academic division chiefs.

Systems exempted from certain provisions of the act:

NONE

B1001-11 S

System name:

1001-11 Faculty Development Program Files

System location:

Defense Mapping School(S). Staff Offices, Departments, Division and Branch offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Assigned military personnel and civilian employees at DMS.

Categories of records in the system:

Files consist of record of qualifications, experience, effectiveness, and comparable information, evaluation forms, biographical data and similar documents.

Authority for maintenance of the system:

E.O. 11348/22/67; Providing for the further Training of Government Employees

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by management for retention of potential instructors, assigned instructors and staff, selection of guest speakers, determining need for additional training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

CUTOFF end of year, held additional year current files area, transferred Records Holding Area, held additional two years, then destroyed.

System manager(s) and address:

DMA Defense Mapping School, ATTN: Office of Administration and Records, Fort Belvoir, Virginia 22060, TELEPHONE: Area Code 703/664-1983

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number, dates of assignment or employment and name of supervisor.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, driver's license, proof of social security identification, and give some verbal information that could be verified with individual's record.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Records initiated during course of instruction, by instructors, academic division and branch chiefs.

Systems exempted from certain provisions of the act:

NONE

B1002-02 S

System name:

1002-02 School Faculty Board Review Files

System location:

Defense Mapping School(S). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Military and civilian personnel attending courses of instruction at DMS.

Categories of records in the system:

Files consist of class standing, ratings, classification and proficiency of students. Minutes of faculty board meetings and related documents.

Authority for maintenance of the system:

E.O. 11348/22/67; Providing for the Further Training of Government Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to provide information on individual students, class standings, rating and proficiency. Available to Promotion Panels in Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

CUTOFF at end of year, held one year and then destroyed.

System manager(s) and address:

DMA Defense Mapping School, ATTN: Office of Administration and Records, Fort Belvoir, Virginia 22060, TELEPHONE: Area Code 703/664-1983

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number, dates of attendance and name of course of instruction.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, driver's license, proof of social security identification, and give some verbal information that could be verified with individual's record.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Faculty review board, instructors, chiefs of divisions and branches of courses of instruction and individual student.

Systems exempted from certain provisions of the act:

NONE

B1002-06 S

System name:

1002-06 Individual Academic Record Files

System location:

Defense Mapping School(S). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Military and civilian personnel attending courses of instruction at DMS.

Categories of records in the system:

Files consist of documents indicating course of attendance, length of each course, extent of completion of course, results thereof, aptitudes and personal qualities and documents relating to extension courses.

Authority for maintenance of the system:

E.O. 11348/22/67;Providing for the Further Training of Government Employees. 4/22/67; Providing for the Further Training of Government Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for determining qualifications to base a determination on students potentiality and to revise students cirriculum.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Reference files CUTOFF end of course, held one year, then destroyed. Feeder information submitted to United States Army Engineer School Fort Belvoir, Virginia 22060 who has operational control of DMS and who retains SYSNAME for a longer retention period and disposition.

System manager(s) and address:

DMA Defense Mapping School, ATTN: Office of Administration and Records, Fort Belvoir, Virginia 22060, TELEPHONE: Area Code 703/664-1983

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number, dates of attendance and name of course of instruction.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, driver's license, proof of social security identification, and give some verbal information that could be verified with individual's record.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from Systems Manager. the SYSMANAGER.

Record source categories:

Individuals, class leaders, class instructors, academic divisions and branch chiefs.

Systems exempted from certain provisions of the act:

NONE

B1002-07 S

System name:

1002-07 Collateral Individual Training Record Files

System location:

Defense Mapping School(S). Staff Offices, Departments, Division and Branch Offices, all Components. See DMA Directory for complete address listing.

Categories of individuals covered by the system:

Military and civilian personnel attending course of instruction at DMS.

Categories of records in the system:

Files consist of training records of individuals and posted to basic individual academic training record files or long term records, absentee reports, delinquency reports, registration forms, examination papers and similar or related documents.

Authority for maintenance of the system:

E.O. 11348/22/67;Providing for the Further Training of Government Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record attendance at classes, progress of students, information for counselling individuals when required and recommending specific remedial action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or Kardex book.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Destroyed on graduation or elimination of individual or on completion of course of instruction, whichever applies

System manager(s) and address:

DMA Defense Mapping School, ATTN: Office of Administration and Records, Fort Belvoir, Virginia 22060, TELEPHONE: Area Code 703/664-1983

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Requests from individuals should be addressed to the appropriate organization as indicated in address list. Written requests for information should contain the full name of the individual, current address and telephone number and social security number. Visits are limited to normal working hours.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification, driver's license, proof of social security identification and give some verbal information that could be verified with individual's record.

Contesting record procedures:

The Agencys rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Individual students, class leaders, class instructors, academic divisions and branch chiefs.

Systems exempted from certain provisions of the act:

NONE

B1202-17 HTA

System name:

1202-17 Contracting Officer Designation Files

System location:

Contracting Offices - DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A) - See DMA Directory for complete mailing address

Categories of individuals covered by the system:

Employee designated Contracting Officer and Contracting Officer Representative at DMA

Categories of records in the system:

Documents reflecting the designation and recission of Contracting Officers and Contracting Officers representative which includes the specific procurement authorities delegated

Authority for maintenance of the system:

44 USC 3101 - Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents showing individual designated as contracting officers or Contracting Officers Representatives (COR).

Data includes limitations or restrictions on authority

Data includes background information on 'COR' for use in other contracts

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Temporary Record. Cut off upon recession or termination and placed in an inactive file area for one year. Transferred to Records Holding Area and held for five years and then destroyed

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager.

Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Certificate of Appointment and background information on education, DD Form 1539, and specific information on procurement authorities delegated

Systems exempted from certain provisions of the act:

NONE

B1205-05 HTA

System name:

1205-05 Property Officer Designation Files

System location:

Property Officers of DMAHTC and DMAAC - See DMA Directory for complete address

Categories of individuals covered by the system:

Employees designated Property Officers who have property accounts for their organizations, and have been issued an account number.

Categories of records in the system:

Forms and/or memorandums designating property officers. Included are letters of appointment and revocation.

Authority for maintenance of the system:

40 U.S.C. 486; Management and Disposal of Government Property

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Memorandums or forms showing who or which individual is authorized custodian for equipment for the various organizations within the Agency. Name of individual grade and organization are shown on this document.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By individual's account number and organization.

Safeguards:

Buildings, facility employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record - Destroyed in the active office two years after termination of appointment.

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager. Written requests for information should contain the full name of the individual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Internal correspondence designating responsible property accounting individuals

Systems exempted from certain provisions of the act:

NONE

B1205-23 HTASID

System name:

1205-23 Report of Survey Files

System location:

DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Defense Mapping School (S), and Inter American Geodetic Survey (I), Office of Distribution Services (D). - See DMA Directory for complete address listing.

Categories of individuals covered by the system:

DMA personnel that have loss, damage, or destroyed accountable Government property

Categories of records in the system:

Files consist of reports that describe the circumstances concerning loss, damage or destruction of Government property

Authority for maintenance of the system:

40 USC 486 - Management and Disposal of Federal Property - Policies, Regulation and Delegations; Promulgation by President

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Logistics Officer - determine responsibility and recommend appropriate action be taken as to pecuniary liability

Director final decision on payment

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folders and/or Kardex book

Retrievability:

Filed by assigned control number of individual.

Safeguards:

Buildings or facilities employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained

Retention and disposal:

Cutoff end of year, held one year, transferred Records Holding Area, held two years, then destroyed

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to system manager. Written requests for information should contain the full name of the individuals current address and telephone number, and the Case (Control) number that appears with the office symbol, on all correspondence received from this office

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Report of lost damaged or destroyed property

Systems exempted from certain provisions of the act:

NONE

B1206-02 HTA

System name:

1206-02 Self Service Store Authorization Card Files

System location:

Logistics Offices - DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address

Categories of individuals covered by the system:

DMA personnel authorized self-service store cards.

Categories of records in the system:

Cards identifying individuals as authorized self-service store representatives, requests for issuance of cards, correspondence concerning lost and found cards and related documents.

Authority for maintenance of the system:

40 U.S.C. 486; Management and Disposal of Federal Property.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Indicates individuals authorized to sign/receipt for supplies in a designated activity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file and file cabinets

Retrievability:

By account number and organization, alphabetical by last name

Safeguards:

Buildings and Facility employ security guards. Reports are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

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V 44 D E 12 17 7 9 UMI

Temporary Record. Held in active file until expiration of card or change of individual; held two years and destroyed.

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could be used to verify employment.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Memorandums, cards, forms designating an individual authorization to sign for supplies received from the self-service store.

Systems exempted from certain provisions of the act:

NONE

B1208-06 HTA

System name:

1208-06 Motor Vehicle Operator's Permits and Qualifications Files

System location:

Primary System - Motor Pool, DMA Hydrographic/Topographic Center (HT) and DMA Aerospace Center (A) - See DMA Directory for complete address

Decentralized Segments - Official Personnel Folder; Personnel Records (Civilian) Center - St. Louis, MO.

Categories of individuals covered by the system:

All DMA employees qualified and issued a motor vehicle operators permit.

Categories of records in the system:

Contains information on employee qualification record and cards and logs in regards to permits issued to individuals authorized to operate Government equipment.

Authority for maintenance of the system:

40 U.S.C. 491; Management and Disposal of Federal Property-Motor Vehicle Pools and Transportation Systems.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Motor Pool used as a record of scores on tests, such as: eye examinations, reaction examinations; and as a quick reference on an individual having a license to operate a Government Vehicle.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Rotary Card file and Log Book

Retrievability:

ROTARY Card File - By last name of individual
Log Book - By number of permit

Safeguards:

Building, Facility employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record - Permit is a three year record - Destroyed in the Motor Pool

Permanent Record - Qualification Record - kept in active office until separation or transfer of individual concerned, then transferred to Personnel Office for incorporation into the Official Personnel Folder.

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Qualification records consisting of scores on tests.

Systems exempted from certain provisions of the act:

NONE

B1211-03 HQHTAI

System name:

1211-03 Passport Files

System location:

Primary System - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A), Inter American Geodetic Survey (I) See DMA Directory for complete address

Decentralized Segment - State Department (Passports)

Categories of individuals covered by the system:

Individuals traveling overseas on official government orders.

Categories of records in the system:

Documents relating passports and visas for DMA personnel, including their dependents. Included are requests and receipts for passports, transmittal letters, control cards, and related documents.

Authority for maintenance of the system:

44 U.S.C. 3101; Records Management by Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel travel in processing for travel orders.

Used by individuals of DMA and their dependents for travel purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders - paper records in locked cabinets.

Retrievability:

By name of individual - Alphabetically

Safeguards:

Buildings, facility employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record - Held in active office until separation or transfer of individual.

Transferred to State Department upon transfer or separation of individual.

System manager(s) and address:

Defense Mapping Agency, ATTN: Administration Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4401

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could verify employment.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determination should be obtained from System Manager.

Record source categories:

Requests and receipt for passports and visas.

Systems exempted from certain provisions of the act:

NONE

B1211-06 HQHTA

System name:

1211-06 Transportation Officer Appointment Files

System location:

Travel Office, DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address.

Categories of individuals covered by the system:

Individuals appointed to act as transportation officers, assistant transportation officers or transportation agents.

Categories of records in the system:

Documents reflecting appointments of individuals to act as transportation officers, assistant transportation officers or transportation agents.

Authority for maintenance of the system:

44 U.S.C. 3101; Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to officially designate transportation officers, assistants and agents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders

Retrievability:

By name of individual

Safeguards:

Buildings, facility employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record. Destroy two (2) years after termination of appointment.

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address and telephone number, social security number.

For personal visits the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could verify employment.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determination may be obtained from System Manager.

Record source categories:

Memorandums or letters reflecting individuals appointed to act as transportation officers, assistants or agents.

Systems exempted from certain provisions of the act:

NONE

B1211-07 HQHTA

System name:

1211-07 Individual Government Transportation Files

System location:

Primary System - Travel Office - DMA Headquarters (HQ), DMA Hydrographic/Topographic Center (HT), DMA Aerospace Center (A) - See DMA Directory for complete address listing.

Decentralized Segments - Records Management, Records Holding Areas

Categories of individuals covered by the system:

DMA employees authorized government travel.

Categories of records in the system:

Travel orders and other pertinent correspondence and related documents, and copies of issued and canceled transportation requests, transportation certificates, MAC transportation authorizations.

Authority for maintenance of the system:

44 U.S.C. 3101; Records Management by Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to officially designate Transportation Officer, Assistants and Agents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders

Retrievability:

Alphabetical by name on individual folders or by TR number in case of group travel.

Safeguards:

Buildings, facility employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Temporary Record. Travel Office holds for one year, transfers to Records Holding Area, held for three (3) years and then destroyed.

System manager(s) and address:

Defense Mapping Agency, ATTN: Logistics Office, Building 56, U.S. Naval Observatory, Washington, D.C. 20305, TELEPHONE: Area Code 202/254-4475

Notification procedure:

Information may be obtained from above.

Record access procedures:

Requests from individuals should be addressed to System Manager.

Written requests for information should contain the full name of the individual, current address, and telephone number, social security number.

Personal visits - the individual should be able to provide some acceptable identification, that is, drivers' license, employing office's identification card, and give some verbal information that could verify employment.

Contesting record procedures:

The Agencies' rules for contesting contents and appealing initial determinations may be obtained from System Manager.

Record source categories:

Folders contain various amounts of information on issued and cancelled transportation requests, transportation certificates, travel orders and related data on overseas employees, DMA employees and invitational orders.

Systems exempted from certain provisions of the act:

NONE

DEFENSE MAPPING AGENCY OFFICIAL MAILING ADDRESSES

Headquarters, Defense Mapping Agency
Bldg 56, U.S. Naval Observatory
Washington, D.C. 20305

DEFENSE MAPPING AGENCY COMPONENT ACTIVITIES

DMA AEROSPACE ORGANIZATIONS

DMA Aerospace Center
St. Louis Air Force Station
Missouri 63125

DMA Aerospace Center
Kansas City Office
609 Hardesty Avenue
Kansas City, Missouri 64124

DMA HYDROGRAPHIC/TOPOGRAPHIC ORGANIZATIONS

DMA Hydrographic/Topographic Center
Washington, D.C. 20315

DMA Hydrographic/Topographic Center
Louisville Office

600 Federal Place
Louisville, Kentucky 40202
DMA Hydrographic/Topographic Center
Providence Office
Brookside Avenue
West Warwick, Rhode Island 02893
DMA Hydrographic/Topographic Center
San Antonio Office
Building 4011
Ft. Sam Houston, Texas 78234
DMA Depository
Naval Support Activity Ft. Omaha
Omaha, Nebraska 68111
DMA Hydrographic/Topographic Center
Geodetic Survey Squadron
F.E. Warren AFB, Wyoming 82001
DMA Hydrographic/Topographic Center
Det. 1, Geodetic Survey Squadron
Vandenberg AFB, California 93437
DMA Hydrographic/Topographic Center
Det. 2, Geodetic Survey Squadron
P.O. Box 96
White Sands Missile Range
New Mexico 88002
DMA Hydrographic/Topographic Center
Det. 4, Geodetic Survey Squadron
Patrick AFB, Florida 32925

DMA OFFICE OF DISTRIBUTION SERVICES ORGANIZATIONS

DMA Office of Distribution Services
Washington, D.C. 20315
DMA Distribution Center
Clearfield, Utah 84016
DMA Distribution Center
5801 Tabor Avenue
Philadelphia, Pennsylvania 19120
DMA Office Norfolk
Bldg SP238, Naval Air Station
Norfolk, Virginia 23511
DMA Branch Office Jacksonville
Box 68, Naval Air Station
Jacksonville, Florida 32212
DMA Office San Diego
Bldg 654, Naval Air Station, North Island
San Diego, California 92135
DMA Branch Office Atsugi
Box 47
FPO Seattle 98767
DMA Branch Office Cubi Point
Box 59
FPO San Francisco 96654
DMA Branch Office Naples
Box 95
FPO New York 09520
DMA Office Europe
APO New York 09666
DMA Branch Office England
APO New York 09238
DMA Office Pacific
Bldg T-1710
Hickam AFB, Hawaii 96853

DEFENSE MAPPING SCHOOL

Defense Mapping School
Ft. Belvoir, Virginia 22060

INTER AMERICAN GEODETIC SURVEY

Inter American Geodetic Survey
APO Miami 34004

DEFENSE CIVIL PREPAREDNESS AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

CACC 2,3,5,6.

System name:

DCPA ACC 2, 3, 5, and 6 Payroll and Leave Accounting

System location:

Accounting System - Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301.

Military District of Washington (MDW-FAO), Forrestal Building, Washington, D.C. 20314.

Earnings and Leave Statements (MDW FAO Forms 49) - Are maintained by timekeepers at DCPA headquarters and at all DCPA Regional Offices, Staff College and Computer Center. Mailing addresses of these installations and relocation facilities are set out in a DCPA Directory which will be published as an Appendix to these Notices.

Bi-Weekly Payrolls: (DA Forms 2449) - Are also maintained under the DCPA Vital Operating Records Program at relocation facilities.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian and former employees.

Categories of records in the system:

Files contain earnings and leave statements; bi-weekly payroll; federal and state withholding statement; bond applications; bond listings; listings of payroll checks mailed; requests by employees for allotments of pay for credit to savings accounts with financial institutions; payroll change slips; notification of personnel actions; and individual payroll projections.

Authority for maintenance of the system:

Section 112(a) of the Budget and Accounting Procedures Act of 1950, 31 U.S.C. 66(a).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCPA Accounting Division - To record payroll expenditures; to insure proper distribution of paychecks and savings bonds; to prevent errors leading to improper payments; to insure proper collection and disposition of amounts authorized to be withheld from employees pay; to forecast personnel cost requirements; and to provide backup data to prepare budget justifications and presentations.

MDW-FAO - To compute individual pay amounts, to withhold for retirement, Federal income taxes, state income taxes, health benefits, life insurance, indebtedness due the U.S. Government and other voluntary deductions; and to issue checks and saving bonds.

Timekeepers at all DCPA organizational components - To insure the proper recording and reporting of time and attendance, and the proper distribution of paychecks at local levels.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Bi-weekly payrolls, listings of payroll checks mailed, individual payroll projections, bond lists, payroll change slips, and notification of personnel actions consist of paper records filed in file folders and file drawers by the DCPA Accounting Division. All other records are stored by the MDW-FAO.

Retrievability:

Bi-weekly payrolls, listings of payroll checks mailed, bond lists, and individual payroll projections are filed by payroll date. Payroll change slips and notification of personnel actions are maintained alphabetically. All other records are maintained by the MDW-FAO.

Safeguards:

Building employs security guards. Records are retained in closed file drawers and cabinets and are available only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Listings of payroll checks mailed and bond lists are destroyed after 2 years. Bi-weekly payrolls are retained for 10-years. Payroll change slips, individual payroll projections and notifications of personnel actions are destroyed after 6-years. All other records are retained by the MDW-FAO in accordance with Army Regulations.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address. Visits are limited to Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

MDW FAO Forms 49, Earnings and Leave Statements; DA Forms 2449, Bi-weekly Payrolls; Bond Listings; and Listing of Payroll Checks Mailed are prepared by the MDW-FAO.

Forms W-4, Federal and State Withholding Statements; DA Forms 1727, Bond Applications; and SF 1198, Request by Employees for Allotment of Pay for Credit to Savings Account with a Financial Organization are submitted by individuals to MDW-FAO through DCPA Headquarters, Accounting Division.

SF 50s, Notification of Personnel Action and DA Forms 2515, Payroll Change Slips are prepared and furnished by Personnel and Employment Services-Washington, Office, Secretary of the Army.

Individual Payroll Projections are prepared by the Accounting Division.

Systems exempted from certain provisions of the act:

None

CACC 2,3,5,6A.

System name:

DCPA ACC 2, 3, 5, 6A, Travel and Transportation Accounting

System location:

Accounting System - Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301.

Voucher Examination and Disbursing System - Finance and Accounting Office, U.S. Army Military District of Washington (MDW-FAO), Forrestal Building, Washington, D.C. 20314.

Decentralized Segments - All DCPA Regional Offices, Staff College and Computer Center. Mailing addresses of these installations are set out in a DCPA Directory which will be published as an Appendix to these Notices.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian and former employees who perform (temporary duty or permanent change of station) travel.

Categories of records in the system:

Files contain requests and authorizations for travel; U.S. Government transportation requests; request for advances of funds; payment records of outstanding travel advances; paid travel vouchers; records of unused tickets; travel history records; collection vouchers for refunds of advances; and correspondence relating to travel claims.

Authority for maintenance of the system:

31 USC 71; 31 USC 65; 30 USCA 52; 41 USC 3101; 50 USC App. 2253.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCPA, Accounting Division - To record and control obligations involving travel, and the storage and shipment of household goods, advances, refunds and expenditures of travel funds; to prevent errors leading to improper payments; to detect and recover overpayments; and to support billings to carriers for travel and transportation furnished.

MDW-FAO - To compute amounts due on travel claims and to support payments made for advances and payments due.

All DCPA Regional Offices, Staff College and Computer Center and the Management Division - To authorize travel; to obtain advances for individuals; and to forecast future travel requirements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Travel authorizations are filed alphabetically by organization; transportation requests and records of unused tickets are filed by TR number; records of outstanding advances and travel history records are filed alphabetically; and all advance, refund and payment records are filed by payment date in voucher number sequence.

Retrievability:

By name.

Safeguards:

Building employs security guards. Records are retained in closed file drawers and cabinets and are available only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Travel history records are retained indefinitely, all other records are sent to the Federal Records Center after five years where they are destroyed after 10-years.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6489

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address. Visits are limited to Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

DD Forms 1610, Request and Authorization for TDY Travel; SF 1169, U.S. Government Transportation Request; and DD Forms 1351, Request for Advance of Funds are submitted by Regional Directors, Staff Directors and other authorized officials.

SF 1038, Application and Account for Advances of Funds are submitted by employees requiring advances.

DD Forms 1351-2. (Paid) Travel Vouchers are received from the Finance and Accounting Office, U.S. Army Military District of Washington.

SF 1170, Redemption of Unused Tickets are prepared from unused tickets turned in by travelers and the file copy of the related Transportation Request and DCPA Forms 322. Travel History Record by individual are prepared from paid vouchers.

Systems exempted from certain provisions of the act:

None

CCOM 5

System name:

DCPA COM 5, Radio Amateur Civil Emergency Services (RACES) Plans

System location:

Defense Civil Preparedness Agency (DCPA) Headquarters, The Pentagon, Washington, D.C. 20301, and Regional Offices. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system: FCC Amateurs involved in the RACES organization.

Categories of records in the system:

Each plan contains the names, address and telephone number and FCC amateur call signs of the members involved in the RACES organization.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

State and local civil defense agencies use these documents as supportive evidence in their requests for financial contributions under the matching funds, surplus and excess property programs. The RACES plan is used as a reference when emergencies or natural disasters occur to obtain supplement emergency communications for Federal, State and local government emergency operations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by DCPA region and within each region alphabetically by State and locality.

Safeguards:

Buildings employ security guards or intrusion alarms. Only authorized DoD and Federal agency personnel have access to buildings.

Retention and disposal:

Plans are updated on either two or three year intervals. Plans are destroyed only when they become obsolete or the RACES organization is disbanded.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

RACES plans are developed by State and local government agencies and submitted to DCPA regions for approval and forwarding to the Federal Communications Commission.

Systems exempted from certain provisions of the act:

None

CEMO 1

System name:

DCPA EMO 1 EMERGENCY OPERATING PLANNING

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional offices, Staff College, Computer Center, and relocation sites. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees, United States Army Communications Command (USACC) and U.S. Army Corps of Engineers (USACE) assignees to DCPA Regions, and other emergency assignees from Federal agencies. Information contains name and title of position. Because varying levels of security clearance are required for access to the several emergency operating facilities, the minimum level of security clearance held by an individual may be inferred from the presence of his name on the list for a particular facility.

Categories of records in the system:

List of the names, addresses, home phone numbers, and other data of the individual who have emergency assignments.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Lists and related documents assign duties to all DCPA employees which would be effective in the event of a war crisis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Names are listed by organization

Safeguards:

Filed in locked safes in government buildings with either guards or electronic security system.

Retention and disposal:

Destroyed when superseded

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Individuals and supervisors

Systems exempted from certain provisions of the act:

None

CFEA 3-1

System name:

DCPA FEA 3-1 Civil Rights Complaint and Compliance Files

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), all DCPA Regional Offices, Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Persons who file or could file a complaint with DCPA alleging discrimination by a State or local government in violation of Title VI of the Civil Rights Act of 1964.

Categories of records in the system:

Files contain complaints of discrimination or other data on a specific discrimination. The files also contain investigative reports, documents and information in support of or contrary to the complaint or potential complaint, records of hearings and dispositions of the cases by the States or the Director, DCPA, or higher authority.

Authority for maintenance of the system:

Title VI, Civil Rights Act of 1964 (78 Stat. 252) (42 USC 2000d-2000d-4).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Title VI Office, Regional Offices, and other Investigators and Reporting Offices: To ascertain whether discrimination under the Title VI rules and regulations has taken place.

State officials and investigators: To secure the testimony of witnesses and other pertinent data involving the cases.

DCPA General Counsel for advice thereon and for necessary investigation, enforcement proceedings.

Agency head and higher authority for purposes of making a decision.

U.S. Justice Department, or other agencies as appropriate for enforcement actions and where necessary in reporting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of complainant

Safeguards:

Building security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal:

Significant and precedent cases retained for archives. Others destroyed after 10-years.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building

V 44 DE 17 79 UMI

Washington, D.C. 20301.

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Information is secured from Complainants, and from DCPA officials who conduct Title VI Compliance Reviews at the State and local levels, from citizens who have been denied services or use of facilities, from State and local government records and institutional and organizational records, from State Officials who have observed violations, or local officials who have reported violations to the States.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CIND 2

System name:

DCPA IND 2, Industrial Group Consultation

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

Individuals in industrial organizations, or national organizations who participate in civil preparedness activities.

Categories of records in the system:

Names, addresses, organization affiliation, speech making

Authority for maintenance of the system:

44 USC 3101, 50 USC App. 2253, 2281

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To communicate with industrial and national organizations who can perform civil preparedness services; to obtain speakers at conventions, seminars, courses, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3x5 index cards, cross referenced by individual name and company or organization.

Retrievability:

Filed alphabetically by name

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept until obsolete, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Individual

Systems exempted from certain provisions of the act:

None

CINF 2-3

System name:

DCPA INF 2-3, Biographies

System location:

Defense Civil Preparedness Agency, Headquarters (DCPA); Office of each Regional Director, Staff College

Categories of individuals covered by the system:

Key DCPA headquarters and regional officials, and State and local Civil Preparedness Directors

Categories of records in the system:

Headquarters files contain biographies of key officials of DCPA, headquarters and field; and State and local Civil Preparedness Directors.

Each regional file contains biographies of key regional officials, and State and local Directors within regional geographic boundaries. Includes DCPA Form 895 Notice of Appointment-Civil Defense Director.

Staff College: Guest lecturers and other key officials.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For use in preparing speeches, correspondence, and other public releases in connection with the civil preparedness program. Use as backup information to fulfill requirements of DCPA Director and Regional Director.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

DCPA officials: Filed alphabetically by name.

State and local Directors: Filed alphabetically by State name within each region at headquarters, and by State only in regional offices.

Safeguards:

Headquarters and regional buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared, and trained.

Retention and disposal:

Biographies for key DCPA officials, headquarters and field, are retained in active file until end of calendar year after separation of employee, then retired to Federal Records Center.

Biographies of State and local Directors are retained in active file until end of calendar year after termination, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
DCPA Headquarters
Room 1D511
The Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Written requests should be addressed to:
DCPA Headquarters
Room 1D511
The Pentagon
Washington, D.C. 20301

Written requests for information should contain the full name and current address of the requestor.

Personal visits for information will be honored upon presentation of suitable identification, such as driver's license, employee identification number, or other identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

The key officials on whom biographies are maintained and other knowledgeable sources.

Systems exempted from certain provisions of the act:

None

CINF 7

System name:

DCPA INF 7, Civil Defense Awards

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional offices, Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Individuals who have made significant contributions to civil defense.

Categories of records in the system:

Headquarters and Regional files contain recommendations and nominations for awards, resumes of award presentations, and photographs.

Authority for maintenance of the system:

5 USC 301; 44 USC 3101; 50 USC App. 2253; 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by DCPA officers and employees for background information in presentation of awards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by name of organization or individual receiving award.

Safeguards:

Headquarters and Regional buildings employ security guards. Records are maintained only in areas accessible to authorized personnel who have been screened, cleared, and trained.

Retention and disposal:

Files are cutoff at end of calendar year and retained in current files for 5 years, then destroyed.

System manager(s) and address:

Director, Defense Civil Preparedness Agency, Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
DCPA Headquarters
Room 1D511
The Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Written requests should be addressed to:
DCPA Headquarters
Room 1D511
The Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name and current addresses of the requestor.

Personal visits for information will be honored upon presentation of suitable identification, such as driver's license, employee identification number, or other identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Organizations and individuals to whom awards are presented.

Systems exempted from certain provisions of the act:

None

CLEG 5

System name:

DCPA LEG 5-Interest-Conflict Review

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

All DCPA Employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian, and former employees.

Categories of records in the system:

Files contain for those employees required to submit same, a DD Form 1555 , Confidential Statement of Affiliations and Financial Interests, and documents connected with review thereof, and for any DCPA employee documents accumulated in connection with enforcement of standards of conduct, review of conflicts of interests, reports of receipts of gratuities, entertainment, etc., disqualifications, reports of defense related employment and outside employment. For former employees, documents include those relating to conflict of interest and post employment and defense related employment.

Authority for maintenance of the system:

Executive Order 11222 of May 8, 1964, Prescribing Standards of Ethical Conduct for Government Officers and Employees. Civil Service Regulation Employee Responsibilities and Conduct, 5 CFR Part 735. Also 5 USC 301. For former employees, Sec. 410, P.L. 91-121.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

General Counsel: To ascertain if there are conflicts of interest between employee's private interest and official duties, or if there are violations of standards of conduct or post employment restrictions. If such conflict or violation is identified, reports may be used in informal conferences with employee, report to Director and enforcement authorities, and in connection with appeals. Disclosure of any investigatory matter may be made to any federal agency with jurisdiction.

Supervisor: Documents are used to determine if employee has a disqualifying interest or for enforcement of standards of conduct.

Others: Reports on receipt of gratuities submitted to designee of Secretary of Defense (DCPA Inst. 5860.1). DD Form 1555 not disclosed outside Defense Civil Preparedness Agency except as Director or Civil Service Commission may determine.

Administrative Services: Maintains records of persons who need to submit DD Forms 1555 and postemployment and defense related employment statements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by name

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept for two years after final decision or after employee leaves DCPA, whichever is later, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's

identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

DD Form 1555 reports on defense related employment and reports on receipts of gratuities are prepared and submitted by employee. Other sources include supervisors, informants.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CLEG 7-1

System name:

DCPA LEG 7-1-Claims (Litigation) - Employees

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian.

Categories of records in the system:

Files contain claims, complaints or documents or any of these by which a DCPA employee asserts a remedy from DCPA for some alleged injury to person or property, the data and documents submitted in support of the claims, the data and documents developed or obtained in making a decision or determination on such claims, including any appeals and any other relevant material. Includes litigation file if such develops.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, and any specific authority depending on the nature of the claim.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

General Counsel or other official responsible for processing claim: Uses the material to ascertain, or to make recommendations concerning, the validity of the claim. Disclosure is made to those DCPA employees, including supervisors, involved in investigating the matter; to the decision-making authority, usually the Director, DCPA; and, as appropriate, to other investigative or similar authorities responsible for making investigations of or recommendations on, complaints or claims of DCPA employees, whether a part of DCPA, the Department of Defense, or some other agency.

Director, or person acting for him; for making a decision, or acting on an appeal.

Others: Personnel within DCPA will use data or documents in the file, or will develop same, as necessary in connection with making a decision upon the matter. Disclosure will be made, as appropriate, to Office of Secretary of Army, Personnel and Employment Services, Washington, D.C. 20310, as personnel office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by name, within general subject matter files.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept for five years after final decision, then destroyed if no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Claim or similar document with supporting evidence submitted by employee. Other sources include supervisors, informants or persons knowledgeable of the matter.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CLEG 7-2

System name:

DCPA LEG 7-2, Claims (Litigation)-Other than employees

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Any individual, other than a DCPA employee who seeks a remedy in tort or in contract or other legal basis on an assertion that DCPA or its employees has injured said individual in person or in property.

Categories of records in the system:

Files contain claims, complaints or documents or any of these by which a person asserts a remedy from DCPA for some alleged injury to person or property, the data and documents submitted in support of the claims, the data and documents developed or obtained in making a decision or determination on such claims, including any appeals and any other relevant material. Includes litigation file if such develops.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, and any specific authority depending on the nature of the claim.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

General Counsel or other official responsible for processing claim; Uses the material to ascertain, or to make recommendations concerning, the validity of the claim. Disclosure is made to those DCPA employees involved in investigating the matter; to the decision-making authority, usually the Director, DCPA; and, as appropriate, to other investigative or similar authorities responsible for making investigations of or recommendations on, complaints or claims of other than DCPA employees, whether or not a part of DCPA, the Department of Defense, or some other agency.

Director, or other decision making authority, or person acting for him; for making a decision, or acting on an appeal.

Others: Personnel within DCPA will use data or documents in the file, or will develop same, as necessary in connection with making a decision upon the matter. Disclosure will be made as required by law or regulation, to decision making authority outside DCPA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by name, within general subject matter files.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept for five years after final decision, then destroyed if no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Claim or similar document with supporting evidence submitted by claimant. Other sources include persons who have information on such DCPA employees, witnesses, etc.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CLEG 8-1

System name:

DCPA LEG 8-1 Enforcement, Compliance (DCPA Employees)

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees (which includes former employees), headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian.

Categories of records in the system:

Files could contain an allegation, charge, report or similar item of information that a DCPA employee has, either in performance of his duties as an employee or as an individual, acted in violation of, in noncompliance with or otherwise in nonconformity with some law or regulatory matter, including DoD and DCPA directives and instructions. The file could contain any item of information relevant to actual or potential adverse actions, or any supervisory action taken in connection with performance by an employee. The file would contain investigative items of information developed by DCPA personnel or by personnel of agencies other than DCPA, charged with investigative responsibilities, and contain other items of information furnished to DCPA by the individual, or by other persons knowledgeable of the matter.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, and specific authority depending on nature of the charge.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCPA officials and employees, including supervisors and the Director or person acting for him, responsible for or involved with personnel actions use information in connection with ascertaining if DCPA, DoD, or some other agency should take some action, including making of recommendations for taking of action outside DCPA, to enforce compliance or conformity with the law, rule, regulation, circular, directive or instruction, or similar regulatory matter, or to document a proposed personnel action. Disclosure will be made as appropriate to Office of Secretary of the Army, Personnel and Employment Services-Washington, as personnel office. Information may be disclosed to agencies charged with investigative responsibilities and enforcement or any other personnel type actions of any nature including prosecution for violations of criminal laws.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by name

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept until obsolete or until separation of employee plus one year, whichever is later, then destroyed if no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Officials or employees charged with responsibility for enforcement action. Other sources include individual involved, informants or other persons knowledgeable of the matter, and organizational or individual records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2) as applicable. For additional information, contact the Systems Manager.

CLEG 8-2

System name:

DCPA LEG 8-2 Enforcement (Compliance) - Non-DCPA Employees

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Any individual, not a DCPA employee, including State or local government employees, or volunteers, charged with, or who may be charged with, nonconformity to, noncompliance with, or violation of a law, rule, regulation, circular or similar regulatory or program material which DCPA administers in whole or in part by participation in administration.

Categories of records in the system:

File could contain an allegation, charge, report (including audit report), review, workpaper, correspondence, or similar item of information that an individual has, either in performance of his duties as a State or local employee, or as an individual acted in violation of, in noncompliance with or otherwise in nonconformity with some law or regulatory matter (these matters are as mentioned in the individual category above), or that there has been a misuse of Federal funds. The file would contain items of investigative or similar information developed by DCPA personnel or by personnel of agencies other

than DCPA, charged with investigative responsibilities, and other items of information furnished to DCPA by the individual, or by other persons knowledgeable of the matter. The content of this description is to state that any item of information which may be relevant to the matters at hand may be in the records.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2251-2297, and specific authority depending on nature of the charge.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCPA officials and employees, headquarters and field, responsible for or involved with enforcement or compliance actions use information in connection with ascertaining if DCPA, DoD, or some other agency should take some action (including making of recommendations for taking of action outside DCPA), to enforce compliance or conformity with the law, rule, regulation, circular, or similar regulatory matter or to seek and obtain a remedy for noncompliance, nonconformance, or violation. Information may be disclosed to agencies charged with investigative responsibilities and enforcement actions of any nature including prosecution for violations of criminal laws, and may be disclosed to State or local organizations whose employee is involved, or to a State or local investigative body.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by name, within general subject matter files.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept for five years after final decision, then destroyed if no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Officials or employees charged with responsibility for enforcement action. Other sources include individual involved, informants or other persons knowledgeable of the matter, and organizational or individual records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2) as applicable. For additional information, contact the Systems Manager.

CMGT 2

System name:

DCPA MGT 2, Delegations and Designations Files

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

All DCPA Regional Offices, Staff College, and Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field (1) in whom has been vested the full authority to act, perform, and make decisions for the government in his own name and title, by another, usually higher, DCPA official, or (2) to whom has been assigned the authority to perform a specific task, duty, or function for another, usually higher, authority, in the name and position title of the assigning authority for the government.

Categories of records in the system:

Delegations and designations by name of individual pertaining to operations including:
Activity Report, monthly
Alerting and mobilization
American Red Cross
Automatic data processing equipment
Civil Air Patrol
Civil defense exercises
Communications and warning
Communications planning
DCPA actions in response to increased Federal civil readiness
Disaster operations
Disaster preparedness
Dissemination of defense conditions (DEFCONS)
Executive Reserves
National warning systems
Programing and Program Management, Regional
Radio Amateur Civil Emergency Services
Ready Reserves
Regional Civil Emergency Advisory Committee
Regional Preparedness Committee, Federal Preparedness Agency, General Services Administration
Transportation agreements
U.S. Army Reserve Training Units

Delegations and designations by name of individual pertaining to Federal Assistance, including:
Project applications
Personnel and administrative expenses
Emergency operating center program
Bills for collection
Civil defense equipment
Emergency water supply equipment
Surplus property
Excess property
Student expense program

Delegations and designations by name of individual pertaining to procurement, including:
Bills of lading
Civil defense programs with States and localities
Supplies and services

Delegations and designations by name of individual pertaining to property management, including:
Space and facilities
Space report
Accountable property
Motor vehicle management and operation

Delegations and designations by name of individual pertaining to general administration and management, including:
Activities of private associations
Administrative communications
Augmentation of staff of other agencies with DCPA employees
Committee management
Communications with the public
Conflict of interest review
Correspondence management
DCPA exhibits
Decals, civil defense
Directives management
Employee training and development report
Equal employment opportunity in DCPA
Executive Secretary, Regional Civil Defense Coordinating Board
Federal Executive Boards
Forms management
Fund raising
Handicapped individuals
Identification cards
Incentive awards
Labor-management relations
Line of succession
Mail management

Management improvement
Manpower utilization
Parking plan
Personnel administration
Publications distribution
Records management
Reports management
Seal, DCPA
Security
Staff duty officer
Stationery
Title VI compliance
Training, employee
Travel

Authority for maintenance of the system:

5USC 301, 44 USC 3101, 50 USC Appendix 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assure and verify that delegations and designations of specific authorities have in fact been made, and to whom.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Numbered DCPA regional instructions kept in binders, and individual memoranda.

Retrievability:

Organizationally by directorate or region, then by number.

Safeguards:

Available to DCPA personnel on a need-to-know basis. The buildings have security guards.

Retention and disposal:

Destroyed when replaced

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

All records in the system consist of DCPA-generated records.

Systems exempted from certain provisions of the act:

None

CMGT 4

System name:

DCPA MGT 4, Committee Management Files

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

All DCPA Regional Offices. Mailing addresses of these installations are set out in a DCPA Directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

DCPA employees active in private associations in which DCPA has an interest.

Federal government employees on DCPA internal committees and on DCPA sponsored international and interagency committees.

Architects and engineers and other persons who are not DCPA employees who are appointed to the DCPA sponsored advisory committees.

Categories of records in the system:

On nongovernment employees, biographical material including name of employer, title, address, legal voting residence, place and date of birth, marital status, military service, education, registration in professional societies, work experience, record of performance, publications authored, membership on other boards or committees, professional awards, and other information which can be used to determine fitness of individual to sit on the committee.

On government employees, name, office address, and name of employing agency.

Description of private associations

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, P.L. 42-463 (Federal Advisory Committee Act), Executive Order 11769 (Advisory Committee Management)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assure that DCPA participation in private, nongovernmental associations, societies, etc., is limited only to the extent of DCPA interest therein; to assure preparation and submittal of certain input information that is needed for the reports required by the laws and issuances cited above; to provide a tool with which top management can assure that the terms of the regulations regarding the creation and use of committees are being complied with.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To maintain a list of members of the various advisory committees in order to provide them with information on committee functions, meeting dates, agendas, and other purposes for managing the committees activities.

Storage:

Paper records in file folders kept in five-drawer file cabinets.

Retrievability:

By name of committee, society, or association, then alphabetically by name of individual

Safeguards:

Files are located in government buildings manned by security guards; files are released and used only on a need-to-know basis.

Retention and disposal:

Retained two years after committee ceases to exist or society membership expires, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Biographical information submitted by government or nongovernment individual nominated for membership.

Systems exempted from certain provisions of the act:

None

CMGT 7

System name:

DCPA MGT 7, Defense Civil Preparedness Agency (DCPA) Central Files

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, Computer Center. Mailing addresses of these installations are set out in DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Records are maintained by individual's name (including Congress) from whom an inquiry or request is received, and to whom a reply is addressed. Transmittals in response to routine requests for publications, etc., are not retained.

Categories of records in the system:

Accounting
Automatic Data Processing
Audit
Budget
Administrative Management
Office Services
Personnel
Procurement
Property and Supply Management
Publications
Reports
Security
Communications
Emergency Operations
Federal Assistance (Contributions)
Industrial Civil Defense
Public Information and Community Relations
Legal and Legislative
Liaison
Program Policies
Radiological Defense
Research and Development
Shelters
Training and Education

Authority for maintenance of the system:

5 USC 301, 44 USC 30101, 50 USC Appendix 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine whether a specific individual has made an inquiry of DCPA, what the inquiry was, and what comprised the DCPA response to that inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetical by inquirer's name, except that responses to Congressional inquiries are filed separately.

Safeguards:

Available to DCPA personnel, and to other personnel authorized access to DCPA files for a specific purpose; for example, research for educational or historical purposes. At headquarters mechanized files are locked during nonduty hours and the rooms in which the files are housed are also locked during nonduty hours.

Retention and disposal:

Records are cut off at end of calendar year and destroyed two years after cutoff.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, driver's license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

All records in the system consist of DCPA generated records.

Systems exempted from certain provisions of the act:

None

CMGT 10

System name:

DCPA MGT 10, Program Management Information System

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Local Civil Preparedness Directors

Categories of records in the system:

Files contain name and business address of all local civil defense directors participating in DCPA contributions programs.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Answering congressional and other inquiries, mailing materials to local civil defense agencies, keeping track of a number of training courses taken through the mail, determining address of individual if his name is known, in response to inquiries from the public advising who the local civil defense director is for a particular location.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts

Retrievability:

By geographic location number printed alphabetically by State and name

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records kept until obsolete, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

DCPA Form 744A Program Paper for Local Civil Defense are prepared by local agencies and submitted to the State and DCPA Regional offices which in turn forward copies to DCPA Headquarters for computer developed printouts.

Systems exempted from certain provisions of the act:

None

COSV 5

System name:

DCPA OSV-5, Office Services File System

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, Computer Center, Classified Location. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All employees of DCPA, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian.

Categories of records in the system:

Employee locator file
Organization roster
Trip ticket file
Accident report file
Memoranda reference car pools and parking permits
Check lists
File holders of identification (ID) cards
Training file
Overtime printouts
Field (telephone) directories

Authority for maintenance of the system:

5 USC 301, 50 USC Appendix 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Management Division DCPA: To show quickly and accurately what personnel are assigned to what organizational elements and how they can most quickly be contacted during or after normal working hours; to route inadequately addressed communications; to provide basic information responsive to route inquiries; to show trips for which government vehicles are authorized; to record field vehicle accidents occurring on such trips; to show what DCPA personnel are members of car pools or who do not wish to be in car pools and which ones have parking permits; to show quickly who in DCPA field installations possess ID cards; to portray at a glance the educational background of each DCPA employee and what government training he has received or desires; to identify DCPA employees who have worked overtime and will receive overtime pay unless the employee takes compensatory leave by a stated date (to preclude payment of overtime).

Relocation sites: Duplicates of employee locator and organizational rosters, telephone directories, holders of identification cards are maintained in order to preserve the legal rights of DCPA employees, other citizens, and the U.S. Government.

Others: Personnel within DCPA will use data or documents in the file or will develop same, as necessary, in connection with their duties on office serving matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data filed alphabetically, multilithed cut sheets stapled and bound into booklets, and visible file strips.

Retrievability:

By last name of employee or organizational element.

Safeguards:

Building Employs Security Guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

These records become obsolete when updated records are prepared. Obsolete rosters and directories are destroyed. Employee locator file cards are relocated in a former employee file when the employee leaves our rolls. Accident reports are destroyed after six months.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address. Visits are limited to Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Employee provides the data.

Systems exempted from certain provisions of the act:

None

CPER 1

System name:

DCPA PER 1, General Personnel

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, and Regional Offices, Staff College, Computer Center, and relocation sites. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian and former employees.

Categories of records in the system:

Files contain internal day-to-day administration papers that relate to such personnel matters as appointment, recruitment, placement, retention, assignment of duties, staffing, hours of duty, attendance and leave, travel, length of service awards, health, safety, performance evaluation, security clearances, insurance, overtime, pay administration, accountability for property, training-career development. Generally this includes records about agency personnel used by administrators or supervisors and not contained in the official personnel folder belonging to the Civil Service Commission (201 file), as well as supervisor's copy of records contained in the 201 file such as Standard Form (SF) 52, Request for Personnel Action, and SF 50, Notice of Personnel Action and the like.

Electromechanical accounting machine (EAM) printout created and maintained by DCPA Management Division, reflecting name of employee, organizational code, date of birth (DOB), Table of Distribution and Allowances (TDA) code number, position title, service computation date (SCD), grade, geographical indication of where employee is assigned.

EAM printout created and maintained by Personnel and Employment Service Washington, (P&ES-W) reflecting substantially the same information listed in the EAM printout described above, but also including the social security account number (SSAN), the occupational series code, and, in the case of minority employees, a one digit code (from a system created by the Civil Service Commission (CSC)) indicating which of seven minority groups the employee represents.

Files maintained by supervisors, consisting of file copies of memoranda pertaining to some aspect of a subordinate employee's work performance; includes informal minutes of conferences with such employees, attendance records, and documentations of submarginal behavior, conduct, or performance.

Authority for maintenance of the system:

5 USC 301, 44 USC 3104, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are maintained by supervisors and are in addition to and may be duplicative of the official Civil Service Commission personnel file (201 file) which is maintained by the personnel officer and are used by supervisor or anyone in the supervisory chain to perform personnel management functions.

Files are maintained by administrative officers for reporting purposes, and for performing administrative functions assigned to them by agency instructions such as manpower strength reports, statistical reports, manpower surveys, preparation of certificates of award, identifying vacancies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Conventional EAM printouts, paper records in file folders, and forms kept in three-ring binders; all the foregoing kept in file cabinets or desk drawers, available to DCPA staff members only on a demonstrated need to know basis.

Retrievability:

Organizationally by directorate or region, then descending order by grade, and alphabetically by name.

Safeguards:

Available to DCPA staff members only on a demonstrated need-to-know basis. All buildings are secured by government guards during nonduty hours, or are locked.

Retention and disposal:

Records on individual employees are kept indefinitely and then destroyed if no longer needed for permanent record. Retained for three years when replaced, then retired or destroyed. Exception: The EAM printout created and maintained by Management Division is retained indefinitely.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Agencies records

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CPER 1-1

System name:

DCPA PER 1-1, Bond, Charitable, and Blood Donor Drives Files

System location:

Defense Civil Preparedness Agency (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices and Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to this notice.

Categories of individuals covered by the system:

All employees of DCPA, headquarters and field, including full time permanent, part time, temporary, military and civilian.

Categories of records in the system:

Electromechanical Accounting Machine (EAM) printouts, keyman's campaign report, and blood donor file.

Authority for maintenance of the system:

50 USC App. 2253, 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Management Division and designated employees - To serve as control in CFC drives and E bond drives; to serve as source document for CFC auditors; to show blood types of DCPA employees, when they are self scheduled for blood donations, and dates of prior donations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

EAM printouts by organization, typed lists, and manually prepared blood donor cards.

Retrievability:

By employee's surname and organization

Safeguards:

Records are available to drive chairman, his deputy chairman, keymen, and to other DCPA staff as required.

Retention and disposal:

CFC drive and bond drive records become obsolete at drive's termination, and are destroyed. Blood donor records are maintained on a continuing basis.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Personnel records and contact with DCPA employees.

Systems exempted from certain provisions of the act:

None

CPER 4

System name:

DCPA Per 4, Military Reserve Program

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All military reservists who have or could have mobilization designation to DCPA regional offices or State and local civil defense agencies.

Categories of records in the system:

Files contain copies of orders, lists of reservists or possible reservists assigned to the DCPA region and State and local civil defense agencies and related documents.

Authority for maintenance of the system:

10 USC 270, 10 USC 275, 41 USC 3101, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Prepare statistical reports; rosters, lists of new assignees for welcome letters from the Director, review of assignments to provide information for reallocation of vacant spaces, provide basis for general management of the program including the making of efficiency and other reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Orders and related papers are filed in paper file folders in metal file cabinets.

Retrievability:

Filed at DCPA headquarters by region by military service.

Filed at DCPA regional headquarters by service by state in individual folders.

Safeguards:

Building employs security guards. Only authorized DoD personnel have access to building.

Retention and disposal:

Retained as long as individual assigned to program.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/696-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address. Visits are limited to Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Reservist submits completed application to DCPA regional or State and local civil defense agency where he desires to work. Application is endorsed at each level and forwarded through civil defense channels to the respective service personnel administrative headquarters for processing and if approved, issuance of assignment orders. Copies of assignment orders are distributed to interested offices.

Systems exempted from certain provisions of the act:

None.

CPER 5-1

System name:

DCPA PER 5-1 Executive Reserves

System location:

Defense Civil Preparedness Agency (DCPA) Headquarters, The Pentagon, Washington, D.C. 20301, and Regional Offices. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All Executive Reservists designated by DCPA.

Categories of records in the system:

Files contain the completed forms that are required to enter an individual on Federal employment and copies of correspondence with the reservist. Other documents relate to selection, designation and training of reservist.

Authority for maintenance of the system:

Executive Order 11179 of September 22, 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used within the Department of Defense in selecting, designating, training and taking routine personnel actions for personnel for assignment to key positions in the DCPA Executive Reserve unit and regional subunits. These units and personnel perform functions in an emergency not carried out by regular employees. Disclosure is made as required to Federal Preparedness Agency/General Services Administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed within units alphabetically by name

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Destroyed when the reservist is no longer available or when designation of the reservist is terminated.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Information on the reservist is supplied by the reservist. Other data is supplied by the DCPA staff.

Systems exempted from certain provisions of the act:

None

CPER 6

System name:

DCPA PER-6, Equal Employment Opportunity Discrimination Complaint Files

System location:

Equal Employment Opportunity (EEO) Office, Defense Civil Preparedness Agency (DCPA), Room 3E349, The Pentagon, Washington, D.C. 20301; all Regional offices.

Categories of individuals covered by the system:

Any DCPA employee or applicant for employment, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian who makes a discrimination in employment charge against DCPA.

Categories of records in the system:

Files contain complaints of discrimination brought by DCPA employees because of race, color, national origin, sex, or age, records of investigation, records of hearings, and dispositions of cases involving equal employment opportunity.

Authority for maintenance of the system:

Public Law 92-261, Equal Employment Opportunity Act of 1972; 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

EEO office to ascertain whether discrimination under the equal employment opportunity rules and regulations have taken place.

USACARA investigators to secure the testimony of witnesses and other pertinent data involving the cases.

Agency head for purposes of making a decision.

Civil Service Commission or other federal agency with jurisdiction for hearings, and appeals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of complainant.

Safeguards:

Building security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal:

Records are permanent

System manager(s) and address:

Equal Employment Opportunity Officer, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Equal Employment Opportunity Office, DCPA
Room 3E349
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/697-1334

Record access procedures:

Requests from individuals should be addressed to:
Equal Employment Opportunity Office, DCPA
Room 3E349
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for access to records and contesting contents and appealing initial determinations may be obtained from the Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Information is secured from previous employers, friends and acquaintances of the complainant and the alleged discriminating official, official personnel records, educational institutions, etc.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (k)(2), as applicable. For additional information, contact the Systems Manager.

CPER 7

System name:

DCPA PER 7, Emergency Notification Lists

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional offices, Staff College, Computer Center and relocation facilities. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

All DCPA employees

Categories of records in the system:

Files and their related documents contain lists of DCPA employees with their home address and telephone number who have or may be given an emergency assignment and who will be called to be given information or instructions in the event of an emergency. This includes duty officers, Army Operations Center and DCPA Operations Center augmentees, public information spokesmen, radiological incident project officers, those with emergency assignments and those who will be detailed to the Federal Disaster Assistance Administration, or other government agency for special assignments.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In the event of an emergency or other event which requires action by DCPA, the lists will be referred to determine and make assignments to the assignees and name and telephone number of the employee who has knowledge on how to respond to the situation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders with copies of each list given to individuals whose name appears on the list.

Retrievability:

Filed alphabetically, in the order to be called, or by groups who are to be called by an individual.

Safeguards:

These records made available to authorized personnel only.

Retention and disposal:

Destroyed when the list is superseded

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, Defense Civil Preparedness Agency
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

Addresses and telephone numbers are furnished by the individuals on the lists.

Systems exempted from certain provisions of the act:

None

CPER 8

System name:

DCPA PER 8, Handicapped Employees and Handicapped Veterans

System location:

Equal Employment Opportunity Office, Defense Civil Preparedness Agency (DCPA), Room 1C515, The Pentagon, Washington, D.C. 20301; all Regional Offices.

Categories of individuals covered by the system:

All DCPA employees, headquarters and field, including full time permanent, part time, temporary, consultants, military and civilian and potential employees.

Categories of records in the system:

Files contain information about handicapped employees and potential employees and their handicaps.

Authority for maintenance of the system:

Rehabilitation Act of 1973 (Public Law 93-112)
Vietnam Era Veterans' Readjustment Assistance Act of 1974 (Public Law 93-508)
44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in these files is used to assist in preparation of the Affirmative Action Plan for the Employment of Handicapped Individuals and the Affirmative Action Plan for Disabled Veterans as required by the two above cited authorities. The information is used by the coordinator for selective placement.

The information is used by the action officer for selective placement in assisting the coordinator for selective placement.

The information is used by Personnel and Employment Services-Washington, Office of Secretary of the Army, in finding potential placement for handicapped employees.

The Assistant Director for Administrative Services compiles statistics and lists to assist the coordinator for selective placement.

Lists of handicapped persons are circulated to assistant directors and program managers for possible job placement.

The information could be used in connection with any discrimination matter and disclosed to any federal agency with jurisdiction

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of complainant or applicant.

Safeguards:

Building security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened and cleared.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Information is secured from the handicapped person, previous employers, friends and acquaintances, official personnel records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a(k)(2), as applicable. For additional information, contact the Systems Manager.

CPUB 3

System name:

DCPA PUB 3, Publications Distribution Lists - Computer Center

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301; DCPA Computer Center, Post Office Box 256, Olney, MD 20832.

Categories of individuals covered by the system:

Commanders of selected military installations
Members of general public interested in receiving information bulletins and/or copies of FORESIGHT, the DCPA publication.
Executive Secretaries, various associations of registered nurses
Program Directors, Television Stations (educational only)
Program Directors, Television Stations (other than educational)
Program Directors, Radio Stations in U.S. and Territories
Program Directors, Radio Stations with women's programs
Architects and engineers qualified in fallout shelter analysis
Instructors qualified in fallout shelter analysis
Selected officials of each U.S. county
Selected officials of each U.S. township
Selected officials of U.S. cities and towns
Selected field personnel of the National Weather Service
Governors of each of the United States and Territories
Members of both Houses of the Congress
All U.S. Department of Agriculture county agents
Selected volunteer agencies
Industrial defense coordinators
Defense coordinators of Federal agencies
DCPA Executive Reservists
North Atlantic Treaty Organization Civil Defense Directors
State and regional civil defense directors
Corps of Engineers field officers
Heads of senior military colleges under Department of Defense Military support planning officers of each State
Continental United States Army Military Support Planning Officers
Heads, DCPA Warning Centers
Heads, Civil Affairs Units, U.S. Army Reserve
DCPA research staff
Local civil defense directors
Editors, college newspapers
Executive Secretary, U.S. American Library Association
Chief librarian, public libraries
Editors, industrial publications
Plant protection supervisors
Defense coordinators of U.S. Postal Service
Mobilization designees
Executive secretaries, national organizations, scientific and technical
Executive secretaries, national organizations, fire
Executive secretaries, national organization membership
Executive secretaries, national organizations, rural
Executive secretaries, national organizations, education
Executive secretaries, national organizations, government
Executive secretaries, national organizations, veterans and military
Executive secretaries, national organizations, health
Executive secretaries, national organizations, media
Executive secretaries, national trade associations
Executive secretaries, state manufacturers associations
Certain individuals involved in training and education activities at State level
Certain military officials in DCPA Region Six area
Specific individuals prominent in industry in Region Six area
Specific Federal government key personnel in field installations located in DCPA Region Six area
Members of National Association of Counties
Officials in private industry requesting DCPA industrial preparedness publications
Those students successfully completing the Industry/Business Emergency Planning Course at DCPA Staff College
Editors of industrial association publications

Categories of records in the system:

Names and mailing addresses of individuals listed above

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC Appendix 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide mailing addresses of individuals representing self or organizations to whom DCPA publications, such as FORESIGHT magazine, are mailed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

From magnetic tape (cassette) to terminal to disc; periodically copied from disc to magnetic tape from which address labels are printed.

Retrievability:

Either by mailing list identification(ID) number, then by ZIP code within each ID number, then a three digit number from 001 to 999 assigned within each ZIP code, or by DCPA region number, then alphabetically by name of State within each region, then alphabetically by name of county within each State.

Safeguards:

Files are maintained in a secured tape vault in accordance with DOD Security Regulations.

Retention and disposal:

Data is erased from disc as it becomes obsolete.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

V 44 DE 17 79 UMI

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Data provided by addressees on the mailing lists.

Systems exempted from certain provisions of the act:

None

CPUB 3-2

System name:

DCPA PUB 3-2, Standard Publications Distribution Lists

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301; Civil Defense Branch, U.S. Army Adjutant General (AG) Publications Center, 2800 Eastern Boulevard, Middle River, Baltimore, MD 21220; and Defense Printing Service, U.S. Navy Publications and Printing Service Office, The Pentagon, Washington, D.C. 20350.

All DCPA Regional Offices and Staff College. Mailing addresses of these installations are set out in a DCPA Directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

State, Commonwealth, and Territorial Civil Defense (CD) Directors
Local CD Directors
Heads, DCPA Field Activities
DCPA Executive Reservists
Defense Coordinators of U.S. Postal Service
Defense Coordinators of Federal Agencies
State CD Education Coordinators
Heads, Department of Commerce Field Offices
State Agents, Surplus Property and Merit System
State Social Studies Specialist
Architects and Engineers Attending Fallout Shelter Analysis Course but not certified.
Enrollers, CD Career Development Program
Participants, Multiprotection Design course
Professionals interested in shelter construction
Members, National Academy of Science Advisory Committee on CD
Members of general public interested in receiving Civil Preparedness Guides (CPG), Circulars, Information Bulletins and technical information.
Corps of Engineers (CofE) Field Officers
Military Support Planning Officers of each State
Continental United States (CONUS) Army Military Support Planning Officers
Heads, DCPA Warning Centers
Heads, Senior Military Colleges under Department of Defense
Heads, Civil Affairs units, U.S. Army Reserve
Managers, Radio Stations in U.S. and Territories
Managers, Radio Stations with Women's Programs
Managers, TV Stations (education only)
Managers, TV Stations (other than education stations)
Managers, Major Cable Television Stations
Heads, technical universities interested in nuclear protective construction
Coordinators, State and local civil preparedness instructional programs
Editors, college newspapers
Chief State school officers
Industrial Defense Coordinators
Executive Secretaries, National Trade Associations
Executive Secretaries, State Manufacturers Associations
Executive Secretaries, professional societies interested in protective construction
Plant Protection Supervisors
Executive Secretaries, State Architectural and Engineering Examining Boards
Deans of Architecture
Deans of Engineering
Executive Officers, American Life Convention Membership Companies
Executive Secretaries, National Organizations, Welfare and Religious
Executive Secretaries, National Organizations, Scientific and Technical
Executive Secretaries, National Organizations, Fire
Executive Secretaries, National Organization Membership
Executive Secretaries, National Organizations, Rural
Executive Secretaries, National Organizations, Education
Executive Secretaries, National Organizations, Government
Executive Secretaries, National Organizations, Veterans and Military
Executive Secretaries, National Organizations, Health
Executive Secretaries, National Organizations, Media
Executive Secretaries, National Associations of Independent Schools
Heads of Selected Foreign Activities
North Atlantic Treaty Organization Civil Defense Directors
Executive Secretary, US-American Library Association
Executive Secretary, Canadian-American Library Association
Head Librarians, Engineering Libraries
Selected individuals in research an d development sector

Categories of records in the system:

Names and mailing addresses of the individuals listed above

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC Appendix 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide mailing addresses of individuals representing self or organizations to whom DCPA publications are mailed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

From magnetic tape and punched cards

Retrievability:

Alphabetical by name of State, then numerically within each State by ZIP code.

Safeguards:

Building Employs Security Guards. Records are retained in Areas Accessible to and made available to authorized personnel on request.

Retention and disposal:

When a list is updated the prior list is destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Data provided by addressees on the mailing lists

Systems exempted from certain provisions of the act:

None

CRAD 2-3

System name:

DCPA RAD 2-3, Instruments and Equipment, Loaned, Radioactive Materials

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices. Copies are also maintained at the appropriate State and local civil defense agencies and at State radiological systems maintenance and calibration facilities, and as applicable to another Federal agency or DCPA contractor having radioactive material on loan.

Categories of individuals covered by the system:

Custodians of DCPA Radioactive Material

Categories of records in the system:

Files contain a listing of all DCPA owned radioactive materials on loan to a State, other Federal agencies, DCPA contractors or others. Categories of information stored in the system include: custodian's name, address, city, county, telephone number, user authorization number and expiration date, date of transfer, DCPA Region, State, storage name, address, city, county, license number, type, expiration date, radioactive material nomenclature; isotope, activity; civil defense nomenclature; serial numbers; leak test data, ID number of item, voucher number and date.

Authority for maintenance of the system:

5 USC 301, 44 USC 3104, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Detection and Countermeasures Division, DCPA: As an inventory of all DCPA owned radioactive materials including whether on loan or in storage. Locating an item by ID number or serial number; determining custodian of an item, number of items on loan to a State, other Federal agency, contractor and others; record of license number authorizing custodian possession of material; inventory of items by radioisotope; using incapsulation date and radioisotope decay to determine activity at any given time. File may be sorted and or searched by any of items in Record-Category above. As records are updated, file incorporates in history file so that previous information remains on storage enabling a listing of all previous data in file in various Record-Categories. This permits a listing of leak test history data, listing of all storage locations and date of transfer, listing of all custodians, date of transfer, license numbers under which item was loaned. Based on expiration date of license, lists can be prepared of licenses due for renewal and overdue. Based on leak test date, lists can be prepared of items scheduled for leak testing and overdue. Items in possession of unauthorized personnel can be traced to last custodian by serial number, ID number or other available nomenclature.

Regional Offices, DCPA: Same uses as Detection and Countermeasures Division; usually limited to radioactive material on loan to States in their respective Region. For lost or unauthorized sources entire file may be searched.

State Radiological Systems Maintenance, Maintenance and Calibration Facility, State Civil Defense Office, Other Federal Agencies, DCPA Contractors and others possessing loaned material: Same as Detecttion and Countermeasures Division. Usually limited to radioactive material items on loan to the user. For lost or unauthorized sources entire file may be searched.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and disks, computer paper printouts.

Retrievability:

Computer file is accessible by any of the categories listed in Record Category above.

Safeguards:

Requests for computer printouts are made by other users through DCPA Detection and Countermeasures Division. Only DCPA Detection and Countermeasures Division and DCPA Computer Center have access to DCPA data on computer tapes and disks. Printouts at DCPA facilities are stored in buildings that employ security guards.

Retention and disposal:

Files are updated as changes occur. Previous data is stored in history file for historical data printouts described in Routine-Uses.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.n

Record source categories:

Data to update file is supplied by custodians of loaned material (note: transferee will report name of new custodian), State Civil Defense Agency Maintenance and Calibration Facility personnel, DCPA Regional Offices, Detection and Countermeasures Division of DCPA. Other sources include other DCPA divisions.

Systems exempted from certain provisions of the act:

None

CRAD 3

System name:

DCPA RAD 3, Maintenance and Calibration

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, DCPA Computer Center, Defense General Supply Center, ATTN: DCPO, Richmond, Virginia. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices. Copies are also maintained at the appropriate State and local civil defense agencies and at State radiological systems maintenance and calibration facilities, and as applicable to another Federal agency.

Categories of individuals covered by the system:

All State RADEF Officers and Maintenance Officers

Categories of records in the system:

Files contain the shipping and mailing addresses of the State radiological systems maintenance, maintenance and calibration facilities. It also contains the name and telephone number of the maintenance officer of the maintenance and calibration facility and the State RADEF officer.

Authority for maintenance of the system:

5 USC 301, 44 USC 3104, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Detection and Countermeasures Division, DCPA: To address correspondence to the facilities. Names and telephone numbers are used to contact individuals by phone as required.

DCPA Regions: Same as Detection and Countermeasures Division for the States in their region.

DCPA Computer Center: To prepare mailing and shipping labels for computer output.

Others: Copy furnished Defense General Supply Center, ATTN: DCPO, Richmond, Virginia for use by them and the associated DCPA Federal Supply Depot to ship and mail supplies to the States for use under the Radiological Systems Maintenance contract. Information furnished to other DCPA elements, other Federal agencies and to State radiological maintenance facilities upon request in order to furnish supplies and/or information for use in the radiological systems maintenance contract.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder and computer magnetic tapes or disks.

Retrievability:

Filed by region then alphabetically by State name

Safeguards:

Building employs security guards, Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

When a list is updated the prior list is destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Information submitted by State RADEF Officer, Maintenance and Calibration Facility Maintenance Officer, DCPA Regional Staff, others knowledgeable of change in data.

Systems exempted from certain provisions of the act:

None

CRAD 4

System name:

DCPA RAD 4, Radiation Exposure and Radioactive Materials; Radiation Committee Records

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), Staff College, Computer Center. Mailing addresses of these installations are set out in a DCPA directory which will be published as an*ppendix to these notices.

Categories of individuals covered by the system:

Files contain the following types of individuals within DCPA or under DCPA Byproduct Materials License: All authorized users of sources of ionizing radiation; activity radiation safety officers, ionizing radiation dose records for individuals using or exposed to ionizing radiation under DCPA license or authorization, authorized custodians of DCPA sources of ionizing radiation, committee members and alternates.

Categories of records in the system:

Files contain records produced in the conduct of committee duties and functions which include the control and administration of, the procurement, use, handling, storage and disposal of all sources of ionizing radiation throughout DCPA and other users under DCPA licenses and authorizations, assuring compliance with licenses and authorizations issued to DCPA for ionizing radiation and the regulations applicable to these license holders. Records include committee members, authorized users, activity radiation safety officers, ionizing radiation dose records for individuals who may be exposed to DCPA sources of ionizing radiation inspections (surveys) of activities and facilities using DCPA sources of ionizing radiation.

Authority for maintenance of the system:

44 USC 3101, 50 USC App. 2253, 2281, 44 USC 2073, 2093, 2095, 2111, 2112, 2201, 2232, 2233, 2234, 2273

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Radiation control committee: In conduct of committee duties and functions including the following: serving as an advisory board recommending approval and exercising control of the procurement, use, handling, storage, and disposal of sources of ionizing radiation for civil preparedness purposes; based upon the qualifications submitted, designate for approval all authorized users of sources of ionizing radiation within DCPA or under DCPA licenses or authorizations; recommend for approval activity radiation safety officers for all DCPA installations and other facilities where sources of ionizing radiation are used, handled or stored under DCPA licenses or authorizations; establishes general procedures and guidance governing the use, handling, storage of sources of ionizing radiation, including appropriate health physics or emergency products, procedures and precautions, establishing formal rules and regulations as necessary; assure that the rules and conditions of the DCPA licenses, authorizations, and regulations are observed in all DCPA activities; maintain records of the procurement, receipt, transfer and disposal of all DCPA sources of ionizing radiation; maintain ionizing radiation dose records for each DCPA employee and other individuals who may have been exposed to ionizing radiation under DCPA licenses or authorizations; providing liaison with other Federal agencies with regard to committee duties and functions; maintain records of applications and amendments to licenses and authorizations for the use of ionizing radiation at DCPA facilities; maintains records of periodic inspections of all DCPA activities involved with sources of ionizing radiation under DCPA licenses and authorizations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders
Radioactive materials inventory on computer magnetic tape and disks

Retrievability:

Filed by subject
Ionizing radiation exposure records subfiled alphabetically by name

Safeguards:

Buildings employ security guards
Requests for computer printouts are made through the Radiation Control Committee. Only DCPA has access to data on computer tapes and disks.

Retention and disposal:

Files kept in accordance with 10 CFR 19, 20, 30, and 33.
Files not covered by 10 CFR kept for two years after completion, then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Reports prepared and submitted by committee members, activity radiation safety officers and users. Data for ionizing radiation dose records from individuals wearing dosimeters and film badge processors.

Systems exempted from certain provisions of the act:

None.

CSEC 2

System name:

DCPA SEC 2, Classified Documents Control Files

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, all DCPA Regional Offices, Staff College, relocation facilities, and Computer Center. Mailing addresses of these installations are set out in a DCPA Directory which will be published as an Appendix to these notices.

Categories of individuals covered by the system:

DCPA employees, headquarters and field, involved in the handling of classified material.

Categories of records in the system:

Information pertaining to proper control of classified material.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC Appendix 2253.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine which specific employees at a given time possess clearance, are responsible for locking office safes and the DCPA vault (by date), and who at any specific time is charged with custody of one or more classified documents, and to take any required action including transfer of documents in and out of DCPA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cut sheets in binder, 3x5 card file, printout, classified doucment receipts , e.g., sheets, forms 62 safe or cabinet security record.

Retrievability:

Filed alphabetically by name, and organizationally by directorate having a classified document.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Files kept for 5-years after final decision, then destroyed if no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

These are DCPA self-generated records.

Systems exempted from certain provisions of the act:

None

CSEC 3-4

System name:

DCPA PER 3-4, Classified Clearances

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

Selected DCPA employees having classified clearances for access to compartmented intelligence information, the National Military Command Center and its alternates, the National Military Intelligence Center, and special conferences requiring such clearances.

Categories of records in the system:

Files contain some or all of the following information: name, social security account number, date and place of birth, height, weight, color of hair and eyes, compartmented intelligence billet number and title, categories of compartmented intelligence and other classified information for which access has been approved for the billet and for the individual, date of last special background investigation and agency conducting it, justification for access to the classes of information, facilities or conferences, and notation of Joint Chiefs of Staff, National Military Command Center (JCS/NMCC), Defense Intelligence Agency (DIA), courier and other badges or credentials applied for and received.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to control access by DCPA personnel to particularly sensitive intelligence and operational information, facilities, and conferences. Information is also used to prepare applications for credentials for access to the NMCC, National Military Intelligence Center (NMIC), Army Operations Center (AOC) for DCPA personnel and to provide required information to conference and exercise sponsors for DCPA attendees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records including notes, computer printouts provided by DIA and Department of the Army (DA), and xerox copies of applications for credentials, stored in file folders.

Retrievability:

Names are listed on billet rosters by billet number and/or title. Other records are on cards, one or more cards per individual.

Safeguards:

Files are stored in a locked file in a government building with security guards.

Retention and disposal:

Destroyed when superseded

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Agency records

Systems exempted from certain provisions of the act:

None.

CSHL 3

System name:

DCPA SHL 3, Summer Hire

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. 20301, Computer Center. Mailing ad-

dress of this installation is set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

College students who have qualified for employment in the DCPA Summer Hire program by meeting Civil Service Commission requirements and by completing special training course.

Categories of records in the system:

File contains student's name, address, telephone number, college, age, veteran's status, Civil Service grade and rating, work area preference, drivers license, availability of transportation and training.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is used to determine eligibility and to select students for employment by the U.S. Army Corps of Engineers in the Summer Hire program. A report is made to the Civil Service Commission which indicates which students were hired and which were not. Matter may be disclosed to Corps of Engineers and to contractors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Questionnaires are kept in folders. Data cards are kept in data card boxes. Data are placed on magnetic tape for processing.

Retrievability:

Questionnaires are filed in alphabetical order. Data cards are in numerical sequence. Data on tape are retrievable by work area preference.

Safeguards:

Building employs security guards. All records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are disposed of after final report is submitted to the Civil Service Commission, usually at the end of the calendar year.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address. Visits are limited to Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Notice of Rating from the Civil Service Commission and application of employment.

Systems exempted from certain provisions of the act:

None

CTNG 3

System name:

DCPA TNG 3, State and Local Civil Preparedness Instructional Program (SLCPIP)

System location:

Primary system located at Defense Civil Preparedness Agency (DCPA) Regions. Addresses are available at DCPA Staff College. Decentralized system located with State and local agencies contractors in various States who provide input to Regional Offices. Duplicate data is forwarded to State CD Offices by contractors in the States for information purposes only. Addresses of contractors and State CD Offices are available at DCPA Regional Offices. Limited duplicate data is located at DCPA Staff College, Federal Center, Battle Creek, MI 49016.

Categories of individuals covered by the system:

Individuals include local civil preparedness coordinators, teachers, school administrators and local officials who are in need of civil preparedness training

Categories of records in the system:

This system is comprised of 4 reporting forms only one of which has names. These are forwarded from the contractors at the State level to the Regional Offices. The form with names is DCPA 177A - SLCPIP Contractor's Roster. This form is used to give name, address, and title of participants for each course or workshop conducted. This is a monthly report to the Regions.

The Contracting Officer (Region) forwards to Staff College gross number of activities and participants. The Regions maintain the rosters. The number of activities and participants are forwarded to Staff College quarterly from each Region and are then consolidated and forwarded to Headquarters.

Authority for maintenance of the system:

44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the contractor to report to the contracting officer (Region) his progress and expenditures. The Regions use this system to report quarterly to Staff College, progress of the training activities. Staff College in turn consolidates all eight Region reports and prepares a quarterly report to the Director, DCPA. Names of students and data from these reports are routinely disclosed to State and local governments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets

Retrievability:

Information would be retrieved by name, address, name of course, date, and location.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are retained in active file for one calendar year or fiscal year or until contract is completed. Records are then in inactive file for 3-6 years depending on program and then destroyed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

The source for information on participants in a course is forwarded by the contractors in the various States as he conducts training activities in his State.

Systems exempted from certain provisions of the act:

None

CTNG 8

System name:

DCPA TNG 8, DCPA Form 1353, Appl for Enrollment in Arch & Engr Prof Dev Prog

System location:

Defense Civil Preparedness Agency, Headquarters (DCPA), The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

Individuals who apply for DCPA professional development courses: Fallout Shelter Analysis (FSA); Protective Construction (PC), Environmental Engineering (EE), Multiprotection Design (MDP) and Shelter Survey Technician (SST).

Categories of records in the system:

Files contain course applicant's name, address, date of birth, education and status of completion in the course.

Authority for maintenance of the system:

5 USC 301, 44 USC 3104, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is used to ascertain qualifications for certification as Fallout Shelter Analyst for issuance of appropriate certificates and to provide directories of architects and engineers qualified in the subject matter of the professional development courses. Also to provide mailing lists for disseminating new information as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Forms are kept in loose-leaf notebooks. Some of the data are kept on computer magnetic tapes for processing in conjunction with dissemination of new information.

Retrievability:

Filed alphabetically by name within course title

Safeguards:

All records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained. Headquarters building employs security guards during non-business hours.

Retention and disposal:

Files are considered permanent

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

DD Form 1353, submitted by applicants.

Systems exempted from certain provisions of the act:

None

CTNG 8-1

System name:

DCPA TNG 8-1 Qualified Instructor File

System location:

Defense Civil Preparedness Agency, Headquarters (DCPA), The Pentagon Building, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals who instruct DCPA professional development courses. Fallout Shelter Analysis (FSA); Protective Construction (PC); Environmental Engineering (EE); Multiprotection Design (MPD)and Shelter Survey Technician (SST)

Categories of records in the system:

Files contain instructors name, address, date of birth, educational background, current employment status, institutional affiliation, record of performance and participation in the DCPA summer institutes.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide mailing addresses and location of qualified instructors in order to furnish them the latest information and to select instructors and course directors for the DCPA professional development courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Forms are kept in loose-leaf notebooks. Some of the data are kept on computer magnetic tapes for processing in conjunction with dissemination of new information.

Retrievability:

Filed alphabetically by name.

Safeguards:

All records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained. Headquarters building employs security guards.

Retention and disposal:

Files are considered permanent

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

DD Form 1353, Application for Enrollment in Architects and Engineers Professional Development Program, submitted by instructors.

Systems exempted from certain provisions of the act:

None

CTNG 13

System name:

DCPA TNG 13, Student Academic and Course Records, DCPA Staff College

System location:

Registrar's Office, Defense Civil Preparedness Agency (DCPA), Staff College, Federal Center, Battle Creek, Michigan 49011.

DCPA Headquarters, all DCPA Regional Offices, Computer Center. Mailing addresses of these installations are set out in a DCPA Directory which will be published as an Appendix to these notices.

Categories of individuals covered by the system:

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Any citizen who applies for and completes resident and field civil preparedness training conducted under the auspices of the Staff College, DCPA.

Categories of records in the system:

Files contain student application records - DCPA 435, containing name, address, education level, civil defense courses taken and where, civil defense organization and program affiliation, civil defense title, civil defense telephone number and length of civil preparedness service, employer, business title and business telephone number, student travel authorization and voucher for partial expense and date and location of course; individual training records; individual and business file for Staff College Catalogs, Information Bulletins, etc; Career Development individual files; photographs with identification; MOBDES training files; Career Development directory; Student Expense files; completed Grant-in-Aid forms; State recommendations, attendance and progress reports, student locators, and related academic documents.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff College - To maintain individual training records; to compile regional, State, headquarters, military training data for administrative purposes such as budget requirements, replies to congressional inquiries, internal reporting and performance statistics, Program Reports, and transmittal of satisfactory course completions to State and local governments.

Regions - To maintain up-to-date statistics of Staff College graduates assigned to regional jurisdictions and to inform States and local governments.

States - To maintain up-to-date statistics of Staff College graduates assigned to State and local jurisdictions.

Headquarters, Office of Comptroller, Accounting Division - To record and obligate funds for students attending Staff College courses and forward records to U.S. Army Finance and Accounting Office, U.S. Military District of Washington, for payment purposes.

Computer Center - To prepare ADP doucments relating to student participation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and 3x5 cards in file drawer.

Retrievability:

3x5 locator alphabetical; academic records chronologically by course title; and travel authorizations and vouchers by fiscal year and State.

Safeguards:

Building employs security officers. Doors are open only during business hours. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent. Course folders retained in active file until course is completed, held 20 years in inactive file and subsequently transferred to Records Center; destroyed after 40-years.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301

Record source categories:

Education Institution, DCPA Staff College, records derived from student applications and academic records.

Systems exempted from certain provisions of the act:

None

CTNG 14

System name:

DCPA TNG 14, Home Study Courses, DCPA Staff College

System location:

Defense Civil Preparedness Agency (DCPA) Staff College, Federal Center, Battle Creek, MI 49016
DCPA Computer Center, Olney, MD
DCPA Headquarters and Regional Offices

Mailing addresses of these installations are set out in a DCPA Directory which will be published as an Appendix to these notices.

Categories of individuals covered by the system:

Any citizen who desires to further his knowledge of Civil Preparedness in general, basic concepts of radiological monitoring, the duties of a local Civil Defense Director/Coordinator, or the duties of a Shelter Manager, is eligible for these courses.

Categories of records in the system:

File includes individual application forms, group enrollment forms, group completion forms, key punch cards and related computer printout indicating home study entry, progress, grades and completion, correspondence and related academic documents.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Michigan Technological University (MTU)-Key punch cards to enter applicant into home study system and to release home study materials to applicants, and to forward certificates to applicants who successfully complete a course. Also used to prepare statistical report for DCPA Staff College.

DCPA Computer Center-use key punch cards to establish printout including name, address, student number, numerical grade for each course unit, date of completion of each course unit and final grade and date of course completion. DCPA Computer Center provides printouts for MTU, Staff college, DCPA Regions and State CD Offices.

DCPA Staff College-to respond to student inquiries relating to completion dates, requests for military reserve retirement credits and requests for certificates of completion that were awarded but did not arrive for the student. Uses MTU prepared statistics to prepare annual, quarterly and monthly reports for Director, DCPA. Provides course completion/progress data to State and local governments.

DCPA Regional Office-the DCPA Regions use the printout to measure training progress in the Region. The Regions also provide each State CD Office with monthly printouts of home study activity and completions.

State CD Offices-use the printouts to schedule more advanced training for students who have completed basic civil preparedness instruction through home study courses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

DCPA Computer Center stores records on computer magnetic tapes or disks. DCPA Staff College, DCPA Regions, MTU and State CD Offices store printouts of records as developed and forwarded by DCPA Computer Center.

Retrievability:

Information is accessed or retrieved by name and address or Student Number.

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

All Home Study records at DCPA Staff College are destroyed after 6-years. Home Study records held by DCPA Regions, Michigan Tech University and State CD Offices are destroyed when obsolete, superseded or no longer needed.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

Application form completed and submitted by applicant for DCPA Home Study courses.

Systems exempted from certain provisions of the act:

None

CWNG 2-1

System name:

DCPA WNG 2-1, List of custodians of Decision Info Sys (DIDS) Radio Receivers

System location:

Defense Civil Preparedness Agency Headquarters (DCPA), The Pentagon, Washington, D.C. and at Office of U.S. Army Communications Command (USACC-CONUS), Facility Chiefs at DCPA Regions One, Two and Three. Mailing addresses of these installations are set out in a DCPA directory which will be published as an appendix to these notices.

Categories of individuals covered by the system:

Selected military officers, Federal agency personnel and officials and key personnel of emergency services of governments at State, county and local level.

Categories of records in the system:

A property accountability and operational location listing for DIDS radio receivers used for civil defense purposes. It contains custodian's name, address, type facility of location, job title and telephone number.

Authority for maintenance of the system:

5 USC 301, 44 USC 3101, 50 USC App. 2253, 2281.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The list of custodians maintains property accountability. It also provides base to obtain statistical information as to what kind of operational locations or other installations are associated with the radio receivers. Provides a base for obtaining operational information on receiver operations by soliciting the custodians. Determines exact location of receivers in need of maintenance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records kept in file cabinet

Retrievability:

List is by name of individual and location

Safeguards:

Building employs security guards. Records are retained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are kept so long as person listed is custodian of a DIDS radio receiver; when receiver is given up, name is removed from list.

System manager(s) and address:

Director, DCPA, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
Headquarters, DCPA
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6498

Record access procedures:

Requests from individuals should be addressed to:
Headquarters, DCPA
Room 1D511
Pentagon Building
Washington, D.C. 20301

Written requests for information should contain the full name of the individual and current address.

For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, employing office's identification card, and give some verbal information that could be verified.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from Management Division, DCPA, Pentagon Building, Washington, D.C. 20301.

Record source categories:

The individual custodians

Systems exempted from certain provisions of the act:

None

DEFENSE CIVIL PREPAREDNESS AGENCY OFFICES

Defense Civil Preparedness Agency (DCPA) Headquarters, The Pentagon, Washington, D.C. 20301

DCPA REGION ONE, Federal Regional Center, Maynard, MA 01754. Serves: Connecticut, Maine, Massachusetts, New Hampshire, New Jersey, New York, Rhode Island, Vermont, Puerto Rico, Virgin Islands
FIELD OFFICE, 26 Federal Plaza, New York, N.Y. 10007.
Serves: New Jersey, New York

DCPA REGION TWO, Federal Regional Center, Olney, MD 20832. Serves: Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, West Virginia

DCPA REGION THREE, Federal Regional Center, Thomasville, GA 31792. Serves: Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, Tennessee, Canal Zone

DCPA REGION FOUR, Federal Center, Battle Creek, MI 49016. Serves: Illinois, Indiana, Michigan, Minnesota, Ohio, Wisconsin

DCPA REGION FIVE, Federal Regional Center, Denton, TX 76201. Serves: Arkansas, Louisiana, New Mexico, Oklahoma, Texas

DCPA REGION SIX, Federal Regional Center, Bldg 710, Denver, CO 80225. Serves Colorado, Iowa, Kansas, Missouri, Montana, Nebraska, North Dakota, South Dakota, Utah, Wyoming
FIELD OFFICE, 1125 Grand Ave., Kansas City, Mo. 64106.
Serves: Iowa, Kansas, Missouri, Nebraska

DCPA REGION SEVEN, P.O. Box 7187, Santa Rosa, CA 95401. Serves: Arizona, California, Hawaii, Nevada, American Samoa, Guam

DCPA REGION EIGHT, Federal Regional Center, Bothell, WA 98011. Serves: Alaska, Idaho, Oregon, Washington

DCPA STAFF COLLEGE, Federal Center, Battle Creek, MI 49016

DCPA COMPUTER CENTER, Federal Regional Center, Olney, MD 20832

DCPA RELOCATION SITE, DCPA Emergency Operations Field Office Liaison, Room 125, Executive Office Building Annex, Washington, D.C. 20405

[BILLING CODE 3810-70]

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OFFICE OF THE SECRETARY OF DEFENSE

HOW SYSTEMS OF RECORDS ARE ARRANGED. The Office of the Secretary of Defense (OSD), a Component of the Department of Defense, is located in the Pentagon. In providing immediate staff assistance and advice to the Secretary of Defense, independently organized and identified offices function in full coordination and cooperation. Therefore, the Office of the Secretary of Defense systems of records are not maintained or arranged by subject but established in functional areas of a particular responsible staff office. The Office of the Secretary of Defense includes the offices of the Under Secretaries of Defense, the Assistant Secretaries of Defense, the Assistants to the Secretary of Defense, the General Counsel, DoD, and such other staff offices as the Secretary of Defense establishes to assist him in carrying out his duties and responsibilities.

HOW TO USE THE INDEX GUIDE. To assist the reader in locating and reviewing the particular record system of interest, the various staff offices and the prefix letter symbols represented as part of the record system identification for that office are set forth below

OSD OFFICES
LETTER IDENTIFICATION

Office of the Assistant to the Secretary of Defense (Atomic Energy).	DAE
Office of the Defense Audit Service	DAS
Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.	DATSD
Office of the Assistant Secretary of Defense (Comptroller).	DCOMP
Office of the General Counsel, DoD	DGC
Office of the Assistant Secretary of Defense (Health Affairs).	DHA
Office of the Director, Information Operations and Reports.	DIO&R
Office of the Assistant Secretary of Defense (International Security Affairs).	DLA
Office of the Assistance Secretary of Defense (manpower, Reserve Affairs and Logistics.	DMRA&L
Office of the Directorate for Health Services (OCHAMPUS), DoD.	DOCHA
Office of the Assistant Secretary of Defense (Program Analysis and Evaluation).	DPA&E
Office of the Assistant Secretary of Defense (Public Affairs).	DPA
Office of the Commandant, Defense Systems Management College.	DSMC
Office of the Director, Washington Headquarters Services.	DWHS
Office of the Under Secretary of Defense for Policy.	DUSDP
Office of the Under Secretary of Defense for Research and Engineering.	DUSDRE

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

DAE01

System name:

Office Social Roster and Locator Card.

System location:

Primary System-Office of the Assistant to the Secretary of Defense (Atomic Energy), Washington, DC 20301.

Categories of individuals covered by the system:

Any individual, either military or civilian, directly assigned to the Office of the Assistant to the Secretary of Defense (Atomic Energy).

Categories of records in the system:

Data includes home addresses and telephone numbers and names of spouses.

Authority for maintenance of the system:

Title 10, US Code, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes-To provide means of emergency communication with assigned individuals when required and toassist office personnel planning social functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

None. Each assigned individual given one copy.

Retrievability:

None.

Safeguards:

Treated strictly as official office use and need to know.

Retention and disposal:

By each individual privately until superseded at which time old roster is destroyed.

System manager(s) and address:

Office of the Assistant to the Secretary of Defense (Atomic Energy).

Notification procedure:

Written requests for information should be addressed to the SYSMANAGER.

Personal visits are directed to Room 3E1074, Pentagon, Washington, DC. Valid proof of identity is required.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:

Executive Assistant to the ATSD(AE).
Room 3E1074
Pentagon Building.
Washington, DC 20301.
Telephone: AC 202-697-5561.

Contesting record procedures:

The agency's rule for access to records and for cont ting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Voluntarily submitted.

Systems exempted from certain provisions of the act:

None

DAE02

System name:

03-3 and 03-4 Individual Personnel Files, 03-1b Consultants Files

System location:

Primary System-Office of the Assistant to the Secretary of Defense (Atomic Energy), Washington, DC 20301

Categories of individuals covered by the system:

Any individual, either military or civilian, directly assigned to the Office of the Assistant to the Secretary of Defense (Atomic Energy).

Categories of records in the system:

Data includes assignment orders, clearance requests, records of leave and TDY and, in limited caseseducational background, military service (if any), and financial data strictly limited to government employment.

Authority for maintenance of the system:

Title 10, US Code, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose-To facilitate processing of incoming personnel and to maintain personnel records at the discretion of the individual concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files alphabetically by name.

Safeguards:

Stored in locked metal Lektriever inside an alarmed vault.

Retention and disposal:

During the entire assignment of the individual which, upon departing, the individual reviews his/ her file, retrieves material he/she desires to keep, and the remaining material is destroyed by pulping.

System manager(s) and address:

Office of the Assistant to the Secretary of Defense (Atomic Energy).

Notification procedure:

Written requests for information should be addressed to the SYSMANAGER.

Personnel visits are directed to Room 3E1074, Pentagon, Washington, DC. Valid proof of identity isrequired.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:

Executive Assistant to the ATSD(AE)
Room 3E1074.
Pentagon Building.
Washington, DC 20301.
Telephone: AC 202-697-5561.

Contesting record procedures:

The agency's rule for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

OSD Military and Civilian Personnel Branches and also voluntarily submitted.

Systems exempted from certain provisions of the act:

None.

DAS 01

System name:

Defense Audit Management Information System (DAS/MIS).

System location:

Defense Audit Service, Audit Management Division (DAS-AM), Arlington, Virginia. The system utilizes the Computer Science Corporation's INFONET System, 1616 North Fort Myer Drive, Arlington, Virginia 22209.

Categories of individuals covered by the system:

All active personnel employed by the Defense Audit Service with history data including previous employees maintained for two years.

Categories of records in the system:

Data on the individual's current position, current employment status, travel, audit experience training, and the following specific personal data: name, Social Security Account Number (SSAN), date of birth (DOB), service computation date (SCD), career status, experience, address, assigned station, job series, clearance, education, and evaluation due date.

Authority for maintenance of the system:

Title 10, United States Code, section 136(b), and Department of Defense Directive 5105.48, 'Defense Audit Service', October 14, 1976, conveys the authority for maintenance of a system of records to the Director of the Defense Audit Service in support of the DAS mission.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used as follows:

(1) Security Clearance notification alert; provided to all audited activities in advance of visits by DAS audit personnel. Information provided in Alert is name, SSAN, Office of Assignment, and the security clearance for each auditor.

(2) Time and Attendance Reporting; provided to DAS Main Office by 9 CONUS Regional Offices and 3 Overseas Regional Offices. Time and Attendance Reports and used by various managers to track Temporary Duty Travel Frequency and duration, to accrue manhour data on assigned audit projects, to categorize indirect time for end of year reporting to provide time and attendance data to the centralized payroll system at the Main Office. Information included in Time and Attendance Reports are SSAN, Name, Grade, Assigned Office, Hours Present for Duty, Annual Leave Hours, Sick Leave Hours, Other Leave Hours and Type, TDY Location, and TDY Duration.

(3) Planned Annual Leave Reporting, utilized by various managers for workload planning and travel scheduling. Information included is Name, Assigned Office, and dates of planned annual leave.

(4) Audit Status and Auditor Assignment Reporting; used by managers to control audits and auditors, and to maximize effectiveness of manpower resources. Included information is Audit Number, Audit Requestor Code, Title, Milestone Dates, Audit Cost Summary, Personnel Assigned/Release Dates, and Personnel Manhours Expended.

(5) As Required Personnel Reporting; used by the Staff Manager to determine training needs, promotional eligibility, education and background, professional organization participation, and performance evaluation. Information included is Name, Assigned Offices, Education, Professional Activities Training History (Course Title, Dates Attended), Performance Evaluation, Date of Birth, and Service Computation Data.

(6) Travel Reporting; used by managers to control Temporary Duty Travel, travel costs, and issuances of Blanket Travel Orders.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active records are stored on immediate access disk and magnetic tape maintained within the computer center. Inactive records are maintained on magnetic tape within the computer center. Hard copy records are stored in file cabinets under the control of functional users.

Retrievability:

Records are internally stored by employee SSAN and are selectively retrievable by all data elements as specified in the Categories of Records in the System.

Safeguards:

All records reside in a 'private library' which is not accessible by any other user. All system files are backed up upon creation and upon any update action. A 'Master ID' with unrestricted access to all records in the private library is available only to Main Office MIS Management Personnel. A 'Subordinate ID' which has restricted access, only to pertinent records, is used by field offices. Password protection is afforded at the session and file level. All user ID's are protected by separate validation. Any attempt to circumvent the password validation initiates immediate 'log-off.' Physical control includes limiting password to only authorized personnel. Master ID is located in a secure environment, within the Main Office, and access to the terminal facility is restricted to MIS Management employees who work within the area. Access to records containing personal data is restricted to those who require the records in the performance of their official duties and to the individual who is subject of the record (or his authorized representative). Tape files are maintained in an environmentally secure vault area when not in use. Computer Science Corporation has been cleared to process personal data for Government agencies by General Services Administration on December 11, 1975.

Retention and disposal:

Machine resident records are maintained for 2 years after they become inactive. All inactive records are afforded the same safeguards as active records and are maintained on magnetic tape within the computer center. Machine resident records are destroyed at the end of the 2 year period. Hard copy records are retained until the records are replaced or become obsolete.

System manager(s) and address:

Director, Defense Audit Service, Suite 1200, Commonwealth Building, 1300 Wilson Boulevard, Arlington, Va. 22209. Telephone: 202-697-9108.

Notification procedure:

Written or personal request for information should be addressed to the System Manager.

Record access procedures:

Procedures for gaining access by an employee/previous employee to his/her records may be obtained from the System Manager. Written request for information should contain the full name of the employee/past employee and Social Security Account Number. For personal visits, the employee should be able to identify himself/herself with Defense Audit Service Identification Card. Past employees should be able to identify himself/herself with Social Security Card and one other corroborating personal identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Official Personnel Folder and other personnel documents, activity supervisors, applications and forms completed by the individual.

Systems exempted from certain provisions of the act:

None.

DATSD01

System name:

Files of Personnel Evaluated for Presidential Support Duties

System location:

Primary System-Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, DC 20301

Decentralized Segments-Designated security offices within OSD, OJCS, the Services, and service units having Presidential support duties

Categories of individuals covered by the system:

Active duty military personnel, DoD civilian employees, and DoD contractor personnel nominated for assignment to Presidential support duties

Categories of records in the system:

Nomination files of personnel nominated for assignment to Presidential support duties. Files include reports of background investigations conducted by the Defense Investigative Service or other federal government agencies, medical and commander's evaluations, and a forwarding memorandum from the originating agency summarizing the case and making recommendations.

Quarterly reports of personnel within the Presidential support program submitted by each agency involved in the program. Reports contain two parts, an alphabetical listing of those persons currently approved for Presidential support and an alphabetical listing of those persons terminated during the current quarter.

Card file of all personnel (active and inactive) in the Presidential support program. Card includes name, grade, Social Security Number, organization, dates of investigations, and the dates of forwarding action from the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, to the Military Assistant to the President, and then back to the originating agency.

Authority for maintenance of the system:

Title 10, US Code, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Nomination files are collected to evaluate the background, character, and qualifications of persons nominated for assignment to Presidential support duties. Files are reviewed within the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, forwarded to the Military Assistant to the President, returned to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, and then returned to the originating agency.

Quarterly reports are required to insure that only those persons who have been properly cleared are utilized in the Presidential support program. Reports are received in two copies, one is retained in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, and one is forwarded to the Military Assistant to the President.

Card files provide a complete reference capability of all personnel involved in the Presidential support program. They are used to identify the unit of assignment of each individual and to provide a cross-reference to the dates that the corresponding nomination file was acted upon. From these dates, the appropriate forwarding memorandum can be located.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; cards in card files.

Retrievability:

Nomination folders are not filed by the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Quarterly reports are filed according to the originating agency.

Card files are filed alphabetically by last name of individual considered for Presidential support duties.

Safeguards:

Nomination folders are afforded appropriate classified protection at all times and stored in safes authorized for storage of material up to Top Secret.

Quarterly reports are afforded appropriate classified protection at all times and stored in safes authorized for storage of material up to Top Secret.

Card files are stored in metal file cabinets in a locked room.

All records are accessible only to authorized personnel, who are properly trained and cleared on a strict need-to-know basis.

Retention and disposal:

Nomination files are returned to originator upon selection/nonselection.

Quarterly reports are retained for six months and then destroyed.

Card files are maintained during the entire period an individual is cleared in the program; inactive cards are maintained at least five years after termination.

System manager(s) and address:

Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D.C. 20301.

Notification procedure:

Requests from individuals should be addressed to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D.C. 20301. Visits are limited to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Written requests for information should contain the full name of individual, Social Security Number, and unit of assignment within the Presidential support program.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, military identification card, or civilian employee or building access identification card.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:

Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense
Room 3E941
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-0028

Contesting record procedures:

The Office of the Special Assistant to the Secretary and Deputy Secretary of Defense may be contacted for rules for access and contesting contents of records and appealing initial determinations by the individual.

Record source categories:

Nomination files are submitted by the agency at which the individual is nominated for assignment to Presidential support duties.

Quarterly reports are submitted by each agency with a Presidential support mission.

Card files are originated in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, extracting pertinent information from the nomination folders.

Systems exempted from certain provisions of the act:

NONE

DATSD02

System name:

Files of Periodic Management Assessments of certain Key Management Personnel and in DoD

System location:

Primary Office - Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D.C. 20301

Categories of individuals covered by the system:

Active Presidential appointees in the three Services (Assistant Secretaries and equivalents) and Deputy Assistant Secretaries or equivalents in the Office of the Secretary of Defense.

Categories of records in the system:

Brief descriptive statements of how well the individual is carrying out assigned function and meeting management objectives.

Authority for maintenance of the system:

Title 10, US Code, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are developed for specific use of Secretary or Deputy Secretary of Defense to assist them in performing internal management responsibilities. Purpose is to enable them to gauge how well key management personnel are performing, particularly those with whom they may not have day to day access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

File folders filed by Service or Office of the Secretary of Defense function.

Safeguards:

Files are protected at all times and stored in safe authorized for storage material up to top secret. Records are accessible only to authorized personnel in the Office of the Special Assistant and to the Secretary and Deputy Secretary of Defense.

Retention and disposal:

Active files retained during tenure of Secretary and Deputy Secretary. Files will then be destroyed.

System manager(s) and address:

Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Notification procedure:

Requests from individuals should be addressed to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D.C. 20301. Visits are limited to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Written requests for information should contain the full name of the individual and social security number.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, building access identification card, etc.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:

The Special Assistant to the Secretary and Deputy Secretary of Defense
Room 3E921
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/695-6705

Contesting record procedures:

The Office of the Special Assistant to the Secretary of Defense may be contacted for rules for access and contesting contents of records and appealing initial determinations.

Record source categories:

Activity files are originated in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense by personal interviews with Service Secretaries and Under Secretaries and Assistant Secretaries of Defense, or equivalents.

Systems exempted from certain provisions of the act:

NONE

DATSD03

System name:

Files of Personnel Evaluated for Non-Career Employment in DoD

System location:

Primary Office - Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D.C. 20301.

Categories of individuals covered by the system:

Active and inactive non-career employees within DoD, personnel within and outside DoD seeking non-career employment, consultants or members of committees employed within DoD.

Categories of records in the system:

Personnel files consist of resumes, forwarding correspondence between internal offices within DoD, transmittal correspondence from individuals, industry, other departments and agencies, and the Executive/Legislative Branch of the Federal government. Correspondence consists of requests for employment or recommendations of others for employment for non-career positions, and memoranda confirming telephonic queries.

Card files consist of DoD consultants or members of committees, home and business addresses, and approval dates.

Authority for maintenance of the system:

Title 10, US Code, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are collected to evaluate the qualifications of persons requesting non-career employment or persons who have been recommended by others for non-career employment within DoD. Files are reviewed from time to time in searching for qualified candidates for non-career executive level positions within DoD. Files are reviewed by authorized personnel within the immediate Office of the Secretary of Defense, and other executive level offices of the DoD Files of candidates are sent to the White House for clearance of non-career positions. Files of current non-career employees are sent to the White House for review from time to time for consideration for other possible employment.

Card files are used to record an employee's consultantships or memberships, home and business addresses, and dates of approval.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; cards in card files.

Retrievability:

Files folders and card files filed alphabetically by last name of individual.

Safeguards:

Files are afforded appropriate protection at all times and stored in safes authorized for storage of material up to top secret. All records are accessible only to authorized personnel, who are properly trained.

Retention and disposal:

Active files are retained as long as an individual is employed within DoD. Inactive files are screened upon termination of employment with DoD to determine their retention value for possible future non-career employment, i.e., some files are destroyed upon termination of employment while other files may be retained for an indefinite period depending on the background and experience of individual.

Card files are maintained during the entire period an individual is serving the DoD as a consultant or member of a committee; inactive cards are maintained at least five years after termination.

System manager(s) and address:

Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Notification procedure:

Requests from individuals should be addressed to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, Washington, D. C. 20301. Visits are limited to the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

Written requests for information should contain the full name of the individual and social security number.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, building access identification card, etc.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:

The Special Assistant to the Secretary and Deputy Secretary of Defense
Room 3E-941
Pentagon Building
Washington, D. C. 20301
Telephone: Area Code 202/695-4221

Contesting record procedures:

The Office of the Special Assistant to the Secretary and Deputy Secretary of Defense may be contacted for rules for access and contesting contents of records and appealing initial determinations.

Record source categories:

Personnel files are originated in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, with information that has been referred by others or applicants for non-career positions.

Card files are originated in the Office of the Special Assistant to the Secretary and Deputy Secretary of Defense, extracting pertinent information from resumes and dates of actions taken concerning employment with DoD.

Systems exempted from certain provisions of the act:

NONE

DCOMP 01

System name:

Personnel Roster

System location:

Primary System-Air Force Data Service Center, Room 1A658, Pentagon, Washington, D.C. 20301

Decentralized-Administrative Office, OASD(C).

Categories of individuals covered by the system:

All civilian and military assigned to the Assistant Secretary of Defense (Comptroller) with the exception of the Offices of Deputy Assistant Secretary (Administration) and Deputy Assistant Secretary (Security Policy).

Categories of records in the system:

System contains personnel social security number, name, job series, grade, step, position number, date of birth, date of grade, date of step, service computation date, position title, duty description, room number, office telephone, area code, home telephone.

Authority for maintenance of the system:

US Code 10, 136(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Assistant Secretary of Defense (Comptroller) and the Deputy Assistant Secretaries (Program/Budget), (Management Systems) and (AUDIT) as rosters for their personnel and for information on their personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts in binder.

Retrievability:

Filed by assigned office code.

Safeguards:

Buildings employ security guard. Offices are locked.

Retention and disposal:

Data is updated every quarter with personnel changes. The old computer printouts are destroyed. The data is never moved to the Federal Records Center, Federal Archives and Records Centers, National Archives or other designated depository.

System manager(s) and address:

Assistant for Administration, Assistant Secretary of Defense (Comptroller), the Pentagon, Washington, D.C.

Notification procedure:

Information on personnel will not be released from this record to the general public. All the information in this record is in the Personnel File, OASD (Administration) Personnel Office and may be obtained there.

Record access procedures:

Requests from individuals should be addressed to: Assistant for Administration, OASD(C), Room 3D839, Pentagon, Washington, D. C. 20301.

Contesting record procedures:

Contest to roster may be filed with Assistant for Administration, OASD(C), Room 3D839, Pentagon, Washington, D.C. 20301.

Record source categories:

Roster Contents obtained from Personnel File Office Secretary Defense, Personnel Data.

Systems exempted from certain provisions of the act:

NONE

DCOMP MS01

System name:

Training Records.

System location:

Primary System - Office of the Deputy Assistant Secretary of Defense (Management Systems)(ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D. C. 20301.

Decentralized Segments - Four Management Systems Directorates.

Categories of individuals covered by the system:

All personnel in ODASD(MS).

Categories of records in the system:

File contains name, birthdate, service computation date, grade, training completed since 6-30-72, and training desired.

Authority for maintenance of the system:

10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by the DASD(MS), his Principal Assistant, and Directors for planning, training of ODASD(MS) personnel.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in looseleaf folder.

Retrievability:

Filed by Directorate.

Safeguards:

Records are kept in locked office with access available only to authorized personnel.

Retention and disposal:

Files are active and are kept current. Out-of-date material disposed of periodically.

System manager(s) and address:

DASD (Management Systems), Room 3E831, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon
Washington, D. C. 20301
Telephone: 202-695-3424

Record access procedures:

Requests from personnel should be addressed to Office of the Assistant Secretary of Defense (Comptroller), ODASD(MS), Room 3E831, Pentagon, Washington, D. C. 20301, including personal identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Personnel questionnaire responses and SF 170.

Systems exempted from certain provisions of the act:

None

DCOMP MS02

System name:

Personnel Leave Schedule

System location:

Primary System-ODASD(Management Systems)
Decentralized Segments-Six MS Directorates

Categories of individuals covered by the system:

All personnel in ODASD(MS)

Categories of records in the system:

File contains name and dates of anticipated future leave

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by the DASD, his Principal Assistant and Directors for leave administration within the management responsibilities of the ODASD(MA)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The records are maintained in the Office of the Directors or by the Secretary of the Director. Copies are often provided to all personnel concerned.

Retrievability:

Records are short and all entries are readily apparent.

Safeguards:

Records are kept in desk of Director or his secretary except in one Division and one directorate which posts on wall in secretary's office.

Retention and disposal:

Files are discarded when no longer useful.

System manager(s) and address:

The DASD Management Systems, Room 3E831, Pentagon Building, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon Building
Telephone: Area Code 202/695-3424

Record access procedures:

Requests from personnel should be addressed to his immediate supervisor.

Contesting record procedures:

The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Roster of employees and employee response to request for vacation dates.

Systems exempted from certain provisions of the act:

NONE

DCOMP MS03

System name:

Personnel Records

System location:

Primary System - Office of the Deputy Assistant Secretary of Defense (Management Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D.C. 20301.

Decentralized Segments - Four Management Systems Directorates.

Categories of individuals covered by the system:

All personnel in ODASD(MS).

Categories of records in the system:

File contains name, birthdate, social security number, veteran's preference, tenure group, service computation date, retirement, FEGLI, education, previous employment, additional skills and awards, current employment record within MS, grade.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by the DASD(MS), his Principal Assistant, and Directors for personnel administration within the management responsibilities of ODASD(MS).

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Record card in KARDEX file; paper records in file folder.

Retrievability:

Filed alphabetically by last name of personnel.

Safeguards:

Records are kept in safe files with access available to only authorized personnel.

Retention and disposal:

Files are active and are kept current to reflect current personnel situation. Out-of-date material is disposed of periodically.

System manager(s) and address:

DASD (Management Systems), Room 3E831, Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon
Washington, D.C. 20301
Telephone: 202-695-3424

Record access procedures:

Requests from personnel should be addressed to Office of the Secretary of Defense, ODASD(MS), Room 3E831, Pentagon, Washington, D.C. 20301, including personal identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

DD Form 2515, ODASD(MS) personal questionnaire responses; personnel action forms; SF 171.

Systems exempted from certain provisions of the act:

None

DCOMP MS04

System name:

Civilian Pay time and Attendance Report.

System location:

Primary System - Office of the Deputy Assistant Secretary of Defense (Management Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D. C. 20301.

Decentralized Segments - Four Management Systems Directorates.

Categories of individuals covered by the system:

All personnel in ODASD(MS).

Categories of records in the system:

Contains employee's name, organization code, employee's number, social security number, pay period, hours worked this pay period (regular, night differential and overtime, holiday and compensatory by day and pay period), leave taken this pay period (annual, sick, compensatory, AWOL, LWOP/SUSP and other by day and pay period), time of absence each day, remarks, employee certification of sick leave, employee initials for leave taken, supervisors' signature and extension for certification.

Authority for maintenance of the system:

Section 112A of Budget and Accounting Procedure Act of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by the Department of the Army to prepare payrolls, employee checks, and earnings and leave statements.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards maintained in envelopes/file folders are stored in timekeeper's official file cabinets.

Retrievability:

Maintained in sequence by employee's last name. Employee card is selected to post hours of leave taken and hours worked each pay period.

Safeguards:

Cards are maintained and used by officially authorized timekeepers and are kept in secured filing facilities.

Retention and disposal:

Exception data is posted as it occurs and the complete posting and certification is accomplished at the end of the pay period. Completed certified cards are hand carried by each timekeeper to ODASD(MS) office. The cards are then forwarded to the Personnel Data Branch.

System manager(s) and address:

DASD (Management Systems), Room 3E831, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon
Telephone: 202-695-3424

Record access procedures:

Requests from personnel should include personal identification and be addressed to: Office of the Deputy Assistant Secretary of Defense (Management Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller)(OASD(C)), Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Employees' presence on the job; leave approval (verbal or documented); overtime approval memoranda; physician certificate; and official holidays.

Systems exempted from certain provisions of the act:

None

DCOMP MS05

System name:

Request for Overtime Authorization.

System location:

Primary System - Office of the Deputy Assistant Secretary of Defense (Management Systems)(ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D. C. 20301.

Decentralized Segments - Four Management Systems Directorates

Categories of individuals covered by the system:

All personnel in ODASD(MS).

Categories of records in the system:

Contains requesting organization addressee, request number, date of request for pay period, organizational elements, hours requested (overtime, holiday, compensatory), hours worked (overtime, holiday, compensatory), total hours justification (employee's name, social security number, hours requested), requesting official and data, programmed overtime, quarter, fiscal year, requested/used to date, balance, approved/ disapproved, approving officer and date.

Authority for maintenance of the system:

10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by the DASD(MS), his Principal Assistant, and Directors to justify and approve overtime compensation for ODASD(Mangement Systems) employees.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Copies maintained in file folders are stored in timekeeper's official file cabinet.

Retrievability:

Maintained in sequence by pay period. Employees for which overtime is requested are listed in the justification section of each form.

Safeguards:

Overtime authorization requests are maintained and used by officially authorized timekeepers and are kept in secured filing facilities.

Retention and disposal:

These requests (copies) are maintained for the entire leave year. The approved originals are handcarried along with the Civilian Pay Time and Attendance Reports by each timekeeper to ODASD(MS) office from where they are then forwarded to the Personnel Data Branch. Disposition of each timekeeper's file folder is made at the beginning of each new leave year.

System manager(s) and address:

DASD(Management Systems), Room 3E831, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon
Washington, D. C. 20301
Telephone: 202-695-3424

Record access procedures:

Requests from personnel should include personal identification and should be addressed to: Office of the Deputy Assistant Secretary of Defense (Management Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller)(OASD(C)), Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Initialed by Supervisors and Directors to justify overtime work for employee to accomplish peak and excessive workloads.

Systems exempted from certain provisions of the act:

None

DCOMP MS06

System name:

Time and Attendance Report.

System location:

Primary System - Office of the Deputy Assistant Secretary of Defense (Management Systems)(ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D. C. 20301.

Decentralized Segments - Four Management Systems Directorates.

Categories of individuals covered by the system:

All personnel in ODASD(MS).

Categories of records in the system:

Contains employee name, social security number, pay period, hours worked this pay period (regular, night differential, overtime, holiday, compensation by day and pay period), leave taken this pay period (annual, sick, compensatory, AWOL, LWOP/ SUSP and other by day and pay period).

Authority for maintenance of the system:

10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Used as an office record of employees time and attendance.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in a notebook and filled in timekeeper's official file cabinets.

Retrievability:

Filed by pay period. Each report is in sequence by employee's last name.

Safeguards:

The notebooks are maintained in a file cabinet with access available only to authorized personnel.

Retention and disposal:

These records are maintained for the leave year. Disposition of the yearly records is made at the beginning of each new leave year.

System manager(s) and address:

DASD(Management Systems), Room 3E831, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
DASD(MS)
Room 3E831
Pentagon
Telephone: 202-695-3424

Record access procedures:

Requests form personnel should include personal identification and be addressed to: Office of the Deputy Assistant Secretary of Defense (Management Systems)(ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller)(OASD(C)), Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The Time and Attendance Report is posted from Civilian Pay Time and Attendance Reports, MDW, FINW Form 46 TEST (Rev) 1 Dec 74.

Systems exempted from certain provisions of the act:

None

DCOMP MS07

System name:

Classified Container Custodian Data, SD 411.

System location:

Decentralized Segments - Four Management Systems Directorates, Office of the Deputy Assistant Secretary of Defense (Management

Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller) (OASD(C)), Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Names of three individuals responsible for each classified container.

Categories of records in the system:

Contains name, address, and telephone number.

Authority for maintenance of the system:

10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by security personnel or counterintelligence personnel to contact the individuals in the event classified container is found unsecured.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The form for each classified container is attached inside the front of combination drawer or top drawer.

Retrievability:

Data on name, address, or telephone number may be retrieved only if classified container is open.

Safeguards:

Information is in locked containers; can only be accessed if classified containers are left open.

Retention and disposal:

Only latest applicable form is affixed to the classified container, outdated forms are destroyed.

System manager(s) and address:

Each MS Directorate having custody of safes.

Notification procedure:

Information may be obtained from:
Security Officer
ODASD (Management Systems)
Room 4B915
Pentagon
Washington, D. C.

Record access procedures:

Requests should be addressed to Security Officer, ODASD (Management Systems), Room 4B915, Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Individual responsible for each classified container.

Systems exempted from certain provisions of the act:

None

DCOMP MS08

System name:

List of personnel and security clearances

System location:

Decentralized Segments - Four Management Systems Directorates, Office of the Deputy Assistant Secretary of Defense (Management Systems) (ODASD(MS)), Office of the Assistant Secretary of Defense (Comptroller)(OASD(C)), Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All personnel in the Directorate.

Categories of records in the system:

Contains name, security clearance, date granted.

Authority for maintenance of the system:

10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information used by each Directorate Security Officer as reference of security clearance of each individual.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Typed list in Directorate Security Officer's file.

Retrievability:

Data may be retrieved by name.

Safeguards:

Information is kept in locked classified container.

Retention and disposal:

Only latest list of personnel and access is retained, outdated lists are destroyed.

System manager(s) and address:

Each MS Directorate Security Officer.

Notification procedure:

Information may be obtain from:
Security Officer
ODASD (Management Systems)
Room 4B915
Pentagon
Washington, D. C. 20301

Record access procedures:

Requests should be addressed to Security Officer, ODASD (Management Systems), Room 4B915, Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Knowledge of all individuals assigned to the Directorate/Division.

Systems exempted from certain provisions of the act:

None

DCOMP MS11

System name:

List of Female Employees of OSD/OJCS

System location:

Primary System-Federal Women's Program Coordinator, Room 4B916, Pentagon Building; maintained in automated form - Army Data Center.

Decentralized Segment-Director of Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All civilian female employees of OSD/OJCS.

Categories of records in the system:

File is extract of Civilian Personnel Data File and contains organization identification, employee name, Social Security Number, Series, Grade, Time Basis, Position Title.

Authority for maintenance of the system:

Executive Order 11246/11375, 'Equal Employment Opportunity,' as amended by EO 11478, 'Equal Employment Opportunities in the Federal Government'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defento mail information on Federal Women's Program to OSD/OJCS Women Employees. Federal Women's ProgramCoordinator to locate personnel to recommend to them training and employment opportunities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated list in Federal Women's Program Coordinator Office. Automated tape in Army Data Center.

Retrievability:

Listed by organization.

Safeguards:

List is kept under lock. Only available to Federal Women's Program Coordinator.

Retention and disposal:

Record is new. Revised lists are provided, as required.

System manager(s) and address:

OSD/OJCS Federal Women's Program Coordinator, Room 4B916, Pentagon Building, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from OSD/OJCS Federal Women's Program Coordinator, Room 4B916, Pentagon Building, Washington, D. C. 20301.

Record access procedures:

Written requests for information should contain the full name of the individual, organization assignment and Social Security Number. Visits are limited to Room 4B916, Pentagon Building, Washington, D. C. 20301. For personal visits the individual should provide DoD identification prior to access.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The Central Personnel Data File prescribed by the Civil Service Commission.

Systems exempted from certain provisions of the act:

None

DCOMP PB01

System name:

Personnel File/Biography

System location:

Primary System - Office of Deputy Assistant Secretary of Defense (Program/Budget)/Office of Assistant Secretary of Defense (Comptroller)

Categories of individuals covered by the system:

All civilian personnel assigned to the Office of Deputy Assistant Secretary of Defense (Program/ Budget)

Categories of records in the system:

System contains personnel name, home address, home phone, position title, present grade, date of present grade, date of birth, place of birth, marital status, civil service status, veteran preference, reserve status, social security number, education, experience, special qualifications.

Authority for maintenance of the system:

United States Code, Annotated Title 10 136B

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Deputy Assistant Secretary for personnel information

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in loose leaf binder.

Retrievability:

Filed chronologically and by Directorate.

Safeguards:

Building employs security guard. Binder is stored in safe.

Retention and disposal:

Data is updated with personnel changes. Data are destroyed through normal trash disposal. The data is never moved to the Federal Records Center, Federal Archives and Record Center, National Archives or other designated depository.

System manager(s) and address:

Deputy Assistant Secretary (Program/Budget)

Notification procedure:

Information may be obtained from:
ODASD Administration, Personnel Office
Room 3A346
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/697-1759

Record access procedures:

Requests from individuals should be addressed to: Office of Deputy Assistant Secretary (Program/ Budget)/Office of the Assistant Secretary of Defense (Comptroller), Room 3E838, Pentagon, Washington, D.C., 20301

Contesting record procedures:

Contest to file may be filed with Deputy Assistant Secretary of Defense (Program/Budget)/OASD (Comptroller), Room 3E838, Pentagon, Washington, D.C., 20301

Record source categories:

File contents obtained from personnel file Office Secretary of Defense, Personnel Data.

Systems exempted from certain provisions of the act:

None

DCOMP PB02

System name:

Personnel Roster

System location:

Primary System-Office of Deputy Assistant Secretary of Defense (Program/Budget)/Office of the Assistant Secretary of Defense (Comptroller), Directorate for Procurement

Categories of individuals covered by the system:

All civilian personnel assigned to the Directorate for Procurement.

Categories of records in the system:

System contains personnel name, address, phone, name of relative in case of emergency, name and phone of doctor, personal history.

Authority for maintenance of the system:

United States Code Annotated Title 10, 136B.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Director of Procurement for Personnel Information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in loose leaf binder.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guard. Folder is stored in safe.

Retention and disposal:

Data is updated with personnel changes. Data are destroyed through normal trash disposal. The data is never moved to the Federal Records Center, Federal Archives and Record Center, National Archives or other designated depository.

System manager(s) and address:

Director for Procurement

Notification procedure:

Information may be obtained from:
ODASD Administration, Personnel Office
Room 3A346
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/697-1759

Record access procedures:

Requests from individuals should be addressed to: Directorate for Procurement, ODASD (P/B)/ OASD(C), Room 3D883, Pentagon, Washington, D.C. 20301

Contesting record procedures:

Contest to file may be filed with Deputy Secretary of Defense (Program/Budget) Office of Assistant Secretary of Defense (Comptroller), Room 3E838, Pentagon, Washington, D.C. 20301.

Record source categories:

Roster contents obtained from Personnel file, Office Secretary of Defense, Personnel Data and individual personnel.

Systems exempted from certain provisions of the act:

None

DCOMP PB03

System name:

Personnel Roster

System location:

Primary System - Office of Deputy Assistant Secretary of Defense (Program/Budget), Office of Assistant Secretary of Defense (Comptroller) (OASD(C)), Directorate for Research and Development.

Categories of individuals covered by the system:

All civilian personnel assigned to the Directorate for Research and Development.

Categories of records in the system:

System contains personnel social security number, name, date of birth, grade, step, position number, date of grade, date of step, position title, service computation date, veteran's preference, job series, present salary, salary next level.

Authority for maintenance of the system:

United States Code Annotated Title 10, 136B.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Used by the Director for Research and Development for personnel information.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards. Folder is stored in safe.

Retention and disposal:

Data is updated with personnel changes. Data is destroyed by tearing, shredding, or burning.

System manager(s) and address:

Director for Research and Development.

Notification procedure:

Information may be obtained from:
ODASD(Administration), Personnel Office
Room 3A346
Pentagon
Washington, D.C. 20301
Telephone: 202-697-1759

Record access procedures:

Requests from individuals should be addressed to: Directorate for Research and Development, ODASD(P/B), OASD(C), Room 3B857, Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Roster contents obtained from personnel file Office Secretary of Defense, Personnel Data.

Systems exempted from certain provisions of the act:

None

DCOMP PB04

System name:

Personnel Roster

System location:

Primary System - Office of Deputy Assistant Secretary of Defense (Program/Budget), Office of the Assistant Secretary of Defense (Comptroller), Directorate for Program and Financial Control.

Categories of individuals covered by the system:

All civilian personnel assigned to the Directorate for Program and Financial Control.

Categories of records in the system:

System contains personnel name, position title, series/grade, position description number, security classification, age, years of service, veteran's preference.

Authority for maintenance of the system:

United States Code Annotated Title 10, 136B.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Information is used by the Director for Program and Financial Control for personnel information.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in loose leaf binder.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards. Binder is stored in safe.

Retention and disposal:

Data is updated with personnel changes. Data is destroyed by tearing, shredding, or burning.

System manager(s) and address:

Director for Program and Financial Control.

Notification procedure:

Information may be obtained from:
ODASD(Administration), Personnel Office
Room 3A346
Washington, D. C. 20301
Telephone: 202-697-1759

Record access procedures:

Requests from individuals should be addressed to: Directorate for Program and Financial Control, ODASD(P/B), OASD(C), Room 3B872, Pentagon, Washington, D. C. 20301.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Adminsitrative Instruction No. 81.

Record source categories:

Roster contents obtained from personnel file Office Secretary of Defense, personnel data.

Systems exempted from certain provisions of the act:

None

DCOMP SP02

System name:

Industrial Personnel Security Clearance Case Files.

System location:

Primary System-Directorate for Industrial Security Clearance Review (DISCR), Office of the Deputy Assistant Secretary of Defense (Security Policy), ODASD(SP))

Decentralized Segments-Active case files, Eastern and Western Field Offices, DISCR, ODASD(SP); Inactive case files, U.S. Army Investigative Records Repository, Ft. Meade, Maryland.

Categories of individuals covered by the system:

Government contractor employees whose industrial security clearance cases were referred to the ODASD(SP), DISCR, for adjudication under Executive Order 10865 as implemented by DoD Directive 5220.6; these cases pertain only to the individuals who cannot be granted clearance by the Defense Industrial Security Clearance Office (DISCO), Defense Supply Agency (DSA), Columbus, Ohio.

Categories of records in the system:

Alphabetical card index files for identification and location of case files within the DISCR.

Individual case files include general correspondence relating to case, investigative reports prepared by various investigative agencies conducting security clearance investigations, DISCO referral recommendation, determinations of the Screening Board, Examiners and the Appeal Board, DISCR, with implementing documentation, including but not limited to, Statement of Reasons (SOR) issued to individual, his answer to the SOR, transcripts of hearings and exhibits.

DISCR case correspondence files maintained by case number, including case correspondence initiated by DISCR, (excluding the Eastern and Western Field Offices) with individuals, employers, attorneys, congressmen and investigative agencies.

Additionally, correspondence files include copies of Screening Board determinations and Appeal Board determinations from July 1967 to date in anticipation of necessity of furnishing an index and register of administrative determinations under FOIA PL 93-502 Section 552.a(2)(c).

Files of Examiner's determinations from July 1967 to date is being assembled in anticipation of possible necessity of furnishing an index and register of administrative determinations under FOIA, cited above, and pending Supreme Court Case No. 74-489, re: Withholding of U.S. Service Academies Honor and Ethics Code adjudications with names and other identifying information deleted.

DISCR Reader Files including DISCR-initiated correspondence, Screening Board determinations and Appeal Board determinations.

Decentralized Reader File segments of copies of Examiner's determinations and Appeal Board determinations to Department Counsels' Office and Screening Board, DISCR, and Western and Eastern Field Offices.

Chronological correspondence file of letters from assigned trial counsel to individuals, attorneys or counsel, and other Federal Offices for hearing arrangements.

Authority for maintenance of the system:

Executive Order 10865, 'Safeguarding Classified Information Within Industry', dated February 20, 1960, as amended by Executive Order 10909, dated December 7, 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to determine whether it is clearly consistent with the national interest to grant an individual access to classified information.

DISCO, DSA, initiates investigation at request of employer and may grant but not deny clearance.

ODASD(SP), DISCR, determines individual's eligibility for security clearance and notifies the individual, his employer and DISCO, DSA, of final decision.

Department of Justice in cases where individual seeks federal court review of adverse administrative determinations under the Industrial Security Clearance Program.

U.S. Army, JAG, U.S. Army Claims Services, Ft. Meade, Md., in cases where claims for reimbursement are requested by an applicant.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, vertical file cards

Retrievability:

Active files alphabetically by name or by case number.

Inactive files by individual's name, date and place of birth and social security number.

Safeguards:

Records are stored in security combination lock file containers accessible only to DISCR authorized personnel.

Unknown for users other than DISCR.

Retention and disposal:

Pending records management schedule development by OSD Records Management Office.

Primary alphabetical card index file retained permanently in Central Office, DISCR. Alphabetical Index Cards for case control purposes in sub-offices, i.e., Screening Board, Department Counsel's Office, Appeal Board, and Western and Eastern Field Offices retained during active processing of cases and then destroyed.

All Reader Files destroyed within 60 days of issue.

System manager(s) and address:

Deputy Assistant Secretary of Defense (Security Policy), Directorate for Industrial Security Clearance Review, Pentagon, Washington, D.C.

Notification procedure:

Information may be obtained from:
ODASD(SP), DISCR, Room 3D-282, Pentagon, Washington, D.C. 20301.

Record access procedures:

Requests from individuals should be addressed to ODASD(SP), DISCR, Room 3D-282, Pentagon, Washington, D.C. 20301.

Written requests should include the individual's full name, date and place of birth, social security number and notarized signature.

Copies of records requested, subject to statutory exemptions, will be provided after payment of search and copy fees and requester will state his intention to pay fees with request for records.

The records requested and available, subject to statutory exemptions, may be made available to individuals for review at the following locations:

Freedom of Information Agency
Room 3D-282, Pentagon, Washington, D.C.
Administrative Director, Eastern Field Office
26 Federal Plaza, Room 4018
New York, New York 10007
Administrative Director, Western Field Office
1532 Third St., Suite 210, Nicholas Bldg.
Santa Monica, California 90401

Fees for search and additional copying required to comply with statutory exemptions must be borne by the individual requesting the review of the records.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DIS, OSD; DISCO, DSA; individual sources exempted.

Systems exempted from certain provisions of the act:

Statutory 5USC 552(k)(5).

DCOMP SP03

System name:

Administrative Files on Active Psychiatric Consultants to DoD.

System location:

Directorate for Industrial Security Clearance Review (DISCR), Office of the Deputy Assistant Secretary of Defense (Security Policy), (ODASD(SP)).

Categories of individuals covered by the system:

Psychiatric Consultants who have entered into agreement with the Department of Defense to conduct psychiatric examinations of individuals applying for industrial security clearance for access to classified information required in performance of their work for classified Government contractors.

Categories of records in the system:

Records filed alphabetically by last name of psychiatrist consisting of correspondence concerning agreement to conduct psychiatric examinations requested by the Government and initiation and confirmation of security clearance issued to psychiatrists.

Current list of active DoD psychiatric consultants.

Alphabetical card index file for identification and address of active psychiatric consultants.

Authority for maintenance of the system: Executive Order (E.O.) 10865, dated February 20, 1960, as amended by E.O. 10909, entitled 'Safeguarding Classified Information Within Industry.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to maintain record of active psychiatric consultants available to conduct psychiatric examinations of individual applicants for industrial personnel security clearance in convenient geographical areas.

Psychiatric consultants having active professional service agreements with and having been granted security clearance by the DoD are used by DISCR, ODASD(SP), and Industrial Security Clearance Office (DISCO), Defense Supply Agency (DSA), in processing requests for industrial personnel security clearance of individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; vertical file cards.

Retrievability:

Alphabetically by surname.

Safeguards:

Records are stored in security combination locked file cabinets accessible only to DISCR authorized personnel.

Unknown for DISCO.

Retention and disposal:

Pending records management schedule development by OSD Records Management Office.

Records on individual psychiatrists retained for duration of professional services agreement and destroyed when agreement terminated.

System manager(s) and address:

Deputy Assistant Secretary of Defense (Security Policy), Directorate for Industrial Security Clearance Review, Pentagon, Washington, D.C.

Notification procedure:

Information may be obtained from:
ODASD(SP), DISCR

Room 3D-282
Pentagon
Washington, D.C. 20301

Record access procedures:

Requests from individuals should be addressed to ODASD(SP), DISCR, Room 3D-282, Pentagon, Washington, D.C. 20301.

Written requests should include the individual's full name, date and place of birth, and notarized signature.

Copies of records requested will be provided, after payment of search and copy fees, and requester will state his intention to pay fees with request for records.

The records requested may be made available to individuals for review at the following locations:

DISCR, ODASD(SP)
Room 3D-282, Pentagon, Washington, D.C. 20301
Administrative Director, Eastern Field Office
26 Federal Plaza, Room 4018
New York, New York 10007
Administrative Director, Western Field Office
1532 Third St., Suite 210, Nicholas Bldg.
Santa Monica, California 90401

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Copy of Letter of Consent (for security clearance), DSA Form 560a-R; Correspondence with individual psychiatrists.

Systems exempted from certain provisions of the act:

None

DCOMP SP04

System name:

Motions for Discovery of Electronic Surveillance Files

System location:

Primary System--Security Plans and Programs Directorate, Office of the Deputy Assistant Secretary of Defense (Security Policy), ODASD(SP), Washington, D. C. 20301

Decentralized Segments--Office of the Deputy Assistant Secretary of Defense (Administration), ODASD(ADMIN), Washington, D. C. 20301

Categories of individuals covered by the system:

Those individuals and/or organizations on which the Department of Justice has requested information upon which to base their reply to court-approved motions for discovery of electronic surveillance.

Categories of records in the system:

Chronological listing for identification and location of files. Individual case files to include original and subsequent requests from the Department of Justice; file copy of memorandum to the DoD Components directing search of their records, indices, etc.; and copy of DoD response to the Department of Justice.

Authority for maintenance of the system:

Admin. Instruction 15/5

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of response to Department of Justice as well as any subsequent inquiries from that office. Department of Justice response to court-approved motion for discovery.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by case name

Safeguards:

Records are stored in security combination lock file containers accessible only by SP&P personnel.

Retention and disposal:

Records are permanent. They are retained in active file until end of calendar year in which project is completed, held one additional year in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

The Deputy Assistant Secretary of Defense (Security Policy), Security Plans and Programs Directorate, Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
ODASD(SP), SP&P
Room 3C-271
Pentagon
Washington, D. C. 20301
Telephone: Area Code 202/697-3969

Record access procedures:

Requests from individuals should be addressed to: Office of the Deputy Assistant Secretary of Defense (Security Policy), Security Plans and Programs Directorate, Room 3C-271, Pentagon, Washington, D. C. 20301

Written requests for information should contain the full name of the individual, date and place of birth, social security number and notarized signature.

Copies of records requested, subject to statutory exemptions, will be provided after payment of search and copy fees and requester will state his intention to pay fees with request for records.

The records requested may be made available to individuals for review at the following locations:

ODASD (Security Policy)
Room 3C271
Pentagon
Washington, D. C. 20301

Contesting record procedures:

The agency's rule for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Department of Justice formal written inquiries, and internal correspondence necessary to gather information to make replies to such inquiries.

Systems exempted from certain provisions of the act:

NONE

DGC02

System name:

Private Relief Legislation File

System location:

Primary System - Office of the General Counsel, Office of the Secretary of Defense, Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals for whom private relief legislation has been introduced in Congress.

Categories of records in the system:

Private relief legislation files of the Office of the General Counsel, Office of the Secretary of Defense, contain the history of legislation concerns individuals and contains information about them.

Authority for maintenance of the system:

Title 10, U.S. Code, Section 133 and 137

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of the files is by the attorneys in the Office of the General Counsel, Office of the Secretary of Defense and personnel in the Department of Defense.

Purpose of the files is to produce working papers in development of a department position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by name and bill number.

Safeguards:

Stored in metal filing cabinets where they are kept in a locked room.

Retention and disposal:

Files are retained as long as there is an office interest in the legislation after which they are destroyed or retired to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Director, Legislative Reference Service, Office of the General Counsel, Office of the Secretary of Defense, Room 4A948, Pentagon, Washington, D.C. 20301.

Notification procedure:

Written request for information should be addressed to the SYSMANAGER, Director, Legislative Reference Service, Office of the General Counsel, Office of the Secretary of Defense, Room 4A948, Pentagon, Washington, D. C. 20301. Valid proof of identity is required.

Record access procedures:

Procedure for gaining access by an individual to his records may be obtained from the following:

Office of the Assistant General Counsel (Manpower, Health & Public Affairs)
Room 3E977
Pentagon
Washington, D. C. 20301
202-OX7-9657

Contesting record procedures:

Office of the Assistant General Counsel (Manpower, Health & Public Affairs), Office of the Secretary of Defense, Room 3E977, Pentagon, Washington, D.C. 20301 may be contacted to obtain rules for contesting contents of records and appealing initial determinations.

Record source categories:

Information contained in Private Relief Legislation files is obtained from various sources including correspondence with the Legislative Branch and inputs by the components of the Department of Defense.

Systems exempted from certain provisions of the act:

None

DGC03

System name:

General Administrative File

System location:

Primary System - Office of the General Counsel, Office of the Secretary of Defense, Pentagon, Washington, D. C. 20301

Categories of individuals covered by the system:

Individuals who have had certain incidents in their lives come within the purview of the Office of the General Counsel, Office of the Secretary of Defense.

Categories of records in the system:

General administrative files of the Office of the General counsel, Office of the Secretary of Defense, which are used in the performance of the functions of the office. Some of the cases concern individuals and contain information about them. Such cases are filed by the individual's name as these cases relate to the legal problems of the Department of Defense.

Authority for maintenance of the system:

Title 10, U.S. Code, Section 137

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of the files is by the attorneys in the Office of the General Counsel, Office of the Secretary of Defense, and DoD components.

Purpose of the files is to provide information for attorneys in the Office of the General Counsel to aid in solving the various legal problems for the Secretary of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by subject.

Safeguards:

Stored in metal filing cabinets and metal safes depending on classification.

Retention and disposal:

Files are retained as long as there is an office interest in the case then they are destroyed or retired to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Deputy General Counsel, Office of the Secretary of Defense, Room 3E980, Pentagon, Washington, D. C. 20301.

Notification procedure:

Written request for information should be addressed to the SYSMANAGER, Deputy General Counsel, Room 3E980, Pentagon, Washington, D. C. 20301. Valid proof of identity is required as well as the pertinent dates and subject matter which caused the individual's involvement with the office.

Record access procedures:

Procedure for gaining access by an individual to his records may be obtained from the following:

Office of the Assistant General Counsel (Manpower, Health & Public Affairs)
Room 3E977
Pentagon
Washington, D. C. 20301
202-OX7-9657

Contesting record procedures:

Office of the Assistant General Counsel (Manpower, Health & Public Affairs), Office of the Secretary of Defense, Room 3E977, Pentagon, Washington, D. C. 20301 may be contacted to obtain rules for contesting contents of records and appealing initial determinations.

Record source categories:

Information contained in general administrative files is obtained from various sources including correspondence, investigations performed by other agencies and general administrative records of the Department of Defense.

Systems exempted from certain provisions of the act:

None

DHA 04

System name:

Variable Incentive Pay for Medical Officers-Data Management System

System location:

Air Force Data Services Center, Headquarters, United States Air Force, The Pentagon, Washington, D.C. 20330.

Categories of individuals covered by the system:

Military physicians on active duty during the reporting period

Categories of records in the system:

Partial file containing various materials contained in each individuals master personnel record. This system contains SSAN, rank or grade, position held, and information concerning professional education, pay status, and other related information regarding the variable incentive pay programs.

Authority for maintenance of the system:

Title 37, United State Code, Chapter 5, Section 313

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Health Studies Task Force, Office of the Assistant Secretary of Defense (Health Affairs) to meet statutory requirements of Title 37, USC Chapter 5, Section 313.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes in Air Force Data Services Center Tape Library

Retrievability:

By Social Security Number

Safeguards:

Magnetic tapes are maintained by the Air Force Data Services Center with access only by authorized user number.

Retention and disposal:

Magnetic tapes are maintained until expiration of Section 313, Chapter 5, Title 37, USC.

System manager(s) and address:

Chairman, Health Studies Task Force, Office of the Assistant Secretary of Defense (Health Affairs), The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Executive Assistant
Office of the Assistant Secretary of Defense (Health Affairs)
Room 3E172, The Pentagon
Washington, D.C. 20301
Telephone number: 202-697-2115

Record access procedures:

Requests from individuals should be addressed to:
Office of the Assistant Secretary of Defense (Health Affairs)
The Pentagon

Washington, D.C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Central personnel files of the Military Services.

Systems exempted from certain provisions of the act:

None

DISA 01

System name:

ISA TELEPHONE DIRECTORY

System location:

Primary System - Administrative Office, OASD(ISA).

Categories of individuals covered by the system:

Any employee of ISA.

Categories of records in the system:

Directory contains employees' names, office and home phone numbers by organizational element and room number.

Authority for maintenance of the system:

U.S. Code (Annotated) #5 and Federal Personnel Manual, Chapter 293.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal use of all ISA employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Desk-Top.

Retrievability:

Listed alphabetically by name and organization.

Safeguards:

Building employs security guards.

Retention and disposal:

Directory is re-issued quarterly.

System manager(s) and address:

OASD(ISA), the Pentagon, Washington, D.C.

Notification procedure:

Information may be obtained from:
OASD(ISA)
Room 4E821.
Pentagon Building
Washington, D.C. 20301.
Telephone: Area Code 202/697-8126

Record access procedures:

Requests from individuals should be addressed to: OASD(ISA), Room 4E821, Pentagon, Washington, DC 20301.
Written requests for information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from OASD(ISA), Room 4E821, Pentagon, Washington, D.C.

Record source categories:

Information is supplied by the individuals listed.

Systems exempted from certain provisions of the act:

None.

DISA 02

System name:

ISA LOCATOR FILE

System location:

Primary System - Administrative Office, OASD(ISA)

Categories of individuals covered by the system:

All employees of ISA.

Categories of records in the system:

Contains employee names, grades, service no. or SSN, years of service, date of birth, place of birth, home address, home phone no., marital status, number of dependents, security clearance, date of clearance, date reported, reserve status, mobilization designation, and office room and phone number.

Authority for maintenance of the system:

U.S. Code (Annotated) #5 and Federal Personnel Manual, Chapter 293.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal Locator Uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file box - table top.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Building employs security guards. Records are maintained in areas with controlled access to authorized personnel only.

Retention and disposal:

Permanent

System manager(s) and address:

OASD(ISA), Admin. Office, the Pentagon, Washington, D.C.

Notification procedure:

Information may be obtained from:
OASD(ISA)
Room 4E821
Pentagon Building
Washington, D.C. 20301
Telephone: Area Code 202/697-8126

Record access procedures:

Requests from individuals should be addressed to: OASD(ISA), Room 4E821, Pentagon, Washington, D.C. 20301.
Written requests for information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determination may be obtained from OASD(ISA), Room 4E821, Pentagon, Washington, D.C.

Record source categories:

Information is supplied by the individual listed.

Systems exempted from certain provisions of the act:

None

DISA 03

System name:

Organizational Personnel Files and 201 Files

System location:

Administrative Office, OASD(ISA)

Categories of individuals covered by the system:

All military and civilian employees

Categories of records in the system:

Contains individual assignment orders and copies of other personnel actions affecting named individual.

Authority for maintenance of the system:

U.S. Code (Annotated) 5, and Federal Personnel Manual, Chapter 293.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee.

Safeguards:

Building security guards, Mosler safe, controlled access to authorized personnel.

Retention and disposal:

Permanent while assigned to OASD(ISA) then in inactive file for one year.

System manager(s) and address:

OASD(ISA) Administrative Office, Pentagon, Washington, D.C. 20301

Notification procedure:

Information can be obtained from OASD(ISA), Room 4E821, Pentagon, Washington, D.C. 20301.

Record access procedures:

Requests from individuals should be addressed to: OASD(ISA), Room 4E821, Pentagon, Washington, D.C. 20301.
Written requests for information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from: OASD(ISA), Room 4E821, Pentagon, Washington, D.C. 20301.

Record source categories:

Military Services, OSD Military Personnel, Civil Service Commission, OSD Civilian Personnel, State Department.

Systems exempted from certain provisions of the act:

None

DLA01

System name:

Security Clearance File

System location:

Primary System-Office of Research and Administration, Assistant to the Secretary of Defense (Legislative Affairs), Washington, DC 20301.

Categories of individuals covered by the system:

Congressional Staff Personnel.

Categories of records in the system:

Card file listing security clearances for congressional staff personnel.

Authority for maintenance of the system:

Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

When classified material is submitted to Members or committees of Congress, the card file is screened to insure that the person receiving the material is properly cleared.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards.

Retrievability:

Card files are listed alphabetically by last name and committee or Member to whom assigned.

Safeguards:

Afforded appropriate protection at all times.

Retention and disposal:

Kept on personnel only during the time employed by the Congress.

System manager(s) and address:

Office of Research and Administration, Assistant to the Secretary of Defense (Legislative Affairs), Washington, DC 20301.

Notification procedure:

Requests should be addressed to the SYSMANAGER.

Record access procedures:

Procedures for gaining access should be directed to:
Office of Research and Administration, Assistant to the Secretary of Defense (Legislative Affairs).
Room 3D932.
Pentagon Building.
Washington, DC 20301.
Telephone: 202-697-9166.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Certificate of Clearance (SD Form 176) is received from Director for Personnel and Security, Washington, Headquarters Services, Department of Defense.

Systems exempted from certain provisions of the act:

None

DLA02

System name:

Biographic Data File.

System location:

Primary System-Office of Research and Administration for the Assistant to the Secretary of Defense (Legislative Affairs), Washington, DC 20301.

Categories of individuals covered by the system:

Members of Congress

Categories of records in the system:

Biographic data files include date and place of birth, marital status, educational background, military service, voting district, and voting record pertaining to Defense issues.

Authority for maintenance of the system:

Title 10, US Code, Section 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of public background information is helpful to DOD officials meeting Members of Congress on trips; in hearings; and in discussions of problem areas. Knowing the generalized background of the Member is conducive to intelligent discussion of mutual problems.

Purpose-To assist Legislative Liaison officers in presenting material to individual Congressmen, and to aid Defense witnesses in preparing for testimony before Congressional committees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically.

Safeguards:

Stored in locked metal filing cabinet.

Retention and disposal:

Biographic data on incumbent members is maintained for their entire term of office.

System manager(s) and address:

Office of the Assistant to the Secretary of Defense (Legislative Affairs).

Notification procedure:

Written requests for information should be addressed to the SYSMANAGER.

Personal visits are directed to Room 3D932, Pentagon, Washington, DC. Valid proof of identity is required.

Record access procedures:

Procedures for gaining access by an individual may be obtained from the following:
Director, Research and Administration, OATSD(LA).
Room 3D932.
Pentagon Building.
Washington, DC 20301.
Telephone: 202-697-9166.

Contesting record procedures:

The Agency's rules for access to records and for contesting and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Data is gathered from the Congressional Quarterly, Congressional Record, Congressional Director and other printed media pertaining to Members of Congress.

Systems exempted from certain provisions of the act:

None

DMRA&L 01.0

System name:

Teacher Correspondence Files

System location:

Teacher Recruitment Section, Staffing Branch, Office of Dependents Schools, Office of Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), Room 120, Hoffman building, 2461 Eisenhower Avenue, Alexandria, Va. 22331.

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Categories of individuals covered by the system:

Any individual with whom or about whom the Teacher Recruitment Section has correspondence.

Categories of records in the system:

File contains all correspondence received from and responses to individuals writing the Teacher Recruitment Section.

Authority for maintenance of the system:

PL 86-91

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Teacher Recruitment Section - To maintain accurate record of correspondence with individuals making inquiry to Section, any individual records might be transferred to any component of the Department of Defense having a need to know in the performance of official business.

EXTERNAL USERS, USES, AND PURPOSES

Records may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in individual's file folder.

Retrievability:

Filed alphabetically be either the last name of the correspondent or the last name of the employee/applicant the correspondence concerns.

Safeguards:

Building employs security guards, office locked during nonbusiness hours.

Retention and disposal:

Files are retained for three years.

System manager(s) and address:

Director, Office of Dependents Schools, Office of the Assistant Secretary of Defense (MRA&L), Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Chief, Teacher Recruitment Section, DoD
Office of Dependents Schools
Room 120, Hoffman Building
2461 Eisenhower Avenue
Alexandria, Virginia 22331
Telephone: 202-325-0885

Record access procedures:

Requests from individuals should be addressed to: Teacher Recruitment Section, Office of Dependents Schools, Office of the Assistant Secretary of Defense (MRA&L), Pentagon, Washington, D. C. 20301.

Written requests for information should contain full name and address of the individual.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license or other identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Correspondence initiated by the individual or by others on his or her behalf and replies.

Systems exempted from certain provisions of the act:

None

DMRA&L 02.0

System name:

Teacher Application Files.

System location:

Teacher Recruitment Section, Staffing Branch, Personnel Division, DoD, Office of Dependents Schools, Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), Room 120, Hoffman Building, 2461 Eisenhower Avenue, Alexandria, Va. 22331.

Categories of individuals covered by the system:

Any citizen who applies for a position with the DoD Office of Dependents Schools.

Categories of records in the system:

File contains all papers and forms relating to individual's application for employment to include SF 171, Personal Qualifications Statement; DD 1835, DoD Dependents Schools - Application Index; DD 1836, Supplemental Application for Employment with DoD Overseas Dependents Schools; DD 1456, Professional Evaluation Department of Defense Overseas Dependents Schools; DD 1453, Record of Personal Interview; official college transcripts; copy of teaching certificates; copy of birth certificate and correspondence to or concerning applicant.

Authority for maintenance of the system:

PL 86-91

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Teacher Recruitment Section - To determine qualifications, and make selection of candidates for positions with DoD Office of Dependents Schools of selected applicants; to review types of experience, educational background, evaluation of previous employers, professional credentials, interviewer's rating.

Department of the Army - Staff Agencies and Commands to complete processing of hired individuals, to obtain Office of Personnel Management National Agency Check, medical examination, passports, arrange transportation and shipment/storage household goods, and to provide gaining Civilian Personnel Offices necessary documentation for placing individuals on rolls.

Department of the Air Force - Staff Agencies and Commands to complete processing of hired individuals, to obtain Office of Personnel Management National Agency Check, medical examination, passports, arrange transportation and shipment/storage household goods, and to provide gaining Civilian Personnel Offices necessary documentation for placing individuals on rolls.

Department of the Navy - Staff Agencies and Commands to complete processing of hired individuals, to obtain Office of Personnel Management National Agency Check, medical examination, passports, arrange transportation and shipment/storage household goods, and to provide gaining Civilian Personnel Offices necessary documentation for placing individuals on rolls.

Any individual records in a system of records might be transferred to any Component of the Department of Defense having a need to know in the performance of official business.

EXTERNAL USERS, USES, AND PURPOSES

Records may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of applicant.
Cross file by index card by category (Teaching field) of applicant.
Cross file by index card by location of applicant.

Safeguards:

Building employs security guards, office locked during nonbusiness hours. Records are maintained in area accessible only to authorized personnel who are properly screened.

Retention and disposal:

Records are retained for recruitment period (no more than one year).

For nonselected applicants, portions are returned to applicant for future use and portions are destroyed.

Records of selected applicants are forwarded to Department of the Army, Department of the Air Force, or Department of the Navy as appropriate for processing.

System manager(s) and address:

The Director, Office of Dependents Schools, Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics)(OASD(MRA&L)), Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Chief, Teacher Recruitment Section, DoD
Office of Dependents Schools
Room 120
Hoffman Building
2461 Eisenhower Avenue
Alexandria, Virginia 22331
Telephone: 202-325-0885

Record access procedures:

Request from individuals should be addressed to: Teacher Recruitment Section, Office of Dependents Schools, OASD(MRA&L), Washington, D. C. 20301.

Written requests for information should contain the full name and address of the individual.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Former employers, educational institutions, and information supplied by the individual.

Systems exempted from certain provisions of the act:

None

DMRA&L 03.0

System name:

Employer Support File (PLEDGE)

System location:

Primary Location: Air Force Data Services Center, Room 1D132, The Pentagon, Washington, D.C. 20330.

Hard copy roster located at: National Committee for Employer Support of the Guard and Reserve, Room 907, 1117 North 19th Street, Arlington, VA 22209.

Categories of individuals covered by the system:

Self employed individuals, individuals heading companies bearing their names, the pledging officials representing various companies, or staff directors who have pledged to support the National Guard and Reserve components.

Categories of records in the system:

Name, address, geographic location, size, and business of pledging company.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to assist in informing the public and encouraging employers to support the Guard and Reserve.

National Committee for Employer Support of the Guard and Reserve; used to answer inquiries from employees or prospective employees of companies concerning whether a company has pledged to support the Guard and Reserve; used by members of the advisory council to assist Guard and Reserve members who are experiencing difficulties with companies that have pledged; used as a screening tool to prevent re-solicitation of support from employers who have already pledged; used to supply state level organizations' lists of companies in state which have pledged; used to prepare speech and prerelease material mentioning companies that have pledged.

Any individual records in the system may be transferred to any component of the Department of Defense having a need to know in the performance of official business.

Records may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, and civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Computer Tape

Retrievability:

Retrieved by company name, geographic location, or type of business

Safeguards:

Primary location is a TOP SECRET facility.

Hard copy output is accessible to authorized personnel only during working hours; room is locked after hours and building has security guards.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Chairman, National Committee for Employer Support of the Guard and Reserve, Room 907, 1117 North 19th Street, Arlington, VA 22209.

Notification procedure:

Information may be obtained from:
Chairman, National Committee for Employer Support of the Guard & Reserve
Room 907
1117 North 19th Street
Arlington, VA 22209
Telephone: 202-697-6902

Record access procedures:

Requests for information should be addressed to: Chairman, National Committee for Employer Supportof the Guard and Reserve, Room 907, 1117 North 19th Street, Arlington, VA 22209.

Written requests should contain the name of the individual and/or employer, current mailing addressand telephone number.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is supplied by employers who have pledged, from Dunn & Bradstreet, and from Census Data.

Systems exempted from certain provisions of the act:

None

DMRA&L 06.0

System name:

Department of Defense Priority Placement Program (STOPPER LIST)

System location:

Primary Location: Defense Electronics Supply Center, 1507 Wilmington Pike, Dayton, Ohio 45444

Decentralized locations: hard copy rosters/listing supplied every two weeks to all DoD Civilian Personnel Offices world-wide (approximately 500 locations) and to other personnel management activities.

Categories of individuals covered by the system:

Displaced career and career-conditional employees adversely affected by reductions-in-force or transfer of function; overseas nondisplaced career and career-conditional employees being returned to the U.S. All individuals in file must voluntarily initiate entry into the system.

Categories of records in the system:

File contains summary of occupational experience, education, training, age, sex, height and weight,marital status.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to assist displaced employees and overseas returnees in securing employment.

DoD Civilian Personnel Offices - used to assist activities in filling vacant positions and in assisting displaced employees and overseas returnees in obtaining employment.

DoD Activities: short resume of individual's background used in assessing qualifications for vacant positions.

Office of the Deputy Assistant Secretary of Defense, Civilian Personnel Policy - used for statistical analyses of civilian personnel employment trends and patterns and for establishing policy and for planning purposes; informing individuals in system of non-government job opportunities.

Other Federal Agencies: used in filling vacant positions.

Any individual records contained in the system might be transferred to any component of the Department of Defense having the need to know in the performance of official business.

Any record may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic computer tape

Retrievability:

Normally retrievable by occupation and grade.

Safeguards:

The primary location is identified as a secure area; access is through electrically controlled doors and cypher locks; tapes are stored in a vault when not in use.

Retention and disposal:

Records of displaced employees are maintained in the system for one year.

Records of overseas returnees are entered six months prior to return and are maintained until individual is placed in job or leaves the government. Initial input for records is hard copy, which is destroyed after tape record is created.

System manager(s) and address:

Director, Staffing Policies and Programs, Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy), Room 3D281, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from the Department of Defense Civilian Personnel Office where the individual registered to enter the system.

Record access procedures:

Written requests from individuals should be directed to the Department of Defense Civilian Personnel Office where the individual registered to enter the system and should include name and current mailing address and telephone number.

For personal visits, the individual should be able to present to the personnel office some acceptable identification, such as a driver's license or other ID card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The individual must take action to place his record in the system; information entered into the record is provided by the individual in writing or through employment counseling; additional information is obtained from the individual's official personnel file (201 file).

Systems exempted from certain provisions of the act:

None

DMRA&L 07.0

System name:

Department of Defense Overseas Employment Program

System location:

Defense Electronics Supply Center, 1507 Wilmington Pike, Dayton, Ohio 45444.

Categories of individuals covered by the system:

Career and career-conditional employees of the Federal Government and reinstatement eligible employees who desire overseas employment and voluntarily register.

Categories of records in the system:

File contains summary of occupational experience, education, training, age, sex, height and weight,marital status.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system is to provide an automated applicant supply system for use in filling overseas job vacancies.

Department of Defense activities - the system is utilized to fill overseas job vacancies.

Other Federal Agency - the system is utilized to fill overseas job vacancies.

Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy) - used for statistical analyses for policy, planning, and guidance; for evaluation of the effectiveness of the program, and for monitoring of activity compliance with the program.

Any individual records contained in the system might be transferred to any component of the Department of Defense having the need to know in the performance of official business.

Any record may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Computer Tape.

Retrievability:

Retrieval by occupational skill and grade.

Safeguards:

The location is identified as a secure area; access is through electrically controlled doors and cypher locks; tapes are stored in a vault when not in use.

Retention and disposal:

Records remain in the system for one year or until the individual is placed in an overseas position; the individual is notified after eleven months that his registration is about to expire and is given the opportunity to re-register for another year.

System manager(s) and address:

Director, Staffing Policies and Programs, Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy), Room 3D281, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from the Department of Defense Civilian Personnel Office where the individual registered to enter the system.

Record access procedures:

Written requests from individuals should be directed to the Department of Defense Civilian Personnel Office where the individual registered to enter the system and should include name, current mailing address and telephone number.

For personal visits, the individual should be able to present to the personnel office some acceptable identification, such as driver's license or other ID card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information in the file is obtained from the individual, either in writing or through interviews with personnel counselors, and from his official personnel file (201 file).

Systems exempted from certain provisions of the act:

None

DMRA&L 09.0

System name:

Defense Race Relations Institute (DRRI) Student File

System location:

Primary Location - Bldg. 559(MU811) Patrick AFB, Fla. 32925.

Hard copy backup file for students in active status, and for former students, the location is Deputy Director for Special Programs, Defense Race Relations Institute, Patrick AFB, Fla. 32925.

Categories of individuals covered by the system:

All current or former students at the Defense Race Relations Institute.

Categories of records in the system:

Life history summary, name, race, age, military organization, test and examination scores and forms, peer group and instructor ratings, advisor progress reports.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to evaluate the progress of students enrolled at the Defense Race Relations Institute and to create a permanent record of academic accomplishment.

INTERNAL USERS, USES, AND PURPOSES

The Defense Race Relations Institute - Used by advisors in counseling students, to verify attendance and grades to colleges and universities; to select instructors; to make decisions to release students from the program.

Used by students to evaluate their programs.

Any individual records in the system may be transferred to any component of the Department of Defense having the need to know in the performance of official business.

EXTERNAL USERS, USES, AND PURPOSES

Records may be disclosed to law enforcement or investigatory authorities for investigations and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primary file is magnetic computer tape. Backup files are paper records in file folders.

Retrievability:

Files are sequenced alphabetically by last name by class.

Safeguards:

Primary location is a controlled access area. Backup files - storage is in locked file cabinets. Only authorized personnel have access to files.

Retention and disposal:

Permanent.

System manager(s) and address:

Director, Defense Race Relations Institute, Patrick AFB, Fla. 32925.

Notification procedure:

Information may be obtained from:
Director, Defense Race Relations Institute
Patrick AFB, Fla. 32925
Telephone: 305-494-6976

Record access procedures:

Requests from individuals should be addressed to the Director, Defense Race Relations Institute, Patrick AFB, Fla. 32925.

Written requests for information should contain the full name, current address and telephone number, and class of the individual.

For personal visits, the individual should be able to provide some acceptable identification, such as military ID card or driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the individual, student peers, instructors, counselors, and examinations.

Systems exempted from certain provisions of the act:

None

DMRA&L 10.0

System name:

Equal Opportunity Complaint File

System location:

Office of the Deputy Assistant Secretary of Defense (Equal Opportunity), Room 3E319, The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

Any individual who has filed or had filed on his behalf a discrimination complaint.

Categories of records in the system:

The letter or document initiating complaint, directions to services on investigating complaint, services' investigatory report, and copies of response to complainant.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to cause action to be taken on discrimination complaints.

Office of the Deputy Assistant Secretary of Defense (Equal Opportunity) - used to answer queries concerning status or disposition of complaints, for assigning actions and reviewing actions on complaints, and for analyses of trends or patterns in discrimination complaints.

Records in the system may be transferred to any other Department of Defense component having the need to know in the performance of official business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Filed by first letter of last name for service and year.

Safeguards:

Kept in file drawer; building has security guards.

Retention and disposal:

Files are retained for one year in active status, one year in inactive status, and then destroyed.

System manager(s) and address:

Deputy Assistant Secretary of Defense (Equal Opportunity), Room 3E319, The Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Deputy for Plans and Policy
Office of the Deputy Assistant Secretary of Defense (Equal Opportunity)
Room 3E319
The Pentagon
Washington, D.C. 20301
Telephone: 202-695-0107

Record access procedures:

Requests from individuals should be addressed to: Deputy for Plans and Policy, Office of the Deputy Assistant Secretary of Defense (Equal Opportunity), Room 3E319, The Pentagon, Washington, D.C. 20301.

Written requests for information should contain the full name of the individual, Service, current address, and telephone number.

For personal visits, the individual should be able to provide some acceptable identification such as a driver's license or other ID card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and Administrative Instruction No. 81.

Record source categories:

Information contained in the file is obtained from the individual or someone acting on his behalf, from the Services' investigation of the complaints.

Systems exempted from certain provisions of the act:

None

DMRA&L 12.0

System name:

Reserve Components Common Personnel Data System (RCCPDS)

System location:

Air Force Data Service Center, Room 1D167, The Pentagon, Washington, D. C. 20330.

Back-up locations for processing; U.S. Army Management Systems Support Agency, Room BD972, The Pentagon, Washington, D. C. 20310.

W.R. Church Computer Center, Naval Postgraduate School, Monterey, CA 93940.

National Military Command System Support Center, Room BE685, The Pentagon, Washington, D. C. 20331.

Categories of individuals covered by the system:

Any individual currently a member of any Reserve or National Guard component, and retired reservists.

Categories of records in the system:

File contains individual's Social Security Account Number, component, and other personnel information such as race, sex, rank, age, and length of service.

Authority for maintenance of the system:

10 U.S.C. 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to generate official statistics concerning Reserve Forces' strength, gains, losses and characteristics of the force.

Office of the Deputy Assistant Secretary of Defense (Reserve Affairs) - used to generate and disseminate official statistics. Individual records are used to provide aggregate statistical data.

Any individual record contained in the system may be transferred to any other Department of Defense Component having the need-to-know in the performance of official business.

Records may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Records of Federal civilian employees who are reservists may be disclosed to Federal agencies for use in emergency mobilization plan-

ning. Records may be disclosed to the Civil Service Commission concerning pay benefits, retirement deductions, and other information necessary for the Commission to carry out its Government-wide personnel management functions.

Records may be disclosed to the Director, Selective Service System upon official request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic computer tape.

Retrievability:

Records are retrievable by component, rank, age, sex, location, or other attributes, including Social Security Account Number.

Safeguards:

The primary location is a TOP SECRET facility. The U.S. Army Management Systems Support Agency is a TOP SECRET facility. The National Military Command Systems Support Center is a TOP SECRET facility. Tapes located at the W.R. Church Computer Center, Monterey, CA. are stored in a locked cage in machine room, which is a controlled access area; tapes can be physically accessed only by computer center personnel and can be mounted for processing only if the appropriate security code is provided.

Retention and disposal:

Inventory files are current; quarterly history files for the master and transaction files are maintained on a permanent basis.

System manager(s) and address:

Deputy Assistant Secretary of Defense (Reserve Affairs), Room 3C980, The Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:

Assistant Director, Reserve Personnel Program
Office of the Deputy Assistant Secretary of Defense (Reserve Affairs)
Room 3C980
The Pentagon
Washington, D. C. 20301.
Telephone: 202-697-0624.

Record access procedures:

Requests from individuals should be addressed to: Assistant Director, Reserve Personnel Program, Office of the Deputy Assistant Secretary of Defense (Reserve Affairs), Room 3C980, The Pentagon, Washington, D. C. 20301.

Written requests for information should contain the full name, Social Security Account Number, component, and current address and telephone number of the individual.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license, or military or other ID card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Data records are obtained from the six Reserve components.

Systems exempted from certain provisions of the act:

None

DMRA&L 15.0

System name:

Reports of Defense Related Employment.

System location:

Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

Retired or former military officers in grades of major or lieutenant commander or above and former civilian officers and employees of the Department of Defense employed at or above the minimum salary of GS-13, who, during any of the first three years after termination of service or employment with the Department of Defense, are employed at fifteen thousand dollars or more per year by a Defense contractor who, during that year, was awarded contracts by the Department of Defense totaling ten million dollars. Also covered are current officers and employees of the Department of Defense employed at or above the minimum salary level of GS-13, who within the preceding three years were employed by such a Defense contractor.

Categories of records in the system:

Copies of report DD Form 1787 completed by individuals covered by the system and forwarded to the Department of Defense describing their employment with the Department of Defense and with the Defense contractor and a listing showing the names of individuals who submitted completed DD Form 1787.

Authority for maintenance of the system:

The system was established and is maintained as required by Public Law 91-121, section 410, approved November 19, 1969.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are available for public inspection in accordance with the specific terms of section 410(f) of Public Law 91-121. There is no limitation or restriction on use by the public of the information contained in the report.

Section 410 (d) of Public Law 91-121 requires the submission to the President of the Senate and Speaker of the House of Representatives by December 31 of each year of information in the reports submitted by individuals during the preceding Fiscal Year.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In metal file cabinet.

Retrievability:

Alphabetical by name of individual.

Safeguards:

Maintained in unlocked file cabinet when not in use.

Retention and disposal:

No current criteria for disposition of reports.

System manager(s) and address:

The Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), Pentagon, Washington, D.C. 20301.

Notification procedure:

Any individual who desires to know whether a report DD Form 1787 submitted by him is on file may address a letter inquiry to the SYSMANAGER, Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics), Pentagon, Washington, D.C. 20301. Inasmuch as the reports are available for public inspection no proof of identity is required.

Record access procedures:

On request of any individual the reports on file are made available for inspection in the office of the SYSMANAGER, Room 3C980, Pentagon, Washington, D.C.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The individual submitting the DD Form 1787.

Systems exempted from certain provisions of the act:

None

DMRA&L 16.0

System name:

Retired Personnel Master File

System location:

Air Force Data Services Center, Room 1D167, Pentagon, Washington, D. C. 20330.

Categories of individuals covered by the system:

All retired military personnel and survivor beneficiaries, and reservists drawing retainer pay.

Categories of records in the system:

SSAN, birth date, retirement date, pay grade at retirement, amount of retired, survivor, or retainer pay, type of retirment, date of death (in cases of survivor beneficiary records), pension and benefits system elected, Service, years of active service.

Authority for maintenance of the system:

10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Actuary, Office of the Deputy Assistant Secretary of Defense (Military Personnel Policy), used for statistical purposes in estimating retired pay budgets, future retired populations, trends in retirement rates, costs or increases in retired pay; answer Congressional inquiries. U.S. Civil Service Commission to identify accurately retired military personnel who are Federal civilian employees; any individual record in the system may be transferred to any component of the Department of Defense having need to know in performance of official business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape

Retrievability:

Records can be retrieved by SSAN, Service, age, etc.

Safeguards:

The Air Force Data Services Center is a TOP SECRET facility.

Retention and disposal:

Records are retained for eight weeks. Aggregated records produced from the individual record file are retained indefinitely.

System manager(s) and address:

Actuary, ODASD(MPP), Room 2C263, 202-697-1678, The Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from Actuary, ODASD(MPP), Room 2C263, The Pentagon, Washington, D. C. 20301. Telephone: 202-697-1678.

Record access procedures:

Requests from individuals should be addressed to: Actuary, ODASD(MPP), Room 2C263, The Pentagon, Washington, D. C. 20301. Written requests for information should contain the full name, SSAN, and current address and telephone number of the requester. For personal visits, the individual should be able to provide some acceptable identification such as driver's license or military or other ID card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The information is obtained from the Military Departments.

Systems exempted from certain provisions of the act:

None

DMRA&L 17.0

System name:

DoD Overseas Dependent School Teachers Retroactive Pay Project

System location:

DoD Office of Dependents Schools, 2461 Eisenhower Avenue, Alexandria, Virginia 22331.

Categories of individuals covered by the system:

All former DoD Overseas Dependents School teachers who were paid under Public Law 89-391, dated April 14, 1966.

Categories of records in the system:

System is comprised of names, Social Security Numbers, and Dates of Birth of former DoD overseas teachers, and information extracted from their Official Personnel Records which will effect computation of their retroactive pay; and current addresses of former teachers.

Authority for maintenance of the system:

Court Decision in the case called Virginia J. March et al, v. United States of America (Civil Action 3437-70, U.S. District Court, District of Columbia, June 30, 1975) on intent of Public Law 89-391, dated April 14, 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Used by Office of Dependents Schools Back Pay Project workers to compute back pay as it applies to individual teacher; prepare necessary updating for individual's Official Personnel Record, life insurance entitlement where applicable; prepare reports to individual teachers, Treasury, Social Security, Office of Personnel Management, Attorneys for the teachers, and General Accounting Office. Addresses will be used for mailing purposes.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer tapes, computer printouts.

Retrievability:

Social Security Number and name.

Safeguards:

All records are stored under strict control, maintained in spaces normally accessible only to authorized personnel, in cabinets in locked room.

Retention and disposal:

Records will be maintained in this office until all requirements of the judgment and will be destroyed when they are no longer useful.

System manager(s) and address:

Director, DoD Office of Dependents Schools, Office of the Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics).

Notification procedure:

Requests by correspondence should be addressed to Director, DoD Office of Dependents Schools, Attn: Back Pay Project, 2461 Eisenhower Avenue, Room 148, Alexandria, Va. 22331. Telephone: 202-325-0660. Letter should contain the full name and signature of the requester.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the Notification section, above.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Official Personnel Records obtained from Federal Records Center and other agencies currently employing individuals concerned.

Systems exempted from certain provisions of the act:

None

DMRA&L 18.0

System name:

Administrative Files (MRA&L)

System location:

Office of Assistant Secretary of Defense (Manpower, Reserve Affairs and Logistics) (OASD(MRA&L)).

Categories of individuals covered by the system:

All civilian and military personnel assigned or detailed to OASD(MRA&L).

Categories of records in the system:

Files contain name, ceiling space number, position title, position number, GS rating or rank, SSN, date of birth, entered on duty date and projected loss date (for military personnel), education, primary experience area; planned retirement date (if known), recent awards, name of spouse, home address, office and home telephone numbers, records of travel order and payment vouchers

Authority for maintenance of the system:

Various provisions of 10 USC.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control and accomplish administrative personnel actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders
Visible file cards.
Loose leaf binders.
Telephone index containers.

Retrievability:

Filed alphabetically by last name.
Filed by ceiling space number.

Safeguards:

Building employs security guards. Records are maintained in offices that are staffed during all duty hours. Records accessible only to authorized OSD personnel

Retention and disposal:

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Records are retained only for the period of time employee is assigned to OASD(MRA&L). Records are destroyed upon employee's departure from OASD(MRA&L).

System manager(s) and address:

The Administrative Officer, OASD(MRA&L), Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
OASD(MRA&L) (AD)
Room 3E787
Pentagon
Washington, D. C. 20301
Telephone: 202-695-5592.

Record access procedures:

Requests from individuals should be addressed to: OASD(MRA&L)(AD), Room 3E787, Pentagon, Washington, D. C. 20301

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to MRA&L Admin Office, Room 3E787, Pentagon, Washington, D. C. 20301.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified with the records that pertain to him.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Notification of Personnel Actions, SF-50, from the Director for Personnel and Security, Washington Headquarters Services, Department of Defense, OSD SF-171's submitted by individual employees, Notification of Incoming Personnel (military personnel only), Civilian Personnel Staffing Summary supplied by Director for Personnel and Security, Washington Headquarters Services, Department of Defense, T.O. as approved.

Systems exempted from certain provisions of the act:

None

DMRA&L 19.0

System name:

Automated Career Management System (ACMS) DD-M(AR)1456.

System location:

Defense Electronics Supply Center, 1507 Wilmington Pike, Dayton, Ohio 45444.

Categories of individuals covered by the system:

All Department of Defense General Schedule civilian career program employees GS-5 or higher and former employees.

Categories of records in the system:

Name, home and work addresses, Social Security Account Number, educational background, work experience, grade and salary, occupation, age, special qualifications, awards, military reserve status, and supervisory appraisals.

Authority for maintenance of the system:

Title 5, U.S.C., Sections 301 and 302, which authorize Agency Heads to: establish civilian personnel management programs; maintain files and records necessary to operate such programs; and delegate civilian personnel management authorities to subordinate officials.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system provides a list of eligible candidates qualified to file position vacancies normally at GS-13 and higher grade levels and to provide information for program analyses and management.

INTERNAL USERS, USES, AND PURPOSES

All DoD Civilian Personnel Offices and the DoD Components serviced by these offices are required to submit job vacancies to designated occupation series against ACMS for the generation of a list with resumes of qualified candidates for consideration by a selection panel and others.

Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy)-Used for statistical analyses of civilian work force, and management and evaluation of specific employment programs within the Department of Defense.

Any individual records contained in the system might be transferred to any component of the Department of Defense having the need-to-know in the performance of official business.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disc packs.

Retrievability:

Retrievable by occupation, Social Security Account Number, name, specific skills, educational background, or training background.

Safeguards:

The location is identified as a secure area; access is through electrically controlled doors and cypher locks; disc packs are stored in a vault when not in use.

Retention and disposal:

Active records are maintained up to one year after termination of the individual's employment with the Department of Defense, or upon notification that the individual no longer is employed in a position for which registration is required. Inactive records of personnel are retained indefinitely.

System manager(s) and address:

Director of Staffing and Career Management, Office of the Deputy Assistant Secretary of Defense (Civilian Personnel Policy), Room 3D281, Washington, D. C. 20301. Telephone: 202-697-3402.

Notification procedure:

Information may be obtained from the System Manager.

Record access procedures:

Written requests from individuals should be addressed to Director, Centralized Referral Activity, Defense Electronics Supply Center, 1507 Wilmington Pike, Dayton, Ohio 45444.

For personal visits, the individual should be able to provide some acceptable form of identification, such as a driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Data are obtained from record subjects, from their official personnel folders, and from supervisory appraisals.

Systems exempted from certain provisions of the act:

None

DOCHA 01

System name:

Health Benefits File

System location:

Primary System-Directorate of Health Benefits (DHB), OCHAMPUS, DoD, Denver, Colorado 80240.

Decentralized Segment--Office of Appeals and Hearings, OCHAMPUS, DoD, Denver, Colorado 80240.

Categories of individuals covered by the system:

All individuals who seek health care under the Program for the Handicapped as CHAMPUS beneficiaries and/or under the basic program extended hospitalization as CHAMPUS/CHAMPVA beneficiaries.

Categories of records in the system:

Original correspondence with individuals, medical statements, congressional inquiries, medical treatment records, authorizations for care, case status sheets, memos for record, follow-up reports justifying extended care, correspondence with contractors and work-up sheets maintained by case workers, and appeals and hearings case files consisting of transcript and/or other documentation pertaining to reconsiderations or appeals of adverse determinations affecting an individual's benefits under CHAMPUS.

Authority for maintenance of the system:

Title 44, United States Code, section 3101; Title 41, Code of Federal Regulations, Parts 101-1100 et. seq.; Chapter 55, Title 10, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Office of the Civilian Health and Medical Program of the Uniformed Service (OCHAMPUS) uses the information to determine the eligibility of an individual for health care under CHAMPUS/CHAMPVA; to authorized payment of health care claims by CHAMPUS beneficiaries to respond to inquiries from congressional offices made at the request of the individual covered by the system; for referral to the Department of Justice and/or foreign law enforcement agencies for possible criminal prosecution; and for referral to the Secretary of the Department of Health, Education and Welfare and/or the Administrator of the Veterans' Administration consistent with their statutory administrative responsibilities as concerns CHAMPUS/CHAMPVA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed numerically by case number, then alpha, character in seventh digit family participants.

Safeguards:

Fitzsimons Army Medical Center (FAMC) provides security force. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Psychiatric cases are permanent; medical cases are held four years after closure and equipment cases are held two years after closure.

System manager(s) and address:

Director of Health Benefits (DHB), OCHAMPUS, DoD, Denver, Colorado 80240.

Notification procedure:

Information may be obtained from:
OCHAMPUS, DoD
Building 611, First Floor
Denver, Colorado 80240
Telephone: 303-341-8609

Record access procedures:

Requests from individuals should be addressed to: Directorate of Health Benefits (DHB), OCHAMPUS, DoD, Denver, Colorado 80240

Written requests for information should include the full name of the beneficiary, the full name of the sponsor, current address and telephone number. Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

For personal visits, the individual should provide some acceptable identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Records of fiscal intermediaries (FI),contractors, CHAMPUS advisors, all branches of the military service, Congressional inquiries, private physicians, consultants, inquiries made by individuals.

Systems exempted from certain provisions of the act:

None

DOCHA 02

System name:

AR 340-18-9 Medical Care Inquiry Files

System location:

Administrative Services, OCHAMPUS (DOD) Denver, CO 80240

Categories of individuals covered by the system:

Documents reflecting inquiries received from private individuals and Congress for nonprivileged information on such matters as medical treatment received, eligibility for medical care under CHAMPUS. Included are notifications to individuals for approval or termination of treatment, and similar or related documents.

All individuals who seek information concerning health care under the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) and the Civilian Health and Medical Program-Veterans Administration (CHAMPVA).

Categories of records in the system:

Files contain individual inquiries from personnel concerning eligibility under CHAMPUS and replies thereto; Congressional inquiries on behalf of constituents concerning eligibility under CHAMPUS and replies thereto; Files notifying personnel of eligibility or termination of benefits under CHAMPUS

Authority for maintenance of the system:

Public Law 569 - 84th Congress, Chapter 374, 2d Session, H.R. 9429 Dependents' Medical Care Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Office of the Civilian Health and Medical Program of the Uniformed Service (OCHAMPUS) uses the information to establish eligibility for health care under CHAMPUS/CHAMPVA: to respond to an individual's inquiry concerning CHAMPUS/CHAMPVA: to respond to inquiries from Congressional offices made at the request of the individual covered by the system; for referral to the Secretary of the Department of Health, Education and Welfare and/or the Administrator of the Veterans' Administration consistent with their statutory administrative responsibilities as concerns CHAMPUS/CHAMPVA; and for referral to the Department of Justice and/or foreign law enforcement agencies for possible criminal prosecution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of inquirer. No indices are required.

Safeguards:

Buildings are patrolled by military security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed after 6 years. They are retained in active file until end of calendar year in which inquiry occurred, held 5 additional years in inactive files and then destroyed by burning.

System manager(s) and address:

Administrative Services, OCHAMPUS (DOD) Denver, Colorado 90240

Notification procedure:

Information may be obtained from:
Administrative Services (CH.06) OCHAMPUS (DOD) Denver, Colorado 80240
Room 113
Building 618
OCHAMPUS (DOD) Denver, Colorado 80240
Telephone: Area Code 303/341-8800

Record access procedures:

Requests from individuals should be addressed to: Administrative Services, OCHAMPUS (DOD) Denver, Colorado 80240

Written requests for information should contain the full name of the individual, or his military sponsor, current address and telephone number, case number if one has been assigned and the office symbol, on all correspondence received from this office. Visits may be made to the Assistant Chief, Administrative Services (CH.06), Building 618, Fitzsimons Army Medical Center, Denver, Colorado 80240

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, and give some verbal information that could be verified with his 'case' file.

Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Private Physicians, Blue Cross/Blue Shield serving the state in which the medical services were rendered, CHAMPUS Fiscal Administrators, Individual members of The Congress of the United States, CHAMPUS advisors, Hq, DA, Hq. USAF, Hq. USN, Hq, USMC, Hq. USCG, NOAA, FBI, research notes concerning replies to individual inquiries

Systems exempted from certain provisions of the act:

NONE

DOCHA 03

System name:

Health Benefits Preapproval Files

System location:

Primary System - Data Automation Division, Directorate of Management Information Services, Office for the Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS), DoD, Denver, Colorado 80240.

Decentralized Segments-Office of Appeals and Hearings, OCHAMPUS, DoD, Denver, Colorado 80240; Blue Shield of California, P. O. Box 85035, San Diego, California 92138.

Categories of individuals covered by the system:

Eligible beneficiaries of the Civilian Health and Medical Program of the Uniformed Services who have been approved for medical care under the program for the handicapped and/or eligible beneficiaries of the Civilian Health and Medical Program-Veterans Administration (CHAMPVA) who have been approved for extended hospital care.

Categories of records in the system:

File contains an assigned case number, sponsors name, social security account number, current address, military grade or rank and pay status, military branch of service and status; beneficiaries name, address, date of birth, sex, relationship to sponsor; the medical diagnosis code and the approved medical treatment code, the approval period of time, the number of units approved and the estimated unit of cost, providers of care codes and/or name and address of multi-providers, and appeals and hearing case files consisting of hearing transcripts and/or other documentation pertaining to reconsiderations and appeals of adverse determinations affecting on individual's benefits under CHAMPUS.

Authority for maintenance of the system:

44 USC 3101, 41 CFR 101-1100 et seq., Chapter 55, Title 10, USC.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

OCHAMPUS Directorate of Health Benefits (DHB)-For approval of medical care under the provisions of the Program for the Handicapped of CHAMPUS and/or approval for extended hospitalization; to control and review health care management plans for beneficiaries approved for medical care by providers of service.

OCHAMPUS Directorate of Management Information Services-For control and accomplishment of reviews of approvals; to coordinate subject matter clearances for congressional committees and auditors.

The Office of the Civilian Health and Medical Program of the Uniformed Service (OCHAMPUS) uses the information for approval of health care under the Program for the Handicapped; for approval of extended hospital care; to control and review health care management plans of providers of services for individuals approved for health care; to respond to inquiries from congressional offices made at the request of the individual covered by the system; for referral to the Secretary of the Department of Health, Education and Welfare and/or the Administrator of the Veterans Administration consistent with their statutory administrative responsibilities as concerns CHAMPUS/CHAMPVA; and for referral to the Department of Justice and/or foreign law enforcement agencies for possible criminal prosecution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape and disk.

Retrievability:

Information is retrieved by assigned case number, sponsor's social security account number (SSAN), sponsor's or beneficiaries' name, classification of medical diagnosis or medical treatment codes or provider of service code or approval dates or geographical location.

Safeguards:

Records are maintained in areas accessible to authorized personnel. Records are maintained on magnetic tape readable through the medium of OCHAMPUS prepared computer programs. Military policy security and manned 24 hours daily.

Retention and disposal:

Records are permanent. They are maintained on magnetic tape as individual annual files.

System manager(s) and address:

Director, Office for the Civilian Health and Medical Program of the Uniformed Services, ATTN: Director of Management Information Services, Denver, Colorado 80240.

Notification procedure:

Information may be obtained from:
Director of Management Information Services
Office for the Civilian Health and Medical Program of the Uniformed Services
Denver, Colorado 80240
Telephone: 303-341-8005

Record access procedures:

Requests from individual should be addressed to: Director, Office for the Civilian Health and Medical Program of the Uniformed Services, ATTN: Director of Management Information Services, Denver, Colorado 80240.

Written request for information should contain full name of individual, sponsor's social security account number and the visits are limited to Directorate of Management Information Services, OCHAMPUS, Denver, Colorado 80240.

For personal visits, the individual should be able to provide a Uniformed Services identification card and a driver's license or other positive identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Sponsors application, provider of medical care statement.

Systems exempted from certain provisions of the act:

None

DOCHA 04

System name:

AR 340-18-4 Legal Opinion Files

System location:

Office of Legal Counsel, OCHAMPUS (DOD) Denver, CO 80240

Categories of individuals covered by the system:

Individuals who are the subject of inquiries from the individual himself (herself), attorneys, fiscal administrators, hospital contractors, other Government agencies, directorates and offices of OCHAMPUS and Congressional offices concerning such matters as medical treatment, eligibility for medical care under CHAMPUS/CHAMPVA, approval or termination of medical treatment, and similar or related inquiries.

Documents reflecting inquiries received from private individuals, attorneys, fiscal administrators,hospital contractors, other Government agencies, directorates and offices of OCHAMPUS and Congress for nonprivileged information on such matters as medical treatment received, eligibility for medical care under CHAMPUS. Included are notifications to individuals for approval or termination of treatment, and similar or related documents.

Categories of records in the system:

Files contain legal opinions; correspondence between (1) CHAMPUS Manager, (2) Fiscal Administrators, (3) Hospital Contractors, (4) CHAMPUS beneficiaries, (5) sponsors, (6) attorneys (7) directorates and offices of OCHAMPUS, (8) other Government agencies; memorandums for the record and selected documents.

Authority for maintenance of the system:

44 USC 3101, 41 CFR 101-1100 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Legal Counsel to maintain file of legal opinions rendered for use as precedent and for record purposes (1) for record purposes documenting responses to request for legal opinion (2) Office of Legal Counsel and other directorates and offices, OCHAMPUS; (3) for research, precedent and historical purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by subject matter

Safeguards:

Buildings are patrolled by military security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are permanent to be destroyed when superseded, replaced or obsolete.

System manager(s) and address:

Office of Legal Counsel, OCHAMPUS (DOD), Denver, Colorado 80240

Notification procedure:

Information may be obtained from:
Office of Legal Counsel (CH.04) OCHAMPUS (DOD) Denver, Colorado 80240
Room 205
Building 618
OCHAMPUS (DOD) Denver, Colorado 80240
Telephone: Area Code 303/341-8506

Record access procedures:

Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

Requests from individuals should be addressed to: Legal Counsel, OCHAMPUS (DOD) Denver, Colorado 80240

Written requests for information should contain the full name of the individual, or his military sponsor, current address and telephone number, case number if one has been assigned and the office symbol, on all correspondence received from this office. Visits may be made to the Legal Counsel (CH.04) Building 618, Fitzsimons Army Medical Center, Denver, Colorado 80240.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, and give some verbabl information that could be verified with his 'case' file.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Correspondence from persons, agencies and sources listed in RECORD-CATEGORY and oral and written requests initiated by Legal Counsel Office.

Systems exempted from certain provisions of the act:

NONE

DOCHA 05

System name:

Health Facilities File

System location:

Directorate of Health Services, OCHAMPUS (DOD), Denver, Colorado 80240

Categories of individuals covered by the system:

All facilities who seek a provider number for payment for CHAMPUS beneficiaries must have approval as a source of care. Beneficiaries who are the subject of policy or precedent decisions concerning administration of CHAMPUS/CHAMPVA.

Categories of records in the system:

Original correspondence with an individual facility, state authorities and professional consultants; various evaluations, approvals and memos for the record.

Authority for maintenance of the system:

PL 569, 84th Congress, 374, Second Session, H.R. 9429 Dependents Medical Care Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Health Resources Division, to determine the eligibility of a facility as a source of care for CHAMPUS beneficiaries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed numeric by state, then numeric by facility when requesting a provider number.

Safeguards:

FAMC provides security force. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent

System manager(s) and address:

Staff Assistant, OCHAMPUS, DOD, Building 611, First Floor, Denver, Colorado 80240

Notification procedure:

Information may be obtained from OCHAMPUS, DOD, Building 611, First Floor, Denver, Colorado 80240, Telephone: Area Code 303/341-8609.

Record access procedures:

Requests from individuals representing facilities should be addressed to:
Directorate of Health Services (HRD)
OCHAMPUS, DOD
Denver, Colorado 80240

Written requests for information should include the full name of the facility, full name and title of individual requesting information, current address and telephone number.

For personal visits, the individual should provide some acceptable identification.

Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

Contesting record procedures:

OCHAMPUS' rules for contesting contents and appealing initial determination may be obtained from Directorate of Health Services (HED) OCHAMPUS, (DOD) Denver, Colorado 80240

Record source categories:

Records of fiscal agents (FA), contractors, CHAMPUS advisors, all branches of the military service, Congressional inquiries, private physicians, consultants, facilities and research concerning the replies to inquiries made by individuals.

Systems exempted from certain provisions of the act:

NONE

DOCHA 06

System name:

AR 340-18-9 Policy and Precedent Files

System location:

Contract Operations Division, OCHAMPUS (DOD) Denver, Colorado 80240

Categories of individuals covered by the system:

Documents reflecting policy or precedent decisions on CHAMPUS beneficiaries, received from providers of care, medical facilities, professional medical organizations, and CHAMPUS contractors. Limited information on CHAMPUS authorized providers of care, i.e., physicians, psychiatrists, etc.

Categories of records in the system:

Files contain all types of medical benefit decisions on CHAMPUS beneficiaries to include the sponsor's name and SSN and names of family members if related to the questionable benefit. File also contains audit documents and management reports relating to CHAMPUS contractors for the United States, Canada and Mexico.

Authority for maintenance of the system:

Public Law 569 - 84th Congress, Chapter 374, 2d Session, H.R. 9429 Dependents' Medical Care Act.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in files is used by OCHAMPUS personnel for management control and to coordinate questionable benefit areas throughout the program and with CHAMPUS contractors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by subject or by contractor. No indices are required.

Safeguards:

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Buildings are patrolled by military security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed after 6 years. They are retained in active file until end of calendar year in which inquiry occurred, held 5 additional years in inactive files and then destroyed by burning.

System manager(s) and address:

Contract Operations Division, OCHAMPUS (DOD), Denver, Colorado 80240

Notification procedure:

Information may be obtained from Contract Operations Division (CH.18), OCHAMPUS (DOD) Denver, Colorado 80240.

Building 611
OCHAMPUS (DOD) Denver, Colorado 80240
Telephone: Area Code 303/341-8627

Record access procedures:

Requests from individuals should be addressed to: Contract Operations Division, OCHAMPUS (DOD) Denver, Colorado 80240

Written requests for information should contain the full name of the individual, or his military sponsor, current address and telephone number, case number if one has been assigned and the office symbol, on all correspondence received from this office. Visits may be made to the Contract Operations Division (CH.18), Building 611, Fitzsimons Army Medical Center, Denver, Colorado 80240.

For personal visits, the individual should be able to provide some acceptable identification, that is, military identification card, and give some verbal information that could be verified with his 'case' file.

Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Private Physicians, Blue Cross/Blue Shield serving the state in which the medical services were rendered, CHAMPUS Fiscal Administrators, individual members of The Congress of the United States, CHAMPUS Advisors, Hq, DA, Hq, USAF, Hq, USN, Hq, USMC, Hq, USCG, NOAA, FBI, research notes concerning replies to the above individuals or organizations.

Systems exempted from certain provisions of the act:

NONE

DOCHA 07

System name:

Medical Claim History Files

System location:

Primary System - Data Automation Division, Directorate of Management Information Services, Office for the Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS), DoD, Denver, Colorado 80240.

Decentralized Segments - Office of Appeals and Hearings, (OCHAMPUS), DoD, Denver, Colorado 80240; Fiscal Intermediaries/Contractors under contract to OCHAMPUS. Each company listed below maintains claim files on beneficiaries in their respective geographical areas.

Mutual of Omaha Insurance Company, 3301 Dodge Street, Omaha, NB 68131
California Blue Shield, P. O. Box 85020, San Diego, CA 92138
California Blue Shield, P. O. Box 85035, San Diego, CA 92138 (Dental)
Hawaii Medical Service Association, P. O. Box 860, Honolulu, HI 96808
Maryland Blue Shield, Inc., 700 East Joppa Road, Towson, MD 21204
Blue Shield of Massachusetts, Inc., P. O. Box 2194, Boston, MA 02106
Blue Shield of Michigan, 600 Lafayette East, Detroit, MI 48226
Blue Cross/Blue Shield of Mississippi, Inc., P. O. Box 1043, Jackson, MS 39205
Dikewood Industries, Inc., 1009 Bradbury Drive, S.E., University Research Park, Albuquerque, New Mexico 87106
Blue Cross/Blue Shield of North Carolina, P. O. Box 2291, Durham, NC 27702
Blue Shield of Pennsylvania, Blue Shield Building, Box 65, Camp Hill, PA 17011
Blue Cross of Rhode Island, One Weybosset Hill, Providence, RI, 02901
Blue Cross/Blue Shield of Tennessee, Blue Cross Building, 801 Pine Street, Chattanooga, TN 37402
Blue Cross of Southwestern Virginia, P. O. Box 13828, Roanoke, VA 24001
Wisconsin Physicians Service, P. O. Box 1787, Madison, WI 53701

Categories of individuals covered by the system:

Eligible beneficiaries of the Civilian Health and Medical Program of the Uniformed Services (Dependents of Active Duty Members of the Uniformed Services, retired members of the Uniformed Services and dependents of retired or deceased members of the Uniformed Services) eligible beneficiaries of the Civilian Health and Medical Program of the Veterans Administration (spouse or child of a veteran who has a total disability, permanent in nature, resulting from a service-connected disability or surviving spouse or child of a veteran who has died as a result of a service-connected disability) who received benefits under the provisions of the program.

All individuals who seek health care under the Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) and the Civilian Health and Medical Program-Veterans Administration (CHAMPVA).

Categories of records in the system:

File contains sponsor's Social Security Account Number/Service Number, branch of service, status (active duty, retired or deceased), beneficiary's last name, initials, age, sex, relationship to sponsor, type of costs and date of medical care provided, provider of care identification, and appeals and hearing case files consisting of hearing transcripts and/or other documentation pertaining to reconsiderations or appeals of adverse determinations of benefits under CHAMPUS.

Authority for maintenance of the system:

Title 44, United States Code 3101; Title 41, Code of Federal Regulations, Parts 101-1100 et. seq.; Chapter 55, Title 10, United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Office of the Civilian Health and Medical Program of the Uniformed Services and CHAMPUS contractors use the information to control and process medical claims for payment; for control and approval of medical treatments and interface with providers of health care; to control and accomplish reviews of utilization; for review of claims related to possible third party liability cases and initiation of recovery actions; for referral to Peer Review Committees or similar professional review organizations to control and review providers of health care; for disclosure to third party contacts without the consent of the individual to whom the information pertains in situations where the party to be contacted has, or is expected to have, information necessary to establish the validity of evidence or to verify the accuracy of information presented by the individual concerning the individual's egibility to benefits under CHAMPUS/CHAMPVA, the amount of benefit payments, any review of suspected abuse or fraud, or any concern for program integrity or quality appraisal; for the issuance of deductible certificates, to respond to inquiries from congressional officies made at the request of the individual covered by the system; for referral to the Secretary of the Department of Health, Education and Welfare and/or the Administrator of the Veterans Administration consistent with their statutory administrative responsibilities under CHAMPUS/CHAMPVA; for referral to the Department of Justice and/or foreign law enforcement agencies for investigation and possible criminal prosecution; and, for referral to the Department of Justice for representation of the Secretary of Defense in civil actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tape and disc.

Retrievability:

Information is retrieved by sponsor's Social Security Account Number (SSAN), beneficiaries last name, classification of medical diagnosis or procedure codes or geographical location of care provided and selected utilization limits.

Safeguards:

Records are maintained in areas accessible to authorized personnel. Records are maintained on magnetic tape readable through the medium of OCHAMPUS prepared computer programs. Military Policy Security and manned 24 hours daily.

Retention and disposal:

Records are permanent. They are maintained on magnetic tape as individual annual files.

System manager(s) and address:

Director, Office for the Civilian Health and Medical Program of the Uniformed Services, ATTN: Director of Management Information Services, Denver, Colorado 80240.

Notification procedure:

Information may be obtained from:
Director of Management Information Services
Office for the Civilian Health and Medical Program of the Uniformed Services
Denver, Colorado 80240
Telephone: 303-341-8005

Record access procedures:

Requests from individual should be addressed to: Director, Office for the Civilian Health and Medical Program of the Uniformed Services, ATTN: Director of Management Information Services, Denver, Colorado 80240.

Written requests for information should contain full name of individual, sponsor's Social Security Account Number and personal visits are limited to Director of Management Information Services, OCHAMPUS, Denver, Colorado 80240. Written requests for information from medical records shall include the name and address of a physician who would be willing to receive the medical record and, at the physician's discretion, inform the individual covered by the system of the contents of that medical record.

For personal visits, the individual should be able to provide a Uniformed Services Identification Card and a driver's license or other positive identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

CHAMPUS Medical Claims Forms, private physicians, hospitals, and other sources of care.

Systems exempted from certain provisions of the act:

None

DOCHA 08

System name:

DoD Health Services Enrollment/Eligibility System.

System location:

Tri-Service Medical Information System (TRIMIS) Project Office, Pentagon, Washington, D. C. 20301, and various contractual facilities.

Categories of individuals covered by the system:

Active duty Armed Forces personnel and their dependents; retired Armed Forces personnel and their dependents; surviving dependents of deceased active duty or retired personnel; Coast Guard personnel and their dependents; Public Health Service (PHS) personnel (Commissioned Corps) and their dependents; and National Oceanic and Atmospheric Administration (NOAA) employees (Commissioned Corps) and their dependents.

Categories of records in the system:

File contains beneficiary's name, Service Number of sponsor, enrollment number, relationship of beneficiary to sponsor, residence address of beneficiary (includes zip code), date of birth of beneficiary, sex of beneficiary, branch of service of sponsor, dates of eligibility, marital status and dates of beneficiary, number of dependents of sponsor, primary unit duty location of sponsor, race and ethnic origin of beneficiary, occupation of beneficiary, rank/pay grade of sponsor.

Authority for maintenance of the system:

Chapter IV, Title 10, United States Code, Section 136, 1969 Pub. L. 91-121, section 404(A)(2), 'Establishment of the Assistant Secretary of Defense for Health Affairs; the Presidentially Commissioned Department of Defense, Department of Health, Education and Welfare, Office of Management and Budget Report of the Health Care Study (completed December 1975)'; Memorandum, 'Establishment of the DoD Health Council,' dated December 28, 1976, and the DoD Appropriations Bill for FY 1976.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Offices of the Surgeons General of the Army, Navy and Air Force for determination of eligibility to receive health care benefits from the Uniformed Health Services Delivery System.

Office of Civilian Health and Medical Program of the Uniformed Services (OCHAMPUS), for determination of eligibility to receive health care benefits and to receive reimbursement for health care services claimed under CHAMPUS.

Office of the Assistant Secretary of Defense (Health Affairs) and the Offices of Surgeons General of the Army, Navy and Air Force, for the conduct of health care studies and research on a longitudinal basis, and for planning, management and allocation of medical resources.

Offices of the Surgeons General of the Army, Navy and Air Force, and OCHAMPUS for dissemination of health care information.

EXTERNAL USERS, USES, AND PURPOSES

Department of Health, Education and Welfare; Veterans Administration; Federal Preparedness Agency and Commerce Department for the conduct of health care studies and for the planning and allocation of medical resources. The data will include summary data on ages, sex, residence, and other demographic parameters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained on magnetic tapes and discs housed in a controlled computer media library.

Retrievability:

Records about individuals are retrieved by an algorithm to be determined by contractor which uses name, enrollment number, which is not Social Security Number, date of birth, rank and duty location as possible inputs.

Retrievals are made on a summary basis by geographic location and demographic characteristics. Information about individuals will not be distinguishable in such summary retrievals.

Retrievals for the purposes of generating address lists for direct mail distribution of health care information may be made using selection criteria based on geographic and demographic keys.

Safeguards:

Computerized records are maintained in a controlled area accessible only to authorized personnel. Entry to these areas shall be restricted to those personnel with a valid requirement and authorization to enter. Physician entry shall be restricted by the use of locks, guards, administrative procedures (e.g., fire protection regulations). Exits used solely for emergency situations shall be secured to prevent unauthorized intrusion.

Personal data stored at a separate location for backup purposes shall be afforded protection at least comparable to the protection provided at the primary location.

Requirements for protection of information are binding on contractors or their representatives and are subject to the following minium standards:

Restrict access to personal information to those who require the records in the performance of their official duties, and to the individual who is the subject of the record or authorized representative. Access to personal information shall be restricted by the use of passwords which are changed periodically.

Insure that all whose official duties require access to, or processing and maintenance of, personal information are trained in the proper safeguarding and use of such information.

Retention and disposal:

Computerized records on an individual are maintained as long as the individual is legally eligible to receive health care benefits from the Uniformed Health Services Delivery System. The records are maintained for two (2) years after termination of eligibility.

Records may be disposed of or destroyed only in accordance with DoD Component record management regulations which conform to the controlling disposition of such material as set forth in 44 U.S.C. 3301-3314. Nonrecord material containing personal information and other material of similar temporary nature, shall be destroyed as soon as its intended purpose has been served under procedures established by the Head of the DoD Component consistent with the following requirement. Such material shall be destroyed by tearing, burning, melting, chemical decomposition, pulping, pulverizing, shredding, or mutilation sufficient to preclude recognition or reconstruction of the information.

System manager(s) and address:

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Director, Health Systems Planning, Office of the Assistant Secretary of Defense (Health Affairs), Room 3E173, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Director, Tri-Service Medical Information System Program Office, Office of the Assistant Secretary of Defense (Health Affairs), Room 3E182, Pentagon, Washington, D. C. 20301.

Record access procedures:

Requests from individuals should be addressed to: Director, Tri-Service Medical Information System Program Office, Office of the Assistant Secretary of Defense (Health Affairs), Room 3E182, Pentagon, Washington, D. C. 20301.

Written requests for the information should contain full name of individual and sponsor if applicable and other attributes required by previously mentioned search algorithm.

Visits are limited to: Director, Tri-Service Medical Information System Program Office, Office of the Assistant Secretary of Defense (Health Affairs) Room 3E182, Pentagon, Washington, D. C. 20301.

For personal visits the individual should be able to provide a data element required to satisfy the previously mentioned algorithm.

Identification should be corroborated with a driver's license or other positive identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Military Department's personnel and financial pay systems.

Systems exempted from certain provisions of the act:

None.

DPA DCR.A 01

System name:

Joint Civilian Orientation Conference Files

System location:

Directorate for Community Relations, Office of the Assistant Secretary of Defense (Public Affairs).

Categories of individuals covered by the system:

Any person nominated to participate in the Joint Civilian Orientation Conference

Categories of records in the system:

Nominating letters, biographical information and administrative processing papers.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide factual data to the Assistant Secretary of Defense and his immediate subordinates upon which to base a selection of participants representing the broadest possible cross-section of nominees, and to prevent administrative duplication.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By name

Safeguards:

Records are maintained in locked file case and accessible only to authorized personnel.

Retention and disposal:

Name, address and title files are permanent. Nomination files are retained while nominations are active, then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director for Community Relations
Office of the Assistant Secretary of Defense (Public Affairs)
Room 1E798, The Pentagon
Washington, D. C. 20301
Telephone: Area Code (202) 595-2113

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Record source categories:

Secretary of Defense, Assistant Secretary of Defense, Chairman of the Joint Chiefs of Staff, Secretaries of the Military Departments, Military Service Chiefs, Commanders of Major Military Commands, Directors of Defense Agencies, former conference participants, and occasionally Members of Congress.

Systems exempted from certain provisions of the act:

None

DPA DDI.A 02

System name:

Biography File

System location:

Directorate for Defense Information, Office of Assistant Secretary of Defense (Public Affairs)

Categories of individuals covered by the system:

Military and Civilian members of the Department of Defense

Categories of records in the system:

Biographical information prepared and approved for public release

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to public and news-media interest, and for record purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files in paper containers

Retrievability:

By name

Safeguards:

Accessible to authorized personnel

Retention and disposal:

Permanent. Retain one copy permanently, destroy remaining copies when superseded.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director for Defense Information
Office of the Assistant Secretary of Defense (Public Affairs)
Room 2E765, The Pentagon
Washington, D. C. 20301
Telephone: 202-695-3886

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records, and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Military Services and Civil Service Offices

Systems exempted from certain provisions of the act:

None

DPA DDLB 03

System name:

Portrait-Photograph File

System location:

Directorate for Defense Information, Office of Assistant Secretary of Defense, (Public Affairs)

Categories of individuals covered by the system:

Military and Civilian members of the Department of Defense

Categories of records in the system:

Photographs approved for public release

Authority for maintenance of the system:

Title, 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to public and news-media interest, and for record purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Photographic prints in paper folders

Retrievability:

By name

Safeguards:

Accessible to authorized personnel

Retention and disposal:

So long as public and/or news-media interest requires. Then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director for Defense Information
Office of the Assistant Secretary of Defense (Public Affairs)
Room 2E765, The Pentagon
Washington, D. C. 20301
Telephone: Area Code (202).695-3886

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records, and for contesting contents and appealing initial determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301.

Record source categories:

Military Services and Civil Service Offices

Systems exempted from certain provisions of the act:

None

DPA DDLC 04

System name:

Case Files

System location:

Directorate for Defense Information, Office of Assistant Secretary of Defense (Public Affairs)

Categories of individuals covered by the system:

Military and Civilian members of the Department of Defense

Categories of records in the system:

Published material, released material, and material prepared and approved for release.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to public and news-media interest, and for record purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files in paper containers

Retrievability:

By name

Safeguards:

Accessible to authorized personnel

Retention and disposal:

So long as public and/or news-media interest requires. Then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director for Defense Information
Office of the Assistant Secretary of Defense (Public Affairs)
Room 2E765, The Pentagon
Washington, D. C. 20301
Telephone: Area Code (202) 696-3886

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301.

Record source categories:

Military Services and Civil Service Offices

Systems exempted from certain provisions of the act:

None

DPA DFOI.A 05

System name:

Freedom of Information Program Case Files

System location:

Primary system: Directorate for Freedom of Information and Security Review, Office of Assistant Secretary of Defense (Public Affairs)

Decentralized segments: Under Secretaries of Defense, Assistant Secretaries of Defense, Assistants to the Secretary of Defense, or equivalent, the Organization of the Joint Chiefs of Staff, and other activities assigned to Office Secretary of Defense for administrative support.

Categories of individuals covered by the system:

Any citizen who makes a request for records under the Freedom of Information Program to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, or activity assigned to Office Secretary of Defense for administrative support.

Categories of records in the system:

Name, firm, address of individual requester, identification of records requested, dates and summaries of action taken, and documents for establishing collectable fees and processing cost to the government.

Names, titles or positions of each person primarily responsible for an initial or final denial on appeal of a request for a record.

The results of any disciplinary proceeding, including an explanation of a decision not to discipline, that was initiated against an officer or employee because a court determined arbitrary of capricious action.

Authority for maintenance of the system:

Title 5, United States Code, Section 552, The Freedom of Information Act, as amended by Public Law 93-502.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primary system and decentralized segments are used by officials in the locations described above to administratively control requests to insure compliance with Public Law 93-502, and to research historical data on release of records so as to facilitate conformity in subsequent actions.

Primary system used for development of annual report data required by Public Law 93-502 and to compute processing costs to the government, and other management data such as, but not limited to number of requests, type or category of records requested, average processing time, average cost to requester, percentage of denials, and number of denials by exemption.

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Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic disks, computer paper printout, index file cards, and paper records in file folders.

Retrievability:

Filed by request number and retrieval by name, subject material (to include dates) and request number using conventional indices.

Safeguards:

Paper records are maintained in security containers with access only to officials whose access is based on requirements of assigned duties. Computer access is by verification of Identification codes; one for search and another for maintenance.

Retention and disposal:

Annual departmental reports are permanent records. All other reports and files, other than appeal and control files, may be destroyed two to five years after reply, depending on document status. Appeal files are destroyed four years after final determination, or three years after final adjudication, whichever is later. FOIA control files are destroyed five years after date of last entry. Official file copies of records are disposed of in accordance with approved departmental disposition instructions or with related FOIA request, whichever provides the later disposal date.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), the Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director, Freedom of Information and Security Review, Office, Assistant Secretary of Defense (Public Affairs)
Room 2C757, the Pentagon
Washington, D. C. 20301
Telephone: 202-697-1180

Record access procedures:

Requests from individuals should be addressed to:
Director, Freedom of Information and Security Review
Office, Assistant Secretary of Defense (Public Affairs)
Room 2C757, the Pentagon
Washington, D. C. 20301

Requests should include full name, address and affidavit or identification which is required for release of record. Personal visits are restricted to Room 2C757. Individual should be able to present acceptable identification; that is, driver's license or comparable identity card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Requests for records originating from citizens under the Freedom of Information Act and subsequent data provided by form and memorandum by officials who hold the requested records, act upon the request, or who are involved in legal action stemming from action taken.

Systems exempted from certain provisions of the act:

None

DPA DSR.A 06

System name:

Security Review Index File

System location:

Directorate for Freedom of Information and Security Review, Office of Assistant Secretary of Defense (Public Affairs).

Categories of individuals covered by the system:

Department of Defense officials who present statements, testify, or who furnish information to the Congress of the United States.

Department of Defense officials and citizens of organizations outside the Defense Department who submit documents, such as but not limited to, speeches and articles, for clearance prior to public release.

Categories of records in the system:

Name, organization of individual submitting document for clearance.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

System used by officials of the location office to identify and locate documents which are maintained in a separate classified file in order to facilitate research of historical data in previously processed documents to ensure conformity in subsequent actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index file cards in card file cabinets.

Retrievability:

Filed by case number, name, source (Organization), and subject-numerical.

Safeguards:

Index file cards are maintained in security containers with access only to officials in accordance with assigned duties.

Retention and disposal:

Records are permanent. Files are cut off at end of each calendar year. Cut off files are maintained in current files area.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Director, Freedom of Information and Security Review
Office, Assistant Secretary of Defense (Public Affairs)
Room 2C757, Pentagon, Washington, D. C. 20301
Telephone: Area Code (202) 697-2023

Requests should include full name, organization, address and affidavit, or identification which is required for release of record. Personal visits are restricted to Room 2C757. Individual should be able to present acceptable identification; that is, driver's license or comparable identity card.

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301.

Record source categories:

Requests for clearance of documents originating from officials, organizations, or individuals under Title 10, United States Code, Section 136.

Systems exempted from certain provisions of the act:

None

DPA DXA.A 07

System name:

Personnel Files

System location:

Office of the Executive Assistant to the Assistant Secretary of Defense (Public Affairs) with partial files in the Offices of the Directors for Defense Information, Community Relations, and Freedom of Information and Security Review.

Categories of individuals covered by the system:

Military and Civilian personnel assigned to the Office of the Assistant Secretary of Defense (Public Affairs)

Categories of records in the system:

Partial file containing copies of material contained in each individual's master personnel record. This system contains name, address, telephone number, social security number, rank or grade, position held, temporary assignments, and other related papers pertaining to present assignment.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by The Assistant Secretary of Defense (Public Affairs) and his immediate assistants to assign personnel to duties, to maintain manning levels in timely fashion, and to provide information to each individual as required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By name

Safeguards:

Records are maintained in locked file cabinet with access only to officials who are involved in personnel actions.

Retention and disposal:

Records are maintained while individual is assigned to Office, Assistant Secretary of Defense (Public Affairs), and for three years thereafter and are then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Executive Assistant
Office of Assistant Secretary of Defense (Public Affairs)
Room 2E813, The Pentagon
Washington, D. C. 20301
Telephone: 202-697-0792

Record access procedures:

Requests from individuals should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Central personnel files of the Military Services or the United States Civil Service

Systems exempted from certain provisions of the act:

None

DPA DXA.B 08

System name:

Contact Files

System location:

Decentralized files in the Office of the Assistant Secretary of Defense (Public Affairs), and the various Offices of the Directors for Community Relations, Defense Information, and Security Review and Freedom of Information.

Categories of individuals covered by the system:

Persons with whom the official business of the Assistant Secretary of Defense (Public Affairs) is conducted.

Categories of records in the system:

Names, firms or Agencies, addresses, and telephone numbers.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by officials in the Office of the Assistant Secretary of Defense (Public Affairs) to communicate with persons involved in the business of that office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards and paper lists.

Retrievability:

By individual, or firm or agency name.

Safeguards:

Files maintained in personal custody.

Retention and disposal:

Indefinite. Files are retained so long as individuals are directly involved in the business of the Office of the Assistant Secretary of Defense (Public Affairs), then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Executive Assistant
Office of the Assistant Secretary of Defense (Public Affairs)
Room 2E813, The Pentagon
Washington, D. C. 20301
Telephone: Area Code (202) 697-0792

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301.

Record source categories:

Published telephone directories, letterheads, and other published material containing the information.

Systems exempted from certain provisions of the act:

None

DPA DXA.C 09

System name:

Public Correspondence Files

System location:

Office of the Staff Assistant for Public Correspondence, Office of the Assistant Secretary of Defense (Public Affairs)

Categories of individuals covered by the system:

Any person who writes to the Department of Defense requesting general information.

Categories of records in the system:

Letters of Inquiry and replies.

Authority for maintenance of the system:

Title 10, United States Code, Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a record of answers to general inquiries submitted by the public.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files in paper folders

Retrievability:

by name

Safeguards:

Access by authorized personnel only

Retention and disposal:

Retained for two years, then destroyed.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from:
Staff Assistant for Public Correspondence
Office of the Assistant Secretary of Defense (Public Affairs)
Room 2D771, The Pentagon
Washington, D. C. 20301
Telephone: Area Code (202) 697-5737

Record access procedures:

Requests should be addressed to:
Office of the Assistant Secretary of Defense (Public Affairs)
The Pentagon
Washington, D. C. 20301

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations may be obtained from the Assistant Secretary of Defense (Public Affairs), The Pentagon, Washington, D. C. 20301.

Record source categories:

Any individual inquiry and response thereto.

Systems exempted from certain provisions of the act:

None

DPA DXA.D 10

System name:

Privacy Act Request for Access Files

System location:

Primary System-Directorate for Freedom of Information and Security Review, Office of the Assistant Secretary of Defense (Public Affairs), Washington, D. C. 20301.

Decentralized Segments-Offices of the Under Secretaries of Defense, Assistant Secretaries of Defense, Assistants to the Secretary of Defense, or equivalent, the Organization of the Joint Chiefs of Staff, and other activities assigned to the Office of the Secretary of Defense for administrative support.

Categories of individuals covered by the system:

Any citizen who makes a request for access to records under the Privacy Act to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, or activity assigned to the Office of the Secretary of Defense for administrative support. Requests from the public for amendment of records, other questions concerning the Privacy Act, and matters pertaining to Privacy Act Program management are acted upon by the Records Administrator, Office of the Secretary of Defense, Room 5C315, Pentagon, Washington, D. C. 20301.

Categories of records in the system:

Name, firm, address, and other personal identifiers of the individual requester, identification of records requested, dates and summaries of action taken, and related documents associated with processing requests. In addition, names, titles or positions of each person primarily responsible for action on requests for records. Results of follow-on action, if any, to include request for review of refusal of the individual's request.

Authority for maintenance of the system:

Title 5, U.S.C. 552a, the Privacy Act of 1974; Public Law 93-579.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used by officials in the locations described above to control administratively requests to insure compliance with Public Law 93-579, and to research historical data for annual report statistics and other management information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index file cards and paper records in file folders.

Retrievability:

Filed chronologically by request number and retrieved by name and/or request number using conventional indices and cross-references.

Safeguards:

Records are maintained in security containers with access only to officials whose access is based on requirements of assigned duties.

Retention and disposal:

Files are kept for five years after date of reply in denial cases which are not appealed. Appealed cases are kept 4 years after final determination or 3 years after final adjudication by the courts whichever is later. Where access is granted, files are destroyed after two years.

System manager(s) and address:

Assistant Secretary of Defense (Public Affairs), Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from the Director, Freedom of Information and Security Review, Office of the Assistant Secretary of Defense (Public Affairs), Room 2C757, Pentagon, Washington, D. C. 20301. Telephone: Area Code 202/697-1180.

Record access procedures:

Requests from individuals should be addressed to the office stated above and should include full name, address, and notarized signature. For personal visits, individuals should be able to present acceptable identification; that is, driver's license or comparable identity card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Requests for access to records--under the Privacy Act--originating from citizens, and subsequent data provided by officials who hold the requested records, act upon the request, and who are involved in the review of denials of the requests.

Systems exempted from certain provisions of the act:

None

DPA&E 02

System name:

Administrative Files for Office of the Assistant Secretary of Defense for PA&E

System location:

Office of the Assistant Secretary of Defense (Program Analysis and Evaluation), The Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

All current and former military and civilian personnel employed by or assigned to PA&E since 1965

Current and some past applicants or prospects for civilian or military jobs

Some contractor personnel

Other DoD or outside personnel currently or previously assigned, or under consideration, to provide support or work with PA&E

Categories of records in the system:

System contains individual application forms; biographical data; employment history; professional and military experience; schooling and academic records; performance effectiveness data; honors, awards and decorations; security forms; security clearances; security violations publications; training and career development information; telephone rosters; certain financial interest and medical history data; information used to evaluate individuals for employment, promotion, reassignment, training, retention and awards; job descriptions; letters of commendation or appreciation; earnings and leave statements; overtime pay records; travel orders; certain travel vouchers; retirement application papers; tenure data; next employment information; savings bond and combined federal campaign (CFC) data (current year only); and miscellaneous personnel and administrative data of like nature

Authority for maintenance of the system:

10 U.S.C. Section 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

OASD(PA&E) - To evaluate current and prospective employees; to locate former personnel and prospects; to analyze professional staff background; to make decisions on hiring, promotion, training, awards, or disciplinary actions; to make comparative analyses of personnel data such as turnover rates, awards, academic degrees, average age, travel, and overtime; to determine level of security access permissible; to evaluate conformance with standards of conduct rules; to evaluate contractor capabilities; to provide information on current or former personnel to authorized investigators and potential outside employers; to make campaign reports; to evaluate effectiveness of PA&E personnel operations; to input selected data to computer systems; to perform computer analyses of the data; and to prepare reports, rosters and statistical data

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders
Biography book
Computer disks
Computer paper printouts
Charts

Retrievability:

Information accessed by last name of individual
Individual user codes and passwords required to access information stored in computer

Safeguards:

Building employs security guards
Sensitive manually stored data kept in locked cabinets or safes and may be accessed only by authorized personnel
Computer stored data is kept in a secure computer facility and may be accessed only by authorized, properly trained personnel who have access codes and passwords

Retention and disposal:

Records on current and former personnel and permanent. Travel orders, overtime authorizations and similar fiscal records are kept for three years. Applicant files are screened about one a year and information outdated or no longer needed is destroyed. Campaign data for other than current year is destroyed annually.

System manager(s) and address:

Assistant Secretary of Defense (Program Analysis and Evaluation), Room 2D321, The Pentagon, Washington, D.C. 20301

Notification procedure:

Information may be obtained from:
OASD(PA&E), Assistant for Management
Room 2D321
The Pentagon
Washington, D.C. 20301
Telephone: Area Code 202/697-9189

Record access procedures:

Requests from individuals should be addressed to: OASD(PA&E), Assistant for Management, Room 2D321, The Pentagon, Washington, D.C. 20301

Written request must contain full name and identification of the individual. Visitors may be required to provide identification.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Current and previous employers, instructors, associates and contacts; DoD civilian and military personnel offices; DoD security offices; DOD payroll, travel and fiscal offices; Civil Service Commission; contractors; Air Force Data Services Center; PA&E personnel; educational institutions; financial institutions

Systems exempted from certain provisions of the act:

NONE

DSMC-01

System name:

Defense Systems Management College (DSMC) Personnel Information Files

System location:

Administration Division, Defense Systems Management College (DSMC), Ft. Belvoir, Va. 22060.

Systems Management Department, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Categories of individuals covered by the system:

Military and civilian personnel assigned or attached to the Defense Systems Management College.

Categories of records in the system:

Data includes summary of occupational experience, education, training, security clearance, home address, home telephone number, dependent status, awards and decorations, promotion status, pay status.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College,' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisory officials to obtain information on which to base decisions.

Assigned Personnel Management Technicians for accomplishment of records maintenance and personnel services to individuals assigned and attached.

For publication of biographical data booklets, personnel rosters, telephone directories, and organizational charts by the Administrative Officer.

Information from records contained in the system may be provided to any component of the Department of Defense.

Disclosure to law enforcement or investigative authorities for investigations and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primary files are paper records in file folders and punched cards.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building is locked during nonbusiness hours.

File storage is in locked file cabinets. Only authorized personnel have access to files.

Retention and disposal:

Files are retained for one year after individual transfers, separates or retires; then are destroyed.

System manager(s) and address:

Chief, Administration Division, Defense Systems Management College, Ft. Belvoir, Va. 22060.

Notification procedure:

Information may be obtained from the SYSMANAGER. Telephone: 703-664-3118.

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain the full name, current address of the individual.

For personal visits, the individual must provide acceptable identification, such as ID card or driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Data is obtained from the individual, from official personnel folders (201 Files), from Standard Form 171, and from supervisory officials.

Systems exempted from certain provisions of the act:

None

DSMC-02

System name:

Defense Systems Management College (DSMC) Student Files

System location:

Office of the Registrar, Defense Systems Management College (DSMC), Building 202, Ft. Belvoir, Va. 22060.

Categories of individuals covered by the system:

All current, former, and nominated students of the Defense Systems Management College (DSMC).

Categories of records in the system:

Data includes name, dependent data, SSAN, career brief application form, security clearance, college transcripts, correspondence, DSMC grades, instructor and advisor evaluations, education reports, official orders, current address, and individual's photograph.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College,' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to provide for the administration of and a record of academic performance of current, former and nominated students.

Used by College officials to verify attendance and grades; to select instructors; to make decisions to admit students to programs and to release students from programs; to serve as basis for studies to determine improved criteria for selecting students; to develop statistics relating to duty assignments and qualifications.

Preparation by the Registrar of locator directories of current and former students which are disseminated to students, former students and other appropriate individuals and agencies for purpose of administration.

Preparation by College officials of student biographical booklets, student rosters, and press releases of student graduations.

Information contained may be reported to any agency of the Department of Defense having an official requirement for the information.

Records may be disclosed to law enforcement or investigatory authorities for investigations and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files are sequenced alphabetically by last name by class and course. Locator cards are filed alphabetically in two categories: active students (by course) and former students.

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Safeguards:

Records are maintained in locked cabinets, in an area accessible only to authorized personnel. Building is locked during non-business hours.

Only individuals designated as having a need for access to files by the System Manager are authorized access to information in the files.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Registrar, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Notification procedure:

Information can be obtained from SYSMANAGER. Telephone: 703-664-3120

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain the full name, current address and telephone number, and course and class of individual.

For personal visits, the individual must provide acceptable identification, such as ID card or driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the individual, supervisors, employers, instructors, advisors, examinations, and official military records.

Systems exempted from certain provisions of the act:

None

DSMC-03

System name:

Defense Systems Management College (DSMC) Track Record System

System location:

Primary Location - Computer Sciences Corporation, Information Network Division, 650 North Sepulveda Bouvelard, El Segundo, Ca. 90245.

Hard copy back-up files and punched card back-up files located in Systems Management Department, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Categories of individuals covered by the system:

All current and former students of the Defense Systems Management College (DSMC).

Categories of records in the system:

Files contain name, SSAN, marital status, sex, date of birth, nickname, professional society membership, spouse's name, children's names, accompanied status, years of service, promotion history, job or assignment history, current years of service, current assignment code, military or civilian occupational code, DSMC assignment status, security clearance, current business telephone numbers, retirement status, educational history, class at DSMC, Grade Point Average (GPA), functional course grades, graduation status, individual survey responses, awards and recognition.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College,' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of the system are to assemble career information on current and former students of DSMC in order to provide data to enable DSMC to monitor utilization of former students; to enable DSMC to perform research to assist in refinement of student selection criteria; to provide a data base to research for the improvement of program management; to provide a system for generating student transcripts; and to provide a data base for the DSMC Mailing List System, student and graduate registers.

The Defense Systems Management College - Used in assessing incoming student experience and educational levels; to produce student registers; to monitor utilization of former students by DoD Components; to verify and consolidate measures of student performance, to produce student transcripts which may be required by former students in her/his later educational process; to perform research into the success of former students; to provide input into the DSMC Mailing List System in order to mail surveys, newsletters and other items of interest to former students including graduate registers; to perform research to improve program management.

Computer Sciences Corporation - mounts tapes and disc packs which contain files and operates the system; does not maintain the system.

Individual records in a system of records might be transferred to any component of the Department of Defense (except GPA, functional course grades and individual survey responses).

Individual records of civilian industry students or former students might be transferred to the corporation sponsoring the individual (except GPA, functional course grades and individual survey responses).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primary file is magnetic disc.

Back-up files are magnetic computer tape and punched cards.

Hard copy back-up files are paper records in file folders.

Retrievability:

Files are sequenced by Social Security Account Number.

Safeguards:

Primary location is a controlled access area.

Operator personnel are screened and cleared in accordance with Government Services Administration contract procedures.

Access to magnetic disc and computer tapes requires computer phone number, user ID, password and project code which are only accessible to personnel authorized by the System Manager.

Back-up file storage is in a building which is locked during non-business hours and is located on a military installation.

Only individuals designated as having a need for access to files by the Systems Manager are authorized access to information in the files.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, Department of Plans and Curriculum Development, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Notification procedure:

Information may be obtained from the SYSMANAGER. Telephone: 703-664-2017.

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain the full name of the individual, SSAN, current address and telephone number.

For personal visits, the individual must contact the Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060, and provide acceptable identification, such as, military or other ID card, driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the individual, employer, staff and faculty of DSMC, each DoD Component, and the U. S. Civil Service Commission (including their automated personnel systems).

Systems exempted from certain provisions of the act:

None

DSMC-04

System name:

Defense Systems Management Collge (DSMC) Academic Analysis System

System location:

Primary Location-Office of the Commandant, Defense Systems Management College (DSMC), Ft. Belvoir, Va. 22060.

Back-up Data File-Dept of Systems Management, Defense Systems Management College, Ft. Belvoir, Va. 22060.

Categories of individuals covered by the system:

All current and former Program Management Course (PMC) students and participants in DSMC Cooperative Graduate Programs.

Categories of records in the system:

File contains individual's name, SSAN, sex, date of birth, service affiliation, affiliation status, years of service, promotion history, job or assignment history, current assignment code, military or civilian occupation code, educational history, class at DSMC, DSMC class standing, DSMC grade point average, DSMC functional course grades, graduation status, pre-and post-test scores, Miller Analogies Test scores, Graduate Record Exam scores, individual survey responses, and course enrollment data and course grades in DSMC Cooperative Graduate Programs.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College,' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of this system are: To provide a research data base for improvement of the PMC academic program and its integration with DSMC Cooperative Graduate Programs, to provide a research data base for evaluating the quality and performance of current and former PMC students as well as DSMC Cooperative Graduate Program participants, and to facilitate administration of DSMC Cooperative Graduate Programs.

DSMC officials designated by the Commandant-Used to determine areas for improvement of the PMC academic program and its integration with DSMC Cooperative Graduate Programs; used to evaluate the quality and performance of current and former PMC students as well as participants in DSMC Cooperative Graduate Programs; used to administer DSMC Cooperative Graduate Programs; used for monitoring participation in DSMC Cooperative Graduate Programs and for counseling PMC students regarding participation; used to furnish DSMC Cooperative Graduate Program enrollment data for PMC student academic evaluation reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primary file is paper records in file folders.

Back-up data file is punched cards.

Retrievability:

Filed by class alphabetically by last name of PMC student and participant in Cooperative Graduate Programs.

Safeguards:

Primary file is in a locked cabinet.

Back-up data file is in a building which is locked during nonbusiness hours and is located on a military installation.

Only individuals designated as having a need for access to files by the System Manager are authorized access to information in the files.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Commandant, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Notification procedure:

Information may be obtained from the SYSMANAGER. Telephone: 703-664-2017.

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain the full name of the individual, SSAN, current address and telephone number.

For personal visits, the individual must contact the Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060, and provide some acceptable identification, such as military or other identification card, driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administration Instruction No. 81.

Record source categories:

Information is provided by the individual, staff and faculty of DSMC, each DOD Component and the U. S. Civil Service Commission (including their automated personnel systems), educational institutions and testing services.

Systems exempted from certain provisions of the act:

None

DSMC-05

System name:

Biographical Record System

System location:

Program Manager Biographies-Department of Research and Publications, Defense Systems Management College.

Board of Visitor Biographies, Department of Plans and Curriculum Development, Defense Systems Management College.

Program Management Course Guest Lecturer Biographies-Department of Program Management, Defense Systems Management College.

Executive Course Guest Lecturer Biographies-Department of Executive Management, Defense Systems Management College.

Categories of individuals covered by the system:

Key governmental officials.

Guest Lecturers at the Defense Systems Management College.

Present and past members of the Board of Visitors and Policy Guidance Council.

Categories of records in the system:

Files contain official biographic data, such as: individual's position, title, current business affiliation, record of past experience and education, awards and honors, memberships, addresses, phone numbers, photographs, etc.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College, ' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to provide information for selection and introduction of guest lecturers and to perform research.

Department of Plans and Curriculum Development-To develop statistical data on Department of Defense Program Management Offices; to present data to Policy Guidance Council to determine worthiness of nominees to serve on Board of Visitors.

Department of Program Management-To provide the credentials of guest lecturer to the students prior to the presentation.

Department of Executive Management-To present the credentials of guest lecturer to the students prior to the presentation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name, except program manager/deputy program manager files which are filed by organization titles.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, Department of Research and Publications, Defense Systems Management College, Ft. Belvoir, Va. 22060.

Notification procedure:

Information may be obtained from the SYSMANAGER. Telephone: 703-664-5783.

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain full name of the individual, current position and affiliation.

Visits are limited to the departments at the school where the information is filed. For personal visits, the individual must provide acceptable identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Key official data from official Governmental files.

V 44 D E 17 79 UMI

Board of Visitors nominee data from Policy Guidance Council members, present Board of Visitors members, DSMC Commandant and 'Who's Who.'

Guest Lecturer data from guest lecturers themselves, from their offices, or from Agency Public Affairs Offices.

Systems exempted from certain provisions of the act:

None

DSMC-06

System name:

Defense Systems Management College (DSMC) Mailing List

System location:

Primary location-Computer Sciences Corporation, Information Network Division, 650 North Sepulveda Boulevard, El Segundo, Ca. 90245.

Hard copy back-up files and punched card back-up files located in Systems Management Department, Defense Systems Management College, Building 202, Fort Belvoir, Va. 22060.

Categories of individuals covered by the system:

All former students of the Defense Systems Management College (DSMC); members of the DSMC Policy Guidance Council and Board of Visitors; program managers associated with defense systems acquisition programs; key acquisition managers throughout Department of Defense; former staff and faculty members of the DSMC and individuals desiring to be included in the system.

Categories of records in the system:

File contains name, SSAN, Class at DSMC, job code, mailing address, rank or grade, position and professional title and affiliation.

Authority for maintenance of the system:

10 USC 136, and Department of Defense Directive 5160.55, 'Defense Systems Management College,' January 5, 1977.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system is to provide a mailing list for distribution of newsletters, surveys, graduate registers and other information relating to acquisition management which is of interest to individuals included in the system.

DSMC - Used to disseminate newsletters, surveys, graduate registers and other information relating to acquisition management which is of interest to individuals on the DSMC mailing list; to prepare registers of former graduates; to prepare lists of Department of Defense Program Managers.

Computer Science Corporation - Mounts tapes and disc packs which contain files and operates the system; does not maintain the system.

Any individual records in a system of records might be transferred to any component of the Department of Defense or other Government agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Primary file is magnetic disc.

Back-up files are magnetic computer tape and punched cards.

Hard copy back-up files are paper records in file folders.

Retrievability:

Files are retrievable by name, SSAN, class, job code and zip code.

Safeguards:

Primary location is a controlled access area.

Operator personnel are screened and cleared in accordance with Government Services Administration contract procedures.

Access to magnetic disc and computer tapes requires computer phone number, user ID, password and project code which are only accessible to personnel authorized by the System Manager.

Back-up file storage is in a building which is locked during non-business hours and is located on a military installation.

Only individuals designated as having a need for access to files by the Systems Manager are authorized access to information in the files.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director, Department of Research and Publications, Defense Systems Management College, Building 202, Ft. Belvoir, Va. 22060.

Notification procedure:

Information may be obtained from the SYSMANAGER. Telephone: 703-664-5783.

Record access procedures:

Requests from individuals should be addressed to: Commandant, Defense Systems Management College, ATTN: Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060.

Written requests for information should contain the full name of the individual, SSAN, current address and telephone number.

For personal visits, the individual must contact the Chief, Administration Division, Building 202, Ft. Belvoir, Va. 22060, and provide acceptable identification, such as, military or other ID card, driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the individual, employer, staff and faculty of DSMC, each DoD Component and the U. S. Civil Service Commission (including their automated personnel systems).

Systems exempted from certain provisions of the act:

None

DUSDRE 02

System name:

OUSDRE Personnel Administration Files

System location:

Office of the Under Secretary of Defense for Research and Engineering (OUSDRE), Office Secretary of Defense, Room 3E1006, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All employees assigned to or considered for positions in OUSDRE including civilian and military personnel and consultants.

Categories of records in the system:

These files contain position descriptions; biographical resumes, qualification statements, (SD 171, SD 173, SD 398, SF 161, etc.); Confidential Statement of Affiliations and Financial Interests, Department of Defense Personnel (DD Form 1555); requests for personnel actions (SD 52, 108); notification of Personal Action (SD 50); appointments affidavits (SF 61, 61B); award recommendations; appraisals and efficiency reports; time and attendance records (SF 1135); travel orders and vouchers; and security clearance information.

Authority for maintenance of the system:

10 USC 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These files are used primarily for internal personnel and administrative management. Specific uses include: Determining eligibility for appointment to positions; reviewing financial interest and background of individual applying for appointments; comparing individuals resumes with job requirements. Used to keep accounting of time worked; travel performed; orders issued awards given to personnel and security clearance granted. The information contained in these personnel files is used by the office manager, supervisory personnel and the Under Secretary of Defense for Research and Engineering in the management of his organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of the individual concerned.

Safeguards:

Building guards and locked file containers. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are temporary in nature and are destroyed after individuals leave employment of OUSDRE or are no longer under consideration for employment.

System manager(s) and address:

Executive Assistant to USDRE, Office of the Secretary of Defense, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Personnel Assistant
Office of the Executive Assistant to USDRE
Room 3E1006, Pentagon
Washington, D. C. 20301
Telepehone: 202-695-6556

Written requests for information should contain the full name of the individual, current address, telephone number, and any other information which would help in identifying the desired information.

For personal visits, the individual must be able to provide acceptable identification, that is, driver's license, employing office's identification card, and give verbal information that could be vertified with his 'case folder'.

Record access procedures:

Request should be addressed to SYSMANAGER as shown above.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the Directorate for Personnel and Security, Security Division, Washington Headquarters Services, Department of Defense, individuals concerned, travel vouchers, security forms, travel orders, individual's supervisors, and time and attendance clerks.

Systems exempted from certain provisions of the act:

None

DUSDRE 03

System name:

Office of the Under Secretary of Defense for Research and Engineering (OUSDRE), Inventor's File.

System location:

Office of the Under Secretary of Defense for Research and Engineering (OUSDRE), Office Secretary of Defense, Room 3E1006, Pentagon, Washington, D.C. 20301

Categories of individuals covered by the system:

All persons who have submitted inventions, ideas, and proposals for consideration by the Department of Defense.

Categories of records in the system:

These files contain correspondence with individuals concerning their inventions, ideas, and proposals submitted to the Department of Defense; evaluations by government employees of those inventions, ideas, and proposals.

Authority for maintenance of the system:

10 USC 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in this file is primarily collected to give consideration to the inventions, ideas, and proposals submitted by the public. These files are used to reply to correspondence and inquiries from the public and other government agencies. The information contained in these files is used by the staff of OUSDRE.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building guards and locked file containers. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Retained in active files for a period of five years and then transferred to the Washington National Records Center, Suitland, Maryland, 20409.

System manager(s) and address:

Director, Program Control and Administration, Office of the Secretary of Defense, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Assistant Director, Program Control and Administration
Room 3E1030, Pentagon
Washington, D.C. 20301
Telephone: 202-697-4994

Written requests for information should contain the full name of the individual, current address and telephone number and any other information which would help in identifying the desired information.

For personal visits, the individual must be able to provide acceptable identification, that is, driver's license, employing office's identification card, and give verbal information that could be verified with his 'case folder'.

Record access procedures:

Request should be addressed to SYSMANAGER as shown above.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by individuals who send their inventions, ideas, and proposals to the Department of Defense and government employees who evaluate the inventions, ideas, and proposals.

Systems exempted from certain provisions of the act:

None

DUSDRE 04

System name:

Requests for Two-year Foreign Residence Waiver Files

System location:

Security Policy and Review Division-Office of the Director Program Control and Administration, Office of the Under Secretary of Defense for Research and Engineering, Office of the Secretary of Defense.

Categories of individuals covered by the system:

Any foreigner applying for a Waiver of Foreign Residency.

Categories of records in the system:

Files contain requests for waiver of foreign residency.

Authority for maintenance of the system:

Mutual Educational and Cultural Exchange Act of 1961 (75 Stat. 535).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Policy and Review Division-To evaluate requests for Waivers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders.

Retrievability:

Filed alphabetically by last name of individual

Safeguards:

Records are located in a facility guarded by Military and GSA Guards 24 hours a day seven days a week. Records are maintained in an area accessible only to authorized personnel.

Retention and disposal:

Records are permanent. Retained in active file for ten years.

System manager(s) and address:

Director, Program Control and Administration, OUSDRE, Office of the Secretary of Defense, Pentagon Building, Washington, D. C.

Notification procedure:

Information may be obtained from:
Security Policy and Review Division
Room 3D1067
Pentagon Building
Washington, D. C. 20301
Telephone: 202-697-3459

Record access procedures:

Requests from individuals should be addressed to: Under Secretary of Defense for Research and Engineering, Office of the Secretary of Defense, Pentagon Building, Washington, D. C. 20301

Written requests for information should contain full name of individual, current address and telephone number and approximate date of waiver request.

For personal visits individual should be able to provide appropriate identification

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned

are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Application and related correspondence from sponsor and individual requesting waiver.

Systems exempted from certain provisions of the act:

None

DWHS BF01

System name:

Travel Files

System location:

Directorate for Budget and Finance, Travel Division, Washington Headquarters Services (WHS), Department of Defense (DoD), Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

Personnel assigned to the Office of the Secretary of Defense and the Organization of the Joint Chiefs of Staff who perform travel, includes military, civilian and WOC/WAE consultants.

Categories of records in the system:

File contains copy of travel orders, paid travel claims, airline schedule and copy of Government Transportation Requests (GTRs) issued.

Authority for maintenance of the system:

10 USC 136(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES AND PURPOSES

Determination of the costs of trips performed by OSD and OJCS personnel.

Find out if travelers have filed their vouchers after completion of trips.

Determine indebtedness to the Government if per diem payments do not liquidate travel advances.

Individuals assigned to OSD/OJCS components authorized to research files to collect appropriate data to fulfill missions of component.

EXTERNAL USERS, USES AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records kept in unlocked file cabinets.

Retention and disposal:

Records maintained by fiscal year, current and previous fiscal year on hand, subsequently retired to Washington National Records Center.

Disposal in accordance with OSD Administrative Instruction No. 15.

System manager(s) and address:

Chief, Travel Division, Directorate for Budget and Finance, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Chief, Travel Division
Directorate for Budget and Finance
Washington Headquarters Services
Department of Defense
Room 3B279, Pentagon
Washington, D.C. 20301
Telephone: 202-697-1269

Record access procedures:

Requests from individuals should be addressed to: Chief, Travel Division, Directorate for Budget and Finance, Washington Headquarters Services, Department of Defense, Room 3B279, Pentagon, Washington, D.C. 20301.

Written requests for information should contain the full name of individual with notarized signature, current address and telephone number, and include fiscal year of travel.

Visits are limited to Travel Division, Directorate for Budget and Finance, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D.C. 20301.

For personal visits the individuals should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that can be verified with his folder.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Travel orders, travel vouchers, airline schedules, copy of GTRs.

Systems exempted from certain provisions of the act:

None

DWHS CD01

System name:

OSD General Correspondence Files

System location:

Correspondence Control Division, Directorate for Correspondence and Directives, Washington Headquarters Services (WHS), Department of Defense (DoD), Room 3A948, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Individuals who address a variety of subjects to the Office of the Secretary of Defense, and those who address Defense-related matters to the White House.

Categories of records in the system:

Includes general correspondence addressed to and emanating from the Office of the Secretary and the Deputy Secretary of Defense, and correspondence addressed to White House officials and, because the subject matter, referred to DoD for reply.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference material for follow-up actions and responses to additional inquiries from the same persons.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfiche with hard-copy backup in file folders.

Retrievability:

Filed by subject matter with alphabetical sub-system.

Safeguards:

Building protected by security guards. Records are maintained in a secure area accessible only to authorized personnel.

Retention and disposal:

Records are retained in active file until end of the calendar year, held one additional year in inactive file and subsequently transferred to the the National Records Center, where records are destroyed or permanently preserved in accordance with records disposal authority as dictated by subject matter.

System manager(s) and address:

Chief, Correspondence and Control Division, Directorate for Correspondence and Directives, Washington Headquarters Services, Department of Defense, Room 3A948, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Director for Correspondence and Directives, Washington Headquarters Services,
Department of Defense
Room 3B946
Pentagon
Washington, D.C. 20301
Telephone: 202-697-8261

Record access procedures:

Requests from individuals should be addressed to: Director for Correspondence and Directives, Washington Headquarters Services, Department of Defense, Room 3B946, Pentagon Washington, D.C. 20301.

Written requests for information should contain the full name of the individual, current address and telephone number, a brief description of the subject matter, and the approximate date of the communication, if known.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license or employing office's identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Correspondence originating with the individual, DoD agencies, and other Federal agencies.

Systems exempted from certain provisions of the act:

None

DWHS CD02

System name:

Cable Division Personnel Administration Files

System location:

Cable Division, Directorate for Correspondence and Directives, Washington Headquarters Services (WHS), Department of Defense (DoD), Room 3E925, Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

All individuals employed or military assigned to the Cable Division.

Categories of records in the system:

These files contain position descriptions; qualification statements, (SF 171, SF 172, OP 8, SD 295, SD 37, etc.); Confidential Statement of Affiliations and Financial Interests Department of Defense Personnel (DD Form 1555); requests for personnel actions (SD 52); notification of Personnel Action (SD 50); award recommendations; appraisals and efficiency reports; security clearance information DD Forms 398, DD Forms 1584, CS 8.

Authority for maintenance of the system:

10 USC 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These files are used primarily for internal personnel and administrative management. Specific uses include: Determining eligibility for assignment to positions; comparing individual's resumes with job requirements; used to keep abreast of performance, awards given to personnel and security clearances granted. The information contained in these personnel files is used by the office manager and supervisory personnel in the Cable Division.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name and Social Security Number of individual concerned.

Safeguards:

Building guards. Records are maintained in a secure area accessible only to authorized personnel.

Retention and disposal:

Records are retained in active file until military reassignment or individual leaves employment of the Cable Division; and in an inactive file until no longer under consideration for reemployment.

System manager(s) and address:

Director for Correspondence and Directives, Washington Headquarters Services (WHS), Department of Defense, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Chief, Cable Division
Directorate for Correspondence and Directives, Washington Headquarters Services, Department of Defense.
Room 3E925, Pentagon
Washington, D.C. 20301
Telephone: 202-697-8151

Written requests for information from individuals should be addressed to Directorate for Correspondence and Directives, Cable Division, Washington Headquarters Services, Department of Defense, Room 3E925, Pentagon, Washington, D.C. 20301.

Written requests for information should contain the full name of the individual, current address and telephone number and any other information which would help in identifying the desired information.

For personal visits, the individual must be able to provide acceptable identification; that is, driver's license, employing office's identification card, give verbal information that could be verified with his/her 'case folder'.

Record access procedures:

Request should be addressed to SYSMANAGER as shown above.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by the Directorate for Personnel and Security, WHS, the individual concerned, and the individual's supervisors.

Systems exempted from certain provisions of the act:

None

DWHS IO&R01

System name:

Combat Area Casualties

System location:

Directorate for Information Operations and Reports, Washington Headquarters Services, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Names of all military personnel who were killed, missing, captured, or interned in Southeast Asia.

Categories of records in the system:

Files contain a completed Report of Casualty (DD Form 1300).

Authority for maintenance of the system:

Executive Order 11216, 3 CFR 301 (1964-1965 Compilation), 'Designation of Vietnam and Waters Adjacent thereto as a Combat Zone for the purposes of Section 112 of the Internal Revenue Code of 1954,' approved April 24, 1965; and Pub.L. 95-479, 92 Stat. 1565, 'Veterans Disability Compensation and Survivors' Benefits Act of 1978,' approved October 18, 1978.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The purpose of this system of records is to compile a list of all military personnel who were killed, missing, captured, or interned in Southeast Asia. This list is used by the Office of the Assistant Secretary of Defense (International Security Affairs) (OASD(ISA)), the Defense Intelligence Agency (DIA), and other OSD activities.

EXTERNAL USERS, USES, AND PURPOSES

To the Veterans Administration - listing the name, Social Security Number (SSN), and rank of all former prisoners-of-war of the Vietnam conflict for the purpose of conducting comprehensive studies of the disability compensation awarded to and the health care needs of veterans. To any public or private person for statistical purposes. The name, grade, date of birth only are released on those who are currently missing, captured, or interned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

DD 1300s are filed in file reference order by service, country of occurrence.

Retrievability:

Data may be retrieved by name or file reference number.

Safeguards:

All information is maintained in locked safes.

Retention and disposal:

Records are permanent. ADP files will be made available to National Archives when no longer required by Office of the Secretary of Defense (OSD).

System manager(s) and address:

Director of Information Operations and Reports, Washington Headquarters Services, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:

Director of Information Operations and Reports
Washington Headquarters Services
Department of Defense
Room 4B938
Pentagon
Washington, D. C. 20301
Telephone: 202-697-6107

Record access procedures:

Requests should be addressed to the System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The source of this information is the serviceman's casualty section.

Systems exempted from certain provisions of the act:

None

DWHS P01

System name:

Supergrade Correspondence, Reports, and Case Files

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301

Categories of individuals covered by the system:

Any candidate who is being recommended for an executive level position.

Categories of records in the system:

File contains copy of individuals SF-171, position description, organizational chart, applicable CSC forms, SF-161 or 161A, correspondence between Directorate for Personnel and Security, WHS, and CSC, management officials and other selected documents.

Authority for maintenance of the system:

5-USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Directorate for Personnel-to maintain a case file of background information for each executive level request, both approved and disapproved. Armed Forces Information Service (AFIS), Court of Military Appeals (COMA), Defense Advanced Research Projects Agency (DARPA), Defense Security Assistance Agency (DSAA), Office of Dependents Education, Organization of the Joint Chiefs of Staff (OJCS), the President's Commission on Military Compensation, The TriService Medical Information System (TRIMIS), Washington Headquarters Services (WHS), and the Civil Service Commission for information necessary for the Commission to carry out its Government-wide personnel management functions is part of routine use.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by organization, then alphabetically by name.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Files maintained indefinitely.

System manager(s) and address:

Director for Personnel and Security, (WHS), Room 3B347, Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 2026973305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

SF-171 from individual, other material obtained from personnel office, records and statements from management officials.

Systems exempted from certain provisions of the act:

None

DWHS P02

System name:

Job Opportunity Announcements

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Any applicant for employment who applies for a specific vacancy.

Categories of records in the system:

File contains copies of SF-171's plus any attachments submitted by applicant, copies of supervisory appraisals, copies of Job Opportunity Announcement, original certificate of eligibles, rating sheet for all applicants, rating schedule or definition of 'best qualified' and copies of nonselection and not certified letters.

Authority for maintenance of the system:

5 USC 3301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES:

Personnel and Security Directorate - To advertise vacant positions and to solicit applications for employment from qualified individuals for organizations serviced. Armed Forces Information Service (AFIS), Court of Military Appeals (COMA), Defense Advanced Research Projects Agency (DARPA), Defense Security Assistance Agency (DSAA), Office of Dependents Education, Organization of the Joint Chiefs of Staff (OJCS), TriService Medical Information System (TRIMIS), and Washington Headquarters Services (WHS), are part of routine users.

EXTERNAL USERS, USES, AND PURPOSES:

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Documents filed in folders by Job Opportunity Announcement (JOA) number and title, series and grade of position.

Storage:

Paper records in file folders.

Retrievability:

Filed by Job Opportunity Annoucement (JOA) number and title.

Safeguards:

Building employs security guards. Records are maintained in file cabinet in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Records are maintained for a two year period or Office of Personnel Management (OPM) inspection, whichever occurs earlier. Then they are destroyed.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Application and related forms from the individual applying for position, supervisory appraisals from current or previous employers,

forms completed by persons whose names are given as a reference, ratings and correspondence from Directorate for Personnel and Security, WHS, and supervisory officials.

Systems exempted from certain provisions of the act:

None

DWHS P03

System name:

DoD Program for Stability of Civilian Employment

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Employees of OSD who have been affected by Reduction-in-Force and who were eligible and elected to register in the program and employees and reinstatement eligibles who registered for overseas employment consideration.

Categories of records in the system:

Standard Form 171, with attachments, if any, registration form, computer printed resume and related forms.

Authority for maintenance of the system:

5 USC 3501

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Offices throughout Defense Department-to maintain a record of persons registered into program by each employing CPO. System includes file of employees serviced by the System Manager, who are entitled to Priority Referral for repromotion and reemployment. Central Referral Activity, Dayton, Ohio maintains automated system and refers eligible employees to other DoD activities as required by regulation. Armed Forces Information Services (AFIS), Defense Advanced Research Projects Agency (DARPA), Defense Security Assistance Agency (DSAA), the Office of Dependents Education, the Organization of the Joint Chiefs of Staff (OJCS), Tri-Service Medical Information System (TRIMIS), and Washington Headquarters Services (WHS), are part of routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Folders maintained in active file until employee is either placed or declines placement or eligibility expires, then moved to inactive file. Files maintained for two years from date dropped from the program.

Storage:

Paper records in file folders.

Retrievability:

Filed by name, alphabetically.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in the areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Files are maintained for a two year period from the date the person is dropped from the system, then they are destroyed.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Application and related forms from individual, registration forms completed by Personnel Operations Division, resume and related automated forms furnished by Central Referral Activity, Dayton, Ohio.

Systems exempted from certain provisions of the act:

None

DWHS P04

System name:

Reduction-In-Force Case Files.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Civilian employees serviced by Office of the Secretary of Defense (OSD) System Manager, who have been reached for reduction-in-force actions.

Categories of records in the system:

Copies of retention registers, letters from management officials, letters prepared by Personnel to individual regarding type of action required, correspondence from individual concerned and other miscellaneous correspondence concerning the specific action.

Authority for maintenance of the system:

5 USC 1302, 3502

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

To maintain a case file on each reduction-in-force situation in serviced organizations for record purposes of the System Manager. Background information for the Merit System Promotion Board (MSPB) in case of appeal. Review by OSD management officials in cases of questions of qualifications. Armed Forces Information Service (AFIS), Court of Military Appeals (COMA), Defense Advanced Research Projects Agency (DARPA), Defense Security Assistance Agency (DSAA), Office of Dependents Education, Organization of the Joint Chiefs of Staff (OJCS), Tri-Service Medical Information System (TRIMIS), and Washington Headquarters Services (WHS), are part of routine users.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name. Destroy two years after case is closed.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Destroy two years after case is closed.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Adminsitrative Instruction No. 81.

Record source categories:

Letters to individuals originated by Personnel, Retention Registers furnished by Personnel, correspondence from management officials, correspondence from individual concerned, correspondence from MSPB/OPM and correspondence from appeals examiner in case of an appeal.

Systems exempted from certain provisions of the act:

None

DWHS P05

System name:

Roster of When Actually Employed Employees

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Clerical civilian employees employed by the Office of the Secretary of Defense on a 'when actually employed' basis.

Categories of records in the system:

Alphabetical list of employees and 3x5 card file also filed alphabetically. Request from management for services of When Actually Employed employee.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For use in Civilian Personnel Operations Division, to maintain record of WAE clerical employees, where they are assigned, working hours, contact address and telephone number, title and grade of their position and type of security clearance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Alphabetical list maintained in three-ring binder, updated as changes occur. 3x5 cards maintained in same manner. Requests from management retained until requirements completed.

Storage:

Paper records in notebook and card file.

Retrievability:

Information retrieved alphabetically, by last name.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Information maintained on a current basis only.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 2026973305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information obtained from individuals Official Personnel Folder and individual concerned.

Systems exempted from certain provisions of the act:

None

DWHS P06

System name:

DoD-Wide Civilian Career Program for Comptroller/Financial Management Personnel

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All employees in organizations serviced by SYSMANAGER who are eligible for GS-14 and above vacancies in the following job classification series: 501, 504, 505, 510 and 560, and positions of Comptroller or Deputy Comptroller regardless of series.

Categories of records in the system:

Standard Form 171's, supervisory appraisals and copy of Job Opportunity Announcement.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Applications are accepted for referral for current vacancies, located at the Office of the Secretary of Defense or other Department of Defense components, i.e., Department of Army, Department of Navy, Department of Air Force, Armed Forces Information Services (AFIS), Defense Advanced Research Projects Agency (DARPA), Defense Communications Agency (DCA), Defense Contract Audit Agency (DCAA), Defense Intelligence Agency (DIA), Defense Investigative Service (DIS), Defense Mapping Agency (DMA), Defense Nuclear Agency (DNA), Defense Security Assistance Agency (DSAA), Defense Supply Agency (DSA), Office of Dependents Education, Organization of the Joint Chiefs of Staff (OJCS), Tri-Service Medical Information System (TRIMIS), and Washingtion Headquarters Services (WHS), are part of routine uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Applications filed in folders by title and grade level of position. Supervisory career appraisals filed with application.

Storage:

Paper records in file folders.

Retrievability:

Information located by title and series of vacancy applied for.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Applications retained until position filled. Applications of non-selected candidates returned to them. Application of selectee filed in official Personnel Folder or returned to candidate if up-to-date application on file.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Applications from individuals, supervisory appraisals from current and former supervisors, information for Job Opportunity Announcements from Department of Defense Agency with vacancy.

Systems exempted from certain provisions of the act:

None

DWHS P07

System name:

Incentive Awards Records

System location:

Directorate for Personnel and Security, Washington Headquarters Serices (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Civilian Employees recommended for awards: Quality Salary Increases, Outstandings, Sustained Superior Work Performance Awards, Secretary of Defense Meritorious Civilian Service Award, Department of Defense Distinguished Civilian Service Award, Department of Defense Distinguished Public Service Award, Secretary of Defense Outstanding Public Service Award and various non-government awards.

Categories of records in the system:

Master log maintained on above awards, copies of signed citations by the Secretary of Defense, nominations which contain name, grade and title, period of recommendation and assigned activity. Disclosure file maintained on all nominations for awards which require name, address, occupation, telephone number, and educational background, and are submitted to non-government agencies.

Authority for maintenance of the system:

5 USC 451

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel-to determine eligibility for awards, statistical data regarding awards. Non-Government agencies which offer awards programs such as the William A. Jump Memorial Foundation, the Rockefeller Public Service Awards Program, and the Arthur S. Flemming Awards Commission. The Civil Service Commission for information necessary for the Commission to carry out its Government-wide personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To provide assistance in writing justifications for awards and to process the awards in a reasonable amount of time.

Storage:

Metal five drawer legal size file cabinet.

Retrievability:

Filed by Fiscal Year with a master log.

Safeguards:

Building patrolled by security guards. File is maintained in an area which is secured during non-working hours.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 2026973305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Recommendations received from the Immediate Office of the Secretary of Defense, Joint Chiefs of Staff, all Offices of the Secretary of Defense elements, Military Departments, Defense Agencies, private citizens.

Systems exempted from certain provisions of the act:

None

DWHS P08

System name:

Worker's Compensation-On-The-Job Injuries Report File

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301

Categories of individuals covered by the system:

Civilian employees injured on the job.

Categories of records in the system:

Case files containing required injury reports which include name, SSN, DOB, telephone number, type of injury, address, and assigned activity.

Authority for maintenance of the system:

5 USC 8101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director for Personnel and Security, WHS, and Labor Department for purposes of determining eligibility for Worker's Compensation, statistical data regarding leave taken and to review cases being processed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To provide assistance in submitting appropriate forms for injuries.

Storage:

Metal five drawer legal size file cabinet

Retrievability:

Filed by name of employee with card index.

Safeguards:

Building patrolled by security guards. File is maintained in an area which is secured during non-working hours.

Retention and disposal:

Files are permanent.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 2026973305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Civilian employees of the Office of the Secretary of Defense and Organization of the Joint Chiefs of Staff, and activities serviced by WHS.

Systems exempted from certain provisions of the act:

None

DWHS P09

System name:

Computer Data Base.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All civilian employees serviced by Directorate for Personnel and Security, WHS.

Categories of records in the system:

The following data is stored in addition to that required by Office of Personnel Management (OPM), Position Number, Position Tenure, Organization Code, Building Code, Date of Last Within Grade Increase, Due Date for Within Grade Increase, Highest Grade Held, Date of Last Promotion, Expiration Date of Appointment (If applicable), Nine Month Appraisal Date (If applicable), Leave Category, Special Category, Type of Appointment, Date of Current Appointment, Marital Status, Legal Residence, Security Clearance and Health Benefits Status.

Authority for maintenance of the system:

EO 9830 and 5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Personnel and Security Directorate - Date extracted as required by Office of Personnel Management for Central Personnel Data File. Certain fields used as required for statistical data. Stored data printed on personnel change forms to report a change in status, i.e., Standard Form 50, DA 2515. Extracts of data base used periodically to insure currency of files. Alphabetic locator to verify employment organization staffing summary.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

IBM Computer 370.

Retrievability:

Files may be retrieved and sorted by any field in Data Base.

Safeguards:

Building has security guards. User of Data Base must have a 'user code' in order to be admitted access to computer room.

Retention and disposal:

Records are permanent and current as long as the employee is employed.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Processing documents initiated by the Directorate for Personnel and Security and employee's Standard Form 171.

Systems exempted from certain provisions of the act:

None

DWHS P10

System name:

Training File.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Employees applying for Training Program.

Categories of records in the system:

Standard Form 171, Optional Form 37, Optional Form 170, DD Form 1556, SD Forms 446 and 447, Training Record Card File, which contains name, social security number, date of birth, home address, annual salary, and office and home telephone number

Authority for maintenance of the system:

5 USC 4101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The Personnel and Security Directorate to determine eligibility for training assignments.

EXTERNAL USERS, USES, AND PURPOSES

Office of Personnel Management for information necessary for OPM to carry out its Government-wide personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To ensure that complete records are maintained for program evaluation purposes.

Storage:

Metal file drawer legal size file cabinet without lock

Retrievability:

Filed by training program name and employee name

Safeguards:

Building has security guards. File is maintained in an area which is secured during nonworking hours.

Retention and disposal:

Records are permanent. Maintained in the Training and Career Development Branch at all times.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301

Notification procedure:

Information may be obtained from Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Employees submit application forms.

Systems exempted from certain provisions of the act:

None

DWHS P12

System name:

Executive Development Programs File

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B 347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Employees applying for executive development programs.

Categories of records in the system:

Optional Form 69 individual development plans, SF-171, SF-59, which contain name, social security number, date of birth, home address, annual salary, and office and home telephone number.

Authority for maintenance of the system:

5 USC 4101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, and PURPOSES

Personnel and Security Directorate - To determine eligibility for specialized development programs.

EXTERNAL USERS, USES, AND PURPOSES

The Office of Personnel Management (OPM) for information necessary for OPM to carry out its Government-wide personnel management functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To ensure that complete records are maintained for program evaluation purposes.

Storage:

Metal five drawer legal size file cabinet without lock.

Retrievability:

Filed by training program name and employee name.

Safeguards:

Building has security guards. File is maintained in an area which is secured during non-working hours.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Employees submit application forms.

Systems exempted from certain provisions of the act:

None

DWHS P13

System name:

Management Intern File

System location:

Directorate for Personnel and Security, Washington Headquarters Services, (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Management trainees on rotational assignments.

Categories of records in the system:

Standard Form 171 and resumes which contain name, Social Security Number, date and place of birth, home address, annual salary, and office and home telephone number.

Authority for maintenance of the system:

5 USC 3301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel and Security Directorate: for purposes of determining appropriate rotational assignment of management interns.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To ensure that complete records are maintained for trainee evaluation.

Storage:

Metal five drawer legal size file cabinet without lock.

Retrievability:

Filed by trainee's name.

Safeguards:

Building has security guards. File is maintained in an area which is secured during nonworking hours.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information obtained from employment applications submitted by individual; supervisory evaluation from previous employers.

Systems exempted from certain provisions of the act:

None

DWHS P14

System name:

Blood Donor Files

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Any blood donor with the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, and activities serviced by WHS.

Categories of records in the system:

File cards contain name, rank (if military), duty phone, home phone, duty activity and room number, blood type and dates of donations.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military Personnel Division-to determine eligibility for blood replacement. To provide source of contacts for emergency blood requirements. To determine eligibility for issuance of gallon donor certificates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Weekly screening of cards to determine if individual is eligible to donate blood.

Storage:

3x5 Cardex File.

Retrievability:

Filed alphabetically by last name of donor.

Safeguards:

Building has security guards. File is maintained in an area accessible only to authorized personnel.

Retention and disposal:

Records are permanent for the duration of the individual's participation as a blood donor.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 2026973305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Civilian Health Clinic-Pentagon and the individual blood donors.

Systems exempted from certain provisions of the act:

None

DWHS P17

System name:

Assignment Folders

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military personnel currently on duty with the Office of the Secretary of Defense, and activities serviced by WHS.

Categories of records in the system:

File folders on each individual which contains all pertinent information on his nomination, selection, and duty tour within the Office of the Secretary of Defense.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Military Personnel Division-to have a basic source folder of military personnel assigned which includes name, grade, social security number, service, previous duty station, schooling, duty title, duty activity, and other pertinent data relating to the individuals career and assignment with the Office of the Secretary of Defense, and activities serviced by WHS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To have a source document pertaining to personnel assigned to the Office of the Secretary of Defense. and activities serviced by WHS. To insure that a folder is initiated on all individuals upon acceptance for assignment to the Office of the Secretary of Defense, and activities serviced by WHS.

Storage:

Metal five drawer file cabinet with lock.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building has security guards. Files are maintained in an area that is secured during non-working hours.

Retention and disposal:

Records are retained for approximately six months after individual's departure then they are destroyed.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories: Information is provided from nomination folder and actions initiated by the Office of the Secretary of Defense.

Systems exempted from certain provisions of the act:

None

DWHS P18

System name:

The Office of the Secretary of Defense Identification Badge Suspense Card System.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military personnel assigned to the Office of the Secretary of Defense, and activities serviced by WHS.

Categories of records in the system:

All military personnel who are eligible for the Office of the Secretary of Defense Identification Badge after being assigned on permanent duty with the Office of the Secretary of Defense, and activities serviced by WHS, for a period of one year. Data includes names, social security account number, the Office of the Secretary of Defense activity, grade, service, and dates.

Authority for maintenance of the system:

10 USC 1125

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Military Personnel Division - To establish who is eligible for the Office of the Secretary of Defense Identification Badge after being assigned to an authorized space in the Office of the Secretary of Defense, and activities serviced by WHS.

EXTERNAL USERS, USES, AND PURPOSES

See the Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Issuance of the Office of the Secretary of Defense Identification Badges at end of each month for eligible personnel.

Storage:

3x5 Cardex File

Retrievability:

Filed alphabetically by last name of recipient.

Safeguards:

Building has security guards. Office locked during nonworking hours.

Retention and disposal:

Records are permanent. Maintained in the Military Personnel Division at all times.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Written or verbal inquiries.

Systems exempted from certain provisions of the act:

None.

DWHS P19

System name:

General/Flag Officer Files

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All General/Flag Officers assigned to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, WHS, and Defense Agencies.

Categories of records in the system:

Separate file on each General/Flag officer position in the Office of the Secretary of Defense and the Organization of the Joint Chiefs of Staff, WHS, and Defense Agencies. Each file contains information on the position (SD Form 37, Position Description), and information on the General or Flag Officer filling the position, to include all correspondence nominating him for the position and a summary of his military record, including prior assignments, awards, etc.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

To provide a centralized file to incorporate all staffing and personnel correspondence dealing with General/Flag officer positions and incumbents in the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff, WHS, and Defense Agencies.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Maintain files and update as correspondence relating to the General/Flag officer position as it is received.

Storage:

Metal five-drawer file cabinet with lock.

Retrievability:

Filed by organization and position.

Safeguards:

Building has security guards. File is maintained in an area that is secured during nonworking hours.

Retention and disposal:

Manpower authorizations: transfer one year after no longer current to Washington National Records Center (WNRC). Destroy when forty years old.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

All documents relating to General/Flag officers and/or their positions.

Systems exempted from certain provisions of the act:

None

DWHS P20

System name:

Report of Personnel Assigned Outside of Department of Defense

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All Department of Defense personnel working in any organization outside the realm of the Department of Defense.

Categories of records in the system:

Reflects personnel and assignment data in each Department of Defense personnel working outside the Department of Defense. This data includes name of individual, rank, social security number, service (GS rating if civilian), organization assigned to, and title of job. Also, included is the date of assignment and projected loss date of the individual concerned. The report also reflects in each case whether the position is reimbursable or non-reimbursable.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a central Department of Defense record of what Department of Defense personnel are working outside the Department of Defense and for what organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

This report is updated quarterly, based on information obtained from the military departments.

Storage:

Metal five drawer file cabinet with lock.

Retrievability:

Filed by month and year of report.

Safeguards:

Building has security guards. File is maintained in an area that is secured during non-working hours.

Retention and disposal:

Records are permanent. Maintained in the Military Personnel Division at all times.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Quarterly reports received from the military departments.

Systems exempted from certain provisions of the act:

None

DWHS P21

System name:

Duty Status Cards

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military personnel currently on duty with the Office of the Secretary of Defense and activities serviced by WHS, and all military personnel who have departed.

Categories of records in the system:

5x8 cards which include name, grade, social security number, service, duty title, duty activity, and other related information pertaining to the individual's duty assignment with the Office of the Secretary of Defense, and activities serviced by WHS.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military Personnel Division-Duty tour suspense, personnel requisition suspense, locator index of personnel who have departed and record of individual's duty status within the Office of the Secretary of Defense, and activities serviced by WHS and other related information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

To have a basic source document for military personnel. To insure that a status card is initiated on all military personnel (permanent and temporary) upon arrival to the Office of the Secretary of Defense, and activities serviced by WHS.

Storage:

Metal file cabinet.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building has security guards. File is maintained in an area that is secured during non-working hours.

Retention and disposal:

Records are permanent. Maintained in Military Personnel Division permanently.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information provided by the nomination folder and from the individual being assigned.

Systems exempted from certain provisions of the act:

None

DWHS P22

System name:

General/Flag Officer Roster

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All General and Flag Officers assigned to the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff and the Defense Agencies.

Categories of records in the system:

Contains data on each General/Flag officer possition in the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff and the Defense Agencies. Position information included Organization and Title of Position, Authorized Grade and Service and Rotation sequence among the services. Information on the individual

inlcudes: Name, rank, assigned grade and service, Social Security Number, date assigned, projected loss date and date of rank.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide centralized base for recording all General/Flag officer staffing changes in the Office of the Secretary of Defense, Organization of the Joint Chiefs of Staff and Defense Agencies with regard to: Requisitioning of personnel, notification of arrival and departure of personnel and changes in pertinent personnel data. To provide pertinent data for use in the Department of Defense wide General/Flag officer reduction program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Computer printout updated quarterly.

Storage:

Printouts filed in secured metal cabinets.

Retrievability:

Filed by month and year of issue.

Safeguards:

Building has security guards. File is maintained in an area that is secured during nonworking hours.

Retention and disposal:

Records are maintained for approximately two years, then destroyed.

System manager(s) and address:

Director of Personnel and Security, (WHS), Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

All personnel and assignment actions relating to General and Flag officer positions and personnel.

Systems exempted from certain provisions of the act:

None

DWHS P23

System name:

Roster of Military Personnel.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military personnel assigned to the Office of the Secretary of Defense, and activities serviced by WHS.

Categories of records in the system:

Computer printout reflects data in each position in the Office of the Secretary of Defense and activities serviced by WHS, and the individual filling it. Position information includes organization and title of position, authorized grade, authorized service and the military class code of the position. Information on the individual includes name, rank, social security number, date of rank, service, date assigned to the Office of the Secretary of Defense and activities serviced by WHS, and their projected loss date.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES:

Military Personnel Division/Office of the Secretary of Defense and activities serviced by WHS/Defense Agencies/and the Military Departments - To provide a base for recording all military personnel changes in the Office of the Secretary of Defense and activities serviced by WHS with regard to: requisitioning personnel, notification of their arrival, all changes in rank, dates of arrival and departure. For use by the Military Personnel Division to facilitate personnel records checks and various military staffing action.

EXTERNAL USERS, USES, AND PURPOSES:

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Computer printout updated monthly-copies sent to Military Departments and all activities within the Office of the Secretary of Defense for information and manning purposes.

Storage:

Metal five drawer file cabinet with lock.

Retrievability:

Filed by month and year of issue.

Safeguards:

Building has security guards. File is maintained in an area that is secured during nonworking hours.

Retention and disposal:

Records are permanent. Maintained in the Military Personnel Division at all times.

System manager(s) and address:

Director for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individual should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

All personnel and assignment related actions initiated in/out of the Office of the Secretary of Defense and WHS.

Systems exempted from certain provisions of the act:

None

DWHS P25

System name:

Overseas Staffing Files.

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Personnel assigned to positions overseas.

Categories of records in the system:

Standard For 171's, SF 1190's, travel orders, letters to Army Finance Office concerning pay, overseas quarters allowances, post differentials, etc., Standard Form 52, messages concerning the individual's return rights, home leave, etc., to and from overseas area.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Files are used as records of individuals employed in overseas positions located in Defense Advanced Research Projects Agency (DARPA), North Atlantic Treaty Organization (NATO), and U.S. Mission to NATO.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Applications and documents filed in folders by name and title of position.

Storage:

Paper records in file folders.

Retrievability:

Filed by employee name.

Safeguards:

Building employs security guards. Records are maintained in file cabinets in areas accessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Retained until individual returns to the United States, then destroyed.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Notification procedure:

Information may be obtained from: Directorate for Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The individual, overseas staff office, other Federal Agency offices.

Systems exempted from certain provisions of the act:

None

DWHS P26

System name:

Protective Services File

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Security Division, Room 3B278, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Any individual who initiates contact with the Secretary or Deputy Secretary of Defense in person, by United States mail, or telephonically who may possibly pose a threat to the personal safety of the Secretary or Deputy Secretary of Defense or other United States Government Officials.

Categories of records in the system:

File cards containing only data provided by the individual, which normally includes individual's name, address, type of communication, and a brief description of the message the individual intended to relay to the official or officials noted.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, Security Division, Directorate for Personnel and Security, WHS-to maintain a listing of those individuals who may pose a threat to the personal safety of the Secretary or Deputy Secretary of Defense or other United States Government officials. Routine exchange of data is made with the United States Secret Service.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Filed by name and by residence of the sender, caller or visitor.

Storage:

Vertical File Cards.

Retrievability:

By name and by residence of the sender, caller or visitor.

Safeguards:

Secure room.

Retention and disposal:

Indefinite.

System manager(s) and address:

Chief, Security Division, Directorate for Personnel and Security, Washington Headquarters Services, Department of Defense, Room 3B278, Pentagon, Washington, D. C. 20301.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

See Exemption

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 522a (j) or (k) as applicable. For additional information contact the SYSMANAGER.

DWHS P27

System name:

Pentagon Building Pass Application File

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Security Division, Room 3B278, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Any Office of the Secretary of Defense military or civilian employee, any Defense contractor associated with the Office of the Secretary of Defense or other persons who have reason to enter the Pentagon for official Office of the Secretary of Defense business and who therefore require an entry pass.

Categories of records in the system:

File cards containing name, sponsoring office with the Office of the Secretary of Defense and activities serviced by WHS, height, weight, date and place of birth. In addition, the entry pass identification number and expiration date are noted.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, Security Division, Directorate for Personnel and Security, WHS-to maintain a listing of personnel who are authorized a Pentagon building pass by the Office of the Secretary of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Filed by the individual's name or entry pass number.

Storage:

3x5 file cards.

Retrievability:

By the individual's name or entry pass number.

Safeguards:

Secure room.

Retention and disposal:

File cards are destroyed after termination of the individual's affiliation with the Office of the Secretary of Defense and activities serviced by WHS.

System manager(s) and address:

Chief, Security Division, Directorate for Personnel and Security, Washington Headquarters Services, Department of Defense, Room 3B278, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from: Physical Security Branch, Security Division, Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B278, Pentagon, Washington, D. C. 20301. Telephone: 202-697-7396.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

V 44 DE 17 79 UMI

All data maintained in the system is received voluntarily from individual Pentagon Building pass applicants.

Systems exempted from certain provisions of the act:

None

DWHS P28

System name:

The Office of the Secretary of Defense Clearance File

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Security Division, Room 3B278, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Military and civilian employees of the Office of the Secretary of Defense, its components and support organizations including the United States Court of Military Appeals and the United States Mission to NATO; experts and consultants serving with or without compensation; staff members of congressional committees requiring access to classified information or material, employee of other agencies detailed to the Office of the Secretary of Defense, very important people selected to attend orientation conferences, USO and Red Cross applicants for overseas posts.

Categories of records in the system:

Background investigations, national agency checks, security clearance actions, security violations, and supporting documents, briefings and debriefings.

Authority for maintenance of the system:

EO 10450

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Division, Directorate for Personnel and Security, WHS-to grant and maintain security clearances or access. Other Government agencies: To make avallable investigative material to authorized representatives of other security offices for extension of clearance to other Government agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Active clearance files maintained alphabetically by last name of subject. Inactive clearance files serially numbered and indexed alphabetically.

Storage:

Files maintained in file folders.

Retrievability:

Active clearance files maintained alphabetically by last name of subject. Inactive clearance files serially numbered and indexed alphabetically.

Safeguards:

Files are maintained in vaulted alarmed areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. Retained in active files until separation or end of requirement for security clearance. Held in waiting file for 10 years.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

See Exemption

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 522a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

DWHS P29

System name:

Employee Assistance Program Case Record Systems

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All civilian employees who are referred by management for, or voluntarily request, counseling assistance.

Categories of records in the system:

Systems are comprised of case records on employees which are maintained by counselors and consist of information on condition, current status, and progress of employees who have alcohol, drug, emotional, or other job performance problems.

Authority for maintenance of the system:

Drug Abuse Office and Treatment Act of 1972, as amended by Public Law 93-282 (21 U.S.C. 1175); Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment and Rehabilitation Act of 1970, as amended by Public Law 93-282 (42 U.S.C. 4582); Subchapter A of Chapter I, Title 42, Code of Federal Regulations; Chapter 43 of Title 5, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the counselor in the execution of his/her counseling function as it applies to the individual employee. With specific, written authority of the employee, selected information may be provided to and used by other counselors or medical personnel, research personnel, employers, representatives such as legal counsel, and to the other agencies or individuals when disclosure is to the employee's benefit, such as for processing retirement applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case records are stored in paper file folders.

Retrievability:

By employee name or by locally assigned identifying number.

Safeguards:

all records are stored under strict control. They are maintained in spaces normally accessible only to authorized persons, normally in locked cabinets.

Retention and disposal:

Records are purged of identifying information within five years after termination of counseling or destroyed when they are no longer useful.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WSH), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Counselors, other officials, individuals or practitioners, and other agencies both in and outside of Government.

Systems exempted from certain provisions of the act:

None

DWHS P30

System name:

Labor Management Relations Records Systems

System location:

Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Civilian employees who are involved in a grievance which has been referred to an arbitrator for resolution; civilian employees involved in the filing of an Unfair Labor Practice complaint which has been referred to the Assistant Secretary of Labor-Management Relations; union officials, union stewards; and representatives.

Categories of records in the system:

Records comprise: Manual files, maintained in paper folders, manually filed by type of case and case number (not individual). Folder contains all information pertaining to a specific arbitration case or specific Unfair Labor Practice with whom OSD has dealings: field activities maintain manual roster of local union officials and union stewards.

Authority for maintenance of the system:

Executive Order 11491, as amended 'Labor-Management Relations in the Federal Service.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of Defense (to include Army, Navy, Air Force, and other DoD agencies) in the performance of their official duties related to the Labor-Management Relations Program, e.g., Administration implementation of arbitration awards; interpretation of the Executive Order through third party case decisions; National consultation and other dealings with the recognized unions. Representatives of the U.S. Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Civilian Personnel Management Programs. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Labor Management Relations Program. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the administration of the Labor Management Relations Program. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are retrieved by case subject, case number, and/or individual employee names.

Safeguards:

All manual files are accessible only to authorized personnel having a need to know.

Retention and disposal:

Case files are permanently maintained. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, The Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, The Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305.

Record access procedures:

Request for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Arbitrator's office; Office of the Assistant Secretary of Labor for Labor-Management Relations; union headquarters officers.

Systems exempted from certain provisions of the act:

None.

DWHS P32

System name:

Standards of Conduct Inquiry File

System location:

Primary System-Office of the Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Individuals who have been alleged to have violated the Department of Defense Standards of Conduct or the conflict of interest statutes.

Categories of records in the system:

Files in the Office of the Director for Personnel and Security, WHS, which are used in the performance of the functions of the office. The files contain information about individuals in regard to allegations of violations of the Department of Defense Standards of Conduct or the conflicts of interest statutes.

Authority for maintenance of the system:

Title 10, U.S. Code, Section 137/EO 11222

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of the files is by the professional personnel in the Office of the Director for Personnel and Security, WHS, and Office of the General Counsel, Office of the Secretary of Defense, Department of Justice and DoD Components. Purpose of the files is to provide information for professional personnel in the Office of the Director for Personnel and Security, WHS, and Office of General Counsel to resolve various standards of conduct problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by name.

Safeguards:

Stored in metal filing cabinets with locking devices and metal combination safes depending on classification.

Retention and disposal:

Files are retained as long as there is official interest in the case; then destroyed or retired to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Written request for information should be addressed to the System Manager, Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305. Valid proof of identity is required.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information contained in files is obtained from various sources including correspondence, press releases, investigations performed by the Department of Defense and other agencies and congressional committees, and other systems of records in the Department of Defense.

Systems exempted from certain provisions of the act:

This system of records is exempt under the authority of (k)(2) and (5) of Title 5, U.S.C. Section 552a from subsections (c)(3) and (d) of that statute which would require the disclosure of: (a) investigatory material compiled for law enforcement purposes. However, if any individual is denied any right, privilege, or benefit that he would otherwise be entitled by Federal law, or otherwise be eligible, as a result of the maintenance of such material, the material shall be provided to that individual, except to the extent that its disclosure would reveal the identity of a source who furnished information to the Government under an express promise or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence, or; (b) investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, or Federal contracts, but only to the extent that the disclosure of such material would reveal the identity of a source who furnished information to the Government under an express promise or, prior to September 27

1975, under an implied promise that the identity of the source would be held in confidence.

At the time of the request for a record, a determination will be made concerning whether a right, privilege, or benefit is denied or the specific information which would reveal the identity of a source.

DWHS P33

System name:

Statements of Affiliations and Financial Interests File

System location:

Primary System-Office of the Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense Room 3B347, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Individuals who have been required to file Confidential Statement of Affiliations and Financial Interests-Department of Defense Personnel (DD Form 1555).

Categories of records in the system:

Files in the Office of the Director for Personnel and Security, WHS which are used in the performance of the functions of the office. The files contain information about individuals in regard to their financial interests and affiliations which may impact on their official duties.

Authority for maintenance of the system:

Title 10, U.S. Code, Section 137/EO 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of the files is by the professional personnel in the Office of the Director for Personnel and Security, WHS, and Office of the General Counsel, Office of the Secretary of Defense, Department of Justice and DoD Components. Purpose of the files is to provide information for professional personnel in the Office of the Director for Personnel and Security, WHS, and Office of the General Counsel to avoid and resolve conflict of interest problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by name.

Safeguards:

Stored in metal filing cabinets with locking devices and metal combination safes depending on classification.

Retention and disposal:

Files are retained as long as there is official interest in the case; then destroyed or retired to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301.

Notification procedure:

Written request for information should be addressed to the System Manager, Director of Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D. C. 20301. Telephone: 202-697-3305. Valid proof of identity is required.

Record access procedures:

Requests from individuals should be addressed to the above SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information contained in files is obtained directly from the individual on DD Form 1555, 'Confidential Statement of Affiliations and Financial Interests - Department of Defense Personnel.'

Systems exempted from certain provisions of the act:

None

DWHS P34

System name:

Non-Career Personnel Job Files

System location:

Primary location-Directorate for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

Information is collected concerning individuals employed by the Office of the Secretary of Defense who occupy non-career positions. Such information includes biographical information about these individuals. The following excepted positions are in included: Non-Career Assignments (NEA's) and Schedule C appointments. Reports are made for all authorized positions whether encumbered or vacant, new positions created or eliminate ', vacancies filled, and new vacancies.

Categories of records in the system:

System contains the person's first and last name, date of appointment, date of initial appointment, date vacated, race, ethnic background, sex, year of birth, domicile, career status, mailing address, residence and business phones, whether the individual is a veteran or handicapped, and certain background information.

Authority for maintenance of the system:

Executive Order 11478, 'Equal Employment Opportunity in Federal Government,' and a Presidential Memorandum dated July 27, 1977, 'Non-Career Personnel Job File'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used to provide the Presidential Personnel Office with timely reports on the progress of hiring for non-career positions. Reports which include information on all current positions and incumbents are submitted to the Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, for submission to the Presidential Personnel Office. A consolidated monthly report from the Office of the Secretary of Defense and the Military Departments is forwarded by the 10th of the following month to the Presidential Personnel Office. Monthly reports include all changes since the previous report. Information in the Non-Career Personnel Job File is collected and maintained by the Office of the Secretary of Defense and transmitted solely to the Presidential Personnel Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and computer tapes.

Retrievability:

Filed by organization, then by grade in descending order.

Safeguards:

Records are maintained in locked file cabinets in areas acessible only to authorized personnel who are properly screened and trained.

Retention and disposal:

Data is updated every month with personnel changes. Records are maintained permanently.

System manager(s) and address:

Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D.C. 20301.

Notification procedure:

Written request for information should be addressed to the System Manager. Valid proof of identity is required (e.g., building pass with photograph or temporary building pass and driver's license, or Social Security Number).

Record access procedures:

Procedures for gaining access by an individual to his records may be obtained from the Office of the Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, Room 3B347, Pentagon, Washington, D.C. 20301. Telephone: 202-697-3305.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Personnel files are compiled in the Office of the Director for Personnel and Security, Washington Headquarters Services (WHS), Department of Defense, with information that has been obtained from applicants and incumbents of non-career positions by DD Form 2087.

Systems exempted from certain provisions of the act:

None

DWHS P36

System name:

Award records for military-Office of the Secretary of Defense (OSD) personnel.

System location:

Directorate for Personnel and Security, Washington Headquarters Services, Department of Defense, Room 3B347, Pentagon, Washington, D.C. 20301.

Categories of individuals covered by the system:

Military personnel recommended for Defense medals.

Categories of records in the system:

Master log, copy of approved award signed by the Secretary of Defense, which contains the name, grade, Social Security Number, duty title, duty activity and period of assignment.

Authority for maintenance of the system:

5 USC 301; 10 USC 1121; Executive Orders 11904 and 12019.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES AND PURPOSES

Military Personnel Division--To insure that certificate, citation, and medal are obtained and transmitted to the individual receiving the award.

EXTERNAL USERS, USES AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Metal five drawer legal size file cabinet with lock.

Retrievability:

Filed by case number with a master log.

Safeguards:

Building has security guards. File is maintained in an area which is secured during nonworking hours.

Retention and disposal:

OSD Award records are transferred to Washington National Records Center (WNRC) after three years, then destroyed when fifteen (15) years old. The appropriate Service files a record in the individual's personnel folder.

System manager(s) and address:

Director of Personnel and Security, WHS, Room 3B347, Pentagon, Washington, D.C. 20301.

Notification procedure:

Information may be obtained from:
Directorate for Personnel and Security
Washington Headquarters Services (WHS)
Department of Defense
Room 3B347, Pentagon
Washington, D.C. 20301
Telephone: 202-697-5271

Record access procedures:

Requests from individuals should be addressed to the above System Manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Recommendations received from various Department of Defense related activities.

Systems exempted from certain provisions of the act:

None

DWHS SPM001

System name:

Application for Pentagon Parking Permit

System location:

DoD Parking Control Office, Directorate for Space Management and Services, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

Parking applications received from employees of the Department of Defense.

Categories of records in the system:

File includes: DD Form 1199, Application for Pentagon Parking Permit, and DD Form 1200, Pentagon Parking Permit Replacement/Re-Use of Space Request.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, 63 Stat. 377, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to assign Pentagon parking to eligible Department of Defense personnel.

INTERNAL USERS, USES, AND PURPOSES

To be used by DoD Parking Control Office to assign Pentagon parking to eligible DoD personnel.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card records in card file.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Under direct control of the DoD Parking Control Office. Office is locked and guarded.

Retention and disposal:

Records are kept on active applicants and destroyed when they depart Department of Defense.

System manager(s) and address:

Director, Space Management and Services, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Director, Space Management and Services
Washington Headquarters Services
Department of Defense
Room 3C345, Pentagon
Washington, D. C. 20301
Telephone: 202-697-7241

Record access procedures:

Requests from individuals should be addressed to: Director, Space Management and Services, Washington Headquarters Services, Department of Defense, Room 3C345, Pentagon, Washington D. C. 20301.

Written requests for information should contain the full name of the individual and the name of the employing component.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or Pentagon building pass.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Application for Pentagon Parking Permit, DD Form 1199, and related forms.

Systems exempted from certain provisions of the act:

None

DWHS SPM002

System name:

Pentagon Carpool Locator

System location:

Primary System - Air Force Data Services Center.

Decentralized Segments - DoD Parking Control Office, Directorate for Space Management and Services, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All Department of Defense (DoD) personnel who participate in Pentagon Building carpools.

Categories of records in the system:

Name of individual, DoD Component Code, home address, working hours, Pentagon office room number, office phone number, map coordinate of home address.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, 63 Stat. 377, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system assigns and administers allocated carpool parking spaces at the Pentagon.

INTERNAL USERS, USES, AND PURPOSES

DoD Parking Control Office - To assign and administer allocated carpool parking spaces at the Pentagon.

Air Forces Data Services Center - To provide a printout to each individual in the system which lists other participants who live near him/her who are potential carpool prospects, and to provide a complete printout of all participants to the DoD Parking Control Office and the General Services Administration (GSA).

Individuals - To contact other participants on either his/her individual printout or the DoD Parking Control Office's complete printout to determine their interest in carpooling.

EXTERNAL USERS, USES, AND PURPOSES

General Services Administration - To carpool data in area-wide system when and if implemented.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes, disk and paper printouts.

Retrievability:

Information is accessed and retrieved by name and home address map grid.

Safeguards:

All participants have access to the data, which is under direct control of the DoD Parking Control Office. Office is locked and guarded. Computer media resident at the Air Force Data Services Center is stored in controlled areas. Dial-up computer terminal access is controlled by user passwords that are periodically changed.

Retention and disposal:

Data is retained only on active participants. Records of personnel removed from the Pentagon Carpool Locator shall be kept one to three months and then destroyed.

System manager(s) and address:

Director, Space Management and Services, Washington Headquarters Services, Department of Defense, Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Director, Space Management and Services
Washington Headquarters Services
Department of Defense
Room 3C345, Pentagon
Washington, D C. 20301
Telephone: 202-697-7241

Record access procedures:

Requests from individuals should be addressed to: Director, Space Management and Services, Washington Headquarters Services, Department of Defense, Room 3C345, Pentagon, Washington, D. C. 20301.

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or Pentagon building pass.

The computer system has the facility to access all data stored in the data base. Central Parking control has exclusive access to the data base and controls updating the files.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Carpool Locator Card (DD Form 2170).

Systems exempted from certain provisions of the act:

None

DEFENSE ADVANCED RESEARCH PROJECT AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

E DARPA 001

System name:

Travel File

System location:

Administrative Services, Defense Advanced Research Projects Agency (DARPA), 1400 Wilson Boulevard, Arlington, Va. 22209.

Categories of individuals covered by the system:

All DARPA employees military and civilian who make one or more TDY trips for DARPA. Selected government employees who visit DARPA on official business at DARPA's expense and certain nongovernment personnel traveling on Invitational Travel Orders for DARPA.

Categories of records in the system:

Traveler's name, order number, order date, office, days authorized, travel date, estimated cost, remarks, origin, date travel voucher submitted to Finance, date returned from Finance, total cost, destination, estimated miles (rental car), actual miles (rental car), car cost, Government Transportation Request (GTR), GTR date, and airlines ticket costs.

Authority for maintenance of the system:

5 USC 301; Department of Defense Directive No. 5105.41, March 23, 1972, establishing DARPA as a separate agency of the Department of Defense under the direction, authority, and control of the Secretary of Defense.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primarily for internal management administrative, and budgetary needs. Director and Deputy Director, DARPA Staff Assistants, all Project Officers, and Personnel & Administrative Officers. Provides daily, weekly and monthly status reports to top management and all Project Directors concerning status of travel funds, locations of travel, frequency of travel, per diem costs, transportation costs, number of days in travel, and various other matters regarding travel of personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper print outs, paper records and correspondence in file folders, also, magnetic disc.

Retrievability:

Accessed by last name, by office, or by any of the data fields listed in Record Category.

Safeguards:

Paper copies are maintained in areas accessible only to authorized personnel. Building employs security guards. File access is available to authorized personnel who have been assigned system pass words.

Retention and disposal:

Paper files will be destroyed by burning or pulping after audit or 3 years whichever occurs first. There are no plans to retire or destroy ADP files.

System manager(s) and address:

Director, Administrative Services, DARPA, 1400 Wilson Boulevard, Arlington, Va. 22209.

Notification procedure:

Information may be obtained from
Director, Administrative Services, DARPA
Room 605, Architect Bldg
1400 Wilson Blvd
Arlington, Va. 22209
Telephone: 202-694-3998

Record access procedures:

Requests from individuals should be addressed to: Director, Administrative Services, DARPA, 1400 Wilson Boulevard, Arlington, Va. 22209.

Written requests for information should contain the full name of the individual, the period for which the information is required and specific categories of information required.

For personal visits, the individual should be able to provide DoD Identification Card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

DARPA Special Orders (TDY, Invitational, PCS, etc.,) Travel Vouchers as submitted by travellers and as returned by the local finance offices.

Systems exempted from certain provisions of the act:

None

E DARPA 002

System name:

Biographical Sketch

System location:

Administrative Office, Defense Advanced Research Projects Agency, (DARPA), 1400 Arlington Boulevard, Arlington, Va. 22209.

Categories of individuals covered by the system:

All DARPA current employees, military and civilian.

Categories of records in the system:

Biographical sketch contains name, place of birth, Date of Birth (DoB), home address, home phone; Service Computation Date (SCD), DARPA reporting date, DARPA project office, room number, office phone, position title and grade; experience; education,

degree/year and field; membership in professional societies/committees; awards or special achievements; professional or technical papers published, including dates; future training desired; spouse's name; names and ages of children; hobbies; remarks. Additional data for military personnel includes temporary rank/ grade, permanent rank/ grade; professional training received within past three years, current thoughts regarding future service assignments.

Authority for maintenance of the system:

5 USC 301; Department of Defense Directive No. 5105.41, March 23, 1972, establishing DARPA as a separate agency of the DoD under the direction, authority and control of the Secretary of Defense.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To update management with a concise sketch of DARPA employees, when needed for award ceremonies or interviews.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Biographical sketches are in employee's file folder.

Retrievability:

Accessed by last name

Safeguards:

Combination locked file cabinets. Material is maintained in areas accessible only to authorized personnel. Building employs security guards.

Retention and disposal:

Records are maintained while employee is with DARPA; records are destroyed by burning 2 years after employee has left DARPA.

System manager(s) and address:

Administrative Officer, Defense Advanced Research Projects Agency (DARPA), 1400 Wilson Boulevard, Arlington, Va. 22209.

Notification procedure:

Information may be obtained from:
Administrative Officer, DARPA
Room 827
1400 Wilson Boulevard
Arlington, Va. 22209
Telephone: 202-694-3236

Record access procedures:

Requests from individuals should be addressed to: Administrative Office, DARPA 1400 Wilson Boulevard, Arlington, Va. 22209.

Written requests for information should contain the full name of the individual, his project office, and period employed in DARPA.

For personal visits, the individual first needs to identify himself as a DARPA employee.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is provided by individuals concerned.

Systems exempted from certain provisions of the act:

None

E DARPA 004

System name:

DARPA Personnel.

System location:

Defense Advanced Research Projects Agency, 1400 Wilson Blvd., Arlington, Va. 22209.

Categories of individuals covered by the system:

Current and former DARPA employees, civilian and military, consultants, and part-time employees.

Categories of records in the system:

File contains individual's Biographical Data: Name, Prename, Date of Birth (DOB), Age, Education; Classification Data: Job Series, Job Title, Position Description Number, Salary; Grade Data: Grade Type, Grade Step, DARPA Promotion, Last Within Grade Increase (WGI), Next Within Grade Increase (WGI); Office of Personnel Management Data: Service Computation Date (SCD), Years in Government; DARPA Data: Project, Civilian-Military Professional Support, Project Number, Entered on Duty (EOD) DARPA; Left DARPA, Years in DARPA; Military Data: Rank, Service, Reassignment Due, Slot Rank, DARPA Award, Date of Rank, Position Description; Review Data; Clearance, Current Office Assignment Data, Eligibility for Retirement; Remarks; Mailing Data: Title, Name, Spouse's Name, Street, City, State, Zip Code, Home Phone; Office Data: Name, Office Phone, Room, Division.

Authority for maintenance of the system:

5 USC 301; Department of Defense Directive 5105.41, dated June 8, 1978, establishing DARPA as a separate Agency of the Department of Defense under the direction, authority, and control of the Secretary of Defense.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

Mainly for internal managerial and administrative needs. Director and Deputy Director, DARPA, Administrative Officer, Staff Assistant, Administrative Office, and Systems analysts have access to complete file. Information in different combinations is used for monthly manpower counts, staffing balance for civilian vs. military, professional vs. clerical; grade and salary count. Individual organizational configuration only is available to appropriate Office Director for their managerial needs.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disk, computer paper printouts, paper records, and correspondence in file folders.

Retrievability:

Data is retrievable by last name as well as by any of the data fields listed in RECORD-CATEGORY.

Safeguards:

Access to total file limited by password, building employs security guards. Files are maintained in combination locked files and in areas accessible only to authorized personnel that are properly screened and trained.

Retention and disposal:

Files are permanent. There are no plans to retire or destroy ADP files. Paper files are destroyed by burning two years after employee has left DARPA.

System manager(s) and address:

Administrative Officer, DARPA, 1400 Wilson Blvd., Arlington, Va. 22209.

Notification procedure:

Information may be obtained from:
Administrative Officer, DARPA
Room 827, Architect Bldg.
1400 Wilson Blvd.
Arlington, Va. 22209
Telephone: 202-694-3236

Record access procedures:

Requests from individuals should be addressed to: Administrative Officer, DARPA, 1400 Wilson Blvd., Arlington, Va. 22209.

Written requests for information should contain the full name of the individual, the DARPA office assigned to currently or previously and the period of employment with DARPA.

For personal visits, the individual should be able to provide some acceptable identification, such as DARPA pass, DoD pass, or verbal information that could be verified in his file.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is gathered from SF 171, SF 50, DD 2515, Optional Form 8, OSD military staffing plan and roster, military award forms.

Systems exempted from certain provisions of the act:

None

BILLING CODE 3810-70-F

UNITED STATES AIR FORCE

HOW SYSTEMS OF RECORDS ARE ARRANGED. In the Air Force, records are grouped by subject series. Each series has records about a specific activity or function to which a subject title and number is given. Systems of records are grouped in the same way. For example, a system of records on personnel security clearances may be found in 'Security - 205' and one about psychiatry in 'Medical Service - 160'. These numbers are part of the system identification (ID) which precede the notices in the Federal Register. They look like this: F20505 SPI A; F16001 SGPC A. The letter F means Air Force. The first three digits (205 and 160) show that the records pertain to Security and the Medical Service respectively; and the last two are a further breakdown of that series. The letters that follow these numbers are internal management accounting devices only. Other systems of records which differ from these examples but have similar documents may also be found in the same series.

HOW TO USE THE INDEX GUIDE. The systems of records maintained by the Air Force are contained within the subject series that are listed below. This list identifies each series in the order in which it appears in this issuance. Use the list to identify subject areas of interest. Having done so, use the series number (for example: 205 for Security) to locate the systems of records grouping in which you are interested.

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Administrative Communications	010
Administrative Practices	011
Documentation	012
Organization and Mission - General	020
Management Engineering	025
Programming	027
Personnel	030
Military Personnel	035
Civilian Personnel	040
Reserve Forces	045
Training	050
Flying Training	051
Schools	053
Flying	060
Equipment Maintenance	066
Supply	067
Procurement	070
Transportation and Traffic Management	075
Motor Vehicles	077
Research and Development	080
Audio-Visual Systems	095
Communications-Electronics	100
Judge Advocate General	110
Military Justice	111
Claims	112
Inspector General	120
Inspection	123
Special Investigations	124
Security Police	125
Safety	127
Housekeeping and Nonhousekeeping Quarters	140
Medical Service	160
Aerospace Medicine	161
Dental Services	162
Veterinary Services	163
Aeromedical Evacuation	164
Medical Administration	168
Automatic Data Processing Systems and Procedures	171
Auditing	175
Nonappropriated Funds	176
Accounting and Finance	177
Management Analysis	178
Postal and Courier Operations	182
Information	190
Intelligence	200
Security	205
Personal Affairs	211
Libraries	212
Education Services Program	213
Dependents' Education	214
Recreation	215
Chaplain	265
Awards, Ceremonies, and Honors	900

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

F00401 05HCHLA

System name:

For Cause Separations of Personnel with Duty and Travel Restrictions (FCS/DTR)

System location:

Directorate of Security and Communications Management, Air Force Intelligence Service (AFIS), Pentagon, Washington DC 20330; Directorate of Security Police, Hq United States Air Force Security Service, San Antonio, Texas 78243; Office of Administrative Assistant to the Secretary of the Air Force, Pentagon, Washington DC 20330.

Categories of individuals covered by the system:

All personnel who are under current duty and travel restrictions who are being considered for seperation from service for either punitive or administrative (nonvoluntary) reason.

Categories of records in the system:

Initial submission and recomendations of the Air Force Major Command (MAJCOM) or Seperate Operating Agency (SOA) concerned and all supporting documents for the proposed action; AFIS Directorate of Security and Communication Management recommendations for disposition to the Assistant Chief of Staff for Intelligence Hq, US Air Force; if applicable, decisions and correspondence from Administrative Assistant to the Secretary of the Air Force.

Authority for maintenance of the system:

Title 10 USC 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by designated, responsible Air Force intelligence officials to recommend/ determine propriety of proposed action in light of individual's duty and travel restriction; substantive information is provided to responsible individual in the Secretary of the Air Force organization to assist in determining a final decision in some instances; copies maintained by Secretary of the Air Force organizations are used to evaluate the effectiveness of the program, to determine consistency of decisions and decision trends, and to provide program guidance to the System Manager

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
And grade/rank

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.
Records are stored in vaults.

Retention and disposal:

Records maintained in active status until final disposition of each separate file. After final disposition of the case the record is placed in inactive status for five years and then destroyed. File copies maintained in the Secretary of the Air Force organization are destroyed after 4 years Destruction is by pulping, burning, or shredding.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

The Director of Security and Communications Management, Air Force Intelligence Service, Pentagon, Washington DC 20330 is designated to act in the name of the Assistant Chief of Staff for Intelligence, Hq US Air Force

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Unclassified portions of file available upon request. Request must include full name, grade (where applicable), social security account number, date and place of birth, organization/activity to which assigned/employed at time of proposed For Cause Separation. Visits may be made to office of System Manager Individuals not authorized access to Pentagon working areas should contact System Manager by mail beforehand. Include all above information in letter.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's Personnel records and MAJCOM/SOA Commander's proposal and

Systems exempted from certain provisions of the act:

NONE

F01001 AFA A

System name:

01001 AFA A Cadet Administrative Records.

System location:

At United States Air Force Academy CO 80840.

Categories of individuals covered by the system:

AF Academy Cadets.

Categories of records in the system:

(1) Information on automobiles to be purchased by cadets; (2) List of items to be shipped at government expense for involuntarily dismissed cadets and cadets discharged from the Academy; (3) Substantiating documents to insure cadet store purchases over

25 are for personal use or a bonafide gift and controlling restrictive purchases; (4) Flight manifests, host information and TDY destinations for cadet movements away from the Academy.

Authority for maintenance of the system:

10 USC 8012 Secretary of the Air Force: powers and duties; delegation by; 10 USC 9331 Establishment; Superintendent; faculty.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Superintendent; faculty. (1) Provide supervisory personnel with immediate information concerning cadets of their automobiles which will aid in locating cadets or their autos or help supervisors make realistic decisions concerning automobile ownership or automobile related situations, alert supervisory personnel to the possibility of individual tendencies to commit unsafe acts and thus provide opportunity for corrective counseling; (2) Used by cadet and outprocessing section to accomplish required outprocessing actions and to establish a record of distinctive military items turned in to liquidate their indebtedness and record a clearance and itemized listing of articles shipped; (3) Used by cadet store management to insure cadet store purchases over

25 are for personal use or a bonafide gift and to record restrictive purchases; (4) Establish and maintain control of cadet contingents away from USAF Academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card file, file folders and computer paper printouts.

Retrievability:

Filed by name, identification number, system identifier or military service number.

Safeguards:

Records are accessed by person(s) responsible for servicing or using the record system in performance of their official duties.

Retention and disposal:

(1) Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (2) Retained in office files for six months after the individual terminates military service, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (3) Retained in office files until graduation or elimination from training, then transferred to staging area, USAF Academy, CO 80840 for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (4) Retained in office files for two years after annual cut-off then retired to Washington National Records Center, Washington DC 20409, for permanent retention. Retained in office files until training is completed and posted to applicable documents, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commandant of Cadets, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From individuals, source documents and trip planning worksheets.

Systems exempted from certain provisions of the act:

NONE

F01001 CVAE A

System name:

01001 CVAE A Secretary of the Air Force Historical Records

System location:

Washington National Records Center, Washington DC 20409. Modern Military Branch Military Archives Division National Archives and Records Service, Washington DC 20408.

Categories of individuals covered by the system:

Employees and former employees of the Secretary of the Air Force, and anyone who has corresponded with the Secretary of the Air Force.

Categories of records in the system:

Secretary of the Air Force correspondence files covering calendar years 1947 through March, 1972, most of which does not contain personal information.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for research by Air Force Historian, other government agencies and private institutions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Dewey Decimal System.

Safeguards:

Access by direction of the Secretary of the Air Force only. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Staff, Headquarters United States Air Force, Washington, D C. 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, educational institutions, medical institutions, police and investigating officer, the public media, a corporation, and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01001 DAYYT A

System name:

Unusual and Incoherent Translation Material

System location:

Translation and Abbreviations Section, Directorate of Administration

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

The category of individuals covered by the system includes individuals residing in the United States (aliens or United States citizens) or foreign nationals who have addressed correspondence regularly over a period of years to the Department of Defense, or to specific persons such as Secretary of the Air Force, or Secretary of Defense and so forth.

Categories of records in the system:

Complete or Summary translations of letters, articles, and documents.

Authority for maintenance of the system:

Title 10 United States Code Section 8034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Translations of previous correspondence aid Translation and Abbreviations Section personnel in translating or summarizing similar correspondence when it is received.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by personnel screening.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Translation and Abbreviations Section, Directorate of Administration, Headquarters United States Air Force, Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

The individual must furnish full name and address. The individual may visit the Translation and Abbreviations Section of the Directorate of Administration at Headquarters United States Air Force, Washington DC 20330. No identification is required to determine if the system contains records pertaining to a specific individual.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing address, Translation and Abbreviations Section, Directorate of Administration, Headquarters United States Air Force, Washington DC 20330

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is in the form of translated correspondence.

Systems exempted from certain provisions of the act:

NONE

F01001 OBXQPCF

System name:

Planning and Resource Management Information System

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Limited to USAFA Data Automation Personnel Involved with Data Automation Development Projects

Categories of records in the system:

Individual work schedules and individual workload forecast reports

Authority for maintenance of the system:

10 USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individual Work Schedules are used to define work assignment and collect actual hours worked against planned estimated hours by development task for each individual expending hours against an automated data system development project. Individual workload forecasts are used to determine future (12 month) workload planned for each individual against pending projects.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer paper printouts.
Maintained on microfiche.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Data Automation, United States Air Force Academy

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F01001 REPX A

System name:

Inquiries (Presidential, Congressional)

System location:

At Headquarters United States Air Force, Washington DC 20330. Personnel Division Office of Air Force Reserve (AF REPX)

Categories of individuals covered by the system:

Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Retired Air Force general officers.
Former Air Force Reserve Personnel.

Categories of records in the system:

Individual inquiries, research material and replies

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reply to inquiries, Office of Secretary of Air Force, Air Reserve Personnel Center, HQ Air Force Reserve, reply to subsequent inquiries

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Air Force Reserve, Personnel Division, Headquarters USAF, Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Requests should include the full name and SSAN. Individuals may visit the Personnel Division. Office of the Air Force Reserve, Pentagon, Washington DC and should provide military identification card or driver's license as means of identification.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01001 SAFPC A

System name:

Air Force Discharge Review Board Retain Files

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Former Air Force Personnel who submit applications for review of discharge/ separation/dismissal

Categories of records in the system:

File contains copies of correspondence between applicant and Discharge Review Board; duplicates of summary of board proceedings and summary of applicant's military record; and miscellaneous control records.

Authority for maintenance of the system:

10 United States Code 1553

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Air Force Discharge Review Board as a temporary reference file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in safes.

Retention and disposal:

Retained in office files for one year from date of hearing and then destroyed by burning or shredding

System manager(s) and address:

Director, Secretary of the Air Force Personnel Council, Washington, D.C. 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Written requests should contain the full name, service number and social security account number of the requestor. Personal visits may be made to room 920, Commonwealth Building, 1300 Wilson Blvd, Arlington, VA. Personal vistors must supply full name, service number, social security account number and some form of identification such as driver's license.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's military personnel record

Systems exempted from certain provisions of the act:

NONE

F01001 0CGBUZA

System name:

01001 0CGBUZA Individual Weight Control File.

System location:

At Air Force (AF) unit of assignment; servicing medical facility. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

Air Force active duty military personnel. Air Force Reserve Personnel who are enrolled in the Weight Control Program.

Categories of records in the system:

File contains: individual weight control record; letters informing individual of overweight status, scheduling medical evaluation, and documenting monthly medical progress; general military training record.

Authority for maintenance of the system:

USC 8012 Secretary of the Air Force: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

file purpose is to document a person's progress in Weight Control program. Those authorized access to the file are the individual, Unit Commander, Unit Weight Control Monitor, medical personnel, Major Command (MAJCOM) Monitor, CBPO and legal personnel on a need to know basis in performing offical duties. The file keeps individual informed of weight loss in attaining maximum allowable weight, provides history of weight loss and counseling, provides an input for medical determinations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name by Social Security Number (SSN) and grade.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are controlled by personnel screening.

Retention and disposal:

When a person achieves the desired weight standard, file is forwarded to servicing medical facility to be included in individuals medical records.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Commander, Unit of Assignment. Inquiries on existence of a file should include full name, grade, SSN, and should go to Unit of Assignment. Personal visit proof of identity requires possession of Armed Forces Identification Card.

Record access procedures:

Commander Unit of Assignment. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual.

Systems exempted from certain provisions of the act:

NONE

F01001 0J DP F

System name:

Drug Abuse Ledger

System location:

Headquarters Air Training Command(ATC) Deputy Chief of Staff for personnel(DCS/P) Randolph Air Force Base TX 78148.

Categories of individuals covered by the system:

All rated or flying training students who have drug abuse files

Categories of records in the system:

Composite listing containing personnel drug status data

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses ledger to Monitor drug related case actions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Stored in locked building

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

DCS/P Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01001 0JDJDBB

System name:

Administrative Discharge Information Summary

System location:

Quality Control Section, Consolidated Base Personnel Office, 3345 Air Base Group Chanute Air Force Base IL

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Categories of records in the system:

Personnel administatively discharged for cause at Chanute Air Force Base, IL

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To monitor and provide trend analysis on discharge actions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

One year from date of discharge. Destroy by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Consolidated Base Personnel Office, 3345 Air Base Group, Chanute AFB, IL

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual military personnel records and completed discharge case

Systems exempted from certain provisions of the act:

NONE

F01001 0JMPLSA

System name:

Instructor of the Month Records

System location:

At Officer Training School USAF at Lackland AFB TX 78236

Categories of individuals covered by the system:

All instructors nominated for Instructor of the Month

Categories of records in the system:

Narrative of instructor's job performance;

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Selection of the Instructor of the Month

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Destroyed after 1 year by tearing into pieces, shredding, pulping, macerating, or burning

System manager(s) and address:

Dep Cmdr for Mil Tng Officer Tng School Lackland AFB TX 78236

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Observation by supervisor

Systems exempted from certain provisions of the act:

NONE

F01001 0KPNQSA

System name:

Potential Faculty Rating System

System location:

Squadron Officer School, Maxwell Air Force Base, AL 36112

Categories of individuals covered by the system:

Former Squadron Officer School students being considered for faculty duty

Categories of records in the system:

Individual rating of students

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Evalute individuals for potential assignment as faculty members

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Student Operations Squadron Officer School, Maxwell Air Force Base, AL 36112

Notification procedure:

Requests should include the individual's name and Social Security Account Number. Individuals may visit Office of Sysmanager and present Military ID Card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01001 0QFJXTA

System name:

Office Projects/Studies (Behavioral Service Program)

System location:

Behavioral Services Office, 436 Military Airlift Wing, 436MAW/CCJ-Dover Air Force Base DE 19901

Categories of individuals covered by the system:

Behavioral Service Clients

Categories of records in the system:

Training records, counselling notes

Authority for maintenance of the system:

10USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Research followup, Behavioral Service use only

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to a staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief,Behavioral Services

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01001 0QKRSMA

System name:

Academic Completion Report

System location:

Evaluation Section, 1550th Aircrew Training and Test Wing, / DDTEE Hill Air Force Base, UT 84406

Categories of individuals covered by the system:

Students who completed academic training

Categories of records in the system:

Training Completion Report

Authority for maintenance of the system:

10USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to report student performance and completion of academic training

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
and date of completion of academic training

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Evaluation Section, 1550th Aircrew Training and Test Wing, Hill Air Force Base, UT 84406

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individuals

Systems exempted from certain provisions of the act:

NONE

F01001 0QVDYDA

System name:

Correspondence, Message and Project Files (Civil Reserve Air Fleet Personnel)

System location:

Military Airlift Command, Deputy Chief of Staff, Plans, Directorate of War Plans, Civil Air Division, Scott Air Force Base IL 62225.

Categories of individuals covered by the system:

All Civil Reserve Air Fleet Carrier personnel who have been granted a security clearance of Secret under the industrial security program.

Categories of records in the system:

Semi-annual report from the Civil Reserve Air Fleet Carriers identifying additions, deletions, and corrections to the previous report. Consolidated list prepared and published semi-annually by the System Manager.

Authority for maintenance of the system:

Executive Order 11490.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Carrier reports used to update consolidated list. Consolidated list published as attachment to Military Airlift Command Regulation 55-5, and distributed to appropriate agencies involved in releasing classified material to Civil Reserve Air Fleet Carrier personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer cards and computer paper printouts and in file folders.

Retrievability:

Filed alphabetically by last name, by Civil Reserve Air Fleet Carrier.

Safeguards:

Accessed by persons responsible for servicing the record system in performance of their official duties. Stored in security container (three combination safe).

Retention and disposal:

Retained in office safe until updated semi-annually. Cards withdrawn (deletions or corrections) are retained until next report received, then destroyed by tearing in half. Consolidated list becomes background material to the related publication which is retained as current record until the publication is rescinded, superseded, or obsoleted; then removed from the current file, placed in inactive file which is cutoff 31 December each year, retained in office files for one year after annual cutoff, transferred to the staging area for one additional year, then retired to the Washington National Records Center, Washington DC 20409 for permanent retention.

System manager(s) and address:

Deputy Chief of Staff, Plans, Headquarters Military Airlift Command, Scott Air Force Base, Illinois 62225.

Notification procedure:

Requests from individuals should be addressed to Systems Manager.

Record access procedures:

Individual gains access from Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F01001 05HCHLC

System name:

01001 05HCHLC Air Force Attache Record System

System location:

Air Force Intelligence Service, Bolling AFB, DC 20332

Categories of individuals covered by the system:

Files are maintained on Air Force Attache applicants, current Air Force Attaches and former Attaches

Categories of records in the system:

Career Briefs, Officer Effectiveness Reports, Airman Performance Reports, Statements of Personal History, autobiographies, family photos, Armed Forces Language Aptitude and Proficiency Test scores, finger print card, Medical Fitness Statements, Statements of Interview by Commanders, Requests for National Agency Checks

Authority for maintenance of the system:

5 USC 301 and 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The material is used by the Active Duty Military Staff Directory involved with the selection and service of Air Force Attaches. The purpose of collecting the information on Attache applications is to evaluate the suitability of an individual for Attache duty. The purpose of maintaining records on current Attaches is to assist in providing service to them while on station. The purpose of maintaining material on prior Attaches is to assist them in their applications for subsequent Attache duty and for analysis and historical purposes. The records are retained within the Air Force Attache System and not disclosed to personnel outside the Attache System

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. safes, or locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director Air Force Attache Affairs, Air Force Intelligence Service, Ft Belvoir, VA 22060

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals, Air Force Military Personnel Center, Randolph Air Force Base Texas.

Systems exempted from certain provisions of the act:

NONE

F01001 05HCHLD

System name:

01001 05HCHLD USAF Prisoner of War (PW) Debriefing Files

System location:

7602 Air Intelligence Group (INXB), Ft Belvoir, VA 22060

Categories of individuals covered by the system:

Air Force returned PW.

Categories of records in the system:

Debriefing transcripts; messages concerning PWS; topical data.

Authority for maintenance of the system:

10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Intelligence file; research source documents used by Air Force Intelligence Analysts, Physicians, Casualty Resolution Personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, on computer magnetic tapes and paper printouts and on microfiche.

Retrievability:

Filed by Name or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in safes. Records are controlled by computer system software.

Retention and disposal:

Retire as permanent to Albert F. Simpson Historical Research Center, Maxwell AFB, AL 36112.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

The individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Returned USAF prisoners of war.

Systems exempted from certain provisions of the act:

NONE

F01002 0QVDYDA

System name:

Military Airlift Command (MAC) Dishonored Check Program.

System location:

At consolidated base personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Dependents of military personnel.
All Department of Defense civilian employees and all retired military personnel.

Categories of records in the system:

Copies of dishonored checks and correspondence pertaining thereto having individual's name, grade, SSAN, and unit of assignment.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to provide a basis of information for processing and reporting all dishonored checks. Category of user - Air Force Specific use - provides Unit Commanders, Base Personnel Officers, and Base check-cashing facilities name, grade, SSAN, and unit of assignment of individuals who have issued dishonored checks.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Consolidated Base Personnel Office Quality Force Section.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions.
Information obtained from police and investigating officers.

Systems exempted from certain provisions of the act:

NONE

F01003 0IACYVA

System name:

01003 0IACYVA Background Material

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Letter request for orders, amendments, including justification on files on special authorizations when required by order publishing activity.

Authority for maintenance of the system:

Title 10, United States Code, 1162.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information on form is utilized for publication of discharge orders used by military personnel and AF civilian employees within the office and verify that discharge orders were published.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve. idenficiation card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions, police and investigating officers, witnesses and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01101 DAYYT A

System name:

Operational Reference File

System location:

Translation and Abbreviations Section, Directorate of Administration

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Categories of individuals covered by the system include language translators and interpreters, State Department personnel, Army and Navy translation activity personnel, commercial translation services personnel

Air Force civilian employees.
Former Air Force civilian employees.
Foreign Nationals residing in the United States.

Categories of records in the system:

File is comprised of individual personnel data cards.

Authority for maintenance of the system:

Title 10 United States Code, Section 8034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Translation and Abbreviations Section personnel use the information contained in the system to check names and titles of foreign military and civilian government personnel which appear in correspondence received for translation. This system also serves as a listing of translators/interpreters available to provide translation and interpreting services in support of Headquarters United States Air Force requirements for such services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Information retrieved by name or title.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Translation and Abbreviations Section, Directorate of Administration, Headquarters United States Air Force, Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

The individual must furnish full name, and indicate whether military/civilian status and whether a resident or nonresident of the United States. The individual may visit the Translation and Abbreviations Section of the Directorate of Administration at Headquarters United States Air Force, Washington DC 20330. No identification is required to determine if the system contains records pertaining to a specific individual.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing address, Translation and Abbreviations Section, Directorate of Administration, Headquarters United States Air Force, Washington DC 20330

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from an international organization.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
Information obtained from commercial translation service firms, from the Department of Defense or other United States Government translation activities, and from translated correspondence.

Systems exempted from certain provisions of the act:

NONE

F01101 DPXJ B

System name:

Record of Air Force Personnel Assigned Outside the Department of Defense

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Air Force military and civilian personnel assigned to full time duty outside the Department of Defense.

Categories of records in the system:

Records include correspondence between the Air Force and non-military government agencies. Additionally, a by-name listing of personnel is forwarded on a quarterly basis to the Department of Defense.

Authority for maintenance of the system:

Title 44, United States Code , Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records used to maintain an accurate accounting of personnel. Principle users are Air Force personnel managers and the Deputy Assistant Secretary (Administration), Office of the Secretary of Defense . Purpose is to account for the personnel detailed outside the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained until an individual is returned to Air Force duties and then destroyed by tearing to pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Correspondence between the Air Force and non-military government agencies and information extracted from military personnel records.

Systems exempted from certain provisions of the act:

NONE

F01101 DPXJC C

System name:

01101 DPXJC C USAF Reconstitution Requirements for Office of JCS and HQ USAF

System location:

HQ USAF/Deputy Chief of Staff, Personnel, USAF Personnel Readiness Center, Washington, DC 20330 (DC).

Categories of individuals covered by the system:

USAF Military and Civilian Personnel identified to fill reconstitution positions for the Office of Joint Chief of Staff (OJCS).

Categories of records in the system:

Records are maintained on electrical accounting machine (EAM) cards; cards contain name of selectee, Social Security Account Number, Command of Assignment, Installation Location, Grade of Selectee and the authorized position data.

Authority for maintenance of the system:

Title 44, United States Code (USC), Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to identify individuals to fill reconstitution requirements. Records used within the Air Force (AF) and the National Military Command Center (NMCC) for AF General Officers in support of Contingency Operations Plan and the National Security Agency (NSA) for AF personnel designated to reconstitute NSA. Records are used to manage the personnel resource designated for reconstitution.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Complete file is maintained in accordance with USAF security directives.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information derived from military personnel records and authorized manning documents, position descriptions and related correspondence.

Systems exempted from certain provisions of the act:

NONE

F01101 PRES A

System name:

Check Cashing Privilege Files

System location:

Commissaries, Services, Clothing Sales Stores and any other check cashing facilities at Air Force installations. Official mailing addresses are in the Department of Defense Directory in the Appendix to the Air Force's System notice.

Categories of individuals covered by the system:

All active duty military personnel.
Dependents of military personnel.
Persons whose checks, presented at these facilities, have been dishonored and or whose check cashing privileges have been suspended or revoked.

Categories of records in the system:

Letters, cards and listings on individuals who have cashed bad checks at base facilities.

Authority for maintenance of the system:

10 U.S.C. 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Identify individuals whose check cashing privileges are suspended or revoked and to refuse check cashing services to such individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper records in card or listing media. Documents are filed in folders or card boxes and posted in or near the cashier's cage or cash register box at the check cashing facility.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Stored in locked cabinets, containers, or rooms.

Retention and disposal:

Retained in office files for two years after annual cut-off, then retired to Washington National Records Center, Washington DC 20409, for permanent retention.
Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

For commissaries and clothing sales stores; Director, Engineering and Services, Deputy Chief of Staff, Programs and Resources, Headquarters United States Air Force, Wash, DC, 20330; and Chief, Services Division at the installation having jurisdiction over commissary or clothing sales store. For all other check cashing facilities; Chief of the activity having the check cashing facility.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information received from check cashing sources.

Systems exempted from certain provisions of the act:

NONE

F01101 0J TTSB

System name:

Graduate Evaluation Master File

System location:

Air Training Command Technical Training Centers. Official mailing addresses are in the Department of Defense directory.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.

Categories of records in the system:

Procedures for operating the data automation of graduate evaluation questionnaire system.

Authority for maintenance of the system:

44 United States Code 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Field evaluation of formal school graduates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape.

Retrievability:

SSAN computerized.

Safeguards:

Computer fail safe. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know and those servicing the record system in performance of their official duties.

Retention and disposal:

Destroy when purpose has been served by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Headquarters ATC Standards and Evaluation Directorate Evaluation Division, Randolph Air Force Base, TX 78148.

Notification procedure:

Headquarters Technical Training Centers, Standards and Evaluation Directorate, Evaluation Division (TTSE). Randolph Air Force Base TX 78148.

Record access procedures:

Centers TTSE Organizational Directory. Full name or social security account number.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Centers TTSE Organizational Directory.

Systems exempted from certain provisions of the act:

NONE

F01101 0KPNQSA

System name:

Air Force Reserve Officer Training Corps (AFROTC) Membership System

System location:

AFROTC/ACMA, Maxwell AFB AL 36112. Copies pertaining to each AFROTC detachment are located at the respective detachment.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Senior AFROTC contract cadets and special pursuing students.

Categories of records in the system:

Name, Social Security Account Number, AFROTC Detachment number, AFROTC Detachment assignment. Area crosstown/consortium student identification. Reason for AFROTC member given, type AFROTC program, AFROTC Aerospace studies course, AFROTC membership. status, intial AFROTC category when first enrolled, current AFROTC category, reason for change, Air Force officer qualifying test scores, established graduation date, current established commissioning date, field training status, AFROTC member field training rating academic specialty, date entered professional officer course training, prior military service, date of enlistment in the Air Force Reserve, sex, race, date of birth, AFROTC college scholarship status, AFROTC Aerospace studies course when scholarship was activated, length of AFROTC scholarship entitlement, date of scholarship activation, estimated date of scholarship completion, Junior Reserve Officer Training Corps/Civil Air Patrol progression level, Air Force Junior ROTC Corps identifier, year completed Air Force Junior ROTC, cumulative grade point average, type academic credit, Flight Instruction Program Status, category eligibility, service component, personnel accounting symbol, first assigment, additional scholarship information is proposed for future use.

Authority for maintenance of the system:

Title 10 United States Code Section 1031.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

System provides cadet personnel data for program management. Data are used by detachments, staff, and AFROTC Commandant to manage the program. Data occasionally used by United States Air Force and Department of Defense offices, organizations and agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Computerized data Transaction Identifiers (TI) are used to retrieve individual records from the system.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Computer printouts are retained one year in office files then transferred to staging area for four additional years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Computer history tapes are retained indefinitely.

System manager(s) and address:

Chief, Analysis and Evaluation Division, AFROTC/ACM, Maxwell Air Force Base, AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Requests should include name, social security account number, detachment, and date enrolled. Applicant should present driver's license or SSAN card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
Information reported by the individual to AFROTC detachment personnel. Data are then forwarded to AFROTC Headquarters.

Systems exempted from certain provisions of the act:

NONE

F01101 0KPNQSB

System name:

Four Year Reserve Officer Training Corps (AFROTC) Scholarship Program Files

System location:

At Four Year AFROTC Scholarship Program Office, Maxwell Air Force Base AL 36112; at AFROTC and Air Force Junior Reserve Officer Training Corps (AFJROTC) detachments; at AFROTC area admission counselors located at selected AFROTC detachments; to congressman at their request; AFROTC detachment, AFJROTC units, and AFROTC area admission counselors. Addresses are maintained by the AFROTC Commandant, Maxwell Air Force Base, AL36112.

Categories of individuals covered by the system:

Senior and Junior Air Force Reserve Officers.
Those who are enrolled in the four year AFROTC scholarship program, and applicants for the program.

Categories of records in the system:

AFROTC administrative unit; applicant's address; Air Force officer qualifying test scores; AFROTC detachment located at the educational institution to be attended by the applicant; AFROTC detachment which the applicant desires to attend; AFJROTC unit attended by applicant; college entrance examination board scores; applicant's class standing and size of class; applicant disqualification causes; personal interview actions and associated waivers as required; applicant medical status; applicant's full name; AFROTC program qualification; applicant medical remedial requirements; applicant scholarship status; applicant social security account number; applicant test qualification; civil air patrol wing attended; applicant's high school and address; applicant high school decile placement; applicant grade point average; applicant telephone number; applicant date of birth; applicant statement of understanding and intent; medical testing facility; AFROTC area admission counselor's areas of responsibilities; applicant scholarship choices; AFROTC four year central scholarship selection board results; applicant's designated scholarship; civil involvement information and associated waivers as required; name of educational institution to be attended by applicant; applicant's high school principal evaluation; AFJROTC instructor evaluation of a cadet; high school transcripts; application forms.

Authority for maintenance of the system:

Public law 88-647, Title 10, United States Code, Section 3107 and amended by public law 92-166.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by AFROTC scholarship program office, used by AFROTC detachments, and AFROTC area admission counselors-purposes and uses are the processing and awarding of AFROTC 4-year scholarships; counseling applicants concerning application difficulties and problems; and the recruiting of applicants into the AFROTC program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Senior Programs, AFROTC, Maxwell Air Force Base, AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Directorate of Senior Programs, Chief, Scholarship Division; Chief, 4-year Scholarship Branch, Maxwell Air Force Base, AL. Requests should include the full name, military-applicant status, and social security account number (SSAN) or military service number. Individuals may visit the AFROTC scholarship Programs Office, Maxwell Air Force Base AL 36112. Individuals must provide their full name, military applicant status, and SSAN or service number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information obtained from automated system interfaces.
Information obtained from police and investigating officers.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01101 0KPNQSC

System name:

Individual Weight Loss Record.

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Categories of individuals covered by the system:

Personnel in weight control program.

Categories of records in the system:

Record of individual weights.

Authority for maintenance of the system:

44 United States Code 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose-identify personnel exceeding weight standards. Users-commanders, medical personnel and legal staff. Use-monitor progress, initiate appropriate correction action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Personnel Plans, HQ Air University, Maxwell Air Force Base, AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Requires name and military status. Must visit office of system manager, and present military ID card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01101 0KPNQSD

System name:

Air Force Reserve Officer Training Corps (AFROTC) Guest Lecture Files

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Chief of protocol. AFROTC/analysis and evaluation division, Maxwell Air Force Base al 36112. Copies pertaining to each AFROTC detachment are located at the respective detachment. Official mailing addresses of the detachments are in the Department of Defense Directory in the appendix to the Air Forces system notice.

Categories of individuals covered by the system:

Prominent military or civilian personnel who are used as guest lecturers at Air University, professional military education (PME) schools.

Categories of records in the system:

Records data pertaining to individual guest lecturer including name, address, lecture subject, number of personnel accompanying, dates of lecture, funds obligated and rating given lecturer.

Authority for maintenance of the system:

44 United States Code 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by faculty of professional military education schools to administer guest lecture program. Rating given to determine continued use/value of lecturer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Protocol, Headquarters, Air University, Maxwell Air Force Base, AL 36112, submanagers- director of administration at Applicable professional military education schools. Offical mailing addressis are contained in the Department of Defense directory in the appendex to the Air Force system notice.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Applicable submanager. Require full name, proof of identity. May visit office of chief of protocol, submanager and present proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual lecturer, host officer, accounting and finance. Rating given by professional evaluation personnel which is derived from student and faculty critiques.

Systems exempted from certain provisions of the act:

NONE

F01101 0SAWUBB

System name:

Source Support - Control Data

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force active duty enlisted personnel.

Categories of records in the system:

Standard evaluation examination record.

Authority for maintenance of the system:

Title 10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record type examination and grade for transfer to permanent records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Standardization Evaluation Division.
Deputy Chief of Staff/Research and Development, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Examination papers.

Systems exempted from certain provisions of the act:

NONE

F01101 0UJCGJA

System name:

01101 0UJCGJA Career Development Graduates Historical Roster/Course Enrollees

System location:

United States Air Force School of Applied Cryptologic Science (USAFSACS) Goodfellow Air Force Base TX 76903

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel. Air Force active duty officer personnel. Air Force active duty enlisted personnel.

Categories of records in the system:

Machine data record.

Authority for maintenance of the system:

10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by USAFSACS to identify graduates over a six-month period and to identify persons currently enrolled in course.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer paper printouts.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system. Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

USAFSACS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F01101 02 ALSB

System name:

Complaints and Inquiries

System location:

Office of Inspector General, Alaskan Air Command, APO Seattle 98742

Categories of individuals covered by the system:

Civilian and military personnel who have submitted complaints or Congressional inquiries.

Categories of records in the system:

Complaint information consisting of name, grade, organization, date complaint received, type complaint, and action taken.

Authority for maintenance of the system:

10 USC 8032, Armed Forces - Air Staff - General duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cross reference to case files and source of statistical information for reports. Category of user, Inspector General complaints system personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

V 44 DE 17 79 UMI

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Inspector General, Alaskan Air Command.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Units complaints personnel and Congressional channels.

Systems exempted from certain provisions of the act:

NONE

F01102 ARPC A

System name:

01102 ARPC A Locator or Personnel Data.

System location:

At Air Reserve Personnel Center, 7300 East First Avenue, Denver CO 80280.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel. Retired and former Air Force military personnel. ARPC civilian personnel. Air Force active duty military personnel.

Categories of records in the system:

Cards, forms, ledgers, record request, computer listings containing individual's name or names, Social Security Number (SSN), Air Force service number, grade, reserve status, present and former address, record of employer, parent and other relative of reservist or personnel data. Veterans Administration claim number, education institutes reservist attended, school affiliations. Correspondence to and from Federal agencies and employers trying to establish current address of reservists; vouchers for medical service, final payment of medical service bills, medical action required; notes indicating if individual is authorized to earn point credit; and other personnel data. Documents which contain a summary of action taken or to be taken.

Authority for maintenance of the system:

10 USC 267, Ready Reserve; Standby Reserve; Retired Reserve: placement and status of members; 10 USC 268, Ready Reserve: Training requirements; 10 USC 271, Ready Reserve: continuous screening; 10 USC 273, Standby Reserve: composition, inactive status list; 10 USC 275, Personnel records; 10 USC 278, Dissemination of Information; 10 USC 279, Training Reports; 10 USC 8012, Secretary of the Air Force: powers and duties, delegation by; 10 USC 591, Reserve components: qualifications; 10 USC 592, Commissioned officer grades; 10 USC 593, Commissioned officer: appointment, how made, term; 10 USC 594, Commissioned officers: original appointment limitation. Routine uses of records maintained in the system, including

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to control records distribution, to record location of record, actions taken or/to be taken, used to manage individual's records, to answer inquiries from individual and Air Force units to which individuals are assigned or are to be assigned or other agencies with a need to know of action taken, verify if author of a letter, was a member/or is a member of reserve and what his or her SSN should be, search for good address and stop computer mail from going to bad address, refer for administrative discharge action on reservist that cannot be located, advise reservist or civilian of reserve matters or center actions, provide comprehensive record of all medical actions taken by Surgeon's Office and record authorization for physical examinations at Government expense or no expense and record voucher number, preparing point credit authorization and forwarding authenticated point credit forms to servicing personnel office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, in visible file binders/cabinets, in card files, on paper tape and on computer cards.

Retrievability:

Filed by Name, by Social Security Number (SSN), by Military Service Number, by other identification number or system identifier and/or voucher number, school affiliation, by Air Force Service Number, or by last address of Reservist.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver CO 80280.

Notification procedure:

Request from individual should be addressed to Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver CO 80280. Written request for information should contain full name of individual, SSN (social security number), current address, and the case (control) number shown on correspondence received from Center. Records may be reviewed in records review room ARPC, 7300 East First Avenue, Denver CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve I.D. card and/or drivers license and give some verbal information that could verify his/her military records such as place of birth, reserve status.

Record access procedures:

Individual can obtain assistance in gaining access from Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Extract from individual records, individual advance personnel data computer system. For address information secured from last recorded employer, postmaster of city of last recorded address, telephone information operator at last city of good address, parents of reservist, other relatives of reservist, Veterans Administration if reservist has a claim number listed in master personnel record, college or university reservist attended, Selective Service Boards, Internal Revenue Service, public utilities or any other lead that may be found in the master personnel record of the reservist, military pay records at Air Force Accounting and Finance Center, Lowry AFB, Denver CO 80279, log books and from Consolidated Base Personnel Offices. Medical information is also secured from medical facilities, physicians, medical specialists.

Systems exempted from certain provisions of the act:

NONE

F01102 DAYX A

System name:

01102 DAYX A Base, Unit, and Organizational Military and Civilian Personnel Locator Files

System location:

At Headquarters, United States Air Force, and at Air Force Installations, to include bases, units, offices, and functions. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notices.

Categories of individuals covered by the system:

Air Force active duty military personnel; Air Force Reserve and National Guard Personnel; Air Force civilian employees; dependents may be included at the option of the installation, unit, or organization.

Categories of records in the system:

Cards or listings may contain the individuals name, grade, military service identification number, social security number, duty location, office telephone number, residence address and residence telephone number, and similiar type personnel data determined to be necessary by the local authority.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to locate personnel assigned to, attached to, tenanted on, or on temporary duty at the specific installation, office, base, unit, function, and/or organization in response to specific inquiries from official government activities for the conduct of business. Files are used locally to locate and administer programs and personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on paper records in card or form media in visible file binders/cabinets card files or on computer and computer products.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, or when superseded or no longer needed for reference, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Primary location: Director of Administration, Headquarters, US Air Force, Washington, DC Decentralized Location: Privacy officer of the installation, base, unit, organization, office or function to which the individual is assigned, attached, tenanted on or on temporary duty. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Individual must furnish full name and the names of Air Force installation, unit and organization, office, or function to which assigned, attached, tenanted on or on temporary duty at, including the calendar years of such service. The individual may visit the Locator Office or Privacy Officer at the place of assignment. No identification is required to determine if the system contains records pertaining to a specific individual.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces or from individuals or personnel records.

Systems exempted from certain provisions of the act:

NONE

F01102 DPEEB A

System name:

01102 DPEEB A Congressional and Other High Level Inquiries.

System location:

At Headquarters United States Air Force. Inquiries concerning Air Force or Air Force reserve personnel procurement policies and procedures may also be located at headquarters of the major air commands, numbered Air Force or comparable levels. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force military personnel serving on active duty, in the Air Force Reserve, or retired or discharged from the Air Force. Civilian personnel currently or formerly employed by the Air Force. Personnel attending Air Force training institutions or undergoing training under Air Force sponsorship.

Categories of records in the system:

Background information and information reflecting Air Force policies and procedures; copies of inquiries received from the Office of the President, Members of Congress and other high level sources requesting information by or oon behalf of a constituent; copies of replies to such inquiries including transmittal media used en route from and to the Air Force Office of Legislative Liaison (SAF/LL).

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: power and duties; delegation by; and 10 USC 8032, general duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information pertinent to the inquiry is forwarded to SAF/LL for preparation of the reply to the high level requester. In some instances, response may be direct to the requester without referral through SAF/LL; however, when required by directive, copies of such responses are furnished SAF/LL. The records may be used in responding to subsequent inquiries concerning the same individual. The record system may be audited periodically to determine trends on the nature of complaints and questions and for statistical purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by the custodian of the record system and by persons responsible for servicing the records in performance of their official duties who are properly cleared for need-to-know. Records are stored in security file containers/cabinets, locked cabinets or rooms.

Retention and disposal:

Retained for two years after end of year in which case was closed, then destroyed by tearing into pieces, shredding, macerating, pulping or burning.

System manager(s) and address:

Duputy Chief of Staff/Personnel, Headquarters United States Air Force; commanders of major air commands, numbered air forces or comparable level activities.

Notification procedure:

Requests from individuals must contain reasonable particulars about the subject in question and should be addressed to the respective system manager.

Record access procedures:

Individual can obtain assistance in gaining access from the respective system manager. Individual's request must contain reasonable identifying particulars about the subject in question.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information provided by major command or consolidated base personnel office personnel, manual or automated personnel records, Air Force policies and procedures, copies of inquiries, congressional/high level officials'/constituents' comments or requests and Air Force replies thereto.

Systems exempted from certain provisions of the act:

NONE

F01102 DPXVH F

System name:

Congressional Inquiries

System location:

At Headquarters United States Air Force, Washington DC 20330. And Office of the Secretary of the Air Force Office of Legislative Liaison Congressional Inquiry Division, Washington, DC (HQ USAF/SAF/LL, Washington, DC 20330)

Categories of individuals covered by the system:

The categories of individuals on whom records are maintained: All personnel, military and civilian, who submitted a request for assistance or information to a Congressional member, the White House, Inspector General (IG), or other high level persons during the current calendar year concerning Air Force policy and/or procedures on housing.

Categories of records in the system:

Original (or copy) of individual's request for assistance or information, transmittal cover letter from the Office of the Secretary of the Air Force, Legislative Liason (SAF/LL), coordination copy of proposed response furnished to SAF/LL, and background information

Authority for maintenance of the system:

Title 10 United States Code, Sections 8012 and 8032; Title 44 United States Code, Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in the record system is collected to provide the information requested by the individual and pertains only to that individual request. The information collected is then forwarded to SAF/LL for use in providing a response. Such information may be utilized to provide answers to requests for similar information or to provide further information in response to a follow-up inquiry on behalf of the same individual. This information is provided the Congress and is furnished through the offices of the Department of the Air Force. Timely responses to inquiries from members of Congress, The White House, IG, and other high level inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for one year after end of year in which the case was closed, transferred to a staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating,or burning.

System manager(s) and address:

Deputy Chief of Staff, Programs and Resources, Headquarters USAF, Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Air Force policy and procedures; responses to inquiries from members of Congress, the White House, Inspector General and other high level agencies; copies of responses generated thereto.

Systems exempted from certain provisions of the act:

NONE

F01102 LLI A

System name:

01102 LLI A Microfilm Records Congressional/Executive Inquiries

System location:

Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force civilian employees and former Air Force civilian employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Retired Air Force general officers. Union or Association management personnel. Air Force Academy nominees/applicants. Air Force Academy cadets. Senior and Junior Air Force Reserve Officers. Dependents of military personnel. Anyone who has written to the President or a Member of Congress regarding an Air Force issue.

Categories of records in the system:

Copies of applicable Congressional/Executive correspondence and Air Force replies.

Authority for maintenance of the system:

10 United States Code 8012 and 5 United States Code 7102.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used as a reference base in the case of similar inquiries from other Members of Congress, in behalf of the same Air Force issue and/or follow-up by the same Member. Information may also be used by appropriate Air Force offices as a basis for corrective action and for statistical purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files and on aperture cards.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Current year plus 2 years of microfilm records will be retained in the office, then destroyed by tearing, shredding, macerating, pulping or burning.

System manager(s) and address:

Director of Legislative Liaison, Office of the Secretary of the Air Force, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Records. Congressional and Executive inquiries and information from Air Force offices andorganizations.

Systems exempted from certain provisions of the act:

NONE

F01102 OBXQPCA

System name:

Student Information Cards

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

Student Information

Authority for maintenance of the system:

10USC8012

Routine uses of records maintained in the system, including categories of users and the purpoes of such uses:

Locator information on each Air Force Academy Cadet to include telephone numbers, and periods that they are free for flying training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Stored in locked cabinets or rooms

Retention and disposal:

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, 557th Flying Training Squadron (ATC), USAF Academy, CO 80840

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From the student

Systems exempted from certain provisions of the act:

NONE

F01102 SGA B

System name:

Medical Service Corps Personnel Files

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All active duty and retired or separated medical service corps officers.

Categories of records in the system:

File contains personal correspondence to and from individual medical service corps officers and forms relating to assignment, extension, Air Force Specialty Code, and other selected documents.

Authority for maintenance of the system:

Title 10, US Code, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used solely for the purpose of recommending individual for assignment, extension, statistical data, promotion or advanced training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Records are retained in active file as long as officer is on active duty. Records are retained in insctive file one year from date of retirement, resignation, or separation, and are then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

The Surgeon General, Headquaters United States Air Force, Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Information from Senior Medical Service Corps officers and US Air Force Military Personnel Center.

Systems exempted from certain provisions of the act:

NONE

F01102 SGPC C

System name:

Professional Inquiry Records System

System location:

At Headquarters United States Air Force, Office of the Surgeon General, Directorate of Professional Services, Clinical Medicine Division, 1000 Independence Avenue, Washington, DC 20314.

Categories of individuals covered by the system:

Persons who have corresponded with a member of Congress, White House, or other high level federal or state executive officials concerning the professional aspects of care provided in Air Force medical facilities.

Categories of records in the system:

File contains copies of all correspondence concerning the inquiry; substantiating documents, such as written correspondence or memorandums of telephone conversations with the appropriate medical facility, draft replies, medical records and any other background data.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used as background data for statistical presentations, and historical evidence for repeat inquiries by the same individuals. Portions of records may be loaned or copies provided to ther Department of Defense activities for use as background data in evaluating inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are protected by guards,

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

, name, social security number of sponsor.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F01102 SGPS D

System name:

Files of Waiver from flying duty (WAVR FILE)

System location:

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

This record system is maintained on all active duty Air Force officers who have been considered for medical waiver for flying duty due to conditions defined as serious illness or for medical waiver for flying training.

Categories of records in the system:

V 4 4 D E 1 7 7 9 UMI

This record system contains the following categories of information: name, social security account number, date of birth, aeronautical rating, base of assignment, command of assignment, expiration date of waiver, initial date of waiver, intial waiver authority, renewal waiver date, and renewal authority.

Authority for maintenance of the system:

Title 10, USC, Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to tabulate, in computerized form, medical data on rated active duty personnel who have a medical waiver for flying duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

/Office of the Surgeon General, Headquarters, US Air Force, Forrestal Bldg, Washington DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F01102 SGPS F

System name:

High Level Inquiry File

System location:

HQ USAF, Surgeon General, (SGPS), Forrestal Bldg, Washington, DC 20314

Categories of individuals covered by the system:

This record system is composed of file copies of high level inquiries regarding medical criteria for Air Force accession; separation; retirement; continued active duty; and medical waivers for flying duty.

Categories of records in the system:

This file contains medical opinions generated as a result of high level inquiries regarding Air Force accession, separation, retirement, continued active duty, and medical waivers for flying duty.

Authority for maintenance of the system:

Title 10, USC, Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The record system is used as a cross reference to determine if action has been taken in response to high level inquiry.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
In unlocked filing cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Surgeon General, USAF, Forrestal Bldg, Washington DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F01102 SGV A

System name:

Veterinary Personnel Files

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All active duty and retired or separated veterinary officers

Categories of records in the system:

File contains personal correspondence to and from individual veterinary officer and forms relating to assignment, extension, Air Force Specialty Code, promotion, and other selected documents.

Authority for maintenance of the system:

Title 10, US Code, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used solely for the purpose of recommending individual for assignment, extension or advanced training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Records are retained in active file as long as officer is on active duty. Records are retained in inactive file one year from date of retirement, resignation, or separation. Then they are destroyed by tearing into pieces,shredding, pulping, macerating or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information from Command the AF Veterinarians and the AF Military Personnel Center Records.

Systems exempted from certain provisions of the act:

NONE

F01102 0IACYVB

System name:

01102 0IACYVB Locator Personnel Data.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force active duty military personnel. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Former military personnel and ARPC civilian employees.

Categories of records in the system:

Cards, ledgers, record request containing individual's name or names, social security account number, and personnel data, which can contain summary of action taken or to be taken.

Authority for maintenance of the system:

Section 10 US Code 267, 268, 269, 270, 271, 273, 275, 279.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to control records distribution, to record location of record, actions taken or/to be taken used to manage individual's records, to answer inquiries from individual and Air Force units to which individuals are assigned or to be assigned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, in visible file binders/cabinets, in card files, and on paper tape.

Retrievability:

Filed by Name, Social Security Number (SSN), Military Service Number, or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC) 7300 East First Avenue, Denver CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve idenfification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Extract from individual records.

Systems exempted from certain provisions of the act:

NONE

F01102 0MUHHZA

System name:

Air Force Office of Information/OI Personnel Background Record.

System location:

Air Force Reserve (AFRES) Office of Information, Robins Air Force Base GA 31098, and each Air Force Reserve region/tso.
At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All flying unit civilian and Reserve information personnel

Categories of records in the system:

Includes name, social security number, mailing address, grade promotion service date, reserve status, retirement data, flying status, duty and civilian phone and authorized position

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide professional background information in assigning personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by unit of assignment and position.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Office of Information, HQ AFRES Robins Air Force Base, GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From individual.

Systems exempted from certain provisions of the act:

NONE

F01102 0MUHHZB

System name:

General/Colonel Status Board.

System location:

Air Force Reserve(AFRES) Robins Air Force Base, GA 31098 Headquarters, United States Air Force, Office of Air Force Reserve, Washington DC 20330
At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force Reserve Commanders and key personnel plus all active duty Officers occupying General/Colonel positions.

Categories of records in the system:

Photograph of status board in HQ AFRES/Director of Personnel showing name, date of rank, permanent grade, aviation service code, date assigned station, date of last permanent change of station, date of separation and authorized position.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a ready reference of those individuals filling positions described above.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on board on wall in AFRES/DP. Photos mailed to other Offices periodically.

Retrievability:

By unit of assignment and position.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in Office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff Personnel HQ AFRES Robins Air Force Base, GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Advanced Personnel Data System.

Systems exempted from certain provisions of the act:

NONE

F01102 0RKNMDA

System name:

General Colonel Personnel Data Action Report.

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Major Air Command and Consolidated Base Personnel Offices.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Applies to active duty Generals Colonel Colonel selectees and Officers filling Colonel authorized positions.

Categories of records in the system:

Provides Officer assignment data such as date arrived, current duty station, projected date of retirement, data extracted from Air Force Standard Advanced Personnel Data System Record.

Authority for maintenance of the system:

Title 10 USC Section 8074.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by major Air Command to confirm designation of authority or assignment of duty as well as in identification of manning requirements due to medical evacuations or projected retirement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

PACAF assistance for senior Officer management mailing address is CINCPACAF/DPO APO San Francisco 96553.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F01102 0UMCBVB

System name:

Visual Aid.

System location:

AFSPCOMMCEN OS San Antonio TX 78243.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force civilian employees.

Categories of records in the system:

Names of all Officers and Civilians GS-9 and above.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(Officers, GS-9 and above) used by all elements of AFSPCOMMCEN for identification of key personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

AFSPCOMMCEN OS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

By individual.

Systems exempted from certain provisions of the act:

NONE

F01102 02 ALSB

System name:

Civil Engineer Personnel Data Cards

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All assigned military and civilian personnel.

Categories of records in the system:

Name and other personal identification data, training and experience data.

Authority for maintenance of the system:

44 USC, Chapter 31, Public Printing and Documents.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to check eligibility for additional professional training, to anticipate personnel rotations, and to check qualifications for Air Force Consulting Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Industrial and Systems Management Division, Headquarters Alaskan Air Command, Elmendorf Air Force Base, Alaska, APO Seattle 98742

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Records

Systems exempted from certain provisions of the act:

NONE

F01103 OBXQPCC

System name:

Faculty Biographical Sketch

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy Faculty Officers

Categories of records in the system:

Biographical information of education, job assignments, teaching experience publications, membership in professional societies and exit interview.

Authority for maintenance of the system:

10USC903

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of System: Used on a daily basis as the primary source for academic information on officers assigned to the faculty and as a sole source for academic information on officers who have left the faculty due to reassignment, separation, or retirement. Category of Users: Dean of Faculty and faculty staff. Specific Use: As a source of reference in answering queries to both military and civilian agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are controlled by personnel screening.

Stored in locked cabinets or rooms

Retention and disposal:

Retained in Faculty Administration Office, USAF Academy, CO 80840 for 10 years after departure and then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Dean of the Faculty, US Air Force Academy, CO 80205

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from individual and department head.

Systems exempted from certain provisions of the act:

NONE

F01103XOBXQPCD

System name:

Class Committee Products

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

List of cadets academically deficient at progress reports; provides grades, military order of merit and other military and biographical information on cadets meeting committees; reports committee decisions and includes worksheets with coded recommendations to the Academy Board.

Authority for maintenance of the system:

10USC903

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of System: Provides data on academically deficient cadets. Category of Users: Class Committees and Academy Board. Specific Use: Used to make class committee recommendations to the Academy Board in deciding courses of action for certain cadets.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Dean of Faculty

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F01201 DAD A

System name:

01201 DAD A Privacy Act Request File.

System location:

At all levels of the Air Force having responsibility for systems of records, to process requests, submit reports, and to document actions taken under the Privacy Act of 1974. This includes Headquarters United States Air Force staff agencies, major commands, separate operating agencies, installations, and activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Department of the Air Force system notices (40 FR 35726).

Categories of individuals covered by the system:

All persons who request access to, information from, or amendment of records about themselves from the Department of the Air Force under the provisions of the Privacy Act of 1974 (5 U.S.C. 552a).

Categories of records in the system:

Letters, memoranda, legal opinions, messages, and miscellaneous documents relating to an individual's request for access to or amendment of records concerning that person, including letters of denial, appeals, statements of disagreements, and related documents accumulated in processing requests received under the Privacy Act of 1974.

Authority for maintenance of the system:

5 U.S.C. 552a and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to process and coordinate individual requests for access to or amendment of personal records; to process and record appeals on denials of requests for access or amendments to personal records; to prepare legal opinions and interpretations for systems managers and the Secretary of the Air Force. Used by the Air Force Audit Agency, the Air Force Inspector General, the Office of Management and Budget, the General Services Administration, the Civil Service Commission, the Justice Department, or other Government agencies having a direct interest in monitoring or evaluating compliance with the provisions of the Privacy Act by the Department of the Air Force, including the preparation of special studies or reports on the status of actions taken to comply with the Act, the results of those efforts, any problems encountered and recommendations for any changes in legislation, policies, or procedures. Also used by members of Congress or their staffs for resolution of constituent inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name of requester on whom the records pertain.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Disposition is pending approval under 44 U.S.C 3303(3).

System manager(s) and address:

The Director of Administration, Headquarters United States Air Force, Washington DC 20330; or the Director of Administration of the major command or separate operating agency, or Chief, Central Base Administration at the Air Force installation where the requested or disputed records are located.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Written requests should include the person's full name grade (if applicable), and some other personal information which could be verified from the person's file. For personal visits, the individual should present a valid identification card or driver's license and some verbal information which could be verified from the person's case file.

Record access procedures:

Written requests should be addressed to the office that processed the initial inquiry, access request, amendment request, or appeal; or individual can obtain assistance in gaining access from the System Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notices (40 FR 35726).

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Records are obtained from the individual requestor, Department of the Air Force organizations, other Department of Defense organizations, and agencies of Federal, state, and local governments, as applicable or appropriate for processing the case.

Systems exempted from certain provisions of the act:

NONE

F01201 0QPTFLA

System name:

Information Requests-Freedom of Information Act

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All persons who have requested documents under the provisions of the Freedom of Information Act.

Categories of records in the system:

Administration of release of information to the public.

Authority for maintenance of the system:

5 United States Code 552

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control administrative processing of requests for information used by freedom of information manager.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to a staging area for four additional years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Administration, Headquarters United States Air Force.

Notification procedure:

Chief central base administration at each Air Force Installation.

Record access procedures:

Chief of central base administration at each Air Force installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Freedom of information manager as result of requests for information from members of public.

Systems exempted from certain provisions of the act:

NONE

F01201X0IACYVA

System name:

01201X0IACYVA Fee Case File

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

Copies of general correspondence, chargeable case control, and public voucher for refunds involving collection of fees for reproduction of documents from an Air Force reserve or Air National Guard members master personnel record at the request or authorization of the member for release to himself/or herself or approved agencies.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is for suspense and control to insure chargeable fees are collected and to verify action completed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes.

Retention and disposal:

Filed for two years then destroyed by tearing, pulping, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve idenfification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from other military agencies and the National Personnel Records Center, St. Louis, MO 63132.

Systems exempted from certain provisions of the act:

NONE

F0163015GV A

System name:

Veterinary Records

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Retired Air Force military personnel.
Dependents of military personnel.
Dependents of retired military personnel

Categories of records in the system:

Forms relating to animal bite/health records and food inspection and disease investigation

Authority for maintenance of the system:

Title 10, US Code, Sections 133 and 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record animal health care procedures and investigation of diseases of animal and food origin

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from a state or local government.

Systems exempted from certain provisions of the act:

NONE

F02501 0IACYVA

System name:

02501 0IACYVA Manpower standards study reports.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force active duty military personnel. Air Force civilian employees.

Categories of records in the system:

workload and man hour record

Authority for maintenance of the system:

Title 31 US Code sections 18,18a and 18b.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

to collect man hour and workload data for the purpose of comparing work accomplished to the standard and to expected to be done, to indentify excessive workload buildups and to determine individual employee performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes. Maintained on computer paper printouts.

Retrievability:

Filed by Social Security Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individual can obtain assistance in gaining access from Documentation Management Officer, ARPC/DADP 7300 East First Avenue, CO, 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information collected from individual.

Systems exempted from certain provisions of the act:

NONE

F02503 DPCXP A

System name:

Committee Management Records

System location:

Primary system at Headquarters United States Air Force Directorate Civilian Personnel decentralized segments at Major Command Headquarters command security clearance granting authority

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Nongovernment employees serving in an advisory capacity serving on a part-time basis

Categories of records in the system:

Assignment record files include biographical data and letters of notification and selection

Authority for maintenance of the system:

Public Law 92-463 6 October 1972 Executive Order 11686 7 October 1972 Office Management and Budget Circular A63 27 March 1974

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assignment record files are originated to identify control and administer individuals selected for assignment to Advisory Committees

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records
Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Committee

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in vaults.

All records are stored, processed, transmitted, with discretion.

Retention and disposal:

Appointment record files on individuals are retained during period of assignment, then destroyed by shredding or burning.

System manager(s) and address:

Chief, Directorate of Civilian Personnel, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from police and investigating officers.
Information obtained from a state or local government.
Information obtained from an international organization.
Information obtained from a corporation.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F02503 NB A

System name:

Biographical Information File

System location:

Scientific Advisory Board (SAB)
At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Past and present members of the United States Air Force (USAF) Scientific Advisory Board and individuals assigned to the SAB Secretariat.

Categories of records in the system:

Biography, Confidential Statement of Employment and Financial Interests, Personal Security Clearance, Classified Storage Facility Certificate, Civil Service Commission Personnel Action Notices, Correspondence related to member's appointment to SAB and his SAB activities.

Authority for mainteaance of the system:

Public Law 92-463, Section 8

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference for SAB Chairman, Military Director, and Executive Secretary in selecting members for participation in SAB activities. Used by SAB Secretariat as source documents for submission to the Office of the Secretary of Defense for appointment and reappointment to the SAB, source documents for certification of personal security clearance and facility clearance for mailing of classified material, and source for biographical information provided to other agencies prior to members' visits on SAB business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in safes.

Retention and disposal:

Retained in office files for one year after reassignment or rotation off the SAB. Record is then screened, documents of historical significance are retained, remainder are destroyed by tearing into pieces.

System manager(s) and address:

Executive Secretary, SAB, Headquarters USAF Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Specify full name, social security number or service number, and date of birth.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from automated system interfaces.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F02503 0J DP A

System name:

Commander Commander selection file.

System location:

Headquarters Air Training Command(ATC) Deputy Chief of staff for personnel(DCS/p)

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All ATC Officers eligible for consideration for Squadron Commander duties in grade of Captain through Lt Colonel

Categories of records in the system:

Individual military records containing selection data.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data used to select Commanders for select units

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer paper printouts.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Stored in locked building

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

DCS/P, Headquarters ATC Randolph Air Force Base Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Information obtained from financial institutions.

Systems exempted from certain provisions of the act:

NONE

F02503 0J DP B

System name:

Brigadier General screening board results

System location:

Headquarters Air Training Command(ATC) Deputy Chief of staff. for personnel(DCS/p)

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All ATC active duty Colonels

Categories of records in the system:

Individual military records pertaining to eligibility consideration and recommendation for promotion.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ATC commander uses data to make promotion recommendations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Sequenced by date of events

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

DCS/P Randolph AFB Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03001 SAC A

System name:

03001 SAC A Drug Rehabilitation Action Management Information System.

System location:

At servicing Air Force (AF) installation Social Actions Offices, Consolidated Base Personnel Offices, Strategic Air Command Headquarters, SAC Drug Rehabilitation Center and Air Force Manpower and Personnel Center. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty military personnel who are identified as drug abusers.

Categories of records in the system:

As a minimum, the system contains computerized data and manual files related to drug abuse identification, category of abuse, acceptance of treatment, and subsequent personnel actions.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental regulations; and 10 U.S.C. 8074, Commands: territorial organization.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify and track a person's acceptance/declination and progress in the Strategic Air Command drug rehabilitation program and ultimate disposition (retained on active duty, separated, demoted, etc). Those authorized to have access to the files are base and command level social actions staffs, drug rehabilitation instructors, and selected command staff personnel. The files are used to maintain information on drug abusers, to measure the success of program objectives, to substantiate personnel actions, provide analysis reports to concerned managers and to support separation actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer disk/tape files and manual file folders.

Retrievability:

Filed by name, by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. The computer file is secured on computer disk/tape by computer operations personnel. Manual file folders are stored in security file containers/cabinet safes.

Retention and disposal:

Computerized and manual files will be retained indefinitely; disposed of in accordance with AFM 12-50.

System manager(s) and address:

Deputy Chief of Personnel, Strategic Air Command, SAC Drug Rehabilitation Center, McConnell AFB KS, and base level Social Actions Offices.

Notification procedure:

Chief, Social Action, Strategic Air Command Headquarters for Computer Files or Det 1, 3902 ASW/CC/ McConnell AFB KS, and base level Social Actions Offices for manual files. Requests to determine existence of record on file should include full name, grade, and unit of assignment. Personal visit proof of identification requires full name and possession of Department of Defense (DD Form 2AF) Armed Forces Identification Card, or driver's license and personnrecognition of counselor.

Record access procedures:

Chief of Social Actions, Strategic Air Command Headquarters, Det 1, 3902 ABW/CC, McConnell AFB KS, or base level Social Actions Offices. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institution, personnel records, individuals.

Systems exempted from certain provisions of the act:

NONE

F03001 DPXVV A

System name:

File Designation, Drug Abuse, Waiver Requests

System location:

Accession Policy Branch, Accession Policy Division, Directorate of Personnel Plans (HQ USAF/DPXOA) Washington, D.C. 20330; Directorate of Student Resources, USAF Recruiting Service, Air Training Command, Randolph Air Force Base, Texas 78148 (ATC/RSS, Randolph AFB TX 78148); 3700Personnel Processing Group, Lackland AFB, Texas 78236 (3700 PPG, Lackland AFB, Texas 78236); USAF Recruiting Service Detachment Headquarters; USAF Recruiting Service Offices; Deputy Chief of Staff, Education, Headquarters Air University, Maxwell AFB, Alabama 36112 (AU/ED, Maxwell AFB AL 36112); Directorate of Senior Programs, Headquarters Air Force Reserve Officer Training Corps (AFROTC), Maxwell AFB, Alabama 36112 (AFROTC/SD, Maxwell AFB, Alabama 36112); AFROTC Detachments; Directorate of Admissions and Registrar, United States Air Force Academy, USAF Academy, Colorado 80840 (USAFA/RR, USAF Academy, Colorado 80840);

Categories of individuals covered by the system:

Applicants for enlistment or commissioning who have a history of pre-service drug abuse and who have requested a waiver of their disqualification.

Categories of records in the system:

A Copy of the USAF Drug Abuse Certificate and Drug Abuse Circumstances, Recommendation of Intermediate commands, and cover letter containing HQ USAF decision on waiver request are maintained

Authority for maintenance of the system:

Title 10 United States Code - Armed Forces, Chapter 31, Enlistments in Regular Component, Section 504 and Title 44 USC, Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This record is not released outside the Air Force. Records are maintained for future refer- ence in the case of further inquiries relative to approval or disapproval of the request for waiver of pre-service drug abuse.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in safes.
Records are stored in locked cabinets or rooms.

Retention and disposal:

After action on the request, the paper record is filed in secured file cabinets, retained for no more than six months, and destroyed by tearing into pieces.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Requests from individuals should be addressed to the system's manager

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Records maintained in the system are provided by either Air Training Command, Air University, or the USAF Academy

Systems exempted from certain provisions of the act:

NONE

F03001 JALA A

System name:

03001 JALA A Confidential Statement of Employment and Financial Interest

System location:

Office of the General Counsel, Office of the Secretary of the Air Force, Washington D.C. 20330 Headquarters United States Air Force, Washington DC 20330. Headquarters of major commands and at all levels down to and including Air Force installations.

Categories of individuals covered by the system:

Air Force personnel paid at a level of the Executive Schedule in subchapter II of Chapter 53 of Title 5, USC; Air Force General Officers and civilian officers and employees in pay grades GS-16 to GS-18; Commanders and Vice Commanders of Divisions and Wings; Base and Deputy Base Commanders of major installations; all Air Force personnel with a grade or rank of GS-13 or above or Lieutenant Colonel and above or at a comparable pay level under another authority, whose basic duties and responsibilities require the exercise of judgment on Government decision making or taking action on (1) the administering or monitoring of grants or subsidies, (2) contracting or procurement, (3) auditing, or (4) any other government activity in which the final decision or action has a significant economic impact on the interest of any non-federal enterprise.

Categories of records in the system:

Contains the title of the individual's position, date of appointment in present position, agency and major organization segment of the position, employment and financial interests, creditors, interest in real property, and a list of persons from whom information can be obtained concerning the individual's financial situation.

Authority for maintenance of the system:

Executive Order 11222, 'Prescribing Standards of Ethical Conduct for Government Officers and Employees.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The review of the statements by the individual's supervisor and deputy counselor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders.

Retrievability:

Filed alphabetically by year.

Safeguards:

Stored in locked metal safes.

Retention and disposal:

Retained up to two years after the individual has left employment destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Assistant General Counsel (Personnel) The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from the individual or from personnel designated by the individual.

Systems exempted from certain provisions of the act:

NONE

F03001 SPI A

System name:

Duty and Travel Restriction Notification Letters.

System location:

At Consolidated Base Personnel Offices, Consolidated Civilian Personnel Offices, Offices of The Chief of Security Police and offices of the issuing authority at Air Force installations where individuals are currently assigned or employed, or where separated, if applicable. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's System Notice.

Categories of individuals covered by the system:

Military members, civilian employees and defense contractors whose travel and duty assignments have been restricted because of current knowledge of certain sensitive classified information.

Categories of records in the system:

Letters imposing duty and travel restrictions.

Authority for maintenance of the system:

Title 10USC 8012, Title 44USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Persons assigned to positions requiring access to sensitive classified information are subject to specific restrictions in duty and travel. Restrictions are imposed while occupying such positions and normally remain in effect for one year after termination of access to the information associated with those positions. Letters inform individuals, supervisors, and personnel management officials of specific restrictions. May be used by personnel officials in determining duty assignments and by transportation officials in restricting or routing travel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Notification letters are retained until termination of restriction, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. Washington D.C. 20330 Installation Chief of Consolidated Personnel Office (military or civilian, as applicable); installation Chief of Security Police; commander of unit issuing the restriction letter.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Write or visit the installation where currently assigned/employed or, if applicable, where separated from the Air Force. Written requests must be notarized; personal visits require positive identification. Provide full name, SSAN, and current military/civilian status. Former members also provide approximate date (month and year) when active military duty or civilian employment terminated.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information from source documents such as clearance and access records; information from commanders and agency chiefs who granted access to the sensitive classified information.

Systems exempted from certain provisions of the act:

NONE

F03001 0CGBUZA

System name:

03001 0CGBUZA Drug/Alcohol Abuse Control Case Files

System location:

At servicing Air Force (AF) installation social actions office. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty military personnel and dependents, Air Force civilian employees, and Air Force Reserve personnel, who are enrolled in a drug/alcohol rehabilitation program.

Categories of records in the system:

As a minimum, the file contains forms and commander's letters documenting date and means of identification, categorizing type of abuse and indicating whether a determination has been made as to entry into the rehabilitation and, if entered, progress of individuals toward rehabilitation.

Authority for maintenance of the system:

Section 408, drug-abuse office and treatment act of 1972 (Public Law 92-255; 21 United States Code 1175).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine whether an individual is to be entered in a rehabilitation program, and to document progress of individuals in a program. Those authorized to review, handle, or have access to the file are social actions and medical personnel directly engaged in rehabilitation of a person, Veterans Administration (VA) treatment personnel in cases of members transferred directly to VA in active duty status, official members of rehabilitation evaluation group, Commanders in member's chain of command, and persons authorized by Public Law 92-255, section 408(b)21 United States Code 1175(b). The file is used to develop a treatment regimem, to assist rehabilitation evaluation group make decisions for rehabilition program dispositions, and to prepare recurring reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets safes and controlled by personnel screening.

Retention and disposal:

Destroy one year after completion of follow on phase or other termination and after rehabilitation, or three months after determination is made not to enter the individual in rehabilitation by tearing into pieces, shredding, pulping, macerating, or burning, unless needed as background for case files supporting a separation action or other actions under directives, in which case, disposition will be the same as the file which they support. Files at George AFB, CA and Nellis AFB, NV will be retained for one year after completion of rehabilitation, permanent change of station or separation or 31 Dec 79, whichever is later.

System manager(s) and address:

Deputy Chief of Staff Personnel, Headquarters United States Air Force. Subordinate systems managers are: (1) Director of Personnel at each major command and (2) Chief of Social Actions at Air Force installations for systems operated at each level.

Notification procedure:

Chief, Social Actions servicing AF installation. Requests to determine existence of a file should include full name, grade, and unit of assignment. Personal visit proof of identity requires full name and possession of Department of Defense (DD) Form, 2 AF, Armed Forces Identification Card; DD Form 1173, Uniformed Services Identification and Privilege Card; or driver's license and personal recognition of drug/alcohol specialist.

Record access procedures:

Chief social actions servicing AF installation. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions, personnel records, individual.

Systems exempted from certain provisions of the act:

NONE

F03001 0JMPLSC

System name:

Drug Abuse Control Case Files

System location:

At consolidated base personnel offices. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force installations only. Drug Abuse Office 3700 Personnel Processing Group Lackland Air Force Base TX 78236

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.
Air Force Reserve personnel.
referred to drug abuse office.

Categories of records in the system:

Various letters describing drug abuse information such as notification of disposition, recommendation for disposition, drug abuse determination of urinalysis cases.

Authority for maintenance of the system:

44 United States Code 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Discharge authority, drug abuse office, squadron commanders determine extent of prior service drug abuse and make determinations of discharge or retention in the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, 3700 Personnel Processing Group

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sqdn commanders base surgeon classification interviewers
Information obtained from medical institutions.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03001XOBXQPCB

System name:

Military and Leadership Order of Merit System

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

Military Order of Merit System consists of AFCW Form 1, Cadet Performance Report, Work Sheet, Cadet Military Rating, Computer produced rosters listing final Military Order of Merit standing, Leadership Order of Merit. System consists of computer produced roster listing final Leadership Order of Merit standing.

Authority for maintenance of the system:

Title 44, USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as an input in determining Military Order of Merit standing. Used as an input in determining Military Order of Merit standing. Used to record results from AFCW Form 11 for processing through computer. Used to record final Military Order of Merit standing. Used to record final Leadership Order of Merit standing.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Military Service Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director, Cadet Personnel , USAF Academy CO 80840

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03001X0IACYVB

System name:

03001X0IACYVB Inquiries on the Reserve Program

System location:

at Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, Co 80280.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force civilian employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Civilians.

Categories of records in the system:

letters from active, reserve military personnel and civilians requesting assignment, vacancy search action in the Air Force reserve program.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

ARPC personnel answer questions on the reserve program and/or try to locate vacancies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal workdays. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify his/her inquiry.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer ARPC/DADP, 7300 East First Avenue, Denver CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individual.

Systems exempted from certain provisions of the act:

NONE

F03002 SPO A

System name:

Documentation for Identification and Entry Authority .

System location:

Kept by the Chief of Security Police at the installation where an individual is issued identification or entry authority credentials. Information copies of certain application forms for entry into certain restricted areas are also kept at an individual's duty assignment. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Persons who are issued identification credential for normal identity purposes or for entry into controlled or restricted areas.

Categories of records in the system:

Includes the documentation used to request identification or entry credential, information reports on the loss, theft, or destruction of these credentials, certain types of entry authority lists, and various accountability records.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the security police for issuing ID cards and certain restricted or controlled area badges which authorize entry into certain areas. Some organizations may routinely keep copies of the above documentation in order to maintain control over persons authorized entry into certain areas. Accountability documents are used to insure proper control over the various forms utilized in these functions. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution or civil court action. Any record or part thereof can be transferred to any component of the Department of Defense or to the Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

V 44 DE 17 79 UMI

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by computer system software.

Retention and disposal:

Accountability records are destroyed two years after issue of the last card or the last entry on a log, etc. Statements, certificates, and related correspondence reporting the loss, theft, or destruction of identification or entry credentials are destroyed one year after reported loss. Destruction of these items is by tearing into pieces.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. Installation Chief of Security Police.

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, home address, and the letter will be notarized. During a personal visit, individual will be required to produce military ID, if applicable, a valid drivers license, or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03002 0IACYVA

System name:

03002 0IACYVA Applications for Identification (ID) cards.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Applications for ID cards and discharge orders.

Authority for maintenance of the system:

title 18 U.S.Code 499, 506 and 701.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to suspend pending receipt of ID card or correspondence from reserviSt advising of prior disposition of identification card.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Destroy when notified that creDential has been returned to issuing activity by tearing into pieces, shredding, pulping, mascerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADp, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is extracted from maSter personnel record when individual is discharged from the Air Force Reserve.

Systems exempted from certain provisions of the act:

NONE

F03003 DPM5ACB

System name:

Deceased Service Member's Dependent File

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Air Force Widows

Categories of records in the system:

Name, Address, Social Security Account Number (SSAN) of Widow: Name, Grade, SSAN, Date of Death/Date of Retirement of Sponsor

Authority for maintenance of the system:

Title 10 United States Code - Armed Forces, Chapter 805, The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used only to identify Air Force Widows for purpose of mailing copies of the quarterly United States Air Force News for Retired Personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Tape and Card

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Maintained permanently.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph AFB, Texas 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Widows request, ID card application, casualty notices.

Systems exempted from certain provisions of the act:

NONE

F03003 DPMSACC

System name:

Indebtedness, Nonsupport, Paternity

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active duty and retired personnel

Categories of records in the system:

Correspondance files containing name, grade, Social Security Account Nunber (SSAN), duty station, address, and financial status

Authority for maintenance of the system:

Title 10, United States Code - Armed Forces, Chapter 803, Department of the Air Force, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Wives, former wives, commercial institutions, welfare agencies, and members of Congress based on allegations of indebtedness and non-support.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel Randolph AFB, Texas 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals, private concerns, and government agencies with interests pursuant to subject records.

Systems exempted from certain provisions of the act:

NONE

F03003 DPMSC A

System name:

03003 DPMSC A Casualty Files

System location:

Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Headquarters United States Air Force, Washington DC 20330. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. At headquarters of major commands and at bases of assignment of casualty or which provide casualty assistance to next of kin.

Categories of individuals covered by the system:

Any United States Air Force (USAF) member who is or might become a casualty.

Categories of records in the system:

Record of Casualty. This pertains to all personnel on active duty, to Air force Academy cadets, Air Force Reserve and Air National Guard personnel performing authorized inactive duty for training or traveling directly to or from such place of duty, and Air Force Reserve Officers Training Corps (AFROTC) applicants or members on annual training duty for 14 days or more or who are traveling to or from the designated place of such duty who become very seriously ill or injured (VSI), seriously ill or injured (SI), or suffer from an incapacitating illness or injury (III), or who become missing, missing in action, interned, captured or detained by a foreign power. These records pertain to certain civilian employees of the Air Force paid from appropriated funds who become missing, missing in action, interned, captured or detained by a foreign power while assigned overseas or who are on temporary duty from the Continental United States (CONUS) to overseas or who are traveling to or from the designated place of such duty under competent authority, certain unique situations on civilian employees and dependents of military personnel who become missing, missing in action, interned, captured or detained by a foreign power in mishaps while traveling aboard Military Airlift Command (MAC) or MAC-chartered flights or by other means of MAC oversea travel, and certain civilian employees in the CONUS when their missing status was the proximate result of their employment. Casualty Case File. These files pertain to all officers and airmen on active duty or extended active duty (including personnel in absent without leave, desertion, or dropped from the rolls status). The files also pertain to Air Force Academy cadets, all Air Force Reserve and Air National Guard officers and airmen performing authorized inactive duty for training or traveling directly to or from such place of duty, all AFROTC applicants or members on annual training duty for 14 days or more or traveling to or from the designated place of such duty, and certain civilian employees of the Air Force paid from appropriated funds who become missing, missing in action, interned, captured or detained by a foreign power while assigned overseas or who are on temporary duty (TDY) from CONUS to overseas or who are traveling to or from the designated place of such duty under competent authority. They pertain to certain civilian employees and dependents of military personnel who become missing, missing in action, interned, captured or detained by a foreign power in mishaps while traveling aboard MAC or MAC-chartered flights or by other means of MAC overseas travel and certain foreign nationals and certain employees in the CONUS when their missing status was the proximate result of their employment. A casualty is defined as any member of the armed forces or certain civilians who are lost to their organization by reason of having been declared missing, missing in action, wounded, injured, or diseased. The casualty case file is comprised of messages pertaining to the member; a copy of the Record of Emergency Data, Department of Defense Form 93 or Air Force Form 246; Air Force Military Personnel Center Form 238, CONUS Death/Missing, Report of Casualty, Department of Defense Form 1300; copy of assignment of assistance responsibility letter; Servicemen's Group Life Insurance Election, Veterans Administration (VA) Form 29-8286; correspondence from the base/AFMPC to/from the next of kin (NOK); Acknowledgement and/or Transfer of Casualty Assistance Case, Air Force Form 92; Statement of Service, Department of Defense Form 13; copy of notification message; Western Union messages; and other related correspondence and forms which pertain to the file. Record of Emergency Data being maintained on all Air Force personnel on extended active duty (EAD) and Air Force Academy cadets. Missing Persons Case Files. Reports submitted on United States Air Force (USAF) personnel who become missing as defined in 37 USC 551. Conveninnce rosters of those persons, copies of communications from and to next of kin, items received through news media, and some films.

Authority for maintenance of the system:

Chapter 31, Title 44, United States Code (USC) 3101-3107, Records Management by Federal Agencies; Chapter 33, Title 44, USC 3301-3314, Disposal of Records; Title 10, USC 2771, Armed Forces - Accountability and Responsibility; ; Sections 555 and 556, Chapter 10, Title 37, United States Code, Pay and Allowances of the Uniformed Services, Payments to Missing Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Support of the Casualty Services Program. The information is used to assist the Air Force in effecting expeditious reporting, dignified

and humane notifications, and efficient and thorough assistance to the next of kin of all casualties as previously defined. Primary user is the Office of the Assistant for Casualty Matters Major Commands (MAJCOMs),bases of assignment and/or reporting installation and bases providing casualty assistance. Records contain histories of all known data surrounding the missing statuses, recording dealings with next of kin, and reflecting efforts to obtain all possible information through normal and intelligence channels as well as the results of those efforts. Contain record of personnel actions taken which involve the missing persons as well as actions taken in accordance with public law. Rosters are maintained for convenience of completing many actions. Primary users are personnel in the Office of the Assistant for Casualty MaForce Military Personnel Center. Decentralized segment is maintained for rapid response to queries by high-level personnel in the Washington, District of Columbia (DC) area. The Record of Emergency Data is used to show the names and addresses of service member's spouse, children, parents and other persons the member wants notified should he/she become a casualty. Serves as an official document required by law (Title 10, United States Code (USC) 2771) for designating beneficiaries for death gratuity and unpaid pay and allowances. Also used to designate a person to receive an allotment of pay if the member becomes missing, captured or interned. Primary user is the Office of the Assistant for Casua

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders, cabinets, and film cannisters.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN).

Safeguards:

Casualty records are accessible only to authorized personnel assigned to the Office of the Assistant for Casualty Matters. Personnel are on duty 7 days per week, 24 hours a day. Also, access to the building after duty hours is controlled by Security Police personnel.

Retention and disposal:

Records may be temporary or permanent or supplemental in nature. They are retained in active file until the member's status is changed to deceased or returned to military control or no longer considered VSI, SI or III. One year after that time, selected temporary records are destroyed and all permanent records are retired to the National Personnel Records Center. Remaining temporary records are destroyed ten years after date of death or return to military control. Records of Casualty and casualty case files are permanent records. They are retained in active file until application or receipt of all allowable benefits, then forwarded to the National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132. Case files pertaining to civilians; foreign nationals; very seriously ill or seriously ill persons; and dependents of military personnel are destroyed 90 days after administrative closing of the case. Records of Emergency Data are retained until the member is relieved from active duty, then destroyed. Destroyed by shredding, burning, or by tearing into pieces.

System manager(s) and address:

Assistant Deputy Chief of Staff, Personnel for Military Personnel, Air Force Military Personnel Center, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Requests from individuals should be addressed to: Air Force Military Personnel Center/Office of the Assistant for Casualty Matters (AFMPC/DPMC), Randolph Air Force Base, Texas 781have been retired, the request will be forwarded to National Personnel Records Center (NPRC). Written requests should contain the full name and Social Security Account Number of the member as well as an indentification as complete as possible of the desired material including, if known, its title, description, number, date and issuing authority. For personal visits, the individual must provide some acceptable identification; that is, drivers license, identification card, or give some verbal information that can be verified in the case folder.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information provided by next of kin, organization of assignment, information extracted from Master Personnel Records, documents generated within the Casualty Division, Air Force Military Personnel Center, correspondence produced in providing casualty notification/assistance/processing.

Systems exempted from certain provisions of the act:

NONE

F03003 XOXXX

System name:

03003 XOXXX Next of Kin Inquiries Civilian MIA/PWs

System location:

Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Dependents of military personnel. MIA/PW Sponsor Peace Corps and State Department personnel. and other US civilian employees

Categories of records in the system:

Correspondence Background data Intelligence Reports

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Background data for Plans and Policy Formulation

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in safes.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Division Chief, Plans and Policy Division, Hq USAF (XOXXX) Washington D.C. 20330

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individuals can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources include information requests from next-of-kin, PW or MIA personnel; master personnel records, and intelligence reports.

Systems exempted from certain provisions of the act:

NONE

F03004 AFDPMDA

System name:

Contingency Planning Support Capability (CPSC)-Data Systems Designator (DSD) A349

System location:

Headquarters Strategic Air Command, Offutt AFB, NB 68113, Headquarters Tactical Air Command, Langley AFB, VA 23365, Headquarters Military Airlift Command, Scott AFB, IL 62225, Headquarters Aerospace Defense Command, Ent AFB CO 80912, Headquarters Air Force Communications Service, Richards-Gebaur AFB MO 64030, Headquarters United States Air Forces Europe, Ramstein Air Base (AB), APO New York 09012, and Headquarters Pacific Air Forces, APO San Francisco 96553.

Categories of individuals covered by the system:

Records are maintained on officer and enlisted personnel that are projected or departed on Temporary Duty (TDY) in support of contingency deployment or manning assistance projects.

Categories of records in the system:

Data maintained on individuals consists of 200 characters of data that fall into the following categories: Individual identification, skills, assigned organization, attached (TDY) organization and location, period and type of TDY, and projected completion date. Information is related only to the current performance of TDY of the individual on a specific project.

Authority for maintenance of the system:

Title 44 United States Code, Section 3101 and Title 10 United States Code, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data described herein represents only that portion of CPSC that contains individually identifiable data records. Other records in CPSC provide manpower authorizations to deploy personnel resources. The individual data provides the necessary information to insure that right numbers of personnel with the appropriate skills are projected/deployed in support of a contingency plan. Standard output programs summarize the individual data records and perform comparative routines to monitor the deploying force in relationship to the CPSC deployment manning document. Individual data records are provided to the CPSC via a magnetic tape file interface with the Advanced Personnel Data System (APDS). This file is provided on an as required frequency basis with production permissible as often as the APDS files are updated at the Major Air Command.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.

Retrievability:

Individual data records are not accessed nor displayed reflecting name or SSAN by standard CPSC programs. Retrieval programs available to Major Air Command personnel managers may be utilized to access individual data.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by computer system software.

Retention and disposal:

Records are maintained only for the duration of the TDY period. Upon expiration of the TDY, records are programmatically deleted by the APDS.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.
Director of Personnel Data Systems, Assistant Deputy Chief of Staff for Personnel, Military Personnel, Randolph AFB, TX, and Director of Personnel Data Systems at each Major Air Command Headquarters provided in the system location identification.

Notification procedure:

Director of Personnel Data Systems at each Major Air Command Headquarters provided in the system location identification.

Record access procedures:

Director of Personnel Data Systems at each Major Air Command Headquarters provided in the system location identification.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Data is provided from system interface, at the Major Air Command, with the Advanced Personnel Data System. Data is originally generated from the base level personnel data system by the Consolidated Base Personnel Office, as a result of force deployments or inter-base manning assistance actions.

Systems exempted from certain provisions of the act:

NONE

F03004 AFDPMDB

System name:

03004 AFDPMDB Advanced Personnel Data System (APDS) - ADS: E300

System location:

Headquarters United States Air Force, Washington DC 20330. Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280. Headquarters of the major commands and separate operating agencies and at consolidated base personnel offices, at central civilian personnel offices (CCPOs) and at consolidated reserve personnel offices. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. The Central Data Processing facility for APDS is operated by the Directorate of Personnel Data Systems, Asst DCS/Personnel for Military Personnel, Headquarters USAF, Randolph AFB, TX, 78148. Remote terminals located within this Air Force Military Personnel Center (AFMPC) complex permit authorized users access to the central data base. In addition, remote terminals located at Headquarters of the following major commands provide direct access to the Central Data Base at Randolph AFB for update and retrieval of data: Hq Air Training Command/DPD, Randolph AFB, TX 78148; Hq Strategic Air Command/DPD, Offutt AFB, NE 68113; Hq Tactical Air Command/DPD, Langley AFB, VA 23365; Hq Aerospace Defense Command/DPD, Ent AFB CO 80912; Hq Air Force Logistics Command/DPM, Wright Patterson AFB OH 45433; Hq Air Force Systems Command/DPD, Andrews AFB, MD 20331; Hq Air University/DPD, Maxwell AFB, AL 38112. Hq Military Airlift Command/DPD, Scott AFB, Il 62225; Hq USAF Security Service/DPD, San Antonio, TX 78243; Hq Air Force Communications Service/DPD, Richards-Gebaur AFB, MO 64030; Hq Air Force Reserve/DPD, Robins AFB, GA 31098; Hq Pacific Air Force/DPD, APO San Francisco 96553; HQ United States Air Force Europe/DPD, APO New York 09012; HQ Alaskan Air Command/DElmendorf AFB, AK 99506. Certain Air Force Staff Agencies, Separate Operating Activities and other specialized activities are provided remote access to the Central Data Base as required to discharge their respective functions. Remote terminals to support these requirements are found at the following locations: The Forrestal Bldg, (HQ USAF/Surgeon General, HQ USAF/Judge Advocate, HQ USAF/Director of Civilian Personnel) Washington DC 20314; The Pentagon, (HQ USAF/Director of Personnel Plans, HQ USAF/Director of Personnel ProgramsHQ USAF/Reserve Personnel Division, National Guard Bureau/Air Personnel Division, HQ USAF/ Assistant for Colonels' Assignments) Washington DC 20330; Air Reserve Personnel Center, Director of Personnel Systems, 7300 East First Avenue, Denver CO 80280; Hq Air Force Reserve, Robins AFB, GA 31098, United States Air Force Academy, Colorado Springs, CO 80840, Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279, Air Force Office of Special Investigations, Washington, DC 20330, Air Force Data Automation Agency, Gunter AFS, AL 36114, Air Force Audit Agency, Norton AFB, CA 92409, Air Force Intelligence Service, Ft Belvoir, VA 22060, Air Force Inspection and Safety Center, Norton AFB, CA 92409, Air Force Technical Evaluation Center, Kirtland AFB, NM 87117, and Headquarters United States Air Force, Pentagon, Washington, DC 20330; Washington Area Automated Data Processing Support Office/DPMDQ, Bolling AFB, DC 20332; Hq Air Training Command, Directorate of Student Resources, and Deputy Chief of Staff for Recruiting Service, Randolph AFB, TX 78148; Office of Civilian Personnel Operations, Randolph AFB, TX 78148; Consolidated Base Personnel Offices (CBPO's) and CCPOs located at selected Air Force Bases around thworld maintain computer data bases on persons for whom they have a servicing responsibility. In addition, CBPO's and CCPOs can request - by mail or the DOD Automatic Digital Network (AUTODIN) data from the Central Data Base at Randolph AFB, TX. CBPOs and CCPOs do not have direct remote acceto the Central Data Base. Official mailing addresses of CBPOs and CCPOs are in the DOD directory inthe appendix to this systems notice. The three APDS processing echelons (Base, Major Command, and Hq USAF) are linked into one vertical system. The CBPOs are linked into major Command and HQ USAF via AUTODIN. Major Commands are linked into HQ USAF via AUTODIN and telecommunications network. Data items are updated by the office and at the level having primary responsibility for the item in question. Data may be retrieved by the office and at the level having a validated requirement for access to it.

Categories of individuals covered by the system:

Air Force active duty military personnel. Air Force Reserve personnel. Air National Guard personnel. Retired Air Force military personnel. Air Force Academy cadets. Air Force Civilian Employees. Certain surviving dependents of deceased members of the US Air Force and predecessor organizations; potential Air Force enlistees; candidates for commission enrolled in college level Air Force Reserve Officer Training Corps Programs; Deceased members of the Air Force and predecessor organizations; Separated members of the US Air Force, the Air National Guard (ANG) and Air Force Reserve (USAFR); ANG and USAFR Technicians; Prospective, pending, current, and former Air Force civilian employees, except Air

National Guard Technicians and nonappropriated fund employees-current and former civilian employees from other Governmental agencies that are serviced at CCPOs may be incat the option of servicing CCPO.

Categories of records in the system:

The principal digital record maintained at each APDS operating level is the master personnel record, which contains the following categories of information: 1. Accession data - that data which pertains to an individuals entry into the Air Force. Some examples are: Place of enlistment source of commission, home of record, date of enlistment, place from which ordered to EAD. 2. Education and training data, describing the level and type of education and training civilian or military - received by the data subject, for instance: academic education level, major academic specialty, professional specialty courses completed, professional military education received. 3. Utilization data - that information which is used in assigning and reassigning the individual, determining skill qualifications, awarding Air Force Specialty codes, determining duty location and job assignment, screening/selecting individual for overseas assignment, performing strength accounting processes, etc. Examples are: Primary Air Force Specialty code, Duty and Control Air Force Specialty Code, personnel accounting symbol, duty location, up to 24 previous duty assignments, aeronautical rating, date departed last duty station, short tour return date, reserve section, current/last oversea tour. 4. Evaluation Data - data relating to various evaluations performed on members of the Air Force during their career, for example: Officer Effectiveness Report dates and ratings, Airman Performance Report dates and ratings, results of various qualification tests, an 'Unfavorable Information' indicator, and Drug and Alcohol Abuse data. 5. Promotion Data - concerning an individual's promotion history, current grade and/or selection for promotion, e.g.: current grade, date of rank and effective date; up to 10 previous grades, dates of rank and effective dates; projected temporary grade, key 'service dates.' 6. Compensation data - although APDS does not deal directly with paying Air Force members, military pay is largely predicated on personnel data maintained in APDS and provided to the Air Force Accounting and Finance Center (AFAFC) as described in ROUTINE USES below. Among these data are: Pay date, Aviation Service Code, sex, grade, proficiency pay status. 7. Sustentation data - information dealing with programs provided or actions taken to improve the life, personal growth and morale of Air Force members. In this category are such items as: awards and decorations, marital status, number of dependents, religious denomination of member and spouse, race relations education. 8. Separation and retirements data, which identifies an individual's eligibility for and reason for separation, using items such as: date of separation, mandatory retirement date, projected or actual separation program designator and character of discharge. At the central processing site (AFMPC), a number of subsidiary files or processes are operated. Although some may be called 'systems', they are in fact integral parts of APDS, and function as such. 1. Procurement Management Information System (PROMIS) - is an automated system designed to enable the USAF to exercise effective management and control of the personnel procurement personnel required to meet the total scheduled manpower requirements necessary to accomplish the Air Force mission. The system provides the recruiter with job requirement data such as necessary test scores, Air Force Specialty Code, sex, date of enlistment; and the recruiter enters personal data on the applicant - SSAN, name, date of birth, etc. - to reserve the job for him or her. 2. Career Airman Reenlistment Reservation System (CAREERS) - is a selective reenlistment process that manages and controls the numbers by skill of first-term airmen that can enter the career force to meet established objectives for accomplishing the Air Force mission. A process and to recruit and enlist the quantity and quality of prior and non-prior service centralized data bank contains the actual number, by quarter, for each Air Force Specialty Code (AFSC) that can be allowed to reenlist during that period. The individual requests reenlistment by stating his eligibility (AFSC, grade, active military service time, etc). If a vacancy exists, a reservation - by name, SSAN, etc - will be made and issued to the CBPO processing the reenlistment. 3. Airman Accessions -provides the process to capture a new enlistee's initial personal data (entire personnel record) to establish that person's personnel data record and gain it to the Master Personnel File, whereby it will add to the strength of the Air Force. The initial record data is captured through the established interface with the Processing and Classification of Enlistees System (PACE) at Basic Military Training, Lackland AFB for non-prior service; For prior service enlistees the basic data (Name, SSAN, DOE, Grade, etc) is input directly by USAF Recruiting Service and updated and completed by the initial gaining CBPO. 4. Officer Accessions - is the process whereby each of the various Air Force sources of commissioning (AF Academy, AFROTC, Officer Training School, etc.) project their graduates in advance allowing management to select by skill, academic specialty, etc which and how many will be called to active duty when, by entering into the record an initial assignment and projected entry onto Active Duty date. On that date the individual's record is accessed to the active Master Personnel File and gained to the strength of the Air Force. 5. Technicál Training Management Information System (TRAMIS) is a system dealing with the Technical Training activities controlled by Air Training Command. The purpose of the system is to integrate the training program, quota control and student accounting into the personnel data system. TRAMIS consists of numerous files which constitute 'quota banks' of available training spaces, in specific courses, projected for future use based on estimated training requirements. Files include such data as: Course Identification Numbers, Class Start and Graduation Dates, Length of Training, Weapon System Identification, Training Priority Designators, Responsible Training Centers, Trainee Names, SSAN (and other pertinent personnel data) on individuals scheduled to attend classes. 6. Training Pipeline Management Information System (TRAPMIS) is an automated quota allocating system which deals with specialized combat aircrew training and aircrew survival training. Its files constitute a 'quota bank' against which training requirements are matched and satisfied and through which trainees are scheduled in 'pipeline' fashion to accommodate the individual's scheduled geographical movement from school to school to end assignment. Files contain data concerning the courses monitored as well as Names, SSAN's and other pertinent personnel data on members being trained. 7. Air Force Institute of Technology (AFIT) Quota Bank File. This file reflects the AFIT program quotas by academic specialty for each fiscal year (current plus two future fiscal years, plus the past fiscal year programs for historical purposes). Also, this file reflects the total number of quotas for each academic specialty. Officer assignment transactions process against the AFIT Quota Bank file to reflect the fill of AFIT Quotas. Examples of data maintained are: Academic Specialty, Program Level, Fiscal Year, Name of Incumbent selected, projected, filling AFIT Quota. 8. Job File. The Job File is derived from the Authorization Record and is accessible by Position Number. Resource managers can use the Job File to validate authorizations by Position Number for assignment actions and also to make job offers to individual officers. Internal suspensing within the Job File occurs based upon Resource Managers update transactions. Data in the file includes: Position Number, Duty AFSC, Functional Account Code, Program Element, Location, and name of incumbent. 9. Casualty subsystem is composed of a number of transactions which may be input at Headquarters Air Force and/or CBPO's to report death or serious illness of members from all components. A special file is maintained in the system to record various information on individuals on whom death has occurred. Besides basic identification data unique data such as country of occurrance, date of incident, casualty group, aircraft involved in the incident and military status are recorded and maintained in this file. 10. Awards/Decorations: Awards/Decorations are recorded and maintained on all component personnel in the headquarters Air Force master files. All approved decorations are input at CBPO's whereas disapproved decorations are input at MAJCOM/HAF. A decorations statistical file is built at AFMPC which reflects an aggregation of approvals/disapprovals by category of decoration. This file does not reflect any individually identifiable data. All individually identifiable data on decorations is maintained in the Master Personnel File. Such information as the type of decoration, awarding authority, special order number and date of award are identified in an individuals record. Seven occurances for all decorations are stored; however only specific data on the last decoration of a particular type is maintained. 11. Point Credit Accounting and Reporting System (PCARS). This system is an Air National Guard/Air Force Reserve Unique supported by APDS. Its basic purpose is to maintain and account for retirement/retention points accrued as a result of participating in Drills/ Training. The system stores basic personal identification data which is associated with a calendar of points earned by participation in various elements of the Reserve program. Each year an individuals record is closed and point totals are accumulated in history, and a point earning statement is provided the individual and various records custodians. 12. Human Reliability/Personnel Reliability File: This file is maintained at Headquarters Air Force in support of AFM 35-98 and AFR 35-99. It is not part of the Master Personnel Files but a free standing file which is updated by transactions from CBPO's. The file was established to specifically identify individuals who have become permanently disqualified under the provisions of the above regulations. A record is maintained on each disqualified individual which includes basic identification data, service component, Personnel/Human reliability status and date, and reason for disqualification. 13. Variable Incentive Pay (VIP) File for medical officers: Contains about 125 character record on all Air Force physicians and is specifically used to identify whether the individual is

participating in the Continuation Pay or Variable Incentive Pay programs. Update to this file is provided by the Surgeon (AFMPC), the Air Force Accounting and Finance Center and directly from changes to the Master Personnel File. Besides basic identification data an individual's record includes source of appointment, graduate medical location status, amount of VIP or Continuation Pay and the dates of authorization and the dates and reason for separation. 15. Weighted Airman Promotion System: (a) The Test Scoring and Reporting Subsystem (TSRS) encompasses: Identifying at the CBPO individuals eligible for testing: providing output to the Base Test Control Officer and the CBPO to control, monitor, and operate WAPS testing functions; editing and scoring WAPS test answer cards at AFMPC; providing output for maintaining historical and analytical files at AFMPC and the Human Resources Laboratory (HRL) and includes the central identification at AFMPC of individuals eligible for testing. (b) The Personnel Data Reporting Subsystem (PDRS) provides for: identifying promotion eligibles at AFMPC; verifying these eligibles and selection promotion data; merging test and weighted promotion data at AFMPC to effect promotion scoring, assigning the promotion objective and aligning selectees in promotion priority sequence; maintaining projections on promotion selectees at AFMPC, MAJCOM, and the CBPO; updating these projections monthly; creating output products to monitor the flow of data in the system; maintaining promotion historical and analytical files and reports at AFMPC. (c) Basically, identification data along with time in grade, test scores, decoration information, time in service, and airman performance report history is used to support this program. 16. Retired Personnel Data System (RPDS) is made up of four files - Retired Officer Management File and Retired Airman Management File containing records on members in retired status and the Retired Officer and Airman Loss Files containing records on former retirees who have been lost from rolls, usually through death. The RPDS is used to produce address listings for the Retired Newsletter and Policy letter, statistical reports for budgeting, to manage the Advancement Program, the Temporary Disability Retired List, Agt 59 rosters for ARPC, General Officer roster, and statistical digest data for management analysis functions. Data is extracted from the master files upon retirement from Active Duty or Reserves. Data includes: Name, SSAN, Grade data, service data, Education data, Retirement data and address. 17. Separated Officer File contains historical information on officers who leave the Air Force via separation, retirement, or death. Copies are sent to Human Resources Lab and Washington offices for research purposes. The data comprises the Master Personnel Record in its entirety and is captured 30 to 60 days after separation from the Air Force. 18. Airman Gain/loss File includes data extracted from the Airman Master file when accession and separation (gains and losses) occur. This file, like the Separated Officer File, is used for historical reports regarding strength changes. Data includes Name, SSAN, and other data that reflects strength, i.e., promotions, reassignment data, specialty codes, etc. 19. Officer and Airman Separation Subsystem is used to process, track, approve, disapprove and project separations from the Air Force and transfers between components of the Air Force. This subsystem uses the Active, Guard, and Reserve MPFs. Data used includes that specifically related to separations, e.g., Date of Separation, Separation Program Designator, waivers, etc. 20. The Retirements Subsystem is used to process and track applications for and approval/ disapproval and projections of retirements. This subsystem uses the Master Files for Active Duty and Reserve officers and airmen. Data specifically related to retirements includes application data, date of separation, waiver codes, disapproval reason codes, Separation Program Designator, Title 10 United States Code section, etc. 21. Retired Orders Log is generated by the computer-produced retirement orders routine. Orders are automatically produced when approval, verification of service dates, and physical clearance have been entered in system. The orders log contains data found in administrative orders for retirement, including name, SSAN, grade, order number, effective dates, etc. The log is used to control assignment of order number, and as a cross-reference between orders, revocations, and amendments. 22. General Officer Subsystem of APDS. The General Officer Subsystem of APDS contains data extracted from the Master Personnel File and language qualification data and assignment history data maintained by the Assistant for General Officer matters. A record is maintained on each general officer and general officer selectee. The general officer files is updated monthly and is used to produce products used in the selection/identification of general officers for applicable assignments. 23. Officer Structure Simulation Model (OSSM). The Officer Structure and Simulation Model is a capability which provides officer force descriptions in various formats for existing, predictive or manipulated structures. It functions as a planning tool against which policy options can be applied so as to determine the impact of such policy decisions. The OSSM input records contain individual identifiable data from the Master Personnel Record, but all output is statistical. 24. Widow's File. This file is maintained on magnetic tape and updated by the Office of Primary Responsibility. When required, address labels and listings are produced by employing selected APDS utility programs. The address labels are used to forward the Retired Newsletter to widows of active duty and retired personnel. The listings are used for management control of the program. Contained in the file are the name, address, and SSAN of the widow. Additionally, the deceased sponsor's name, SSAN, date of death, and status at time of death are maintained. 25. Historical Files. Files with a retention period of 365 days or more are designated historical files. They consist of copies of active master files, and are used primarily for aggregation and analysis of statistical data, although individual records may be accessed to meet ad hoc requirements. 26. Miscellaneous files, records, and processes. In this category are a number of work files, inactive files with a less-than-365-day retention period, intermediate records, and processes relating to statistical compilations, computer operation, quality control and problem diagnosis. Although they may contain individual-identifying data, they do so only as a function of system operation, and are not used in making decisions about people. Civilian employment information including authorization for position, personnel data, suspense information; position control information; projected information and historical information; civilian education and training data; performance appraisal, ratings, evaluations of potential; civilian historical files covering job experience, training and transactions; civilian awards information; merit promotion plan work files; career programs files for such functional areas as procurement, logistics, civilian personnel, etc., civilian separation and retirement data for reports and to determine eligibility; adverse and disciplinary data for statistical analysis and employee assistance; stand alone files, as for complaints, enrollee programs; extract files from which to produce statistical reports in hard copy, or for immediate access display on remote computer terminals; miscellaneous files, as described in item 26, above.

Authority for maintenance of the system:

10 USC, Chapter 11, Reserve Components, Section 265 - policies and regulations: participation of reserve officers in preparation and administration; 269 - Ready reserve: placement in; transfer from; 275 - Personnel records; 278 - Dissemination of information. 10 USC Chapter 13, The Militia, Section 279 - Training Reports. 10 USC, Capter 31, Enlistments, Sections 504 - Persons not qualified; 505 - Regular components: qualifications, term, grade; 506 - Regular components: extension of enlistments during war; 507 - Extension of enlistment for members needing medical care or hospitalization; 508 - Reenlistment: qualifications; 509 - Voluntary extension of enlistments: periods and benefits; 510 - Reserve components: qualifications; 511 - Reserve components: terms; 512 - Reserve components: transfers. 10 USC Chapter 33, Appointments in Regular Components, Section 564 - Warrant officers: effect of second failure of promotion. 10 USC Chapter 35, Appointments as Reserve Officers, Section 593 - Commissioned officers: appointment, how made; term. 10 USC Chapter 37, General Service Requirements, Section 651 - Members: required service. 10 USC Chapter 39, Active Duty, Sections 671 - Members not to be assigned outside US before completing training; and 673 - Ready reserve. 10 USC Chapter 47, Uniform Code of Military Justice, Sections 835 - Art. 35. Service of Charges; 837 - Art. 37. Unlawfully inflencing action of court; 885 - Art. 85. Desertion; 886 - Art. 86. Absence without leave; 887 - Art. 87. Missing movement; 972 - Enlisted members: required to make up time lost. 10 USC Chapter 51, Reserve Components: standards and procedures for retention and promotion, Section 1005 - Commissioned officers: retention until completion of required service. 10 USC Chapter 59, Separation, Sections 1163 - Reserve components: members; limitations on separation; 1164 - Warrant officers; separation for age; 1166 - Regular warrant officers: elimination for unfitness or unsatisfactory performance. 10 USC Chapter 61, Retirement - Physical disability. 10 USC Chapter 63, Retirement for Age, Section 1263 - Age 62: Warrant officers. 10 USC Chapter 65, Retirement for Length of Service, Sections 1293 - Twenty years or more: warrant officers; 1305 - Thirty years or more: regular warrant officers. 10 USC Chapter 67, Retired pay, Sections 1331 - Computation of years of service in determining entitlement to retired pay; 1332 - Age and service requirements; 1333 - Computation of years of service in computing retired pay. 10 USC Chapter 79, Correction of Military Records. 10 USC Chapter 165, Accountability and responsibility, Section 2771 - Final settlement of accounts: deceased members. 10 USC Chapter 803, Department of the Air Force, Section 8012 - Secretary of the Air Force: powers and duties: delegation by: compensation. 10 USC Chapter 805, The Air Staff, Sections 8032 - General duties ; and Section 8033 - Reserve components of Air Force; policies and regulations for government for government of: functions of National Guard Bureau with respect to Air National Guard. 10 USC Chapter 831, Strength, Section 8224 - Air National Guard of the United States. 1-

USC Chapter 833, Enlistments, Sections 8251 - Definition; 8252 - Temporary enlistments; 8253 - Air Force: persons not qualified; 8256 - Regular Air Force: qualifications, term, grade; 8257 - Regular Air Force: aviation cadets: qualifications, grade limitations; 8258 - Regular Air Force; reenlistment after service as an officer; 8259 - Air Force Reserve: transfer from Air National Guard of United States; 8260 - Air Force Reserve: transfer to upon withdrawal as member of Air National Guard; 8261 - Air National Guard of United States; 8262 - Extension of enlistment for members needing medical care or hospitalization; 8263 - Voluntary extension of enlistment. 10 USC Chapter 835, Appointments in the Regular Air Force, Sections 8284 - Commissioned officers: appointment, how made; 8285 - Commissioned officers: original appointment; qualifications; 8296 - Promotion lists: promotion-list officer defined; determination of place upon transfer or promotion; 8297 - Selection boards; 8303 - commissioned officers: effect of failure of promotion to captain, major, or lieutenant colonel. 10 USC Chapter 837, Sections 8360 - Commissioned officers: promotion service; 8362 - Commissioned officers: selection boards; 8363 - Commissioned officers: selection boards; general procedures; 8366 - Commissioned officers: promotion to captain, major or lieutenant colonel; 8376 - Commissioned officers: promotion when serving in temporary grade higher than reserve grade. 10 USC Chapter 839, Temporary Appointments, Sections 8442 - Commissioned officers; regular and reserve components: appointment in higher grade; 8447 - Appointments in commissioned grade: how made; how terminated. 10 USC Chapter 841, Active Duty, Section 8496 - Air National Guard of United States: commissioned officers; duty in National Guard Bureau. 10 USC Chapter 853, Rights and benefits, Section 8691 - Flying officer rating: qualifications. 10 USC Chapter 857, Decorations and Awards, Sections 8741 - Medal of Honor: award; 8742 Distinguished service cross: award; 8743 - Distinguished service medal: award; 8746 - Silver star: award; 8749 - Distinguished flying cross: award; limitations; 8751 - Service medals: issue, replacement; availability of appropriations. 10 USC Chapter 859, Separation, Sections 8786- Officer considered for removal: volunatry retirement or honorable discharge; severance benefits;8796 - Officers considered for removal: retirement or discharge. 10 USC Chapter 863, , Separation or Transfer to Retired Reserve, sections 8846 - Deferred Officers; 8848 - 28 years: reserve first lieutenants, captains, majors, and lieutenant colonels; 8851 - Thirty years or five years in grade: reserve colonels and brigadier generals; 8852 - Thirty-five years or five years in grade: reserve major generals; 8853 - Computation of years of service. 10 USC Chapter 865, Retirement for Age, Sections 8883 - Age 60; regular commissioned officers below major general; 8884 - Age 60: regular major generals whose retirement has been deferred; 8885 - Age 62: regular major generals; 8886 - regular major generals whose retirement has been deferred. 10 USC Chapter 867, Retirement for Length of Service, Sections 8911 - Twenty years or more; regular or reserve commissioned officers; 8913 - Twenty years or more: deferred officers not recommended for promotion; 8914 - twenty to thirty years: regular enlisted members ; 8915 - Twenty-five years: female majors except those designated under section 8067(a)-(d) or (g)-(i) of this title; 8916 - twenty-eight years: promotion-list lieutenant colonels; 8917 - Thirty years or more: regular enlisted members; 8918 - Thirty years or more: regular commissioned officers; 8921 - Thirty years or five years in grade: promotion-list colonels; 8922 - Thirty years or five years in grade: regular brigadier generals; 8923 - Thirty-five years or five years in grade: regular major generals; 8924 - Forty years or more: Air Force officers. 10 USC Chapter 901, Training generally, Sections 9301 - Members of Air Force: detail as students, observers and investigators at educational institutions, industrial plants, and hospitals; and 9302 - Enlisted members of Air Force: schools. 10 USC Chapter 903, United States Air Force Academy, Sections 9342 - Cadet: appointment; numbers, territorial distribution ; 9344 - Selection of persons from Canada and American Republics; 9345 - Selection of Filipinos. 32 USC Chapter 1, Organization, sections 102 - General policy; and 104 - units: location; organization; command. 32 USC Chapter 3, Personnel, Section 307 - Federal recognition of officers: examination, certification of eligibility. 32 USC Chapter 7, Services , supplies, etc., Section 709 - Caretakers and clerks. 37 USC Chapter 3, Basic Pay, Section 308 - Special pay: reenlistment bonus; 313 - Special pay: medical officers who execute active duty agreements. 37 USC Chapter 7, Allowances, Section 407 - Travel and transportation allowances: dislocation allowance. 37 USC Chapter 10. For civilian employees-5 US Code 301 and 44 US Code 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Air Force operates what is essentially a centralized personnel management system in an environment that is widely dispersed geographically and encompasses a population that is quite diverse in terms of qualifications, experience, military status and needs. There are three major centers of Air Force personnel management: Washington, D.C., where most major policy and long-range planning/programming decisions are made; the Air Force Military Personnel Center at Randolph AFB, Tx., which performs most personnel operations-type functions for the active duty components of the force; and the Air Reserve Personnel Center at Denver Co., which performs certain operational functions for the Reserve components of the force. Offices at Major Command Headquarters, State Adjutant General, and Air Force Bases perform operational tasks pertaining to the population for which they are responsible. The structure of the Air Force and its personnel management system, the composition of the force, and the Air Force's stated objective of treating its people as individuals, i.e., giving due consideration to their desires, needs and goals, demand a dynamic data system that is capable of supporting the varying needs of the personnel managers at each echelon and operating locations. It is to this purpose that the data in the Advanced Personnel Data System is collected, maintained, and used. A. ROUTINE USES WITHIN THE AIR FORCE - INTERNAL TO THE PERSONNEL COMMUNITY: HQ USAF, WASHINGTON, DC: Deputy Chief of Staff, Personnel and his immediate staff; Director of Personnel Plans; Director of Personnel Programs; Assistant for General Officer Matters; Assistant for Colonel Assignments; Reserve Personnel Division; Air National Guard Personnel Division; and The Surgeon General, the Chief of AF Chaplains and the Staff Judge Advocate, each of which perform certain Personnel functions within their area of responsibility. Data from the central data base at the AFMPC is furnished Washington area agencies by retrieval from the computer at Randolph via remote access devices and by provision of recurring products containing required management information, including computer tape files which are used as input to unique systems with which APDS interfaces. Although most of the data is used by policy makers to develop long-term plans and programs and track progress toward established goals, some individual data is provided/retrieved to support actions taken on certain categories of persons managed by offices in the headquarters e.g. General Officers, Colonels, Air National Guard personnel, etc. AIR FORCE MILITARY PERSONNEL CENTER (AFMPC), RANDOLPH AFB, TX. Personnel managers at AFMPC use the data in APDS to make decisions on individual actions to be taken in areas such as personnel procurement, education and training, classification, assignment, career development, evaluation, promotion, compensation, casualty and personal affairs, separation and retirement. AIR RESERVE PERSONNEL CENTER (ARPC), DENVER, COLORADO. Personnel managers at ARPC perform many of the same functions for the Reserve components of the Air Force as the managers at AFMPC perform for the active duty force. As with the Washington area, ARPC obtains data from the central data base at AFMPC by retrieval through remote terminals and recurring output products containing information necessary to their management processes. MAJOR COMMAND HEADQUARTERS. Standard major command headquarters personnel operations are supported by the standard content of APDS records provided them by AFMPC. In addition, there is provided in the APDS record an 'add-on area' which the commands are authorized to use for the storage of data which will assist them in fulfilling unique personnel management requirements generated by their mission, structure, geographical location, etc. The standard functions performed fall generally under the same classifications as those in AFMPC, e.g., assignment, classification, separation, etc. Non-standard usages include provisions of unique aircrew data, production of specially-tailored name listing, control of theatre oriented training, etc. Some commands use APDS data - both standard and add-on as input to unique command systems, which are seperately described in the Federal Register. CONSOLIDATED BASE PERSONNEL OFFICES (CBPO). CBPOs, which represent the base-level aspect of APDS, are the prime point of system-to-people interface. Supplied with a standard data base and system, CBPOs provide personnel management support to commanders and supervisors on a daily basis. Acting on receipt of data from higher headquarters, primarily by means of transactions processed through APDS, they notify people of selection for reassignment, promotion, approval/disapproval of requests for separation and retirement, and similar personnel actions. When certain events occur on an individual at the local level, e.g., volunteer for overseas duty, reduction in grade, change in marital status, application for retirement, etc., the CBPO enters transactions into the vertical system to transmit the requisite information to other management levels and update the automated records resident at those levels. CBPOs too are allotted an 'add-on' area in the computer record which they use to support local management unique requirements such as local training scheduling, unique locator listing, urinalysis testing scheduling, etc. B. ROUTINE USES WITHIN THE AIR FORCE - EXTERNAL TO THE PERSONNEL COMMUNITY 1. HEADQUARTERS USAF/AFMPC INTERFACES: Automated interfaces exist between the APDS central site files and the following systems of other functions: a. The Flight Records Data System (FRDS) maintained by the Air Force Inspection and Safety Center (AFISC) at Norton AFB, CA. (1) Certain personnel identification data on rated officers is transferred monthly to the FRDS. This data flow creates the basic identifying data in the FRDS, insures compatability with the APDS, and precludes duplicative data collection and input generation by the AFISC. (2) Update of the personnel data to the FRDS generates return flow of flying hour data which is used at AFMPC for rated resource distribution management. b. The Master Military Pay Account (MMPA), is the Joint Uniform Military Pay System (JUMPS) centralized pay file maintained by the Air Force Accounting and Finance Center (AFAFC) at Denver, CO. The APDS transfers certain pay related data as changes occur to update the MMPA, e.g., promotions, accessions, separations/retirements, name, SSAN, grade. These data provide criteria for the AFAFC to determine specific pay entitlements. c. The AFAFC maintains a separate pay system for Air National Guard and Air Force Reserve personnel called the Air Reserve Pay and Allowances System (ARPAS). (1) APDS outputs certain pay related data to ARPAS as changes occur, e.g., retirements/ separations, promotions, name, SSAN, grade. These data form the criteria for the AFAFC to determine specific Reserve pay entitlements. (2) ARPAS outputs data which affect accumulated point credits for Air National Guard/ Reserve participation to AFMPC for update of the Point Credit Accounting and Reporting System (PCARS), a component of APDS. PCARS also receives monthly input from Hq Air University which updates point credits as a result of completing an Extension Courses Institute correspondence program. d. AFAFC provides data on Variable Incentive Pay (VIP) for Medical Officers which is used to update a special control file within APDS and produce necessary reports for management of the VIP program. e. Air Training Command operates a system called PACE (Processing and Classification of Enlistees) at Lackland AFB TX. From that system data is fed to AFMPC to initially establish the APDS record on an Air Force enlistee. f. On a monthly basis, copies of the APDS master Personnel File are provided to the Human Resources Laboratory at Brooks AFB, TX, where they are used as a statistical data base for research purposes. g. On a quarterly basis, AFMPC provides the USAF School of Aerospace Medicine with data concerning name, SSAN and changes in base and command of assignment of flying personnel. The data reflects significant medical problems in the flying population. h. A complete printout of APDS data pertaining to an individual is included in his Master Personnel Record when it is forwarded to National Personnel Records Center. i. APDS data is provided to the Contingency Planning Support Capability (CPSC) at seven major command headquarters: Tactical Air Command, Strategic Air Command, Military Airlift Command, Aerospace Defense Command, Air Force Communications Service, United States Air Forces, Europe, and Pacific Air Forces. A record identifiable by individual's name and SSAN provides contingency and/or manning assistance temporary duty (TDY) being performed by the individual. Record is destroyed upon completion of the TDY. Statistical records (gross statistics by skill and unit) are also generated for CPSC from APDS providing force availability estimates. CPSC is described separately in the Federal Register. 2. BASE LEVEL (CBPO) INTERFACES: Certain interfaces have been established at base level to pass data from one functional system to another. The particular mode of interface depends on the needs of the receiving function and the capabilities of the system to produce the necessary data: a. The Flight Management Data System (FMDS) receives an automated flow of selected personnel data on flying personnel as changes occur. This data consists primarily of assignment data and service dates which the base flight manager uses to determine appropriate category of aviation duty which is reflected by designation of an Aviation Service Code. The FMDS outputs aviation service data as changes occur to the BLMPS. These data subsequently flow to the APDS central site files at AFMPC so it is available for resource management decisions. b. The Medical Administration Management System (MAMS), currently being developed and tested, will receive flow of selected assignment data as changes occur for personnel assigned to medical activities. MAMS will use these data to align assigned personnel with various cost accounting work centers within the medical activity and thus be able to track manpower expenditure by subactivities. c. The Automated Vehicle Operator Record (AVOR) is being developed to support motor vehicle operator management. Approximately 115 characters of vehicle operator data will be incorporated into the BLMPS data base during FY76 for both military and civilian personnel authorized to operate government motor vehicles and selected personnel data items (basic identification data) will be authorized for access by the vehicle operator managers. The base Chief of Transportation will be responsible for accuracy of this data and will be the responsible official for actions associated with the Privacy Act of 1974. d. Monthly, a magnetic tape is extracted from BLMPS containing selected assignment data on all assigned personnel. This tape is transferred to the base Accounting and Finance Office for input into the Accounting Operations System. This system uses these data to derive aggregate base manpower cost data. e. A procedure is designed into BLMPS to output selected background data in a pre-defined printed format for personnel being administered military justice. This output is initiated upon notification by the base legal office. The data is forwarded to the major command where it is input into the Automated Military Analysis and Management System (AMJAMS). f. The BLIMPS output (on an event-oriented basis) pay-affecting transactions such as certain promotions, accessions, and assignments/reassignments, to AFAFC, where the data is entered into the JUMPS. C. ROUTINE USES EXTERNAL TO THE AIR FORCE, TO THE OFFICE OF THE SECRETARY OF DEFENSE (OSD). Individual information is provided to offices in OSD on a recurring basis to support top-level management requirements within the Department of Defense. Examples are the DOD Recruiter File to the Assistant Secretary for Manpower and Reserve Affairs (M&RA), a magnetic tape extract of military personnel records (RCS: DDM(SA)1221) to M&RA, input to the Reserve Component Common Personnel Data System to M&RA, and the Post Career Data File to M&RA. 2. TO OTHER DEFENSE AGENCIES. APDS supports other components of DOD by provision of individual data in support of programs operated by those agencies. Examples are the Selected Officer List to the Defense Intelligence Agency for use in monitoring a classified training program and the Defense System Management School (DSMS) Track Record System to DSMS for use in evaluating the performance of graduates of that institution. An extract file on Air National Guard Technicians is provided the National Guard Computer Center. 3. OTHER GOVERNMENT/QUASI-GOVERNMENT AGENCIES. Information used in analysing officer/airman retention is provided RAND Corporation. Data on prior service personnel with military service obligations is forwarded to the National Security Agency. Lists of officers selected for promotion and/or appointment in the Regular Air Force are sent to the Office of the President and/or the Congress of the United States for review and confirmation. Certain other personnel information is provided these and other government agencies upon request when such data is required in the performance of official duties. Selected personnel data is provided foreign governments, US governmental agencies, and other Uniformed Services on USAF personnel assigned or attached to them for duty. Examples: the government of Canada, Federal Aviation Administration, US Army, Navy, etc.) 4. LITIGATION. Information from APDS may be used in litigation in the event that the United States, its officers, or its employees are involved in the ligigation. 5. MISCELLANEOUS. Lists of individuals selected for promotion or appointment, who are being reassigned, who die, or who are retiring are provided to unofficial publications such as the Air Force Times, along with other information of interest to the general Air Force public. Information from APDS support a world-wide locator system which responds to queries as to the location of individuals in the Air Force. Material for preparing mailing labels is furnished commercial publishing or mailing firms working under contract to the Air Force who print or mail quasi-official publications to specified portions of the Air Force population, e.g., retired personnel, widows, etc. Locator information pertinent to personnel on active duty may be furnished to a recognized welfare agency such as the American Red Cross or the Air Force Aid Society. For civilain personnel--to provide automated system support to Air Force officials at all levels from that part of the Civil Service Commission required personnel management and records keeping system that pertains to evaluation, authorization and position control, position management, staffing skills inventory, career management, training, retirement, employee services, rights and benefits, merit promotion, demotions, reductions in force, complaints resolution, labor management relations, and the suspensions and processing of personnel actions; to provide for transmission of such records between employing activities within the Department of Defense - to provide individual records and reports to the Civil Service Commission; to provide information required by the Civil Service Commission for the transfer between federal activities; to provide reports of military reserve status to other armed services for contingency planning - to obtain statistical data on the work force to fulfill internal and external report requirements and to provide Air Force offices with information needed to plan for and evaluate manpower, budget and civilian personnel programs - to provide minority group designator codes to the United States Civil Service Commission's automated data file - to provide the Office of the Assistant Secretary of Defense Manpower and Reserve Affairs with data to access the effectiveness of the program for employment of women in executive level positions - to obtain listings of employees by function or area for locator and inventory purposes by Air Force offices - to assess the effect or probable impact of personnel program changes by

simulation and modeling exercises - to obtain employee duty locations and other employee data for personnel program management purposes - to obtain employee duty locations and other information releasable under Civil Service Commission rules and the Freedom of Information Act to respond to request from Air Force offices, other Federal agencies and the public - to provide individual records to other components of the Department of Defense in the conduct of their official personnel management program responsibilities - to provide records to law enforcement or inauthorities for investigation and possible criminal prosecution, civil court action, or regulatory order - to provide records to the Civil Service Commission for file reconciliation and maintenance purposes - and to provide information to employee unions as required by negotiated contracts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets, card files, on computer magnetic tapes, disks or drums, computer paper printouts or microfiche.

Retrievability:

Filed by name, Social Security Number (SSAN) or other identification number or system identifier. The primary individual record identifier in APDS is SSN. Some files are sequenced and retrieved from by other identifiers; for instance, the assignment action record is identified by an assignment action number. Additionally, at each echelon there exists computer programs to permit extraction of data from the system by constructing an inquiry containing parameters against which to match and select records. As an example, an inquiry can be written to select all Captains who are F-15 pilots, married, stationed at Randolph AFB, who possess a master's degree in Business Administration; then display name, SSN, number of dependents and duty location. There is the added capability of selecting an individual's record or certain pre-formatted information by SSN on an immediate basis using a teletype or cathode ray tube display device. High-speed line printers located in the Washington DC area, at Major Command Headquarters, and at ARPC permit the trvolume products to and for the use of Personnel managers at those locations.

Safeguards:

Records are accessed by custodian of the record system, person(s) responsible for servicing the record system in the performance of their official duties, records are accessed by authorized personnel who are properly screened and cleared for need-to-know and commanders of medical centers and hospitals. Records are stored in security file containers/cabinets, safes, vaults and locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening visitor registers and computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Preceding retention statement applies to Analog output products of the Advanced Personnel Data System. Data stored digitally within system is retained only for the period required to satisfy recurring processing requirements and/or historical requirements. Files with a retention period of 364 days or less are automatically released at the end of their specified retention period. 'Permanent history' files are retained for 10 years. Files 365 or more days old are defined as 'historical files' and are not automatically released. Retention periods for categories of APDS files are as follows: If cycle in which a program or series of programs creating output is daily, and the created magnetic tape file will be used for processing of next daily, then the retention will be not greater than 10 days. If cycle in which a program or series of programs creating output is daily, and the created magnetic tape file will be used for processing of next daily, which is also used for processing of weekly runs, then the retenfion will be not greater than 20 days. If cycle in which a program or series of programs creating output is daily, and the created magnetic tape file will be used for processing of next weekly, then the retention will be not greater than 20 days. If cycle in which a program or series of programs creating output is daily, and the created magnetic tape file will be used for processing of next weekly, which is also used for processing of monthly runs, then the retention will be not greater than 30 days. If cycle in which a program or series of programs creating output is weekly, and the created magnetic tape file will be used for processing of next weekly, then the retention will be not greater than 20 days. If cycle in which a program or series of programs creating output is weekly, and the created magnetic tape file will be used for processing of next weekly, which is also used for processing of monthly runs, then the retention will be not greater than 30 days. If cycle in which a program or series of programs creating output is monthly, and the created magnetic tape file will be used for processing of next monthly, then the retention will be not greater than 30 days. If cycle in which a program or series of programs creating output is monthly, and the created magnetic tape file will be used for processing of next monthly, which is also used for processing of quarterly runs, then the retention will be not greater than 90 days. If cycle in which a program or series of programs creating output is monthly, and the created magnetic tape file will be used for processing of next monthly, which is also used for processing of Semi-Annual run, then the retention will be not greater than 190 days. If cycle in which a program or series of programs creating output is monthly, which is also used for processing of annual runs, then the retention will be not greater than 365 days. If cycle in which a program or series of programs creating output is monthly, and the created magnetic tape file will be used for processing of next monthly, which is also used for processing of permanent history, then the retention will be not greater than 999 days. If cycle in which a program or series of programs creating output is quarterly, and the created magnetic tape file will be used for processing of next quarterly, then the retention will be not greater than 90 days. If cycle in which a program or series of programs creating output is quarterly, and the created magnetic tape file will be used for processing of next quarterly, which is also used for processing of semi-annual run, then the retention will be not greater than 190 days. If cycle in which a program or series of programs creating output is quarterly, and the created magnetic tape file will be used for processing of next quarterly, which is also used for processing of anannual runs, then the retention will be not greater than 365 days. If cycle in which a program or series of programs creating output is quarterly, and the created magnetic tape file will be used for processing of next quarterly, which is also used for processing of permanent history, then the retention will be not greater than 999 days. If cycle in which a program or series of programs creating output is semi-annual, and the created magnetic tape file will be used for processing of next semi-annual, then the retention will be not greater than 190 days. If cycle in which a program or series of programs creating output is semi-annual, and the created magnetic tape file will be used for processing of next semi-annual, which is also used for processing of annual runs, then the retention will be not greater than 365 days. created magnetic tape file will be used for processing of permanent history, then the retention will be not greater than 999 days. If cycle in which a program or series of programs creating output is annual, and the created magnetic tape file will be used for processing of next annual, then the retention will be not greater than 365 days. 9If cycle in which a program or series of programs creating output is semi-annual, and the If cycle in which a program or series of programs creating output is annual, and the created magnetic tape file will be used for processing of next annual, which is also used for processing of permanent history, then the retention will be not greater than 999 days. If the program or series of programs creating output is a one time run, and the file will be used for processing as required, then the retention will be lowest possible retention commensurate to job completion. If the program or series of programs creating output is compile card image or SOLT tapes, and the created magnetic tape file will be used for processing as required run, then the retention will be not greater than 90 days maximum. If cycle in which a program or series of programs creating output is as required runs, and the created magnetic tape file will be used for processing as required, the retention will be lowest possible retention commensurate to job completion. If the program or series of programs creating output is test files, and the created magnetic tape file will be used for processing as required, then the retention will be not greater than 30 days. If the program or series of programs creating output is print/punch backup and the created magnetic tape file will be used for processing as required, then the retention will be not greater than 10 days. In addition, for civilian personnel at base level (CCPO), master personnel files for prospective employees are transferred to the active file upon appointment of the employee or in the event the employee is not appointed and will no longer be considered a candidate for appointment, are destroyed by degaussing-master personnel files for active employees are transferred to the separated employee history file where they are retained for three years subsequent to separation and then destroyed by degaussing. The notification of personnel action - Standard Form 50 - is disposed of as directed by the Civil Service Commission-work files and records such as the employee career brief, position survey work sheet, retention register work sheet, alphabetic and social security account number locator files, and personnel and position control register are destroyed after use by tearing into pieces, shredding, pulping, macerating, or burning-work sheets pertaining to qualification and retention registers are disposed of as directed by the Civil Service Commission - transitory files such as pending files, and recovery files are destroyed after use by degaussing-files and records retrieved through general retrieval systems

are destroyed after use by tearing into pieces, shredding, pulping, macerating, or burning. Those records at AF Military Personnel Center for the end of each fiscal year quarter are retained for five years before destroying by deletion - the separated employee file retains employee information at time of separation for five years after which the employee's record is destroyed by degaussing.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force. Subordinate system managers are: A. Director of Personnel Data Systems, Assistant Deputy Chief of Staff for Personnel for Military Personnel, Air Force Military Personnel Center (AFMPC), Randolph AFB, TX, 78148. He is responsible for overall APDS design, maintenance and operation, and is designated the Autodmated Data Processing System Manager for all Air Force personnel data system. B. The Director of Personnel Data Systems at each Major Command headquarters for systems operated at that level. C. The Chief, CBPO, at Air Force installations for systems operated at that level. D. The Civilian Personnel officer at Air Force installations for civilian systems operated at that level.

Notification procedure:

Requests from individuals for notification as to whether the system contains a record on them should be addressed to the system manager of the operating level with which they are concerned. Persons submitting such a request, either personally or in writing, must provide SSN, name, and military status (active, ANG/USAFR, retired, etc. ANG members not on extended active duty may submit such requests to the appropriate State Adjutant General or the Chief of the servicing ANG CBPO. USAFR personnel not on extended active duty may submit such requests to ARPC, 3800 York St., Denver, CO, 80205 or, if unit assigned, to the Chief of the servicing CBPO or Consolidated Reserve Personnel Office. Personal visits to obtain notification may be made to the Military Records Review Room, Air Force Military Personnel Center, Randolph AFB, TX 78148, the Military Records Review Room, Air Reserve Personnel Center, Denver CO 80205; The Office of the Director, National Personnel Records Center (NPRC), 111 Winnebago St., St. Louis, MO, 63118; the office of the Director of Personnel Data Systems at the appropriate major command headquarters; or the office of the Chief of his servicing CBPO. Identification will be based on presentation of DD Form 2AF, Military Identification Card. Air Force civilian employees must provide SSN, full name, previous names if any, last date and location of Air Force civilian employment if not currently employed by the Air Force - current employees should submit such requests to their CCPO - former employees of the Air Force should submit such requests to the CCPO for the last Air Force installation at which they were employed. Authorizations for a person other than the data subject to have access to an individual's records must be based on a notarized statement signed by the data subject.

Record access procedures:

Assistance in gaining access to his records will be provided the individual by the appropriate subordinate system manager at AFMPC, ARPC, NPRC, major command or CBPO/CRPO/CCPO.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions, medical institutions, automated system interfaces, police and investigating officers, the bureau of motor vehicles, a state or local government and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03004 ARPC A

System name:

03004 ARPC A Point Credit Accounting Record System. (PCARS).

System location:

At Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280. At Air National Guard and Air Force Reserve activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. At Air Force Military Personnel Center, Randolph Air Force Base, Texas 78148.

Categories of individuals covered by the system:

Air Force Reserve and National Guard Personnel.

Categories of records in the system:

Correspondence, orders; forms; and reports which include identifying personnel data including name, SSN, address, grade, and retirement/retention date; record of retirement points and service earned prior to and record of points earned, by type duty, for the current retirement year. Reports include automated listings, processed transactions, rejected transactions, accession transactions, point summary lists, statistical reports, individual point summary reports, and input lists for participation verification.

Authority for maintenance of the system:

10 USC 1331, Age and service requirement; 10 USC 1332, Computation of years of service in determining entitlement to retired pay; and 10 USC 1333, Computation of years of service in computing retired pay. Routine uses of records service in computing retired pay.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to maintain accurate listings of transactions processed to active reserve force member's point credit account; to reconcile strength of the Air National Guard and Air Force Reserve members between the various mechanized accounting systems; to identify new members of the Air Force Reserve and Air National Guard; to certify accuracy and completeness of transactions manually submitted to the point record as required by Air Force audit requirements; to advise member and reserve managers of the member's participation in reserve affairs; for promotion evaluation considerations; and for determination of retirement eligibility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets, on computer paper printouts, tape, and disk.

Retrievability:

Filed by name and by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Documents not required for inclusion in military personnel record system are retained in office files until superseded, obsolete, no longer needed for reference, or after 16 months, whichever is sooner, then destroyed by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Request from individual should be addressed to the Documentation Management Officer, ARPC/ DADP, 7300 East First Avenue, Denver, CO 80280. Written request for information should contain full name of individual, SSN (social security number), current address and the case control number shown on correspondence received from center. Records may be reviewed in records review room ARPC, 7300 East First Avenue, Denver, CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current reserve ID card and/or drivers license and give some verbal information that could verify his/her reserve assignment.

Record access procedures:

Individual can obtain assistance in gaining access from Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from master personnel record and authorized point credit documents obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03004 SGPA A

System name:

USAF Aerospace Medicine Personnel Career Information System

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System location:

The Aerospace Medicine Division, HQ USAF/SGPA Washington DC 20314

Categories of individuals covered by the system:

All AF Medical Officers (MC), active duty, separated or retired, who possess or are in training leading to award of Air Force Specialty Code (AFSC) 9356, Aerospace Medicine Physician.

Categories of records in the system:

Date of Board certification, dates of aeronautical ratings, professional society membership record of training, military assignments, marital status, list of papers authored, assignment preferences, desired career progression, photograph, letter of notification of certification by the American Board of Preventive Medicine, as well as personal letters from officers regarding promotion/assignments/career progression and copies of replies to these letters.

Authority for maintenance of the system:

Title 10, United States Code, Sections 8012 and 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assist the Chief, Aerospace Medicine Division in establishing policy on educational requirements in 9356 career field; to foster career retention through more personal contact with officers in this specialty; to assist the AF Military Personnel System in assigning Aerospace Medicine Physicians.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are protected by guards.
Records are controlled by visitor registers.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Required information is full name/rank; visits may be made to Office of the Surgeon General, Aerospace Medicine Division; proof of identity is by military ID card for active/retired and personal recognition due to small number of officers involved.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Individuals provide the vast majority of information in this system; individuals provide the letters from the American Board of Preventive Medicine concerning Board certification; Air Force Military Personnel Center (AFMPC) provides some data upon request from AF/SGPA.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
Information from individual.

Systems exempted from certain provisions of the act:

NONE

F03004 SGPA B

System name:

Bioenvironmental Engineer Personnel Career Information System

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All Air Force Active Duty Officers with Air Force Specialty Code (AFSC) 9116, 9124, or 9121

Categories of records in the system:

File contains individual folders, filed by name, and includes information regarding where the individual is assigned, academic background, assignment preferences, past assignments, correspondence between the individual and the Associate Chief of the Biomedical Sciences Corps (BSC) for Bioenvironmental Engineering, professional accomplishments of the individual.

Authority for maintenance of the system:

Title 10 U.S.C. Section 133 and Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assist the Associate Chief of the BSC for Bioenvironmental Engineering in establishing policy or educational requirements in this career field; to foster career retention through more personal contact with officers in this specialty; to assist the Air Force Military Personnel Center in assigning bioenvironmental engineers

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are protected by guards.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for six months after the individual terminates military service, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force, Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03004 SGPA C

System name:

Aerospace Physiology Personnel Career Information System

System location:

The Aerospace Medicine Division, HQ USAF/SGPA, Washington DC 20314.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Serving in the USAF Aerospace Physiology Programs; applies to civilian and military applicants for the program.

Categories of records in the system:

Files contain a picture, information as to assignments, academic and professional accomplishments, personal letters from individuals inquiring about some aspect of a career as an AF Aerospace Physiologist/Physiological Training Officer.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012, 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To make policy decisions regarding level and type of officer expertise available and required to meet present and future commitments for USAF; for policy analysis in determining the type of professional background required to meet standards for each program falling within the Aerospace Physiology Programs. Category of user is Chief, Aerospace Physiology and Chief, Biomedical Sciences Corps (BSC). Specific use is to analyze the experience and professional achievements of the individual/group to insure that qualified officers are available, processed and trained and properly located to meet the requirements for specific and highly technical Aerospace Physiology projects. Includes policy decisions regarding curricula for professional training requirements for advanced degrees, manning, standards for manpower evaluation, professional degree level for required functional areas, statistical analysis of data relating to component officers in the BSC. Personnel letters from/to individuals contain answer/questions to policies and their relation to individual's AF status, where applicable.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Resumes are in alphabetical order in loose ring notebook.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Provide full name, Social Security Account Number, military status. Requestors may visit Office of the Surgeon General, Aerospace Medicine Division. Proof of identity is by government ID card, drivers license, personal recognition by Chief, Aerospace Physiology due to small number of officers involved.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is provided by the individual and the USAF Military Personnel Center.

Systems exempted from certain provisions of the act:

NONE

F03004 0EACYVA

System name:

03004 0EACYVA Military Personnel Expense Distribution Listing.

System location:

Elements of the record system are maintained at accounting and finance offices (AFO) and responsibility centers/cost centers (RC/CC) managers at Air Force installations listed in the Department of Defense Directory in the appendix to the Air Force system notice.

Categories of individuals covered by the system:

Air Force active duty military personnel.

Categories of records in the system:

records include but are not limited to listings and correspondence relating to name, grade, standard rate of pay and other accounting classifications.

Authority for maintenance of the system:

31 U.S.C.67(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Listings are used by cost center managers and other Department of Defense Components to monitor the accuracy of the military personnel expense system. Disclosure made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets, in card files, on computer magnetic tapes, on disks or drums, and on computer paper printouts.

Retrievability:

available only by computer product request or by referral to hard copy listing. Data can be obtained only by retreiving the complete list which shows all personnel for each base on a monthly basis. Data pertaining to an individual cannot be automatically separated from the list.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties who are authorized personnel and properly screened and cleared for need-to-know. Records are protected by guards. Records are controlled by personnel screening. visitor registers and computer system software.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting And Finance, United States Air Force and Accounting and Finance Officers at Air Force installations.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7552. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at Air Force components listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requesters should be able to provide sufficient proof of identity, such as name, social security account number, military status, duty station or place of employment, or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7552. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at Air Force components listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requesters should be able to provide sufficient proof of identity, such as name, social security account number, military status, duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Base level military personnel system (BLMPS). Standard rate of pay from HQ USAF.

Systems exempted from certain provisions of the act:

NONE

F03004 0J RSSA

System name:

processing and Classification of Enlistees (PACE)

System location:

Central computer at Air Training Command, Randolph AFB, TX 78148 and input/output remotes at 3700 personnel processing group (ATC) Lackland AFB, TX 78236 and USAF Recruiting Service (ATC) Randolph AFB, TX 78148.

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

V 44 DE 17 79 UMI

Attached records for Air National Guard and Air Force reserve personnel attending basic military training and Officer training school. Active duty enlisted personnel attending Officer training school in TDY status.

Categories of records in the system:

Airmen trainee records containing name, SSAN, and other personnel data for assignment from basic military training, security investigation, job preferences, dependent data, education, test scores, grade and promotions, biographical history, physical data, drug abuse history, enlistment personal and guaranteed training enlistee program data, separation information, classification data, service dates, and basic training flight, squadron, entry and graduation dates.

Authority for maintenance of the system:

44 United States Code 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of PACE is to create an initial record for the base level personnel data system (BLMPS); to provide AFMPC with initial accession information on non-prior service enlistees provide for improved classification and assignment procedures using computer processes; provide necessary information to joint military pay system (JUMPS) and Lackland Entering Pay System (LEAPS) for establishment of military pay records; interface the data ring process to the maximum extent with other functional areas; and to standardize and simplify personnel processing for the 3700 personnel processing group (ATC), Lackland AFB, TX 78236, so that they may more effectively control record preparation, processing, and classification actions necessary to transition civilian enlistees to military status. Aptitude tests are administered; biographical history and job and assignment preferences are collected; and personal data is collected from enlistment records to establish a mechanized record necessary to support classification and assignment of trainees. Accession and update data is furnished through automatic interface to the advanced personnel data system (APDS) at AFMPC and Air Training Command, Randolph AFB, TX; to JUMPS at AFAFC, Denver, CO. and to LEAPS at accounting and finance, Lackland AFB, TX. History records are furnished monthly to the human resources laboratory (HRLPRD), personnel research division, Lackland AFB, TX, for statistical analysis and to USAF Recruiting Service/RSS, Randolph AFB, TX, for use in the enlistee quality control monitoring system. Data is used to prepare forms, processing schedules, reassignment and promotion orders, classification actions, transaction and error rosters, autodin lists, and management products necessary to administer trainees while at Lackland AFB, TX. Standard BLMPS products such as JUMPS transaction registers, strength balance reports, and suspense lists are prepared. Changes in basic data, promotions, reassignments, separations, and duty status changes are reported to APDS, JUMPS, and LEAPS as the action occurs. History records used at HRLPRD and the enlistee quality control monitoring system are augmented by additional data from APDS and technical training centers and are used to evaluate the quality of Airmen enlisted in the USAF and the effects of changes in procurement and classification policies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on disks or drums.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.

Retention and disposal:

Records for basic trainees are retained in active file until departure from basic military training is confirmed then transferred to history file on magnetic tape for one year. Records for Officer trainees are maintained in the active file until end of fiscal year in which they enter training and then transferred to history file on magnetic tape for one year.

System manager(s) and address:

USAF Recruiting Service (ATC), Randolph AFB, TX 78148 and 3700 personnel processing group (ATC), Lackland AFB, TX 78236.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
Prepared from forms prepared during enlistment processing and completed during interviews and testing at 3700 personnel processing group, Lackland AFB, TX 78236.

Systems exempted from certain provisions of the act:

NONE

F03004 0J RSSB

System name:

Enlistee Quality Control Monitoring System E818.

System location:

USAF Recruiting Service (ATC) RSS, Randolph AFB, TX 78148.

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Categories of records in the system:

Airmen trainee history records containing name, SSAN, and other personnel data for assignment from basic military training, job preferences, security investigation, dependent data, education, test scores, grade and promotions, biographical history, physical information, drug abuse history, enlistment personal and guaranteed training enlistee program data, separation data, classification data, service dates, technical school eliminations, separations, honor graduates and article 15 and courts-martial actions.

Authority for maintenance of the system:

44 United States Code 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of system is to evaluate the quality of Airmen being enlisted in the USAF. Statistics are developed to evaluate the impact of drug abuse, judicial punishment, technical school elimination and their interreaction on procurement policies. Feedback data is furnished to field operating personnel to assist them in evaluating their effectiveness as recruiters and managers and allow them to make necessary changes in their recruiting methods. Used by staff agencies at HQ USAF and Air Training Command to evaluate the effects of changes in procurement and classification changes. Used by recruiting agencies to evaluate recruiting methods based on review of basic military training discharges, technical school discharges, eliminations, and honor graduates, and judicial punishment actions. Statistical analysis by all levels of agencies to indicate recruiting and seasonal procurement trends, classification and assignment policy changes, and discharge and eliminee rates. Used to furnish statistics on females with minor dependents, on fast-pace students, and directed duty assignments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained indefinitely by fiscal year of enlistment.

System manager(s) and address:

Director of student resources, USAF Recruiting Service, Air Training Command, Randolph AFB, TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Information obtained from financial institutions.

Systems exempted from certain provisions of the act:

NONE

F03004 0QVDYDA

System name:

military Airlift Command (MAC) Special Executive Development Program

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Categories of records in the system:

Contains last ten performance ratings, educational level, and professional military education data.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

purpose to identify for special executive development, highly qualified Officers. Category of user Headquarters MAC Deputy Chief of staff for personnel and Commanders of MAC numbered Air Forces, services, and wings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer paper printouts.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

MAC Deputy Chief of Staff for Personnel, Scott Air Force Base, IL 62225.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03004 0SGHLNA

System name:

Group Scheduling Listing

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.
321st security police group (321SPG) and missile security (321MSS) squadron, Grand Forks AFB ND 58201

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.

Categories of records in the system:

Name, grade, SSAN, date of birth, training date, flight/office symbol.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Identifying training/appointments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer paper printouts.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Non-commissioned Officer in charge, scheduling branch, 321 spg non-commissioned Officer in charge, reports and analysis division, 321 spg non-commissioned Officer in charge, aircraft security branch, 321 spg non-commissioned Officer in charge, missing site branch, 321 MSS non-commissioned Officer in charge, standardization branch, 321 spg non-commissioned Officer in charge, training division, 321 spg

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03004 0TMUHJK

System name:

base Automated Mobility System (BAMS) Personnel Extract Tape

System location:

Headquarters, Tactical Air Command, Langley AFB, Virginia 23665

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Categories of records in the system:

Personnel data extracted on Officers and Airmen.

Authority for maintenance of the system:

10 United States Code 8074

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The personnel extract tape is used as an input to produce BAMS output products to manage available personnel resources for mobility and deployment purposes at the CBPO.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Tactical Air Command, Langley Air Force Base, Va.

Notification procedure:

Wing/base mobility office.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F030040BXQPCAB

System name:

Military Personnel Administrative Records.

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Living U.S. citizens who have contributed significantly to the National Defense and security of the United States, Air Force active duty enlisted and officer personnel assigned or attached for duty to the USAF Academy, and military personnel applying for tuition assistance under the education program.

Categories of records in the system:

Documents contained in this system include: 1. Award recommendations/nominations. These documents include personal data on individuals being recommended for an award; nominations from Air Force major commands and separate operating agencies, and supporting biographical information on nominees for the Thomas D. White Defense Award. 2. Education- training data. Includes related reports, extension course institute certificates and requests for enrollment in the professional education program. 3. Evaluations. Includes officer efficiency reports, airman performance reports and supplemental sheets thereto. 4. Other information contained in the system encompasses documents associated with military personnel records and academic absence authorizations.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal data maintained on military personnel is used by the supervisor to nominate personnel for the Senior Noncommissioned Officer (NCO), NCO, or Airman of the Quarter or Year Award. Nominations are provided the unit orderly room for evaluation. Data pertaining to the Thomas D. White Defense Award is used by a selection board in identifying an appropriate recipient for the award. The award elements which may consist of citations, certificates, and/or trophies are prepared using information provided by the nominating activity. Education-training data is used to determine individual enrollment under professional education programs and the amount of funds required for each and also to document completed training as in the case of completed extension institute courses. Other documents in the system are used in support of management requirements and decisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained on disks or drums. Maintained on computer magnetic tapes. Maintained on computer paper printouts.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. Records are stored in locked cabinets or rooms.

Retention and disposal:

Records maintained in conjunction with the Thomas D. White Defense Award are retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing to pieces, shredding, pulping, macerating, burning, or burying; other award documents as well as requests for enrollment in professional education programs, academic absence authorizations, and efficiency reports are retained in offices files for 1 year after the annual cut-off then destroyed as previously described. The remaining documents in the system are retained until reassignment or separation then destroyed in the same manner indicated above.

System manager(s) and address:

Deputy Chief of Staff/Personnel, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Request for information on efficiency reports should include fill name and SSAN.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers. Also from the individual concerned, supervisors, and military personnel records.

Systems exempted from certain provisions of the act:

NONE

F0300410HAJXFA

System name:

Air Force Systems Command (AFSC) Personnel Resource Management System

System location:

Headquarters AFSC Deputy Chief of Staff/Personnel Andrews Air Force Base MD 20334.

Categories of individuals covered by the system:

All active duty Air Force military assigned to this Command.

Categories of records in the system:

All standard Air Force data items from the advanced personnel data system (APDS) are included in this file as well as the following unique data items: assignment vulnerability code, assignment vulnerability date, personnel gain-loss indicator, merge record status, summary indicator, professional potential index (Officer).

Authority for maintenance of the system:

10 United States Code 8034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in this system is used to provide personnel resources managers with information in addition to standard APDS data that will enhance assignment actions and insure effective utilization of personnel in the Command. This file merges Officer and enlisted data to provide a total military manning picture for Air Force Systems Command (AFSC) units. It is also used to screen personnel completing minimum tours in AFSC. Resource managers use the file to identify the type of gain or loss actions pending on an individual such as intra-Command moves, promotions, changes to current duty area. The professional potential index (PPI) is used where a gross indicator of personnel quality or potential is needed such as determining parity of quality manning within field organizations, affecting future assignment actions, trackin individual board member performance in below the zone promotion boards, to insure fair consideration for below the zone candidates. The PPI provides a single quantitative representation of the whole man. The PPI is primarily based on adjusted effectiveness report data which has been adjusted for inflation, currency, period of supervision, and period of time covered by the computer file. It also includes the influence of academic and professional military education, aeronautical rating, service component, source of commission, promotion status, date of separation, and age. This data is all taken from standard personnel information files in APDS. The information helps resource managers and Commanders insure a precise quality distribution of the personnel resource necessary to accomplish the unique mission of scientific research and development of Air Force Systems Command. The data is only available to personnel resource managers and Commanders in AFSC. No other agency has access to this data, therefore, there are no routine uses of the data outside AFSC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are controlled by computer system software.

Retention and disposal:

Retained in computer files until individual is reassigned or separated from the Air Force, then destroyed by re-using and writing over the record space.

System manager(s) and address:

Headquarters AFSC DCS/personnel

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F0300410HAJXFB

System name:

potential Program Managers Tracking System (PPMTS)

System location:

Headquarters Air Force Systems Command Deputy Chief of Staff/P Andrews Air Force Base MD.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. 20334

Categories of individuals covered by the system:

Active duty Air Force Officers in Air Force Systems Command in research and development career fields.

Categories of records in the system:

All standard Air Force data items from the advanced personnel data system (APDS) are included in this file as well as the following unique data items professional experience identifier (PEI),a code based on type,level and length of an Officers experience derived from information from APDS. PEI end date. PEI review date. PEI manning point. Yes/no- if yes Officer continues to be tracked, if no, Officer is no longer tracked, however, his file is still maintained in an inactive status. Defense systems management school (DSMS), selectee,alternate selectee, graduate. Professional military education (PME) eligibility date.

Authority for maintenance of the system:

10 United States Code 8034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine uses: a. Purpose- In accordance with DoD directive 5000.23 system acquisition management careers, monitor performance of Air Force Systems Command (AFSC) Systems Acquisition Officers to select best qualified personnel for key positions in management of major defense systems. B. Categories of users- Headquarters AFSC Commander, Vice Commander, Chief of Staff, DCS/Personnel, Assistant DCSX/P, Director of Assigments, Career Development Division, Officer Assignments Division Director of Personnel Programs, Training and Education Division, AFSC Field Commanders and Program Managers. C. Specific use data will be reviewed by the above personnel to make decisions concerning possible reassignment or career development actions on AFSC Systems Acquisition Officers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in computer files until individual is reassigned or separated from the Air Force, and then destroyed by re-using and writing over the record space.

System manager(s) and address:

Headquarters AFSC DCS/Personnel.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F0300410HAJXFC

System name:

Air Force System Command Personnel Data Retrieval System.

System location:

Headquarters Air Force Systems Command DCS/P, Andrews AFB MD 20334.

Categories of individuals covered by the system:

Air Force Officers and civilians GS-12 and above in Air Force Systems Command.

Categories of records in the system:

Standard Air Force data items from the Advanced Personnel Data System (APDS) are included in this file as well as standard civilian personnel data items from the E201 file as well as an experience resume of job history which describes each job the individual has held in the United States Air Force.

Authority for maintenance of the system:

10 U.S.C. 8034.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to provide personnel resource managers with data in addition to standard APDS data that will enable them to provide improved assignment actions and more effective utilization of the unique background of officers and civilians in the Research and Development career fields. The resume also allows individuals to communicate their next job preferences for assignment purposes. No other agency has access to this data, therefore, there are no routine uses of the data outside of the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are controlled by computer system software.

Retention and disposal:

Retained in computer files until the individual is reassigned from AFSC or retires from the Air Force, then destroyed by writing over and reusing the record space.

System manager(s) and address:

Headquarters AFSC DCS/Personnel.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03005 PRENC A

System name:

Equal Opportunity in Off-Base Housing

System location:

Each base level Housing Referral Office; Major Command (MAJCOM)/Assistant for Family Housing Management and Deputy Chief Of Staff Programs and Resources.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Categories of individuals on whom records are maintained. Military member, Department of Defense(DOD) civilian employee, and adult dependent acting for military member submitting a housing discrimination complaint.

Categories of records in the system:

The record consists of Complaint in Discrimination of off base housing and supporting documents submitted to the base level housing referral office alleging a housing discrimination complaint, case files, reports of investigation, and related correspondence.

Authority for maintenance of the system:

10USC8012, 42USC1982, and 10USC133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information copies held at base, MAJCOM, and Headquarters United States Air Force (HQ USAF) as a historical record of all actions taken in response to each housing discrimination complaint. Information used by Air Force officials, at all levels, to respond to Congressional, HUD, Department of Justice (DOJ), or related inquiries pertaining to the housing discrimination complaint. Original record sent to HUD with an information copy to DOJ for their action in support of existing laws.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

By Installation and Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Programs and Resources, Headquarters United States Air Force. Washington, D.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

and individuals may contact agency officials at the respective base level housing referral office in order to exercise their rights under the Act.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

and individuals may contact agency officials at the respective base level housing referral office in order to exercise their rights under the Act.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's voluntary application, witnesses of alledged incident, and other sources pertinent to alledged incident.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03005 PRENC B

System name:

Off-Base Housing Referral Service

System location:

Base Level Housing Referral Offices; Major Command/DEHH; Deputy Chief Of Staff, Programs and Resources.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Military member, Department of Defense (DOD) civilian employee requesting off-base housing, and civilian landowner or agent listing facilities for rent.

Categories of records in the system:

Off-Base Housing Application, and Notification of Housing Selection. Data includes: name, grade, address, family composition, age, housing requirements, and housing selected. Detailed Sales/ Rental Listing. Form completed by civilian landowner or agent. Data includes: name, address, details on rentals listed, and nondiscriminatory assurances.

Authority for maintenance of the system:

Title 10, United States Code - Armed Forces, Chapter 803, Department of the Air Force, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Match housing desires with rentals listed. Used by base housing officials, military personnel and authorized civilians to locate housing matching needs/desires. Identifies type of housing selected by incoming personnel and used by base housing officials to monitor availability of off-base housing, housing selected, and individual's satisfaction with housing referral service provided. Referred to DOJ and HUD, if required by them in processing a housing discrimination complaint. Used by AF officials to respond to inquiries on individual member's housing situation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

And installation

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Programs and Resources, Headquarters United States Air Force. Washington, D.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Or individuals can contact the Housing Referral Office at the base at which they completed the applicable forms in order to exercise their rights under the Act.

Record access procedures:

Same procedures as for notification above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual voluntary application.

Systems exempted from certain provisions of the act:

NONE

F03005 PRENC C

System name:

Base Housing Management

System location:

At Headquarters United States Air Force, Washington DC 20330.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Categories of individuals on whom records are maintained: All Military members desiring base family housing and eligible Department of Defense (DOD) civilian employees.

Categories of records in the system:

Categories of records and description of data maintained in system: 'Application for and Assignment to Military Family Housing', contains the following data: Name, address, rank, Social Security Account Number (SSAN), Service data, family composition, and other information such as health problems. Other supporting documents-quarters condition inspection reports, assignment orders, etc.

Authority for maintenance of the system:

Title 10, United States Code - Armed Forces, Chapter 803 Department of the Air Force Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to apply for family housing and provide information upon which eligibility can be determined. Used by base housing officials. To respond to Congressional, Inspector General, and other inquiries on an individual basis pertaining to family member's housing situation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

And installation

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by personnel screening.

Retention and disposal:

Advance applications are retained by losing activity and destroyed after six months. Applications received by gaining activities are destroyed one year after termination of quarters. Applications are destroyed by tearing, burning, pulping, shredding or macerating.

System manager(s) and address:

Deputy Chief of Staff/Programs and Resources, Headquarters United States Air Force. Washington, D.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

or individuals may contact agency officials at the Base Housing Office at the installation at which he completed the applicable form or the installation which will be providing military family housing.

Record access procedures:

Same procedures as for notification above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtain from individual's voluntary application.

Systems exempted from certain provisions of the act:

NONE

F03005 02 ALSA

System name:

On/Off-Base Housing Records

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Military members seeking advance applications for housing both incoming and outgoing. On-base applications. Quarters condition reports and assignment/termination of family housing. Application for Veteran Administration loans.

Categories of records in the system:

Record contains Quarters Condition Inspection Report, Real Property Maintenance Request, and Application for and assignment to military housing.

Authority for maintenance of the system:

10 USC, Section 9775, Quarters Assignment Guidance.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record pertinent data required to assign and terminate family housing, report noted deficiencies in area of housing occupants responsibility, status of waiting list and listing of personnel occupying quarters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained in card files.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Systems and Logistics, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Send full name.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information derived from member's Permanent Change of Station Orders, Quad Leaders reports, and any other information voluntarily given by each applicant.

Systems exempted from certain provisions of the act:

NONE

F03007 0QPTFLB

System name:

Visiting Officer quarters-transient airman quarters reservation.

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Personnel registering to obtain a room for the duration of visit.

Categories of records in the system:

Registration of transient personnel into quarters.

Authority for maintenance of the system:

44-USC3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To register occupants of base transient quarters. Used by Commander to charge for billeting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.
Washington, DC., 22030..

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Full name and social security number required for inquiries.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From individual registering.

Systems exempted from certain provisions of the act:

NONE

F03403 DPMSP A

System name:

Nonappropriated Fund (AF NAF) Employee Insurance and Benefits System File.

System location:

Air Force installation nonappropriated fund instrumentalities (NAFIs) and central civilian personnel offices and the Air Force Military Personnel Center, Directorate of Morale, Welfare, and Recreation, Randolph Air Force Base, Texas 78148.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Regular full-time and regular part-time AF NAFI employees compose AF NAF Group Life and Health Insurance Program; regular full-time AF NAFI employees compose AF NAFI Retirement Program; information on AF NAFI civilian employees who sustain job related illnesses or injuries is in Workmen's Compensation Program.

Categories of records in the system:

Group Life and Health Insurance Program File, Retirement Program File, and Workmen's Compensation Claim File, all of which consist of, but are not limited to, the following: applications and/or waivers of participation; notices of change of beneficiary; notices of termination of eligibility, disability and death; evidence of age and qualification for benefits; applications for retirement; elections to reinstate prior participation and survivor annuities; Social Security earnings data; employer certification of coverage; hospitalization and claims forms; reports of accident or occupational illness; medical reports; payment forms; personal historical information as well as any pertinent correspondence.

Authority for maintenance of the system:

10 U.S.C. 8012; 44 U.S.C. 3101; 5 U.S.C. 8171-8173 for Workmen's Compensation Claim File; and E.O. 9397, 23 Nov 1943.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides information for the administration of the programs, to determine eligibility and pay benefits due. It is used in statistical and actuarial evaluations of the programs. The information in the system is used by commercial concerns in actuarial evaluations, determination of eligibility, determination and payment of amount of benefit payments due; and policy administration. It may be used by any Department of Defense component or any part thereof, and, upon request, by other Federal, state, and local governmental agencies in the pursuit of their official duties. It may also be used for other lawful purposes including law enforcement and/or litigation. The Workmen's Compensation Claim File provides information as required by law to the Department of Labor for use to assure compliance with statutory requirements. (The information is used to insure compliance with appli- cable laws and adjudicate and pay claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained in microfilm jackets.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are controlled by personnel screening.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

USAF NAF Life and Health Insurance Program and USAF NAR Retirement Program: At installation level; retired to National personnel Records Center, St. Louis, MO., upon employees separation, death, or retirement. NAF Retirement Program at Headquarters Air Force level, retained for a minimum of 20 years upon an employee's withdrawal from the program. USAF NAF Workmen's Compensation Program: At Headquarters Air Force level retained for 3 years after file is closed, then retired to National Personnel Records Center for 15 additional years, and then destroyed. For all systems, eventual disposal occurs by shredding, pulping, and macerating.

System manager(s) and address:

Assistant Deputy Chief of Staff, Personnel, for Military Personnel, Air Force Military Personnel Center (DPMSP), Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests should be addressed initially to civilian personnel office at installation of employment of individual making request. If requested information is not available, contact systems manager. Give name and social security number (and date of accident or injury if related to Workmen's Compensation claim). For inquiries in person, contact

central civilian personnel office at installation of employment and/or Air Force Military Personnel Center (DPMSP), Randolph Air Force Base, Texas, 78148. Means of verification: name, social security number, governmental identification card, vehicle driver's license or other acceptable identifying document.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals and their survivors and beneficiaries; Department of Labor, Social Security Administration and any individual in a position to verify relevant information.
Information obtained from previous employers.
Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F03501 AFDPG O

System name:

03501 AFDPG O General Officer Personnel Data System

System location:

Headquarters United States Air Force, Washington DC 20330. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Active Duty/Air National Guard/Reserve General Officers

Categories of records in the system:

Promotion board data, effectiveness reports, 'Career Brief' data and cards, Officers Personnel Record, Photos, Award/Decoration citations, biographies, letters of appreciation,retirement letters, dependent data, promotion orders, assignment orders, assignment preference data , demotion data, frocking letters, case studies, training points sum (Air National Guard/Reserve only), language data, and education data; and USAFR and Colonels filling General Officer position listings.

Authority for maintenance of the system:

Title 10 United States Code - Armed Forces, Chapter 803, Department of the Air Force, Section 8012 and Chapter 805, The Air Force Staff, Sections 8032 and 8034. Title44USC 3101..

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Promotions, assignment nominations/worksheets, retirements, congressional inquiries/responses, statistical analysis, force structure policies and history and strength history,career administration/planning, career profiles, Memorandums for Record affecting actions taken on general officers, vacancy lists, array of general officers by temporary/permanent grade and mandatory retirement date, seniority lists, retirement lists, personnel information is disclosed as directed to agencies within Office of the Secretary of Defense and Office of Management and Budget, The Office of the President and The Congress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets/safes.

Retrievability:

Most records are retrieved by last name and/or grade. Case studies, statistical analyses, promotion board results, congressional inquiries and responses are retrieved by topic by year of action.

Safeguards:

Access to these records is given only to the Chief of Staff, Deputy Chief of Staff/Personnel, Assistant for General Officer Matters, Chief of Air Force Reserve, Chief National Guard Bureau, and Air Reserve Personnel Center/Director of Reserve Record/DPFR; and RAND Corporation, and the assigned officers/noncommissioned officers and civilian and clerical help, totaling approximately 20 people. Security procedures, equivalent to the security required for Confidential and Secret data, are employed.

Retention and disposal:

Records are maintained until retirement of the officer involved. Case studies, statistical analyses, promotion board results, promotion ballots, vacancy lists, spread sheets, seniority lists, retirement lists have been maintained since their respective creation.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. An individual's full name Social Security Number active duty grade will be needed to process written requests. An individual may visit the Pentagon, Room 4E212, the Office of Assistant for General Officer Matters, Headquarters United States Air Force (HQ USAF/DPG), to obtain the information. A requester must present his Military Identification Card when appearing in person and requesting personal information. When requesting personal information in writing, the requester must have his request notarized.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Most records will be released upon request; however any record the release of which is questionable in the view of the Assistant for General Officer Matters, will be cleared for release by the HQ USAF DCS Personnel before it is finally released to the individual.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Data Base, Member, Inspector General Investigations.

Systems exempted from certain provisions of the act:

NONE

F03501 AFDPG Z

System name:

03501 AFDPG Z General Officer Personnel Data System

System location:

Headquarters United States Air Force, Washington DC 20330. Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Retired Active Duty General Officers and Retired Air-National Guard (ANG)/Reserve General Officers.

Categories of records in the system:

Promotion Board Data; 'Career Brief' Data/Cards; Forms 11; Photographs; Biographies; Retirement Letters; Dependent Data; Education Data; Promotion Orders; Assignment Orders; Demotion Data; Frocking Letters; Case Studies; Language Data.

Authority for maintenance of the system:

Title 10, United States Code (USC), Armed Forces, Chapter 805, The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individual Queries; Precedent Actions; Statistical Analyses of Historical Nature; Assignment Nominations/Worksheets; Congressional Inquiries and Responses; Memorandums for Record Affecting Actions Taken on General Officers; Career Profiles; Vacancy Lists; Array of General Officers by Temporary/Permanent Grade and Mandatory Retirement Date; Seniority Lists; Retirement Lists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets card files.

Retrievability:

Most records are retrieved by last name and/or grade. Case studies, statistical analyses, promotion board results, Congressional inquiries and responses are retrieved by topic by year of action.

Safeguards:

Access to these records is given only to the Chief of Staff, Deputy Chief of Staff (DCS)/Personnel, Assistant for General Officer Matters, Chief of Air Force Reserve, Chief National Guard Bureau, and Rand Corporation, and the assigned officers/Noncommissioned Officers (NCOs) and civilian and clerical help, totaling approximately 20 people. Assistant for General Officer Matters (DPG), Military Personnel Center/Records Maintenance Branch (MPC/DPMDRR) and Air Reserve Personnel Center/Director of Personnel Actions

(ARPC/DPAAR) are the only offices in the Air Force where this data could be maintained. Security procedures employed by DPG are equivalent to the security required for Confidential and Secret data.

Retention and disposal:

Retired 4-star General Officer records are maintained indefinitely; Retired 1, 2 and 3-star General Officer records are retained for 3 years, reviewed to determine if there are any materials of historical value which warrant indefinite retention - if not, they are destroyed by tearing into pieces, shredding, pulping or macerating.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. An individual's full name Social Security Number (SSN) active duty grade will be needed to process written requests. An individual may visit the Pentagon, Room 4E212, The Office of the Assistant for General Officer Matters, to obtain the information. A requester must present his Military Identification (ID) card when appearing in person and requesting information. When requesting personal information in writing, the requester must have his request notarized.

Record access procedures:

An individual may obtain access to his records by either writing Headquarters United States Air Force/Assistant for General Officer Matters (HQ USAF/DPG) - The Pentagon or by appearing in person and requesting the information. Most records will be released upon request; however, any record, the release of which is questionable in the view of the Assistant for General Officer Matters, will be cleared for release by the HQ USAF/DCS Personnel before it is finally released to the individual.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Data Base; Member; Inspector General (IG) Investigations.

Systems exempted from certain provisions of the act:

NONE

F03501 AFDPO U

System name:

Office File

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All active duty colonels (grade 0-6) and former active duty colonels (grade 0-6), who have retired, and who have been retired for 12 months or less.

Categories of records in the system:

Official photograph; Air Force (AF) Form 90, Officer Career Objective Statement; Copies of correspondence generated by Assistant for Colonels' Assignments, Deputy Chief of Staff, Personnel, Headquarters United States Air Force (HQ USAF/DPO) pertaining to the subject of the file, Memoranda of conversations with the subject of the file, Correspondence received by HQ USAF/DPO pertaining to the subject of the file, Memoranda of assignment-related personnel actions contemplated/completed on the subject of the file.

Authority for maintenance of the system:

Title 10 United States Code - Armed Forces Chapter 803, Department of the Air Force, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assignment considerations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.
Rotary File Bins (Lectriever)

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained until first anniversay of effective date of retirement/separation from USAF of the subject of the file, at which point the office file is destroyed by burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

And in-person request from the subject, upon identification, or written (notarized) request from the subject.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

And in-person request from the subject, upon identification, or written (notarized) request from the subject.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Subject of the file (Career Objective Statements, Photograph, correspondence with HQ USAF/DPO), HQ USAF/DPO personnel, Air Force and outside agency originators of correspondence relating to subject of the file, for information which has/could have bearing on assignability of the subject.

Systems exempted from certain provisions of the act:

NONE

F03501 AFREP T

System name:

Files on General Officers and Colonels Assigned to General Officer Positions

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Reserve General Officers and Reserve Colonels Assigned to General Officer Positions

Categories of records in the system:

File contains resume of civilian and military experience, correspondence and orders, records Reserve participation, and listings with personnel data. Data includes: name, grade, Social Security Account Number (SSAN), Date of Birth (DOB), current address, telephone numbers, education, professional military education, and civilian occupation. An assignment folder is also used for initial review for a GO position. This file contains a copy of the Air Force (AF) Form 11, last five Officer Effectiveness Reports (OERs). When reviewed by the Chief of Air Force Reserve, a record of the personal interview and assignment recommendations are included with the file.

Authority for maintenance of the system:

Title 10 United States Code, Armed Forces - Chapter 803 Department of the Air Force, Section 8012 and Chapter 2805, The Air Staff, Section 8032

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These documents are maintained for initial assignments, reassignment and participation of officers assigned to Reserve GO positions, and to determine qualifications for initial and continued assignment to Reserve GO positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Files are maintained until no longer required for actions relating to the Reserve GO program and are then destroyed by tearing to pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Air Force Forms, Military Personnel Records, and correspondence generated or received in Personnel Division, Air Force Reserve, Headquarters, United States Air Force (HQ USAF/REP).

Systems exempted from certain provisions of the act:

NONE

F03501 ARPC A

System name:

03501 ARPC A Informational Personnel Records.

System location:

At Air Reserve Personnel Center, 3800 York Street, Denver, CO 80205.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel. Retired and former Air Force military personnel.

Categories of records in the system:

Documents pertaining to individual, that are not authorized for inclusion in other military personnel record systems.

Authority for maintenance of the system:

10 USC 274 Retired Reserve; 10 USC 275 Reserve personnel; 10 USC 2001 Reserve components; 10 USC 8012 Secretary of the Air Force: Powers and Duties; Delegation by. of records maintained in the system, including categories

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

in determining eligibility for retirement related action, status of active duty tour, position occupied; training reports; answering correspondence/telephone inquiries; mobilization; updating and/or changing information in computer and/or individual reservist record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and in card files.

Retrievability:

Filed by name and by Social Security Number (SSN).

Safeguards:

Records are accessed by the custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retain in office files until inactivation, reassignment or separation; or one year after annual cut-off, then destroy by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Request from individual should be addressed to the Documentation Officer, AFPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written request for information should contain full name of individual, SSN (social security number), current address and the case (control) number shown on correspondence received from center. Records may be reviewed in Records Review Room ARPC, 7300 East First Avenue, Denver, CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve ID Card and/or drivers license and give some verbal information that could verify his/her retirement date, date of birth, or reserve status.

Record access procedures:

Individual can obtain assistance in gaining access from Command Documentation Manager, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information supplied by individual as relates to but not limited to application for retirement, military orders, personal data; statement of military service from other military components; correspondence from serving Consolidated Base Personnel Office/ Consolidated Reserve Personnel Office and Major Command units. Information from source documents prepared on behalf of the Air Force Advance Personnel Data System.

Systems exempted from certain provisions of the act:

NONE

F03501 ARPC B

System name:

03501 ARPC B Biographical File.

System location:

At Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280, Ecclesiastical endorsing agencies if appropriate.

Categories of individuals covered by the system:

Air Force Reserve personnel assigned to but not limited to the Air Reserve Information Squadron (ARIS), Chaplain (HC) and Surgeon (SG) programs.

Categories of records in the system:

Biographies provided by members, correspondence, orders and/or forms containing information as to individual name, rank, social security number, service dates, date of birth, unit assignments, civilian employment, military and civilian education, military and civilian experience, program specialties, hobbies, and names of family members, religion of chaplains, professional expertise and appointments, membership in professional societies, civic activities and state of licensure.

Authority for maintenance of the system:

10 USC 262 Purpose; 10 USC 8067 Designation: Officers to perform certain professional functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To select information, chaplains, legal, medical field reserve officer personnel for special duties according to specific expertise required. Chaplain records are used by Chaplains Office personnel, medical reservist records are used to provide the ARPC/SG, Surgeon General, Major Command surgeons, USAF/RE, and Reserve Regions an in-depth personal history of Reservist Medical Officer. Used to provide overiew of skill resources available in ARIS Program. Allow selection of members best qualified to meet specific program requirements and task asgnments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and in note books/binders.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties, and by commanders medical centers and hospitals. Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Request from individual should be addressed to Documentation Management Officer ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written request for information should contain full name of individual, SSN (social security number), current address and the case (control) number shown on correspondence received from Center. Records may be reviewed in Records Review Room ARPC, 7300 East First Avenue, Denver, CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve ID Card and/or drivers license and give some verbal information that could verify his/her military personnel record, his/her religion if in the Chaplain program.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-3667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Provided by individual Reservist.

Systems exempted from certain provisions of the act:

NONE

F03501 ARPC C

System name:

03501 ARPC C Personnel Management Records

System location:

At Air Reserve Personnel Center, 7300 East First Avenue, Denver CO 80280; Headquarters United States Air Force, Washington DC 20330; United States Air Force Academy, CO 80840; major commands and major subordinate commands. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force Reserve Personnel and civilian/active military applicants to Air Force Reserve.

Categories of records in the system:

Officer and airman assignment files which includes correspondence, memos, completed forms, messages and vacancy authorization data for assignment approvals, disapprovals, waivers, manning assistance, discharges, screening data, orders, evaluation reports, documents changing training category, personal data, photographs, chaplain ecclesiastical endorsement, record of security clearance, miscellaneous correspondence to and from individual; case file of reserve personnel placed on active duty containing copies of special and reserve orders, correspondence, documents complete with information used for travel overseas; assignment instructions; list of actions taken by technician; board actions on involuntary Airmen; certified receipts acknowledgement of receipt of special orders card.

Authority for maintenance of the system:

10 USC 275 Personnel Records, 10 USC 672 Reserve Components generally, 10 USC 673 Ready Reserve and Executive Order 11366, 4 Aug 67, 10 USC Chapter 103 Senior Reserve Officer: Training Corps, 10 USC 262 Purpose, and 10 USC 8067 Designation: Officers to perform certain professional functions. Routine uses of records maintained in the functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to determine eligibility/suitability for assignment/reassignment with the Air Force Reserve; to make determinations on discharges or mobilization, deferments, fulfillment of statutory requirements, voluntary and involuntary order to extended active duty (EAD) and temporary release. These include but are not limited to members participating in the Air Reserve Information Squadron (ARIS), Chaplain, Judge Advocate, Surgeon General Program. Records maintained as a historical file. Used as a reference file to answer inquiries from Reservist and Air Force personnel requiring information on the Reservist being recalled to active duty, to send gaining active units additional copies as requested, used as substantiating documents to show all action was taken in accordance to prescribing directives. Information on personnel in the ARIS, Chaplain, Judge Advocate, Surgeon General and other Officer management programs is used by personnel responsible for program in order to assist Reservist in their careers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders and in visible file binders/cabinets.

Retrievability:

Filed by name, by Social Security Number (SSN), and ascending AFSC order, rank and name.

Safeguards:

Records are accessed by person(s) responsible for servicing the records system in performance of their official duties and by custodian of the record system. Records controlled by personnel screening and are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC) is responsible for records at ARPC in Denver, CO. Individuals included in above records systems should deal directly with agency official of respective location to exercise their rights under the act.

Notification procedure:

Request from individual should be addressed to the Documentation Management Officer ARPC/DADP, 7300 East First Avenue, Denver CO 80280. Written requests for information should contain full name of individual, SSN (Social Security Number), current address and the case (control) number shown on correspondence received from Center. Records may be reviewed in Records Review Room ARPC, 7300 East First Avenue, Denver CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve ID card and/or driver's license and give some verbal information that could verify his/her identity from the records.

Record access procedures:

Individual can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from the individual requesting assignment or making the inquiry, master personnel record, correspondence and orders, annual survey and advance personnel data system, instructions from Air Force Military Personnel Center, Randolph Air Force Base, San Antonio, TX 78148, instructions and board actions from Air Force and Reserve, DPAA Robins Air Force Base, Warner Robins, GA 31093 and Air Force Training Corps/SDAA, Maxwell Air Force Base, Montgomery, Alabama 36112 and the National Guard Bureau, Washington DC 20310, and other Air Command, instructions from Headquarters/JAEC, Washington DC 20314.

Systems exempted from certain provisions of the act:

NONE

F03501 ASGPS R

System name:

03501 ASGPS R Medical Opinions on Board for Correction of Air Force Military Records Cases (BCMR)

System location:

AFMPC/SG, Randolph AFB, Texas 78148.

Categories of individuals covered by the system:

Files are maintained on individuals making application to the Air Force Board for Correction of Military Records on which a medical opinion has been rendered.

Categories of records in the system:

Contains a copy of the medical advisory opinion rendered on Air Force Board for Correction of Military Records.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Afford a historical reference, by name, to previous action taken regarding a specific BCMR application.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders in unlocked filing cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

AFMPC Surgeon, Randolph AFB, Texas 70148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F03501 DP 3

System name:

03501 DP 3 Unit Assigned Personnel Information File

System location:

Air Force Units. Headquarters United States Air Force and major command headquarters. Headquarters of major commands and at all levels down to and including Air Force installations.

Categories of individuals covered by the system:

Active duty military personnel. Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

File copies of separation actions, newcomers briefing letters, line of duty determinations, assignment actions, retirement actions, in and out processing checklists, promotion orders, credit unition authorization, disciplinary actions, favorable/unfavorable communications, record of counselings, appointment notification letters, duty status changes, applications for off duty employment, applications and allocations for school training, professional military and civilian education data, private weapons storage records, locator information including names of dependents, home address, phone number, training and experience data, special recognition nominations, and other personnel documents.

Authority for maintenance of the system:

10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides information to unit commanders/supervisors for required actions related to personnel administration and counseling, promotion, training, separation, retirement, reenlistment, medical examination, testing, assignment, sponsor program, duty rosters, and off duty activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, note books/binders, and card files.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation; most records are transient in nature and are maintained only as long as required to fulfill their management purpose or until superseded, then given to the individual or destroyed by shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force. Washington D.C. 20330

Notification procedure:

Inquries from individuals should be addressed to the respective unit commander or supervisor who maintains the records in order to exercise their rights under the Act.

Record access procedures:

Requests from individuals should be addressed to the respective unit commander or supervisor who maintains the records in order to exercise their rights under the Act. Mailing addresses are contained in the Department of Defense Directory in the appendix to the Air Force's Systems Notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual concerned, financial institutions, educational institutionemployees, medical institutions, police and investigating officers, bureau of motor vehicles, witnesses, reports prepared on behalf of the agency, standard Air Force forms, personnel management actions, extracts from the Advanced Personnel Data System (ADPS) and records of personal actions submitted to or originated within the organization.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMAK J

System name:

Separation Case Files (Officer and Airman).

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

Duplicate copies may be retained temporarily at each level requiring review or action on the case.

Categories of individuals covered by the system:

Officers and airmen who have requested voluntary separation or who have been recommended for involuntary separation.

Categories of records in the system:

Member's application, or letter from commander initiating separation action with indorsements, supporting documents, and record of final action taken. If congressional inquiry involved, request for information and reply provided is also filed by those offices involved.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces - Chapter 59 - Separation, Section 1161.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The original copy is retained as a permanent record of action taken. The duplicate copies are retained to provide a temporary record of actions being taken for responding to inquiries concerning the status of a particular case. Occasionally, a case file is retained as a precedence file for later reference in revising separation directives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

At National Personnel Records Center. Cases are filed with Master Personnel Records. Transitory copies are filed alphabetically by general subject categories, i.e., involuntary officer separations, involuntary airman separations, etc.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

File cabinets and power files are secured during non-duty hours.

Retention and disposal:

Master copies are retained permanently. Temporary files are disposed of within six months after final action is taken. Files are disposed of by shredding.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application, or correspondence from unit commander's initiating separation action.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMAKEI

System name:

03501 DPMAKEI Absentee and Deserter Information Files

System location:

Absentee and deserter documents are maintained in the Unit Personnel Record Group at consolidated base personnel offices. Information files are maintained at major commands of the parent unit of assignement. Official mailing addresses for consolidated base personnel offices and major commands are in the Department of Defense directory in the appendix to the Air force's system notice. Case files are maintained at the Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Permanently retained documents are located at the National Personnel Records Center, Military Personnel Branch, 9700 Page Bolulevard, St. Louis, MO 63132 and the Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

All active duty and inactive duty Air Force personnel who are or have been reported absent without leave or who have been administratively classified as a deserter.

Categories of records in the system:

Duty status change forms; Absentee Wanted by the Armed Forces forms;; copy of unit commander's initial and follow-on Report of Inquiry. Includes information concerning circumstances surrounding the unauthorized absence and attempts to locate the individual; copy of notification letter to next of kin stating that member is considered in an administrative status of an unauthorized absentee or deserter; Federal Bureau of Investigation (FBI) and Office of Special Investigations (OSI) reports or extracts therefrom are included in some case files; correspondence administratively classifying the individual as a deserter, if appropriate; Report of Return of Absentee Wanted by the Armed Forces forms.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces - Chapter 47 - Uniform Code of Military Justice, Sections 885, 886 and 887.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides documentation and reference source for the administration of individuals absent without leave and individuals administratively classified as deserters. Used as basis for preparing statistical reports required by DOD for reports provided managers of unauthorized absentee programs, e.g., Major Commanders, and for promptly reporting changes in individual's status to military federal and civil law enforcement agencies to facilitate apprehension.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Records are accessed by the custodian of the record system, persons responsible for servicing the records system in the performance of their official duties, and by authorized personnel who are properly screened and cleared for need-to-know. These records are stored in file cabinets in buildings that are either locked or have controlled access entry requirements.

Retention and disposal:

Documents originated at base level are maintained in the Military Personnel Records System. Major command files are maintained as temporary general correspondence files and destroyed by shredding one year after the calendar year in which the member returned to military control. Case files maintained at the Air Force Military Personnel Center (AFMPC/DPMAKE) are destroyed six months after the member is returned to military control; however, if additional accountable disclosures are made during that six month period the files are transferred to the Military Personnel Records System and retained permanently.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

During the period of unauthorized absence, no procedures exist for notifying individuals that an Absent Without Leave (AWOL)/Deserter file is maintained on them unless address provided by requestor. Subsequent to the member's return to military control individuals can contact the system manager or visit the locations identified above. Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Contact the system manager or visit the locations identified above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Unit Commanders, Consolidated Base Personnel Office representatives, military and civilian law enforcement officials, and anyone who may report information concerning an absentee wanted by the Armed Forces.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMAO K

System name:

Officer Effectiveness Report (OER)/Airman Performance Report (APR) Appeal Case Files.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At headquarters of major subordinate commands and numbered Air Forces. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Washington National Records Center, Washington DC 20409.

Categories of individuals covered by the system:

Officers and airmen; active duty, inactive status, reserve status, air national guard status, and discharged officers and airmen who appeal for correction of records.

Categories of records in the system:

Copy of an individual application, a copy of the Major Command (MAJCOM) and/or Consolidated Base Personnel Office (CBPO) recommendation (as appropriate), and correspondence reflective of the board's decision on the case.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces Chapter 47 - Uniform Code of Military Justice, Section 835; Chapter 803 - Department of the Air Force, Section 8012; Chapter 805 - The Air Staff, Section 8032; Chapter - 835, Appointments in the Regular Air Force, Section 8303.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To answer individual inquiries concerning a particular appeal and, at the Air Force Military Personnel Center (AFMPC) level, as a basis for consideration in preparation of Air Staff advisory opinions on OER/APR appeals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Case files are maintained for three calendar years from date of last action as indicated in the file, then destroyed.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application, MAJCOM and/or CBPO recommendations, and correspondence reflective of the appeal board's decision, and when applicable Air Staff advisory opinions furnished the Board for Correction of Military Records (BCMR) under the provisions of AFR 31-3.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMAR

System name:

03501 DPMAR Disability/Non-Disability Retirements Records

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Officers and airmen currently on the Temporary Disability Retired List (TDRL); officers and airmen who have requested voluntary retirement other than those whos applications were automatically approved.

Categories of records in the system:

TDRL punch card data files, retirement applications, and associated documents biographical data.

Authority for maintenance of the system:

10 USC Chapter 33, Appointments in Regular Components Section 564; Chapter 59, Separation, Sections 1164 and 1166; Chapter 61, Retirement or 10 USC Chapter 33, Appointments in Regular Components Separation for Physical Disability; Chapter 63, Retirement for Age, Section 1263; Chapter 65, Retirement for Length of Service, Sections 1293 and 1303; Chapter 835, Appointments in the Regular Air Force, Section 8303; Chapter 859, Separation from Regular Air Force for Failure to Meet Standards, Sections 8786 and 8796; Chapter 865, Retirement for Age, Sections 8883, 8884, 8885, 8886; Chapter 867, Retirement for Length of Service, Sections 8911, 8913, 8915, 8916, 8918, 8921, 8922, 8923 and 8924.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to provide information on retirement cases and to allow appropriate case processing; used to control TDRL actions; diagnostic information may be provided to attending physicians of TDRL members to obtain current status of originally disabling conditions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Stored in secure building.

Retention and disposal:

Correspondence files are retained for two years after end of year case was closed or inquiry responded to; disability retain files are retained for 90 days after case is finalized; case files are retired to Master Personnel Records Group when service retirement action has been completed; TDRL punch cards destroyed when member is removed from TDRL. Disposal is by shredding or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, TX.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Correspondence and forms generated in Retirements Division (AFMPC/DPMAR), military hospitals, HQ USAF Surgeon General (HQ USAF/SG), Consolidated Base Personnel offices and Major Air Commands, by the members themselves, and by the general public on retirement related matters.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMDQIA

System name:

03501 DPMDQIA Military Personnel Records System

System location:

Headquarters United States Air Force, Washington DC 20330. Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. Headquarters of the major commands and separate operating agencies. At consolidated base personnel offices and other installation units. At State Adjutant General Office of each respective State, District of Columbia or Commonwealth of Puerto Rico. At Air Force Reserve and Air National guard units, official mailing addresses are in the Department of Defense Directory in the Appendix to the Air Force's Systems Notice.

Categories of individuals covered by the system:

Air Force active duty military personnel. Officer Correspondence and Miscellaneous Document Group (C&M) at Air Force Military Personnel Center (AFMPC); Headquarters United States Air Force (HQ USAF) Selection Record Group (SR) at HQ USAF Assistant for General Officer Matters; Retired Air Force general officers. Master Personnel Record Group (MPeRGp) at AFMPC; active duty colonels at HQ USAF, Assistant for Senior Officer Management, C&M at AFMPC Air Force active duty officer personnel. MPeRGp at AFMPC Officer Command Selection Record Group (OCSR) at the respective major command or separate operating agency, Field Record Group (FRGp) at the respective Air Force base of assignment/servicing Consolidated Base Personnel Office (CBPO); Air Force active duty enlisted personnel. MPeRGp at AFMPC, FRGp at respective servicing CBPO, Senior Noncommissioned Officer (NCO) Selection Folder at the respective servicing CBPO; personnel in

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Temporary Disability Retired List (TDRL) status, Missing in Action (MIA), Prisoner of War (POW), Dropped From Rolls (DFR), MPeRGp at AFMPC; Reserve officers MPeRGp at Air Reserve Personnel Center (ARPC), OCSR at the respective Air Force (AF) major command (MAJCOM) when applicable, FRGp at the respective unit of assignment or servicing CBPO or Consolidated Reserve Personnel Office (CRPO); Reserve airmen MPeRGp at ARPC, FRGp at the respective unit of assignment or servicing CBPO/CRPO; Air National Guard (ANGUS) officers MPeRGp at ARPC, OCSRat the respective State Adjutant General Office, FRGp at the respective unit of assignment, ANGUS airmen MPerGp at the respective State Adjutant General Office FRGp at the respective unit of assignment; Retired Air Force military personnel; Discharged personnel MPerGp at National Personnel Records Center (NPRC); Air Force Academy cadets MPerGp at unit of assignment CBPO.

Categories of records in the system:

Substantiating documentation such as forms, certificates, administrative orders and correspondence pertaining to appointment as a commissioned officer, warrant officer, Regular AF, AF Reserve or ANGUS; enlistment/reenlistment/extension of enlistment; assignment Permanent Change of Station (PCS)/Temporary Duty (TDY); promotion/demotion; identification card requests; casualty; duty status changes - Absent Without Leave (AWOL)/MIA/POW/Missing/Deserter; military test administration/results; service dates; separation; discharge; retirement; security; training, Precision Measurement Equipment (PME), On The Job Training (OJT), Technical, General Military Training (GMT), commissioning, driver; academic education; performance/effectiveness reports; records corrections - formal/informal; medical or dental treatment/examination; flying/rated status administration; extended active duty; emergency data; line of duty determinations; human/personnel reliability; career counseling; records transmittal; AF reserve administration; Air National Guard administration; board proceedings; personnel history statements; Veterans Administration compensations; disciplinary actions; record extracts; locator information; personal clothing/equipment items; passport; classification; grade data; Career Reserve applications/cancellations; traffic safety; Unit Military Training; travel voucher for TDY to Republic of Vietnam; dependent data; professional achievements; Geneva Convention cards; drug abuse; Federal Insurance; travel and duty restrictions; Conscientious Objector status; decorations and awards; badges; Favorable Communications (colonels only); Inter-Service transfers; pay and allowances; combat duty; leave; photographs; Advanced Personnel Data System products.

Authority for maintenance of the system:

Title 44, United States Code, Section 3101: Records Management by Federal Agencies; Records Management by agency heads; general duties; E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

In addition to satisfying the Title 44 requirement for records retention, Military Personnel Records are utilized at all levels of Air Force personnel management within the agency for actions/processes related to procurement, education and training, classification, assignment, career development, evaluation, promotion, compensation, sustentation, separation and retirement. Military Personnel Records are routinely utilized outside the Air Force for actions/processes related to assignment or transfer to other services or joint service organizations; compensation claims submitted to Veterans Administration Regional Offices; dependents and survivors requesting issuance or determination of eligibility for identification card privileges; Civilian Health and Medical Program of the Uniformed Services (CHAMPUS) eligibility and benefits requests - copies are provided to CHAMPUS, Denver, Colorado; Immigration and Naturalization - copies are provided to respective local Immigration Office; Unemployment Compensation Requests - verification of service related information provided to State Unemployment Compensation (UCX) Office; Vietnam State Bonus - information provided to respective local State offices; Civil Service requests for verification of military service for benfits; leave or Reduction in Force (RIF) purposes - copies provided to local Civilian Personnel Office; National Cemetary Burial/Headstone cases - copies provided to Superintendent National Cemetary, Army Quartermaster Corps, Virginia; Worldwide locator inquiries - response provided to legitimate requests in accordance with the Freedom of Information Act; Dual compensation cases involving former officers - provided to establish Civil Service employee tenure and leave accrual rate; Social Security Retirement Credit Verification - verification of service data provided to substantiate applicant's credit for Social Security compensation; Soldiers and Sailors Civil Relief Act requests - verification of service - related information provided to State courts in civil actions; Litigation - in event the United States, its officers or employees are involved. Changes in member's official records regarding name, Social Security Account Number, date or place of birth or home of record - required information provided to Director of Selective Service, Federal Bureau of Investigation, and Personnel Research Division of the Air Force Human Resources Laboratory at Lackland Air Force Base, Texas. Secretary of the Air Force Legislative Liaison releases when authorized by individual concerned. US Department of Agriculture for investigative and audit procedures US Department of the Treasury for Secret Service investigations, Coast Guard Activities Bureaus of Customs, Narcotics, Engraving and Printing and Internal Revenue Service for official activities; US State Department, Federal Aviation Agency for background investigations of employment applicants; Central Intelligence Agency for Investigations, US Postal Service for Official Postal Inspector Duties, General Services Administration for Investigation of Incumbant Employees; Department of Justice for Investigations conducted by the Federal Bureau of Investigation and Immigraton and Naturalization Small Business Administration for Investigations concerning Loans, National Security Agency Review of Records for Security Investigations United States Information Agency for Review of Records for Background Investigations. United States Civil Service Commission to conduct investigations either by personal investigations or written inquiry to determine suitability, eligibility, or qualifications of individuals for Federal employment, Federal contracts, or access to classified information or restricted areas. Separation information provided to the Veteran's Administration and Selective Service Agencies. American National Red Cross - information to local Red Cross offices for emergency assistance to military members, dependents, relatives or other persons if conditions are compelling. Drug Enforcement Administration. Department of Labor: Bureau of Employees' compensation - medical information for claims of civilian employees formerly in military services; Employment and Training Administration - verification of service-related information for unemployment compensation claims; Labor Management Services Administration for investigations of possible violations of labor laws and pre-employment investigations; National Research Council - for medical research purposes; U.S. Soldiers' and Airman's Home - service information to determine eligibility.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders placed in metal file containers or on open shelves. Microfiche placed in rotary power files; computer disk resident data file consists of Social Security Account Number (SSN) and disk location of the associated image inderecord which includes document data describing document type, date, location, and number of pages in each document.

Retrievability:

Information in the system is retrieved by last name, first name, middle initial and Social Security Number (SSN). Records stored at National Personnel Records Center Center are retrieved by registry number, last name, first name, middle initial and SSN. Information can be displayed via closed circuit television subsystem, produced on a duplicate microfiche, or paper reproduction.

Safeguards:

The prescribing directive for the Military Personnel Records System requires those records to be stored (after duty hours) in a locked building, room or filing cabinets. Access is specifically limited to those personnel designated by the Consolidated Base Personnel Office (CBPO) Chief and those provisions for access and release of information contained in Air Force Regulation 31-6.

Retention and disposal:

Users who are granted access to the microfiche files are screened by computer software. Those documents designated as Temporary in the prescribing directive remain in the records until their obsolescence (superseded, member terminates his status, or retires) when they are removed and provided to the individual data subject. Those documents designated as Permanent remain in the military personnel records system permanently and are retired with the master personnel record group.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148 is the official responsible for the system of records. Individuals in categories included above may deal directly with agency officials at the respective records location to exercise their rights under the Act.

Notification procedure:

The individual data subject may be notified that a record exists on him by submitting a request to or appearing in person at the responsible official's office or the respective repository for records for personnel in his particular category during normal duty hours any day except Saturday, Sunday or national and local holidays. The Saturday and Sunday exception does not apply to Reserve and National Guard units during periods of training. Response to written requests will be provided not later than ten days following receipt of request. The System Manager has the right to waive these requirements for personnel located in areas designated as Hostile Fire Pay areas.

Record access procedures:

The same written notification or personal visit procedures which apply to notification also apply to access.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources of information contained in the system include data subject's applications, requests, personal history statements, supervisors' evaluations, correspondence generated within the agency in the conduct of official business, medical treatment records, educational institutions, civil authorities, other service departments, and interface with the Advanced Personnel Data System.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMDRAB

System name:

Correction of Military Record Card

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active duty officers and airmen. Retired or discharged officers and airmen. Next of kin of deceased officers and airmen.

Categories of records in the system:

Summary of correction of records request followed through to its final decision by the appropriate correction board.

Authority for maintenance of the system:

Title 10, United States Code, Section 1552, 10 usc 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Suspense for collection of all information requested by member and completion of the case by the appropriate correction board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for three years after case completion. Then destroyed by pulping, macerating, burning or tearing into pieces.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application, Master Personnel Records.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMHC L

System name:

Chaplain Applicant Processing Folder

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Chaplaincy applicants and Reserve Chaplains applying for active duty.

Categories of records in the system:

This is a grouping of pertinent forms used by the Air Force Military Personnel Center (AFMPC) Command Chaplains Office in processing chaplains to active duty including: Application for Appointment as Reserve of the Air Force; , Application for Extended Active Duty with the United States Air Force; , United States Air Force (USAF) Drug Abuse Certificate; , Statement of Personal History; , National Agency Check Request; Report of Medical Examination; Report of Medical History; Fingerprint Card; Checklist for Chaplain Appointment; Ecclesiastical Endorsement; Certificate of Continuance of Ecclesiastical Endorsement; Certificate of Seminary Graduation and Ordination; Official Transcripts of College Education; Personal correspondence between resource manager and applicant regarding status of his application.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces - Chapter 803 - Department of The Air Force, Section 8012; Chapter 805 - The Air Staff, Section 8032;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The documents maintained in these transitory folders are utilized by the resource manager in processing chaplain applicants to active duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Once applicant is accessed, forms are entered into the Master Personnel Records Group. If applicant does not qualify for appointment, file is destroyed after one year.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's application.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMSG M

System name:

Health Education Records.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

All airmen and officers of the United States Air Force (USAF) Medical Service who have applied for training and are in training and applied for training to Air Force Military Personnel Center/ Medical Education Division (AFMPC/SGE).

Categories of records in the system:

Allied Health Selection Board Folders - Application for Officer School Training; Educational Transcripts; Chronological listings of work experience; Letters of recommendation; Specific test results: Scholastic Aptitude Test (SAT); Physician Extender Profile Exam (PEPE); Manual dexterity test; Grade point averages; Microfische: Officer Effectiveness Reports (OERs); Photo; Air Force Military Personnel Center (AFMPC) Rating Assessment Sheet for Physician Assistant Applicant; Consolidated Base Personnel Office (CBPO) letters: Prerequisite verifications; Counselings on Reenlistment limitations; Reenlistment/extension eligibility; Status of Unfavorable Information File (UIF) folder; Records Review Listing; Verification of Airman Qualifying Examination (AQE), Total Active Federal Military Service Date (TAFMSD), Date Eligible for Return from Overseas (DEROS), Projected assignment; Airman Performance Reports; Applicant Statements: Why training desired; Intent to extend/reenlist; Flying Class III Physical; General Information including Extended Active Duty Date; Date of Rank; Passovers; Command; Base of assignment; Arrived on station; Marital status; Undergraduate Education Selection Folders - Application; Medical College Admission Test (MCAT) scores; Letter of acceptance from an approved school; Dean's letter of recommendation; Transcript; Physical Examination reports; Air Force Institute of Technology (AFIT) Selection Folders - Officer career brief; Letter of recommendation; Transcripts; Graduate Records Examination (GRE) and Admission Test for Graduate Study in Business (ATGSB) scores; Application for AFIT training; Physician Deferment Folder DPM Form 116 (Medical Corps (MC) Appointment Checklist); Field Personnel Record (Duplicate Copy); Application for Appointment in Reserves; Personnel Security Clearance; (Armed Forces Security Questionnaire); DD Form 398 Personnel History Statement; Statement of Understanding for Appointment; Photograph; Request for delay for residency training; Record of computer input; General correspondence with physician/student; hospital agreement form; Transcripts (Pre-med and med school); Air Force Health Performance Scholarship Program (AFHPSP) Service Obligation Agreement; Notification of selection for AFHPSP; Air Reserve Personnel Center (ARPC) orders (45-day active duty tour); Air Force Military Personnel Center (AFMPC) Form 155 (Application for deferment for graduate medical education); Selection/ Non-selection for deferment letter; Congressional correspondence; Certificate of medical school completion; Physical examination; Tendering of resignation; Medical disqualification correspondence; Graduate Medical Education Records - Application for sponsored training; AFMPC Form 131; Photograph; Transcripts; Letter of recommendation/evaluation; Career motivation essay; Select/Non-select letters (acceptance/declination); Assignment letter to Major Command (MAJCOM); Training reports; Memos for record; General correspondence with applicant/trainee; Congressional correspondence; Faculty board proceedings; Residency completion letter; Letters of resignation.

Authority for maintenance of the system:

Title 44, United States Code (USC) Public Printing and Documents - Chapter 31, Records Management by Federal Agencies, Section 3102; Title 50, USC War and National Defense, Section 454, Persons Liable for Training and Service; and Title 10 USC Armed Forces, Chapter 803, Department of the Air Force, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in this record system is used by the Medical Education Division, and Medical Education Selection Boards in selecting individuals of the medical service to attend undergraduate and graduate educational programs and technical training. Such programs include undergraduate and graduate nurse education, residencies and fellowships for physicians, and graduate education for Medical Service Corps (MSCs), BioMedical Service Corps (BSCs), Veterinary Corps (VCs), residencies for dental officers, and Physician and Dental Assistant programs for airmen. Another use of the system is to monitor the individuals progress in an educational program after selection until completion of their program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Allied Health Selection Board Folders and Undergraduate Education Selection Folders: Retained until selection board process is completed; Air Force Institute of Technology (AFIT) Selection Folders: Information in folders is maintained for one year. Exception: Transcripts are used for period of two weeks then returned to AFIT. Physician Deferment Folders: Retained until the individual is called to active duty or separated from the Air Force (AF) Reserve. Graduate Medical Education Records: Retained until individual separates or retires from the Air Force.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application, Supervisor's evaluation, master personnel records (board use only), Career Brief (board use only), transcripts, test scores, Deans' letters of recommendation, Standard Form (SF) 88 and SF 93.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMSG N

System name:

Application for Appointment and Extended Active Duty Files.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

All civilian and United States (US) Armed Forces military members who are applying for appointment/reappointment to United States Air Force Reserve (USAFR) affiliation or Application for Extended Active Duty (AD) with the USAF; extended duty with the United States Air Force (USAF) Medical Service.

Categories of records in the system:

Application for Appointment and Extended Active Duty Files Report of Medical Examination; Statement of Personal History; Fingerprint Card; National Agency Check Request; State License/Registration (Current State License or State Registration is normally required on Medical Corps (MC), Nurse Corps (NC), Veterinary Corps (VC), and some BioMedical Service Corps (BSC); Variable Incentive Pay (VIP) Agreement, Variable Incentive Pay Agreement required on MC applicants; Letters of Recommendation, Letters of Reference as directed or as required; Application for Appointment as Reserves of the AF or USAF without component; Conditional Release (Conditional release must be obtained for applicants from United States Army Reserve (USAR) or United States Naval Reserve (USNR); Report of Separation from Active Duty; Transcripts/ Diploma (All transcripts and diploma required to establish eligibility); Record of Personnel Security Investigation and Clearance; Record of Disenrollment from Officer Candidate Type Training; USAF Drug Abuse Certificate; Air Force Officer Qualifying Test (AFOQT), Required for Medical Service Corps (MSC) applicants only; Certificate of Citizenship (furnished by those persons not born in US); Statement of Degree Confirm (For those applicants who have not yet completed degree requirements, a letter/statement from the Dean of the college they are attending is required to confirm the fact that they are enrolled, type of degree they will attain, day, month and year of graduation followed up by submitting a final transcript and diploma);

Education Council for Foreign Medical Graduates (ECFMG), (Required on those MC where applicable).

Authority for maintenance of the system:

Title 10, United States Code (USC), Armed Forces - Chapter 803, Department of the Air Force, Section 8012;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Medical Personnel Programs and Analysis Branch for the following officer procurement purposes: To select and appoint or reappoint applicants to all corps (MC, DC, VC, NC, BSC and MSC) of the USAF Medical Service; and to select and process officers of the USAF Medical Service of the Air National Guard of the United States (ANGUS) and United States Air Force Reserve (USAFR) for extended active duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

If selected for appointment or reappointment and Extended Active Duty (EAD), records become the Master Personnel Record and are forwarded to the applicable Utilization and Assignment Branch to send to Air Reserve Personnel Center (ARPC), Denver, Colorado for further dissemination as required. An abbreviated reference file of selected documents is maintained by the applicable utilization and assignments branch. If not selected, records are then destroyed by shredding or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application, letters of recommendation, results of National Agency Check and Military Personnel Records.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMSG O

System name:

Medical Officer Personnel Utilization Records

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

All Air Force active duty medical service officers.

Categories of records in the system:

Personnel Utilization records containing: Career briefs; Print-outs; Letters from individuals; Letters from Utilization Branch to individuals; Special Orders; Letters concerning medical service education and training; Copy of application for Career Reserve Status; Copy of request to join spouse; Copy of Specified Period of Time Contract (SPTC) requests; Air Reserve Personnel Center (ARPC) special orders; Copy of Air Force (AF) Form 2095, Assignment/Personnel Action; Copy Air Force Military Personnel Center (AFMPC) Form 8, Assignment/Actions Worksheet; Air Force Military Personnel Center (AFMPC) Form 138, Officer Reassignment; Memorandum of Official Contact; Officer Career Objective Statement; Personnel Action Request; Permanent Change of Station Order, Officer Military Record; Application for Appointment in the AF Reserve; Recall to Active Duty; Supplement to Application for Commission in the United States Air Force (US) Medical Services; Assignment Notification of Medical Service Officer; Air Training Command (ATC) Constructive Credit Computation; Personal Interview-- USAF Nurse Application; Air Force Institute of Technology (AFIT) Education Plan; Reassignment Instruction Data; Aeronautical Orders; Special Orders; Messages; Department of Defense Notification of change in service members official records; Master Personnel Record Fiche; Training/ Specialty Board Certification Records; Continuation Pay Contracts; Specialty Badge Award; Correspondence on Congressional Inquiries; Advanced Personnel Data Systems (APDS) transactions; Microform/ Microfiche Records; Requisitions; Record of Office of Special Investigations (OSI) background checks; Resumes/special applications; Education Plans/transcripts.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces, Chapter 803, Department of the Air Force Section 8012; Title 44, USC, Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verify current assignment; verify history of application for: tour extension, tour curtailment, Specified Period of Time Contract, Career reserve Status, duty Air Force specialty code change, special duty application, formal school application, change of assignment reporting dates, join spouse application; Use AF Form 24 for obtaining date of birth and place of birth when processing assignment to academy or other highly sensitive area of assignment; to hold messages pertaining to assignment; to hold action notices and career briefs as a result of input from original office and any other office pertaining to an individual. This also includes career briefs and action notices from automatic actions (i.e., available assignment); pay computation; grade computation; to provide background information to answer correspondence.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for six months after the individual terminates military service, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Applications for appointment, letters written by individual or on individuals by others. Computer print-outs, forms completed by individuals, Advanced Personnel Data Systems (APDS) transactions, other information pertinent to assignments or career development of the officer.

Systems exempted from certain provisions of the act:

NONE

F03501 DPMVO 1

System name:

Effectiveness/Performance Reporting Systems.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Consolidated Base Personnel Offices and each State Adjutant General Office, Reserve and Air National Guard Units and Human Resources Laboratory, Lackland Air Force Base, Texas.

Categories of individuals covered by the system:

Military Personnel Only. Officer: applies to active duty/Air National Guard/Air Force Reserve Personnel serving in grades Warrant Officer (W-1) through Colonel (0-6). Airmen: applies to only active duty personnel in grades Basic Airman (E-1) through Chief Master Sergeant (E-9).

Categories of records in the system:

Lieutenant Colonel Promotion Potential Evaluation;Forms Colonel Promotion Recommendation Report; Officer Effectiveness Report; Education/Training Report; Airman Performance Report; Technical Sergeant (TSGT), Staff Sergeant, and Sergeant (SGT) Performance Report; Chief Master Sergeant (CMSGT), Senior Master Sergeant (SMSGT), and Master Sergeant (MSGT) Performance Report; Description of Data Contained Therein: Name; Social Security Account Number (SSAN); Active and Permanent Grades; Specialty Data; Organization location and PAS code; Period of Report; Number of days of supervision; Performance Evaluation Scales; Estimates of Potential; Comments Regarding Ratings; Officer Effectiveness Report (OER) Notice Contains: Rater Name; Rater SSAN (only if USAF officer); Rater Organization; Rater Office Symbol; Rater Duty Phone Number; Ratee Name, Ratee SSAN; Ratee Organization; Period of Report; Length of Rater's Supervision; Reason for Report; Ratee Duty Air Force Specialty Code (DAFSC); Ratee Primary Air Force Specialty Code (PAFSC); Ratee Second Air Force Specialty Code (2 AFSC); Ratee Temporary Grade; Ratee Permanent Grade; Ratee Aeronautical Rating; Ratee Aviation Service Code; Ratee Job Level; Ratee Command Level; Ratee Management Level; Ratee Duty Title; Effective Date of Duty Title; Ratee Personnel Accounting Symbol (PAS); Rater PAS; Rater Aeronautical Rating; Rater Aviation Service Code; Rater Job Level; Rater Command Level; Rater Management Level; Additional Rater or Reviewer Name; Additional Rater or Reviewer Organization; Date Rater Forwarded Report to Additional Rater or Reviewer. Reviewer Message Contains: Reviewer Name; Reviewer SSAN; Reviewer Grade; Reviewer Organization; Number of reports for which the reviewer was so designated; Number of reports, by rating, which the reviewer signed; Number of reports escalated for signature; SSAN of ratee on reports escalated for signature; Number of reports escalated to reviewer for signature; SSAN of ratee on reports escalated to reviewer for signature. Rater name; Rater SSAN (only if US military); Rater Organization; Rater office symbol; Ratee name; Ratee grade; Ratee SSAN; Ratee organization; Ratee PAS Code; Period of report; Length of supervision; Reason for report; Ratee's primary, duty and control AFSC's; Rater job level, management level, command level and duty title; Ratee effective date of duty; Ratee reserve/warrant commission; unfavorable information file (UIF) identifier.

Authority for maintenance of the system:

Title 44, United States Code (USC), Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101; and Title 10, USC, Armed Forces, Chapter 33, Appointments in Regular Components, Section 564.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses Include: Documentation of effectiveness/duty performance history; Promotion selection; School selection; Assignment selection; Reduction-in-force; Control roster; Reenlistment; Separation; Research/statistical analysis; Other appropriate personnel actions. Users Include: Supervisor; Commander; Major Command; Headquarters USAF other Military Services. OER Notices are Used to: Provide notification to a rater that an OER is due for an Air Force officer; Provide the rater with information necessary to complete portions of the evalation report form; Provide a temporary source document for the Consolidated Base Personnel Office (CBPO) to permit update of Base Level Military Personnel System (BLMPS); Provide the CBPO the capability of tracing a missing report; and, Reviewer Messages are Used for: Routine Use. Permit control points to insure each reviewer has not exceeded required rating distribution; Users. OER control points. Will be available to the control point commander and his administrative/personnel staff. May be Air Force or other service personnel or civilians. Insure inflationary rating trends are controlled.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Copies of performance reports are retained until separation or retirement. At separation/retirement, data subject is presented with field and command record copies of his/her reports. The Headquarters Air Force (HAF) copy is a permanent record that is forwarded to the National Personnel Records Center, Saint Louis, Missouri. In the event member has a Reserve commitment, HAF copy is sent to Air Reserve Personnel Center (ARPC), York Street, Denver, Colorado. However, the following exceptions apply: Officers Field Record: Remove and give to individual when promoted to Colonel, when separated or retired. Destroy when voided by action of the Officer Personnel Records Review Board. When voided by action of the Air Force (AF) Board for Correction of Military Records, forward all copies of report to Headquarters United States Air Force HQ USAF) when directed. Command Record: The command custodian will destroy the reports when voided by action of Officer Personnel Records Review Board. When voided by action of the AF Board for Correction of Military Records, forward all copies of report to HQ USAF when directed. HAF Record: Remove reports voided by action of the Officer Personnel Records Review Board from the selection folder and file in the board recorder's office until destroyed by tearing into pieces, shredding, pulping, macerating or burning. Remove reports voided by action of the AF Board for Correction of Military Records from selection folder and submit to Board's Secretariat with duplicate and triplicate copies, for custody and disposition. Airmen Grades E-3 through E-6: Airman Performance Reports (APRs) on separation or retirement are forwarded to the National Personnel Records Center, Saint Louis, Missouri unless data subject holds a reserve obligation – in which case they are forwarded to ARPC. Grades E-7/8: Duplicate copies those retained in promotion selection folders, are returned at separation or retirement. Permanent copy (field record) is forwarded to the National Personnel Records Center or to ARPC if data subject holds a reserve obligation. Officer Effectiveness Report (OER) Notices and Reviewer Messages are destroyed when their purpose has been served as they are used as control measures in the creation of Effectiveness Reports.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force, Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the systems manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

The basis of the ratings is observed on-the-job or education/training performance progression of the individual. Further, evaluation reports may have as an additional source of information Letters of Evaluation which may be supplied and used for periods of duty performed away from the normal reporting official.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03501 DPMYR R

System name:

Statutory Tour Program

System location:

At Headquarters United States Air Force, Washington DC 20330.

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Reserve Component Officers (United States Air Force Reserve/Air National Guard United States on Extended Active Duty)

Categories of records in the system:

Approval/Disapproval on original correspondence relating to the application (Air Force Form 125), Department of the Air Force Orders, Comments Chief of Air Force Reserve (AF/RE) and Assistant Secretary of the Air Force for Manpower and Reserve Affairs, Deputy for Reserve Affairs SAF/MRR.

Authority for maintenance of the system:

Title 10, United States Code (USC), Armed Forces - Chapter 11, Reserve Components, Section 265, Chapter 805, The Air Staff, Section 8033, Chapter 841, Active Duty, Section 8496; Title 32 - National Guard - Chapter 7, Service, Supply and Procurement, Section 708 - Regulatory Authority: Air Force Regulation 45-22, Reserve Component Representation

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documentary support of tour applications; approval/disapproval; initiation, termination and extension of statutory tours; historical reference not to exceed 2 years after tour termination; used by Air Force Military Personnel Center/Assistant for Personnel Plans, Programs and Organizational Requirements, Reserve Advisors Division (AFMPC/DPMYR); used for AFMPC/DPMYR as record of approval/disapproval, authority to issue Department of the Air Force Special Orders (DAFSOs); by AF/RE, Director Air National Guard, National Guard Bureau NGB/CF and SAF/MRR as record of approval/disapproval.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Controlled entry building.

Retention and disposal:

Retained two-years after completion of tour

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Air Force Reserve, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application and correspondence generated in transmission and consideration of the application.

Systems exempted from certain provisions of the act:

NONE

F03501 DPPPS S

System name:

United States Air Force (USAF) Airman Retraining Program.

System location:

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At consolidated base personnel offices. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Enlisted, Military, active duty.

Categories of records in the system:

Request for Retraining/Lateral Training 7301: This mechanized report contains a broad spectrum of retraining data to track retraining movement between specialties; it also identifies individuals and Major Commands (MAJCOMs) involved; this data can provide detailed identification of retrainees, type of training, type of specialties and other desired data on retraining movement.

Authority for maintenance of the system:

Title 10, United States Code (USC), Armed Forces, Chapter 901, Training Generally, Section 9301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military personnel officials at base, MAJCOM, and Headquarters Air Force (HAF) are primary users of data identified to evaluate decisions on retraining applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Retention and disposal:

Retained until training programs are completed or individual terminates Air Force status.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force, Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

and individuals may contact agency officials at the applicable records location in order to exercise their rights under the Act.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

and individuals may contact agency officials at the applicable records location in order to exercise their rights under the Act.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's application and official personnel records.

Systems exempted from certain provisions of the act:

NONE

F03501 HC A

System name:

Chaplain Personnel Record

System location:

Office of the Chief or Chaplins

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Air Force Reserve personnel.

V 44 DE 17 79 UMI

Retired Air Force military personnel.

Categories of records in the system:

Chronological Record of Permanent Change of Station, Promotion Dates of Rank, Service Schools Attended, Permanent Address, Marital Status, Number of Dependents, Name, Grade, SSAN/Service Number, Air Force Specialty Code, Religious Denomination, Date of Birth, Release Date

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Management of Active Duty Chaplain Force, Location of Marriage and Baptism Records through Former Active Duty Assignment Records in Cases of Separated Chaplains when requested by Former Parishioners

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.
Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Also from Assignment Action Documents and from Individual Member

Systems exempted from certain provisions of the act:

NONE

F03501 HC B

System name:

Chaplain Information Sheet

System location:

Office Chief of Chaplains
At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Categories of records in the system:

Names, Addresses, Phone Numbers of Chaplain and Two Next of Kin; Permanent Home Address of Record, Name and Mailing Address of Denominational Endorsing Agency

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of Chief of Chaplains as Single Manager in Maintaining Pastoral Contact with Chaplains

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.
Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Obtained from Each Individual Chaplain

Systems exempted from certain provisions of the act:

NONE

F03501 MPC A

System name:

F03501 MPC A Civilian/Military Service Review Board Card.

System location:

At Air Force Manpower and Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Members of the Women's Air Force Service Pilots (a group of Federal Civilian employees attached to the United States Army Air Force during World War II), or any person in any other similarly situated group the members of which rendered service to the Armed Forces of the United States in a capacity considered civilian employment or contractual service (or their survivors).

Categories of records in the system:

Cards containing individual's name and social security number, date of application and summary of the case through final decision by the Service Review Board.

Authority for maintenance of the system:

Public Law 95-202, Women's Air Forces Service Pilots.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Cards are used by Service Review Board personnel to suspense the collection of information requested by the applicant, to monitor the processing of each case through completion, and to respond to inquires concerning the case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Stored in secure building.

Retention and disposal:

Retained indefinitely.

System manager(s) and address:

Assistant Deputy Chief of Staff, Manpower and Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Members' applications, supporting documents and certificates.

Systems exempted from certain provisions of the act:

NONE

F03501 REP A

System name:

03501 REP A Personnel Files on Statutory Tour Officers

System location:

Personnel Division, Office of Air Force Reserve (AF/REP) HQ USAF Washington DC 20330. Air Force Military Personnel Center (DPMYR), Randolph AFB TX 78148 (USAFR and ANG Personnel).

Categories of individuals covered by the system:

United States Air Force Reserve Officers applying for or selected for assignment as statutory tour officer.

Categories of records in the system:

Application for extended active duty with United States Air Force, military career brief, resume of prior military and civilian experience, officer effectiveness report overall rating, correspondence and special orders relative to the tour.

Authority for maintenance of the system:

Title 10, United States Code, Section 8033 .

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documentary support of tour applications; approval/disapproval; initiation, termination and extension of statutory tours; historical reference not to exceed two years after tour termination; used by Air Force Military Personnel Center/Assistant for Personnel Plans, Programs and Analysis, Reserve Forces Division (AFMPC/DPMYR); used for AFMPC/DPMYR as record of approval/disapproval, authority to issue Department of the Air Force Special Orders (DAFSOs); by Office of the Air Force Reserve (AF/RE), Director Air National Guard, National Guard Bureau (NGB/CF) and SAF/MRR as record of approval/disapproval.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Air Force Reserve, Headquarters United States Air Force. Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Full name social security account number Personnel Division Office of Air Force Reserve, Pentagon, Washington DC 20330. Military identification card or driver's license required, if in person.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 REP B

System name:

Files on AF Reserve General Officers; Colonels assigned to General Officer Positions

System location:

At Headquarters United States Air Force, Washington DC 20330. Personnel Division, Office of Air Force Reserve

Categories of individuals covered by the system:

United States Air Force Reserve General Officers and Colonels assigned to General Officer positions.

Categories of records in the system:

Resume of prior military and civilian experience, correspondence and Special Orders, Record of Reserve participation, personnel data listings, last five officer effectiveness reports, record of personal interview and assignment recommendation made by Chief, Air Force Reserve.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine qualifications for initial/continued assignment to General Officer positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Air Force Reserve, Headquarters United States Air Force.
Washington, DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Full name, Social Security Account Number, Personnel Division, Office of Air Force Reserve, Pentagon, Washington DC 20330.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors; from individual officers; and, military personnel records.

Systems exempted from certain provisions of the act:

NONE

F03501 SAFCB A

System name:

Military Records Processed by the Air Force Correction Board

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.
And Washington National Records Center, Suitland, Md.

Categories of individuals covered by the system:

Case folders are maintained on all members or former members of the Air Force; Army Air Forces; Air Corps, United States Army; Air Service, United States Navy; and Aviation Section, Signal Corps, United States Army, who have applied to the Air Force Board for the Correction of Military Records (SAFCB)

Categories of records in the system:

Case folders consist of applications to SAFCB, with supporting evidence, staff advisory opinions and final determinations.

Authority for maintenance of the system:

Title 10 United States Code Section 1552

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Case folders are permanent records of all applications and are subjected to review only by an applicant and/or his designated representative, the SAFCB and the Secretary of the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Case folders are maintained within SAFCB until conclusion of a calendar year, then permanently retired to Washington National Records Center, Suitland, Maryland.

System manager(s) and address:

Executive Secretary, SAFCB, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Request for review must provide applicant's full name, service number and SAFCB docket number (if known). Reviews are held in Room 5C860, the Pentagon, between the hours of 0900 to 1600. An applicant must present a personal identification document. A designated representative must present a letter of authorization from the applicant.

Record access procedures:

Request for access may be obtained by letter addressed to the Executive Secretary, SAFCB, Headquarters United States Air Force, Washington DC 20330.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from applicants, Air Force offices and/or other Government agencies.

Systems exempted from certain provisions of the act:

NONE

F03501 SAFOI B

System name:

Mobilization Augmentee Training Folders

System location:

Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Room 5C960, The Pentagon, Washington DC 20330. And Washington National Records Center, Washington, DC 20409

Categories of individuals covered by the system:

Members of the Air Force Reserve assigned to Mobilization Augmentation (MA) positions within the Secretary of the Air Force Office of Information.

Categories of records in the system:

Applications for mobilization augmentee status, training, or assignment; orders to training or active duty; copies of effectiveness reports, training completion certificates; pertinent correspondence.

Authority for maintenance of the system:

5 United States Code 301, 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a training record for, 'Participation and Assignment Within the Reserve Components;' used by supervisory personnel to determine eligibility for promotion or reassignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in safes.

Retention and disposal:

Retained in office files for two years after the individual completes or discontinues a training course, then retired to Washington National Records Center, Washington DC 20409, and, after 28 additional years, they are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force (SAF/OI), Washington D.C. 20330

Notification procedure:

Requests from individuals should be addressed to the Reserve Forces Liaison Officer, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Room 5C960, The Pentagon, Washington, DC 20330, telephone (202) OX-76240. Individuals inquiring by mail should furnish their name and service number. Individuals making personal visits to the Office for Resources and Projects should have in their possession a valid identification card (DD Form 2AF(RES).

Record access procedures:

Individuals can obtain assistance in gaining access by contacting the Reserve Forces Liaison Officer, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR) Washington D.C., 20330.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 SGPC M

System name:

Physician Personnel Files

System location:

At Headquarters United States Air Force, Office of the Surgeon, Directorate of Professional Services, Clinical Medicine Division, 1000 Independence Avenue, Washington, DC 20314.

Categories of individuals covered by the system:

All physicians who are currently on active duty with the Untied States Air Force (USAF) or who are scheduled to come onto active duty in the USAF via selected

Categories of records in the system:

Physician recruitment programs. File contains personal correspondence to and from individual physician, forms relating to assignment, extensions, training, certification, other documentation concerning specialty qualifications, and other selected documents.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to provide background data and physician assignment desires to action officers tasked with the responsibility to assign physicians to military medical activities. Files may be sued by Air Force Military Personnel Center, Office of the Surgeon to assist in the assignment of physicians. Files may also be used to prepare letters of evaluation for prospective employers and entrance or advancement in professional societies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are protected by guards.

Retention and disposal:

Retain in office until separation, inactivation, when purpose has been served, or after 5 years, whichever is sooner, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

, name, social security number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from educational institutions.
Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F03501 0CGBUZA

System name:

Informational Personnel Training Records

System location:

At Headquarters or Major Subordinate Commands and at all levels down to and including Air Force installations, groups and squadrons, Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Battle Commander, Air Defense Commander, Director of Operations , Fighter Officer, Aircraft Control and Warning Officer, Operations Officer, Watch Officer, Watch technician, Senior Director(SD), SD technician, Senior Weapons Director(SWD), SWD Technician, Weapons Controller(WC), WC Technician, Weapons Assingment Officer, Weapons Assignment Technician, Enlisted Weapons Controller, Range Safety Officer

Categories of records in the system:

Chronological listing of duties and experience, records pertaining to qualification or proficiency including memos of record, waivers, and appointments to boards, panels and etc, student records from United States Air Force school courses teaching ground environment systems and/or procedures, intercept experience records including records from other Commands

Authority for maintenance of the system:

10 United States Code,Section 8012, Secretary of the Air Force

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information collected to insure training requirements outlined in Aerospace Defense Command Manual 50-5 Volume One are accomplished. Used by the local organization and the Major Command to monitor progress of training

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible note books, file folders and file cabinets

Retrievability:

Retrieved by name, rank and social security account number

Safeguards:

Access by Records Custodian stored in locked cabinets or rooms

Retention and disposal:

Retained in Office until discharge, separation, or reassignment of the individual then given to individual

System manager(s) and address:

Chief Atmospheric Environment Division, Aerospace Defense, Ent AFB, Co. Command, Region Control Center Chief/Operations Officer

Notification procedure:

All concerned individuals are aware of the records on file, access is readily available to these individuals by going to their local Records Custodian, requests for access by individuals outside the military should be addressed to the lowest System Manager echelon

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from previous pertinent United States Air Force assignments and United States Air Force school courses teaching ground environment systems and/or procedures

Systems exempted from certain provisions of the act:

NONE

F03501 0CGBUZB

System name:

Informational Personnel Records.

System location:

Headquarters (HQ) North American Air Defense Command (NORAD) and Aerospace Defense Command (ADC) Directorate of Public Affairs and Information, Internal Information Branch (OIII), Ent Air Force Base CO 80912

Categories of individuals covered by the system:

NORAD/ADC Subordinate Public Affairs/Information Personnel

Categories of records in the system:

Professional military assignment and education data only

Authority for maintenance of the system:

Title 10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by NORAD/ADC OIII personnel in allocating school quotas, making follow-on assignments, providing military career counseling, and familiarizing staff with personnel in outlying units. Used only by NORAD/ADC OI personnel as an internal management device.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, NORAD/ADC OIII

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individuals

Systems exempted from certain provisions of the act:

NONE

F03501 0IACYVG

System name:

03501 0IACYVG Correction of Military Records of Officers and Airmen

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel and Air National Guard personnel.

Categories of records in the system:

case files containing letters from individual reservist requesting correction of military record, related documents and replies to reservist.

Authority for maintenance of the system:

10USC 275 Personnel Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

used by Office Managers and Section supervisors and technicians to process correction of reserve records when requested. Base files are sent to Military Personnel Center for final action

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, protected by guards and controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC)

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

from personnel records

Systems exempted from certain provisions of the act:

NONE

F03501 0J DP A

System name:

Officer Status File

System location:

Headquarters Air Training Command(ATC) Deputy Chief of Staff for Personnel(DCS/P), Randolph Air Force Base, TX. 78148.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty ATC Permanent Party Officers below colonel

Categories of records in the system:

Individual military records containing current and projected assignment data for ATC tour

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses data to control intracommand reassignments

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Stored in locked building

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

DCS/P ATC Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 0J DP B

System name:

Status of Ineffective Recruiter

System location:

Headquarters Air Training Command(ATC) Deputy Chief of Staff for Personnel(DCS/P), Randolph Air Force Base, TX. 78148

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Active duty ATC enlisted recruiter personnel relieved from duty

Categories of records in the system:

Individual military record containing active case data

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses data to monitor relief action

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Stored in locked building

Retention and disposal:

Retained in office files until discharge, separation, or reassignment of the individual, then returned to servicing consolidated base personnel office for disposition.

System manager(s) and address:

DCS/P Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 0KPNQSC

System name:

03501 0KPNQSC AFJROTC Instructor Records System

System location:

AFROTC/JR1 Headquarters Air University, Maxwell Air Force Base, AL 36112.

Categories of individuals covered by the system:

AFJROTC instructors;past and present

Categories of records in the system:

AFROTC Form O-226, Processing Checklist; AFROTC Form O-222, Applicant Evaluation Form; AFROTC Form O-200, Application; Applicant Interview Record; Commander's Recommendation (for Noncommissioned Officers on active duty only); last 10 Airmen Performance Reports or Officer Effectiveness Reports, or summary of last 10 reports which include period of supervision and overall evaluation: letter requesting Defense Central Index of Investigation (DCII) name check; photograph; DD Form 214, Report of Separation from Active Duty; Retirement Order; miscellaneous correspondence such as resumes and letters of recommendation; copy of Air Force retirement physical and Physical Evaluation Board findings if applicant is retired with 30 percent or more disability; copy of Veterans Administration (VA) Form Letter (FL) 21-826, VA Form 20-822, VA FL-21-826, and VA Form 21-6782, if applicant is retired with 30 percent or more disability awarded by Veterans Administration; letter requesting medical evaluation of AFJROTC instructor applicants for personnel retired with 30 percent or more disability; letter from school officials indicating effective date of employment and termination of employment; hiring checklist; AFROTC Form O-217, Change in AFJROTC Instructor Status; AFROTC Form O-214, AFJROTC Instructor Contract Card; AFROTC Instructor certificates; letters pertaining to warning on or change of instructor certification status; AFROTC form 98 or o-218 Air Force junior ROTC aerospace education instructor evaluation report; letters pertaining to appeals of ratings and /or comments on AFROTC form 98 or O-218, Air Force Junior ROTC aerospace education instructor evaluation report; instructor termination questionnaire.

Authority for maintenance of the system:

10 USC Chapter 102, Junior Reserve Officers' Training Corps.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information is collected to determine if instructor is meeting Air Force standards. Routine use includes the referral of any individual's records, if requested, to the Department of Defense, Department of Justice, law enforcement or investigatory authority for investigation of possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, and on computer magnetic tape and computer printouts.

Retrievability:

Filed by name and Social Security Number (SSN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Instructor Management Division, AFROTC/JR1, Maxwell Air Force Base, AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. individuals who write must furnish name grade SSAN unit of assignment and address. Visitors must show armed forces identification card and some additional source of positive identification

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial institutions, educational institutions, police and investigating officers, the bureau of motor vehicles, a state or local government, witnesses and from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 0KPNQSD

System name:

Air Force Junior ROTC (AFJROTC) Instructor Applicant System.

System location:

AFROTC/JRI,

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Categories of individuals covered by the system:

AFJROTC applicants

Categories of records in the system:

Name, rank, social security number, address, overall evaluation , retirement date, applicant status, application date, school/city/state preference, birth date, processing checklist;applicant evaluation form, application form, applicant interview record; last ten Airmen performance reports or officer effectiveness reports, or summary of last ten reports which includes period of supervision and overall evaluation; letter requesting Defense Central Index of Investigation (DCII) name check; photograph; report of separation from active duty; retirement order; commander's recommendation for noncommisioned officers active duty only; derogatory information; miscellaneous correspondence such as resumes and letters of recommendation provided by applicant.

Authority for maintenance of the system:

Pl 88-647.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to evaluate applicant qualifications for employment as AFJROTC instructors. Name, rank and address of applicant furnished to

V 44 DE 17 79 UMI

school when nominated for employment. Information is furnished the authority performing the DCII name check.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Grade

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.
building locked after duty hours

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, instructor management division, AFROTC/JRI, Maxwell Air Force Base, al 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
individuals who write for information must furnish name, grade, social security number and address. Visitors must show armed forces identification card and an additional source of positive identification

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from police and investigating officers.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 0MUHHZA

System name:

Personnel Interview Record

System location:

79 Aircraft Early Warning Control System Homestead Air Force Base FL 33030; 452 Tactical Airlift Wing (TAW) Hamilton Air Force Base, CA 94934; 446 Military Airlift Wing (MAW) Assoc McChord Air Force Base, WA 98438; 459 TAW Andrews Air Force Base, MD 20331; 445 MAW Assoc Norton Air Force Base, CA 92409; 442 TAW Richards Gebaur Air Force Base, MO 64030; det 507 301 Tactical Fighter Wing Tinker Air Force Base, OK 73145; 439 TAW Westover Air Force Base, MA 01022; 512 MAW Associate Dover Air Force Base, DE 1901; det 508 301TFW Hill Air Force Base, UT 84406; 440 TAW Gen Billy Mitchell Fld WI 53207; 910 Tactical Fighter Group (TFG) Youngstown MAP OH 44473; 911 TAG GTR Pittsburgh IAP PA 15231; 913 TAG Willow Grove Airport PA 19090; 908 TAG Maxwell Air Force Base, AL 36112; 514 MAW Assoc McGuire Air Force Base, NJ 08641; 914 TAG Niagara Falls MAP NY; 917 TFG Barksdale Air Force Base, LA 71110; 919 TAG Eglin Air Force Base, FL 32542; 920 TAG Keesler Air Force Base, MS 39534; 924 TAG Ellington Air Force Base, TX 77209; 94 TAW Dobbins Air Force Base, GA 30060; 301 TFW Carswell Air Force Base, TX 76127; 926 TAG United States Naval Air Station New Orleans LA 70037; 940 TAG McClellan Air Force Base, CA 95652; 934 TAG Minneapolis St Paul IAP MN 55417; 928 TAG Chicago Ohare IAP IL 60666; 932 TAG Scott Air Force Base, IL 62225; 302 TAW Rickenbacker Air Force Base, OH 43217; 315 MAW Assoc Charleston Air Force Base, SC 29404; 349 MAW Assoc Travis Air Force Base, CA 94535; 403 TAW Seldridge Air Force Base, MI 48045; 433 TAW Kelly Air Force Base, TX 78241; 434 TFW Grissom Air Force Base, IN 46970

Categories of individuals covered by the system:

All USAF Reserve non prior service & prior service applicants

Categories of records in the system:

Data on military and civilian history for interviewing and tentatively qualifying a prospect

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for interviewing

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

AFRES/RS, Robins AFB, GA 31098

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual

Systems exempted from certain provisions of the act:

NONE

F03501 0MUHHZB

System name:

Curriculum Vitae

System location:

Air Force Reserve/Surgeon General Robins Air Force Base, GA 31098 regions/tsg. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Air Force Reserve Medical Service Corps personnel

Categories of records in the system:

Civilian and military educational and professional background

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide background information on Medical Service Corps personnel. Provides this HQ with information for the award of Air Force Specialty Codes and for one-time special requests.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Command Surgeon HQ AFRES Robins Air Force Base, GA 31098

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual

Systems exempted from certain provisions of the act:

NONE

F03501 0QAGGNA

System name:

Informational Personnel Records.

System location:

Squadrons Altus Air Force Base, OK 73521

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force active duty enlisted personnel.

Categories of records in the system:

Letters of appreciation letters of counselling and documents such as orders personnel action forms and security clearances

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Ready reference for Commanders pertaining to assigned personnel Commanders to evaluate performance and assignment actions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Squadron Commanders

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
present military identification written request will contain name rank and SSAN

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501 0TKWRDC

System name:

Informational Personnel Records.

System location:

Holloman Air Force Base, NM 88330

Categories of individuals covered by the system:

Personnel with derogatory information

Categories of records in the system:

Squadron file copy of all derogatory information, article 15, letter of reprimand, control roster, court-martial orders, letters of indebtedness

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For reference, Squadron administrative and disciplinary functions Squadron Commander, First Sergeant, and Administrative Management Officer supporting documentation for administrative actions such as discharge proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Files are maintained until an individual departs the Squadron through reassignment or discharge; an individual's file is destroyed by tearing into pieces, shredding ,pulping, macerating, or burning.

System manager(s) and address:

First Sergeant, 49th Field Maintenance Squadron, Holloman Air Force Base, NM 88330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Full name, SSAN, and military status valid identification card, driver's license and discharge certificate are required.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.

Systems exempted from certain provisions of the act:

NONE

F03501 0TMUHJA

System name:

Informational Personnel Records. (OI personnel background)

System location:

Directorate for Information, HQ Tactical Air Command (OIX) Langley Air Force Base, VA 23665

Categories of individuals covered by the system:

All personnel, Military and Civilian, assigned to the Information function within Tactical Air Command (TAC).

Categories of records in the system:

Background record name, date of rank, date assigned, date separation, Air Force specialty codes, photo, education, training, home address, telephone no., and assignments.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Directorate of Information, Headquarters, Tactical Air Command to identify personnel for deployment in exercises, contingencies, and for intra-command reassignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer paper printouts.
Maintained on aperture cards.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.
HQ TAC/OIX, Langley Air Force Base, VA 23665.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Request must contain name and organization of assignment, ID card or drivers license.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From gaining/losing Major Command Personnel Files AFMPC Office of Information personnel.

Systems exempted from certain provisions of the act:

NONE

F03501 0UMCBVA

System name:

Geographically Separated Unit Copy Officer Effectiveness & Airman Performance Report

System location:

At headquarters of major subordinate commands and numbered Air Forces. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Officers and Airmen

Categories of records in the system:

Officer Effectiveness Report (OER) and Airmen Performance Report (APR)

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use as a record to indicate individual's past job performance

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

At Headquarters of Major Subordinate Commands and numbered Air Force official mailing addresses are in the Department of Defense Directory in the appendix to the Air Force systems notice

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

OER and APR data

Systems exempted from certain provisions of the act:

NONE

F03501 05HCHLH

System name:

Reserve Management and Mobilization System (RMAMS)

System location:

At Air Force Intelligence Service (RE), Bolling AFB, Wash, DC 20332.

Categories of individuals covered by the system:

Air Force Reserve personnel.
Assigned or attached to Air Force Intelligence Service (AFIS), transferred or retired reservists from AFIS, reservist who have applied for assignment to AFIS

Categories of records in the system:

Biographic information (personal and military), language info, education info, reserve tour duty info, home info, employment info, security info, experience info (intelligence civilian foreign area), scientific and technical info, specialty info

Authority for maintenance of the system:

Title 10 USC 275

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To manage assigned and attached reservists career, Directorate of Intelligence (DI) Aerospace Defense Command, DI AF Communcations Service, DI AF Logistics Command, DI Air Training Command, DI Air University, DI Alaskan Air Command, DI Military Airlift Command, DI Pacific Air Forces, DI Strategic Air Command, DI Tactical Air Command, DI United States Air Force in Europe, DI United States Air Force Security Service, DI United States Air Forces Southern Command, DI Air Force Intelligence Service, DI Air Force Inspection and Safety Center, DI Air Force Test and Evaluation Center, DI Air Force Reserve, DI Air National Guard, DI Air Reserve Personnel Center, Defense Intelligence Agency, Central Intelligence Agency, user determines if reservist qualified to perform reserve tour

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director Intelligence Reserve Forces

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual, Air Reserve Personnel Center

Systems exempted from certain provisions of the act:

NONE

F03501 06SCEYA

System name:

Air Force Audit Agency (AFAA) Personnel Electronic Evaluation, Reporting System (PEERS)

System location:

HQ Air Force Audit Agency, AFAA/CC, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

AFAA Active Duty officer personnel AFAA Active Duty airman personnel

Categories of records in the system:

Grade Record Chronological Listing Of Service Record Related Job Experience Record Foreign Service Record Education and Training Record Service Record Officer Effectiveness and Airman Performance Report Record Air Force Specialty Code Record Personal Record Career and Separation Record Flying - Rated Record Current Assignment Record Assignment Preference Record

Authority for maintenance of the system:

Title 10, US Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in managing the careers of all military personnel assigned to AFAA, regarding assignment, reassignment, classification, professional military education. Determining eligibility/qualifications for promotion, Regular Air Force appointment, separation, retirement, reenlistment, career reserve status, and Bootstrap education program. Users - Command section AFAA. Directorate of Resources Management staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, burning, or degaussing.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
And the Director of Resources Management Air Force Audit Agency (AFAA/RM), Norton AFB CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
And information provided by individual.

Systems exempted from certain provisions of the act:

NONE

F03501 06SCEYB

System name:

Informal Airmen/Reserve Information Record

System location:

HQ Air Force Audit Agency (AFAA), AFAA/CC, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency active duty enlisted personnel Air Force Audit Agency inactive reserve personnel

Categories of records in the system:

Record of Emergency Data Airman/Officer performance/effectiveness reports Personnel Assignment Actions Reassignment Orders Assignment Preference Statement Promotion orders Awards/Decorations - Orders and Citations Enlistment Contract Airman/Officer Military Record (AF Form 7/11) Reserve Personnel Data Sheet Applications for Active Duty Tours and Assignment Orders Application for Reserve Assignment Ready Reserve Service Agreement Transitory correspondence pertaining to career management during individual's assignment to AFAA.

Authority for maintenance of the system:

Title 10, US Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff applications for reserve active duty tours. Determine performance qualifications. Repository to support entries in AFAA Personnel Electronic Evaluation Reporting System (PEERS). Users - Command section AFAA. Directorate of Resources Management staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
And the Director of Resources Management (AFAA/RM), Norton AFB CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
,information provided by the individual and Consolidated Base Personnel Office (CBPO).

Systems exempted from certain provisions of the act:

NONE

F03501 06SCEYC

System name:

AFAA Management Information System - Career File

System location:

Managed at Headquarters Air Force Audit Agency, AFAA/CC, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency active duty officer personnel Air Force Audit Agency active duty enlisted personnel Air Force Audit Agency civilian employees

Categories of records in the system:

Identification/Demographic Records Current Assignment Records Assignment History/Experience Records Assignment/Job/Training Preference Records Completed Civilian Education Records In-Progress Civilian Education Records Professional Military Education Records Off-Duty Education Records Accreditation/Certification Records Performance Evaluation Records Membership in Professional Organizations Records Grade/Rank Records Pay Status Records Training Requirements Records Training Scheduled/In-Progress Records Training History Records Career Development Planning Records Awards/Decorations Records Statistical Records Foreign Service Records Air Force Specialty Code Records

Authority for maintenance of the system:

Title 10, US Code 8014a

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in managing the careers of all military and civilian personnel assigned to/ employed by the AFAA. Uses include all necessary personnel actions regarding employment; assignment; reassignment; reemployment; classification; determining eligibility/qualifications for promotion; selections for promotion (civilian employees); Regular Air Force appointments (military officers); separations and retirement; reenlistments (enlisted personnel); career reserve status (military officers); conversion to career tenure (civilian employees); Bootstrap Education Program (military personnel); approval and funding of off-duty education (civilian employees); monitoring progress of off-duty education (military and civilian personnel); determining status of educational achievements (civilian institution education and professional military education); processing awards and decorations; obtaining, scheduling, monitoring, and recording training requirements, training in-progress, and training history; assisting and advising individuals regarding career development; selecting managing, and reporting education/training for persons selected for executive development; preparing statistical summaries; and preparing required reports for higher headquarters and providing requested management information to the AFAA Command Section. Users - Command Section, AFAA and Directorate of Resources Management Staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superceded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, burning, or degaussing. Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, burning, or degaussing.

System manager(s) and address:

The Auditor General, (AFAA/CC), Norton Air Force Base, CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Director of Resources Management (AFAA/RM), HQ Air Force Audit Agency, Norton AFB, CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
And Data provided by the individuals themselves and inputs from manual military and civilian personnel systems

Systems exempted from certain provisions of the act:

NONE

F03501 06SCEYD

System name:

Air Force Audit Agency Office Personnel File

System location:

Command Section, AFAA/CD, Norton AFB CA 92409; Directorate of Operations, AFAA/DO, Norton AFB CA 92409; Directorate of Plans, AFAA/XP, Norton AFB CA 92409; Directorate of Resources Management, AFAA/RM, Norton AFB CA 92409; Office of the Assistant Auditor General, CSAF/ACU, Washington, D.C. 20330; Air Force Audit Agency, Central Region (AFAA/AGC) Carswell AFB TX 76127; Air Force Audit Agency, Eastern Region (AFAA/AGE) Langley AFB VA 23665; Air Force Audit Agency, European Region (AFAA/AGU) APO NY 09332; Air Force Audit Agency, Western Region (AFAA/AGW) Norton AFB CA 92409; Air Force Audit Agency, Service Wide Systems Division (AFAA/AGP) Norton AFB CA 92409; Air Force Audit Agency Office, Acquisition Systems Division (AFAA/AGS), Bldg 3226 Stop 12, Andrews AFB DC 20331; Air Force Audit Agency office, Logistic Systems Division (AFAA/AGL), Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Altus AFB OK 73521; Air Force Audit Agency Office, Barksdale AFB TX 71110; Air Force Audit Agency Office, Bergstrom AFB TX 78743; Air Force Audit Agency Office, Blytheville AFB AR 72315; Air Force Audit Agency Office, Cannon AFB NM 88101; Air Force Audit Agency Office, Carswell AFB TX 76127; Air Force Audit Agency Office, Duluth IAP MN 55814; Air Force Audit Agency Office, PO Box 547, Dyess AFB TX 79607; Air Force Audit Agency Office, Ellington AFB TX 77030; Air Force Audit Agency Office, Ellsworth AFB SD 57706; Air Force Audit Agency Office, England AFB LA 71301; Air Force Audit Agency Office, Ent AFB CO 80912; Air Force Audit Agency Office, F E Warren AFB WY 82001; Air Force Audit Agency Office, Grand Forks AFB ND 58201; Air Force Audit Agency Office, Holloman AFB NM 88330; Air Force Audit Agency Office, Lackland AFB TX 78236; Air Force Audit Agency Office, Little Rock AFB AR 72076; Air Force Audit Agency Office, Lowry AFB CO 80230; Air Force Audit Agency Office, Malmstrom AFB MT 59402; Air Force Audit Agency Office, Minot AFB ND 58701; Air Force Audit Agency Office, Offutt AFB NE 68113; Air Force Audit Agency Office, ATC-AFAA, Randolph AFB TX 78148; Air Force Audit Agency Office, Reese AFB TX 79489; Air Force Audit Agency Office, Richards-Gebaur AFB MO 64030; Air Force Audit Agency Office, PO Box 3427, PSC 2, Sheppard AFB TX 76311; Air Force Audit Agency Office, USAF Academy CO 80840; Air Force Audit Agency Office, Webb AFB TX 79720; Air Force Audit Agency Office, Whiteman AFB MO 65301; Air Force Audit Agency Office, APO New York 09825; Air Force Audit Agency Office, Andrews AFB Washington DC 20331; Air Force Audit Agency Office, Chanute AFB IL 61868; Air Force Audit Agency Office, Charleston AFB SC 29404; Air Force Audit Agency Office, Dover AFB DE 19901; Air Force Audit Agency Office, Griffiss AFB NY 13440; Air Force Audit Agency Office, Grissom AFB IN 46970; Air Force Audit Agency Office, Homestead AFB FL 33030; Air Force Audit Agency Office, Keesler AFB MS 39534; Air Force Audit Agency Office, Kincheloe AFB MI 49788; Air Force Audit Agency Office, K I Sawyer AFB MI 49843; Air Force Audit Agency Office, Langley AFB VA 23665; Air Force Audit AGency Office, Rickenbacker AFB OH 43217; Air Force Audit Agency Office, Loring AFB ME 04750; Air Force Audit Agency Office, PO Box 6032, MacDill AFB FL 33608; Air Force Audit Agency Office, Maxwell AFB AL 36112; Air Force Audit Agency Office, McGuire AFB NJ 08641; Air Force Audit Agency Office, Myrtle Beach AFB SC 29577; Air Force Audit Agency Office, Pease AFB NH 03801; Air Force Audit Agency Office, Plattsburgh AFB NY 12903; Air Force Audit Agency Office, Pope AFB NC 28309; Air Force Audit Agency Office, Scott AFB IL 62225; Air Force Audit Agency Office, Seymour Johnson AFB NC 27530; Air Force Audit Agency Office, PO Box 552, Shaw AFB SC 29152; Air Force Audit Agency Office, Tyndall AFB FL 32401; Air Force Audit Agency Office, Wurtsmith AFB MI 48753; Air Force Audit Agency Office, APO San Francisco 96334; Air Force Audit Agency Office, Beale AFB CA 95903; Air Force Audit Agency Office, Castle AFB CA 95342; Air Force Audit Agency Office, APO San Francisco 96319; Air Force Audit Agency Office, APO San Francisco 96274; Air Force Audit Agency Office, Davis-Monthan AFB AZ 85707; Air Force Audit Agency Office, APO Seattle 98737; Air Force Audit Agency Office, PO Box 878, APO Seattle 98742; Air Force Audit Agency Office, PO Box 1313, Fairchild AFB WA 99011; Air Force Audit Agency Office (LA), George AFB CA 92392; Air Force Audit Agency Office, APO San Francisco 96553; Air Force Audit Agency Office, APO San Francisco 96239; Air Force Audit Agency Office, APO San Francisco 96288; Air Force Audit Agency Office, APO San Francisco 96264; Air Force Audit Agency Office, Luke AFB AZ 85309; Air Force Audit Agency Office, March AFB CA 92508; Air Force Audit Agency Office, Bldg 510, Mather AFB CA 95655; Air Force Audit Agency Office, PO Box 4006, McChord AFB WA 98438; Air Force Audit Agency Office, Mountain Home AFB ID 83648; Air Force Audit Agency Office, APO San Francisco 96310; Air Force Audit Agency Office, Nellis AFB NV 89191; Air Force Audit Agency Office, APO San Francisco 96570; Air Force Audit Agency Office, APO San Francisco 96280; Air Force Audit Agency Office, Travis AFB CA 94535; Air Force Audit Agency Office, APO San Francisco 96304; Air Force Audit Agency Office, APO San Francisco 96237; Air Force Audit Agency Office, APO San Francisco 96330; Air Force Audit Agency Office, Vandenberg AFB CA 93437; Air Force Audit Agency Office, Williams AFB AZ 85224; Air Force Audit Agency Office, APO San Francisco 96328; Air Force Audit Agency Office, APO New York 09238; Air Force Audit Agency Office, APO New York 09223; Air Force Audit Agency Office, APO New York 09293; Air Force Audit Agency Office, APO New York 09755; Air Force Audit Agency Office, APO New York 09132; Air Force Audit Agency Office, APO New York 09109; Air Force Audit Agency Office, TUSLOG Det 193 RES/AUD, APO New York 09289; Air Force Audit Agency Office, APO New York 09179; Air Force Audit Agency Office, APO New York 09332; Air Force Audit Agency Office, APO New York 09012; Air Force Audit Agency Office, APO New York 09057; Air Force Audit Agency Office, APO New York 09283; Air Force Audit Agency Office, APO New York 09194; Air Force Audit Agency Office, Edwards AFB CA 93523; Air Force Audit Agency Office, PO Box 1625, Eglin AFB FL 32542; Air Force Audit Agency Office, Kirtland AFB NM 87115; Air Force Audit Agency Office, Bldg 1521, Stop 21, L G Hanscom Fld MA 01730; Air Force Audit Agency Office, PO Box 92960, Worldway Postal Center, Los Angeles, CA 90009; Air Force Audit Agency Office, Patrick AFB FL 32925; Air Force Audit Agency Office/ASD, Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Hill AFB UT 84406; Air Force Audit Agency Office, Kelly AFB TX 78241; Air Force Audit Agency Office/LVAS, McClellan AFB CA 95652; Air Force Audit Agency Office/AUDGN, Robins AFB GA 31098; Air Force Audit Agency Office, Tinker AFB OK 73145; Air Force Audit Agency Office (WPRA), Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Newark AFS OH 43055; Air Force Audit Agency Office/AFDSDC, OL-2, Bldg 1111, Gunter AFS AL 36114; Air Force Audit Agency Office/AFAFC, 3800 York St, Denver CO 80205; Air Force Audit Agency Office/AFMPC, Randolph AFB TX 78148; Air Force Audit Agency Office, SAMSO, Norton AFB CA 92049; Air Force Audit Agency Office, Norton AFB CA 92409;

Categories of individuals covered by the system:

Air Force Audit Agency active duty officer personnel Air Force Audit Agency active duty enlisted personnel Air Force Audit Agency reserve personnel Air Force Audit Agency civilian employees

Categories of records in the system:

Supervisor's Record of Employee Record of Emergency Data Notification of Personnel Action Request for Personnel Action Supervisory Evaluation of Employee Potential for First-Level Supervisory Positions Supervisory Appraisal of Employee Current Performance-Auditor Supervisory Appraisal of Employee Current Performance-Supervisory (General Schedule and Wage) Special Orders Awards and Decorations information Career Development data AFR 30-30 Certifications Appointment of Additional Duties letter Career Counciling data Position Descriptions Special Duty Application Request for Investiagion, Clearance, Unescorted Entry Access Authorization Certificate Letters of Recognition, Achievement, Congratulations or Commendation Notification of Permanent Change of Station (PCS) Assignment Quality Evaluation of First-Time Resident Auditors Requests for Transfer, Separation, and Retirements Officer Career Objective Statements Airman Assignment Reference Statement Recommendations for Incentive Award Supervisory Appraisal of Employee Current Performance-Middle and High Level Managerial and Executive Qualifications Profile Certification of Eligibility and Record of Personnel Security Clearance Civilian Development Record Data relating to Temporary Duty (TDY)/PCS trips Evaluation Review/Critique Sheet Orientation Checklist Admission and Disposition Slip Flying Attachment Data Locator Cards Supervisory Appraisal of Employee Current Performance - Clerical

Authority for maintenance of the system:

Title 10, US Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by resident auditors, supervisory auditors, clerical personnel, and region/division chiefs to collect data for informational, support, and evaluation purposes

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency, Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from automated system interfaces.
Information obtained from police and investigating officers.
Information obtained from the public media.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from an international organization.
Information obtained from a corporation.
Information obtained from witnesses.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

And internally within the United States Air Force or Air Force Audit Agency

Systems exempted from certain provisions of the act:

NONE

F03501 06SCEYE

System name:

Air Force Audit Agency Office File

System location:

Command Section, AFAA/CD, Norton AFB CA 92409; Directorate of Operations, AFAA/DO, Norton AFB CA 92409; Directorate of Plans, AFAA/XP, Norton AFB CA 92409; Directorate of Resources Management, AFAA/RM, Norton AFB CA 92409; Office of the Assistant Auditor General, CSAF/ACU, Washington, D.C. 20330; Air Force Audit Agency, Central Region (AFAA/AGC) Carswell AFB TX 76127; Air Force Audit Agency, Eastern Region (AFAA/AGE) Langley AFB VA 23665; Air Force Audit Agency, European Region (AFAA/AGU) APO NY 09332; Air Force Audit Agency, Western Region (AFAA/AGW) Norton AFB CA 92409; Air Force Audit Agency, Service Wide Systems Division (AFAA/AGP) Norton AFB CA 92409; Air Force Audit Agency Office, Acquisition Systems Division (AFAA/AGS), Bldg 3226 Stop 12, Andrews AFB DC 20331; Air Force Audit Agency office, Logistic Systems Division (AFAA/AGL), Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Altus AFB OK 73521; Air Force Audit Agency Office, Barksdale AFB TX 71110; Air Force Audit Agency Office, Bergstrom AFB TX 78743; 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Air Force Audit Agency Office, Edwards AFB CA 93523; Air Force Audit Agency Office, PO Box 1625, Eglin AFB FL 32542; Air Force Audit Agency Office, Kirtland AFB NM 87115; Air Force Audit Agency Office, Bldg 1521, Stop 21, L G Hanscom Fld MA 01730; Air Force Audit Agency Office, PO Box 92960, Worldway Postal Center, Los Angeles CA 90009; Air Force Audit Agency Office, Patrick AFB FL 32925; Air Force Audit Agency Office/ASD, Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Hill AFB UT 84406; Air Force Audit Agency Office, Kelly AFB TX 78241; Air Force Audit Agency Office/LVAS, McClellan AFB CA 95652; Air Force Audit Agency Office/AUDGN, Robins AFB GA 31098; Air Force Audit Agency Office, Tinker AFB OK 73145; Air Force Audit Agency Office (WPRA), Wright-Patterson AFB OH 45433; Air Force Audit Agency Office, Newark AFS OH 43055; Air Force Audit Agency Office/AFDSDC, OL-2, Bldg 1111, Gunter AFS AL 36114; Air Force Audit Agency Office/AFAFC, 3800 York St, Denver CO 80205; Air Force Audit Agency Office/AFMPC, Randolph AFB TX 78148; Air Force Audit Agency Office, SAMSO, Norton AFB CA 92049; Air Force Audit Agency Office, Norton AFB CA 92409;

Categories of individuals covered by the system:

Air Force Audit Agency active duty officer personnel Air Force Audit Agency active duty enlisted personnel Air Force Audit Agency civilian employees Air Force Audit Agency reserve personnel

Categories of records in the system:

Installation Fact Sheet Air Force Audit Agency Office Leave Schedule Memorandum of Discussions with Installation Officials Personnel Data Sheet Personnel Interview Sheet, Parts I and II Memorandum to Region Chief concerning supervisory visits Region/Division Audit Report Review Sheets Designation of Position and Position Titles Air Force Audit Agency Personnel Roster for Office Concerned Recommendations for Future Assignment of Personnel Memorandums for the Record-Supervisory Surveys Correspondence Relating to Performance of Assigned Personnel Welcome Letters for Assigned Personnel Pertinent Staff Meeting Memorandums Workload Data Report Evaluations By Auditor AFAA Office Productivity Data Supervisory Auditor Assignments Reports of Significant Activity HQ AFAA SRA/Audit Review Sheet Memorandum of Personnel Discussions Trip Reports

Authority for maintenance of the system:

Title 10, U.S. Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by resident auditors, supervisory auditors, and Region/Division Chiefs to collect data to evaluate office and individual performance and to become cognizant of office responsibilities and general geographical factors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency, Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from automated system interfaces.
Information obtained from police and investigating officers.
Information obtained from the public media.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from an international organization.
Information obtained from a corporation.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

And internally within the United States Air Force or Air Force Audit Agency

Systems exempted from certain provisions of the act:

NONE

F03501 07YLNGA

System name:

Informational Personnel Records.

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

Categories of individuals covered by the system:

All fraud, criminal, polygraph, technical services, and counterintelligence trained Air Force Office of Special Investigations (AFOSI) and USAF Defense Investigative Service (DIS) special agents.

Categories of records in the system:

Records for each special agent indicating investigative schools attended and experience level attained, polygraph examiner training and performance records, records indicating personnel who have volunteered for the Counterintelligence Program and special agents in the program, and technical services training records.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Director of Fraud Investigations to program personnel for advanced fraud training and to identify personnel for assignment as fraud specialists. Used by the Director of Criminal Investigations to evaluate polygraph examiner performance and to select polygraph examiners. Also used to determine polygraph examiner qualification for retention or termination as a certified Department of Defense polygraph examiner. Used by the Director of Special Operations to program personnel for counterintelligence training and to identify volunteers for training in that area. Used by the Director of Technical Services to program personnel for advanced technical training and to identify personnel for assignment as technical services specialists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data is extracted from individual training and military/ civilian personnel records.

Systems exempted from certain provisions of the act:

NONE

F03501 07YLNGB

System name:

Internal Personnel Data System

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

Categories of individuals covered by the system:

All personnel assigned to the Air Force Office of Special Investigations (AFOSI) and all Air Force military personnel assigned to the Defense Investigative Service (DIS).

Categories of records in the system:

Records reflecting Unit authorized positions and Unit assigned personnel.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To manage AFOSI and DIS personnel resources. Used by personnel specialists in all assignment and manning actions. Used to monitor special agent experience level at each operating installation. Used to publish strength accounting reports. Used by the Director of Fraud Investigations to manage fraud coded positions and personnel assigned to fraud operations. Also used to program personnel for advanced fraud training. Used by the Director of Criminal Investigations to manage criminal coded positions and to identify personnel

for assignment as criminal specialists. Also used to program personnel for advanced criminal training. Used by the Director of Special Operations to manage counterintelligence and counterespionage positions and to identify personnel for assignment as specialists in these areas. Also used to program personnel for advanced training in these areas. Used by Budget and Accounting Specialists for tracking anticipated personnel travel funds associated with permanent change of station moves. Used by the Commander for locator purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data is extracted from individual military/civilian personnel records.

Systems exempted from certain provisions of the act:

NONE

F03501A0SSGBP

System name:

Education and Training Fact Sheets

System location:

At HQ SAC/AD, Offutt AFB, NE. 68113.

Categories of individuals covered by the system:

Personnel assigned to SAC/AD

Categories of records in the system:

Record of Technical Data Processing Course completions.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to determine educational qualifications and trng needed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Chief of Staff, Data Systems,HQ Strategic Air Command

Notification procedure:

Requests from individuals should be addressed to HQ SAC/ADXPT, Offutt Air Force Base, NE 68113

Record access procedures:

SAC/ADXPT will provide access.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individuals and graduation certificates.

Systems exempted from certain provisions of the act:

NONE

F03501B0SBAEYA

System name:

Request for Clinical Priviledge at USAF Hosp Beale

System location:

USAF Hospital Beale Air Force Base, CA

Categories of individuals covered by the system:

Physicians, assistants, nurse practitioners

Categories of records in the system:

Request for permission to perform surgical procedure-treatment

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to determine capabilities-priviledges for all doctors

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by commanders of medical centers and hospitals.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Hospital Administration

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Chief, Hospital Administration

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals

Systems exempted from certain provisions of the act:

NONE

F03501B0SPCZPB

System name:

Navigator Background Information

System location:

Beale Air Force Base, CA 95903 Castle Air Force Base, CA 95342 Davis Monthan Air Force Base, AZ 85707 Dyess Air Force Base, TX 79607 Ellsworth Air Force Base, SD 57706 Fairchild Air Force Base, WA 99011 Francis E Warren Air Force Base, WY 82001 Grand Forks Air Force Base, ND 58205 Malmstrom Air Force Base, MT 59402 March Air Force Base, CA 92508 Minot Air Force Base, ND 58705 6 Strategic Wing APO Seattle 98737 320 Bombardment Wing Mather Air Force Base, CA 95655 916 Air Refueling Squadron Travis Air Force Base, CA 94535 55 Strategic Reconnaissance Wing Offutt Air Force Base, NE 68113 4300 Air Base Squadron Glasgow Air Force Base, MT 59231

Categories of individuals covered by the system:

Crew navigators

Categories of records in the system:

Flying time and experience

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Chief Bomb Navigation Branch for required interviews/ experience/selection of replacements

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Bomb Navigation Branch at each base listed in Location Section above.

Notification procedure:

Addressed to Unit Chief Bomb Navigation Branch

Record access procedures:

Gain assistance from Unit Chief Bomb Navigation Branch

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual

Systems exempted from certain provisions of the act:

NONE

F03501FSFPC A

System name:

Air Force Discharge Review Board original case files.

System location:

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

Former Air Force Personnel who submit applications for review of discharge/ separation/dismissal.

Categories of records in the system:

Contains original copy of summary of board proceedings, individual's application form, order appointing Discharge Review Board members, summary of applicant's military personnel record, correspondence between applicant and Discharge Review Board and magnetic recording of hearing (if required).

Authority for maintenance of the system:

10 United States Code 1553 - Review of Discharge or Dismissal.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These documents are created and placed in the applicant's military personnel file so that a permanent record of the Board's action is preserved. These records are created by the Board in the performance of its statutory function. These case files are utilized by the Air Force Military Personnel Center to create new discharge documents if required and to notify the applicant of the outcome of his case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on a recording.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained permanently at the National Personnel Records Center (Military Personnel Records), 9700 Page Blvd, St Louis, MO 63132.

System manager(s) and address:

Director, Secretary of the Air Force Personnel Council, Washington, D.C. 20030

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Written requests should contain the full name, service number and social security account number of the requestor. Personal visits may be made to room 920, Commonwealth Building, 1300 Wilson Blvd, Arlington, VA. Personal visitors must supply full name, service number, social security account number and some form of identification such as driver's license, credit cards, etc.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's military personnel record

Systems exempted from certain provisions of the act:

NONE

F03501XOBXQPCB

System name:

Prospective Instructor Files

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Military personnel applying for instructor duty with the faculty.

Categories of records in the system:

Copy of Application for Instructor Duty, college transcripts, past Officer Effectiveness Reports, Officer Uniform Assignment Brief which contains information such as prior assignment information, aeronautical rating information, general personnel data including security clearance, date of birth, marital status, promotion dates; correspondence between individual and department, evaluations on individual's suitability and record of personal interview.

Authority for maintenance of the system:

10USC9331

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of System: Information on qualification, availability and location of potential instructors. Category of User: Faculty Departments. Specific Use: Used to assess individual qualifications on personnel applying for instructor duty on the faculty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are stored in locked cabinets or rooms.

Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Dean of the Faculty

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assista..ce in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.

Information obtained from educational institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03501X0IACYVA

System name:

03501X0IACYVA Reserve Supplement Officer (RSO) Case File.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force active duty officer personnel and enlisted personnel. Air Force civilian employees. Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

documents pertaining to requisition, assignment, reassignment, separation, or TDY assignment request, work sheet , orders, amendments, notification of receipt of application solicitation letter

Authority for maintenance of the system:

Title 10 US Code, Section 269.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

used by the military and civilian personnel of the reserve supplement officer assignment branch information is disclosed to Consolidated Base Personnel Office and other branches within the Air Reserve Personnel Center to insure proper information is maintained on the individual for assignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC) 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's SSN at time of discharge.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Major comands, personnel records, Air Reserve units.

Systems exempted from certain provisions of the act:

NONE

F03501X0IACYVB

System name:

03501X0IACYVB Application for Separation from the Regular AF to AF Reserve/Air National Guard.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80200.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force civilian employees. Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

application concerning separation from the Regular Air Force to the Air Force Reserve/Air National Guard, documents pertaining to requisition, assignments, reassignment, separation and declination

Authority for maintenance of the system:

US Code 10 Section 269.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

the routine use of this information is to help in obtaining a position in the Air Reserve forces. Used by Regular Air Force, Air Reservist, Air National Guard and civilian personnel to facilitate finding a position for reservists.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, AFPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify his/her application/ declination or orders.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, AFPC/DADP, 7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Major commands, Consolidated Base Personnel Office, Consolidated Reserve Personnel Office.

Systems exempted from certain provisions of the act:

NONE

F03501X0IACYVD

System name:

03501X0IACYVD Servicemens Group Life Insurance (SGLI) Entitlement Case Files.

System location:

Air Reserve Personnel Center, 3800 York Street, Denver, CO 80205.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

Copies of correspondence, casualty reports, record of emergency data, SGLI election, death order, death Certificate, Air Force Accounting And Finance Center (AFAFC) verification of premium payments.

Authority for maintenance of the system:

Title 38 U.S.Code 765-776.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to determine if an individual qualified for SGLI coverage, applied and paid for premiums for SGLI coverage and to report this information to office of SGLI, Newark NJ for processing insurance claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and card files.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards and controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person'd identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

information from notification of death and documents pertinent to death and SGLI coverage obtained from other military branches, public health records, next of kin, or civilian organizations.

Systems exempted from certain provisions of the act:

NONE

F03501X0OTAYZA

System name:

Management Control System (MCS)

System location:

Administrative/Personnel Support Office, Room 1D158, Air Force Data Services Center, AFDSC/CEA, Pentagon, Washington, D.C. 20330. Training Team, Office of Plans and Management, Room 1C1041, Air Force Data Services Center, AFDSC/XMT, Pentagon, Washington, D.C. 20330.

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Air Force civilian employees.

Categories of records in the system:

Types of records listed in MCS are those associated with a locator file, i.e., the individual's name, home address, home phone, etc. Also contained are records relating to the office the individual is assigned to; their authorized and assigned grade; date they were assigned to this organization; for military personnel only, the date they will depart; who their supervisor is; and the individual's duty phone and his immediate supervisor's duty phone. This also contains training information for military and civilian personnel assigned to AFDSC. This information consists of course completions by date.

Authority for maintenance of the system:

Title 5 U.S.C. 301 Departmental Regulations; Title 10 U.S.C. 133 Secretary of Defense appointments, powers and duties; delegations by; Title 44 U.S.C. 3101 Records management by Agency heads, general duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The MCS system was established as a management tool to provide office managers with information concerning their overall manpower picture to aid them in scheduling workload requirements in support of this organization's assigned mission. This system also acts as a Central Locator File and also allows a variety of manpower reports to be produced. b. Anticipated users of the MCS system: (1) Commander, Air Force Data Services Center. (2) Directors and Divisions Chiefs, Air Force Data Services Center. (3) Administrative personnel assigned to the Office of Administrative/Personnel Support function, Air Force Data Services Center, and training personnel assigned to Training Team, Office of Plans and Management. (4) Civilian agencies and other government agencies. (Specific names and government branches cannot be identified since the system acts as a locator file for individuals assigned to AFDSC. Any civilian agency or government branch could request information concerning an individual in order to locate that individual at their place of duty or at home.) (5) Military and Civilian Personnel Offices assigned to the 1143rd Air Base Squadron Pentagon, Washington, D.C. c. Specific use of information by each of the users mentioned in paragraph 8b. (1) The Commander, AFDSC uses the information from the MCS system to keep informed of the current manpower authorizations within AFDSC and were individuals are assigned. This is also true for Directors and Division Chiefs in AFDSC. From this information the AFDSC workload is closely managed to meet requirements by customers that this organization supports. In addition, the Commander, Directors and Divisions Chiefs can request a variety of manpower information from this system when certain data fields are aligned. (2) The administrative personnel assigned to the Administrative personnel support function mainly use the inforrmation supplied from MCS as a Central Locator file in order to assist outside callers in locating offices and individuals of this organization. Training Person-

nel use this file to provide cost estimates for input to the annual budget preparations for this organization. (3) The information provided to civilian and government agencies would be upon request to locate an individual assigned to AFDSC. (4) Civilian and Military personnel offices are provided information in report form. In most cases this information conncerns number of personnel assigned against number authorized, or the number of personnel assigned in a particular grade. Each of these offices can request other inquiries concerning personnel for which the MCS can, in most cases, provide the answers to their questions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Administrative/Personnel Support Office, Air Force Data Services Center, Pentagon, Washington, D.C.20030.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F035010BXQPCAB

System name:

Admissions and Registrar Records

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy nominees/appointees, cadets, graduates and Air Force Reserve Officers not on active duty.

Categories of records in the system:

(1)All data used in the candidate selection process for the USAF Academy. Includes high school records, admissions test scores, physical aptitude examination scores, high school extra curricular activities, medical qualification status, personal data records, letters of recommendation, address, phone number, SSAN, race, height, weight, citizenship, statement of reasons for attending Academy, nomination, and Prep School or college record if applicable. (2) Letters of evaluation for recording counseling for aptitude probation, counseling records which record counselors notes. Test data for interest/personality profiles. (3) Service academies precandidate questionnaries, computerized report by Congressional district. (4) Pertinent information on assigned Liaison Officers, reports of individual Liaison Officer activity and copies of general correspondence. (5) Grade and quality point averages, course grade distributions, general and academic orders of merit, military dependents on merit lists, squadron assignments. (6) USAFA Prep School computer listings, selection data on new classes, medical qualification at entry, cadet high school rank and class size, Fourth Class squadron assignments, special rosters with all scores (acceptees, declinations, minorities, recruited athletes, and Prep School), rosters from biographical data sheets (Protestant, Catholic, Jewish, and other religions, military parents, USAFA Prep School graduates, other Prep School graduates, Civil Air Patrol, former ROTC members, Boy Scouts, Eagle Scouts, cadets whose fathers are general officers, former Boys State and Boys Nation delegates and cadets with private pilot licenses), computer listings of high school activities and general information, admissions computer listings (all candidates, qualified candidates, selectees, athletes, minorities, ex-cadets and state status reports), and related data. (7) Flying training graduates and eliminees, graduate data sheets, graduate initial assignments and graduate scholastic degrees and losses.

Authority for maintenance of the system:

10 USC 8012, 10 USC 903

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Used by Admissions Office, Selection Panels, Academy Board, Athletic Department and Prep School personnel for selection of cadets to attend the Prep School and USAF Academy. Also, used to evaluate candidates for recommendation for civilian preparatory school scholarships. Used to form the nucleus of the cadet record for candidates selected to attend the Academy. (2) Used by counselors assigned to assist cadets with one or more counseling related problems. (3) Used by Admissions Office to prepare evaluation of candidates' potential for submission to Members of Congress and to schedule for medical examinations. (4) Monitor training of Liaison Officers and advise persons interested in the Academy of the name, address, and telephone numbers of their nearest liaison officer. (5) To evaluate cadet academic and military achievement and to coordinate statistics relating to cadet strength and attrition. (6) To evaluate selection procedures of AF Academy cadets, to assure that criteria for entering cadets are met and to procure various biographical information on incoming cadets for press releases. (7) To evaluate Air Force Academy graduate achievements in graduate schools, flying training and regular duty assignments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained on disks or drums. Maintained on computer magnetic tapes. Maintained on computer paper printouts. Maintained on roll microfilm. Maintained in note books/binders.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms. Records are stored in safes. Records are stored in vaults. Records are controlled by visitor registers.

Retention and disposal:

All data used in candidate selection, counseling records letters of evaluation and service academy precandidate questionnaires are Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. also may be buried. Records of candidates who accept appointments are sent to Cadet Records System, USAF Academy. Liaison Officer information: Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. May also be buried. Grade information, background & biographical information on nominees, appointees, and cadets; and flying training information is Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. also may be buried.

System manager(s) and address:

Director of Admissions and Registrar, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information generated within the cadet counseling center by personnel assigned, outside the center by referral sources, i.e. parents, liaison officers, other members of the Academy staff, Information obtained from educational institutions. Information obtained from automated system interfaces. From individual himself on forms filled out as a candidate, College Entrance Examination Board and American College Testing scores, Air Force Medical examinations, individual letters of recommendation, individual and personnel records.

Systems exempted from certain provisions of the act:

NONE

F0350120SSGBPA

System name:

Information Officer Background Record

System location:

Headquarters Strategic Air Command (SAC) OI see DoD Directory Headquarters 15th Air Force OI see DoD Directory Headquarters 8th Air Force OI see DoD Directory

Categories of individuals covered by the system:

Information and administrative personnel at all SAC Offices of Information

Categories of records in the system:

Name rank SSAN photograph dates of rank and separation assignme nt history military and civilian schooling degrees military job history

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assignment research Headquarters SACOI and numbered Air Force OI personnel assignment recommendations and locator

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in file cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information Headquarters SAC

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual completes and changes file card

Systems exempted from certain provisions of the act:

NONE

F03502 AFA A

System name:

03502 AFA A Cadet Management System

System location:

United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

The Air Force Academy Cadets.

Categories of records in the system:

(1) Records of emergency data; cadet acceptance records; oaths of allegiance; statements of consent; marriage, paternity, maternity, birth certificates; appointment orders; summer training orders; special orders; awards and decorations; requests for insurance; insurance program letters; applications for identification cards; training certificates; data for parachutist rating (LRA); individual jump records; aeronautical orders; records of personnel security investigation and clearance; statements of personal history; LPT scores; drug abuse certificates; small arms marksmanship training data; personnel data sheet; cadet biographical data; cadet personnel information; statements of travel; Academy/Commandant Board actions; Class Committee actions; legal reexamination letters; course completion/retake letters; cadet performance reports; basic cadet evaluation reports; letters of appreciation; Commandant's letters for placement, continuation, removal from aptitude, conditional probation; academic probation notifications; final clearances (graduates); reports of separation from active duty; records of disenrollment from officer candidate type training; (2) Offenses; referrals of offenses, awards and punishments; disciplinary board actions; squadron punishment lists; (3) special orders; (4) Cadet aptitude briefing; (5) Evidence and statements gathered by the Honor Committee which have been used to determine if accused cadets were guilty of violating the Honor Code and includes a summary of the Honor Board proceedings; (6) Course exams; answer sheets; flight mission grade sheets; (7) Prior summer training completion records of programs attended; current summer assignments and training program preferences; (8) Mandatory nonacademic appointments; (9) Board case files (proceedings, inquiries, investigations); (10) Outgoing clearance forms to assist cadet in outprocessing from the Academy.

Authority for maintenance of the system:

10 USC 8012 Secretary of the Air Force: powers and duties; delegation by; 10 USC 9349 Cadets: organization; service; instruction.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) For use in controlling and regulating cadet activity at the USAF Academy; (2) To report offenses committed by cadets, to reflect Commandant Disciplinary Board actions and conduct probationary cases to Commandant of Cadets for his approval, to provide a format for reporting completion of punishments; (3) To announce cadet rank and position (duty) to be held. Cadet Rank Cards are used to input the necessary data; (4) Monthly aptitude briefings completed by both cadets and AOCs are used when a cadet is referred to the Commandant's Board; (5) Case files are used by Cadet Honor Representatives to investigate possible violations of the Honor Code and as evidence at Cadet Honor Hearings. The case summaries are used for statistical record keeping and training in each squadron of Honor Committee activities; (6) Exams and grade sheets are used by assigned officers and secretarial staff of the Navigation Division to resolve any questions of validity of cadet grades and as an evaluation tool to measure cadet performance; (7) Maintain record of summer training accomplishments and assign cadets to summer training program; (8) Schedule cadets for mandatory nonacademic appointments during free periods; (9) Used as a case file in board (disenrollment) actions initiated against cadets. Reviewed by the Office of the Secretary of the Air Force in making final decisions on disenrollment action. Reviewed by Superintendent, USAF Academy in making a decision to refer to Board of Officers; (10) Accomplish required outprocessing actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets, on disks or drums, file folders, notebooks/binders, computer printout.

Retrievability:

Filed by name, social security number, other identification number or system identifier, military service number.

Safeguards:

Records are stored in locked cabinets, rooms, or safes. Computer records are controlled by computer system software. Manual records are accessed by custodians or persons who are responsible for servicing the record system in performance of official duties.

Retention and disposal:

(1) Stored for one year after graduation, then merged with the personnel records maintained by Registrar, Cadet Records Section, USAF Academy, CO 80840; (2) Destroyed 30 days after final action. Upon disenrollment or graduation, forwarded to Registrar, where they are microfilmed one year after graduation and retained permanently. Paper copy then destroyed; (3) Destroyed after 30 days after final action. Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (4) Maintained as part of personnel record (Permanent).

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (5) Information is retained for one year in the case of first class cadets and six months in the case of underclass cadets, or until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. AF Form 525 will be submitted for summaries; (6) All material retained for 30 days after the end of the semester in which administered except for final exam answer sheets which are destroyed after one yar. All material to be destroyed is boxed and pulverized in accordance with the aforementioned time frame; (7) Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating or burning; (8) Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; (9) & (10) Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, maceration or burning.

System manager(s) and address:

Commandant of Cadets, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from Commandant of Cadets Personnel. Information obtained from individual. Information obtained from coach. Information obtained from Educational Institutions. Information obtained from automated system interfaces. Information obtained from source documents (such as reports) prepared on behalf of the AF by boards, committees, panels, auditors, etc. Information obtained from civilian instructors.

Systems exempted from certain provisions of the act:

NONE

F03502 DPMMB A

System name:

Selective Reenlistment Consideration

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At consolidated base personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Initial enlistees within 15 months of original expiration term of service.

Categories of records in the system:

Documentation of selective reenlistment consideration process.

Authority for maintenance of the system:

Title 10, United States Code (USC) - Chapter 833, Enlistments, Sections 8251 - 8263; Title 44, USC, Chapter 31, Public Printing and Documents, Records Management by Federal Agencies, Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine member's reenlistment eligibility. Member's immediate supervisor, member's immediate commander, unit career advisor, base career advisor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Filed temporarily in member's Unit Personnel Records prior to reenlistment; permanently filed in Master Personnel Records at time of reenlistment, separation, discharge or retirement.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

or by contacting agency officials at respective servicing Consolidated Base Personnel Office.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

or same procedure as for notification.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Entries are made by the supervisor and commander, and acknowledged by the member.

Systems exempted from certain provisions of the act:

NONE

F03502 DPMMB B

System name:

Request for Variable Reenlistment Bonus (VRB) and/or Advance Payment of VRB.

System location:

At consolidated base personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Enlisted members who are receiving Selective Reenlistment Bonus payments in equal annual installments and request advance payment of one or more such remaining installments.

Categories of records in the system:

Requests for Variable Reenlistment Bonus (VRB) and/or Advance Payment of VRB.

Authority for maintenance of the system:

Title 37 United States Code; Pay and Allowances of the Uniformed Services - Chapter 5 - Special and Incentive Pays, Section 308; Title 44 United States Code: Public Printing and Documents, Chapter 31 - Records Management by Federal Agencies, Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Request advance payment of Selective Reenlistment Bonus monies due in subsequent fiscal years. Immediate commander, major command headquarters career motivation office, United States Air Force Deputy Chief of Staff/Personnel, Motivation and Retention Division, Randolph AFB , Texas 78148

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Individual may contact agency officials at the respective servicing Consolidated Base Personnel Office to exercise his rights under the Act.

Record access procedures:

Individual may contact agency officials at the respective servicing Consolidated Base Personnel Office to exercise his rights under the Act.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application

Systems exempted from certain provisions of the act:

NONE

F03502 OBXQPCB

System name:

03502 OBXQPCB Cadet Personnel Records System

System location:

United States Air Force Academy, USAF Academy CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

This record system contains both Military Personnel documents and Counselling documents.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For use in controlling and regulating a cadet during his time at the USAF Academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

These records are stored for one year after graduation, then merged with the Master Cadet Personnel Records maintained by Registrar, Cadet Records Section, USAF Academy, CO 80840.

System manager(s) and address:

Commandant of Cadets, and Director of Admissions and Registrar, United States Air Force Academy, CO 80840.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03502 OBXQPCD

System name:

Master Cadet Personnel Record (RR)/Historical

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

File folders, binders, roll microfilm containing selected special orders (appointment, assignment, awards, separation, etc.); letters of resignation/separation actions, release of details of honor violations, record of separation and disenrollment actions, if applicable; selected letters to and from parents, high school and college transcripts, CEEB test scores, personnel data record and biographical data, computer generated products of academic grade information, graduation data, types of degrees conferred and majors awarded.

Authority for maintenance of the system:

10USC903

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records form a complete history of each cadet who attends the Air Force Academy. They record the academic and military performance of each cadet. They contain documents pertaining to awards, academic and military honors received, separation/resignation actions, disenrollment actions, graduation data, types of degrees and majors awarded. The files are reviewed by federal agencies, the FBI, OSI, and DIS in conducting background investigations for security clearances, by organizations within the Department of Defense to determine qualifications for assignments, to determine and confirm training needs; by AFROTC, recruiting and medical services units to determine qualifications and eligibility for training programs and for military service, to the military personnel center to confirm or to recreate a military service record, to the Veterans Administration to determine eligibility for benefits; if requests are accompanied by an authorizing signature of the individual concerned, the information contained in the records is releaseable to civilian agencies in determining qualifications for employment, to civilian educational institutions, and to law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained on computer paper printouts.

Maintained on roll microfilm.

Retrievability:

Filed by Name.

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are stored in vaults.

Records are stored in locked cabinets or rooms.

Records are controlled by visitor registers.

Retention and disposal:

The Master Cadet Personnel Record/RR (Historical) is screened and microfilmed one year after the graduation of a class. The paper copy is retained for 6 years after graduation by the Staging Area, USAF Academy, CO 80840, and then destroyed by tearing into pieces. The microfilm copy is retained permanently by Registrar, Cadet Records, USAF Academy, CO 80840.

System manager(s) and address:

Director of Admissions and Registrar USAF Academy Co 80205

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager. suitability of cadets for graduation and commissioning as an officer in the United States Air Force. To freely release these docu-

ments could compromise the integrity of the system of evaluating and rating cadets. Para 3(K)(7) Privacy Act of 1974.

F03502 OBXQPCE

System name:

Master Cadet Personnel Record (RR)/Active, Directorate of Cadet Records

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

File folders, binders and storage cabinets containing letters of acceptance and appointment, high school record, admissions test scores, physical aptitude examination scores, participation in high school extracurricular activities, medical qualification status, personnel data record, letters of recommendation and evaluation, addresses by phone number, SSAN, race, height, weight, citizenship, statement of reasons for attending the Academy, preparatory school and college records, if applicable. Invitation to travel letters, transfer/validation credit information, academy board actions, computer generated products of academic grade information, parents address by state rosters, verification of independent studies, computer listings of minority students by race, listings of foreign cadets, special orders assigning cadets to the wing, cadet alpha wing, squadron and class rosters, and matriculation roster.

Authority for maintenance of the system:

10USC9331

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are created, collected, and maintained to record the application and appointment to the Academy, and to record the academic history of cadets who attend the Academy. They provide a means of checking the academic performance of each cadet, recording all grades given for completed courses, computing grade point averages, to identify academic deficiencies, and to insure that all requirements for graduation are being met. The academic grade information is released to cadets, their parents and congressmen, and to Academy instructors, counselors and advisors in assisting cadets in selecting majors, determining academic requirements for specific majors and scheduling courses. The computer listings are also used by members of the staff and faculty to readily identify cadets by race, squadron and by class. The Class Committees and the Academy Board use these records to evaluate a cadet's academic performance and to determine his eligibility to continue with the academic program at the Academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer paper printouts.
Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.
Records are stored in vaults.
Records are controlled by visitor registers.

Retention and disposal:

Records are screened and microfilmed one year after graduation. The microfilm copy is retained as a permanent record. The paper copy is then destroyed by tearing into pieces, shredding, pulping, or burning.

System manager(s) and address:

Director of Admissions and Registrar

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from forms the individual cadet fills out with his initial application to the Academy, other educational institutions, grades tests and examinations given at the Academy, from high school and other college transcripts, and from actions taken by the Academy Board.

Systems exempted from certain provisions of the act:

NONE

F03502 0MUHHZA

System name:

Manning Specialist Evaluation.

System location:

Air Force Reserve, Robins Air Force Base GA 31098. At Air Force Reserve Units.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Senior manning specialists and manning specialists

Categories of records in the system:

Job performance standards.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Basis to authorized 179 day manday tours.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Name SSAN

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

AFRES (RS), Robins AFB GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Wing Group Reserve Commanders.

Systems exempted from certain provisions of the act:

NONE

F03502 07YLNGA

System name:

Career Development Folder.

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

Categories of individuals covered by the system:

All officer and enlisted special agents assigned to the Air Force Office of Special Investigations (AFOSI). The Defense Investigative Service (DIS), and the Defense Intelligence Agency (DIA). Also includes those special agents assigned to any Department of Defense (DOD) activity or DoD sponsored program.

Categories of records in the system:

Records of counseling, Officer career objective statements Airman assignment preference statements, career development patterns, military special orders, pertinent certificates of courses attended, and applicable career correspondence.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To moniTor and develop special agent career progression. Used by special agent career monitors to ascertain individual career objectives, to recommend job and school assignments, and to counsel special agents. Used by the Commander, supervisors, and personnel specialists in the assignment selection process based on individual eligibility and desires.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data is extracted from individual training and military/ civilian personnel records.

Systems exempted from certain provisions of the act:

NONE

F03503 ATC A

System name:

03503 ATC A Recruiting Research and Analysis System

System location:

HQ United States Air Force Recruiting Service, Randolph Air Force Base, Texas 78148.

Categories of individuals covered by the system:

Air Force enlisted personnel entering active duty. Individuals tested and processed for Air Force enlistment. Potential Air Force enlistees qualified through the Armed Services Vocational Aptitude Battery (ASVAB) high school testing program. Applicants for the Officer Training School. Air Force active duty officer and enlisted personnel. Air Force civilian personnel assigned to Recruiting Service.

Categories of records in the system:

Survey analysis records containing such items as SSN, biographical and opinion survey data, supervisor's ratings, achievement, aptitude, reading, vocational interest and adjustment and temperament inventory scores, Air Force tech training class score, statistics and trend analysis.

Authority for maintenance of the system:

10 USC 503, enlistments; recruiting campaigns. Executive Order 9397, 22 November 1943, Number System for Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Research statistical reference file used by HQ United States Air Force Recruiting Service. Specific uses are to: (1) evaluate the quality of Air Force military personnel procured by Air Force Recruiting Service, (2) develop a more objective screening process for entry into recruiting duty, and (3) develop opinion-based recommendations for recruiting effort improvements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders, computer products, and written reports.

Retrievability:

Information is retrieved by Social Security Number (SSN), study control number or name to build statistical files.

Safeguards:

File folders stored in file with lock. Computer records are physically safeguarded by controlled access to the computer facility, and/or stored in file with lock. Records are accessed through computer run scheduling arrangements by persons responsible for servicing the record system in performance of their official duties. Computer paper printouts and reports are distributed only to authorized users.

Retention and disposal:

Records are retained until superseded, obsolete, no longer needed for reference, or on inactivation. They will then be destroyed by tearing into pieces, shredding, pulping, macerating, or degaussing.

System manager(s) and address:

Director of Marketing and Analysis, HQ United States Air Force Recruiting Service, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the System Manager. Social Security Number and full name are required to determine if the system contains a record relative to any specific individual. Valid proof of identity is required.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individuals, supervisors, from Air Force Technical Training Centers and from the Recruiting Activities Management Support System (RAMSS).

Systems exempted from certain provisions of the act:

NONE

F03503 ATC RSL

System name:

03503 ATC RSL Basic Trainee Interview Record

System location:

United States Air Force Recruiting Service Liaison Office (RSL), Lackland Air Force Base, Texas 78236.

Categories of individuals covered by the system:

United States Air Force Basic Trainees who register complaints concerning their enlistment in the United States Air Force.

Categories of records in the system:

Records resulting from personal interviews with basic trainees who file complaints about their enlistment, including, but not limited to, investigations on each complaint, conclusions and recommendations.

Authority for maintenance of the system:

10 USC 503, enlistments; recruiting campaigns. Executive Order 9397, 22 November 1943, Number System for Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is collected in order to have a written record of interviews with basic trainees who register complaints about the enlistment procedure. The data is used by the Recruiting Service Liaison Office

to investigate the complaints and keep the Commander, United States Air Force Recruiting Service advised of the nature of complaints being received. It is also used as the basis for making procedural changes in the United States Air Force Recruiting Service when a trend develops in a specific area.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name or social security number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in the performance of their official duties and by those who are properly screened and cleared for need-to-know. As a physical safeguard these records are stored in a secured building and locked office.

Retention and disposal:

Records are cut off at the end of each calendar year, held for one additional year, then destroyed by shredding.

System manager(s) and address:

Superintendent, United States Air Force Recruiting Service Liaison Office, Lackland AFB TX 78236.

Notification procedure:

Individuals may contact the Superintendent, United States Air Force Recruiting Service Liaison Office, Lackland AFB TX 78236. Requests must contain full name, and current mailing address.

Record access procedures:

Same as procedures for notification.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Records contain specific complaints/allegations made by the individual and responses to the complaints/allegations by appropriate Air Force Recruiting Service personnel.

Systems exempted from certain provisions of the act:

NONE

F03503 ATC RSM

System name:

03503 ATC RSM Recruiting Activities Management Support System (RAMSS)

System location:

HQ United States Air Force Recruiting Service, Marketing and Analysis Directorate (RSM), Randolph AFB TX 78148.

Categories of individuals covered by the system:

Air Force enlisted personnel entering active duty. Individuals tested and processed for Air Force enlistment. Potential Air Force enlistees qualified through the Armed Services Vocational Aptitude Battery (ASVAB) high school testing program. Other military services Delayed Enlistment Program (DEP) and active duty enlistees. Applicants for the Officer Training School (in-service commissioning program). Air Force enlisted personnel on recruiting duty.

Categories of records in the system:

Air Force enlistment processing records showing name, SSN, scores on all qualification tests, physical job qualifications, job preferences, jobs offered, jobs accepted, other personal data relevant to jobs offered, recruiting and processing locations, education data, and dates of processing. Airman trainee history records containing name, SSN, and other personnel data for assignment from basic military training, revised job preferences, security clearance investigations, dependent data, education, test scores, grade and promotions, biographical history, physical information, drug abuse history, enlistment personal and guaranteed training enlistee program data, separation data, classification data, service dates, technical school eliminations, separations, honor graduates, and Article 15/ courts-martial actions. Records for high school seniors who are ASVAB tested and meet the basic Air Force enlistment criteria showing name, mailing address, test scores, and high school where tested. Enlistment processing records for other military services showing SSN, name, state and county of residence, test scores, educational level, physical profile, processing date and location, prior service, and other personal data such as age, sex, race, martial status, and number of dependents. Officer Training School (OTS) applicant records showing SSN, name, and other educational and personal data necessary for the determination and selection of attendees at OTS and subsequent commissioning as an Air Force officer. Air Force enlisted recruiter individual records showing such items as SSN, name recruiting office assigned, and date assigned to Recruiting Service.

Authority for maintenance of the system:

10 USC 503, Enlistments: recruiting campaigns. Executive Order 9397, 22 November 1943, Number System for Accounts Relating to individual persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To furnish leads to the field recruiters derived from the high school ASVAB testing program, evaluate Air Force recruiters on effectiveness of screening out potential under/overweight applicants, evaluate recruiter's and job counselor's activity and efficiency levels, analyze preenlistment job cancellations for common denominators (reasons), analyze post-enlistment training pipeline attritions for common denominators (reasons), evaluate Air Force job [illegible] pool and past enlistments for effect of potential changes in enlistment policies in areas such as mental qualifications and physical qualifications, evaluate interservice recruiting performance, screen other service enlistees from Air Force advertising lead files, determine pass/fail rates for mental and physical testing, track training performance of Air Force enlistees, study the correlation of job held with performance on the job, study correlation of quality indicators with post-enlistment performance, feedback to field recruiters of individual records on all training attritions, and analyze advertising responses. Used by the personnel record maintenance activity to cross-check file completeness and accuracy. Individual records are aggregated into various statistical analyses for all levels to ascertain recruiting and seasonal procurement trends, to predict future potential developments, and to assist in the development of procurement, classification, and assignment policies for Air Force military personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on computer magnetic tapes, computer magnetic disks and computer paper printouts.

Retrievability:

Filed by name, SSN, or non-personal identifier.

Safeguards:

Records are accessed through computer run scheduling arrangements by persons responsible for servicing the system in performance of their official duties. Computer paper printouts are distributed only to authorized users. Records are physically safeguarded by controlled access to the computer facility, secured buildings and locked rooms.

Retention and disposal:

Enlistment processing records are retained until no longer needed for recruiting purposes; recruiter records are retained for one year after individual is removed from recruiter production status; ASVAB testing lead information is retained for 60 days. These retentions are built into the computer system program with automatic software controlled deletions from the machine-readable record.

System manager(s) and address:

Director, Marketing and Analysis Directorate (RSM), HQ United States Air Force Recruiting Service, Randolph AFB, TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Request must contain full name, and current mailing address.

Record access procedures:

Same as procedures for notification.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

The source of all records in the system are from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03503 DPMMP A

System name:

Air Force Enlistment/Commissioning Records System

System location:

Records System is maintained at recruiting offices and Armed Forces Examining and Entrance Stations (AFEES), Liaison Non-commissioned Officer (NCO) offices throughout all states.

Categories of individuals covered by the system:

Applicants for enlistment or commissioning programs.

Categories of records in the system:

Individual's application, personal interview record (PIR) and supporting documents containing name, social security account number, finger prints, historical background, education, medical history, physical status, employment, religious preferences (optional), marital and dependency status, linguistic abilities, aptitude and mental test results, parental consent for minors.

Authority for maintenance of the system:

Title 44, United States Code (USC), Public Printing and Documents - Chapter 31 - Records Management by Federal Agencies, Section 3101; and Title 10 USC Armed Forces - Chapter 31 - Enlistments, Sections 504 thru 512; Department of Defense Instructions (DODIs) 1304.21, 1145.1, 1205.14, 1304.11; Air Force Regulation (AFR) 33-3 and AFR 35-22.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected by recruiters to determine enlistment/commissioning eligibility, and process qualified applicants. Personnel managers use as hard copy documentation of person data entered in data systems Advanced Personnel Data Systems (APDS). Personnel managers also use certain documents to determine classification and assignment actions after enlistment. All documents are source documents in determining benefits/ entitlements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Files of applicants not enlisted are retained in the local recruiting office and destroyed after one year. Records of enlistees that are not forwarded to Master and Unit Personnel Records files are destroyed after 1 year, by tearing into pieces, burning, shreding, macerating or pulping.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas

Notification procedure:

Individuals may contact agency officials at respective recruiting office locations

Record access procedures:

Same procedure as notification above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual provides through written application or personal interview.

Systems exempted from certain provisions of the act:

NONE

F03503 0MUHHZA

System name:

Reserve manning Report.

System location:

Eastern Air Force Reserve Region (AFRR), Dobbins Air Force Base GA 30060. Detachment 4 Reserve Recruiting Group provisional 9400 Kelly AFB TX 78241. Western AFRR, Hamilton AFB, CA 9434.

Categories of individuals covered by the system:

Manning specialists.

Categories of records in the system:

Data pertaining to nonprior and prior enlistments and accessions.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Standardize stastical data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ AFRES/RS, Robins AFB GA 31098.

Notification procedure:

Requests from individuals should be addressed to the parent Region/RS

Record access procedures:

Individual can obtain assistance in gaining access from the parent Region/RS.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Department of Defense (DD) Form 4, Department of Defense Form 1644 Interservice Transfer.

Systems exempted from certain provisions of the act:

NONE

F03504 AA A

System name:

Secretary of the Air Force Military Personnel Administration

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Military personnel, regular and reserve, assigned for duty with office, secretary of the Air Force, the White House and presidential committees.

Categories of records in the system:

Duty assignments; 'classification; details; requisitions; forecasts; process sheets; manpower support files; leave authorization log and card record; unit detail listing; on duty report; clothing allowance and basic allowance for subsistence requests; promotion files; schools files; reservists active duty tour file. Record and locator cards; request for selection folder cards; position applicant referrals.

Authority for maintenance of the system:

5United States Code 301 'Departmental Regulations'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Respond to requests or information on the overall administration of military personnel assigned to the Secretary of the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Access controlled by assistant manager and to restricted authorized personnel.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Administrative assistant to the Secretary of the Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Air Force personnel offices.

Systems exempted from certain provisions of the act:

NONE

F03504 DPM A

System name:

03504 DPM A Relocation Preparation Project Folders

System location:

At Consolidated Base Personnel Offices (CBPOs) only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Maintained on all active duty Air Force personnel selected for relocation as the result of retirement, separation, release from extended active duty, Permanent Change of Station (PCS), or Temporary Duty (TDY).

Categories of records in the system:

Relocation records may consist of appropriate checklist, orders and amendments thereto, letters from agencies outside the CBPO regarding the member's relocation, record of emergency data, Records Transmittal/Request, servicemen's request for compensation from the veterans administration, PCS or TDY Levy Notification Letter/Brief, duplicates of correspondence directing/authorizing the relocation, Assignment Instruction Worksheet, Basic Assignment Eligibility Checklist, Assignment Preference Statement, Medical/Dental Clearance for Assignment to short-tour area, Medical and Educational Clearance for Dependent Oversea Travel, Oversea Tour Election Statement, Cancellation/Diversion of Assignment or change of reporting month and components of the Field Records Group for consolidation and forwarding to new location.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by and 8032, General duties. Routine uses of records maintained in the system, including categories of delegation by and 8032, General duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Each type of relocation of Air Force personnel requires that specific actions are accomplished. These actions are described either on a checklist or by sending a form letter to the applicable base activity having a responsibility for insuring accomplishment of the action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by name within departure month.

Safeguards:

Records are accessed by authorized personnel in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets/or rooms.

Retention and disposal:

Records are maintained for a period of six months after departure of the member, then removed and destroyed by tearing into small bits, macerating, burning, shredding, or pulping.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph AFB Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. And individuals may deal directly with agency officials at each respective location.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. And individuals may deal directly with agency officials at each respective location.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Computer print-outs, information obtained from the unit personnel records, from the unit commander, the supervisor and from the member.

Systems exempted from certain provisions of the act:

NONE

F03504 DPMHC A

System name:

Chaplain Personnel Action Folder

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Active Duty Chaplains

Categories of records in the system:

This is a grouping of information for each United States Air Force (USAF) chaplain. Items of information in these folders included the following: current official photograph, current career brief, summary of education, Officer Career Objective Statement, Chaplain Services Personnel Evaluation, copy of chaplain's Ecclesiastical Endorsement, copy of Appointment orders, copy of initial Extended Active Duty Orders, Application for Extended Active Duty with the United States Air Force USAF, Application for Appointment as Reserve of the Air Force, student information sheets prepared while attending USAF Chaplain School Courses, copies of assignment action documents, correspondence between the chaplains and Headquarters USAF/Chief of Chaplains and requests for special personnel actions and dispositions curtailments, etc.

Authority for maintenance of the system:

Title 10, United States Code, Armed Forces - Chapter 803, Department of the Air Force, Section 8012 and Chapter 805, The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The documents maintained in these folders are utilized by the Resource Manager in Headquarters United States Air Force/Chief of Chaplains, Personnel Division for assignment selection of chaplains. Because of the necessity to insure an equitable denominational spread of chaplains on an installation and to insure the proper placement of specially qualified chaplains, it is necessary to maintain current information on each chaplain.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for two years after separation then destroyed by macerating or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's personnel action requests/preferences and information retrieved from the Advanced Personnel Data System (ADPS).

Systems exempted from certain provisions of the act:

NONE

F03504 DPMHC B

System name:

Assignment Action File

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active Duty Chaplains

Categories of records in the system:

A grouping of pertinent forms used by the Air Force Military Personnel Center (AFMPC) Chaplain's Office for implementing accession and assignments of chaplains to active duty and other personnel actions on chaplains who are already on active duty. They also contain information and actions pertaining to individuals in the areas of duty Air Force Specialty Code (AFSC) change requests, tour length change requests, humanitarian reassignments and copies of messages directing such actions.

Authority for maintenance of the system:

Title 10, United States Code, Armed Forces - Chapter 803, Department of the Air Force, Section 8012 and Chapter 805, The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to answer requests for assignment changes, tour length changes, duty AFSC requests, special assignment consideration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application and information retrieved from the Advanced Personnel Data System (APDS)

Systems exempted from certain provisions of the act:

NONE

F03504 DPMRA C

System name:

Airmen Utilization Records System

System location:

At Headquarters United States Air Force, Washington DC 20330. At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Enlisted personnel on active duty who: write or visit the Air Force Military Personnel Center, Airmen Management Division (AFMPC/DPMRA) regarding assignment information; or request reassignment or deferment from assignment under the Children Have A Potential (CHAP) humanitarian programs; or are released from a hospital and made available for reassignment; or are nominated or volunteer for special assignment; or request information or action through high level channels; or volunteer for PALACE GUN or PALACE DRAGON; or are restricted, along with their dependents, from assignment to certain oversea areas; or are subject to special assignment procedures, such as: reassignment of airmen with known deficiencies; reassignment of threatened airmen; disposition of airmen involved in disciplinary/legal problems enroute to permanent change of station (PCS) assignment; or reassignment for trial; Curtailment of Oversea Tour for Cause or are permanently disqualified from the Human or Personnel Reliability Programs and Master, Senior Master and Chief Master Sergeants on active duty in the Air Force who are considered/selected for an assignment. Enlisted club stewards on active duty in the Air Force.

Categories of records in the system:

Documentation of oral and written dialogue with airmen regarding assignment actions; notification to airman of assignment; oral and written dialogue with commanders regarding assignment actions; projected assignment actions; oral and written dialogue with Air Force multi-level functional managers regarding assignment actions; medical, legal and financial factors related to humanitarian assignment actions; personal assignment preferences, assignment limitations; final and executed assignment actions; high level interest and official Air Force responses; legal and investigative information regarding assignment restrictions; reassignment of airmen with known deficiencies, or involved in disiplinary or legal problems, or for cause, or for personal safety, or for convenience of litigation actions; permanent disqualification from human or personnel reliability programs and extracts from the Advanced Personnel Data System (APDS); Airman Career Briefs; Airman Performance Reports and Education Data.

Authority for maintenance of the system:

Title 10 United States Code (USC) Armed Forces, Chapter 803, Department of the Air Force, Section 8012; Chapter 805, The Air Staff, Section 8032; Title 44 USC Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101; Atomic Energy Act of 1946 and International Security Act of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine Uses. Information is used in counselling airmen concerning their assignment status and also for background information concerning assignment inquiries and documentation of action taken. Data is used to provide senior noncommissioned officers (NCOs) with personalized assignment service. It is also used to provide tracking and background data with which to reply to queries from the NCOs. Information is used by the PALACE Nonappropriated Fund resource manager to develop the career and broaden the experience of club stewards. It is also used to staff club steward assignment actions. Also used to staff assignments on those airmen who have applied for humanitarian - Children Have A Potential (CHAP) assignments; and for effecting assignments on airmen released from the hospital. Used to track-select airmen for special assignments. To document responses to high-level inquiries and to provide the rationale for approving or disapproving a request for assignment. Used to monitor airmen who submit volunteer statements under PALACE GUN, PALACE DRAGON. Used to document special assignment actions to certain oversea areas and in those actions involving disciplinary or

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legal problems, threatened airmen, airmen with known deficiencies, curtailment for cause and when reassignment is required for trial purposes. To monitor assignment restrictions on airmen disqualified from Human-Personnel Reliability Program duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are protected by guards.

Records are controlled by personnel screening.

Records are controlled by visitor registers.

Retention and disposal:

Destroyed at the end of the calendar year or destroyed when airman withdraws his PALACE GUN-PALACE DRAGON volunteer statement; Destroyed 18 months after final action on requests for humanitarian assignment, by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Access

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information generated by the Air Force office of primary responsibility; from APDS by inquiry or action notice; law enforcement agencies; investigative agencies; or Air Staff inputs.

Systems exempted from certain provisions of the act:

NONE

F03504 DPMRO D

System name:

Officer Utilization Records System

System location:

At Headquarters United States Air Force, Washington DC 20330.

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

Categories of individuals covered by the system:

Officer personnel on active duty who: are eliminated from flying or technical training; or apply for separation or retirement prior to completion of their active duty service commitment (ADSC); or apply for accelerated entry on extended active duty (EAD); or are available for active duty; or are identified for special career monitoring; or are selected or volunteer for Air Staff training (ASTRA); or are selected for below the zone promotion to major and lieutenant colonel; or are former ASTRA officers below the grade of major and selectees, designees and attendees of Intermediate Service Schools (ISS) and Senior Service Schools (SSS); or are volunteers or are selected for the Air Force Institute of Technology (AFIT); or are nominees, designees, attendees and graduates of Squadron Officers School (SOS), Academic Instructor Courses (AIC), ISS and SSS; or request reassignment or deferment from assignment under the Children Have A Potential (CHAP) Humanitarian Programs; or request information or action through Congressional sources; or apply or are being considered for Air Staff extensions; or possess or are candidates for PHD degrees; or are the subject of a request to change their Duty Air Force Specialty Code (DAFSC); or apply for early release; or have attended AFIT education programs; or are AFIT graduates and request or are identified for a directed duty assignment; or are attending or are recent graduates of Professional Military Education (PME) institutions; or apply for special duty per Chapter 8, Air Force Regulation 36-20; or apply for undergraduate pilot (UPT) or navigator training (UNT); or apply for or are attending test pilot school; or apply for Officer School Training; or are former prisoners of war (POW) as a result of the Southeast Asia (SEA) conflict; or file reclamas regarding flying time computations in support of the aviation Career Incentive Act; or visit or write the Air Force Military Personnel Center (AFMPC)/Directorate of Personnel Resources and Distribution, Officer Career Management Division for career counselling; or are selected for assignment or reassignment; or are nominated for assignment or are currently assigned to agencies outside the Air Force; or are permanently disqualified from the Human/Personnel Reliability Programs (HRP/PRP); or are identified for special monitoring due to unique or special qualifications; or apply or are identified for levy exempt status; or Reserve officer personnel not on EAD who: apply for accelerated entry on active duty; or Reserve officers and Air Force Reserve Officers Training Corps who apply for reserve duty in lieu of extended active duty (EAD);

Categories of records in the system:

Documentation of: Actions related to entry, including accelerated; on active duty, special career monitoring; actions related Air Staff Training (ASTRA) selectees or volunteers; special assignments for individuals who demonstrate well above average performances; actions of the AFIT Selection Board and disposition of AFIT applications: Elimination actions accomplished by training activities; Reclassification actions following elimination from training; disposition of applications with justification for levy exempt status; Command comments regarding specific assignment actions; Recommendations regarding retirement or separation prior to ADSC; Disposition of applications for reserve duty in lieu of EAD; Individual career objectives, assignment preferences, limitations; Promotion board reports for major, lieutenant colonels and colonels; Medical, legal and financial factors related to humanitarian assignment actions; Oral and written dialogue with officers regarding assignment actions; High level interest and official Air Force responses; Disposition of applications for Air Staff tour extensions with summary of findings; Award of PHD or pursuit of PHD degree; Request for, staffing of, and disposition of DAFSC changes; Staffing, Early Release Board action summaries and disposition of early release requests; Assignments of personnel who have attained advanced AFIT degrees; Directed duty assignments (DDA) considered because of AFIT education; Assignment considerations of PME students and graduates; Staffing and other actions related to consideration of requests for special duty or UPT or UNT or Test Pilot School or Officer School Training; Assignment actions pertinent for former POW of the SEA conflict; Response to reclamas regarding flying time computations; Assignment and career development counselling actions; Assignment to Department of Defense and Joint Chiefs of Staff activities; Disqualification from HRP or PRP; Special monitoring actions of individuals with unique or special qualifications; and the following forms and documents: Air Force (AF) Form 112, Officer Counselling Data Card; AF Form 11, Officers Military Record; AF Form 215, Application for Officer Training; AF Form 2095, Assignment - Personnel Action; AFMPC Form 93, Assignment for AFIT Graduate; APDS extract related to flying or technical training, education, experience and other assignment factors; Assignment action cards; Assignment work sheets; Career Briefs; Officer Career Objective Statements; Tracking Log; Record of Assignment Action Number (AAN); Assignment Orders; Precision Measurement Equipment (PME) and special category summary forms; Background checks; Officer Palace Manning Report; Short Tour Return Date Roster; Eligible for Overseas Roster; Officer Effectiveness Report; APDS Action Notices Regarding Assignment Factors/Considerations.

Authority for maintenance of the system:

Title 10, United States Code, Armed Forces, Chapter 803, Department of the Air Force, Section 8012; Chapter 805, The Air Staff, Section 8032; and Title 44, USC, Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, Section 3101; Title 37, USC, Pay and Allowances of the Uniformed Services, Chapter 5, Special and Incentive Pay, Section 301; Atomic Energy Act of 1946; and International Security Act of 1950.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To make a determination regarding the retention and/or reclassification of those officers eliminated from flying or technical training. To make a determination on requests for levy exempt status for officers who have been selected to perform duty on special projects and the individual or major command (MAJCOM) request that the individual be deferred from assignment selection. To make a determination regarding applications for accelerated active duty and on applications for duty with the Air Force Reserves in lieu of extended active duty (EAD). The basis on which to make a recommendation to the Air Force Military Personnel Center (AFMPC), Directorate of Personnel Program Actions (DPMA) regarding waiver of Active Duty Service Commitment (ADSC) for those officers who have applied for separation or retirement. To monitor and staff the initial assignment for officer accessions. To track those officers identified for special career monitoring. To confirm that Air Staff Training (ASTRA) volunteer status has been updated in the Advanced Personnel Data System (APDS), also used by Resource Managers to staff extensions of tour, curtailment of tour, Duty Air Force Specialty Code (DAFSC) changes and follow-on assignments. Used by career and Resource Managers to insure that officers who have demonstrated above average performance are considered for challenging and responsible positions. Used by AFIT Selection Board to answer inquiries concerning the status of an application; to monitor officers currently in AFIT; and to work extensions or program changes. Used to nominate and monitor officers for attendance at Intermediate and or Senior Service Schools. Data is also used to track graduates of the Squadron Officer School (SOS) and Academic Instructor Courses (AIC). To staff assignments on those individuals who have applied for humanitarian - CHAP assignments. To fully document the response to an inquiry and toprovide the rationale for approval or disapproval of a requested assignment. To staff and make a determination regarding tour extensions. To monitor holders of doctorate degrees and candidates thereof to insure proper utilization of those officers holding doctorate degrees. To staff DAFSC change requests and to make a determination regarding retraining. To make a determination by the Early Release Board regarding an officer's request for early release. To monitor and or assign those officers possessing advanced AFIT degrees; action is essential for proper utilization of advanced degree holders. To make a determination regarding a Directed Duty Assignment (DDA) change on those officers who incurred the DDA as a result of AFIT education. To monitor and staff assignments for Professional Military Education (PME) attendees and or graduates. To monitor and select officers for special duties. To monitor officers who have applied for undergraduate pilot and-or navigator training; used along with the master military personnel record in the selection process. To monitor officers who have applied for and-or are currently attending Test Pilot School. To monitor officers who have applied for Officer School Training. To monitor the utilization of former prisoners of war of the Southeast Asia conflict. Used as backup reference for Aviation Career Incentive Act reclamas. To staff assignments and related actions. Used in the counselling of officers and as background reference documentation for visits of officers to the Air Force Military Personnel Center (AFMPC) and for the response to correspondence between the officer and the AFMPC Resource Manager. Data are used in the assignment selection process to insure fair and equitable assignment selection. Additionally, the information and-or computer products are used to determine unique or specific qualifications for particular assignment. Used by resource teams to nominate officers for assignment to Department of Defense and Joint Chiefs of Staff activities outside the Air Force including release of military personnel records and data to those agencies. To monitor those officers disqualified from Human and-or Personnel Reliability Programs (HRP-PRP) duties. It is also used to insure these individuals are not placed in HRP-PRP positions. Officer assignment block records are used by the interested office to tract individual assignment actions. The blocks are also used in identifying individuals with unique or special qualifications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Documentation records are destroyed after 12 months; or retained until officer leaves ASTRA program; or destroyed when superseded; or destroyed upon individual's completion of AFIT program or upon nonselection to AFIT whichever occurs first; or destroyed when officer is separated or retires; or destroyed 18 months after approval of CHAP request or 12 months after disapproval; or destroyed when officer completes Air Staff tour extension or after 12 months whichever is longer; or destroyed after completion of DDA; or destroyed 12 months after graduation from PME or Officer School Training; or destroyed when application for special duty is withdrawn; or destroyed after completion of UPT/UNT or when eligibility for training expires; or destroyed 3 months after graduation from Test Pilot School; or POW records will be retired to a permanent storage facility on 1 January 1977; or destroyed when Departmental or Joint activity tour is completed; or retained permanently if related to HRP/PRP disqualification but not after separation. Methods of destruction are burning,pulping,shredding, macerating, or tearing into small bits.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

APDS inquiries or action notices; Information generated by the Air Force multi-level offices of primary responsibility; Extracts or copies of military personnel records; Air Staff inputs.

Systems exempted from certain provisions of the act:

NONE

F03504 DPMYCOF

System name:

Incoming Clearance Record

System location:

At consolidated base personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Record is established for each active duty Air Force member projected for arrival at a new duty loc

Categories of records in the system:

Record contains computer print-out, orders, documents received by the processing unit prior to members arrival.

Authority for maintenance of the system:

Title 10, United States Code, Armed Forces - Chapter 803, Department of the Air Force, Section 8012, and Chapter 805, The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a central location for retaining documents received prior to a members physical arrival at joining installation of assignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Record system is retained until arrival of the member, in-processing has been completed, all documents/components are accounted for. The record is then destroyed by tearing into small bits,pulping,shredding,burning, or macerating.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

And individuals may deal directly with agency official at each respective location to

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

And individuals may deal directly with agency official at each respective location to

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Special Orders and information extracted from Advanced Personnel Data System (Automated Record System).

Systems exempted from certain provisions of the act:

NONE

F03504 OYUEBLA

System name:

Training status Code.

System location:

At Headquarters of Air Force Communications Service (DCS/personnel) Richards Gebaur AFB MO 64030.

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Categories of records in the system:

Contains career training data, name and social security account number (SSAN) of individuals selected for reassignment to Air Force Communications Service (AFCS) units overseas.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to monitor the training qualifications of individuals who are selected for reassignment overseas to determine if specialized training is required entoute or if individual is presently qualified for the assignment. Also used to indicate if a training quota has been received when specialized training is reauired.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Maintained on computer paper printouts.

Retrievability:

Retrievability based on presence of training status code or record status indicating individual selected for reassignment. Computerized.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Also destroyed by degaussing.

System manager(s) and address:

Technical Training Branch Directorate of Personnel Headquarters AFCS, Richards Gebaur. AFB, MO, 64030.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03504 OYUEBLB

System name:

03504 OYUEBLB Commander Identification.

System location:

At Headquarters Air Force Communications Service (DCS/p) Richards Gebaur AFB MO 64030.

Categories of individuals covered by the system:

Air Force active duty military personnel.

Categories of records in the system:

Individuals currently performing duty as a commander and personnel selected by area commanders as possible/potential commanders.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to monitor the assignment and replacement of unit Commanders in Air Force Communications Service (AFCS).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes and computer paper printouts.

Retrievability:

Retrievability based on presence of commander identification code. Computerized.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Also destroyed by degaussing.

System manager(s) and address:

Director of Assignments Directorate of Personnel Headquarters AFCS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03504 OYUEBLC

System name:

03504 OYUEBLC Air Traffic Control (ATC) Personnel Reporting.

System location:

Headquarters, Air Force Communications Service (AFCS), DCS/P, Richards-Gebaur AFB MO 64030. AFCS Sub-commands.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel in the Air Traffic Control career field.

Categories of records in the system:

Contains name, social security account number (SSAN), unit number, grade, Air Force specialty code (AFSC), available status, status date, date assigned, facility assigned, duty assignment within facility, current facility rating/position certification held, previous facility ratings held, and Terminal Instrument Procedures (TERPS) qualifications.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To effect close managerial control over assignment and utilization of personnel in the Air Traffic Control career field. To provide a real time personnel reporting system to insure continuity of operations. To provide a common data base for use in daily coordination between command and sub-command levels on manning related problems, thereby precluding the need for separate real time air traffic control manning reports at each sub-command. To provide a data base for establishing and analyzing manning trends in the Air Traffic Control officer and enlisted career fields. To provide a consolidated listing of statistical data, not available in a single reference. Used by Major Air Command and Sub-command (AFCS areas and independent groups.) Provides users with the capability for daily tracking of personnel resources. Provides users with real time information on a unit's usable (facility rated/position certified) controller strength by facility. Allows users to more accurately project usable controller strength for a facility by use of estimated facility rating/position certification and upgrade time. Provides information to users which cannot be extracted from other files to include: facility assigned, duty assignment, facility rating/position certification in training for, estimated completion date for facility rating/position certification training, Air Traffic Control school graduation date, estimated upgrade date, current facility rating/position certifications held, previous facility ratings held and Terminal Instrument Procedures (TERPS) qualifications. Allows users to more accurately verify manning assistance requests, emergency manning level and air traffic control service curtailment reports, manning waiver requests and special projects as required by Deputy Chief Staff Air Traffic Services. Allows users to establish and analyze trends in the Air Traffic Control officer and enlisted manning posture; e.g., average experience levels, time on station, and number of personnel in training by command, sub-command or unit as required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes, disks, and computer paper printouts.

Retrievability:

Social security account number (SSAN), or other identification number or system identifier.

Safeguards:

Records are accessed by persons responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets, rooms, or buildings.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, then destroyed by tearing into pieces, shredding, pulping, macerating, burning, or erasing in the case of magnetic media.

System manager(s) and address:

Deputy Chief Staff, Air Traffic Services, Headquarters, Air Force Communications Service and intermediate level. Air Traffic Control Operations Division at group and squadron level. Chief, Personnel Data Systems Division, Headquarters, Air Force Communications Service, Richards-Gebaur AFB MO 64030.

Notification procedure:

Request from individuals should be addressed to the system manager. Specific information required from requesting individuals to determine whether or not the system contains a record about them are Air Force Specialty Code (AFSC), social security account number (SSAN), unit number. Offices which the requester may visit to obtain information on whether or not the system contains records pertaining to him or her - Air Traffic Services, Air Traffic Control Operations Division, Personnel Data Systems Division, HQ Air Force Communications Service.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individuals and automated systems interface.

Systems exempted from certain provisions of the act:

NONE

F03504 XOXXE A

System name:

Air Force Advisory Personnel in Latin America

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

US Air Force personnel selected for assignment to military advisory organizations in Latin America

Categories of records in the system:

Career resumes, health certificates, language testing data, training schedules, nomination and acceptance documents

Authority for maintenance of the system:

10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel selection, training, nomination and assignment

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in safes.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by shredding or burning.

System manager(s) and address:

Deputy Chief of Staff/Plans and Operations, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03504 0IACYVA

System name:

03504 0IACYVA Data Change/Suspense Notification.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Correspondence and forms used to record discrepancies or changes.

Authority for maintenance of the system:

10 USC 275 personnel records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To resolve discrepencies detected during annual records review

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are protected by guards.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from source documents prepared on behalf of the Air Force Advance Personnel Data System or supplied by Reservist.

Systems exempted from certain provisions of the act:

NONE

F03504 0JMPLSB

System name:

Classification screening records.

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

3700 Personnel Processing Group, Lackland AFB, TX 78236.

At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. Air Training Command (RSSAR), Randolph AFB, TX 78148. Defense Information School, Fort Benjamin Harrison, IN 46216.

Categories of individuals covered by the system:

Classification interview of basic Airmen.

Categories of records in the system:

Classification worksheet.biographical questionnaire, letters

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Evaluation for classification into Air Force specialties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Destroyed after six months.

System manager(s) and address:

Commander 3700 Personnel Processing Group Lackland AFB (CDC) TX 78236.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Should contain name, social security account number, proof of same.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from educational institutions.
Information obtained from the bureau of motor vehicles.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03504 0JMPLSC

System name:

03504 0JMPLSC Assessments screening records.

System location:

3507 Airman Classification Squadron, Lackland AFB, TX 78236. Defense Investigative Service, Personnel Investigation Control Center, Post office box 1211, Baltimore, MD 21203.

Categories of individuals covered by the system:

Basic Airmen selected for assessment screening.

Categories of records in the system:

Biographical questionaire, reference letters, peer ratings.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Screening for assignment to sensitive high risk Air Force jobs Defense Investigative Service to enhance efficiency and reliability of personnel security investigations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN). Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms. Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, Records on airmen accepted for sensitive and/or high risk assignments are retained in office files for eighteen months, then destroyed. Records of non-selectees are retained in office files for one year, then destroyed. Destruction is by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Commander 3507 Airman Classification Squadron Lackland AFB TX 78236.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. and include name social security number proof of same.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial institutions, educational institutions, medical institutions, trade associations, police and investigating officers, a state or local government, peers, character references, and the individual member.

Systems exempted from certain provisions of the act:

NONE

F03504 0JMPLSD

System name:

Redline control report.

System location:

3700 Personnel Processing Group, Lackland AFB, TX 78236.

Categories of individuals covered by the system:

Basic Airmen delayed from departure.

Categories of records in the system:

Redline control report.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Control of personnel who are unable to depart on their scheduled departure date determine new departure date and issue the appropriate special order amendment or revocation schedule, cancellation of transportation if appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander 3700 PPGP (CCD) Lackland AFB TX 78236

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

And include name social security account number proof of same

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Processing group agencies squadron status clerks.

Systems exempted from certain provisions of the act:

NONE

F03504 0KPNQSB

System name:

Air University (AU) Advanced Degree Application.

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Dpr

Categories of individuals covered by the system:

Officers desiring advanced degree with subsequent assignment to AU.

Categories of records in the system:

Application which includeds Commanders recommendation, and college transcripts.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine suitability of applicant for advanced degree training and assignment to AU faculty/staff by AU assignment officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Assignments.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Name,SSAN. May visit office and provide military ID card

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Applicant

Systems exempted from certain provisions of the act:

NONE

F03504 0KPNQSC

System name:

Officer assignment files.

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Dpr

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Categories of records in the system:

Applications, letters. Memos, obtained from Officers volunteering for au duty. Also data obtained from HQ USAF pertaining to Officers nominated for assignment to AU.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine suitability for assignment to an AU unit by AU/DPR and unit officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name and social security account number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of assignments.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Name,SSAN, May visit office and provide military ID card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

AFMPC, unit official and individual.

Systems exempted from certain provisions of the act:

NONE

F03504 0SPCZPA

System name:

Bomber mobilization recovery roster.

System location:

Building 1213, 22 Organizational Maintenance Squadron, March Air Force Base CA 92508.

Categories of individuals covered by the system:

21 Pre-selected Air Force active duty enlisted personnel.

Categories of records in the system:

Records of individuals name, grade, and job specialty.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by squadron personnel to identify personnel qualified for recovery operations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, 22 Organizational Maintenance Squadron, March AFB, CA 92508.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Air Force personnel records.

Systems exempted from certain provisions of the act:

NONE

F03504 0TMUHJD

System name:

PCS funds control log.

System location:

Headquarters Tactical Air Command, Langley Air Force Base, Virginia 23665.

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Categories of records in the system:

Assignment action number and PCS fund code.

Authority for maintenance of the system:

10 USC 8074.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Keep track of PCS funds to preclude overexpenditure of allocate d quotas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are stored in security file containers/cabinets.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for one year, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assignments Control Division, Deputy Chief of Staff/Personnel, Headquarters Tactical Air Command, Langley Air Force Base, VA.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Assignment resource manager.

Systems exempted from certain provisions of the act:

NONE

F03504AAFSS S

System name:

Office Personnel Data Informational Files

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All military and civilian personnel currently and previously assigned to the Office of Assistant Secretary for Space Systems (SAFSS) field activities.

Categories of records in the system:

Notices of personnel actions; copies of assignment and travel orders; copies of security clearance information; applicable personnel data; names of family members; home addresses and phone numbers; biographical information.

Authority for maintenance of the system:

10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Daily, routine personnel management, internal information for managers, and historical documentation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on aperture cards.
Maintained on computer paper printouts.
Maintained in note books/binders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are stored in safes.
Records are stored in vaults.
Access is limited to the Under Secretary of the Air Force (space Systems) and Deputy Under Secretary of the Air Force (Space Systems) and office directors, supervisors, personnel managers and individuals with a bona fide right and need to know. The general exception is the office phone directory, copies of which are kept in the homes of assigned and attached personnel.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Executive, office of space systems, (SAFSS) Office of the Secretary of the Air Force, Washington DC 20330.

Notification procedure:

Send request or visit to the executive, SAFSS. Requestor should provide full name and SSAN.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Air Force personnel and records systems, and the individuals concerned.

Systems exempted from certain provisions of the act:

NONE

F03504B0SSGBPB

System name:

Palace Chase assignment applications.

System location:

Strategic Air Command (SAC) Director of Personnel Resources (DPR), Offutt AFB NE 68113.

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Categories of records in the system:

Copy of application for Palace Chase and Major Command reply to individuals Consolidated Base Personnel Office (CBPO).

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Users personnel assigned to HQ SAC (DPR) uses evaluate eligibility for Palace Chase and take appropriate action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Airman Support Assignments Branch, Deputy Chief of Staff/Personnel, HQ SAC/DPR, Offutt AFB NE 68113.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Provide full name and social security account number (SSAN) visiting personnel Provide proof of identity such as military identification card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F03504X0XOXASA

System name:

Officer Effectiveness Report Data Card

System location:

Headquarters United States Air Force (XOXAS) Washington, D.C. 20330

Categories of individuals covered by the system:

Officers assigned to the Directorate of Plans

Categories of records in the system:

Card contains data on each officer to include, name, office symbol, rank, date of rank, date of birth, base retirement date, total active Federal military service date; date assigned photo, previous dates assigned Pentagon, assignment preference, source of commission, aero rating, educational level, service schools attended, wife's name, children and date of birth, previous assignments during last 10 years

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personal data information furnished by the individual and used by the officer's rater, additional rater and reviewer in preparing the Officer Effectiveness Report.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in safes.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Personnel and Services, Directorate of Plans Headquarters, United States Air Force

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F03505 DPMAO A

System name:

Unfavorable Information Files (UIFs)

System location:

Complete UIF files are maintained at Consolidated Base Personnel Offices (CBPOs) only. However, UIF summary sheets, a part of the UIF, are also maintained at: individual's unit of assignment (commander's copy), geographically separated units not colocated with a servicing CBPO, and for officers only at the major command of assignment; and for colonels only an additional copy is maintained at Headquarters, United States Air Force Deputy Chief of Staff, Personnel, Special Actions Office, Colonels Group, Wash, D.C. 20330.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.

Categories of records in the system:

Derogatory correspondence determined as mandatory for file or as appropriate for file by an individual's commander. Examples include: Written admonitions or reprimands, drug abuse correspondence, court-martial orders, letters of indebtedness, control roster correspondence.

Authority for maintenance of the system:

Title 10, United States Code (USC) Armed Forces - Chapter 803 - Department of the Air Force, Section 8012; Chapter 805 - The Air Staff, Section 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reviewed by commanders and personnel officials to assure appropriate assignment, promotion and reenlistment considerations are made prior to effecting such actions. UIFs also provide information necessary to support administrative separation when further rehabilitation efforts would not be considered effective.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

UIFs are maintained for one year from the date of the most recent correspondence therein except when the file contains Article 15 or Court-Martial correspondence in which case the retention period is for two years from the date of that correspondence, unless a year retention period for non-related Article 15/court-martial correspondence would post-date the two year retention period for the Article 15/court-martial correspondence, in which case all correspondence would be maintained a year from the most recent non-related Article 15/court-martial correspondence. Files are automatically destroyed upon separation, reenlistment or retirement and on an individual basis when the individual's commander so determines. Destroy by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

Personnel for whom UIFs exist are routinely notified of the existence of a file. In all cases personnel are authorized to rebut the correspondence in the file.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

or by contacting agency officials at the respective servicing Consolidated Base Personnel Office.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Supervisory reports or censures and official reports of poor performance or conduct.

Systems exempted from certain provisions of the act:

NONE

F03505 DPMAO B

System name:

03505 DPMAO B Personnel Action File (Digest File)

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148 for active duty officers and Air Reserve Personnel Center, 7300 East First Ave. Denver CO 80280. for nonactive duty USAFR officers.

Categories of individuals covered by the system:

Air Force active duty officer personnel and nonactive duty USAFR officers.

Categories of records in the system:

Composed largely of sumaries/extracts or notices of the Air Force Office of Special Investigations (AFOSI) Reports of Investigation (ROIs). The system may also contain other official records or documents which reflect relevant derogatory information about officers, e.g., notice of involuntary separation proceedings, notice of Special Security File, reports of AWOL/Desertion status, administrative inquiries and investigations, Inspector General (IG) reports, and reports of violations of public trust in contract, procurement, and other matters. Additionally, a file will contain a statement regarding the subject matter from the officer if one is made, plus any comments and recommendations by the member's commander. Finally, a Digest File will contain copies of documentation used to notify the individual and the commander of the file and a record of the Officer Personnel Records Review Board (OPRRB) decision to retain the file. The system of records also includes letters of notification when digest files are destroyed.

Authority for maintenance of the system:

10 U.S.C. 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Digest Files are reviewed by career management officials and Central Selection Boards at AFMPC or ARPC, as appropriate, to insure the propriety of personnel decisions finalized at those levels regarding promotion, assignment, mobilization, recall to extended active duty, selection, utilization and separation. The purpose of such review is to insure that individual career management decisions enhance the quality of professionalism in the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are accessed by persons responsbile for servicing the record system and by other personnel whose names appear on an authorized access list indicating they have a need to know in the performance of their official duties. Records are stored in locked cabinets.

Retention and disposal:

Disposition is pending approval under 44 U.S.C. 3303(3).

System manager(s) and address:

Chief, Special Control and Records Review Group (AFMPC/DPMAO), Randolph AFB TX 78148 for active duty officers and Commander, Air Reserve Personnel Center (ARPC), 7300 East First Ave. Denver CO 80280 for non-active duty USAFR officers.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Written requests should contain the member's full name, rank, and SSN. Information may also be obtained by personal visit with the appropriate Systems Requests from individuals should be addressed to the Chief, Special Control and Records Review Group (AFMPC/DPMAO), Randolph AFB TX 78148 for active duty officers or the Documentation Management Officer (ARPC/DADP), 7300 East First Avenue, Denver CO 80280 for nonactive duty USAFR officers. Written request(s) for information should contain full name of individual, rank and SSN (Social Security Number). Nonactive duty USAFR officers should also include current address and the case (control) number shown on any correspondence received from the Center. Information may be obtained by active duty officers by personal visit with the System Manager upon verification of the identification data required for written requests. Nonactive duty USAFR officers may review records in Records Review Room (2-B18-2) ARPC, 7300 East First Avenue, Denver CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve ID cards and/or drivers license and present some verbal information that could verify their identity from their record.

Record access procedures:

Individuals can obtain access to their own Digest Files by following the procedures described above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Digest File information is obtained from AFOSI, Commanders, Consolidated Base Personnel Offices, FBI, MAJCOMs, HQ USAF/IG and from official records, reports or documents prepared on behalf of the Air Force by boards, committees, panels, and investigating officers.

Systems exempted from certain provisions of the act:

NONE

F03505 0IACYVA

System name:

03505 0IACYVA Unfavorable Information Files (UIFS) on Officers and Airmen.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Records of punishment under article 15, Uniform Code of Military Justice for written admonition or reprimand not pursuant to article 15 or sentences of court martial, results of court martials, convictions, letters of indebtedness, a reported failure to support dependents, civil and military law enforcement reports resulting in a finding of guilty, judicial or administrative, except for minor traffic violations.

Authority for maintenance of the system:

10 USC 262.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reviewed in connection with promotion consideration, selection for schools, assignment, and all personnel actions used by active duty personnel and AF civilian employees for all personnel actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in safes.

Retention and disposal:

Retained for 1 year after date of reprimand, or 1 year from date of unfavorable correspondence not related to administrative reprimands, or until member reenlists, separates, retires or dies, and then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, Co 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers, from a state or local government, from witnesses or from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. active duty consolidated base personnel offices.

Systems exempted from certain provisions of the act:

NONE

F03506 DPMAW A

System name:

Air Force Personnel Test 851, Test Answer Cards.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Air Force Military Personnel Center, Randolph Air Force Base, Texas.

Categories of individuals covered by the system:

Active duty airmen in grades E-4 through E-7. Air Force Reserve and Air National Guard airmen in grade E-7.

Categories of records in the system:

Item responses (answers) for Specialty Knowledge Tests (SKT), Promotion Fitness Examinations (PFE) and United States Air Force Supervisory Examinations (USAFSE).

Authority for maintenance of the system:

Title 10, United States Code (USC), Armed Forces - Chapter 803, Department of the Air Force, Section 8012; and Title 44 USC, Public Printing and Documents - Chapter 31, Records Management by Federal Agencies, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Air Force Military Personnel Center/Airman Promotion Division (AFMPC/DPMAW) to score tests. The percent correct score on the SKT and PFE are two of the six weighted factors of the Weighted Airman Promotion System (WAPS) used to advance airmen (E-4 to E-6) to the next higher enlisted grade. The percentile score on the USAFSE is used as an eligibility criterion for promotion to grade E-8 and award of the superintendent (9) Air Force Specialty Code (AFSC) skill level.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in vaults.

Retention and disposal:

Maintained for 12 months following completion of promotion cycle for which member was tested, then destroyed by burning or shredding.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03506 DPMYA

System name:

03506 DPMYA Military Service Inventory Research Program.

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Certain applicants for enlistment into each service.

Categories of records in the system:

Background interest tests results, group data analysis

Authority for maintenance of the system:

Title 10, US Code, Sections 505, 508, 510, and 3012; and for disclosure of your social security number Presidential Executive Order 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in research analysis to further refine enlistment standards for the Armed Forces. Specific use: Used in a research manner to evaluate interest variables on enlistee performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on magnetic tapes. Maintained on disks.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of record system.

Retention and disposal:

Retained on computer magnetic tape until superseded, obsolete, no longer needed for reference, or on inactivation, then purged and destroyed by degaussing.

System manager(s) and address:

Asst for Personnel Plans, Programs and Analysis at Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F03506 0KPNQSA

System name:

Air Force Reserve Officer Training Corps Qualifying Test Scoring System

System location:

AFROTC/ACME, Maxwell Air Force Base, AL 36112, and portion pertaining to each AFROTC detachment located at the respective detachment. Official mailing addresses of the detachments are in the Department of Defense Directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Air Forces applicants testing at Air Forces detachments.

Categories of records in the system:

Name, detachment, date of test, test scores, social security number, air science year, number of test administrations, institution category.

Authority for maintenance of the system:

Title 10 USC Chapter 103; Military Selective Service Act of 1967, Section 6, (50 USC 456); and 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Scores are used agaist criteria for entrance into AFROTC, and as a measure of quality. Scores are entered in cadet records.

Policies and practices for storing, retrieving, accessing, retaihing, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
,location of test administration, date of testing.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.
buildings are secured after duty hours.

Retention and disposal:

AFROTC/ACME will maintain records of scores attained on tests administered at AFROTC detachments for a period of five years. Then destroyed by tearing into pieces, maceration or burning or degaussing. Air Force Human Resources Laboratory, Lackland Air Force Base, TX 78236 is official repository for permanent record of all AFOQT scores.

System manager(s) and address:

Chief, Analysis and Evaluation Division, AFROTC/ACM, Maxwell. Air Force Base, AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
requests should include full name, SSAN, location of test administration, and date of testing.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's knowledge of subject being tested.

Systems exempted from certain provisions of the act:

NONE

F03507 DPMAJDA

System name:

Flying Status Branch File

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active and Inactive Officers and Airmen.

Categories of records in the system:

Air Force members: Rated officers removed from or returned to flyg status in Officers granted United States Air Force (USAF) aeronautical rating as a result of aeronautical rating boards Nonrated members, officer and enlisted, who request action or CONSIDERATION FOR FLYING STATUS.

Authority for maintenance of the system:

Title 10, United States Code , Section 8691.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Response to inquiry by an individual or an intermediary; such AS legal counsel through judicial action or the Secretary of the Air Force/Board for Correction of Military Records (SAF/BCMR), Member of Congress, a high ranking official such as the Secretary of the Air Force , Chief of Staff, United States Air Force , Air Force Deputy Chief of Staff Personnel for Personnel , Air Force Assistant Deputy Chief of Staff for Personnel for Military Personnel ; wherein a rated officer is returned to or removed from flying status, the record is reviewed within Officer Career Management Division, Air Force Military Personnel Center for assignment determination action. RECORDS are not provided to agencies outside the Air Force, 'routine use.'

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.
and each card indicates the nature of the action and includes a cross reference showing the subject file containing the record of correspondence. The card file is a 'finder' index used to facilitate/expedite location of records pertaining to an individual and as source of statistical data.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Correspondence generated at base level, Major Air Command or Air Staff Level.

Systems exempted from certain provisions of the act:

NONE

F03507 SGPA A

System name:

Application for Advanced Aeronautical Rating File (Senior and Chief Flight Surgeon)

System location:

The Aerospace Medicine Division, Headquarters US Air Force (AF/SGPA) Washington D.C. 20330

Categories of individuals covered by the system:

Air Force Flight Surgeons applying for Senior/Chief Flight Surgeon Rating.

Categories of records in the system:

Files contain individual application, summary of contributions to the Aerospace Medicine Program, date of previous ratings, number of flying hours, and written professional examination (multiple choice type) if applicant is not a graduate of the Residency in Aerospace Medicine.

Authority for maintenance of the system:

Title 10, USC, Sections 8012, 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to determine the individual professional qualification for award of Senior/Chief Flight Surgeon rating. Category of user is the Chief, Flight Medicine and Chief, Aerospace Medicine Division, Office of the Surgeon General. Specific uses are transmittal of application data by the individual and AF/SGPA through appropriate command channels; evaluate and make appropriate recommendations concerning award of the advanced ratings; authority for publication of Aeronautical Orders by appropriate orders issuing authority.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are protected by guards.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Required information is full name, rank, Social Security Account Number (SSAN). Requester may visit Aerospace Medicine Division, Office of the Surgeon General, Heaquarters US Air Force, Washington, DC 20330 Proof of identity is by military ID card and personal recognition due to small number of officers involved.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03507 0IACYVA

System name:

03507 0IACYVA Flying Status Actions

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

correspondence and related documents pertaining to request for suspension, nonrated officer utilization, aeronautical rating data documents that pertain to aeronautical ratings or suspensions and request for update of the uniform officer record and applications for other flying status/actions.

Authority for maintenance of the system:

10 USC 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

to maintain tracking of each action taken until computer action is complete, reservist is informed and file copy is in master personnel record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are protected by guards. Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

information from source documents prepared on behalf of the Air Force advanced personnel data system or supplied by reservist.

Systems exempted from certain provisions of the act:

NONE

F03507 0J DP A

System name:

flying evaluation board(feb) file

System location:

Headquarters air training command(atc) Deputy Chief of St.ff for personnel(dcs/p) Randolph afb, tx 78148

Categories of individuals covered by the system:

Atc active duty Officers who meet a feb

Categories of records in the system:

Individual records containing feb related documentation

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dcs/p uses files for approval/disapproval or recommendation

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

St.red in locked building

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Dcs/p ATC Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels and auditors.

Systems exempted from certain provisions of the act:

NONE

F03508 DPMAJAA

System name:

Officer Promotion and Appointment

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel. Officers selected for temporary or permanent promotion or appointment; officers projected as eligible for promotion or appointment consideration; civilian applicants for direct appointment in the Regular Air Force or Air Force Reserve.

Categories of records in the system:

This system of records is comprised of the following categories of information or subsystems: 1. Officer Selection Brief File. This file contains information extracted from the mechan- ized USAF Master Personnel File to include basic personnel, flying, and education data for each officer to be considered for promotion or Regular Air Force appointment by a selection board. The preselection brief is provided to each eligible officer in advance of presenta- tion to the selection board. An updated selection brief is produced about 30 days prior to board convening for actual board use. Copies of preselection briefs and selection briefs are retained on microfilm. Additionally, a record copy of documentation accepted for manual posting of updates/corrections to the officer selection brief processed for board consider- ation is retained. 2. Officer Promotions and Appointments Administrative Files. At the Air Force Military Personnel Center (AFMPC), this file includes copies of staff advisories provided to Secretary of the Air Force Board for Correction of Military Records containing promotion and appointment related information in response to specific points in an appli- cation. At AFMPC, this file includes background information and proposed responses to Congressional and high-level inquiries in the officer promotions and appointments area. This file further includes, at all levels, information and background relative to any propriety of promotion or appointment action (not qualified recommendation, withholding action, delaying action, etc.) processed. This file further includes listings of officers eligible for pro- motion or appointment consideration. 3. Regular Officer History Card File. This file contains a history card on each active duty Regular Air Force Officer and contains Name, Social Security Account Number (SSAN) Promotion List Service Date (10 United States Code (USC) 8287), Adjusted Promotion List Service Date (PLSD) (10 USC 8303 or any other provision if applicable), Source of Commission, Date of Regular Air Force Acceptance, Date of Birth, Promotion Category (Line, Medical Corps, etc.) (10 USC 8296), Base Retirement Date (10 USC 8927), permanent grade history, temporary grade history to include dates of rank, effective dates and special orders announcing the promotion, Total Active Federal Commissioned Service Date, date officer was placed on or recalled from the Temporary Disability Retired List (if applicable), Regular Air Force Lineal Position Number, Presidential Nomination Date, Total Active Federal Service as of date of Presidential nomination, any commissioned service held prior to Regular Air Force appointment (if applicable), former service numbers if member of other than the Air Force, Public Law under which officer was appointed in the Air Force, Remarks (Secretary of the Air Force Board for the Correction of Military Records correction to records, any adjustments to officer's record and reasons therefor). 4. Air Force Confirmed Nomination Lists. This file includes all Senate confirmed nomination lists for officer appointments and promotions through the grade of colonel. This file contains the only existing official signed document reflecting Senate confirmation. 5. Regular Air Force Officer Promotion List. The Regular Officer Promotion List (Lineal List) is a computer-generated product maintained at AFMPC displaying the names of all Regular Air Force officers in lineal order (descending) by promotion category by permanent grade. 6. Temporary Promotion Sequence File. This file includes a listing and work cards for any officer selected for temporary promotion, sequenced by seniority in grade (rank). 7. Reserve Promotion Administrative File. This file contains machine listings and names of officers meeting eligibility criteria for Reserve (permanent) promotion by promotion category, listings of names indicating overdue directed Officer Effectiveness Reports (OERs) and first-time deferred officers and digest files as applicable, board recorders roster, board proceedings listed by name and SSAN, selected/not selected and published list of those selected/not selected for permanent (Reserve) promotion. 8. Regular Air Force Appointment Management File. This file includes individual locator cards reflecting a Regular officer selectee's progress from selection by a board of officers to either acceptance or declination; Regular Air Force declination statements; Regular Appointment Board work rosters. 9. Reserve of the Air Force (USAFR/ANGUS) Appoint- ment Management File. This file contains information concerning civilian and military person- nel applying for or requesting appointment to commissioned officer grades in the Reserve of the Air Force (USAFR/ANGUS) as follows: (a) Individuals applying for appointment in the ANGUS component, (b) Resigned Regular Air Force officers applying within one year from date of separation, (c) Individuals applying for appointment and active duty as Chaplains or Judge Advocates, (d) Reappointment of Reserve officers upon removal from the Temporary Disability Retired List after being found fit for duty, (e) Appointment or reappointment of individuals for assignment to the Retired Reserve (further limited to individuals serving on active duty with USAF), and (f) Reserve officers of other services on active duty applying for inter- service transfer. This file includes individual case cards reflecting a person's progress from offer of appointment to either acceptance or declination, a Resigned Regular Officer Work File, an Appointment Logbook, and a file relating to precedent, unusual, or unique cases.

Authority for maintenance of the system:

Title 44 USC, Public Printing and Documents, Chapter 31, Records Management by Federal Agencies, section 3101. Title 10, United States Code, Armed Forces, Chapters 35 and 837, Appointments as Reserve Officers. Title 10, United States Code, Armed Forces, Chapter 835, Appointments in the Regular Air Force, section 8281. Title 10, United States Code, Armed Forces, Chapter 839, Temporary Appointments, section 8442. Title 37, United States Code, Chapter 3, Basic Pay and Allowances of the Uniformed Services. Title 10, United States Code, Armed Forces, Chapter 79, Correction of Military Records. Title 10, United States Code, Armed Forces, Chapter 835, Appointments in the Regular Air Force, sections 8296 and 8297.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Air Force operates basically a central selection process for temporary promotion, of officers to grades 03 - 06, permanent promotion of Regular officers to grades 03 - 06 and all Regular Air Force appointments. As part of the temporary promotion program, major commanders are tasked to conduct secondary zone screening boards to nominate a given number of officers from their command for central consideration. Selection briefs are retained as a historical record of data presented to an officer selection board and, as such are used to validate completeness, accuracy, or omission of data reviewed by boards. Administrative files are used for research, precedence, and reference purposes. Promotion/appointment propriety files are used to monitor completeness, legality, and processing timeliness of the actions. Generally, this records system contains necessary information necessary to manage a diverse promotion and appointment program in a centralized environment. Board results to include names of selectees and statistical analysis of those results are made a matter of public record after appropriate approval of board proceedings. Results of the board are updated to the individual subject record in the Advanced Personnel Data System (APDS) after public release of the board proceedings. A computer tape used to produce the officer selection briefs is provided to a commercial contract source (ZYTRON) for production of duplicate copies of these selection briefs on microfiche by the computer-on-to-microfiche (COM) process. The names and social security account number (SSAN) of officers selected by central selection board for permanent promotion, temporary promotion to grades above captain, and Regular Air Force Appointment as well as officers to receive appointments in the Air Force requiring confirmation of such appointments by the Senate of the United States, are provided to the Office of the President of the United States for nomination and to the United States Senate for confirmation. This information will be published in the Congressional Record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets. Maintained in card files. Maintained on computer paper printouts. Maintained on microfiche.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Filed by other identification number or system identifier. The primary individual record identifier is name. Some files have other major sort sequences, such as, board of consideration, zone of consideration (primary or secondary zone), and promotion category.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. Records are stored in locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

V 44 DE 17 79 UMI

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

All data contained on the Officer Selection and Preselection Briefs and various selection board computer products is directly extracted from the Headquarters Air Force Master Person- nel File. Selection brief documentation backup files in the form of official correspondence, letters, or messages, properly authenticated by an appropriate personnel official, is gener- ated, normally at the officer's request from the servicing Consolidated Base Personnel Office (CBPO). Information is obtained from HQ USAF and major command officer selection folders from Special Orders, oath of office signed by data subject, memorandums from the Secretary of the Air Force Board for Correction of Military Records, selection board reports. Data is obtained from appointment applications from data subject and from the Master Record Group of the applicable Service Department as conçerns data subject.

Systems exempted from certain provisions of the act:

NONE

F03508 DPMAJBA

System name:

Recorder's Roster

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At Washington National Records Center, Washington DC 20409.

Categories of individuals covered by the system:

Records are maintained on all Air Force officers and E-7's and E-8's who are eligible for promotion consideration and officers considered for Regular Air Force appointment and Reserve Officers considered for involuntary separation, and any other special board directed by the Secretary of the Air Force or the Chief of Staff.

Categories of records in the system:

Alpha sequence listing containing record number, name, Social Security Account Number, date of roster, and program control number. Current grade, promotion category, select/non-select, effective date listing prepared, FOR OFFICIAL USE ONLY statement, major command computer inquiry number, name and year of board and page number.

Authority for maintenance of the system:

The records are maintained to support selection boards convened under the authority of Sections 8297, 8285, 8442, Title 10 United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used to determine whether individuals were considered by the convening board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Records are accessed by identification of board of consideration and then alphabetically by last name of subject by promotion category.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

The records are retained in the Selection Board Secretariat for four calendar years and then retired to the National Archives, Washington, D.C.

System manager(s) and address:

Assistant Deputy Chief of Staff, Personnel for Military Personnel, Randolph Air Force Base, Texas 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Request must include name, grade, Social Security Account Number, board identification, promotion category, and zone of consideration as applicable.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

The information in these records is extracted from the Selection Board Support File, and from data compiled from individual board member inputs.

Systems exempted from certain provisions of the act:

NONE

F03508 DPMAW M

System name:

Historical Airman Promotion Master Test File (MTF)

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active duty airmen in grades E-4 through E-7. Air Force Reserve and Air National Guard airmen in grade E-7.

Categories of records in the system:

Contains historical Specialty Knowledge Test (SKT), Promotion Fitness Examination (PFE) and United States Air Force Supervisory Examination (USAFSE) data which is no longer maintained within the personnel data systems. Includes member identification, test identification, date tested, score and item responses.

Authority for maintenance of the system:

Title 10, United States Code (USC), Section 8012; and Title 44 USC, Section 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Air Force Military Personnel Center/Airman Promotion Division (AFMPC/DPMAW) to research and/or correct promotion status for previous cycles. Data used to resolve inquiries, provide supplemental consideration, prepare Air Staff advisories to the Air Force Board for Correction of Military Records, and manage the Airman Promotion Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are stored in vaults.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Maintained for 10 years computed from the date of the original selection process, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F03508 01ACYVA

System name:

03508 01ACYVA Officer promotions.

System location:

At Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, Colorado 80280.

Categories of individuals covered by the system:

Air Force active duty officer personnel. Air Force Reserve personnel. Air National Guard personnel.

Categories of records in the system:

Proceedings, findings and related documents such as rosters, board membership and board support and orders announcing promotion.

Authority for maintenance of the system:

Title 10 United States Code 8362, 8366, 8367, 8371, Commissioned Officer selection board procedures.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by promotion division personnel in preparation for promotion boards and by the actual promotion board when convened.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, note books/binders.

Retrievability:

Filed by Name, Social Security Number (SSN), other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system, person(s) responsible for servicing the record system in performance of their official duties, and by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, are protected by guards, or are controlled by personnel screening.

Retention and disposal:

Retained in office files for two years after annual cut-off, then retired to Washington National Records Center, Washington DC 20409, for permanent retention.

System manager(s) and address:

Commander, Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, Colorado 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03508 01ACYVB

System name:

03508 01ACYVB Air Force Reserve Airman Demotions

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

documents and rosters relating to a weighted airman selection system and case files for reserve Airmen who were demoted.

Authority for maintenance of the system:

10 USC 275 personnel records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Monitor and process promotion actions by office personnel, and for research of related documents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/ note books/binders.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, protected by guards and controlled by personnel screening.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From master personnel records and computer products, automated system interfaces and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F03508DPMAW

System name:

Airman Promotion Historical Records

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Active duty airmen in grades E-4 through E-8 at time of promotion consideration.

Categories of records in the system:

Microfiche files reflecting individual historical promotion data (up to 1,200 characters) for a specific cycle which is no longer maintained within the automated personnel data system. Contains member identi-

fication, promotion eligibility status, select/nonselect status, and critical personnel data. Microfiche files for members in grades E-4 through E-6 contain relative standing and weighted factor scores. For members in grades E-7 and E-8, board scores and relative standing are not included. Contains worksheets used to manually compute individual promotion status (select/nonselect) for the Weighted Airman Promotion System for those members not considered during the computerized selection process; master listings for each specified promotion cycle reflecting all members in the applicable grade and their specific status: select, nonselect, nonweighable, or ineligible; and listing of promotion sequence numbers assigned to all selectees for a specific cycle.

Authority for maintenance of the system:

Title 10, United States Code (USC) 8012; 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Air Force Military Personnel Center/Airman Promotion Division (AFMPC/DPMAW) as the master record of promotion status for a specified cycle. Used to respond to inquiries (including congressional inquiries), for Air Staff advisories to the Air Force Board for Correction of Military Records, to manage the Airman Promotion Program, to recreate promotion status, and to provide statistical data for official use. Used to provide supplemental promotion consideration and to research and/or correct promotion status for a previous cycle. Data may be provided to Department of Defense components and are routinely provided to Air Staff agencies, Major Air Commands and consolidated base personnel offices (CBPO) for official use.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets. Maintained on computer paper printouts. Maintained on microfiche.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Accessed manually by cycle.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or secured building.

Retention and disposal:

Maintained for 10 years, computed from the date of the original selection process. Manual computation worksheets are maintained for one year and then select/nonselect data are listed on a roster which is maintained for an additional nine years. After the specified retention period, the records are destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. The request should specify the applicable promotion cycle(s).

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data purged from the active interim eligible file (promotion file) which is a subsystem of the advanced personnel data system.

Systems exempted from certain provisions of the act:

NONE

F03509 0IACYVA

System name:

03509 0IACYVA Requests for Discharge From the Air Force Reserve.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Applications and other documents related to discharge or separation by reason of dependency or hardship or for the convenience of the government.

Authority for maintenance of the system:

10 USC 1074 Personnel Records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain tracking of each action taken until computer action is complete, reservist is informed and file copy is in Master Personnel Record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are protected by guards and stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from source documents prepared on behalf of the advanced personnel data system or supplied by reservist.

Systems exempted from certain provisions of the act:

NONE

F03509 0IACYVB

System name:

03509 0IACYVB Administrative Discharge for Cause on Reserve Personnel

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Board proceedings, board waiver, recommendations, and other records which result in discharge.

Authority for maintenance of the system:

10 USC 1162.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To effect the administrative separation of officer members of the United States Air Force Reserve (USAFR) from their appointment as reserve Officers and to effect the administrative separation of enlisted members of the USAFR. From their enlistment as reserve members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in safes.

Retention and disposal:

Retained in office files until discharged then forwarded for inclusion in the Individual's military personnel record in the National Personnel Record Center 9700 Page Blvd St Louis, MO 63132 for permanent storage.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions, police and investigating officers and from witensses.

Systems exempted from certain provisions of the act:

NONE

F03509A0SSGBPA

System name:

Administrative Discharge File

System location:

HQ Strategic Air Command (DPAAB) Offutt Air Force Base NE 68113 Chief Quality Control Branch

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Officers in SAC who had AFR separation action initiated against them and all airmen assigned to Offutt Air Force Base that require the approval of the GCM authority.

Categories of records in the system:

Administrative Separation Case Files.

Authority for maintenance of the system:

Title 44 US Code section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Users commanders and staff exercising decision authority provided in processing and determination of administration discharge cases and HQ SAC/DPAAB personnel uses for administration discharge processing.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Locked cabinets

Retrievability:

Filed by Name.
Type of action

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief quality control branch, DCS/Personnel, HQ SAC/DPAAB Offutt Air Force Base NE 68113

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Name and SSAN visiting personnel show proof of ID such as military ID card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
HQ SAC/DPAAB phone 294-5589.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F04001 DPCX A

System name:

Non-Appropriated Fund (NAF) Civilian Personnel Records

System location:

At civilian civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
and AFMPC/DPMS Randolph AFB TX

Categories of individuals covered by the system:

Air Force Civilian employees paid from nonappropriated funds

Categories of records in the system:

Life cycle personnel actions and related documents related to employment and pay of NAF employees including documents related to employees benefits

Authority for maintenance of the system:

Title 44 USC Section 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To document and record personnel action on individual employees and to determine pay and other benefit entitlements

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retired to National Personnel Records Center upon separation of individual from employment

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Civilian Personnel Office identifying information is required to satisfy custodian of record

Record access procedures:

Civilian Personnel Office maintaining record

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from police and investigating officers.

Personnel documents requesting and appointing and paying individual documents related to designation of benefits and beneficiaries

Systems exempted from certain provisions of the act:

NONE

F04001 06SCEYA

System name:

Merit Promotion File

System location:

Managed at HQ Air Force Audit Agency, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency civilian employees

Categories of records in the system:

Correspondence and records incidental to the application and qualification for promotion and duty assignments. The types of records include, but are not limited to, Supervisory Appraisals, Training Information, Qualifications Profile Records, Personal Qualification Statements, Records of Placement Applications and Disposition, Assignment and Reassignment Records (Orders, Mobility Certificates, Shipments of Household Goods, Overseas Assignments), Position Descriptions, and Records of Personnel Actions.

Authority for maintenance of the system:

Title 5, US Code 3301 -3326

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by users in determining eligibility and relative competitive standing for promotion competition or other placement. Provides users with personnel data for management purposes, including location, changes of station, mobility, pay information, previous assignments, education and self-development, supervisory performance appraisals, results of competition for promotion or other placement action, descriptions of duties, and recognitions achieved. Users - The Command Section, AFAA, and the Directorate of Resources Management Staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB, CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

And the Director of Resources Management, HQ Air Force Audit Agency (AFAA/RM), Norton AFB CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from automated system interfaces.
Information obtained from police and investigating officers.
Information obtained from a state or local government.
Information obtained from an international organization.
Information obtained from a corporation.
Information obtained from witnesses.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

, individual's input, and documents generated internally within the AFAA.

Systems exempted from certain provisions of the act:

NONE

F04001 1PTAYZC

System name:

Civilian Pay-Personnel-Manpower (Paperman) - E205

System location:

1143rd ABSQ/DPC Washington, DC 20330

Categories of individuals covered by the system:

Pending, current, and former Air Force appropriated fund civilian employees assigned to HQ USAF civilian certain personnel of Air Force intelligence service, HQ COMD USAF, Air Force Communications Service, National Guard Bureau, US Air Force Military Personnel Center and Air Force Data Automation Agency in the Washington, DC area

Categories of records in the system:

Employment information including position authorization position, personnel date, suspense information, position control information, projected information and historical information.

Authority for maintenance of the system:

Title 5 USC Sections 3301 - 3326

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide system support to HQ US Air Force and other serviced activities in that part of Civil Service Commission and Air Force requirements to maintain a personnel management and records keeping system that pertains to evaluation, authorization and position control, Position management, staffing skills inventory, career management, training, retirement, Employee Services, rights and benefits and the suspensing and processing of personnel actions; to provide individual records and reports to HQ, US Air Force and the Civil Service Commission; to provide information required by the Civil Service Commission for the transfer between USAF and other federal activities; to provide reports of military reserve status to other Armed Services for contingency planning; to provide information releaseable under Civil Service Commission rules The Freedom of Information Act to the public; to provide records to law enforcement or investigative authorities for investigation and possible criminal prosecution, civil court action, or regulatory order; and to provide information to employee unions as prescribed by negotiated contract.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Normally data are retrieved by use of nonpersonal information such as organizational unit, type Of employment, occupation, functional area or other workforce characteristics, or name, social security account number and ,

Filed by other identification number or system identifier. .

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by computer system software.

Retention and disposal:

Coding Forms, punch cards, on-line terminal message sheets and system quality control products are destroyed after use by tearing into pieces, shredding, pulping, macerating or burning; master personnel records for pending employees are transferred to the active file upon appointment of the employee; master personnel records for active employees are transferred to the separated employee history file where they are retained for two years subsequent to separation and then destroyed by degaussing. The notification of personnel action standard 50form is disposed of as directed by the Civil Service Commission. Work files and records such as the employee career brief, position survey worksheet, retention register, alphabetical and social security account number locator files, and personnel and position control register are destroyed after use by tearing into pieces, shredding, pulping, macerating, or burning. Worksheets pertaining to qualifications and retention registers are disposed of as directed by the CSC. Transitory files such as the pending file and recovery files are destroyed after use by degaussing. Files and records retrieved through general retrieval systems are destroyed after by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Civilian Personnel Officer 1143rd ABSq, Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information received from the employee and the Civil Service Commission's Official Personnel Folder

Systems exempted from certain provisions of the act:

NONE

F04002 DPCMS A

System name:

Civilian Personnel Applicant Supply Files

System location:

At servicing civilian personnel offices at activities and installations, and Directorates of Civilian Personnal at Headquarters, United States Air Force, Major Commands, Separate Operating Agencies and independent offices.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Applicants for employment consideration

Categories of records in the system:

Experience and training qualifications record of applicants

Authority for maintenance of the system:

Chapter 33 Title 5 USC

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify and refer qualified applicants to management officials to staff vacant positions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer paper printouts.

Retrievability:

Skill level and
Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Retention and disposal:

If employed, records are placed in Official Personnel Folder. If not employed, retained until no longer needed, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Civilian personnel offices maintaining individuals application

Record access procedures:

Civilian personnel maintaining applications and

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F04002 DPCMS B

System name:

Civilian Personnel Test Score Record

System location:

At civilian civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Test or examination scores

Authority for maintenance of the system:

Title 5 USC Sections 3301/3326

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office Personnel and Management Personnel to determine qualification for appointment or promotion

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.
Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Notification procedure:

Civilian Personnel Officer at employing activity maintaining individuals record.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

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Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F04002 DPCMS C

System name:

Job Element Questionnaires for Civilian Trades and Labor occupations

System location:

At civilian civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force civilian employees.
Former Air Force civilian employees.

Categories of records in the system:

Questionnaires prepared by civilian employees to reflect skills and knowledges for wage grade positions

Authority for maintenance of the system:

Title 5 USC Sections 3301/3326 Sections 3301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inspection and verification of personnel actions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Civilian Personnel Office at Air Force base maintaining record

Record access procedures:

Civilian Personnel Office at Air Force base.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F04002 DPCMS D

System name:

Civilian Personnel Occupational and suitability employment examinations

System location:

At civilian civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Employment applications and
Air Force civilian employees.

Categories of records in the system:

Replies to occupational and suitability inquiries, testing and examination material

Authority for maintenance of the system:

Title 5 USC Section 3301/3326

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To verify and determine qualifications and suitability for appointment and promotion to Civil Service positions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Civilian Personnel Offices filling vacant positions from applicants and promotion candidates

Record access procedures:

Civilian Personnel Offices
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from educational institutions.
Information obtained from automated system interfaces.
Information obtained from police and investigating officers.
Information obtained from a state or local government.
Information obtained from a corporation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F04002 OBXQPCB

System name:

Temporary Quarters Subsistence Expense

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Record of temporary quarters subsistence expense

Authority for maintenance of the system:

10USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain record of temporary subsistence expenses

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director Civilian Personnel

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From employee's travel information

Systems exempted from certain provisions of the act:

NONE

F04002 0MUHHZA

System name:

Air Reserve Technician (ART) officer selection folders

System location:

Headquarters Air Force Reserve/DPC Robins Air Force Base GA 31098

Categories of individuals covered by the system:

All civilian employees who apply and are eligible for promotion to art officer positions

Categories of records in the system:

Qualification statement, training and testing record, appraisal and ranking records.

Authority for maintenance of the system:

Title 10, USC Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To evaluate & rank individuals for merit promotion to art officer level positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel Headquarters Air Force Reserve.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from official personnel folders, supervisory appraisals, tests, evaluations.

Systems exempted from certain provisions of the act:

NONE

F04002 0MUHHZB

System name:

Air Reserve Technician Data System

System location:

Headquarters, Air Force Reserves/DPC, Robins Air Force Base, GA 31098, and selected data at Air Force Reserve Units.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Reserve Technicians.

Categories of records in the system:

Standard data contained in the military and civilian personnel files, such as name, grade, date of birth, educational level, date of rank, and other applicable personal information.

Authority for maintenance of the system:

5 U.S.C. 301 and 10 U.S.C. 8012(d)(3).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides a consolidated data base for the Air Reserve Technician System. The command civilian and Reserve officer and airman personnel files are extracted to produce the data base. The command is provided with the capability of extracting timely and accurate Air Reserve Technician reports on a monthly or as required basis. In addition, the maintenance of this data base on computer tape provides the headquarters with the capability of rapid response for one-time special report requests. The entire data base is available for report production if the output is desired. In the interest of conserving both processing time and paper resources, a limited data base of information may be selected to produce reports for only specific units on an individual's social security account number.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are controlled by personnel screening.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Computer tapes are erased on a monthly basis.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters, Air Force Reserves, Robins AFB, GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from civilian and military personnel records and other source documents originated by or on behalf of the Air Force

Systems exempted from certain provisions of the act:

NONE

F04003 DPCMT A

System name:

Training and Employee Development Record Systems.

System location:

At consolidated civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force civilian employees, full-time and part-time, U.S. citizens and foreign national direct hires receiving training supported by the

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Federal Government, paid from appropriated funds. Military personnel may be included in the automated training information system, and non-appropriated funded personnel may be included in some of the installation manual records.

Categories of records in the system:

Employees identification, social security number, occupational status (series, grade level, and supervisory status), course identification, course length, category and purpose of training received, date on which training was completed, associated costs, pre-post test results, et al. Input documents for the systems include, but are not limited to completed automated forms, training reports, authorization and record, keypunched cards. The manual files are maintained in paper folders containing employee's registration and/or record of training documents. Under the Apprentice on-the-job Training Program, and similar trainee intake program manual and automated records are maintained, reflecting information pertaining to subject employee's identification, date of birth, entrance date to program, dates and nature of personnel actions which occurred during fiscal year, student progress, and statistical data which effects the numbers of apprentices in training as of a given date. Nomination forms and documents (non-automated) for centrally-administered education and training programs are maintained. The manual files contain the candidate's nomination documents, training request, enrollment and registration and other documents related to training. Manual files are maintained at Headquarter's levels and Air Force installations regarding courses conducted on their premises, or for which they sponsor, listing such things as completion dates, and course participants. Additionally, manual files are typically found at the field activities containing information regarding an employee's supervisory status, an indication as to whether or not he/she has participated in supervisory training. Files are often maintained regarding an employee's certification/recertification or demonstrated proficiency in one or more skills areas; an activity-wide annual training plan should also be maintained, as well as individual training plans. Files are also maintained regarding professional licenses held by installation personnel.

Authority for maintenance of the system:

5 USC 4103, 4118, 4115.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees in the performance of their official duties related to the management of the civilian employee training programs, the design, development, maintenance and operation of the manual and automated system of record keeping and reporting; the screening and selection of candidates for centrally administered programs; and administration of grievance, appeals, complaints, and litigation involving the disclosure of records of the training programs. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of civilian training programs, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to civilian training programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other Departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for programs sponsored by their organization. Representatives of the United States Department of Labor on matters relating to the inspection, survey, audit or evaluation of the Defense Components Apprentice training programs or on other such matters under the jurisdiction of the Labor Department. Representatives of the Veterans Administration on matters relating to the inspection, survey, audit or evaluation of the Defense Components apprentice and on-the-job training programs. The Computer Systems Group Contractor (or other such contractor) and its employees for the purpose of card punch recording of data from employee training documents. A duly appointed Hearing Examiner or Arbitrator (an employee of another Federal Agency) for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the training programs. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the Defense Component's Training and Employee Development Record system. The Senate or the House of Representatives of the United States or any Committee or sub-committee thereof, any joint committee of Congress or sub-committee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Defense Department's civilian training program. Representatives of Education Institutions which have been awarded contracts to conduct training for Defense Components create and maintain individual training records of those who attend.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

For the apprentice programs the computer magnetic tapes are permanent. Manual records are maintained on a fiscal year basis and are retained for varying periods from 1 to 5 fiscal years. For the centrally-administered programs, files on selected candidates are maintained for five years (from date selection process is completed). Records of non-selected candidates are retained only for that period of time sufficient to permit appropriate review (usually less than 60 days). Some installation records are maintained for varying periods. Destroyed by tearing into pieces, shredding, pulping, macerating or burining.

System manager(s) and address:

Director of Civilian personnel or comparable official of the Civilian Personnel Office servicing Air Force Activity/Installation.

Notification procedure:

Request by correspondence should be addressed to Offices of Civilian Personnel, headquarters or field activities employing civilians. The letter should contain the full name and social security number of the requester and his signature. Proof of identification will consist of a building pass, or identification badge, or driver's license, or by other types of identification bearing an employee picture and signature.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Employee's official personnel record folder, supervisory appraisals and evaluations, training records.

Systems exempted from certain provisions of the act:

NONE

F04003 06SCEYB

System name:

Long-Term Full-Time Training File

System location:

Managed at HQ Air Force Audit Agency (AFAA/CC), Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency civilian employees

Categories of records in the system:

Types of records included but not limited to correspondence and application documents requesting, approving, disapproving, recommending, and coordinating the assignment of personnel to the Long-Term, Full-Time Training Program. Quarterly evaluations of the program from participants, individual training plans, and college transcripts.

Authority for maintenance of the system:

Title 10, US Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides basis for determining those selected for the Long-Term, Full-Time Training Program; record of individuals who applied for the program and those selected, used to evaluate quality of applicants, progress of participants, and history of the training. Information is disclosed to the Civil Service Commission through the Department of the Air Force Civilian Personnel Management Information System. Users - Command Section, AFAA, Directorate of Resources Management staff, and Executive Development Council.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on disks or drums.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB, CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

And the Director of Resources Management (AFAA/RM), Norton AFB, CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

And information provided by the individual.

Systems exempted from certain provisions of the act:

NONE

F04004 DPCE B

System name:

04004 DPCE B Civilian Personnel Performance Awards and Outstanding Performance Ratings

System location:

Directorate of Civilian Personnel Headquarters United States Air Force, Washington, DC 20314 Headquarters, of the United States Air Force, major commands and major subordinate commands. Headquarters of the major commands and separate operating agencies. Headquarters of major commands and at all levels down to and including Air Force installations. Air National Guard activities.

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Files include recommendations for outstanding performance ratings and rating forms. Also include recommendations for cash or honorary performance awards; nominations for awards sponsored by non-Federal organizations; records of Award Committee Actions and correspondence; annual reports

Authority for maintenance of the system:

5 USC 4301 through 4308 cover performance ratings. 5 USC 4501 through 4506 cover performance awards.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are originated when a manager or supervisor recommends an outstanding performance rating or a cash or honorary performance award in recognition of superior achievement. Case files are reviewed by local award program manager in Civilian Personnel Office and are referred to the Local Incentive Awards Committee for review. If the Committee approves, the case is recommended to the approval authority who authorizes granting the award. Individual name files are retained for one year after close of year in which final action was taken. Records of Committee actions are retained for three years. Copy of approved award is filed in employee's official personnel file

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force. and Executive Secretary Air Force Incentive Awards Board Directorate of Civilian Personnel, Headquarters US Air Force. Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources of information for awards are supervisors' records of performance, and employees' official personnel folders from which Social Security number, job title, and grade are obtained

Systems exempted from certain provisions of the act:

NONE

F04004 DPCE C

System name:

Labor Management Relations Records Systems

System location:

At Headquarters United States Air Force, Wash, DC, 20330

At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At consolidated civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Civilian Employees paid from appropriated and non-appropriated funds, who are involved in a grievance which has been referred to an arbitrator for resolution; civilian employees involved in the filing of an Unfair Labor Practice complaint which has been referred to the Assistant Secretary of Labor-Management Relations; union officials; union stewards; and representatives.

Categories of records in the system:

Records comprise: Manual files, maintained in paper folders, manually filed by type of case and case number (not individual). Folder contains all information pertaining to a specific arbitration case or specific Unfair Labor Practice with whom Department of Defense has dealings; field activities maintain manual roster of local union officials and union stewards.

Authority for maintenance of the system:

Executive Order 11491, as amended 'Labor-Management Relations in the Federal Service.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of Air Force in the performance of their official duties related to the Labor-Management Relations Program, e.g.; Administration/implementation of arbitration awards, interpretation of the Executive Order through 3rd party case decisions; National Consultation and other dealing with the recognized unions. Representatives of the U.S. Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Civilian Personnel Management Programs. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Labor Management Relations Program. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the administration of the Labor-Management Relations Program. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Manual records are retrieved by case subject, case number, and/or individual employee names.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Case files are permanently maintained. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Request by correspondence should be addressed to: Civilian personnel office of the Air Force Activity/Installation. The letter should contain the full name, social security number, and signature of the requester. The individual may visit the activity at which he or she is employed.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Servicing civilian personnel offices, arbitrator's offices, office of the assistant Secretary of Labor for Labor Management Relations, and Unions headquarters' offices.

Systems exempted from certain provisions of the act:

NONE

F04004 DPCMS A

System name:

Employee Assistance Program Case Record Systems.

System location:

At consolidated civilian personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Supervisors and other Air Force installations offices.

Categories of individuals covered by the system:

All civilian employees in appropriated and non-appropriated fund activities who are referred by management for, or voluntarily request, counselling assistance.

Categories of records in the system:

Systems are comprised of case records on employees which are maintained by counselors, supervisors, civilian personnel offices and Social Action offices and consist of information on condition, current status, and progress of employees or dependents who have alcohol, drug, emotional, or other job performance problems.

Authority for maintenance of the system:

Drug Abuse Office and Treatment Act of 1972, as amended by Public Law 93-282 (21 U.S.C. 1175); Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended by Public Law 93-282 (42 U.S.C. 4582); Subchapter A oF Chapter I, Title 42, Code of Federal Regulations; Chapter 43 of Title 5, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the counselor in the execution of his/her counselling function as it applies to the individual employee. With specific written authority of the employee, selected information may be provided to and used by other counselors or medical personnel, research personnel, employers, representatives such as legal counsel, and to other agencies or individuals when disclosure is to the employee's benefit, such as for processing retirement applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Records are purged of identifying information within five years after termination of counselling or destroyed when they are no longer useful. Destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff, Personnel, Headquarters United States Air Force or comparable official of the Civilian Personnel Office servicing the Air Force Activity/Installation.

Notification procedure:

Request by correspondence should be addressed to servicing civilian personnel office or to the appropriate Employee Assistance Program administrator at the activity. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to: Same address as stated in the notification section above.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Counselors, other officials, individuals or practitioners, and other agencies both in and outside of Government.

Systems exempted from certain provisions of the act:

NONE

F04008 AA A

System name:

Civilain Personnel Files

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Current and former civilains, statutories, consultants, and Summer Hires employed in the Office of the Secretary of the Air Force only.

Categories of records in the system:

Employment applications and records; award recommendations; Personnel actions; Posiion descriptions, training; Process sheets

Authority for maintenance of the system:

5 USC 301 'Departmental Regulations'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information and services to employees and offices within the Office of the Secretary of the Air Force

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Access controlled by Assistant Manager and to Restricted authorized personnel

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Administrative Assistant to The Secretary of the Air Force

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Air Force Civilian Personnel Offices
Information obtained from financial institutions.

Systems exempted from certain provisions of the act:

NONE

F04008 DPCE A

System name:

Supervisor's Record of Civilian Employee

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Files include a record for each civilian employee assigned to the supervisor; debt letters; letters of caution, warning, admonishment, reprimand, and similar disciplinary papers; employee career appraisal prepared for employees in Civilian Career Program

Authority for maintenance of the system:

Title 5 US Code Section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Originated by supervisor

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.
DPCER CPO

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from employee, personnel office, and supervisor

Systems exempted from certain provisions of the act:

NONE

F04501 ARPC A

System name:

04501 ARPC A Air Force Reserve Application.

System location:

At Air Reserve Personnel Center, 7300 East First Avenue, Denver CO 80280.

Categories of individuals covered by the system:

Air Force active duty personnel, civilian employees and former employees, Air Force Reserve and Air National Guard personnel, dependents of military personnel.

Categories of records in the system:

Copies of application for appointment as reserve of the Air Force and comparable forms, correspondence, and related papers. Applications for extended active duty (EAD) including correspondence and related papers.

Authority for maintenance of the system:

10 USC 275 Personnel Records, 10 USC 672 Reserve Components General, 10 USC 8358 Commissioned Officers original appointment; service credit, 10 USC 8359 Commission Officers original appointment; determination of grade.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine if individual qualifies for appointment or commissioning in the Reserve of the Air Force or voluntary entry on EAD and qualifications, if any, for an Air Force Speciality Code (AFSC). Medical applications are forwarded for approval to AFMPC/SG, Randolph AFB, TX 78148.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files and file folders.

Retrievability:

Filed by Social Security Number (SSN), by name, or case control number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Destroy one year after approval or one year after individual declines appointment. Applications for EAD are destroyed after one year or when superseded, obsolete and no longer needed for reference or inactivation whichever is sooner. Documents destroyed by tearing, shredding, macerating, or pulping.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Request from individual should be addressed to the Documentation Management Officer ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written request for information should contain full name of individual, Social Security Number (SSN), current address and the case control number shown on any correspondence received from center. Records may be reviewed in records review room ARPC, 7300 East First Avenue, Denver, CO 80280, between 8:00 A.M. and 3:00 P.M. on normal work days. For personal visits, the individual should provide current Reserve ID Card and/or drivers license and give some verbal information that could verify his/her identification, such as is on an application for a reserve appointment or EAD.

Record access procedures:

Individual can obtain assistance in gaining access from Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280, telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individual applying for appointment in the reserve, applications for extended active duty, and statement of military served Navy or Marine Corps.

Systems exempted from certain provisions of the act:

NONE

F04501 DPMMP A

System name:

Educational Delay Board Findings

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Air Force Reserve Officers' Training Corps (AFROTC) Cadets and/or AFROTC graduates (officers)

Categories of records in the system:

Applications for delay in entering extended active duty status to pursue advanced degrees.

Authority for maintenance of the system:

Title 10 United States Code Armed Forces, Chapter 31, Enlistments, Section 508; Title 44 United States Code Public Printing and Documents, Chapter 31, Records Management by Federal Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Informs applicants of results thru Board action on their request for delay

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

6 months for disapproved applications; destroyed on completion of delay for approved applications

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Member's application

Systems exempted from certain provisions of the act:

NONE

F04501 OI A

System name:

04501 OI A Air National Guard Information Personnel Background File

System location:

Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Room 5C960, The Pentagon, Washington DC 20330.

Categories of individuals covered by the system:

Individuals serving as Information Officers assigned to Air National Guard units.

Categories of records in the system:

Questionnaires including official and home addresses and telephone numbers; specific professional skills; availability for short-notice assignments to active duty.

Authority for maintenance of the system:

44 USC 3101 and 3012, Establishment of a program of management.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the National Guard Liaison Officer as a ready reference to identify individuals for short-notice, specific active duty assignments; used as a reference by authorized personnel for coordination of Air National Guard-related information activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force (SAF/OI)

Notification procedure:

Requests from individuals should be addressed to the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Room 5C960, Washington DC 20330. Telephone: (202) OX-73470. In written requests the individual should provide full name, current grade, and unit and location of assignment. On personal visits to the record location the individual should have in possession a current identification card, DD Form 2AF(RES).

Record access procedures:

Individuals can obtain assistance from the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), at the address given.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the public media.

Systems exempted from certain provisions of the act:

NONE

F04501 0IACYVA

System name:

04501 0IACYVA Air Force Reserve Applications

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force active duty enlisted and Air Force Reserve personnel.

Categories of records in the system:

Copies of applications for appointment as Reserves of the Air Force and related papers correspondence and forms.

Authority for maintenance of the system:

10 USC 8358 and 8359.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine if an individual is qualified for appointment in the Reserve of the Air Force and to determine in what Air Force Specialty Code the individual qualifies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) and Case control number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know.

Retention and disposal:

Destroy 1 year after approval or 1year after individual declines appointment by tearing, burning, shredding, macerating or pulping.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individual applying for appointment in the reserve,statement of military service from Army, Navy or Marine Corps.

Systems exempted from certain provisions of the act:

NONE

F04501 0IACYVC

System name:

04501 0IACYVC Professional Officer Course(POC) and Financial Assistance Program Cadets

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Copies of transmittal letters for disenrolled Air Force Reserve Officer Training Corps (AFROTC) cadets to be discharged.

Authority for maintenance of the system:

10 USC 2104 and 2107.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine if AFROTC cadets were identified for discharge due to disenrollment and the date identified. also to provide historical data on number discharged.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in security file containers/cabinets. Records are protected by guards.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual reservists, from educational institutions and from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F04501 0KPNQSA

System name:

04501 0KPNQSA Cadet records.

System location:

AFROTC/SDA, Maxwell AFB, AL. 36112 and AFROTC detachments. Official mailing addresses of the detachments are in the Department of Defense directory in the appendix to the Air Force:s system notice.

Categories of individuals covered by the system:

AFROTC cadets applying for/enrolled or previously enrolled (within the past three years) in the professional Officers course or the general military course, if the latter participation was in a scholarship status.

Categories of records in the system:

Applications for enrollment in the Air Force reserve Officer corps (AFROTC) courses, applications for the AFROTC scholarship program, substantiation documents of qualification for the courses or programs, acceptances of applications, awards of scholarships, documents attesting to medical, academic, moral and civic qualifications, documents recording progress in flying instruction, academic curriculum and leadership training, counseling summaries, records of disenrollment from other Officer candidate training; records of separation or discharge from Officer candidate training; records of separation or discharge of prior servicemen; financial record data, certification of degree requirements; documents tendering and accepting commissions, documents verifying national agency checks or background investigations, documents required or proffered during investications for disenrollment, legal opinions, letters of recommendations, corroboration by civil authorities, awards, citations; and allied papers.

Authority for maintenance of the system:

Title io U.S.C., chapter 103; military selective service act of 1967,section 6 (50 U.S.C. App 456); 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information collected is for the purpose of recruiting and qualifying a candidate for acdeptance as an AFROTC cadet, continuing the cadet in the program and awarding an Air Force commission. Each detachment, located at its host institution, is the routine user for the members in its particular program. AFROTC, Maxwell AFB, AL, is a user by exception, that is, data is requested from the routine user if there is an aberration in the qualification of an individual for acceptance, continuation or graduation from the ROTC program. AfROTC execises waiver authority that enables deserving individuals to remain in the program on a conditional basis if they perform below standards. AFROTC also requests data for disenrollments, changes in categories and graduation dates. Additionally, AFROTC requests data from the routine user for congressional inquiries, special projects, awards, honors and inter-service ROTC transfers. Air University (AU), as a Major Command, supervises execution of laws, plans and policies relating to AFROTC, as such, AU requires information in exercising its Command and Control function, i.e., Major Command inspections, waiver authority, and data reporting to superior agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The life-cycle of the records begins with the application and testing of the candidate. Documents establishing qualification and satisfaction of criteria along with contracts and allied documents establish the cadet record. Progress documents, counseling sheets and performance records are maintained until graduation and commissioning. Finally, the records are destroyed one year after commissioning. An exception to the one year retention is the record of a disenrolee, one who does not complete the program nor receive a commission. Under these circumstances, the cadet record is maintained for three years. Further disposal of records is by burning, pulping or tearing into pieces.

Retrievability:

Records are retrieved by name, social security number and detachment number as paper records in file folders.

Safeguards:

Safeguards are storage in file cabinets that are accessible to the detachment staff and the individual concerned. AFROTC employs a locked rotary diebold power file and file cabinets accessible to the staff.

Retention and disposal:

Records are destroyed by standard means one year after a cadet is commissioned. Disenrolled cadets: records are retained for three years and then destroyed by tearing into pieces, mascerating, or burning.

System manager(s) and address:

Director of senior program, Air Force Reserve Officer Training corps Maxwell AFB, AL 36112; and detachment Commander of the appropriate AFROTC detachment.

Notification procedure:

Requests from individuals should be addressed to the detachment Commanders of their particular AFROTC detachment indicating their name and social security number. However, if their request for information involves an investigation for disenrollment, the addressee is AFROTC/SDA, Maxwell AFB, AL 36112, both addresses may be visited by the requester.

Record access procedures:

Requests from individuals should be addressed to the detachment Commanders of their particualr AFROTC detachment,indicating their name and social security number. However, if their request for information involves an investigation for disenrollment, the addressee is AFROTC/SDA, Maxwell AFB, AL 36112, both addresses may be visited by the requester.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources of records in the system are educational institutions, secondary and higher learning; government agencies; civilian authorities; financial institutions; previous employers; individual recommendations, interviewing Officers; and civilian medical authorities.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a(k). For additional information, contact the Systems Manager.

F04501 0KPNQSB

System name:

04501 0KPNQSB Air Force ROTC Field Training Administration System.

System location:

At Air Force installations hosting field training and AFROTC detachments. Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

AFROTC cadets.

Categories of records in the system:

Student assignment/orders, in-processing checklist, counseling record, drill evaluation, weekly quarters inspection discrepancy report, observation worksheet, student performance report.

Authority for maintenance of the system:

Pl 88-647 amending title 10, USC.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in management of field training. Following field training, information is used to determine recommendation for further AFROTC training and qualification for commissioning.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Building locked after duty hours.

Retention and disposal:

At installations hosting field training destroy upon completion of encampment, at AFROTC detachments, place in student's records file. Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of senior program, AFROTC/SD, Maxwell AFB, AL 36112

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Indicate name. Social security number and AFROTC detachment

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Field training staff, academic and training Officer reports

Systems exempted from certain provisions of the act:

NONE

F04501 0KPNQSC

System name:

AFROTC field training assigment system.

System location:

AFROTC/SDT

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Categories of individuals covered by the system:

AFROTC cadets and active duty military personnel assigned to AFROTC.

Categories of records in the system:

Personnel assignment request, availability, and actual assignments.

Authority for maintenance of the system:

Pl 88-647 amending title id, US Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

System is used to assign staff and students to field training locations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of senior program, AFROTC, Maxwell AFB al 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Individuals must provide name, SSAN, and unit of assignment.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

AFROTC detachment personnel.

Systems exempted from certain provisions of the act:

NONE

F04501 0KPNQSD

System name:

Flight instruction program (FIP).

System location:

AFROTC/SDA

At Headquarters Air University, Maxwell Air Force Base, AL 36112. and at AFROTC detachments, official mailing addreddes of the detachments are in the Department of Defense directory in the appendix to the Air Forces system notice.

Categories of individuals covered by the system:

AFROTC cadets enrolled in FIP and contractors.

Categories of records in the system:

Student eligibility record, grade sheets and performance record , conunseling and interview record, training certificates, waiver and elimination actions.

Authority for maintenance of the system:

Pl 88-647 amending title 101 US Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in monitoring cadets progress in FIP and to determine cadets qualifications for further Air Force pilot training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of senior program, AFROTC, Maxwell AFB AL 36112.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Requests should include name, SSAN, detachment number of requestor.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources of records in the system are the flight instructors, detachment FIP project Officers, and FAA flight examiners.

Systems exempted from certain provisions of the act:

NONE

F04501X0IACYVA

System name:

04501X0IACYVA Air Force Service Data of Employees and Relatives.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve and Air National Guard personnel.

Categories of records in the system:

Personal data of active duty military personnel and civilian employees or a relative of either who are assigned to the Air Reserve Personnel Center, Members of the Air Force Reserve or Air National Guard.

Authority for maintenance of the system:

10 USC 275.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to identify a master personnel record and place it in a more secure file which has a limited access. when completed, the form is maintained and used by the records maintenance division (DPFR) Air Reserve Personnel Center.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or

driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individual, member or relative.

Systems exempted from certain provisions of the act:

NONE

F04501X0IACYVD

System name:

04501X0IACYVD Air Force Reserve Officer Training Corps (AFROTC) Contract Violators.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Cards reflecting incoming referrals annotated with name, Social Security Number (SSN), address and resume of actions taken.

Authority for maintenance of the system:

10 USC 2107 financial assistance program

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control and account for AFROTC contract violator cases. Used by military personnel technicians for central accounting of AFROTC contract violator.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Commandant AFROTC, Maxwell AFB Alabama 36112.

Systems exempted from certain provisions of the act:

NONE

F04501X0IACYVE

System name:

04501X0IACYVE Involuntary Recall.

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Documents consist of listings of incoming referrals with name, Social Security Number (SSN), line number and resume of actions taken.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To control and account for involuntary recall of nonparticipating Airmen. Used for control by military personnel technicians.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by name, Social Security Number (SSN) and line number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC) 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from the National Guard Bureau, Wash, DC, 20310. Headquarters Air Force Reserve/DPAA Robins AFB Georgia 31098. ARPC/DPRM, 7300 Easst First Avenue, Denver, CO 80280.

Systems exempted from certain provisions of the act:

NONE

F04501X0MUHHZA

System name:

Reserve medical service corps Officer appointments.

System location:

Headquarters Air Force Reserve (AFRES) Robins Air Force Base, AFB, GA 31098.

Categories of individuals covered by the system:

Air Force reserve medical service corps Officer applicants

Categories of records in the system:

Status and actions taken during the processing of applications for appointment.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides a ready reference and status of all applications and the actions accomplished during the processing of each.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by commanders of medical centers and hospitals.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Command surgeon Headquarters Air Force Reserve, Robins AFB, GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F04502 0IACYVA

System name:

04502 0IACYVA Inactive Duty Training, Extension Course Institute (ECI) Training

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

authorization for inactive duty training,authorization for individual inactive duty training (for nonpay status only;for pay status authorization).certificate of completion issued on completion of volume of a course.

Categories of records in the system:

Point credit source documents maintained on active air force reserve member.

Authority for maintenance of the system:

10 USC 1331, 1332 and 1333.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The record shows the completion of each volume of a correspondence course by a reservist and shows training performed for either paid or nonpaid status.record is used by military personnel clerks to audit a reservist point credit account.it is used as a cross check to insure accuracy of the reservists yearly point credit account as it pertains to his pay account.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name and Social Security Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards.

Retention and disposal:

Inactive duty training documents are destroyed after 5 years. ECI certificates(duplicates) are destroyed six months after reservist receives his copy.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC) , 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CoO between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

information from individual reservist, Air National Guard and Air Force Reserve unit.

Systems exempted from certain provisions of the act:

NONE

F05001 AFA A

System name:

05001 AFA A Faculty Academic Records.

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

AF Academy cadets and graduates.

Categories of records in the system:

(1) Cadet information card. (2) Listings of all cadet academic schedules including final examination schedules; rosters of cadets, by course, taking final examinations; extra instruction or hospital instruction schedules; rosters of cadets requesting permission to enroll in independent study, or authorized to drop or add course; listings of course rosters prepared for current semester indicating individual's enrollment by course section; reports of reasons for cadet absences or lateness for academic causes; listings of cadets improperly registered in classes. (3) Themes, research papers, graded recitations, grade reviews, other graded work, laboratory reports, case studies, final and midterm examinations, turnout examinations, validation examinations, and graded reviews of courses in which no final examination is given. (4) Copies of academic schedules and grades; interview forms; requests for academic waivers; documentation of academic difficulty; plans outlining courses that must be taken in order to graduate. (5) Graduate record examination scores, orders of merit scores, cumulative GPA scores, panel commentaries and transcripts. (6) Various cadet grade reports, cards and sheets utilized in auditing and distributing academic grades.

Authority for maintenance of the system:

10 USC Chapter 903, United States Air Force Academy. Routine uses of records maintained in the system, including

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Individual cards on cadets listing name, date of birth, SSN, Admission examination scores, course grades and instructor evaluations concerning aptitude, attitude, and performance are used by

faculty departments to evaluate potential cadets for commissioned service and to evaluate potential cadets as future instructors. (2) Provides both cadets and instructors of schedules of classes and classrooms and an explanation for any deviation from these schedules and is used by the cadets and Dean of the Faculty staff to provide locator and scheduling information and to provide course offering information, change current and future semester course enrollments, reschedule cadets and establish criteria for resectioning cadets in their courses during the academic year. (3) Utilized in assigning grade scores by Faculty department, to monitor progress of cadets throughout the academic year and to determine grades. (4) Used for counseling cadets on academic performance by the counselors and advisors. Assists the cadet in planning an academic program that will satisfy graduation requirements. (5) Used in the applications of graduates competing for the various fellowships and other post graduate scholarships by Graduate Scholarship Committee. (6) Used in auditing and distributing academic grades by Dean of Faculty staff and is complied to determine a letter grade for each student in each course.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files, on computer magnetic tapes and printouts, and in file folders/notebooks/binders/ visible files.

Retrievability:

Filed by name, military service number, date of birth, or other identification number of system identifier such as cadet number.

Safeguards:

Records are accessed by authorized person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked safes, file containers, cabinets or rooms.

Retention and disposal:

(1) Retained at USAF Academy, CO 80840 in the department(s). Destroyed by tearing into pieces, shredding, pulping, macerating, or burning after purpose has been served for five years after graduation. (2) Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating or burning. (3) Retain for no more than 90 days after end of the semester in which administered the discretion of the course director, return to the cadet for retention as reference and study materials. (4) Same as (2) above. (5) Transferred to USAF Staging Area, USAF Academy, CO 80840, 15 years after graduation, then destroyed by tearing into pieces after 10 additional years. (6) Cadet Grade Report, one copy placed in course book as history of course, all other copies destroyed after one year by tearing into pieces. Grade Card used as input to computer and destroyed at the end of each semester by tearing into pieces. Permanent Record Card is the permanent record of each cadet's grades. It is retained in Cadet Records Section, USAF Academy, CO 80840.

System manager(s) and address:

Dean of Faculty, United States Air Force Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager

Record source categories:

Information obtained from source documents such as reports prepared on behalf of the AF by boards, committees, panels, auditors and so forth. Information obtained from educational institutions, individual, Department Heads, automated system interfaces and from course requisites.

Systems exempted from certain provisions of the act:

NONE

F05001 AFSS A

System name:

05001 AFSS A Training Summaries.

System location:

United States Air Force School of Applied Cryptologic Sciences (USAFSACS) to Goodfellow Air Force Base TX, 76903.

Categories of individuals covered by the system:

Air Force, Navy and Marine Corps active duty military personnel.

Categories of records in the system:

IBM cards containing names, course, entering date, grades.

Authority for maintenance of the system:

10 U.S.C. 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Security Service training groups Divisions and Security Service personnel to identify and schedule students on a weekly basis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer and computer products.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and controlled by computer system software.

Retention and disposal:

retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

United States Air Force School of Applied Cryptologic Science, Goodfellow Air Force Base, TX 76901.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individuals can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F05001 SAFOI B

System name:

Information Officer Short Course Eligibility File

System location:

Academic Detachment, Secretary of the Air Force Office of Information (SAF/OIOL), 780 Van Vleet Oval, Room 334, Norman, OK 73069.

Categories of individuals covered by the system:

Active duty Air Force Information Officers in the grades of 2nd Lieutenant through Colonel.

Categories of records in the system:

Brief service history (including current grade and duty location), educational background, and information on previous attendance at the Air Force Short Course in Communication.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Information Career Management Staff Officer, Air Force Military Personnel Center (AFMPC/DPMROS4D), Randolph AFB TX 78148, and by the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Washington DC 20330, to determine eligibility of Information Officers to attend future classes in the Air Force Short Course in Communication.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force (SAF/OI)

Notification procedure:

Requests from individuals should be addressed to the Academic Detachment Liaison Non-Commissioned Officer (SAF/OIOL), 780 Van Vleet Oval, Room 334, University of Oklahoma, Norman, OK 73069. Telephone: (405) 325-1804.

Record access procedures:

Individuals can obtain assistance from the Academic Detachment Liaison Non-Commissioned Officer or from the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information, addresses as given.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data extracted from surveys of all Information Officers provided by Major Air Commands and Separate Operating Agencies on all assigned Information Officers. Updated annually.

Systems exempted from certain provisions of the act:

NONE

F05001 0BXQPBB

System name:

05001 0BXQPBB USAF Academy Cadet/Nominee/Applicants Athletic Records

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy cadets. Air Force Academy nominees/applicants.

Categories of records in the system:

Records cover athletic participation by cadets, nominees, and applicants, contest results, news articles and athletic background information. Include Roster S: of squadron teams, cadet participation in high school, intercollegiate sports, athletic questionnaire, physical educa- tion grades, test scores, participation absentee and injury records, congressional correspond- ence between candidate and congressman, regarding Academy appointment (used by athletic personnel only).

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to verify participation in intercollegiate athletics determine athletic background of candidates and encourage completion or appointment to academy record cadet participation in intramurals, monitor cadets' physical education progress, determine grades, as basis for intramural awards, background for biographies and hometown news releases, track intramural injuries and absentees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders. Maintained on computer magnetic tapes. Maintained in file folders. Maintained in card files. Maintained as photographs.

Retrievability:

Filed by Name. Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in security file containers/cabinets. Records are stored in locked cabinets or rooms.

Retention and disposal:

All records, with the exception of physical education grades and test scores, are retained in office until superseded, obsolete, no longer needed for reference, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Grades and test scores are microfilmed and retained as a permanent record. The original card is retired to the USAF Academy Staging area and destroyed after two years.

System manager(s) and address:

Director of Athletics, USAF Academy, Co. 80804.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Chief of Intramural Division, individuals team coaches, individual instructors, cadet squadron athletic officer, educational institutions, public media, individual candidates, instructor grading worksheet, officer in charge of individual sport, individual athlete or registrar's office.

Systems exempted from certain provisions of the act:

NONE

F05001 0IACYVA

System name:

05001 0IACYVA Professional Military Education (PME).

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

Records concerning school (pme) quotas, school selection boards results selecting a reservist to attend a pme course

Authority for maintenance of the system:

10 USC 262.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to monitor, manage and comply with the requirements to fulfill the quotas allocated to reservist by the office of primary responsibility at ARPC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/ note books/binders.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, protected by guards, and controlled by personnel screening.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO between 8:00 am

and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, CO 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from master personnel record and individuals application.

Systems exempted from certain provisions of the act:

NONE

F05001 0J DP A

System name:

Faculty board ledger.

System location:

Headquarters Air training Command (ATC) Deputy Chief of Staff for Personnel (DCSP), Randolph AFB, TX 78148.

Categories of individuals covered by the system:

All Officers who meet a faculty board for elimination from undergraduate navigator or pilot training programs.

Categories of records in the system:

Composite listing containing board documentation

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses ledger to monitor case timeliness.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Stored in locked building.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Headquarters Air Training Command, Deputy Chief of Staff Personnel Randolph Air Force Base Texas, 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05001 0MUHHZA

System name:

Undergraduate pilot and navigator training.

System location:

Air Force Reserve (AFRES) Robins Air Force Base GA 31098.

Categories of individuals covered by the system:

Personnel selected for Officer Training School, undergraduate pilot training, initial navigator training.

Categories of records in the system:

Data contained in standard AF military personnel file.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide class number reporting date class starting date graduation date and unit of assignment upon completion of training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff Personnel HQ AFRES Robins AFB GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05001 0MUHHZB

System name:

Air Force Reserve Medical School tour allocations.

System location:

HQ AFRES Robins AFB GA 31098.

Categories of individuals covered by the system:

Air Force Reserve Officer and enlisted medical personnel.

Categories of records in the system:

Actions and quota allotment for medical personnel requesting attendence at a military service school.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides ready reference of the actions and allotment of school tour quotas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are controlled by personnel screening.

Retention and disposal:

Retained in office one year after end of year in which quota is filled then destroyed by shredding, burning, pulping, macerating or tearing into pieces.

System manager(s) and address:

Command Surgeon HQ AFRES Robins AFB GA 31098.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05001 0QKRSMA

System name:

Training Instructors (Academic Instructor Improvement/Evaluation)

System location:

Chief, Academic Training Branch, 1550 Technical Training Squadron Hill Air Force Base UT 84406.

Categories of individuals covered by the system:

Academic instructors.

Categories of records in the system:

Forms for evaluating instructor performance in the classroom.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Basic for instructor improvement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Academic Training Branch, 1550 Technical Training Squadron, Hill Air Force Base UT 84406

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Supervisors.

Systems exempted from certain provisions of the act:

NONE

F05001 0SGHLNE

System name:

Combat intelligence crew training record.

System location:

319 Ballistic Missile Wing/DOIC Grand Forks AFB ND 58201.

Categories of individuals covered by the system:

All Air Force active duty military personnel on operation crews.

Categories of records in the system:

Record training of crew members.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide a training record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Intelligence Division, Grand Forks AFB ND 58201.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and individual's performance during training.

Systems exempted from certain provisions of the act:

NONE

F05001 0SGHLNG

System name:

Officers Electronic Warfare Officer (EWO) training record.

System location:

321 Strategic Missile Wing/DOXT Grand Forks AFB ND 58201.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
In EWO training.

Categories of records in the system:

Used to record EWO training.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide a consolidated record of EWO training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

EWO training Officer, Grand Forks AFB ND 58201.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and individual's performance during training.

Systems exempted from certain provisions of the act:

NONE

F05001 0SGHLNH

System name:

Missile procedures training (MPT) accomplishment.

System location:

321Strategic Missile Wing/Director of Operations and Training, Grand Forks ND 58201.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

On operations crews.

Categories of records in the system:

Student, crew number, training partner, date, type training, discrepancies noted.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record missile procedures trainer rides, critiquing students, provides for review by interested students.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Senior Wing missile crew instructor.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and individual's performance during training.

Systems exempted from certain provisions of the act:

NONE

F05001 0SSZDTA

System name:

Nursing skill inventory.

System location:

Nursing office SGHN

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All nursing personnel on Base.

Categories of records in the system:

List of skill proficiency each individual nurse has attained.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Furnishing on the job training instructor skill level progress of each nurse.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05001 06SCEYA

System name:

Advanced Degree File

System location:

Managed at HQ Air Force Audit Agency (AFAA/CC), Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency active duty officer and enlisted personnel and civilian employees

Categories of records in the system:

Listings of personnel, by grade, and highest educational level attained

Authority for maintenance of the system:

Title 10, US Code 8014a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides a reference of the educational background of all assigned Air Force Audit Agency auditor personnel holding graduate degrees. Used to evaluate whether further training is needed by specific employees in specific academic areas and assignment to jobs requiring advanced degrees. Users - Directorates of Operations and Resources Management Staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB, CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

And the Director of Resources Management (AFAA/RM), Norton AFB, CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

And information provided by the individual.

Systems exempted from certain provisions of the act:

NONE

F05001 06SCEYB

System name:

Air Force Audit Agency Office Training File

System location:

Command Section, AFAA/CD, Norton AFB CA 92409 Directorate of Operations, AFAA/DO, Norton AFB CA 92409 Directorate of Plans, AFAA/XP, Norton AFB CA 92409 Directorate of Resources Management, AFAA/RM, Norton AFB CA 92409 Office of the Assistant Auditor General, CSAF/ACU, Washington, D.C. 20330 Air Force Audit Agency, Central Region (AFAA/AGC) Carswell AFB TX 76127 Air Force Audit Agency, Eastern Region (AFAA/AGE) Langley AFB VA 23665 Air Force Audit Agency, European Region (AFAA/AGU) APO NY 09332 Air Force Audit Agency, Western Region (AFAA/AGW) Norton AFB CA 92409 Air Force Audit Agency, Service Wide Systems Division (AFAA/AGP) Norton AFB CA 92409 Air Force Audit Agency Office, Acquisition Systems Division (AFAA/AGS), Bldg 3226 Stop 12, Andrews AFB DC 20331 Air Force Audit Agency office, Logistic Systems Division (AFAA/AGL), Wright-Patterson AFB OH 45433 Air Force Audit Agency Office, Altus AFB OK 73521 Air Force Audit Agency Office, Barksdale AFB TX 71110 Air Force Audit Agency Office, Bergstrom AFB TX 78743 Air Force Audit Agency Office, Blytheville AFB AR 72315 Air Force Audit Agency Office, Cannon AFB NM 88101 Air Force Audit Agency Office, Carswell AFB TX 76127 Air Force Audit Agency Office, Duluth IAP MN 55814 Air Force Audit Agency Office, PO Box 547, Dyess AFB TX 79607 Air Force Audit Agency Office, Ellington AFB TX 77030 Air Force Audit Agency Office, Ellsworth AFB SD 57706 Air Force Audit Agency Office, England AFB LA 71301 Air Force Audit Agency Office, Ent AFB CO 80912 Air Force Audit Agency Office, F E Warren AFB WY 82001 Air Force Audit Agency Office, Grand Forks AFB ND 58201 Air Force Audit Agency Office, Holloman AFB NM 88330 Air Force Audit Agency Office, Lackland AFB TX 78236 Air Force Audit Agency Office, Little Rock AFB AR 72076 Air Force Audit Agency Office, Lowry AFB CO 80230 Air Force Audit Agency Office, Malmstrom AFB MT 59402 Air Force Audit Agency Office, Minot AFB ND 58701 Air Force Audit Agency Office, Offutt AFB NE 68113 Air Force Audit Agency Office, ATC-AFAA, Randolph AFB TX 78148 Air Force Audit Agency Office, Reese AFB TX 79489 Air Force Audit Agency Office, Richards-Gebaur AFB MO 64030 Air Force Audit Agency Office, PO Box 3427, PSC 2, Sheppard AFB TX 76311 Air Force Audit Agency Office, USAF Academy CO 80840 Air Force Audit Agency Office, Webb AFB TX 79720 Air Force Audit Agency Office, Whiteman AFB MO 65301 Air Force Audit Agency Office, APO New York 09825 Air Force Audit Agency Office, Andrews AFB Washington DC 20331 Air Force Audit Agency Office, Chanute AFB IL 61868 Air Force Audit Agency Office, Charleston AFB SC 29404 Air Force Audit Agency Office, Dover AFB DE 19901 Air Force Audit Agency Office, Griffiss AFB NY 13440 Air Force Audit Agency Office, Grissom AFB IN 46970 Air Force Audit Agency Office, Homestead AFB FL 33030 Air Force Audit Agency Office, Keesler AFB MS 39534 Air Force Audit Agency Office, Kincheloe AFB MI 49788 Air Force Audit Agency Office, K I Sawyer AFB MI 49843 Air Force Audit Agency Office, Langley AFB VA 23665 Air Force Audit AGency Office, Rickenbacker AFB OH 43217 Air Force Audit Agency Office, Loring AFB ME 04750 Air Force Audit Agency Office, PO Box 6032, MacDill AFB FL 33608 Air Force Audit Agency Office, Maxwell AFB AL 36112 Air Force Audit Agency Office, McGuire AFB NJ 08641 Air Force Audit Agency Office, Myrtle Beach AFB SC 29577 Air Force Audit Agency Office, Pease AFB NH 03801 Air Force Audit Agency Office, Plattsburgh AFB NY 12903 Air Force Audit Agency Office, Pope AFB NC 28309 Air Force Audit Agency Office, Scott AFB IL 62225 Air Force Audit Agency Office, Seymour Johnson AFB NC 27530 Air Force Audit Agency Office, PO Box 552, Shaw AFB SC 29152 Air Force Audit Agency Office, Tyndall AFB FL 32401 Air Force Audit Agency Office, Wurtsmith AFB MI 48753 Air Force Audit Agency Office, APO San Francisco 96334 Air Force Audit Agency Office, Beale AFB CA 95903 Air Force Audit Agency Office, Castle AFB CA 95342 Air Force Audit Agency Office, APO San Francisco 96319 Air Force Audit Agency Office, APO San Francisco 96274 Air Force Audit Agency Office, Davis-Monthan AFB AZ 85707 Air Force Audit Agency Office, APO Seattle 98737 Air Force Audit Agency Office, PO Box 878, APO Seattle 98742 Air Force Audit Agency Office, PO Box 1313, Fairchild AFB WA 99011 Air Force Audit Agency Office (LA), George AFB CA 92392 Air Force Audit Agency Office, APO San Francisco 96553 Air Force Audit Agency Office, APO San Francisco 96239 Air Force Audit Agency Office, APO San Francisco 96288 Air Force Audit Agency Office, APO San Francisco 96264 Air Force Audit Agency Office, Luke AFB AZ 85309 Air Force Audit Agency Office, March AFB CA 92508 Air Force Audit Agency Office, Bldg 510, Mather AFB CA 95655 Air Force Audit Agency Office, PO Box 4006, McChord AFB WA 98438 Air Force Audit Agency Office, Mountain Home AFB ID 83648 Air Force Audit Agency Office, APO San Francisco 96310 Air Force Audit Agency Office, Nellis AFB NV 89191 Air Force Audit Agency Office, APO San Francisco 96570 Air Force Audit Agency Office, APO San Francisco 96280 Air Force Audit Agency Office, Travis AFB CA 94535 Air Force Audit Agency Office, APO San Francisco 96304 Air Force Audit Agency Office, APO San Francisco 96237 Air Force Audit Agency Office, APO San Francisco 96330 Air Force Audit Agency Office, Vandenberg AFB CA 93437 Air Force Audit Agency Office, Williams AFB AZ 85224 Air Force Audit Agency Office, APO San Francisco 96328 Air Force Audit Agency Office, APO New York 09238 Air Force Audit Agency Office, APO New York 09223 Air Force Audit Agency Office, APO New York 09293 Air Force Audit Agency Office, APO New York 09755 Air Force Audit Agency Office, APO New York 09132 Air Force Audit Agency Office, APO New York 09109 Air Force Audit Agency Office, TUSLOG Det 193 RES/AUD, APO New York 09289 Air Force Audit Agency Office, APO New York 09179 Air Force Audit Agency Office, APO New York 09332 Air Force Audit Agency Office, APO New York 09012 Air Force Audit Agency Office, APO New York 09057 Air Force Audit Agency Office, APO New York 09283 Air Force Audit Agency Office, APO New York 09194 Air Force Audit Agency Office, Edwards AFB CA 93523 Air Force Audit Agency Office, PO Box

V 44 DE 179 UMI

1625, Eglin AFB FL 32542 Air Force Audit Agency Office, Kirtland AFB NM 87115 Air Force Audit Agency Office, Bldg 1521, Stop 21, L G Hanscom Fld MA 01730 Air Force Audit Agency Office, PO Box 92960, Worldway Postal Center, Los Angeles CA 90009 Air Force Audit Agency Office, Patrick AFB FL 32925 Air Force Audit Agency Office/ASD, Wright-Patterson AFB OH 45433 Air Force Audit Agency Office, Hill AFB UT 84406 Air Force Audit Agency Office, Kelly AFB TX 78241 Air Force Audit Agency Office/LVAS, McClellan AFB CA 95652 Air Force Audit Agency Office/AUDGN, Robins AFB GA 31098 Air Force Audit Agency Office, Tinker AFB OK 73145 Air Force Audit Agency Office (WPRA), Wright-Patterson AFB OH 45433 Air Force Audit Agency Office, Newark AFS OH 43055 Air Force Audit Agency Office/AFDSDC, OL-2, Bldg 1111, Gunter AFS AL 36114 Air Force Audit Agency Office/AFAFC, 3800 York St, Denver CO 80205 Air Force Audit Agency Office/AFMPC, Randolph AFB TX 78148 Air Force Audit Agency Office, SAMSO, Norton AFB CA 92049 Air Force Audit Agency Office, Norton AFB CA 92409

Categories of individuals covered by the system:

Air Force Audit Agency active duty officer personnel Air Force Audit Agency active duty enlisted personnel Air Force Audit Agency civilian employees Air Force Audit Agency reserve personnel

Categories of records in the system:

Training Control Record Training Achievement Report Certificate of Training Record of Training or Certification of Equivalency College Transcripts General Military Training Record Training Completion Notices Training Progress Reports Course Evaluation Requests for Training/Tuition Assistance Roster of Interns for Training Monitoring Summary of Region/Division Training Requirements Memorandums of Training Approvals Roster of Personnel Scheduled for Training

Authority for maintenance of the system:

Title 10, U.S. Code 8013a and 8032b(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Air Force Audit Agency headquarters personnel, resident auditors, supervisory auditors, training officers, and region/division chiefs to schedule training and evaluate training progress and results.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency, Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information obtained from automated system interfaces.
And educational data generated internally by United States Air Force and Air Force Audit Agency.

Systems exempted from certain provisions of the act:

NONE

F05001A0SGHLNB

System name:

Upgrade training missile procedures training (MPT) critique form.

System location:

321 Strategic Missile Wing/Director of Operations and Training, Grand Forks AFB ND 58201.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
On upgrade training.

Categories of records in the system:

Name, date, training discrepancies.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record upgrade MPT training session, for critiquing student, provides for review by interested agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Senior Wing missile crew instructor.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and individual's performance during training.

Systems exempted from certain provisions of the act:

NONE

F05002 ATC A

System name:

Maintenance Management Automated Training System MMATS.

System location:

At all Air Training Command bases that utilize MMATS.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Individuals assigned to organizations involved in the maintenance of aircraft, trainers, and associated equipment.

Categories of records in the system:

Maintenance training records.

Authority for maintenance of the system:

10 U.S.C. 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to establish and maintain data pertaining to a specific individual assigned to a maintenance organization; used by work center supervisors, maintenance training and administrative personnel, and other members of the Deputy Commander for Maintenance or Chief of Maintenance staff to maintain basic data relating to an individual; and to monitor the overall training status of an organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.

Retention and disposal:

Maintained until purpose has been served or for 1 month whichever is sooner. It is then destroyed by tearing into pieces, pulping, burining, shredding, or macerating.

System manager(s) and address:

Noncommissioned officer or civilian in charge of the training management section at each unit utilizing MMATS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual training source documents.

Systems exempted from certain provisions of the act:

NONE

F05002 ATC TTS

System name:

05002 ATC TTS Student Record of Training.

System location:

All Technical Training Centers of Air Training Command (ATC); Field Training Detachments of ATC and the 3700 Technical Training Wing/TTS, Sheppard AFB TX 76311; Officer Training School, Lackland AFB TX 78236; Community College of the Air Force, Lackland AFB TX 78236; and the Washington National Records Center, Washington DC 20409. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notices.

Categories of individuals covered by the system:

Active duty military personnel and civilian employees, Air Force Reserve and Air National Guard personnel, foreign nationals, and retired Air Force military personnel who have attended a training course conducted by an ATC activity. Employees of Air Force contractors receiving training at USAF schools.

Categories of records in the system:

Records of individual training and education, subjects studied, reading proficiency training, hours, final grades, and graduation data.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by and Executive Order 9397, 22 November 1943, Number System for Accounts Relating to individual persons. Routine uses of records maintained in the system, including

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record individual attendance, achievement and special training progress. To evaluate student's potential for commissioning and need for remedial reaching. Used by FTDs to determine student eligibility to receive certificate of training, and by the Community College of the Air Force to grant college credits for successful completion of the course.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name, SSN, by course number, and graduation month and year.

Safeguards:

Records are accessed by the custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets and rooms.

Retention and disposal:

Record of individual hours and final grades - held one year, then destroyed; source, support, and control data basic trainee records and special training records - retained for six months after monthly cutoff, then destroyed; Nelson Denny Reading Test Answer Sheets - retained for the class duration, then destroyed; Officer Training School Student Training Summaries maintained for two years after cutoff, then destroyed: Field Training Student Attendance and Rating Records - retained at Sheppard AFB TX 76311 for two years then retired to the Washington National Records Center for an additional 28 years, then destroyed; Student Record of Training - retained at the local ATC Center for two years then retired to the Washington National Records Center for an additional 28 years, then destroyed; Training Progress Reading Proficiency Case Files - destroyed three months after class/course completion. All of the above records are destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff for Technical Training, Standards and Evaluation Directorate, Randolph AFB TX 78148 (for other than classes/courses completed at ATC Field Training Detachments & Officer Training School). The 3700 Technical Training Wing/TTS for classes/ courses conducted by ATC Field Training Detachments and the Commander, Officer Training School for OTS student records. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notices.

Notification procedure:

Contact Training Department at the Air Force base where the training was conducted for ATC technical training center courses; 3700 Technical Training Wing/TTS, Sheppard AFB TX 76311, for classes/ courses completed at an ATC Field Training Detachment; and Officer Training School/CC, Lackland AFB TX 78236, for OTS student records. Full Name, Social Security Number, Course Number or Title and Dates of Attendance is required. For personal visits, identification card or driver's license is acceptable proof of identity.

Record access procedures:

Individuals can obtain assistance in gaining access from the system manager for OTS student records and classes/courses completed at an ATC Field Training Detachment or from the systems manager in the training department at the Air Force base in ATC where training was conducted.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Training Center Organizational Directory; Enlistment Records; Basic Military Training Records; Score from Nelson Denny Reading Test; Internal Testing and Instructor/Peer Observation; Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 DPPE A

System name:

Education Services Program Records (Individual)

System location:

Base Level Education Services Centers

Categories of individuals covered by the system:

All officers and airmen who participate in the Education Services Program

Categories of records in the system:

Pertinent education data maintained in an educational file folder may be Air Force (AF) Form 118, Notice of Student Withdrawal/Noncompletion (copy) (cy); AF Form 186, Individual Record-Education Services Program (cy); AF Form 204, Permissive Temporary Duty (TDY) Request - Operation Bootstrap (cy); AF Form 1033, Academic Education Data (cy); AF Form 1227, Authority for Tuition Assistance - Education Services Program (cy); DD Form 114, Military Pay Order (cy) or Department of Defense (DD) Form 1131, Cash Collection for Voucher (cy); DD Form 295, Application for the Evaluation of Educational Experiences During Military Service (cy); Veterans Administration (VA) Form 22-1990a, Serviceman's Application for Program of Education and Training (cy); VA Form 22-1990p, Serviceman's Application for Predischarge Education Program (PREP) (cy); Academic evaluations and/or transcripts from schools; and Educational test results from testing agencies.

Authority for maintenance of the system:

Authority - Title 44, United States Code (USC), Public Printing and Documents, Chapter 31, Records Management By Federal Agencies, Section 3101 and Annual Department of Defense (DOD) Appropriation Act and Title 5, USC, Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Counseling/Advisement Guide and Educational Registration Record used by Education Services Center staff personnel, Promotion and/or classification boards, and other authorized personnel such as military service schools, civilian schools, and supervisors of military personnel. The principle purpose is to provide a record of educational endeavors and progress of Air Force personnel participating in Education Services programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file folders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Give to individual when released from EAD, discharged, or retired. Servicing CBPO will destroy in case of death by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force, Washington, D.C. 20330

Notification procedure:

Individuals may contact agency officials at the respective installation education center in order to exercise their rights under the Act.

Record access procedures:

Individuals may contact agency officials at the respective installation education center in order to exercise their rights under the Act.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data gathered from the individual, data gathered from other personnel records, transcripts and/or evaluations from schools and test results from testing agencies.

Systems exempted from certain provisions of the act:

NONE

F05002 OI A

System name:

Graduates of Air Force Short Course in Communication (Oklahoma University)

System location:

Academic Detachment, Secretary of the Air Force Office of Information (SAF/OIOL), 780 Van Vleet Oval, Room 334, Norman, OK 73069.

Categories of individuals covered by the system:

Individuals who are scheduled to attend, are attending, or have attended the Air Force Short Course in Communication at the University of Oklahoma.

Categories of records in the system:

Name, current active duty grade, and social security account number; class dates, copies of orders; copy of application to the University of Oklahoma; copies of transcripts from prior education; copies of final grades in the Short Course in Communication.

Authority for maintenance of the system:

10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides the Academic Detachment Liaison Non-Commissioned Officer in Charge and the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR) with historical background on the conduct of the course; serves as a ready reference for students to verify or resolve questions concerning their attendance at the Short Course.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in safes.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force (SAF/OI)

Notification procedure:

Requests from individuals should be addressed to the Academic Detachment Liaison Non-Commissioned Officer (SAF/OIOL), 780 Van Vleet Oval, Room 334, University of Oklahoma, Norman, OK 73069. Telephone: (405) 325-1804.

Record access procedures:

Individuals can obtain assistance from the Academic Detachment Liaison Non-Commissioned Officer or the Chief, Office for Resources and Projects, Secretary of the Air Force Office of Information (SAF/OIR), Washington DC 20330.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Especially the Office of Admissions and Records, University of Oklahoma;

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 OYUEBLA

System name:

Air Traffic Control (ATC) Certification Documentation

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force Reserve personnel.
Air National Guard personnel.

Categories of records in the system:

Reflects individual by name and Social Security Account Number (SSAN), certificate number, military status (active duty, reserve, or air guard), requested action (issue, reissue, or cancellation of certificate), and justification. Reflects individual by name, SSAN, certificate number, and contains previous and current qualifications. Master roster at Office of System Manager contains name, SSAN, certificate numbers and dates issued for all individuals possessing current and valid certificates.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Administrative reference to verify Air Force Air Traffic Control certification. Permits immediate access to name, SSAN, certificate number, date of issuance, and category of service. A master roster is maintained at Headquarters AFCS and the units maintain individual certificate information in the individual's training record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by computer system software.

Retention and disposal:

Retained for one year after end of year in which the case was closed, transferred to a staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating,or burning.

also destroyed by degaussing.

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. for AFCS forms maintained at Headquarters AFCS. For master roster of certificates maintained at Headquarters AFCS.

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. for AFCS Forms 6 at unit level requesting cancellation of ATC certificate, AFCS Forms 6 used to request issue or reissue at unit level is destroyed on receipt of certificate.

System manager(s) and address:

Deputy Chief of Staff Flight and Airspace Management at Headquarters Air Force Communications Service and Air Traffic Control Operations Officer at unit level.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 OYUEBLB

System name:

Air Traffic Control (ATC) Certification Documentation

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force active duty enlisted personnel.
Air Force Reserve personnel.
Air National Guard personnel.
Maintained only when withdrawal requested

Categories of records in the system:

Consists of documentation compiled by requesting unit to justify withdrawal of certification. May include evaluation by medical authorities, legal, Office of Special Investigation results and statements by supervisory personnel and coworkers. Contains copies of performance reports and unfavorable information files. Includes Headquarters Staff evaluations.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documentation used to evaluate request for withdrawal of ATC certification

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Conventional

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by computer system software.

Retention and disposal:

At unit and intermediate Headquarters

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. . At Headquarters AFCS retained in office of System Manager for three years after cut-off, transferred to staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff Flight and Airspace Management at Headquarters Air Force Communications Service and intermediate level. Air Traffic Control Operations Division at group and squadron level.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from police and investigating officers.
Information obtained from a state or local government.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 OYUEBLC

System name:

Air Traffic Control Rating and Training Program Documentation

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force Reserve personnel.
Air National Guard personnel.

Categories of records in the system:

Air Traffic Controller evaluation record; Air Traffic Control (ATC)/weather certification and rating record; 1631 Training Evaluation Report; special task certification and recurring training record; on-the-job training record-continuation sheet

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to document progression of individuals in the upgrade training program, provide estimated upgrade date to fully qualified Officer Air Force Specialty Code (AFSC), provide data base for determining program revisions, identify fast/slow progressors, permit trainee comments on program curriculum and operation, and identify deficient areas in previous technical training which impacted on individual's performance during upgrade training. Record of position certifications and facility ratings and weather certifications, documenting special ATC training, and training problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.

Retrievability:

Filed by Name.
Conventional

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

given to the individual concerned when no longer valid or the individual is no longer performing ATC duties, or torn into pieces, pulped, burned, shredded or macerated.

System manager(s) and address:

Deputy Chief of Staff/Flight and Airspace Management at HQ Air Force Communications Service and intermediate levels; ATC Operations Officers at all other levels.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from witnesses.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 OYUEBLD

System name:

05002 OYUEBLD Student Record

System location:

1872 School Squadron, Air Force Communications Service (AFCS), Richards-Gebaur Air Force Base, MO 64030

Categories of individuals covered by the system:

Active Duty Air Force enlisted personnel and Air National Guard personnel.

Categories of records in the system:

Student record which reflects individual's academic standing; student evaluation; reading laboratory progress record; record of individual counseling; Non-Commissioned Officer (NCO) Academy student roster

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

used to record student progress for each academic class for the AFCS NCO Academy and AFCS NCO Leadership School; reflects written examination scores, communications skills, instructor evaluations; reflects individual's reading laboratory progress; provides record of individual counseling; is a roster of students

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and card files.

Retrievability:

Filed by student name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

some retained in office files for one year after the end of the year the individual completes or discontinues a training course, transferred to staging area for nine additional years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. All other records are retained in office files until graduation or elimination of the student from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning

System manager(s) and address:

NCO in charge of administration, 1872 School Squadron (AFCS)

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions, and Chief Training and Education Division Directorate of Personnel Programs, Deputy Chief of Staff for Personnel, Headquarters AFCS.

Systems exempted from certain provisions of the act:

NONE

F05002 OYUEBLE

System name:

05002 OYUEBLE Individual Academic Training Record

System location:

Wideband Maintenance Training Branch, Directorate of Systems Evaluation, Deputy Chief of Staff for Operations, Headquarters (HQ) Air Force Communications Service (AFCS), Richards-Gebaur Air Force Base, MO 64030

Categories of individuals covered by the system:

Active duty military personnel. Air Force Reserve and Air National Guard personnel. Army National Guard and Department of Defense civilian personnel who are electronics engineers, communications engineers, radio relay equipment maintenance personnel, technical control personnel, and such other individuals who might apply for this training

Categories of records in the system:

Personnel index; absentee report; class pre-graduation/graduation roster; attendance record; record of individual training

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record emergency data and course completion information. To report student absences to the Commandant of the school. Provides student class composition and list of graduating students to the Deputy Chief of Staff for Operations (DCS/Operations), HQ AFCS. An attendance record. Reflects student academic progress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and card files.

Retrievability:

Filed by student name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Stored in file cabinet

Retention and disposal:

some retained in office files until appropriate table /rule is published in AFM 12-50. All other records retained in office file until graduation or elimination of the student from training then destroyed by tearing into pieces, shredding, pulping, macerating, or burning

System manager(s) and address:

Commandant, Wideband Maintenance Training Branch, Deputy Chief of Staff Operations, HQ AFCS

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

information from instructor

Systems exempted from certain provisions of the act:

NONE

F05002 0J DOZB

System name:

05002 0J DOZB Individual Academic Records - Survival Training Students

System location:

Fairchild AFB, WA 99011

Categories of individuals covered by the system:

officer and enlisted aircrew members

Categories of records in the system:

survival training students performance

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

document and evaluate students performance

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name. Filed by other identification number or system identifier.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for two years after annual cut-off then forwarded to the Washington National Records Center, where records will be held an additional 28 years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff Operations, Headquarters Air Training Command Randolph AFB TX 78148

Notification procedure:

Requests from individuals should be addressed to the the 3636 CCTW/DOOS, Fairchild AFB WA 99011. Requests should include name, rank, social security number, course(s) attended and graduation date, if known.

Record access procedures:

Individual can obtain assistance in gaining access by contacting 3636 CCTW/DAD, Fairchild AFB WA 99011 or by contacting the systems manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

survival training supervisors and staff officials

Systems exempted from certain provisions of the act:

NONE

F05002 0J TTPA

System name:

Technical Training Course Management Information System

System location:

At Headquarters Air Training Command Randolph AFB, TX 78148 and Technical Training Centers of Air Training Command.

At Washington National Records Center, Washington DC 20409.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Washington National Records Center, Washington, DC 20409.

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Foreign Nationals residing in the United States.
Exchange Officers.
Personnel entered into or attending technical courses.

Categories of records in the system:

Individual training status records.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain status of students and prepare training statistics.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Course identification.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Deleted from files within two years after termination of study, destroyed by degaussing.

System manager(s) and address:

Chief Training Management Information Branch at each Center.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F05002 0KPNQSA

System name:

Air University Academic Records

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

EDC subsystems are located and maintained at the following locations Air Force Institute of Technology/RR. Wright-Patterson AFB OH 45433 3825 Academic Services Group/RR Maxwell AFB AL 36112 Extension Course Institute/EDOR Gunter AFS AL 36118

Categories of individuals covered by the system:

Graduates, students currently or previously enrolled in AFIT, AU PME schools or ECI

Categories of records in the system:

Education records which includes transcripts, test scores, completion/noncompletion status, training reports, rating of distinguished, outstanding or excellent graduate as appropriate and other documents associated with academic records

Authority for maintenance of the system:

44 USC 3101 and 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Indivisuals seeking academic or certification credit for courses completed may request applicable Registrar to send a record of courses completed to school or activity desired. Faculty and staff of applicable school as well as other federal agencies, having a need to know, may refer to record in discharge of official duties

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
At Air Institute of Technology
Maintained in visible file binders/cabinets.
Maintained on roll microfilm. at 3825 Academic Services Group
Maintained on roll microfilm.
Maintained on microfiche. at Extension Course Institute

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in vaults.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.
At AFIT
Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms. at 3825 Academic Services Group
Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms. at Extension Course Institute

Retention and disposal:

30 years except masters transcripts of resident schools which is 50 years-at AFIT permanent-at 3825 Academic Services Group
Retained in office files for two years after the individual completes or discontinues a training course, then retired to Washington National Records Center, Washington DC 20409, and, after 28 additional years, they are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. plus copy retained for 30 years then destroyed- at Extension Course Institute

System manager(s) and address:

Registrar Air Force Institute of Technology Wright-Patterson AFB OH 45433 Registrar 3825 Academic Services Group Maxwell AFB AL 36112 Registrar Extension Course Institute Gunter AFS AL 36118

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

At applicable Registrar name, SSAN and class designation. May visit Registrar office and provide name, SSAN, class designation/course title and year completed along with mil ID card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

And testing agencies- at AFIT

Information obtained from educational institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. - at 3825 Academic Services Group student and on-the-job training officials- at Extension Course Institute

Systems exempted from certain provisions of the act:

NONE

F05002 0KPNQSB

System name:

Student Record Folder

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.

EDC Submanagers located at each Air University Professional Military School/Course at Maxwell AFB AL 36112 and Gunter AFB AL 36118

Categories of individuals covered by the system:

Military and civilian students

Categories of records in the system:

Individual student folder containing test results, speech and writing critiques, interview/counseling record, faculty rating, and other documents pertaining to student administration.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by faculty and staff of applicable school/course to evaluate and record performance/progress of student. Used to determine suitability for future faculty position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Curriculums Submanagers Director of Administration (DA) at each school /course

Notification procedure:

Requests should be addressed to the Director of Administration at the applicable school. Provide name, SSAN. May visit the office of the Director of Administation and present acceptable identification

Record access procedures:

Individual can obtain assistance in gaining access from appropriate Director of Administration.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual student, instructor and

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. .

Systems exempted from certain provisions of the act:

NONE

F05002 0OJUBJB

System name:

Maintenance Management Information and Control System (MMICS)

System location:

At all Air Force bases that utilize MMICS.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Individuals assigned to organizations involved in the maintenance of aircraft missiles and associated equipment.

Categories of records in the system:

On the job training records.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to establish and maintain OJT information pertaining to a specific individual assigned to a maintenance organization used by work center supervisors and maintenance training personnel to maintain basic OJT data and to monitor the OJT progress of individuals assigned to an organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are controlled by computer system software.

Retention and disposal:

Maintained until purpose has been served or for 1 month whichever is sooner. Destroyed by tearing, pulping, burning or macerating.

System manager(s) and address:

Non-commissioned officer in charge of the maintenance documentation section at each unit utilizing MMICS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 0QSCEYA

System name:

Training Progress (Permanent Student Record)

System location:

1380 School Squadron.(Noncommissioned Officer Academy), Norton Air Force Base CA 92409

Categories of individuals covered by the system:

Enlisted personnel who are graduates of the Academy

Categories of records in the system:

Name, grade, social security number, duty title, security clearance , marital status, organization assigned, education level, photo- graph, date of birth, Airman Qualification Examination, evaluation of academic progress

Authority for maintenance of the system:

44USC3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record student achievement

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
and stored in file cabinet

Retention and disposal:

Destroy ten years after individual completes or discontinues a training course by tearing into pieces, shredding, pulping, macerating or burning

System manager(s) and address:

1380 School Squadron (Noncommissioned Officer Academy), Norton Air Force Base CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From Consolidated Base Personnel Offices and from evaluation of student progress. System

Systems exempted from certain provisions of the act:

NONE

F05002 0QVDYDA

System name:

Unit Training Program

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Base Chief Security Police Office

Categories of individuals covered by the system:

All military and civilian Security Police personnel

Categories of records in the system:

Name, grade, and dates of training

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Document required training

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

open storage

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Security, Norton Air Force Base, CA 92409

Notification procedure:

Contact Base Sysmanager and provide name

Record access procedures:

Contact Base Sysmanager

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Completion of training subjects

Systems exempted from certain provisions of the act:

NONE

F05002 0SGHLNA

System name:

Training Work Sheet (GRF Form 36)

System location:

321 Strategic Missile Wing/Director Logistics, Grand Forks AFB ND 58201

Categories of individuals covered by the system:

All Air Force active duty military personnel.
On training

Categories of records in the system:

Signatures of trainee and instructor, tasks, lesson plan, date, training time, performance, deviations, comments

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to organize and record training conducted for missile maintenance teams

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Commander for Logistics, 321 Strategic Missle Wing.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05002 0TMUHJA

System name:

Student Record File

System location:

Headquarters Tactical Air Command (TAC) Non-Commissioned Officer (NCO) Academy, Bergstrom Air Force Base, TX 78743

Categories of individuals covered by the system:

All active duty enlisted military personnel.

Categories of records in the system:

Individual student evaluation record

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Monitor the academic progress of Academy students/history file

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by class/and by name

Safeguards:

Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files for 10 years, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Director of Education, TAC NCO Academy, Bergstrom AFB, TX 78743

Notification procedure:

Commandant, TAC NCO Academy, Bergstrom AFB, TX 78743

Record access procedures:

TAC NCO Academy, Bergstrom AFB, TX 78743

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces and from evaluation of student performance.

Systems exempted from certain provisions of the act:

NONE

F05002 0UJCGJA

System name:

Training Progress

System location:

United States Air Force School of Applied Cryptologic Sciences (USAFSACS) Goodfellow Air Force Base, TX 76901

Categories of individuals covered by the system:

Air Force active duty enlisted personnel.

Categories of records in the system:

Enrollment forms

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by military training instructors to evaluate student progress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Destroy 10 years after student completes training by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

USAFSACS NCO Academy

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Systems exempted from certain provisions of the act:

NONE

F05002 0UJCGJB

System name:

Training Progress Student Data Records

System location:

United States Air Force School of Applied Cryptologic Sciences (USAFSACS) Goodfellow Air Force Base, TX 76901

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel.
Air Force active duty officer personnel.
Air Force active duty enlisted personnel.

Categories of records in the system:

Enrollment form

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by military training instructors to evaluate student progress.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Destroy 10 years after student completes training by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

United States Air Force School of Applied Cryptologic Sciences (USAFSACS) Goodfellow Air Force Base, TX 76901

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Training records and associated background data

Systems exempted from certain provisions of the act:

NONE

F05002 0UMCBVA

System name:

Defense Language Institute Student History

System location:

Director of Personnel Plans, United States Air Force Security Service, San Antonio, TX 78243

Categories of individuals covered by the system:

DLI students

Categories of records in the system:

Computer records

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Government use

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Personnel Plans, United States Air Force Security Service, San Antonio, TX 78243

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Advanced personnel data system

Systems exempted from certain provisions of the act:

NONE

F05002 07YLNGA

System name:

United States Air Force Special Investigations School Individual Academic Records

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

Categories of individuals covered by the system:

USAF, US Coast Guard enlisted, Defense Investigative Service and foreign national students.

Categories of records in the system:

Records of individual training and education of each student indicating final grade or rating of proficiency obtained in each subject and/or the reason for noncompletion of the course of study.

Authority for maintenance of the system:

10 USC sections 8012 and 8032, 44 USC sections 2909, 3101 3102, 3103, 3104 through 3107, and 3301 through 3314.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Verification of attendance and completion or noncompletion of training. Provided to investigating agents in criminal matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Records are held for 25 years after course is completed and are then destroyed by tearing into pieces, shredding pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Data is obtained from student testing and performance.

Systems exempted from certain provisions of the act:

NONE

F05002X0J ED A

System name:

05002X0J ED A Community College of the Air Force Student Record System

System location:

The system is centrally administered by the Community College of the Air Force (CCAF), Lackland AFB TX 78236. Computer processing for the system is furnished by the Air Training Command Directorate of Data Automation (HQ ATC/ACD), Randolph AFB TX 78236 Microfiche for the system are created by the USAF Security Service (HQ USAFSS/DADS) Kelly Air Force Base, TX 78243

Categories of individuals covered by the system:

The system may have a record for any person who has a social security number and who has since 1 January 1968 completed a formal course of instruction conducted by one of the Air Force schools identified in the current Community College of the Air Force General Catalog. (Note: Such courses do not include pre-commissioning courses and courses conducted exclusively for officers or their civilian counterparts.) The system also includes records reflecting Air Force courses completed before 1968 and other educational accomplishments for persons who as enlisted members of the Air Force registered in programs of study leading to credentials awarded by the college. (Note: Both here and where appropriate below, the general term Air Force should be understood as including the regular Air Force, the Air Force reserve, and the Air National Guard.)

Categories of records in the system:

The college originates and maintains individual academic records and, where necessary to serve Airmen registered in study programs leading to credentials awarded by the college, maintains a variety of source or substantiating records such as copies of registration applications and document control records derived from such applications; civilian college transcripts; college level examination program score reports; copies of educational records originated by other Air Force and non-Air Force agencies external to the college (such as the Federal Aviation Agency, the United States Armed Forces Institute, and the Defense Activity for Non-traditional Education Support); copies of a variety of Air Force personnel records (such as documents derived from master records maintained by the USAF Military Personnel Center and microfiche records of locator data); and records of credentials awarded to graduates. As necessary to manage the day-to-day operations and to plan development of the record system the college also maintains copies and related records of communications from, to, or regarding persons interested in the college, its educational programs, its student record system, and related matters. Copies of and statistical records derived from individual responses to surveys, questionnaires, and similar instruments authorized by HQ USAF may also be maintained as needed for managerial evaluation and planning by officers of the college.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records originated in the system serve the purpose of documenting, in terms of credit awarded or accepted in transfer by the college, individual educational accomplishments which satisfy curricular requirements of study programs leading to credentials offered by the college. Transcripts of records originated in the college are at the written request of persons concerned furnished to any recipient(s) designated in such requests. Such recipients typically include Air Force Education Services Centers, other offices where Air Force personnel are stationed, educational institutions, and potential or current employers. CCAF transcripts and copies of other records originated in the college are typically used to support educational and occupational counselling, planning, and development; admission to other colleges; and related individual affairs. Other disclosures of personal records originated in or maintained by the college may without the knowledge or written consent of persons concerned be made to Air Force officers, enlisted personnel, and civilian employees directly involved in administering or supporting the educational programs offered or records managed by the college; other Air Force officers, enlisted personnel, and civilian employees who provide educational and related services to Air Force personnel; officers and employees of other agencies as may be necessary to comply with proper requests for records under the Freedom of Information Act (5 USC 552, as amended by Public Law 93-502); and to officers and employees of other agencies as may be necessary to overcome extended interruptions in normal computer processing. Similar incidental disclosures of information recorded in the system may be made to employees of Honeywell, Inc., and other civilian contractors who may be engaged by the Air Force to to provide services which directly or indirectly support the record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Permanent student records are maintained on and reproduced as necessary from microfiche created by computer processing. Microfiche are maintained in special filing stands and in special three-ring binders. Computer records are maintained on and as necessary reproduced from magnetic media (tape and disk) which when not in use are filed in special cabinets and racks in a library facility. Paper records are maintained in file folders, card files, and conventional cabinets, and in special binders and cabinets designed for computer listings.

Retrievability:

Computer records are retrievable by a combination of social security number (SSN) and certain letters of last name. Microfiche records are retrievable by SSN exclusively. Paper records are retrievable by either SSN or name. Note as may be necessary to support managerial studies by the college staff, computer records may also be retrieved in groups where such records bear common information.

Safeguards:

Records maintained in the college are normally disclosed only upon written request from the persons whose records are to be disclosed or upon written request from an Air Force officer or employee responsible to provide educational or related services to Air Force personnel. Disclosures to non-Air Force agencies not requested by the individual are made only with consent of an officer of the college and as consistent with the Privacy Act of 1974 and the Freedom of Information Act. Except for disclosures within the college as may be necessary to its operations, requests by telephone and other unwritten means will not be honored unless in the judgment of a responsible member of the college staff the requestor is a member or employee of the Air Force acting on behalf of, or is, the person whose record is requested. Special care is exercised to ensure complete identification of the requestor, the person whose record is to be disclosed, and intended use. Other systematic safeguards to ensure integrity of records include secure storage of successive generations of computer master files, existence and long term retention in other Air Force agencies of records which would be needed to rebuild the entire system in the event of catastrophe, and traditional measures to ensure the security of Air Force facilities. All records in the system are during duty hours attended by responsible Air Force personnel and during non-duty hours stored in locked facilities under constant or periodic surveillance by Air Force security police or comparable civilian guards.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Rules for retention of permanent microfiche and corresponding magnetic tape records have not yet been determined. It is anticipated that such records may need be retained for not less than 30 and not more than 50 years beyond the latest entries on each such record. Transitory computer records (such as input transaction records and records on successive generations of master files) are typically retained only so long as they may be useful, which may be as little as 48 hours or as much as 60 days. Active master file records are by their nature evolutionary and are typically retired within 180 days of a person's separation or retirement or five years after the most recent entry on a given record. (The last rule applies to persons who were not enlisted Air Force members when the last entries on their records were made.) Paper records maintained to serve students registered in study programs are retained so long as a registrant remains active in his or her program. Such records are destroyed one year after a registrant completes his or her study program or three years after the most recent communication from an airman whose program has not been completed. Other records are retained only so long as they may serve a useful purpose, which is typically between 30 and 90 days. No rule has yet been established for retaining records which verify awards of credentials by the college, but it is expected that such records will need be archival.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force. System Manager and President, Community College of the Air Force (CCAF/CC) Lackland AFB, TX 78236.

Notification procedure:

Address inquiries to Chief, Student Records Branch (CCAF/RRR) Lackland AFB, TX 78236. Such inquiries will need include the full name (and former names if appropriate), SSN, and birthdate of the inquirer, and should include a full return address (including zip code). Visits to the college are welcomed, and visitors seeking information about personal records should first visit the Office of the Registrar.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. and from addresses listed above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions, from automated system interfaces. and from source documents submitted to the college by or at the request of individuals concerned, or by other Air Force agencies acting on behalf of individuals concerned.

Systems exempted from certain provisions of the act:

NONE

F05004 0QKRSMA

System name:

Training Systems Research and Development Materials

System location:

1550th Aircrew Training and Test Wing, Deputy Commander for Operations, r1550 Aircrew Technical Training Wing, Hill Air Force Base UT 84406

Categories of individuals covered by the system:

Students who have completed training.

Categories of records in the system:

Training and effectiveness questionaires for supervisors and graduates,flying instructor and academic instructor improvement and evaluation, evaluation coordination sheet.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To evaluate and analyze training effectiveness.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Rank, social security account number and class number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Evaluation and Analysis,1550th Aircrew Training and Test Wing Hill Air Force Base UT 84406.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from assigned personnel.

Systems exempted from certain provisions of the act:

NONE

F05101 ADC A

System name:

05101 ADC A Aircrew Training Records, Aerospace Defense Command (ADCOM).

System location:

Headquarters Aerospace Defense Command and all subordinate levels down to and including Air Force installations. Air Force Reserve and Air National Guard activities for which ADCOM is the gaining command. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Aircrew personnel.

Categories of records in the system:

V 44 DE 17 79 UMI

Initial qualification and requalification records; aircrew flying training, ground training, simulator training, individual records; Air Force Form 8 certification of aircrew qualification; aircrew continuation training status reports; formal flying school records; other flying training records.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by. Routine uses of records maintained in the system, including categories of users and the purpose of such uses: Records are used to monitor aircrew flying

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to monitor aircrew flying proficiency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in notebooks/binders, as photographs and as wall charts.

Retrievability:

Accessed by name.

Safeguards:

Records are accessed by custodian of the record system, by person(s) responsible for servicing the record system in the performance of their official duties, and by individual aircrew members.

Retention and disposal:

Semiannual records are retained on file for six months; C/EC-121 training records are closed out at the end of fiscal year maintained on file for one year; when an individual's aircraft assignment is changed, forms pertaining to previously assigned aircraft are removed from file. All records removed are either given to the individual concerned or destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff Operations, Headquarters ADCOM, Ent Air Force Base, CO 80912.

Notification procedure:

Requests from individuals should be addressed to the system manager. Give name, grade, social security account number and unit assigned. When visiting system manager present military identification or military discharge, as applicable, to gain access.

Record access procedures:

Individuals can obtain assistance in gaining access from the system manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Formal training schools, unit training officers, flight evaluation officers.

Systems exempted from certain provisions of the act:

NONE

F05101 OJ DOTA

System name:

05101 OJ DOTA Flying Training Records - Nonstudent.

System location:

Columbus AFB, MS 39701; Craig AFB, AL 36701; Lackland AFB, TX 78236; Laughlin AFB, TX 78840; Mather AFB, CA 95655; Moody AFB, GA 31601; Randolph AFB, TX 78148; Reese AFB, TX 79489; Sheppard AFB, TX 79720; Williams AFB, AZ 85244; Webb AFB, TX 79720; and USAFA CO 80840.

Categories of individuals covered by the system:

Aircrew personnel of Air Training Command, academic instructors in flying training courses and Trainer Instructors.

Categories of records in the system:

Record and document aircrew training, evaluations, performance, accomplishments and taped radio transmissions.

Authority for maintenance of the system:

44 USC 3101, and Executive Order 9397, 22 Nov 1943.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Document the training, performance, and qualifications of aircrew and synthetic trainer personnel. Taped radio communications are used to investigate aircraft accidents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, computer printouts, and on magnetic tape.

Retrievability:

Name, social security number, or other identifier such as class number, identification number, voice prints, etc.

Safeguards:

Access by custodian of the record system, access by persons responsible for servicing the record system in performance of their official duties; access by authorized personnel who are properly screened.

Retention and disposal:

Aircrew evaluation documents, training and qualification records on synthetic training instructors and academic instructors are maintained for the duration of an individual's assignment in Air Training Command. Out of date material is returned to the individual. Radio tapes are retained on file for one week unless circumstances dictate otherwise; initial training records are maintained for one year following completion of the training and then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Duputy Chief of Staff Operations, Air Trining Command, Randolph AFB, TX 78148.

Notification procedure:

Requrest from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from source documents prepared by personnel administering training or evaluating performance; voice radio communications.

Systems exempted from certain provisions of the act:

NONE

F05101 OJ DOTB

System name:

Flying Training Records - Student

System location:

Headquarters Air Training Command, Randolph AFB TX; Washington National Records Center, Washington DC 20409; ATC Pilot and Navigator Training Wings; Official mailing addresses are in Department of Defense directory in the appendix to the USAF systems notice.

Categories of individuals covered by the system:

Students entered into Undergraduate Pilot and Navigator training.

Categories of records in the system:

Complete record of training including class number, flying and academic course completed, flying hours, whether graduated or eliminated and date, reasons for elimination, Faculty Board Proceedings, student's performance in each category of training, including grades, evaluations and performance documentation; background information including name, grade, SSAN, source of commission, college, subject matter, etc; past training unit of assignment; class standing prior to 31 Dec 74; progress records on minority students.

Authority for maintenance of the system:

44 U.S.C. 3101, 10 U.S.C. 8012, and Executive Order 93-97 22 Nov 1943.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Document and record student performance; provide background information; report to Air National Guard/Air Force Reserve and other Air Force training units on qualifications of graduates; analyze student performance in following training for the purpose of evaluating training and revising course content; also used to monitor student performance by source of entry, education level, and minority status; record and document Faculty Board proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in note books/binders. Maintained in card files. Maintained on computer magnetic tapes. Maintained on computer paper printouts.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Student grade books are destroyed three months after completion of training; Summary Training Records are retained in office files for two years, then retired to Washington National Records Center, Washington, DC, for eight years; other records are retained in office files until superseded, obsolete, no longer needed for reference or on inactivation. Faculty Board Records are retained for one year. Destruction is by tearing into pieces, shredding, pulping, macera- ting, or burning.

System manager(s) and address:

Deputy Chief of Staff Operations, Air Training Command, Randolph AFB, TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information comes from source documents such as grade sheets, written examinations, and flight examinations; from reports by instructors and students, and from the individual, automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F05101 0JMPLSA

System name:

Flying Training Records

System location:

Deputy For Flight Operations, Officer Training School USAF Lackland Air Force Base TX 78236.

Categories of individuals covered by the system:

All students entered in T41 training at Lackland Air Force Base TX 78236.

Categories of records in the system:

Flying training grades continuity summary analysis.

Authority for maintenance of the system:

44 United States Code 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine flying training potential.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
wall charts

Retrievability:

Filed by other identification number or system identifier.
Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy for Flight Operations Officer Training School.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Internally generated only.

Systems exempted from certain provisions of the act:

NONE

F05101 0QKRSMA

System name:

Aircrew Instruction Records (Flying Training Records)

System location:

1550th Aircrew Training and Test Wing, Deputy Commander for Operations Hill Air Force Base UT 84406.

Categories of individuals covered by the system:

Students and instructors undergoing training.

Categories of records in the system:

Graduate training summary, student counseling record, practical exercise/ground training record, student activity record, student flying record by name, social security number, rank and class number.

Authority for maintenance of the system:

10USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record student accomplishment of training objectives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Rank, social security account number, course, class number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Destroy by tearing into pieces, pulping, burning, shredding or macerating one year after departure.

System manager(s) and address:

Deputy Commander for Operations, 1550th Aircrew Training and Test Wing Hill Air Force Base UT 84406.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

V 44 DE 17 79 UMI

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from assigned personnel.

Systems exempted from certain provisions of the act:

NONE

F05101 0QKRSMB

System name:

Training Aids Usage (Simulator Student Training Records)

System location:

Simulator Branch, 1550th Technical Training Squadron(TTS), attn:TTO, Hill Air Force Base Ut 84406.

Categories of individuals covered by the system:

Simulator course students.

Categories of records in the system:

Flying training record, activity record, course sign in roster.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Trend analysis, historical data on simulator.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.

Retrievability:

Filed by Name.
Chronologically.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Officer in Charge, Simulator Branch, 1550 Technical Training Squadron, Hill Air Force Base UT 84406.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Special orders, messages and instructors.

Systems exempted from certain provisions of the act:

NONE

F05101 0TMUHJA

System name:

Tactical Air Command Automated Flying Training Management System.

System location:

All Tactical Air Command Wings, Squadrons, Numbered Air Forces, and Headquarters, Tactical Air Command/DOOR.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Aircrew members in Tactical Air Command maintaining qualification in command assigned aircraft.

Categories of records in the system:

Continuation training items directed by Air Force and Tactical Air Command directives. Includes flying times for current month, training cycle, and cumulative career totals, currencies as required by weapons system, flying and simulator sorties and events, and various ground training items, and other information such as social secuirty account number, ratings, Air Force Speciality Codes, date of birth, unit assigned, availability data, assignment dates, training phase and qualifications.

Authority for maintenance of the system:

10 U.S.C. 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to monitor the status of continuation training by individuals and unit. Data is available at the unit, wing, numbered Air Force, Headquarters of Tactical Air Command.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by crew member's first letter of last name and last four digits of the social security account number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are controlled by computer system software.
Records are stored in secure areas with controlled access.

Retention and disposal:

Retained in units for six months after training cycle. History files are retained at Headquarters Tactical Air Command for analysis purposes. Information is destroyed by tearing into pieces, pulping, burining, shredding, or macerating; or in the case of computer tape, degaussing.

System manager(s) and address:

Deputy Chief of Staff/Operations, Headquarters, Tactical Air Command, Langley AFB, VA 23665.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual concerned and other source documents.

Systems exempted from certain provisions of the act:

NONE

F05101A0SSGBPA

System name:

Aircrew Resource Management System (SACARMS)/Aircrew Qualification Report

System location:

All Strategic Air Command (SAC) Tactical Wings/NAF/HQ SAC DOTF offices.

Categories of individuals covered by the system:

All SAC personnel on active flying status. Maintaining currency in operational aircraft.

Categories of records in the system:

Mission accomplishment reports for ground and flying training events by individual/crew position, aircraft and unit depicting scheduled, accomplished, reliability, required, remaining and date accomplished.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose is to evaluate and monitor the Air Force required Aircrew continuation training program flight management. The users are Wing, NAF and MAJCOM flight managers and mission development Officers. The data is used for mission development and Aircrew resource management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander in Chief, Strategic Air Command, SAC/DOTF and DOTT, Offutt Air Force Base, NE 68113.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05301 DPP A

System name:

Air Force Academy Appointment and Separation Records

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Nominees for Air Force Academy appointment and cadets in training at the Air Force Academy for each Member of Congress, the Vice President, Governors of Territories, and all other nominating sources.

Categories of records in the system:

DD Form 1870 - 'Nomination for Appointment to the United States Air Force Academy, Military Academy, Naval Academy' containing nominee's name, address, date of birth, social security number, telephone number, temporary address (if any), type of nomination (principal or competitive), numbered vacancy, and date submitted, name and signature of Member of Congress or other authorized nominating source submitting the nomination; AFHQ Form 0-339 - 'Air Force Academy Nominee Record' Description of data contained on AFHQ Form 0-339 - The names of the nominees of each Member of Congress, the Vice President, and other authorized nominating sources. (Each Member may nominate a total of ten for each vacancy available.) The card also indicates whether a nominee withdraws from consideration for Academy appointment or if he is medically disqualified and the nominating system used by the nominating authority; - 'Chargeable and Nonchargeable Air Force Academy Appointment Record' Data maintained thereon: The names of the cadets entering each year for each Member of Congress and other nominating sources indicating charge or not charged to their quota (5 allowed at any one time - 10 United States Code (USC) (9342), year of scheduled graduation or separation date and reason, and reapportionment actions; - 'Report of Separation from the United States Air Force Academy' Data contained thereon - Name, cadet number, scheduled graduation date, reason for separation, name of congressional sponsor and whether the separation action provides an additional vacancy for the Congressional sponsor; - 'Report of United States Air Force Academy' containing spaces to insert names of cadets in training who are charged to the quota of a Member of Congress.

Authority for maintenance of the system:

Title - 10 USC - Armed Forces - Chapter 903, United States Air Force Academy 9342, 9344, 9345; and Senate Resolution 154, 10 June 1963 and 10 USC 8012 .

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

When separation of a cadet from the Academy occurs, the system is used by Cadet Branch Personnel to determine who nominated the cadet so that notification of the separation of the cadet can be made to the Congressional sponsor. Also used in making reply to any Member of Congress who requests information concerning who nominated a cadet for Academy entrance (10 USC 9342(h)). / //A form is/ maintained annually on each Member of Congress, the Vice President, and other authorized nominating sources. Upon receipt of nominations from Members of Congress , only the name of the nominee is entered on the Form and the nominating system used by the member. The form is used to indicate withdrawal of a nominee or medical disqualification in order to determine the number of active candidates at any given time (10 allowed per vacancy (10 USC 9342)). Cadet Branch personnel use to answer inquiries from nominating sources. An AFHQ Form 0-851 (card) is maintained on each Member of Congress, the Vice President, and other authorized nominating sources. Upon entrance of each new class to the Air Force Academy, the names of the cadets entering for each Member of Congress, etc. is posted to the individual Congressional sponsor's card. This record card is used by Cadet Branch personnel to determine the number of vacancies available to all authorized nominating sources so that notification of vacancy information can be furnished to Members of Congress annually. Upon separation of an Academy cadet, the name is crossed out and a notation made of the date of graduation/separation and reason for separation. Another form is used as an attachment to a letter of notification to the Congressional sponsor when a cadet is separated. - Upon special request from Member of Congress, another form is used to provide the names of charge cadets (principals) to their authorized quota and the year of scheduled graduation. Also used to notify new Members of Congress of the chargeable cadets upon entering Congress. Cadet Separation Case Files - A cadet separation case file is maintained on every cadet separated for the period of time his class is in training and for one year after class graduation, then destroyed since these records are maintained permanently by the Air Force Academy. The case files are maintained since this office is the responsible staff office for implementing the Secretary of the Air Force instrument of separation/discharge action. The case files are further used to reply to Congressional inquiries concerning separation actions. The data contained in the separation case file are: copy of cadet's resignation/separation action; copy of Academy Superintendent's letter to Secretary of the Air Force containing recommendation on type of separation action; copy of Secretary of the Air Force Memorandum directing type of separation; copy of 'Report of Separation from United States Air Force Academy'; copy AF/DPPA notification letter to Congressional sponsor concerning separation; copy of AF/DPPA notification letter to United States Air Force Academy Commandant of Cadets effecting the decision of the Secretary of the Air Force; copy of, 'Disenrollment From Officer Candidate-Type Training.' (Prepared by Commandant, Air Force Academy); copy of, 'Armed Forces of the United States Report of Transfer or Discharge.' (Prepared by Commandant, Air Force Academy); copy of Special Orders effecting separation/discharge action. Information in the record/records system is used to provide information to Members of Congress, the Vice President, District of Columbia Delegate, Governors of Territories and South American Republic countries and the Philippines on candidate nominations, cadet vacancies, appointments, and separations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Upon entry of the class each year, forms are destroyed on unsuccessful candidates. by tearing into pieces,shredding,pulping,macerating,or burning. The forms on selected cadets are maintained in the Kardveyor. One form is maintained permanently.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Members of Congress, the Vice President and other nominating sources.

Systems exempted from certain provisions of the act:

NONE

F05301XOBXQPCB

System name:

Education and Research Data Base

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Active, retired and separated Air Force officers who received their commissions through the USAF Academy.

Categories of records in the system:

High school, college and USAF career information including military performance, academic performance, certain medical, disciplinary and personal facts.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of System: To provide readily available information on Academy graduates. Category of Users: Faculty and staff. Specific Use: Used to complete various analyses and inquiries concerning how Academy graduates are competing with their contemporaries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Dean of the Faculty

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from automated system interfaces.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F05302 OBXQPCB

System name:

Air Force Academy Candidate System

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Air Force Academy nominees/applicants.

Categories of records in the system:

Candidate Evaluation Record, Liaison Officer Evaluation, Letter of Evaluation from High School or College, and Drug Abuse Certificate.

Authority for maintenance of the system:

10 USC 903, 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Admissions Office, Selection Panels, Academy Board, Athletic Department, and Preparatory School personnel for selection of cadets to attend the USAF Academy and Preparatory School. Also, used to evaluate candidates for recommendation for civilian preparatory school scholarships. Used to form the nucleus of the cadet record for candidates selected to attend the Academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on disks or drums.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Except records on candidates who accept appointments are sent to the Cadet Records Section, where they are included in the Cadet Personnel Records System maintained at USAF Academy, CO 80840.

System manager(s) and address:

Director of Admissions and Registrar

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F053030BXQPCAB

System name:

053030BXQPCAB Preparatory School Records

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Preparatory School Students

Categories of records in the system:

This system contains SSN, admissions data including college board test scores and uniform size, academic performance, counseling, disenrollment, and physical fitness information.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is used to measure student performance, progress and potential, for counseling purposes and for possible disciplinary or disenrollment action. Information contained on the record card consisting of grade, performance, and personal information pertaining to the student is used to provide transcripts when requested, to inform parents/guardians concerning student placement on academic advisement or probation and other pertinent information as required, when authorized by the cadet, and used by Preparatory School administrative personnel for management purposes such as emergency data, i.e. blood type, etc. Physical fitness test scores are furnished to the Registrar's Office for use in verification when considering student for nomination to the USAF Academy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in card files. Maintained on computer paper printouts.

Retrievability:

Filed by name and year of enrollment

Safeguards:

Access by person(s) responsible for servicing the record system in performance of their official duties. Stored in locked cabinets or rooms.

Retention and disposal:

Admissions data, counseling records, academic placement, and physical fitness information are dest end of the academic year; college board test data is retained in office files for three months after monthly cut-off, the destroyed; copy of disenrollment data is retained for 5 years after disenrollment then destroyed; performance and student potential data used by academic instructors retained for 1 year; and the record card for 10 years after completion of the program, then retired to the USAF Academy CO 80840 staging area where they are kept per- manently. Remaining documents in the system are destroyed when no longer needed for reference purposes or when superseded. Destruction is by tearing into pieces, shredding, pulping, macerating, burning, or burying.

System manager(s) and address:

Commander, Preparatory School, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from the academic departments within Prep School, based on performance of students, Prep School Commander, from tests administered to students, from student.

Systems exempted from certain provisions of the act:

NONE

F06003 ANGBXOB

System name:

Progress Report, Undergraduate Pilot Training

System location:

Office of Director, Air National Guard

Categories of individuals covered by the system:

Air National Guard Undergraduate Pilot Trainees

Categories of records in the system:

Evaluation of Pilot Training Progress

Authority for maintenance of the system:

10 United States Code 275

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used at National Guard Bureau Level to Determine Individual Capability to Perform Safely In Home Unit Weapons Systems

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in safes.

Retention and disposal:

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Air National Guard, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information Obtained from UPT Flying Training DCO

Systems exempted from certain provisions of the act:

NONE

F06005 XOOFF A

System name:

06005 XOOFF A Air Force Operations Resource Management Systems (AFORMS).

System location:

Headquarters United States Air Force and major command headquarters. Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409. Consolidated flight record custodians at Air Force installations.

Categories of individuals covered by the system:

Air Force active duty military personnel. Army, Navy and Marine Corps active duty military personnel. Air Force civilian employees. Air Force Reserve and Air National Guard personnel. Exchange Officers. who are assigned to aviation duties by competent authority are attached to the USAF for flying support or who have been suspended from flying duties for a period of not more than 3 years.

Categories of records in the system:

The base-level AFORMS data base contains a master file of flying records for each individual, in categories listed above,a month-to-date transaction file and a twelve month history file. A centralized file of selected information from each individual's master record is also maintained at HQ USAF. In addition to automated data files, this system uses manual files for maintaining historical data and important source documents. An Individual Flight Record Folder (IFR) is established for each category of fliers listed above and is the prime repository for a monthly computer listing which itemizes each indi-

vidual's flight accomplishments during the month as well as various source documents which serve to validate information entered into the computer data base for the system. Each flight management office maintains a file of Military Pay Orders to provide source documentation of flying pay actions initiated by the flight manager. Information which is maintained in the automated files is derived directly from the AFORMS master file or from subsequent processing of information entered into the master file. Categories of information maintained in the master file are: IDENTIFICATION DATA - provides individual identifiers and other information directly related to each individual in the file. DUTY ASSIGNMENT DATA - Includes information such as the major command of assignment for the individual, the Air Force Specialty Code indicating professional duties, the unit, consolidated flight record custodian, base of assignment, etc. AIRCREW TRAINING AND QUALIFICATION DATA - includes information such as flight and ground professional flying training accomplishments, aircrew qualification status, physical status for flight duties, types of aircraft assigned, etc. UTILIZATION MANAGEMENT DATA - Includes flying experience information, professional qualifications, aviation duties assigned, etc. FLYING PAY ENTITLEMENT DATA - Includes information needed to administer the payment of flying incentive pay for each individual. LOCAL USE DATA - contains information used by major or local command to supplement general system information as needed to meet unique unit requirements within the categories of information listed herein. SYSTEM CONTROL DATA - Contains computer data used to automatically control internal system functions.

Authority for maintenance of the system:

(A) 37 USC 30 (B) Public Law 92-204, section 715.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The AFORMS provides information and automated data processing capabilities used to manage and administer Air Force operations such as aircrew training and evaluation, flight scheduling functions, flying safety and related functions needed to attain and maintain combat or mission readiness. All information is entered into the system by flight managers at the airbase level. This information is then processed for use by flying resource managers at all levels through periodic computer product reports or automated systems interfaces. The specific uses of information and user categories for this system are: BASE LEVEL ACTIVITIES - (1) to establish each member's flying pay entitlement status and to monitor continuing entitlement in accordance with existing directions; (2) to record each individual's flying activities, both hours and specific events, and provide indications of successful attainment of standards or deficiencies; (3) to establish each individual's Aviation Service code for use in indicating type of flying activity or reason for inactive status if applicable; (4) to determine each rated member's eligibility to perform operational or proficiency flying in accordance with existing USAF directives; (5) to provide an indication of each rated member's total operational flying time in terms of total aviation career duties as required by the Aviation Career Incentive Act of 1974; (6) to establish 'suspense lists' for use in scheduling flying personnel for flights, schools, tests and similar events directly related to their duties as professional airmen; (7) to provide each applicable individual and manager with all aviation career profile information needed to monitor flying career development, professional qualifications and training deficiencies; (8) to provide information requested by Operations, or other base functions, which relates to the flying duties and accomplishments of all personnel in the file; (9) to provide statistical data for management analysis and review of all aspects of each base's flying programs, including flying safety data involving AFORMS flying hour/individual information stored in the Norton AFB flying safety data bank maintained by the USAF Inspection and Safety Center. OTHER BASE USERS: CONSOLIDATED BASE PERSONNEL OFFICE - uses information provided by this system, through an automated data interface, to report the flying status of all individuals in the files; provides flying career background information used for assignment actions. ACCOUNTING AND FINANCE OFFICE - uses Military Pay Orders, prepared by flight management offices, to start and stop flying incentive pay in accordance with each individual's flying status and eligibility as reflected by the information in the system; uses the files to perform payment audits to identify individuals being paid improperly. BASE SUPPLY uses flying status information to determine which individuals are qualified to draw all authorized flying equipment. BASE MEDICAL FACILITY - uses system data to determine projected workloads associated with scheduled flight physical examinations. MAJOR COMMANDS - use all system data to measure the effectiveness of subordinate unit training programs and to check command-wide flying effectiveness. AIR FORCE MILITARY PERSONNEL CENTER - uses AFORMS information to establish assignment objectives and career development programs for USAF military personnel in the system. USAF INSPECTION AND SAFETY CENTER - uses flying hour data for each individual to establish historical files for reconstruction of lost or damaged records and to augment the Flying Safety statistical data bank. HQ USAF - uses various identification and flying data to establish statistical data needed to verify the effectiveness of standard procedures, determine the need for policy modification, provide a timely and accurate census of various types of flyers and provide a centralized point for collection and collation of data used by all levels of management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on computer magnetic tapes.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system, by person(s) responsible for servicing the record system in performance of their official duties and individuals in files. Records are stored in locked cabinets or rooms.

Retention and disposal:

Magnetic tape and hardcopy records are maintained in consolidated flight record files for three years following suspension of an individual from flying status. At the end of that period the magnetic tape records are Destroyed by tearing into pieces, pulping, burning, shredding or macerating and the hardcopy files turned over to the individual. Personnel leaving military service are provided their hardcopy files and all tape records are routinely erased. For deceased personnel, tape records are routinely erased and hardcopy folders are provided to the survivors as part of the individual's personal effects.

System manager(s) and address:

Deputy Chief of Staff/Plans and Operations, Headquarters United States Air Force, Washington, D.C.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Include name and SSN. Make base level inquiries to base flight manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces and from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F06604 AFLC A

System name:

Maintenance Labor Distribution and Cost System

System location:

Primary system: Computer Operations Section, Data Automation Branch, Comptroller, at Oklahoma City Air Logistics Center, Tinker AFB, OK; Ogden Air Logistics Center, Hill AFB, UT; Sacramento Air Logistics Center, McClellan AFB, CA; San Antonio Air Logistics Center, Kelly AFB, TX; and Warner Robins Air Logistics Center, Robins AFB, GA.

Categories of individuals covered by the system:

All Air Force personnel (both military and civilian) assigned for duty (both permanently and temporarily) within the maintenance activity at each Air Logistics Center.

Categories of records in the system:

Employee Assignment Master File contains: (1) Social Security Number, (2) Military/Civilian Code, (3) Name, (4) Assigned Resource Control Center, (5) Assigned Shift, (6) Assigned Duty Code, (7) Assigned Special Project Code, (8) Assigned Skill Code, (9) Assigned Foreman Code, (10) Assigned Days Off, (11) Bank Card Counter, (12) Status Code, (13) Date Last Action, (14) Primary Change Effective Date, (15) Primary Change Termination Date, (16) Primary Change Resource Control Center, (17) Primary Shift Change, (18) Primary Change Duty Code, (19) Primary Change Special Project Code, (20) Primary Change Skill Code, (21) Primary Change Foreman Code, (22) Primary Change Days Off, (23) Secondary Change Effective Date, (24) Secondary Change Termination Date, (25) Secondary Change Shift, (26) Secondary Change Duty Code, (27) Secondary Change Special Project Code, (28) Secondary Change Skill Code, (29) Secondary Change Foreman Code, (30) Secondary Change Days Off, (31) Interorganization Loan Indicator, (32) Partial Pay Period Code, (33) Regular Hours Worked Pay Period-to-date, (34) Overtime Hours Worked Pay Period-to-date, (35) Holiday Hours Worked Pay Period-to-date, (36) Compensatory Hours Worked Pay Period-to-date, (37) Hazard Hours Worked Pay Period-to-date, (38) Annual Leave Hours Worked Pay Period-to-date, (39) Sick Leave Hours Pay Period-to-date, (40) Other Paid Leave Hours Pay Period-to-date, (41) Compenssatory Leave Hours Pay Period-to-date, (42) Leave without Pay Hours Pay Period-to-date. Interdirectorate Loan Data File contains: (1) Social Security Number, (2) Military/ Civilian Code, (3) Name, (4) From Resource Control Center, (5) From Shift, (6) From Duty Code, (7) From Special Project Code, (8) From Skill Code, (9) From Foreman Code, (10) From Days Off, (11) To Resource Control Center, (12) To Shift, (13) To Duty Code, (14) To Special Project Code, (15) To Skill Code, (16) To Foreman Code, (17) To Days Off, (18) Monthly Actual Hours. Inter/Intradirectorate Loan Data File contains following information on all affected individuals covered by the system: (1) Social Security Number, (2) Military/Civilian Code, (3) Name, (4) From Resource Control Center, (5) From Shift, (6) From Duty Code, (7) From Special Project Code, (8) From Skill Code, (9) From Days Off, (10) From Foreman Code, (11) To Resource Control Center, (12) To Shift, (13) To Duty Code, (14) To Special Project Code, (15) To Skill Code, (16) To Days Off, (17) To Foreman Code, (18) Starting Date, (19) Date Last Action, (20) Current Month Hours, (21) 1st Previous Month Hours, (22) 2nd Previous Month Hours, (23) 3rd Previous Month Hours.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system is to accumulate labor costs for various workloads accomplished within the maintenance activity. Actual labor rates used within the system are obtained (via the Social Security Number) from the Civilian Payroll System and Military Payroll System.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disk packs for principle storage medium with back-up maintained on magnetic tape.

Retrievability:

Retrieved by Foreman Code, Military/Civilian Code, Resource Control Center.

Safeguards:

All personnel authorized to add, change, or delete records from these files will be issued individually coded badges which are required for submission of transactions. Maintenance activity managers requiring access to update files must request information through the Data Automation Branch. All products containing Privacy Act information bear a notice at the top of each sheet, 'PERSONAL DATA - PRIVACY ACT OF 1974 (PL93-579) FOR OFFICIAL USE ONLY.' Products are controlled by manual distribution to requesting managers.

Retention and disposal:

All Privacy Act information contained in this system is deleted (1) in the case of the Employee Assignment Master File, at the end of the biweekly pay period following termination of an individual's assignment to a maintenance activity, and (2) in the case of files containing loan data, at the end of fifteen months following termination of an employee loan.

System manager(s) and address:

Directorate of ADP Resources Office of DCS/Comptroller, Headquarters, Air Force Logistics Command, Wright-Patterson AFB, OH 45433.

Notification procedure:

Information may be obtained from the Air Logistics Center where an individual is employed: Chief, Cost Accounting Branch, Accounting and Finance Division, Comptroller, at Oklahoma City Air Logistics Center, Tinker AFB, OK 73145; Ogden Air Logistics Center, Hill AFB, UT 84406; Sacramento Air Logistics Center, McClellan AFB, CA 95652; San Antonio Air Logistics Center, Kelly AFB, TX 78241; or Warner Robins Air Logistics Center, Robins AFB, GA 31093.

Record access procedures:

Requests from individuals should be submitted to the maintenance activity at the Air Logistics Center where employed. Written requests should contain the full name, social security number, address, telephone number, and current assignment within the maintenance activity of the requestor, and should be addressed to Director of Maintenance at: Oklahoma City Air Logistics Center, Tinker AFB, OK 73145; Ogden Air Logistics Center, Hill AFB, UT 84406; Sacramento Air Logistics Center, McClellan AFB, CA 95652; San Antonio Air Logistics Center, Kelly AFB, TX 78214; or Warner Robins Air Logistics Center, Robins AFB, GA 31093. Request may also be made by personal contact between requestor and his/her supervisor within the maintenance activity.

Contesting record procedures:

The Air Force's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned may be obtained from the systems manager.

Record source categories:

Information obtained from Civil Service Commission Standard Form 50 accompanying an employee into a maintenance activity, and from the Civilian Payroll System and Military Payroll System.

Systems exempted from certain provisions of the act:

None

F06608 SAC A

System name:

06608 SAC A ICBM Maintenance Standardization and Evaluation Program.

System location:

Headquarters Strategic Air Command (SAC), Eighth and Fifteenth Air Force; all SAC missile wings/divisions; 3901 Strategic Missile Evaluation Squadron. Official mailing addresses are in the Department of Defense directory in the Appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Intercontinental Ballistics Missile maintenance personnel assigned to Missile Maintenance, Munitions, Communications, and Civil Engineering who have been designated by local maintenance managers as being in the evaluation program.

Categories of records in the system:

Evaluation records on technical proficiency, including manual and automated summaries of task performance. Administrative records of Evaluation Review Panels, including comments on substandard task performance, required corrective action or training, and follow-up actions.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record individuals maintenance task performance results. This information is used by SAC to determine, rate, and evaluate individual maintenance performance as it contributes to the unit maintenance effort.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, card files, computer magnetic tapes, and computer paper print-outs.

Retrievability:

Filed and retrieved by name, team number, team type, date.

Safeguards:

Records are accessed by person(s) in performance of official duties. Records are stored in locked rooms or cabinets. Records are controlled by computer system software.

Retention and disposal:

Retained on file until superseded, obsolete, or no longer needed for reference. Destroyed when individual permanently leaves duties assigned in evaluation program. Current records may be forwarded to gaining unit if assigned to another SAC unit. Computerized evaluation records are forwarded periodically to 3901 Strategic Missile

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Evaluation Squadron. Destroyed by tearing into pieces, shredding, pulping, burning or macerating.

System manager(s) and address:

Director of Missile Maintenance, Headquarters Strategic Air Command, Offutt Air Force Base, Nebraska 68113. Functional Area Managers in addition to Director of Missile Maintenance are: Director of Facilities, Director of Munitions and Director of Communications-Electronics. Field evaluation and statistical analysis of evaluation results are performed by 3901 Strategic Missile Evaluation Squadron, Vandenberg Air Force Base, California 93437. System Managers at installation level are: Chief of Maintenance in Missile Maintenance, Communications, Munitions and Civil Engineering Squadrons.

Notification procedure:

Requests for individuals should be addressed to the system manager of unit to which assigned. Request information by name, grade, and unit of assignment.

Record access procedures:

Individual can obtain access from the system manager of unit to which assigned.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as forms and reports) prepared by or on behalf of the Air Force by boards, committees, panels, auditors, instructors, inspectors, evaluators, and so forth.

Systems exempted from certain provisions of the act:

NONE

F06608 0OJUBJB

System name:

Maintenance Management Information and Control System MMICS

System location:

At all Air Force bases that utilize MMICS.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Individuals assigned to organizations involved in the maintenance of aircraft missiles C-E-M and associated equipment.

Categories of records in the system:

Maintenance personnel records.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to establish and maintain data pertaining to a specific individual assigned to a maintenance organization used by work center supervisors maintenance training and administrative personnel and other members of the chief of maintenance staff to maintain basic data relating to an individual and to monitor the overall manning status of an organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are controlled by computer system software.

Retention and disposal:

Maintained until purpose has been served or for 1 month whichever is sooner. Then destroyed by tearing into pieces, pulping, burning, shredding, or macerating.

System manager(s) and address:

Non-commissioned officer in charge of the maintenance documentation section at each unit utilizing MMICS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F06608 0OJUBJC

System name:

Exception Time Accounting (ETA) System (G001A)

System location:

At all Air Force bases that utilize the ETA System.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Individuals assigned to organizations involved in the maintenance of aircraft missiles and associated equipment.

Categories of records in the system:

Master roster records.

Authority for maintenance of the system:

10 US Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to provide a breakout of available and non-available man-hours in various categories of the maintenance activity used by work center supervisors administrative personnel and other members of the chief of maintenance staff to establish and maintain man-hour data on individuals assigned to the maintenance organization and to monitor the expenditure of available man-hours.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are controlled by computer system software.

Retention and disposal:

Maintained until purpose has been served or for 1 month whichever is sooner.

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of data automation at each installation utilizing the ETA System.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F06711 AFSC A

System name:

06711 AFSC A Equipment Maintenance Management Program (EMMP).

System location:

Aeronautical Systems Division, Computer Center, Wright-Patterson AFB, OH.

Categories of individuals covered by the system:

Military and civilian personnel in Aeronautical Systems Division, Air Force Avionics Laboratory, Air Force Flight Dynamics Laboratory, Air Force Aero Propulsion Laboratory, Air Force Materials Laboratory, Air Force Human Resources Laboratory and Aerospace Medical Research Laboratory at Wright-Patterson AFB having custody of high value precision measurement equipment.

Categories of records in the system:

Equipment maintenance management data on equipment signed out to individuals by equipment item number, model number, date checked out, office symbol, calibration due date, user social security number and name.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by and Executive Order 9397, 22 November 1943, Number System for Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain maintenance and management control of high value equipment including issuance, security and storage, and recalibration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes and computer paper printouts.

Retrievability:

Records may be retrieved by custodian name and social security number or by equipment ID number and manufacturer.

Safeguards:

Computer records are maintained under systems software with password control. Printouts are kept in locked cabinets and desks. Offices and buildings are locked after duty hours.

Retention and disposal:

Printouts are kept up to a two weeks maximum and then destroyed by tearing into pieces.

System manager(s) and address:

Air Force Wright Aeronautical Laboratory, Logistics Office, Assistant for Operations, Wright-Patterson AFB, OH 45433.

Notification procedure:

Requests from individuals should be addressed to the system manager. Requesting individuals will be required to supply full name and office symbol or name of immediate supervisor for telephone requests; full name, driver's license or base ID card for personal visits.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager, telephone area code (513) 255-4522.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals and automated systems interface.

Systems exempted from certain provisions of the act:

NONE

F06711 LGYPS A

System name:

Personal Clothing and Equipment Record

System location:

Equipment Management Offices at Air Force installations.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Active duty military and reserve air crew personnel.

Categories of records in the system:

Expendable and non-expendable individual personal clothing and equipment records.

Authority for maintenance of the system:

10 United States Code 9832 Property Accountability Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintenance of authorized clothing and equipment issued to air crew members. Periodically reviewed by supply personnel and certified by the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained as paper records and stored in vertical file folders.

Retrievability:

Filed by last name, first initial and last four digits of social security account number.

Safeguards:

Stored in file cabinets in locked rooms.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

The individual is reassigned, original records are transferred to the new installation. The copy retained at the previous station is destroyed after six months. When the individual is discharged, the signed copy of the record is forwarded to the consolidated base personnel office for disposition. The originals are retained by Equipment Management function and destroyed after the turn-in of all equipment by the individual.

Records are then destroyed by tearing into pieces, shredding, macerating, pulping or burning.

System manager(s) and address:

Deputy Chief of Staff/Systems and Logistics, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F06711 0OJUBJA

System name:

Tool Kit Control Card

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Individuals assigned tool kits at US Air Force National Guard Bureau, AF Reserve (AFRES) Locations

Categories of records in the system:

Tool kit control card.

Authority for maintenance of the system:

10 US Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

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Insures identification of personnel who has responsibility of safe guarding an individual tool kit. Category of user is USAF supply organizations, National Guard Bureau supply activities, and AFRES supply activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by other identification number or system identifier.
Conventional numerical sequence by tool kit number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Tool issue center office chief.
Chief of Air Force Reserve, Headquarters United States Air Force.
Deputy Chief of Staff/Systems and Logistics, Headquarters United States Air Force.
Director of Air National Guard, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Tool issue center office chief.

Systems exempted from certain provisions of the act:

NONE

F07001 0EACYVA

System name:

Accounts Payable Records

System location:

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
At accounting and finance offices at Air Force bases. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
at Air Force components listed in the Department of Defense Directory in the appendix to the Air Force system notice, and some records are stored at the Denver Federal Archives and Record Center, Bldg 48, Denver Federal Center, Denver, CO 80225.

Categories of individuals covered by the system:

Individuals who have monies owing to them by the Air Force or who have performed an official function resulting in a valid debt payable by the Air Force to a third party. Such individuals include, but are not limited to, contractors, military and civilian personnel and their dependents, assignees, trustees, guardians, survivors, claimants having tort or compensation claims against the Air Force for personal injuries or property damage.

Categories of records in the system:

Types of records include, but are not limited to, contracts, purchase orders, temporary duty and permanent change of station orders, transportation requests, government bills of lading, tort claims, compensation claims, correspondence with creditors, dependents of military personnel and civilian employees.

Authority for maintenance of the system:

31 U.S.C. 492; 31 U.S.C. 82e; 31 U.S.C. 66c; 37 U.S.C. 404; 37 U.S.C. 406.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to support payments to creditors who may include military personnel and civilian employees, their dependents, survivors, guardians and trustees, contractors, vendors, claimants in tort and compensation claims and assignees. When authorized, records may be disclosed to creditors, dependents, claimants, Air Force and other Department of Defense components, Internal Revenue Service (for tax purposes, including assessments, levy action, employer/employee social security taxes), Air Force Office of Special Investigation and Federal Bureau of Investigation (for investigation of possible criminal violations), Department of Justice (for criminal prosecution, civil litigation and investigation), Social Security Administration and Veterans' Administration (for verification of claims and eligibility for benefits administered by such agencies), and state and local authorities (for matters pertaining to taxation, welfare, and criminal and civil litigation within the jurisdiction of such authorities). Records may also be disclosed to the General Accounting Office and the Comptroller General (for audit purposes and for decisions on payments), and to members of the general public pursuant to the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Maintained in card files.
Maintained on computer paper printouts.
Maintained on magnetic cards.
Maintained on roll microfilm.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Retention periods of various types of documents vary from one month to permanent. Some records are destroyed by the Base Accounting and Finance Offices at base level by tearing, shredding, pulping, macerating, or burning; others are retired to the Denver Federal Archives and Record Center and destroyed after varying retention periods by sale to salvage paper companies for shredding.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force.
Director, Accounting and Finance, United States Air Force (USAF). Accounting and Finance Officers at Air Force installations.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/RMAD, Denver, CO 80279. Telephone area code 303/825-1161 ext 6341. Information pertaining to geographically dispersed elements of the record system may be obtained from documentation managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/RMAD, Denver, CO 80279. Telephone area code 303/825-1161 ext. 6341. Information pertaining to geographically dispersed elements of the record system may be obtained from documentation managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Sources include, but are not limited to,
Information obtained from automated system interfaces.
Information obtained from a corporation.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. contractors, vendors, claimants, trustees, assignees, Air Force and other Department of Defense components, carriers, General Accounting Office, Comptroller General; and Veterans Administration.

Systems exempted from certain provisions of the act:

NONE

F07503 AA A

System name:

07503 AA A Office, Secretary of Air Force Travel Files

System location:

Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Military, civilian, statutory, Congressional and others sponsored by Secretaries of Air Force and/or Defense.

Categories of records in the system:

Travel orders and transportation authorizations, paying agent orders, passport information, and travel vouchers.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide reference in response to individual and/or offices requests for actual purposes of travel, costs and records utilized for future planning. Copies of orders on file in Director of Administration, Headquarters U. S. Air Force, Washington DC 20330, for record of authentication. Copies of paying agent orders on file Director of Administration, Headquarters U. S. Air Force Washington DC 20330 for record of payments. Travel on file at US Air Force Accounting and Finance Center, Denver CO record of Air Force expenses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/ note books/binders/card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms. Access controlled by assistant manager and restricted to authorized personnel.

Retention and disposal:

Records on currently assigned personnel are retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed. Transportation authorization and Invitational orders are retained in office files for one year after annual cutoff then destroyed. Paying agent orders are retained in office files for two years after annual cut-off, then destoyed. Records contained in this system are destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Administrative Assistant to the Secretary of the Air Force, the Pentagon, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Air Force channels from agencies and individuals requesting Air Force travel.

Systems exempted from certain provisions of the act:

NONE

F075031LGTT A

System name:

075031LGTT A Personal Property Movement Records

System location:

Traffic Management Office or Air Force controlled Joint Personal Property Shipping Offices at Air Force Activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Persons who shippped personal property through an Air Force controlled activity.

Categories of records in the system:

Application, orders, inventory, Government Bill of Lading, Certificates of Approval or Disapproval, Power of Attorney, carrier and/or contractor documentation, Inspection Report, and Counseling Checklist.

Authority for maintenance of the system:

10 USC 33.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determination of shipment eligibility and lawful entitlements by the Traffic Management Officer. Basis for expenditure of public funds and contracts with commercial carriers. Releasable to auditors, accounting and finance, and other government services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for three years after annual cutoff; transferred to Regional Federal Records Center for indefinite retention.

System manager(s) and address:

Deputy Chief of Staff, Systems and Logistics, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Request from individual should be addressed to the systems manager. Include Individual's name, service, Social Security Number, type of shipment, origin, destination, and the date of application. Any means of positive identification is acceptable.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Government Inspector's Quality Control Report. Information also obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F0750310OJUBJH

System name:

Household Goods Nontemporary Storage Accounts System (NOTEMPS)

System location:

At all Air Force bases having personal property responsibility.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Retired Air Force military personnel.

Dependents of military personnel.

Categories of records in the system:

Applications for storage, travel orders, substantiating documents

Authority for maintenance of the system:

10 US CODE 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assist in managing, controlling and payment of contractors for services rendered for storage services. Users are base level traffic management offices (TMO), finance offices (AFO) and local commercial contractors. Information used by TMO to maintain, identify lots, determine excess cost and perform payment actions for storage accounts. AFO will use information to process invoices for payment. Contractors will use data to verify and certify invoices for payment for services rendered against individual storage lots.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on disks or drums.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.
Conventional indices required to retrieve records.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Rule 7 Retain in office files for 2 years, transfer to staging area for 1 year and destroy by tearing, shredding, pulping, macerating or burning. Rule 8 Destroy after 6 months by tearing, shredding, pulping, macerating, or burning. Rule 11 Retain in office files for 2 years and destroy by tearing, shredding, pulping, macerating, or burning. Rule 12 Destroy after 6 months by tearing, shredding, pulping, macerating, or burning. Rule 14 Retain in office files for 2 years and transfer to staging area for 1 year then destroy by tearing, shredding, pulping, macerating or burning. Rule 16 Retain in office files for 2 years then transfer to staging area for 1 year and then destroy by tearing, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff, Systems and Logistics, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Individual requests should be addressed to the systems manager. Base traffic management offices contain individual record data. Visits must provide name, grade, SSAN and identification card.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from individuals, applications for storage of household goods, travel orders, and substantiating documents.

Systems exempted from certain provisions of the act:

NONE

F07601 MAC A

System name:

07601 MAC A Passenger Reservation and Movement System.

System location:

Headquarters Military Airlift Command (MAC), Scott AFB, Illinois; Aerial Ports of Embarkation and Debarkation, military airfields or installations (all Services), certificated air carriers at civil (commercial) airports, and any activity or agency responsible for initiating or receiving a request for the movement of personnel and their baggage; manifesting, tracing and billing actions; and statistical data collection. Official mailing addresses are in the Department of Defense directory or the current United States Government manual. Commercial air carrier addresses are listed in the Official Airlines Guide.

Categories of individuals covered by the system:

Military, civilian, statutory, congressional and others sponsored by the Secretary of Defense or Military Service Secretaries. The Executive Office, Executive departments, independent agencies, Legislative Branch and the Judicial Branch.

Categories of records in the system:

Travel order, transportation authorizations, and passenger name records. Categories of information in the passenger name record include but are not limited to: name, grade, seats required; reservation identification code (RIC) which is assigned by a requesting activity or individual passengers and is the social security number or other unique identifier; origin, destination, requested travel dates, routing indicator (identifies the activity/installation requesting the reservation), cancellation and type standby codes (identifies the reason the passenger did not depart as scheduled); flight number, departure date and reporting time, and other administrative codings as determined by a Service activity or MAC to facilitate the completion of travel to include baggage tracer and billing actions. The passenger name record is a complete listing of all transportation related administrative actions related to individual passengers.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Passenger name records are used to prepare aircraft manifests for passenger identification processing and movement on military aircraft, commercial contract (charter) aircraft, and on seats reserved (blocked) on regularly scheduled commercial aircraft at military and civilian airports. Records in this system are also used to: (a) develop billing data to the user Military Services or other organizations; (b) determine passenger movement trends; (c) forecast future travel requirements; and (d) identify, research, and resolve transportation related problems. In addition, records may also be used as the basis of disciplinary action initiated by the requesting activity; and the conduct of official investigations. Records from the system are routinely disclosed to other Federal agencies and offices provided transportation, and to civilian airlines and airports for transportation services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, notebooks/ binders, card files, computer paper printouts, computer magnetic tapes, disks, microfiche or rolled microfilm.

Retrievability:

Records on this system may be retrieved by any of the following means: by name - RIC (SSN) channel, flight number, movement channel, type transaction, type travel, special passenger category, type standby code, passenger cancellation reason code.

Safeguards:

Records are stored in locked cabinets, rooms or buildings. Records are accessed by the custodian and person(s) responsible for servicing the record system in performance of their official duties. Access controlled by the manager and restricted to authorized personnel and, executive software sign on procedures control access to the computer data base.

Retention and disposal:

Transportation authorizations and orders are retained in office files for two years after the annual cut-off, then destroyed. Other records in the system are retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed. These records are destroyed by one of the following means: by tearing into pieces, shredding, pulping, macerating, burning, or degaussing in the case of magnetic computer media.

System manager(s) and address:

Director of Terminal Operations, Deputy Chief of Staff, Air Transportation, Headquarters Military Airlift Command, Scott AFB, Illinois 62225.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Full name, reservation identification code, and movement channel are required for inquiries.

Record access procedures:

Individuals can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from military transportation and personnel activities, individuals requesting air travel or from other agencies designated to arrange air passenger reservations.

Systems exempted from certain provisions of the act:

NONE

F07702 LGTN A

System name:

Motor Vehicle Operators' Records

System location:

Base Drivers Training and Qualification Section.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All military and civilian personnel issued a United States Government Motor Vehicle Operator's Identification Card.

Categories of records in the system:

Application, test results, medical evaluation, accident history, traffic citations and driver awards.

Authority for maintenance of the system:

Title 10 United States Code 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determination of operator eligibility by Vehicle Operations Officer. Used as basis for issue of a Government motor vehicle operator's identification card. Releasable to Safety and Law Enforcement authorities for investigation and possible criminal prosecution or civil court action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until discharge, separation, or reassignment of the individual, then returned to servicing consolidated base personnel office for destruction by tearing, shredding, pulping, macerating or burning.

System manager(s) and address:

Deputy Chief of Staff, Systems and Logistics, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Request should be addressed to the systems manager.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from witnesses.
Department of Transportation.

Systems exempted from certain provisions of the act:

NONE

F08001 0HMASIS

System name:

Research and Development Planning and Programming Records

System location:

Headquarters, Air Force Systems Command (AFSC), Andrews AFB, Washington, DC 20334. AFSC Laboratories. Aerospace Medical Division (AMD), Brooks AFB, Texas 78235. Civil Engineering Center (AFCEC), Tyndall AFB, Florida 32401. Air Force Armament Laboratory (AFATL), Eglin AFB, Florida 32542. Washington National Records Center, Washington D.C. 20409, for retired files.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

AFSC Contracting Officers, European Office Aerospace Research and Development Technical Officers; AFSC work monitors, investigators of contractual or in-house work, authors of technical reports and publications of contractual or in-house work.

Categories of records in the system:

Management and Scientific Information System (MASIS); Identification data on project planning and budgeting; unsolicited research proposals; contracts, grants, in-house work; publications, technical reports, and products.

Authority for maintenance of the system:

U.S.C. 133; and 10 U.S.C. 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system provides data on Research, Development, Test and Evaluation (RDT&E) that is planned, proposed, monitored, or performed by MASIS reporting activities. Information in the system is collected to satisfy Air Force RDT&E reporting require- ments to the Director of Defense Research and Engineering via the Defense Docu- mentation Center's Work Unit Information System and the Research and Development Planning Summary. The system also provides a centralized system for management and scientific information related to the reporting activity's program. It is used by Headquarters AFSC staff and field activities for internal management purposes and as means to answer varieties of inquiries from the Department of Defense, other Government Agencies, Congress, or the scientific community at large.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.

Retrievability:

Information is accessed and retrieved through a multiple number of data elements, including names and individual code identifiers maintained on computer indices. Indices are not required to retrieve records from the system.

Safeguards:

A Product Control Number issued by a focal point is necessary to gain entry to the record system. Access is authorized to all elements of AFSC Staff and all reporting activities.
Records are stored in locked cabinets or rooms.
Records are stored in safes.

Retention and disposal:

Records are to be maintained permanently; retired to Washington National Records Center Washington D.C. 20408, 2 years after termination or completion of effort.

System manager(s) and address:

Director of Science and Technology/Headquarters, Air Force Systems Command; Commanders/AFSC Laboratories; Commander/AMD; Commander/AFCES; and Commander/AFATL.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Information required from the individual to determine if the system contains a record about him or her is their full name. For personal

V 44 DE 17 79 UMI

visits, requester should provide full name, drivers license, or other proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from AFSC Laboratories, AMD, AFCEC, and AFATL.

Systems exempted from certain provisions of the act:

NONE

F08002 0JMPLSA

System name:

Research and Development (R&D) Projects Records.

System location:

At Officer Training School (OTS) United States Air Force, Lackland Air Force Base, TX 78236.

Categories of individuals covered by the system:

Pilot candidates prior to T-41 flight screening program.

Categories of records in the system:

Experimental psychological psychomotor medical results.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Develop new ground-based system for pilot candidate selection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff, Research and Development, Headquarters United States Air Force Washington, D. C. 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

None.

F08003 OBXQPCA

System name:

08003 OBXQPCA Minnesota Multiphase Personality Inventory Research Program

System location:

United States Air Force Academy, USAF Academy CO 80840.

Categories of individuals covered by the system:

Air Force Academy and Preparatory School cadets

Categories of records in the system:

Personality tests results, group data analyses.

Authority for maintenance of the system:

10USC903

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of System: Used in research analyses concerning relationships, personality and personality and performance. Category of User: Superintendent and Academy Board. Specific Use: Used in a research manner to evaluate personality variables on cadet performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes, computer paper printouts and magnetic cards.

Retrievability:

Cadet Number

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Dean of Faculty at United States Air Force Academy, Co 80205

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

The individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual.

Systems exempted from certain provisions of the act:

NONE

F08003 0HCNBCA

System name:

08003 0HCNBCA Aeromedical Research Data.

System location:

Aerospace Medical Division(AMD) Brooks Air Force Base, TX 78235.

Categories of individuals covered by the system:

Personnel receiving medical evaluations from Department of Defense medical facilities. Participants in epidemiologic studies sponsored by agencies of the Department of Defense, Federal Aviation Administration, Veterans Administration, The National Institute of Health, National Research Council, and Occupational Safety and Health Administration.

Categories of records in the system:

Medical evaluations, Demographic and mortality data.

Authority for maintenance of the system:

10 US Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Individually identifiable records are used by medical authorities and consultants of the Department of Defense and Federal Aviation Administration to determine that individual's fitness for duty. Data on foreign personnel are used by the corresponding authority in that individuals country to determine his fitness for duty. An individual's record is used by medical personnel to deliver medical care to that patient. Acromedical research data are used by scientists working with agencies of the Department of Defense, Federal Aviation Administration, Veterans Administration, The National Institute of Health, National Research Council, and Occupational Safety and Health Administration to determine medical criteria for duty, and to develop methods to prevent disease and disability.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in microfilm jackets, in paper files, on analog and digital magnetic tape, and on disks.

Retrievability:

Filed by Name, by Social Security Number (SSAN), by other identification numbers and patient characteristics. by Social Secuirty Number *SSN*.

Safeguards:

Computerized patient records retrievablle from remote terminals are protected from unauthorized access or alteration by a data management system which requires a password for allowing access to the authorized subset of data. When appropriate for research purposes, the data base management system permits scientists to examinpatient records without revealing the unique patient identifiers. All of the data is accessed only by the custodian of the record system, and released only to medical personnel and scientists who are properly screened and cleared for need to know.

Retention and disposal:

Destroy paper and microfilm files when no longer needed or after 25 years by tearing, shredding, pulping, macerating or burning. Magnetically stored date is destroyed by erasure.

System manager(s) and address:

Commander Aerospace Medical Division, Brooks Air Force Base, TX 78235.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from military personnel records.

Systems exempted from certain provisions of the act:

NONE

F08003 0HMPLSA

System name:

Personnel Research Laboratory Historical Data Base File.

System location:

Air Force Human Resources Laboratory(AFHRL) Lackland Air Force Base, TX 78236.

Categories of individuals covered by the system:

former
Air Force active duty officer personnel.
Air Force active duty enlisted personnel.

Categories of records in the system:

Statistics on military personnel including trends analysis.

Authority for maintenance of the system:

10 US Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Research reference file used by U. S. Air Force Military Personnel Center, Air Training Command, and Headquarters U. S. Air Force Washington, DC 20330 specific uses-identify aptitude motivation morale factors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on microfiche.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander Air Force Human Resources Laboratory.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

AFHRL-DAD or
Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from military personnel file.

Systems exempted from certain provisions of the act:

NONE

F09503 0JMPLSA

System name:

Sound Recordings.

System location:

At Officer Training School (OTS) United States Air Force (USAF) Lackland Air Force Base, TX 78236

Categories of individuals covered by the system:

Students meeting a faculty board.

Categories of records in the system:

Taped faculty board proceedings.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference material for school use in placing, assigning students.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on a recording.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff Personnel, Headquarters United States Air Force Washington, D.C. 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Faculty board proceedings and students training record.

Systems exempted from certain provisions of the act:

NONE

F10010 AFCS A

System name:

10010 AFCS A Military Affiliate Radio System (MARS) Member Records.

System location:

At Headquarters Air Force Communications Service (AFCS), subordinate headquarters, and Air Force installations. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Force systems notice. At MARS member stations.

Categories of individuals covered by the system:

Amateur Radio Operators licensed by United States Air Force (USAF) MARS.

Categories of records in the system:

MARS Personnel Action Notification and Registration; MARS Station Questionnaire; Application for Membership in Military Affiliate Radio System. Information includes individuals name, MARS call sign, amateur call sign, mailing address, Federal Communications Commission (FCC) license class, MARS assignment, communications capability, MARS position, military status, and telephone number.

Authority for maintenance of the system:

10 USC 8012 Secretary of Air Force, powers and duties; delegation by. Routine uses of records maintained in the delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify MARS members, to describe and update information concerning members, station capability, MARS assignment and position status, to assign call signs and designators, to specify operational parameters and constraints, mailing address, amateur license, telephone number, and responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and/or apperture cards.

Retrievability:

Filed by name, by call sign or designator and geographic location.

Safeguards:

By authorized personnel in the course of their duties who are properly screened and cleared for need-to-know. Stored in file cabinets.

Retention and disposal:

At HQ AFCS, retained until termination of membership or alteration of information and then destroyed by tearing to pieces, shredding, pulping, macerating or burning. At MARS stations, retained in office files until reassignment or termination of membership and then destroyed by tearing to pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Directorate of Systems Evaluation, Deputy Chief of Staff for Operations, HQ AFCS, Scott AFB IL 62225, and Director of Operations at all other levels.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Appoint MARS officials and Base MARS Directors.

Systems exempted from certain provisions of the act:

NONE

F11001 AJA

System name:

Judge Advocate Personnel Records

System location:

At Office of The Judge Advocate General At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All Air Force active duty judge advocates, Air Force Reserve mobilization augmentees attached to Headquarters USAF, Office of The Judge Advocate General, Air Force civilian attorneys employed in classification series GS-905 and GS-1222, active duty Air Force applicants for Funded Legal Education Program and Excess Leave Program

Categories of records in the system:

Educational background, certificate of admission to the bar, career management questionnaire, career objective statement, active duty and reassignment orders, correspondence relating to the individual, Military Personnel Center computer data, classification/on-the-job training actions, Judge Advocate General Reserve Personnel Questionnaire, Headquarters USAF active duty and attachment orders, training reports, authorizations for inactive duty training, civilian personal qualifications statement, notification of personnel actions, statement of good standing before the bar, transcript of law school record, statement of availability for Air Force civilian attorney vacancies, actions by Ad Hoc Selection Committee and Air Force Civilian Attorney Qualifying Committee, Judge Advocate interview, letter of acceptance from an American Bar Association accredited law school, application and agreement, LSDAS report, transcript of all undergraduate and graduate education, letters of recommendation.

Authority for maintenance of the system:

10 USC 8072, 10 USC 806, 10 USC 261, 62 Stat. 1014, 5 USC 3301, Executive Order 10577, 10 USC 2004

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used by The Judge Advocate General, Assistant Judge Advocate General, Executive, and Career Management Personnel in evaluating and selecting judge advocates for specific assignments, training, and advanced education; mobilization augmentee records are also used by the Reserve Advisor to The Judge Advocate General, Division Chiefs, Office of The Judge Advocate General in monitoring and evaluating reservists training assignments and in preparing performance evaluations; civilian records are used by the Executive Secretary and members of Ad Hoc and Air Force Civilian Attorney Qualifying Committees in evaluating and selecting civilian attorneys for appointment to Air Force position vacancies and promotions; Funded Legal Education and Excess Leave Program records are used by The Judge Advocate General, Assistant Judge Advocate General, Career Management personnel, and selection board members in monitoring, evaluating and selecting the best qualified applicants for the programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Judge Advocate Officer Personnel records and Funded Legal Education and Excess Leave Program records are retained in office files for three years after the individual terminates military service, or until no longer needed for reference, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Other records: Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Full name and SSAN must be furnished. Visits may be made to HQ USAF/JAEC, Rm 7A251, Forrestal Bldg, Wash, DC 20314. Valid identification card, driver's license or equivalent must be presented.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers. Information obtained from educational institutions. Information obtained from automated system interfaces. Information obtained from a state or local government. Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Also from Air Reserve Personnel Center

Systems exempted from certain provisions of the act:

NONE

F11001 IGQ A

System name:

11001 IGQ A Inspector General Records Freedom of Information Act

System location:

Office of the Inspectors General and Base Inspectors

Categories of individuals covered by the system:

All those who have requested information from the Inspectors General or Base Inspectors under the Freedom of Information Act on matters related to the Department of the Air Force.

Categories of records in the system:

Reports, forms, letters, messages, witness statements and miscellaneous documents. Some records are classified.

Authority for maintenance of the system:

5 USC 552

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected to insure just, thorough, and timely resolution and response to complaints or queries, and a means of improving morale, welfare, and efficiency of organizations, units, and personnel by providing an outlet for redress. Used by the Inspectors General and Base Inspector in the resolution of complaints and response to queries involving the Department of the Air Force and in some instances the Department of Defense. Used by the correction board for the correction of records. Used by members of Congress and their staffs to conduct research and prepare replies in response to constituent inquiries. Used by commanders and their staffs to resolve issues, take action and provide information where applicable. Used by the General Accounting Office and its officers and employees to conduct audits and other statutory functions. Used by those who request information releasable as a summary, statement of facts, or reply to query considered not exempt. In these cases, requestor should apply to office where complaint was filed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN) and year and office where complaint was filed.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes and locked cabinets or rooms and are controlled by personnel screening.

Retention and disposal:

Retained in files for 5 years then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Inspector General, Headquarters United States Air Force. WASHINGTON D C 30330

Notification procedure:

Request from individuals should be addressed to the office where the complaint or query was filed or to the Base Inspector.

Record access procedures:

Individual can obtain access from the System Manager. Mailing addresses are in the Department of Defense Directory in the Appendix to the Air Force's Systems Notices.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Records are obtained from the individual requestor, witnesses, complainants, Department of the Air Force organizations, and agencies of Federal, State, or Local Governments, as applicable or appropriate, for processing the case.

Systems exempted from certain provisions of the act:

NONE

F11001 JACA H

System name:

Legal Assistance Administration

System location:

At Headquarters United States Air Force, Washington DC 20330. At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Dependents of military personnel.
and Retired military personnel

Categories of records in the system:

Personal Letters and Documents furnished by person seeking advice and legal assistance record

Authority for maintenance of the system:

L0 USC 8072

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records kept to render proper advice for continuing assistance Used by attorney and client with attorney-client relationship to assist in personal legal problems

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

All Legal Assistance Officers

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information furnished by client

Systems exempted from certain provisions of the act:

NONE

F11001 JACL F

System name:

Freedom of Information Act Appeals

System location:

Office of The Judge Advocate General, General Litigation Division,

At Headquarters United States Air Force, Washington DC 20330. JACL

Categories of individuals covered by the system:

All those who have appealed to the Secretary of the Air Force from denials of Freedom of Information Act, 5 USC 552, requests for information or records and those to whom the requested information or records apply

Categories of records in the system:

Letters, memoranda, legal opinions, reports, messages, forms, miscellaneous documents

Authority for maintenance of the system:

5 USC 552

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected to evaluate appeals to the Secretary of the Air Force from denials of requests for records or information sought pursuant to the Freedom of Information Act; used by General Litigation Division members in preparing legal opinions and recommendations for the Secretary of the Air Force concerning the determination of appeals brought under the Freedom of Information Act; used by the Department of Justice in litigation; used by the Air Force Audit Agency to conduct audits; used by members of Congress and members of their staffs for the resolution of constituent inquiries; used by Air Force agencies to provide guidelines and precedents

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Retired records accessed through JACL office.

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are controlled by personnel screening.

Retention and disposal:

Retained in Office files for two years, then transferred to the General Services Administration where they will be destroyed after three additional years by tearing into pieces, shredding, pulping, macerating, or burning

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Requesters must submit the following information: Name, Grade (if applicable); requester may visit the Office of The Judge Advocate General, General Litigation Division, Room 7H021, Forrestal Building, Washington, DC, Requester must present valid identification card or Driver's License

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.

Information obtained from medical institutions.

Information obtained from an international organization.

Information obtained from witnesses.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F11001 JAG A

System name:

11001 JAG A Litigation Records (Except Patents).

System location:

At Headquarters United States Air Force, Washington, DC 20330. At Headquarters of Major Commands and all levels down to and including Air Force installations worldwide. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All individuals who have brought suit against, or been involved in litigation with, the United States or its officers or employees concerning matters related to the Department of the Air Force; or persons against whom litigation has been filed under 28 USC 134b, 46 USC 741-52, 4781-90, 31 USC 71, 951-3, 42 USC 2651-3.

Categories of records in the system:

Pleadings, motions, interrogatories, orders, letters, messages, forms, reports, surveys, contracts, bids, photographs, legal opinions, answers, complaints, memoranda; personnel, finance, medical, business records; audits, summons, English translations of foreign documents, other evidentiary material, court orders and rulings; other documents including but not limited to: Environmental Impact Statements, contract determinations, witness statements, law enforcement agency investigative reports, administrative reports, engineering and technical reports and surveys; some records may be security classified.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by. Routine uses of records maintained in the delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by USAF personnel tasked with supervisory and reporting responsibilities in connection with civil litigation; to enable the United States and its officers, employees, members, and parties to the litigation upon which suits at law can be prosecuted or defended in civil domestic or foreign litigation; used by Department of Justice and its officers and employees in the actual litigation of cases involving matters concerning the Department of the Air Force and in some instances the Department of Defense; 9to provide to Congress information upon which a reply to 9Congressional inquiries can be made; used by the Veteran's Administration and its officers and employees to adjudicate claims; to obtain from the Surgeon General and the military 9and civilian medical consultants thereto medical opinions 9upon which litigation decisions can be made by The Judge Advocate General and the Department of Justice; to provide information to the Court of Claims on legislative referral of private relief bills; used by law enforcement agencies, such as the Federal Bureau of Investigation, and their officers and employees in the conduct of background investigations and criminal investigations; used by the Air Force Audit Agency in conducting audits; used by the Board for 9the Correct of Military Records; used by the Air Force Accounting and Finance Center and its officers and employees 9for the adjudication of claims; when the Department of 9Defense or a military department is involved, civil liti9gation files are provided to any agency of the Department of Defense having a need for such files; provide litigation files to the legal staffs of the armed forces for the purpose 9of training of legal, paralegal and administrative personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name of litigant and year of litigation.

Safeguards:

Records are accessed by authorized personnel in the course of their duties. Records are stored in locked containers or rooms and controlled by personnel screening.

Retention and disposal:

Files at the Claims Tort Litigation Division, Office of the Judge Advocate General, HQ USAF, are retired permanently at Washington National Records center, Washington, DC 2040, other levels destroy after two years upon completion of agency action; destroy after two years if files under 42 USC 2651-3. Destroy by tearing into pieces, shredding, macerating, pulping, or burning. Other records are retained in office files for two years after annual cut-off, then retired

to Washington National Records Center, Washington, DC 2040, for permanent retention.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force, Washington DC 20330. Subsystems Managers are the Staff Judge Advocate at concerned subordinate command or installation for foreign civil litigation records.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager or Subsystems Manager as appropriate.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager or Subsystems Manager as appropriate.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Court records, correspondence initiated by parties to litigation, reports prepared by or on behalf of the Air Force, reports of Federal, state, local or foreign government agencies and information obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F11001 SAFPC A

System name:

Air Force Discharge Review Board Voting Cards

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Former Air Force Personnel who submit applications for review of discharge/ separation/dismissal.

Categories of records in the system:

Voting cards.

Authority for maintenance of the system:

10 United States Code 1553 - Review of Discharge or Dismissal

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Air Force Discharge Review Board to record votes of board members on indidividual cases.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for fifteen years from latest hearing and then destroyed by burning or shredding.

System manager(s) and address:

Director, Secretary of the Air Force Personnel Council, Washington, D.C. 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Written requests should contain the full name, service number and social security account number of the requestor. Personal visits may be made to room 920, Commonwealth Building, 1300 Wilson Blvd, Arlington, VA. Personal visitors must supply full name service number, social security account number and some form of identification such as driver's license, credit cards, etc.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's military personnel record.

Systems exempted from certain provisions of the act:

NONE

F11001 SAFPC B

System name:

Air Force Discharge Review Board Case Control/Locator Cards

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

Former Air Force Personnel who submit applications for review of discharge/ separation/dismissal.

Categories of records in the system:

Case control/locator cards.

Authority for maintenance of the system:

10 United States Code 1553 - Review of Discharge or Dismissal.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel at the Air Force Military Personnel Center who are responsible for servicing the Air Force Discharge Review Board to keep track of cases and to record the daily activity relating to each case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are controlled by personnel screening.

Retention and disposal:

Retained permanently at the Air Force Military Personnel Center.

System manager(s) and address:

Director, Secretary of the Air Force Personnel Council, Washington, D.C. 20330.

Notification procedure:

Written requests should be addressed to: AFMPC/DPMDRAI Randolph AFB, TX 78148. Such requests should contain individual's full name, service number and social security account number. Personal visits may be made to to the Air Force Military Personnel Center, Systems Management Division, Randolph AFB, Texas. Personal visitors must supply their full name, service number, social security account number and provide some form of identification such as driver's license, credit cards, etc.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual's application form and military personnel record.

Systems exempted from certain provisions of the act:

NONE

F11001 0EACYVA

System name:

Legal Administration Records of the Staff Judge Advocate

System location:

At Air Force Accounting and Finance Center, Denver CO 80279.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force active duty enlisted personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Retired Air Force general officers.
Dependents of military personnel.
Air Force Academy cadets.

Categories of records in the system:

Legal opinions and supporting documents including, but not limited to, opinions on losses of Air Force funds; reports of survey on loss or damage of Air Force equipment, remission of indebtedness of active duty Air Force members; waiver of claims of the United States arising out of erroneous payments of pay and allowances; legal assistance; garnishment of wages of active duty, reserve and retired pay of Air Force military and civilian personnel; Freedom of Information Act and Privacy Act interpretations and opinions; and correspondence relating to the above subjects with other Air Force and Department of Defense components, United States attorneys, attorneys, Air Force Officers and members (and dependents thereof), former spouses of Air Force Officers and members, and federal, state and local agencies, including, but not limited to, the Federal Bureau of Investigation (F.B.I.), Internal Revenue Service, Social Security Administration, and state and local welfare agencies.

Authority for maintenance of the system:

37 U.S.C. 101 et seq; 31 U.S.C. 95a; 31 U.S.C. 492a-c; 40 U.S.C. 721-729; 39 U.S.C. 712; 5 U.S.C. 5512; 37 U.S.C. 1007; 31 U.S.C. 82a-1; 10 U.S.C. 9832; 10 U.S.C. 9835; 32 U.S.C. 710; 5 U.S.C. 552 and 552a; 10 U.S.C. 9837(d), 10 U.S.C. 2774; 32 U.S.C. 716; 5 U.S.C. 5584.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to review and make recommendations in cases including but not limited to cases involving losses of funds; reports of survey; remission and waiver of indebtedness; garnishment of pay; Freedom of Information and Privacy Acts; and legal assistance. Users of the record system include, but are not limited to, the Air Force Accounting and Finance Center (AFAFC) ; other Air Force and Department of Defense (DoD) components; individual Air Force Officers and members and their dependents, former spouses of Air Force Officers and members; attorneys; United States attorneys; Internal Revenue Service; Social Security Administration and state and local agencies. All users of the record system use information from the record system to obtain information, advice and recommendations in the areas of losses of Air Force funds, reports of survey, remission and waiver of indebtedness, garnishment of pay, and Freedom of Information and Privacy Acts. Information is provided in appropriate cases to law enforcement agencies, such as the F.B.I., Internal Revenue Service, Social Security Administration and Office of Special Investigations, Department of the Air Force (OSI), for investigation and possible criminal prosecution, civil action or regulatory process. Disclosure of legal assistance records is limited in accordance with the attorney-client privilege. Disclosures made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in visible file binders/cabinets.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Records are maintained at office of Staff Judge Advocate, Air Force Accounting and Finance Center (AFAFC/JA) for two years, or whenever their purpose has been served, whichever is later, and then destroyed by tearing or shredding. Significant cases involving legal opinions establishing precedent are transferred to subject files after two years and retained indefinitely.

System manager(s) and address:

The Staff Judge Advocate, United States Air Force; Staff Judge Advocate, Air Force Accounting and Finance Center.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/RMAD Denver Co 80279 telephone: area code 303/ 825-1161, ext. 6341. The requester should be able to provide sufficient proof of identity, such as name, social security number, military status, duty station or place of employment, or other information verifiable in the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/RMAD Denver Co 80279 telephone: area code 303/ 825-1161, ext. 6341. The requester should be able to provide sufficient proof of identity, such as name, social security number, military status or place of employment, or other information verifiable in the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from police and investigating officers.
Information obtained from a state or local government.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.
Information from other DoD components; information from other federal agencies, including, but not limited to, the F.B.I., Internal Revenue Service, Social Security Administration, Veterans Administration; applications by and correspondence with active duty, reserve and retired Air Force personnel and their dependents, former spouses, and guardians, applications by and correspondence with Air Force current and former civilian employees, their dependents, spouses, and guardians; correspondence with attorneys, records of courts-martial, interfaces with other record systems maintained at AFAFC, and correspondence with United States attorneys and attorneys.

Systems exempted from certain provisions of the act:

NONE

F11001AJACI A

System name:

USAF Foreign Criminal Jurisdiction cases

System location:

At Headquarters United States Air Force, Washington DC 20330.
Also at headquarters of major commands and at all levels of command in overseas areas down to and including Air Force installations.

Categories of individuals covered by the system:

All those USAF personnel, US nationals employed by the USAF, and dependents of the foregoing who become involved with foreign law enforcement authorities or who are subject to trial in foreign courts for serious criminal offenses.

Categories of records in the system:

Serious incident reports, security police blotters, summons, indictments, reports of investigations, judgments and other court orders, English translations of foreign documents, trial observer reports, status reports, prison visitation and confinement reports, congressional and other official inquiries, requests for counsel or bail, official correspondence pertaining to the case, and other documents, messages, memos or materials related to the case

Authority for maintenance of the system:

10 USC 8012, 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by USAF personnel tasked with the supervision of foreign criminal jurisdiction cases; used in preparation of statistical and other reports; in answering inquiries from the President, Congress, the Department of Defense, the individual involved and members of his family; in trials by courts-martial and administrative or other personnel actions when information in the files is germane to the proceedings; by USAF commanders and personnel officials in making duty and assignment decisions; by the Board for the Correction of Military Records and the Veteran's Administration when pertinent to the matters before them; and when there is evidence of violations of international agreements or the unfair treatment of the accused individuals at the hands of foreign authorities, it is used by the Office of the Secretary of Defense and Diplomatic missions for preparing the appropriate response or protest

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in safes.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for two years after annual cut-off, then retired to Washington National Records Center, Washington DC 20409, for permanent retention.

System manager(s) and address:

Chief, International Law Division, Office of The Judge Advocate General, Forrestal Building, Washington, DC 20314 or Staff Judge Advocate of the Concerned Subordinate Command or Installation

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Furnish full name, SSAN, Year and Country of involvement. Visit may be made to AF/JACI, Forrestal Bldg,Wash,D 20314.Valid identification card, driver's license or equivalent must be presented.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Also from persons filing reports, foreign law enforcement authorities and judicial officials, the individual, his personnel record and other official sources

Systems exempted from certain provisions of the act:

NONE

F11001X0MUHHZA

System name:

Reserve Judge Advocate Training Report

System location:

Headquarters, Air Force Reserve (AFRES), Robins Air Force Base, GA 31098

Categories of individuals covered by the system:

Air Force Reserve Judge Advocates (JAGS)

Categories of records in the system:

Information pertaining to individual training

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide Air Force Reserve Staff Judge Advocate Training File on all Reserve JAGS

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Staff Judge Advocate Air Force Reserve Robins Air Force Base GA 31098

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.
Information from State Bar Association. Information from individual.

Systems exempted from certain provisions of the act:

NONE

F11002 AJACP

System name:

Invention, Patent Application and Patent Application Secutiry, and Patent Files

System location:

At Headquarters United States Air Force, Washington DC 20330. At HQUSAF /JACPD Wright-Patterson Air Force Base, Ohio 45433; at HQUSAF/JACPB, 424 Trapelo Road, Waltham, MA 02154

Categories of individuals covered by the system:

All military and civilian government inventors who have submitted an invention to the Air Force Patent Processing or for a determination of government rights; all applicants for U.S. Patents; all Air Force contractor inventors; all non-government inventors who have submitted an invention to the Air Force for an evaluation toward patent processing at Air Force expense.

Categories of records in the system:

Correspondence, invention disclosures, search reports, drawings, technical literature, patents, technical reports, photographs, patent applications, patented files and the papers relating thereto including licenses, assignments, declaration, power of attorney, amendments, patent office actions, notices of appeal, appeal briefs, examiner's answer, declaration of interferences, interference motions, among others; determination of rights, forms, secrecy orders, notices of recision, memoranda, legal opinions; security reviews, petitions to modify secrecy orders, petitions for foreign filing, petitions for rescinding secrecy orders, modifications of secrecy orders, foreign patent applications and related papers, permits, forms, rescinding orders. Some records under military classification.

Authority for maintenance of the system:

35 USC 181-185, Executive Orders 10096 and 10930, 5 USC 4502, 10 USC 1124, Department of Defense Directive 5535.2 of September 1966, Mutual Security Act of 1954, NATO Agreement January 12, 1961, 12 UST 43, TIAS 4672, 394 UNTS 3

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to support the filing and prosecution by the Air Force of Patent Applications on inventions disclosed by military and civilian personnel as well as subject inventions reported by contractors under Air Force research and development contracts for obtaining government patent protection; to permit the determination of the government rights and employee rights in employee inventions; to document and record the patent rights of the government obtained as a result of the Air Force contracting and patent prosecution effort; to enable the Air Force to administer Patent Secrecy Act; used by the

Air Force and the Commissioner of Patents in determination of rights; by the Air Force to evaluate inventions and patent inventions most important to the Air Force mission; by General Accounting Office and its officers and employees to conduct audits and other statutory functions; by the Air Force to recommend government employee invention and patent awards to their local incentive award boards; by the Air Force to document and record government patent rights; by the Federal Council for Science and Technology as statistical data for an annual report on government patent policy; by Air Force, Armed Services Advisory Board, and Commissioner of Patents to adminster Patent Secrecy Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Retrievable by name of inventor, title of invention, invention number, serial number of U.S. patent application.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. Records are stored in safes. Records are controlled by personnel screening.

Retention and disposal:

Invention disclosures retained in office files for five years after evaluation completed, then retired to to Washington National Records Center, Washington, DC 20409, for retention up to 15 years thereafter, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Patent application and patented files retained in office files for three years after cases abandoned or after issued into a patent, then retired to Washington National Records Center, Washington, DC 20409, for retention up to 17 years thereafter, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Licenses and assignments retained in office files for 20 years after executed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Security records on patent applications are retained in office files for three years after secrecy orders rescinded, then retired to Washington National Records Center, Washington, DC 20409, for retention up to 9 years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

Chief Patents Division, Office of The Judge Advocate General, JACP; individual requesting information from records should supply full name, title of invention, Air Force invention number, if known, and serial number of U.S. Patent Application; requesting individual may visit Patents Division, Office of The Judge Advocate General, Forrestal Bldg., Wash., DC to obtain information about this records system; upon visit individual must present verification of identity as inventor of the invention, or invention covered by the patent application, about which information is requested, including full name, driver's license or other photo identity card.

Record access procedures:

Individual can obtain assistance in gaining access from Chief, Patents Division, Office of The Judge Advocate General, JACP, Washington, DC 20314.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from inventors; Air Force and government technical personnel; other government departments and agencies; Air Force contractors; U.S. Patent Office; the work product of Air Force Patents Division, JACP, JACPD, JACPB; security reviews conducted by Department of Air Force personnel having military classification authority; owners of patent applications; foreign governments; armed services Patent Advisory Board; and Air Force Foreign Intelligence Personnel.

Systems exempted from certain provisions of the act:

NONE

F11002 JACP C

System name:

11002 JACP C Patent Infringement and Litigation Records

System location:

Headquarters United States Air Force, Washington DC 20330. Office of The Judge Advocate General Patents Division JACP; at AF/JACPI Wright-Patterson Air Force Base, Dayton, OH 45433

Categories of individuals covered by the system:

All claimants or petitioners who have alleged unlicensed use of their patents by the Air Force or who have brought suit against the United States concerning patent, trademark or copyright matters related to the Department of the Air Force.

Categories of records in the system:

Letters; messages; forms; reports; contracts; bids; photographs; legal opinions; petitions; answers; discovery documents; memoranda; infringement studies; validity studies; procurement information; license agreements; other documents including but not limited to: contract determinations, witness statements, and engineering and technical reports. Some records are under military classification.

Authority for maintenance of the system:

10 USC 2386; 28 USC 1498; 35 USC 183

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the collection of information is to enable the United States and its officers and employees to investigate claims and/or defend the legal interests of the United States because of claims for compensation and litigation involving patents, trademarks and copyrights. Used by the Department of Justice and its officers and employees in the litigation of cases involving patent or copyright matters concerning the Department of the Air Force and in some instances the Department of Defense. Used by by the Department of the Air Force, its officers and employees to resolve claims for compensation involving patent, trademark or copyright matters. Used by other Government Departments and agencies, such as the Departments of the Army, Navy, and Defense, to resolve claims for compensation involving patent, trademark, or copyright matters. Used in research for preparation of Air Force replies in response to Congressional inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Retrievable by name of claimant or litigant

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets/ safes and controlled by personnel screening.

Retention and disposal:

Retained in office files for three years after end of year in which the case was closed, then retired to Washington National Records Center, Washington, D.C. 20409, for retention up to twelve years thereafter, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information received from the individual, contractors, other government agencies, and individual corporations (non-contractors). Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F11101 AJAJM

System name:

Court-Martial and Article 15 Records

System location:

At Headquarters United States Air Force, Washington DC 20330. At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. At Washington National Records Center, Washington DC 20409. At headquarters of the United States Air Force, major commands and major subordinate commands. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All persons subject to the Uniform Code of Military Justice (UCMJ) (10 USC 802) who are tried by court-martial or upon whom Article 15 punishment is imposed.

Categories of records in the system:

Records of trial by court-martial and records of Article 15 punishment

Authority for maintenance of the system:

10 USC 815(g), 854, 865

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of trial by court-martial are used for review by the convening authority, Military Appellate Courts, The Judge Advocate General, corrections and probation authorities, the Secretary of the Air Force and the President; individual records may be transferred to other components within the Department of Defense, the Department of Justice, the Veteran's Administration, or state and federal courts for determination of rights and entitlements of individuals concerned or the government; used to formulate responses to inquiries concerning individual cases made by the Congress, the President, the Department of Defense, the individual involved or other persons or agencies with a legitimate interest in the court-martial proceedings; portions of the record in every case are transmitted to Air Force personnel authorities for use in evaluating the individual's overall performance and inclusion in their military master personnel record; if conviction results, a record thereof can be introduced at a subsequent court-martial trial involving the same individual; also used as source documents for collection of statistical information. Article 15 records are used for review of legal sufficiency and action on appeals or applications for correction of military records filed before appropriate Air Force authorities; used to formulate responses to inquiries concerning individual cases made by the Congress, the President, the Department of Defense, the individual involved or other persons or agencies with a legitimate interest in the Article 15 action; used by Air Force personnel authorities in evaluating the individual's overall performance and inclusion in the individual's military master personnel record; may be used for introduction at a subsequent court-martial trial involving the same individual; used as source documents for collection of statistical information by The Judge Advocate General.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN). Filed by Military Service Number. Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in vaults. Records are stored in locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening. Records are controlled by visitor registers.

Retention and disposal:

Court-Martial records are retained in office files for two years following date of final action and then retired as permanent. All general and special court-martial records are retired to the Washington National Records Center, Washington DC 20409. Article 15 records are retained in office files for one year or until no longer needed, whichever is sooner, and then retired as permanent. Summary courts-martial and Article 15 records are forwarded to the Air Force Military Personnel Center, Randolph AFB, TX 78148 and filed in the individual's master personnel record.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force. Staff Judge Advocate at all levels of command and the Military Personnel Records Division, Directorate of Personnel Data Systems, Air Force Military Personnel Center (AFMPC/DPMDR)

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. Information required will be full name, SSAN, service number if different than SSAN, unit of assignment, date of trial and type of court, if known, or date punishment imposed in the case of Article 15 action. Requester may visit the Office of The Judge Advocate General, Forrestal Bldg Washington, DC and must present valid identification card or driver's license.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from almost any source can be included if it is relevant and material to the Article 15 or court-martial proceedings.

Systems exempted from certain provisions of the act:

NONE

F11101 0SPCZPA

System name:

11101 0SPCZPA Military Justice Administration

System location:

Beale Air Force Base CA 95903, Castle Air Force Base CA 95342, Davis Monthan Air Force Base AZ 85707, Dyess Air Force Base TX 79607, Ellsworth Air Force Base SD 57706, Fairchild Air Force Base WA 99011, Francis E Warren Air Force Base WY 82001, Grand Forks Air Force Base ND 58205, Malmstrom Air Force Base MT 59402, March Air Force Base CA 92508, Minot Air Force Base ND 58705, 6 Strategic Wing APO Seattle 98737, 320 Bombardment Wing Mather Air Force Base CA 95655, 916 Air Refueling Squadron Travis Air Force Base CA 94535, 55 Strategic Reconnaissance Wing Offutt Air Force Base NE 68113, 4300 Air Base Squadron Glasgow Air Force Base MT 59231.

Categories of individuals covered by the system:

All Air Force active duty personnel nominated to serve on general court martials.

Categories of records in the system:

Court martial member experience statement.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Commanders to select court martial members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Headquarters 15 Air Force Staff Judge Advocate, March Air Force Base CA 92518.

Notification procedure:

Addressed to unit Staff Judge Advocate.

Record access procedures:

Gain assistance from unit Staff Judge Advocate.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual.

Systems exempted from certain provisions of the act:

NONE

F11101 0UMCBVA

System name:

Military Justice Administration

System location:

Judge Advocate, United States Air Force Security Service, San Antonio TX 78243.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.

Categories of records in the system:

Correspondence and legal opinions.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for personnel administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Judge Advocate, United States Air Force Security Service, San Antonio TX 78243.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F11101XJAJM C

System name:

Automated Military Justice Analysis and Management System (AMJAMS)

System location:

At headquarters of the United States Air Force, major commands and major subordinate commands. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All persons subject to the Uniform Code of Military Justice (UCMJ) (10 USC 802) who receive Article 15 punishment or against whom court-martial charges are preferred.

Categories of records in the system:

Article 15 records included personnel background information, nature of offenses involved, punishment imposed and results of appeals filed and subsequent actions taken affecting the punishment. Court-martial records include personnel background information, offenses charged, pretrial proceedings, results of trial or other disposition of case, sentence, action of convening authority and results of appellate review.

Authority for maintenance of the system:

Title 10, US Code, Sec. 8072 (Judge Advocate General: Appointment; Duties) and Articles 6(a) (Judge Advocates and Legal Officers) and 67(g) (Review by the Court of Miltiary Appeals), UCMJ (10 USC 806(a), 867(g)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are maintained in order to preserve an accurate statistical accounting of courts-martial and Article 15 activities for use in assisting The Judge Advocate General and Field Staff Judge Advocates in the management and administration of military justice, and for conducting statistical studies which measure disciplinary rates and trends and evaluate military justice involvement as it affects the quality of the force and the ability of the Air Force to carry out its mission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in vaults.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Records are retained in active office files at HQ USAF and major air command levels for three years. Records at major air commands are then purged and destroyed by degaussing and those at HQ USAF are retired as permanent history at HQ Command/ACD, Bolling AFB, Washington DC 20332.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.
Major Command Staff Judge Advocates

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Information required will be full name, SSAN, unit of assignment and date of trial or imposition of Article 15 punishment. Requester may visit the office of the Judge Advocate General, Forrestal Bldg., Washington, DC and must present valid identification card or driver's license.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Also from records of trial by court-martial and Article 15 punishment actions.

Systems exempted from certain provisions of the act:

NONE

F11201 JACC A

System name:

Claims Administrative Management Program (CAMP) E064

System location:

At Headquarters United States Air Force, Washington DC 20330.
At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All military personnel and civilians filing administrative claims against the Air Force or against whom the Air Force has filed an administrative claim

Categories of records in the system:

Individual claim record

Authority for maintenance of the system:

10 USC 8012, Secretary of Air Force; duties; 44 USC 3101, Records Management;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Claims Budgeting - Judge Advocate General (JAG) Management of claims processing to insure worldwide consistency - JAG; Verification that administrative action has been attempted before litigation action is initiated - US Dept of Justice - JAG; Establishment of manpower authorization based on claims workload -JAG

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.
Maintained on roll microfilm.
Maintained on microfiche.

Retrievability:

Filed by Name.
Claim number

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in vaults.

Retention and disposal:

At HQ USAF retained in office files for 10 years, then permanently retired to Washington National Records Center; at other than HQ USAF

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. and cumulative printouts destroyed after five years by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

HQ USAF/JACC, James Forrestal Bldg, Washington, D.C. 20314. Requests from individuals should be addressed to the system manager. Full name, claim number, date of incident, location of incident HQ USAF/JACC, James Forrestal Bldg, Washington, D.C. 20314 Identification - drivers license, birth certificate, military ID or equivalent must be presented for personal visit.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from claimants and Government agencies involved

Systems exempted from certain provisions of the act:

NONE

F11201 JACC B

System name:

Claims Records

System location:

At Headquarters United States Air Force, Washington DC 20330.
At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All military personnel and civilians filing administrative claims against the Air Force or against whom the Air Force has filed an administrative claim

Categories of records in the system:

Individual claim record

Authority for maintenance of the system:

44 USC 3101, Records Management; 10 USC 8012, Secretary of the Air Force; duties

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a legal basis for administrative payment, collection, or non-collection of claims for and against the government, by Judge Advocates and the Secretary of the Air Force; and when required, with the concurrence of the Justice Department; to provide evidence upon which suits at law can be defended or prosecuted by the Justice Department; to provide information upon which to reply to Congress or Congressional inquiries or to make reports to the General Accounting Office and Congress on legislative payment of claims; to effect management and collection of claims arising out of movement of household goods and effects, records are provided Air Force transportation officers, Air Force Finance officers, the General Accounting Office, the Interstate Commerce Commission and the individual carrier, warehouseman, or packer involved; to obtain medical opinions from the Office of The Surgeon General, USAF, upon which claims and litigation decisions can be made by Judge Advocates and the Justice Department; on request medical records are furnished to military personnel, dependants, retired personnel, or other individuals whose records are included in the claim file; Finance officers are also provided pertinent portions of any claim file forwarded for payment; a copy of the adjudicated claim is furnished upon request by the claimant for the purpose of submitting a tax return for a casualty loss or in support of a private relief bill; to provide evidence before the Court of Claims on legislative referral of private bill claims; when the Department of Defense is involved, claim files are provided to any agency of that department involved; claim files are submitted to foreign governments for adjudication under applicable status of forces agreements; documentary evidence may be furnished to foreign courts in connection with litigation involving the United States or its personnel; referral of claim files may be made to the Armed Forces Institute of Pathology or the Office of Special Investigations when appropriate; when required claim files may be referred to the Department of Labor with regard to employment and duty status; and to provide claim files to the legal staffs of the Armed Forces for the purpose of training of legal, paralegal and administrative personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Held one or two years depending upon claim, then destroyed after four additional years at staging area; after agency action completed others are held one, three or five years then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Judge Advocate General, Headquarters United States Air Force.

Notification procedure:

HQ USAF/JACC, James Forrestal Building, Washington, D.C. 20314

Requests from individuals should be addressed to the Systems Manager. Full name, date of incident, date of claim, type of claim, claim number, location of incident; HQ USAF/JACC James Forrestal Building, Washington, D.C. 20314; drivers license, military ID, birth certificate or equivalent must be presented for personal visit.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

HQ USAF/JACC, James Forrestal Building, Washington, D.C. 20314

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from the public media.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12001 DPX B

System name:

12001 DPX B Investigation/Complaint Files

System location:

At Headquarters United States Air Force and at headquarters of major commands and all levels down to and including Air Force Installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Any individual specified in a formal complaint action.

Categories of records in the system:

The records maintained provide circumstances of a Service member's allegation of discriminatory treatment and the results of any inquiry/investigation related to the allegation. Such complaints may originate as Congressional/White House inquiries, Inspector General complaints, letters to the Air Force or Office of the Secretary of Defense (OSD) authorities, or complaints presented through equal opportunity channels. Records are manual.

Authority for maintenance of the system:

10 USC 8012 and 8032.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of investigation/complaint records is to provide information to commanders or complaints in the resolution of complainant's grievances. Principal purpose of the information is to document the circumstances and resolution of a particular allegation handled by Equal Opportunity personnel. All or a portion of the information contained in the files may be disclosed, upon request, to alleged discriminators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by name, by category.

Safeguards:

Records are accessed by custodian of the record system and person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes, locked cabinets or rooms.

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Equal Opportunity, and Treatment Branch, Social Actions Division, Deputy Chief of Staff Personnel, HQ USAF; and Chief of Social Actions at major command headquarters down to and including Air Force installations.

Notification procedure:

Requests from individuals should be addressed to Systems Manager at the appropriate level. Individuals should identify full name, military status, dates of service, unit of last or present assignment, Social Security Number (SSN), and type of record involved. For personal visits, the requester may present proof of identity to include full name from driver's license or military identification card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Requests for information regarding individual persons should identify full name, military status, dates of service, unit of last or present assignment, Social Security Number (SSN), and type of record involved. For personal visits, the requester may present proof of identity to include full name from driver's license or military identification card.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Records are manually compiled from complaints filed, Congressional correspondence, OSD correspondence and chief of Staff, United States Air Force correspondence.

Systems exempted from certain provisions of the act:

NONE

F12001 IGQ A

System name:

Inspector General Records

System location:

Office of the Inspectors General

At Headquarters United States Air Force, Washington DC 20330. Official mailing addresses are contained in the Department of Defense directory in the appendix to the Air Force systems notice.

Categories of individuals covered by the system:

All those who have registered a complaint or query with the Inspector General or Base Inspector on matters related to the Department of the Air Force.

Categories of records in the system:

Forms, letters, messages, reports, surveys, photographs, medical, finance, personnel, administrative and technical reports, and witness statements. Some records classified.

Authority for maintenance of the system:

44 USC 3101, 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the collection of information is to insure just, thorough, and timely resolution and response to complaints or queries, and a means of improving morale, welfare, and efficiency of organizations, units, and personnel by providing an outlet for redress. Used by the Inspectors General and Base Inspector in the resolution of complaints and response to queries involving matters concerning the Department of the Air Force and in some instances the Department of Defense. Used by the correction board for correction of records. Used by members of Congress and their staffs to conduct research and prepare replies in response to constituent inquiries. Used by commanders and their staffs to resolve issues, take action and provide information where applicable. Used by the General Accounting Office and its officers and employees to conduct audits and other statutory functions. Used by those who request information releasable as a summary, statement of facts, or reply to query considered not exempt. In these cases requestor should apply to office where complaint or query was filed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
and year and office where complaint was filed.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in safes.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Inspector General, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12301 02SCEYA

System name:

United States Air Force (USAF) Inspection Scheduling System

System location:

At Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409.

Categories of individuals covered by the system:

USAF Inspection and Safety Center (AFISC) personnel

Categories of records in the system:

Name, rank, SSAN, security clearance, speciality code, duty and travel restrictions, inspection dates/types/locations, date of birth, office symbol, rotation date, title, address

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to monitor and schedule AFISC inspection teams and efforts; publish official travel orders for safety and inspection personnel. This is trusted agent information; access is extremely limited and controlled when inspections are no-notice type. Portions are used to publish periodic rosters of all personnel assigned to AFISC.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in safes.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.
Records are controlled by computer system software.

Retention and disposal:

Retained for three years and then destroyed by tearing into pieces or erasing tapes/discs

System manager(s) and address:

Director of Programs, Air Force Inspection and Safety Center, Norton AFB, CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12401 07YLNGA

System name:

Badge and Credentials

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

at Air Force Office of Special Investigations (AFOSI) District Offices.

Categories of individuals covered by the system:

All accredited AFOSI special agents.

Categories of records in the system:

Letters of authorization to issue badge and credentials. Badge and credential receipts. Badge listings. Badge and credential inspection reports. Punch card used to prepare badge listings.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To issue and control the badge and credentials assigned each AFOSI special agent. Used only by AFOSI. To identify specifically to which special agent each badge and credentials is assigned. To provide for orderly five year update of credentials. To turn in badge and credentials whenever accredidation is terminated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Receipts are maintained at district level only during assignment of accredited special agent. When badge and credentials are turned in, records are then destroyed. At HQ AFOSI the receipts are retained for the entire period badge and credentials are issued to a specific special agent and destroyed when badge and credentials are returned

to that unit. Badge listings and punch cards are destroyed when superseded.

System manager(s) and address:

Commander, Air Force Office of Special Investigations washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from personnel records and issued badge.

Systems exempted from certain provisions of the act:

NONE

F12401 07YLNGB

System name:

12401 07YLNGB Investigative Applicant Processing Records

System location:

Air Force Office of Special Investigations, Washington DC 20314. Air Force Office of Special Investigations (AFOSI) District Offices, Detachment Offices, and Resident Agencies.

Categories of individuals covered by the system:

All AFOSI personnel, allocations and applicants for AFOSI duty

Categories of records in the system:

application documentation, results of the AFOSI applicant inquiry, and the personnel security investigation concerning the individual.

Authority for maintenance of the system:

44USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Compiled to assist in the selection and retention of AFOSI personnel. Used by the AFOSI Applicant Review Board and the Director of Personnel Management to select AFOSI investigative trainees and support personnel. Used by the Commander, AFOSI to reassign or retain AFOSI personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN), Military Service Number, other identification number system identifier and date of birth.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Files on nonselected personnel are destroyed when selection process is terminated. Destruction is by pulping macerating, or burning. Files at AFOSI field units are destroyed 90 days after completed action is forwarded to HQ AFOSI. Destruction is by pulping, macerating or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations. Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial institutions, educational institutions, medical institutions, police and investigating officers, the bureau of motor vehicles, a state or local government, an international organization, a corporation, witnesses, or source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Data is extracted from individual military or civilian personnel records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12404 07YLNGA

System name:

Investigative Support Records

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Air Force Office of Special Investigations (AFOSI) Field Units. At Washington National Records Center, Washington, DC 20409.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Union or Association management personnel.
Contracting officers and representatives.
Air Force Academy nominees/applicants.
Air Force Academy cadets.
Dependents of military personnel.
Foreign Nationals residing in the United States.
American Red Cross personnel.
Peace Corps and State Department personnel.
Exchange Officers.
Other Department of Defense (DOD) and former DOD civilian and contractor employees. Applicants for enlistment or appointment. Armed forces exchange service employees.

Categories of records in the system:

Reports of investigation, collection reports, statements of individuals, affidavits, correspondence, and other documentation pertaining to criminal collection activities investigative surveys, technical, forensic, and other investigative support to criminal and counterintelligence investigations to include source control documentation and district indices.

Authority for maintenance of the system:

44 USC 3101, 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Compiled for use by AFOSI and other military commanders in directing and supporting their criminal investigative, law enforcement, counterintelligence, and distinguished visitor protection programs. Used to assist in managing the AFOSI criminal and counterintelligence investigative program at the various USAF and US military installations worldwide. Furnished to USAF and other military commanders to assist in identifying areas of possible criminality and to assist in developing and managing the installation law enforcement program. Used to assist in managing the AFOSI source program. Used by USAF and other military commanders in managing installation crime prevention programs. Used by AFOSI to determine if, in fact, possible criminal activity requiring further specialized investigation is occurring in a specific area. Used as a basis for USAF and other authorized individuals to request AFOSI investigations. Used by USAF and other military commanders as well as Department of Justice officials to determine if judicial or administrative action is warranted. Furnished to the Federal Bureau of Investigations (FBI) and other federal, state, and local law enforcement agencies for use in investigations for law enforcement purposes. Used in joint investigations by AFOSI and foreign law enforcement agencies. Used by the Department of Justice in litigation and to initiate action in federal courts. Provided to the Office of the Judge Advocate General for use in litigation. Furnished to the US Secret Service in conjunction with protection of the President, Vice President, and other high ranking Officials. Used to develop and manage the AFOSI Distinguished Visitor Protection Program. Used to develop and manage the AFOSI Investigative Survey Program for both appropriated and non-appropriated fund activities. Used to record technical investigative support provided to other investigative activities. Used to report forensic and polygraph support to other investigative activities. Used by HQ USAF activities in promotion, reassignment, and similar personnel actions for Air Force personnel only. Used in immigration and naturalization investigations conducted by the US Immigration and Naturalization Service. Furnished to medical and forensic laboratory personnel to assist in making laboratory tests and medical examinations in support of the investigative, Judicial, and administrative process. Provided to the Central Intelligence Agency (CIA), FBI, and other counterintelligence/intelligence agencies in matters pertaining to hostile intelligence activities and terrorism directed against the us, its installations, personnel, and allies. Provided to the Veterans Administration for verification and settlement of individual claims. Provided to the USAF Board of Corrections for use in correcting individual military records. Provided to congressional committees, their staff, and the General Accounting Office for Congressional Investigations. Used to prepare replies to members of Congress for answering constituent inquiries. Furnished to the Air Force Accounting and Finance Center for use in determining if individual pay adjustments are required as a result of investigations. Furnished for inclusion in investigations conducted by the Defense Investigative Service, US Civil Service Commission and other federal investigative agencies. Criminal information affecting US diplomatic relations with foreign nations is provided to the Department of State and US embassies overseas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Record paper copies at HQ AFOSI are retained for five years placed on microfilm, and paper copies are destroyed except for source control documents. Microfilm is destroyed after 15 years. Destruction is by pulping, macerating, or burning. Source control documentation at HQ AFOSI is destroyed after 15 years. Destruction is by pulping, macerating or burning. At AFOSI Field Units, documentation is destroyed when all action is completed or when no longer needed. Copies furnished USAF commanders are destroyed when all actions are completed and reported to AFOSI or when they are no longer needed. Destruction is by pulping, macerating, or burning. At HQ AFOSI, copies of reciprocal investigations conducted per request of a local, state, or federal investigative agency in the US or host country investigative agency overseas are destroyed after one year. Copies retained by AFOSI Field Units are destroyed after 90 days. Destruction is by pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations washington, DC 20314

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12406 07YLNGA

System name:

Security and Related Investigative Records

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

and at Air Force Office of Special Investigations (AFOSI) field units.

At Washington National Records Center, Washington, DC 20409.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Contracting officers and representatives.
Air Force Academy nominees/applicants.
Air Force Academy cadets.
Foreign Nationals residing in the United States.
American Red Cross personnel.
Peace Corps and State Department personnel.
Exchange Officers.

Armed Forces Exchange Service employees and former employees. Other Department of Defense civilian and contractor employees and former employees. Applicants for enlistment or USAF appointment. Prospective alien spouses of military personnel.

Categories of records in the system:

Reports of investigation, statements of individuals affidavits, correspondence, and other documentation pertaining to granting, continuing, or denying individual access to classified information or to US military installations.

Authority for maintenance of the system:

Executive Order 10450, security requirements for government employment. 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Compiled for the use of military security access granting authorities to grant, deny, or continue individual access to classified material. Also compiled for military commanders to use in granting access to military installations and to use in granting or denying enlistment, appointment, or employment. Since October 1972 and the establishment of the Defense Investigative Service (DIS), AFOSI has not conducted normal background investigations except in certain overseas areas in support of DIS. However, HQ AFOSI serves as a repository for those normal background investigations conducted prior to Octber, 1972. AFOSI conducts security investigations on personnel requiring regular access to US military installations, on the prospective alien spouses of military personnel overseas and on USAF military and civilian employees as a result of complaints or referrals from other agencies. While these complaints may be short of actual criminality, they are of security interest to the USAF and they raise questions as to the suitability and risks of permitting continued access to classified material. Furnished to DIS, US Civil Service Commission, Federal Bureau of Investigation(FBI), Central Intelligence Agency(CIA) , and other federal agencies for inclusion in background investigations for use in granting access to classified material. Furnished to the FBI and other federal and military agencies for use in investigations for law enforcement purposes. Used in immigration and naturalization inquiries conducted by the US Immigration and Naturalization Service. Used by Headquarters US Air Force activities in promotion, assignment and similar personnel actions for Air Force personnel. Furnished to the US Secret Service in conjunction with the protection of the President and Vice President,

and other high ranking offiCIAls. Furnished to USAF and other military commanders for use in granting, denying, or continuing access to classified material. Also used by commanders in related administrative actions. Provided to the Veterans Administration for verification and settlement of individual claims. Furnished to the CIA, FBI, and other US intelligence/ counterintelligence agencies in matters pertaining to hostile intelligence and terrorist activities directed against the US, its installations, or personnel. Used in conjunction with joint law enforcement investigations conducted by AFOSI and foreign law enforcement agencies. Investigations regarding aliens overseas are furnished to the US Department of State and US embassies and consulates for use in immigration anD employment actions. Furnished to defense and trial counsels for use in judiCIAl and administrative actions. Provided to the USAF board of corrections for use in correcting military records. Provided to the Office of the Judge Advocate General for use in litigation. Provided to Congressional committees, their staff, and the general accounting office for congressional investigations. Used to prepare replies to members of congress for answering constituent inquiries. Furnished to the US Department of Justice for use in litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are controlled by personnel screening.

Retention and disposal:

Record paper copy at HQ AFOSI is placed on roll microfilm after five years and the microfilm is destroyed 15 years after date of last action. Files pertaining to individuals who do not become affiliated with DoD are destroyed one year after notification that affiliation was not completed. Destruction is by pulping, macerating, or burning. Copies at AFOSI field units are destroyed after 90 days except for record copies of premarital investigations which are retained for one year unless the marriage takes place. If marriage occurs, record copy is forwarded to HQ AFOSI where they are retained for five years and then destroyed. Destruction is by pulping, macerating, or burning. Copies furnished military commanders are destroyed 90 days after all action is completed. Destruction is by pulping, macerating, or burning. Record copies of investigations conducted in support of DIS and other federal agencies are furnished to the supported agency and AFOSI file copy is destroyed by the AFOSI unit after 90 days. Destruction is by pulping, macerating or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12408 07YLNGA

System name:

Counterintelligence Operations and Collection Records

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Air Force Office of Special Investigations (AFOSI) field units.
At Washington National Records Center, Washington, DC 20409.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Union or Association management personnel.
Contracting officers and representatives.
Air Force Academy nominees/applicants.
Air Force Academy cadets.
Dependents of military personnel.
Foreign Nationals residing in the United States.
American Red Cross personnel.
Peace Corps and State Department personnel.
Exchange Officers.

Other Department of Defense (DoD) and former DoD civilian and contractor employees. Applicants for enlistment or appointment. Armed Forces Exchange Service personnel and former employees.

Categories of records in the system:

Reports of investigation, collection reports, statements of individuals, affidavits, correspondence, and other documentation pertaining to investigative effort spent in identifying and countering foreign intelligence and terrorist threat to the United States and the US military. This includes activities and suspected activities intended to convince US military and others to illegally engage in such activities. Also includes indicators of foreign military and political actions directed against the United States, its installations, personnel, and allies.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Compiled for use in determining the hostile threat against the United States, its allies, their military and government. Used by USAF, other military commanders, representatives of the US Department of State, the Central Intelligence Agency (CIA), the staff of the National Security Council, and the Executive Branch. Used by civilian authorities in assessing the threat against the US, its installations, and personnel as well as its allies. Used by USAF, other military commanders, and other responsible authorities in taking actions to counter these threats. Used by USAF Commanders to initiate other investigative, judicial, or administrative actions when appropriate. Furnished to the CIA, FBI, and other intelligence/counterintelligence agencies for use in matters pertaining to hostile intelligence and terrorist activities directed against the US or its allies, their installations, or personnel. Furnished to the Department of Justice for use in litigation and in the initiation of action against individuals in Federal courts. Furnished to the Office of the Judge Advocate General for use in litigation. Used in conjunction with other law enforcement investigations conducted by AFOSI, the FBI, and other Federal, state, and local law enforcement agencies. Used in immigration and naturalization inquiries conducted by the US Immigration and Naturalization Service. Used by appropriate Medical and Forensic Laboratory personnel to assist in making laboratory tests and medical examinations in support of the investigative, judicial, and administrative process. Furnished to Defense and Trial Counsels for use in judicial and administrative actions. Used by HQ USAF activities in promotion, reassignment, and similar personnel actions. Provided to the US Secret Service for use in conjunction with protecting the President, Vice President, and other high ranking officials. Used in conjunction with Joint Counterintelligence Operations conducted by AFOSI and other intelligence/counterintelligence services. Provided to the USAF Board of Corrections for use in correcting individual military records. Provided to Congressional committees, their staffs, and the General Accounting Office for use in Congressional investigations. Used to prepare replies to members of Congress for answering constituent inquiries. Furnished for use by the Defense Investigative Service, FBI, CIA, US Civil Service Commission, and other Federal investigative agencies for use in investigations conducted relative to granting individuals access to classified material or to US military installations. Information concerning hijacking or suspected hijacking of aircraft is furnished to the Federal Aviation Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are stored in locked cabinets or rooms.
Records are controlled by visitor registers.

Retention and disposal:

At HQ AFOSI, record paper copies of Counterintelligence Operations material is placed on roll microfilm after five years and the paper copy is then destroyed. The microfilm is retained for 20 years and then destroyed. Destruction is by pulping, macerating, or burning. At AFOSI Field Units, copies of Counterintelligence Operations Reports are destroyed one year after HQ AFOSI is notified of final Command action or when no longer required, whichever is sooner. Destruction is by pulping, macerating, or burning. Copies of Counterintelligence Operations Reports furnished USAF Commanders are destroyed after AFOSI is notified of final action in the matter or when they are no longer required. Destruction is by pulping, macerating, or burning. At HQ AFOSI, record paper copies of Collection Reports are placed on microfilm and the paper copy destroyed after one year. Microfilm copies are destroyed after six years. Destruction is by pulping, macerating, or burning. At AFOSI Field Units, copies of Collection Reports are destroyed when no longer needed. Destruction is by pulping, macerating or burning. Copies of Collection Reports furnished USAF Commanders are destroyed when no longer needed.

System manager(s) and address:

Commander, Air Force Office of Special Investigations, Washington, DC 20314

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12410 07YLNGA

System name:

Criminal Records

System location:

At Air Force Office of Special Investigations, Washington DC 20314.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Air Force Office of Special Investigations (AFOSI) districts. Afosi detachments.

At Washington National Records Center, Washington, DC 20409.
At Washington National Records Center, Washington, DC 20409.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Former Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Contracting officers and representatives.
Air Force Academy cadets.
Dependents of military personnel.
Foreign Nationals residing in the United States.
American Red Cross personnel.
Peace Corps and State Department personnel.
Exchange Officers.

Department of Defense (dod) contractor and armed forces exchange service employees and former employees. Other DoD civilian employees and former employees.

Categories of records in the system:

Reports of investigation, statements of individuals affidavits, correspondence, and other informational material pertaining to specific investigations of alleged violations of laws, regulations, or directives.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Compiled for use by USAF and other military commanders and the US Department of Justice in taking judicial and administrative actions involving suspected criminal activity concerning dod personnel, property, and procurement/disposal activities. Used by USAF and other military commanders to determine if legal or administrative action is warranted. Used by the department of justice to initiate judicial action in federal courts and for litigation. Used in conjunction with investigations conducted for law enforcement purposes by other military, federal, state, and local law enforcement agencies. Used in conjunction with joint law enforcement investigations conducted by AFOSI and foreign law enforcement agencies. Provided to the Central Intelligence Agency (CIA), the Federal Bureau of Investigation (FBI), and other counterintelligence/intelligence agencies in matters pertaining to hostile intelligence and terrorist activities directed against the US, its installations, or personnel. Used in immigration and naturalization inquiries conducted by the US Immigration and Naturalization Service. Furnished to appropriate medical and forensic laboratory personnel to assist in making laboratory tests and medical examinations conducted in support of the investigative judicial, and administrative process. Furnished to defense and trial counsels for use in judicial and administrative actions. Used by HQ USAF activities in promotion, reassignment, and similar personnel actions for Air Force personnel only. Provided to the US Secret Service in conjunction with the protection of the President, Vice President, and other designated high ranking officials. Provided to the veterans administration for verification and settlement of individual claims. Provided to the USAF board of corrections for use in correcting individual military records. Provided to the office of the judge advocate general for use in litigation. Provided to congressional committees, their staff, and the General Accounting Office for congressional investigations. Used to prepare replies to members of Congress to answer constituent inquiries. Furnished to the USAF accounting and finance center for use in determining if individual pay adjustments are required as a result of investigations. Furnished for use in investigations conducted by the Defense Investigative Service, US Civil Service Commission and other federal investigative agencies for use in granting access to classified information. Criminal information affecting US diplomatic relations with foreign nations is provided to the department of state and us embassies overseas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on roll microfilm.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

At HQ AFOSI, records regarding suspected espionage and sabotage are retained for 25 years. All other files are retained for 15 years. All files are placed on roll microfilm after 5 years and the record paper copies are destroyed. Destruction of paper copies and microfilm is by pulping, macerating, or burning. At AFOSI districts, all files are destroyed one year after action is reported to HQ AFOSI. Destruction is by pulping, macerating, or burning. At AFOSI detachments, files are destroyed when command action is reported to district. Files are destroyed by pulping, macerating, or burning. All copies furnished USAF commanders are destroyed when all command action is completed and reported to appropriate higher Headquarters and AFOSI. Destruction is by pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Office of Special Investigations Washington, DC 20314

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12501 ASPP

System name:

Firearms Authorization and Safety Records

System location:

Kept by the Chief of Security Police at each Air Force or military installation where Air Force personnel (including civilians) are or may be armed in performance of their duties. Some portions of this system may be kept in individual training records, employment records, firearm issue points, or by the individuals authorized to bear arms. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel. Air Force civilian employees. Air Force Reserve personnel. Air National Guard personnel. Who are authorized to bear firearms in performance of duties and personnel who store firearms in Air Force armories.

Categories of records in the system:

Documentation of authority for the civilian employee to bear firearms on an Air Force installation and contains personal identification data and documentation of authorization to bear firearms. Also includes a record of understanding and certification of same by individual regarding the constraints on the application of deadly force and the weapons safety requirements that must be adhered to by all personnel who bear firearms in the performance of duties. May include a single letter file of names of individuals who cannot be issued firearms.

Authority for maintenance of the system:

Title 44 USC 3101 and Title 10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to provide certification of an individual's understanding of the constraints regarding the application of deadly force and the weapons safety requirements that must be adhered to by anyone who bears firearms in the performance of duties. Used by security police and commanders as evidence that the individual has certified his knowledge of constraint on the application of deadly force and necessary firearms safety requirements. May also be used to deny issue of firearms to unauthorized personnel. A part of this system is used by the Air Force to authorize civilian employees to bear firearms on Air Force installations. Copies could be given to other law enforcement agencies. Purpose of the system is to identify civilian employees who can legally bear firearms on Air Force installations. Any individual record or part thereof can be transferred to any component of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Posted on bulletin boards to be seen by personnel issuing firearms.

Retrievability:

Filed by Name. Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

May be retained in office files for two years after annual cutoff, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. At decentralized locations: Chief of Civilian Personnel or Chief of Security Police at the appropriate installation.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Civilian Personnel Manager at any Air Force installation. When requesting information, the requestor should include full name, and some proof of identity such as date of birth. During a visit, identity must be proven by means of a valid drivers license or identification card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Employees (military and civilian) Personnel Records.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO D

System name:

Provisional Pass

System location:

Maintained by the Chief of Security Police at those installations where the pass was issued to the individual, as well as the unit commander at the members final destination. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

This form is issued to any enlisted member of the Armed Forces when delays might result in failure to report to proper station within the time limit specified in orders or pass; or when a pass has expired or the individual does not have a pass or leave orders.

Categories of records in the system:

A written pass provided to the member to enable him or her to travel legally without any restriction; contains name, rank, SSAN of member as well as his unit. He signs the back side of the pass as acknowledgement.

Authority for maintenance of the system:

Title 44USC, 3101 and Title 10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the record is to document the provisionary travel of a member who is without a regular pass or orders are not available. Use of the record by security police to notify the members commander that he is travelling to a specific destination; potential use for follow-up on individuals travelling without regular passes or leave orders in the event the member does not arrive at his final destination within specified time limit. The original copy is given to the individual, the duplicate copy is forwarded at the individuals unit commander, and the triplicate copy is maintained at the issuing Chief of Security Police's office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

The original and duplicate copies are retained for 90 days after date of issue and then destroyed by tearing into pieces, shredding,macerating,pulping,or burning. The members copy is likewise destroyed when the member reports to final destination.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
The Chief of Security at the issuing installation or the unit commander at the members final destination
Chief of Security Police, Headquarters United States Air Force.

Notification procedure:

Individual requests should be addressed to the Chief of Security Police at the issuing installation or the unit commander at the members final destination. Visitors making requests must provide proof of identity (e.g., identification card, or drivers license).

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO E

System name:

Registration Records (Excluding Private Vehicle Records)

System location:

Kept by the Chief of Security Police at the installation where an individual registers personal property. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who register firearms, pets, certain types of personal property, bicycles, etc.

Categories of records in the system:

Includes the registration forms for each particular item registered with the security police activity.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record information on make, model, type, kind, etc., of property. Information is necessary for identifying lost or stolen property and to insure proper control of privately owned firearms maintained on an Air Force installation. The firearm registration form is also used to maintain accountability (logging weapons in/out) of those privately owned firearms stored in government firearm storage facilities. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution or civil court action. Any individual record or part thereof can be transferred to any component of the Department of Defense and the Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Records are kept in the Office of the Chief of Security Police for one year after departure of owner and then destroyed by tearing into pieces.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. Installation Chief of Security Police.

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, and home address. During a personal visit, individual will be required to produce military ID, if applicable, a valid drivers license, or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO F

System name:

Notification Letters to Persons Barred From Entry to Air Force Installations

System location:

Kept by Chief of Security Police at the installation where an individual is barred entry. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons prohibited from entering US military installations for cause.

Categories of records in the system:

A copy of the letter to the individual which informs him of being barred from entry to the particular installation.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of record is for maintaining a list of personnel who have been barred from entry to the installation. (If an individual's name is on the list, the person would be denied entry to the installation). Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution

or civil court action. Any individual record can be transferred to any component of the Department of Defense and to The Staff Judge Advocate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are protected by guards.

Retention and disposal:

Retained for three years after removal from barred list; then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Installation Chief of Security Police.

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information, individual should include full name, social security account number, and home address. During a personal visit individual will be required to produce a valid driver's license or other appropriate proof of identity.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO G

System name:

Complaint/Incident Reports

System location:

Kept by the Chief of Security Police at the installation where an individual becomes involved in an incident or complaint, and by the Chief of Security Police at the installation where an individual is assigned if the incident occurs at a different location. Information copies of a report are kept at the individual's organization to which she/he is assigned duty and other organizations which have an interest in a particular incident. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who become involved in complaints or incidents on Air Force installations or Air Force active duty personnel who become involved in incidents regardless of the location.

Categories of records in the system:

Includes the incident or complaint report, statements by the subject or witness, information on seized or acquired property, if applicable, copies of forms referring cases to other agencies for final disposition, and other forms or reports required to complete basic report. Also includes an individual incident reference record.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record information on individual involvement in incidents or criminal activity. Reports are used to provide information to the appropriate individual within an organization who insures corrective action is taken. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution or civil court action. Any individual record or part thereof can be transferred to any component of the Department of Defense, the Department of Justice, and The Staff Judge Advocate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

The individual incident record is retained in the office of the Chief of Security Police and destroyed three years after close of year in which last entry was made. Destroyed by tearing into pieces. Incident and complaint reports and parts thereto are retained in office files for one year after annual cutoff, transferred to a staging area for two years, and then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Information copies at interested agencies are destroyed one year after annual cutoff by tearing into pieces.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Installation Chief of Security Police.

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, home address, and the letter will be notarized. During a personal visit, individual be required to produce military ID, if applicable, a valid drivers license, or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.
Information obtained from witnesses.
Information may also come from persons registering complaints or from those who become victims of a crime.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO H

System name:

Serious Incident Reports

System location:

Kept by the Chief of Security Police at an installation where a crime or serious incident occurs or where an Air Force employee or dependents (active duty military or civilians) become involved in a crime or serious incident regardless of location. Reports are forwarded through the different levels of command to the appropriate Major Command Headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who become involved in crimes or serious incidents on Air Force installations or Air Force personnel and dependents who become involved in these incidents regardless of the location.

Categories of records in the system:

Includes information on the particular incident, and identification of persons involved to include information on final disposition of the crime or incident.

Authority for maintenance of the system:

Title 10 USC 8012; Title 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to report crimes or incidents which may evoke command or congressional interest or may result in unfavorable publicity to the Air Force. Also used to develop statistics, rates, and trends of certain crimes which occur on Air Force installations. May be used to evaluate command discipline rates, personnel quality control, and to monitor various drug and alcohol abuse programs. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution or civil court action. Any individual record or part thereof can be transferred to any component of the Department of Defense and the Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to staging area for two additional years, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Major Command Chief of Security Police and Installation Chief of Security Police.

Notification procedure:

The appropriate installation or Major Command Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, and home address. During a personal visit, individual will be required to produce military ID, if applicable, a valid driver's license or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation or the Chief of Security Police at the appropriate Major Command Headquarters.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from the public media.
Information obtained from a state or local government.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12501 SPO I

System name:

Incident Investigation Files

System location:

Kept by the Chief of Security Police at an installation where a criminal act or incident occurs which requires investigation by the security police. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who become involved in criminal acts or incidents on an Air Force installation.

Categories of records in the system:

Includes a chronology of the investigation being conducted, data on sources of information, information on investigation techniques, and records concerning seized property.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by a security police investigator to assist in the investigation of a criminal act or incident. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution or civil court action. Any individual record or part thereof can be transferred to any component of the Department of Defense and the Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Incident and complaint investigation reports are retained in office files for one year after annual cutoff, transferred to a staging area for two years, and then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Installation Chief of Security Police.

Notification procedure:

See Exemption

Record access procedures:

See Exemption

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

See Exemption

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F12501 SPO J

System name:

Traffic Accident and Violation Reports

System location:

Kept by the Chief of Security Police at the installation where an individual becomes involved in a traffic violation or accident. Information copies of traffic accident reports are kept at the Ground Safety, Staff Judge Advocate, and Transportation offices (when a government vehicle is involved). Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who become involved in traffic violations or accidents on an Air Force installation.

Categories of records in the system:

Includes the traffic accident investigation report, statement of witnesses, alcohol influence reports, and reports of traffic violations to include notices or summons.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record information on traffic accidents and violations. Reports are forwarded to the appropriate individual within an organization who insures corrective action is taken, or to US Magistrate as applicable. Routine use could include disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or statistical use. Any individual record or part thereof can be transferred to any component of the Department of Defense or to The Staff Judge Advocate. Additionally, accident reports may be provided to private attorneys, representatives of insurance companies and private citizens.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for one year after end of year in which the case was closed, transferred to a staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating,or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. Installation Chief of Security Police

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, home address, and the letter will be notarized. During a personal visit, individual will be required to produce military ID, if applicable, a valid drivers license, or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.
Information obtained from witnesses.

Systems exempted from certain provisions of the act:

NONE

F12501 0QVDYDC

System name:

12501 0QVDYDC Field Interview Card

System location:

Air Force installations.

Categories of individuals covered by the system:

Active duty military personnel and civilian employees, Air Force Reserve personnel, Dependents of military personnel, and civilians not affiliated with DOD.

Categories of records in the system:

field interview card which contains name,address,telephone number,physical description,age,date of birth,description of clothing worn,if an automobile is involved,the make,year,decal number license and style and color

Authority for maintenance of the system:

10 USC 8012 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

purpose of system is to obtain and record information on the presence of individuals in a special location at specific time and date. Information is used by the chief of security police and security police investigators at base level. Information is used as an investigative tool in the identification of crime suspects and witnesses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, and locked cabinets or rooms and are controlled by personnel screening.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

chief of security police at base concerned.

Notification procedure:

requests should be addressed to chief of security police at base concerned required information from individual will be name and address.to obtain information requestor may visit the office of the chief of security police at base concerned. Requester must provide a current military identification card, civilian personnel must provide a civilian identification card or driver's license.

Record access procedures:

individuals can be notified by contacting the chief of security police at the base concerned.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Source of information is individual interviewed, witnesses and interviewing security policemen.

Systems exempted from certain provisions of the act:

NONE

F12501 02 ALSB

System name:

Temporary Private Vehicle Impoundment Record

System location:

21 Security Police Squadron, Building 2-900, Elmendorf Air Force Base, Alaska, APO Seattle 98742

Categories of individuals covered by the system:

Any individual who abandons or leaves a disabled or derelict privately owned motor vehicle in a public parking area over five consecutive days.

Categories of records in the system:

Letter file with owner's name, social security account number, rank, address, and organization and description of vehicle.

Authority for maintenance of the system:

5 USC, Section 301, Government Organization and Employees. Powers. Department Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Security Police personnel to identify property impounded, report condition of property, and disposition.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Destroy three years after final disposition of property by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Security Police, 21 Security Police Squadron, Elmendorf Air Force Base, Alaska, APO Seattle 98742.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Send full name.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the bureau of motor vehicles.

Systems exempted from certain provisions of the act:

NONE

F12501XSPP B

System name:

Pickup or Restriction Order

System location:

Maintained by the Chief of Security Police at those installations where the order was issued. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

The record applies to any Air Force member whose actions necessitate the unit commander to issue the order. Some examples of actions that warrant an order being issued include AWOL, suspicion of an offense etc. A pickup order results in the authority for the security police to transport an individual to the person issuing the order or restricting the individual for that person.

Categories of records in the system:

The record provides a complete physical description of the individual as well as his name, rank, social security number, organization and date of birth. It also includes the reason for the order being issued.

Authority for maintenance of the system:

Title 44USC, 3101 and Title 10, USC8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the record is to document the identity of a member of the Armed Forces whose actions justify the picking up or restriction of the member by his unit commander. The record is used as a notification bulletin for the pickup or restriction by security police until disposition is made by the members unit commander. Copies of this order may be given to other law enforcement agencies or other installations if warranted, in attempt to pickup the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are protected by guards.

Retention and disposal:

Record is retained until member is picked up or until the order is cancelled by the issuing authority, at which time all copies are destroyed by tearing into pieces, shredding, pulping or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. The Installation Chief of Security Police

Notification procedure:

Requests should be addressed to the Chief of Security Police at the installation where the order was issued or to the members unit commander at that installation. Visitors requesting information must provide proof of identity (e.g., identification card, or drivers license).

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12502 SPP A

System name:

12502 SPP A Correction Records

System location:

Headquarters United States Air Force, Washington DC 20330. Air Force Accounting and Finance Center, Denver, CO 80279. Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280. National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. Washington National Records Center, Washington DC 20409. Maintained by the Chief of Security Police and Staff Judge Advocate at the installation where the individual was last assigned, Commander 3320th Retraining Group, Lowry AFB, Co., Commandant United States Disciplinary Barracks (USDB), Leavenworth, Ks. and the Office of the Secretary of the Air Force Personnel Council, Pentagon, Washington, D.C.

Categories of individuals covered by the system:

Records are maintained on any individual who was placed in confinement at an installation, assigned to the 3320th Retraining Group and the USDB for purposes of retraining or confinement, placed in a federal prison system as the result of criminal conviction, or spent time in the correctional custody program at any Air Force installation.

Categories of records in the system:

System includes prisoner personnel records consisting of confinement orders, release orders, personal history records, medical examiners report, request and receipt for health and comfort supplies, recommendations for disciplinary action, inspection records, requests for interview and evaluation reports; corrections officers records including personal deposit fund records and related documents, disciplinary books, correction facility blotters and visitor registers; prisoner records consisting of daily strength records, and reports of escaped and returned from escaped prisoners; prisoner classification summaries; retrainee test records and correctional custody case files consisting of disciplinary punishment letters, evaluation of individual and personal history, and records pertaining to any clemency/ parole actions.

Authority for maintenance of the system:

Title 44 USC 3301 and Title 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of these records is to maintain a life file on the individual during his status as a prisoner or correctional custodee on an installation, as well as during his retrainee status at the 3320th Retraining Group or when he is an Air Force prisoner serving a sentence in a federal prison. Routine uses of the records are to establish background for either disciplinary or good conduct action as well as general administration uses of the records concerning health and

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welfare of the individual, as well as clemency and parole actions. Any individual record or part thereof can be transferred to any component of the Department of Defense or the Department of Justice, as well as civilian agencies such as law enforcement agencies, or law firms as a basis for consideration of civil action either against or on behalf of the individual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, in card files, on computer paper printouts, on roll microfilm and on microfiche. Maintained as photographs.

Retrievability:

Filed by Name, Social Security Number (SSN) and fingerprint classification.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms and controlled by visitor registers.

Retention and disposal:

Depending on the type of record within the system, it is either destroyed after release of the prisoner/custodee/retrainee, maintained for one year after the release of the individual, or retained in the files at the facility in which the individual was confined for two years, after which time the record is either destroyed or transferred to a staging area for two additional years, then either retired to the Washington National Records Center, Washington DC 20409, for permanent retention or destroyed by tearing into pieces, shredding pulping, macerating, or burning. Records pertaining to clemency/parole actions are retained for 5 years after final action, then destroyed by burning and shredding.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. The Judge Advocate General, Headquarters United States Air Force. Unit commander at the individual's last assignment; the commander of the 3320th Retraining Group, Lowry AFB, Colorado; Installation Chief of Security Police, Commandant USDB, Chairman Air Force Clemency and Parole Board.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Installation Chief of Security Police Installation Staff Judge Advocate Commander of unit to which individual was last assigned, or the Commander, 3320th Retraining Group. Records of clemency and parole actions are maintained by the Office of the Secretary of the Air Force Personnel Council and the Commandant USDB. Requestors should provide full name and proof of identity. When visiting, requestor will be required to provide proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions, medical institutions, police and investigating officers, a state or local government, witnesses or source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12503 SPO A

System name:

Vehicle Administration Records

System location:

Kept by the Chief of Security Police at the installation where an individual registers or frequently operates a vehicle thereon. Information copies of some portions of this system may be kept at an individual's assigned unit. Official mailing addresses are in the Department of Defense Directory in the appendix to the Air Forces' system notice.

Categories of individuals covered by the system:

Persons who frequently drive or register vehicles on an Air Force installation.

Categories of records in the system:

Includes vehicle registration records, driver records, letters of suspension or revocation as applicable, and forms or letters which are necessary in the vehicle administration program for driver improvement actions.

Authority for maintenance of the system:

Title 10 USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purpoes of such uses:

Used to record an individual's statement of understanding on financial responsibilities with regard to operation of a vehicle on an Air Force installation. Driver records are maintained to record information about motor vehicle accidents and moving traffic violations that are used to provide for traffic point assessment, suspension, or revocation, or other driver improvement actions affecting driving privileges on Air Force installations. Routine use could include disclosure to law enforcement or investigatory authorities (Division of Motor Vehicles) for possible reciprocal action on driver license suspension or revocation. Any individual record or part thereof can be transferred to any component of the Department of Defense or to the Staff Judge Advocate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Vehicle Registration Number.
Filed by Vehicle License Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Private vehicle registration documentation is destroyed after departure of the registrant to a new duty station, upon termination of an individual vehicle registration, or at the end of the particular registration period. Driver records on employees are transferred to gaining installations when an individual is reassigned or transferred. These are destroyed on permanent separation from active service, termination of employment, or upon deletion of all entries. Destruction of these forms is done by tearing into pieces.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force. Washington DC 20330

Notification procedure:

The appropriate installation Chief of Security Police should be contacted for information. When requesting information in writing, individual should include full name, social security account number, military status, home address, and the letter will be notarized. During a personal visit, individual will be required to produce military ID, if applicable, a valid drivers license, or other appropriate proof of identity.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Contact the Chief of Security Police at the appropriate installation.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.
Information obtained from the bureau of motor vehicles.

Systems exempted from certain provisions of the act:

NONE

F12503 02 ALSB

System name:

Bicycle Registration File

System location:

Pass and Registration (Building 1149), 5010 Security Police Squadron, Eielson Air Force Base, Alaska, APO Seattle 98737.

Categories of individuals covered by the system:

Personnel who own bicycles and volunteer to register them.

Categories of records in the system:

Card File. Owners name, address and description of bicycle.

Authority for maintenance of the system:

Title 44 USC Sec 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Pass and Registration and Security Police personnel for identifying ownership of lost and recovered bicycles.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Security Police, Eielson Air Force Base, Alaska, APO Seattle 98737

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Send full name

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Voluntarily by individual

Systems exempted from certain provisions of the act:

NONE

F12503 02 ALSC

System name:

Storage and Special Permits for Recreational and Utility Trailers

System location:

Pass and Registration, Building 2-900, 21 Security Police Squadron, Elmendorf Air Force Base Alaska, APO Seattle 98742.

Categories of individuals covered by the system:

All personnel who own a recreational and/or utility trailer and living on base, and those living off-base with special permission for storage on base.

Categories of records in the system:

Card listing with owner's name, social security account number, organization, and description of item stored.

Authority for maintenance of the system:

44 USC, Section 3101, Public Printing and Documents - Records Management by Federal Agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Security Police and housing supervisors to control parking of recreational and/or utility trailers on base.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Filed by Vehicle Registration Number.

Safeguards:

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Security Police, Elmendorf Air Force Base, Alaska, APO Seattle 98742

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Send full name.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual prepares registration form.

Systems exempted from certain provisions of the act:

NONE

F12701 0J IGYA

System name:

Air Training Command Aircraft Accident Board Resources List

System location:

Headquarters Air Training Command, Randolph Air Force Base, Tx 78148.

Categories of individuals covered by the system:

Assigned rated pilots in the grade of colonel or general office r with an aviation service code of 1-7 but excluding wing and center commanders and assigned rated pilots on unconditional flying status with at least five years rated service and who have attended the aircraft accident investigation course,flight safety Officers course or advanced safety program management course.

Categories of records in the system:

Position, aircraft flown, previous air training command assignm ents, previous board experience, and safety schools attended.

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Air Training Command Commander appoints board presidents and investigators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Safety, Headquarters Air Training Command, Randolph Air Force Base TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

by full name, safety directorate, Headquarters Air Training Command, military identification card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12701 02SCEYA

System name:

Safety Education File

System location:

At Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409.

Categories of individuals covered by the system:

United States Air Force (USAF) personnel who have received formal safety training

Categories of records in the system:

Name,rank,SSAN,command of assignment,address,safety course name ,class number. Individual training records, letters, memorandum, messages and other material pertaining to training.

Authority for maintenance of the system:

10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to identify and provide a record of USAF personnel who have received formal safety training. Also used by AF military personnel center in office assignment process.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.
Records are stored in locked cabinets or rooms.
Records are controlled by visitor registers.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
. Also destroyed by erasing computer tapes.

System manager(s) and address:

Director of Aerospace Safety, Air Force Inspection and Safety Center, Norton AFB, Ca 92409.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Systems exempted from certain provisions of the act:

NONE

F12702 02SCEYA

System name:

Aircraft Accidents and Incidents Computer File

System location:

At Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409.

Categories of individuals covered by the system:

Any person in control of aircraft at time of United States Air Force accident or incident.

Categories of records in the system:

Date of mishap, aircraft identification, description of flight characteristics, injury totals, description of property damage, organization of aircraft, organization of individual, personnel data consisting of name, SSAN, grade, service component, aero rating, date received rating, year of birth, flying experience, and causes of accident as assessed by accident board. Engine data is included if accident is engine caused. Recommendations of accident board.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide statistical and historical information used by Department of Defense for aircraft accident prevention. Specifically for special safety studies, magazine articles, aircraft safety design studies, to evaluate pilot and crew training, to supplement curriculum for training, to determine possible causes of future accidents, to determine safety award winners, to estimate aircraft inventory requirements based on accident attrition, to estimate budget costs due to accident damage costs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.
Records are controlled by visitor registers.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Reports and Analysis Division, Air Force Inspection and Safety Center, Norton AFB, Ca 92409.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12702 02SCEYB

System name:

human factors in aircraft accident/incident computer file.

System location:

At Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409.

Categories of individuals covered by the system:

Any individual aboard aircraft during USAF accident or who suffered injury/fatality as result of accident/incident.

Categories of records in the system:

General identifying data, aircraft flight description, medical and injury data, toxicology test results, physical diseases and defects, psychological/environmental factors, personnel leave/ experience/ rest data, physiological data, vertigo training, survival equipment, egress training, ejection data, rescue/survival information.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide statistical and historical information used by Department of Defense for aircraft accident prevention. Specifically for special safety studies involving egress, ejection, search, rescue, survival, related equipment/training, physiological/medical/ injury data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.
Records are controlled by visitor registers.
Records are controlled by computer system software.

Retention and disposal:

Retained on computer magnetic tape until no longer required and then tape records are destroyed by erasing.
Records are then destroyed by tearing into pieces, shredding, macerating, pulping or burning.

System manager(s) and address:

Chief, Reports and Analysis Division, Air Force Inspection and Safety Center, Norton AFB, Ca 92409.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F12702 02SCEYC

System name:

United States Air Force (USAF) Ground Accident Fatality File

System location:

At Air Force Inspection and Safety Center, Norton Air Force Base, CA 92409.

Categories of individuals covered by the system:

All USAF active duty military and civilian employee fatalities

Categories of records in the system:

Name, SSAN, rank, service component, command and base of assignment, date of occurrence, duty status, major catagory of mishap.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides preliminary statistical accounting data on Air Force fatalities for accident prevention studies/efforts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Retained in files for four years after accident date, then destroyed.
Records are then destroyed by tearing into pieces, shredding, macerating, pulping or burning.

System manager(s) and address:

Director of Aerospace Safety, Air Force Inspection and Safety Center, Norton AFB, Ca 92409.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F14001 0SGHLNA

System name:

Bachelor Airmen's Quarters (BAQ) Temporary Issue Receipt

System location:

321Strategic Missile Wing, Grand Forks Air Force Base, ND 58201 321Missile Maintenance Squadron, Grand Forks Air Force Base, ND 58201 319Bombardment Wing (H), Grand Forks Air Force Base, ND 58201 319Avionics Maintenance Squadron, Grand Forks Air Force Base, ND 58201 319Field Maintenance Squadron, Grand Forks Air Force Base, ND 58201 319Organizational Maintenance Squadron, Grand Forks Air Force Base, ND 58201 319Munitions Maintenance Squadron, Grand Forks Air Force Base, ND 58201 321Combat Support Group, Grand Forks Air Force Base, ND 58201 21Civil Engineering Squadron, Grand Forks Air Force Base, ND 58201 321Transportation Squadron, Grand Forks Air Force Base, ND 58201 321Communications Squadron, Grand Forks Air Force Base, ND 58201 321Security Police Group, Grand Forks Air Force Base, ND 58201 321Missile Security Squadron, Grand Forks Air Force Base, ND 58201 321Supply Squadron, Grand Forks Air Force Base, ND 58201 USAF Hospital, Grand Forks Air Force Base, ND 58201

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Residing in barracks.

Categories of records in the system:

Receipt for room, furnishing, bedding, and key.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Temporary issue receipt.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Unit Commanders, Grand Forks Air Force Base.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual.

Systems exempted from certain provisions of the act:

NONE

F16001 AFA A

System name:

16001 AFA A Cadet Hospital/Clinic Records.

System location:

At USAF Academy CO 80840.

Categories of individuals covered by the system:

AF Academy Cadets.

Categories of records in the system:

Daily roster of cadets hospitalized and report of cadet visits to the cadet clinic.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Information collected for purpose of notifying concerned individuals of status of cadets hospitalized. Users include: Superintendent, Commandant of Cadets and Hospital Commander. Information used to provide Superintendent daily report of number and status of cadets hospitalized; provide Hospital Commander and staff daily report of status of cadets hospitalized; provide Commandant and staff daily report of number and status of cadets hospitalized; provide information to Air Officer Commanding so that he may notify parents as required when their child is hospitalized more than three days; concerned personnel can note trends in hospitalization in terms of numbers of cadets hospitalized, length of hospital stay, and nature of medical problems being treated. (2) Report of visits to cadet clinics; record the time a cadet enters the clinic, what his complaint is and explanation of excusals and time he exited the clinic. Distribution of this info is made to Cadet Safety, Athletics and individual concerned. Cadet Safety uses it to monitor cadet activity for ground safety program. Athletics uses to monitor excusals from physical education and to evaluate injury rates. The individual uses it to justify time away from classes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by name.

Safeguards:

(1) Records are accessed by the custodian, person(s) responsible for servicing the record system, and authorized personnel who are properly screened and have a need-to-know. Records are stored in locked cabinets or rooms. (2) Clinic copy is under the direct control of Non-Commissioned Office in Charge (NCOIC) of Administrative Services. Distribution is made only to acknowledged representatives of Cadet Wing Safety and Athletics.

Retention and disposal:

Retained in office files for one year after annual cut-off then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, USAF Academy Hospital, USAF Academy, CO 80840.

Notification procedure:

Requests should be addressed to the Registrar, USAF Academy Hospital Cadet Liaison, and should include full name, and date of hospital admission.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions, the individual, a physical and/or medical technicians.

Systems exempted from certain provisions of the act:

NONE

F16001 SGPC A

System name:

16001 SGPC A Medical Professional Staffing Records

System location:

At Air Force medical centers, hospitals, and clinics. All health facilities where graduate health education programs are conducted.

Categories of individuals covered by the system:

Practitioners, who are, or have been, members of the USAF Medical Service or Civil Service Employees (including civilian consultants who engage in direct patient care) and who are assigned to, employed by, or practice in the Air Force medical facility for the purpose of providing health services for eligible beneficiaries; United States Air Force Medical Service personnel pursuing graduate health education programs.

Categories of records in the system:

(1) Credential review files: Contains curriculum vitae, training reports, journals of patients managed, summaries of ambulatory experience, letters of evaluation, summaries of special activities or other information furnished or solicited in order to fully evaluate the professional qualifications of individuals. (2) Health education records: applications for training, training reports, Faculty Board reports, photograph or negative, and personnel documents related to training.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in credential review files are used to award inpatient and ambulatory clinical privileges to all categories of health practitioners. They may also be used as background data to respond to applications submitted by individual, admission to professional medical societies, employment, for medical privileges at civilian institutions. Health education records are used to permit evaluation of individuals in training, by program directors, in managing the individual in training; by the record maintenance personnel, to document changes to the individual's personnel record maintained by the servicing Consolidated Base Personnel Office (CBPO).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. By commanders of USAF medical centers hospitals and clinics (credential review files); by program directors, trainees and personnel managers with the need to know (health education records).

Retention and disposal:

(1) credential review files are retained in the office files of the medical facility the practitioner is assigned or employed. Following separation, resignation, or retirement, the files are retained at the location of the last duty assignment for a period of 3 years and then are destroyed. (2) Health education files are retained by the director of health education until training is completed, files are then kept by the health facility for 30 years and then destroyed by tearing into pieces, shredding, pulping, macerating, or burning; if facility is deactivated, the records are retired to the Washington National Records Center, Washington, DC 20409 to be retained until the 30-year period has expired at which time they will be destroyed.

System manager(s) and address:

For credential review files: The Surgeon General, Headquarters, United States Air Force; Commanders of medical centers, hospitals, clinics; Director, Washington National Records Center, Washington, DC 20409. For health education records, individuals should give full name, military status, social security number, when they entered training and completed training, and what corps within the medical service they are a member. Individuals may visit either the health facility main- taining the records or the Office of the Surgeon, Air Force Military Personnel Center, Randolph Air Force Base, Texas to learn if the record system contains their records. When visiting either of these locations, the individual must provide a valid drivers license or equivalent identification containing a photograph to establish identity.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

For credential review files, individual may obtain assistance in gaining access from the Systems Manager. For health education records, individual may obtain assistance by writing or presenting themselves in person to the health facility where the records are maintained. Official mailing addresses are in the Depart- ment of the Air Force Directory in the appendix to the Department of the Air Force system notices.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Credential review files: Basic information submitted by the practitioner. Additional information may be solicited from other sources in order to permit the credentials committee to best judge the capabilities of the practitioner. Health education records: Previous employer, educational institutions, master personnel record, information provided by the individual concerned.

Systems exempted from certain provisions of the act:

NONE

F16001 SGPS A

System name:

Aircrew Standards Case File

System location:

Directorate of Professional Services, Office Surgeon General, Forrestal Bldg, Washington, D.C. 20314

Categories of individuals covered by the system:

This record system is maintained on all Air Force members who have been considered for medical waiver for flying duty due to conditions defined as serious illness or for waiver for flying training.

Categories of records in the system:

The record system contains members' Report of Medical Examination, Report of Medical History. Narrative Summary; Aeromedical Evaluation; Electrocardiographic Reocrd; Clinical Record Consultation Sheet, and USAF School of Aerospace Medicine Evaluation Report (if accomplished). Additionally, disposition data is maintained or aperture cards to include member's name, social security account number, date of birth, aeronautical rating, diagnosis/diagnoses, and a chronological listing of waiver actions.

Authority for maintenance of the system:

Title 10, USC, Section 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These files are utilized to determine if previous action has been taken by the system manager and what was the disposition. Additionally, via the use of aperture cards, waiver actions are suspensed and historical retrieval of records by diagnosis is provided.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on aperture cards.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Directorate of Professional Services, Office of Surgeon General, Forrestal Bldg, Washington, DC 20314

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16002 SGPS A

System name:

Department of Defense Medical Examination Review Board Medical Examination Files

System location:

Department of Defense Medical Examination Review Board (DODMERB) US Air Force Academy CO 80840.

Categories of individuals covered by the system:

All applicants to the five service academies or the Four Year Reserve Officer Training Corps (ROTC) Scholarship Program.

Categories of records in the system:

The record system is maintained in three forms: hard copy - the original report of Medical Examination, Report of medical history, narrative summary and any associated civilian forms or rests that may have been accomplished; may also contain personal correspondence between the DODMERB and the applicant. The second portion is microform copy of the hard copy file; the third portion is storage in a Burroughs 3500 Computer.

Authority for maintenance of the system:

Title 10, United States Code, Section 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The paper copy is used to determine medical qualification for one or more of the service academies or the ROTC. The microform portion is used for historical retrieval of previous actions; The computer form is used to advise the service academies and ROTC program managers of any medical update actions on an applicant. Statistical summaries are extracted from the computer bank.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in microfilm jackets.
Maintained on disks or drums.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Department of Defense Medical Examination Review Board, US Air Force Academy CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16002 SGPS B

System name:

16002 SGPS B Retirements/Separations Records System

System location:

AFMPC/SG, Randolph AFB, Texas 78148.

Categories of individuals covered by the system:

All Air Force members whose cases have been presented to a Medical Evaluation Board with a recommended disposition of return to duty; whose medical qualification for worldwide duty upon examination for retirement or separation is questionable;all retiring general officers;all members who have had their medical clearance for retirement or separation withdrawn.

Categories of records in the system:

Retirement, separation, continued active duty Medical Evaluation Board, (if accomplished), Report of Medical Examination, Report of Medical History, Narrative Summary, Clinical Record Consultation Sheet, Electrocardiographic Record.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine if previous action has been taken by the system manager, and what the previous disposition was.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

AFMPC Surgeon, Rnadolph AFB, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16002 0IACYVA

System name:

16002 0IACYVA Physical Examination Reports Suspense File

System location:

Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280.

Categories of individuals covered by the system:

Air Force Reserve personnel.

Categories of records in the system:

incomplete reports of physical examinations, correspondence to and from reservists/individuals.

Authority for maintenance of the system:

section 10 US Code 275

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

information in files is used to provide control of reservists/ individual medical status.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN),

Safeguards:

Records are accessed by custodian of the record system, by person(s) responsible for servicing the record system in performance of their official duties and by commanders of medical centers and hospitals. Records are protected by guards.

Retention and disposal:

route for filing in the individual personnel records maintained at ARPC.

System manager(s) and address:

commander Air Reserve Personnel Center (ARPC), 7300 East First Avenue, Denver, CO 80280.

Notification procedure:

Requests from individuals should be addressed to the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280. Written requests for information should contain full name, SSN, current mailing address and, if known, the case (control) number on correspondence received from ARPC. Records may be reviewed in the Records Review Room, Air Reserve Personnel Center, 7300 East First Avenue, Denver, Colorado between 8:00 am and 3:00 pm on normal work days. Visitors wishing to see their records should provide a current Reserve identification card and/or driving license and some verbal information that could verify the person's identification.

Record access procedures:

Individuals can obtain assistance in gaining access from the Documentation Management Officer, ARPC/DADP, 7300 East First Avenue, Denver, Colorado 80280; telephone (303) 394-4667.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

information from examining facilities,physicians(military and civilian),and summary of physicians evaluation.

Systems exempted from certain provisions of the act:

NONE

F16003 ASGH R

System name:

Air Force Clinical Laboratory Automation Systems (AFCLAS)

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Wright-Patterson Air Force Base, Ohio and Andrews Air Force Base, Maryland.

Categories of individuals covered by the system:

Patients at above medical facilities.

Categories of records in the system:

Patient identifiers, demographic data, laboratory tests requested, test results, related scheduling and suspensing information, internal laboratory auditing and quality control information.

Authority for maintenance of the system:

Title 10, United States Code, Sections 133 and 8012.

Routine uses of records maintained in the system, including categories of users and the purpoes of such uses:

Provides coarse data concerning clinical laboratory results to permanent in and outpatient records, provides scheduling and suspense information to laboratory personnel, and provides permanent laboratory records as required by pertinent regulations and policies. Facilities provision of timely and accurate data to medical professional staff for determining patient care requirements. Provides basis for workload accounts and statistcal analysis of mass patient data for research, including determination of normal values by age, sex, and race.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
In and outpatient medical records.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.
Requesting physician, ward or clinic, date of request, type of request.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in computer memory for up to 7 days after discharge for inpatients and/or up to 290 days after last clinic visit for outpatients. Length of retention variable within reasonable limits by user. Final report then generated for patient medical records and memory erased. Reports also privide for internal laboratory record requirements.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Data Automation Agency, USAF.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16003 0SPCZPA

System name:

Laboratory Course Phase II

System location:

USAF Regional Hospital, March APB, Ca 92508

Categories of individuals covered by the system:

Enlisted military personnel assigned for training as laboratory technicians.

Categories of records in the system:

Evaluation of quality and quantity of work and of personal characteristics.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by supervisors to evaluate students.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files as long as student is in training status , then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief, Laboratory Services, USAF Regional Hospital, March AFB, Ca 92508

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

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The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from training supervisors

Systems exempted from certain provisions of the act:

NONE

F16003 02 ALSA

System name:

Chain of Custody Receipt

System location:

United States Air Force (USAF) Hospital Elmendorf Air Force Base, Alaska, APO Seattle 98742

Categories of individuals covered by the system:

Blood alcohol testing is accomplished on military personnel at the direction of proper military authority.

Categories of records in the system:

A means of providing a continuous hand receipt for blood alcohol specimens.

Authority for maintenance of the system:

44 USC 3101, Records Management by Agency Head - General Duties.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Original retained in laboratory. Copy sent with blood alcohol specimen to local Security Police, Office of Special Investigations, or Federal Law Enforcement Agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, USAF Hospital Elmendorf Air Force Base, Alaska, APO Seattle 98742

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Identification card in the case of personal request.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
USAF Hospital, Elmendorf AFB, Alaska

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual with custody of specimen provides name.

Systems exempted from certain provisions of the act:

NONE

F16006 ASGPA R

System name:

USAF Hearing Conservation Record System

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
At USAF School of Aerospace Medicine (USAFSAM), Brooks AFB, TX 78235.

Categories of individuals covered by the system:

All Air Force Employees, military or civilian who are enlisted in the Hearing Conservation Program due to working in noise hazard areas.

Categories of records in the system:

AF Forms 1490 and 1491 which documents name, social security account number, individuals military grade or rank, or U.S. Civil Service grade, date of birth, age, sex, USAF specialty code or job code, whether in-training or assigned to regular duty, the organization to which the individual is assigned complete with address, individual's duty phone number, whether military or civilian, date assigned to duty in noise occupation, brief description of previous exposure to noise, time, day of week and date of audiometric test, time and date of last significant noise exposure encountered within last 30 days, if any, type significant to noise to which last exposed, type of audiometer used, i.e., manual or automatic, audiometer calibration method, date of last audiometer calibration, whether audiometric exam conducted in prefabricated booth or not, class of hearing based on hearing threshold levels measured. Hearing threshold levels for 500, 1000, 2000, 3000, 4000 and 6000 frequencies in each ear including results of current audiometric examination, his reference or initial examination and any shift between these two examinations in each ear, whether or not ear plugs were issued at time of audiometric examination or have been previously issued, type of earplug issued, size of ear plug issued for each ear, if noise ear muff issued, if individual wears glasses, if examiner and individual consider ear protection is satisfactory, any pertinent remarks relative to the individual, noise exposure, hearing, etc.; and the audiometric examiner's name, Air Force Specialty Code, social security account number, and office symbol. File contains information on AF Form 1621, Evaluation of Individual Noise Exposure, which is used to document data and observations relating to an individual's exposure to occupational noise.

Authority for maintenance of the system:

Title 29 Code of Federal Regulations, Part 1910.95 Occupational Safety and Health Standards. Public Law 91-596, The Occupational Safety and Health Act; Executive Order 11807, the Occupational Safety and Health Program for Federal Employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USAF School of Aerospace Medicine-to provide continuing review of the Air Force Hearing Conservation Program by updating damage-risk criteria, modifying monitoring audiometry program procedures, validating personnel disposition procedures relating to occupationally induced hearing losses, evaluating hearing protective devices and procedures, and research associated with noise induced hearing losses. At the specific request of a USAF Medical Facility provide an historical record of the results of an individual's monitoring audiometric test results. Base Medical Personnel-to monitor employees health status for occupational health programs, to use in formulating recommendations to supervisors on requirements to remove individual from further exposure, to determine need for investigation of workplace environment for abnormal exposure conditions. Employee's Supervisor-to determine whether employee can continue to work in the exposure situation; to determine relative risk of various work tasks, to improve safety of noise exposure procedures. Bureau of Employees Compensation-Information relating to individuals' claims for occupationally induced hearing losses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by date of birth.
Air Force Specialty Code, Job Code.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are controlled by computer system software.

Retention and disposal:

At School of Aerospace Medicine, retained permanently in computer, at bases retained as permanent part of medical record for fifty years after date of latest document, then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16006 SGPC A

System name:

Central Medical Registry Files

System location:

Armed Forces Central Medical Registry, Brooks AFB TX 78235; Armed Forces medical centers, hospitals, and clinics.

Categories of individuals covered by the system:

All individuals who were diagnosed as having or were treated for cancer in an armed forces medical treatment facility.

Categories of records in the system:

Files contain summaries of treatment provided cancer patients, to include tumor board evaluations, comprehensive chronological summaries of care rendered, a locator system, suspense files for required follow-up treatment and/or evaluation.

Authority for maintenance of the system:

Title 10, United States Code, Sections 125, 133 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected for the purpose of maintaining an information service for the military departments for clinical and statistical analysis of designated medical and dental cases, their treatment and results. The files serve as the central repository of clinical information relating to individuals evaluated and/or treated in Army, Navy and Air Force medical facilities. It is used to conduct statistical analysis and to provide clinical information to other federal medical services, scientific institutions and qualified members of the medical and dental professions (information identifiable by name is released only with permission of the patient). Information may be provided local hospital tumor registries, physicians, scientific institutions. Information is used by the medical facilities to promote education programs and to develop statistics designed to be used as a basis for developing improved diagnostic and therapeutic standards. Used by the individual physician or scientist to develop and write professional papers and is used by hospital tumor registries to update their case records as to status and quality of survival of individual patients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on roll microfilm.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Records located at the Central Medical Registry are retained in Office files permanently. Records located at medical facilities are retained in the office files until inactivation of the tumor board or the facility, then destroyed by tearing into pieces, shredding, pulping macerating, or burning.

System manager(s) and address:

Director, Armed Services Central Medical Registry, Brooks AFB TX 78235; Commanders of armed forces medical facilities. MEDICAL FACILITIES.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
; full name, social security account number of sponsor, accesion number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from a state or local government.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F16007 SGPA A

System name:

Drug Abuse Rehabilitation Report System

System location:

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Any active duty military personnel who are confirmed as drug abusers as a result of drug abuse urinalysis testing.

Categories of records in the system:

File contains Drug Abuse Rehabilitation Reports in Electrical Message Form in which demographic data, urine testing results and abuser disposition are detailed.

Authority for maintenance of the system:

Public Law 91-513 as applied to Federal agnecies by Section 2b of Executive Order 11599, 17 June 1971, Comprehensive Drug Abuse Prevention and Control Act of 1970.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

At HQ USAF to provide statistical data for required reports to Department of Defense (DOD) and to the Special Action Office on Drug Abuse Prevention, White House; to perform epidemiologic and statistical studies for use in evaluating the effectiveness of Air Force urinalysis testing programs; to provide information for answering congressional inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files for five years after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16101 SGPA A

System name:

Medical Recommendation for Flying Duty

System location:

At headquarters of the United States Air Force, major commands and major subordinate commands. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At consolidated flight record custodians. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Personnel on flying status, performing missile duties, Air Traffic Controller duties, Weapons Controller duties.

Categories of records in the system:

Name, Rank, social security account number, command of assignment, aeronautical rating, aviation service code, date of grounding, month in which flight requirements were last met, estimated duration of incapacity to fly, total flying time to date, type of action recommended relative to performing flying duties, days grounded, and information on suspension from flying, previous waivers, requirement for spectacles, medical diagnosis. Records also contain correction sheets, transcript sheets for individuals not returned to flying status after excusal, grounding, or suspension.

Authority for maintenance of the system:

Title 10, United States Code, Sections 8012 and 133; Executive Order 9397; Title 37 United States Code, Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose is to establish annual clearance, recommend change in flying, missile alert, air traffic controller, and weapons controller status for medical reasons; gather data for statistical tabulation of non-effectiveness rates in Individual Category due to illness/injury. Category of user and related specific uses are: Base Level CBPOs use data as a basis for preparing aeronautical order at the instruction of the local commander authorized to issue orders suspending flying status; Flight Managers retain copies of Medical Recommendations for Flying Duty in the Aircrew Standardization Evaluation records to reflect medical status for flying; Local medical facility maintains a copy of the Medical Recommendation for Flying in individual health records and also uses the Medical Recommendation for Flying to notify local commander, local flight managers, local CBPO and higher headquarters of change of medical status of Individual Category relative to the performance of lying, missile, air traffic control, or weapons control duty; Major Command Surgeon's office use the data to evaluate the effectiveness of respective base level Aerospace Medicine Programs and to determine medical causes of non-effectiveness among respective flying personnel; HQ USAF/SGHB, Biometrics Division, uses data for statistical determination of medical causes of non-effectiveness among flying personnel, as source document for individuals removed from flying for medical reasons and not authorized to return, control information when a rated flyer is returned after a removal which spans two calendar years, and to provide greater detail than the coded abstract about the medical reason for removal from flying.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Base Level, Major Command Level, Headquarters United States Air Force Level.

Maintained in file folders.

Maintained in visible file binders/cabinets.

Retrievability:

Base Level, Major Command Level, Headquarters United States Air Force Level.

Filed by Name.

Filed by Social Security Account Number (SSAN).

Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Records are stored in locked cabinets or rooms.

Records are protected by guards.

Records are controlled by personnel screening.

Retention and disposal:

Original medical recommendations for flying duty are retained in individual health record for fifty years after date of latest document, then destroyed.HQ USAF/SGHB retains Medical Recommendations for Flying Duty indefinitely or until data is received that they are no longer on active duty with the Air Force; Medical Recommendation for Flying for rated flyers returned to flying are retained for two years prior to the current year, then destroyed; coded 'transcript sheets' are retained for the five years prior to the current year then destroyed; edits and audits of coded data are retained for the full year prior to the current year, then destroyed; computer listings are retained for 15 years prior to current year then destroyed; computer listings on microfiche are retained for 20 years prior to current year, then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16101 0SSGBPA

System name:

Aerospace Medicine Program Medical Recommendation Missile Duty

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Supporting a missile mission, individuals commander.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Air Force active duty enlisted personnel.

Assigned missile launch duty as members of a combat crew.

Categories of records in the system:

Individual identification, certificate of awareness of clearance-restriction and appropriate medical comment.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Notify individuals commander of medical restriction- qualification to perform missile duty - missile unit commanders ,missile medicine sections at base medical facility, SAC surgeons office missile medicine branch - commander -to assign or remove an individual from missile duty-missile medicine sections - to notify individuals commander of medical restriction-qualification to perform missile duty-SAC surgeon monitor the health of SAC missile combat crew members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Filed by Social Security Account Number (SSAN).

Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Strategic Air Command (SAC) surgeon, Headquarters SAC - commanders of SAC hospitals, medical centers, and clinics.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Full name, military status, SSAN, air force base where medical record is maintained. Registrar of air force hospitals, medical centers, and clinics. Proof of identity is required.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16102 SGPA A

System name:

Air Force Aerospace Physiology Training Programs

System location:

Chamber Flight Records located at USAF School of Aerospace Medicine, Physiological Education Branch (USAFSAM/EDP), Brooks AFB TX 78235 and at the AF Physiological Training Unit (PTU) where individuals received training; Physiological Training Monthly Report is retained at each AF PTU, USAFSAM/EDP Brooks AFB TX 78235; Physiological Training Records are located at AF PTUs; Individual Physiological Training Records for aircrews, Individual Physiological Training Records for non-aircrew personnel.

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At consolidated flight record custodians. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Aircrew and non-aircrew personnel required to fly on Air Force aircraft.

Categories of records in the system:

Used for records accounting and research. Contains data on attendance at formal training, type of course received, quality performance, training flight profiles, location of training, age, height, weight and sex of trainees.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012 and 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Authenticate type of training, location and trainees performance during course. Exact flight profiles (altitude chamber) and any reactions occurring during flight are maintained by each PTU for future authentication of trainmg. Additional authentication is provided flight managers and scheduling officers and copies of flight profiles and reaction data are provided USAFSAM for research. A compilation of select data is forwarded to appropriate Command Coordinator for Physiological Training for management purposes. USAFSAM/EDP/ and the Test Support Branch (BNT) for analysis and research and to the Aerospace Medicine Divison, HQ USAF/SGPA Washington DC 20314 for managment and research. Data for specific reactors to low pressure are handled as medical records with additional distribution to appropriate MAJCOM Surgeon/SGP for information and possible corrective action, to USAFSAM/EDP/VNT for research and analysis, and to HQ USAF/SGPA for policy/management/statistical/research analysis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Record of training, records of individuals in a given class, altitude flight profiles, combined data of all individuals trained each month, and data on technicians providing the training

Maintained in file folders.

Maintained in visible file binders/cabinets. Authentication of training

Maintained in card files.

Retrievability:

Data relative to reactors to low pressure, management analysis procedures, and authentication of training

Filed by Name. All other data retrieval, except in case of a reactor to low pressure, is by translation of an individual's name into a number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by commanders of medical centers and hospitals.

Records are protected by guards.

Retention and disposal:

Chamber Flight Record (original) at USAFSAM

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Copies at Unit

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. after three years; Physiological Training Monthly Report (original) at HQ USAF and USAFSAM

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Copies at other than HQ USAF and USAFSAM

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into

pieces, shredding, pulping, macerating, or burning. after three years; Physiological Training Record

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. after 6 years; Individual Physiological Training Records for non-flying personnel retained as a permanent part of individual medical record for fifty years after date of latest document, then destroyed. For flying personnel, is retained in flight records and turned over to individual after discharge, separation, retirement.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

, Attention Chief, Aerospace Physiology, HQ USAF/SGPA, Washington DC 20313. Students should provide full name, military status, approximate date and last location of training; officers and technicians assigned AF Aerospace Physiology Programs provide full name and location of last training. Requestors may visit Office of the Surgeon General, Aerospace Medicine Division. Proof of identity is by government ID Card for active/retired, driver's license if otherwise.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Physiological Training Unit (PTU).

Systems exempted from certain provisions of the act:

NONE

F16102 SGPA B

System name:

USAF Compression Chamber Operation

System location:

Treatment Records (original) retained in individual health record

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. as part of health record. First copy retained at USAF School of Aerospace Medicine, Hyperbaric Medical Branch (USAFSAM/EDH) Brooks AFB TX 78235. Other copies

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. and individual Physiological Training Unit (PTU) having Compression Therapy capability; Compression Chamber Operations Record is retained at PTUs having Compression Therapy capability; Compression Chamber Reactor Case Report (original)

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. as part of health record. First copy retained at USAFSAM/EDH. Other copies

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. and individual PTUs having Compression Therapy capabilities; Oxygen Sensitivity Tolerance/Pressure Test

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. as part of health record and USAFSAM/EDH.

Categories of individuals covered by the system:

Officers/technicians performing treatments (normally medical doctors, aerospace physiologists/physiological training technicians); patients, who are

All active duty military personnel.

Retired Air Force military personnel.

Dependents of military personnel. dependents of retired military and civilians treated on an emergency basis.

Categories of records in the system:

Treatment records of patient and records of personnel conducting treatment. Records of exposure to high pressure profiles are maintained for patient and personnel conducting treatment. Records of training dives are maintained on officers and technicians performing treatment dives as well as their physical capability/tolerance to perform in subsequent treatment dives/procedures.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012 and Section 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide an exacting record for a patient treated by compression therapy and documents reactions of the patient's response to high presssure. Concurrently it protects the patient by insuring that overexposure to high pressure does not occur. Records are maintained on persons performing treatments because they are exposed to the same treatment profiles as their patients and to insure their capability of performing treatment and to determine in advance that they are not physiologically susceptible to potential hazards of treatment. Category of user: Physicians, aerospace physiologists and technicians. Records are also provided to USAF Compression Therapy Center, USAFSAM/EDH, Brooks AFB TX and the Aerospace Medicine Division, HQ USAF/SGPA Washington DC for research and statistical analysis, and management effectiveness. Records maintained on technicians/officers conducting procedures are maintained at treatment site to insure overexposure to high pressure does not occur and to determine professional adequacy to participate in treatment dives. Records involving officers/technicians performing treatment are provided MAJCOM/SGP, USAF School of Aerospace Medicine, Physiological Education Branch (USAFSAM/EDP) and HQ, USAF/SGPA for statistical analysis, research and management effectiveness considerations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained in visible file binders/cabinets.

Retrievability:

Patients records

Filed by Name.

Filed by Social Security Account Number (SSAN). Officers/technicians

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by commanders of medical centers and hospitals.

Records are protected by guards.

Retention and disposal:

Treatment Records (original) retained in individual health record for fifty years after date of latest document and then destroyed. First copy and other copies at USAFSAM, HQ USAF and MAJCOMs

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Other copies at PTUs

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. after 3 years; Compression Chamber Operation Record at PTUS

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. after 3 years; Compression Chamber Reactor Case Report (original) retained in individual health record for fifty years after date of latest document, then destroyed. First copy at USAFSAM and other copies at HQ USAF and MAJCOMs

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Copies at PTU

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. after 3 years; Oxygen Sensitivity Tolerance/Pressure Test retained in individual health record for fifty years after date of latest document, then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Required information for military/ex-military is full name, social security account number; civilian should provide name, social security account number, location of treatment, and approximate date of treatment. Requester may visit Office of the Surgeon General, Aerospace Medicine Division. Proof of identity is by government ID card for active/retired military, driver's license for civilians.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

By physicians regarding diagnosis/treatment.

Systems exempted from certain provisions of the act:

NONE

F16104 SGPA A

System name:

USAF Master Radiation Exposure Registry

System location:

USAF Radiological Health Laboratory, (AFLC), Wright Patterson AFB, OH 45433

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. At base facilities using sources of ionizing radiation

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All military and civilian employees of the U.S. Air Force who are currently or have been since 1960 included in the USAF Personnel Dosimetry Program.

Categories of records in the system:

Radiation dosimetry results in quarterly, annual and lifetime cumulative periods and results of bioassays for radioactive emitters.

Authority for maintenance of the system:

Part 20.401(c), Title 10, Chapter 1, CFR 'Atomic Energy Act of 1954' and Sections 2(2),2(3), Executive Order 11807 'Occupational Safety and Health Program for 'Federal Employees.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

At Radiological Health Laboratory-to maintain throughout the employment history of radiation workers a cumulative record of occupational radiation exposure as required by Public Law; to provide that cumulative record to any future employer who makes a proper request for it; to provide information to occupational health personnel and employee's supervisor on cumulative radiation exposure status of employee; to provide information to investigators of radiation accidents and incidents regarding radiation exposure resulting from the event; to use in epidemiological and statistical studies to determine the effectiveness of Air Force wide radiological health programs, trends in exposure doses, exposure experiences of selected occupational groups and similar studies. Base Medical Personnel-to monitor employees health status for occupational health programs, to use in formulating recommendations to supervisors on requirements to remove from further exposure, to determine need for investigation of workplace environment for abnormal expsure conditions. Employee's Supervisor-to determine whether employee can continue to work in the exposure situation; to determine which tasks are high exposure and which are low exposure; to improve safety of radiation exposure procedures. Future Employers-to use as the basis for continuing the lifetime cumulative record on the employees and to use for all the purposes which the current employer uses these records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Maintained on disks or drums.

Maintained on computer paper printouts.

Retrievability:

Filed by Name.

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by commanders of medical centers and hospitals.

Records are controlled by personnel screening.

Records are controlled by computer system software.

Retention and disposal:

Records are permanent at USAF Radiological Health Laboratory. Retained in medical record and supervisor's record for six months then destroy by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16201 SGD A

System name:

Dental Health Records

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Other authorized medical units serving military personnel and/or dependents, such as National Aeronautics and Space Administration, Embassies, Federal Aviation Agency, Public Health Service, Veterans Administration.

Categories of individuals covered by the system:

All active duty military personnel.

Retired Air Force military personnel.

Air Force Academy nominees/applicants.

Dependents of military personnel.

Foreign Nationals residing in the United States.

American Red Cross personnel.

Peace Corps and State Department personnel.

Exchange Officers.

Categories of records in the system:

Chronological record of all care received in military dental facilities. This is primarily arecord of all treatment received on an outpatient basis with supporting documentation such as consultations, dental history, laboratory, and x-ray reports; the record also includes temporary copies of appointment slips and attendance records until entered in the record.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012 and Section 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Chronological record of patient's dental health while authorized care in a military dental facility. Patient-for further dental care, legal purposes, other uses such as insurance requests or compensation claims as specifically authorized by the patient. Dentist-for further dental care of the patient, research, teaching, legal purposes. Other Patient Care Providers within the hospital - for further medical/dental care of the patient, research, teaching, legal purposes. Hospital and Dental Staff - evaluation of dental staff performance in the dental

care rendered; dental research; teaching; hospital accreditation; preparation of statistical reports; legal purposes. Army-Navy-VA-PHS- any other hospital, clinic, etc - for further dental care of the patient if he is currently undergoing treatment there. Attorneys and courts for litigation purposes. Record is released only upon receipt of the patient's signed authorization or a court order. Insurance companies require the patients' written consent for release. Used for establishing insurance benefits or payment of benefits. Other Air Force Agencies - such as Central Tumor Registry which maintains files on all patients in whom a malignancy has been diagnosed; Office of Special Investigations when required for an investigation they are conducting; Judge Advocate General for litigation purposes. Other Federal and State Agencies - such as the Veterans' Administration and Department of Labor (workmen's compensation) for adjudication of claims; reporting communicable disease or other conditions required by law. Other persons or agencies as specifically authorized by the patient.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained in card files.
Maintained on x-ray film.
Maintained as photographs.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.

Retention and disposal:

Records for military personnel are retained for fifty years after date of last document; for all others, twenty-five years. While on active duty, the Health Record of a US military member is maintained at the dental unit at which the person receives treatment. On separation/retirement the records are forwarded to National Personnel Records Center (NPRC/MPR) or other designated depository; such as Air Reserve Personnel Center, if reservist; to appropriate state National Guard unit, if National Guard member, to appropriate Veterans Administration Regional Office, if VA claim has been filed. Records of other personnel may be handcarried or mailed to the next military medical facility at which treatment will be received, or the records are retained at the treating facility for a minimum of 1 year after date of last treatment then retired to NPRC or other designated depository, such as but not limited to, Commandant (PM) US Coast Guard, Washington DC 20226 for Coast Guard active duty members; Medical Director, American Red Cross, Washington DC 20006 for Red Cross Personnel.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Assistant Surgeon General for Dental Services, USAF; commanders of medical centers, hospitals, clinics, medical aid stations - Military Personnel Center Director National Personnel Record Center (military) 9700 Page Blvd, St Louis MO 63212; Director, National Personnel Record Center (civilian), 111 Winnebago St., St Louis MO 63118, individuals who have records responsibility at all other authorized medical units servicing military personnel and their dependents.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Complete name, social security account number of individual through whom eligibility for care is established, year in which treatment was received, location treatment was received, whether treatment was on an inpatient or outpatient basis. Above SYSMANAGERS or in the case of Air Force medical facilites, the Registrar's office of the hospital. An appropriately signed authorization for the release of the information is required. Individual's complete name and social security account number of individual through whom eligibility for care is established.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16202 SGD A

System name:

Dental Personnel Actions

System location:

U.S. Air Force Surgeon General, Office of the Assistant Surgeon General for Dental Services, Room 6A179, Forrestal Building, Washington, D. C. 20314, (HQ USAF/SGD)

Categories of individuals covered by the system:

All individuals who are or have been associated with the Air Force Dental Service

Categories of records in the system:

General Correspondence relating to dental personnel actions; for example, but not limited to Awards and Decorations, Letters of Appreciation, Favorable Communications, Promotion Letters, Retirement Letters, Resignation Letters, Letters of Congratulation, Board Certified Specialists, Chief Dentists Badge Selection Board, Moonlighting Program, Military Assistance Program, Dental School Representatives Program, Air Force Reserve Forces Personnel listings, AFSC Prefix Awards (A&W), Dental Consultant Program, Uniformed Services University of Health Sciences (USUHS), Tri-Service Exhibit Monitors, Administration of Office Personnel

Authority for maintenance of the system:

Title 10 USC, Section 8012; Title 10 USC, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supporting Documentation for Air Froce Staff for establishing policies and procedures of professional personnel activities for the Air Force Dental Service. Other persons or agencies as specifically authorized by the individual concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained in card files.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.

Retention and disposal:

Records are retained in active file for three years or until purpose has been served, then destroyed, by tearing into pieces, shredding, pulping, macerating or burning

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Assistant Surgeon General for Dental Services, HQ USAF

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Complete name, Social Secruity Account Number, and military status of individual requesting

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from automated system interfaces.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F16202 SGD B

System name:

Dental Professional Activities

System location:

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All individuals who are or have been associated with the Air Force Dental Service

Categories of records in the system:

General Correspondence relating to dental professional activities; for example, but not limited to correspondence from ASD (H&E) Special Assistant for Dental Affairs, ADA Council on Scientific Sessions-Table Clinics, Professional Academies, Professional Associations, Professional Societies, Specialty Boards; and Academic Reports, Teaching Reports, and Dental Service Report (D.D.477a)

Authority for maintenance of the system:

Title 10 USC, Section 8012; Title 10 USC, Section 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supporting documentation for Air Force Staff for eatablishing policies and procedures of professional personnel activities for the Air Force Dental Service. Other persons or agencies as specifically authorized by the individual concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Institution attended and date

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.

Retention and disposal:

Records are retained in active file for three years or until purpose has been served, then destroyed, by tearing into pieces, shredding, pulping, macerating or burning

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Assistant Surgeon Genrral for Dental Services, HQ USAF

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F16401 GHXO S

System name:

Patient Evacuation Manifest

System location:

Patient Airlift Center, 375th Aeromedical Airlift Wing, Scott AFB IL 62225 Office of the Command Surgeon, Military Airlift Command, Scott AFB IL 62225 Aeromedical Evacuation Control Center (AECC), 57th Aeromedical Evacuation Squadron, Scott AFB IL 62225 AECC, 9th Aeromedical Evacuation Squadron, APO San Francisco 96274 AECC, 58th Aeromedical Evacuation Squadron, APO New York 09057

Categories of individuals covered by the system:

Any patient or attendant provided transportation by the Air Force aeromedical evacuation system.

Categories of records in the system:

Files contain a list of patients and attendants moved by aeromedical evacuation.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Patient Airlift Center and AECCs-To develop flight itineraries and patient loading plans, prepare necessary equipment and medicines for inflight patient care, determine medical crew requirements, maintain statistical data for planning long-range flight schedules, study trends in patient flow, monitor effectiveness of the aeromedical evacuation system. Military Airlift Command-To compile aeromedical evacuation statistics, develop long-range patient evacuation plans, monitor effectiveness of the aeromedical evacuation system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.

Retrievability:

Filed chronologically by manifest and flight number and day flight operated.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Computer tapes are retained indefinitely

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

375th Aeromedical Airlift Wing/SG, Scott AFB IL 62225

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F16802 CSGH R

System name:

MAMS-R (Medical Administrative Management System - Revision)

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

MAMS-R feeds information to current MAMS

Categories of individuals covered by the system:

Patients and employees that are treated at Air Force medical facilities

Categories of records in the system:

Patient identifier, demographic data, diagnosis data, surgical operation data, statistical data pertaining to days under treatment, disposition data, and data associated with medical facility personnel.

Authority for maintenance of the system:

Title 10 USC Sections 133 and 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides source data pertaining to treatment of patients rendered by Air Force medical facilities. Data used by medical managers in planning, directing, and controlling operation of medical facility. Provides other medical personnel data required for day to day operation of a medical facility. Provides statistical data to current MAMS system at MAJCOM and HQ USAF.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Social Security Account Number (SSAN)
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Maintained on computer history file via magnetic tape storage. Duration of storage not yet determined, but will not exceed 5 years.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Data Automation Agency, USAF, and medical facility commanders at each location.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F16802 SGHB B

System name:

Casualties in Southeast Asia

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Air Force personnel killed, wounded in action in Southeast Asia or declared dead after having been missing in action.

Categories of records in the system:

Abstraction of casualty reports provided to Air Force Military Personnel Center.

Authority for maintenance of the system:

Title 10, US Code Section 133 and Section 8012 Executive Order 9397

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistical research on type of casualty and the preparation of special reports on the medical care required by battle casualties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retention time not determined.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Complete name (including maiden name, if applicable). Social Security Account Number of individual through whom eligibility for care is established, year in which treatment was provided, whether treatment was on an inpatient or outpatient basis. If a dependent, specify relationship to sponsor, e.g., wife, oldest child, second oldest child, etc.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F16802 SGPC A

System name:

16802 SGPC A Child Advocacy Case Files

System location:

At Headquarters United States Air Force, Office of the Surgeon General, Directorate of Professional Services, Clinical Medicine Division, 1000 Independence Avenue, Washington, D.C. 20314; Major Command Surgeon's Office; and Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notices.

Categories of individuals covered by the system:

All children entitled to care at Air Force medical and dental facilities whose abuse or neglect is brought to the attention of appropriate authorities and all persons suspected of abusing or neglecting such children.

Categories of records in the system:

Medical records of suspected and established cases of child abuse or neglect, investigative reports, correspondence, child advocacy committee reports, follow-up and evaluative reports, and any other supportive data assembled relevant to individual child advocacy program files.

Authority for maintenance of the system:

5 U.S.C. 301; 10 U.S.C. 8012; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Air Force in the performance of their official duties relating to health and medical treatment of members and former members of the uniformed services, civilians, and dependents receiving medical care under Air Force auspices; performance of research studies and compilation of statistical data. Officials and employees of other components of the Department of Defense and other Departments and agencies of the Executive Branch of government in the performance of their official duties relating to the coordination of child advocacy programs, medical care and research concerningchild abuse and neglect. The Attorney General of the United States or his authorized representatives in connection with litigation, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Federal, state or local governmental agencies when it is deemed appropriate to utilize civilian resources in the counseling and treatment of individuals or families involved in child abuse or neglect, or when it is deemed appropriate or necessary to refer a case to civilian authorities for civil or criminal law enforcement. Authorized officials and employees of private organizations and individuals for health research in the interest of the federal government and the public; and authorized surveying bodies for professional certification and accreditation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, microfilm or magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

Retrievability:

Records are retrieved by name of the abused or neglected child and the social security number of the sponsor or guardian.

Safeguards:

Records are maintained in various kinds of filing equipment in specified monitored or controlled access rooms or areas. Public access is not permitted. Records are accessible only to authorized personnel that are properly screened and trained, and on a need to know basis only. Computer terminals are located in supervised areas with access controlled by password or other user code system.

Retention and disposal:

Retained in office files for five years after the end of year in which case was closed, retired to National Personnel Records Center (Civilian), 111 Winnebago Street, St Louis, Missouri 63118.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force, Major Command Surgeons, commanders of medical centers, hospitals, and clinics.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager at Air Force hospitals, medical centers and clinics. Requests should include name, social security account number of sponsor location, and place of incident.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Reports from physicians and other medical department personnel reports and information from other sources including educational institutions, medical institutions, law enforcement agencies, public and private health and welfare agencies, and witnesses.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a(k)(2) and (5), as applicable. For additional information contact the System Manager(s).

F16802 0RKNMDA

System name:

Civilian Health/Medical Program of Uniformed Services (CHAMPUS) Case Claim Files

System location:

Commander Eighth Air Force USAF Clinic Andersen (Registrar) APO 96334. All of Guam (basic program) USAF Hosp Clark (Registrar),APO 96274 all of Phillipines,Thailand, Taiwan (basic program) USAF Hosp Tachikawa (Registrar),APO 96323 Kanto Plains, Hakata all of Korea (basic program) USAF Hosp Misawa (Registrar),APO 96519,Misawa and Chitose (basic program) USAF clinic Kadena (Registrar),APO 96239,all of Okinawa (basic program) the remainder of Air Force claims in Pacific Air Force(PACAF) command area, along with Air Force claims from India, Sri Lanka,Pakistan Nepal,and Afghanistan is processed and filed by commander in chief Pacific Air Forces (CINCPACAF)(Scamp),APO 96553(basic program and entire handicapped program for command).

Categories of individuals covered by the system:

dependents of Air Force personnel retired Air Force military personnel dependents of retired and deceased AF personnel.

Categories of records in the system:

medical reports invoices and receipts for treatment.

Authority for maintenance of the system:

Of Title 10 US Code 1071-1087.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

for determination if claim is authorized for payment for screening against duplicate payments for same service serves as auditable records to support computations of amount of payments made to claimants categories of users are physicians for diagnosis hospital administrative personnel for determining if care is authorized and to compute amount to be paid accounting and finance office for supporting documents to support payment of claims auditors - to determine if payment computations were made in accordance with directives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.

Retention and disposal:

records are kept on a fiscal year basis and are brought forward to current year if they are still active. Records are cut off at end of fiscal year and destroyed after 5 years by tearing into pieces,shredding,pulping,macerating,or burning signed requests from individual concerned must be forwarded to office of record. Request should include full name of individual and full name of sponsor and his social security account number. with Air Force claims from India,Sri Lanka,Pakistan,Nepal,and Afghanistan is processed and filed

by CINCPACAF surgeon general, APO San Francisco,96553 basic program and entire handicapped program for the command.

System manager(s) and address:

Commander Eighth Air Force USAF Clinic Andersen (Registrar)APO San Francisco 96334.all of Guam (basic program) USAF Hosp Clark (Registrar) APO San Francisco 96274 all of Phillipines,Thailand , Taiwan (basic program) USAF Hosp Tachikawa (Registrar),APO San Francisco 96323 Kanto Plains,Hakata, all of Korea (basic program) USAF Hosp Misawa (Registrar),APO San Francisco 96519,Misawa and Chitose (basic program) USAF clinic Kadena (Registrar),APO 96239,all of Okinawa (basic program) the remainder of Air Force claims in Pacific Command area alone.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

physicians, hospitals, dentists, clinics, pharmacy, commercial medical supply houses, other providers of medical associated care.

Systems exempted from certain provisions of the act:

NONE

F16803 ASGHB R

System name:

Patient Index and Locator System

System location:

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Patients currently hospitalized or for whom the facility maintains a clinical record or an outpatient record.

Categories of records in the system:

Cards, 3x5 which contain patient identification data used as a nominal index to all patients admitted to the facility or whose outpatient record is maintained by the facility.

Authority for maintenance of the system:

Title 10, U.S. Code Sections 133 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Master index of all patients who have been hospitalized in the medical facility. Also used as a patient locator system during hospitalization by various hospital and base personnel such as the information desk, chaplains, patient control file. Master alphabetical index to all outpatient records. Retired to the Records Centers with records to which they pertain.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Records are controlled by personnel screening.

Retention and disposal:

Master index retained permanently or until facility deactivated at which time it is destroyed by burning or shredding. Locator cards are destroyed by burning or shredding when purpose has been served. Cards retired to Records Centers are retained for twenty-five years after date of last document for civilian records and for fifty years after date of last document for military records at which time destroyed by burning or shredding.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Commanders of hospitals, medical centers and clinics; Directors of National Personnel Records Centers, military or civilian.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Patient or legal representative.

Systems exempted from certain provisions of the act:

NONE

F16803 SGH A

System name:

OASIS (Outpatient Appointment Scheduling Information System)

System location:

National Naval Medical Center, Bethesda; USAF Medical Center Wright-Patterson AFB, Ohio

Categories of individuals covered by the system:

Patients treated at Department of Defense Medical facilities. Data associated with medical facility personnel.

Categories of records in the system:

Patient identifiers, demographic data, appointment data

Authority for maintenance of the system:

Title 10 USC Sections 133 and 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides source data pertaining to appointments for patients at Department of Defense medical facilities. Provides statistical data for operation of medical facility and scheduling system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Records are controlled by personnel screening.

Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

The Surgeon General, Headquarters United States Navy; medical facility commanders Official mailing addresses are in DOD Directory in the Appendix to Air Force Systems notice.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F16803 SGHB B

System name:

Admission and Disposition System

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At consolidated base personnel offices only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At accounting and finance offices at Air Force bases. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All patients admitted for treatment as inpatients and all military patients not hospitalized but treated on an excused-from-duty status.

Categories of records in the system:

List compiled each day of patients admitted, discharged, died, incurring change in status, etc at the hospital on the previous day.

Authority for maintenance of the system:

Title 10, U.S. Code Sections 133 and 8012 and 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Internal administration of the medical facility; by unit commanders and Consolidated Base Personnel Office for personnel reporting; as a reference in checking any discrepancies that may develop in preparing statistical reports; daily statement of patient strength for the medical facility food service officer; checklist of patients who receive hospital treatment for which the Air Force is entitled to reimbursement; local servicing Accounting and Finance Officer - Military Pay for pay purposes; flight surgeons to provide verification of admission and disposition of flying personnel, Base Staff Judge Advocate and other interested personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by other identification number or system identifier.
Register Number

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are accessed by commanders of medical centers and hospitals.

Records are controlled by personnel screening.

Retention and disposal:

Destroyed by burning or shredding after 1 year

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Commanders of hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the Appendix to the Air Force Systems notice.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Patient Index and Locator System.

Systems exempted from certain provisions of the act:

NONE

F16803RSGHXO B

System name:

Air Force Blood Program

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Retired Air Force military personnel.
Dependents of military personnel.
Government employees.

Categories of records in the system:

Emergency blood donotr list, donor record cards, and a roster/list by blood type and Rh factor.

Authority for maintenance of the system:

21 United States Code 600.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Air Force medical centers, hospitals and clinics-to control, coordinate and process request for blood donors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.
Rosters/lists are filed chronologically.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by commanders of medical centers and hospitals.

Records are stored in security file containers/cabinets.

Access by commanders of clinics.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Donor record cards are retained in office files for seven years.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Documents prepared by the Air Force.

Systems exempted from certain provisions of the act:

NONE

F16804 SGHB A

System name:

Clinical Records and Related Documents

System location:

At National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118.

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Any individual who is hospitalized in or dead on arrival at an Air Force medical facility. Also any active duty member who is an excused-from-duty status, in quarters, meets a Physical Evaluation Board on an outpatient basis or who is hospitalized in a non-federal hospital and for whom the Air Force facility has assumed responsibility for documenting the hospitalization.

Categories of records in the system:

Clinical Record Cover Sheet, summary of hospitalization and all supporting documentation which substantiates the diagnosis, treatment, and end result of the hospitalization such as history and physical examination, laboratory reports, operative reports. To provide ready accessibility to the records, a register of patients in date sequence and an alphabetical name file are maintained in support of the system.

Authority for maintenance of the system:

Title 10, United States Code, Sections 133 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide a complete account of care rendered a patient while under the jurisdiction of a US Air Force Hospital, including diagnosis, treatment and end result. Patient or his legal representative-for further medical care; legal purposes, other authorized uses such as insurance requests or compensation claims. Physicians-for further medical care of the patient; research; teaching purposes; professional certification; legal purposes. Other patient care providers within the hospital-for further medical care of the patient; research, teaching purposes, professional certification, legal purposes. Hospital and Medical staff-evaluation medical staff performance in the medical care rendered; medical research; teaching; hospital accreditation; prepare statistical reports; report communicable diseases or other conditions required by law to federal and state agencies; legal purposes. Army, Navy, Veterans Administration, Publich Health Service, other hospitals-if individual is currently undergoing treatment. Judicial-Attorneys and courts for litigation purposes. Record is released only upon receipt of the patient's signed authorization or a court order. Insurance Companies-requires the patient's written consent for release - used for establishing insurance benefits or payment of benefits. Other Air Force Agencies-such as Central Tumor Registry which maintains files on all patients in whom a malignancy has been diagnosed; Office of Special Investigations when required for an authorized investigation they are conducting; Judge Advocate General-litigation purposes. Other Federal and State Agencies - such as the Bureau of Vital Statistics Records of Births and Deaths; Veterans Administration and Department of Labor (workmen's compensation) for adjudication of claims; reporting communicable diseases or other conditions required by law. Other persons or agencies as specifically authorized by the patient.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.
Register Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in locked cabinets or rooms.
Records are controlled by personnel screening.

Retention and disposal:

Retained for 2 years after date of last treatment at smaller hospitals; retained for 5 years after date of last treatment at large hospitals and medical centers. Records are retired to National Personnel Records Centers (NPRC) (military or civilian as appropriate) or other designated depository such as Commandant, US Coast Guard for Coast Guard personnel. NPRC (military) maintains records for 50 years after date of last treatment. NPRC (civilian) maintains records for 25 years after date of last treatment. After these periods, records are destroyed by burning or shredding.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.
Commanders of USAF medical centers and hospitals; Director, National Personnel Records Center, military; Director, National Personnel Records Center, civilian; Commandant, US Coast Guard, Washington DC 20026; Medical Director, American Red Cross, Washington DC 20006; Administrator, Veterans' Hospitals.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Physicians and other patient care providers such as nurses, physician's assistant, dietitians, etc. Administrative forms filed in the records will be completed by the appropriate officials, military or civilian.

Systems exempted from certain provisions of the act:

NONE

F16805 ASGHB R

System name:

16805 ASGHB R Health and Outpatient Records

System location:

Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 3800 York Street, Denver, CO 80205. United States Air Force Academy, USAF Academy CO 80840. National Personnel Records Center, Civilian Personnel Records, 111 Winnebago Street, St. Louis, MO 63118. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. Air Force hospitals, medical centers and clinics. consolidated flight record custodians at Air Force installations. Air National Guard activities. Air Force Reserve units. in the appendix to the Air Force's systems notice. Other authorized medical units servicing military personnel and/or their dependents, such as National Aeronautics and Space Administration, Embassies, Federal Aviation Agency, Public Health Service, Veterans Administration.

Categories of individuals covered by the system:

All personnel authorized to receive medical care in an Air Force facility.

Categories of records in the system:

Chronological record of all care received in military medical facilities. This is primarily a record of all treatment received on an outpatient basis with supporting documentation such as laboratory and x-ray reports; the record also includes copies of cover sheets and summaries of each period of hospitalization the patient has had. Certain administrative forms which concern medical conditions, such as Line of Duty Determinations, Physical Profiles, Medical Recommendation for Flying Duty are also included. To proivde ready accessibility to the records, an alphabetical name file is maintained.

Authority for maintenance of the system:

Title 10, United States Code Sections 133 and 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as chronological record of patient's health while authorized care in a military medical facility. By patient or legal representative for further medical care, legal purposes, other uses such as insurance requests or compensation claims as specifically authorized by the patient. Physician for further medical care of patient, research, teaching, legal purposes. Other Patient Care Providers within the hospital for furhter medical care of the patient, research, teaching, legal purposes. Hospital and Medical Staff for evaluation of medical staff performance in the medical care rendered; medical research; teaching; hospital accreditation; preparation of statistical reports; reporting communicable diseases and other conditions required by law to federal and state agencies; legal purposes. Army-Navy-Veterans Administration-Public Health Service-any other hospital, clinic etc for further medical care of the patient if he is currently undergoing treatment there. Judicial - by attorneys and courts for litigation purposes (record is released only upon receipt of the patients' signed authorization or a court order). Insurance Companies - requires the patients' written consent for release. Used for establishing insurance benefits or payment of benefits. Other Air Force Agencies - such as Central Tumor Registry which maintains files on all patients in whom a malignancy has been diagnosed; Office of Special Investigations when required for an investigation they are conducting; Judge Advocate General for litigation purposes. Other Federal and State Agencies - such as Veterans Administration and Department of Labor (Workmens Compensation) for adjudication of claims; reporting communicable disease or other conditions required by law. Other persons or agencies as specifically authorized by the patient.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in card files and in machine - readable form.

Retrievability:

Filed by Name. Filed by Social Security Number (SSN) and by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are accessed by commanders of medical centers and hospitals. Records are stored in locked cabinets or rooms. Records are controlled by personnel screening.

Retention and disposal:

Records for military personnel are retained for fifty years after date of last document; for all others, twenty-five years. While on active duty, the Health Record of a US military member is maintained at the medical unit at which the person receives treatment. On separation, or retirement, records are forwarded to National Personnel Records Center/Military Personnel Records (NPRC/MPR) or other designated depository, such as Air Reserve Personnel Center if reservist; to appropriate state National Guard unit, if National Guard member; to appropriate Veterans Administration Regional Office if VA Claim has been filed. Records of other personnel may be hand-carried or mailed to the next military medical facility at which treatment will be received, or the records are retained at the treating facility for a minimum of 1 year after date of last treatment then retired to NPRC or other designated depository, such as, but not limited to, Commandant (PM) US Coast Guard, Washington DC 20226 for Coast Guard active duty members; Medical Director, American Red Cross, Washington DC 20006 for Red Cross Personnel. (Records at NPRC are destroyed by burning or shredding).

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force. Chief of Air Force Reserve, Headquarters United States Air Force. Director of Air National Guard, Headquarters United States Air Force. Commanders of medical centers hospitals clinics medical aid stations; Commander, Military Personnel Center; Director National Personnel Record Center (military) 9700 Page Blvd, St Louis, MO 63132; Director, National Personnel Record Center (civilian), 111 Winnebago St., St Louis, MO 63118. Individuals who have records responsibility at all other authorized medical units servicing military personnel and their dependents.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Physicians and other patient care providers such as nurses, dietitians, physicians assistants, etc. Administrative forms filed in the records will be completed by appropriate official, military or civilian.

Systems exempted from certain provisions of the act:

NONE

F16806 SGHB A

System name:

Inpatient Data System

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Individuals who died in or were dead on arrival at Air Force medical facilities. Air Force active duty personnel who died while on active duty but not at Air Firce medical facilities.

Categories of records in the system:

Duplicate copies of clinical record cover sheets. Rosters of Air Force active duty personnel who have died. Rosters of Air Force active duty personnel whose deaths have been reported in the Automated Inpatient Data System. Carbon copies or replies to letters requesting the disease causing the death of an Air Force active duty person but not reported through the automated system. Coding sheets for deaths not entered originally in the Air Force, the Army or the Navy automated systems.

Authority for maintenance of the system:

Title 10 United States Code Sections 133 and 8012. Executive Order 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Comparisons between death rosters to insure that all deaths of Air Force active duty personnel are entered into the automated system. Administrative and professional review of the recording of the cause of death and related data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.
Identification used by foreign military.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Duplicate copies of clinical record cover sheets are retained for the five years piror to the current year, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Complete Name (including maident name, if applicable). Social security account number of the individual through whom eligibility

for care is established, year in which treatment was provided, whether treatment was on an inpatient or outpatient basis. If a dependent, specify relationship to sponsor, e.g., wife, oldest child, second oldest child, etc.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Medical records.

Systems exempted from certain provisions of the act:

NONE

F16808 SGHC A

System name:

Medical Service Accounts

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.

Dependents of military personnel.

Retired military personnel, dependents of retired and deceased military personnel and civilian emergencies.

Categories of records in the system:

Hospital Invoice/Receipt/Accounts Receivable Records.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The patient or principal as an invoice showing charges for subsistence and medical service. The patient or principal as a receipt for payment on account. The Medical Service Account officer as a record of cash receipts and a basic instrument for posting to the cash and sales journal. The Medical Service Account officer as an account receivable record. The food service officer as a receipt for cash collected and turned in to the Medical Service Account officer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in filing cabinets at Clinics, Hospitals, and Medical Centers.

Retrievability:

Filed by Name.

Invoice receipt number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Air Force auditors.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Medical Service Account Officers at all Clinics, Hospitals, Medical Centers.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F16810 SGN A

System name:

Nursing Service Records

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Retired Air Force military personnel.
Air Force Academy cadets.
Dependents of military personnel.
Foreign Nationals residing in the United States.
American Red Cross personnel.
Peace Corps and State Department personnel.
Exchange Officers.
Anyone admitted to inpatient status in Air Force Medical Facilities.

Categories of records in the system:

File contains 24-hour nursing reports, listings of ward patients and registers containing information on operations performed.

Authority for maintenance of the system:

Title 10, US Code Sections 133 and 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by Chief Nurse and other management personnel to determine nursing care work loads and allocate resources.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained in note books/binders.

Retrievability:

Filed by Name.

Dates of Admission and Discharge from Medical Facility and Date of Operation

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Operation registers destroyed after five years.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Chief Nurses of Medical Centers and Hospitals

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From medical records and personal observations of Nursing Service Personnel

Systems exempted from certain provisions of the act:

NONE

F17101 SGHB A

System name:

Automated Inpatient Data System

System location:

At Headquarters United States Air Force and major command headquarters. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Any patient hospitalized in, or dead on arrival at, an Air Force medical treatment facility. Any active duty member who is hospitalized in a non-federal hospital and for whom the Air Force treatment facility assumes record responsibility, or in quarters. Any active duty member who has met a Physical Evaluation Board on an outpatient basis. Any member of the Air Force on active duty who was hospitalized at any Army or Navy medical treatment facility.

Categories of records in the system:

Coded abstracts of individual medical records and deaths. Data transcribed from magnetic tapes regarding Air Force personnel treated at Army or Navy medical facilities. Data transcribed form military personnel magnetic tapes regarding Air Force Specialty. Data transcribed from Flight Management magnetic tapes regarding Aviation Service Code.

Authority for maintenance of the system:

Title 10 U.S.C. Section 133 and Section 8012 Executive Order 9397

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Statistics regarding illnesses and length of care for patients in Air Force medical facilities. Statistics on Air Force active duty personnel wherever treated. Identification of cases to be reported to Armed Forces Central Medical Registry. Special abstracts of magnetic tapes for use by National Institutes of Health. Tables regarding length of hospitalization to detect differences affecting treatment standards. Transcription to tabulations or microfilm/microfiche for manual analysis of data. Copies of magnetic tape for residents/personnel located in a medical service area for use by Department of Defense and/or the Office of Management and Budget. Copies of magnetic tapes for military members of the Army and the Navy/Marine Corps to make available data on persons treated in Air Force medical facilities. Chronological record of medical care rendered a patient in Air Force medical facilities. Physician and other patient care providers to aid further medical care of the patient, research, teaching and for legal purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on roll microfilm.
Maintained on microfiche.

Data maintained primarily on magnetic tape or disks. Some specialized abstractions maintained on listings or microfilms/microfiche.

Retrievability:

Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Records are controlled by computer system software.

Retention and disposal:

Computer files retained at major air command for five years prior to current year then destroyed. Computer file retained at Headquarters USAF for 10 year prior to current year and then transferred to National Archives. Listings, microfilm and microfiche are retained 20 years prior to current year.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Command Surgeon for major air commands.

Notification procedure:

Complete name (including maiden name, if applicable). Social Security Account Number of individual through whom eligibility for care is established, year in which treatment was provided, whether treatment was on an inpatient or outpatient basis. If a dependent specify relationship to sponsor, e.g., wife, oldest child, second oldest child, etc.

Record access procedures:

Address requests to systems manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Medical records

Systems exempted from certain provisions of the act:

NONE

F17101 SGHB B

System name:

Medical Recommendation for Flying Duty

System location:

At Headquarters United States Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Rated flying officers who were removed from flying duty for medical reasons and were either returned to flying status of 'suspended from flying' and who have not been returned to flying.

Categories of records in the system:

Coded AF Forms 1042 for rated flying officers.

Authority for maintenance of the system:

Title 10, United States Code, Section 133 and Section 8012. Executive Order 9397. Title 37, United States Code, Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inform flight surgeon at major air command of illness rates for rated flyers assigned the command. Provide Air Training Command with number of losses from rated flying force due to specific illnesses. Provide a summary of all illnesses for a rated flyer which caused loss of flying time.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on microfiche.

Retrievability:

Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Records are controlled by computer system software.

Retention and disposal:

Computer magnetic tapes are retained 10 years and then destroyed. Computer tabulations (listings) are retained for 15 years prior to current year, then destroyed. Computer listings on microfiche are retained 20 years prior to current year and then destroyed.

System manager(s) and address:

The Surgeon General, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Complete name (including maiden name, if applicable), social security account number of individual through whom eligibility for care

is established, year in which treatment was provided, whether treatment was on an inpatient or outpatient basis. If a dependent, specify relationship to sponsor, e.g., wife, oldest child, second oldest child, etc.

Record access procedures:

Address requests to system's manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Information obtained from automated system interfaces.

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17101 0HZHTVA

System name:

Manhour Accounting System (MAS)

System location:

Aeronautical Systems Division(ASD) Wright-Patterson AFB OH.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Civilian and military personnel assigned to ASD and LABS.

Categories of records in the system:

Manpower information-hourly expenditure,grade/rank,symbol.

Authority for maintenance of the system:

Title 10, USC 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

used to provide manhour expenditure/resources for management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Maintained on disks or drums.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are controlled by computer system software.

Retention and disposal:

destroy after 2 years or when purpose has been served by means of tearing, shredding, pulping, maceration or burning.

System manager(s) and address:

mas monitor,support division,dir of program and budget,ASD Wright-Patterson AFB, Ohio.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

With civilian and military personnel record systems.

Systems exempted from certain provisions of the act:

NONE

F17101 0HZHTVD

System name:

Management Oriented Personnel System (MOP)

System location:

Aeronautical Systems Division(ASD) Wright-Patterson AFB OH.

Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

civilian and military personnel at AFSC activities.

Categories of records in the system:

personnel data-name-SSAN-service dates-awards-performance.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

used by management to make decisions on personnel/resources.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Includes computer fail/safe system.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief Management Information Office ASD/DPCO.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

and civilian and personnel records.

Systems exempted from certain provisions of the act:

NONE

F17101 0JNTMUA

System name:

Behavioral Automated Research System (BARS) (B-3500)

System location:

3320 Retraining Group/RGP, Lowry Air Force Base, CO 80230.

Categories of individuals covered by the system:

Air Force prisoners who serve sentences to confinement at 3320 Retraining Group and 3415 special training squadron students.

Categories of records in the system:

Intelligence quotient achievement scores, significant dates, psychological tests, military history, discipline involvement, military justice data, performance rating, type of discharge.

Authority for maintenance of the system:

44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Retraining Group staff and approved researchers for statistical analysis, improve program, screen potential offenders.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.

Filed by Social Security Account Number (SSAN).

Filed by Military Service Number.

Filed by other identification number or system identifier.

and desired data element.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained for 20 years and destroyed by tearing,macerating,pulping, shredding, burning or degaussing.

System manager(s) and address:

Commander, 3320 Retraining Group/RGP, Lowry AFB, CO 80230.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Name and SSAN, visit 3320 Retraining Group (RGP), proof of identity, date and place of birth, drivers license.

Record access procedures:

3320 Retraining Group (RGP); phone - 394-4167.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

FBI military records, supervisors, commanders, lawyers, doctors , chaplains, other USAF officials, American Red Cross.

Systems exempted from certain provisions of the act:

NONE

F17101 0OJUBJA

System name:

Planning and Resources Management Information System

System location:

HQ Air Force Data Systems Design Center (AFDSDC/SYI), Gunter Air Force Station, Alabama 36114.

Categories of individuals covered by the system:

Personnel assigned to the AFDSDC involved in direct productive work on automated data systems.

Categories of records in the system:

Records of specific tasks assigned, estimated and expended hours required for tasks, start and completion dates, records of projected availability for work.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by supervisors and project managers to allocate and manage resources against job requirements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Maintained on disks or drums.

Maintained on computer paper printouts.

Retrievability:

Filed by Social Security Account Number (SSAN).

Office symbol, codes of assigned tasks.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in security file containers/cabinets.

Retention and disposal:

Magnetic tape of historical data retained indefinitely. Computer lists kept by users until replaced by more current lists, daily and monthly, then destroyed by means of tearing, shredding, pulping, macerating, burning or by erasing tapes or drums.

System manager(s) and address:

Chief, Project Management Division,

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Accessed by social security account number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual and supervisor.

Systems exempted from certain provisions of the act:

NONE

F17101 0UMCBVA

System name:

Military Personnel Management System

System location:

Director of Personnel, United States Air Force Security Service (USAFSS), San Antonio TX 78243.

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Categories of records in the system:

APDS.

Authority for maintenance of the system:

10 United States Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to provide management assignment data on career development, assignments, training, contingency, USAFSS language student training and historical data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Records are controlled by computer system software.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Personnel.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F1710100HAJXFA

System name:

Personnel Data Used For Management Engineering (ME) Program Manning Purposes

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Air Force active duty enlisted personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Personnel authorized and assigned.

Categories of records in the system:

automatic data processing system data plus home address/phone/spouse name/type work performed.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

personnel assignment data used in manning the ME program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by date of birth.

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Headquarters Air Force Systems Command/DOM Andrews Air Force Base MD 20034.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17501 06SCEYA

System name:

Air Force Audit Agency Management Information System - Report File

System location:

Managed at HQ Air Force Audit Agency, AFAA/CC, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

Resident auditors issuing audit reports Auditors-in-charge of performing audits

Categories of records in the system:

Reports of audit

Authority for maintenance of the system:

Title 10, US Code 8014a

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Provide quality control check for optical character recognition data entry 2. Evaluate audit coverage by an auditor 3. Develop expertise listing by auditor 4. All other accesses of the File are for statistical data and records not pertaining to individuals. The purposes of this file are to provide a research capability on past audit findings reported in audit reports and to provide a history of audit coverage to support organizational planning and management. The above listed retrievals constituted the only retrievals made using the individual's name as the key, all others are keyed on subject or report indicative data. All levels of AFAA management use this information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on microfiche.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to a staging area for four additional years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Retained in office files for two years after the individual completes or discontinues a training course, then retired to Washington National Records Center, Washington DC 20409, and, after 28 additional years, they are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
And the Director of Operations (AFAA/DO), Norton AFB CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Reports of Audit and annotated information. Report Notification data generated internally within the AFAA.

Systems exempted from certain provisions of the act:

NONE

F17501 06SCEYB

System name:

Internal Audit and Control Records

System location:

HQ Air Force Audit Agency, AFAA/CC, Norton Air Force Base, CA 92409

Categories of individuals covered by the system:

All Air Force Audit Agency personnel

Categories of records in the system:

Resource expenditure transactions

Authority for maintenance of the system:

Title 10, US Code 8014a

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

1. Provide resource expenditure data for an individual 2. Provide quality control checks over data input for an individual 3. All other accesses of the File are for statistical data and research not pertaining to individuals. The purpose of the system is to accumulate AFAA resource expenditure data and provide this information for AFAA managers. The above listed uses constitute the only retrievals made using the individual's name or social security account number as the key. All levels of AFAA management use the information on the file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained in card files.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to a staging area for four additional years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The Auditor General, Air Force Audit Agency (AFAA/CC), Norton AFB CA 92409

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
And the Director of Operations (AFAA/DO), Norton AFB CA 92409

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Resource expenditure data generated internally within the AFAA.

Systems exempted from certain provisions of the act:

NONE

F17602 0EACYVA

System name:

Nonappropriated Funds Standard Payroll System

System location:

Fiscal control offices at Air Force installations, the addresses of which are provided in the Department of Defense Directory in the appendix to the Air Force System Notice.

Categories of individuals covered by the system:

Air Force nonappropriated fund employees.

Categories of records in the system:

Time and attendance cards; personal payroll data listings and or cards; correspondence; combined payroll checks and employee leave and earnings statements; federal, state, and city tax reports and or tapes; individual pay and leave records; personnel action forms covering pay changes and deductions.

Authority for maintenance of the system:

5 U.S.C. 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used to compute employees': pay entitlements and deductions and issue payroll checks for amounts due; to withhold amounts due for federal, state, and city taxes, to remit withholdings to the taxing authorities, and to report earnings and tax collections; and upon request of employees, to deduct specified amounts from earnings for charity, union dues, and for allotments to financial organizations. Users and uses include but are not limited to the following nonappropriated fund employees. Uses include receipt of pay and pay data covering hours worked, entitlements and deductions for taxes, insurance, retirement, union dues, and charity contributions. Records are also available to respond to specific inquiries by employees regarding their pay history. Internal Revenue Service, state and city taxing authorities, which use the records to establish the amount of earnings and tax liability of individual employees and to record remittances of payroll withholdings against tax liabilities. State employment agencies use the information to determine eligibility for unemployment compensation. Civil Service Commission which uses the records for personnel management functions. Director, Non Appropriated Fund Personnel, Military Personnel Center, Randolph AFB, Texas, who uses the records to monitor and manage employee group life and health insurance and retirement programs. Financial organizations, employee unions, and community fund charitable organizations which use the records to credit remittances to accounts of members or contributions from deduction records provided each organization. Disclosures made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.
Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.
Records are controlled by computer system software.

Retention and disposal:

Retained in office files for two years after annual cut-off, then destoyed by tearing into pieces, shredding, pulping, macerating, or burning.
Exception: records pertaining to tax data are retained for four years rather than two.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force.
Director, Accounting and Finance, United States Air Force (USAF); and Assistant Comptroller for Non Appropriated Funds at Air Force installations.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/RMAD Denver, Colorado 80279 telephone 303/825-1161 ext. 6341. Information pertaining to geographically dispersed elements of the record system may be obtained from documentation managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force Systems Notice. The local Fiscal Control Officer (FCO) maintains the record system at installation level. Requester should be able to provide sufficient proof of identity such as name, social security account number, place of employment or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/RMAD Denver, Colorado 80279 telephone 303/825-1161 ext. 6341. Information pertaining to geographically dispersed elements of the record system may be obtained from documentation managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force Systems Notice. The local FCO maintains the record system at installation level. Requester should be able to provide sufficient proof of identity such as name, social security account number, place of employment or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from source documents originating from Civilian Personnel Offices at Air Force installations.

Systems exempted from certain provisions of the act:

NONE

F17603 AA A

System name:

Accounts Receivable

System location:

At Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

All Air Force employees authorized to use Air Force mess number one

Categories of records in the system:

Records all charges or purchases by members of Air Force mess number one

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of file is for billing members authorized use of the Mess

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Access controlled by Manager and restricted to authorized personnel

Retention and disposal:

Records are retained until Official Audit and then destroyed through shredding, macerating, burning, pulping, tearing into pieces.

System manager(s) and address:

Administrative Assistant to the Secretary of the Air Force

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Internally generated

Systems exempted from certain provisions of the act:

NONE

F17603 HC

System name:

Chaplain Fund Service Contract File

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Contracting officers and representatives.

Categories of records in the system:

Contract Between Local Chaplain Fund and an Individual for Provision of Specified Services Not Available through other Funds

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Record of Terms of Contracts

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information Obtained from Contractor

Systems exempted from certain provisions of the act:

NONE

F17603 OYUEBLA

System name:

17603 OYUEBLA Individual Earning Data

System location:

Headquarters of the major commands and separate operating agencies. individuals concerned and at Internal Revenue Service (IRS).

Categories of individuals covered by the system:

Off duty Active duty military personnel. employed by Isolated Site Lounge Sundry Fund (ISLSF).

Categories of records in the system:

Individual pay records and identifies individual by name and social security account number (SSAN).

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To report to the IRS individual earnings so that federal income tax may be collected on all payments made to individuals employed in the operation of an ISLSF.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in card files.

Retrievability:

Filed by Name. Filed by Social Security Number (SSAN). conventional.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

retained in air force Communications Service Comptroller files for four years after wages are paid, then destroyed by tearing into pieces. Retained by individual for reporting income to IRS.

System manager(s) and address:

Director of Personnel Services, Deputy Chief of Staff/Personnel Headquarters AFCS, Scott AFB IL 62225. Comptroller of the Air Force, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17607 DPM A

System name:

17607 DPM A Morale, Welfare, and Recreation (MWR) Participation/Membership/Training Records

System location:

At Air Force Military Personnel Center, Randolph AFB TX 78148; at major command headquarters; at all levels down to and including Air Force installations.

Categories of individuals covered by the system:

Active duty and retired military members and their dependents; members of Reserve components while on inactive duty for training and DOD civilians and their dependents; certain other categories for individuals identified by authorized personnel who directly support Air Force mission requirements. Following additional categories apply for specific activities activities as indicated: Air Force Aero Clubs: Air Force, Army, or Naval Academy Cadets; military members of foreign governments on duty with the DOD; members elected to the US Congress or a statutory appointee of the Federal Government; Federal Government employees working on military installations and conducting various recreation programs. Utilized by personnel responsible for conducting Air Force MWR activities. May be provided to commercial or non-profit concerns conducting activities in support of, similar to, or in furtherance of, the Air Force programs involved. May be provided to any Department of Defense component or any part thereof and, upon request, to any other Federal, state, and local governmental agencies in the pursuit of their official duties. May also be used for other lawful purposes including law enforcement and/or litigation.

Categories of records in the system:

Volunteer, membership, attendance, training, and participation/competition records and supporting data relative to Air Force MWR activities.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by; 44 USC 3101, Records management by agency heads: general duties; and Executive Order 9397, 23 November 1943, Number System for Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine membership/participation eligibility; maintain patron attendance; conduct contests; monitor training and currency of members; and serve as data base for designing and currency of members; and serve as data base for designing and conducting various recreation programs. Utilized by personnel responsible for conducting Air Force MWR activities. May be provided to commercial or non-profit concerns conducting activities in support of, similar to, or in furtherance of, the Air Force programs involved. May be provided to any Department of Defense conponent or any part thereof and, upon request, to any other Federal, state, and local governmental agencies in the pursuit of their official duties. May also be used for other lawful purposes including law enforcement and/or litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file cabinets.

Retrievability:

Filed by name and/or Social Security Number (SSN).

Safeguards:

Records are maintained in secured buildings. Access is controlled by authorized personnel and limited to those requiring access in the performance of their duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning, or surrender to member upon termination, as applicable.

System manager(s) and address:

Assistant Duputy Chief of Staff Personnel for Military Personnel (DPMSO), Randolph AFB TX 78148.

Notification procedure:

Request from individual should be addressed to the Chief, Morale, Welfare, and Recreation Division at the appropriate Air Force installation or the System Manager indicating the individual's full name and SSN.

Record access procedures:

Individuals may contact the Chief, Morale, Welfare, and Recreation Division at the appropriate Air Force installation or the System Manager to exercise their rights under the Act. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notices.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual applications for membership/participation in MWR activities and offices of primary responsibility for MWR activities.

Systems exempted from certain provisions of the act:

NONE

F17607 DPMS

System name:

17607 DPMS Nonappropriated Fund Instrumentalities (NAFIs) Financial System.

System location:

At any of the following: Air Force Military Personnel Center, Randolph AFB TX 78148, MAJCOM headquarters and SOAs, and Air Force NAFIs when deemed appropriate and necessary and approved by the appropriate commander. System exists within approximately 1,300 NAFIs which include resale and revenue-sharing NAFIs, general welfare and recreational NAFIs, membership association NAFIs, and special NAFIs. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All personnel, who are members of membership associations or authorized patrons of any of the above NAFIs, and with whom financial transactions are conducted including the extension of credit in accordance with Air Force regulations or those whose personal checks are returned to the NAFI by the banking system and are dishonored for such reasons as insufficient funds, closed accounts, invalid signatures, bank errors, etc. In accordance with appropriate Air Force regulations concerning NAFI participation, the above personnel may include, but are not limited to, active duty and retired military members and their dependents, members of US reserve components and Federally recognized National Guard units, Air Force, Army, or Naval Academy cadets; military members of foreign governments on duty with the DOD; DOD civilians and their dependents, other Federal Government employees working on the military installations and their dependents, employees of Federal Government agencies working at the installation, contractor employees, technical representatives, and others who are authorized logistic support and work at the installation and where membership or usage would be in the best interest of the installation, retired Federal Government service civilian personnel (civil, foreign service, etc.) who were members/participants of a NAFI at time of retirement, commissioned members of the American Red Cross, US Public Health Service, and the US Environmental Sciences Administration, unremarried spouses and children of deceased active duty or retired members of the US Armed Forces, and certain other categories of individuals identified by authorized personnel who directly support Air Force mission requirements. Also, all personnel employed by or assigned to the NAFI in any manner who are involved in any financial transaction involving the NAFI whether internal or external, including but not limited to, the receipt or control of cash or other property.

Categories of records in the system:

Records necessitated by or resulting from financial transactions with authorized members, patrons, vendors, or those otherwise entitled to utilize or deal with a NAFI service. Such records include, but are not limited to, subsidiary account ledgers maintained on individual members/authorized patrons who are charged dues and/or extended credit including the use of billeting type facilities prior to payment, form(s) on which a record of delinquent accounts or dishonored checks and their disposition are maintained; and records of package liquor or other sales or services. Records necessitated for or by internal/external financial record keeping or asset control, including but not limited to the receipt and control of cash, custody for tangible property, and any actions taken as a result of any irregularity.

Authority for maintenance of the system:

10 United States Code 8012, Secretary of the Air Force: powers and duties; delegation by. 5 United States Code 301, Departmental regulations. Executive Order 9397, 22 November 1943, Number System for Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record charges and credits of members and others authorized credit. To prepare billing statements or furnish data to an outside party to prepare billing statements. To maintain a record of dishonored checks. To assist in collecting all amounts due in accordance with established Air Force procedures. To compile a statistical quarterly report on dishonored checks and statistical data on delinquent accounts receivable for use with the financial reports. To verify eligibility to engage in financial transactions with NAFIs, including package liquor and other sales and extension of credit. To form a data base within the financial system of the NAFIs. Uitfized by personnel responsible for conducting Air Force morale, welfare, and recreation (MWR) financial transactions. May be provided to commercial or nonprofit concerns conducting activities in support of, similar to, or in furtherance of, the Air Force programs involved. May be provided to any DOD component or any part thereof and, upon request, to any other federal, state, and local governmental agencies in the pursuit of their official duties. May also be used for other lawful purposes including law enforecment and/or litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visable file binders/cabinets. Also, may be maintained on computer records.

Retrievability:

Filed by name and/or social security account number (SSAN); form title or computer product control number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Personnel are properly screened and cleared for need-to-know. Records are stored in secured buildings or locked cabinets or rooms.

Retention and disposal:

Subsidiary accounts receivable are retained throughout the life cycle of credit sales and for as long as an individual remains in an active member/authorized patron status. Those forms used in connection with delinquent accounts or dishonored checks are retained until no longer needed. Record disposal for these and all other maintained records is in accordance with AFM 12-50.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph AFB TX 78148.

Notification procedure:

Individuals may contact the appropriate nonappropriated fund financial management branch (NAFFMB) or the appropriate operating branch/section manager in order to exercise their rights under tha Act. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Forces systems notice.

Record access procedures:

Same as procedures for notification.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual members/patrons/users of a service themselves, charge slips, payment receipts, checks, and other authorized financial forms and records.

Systems exempted from certain provisions of the act:

NONE

F17701 NGBJA A

System name:

Confidential Statement of Employment and Financial Interest

System location:

NGB JA

Categories of individuals covered by the system:

All active duty military personnel.
Air National Guard personnel.

Categories of records in the system:

Statements of Financial Interest

Authority for maintenance of the system:

Executive Order 11222, 8 May 65

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use to include but not limited to retaining all information pertaining to an individual including employment forms, employment and financial documents from individual, other government agencies and/or private concerns. To Keep a record of any employment or financial action of official interest or concerning promotion consideration, assignment policies, selection, location and to report on or take appropriate action on individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Air National Guard, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from the individual

Systems exempted from certain provisions of the act:

NONE

F17701 OBXQPCA

System name:

17701 OBXQPCA Cadet Accounting and Finance, System Code RZ, Data System Designator E516

System location:

United States Air Force Academy, USAF Academy CO 80840. Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279.

Categories of individuals covered by the system:

Air Force Academy cadets.

Categories of records in the system:

Individual computerized files containing pay data for all USAF Academy Cadets including Establishment/Change in Personal Checking Account, Monthly Report of Contingency Fund Status, Contingency Fund Loan Request, Cadet Pay Order, Document Control Log, Recapitulation of Cadet Pay Account, Cadet Pay Authorization, Cadet Pay Monthly Statement, Cadet Pay Record, Payment/Collection Vouchers, Separation Control Log, Electronic Data Processing Sheets, Microfilm Files, Cadet Pay Disk File, Quarterly FICA Report, Transmittal Letter.

Authority for maintenance of the system:

10USC, 9331,9334,9342,9350; 37USC, 201

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose for which the information in the system is collected is to accumulate cadet pay entitlements (basic pay and subsistence), deductions (federal tax, social security, insurance premiums) in order to properly monitor the payments disbursed to the Air Force Cadet Wing (TAFCW). The only category of user is the Accounting and Finance Office, Cadet Pay Section and Paying and Collection Section. The specific uses of the information include determining the correct monthly net pay to be disbursed to each cadet, preparing TD Forms W2 for the Internal Revenue Service, reporting deductions for the Federal Insurance Contribution Act to the Social Security Administration, charging the cadets for clothing issues and miscellaneous charges from authorized USAF Academy sources, and the reporting of all expenditures to the Air Force Accounting and Finance Center.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in visible file binders/cabinets, in card files, on computer magnetic tapes, on disks or drums, on computer paper printouts, on roll microfilm.

Retrievability:

Filed by Military Service Number or other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

The original copy of Cadet Pay Record, Cadet Pay Order, Substantiating Pay Documents and Transmittal Letter are forwarded to AFAFC, Lowry AFB, Denver, CO 80279. A microfilm copy of the Cadet Pay Record is maintained by USAF Academy Finance, Cadet Pay Section, USAF Academy, CO 80840, and is destroyed 4 years after graduation by cutting into pieces. Copies of Cadet Pay Orders, substantiating pay documents and posting media records are retained 1 year after annual cutoff in current files area and forwarded to the USAF Academy Staging Area for 2 additional years. Document Control Records are destroyed 90 days after close of FY to which they pertain. W-2 listings, quarterly FICA reports and CPITF interest distribution records are retained by Cadet Pay Section 6 years after CY to which they pertain. Audit registers are destroyed after 9 months. Financial statements, schedules and supporting data is destroyed after 4 years. Pay inquiries are destroyed after 2 years. All destruction is accomplished by tearing into pieces.

System manager(s) and address:

Superintendent, United States Air Force Academy, Colorado, 80840.

Notification procedure:

Director of Accounting and Finance, United States Air Force Academy, Colorado, 80840.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17705 0EACYVA

System name:

17705 0EACYVA Accounting and Finance Officer Accounts and Substantiating Documents

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. Denver Federal Archives and Records Center Bldg 48 Denver Federal Center, Denver, Colorado 80225

Categories of individuals covered by the system:

Civilian personnel employed at or paid by AF Installations, Air Force active duty military personnel, Air Force Reserve and Air National Guard personnel, Retired Air Force military personnel, and their allotees.

Categories of records in the system:

individual military pay records; substantiating documents, such as, certificates for deductions and retained military pay orders; records of travel payments; financial record data folders; miscellaneous military vouchers and statements; copies of morning or strength reports and personal financial records.

Authority for maintenance of the system:

31 USC 67(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to serve as a repository from which information may be retrieved. The categories of users and uses are federal agencies including, but not limited to, the Federal Bureau of Investigation; Office of Special Investigtion, United States Air Force; Internal Revenue Service; and U. S. Attorneys for investigative purposes; And the General Accounting Office and Comptroller General for audit purposes. Also used by state, local and city governments to substantiate pay, eligibility for welfare and unemployment; the civil service commission for personnel management functions; the general public for garnishment of pay, employment purposes and by by other Air Force and Department of Defense components and Air Force members to substantiate claims, legality of payments, and service. Disclosures made pursuant to the freedom of information act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, on computer paper printouts, on roll microfilm, and on microfiche.

Retrievability:

Filed by Name, Social Security Number (SSN) or Military Service Number, accounting and disbursing station number and period of data requested.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, protected by guards and controlled by personnel screening.

Retention and disposal:

records are stored at Air Force Accounting and Finance Center, updated and accessible for 18 months after receipt from Air Force Accounting and Finance Officers world-wide; then retired to the Denver Federal Archives and Records Center where they are retained for a period of 4 years, 9 months. Destruction is accomplished by sale to a salvage company for shredding.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force (USAF).

Notification procedure:

information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, social security number, duty station, place of employment or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, social security number, duty station, place of employment or other information verifiable from the record itself.

Contesting record procedures:

V 44 DE 17 79 UMI

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Air Force Accounting and Finance Officers.

Systems exempted from certain provisions of the act:

NONE

F17707 0EACYVA

System name:

17707 0EACYVA Loss of Funds Case Files

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279.

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel. Air Force active duty officer and enlisted personnel. Air Force civilian employees. Former Air Force civilian employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel.

Categories of records in the system:

information source documents, reports of investigating officer(s) pertinent to losses in Air Force accounting and finance Officers: (AFOS) accountability, loss of funds settlement vouchers, material to determine cause of the loss, identification of personnel concerned in the loss, determinations of pecuniary liability, opinions from Judge Advocate General offices, opinions from the Comptroller General and from the General Accounting Office, and final determinations by the Secretary of the Air Force.

Authority for maintenance of the system:

31 USC 95a. 492b; 40 USC 721-729.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Loss of funds case files record the chronological history of losses or deficiencies in AFOS money accounts. Data contained in these files are used to prepare reports and statistics, and to develop facts necessary for administrative adjudications of pecuniary responsibility. Users of the records system include, but are not limited to, attorneys, surety companies, and individuals for internal Air Force processing and outside litigation by those named in the case. Disclosures are made to the Department of Justice (for criminal prosecution, civil litigation, and investigation); to members of the general public when required by the freedom of information act, to the Comptroller General and the General Accounting Office for audit purposes and for opinions, to the Federal Bureau of Investigation and the Office of Special Investigations, United States Air Force (for investigation of possible criminal violations), and to various Air Force pay systems for implementation of administrative adjudications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets and Records are stored in safes, protected by guards, and controlled by personnel screening and visitor registers.

Retention and disposal:

whenever relief from pecuniary responsibility for a loss is recommended and granted, records are retained at AFAFC for four years and then destroyed by tearing into pieces, shredding ,pulping or macerating. Whenever one or more persons are held liable for a loss, and the loss is completely recovered, records are retained in AFAFC files for six years and then destroyed by tearing into pieces, shredding, pulping, or macerating.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance United States Air Force (USAF).

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 3207353. The requester should be able to provide sufficient proof of identity, such as name, social security number, military or civilian status, duty station or place of employment, or other information verifiable in the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, military or civilian status, duty station or place of employment, or other information verifiable in the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions, police and investigating officers, witnesses and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17708 0EACYVA

System name:

17708 0EACYVA Claims case file - corrected military pay and allowances.

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. and at the Denver Federal Archives and Records Center Denver Federal Center, building 48, Denver CO 80225

Categories of individuals covered by the system:

Air Force active duty officer personnel and enlisted personnel, and former active duty military personnel; Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Air Force Academy cadets. Surviving dependents of military personnel.

Categories of records in the system:

Includes but not limited to the following retired pay information; reserve pay information; statement of service; travel orders; travel vouchers; leave records; individual military pay records; discharge document; civilian earning statements; civilian earnings, wage and tax statement; income tax returns when provided by individuals to support a claim; copies of court martials; copies of non-judicial punishment, application for correction of military or naval records; requests, authorizations and pay orders for basic allowance for subsistence (BAS), separate rations; record of travel payments; military pay and allowances voucher; bills of lading; supplemental wage and tax statement; dependents: address and name; social security number of deceased retired Air Force members; pay adjustment authorization; medical bills and receipts; correspondence pertaining to above subject matters.

Authority for maintenance of the system:

10 USC 1552

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the record system is to determine the proper payment due based on the correction of military records. Users include, but are not limited to the following when claimant has his records changed to receive back pay for a period he was drawing unemployment, the amount of the payment is reported to the applicable state unemployment office. The various state unemployment offices may use the information to either institute collection process from the member or to adjust their records. Pay adjustment data and supporting documentation is submitted to the accounting and finance office for payment, and also to the Joint Uniform Military Pay System (JUMPS) for memorandum type entry on master military pay account. Disclosures made persuant to the Freedom of Information Act. Disclosures to Department of Justice for criminal prosecution, civil litigation, or investigation. Disclosures may also be made to the Internal Revenue Service and to the Social Security Administration for their determination of tax liabilities and social security entitlements flowing from corrections of military pay and allowances.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. protected by guards, and controlled by personnel screening and visitor registers.

Retention and disposal:

Folder is retained at Air Force Accounting and Finance Centet for 3 and 1/2 years, after which time it is sent to Denver Federal Archives and Record Center and destroyed 6 years from final closing date. Destruction is by shredding, mascerating, pulping, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. ; Director Accounting and Finance United States Air Force

Notification procedure:

information as to whether the records system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The Requester should be able to provide sufficient proof of identity, such as name, Social Security Number, driver,s license, military status, duty station or place of employment or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license, military status, duty station or place of employment or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, automated system interfaces, and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17708 0EACYVB

System name:

17708 0EACYVB Claims case file - missing in action data

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. and at the Federal Archives and Record Center Building 48 Denver Federal Center, Denver Co 80225.

Categories of individuals covered by the system:

Missing in action Air Force members; dependents of missing Air Force members; next of kin of missing Air Force members; and former wives of missing Air Force members.

Categories of records in the system:

Includes, but not limited to the following statements of dependent,s expenses; Air Force Office of Special Investigation reports (OSI); correspondence requests for dependency determination; travel vouchers; travel orders; marriage certificates; birth certificates; annulments; divorce decrees; adoption papers; allotment documents (starts, stops, and changes); military pay and allowance vouchers; promotion orders ; military pay orders; financial statements; reports of casualty; wage and tax statements; guardianship papers; statements of service; records of emergency data; assignments of assistance responsibility; leave and earnings statements; acknowledgments and/or transfers of casualty assistance; records of travel payments; per diem work sheets; pay adjustment authorizations; bills of lading; tax certificate statements; returned check records; public vouchers for purchases and services; notice of premium due from commercial insurance companies; car titles; Judge Advocate General opinions and interpretative memoranda; car insurance policy statements; requests for verification of deposits in Uniformed Services Savings Deposit program; public vouchers for refunds; military pay vouchers; letters of notification of pay increases and decreases; copies of missing members last will and testament; Uniformed Services Savings Deposit statements; change of mailing address forms; copies of personal checks; breakdown of expenditures for investment purposes; military pay records of missing member; medical history on dependents; and newspaper clippings.

Authority for maintenance of the system:

37 USC 551-558

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This record system is used for adjudication and distribution of missing members funds, and to make determinations of dependents eligibility and entitlement to pay allowances for parents, wives and children. Copies of parents: dependency affidavits and related correspondence may be furnished to the Air Force Office of Special Investigation (OSI) to verify statements made by the parents on application of claim for dependency. Data is also disclosed through correspondence with members dependents pertaining to distribution of monies. Copies of records may on occasion be furnished to other agencies, such as but not limited to Internal Revenue Service (IRS), Social Security Administration (SSA), and the Veterans Administration (VA), and to state and local agencies for their determination for any obligations, benefits and privileges under their respective jurisdictions. On occasion information is provided to the comptroller general and the General Accounting Office for decisions and audit purposes. Information is furnished to members of congress for replies to their constituents and for legislative purposes. Disclosures are made pursuant to the Freedom of Information act. Disclosures are made to the Department of Justice for criminal prosecution, civil litigation, or investigation. Vouchers are provided to the Automated Uniformed Services Savings Deposit Program (USSDP). Vouchers and supporting documentation are provided to local accounting and finance offices for payment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards, and controlled by personnel screening and visitor registers.

Retention and disposal:

Records are retained for the entire time member is in a missing or prisoner status. If member is returned to military control , files are returned to military pay jacket (active duty). If member is declared killed-in-action, file is processed as death case, retained at AFAFC for 3 1/2 years, then retired to Denver Federal Archives and Record Center, and destroyed 6 years after final closing date. Destruction is by shredding, mascerating, pulping, tearing, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force (USAF).

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license, military status, duty station or place of employment or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity such as name, social security number, drivers license, military status, duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial, educational and medical institutions; automated system interfaces; police and investigating officers; the public media; and the bureau of motor vehicles.

Systems exempted from certain provisions of the act:
NONE

F17706 0EACYVC

System name:
17708 0EACYVC Claims case file - death gratuity records

System location:
Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. and at the Denver Federal Archives and Record Center building 48, Denver Federal Center, Denver, CO 80225.

Categories of individuals covered by the system:
Deceased active duty and former active duty Air Force members; dependents of deceased air force members; beneficiaries of deceased Air Force members; next of kin of deceased Air Force members.

Categories of records in the system:
Includes but not limited to the following claim certification and vouchers for death gratuity payments; claim for unpaid compensation of deceased members of the uniformed services; reports of casualty; travel vouchers; travel orders; military pay and allowance vouchers; wage and tax statements; miscellaneous income statements; divorce decrees; guardianship papers; death certificates; birth certificates; military pay records; statements of service; military pay orders; employees: exemption for dependents certificates; authorizations to start , stop or change allotments; mailing address payment options for Joint Uniform Military Pay System (JUMPS); authorizations to start or stop basic allowance for quarters credit; document transmittals (JUMPS); military pay orders transfer in; requests and authorizations to pay basic allowance subsistence and separate rations; records of emergency data; records of accounting and finance office authorized payments, JUMPS; assignments of assistance responsibility; leave and earnings statements; acknowledgments and/or transfers of casualty assistance cases; records of travel payments; special orders; record of courts-martial; per diem work sheets; marriage licenses; proceedings of homicide trials; court records; promotion orders; personal letters from deceased member to claimant; applications for commercial insurance; pay and allotment information on deceased members; affidavits in support of in local parentis relationships; pay adjustment authorizations; bills of lading; affidavits by natural custodian for claim on behalf of minor children; tax certificate statements; paternity admissions statements; social security wage adjustment data; leave records; claims for unpaid pay and allowances of deceased member of the uniformed services where there is no designated beneficiary of the claimant; returned check records; allotment reports; proof of adoption; and public vouchers for purchases and services.

Authority for maintenance of the system:
10 USC 1475-1480; 10 USC 2771

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
The purposes of the record system are to compute death gratuity payments and payments of unpaid pay and allowances and to determine the proper beneficiaries thereof. Vouchers and supporting documents are forwarded to accounting and finance offices for payment, with authorizations for local Accounting and Finance Offices to pay death gratuities. Copies of records or requested information are furnished to other agencies, such as but not limited to Internal Revenue Service (IRS), Social Security Administration (SSA), and the Veterans Administration (VA), and to state and local agencies. Information is used by such entities to determine any obligations, benefits and privileges under their jurisdiction. Records are furnished to the General Accounting Office and the Comptroller General for determination purposes regarding proper beneficiaries and for audit. Information is furnished to members of Congress for replies to their constituents and for legislative purposes. Certified copies of past pay records are furnished to attorneys representing potential beneficiaries. Disclosures are made pursuant to the Freedom of Information Act. Disclosure to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Maintained in file folders.

Retrievability:
Filed by Name, Social Security Number (SSN) or Military Service Number

Safeguards:
Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards and controlled by personnel screening and visitor registers.

Retention and disposal:
Retained at Air Force Accounting and Finance Center for 3 1/2 years after closing date. Folder is then forwarded to Denver Federal Archives and Records Center and destroyed six years from final closing date. Destruction is by shredding, tearing, mascerating, pulping, or burning.

System manager(s) and address:
Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force (USAF).

Notification procedure:
Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 329-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license, military status, duty station or place of employment or other information verifiable from the record itself.

Record access procedures:
Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license, military status, duty station or place of employment or other information verifiable from the record itself.

Contesting record procedures:
The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:
Information obtained from educational and medical institutions, automated system interfaces, police and investigating officers, the public media, a state or local government, witnesses, and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:
NONE

F17708 0EACYVD

System name:
17708 0EACYVD Indebtedness and claims

System location:
Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. Denver Federal Archives and Record Center Bldg 48 Denver Federal Center, Denver, Colorado 80225.

Categories of individuals covered by the system:
Active duty military personnel. Air Force civilian employees. Former Air Force civilian employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Air Force Academy cadets. Dependents of military personnel. Exchange Officers. Foreign nationals.

Categories of records in the system:
Records of current and former military members and civilian employees pay accounts showing entitlements, deductions, payments made, and any indebtedness resulting from deductions and payments exceeding entitlements. These records include, but are not limited to, individual military pay records, substantiating documents such as military pay orders, pay adjustment authorizations, military master pay account print out from Joint Uniform Military Pay System (JUMPS), records of travel payments, financial record data folders, miscellaneous vouchers, personal financial records, credit reports, promissory notes, individual financial statements, and correspondence. Applications for waiver of erroneous payments or for remission of indebtedness with supporting documents, including but not limited to, statements of financial status (personal income and expenses), statements of commanders, statements of Accounting and Finance Officers, correspondence with members and employees. Claims of individuals requesting additional payments for services rendered with supporting documents including, but not limited to, time and attendance reports, leave and earnings statements, travel orders, travel vouchers, statements of non-availability of quarters and mess, paid receipts, and correspondence with members and employees. Delinquent accounts receivable from base Accounting and Finance Officers including, but not limited to, returned checks, medical services billings, collection records, and summaries of the Air Force Office of Special Investigation and Federal Bureau of Investigation reports. Reports from probate courts regarding estates of deceased debtors. Reports from bankruptcy courts regarding claims of the US against debtors.

Authority for maintenance of the system:
31 USC 951-953; 10 USC 2774; 10 USC 9837 (d); 5 USC 5584; 12 USC 1715m.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
The information is collected to determine eligibility for waiver of erroneous payments and remission of indebtedness or additional payments for services rendered. Also, information is required to attempt collection of all claims of the United States for money or property arising out of the activities of the United States Air Force. Claims of the United States may be compromised, terminated, or suspended when warranted by information collected. The records are used by, but not limited to, Air Force Accounting and Finance Center (AFAFC) Director of Accounting and Finance and Deputy Director of Accounting and Finance (HQ USAF/ACF), Assistant Secretary of the Air Force for Manpower and Reserve Personnel (SAF/MR), United States Air Force Comptroller (HQ USAF/AC), and the Comptroller General. AFAFC/CC uses the information to make final determinations or recommendations to SAF/MR, HQ USAF/AC, or the Comptroller General; to furnish legal advice to operating officials; to establish debts and respond to letters received from individuals. After action is completed, files are closed and filed in individual records. SAF/MR, HQ USAF/AC and the Comptroller General use the files for making final determinations. Disclosures made pursuant to the Freedom of Information Act. Disclosures to the Department of justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Maintained in file folders and in machine - readable form.

Retrievability:
Filed by Name.

Safeguards:
Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards and controlled by personnel screening and visitor registers.

Retention and disposal:
Retained in office files for one year after annual cut-off, transferred to the Denver Federal Archives and Record Center for nine additional years, and then sold to salvage paper companies to be destroyed by shredding, tearing, mascerating, pulping or burning.

System manager(s) and address:
Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force (USAF).

Notification procedure:
Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, Social Security Number, military status , duty station or place of employment, or other information verifiable from the record itself.

Record access procedures:
Requests from individuals should be addressed to AFAFC/DAD, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, Social Security Number, military status , duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:
The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:
Information obtained from financial and medical institutions; automated system interfaces; police and investigating officers; the public media; a state or local government; and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth; credit bureaus; Bureau of Employees Compensation, Veterans Administration; Social Security; Internal Revenue Service; Federal Housing Administration; health insurance companies; U.S. Army Finance and Accounting Center; Navy Finance Center; Base Accounting and Finance Officers, Major Commands; Comptroller General; and correspondence with individual concerned or his representative.

Systems exempted from certain provisions of the act:
NONE

F17709 0EACYVA

System name:
17709 0EACYVA Reports of Survey.

System location:
At Air Force Accounting and Finance Center Lowry AFB, Denver CO 80279. Headquarters, of the United States Air Force, major commands and major subordinate commands. Air Force installations.

Categories of individuals covered by the system:
Air Force active duty officer and enlisted personnel. Air Force civilian employees and former employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Air Force Academy cadets. Exchange Officers.

Categories of records in the system:
Records include but are not limited to documentation of facts developed and liability ascertained pertaining to loss of, or damage to, Air Force owned or controlled property. Records are reports of survey; government property lost, damaged (GPLD) survey certificate; reports of survey register, survey Officers : reports of investigation, depositions, affidavits, exhibits such as appraisals, reports, record copies, records of property maintenance, historical and other inspection reports, procurement records, security forces investigation reports, fire department and community and state police reports, and Judge Advocate General opinions.

Authority for maintenance of the system:
10 USC 9832, 9835; 37 USC 1007, 32 USC 710

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
the purposes of the record system are to determine responsibility and pecuniary liability and to adjust accountability for the loss, damage, or destruction of public property under Air Force control. The category of users and uses include but are not limited to: Department of Defense and Air Forcee components; other federal agencies, including but not limited to the Department of Justice for criminal prosecution, civil litigation, or investigations; the Federal Bureau of Investigation for investigation of possible criminal violations; and the Internal Revenue Service for tax determinations resulting from Air Force adjudications of pecuniary responsibility; the Civil Service Commission for personnel management functions; and state and local courts and law enforcement agencies. The report of survey is used to record and present facts in support of a determination of pecuniary liability and to serve as, or support, a property adjustment voucher. The GPLD Survey certificate is used to authorize adjustment of property records of government property when a report of survey is not required. The facts recorded may be used in establishing cause of loss or damage to private or government property. Disclosures made pursuant to the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Maintained in file folders, in note books/binders, in visible file binders/cabinets, in card files.

Retrievability:
Filed by other identification number or system identifier. Conventional indices keyed to name.

Safeguards:
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, in safes, vaults, locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening and by visitor registers. Files are given the same protection as the property accountability records with which they are associated.

Retention and disposal:
Files are destroyed three years after final action if pecuniary liability is not assessed, and three years after collection or ten years after final action, whichever is sooner. Destruction of unclassified reports may be made by shredding. Classified reports must be destroyed in

presence of Records Management Officers by shredding, pulping, macerating, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance United States Air Force (USAF).

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Denver, CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from the documentation manager at the applicable Air Force component listed in the Department of Defense directory in the appendix to the Air Forcee systems notice. Requester must present sufficient proof of identity, such as full name, social security number (SSN), military or civilian status and grade, and approximate date and location of incident involving report of survey or other information verifiable from the record itself.

Record access procedures:

Requests should be addressed to AFAFC/DAD, Denver, CO 80279, telephone (303) 320-7553. Requester must present sufficient proof of identity, such as full name, SSAN, military or civilian status and grade, and approximate date and location of incident involving report of survey or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers, the public media, the bureau of motor vehicles, a state or local government, an international organization, a corporation, witnesses, or source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Information also obtained from Air Force property records.

Systems exempted from certain provisions of the act:

NONE

F17718 0EACYVA

System name:

17718 0EACYVA Account receivable records maintained by Accounting & Finance

System location:

Air National Guard activities. Accounting and Finance Offices at Air Force bases. Air Force Reserve units. in the appendix to the Air Force's systems notice. At Air Force components listed in the Department of Defense directory in the appendix to the Air Force system notice, Denver Federal Archives and Record Center, Bldg 48, Denver Federal Center, Denver, CO. 80225.

Categories of individuals covered by the system:

Active duty military personnel. Air Force civilian employees and former employees. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Union or Association management personnel. Contracting officers and representatives. Air Force Academy cadets. Dependents of military personnel. Foreign Nationals residing in the United States. American Red Cross personnel. Peace Corps and State Department personnel. Exchange Officers. And other individuals who may be indebted to the Air Force.

Categories of records in the system:

Records maintained by the system include but are not limited to documentation pertaining to telephone bills, utility bills, check issue discrepancies, dishonored checks, postal fund losses, reports of survey, freight losses in shipments, involuntary collections, erroneous payments, property losses and damages, administratively ascertained indebtedness of Airmen, withholding for subsistence and other supplies, losses of funds, government losses in shipments, unauthorized allotment payments, setoff of final pay, detentions of pay by reason of courts martial or forfeiture or fines documentation.

Authority for maintenance of the system:

5 USC 5512-5514; 10 USC 86-89; 10 USC 856; 10 USC 9832; 10 USC 9837(b); 31 USC 71; 31 USC 82(a); 31 USC 95; 31 USC 492(a)-(c); 37 USC 1007(b),(e),(f),(g); 40 USC 721-729; 49 USC 1 et Seq.; 5 USC 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to support customer billings and collections. Recipients of information from the record system include, but are not limited to, the Comptroller General and the General Accounting Office (for opinions and audits); credit bureaus (for credit investigations); Internal Revenue Service (for determination of tax liabilities); Office of Special investigations-USAF, Federal Bureau of Investigation, US Secret Service, state and local law enforcement authorities (for criminal investigation and civil court proceedings); trustees in bankruptcy; Veterans: Administration (for its Administration of laws pertaining to veterans: benefits); correspondence with all of the above and their dependents and survivors and to members of the general public as required by the Freedom of Information Act. Disclosures are also made to the Department of Justice for criminal prosecution, civil litigation or investigation and to other Air Force and Department of Defense components for identification of and/or appropriate action on personnel subject to check cashing privileges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, in visible file binders/cabinets, in card files and on computer magnetic tapes.

Retrievability:

Filed by Name, Social Security Number (SSN), Military Service Number or Civilain Payroll Number.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets or locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening and by visitor registers.

Retention and disposal:

Retention is for up to five years or until discrepancies are cleared. Destruction is accomplished by tearing, shredding, pulping, macerating, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance USAF; Accounting and Finance Officers at Air Force installations.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Denver CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense directory to the Air Force system notice. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information which may be verified from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Denver CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense directory to the Air Force system notice. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information which may be verified from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial institutions, educational institutions, medical institutions, trade associations, police and investigating officers, the bureau of motor vehicles, a state or local government, international organization, a corporation, witnesses, source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Charges and invoices from other Air Force and Department of Defense components at Headquarters, major command and base levels; Internal Revenue Service; Social Security Administration; and Veteran's Administration.

Systems exempted from certain provisions of the act:

NONE

F17720 SGHC A

System name:

Control Logs

System location:

At Air Force hospitals, medical centers and clinics. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Dependents of military personnel.
All personnel authorized treatment in a military medical facility

Categories of records in the system:

Controls for payment of supplemental medical care and civilian medical, dental and veterinary care

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To insure duplication of payment to provider is not made

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).
Filed by Military Service Number.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Medical Service Account Officers at all Clinics, Hospitals, Medical Centers

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions.
Information obtained from medical institutions.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F17720 0CGBUZA

System name:

Control log for civilian medical care

System location:

At Aerospace Defense Command Air Force Stations stations official mailing addresses are in the Department of Defense directory in the appendix to the Air Forces systems notice.

Categories of individuals covered by the system:

Active duty personnel, retired military personnel, dependents of active duty and retired personnel.

Categories of records in the system:

Listing of patients receiving civilian medical care at Air Force expense. Giving date of care and nature of medical problem.

Authority for maintenance of the system:

10 United States Code section 8012, Secretary of the Air Force powers and duties; delegation by; compensation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose for system is to prevent double payment for civilian medical care obtained at air force expense. Users are medical technicians at medical aid stations use of system is to verify that no prior payment has been made and that civilian medical care was properly authorized.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

The senior medical technician at each Air Force station

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
full name, date medical care received, may visit medical aid station and presenting valid identification card or drivers license.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.

Systems exempted from certain provisions of the act:

NONE

F17720 0EACYVA

System name:

17720 0EACYVA Travel Records

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. accounting and finance offices at Air Force bases. the addresses of which are listed in the department of Defense directory in the appendix to the Air Force system notice; and at the Denver Federal Archives and Records Center, Denver Federal Center, Bldg 48, Denver, CO, 80225.

Categories of individuals covered by the system:

Active duty military personnel. Air Force civilian employees and former employees. Air Force Reserve and Air National Guard personnel Retired Air Force military personnel. Air Force Academy nominees/applicants/cadets. Senior and Junior Air Force Reserve Officers. Dependents of military personnel. Foreign Nationals residing in the United States. Exchange Officers. Any other individual in receipt of competent travel orders.

Categories of records in the system:

Documents include but are not limited to travel vouchers and subvouchers; travel allowance payment lists; travel voucher or subvoucher continuation sheets; vouchers and claims for dependent travel and dislocation or trailer allowance; certificate of government quarters and mess; multiple travel payments list; travel payment card; requests for fiscal information concerning transportation requests, bills of lading, and meal tickets; public vouchers for fees and mileage of witnesses; claims for reimbursement for expenditures on official business; claims for fees and mileage of witness; certifications for travel under classified orders; travel card envelopes; statements of adverse effect-utilization of government facilities; and correspondence relating to the above subject matter.

Authority for maintenance of the system:

37 USC 404-412; 5 USC 2105, 2106, 5561, 5564, 5701-5708, 5721-5730, and 5742.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes for which information in the system is collected include but are not limited to paying travel entitlements and supporting the payment of travel entitlements to military and civilian personnel. Uses made of the records by the paying Accounting and Finance Office, other Air Force and Dept of Defense components include but are not limited to the following: payment of advances; payment of per diem at temporary duty stations; settlement payments upon completion of travel; payment of mileage upon separation or release from active duty; consolidation of payments; payment of dependents: travel; payment of dislocation or trailer allowance; to support a traveler:s entitlement to a specific rate of per diem; to list multiple payments for travel and temporary duty performed under like conditions and circumstances; as a control record of all travel payments made to an individual; to query the United States Army Finance and Accounting Center for information contained on transportation requests, bills of lading, and meal tickets; payment of fees and allowances to civilian witnesses who are not u.s. Government employees; payment of expenses incurred within and around duty stations; supports the travel voucher in lieu of classified orders; updates leave records. Other users and specific uses made by them include but are not limited to Accounting and Finance Officers, who use travel records to pay travel entitlements to military and civilian personnel who perform official travel; traffic management Officers, who use travel records to support the issuance of transportation requests and to support the movement of household goods or house trailer; Internal Revenue Service, which receives and records information concerning the payment of travel allowances which are subject to federal income tax; the Civil Service Commission which uses the records for personnel management functions; General Accounting Office (GAO), which uses travel records for auditing activities and for the settlement of questionable travel claims; Office of Special Investigation, United States Air Force (OSI), which uses travel records in the investigation of suspected fraud cases; Air Force Audit Agency (AFAA), which uses travel records in performing routine audit activities: Department of Justice (disclosures for criminal prosecution, civil litigation or investigation); and disclosures made pursuant to the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, note books/binders, visible file binders/cabinets, and card files.

Retrievability:

Filed by Name, Social Security Number (SSN) or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, safes, vaults, and locked cabinets or rooms. Records are protected by guards. Records are controlled by personnel screening and by visitor registers.

Retention and disposal:

The original voucher and related supporting documents are stored at the Air Force Accounting and Finance Center, Denver, CO, for 18 months and then moved to the Denver Federal Archives and Records Center for 4 years and 9 months after which they are sold to salvage companies for destruction by shredding. Copies of the original voucher and related supporting documents are maintained by field accounting and finance offices for 3 years and then destroyed by burning, shredding, tearing, pulping or macerating.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force (USAF). At base level the system manager is the local Accounting and Finance Officer.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, social security number, duty station, place of employment, and specify the accounting and disbursing station number, voucher number, date of voucher, or other information verifiable in the record itself.

Record access procedures:

Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity, such as name, social security number, duty station, place of employment, and specify the accounting and disbursing station number, voucher number, date of voucher, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is acquired from but not limited to the individual traveler; related voucher documents such as those described above in the description of categories of records; Office of the Judge Advocate; the Comptroller;General Accounting Office; Congress; Accounting and Finance Officers; Traffic Management Officers; Consolidated Base Personnel Officers; the Air Force Accounting and Finance Center; and other Air Force and Department of Defense components.

Systems exempted from certain provisions of the act:

NONE

F17721 ADPMSNA

System name:

Employee Group Life and Health Insurance Plan

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All full time Nonappropriated Fund employees enrolled in the plan.

Categories of records in the system:

Copy of Personnel Action Request provided by Civilian Personnel Office

Authority for maintenance of the system:

Title 10, United States Code, Chapter 803, Department of the Air Force, Section 8012; Title 5, United States Code, Chapter 3, Powers Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To pay insurance carrier billings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

• Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, transferred to a staging area for one additional year, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Files are retained for one year and sent to the administrative staging area for disposition.

System manager(s) and address:

Comptroller, Air Force Welfare Board, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Action Request, Air Force Form 2545, provided by Civilian Personnel Office.

Systems exempted from certain provisions of the act:

NONE

F17721 DPMSN B

System name:

Employee's Quarterly Federal Tax Return

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Nonappropriated Funds full time and temporary employees

Categories of records in the system:

Payroll Data

Authority for maintenance of the system:

Title 26 United States Code, Internal Revenue Code, required by Department of the Treasury Internal Revenue Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Quarterly report for tax purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

By employee payroll identification number.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Records are stored in safes.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Comptroller, Air Force Welfare Board, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Or individuals may contact agency officials at respective Air Force installations to exercise their rights under the Act.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

or as included in above (notification) procedures.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Action Request, Air Force Form 2545, provided by Central Civilian Personnel Office.

Systems exempted from certain provisions of the act:

NONE

F17721 0EACYVA

System name:

17721 0EACYVA Civilian Pay Records

System location:

Air National Guard activities. Accounting and Finance Offices at Air Force bases. Air Force Reserve units. in the appendix to the Air Force's systems notice. addresses of geographically dispersed units may be obtained by reference to Air Force components listed in the Department of Defense directory in the appendix to the Air Force notice.

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Individual pay records; Individual leave records; source documents for posting leave and attendance: individual retirement deduction records; source documents maintained in connection with retirement deduction records and control files thereon; wage and separation information files; health benefit records; income tax withholding records; allowance and differential eligibility files, such as, but not limited to clothing allowances and night rate differentials; withholding and deduction authorization files, such as, but not limited to federal income tax withholding, insurance and retirement deductions; accounting document files; input data posting media, such as, but not limited to time and attendance cards and reports and personnel actions affecting pay; accounting and statistical reports and computer edit listings; claims and waivers affecting pay; control logs and collection/disbursement vouchers; listings for administrative purposes, such as, but not limited to health insurance, life insurance, bonds, locator files and checks to financial institutions; correspondence with the Civilian Personnel Office, dependents, attorneys, survivors, insurance companies, financial institutions, other governmental agencies and others; leave and earnings statements; travel records; and separation documents; official correspondence; federal, state and tax reports and/or tapes; forms covering pay changes and deductions, and documentation pertaining to garnishment of wages.

Authority for maintenance of the system:

5 USC Chapters 53, 55 and 81.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used to accurately compute individual employee's pay entitlements and to withhold required and authorized deductions and issue payroll checks for amounts due. Output products are forwarded as required to other subject matter areas to ensure accurate accounting and recording of pay to civilian employees. These records and related products are also used to verify and balance in the civilian pay office and other applicable subject matter areas and to report information to recipients, other government, and nongovernment agencies. Such recipients and agencies include, but are not limited to, the individual employee; banks which credit the employee's account if the employee has requested his check to be sent to the bank; financial organizations which credit the employee's account if the employee has requested a savings allotment; other approved organizations which an employee has designated for an allotment; health benefit carriers to ensure proper credit for the employee authorized health benefit deductions; employee organizations for which the employee has requested a dues deduction (reasons for nondeduction of dues will be benefit deductions; disclosed to officials of labor organizations recognized under Executive Orders 11636 and 11491, as amended, when relevant and necessary to their duties of exclusive representation concerning personnel policies, practices and matters affecting working conditions (including disclosure of reasons for nondeduction of dues, if applicable); the US Treasury, which maintains cash accountability; the Internal Revenue Service for recording withholding and social seu2curity information; the Social Security Administration and Civil Service Commission which credits the employee's account for Federal Insurance Contributions Act or Civil Service Retirement withheld; State revenue departments which credit employee's state tax withholding; State employment agencies which require wage information to determine eligibility for unemployment compensation benefits of former employees; city revenue departments of appropriate cities which credit employees for city tax withheld; any agency or component thereof that needs the information for proper accounting of funds, such as, but not limited to, forothers listings; Civil Service Commission for assistance in resolving complaints, grievances, etc. In the event of suspected fraud or other irregularity, data may be released to the Federal Bureau of Investigation, Office of Special Investigations, United States Air Force, or other investigating agencies for investigation and possible civil action or criminal prosecution. Data may also be released to a court of competent jurisdiction for court action. Disclosures are made to the Department of Justice for criminal prosecution, civil litigation, or investigation. Information is also supplied to the Civil Service Commission for computation of Civil service retirement annuity. Records are also used for extraction or compilation of data and reports for management studies and statistical analyses for use internally or externally as required by the Department of Defense or other Government agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders, in note books/binders, in visible file binders/cabinets, in card files, on computer magnetic tapes, disks or drums, on computer paper printouts, on roll microfilm, on microfiche, and in microfilm jackets.

Retrievability:

Filed by Name, Social Security Number (SSN), Civilian Payroll Number, Vehicle Registration or License Number, or other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms, protected by guards, and controlled by personnel screening, visitor registers, and computer system software.

Retention and disposal:

Records are retained for periods ranging up to 56 years.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance United States Air Force (USAF); and commanders of Air Force installations

Notification procedure:

information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279 telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system maybe obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense directory in the appendix to Air Force system notice. Requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license, civilian identity card, duty station or place of employment or other information verifiable from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system maybe obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense directory in the Air Force system notice. Requester should be able to provide sufficient proof of identity, such as name, social security number, drivers license civilian identity card, duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers from financial institutions, from medical institutions, from automated system interfaces, from a state or local government, from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth, and from other Department of Defense components and other federal agencies such as, but not limited to Social Security Administration, Internal Revenue Service, State Revenue Departments, Department of the Army, Navy or State Department. Correspondence with attorneys, dependents, survivors or guardians may also furnish data for the system.

Systems exempted from certain provisions of the act:

NONE

F17721 02 ALSA

System name:

Civilian Pay - Control Data

System location:

Accounting and Finance Office, Elmendorf Air Force Base, Alaska, APO Seattle 98742

Categories of individuals covered by the system:

Air Force civilian employees.

Categories of records in the system:

Individual Bank Account Identification

Authority for maintenance of the system:

5 USC, Section 5332, Government Organization and Employees General Schedule Pay Rates

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine the address or bank to which an individual paycheck is mailed and to verify same. Used by the Elmendorf Air Force Base Accounting and Finance Office, Civilian Pay Section.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force Accounting and Finance Officer, Elmendorf Air Force Base, Alaska, APO Seattle 98742

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Send Full name and social security number

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual provides information

Systems exempted from certain provisions of the act:

NONE

F17722 0EACYVA

System name:

17722 0EACYVA Accrued military pay system, discontinued (AMPS 360/390)

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. and at Denver Federal Archives and Record Center Bldg 48 Denver Federal Center, Denver, CO 80225; (back-up storage).

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Retired Air Force military personnel. Separated Air Force Personnel Officers of Air Reserve and Air National Guard on extended active duty.

Categories of records in the system:

Military pay records and related documentation including but not limited to monthly and cumulative six-months histories of pay transactions, wage and tax data, Uniformed Services Savings Deposit Program Records and Federal Insurance Contribution Act tax data contained on hard coy and/or microfilm. Military pay supporting documents and vouchers including but not limited to basic pay, special compensation positions, special pay, status adjustments, separation, reenlistment, reenlistment bonus, incentive pay, allowances, death gratuities, allotments of pay, court-martial sentences, indebtedness, and correspondence pertaining to all of the above. Sundry lists, reports and rosters including but not limited to Internal Revenue reports, Social Security reports, Veterans Administration reports and Treasury reports.

Authority for maintenance of the system:

37 USC 101 et seq; 10 USC 265, 8033, 8496, 9837(d); 32 USC 708.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of these records is to provide an audit trail for audit purposes and to provide historical information for inquiries pertaining to past pay record data. It is used primarily by all components of the Air Force for answering inquiries pertaining to information contained in these discontinued records, and for reviews by the Air Force audit agency and Inspector General. Other users may include but are not limited to other components of Department of Defense such as Army and Navy which had paid Air Force members and desire to initiate claims, other federal agencies such as Internal Revenue Service for tax information on members, Social Security Administration for information regarding tax deducted from members and social security entitlements, Veterans Administration for information regarding premiums on servicemens group life insurance, General Accounting Office for audits, members of congress for complaints from constituents, and financial institutions for deposits and/or payments. Disclosure may be made pursuant to the Freedom of Information Act. Records may be disclosed to law enforcement agencies such as but not limited to Air Force Office of Special Investigation, Department of Justice, Federal Bureau of Investigations, city and state law enforcement agencies for violations of law, for investigations and possible criminal prosecution, civil court action or regulatory processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/visible file binders/cabinets and on roll microfilm.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are protected by guards and controlled by personnel screening.

Retention and disposal:

Local retention varies from 6 months to 10 years; records are either destroyed by tearing shredding, pulping macerating or burning, or transferred by the Air Force Accounting and Finance Center to the Denver Federal Archives and Records Center where they may be retained for a period up to 56 years. Back-up records for emergency reconstitution in the event of destruction of primary records are stored at the Federal Records Center Annex, GSA, Neosho, MO. Destruction is by shredding or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance United States Air Force

Notification procedure:

information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80205, telephone (303) 320-7553. Requester should be able to provide sufficient proof of identity such as name, social security account number, military status, duty status or place of employment or other information verifiable from the record itself.

Record access procedures:

Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Requesters should be able to provide sufficient proof of identity, such as social security account number, military status, duty status or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial and medical institutions, a state or local government, a corporation, and source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Accounting and Finance Offices (AFO) Consolidated Base Personnel Offices (CBPO).

Systems exempted from certain provisions of the act:

NONE

F17722 0EACYVC

System name:

17722 0EACYVC Military Pay Records

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. Denver Federal Archives and Records Center, Building 48, Denver Federal Center, Denver CO 80225. Federal Records Center Annex, GSA, PO Box 141, Neosho, Missouri 64850.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel and Air Force military personnel separated from active duty.

Categories of records in the system:

Microfilm of Military Pay Records of individual Air Force personnel on active duty or separated. Military pay records and related documentation including but not limited to monthly and cumulative six-months histories of pay transactions, Federal Income Tax withholding data, Uniformed Services Savings Deposit program records such as listings, Federal Insurance Contribution Act tax data contained on hard coy and/or microfilm. Military pay supporting documents and vouchers including but not limited to basic pay, special compensation positions, special pay, status adjustments, separation, reenlistment, reenlistment bonus, incentive pay, allowances, death gratuities, allotments of pay, court-martial sentences, indebtedness, and correspondence pertaining to all of the above. Sundry lists, reports and rosters including but not limited to Internal Revenue reports, Social Security reports, Veteran's Administration reports, and Treasury reports.

Authority for maintenance of the system:

37 USC 401-403; 37 USC 551-558; 10 USC 1475-1480; 10 USC 1552; 10 USC 2771.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes are to furnish pay information from microfilm of Military Pay Records when hard copies of pay records cannot be located in Military Pay Record file. Used as back-up of hard copies of Military Pay Records which are also filed at this location. The purpose of the record system is to retain historical pay data on Air Force and former Air Force members. Categories of users and uses include but are not limited to the following furnish pay information and/or related information to Accounting and Finance Offices (AFOS) and Consolidated Base Personnel Offices (CBPOs), who use this information in answering inquiries and in determining current administrative adjustments. Copies of records on request may be furnished to Federal Bureau of Investigation (FBI) and the Air Force Office of Special Investigations (OSI), who use these data to investigate possible criminal violations. Copies of certified pay records and related documents are disclosed to military courts for court-martial action, and to Civil Courts. Furnish wage and tax statement (Form W-2) for tax purposes to State Revenue Service, Internal Revenue Service, individual members misplacing original form W-2, widows of deceased members, or to verify Air Force service on request from other services. On occasion may disclose information to members of Congress upon request for reply to constituents or for legislative purposes. Records may be disclosed for audit and inspection by the General Accounting Office, and to other Air Force and Department of Defense components. Disclosures are made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation, or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on roll microfilm.

Retrievability:

Filed by Name, Social Security Number (SSN), Military Service Number or by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards, and controlled by personnel screening and visitor registers.

Retention and disposal:

Military Pay Records, hard copies, are retained at Air Force Accounting and Finance Center where they are sold to paper salvage companies and destroyed by shredding after a total of six years after member's separation. Microfilm of Military Pay Records is retained at Air Force Accounting and Finance Center for five years then destroyed by shredding or burning. Copies of microfilm are retained for fifty-six years at Federal Records Center Annex, GSA at Neosho, Missouri and then destroyed by shredding or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance USAF.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB,

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Denver, CO 80279 telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information which may be determined from the record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80205 telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment, or other information which may be determined from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager

Record source categories:

Information obtained from previous employers, financial and medical institutions, automated system interfaces; police and investigating officers; a state or local government; a corportation; source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth; Air Force installation Accounting and Finance Pay Offices; Joint Uniform Military System (JUMPS); state agencies; state revenue services; veterans organizations; federal agencies; Internal Revenue Service; Veteran's Administration; attorneys; widows of former members; parents of members; dependents, trustees, and guardians; and other Department of Defense components.

Systems exempted from certain provisions of the act:

NONE

F17722 0EACYVD

System name:

17722 0EACYVD Uniformed Services Savings Deposit Program (USSDP).

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. and Denver Federal Archives and Record Center bldg 48 Denver Federal Center, Denver, Co 80225. Record Center Annex GSA, P.O. Box 141, Neosho, MO. 64850 (backup storage).

Categories of individuals covered by the system:

This notice covers both the discontinued portion of USSDP and the remaining active part of the system. Effective 30 june 1974 , the USSDP program was discontinued except for those members declared missing in action (MIA) during the Vietnam conflict. Prior to 30 June 1974, the record system serviced Air Force active duty Officers and enlisted personnel serving on a permanent duty assignment outside the United States or its possessions. Effective 1 july 1974, the record system services only Air Force active duty Officers and enlisted personnel who have been declared MIA as a result of the Vietnam conflict. Dependents, next of kin, survivors and former spouses of USSDP participants.

Categories of records in the system:

Categories of records include but are not limited to the following master account records for each depositor; transaction records of monetary data (deposits, withdrawals and adjustments); allotment records; name and social security number (SSN) change record; settled records; checkwriting and voucher register data records; interest paid records; quarterly statements records; supplemental address for interest refund records. Also included are correspondence files covering requests for information from members, federal agencies, spouses, former spouses, dependents, survivors, widows or widowers, next of kin, the American Red Cross, Congress, and other Air Force and DoD components.

Authority for maintenance of the system:

10 USC 1035.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

the purpose for which information in the system is collected is to provide the following mechanized and manual account maintenance including updating for deposits, withdrawals, interest accruals, adjustments and summary data for quarterly processing; capability of responding to inquiries regarding the status of each depositors account; capability to settle accounts, issue settlement statements and checks; quarterly statements to depositors showing detailed activity for the current quarters and cumulative balances for prior periods; reconciliation between the Accounting and Finance Officers (AFO) accounts and cash control reports with appropriate audit trails; controls to insure compliance with statutory limitations on amounts deposited, desertion status and conditions under which withdrawals are permitted and; records for storage of historical data on each depositors account. The users and uses made of the information include but are not limited to the following United States Air Force components use these records to maintain, update, settle, and report on individual members account balances. Other DoD components use various account balances information to process withdrawal requests. Congress uses this information for legislative purposes and in responding to constituents: inquiries. Disclosures to the Department of Justice and other investigatory agencies for criminal prosecution, civil litigation or investigation. Veterans Administration (VA) and Social Security use this information to determine eligibility, entitlements, and addresses of and for USSDP members. Federal Housing Agency (FHA) uses this information in their loan programs. Internal Revenue Service (IRS) uses the information for tax purposes and for levy action in the collection of taxes owed. American Red Cross uses this information to determine needs of a member or his dependents in emergency situations. Widow or widower, dependent, or next of kin of deceased members use this information in settling the affairs of the former member. Information may be disclosed to the above persons or to members of the general public as required by the Freedom of Information Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in, visible file binders/cabinets/card files, on computer magnetic tapes and computer paper printouts, and on mircrofiche.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards and controlled by personnel screening, visitor registers and computer system software.

Retention and disposal:

all records except correspondence and balancing data (deposit, adjustment, and withdrawal) are retained for 6 years after final settlement. Correspondence is kept for 90 days; balancing data is kept for 1 year after in balance status is reached. Records are stored at Air Force Accounting and Finance Center, at the Denver Federal Archives and Record Center, and at the Record Center Annex, Neosho, MO. Destruction is by sale to salvage company for shredding.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. and Director Accounting and Finance United States Air force (USAF).

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, Colo 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, date of final settlement, duty station or place of employment, or other information verifiable from the record itself.

Record access procedures:

Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, Colo 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, date of final settlement, duty station or place of employment, or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces other Air ForceDoD components and dependents, next of kin, survivors, and former spouses of USSDP members.

Systems exempted from certain provisions of the act:

NONE

F17724 0KPNQSA

System name:

17724 0KPNQSA Air Force ROTC Cadet Pay System

System location:

3841 CPTSS(ACFR), Maxwell AFB, AL 36112 and AFROTC(SUF), Maxwell AFB, AL 36112 and AFROTC detachments. Official mailing addresses of the detachments are in the Department of Defense directory in the appendix to the Air Force;s system notice.

Categories of individuals covered by the system:

Senior AFROTC contract cadets

Categories of records in the system:

monthly pay disbursement & documents for senior AFROTC contract cadets

Authority for maintenance of the system:

37 USC209

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

system data are used by detachments to verify entitlements, and by AFROTC to summarize costs of the program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes and on computer paper printouts.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are controlled by computer system software. Building secured after duty hours.

Retention and disposal:

Retained in office file for three years after completion of training,then destroyed by tearing, pulping, macerating or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force Chief, Financial Management Division; AFROTC(SUF), Maxwell AFB, al 36112

Notification procedure:

Reserve Pay Section, 3841 CPTSS(ACFR), Maxwell AFB, AL 36112. Provide name, date attended the institution, detachment number, reason for request. Requestor may visit the reserve pay section and present driver,s license or social security card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Enrollment and attendance records as translated to pay days entitlement and submitted by detachments on the monthly AFROTC Pay Order.

Systems exempted from certain provisions of the act:

NONE

F17725 0EACYVA

System name:

17725 0EACYVA Air Reserve Pay and Allowance System (ARPAS)

System location:

primary system location: Air Force Accounting and Finance Center, Lowry AFB, Denver CO 80279; decentralized supporting segments are located at: Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. Air Reserve Personnel Center, 7300 East First Avenue, Denver, CO 80280. National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132. Air National Guard activities. Air Force Reserve units. in the appendix to the Air Force's systems notice. accounting and finance offices at Air Force bases. Servicing individual Air Reserve Forces members. Denver Federal Archives and Record Center, Bldg 48, Denver federal center, Denver, Co 80225; and records Center annex GSA, p.o. Box 141, Neosho, MO 64850 (system back- up storage).

Categories of individuals covered by the system:

Active Air Reserve Forces members in a military pay status and Dependents of military personnel thereof, except the following; Air Reserve Forces members on extended active duty and members of the Air Force Reserve Officer Training Corps.

Categories of records in the system:

Military pay account computer records and supporting documentations relating to Air Reserve Forces military pay and allowance entitlements, deductions, and collections. Military pay computer records, including but not limited to, master individual pay account files (containing essential check and member identification data, military pay entitlement and allowance data, accounting data, tax withholding rate and amount data, collection and indebtedness data, and performance data); wage and tax withholding records; records of Air Reserve Forces calendar day performance; check issue, control and cancellations records; transaction input, system reject, and system recycle records; disbursement and collection report records; accounting report records; and other generated records supporting, substantiating, or authorizing Air Reserve Forces military pay and allowance entitlement, deduction, or collection actions. Military pay documentation records include, but are not limited to, travel orders, requests and performance records; active military duty performance records; statements of tours or performance of military duty; payroll attendance lists and rosters; document records establishing, supporting, reducing, or cancelling entitlements to basic pay; special compensations (such as medical, dental, veterinary, and optometry); special pays (such as foreign duty, hostile fire); allowances (such as basic allowance for subsistence, basic allowance for quarters, family separations, clothing maintenance and monetary allowances); incentive pays; and other entitlements in accordance with the Department of Defense Pay and Allowance Entitlement Manual; certificates and statements changing address, name, military assignment, and other individual data necessary to identify and provide accurate and timely Air Reserve Forces military pay and performance credit; allotment start, stop, or change records; declarations of benefits and waivers; military pay and personnel orders; medical certifications and determinations; death and disability documents; check issuing and cancellation records and schedules; payroll vouchers; money lists and accounting records; pay adjustment authorization records; system input certifications; member indebtedness and tax levy documentation; earnings statements; employees wage and tax reports and statements; casual payment authorization and control logs; punch card transcripts; and other documentation supporting, authorizing, or substantiating Air Reserve Forces military pay and allowance entitlement, deduction, or collection. Inquiry files, sundry lists, reports, letters, correspondence, and rosters including, but not limited to, Congressional inquiries, Internal Revenue Service notices and reports, state tax and insurance reports, Social Security Administration reports, Veterans Administration reports, inter-Department of Defense requests, treasury reports, and health education and institution inquiries.

Authority for maintenance of the system:

37 USC 101 et. Seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected in the system to ensure accurate and timely military pay and allowances to supported Air Reserve Forces members; provide timely, complete master individual pay account review; document and account for Air Reserve Force military pay and allowance disbursements and collections; and provide account inquiry research response capability. Records are utilized to determine net military pay and allowances check issues to Air Reserve Force members; to verify and account for system input transactions; to identify, correct, and collect overpayments; to establish, control, and collect member collection and indebtedness notices and levies; to maintain complete accounting records for Air Reserve Forces military pay and allowance disbursements, collections, refunds, and reimbursement actions; and to provide internal and external managers with statistical and monetary reports. Other users of system record data include such Air Force components as Headquarters US Air Force, Major Air Force Commands, Air Force installations, Air National Guard and Air Force Reserve Consolidated Base Personnel Offices and Consolidated Reserve Personnel Offices, Air National Guard Base Comptrollers, and ARPAS payroll offices. Other users and uses include, but are not limited to, record transfers to components of the Department of Defense for system transaction validity and accuracy audit, accounting, and documentation utilization; other federal agencies such as the Internal Revenue Service for wage and tax withholding reporting, accounting, tax audits or levies; Social Security Administration for wage and tax withholding reporting, accounting, or tax audit; Civil Service Commission for personnel

management functions; Comptroller General and the General Accounting Office for system transaction validity and accuracy audits; Veterans Administration for compensation and waiver reporting and audits, life insurance accounting, disbursement and benefit determinations; US Federal Courts for legal proceedings; Federal, State, or local Governmental agencies for reports and accounting utilization; state and local governments for tax and welfare information; educational institutions for verifying scholarship qualifications and performance; charitable institutions and military associations to render recognition for meritorious service; and financial institutions for deposits (checks to banks) and credit references. Disclosure made persuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation. The American Red Cross and Air Force Aid Society use this information to determine needs of a member of his or her dependents in emergency situations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/ in note books/binders/ visible file binders/cabinets/card files on computer magnetic tapes and computer paper printouts, on roll microfilm and microfiche.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets/safes/ vaults, protected by guards, and controlled by personnel screening, visitor registers and computer system software requiring special random input entry identifiers

Retention and disposal:

The system contains differing types of records subject to varied retention of from 6 months to 56 years. Records are retired to the Denver Federal Archives and Record Center, and also are stored at the Records Center annex GSA at Neosho, MO for back-up storage. Final destruction of records is by sale to a salvage company for shredding.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. ; Director Accounting and Finance United States Air Force (USAF); managers for geographically dispersed supporting elements to the system are Chief of Air Force Reserve, Headquarters United States Air Force. Director of Air National Guard, Headquarters United States Air Force. Accounting and Finance Officers, Consolidated Base Personnel Officers, Air National Guard Base Comptrollers, Consolidated Reserve Personnel Officers, ARPAS Payroll Officers, and designated representatives thereof.

Notification procedure:

Information as to whether the record system contains Information on an individual may be obtained from AFAFC/DAD, Lowry AFB,, Denver, CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requesters should be able to provide sufficient proof of identity, such as name, social security account number, military status, last Air Reserve Forces unit of assignment, duty status or place of employment, or other information verifiable from the system record itself.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at the Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requesters should be able to provide sufficient proof of identity, such as name, social security account number, military status, last Air Reserve Force unit of assignment, duty status, or place of employment, or other information verifiable from the system record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Record system sources for information include, but are not limited to, the following: Headquarters USAF, Air Force Major Commands and Air Force installations, Consolidated Base Personnel Offices and Consolidated Reserve Personnel Offices, Air National Guard Base Comptrollers, ARPAS Payroll Offices, other DoD components; the Internal Revenue Service, Social Security Administration, Veterans Administration, and other federal agencies; financial institutions, educational institutions, medical institutions, automated system interfaces , and state and local agencies.

Systems exempted from certain provisions of the act:

NONE

F17726 0EACYVA

System name:

17726 0EACYVA Pay and Allotment Records

System location:

At Air Force Accounting and Finance Center, Lowry AFB, Denver CO 80279, and at Denver Federal Archives and Record Center, Building 48, Denver Federal Center, Denver, CO, 80225

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Air Force Academy cadets. Dependents of military personnel, guardians of dependents of military personnel and custodians of dependents of military personnel

Categories of records in the system:

applications for Basic Allowance for Quarters (BAQ); request for dependency determinations for dependent travel; request for dependency determinations for Housing Allowance (HOLA) and Cost of Living Allowance (COLA); requests for dependency determinations for medical care; copies of marriage certificates, birth certificates, annulments, divorce decrees and adoption papers; certificate of residence forms; allotment documents (starts, changes and stops); special pay authorizations; copies of allotment vouchers; change of address forms; parent dependency affidavits; correspondence between the Air Force Accounting and Finance Center (AFAFC) and members and their dependents pertaining to allotments (pay information) and determinations of dependency; Comptroller General decisions; General Accounting Office opinions; Judge Advocate General opinions and interpretative memoranda; Air Force Office Special Investigation (OSI) reports, interpretative memoranda from plans and systems (XS) at AFAFC; status request from office of civilian health and medical program of the uniformed services (CHAMPUS) regarding medical care for children over age 21; correspondence with state and local agencies; American Red Cross; and other material related to dependency determination and eligibility of dependents for pay and allowance purposes and medical care.

Authority for maintenance of the system:

37 USC 401; 37 USC 403 and 10 USC 1072.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to; make determinations of dependency and or relationship eligibility entitlement to pay allowances (BAQ, dependent travel, HOLA, COLA) for parents, step-children and adopted children who have income in their own right, illegitimate children and all cases where relationship or dependency is questionable; make determinations of dependency and or eligibility entitlement to medical care for parents, parents-in-law, illegitimate children and children over age 21. Copies of affidavits, documents, related correspondence and/or information contained therein may be furnished to the service member, the claimed dependent and/or the person who furnish such information. Copies of affidavits, statements and related correspondence may be furnished OSI to verify information submitted by or in behalf of the claimed dependent. Copies of records may on occasion be furnished Federal Bureau of Investigation (FBI) through OSI for investigation in possible forgery and fraud cases. Copies of records may on occasion be furnished to federal agencies, including; but not limited to FBI for criminal investigations, Internal Revenue Service (IRS), Social Security Administration (SSA), Civil Service Commission, and the Veterans Administration (VA), and to state and local agencies for their own determinations for any obligations , benefits and privileges that come under their jurisdiction. On occasion may disclose information to the General Accounting Office for audit purposes and to Major Commands and Base Level Commander, Accounting and Finance Office, and Consolidated Base Personnel Office) upon their request for information relating to dependency determinations. Notify other services (Army, Navy, Marine Corps, Coast Guard) on approvals of BAQ in behalf of parents and illegitimate children to prevent duplicate claims. Notify the American Red Cross of status of claims to inform the member and/or their dependents. On occasion may send or disclose information to the Comptroller General for advance opinions. On occasion may disclose information to members of Congress on request. On occasion may disclose information to the Air Force Aid Society. Disclosures made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, protected by guards and controlled by personnel screening and visitor registers.

Retention and disposal:

records for members who have been separated from the service are purged annually and retired to the Federal Archives and Records Center at Denver Federal Center with one exception, records for which claims are received and/or a dependency determination is made after separation, are retained at the AFAFC for six years after last determination and then sent to the Denver Federal Record Center. Records are destroyed six years after members separation from the service or last determination, whichever is latest. Destruction is accomplished by sale to a salvage Co. for shredding,tearing or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director Accounting and Finance United States Air Force Wash DC 20330 (USAF)

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment.

Record access procedures:

Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, service number, military status, duty station or place of employment.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial and medical institutions, automated system interfaces, police and investigating officers, a state or local government, source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth, applications and correspondence from members for dependency determination for BAQ, dependent travel, HOLA, COLA, and medical care; correspondence from parents, guardians and custodians of dependents, attorneys and the American Red Cross pertaining to dependency determination and support of dependents; information from other components of the department of defense.

Systems exempted from certain provisions of the act:

NONE

F17730 0EACYVA

System name:

17730 0EACYVA Joint uniform military pay system (JUMPS)

System location:

Air Force Accounting and Finance Center, Lowry AFB, Denver, CO 80279. Air Force Military Personnel Center, Randolph Air Force Base, TX 78148. consolidated base personnel offices at Air Force installations. accounting and finance offices at Air Force bases. At Air Force Data Systems Design Center, Gunter Air Force Station, AL 36114 (for research and test only), Denver Federal Archives and Records Center, Denver, CO 80225 (storage), Records Center Annex GSA, PO Box 141, Neosho, MO 64850 (back-up storage). Information pertaining to geographically dispersed elements of the record system (CBPO's and AFO's) may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice.

Categories of individuals covered by the system:

Air Force active duty military personnel and dependents. Retired Air Force military personnel. Separated Air Force military personnel, individuals to whom active duty military personnel authorize a direct payment of a portion of their pay, and Officers of the Air Reserve and Air National Guard on extended active duty.

Categories of records in the system:

Military pay records and files including but not limited to; master military pay accounts, immediate access storage, six-months history, leave and earnings statements, federal insurance contribution act tax and federal income tax withholding contained on magnetic tape, magnetic discs, microfilm, microfiche and computer printed formats; pay authorization control files, central pay authorization file, deferred transaction file, reject suspense file and daily transaction record. Military pay supporting documents and vouchers including but not limited to basic pay; special compensation positions such as medical, dental, veterinary and optometry; special pay such as foreign duty, proficiency, hostile fire and diving duty; status adjustments relating to entrance on active duty, absent-without-leave, confinement, desertion, sick or injured, leave, mentally incompetent, missing, interned, permanent change of station, promotions and demotions; separation, reenlistment, reenlistment bonus; incentive pay such as flying duty, stress duty, demolition duty, parachute jumping duty and submarine duty; allowances, such as basic allowance for subsistence, basic allowance for quarters, family separation allowances, overseas station allowances, clothing monetary allowance; separation payments, death gratuities, time-in-service; allotments of pay; checks-to-banks; federal and state withholding taxes; court-martial sentences and non-judicial punishment; indebtedness resulting from but not limited to overpayment of pay and allowances and allotments, other debts to United States, certain non-government debts, and correspondence pertaining to all of the above. Inquiries files, personal financial records and sundry lists, reports and rosters including but not limited to Internal Revenue reports, state tax reports, Veterans Administration reports, Social Security Administration reports, and Treasury reports.

Authority for maintenance of the system:

37 USC 101 et seq.; 10 USC 265,8033,8496; 10 USC 9837 (d); 32 USC 708; E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of these records are to accurately and timely pay members of the Air Force, provide members periodic comprehensive statements of their accounts, and to respond to inquiries concerning their accounts at any time. US Air Force components such as Headquarters, Air Force Accounting and Finance Center, Major Commands and Air Force installations use these records to determine pay due military members, to verify pay affecting information, to collect overpayments made to military members, to provide accrual accounting for each covered entitlement of military pay and allowances, and to provide fund manager reports, internal manager reports and external reports. Other users include but are not limited to other components of Department of Defense such as Army and Navy which may pay Air Force members and initiate claims; other federal agencies such as the Internal Revenue Service for tax information on members, Social Security Administration for information regarding Federal Insurance Contribution Act tax deducted from members, Veterans Administration for information regarding premiums on serviceman's group life insurance, the General Accounting Office for audits, opinions, and fact-finding information, state and local governments for tax and welfare information, US and state courts for civil litigation and criminal prosecution purposes, members of Congress for complaints from constituents and for inquiries not generated by constituents, insurance companies for allotments made to them by military members, financial institutions for deposits (checks-to-banks) and/or payments, the American Red Cross and the Air Force Aid Society. Records may be disclosed to law enforcement agencies such as but not limited to office of Special Investigations, United States Air Force; Federal Bureau of Investigation; city and state authorities for violations of law, for investigation and possible criminal prosecution, civil court action or regulatory processes. Disclosures made pursuant to the Freedom of Information Act. Disclosures to the Department of Justice for criminal prosecution, civil litigation, or for investigatory purposes. American Red Cross uses this information to determine needs of a member or his dependents in emergency situations.

The Air Force Aid Society uses this information to determine needs of a member or his dependents in emergency situations and for verification of loan applications. The name, rank and social security number of each member of the Armed Services on active duty may be disclosed as a routine use to the Department of Health, Education and Welfare (DHEW). This information shall be extracted from systems of records used for making paymentto military personnel on active duty. This information may be sumbitted to the Inspector General of DHEW upon request of that department only for comparison with appropriate rolls reflecting recipients of Aid to Families with Dependent Children (AFDC).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/ note books/binders/bisible file binders/ cabinets/card files, computer magnetic tapes and maintained on computer paper printouts, and on roll mircrofilm and microfiche.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets/ locked cabinets or rooms, protected by guards, and controlled by personnel screening, visitor registers and computer system software.

Retention and disposal:

local retention, records are either destroyed by tearing, shredding, pulping, macerating or burning or transferred by the Air Force Accounting and Finance Center to the Denver Federal Archives and Records Center for varying retention periods up to 56 years. Destroyed by shredding. Back-up records for emergency reconstruction in the event of primary record destruction are retained by the Federal Records Center Annex GSA at Neosho MO. Destruction is by shredding.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO, 80279, telephone (303) 320-7553. Information pertaining to geographically dispersed elements of the record system may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requester should be able to provide sufficient proof of identity, such as name, social security account number, military status, duty status or place of employment or other information verifiable from the record itself.

Record access procedures:

Request from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, Colorado, 80279 Denver, CO, 80279,. telephone (303) 320-7553. the record system may be obtained from Documentation Managers at the applicable Air Force component listed in the Department of Defense Directory in the appendix to the Air Force system notice. Requester should be able to provide sufficient proof of identity, such as name, social security account number, military status, duty status or place of employment or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from financial institutions, automated system interfaces, a state or local government, source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth, military pay information originating from telephone inquiries telegraph messages and correspondence information from federal agencies and other DoD components and information from Air Force installations, Major Commands and USAF Headquarters.

Systems exempted from certain provisions of the act:

NONE

F17734 0EACYVA

System name:

17734 0EACYVA USAF Retiree/Annuitant Pay System (RAPS)

System location:

Air Force Accounting and Finance Center, Lowry AFB Denver CO 80279. Federal Archives and Records Center, building 48, Denver Federal Center, Denver, Colorado 80225. Records center annex, GSA, P.O. Box 141, Neosho, Missouri 64850 (back up storage only). Air Reserve Personnel Center and Personal Affairs offices at Air Force installations. Official mailing addresses are in the Department of Defense Directory in the Appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force Reserve and Air National Guard personnel. Retired Air Force military personnel. Dependents and survivors of military personnel.

Categories of records in the system:

Records include, but are not limited to, retired pay and annuitant pay master files with supporting documentation relating to entitlements, deductions, collections and allotments. Supporting documents include but are not limited to the following Retirement Orders, retirement pay orders, gross pay statements, statements of employment, employees: withholding exemption certificates, records of emergency data, retired pay allotment authorizations, retirees: United States savings bond authorizations, Air Reserve Forces retirement credit summaries, divorce decrees, computation of retired pay, death certificates, claims for unpaid pay and allowances of deceased members, marriage certificates, adoption papers, guardian papers, birth certificates, election certificates for retired servicemans: family protection plan (RSFPP), election certificates for survivor benefit plan (SBP), documents pertaining to status of childrens: schooling, and income tax withholding statements. Also included are listings of bonds, allotments, retired pay and annuitant pay checks, debts owed the government and direct remittances made by retirees for the costs of the RSFPP and SBP plans, records from dependents of retired military personnel, correspondence related to retirement entitlements such as reports from hospitals and medical review boards, print-outs of members: active duty military pay accounts from the joint uniform military pay system.

Authority for maintenance of the system:

10 USC Chapters 61, 63, 65, 67, 69, 71, 73 and 79; 5 USC Chapter 83. 37 USC 101 et. Seq.; 38 USC 410

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

the purpose of these records is to accurately and timely pay the retired members of the Air Force and their survivors; provide members periodic statements of pay; document and account for all disbursements and collections; and to respond to inquiries concerning the retiree and annuitant accounts. Records are used to establish, maintain and close retiree and annuitant pay accounts and prepare related reports; compute retired and annuitant pay and initiate actions for monthly pay and allotment transactions; casualty cases are established upon the death of a member and arrears of pay are computed and disbursed to survivors; upon the death of a retired member, RSFPP and/or SBP accounts are established and survival annuities are paid. Users of system record data include Headquarters US Air Force and the USAF Military Personnel Center for routine and special reports which are generally statistical in nature, but occasionally include lists of retirees with related pay data. Other users include, but are not limited to, any component of the Department of Defense for inquiries, audit and document utilization; other federal agencies such as the Internal Revenue Service for normal wage and tax withholding reporting, accounting, tax audits and levies; Comptroller General and the General Accounting Office for legal interpretations and audits. Disclosures are made to the Department of Justice for criminal prosecution, civil litigation or investigation; disclosures are made to the Veteran's Administration regarding establishments, changes and discontinuances of VA compensation to retirees and annuitants; disclosures are made to the Social Security Administration regarding wages and Federal Insurance Contributions Act Tax withholding; information is furnished the American Red Cross and the Air Force Aid Society for their use in assisting retirees and their survivors; disclosures are made pursuant to the Freedom of Information Act. Information is supplied to state and local governments for use as follow-up data in welfare cases and for tax purposes. Also, there is an automated interface with the joint uniform military pay system for data used to compute annuitant payments; checks are sent to banks for credit to the retirees and annuitants accounts including payments made under the Electronics Fund Transfer System (EFTS) transmitted through the Federal Reserve System; and allotments are mailed to other financial institutions for uses such as insurance premiums and loan repayments. Information is also supplied to the Civil Service Commission when a retiree waives his military retired pay in order to use his military service for computing his Civil Service Retirement Annuity. Records are also used for extraction or compilation of statistical data and reports for management studies and statistical analyses for use internally or externally as required by Department of Defense or by other Government agencies. Information is supplied to the courts regarding retiree pay in garnishment cases. Disclosures are also made to attorneys, law firms, and other parties acting as executors or administrators of retirees estates and information is provided to trustees of mentally incompetent members and guardians of survivors (children).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders/note books/binders/visible file binders/ cabinets/card files, computer magnetic tapes and paper printouts, and on roll microfilm and micorfiche.

Retrievability:

Filed by Name, Social Security Number (SSN) or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets/vaults/ locked cabinets or rooms, protected by guards, and controlled by personnel screening, visitor registers and computer system software.

Retention and disposal:

the system contains differing types of records subject to varied periods of retention up to 56 years. Final destruction of records is by shredding. Records are maintained in the retired pay division office while active, and then retired to the Denver Federal Archives and Records Center. Duplicate records are maintained at the records center annex at Neosho, Missouri for storage. Destruction is accomplished by shredding or burning.

System manager(s) and address:

Comptroller of the Air Force, Headquarters United States Air Force. Director of Accounting and Finance United States Air Force Washington DC 20330 (USAF). Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, TX 78148 for Survivor Benefit Plans Briefing records and spouse notification letters.

Notification procedure:

Information as to whether the record system contains information on an individual may be obtained from AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, duty station or place of employment, military status, military grade or other information verifiable from the record itself. For Survivor Benefits Plans Briefing records and spouse notification data, contact the Systems Manager specified in the preceding category or Personal Affairs officials at the servicing Air Force installation. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notices.

Record access procedures:

Requests from individuals should be addressed to AFAFC/DAD, Lowry AFB, Denver, CO 80279, telephone (303) 320-7553. The requester should be able to provide sufficient proof of identity, such as name, social security number, duty station or place of employment, military status, military grade or other information verifiable from the record itself.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers, financial, educational, and medical institutions, automated system interfaces, a state or local government, source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Also record system sources of information include but are not limited to, the following members: survivors, trustees of mentally incompetent members, guardians of survivors (children), private law firms which are executors of estates in casualty cases, the Military Personnel Center at Randolph Air Force Base, Texas, and other government agencies such as the Veterans Administration and the Social Security Administration. Information also obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F17801 OJ RS A

System name:

17801 OJ RS A Recruiting Advertising Evaluation (RAE).

System location:

Air Force Opportunity Center (AFOC) (Duties of this Center are performed by a civilian contractor who is engaged by the Air Force to provide lead fullfillment services to Headquarters, United States Air Force Recruiting Service, Randolph AFB TX 78148. Location depends on the contractor.

Categories of individuals covered by the system:

Respondents to United States Air Force Recruiting Service advertisements and referrals made by active duty military personnel, retired military personnel and Air Force civilian employees.

Categories of records in the system:

Respondent's inquiry record containing name, Social Security Number, address, date of birth, sex, telephone number, advertising medium, recruiting program in which interested, and source of referral, including name and Air Force base assigned. Recruiter contact records containing success of contract efforts, reason for not contacting, how contact was made, confirmation of educational level, qualification of individual and status of individual.

Authority for maintenance of the system:

10 U.S.C. 503 and E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The contractor fullfills requests from respondents for information about the Air Force and notifies appropriate recruiting activities of respondent's interest. Contractor develops statistical summaries which are used by USAF Recruiting Service to evaluate the effectiveness of the advertising and referral programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer and computer products.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by custodian and by persons responsible for servicing the system.

Retention and disposal:

Contractor retains at the AFOC for two years, then destroys. HQ USAF Recruiting Service retains on computer paper printouts for 60 days, then destroys. Subordin Subordinate recruiting activities retains for one year after final follow up action is complete, then destroys.

System manager(s) and address:

Director, Marketing and Analysis, USAF Recruiting Service, Randolph AFB TX 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individuals can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Record source Information obtained from automated system interfaces.

Systems exempted from certain provisions of the act:

NONE

F17801 0HFREZA

System name:

Rome Air Developement Center(RADC) manpower resources expenditure system

System location:

Rome Air Development Center(AC) Griffiss AFB NY 13441

Categories of individuals covered by the system:

civilian and military personnel assigned to RADC

Categories of records in the system:

personnel identification and job classification data

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to compile statistical reports and for support of manpower and cost accounting systems

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.
Maintained on computer paper printouts.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Deputy Chief of Staff, Research and Development, Headquarters United States Air Force; Comptroller, Rome Air Development Center, Griffiss Air Force Base, NY.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
or RADC/Department of Administration Griffis Air Force Base NY

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

obtain from individual and personnel record

Systems exempted from certain provisions of the act:

NONE

F17801 0HZHTVA

System name:

Intergrated Management Information and Control System(IMICS)

System location:

Foreign Technology Division (FTD)Wright-Patterson Air Force Base, Ohio 45433

Categories of individuals covered by the system:

all personnel assigned to Foreign Technology Division (FTD)

Categories of records in the system:

identification data-name-SSAN-address-security-access-grade

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

verify security clearances-manpower accounting-internal uses

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Foreign Technology Division (FTD), Wright-Patterson Air Force Base

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
FTD Director of Administration Wright-Patterson Air Force Base OH 45433

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual and verified from file.

Systems exempted from certain provisions of the act:

NONE

F17801 0KPNQSA

System name:

student questionaire

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.
Acm subsystems are located at the following locations Air War College (AWC) Air Command and Staff college (ACSC) Squadron Officers School(SOS) Maxwell AFB AL 36112

Categories of individuals covered by the system:

All students attending AWC, ACSC, and SOS

Categories of records in the system:

Questionaire including military data such as name,SSAN,grade age,flying data, education data,personal data and locator data

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primary use is to gather statistical data for analysis by management analysis personnel, subsequent publication of data in AU quarterly program summary. Used by applicable PME school for locator and other administrative purposes

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Class desiginator and
Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Management Analysis at HQ USAF Submanager at each applicable school, AWC, ACSC, and SOS

Notification procedure:

Requests should be addressed to the Director of Administration at the applicable school. Provide name,SSAN and class. May visit office of Director of Administration at the applicable school

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual student

Systems exempted from certain provisions of the act:

NONE

F17802X0OTAYZM

System name:

17802X0OTAYZM Personnel Cost Accounting System (PCAS)

System location:

Air Force Data Services Center (AFDSC), Pentagon, Washington, DC 20330. Air Force Data Systems Design Center (AFDSDC), Gunter AFS, AL 36114.

Categories of individuals covered by the system:

Air Force active duty military personnel and civilian employees assigned at each location.

Categories of records in the system:

Records amount of time spent on various projects/tasks, administrative duties, leave, Temporary Duty(tdy), leave without pay(LWOP) and clerical time. Also records overtime and compensator time.

Authority for maintenance of the system:

10USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The PCAS system was established to provide information for management about manpower utilization in the Air Force Data Services Center. Anticipated users of the PCAS system: Commander, Air Force Data Services Center. Directors and Division Chiefs, Air Force Data Services Center. Functional analysts assigned to the office of Plans and Management, Air Force Data Services Center. Specific uses of the PCAS data by all AFDSC management personnel and by the Commander include: Monitoring of manpower resources expended in support of automatic data processing (ADP) projects. Determining and validating requirements for additional manpower. Examining distribution of workload among the AFDSC directorates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on disks or drums. Maintained on computer paper printouts.

Retrievability:

Filed by Social Security Number (SSAN). Filed by Military Service Number.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are controlled by computer system software.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander, Air Force Data Services Center, Pentagon, Washington, D.C. 20330. Chief, Management Information Team, AFDSC, Pentagon, Washington, D.C. 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F18201 DAC A

System name:

18201 DAC A Air Force Postal Directory File

System location:

Air Force postal and courier service activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Active duty military personnel and civilian employees. Retired Air Force military personnel. Contracting officers and representatives, American Red Cross and State Department Personnel.

Categories of records in the system:

Directory cards for permanently assigned personnel, transient personnel, such as students at schools, temporary duty personnel who have departed for their place of duty, and individuals awaiting an assignment to another Air Force duty location.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for forwarding and directorizing individual personal mail received by Air Force postal activities, and for assignment of individual mail boxes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for six months after reassignment, separation, or departure from the servicing postal activity, then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Director of Administration, Headquarters United States Air Force. Submanagers include the Chief, Central Base Administration at each Air Force installation. Official mailing addresses are in the Department of Defense directory in the Appendix to the Air Force's systems notices. Washington D.C. 20330

Notification procedure:

Individuals may be notified of whether the system contains a record pertaining to them by writing to the Chief, Central Base Administration at the location(s) where postal directory services were provided.

Record access procedures:

Individuals may obtain assistance in gaining access as indicated in the notification procedures above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual to whom the record pertains.

Systems exempted from certain provisions of the act:

NONE

F18202 HC A

System name:

Current Official Active Duty Chaplains Mailing List

System location:

At Headquarters United States Air Force, Washington DC 20330. At Headquarters Air University, Maxwell Air Force Base, AL 36112.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Categories of records in the system:

Current Official Mailing Address

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintenance of Current Official Active Duty Chaplain Mailing List

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Form is Destroyed after New Address Entered on Official Mailing List at AUIPD/HCX

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Senior Chaplain at New Unit of Assignment

Systems exempted from certain provisions of the act:

NONE

F19001 AA AB

System name:

19000 Public Affairs References

System location:

At the Office of the Secretary of the Air Force, Washington DC 20330.

Categories of individuals covered by the system:

Military and civilian officials of the Federal Government (including Presidential Appointees), prominent Americans in and out of government who are involved in defense matters, and reporters and syndicated columnists or commentators who write on defense matters.

Categories of records in the system:

For military and civilian officials of the Department of Defense and for Presidential Appointees: copies of official biographies released by the Department of Defense or by the White House. A speech sub-system may contain copies or excerpts of speeches by military and civilian Federal Government officials speaking about defense matters. A clippings sub- system may contain news media clippings about activities or statements of prominent Americans

Authority for maintenance of the system:

10 USC 133.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To respond to requests from Air Force and Department of Defense officials for any of the following information: biographical material about key government officials; public statements by government officials about defense matters; defense related statements or activities of prominent Americans, as reported in news media; or publishing history of writers on defense matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in active files during an official's incumbency (for Federal Government officials), until the individual is no longer actively involved in defense matters, or until the writer stops writing about defense matters. Then placed in inactive file where they are retained until no longer needed for reference. Then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Administrative Assistant to the Secretary of the Air Force, Room 4D-881, The Pentagon, Washington DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the public media. Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F19001 OI B

System name:

Biographies of Officers and Key Civilians Assigned to SAF/OI

System location:

Secretary of the Air Force Office of Information (SAF/OI), Room 4D926, Washington DC 20330

Categories of individuals covered by the system:

Officers and key civilians (grade GS-10 or higher) currently assigned to positions in the Secretary of the Air Force Office of Information and its component divisions.

Categories of records in the system:

Biographical information including summary of military service, educational background, marital status and special interests.

Authority for maintenance of the system:

5 United States Code 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a ready reference of assigned personnel for the Director of Information, Office of the Secretary of the Air Force; used in preliminary personnel evaluations for reassignment within the Secretary of the Air Force Office of Information and throughout the Information field.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in safes.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force (SAF/OI)

Notification procedure:

Requests for information should be addressed to the Executive, Secretary of the Air Force Office of Information (SAF/OI), Washington DC 20330, telephone (202) OX-55227. Personal visit may be made to the system location in room 4D926, The Pentagon, Washington DC.

Record access procedures:

Individual can obtain assistance from the Executive, Secretary of the Air Force Office of Information, address as above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from trade associations.
Information obtained from automated system interfaces.
Information obtained from the public media.

Systems exempted from certain provisions of the act:

NONE

F19001 OI AB

System name:

Official Biographies

System location:

Biographies of active duty general officers and high level civilian personnel of the Department of the Air Force are maintained at the Command Services Unit (SAF/OIIC), Bolling Air Force Base, DC 20332, and at the Internal Information Division, Secretary of the Air Force Office of Information (SAF/OII), Room 5C-941, The Pentagon, Washington DC 20330. Record system segments or duplicates pertaining to active duty general officers may be found at the Office of Information at headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Depart- ment of Defense Directory in the appendix to the Air Force's systems notice. Also at Air Force libraries, offices of air attaches to United States Embassies, Air Force sections of Military Assistance Advisory Groups and missions, unified activities and unified commands. Additional locations include the Air Force Chief Historian (HQ USAF/CHO), Washington DC 20330; Assistant for General Officer Matters (DCS/P), Washington DC 20330; and the Aero- space Historical Foundation, University of Kansas. Biographies of retired Air Force general officers are located at the Public Information Division, Secretary of the Air Force of Information (SAF/OIP), Room 4C-922, The Pentagon, Washington DC 20330, and at the Retired Activities Section, Assistant DCS/Personnel, Air Force Military Personnel Center (AFMPC/ AFPMSDMI), Randolph Air Force Base TX 78148. Biographies of key civilian employees of the Office of the Secretary of the Air Force and of Headquarters, United States Air Force, are located at the Director of Civilian Personnel, 1143rd Support Squadron, Washington DC 20330, and at the office of the Administrative Assistant to the Secretary of the Air Force, Room 4D-881, The Pentagon, Washington DC 20330. Biographies of key civilian employees at sub- ordinate organizational levels may be found at the office of the Director of Civilian Personnel. Biographies of Air Reserve general officers are at Headquarters USAF/REL, Washington DC 20330. Record system segments or duplicates may be found at the Office of Information at headquarters of the United States Air Force, major commands and major subordinate commands. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice. At the Air Force Military Personnel Center (AFMPC/ DPMYR), Randolph Air Force Base TX 78148; Headquarters, Air Force Reserve (Commander and Information Office), Robins Air Force Base GA 31098; Air Reserve Personnel Center (Commander and Information Office), 3800 York Street, Denver CO 80205; Headquarters, Military Airlift Command (CSB), Scott Air Force Base IL 62225; Secretary of the Air Force, Manpower and Reserve Affairs (MRR), Washington DC 20330; the Reserve Forces Policy Board, Washington DC 20330; and the offices of all Air Force Reserve general officers. Biographies of Air National Guard general officers are located at the National Guard Bureau, Washington DC 20310. Record system segments or duplicates may be found at Department of the Army major divisions and installations and at Department of the Air Force headquarters of major commands and separate operating agencies. Official mailing addresses are in the Depart- ment of Defense directory in the appendix to the Air Force's systems notice. At Army readiness regions; offices of Army Guard and Air National Guard Liaison Officers; the Aerospace Audio-Visual Service, Norton Air Force Base CA 92404; the Office of the Secretary of Defense; the Office of the Secretary of the Navy; The Library of Congress; the Air Force Association; the Army Association; the Reserve Officers Association; Air Force libraries' the Air War College; the offices of all National Guard and Air National Guard general officers; and the offices of state Adjutants General. Specific addresses may be obtained from the National Guard Bureau. Biographies and biographical files for National Medical Consultants are filed at the office of the Special Assistant for Information to the Surgeon General, USAF, Forrestal Building, Washington DC 20314. Biographies prepared under the official biographies program for key military and civilian personnel of other Air Force organizations may be found at the Office of Information at headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

The Secretary of the Air Force; Under Secretary and Assistant Secretaries of the Air Force; Air Force general officers on active duty or retired; Air Reserve and Air National Guard general officers; Air Force personnel assigned as pilots to the Manned Space Program; statutory appointees and key military and civilian personnel of the Department of Defense and Presidential Appointees in the Federal Government; National Medical Consultants; and key military and civilian personnel at all Air Force organizations.

Categories of records in the system:

Biographical information including, but not limited to, summary of military service (including dates and locations of assignments and dates of promotions), military honors and awards, educational background, date and place of birth, marital status, name of spouse and family, and additional personal information provided by the individual. For civilian and military personnel of the Depart- ment of Defense, may include formal biographies released by the Department of Defense; for Presidential Appointees will include biographical material released by the White House. May also include news media clippings and/or photographs.

Authority for maintenance of the system:

5 USC 301, 10 USC 133, 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Biographies and biographical files are prepared and maintained to support the Air Force policy to keep its members and the public informed about the Air Force and its leaders. In their final form, biographies are considered published, 'public domain' material and may be released to any requester. Biographies may be used as resource documents for news releases or other public information purposes. Copies of general officer biographies are included in official personnel records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in note books/binders. Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Normally, records are accessed by the custodian of the record system and are stored in locked cabinets or rooms.

Retention and disposal:

For records of retired officers and National Medical Consultants: retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieced, shredding, pulping, macerating, or burning. All other records are destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

For biographies of general officers (active duty and retired), Director of Information, Office of the Secretary of the Air Force (SAF/OI), Washington DC 20330. For biographies of key civilian and

military personnel assigned to the Office of the Secretary of the Air Force or for biographical files on officials, including Presidential Appointees, of the Federal Govern- ment, the Administrative Assistant to the Secretary of the Air Force, (SAF/AA), Washington, DC 20330. For biographical files of National Medical Consultants, the Special Assistant for Information to the Surgeon General, USAF, Forrestal Building, Washington DC 20314.

Notification procedure:

Requests from individuals should be directed to Commander, Command Services Unit (SAF/OIIC), Bolling Air Force Base DC 20332, Telephone: (202)767-4527; for all biographies of active duty general officers and key civilians assigned to the Office of the Secretary of the Air Force or to Headquarters Air Force. For biographies of Air Reserve general officers, at Headquarters USAF/REL; for Air National Guard general officers, at the National Guard Bureau; and for retired general officers, at the Public Information Division (SAF/OIP), mailing addresses in the Department of Defense directory in the appendix to the Air Force's system notice. For biographies of officials, including Presidential Appointees, in the Federal Government, and for National Medical Consultants, direct requests to the Systems Manager. For all other biographies, address requests to the Office of Information at the appropriate level.

Record access procedures:

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. Individual can obtain assistance from the Commander, Command Services Unit, the National Guard Bureau, Headquarters USAF/REL, the Public Information Division (SAF/OIP), the Systems Manager, or the Office of Information at the appropriate level.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the public media. Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Biographies prepared by the Air Force are subject to final review by the individual concerned before publication.

Systems exempted from certain provisions of the act:

NONE

F19001 SAFOI

System name:

Special Events Planning - Protocol

System location:

At Air Force installations only. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. At USAF Recruiting Service offices. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Non-Air Force civilians, generally, but not limited to civilian leaders of the local community. Segments of the system may be specialized; e.g. active and retired military persons identi- fied by special interests, teachers or other persons in governmental agencies qualified or considered to lecture in Air Force training courses.

Categories of records in the system:

Biographical data usually including, but not limited to: name; business and home address and telephone numbers; name of spouse and family; description of positions in business and community affiliations with Air Force-oriented civic organizations; photographs. May include summaries of circumstances of visits to the installation.

Authority for maintenance of the system:

5 USC 301; 10 USC 8012; 44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records serve as reference for planning official functions, reporting to higher headquarters, selecting lecturers for training courses, and submitting nominations for Air Force or Depart- ment of Defense conferences or other functions. Systems are used by Information Officers, Executive Officers, Protocol Officers, or Commanders for the above purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Commander of the Air Force installation concerned. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Notification procedure:

Requests from individuals should be addressed to the Office of Information, for public affairs planning, or the Executive Officer or Office for Protocol, for protocol system segments. Requests regarding systems for selection of lecturer should be addressed to the particular school or training unit, e.g. USAF Special Operations School (EDPT), Eglin AAF 9, FL 32544.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. Or from the notification request addressee.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the public media. Information obtained from a state or local government. Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth. Also Federal agencies staff recommendations.

Systems exempted from certain provisions of the act:

NONE

F19002 A58WWYK

System name:

Home Town News Release Background Data File

System location:

United States Air Force Home Town News Center, Tinker Air Force Base, OK 73145. Subsystems of the main system may be located at the Information Office of the Air Force Base or Air National Guard or Air Force Reserve or similar installation to which an individual is assigned.

Categories of individuals covered by the system:

All Air Force active duty military personnel. Air Reserve or Air National Guard personnel recently selected for promotion, reassigned, awarded a medal or decoration, or who otherwise participated in a newsworthy event.

Categories of records in the system:

Biographical information including, but not necessarily limited to name, current grade, marital status, local address, name and address of parents, educational background, and military history; photographs. Information is usually, but not necessarily, contained in a USAF Home Town News Release Form or similar form.

Authority for maintenance of the system:

5 USC 301 and 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of news releases for distribution to newspapers and broadcast stations throughout the United States.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in visible file binders/cabinets.

Retrievability:

Filed by name within date of release.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in Home Town News Center files until 90 days after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Local files may be retained for one year and are then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Information, Office of the Secretary of the Air Force, Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to Commander, USAF Home Town News Center, Tinker AFB OK 73145. When inquiring about a subsystem inquiries should be addressed to the Information Officer at the base or installation of the individual's assignment. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force systems notice.

Record access procedures:

Individuals can obtain assistance in gaining access from the Commander, USAF Home Town News Center or the installation Information Officer.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual.

Systems exempted from certain provisions of the act:

NONE

F20002 05HCHLA

System name:

20002 05HCHLA Operations Security File for Foreign Intelligence Collection Activities

System location:

7602 AINTELG/INOB, Ft Belvoir, VA 22060

Categories of individuals covered by the system:

Air Force active duty officer and enlisted personnel. Air Force civilian employees and former employees. Retired Air Force military personnel. Primarily foreign nationals

Categories of records in the system:

AFOSI Records of investigation and AFIS correspondence incidental to AFOSI investigations. Correspondence reporting incidents having security ramifications bearing on U.S. collection activities abroad. Studies of compromised U. S. intelligence collection projects abroad and correspondence thereto

Authority for maintenance of the system:

National Security Act of 1947, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine internal 7602/AFIS reference materials used for internal orientation and study for object lesson guides for routine instruction to support operational security in U. S. foreign intelligence collection operations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation. Then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from AFOSI reports, studies and source documents pertaining to foreign intelligence collection operations.

Systems exempted from certain provisions of the act:

NONE

F20002 05HCHLB

System name:

20002 05HCHLB DIA Source Administration Program for Foreign Intelligence Collection Activities

System location:

7602 AINTELG/INOB, Ft Belvoir, VA 22060 and subordinate units: Det 1, APO San Francisco 96525; Det 2, APO San Francisco 96301; Det 3, APO San Francisco 96280; Det 5, APO San Francisco 96346; Designation and location of one overseas unit is classified. Headquarters, Foreign Technology Division (FTD), Wright-Patterson AFB, Ohio 47433; Det 3/FTD, APO New York 09633; Det 4/FTD, APO San Francisco 96328.

Categories of individuals covered by the system:

Air Force Reserve personnel. Retired Air Force military personnel. Foreign Nationals residing in the United States. US Citizens resident aliens and foreign nationals overseas who are sources or support assets for foreign intelligence collection operations

Categories of records in the system:

Biographic data and records incidental to utilization in foreign intelligence collection operations

Authority for maintenance of the system:

National Security Act of 1947, Public Law 257, July 26, 1947 (61 Stat 495).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine internal reference relative to use or possible use in foreign intelligence collection operations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders. Maintained in note books/binders. Maintained on computer paper printouts. Maintained on roll microfilm Maintained on aperture cards.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system. Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets. Records are stored in safes.

Retention and disposal:

Prior to destruction, files are screened, purged of extraneous material, and microfilmed. Microfilm retained indefinitely.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force. Washington DC 20330. Submanager: Chief, Foreign Activities Division, FTD, Wright-Patterson AFB, Ohio 45433.

Notification procedure:

Requests from individuals should be addressed to the System Manager or Submanager, as appropriate.

Record access procedures:

Individuals can obtain assistance in gaining access from the System Manager or Submanager, as appropriate.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from biographical data and records incident to foreign intelligence collectionoperations.

Systems exempted from certain provisions of the act:

NONE

F20002 05HCHLC

System name:

20002 05HCHLC Events and Installation File

System location:

7602 AINTELG/INXE, Ft Belvoir, VA 22060 and AF Intelligence Service (AFIS/IND) Washington DC 20330

Categories of individuals covered by the system:

Individuals having access to people, agencies, organizations, institutes, and companies in foreign countries of intelligence interest.

Categories of records in the system:

Occupational and travel information derived from Intelligence Reports, Visa Requests, Trip Reports, Open Source Documents, news media, and Trade and Professional Publications

Authority for maintenance of the system:

National Security Act of 1947, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify potential source of positive foreign intelligence information

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes and roll microfilm.

Retrievability:

Filed by Name, organization and activity.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets.

Retention and disposal:

Retained until no longer needed. Destroyed by conventional computer purge action.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from intelligence reports, visa requests, trip reports, open source documents, news media, trade and professional publications.

Systems exempted from certain provisions of the act:

NONE

F20002 05HCHLD

System name:

20002 05HCHLD Master Alpha Resource List (MARLA)

System location:

7602 AINTELG/INXE, Ft Belvoir, VA 22060 and AF Intelligence Service (AFIS/IND) Wash DC 20330

Categories of individuals covered by the system:

Individuals having access to people, agencies, organizations, institutes, and companies in foreign countries of intelligence interest

Categories of records in the system:

Occupational and travel information derived from Intelligence Reports, Visa Requests, Trip reports, Open Source Documents, news media, and Trade and Professional Publications

Authority for maintenance of the system:

National Security Act of 1947, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify potential source of positive foreign intelligence information

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer magnetic tapes and on roll microfilm.

Retrievability:

Filed by Name, Occupation, ethnic group, language capability

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets.

Retention and disposal:

Retained until no longer needed. Destroyed by conventional computer purge action.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from intelligence reports, visa requests, trip reports, open source documents, news media, trade and professional publications.

Systems exempted from certain provisions of the act:

NONE

F20501 SPI A

System name:

Requests for Access to Classified Information by Historical Researchers

System location:

SAF/0IPM Pentagon 4C-914 Washington DC 20330

Categories of individuals covered by the system:

All persons outside the Executive Branch of the United States Government who request access to classified information for historical research purposes.

Categories of records in the system:

Basic biographical data on the requestor, letters of requests, letters granting access or denial and statement signed by the requestor explaining the conditions governing access.

Authority for maintenance of the system:

Title 10USC 8012, Title 44USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of the record is to determine the trustworthiness of individuals for whom access is requested, authorize or deny access based on this determination and prescribe locations, schedules and circumstances in which research may be conducted. Biographical data is disseminated to the Defense Investigative Service, the Department of Justice, the Air Force Office of Special Investigations and the Air Force Personnel Security Group.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in safes.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.

Chief Magazine and Book Branch, Secretary of the Air Force, Office of Information.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Chief Magazine and Book Branch, Secretary of the Air Force, Office of Information. Written requests should be notarized. Personal visits require positive identification such as Military ID card, drivers license, SSAN, date of birth, etc.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from police and investigating officers.

Department of Justice.

Systems exempted from certain provisions of the act:

NONE

F20501 0UMCBVA

System name:

20501 0UMCBVA Compartmented Intelligence Access Roster

System location:

USAFSS INS San Antonio TX 78243

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel. Air Force active duty officer and enlisted personnel. Air Force civilian employees. Air Force Reserve personnel.

Categories of records in the system:

Automated line entries.

Authority for maintenance of the system:

44 USC 3301; 10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To locate personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on computer paper printouts.

Retrievability:

Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ USAFSS INS San Antonio TX 78243.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from special security files.

Systems exempted from certain provisions of the act:

NONE

F20503 DAI A

System name:

20503 DAI A Personnel Security Case Files.

System location:

Personnel Security Group, Directorate of Administration, Headquarters US Air Force, Washington, DC 20330. Decentralized segments at the Washington National Records Center.

Categories of individuals covered by the system:

Air Force civilian employees and applicants, and Air Force military members and prospective members, including Air Force Reserve and Air National Guard, whose personnel security investigations contain unfavorable information, who were previously processed or adjudicated under the Air Force Military or Civilian Security Programs, or who are assigned or nominated to offices of the Secretary of the Air Force, the Air Staff or the support agencies and offices under the security clearance authority of the Personnel Security Group.

Categories of records in the system:

Files may include (1) requests for clearance, investigation, (2) determinations of eligibility for assignment to sensitive positions, (3) medical records checks and evaluations, (4) personnel records information, (5) personnel security questionnaires, (6) correspondence between the group and the individual, office of assignment, commanders, medical facilities and installations, personnel offices, investigative agencies, Air Staff offices, or offices of the Secretary of the Air Force, (7) clearance records, and (8) summaries, evaluations, recommendations and records of adjudication.

Authority for maintenance of the system:

5 USC 7531, Definitions; 7532, suspension and removal; 7533, Effect on other statutes; 10 USC 8012, Secretary of the Air Force: powers and duties; delegation by; Executive Order 10450, Security requirements for government employment. Routine uses of records maintained in the system, including

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are established to evaluate the security acceptability of Air Force military and civilian personnel, applicants, enlistees and nominees for appointment, assignment or retention in sensitive positions with access to classified defense information or to restricted areas and locations. Files are used to record clearance adjudicative actions, eligibility determinations and investigative data. Investigative case file information may be reviewed by Air Force installation commanders, supervisors, personnel officers, medical, security, and investigative personnel, personnel of Air Staff offices and offices of the Secretary of the Air Force. Case files and cards are also used to answer inquiries from other Air Force offices and agencies, and from investigative, security and personnel representatives of other Federal agencies concerning the clearance status of individuals. Case records are maintained to prepare statistical accounting and to measure the effectiveness of the adjudicative programs and procedures.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and microfiche maintained in file folders, card files, visible file binders/cabinets and notebooks/binders.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are stored in vaults, safes and security file containers/cabinets. All records are stored, processed, transmitted and protected as the equivalent of classified information. Records are accessed by the custodian of the records system, by persons responsible for servicing the system in the performance of their official duties and by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Clearance records are retained in the office files for one year after annual cut-off then are destroyed by tearing into pieces, shredding, pulping or burning. Adjudication records are retained in office files for two years after annual cut-off, then retired to the Washington National Records Center, Washington, DC 20409. Records of personnel assigned to Air Staff/OSAF and support functions are maintained in office files until reassignment or separation. Inactive files of military personnel are destroyed after two years. Inactive files of civilian personnel are transferred to the gaining agency, or are retained for two years as the Civilian Security Documents Folder.

System manager(s) and address:

Chief, Personnel Security Group, Directorate of Administration, Headquarters US Air Force, Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to the System Manager, and should contain the full name, including any former names, grade, date of birth and social security number.

Record access procedures:

Individuals can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is received from investigative reports from federal investigative agencies, personnel and medical records, board reports, correspondence from offices and organizations of assignment, and from commanders, supervisors, witnesses and individuals, from security, and investigative personnel and from Air Staff offices, offices of the Secretary of the Air Force, and other offices of the Executive and legislative branches. System exempted from Executive and legislative branches.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a(j) or (k), as applicable. For additional information, contact the Systems Manager.

F20503 DAI C

System name:

20503 DAI C Presidential Support Files.

System location:

Primary System at the Personnel Security Group, Directorate of Administration, Headquarters US Air Force, Washington, DC 20330. Decentralized segments are located at security police offices for major command headquarters, and at installations and units having a Presidential Support mission and those units from which personnel are nominated or assigned to Presidential Support duties.

Categories of individuals covered by the system:

Those Air Force military and civilian personnel who are nominated or assigned to authorized designated positions involving Presidential Support duties on either a full or part-time basis.

Categories of records in the system:

Nomination Files include reports of investigation by the Defense Investigative Service and by other Federal investigative agencies; correspondence between the Personnel Security Group and units, installations and major commands, investigative agencies, security offices, air staff offices and offices of the Secretary of the Air Force, the office of the Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense, the Office of the Director, White House Military Office, medical evaluations, statements by nominees, summaries and evaluations of investigative information. Assignment Record Files include letters of notification of selection and quarterly rosters of all assigned personnel listed alphabetically and by unit, by major command.

Authority for maintenance of the system:

10 USC 8012, 9Secretary of the Air Force: powers and duties; delegation by. Routine uses of records maintained in the system, including categories of users and the duties; delegation by.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Nomination files are collected to evaluate the background, character, suitability and qualifications of nominees being considered for selection to positions requiring regular or frequent contact with the President or access to Presidential facilities or modes of transportation. Files are reviewed and evaluated by staff members at each level in the selection process, by medical facility staff members, by the Personnel Security Group, and other appropriate Air Staff offices, by the Office of the Administrative Assistant to the Secretary of the Air Force, and other appropriate offices of the Secretary of the Air Force, by the Office of the Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense and the Office of the Director, White House Military Office. Assignment Record Files are originated to locate, identify, control, manage, and administer individuals selected for assignment to Presidential Support duties, to initiate assignment actions after final selection, to notify medical facilities, and to prepare the quarterly listing of individuals assigned to the program for submission to the Office of the Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense, the Office of the Director, White House Military Office, to major commands, and units and Security Police offices having a Presidential Support mission. Assignment Record Files at echelons below the Personnel Security Group are merely duplicate copies of the file copy. File copies are retained at the Personnel Security Group to permit record access and to record the accountability of disclosures of the Nomination Files.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders and on computer paper printouts.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by custodian of the record system, by person responsible for servicing the record system in performance of their official duties, and by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in security file containers/cabinets, in safes and vaults.

Retention and disposal:

Upon completion of final favorable determination of selection, Nomination Files are destroyed by tearing into pieces, shredding, pulping, or burning and are replaced by Assignment Record Files. Assignment Record Files for individuals are retained during the period of assignment or for five years, whichever is longer, as the disclosure accountability record, then are destroyed by 9tearing into pieces, shredding, pulping, or burning. Assignment Record Files in quarterly roster listing form are destroyed when superseded by the next quarterly roster by tearing into pieces, shredding, pulping, or burning. Nomination Files for personnel not selected are retained in the office of nonselection or at the Personnel Security Group, for one year after the date of nonselection, at which time they are destroyed by tearing into pieces, shredding, pulping, or burning.

System manager(s) and address:

Chief, Personnel Security Group, Directorate of Administration, Headquarters US Air Force, Washington, DC 20330.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Requests should contain the full name, military or civilian grade, date of birth, position, unit and location to which nominated, and the date of nomination or nonselection or the unit location and period of assignment.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information is obtained from reports from Federal investigative agencies, military and civilian personnel records, and military medical records, correspondence from military and civilian law enforcement and Security Police offices, major command staff offices, Air Staff offices, offices of the Secretary of the Air Force, the Office of the Military Assistant to the Special Assistant to the Secretary and Deputy Secretary of Defense, Office of the Director, White House Military Office and other Federal agencies and office of the Executive and Legislative Branches.

Systems exempted from certain provisions of the act:

NONE

F20505 AFIS A

System name:

20505 AFIS A Sensitive Compartmented Information Personnel Security Records

System location:

Personnel Security Division, Directorate of Security and Communications Management, Air Force Intelligence Service, Pentagon, Washington DC 20330. Records for personnel assigned Air Force Security Service are located with Directorate of Security Police, Air Force Security Service, Kelly Air Force Base, Texas 78243. Records for personnel assigned to Air Force Communications Service are located with Office of the Inspector General, Air Force Communications Service, Richards-Gebaur AFB, Missouri 64030. Records for personnel assigned to Air Weather Service are located with Directorate of Special Projects, Control Division, Air Weather Service, Scott Air Force Base, Illinois 62225.

Categories of individuals covered by the system:

Air Force personnel, civil service employees, and contractor personnel with current access to SCI or who have had such access within past five years except Air Force personnel assigned to Central Intelligence Agency, Office of the Secretary of Defense/Defense Agencies, Office of the Joint Chiefs of Staff, and the National Security Agency.

Categories of records in the system:

Statements of Personnel History and allied papers prepared or submitted by individuals; Personnel Background Investigations; Statements by Commanders, Supervisors, Medical, Legal, and Security Officials, and related correspondence; Access Adjudication Records; Indoctrination Oaths; Termination Oaths; routine records/correspondence pertaining to access status or changes in status.

Authority for maintenance of the system:

Executive Order 10450. Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Used by designated, responsible Air Force officials to recommend/determine eligibility for access to SCI. Use to verify an individual's status with respect to SCI access or eligibility for such access, only the 'fact of' an individual's eligibility/ noneligibility for SCI access is furnished to other authorized government agencies/activities and only upon request. To answer official inquiries involving an individual's eligibility/ noneligibility for access to SCI, substantive information is released to responsible officials in the Air Force Inspector General Organizations, or higher Air Force authority, and to members of Congress. Used internally to determine personnel security trends and to attempt to determine causes for security deviations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by designated, responsible Air Force officials to recommend/determine eligibility for access to SCI. Use to verify an individual's status with respect to SCI access or eligibility for such access, only the 'fact of' an individual's eligibility/noneligibility for SCI access is furnished to other authorized government agencies/activities and only upon request. To answer official inquiries involving an individual's eligibility/noneligibility for access to SCI, substantive information is released to responsible officials in the Air Force Inspector General Organizations, or higher Air Force authority, and to members of Congress. Used internally to determine personnel security trends and to attempt to determine causes for security deviations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on roll microfilm.

Retrievability:

Filed by name, by Social Security Number (SSN), and grade or rank.

Safeguards:

Records are accessed by custodian of the record system, by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in security file containers/cabinets and vaults.

Retention and disposal:

Active records maintained as long as an individual is authorized access to SCI. Upon termination of access record is placed in inactive status where it is retained for five years and then destroyed unless sooner returned to active status. Destruction is by burning or shredding.

System manager(s) and address:

Assistant Chief of Staff, Intelligence, Headquarters United States Air Force. The Director of Security and Communications Management, Air Force Intelligence Service, The Pentagon, Washington DC 20330, is designated to act in the name of the Assistant Chief of Staff/ Intelligence, HQ United States Air Force. The Chief of Security Police, HQ United States Air Force Security Service, Kelly Air Force Base, TExas 78243 is designated Sub-System Manager and may act in the name of the Assistant Chief of Staff, Intelligence, HQ United States Air Force, for records located at HQ United States Air Force Security Service.

Notification procedure:

Requests from individuals should be addressed to the System Manager or Sub-System Manager as appropriate. Unclassified portions of file are available upon request. Include full name, grade (where applicable), social security number, date and place of birth, organization/activity to which assigned/ employed at time of SCI access. Visits may be made to office of the System Manager or Sub-System Manager as appropriate. Individuals not authorized access to Pentagon working areas or HQ United States Air Force Security Service, Kelly Air Force Base, should contact the Executive Order 10450.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager or Sub-System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Personnel Background Investigations conducted by Defense Investigative Service and/or Air Force Office of Special Investigations; Statement of Commanders, Supervisors, and medical, legal and security officials; records of adjudication processes.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a(j) or (k), as applicable. For additional information, contact the Systems Manager.

F20505 SPI A

System name:

Personnel Security Clearance Investigation Records

System location:

At National Personnel Records Center, Military Personnel Records, 9700 Page Boulevard, St. Louis, MO 63132.

At Air National Guard activities. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

At Air Force Reserve units. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Records for active duty military personnel are maintained by Consolidated Base Personnel Offices (CBPO). Records for civilian employees are maintained by the installation Chief of Security Police; they may also be maintained by Consolidated Civilian Personnel Offices (CCPO) if that record is the only evidence that investigative requirements for a particular position have been completed. For individuals who hold commissions or Reserve commitments in the Air Force Reserve, a copy of the clearance record is also maintained by Air Reserve Personnel Center (ARPC). Records for military personnel separated into a Reserve component are located at the Air Reserve Personnel Center or at State National Guard Headquarters.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Air Force Academy cadets.
American Red Cross personnel.
Employees of defense contractors

Categories of records in the system:

System includes a statement of personal history; documentation requesting personnel security investigations and/or security clearances, to include a check of installation medical, personnel, and police records; documentation recording favorable investigations and/or recording level of security clearance granted.

Authority for maintenance of the system:

Executive Orders 9838; 10450; 11652; Title 10USC 8012; Title 44USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to request and record personnel security investigations and clearances. Biographical data from personal history state-

ment is disseminated to the Defense Investigative Service when requesting personnel security investigations. Information may also be disseminated to the Justice Department (FBI), law enforcement agencies, or other DOD components in the course of requesting and conducting personnel security investigations. Records may be used to verify completion of investigations and are the basis for granting access to classified information and for unescorted entry to specifically designated restricted areas. Information may be used for assignment action if a specific level of clearance or a particular type of investigation is required in the assignment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained on computer magnetic tapes.
Maintained on disks or drums.
Maintained on computer paper printouts.
Maintained on magnetic cards.
Maintained on roll microfilm.
Maintained on microfiche.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are controlled by computer system software.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Records on military personnel who separate into a Reserve component or have a Reserve commitment are retained until commitment is fulfilled, then retired to the National Personnel Records Center. Records of personal history statements on civilian employees and on military personnel who do not have a Reserve commitment are retained in office files until separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Records of security clearance/investigation on civilian employees and on military personnel who do not have a Reserve commitment are retained in office files for two years after separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. The request for investigation/ clearance is usually destroyed when clearance action is completed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Installation Chief of CBPO or CCPO (as applicable); installation Chief, Security Police; Director, National Personnel Records Center; Chief, Air Reserve Personnel Center; Adjutants General of State National Guards.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Write or visit the Air Force installation where currently assigned or employed or the installation where separated, if applicable. Written requests must be notarized; personal visits require positive identification. Provide full name, SSAN, and military/civilian status. Former military member or civilian employee must also provide approximate date (month and year) when Air Force affiliation ceased.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F20505 SPI B

System name:

Personnel Security Access Records

System location:

Records are normally located at organizational units where individuals are currently assigned or employed. They may be located at offices of installation Chiefs of Security Police and for non-immigrant aliens at headquarters of major commands and major subordinate commands or at the National Personnel Records Center, Military Personnel Records, 9700 Page Blvd, St Louis, Mo., 63132, or Civilian Personnel Records, 111 Winnebago St., St Louis, Mo. 63118. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's Systems Notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Air Force Academy cadets.
Senior and Junior Air Force Reserve Officers.
American Red Cross personnel.
Exchange Officers.
Foreign nationals.

Categories of records in the system:

System includes documentation requesting, granting and terminating access to classified information.

Authority for maintenance of the system:

EO 9835; EO 10450; EO 11652 Title 10USC 8012, Title 44 USC 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to record level of security clearance and level of access to classified information that has been authorized. Information is used by commanders, supervisors, and security managers to insure that individuals who receive classified information have been properly investigated, cleared, have a definite need-to-know, and have been properly debriefed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in note books/binders.
Maintained in visible file binders/cabinets.
Maintained in card files.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
(Exception: Records on non-immigrant aliens are retained for two years after termination of access or employment, then destroyed, as above.) Security Termination Statements are retired one year after termination of service or employment to the National Personnel Records Center, Military Personnel Records, 9700 Page Blvd, St Louis, Mo 63132, or Civilian Personnel Records, 111 Winnebago St, St Louis, Mo, 63118. Records indicating that access to classified information has been withdrawn for cause are forwarded to installation Chief of Security Police for disposition.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Commanders of organization units and the Director, National Personnel Records Center, Military PersRecords, 9700 Page Blvd, St Louis, Mo 63132 or Civilian Personnel Records, 111 Winnebago St, St Louis, Mo 63118.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Write or visit the organizational unit where currently assigned or employed. Written requests must be notarized; personal visits require positive identification. Provide full name, SSAN, and military rank or civilian rating.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from medical institutions.
Information obtained from police and investigating officers.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F20505 SPI C

System name:

Special Security Files

System location:

At Headquarters United States Air Force, Washington DC 20330.
At Air Force installations

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Air National Guard personnel.
Air Force Academy cadets.
American Red Cross personnel.

Categories of records in the system:

System contains reports of investigation which are exempt under the 'Privacy Act of 1974.' It also contains these items, which are not exempt: correspondence relating to transmission and/or retention of the file; summaries of significant unfavorable information if not included in a report of investigation or in other official records; access authorization certificates; documentation requesting and recording personnel security investiations and/or clearances; medical reports if not maintained by installation medical facility.

Authority for maintenance of the system:

Title 10USC 8012; Title 44USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Special Security File system is designed to alert officials who are responsible for granting clearances, authorizing access, and granting unescorted entry to restricted areas to the existence of information, which, from a security standpoint, may be potentially disqualifying and to establish procedures for timely investigative action. Records in the system are used by security clearance granting officials, by unit and installation commanders, and by legal, medical, personnel, security police, and other staff officials. Security clearance granting or denying a security clearance and for determining appropriate administrative action. Security police officials maintain the records, and conduct, in coordination with the individual's immediate commander, reviews to assure that investigative or administrative inquiries are progressing on a timely basis. Security police officials may refer portions of the record to investigative agencies, including the Defense Investigative Service, for further inquiry. Legal, medical, security police, personnel, and other staff officials use the records to provide installation commanders with opinions on disposition of individual cases. Unit commanders may use the records as the basis for granting or denying an individual access to classified information or unescorted entry to specifically designated restricted areas. Personnel officials may use the records as the basis for determining administrative actions such as reassignment, separation, etc.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
Records are stored in security file containers/cabinets.
Records are stored in safes.
Records are stored in vaults.
Records are stored in locked cabinets or rooms.
Records are protected by guards.
Records are controlled by personnel screening.
Records are controlled by visitor registers.

Retention and disposal:

Records that contain information determined not disqualifying from a security standpoint are retained for one year (one month for duplicates at numbered Air Forces or higher), then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Records upon which unfavorable action is taken (denial of clearance or access, assignment to non-sensitive position, separation,etc.) are retained until individual is separated. If individual has no known Reserve commitment, a record of any unfavorable information will be retained for two years, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. If individual has a Reserve commitment, the records will be retained until commitment is fulfilled, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Security Police, Headquarters United States Air Force.
Installation commanders, installation Chiefs of Security Police, Chief, Air Reserve Personnel Center.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Write or visit the installation where currently assigned or employed, or, if applicable, where separated. Written requests must be notarized; personal visits require positive identification. Provide full name, SSAN, military rank or civilian rating.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from financial institutions.
Information obtained from educational institutions.
Information obtained from medical institutions.
Information obtained from trade associations.
Information obtained from police and investigating officers.
Information obtained from the public media.
Information obtained from the bureau of motor vehicles.
Information obtained from a state or local government.
Information obtained from a corporation.
Information obtained from witnesses.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the Systems Manager.

F20505 0QVDYDA

System name:

Clearence Certificate Records

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

and operating locations

Categories of individuals covered by the system:

All military and civilian personnel.

Categories of records in the system:

Name grade social security account number (SSAN) unit and date of training

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Document required training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are accessed by commanders of medical centers and hospitals.
open storage

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Installation Director of Security.

Notification procedure:

Address requests to sysmanager. Requires full name and SSAN.

Record access procedures:

Contact sysmanager or duty section at installation

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Completion of training subjects.

Systems exempted from certain provisions of the act:

NONE

F20505 0UMCBVA

System name:

20505 0UMCBVA Security Records Behavioral Data Reports

System location:

6960 Air Base Squadron, Security Police San Antonio TX 78243

Categories of individuals covered by the system:

Army, Navy and Marine Corps active duty military personnel. Air Force active duty officer and enlisted personnel.

Categories of records in the system:

Behavioral data reporting records.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Unit commanders.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name and Social Security Number (SSN).

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know. Records are stored in locked cabinets or rooms.

Retention and disposal:

Destroy 90 days after transfer or separation except when trans fer within command. Retained in office files for three months after monthly cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

6960Air Base Squadron

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from security and related investigative records.

Systems exempted from certain provisions of the act:

NONE

F21101 0UMCBVA

System name:

Family Services Volunteer of Year.

System location:

Director of Personnel (DP) Headquarters United States Air Force Security Service San antonio TX 78243

Categories of individuals covered by the system:

Individual by name.

Categories of records in the system:

Biographical data accomplishments photos.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Government use

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are stored in safes.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Personnel Services.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual input.

Systems exempted from certain provisions of the act:

NONE

F212010BXQPCAB

System name:

Library/Special Collections Records

System location:

At United States Air Force Academy, CO 80840.

Categories of individuals covered by the system:

Cadets, Air Force active duty personnel, members of boards and committees associated with Academy operations (Board of Visitors, General Officer Advisory Committee, etc.), faculty, staff and graduates of USAF Academy.

Categories of records in the system:

This system consists of the following categories of information or subsystems: (1) Index by name to persons in historical photographs and on official officer rosters; (2) historical rosters of cadet wing, cadet class rosters, files of orders, grade lists contained in historical course materials, athletic squad rosters; (3) index by name, date of service on each board or committee; (4) dissertations, theses, books, articles, published reports furnished by individual concerned.

Authority for maintenance of the system:

10 USC 9003

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To identify an individual with his period of service at the academy and his connection with historic Academy events as recorded in photographs and/or biographical data. (2) Used by faculty, staff and cadets working on history and operation of the Academy. (3) To identify an individual's service on official Academy boards and committees. (4) Publication collection is a traditional library function to indicate scholarly achievements of an institute of higher education, for use in accreditation reports, and as a central reference resource.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files. Maintained as photographs. Maintained in file folders. Maintained in visible file binders/cabinets. Maintained on roll microfilm.

Retrievability:

Card catalog by individual's name is maintained. Historical files: No direct name access is available from a library catalog. Individual would have to know his name is in a particular roster.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Catalog is not available when staff or branch personnel are not present.

Retention and disposal:

Permanent Library collection, USAF Academy Library, USAF Academy, CO 80840.

System manager(s) and address:

Director of Academy Libraries, USAF Academy, CO 80840.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Card catalog is prepared manually by Library personnel from photograph identification captions, officer rosters, historical materials and records. Materials generated by Superintendent, Dean of Faculty agencies, Commandant of Cadet agencies, Director of Athletics, Registrar, Staff Agencies. Publications are supplied by individuals concerned.

Systems exempted from certain provisions of the act:

NONE

F21208XOBQPCE

System name:

21208XOBQPCE Library Authorized Patron File

System location:

USAF Academy Library (DPSLB), USAF Academy, CO 80840.

Categories of individuals covered by the system:

All Academy military and civilian personnel and cadets, specially authorized non-base library patrons.

Categories of records in the system:

Social security number, name, base or home address, type of patron code, expiration date for special borrower privileges.

Authority for maintenance of the system:

10 United States Code Chapter 903, United States Air Force Academy; and Executive Order 9397, 22 November 1943, Numbering System for Federal Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Library personnel to fully identify patron to whom library material is charged in operation of the Library's automated circulation control system. Will be used by Library staff to identify person to whom material is charged, to follow up on delinquent borrowers by generation of overdue notices, and to clear departing patrons and delete their name from the authorized borrower file. Issue library cards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in computer. Microfiche printout twice annually for use at Library circulation desk.

Retrievability:

Filed by Social Security Number.

Safeguards:

Records are accessed by person(s) responsible for library circulation control operation in the performance of their office duties. Microfiche printout is stored in locked room when not in use by circulation desk staff during hours when the Library is open.

Retention and disposal:

Patron data is deleted from master files maintained on computer when outgoing clearance is accomplished. Microfiche lists of patrons are destroyed by tearing into pieces, shredding, pulping, macerating, burning or burial, when update is received.

System manager(s) and address:

Director of Academy Libraries, USAF Academy, CO 80840.

Notification procedure:

Request from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individual input on library circulation authorization form.

Systems exempted from certain provisions of the act:

NONE

F21301 DPMSS-A

System name:

Air Force Educational Assistance Loans

System location:

At Air Force Military Personnel Center, Randolph Air Force Base, TX 78148.

Categories of individuals covered by the system:

1961, 1962 and 1963 dependents of active duty Air Force military members who received educational assistance loans.

Categories of records in the system:

Files contain loan agreement documents made with loan recipients, related documentation between Air Force Military Personnel Center

(AFMPC/Executive Secretariat/Air Force Welfare Board (DPMSS)) and college/university registrars, retained copies of documents and correspondence received from or sent to loan recipients; and individual ledger cards reflecting accounting data.

Authority for maintenance of the system:

Title 10, United States Code Chapter 803 Department of the Air Force, Section 8012; Title 5, United States Code, Chapter 3, Powers Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Routine use of the records occurs when the responsible official reviews such for the purpose of loan follow-up action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Files are retained until paid in full at which time the original loan agreement is returned to the loan recipient.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph Air Force Base, Texas 78148.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Original loan agreements generated by the loan recipient; correspondence received from or sent to loan recipients; certifications from college/university registrars as to receipt of payment for tuition, school supplies and other educational expenses.

Systems exempted from certain provisions of the act:

NONE

F21301 0J DP A

System name:

Completion of courses/degrees under operation bootstrap

System location:

Headquarters Air Training Command (ATC) Deputy Chief of Staff for Personnel (DCS/P) and base education office at each Air Force Base
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All ATC personnel completing courses/degrees under bootstrap

Categories of records in the system:

Individual military records containing educational data

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses data for approval/disapproval of bootstrap request

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.
Filed by other identification number or system identifier.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Stored in locked building

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ ATC DCS/P Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F21301 0J DP C

System name:

education services test control Officers

System location:

Headquarters Air Training Command(ATC) Deputy Chief of Staff for Personnel(DCS/P) and base education office

Categories of individuals covered by the system:

Individuals responsible for monitoring test material

Categories of records in the system:

All ATC base test control Officers

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses data to identify base test control Officers

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Stored in locked building

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ ATC DCS/P Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F21301 0J DP D

System name:

predischarge education program certifying Officers

System location:

Headquarters Air Training Command(ATC) Deputy Chief of Staff for Personnel(DCS/P) and base education office

Categories of individuals covered by the system:

Individuals responsible for certifying predischarge education

Categories of records in the system:

All ATC base test certifying Officers

Authority for maintenance of the system:

44 USC 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCS/P uses data to identify base test certifying Officers

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Stored in locked building

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ ATC DCS/P Randolph Air Force Base TX 78148

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F21306 0SPCZPA

System name:

Individual Class Record Form

System location:

At Air Force Installations.
Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Military and civilian personnel who are enrolled in educational programs conducted on base.

Categories of records in the system:

Identifies courses, sources of funding, tuition payments.

Authority for maintenance of the system:

10 United States Code 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by educational services personnel to compile reports, to expedite return of borrowed books or equipment, and to control tuition payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.
Course title.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until classes are completed or until borrowed materials are returned and all monies are paid. Then destroyed by tearing into pieces, shredding, pulping, macerating or burning.

System manager(s) and address:

Chief, Education Branch.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Individuals.

Systems exempted from certain provisions of the act:

NONE

F21401 OJ SSFK

System name:

21401 OJ SSFK Kindergarten Student File.

System location:

3380 Air Base Group/SSFK, Keesler AFB MS 39534.

Categories of individuals covered by the system:

Children enrolled in kindergarten and their parents.

Categories of records in the system:

Registration forms, enrollment contract, parent authorizations for testing/filed trips/forwarding of school records, child/family background questionnaire, test results, and student progress reports.

Authority for maintenance of the system:

10 U.S.C. 8012; 5 U.S.C. 301; and EO 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by kindergarten personnel to understand and determine special needs of children, to locate parents in case of emergency, to make progress reports to parents, to establish contractual obligations between kindergarten and parents, and to set up car pool listings. Any records in the system may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function. The records may also be forwarded to any other school at the written request of the parents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records maintained in file folders and locked in desks or rooms.

Retrievability:

Filed by student name.

Safeguards:

Records are accessed by the kindergarten principal and kindergarten counselor.

Retention and disposal:

Retained in office files for one year after child leaves program or until parent requests transfer of records to another school, whichever comes first. In the event the records are not transferred to another

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school, they are destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Kindergarten Principle, 3380 ABGp/SSFK, Keesler AFB MS 39534.

Notification procedure:

Requests from individuals should be addressed to the systems manager. The full name of the student will be required to determine if the system contains a record about him or her. The requester may visit the kindergarten to obtain information on whether the system contains records pertaining to an individual. As proof of identity the requester must present either a current military identification card or driver's license.

Record access procedures:

Individuals can obtain assistance in gaining access from the systems manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from parents; test results; student evaluations by kindergarten personnel.

Systems exempted from certain provisions of the act:

NONE

F21401 0KPNQSA

System name:

Pupil Registration and Cummulative Record Cards.

System location:

Maxwell Elementary School (DPESS) Maxwell Air Force Base AL 36112

Categories of individuals covered by the system:

Dependents of military personnel.

Categories of records in the system:

Record cards and cumulative records on pupil progress

Authority for maintenance of the system:

Section 6, Public Law 874, 64 Statute 1104, amended by 20 USC 241

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain contact with parents to report to them on pupil progress, problems and other matters. Also to report to schools where students may be transfered. Pupil records are used by only professional school staff.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained permanently.

System manager(s) and address:

Superintendent-principal Maxwell Elementary School Maxwell Air Force Base AL 36112

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Full name of requesting individual. May visit office of system manager and give full name.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Maxwell Air Force Base AL 36112

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions.

Parents, teachers and pupil.

Systems exempted from certain provisions of the act:

NONE

F21401 0RKNMDA

System name:

Personnel Movement Program

System location:

At Headquarters, Pacific Air Forces, (PACAF) Directorate of Dependents Schools APO San Francisco 96553 at Office Of Dependents Education (OODE) 1400 Wilson Boulevard Rosslyn VA 22209

Categories of individuals covered by the system:

Teachers and administrators in the Pacific area dependents schools.

Categories of records in the system:

administrator's statement of intent teacher's statement of intent, application for position with District of Columbia school system, reemployment agreement, application for extended leave without pay, merit promotion application, inter area transfer request, point system determination for inter area transfer program, intra area transfer request, point system determination for intra area transfer program, record of Department of Defense overseas teaching experience, certification of teacher whose spouse is also employed teacher, eligibility certification, civilian personnel office certification, merit promotion register.

Authority for maintenance of the system:

Section 12(b)(2) of Executive Order 11491 as amended by Executive Order 11616 and Executive Order 11838.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

purpose: to evaluate an application for either inter area or intra area transfer of Department of Defense teachers and administrators in the Pacific area. Category of user: PACAF Directorate of Dependents Schools, OFfice OF Dependents Education (OODE). USE: collection of information to determine ranking of applications by education background, work experience and transfer point seniority for filling vacancies in the DoD dependents schools system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained in visible file binders/cabinets.

Retrievability:

by position categories, transfer points, quality ratings.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Records are stored in security file containers/cabinets.

Retention and disposal:

Retained for two years after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

assistant Director for Personnel Headquarters, Pacific Air Forces/DPN APO 96553

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Information required from individual: full name and school district. Headquarters, Pacific Air Forces/DPN APO 96553. No proof of identity required.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Or to appropriate district superintendent.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice. Also in the DoD dependents schools directory on file in each DoD dependent school.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

immediate supervisor or base civilian personnel officials.

Systems exempted from certain provisions of the act:

NONE

F26501 AFA A

System name:

26501 AFA A Cadet Chaplain Records.

System location:

At USAF Academy, CO 80840.

Categories of individuals covered by the system:

AF Academy Cadets.

Categories of records in the system:

Religious affiliation, background and religious interests and choir audition consisting of musical capabilities.

Authority for maintenance of the system:

10 USC 8012, Secretary of the Air Force: powers and duties; delegation by; 10 USC 9331, Establishment; Superintendent; faculty. Routine uses of records maintained in the system, faculty.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) Identify incoming Fourth Class Cadets religious affiliation, religious background data and religious interests. Cadet Chaplains use this information to organize cadet lay participation as users, choir members, lay readers, lectors, commentators, and religious education teachers. Cadet Chaplains and Chapel Managers assigned to the USAF Academy Cadet Chaplain's Office use this information. (2) Choir audition record identifies incoming 4th class cadet's musical capabilities and the music directors use this information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by name.

Safeguards:

Records are stored in locked rooms.

Retention and disposal:

Retained in offices for one year after graduation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

USAF Academy Command Chaplain.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from individual cadet.

Systems exempted from certain provisions of the act:

NONE

F26501 HC A

System name:

Non-Chaplain Ecclesiastical Endorsement Files

System location:

Records maintained at the Office of the Chaplain for the installation where employed. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Military/Civilians authorized to function as Lay Leaders, Auxiliary Chaplains, Ushers, Lectors, etc.

Categories of records in the system:

Certification from religious denomination that the individual is qualified to function as Lay Leader or Auxiliary Chaplain.

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determining qualifications of individuals to serve as Lay Leader or Auxiliary Chaplain

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Returned to issuing denomination if requested

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force. Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Request access from Senior Installation Chaplain

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Denominational agency endorsing individual to function.

Systems exempted from certain provisions of the act:

NONE

F26501 HC B

System name:

Chaplain Personnel Roster

System location:

At Headquarters United States Air Force, Washington DC 20330.

At Air Reserve Personnel Center, 3800 York Street, Denver, CO 80205.

At headquarters of the major commands and separate operating agencies. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

Air Force civilian employees.

Air Force Reserve personnel.

Air National Guard personnel.

Categories of records in the system:

Organization and Station, Manpower Authorization records, statistical grade codes, Air Force speciality codes, Name, Social Security Account Number, Current Rank, Date of Current Rank, Religious Denomination Code Symbol, Date of Separation or Service Commitment, Date of Birth, Effective Date of Current Assignment.

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Insuring Adequate Manning of Reserve, Air National Guard, and Civilian Auxiliary Authorizations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Maintained in note books/binders.

Retrievability:

Filed by Name.

Filed by Social Security Account Number (SSAN).

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.

Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.
Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Request for Access may be made to the Major Command Chaplain of the nearest major command.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from automated system interfaces.
Information obtained from individuals.

Systems exempted from certain provisions of the act:

NONE

F26501 HC C

System name:

Directory of Active Duty and Retired Chaplains

System location:

Primary Location: Chief of Chaplains, Headquarters United States Air Force, Washington DC 20330. Decentralized Location: At offices of each Active Duty and Retired Chaplain. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's system notice.

Categories of individuals covered by the system:

Air Force active duty officer personnel.
Retired Air Force military personnel.
All Air Force active duty and retired chaplains.

Categories of records in the system:

Name, Current Mailing Address, Home State, Religious Denomination

Authority for maintenance of the system:

Title 10 USC 8012 and Title 10 USC 8034

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Chaplains as a Ready Reference in Referring Counselees to other Chaplain Counselors by Name.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in note books/binders.

Retrievability:

Filed by Name.

Safeguards:

Each Chaplain listed in the Directory has access as custodian of the record system stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.
Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Active Duty Addresses from Assignment Action Documents at Headquarters, United States Air Force; Retiree Addresses from individual retirees.

Systems exempted from certain provisions of the act:

NONE

F26501 02 ALSA

System name:

Religious Education Registration and Attendance Records

System location:

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force civilian employees.
Air Force Reserve personnel.
Retired Air Force military personnel.
Dependents of military personnel.
And civilians from surrounding communities who desire to participate

Categories of records in the system:

Contains personal data and other information relative to educational or training needs by age group, individual faith group, or denomination.

Authority for maintenance of the system:

10 USC, Section 8067(H), Armed Forces - Air Force - Designations of Officers to Perform Certain Professional Functions.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide data on religious education training or needs by faith group, denomination, religious sect, or similar organizations. Used by Chaplains, Chapel management personnel, lay and salaried personnel in a supervisory position to determine educational or training needs by area, level, age group, type of training, individual faith group or denominational training needs. To determine and develop programs in interpersonal relationship, social, spiritual, humanitarian welfare that meet the needs of the community being served. To record attendance as necessary, training accomplished, functional participation and spiritual growth.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.
Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are controlled by personnel screening.

Retention and disposal:

Retained in office files until reassignment or separation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

Retained in office files until graduation or elimination from training, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Senior supervisory Chaplain at each Alaskan Air Command Chaplain activity. Chief of Chaplins, HQ USAF, Washington DC 20330, and supervisory chaplains at each Air Force installation.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

From individual.

Systems exempted from certain provisions of the act:

NONE

F26501XHC A

System name:

26501XHC A Records on Baptisms, Marriages and Funerals by Air Force Chaplains

System location:

Washington National Records Center, Washington DC 20409. 1955 to 1958 Records Group Modern Military Branch Military Archives Division National Archives Service, Washington, D.C. 20408, 1949 to 1955 Records Group

Categories of individuals covered by the system:

Military and Civilian Personnel, Marriages, Military and Dependent Personnel, Baptisms, Military and Dependent Personnel, Funerals

Categories of records in the system:

Record of Baptisms, Marriages and Funerals Performed by Air Force Chaplains

Authority for maintenance of the system:

44 USC 3301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of Rites Performed by Air Force Chaplains Used to Verify Rites Performed for Individuals

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in card files.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Records are stored in locked cabinets or rooms.

Retention and disposal:

Fifty year Retention 1955 to 1958 Washington National Records Center, Washington, D.C. 20409, Year Group 1949 to 1955 Retained at Modern Military Branch, Military Archives Division, National Archives Service, Washington, D.C. 20408, System Discontinued after 1958

System manager(s) and address:

Chief of Chaplains, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information from Individuals and Air Force Chaplains Reporting Rites.

Systems exempted from certain provisions of the act:

NONE

F40-1-7 FZHTVA

System name:

Air Force Logistics Command (AFLC) Supergrade Information File.

System location:

Directorate of Civilian Personnel, Headquarters AFLC, Wright-Patterson Air Force Base, Ohio.

Categories of individuals covered by the system:

AFLC personnel grade GS 16 and above.

Categories of records in the system:

Picture, biography, grade, series, organization, location, primary specification number (PSN), approval date, SCD, date of birth, date assigned, veterans status, education level, name, title.

Authority for maintenance of the system:

Title 5 United States Code Section 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preclude gathering each time needed. AFLC justify retention of PSN, provide biographical information to question.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Binder.

Retrievability:

Name, Grade, Organization.

Safeguards:

File Cabinet.

Retention and disposal:

One year after incumbent leaves position.
Records are then destroyed by tearing into pieces, shredding, macerating, pulping or burning.

System manager(s) and address:

Director of Civilian Personnel, Headquarters, AFLC Wright-Patterson Air Force Base, Ohio

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

HQ AFLC Office of Information, Civilian Personnel Statiscal Accounting System E201.

Systems exempted from certain provisions of the act:

NONE

F90001 DAYY A

System name:

Annual Outstanding Air Force Administration and Executive Support Awards

System location:

Primary system at the Administrative Systems Management Division, Directorate of Administration.

At Headquarters United States Air Force, Washington DC 20330. Decentralized segments may be found within Administration offices and at nominating units.

At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All Air Force active duty military personnel.

Categories of records in the system:

Files include unit or command nomination letters; letters of commendation citing nominees for their achievements and selection as outstanding administrators; 'Hometown News Release Data,' for military personnel; 'Civilian News Data,' for civilian personnel.

Authority for maintenance of the system:

Title 10, United States Code, Section 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

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Files are used for review and selection of award recipients by committee. Further use is for preparation of certificates of recognition; letters of commendation, and preparation of news articles recognizing individual award recipients.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.
Maintained in file folders.

Retrievability:

Filed by name within major command or separate operating agency sequence.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Administration, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
Individual must give name and organization of assignment. The individual may visit the Director or Chief of Administration, or the Privacy Officer, of any installation.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from the individual's supervisor.

Systems exempted from certain provisions of the act:

NONE

F90001 DPMSAAB

System name:

Military Decorations

System location:

At Headquarters United States Air Force, Washington DC 20330.
At headquarters of major commands and at all levels down to and including Air Force installations. Official mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Categories of individuals covered by the system:

All active duty military personnel.
Air Force Reserve personnel.
Air National Guard personnel.

Categories of records in the system:

Supervisory evaluation of duty performance with comments by commanders at intermediate levels.

Authority for maintenance of the system:

Title 10 United States Code Armed Forces - Chapter 857, Decorations and Awards, Sections 8741, 8742, 8743, 8746, 8749.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Award of military decorations - used by award approval authorities to determine qualification for recognition through award of a decoration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in visible file binders/cabinets.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.
Destroyed 1 year after completion by tearing into pieces shredding, pulping, macerating or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff Personnel for Military Personnel, Randolph AFB, Texas

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.
or individuals may contact agency officials at respective locations in order to exercise their rights under the act.

Record access procedures:

Same procedures as for notification above.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Supervisors' evaluations.

Systems exempted from certain provisions of the act:

NONE

F90001 0KPNQSA

System name:

Air University Outstanding Junior Officer of the Year,

System location:

At Headquarters Air University, Maxwell Air Force Base, AL 36112.
DPA.

Categories of individuals covered by the system:

Air Force active duty officer personnel.

Categories of records in the system:

Personal data, letters of nomination. Photographs and related documents for junior officer nominated for award.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Review and select from nominations best qualified officer. Used by Directorate of Personnel Programs (DPA) HQ Air University and board members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by custodian of the record system.
Records are accessed by person(s) responsible for servicing the record system in performance of their official duties.
Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in locked cabinets or rooms.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Personnel Programs, HQ Air University, Maxwell Air Force Base, Alabama 36112

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Name, SSAN. May visit office of DPA and provide military identification card.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.
Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Nominating unit commander.

Systems exempted from certain provisions of the act:

NONE

F90001 0TMUHJA

System name:

Special Awards File.

System location:

Headquarters Tactical Air Command, Langley Air Force Base, Virginia 23665.

Categories of individuals covered by the system:

All Air Force active duty military personnel.
Air Force civilian employees.
Retired Air Force general officers.

Categories of records in the system:

Alphabetical file containing limited award and biographical data on TAC personnel where awards have been approved and may be used for reference in future. File is informational in nature and action does not result therefrom.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Command Awards Branch for reference.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in security file containers/cabinets.

Retention and disposal:

Retained in office files until superseded, obsolete, no longer needed for reference, or on inactivation, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Director of Personnel, Tactical Air Command, Langley Air Force Base, VA.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from previous employers.
Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F90001 0UMCBVA

System name:

Outstanding Airman of Year.

System location:

Director of Personal Services (DPS) Headquarters United States Air Force Security Service (USAFSS) San Antonio TX 78243.

Categories of individuals covered by the system:

Active duty enlisted military personnel by name.

Categories of records in the system:

Accomplishments, pictures, biographical data.

Authority for maintenance of the system:

10 USC 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide recognition to outstanding Airmen.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name.

Safeguards:

Records are accessed by authorized personnel who are properly screened and cleared for need-to-know.
Records are stored in safes.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

HQ USAFSS DPS.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source documents (such as reports) prepared on behalf of the Air Force by boards, committees, panels, auditors, and so forth.

Systems exempted from certain provisions of the act:

NONE

F90001XOBXQPCA

System name:

90001XOBXQPCA Cadet Awards Files

System location:

United States Air Force Academy, USAF Academy CO 80840.

Categories of individuals covered by the system:

Relatives of deceased persons who are memorialized through cadet awards and any former USAF Academy cadet who has been honorably discharged because of being crippled, disabled, or blinded while enrolled at the USAF Academy, or because of the discovery of a physical defect after entering the USAF Academy.

Categories of records in the system:

Cadet Awards files by award area, including background on person memorialized, donor financial arrangements, record of award winners and administrative history and military, academic and medical information on individual considered for award, financial status of parents or guardian and/or candidate.

Authority for maintenance of the system:

10 USC 903, Executive Order 9397, 22 November 1943, Numbering System for Federal Accounts Relating to Individual Persons.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For continuing award sponsorship business with donors, which consist of private individuals, patriotic and veteran organizations, and major air command and used by Cadet Awards Council to aid in their selection of individuals to receive annual award presented to disabled former cadets.

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Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Social Security Number (SSN) and by name.

Safeguards:

Records are accessed by person(s) responsible for servicing the record system in performance of their official duties. Reoords are stored in security file containers/cabinets. Awards Council Chairman and appointed project officer are only persons reviewing financial statements.

Retention and disposal:

AF 525 pending approval; five year retention in office area before retiring to base staging area for 45 additional years. Destroyed by tearing into pieces.

System manager(s) and address:

Deputy Chief of Staff/Personnel, Headquarters United States Air Force. Washington DC 20330

Notification procedure:

Requests from individuals should be addressed to the Systems Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from educational institutions. Information obtained from the public media.

Systems exempted from certain provisions of the act:

NONE

F90001XRDE A

System name:

90001XRDE A Harold Brown Award

System location:

Headquarters, of the United States Air Force, major commands and major subordinate commands.

Categories of individuals covered by the system:

All Air Force active duty military and civilian personnel engaged in some phase of the total Research and Development effort.

Categories of records in the system:

Individual nominations, photographs, minutes of the Review Committee, Award announcement and substantiating documents.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose is to recognize a significant achievement in Research and Development by one person which led to, or demonstrated promise of, a substantial improvement in the operational effectiveness of the Air Force.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN), or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes.

Retention and disposal:

Non-selected. Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Selected.H

System manager(s) and address:

Deputy Chief of Staff/Research and Development, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Request should contain name and/or social security account number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Authorized nominating organizations.

Systems exempted from certain provisions of the act:

NONE

F90001XRDE B

System name:

90001XRDE B USAF Research and Development Award

System location:

Headquarters, of the United States Air Force, major commands and major subordinate commands.

Categories of individuals covered by the system:

Air Force active duty officer personnel assigned for duty with an Air Force Research and Development organization.

Categories of records in the system:

Individual nominations, photographs, minutes of the Selection Committee, Award announcement and substantiating documents.

Authority for maintenance of the system:

10 USC 8012

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The award was established to emphasize the scientific efforts and achievements of the Air Force Research and Development program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Filed by Name, Social Security Number (SSN) or Military Service Number.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the record system in performance of their official duties who are properly screened and cleared for need-to-know. Records are stored in safes.

Retention and disposal:

Retained in office files for one year after annual cut-off, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning. Retained in office files for two years after annual cut-off, then retired to Washington National Records Center, Washington DC 20409, for permanent retention.

System manager(s) and address:

Deputy Chief of Staff/Research and Development, Headquarters United States Air Force.

Notification procedure:

Requests from individuals should be addressed to the Systems Manager. Request should contain name and/or social security account number.

Record access procedures:

Individual can obtain assistance in gaining access from the Systems Manager. Mailing addresses are in the Department of Defense directory in the appendix to the Air Force's systems notice.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Authorized nominating organizations.

Systems exempted from certain provisions of the act:

NONE

F90002 MPC A

System name:

F90002 MPC A Suggestions, Inventions, Scientific Achievements.

System location:

Directorate of Personnel Program Actions, Headquarters Air Force Manpower and Personnel Center, Randolph AFB TX 78148. Headquarters of major commands and separate operating agencies and base personnel offices. Official mailing addresses are in the Department of Defense Directory in the appendix to the component's systems notices.

Categories of individuals covered by the system:

Air Force military members and civilian employees.

Categories of records in the system:

Files include suggestion forms, evaluations and substantiating documentation consisting of forms, certificates, administrative correspondence; records of committee actions; award actions; reports.

Authority for maintenance of the system:

10 USC 1124, Cash awards for suggestions, inventions or scientific achievements.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are originated when personnel initiate a suggestion, invention, or scientific achievement. Case files are reviewed by the Suggestion Office personnel, and are referred to the Suggestion Awards Committee for review when required by governing directives. Individual name files are retained not more than one full year after close of year in which the final action was taken. Records of committee actions are retained for two years. Copy of approved award is filed in civilian employee's official personnel file. Copy of approved award is not retained elsewhere for military member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders and on cards.

Retrievability:

Filed by name.

Safeguards:

Records are accessed by custodian of the record system and by person(s) responsible for servicing the records in performance of their official duties who are properly screened and cleared for need-to-know.

Retention and disposal:

Retained for one year after end of year in which the case was closed, then destroyed by tearing into pieces, shredding, pulping, macerating, or burning.

System manager(s) and address:

Assistant Deputy Chief of Staff, Manpower and Personnel for Military Personnel, Randolph Air Force Base, Texas.

Notification procedure:

Requests from individuals should be addressed to the System Manager.

Record access procedures:

Individual can obtain assistance in gaining access from the System Manager.

Contesting record procedures:

The Air Force's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Information obtained from source document (Suggestion Form) include name, social security number, job title, home or mailing address, grade and organizational address.

Systems exempted from certain provisions of the act:

NONE

DEPARTMENT OF THE AIR FORCE ADDRESS

DIRECTORY

OFFICE OF THE SECRETARY OF THE AIR FORCE
and
HEADQUARTERS UNITED STATES AIR FORCE
(Located Within the Washington, DC area)

Office of the Secretary of the Air Force
Washington, D.C. 20330

Assistant Secretary of the Air Force
(Financial Management)
Washington, D.C. 20330

Assistant Secretary of the Air Force
(Research and Development & Logistics)
Washington, D.C. 20330

Assistant Secretary of the Air Force
(Manpower, Reserve Affairs & Installations)
Washington, D.C. 20330

Administrative Assistant to the
Secretary of the Air Force
Washington, D.C. 20330

General Counsel Department of the Air Force
Washington, D.C. 20330

Office of the Secretary of the Air Force
Director, Legislative Liaison
Washington, D.C. 20330

Office of the Secretary of the Air Force
Director, Office of Information
Washington, D.C. 20330

Office of the Secretary of the Air Force
Director, Office of Space Systems
Washington, D.C. 20330

Chief of Staff
United States Air Force
Washington, D.C. 20330

Vice Chief of Staff
United States Air Force
Washington, D.C. 20330

Assistant Vice Chief of Staff
United States Air Force
Washington, D.C. 20330

USAF Scientific Advisory Board
United States Air Force
Washington, D.C. 20330

Chief Scientist
United States Air Force
Washington, D.C. 20330

Surgeon General
United States Air Force
Washington, D.C. 20330

Inspector General of the Air Force
Washington, D.C. 20330

The Judge Advocate General
United States Air Force
Washington, D.C. 20330

Assistant Chief of Staff, Intelligence
United States Air Force
Washington, D.C. 20330

Chief, National Guard Bureau
Washington, D.C. 20330

Chief, Air Force Reserve
Washington, D.C. 20330

Assistant Chief of Staff, Studies and Analysis
United States Air Force
Washington, D.C. 20330

Chief of Chaplains
United States Air Force
Washington, D.C. 20330

Director of Administration
United States Air Force
Washington, D.C. 20330

Comptroller of the Air Force
Washington, D.C. 20330

Assistant Chief of Staff, Communications and Computer Resources
United States Air Force
Washington, D.C. 20330

Chief, Office of Air Force History
United States Air Force
Washington, D.C. 20330

Chief, Security Police
United States Air Force
Washington, D.C. 20330

Deputy Chief of Staff, Personnel
United States Air Force
Washington, D.C. 20330

Deputy Chief of Staff, Programs and Evaluation
United States Air Force
Washington, D.C. 20330

Deputy Chief of Staff, Operations Plans and Readiness
United States Air Force
Washington, D.C. 20330

Deputy Chief of Staff, Research, Development & Acquisition
United States Air Force
Washington, D.C. 20330

Deputy Chief of Staff, Logistics and Engineering
United States Air Force
Washington, D.C. 20330

OFFICE OF THE SECRETARY OF THE AIR FORCE
and
HEADQUARTERS UNITED STATES AIR FORCE
(Located Outside the Washington, DC area)

Assistant DCS/Personnel - Military Personnel
Randolph Air Force Base, TX 78148

Auditor General
Norton Air Force Base, CA 92409

Deputy Inspector General for Inspection & Safety
Norton Air Force Base, CA 92409

Director of Accounting & Finance
Denver, CO 80279

MAJOR COMMANDS AND SEPARATE OPERATING AGENCIES

Commander-in-Chief
Aerospace Defense Command
Peterson Air Force Base, CO 80914

Air Force Accounting and Finance Center
Denver, CO 80279

Air Force Audit Agency
Norton Air Force Base, CA 92409

Air Force Combat Operations Staff
The Pentagon
Washington DC 20330

Air Force Communications Service
Scott Air Force Base, IL 62225

Air Force Commissary Service
Kelly Air Force Base, TX 78241

Air Force Engineering and Services Center
Kelly Air Force Base, TX 78241

Air Force Inspection and Safety Center
Norton Air Force Base, CA 92409

Air Force Inspector General Activities Center
Kirtland Air Force Base, NM 87117

Air Force Intelligence Service
Bolling Air Force Base, DC 20332

Air Force Logistics Command
Wright-Patterson Air Force Base, OH 45433

Air Force Management Engineering Agency
Randolph Air Force Base, TX 78148

Air Force Manpower and Personnel Center
Randolph Air Force Base, TX 78148

Air Force Medical Service Center
Brooks Air Force Base, TX 78235

Air Force Office of Special Investigations
Washington, DC 20314

Air Force Reserve
Robins Air Force Base, GA 31098

Air Force Service Information and News Center
Kelly Air Force Base, TX 78241

Air Force Systems Command
Andrews Air Force Base, DC 20334

Air Force Test and Evaluation Center
Kirtland Air Force Base, NM 87117

Air National Guard Support Center
Andrews Air Force Base, MD 20334

Air Reserve Personnel Center
Denver, CO 80280

Air Training Command
Randolph Air Force Base, TX 78148

Air University
Maxwell Air Force Base, AL 36112

Alaskan Air Command Elmendorf AFB AK 99506

Commander-in-Chief
United States Air Forces Europe
APO New York 09012

Commander-in-Chief
Pacific Air Forces Hickam AFB HI 96853

Commander-in-Chief
Strategic Air Command
Offutt Air Force Base, NE 68113

Commander-in-Chief
Military Airlift Command
Scott Air Force Base, IL 62225

Tactical Air Command
Langley Air Force Base, VA 23665

United States Air Force Academy
USAF Academy, CO 80840

United States Air Force Security Service
San Antonio, TX 78243

AIR FORCE OFFICE OF SPECIAL INVESTIGATIONS
(Districts and Detachments)

Air Force Office of Special Investigations
Washington DC 20314

AFOSI District 1
Pease Air Force Base, NH 03801

AFOSI Detachment 102
Hanscom Air Force Base, MA 01731

AFOSI Detachment 106
Loring Air Force Base, ME 04751

AFOSI Detachment 109
Griffiss Air Force Base, NY 13441

AFOSI Detachment 110
Hancock Field, NY 13225

AFOSI Detachment 111
Plattsburgh Air Force Base, NY 12903

AFOSI Detachment 112
Westover AFB MA 01022

AFOSI District 4
Andrews Air Force Base, DC 20331

AFOSI Detachment 403
Dover Air Force Base, DE 19901

AFOSI Detachment 404
APO New York 09406

AFOSI Detachment 411
Bolling Air Force Base, DC 20332

AFOSI Detachment 412
26 Federal Plaza, Room 1759
New York, NY 10007

AFOSI Detachment 413
McGuire Air Force Base, NJ 08641

AFOSI Detachment 414
Ft George G. Meade MD 20755

AFOSI District 5
Wright-Patterson Air Force Base, OH 45433

AFOSI Detachment 503
Rickenbacker Air Force Base, OH 43217

AFOSI Detachment 507
Selfridge Air National Guard Base, MI 48045

AFOSI Detachment 509
Wurtsmith Air Force Base, MI 48753

AFOSI Detachment 512
K I Sawyer Air Force Base, MI 49843

AFOSI District 7
Patrick Air Force Base, FL 32925

AFOSI Detachment 707
Homestead Air Force Base, FL 33039

AFOSI Detachment 709
MacDill Air Force Base, FL 33608

AFOSI Detachment 710
Eglin Air Force Base, FL 32542

AFOSI Detachment 711
Tyndall Air Force Base, FL 32403

AFOSI Detachment 712
Robins Air Force Base, GA 31098

AFOSI Detachment 716
Eglin Air Force Auxiliary Field 9, FL 32544

AFOSI Detachment 717
Moody Air Force Base, GA 31601

AFOSI District 8
Maxwell Air Force Base, AL 36112

AFOSI Detachment 810
England Air Force Base, LA 71301

AFOSI Detachment 811
Columbus Air Force Base, MS 39701

AFOSI Detachment 812
Keesler Air Force Base, MS 39534

AFOSI Detachment 813
Little Rock Air Force Base, AR 72076

AFOSI Detachment 814
Blytheville Air Force Base, AR 72315

AFOSI Detachment 815
Barksdale Air Force Base, LA 71110

AFOSI District 10
San Antonio Air Force Station,
Box 8678, Wainwright
San Antonio TX 78208

AFOSI Detachment 1001
Bergstrom Air Force Base, TX 78743

AFOSI Detachment 1008
Goodfellow Air Force Base, TX 76901

AFOSI Detachment 1012
Lackland Air Force Base, TX 78236

AFOSI Detachment 1014
Laughlin Air Force Base, TX 78840

AFOSI Detachment 1015
Randolph Air Force Base, TX 78148

AFOSI Detachment 1016
Kelly Air Force Base, TX 78241

AFOSI Detachment 1018
Brooks Air Force Base, TX 78235

AFOSI District 11
Tinker Air Force Base, OK 73145

AFOSI Detachment 1101
Altus Air Force Base, OK 73521

AFOSI Detachment 1108
Carswell Air Force Base, TX 76127

AFOSI Detachment 1110
Dyess Air Force Base, TX 79607

AFOSI Detachment 1114
Sheppard Air Force Base, TX 76311

AFOSI Detachment 1117
Reese Air Force Base, TX 79489

AFOSI District 12
Chanute Air Force Base, IL 61868

AFOSI Detachment 1202
Grissom Air Force Base, IN 46971

AFOSI Detachment 1203
Scott Air Force Base, IL 62225

AFOSI Detachment 1205
Richards-Gebaur Air Force Base, MO 64040

AFOSI Detachment 1206
Whiteman Air Force Base, MO 65305

AFOSI Detachment 1207
OHare International Airport, IL 60666

AFOSI Detachment 1211
Duluth International Airport, MN 55814

AFOSI District 13
Offutt Air Force Base, NE 68113

AFOSI Detachment 1302
Ellsworth Air Force Base, SD 57706

AFOSI Detachment 1306
Bldg 1218
McConnell Air Force Base, KS 67221

AFOSI Detachment 1312
Minot Air Force Base, ND 58705

AFOSI Detachment 1313
Grand Forks Air Force Base, ND 58205

AFOSI District 14
Lowry Air Force Base, CO 80230

AFOSI Detachment 1401
Peterson Air Force Base, CO 80914

AFOSI Detachment 1402
F E Warren Air Force Base, WY 82001

AFOSI Detachment 1404
Hill Air Force Base, UT 84406

AFOSI Detachment 1405
USAF Academy, CO 80840

AFOSI District 17
Kirtland Air Force Base, NM 87117

AFOSI Detachment 1702
PO Box 609
Main Post Office
Clovis, NM 88101

AFOSI Detachment 1703
PO Box 15003
Tucson, AZ 85708

AFOSI Detachment 1704
PO Box 548
Holloman Air Force Base, NM 88330

AFOSI Detachment 1705
Luke Air Force Base, AZ 85309

AFOSI Detachment 1707
Williams Air Force Base, AZ 85224

AFOSI District 18
Norton Air Force Base, CA 92409

AFOSI Detachment 1801
Edwards Air Force Base, CA 93523

AFOSI Detachment 1802
George Air Force Base, CA 92392

AFOSI Detachment 1803
March Air Force Base, CA 92508

AFOSI Detachment 1810
Vandenberg Air Force Base, CA 93437

AFOSI Detachment 1811
PO Box 92960
Worldway Postal Center
Los Angeles, CA 90009

AFOSI Detachment 1812
Nellis Air Force Base, NV 89191

AFOSI District 19
Travis Air Force Base, CA 94535

AFOSI Detachment 1901
Beale Air Force Base, CA 95903

AFOSI Detachment 1902
Castle Air Force Base, CA 95342

AFOSI Detachment 1904
Mather Air Force Base, CA 95655

AFOSI Detachment 1905
McClellan Air Force Base, CA 95652

AFOSI Detachment 1910
Treasure Island, CA 94130

AFOSI District 20
McChord Air Force Base, WA 98438

AFOSI Detachment 2001
Fairchild Air Force Base, WA 99011

AFOSI Detachment 2006
Malmstrom Air Force Base, MT 59402

AFOSI Detachment 2007
Mt Home Air Force Base, ID 83648

AFOSI Detachment 2009
Kingsley Field, OR 97601

AFOSI District 21
Langley Air Force Base, VA 23665

AFOSI Detachment 2101
Pope Air Force Base, NC 28308

AFOSI Detachment 2102
Shaw Air Force Base, SC 29152

AFOSI Detachment 2103
Charleston Air Force Base, SC 29404

AFOSI Detachment 2104
Seymour Johnson Air Force Base, NC 27531

AFOSI Detachment 2105
Myrtle Beach Air Force Base, SC 29577

AFOSI District 30
APO New York 09020

AFOSI District 41
APO San Francisco 96334

AFOSI District 42
APO San Francisco 96274

AFOSI Detachment 4201
APO San Francisco 96528

V 44 DE 17 79 UMI

AFOSI District 43
APO San Francisco 96239

AFOSI District 44 Hickam AFB HI 96853

AFOSI District 45
APO San Francisco 96301

AFOSI Detachment 4502
APO San Francisco 96264

AFOSI Detachment 4506
APO San Francisco 96570

AFOSI District 46
APO San Francisco 96328

AFOSI Detachment 4606
APO San Francisco 96519

AFOSI District 62
APO New York 09120

AFOSI Detachment 6201
PO Box 42
FPO New York 09510

AFOSI Detachment 6202
APO New York 09179

AFOSI Detachment 6203
APO New York 09194

AFOSI Detachment 6204
APO New York 09238

AFOSI Detachment 6205
APO New York 09755

AFOSI Detachment 6206
APO New York 09193

AFOSI Detachment 6207
APO New York 09127

AFOSI District 65
APO New York 09794

AFOSI Detachment 6501
APO New York 09293

AFOSI Detachment 6502
APO New York 09240

AFOSI Detachment 6505
APO New York 09794

AFOSI Detachment 6506
FPO New York 09520

AFOSI District 68
APO New York 09283

AFOSI Detachment 6801
APO New York 09286

AFOSI Detachment 6802
APO New York 09406

AFOSI District 70
APO New York 09332

AFOSI Detachment 7010
APO New York 09057

AFOSI Detachment 7011
APO New York 09132

AFOSI Detachment 7013
APO New York 09154

AFOSI Detachment 7014
APO New York 09109

AFOSI Detachment 7024
APO New York 09012

AFOSI Detachment 7028
APO New York 09611

AFOSI Detachment 7029
Box 245
APO New York 09080

AFOSI Detachment 7030
APO New York 09292

AFOSI Detachment 7031
APO New York 09860

AFOSI Detachment 7032
APO New York 09130

AFOSI Detachment 7033
APO New York 09123

AFOSI Detachment 7034
APO New York 09669

AFOSI District 71
APO New York 09223

AFOSI Detachment 7101
APO New York 09291

AFOSI District 72
PO Box 2200
APO New York 09205

AFOSI Detachment 7201
PO Box 2200
APO New York 09205

AFOSI District 81
APO Seattle 98742

AFOSI Detachment 8101
APO Seattle 98737

AIR FORCE RESERVE OFFICERS TRAINING CORPS UNITS

HQ, Air Force Reserve Officers Training Corps
Maxwell Air Force Base AL, 36112

AFROTC Detachment 5
Auburn University
Auburn, AL 36830

AFROTC Detachment 10
University of Alabama
University, AL 35486

AFROTC Detachment 12
Samford University
Birmingham, AL 35209

AFROTC Detachment 15
Tuskegee Institute
Tuskegee, AL 36088

AFROTC Detachment 17
Troy State University
Troy, AL 36081

AFROTC Detachment 19
Alabama State University
Montgomery, AL 36101

AFROTC Detachment 20
University of Arizona
Tucson, AZ 85721

AFROTC Detachment 25
Arizona State University
Tempe, AZ 85281

AFROTC Detachment 27
Northern Arizona University
Flagstaf, AZ 86001

AFROTC Detachment 30
University of Arkansas
Fayetteville, AR 72701

AFROTC Detachment 35
California State University Fresno
Fresno, CA 93710

AFROTC Detachment 40
Loyola University of Los Angeles
Los Angeles, CA 90045

AFROTC Detachment 45
California State University San Jose
San Jose, CA 95114

AFROTC Detachment 55
University of California at Los Angeles
Los Angeles, CA 90024

AFROTC Detachment 60
University of Southern Calif
Los Angeles, CA 90007

AFROTC Detachment 75
California State University San Diego
San Diego, CA 92115

AFROTC Detachment 80
California State University San Francisco
San Francisco, CA 94132

AFROTC Detachment 85
University of California
Berkeley, CA 94720

AFROTC Detachment 90
Colorado State University
Ft Collins, CO 80521

AFROTC Detachment 100
University of Northern Colorado
Greeley, CO 80631

AFROTC Detachment 105
University of Colorado
Boulder, CO 80302

AFROTC Detachment 115
University of Connecticut
Storrs, CT 06268

AFROTC Detachment 130
Howard University
Wash, DC 20001

AFROTC Detachment 145
Florida State University
Tallahassee, FL 32306

AFROTC Detachment 150
University of Florida
Gainesville, FL 32601

AFROTC Detachment 155
University of Miami
Coral Gables, FL 33124

AFROTC Detachment 157
Embry-Riddle Aeronautical University
Daytona Beach, FL 32015

AFROTC Detachment 159
Florida Technological University
Orlando, FL 32816

AFROTC Detachment 160
University of Georgia
Athens, GA 30601

AFROTC Detachment 165
Georgia Institute of Technology
Atlanta, GA 30332

AFROTC Detachment 172
Valdosta State College
Valdosta, GA 31601

AFROTC Detachment 175
University of Hawaii
Honolulu, HI 96822

AFROTC Detachment 190
University of Illinois
Champaign, IL 61820

AFROTC Detachment 195
Illinois Institute of Technology
Chicago, IL 60616

AFROTC Detachment 205
Southern Illinois University
Carbondale, IL 62901

AFROTC Detachment 206
Southern Illinois University at Edwardsville
Edwardsville, IL 62025

AFROTC Detachment 207
Parks College of St Louis
Cahokia, IL 62206

AFROTC Detachment 215
Indiana University
Bloomington, IN 47401

AFROTC Detachment 220
Purdue University
Lafayette, IN 47906

AFROTC Detachment 225
University of Notre Dame
Notre, Dame IN 46556

AFROTC Detachment 240
University of Evansville
Evansville, IN 47704

AFROTC Detachment 250
Iowa State University
Ames, IA 50010

AFROTC Detachment 255
State University of Iowa
Iowa City, IA 52240

AFROTC Detachment 270
Kansas State University
Manhattan, KS 66504

AFROTC Detachment 280
University of Kansas
Lawrence, KS 66044

AFROTC Detachment 285
Washburn University of Topeka
Topeka, KS 66621

AFROTC Detachment 290
University of Kentucky
Lexington, KY 40506

AFROTC Detachment 295
University of Louisville
Louisville, KY 40208

AFROTC Detachment 305
Louisiana Polytechnic Institute
Ruston, LA 71270

AFROTC Detachment 310
Louisiana State University & A&M College
Baton Rouge, LA 70803

AFROTC Detachment 311
Grambling College
Grambling, LA 71245

AFROTC Detachment 315
University of Southwestern Louisiana
Lafayette, LA 70501

AFROTC Detachment 320
Tulane University
New Orleans, LA 70118

AFROTC Detachment 330
University of Maryland
College Park, MD 20742

AFROTC Detachment 330A
University of Maryland, Eastern Shore
Prince Anne, MD 21853

AFROTC Detachment 340
College of the Holy Cross
Worcester, MA 01610

AFROTC Detachment 345
Lowell Technological Institute
Lowell, MA 01854

AFROTC Detachment 365
Massachusetts Institute of Technology
Cambridge, MA 02139

AFROTC Detachment 370
University of Massachusetts
Amherst, MA 01002

AFROTC Detachment 380
Michigan State University
East Lansing, MI 48823

AFROTC Detachment 390
University of Michigan
Ann Arbor, MI 48104

AFROTC Detachment 400
Michigan Technological University
Houghton, MI 49931

AFROTC Detachment 410
College of St Thomas
St Paul, MN 55101

AFROTC Detachment 415
University of Minnesota
Minneapolis, MN 55455

AFROTC Detachment 420
University of Minnesota
Duluth, MN 55812

AFROTC Detachment 425
Mississippi State University
State College, MS 39762

AFROTC Detachment 430
University of Mississippi
University MS 38677

AFROTC Detachment 432
University of Southern Mississippi
Hattisburg, MS 39401

AFROTC Detachment 434
Mississippi Valley State College
Itta Bena, MS 38941

AFROTC Detachment 437
Southeast Missouri State College
Cape Girardeau, MO 63701

AFROTC Detachment 440
University of Missouri
Columbia, MO 65201

AFROTC Detachment 450
Montana State University
Bozeman, MT 59715

AFROTC Detachment 465
University of Nebraska
Lincoln, NE 68508

AFROTC Detachment 470
University of Nebraska at Omaha
Omaha, NE 68101

AFROTC Detachment 475
University of New Hampshire
Durham, NH 03824

AFROTC Detachment 485
Rutgers The State University
New Brunswick, NJ 08903

AFROTC Detachment 490
Newark College of Engineering
Newark, NJ 07102

AFROTC Detachment 495
Stevens Institute of Technology
Hoboken, NJ 07030

AFROTC Detachment 505
New Mexico State University
Las Cruces, NM 88001

AFROTC Detachment 510
University of New Mexico
Albuquerque, NM 87106

AFROTC Detachment 520
Cornell University
Ithaca, NY 14850

AFROTC Detachment 535
Syracuse University
Syracuse, NY 13210

AFROTC Detachment 550
Rensselaer Polytechnic Institute
Troy, NY 12181

AFROTC Detachment 560
Manhattan College
Bronx, NY 10471

AFROTC Detachment 585
Duke University
Durham, NC 27706

AFROTC Detachment 590
University of North Carolina
Chapel Hill, NC 27514

AFROTC Detachment 595
North Carolina State University
Raleigh, NC 27606

AFROTC Detachment 600
East Carolina University, PO Box 2766
Greenville, NC 27834

AFROTC Detachment 605
North Carolina A & T State University
Greensboro, NC 27411

AFROTC Detachment 607
Fayetteville State University
Fayetteville, NC 28301

AFROTC Detachment 610
North Dakota State University of A & AS
Fargo, ND 58103

AFROTC Detachment 615
University of North Dakota
Grand Forks, ND 58201

AFROTC Detachment 620
Bowling Green State University
Bowling, Green OH 43402

AFROTC Detachment 630
Kent State University
Kent, OH 44240

AFROTC Detachment 640
Miami University
Oxford, OH 45056

AFROTC Detachment 645
Ohio State University
Columbus, OH 43210

AFROTC Detachment 646
Capital University
Columbus, OH 43209

V 44 DE 17 79 UMI

AFROTC Detachment 650
Ohio University
Athens, OH 45701

AFROTC Detachment 660
University of Akron
Akron, OH 44304

AFROTC Detachment 665
University of Cincinnati
Cincinnati, OH 45221

AFROTC Detachment 670
Oklahoma State University
Stillwater, OK 74074

AFROTC Detachment 675
University of Oklahoma
Norman, OK 73069

AFROTC Detachment 685
Oregon State University
Corvallis, OR 97331

AFROTC Detachment 690
University of Oregon
Eugene, OR 97403

AFROTC Detachment 695
University of Portland
Portland, OR 97203

AFROTC Detachment 715
Lehigh University
Bethlehem, PA 18015

AFROTC Detachment 720
Pennsylvania State University
University Park, PA 16802

AFROTC Detachment 730
University of Pittsburgh
Pittsburgh, PA 15213

AFROTC Detachment 745
Grove City College
Grove City, PA 16127

AFROTC Detachment 752
Wilkes College
Wilkes Barre, PA 18703

AFROTC Detachment 755
University of Puerto Rico
Rio Piedras, PR 00931

AFROTC Detachment 756
University of Puerto Rico
Mayaguez, PR 00708

AFROTC Detachment 765
The Citadel
Charleston, SC 29409

AFROTC Detachment 770
Clemson University
Clemson, SC 29631

AFROTC Detachment 772
Baptist College at Charleston
Charleston, SC 29411

AFROTC Detachment 775
University of South Carolina
Columbia, SC 29208

AFROTC Detachment 780
South Dakota State University
Brookings, SD 57006

AFROTC Detachment 785
Memphis State University
Memphis, TN 38111

AFROTC Detachment 790
Tennessee Agricultural &
Industrial State University
Nashville, TN 37203

AFROTC Detachment 800
University of Tennessee
Knoxville, TN 37916

AFROTC Detachment 805
Texas A&M University
College Stn, TX 77840

AFROTC Detachment 810
Baylor University
Waco, TX 76703

AFROTC Detachment 820
Texas Technological College
Lubbock, TX 79409

AFROTC Detachment 825
University of Texas
Austin, TX 78712

AFROTC Detachment 830

East Texas State College
Commerce, TX 75429

AFROTC Detachment 835
North Texas State College
Denton, TX 76203

AFROTC Detachment 837
Pan American University
Edinburg, TX 78539

AFROTC Detachment 840
Southwest Texas State College
San Marcos, TX 78666

AFROTC Detachment 842
Lamar State University of Technology
Beaumont, TX 77710

AFROTC Detachment 845
Texas Christian University
Ft Worth, TX 76129

AFROTC Detachment 847
Angelo State University
San Angelo, TX 76901

AFROTC Detachment 850
University of Utah
Salt Lake, City UT 84112

AFROTC Detachment 855
Brigham Young University
Provo, UT 84601

AFROTC Detachment 860
Utah State University
Logan, UT 84321

AFROTC Detachment 862
Southern Utah State College
Cedar City, UT 84720

AFROTC Detachment 865
St Michael's College
Winooski, VT 05404

AFROTC Detachment 867
Norwich University
Northfield, VT 05663

AFROTC Detachment 875
Virginia Polytechnic Institute
Blacksburg, VA 24061

AFROTC Detachment 880
Virginia Military Institute
Lexington, VA 24450

AFROTC Detachment 890
University of Virginia
Charlottesville, VA 22903

AFROTC Detachment 895
Central Washington State College
Ellensburg, WA 98926

AFROTC Detachment 900
University of Puget Sound
Tacoma, WA 98416

AFROTC Detachment 905
Washington State University
Pullman, WA 99163

AFROTC Detachment 910
University of Washington
Seattle, WA 98105

AFROTC Detachment 915
West Virginia University
Morgantown, WV 26506

AFROTC Detachment 925
University of Wisconsin
Madison, WI 53706

AFROTC Detachment 930
Wisconsin State College
Superior, WI 54880

AFROTC Detachment 940
University of Wyoming
Laramie, WY 82070

AIR NATIONAL GUARD STATE HEADQUARTERS

Headquarters, Alabama Air National Guard
PO Box 1311
Montgomery, AL 36102

Headquarters, Alaska Air National Guard
610 MacKay Bldg, 338 Denali Street
Anchorage, AK 99501

Headquarters, Arizona Air National Guard
5636 E McDowell Rd
Phoenix, AZ 85008

Headquarters, Arkansas Air National Guard
Little Rock Air Force Base, AR 72076

Headquarters, California Air National Guard
PO Box 214405
Sacramento, CA 95821

Headquarters, Colorado Air National Guard
Buckley Air National Guard Base
Aurora, CO 80010

Headquarters, Connecticut Air National Guard
Bradley Field
Windsor Locks, CT 06096

Headquarters, Delaware Air National Guard
Greater Wilmington Airport
New Castle, DE 19720

Headquarters, District of Columbia Air National Guard
2001 E Capitol Street
National Guard Armory
Washington, DC 20003

Headquarters, Florida Air National Guard
State Arsenal
St Augustine, FL 32084

Headquarters, Georgia Air National Guard
PO Box 4839
Atlanta, GA 30302

Headquarters, Hawaii Air National Guard
Ft Ruger
Honolulu, HI 96816

State of Idaho
Military Division
Headquarters, Idaho Air National Guard
PO Box 45
Boise, ID 83707

Headquarters, Illinois Air National Guard
PO Box 66486
Chicago-O'Hare International Airport, IL 60666

Headquarters, Indiana Air National Guard
Stout Field
Indianapolis, IN 46241

Headquarters, Iowa Air National Guard
PO Box 616
Des Moines, IA 50303

Headquarters, Kansas Air National Guard
535 Kansas Avenue
Topeka, KS 66603

Headquarters, Kentucky Air National Guard
Boone Center
Frankfort, KY 40601

Headquarters, Louisiana Air National Guard
Jackson Barracks
New Orleans, LA 70146

Headquarters, Maine Air National Guard
Camp Keyes
Augusta, ME 04330

Headquarters, Maryland Air National Guard
Fifth Regiment Armory
Baltimore, MD 21201

Headquarters, Massachusetts Air National Guard
Otis Air Force Base, MA 02542

Headquarters, Michigan Air National Guard
PO Box 210
Lansing, MI 48901

Headquarters, Minnesota Air National Guard
State Capitol
St Paul, MN 55101

Headquarters, Mississippi Air National Guard
PO Box 5027, Fondren Station
Jackson, MS 39216

Headquarters, Missouri Air National Guard
1717 Industrial Ave
Jefferson City, MO 65101

Headquarters, Montana Air National Guard
State Arsenal
Helena, MT 59601

Headquarters, Nebraska Air National Guard
Air National Guard Base
Lincoln, NE 68524

Headquarters, Nevada Air National Guard
PO Box 1120
Carson City, NV 89701

Headquarters, New Hampshire Air National Guard
State Military Reservation
Airport Road
Concord, NH 03301

Headquarters, New Jersey Air National Guard
108 Tactical Fighter Wing
McGuire Air Force Base, NJ 08641

Headquarters, New Mexico Air National Guard
PO Box 551
Albuquerque, NM 87103

Headquarters, New York Air National Guard
Westchester Co Municipal Airport
White Plains, NY 10604

Headquarters, North Carolina Air National Guard
Douglas Municipal Airport
Charlotte, NC 28219

Headquarters, North Dakota Air National Guard
Box 1817
Bismarck, ND 58501

Headquarters, Ohio Air National Guard
PO Box 660
Worthington, OH 43085

Headquarters, Oklahoma Air National Guard
3501 Military Circle, NE
Oklahoma City, OK 73111

Headquarters, Oregon Air National Guard
Portland International Airport, OR 97218

Headquarters, Pennsylvania Air National Guard
c/o Dept of Military Affairs
Annville, PA 17003

Headquarters, Puerto Rico Air National Guard
PO Box 3786
San Juan, PR 00904

Headquarters, Rhode Island Air National Guard
Theodore F Green Municipal Airport
Warwick, RI 02886

Headquarters, South Carolina Air National Guard
McEntire Air National Guard Base
Eastover, SC 29044

Headquarters, South Dakota Air National Guard
Joe Foss Field
Sioux Falls, SD 57104

The Adjutant General, Tennessee
Attn: Air Section
National Guard Armory
Sidco Drive
Nashville, TN 37204

Headquarters, Texas Air National Guard
PO Box 5218
Austin, TX 78703

Headquarters, Utah Air National Guard
PO Box 16087
Salt Lake City, UT 84116

Headquarters, Vermont Air National Guard
Camp Johnson
Winooski, VT 05404

Headquarters, Virginia Air National Guard
Byrd Field
Sandston, VA 23150

Headquarters, Washington Air National Guard
Camp Murray
Tacoma, WA 98430

Headquarters, West Virginia Air National Guard
Kanawha Airport
Charleston, WV 25311

Headquarters, Wisconsin Air National Guard
PO Box 328
Madison, WI 53701

Headquarters, Wyoming Air National Guard
PO Box 2268
Cheyenne, WY 82001

AIR NATIONAL GUARD BASES, STATIONS, AIRPORTS, AND INSTALLATIONS

ALABAMA
Birmingham Municipal Airport, AL 35217
Martin Air National Guard Station, AL 35954
Dannelly Field, AL 36105
Hall Air National Guard Station, AL 36301

ALASKA
Kulis Air National Guard Base, AK 99502

ARIZONA
Sky Harbor Municipal Airport, AZ 85034
Tucson International Airport, AZ 85706

ARKANSAS
Ft Smith Municipal Airport, AR 72901
Little Rock Air National Guard Annex, AR 72076

CALIFORNIA
Costa Mesa Air National Guard Station, CA 92627
Fresno Air National Guard Base, CA 93727
Hayward Municipal Airport, CA 94543
Ontario International Airport, CA 91761
Van Nuys Airport, CA 91409

COLORADO
Buckley Air National Guard Base, CO 80010

CONNECTICUT
Bradley Air National Guard Base, CT 06096
Orange Air National Guard Communications Station, CT 06477

DELAWARE
Greater Wilmington Airport, DE 19720

FLORIDA
Jacksonville International Airport, FL 32229

GEORGIA
Dobbins Air National Guard Annex, GA 30060
Lewis B Wilson Airport, GA 31206
Savannah Municipal Airport, GA 31402

HAWAII
Hickam Air National Guard Annex, HI 96853

IDAHO
Boise Air Terminal, ID 83701

ILLINOIS
Capital Municipal Airport, IL 62705
Greater Peoria Airport, IL 61607

INDIANA
Ft Wayne Municipal Airport, IN 46809
Hulman Field, IN 47803
Stout Field (Air National Guard), IN 46241

IOWA
Des Moines Municipal Airport, IA 50321
Ft Dodge, IA 50501
Sioux City Municipal Airport, IA 51054

KANSAS
Forbes Air National Guard Annex, KS 66620
McConnell Air National Guard Annex, KS 67221

KENTUCKY
Standiford Field, KY 40213

LOUISIANA
Hammond Air National Guard Communications Station, LA 70401
New Orleans Air National Guard Annex, LA 70146

MAINE
Bangor International Airport, ME 04401
South Portland Air National Guard Station, ME 04106

MARYLAND
Andrews Air National Guard Annex, DC 20331
Glenn L. Martin State Airport, MD 21220

MASSACHUSETTS
Barnes Municipal Airport, MA 01085
Otis Air National Guard Annex, MA 02542
Wellesley Air National Guard Station, MA 02181
Worcester Air National Guard Station, MA 01605

MICHIGAN
Phelps/Collins Airport, MI 49707
Selfridge Air National Guard Base, MI 48045
W K Kellogg Regional Airport, MI 49016

MINNESOTA
Duluth Air National Guard Base, MN 55814

MISSISSIPPI
Allen C. Thompson Field, MS 39205
Gulfport Municipal Airport, MS 39501
Key Field, MS 39301

MISSOURI
Jefferson Barracks Air National Guard Station, St Louis, MO 63125
Lambert/St Louis Municipal Airport, MO 63145
Rosecrans Memorial Airport, MO 64503

MONTANA
Great Falls International Airport, MT 59401

NEBRASKA
Lincoln Air National Guard Annex, NE 68524

NEVADA
Reno Municipal Airport, NV 98502

NEW HAMPSHIRE
Pease Air National Guard Annex, NH 03801

NEW JERSEY
Atlantic City Airport (Air National Guard), NJ 08405
McGuire Air National Guard Annex, NJ 08641

NEW MEXICO
Kirtland Air National Guard Annex, NM 87103

NEW YORK
Roslyn Air National Guard Station, NY 11576
Schenectady Airport, NY 12301
Suffolk County Airport, NY 11978
Westchester County Municipal Airport, NY 10604

NORTH CAROLINA
Badin Air National Guard Station, NC 28009
Douglas Municipal Airport, NC 28208
Wadesboro Air National Guard Station, NC 28170

NORTH DAKOTA
Hector Field, ND 58102

OHIO
Blue Ash Air National Guard Station OH, 45242
Camp Perry Air National Guard Station,
Port Clinton, OH 43452
Mansfield Lahm Airport, OH 44901
Springfield Municipal Airport, OH 45501
Toledo Express Airport, OH 43558

OKLAHOMA
Tulsa International Airport, OK 74115
Will Rogers World Airport, OK 73159

OREGON
Portland International Airport, OR 97218

PENNSYLVANIA
Greater Pittsburgh Air National Guard Base, PA 15231
Harrisburg International Airport (Air National Guard),
Middletown, PA 17057
Willow Grove Air National Guard Annex, PA 19090

PUERTO RICO
Puerto Rico International Airport (Air National Guard),
San Juan, PR 00904

RHODE ISLAND
Cranston Air National Guard Station, RI 02910
Theodore F Green Municipal Airport, RI 02886

SOUTH CAROLINA
McEntire Air National Guard Base, SC 29044

SOUTH DAKOTA
Joe Foss Field, SD 57104

TENNESSEE
Alcoa Air National Guard Station, TN 37701
Lovell Field, TN 37421
McGhee Tyson Airport, TN 37901
Memphis Metropolitan Airport, TN 38118
Nashville Metropolitan Airport, TN 37217

TEXAS
Ellington Air Force Base, TX 77030
Garland Air National Guard Station, TX 75040
Hensley Field Airport, Dallas, TX 75211
Kelly Air National Guard Annex, TX 78241
La Porte Air National Guard Station, TX 77571
Nederland Air National Guard Station, TX 77627

UTAH
Salt Lake City International Airport, UT 84116

VERMONT
Burlington International Airport, VT 05401

VIRGINIA
Byrd Field, VA 23150

WASHINGTON
Bellingham Municipal Airport, WA 98225
Camp Murray Army Installation, WA 98430
Four Lakes Communication Station, WA 99004
Seattle Air National Guard Base, WA 98108
Spokane Air National Guard Annex, WA 98219

WEST VIRGINIA
Eastern West Virginia Regional Airport, WV 25401
Kanawha County Airport, WV 25311

WISCONSIN
General Mitchell Air National Guard Base, WI 53207
Truax Field, WI 53701
Volk Field Air National Guard Base, WI 54618

WYOMING
Cheyenne Municipal Airport, WY 82001

AIR UNIVERSITY ACTIVITIES AND SCHOOLS

Air Force Advisory Group
Medical Field Service School
Fort Sam Houston, TX 78234

Air Force Liaison Officer
US Military Academy
West Point, NY 10996

Air Force Representative
US Marine Corps Educational Center
US Marine Corps Schools
Quantico, VA 22134

Air Force Representative
US Naval Academy
Annapolis, MD 21402

Air University Review
Maxwell Air Force Base, AL 36112

Detachment 12 3825 Support Group (Academy)
Armed Forces Staff College
Norfolk, VA 23511

Senior Air Force Representative
US Army Air Defense School
Box 9188
Fort Bliss, TX 79906

Senior Air Force Representative
Command & Staff Department
US Army Armor School
Fort Knox, KY 40121

Senior Air Force Representative
US Army Artillery & Missile School
Fort Sill, OK 73504

Senior Air Force Representative
US Army CBR Weapons
Orientation Course
Dugway, UT 84022

Senior Air Force Representative
US Army Chemical Corps School
Fort McClellan, AL 36205

Senior Air Force Representative
US Army Command & General Staff College
Fort Leavenworth, KS 66027

Senior Air Force Representative
US Army Engineer School
Fort Belvoir, VA 22060

Senior Air Force Representative
US Army Infantry School
Fort Benning, GA 31905

Senior Air Force Representative
Joint Services Liaison Office
US Army Intelligence Center & School
Fort Huachuca, AZ 85613

Senior Air Force Representative
US Army JFK Center for Special Warfare (Airborne)
Ft Bragg, NC 28307

Senior Air Force Representative
US Army Logistics Management Center
Ft Lee, VA 23801

Senior Air Force Representative
US Army Quartermaster School
Fort Lee, VA 23801

Senior Air Force Representative
Officers Section
US Army Signal School
Fort Monmouth, NJ 07703

Senior Air Force Representative
US Army Transportation School
Fort Eustis, VA 23606

Senior Air Force Representative
US Army War College
Carlisle Barracks, PA 17013

Senior Air Force Representative
Industrial College of the Armed Forces
Fort McNair
Washington, DC 20315

Senior Air Force Representative
The National War College
Washington, DC 20315

Senior Air Force Advisor
US Naval War College
Newport, RI 02844

Senior Air Force Representative
Naval Amphibious School
US Naval Amphibious Base
Coronado San Diego, CA 92155

Senior Air Force Representative Code 6408
Navy Management Systems Center
Naval Post Graduate School
Monterey, CA 93940

Academic Instructor & Foreign Officer School
Maxwell Air Force Base, AL 36112

Air Force Chaplain School
Maxwell Air Force Base, AL 36112

Air Force Judge Advocate General School
Maxwell AFB AL 36112

Air Command & Staff College
Maxwell Air Force Base, AL 36112

Air Force Institute of Technology
Wright-Patterson Air Force Base, OH 45433

Air University Library
Maxwell Air Force Base, AL 36112

Air War College
Maxwell Air Force Base, AL 36112

Civil Engineering School
Wright-Patterson Air Force Base, OH 45433

Extension Course Institute
Gunter Air Force Station, AL 36118

School of Systems & Logistics
Wright-Patterson Air Force Base, OH 45433

Squadron Officers School
Maxwell Air Force Base, AL 36112

USAF Senior Non-Commissioned Officer Academy
Gunter Air Force Station, AL 36114

AREAS

European Communications Area
APO New York 09012

Northern Communications Area
Griffiss Air Force Base, New York 13441

V 44 D E 17 7 9 UMI

Pacific Communications Area Hickam AFB HI 96853

Royal Air Force Welford Ammo Storage Area
APO New York 09607

Southern Communications Area
Oklahoma City Air Force Station, OK 73145

Strategic Communications Area
Offutt AFB NE 68113

Tactical Communications Area
Langley Air Force Base, VA 23665

CENTERS

Aerospace Defense Command Combat Operations Center
Cheyenne Mountain Complex, CO 80914

Aerospace Guidance Meteorology Center
Newark Air Force Station, OH 43055

Air Force Systems Command
Scientific & Technical Liaison Office
Ames Research Center (NASA)
Moffett Field, CA 94035

Air Force Systems Command
Scientific & Technical Liaison Office
Langley Research Center (NASA)
Langley Air Force Base, VA 23665

Air Force Systems Command
Scientific & Technical Liaison Office
Lewis Research Center (NASA)
21000 Brookpark Road
Cleveland, OH 44135

Air Force Systems Command
Scientific & Technical Liaison Office
Naval Weapons Center
China Lake, CA 93555

Air Force Systems Command
Scientific & Technical Liaison Office
Royal Trust Tower - Suite 2607
Post Office Box 348
Toronto, Ontario, Canada
M5K 1K7

Air Defense Weapons Center
Tyndall Air Force Base, FL 32403

Air Force Civil Engineering Center
Tyndall Air Force Base, FL 32401

Air Force Communications Security Center
San Antonio, TX 78243

Air Force Contract Maintenance Center
Wright-Patterson Air Force Base, OH 45433

Air Force Data Services Center
Washington, DC 20330

Air Force Data Systems Design Center
Gunter Air Force Station, AL 36114

Air Force Electronic Warfare Center
San Antonio TX 78243

Air Force Flight Test Center
Edwards Air Force Base, CA 93523

Air Force Logistics Management Center
Maxwell AFB, AL 36112

Air Force Military Training Center
Lackland Air Force Base, TX 78236

Air Force Technical Applications Center
Patrick Air Force Base, FL 32925

Albert F Simpson Historical Research Center
Maxwell Air Force Base, AL 36112

Armament Development & Test Center
Eglin Air Force Base, FL 32542

Arnold Engineering Development Center
Arnold Air Force Station, TN 37389

Automated Weather Network Management Center
Carswell AFB, TX 76127

Chanute Technical Training Center
Chanute Air Force Base, IL 61868

Communications Computer Programming Center
Tinker Air Force Base, OK 73145

Federal Computer Performance Evaluation & Simulation Center
Washington, DC 20330

Keesler Technical Training Center
Keesler Air Force Base, MS 39534

Leadership & Management Development Center
Maxwell Air Force Base, AL 36112

Lowry Technical Training Center
Lowry Air Force Base, CO 80230

Military Aircraft Storage & Disposition Center
Davis-Monthan Air Force Base, AZ 85707

National Personnel Records Center/Civilian Personnel Records-Air Force
111 Winnebago St
St Louis, MO 63118

National Personnel Records Center/Military Personnel Records-Air Force
9700 Page Blvd
St Louis, MO 63132

Ogden Air Logistics Center
Hill Air Force Base, UT 84406

Oklahoma City Air Logistics Center
Tinker Air Force Base, OK 73145

Rome Air Development Center
Griffiss Air Force Base, NY 13441

Sacramento Air Logistics Center
McClellan Air Force Base, CA 95652

San Antonio Air Logistics Center
Kelly Air Force Base, TX 78241

San Antonio Procurement Center
Kelly Air Force Base, TX 78241

Sheppard Technical Training Center
Sheppard Air Force Base, TX 76311

Space and Missile Test Center
Vandenberg Air Force Base, CA 93437

USAF Airlift Center
Pope AFB, NC 28308

USAF Environmental Technical Applications Center
Scott Air Force Base, IL 62225

USAF Home Town News Center
Tinker Air Force Base, OK 73145

USAF Instrument Flight Center
Randolph Air Force Base, TX 78148

USAF Occupational Measurement Center
Lackland Training Annex, TX 78236

USAF Skill Center
Kirtland Air Force Base, NM 87115

USAF Tactical Air Warfare Center
Eglin Air Force Base, FL 32542

USAF Tactical Fighter Weapons Center
Nellis Air Force Base, NV 89191

USAFE Procurement Center
APO New York 09332

Warner Robins Air Logistics Center
Robins Air Force Base, GA 31098

LABORATORIES

Air Force Aero-Propulsion Laboratory
Wright-Patterson Air Force Base, OH 45433

Air Force Armament Laboratory
Eglin Air Force Base, FL 32542

Air Force Avionics Laboratory
Wright-Patterson Air Force Base, OH 45433

Air Force Flight Dynamics Laboratory
Wright-Patterson Air Force Base, OH 45433

Air Force Geophysics Laboratories
Hanscom Air Force Base, MA 01731

Air Force Human Resources Laboratory
Brooks Air Force Base, TX 78235

Air Force Materials Laboratory
Wright-Patterson Air Force Base, OH 45433

Air Force Rocket Propulsion Laboratory
Edwards Air Force Base, CA 93523

Air Force Weapons Laboratory
Kirtland Air Force Base, NM 87117

Air Force Wright Aeronautical Laboratories
Wright-Patterson Air Force Base, OH 45433

Alaskan Precision Measurement Equipment Laboratory
APO Seattle 98742

Operations Training Support Laboratory
Carswell Air Force Base, TX 76127

The Frank J Seiler Research Laboratory
USAF Academy, CO 80840

USAF Occupational and Environmental Health Laboratory
Brooks AFB TX 78235

MEDICAL FACILITIES
MEDICAL CENTERS

David Grant USAF Medical Center
Travis Air Force Base, CA 94535

Malcolm Grow USAF Medical Center
Andrews Air Force Base, DC 20331

Wilford Hall USAF Medical Center
Lackland Air Force Base, TX 78236

USAF Medical Center Keesler
Keesler Air Force Base, MS 39534

USAF Medical Center Scott
Scott Air Force Base, IL 62225

USAF Medical Center Wright-Patterson
Wright-Patterson Air Force Base, OH 45433

REGIONAL HOSPITALS

Ehrling Bergquist USAF Regional Hospital
Offutt Air Force Base, NE 68113

V 44 DE 17 79 UMI

USAF Regional Hospital Carswell
Carswell Air Force Base, TX 76127

USAF Regional Hospital Eglin
Eglin Air Force Base, FL 32542

USAF Regional Hospital MacDill
MacDill Air Force Base, FL 33608

USAF Regional Hospital March
March Air Force Base, CA 92508

USAF Regional Hospital Maxwell
Maxwell Air Force Base, AL 36112

USAF Regional Hospital Minot
Minot Air Force Base, ND 58705

USAF Regional Hospital Shaw
Shaw Air Force Base, SC 29152

USAF Regional Hospital Sheppard
Sheppard Air Force Base, TX 76311

USAF HOSPITALS

USAF Academy Hospital
USAF Academy, CO 80840

USAF Hospital Altus
Altus Air Force Base, OK 73521

USAF Hospital Athens
APO New York 09223

USAF Hospital Barksdale
Barksdale Air Force Base, LA 71110

USAF Hospital Beale
Beale Air Force Base, CA 95903

USAF Hospital Bergstrom
Bergstrom Air Force Base, TX 78743

USAF Hospital Bitburg
APO New York 09132

USAF Hospital Blytheville
Blytheville Air Force Base, AR 72315

USAF Hospital Cannon
Cannon Air Force Base, NM 88101

USAF Hospital Castle
Castle Air Force Base, CA 95342

USAF Hospital Chanute
Chanute Air Force Base, IL 61868

USAF Hospital Clark
APO San Francisco 96274

USAF Hospital Columbus
Columbus Air Force Base, MS 39701

USAF Hospital Davis-Monthan
Davis-Monthan Air Force Base, AZ 85707

USAF Hospital Dover
Dover Air Force Base, DE 19901

USAF Hospital Dyess
Dyess Air Force Base, TX 79607

USAF Hospital Edwards
Edwards Air Force Base, CA 93523

USAF Hospital Ellsworth
Ellsworth Air Force Base, SD 57706

USAF Hospital Elmendorf Elmendorf AFB AK 99506

USAF Hospital England
England Air Force Base, LA 71301

USAF Hospital Fairchild
Fairchild Air Force Base, WA 99011

USAF Hospital F E Warren
F E Warren Air Force Base, WY 82001

USAF Hospital George
George Air Force Base, CA 92392

USAF Hospital Grand Forks
Grand Forks Air Force Base, ND 58201

USAF Hospital Griffiss
Griffiss Air Force Base, NY 13441

USAF Hospital Hahn
APO New York 09109

USAF Hospital Hill
Hill Air Force Base, UT 84406

USAF Hospital Holloman
Holloman Air Force Base, NM 88330

USAF Hospital Homestead
Homestead Air Force Base, FL 33039

USAF Hospital Iraklion
APO New York 09291

USAF Hospital Kincheloe
Kincheloe Air Force Base, MI 49788

USAF Hospital Kirtland
Kirtland Air Force Base, NM 87115

USAF Hospital K I Sawyer
K I Sawyer Air Force Base, MI 49843

USAF Hospital Kunsan
APO San Francisco 96264

USAF Hospital Lajes
APO New York 09406

USAF Hospital Lakenheath
APO New York 09179

USAF Hospital Langley
Langley Air Force Base, VA 23665

USAF Hospital Laughlin
Laughlin Air Force Base, TX 78840

USAF Hospital Little Rock
Little Rock Air Force Base, AR 72076

USAF Hospital Loring
Loring Air Force Base, ME 04751

USAF Hospital Luke
Luke Air Force Base, AZ 85309

USAF Hospital Malmstrom
Malmstrom Air Force Base, MT 59402

USAF Hospital Mather
Mather Air Force Base, CA 95655

USAF Hospital McConnell
McConnell Air Force Base, KS 67221

USAF Hospital Misawa
APO San Francisco 96519

USAF Hospital Moody
Moody Air Force Base, GA 31601

USAF Hospital Mt Home
Mt Home Air Force Base, ID 83648

USAF Hospital Myrtle Beach
Myrtle Beach Air Force Base, SC 29577

USAF Hospital Nellis
Nellis Air Force Base, NV 89110

USAF Hospital Osan
APO San Francisco 96570

USAF Hospital Patrick
Patrick Air Force Base, FL 32925

USAF Hospital Pease
Pease Air Force Base, NH 03801

USAF Hospital Plattsburgh
Plattsburgh Air Force Base, NY 12903

USAF Hospital Reese
Reese Air Force Base, TX 79489

USAF Hospital Robins
Robins Air Force Base, GA 31098

USAF Hospital Seymour Johnson
Seymour Johnson Air Force Base, NC 27531

USAF Hospital Tinker
Tinker Air Force Base, OK 73145

USAF Hospital Torrejon
APO New York 09283

USAF Hospital Tyndall
Tyndall Air Force Base, FL 32403

USAF Hospital Upper Heyford
APO New York 09194

USAF Hospital Vandenberg
Vandenberg Air Force Base, CA 93437

USAF Hospital Webb
Webb Air Force Base, TX 79720

USAF Hospital Whiteman
Whiteman Air Force Base, MO 65301

USAF Hospital Wiesbaden
APO New York 09220

USAF Hospital Williams
Williams Air Force Base, AZ 85224

USAF Hospital Wurtsmith
Wurtsmith Air Force Base, MI 48753

USAF Hospital Yokota
APO San Francisco 96328

USAF Hospital Zaragoza
APO New York 09286

USAF CLINICS

USAF Clinic Alconbury
APO New York 09238

USAF Clinic Andersen
APO San Francisco 96334

USAF Clinic Aviano
APO New York 09293

USAF Clinic Bentwaters
APO New York 09755

USAF Clinic Brooks
Brooks Air Force Base, TX 78235

USAF Clinic Camp New Amsterdam
APO New York 09292

V 44 DE 12 17 79 UMI

USAF Clinic Charleston
Charleston Air Force Base, SC 29404

USAF Clinic Chicksands
APO New York 09193

USAF Clinic Craig
Craig Air Force Base, AL 36701

USAF Clinic Duluth
Duluth International Airport MN 55814

USAF Clinic Eielson
APO Seattle 98737

USAF Clinic Goodfellow
Goodfellow Air Force Base, TX 76901

USAF Clinic Grissom
Grissom Air Force Base, IN 46971

USAF Clinic Hancock
Hancock Field NY 13225

USAF Clinic Hickam Hickam AFB HI 96853

USAF Clinic Howard
APO New York 09020

USAF Clinic Kadena
APO San Francisco 96239

USAF Clinic Kelly
Kelly Air Force Base, TX 78241

USAF Clinic Kingsley
Kingsley Field OR 97601

USAF Clinic L G Hanscom
Hanscom Air Force Base, MA 01731

USAF Clinic Los Angeles
PO Box 92960
Worldway Postal Center
Los Angeles CA 90009

USAF Clinic Lowry
Lowry Air Force Base, CO 80230

USAF Clinic McChord
McChord Air Foree Base, WA 98438

USAF Clinic McClellan
McClellan Air Force Base, CA 95652

USAF Clinic McGuire
McGuire Air Force Base, NJ 08641

USAF Clinic Norton
Norton Air Force Base, CA 92409

USAF Clinic Peterson
Peterson Air Force Base, CO 80914

USAF Clinic Pope
Pope Air Force Base, NC 28308

USAF Clinic Ramstein
APO New York 09012

USAF Clinic Randolph
Randolph Air Force Base, TX 78148

USAF Clinic Rhein-Main
APO New York 09057

USAF Clinic Rickenbacker
Rickenbacker Air Force Base, OH 43217

USAF Clinic San Vito Dei Normanni
APO New York 09240

USAF Clinic Sembach
APO New York 09130

USAF Clinic Shemya
APO Seattle 98736

USAF Clinic Spangdahlem
APO New York 09123

USAF Clinic Vance
Vance Air Force Base, OK 73701

USAF Clinic Zweibrucken
APO New York 09860

TACTICAL HOSPITALS

20 Tactical Hospital
APO New York 09194

23 Tactical Hospital
England Air Force Base, LA 71301

35 Tactical Hospital
George Air Force Base, CA 92392

36 Tactical Hospital
APO New York 09132

48 Tactical Hospital
APO New York 09179

49 Tactical Hospital
Holloman Air Force Base, NM 88330

50 Tactical Hospital
APO New York 09109

58 Tactical Hospital
Luke Air Force Base, AZ 85309

86 Tactical Hospital

APO New York 09012

94 Tactical Hospital
Dobbins Air Force Base, GA 33060

301 Tactical Hospital
Carswell Air Force Base, TX 76127

302 Tactical Hospital
Rickenbacker Air Force Base, OH 43217

314 Tactical Hospital
Langley Air Force Base, VA 23665

354 Tactical Hospital
Myrtle Beach Air Force Base, SC 29577

363 Tactical Hospital
Shaw Air Force Base, SC 29152

401 Tactical Hospital
APO New York 09283

403 Tactical Hospital
Selfridge ANG Base, MI 48045

433 Tactical Hospital
Kelly Air Force Base, TX 78241

434 Tactical Hospital
Grissom Air Force Base, IN 46971

439 Tactical Hospital
Westover Air Force Base, MA 01022

440 Tactical Hospital
Gen Billy Mitchell Fld
300 E College Ave
Milwaukee, WI 53207

442 Tactical Hospital
Richards-Gebaur Air Force Base, MO 64030

452 Tactical Hospital
March Air Force Base, CA 92508

459 Tactical Hospital
Andrews AFB DC 20331

655 Tactical Hospital
APO San Francisco 96328

656 Tactical Hospital
APO San Francisco 96432

657 Tactical Hospital
APO San Francisco 96432

837 Tactical Hospital
Mt Home Air Force Base, ID 83648

TACTICAL CLINICS

908 Tactical Clinic
Maxwell Air Force Base, AL 36112

910 Tactical Clinic
Youngstown Municipal Airport, OH 44473

911 Tactical Clinic
Greater Pittsburgh International Airport, PA 15231

913 Tactical Clinic
Willow Grove Air Reserve Facility, PA 19090

914 Tactical Clinic
Niagara Falls International Airport, NY 14304

917 Tactical Clinic
Barksdale Air Force Base, LA 71110

919 Tactical Clinic
Eglin AF Auxiliary Field 3, FL 32542

920 Tactical Clinic
Keesler Air Force Base, MS 39534

924 Tactical Clinic
Bergstrom Air Force Base, TX 78743

926 Tactical Clinic
New Orleans Naval Air Station, LA 70037

928 Tactical Clinic
Chicago-O'Hare International Airport, IL 60666

934 Tactical Clinic
Minneapolis-St Paul International Airport, MN 55417

940 Tactical Clinic
McClellan Air Force Base, CA 95652

MISCELLANEOUS AGENCIES

Air Force Audit Agency (Acquisition/Logistics Systems Directorate)
Building 288
Wright-Patterson Air Force Base, OH 45433

Air Force Audit Agency (Service-Wide Systems Directorate)
Building 3802, Stop 22
Andrews Air Force Base, DC 20331

Air Force Central Notice to Airmen Facility
Carswell Air Force Base, TX 76127

Air Force Computer Acquisition Office
Hanscom Air Force Base, MA 01731

Air Force Medical Material Field Office,
Frederick, MD 21701

V 44 DE 17 79 UMI

Air Force Museum
Wright-Patterson Air Force Base, OH 45433

Air Force Office of Scientific Research
Bolling Air Force Base, DC 20332

Air Force Satellite Control Facility
PO Box 92960, Worldway Postal Center
Los Angeles, CA 90009

Air Force Services Office
2800 South 20th St, Philadelphia, PA 19101

Air Forces Iceland
Fleet Post Office New York 09571

Air Weather Service
Scott Air Force Base, IL 62225

Armed Forces Vocational Testing Group
Randolph Air Force Base, TX 78148

Army and Air Force Exchange Service
Dallas, TX 75222

Army and Air Force Exchange and Motion Picture Service
Washington, DC 20310

Clear Missile Early Warning Station
Clear Alaska
APO Seattle 98704

Community College of the Air Force
Lackland Training Annex, TX 78236

Director of Nuclear Surety
Kirtland Air Force Base, NM 87117

Inter-American Air Force Academy
APO New York 09825

Office of Civilian Personnel Operations
Randolph Air Force Base, TX 78148

Office of Civilian Personnel Operations (Appellate Division)
Federal Building
Room A617
727 E Durango Blvd
San Antonio, TX 78206

Office of Civilian Personnel Operations (Personnel Development Branch)
Building 322
Gunter Air Force Station, AL 36114

Office of Civilian Personnel Operations (DOD Zone Coordination)
Robins Air Force Base, GA 31098

Space and Missile Systems Organization
PO Box 92960, Worldway Postal Center
Los Angeles, CA 90009

Strategic Air Combat Operations Staff
Offutt Air Force Base, NE 68113

Tactical Air Combat Operations Staff
Langley Air Force Base, VA 23665

USAF Band
Bolling Air Force Base, DC 20332

USAF Central Audio-Visual Library
Norton Air Force Base, CA 92409

USAF Cryptologic Depot
San Antonio, TX 78243

USAF Frequency Management Office
Washington, DC 20330

USAF Recruiting Service
Randolph Air Force Base, TX 78148

USAF Special Operations Force
Eglin Air Force Base, FL 32542

NAMED DIVISIONS

Aeronautical Systems Division
Wright-Patterson Air Force Base, OH 45433

Aerospace Medical Division
Brooks Air Force Base, TX 78235

Air Force Acquisition Logistics Division
Wright-Patterson Air Force Base, OH 45433

Air Force Contract Management Division
Kirtland Air Force Base, NM 87117

Electronic Systems Division
Hanscom Air Force Base, MA 01731

Foreign Technology Division
Wright-Patterson Air Force Base, OH 45433

USAF Southern Air Division
APO New York 09825

NUMBERED AIR DIVISIONS

3 Air Division
APO San Francisco 96334

4 Air Division
F E Warren Air Force Base, WY 82001

12 Air Division
Dyess Air Force Base, TX 79607

14 Air Division
Beale Air Force Base, CA 95903

19 Air Division
Carswell Air Force Base, TX 76127

20 Air Division
Ft Lee Air Force Station, VA 23801

21 Air Division
Hancock Field, NY 13225

23 Air Division
Duluth International Airport, MN 55814

24 Air Division
Malmstrom Air Force Base, MT 59402

25 Air Division
McChord Air Force Base, WA 98438

26 Air Division
Luke Air Force Base, AZ 85309

40 Air Division
Wurtsmith Air Force Base, MI 48753

42 Air Division
Blytheville Air Force Base, AR 72315

45 Air Division
Pease Air Force Base, NH 03801

47 Air Division
Fairchild Air Force Base, WA 99011

57 Air Division
Minot Air Force Base, ND 58705

313 Air Division
APO San Francisco 96239

314 Air Division
APO San Francisco 96570

326 Air Division
APO San Francisco 96515

839 Air Division
Pope Air Force Base, NC 28308

NUMBERED AIR FORCES

3 Air Force, APO New York 09127

4 Air Force (Reserve)
McClellan Air Force Base, CA 95652

5 Air Force, APO San Francisco 96328

8 Air Force, Barksdale Air Force Base, LA 71110

9 Air Force, Shaw Air Force Base, SC 29152

10 Air Force (Reserve)
Bergstrom Air Force Base, TX 78743

12 Air Force, Bergstrom Air Force Base, TX 78743

13 Air Force, APO San Francisco 96274

14 Air Force (Reserve)
Dobbins Air Force Base, GA 30060

15 Air Force, March Air Force Base, CA 92508

16 Air Force, APO New York 09283

17 Air Force, APO New York 09130

21 Air Force, McGuire Air Force Base, NJ 08641

22 Air Force, Travis Air Force Base, CA 94535

PLANT REPRESENTATIVE OFFICES

Air Force Plant Representative Office
Aerojet-General Corporation
PO Box 15846
Sacramento, CA 95813

Air Force Plant Representative Office
The Boeing Company
PO Box 3707
Seattle, WA 98124

Air Force Plant Representative Office
Chemical Systems Division
PO Box 358
Sunnyvale, CA 94088

Air Force Plant Representative Office
Fairchild Republic Company
Farmingdale, NY 11735

Air Force Plant Representative Office
General Dynamics/Fort Worth Division
PO Box 371
Fort Worth, TX 76101

Air Force Plant Representative Office
General Electric Company
Cincinnati, OH 45215

Air Force Plant Representative Office
General Electric
Lynn, MA 01910

Air Force Plant Representative Office
General Electric Company, Re-Entry & Environment
Systems Division & Space Division
PO Box 8555
Philadelphia, PA 19101

Air Force Plant Representative Office
Hughes Aircraft Company
Culver City, CA 90230

Air Force Plant Representative Office
Lockheed Missile & Space Company
Space Systems Division
PO Box 504

V 44 D 17 79 UMI

Sunnyvale, CA 94088

Air Force Plant Representative Office
Lockheed-Georgia Company
Marietta, GA 30060

Air Force Plant Representative Office
Martin Marietta Aerospace, Denver Division
PO Box 179
Denver, CO 80201

Air Force Plant Representative Office
McDonnell Douglas Corporation
PO Box 516
St Louis, MO 63166

Air Force Plant Representative Office
Northrop Corporation
Hawthorne, CA 90250

Air Force Plant Representative Office
Rockwell International Corporation, Electronics Ops
3370 Miraloma Avenue
Anaheim, CA 92803

Air Force Plant Representative Office
Rockwell International Corporation, B-1 Division
Los Angeles International Airport, CA 90009

Air Force Plant Representative Office
Rockwell International Corporation, Rocketdyne Div
Canoga Park, CA 91304

Air Force Plant Representative Office
Thiokol Corporation
PO Box 524, MS-250
Brigham City, UT 84302

Air Force Plant Representative Office
TRW Defense & Space Systems Group
One Space Park
Redondo Beach, CA 90278

Air Force Plant Representative Office
Westinghouse Electric Corporation
Defense Electronics Systems Center
PO Box 1693
Baltimore, MD 21203

Air Force Plant Representative Office
Pratt & Whitney Aircraft Group
East Hartford, CT 06108

Air Force Plant Representative Office
Pratt & Whitney Aircraft Group
Government Products Division
PO Box 2691
West Palm Beach, FL 33402

REGIONS

Air Force Audit Agency(Eastern Region)
Langley Air Force Base, VA 23665

Air Force Audit Agency(Western Region)
Norton Air Force Base, CA 92409

Alaskan Aerospace Defense Command Region
APO Seattle 98742

USAF Regional Civil Engineer--Central Region
Main Tower Bldg
1200 Main Street
Dallas, TX 75202

USAF Regional Civil Engineer--Eastern Region
526 Title Building
Atlanta, GA 30303

USAF Regional Civil Engineer--Western Region
630 Sansome Street
San Francisco, CA 94111

USAFE Purchasing Region - United Kingdom
APO New York 09179

SCHOOLS (SPECIAL TRAINING)

Basic Military Training School USAF
Lackland Air Force Base, TX 78236

Non-Commissioned Officers Academy
Leadership School
Kirtland Air Force Base, NM 87117

Officer Training School USAF
Lackland Air Force Base, TX 78236

School of Health Care Sciences USAF
Sheppard Air Force Base, TX 76311

USAF Academy Preparatory School
USAF Academy, CO 80840

USAF Air Ground Operations School
Eglin AF Aux Fld 9, FL 32544

USAF Instrument Pilot Instructor School
Randolph Air Force Base, TX 78148

USAF Interceptor Weapons School
Tyndall Air Force Base, FL 32401

USAF School of Aerospace Medicine
Brooks Air Force Base, TX 78235

USAF Technical Training School, Chanute
Chanute Air Force Base, IL 61868

USAF Technical Training School, Keesler
Keesler Air Force Base, MS 39534

USAF Technical Training School, Lackland
Lackland Air Force Base, TX 78236

USAF Technical Training School, Lowry
Lowry Air Force Base, CO 80230

USAF Technical Training School, Sheppard
Sheppard Air Force Base, TX 76311

USAF School of Applied Cryptologic Sciences
Goodfellow Air Force Base, TX 76901

USAF Special Investigations School
Washington, DC 20314

USAF Special Operations School
Eglin Air Force Auxiliary Field 9, FL 32544

USAF Survival & Special Training School
Fairchild Air Force Base, WA 99011

USAF Test Pilot School
Edwards Air Force Base, CA 93523

USAF Tropic Survival School
APO New York 09825

AIR FORCE BASES, STATIONS, AND AIRPORTS
(States, Territories, and Foreign Countries)

ALABAMA
Craig Air Force Base, AL 36701
Dauphin Island Air Force Station, AL 36528
Gunter Air Force Station, AL 36114
Maxwell Air Force Base, AL 36112

ALASKA
Campion Air Force Station, APO Seattle 98703
Cape Lisburne Air Force Station, APO Seattle 98716
Cape Newenham Air Force Station, APO Seattle 98745
Cape Romanzof Air Force Station, APO Seattle 98706
Cold Bay Air Force Station, APO Seattle 98711
Eielson Air Force Base, APO Seattle 98737
Elmendorf Air Force Base, AK 99506
Ft Yukon Air Force Station, APO Seattle 98710
Galena Airport, APO Seattle 98723
Indian Mt Air Force Station, APO Seattle 98748
King Salmon Airport, APO Seattle 98713
Kotzebue Air Force Station, APO Seattle 98709
Murphy Dome Air Force Station, APO Seattle 98750
Shemya Air Force Base, APO Seattle 98736
Sparrevohn Air Force Station, APO Seattle 98746
Tatalina Air Force Station, APO Seattle 98747
Tin City Air Force Station, APO Seattle 98715

ARIZONA
Davis-Monthan Air Force Base, AZ 85707
Luke Air Force Base, AZ 85309
Williams Air Force Base, AZ 85224

ARKANSAS
Blytheville Air Force Base, AR 72315
Little Rock Air Force Base, AR 72076

CALIFORNIA
Almaden Air Force Station, CA 95042
Beale Air Force Base, CA 95903
Boron Air Force Station, CA 93516
Cambria Air Force Station, CA 93428
Castle Air Force Base, CA 95342
Edwards Air Force Base, CA 93523
George Air Force Base, CA 92392
Hamilton Air Force Base, CA 94934
Klamath Air Force Station, CA 95548
Los Angeles Air Force Station, CA 90009
March Air Force Base, CA 92508
Mather Air Force Base, CA 95655
McClellan Air Force Base, CA 95652
Mill Valley Air Force Station, CA 94941
Mount Laguna Air Force Station, CA 92048
Norton Air Force Base, CA 92409
Pillar Point Air Force Station, CA 94019
Point Arena Air Force Station, CA 95468
Sunnyvale Air Force Station, CA 94086
Travis Air Force Base, CA 94535
Vandenberg Air Force Base, CA 93437

CANAL ZONE
Albrook Air Force Station, APO New York 09825
Howard Air Force Base, APO New York 09020

COLORADO
Ent Air Force Base, CO 80912
Lowry Air Force Base, CO 80230
Peterson Air Force Base, CO 80914

DELAWARE
Dover Air Force Base, DE 19901

DISTRICT OF COLUMBIA
Bolling Air Force Base, DC 20332

FLORIDA
Cape Canaveral Air Force Station, FL 32925
Eglin Air Force Base, FL 32542
Homestead Air Force Base, FL 33039
MacDill Air Force Base, FL 33608
McCoy Air Force Base, FL 32812
Patrick Air Force Base, FL 32925
Tyndall Air Force Base, FL 32403

GEORGIA
Dobbins Air Force Base, GA 30060
Moody Air Force Base, GA 31601
Robins Air Force Base, GA 31098

GUAM
Andersen Air Force Base, APO San Francisco 96334

HAWAII
Bellows Air Force Station, HI 96853
Wheeler Air Force Base, APO San Francisco 96515

IDAHO
Mt Home Air Force Base, ID 83648

ILLINOIS
Chanute Air Force Base, IL 61868
Chicago-O'Hare International Airport, IL 60666
Scott Air Force Base, IL 62225

INDIANA
Grissom Air Force Base, IN 46971

KANSAS
McConnell Air Force Base, KS 67221

LOUISIANA
Barksdale Air Force Base, LA 71110
England Air Force Base, LA 71301
Lake Charles Air Force Station, LA 70601

MAINE
Bucks Harbor Air Force Station, ME 04618
Caswell Air Force Station, ME 04750
Charleston Air Force Station, ME 04422
Loring Air Force Base, ME 04751

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MARYLAND
Andrews Air Force Base, MD 20331

MASSACHUSETTS
Hanscom Air Force Base, MA 01731
North Truro Air Force Station, MA 02652
Westover Air Force Base, MA 01022

MICHIGAN
Calumet Air Force Station, MI 49913
Empire Air Force Station, MI 49630
K I Sawyer Air Force Base, MI 49843
Kincheloe Air Force Base, MI 49788
Port Austin Air Force Station, MI 48467
Sault Sainte Marie Air Force Station, MI 49783
Wurtsmith Air Force Base, MI 48753

MINNESOTA
Baudette Air Force Station, MN 56623
Finland Air Force Station, MN 55603
Minneapolis-St Paul International Airport, MN 55417

MISSISSIPPI
Columbus Air Force Base, MS 39701
Keesler Air Force Base, MS 39534

MISSOURI
Whiteman Air Force Base, MO 65301

MONTANA
Fortuna Air Force Station, MT 59275
Glasgow Air Force Base, MT 59231
Havre Air Force Station, MT 59501
Kalispell Air Force Station, MT 59922
Lewistown Air Force Station, MT 59457
Malmstrom Air Force Base, MT 59402
Opheim Air Force Station, MT 59250

NEBRASKA
Offutt Air Force Base, NE 68113

NEVADA
Indian Springs Air Force Auxiliary Field
Indian Springs, NV 89018
Nellis Air Force Base, NV 89191
Tonopah Air Force Station, NV 89049

NEW HAMPSHIRE
Pease Air Force Base, NH 03801

NEW JERSEY
Gibbsboro Air Force Station, NJ 08026
McGuire Air Force Base, NJ 08641

NEW MEXICO
Cannon Air Force Base, NM 88101
Holloman Air Force Base, NM 88330
Kirtland Air Force Base, NM 87117

NEW YORK
Griffiss Air Force Base, NY 13441
Lockport Air Force Station, NY 14094
Montauk Air Force Station, NY 11954
Niagara Falls International Airport, NY 14304
Plattsburgh Air Force Base, NY 12903
Saratoga Air Force Station, NY 12866
Watertown Air Force Station, NY 13601

NORTH CAROLINA
Ft Fisher Air Force Station, NC 28449
Pope Air Force Base, NC 28308
Roanoke Rapids Air Force Station, NC 27870
Seymour Johnson Air Force Base, NC 27531

NORTH DAKOTA
Finley Air Force Station, ND 58230
Grand Forks Air Force Base, ND 58201
Minot Air Force Base, ND 58705
Minot Air Force Station, Max ND 58759

OHIO
Clinton County Airport, OH 45177
Gentile Air Force Station, OH 45444
Newark Air Force Station, OH 43055
Rickenbacker Air Force Base, OH 43217
Wright-Patterson Air Force Base, OH 45433
Youngstown Municipal Airport, OH 44473

OKLAHOMA
Altus Air Force Base, OK 73521
Oklahoma City Air Force Station, OK 73145
Tinker Air Force Base, OK 73145
Vance Air Force Base, OK 73701

OREGON
Burns Air Force Station, OR 97720
Keno Air Force Station, OR 97601
Kingsley Field, OR 97601
Mount Hebo Air Force Station, OR 97122
North Bend Air Force Station, OR 97459

PENNSYLVANIA
Benton Air Force Station, PA 17814

SOUTH CAROLINA
Aiken Air Force Station, SC 29801
Charleston Air Force Base, SC 29404
Myrtle Beach Air Force Base, SC 29577
Shaw Air Force Base, SC 29152

SOUTH DAKOTA
Ellsworth Air Force Base, SD 57706

TENNESSEE
Arnold Air Force Station, TN 37389

TEXAS
Bergstrom Air Force Base, TX 78743
Brooks Air Force Base, TX 78235
Carswell Air Force Base, TX 76127
Dyess Air Force Base, TX 79607
Goodfellow Air Force Base, TX 76901
Kelly Air Force Base, TX 78241
Lackland Air Force Base, TX 78236
Laredo Air Force Base, TX 78040
Laughlin Air Force Base, TX 78840
Randolph Air Force Base, TX 78148
Reese Air Force Base, TX 79489
San Antonio Air Force Station, TX 78208
Sheppard Air Force Base, TX 76311
Webb Air Force Base, TX 79720

UTAH
Hill Air Force Base, UT 84406

VERMONT
St Albans Air Force Station, VT 05478

VIRGINIA

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federal register

Book 4 of 4 Books
Monday, December 17, 1979

Part II

Department of Defense

Privacy Act of 1974; Systems of Records; Annual Publication

Department of the Army 73728
Defense Mapping Agency 74017
Defense Civil Preparedness Agency .. 74064
Office of the Secretary 74088
Defense Advanced Research Projects Agency 74142
Department of the Air Force 74145
National Security Agency 74422
Defense Nuclear Agency 74431
Organization of the Joints Chiefs of Staff 74440
Defense Communications Agency 74443
Defense Intelligence Agency 74484
U.S. Marines Corps 74495
Department of the Navy 74553
Defense Contract Audit Agency 74696
Defense Logistics Agency 74719
Defense Investigative Service 74764
Uniformed Services University of the Health Sciences 74777

Bedford Air Force Station, VA 24523
Cape Charles Air Force Station, VA 23310
Ft Lee Air Force Station, VA 23801
Langley Air Force Base, VA 23665

WAKE ISLAND
Wake Island Air Force Base, APO San Francisco 96501

WASHINGTON
Blaine Air Force Station, WA 98230
Fairchild Air Force Base, WA 99011
Makah Air Force Station, WA 98357
McChord Air Force Base, WA 98438
Othello Air Force Station, WA 99344

WISCONSIN
Antigo Air Force Station, WI 54409
General Billy Mitchell Field, 300 E. College Ave, Milwaukee, WI 53207
Osceola Air Force Station, WI 54020

WYOMING
F E Warren Air Force Base, WY 82001

FOREIGN COUNTRIES

AUSTRALIA
Woomera Air Station, APO San Francisco 96287

AZORES
Lajes Field, APO New York 09406

BELGIUM
Kleine Brogel Air Base, APO New York 09667

GERMANY
Bitburg Air Base, APO New York 09132
Hahn Air Base, APO New York 09109
Lindsey Air Station, APO New York 09633
Ramstein Air Base, APO New York 09012
Rhein-Main Air Base, APO New York 09057
Sembach Air Base, APO New York 09130
Spangdahlem Air Base, APO New York 09123
Stuttgart Airfield, APO New York 09131
Tempelhof Central Airport, APO New York 09611
Zweibrucken Air Base, APO New York 09860

GREECE
Hellenikon Air Base, APO New York 09223
Iraklion Air Station, APO New York 09291

GREENLAND
Sondrestrom Air Base, APO New York 09121
Thule Air Base, APO New York 09023

ITALY
Aviano Air Base, APO New York 09293
San Vito Dei Normanni Air Sta, APO New York 09240

JAPAN
Kadena Air Base, APO San Francisco 96239
Misawa Air Base, APO San Francisco 96519
Naha Air Base, APO San Francisco 96235
Tachikawa Air Base, APO San Francisco 96323
Yokota Air Base, APO San Francisco 96328

KOREA
Kimpo Air Base, APO San Francisco 96276
Kunsan Air Base, APO San Francisco 96264
Kwangju Air Base, APO San Francisco 96324
Osan Air Base, APO San Francisco 96570
Taegu Air Base, APO San Francisco 96213

NETHERLANDS
Camp New Amsterdam Air Base, APO New York 09292

NORWAY
Kolsas Air Base, APO New York 09085

PHILIPPINES
Clark Air Base, APO San Francisco 96274
John Hay Air Base, APO San Francisco 96298
Wallace Air Station, APO San Francisco 96277

SPAIN
Moron Air Base, APO New York 09282
Torrejon Air Base, APO New York 09283

TAIWAN
Ching Chuan Kang Air Base, APO San Francisco 96319
Shu Lin Kou Air Station, APO San Francisco 96360
Tainan Air Base, APO San Francisco 96340

TURKEY
Ankara Air Station, APO New York 09254
Diyarbakir Air Station, APO New York 09294
Erhac Malatya Air Base, APO New York 09051
Eskisehir Air Base, APO New York 09254
Incirlik Air Base, APO New York 09289
Istanbul Air Station, APO New York 09380
Karamursel Air Station, APO New York 09324

UNITED KINGDOM
RAF Alconbury, APO New York 09238
RAF Bentwaters, APO New York 09755
RAF Chicksands, APO New York 09193
RAF Croughton, APO New York 09378
RAF Harrogate, APO New York 09210
RAF Lakenheath, APO New York 09179
RAF Mildenhall, APO New York 09127
RAF Upper Heyford, APO New York 09194
RAF Wethersfield, APO New York 09120
RAF Woodbridge, APO New York 09405

Billing Code 3910-01F

NATIONAL SECURITY AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

GNSA01

System name:

NSA/CSS Access, Authority and Release of Information File

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element as appropriate.

Categories of individuals covered by the system:

NSA/CSS civilian employees, personnel under contract or appointment and military assignees.

Categories of records in the system:

File may consist of authorizations to obtain keys, authorizations for access to specific sensitive information or areas, delegation of responsibility to authorize or request specific action, work projects or access, notification to report for duty in event of hazardous weather or other emergency, authorization to officially release various types of communications, assignment to special activities, assignment as Agency representative to Department or other government committees, boards, task groups, assignment to special tasks in event of technical or national emergencies, assignment to duties as fire, safety, security officers; Combined Federal Campaign and Blood Donation workers; and assignments to other special or volunteer duties or activities.

Authority for maintenance of the system:

Public Law 86-36, Public Law 88-290, Title 18 U.S.C. 798, E.O. 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this file is to provide a means to rapidly determine who may have access to information or keys, who is required to report for duty in special circumstances, who has been authorized to release official communications, who has been assigned additional special tasks, voluntary duties or other duties. The file and its segments are used by each authorized staff, line, contract and field officer, employee or assignee to make determinations as noted in the purposes above. Where required, specific information from this file may be made available to appropriate investigatory authorities engaged in national security or criminal investigations or to national defense and intelligence authorities or other governmental entities with respect to specific assignments or when emergency action is required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, paper cards in file boxes, magnetic tapes, disks and other computer storage media, computer listings, microfilm.

Retrievability:

By name.

Safeguards:

For paper, computer listing, cards and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers. Access to information is limited to authorized individuals only. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Where data elements are derived from the Personnel Security File, remote terminal inhibitions are in force with respect to access to complete file or data relating to persons not assigned to requesting organization using a remote terminal. Remote terminals are secured, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

Retained until individual is no longer authorized access, release authority or assigned to specific additional duties. Computer files are purged and updated to reflect current status.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individual for notification shall be in writing addressed to the Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Applications and related forms requesting access, appointment or authorization, notifications of same, personnel records, personnel security records, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to provisions of section 552(b) (1) of this title; individual records constituting investigatory material compiled solely for purpose of determining suitability, eligibility, or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA02

System name:

NSA/CSS Applicants

System location:

National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Categories of individuals covered by the system:

Applicants for employment with NSA/CSS.

Categories of records in the system:

File contains forms, documents and correspondence providing personal and qualifications information submitted by individual applicant, educational institutions, past employers, references. Records include processing items, status reports, test results, interview reports, reports of reviewing organizations and other related information.

Authority for maintenance of the system:

Public Law 86-36, Public Law 88-290, E.O. 10450, and Title 5, U.S.C. and appropriate implementing Civil Service Commission directives in Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of this file are to support the recruitment, selection, hire and placement of applicants. The file is used to document applicant processing, as a basis for selection decisions by individual agency elements and the personnel organization, and such other related uses as required. The users of this file include those staff, line, contract and field officers and employees as authorized and appropriate. In addition, files may be made available to the Civil Service Commission, Freedom of Information Act and Privacy Act authorities, Department of Defense and other governmental entities as required and appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper in file folders, cards in containers, logs, computer listings, computer magnetic tape, disks and other computer storage media, microfilm.

Retrievability:

By name, social security account number, and other appropriate data elements.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers. Access to information is limited to those individuals specifically authorized and granted access by Assistant Director for Personnel and Security. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only. Remote terminal inhibitions are in force with respect to access to computerized file or data relating to persons not assigned to the organization using a remote terminal. Remote terminals are secured, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

For applicants who are employed records are transferred to Personnel File or destroyed as appropriate. For applicants not employed records are retained for a period not to exceed one year unless employment requirements necessitate retention for a longer period.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Applicant, educational institutions, references, former employers including other governmental entities, interviewing and reviewing individuals including possible gaining organization, security and medical authorities and other sources as relevant and appropriate.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title; individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA03

System name:

NSA/CSS Correspondence, Cases, Complaints, Visitors, Requests

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element as authorized and appropriate.

Categories of individuals covered by the system:

Persons calling or corresponding with NSA/CSS concerning Congressional inquiries; job opportunities; Freedom of Information and Privacy Act requests; other information requests, suggestions or comments; registering complaints; requesting appropriate security clearance, and permission to visit; requesting or requiring information relating to litigation or anticipated litigation; and employees or assignees registering complaints or requesting information with respect to Equal Employment Opportunities, requesting inquiry or investigation by the Inspector General, requesting advice, opinions, or assistance from the General Counsel or provided the General Counsel with respect to conflict of interest issues.

Categories of records in the system:

File contains correspondence from and to individual, documents and memoranda related to the response, written material developed during or in anticipation of litigation or investigation of inquiries, complaints or grievances, written material developed in response to a request for advice or opinion from an individual, written material required by law, executive order, and regulations with respect to Equal Employment Opportunity investigations, Inspector General investigations, judicial branch subpoenas, orders and related actions.

Authority for maintenance of the system:

Public Law 86-36, Public Law 88-290, Title 5 U.S.C. 552 as amended by Public Law 93-502 and Public Law 93-579, Public Law 92-261, Public Law 93-259, Executive Order 10450, Executive Order 11222, Executive Order 11478, Executive Order 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this file is to provide a record of the official responses and determinations of NSA/CSS to various inquiries for information, complaints, official actions of other governmental agencies and branches. The users of these files are those staff, line, contract and field officers, employees and assignees delegated the responsibility to respond on behalf of the Director, NSA, to such inquiries and complaints. The files are used to carry out the purpose set forth above, to provide an information base to be used in responding to the various reporting requirements levied by the Public Laws and Executive Orders cited in the authorities section of this notice. Information in the file may be used to provide reports in summary or statistical form to the Department of Defense, Civil Service Commission, Office of Equal Employment Opportunity, Congress and those committees or subcommittees of the Congress having jurisdiction over matters covered by individual reports. Certain files may be provided to the General Counsel, Department of Defense; the Department of Justice, other appropriate governmental agencies and the judical branch where litigation or anticipated civil or criminal litigation is involved or where sensitive national security investigations related to protection of intelligence sources or methods are involved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By name, case, or subject and within subject by name.

Safeguards:

Secure limited access facilities and within those facilities individual limited access offices. Files are stored in lockable containers and are only made available to individuals specifically authorized access or required to respond and individuals affected by actions taken or complaints received. Files related to sensitive investigations by the Equal Employment Opportunity Office, the Inspector General and General Counsel are additionally protected pursuant to appropriate statutes, executive orders or regulations and attorney-client privilege. In some cases records are sealed pursuant to sensitivity of subject matter or specific court order.

Retention and disposal:

Records are retained on-site indefinitely.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories: Individual correspondence, written materials developed in response to inquiries, executive branch departments and agencies, judicial branch elements, Congress, Congressional committees, individual Congressmen, other government and private entities as appropriate, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) of this title. Individual records in this file which are investigatory material compiled for law enforcement purposes are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (2). Individual records in this file which are required by statute to be maintained and used solely as statistical records may be exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (4). Individual records in this file which are investigatory material compiled solely for the purpose of determining suitability, eligibility, or qualfications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (5). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290, Title 18 U.S.C. 798, and the attorney-client privilege.

GNSA04

System name:

NSA/CSS Cryptologic Reserve Mobilization Designee List

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Appropriate staff and line elements.

Categories of individuals covered by the system:

Inactive duty military reservists assigned to NSA/CSS mobilization positions.

Categories of records in the system:

Record consists of a computer listing of NSA/CSS reserve mobilization requirements.

Authority for maintenance of the system:

Public Law 86-36 and Title 10, U.S. Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain Tables of Distribution on mobilization requirements by military service, military job code, billet title, number of billets, mobilization duty location, training sponsor, and any special clearance requirements of the billet, and to provide a system of identifying mobilization designees with billets for training assignments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer listings, computer magnetic tapes, disks and other computer storage media.

Retrievability:

By name and mobilization designee requirements.

Safeguards:

Secure limited access facilities and within those facilities lockable containers. Records are accessible only to authorized personnel.

Retention and disposal:

Records are permanent. They are reviewed annually for changes in requirements. Superseded records are destroyed when no longer useful for reference purposes.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

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Record source categories:

Individual's parent service.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title; individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempt pursuant to subsection (k) (5). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA05

System name:

NSA/CSS Equal Employment Opportunity Data

System location:

National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Categories of individuals covered by the system:

NSA/CSS civilian personnel and personnel under contract.

Categories of records in the system:

File contains civilian personal data and Agency organizational data to include job title, grade, date of birth, training, date of last promotion, educational attainments, social security account number, time of service, personnel codes, organization assignment.

Authority for maintenance of the system:

Public Law 92-261, Public Law 93-259, Public Law 86-36, Executive Order 11478, Chapter 713 of Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of this file is to insure compliance with cited authorities with respect to equal employment opportunities. Users of the file are those staff, line, contract and field officers and employees specifically authorized by law, regulation, delegation of responsibility, and grant of access by the NSA Equal Employment Opportunity Director. The file is used to compile those studies, research, statistics and reports necessary to insure compliance with cited authorities. Reports, summaries and statistics may be made available to the Department of Defense, Office of Equal Employment Opportunity, Congress, Civil Service Commission, Department of Justice and judicial branch elements as required by cited authorities, requested pursuant to those authorities or ordered by specific judicial branch order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, disk or other computer storage media, computer listings, paper in file folders.

Retrievability:

By name, social security account number, and specific subject matter data elements.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers. Access to information is limited to those individuals specifically authorized and granted access by EEO Director. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Where data elements are derived from the Personnel System, remote terminal inhibitions are in force with respect to access to complete file or data relating to persons not assigned to requesting organization using a remote terminal. Remote terminals are secure, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

File is routinely updated and old data disposed of as required. Individual data is subject to retention and disposal requirements specified for records contained in the Personnel System.

System manager(s) and address:

Director of Equal Employment Opportunity, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade,Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Individuals themselves, organizational elements, Personnel File, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records and data elements in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title. Individual records in this file which are investigatory material compiled for law enforcement purposes are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (2). Individual records and data elements in this file which are required by statute to be maintained and used solely as statistical records are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (4). In addition, certain records or data elements may be subject to specific provisions of Public Law 86-36, Public Law 88-290, Title 18 U.S.C. 798, and Public Law 92-261.

GNSA06

System name:

NSA/CSS Health, Medical and Safety Files

System location:

Primary System - National Security Agency/Central Security Service, Fort George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element as appropriate.

Categories of individuals covered by the system:

NSA/CSS civilian employees, military assignees, applicants, retirees, building concessionaires, assigned GSA employees, certain contract employees, visitors requiring emergency treatment, in certain cases members of employees' families with prior approval of the employee, blood donors, designated Health and Safety Officers.

Categories of records in the system:

File may consist of completed medical questionnaires, results of physical examinations and laboratory tests, records of medical treatment and services, x-rays, notices of injury, forms and correspondence including exchanges with Department of Labor related to injury and subsequent claims, correspondence with personal physician, NSA/CSS Medical Center reports, safety reports, absence and attendance records, medical evaluations, fitness for duty reports, 'Log of Federal Occupational Injuries and Illnesses,' results of psychological assessment testing and interviews, psychiatric examination results and related reports, forms and notes, lists of blood donors.

Authority for maintenance of the system:

Public Law 86-36, and Federal Employees Compensation Act of September 7, 1916, as amended, Title 5, U.S.C. and Civil Service Commission implementation thereof as contained in Federal Personnel Manual. In addition, the Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended (42 U.S.C. 4582) and subchapter A of Chapter I, Title 42, C.F.R.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine fitness for hiring, continued employment or assignment and reassignment, to process accident and compensation claims, correct hazardous conditions, determine eligibility for disability retirement, record names of blood donors. When required, specific information from these files may be made available to the Department of Labor in those cases involving compensation claims and, with the permission of the individual, to other medical personnel or the American Red Cross for additional examination, treatment, counseling or other medical purpose, Freedom of Information and Privacy Act authorities as appropriate, and to other governmental entities as required and appropriate. Alcohol abuse patient records used in accordance with cited statute and regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By name.

Safeguards:

Secure, limited access facilities and within these facilities lockable containers. Records are accessible only to authorized personnel.

Retention and disposal:

Medical files and records on traumatic injury and occupational disease are transferred to official personnel folder upon separation; traumatic injury and occupational disease correspondence on civilian employees and retirees is retained indefinitely. Applicant medical files are retained for no more than one year or until date designated to individual; files on military assignees are forwarded to parent service upon reassignment from NSA/CSS; all other medical case files are destroyed upon termination of association with NSA/CSS. Psychological files on applicants are retained for no more than one year or until date designated to individual; all other files are retained for four years after end of individual's association with NSA/CSS. Decentralized segments are either transferred with employee or assignee, or retained for a period after separation as appropriate but not to exceed three years and are then destroyed. Alcohol abuse patient records retained and disposed of pursuant to cited statute and regulations.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to the Information Officer, National Security Agency/Central Security Service, Fort George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to the Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Applicants, employees, assignees, official personnel folders, NSA Safety Officers and records, witnesses to accidents and injuries, medical and administrative personnel, blood donor personnel, members of employee's family with employee's permission and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title; individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5); individual records consisting of testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal Service are exempted pursuant to subsection (k) (6). Certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798. In addition, medical, psychological and psychiatric records may be subject to certain special access procedures established pursuant to Title 5, U.S.C., section 552a, subsection (f) (3).

GNSA07

System name:

NSA/CSS Motor Vehicles and Carpools

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each non-headquarters facility and field element as appropriate and required.

Categories of individuals covered by the system:

NSA/CSS civilian employees, military assignees, other governmental employees or personnel under contract granted extended temporary or permanent access to an NSA/CSS facility.

Categories of records in the system:

File may consist of machine-readable or regular paper cards, carpool or other transportation survey results, annotated machine listings, post motor vehicle violation reports, stolen vehicle reports, or other forms and correspondence related to parking privileges, transportation needs, local (parking lot) parking enforcement procedures, vehicle abuse and other related matters as appropriate and required.

Authority for maintenance of the system: Title 40 U.S.C., 318a-b; Title 50 U.S.C. 797; Title 34 C.F.R., Part 232, Appendix B; and Title 41 C.F.R., Part 101-20.111 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of this file are to provide data necessary to enforcement of parking lot regulations, employee assistance with respect to vehicle abuse and stolen vehicles, provide carpool assistance, assure availability of adequate transportation and parking facilities and other related matters. The uses of the file are to verify vehicle ownership, determine allocation of parking privileges, insure the maintenance of adequate and safe parking areas, develop statistics with respect to parking and transportation requirements, encourage formation of carpools or other multiple-user transportation arrangements, provide a directory of potential participants in carpools or other multiple-user transportation arrangements and other related uses as appropriate and required. The users of the file are those authorized line, staff, contract and field element officers and employees, any employee, assignee or other individual working at an NSA/CSS facility interested in forming or joining a carpool or other multiple-user transportation arrangement, local civil and military law enforcement personnel as required and appropriate. Statistical data or selected individual data limited to name, address and telephone number may be made available to commercial or private transportation entities where the individuals have indicated a desire to use or join a multiple-user transportation arrangement, supervisory and other reviewing authorities in cases of parking privilege abuses, and other related users as required and appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, machine-readable and other cards in appropriate containers, magnetic tape, disk or other computer storage media, computer listings.

Retrievability:

By name, motor vehicle identifier.

Safeguards:

For paper, cards and computer listings - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers as appropriate. Access is limited to authorized users. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only.

Retention and disposal:

File is routinely updated and old data disposed of as required. Individual data is subject to retention and disposal requirements specified for records contained in the Personnel System.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G.Meade, Md. 20755.

Record source categories:

Data provided by individuals, authorities in charge of parking facilities, local civil and military law enforcement entities and other related sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records and data elements in this file which are classified may be exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title. In addition, certain records or data elements may be subject

to specific provisions of Public Law 86-36, Public Law 88-290, Title 18 U.S.C. 798.

GNSA08

System name:

NSA/CSS Payroll and Claims

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element as appropriate.

Categories of individuals covered by the system:

NSA/CSS civilian employees and applicants, military assignees, contractors, reemployed annuitants, personnel under contract.

Categories of records in the system:

File may consist of records on time and attendance; overtime; shift and holiday work; absent without leave reports; payroll deductions, allotments and allowances; requests for leave; payments for travel performed in connection with permanent change of station, temporary duty, invitations, interviews, pre-employment interviews and initial entry on duty. Also included are Pay Adjustment Authorizations (DD Form 139) and Case Collection Vouchers (DD Form 1131) and, in connection with pay claims, waivers, requests for waivers, documents, correspondence, background data, recommendations and decisions.

Authority for maintenance of the system:

Public Law 86-36; section 113 of the Budget and Accounting Procedures Act of 1950, as amended; 31 U.S. Code 66a, Titles 2, 4, 5, 6 and 37; GAO Manual; the Federal Claims Collection Act of 1966; 31 U.S. Code 951-953, 50 U.S. Code Appendix 2160.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain effective control over and accountability for all funds; to provide accounting data to support the NSA/CSS budget request and control the execution of the budget; provide financial information required by the Office of Management and Budget; provide financial information for NSA/CSS management purposes; provide for the input of permanent change data and the output of such data as Leave Without Pay, reconciliation of files, periodic step increases, mass pay changes and changes in leave categories; investigate, review, discuss and recommend and implement decisions on pay claims waivers. When required, specific information from this file may be made available to other governmental entities in connection with Social Security deductions, unemployment compensation claims, job-related injury and death benefits, tax audit and collections, and other related claims or actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; file cards; computer paper printouts; machine-readable cards; computer magnetic tapes, disks and other computer storage media.

Retrievability:

By name, social security account number.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers. Access to information is limited to authorized individuals. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Remote terminals are secured, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

Records are reviewed annually and retired or destroyed as appropriate. Permanent records are retired to the St. Louis Federal Records Center after completion of audit. Computer records are purged and updated consistent with these retention policies.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Forms, cards, requests and other documentation submitted by individual, supervisors, claims officers, Personnel File data, Time, Attendance and Access File data, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title. Individual records in this file which are investigatory material compiled for law enforcement purposes are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (2). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA09

System name:

NSA/CSS Personnel File

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element and supervisor as authorized and appropriate.

Categories of individuals covered by the system:

Civilian employees, personnel under contract, military assignees, dependents of NSA/CSS personnel assigned to field elements, individuals integrated into the cryptologic career development program, custodial and commercial services personnel.

Categories of records in the system:

File contains personnel papers and forms including but not limited to applications, transcripts, correspondence, notices of personnel action, performance appraisals, personal summaries, professionalization documentation and correspondence, training forms, temporary duty, letters of reprimand, employee record card, special assignment documentation, letters of commendation, promotion documentation, field assignment preference, requests for transfers, permanent change of station, passport, transportation, official orders, awards, suggestions, pictures, complaints, separation, retirement, time utilization, scholarship/fellowship or other school appointments, military service, reserve status, military check in/out sheets, military orders, security appraisal, career battery and other test results, language capability, military personnel utilization survey, work experience, notes and memoranda on individual aspects of performance, productivity and suitability, information on individual eligibility to serve on various boards and committees, emergency loan records, other information relevant to personnel management, housing information where required.

Authority for maintenance of the system:

Public Law 86-36, Title 5 U.S.C. and implementing Civil Service Commission regulations in the Federal Personnel Manual, 10 U.S. Code 1124, 44 U.S. Code 3101, 34 C.F.R. 232, Appendix B, 41 C.F.R. 101-20.111, and Executive Order 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of this file are to support the personnel management program; personnel training and career development; personnel planning; staffing and counseling; administration and personnel supervision; workforce study and analysis; manpower requirements studies; emergency loan program; and training curricula planning and research. The uses of the file are to implement the purposes cited and provide management at all levels with the documentation and tools necessary for effective personnel management and supervision. Information may also be used to verify present or former NSA/CSS employment to gaining employers or to financial institutions when individual has applied for credit. The users are those staff, line, contract and field officers, employees, and assignees authorized to maintain or have access to personnel data or some decentralized segment thereof. In addition, officers and employees of elements engaged in security and training, Freedom of Information or Privacy Act actions, Inspector General, General Counsel, Equal Employment Opportunity, audit or review, medical and psychological or other appropriate functions may be authorized access as required in the performance of their duties. Individual files or portions thereof may be made available to hearing examiners, the judicial branch, the Civil Service Commission, the Department of Defense or other gaining government organization as required and appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, file cards, machine-readable cards, computer printouts, computer magnetic tapes, disks and other computer storage media, and microfilm.

Retrievability:

By name, social security account number and other items of relevant information.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers. Access to information is limited to those individuals authorized and responsible for personnel management or supervision. For records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Where data elements are derived from the Personnel File, remote terminal inhibitions are in force with respect to access to complete file or data relating to persons not assigned to requesting organization using a remote terminal. Remote terminals are secured, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

Primary System - those forms, notices, reports and memoranda considered to be of permanent value or required by law or regulation to be preserved are retained for the period of employment or assignment and then forwarded to the gaining organization or retained indefinitely. If the action is separation or retirement, these items are forwarded to the Civil Service Commission or retired to the Federal Records Center at St. Louis as appropriate. Those items considered to be relevant for a temporary period only are retained for that period and either transferred with the employee or assignee or destroyed either when they are no longer relevant or at time of separation or retirement. Computerized portion is purged and updated as appropriate. Personnel summary, training, testing and past activity segments retained permanently. All other portions deleted at end of tenure.

Decentralized System - Files are transferred to gaining organization or destroyed upon separation as appropriate. Computer listings of personnel assigned to an organization are destroyed upon receipt of updated listings.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Forms used to collect and process individual for employment, access or assignment, forms and memoranda used to request personnel actions, training, awards, professionalization, transfers, promotion, organization and supervisor reports and requests, educational institutions, references, Civil Service Commission and other governmental entities as appropriate, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title; individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5); individual records consisting of testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal Service are exempted pursuant to subsection (k) (6). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA10

System name:

NSA/CSS Personnel Security File

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract and field element as appropriate.

Categories of individuals covered by the system:

Applicants for employment with NSA/CSS; civilian employees; personnel under contract; military assignees, members of advisory groups; consultants; experts; other military personnel, federal employees, employees of contractors, and employees of services and other individuals who require access to NSA/CSS facilities or information.

Categories of records in the system:

File Folder - Photograph, fingerprint data, statement of personal history, agreements with respect to specific security processing procedures, security processing forms and records, investigative reports, incident and complaint reports, unsolicited information when relevant, reports by domestic law enforcement agencies when relevant, clearance data, access authorization, foreign travel data, security secrecy agreements, separation and retirement data and other information as required and relevant. Computer File - contains data elements representing a summary and index of the file folder data to include personal identifying data, relevant security processing data, clearance and access data, separation and retirement data.

Authority for maintenance of the system:

Public Law 88-290, Public Law 86-36, Title 18 U.S.C. 798, Title 50 U.S.C. 403 (d) (3), Executive Orders 10450, 10865 and 11652.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose of this file is to insure compliance with cited authorities. Users of this file and its segments are limited to properly authorized staff, line, contract and field element officers, employees or assignees. The file is used to carry out the purpose cited and in determinations with respect to employment, access, assignment and reassignment, assignment to a board of appraisal or management promotion, foreign official and unofficial travel, and other personnel actions where security represents a relevant and valid element of the determination. In addition, files or portions thereof may be made available to the Defense Investigative Service, military investigative services, other appropriate entities, Department of Justice, governmental elements involved in National Agency checks, members and staff of the Defense Investigative Review Council as appropriate with their inspection authorities, Department of Defense General Counsel and Director of Central Intelligence and his General Counsel in the event of litigation or anticipated litigation with respect to unauthorized disclosures of classified intelligence or intelligence sources and methods and related court actions, other government agencies and private contractors requiring clearance status information and authorized to receive same, judicial branch elements pursuant to specific court orders or with respect to litigation, elements of the Department of Defense involved in administration of the Industrial Security Program, the Civil Service Commission as required, and public law enforcement authorities when a specific breach of criminal statutes is involved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage: Magnetic tape, disk or other computer storage media, computer paper printouts, paper in file folders, microfilm.

Retrievability:

By name or unique number assigned individual.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities lockable containers. Access to information is limited to authorized individuals. For machine records

stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Remote terminals are secured, are available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of specific security offices at headquarters area locations.

Retention and disposal:

Primary System - Files on individuals assigned, employed, or granted access to NSA/CSS information or facilities - retained for a minimum of 30 years after last security action reflected in the file, then destroyed. Files initiated on individuals requesting employment, assignment or access but never completed due to non-employment, non-assignment or withdrawal or denial of grant of access are destroyed within one year. Computer records are purged and updated consistent with these retention policies.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Data provided by individual during employment and security processing, data provided by investigative service processing individual's background investigation, data provided by references, educational institutions and other sources named by individual or developed during background investigation, unsolicited data from any source where relevant, data provided by Civil Service Commission and other agencies, departments and governmental elements involved in the conduct of National Agency checks, the Federal Bureau of Investigation, data developed by appropriate governmental elements in the course of a national security investigation or investigation into alleged violations of criminal statutes related to unauthorized disclosures of intelligence or protection of intelligence sources and methods, documents furnished by agency element sponsoring individual for access to specific classified information.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552(b) (1) of this title; individual records constituting investigatory material compiled for law enforcement purposes other than material within the scope of subsection (j) (2) of section 552a are exempted pursuant to subsection (k) (2); individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA11

System name:

NSA/CSS Time, Attendance and Absence

System location:

Primary System - National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments - Each staff, line, contract, and field element as authorized and appropriate.

Categories of individuals covered by the system:

NSA/CSS civilian employees, personnel under contract and military assignees.

Categories of records in the system:

File contains request forms, time cards, authorization forms, notifications, locator cards and other correspondence or revisions thereof related to actions concerning time, attendance, absence, annual leave, sick leave, leave without pay, advance leave, administrative leave, exemplary use of leave, unauthorized leave and absences and other related matters.

Authority for maintenance of the system:

Public Law 86-36, Public Law 88-290, section 113 of the Budget and Accounting Procedures Act of 1950, as amended, 31 U.S.C. 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of these files is to provide a means of accounting for all time, attendances and absences of NSA/CSS civilian employees, contract employees and military assignees. The users of these files are those staff, line, contract and field officers, employees, and assignees authorized to account for or investigate employee time, attendance and absence. The files may be used to make performance, payroll, personnel and security determinations. Where required, specific information from these files may be made available to appropriate investigatory authorities engaged in national security or criminal investigations, hearing examiners and other authorized individuals with respect to grievances or adverse actions, and to those agencies identified in the NSA/CSS System of Records named 'Payroll and Claims' as necessary to document payroll actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, file cards, machine-readable cards, computer printouts, computer magnetic tapes, disks and other computer storage media, and microfilm.

Retrievability:

May be retrieved by name and in some cases social security account number.

Safeguards:

For paper, cards, printouts and microfilm - Secure limited-access facilities and within those facilities lockable containers as appropriate. Access by authorized individuals only. Current time cards are not secured with respect to individual employees within immediate working element. For machine- readable cards, computer magnetic tapes and disks and other computer storage media within the computer processing area additional secure limited- access facilities, specific processing requests from authorized persons only, specific authority to access stored cards, tapes or disk files.

Retention and disposal:

Primary System - Records are reviewed annually and retired or destroyed as appropriate. Permanent records are retired to the St. Louis Federal Records Center after completion of audit. Computer records are purged and updated consistent with these retention policies.

Decentralized Segments - Records are temporary, are retained for the period the individual is assigned to an element, or disposed of as appropriate. Time cards and other appropriate forms for pay and leave purposes are forwarded each pay period to the payroll office.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade,Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Time cards, request forms and related correspondence from individual employees and assignees, authorizations and notifications from authorizing officers, correspondence from supervisory personnel and investigating officers with respect to abuses of leave and attendance or unauthorized leave and absences, other records or reports related to either exemplary use of leave or abusive use of leave, and other sources as appropriate and required.

Systems exempted from certain provisions of the act:

Individual records in this file which are classified are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552 (b) (1) of this title. In addition certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290 and Title 18 U.S.C. 798.

GNSA12

System name:

NSA/CSS Training

System location:

Primary System-National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Decentralized Segments-Each staff, line, contract and field element as authorized and appropriate.

Categories of individuals covered by the system:

NSA/CSS employees, personnel under contract, military assignees and other government employees, designees and military personnel as required and appropriate who attend courses or receive training by or under NSA/CSS sponsorship.

Categories of records in the system:

File contains forms, correspondence, memoranda, student and instructor surveys, requests and other information related to testing and training; tests and test results; test grades, course grades and other student and instructor evaluations; course and class rosters, rosters of individuals by specialty; attendance and time utilization reports for students and instructors; biographical sketches where required and appropriate; course and training histories; other course research and evaluation data; student disciplinary actions and complaints; waiver requests and responses; selected personal data including education level and scholastic achievements; course and training cost data where appropriate; reimbursement and service agreements where appropriate; and other records related to civilian and military training as required and appropriate.

Authority for maintenance of the system:

Title 5 U.S.C. Chapter 41, Executive Order 11348, Civil Service Commission implementing directives as contained in the Federal Personnel Manual, Public Law 86-36.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of this file are to provide documentation concerning individual training, develop training requirements, refine training methods and techniques, provide individual career and training counseling. The users of this file are those staff, line, contract and field officers, employees and assignees as authorized and appropriate. In addition, portions of these files are incorporated in the Personnel File, are made available to management and supervisory personnel and to other governmental entities as required and appropriate. The file is used to carry out the purposes cited above, perform certain statistical analyses related to training and reports concerning training, and may be used to assist in the evaluation of an individual's performance, readiness for promotion, potential for career development, assignments requiring special qualifications and other actions as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files, binders, computer punch cards, computer listings, computer magnetic tapes, disks and other computer storage media, microfilm.

Retrievability:

By name.

Safeguards:

For paper, computer printouts and microfilm - Secure limited access facilities, within those facilities secure limited access rooms and within those rooms lockable containers as appropriate. Access to information is limited to authorized individuals only. For machine records stored on magnetic tape, disk or other computer storage media within the computer processing area, additional secure limited access facilities, specific processing requests from authorized persons only, specific authority to access stored records and delivery to authorized persons only. Where data elements are derived from the Personnel System, remote terminal inhibitions are in force with respect to access to complete file or data relating to persons not assigned to requesting organization using a remote terminal. Remote terminals are secured, available to authorized persons only, and certain password and other identifying information available to authorized users only is required. Terminals are not available outside of headquarters area locations.

Retention and disposal:

Primary System - Records are reviewed annually and retained or destroyed as appropriate. Copies of items of significance with respect to the individual are included in the Personnel File and retention is in accordance with the retention policies for that system. Items used as the basis of statistical studies or other research efforts may be retained indefinitely. Computer listings and records are purged and updated as required and appropriate. Decentralized System - Records are reviewed annually and retained or destroyed as appropriate. Individual's file may be transferred to gaining organization if appropriate. Computer listings and records are purged and updated as required and appropriate.

System manager(s) and address:

Director, NSA.

Notification procedure:

Requests from individuals for notification shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record access procedures:

Requests from individuals for access shall be in writing addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Contesting record procedures:

The NSA/CSS rules for contesting contents and appealing initial determinations may be obtained by written request addressed to Information Officer, National Security Agency/Central Security Service, Ft. George G. Meade, Md. 20755.

Record source categories:

Individual, supervisors, training counselors, instructors and other training personnel; other governmental entities nominating individuals for training; other training and educational institutions; Personnel File, and other sources as required and appropriate.

Systems exempted from certain provisions of the act:

Individual records in this file which are classfied are exempted pursuant to Title 5, U.S.C., section 552a, subsection (k) (1) subject to the provisions of section 552(b) (1) of this title; individual records constituting investigatory material compiled solely for the purpose of determining suitability, eligibility or qualifications for Federal civilian employment, military service, Federal contracts, or access to classified information are exempted pursuant to subsection (k) (5); individual records consisting of testing or examination material used solely to determine individual qualifications for appointment or promotion in the Federal Service are exempted pursuant to Subsection (k) (6). In addition, certain records may be subject to specific provisions of Public Law 86-36, Public Law 88-290, and Title 18 U.S.C. 798.

DEFENSE NUCLEAR AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing

or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

HDNA 001

System name:

DNA001 Employee Assistance Program Case Record Systems

System location:

Civilian Personnel Office, Defense Nuclear Agency, Washington, D.C., 20305, Routing Symbol: PACV. Also at the following subordinate commands: Civilian Personnel Office, Bldg 2023A, Kirtland AFB, New Mexico, 87115; and Civilian Personnel Office, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Bldg 42, located on the grounds of the National Naval Medical Center.

Categories of individuals covered by the system:

All civilian employees in appropriated and non-appropriated fund activities who are referred by management for, or voluntarily request, counseling assistance.

Categories of records in the system:

Case records on employees which are maintained by counselors, supervisors, and civilian personnel offices and consist of information on condition, current status, and progress of employees or dependents who have alcohol, drug, emotional, or other job performance problems.

Authority for maintenance of the system:

Drug Abuse Office and Treatment Act of 1972, as amended by Public Law 93-282 (21 USC 1175); Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended by Public Law 93-282 (42 USC 4582); Subchapter A of Chapter I, Title 42, Code of Federal Regulations; Chapter 43 of Title 5, USC.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the counselor in the execution of the counseling function as it applies to the individual employee. With specific written authority of the employee selected information may be provided to and used by other counselors or medical personnel, research personnel, employers, representatives such as legal counsel, and to other agencies or individuals when disclosure is to the employee's benefit, such as for processing retirement applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case records are stored in paper file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in locked security containers accessible only to personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are purged of identifying information within five years after termination of counseling or destroyed when they are no longer useful.

System manager(s) and address:

Civilian Personnel Officer, Defense Nuclear Agency, Washington, D.C., 20305, for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, for Armed Forces Radiobiology Research Institute; Civilian Personnel Officer, Kirtland AFB, New Mexico, 87115, for Field Command, Defense Nuclear Agency.

Notification procedure:

Information may be obtained from: Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, Telephone: Area Code 202-325-7592 for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Telephone: Area Code 301-295-1047, for Armed Forces Radiobiology Research Institute; or Civilian Personnel Officer, Bldg 2023A, Kirtland AFB, New Mexico, 87115, Telephone: Area Code 505-264-9253, for Field Command, Defense Nuclear Agency. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the notification section above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Counselors, other officials, individuals or practitioners, and other agencies both in and outside of Government.

Systems exempted from certain provisions of the act:

None

HDNA 002

System name:

DNA002 Employee Relations

System location:

Civilian Personnel Office, Defense Nuclear Agency, Washington, D. C., 20305, Routing Symbol: PACV. Also at the following subordinate commands: Civilian Personnel Office, Bldg 2023A, Kirtland AFB, New Mexico, 87115; and Civilian Personnel Office, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Bldg 42, located on the grounds of the National Naval Medical Center.

Categories of individuals covered by the system:

Civilian employees paid from appropriated funds serving under career, career-conditional, temporary and excepted service appointments on whom discipline, grievances, and complaints records exist.

Discrimination complaints of civilian employees, paid from appropriated and non-appropriated funds, applicants for employment and former employees in appropriated and non-appropriated positions. Management Operation Record system consisting of manual file maintained by immediate supervisors and high level managers concerning employee performance, capability, informal discipline, attendance, leave and tardiness, work assignments, and similar work related employee records.

Categories of records in the system:

Manual files, maintained in paper folders, contain copies of documents and information pertaining to discipline, grievances, complaints, and appeals.

Authority for maintenance of the system:

Executive Order 9830, Amending the Civil Service Rules and Providing for Federal Personnel Administration; 4 USC 1302, 3301, 3302; Executive Order 10577, Amending the Civil Service Rules and Authorizing a New Appointment System for the Competitive System. PL 92-261, The Equal Employment Opportunity Act of 1972; PL 93-259, Extension of Age Discrimination in Employment Act of 1967; 5 USC 7512; Executive Order 11491, Labor-Management Relations in the Federal Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials of the Defense Nuclear Agency in the performance of their official duties related to the management of civilian employees in the processing, administration, and adjudication of discipline, grievances, complaints, appeals, litigation, and program evaluation.

Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of civilian personnel management programs or personnel actions, or such other matters under the jurisdiction of the Commission. Appeals officers and complaints examiners of the Federal Employee Appeals Authority for the purpose of conducting hearings in connection with employees' appeals from adverse actions and formal discrimination complaints. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. The Senate or the House of Representatives of the United States or any member, committee or subcommittee of joint committees on matters within their jurisdiction relating to the above programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in locked security containers accessible only to personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed upon separation of the employee from the agency or in accordance with appropriate record disposal schedule.

System manager(s) and address:

Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, for Armed Forces Radiobiology Research Institute; Civilian Personnel Officer, Kirtland AFB, New Mexico, 87115, for Field Command, Defense Nuclear Agency.

Notification procedure:

Information may be obtained from: Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, Telephone: Area Code 202-325-7592 for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Telephone: Area Code 301-295-1047, for Armed Forces Radiobiology Research Institute; or Civilian Personnel Officer, Bldg 2023A, Kirtland AFB, New Mexico, 87115, Telephone: Area Code 505-264-9253, for Field Command, Defense Nuclear Agency. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the notification section above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Supervisors or other appointed officials designated for this purpose.

Systems exempted from certain provisions of the act:

None

HDNA 003

System name:

Labor Management Relations Records Systems

System location:

Civilian Personnel Office, Defense Nuclear Agency, Washington, D. C., 20305, Routing Symbol: PACV. Also at the following subordinate commands: Civilian Personnel Office, Bldg 2023A, Kirtland AFB, New Mexico, 87115; and Civilian Personnel Office, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Bldg 42, located on the grounds of the National Naval Medical Center.

Categories of individuals covered by the system:

Civilian employees paid from appropriated and non-appropriated funds, who are involved in a grievance which has been referred to an arbitrator for resolution; union officials, union stewards; and representatives.

Categories of records in the system:

Manual files, maintained in paper folders, filed by type of case and case number (not individual). Folder contains all information pertaining to a specific arbitration case of specific Unfair Labor Practice with whom Defense Nuclear Agency has dealings; subordinate elements maintain manual roster of local union officials and union stewards.

Authority for maintenance of the system:

Executive Order 11491, as amended, 'Labor-Management Relations in the Federal Service.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Defense Nuclear Agency in the performance of their official duties related to the Labor-Management Relations Program, e.g., administration/implementation of arbitration awards, interpretation of the Executive Order through 3rd party case decisions; national consultation and other dealings with the recognized unions; Representatives of the U. S. Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Civilian Personnel Management Programs; the Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Labor Management Relations Program; Officials and employees of other components of the Department of Defense in the performance of their official duties related to the administration of the Labor-Management Relations Program; a duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are retrieved by case subject, case number, and/or individual employee names.

Safeguards:

All manual files are accessible only to authorized personnel having a need to know.

Retention and disposal:

Case files are permanently maintained. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, for Armed Forces Radiobiology Research Institute; Civilian Personnel Officer, Kirtland AFB, New Mexico, 87115, for Field Command, Defense Nuclear Agency.

Notification procedure:

Information may be obtained from: Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, Telephone: Area Code 202-325-7592 for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Telephone: Area Code 301-295-1047, for Armed Forces Radiobiology Research Institute; or Civilian Personnel Officer, Bldg 2023A, Kirtland AFB, New Mexico, 87115, Telephone: Area Code 505-264-9253, for Field Command, Defense Nuclear Agency. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the notification section above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Civilian personnel offices; arbitrator's office; union headquarters offices.

Systems exempted from certain provisions of the act:

None

HDNA 004

System name:

Training and Employee Development Record Systems.

System location:

Civilian Personnel Office, Defense Nuclear Agency, Washington, D.C., 20305, Routing Symbol: PACV. Also at the following subordinate commands: Civilian Personnel Office, Bldg 2023A, Kirtland AFB, New Mexico, 87115; and Civilian Personnel Office, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Bldg 42, located on the grounds of the National Naval Medical Center.

Categories of individuals covered by the system:

Defense Nuclear Agency civilian employees, fulltime and part-time, receiving training supported by the Federal Government, paid from appropriated funds.

Categories of records in the system:

Under the Defense Nuclear Agency's manual and automated systems, automated and non-automated records are maintained reflecting information pertaining to the employee's identification, social security number, occupational status (series, grade level, and supervisory status), course identification, course length, category and purpose of training received, date on which training was completed, associated costs. Input documents for the systems include, but are not limited to completed automated forms, training reports, authorization and record, keypunched cards. The manual files are maintained in paper folders containing employee's registration and/or record of training documents.

Authority for maintenance of the system:

5 USC 4103, 4118, 4115.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Defense Nuclear Agency in the performance of their official duties related to the management of the civilian employee training programs, the design, development, maintenance and operation of the manual and automated system of record keeping and reporting; the screening and selection of candidates for centrally administered programs; and administration of grievance, appeals, complaints, and litigation involving the disclosure of records of the training programs. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of the civilian training programs, or such other matters under the jurisdiction of the Commission; the Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the civilian training program; the Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies; officials and employees of other Department of Defense agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for programs sponsored by their organization. A duly appointed Hearing Examiner or Arbitrator for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the Defense Nuclear Agency's training program; an arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the Defense Nuclear Agency Training and Employee Development Record system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, drums, computer printouts, and on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by social security number. Manual records are retrieved by employee's last name.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized personnel that are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Computer magnetic tapes are permanent. Manual records are maintained on a fiscal year basis and are retained for varying periods from 1 to 5 fiscal years after which they are destroyed in accordance with appropriate record disposal schedule.

System manager(s) and address:

Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, for Armed Forces Radiobiology Research Institute; Civilian Personnel Officer, Kirtland AFB, New Mexico, 87115, for Field Command, Defense Nuclear Agency.

Notification procedure:

Information may be obtained from: Civilian Personnel Officer, Defense Nuclear Agency, Washington, D. C., 20305, Telephone: Area Code 202-325-7592 for Headquarters, Defense Nuclear Agency; Chief, Civilian Personnel, Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, Telephone: Area Code 301-295-1047, for Armed Forces Radiobiology Research Institute; or Civilian Personnel Officer, Bldg 2023A, Kirtland AFB, New Mexico, 87115, Telephone: Area Code 505-264-9253, for Field Command, Defense Nuclear Agency. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to same address as stated in the notification section above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information voluntarily submitted by the individual or obtained from the civilian personnel offices.

Systems exempted from certain provisions of the act:

None

HDNA 102-03

System name:

102-03 Headquarters Personnel Roster

System location:

Primary System - Administrative Services Division, Personnel and Administration Directorate, Headquarters, Defense Nuclear Agency (DNA), Washington, D. C. 20305. Decentralized Segments - Internal organizational elements of the Agency Headquarters, and subordinate elements receive hard copies of the roster.

Categories of individuals covered by the system:

Any individual military or civilian employed by DNA.

Categories of records in the system:

File contains individual personal information consisting of name, SSAN, preferred first name, grade, service component, first name of spouse, office symbol, telephone and intercom number, room number, home address and home telephone number.

Authority for maintenance of the system:

5 USC 301, 302 Public Law 89-554, 6 September 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Administrative Services Division - To locate personnel; prepare and publish roster. Individuals - To obtain personal locator information so as to facilitate communications/contact for official and social purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards in Card File Box and printed paper rosters.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Building employs security guards and protected by intrusion alarm system. Records are maintained in area accessible only to authorized personnel of the Agency that are properly screened, cleared and trained.

Retention and disposal:

Records are retained in active file as long as individual is assigned to the Agency. Upon departure of the individual record is destroyed.

System manager(s) and address:

Chief, Administrative Services Division, Headquarters, Defense Nuclear Agency, Washington, D. C. 20305.

Notification procedure:

Information may be obtained from: Administrative Services Division, Headquarters, Defense Nuclear Agency, Washington, D. C. 20305.

Record access procedures:

Requests from individuals should be addressed to: Chief, Administrative Services Division, Headquarters, Defense Nuclear Agency, Washington, D. C. 20305 or by a visit to Room 127, 6801 Telegraph Road, Alexandria, Virginia 22310.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Information voluntarily submitted by individual.

Systems exempted from certain provisions of the act:

NONE

HDNA 412-14

System name:

412-14 Biography Files

System location:

Public Affairs Office, Defense Nuclear Agency, Washington, D C., 20305, Routing Symbol: PAO.

Categories of individuals covered by the system:

Senior military officers of the Army, Air Force, Navy and Marines who hold positions within the chain of command or heads of major headquarters within the services that may on occasion interface with Defense Nuclear Agency and/or its components. Civilians who are senior officials within the Department of Defense/Government agencies within the chain of command or department heads that may on occasion interface with Defense Nuclear Agency and/or its components.

Categories of records in the system:

Brief biographical data (sometimes including photographs), obtained on a voluntary basis with data approved by the individual.

Authority for maintenance of the system:

5 USC 301, 302 Public Law 89-554, 6 September 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain current biographies on key Defense Nuclear Agency personnel for use in routine requests and news releases. To maintain current biographies on key DoD personnel, civilian contractors, or civilians with which the agency or its personnel come in contact in the completion of their mission. Releasable to media, individuals, businesses and any other public or private requester.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

All files are in GSA 4-drawer safes with combination locks. Building is under 24-hour GSA guard system. Records are maintained in office only accessible to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Files are retained in active file until retirement, transfer, separation, or death of the individual concerned or on discontinuance of office at which time they are destroyed.

System manager(s) and address:

Public Affairs Officer, Defense Nuclear Agency, Washington, D C., 20305.

Notification procedure:

Information may be obtained from Public Affairs Office, Defense Nuclear Agency, Washington, D. C., 20305, telephone 202-325-7091.

Record access procedures:

Records are open to the public upon demand. Written requests should be addressed to Defense Nuclear Agency, ATTN: Public Affairs Office, Washington, D. C., 20305. Written requests for information should contain the full name of the individual. Visits can be arranged by the Public Affairs Office.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Biographical data voluntarily submitted by individual personally.

Systems exempted from certain provisions of the act:

NONE

HDNA 501-01

System name:

501-01 Personnel Security Files

System location:

Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C., 20305, Routing Symbol: OAIS. Also at the following subordinate commands: Field Command, Defense Nuclear Agency, Support Directorate, Kirtland AFB, Albuquerque, NM, 87115, Routing Symbol FCSD-D and maintained by Chief, Security Division, Building 20-352A; and Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, located in Buildings 42, 43, 44 and 45 on the grounds of the National Naval Medical Center, and maintained by Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C., 20305.

Categories of individuals covered by the system:

All military and civilian personnel assigned to or employed by Hqs. Defense Nuclear Agency (HQDNA), Field Command, Defense Nuclear Agency (FCDNA), and the Armed Forces Radiobiology Research Institute, (AFRRI).

Categories of records in the system:

Correspondence on personnel of HQDNA, AFRRI, and FCDNA, including military, civilian, contractors and consultants who have special access requirements; security incident files; letters of accreditation to review and receive investigative records at other agencies; administrative files pertaining to the guard company consisting of guard performance and personnel data on guards authorized to work at DNA; picture and identification card on DNA personnel; security data cards containing security clearance and personal data; personnel clearance records.

Authority for maintenance of the system:

Executive Order 10450, 'Security Requirements for Government Employment,' 27 April 1953, as amended by Executive Orders 10491, 10531, 10548, 10550, 11605, and 11785; Executive Order 11652, 'Classification and Declassification of National Security Information and Material,' 8 March 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine and show eligibility to classified information. Users include guards to determine eligibility of access to controlled access facilities, and all HQDNA, AFRRI, and FCDNA personnel, including contractors and consultants to determine clearance eligibility for access to classified information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in locked security containers. Only personnel who are properly screened, cleared and trained have access to the material.

Retention and disposal:

Records are maintained in active file as long as the individual is assigned or employed by DNA and then destroyed. In the case of contractor personnel, records are maintained as long as the individual is associated with DNA and then destroyed.

System manager(s) and address:

Director, Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C. 20305, for HQDNA and AFRRI; Chief, Security Division, FCDNA, Kirtland AFB, NM, 87115, for FCDNA.

Notification procedure:

See EXEMPTION.

Record access procedures:

See EXEMPTION.

Contesting record procedures:

See EXEMPTION.

Record source categories:

See EXEMPTION.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (j) or (k), as applicable. For additional information, contact the SYSMANAGER.

HDNA 505-18

System name:

505-18 Visitor Access Control System

System location:

Intelligence/Securify Directorate, Defense Nuclear Agency, Washington, D. C., 20305, Routing Symbol: OAIS. Also at the following subordinate commands: Field Command, Defense Nuclear Agency, Support Directorate, Kirtland AFB, Albuquerque, NM, 87115, Routing Symbol FCSD-D and maintained by Chief, Security Division, Building 20-352A; and Armed Forces Radiobiology Research Institute, Bethesda, Maryland, 20014, located in Buildings 42, 43, 44 and 45 on the grounds of the National Naval Medical Center, and maintained by Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C., 20305.

Categories of individuals covered by the system:

Individuals from other Government agencies, including military, civilian, contractors and consultants desiring to visit the Defense Nuclear Agency, Field Command, Defense Nuclear Agency, or the Armed Forces Radiobiology Research Institute.

Categories of records in the system:

File contains name, social security number, date of birth, citizenship, and degree of security clearance.

Authority for maintenance of the system:

Executive Order No. 11652, 'Classification and Declassification of National Security Information and Material,' 8 March 1972; Executive Order 10450, 'Security Requirements for Government Employment,' 27 April 1953, as amended by Executive Orders 10491, 10531, 10548, 10550, 11605, and 11785.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To show eligibility for access to classified information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, notebooks, computer paper printouts, computer cards, and file cards.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in open shelves and locked security containers accessible only to personnel who are properly screened, cleared and trained.

Retention and disposal:

Maintained in active file for 12 months after expiration of the visit and are destroyed.

System manager(s) and address:

Director, Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C., for Headquarters, Defense Nuclear Agency and the Armed Forces Radiobiology Research Institute; Chief, Security Division, Field Command, Defense Nuclear Agency, Kirtland AFB, NM.

Notification procedure:

Information may be obtained from: Director, Intelligence/Security Directorate, Defense Nuclear Agency, Washington, D. C., 20305, Telephone: Area Code 202-325-7389 for Headquarters, Defense Nuclear Agency and the Armed Forces Radiobiology Research Institute; or Chief, Security Division, Field Command, Defense Nuclear Agency, Kirtland AFB, NM., 87115, Telephone: Area Code 505-264-1423, for Field Command.

Record access procedures:

Requests for information should be addressed to: Director, Intelligence and Security Directorate, Defense Nuclear Agency, Washington, D. C, 20305, for Headquarters, Defense Nuclear Agency, and the Armed Forces Radiobiology Research Institute, or Chief, Security Division, Field Command, Defense Nuclear Agency, Kirtland AFB, NM, 87115, for Field Command. Written requests for information should contain the full name, home address, social security number, date of birth, and place of birth. For personal visits, the individual must be able to provide identification showing full name, date of birth, place of birth, and social security number.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The Military Services, other Government agencies, contractors and consultants to Government agencies.

Systems exempted from certain provisions of the act:

NONE

HDNA 609-03

System name:

Personnel Exposed to Radiation from Atmospheric Nuclear Tests

System location:

Headquarters, Defense Nuclear Agency, Washington D.C. 20305 - main computer location.

Categories of individuals covered by the system:

All DoD and DoD affliated personnel military and civilian, who participated in the United States Government atmospheric nuclear test programs in the Pacific and at the Nevada Test Site.

Categories of records in the system:

Personal information consisting of name, rank, service number, social security number, last known or current address, dates of test participation, exposure data, and unit of assignment.

Authority for maintenance of the system:

Atomic Energy Act of 1954, 42 U.S.C. 2013 and Tasking Memorandum from Office of the Secretary of Defense to the Director, Defense Nuclear Agency dated 25 Jan 78, Subject: 'DoD Personnel Participation in Atomospheric Nuclear Weapons Testing'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of Defense Components-For the purpose of preparing histories of atmospheric nuclear test participation and for use in litigation between test participants or their representatives and the Department of Defense.

Defense Nuclear Agency Contractors-For the purpose of assisting DoD components in preparation of histories of atmospheric nuclear test participation and responding to the enquries and concerns of individuals who may have participated in the test programs and/or their representatives.

National Research Council and the Center for Disease Control-For the limited purpose of conducting epidemiological studies of the effects of ionizing radiation from the atmospheric nuclear weapons tests on DoD participants in those tests.

Department of Energy-For the limited purpose of identifying AEC and AEC-contractor Personnel exposed to ionizing radiation during nuclear testing; and for conducting epidemiological studies of radiation effects of individuals so identified; and for use in litigation between the DoD and any of the individuals so identified.

Department of Transportation-For the limited purpose of identifying DOT and DOT-affiliated personnel exposed to ionizing radiation during nuclear testing and for use in litigation between the DOT and any of the individuals so identified.

Veterans Administration-For use in litigation between the VA and individuals and/or their representatives are alleging service-connected disabilities as a result of said exposure.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; computer magnetic tape disks and printouts in secure computer facility.

Retrievability:

Paper records filed in folders and computer magnetic tape and disk retrieved by SSN and name.

Safeguards:

Paper records are filed in folders stored in locked security safes. Mag tapes stored in vault in the computer area.

Retention and disposal:

Paper records are retained until information is transferred to magnetic tapes, then destroyed. Magnetic-tapes and disks are retained indefinitly.

System manager(s) and address:

Director, Defense Nuclear Agency, ATTN: Privacy Act Officer, Washington, D.C. 20305.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER.

Contesting record procedures:

Requests from individuals should be addressed to the same address as stated in the notification section above.

Record source categories:

From DNA Form 10, searches of DoD records by other DoD components, and from individuals voluntarily contacting DNA by phone or mail.

Systems exempted from certain provisions of the act:

NONE

HDNAAFRRI102-03

System name:

102-03 AFRRI Personnel Roster

System location:

Centralized System - Administrative Officer, Armed Forces Radiobiology Research Institute, Defense Nuclear Agency, Bethesda, Maryland 20014.

Categories of individuals covered by the system:

All military and civilian personnel assigned to or employed by the Armed Forces Radiobiology Research Institute, Defense Nuclear Agency.

Categories of records in the system:

File contains individual personal information consisting of name; rank/grade; service number; service and component; organization; building location and office phone; local address; home phone; name, address, and phone number of next of kin.

Authority for maintenance of the system:

5 USC 301, 302 Public Law 89-554, 6 September 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To obtain personal locator information to facilitate communications or contact for official and social purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3'x5' cards in card file box.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Cards are kept in a controlled access building which is protected by an intrusion alarm system. Always in sight or custody of a trained individual.

Retention and disposal:

Records are retained in file as long as individual is assigned to the Armed Forces Radiobiology Research Institute. Upon departure of the individual, the record is destroyed.

System manager(s) and address:

Administrative Officer, Armed Forces Radiobiology Research Institute, Defense Nuclear Agency, Bethesda, Maryland 20014

Notification procedure:

Information may be obtained from Administrative Officer, Armed Forces Radiobiology Research Institute, Bethesda, Maryland 20014.

Record access procedures:

Request from individuals should be addressed to Administrative Officer, Armed Forces Radiobiology Research Institute, Defense Nuclear Agency, Bethesda, MD 20014, or by visit to Room 2155, Armed Forces Radiobiology Research Institute, Bethesda, MD 20014, (Building 42 on the grounds of the National Naval Medical Center).

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

Information voluntarily submitted by individual and extracted from military and civilian personnel records.

Systems exempted from certain provisions of the act:

None.

HDNAFCPD41

System name:

PD41 FCDNA Personnel Data Systems

System location:

Primary System - Data Processing Branch, Computer System Division Comptroller Directorate, Field Command, Defense Nuclear Agency (FCDNA), Kirtland AFB, NM 87115. Decentralized Segment - Remote Terminal (IBM 2740), Military Personnel Branch, Personnel Division, Support Directorate, FCDNA.

Categories of individuals covered by the system:

All civilians employed by and active duty military personnel assigned to Field Command, Defense Nuclear Agency.

Categories of records in the system:

File contains Joint Manpower Program, Strength, Personnel Record, and Locator Data.

Authority for maintenance of the system:

5 USC 301, 302 Public Law 89-554, 6 September 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to compile and consolidate authorized/assigned strength for internal DNA usage. Users include all FCDNA, Headquarters DNA activities, and locator information is provided Kirtland Air Force Base, New Mexico. The system is specifically used to monitor personnel action (i. e., assignments, promotions, Effectiveness Reports), Security access, Human Reliability Program, and provide strength accounting and locator information for this joint activity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape

Retrievability:

Filed by Joint Manpower Program Position Number

Safeguards:

Controlled access to computer. Computer maintained in area accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal:

Records are maintained until transfer from or termination of individual employment with FCDNA.

System manager(s) and address:

Chief, Personnel Division, Support Directorate, FCDNA, Kirtland Air Force Base, NM 87115.

Notification procedure:

Information may be obtained from FCDNA (FCSD-B), Kirtland Air Force Base, New Mexico, 87115. Telephone: Area Code 505-264-3516.

Record access procedures:

Requests from individuals should be addressed to: FCDNA (FCSD-B), Kirtland Air Force Base, New Mexico 87115. Written requests for information should contain the full name of the individual. For personal visits, the individual should provide military or civilian identification card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information extracted from military and civilian personnel records, Joint Manpower Program document and Security Division, FCDNA.

Systems exempted from certain provisions of the act:

NONE

HDNA005

System name:

MANPOWER/PERSONNEL MANAGEMENT SYSTEM

System location:

Personnel Administraton Directorate
Defense Nuclear Agency
Washington DC 20305
Routing Symbol: OAPA

Also at the following subordinate commands:

Civilian Personnel Office
Bldg 2023A
Kirtland AFB, NM 87115

Civilian Personnel Office
Armed Forces Radiobiology Research Institute
Bethesda Maryland 20014
Bldg 42 located on the grounds of the National Naval Medical Center

Also supervisor maintained files at all three locations

Categories of individuals covered by the system:

Any individual, military or civilian, employed by DNA.

Categories of records in the system:

File contains following information on all personnel assigned to DNA: Social Security Number; Agency; Employee Name; Birth Date; Veteran's Preference; Tenure Group; Service Computation Date; Federal Employees Group Life Insurance; Retirement Code; Nature of Action Code; Effective Date of Action; Position Number; Pay Plan; Occupation Code; Functional Classification Code; Grade; Step; Pay Basis; Salary; Supervisory Position; Location Code/Duty Station; Position Occupied; Work Schedule; Pay Rate Determinant; Special Program Identification Code; Sex; Citizen Status; Date Entered Present Grade; Date Entered Present Step; Separation Date; Reason for Separation (Quit Code); Cost Center; Academic Discipline; Career Conditional Appointment Date (Conversion to Career); Education Level; Degree Date; Purpose of Training; Type of Training; Source of Training; Special Interest; Direct Cost; Indirect Cost; Date of Completion; On-Duty Hours; Off Duty Hours; JTD Paragraph Number; JTD Line Number; Competitive Level; Military Service Retirement Date; Uniformed Service; Service Commissioned (military); Service Pay Grade (rank); Agency Sub element Code; Submitting Office Number; Retired Military Code; Bureau; Unit Identification Code; Program Element Code; Civil Function Code; Guard/Reserve Technician; Appropriation Code; Active/ Inactive Strength Designation; Work Center Code; Projected Vacancy Date; Targeted Grade; Position Title; Date of Last Equivalent Increase; Fair Labor Standards Act Designator; Health Benefits Enrollment Code; Type and Date of Incentive Award; Personal Title of Employee; Civil Service or other Legal Authority; Employing Office Name; Date Probationary Period Begins; Performance Rating; Due Date for Future Action; Position Tenure; Leave Category; Average Grade by Command Element; Personnel Authorized; Projected Personnel Requirements; Special Experience Identifiers; Rotational Position Identification; Additional Duties; Office Titles; Manpower Track; Facility; Arm of Service; Branch of Service; Date of Rank; Primary/Alternate Specialty; Control Specialty; Last OER/EER; Basic Pay Entry Date; Basic Active Service Date; Date of Arrival; Projected Date of Departure; Security; Marital Status; Spouse's Name; Dependents; Address (Nr and Street, City, State, Zip Code); Phones (Home and Duty); Handicap Code; Minority Group Designator.

Authority for maintenance of the system:

5U.S.C. 301, 302, 4103, Pub. L. 89-554, September 6, 1966.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL

Assigned personnel in the agency will compile and consolidate reports relating to manpower authorizations/assigned strengths and monitor personnel actions and programs as required by management officials within the agency. Users include Headquarters, Field Command and AFRRI personnel.

Officials and employees of the Defense Nuclear Agency in the performance of their official duties related to the management of civilian and military employee programs, including the design, development, maintenance and operation of the manual and automated system of record keeping and reporting; screening and selection of candidates for centrally administered training programs or promotions; administration of grievances, appeals, complaints, or litigation involv ing equal opportunity or disclosure of records. Preparation and publication of personnel rosters to facilitate communications/ contact for official, social or emergency purposes.

Officials and employees of other Department of Defense Components upon request in the perfor mance of their official duties related to the screening and selection of candidates for programs sponsored by their organization.

A duly appointed Hearing Examiner or Arbitrator for the purpose of conducting a hearing in connection with an employee's grievance involving disclosure of records or equal opportunity matters. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of records of the DNA training or employee development records system.

EXTERNAL

Representatives of the Office of Personnel Management/Merit Systems Protection Board on matters relating to the inspection, survey.

audit or evaluation of the civilian programs or such other matters under the jurisdiction of the OPM.

The Comptroller General or any of his authorized representatives in the course of performance of duties of the General Accounting Office relating to civilian programs.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Officials and employees of other agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for programs sponsored by their organization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, discs, computer printouts, and on punched cards. Manual records are stored in paper file folders, card file boxes, and paper rosters.

Retrievability:

Automated records are retrieved by social security number. Manual Records are retrieved by employee's last name. Handicap Code and Minority Group Designators are available for access only by the Director and the EEO Officer.

Safeguards: The computer facility and terminal are located in restricted areas accessible only to authorized personnel that are properly screened, cleared, and trained. Manual records and computer printouts are available only to authorized personnel having a need to know. Building employs security guards and is protected by intrusion alarm system.

Retention and disposal:

Computer magnetic tapes are permanent. Manual records are maintained on a fiscal year basis and are retained for varying periods from 1 to 5 fiscal years after which they are destroyed in accordance with appropriate record disposal schedules.

System manager(s) and address:

Director, Personnel/Administration Directorate - Headquarters, Defense Nuclear Agency Washington, DC 20305 - Telephone: 202-325-7047.

Notification procedure:

Information may be obtained from System Manager. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests should be addressed to System Manager. Written requests for information should contain the full name of individual. For personal visists, the individual should provide military or civilian identification card.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations are contained in DNA Instruction 5400.11 (32 CFR Part 291a). Additional information may be obtained from the System Manager.

Record source categories:

Information extracted from military and civilian personnel records, Joint Manpower Program docu ment, security division, and voluntarily submitted by individual.

Systems exempted from certain provisions of the act:

None.

HDNA609-02

System name:

Personnel Radiation Exposure Records

System location:

Decentralized system. Primary location: Safety Department, Bldg. 42, Rooms 1420 and 1422, Armed Forces Radiobiology Research Institute (AFRRI), Defense Nuclear Agency, Bethesda, Maryland 20014, on the grounds of the National Naval Medical Center. Other locations are rooms 3113 and 2147 of the AFRRI; and room 1418, Bldg. 364, Field Command, Defense Nuclear Agency (FCDNA), Kirtland Air Force Base, Albuquerque, New Mexico 87115; and Office of the Commander, Enewetak Atoll, Marshall Islands.

Categories of individuals covered by the system:

All employees, contractors, visitors or anyone else who is known to enter the AFRRI building. At FCDNA, all DNA employees who work in a position, the duties of which might result in exposure to radiation. At Enewetak, all individuals who work or visit the Atoll other than transient air crews and air passengers who do not leave the aircraft. Uniformed Services University of the Health Sciences, all employees, students, visitors, contractors or anyone else known to enter a radiation environ ment at Uniform Service University of the Health Sciences (USUHS).

Categories of records in the system:

For employees at AFRRI, FCDNA, and USUHS file contains personal information con sisting of name, social security number, date of birth, current and previous radia tion exposure, history and places of employment and when exposures occurred. For others, at AFRRI, FCDNA and USUHS file contains name, social security number, date of birth, current employer, citizenship, and current exposure history. For all, at AFRRI, FCDNA and USUHS information on pregnancy and pacemaker. Enewetak files will contain personal information consisting of name, social security number, date of birth, current and previous radiation exposure history, areas visited or worked, dates of arrival and departure, and citizenship. At AFRRI, for current employees, information on date-on-board, assigned department, sex, date of departure, bio assay, grade/rank, work phone and room number.

Authority for maintenance of the system:

Atomic Energy Act of 1954, 42 USC 2013, Military Construction Appropriation Act of 1977 (P.L. 94-367) and DNA OPLAN 600-77, 'Cleanup of Enewetak Atoll'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL

To document the degree of exposure to radiation experienced by an individual; to measure quality of the radiation protection program. At AFRRI, name, grade/rank, department, room number and work phone will be used to print a current roster of personnel, for internal use in contacting personnel for official purposes.

EXTERNAL

To support legal or medical claims for or against the government; to provide exposure history to subsequent employers; to provide history to requesting individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

At AFRRI: 5' by 7' cards filed at reception desk, room 3113, 8' by 10 1/2' paper filed in rooms 1420 and 1422. Automated records are stored on magnetic tapes (for backup), disks in room 2436 and computer printouts in room 1422. At FCDNA, 8' by 10 1/2' papers are filed in a metal file cabinet in Bldg. 364. At Enewetak: 5' by 7' cards filed in a metal file cabinet in the Enewetak Commander's office.

Retrievability:

Alphabetical by last name of individual. Automated records are selectable retrievable on all fields within the record.

Safeguards:

AFRRI - Kept in a controlled access building which is protected by an instrusion alarm system. Card, paper forms and printouts are further secured in a locked cabinet. These files, when placed on a computer system, are protected by a user identification code (UIC) and password. Access is restricted to only those persons appointed by the SYSMANAGER to whom he has given the 'UIC-Password' combination. The password is changed periodically by the SYSMANAGER.

FCDNA - Controlled access building which is protected by an intrusion alarm system.

Enewetak - Locked and secured in Enewetak Commander's office.

Retention and disposal:

For employees - permanently. For visitors - retired after two years to record holding area for permanent retention. For foreign visitors, records are sent to State Depart ment for retention. All Enewetak records will be maintained permanently.

System manager(s) and address:

AFRRI and USUHS - Chairman, Safety Department, Armed Forces Radiobiology Research Institute, Bethesda, MD 20014.

Field Command, DNA and Enewetak Atoll, MI - Health Physicist, Logistics Directorate, Field Command, Defense Nuclear Agency, Albuquerque, NM 87115.

Notification procedure:

Requests should be addressed to the SYSMANAGER.

Record access procedures:

V44DE17 79 UMI

Individual can obtain assistance in gaining access from the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from SYSMANAGER.

Record source categories:

AFRRI, FCDNA, and USUHS information voluntarily submitted by individual. Enewetak information is required to be submitted by individual. Additional information added as data is collected.

Systems exempted from certain provisions of the act:

None.

JOINT CHIEFS OF STAFF

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant the eto

JOJCS001MILPERS

System name:

OJCS Medals and Awards Files and Reports System; Microfilmed Historical Awards

System location:

Military Personnel Branch, Personnel Division, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military officer/enlisted personnel, regular and reserve, who are serviced by the Organization of the Joint Chiefs of Staff.

Categories of records in the system:

File contains, but not limited to, recommendations and substantiating documents for awarding of the medals and awards; orders authorizing awards, certificates of eligibility, memorandums for the record, vote sheets, status sheets, board memberships lists, criteria and analysis, agency historical file, reports, reclama actions, recommendations for foreign awards, special category and exception to policy, bulletins, miscellaneous correspondence, Decorations and Awards Board memorandums, memorandums and records and microfilmed historical awards.

Authority for maintenance of the system:

Title 10, United States Code, Chapter 5, Sections 141-143.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Secretary of the Decorations and Awards Board is the principal user. The system constitutes a ready file of documents from which information is retrieved to properly maintain the Awards Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Access to space is limited to personnel office personnel during nonworking hours via locked door. During working hours the space is occupied by personnel office personnel at all times.

Retention and disposal:

Files are permanent. They are microfilmed and retained for historical purposes.

System manager(s) and address:

Director, Joint Staff, OJCS, The Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Secretary, Decorations and Awards Board
Organization of the Joint Chiefs of Staff
The Pentagon
Washington, D. C. 20301
Telephone: 202-695-4759

Record access procedures:

Requests from individuals should be addressed to: Secretary, Decorations and Awards Board, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Written requests for information should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification, that is, at least, his identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Source of information is obtained from agencies which are serviced by the Organization of the Joint Chiefs of Staff.

Systems exempted from certain provisions of the act:

None

JOJCS002MILPERS

System name:

Military Personnel Files

System location:

Military Personnel Branch, Personnel Division, Directorate of Administrative Services, Organization for the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All military personnel assigned to, attached to or on temporary duty with the Organization of the Joint Chiefs of Staff.

Categories of records in the system:

Files contain personal information which has been extracted from the individual's official Military Personnel File. Files contain information pertaining to, but not limited to, name, grade, service number, service job title, expected date of arrival for duty with the Organization of the Joint Chiefs of Staff, expected date of departure from the Organization of the Joint Chiefs of Staff.

Authority for maintenance of the system:

Title 10, United States Code, Chapter 5, Sections 141-143.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Military Personnel Branch, Directorate of Administrative Services, Organization of the Joint Chiefs of Staff-To perform administrative functions required on individuals prior to their assignment to, during their assignment to, and after their assignment to the Organization of the Joint Chiefs of Staff. Uses include, but are not limited to, knowing when an individual will arrive, what agency they will be assigned to, who they will replace and when an individual will depart.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; paper card files; ringed binders.

Retrievability:

Filed alphabetically by last name of individual, filed by agency; filed by requisition number.

Safeguards:

Building employs security guards. Records are stored in file cabinets. The room(s) are locked when unattended.

Retention and disposal:

Files are retained in active file until individual departs the Organization of the Joint Chiefs of Staff. Upon departure, the individual's file is placed in the inactive file. The file is retained for approximately one year.

System manager(s) and address:

Chief, Military Personnel Branch, Personnel Division, Directorate of Administrative Services, Organization of the Joint Chiefs of Staff.

Notification procedure:

Information may be obtained from:
Chief, Military Personnel Branch
Personnel Division
Directorate of Administrative Services
Organization of the Joint Chiefs of Staff
The Pentagon
Washington, D. C. 20301
Telephone: 202-697-3540

Record access procedures:

Request from individuals should be addressed to: Chief, Military Personnel Branch, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Written request for information should contain the full name of the individual, current address, and telephone number.

For personal visits, the individual should be able to provide some acceptable identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Source of information is the individual and the individual's Official Military Personnel File.

Systems exempted from certain provisions of the act:

None

JOJCS003SMB

System name:

Directorate Administrative Services Management Information System (DASMIS)

System location:

Staff Management Branch, Directorate of Administrative Services, Organization of Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All individuals assigned to the OJCS; all persons with access into the OJCS restricted areas; personnel with SIOP clearances.

Categories of records in the system:

File contains individual's security clearances, personal and office address, date of rank, date of birth, assignment and rotation dates, service, rank, grade, Social Security Account Number.

Authority for maintenance of the system:

Title 10, United States Code, Chapter 5, Sections 141-143.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Division-Perform all administrative functions as appropriate with respect to personnel assigned to the OJCS: monitor and process requests for manpower and organizational management services, perform organizational and manpower reviews for the OJCS.

Services Division-Develop and prepare financial planning data for the OJCS and carry out associated programming and fiscal functions, assign space and provide equipment, supplies and service support as may be required for the OJCS.

Security Division-Devise and implement personnel and physical security policies and provide for the security of the area occupied by the OJCS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Disc, magnetic tape backup.

Retrievability:

Record ID made up of billet number, record type and Social Security Account Number.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened and cleared, also access to data requires the proper user-ID and password.

Retention and disposal:

Personnel records are permanent. All records are maintained in an active file.

Security-OJCS records are permanent. Non-OJCS records are deleted upon termination/expiration of badges or passes.

System manager(s) and address:

Staff Management Branch, Directorate of Administrative Services, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

National Military Command System Support Center, Defense Communications Agency, The Pentagon, Washington, D. C. 20301.

Notification procedure:

Information may be obtained from:
Staff Management Branch, Directorate of Administrative Services, OJCS
Room 1A724, The Pentagon
Washington, D. C. 20301
Telephone: 202-695-0475

Record access procedures:

Requests from individuals should be addressed to: Staff Management Branch, Directorate of Administrative Services, OJCS, The Pentagon, Washington D. C. 20301.

Written requests for information should contain the full name, rank and service and agency while assigned to the OJCS, plus Social Security Account Number.

For personal visits, the individual should be able to provide some acceptable identification, that is: driver's license, employing office identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is obtained from various OJCS, DoD, and Standard Forms from the respective Services; from distributed documents routed to all personnel effected.

Systems exempted from certain provisions of the act:

None

JOJCS004SECDIV

System name:

Personnel Security File, Security Division, DAS

System location:

Personnel Security Branch, Security Division, Directorate of Administrative Services, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

Categories of individuals covered by the system:

All personnel assigned to or employed by the OJCS who have been granted a security clearance; all individuals who are civilian applicants or military nominees for duty with OJCS; all persons who have been authorized a pass for access to the restricted areas of the OJCS.

Categories of records in the system:

File contains individual's record of security clearances granted; security briefing and debriefing certificates; personal history statements; record card file of request for pass or badge; and other related security processing papers.

Authority for maintenance of the system:

Title 10, United States Code, Chapter 5, Sections 141-143.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Division, DAS-To perform all administrative functions necessary to determine eligibility of personnel for security clearances, provide processing of all security clearances; processing and producing all passes and badges for personnel requiring access to OJCS restricted areas; devise and implement security policies and provide for the security of the OJCS areas.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; paper card files.

Retrievability:

Filed alphabetically by individual's last name.

Safeguards:

Building employs security guards. Records are maintained in an alarmed vault accessible only to authorized Security Division personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are retained in active file until individual departs the OJCS at which time entire file is destroyed; card files are deleted upon termination/expiration of pass or badge.

System manager(s) and address:

Director of Administrative Services, Organization of the Joint Chiefs of Staff.

Notification procedure:

Information may be obtained from:
Security Division, Directorate of Administrative Services, OJCS
Room 2E949, The Pentagon
Washington, D. C. 20301
Telephone: 202-695-0866

Record access procedures:

Requests from individuals should be addressed to: Chief, Security Division, Directorate of Administrative Services, OJCS, Pentagon, Washington, D. C. 20301.

Written requests for information should contain the full name, rank, Service, Social Security Account Number of the individual, current address, telephone number and agency to which assigned in OJCS or if non-OJCS, identify current employer. Visits are limited to the Security Division, Directorate of Administrative Services, Organization of the Joint Chiefs of Staff, The Pentagon, Washington, D. C. 20301.

For personal visits, the requesting individual must provide acceptable proof of identity, such as full name, date and place of birth and some additional verbal information that can be verified by his 'case' record, such as parents' names, recent addresses, etc.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Personal History Statements and related security forms from the individual being considered for security clearances or passes; clearance verification correspondence; correspondence originating from the Defense Investigative and other Federal agencies.

Systems exempted from certain provisions of the act:

None

DEFENSE COMMUNICATIONS AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

KCIV.01

System name:

Records Relating to DCA Transactions under the Privacy Act of 1974

System location:

Each office of the Defense Communications Agency (DCA) worldwide which is required to submit information it maintains for each system of records maintained under the provisions of the Privacy Act of 1974 and records of information released or withheld under the Act.

Categories of individuals covered by the system:

All military and civilian personnel currently assigned to or employed by DCA. Also limited historical records on personnel previously assigned or employed by DCA.

Categories of records in the system:

All types of records which relate to release or withholding of data relating to the rights of the privacy of an individual.

Authority for maintenance of the system:

PL 93-579, 'The Privacy Act of 1974'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Civilian Assistant to the Chief of Staff, Headquarters, DCA for periodic reporting under provisions of the Act.

Used by the Comptroller, Headquarters, DCA for budgeting and manpower allocation within the Agency.

Used by the Counsel, Headquarters, DCA in preparing for possible litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records kept in file cabinets or safes.

Retrievability:

By name or SSAN.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Retained for at least 5 years, then destroyed.

System manager(s) and address:

Civilian Assistant to the Chief of Staff, Code 104, Headquarters, DCA

Notification procedure:

Requests from individuals should be addressed to the Civilian Assistant to the Chief of Staff, Code 104, Headquarters, DCA. The full name and organizational assignment, of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Office of the Civilian Assistant to the Chief of Staff, DCA, Code 104, to obtain information on whether the system contains records pertaining to him or her. As proff of identity the requester should present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Civilian Assistant to the Chief of Staff for assistance. The mailing address is listed in the organizational directory of the DCA published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Accountings submitted by those DCA officials who are SYSMANAGERS of Record Systems reportable under the Privacy Act of 1974.

Systems exempted from certain provisions of the act:

NONE

KDCE.01

System name:

Visit notification/Clearance Verification Records NR501-11.

System location:

Security Branch, Room 1A06, Defense Communications Engineering Center (DCEC), Code R121.

Categories of individuals covered by the system:

Same plus industrial contractors requiring admittance to the facility on official business.

Categories of records in the system:

Form listing the name, date and place of birth, SSAN, clearance status, and basis for that clearance.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: To identify official visitors to defense installations and organizations responsible for work on Defense Department contracts and verify the level of classification to which each is authorized access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Destroyed one year after revocation of permit to enter premises.

Storage:

File folders.

Retrievability:

By folder identified by contractor or individual's name.

Safeguards:

Building security guards. Records maintained in area accessible only to authorized personnel who are appropriately cleared and trained.

Retention and disposal:

Records not permanent. Retained one year after revocation then destroyed.

System manager(s) and address:

Chief, security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Branch, Defense Communications Engineering Center (DCEC),1860 Wiehle Avenue, Reston, Virginia 22090. The full name of the requesting individual will be required to determine if the system contains a record about him or her. the requester may visit the Security Branch, Defense Communications Engineering Center (DCEC) 1860 Wiehle Avenue, Reston, Virginia 22090, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or drivers's license.

Record access procedures:

Contact the Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military and Civilian Personnel whose names appear on the form.

Systems exempted from certain provisions of the act:

NONE

KDCE.02

System name:

Parking Permit Control Files 501-07.

System location:

Security Branch, Defense Communications Engineering Center (DCEC)) Code R121

Categories of individuals covered by the system:

Military and Civilian personnel employed by the Defense Communications Engineering Center (DCEC) and Command and Control Technical Center (CCTC).

Categories of records in the system:

Owner's name and vehicle identification data and parking number assigned.

Authority for maintenance of the system:

Federal Property Management Regulations, Temporary Regulation D-47, dated 22 May 1974, issued by the General Services Administration (GSA).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assign specific parking spaces to personnel so authorized; and to identify parked vehicles when circumstances so dictate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Destroyed upon departure of individual from employment with Defense Communications Engineering Center (DCEC) or Command and Control Technical Center (CCTC) or when no longer authorized to park.

Storage:

File folders

Retrievability:

By parking number

Safeguards:

Building security guards, records maintained in area accessible only to authorized personnel who are appropriately cleared and trained.

Retention and disposal:

Records are not permanent. Retained while individual is authorized reserved parking, then destroyed.

System manager(s) and address:

Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090 to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military and Civilian personnel whose names appear on the form.

Systems exempted from certain provisions of the act:

NONE

KDCE.03

System name:

DA Form 727 Classified Container Information File 503-02

System location:

Security Branch, Room 1A06, Defense Communications Engineering Center (DCEC), Code R121.

Categories of individuals covered by the system:

Classified container information listing the name, address, and telephone number of each person authorized access to the container.

Categories of records in the system:

This form records the name,grade,address, and home telephone numbers of the above individuals.

Authority for maintenance of the system:

Executive Order 10450, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify, locate and contact each person authorized access when the need arises.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Destroy when obsolete, i.e. when person departs, when combination changed, or when container no longer used.

Storage:

File folders

Retrievability:

By capital property number

Safeguards:

Building security guards, records maintained in area accessible only to authorized personnel who are appropriately cleared and trained.

Retention and disposal:

After becoming obsolete, file is destroyed.

System manager(s) and address:

Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Security Branch, Defense Communications Engineering Center (DCEC), 1860 Wiehle Avenue, Reston, Virginia 22090. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military and Civilian Personnel whose names appear on the form.

Systems exempted from certain provisions of the act:

NONE

KDEC.01

System name:

Vehicle Registration

System location:

Administrative Division, Code D200, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois

Categories of individuals covered by the system:

Records system contains the names of each civilian and military member assigned to the DECCO work site.

Categories of records in the system:

Records consist of Air Force Form 533, Private Moter Vehicle Registration -- Certificate of Compliance, original and duplicate with signature of the individuals, who are required to fill out the registration form. Form contains name, address, office code, office telephone number, social security account number, make of car, color, state where licensed, and license number.

Authority for maintenance of the system:

Executive order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Chief, Administrative Division to ensure compliance with the laws of Illinois.

Used by the Air Police as a traffic management device.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Registration forms are filed in metal cabinet.

Retrievability:

Records are retrieved by name of individual.

Safeguards:

Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

Records are not permanent. They are maintained during the tenure of the individual on the base and destroyed 90 days after his departure.

System manager(s) and address:

Chief, Administrative Division, DECCO.

Notification procedure:

Requests from individuals should be addressed to Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois. The full name of the requesting individual will be required to determine if the system contains arecord about him or her. As proof of identity, the requestor must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Activity's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Source of the information pertaining to the individual and his car is furnished by the individual.

Systems exempted from certain provisions of the act:
NONE

KDEC.02

System name:
Authorization to Sign for Classified Material List

System location:
Administrative Division, Code D200, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois

Categories of individuals covered by the system:
Records Systems contains the names of DECCO personnel who are authorized to receive classified material from the Commander 375 Air Base Group, Scott Air Force Base, Illinois.

Categories of records in the system:
Records consist of retained copy of letter containing names and specimen signatures of DECCO personnel who are authorized to pick up classified material from the 375 Air Base Group, Scott Air Force Base, Illinois.

Authority for maintenance of the system:
Executive order 10450, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by the Chief, Administrative Division, Cdoe D210, DECCO to determine which DECCO personnel are authorized to pick up classified mail from the 375 Air Base Group.
Used by the Commander, 375 Air Base Group to verify that DECCO personnel who appear at the unit to pick up classified mail are authorized to do so.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Records are filed in a folder which is kept in a safe.

Retrievability:
Information is retrieved by name.

Safeguards:
Records are maintained in a safe in an area which is accessible only to authoized personnel who are properly screened, cleared, and their duties require them to be in the area where the records are kept.

Retention and disposal:
Records are not permanent. List is updated as personnel changes occur. The superseded list is then destroyed.

System manager(s) and address:
Chief, Administrative Division, DECCO.

Notification procedure:
Requests from individuals should be addressed to Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:
Contact the Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published inthe Federal Register and should be referenced by the requester.

Contesting record procedures:
The Activity's rules for access and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:
Names of the individuals in the system are furnished by the Chief, Administrative Division, DECCO.

Systems exempted from certain provisions of the act:
NONE

KDEC.03

System name:
Classified Material Receipt Authorization List

System location:
Administrative Division, Code D200, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois.

Categories of individuals covered by the system:
Records system contains names of DECCO personnel who are authorized to receive classified material upon delivery by mail room personnel.

Categories of records in the system:
Records consist of name, social security number, and grade of individuals authorized to receipt for classified documents.

Authority for maintenance of the system:
Executive Order 10450, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Chief, Administrative Division uses the list as a tracer to determine individuals who receive classified material.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Records are stored in a locked safe.

Retrievability:
Records are retrieved by name.

Safeguards:
Records are maintained in a safe in an area which is accessible only to authorized personnel who are properly screened, cleared, and their duties require them to be in the area where the records are kept.

Retention and disposal:
Records are not permanent. List is updated as personnel changes occur. Superseded list is then destroyed.

System manager(s) and address:
Chief, Administrative Division, DECCO.

Notification procedure:
Requests from individuals should be addressed to Chief, Administrative Division, Code D200, DECCO. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:
Contact the Chief, Administrative Division, Code D200, DECCO, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:
The Activity's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:
Names of individuals in the system are furnished by the Chief, Administrative Division, DECCO.

Systems exempted from certain provisions of the act:
NONE

KDEC.04

System name:
Authority to Review/Sign for Classified Messages at 1918 Communications Center

System location:
Administrative Division, Code D210, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois.

Categories of individuals covered by the system:
Records system contains the names of DECCO personnel who are authorized to review, sign for, and pick up classified messages in the Communications Center, 1918 Communications Squadron.

Categories of records in the system:
Records consist of a copy of a letter addressed to the Commander, 1918 Communications Squadron to show specimen signatures of DECCO personnel who are authorized to review, sign for, and pick up classified messages at that unit.

Authority for maintenance of the system:
Executive Order 10450, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by Chief, Administrative Division, DECCO to determine which mail room personnel are authorized to review, sign for, and pick up classified messages.

Used by Commander, 1918 Communications Squadrom to verify that specific DECCO personnel who came to the Communications Center to pick up classified messages are authorized to do so.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Records are filed in a file folder which is kept in a safe.

Retrievability:
Information is retrieved by name of individual.

Safeguards:
Records are maintained in a safe in an area which is accessible only to authorized personnel who are properly screened, cleared, and their duties require them to be in the area where the records are kept.

Retention and disposal:
Records are not permanent. List is updated as required. The superseded list is then destroyed.

System manager(s) and address:
Chief, Administrative Division, DECCO.

Notification procedure:
Requests from individuals should be addressed to Chief, Administrative Division, Code D210, DECCO. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:
Contact the Chief, Administrative Division, Code D210, DECCO, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:
The Activity's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:
Names of the individuals in the system are furnished by the Chief, Administrative Division, DECCO.

Systems exempted from certain provisions of the act:
NONE

KDEC.05

System name:
Access Listing to Classified Material (NATO)

System location:
Administrative Division, Code D200, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois.

Categories of individuals covered by the system:
Records system contains the names and specimen signatures of DECCO personnel who are authorized access to NATO documents.

Categories of records in the system:
Records consist of copy of letter sent to Code 240, Headquarters, A. Letter contains names and specimen signatures of DECCO personnel who are NATO control officers and alternates.

Authority for maintenance of the system:
Executive Order 11652

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Used by the Chief, Administrative Division to determine personnel who are authorized access to NATO documents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Records are filed in a folder which is kept in a safe.

Retrievability:
Information is retrieved by name.

Safeguards:
Records are maintained in a restricted area which is accessible only to authorized personnel who are properly screened, cleared, and their duties require them to be in the area where the records are kept.

Retention and disposal:
Records are not permanent. They are updated when changes in personnel occur, and the superseded list is destroyed.

System manager(s) and address:
Chief, Administrative Division, DECCO.

Notification procedure:
Requests from individuals should be addressed to Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:
Contact the Chief, Administrative Division, Code D200, DECCO, Scott Air Force Base, Illinois, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:
The Activity's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:
Names of individuals are furnished by the Chief, Administrative Division, DECCO.

Systems exempted from certain provisions of the act:
NONE

KDEC.06

System name:
Nominations/Enrollments for Training Courses

System location:
Administrative Division, Defense Commercial Communications Office (DECCO), Code D220, Scott Air Force Base, Illinois.

Categories of individuals covered by the system:
Records required on military and civilian members who enroll in government training courses.

Categories of records in the system:
Record indicates personnel data and is not revealed to anyone other than individuals involved in obtaining or allocating classroom spaces.

Authority for maintenance of the system:
5 U.S. Code, Chapter 41 and Executive Order 11348

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:
Records are used by Chief, Administrative Division to enroll students who have been selected by operating officials to attend government training courses. Information includes name, social security number, office phone, home phone, home address, job title, grade, emergency phone, and emergency address, and name of individual to contact in case of emergency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:
Records are kept in a locked file cabinet.

Retrievability:
Records are retrieved by name of trainee.

Safeguards:
Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:
Records are retained five years, then destroyed.

System manager(s) and address:
Chief, Administrative Division, DECCO, Code D210, Scott Air Force Base, Illinois.

Notification procedure:
Requests from individuals should be addressed to Chief, Administrative Division, DECCO, Code D220, Scott Air Force Base, Illinois. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:
Contact the Chief, Administrative Division, DECCO, Code D220, Scott Air Force Base, Illinois, for assistance. The mailing address is listed in the organizational directory of the Defense Communications

Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

DECCO's rules for access to records and for contesting their content and appealing initial determination by the individuals concerned are set forth in the Rules and Regulations Section of the Federal Personnel Manual.

Record source categories:

Information provided by individuals.

Systems exempted from certain provisions of the act:

NONE

KDEC.07

System name:

601-11 Duty Rosters

System location:

Administrative Division, Defense Commercial Communications Office (DECCO), Code D210, Scott Air Force Base, Illinois

Categories of individuals covered by the system:

On a rotation basis all military and civilian Division Chiefs are on call after duty hours to take action on messages received at the 1918 Communications Center.

Categories of records in the system:

Records contain names and telephone numbers of DECCO personnel on call for duty after regular work hours.

Authority for maintenance of the system:

10 U.S. code 133(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Listing is used to provide names and home telephone numbers of individuals who may be called after duty hours.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Rosters are locked in a file cabinet.

Retrievability:

Records are retrieved by name of designated individuals.

Safeguards:

Records are stored in a locked file cabinet.

Retention and disposal:

Records are retained two years then destroyed.

System manager(s) and address:

Chief, Administrative Division, Code D210, DECCO, Scott Air Force Base, Illinois.

Notification procedure:

Records from individuals should be addressed to Chief, Administrative Division, Code D210, DECCO, Scott Air Force Base, Illinois. The full namee of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Chief, Administrative Division, Code D210, DECCO, Scott Air Force Base, Illinois, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Administrative Division, Code D210, DECCO, Scott Air Force Base, Illinois. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

DECCO's rules for access to records will be determined by the Legal Counsel on a case by case basis.

Record source categories:

Obtained from personnel records retained in D210/D220

Systems exempted from certain provisions of the act:

NONE

KDEC.08

System name:

101-06 Request and Authorization for Temporary Duty Travel

System location:

Administrative Division, Code D210, Defense Commercial Communications Office (DECCO), Scott Air Force Base, Illinois.

Categories of individuals covered by the system:

Military and civilian members who travel in performance of conducting DECCO business.

Categories of records in the system:

Provides traveler's name, social security number, purpose, travel schedule, job title, days involved, cost, and fund citation to cover cost of travel.

Authority for maintenance of the system:

10 U.S. Code 133(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Copies are provided to the Accounting and Finance Officer, DECCO, Code D532, to substantiate payment of travel voucher on return to duty.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a locked safe.

Retrievability:

Records are retrieved by name of traveller.

Safeguards:

Records are stored in a locked file cabinet and records are accessible to Administrative Division personnel only.

Retention and disposal:

Records are retained two years then destroyed.

System manager(s) and address:

Chief, Administrative Division, DECCO, Code D210, Scott Air Force Base, Illinois.

Notification procedure:

Requests from individuals should be addressed to Chief, DECCO, Code D210, Scott Air Force Base, Illinois. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Administrative Division, DECCO, Code D210, Scott Air Force Base, Illinois, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures: DECCO's rules for access to records will be referred to the Legal Counsel on a case by case basis.

Record source categories:

Provided by traveler.

Systems exempted from certain provisions of the act:

NONE

KEUR.02

System name:

DCA Form 605, Personnel Data Sheet.

System location:

Management Support Division, Defense Communications Agency Europe (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

All personnel assigned to DCA Europe.

Categories of records in the system:

Records consist of information on each individual including name, grade, SSAN, date and place of birth, permanent home address, marital and dependent status, passport number, rotation date, forwarding address, date of rank, PAFSC/MOS/NEC, date reported, SAFC/MOS/NEC, civilian and military education, BASD/TAFMSD, residence and duty phone numbers, and emergency addressee.

Authority for maintenance of the system:

10 U.S.code 133(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained for use by the Management Support Division as a reference file and routine or emergency locator file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file folders

Retrievability:

Records filed alphabetically by last name of individuals.

Safeguards:

Records maintained in a locked container accessible to authorized personnel only. Military police are posted at entrance of the building.

Retention and disposal:

Record maintained for one year after departure of individual then destroyed.

System manager(s) and address:

Management Support Division, DCA Europe, APO New York 09131

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, DCA-Europe, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

All information is provided by the individual upon initial assignment..

Systems exempted from certain provisions of the act:

NONE

KEUR.03

System name:

Incident Report File

System location:

Management Support Division, Defense Communications Agency Europe (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

Any personel(military or civilian) assigned to DCA Europe involved in a traffic, financial, criminal or other incident which is reported to the Commander DCA Europe for information or necessary action.

Categories of records in the system:

Copies of Reports of Investigation, Military Police Incident Reports, Traffic tickets,Letters of Notification of Dishonored checks, and correspondence or documents concerning other matters brought to the attention of the Commander DCA Europe relating to personnel assigned to this Command.

Authority for maintenance of the system:

10 U.S. Code 133(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintained as a reference file for use by the Commander DCA Europe to document required actions taken in response to reports and notification of incidents involving assigned personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders.

Retrievability:

Information is retrieved by name of the individual.

Safeguards:

Records are maintained in a locked security file container and may be accessed only by the Commander, Deputy Commander, Chief, Management Support Division, or other persons specifically designated by the Commander.

Retention and disposal:

Records are maintained in an active file during the period of the individual's assignment to DCA Europe and destroyed on his or her departure.

System manager(s) and address:

Commander, DCA Europe, APO New York 09131

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, DCA-Europe, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is obtained from reports, documents, and correspondence received from Civilian and Military Police Service Investigative Agencies, Military Exchange and Commissary systems, or any other agency or individual that reports information of an incident nature to the Commander DCA Europe.

Systems exempted from certain provisions of the act:

NONE

KEUR.04

System name:

Security Clearance File

System location:

Management Support Division, Defense Communications Agency Europe (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

All personnel assigned to DCA Europe

Categories of records in the system:

File contains roster by name and social security number which reflects the US and NATO security clearances held by DCA Europe personnel.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained as a centralized reference document for verification of security clearances held by DCA Europe personnel. Clearances are certified to other US government agencies as required

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Roster is stored in a locked file container.

Retrievability:

Information is retrieved by name.

Safeguards:

Roster is maintained in a locked file container with access limited to authorized personnel only.

Retention and disposal:

Records are maintained during the period of current employment with DCA EUR & noncurrent information is deleted from the file at the time of departure of individual.

System manager(s) and address:

Management Support Division, Code E200, DCA Europe, APO New York 09131

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, DCA-Europe, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity,

the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The agency's rules for access to records & for contesting contents & appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information maintained on the roster is obtained from the original clearance certification by HQ DCA and documents signed by the individual which acknowledge receipt of additional access.

Systems exempted from certain provisions of the act:

NONE

KEUR.05

System name:

Classified Container Information Forms

System location:

Office of Security Officer, Headquarters, Defense Communications Agency Europe (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

Persons who have been designated for access to the containers and who may be contacted for access in case of emergency.

Categories of records in the system:

Retained copies of DA Forms 727, which contain name, home address, and phone number of individual.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to maintain current designation of persons who may be contacted for access to the container.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Forms maintained in locked file cabinet.

Retrievability:

Information is retrieved by name of individual.

Safeguards:

Containers are located in locked or controlled access areas. Military police are posted at entrance of the building.

Retention and disposal:

Forms are renewed every six months or when any individual having access to the container departs, and then destroyed.

System manager(s) and address:

Security Officer, DCA Europe, APO NY 09131

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, DCA-Europe, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing intial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals designated by Division Supervisors.

Systems exempted from certain provisions of the act:

NONE

KEUR.07

System name:

Postal Directory File

System location:

Management Support Division, Defense Communications Agency Europe (DCA-EUR), APO New York 09131, and Field Offices.

Categories of individuals covered by the system:

All individuals currently assigned to DCA Europe and those who departed within preceeding 12 months.

Categories of records in the system:

Records consist of change of address recorded on DA Form 3955 (change of address and directory record).

Authority for maintenance of the system:

U.S.A. Postal Manual, Chapter 1, Part 158.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Card files are maintained by the Commander APO 09131 Post Office, and the APO Mail Distribution Center for the Stuttgart, Germany area located at Wallace Barracks. Files are also maintained at Postal Facilities servingg the Field Offices: Worms - APO 09056, UK - APO 09378, Naples - FPO 09524, Athens - APO 09223. Information is used by SYSMANAGER to direct mail delivery to the proper address.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in card file boxes in the mail room.

Retrievability:

Information is retrieved by name of individual and organizational assignment.

Safeguards:

Records are maintained in rooms approved for the storage of US mail and are accessible only to authorized personnel. Military police are posted at the entrance of the building.

Retention and disposal:

Records are maintained in an active file during period of current assignment to DCA Europe and for one year after departure, at which time they are destroyed.

System manager(s) and address:

Management Support Division, DCA Europe, APO New York 09131

Notification procedure:

Requests from individuals should be addressed to SYSMANAGER.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is provided by individuals upon initial assignment to DCA Europe.

Systems exempted from certain provisions of the act:

NONE

KEUR.08

System name:

Travel Order and Voucher File

System location:

Management Support Division, Defense Communications Agency Europe (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

All personnel who perform official travel under orders issued by DCA Europe

Categories of records in the system:

Records in the system consist of travel orders, transportation requests, commercial carrier transportation tickets, travel advance vouchers, records of travel claims and payments. Data in the system includes the individual's name, SSAN, home phone and address, and other pertinent travel information.

Authority for maintenance of the system:

10 U.S. Code 133(b)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records maintained by SYSMANAGER for budget and accounting purposes to verify amounts actually spent for travel, and for control of an accountability for travel orders issued by DCA Europe. Used by prosecution authorities in case of fraud.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file folders.

Retrievability:

Records filed sequentially by travel order number.

Safeguards:

Records maintained in locked file containers accessible only to authorized personnel. Military police are posted at building entrance during duty hours.

Retention and disposal:

Records are maintained for two calender years and then destroyed.

System manager(s) and address:

Management Support Division, DCA-Europe, APO New York 09131

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, Defense Communications Agency Europe, APO New York, 09131. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-Europe, APO New York 09131, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Personal information is obtained from individual travelers and entered on the travel order form.

Systems exempted from certain provisions of the act:

NONE

KEUR.09

System name:

NONCOMBATANT Information Card, AEZ Form 6-106.

System location:

Management Support Division, Defense Communications Agency, European Area, (DCA-EUR), APO New York 09131.

Categories of individuals covered by the system:

(1) All legal dependents of United States Forces personnel

(2) United States civilian employees of DoD Agencies and their dependents

(3) Department of Defense or a military service department sponsored United States technical representatives

(4) Bonafide members of households of United States Forces personnel and of persons in (2) and (3) above

(5) United States personnel who are special invitees possessing current Department of Defense or a military service department invitational travel orders.

(6) Dependents of United States personnel assigned to United States elements of any North Atlantic Treaty Organization military headquarters or agency when common facilities are used and that the Secretary of Defense has authorized to receive United States support

(7) Other United States nongovernmental, nonmilitary individuals and agencies in oversea military commands for whom military logistical support is authorized in joint military regulations (e.g., USO, American Red Cross).

Categories of records in the system:

AEZ Form 6-106, Noncombatant Information Card. It contains information on the following:

Sponsor. Name; grade, date arrived in theater, data of return from overseas; SSAN; organization and duty section; occupation specialty; branch of service or agency; military post or base name and city location; building number; room number; duty phone; ZIP Code; and APO or FPO.

Noncombatant. Local residence street number and name and city; area; building number; apartment number; home phone; ZIP Code; date assigned; Continental United States residence street number and name or Post Office Box number; city; state or terriroty; and ZIP Code.

Vehicle. vehicle number(s) and make(s); year(s); and capacity.

Names of all noncombatants. for each: passport number; SSAN; relationship; month and year of birth; whether or not has an identification tag; immunization record; and if or if not a driver of vehicle.

Briefings. Briefing by supervisor to sponsor; warden to noncombatant; route reconnaissance; and noncombatant Evacuation Operations rehersal. For each of the above items, dates information given; by whom given; frequency of review items; date and signature of sponsor and supervisor for each of the items to authenticate that all above items reviewed as required.

Authority for maintenance of the system:

Title 10, U.S.C., Section 3012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Chief, Management Support Division, to determine preparedness of noncombatants for evacuation, if required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is recorded on 8 x 10 1/2 cardboard cards and filed in notebook binder.

Retrievability:

Information is retrieved manually by name.

Safeguards:

Records are filed in file cabinet and maintained in a restricted area which is accessible only to authorized personnel who are required to be in the area where records are kept.

Retention and disposal:

Records are not permanent. Records are updated as changes occur and destroyed on departure of the sponsor from DCA-Europe.

System manager(s) and address:

Chief, Management Support Division, DCA-Europe, APO New York 09131.

Notification procedure:

Requests from individuals should be addressed to the Chief, Management Support Division, DCA European Area, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record of the requester. As proof of identity, the requester, if assigned to DCA European Area, must present a current DCA identification badge or current motor vehicle operator's license. If not assigned to the DCA European Area but still in the military service the requester must provide a current motor vehicle driver's license or Social Security Account Number. If no longer affiliated with the Department of Defense must provide Social Security Account Number.

Record access procedures:

Contact the Chief, Management Support Division, DCA European Area, APO New York 09131, for assistance.

Contesting record procedures:

The DCA rules for access to records for contesting contents and appealing initial determination by the individual concerned are contained in DCAI 210-225-2 or in C.F.R. Part 287a.

Record source categories:

Information is furnished by the individual concerned; or from official records provided by personnel offices of the 1141st US Air Force Special Activities Squadron; Headquarters, European Command, Army, Navy, Air Force and Marine Corps Elements; Stuttgart Area Civilian Personnel Office; and the US Finance and Accounting Office, Europe.

Systems exempted from certain provisions of the act:

None.

KEUR.10

System name:

Personnel File.

V 4 4 D E 1 7 7 9 UMI

System location:

Management Support Division, Defense Communications Agency, (DCA) European Area, APO New York 09131.

Categories of individuals covered by the system:

All military and civilian personnel assigned to Headquarters, DCA European Area.

Categories of records in the system:

Records consist of security clearance data (Air Force Form 47: Certificate of Eligibility and Record of Personnel Security Clearance, and DCA Form 548: Status of Clearance); record of requests for changes to assignment; job title and position (Air Force Form 2095: Assignment/Personnel Action, and Standard Form 52: Request for personnel action); leave data; special orders published by the DCA European Area pertaining to additional duties; and sponsorship information.

Authority for maintenance of the system:

Title 10, U.S.C. 136(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Chief, Management Support Division, to verify security clearance status, initiate personnel actions such as effectiveness reports, changes in position, title or assignment; record of additional duties, and related routine personnel and administrative matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in folder.

Retrievability:

Information is retrieved by name.

Safeguards:

Records are maintained in a safe accessible only to personnel authorized in the performance of their official duties.

Retention and disposal:

Records are maintained one year after departure of the individual from the DCA-European Area and then destroyed.

System manager(s) and address:

Chief, Management Support Division, DCA European Area, APO New York 09131.

Notification procedure:

Requests from individuals should be addressed to the Chief, Management Support Division, DCA European Area, APO New York 09131. The full name of the requesting individual will be required to determine if the system contains a record of the requester. As proof of identity, the requester, if assigned to DCA European Area, must present a current DCA identification badge or current motor vehicle driver's license or Social Security Account Number. If no longer affiliated with the Department of Defense must provide Social Security Account Number.

Record access procedures:

Contact the Chief, Management Support Division, DCA European Area, APO New York 09131, for assistance.

Contesting record procedures:

The Defense Communications Agency rules for access to records for contesting contents and appealing initial determination by the individual concerned are contained in DCAI 210-225-2 or in 32 C.F.R. Part 287a.

Record source categories:

Information is furnished by the individual concerned; or from official records provided by personnel offices of the 1141st US Air Force Special Activities Squadron; Headquarters, European Command, Army, Navy, Air Force and Marine Corps Elements; Stuttgart Area Civilian Personnel Office; and the US Finance and Accounting Office, Europe.

Systems exempted from certain provisions of the act:

None.

KMIN.01

System name:

Minority Identification File List

System location:

Office of the Director of Equal Employment Opportunity, Headquarters, Defense Communications Agency (DCA), Washington, D.C.

Categories of individuals covered by the system:

Each civilian employee of DCA.

Categories of records in the system:

Employee's name; social security number; grade and step; salary, job title; race or national origin; sex; DCA office code; and occupation code.

Authority for maintenance of the system:

Federal Personnel Manual Chapter 713, Section 3-4(c) 'Use of Statistical Data; Agency Self-Evaluation.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used exclusively by the Director of Equal Employment Opportunity in studies and analyses that contribute affirmatively to achieving the objectives of the Equal Employment Opportunity Program. That is, the list is used to identify whether or not any bias patterns may exist in hiring, advancement, and training opportunities and also to provide information to the Civil Service Commission in affirmative action plans.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The record is stored in a locked file cabinet.

Retrievability:

Retrieved by the grade, job title, race or sex of employees, and SSAN.

Safeguards:

Building employs security guards. List locked in file cabinet. Only the Director of Equal Employment Opportunity has access.

Retention and disposal:

The record is destroyed annually.

System manager(s) and address:

Director of Equal Employment Opportunity, Headquarters, DCA (ATTN: Code 107), Washington, D.C. 20305.

Notification procedure:

Requests from individuals should be addressed to the Director of Equal Employment Opportunity, Headquarters, DCA, Code 107. The individual's full name and organization will be required to determine if the system contains a record about him or her. The requester may visit the Office of Equal Employment Opportunity, Headquarters, DCA, Code 107, to obtain information on whether the system contains records pertaining to him or her. Proof of identity will be by presentation of current DCA identification badge or a driver's license.

Record access procedures:

Contact the Director of Equal Employment Opportunity, Headquarters, DCA, Code 107, for assistance in this regard. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Personnel Processing Clerks and personnel records.

Systems exempted from certain provisions of the act:

NONE

KNCS.01

System name:

National Communications Systems Continuity of Operations Plan (NCS COOP).

System location:

Office of the Manager, National Communications Systems, 8th and South Court House Road, Arlington, Virginia 22204.

Categories of individuals covered by the system:

All members of the National Communications Systems Staff.

Selected individuals of the National Communications Systems/ Defense Communications Agency Operations Center (NCS DCAOC).

Selected telecommunications officials of the major and minor NCS Operating Agencies and selected personnel of Federal agencies in the Washington Metropolitan Area.

Selected key personnel of the commercial communications carriers, for example, American Telephone & Telegraph (AT&T) Company, Chesapeake & Potomac (C&P) Telephone Company, Western Union Telegraph Company, etc.

Categories of records in the system:

File contains a plan which provides the guidance and procedures for insuring the continuity of operations of the Office of the Manager, NCS, and the NCS/DCAOC in the event of enemy attack, periods of international crisis, tension, or national catastrophe. It provides a roster giving the office and residence phone numbers of personnel to contact as as emergency situation developa.

Authority for maintenance of the system:

Presidential Memorandum, Subject: Establishment of the National Communications System, 21 August 1963.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of the Manager, NCS - To apprise individuals on the staff of their responsibilities and emergency relocation assignments in conditions of emergeney.

Selected telecommunications officials of the NCS - Certain designated personnel of Office of Telecommunications Policy (OTP), Executive Office of the President, the Executive Agent of the NCS (who is the Secretary of Defense), the Department of State, Department of Defense, Federal Aviation Administration, General Services Administration, National Aeronautics and Space Administration, and the Central Intelligence Agency use this plan as their guidance for procedures to follow under conditions of emergency. Provides them the focal point for contacts and coordination on short notice.

Certain telecommunications officials of the Office of Telecommunications Policy, Executive Office of the President, the Executive Agent of the NCS (who is the Secretary of Defense), the Department of State, the Department of Defense, Federal Aviation Administration, General Services Administration, Central Intelligence Agency, Energy Research and Development Administration, the Department of Commerce and Department of the Interior. - To be informed of their responsibilities in the face of worsening emergency conditions and to know where to report.

Selected personnel of the following commercial carriers: AT&T Company, offices in New York and and Washington, D.C., C&P Telephone Company Headquarters, General Telephone and Electronics, International Telephone & Telegraph (IT&T) Corporation, offices in New York and Washington, D.C., Radio Corporation of America Company, offices in New York, San Francisco, California and Washington, D.C., Western Union International and Western Union. - To be knowledgeable of current telecommunications problems so that certain priorities for support and services can be coordinated with designated Federal officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

This is a classified plan filed in standard secure safes.

Retrievability:

Filed by category of plan.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal: This is a permanent plan. It will be an active file indefinitly and will be updated periodically by the Manager, NCS.

System manager(s) and address:

The Manager, National Communications System, Washington, D.C. 20305.

Notification procedure:

Information may be obtained from the Office of NCS Plans and Operations, 8th and South Court House Road, Arlington, Virginia 22204.

Record access procedures:

Requests from individuals should be addressed to the Manager, National Communications System, Washington, D.C. 20305.

Written requests should contain the full name of the individual, current address and telphone number.

For personal visits, the individual should be able to provide some acceptable identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Informal coordination with representatives of the agencies concerned. Informal telephonic coordination with personnel of the common carriers.

Systems exempted from certain provisions of the act:

NONE

KNCS.02

System name:

National Communications System (NCS) Plan for Emergencies and Major Disasters.

System location:

Office of the Manager, National Communications System, 8th and South Court House Road, Arlington, Virginia 22204.

Categories of individuals covered by the system:

Federal Disaster Assisstance Administration (FDAA) Regional Directors.

General Services Administration (GSA) Regional Emergency Communications Coordinators.

Selected members of the National Communications Sysytem Staff.

Defense Civil Preparedness Agency (DCPA) Regional Directors.

Categories of records in the system:

File contains a plan which prescribes procedures for providing communication support in Presidentially declared emergency and major disaster operations. It provides the names, office and residence phone numbers of the key Federal personnel nationwide to contact and coordinate communications support in emergencies and major disasters.

Authority for maintenance of the system:

Presidential Memorandum, Subject: Establishment of the National Communications System, 21 August 1963.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of the Manager, NCS - To ensure that Federal agencies and certain telecommunications officials understand what their responsibilities and functions are in pre-disaster planning.

Regional representatives of FDAA, GSA, and DCPA - To know under which conditions of emergency they are to function and what roles they perform under each phase.

personnel assigned to States' Emergency Operations Center To know where the focal points are to contact for assistance.

Quasi-government agencies - (i.e., American National Red Cross) - To know where the focal points are to contact for assistance.

Major US telephone companies - To be informed on the plan and which regional representative will be contacting the telephone companies for assistance in conditions of disaster.

All Federal departments and agencies of the US Government in the Washington Metropolitan area - To be knowledgeable of the provisions made in the plan to assist their agencies located outside the Washington Metropolitan area.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The plan is filed in the office bookcases.

Retrievability:

Filed by category of plan.

Safeguards:

Buildings employ security guards. Records are maintained in areas accesible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

This is a permanent plan. It will be an active file indefinitely and will be updated periodically by the Manager, NCS.

System manager(s) and address:

The Manager, National Communications System, Washington, D.C. 20305

Notification procedure:

Information may be obtained from the Office of NCS Plans and Operations, 8th and South Court House Road, Arlington, Virginia 22204.

Record access procedures:

Requests from individuals should be addressed to the Manager, National Communications Systems, Washington, D.C. 20305.

Written requests should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Names of regional representatives, state officials, and Federal agency representatives secured through an Interagency Task Group established for the purpose of publishing the plan with this information. Information on major US telephone companies secured from an American Telephone & Telegraph Company Washington office representative.

Systems exempted from certain provisions of the act:

NONE

KNCS.03

System name:

National Communications System Emergency Action Group (NEAG)

System location:

Office of the Manager, National Communications System (NCS), 8th and South Court House Road, Arlington, Virginia 22204.

Categories of individuals covered by the system:

Selected communications officials of the major operating agencies of the National Communications System who are designed by name as members of an interagency telecommunications group (NEAG) which is convened under national communications emergencies.

Selected personnel on the National Communications System Staff.

Categories of records in the system:

This file contains the objectives, membership and activation procedures for the National Communications System Emergency Action Group (NEAG) which is an on-call interagency telecommunications group whose purpose is to assist the Manager, NCS, in dealing with national communications emergencies. This NCS Instruction 45-1 lists the members of the group by name and gives the office and residence phone numbers.

Authority for maintenance of the system:

Presidential Memorandum, Subject: Establishment of the National Communications System, 21 August 1963.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of the Manager, NCS, - To inform the NCS staff of its responsibilities under conditions of a worsening emergency and who to contact in the Federal agencies to keep them apprised.

Selected telecommunications officials of the Major Operating Agencies of the NCS which are: Department of State, Department of Defense, Federal Aviation Administration, General Services Administration, National Aeronautics and Space Administration, and the Central Intelligence Agency -- To be informed on the conditions of emergency under which the NEAG convenes and the total membership thereof for purposes of immediate coordination.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

This is a classified directive which is filed in standard secure safes

Retrievability:

Filed by category of plan.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

This is a permanent directive. It will be an active file indefinitely and will be up-dated periodically by the Manager, NCS.

System manager(s) and address:

The Manager, National Communications System, Washington, D.C. 20305.

Notification procedure:

Information may be obtained from the Office of NCS Plans and Operations, 8th and South Court House Road, Arlington, Virginia 22204.

Record access procedures:

Requests from individuals should be addressed to the Manager, National Communications System, Washington, D.C. 20305.

Written requests should contain the full name of the individual, current address and telephone number.

For personal visits, the individual should be able to provide some acceptable identification.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Informal coordination with representatives of the NCS member agencies concerned.

Systems exempted from certain provisions of the act:

NONE

KPAC.01

System name:

Classified Container Information Form DA 727

System location:

Headquarters, Defense Communications Agency Pacific (DCA-PAC), APO San Francisco 96515

Categories of individuals covered by the system:

Any DCA-PAC employee who is responsible for the combination of a vault or container used for the storage of classified material.

Categories of records in the system:

DA Form 727 which contains name, address, and phone number.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to obtain the names of persons who have direct knowledge of the combination of a safe or vault.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in safe.

Retrievability:

Filed numerically by divisions.

Safeguards:

Records are maintained in a locked vault.

Retention and disposal:

Destroyed when obsolete.

System manager(s) and address:

Security Officer, Defense Communications Agency Pacific, APO San Francisco, California 96515.

Notification procedure:

Requests from individuals should be addressed to Security Officer, Defense Communications Agency Pacific, APO San Francisco, California, 96515. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the Security Officer, DCA-PAC, APO San Francisco 96515, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Security Officer, DCA-PAC, APO San Francisco, California 96515. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency'S systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Security Officer, DCA-PAC, APO San Francisco, California 96515.

Systems exempted from certain provisions of the act:

NONE

KPAC.02

System name:

Authorization to sign for classified material lists.

System location:

Primary Systems Management. Defense Communications Agency Pacific, (DCA-PAC), ATTN: P200, APO San Francisco, California 96515.

Decentralized Segments - Individual divisions of DCA-PAC

Categories of individuals covered by the system:

All employees of DCA-PAC authorized to receipt for, have custody of or access to classified material by level and type of classifiaction.

Categories of records in the system:

Records include lists of individuals authorized to receipt for or have access to classified material, appointing letters as primary and alternate custodians, control officers, etc., and other miscellaneous documents.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from these files is used to determine who has authority to receipt for and maintain custody of classified material.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are paper records stored in file folders

Retrievability:

Records are filed by the type of material the individual is authorized access.

Safeguards:

Records are stored in locked vault or with copies maintained in locked file cabinets in the office of the division to which the file is applicable.

Retention and disposal:

Records are maintained during the period the employee is authorized access to the particular material, then destroyed.

System manager(s) and address:

Security Officer, Defense Communications Agency Pacific, APO San Francisco, California 96515.

Notification procedure:

Requests from individuals should be addressed to Security Officer, DCA-PAC, APO San Francisco, California 96515. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Security Officer, DCA-PAC, APO San Francisco, California, 96515, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification Badge or a driver's license.

Record access procedures:

Contact the Security Officer, DCA-PAC, APO San Francisco, California, 96515. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The DCA rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information obtained from the Army, Navy, Air Force, Civil Service Commission filess or security files of DCA Headquarters.

Systems exempted from certain provisions of the act:

NONE

KPAC.03

System name:

420-20 permanent change of station and temporary duty travel order file.

System location:

Primary System, Management Support Division, Headquarters, Defense Communications Agency Pacific (DCA-PAC), APO San Francisco 96515

Decentralized segments: NCS PEARL Harbor, FPO San Francisco, California 96610; CCPD WBO, NAS Barbers Point, FPO San Francisco, California 96611, and appropriate offices of the Army, Navy, and Air Force.

Categories of individuals covered by the system:

Those DCA-PAC personnel who are required to perform temporary travel and individuals who are transferred from this headquarters on permanent change of station orders issued by competent authority.

Categories of records in the system:

Records would include copies of original travel order, travel claims and substantiating documents, i.e., receipts for car rental, air line tickets, travel requests, laundry services, lodging, records of advance travel payments and other miscellaneous vouchers.

Authority for maintenance of the system:

10 U.S. Code 133 (b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Copies of temporary duty and permanent change of station orders issued by Headquarters, DCA-PAC are used by Chief, Management Support Division to obligate funds for payment of claims, obtain transportation requests and to account for the movement of assigned personnel. Permanent change of station orders are filed in order to forward mail.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by name, social security number and/or order number.

Safeguards:

Records are stored in file cabinets in offices locked during non-duty hours.

Retention and disposal:

Permanent change of station and temporary duty orders issued by Headquarters, DCA-PAC are temporary. They are retained in the active files for one year, held for three additional years, then destroyed. Permanent change of station orders issued by other commands/agencies are maintained for one year and subsequently destroyed.

System manager(s) and address:

Chief, Management Support Division, P200, Headquarters, DCA-PAC

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, P200, Headquarters, DCA-PAC. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Management Support Division, P200, Headquarters, DCA-PAC, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Management Support Division, P200, Headquarters, DCA-PAC. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information supplied by Headquarters, DCA-PAC, Army, Navy or Air Force as appropriate plus individual travel claims filed in conjunction with a particular permanent change of station and temporaty duty movement.

Systems exempted from certain provisions of the act:

NONE

KPAC.04

System name:

Time and attendance cards and labor distribution cards

System location:

Primary Systems Management, Naval Communications Station (NCS), Pearl Harbor, FPO San Francisco 96610

Decentralized segments - Individual Division of Defense Communications Agency Pacific (DCA-PAC).

Categories of individuals covered by the system:

V 44 DE 1 7 7 9 UMI

All civilian employees assigned to Headquarters, DCA-PAC.

Categories of records in the system:

Forms included in this file are: NAVCOMPT FM 911A (REV 7-55) and Labor Distribution Card. 14ND NSC 5230/28 (9-69).

Authority for maintenance of the system:

Federal Personnel Manual Supplement 293-11, Subchapter 57-2

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information from these files is used to compute payrolls, compute the amount of annual/sick leave accumulated and used as set forth in Civil Service Regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on paper cards maintained in file folders.

Retrievability:

Files individually identified by name and social security number.

Safeguards:

Records are stored in locked file cabinets located in offices locked during non-duty hours.

Retention and disposal:

Records are maintained during the period the employee is attached to DCA-PAC, then destroyed.

System manager(s) and address:

Chief, Management Support Division, Headquarters, DCA-PAC, APO San Francisco, California 96515.

Notification procedure:

Requests from individuals should be addressed to Chief, Management Support Division, Headquarters, DCA-PAC. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Management Support Division, Headquarters, DCA-PAC, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Management Support Division, Headquarters, DCA-PAC. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Records prepared from individual's attendance (duty) compiled by Headquarters, DCA-PAC in accordance with Civil Service Commission Regulations.

Systems exempted from certain provisions of the act:

NONE

KPAC.05

System name:

403-03 Injury Records

System location:

Management Support Division, Headquarters, Defense Communications Agency Pacific (DCA-PAC), APO San Francisco, California 96515

Categories of individuals covered by the system:

Those DCA-PAC employees, both military and civilian, who sustain an injury in the performance of their duties.

Categories of records in the system:

Records would include copies of investigative reports compiled by police, either military or civilian, statements from witnesses, medical records, insurance claims, and other miscellaneous documents relating to specific accident.

Authority for maintenance of the system:

10 U.S. Code 133 (b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain records on industrial safety and make periodic reports to higher headquarters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Retrieved by name and social security number.

Safeguards:

Records are stored in locked file cabinets.

Retention and disposal:

Records are temporary. They are retained in active files for one year, held one additional year and destroyed.

System manager(s) and address:

Chief, Management Support Division, Defense Communications Agency Pacific, APO San Francisco, California 96515.

Notification procedure:

Request from individuals should be addressed to Chief, Management Support Division, DCA-PAC, APO San Francisco, California, 96515. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Management Support Division, DCA-PAC, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Management Support Division, DCA-PAC, APO San Francisco 96515. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information supplied by the individual, witnesses, investigative and medical agencies.

Systems exempted from certain provisions of the act:

NONE

KSPT.01

System name:

Military Personnel Management/Assignment Files

System location:

Military Personnel and Training Branch, B120, National Military Command System Support Center (NMCSSC)

Categories of individuals covered by the system:

Records are maintained on military personnel of the Army, Air Force, Navy and Marine Corps currently assigned to the Defense Communications Agency.

Categories of records in the system:

Records contain qualification records, duty status, special orders, assignment actions, personnel action requests, and suspense items for individuals to update Military Personnel Record maintained by the Military Department's Personnel Office. The category of data maintaned is: personal identification, assignment history and eligibility, medical profile status and military and civilian education history.

Authority for maintenance of the system:

10 U.S. Code 3012, 6011, 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

NMCSSC uses this information to manage the military personnel assigned. The majority of the information is furnished by the Military Departments. This information is used: to determine acceptance/non-acceptance for assignment to the NMCSSC, to determine qualifications for requirements peculiar to the NMCSSC, performance evaluations, position manning reports, strength accountability, data upon which to base individual requests for personnel actions, and biographical and statistical reports to top NMCSSC management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and locked in filing cabinets.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are not permanent. They are destroyed upon reassignment from this Agency.

System manager(s) and address: Chief, Executive Support Office, Code B120, NMCSSC.

Notification procedure:

Requests from individuals should be addressed to the Commander, NMCSSC, B121B. The full name, rank, and social security number of the requesting individual will be required to determine if the system has a record about the individual. The requestor may visit the Military Personnel and Training Branch, B120, NMCSSC, to obtain information on whether the system contains records pertaining to the individual. A proof of identity the requestor will present his U.S. Armed Forces Identification Card.

Record access procedures:

Contact the Commander, NMCSSC. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's Systems Notice and should be referenced by the requestor.

Contesting record procedures:

The NMCSSC's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Basic sources of data are the Military Departments: Army, Air Force and Navy. Qualification records furnished when the individual is nominated for assignment to the NMCSSC. The types of forms that are used as source data are: Army DA Form 2475-2 (Personnel Data-SIDPERS), DA Form 31 (Request and Authority for Leave), DA Form 2/2-1 (Qualification Record), PERSINCOM Form 260 fficers Record Brief), Special Orders; Air Force AF Form 47 (Personnel Security Certificate), AF Form 298-1 (Career Brief Officer), AF Form 1074 (Career Brief Enlisted), AF Form 173 (Career Counseling Record), AF Form 899 (Reassignment Orders), AF Form 152/988 (Leave Forms), AF Forms 2095/2096/2097/2098 (Personnel Actions Forms); Navy Career Brief Officers, NAVPERS 1070/602 (Dependency Application/ Record of Emergency Data), Orders, OPNAV Form 5521-429 (Certificate of Clearance); Marine Corps, Career Brief All services file letters, messages and general correspondence, DA Form 2496 (Disposition Form), relative to the individuals assigned to the NMCSSC

Systems exempted from certain provisions of the act:

NONE

KSPT.02

System name:

Vehicle Parking Registration Card

System location:

Office of the Chief, Physical Security and Document Branch, B122, National Military Command System Support Center (NMCSSC)/Defense Communications Agency (DCA).

Categories of individuals covered by the system:

All civilian and military personnel assigned to NMCSSC and who register their vehicles for parking at the Pentagon.

Civilian contractor personnel assigned desk space at NMCSSC and who apply for parking privileges at the Pentagon.

Categories of records in the system:

This file records name, address, office code, office telephone number, and place of employment of NMCSSC personnel.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security and Document Branch, NMCSSC/DCA - Information is used to report to DoD the total number of parking spaces and itemized to show the number used for employee parking; number of employee spaces assigned to physically handicapped employees; number and percentage of employee parking spaces assigned to executive personnel and persons assigned unusual hours.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Visible file cards (3x8) in metal file cabinet

Retrievability:

Filed alphabetically by name and parking status, that is, Handicap Area, Executive Area, and Open Area.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

File cards are maintained during the period of the incumbent's assignment, then removed and destroyed when assignment is terminated.

System manager(s) and address:

Chief, Physical Security and Document Branch, Code B122, NMCSSC/DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security and Document Branch, Code B122, NMCSSC/DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Security and Document Control Branch, Code B122, NMCSSC, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Completed form filled out by individual

Systems exempted from certain provisions of the act:

NONE

KWHC.01

System name:

Agency Training File System

System location:

Primary System-Adjutant, Defense Communications Administrative Unit Address listed DoD Directory.

Decentralized Segements-Defense Communications Operations Unit, White House Communications Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

Any military employee undergoing formal, informal, on the job, or MOS training.

Categories of records in the system:

File contains individual training cards and information on training progress and testing during the course of instruction and application.

Authority for maintenance of the system:

5 U.S. Code Chapter 41.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide agency and individual training for job efficiency and advancement. Used to increase efficeincy and individual production. Qualify individuals in all occupations and details within agency. Meet service requirements for annual occupation testing. Instill confidence and motivation for self-improvement and enhance promotion potential. Establish clear path for increase in qualification throughout career development.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

V 44 D E 17 79 UMI

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active file during active career, retired to service transfer point on release from active duty.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit (DCAU),Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Notification procedure:

Requests from individuals should be addressed to Adjutant, DCAU, Anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Requests from individuals should be addressed to Adjutant, DCAU, Bldg 94, Anacostia Naval Station, Washington, D.C. 20374

Written requests for information should contain the full name of the individual, current address and telephone number and category information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is driver's license, employee identification or military identification card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from individual, performance tests, recommendations, service departments, written tests, previous commands and records custodians.

Systems exempted from certain provisions of the act:

NONE

KWHC.02

System name:

Military Personnel Files System

System location:

Primary System - Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segments - Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

All assigned or attached military personnel.

Categories of records in the system:

Files contain individual's enlistment contract, MOS evaluation data, Serviceman Life Insurance Elections, Emergency Data, Record of Induction, Qualification Record, Oath of Office, Recommendation for Promotion, Medical Examination, Retirement Application, Correction of Records, Report of Transfer or Discharge, Review for Correction of Discharge, Language Proficiency, Police Records Check, Statement of Personal History, Application for ID Cards, Recommendations for Awards, Awards, Certificate of Security Clearance, Cryptographic Training and Experience Record, Defense National Agency Check Request, Oath of Enlistment, Certificate of Achievement, Reports of Change to Qualification Record, In/Out Processing Check Sheet, Installation Clearance Record, Hold Letters, Personnel Data Card, Assignment, Waiver of Enlistment, Enlisted Evaluation Report, Change in Reporting Official, Career Counseling Record, Training Upgrade, Passport Application, Letters of Recommendation and Appreciation, Commendation, Special Orders, TDY Orders, Personnel Action requests, Certificates of Appreciation and Commendation, Extension Certificates, Officer Evaluation Reports, Application for Appointment, Application for Active Duty, Application for Social Security Number, Suspension of Favorable Personnel Action, Sign In/Out Register, Morning Reports, Leave Request, Suspense File, Duty Roster.

Authority for maintenance of the system:

10 U.S. Code 3012, 6011, 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide management and control of military personnel and monitor and assist in personnel actions affecting their entire career. Used to classify and reclassify personnel and monitor testing, assign and reassign personnel, process and assign overseas and Continental United States (CONUS), provide port call instructions, provide rosters, promotion and reduction, training schooling, special assignments, details, disciplinary action rotation, fix personnel authorization, determine authorizations, submit personnel requisitions, monitor utilization, identify personnel for elimination, proficiency testing, report promotion eligibles, process retirement, enlistments, branch transfers, extensions, curtailments, Awards, foreign service decorations, special correspondence, security clearance, photographs, appointment, emergency leave, report casualities, dependent travel, marriage, adoption, readiness files, travel clearance, passports, visa, service benifits, life insurance, voting, control of identification cards and tags, maintain historical record of service, strength, prepare rosters and reports for personnel information systems, process incoming and out going personnel, prepare personnel data cards, obtain security clearance. Transfer information to Department of the Army, Air Force, and Navy, Washington, D.C. 20310.

Disclosure to investigate Authorities on possible prosecution Action. Department of Service, Staff Agencies and commands, to coordinate and control and accomplish assigned mission of military personnel. Develop requirements and training of military personnel world-wide.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active file during active career, retired to service transfer point on release from active duty.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit (DCAU), Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Notification procedure:

Requests from individuals should be addressed to Adjutant, DCAU, Anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current Defense Communications Agency identification badge or a driver's license.

Record access procedures:

Requests from individuals should be addressed to Adjutant, DCAU, Bldg 94, Anacostia Naval Station, Washington, D.C. 20374.

Written Request for information should contain the full name of the individual, current address and telephone number and category information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is drivers license, employee identification or military identification card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individuals, service departments, Defense investigative service, previous commands, Federal and State Agencies and records custodians.

Systems exempted from certain provisions of the act:

NONE

KWHC.03

System name:

Personnel Locator File System

System location:

Primary System-Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segements-Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

All assigned, attached or controlled personnel.

Categories of records in the system:

Files contain individual information categories of states, occupation, MOS, marital status, dependents, active service dates, separation, rank, home, telephone, duty title, station, home of record, unit, emergency contact and location, and rotation.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides individual and supervisors a purely internal management tool designed to be used when individuals do not have immediate access to military personnel files. Used for Emergency location and notification of personnel under unusual circumstances. Used in normal notification and forwarding of information, messages and mail. Used in event of loss of individual military records and in preparation of recommendations for promotion, awards, reduction, discipline and personnel actions. Used on leave approval, travel, enlistments, training and security clearances.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are retained during individual assignment and destroyed upon transfer.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit (DCAU), Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Notification procedure:

Requests from individuals should be addressed to Adjutant, DCAU, Anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Requests from individuals should be addressed to Adjutant, DCAU, Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Written requests for information should contain the full name of the individual, current address and telephone number and category information requested.

For personal visits, the individual should be able to provide some identification or military identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military Personnel Files and individual submission.

Systems exempted from certain provisions of the act:

NONE

KWHC.04

System name:

Military Financial File System.

System location:

Primary System - Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segements - Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

All assigned or attached military personnel

Categories of records in the system:

File contains individual's military pay records, substantiating documents, such as certificates for deduction's and retained pay orders, records of travel and dislocation pay, record data folder, miscellaneous vouchers, leave records, witholding exemption certificate, civilian clothing voucher and various collection vouchers.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain historical record of all pay. Administer military pay and allowance in a accurate and legal manner. Provide maximum benefits, provide input data, substantiate pay, process morning reports, provide pay allowances, provide income tax information, referrals to Department of Justice and DoD, prompt processing miscellaneous pay, post travel cards, audit leave record, process adjustments, notice of excemptions and levy, provide copys to individual, verify VA benefits, audits, re-emburse travel, maintain accuracy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active file during active career, retired to service transfer point on release from active duty.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit (DCAU), Building 94, Anacostia Naval Station, Washington, D.C. 20370

Notification procedure:

Requests from individuals should be addressed to Adjutant, DCAU, Anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Requests from individuals should be addressed to Adjutant, DCAU, Bldg 94, Anacostia Naval Station, Washington, D.C. 20374.

Written requests for information should contain the full name of the individual, current address and telephone number and category information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employee identification or military identification card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determiations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individual requesting pay action, service departments and command document, state and federal agencies and records custodians, birth certificates, marriage licenses, previous employees, and financial institutions.

Systems exempted from certain provisions of the act:

NONE

KWHC.05

System name:

Personnel Information System

System location:

Primary System - Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segements-Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

All assigned or attached personnel

Categories of records in the system:

Files contain individual information categories of procurement, positions, duty, hold, location, address, suspense actions, passports, separation, birthdays, service badges, medal eligibility, survivor benefits, promotion, photographs, physicals, projected loss, orders, MOS

testing, information change, rotation, state, age dependents, travel and duty status change.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide verification and notification to individual on accuracy of military personnel file. Used to verify, correct and update procurement summaries, locator files, address, suspense items, passports, separation dates, service badge eligibility, medal eligibility, clothing allowance eligibility, survivor benefits, promotion eligibility, photograph and physical completion, personnel rosters, loss reports, referral to Justice Department and DoD, issuance of orders, MOS testing, notification change and new dependents. Used by individual to insure accuracy of Agency information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed by information category.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed after verification by individual and posting in military personnel files.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit, Building 94, Anacostia Naval Station, Washington, D.c. 20374.

Notification procedure:

Requests from individuals should be addressed to Adjutant, defense Communications Administrative unit, anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Requests from individuals should be addressed to Adutant, Defense Communications Administrative Unit , Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Written requests for information should contain the full name of the individual, current address and telephone number and category of information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employee identification or military identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military Personnel File, application from individual, service departments, previous commands, Federal and State Agencies and record custodians.

Systems exempted from certain provisions of the act:

NONE

KWHC.06

System name:

Personnel Security Files

System location:

Primary System-Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segments-Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

Active duty military personnel, DoD Civilian employees, and DoD Contractor Personnel nominated and approved for assignment to the White House Communications Agency (WHCA).

Categories of records in the system: Files contain individual nominations for assignment to the WHCA. Files include retained copies of individuals' Statements of Personal History; periodic updates of statement of personal history data; individual building pass and identification security badge requirements; security briefing certificates; reports of involvements in accidents and incidents; retained copies of application for off-duty employment; notification of security clearance indoctrination/debriefing; notification of completion of spouse National Agency Checks; individual certificates of clearances; personal interview results.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Nomination files for assignment to WHCA are initiated to transmit completed background investigations to the following activities (in the order listed):

The Office of the Special Assistant to the Secretary and Deputy Secretary of Defense.

The Office of the Military Assistant to the President.

The Staff Assistant for Security, Office of the Counsel to the President;

Special Agent in Charge, Technical Security Division, United States Secret Service.

Nomination files are used to evaluate the background, character, and qualifications of persons for assignment to the agency.

Statements of Personal History, as well as the periodic update of personal history data, is used to furnish the Defense Communications Agency, the White House Office, and other Federal Agencies personal data on applicants for assignment or duty with the agency. Statements of Personal History serve as the basis for initiation of background investigations and assessing the eligibility of individual for special access programs.

Individual pass and security identification requirements records are collected to control or limit access of personnel to sensitive facilties.

Individual reports of involvements in accidents or incidents are used to monitor the security and security-related conduct of personnel who are assigned to a Presidential support activity and who have access to classified information.

Individual requests for approval of off-duty employment of active duty military personnel. The formal request documents that a determination has been made that the off-duty employment does not involve any conflict of interest.

Retained copies of notifications of the indoctrination of personnel for various security clearances and special access programs. Notifications are used to insure that only properly indoctrinated personnel are permitted access to these security clearances and programs.

Retained copies of correspondence advising the Commander, Naval Support Facility, Camp David, Maryland, of the completion of a National Agency Check on the spouses of WHCA personnel assigned to Camp David. Notifications are used as the basis for the preparation of access lists to Camp David.

Individual certificates of security clearances issued by the Defense Communications Agency. These certify that personnel assigned to the agency have met all requirements for access to classified material.

Interview notes dealing with the personal interview of individuals tentatively accepted for assignment to the White House Communications Agency, pending completion of the bakcground investigation. Notes are used to assess the overall qualifications of personnel tentatively selected for assignment to the agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, clearcd and trained.

Retention and disposal:

Records are permanent. They are retained in active status during period of access and retired to records storage facility.

System manager(s) and address:

Adjutant, Defense Communications Administrative Unit, Building 94, Anacostia Naval Station, Washington, D.C. 20374.

Notification procedure:

Requests from individuals should be addressed to Adjutant, Defense Communications Administrative Unit (DCAU) Anacostia Naval Station. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requestor must present a current Defense Communications Agency (DCA) identification badge or driver's license. license.

Record access procedures:

Requests from individuals should be addressed to Adjutant, (DCAU),Bldg 94, Anacostia Naval Station, Washington, D.C. 20374

Written requests for information should contain the full name of the idividual, current address and telephone number and category information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is driver's license, employee identification or military identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Statements of Personal History and related personal information forms and reports from each individual; Notification of personal (security) clearance from the Defense Communications Agency and other appropriate Federal Agencies; incident and accident reports from the investigating agency.

Card files are originated in the Security Office, White House Communications Agency, extracting pertinent information from the Statement of Personal History and related personal information forms which the individual provides.

Systems exempted from certain provisions of the act:

NONE

KWHC.07

System name:

Agency Access/Pass File System

System location:

Primary System - Adjutant, Defense Communications Administrative Unit. Address listed DoD Directory.

Decentralized Segments-Defense Communications Operations Unit, White House Communications, Defense Communications Support Unit. Address listed in DoD Directory.

Categories of individuals covered by the system:

Assigned and attached personnel, contractors, visitors and civilian employees, whose trustworthiness has been established (in accordance with appropriate regulations), who applies for and are granted access to classified records, sites, equipment, containers, or areas within agency's scope of responsibilities.

Categories of records in the system:

File contains registers for recording pertinent information on persons authorized entry or access to classified records, sites, equipment, containers and areas.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to record names, signatures and identity of those authorized access.

Used to obtain and grant clearance or extension of clearance for access to classified information, equipment, sites or containers. Used to prevent unauthorized access or disclosure of classified material or information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and cards in file folders.

Retrievability:

Filed alphabetically by ast name of individual.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. They are retained in active status during period of access and retired to records holding facility.

System manager(s) and address:

adjutant, Defense Communications Administrative unit (DCAU) Bldg 94 Anacostia Naval Station, Washington, D.C. 20374

Notification procedure:

Requests from individuals should be addressed to Adjutant,(DCAU) Anacostia Naval Station. The full name of the rquesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requestor must present a current DCA identification badge or driver's license.

Record access procedures:

Requests from individuals should be addressed to Adjutant (DCAU) Bldg 94, Anacostia Naval Station, Washington, D.C. 20374

Written requests for information should contain the full name of the individual, current address and telephone number and category of information requested.

For personal visits, the individual should be able to provide some acceptable identification, that is a driver's license, employee identification or military identification card.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individual requesting access, personnel security clearance from Defense Investigative Service, service staffs, commands and other Federal agencies. Records custodians.

Systems exempted from certain provisions of the act:

NONE

K105.01

System name:

208.10 Confidential Statement of Employment and Financial Interest.

System location:

Office of the Counsel, Headquarters, Defense Communications Agency (DCA), Code 105.

Categories of individuals covered by the system:

Those DCA military personnel, on duty, in the rank of Lieutenant Colonel, Commander, or above and those DCA civilian personnel, on duty, in the grade of GS-13 and above whose duties require them to exercise judgment in actions relating to contracting or procurement.

Categories of records in the system:

The completed DD Form 1555, 'Confidential Statement of Employment and Financial Interests - Department of Defense Personnel'; lists of those DCA employees who must fill out the form. The responsibility for determining the list of which employees must fill out the form is vested in: (1) the Director, DCA, for the Office of the Director; (2) the Deputy Directors, the Comptroller, and the Assistants to the Director for Administration and Personnel for their respective organizations; (3) the Chairman or Chief responsible individual for source selection boards, committees, etc., or bid or proposal evaluation groups, formally designated; and (5) the Chief of Staff, Headquarters, DCA, for any other positions not covered in (1) through (4) above.

Authority for maintenance of the system:

18 U.S. Code 208.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel, DCA. To assure that the applicable DCA personnel refrain from any private business or professional activity or refrain from having any direct or indirect financial interest which would put them in a position where there is a conflict between their private interest and the public interests of the United States, particularly those related to their duties and responsibilities as DCA personnel. And even though a technical conflict may not exist, the Counsel, DCA, must assure that DCA personnel avoid the appearance of such a conflict from a public confidence point of view. The resolution of a conflict or appearance of a conflict may be accomplished by one or more means, such as changes in assigned duties, divestment of a conflicting interest, disqualification for a particular assignment, disciplinary action, or criminal action. A DCA employee who falls within the applicable categories will have his OF8 (the covering form with his position description) stamped with the notation, 'Requires confidential statement of employment and financial interest . as required by DoD Directive 5500.7'.

DCA Management - To review where there is an unresolved conflict of interest and an adverse action is to be taken.

Department of Justice - To review where there is an unresolved conflict of interest and a criminal action is contemplated.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Information is accessed and retrieved by name and organizational assignment.

Safeguards:

Building employs security guards. Records are stored in locked safe and are accessible only to the Office of Counsel, DCA.

Retention and disposal:

Records are not permanent. They are retained in an active file until end of fiscal year, then held one additional year in an inactive file and subsequently destroyed.

System manager(s) and address:

Counsel, Code 105, Headquarters, DCA

Notification procedure:

Requests from individuals should be addressed to the Counsel, DCA, Code 105. The full name and organizational assignment of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Office of Counsel, DCA, Code 105, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact Counsel, DCA, Code 105. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Completed DD Form 1555 supplied by the individual.

Systems exempted from certain provisions of the act:

NONE

K107.01

System name:

Investigation of Complaint of Discrimination

System location:

Office of the Director of Equal Employment Opportunity, Headquarters, Defense Communications Agency (DCA) (Code 107), Washington, D.C.

Categories of individuals covered by the system:

Employees of, or applicants for employment with, DCA who have filed formal, written complaints alleging that they had been discriminated against.

Categories of records in the system:

Signed affidavits; copies of personnel documents; copies of official personnel promotion records; report of investigator; EEO Counselor's report; inter-office memoranda; employee's complaint of discrimination; employee career appraisal reports; letters from complainant's representative.

Authority for maintenance of the system:

Federal Personnel Manual, Part 713, 'Equal Opportunity.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Director of Equal Employment Opportunity in making a recommendation to the Director, DCA regarding the formulation of a finding with regard to whether or not a complaining employee has been discriminated against.

The Director, DCA also examines the system in writing his decision.

Civil Service Commission's Appeal Review Board uses file if appeal is filed with the Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file folders in locked file cabinet

Retrievability:

Retrieved by the name of the complaining employee or applicant.

Safeguards:

Building employs security guards. Files locked in file cabinet. No one has direct access except for the Director, Equal Employment Opportunity.

Retention and disposal:

Record is retained until three years after a final decision in the complaint involved and retired to the Washington National Records Center.

System manager(s) and address:

Director, Equal Employment Opportunity, DCA (Code 107), Washington, D.C. 20305.

Notification procedure:

Requests from individuals should be addressed to the Director of Equal Employment Opportunity, Headquarters, DCA, Code 107. The individual's full name and organization will be required to determine if the system contains a record about him or her. The requester may visit the Office Equal Employment Opportunity, Headquarters, DCA, Code 107, to obtain information on whether the system contains records pertaining to him or her. Proof of identity will be by presentation of current DCA identification badge or a driver's license.

Record access procedures:

Contact the Director of Equal Employment Opportunity, Headquarters, DCA, Code 107, for assistance in this regard. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial Determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Previous employers and supervisory officials; present supervisor; present and previous co-workers; officials in personnel office; personnel records; payroll records; promotion files; and training and education records.

Systems exempted from certain provisions of the act:

NONE

K232.01

System name:

Travel Orders Records System

System location:

Services Branch, Code 232, and Travel Branch, Code 234, Headquarters, Defense Communications Agency (DCA). Decentralized Segments: Defense Communications Engineering Center Administrative Offices, Code R120; Defense Communications Operations Center, Allocations and Engineering Division, Code N230.

Categories of individuals covered by the system:

Those DCA military and civilian personnel who have performed official travel in connection with DCA business or employment.

Categories of records in the system:

Records in the system would cover authorized official travel for civilian, military, and contractor personnel and be comprised of travel orders, transportation requests, commercial carrier transportation and excess baggage tickets, travel advance vouchers, records of travel claims and payments, DD Form 1056, Authorization to Apply for a 'No Fee' Passport. Also supporting documentation including messages, correspondence, and coordination papers. Data in the system would include names, social security numbers, office assignments, rank/grade, DCA office code number, DCA telephone number, home addresses, transportation and per diem allowances and actual amounts paid, and itineries.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel in the Services Branch, Code 232, and personnel in the Travel Branch, Code 234, Headquarters, DCA, in maintaining appropriate and accountable records for individuals performing official travel on DCA business and to ensure individual travel advances are liquidated.

Eligible records are forwarded to the Department of Justice for possible prosecution for fraud.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders.

Retrievability:

Information is accessed and retrieved by the name of the individual.

Safeguards:

Building employs security guards. Records are kept in security file (MP combination lock) and are accessible only to authorized personnel that are properly screened, cleared and their duties require them to be in the area where records are maintained.

Retention and disposal:

Records maintained in the Travel Branch, Code 234 are not permanent. They are retained in active file until travel advances are liquidated and then transferred to completed files and held for one fiscal year and subsequently retired to the appropriate Washington National Records Center.

Records maintained in the Services Branch, Code 232, are retained for two years, then destroyed.

System manager(s) and address:

Chief, Supply and Services Division, Code 230, Headquarters, DCA. Decentralized Segment - Chief, Management Services Office, Defense Communications Engineering Center, Code R120.

Notification procedure:

Requests from individuals should be addressed to Chief, Supply and Services Division, Code 230, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the Services Branch, Code 232, Headquarters, DCA, to obtain information whether the system contains records pertaining to him or her for local travel. For other than local travel, the requester may visit the Travel Branch, Code 234, Headquarters, DCA, to obtain information on whether the system contains records pertaining to him or her. In either instance, as proof of identity, the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Supply and Services Division, Code 230, Headquarters, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Names and other personnel information on those individuals in the system are obtained/gathered from authorized and approved travel orders issued to the individual concerned.

Systems exempted from certain provisions of the act:

NONE

K232.02

System name:

Injury Record File

System location:

Services Branch, Code 232, Headquarters, Defense Communications Agency (DCA).

Categories of individuals covered by the system:

Those DCA civilian employees who are treated for an occupational injury or illness by the Dispensary located on the Headquarters DCA Compound.

Categories of records in the system:

Records in the system are Injury Records, Civilian Employee Health Service (CEHS) Form CH-4 (Rev 10 Jun 64) which shows the date form was completed, name of employee injured, the Department, Agency, Branch, building, room and telephone numbers, date and time of injury, brief description of injury, disposition of case and the signature of the CEHS representative submitting the report.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel in the Services Branch, Code 232, Headquarters, DCA, to ensure that causes of occupational injuries or illnesses are corrected. Also serves as a tickler file to ensure that a more detailed report (Employees Compensation Forms CA 1 and 2) are due in from the employee.

After screening the CA 1 and 2, they are forwarded to the Civilian Personnel Division, Code 720, Headquarters, DCA, for file in official file folder.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a 5' x 8' card file box.

Retrievability:

Information is accessed and retrieved by the name of the individual

Safeguards:

Building employes security guards. Records are kept in security file (MP combination lock) and are accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where records are maintained.

Retention and disposal: Records are not permanent. They are retained for two years following the date of execution, at which time they are destroyed.

System manager(s) and address:

Chief, Supply and Services Division, Code 230, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Supply and Services Division, Code 230, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Services Branch, Code 232, Headquarters, DCA, to obtain information on whether the system contains records pertaining to him or her. As proof of identity, the requester must present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Supply and Services Division, Code 230, Headquarters, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The CEHS Representative operating the Dispensary located on the Headquarters, DCA Compound.

Systems exempted from certain provisions of the act:

NONE

K240.01

System name:

Personnel Security Investigative Dossier File (PSIDF)

System location:

Office of the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency (DCA). Decentralized Segment - Security Branch, Defense Communications Engineering Center, Code R121.

Categories of individuals covered by the system:

This file includes individual personnel security investigative dossiers on: U.S. military personnel who have been selected for assignment to, are now, or have been assigned to the DCA; U.S. Government civilian personnel who are being processed for employment, are now or have been employed by the DCA; U.S. military or civilian personnel who are being processed for, or have been granted, access to sensitive compartmented information (SCI) by the DCAat the request of their parent organization; industrial employees who are performing, expect to perform, or have performed duties under DCA SCI cognizance as a result of a U.S. Government contract; or personnel who are or have been, affiliated with the DCA.

Categories of records in the system:

File contains individual personnel security investigative dossiers. Individual dossiers may contain submissions by the individual such as Statement of Personal History/personnel security questionnaire, appropriate release statements and related personal documentation, i.e., educational diplomas, marriage and divorce records, etc.; information obtained as a result of a National Agency Check, investigative action and/or volunteer sources. Information may consist of acquisitions from listed or developed character references, co-workers, supervi-

sors, present and past employers, financial or trade institutions, credit bureaus, personnel of the legal, medical, educational or religious professions, educational institutions, present and former neighbors, courts, U.S. federal, state or local agencies and departments; foreign law agencies, private investigative sources, active and retired U.S. military or civilian personnel records, interview of the individual, his spouse, relatives or associates, fingerprint identification check. This information normally covers the period of the individual's life for a fifteen year period immediately preceding the investigation or from the date of his eighteenth birthday. However, if derogatory information is developed or if the individual has a long tenure of U.S. Government service, the file may cover a greater period of time; information on the individual's spouse, relatives or associates; correspondence between the individual and DCA or other U.S. Government activity or correspondence related to the individual between his employer, organization of assignment and DCA (Code 240) or other U.S. Government activity; correspondence related to National Agency Checks, investigations, evaluations, clearance or special accesses for the individual; certificates of clearance, security determination or special access authorizations and terminations thereof; content, adjudicative and clearance action sheets; certificates of release or review of personnel security investigative dossiers; results of review of personnel and/or medical files; photographic likeness with identifying data such as name.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected and used for the purposes of determining the suitability, eligibility or qualification of personnel previously defined for assignment, employment or qualification for access to various levels of U.S. Government classified and sensitive compartmented information and to certify clearances and accesses as required.

Counterintelligence and Security Division (DIA): The personnel security investigative dossier for each individual previously defined who has, or had, a valid requirement for access to compartmented intelligence information is reviewed to determine, for the responsible United states Intelligence Board Member, the individual's eligibility for such access.

Any component or official of the U.S. Government having established a need-to-know: Used as a basis for gaining access to classified information upon reassignment employment, etc..

Also released to law enforcement and investigatory authorities of the U.S. Government for conduct of official investigations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, Microfiche, in file folders; ADP cards or magnetic tapes.

Retrievability:

Information is retrieved by the individual's name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only by authorized personnel that are properly cleared and trained. Records, during non-duty hours, are additionaly protected by storage in locked electrical filing cabinets.

Retention and disposal:

Individual records are maintained from the date of initial nomination for assignment, employment or affiliation with the DCA until at least one year but not more than two years, following his departure. Individual records which contain information upon which an adverse determination was based are maintained permanently.

System manager(s) and address:

Chief, Security Division, Code 240, Headquarters, DCA. Decentralized Segment - Chief, Security Branch, Defense Communications Engineering Center, Code R121, 1860 Wiehle Avenus, Reston, VA 22090.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Security Division, Code 240, Headquarters, DCA, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license. For the Decentralized Segment requests should be addressed to - Chief, Security Branch, Defense Communications Engineering Center, Code R121, 1860 Wiehle Avenue, Reston, VA 22090.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's system notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is placed into the system by the SYSMANAGER after an individual has been nominated for assignment, employment or affiliation with the DCA as previously defined. Information may be obtained from the individual's submissions, listed or developed character references, co-workers, supervisors, present and past employers, financial or trade institutions, credit bureaus, personnel of the legal, medical, educational or religious professions, educational institutions, present and former neighbors, courts, U.S. federal, state or local law agencies/departments, active and retired U.S. military or civilian personnel records, interview of the individual, his spouse, relatives or associates, any component of the U.S. Government having an identifiable record on the individual or volunteer sources.

Systems exempted from certain provisions of the act:

Investigative records compiled solely for the purpose of determining suitability, eligibility, or qualifications for federal civilian employment, military service, or access to classified information are exempt to the extent outlined in Subsection (k)(5) of the Privacy Act.

K240.02

System name:

Sensitive Compartmented Info (SCI) Posn/Pers. Accountability System

System location:

Primary System--Office of the Chief, Security Division, Headquarters, Defense Communications Agency (DCA), Code 240.

Decentralized Segments--Office of the Chief, Computer Operations Division, Defense Communications Agency Operations Center (DCAOC).

Categories of individuals covered by the system:

Any individual who requires access to Special Intelligence (SI), Special Activities Office (SAO) information and/or Single Integrated Operational Plan--Extremely Sensitive Information (SIOP-ESI) in order to perform their duties are identified which includes: U.S. military personnel assigned to the DCA or certified to the DCA by their parent organization; U.S. Government civilian personnel employed by the DCA or certified to the DCA by their parent organization; U.S. military or civilian personnel who are being processed for access to SCI by the DCA at the request of their parent organization; industrial employees who are visiting DCA or performing duties under DCA cognizance as a result of a U.S. Government contract, or who are certified to the DCA as authorized representatives of industrial firms concerned with matters related to contractual, advisory or consultant support, or whose functions are such that visits to the DCA, or to facilities under DCA cognizance, are required.

Categories of records in the system:

File contains the SI/SAO Billet Roster which is a compilation by name, military grade or civilian counterpart, military service or social security account number , position number and title and parent organization . The roster identifies those positions (billets) which have been approved for specific SI/SAO access and lists the incumbents of those billets with the categories of access for which they have been briefed; the SIOP-ESI Billet Roster which contains the same identifying elements described above but pertains exclusively to SIOP-ESI accesses; the Contractor Facility Control Record which lists all contractor facilities for which the Special Security Branch has security cognizance. Facilities are listed by name and location, with a separate section for each facility. Within each section the contractor employees assigned to that facility are listed by name, clearance and categories of SCI to which they are authorized access; the Special Security Control Card which is an alphabetical card file of all personnel previously defined listing the individual's name, date and place of birth, military service or social security account number, billet number, organization of assignment or employment, job title, the status of clearance and access actions, dates National Agency Checks were completed , dates Background Investigations were completed and identification of the agency which conducted them, record of clearances and special accesses granted and dates of briefings. The record also contains, if applicable, the name, date and place of birth and social security account number of the individual's spouse and indicates the date of completion of the required partial National Agency Check for compilation of all incoming and outgoing notifications of clearance and access status made in connection with visits of non-DCA personnel to DCA and visits of personnel previously identified to facilities which require request clearance/ access notification. Individuals are identified by name, grade, military service number or social security account number, position title, and the organization of assignment or employment. The clearance and categories of special access authorized are also listed; Billet Request Records which are a compilation of all requests for establishment of SCI billets received by the Special Security Branch. Proposed incumbents are normally identified by name, grade, position military service number or social security account number and organizational affiliation; Special Access Suspense Record which contains the names of individuals on whom actions are in progress; ADP Record consisting of ADP punch cards and magnetic tape as the input and storage media for publication of the SI/SAO Billet Roster All information described above for the SI/SAO Billet Roster is included.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Special Security Branch-Information is collected and used for management and control of access to SCI by personnel previously identified. Individuals are accounted for by name grade, military service number or social security account number, position and organization. Also used for the certification of SCI accesses for which an individual has been granted access.

Counterintelligence and Security Division and Systems Operations Division, Defense Intelligence Agency (DIA)-the SI/SAO Billet Roster, previously defined, is used for integration into the DIA Security Management Information System (SMIS)

Strategic Operations Division and Office of the Directorate of Administrative Services, the Joint Staff, Organization of the Joint Chiefs of Staff-the SIOP-ESI Billet Roster, previously defined, is used for integration into the master SIOP-ESI Billet Roster.

Any component of the U.S. Government having an official need-to-know: used to verify that an individual has been granted access to a specific category of SCI and verification of information contained in the record as previously defined.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes; visible file cards; computer paper printouts; paper record in three-ring binders; IBM cards; paper records in file folders.

Retrievability:

Information on computer magnetic tapes retrieved by a unique ten digit billet number

Information on all other media retrieved by the unique ten digit billet number or by the individual's name.

Safeguards:

Records are maintained in safes and vaults and are routinely accessible only by personnel of the Office of the Chief, Security Division, Code 240, and by personnel of the Special Security Branch, Code 241, Headquarters, DCA.

Retention and disposal:

Individual records are maintained from date of initial nomination for access to SCI until 3 years following the individual's debriefing, which is when the individual no longer has a need-to-know for SCI, then records are destroyed.

System manager(s) and address:

Chief, Special Security Branch, Code 241, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Security Division, Code 240, Headquarters, DCA, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is placed into the system by the SYSMANAGER after an individual is nominated for access to SCI by his organization or employer or after an individual has been certified to the DCA by his cognizant security officer as having such access. SYSMANAGER obtains required information from the nomination or certification document, individual's personnel/ employment records, forms submitted by the individual, formal briefing actions accomplished by personnel of the Special Security Branch, Code 241, Headquarters, DCA, and from information developed during the personnel security investigation conducted on the individual.

Systems exempted from certain provisions of the act:

NONE

K240.03

System name:

Clearance Card File for Defense Communications Agency (DCA) Personnel

System location:

Office of the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency. Decentralized Segments: Security Branch, Defense Communications Engineering Center, Code R121; Defense Communications Operations Center, Allocations and Engineering Division, Code N230.

Categories of individuals covered by the system:

This file includes all DCA personnel requiring a security clearance. Since all positions in DCA are sensitive requiring at least a Secret clearance, all DCA military and civilian personnel world-wide are covered. The file also includes those persons previously assigned to or employed by DCA since 1962.

Categories of records in the system:

The Clearance Card File is an alphabetical card file (5' x 8', DCA Form 136) of all personnel requiring a security clearance, listing the individual's name, service or social security account number, grade or rank, job title, date and place of birth, date entered on duty with DCA, and date departed DCA if applicable. The file also includes the date requested, date received, and indicated results of each check within the National Agency Check (NAC), and for Background Investigation (BI) requests. Dates interim and final security clearances were granted and some special accesses are indicated.

Authority for maintenance of the system:

Executive Order 10450, as amended, Security Requirements for Government Employment, 27 April 1953.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by personnel of the Security Branch, Code 240, Headquarters, DCA, as a convenience or ready reference file to determine the security clearances and dates of issue for personnel assigned to or employed by DCA world-wide.

Information is available to the individual and to DCA supervisors of the individual to verify that the individual has the necessary security clearances for attendance at meetings and conferences where classified information is discussed. Also used to certify security clearances of individuals in writing or telephonically for attendance at classified conferences at other U.S. Government agencies and at private industry organizations having an industrial clearance and generally engaged in classified contract work for DCA.

Information is disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

This is a manual system consisting of 5' x 8' card records maintained in two rotary file cabinets.

Retrievability:

Information is retrieved by the individual's name.

Safeguards:

Records are maintained in two rotary file cabinets equipped with key locks. The file cabinets are locked during non-duty hours.

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Building employs security guards. Records are maintained in area which is accessible only to authorized personnel who are properly screened, their duties require them to be in the area where the records are kept.

Retention and disposal:

Records have been maintained since 1962 for all DCA personnel presently or previously assigned or employed. Reccords are destroyed when no longer needed.

System manager(s) and address:

Chief, Security Division, Code 240, Headquarters, Defense Communications Agency. Decentralized Segment - Chief, Security Branch, Defense Communications Engineering Center, Code R121, 1860 Wiehle Avenue, Reston, VA 22090.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license. For the Decentralized Segment requests should be addressed to - Chief, Security Branch, Defense Communications Engineering Center, Code R121, 1860 Wiehle Avenue, Reston, VA 22090.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Information is placed into the record system by the system manager after an individual is nominated for assignment to or employment by DCA. Information is obtained from National Agency Checks which may include: Federal Bureau of Investigation (FBI), Civil Service Commission (CSC), Department of State, Central Intelligence Agency (CIA), Immigration and Naturalization Service (I&N), Defense Intelligence Agency (DIA), Defense Investigative Service (DIS), investigative offices of the military Department (Army, Navy, Air Force), and the Credit Bureau Incorporated.

Systems exempted from certain provisions of the act:

NONE

K240.04

System name:

Identification Badge System

System location:

Office of the Chief, Physical Security Branch, Security Division, Code 243, Headquarters, Defense Communications Agency (DCA).

Categories of individuals covered by the system:

Civilian and military personnel assigned to Headquarters, DCA and collocated field activities.

Civilian contractors, civilian and military members of the U.S. Government whose official duties require frequent and continuing access to Headquarters, DCA and collocated field activities.

Categories of records in the system:

The DCA Permanent Badge, (DCA Form 21), issued to civilian and military personnel assigned to Headquarters, DCA and collocated field activities, contains a photograph of the individual with his or her surname, first name and middle initial, and a badge number. The badge is signed on the reverse side by the individual and countersigned by a representative of the Office of the Chief, Physical Security Branch (Code 243). A duplicate photograph is mounted on a 3' x 5' control card, containing the individual's name, grade or rank, badge number, office code and date of issue, and filed alphabetically.

The DCA Visitor Badge, (DCA Form 80 or 184), is issued to civilian contractors and U.S. Government civilian and military personnel, whose security clearance is on file with the Office of the Chief, Physical Security Branch, Code 243, Headquarters, DCA and who is sponsored by a Headquarters, DCA official. The badge contains a photograph of the individual with his surname, first name, middle initial, badge number, expiration date (not to exceed one year from date of issue) and is signed by the individual and countersigned by the issuing official of the Physical Security Branch (Code 243). Duplicate photographs are retained in an envelope and filed alphabetically, and are used for renewal of badges.

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, DCA - The badge is issued to the individual as his means of identification to the DCA.

Individual retains the badge in his possession and must wear it while in the DCA buildings. The badge must be surrendered when invalid or when the individual no longer is assigned to or requires access to the DCA.

By DCA operating officials as a means of identification.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Control card or envelope containing duplicate photograph is filed in a locked container.

Retrievability:

Control card or envelope containing duplicate photograph is filed alphabetically by name.

Safeguards:

Building employs security guards. Records are maintained in an area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

Badge and control card with extra photographs are destroyed upon termination of the individual's assignment to or need for access to the DCA.

System manager(s) and address:

Chief, Physical Security Branch, Code 243, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

For DCA assigned personnel notification is received from the Office of the Chief, Personnel Security Division, Code 242, Security Division, Headquarters, DCA.

For civilian contractors and civilian or military personnel from other U.S. government agencies the notification is received from the, Headquarters, DCA or collocated field activity sponsor.

Systems exempted from certain provisions of the act:

NONE

K240.05

System name:

visitor Clearance File

System location:

Office of the Chief Physical Security Branch, Security Division Headquarters, Defense Communications Agency (DCA), Code 243

Categories of individuals covered by the system:

All civilian personnel cleared under the Defense Industrial Security Program and all civilian or military members of the U.S. Government cleared by their respective components for access to classified material, whose official duties require them to have access to classified information in the performance of contractural obligations or participation in defense projects with the DCA, or whose functions, services, logistics support are required by the DCA or to facilities under the cognizance of the DCA.

Categories of records in the system:

This card records, as applicable, name, social security number, date of birth, place of birth, citizenship, alien registration number, clearance and date, authority, organization, persons or offices to be visited, date visit authorized of the individual requesting access to the DCA and classified information. All data is supplied in letter form by the Security Officer of the individual's company or organization. The file also includes a remarks section which is used to record the DCA's sponsor's request for a badge; badge number, if assigned; a file number cross-indexed to the letter; and disposition instructions. The file is updated as requested by the individual's organization or company, usually once annually.

Authority for maintenance of the system:

Exedutive Order 10450,as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, DCA - Information is collected and used for management use and control of access to classified information; daily certification of clearances to DCA project officers; certification of clearance on travel orders; request for DCA badges; certification of clearances to any US government agency or DoD component participating in DCA projects, or where the DCA is a participant in another agency or component project.

Department of Army, Military District of Washington - Identifying data (name, date and place of birth, sex, height, weight and organization) used on DoD and Pentagon Building passes (DD Form 1466 and 1467).

Joint Chiefs of Staff (JCS) - Identifying data (name, grade, height, weight, color of hair and eyes, date and place of birth, security clearance) used on JCS passes or badges and is submitted on JCS Form 8.

provost Marshal, Fort Ritchie, Md. - Identifying data (name, grade, rank, title, branch of service, social security number, date and place of birth, weight, height, color of hair and eyes, sex, organization or employer, security clearance) used on Fort Ritchie badges and is submitted on Fort Ritchie ACCN Form 19.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Visible file cards (5'x8') in rotary power file; correspondence in file folders, in safe.

Retrievability:

Information on file cards filed alphabetically by name.

Correspondence filed with sequential number cross-indexed to file card.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

File cards are maintained indefinitely as long as recertification is received annually from the individual's organizational or company security officer. Inactive cards are removed and destroyed periodically, usually within six months from the expiration of the visit request.

Correspondence files are removed and destroyed annually and as replaced by new certification.

System manager(s) and address:

Chief, Physical Security Branch, Code 243, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

All information maintained on the individual is furnished by the Security Officer of the individual's organization, company, or institution.

Systems exempted from certain provisions of the act:

NONE

K240.06

System name:

Classified Container Information on Form (DA Form 727)

System location:

Office of the Chief, Physical Security Branch, Code 243, Security Division, Headquarters, Defense Communications Agency (DCA). Decentralized Segment - Defense Communications Operations Center, Allocations and Engineering Division, Code N230.

Categories of individuals covered by the system:

Civilian and military personnel assigned to Headquarters, DCA and collocated field activities who have been designated responsible officials of a classified container, or who are to be notified if the container is found open and unattended.

Categories of records in the system:

This form records the name, grade, address and telephone number of the above individuals.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, DCA - Record, in duplicate, of each container used for storage of classified material and identifies individuals who have knowledge of the combination.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The original copy is posted on the outside of the container in the DCA office concerned; the carbon copy is attached to the outside of a sealed envelope which contains a smaller envelope containing the classified combination and is stored in an approved classified container in the Office of the Chief, Physical Security Branch, Code 243, Headquarters, DCA.

Retrievability:

Filed numerically by container number.

Safeguards:

Building employs security guards. Carbon copy records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

This form is retained only as long as the information remains accurate, but not to exceed one year, at which time it is destroyed byburning. The original copy on the safe is removed, discarded and replaced by an updated copy.

System manager(s) and address:

Chief, Physical Security Branch, Code 243, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, name of staff element, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Names of the individuals in the system are submitted on the form which is completed by the DCA office concerned.

Systems exempted from certain provisions of the act:

NONE

K240.07

System name:

Vehicle and Parking Registration Card

System location:

Office of the Chief, Physical Security Branch, Security Division, Code 243, Headquarters, Defense Communications Agency (DCA).

Categories of individuals covered by the system:

All civilian and military personnel assigned to Headquarters, DCA and collocated field activities, and who register their vehicles for parking on base.

Civilian contractor personnel assigned desk space at Headquarters, DCA and who apply for parking privileges on base.

Categories of records in the system:

This file records name, address, office code, office telephone number, social security account number (SSAN), make, year, body style, and color of vehicle, license plate number and state, insuring company and policy number, amount of liability insurance, expiration date of insurance policy carpool members and their address, place of employment and SSAN. The card also includes a certification statement signed and dated by the individual that he has read and understands the DCA Parking Regulations and attests to the accuracy of the information the individual provided. The amount of liability insurance is restricted to the term 'minimum required by the State of Virginia'. No dollar amounts are requested or required by the DCA.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Physical Security Branch, DCA - Information is used to report to the GSA the total number of parking spaces and itemized to show the number used for Government-owned or leased vehicle parking; other official parking; visitor vehicle parking; employee parking; number of employee spaces assigned to physically handicapped employees; number and percentage of employee parking spaces assigned to executive personnel and persons assigned unusual hours; number of employee parking spaces used by carpools; and total number of persons using carpool spaces.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Visible file cards (5' x 8') in metal file cabinet.

Retrievability:

Filed alphabetically by name and parking status, that is, Handicap Area, Carpool Area, Executive Area, and Open Area.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

File cards are maintained during the period of the incumbent's assignment, then removed and destroyed when asignment is terminated.

System manager(s) and address:

Chief, Physical Security Branch, Code 243, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Completed form filled out by individual.

Systems exempted from certain provisions of the act:

NONE

K240.08

System name:

Security Violation Case File

System location:

Office of the Chief, Physical Security Branch, Security Division, Code 243, Headquarters, Defense Communications Agency (DCA). Decentralized Segments - Security Branch, Defense Communications Engineering Center, Code R121, and Physical Security Branch, Command and Control Technical Center (CCTC) Code C122.

Categories of individuals covered by the system:

Civilian and military personnel assigned to Headquarters, DCA and collocated field activities, who committed or contributed to a security violation involving classified defense information.

Civilian and military personnel assigned to Headquarters, DCA and collocated field activities, who discovered the violation, were witnesses in connection with the violation, or were interviewed to determine whether they were involved.

Civilian contractors under contractural obligation to the DCA and who were witnesses in connection with the violation, or were interviewed to determine whether they were involved.

Any individual in the civilian community, government employ, military or civilian, who reported a security violation, or who could furnish information relative to the violation, or who may have been involved in the violation.

Categories of records in the system:

This file contains the results of an investigation involving classified defense information which has been compromised or subjected to compromise through loss, unauthorized disclosure, improper handling or transmission, or failure to safeguard. It contains the facts and circumstances surrounding the violation, the personnel involved, the findings, affixes responsibility, and recommendations for remedial, administrative or disciplinary actions.

Authority for maintenance of the system:

Executive Order 10450, as amended.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Division, Headquarters, DCA - This file which consists of a Report of Security Violation, and an Investigation Officer's Report of Investigation, is used to determine the adequacy of the investigation, a review of the circumstances which led to the violation, and a review of the security policies and procedures established by the DCA and the office concerned with the aim of improving the procedures to preclude further violations. It is also used, when compromise cannot be precluded, to notify the original classification authority for the specific classificaton involved, and to request an impact statement on national security, and whether the information can be downgraded or declassified. A copy may also be furnished to an appropriate military service or government agency involved in prosecution proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The correspondence is stored in case folders and secured in a safe.

Retrievability:

Each case folder is filed in numerical sequence by calendar year and cross-referenced to an index sheet containing case number, code, date of violation and name(s) of individuals involved.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel who are properly screened, and their duties require them to be in the area where the records are kept.

Retention and disposal:

Case files that preclude compromise are considered administrative and destroyed upon departure of the individual.

Case files that reflect compromise are retained for two years then retired to the Federal Records Center for an additional eight years, then destroyed.

System manager(s) and address:

Chief, Physical Security Branch, Code 243, Headquarters, DCA. Decentralized Segments - Chief, Security Branch, Defense Communications Engineering Center, 1860 Wiehle Avenue, Reston, VA 22090, and Chief, Security Branch, CCTC, Code C122, Washington, D. C. 20301.

Notification procedure:

Requests from individuals should be addressed to Chief, Security Division, Code 240, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. As proof of identity, the requester must present a current DCA identification badge or driver's license.

For the Decentralized Segments requests should be addressed to - Chief, Security Branch, Defense Communications Engineering Center, 1860 Wiehle Avenue, Reston, VA 22090 or Chief, Physical Security Branch, Command and Control Technical Center , Code C122, Washington, D. C. 20301.

Record access procedures:

Contact the Chief, Security Division, Code 240, Headquarters, Defense Communications Agency, for assistance. The mailing address is listed in the organizational directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for contesting contents and appealing determinations by the individual may be obtained from the SYSMANAGER.

Record source categories:

Information developed by the Investigating Officer investigating the violation includes, interviews with the individual(s) involved in the violation; witnesses to or having knowledge of the violation; coworkers and supervisor; it may include sworn statements, depositions, photographs or sketches of the area or equipment involved in the violation; office security procedures or instructions; and, in some cases, a copy of the classified document involved.

Systems exempted from certain provisions of the act:

NONE

K660.01

System name:

303-41-42 Claims Files, Requests for Waiver of Pay and Allowances

System location:

Office of Financial Services Division, Code 660, Headquarters, Defense Communications Agency (DCA), Washington, D.C. 20305.

Categories of individuals covered by the system:

Civilian employees or former civilian employees of DCA who submit requests for waiver of claims of the US arising from erroneous overpymt of pay & allowances.

Categories of records in the system:

The initial request for waiver of claim. The report of investigation, including copies of all documentation, affidavits, statements, vouchers, and other papers containing information bearing on the case. A summary of the report of investigation and a register of requests for waiver. Correspondence with the General Accounting Office concerning claims waivers. Correspondence with the individual who submitted the waiver request. Decisions concerning waivers of the Comptroller, DCA or the Comptroller General of the United States.

Authority for maintenance of the system:

5.U.S.C. 5584 'Claims for Overpayment of Pay and Allowances, other than travel and transportation expenses and allowances and relocation expenses.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records residing in these files represent the history of a request for waiver of claim & the action taken thereon, including disposition. Used by Comptroller, DCA or Comptroller General of the United States to reach a decision concerning requests for waiver. Records are used to administer and process requests for waivers of claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The record is stored in a locked safe.

Retrievability:

Retrieved by the name of the individual who submits a request for a waiver of claim.

Safeguards:

Records are stored in a locked safe. Access is limited to Code 660, DCA, the investigating officer if other than from Code 660, and the individual concerned, if he so desires, as well as the DCA Counsel, the Director and personnel of the Claims Division of the GAO.

Retention and disposal:

Records are retained by Code 660, Hq DCA for 2 years, then retired to Federal Records Center for permanent storage.

System manager(s) and address:

Chief, Financial Services Division, Code 660, Headquarters, Defense Communications Agency, Washington, D.C. 20305

Notification procedure:

Requests from individuals should be addressed to the Chief, Financial Services Division, Code 660, Headquarters, DCA, Washington, D.C. 20305. Individual must provide his full name and social security number to determine whether or not the system contains a record on him. For personal visits the individual must present proof of identity to include his full name and social security number as well as positive identification, such as identification card or driver's license.

Record access procedures:

Contact the Chief, Financial Services Division, Code 660, Headquarters, Defense Communications Agency, Washington, D.C. 20305 for assistance.

Contesting record procedures:

The Defense Communications Agency's rules for access to records and for contesting content and appealing initial determination by the individual concerned are promulgated in the Rules and Regulations section of the Federal Register.

Record source categories:

Official Personnel Records of Individuals; Finance and Accounting Offices for financial records; individuals having knowledge concerning the subject of the claim, for statements and affidavits; and any other source from which pertinent information may be drawn.

Systems exempted from certain provisions of the act:

NONE

K700.01

System name:

Employee-Management Relations and Services Files

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

DCA civilian employees in the Washington Metropolitan Area who have a requirement for the employee-management service except the grievance file which is applicable to all DCA civilian employees.

Categories of records in the system:

Blood donor program records, grievance file containing all documents realted to a grievance, reconsideration file containing all documents relating to a negative determination of within-grade salary increase and the request for reconsideration of the determination, DCA Form 169, Exit Interview

Authority for maintenance of the system:

Federal Personnel Manual, Supplement 990-1, Book III, Part 531, Section 531.407 Work of an Acceptable Level of Competence, Part 771, Employee Grievances, Part 715, Subpart B. Voluntary Separations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Civilian Personnel Office staffs and supervisors of employees to process and record actions pertinent to employee-management relations and services.

Used by the Director/Vice Director and heads of major staff elements DCA Headquarters and Commanders of DCA field activities in the Washington Metropolitan Area to render decisions concerning individual employees and as a basis for future management action.

Used by Department of Defense and Civil Service Commission inspectors to review records for compliance with applicable Federal Personnel Manual policies.

Used by the Civil Service Commission to review agency records concerning grievances and negative determinations of within-grade salary increase.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records stored in file folders and card files.

Retrievability:

Information is retrieved by name.

Safeguards:

Building employs security guards. Records are maintained by operating officials in area accessible only to authorized personnel who are properly screened and cleared and whose duties require them to bein

the area where records are maintained. Files are locked in secure file cabinets during non-duty hours.

Retention and disposal:

Records are not permanent. They are retained for two years and subsequently destroyed except for blood donor records which are retained until the employee terminates his/her employment with DCA and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720 Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Official personnel folder, individual employees, employee representatives, supervisors of employees, civilian personnel staff, hearing examiners reports and other reports of inverstigation, statements of witnesses and management representatives.

Systems exempted from certain provisions of the act:

NONE

K700.02

System name:

Civilian Awards Program File

System location:

Primary System - Civilian Personnel Division, Code 720, Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities.

Categories of individuals covered by the system:

DCA civilian employees who merit special recognition for performance either within or outside the employee's job responsibilities and length of service to the Government. Suggestions from civilian and military personnel assigned to Defense Communications Agency, Department of Defense and other government agencies.

Categories of records in the system:

File contains copies of minutes of DCA Awards Board meetings, action by approving officials, record of individuals receiving awards, DCA Form 89, Service Award Work Sheet and Record, suggestions and report of evaluation of suggestions, and related correspondence.

Authority for maintenance of the system:

Federal Personnel Manual, Chapters 430 Performance Evaluation, 450 Incentive Awards, 531 Pay Under the General Schedule

Department of Defense Directive 5120.15 Department of Defense Incentive Awards Program; Assignment of responsibility.

Department of Defense Instruction 5120.16, Department of Defense Incentive Awards Program: Policies and Standards

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the civilian personnel office staff to process and record actions for individuals who merit special recognitions.

Used by suggestion evaluators in the Defense Communications Agency, Department of Defense and other government agencies to recommend adoption or non-adoption of suggestions.

Used by the Department of Defense and Civil Service Commission to process and approve nominations for awards.

Used by DCA Awards Boards to review nominations for awards and recommend approval/disapproval to the Director, DCA.

Used by the Director DCA to approve/disapprove recommendation for awards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by name and type of award.

Safeguards:

Building employs security guards. Records are maintained in file cabinets with a combination lock and are accessible only to authorized personnel who are properly screened and cleared and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained in active file for two calendar years and subsequently destroyed except for minutes of Awards Boards which are retained for five years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors, Commanders and Chiefs of DCA field activities.

Notification procedure:

Information may be obtained from:

Primary System -Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Directors, Commanders and Chiefs of DCA field activities.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA.

Decentralized Segments - Contact the Director, Commander or Chief of the appropriate DCA field activity.

The official maining addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder, supervisors of employees, individuals submitting suggestions, evaluators of suggestions, DCA Awards Boards, civilian personnel office staff, Department of Defense, Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

K700.03

System name:

Personnel Management Information System (PERMIS)

System location:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters (HQ), Defense Communications Agency (DCA);

Decentralized Segments - DCA Field Activities.

Categories of individuals covered by the system:

All civilian and military personnel currently or formerly employed by or assigned to the DCA.

Categories of records in the system:

System contains personal information in several categories: biographical data (Name, SSAN, Sex, Minority Group Indicator, Birth Date, Marital Status, Number of Dependents, Number of Dependents Overseas, Sex of Dependents, Dependent Birth Date, Citizenship, Former Citizenship, Personal Title, blood type, RH Factor, date of last blood donation, quantity of blood donated to date); DcA employment(DCA Start Date, Recruitment Source, DCA Service Computation Date, Geographic Location, Submitting Office Number, DCA Area, Office Code, Badge Number, Salary, Appointment Type, Work Schedule, Pay Plan, Grade, Step, Date of Grade, Pay Determinant, Pay Basis, Date of Last Within-Grade, Highest Previous Grade, Special Program Identifier, Competitive Level, Tenure-Excepted, Reemployment Rights, Apportionment Code, Metropolitan Area Code, Security Clearance Level, Reemployed Employee Code, Retired Military Service and Component, Date of Military Retirement, Retirement Rank, Retirement Location, Retired Military Starting Civilian Grade, Retired Military Starting Civilian Position, Retired Military Starting Civilian Area, Reserve Status, Reserve Service, Reserve Rank, Reserve Title, Reserve Job Code, Reserve DCA Skill Code, Reserve Expected Separation Date, Mobilization Code, Position Code, Position Description Number, DCA Skill Code, Job Title, Career Field, Civilian Job Code, Function Code for Scientists and Engineers, Rotation Date, Not-to-Exceed Code, Not-to-Exceed Date, Nature of Action Code, Nature of Action Date, Performance Rating Date, Performance Rating Code, Supervisor Code, Trainee Code, Reason for Departure Code, Agency to Which Leave Record Sent, Date Leave Record Sent, Agency to Which Personnel File Sent, Job Opportunity Announcement Number, Military Requisition NUmber, Security Investigation Date); military service information (Date Entered Military Service, Service Component, Branch of Service, Date of Commission, Expected Separation Date, Primary Job Code, Secondary Job Code, Tertiary Job Code, Added Job Code, Source of Commission, Permanent Grade, Date of Permanent Grade, Special Qualifications Code, Special Career Program, General Test Score, Date of Proficiency Test, Proficiency Pay, Date of Last Physical, Date of Last Photo, Military Education Level, Military School Attended, Date Attended Military School, Rating Official, Military Performance Rating, Military Job Code, Temporary Grade, Office Assignment of Military Rater, Indorsing Official, Office Assignment of Military Indorser, MOS Prefix, MOS Suffix); civilian federal employment (Service Computation Date, Date Entered Federal Service, Veterans Preference, Reduction In Force Code, Tenure Group. Probation Start Date, Career Start Date, Leave Category, Handicap Code, Position Occupied Code); education (Education Level, University Attended, Academic Speciality, Year of Degree, Education Notes); experience information (Previous Employer, Previous Job Title. Previous DCA Skill Code, To-From Dates of Previous Employment); training and career appraisals (Type of Training, Purpose of Training, Source of Training, Training Facility, Course Number, Course Name, On Duty Training Hours, Off Duty Training Hours, Direct Training Costs, Indirect Training Costs, Date of Training, Training Status, Training Sponsor, Special Interest Training, Degree Program School, Type of Degree Program, Academic Speciality of Degree Program, Credits Remaining for Degree); (Date of Career Appraisal, Date of Career Training, Competence Rating, Quality of Work Rating, Written Work Rating, Oral Expression Rating, Cooperation Rating, Stability Rating, Supervision Rating, Career Development Job Title, Career Development Rotation Area, Career Development Rotation Office, Career Development Rotation Other Agency); awards and recognition (Type of Award, Date of Award, Amount of Award, Tangible Award, Intangible Award); benefits (Federal Employees Group LIfe Insurance Coverage; Federal Employees Health Benefits Plan, Federal Employees Health Benefits Carrier, Retirement System); publications (Title, Related DCA Skill Code, Date of Publication, Place of Publication, Title of Periodical); professional societies (Nae of Society, Offices Held in Society, To-From Membership Date); union affiliation (Name of Union, Union Office Held, To-From Membership Date); locator information (Home Phone Number, Office Phone Number, DCA Building Number, Room Number).

Authority for maintenance of the system:

10 U.S. Code 133(b).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCA and DCA Field Activities - collect and maintain personal data for internal management purposes and to meet external report requirements. Data is used by the Director, DCA and those DCA officials to whom the Director has delegated authority to command, organize, direct, and manage the DCA and DCA Field Activities.

Civil Service Commission and Department of Defense - data is used for statistical and by name reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes/disks/drums and/or punched cards.

Retrievability:

Retrieved by SSAN or random access.

Safeguards:

System is in areas accessible only to authorized personnel who are properly screened, cleared and trained. Building employs security guards to control access. Computer software restricts access by use of a series of passwords and levels of security codes for each data element.

Retention and disposal:

Records are permanent. They are retained in the active system during the individuals employment/assignment to DCA. Upon departure from DCA, individual records are transferred to a history file within DCA.

System manager(s) and address:

Chief, Plans and Analysis Division, Code 730, Office of the Assistant to the Director for Personnel, Hq DCA.

Notification procedure:

Personnel currently assigned to/employed by Headquarters DCA or personnel formerly assigned to DCA and DCA Field Activities may obtain information from:

Assistant to the Director for Personnel
Defense Communications Agency
8th & S. Courthouse Road
Arlington, Va. 22204

Personnel currently assigned to/employed by DCA Field Activities may obtain information by contacting the Commander of their organization.

For personal visits, requests for information concerning an individual must contain name and SSAN. Proof of identity is either an employee ID card or driver's license.

Record access procedures:

Contact the Assistant to the Director for Personnel for information concerning access to individual records. The official mailing address is in the Department of Defense directory in the apendix to the DCA systems notice.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information in the system is obtained from the individual either verbally or in writing and from source documents found in individual Official Personnel Folders/Files or submitted by employee supervisors, personnel office employees, EEO officials, and security office employees.

Systems exempted from certain provisions of the act:

NONE

K700.035

System name:

602-11 Active Application Files (Applicant Supply Files)

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Applicants for employment with DCA organizations in the Washington Metropolitan Area for positions which the organizations have beenauthorized by the Civil Service Commission to make temporary or term appointments outside Civil Service Commission registers.

Categories of records in the system:

File contains copies of Standard Form 170, Application for Federal Employment, Standard Form 171, Personal Qualifications Statement, Standard Form 172 Supplemental Experience and Qualifications Statement, Qualifications evaluations of the applicants, positions for which application is made, opening date for acceptance of applications and date that recruitment for the position is closed, priority groupings, alphabetic index of applications on file, index to the eligible applicants by occupational area, priority group and grade, name of individual selected and date of selection for appointment, qualifica-

tions standard used, written record of the positive efforts made to recruit preference eligibles for any appointment of a non-preference eligible to a restricted position and correspondence relating to the file.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 333, Appendix A, Mechanics of the Applicant Supply System

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission regulations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, trained and their duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained for two years or after receipt of a Civil Service Commission report of inspection of the agency's civilian personnel program, whichever occurs first, and then destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals submitting applications for employment, civilian personnel office staff, selecting officials, Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

K700.04

System name:

Priority Reassignment Eligibles File

System location:

Civilian Personnel Division, Code 720, Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA).

Categories of individuals covered by the system:

DCA civilian employees who are assigned to DCA activities located at the Headquarters DCA compound and the Military Communications-Electronics Board whose positions have been declared excess to current or planned Joint Table of Distribution (JTD) authorizations.

Categories of records in the system:

File contains a Reassignment List comprised of employees who are in positions which are not authorized by current or planned JTD's, positions for which the employee qualifies for reassignment and a record of the action taken for each employee.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 351, Reduction in Force

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel in the Civilian Personnel Division, Headquarters, DCA to screen the Reassignment List to identify employees who are qualified for vacant positions and to maintain a record of action taken for each referred employee.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in loose leaf folder.

Retrievability:

Information is accessed and retrieved by name

Safeguards:

Building employs security guards. Records are maintained in area accessable only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained until the individual is reassigned to an authorized DCA JTD position or terminates his/her employment with DCA and subsequently destroyed.

System manager(s) and address:

Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Notification procedure:

Requests should be addressed to the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The individual's full name and office code to which assigned will be required to determine if the system contains a record about him or her. The requestor may visit the Civilian Personnel Division, Code 720, Headquarters, DCA to obtain information on whether the system contains records pertaining to him or her. As proof of identity, the requestor must present either a current DCA identication badge or a driver's license.

Record access procedures:

Contact the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The official mailing address is in the Department of Defense directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DCA Comptroller - Joint Table of Distribution; Qualifications Statement in the Official Personnel Folder as analyzed by a personnel specialist; and selecting officials.

Systems exempted from certain provisions of the act:

NONE

K700.05

System name:

Executive Level Position Files

System location:

Civilian Personnel Division, Code 720, Headquarters, Defense Communications Agency (DCA)

Categories of individuals covered by the system:

Current and former DCA civilian employees assigned to an executive level position (GS-16,17,18 and 10 USC 1581 positions) and GS-15 employees proposed for the executive level position category.

Categories of records in the system:

Executive Level Position Files contain the names of the individuals, Official Position Description, Civil Service Commission Form 915 Notification of Executive Personnel Vacancy, Civil Service Commission Form 916 Request for Executive Personnel Action, Civil Service Commission Form 917 Request for Approval of Executive Selection, Standard Form 171 Personal Qualifications Statement and a record of correspondence pertinent to the established/proposed supergrade position. Executive Level Position Report contains the name of the individual assigned to an established or proposed executive level position, type of executive level authorization, and a summary of projected actions required to obtain Department of Defense and Civil Service Commission approval of executive level positions.

Authority for maintenance of the system:

Federal Personnel Manual Chapter 305, Employment Under the Executive Assignment System.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the staff of the Office of the Assistant to the Director for Personnel to compile supporting data for authorized and projected supergrades and to provide DCA management with a monthly report of the status of executive level positions.

Used by the Director, Vice-Director, Chief of Staff, Deputy Directors, Deputy Manager, National Communications System, Comptroller, Office of the Counsel, Assistant to the Director for Administration and Commanders, DCA Field Activities located in the Washington Metropolitan Area to determine executive level position needs of the Agency and to keep abreast of the status of current and projected executive level positions.

Used by the Department of Defense to review DCA requests for establishment of supergrade positions and approval of selections for executive level positions.

Used by the Civil Service Commission to approve/disapprove the agency request for classification of executive level positions and selection for executive level positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records stored in file folders.

Retrievability:

Information is accessed and retrieved by name, position title/series/grade and organizational location.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, trained and their duties require them to be in the area where records are maintained.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Notification procedure:

Requests from individuals should be addressed to the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the Civilian Personnel Division, Code 720, Headquarters, DCA to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The official mailing address in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder Files; DCA Joint Table of Distribution; correspondence originating in DCA staff organizations, Department of Defense and the Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

K700.06

System name:

Report of Defense Related Employment

System location:

Civilian Personnel Division, Code 720, Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Categories of individuals covered by the system:

Civilian employees of DCA who were previously employed by or performed services for defense prime contractor.

Categories of records in the system:

Department of Defense Form 1787, Report of Defense Related Employment as Required by Public Law 91-121 and lists of civilian employees who were previously employed by or performed services for a defense prime contractor.

Authority for maintenance of the system:

Public Law 91-121, section 410.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Civilian Personnel Division staff to assure that applicable DCA civilian employees submit a completed DD Form 1787 to review information as submitted for the possibility of a violation of the law or Department of Defense Directive, and to transmit a composite listing by employee name and defense contractor together with completed DD Forms 1787 to the Assistant Secretary of Defense (Manpower and Reserve Affairs).

Used by the Assistant Secretary of Defense (Manpower and Reserve Affairs) to prepare and transmit reports to the President of the Senate and the Speaker of the House of Representatives.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Retrieved by employee name.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, trained and their duties require them to be in the area where records are maintained.

Retention and disposal:

Records are retained for two calendar years and subsequently destroyed.

System manager(s) and address:

Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Notification procedure:

Requests should be addressed to the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The individual's full name and office code to which assigned will be required to determine if the system contains a record about him or her. The requestor may visit the Civilian Personnel Division, Code 720, Headquarters, DCA to obtain information on whether the system contains records pertaining to him or her. As proof of identity, the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Contact the Chief, Civilian Personnel Division, Code 720, Headquarters, DCA. The official mailing address is in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual employees submitting the DD Form 1787.

Systems exempted from certain provisions of the act:

NONE

K700.07

System name:

Employee Record File

System location:

These cards are maintained by all supervisors of civilian employees.

Categories of individuals covered by the system:

Civilian employees of DCA organizations in the Washington Metropolitan Area.

Categories of records in the system:

Standard Form 7B, Employee Record Card.

Authority for maintenance of the system:

Federal Personnel Manual, Supplement 293-31, Subchapter S7-2, Employee Record

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by operating officials as a source of data to initiate requests for personnel actions, to plan and schedule employee training to counsel employees on their performance, to establish a basis for proposing commendations or disciplinary actions and to carry out their personnel management responsibilities in general.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical File Cards.

Retrievability:

Information is accessed and retrieved by employee name.

Safeguards:

Building employs security guards. Records are maintained in area accessible only to authorized personnel who are properly screened and cleared and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. Cards for employees who are moving within the Agency are sent to the new operating office; Cards of employees who terminate employment with DCA are destroyed.

System manager(s) and address:

Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Notification procedure:

Requests should be addressed to the employee's supervisor. The individual's full name will be required to determine if the system contains a record about him or her.

Record access procedures:

The individual can contact his/her supervisor to gain access to the record. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder, individual employees, supervisors of employees, official personnel actions, civilian personnel staff.

Systems exempted from certain provisions of the act:

NONE

K700.08

System name:

USAF CAREER MOTIVATION PROGRAM

System location:

Military Personnel Division, Code 710, Headquarters, Defense Communications Agency (DCA) and Field Activities Administrative Offices.

Categories of individuals covered by the system:

Records are maintained on enlisted personnel of the Air Force currently assigned to the Defense Communications Agency.

Categories of records in the system:

Files contain personal identification, biographical data, and record of all career motivation and reenlistment counselling.

Authority for maintenance of the system:

10 U.S. Code 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCA and Air Force use to provide career information and counseling to the Air Force member and his family to enable an intelligent career decision.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and locked in filing cabinets.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are maintained during the period of assigment of Air Force enlisted personnel to DCA Headquarters and Field Activities worldwide. They accompany the individual airman upon reassignment from the Agency.

System manager(s) and address:

Assistant to the Director for Personnel, Code 700, Headquarters, DCA and Commanders, DCA Field Activities.

Notification procedure:

Requests from individuals should be addressed to the Assistant to the Director for Personnel, Code 700, Headquarters, DCA. The full name, rank, and social security number of the requesting individual will be required to determine if the system has a record about the individual. The requestor may visit the Military Personnel Division, Code 710, Headquarters, DCA to obtain information on whether the system contains records pertaining to the individual. As proof of identity the requestor will present his U.S. Armed Forces Identification Card.

Record access procedures:

For personnel assigned to DCA Field Activities request should be addressed to the appropriate activity commander. Contact the Assistant to the Director for Personnel, Code 700, Headquarters, DCA or Commander of the appropriate DCA Field Activity. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's Systems Notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be from the SYSMANAGER

Record source categories:

Basic source of data is furnished by the Department of Air Force via Air Force Form 173.

Systems exempted from certain provisions of the act:

NONE

K700.09

System name:

603-02 Service Record Card Files

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

DecentralizeD Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees or former civilian employees of DCA organizations.

Categories of records in the system:

File contains Standard Form 7, Service Record; Standard Form 7A, Service Record Continuation; and, Standard Form 7D, Position Identification Strip

Authority for maintenance of the system:

Federal Personnel Manual, Supplement 293-31, Subchapter S2, The Service Control File

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical file cards in metal and cardboard containers.

Retrievability:

Information is accessed and retrieved by name and organizational location.

Safeguards:

Recoreds are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained in an active file until the individuals terminate their employment with DCA; held for five additional years in an inactive file in DCA and then transferred to Washington National Records Center where they are held for an additional ten years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary Ststem - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's liense.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder Files

Systems exempted from certain provisions of the act:

NONE

K700.10

System name:

603-08 Annual Classification Maintenance Review File

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the washington, dc, metropolitan area.

Categories of individuals covered by the system:

DCA civilian employees.

Categories of records in the system:

File contains a report of the annual classification maintenance review by individual employee, position description number, position title/series/grade

Authority for maintenance of the system:

Section 1310 of the Supplemental Appropriation Act, 1952 as amended (5 USC 3101, Note) Whitten Amendment

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel organizations – used to identify positions subject to the annual maintenance classification review and to take appropriate position classification action for positions which require adjustments.

Civilian employees and supervisors–used to identify the need for each position and to certify the accuracy and completeness of each officially classified position.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Retrieved by employee name and position description number.

Safeguards: Records are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained in active file for two calendar years and then destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to mine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the rquestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information in the system is obtained from the Personnel Management Information System, Official Positon Descriptions, civilian employees and their supervisors, and civilian personnel employees.

Systems exempted from certain provisions of the act:

NONE

K700.11

System name:

602-18 Promotion Register and Record Files

System location:

Primary System - Civilian Personnel Division, Code 720, Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Candidates who apply for job vacancies under the DCA Civilian Merit Promotion Program

Categories of records in the system: The file contains the Job Opportunity Announcement; list of candidates; rating sheets; evaluation instrument; supervisory appraisals; DCA Form 237, Eligibility List; SF 171, Personal Qualifications Statements; DCA Form 326, Applicants Card Record; and other supporting documentation generated in the evaluation of candidates.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 335, Promotion and Internal Placement

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Civilian Personnel Office staffs to prepare and issue Job Opportunity Announcements; evaluate candidates' qualifications and develop promotion certificates in coordination with promotion panels and supervisors, notify candidates of selection or nonselection, monitor the DCA Civilian Merit Promotion Program, and to otherwise complete and document merit promotion actions.

Used by supervisors and members of promotion panels to evaluate candidates, interview candidates and to notify the Civilian Personnel Office staffs when selections are made.

Used by Department of Defense and Civil Service Commission inspectors to review promotion actions for compliance with merit promotion policy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

information is accessed and retrieved by employee name and Job Opportunity Announcement Number.

Safeguards:

Records are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained in active file for two calendar years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, Defense Communications Agency Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, Defense Communications Agency

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, Defense Communications Agency

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories: Job application from individuals, current and former supervisory appraisals, Official Personnel Folder, promotion panels and civilian personnel office staff, selecting officials.

Systems exempted from certain provisions of the act:

NONE

K700.12

System name:

602-10 Civil Service Certificate Files

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Applicants who are eligible for competitive appointments from Civil Service Commission registers to positions in DCA organizations.

Categories of records in the system:

File contains copies of Standard Form 39, Request for Certification, Civil Service Commission Form 1844, Certificates of Eligibles, Civil Service Commission Form 2934, Statement of Reasons for Passing Over and Preference Eligible and Selecting a Nonpreference Eligible, Civil Service Commission Form 775, Authority to Examine and Appoint Under Open Examination, and related correspondence supporting the action.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 332, Recruitment and Selection Through Competitive Examination.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by position title and position description number.

Safeguards:

Records are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained for two calendar years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to detetmine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Civil Service Commission certificates of eligibles and reports of action taken on certificates of eligibles.

Systems exempted from certain provisions of the act:

NONE

K700.13

System name:

602-26 Retention Register Files (Reduction-in-Force)

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees of organizations who compete during a Reduction-In-Force (RIF); civilian employees who receive a RIF notice and are eligible for registration in the Department of Defense Program for Stability of Civilian Employment and the Civil Service

Commission Displaced Employee Program and the Reemployment Priority List.

Categories of records in the system:

File contains copies of Retention Registers and Reduction-in-Force Notices, Civil Service Commission Displaced Employee Program Registration; Department of Defense Form 1817, Program for Stability of Civilian Employment Registration; Reemployment Priority List, Qualifications Appraisal.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 351, Reduction-in-Force

Department of Defense Directive 1400.20, Program for Stability of Civilian Employment in the Department of Defense

Department of Defense Program for Stability of Civilian Employment Policies, Procedures and Programs Manual, DoD 1400.20-1-m.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission and Department of Defense regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and computer printout of Retention Registers.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Records are maintained in area accessible only to authorized personnel who are properly screened and cleared and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained for five years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contais records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder, computer printout of retention register, DCA management, individual employees and supervisors, civilian personnel office staff, official position description, Civil Service Commission, Department of Defense.

Systems exempted from certain provisions of the act:

NONE

K700.15

System name:

- 603-05 Chronological Journal Files

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees or former civilian employees of DCA organizations for whom a personnel action affecting their employment with DCA was processed within the last two calendar years.

Categories of records in the system:

File contains copies of Standard Form 50, Notification of Personnel Action, Standard Form 50A, Notice of Short Term Employment and list forms used in lieu of Standard Form 50.

Authority for maintenance of the system:

Federal Personnel Manual, Supplement 239-31, Subchapter S3, The Chronological Journal File

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission regulations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in three-ring binders.

Retrievability:

Information is accessed and retrieved by name or type of personnel action.

Safeguards:

Records are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained for two calendar years and subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder Files, official position description, individual employees, supervisors of employees, civilian personnel staff members, and Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

K700.16

System name:

Classification Appeals File

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees of DCA who appeal a position classification action to the Agency; civilian employees who appeal a classification action to the Civil Service Commission and Agency appeals to the Civil Service Commission.

Categories of records in the system:

Official position description of the employee and the supervisor evaluation statements, organizational charts, employee/supervisor statements concerning completeness and accuracy of the position description and related correspondence.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 511, Classification Under the General Schedule; Chapter 532, Coordinated Federal Wage System

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the civilian personnel office staff to process classification appeals and render classification decisions; to advise employees of classification decisions; to submit information concerning employee and agency appeals to the Civil Service Commission; and as a reference document for future classification actions.

Used by the Civil Service Commission to process classification appeals and to notify the agency and employees of classification decisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by employee name

Safeguards:

Building employs security guards. Records are maintained in area accessible only to authorized personnel who are properly screened and cleared and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are destroyed when obsolete.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personne, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the rquesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the rquestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Civilian personnel office employees, DCA management officials appellant and their supervisors, and Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

K700.17

System name:

603-01 Official Personnel Folder Files (Standard Form 66)

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA)

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees of DCA organizations.

Categories of records in the system:

Standard Form 171 Personal Qualifications Statement Standard Form 172 Supplemental Experience and Qualifications Statement Standard Form 50 Notification of Personnel Action Standard Form 50A Notice of Short Term Employment Standard Form 52 Request for Personnel Action Standard Form 15 Claim for Veteran's Preference Standard Form 51 Request for Insurance Standard Form 176 Election, Declination, or Waiver of Life Insurance Coverage, FEGLI Standard Form 176A The Federal Employees Group Life Insurance Program Standard Form 54 Designation of Beneficiary. Group Life Insurance Standard Form 61 Appointment Affidavits Standard Form 61B Declaration of Appointee Standard Form 70 Proof of Residence Standard Form 78 Health Qualification Placement Record Standard Form 144 Prior Federal & Military Service Standard Form 2809 Health Benefits Registration Form Standard Form 2810 Notice of Change in Health Benefits Enrollment Standard From 39 Request for Certification Standard Form 39A Request for FSEE Certification Standard Form 59 Request for Approval of Noncompetitive Action Standard Form 75 Request for Preliminary Employment Data Standard Form 144 Statement of Prior Federal and Military Service Standard Form 161 Executive Inventory Record Standard Form 161A SF 161 Continuation Sheet DA Form 2515 Payroll Change Slip Standard Form 1126 Payroll Change Slip Standard Form 1152 Designation of Beneficiary, Unpaid Compensation of Deceased Employee CA1/CA-1&2 Notice of Injury of Occupational Disease DA2515 Notice of Within Grade/Pay Adjustment WA18, WA8 Direct Hire Authority Optional Form 8 Position Description DD Form 214 Armed Forces of the United States Report of Transfer or Discharge DD Form 1559/1917 Employee Career Appraisal (Test) DD Form 1617 Transportation Agreement - Overseas Employee DD Form 1618 Transportation Agreement - Transfer of DoD Civilian Employees to and within Continental ! United States CSC Form 2800A Proof of Selection for Career/Career Conditional Appointment CSC Form 813 Request for Verification of Military Service DCA Form 89 Service Award Work Sheet & Record DCA Form 103 Notice of Performance Rating DCA Form 104 Recommendation for Outstanding Performance Rating DCA Form 222 Quality Salary Increase Recommendation and Approval DCA Form 105 Recommendation for Performance Award Records of Training Civil Service Commission Letters authorizing waivers and exceptions Official Letters of Commendation Debt Correspondence Official Disciplinary Actions Reduction-in-Force Letters

Authority for maintenance of the system:

Federal Personnel Manual, Supplement 293-31, Subchapter S5, The Official Personnel Folder File.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as prescribed by Civil Service Commission Regulations and to provide data for the automated Defense Communications Agency Personnel Management Information System (PERMIS)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records stored in file folders.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Records are maintained in Lektriever with combination lock and are accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Temporary Records - Must be retained in the Official Personnel Folder (left side) for a minimum period of one year or until the eemployee transfers or separates, whichever occurs first, except that official letters of admonishment, warning, caution, reprimand, and similar disciplinary action papers may be removed at any time if it is decided later that the action was unwarranted. Otherwise, most temporary records may remain in an employee's personnel folder as long as he remains with the same agency, except that letters of caution, warning, admonishment, reprimand, and similar disciplinary action papers must not be kept in the folder longer than three years, unless the agency has received an exception from the Civil Service Commission.

Permanent Records - Personnel action reports and other doduments filed on te right side of the folder are permanent records and 'travel' with the employee throughout his or her entire Federal career. Records are maintained in DCA until the individuals terminate their employment with DCA and subsequently are transferred to another government agency or if the employee is separated from the Federal service the records are transferred to the National Personnel Records Center (Civilian), St. Louis, Missouri.

System manager(s) and address:

Primary System - Office of the Assistnat to the Director for Personnel, Code 700, Headquarters, DCA

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requestor may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining him or her. As proof of identity the requestor must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA.

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requestor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Former government agencies with which the individual was employed, individual employees, supervisors of employees, official personnel actions, military service records, Civil Service Commission records, and information listed in the records category and civilian personnel staff.

Systems exempted from certain provisions of the act:

NONE

K890.01

System name:

Freedom of Information Act File (FOIA)

System location:

Central - Office of Civilian Assistant to Chief of Staff, DCA, Code 104. Decentralized - DCA Field Activities World-wide.

Categories of individuals covered by the system:

Persons who request information under FOIA.

Categories of records in the system:

Consists of (1) policy file which contains DoD Directive 5400.7, Availability to the Public of DoD Information, 14 February 1975; DCA Instruction 210-225-1, Availability to the Public of DCA Information 31 March 1975; USAF Regulation 12-30, Disclosure of Air Force Records to the Public, 19 February 1975; Department of Health, Education and Welfare, Public Information, contained in Federal Register Vol 39, Number 248, Part II, 24 December 1974; Commanders Digest, Vol 17, Number 8, Freedom of Information Actions, 18 February 1975; DoD Directive 5400.9, Publication of Proposed and Adopted Regulations Affecting the Public, 23 December 1974; and DCA Messages to Field Activities implementing the FOIA. (2) Log File which consists of a record of all written requests for information under the FOIA which have been processed within DCA since 1 January 1975. (3) Correspondence received in DCA relating to FOIA, including replies thereto.

Authority for maintenance of the system:

5 U.S.C. 552, as amended by P. L. 93-502, Freedom of Information Act.

DoD Directive 5400.7, 14 February 1975, Availability to the Public of DoD Information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For making available to the public the maximum amount of information concerning the operations and activities of DCA. DCA Management - to receive, process, and respond to requests for information under FOIA. DCA Counsel and Director, DCA - to review and deny requests for information under provisions of FOIA and to forward applicable correspondence to DoD when the denial may be contested or appealed.

DoD and Department of Justice - for review and in event of judicial action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The paper records in file folders.

Retrievability:

Retrieved by the control number and the name of the individual who requested the information.

Safeguards:

Records are stored in a locked safe. Records pertaining to policy are permanent. Correspondence maintained for two years, then destroyed. Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

All records (except the Authorities which are permanent) are retained by Code 104, Headquarters, DCA, for two years. Logs are kept until reference need expires.

System manager(s) and address:

Civilian Assistant to the Chief of Staff, Headquarters, DCA, Code 104, Defense Communications Agency, Washington, D.C. 20305.

Notification procedure:

Requests from individuals relating to information from DCA Headquarters or DCA Field Activities in the Washington Metropolitan area should be addressed to the Civilian Assistant to the Chief of Staff, Code 104, Headquarters, DCA, Washington, D.C. 20305. Requests from individuals relating to information from DCA Field Activities outside the Washington Metropolitan area should be addressed to the Commanders of those activities. Individual must provide his full name, a detailed description of the record desired. For personal visits, the individual must present proof of identity to include full name and social security number as well as positive identification, i.e., such as driver's license, etc., and fully identify record desired.

Record access procedures:

Contact Civilian Assistant to the Chief of Staff, Headquarters, DCA, Code 104. The mailing address is listed in the organization directory of the Defense Communications Agency published in the Federal Register and should be referenced by the requester.

Contesting record procedures:

The Agencies' rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

From individuals concerned.

Systems exempted from certain provisions of the act:

As specified by the requested record system.

K890.02

System name:

Navy Officers Service Record

System location:

Military Personnel Division, Code 710, Headquarters, Defense Communications Agency (DCA)

Categories of individuals covered by the system:

Records are maintained on Navy officer personnel presently assigned to DCA that are stationed in the greater Washington Metropolitan area.

Categories of records in the system:

Records contain qualification records, duty status, special orders, assignment actions, personnel action requests, and suspense items for individuals to update Military Personnel Record maintained by the Navy Branch, Military Personnel Division, The category of data maintained is: personnel identification, assignment history, classification history, biographical data, promotion history and eligibility, medical profile status and military and civilian education history.

Authority for maintenance of the system:

10 U.S. Code 6011.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: This collection of information is used to manage the Navy Personnel System.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and locked in filing cabinets.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are maintained during the period of assignment of Naval officers to DCA Headquarters and Field Activities in the Washington Metropolitan area and accompany the individual officer upon reassignment from the Agency.

System manager(s) and address:

Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to the Assistant to the Director for Personnel, Code 700, Headquarters, DCA. The full name, rank, and social security number of the requesting individual will be required to determine if the system has a record about the individual. The requester may visit the Military Personnel Division, Code 710, Headquarters, DCA to obtain information on whether the system contains records pertaining to the individual. As proof of identity the requester will present his U.S. Armed Forces Identification Card.

Record access procedures:

Contact the Assistant to the Director for Personnel, Code 700, Hq, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's Systems Notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting records and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Basic sources of data are furnished by the Department of Navy. When the officer is assigned to this Agency he reports in with his records. This data is updated and reviewed by the officer during the inprocessing phase for incoming personnel. Source documents in this file are: NAVPERS Forms: 601-8/2644/1000-22/7720-2/601-2/2716/5521-429/5512-1/591/3076/ 1070-74/998/601-13/DD Forms 1171/528/802/803/214/214N.

Systems exempted from certain provisions of the act:

NONE

K890.03

System name:

Awards Case History File

System location:

Military Personnel Division, Code 710, Hq, Defense Communications Agency (DCA). Decentralized Segment - Defense Communications Operations Center, Allocations and Engineering Division, Code N230.

Categories of individuals covered by the system:

Records are maintained on military personnel of the Army, Air Force, Navy and Marine Corps, assigned to the Defense Communications Agency, that have been recommended for an award while assigned/received an award that was presented by the Director/Vice Director/or received a promotion and the ceremony was conducted by the Director/Vice Director.

Categories of records in the system:

Records contain recommendation for an award, citation, memorandum and copy of ceremony announcement and the Director's brief sheet, biographical summary sheet and minutes of the awards board meetings. Categories of information are: Personnel identification and narrative justification for an award.

Authority for maintenance of the system:

10 U.S.Code 1121.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the DCA awards personnel to manage the awards program of this Agency.
Department of the Army uses to grant or deny service awards.
Department of the Navy uses to grant or deny service awards.
Department of the Air Force uses to grant or deny service awards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and locked in filing cabinets

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are not permanent. They are destroyed 2 years after individual has departed from this Agency/or upon approval of the award whichever is later.

System manager(s) and address:

Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to the Assistant to the Director for Personnel, Code 700, Hq, DCA. The full name, rank, and social security number of the requesting individual will be required to determine if the system has a record about the individual. The requester may visit the Military Personnel Division, Code 710, Hq, DCA to obtain information on whether the system contains records pertaining to the individual. As proof of identiy the requester will present his U.S. Armed Forces ID Card.

Record access procedures:

Contact the Assistant to the Director for Personnel, Code 700, Hq, DCA. The official mailing addresses are in the DoD Directory in the appendix to the Defense Communications Agency's Systems Notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Activity/Area Commanders, Deputy Directors, Vice Director, Director, Comptroller, Assistant to the Director for Administration and Assistant to the Director for Personnel, who submit recommendations for awards on individuals assigned to their activity. Source data documents are: DA Form 638, Recommendation for Award (Army), AF Form 642, Recommendation for Decoration (Air Force), NAVPERS Form 1650/6, Recommendation for Award (Navy). Letter recommendations following the format prescribed in DCAI 220-15-39.

Systems exempted from certain provisions of the act:

NONE

K890.04

System name:

Military Personnel Management/Assignment Files

System location:

Military Personnel Division, Code 710, Headquarters, Defense Communications Agency (DCA).

Categories of individuals covered by the system:

Records are maintained on military personnel of the Army, Air Force, Navy and Marine Corps currently assigned to the Defense Communications Agency.

Categories of records in the system:

Records contain qualification records, duty status, special orders, assignment actions, personnel action requests, and suspense items for individuals to update Military Personnel Records maintained by the Military Department's Personnel Office. The category of data maintained is: personnel identification, assignment history and eligibility, medical profile status and military and civilian education history.

Authority for maintenance of the system:

10 U.S. Code 3012, 6011, 8012.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DCA uses this information to manage the military personnel assigned. The majority of the information is furnished by the Military Departments. This information is used: to determine acceptance/non-acceptance for assignment to this Agency, to determine requisition base, to determine qualifications for requirements peculiar to the Agency, performance evaluations, position manning reports, strength accountability, data upon which to base individual requests for personnel actions, and biographical and statistical reports to top DCA management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders in filing cabinets.

Retrievability:

Information is access and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are not permanent. They are destroyed upon reassignment from DCA.

System manager(s) and address:

Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Notification procedure:

Requests from individuals should be addressed to the Assistant to the Director for Personnel, Code 700, Headquarters, DCA. The full name, rank, and social security number of the requesting individual will be required to determine if the system has a record about the individual. The requester may visit the Military Personnel Division, Code 710, Hq, DCA to obtain information on whether the system contains records pertaining to the individual. As proof of identity the requester will present his U.S. Armed Forces Identification Card.

Record access procedures:

Contact the Assistant to the Director for Personnel, Code 700, Hq, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's Systems Notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Basic sources of data are the Military Departments: Army, Air Force and Navy. Qualification records furnished when the individual is nominated for assignment to the Agency. The types of forms that are used as source data are: Army DA Form 2475-2 (Personnel Data-SIDPERS), DA Form 31 (Request and Authority for Leave), DA Form 2/2-1 (Qualification Record), PERSINCOM Form 260 Officers Record Brief), Special Orders; Air Force AF Form 47 (Personnel Security Certificate), AF Form 298-1 (Career Brief Officer), AF Form 1074 (Career Brief Enlisted), AF Form 899 (Reassignment Orders), AF Form 152/988 (Leave Forms), AF Forms 2095/2096/2097/2098 (Personnel Actions Forms); Navy Career Brief Officers, NAVPERS 1070/602 (Dependency Application/Record of Emergency Data), Orders, OPNAV Form 5521-420 (Certificate of Clearance), NAVPERS 601-3 (Enlisted Classification Record). NAVPERS 601-4 (Navy Occupation and Training History), NAVPERS 601-9 (Enlisted Performance Record), NAVPERS Form 1616/18 (Performance Evaluation Report); Marine Corps, Career Brief. All services file letters, messages and general correspondence, DA Form 2490 (Disposition Form), relative to the individuals assigned to the Agency.

Systems exempted from certain provisions of the act:

NONE

K890.05

System name:

Overseas Rotation Program Files

System location:

Primary System - Civilian Personnel Division, Code 720; Office of the Assistant to the Director for Personnel, Headquarters, Defense Communications Agency (DCA).

Decentralized Segments - DCA field activities in the Washington, DC, metropolitan area.

Categories of individuals covered by the system:

Civilian employees of DCA organizations in the Continental United States (CONUS) assigned to a position with a government organization outside the CONUS.

Categories of records in the system:

File contains copies of Standard Form 30, Notification of Personnel Action; Standard Form 55, Notice of Conversion Privilege, Group Life Insurance; Standard Form 56, Agency Certification of Insurance Status; Standard Form 171, Personnel Qualifications Statement; Standard Form 172, Supplemental Experience and Qualifications Statement; Standard Form 2810, Notice of Change in Health Benefits Enrollment; DD Form 1617, Transportation Agreement-Overseas Employees; DA Form 2515, Payroll Change Slip; Statement of Agreement; Position Description; Request for Extension of Reemployment Rights; General correspondence pertaining to the overseas assignment.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 301, Overseas Employment
Department of Defense Instruction 1404.3, Standardized Overseas Tours of Duty for United States Citizens Employees of the Department of Defense.

Department of Defense Instruction 1404.8, Rotation of Employees from Foreign Areas and the Canal Zone.

Department of Defense Directive 1400.6, Statement of Personnel Policy for Civilian Personnel of the Department of Defense in Overseas Areas.

Department of Defense Program for Stability of Civilian Employment Policies, Procedures and Programs Manual, DoD 1400.20-1-M.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the personnel office staff as a source document to resolve questions concerning overseas employees who have reemployment rights to DCA/CONUS activities, to determine placement rights and to process actions for the exercise of reemployment rights.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Information is accessed and retrieved by name and occupational location.

Safeguards:

Records are maintained in area accessible only to authorized personnel who are properly screened, cleared and trained and whose duties require them to be in the area where records are maintained.

Retention and disposal:

Records are not permanent. They are retained until the employee exercises reemployment rights within the CONUS and are subsequently destroyed.

System manager(s) and address:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, DCA.

Decentralized Segments - Directors of DCA field activities in the Washington, DC, metropolitan area.

Notification procedure:

Information may be obtained from:

Primary System - Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters. DCA.

Decentralized Segments - Civilian Personnel Offices of the appropriate DCA field activity in the Washington, DC, metropolitan area.

The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the applicable civilian personnel office to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present either a current DCA identification badge or a driver's license.

Record access procedures:

Primary System - Contact the Office of the Assistant to the Director for Personnel, Civilian Personnel Division, Code 720, Headquarters, DCA.

Decentralized Segments - Contact the Civilian Personnel Office at the appropriate DCA field activity in the Washington, DC, metropolitan area.

The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's system notice and should be referenced by the requester.

Decentralized Segments - Commander, DCA-Western Hemisphere, Building 6286, Fort Carson, Colorado 80913; Commander, Defense Commercial Communications Office, Scott Air Force Base, Illinois 62225.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained for the SYSMANAGER.

Record source categories:

Official personnel folder; individual employees; personnel office staff.

Systems exempted from certain provisions of the act:

NONE

K890.06

System name:

Card File for Forwarding Mail of Departed Personnel

System location:

Correspondence and Mail Processing Branch, Code 212, Headquarters, Defense Communications Agency (DCA). Decentralized Segment - Defense Communications Engineering Center, Administrative Offices, Code R120.

Categories of individuals covered by the system:

Records system contains the names of personnel who have been reassigned who had been receiving their mail through the correspondence and Mail Processing Branch, Code 212, Headquarters, DCA.

Categories of records in the system:

Card file consisting of individual's name and forwarding address for mail.

Authority for maintenance of the system:

Post Office Department, USA, Postal Manual, Chapter 1, Part 158.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by personnel of the Correspondence and Mail Processing Branch, Code 212, Headquarters, DCA for forwarding mail to personnel of Headquarters, DCA; Headquarters, National Communications System; and the Defense Communications Agency Operations Center, who have departed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in a card file box.

Retrievability:

Information is accessed and retrieved by name.

Safeguards:

Building employs security guards. Records are maintained in area which is alarmed and is accessible only to authorized personnel that are properly screened, cleared, and their duties require them to be in the area where the records are maintained.

Retention and disposal:

Records are not permanent. They are retained for one year after an individual's departure and are then destroyed.

System manager(s) and address:

Chief, Administrative Division, Code 210, Headquarters, DCA. Decentralized Segment - Chief, Management Services Office, Defense Communications Engineering Center, R120.

Notification procedure:

Requests from individuals should be addressed to Chief, Administrative Division, Code 210, Headquarters, DCA. The full name of the requesting individual will be required to determine if the system contains a record about him or her. The requester may visit the Correspondence and Mail Processing Branch, Code 212, Headquarters, DCA, to obtain information on whether the system contains records pertaining to him or her. As proof of identity the requester must present a current DCA identification badge or a driver's license. Decentralized Segment - Chief, Management Services Office, Defense Communications Engineering Center, R120.

Record access procedures:

Contact the Chief, Administrative Division, Code 210, Headquarters, DCA. The official mailing addresses are in the Department of Defense Directory in the appendix to the Defense Communications Agency's systems notice and should be referenced by the requester.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Names and addresses of individuals in the system are furnished by the individuals who have been reassigned who had been receiving their mail through the Correspondence and Mail Processing Branch, Code 212, Headquarters, DCA.

Systems exempted from certain provisions of the act:

NONE

K890.07

System name:

Education, Training, and Career Development Data System

System location:

Primary System - Office of the Assistant to the Director for Personnel, Code 700, Headquarters, Defense Communications Agency (DCA).

Decentralized Segments - DCA Field Activities.

Categories of individuals covered by the system:

All military and civilian personnel currently or formerly assigned to or employed by the DCA.

Categories of records in the system:

System contains individual career development plans (for civilians only); education and training historical data; applications for training funded, sponsored, or arranged by DCA; evaluations (by the trainee) of education or training received; applications for programs for which candidates are competitively selected; for example senior military service schools and other long-term training; agreements to continue government service in return for training received; and supervisor evaluations of the results of training given to their employees.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 410 'Training'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by supervisors and by training specialists for career development planning and for determining appropriate training for individuals. Also used to determine an individual's eligibility for training and to justify education and training courses and their associated expenditures.

Used by managers in the DCA and by training specialists to determine agency training needs and the ability of specific courses to satisfy those needs. Also used to determine results and accomplishments of the DCA training programs (often presented in statistical form for this purpose).

Used by Career Development Specialists to prepare reports of training for the Civil Service Commission and for DoD.

Used by DCA procurement personnel and DCA legal staff as the basis for supporting or enforcing legal obligations, such as payment of tuition and fees, reimbursement of trainee's expenses, contractual obligations, or continued-service agreement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and punched cards.

Retrievability:

Retrieved by name or SSAN

Safeguards:

System is in building which uses security guards to control access to the building. Only authorized personnel are allowed access to the building. Files are kept in standard drawer-type filing cabinets.

Retention and disposal:

Individual records are maintained as long as the individual is employed by or assigned to the DCA. After a person leaves the DCA, his/her individual files are destroyed within one year of the departure.

Consolidated reports may be maintained for as long as five (5) years before they are destroyed.

System manager(s) and address:

Assistant to the Director for Personnel, Code 700, Hq, DCA

Notification procedure:

Personnel currently assigned to or employed by the DCA Headquarters or DCA Field Activities in the Washington Metropolitan Area, and all personnel formerly assigned to or employed by DCA Headquarters or any DCA Field Activity may obtain information from:

Assistant to the Director for Personnel
Defense Communications Agency
8th St. & South Court House Road
Arlington, Virginia 22204

Personnel currently assigned to or employed by DCA Field Activities outside the Washington Metropolitan Area may obtain information from the commander of their activity.

Requests for information must contain name, SSAN, DCA activity to which assigned, and dates employed by or assigned to DCA.

Proof of identity for those appearing in person is an employee's ID card, driver's license, passport, or similar identification which contains both the name and a photograph of the individual. Proof of identity for individuals not appearing in person will be a notorized statement certifying that the person requesting the information has been identified by the notary public by means of an employee ID card, driver's license, passport, or other identification containing both the name and a photograph of the individual.

Record access procedures:

Contact the Assistant to the Director for Personnel for information concerning access to individual records. The official mailing address is in the Department of Defense Directory, in the appendix to the DCA systems notice.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Data in this system is obtained from individual Official Personnel Folders/Files or is supplied by the individual or by his/her supervisor.

Systems exempted from certain provisions of the act:

NONE

DCA STATION LIST DIRECTORY

ALASKA

DCA Alaska Field Office
Code N250
Elmendorf AFB, AK 99506
Defense Commercial Communications Office Alaska
Elmendorf AFB, AK 99506

CALIFORNIA

DCA Guam Field Office
Box 141, NAVCAMS WESTPAC
FPO San Francisco 96630
DCA Northwest Pacific Region
APO San Francisco 96328
DCA Korea Field Office
APO San Francisco 96301
DCA Southwest Pacific Region
APO San Francisco 96274
DCA Los Angeles Field Office
Post Office Box 92960, Worldway Postal Center
Los Angeles, CA 90009

DISTRICT OF COLUMBIA

Command and Control Technical Center
Washington, D.C 20301
Headquarters Defense Communications Agency
Washington D.C. 20305
National Communications System/Defense Communications Agency Operations Center
Washington D.C. 20305
White House Communications Agency
Washington D.C. 20500

HAWAII

DCA Pacific Area
Wheeler AFB, HI 96854
Defense Commercial Communications Office Pacific
Ft Shafter, HI 96858

ILLINOIS

DCAOC Allocation and Engineering Division
Code N230
Stop 850A
Scott AFB, IL 62225
Defense Commercial Communications Office
Scott AFB, IL 62225

NEW YORK

DCA Field Office Athens
APO New York 09223
DCA European Area
APO New York 09131
DCA Field Office Italy
Box 166
AFSOUTH NATO
FPO New York 09524
DCA Field Office United Kingdom
APO New York 09378
DCA Field Office Worms
APO New York 09056
Defense Commercial Communications Office Europe
APO New York 09130

VIRGINIA

Defense Communications Engineering Center
1860 Wiehle Avenue

Reston, VA 22090

WASHINGTON

DCA Okinawa Field Office
Box 959
FPO Seattle 98773

ADDENDUM TO DCA STATION LIST DIRECTORY

The Director, DCA is also the Manager, National Communications System (NCS), the Chairman, U.S. Military Communications Electronics Board (USMCEB), and the Director, Worldwide Military Command and Communications System (WWMCCS) Systems Engineering. To the extent that the Director, DCA performs these other functions, the records systems described herein pertain to and are available to employees of these organizations, and may be corrected by means of the same process described for DCA files systems, unless specified otherwise herein.

With the exception of personnel records for Navy officers assigned to DCA activities in the Washington metropolitan area, the official military personnel records of military personnel assigned to DCA are maintained by the parent department and that department has the only complete official copies of the military members personnel records file. Responsibility for the completeness and accuracy of these files is invested in the military department. While the DCA commander or office chief may assist the military members in obtaining access or making corrections, DCA does not have the authority either to grant access or make corrections. The documents maintained by DCA on military personnel are copies of records provided by the military departments during the nomination process, copies of personnel correspondence generated during the members tenure in DCA, promotion rosters furnished by the military departments, and copies of orders published by the departments. A few documents are maintained as a result of requirements imposed by the departments (leave forms for Army and Air Force personnel and SIDPERS for Army personnel).

In the case of Navy officers in the Washington area, DCA maintains the Navy Officers service records and can grant access and make corrections within the purview of NAVPERS 15791, Bureau of Naval Personnel Manual.

DEFENSE INTELLIGENCE AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

L DIA 0005

System name:

Personnel Management Information System (PMIS).

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former military and civilian employees of DIA.

Categories of records in the system:

This system consists of a variety of personnel, security, education, training and financial employment related records.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used by staff, administrative and operating officials to: prepare individual administrative transactions; make decisions on the rights, benefits, entitlements and the utilization of individuals; provide a data source for the productions of reports, statistical surveys, rosters, documentation and studies required for the orderly personnel administration with DIA. Information will be disclosed to such other federal agencies, state and local governments, as may have a legitimate use for such information and which agrees to apply appropriate safeguards to protect data so provided and which is consistent with the conditions or reasonable expectations of use and disclosure under which the information was provided, collected or obtained.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated, maintained on magnetic tape and manual in paper files and microfilms.

Retrievability:

By name or social security account number.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Paper files are destroyed when employment with the Agency ceases. Microfilm records are destroyed when replaced with an updated film and magnetic tape files are retained indefi- nitely as a permanent record.

System manager(s) and address:

Assistant Deputy Director for Personnel, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Agency officials, employees, educational institutions and other government agencies.

Systems exempted from certain provisions of the act:

None

L DIA 0010

System name:

Requests for Information

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals who make requests to DIA for information.

Categories of records in the system:

Correspondence from requester, and documents related to the receipt, processing and final disposition of the request.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information for compiling reports required by public disclosure statutes and to assist the Department of Justice in preparation of the Agency's defense in any law suit arising under these statutes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Granted access: destroy 2 years after date of agency reply. Denied access, but no appeals by requester: destroy 5 years after date of

agency reply. Contested records: destroy 4 years after final denial by agency, or 3 years after final adjudications by courts, whichever is later.

System manager(s) and address:

Assistant Deputy Director for Support and Services, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense. Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individual requesters and agency officials.

Systems exempted from certain provisions of the act:

None

L DIA 0011

System name:

Student Information Files

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former students of the Defense Intelligence School.

Categories of records in the system:

Student's biographic data and administrative/academic documents related to the student's enrollment.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to document, monitor, manage, and administer the student's performance at the School and to provide verification of training accomplished to federal agencies, military departments and educational institutions when requested.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic disc and tape and manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Registration cards are held 5 years and then retired to the Washington National Record Center.

System manager(s) and address:

Commandant, Defense Intelligence School, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individual, parent service, educational institutions, previous employees and other federal agencies.

Systems exempted from certain provisions of the act:

None

L DIA 0012

System name:

Directory Service

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former military and civilian employees of DIA.

Categories of records in the system:

Files contain information related to the individual's work assignment, home phone and address, emergency notification data and mail forwarding address.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to provide postal and locator service. To prepare recall and special rosters required for day-to-day operations and emergencies. To identify next-of-kin for emergency notification and as a source document for management information. At overseas loca- tions information may be provided to host country, Department of State, Department of Treasury and the Central Intelligence Agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated, maintain on magnetic tape and disc, microfilm and manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Record is destroyed 1 year after the individual departs Agency.

System manager(s) and address:

Assistant Deputy Director for Support and Services, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

By the individual and agency officials.

Systems exempted from certain provisions of the act:

None

L DIA 0015

System name:

Biographic Sketch

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals who interface with the DIA on a fee or non-fee basis.

Categories of records in the system:

Contains biogtaphic data to include name, date and place of birth, educational background, lists of published works or notable achievements in the intelligence scientific or academic community, intelligence experience, etc.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To establish an individual's bona fide as a noted authority in a specialized area for the pur- poses of utilizing that expertise to fill a gap in the Defense Intelligence Agency's resources. Information will be disclosed to such other federal agencies, state and local governments, as may have a legitimate use for such information and which agrees to apply appropriate safeguards to protect data so provided and which is consistent with the conditions or reasonable expectations of use and disclosure under which the information was provided, collected or obtained.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Permanent records are retired to the Washington National Record Center and other material destroyed when no longer required.

System manager(s) and address:

Assistant Deputy Director for Support and Services, Defense Intelligence Agency, Wash- ington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individual, academic institutions or the individual's employer.

Systems exempted from certain provisions of the act:

None

L DIA 0140

System name:

Passports and Visas

System location:

Defense Intelligence Agency, Washington, D C. 20301.

Categories of individuals covered by the system:

All DIA personnel requiring passports.

Categories of records in the system:

Files containing passports and related correspondence.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To obtain and safekeep official passports until needed for travel and to obtain necessary visas from appropriate Embassies. Notify

individuals to reapply when passports expire and to return passports to the Department of State upon departure of the individual from DIA.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Passports are returned to Department of State upon departure of the individual from DIA.

System manager(s) and address:

Assistant Deputy Director for Support and Services, Defense Intelligence Agency, Washing- ton, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individual applicant and Department of State, Passport Office

Systems exempted from certain provisions of the act:

None

L DIA 0209

System name:

Litigation and Disposition Documentation.

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Files involving legal and administrative matters involving individuals.

Categories of records in the system:

Correspondence or legal documentation relating to individuals.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used in connection with litigation by, disciplinary and administrative action against or in the disposition of claims and benefits of individuals both civilian and military. Will be provided to the Department of Justice, the Civil Service Commission and various branches of the military services as may be necessary or required in the disposition of an individual case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records are destroyed when no longer needed.

System manager(s) and address:

Office of the General Counsel, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Other offices within the Defense Intelligence Agency and the Department of Defense, the individual involved and other departments and agencies of the Executive Branch.

Systems exempted from certain provisions of the act:

None

L DIA 0271

System name:

Investigations and Complaints

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former civilian and military personnel who filed a complaint acted upon by the Inspector General, DIA, or who were the subject of an Inspector General, DIA, investigation or inquiry.

Categories of records in the system:

Documents relating to the organization, planning and execution of internal/external investi- gations and records created as a result of investigations conducted by the Office of the Inspector General, including reports of investigations, records of action taken and supporting papers. These files include investigations of both organizational elements and individuals.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records. Executive Order 12036, United States Intelligence Activities, January 24, 1978. Executive Order 11652, Classification and Declassification of National Security Informa- tion and Material, March 8, 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used as a basis for recommending actions to the Command Element and other DIA elements. Depending upon the nature of the information it may be passed to appropriate elements within the Department of Defense, the Department of State, Department of Justice, Central Intelligence Agency and to other appropriate government agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records are held in current files for 5 years after completion and adjudicated of all actions. Retired to the Washington National Record Center and destroyed after 10 years.

System manager(s) and address:

Inspector General's Office, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individuals interviewed in connection with an investigation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5. U.S.C., 552a, subsections k(2), k(5) or k(7). For additional information see agency rules contained in (32 CFR Part 292a).

L DIA 0330

System name:

Civilian Payroll, Leave and Travel Disbursement

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former civilian personnel of the DIA.

Categories of records in the system:

This system consists of records which document and support employee related transactions in the area of pay compensation, claims for reimbursement, leave entitlement, statutory and administrative deductions, settlement of debts and documents designating certifying officials.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used by Agency personnel and the U.S. Army Military District of Washington Finance and Accounting Office to: compute, make and record individual employee's payment transactions; determine leave entitlements; record and remit deductions for the Civil Service Commission Retire- ment System and the Social Security Fund; determine entitlements for reimbursement of travel and other expenses for official business; report tax information to federal, state and local taxing authorities as required by statute and to remit and record such transactions; record and remit deductions for life and health insurance and such other deductions as required or authorized by the individual; be used as a basis for the settlement of pay or debt disputes; provide such verification as required by statute or administrative directive.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Permanent records are cut off each fiscal year and held for 2 years and then retired to the Washington National Record Center. Temporary records are destroyed in 4 years or 2 years after a General Account Office audit.

System manager(s) and address:

Deputy Comptroller, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting

forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Data is supplied from a number of sources including the individual concerned, MDW Army Finance Office and agency officials.

Systems exempted from certain provisions of the act:

None

L DIA 0435

System name:

DIA Awards Files

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Military personnel recommended for an award while assigned to DIA.

Categories of records in the system:

This file contains supporting documents for the awards nomination and the results of actions or recommendations of endorsing and approving officials.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used to obtain the approval for the awarding of the decoration and for the compila- tion of required statistical data and may be provided to the Military Departments when appro- priate

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

They are maintained for approximately 2 years within the Agency and then retired to the Washington National Record Center

System manager(s) and address:

Assistant Deputy Director for Personnel, Defense Intelligence Agency, Washington, D.C. 20301

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Agency officials, parent service and personnel records.

Systems exempted from certain provisions of the act:

None

L DIA 0480

System name:

Reserve Training Records

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Military Reserve personnel who have performed active duty training with the DIA or cor- responded with the DIA regarding reserve matters.

Categories of records in the system:

Files contains correspondence with the reservist and documentation related to the reservist periods of active duty with DIA.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used by agency officials for the administrative, control and utilization of reservists and may be provided to the Military Departments when appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records are destroyed 1 year after reservists becomes inactive.

System manager(s) and address:

Assistant Deputy Director for Personnel, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Individual reservists requesting assignment and or active duty training, agency officials and parent service of reservists.

Systems exempted from certain provisions of the act:

None

L DIA 0590

System name:

Defense Intelligence Special Career Automated System (DISCAS).

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

DoD civilian positions and employee grades GS-05 and above in the GS-0132 intelligence series, scientific and technical series and other related professional series which are assigned to an organizational component performing an intelligence functions. Crypto- logic personnel and those enrolled in the National Security Agency (NSA) career system are excluded.

Categories of records in the system:

Data on employment history, qualification and skills and performance appraisals.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Defense Intelligence Special Career Automated System Activity (DISCASA) forwards inquiries to employees regarding their availability for specific position vacancies when requested by the DoD component. DISCASA furnishes referral listings of DoD eligibles to appropriate offi- cials and managers for particular vacancy selection. DISCASA periodically furnishes copies of individual employee records for review and update by employees or servicing civilian person- nel offices. DISCASA will maintain files and records for historical or user research purposes such as annual reports for DoD components or management information furnished to appropriate DoD users.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated, maintained on magnetic tape and manual in paper files.

Retrievability:

By name or social security account number.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records are temporary. They are retained until the employee concludes his DoD intelligence career at which time they are retired to an inactive file for 1 year and then destroyed.

System manager(s) and address:

Assistant Deputy Director for Personnel, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Source data for DISCASA is provided by the employees, the employee's supervisor and the servicing civilian personnel office.

Systems exempted from certain provisions of the act:

None

L DIA 0660

System name:

Security Files

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Military/civilian applicants and nominees to DIA; current and former DIA and Defense Attache System personnel; and other DoD-affiliated personnel under the security cognizance of DIA.

Categories of records in the system:

Records associated with personnel security functions; nomination notices, statement of per- sonal history, indoctrination/debriefing statements, secrecy agreements, certificates of clearance, adjudication memoranda and supporting documentation and in-house investigations, security violations, identification badge records, retrieval indices, clearance status records, and access control records.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To perform all administrative functions necessary to determine initial and continued eligi- bility for and control of access to classified information in DIA facilities and those elements mandated to the Director, DIA, for Sensitive Compartmented Information access. Information will be disclosed to such other federal agencies, state and local governments, as may have a legitimate use for such information and which agrees to apply appropriate safeguards to pro- tect data so provided and which is consistent with the conditions or reasonable expectations of use and disclosure under which the information was provided, collected or obtained.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic tape and manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible

only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Files on military and civilian applicants who are not assigned or hired by DIA are maintained up to 1 year and then destroyed. Personnel security dossiers are retained until the individual's association with DIA or access to SI/SAO information ceases and are then destroyed.

System manager(s) and address:

Assistant Deputy Director for Security Services, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

By the individual, other federal agencies, firms contracted to the DoD and agency officials.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5, U.S.C., 552a, subsections k(2) and k(5). For additional information see agency rules contained in (32 CFR Part 292a).

L DIA 0800

System name:

Operation Record System

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals involved in foreign intelligence and/or training activities conducted by the Department of Defense; who are of interest either because of their actual, apparent, or potential use.

Categories of records in the system:

Categories of records include operational, biographic, policy, management, training, and administrative matters related to the foreign intelligence activities of the Department of Defense

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records. Executive Order 12036, United States Intelligence Activities, January 24, 1978.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information within the Department of Defense and other federal agencies for the conduct of foreign intelligence operations and to provide staff management over foreign intel- ligence training conducted by the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic tapes and discs, microfilm and operture cards and manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Permanent records are retired to the Washington National Record Center upon completion of the project and temporary records are destroyed.

System manager(s) and address:

Deputy Director for Collection Operations, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Other Department of Defense components, federal agencies, foreign sources, overt publication, and private citizens.

Systems exempted from certain provisions of the act:

None

L DIA 0801

System name:

Defense Attache System Personnel Information File.

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Military and civilian personnel and their dependents, nominated for assignment to the Defense Attache System.

Categories of records in the system:

This system consists of a variety of personnel and directory data, security access, education, training, financial and health information related to the individual's assign- ment with the Defense Attache System.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are used by staff, administrative and operating officials to: prepare individual administrative transactions; make decisions on the rights, benefits entitlements and the utilization of individuals; provide a data source for the production of reports, statistical surveys, rosters, documentation and studies required for the orderly personnel administration within the Defense Attache System. Information may be provided to host country, Department of State, Central Intelligence Agency, Department of Justice and the Department of Treasury.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic tape and manual in paper files and cards.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records are maintained for 1 year beyond the individual's tour completion date and then destroyed.

System manager(s) and address:

Assistant Deputy Director for Personnel, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Parent service of individual, immediate supervisor on station, agency officials and Ambassa- dors.

Systems exempted from certain provisions of the act:

None

L DIA 0813

System name:

Bibliographic Data Index System

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Individuals who have published works of general interest to the Agency, and individuals involved in foreign intelligence activities.

Categories of records in the system:

An index of names of authors, title of published works, subject matter of writing and the location of source documents of open source literature and intelligence reports.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a traditional library reference service for open source literature and intelligence reports. Information is used by agency officials, other federal agencies and contract person- nel to do research on intelligence subjects related to foreign intelligence activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic tape and disc.

Retrievability:

By name

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Open source literature is destroyed once material is out dated. Intelligence reports are retained for 2 years and retired to the Washington National Record Center for permanent retention

System manager(s) and address:

Assistant Deputy Director for Support and Services, Defense Intelligence Agency, Washing- ton, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

DoD, other intelligence agencies, educational institutions, federal agencies, research institutions, foreign governments and open source literature.

Systems exempted from certain provisions of the act:

None

L DIA 0819

System name:

DIA Financial Management

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

Current and former civilian and military employees of DIA.

Categories of records in the system:

Claims for reimbursement for expenses on official business. Documents supporting claims of indebtedness to the United States Government. Applications for the waiver of erroneous payment or for remission of indebtedness. Correspondence from civilian employees related to financial transactions.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to determine eligibility for waiver of erroneous payment and remission of indebtedness. To support claims of the United States Government for the collection of erro- neous payments made. Use to determine entitlements for reimbursements of expenditures on official business and to support payment. To process employee's claims of payroll problems and to forward checks and bonds to former employees. Information will be disclosed to the Department of Justice, General Accounting Office, and the Department of Treasury.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual in paper files and cards.

Retrievability:

By name

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Permanent records are cut off each fiscal year and held for 2 years and then retired to the Washington National Record Center. Temporary records are destroyed in 4 years or 2 years after a General Accountant Office audit.

System manager(s) and address:

Deputy Comptroller, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Data is supplied from a number of sources including the individual concerned, the U.S. Army Finance Office and agency officials.

Systems exempted from certain provisions of the act:

None

L DIA 1728

System name:

DIA Prisoner of War Intelligence Analysis and Debriefing Files

System location:

Defense Intelligence Agency, Washington, D.C. 20301.

Categories of individuals covered by the system:

All U.S. personnel previously held prisoner of war (PW) or detained in Southeast Asia from 1961 to date and returned to U.S. control; and U.S. personnel released from detention in the People's Republic of China since 170. All U.S. personnel considered missing in action (MIA) or killed in action (KIA) and bodies not recovered.

Categories of records in the system:

Narrative of loss incident, identification data, casualty report; intelligence reports pos- sibly identifying subjects; portions of official debriefing; and/or debriefing summaries.

Authority for maintenance of the system:

Pursuant to the authority contained in the National Security Act of 1947, 10 U.S.C. 133 d, the Secretary of Defense issued Department of Defense Directive 5105.21 of August 1, 1961, super- seded by Department of Defense Directive 5105.21 of May 19, 1977, creating the Defense Intel- ligence Agency as a separate Agency of the Department of Defense under his direction and herein charged the Agency's Director with the responsibility for the maintenance of necessary and appropriate records.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

As background for analytical purposes, the evaluation of intelligence reports pertaining to U.S. personnel PW/MIA; in preparation of special studies and appraisals; to provide responses to queries for PW intelligence from the JCS, OASD (ISA), the Department of State, Central Intelligence Agency, the Military Service, and other federal agencies with a need-to-know; to assist the military service intelligence and casualty offices in the determination of status of their personnel; to provide guidance to the Joint Casualty Resolution Center to assist in planning for the recovery of remains of U.S. personnel not accounted for.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated on magnetic tapes and manual in paper files.

Retrievability:

By name.

Safeguards:

Records are maintained in a building protected by security guards and are stored in vaults, safes or locked cabinets and are accessible only to authorized personnel who are properly screened, cleared and trained in the protection of privacy information.

Retention and disposal:

Records will be retired to the Washington National Record Center upon disposition of all cases and will be destroyed 15 years subsequent.

System manager(s) and address:

Deputy Director for Intelligence Research, Defense Intelligence Agency, Washington, D.C. 20301.

Notification procedure:

To obtain information as to whether this system of records contains information pertaining to yourself, you must submit a written request to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301. You must include in your request: your full name, current address, telephone number and social security account number or date of birth. Requests can be mailed to address indicated above or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record access procedures:

All requests for copies of records pertaining to yourself must be in writing. You must include in your requests: your full name, current address, telephone number and social security account number or date of birth. Also, you should state that whatever cost is involved is acceptable or acceptable up to a specified limit. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washington, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Contesting record procedures:

An individual who disagrees with the Agency's initial determination, with respect to his or her request, may file a request for administrative review of that determination. Requests are to be in writing and made within 30 days of the date of notification of the initial determina- tion. The requester shall provide a statement setting forth the reasons for his or her dis- agreement with the initial determination and provide such additional material to support his or her appeal. Requests can be mailed to: Secretariat, Defense Intelligence Agency, Washing- ton, D.C. 20301, or personally delivered to room 3E215, Pentagon, Washington, D.C.

Record source categories:

Parent military services; intelligence reports prepared by elements of the Defense Intelli- gence Agency, the military services and the Central Intelligence Agency; the Department of State; Foreign Broadcoast Information Service reports; newspapers; magazines; television and radio.

Systems exempted from certain provisions of the act:

None

Billing Code 3810-70F

UNITED STATES MARINE CORPS

HOW SYSTEMS OF RECORDS ARE ARRANGED. In the Marine Corps, records are categorized by subject series. Each series has assigned a subject title, a three-letter prefix and followed by a five-digit number. For Example, the systems of records containing pay data may be found in the Fiscal/Disbursing series (MFDOOOOX). The letter M stands for Marine Corps; the next two letters indicate that the records are pay related; and the following five digit number is a further breakdown of the series for identification purposes.

HOW TO USE THE INDEX GUIDE. The system of records maintained by the Marine Corps are contained within the subject series that are listed below. This list identified each series in the order they appear in this compilation. Use the list to identify subject areas of interest. Having done so, use the appropriate system identification series to locate the systems of records grouping in which you are interested.

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Aviation	MAAOOOOX
Fiscal/Disbursing (Matters relating to pay)	MFDOOOOX
Historical	MHDOOOOX
Installations and Logistics	MILOOOOX
Intelligence (Includes POW/MIS Files)	MINOOOOX
Judge Advocate/Legal Matters	MJAOOOOX
Miscellaneous (Admin Matters)	MMCOOOOX
Manpower/Personnel	MMNOOOOX
Training	MMTOOOOX
Reserve	MRSOOOOX
Telecommunications/Telephone Billing	MTEOOOOX

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB

Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

MAA00001

System name:

Flight Readiness Evaluation Data System (FREDS)

System location:

Primary System - The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Decentralized Segments - Marine Corps organizations having FREDS capability (or requirement or related information). Addresses are as shown in the Navy Standard Distribution List (OPNAV 09B3-107).

Categories of individuals covered by the system:

All active Marine Corps Air Crewmembers (Naval Aviators/Naval Flight Officers and Enlisted Crewmembers)

Categories of records in the system:

File contains personal identifying information such as name, rank, social security number, organization etc., and specific information with regard to aviation qualifications.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps command, activities and organizations - By officials and employees of the Marine Corps in the administration and management of Marine Corps Air Crewmember assets as required in the performance of official duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representative of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

On magnetic tape

Retrievability:

By social security number of the individual addressed

Safeguards:

Tapes are stored in limited access areas and handled by personnel that are properly trained in working with personal information.

Retention and disposal:

File is maintained on individual as long as he is in an active flight status, information pertaining to individual so removed is erased from tape.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures:

Written requests from individuals should be addressed to the Commanding Officer of the aviation unit to which they are assigned for duty. Addresses are shown in the Navy Standard Distribution List.

Personnel not permanently assigned to an aviation command may request information from the Commandant of the Marine Corps (Code AA), Headquarters, U S Marine Corps Washington, D C 20380.

Written requests should include name, and social security number.

For personal visits the individual should be able to provide personal identification, such as valid military identification card, drivers license, etc.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

The primary source is the individual, However the individual's commanding officer or the commanding officer's designated individual fulfills certain criteria.

Systems exempted from certain provisions of the act:

None

MAA00002

System name:

Marine Corps Aircrew Performance/Qualification Information

System location:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Marine Corps aeronautically designated personnel (Naval Aviators, Naval Flight Officers, and aircrew members) who have been the subject of medical qualification, flight pay entitlement, and/or Flight Status Selection Board (FSSB) correspondence.

Categories of records in the system:

The file contains information on medical qualification, flight pay entitlements, and/or FSSB correspondence and the background data addressing such correspondence.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in the execution of their assigned duties with respect to the administration and management of Marine Corps aeronautically designated personnel.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is contained on paper records in file folders.

Retrievability:

Information is retrieved alphabetically by the last name of the individual concerned.

Safeguards:

Building containing files employs 24 hour security guards. Offices containing files are locked after working hours and personnel handling records do so only on a 'need-to-know' basis. Such personnel are trained and screened for dependability. Material that could be considered 'career-sensitive' is retained in a safe.

Retention and disposal:

Files are permanent. They are retained in active file until it is determined they are no longer required, then transferred to Marine Corps Central Files for historical deposit.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code AA)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-1391

Record access procedures:

Written requests from the individual should be addressed to the Commandant of the Marine Corps (Code AAZ), Headquarters, U S Marine Corps, Washington, D C 20380 and should contain the full name, social security number and signature.

For personal visits the individual should provide valid identification such as military identification card, Department of Defense building pass, drivers license, or other type identification that includes picture and signature. In the absence of such identification, the individual must provide sufficient data to insure that the individual is the subject of the inquiry.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

Information is obtained from official reports, boards, inquiries and requests. Information is also obtained from the review of Naval Aviator/Naval Flight Officer Reporting Management System (NANFORMS) data.

Systems exempted from certain provisions of the act:

None

MAA00003

System name:

Naval Aviator/Naval Flight Officer Reporting Management System (NANFORMS)

System location:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps Washington, D. C. 20380.

Categories of individuals covered by the system:

All Marine Corps aeronautically designated officer personnel (Naval Aviators, Naval Flight Officers and Officer Navigators)

Categories of records in the system:

File contains a summary of individual flight experience by fiscal year and type of aircraft in addition to rank, military occupation specialty and current duty assignment.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organization - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U. S. - By officials and employees of the Office of the attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U. S. - By the Senate or the House of Representatives of the U. S. or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U. S. - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is stored on magnetic tape

Retrievability:

Information is retrieved by social security number.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to authorized personnel that are properly trained and screened.

Retention and disposal:

Records are permanent. Older files are stored in Marine Corps Central Files System.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D. C. 20380.

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code AAZ)
Headquarters, U S Marine Corps
Washington, D. C. 20380
Telephone: Area Code 202/694-1391

Record access procedures:

Requests from individuals should contain the full name, social security number and signature of the individual.

For personal visits, the individual should be able to provide some valid personal identification such as military identification card, Department of Defense Building Pass, drivers license, etc. In the ab-

sence of the above identification, the individual will be asked to provide sufficient data to insure that he is the subject of the inquiry.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

Information contained in the records is obtained from the Department of the Navy-wide Individual Flight Activity Reporting System (IFARS) AND FROM THE Manpower Management System (MMS).

Systems exempted from certain provisions of the act:

None

MFD00001

System name:

Automated Leave and Pay System (ALPS)

System location:

Primary System - The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Decentralized System - Major Marine Corps Commands

Categories of individuals covered by the system:

all Marine Corps Civilian Employees at Major Marine Corps Commands

Categories of records in the system:

Pay and Leave Records of Marine Corps Civilian Employees

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps; and Marine Corps commands, activities, and organizations - To administer and manage all pay and leave matters for individual civilian employees.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

The Internal Revenue Service - By officials and employees of the Internal Revenue Service in connection with such matters relating to their official duties.

State and local governmental agencies - By officials and employees of State and local governmental agencies in connection with such matters relating to their official duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape or Disk

Retrievability:

Employee Badge Number or SSN

Safeguards:

Restricted Access to Areas where Maintained

Retention and disposal:

Permanent Files

System manager(s) and address:

The Commandant of the Marine Corps (Code FD), Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from the Marine Corps installation or activity at which the individual is employed.

Record access procedures:

Requests from individuals should be addressed to the commanding officer at which the individual is employed. Addresses of Marine Corps installations, activities, and organizations are listed in the Navy Standard Distribution List (OPNAV P09B3-107). Written requests should contain full name, social security number or employee badge number, and signature of the individual concerned.

Personal visits may be made to the appropriate installation, activity or organization during the normal work week between the hours of 8:00AM-4:30PM. For personal visit the individual should be able to provide valid personal identification such as employee badge, drivers license, medicare card, etc.

Contesting record procedures:

The Agency's Rules for Access to Records and for Contesting Contents and Appealing initial Determinations by the individual concerned may be obtained from the Sysmanager

Record source categories:

Application and related forms provided by the employee in matters relating to his/her employment. Employment data to include time cards, standard pay increases, leave, etc. provided by the employer or its official representative. Data such as tax rates, employee benefit information etc. provided by appropriate federal, state or local governmental agencies or their designated representatives. Information from courts, and attorney having to do with employee wages entitlements and benefits.

Systems exempted from certain provisions of the act:

None

MFD00002

System name:

PRIMARY MANAGEMENT EFFORTS (PRIME)/OPERATIONS SUBSYSTEM

System location:

Primary System - The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Decentralized System - Major Marine Corps Commands

Categories of individuals covered by the system:

All Marine Corps Civilian Employees and Selected Military Personnel at Major Marine Corps Commands

Categories of records in the system:

Labor Distribution Records

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in matters regarding their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape or Disk

Retrievability:

Employee Badge Number or social security number

Safeguards:

Restricted Access to Areas where Maintained

Retention and disposal:

Permanent Record. Completely Deleted upon Termination of Employee

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code FD)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-1080

Record access procedures:

Request from individuals should be addressed to the individual's employing activity. Activity addresses are as shown in the Navy Standard Distribution List (OPNAV.09B3-107).

Written requests should contain the individual's full name, social security number, employee number (if applicable) and signature.

For personal visits, the individual should provide sufficient identification to insure the individual is the subject of the inquiry.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Employing activity of the individual

Systems exempted from certain provisions of the act:

None

MFD00003

System name:

Joint Uniform Military Pay System/Manpower Management System (JUMPS/MMS)

System location:

Primary System - Marine Corps Automated Services Center, 1500 East Bannister Road, Kansas City, Missouri 64131; Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197.

Decentralized Segments - There are eight Satellite/Command Data Processing Installations (SDPI/CDPI) which maintain files with similar records at the following locations: SDPI 02, Marine Corps Base, Camp Lejeune, NC 28542; SDPI 03, Marine Corps Base, Camp Pendleton, CA 92055; SDPI 06, FMF Pacific, FPO San Francisco, CA 96610; SDPI 09, Headquarters U S Marine Corps, Washington, D C 20380; SDPI 11, Marine Corps Recruit Depot, Parris Island, SC 29905; SDPI 15, Marine Corps Recruit Depot, San Diego, CA 92140; CDPI 17, Marine Corps Base, Quantico, VA 22134; SDPI 27, Marine Corps Base, Camp S D Butler, FPO Seattle, WA 98773; First Marine Brigade, FPO San Francisco, CA 96615.

Categories of individuals covered by the system:

All Marine Corps personnel.

Categories of records in the system:

The JUMPS/MMS automated system of records contains the following fields (data elements and data sets) and sub-fields; Social Security Number and the last, first, and middle initial (key); Name, Member Service Number, Contract Legal Agreement, Duty Limitation, Race/Sex/Ethnic Group, Present Unit Identification, Temporary Reporting Unit Code, Former Unit Identification, Intermediate Unit Identification, Future Unit Identification, Command Data Processing Installation Code, Individual Location, Message Routing Indicator, Pay Entry Base Data, Armed Forces Active Duty Base Date, Active Naval Service Base Date, Current Active Duty Began Date, Date of Enlistment/Acceptance, Date of Original Entry Armed Forces, Date of Birth, Estimated Date of Departure, Estimated Date of Arrival, Date Current Tour Began, Date Detached Last Command, Rotation Tour Date, Date Arrived U S Dependents Not Restricted, Date Arrived U S Enlistment, Careerist Flag, Contract Extension Data, Expiration of Obligated Service, Security Investigation, Permanent Grade , Incentive Pay, Proficiency Pay, Special Pay, Hostile Fire Pay, Basic Allowance for Subsistence, Basic Allowance for Quarters, Duty Status, Last Processing Cycle Information, Project Duty Status, Preference for Duty, Grade for Which Selected, Citizenship, Combat Service, Former Prisoner of War, Civilian Education, Accession Code (Program Enlisted Under), Military Occupational Specialties, Reserved for Future Use, Religion, Tour Control Factor, Sea or Foreign Duty, Program Element Number, Responsibility Center Number, Marital Status, Ethnic Group, Intermediate Monitored Command Code - Estimated Date of Arrival, Current Active Duty Begin Date, Estimated Date of Departure, Special Grade and Date of Rank, Old Reason for Transfer Code, New Reason for Transfer Code, Present Tour Control Factor, Prospective Officers Source Code, Reenlistment Bonus Type, Selective Reenlistment Bonus Zone, Separation Document Type, Composite Score, Armed Services Vocational Aptitude Battery, Deployment Monitored Command Code, Date Dependents Location Begin, Visual Audit Field, Date Joined Present Unit, TAD Excess Flag, TAD DPI, Officers School Graduation, Active Duty Officer Base Date, Active Duty Aviation Service Base Date, Accession Code, Future Tour Control Factor, Intended Transfer Date, Permanent Change of Station Code, Reason for Transfer Flag, Advanced Monitored Command Code, Advanced Monitored Command Code - Estimated Date of Arrival, Intermediate Monitored Command Code - Estimated Date of Arrival, Prospective Officers Source Code, Current Source of Entry Code, Home of Record, Prior Key, Days Lost Current Contract, Separation Document Type, Language Proficiency, Language Aptitude Test, Electronic Technician Selection Test (Enlisted Only), Reserved for Expansion, General Military Subjects Test Results, Classification Test, Computed General Technical or General Classification Test, Armed Forces Qualification Test/Army Qualification Test Score (Enlisted Only), Army Qualification Battery Scores, Service Schools, Dependents Information, Aeronautically Designated Officers & Noncommissioned Officers Information, Date Last Tour Combat/Combat Support Area, Optional Narrative Form, Aeronautically Designated, Officers & Noncommissioned Officers Information, Date Designated Military Pilot, Separation Data, Service Date (Officer), Lineal Control Number/Precedence Number Present Rank, Separation Data Addendum, Lineal Control Number/Precedence Number Permanent Rank, Month Attended Service Academy, Lineal Footnotes, Running Mate, Limited Duty Officer/Warrant Officer Footnotes, Date of Acceptance 1st Commission in the Marine Corps, Date of Rank 1st Commission in the Marine Corps, Date of Rank 1st Commission Limited Duty Officer, Visual Audit, Electronic Data Processing Test Score, Language Aptitude Test Date, Social Security Number Validation Monitor, Last Transfer Processing, Information, Temporary Additional Duty Excess Flag, Temporary Additional Duty Data Processing Installation, Graduates Obligation Code, Active Duty Spouse Identification, Fleet Assistance Program Unit Identification, Active Duty Off Service Base Date, Active Duty Officer Aviation Service Base Date, Program Enlisted For, Operational Flying Time, Operational Flying Computation Date, Operational Flying Start Date, Operational Flying Stop Date, Operational Flying Time Base Date, Operational Flying Gate One, Operational Flying Gate Two, Reserved, Platoon Number, Cycle Number, Last Type Transaction Code Touched, Not used at this time, Today's Date, Disbursing Officers Symbol, Command DPI of Parent Reporting Unit Code, Pay Group, Pay Status, Local Disbursing Office Cognizance, Payment Option/Leave and Earnings Statement Distribution/Pay Distribution Code, Federal Withholding Tax Data, Leave Account, Wage and Tax Summaries, Dependency Status, Dependency Determination, Basic Pay, Pay Grade, Years in Service, Serviceman's Group Life Insurance Deduction, Federal Income Tax Withholding, Federal Indemnity Compensation Act Tax Withholding, Payments, JUMPS Account Standing, Total Allotment Deductions, Last Update and Extract Date, Savings Deposits, Pay Extraction Flag, Regular Reenlistment Bonus, Variable Reenlistment Bonus, Time Lost, Detention of Pay, Repayment Date, Dislocation Allowance, Inadequate Quarters, Interim Housing Allowance, Indebtedness for Final Settlement, Incentive Pay 1, Proficiency Pay, Sea and Foreign Duty Pay, Diving Pay, Hostile Fire Pay, Subsistence Credit, Basic Allowance For Quarters, Personal Money Allowance, Family Separation Allowance, Incentive Pay 2, Cost of Living Allowance, Housing Allowance, Additional Federal Tax Withholding, Subsistence Debits, Court Martial/Nonjudicial Punishment Deductions, Miscellaneous Credits, Miscellaneous Debits, Other Continuing Monthly Deductions, Miscellaneous Leave Data, Retired Serviceman's Family Protection Plan Data, Temporary Lodging Allowance, Clothing Maintenance Data, Basic Allowance for Quarters Debits, Pay Change Flag, Pay Day Data, Miscellaneous Data, Check Mailing Address, Other Services Disbursing Officer Indicator, Reduced Tax, Unassigned, Saved Pay Original Entitlement, Saved Pay Current Entitlement, Tax Exclusion/Nonresident Alien Exempt Taxable Pay, Selective Reenlistment Bonus, Officer Status Change Flag, Aviation Career Incentive Pay, Advance Pay and Allowances, Power of Attorney.

The MMS master files consist of a complete magnetic record for each Marine serving on active duty for a period in excess of 30 days. The Remote Entry Data Display Terminal (REDDT) is a subsystem of MMS. It has the capability to directly access an extract of the master file. The procedure used to establish the initial computer record and add the individual to the Marine Corps strength is the accession process. The accession of recruits is accomplished through the Recruit Accession Management Subsystem (RAMS). The Commissioning Accession Management Subsystem (CAMS) is designed to access all officer records into JUMPS/MMS. Accession/ reaccession

of all nonrecruit enlisted records is accomplished through the Headquarters Accession Management Subsystem (HAMS) at Headquarters, U S Marine Corps. The Accession Transcription Form (ATF) is an OCR form which contains information extracted from the enlistment contract and transfer/assignment to active duty orders. The ATF is completed and processed to establish the computer record. The Manpower Management Information System (MMIS) consists of models and processes within MMS These models and processes support manpower planners and programmers to optimize assignments to unaccompanied overseas tours, predict enlisted population by grade and military occupational specialty (MOS) and to test various policies related to unrestricted officer promotion planning.

Some manual files containing substantiating documents and other data relative to each member's JUMPS/MMS record are maintained. These file folders may contain any part of the JUMPS/MMS record and any one or more of the following documents: Military Pay Record, Military Payroll Money List, Military Pay Voucher, Certificate for Performance of Hazardous Duty, Application for Arrears in Pay, Cash Collection Voucher, Authorization/Designation for Emergency Pay and Allowances, Wage and Tax Statement, Employees Withholding Exemption Certificate (IRS W-4), Employees Withholding Exemption Certificate (IRS W-4E), Notice of Levy, General Accounting Office Notice of Exemption, Dependency Certificate (Wife or Child Under 21 Years), Dependency Certificate (Mother or Father), Dependency Certificate (Unmarried Child Over 21 Years), Dependency Application, Clothing Checkage, Statement to Substantiate Payment of Family Separation Allowance, Government Property Checkage, Personal Financial Records, Unit Diary, Dependent Travel Record, Allotment/Bond Authorization, Certificate for Cost of Living and/or Housing Allowance, Certificate for Temporary Lodging Allowance, Removal of Mark of Desertion, Field Rations Certificate, Liquidation of Indebtedness, Initial Uniform Allowance for Officers, Additional Uniform Allowance for Officers, Excess Weight-Household Goods Shipment, Hospital Rations Checkage, Excess Expense Involving Movement of House Trailer, Transportation Checkage, Meal Ticket Checkage, Advance Pay, Advance Pay and Allowances, Discharge Gratuity, Combat Arms Bonus, Health Care Coverage, Government Quarters Termination and Assignment. Inadequate Quarters Termination and Assignment, Lump-Sum Leave, Rations Commuted to Private Mess, Reenlistment Bonus, Variable Reenlistment Bonus, Selective Reenlistment Bonus, Sick Misconduct, Prorated Rations, Supplemental Rations, Basic Allowance for Quarters (Own Right).

Authority for maintenance of the system:

Title 10 and 37, U S Code Section 5031 and 5201

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U. S. Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in the performance of their assigned duties in matters relating to a Marine's automated personnel and/or pay record.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

By officials and employees of the American Red Cross and the Navy Relief Society in the performance of their duties. Access will be limited to those portions of the member's record required to effectively assist the member.

Federal, state and local government agencies - By officials and employees of federal, state and local government through official request for information with respect to law enforcement, investigatory procedures, criminal prosecution, civil court action and regulatory order.

To provide information to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States which has been authorized by law to conduct law enforcement activities pursuant to a request that the agency inititate criminal or civil action against an individual on behalf of the U. S. Marine Corps, the Department of the Navy, or the Department of Defense.

To provide information to individuals pursuant to a request for assistance in a criminal or civil action against a member of the U. S. Marine Corps, by the U. S. Marine Corps, the Department of the Navy, or the Department of Defense.

Department of Health, Education and Welfare (DHEW) - Disclosure of the name, rank or grade, and social security account number of each Marine Corps active duty military member to the Inspector General of DHEW for the specific purpose of comparison with appropriate rolls reflecting recipients of Aid to Families with Dependent Children (AFDC).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is recorded on magnetic records and discs, punch cards, computer printouts, microform, file folders, and other documents.

Retrievability:

The data contained in magnetic records can be displayed on cathode-ray tubes, it can be computer printed on paper, and it can be converted to microform for information retrieval; the data in the supporting file folders and other manual records is retrieved manually. Computerized and conventional indices are required to retrieve individual records from the system. Normally, all types of records are retrieved by Social Security Number and name.

Safeguards:

Building management employs security guards; building is locked nights and holidays. Authorized personnel may enter and leave the building during nonworking hours but must sign in and out. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Access to personal information is limited to authorized personnel with a need-to-know. Access is restricted to specific applications programs, records, and files to which personnel have a specific and recorded need-to-know. Online data sets (both tape and disc) pertaining to personal information are password protected, areas are controlled and access lists are used. The files are also protected at a level appropriate to the type of information being processed.

Retention and disposal:

Magnetic records are maintained on all Marine Corps personnel while they are in service, and for a period of 4 months after they are separated from the service. Paper and film records are maintained for a period of 10 years after the final transaction. End calendar and fiscal year 'snapshots' of the MMS data base are maintained indefinitely in magnetic form at Headquarters, U. S. Marine Corps.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters U S Marine Corps, Washington, D C 20380.

Notification procedure:

Requests from individuals for information concerning pay related matters should be addressed to the Commandant of the Marine Corps (Code FD). Requests from individuals for information concerning personnel matters should be addressed to the Commandant of the Marine Corps (Code MP).

Requesting individual must supply full name and Social Security Number.

The requester may visit the Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197 to obtain information on whether the system contains records pertaining to him or her.

In order to personally visit the above address and obtain information, individuals must present a military identification card, a driver's license, or other suitable proof of identity

Record access procedures:

Information on JUMPS may be obtained from the member's local disbursing officer. Information on MMS may be obtained from the member's immediate commanding officer. Requests for information from persons no longer in service should be signed by the person requesting the information. Dates of service, Social Security Number, and full name of requester should be printed or typed on the request. It should be sent to the Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Recruiting offices, disbursing offices, administrative offices, and the individual Marine are the principle sources of the information contained in the JUMPS/MMS record for that person.

Systems exempted from certain provisions of the act:

None

MFD00004

System name:

Bond and Allotment (B&A) System

System location:

Marine Corps Automated Services Center (MCASC), 1500 East Bannister Road, Kansas City, Missouri 64131; Marine Corps Finance Center (MCFC), 1500 East Bannister Road, Kansas City, Missouri 64197

Categories of individuals covered by the system:

The allotment system contains all active allotments and limited (12 months) stop history for each active duty, retired, and Fleet Marine Corps Reserve (FMCR) member who authorized an allotment from his pay and allowances.

Categories of records in the system:

The allotment file contains allotments authorized by the Marines concerned, as provided under instructions issued by the Secretary of Defense.

The B&A automated system is made up of records which contain the following fields (data elements and data sets): Identification Number (Social Security Number (SSN)); Initials of Name (Last, First, Middle); Rank/Category; Last Name and Suffix; Last Pay Date; First Pay Date; Work Date; Amount; Term (in months); Account/Policy Number; Authority/Date/Remark; Bond Owner Name; Bond Owner SSN: Co-owner Beneficiary Flag; Co-owner or Beneficiary Name; Co-owner or Beneficiary SSN; Authority/Date/Remark; Name of Recipient; Street Address/Post Office Box; City and State/Country; Geographic Code (City, State/Country); Zip Code; Authority/Date/Remark.

Authority for maintenance of the system:

Title 37, U $ Code. The authority for continuing deduction for garnishment of pay is outlined in section 459 of Public Law 93-647.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system is to provide for the payment of allotments and for the issuance, cancellation, of U S Treasury checks and savings bonds as authorized by appropriate directives. The data obtained from the system provides for the control and ultimate disposition of all treasury checks and savings bonds prepared. Allows for the collection of appropriate data, to render an accurate accounting of public funds expended or collected as required by the Navy Comptroller Manual. The allotment file is utilized by the Joint Uniform Military Pay System/ Manpower Management System (JUMPS/MMS) and Retired Pay systems to calculate the monies due active duty, retired, and FMCR members of the U S Marine Corps.

The allotment class and dollar value are displayed on the JUMPS Leave and Earnings Statement (LES) as issued. Copies of the LES are distributed as follows:

Original (white) - Disbursing Officer (DO) having custody of the Personal Financial Record.
Duplicate (yellow) - furnished the Marine concerned.
Triplicate (pink) - furnished the Commanding Officer (CO) for retention on the Marine's service record.
For permanent record retention purposes, one copy will be filed at the MCFC in microform.
The allotment information concerning first, last payment dates, term (if applicable), amount, purpose, and allottee is furnished the CO and DO on an annual basis for audit purposes. This information is prepared as outlined in paragraph 70304, JUMPS Field Procedures Manual.
The total dollar value of active allotments is furnished each retired and FMCR Marine each time a new statement of his account card is prepared.

Verification and/or information concerning a specific allotment may be released (as requested) to the following:

Marine concerned.
Marine's CO
Marine's DO
Recipient of the allotment.
Treasury Department.
Federal Reserve Bank.
Federal Bureau of Investigation.
Naval Audit Service.
General Accounting Office.
Postal Inspectors.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is recorded on magnetic records, punch cards, computer printouts, microform, file folders, and other documents.

Retrievability:

The data contained in magnetic records can be displayed on cathode-ray tubes, it can be computer printed on paper, and it can be converted to microform for information retrieval; the data in the supporting file folders and other manual records is retrieved manually. Normally all types of records are retrieved by SSN and name.

Safeguards:

The Allotment Division is locked during nonduty hours, as well as the building being under security guard protection. Files within the division are accessible only to authorized personnel.

Retention and disposal:

Magnetic records are maintained by MCASC on all active allotments during the life of the allotment and for a period of 12 months after the allotment has been stopped. Paper and microform files relating to the Allotment Division files are disposed of as directed by SECNAVINST P5212.53.

System manager(s) and address:

Commandant of the Marine Corps (Code FD), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Individual requests for information should be addressed to the Marine Corps Finance Center, Allotment Division, Kansas City, Missouri 64197.

Requests for information must contain member's SSN, name, military service number (if applicable), and any other pertinent data concerning the information desired.

A person may visit any Marine Corps disbursing office to find out if the system contains records pertaining to him or her.

For personal visits the requester must present a military identification card or copy of an Armed Forces of United States Report of Separation from Active Duty (DD Form 214 (MC)) for separated personnel.

Record access procedures:

Mailing address for the Allotment Division is available in DODPM, Marine Corps Order (MCO) P7220.31, and the NAVTELCOMINST 2300.14 (Plain Language Address Directory).

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individual concerned may be obtained from the SYSMANAGER

Information pertaining to an individual who has active allotments is affected by unit diary input concerning name, or SSN changes, and to ensure allotments are stopped when a Marine is reported to be discharged or in a desertion status. Also, member's status codes are changed by unit diary or Retired Pay input when the Marine is transferred to the FMCR or Retired List.

Record source categories:

The input of data from allotment/bond authorizations, other scannable documents, magnetic tapes received from the Satellite Data Processing Installations, and computer interfaces with the JUMPS/MMS and the Retired Pay systems are the principle sources of the information contained in the B&A automated system.

Systems exempted from certain provisions of the act:

None

MFD00005

System name:

Retired Pay/Personnel System (RPPS)

System location:

Marine Corps Automated Services Center, 1500 East Bannister Road, Kansas City, Missouri 64131; and Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197.

Categories of individuals covered by the system:

Pay account folders for retired Marine Corps members, Fleet Marine Corps Reservists (FMCR), and survivors of deceased retired and FMCR members, who are entitled to retired pay, retainer pay, and survivor annuities.

Categories of records in the system:

The RPPS automated system of records contains the following fields (data elements and data sets): Retired/Retainer Date; Retainer Date; Pay Change; Information Status; Social Security Number

(SSN) and Last, First, and Middle Initial (Key); Deletion Date; SSN; Retired Category Code; Member's Name; Pay Entry Base Date; Service for Pay; Active Service; Other Military Service Number (MSN); Prior MSN/SSN/Key; Rank Code; Recomputation Code; Disability Percent; Heroism Pay; Pay Table Code; Recomputation Age; Retirement Laws; Functional Account Number; Ranks; Birthdates; Pay Delete/ Suspense Code; Retired Serviceman's Family Protection Pay; Reserve Retirement Credit Points; Allotment Data; Withholding Tax Data; Wage and Tax Summaries; Gross Pay; Taxable Pay; Withholding Tax; Dependency Indemnity Compensation; Pension Act of 1944 (Veterans Administration (VA) Waiver); Pension Act of 1964 (Dual Compensation G1); Retired Serviceman's Family Protection Plan; Survivor Benefit Plan; Social Security; Scheduled Collections; Net Pay; Special Handling Code (Check Delivery); Accumulated Summaries; Home Mailing Address; Check Mailing Address; Pay Distribution; Last Change Posted; Date Member Eligible to Retire; Date Arrived Continental United States Without Dependents; Primary Military Occupational Specialty; Districts; Highest Rank Held Satisfactorily; Service Prior to 1 July 1949; Service After 1 July 1949; Active Duty After Transfer to Fleet/ Retired Rolls; Date Next Physical Year and Month; VA Disease Codes; Department of Defense Disease Codes; Nearest Hospital (See Table 9); Personnel Accounting Separation - Designator; Earnings Statement Flag; Disability Pay; Change of Address Flag; Last Time Processed by Update-Extractor; SSN Validation; Remarks Area; One-Time Credit/Checkage; Scheduled Collection.

Used for extraction or compilation of statistical data and reports for management studies and statistical analyses for use internally or externally as required by Department of Defense or by government agencies.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Computation of retired pay, retainer pay, and survivor annuity accounts, perform audit of accounts, reply to correspondence, etc.

Creation of printed reports, records, checks, microforms, magnetic files, etc., based on information available in the system. This output is used by various departments of the Marine Corps for pay, personnel, audit, and other purposes. Some of this information is made available to authorized local, state, and Federal agencies.

Displaying all or part of any selected record on a cathode-ray tube for research, audit, update, and similar purposes.

Used for extraction or compilation of statistical data and reports for management studies and statistical analyses for use internally or externally as required by Department of Defense or by government agencies.

By officials and employees of the American Red Cross and the Navy Relief Society in the performance of their duties. Access will be limited to those portions of the member's record required to effectively assist the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is recorded on magnetic records, punch cards, computer printouts, microform, file folders, and other documents.

Retrievability:

The data contained in magnetic records can be displayed on cathode-ray tubes, it can be computer printed on paper, and it can be converted to microform for information retrieval; the data in the supporting file folders and other manual records is retrieved manually. Normally all types of records are retrieved by SSN and name.

Safeguards:

Building management employees security guards; building is locked nights and holidays. Authorized personnel may enter and leave the building during nonworking hours, but must sign in and out.

Retention and disposal:

Magnetic records are maintained on all persons who are eligible for retired pay, retainer pay, and survivor annuities while they are alive and for a period of 6 months after that person dies or ceases to be eligible. Paper and film records are maintained for a period of 10 years after the final transaction.

System manager(s) and address:

Commandant of the Marine Corps (Code FD), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Requests from individuals for information should be referred to the SYSMANAGER.

Requesting individual must supply full name and SSN

The requester may visit the Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197, to obtain information on whether the system contains records pertaining to him or her.

In order to personally visit the above address and obtain information, individuals must present a military identification card, a driver's license, or other suitable proof of identity.

Record access procedures:

Requests for information relative to the RPPS automated system should be signed by the person requesting the information. Dates of service, SSN, and full name of requester should be printed or typed on the request. It should be sent to the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Documents and correspondence received from Headquarters, U S Marine Corps, the Veterans Administration, the member, changes in laws, etc. are the principle sources of information contained in the RPPS automated system.

Systems exempted from certain provisions of the act:

None

MFD00006

System name:

Centralized Automated Reserve Pay System (CAREPAY)

System location:

Marine Corps Automated Services Center (MCASC), 1500 East Bannister Road, Kansas City, Missouri 64131; Marine Corps Finance Center (MCFC), 1500 East Bannister Road, Kansas City, Missouri 64197

Categories of individuals covered by the system:

Members of Organized Marine Corps Reserve Units who are active Reservists (Class II) and perform a maximum of 48 paid drills and 14 days Annual Training Duty per year.

Categories of records in the system:

The Drill Master File is magnetic and contains the following fields (data elements and data sets); District; Reporting Unit Code; Officer/ Enlisted Code and Social Security Number (SSN); Initials (Last, First, Middle); Last Name; Pay Group; Join Date; Drop Date; Pay Entry Base Date; Administrative Duty Pay; Number of Regular Drills Performed (Month); Number of Regular Drills Performed (Year); Number of Drills Authorized; Daily Rate of Basic Pay; Effective Date; Rank Code; First Previous Daily Rate of Basic Pay; Effective Date; Rank Code; Second Previous Daily Rate of Basic Pay; Effective Date; Rank Code; Number of Aviation Crew Member Drills; Daily Rate of Crew Member Pay-Current; Daily Rate of Crew Member Pay-First Previous; Daily Rate of Crew Member Pay-Second Previous; Number of Aviation Non-Crew Member Drills (Year); Number of Tax Exemptions; Tax Withheld-Current; Tax Withheld-Quarterly; Tax Withheld-Yearly; Taxable Pay-Current; Taxable Pay-Quarterly; Taxable Pay- Yearly; Service Number; Federal Insurance Contributions Act (FICA) Withheld- Quarterly; FICA Withheld-Yearly; FICA Wages-Quarterly; FICA Wages-Yearly; Taxable Credit; Taxable Checkage; Non-Taxable Credit; Non-Taxable Checkage; Gross Drill Pay; New Reporting Unit Code (For Transfers); Net Pay; Amount of Overpayment; Payroll Number; Check Number; Tax Code-Local; Tax Code-State; Active Duty Record, From Date-To Date; First Previous Active Duty Record, From Date-To Date; Second Previous Active Duty Record, From Date-To Date; Third Previous Active Duty Record, From Date-To Date; Date of Last Drill Attended; Number of Additional Drills (Quarter); Serviceman's Group Life Insurance (SGLI) Premium Selection; Tax Status; Net Pay (For over

999.99); SGLI Premiums Not Paid; Number of Years Flight Service; Aviation Pay Entry Base Date; SGLI Accumulation (Year); Date SSN Validated.

The Annual Training Duty Record is magnetic and contains the following fields (data elements and data sets): District Code; Increment Code; Reporting Unit Code; Officer/Enlisted Code and SSN; Last Name; Initials (First and Middle); Pay Entry Base Date; Daily Rate of Pay; Crew Member Daily Rate of Pay; Basic Allowance for Quarters (BAQ); Effective Date; Rank; Number of Days; First Previous Daily Rate of Pay; Crew Member Daily Rate of Pay; BAQ; Effective Date; Rank; Number of Days; Second Previous Daily Rate of Pay; Crew Member Daily Rate of Pay; BAQ; Effective Date; Rank; Number of Days; Subsistence; Annual (Field) Training Duty, From Date-To Date; Crew Member (Aviation), From Date-To Date; Non-Crew Member (Aviation), From Date-To-Date; Sea and Foreign Duty, From Date-to-Date; Hazardous Duty, From Date-To-Date; Hazardous Duty Code; Tax Exemption Code; Total Gross Pay; Total Taxable Pay; Total FICA Pay; Total Tax Withheld; Total FICA Withheld; Taxable Credit; Taxable Checkage; Non-Taxable Credit; Non-Taxable Checkage; Amount Overpaid; Date of Payment; Number of Days; Tax Withheld; FICA Withheld; Taxable Credit; Taxable Checkage; Non-Taxable Credit; Non-Taxable Checkage; Net Pay; Payroll Number; Check Number; Date of Payment; Number of Days; Tax Withheld; FICA Withheld; Taxable Credit; Taxable Checkage; Non-Taxable Credit; Non-Taxable Checkage; Net Pay; Payroll Number; Check Number; Date Payment; Number of Days; Tax Withheld; FICA Withheld; Taxable Credit; Taxable Checkage; Non-Taxable Credit; Non-Taxable Checkage; Net Pay; Payroll Number; Check Number; Final Settlement Code; Pay Group.

The Reporting Unit Code File folders contain Rank, Pay Group, Pay Entry Base Date, Daily Rate of Pay, Year to Date Drills, Taxable Wages, Tax Withheld, FICA Wages and FICA Withheld.

The Master Drill Pay File folders contain drill reports, drill transmittal letters, coded change sheets, Military Pay Orders, unit diaries, promotion letters, certificates for performance of hazardous duty, Pay Adjustment Authorizations, Active Duty for Training orders, dependency/pension certificates, Employees Withholding Allowance Certificates, drill listings quarterly payrolls, payroll registers, file maintenance listings, Active Duty for Training payrolls, consolidated final settlement payroll, adjustment payroll, token payment payroll, public vouchers, tax levies.

Authority for maintenance of the system:

Titles 10 and 37, U S Code

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Central Accounts Division clerks and analysts use these data to process payments and to answer inquiries concerning payments, received from Marine Reservists, Internal Revenue Service, Welfare agencies, and the Commandant of the Marine Corps.

Examination Division clerks use these data to verify proper payment and to process old pay inquiries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data are recorded on magnetic records, punch cards, computer printouts, microform, file folders, and other documents.

Retrievability:

The data contained in magnetic records can be coimputer printed on paper and it can be converted to microform for information retrieval; the data in the supporting file folders and other manual records are retrieved manually. Normally all types of records are retrieved by SSN/Name/ Reporting Unit Code.

Safeguards:

Building employs security guards. Records are maintained in areas accessible only to personnel working there and are kept in file desks made for that purpose for 6 months and in DIBOLD vertical file for 12 months after which they are transferred to the Examination Division.

Retention and disposal:

Magnetic records are maintained by MCASC on all active Reservists; they are retained for a period of 4 months after the individual Marine ceases to be active.

Paper and microform records are held for 4 years, 6 months at the Center, thereafter they are retired to a Federal Records Center in accordance with Secretary of the Navy Instruction P5212.5.

System manager(s) and address:

Commandant of the Marine Corps (Code FD), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Requests from individuals for information should be referred to the SYSMANAGER

Requesting individual must supply full name and SSN.

The requester may visit the Marine Corps Finance Center, 1500 East Bannister Road, Kansas City, Missouri 64197, to obtain information on whether the system contains records pertaining to him or her.

In order to personally visit the above address and obtain information, individuals must present a military identification card, a driver's license, or other suitable proof of identity.

Record access procedures:

Requests for information relative to CAREPAY should be signed by the person requesting the information. Dates of service, SSN, and full name of requester should be printed or typed on the request. It should be sent to the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Organized Marine Corps Reserve Units, Internal Revenue Service, Individual Marine.

Systems exempted from certain provisions of the act:

None

MFD00007

System name:

Examination Division Records System

System location:

Marine Corps Finance Center, Examination Division, Kansas City, Missouri 64197

Federal Records Center, National Archives and Records Service, 2301 East Bannister Road, Kansas City, Missouri 64131

Washington National Records Center, Washington, D C 20409

National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132

Categories of individuals covered by the system:

Marines serving on active duty, personnel on the Marine Corps Retired List, Fleet Marine Corps reservists, personnel discharged or separated from active duty, active and inactive Reserve personnel, deceased personnel, and Marine Corps disbursing officers concerning shortage of disbursing accounts.

Categories of records in the system:

Unit Diaries - A chronological record of daily personnel events and history of active Marine Corps activities and organized Marine Corps Reserve Units.

Substantiating Vouchers - Supporting documents to substantiate pay adjustment items entered on military pay accounts.

Military Payrolls - An accounting and record of appropriated funds disbursed for military pay by name, social security number, amount of payment, and check number or signature of member for cash payments.

Financial Returns - Travel vouchers, collection vouchers, public vouchers for services other than personal, and civilian payrolls.

Military Pay Cases of Separated Personnel - A history of individual pay accounts from date of entry on active duty through date of separation, including, as appropriate, replies to congressional inquiries; correspondence in connection with requests for remission and/or waiver of indebtedness; individual claims for pay and allowances including claims for travel allowances and responses thereto; records of participation in the Uniformed Services Savings Deposit Program, including personnel declared to be in a missing-in-action status; information surrounding the circumstances of a former member separated in an overpaid status, thus being indebted to the United States Government; cases contain substantiating documents such as military pay records, leave and earnings statements, documents relating to Board for Correction of Naval Records, and other records and vouchers to substantiate responses to all inquiries and payment or disapproval of claims.

Annual Separations Listings - An annual record of separation showing social security number, initials, type of separation, and the effective date of separation of Marines discharged, retired, transferred to the Fleet Marine Corps Reserve, and deceased.

Annual Reserve Tax Listings - A record showing income tax information of Class II Reserve personnel.

Microfilm of Annual Wage and Tax Information of Active Duty Personnel - Contains cumulative totals of taxable pay earned and taxes withheld, social security wages and taxes withheld.

Microfilm of Quarterly Social Security Wage Data - Contains social security number, name, and amount of wages reported to the Social Security Administration on a quarterly basis.

Microfilm of Master Allotment File - Contains information concerning the allotment status of active Marines, such as start and stop dates, allotment purpose codes, money amount of allotments, and name and address of allottee.

Microfiche and Microfilm of Field and Alpha Locators - A record of personnel data of Marines on active duty, listed numerically by social security number and alphabetically by name.

Microfiche of Marine Corps Officers Lineal List - A record of Marine Corps officers on active duty showing social security

number, name, rank, date of rank, permanent rank, date of birth, date first commissioned, and pay entry base date.

Active Military Pay Cases - A file of each Marine on active duty containing military pay records opened semiannually prior to 1 July 1973 and related miscellaneous pay documents.

Reserve Personnel Military Pay Cases - A history of individual pay accounts of Class II and Class III Reserve personnel ordered to temporary active duty under individual duty orders, including pay accounts of personnel attending the Platoon Leaders class.

Centralized Automated Reserve Pay System (CAREPAY) - Files of pay data compiled by the Central Accounts Division in support of payments made to Class II reservists assigned to Organized Marine Corps Reserve units containing drill reports, unit diaries, promotion warrants, certificates for performance of hazardous duty, pay adjustment authorizations, active duty for training orders, pension certificates, token payment payrolls, adjustment and consolidated final settlement payrolls, and other miscellaneous documents to substantiate payments to Reserve personnel.

Uniformed Services Savings Deposit Accounts of Personnel Declared Missing In Action - A record of deposits and withdrawals of Marine Corps personnel in a missing-in-action status containing member's name, social security number, balance of deposits, and name and address of the designated beneficiary to whom monies are disbursed.

Federal Housing Administration (FHA) Files - Files contain social security number, name, FHA account number, due date of insurance premiums, and record of bills and payments.

U S Treasury Department, Internal Revenue Service Form 941c - A record effecting adjustment of social security wages, previously reported or nonreported, containing the member's name, social security number, military pay group, period covered, and the monetary amount of adjustment.

Marine Corps Disbursing Officers Shortage Accounts - File contains accountability of losses, letters, and vouchers pertaining thereto.

Indebtedness Cases - Files contain the debtor's name, social security number, current mailing address, the reason for indebtedness and correspondence relating thereto, personal financial information provided by the debtor, receipts of payments, control book, cash record, debt ledger, collection agent's ledger, collection vouchers, personal information provided by credit bureau reports, indebtedness record card, debt control card, accountability statements, complete military pay accounts, General Accounting Office inquiries, General Accounting Office Notices of Exception, legal notices pertaining to bankruptcy, tax certificates, and other miscellaneous substantiating records and vouchers relating to the indebtedness.

Authority for maintenance of the system:

Unit Diaries - Section 25, Title 6, General Accounting Office Manual; Marine Corps Order P7220.31; SECNAVINST P5212.5B

Annual Separation Listings - Standing operating procedures used for reference and research purposes.

Annual Reserve Tax Listings - Marine Corps Order 7220.17D; standing operating procedures.

Microfilm of Annual Wage and Tax Information of Active Duty Personnel - Standing operating procedures used for reference and research purposes.

Microfilm of Quarterly Social Security Wage Data - Standing operating procedures used for reference and research purposes.

Microfilm of Master Allotment File - Standing operating procedures used for reference and research purposes.

Microfiche and Microfilm of Field and Alpha Locators - Standing operating procedures used for reference and research purposes.

Microfiche of Marine Corps Officers Lineal List - Standing operating procedures used for reference and research purposes.

Active Military Pay Cases. Section 25, Title 6, General Accounting Office Manual; Military Pay Procedures Manual.

Reserve Personnel Military Pay Cases. Section 25, Title 6, General Accounting Office Manual; Military Pay Procedures Manual.

Centralized Automated Reserve Pay System (CAREPAY) - Section 25, Title 6, General Accounting Office Manual; Military Pay Procedures Manual, Marine Corps Order 7220.17D.

Uniformed Services Savings Deposit Accounts of Personnel Declared Missing in Action - Department of Defense Pay and Entitlements Manual.

Federal Housing Administration (FHA) Files - Department of Defense Directive 1338.4 of 20 July 1971 and SECNAVINST 1741.4D

U S Treasury Department, Internal Revenue Service Form 941c, Internal Revenue Service Code.

Marine Corps Disbursing Officers Shortage Accounts - Navy Comptroller Manual.

Indebtedness Cases - Federal Claims Collection Act of 1966, 80 Stat. 309.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are collected for the purpose of accounting for appropriated funds disbursed by authorized appointed agents; processing claims for and against the United States Government; auditing by the General Accounting Office; holding area for disbursing records until subsequent disposition of records is effected.

Military and civilian personnel assigned to, and employed by, the Marine Corps Finance Center in pursuance of official duties, and the General Accounting Office.

Accountability of appropriated funds; processing claims for and against the United States Government; processing requests for remission and/or waiver of indebtedness; pursuing collection action against former Marine Corps personnel who are indebted to the United States Government; processing wage and tax adjustments to the Internal Revenue Service and the Social Security Administration; investigating individual pay accounts and related documents to determine monies due claimant or to substantiate an indebtedness previously established in response to written and telephonic congressional inquiries received on behalf of active and former members of the Marine Corps; administering the Federal Housing Administration and home mortgage insurance programs; administering the Uniformed Services Savings Deposit Program for missing in action personnel; extracting fiscal data for budgetary purposes and submitting fiscal reports to Headquarters, U S Marine Corps; extracting, reporting, and paying Federal income taxes and social security taxes to the Internal Revenue Service; extracting and reporting wages paid subject to social security tax to the Social Security Administration on an individual basis; processing and adjudicating travel claims, both individual and dependent travel; researching and collecting information incident to inquiries received from Federal Government agencies, State and county government and agencies, Department of the Navy and Marine Corps activities, other branches of the Armed Forces, and interested individual parties having authorized access to the records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Unit Diaries. Paper records in folders.

Substantiating Vouchers. Paper records in folders.

Military Payrolls. Paper records in folders.

Financial Returns. Paper records in folders.

Military Pay Cases of Separated Personnel. Paper records in folders.

Annual Separation Listings. Paper records in hardback binders.

Annual Reserve Tax Listings. Paper records in hardback binders.

Microfilm of Annual Wage and Tax Information of Active Duty Personnel. Reel type microfilm of 100 foot capacity.

Microfilm of Quarterly Social Security Wage Data. Reel type microfilm of 100 foot capacity.

Microfiche and Microfilm of Field and Alpha Locators. 4 by 6 inch microfiche sheets and reel type microfilm of 100 foot capacity.

Microfiche of Marine Corps Officers Lineal List. 4 by 6 inch microfiche sheets.

Active Military Pay Cases. Paper records in folders.

Centralized Automated Reserve Pay System (CAREPAY). Paper records in folders.

Uniformed Services Savings Deposit Accounts of Personnel Declared Missing In Action. Paper records in folders.

Federal Housing Administration (FHA) Files. Paper records in folders.

U S Treasury Department, Internal Revenue Service Forms 941c. Paper records in folders.

Indebtedness Cases. Paper records in folders and reel type microfilm of 100 foot capacity.

Retrievability:

Unit Diaries. Filed by the reporting unit code number and month in which the diary was prepared.

Substantiating Vouchers. Filed by the fourth terminal digit of the member's social security number within the disbursing officer's symbol number and the month in which the pay change was effected.

Military Payrolls. Filed by the disbursing officer's voucher number, each payee identified by name and social security number.

Financial Returns. Filed by the disbursing officer's voucher number in the month in which payment was disbursed.

Military Pay Cases of Separated Personnel. Filed by the fourth terminal digit of the member's social security number.

Annual Separation Listings. A mechanized listing, in numerical sequence by the fourth terminal digit of the social security number, filed by the calendar year in which a member was separated from active duty.

Annual Reserve Tax Listings. A mechanized listing in alphabetical sequence and filed by the calendar year in which the wage data applies.

Microfilm of Annual Wage and Tax Information of Active Duty Personnel. A microfilm listing in numerical sequence by the first three digits of the social security number and filed by the calendar year in which the tax data applies.

Microfilm of Quarterly Social Security Wage Data. A microfilm listing in numerical sequence by the first three digits of the social security number and filed by the quarter within the calendar year in which the wages were earned.

Microfilm of Master Allotment File. A microfilm listing in numerical and alphabetical sequence and filed by the month in which the allotment data applies.

Microfiche and Microfilm of Field and Alpha Locators. Microfiche and reel microfilm in both numerical and alphabetical sequence and filed according to the effective date of issue.

Microfiche of Marine Corps Officers Lineal List. A microfiche listing in alphabetical and control number sequence according to rank, and filed according to the effective date of issue.

Active Military Pay Cases. Filed in numerical sequence by the fourth terminal digit of the member's social security number.

Reserve Personnel Military Pay Cases. Filed in numerical sequence by the fourth terminal digit of the member's social security number.

Centralized Automated Reserve Pay System (CAREPAY). Filed by the reporting unit code number and chronologically by the month in which the CAREPAY records were prepared.

Uniformed Services Savings Deposit Accounts of Personnel Declared Missing In Action. Filed alphabetically by the member's surname.

Federal Housing Administration (FHA) Files. Filed in numerical sequence by the Federal Housing Administration case number by due month and pay group; i.e., officers and enlisted.

U S Treasury Department, Internal Revenue Service Forms 941c. Filed by reporting period and applicable pay group.

Marine Corps Disbursing Officers Shortage Accounts. Filed by the disbursing officer's symbol number and name.

Indebtedness Cases. Filed in alphabetical sequence

Safeguards:

Federal Protective Security Guards. Records are maintained in areas not normally accessible to other than authorized personnel.

Retention and disposal:

Unit Diaries. Retained in the Examination Division, Records Services Branch, for 18 months; then transferred to the Federal Records Center and destroyed after a total retention period of 4 years in accordance with General Accounting Office instructions.

Substantiating Vouchers. Retained in the JUMPS Division, Records and Files Branch, until microfilmed; then forwarded to the Examination Division, Records Services Branch, and retained for 18 months; then transferred to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Military Payrolls. Retained in the Examination Division, Financial Accounts Branch, for 1 month after receipt; then forwarded to the Records Services Branch and retained for 18 months; then transferred to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Financial Returns. Retained in the Examination Division, Financial Accounts Branch, for 1 month after receipt; then forwarded to the Records Services Branch for a retention period of 4 months; then transferred to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Military Pay Cases of Separated Personnel. Retained in the Examination Division, Claims and Separations Branch, for 18 months following end of the calendar year in which the member was released from active duty, then released to the Records Services Branch for transfer to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Annual Separation Listings. Retained in the Examination Division, Records Services Branch, for 10 years or until such time as the corresponding military pay cases are destroyed.

Annual Reserve Tax Listings. Retained in the Examinations Division, Records Services Branch, until no longer useful; then destroyed.

Microfilm of Annual Wage and Tax Information of Active Duty Personnel. Retained in the Examination Division, Records Services Branch, until no longer useful; then destroyed.

Microfilm of Quarterly Social Security Wage Data. Retained in the Examination Division, Records Services Branch, indefinitely.

Microfilm of Master Allotment File. Retained in the Examination Division, Records Services Branch, until no longer useful; then destroyed.

Microfiche and Microfilm of Field and Alpha Locators. Retained in the Examination Division, Records Services Branch, indefinitely.

Microfiche of Marine Corps Officers Lineal List. Retained in the Examination Division, Records Services Branch, until new listing is received; then destroyed.

Active Military Pay Cases. Retained in the Examination Division, Pay Record Audit Branch, until such time as member is released from active duty; then released to the Claims and Separations Branch and ultimate transfer to the Federal Records Center.

Reserve Personnel Military Pay Cases. Retained in the Examination Division, Pay Record Audit Branch, for 3 fiscal years; then transferred to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Centralized Automated Reserve Pay System (CAREPAY). Retained in the Examination Division, Pay Record Audit Branch, for 3 fiscal years; then transferred to the Federal Records Center and destroyed after a total retention period of 10 years in accordance with General Accounting Office instructions.

Uniformed Services Savings Deposit Accounts of Personnel Declared Missing In Action. Retained in the Examination Division, General Audit Branch, until such time as the account is closed; then filed in the member's military pay case and held until the case is transferred to the Federal Records Center.

Federal Housing Administration (FHA) Files. Retained in the Examination Division, General Audit Branch, for 3 years following termination of the member's entitlement; then filed in the member's military pay case and held until the case is transferred to the Federal Records Center.

U S Treasury Department, Internal Revenue Service Forms 941c. Retained in the Examination Division, Financial Accounts Branch, for four years following the date the 941c was prepared; then destroyed.

Marine Corps Disbursing Officers Shortage Accounts. Retained in the Examination Division, Financial Accounts Branch, for two years after final settlement; then destroyed.

Indebtedness Cases. Retained in the Examination Division, Settlements Branch, until case is closed or declared uncollectible; then transfer the uncollectible cases to the General Accounting Office or to the member's service record book according to the disposition of each particular case. Record of Indebtedness cards are reduced to microfilm annually and retained indefinitely.

System manager(s) and address:

Commandant of the Marine Corps (Code FDD).
Marine Corps Finance Center.
General Accounting Office.

Notification procedure:

Information may be obtained from:
Commanding Officer
Marine Corps Finance Center
Examination Division
Kansas City, Missouri 64197
Telephone: Area Code 816-926-7853

Individual will be required to furnish name, social security number, duty status, and type of information or records required.

Same as notification.

Name, social security number, military identification card, or other appropriate identification.

Record access procedures:

Same as notification.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Marine Corps activities having the responsibility of collecting data and preparing reports and documents; Headquarters U S Marine Corps; credit unions; credit bureaus; insurance companies; courts; and financial institutions.

Systems exempted from certain provisions of the act:

None

MFD00008

System name:

Civilian Labor Projection, Operations and Maintenance, MC Budget Report (Job Procedure 5576)

System location:

Commanding General, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704

Categories of individuals covered by the system:

All civilians in pay status.

Categories of records in the system:

Pay rates; scheduled within-grade increases, government portion of fringes.

Authority for maintenance of the system:

MCO 7301.56D

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Budget, forecasting of civilian payroll needs for future time periods.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer Paper Printouts

Retrievability:

Employee badge number within Activity code.

Safeguards:

None

Retention and disposal:

Perpetual; updated quarterly.

System manager(s) and address:

Commanding General, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704

Notification procedure:

Information may be obtained from:
Commanding General
Marine Corps Logistics Support Base, Atlantic
Albany, Georgia 31704

Record access procedures:

Request from individuals should be addressed to: Commanding General Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Civilian payrolls

Systems exempted from certain provisions of the act:

None

MFD00009

System name:

Pay Vouchers for Marine Corps Junior Reserve Officer Training Course Instructors

System location:

All Marine Corps District Headquarters.

Categories of individuals covered by the system:

Retired Marines in the Marine Corps Junior Reserve Officer Training Course Instructor Program.

Categories of records in the system:

Files contain individual name, rank, social security number, unit to which assigned, requests for payment of salaries.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps Junior Reserve Officer Training Course Officer and administrative and fiscal personnel for evaluation and processing for payment.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in filing cabinets.

Retrievability:

Alphabetically by last name, and school to which assigned.

Safeguards:

Access limited to Marine Corps Junior Reserve Officer Training Course, administrative and fiscal personnel required to process payment requests and payments. After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

Files are retained for three years and then destroyed.

System manager(s) and address:

Marine Corps Junior Reserve Officer Training Course Officer Marine Corps Districts.

Notification procedure:

Write or visit SYSMANAGER of Marine Corps District in which school is located. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and drivers license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Senior Marine Instructor of Marine Corps Junior Reserve Training Course unit of which instructor is a member.

Systems exempted from certain provisions of the act:

None

MFD00010

System name:

Per Diem and Travel Payment System

System location:

Primary System-Disbursing Offices, Marine Corps Posts and Stations

Categories of individuals covered by the system:

All Marine Corps civilian and military personnel receiving travel advances or making settlement of travel claims to the local Disbursing Office.

Categories of records in the system:

Completed travel claims with documentation cross-referenced to individuals.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps disbursing employees for cross-reference between individual and disbursement of funds for reimbursement in the performance of official travel.

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in matters regarding their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch Agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file.

Retrievability:

Employee name, social security number or badge number.

Safeguards:

Card file is maintained and used by specific clerks within travel section of the Disbursing Office. After working hours, office is locked in a building with controlled access by armed guards.

Retention and disposal:

Data is maintained until individual departs the area and all travel advances have been settled.

System manager(s) and address:

Disbursing Officer

Notification procedure:

Information may be obtained from:
Disbursing Offices, Marine Corps Posts and Stations

Record access procedures:

Signed written requests should contain the full name of the individual and social security number or badge number and addressed to the address listed under NOTIFICATION above.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Travel orders and disbursing documents.

Systems exempted from certain provisions of the act:

None

MHD00001

System name:

Biographical Files

System location:

Reference Section (Code HDR), History & Museums Division, Headquarters, U S Marine Corps, Washington, D C 20380 and all major Marine Corps commands and districts.

Categories of individuals covered by the system:

Marine Corps General Officers and those Marines considered as being or having been newsworthy.

Categories of records in the system:

File contains biographical sketches, press releases and media clippings.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps commands, activities and organizations By officials and employees in connection with their official duties.

Department of Defense and its Components - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Officer relating to the Marine Corps.

Historical researchers-to determine accuracy of facts and provide background for correspondence and studies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, microfiche, and photographs.

Retrievability:

Filed alphabetically by last name of subject.

Safeguards:

Building employs security guards. Files within a vault accessible only to authorized personnel who are screened and registered prior to being granted access.

Retention and disposal:

Files are permanent

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code HD)
Headquarters, U S Marine Corps
Room 3129, Reference Section Head
Navy Annex (Federal Office Building 2)
Washington, D C 20380
Telephone: Area Code 202/694-1481/1473

Record access procedures:

Requests from individuals should be addressed to: The Commandant of the Marine Corps (Code HDR), Headquarters U S Marine Corps, Washington, D C 20380

Written requests for information should contain the full name of the individual.

For personal visits, the individual should be able to provide some acceptable identification.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Newspapers, magazines, Marine Corps press releases and biographical sketches.

Systems exempted from certain provisions of the act:

None

MHD00006

System name:

Register/Lineal Lists

System location:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Lists of all active duty and retired officers from 1800 to present.

Categories of records in the system:

Bound volume of listings which include individual's name, rank.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Historical Researchers - To determine authority of dates, names and ranks of personnel.

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in the execution of their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representatives of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Bound volumes retained in library

Retrievability:

Yearly volume listed alphabetically within ranks.

Safeguards:

Building employs security guards. Files within a vault accessible only to authorized personnel who are screened and registered prior to being granted access.

Retention and disposal:

Files are permanent

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code HD)
Headquarters, U S Marine Corps
Room 3129, Reference Section Head
Navy Annex
Washington, D C 20380
Telephone: Area Code 202/694-1481/1473

Record access procedures:

Requests from individuals should be addressed to: Commandant of the Marine Corps (Code HDR), Headquarters, U S Marine Corps, Washington, D C 20380

Written requests for information should contain the full name of the individual.

For personal visits the individual should be able to provide some acceptable identification.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Internal Publication

Systems exempted from certain provisions of the act:

None

MIL00001

System name:

Assignment and Occupancy of Family Housing Records

System location:

System is organizationally decentralized. Records are maintained at Marine Corps Installations with family housing.

Categories of individuals covered by the system:

File contains individual's application, assignment to and occupancy history of family housing. Records include, but are not limited to information from the Manpower Management System and the Joint Uniform Military Pay System.

Categories of records in the system:

File contains individual's application and assignment to and occupancy history of family housing.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Installation Family Housing Offices - To obtain information in order to determine type of quarters to which individual's are to be assigned; to make assignments and to personnel who are assigned to quarters.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and on file cards.

Retrievability:

Filed alphabetically by last name of housing occupant and in order of position on waiting list.

Safeguards:

Records are maintained in areas accessible only to authorized personnel; waiting lists are maintained for public inspection.

Retention and disposal:

Records are permanent. They are retained in active file during time that personnel is residing in quarters, retained in a quarters record jacket after termination of occupancy.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, (Code LF) Washington, D C 20380

Notification procedure:

Information may be obtained from: The Commanding Officer of the Marine Corps Installation from which family housing has been requested, assigned or vacated. Mailing addresses are as shown in the Navy Standard Distribution List (OPNAV P09B3-107).

Record access procedures:

Requests for information from individuals should be addressed to the Commanding Officer of the Marine Corps installation(s) at which the individual applied for or occupied family housing. Such requests should include name, social security number, quarters number if known, and dates of period addressed in the inquiry. Installation addresses are as reported by the Navy Standard Distribution List.

Personal visits may be made to the installation in questions any normal work day between 8:00 AM-4:30 PM. For personal visits the individual should be able to provide valid personal identification

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Application from individual seeking family housing, Marine Corps Manpower Management System; Joint Uniform Military Pay System.

Systems exempted from certain provisions of the act:

NONE

MIL00002

System name:

Bachelor Housing Registration Records System

System location:

Each Bachelor Officer Quarters/Bachelor Staff Quarters (BOQ/BSQ) assigned registration responsibilities.

Categories of individuals covered by the system:

Military and civilian personnel who are current and former residents of BOQ's and BSQ's.

Categories of records in the system:

Contains personal identifying information, arrival/departure dates; type of orders; monetary allowance information; BOQ/BSQ and room identification.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose is to provide adequate records for management of Bachelor housing. Used by office personnel to maintain a record of occupancy. By auditors to verify occupancy. By other military and DOD officials when required in the execution of their official duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper cards, file folders, status boards, etc.

Retrievability:

Alphabetically by name and social security number.

Safeguards:

Stored in locked office during nonworking hours or when office is not manned. Access on a need to know basis only for official purposes.

Retention and disposal:

Retained for four years; then destroyed.

System manager(s) and address:

Decentralized. The local commander is responsible for management of BOQ's and BSQ's.

Notification procedure:

Requests shall be addressed to the SYSMANAGER Requestor must be able to provide appropriate identifying information.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER

Contesting record procedures:

Rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

BOQ/BSQ office personnel and information from individual who fills out registration card.

Systems exempted from certain provisions of the act:

None

MIL00003

System name:

Laundry Charge Accounts Records

System location:

Marine Corps activities with laundry facilities.

Categories of individuals covered by the system:

Individuals who have applied for Laundry charge accounts.

Categories of records in the system:

Name, rank, unit, social security number, quarters address and telephone number, date and ticket number of laundry service and amount charged.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Accounting purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders.

Retrievability:

By name.

Safeguards:

Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to persons whose performance require it.

Retention and disposal:

Five years and then destroy.

System manager(s) and address:

Decentralized. Laundry charge accounts managed under the Commanding General of each activity which has a laundry.

Notification procedure:

Correspondence pertaining to records maintained by the laundry. Contact the Commanding General of the Marine Corps activity in question.

Record access procedures:

Information may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals

Systems exempted from certain provisions of the act:

None

MIL00004

System name:

Personal Property Program

System location:

All Marine Corps Bases and Federal Record Centers

Categories of individuals covered by the system:

All military personnel having shipped or stored personal property or privately owned automobiles.

Categories of records in the system:

File contains individual's applications for shipment and/or storage, related shipping documents and records of delivery and payment.
DD 619 (Statement of Accessorial Services Performed)
DD 828 (Motor Vehicle Shipment Application)
DD1100 (Household Goods Storage Record)
DD1101 (Household Goods Storage information)
DD1252 (Owner's U S Customs Declaration and Entry and Inspecting Officer's Certificate)
DD1299 (Application for shipment and/or storage of Personal Property)
DD1671 (Reweight of Household Goods)
DD1780 (Report of Carrier Services Personal Property Shipment)
DD1781 (Property Owners Report on Carriers Report)
DD1797 (Personal Property Counseling Checklist)
DD1799 (Member's report on Carrier Performance - Mobile Homes)
DD1800 (Mobile Home Shipment Inspection at Destination)
DD1841 (Schedule of Property Damages)
DD1842 (Claim for Personal Property against the United States)
DD1845 (Demand on Carrier/Contractor)

Authority for maintenance of the system:

DOD Regulation 4500.34 'Personal Property Traffic Management Regulation'
JAG Manual

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Traffic Management Offices and applicable Finance Center for effecting, coordinating and payment of personal property shipment and storage.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of member.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly cleared and trained

Retention and disposal:

Records are permanent. They are retained in active file until end of calendar year in which transaction was effected, held additionally in inactive file indefinitely.

System manager(s) and address:

Assistant Secretary of Defense (Installations and Logistics (ASD (I&L)) Washington, D C

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code LFS-2)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: 224-1067

Record access procedures:

Request from individuals should be addressed to Commandant of the Marine Corps (LFS-2), Headquarters, U S Marine Corps, Washington, D C 20380.

Written request for information should contain the full name of individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Application and related forms from the individual requesting access; notification of personal clearance from the SYSMANAGER research note/documents from records custodians.

Systems exempted from certain provisions of the act:

None

MIL00005

System name:

Passenger Transportation Program

System location:

All Marine Corps Bases

Categories of individuals covered by the system:

Military personnel and their dependents, DOD civilian employees and their dependents, and other individuals furnished transportation via commercial transportation resources and Department of Defense single manager transportation resources.

Categories of records in the system:

File contains copies of passenger transportation procurement documents issued, copies of official travel orders supporting the issuances; applications for transportation of dependents, port call requests and confirmations; copies of endorsements to orders indicating transportation issuances; requests and authorizations for space available MAC transportation.

SF 1169 United States of America Transportation Request
DD 652 Uniformed Services Meal Ticket
DD 884 Application for Transportation for Dependents
DD 1287 Request for Commercial Transportation
DD 1341 Report of Commercial Carrier Passenger Service
DD 1482 Military Airlift Command (MAC) Transportation Authorization.

Authority for maintenance of the system:

MCO P4600.14A (joint) Military Traffic Management Regulation (Promulgates policy and procedures applicable to performance of traffic management functions within the CONUS)

DOD 4515.13-R Air Transportation Eligibility (Policy and procedures applicable to movement via DOD owned and controlled airlift)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Traffic Management Offices and Applicable Finance Center for effecting coordination and payment of passenger transportation charges by commercial transportation and Military Airlift Command (MAC) resources.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Passenger Transportation Procurement documents filed by serial number preprinted on the documents.

Other documents filed in alphabetical order by last name of member.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly cleared and trained.

Retention and disposal:

Copies of transportation procurement documents held by issuing office for period of 4 years, after which they are destroyed. Other records retained in active fields until end of calendar year in which transaction was effected, held additionally in inactive file indefinitely.

System manager(s) and address:

Commander, Military Traffic Management Command, Washington, D C (Travel via commercial transportation within CONUS)

Commander, Military Airlift Command, Scott AFB, IL (International travel via DOD owned and controlled airlift)

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code LFS-2)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone 224-1781

Record access procedures:

Request from individuals should be addressed to Commandant of the Marine Corps, (Code LFS-2), Headquarters, U S Marine Corps, Washington, D C 20380

Written request for information should contain the full name of the individual, SSN, current address and telephone number.

For personal visits, the individual should be able to provide acceptable identification and give some verbal information relating to commercial transportation furnished or Military Airlift Command (MAC) transportation arrangements on a space required or space available basis.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Application and related forms from the individual requesting access; notification of personal clearance from the SYSMANAGER research notes/documents from records custodians.

Systems exempted from certain provisions of the act:

None

MIL00006

System name:

Dealer's Record of Sale of Rifle or Pistol, State of California

System location:

Each Marine Corps Activity in California

Categories of individuals covered by the system:

Authorized Marine Corps Exchange patrons who purchase a rifle or pistol from the Exchange.

Categories of records in the system:

Individual identifying information including height, weight, color of hair and eyes, if purchaser is a citizen, if the purchaser has been convicted of a felony, or if the purchaser is addicted to use of narcotics, the individual's occupation, and descent.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Marine Corps Exchange personnel for record keeping purposes, one copy is sent to the State of California in Sacramento, California and to the local Sheriff's office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders.

Retrievability:

By name

Safeguards:

Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to authorized personnel only.

Retention and disposal:

Records are maintained for five years and then destroyed.

System manager(s) and address:

Decentralized. System managed by local commanders.

Notification procedure:

Correspondence pertaining to records maintained by local commands may be addressed to the Commanding Officer of the activity concerned.

Record access procedures:

Information may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals

Systems exempted from certain provisions of the act:

None

MIL00007

System name:

Marine Corps Exchange Service Station Work Orders

System location:

Marine Corps activities with exchanges operating a service station.

Categories of individuals covered by the system:

Authorized Marine Corps Exchange patrons who avail themselves of automobile servicing.

Categories of records in the system:

Individual identifying information, vehicle description, speedometer reading.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Marine Corps Exchange service station personnel for normal business purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders.

Retrievability:

By name

Safeguards:

Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to persons whose performance require it.

Retention and disposal:

Work orders are retained for one year and then destroyed.

System manager(s) and address:

Local commander. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Correspondence pertaining to records may be addressed to the Commanding General or Commanding Officer of the activity concerned.

Record access procedures:

Information may be obtained from SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals

Systems exempted from certain provisions of the act:

None

MIL00008

System name:

Cigarettes Sales Abuse File

System location:

Marine Corps Exchange, Headquarters Battalion (Code 200), Marine Corps Supply Acitivity, Phila., Pa. 19146

Categories of individuals covered by the system:

Records cigarette purchases by PX patrons who are buying large quantities of cigarettes over a period of time.

Categories of records in the system:

Contains name, social security number and record of amount of cigarettes purchased, date and sales person's initials.

Authority for maintenance of the system:

Local SOP

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Available to determine a pattern of abuse of cigarette exchange privileges. Available to Exchange Officer, adjutant, Headquarters Battalion, Marine Corps Supply Activity, Phila. Pa., state investigative officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards in file folders.

Retrievability:

By name

Safeguards:

Only one copy made and maintained in Exchange records.

Retention and disposal:

Six months

System manager(s) and address:

Exchange Officer, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Phila., Pa. 19146

Notification procedure:

Information may be obtained from;
Exchange Officer, Headquarters Battalion (Code 200),
Marine Corps Supply Activity
Phila., Pa. 19146

Record access procedures:

Individual requests should be addressed to: Commanding Officer, Headquarters Battalion (Code 200), Marine Corps Supply Acitivity, Phila., Pa. 19146

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Marine Corps Exchange sales personnel

Systems exempted from certain provisions of the act:

None

MIL00009

System name:

Fire Arms Transaction Record

System location:

Marine Corps Activities with Exchanges selling fire arms

Categories of individuals covered by the system:

Authorized Marine Corps Exchange patrons who purchase fire arms from the Exchange.

Categories of records in the system:

Individual identifying information, including age, height, weight, date and place of birth, race, description of fire arm, certificate by individual that he has never been convicted of a felony, that he is not a fugitive from justice, not addicted to the use of drugs, not adjudicated to be a mental defective or committed to a mental institution, that he's not been discharged from the armed forces under dishonorable conditions, that he is not an illegal alien and that he hasn't renounced his citizenship. Information from documents used to provide individual's identification.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Marine Corps Exchange personnel for record keeping purposes, and a copy is sent to the local law enforcement personnel for their information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders

Retrievability:

By name

Safeguards:

Records are maintained in locked filing cabinets within locked offices of buildings. Records are accessible only to authorized personnel only

Retention and disposal:

Records are maintained for five years and then destroyed.

System manager(s) and address:

Decentralized system managed by local Commanders.

Notification procedure:

Correspondence pertaining to records maintained by local Commands may be addressed to the Commanding Officer of the activity in question.

Record access procedures:

Information may be obtained from SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals.

Systems exempted from certain provisions of the act:

None.

MIL00010

System name:

Customer Service Records/Special Accounts

System location:

Local Marine Corps Exchange Office

Categories of individuals covered by the system:

The contents of these files are a compilation of all records required in the administration of special accounts.

Categories of records in the system:

Records are manually prepared files containing data used in accounting for merchandise not normally in stock and has been ordered by authorized patrons or deferred payment plans.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by management and clerical personnel for normal business purposes including accounting for sales and inventory control.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders.

Retrievability:

Filed alphabetically by patron's last name

Safeguards:

Records are maintained in locked filing cabinets within locked offices of buidings. Records are accessible to authorized personnel only.

Retention and disposal:

Records are maintained for five years and then destroyed.

System manager(s) and address:

Decentralized System managed by local Commanders.

Notification procedure:

Correspondence pertaining to records maintained by local commands may be addressed to the Commanding Officer of the activity in question

Record access procedures:

Information may be obtained from SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals.

Systems exempted from certain provisions of the act:

None.

MIL00011

System name:

MDSVEN Vendor Directory

System location:

All Marine Corps commands which operate a Marine Corps Exchange.

Categories of individuals covered by the system:

All vendors' names and addresses actively engaged in business with the local exchange.

Categories of records in the system:

File contains vendor names and addresses; freight information, delivery and discount terms for remittance and payment

Authority for maintenance of the system:

Title 10, U. S. Code 7601

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purchasing Activity - To obtain addresses for ordering, freight and delivery information, discount terms, etc.; required for entry on Purchase Orders

Accounting Activity - To obtain billing and remittance addresses

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Mechanized print-outs and computer discettes

Retrievability:

Filed in computer and/or discettes by permanently assigned 6 digit file numbers

Safeguards:

Records are maintained in areas accessible only to authorized personnel on a need-to-know basis.

Retention and disposal:

Records are permanent; updated as necessary. Held until vendor is no longer actively engaged in business with Exchange, then record is eliminated and/or cleaned off diskette.

System manager(s) and address:

Decentralized system managed by local commanders. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Correspondence pertaining to records maintained by local commands may be addressed to the Commanding Officer of the activity concerned.

Record access procedures:

Information may be obtained by contacting SYSMANAGER

Requests should contain the full name of the requester and the basis of the request.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained by contacting the SYSMANAGER.

Record source categories:

Notification from applicable vendors, correspondence and agreements originating between vendor and Exchange Procurement Activity.

Systems exempted from certain provisions of the act:

None

MIL00012

System name:

Standard Licensing Procedures For Operators of Military Motor Vehicles

System location:

All Marine Corps motor vehicle licensing facilities.

Categories of individuals covered by the system:

Military and DOD civilian employees required to operate a government-owned/or controlled motor vehicle including nonappropriated fund vehicles.

Categories of records in the system:

Files contain information on each individual's driving experience, who applies for a Government Operators Permit to include traffic accidents involved in, any refusal, suspension or revocation of State Operator's License, all violations of traffic regulations (other than overtime parking) for which he has been found guilty, misrepresentation or failure to report these, and results of physical examinations.

DD Form 1360 - Operators Qualifications and Record of Licensing, Examination and Performance
NAVFAC 9-11240/10 - Application for Motor Vehicle Operators Permit
SF 47 - Physical Fitness Inquiry for Motor Vehicle Operators
NAVFAC 9-11240/11 - Checklist and Scoresheet for Road Test in Traffic
SF 46 - U S Government Motor Vehicle Operator's Identification Card
Dot Form HS 1047 - Request for Search of National Drivers Register
Dot Form 1054 - Report of Inquiry Searched

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Motor vehicles licensing procedures used to determine the qualification of personnel requesting motor vehicle operator's I D cards

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed in alphabetical order by last name of applicant

Safeguards:

Records are maintained in areas accessible only to authorized personnel

Retention and disposal:

Copies are normally held for 3 years and are then destroyed.

System manager(s) and address:

Deputy Chief of Staff for Installations and Logistics, Headquarters, U S Marine Corps, Washington, D C

Decentralized system managed by local commands.

Notification procedure:

Information may be obtained from:
Headquarters, U S Marine Corps (Code LME)
Room 400
Commonwealth Building
Arlington, VA 22209
Telephone: Area Code 202/695-3460

Correspondence pertaining to records maintained by local commands may be addressed to the commanding officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Record access procedures:

Requests from individuals should be addressed to Commandant of the Marine Corps (Code LME), Headquarters, U S Marine Corps, Washington, D C 20380; SYSMANAGER of activity concerned.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual information is taken from NAVMC 10964, Licensing application, civil authorities, Provost Marshal's office, service record, organization commanders.

Systems exempted from certain provisions of the act:

None

MIL00013

System name:

Individual Uniform Clothing Records

System location:

All Marine Corps activities, but records limited to individuals having received clothing through that activity.

Categories of individuals covered by the system:

Personnel of the Marine Corps, Marine Corps Reserve, Navy Corpsmen authorized to wear Marine Corps uniforms, candidates of officer procurement programs of the Marine Corps (including Marine option NROTC), former Marines authorized to purchase Marine Corps uniforms from Marine Corps clothing stocks.

Categories of records in the system:

Files contain listings of individual uniform clothing issued in-kind and clothing sold to individuals on a cash basis, mail-order basis or pay checkage basis.

NAVMC 604 - Individual Clothing Requisition and Issue Slip (Men's)
NAVMC 604b - Individual Clothing Requisition and Issue Slip (Women's)
NAVMC 604a - Transmittal of Clothing Issue Slips
NAVMC 10710 - Men's Individual Clothing Request
NAVMC 10711 - Women's Individual Clothing Request
NAVMC 631 - Individual Clothing Record (Men's)
NAVMC 631a - Individual Clothing Record (Women's)
DD Form 358 - Special Measurement Blank - Clothing - Men's
DD Form 1111 - Armed Forces Measurement Blank - Special Sized Clothing - Women's
DD Form 150 - Special Measurement Blank for Special Measurement/ Orthopedic Boots and Shoes
DD Form 1348 - DOD Single Line Item Requisition System Document (Manual)
SF 344 - GSA Multi-use Standard Requisitioning/Issue System Document
Naval messages/speedletters when used in lieu of routine MILSTRIP procedures.

Authority for maintenance of the system:

Executive Order 10113 of 24 February 1950

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To substantiate supply accounting records for clothing issued or sold from Marine Corps stocks to individuals, and when sales are made on a pay checkage basis, to substantiate pay checkage action under the Joint Uniform Military Pay System (JUMPS)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

May be filed for retrieval by either name or SSN, or when used as a substantiating document for issues/sales at a retail clothing outlet, files are primarily in transaction document number sequence.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Three years when used to substantiate issues under the clothing Monetary Allowance System.

As required when used to substantiate financial/pay checkage transactions.

Until individual uniform clothing items issued in kind to members of the Marine Corps Reserve are recovered upon separation.

Three years following detachment from duty for which an issue of supplementary uniforms was authorized.

System manager(s) and address:

Decentralized system - managed by local command.

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code LMP)
Room 378
Commonwealth Building
Arlington, Virginia 22209
Telephone Area Code: 202/694-1775

Correspondence pertaining to records maintained by local commands may be addressed to the commanding officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Information required from requester:
Full name
SSN
Military status
Current address
Specifics of information desired

Record access procedures:

Requests from individuals should be addressed to: Commandant of the Marine Corps (Code LMP), Headquarters, U S Marine Corps, Washington, D C 20380

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual information, Joint Uniform Military Pay System/ Manpower Management System (JUMPS/MMS).

Systems exempted from certain provisions of the act:

None

MIL00014

System name:

Exchange Privilege Authorization Log

System location:

Organized Marine Corps Reserve units.

Categories of individuals covered by the system:

Any member of the Organized Marine Corps Reserve unit who becomes eligible for exchange privileges as a result of attending drills with that unit in accordance with current regulations.

Categories of records in the system:

Log contains a list by name of individuals who are issued exchange privilege authorization letters. The list is maintained on a quarterly basis.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By the Commanding Officer/Inspector-Instructor of Reserve Units to keep a record of personnel who were authorized to use the exchange during each fiscal quarter. Exchange personnel - letters are utilized to verify authority of Reserve to utilize exchange services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Papers bound log book on paper - letters issued to individual Reserves.

Retrievability:

Alphabetically by last name for each fiscal quarter. Personnel who join during the quarter are added to the list as they become eligible for exchange privileges.

Safeguards:

The log is maintained in an area accessible only to authorized personnel. This area is locked during non-working hours.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

The log will be destroyed one year from the end of the calendar year for which entries are made.

System manager(s) and address:

Inspector-Instructor of Organized Marine Corps Reserve unit.

Notification procedure:

Write or visit SYSMANAGER. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and drivers license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Monthly drill attendance records of Organized Marine Corps Reserve unit.

Systems exempted from certain provisions of the act:

None

MIL00015

System name:

Housing Referral Services Records System

System location:

All Marine Corps installations with housing referral offices.

Categories of individuals covered by the system:

All military personnel reporting to an installation who will be residing off base desirous of seeking off base housing.

Categories of records in the system:

Information is collected on DD Form 1668 from all military personnel reporting to a housing referral office as pertains to name, grade, branch of service, organization and location, local address, housing needs, e.g. rental/sale, number of bedrooms, furnished/unfurnished, price range, etc., number of dependents, male or female, and age. A list of housing referral services provided and identification of member of racial or ethnic minority groups. Individuals provided referral assistance must in turn provide notification of housing selection by use of DD Form 1670 which includes such information as type of housing selected, e.g., location, temporary/permanent, rental/sale, cost, number of bedrooms, media through which housing was found, e.g., housing referral, realtor, newspaper, etc., and satisfaction with selection, e.g., too small, too far, discrimination encountered, and satisfaction with housing referral services provided.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referral offices use data to assist and counsel individuals in locating suitable housing off base, used for follow-up purposes when written notification from individual is not provided as to ultimate location of housing, used for purposes of reporting statistics on field activity housing referral services, used to follow up on availability of rental unit subsequent to occupant's receipt of PCS orders, and follow up regarding tenant/landlord complaints.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

By individual's name.

Safeguards:

Housing files within the housing referral or housing office, used solely within the housing organization and protected by military installation's security measures. Individual may upon request, have access to all such data.

Retention and disposal:

Data is retained until individual's tour is completed and subsequently disposed of according to local records disposition instructions.

System manager(s) and address:

Commandant of the Marine Corps (Code LFF-3), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Records are maintained by housing referral offices at the Marine Corps activity responsible for providing referral services for military personnel in the area. Individual may request access to records upon proof of identity (ID card).

Record access procedures:

The agency's rules for access to records may be obtained from installation family housing office.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation family housing office.

Record source categories:

Data collected from each applicable individual.

Systems exempted from certain provisions of the act:

None

MIL00016

System name:

Depot Maintenance Management Subsystem (DMMS)

System location:

Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704
Marine Corps Logistics Support Base, Pacific, Barstow, California 92311

Categories of individuals covered by the system:

Any military or civilian employee of USMC Depot Maintenance Activities

Categories of records in the system:

System contains individual's Personal History File, Labor Distribution Reports, Time and Attendance Reports and Payroll Reports

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps Logistics Support Bases - To provide payroll support and cost accounting
Congress of the United States
Naval Audit Service - To obtain audit trails for cost accounting
DOD Departments and agencies
USMC staff agencies and commands - To review cost accounting and financial management procedures, to monitor labor distribution
Federal, state, and local tax agencies
General Accounting Office
Treasury Department
Department of Justice

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and disks, computer paper printouts and microfiche.

Retrievability:

Filed by employee badge number

Safeguards:

Buildings have security personnel. Records are maintained in areas accessible to authorized personnel that are properly screened.

Retention and disposal:

Records are maintained until end of calendar year in which employee has worked. At the end of one year, the computer magnetic tapes and disks are erased and paper printouts are destroyed by shredding. Microfiche is destroyed by burning.

System manager(s) and address:

Commandant of the Marine Corps (Code LMM), Headquarters, U S Marine Corps, Washington, D C 20380
Director, DMA, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia
Director, DMA, Marine Corps Logistics Support Base, Pacific, Barstow, California

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code LMM), Headquarters, U S Marine Corps Washington, D C 20380
CG, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704
CG, Marine Corps Logistics Support Base, Pacific, Barstow, California 92311

Record access procedures:

Requests from individuals should be addressed to the Commanding General, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704 or Commanding General, Marine Corps Logistics Support Base, Pacific, Barstow, California 92311.

Written requests for information should contain the full name of the individual, current address, telephone number.

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license, social security card, etc.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Automated system interfaces
Application and related forms from the individual requesting employment.

Systems exempted from certain provisions of the act:

None

MIL00017

System name:

Transportation Data Financial Management System (TDFMS)

System location:

Commanding General (Code A470), Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704

Categories of individuals covered by the system:

All Marine Corps active duty, reserve, and retired personnel, federal Civil Service employees of the Marine Corps and their dependents.

Categories of records in the system:

The TDFMS Master Files consist of a complete automated record for all Marine Corps active duty, reserve and retired personnel, federal Civil Service employees of the Marine Corps and their dependents concerning the movement of household goods, personal effects and passenger or personnel transportation by rail, bus, air or other means involving expenditures of Marine Corps funds.

Authority for maintenance of the system:

Title 37, U S Code/Title 10, U S Code and Marine Corps Orders within the 4600 Series.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps, Marine Corps activities for analysis and research for budget forecasting; audit, verification, certification of O&MMC, Stock Fund, Reserve, Procurement, MPMC expenditure of Marine Corps funds; identifying movement of material by weight, commodity within areas by FY historical data of commodity movements, related cost, budget forecasting, validation, and special studies.

Marine Corps Supply Center to monitor and certify for payment transportation charges concerning the movement of personal property and personnel and to initiate collection/reimbursement action for cost incurred that exceeds entitlements.

Department of Defense and its components - By officials and employees of the Department in the performance of their offical duties.

The Attorney General of the U S - By officals and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch Agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - The Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the Files.

The Comptroller General of the U S - By the Comptroller or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and discs, computer printouts, microfiche and microfilm.

Retrievability:

Information is accessed and retrieved by name, social security number, etc. Conventional and computerized indices are required to retrieve individual records from the system.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are maintained until statute of limitations has expired and/or litigation is concluded.

System manager(s) and address:

The Commandant of the Marine Corps (Code LFS), Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Commanding General (Code A470)
Marine Corps Logistics Support Base, Atlantic
Albany, Georgia 31704
Telephone: Area Code 912/439-5674/5675/5676/5677

Record access procedures:

Written requests from individuals should be addressed to the address listed under the heading LOCATION.

Written requests for information should contain social security number, full name and current address, Government Bill of Lading number (if known), date of shipment or move of household goods.

For personal visits, the individual should be able to provide positive personal identification, such as valid military identification card, drivers license, etc.

Contesting record procedures:

The rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Government and commercial carriers.
Installation Transportation Officers.
Authorized order writing activities.
Paying or disbursing officers.
Marine Corps Manpower Management System

Systems exempted from certain provisions of the act:

None

MIL00018

System name:

Organization Clothing Control File

System location:

Depot Property Control Branch, Marine Corps Recruit Depots

Categories of individuals covered by the system:

Drill Instructors, Marksmanship Instructors, Women Marine Special Subject Instructors and Band members.

Categories of records in the system:

Combined Individual Clothing Requisition and Issue Slip NAVMC 604 Form.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain records of organizational clothing issued to authorized personnel until items have been returned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of Marine concerned.

Safeguards:

Records are maintained in filing cabinet in a locked building.

Retention and disposal:

Records are maintained until items of organizational clothing are returned.

System manager(s) and address:

Commanding General, Marine Corps Recruit Depots

Notification procedure:

Information may be obtained from:
Depot Supply Officer
Depot Service and Supply Department
Marine Corps Recruit Depot
Parris Island, South Carolina 29905 or San Diego, California 92140

Record access procedures:

Requests from individuals should be addressed to: Depot Supply Officer, Depot Services and Supply Department, Marine Corps Recruit Depot, Parris Island, SC 29905 or San Diego, CA 92140.

Written requests for information should contain the full name, social security number and current address of the individual concerned.

For personal visits, the individual should be able to provide a military identification card.

Contesting record procedures:

The Depot's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Provided by the authorized individual's request NAVMC 604 to be issued items of Organizational Clothing.

Systems exempted from certain provisions of the act:

None

MIL00019

System name:

Equipment and Weapons Receipt or Custody Files

System location:

System is decentralized. Records are maintained at Marine Corps commands, organizations, or activities that issue said equipment or weapons.

Categories of individuals covered by the system:

System contains name, rank, social security number, unit address, and date.

Categories of records in the system:

This file contains name, rank, social security number, itemized list of equipment issued, date issued, and possibly unit and section/Department to which assigned.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system is used to identify individuals who have Government property in their possession.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in binder, file folder, box, vertical card file, or index cards.

Retrievability:

Records are filed alphabetically by name.

Safeguards:

After working hours, the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

These records are destroyed upon the return of the property listed.

System manager(s) and address:

Commanding Officer of the activity.

Notification procedure:

Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and drivers license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Information is entered by visual certification of property, issued and identification presented by individual.

Systems exempted from certain provisions of the act:

None

MIL00021

System name:

Working Files, Division Supply Sections and Wing Supply Sections

System location:

Division Supply Section, Regiments, Battalions, Separate Companies

Wing Supply Sections, Groups, Separate Squadrons

Categories of individuals covered by the system:

Personnel responsible for government property, reimbursing government for damages/loss of property.

Categories of records in the system:

Equipment Custody Records (ECR) - This file contains the date, voucher number, remarks, quantity, signature, control number, description and unit.

Memorandum Receipt for Individual/Garrison Equipment (IMR) - This file includes the name, grade, SSN, date, organization, signature and unit.

Memorandum Receipt for Individual Weapons and Accessories - This file includes the name, grade, SSN, organization, signature and unit.

Personal Effects Log - This file includes the date, name, SSN, grade and signature.

Letter of Appointment/Authorization - These files include the date, name, grade, SSN, description of duties/authorizations and sample signature.

Voucher Files - Cash Collection - This file includes the name, grade, SSN, unit, description of sales and signature.

Voucher Files - Investigations - This file includes the name, grade, SSN of investigating officer and signature.

Investigation Log/File - This listing contains the investigation number, investigating officer, subject, serial number, date investigation received, date sent to unit for correction (if applicable), due date to be returned and remarks. File also contains a copy of the investigation.

Special Order Clothing - This file cincludes the name, rank, SSN, msg number, individual unit, and remarks regarding receipt of clothing.

Base Property Log - Contains a list of names of personnel who have lost and paid for government property.

Serialized Blank Forms Register - Contains a listing of personnel by name who issue/receive serialized blank forms.

Quarterly Inventory of Sets, Chests and Kits - Contains a file of inventories made on contents of sets, chests and kits including the name, rank and SSN of the individual inventorying property.

Authority for maintenance of the system:

Title 5, U. S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Division Supply Section and Wing Supply Section - By officials in the execution of their assigned duties in reviewing proper maintenance and accountability of government property by units.

Regiments, Battalions, Separate Companies, Groups, Separate Squadrons - For supply/S-4 personnel to obtain information pertaining to personnel responsible for government property and/or administering supply functions.

Inspectors from higher headquarters (i.e., FMFPac: Inspecting General (IG) Team, FSMAO) - By officials in the execution of their assigned duties in reviewing proper maintenance and accountability of government property by units.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

ECR - Vertical file cards

IMR; Individual Weapons and Accessories, Special Clothing - card file

Personal Effects; Investigation; Base Property Log; Serialized Blank Forms Register-Log Book

Letters of Appointment/Authorization; Voucher Files, investigations; Quarterly inventories of Sets, Chests and Kits - paper records in file folders.

Retrievability:

ECR - files by unit or responsible officer

IMR; Individual Weapons and Accessories; Special Clothing - filed alphabetically by name

Personal Effects, Investigation Log; Letter of Appointment/Authorization; Voucher Files; Base Property Log; Serialized Blank Form Register; Quarterly Inventory of Sets, Chests and Kits - as it occurs by name.

Safeguards:

IMR; Individual Weapons and Accessories Records - maintained in secured area within armories accessible only to personnel authorized to be in the area.

ECR; Personal Effects Log; Letters of Authority; Voucher Files; Investigations; Special Clothing; Base Property Log; Serialized Blank Forms Register; Quarterly Inventory of Sets, Chests and Kits - Personnel within supply/S-4 sections authorized access, no special safeguard implemented.

Retention and disposal:

ECR; IMR; Weapons Custody Records; Special Clothing retain until accountable balance is zero.

Personal Effects Log; Quarterly Inventory of Sets, Chests and Kits - one year.

Letters of Appointment/Authorization - five (5) years.

Voucher Files; Investigation Log; Base Property Log; Serialized Blank Forms Register - two years.

All files may be destroyed after being maintained the required timeframe.

Investigations - Two years after the end of the fiscal year in which the investigation was completed.

System manager(s) and address:

Division Supply Officers, Marine Corps Division; Wing Supply Officers, Marine Corps Aircraft Wings. See Directory of Department of the Navy Activities for mailing address.

Notification procedure:

Apply to SYSMANAGER

Record access procedures:

Rules for access may be obtained from SYSMANAGER

Written requests for information should contain the full name, grade and SSN of the individual as well as the unit to which he is/was attached which would reflect information pertaining to him.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual and/or individual's SRB or OQR or other listing unit may have which contains required information.

Incoming messages for Special Order Clothing.

Base Locator.

Completed investigations submitted.

Systems exempted from certain provisions of the act:

None

MIL00022

System name:

Delinquent Clothing Alteration List

System location:

System is decentralized. Records are maintained at Marine Corps Commands, organizations, or activities that alter clothing.

Categories of individuals covered by the system:

List of personnel who have failed to pick up altered clothing.

Categories of records in the system:

Contains an alphabetical listing of personnel who have failed to pick up clothing which has been altered for them.

Authority for maintenance of the system:

Title 5, U.S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Clothing Branch Officer in Charge to notify the respective Commanding Officers of personnel listed, that uniforms have been altered and need to be picked up.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards/File Folders

Retrievability:

Alphabetical by unit assigned.

Safeguards:

After working hours, the office and building are locked. Guards are located in the general vicinity.

Retention and disposal:

Maintained for two years, then destroyed.

System manager(s) and address:

Clothing Officer of the activity concerned.

Notification procedure:

Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are listed in the Navy Standard Distribution List (OPNAV P09B3-107).

Record access procedures:

Written requests from individuals should be addressed to the Commanding Officer of the activity concerned. Activity addresses are as reported in the Navy Standard Distribution List.

Written requests should include name and social security number. Personal visits may be made to the installation in question.

Contesting record procedures:

The Marine Corps rules for appealing may be obtained from the SYSMANAGER.

Record source categories:

Cards filled out by personnel when leaving clothing for alteration.

Systems exempted from certain provisions of the act:

None

MIN00001

System name:

Personnel Security Eligibility and Access Information System

System location:

Primary system - Headquarters, U S Marine Corps, Washington, D C 20380.

Secondary system - Local activity to which individual is assigned (See List of Marine Corps Activities, MCO P5400.6—).

Categories of individuals covered by the system:

Members of the U S Marine Corps and Marine Corps Reserve, former members, applicants for enlistment or commissioning, Marine Corps civilian employees, and other persons whose status or position effects the security, order, or discipline of the Marine Corps.

Categories of records in the system:

Files contain reports of personnel security investigations, criminal investigations, counterintelligence investigations, correspondence, records and information pertinent to an individual's acceptance and retention, personnel security clearance and access, assignment to personnel reliability programs and other high risk or compartmented information programs requiring personnel quality control.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the U S Marine Corps in the performance of their official duties related to personnel security eligibility and access.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office.

Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other

matters under the jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

State and local government agencies in the performance of their official duties.

Officials and employees of the Department of the Navy in the performance of their official duties.

Official employees of the Department of Defense in the performance of their official duties.

Officials and employees of other agencies of the Executive Branch of the government, upon request, in the performance of their official duties.

Senate or the House of Representatives of the United States or any committee or subcommittee thereof, requiring disclosure of the files or records of individuals covered by this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and index cards. Some information in contained in automated files or on computer tapes.

Retrievability:

Filed alphabetically by last name of individual or by social security number.

Safeguards:

Stored in locked safes or cabinets. File areas are accessible only to authorized persons who are properly screened, cleared, and trained.

Retention and disposal:

Records and portions thereof vary in period of time retained. Records are retained and disposed of in accordance with Department regulations.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Decentralized system managed by local command.

Notification procedure:

Requests by correspondence should be addressed to Commandant of the Marine Corps (Attn: Privacy Act Coordinator), Headquarters, U S Marine Corps, Washington, D C 20380 or in accordance with the list of Marine Corps activities. The letter should contain full name, social security number, rank/rate/civilian status, address and notarized signature of the requester. The individual may visit Headquarters, U S Marine Corps, Arlington Annex (FOB 2), Washington, D. C. for assistance with records located in that building or any Marine Corps activity for access to locally maintained records. Prior written notification of personal visits are required to ensure that all parts of the records will be available at the time of the visit. Proof of identity will be required and will consist of a military identification card, driver's license or similar picture-bearing identification.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the U S Marine Corps, Departments of the Navy and Defense and other departments and agencies of the Executive Branch of government, and components thereof, in performance of their official duties and as specified by current instructions and regulations promulgated by competent authority. Civilian and military investigative reports. Federal, state and local court documents. Fingerprint cards. Official correspondence concerning individual.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5, U S Code 552 a (j) or (k), as applicable. For additional information contact the SYSMANAGER.

MIN00002

System name:

POW/MIA Intelligence Analysis and Debrief Files

System location:

Primary system - Headquarters, U. S. Marine Corps, Washington, D. C. 20380. Major Marine Corps commands maintain derivative files.

Categories of individuals covered by the system:

Members of the U. S. Marine Corps or Marine Corps Reserve either currently or previously held prisoner of war (POW), detained by hostile forces or declared missing in action (MIA).

Categories of records in the system:

Narrative of loss incident; investigations regarding loss incident; casualty reports; intelligence reports possibly identifying subject; articles, statements, lists and photographs published in the world news media or broadcast over hostile public radio; portions of official debriefings or debriefing summaries; and analytical evaluation of information contained in file.

Authority for maintenance of the system:

Title 5, U. S. Code 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the U. S. Marine Corps in the performance of their official duties related to POW/MIA's.

Officials and employees of the other services and Department of Defense in the performance of their official duties related to POW/MIA's.

Senate or the House of Representatives of the United States or any committees or subcommittees thereof, requiring disclosure of the files or records of individuals covered by this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; photographs, film and tape recordings.

Retrievability:

Filed alphabetically by last name of individual.

Safeguards:

Secured in GSA approved security containers within locked office spaces. Access is granted only to those authorized persons who are properly cleared and having a need-to-know.

Retention and disposal:

Records maintained within Marine Corps Intelligence Division as long as individual's status remains POW/MIA. Record is retired to Marine Corps Historical Division 2 years after return to U. S. control or when status is changed to KIA/KIA-BNR.

System manager(s) and address:

Commandant of the Marine Corps, Code INTC, Headquarters, U. S. Marine Corps, Washington, D. C. 20380.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

Rules for access may be obtained from SYSMANAGER.

Contesting record procedures:

Rules for access may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Other records of the activity; investigators; witnesses; correspondents; intelligence reports from the services, Defense Intelligence Agency, Central Intelligence Agency, State Department and other government agencies; Foreign Broadcast Information Service; newspapers, magazines; television; radio; and movies.

Systems exempted from certain provisions of the act:

None

MIS00001

System name:

Personnel Management Subsystem, RESOURCE CONTROL SYSTEM (RCS)

System location:

Primary System - The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Decentralized Segments - all data processing activities to which the individual is attached. Addresses are shown in the Navy Standard Distribution List. (OPNAV PO9B3-107)

Categories of individuals covered by the system:

All Marine Corps officer, enlisted and civilian personnel at Commands with data processing installations.

Categories of records in the system:

File contains personal identifying information such as name, rank/grade, MOS, billet description, training, skills and T/O line numbers.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps Commands, activitites and organizations - To provide officials and employees of the Marine Corps with accurate information regarding personnel, military and civilian, including their technical education, qualifications and skills in the performance of official duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape or disk.

Retrievability:

By a key number assigned to an individual.

Safeguards:

Restricted access to areas where maintained.

Retention and disposal:

File is maintained on individual as long as he is in a data processing activity. Information pertaining to individual so removed is erased from tape.

System manager(s) and address:

The Commandant of the Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from the individual Command to which an individual is assigned for duty. Addresses of individual commands are listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures:

Written requests from individuals should be addressed to the Commanding Officer of the activity at which the data processing installation to which he is attached or located. Installation addresses are as reported in the Navy Standard Distribution List.

Written requests should include name and social security number.

Personal visits may be made to the installation in question during any normal workday between the hours of 8:00 am - 4:30 pm. For personal visits, the individual should have valid personal identification.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER

Record source categories:

The primary source is the individual, however, the individual's Commanding Officer or the Commanding Officer's designated representative provides information into the system as the individual fulfills certain criteria.

Systems exempted from certain provisions of the act:

None

MJA00001

System name:

Business Complaint File

System location:

Tri-Command Legal Assistance Office, Marine Corps Base, Camp Lejeune, North Carolina 28542.

Categories of individuals covered by the system:

Businesses which have generated complaints by clients at Legal Assistance Office.

Categories of records in the system:

Affidavits of individuals involved in incidents which give rise to such complaints.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Legal Assistance Officers to resolve problem locally or forwarded to the North Carolina Attorney General's Office and/or Armed Forces Disciplinary Control Board as appropriate for settlement of complaint.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Arranged by type business and alphabetically by name of business within types. Requires conventional indices for retrievability.

Safeguards:

Maintained in locked building.

Retention and disposal:

Maintained locally so long as file is active, or two years if inactive. Not transferred. Destroyed by discard in military trash system.

System manager(s) and address:

Commanding General (Attn: Tri-Command Legal), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: Area Code 919/451-3218.

Notification procedure:

Requests for information should be addressed to the Systems Manager. Requester may also visit office. Military ID card or other suitable identification will be required.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual complainants.

Systems exempted from certain provisions of the act:

None

MJA00002

System name:

Staff Judge Advocate Working Papers

System location:

Commanding General, Marine Corps Development and Education Command, Marine Corps Base, Quantico, Virginia 22134

Categories of individuals covered by the system:

Persons appealing Article 15 punishment and traffic court rulings; persons referred to a court-martial; persons awaiting special and general court-martial; persons confined at the Correctional Facility in excess of 30 days; lawyers assigned to be on call for a given period; officers punished under Article 15, UCMJ; and persons selected to sit as members of a court-martial.

Categories of records in the system:

File contains information relating to nonjudicial punishment appeals, the reason for the appeal and the response of the officer appealed; traffic court appeals; counsel assignments to individual referred to a court-martial; weekly case listings including type of offense, counsel assigned and dates per- taining to each case; excess 30 day pretrial confinement letters including the approval/disapproval by the CG for extending the period of confinement; duty lawyer roster; officers' punishments including offense, punishment and statement of desire to appeal or not; weekly docket list; and court-martial members questionnaire including age, duty assignment, summary of past duties, marital status, children, and matters pertaining to past schooling and assignments.

Authority for maintenance of the system:

Title 10, U. S. Code 801, et. seq.; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff Judge Advocates Office, Marine Corps Development and Education Command - to prepare SJA's advice to officer appealed to in appeals of nonjudicial punishments; to monitor the fairness of traffic court proceedings; to determine which counsel is assigned to each court-martial case; to inform members of MCDEC with a need to know the status of individual court-martial cases; to expedite cases where individuals have been confined in excess of 30 days; to provide a list of duty counsels for Base security organizations; to keep track of the status of pending cases; and to determine which persons selected to sit as members of a court-martial counsel may wish to challenge.

Marine Corps Commands - by officials and employees of the Marine Corps in the execution of their official duties.

Department of Defense and its Components - by officials and employees of the Department in the performance of their official duties.

The Attorney General of the U. S. - by officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the

Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - by officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U.S. - by the Senate or the House of Representatives of the U.S. or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files of the system.

The Comptroller General of the U.S. - by the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and card files.

Retrievability:

Alphabetically

Safeguards:

Kept behind locked doors with security guard in building at night.

Retention and disposal:

Most records are retained for two years. Duty lawyer rosters and weekly docket lists are retained for one year. All records are destroyed at the end of the retention period.

System manager(s) and address:

Commanding General, Marine Corps Development and Education Command.

Notification procedure:

Information may be obtained from:
Commanding General
Marine Corps Development and Education Command (Code B 052),
Marine Corps Base
Quantico, Virginia 22134
Telephone: Area Code 703/640-2776

Record access procedures:

Requests from an individual may be addressed to: Commanding General, Marine Corps Development and Education Command (Code B 052), Marine Corps Base, Quantico, Virginia 22134.

Written request for information should contain the full name and grade of the individual.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals

Systems exempted from certain provisions of the act:

None

MJA00003

System name:

Magistrate Court Case Files

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

Civilians pending and tried by the assigned Federal magistrate for crimes committed on military reservation.

Categories of records in the system:

Investigative reports, complaints, summons and warrants.

Authority for maintenance of the system:

Title 18, U S Code 3041; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military Prosecutor for preparation of cases for trial by military prosecutor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name. Conventional indices are required for retrieval.

Safeguards:

Maintained in file cabinet in locked building.

Retention and disposal:

Retained and destroyed in accordance with SECNAVINST 5212.5B.

System manager(s) and address:

Commanding officer of activity concerned. See Directory of Department of Navy Mailing Addresses.

Notification procedure:

Individual is personally served with a subpoena and is shown the file. Requires name for entry.

Record access procedures:

Contact SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Law enforcement reports, bad check transmittal letters from Government agencies.

Systems exempted from certain provisions of the act:

None

MJA00004

System name:

In Hands of Civil Authorities Case File

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

All military personnel who are in hands of civil authorities or have charges pending against them by civil authorities.

Categories of records in the system:

Civil court documents, advice to respondent, health statements/certificates and supporting documents pertaining to individual's status.

Authority for maintenance of the system:

Title 10, U S Code 814; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Working file utilized in administrative processing of individuals in hands of civil authorities. Used by command personnel in the execution of their official duties in processing individual for report of misconduct and discharge proceedings in accordance with Marine Corps Separation Manual.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual by calendar year in which processing is completed.

Safeguards:

Records are stored in metal file cabinets in Base Adjutant's office in Building 1, where full-time security is maintained during off-duty hours. Accessible only to authorized personnel in the execution of their official duties.

Retention and disposal:

On discharged personnel, record incorporated into administrative discharge file. Others retained for two years after completion of calendar year in which processed, then destroyed in accordance with the Navy and Marine Corps Records Disposal Manual.

System manager(s) and address:

Commanding officer of activity concerned. See Directory of Department of Navy Mailing Addresses.

Notification procedure:

Requests should be addressed to the SYSMANAGER. Requester must be able to provide satisfactory identifying information.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Service records, health records, civil court documents, law enforcement personnel and various DOD Agencies.

Systems exempted from certain provisions of the act:

None

MJA00005

System name:

Financial Assistance/Indebtedness Files

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

Marines identified as owing debts and/or having dependents requiring financial aid.

Categories of records in the system:

File contains name, rank, social security number, military occupational specialty, component, marital and dependency status and supporting documents pertaining to indebtedness and/or financial assistance required.

Authority for maintenance of the system:

Title 10, U. S. Code; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Working file once inquiry initiated. Used by command personnel in the execution of their official duties of processing inquiry. Once processing is completed, record is filed in command office of record official correspondence file.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Chronologically by date of response.

Safeguards:

File accessible only to authorized personnel in the execution of their official duties. Maintained in locked building with full time duty personnel present during non-working hours.

Retention and disposal:

Retained for two years and disposed of in accordance with Navy Marine Corps Records Disposal Instructions.

System manager(s) and address:

Commanding officer of activity concerned. See Directory of Department of Navy Mailing Addresses.

Notification procedure:

Requests should be addressed to the SYSMANAGER. Requester must be able to provide satisfactory identifying information.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Previous and current commanders, private individuals and agencies.

Systems exempted from certain provisions of the act:

None

MJA00006

System name:

2nd Marine Aircraft Wing General Correspondence Files for Legal Administration

System location:

Office of the Wing Staff Judge Advocate, 2nd Marine Aircraft Wing, Cherry Point, North Carolina 28533

Categories of individuals covered by the system:

File contains information on individuals who have appealed nonjudicial punishment, individuals who have been recommended for administrative discharge whose cases have been reviewed by Staff Judge Advocate, individuals who have been served with civil process, correspondence from civilian and military agencies or persons requesting assistance in the completion of legal related problems on individuals. Individuals is defined to mean military personnel assigned to 2nd Marine Aircraft Wing.

Categories of records in the system:

Files contain the name, rank, social security number, unit, and all data applicable to a person's appeal of nonjudicial punishment, the Staff Judge Advocate's review of administrative discharge recommendations, copies of process served on military personnel by civilian authorities, and correspondence relating to information in the files.

Authority for maintenance of the system:

Title 5, U. S. Code 301; Title 10, U S Code 801 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Staff Judge Advocate, 2nd Marine Aircraft Wing and his representatives in the execution of assigned duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files are filed alphabetically.

Safeguards:

Files are maintained in file cabinets within locked office space during nonworking hours.

Duty personnel perform security checks throughout the building during nonworking hours.

During working hours assigned office personnel are within the immediate area of the files.

Retention and disposal:

Files are maintained two years from the date of final action.

System manager(s) and address:

Staff Judge Advocate, 2nd Marine Aircraft Wing, Marine Corps Air Station, Cherry Point, North Carolina 28533

Notification procedure:

Information may be obtained from:
Staff Judge Advocate
Staff Code 17
Marine Corps Air Station
Cherry Point, North Carolina 28533
Telephone: 919/466-2444

Record access procedures:

Request from individuals should be addressed to: Staff Judge Advocate Staff Code 17, Marine Corps Air Station, Cherry Point, North Carolina 28533

Written requests for information should contain the full name of the individual, social security number, and reason for requesting the information.

For personal visits the individual must be either in appropriate uniform or present adequate identification.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals
Service record book
Medical Records
Investigative files of CID, NIS, FBI, Military Commands.

Systems exempted from certain provisions of the act:

None

MJA00007

System name:

Delivery Agreement

System location:

All Marine Corps Activities at Legal Office or Office of the Staff Judge Advocate

Categories of individuals covered by the system:

Marines arrested under criminal warrant by civilian authorities

Categories of records in the system:

Written agreement releasing the Marine to civilian authorities. Form contains the nature of the civilian charges for which the Marine is being arrested

Authority for maintenance of the system:

Title 10, U. S. Code 814; Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Notification to activity that one of its members has been arrested by civilian authorities and also notifying the activity of the nature of the charges. This form also notifies the peace officer involved of his obligations to transport the military individual from and back to the military installation.

Basis for preparing requisite personnel records necessitated by arrest and taking personnel actions occasioned thereby.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in respective case record Staff Judge Advocate Office

Retrievability:

Alphabetical

Safeguards:

Limited number are distributed and all are considered FOR OFFICIAL USE ONLY

Retention and disposal:

2 years

System manager(s) and address:

Staff Judge Advocate/Legal Officer, Local Marine Corps Activity

Notification procedure:

Information may be obtained from:
Staff Judge Advocate/Legal Officer
Local Marine Corps Activity

If local activity concerned is not known, contact the Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D. C. 20380

Record access procedures:

Requests should be addressed to the Legal Office/Office of Staff Judge Advocate, Local Marine Corps Activity

Contesting record procedures:

The SYSMANAGER should be contacted for rules governing individual cases

Record source categories:

Warrant for arrest presented by arresting civil authority

Systems exempted from certain provisions of the act:

None

MJA00008

System name:

Letters of Indebtedness/Credit Inquiry

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

File on all Marines who receive letters of indebtedness

Categories of records in the system:

All correspondence and findings pertaining to the letter in question.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintain a record of credit inquiries and alledged letters of indebtedness received from various firms and individuals, to conduct an investigation to determine validity prior to taking final action. Available to Personnel Officer, Legal Officer, and Commanding Officer, Headquarters Battalion.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Individual file folders

Retrievability:

By name and date

Safeguards:

Maintained in Headquarters files

Retention and disposal:

One year

System manager(s) and address:

Commanding officer of activity concerned. See Directory of Department of Navy Mailing Addresses.

Notification procedure:

Information may be obtained from:
Commanding Officer, Headquarters Battalion (Code 200)
Marine Corps Supply Activity
Philadelhpia, Pennsylvania 19146

Record access procedures:

Requests from individuals should be addressed to: Commanding Officer, Headquarters Battalion (Code 200), Marine Corps Supply Activity, Philadelphia, Pennsylvania 19146

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Complaintant, other investigating officials and individual concerned

Systems exempted from certain provisions of the act:

None

MJA00009

System name:

Marine Corps Command Legal Files

System location:

All Marine Corps commands whose commander has the authority to convene a special court-martial (See Title 10, U S Code 826 and List of Activities in the Directory of Department of the Navy Activities).

Categories of individuals covered by the system:

Civilian employees of the Department of Defense or guests who have visited Marine Corps installations who have allegedly committed criminal offenses aboard a military installation or whose conduct has been subject to investigation.

Any Marine or Navy service member who is the subject of the disciplinary action under the provisions of the Uniform Code of Military Justice (Title 10, U S Code 801, et. seq.); who has been the subject of administrative discharge action pursuant to the ———— provisions of Marine Corps Order P1900.16—); or who has been the subject of an investigation (JAG Manual investigations) convened pursuant to the provisions of the Uniform Code of Military Justice or the Manual of the Judge Advocate General (JAG Instruction 5800.7—) or any other type of investigation or inquiry.

Categories of records in the system:

Records of disciplinary proceedings, including courts-martial records and records of non-judicial punishments with supporting documents, military justice management information pre-post trial (e.g., courts-martial docketing logs, reports of cases tried, etc.), pre-disciplinary inquiries and investigations and documentation pertaining to post-hearing/trial review, clemency action, appellate leave or other personnel action related to or resulting from courts-martial, JAG Manual investigations pertaining to claims, line of duty misconduct determinations, command irregularities, and unusual incidents or accidents with supporting documentation and post-investigation review and actions. Inquiries made into incidents or situations which result in disbarment of an individual or firm from entry upon a military installation, referral to base traffic court or civilian, federal, state or local judicial or law enforcement authorities. Recommendations for administrative discharge with supporting documentation, including records of any hearing held and any review or other action taken with respect to the discharge recommendations.

Authority for maintenance of the system:

Title 5, U S Code 301; Title 10, U S Code 801, et. seq.; Title 18, U S Code 382

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Serves as a command historical file

In the case of courts-martial records serves as a public record.

Serves as the basis for taking appropriate action with respect to incidents which have been investigated or have been the subject of disciplinary action.

Serves as a source of information for military, federal other law enforcement authorities for taking action.

Serves as a management system for the military justice activities.

Members of Congress, officials of the Department of Defense, civilian law enforcement officials, General Accounting Office, other federal state or local agencies in the execution of their official duties in relation to inspections, investigations, legal action and administrative action.

Serves as a source from which information is provided to host foreign country officials re criminal activities by American nationals in foreign countries.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files by name of service member involved or chronologically with cross-reference to individual involved.

Safeguards:

Records are kept in either locked cabinets or guarded or locked buildings.

Retention and disposal:

Two years or as provided in the Manual of the Judge Advocate General (JAG Instruction 5800.7—).

System manager(s) and address:

Commanding officer of the unit concerned. See Directory of Department of the Navy Activities for addresses. If unit not known, information may be obtained from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Write or visit SYSMANAGER. If unit concerned cannot be determined, information may be sought from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380. Provide full name, social security number and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contest may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, witnesses to the incident in question or parties concerned therewith, officer investigating the incident, documents or items of real evidence, documents pertaining to the review, action or authorities charged with making a review or taking action.

Systems exempted from certain provisions of the act:

None

MJA00010

System name:

Unit Punishment Book

System location:

All U S Marine Corps and U S Marine Corps Reserve units, whose commander has nonjudicial punishment authority (See 10, U S Code 815)

Categories of individuals covered by the system:

Any enlisted Marine who is charged with a violation of the Uniform Code of Military Justice.

Categories of records in the system:

File contains name, rank, social security number, military occupational specialty and unit of the individual, brief summary of the alleged offense including date, time and place. Acknowledgement of rights under Article 31, Uniform Code of Military Justice, and right to demand trial by Courts-Martial by the individual, record of specific punishment awarded or remarks as to disposition of charge. If punishment was awarded the individual will also acknowledge, in writing, his right to appeal.

Authority for maintenance of the system:

Title 10, U S Code 815; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referral sheet for evaluation of conduct. To provide a command historical record of nonjudicial punishments. To complete statistics on disciplinary trends. Officials and employees of the Naval Service, Department of Defense, members of congress and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in loose leaf binder.

Retrievability:

Alphabetically by last name and by year.

Safeguards:

Access limited to those with a need-to-know. Records kept in a locked cabinet or in a room which is locked.

Retention and disposal:

3 years, destroyed by burning at end of period.

System manager(s) and address:

Unit Commanders of U S Marine Corps or U S Marine Reserve units authorized to administer nonjudicial punishment.

Notification procedure:

Write or visit SYSMANAGER If unit imposing punishment cannot be determined, information may be sought from Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Verbal or written charge from individual subject to Uniform Code of Military Justice. Service record book of individual, Nonjudicial punishment hearing.

Systems exempted from certain provisions of the act:

None

MJA00011

System name:

Delinquent Mail Order Account System

System location:

Women's Clothing Outlet, Depot Service and Supply Department, Marine Corps Recruit Depot, Parris Island, South Carolina 29905
On accounts delinquent in excess of ninety days to Headquarters, U S Marine Corps (Code JAM) Collection Agent

Categories of individuals covered by the system:

Any Woman Marine who purchases clothing until payment has been completed or payment is delinquent in excess of ninety days.

Categories of records in the system:

File contains information extracted from the Women's Individual Clothing Request (NAVMC 10711)

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To ensure prompt payment of Mail Order Clothing
To establish delinquent account follow-up

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in computer for a period of ninety days after date of shipment. Record then passed to Headquarters, U S Marine Corps (Code JAM).

Retrievability:

Bill number
Individual's name

Safeguards:

Records maintained in computer and can only be requested by authorized personnel.

Retention and disposal:

Records are maintained until payment completed but not to exceed a ninety day period after date of shipment. Then by Headquarters, U S Marine Corps (Code JAM) until indebtedness is satisfied.

System manager(s) and address:

Commanding General, Marine Corps Recruit Depot, Parris Island, South Carolina. 29905

Notification procedure:

Information may be obtained from:
Women Marine's Clothing Outlet
Depot Service and Supply Department
Marine Corps Recruit Depot
Parris Island, South Carolina 29905

Record access procedures:

Written requests for information should contain the full name of the individual, social security number, current address.

For personal visits, the individual should be able to provide a military identification card.

Contesting record procedures:

The Department's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual submits mail order for articles of uniform clothing, provides name, SSN, mail address, item of clothing desired.

Systems exempted from certain provisions of the act:

None

MJA00012

System name:

Individual Accounts of Mail Order Clothing (bill file)

System location:

Clothing Section (MAU), Direct Support Stock Control Branch, Materiel Division, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704

Categories of individuals covered by the system:

File pertains to all Marine Corps personnel, active, reserve and retired who have a requirement and are authorized clothing, textiles and other related supplies.

Categories of records in the system:

Record includes individual's name, rank, SSN, military address, bill number, dollar amount of the shipment, shipping date and zip code.

Authority for maintenance of the system:

NAVCOMPT Manual, Part C, Collection and Reporting of Debts Due the United States.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps Logistics Support Base, Atlantic, Albany, Georgia. To facilitate in a mechanized atmosphere the collection of information necessary to provide the capability of continued follow up on funds owed and due the U S Government through daily billing, cross referencing and processing of mail order clothing individual accounts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored on magnetic tapes and computer paper printouts.

Retrievability:

Data can be retrieved by account number, name and social security number.

Safeguards:

Computer printouts and source documents are retained in a single office accessible only to authorized personnel. Employees are properly trained in safeguarding information of a personal nature.

Retention and disposal:

Computer records are retained until the bills are satisfied. Computer printouts and source documents are retained for a period of five years. Destruction of records is by mutilation.

System manager(s) and address:

Commanding General, Marine Corps Logistics Support Base, Atlantic Albany, Georgia 31704.

Notification procedure:

Information may be obtained from:
Clothing Section (MAU), Direct Support Stock Control Branch, Materiel Division
Marine Corps Logistics Support Base, Atlantic
Albany, Georgia 31704
Telephone: Area Code 912/439 5837

Record access procedures:

Written requests from individuals should be addressed to Clothing Section (MAU), Direct Stock Control Branch, Materiel Division, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia 31704.

Contesting record procedures:

The agency's rules for access to records, contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Accounting records of the Clothing Section, Direct Support Stock Control Branch, Marine Corps Logistics Support Base, Atlantic, Albany, Georgia, supplemented with information from the employing activity of the individual.

Systems exempted from certain provisions of the act:

None

MJA00013

System name:

Dishonored Personal Check Records and Withdrawal of Check Cashing Privileges Lists

System location:

Each Appropriated and Non-Appropriated Fund Activity having authority to accept personal checks from authorized patrons. Located at Headquarters, U S Marine Corps and each major Marine Corps installation listed in MCO P5400.6G.

Categories of individuals covered by the system:

All military personnel, active and retired; their authorized dependents and dependents of deceased military retirees; Marine Corps Exchange employees.

Categories of records in the system:

File Bulletins containing name, rank, social security number and expiration date of restriction of privileges and related correspondence.

Authority for maintenance of the system:

Title 5, U S Code 301; Title 18, U S Code 13; Title 10, U S Code 801, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose is to protect the activity from unnecessary losses and advise Commanders when a bad check offense has been committed by a patron. Used by Marine Corps employees tasked with verifying the information and authorized to cash checks as part of their official duties. Used also to notify Commanders of their personnel who have cashed bad checks. Used by Commanders to take action (administrative or criminal) deemed necessary in the exercise of their official responsibilities. Information there from may be provided to federal, state or local law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in Rolodex or other appropriate file in check cashing area. Published Bulletin is stored in directives system of organizations.

Retrievability:

Alphabetical by name and social security number.

Safeguards:

Access limited. Secured in locked building during nonworking hours.

Retention and disposal:

Destroyed when privileges are restored at the expiration of specified periods made known to the individual at the time privileges are revoked.

System manager(s) and address:

Commanding Officer of activity concerned. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Inquire in person at the individual check cashing activity or to the SYSMANAGER.

Record access procedures:

Rules for access can be provided by the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Bad checks returned from the bank; notification from other Commands, Federal Bureau of Investigation, Naval Investigative Service or other state, local or Federal investigative agencies or Treasury Department.

Systems exempted from certain provisions of the act:

None

MJA00014

System name:

File of Confidential Statements of Employment and Financial Interests

System location:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Senior Marine Corps officers whose fitness reports are written by the Commandant of the Marine Corps and who are required to file confidential statements of 'Employment and Financial Interests' (DD Form 1555) in accordance with DOD Directive 5500.7 of 8 August 1967.

Categories of records in the system:

The file contains copies of the 'Confidential Statements of Employment and Financial Interests' (DD Form 1555), reviews thereof, and related correspondence.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The forms are reviewed in the office of the Director, Judge Advocate Division for conflict of interest and then are kept on file along with any correspondence generated thereby for the purpose of insuring that the information relating to potential conflict of interest on the part of senior Marine Corps officers is available to the Commandant of the Marine Corps or his designees, GAO, and federal law enforcement officials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

Alphabetical

Safeguards:

The access to the files is limited.
The files are kept in a locked safe during non business hours.

Retention and disposal:

PerSecNav Disposal Manual

System manager(s) and address:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Director Judge Advocate Division
Headquarters, U S Marine Corps (Code JA)
Washington, D C 20380
Telephone: Area Code 202/694-2737.

Record access procedures:

Request from individuals should be addressed to: Commandant of the Marine Corps, Headquarters, U S Marine Corps (Code JA), Washington, D C 20380.

Written requests for information should contain the full name and grade of the individual concerned.

Contesting record procedures:

The rules for contesting contests and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

DD Form 1555 submitted by individual concerned and correspondence from and to SYSMANAGER

Systems exempted from certain provisions of the act:

None

MJA00015

System name:

Indebtedness Correspondence Record

System location:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Categories of individuals covered by the system:

Alphabetical card file of all Marine's with respect to whom indebtedness correspondence has been received at Headquarters, U S Marine Corps.

Categories of records in the system:

The file contains the individuals name, rank, service number, date the letter of indebtedness was received, date action is taken with respect to the name of the company from whom the letter is received and any relevant followup data.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File is used purpose of maintaining a record of correspondence received regarding indebtedness case of Marine Corps personnel and a record of the action taken by this Headquarters with respect thereto.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card File.

Retrievability:

Alphabetical

Safeguards:

The access to the cards is limited.
The card file is kept in a locked room during non business hours.

Retention and disposal:

PerSecNavDisposalManual

System manager(s) and address:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Director, Judge Advocate Division
Headquarters, U S Marine Corps (Code JA)
Washington, D C 20380
Telephone: Area Code 202/694-2737.

Record access procedures:

Request from individuals should be addressed to: Commandant of the Marine Corps, Headquarters, U S Marine Corps (Code JA), Washington, D C 20380.

Written requests for information should contain the full name and grade of the individual concerned.

Contesting record procedures:

The agencies rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Individual and commercial creditors.

Systems exempted from certain provisions of the act:

None

MJA00016

System name:

Judge Advocate Division 'D' Files

System location:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

All Marine Corps Judge Advocates currently on active duty, in a reserve capacity and those individuals who have been selected for accession into the Marine Corps as Judge Advocates or who are in the training cycle to become Judge Advocates.

Categories of records in the system:

The file contains correspondence from the Judge Advocates and prospective Judge Advocates regarding requests for personnel actions such as transfer, school assignment, etc. Additionally, the file contains information pertaining to judge advocate qualifications such as schooling results, commendatory matter and derogatory matter which bears on the assignment and other personnel matters relating to judge advocates.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

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The personnel of the Judge Advocate Division, officer and civilian alike as well as Marine Corps personnel responsible for assignment and other personnel actions respecting Judge advocates utilize the material contained in this file for the purpose of making decisions with respect to personnel actions pertaining to judge advocates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Alphabetical

Safeguards:

Access is limited.
The records are kept in file cabinets within a locked room.

Retention and disposal:

PerSecNavRecordsDisposalManual

System manager(s) and address:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Director, Judge Advocate Division
Headquarters, U S Marine Corps (Code JA)
Washington, D C 20380
Telephone: Area Code 202/694-2737

Record access procedures:

Requests from individuals should be addressed to: Director, Judge Advocate Division, Headquarters, U S Marine Corps (Code JA), Washington, D C 20380.
Written requests should contain the full name and grade of the individual.

Contesting record procedures:

The agencies rules for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER

Record source categories:

Individuals.
Service records of the individuals involved.
Staff Judge Advocates and Commanders of the individuals involved.
Schools from which the individuals have obtained their graduate or undergraduate degrees or currently in residence.

Systems exempted from certain provisions of the act:

None

MJA00017

System name:

Correspondence Branch, JA Division, HQMC Correspondence Control Files

System location:

The Commandant of the Marine Corps (Code JAC), Headquarters, U S Marine Corps, Washington, D C 20380.

Categories of individuals covered by the system:

Marines or former Marines who have been the subject of correspondence from a member of Congress, a high level official in the Federal executive branch, parents of such an individual, individual Marines or members of the general public which correspondence concerns legal matters.

Categories of records in the system:

File contains the incoming correspondence, backup material used to respond to the correspondence, notes of the action officer and reply correspondence.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officers, enlisted men and civilian personnel of the Marine Corps and other DOD agencies who are interested in determining the history of and action taken with respect to a problem addressed in incoming correspondence category above.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Alphabetical by name of correspondent or name of Marine or former Marine who is the subject of the correspondence.

Safeguards:

Limited access on a need to know basis.
Maintained in a locked room.

Retention and disposal:

PerSecNavRecordsDisposalManual

System manager(s) and address:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Director, Judge Advocate Division
Headquarters, U S Marine Corps (Code JAC)
Washington, D C 20380
Telephone: Area Code 202/694-2737

Record access procedures:

Requests from individuals should be addressed to Director, Judge Advocate Division, Headquarters, U S Marine Corps (Code JAC), Washington, D C 20380.
Written requests for information should contain the full name and grade of the individual.

Contesting record procedures:

The agencies rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Drafter of incoming correspondence.
Service records of the Marine concerning whom correspondence is written.
Information furnished from the command of the Marine concerned.
Information furnished from other involved Marine Commands or individuals.

Systems exempted from certain provisions of the act:

None

MJA00018

System name:

Performance File

System location:

The Director, Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Categories of individuals covered by the system:

The file pertains to all members of the Marine Corps on active duty or in a reserve status who are under investigation, indictment, or in the process of a criminal proceeding by military or civilian authorities.

Categories of records in the system:

The file contains information pertaining to civilian and military criminal matters including investigative reports, documents indicating court proceedings have begun and/or are in progress and post trial or investigative matters. Material is kept only until the procedure is finalized whether by conviction, acquittal, dismissal of the matter or by it's being dropped.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps personnel utilize this file in personnel management decisions. Such as determining the propriety of assignments, transfers of individuals or determining whether an individual who has been selected for promotion should be promoted or whether that promotion should be withheld during the pendency of the criminal proceeding.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Alphabetical

Safeguards:

Access is limited.

The file folders are stored in the file cabinets which are stored in a locked room during non business hours.

Retention and disposal:

PerSecNavRecordsDisposalManual

System manager(s) and address:

The Director Judge Advocate Division, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
Director Judge Advocate Division
Headquarters, U S Marine Corps (Code JA)
Washington, D C 20380
Telephone: Area Code 202-694-2737

Record access procedures:

Requests from individuals should be addressed to Director Judge Advocate Division, Headquarters, U S Marine Corps (Code JA), Washington, D C 20380.
Written requests for information should contain the full name and grade of the individual.

Contesting record procedures:

The agencies rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Investigative records of arrest from civilian law enforcement sources.
Records of indictment or conviction from civilian law enforcement or judicial agencies.
Records of appeallate and other post trial procedures received from civilian law enforcement and judicial agencies.
Records indicating apprehension or investigation by military authorities received from individuals command or other military agencies, law enforcement or command.
Records of court-martial, pre court-martial and post court-martial activities relating to the individual received from the individuals command.
Records of administrative eliminative processes conducted by military authorities received from the individual's command.

Systems exempted from certain provisions of the act:

None

MMC00002

System name:

Working Files, Inspection Division, Headquarters, U S Marine Corps

System location:

Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Members of the U S Marine Corps and Marine Corps Reserve; former members of the Marine Corps and Marine Corps Reserve; retired and temporarily retired members of the Marine Corps and Marine Corps Reserve; and members of the Fleet Marine Corps Reserve.
Military personnel
Dependents of Marines and other family members with respect to matters pertaining to the individual Marine or former Marine.

Categories of records in the system:

File contains information pertaining to identification, recruitment, enlistment, prior service, assignment, location addresses, promotions, reductions in rank, performance of duty, discipline, offenses and punishments under the Uniform Code of Military Justice, courts-martial, personal history, investigations, police and court records, civil arrests and convictions, official correspondence (includes internal Marine Corps and Department of the Navy correspondence, as well as correspondence with the Executive and Legislative branches of the federal government) and other correspondence (includes correspondence from Marines, their dependents and families, attorneys, doctors, educators, clergymen and members of the general public whether addressed directly to the Marine Corps or via third parties (president, congressmen, etc.))

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Inspection Division, Headquarters, U S Marine Corps. To facilitate and expedite responses to inquiries and correspondence from members of Congress, military personnel, and members of the general public. Such inquiries and correspondence routinely relate to allegations pertaining to request mast, maltreatment at Recruit Depots, and harassment.
Marine Corps commands. By officials and employees of the Marine Corps in the execution of their official duties as relates to the preparation of information upon which to base replies to members of Congress, Secretary of the Navy, relatives and members of the general public.
Department of Defense and its Components. By officials and employees of the Department in the performance of their official duties in connection with military personnel management.
Congress of the U S By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of the files of the system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files as represented by card files and file folders. Files are stored in five drawer filing cabinets.

Retrievability:

Files are accessed and retrieved by the name and card file number.

Safeguards:

Building where files are stored and maintained employs 24 hour security guards. Records are further stored in areas of controlled access and handled by personnel with a need-to-know in the execution of their official duties.

Retention and disposal:

Congressional, military and civilian inquiry files are retained three years, then destroyed.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S. Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code IGA)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-1324

Record access procedures:

Requests from individuals desiring information may be addressed to: The Commandant of the Marine Corps (Code IGA), Headquarters, U S Marine Corps, Washington, D C 20380. However, final determination as to whether any information will be released or made available will be controlled by the SYSMANAGER.
Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: Military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.
For personal visits, an individual may visit the Inspection Division, Headquarters, U S Marine Corps, Federal Building 2, Washington, D C 20380. However, final determination as to whether any information will be released or made available will be controlled by the SYSMANAGER.
For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification, such as driver's license, social security card, medicare card, etc.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code IG), Headquarters, U S Marine Corps Washington, D C 20380.

Record source categories:

Information in the system is obtained from the Marine Corps Manpower Management System; the Joint Uniform Military Pay System; Marine Corps Military Personnel Records to include the Service Record Book and Officer Qualification Record; Military Medical Records; Staff elements and subdivisions of Headquarters, U S Marine Corps; Marine Corps field commands, organizations and activities; other components of the Department of Defense; Agencies of Federal, State and local government; private citizens provided as character references by the individual; investigations related to disciplinary proceedings; and correspondence of private citizens addressed directly to the Marine Corps or via third parties such as members of Congress and other governmental agencies.

Systems exempted from certain provisions of the act:

None

MMC00003

System name:

Activity Check In/Check Out File

System location:

May be located at any U S Marine Corps or U S Marine Corps Reserve activity.

Categories of individuals covered by the system:

All members of the activity.

Categories of records in the system:

Date reported and verification of check-in - check-out procedure.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Command, administrative and supply personnel to ensure individuals are appropriately entered with all unit records and as a safeguard against unit members being discharged or transferred without turning in property belonging to this unit or without being dropped from appropriate unit records.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

On paper in files or on clipboard.

Retrievability:

Alphabetically by last name.

Safeguards:

Access limited to activity personnel in the performance of their official duties.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

Retained for 6 months after action has been completed.

System manager(s) and address:

Activity commander.

Notification procedure:

Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Service records.

Systems exempted from certain provisions of the act:

None

MMC00004

System name:

Adjutant Services Section Discharge Working Files

System location:

Adjutant Services Section, Marine Corps activities

Categories of individuals covered by the system:

Members and former members of the Marine Corps and Marine Corps Reserve. Some information about dependents and other members of families or former families of Marine Corps personnel may be included in files pertaining to the Marine. Inquiries from the general public, whether addressed directly to Base or received via a third party, may be retained together with information obtained in the course of completing required action or in preparing a response.

Categories of records in the system:

Files contain information pertaining to identification; prior service; location and addresses; prior and present marital status, dissolution of prior marriages, birth and death status, adoption of children, financial responsibility, child support, medical information, personal financial records, residence, basic allowance for quarters, leave and liberty, financial assistance, extensions of emergency leave, medical bills and determinations of dependency status as pertain to hardship discharges; investigative reports, prior and present disciplinary status, financial responsibility, conduct and personal history, medical information, police reports, correction of naval records, veterans rights, benefits and privileges, preseparation counseling and civil readjustment as they pertain to unsuitability, unfitness and misconduct discharges; financial status, college acceptance and residence as they pertain to early separation to attend college or trade school; religious beliefs and practices pertaining to applications for conscientious objector status; official correspondence (includes correspondence with Marine Corps commands and organizations, other Armed Services, the White House, members of Congress, Department of Defense, and other agencies of federal, state and local governments); other correspondence (including correspondence from Marines, their families, attorneys, doctors, clergymen, administrators/executors/guardians of estates, American Red Cross and other welfare agencies and the general public, whether addressed directly to the Marine Corps or via third parties): internal routing and processing of discharge matters; and records of interviews and telephone conversations.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To facilitate administration of programs concerning the discharge or separation of Marines; correction of naval records; veterans rights, benefits and privileges; support of dependents; personal affairs, welfare and family assistance; preseparation counseling and civil readjustment.

To facilitate preparation and maintain a record of discharge processing and other communications from staff sections within Base Headquarters; Marine Corps commands and organizations; other Armed Services; the White House, Members of Congress; Department of Defense; other agencies of federal, state and local governments; Marines, their families, attorneys, doctors, clergymen, administrators/executors/guardians of estates; American Red Cross, and other welfare agencies and the general public.

To provide a record of decisions and actions taken.

By officials and employees of the Marine Corps and Marine Corps Reserve in the performance of their official duties in the administration of programs relating to the discharge matters cited above.

By officials and employees of the Department of the Navy, Department of Defense, and other government agencies in the performance of their official duties related to discharge and separation processing.

By government agencies or private organizations under Government contract to perform analytical and historical research pertaining to discharges and separations.

By intelligence and other Government agencies assisting in the investigation of deserters and absentees.

By Marines, former Marines, their next of kin, or persons or organizations designated by them in writing for whatever purpose access to the record is desired.

Information obtained, developed, or processed by the Base Discharge Section in performing functions related to this record system may be entered into the Marine Corps Manpower Management System and the Marine Corps Military Personnel Records System.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files stored in filing cabinets, shelves, tables and desks.

Retrievability:

Files are accessed and retrieved by individual. Identification of individual is by name and social security number.

Safeguards:

Building is located in base area with area guard. Outside and inside doors are locked after working hours and patrolled by Duty NCO. Access to information contained in the files is limited to officials and employees of Base Headquarters acting in their official capacity upon demonstration of a need-to-know.

Retention and disposal:

Files are retained two years and destroyed.

System manager(s) and address:

Commanding Officer of activity concerned. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Correspondence pertaining to files maintained should be addressed to the Sysmanager

Correspondence should contain the full name, social security number and signature of the requester. The individual may visit the above location for review of files. Proof of identification may consist of the active, reserve, retired or dependent identification card, the Armed Forces Report of Transfer or Discharge (DD-214), discharge certificate, driver's license, social security card or by providing such other data sufficient to ensure the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from the Sysmanager.

Contesting record procedures:

The section's rules for access to files and for contesting and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Marine Corps Manpower Management System
Joint Uniform Military Pay System
Marine Corps Military Personnel Records System
Marine Corps Deserter Inquiry File
Staff agencies and subdivisions of Headquarters, U S Marine Corps
Marine Corps commands and organizations
Other agencies of federal, state and local governments
Educational institutions
Medical reports and psychiatric evaluations
Financial institutions and other commercial enterprises
Civil courts and law enforcement agencies
Correspondence and telephone calls from private citizens initiated directly to the Marine Corps or via the U. S. Congress and other agencies
Investigative Reports
American Red Cross and similar welfare agencies

Systems exempted from certain provisions of the act:

None.

MMC00005

System name:

Insurance Files

System location:

Marine Corps Activities

Categories of individuals covered by the system:

Insurance salesman requesting authority to do business at Marine Corps Activities

Categories of records in the system:

A record of the certification of authority to solicit insurance, mutual funds, investment plans, and securities

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Insurance Officer to maintain control of insurance sales in accordance with SECNAVINST 1740.—; Provide reference to agents who have requested authority to do business at Marine Corps activities and the disposition of such requests including any information in support of denial of such authorizations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Files in alphabetical order by company name. Conventional indices are required for retrieval.

Safeguards:

Maintained in locked building.

Retention and disposal:

Maintained as long as active. If inactive, disposed of after two years by discard into military trash system. Not transferred.

System manager(s) and address:

Local Commanding Officers

Notification procedure:

Address requests to SYSMANAGER or visit the office; Military ID or other suitable identification is required.

Record access procedures:

An individual can call for an appointment with the activity insurance representative for personal assistance or forward a written request for the required information.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information is supplied by the insurance companies and salesman involved.

Systems exempted from certain provisions of the act:

None

MMC00007

System name:

Inspection of government property assigned to individual

System location:

Organizational elements o the U.S. Marine Corps as listed in the Directory of Department of the Navy activities mailing addresses.

Categories of individuals covered by the system:

Inspection of Government Property

Categories of records in the system:

Name, badge number, and government property assigned to individual

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To show loss or deterioration of clothing and equipment

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File

Retrievability:

Name

Safeguards:

Building locked at night - locked cabinet

Retention and disposal:

Until separation

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy activities mailing addresses.

Notification procedure:

Information may be obtained from the Sysmanager

Record access procedures:

Written requests from the individual should be addressed to the Sysmanager.

Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: Military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.

For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification such as driver's license, social security card, medicare card, etc.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Inspection of property and clothing

Systems exempted from certain provisions of the act:

None

MMC00008

System name:

Message Release/Pickup Authorization File

System location:

Marine Corps activities

Categories of individuals covered by the system:

All personnel authorized to release/pickup message traffic.

Categories of records in the system:

OPNAV Form 2160-5 (Message Release/Pickup Authorization)

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To allow Comm Center personnel to determine who is authorized to release/pickup messages for the commands; used to compare specimen signature on card with the signature on the message to be released; used by Comm Center employees in the execution of their assigned duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Cards are filed in a card file within the Communication Center

Retrievability:

Alphabetically by name.

Safeguards:

Located in a secure space within the Comm Center, which is manned on a 24-hour basis.

Retention and disposal:

Retained until individual is replaced or authorization is revoked by proper authority; then destroyed by burning or shredding.

System manager(s) and address:

Local commanding officers. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Request information from the SYSMANAGER.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Organizations, departments, sections authorized to release/pickup messages for the command.

Systems exempted from certain provisions of the act:

None

MMC00009

System name:

Narrative Biographical Data with Photos (NAVMC Form 10573)

System location:

Primary System - Headquarters, U S Marine Corps, Washington, D C 20380. All Marine Corps commands and districts maintain derivative files.

Categories of individuals covered by the system:

Marine Corps active duty, reserve, and retired general officers and active duty colonels who submit biographical data with photographs in accordance with existing directives.

Categories of records in the system:

Files contain standard biographical information as listed on NAVMC Form 10573 to include: personal identification, personal data, education background, military history, medals and decorations, combat, and chronology of Marine Corps service. A current photograph accompanies the file.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - To make routine news releases such as assignments and promotions; to provide background data in response to news media queries; to provide background information on the individual officer prior to speaking engagements or appearances at public events in which the officer is scheduled to appear; to provide internal release of information as required.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

News Media - To provide biographical information in response to query.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of officer.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Biographical information is maintained on all general officers while on active duty. When a general officer retires, the biographical data is retained for five years after the date of the individual officer's retirement and retained by the Historical Division (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380.

Biographical files are maintained on colonels while on active duty. Upon retirement of the officer, colonel biographical files are retained by Historical Division (Code HD), Headquarters, U S Marine Corps, Washingotn, D C 20380.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380 or commander of unit holding file.

Notification procedure:

Requests from individuals should be addressed to the Commandant of the Marine Corps (Code PAC), Headquarters, U S Marine Corps, Washington, D C 20380.

Written requests to determine whether or not the system contains a record about an individual should contain the full name of the general officer or colonel concerned.

Visits are limited to Division of Information (Code PAC), Headquarters, U S Marine Corps, Washington, D C 20380.

For personal visits, the individual should be able to provide some acceptable identification, such as a military identification card, and give some verbal information that could be verified with his 'case' folder.

Record access procedures:

Information may be obtained from the Commandant of the Marine Corps and the commander of the unit holding the file.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Biographical data provided by the individual general/colonel and from personnel files.

Systems exempted from certain provisions of the act:

None

MMN00001

System name:

Deserter Inquiry File

System location:

Absentee and Deserter Section, Manpower Plans and Policy Division, Manpower Department (Code MP), Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Marine Corps Absentees and deserters; Marines in hands of civil authorities foreign and domestic; Marines who fail to comply with orders to new duty stations; suspected and convicted absentees and deserters who have returned to military control within the last 90 days.

Categories of records in the system:

file contains automated records, each of which is approximately 350 characters in length. These records reflect personal identification data, absentee's current status, parent command, notations of arrests, and other pertinent information which is necessary to monitor, control and identify absentees.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Manpower Plans and Policy Division - To record and monitor deserter/ absentee cases entered into the National Crime Information Center's Wanted Persons File; to monitor and assign absentees upon their return to military control; to ensure that absentees are formally charged in accordance with the Uniform Code of Military Justice prior to expiration of the Statute of Limitations; to monitor Marine absentees and deserters believed to be located in foreign countries; to monitor Marines who have failed to comply with permanent change of station (PCS) orders or orders to travel and report without escort; to insure correspondence pertaining to absentees and deserters received by the Marine Corps is processed in a timely manner; to insure that appropriate action is taken within the Manpower Management System to join or drop absentees to desertion; to provide periodic management reports concerning absentees and deserters as directed by higher authority.

Comptroller General of the U S - To respond to the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to Marine Corps Manpower Management Programs.

The Attorney General of the U S - To coordinate with the Attorney General or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice as carred out as the legal representative of the Executive Branch.

The Department of Defense - To coordinate with the other components of the Department of Defense as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Civilian Law Enforcement Agencies - To coordinate with appropriate federal, state, and local law enforcement agencies as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Courts - To respond to court orders in connection with matters before a court.

Congress of the United States - To respond to inquiries of the Senate or the House of Representatives of the United States or any committee or subcommittee thereof or any joint committee or joint subcommittee of the Congress on matters within their jurisdiction as may be requested of the Marine Corps.

Marine Corps Staff Agencies or Commands - To coordinate the identification, apprehension and return of Marine absentees and deserters in accordance with Marine Corps Manpower Management policies

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tape and magnetic disks retained in a controlled access area at Headquarters, U S Marine Corps.

Retrievability:

Records may be accessed by social security number or by use of logic sorts performed upon key fields, such as duty status, parent command, race, sex or date of absence.

Safeguards:

Building employs security guards. Computer terminals and records are located in areas acessible only to authorized personnel that are properly screened, cleared and trained. Use of terminals requires knowledge of passwords.

Retention and disposal:

Records are retained on file for 90 days after the individual addressed in the record is returned to military control or are separated from the Marine Corps. After 90 days from return to military control or separation the tapes or disks are erased.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code MP)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-2927

Record access procedures:

Requests from individuals should be addressed to: The Commandant of the Marine Corps (Code MP), Headquarters, U S Marine Corps, Federal Office Building 2, Washington, D C 20380.

Written requests for information should contain the full name of the individual, his place and date of birth, his social security number and his signature.

For personal visits, the individual should be able to provide military identification card, driver's license or other type of identification bearing picture or signature or by providing verbal data sufficient to insure that the individual is the subject of the inquiry.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code JA), Headquarters, U S Marine Corps, Washington, D C 20380

Record source categories:

Information in the system is obtained from the Marine Corps Military Personnel Records; from the individual's commanding officer, officer-in-charge, federal, state and local law enforcement agencies, lawyers, judges, Members of Congress, relatives of the individual and private citizens, the Veteran's Administration and the individuals themselves.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5, U S Code 552 a (j) or (k) as applicable. For additional information, contact the SYSMANAGER.

MMN00002

System name:

Listing of Retired Marine Corps Personnel

System location:

The Commandant of the Marine Corps
Headquarters, U S Marine Corps
Washington, D C 20380

Categories of individuals covered by the system:

All retired members of the Marine Corps, including those former Marines in the receipt of disability benefits from the Veteran's Administration.

Categories of records in the system:

The system is a microfiche listing derived from automated sources, depicting the retiree's name, Social Security Number, grade, mailing address and retirement component code.

Authority for maintenance of the system:

Title 10, U S Code Section 5201

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Marine Corps - For making necessary identification of retired members in the performance of their official duties related to retirement and veterans affairs programs, benefits, entitlements, transportation, hospitalization, education, dependent affairs, etc.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly with the purview of said court.

Congress of the U S - By the Senate or House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Leatherneck Magazine and Marine Corps Gazette - For maintaining their mailing lists of subscribers to these semi-official, professional publications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Controlled distribution microfiche listing. Stock copies maintained in locked room.

Retrievability:

Listings in alphabetical order, with officer personnel listed separate from enlisted personnel.

Safeguards:

Building employs security guards. Distribution is strictly controlled.

Retention and disposal:

Destroyed upon being superceded by updated monthly listing.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Request by correspondence should be addressed to the Commandant of the Marine Corps (Code MS), Headquarters, U S Marine Corps, Washington, D C 20380. The letter should contain the full name, Social Security Number and signature of the requester.

The individual may visit Headquarters, U S Marine Corps, Columbia Pike & Arlington Ridge Road, Arlington, Virginia, Room 1206. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from:
Commandant of the Marine Corps
Headquarters, U S Marine Corps
Columbia Pike & Arlington Ridge Road
Arlington, Virginia 20380
Telephone Area Code 202/694-1043

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Staff agencies and subdivisions of Headquarters, U S Marine Corps
Veterans Administration

Systems exempted from certain provisions of the act:

None

MMN00004

System name:

Marine Corps Club Records

System location:

Decentralized Segments - Records maintained by Marine Corps Clubs at organizational elements of the Marine Corps as listed in the Directory of the Department of the Navy Mailing Addresses.

Categories of individuals covered by the system:

Officer personnel who elect officer club membership, staff noncommissioned officer personnel who elect staff noncommissioned officer club membership and patrons of consolidated package stores who purchase alcoholic beverages.

Categories of records in the system:

File contains nonstandardized, locally produced record listing name, grade, social security number, military address, duty telephone number and dependent information.

Alcoholic purchase records contain name, grade, social security number, and the alcoholic beverage purchased by type, name brand, and quantity.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps clubs and mess management personnel routinely use personal information for billing of customers and forwarding of club related informational material to its members.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All information of a personal nature is recorded and stored in cabinet drawers or other record keeping devices.

Retrievability:

Is by name and/or social security number.

Safeguards:

Include normal security afforded unclassified file materials.

Retention and disposal:

Data on club membership is retained as long as the member is active and disposed of when membership is terminated. Data on alcoholic purchases is retained for a period as specified by the local command, but in no case for a period in excess of two years from date of purchase.

System manager(s) and address:

Decentralized - The local commanding officer is responsible for the operation of clubs aboard his base/activity.

Notification procedure:

Request by correspondence should be addressed to the commanding officer of the activity having custody of the records.

Record access procedures:

Rules of access may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Data collected from each applicable individual.

Systems exempted from certain provisions of the act:

None

MMN00005

System name:

Marine Corps Education Program Applicant/Participant Information File

System location:

Primary system - Headquarters, U S Marine Corps (Code OTTI), Washington, D C 20380.

Secondary system - Local activity or command to which individual is assigned (See list of activities in Navy Standard Distribution List OPNAV PO9B3-107).

Categories of individuals covered by the system:

Marine Corps personnel who have submitted written applications for participation in full-time, tuition assistance, off-duty, PREP, or other voluntary education programs.

Categories of records in the system:

File contains copies of individual's applications for participation in an education program; copies of correspondence between the Marine Corps, the individual and academic institutions involved; copies of academic transcripts; miscellaneous academic records and correspondence; test results; previous enrollments and disenrollments; and educational qualification data addressing the individual concerned.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in matters relating to their assigned duties in connection with educational and vocational counseling, recommendation, evaluation, selection and assignment. Also in the management and control of various educational and vocational programs attended by Marine Corps personnel.

Department of Defense and it's Components - By officials and employees of the Department in the performance of their official duties.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Educational Institutions - By officials and employees of those educational institutions to which the individual applies or which the Marine Corps contracts with, to provide full-time, off-duty or other educational programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files as represented by card files, listings, log books, computer printouts, rosters and file folders stored in filing cabinets.

Retrievability:

Filed alphabetically by last name; by educational institution, educational program or unit of assignment. Cross referenced by SSN

Safeguards:

Records are maintained in limited access working areas and are made available to persons other than the individual addressed only on a strict 'need-to-know' basis. After duty hours storage areas are locked.

Retention and disposal:.

Records are maintained a maximum of three years and then destroyed. In instances where individual completes a program in less than three years, with no incurred service obligation, records are destroyed on program completion or transfer of individual from command maintaining record.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps
Headquarters, U S Marine Corps (Code OTTI)
Washington, D C 20380
Telephone: Area Code 202/694-2109

Record access procedures:

Requests from individuals should be addressed to the commander of the activity to which they are assigned for duty. Activity addresses are contained in the Navy Standard Distribution List (OPNAV PO9B3-107).

Requests from individuals who have made written application for the Special Education Program (SEP), Advanced Degree Program (ADP), Funded Legal Education Program (FLEP), College Degree Program (CDP), Marine Enlisted Commissioning Education Program (MECEP), Navy Enlisted Scientific Education Program (NESEP), Staff NCO Degree Completion Program (SNCODCP), or Marine Associate Degree Completion Program (MADCOP) should be addressed to the Commandant of the Marine Corps, Headquarters, U S Marine Corps (Code OTTI), Washington, D C 20380.

Written requests for information should contain name of the individual, current address and telephone number, and the academic program originally requested or in which participated.

For personal visits, the individual should provide personal identification.

Contesting record procedures:

Rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Application and related documents including correspondence from the individual requesting an education program; correspondence originating in the Educational Services Branch or other Headquarters Marine Corps Staff Agencies; academic transcripts from educational institutions; and educational selection board results.

Systems exempted from certain provisions of the act:

None

MMN00006

System name:

Marine Corps Military Personnel Records (OQR/SRB)

System location:

PRIMARY SYSTEM - The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Decentralized Segments - Custody of the commanding officer of the organization to which the Marine officer or enlisted individual is assigned for duty or administration of official records (OQR/SRB).

Decentralized Segments - National Personnel Records Center, 9700 Page Blvd., St. Louis, Missouri 63132

Categories of individuals covered by the system:

Headquarters, U S Marine Corps official military personnel records on Marine officers consist of a copy of the appointment acceptance and record and all supporting documents furnished by the officer and generated by Marine Corps procurement procedures necessary to evaluate the individual for a commission in the Marine Corps or Marine Corps Reserve. The system comprises non-automated records reflecting information pertaining to a Marine officer's identification, personal history, marital and dependency status, education, aptitude testing, training, previous employment, records of civil offenses and arrests, appraisals of performance and potential, awards, duty assignments, military orders, security clearances, promotion warrants, official photographs, official correspondence, physical examinations, psychiatric evaluations, record of courts-martial, martial and other disciplinary matters, and other data needed in managing the officer personnel of the Marine Corps and Marine Corps Reserve.

Headquarters, U S Marine Corps official military personnel records on enlisted Marines consist of a duplicate enlistment contract or induction record and all supporting documents furnished by the enlisted Marine or generated by the Marine Corps recruiting procedures necessary to evaluate and approve the Marine for enlistment in the Marine Corps or Marine Corps Reserve. The system comprises non-automated records reflecting information pertaining to an enlisted Marine's identification, personal history, marital and dependency status, education, aptitude testing, training, previous employment, records of civil offenses and arrests, appraisals of performance and potential, awards, duty assignments, military orders, security clearances, promotion warrants, official photographs, official correspondence, physical examinations, psychiatric evaluations, record of courts-martial and other disciplinary matters, and other data needed in managing the enlisted personnel of the Marine Corps and Marine Corps Reserve.

Officer Qualification Record (OQR) is a field record of a Marine Officer which accompanies the officer throughout the various assignments of service with the Marine Corps or Marine Corps Reserve. Maintenance and custody of the OQR rests with the commanding officer of the organization to which the Marine officer is assigned for duty or administration of records. This record consists of the original appointment acceptance and record and non-automated records reflecting information pertaining to the officer's identification, marital and dependency status, education, aptitude testing, training, awards, chronological duty assignments, military orders and memoranda, security clearance, promotions, official photographs, official correspondence, prior separation documents (DD Form 214), leave and earnings statements, periodic print-outs of automated record contents, records of courts-martial and other disciplinary matters and any local orders or memoranda necessary for utilization of the Marine officer's background and experience in accomplishing the mission of the command.

Enlisted Service Record Book (SRB) is a field record of an enlisted Marine which accompanies the enlisted Marine throughout the various assignments of service with the Marine Corps or Marine Corps Reserve, maintenance and custody of the SRB rests with the commanding officer of the organization to which the enlisted Marine is assigned for duty or administration of records. This record consists of the original enlistment contract or record of induction and non-automated records furnished by the enlisted Marine or the recruiting procedures in effecting the enlistment or induction of the Marine. This record reflects information pertaining to the Marine's identification, marital and dependency status, education, aptitude testing, training, awards, chronological duty assignments, duty and conduct evaluations, security clearance, promotions, official photographs, official correspondence, prior separation documents (DD Form 214), Leave and Earnings statements, periodic print-outs of automated record content, courts-martial and other disciplinary matters, any other local military orders or memoranda necessary for the utilization of the Marine's background and experience in accomplishing the mission of the command.

Categories of records in the system:

Headquarters, U S Marine Corps, Official Military Personnel Records on Marine officers and enlisted are retained and maintained at Headquarters, U S Marine Corps, Washington, D C 20380 from acceptance/enlistment/induction to complete severance from the Marine Corps and the Marine Corps Reserve by retirement or discharge.

OQR/SRB's are retained and maintained by the commanding officer of the Marine Corps or Marine Corps Reserve field command to which the Marine is assigned.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Marine Corps and Marine Corps Reserve in the performance of their official duties relating to management of personnel resources; screening and Selection for promotion, training and educational programs; administration of appeals, grievances, discipline, litigations and investigations adjudication of claims, benefits and entitlements; administration and management of retirement and veterans affairs programs; and, the providing of requested information from the records to the Veterans Administration,

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Social Security Administration, Selective Service System, National Guard, Public Health Service (HEW), U. S. Coast Guard, Immigration and Naturalization Service, Treasury Department, Department of Labor, Department of State, General Accounting Office and State Bonus Bureaus in connection with such functions as processing and adjudication of claims, updating of records, administration of work programs, processing naturalization proceedings and verification of eligibility and entitlement to various benefits and programs.

Officials and employees of other components of DoD in the performance of their official duties relating to screening and selection of members for interservice transfer; procedures for appeals for correction of service records; reviews of discharges from the service; physical evaluations; research analyses; litigations and investigations; clemency and awards reviews and evaluations.

By representatives of the Office of Personnel Management in with evaluation of prospective federal employees.

By court order in connection with matters before a federal, state or municipal court.

By the Comptroller General or his representatives in the course of the performance of duties relating to decisions or procedures by the General Accounting Office on manpower management programs.

By agents of the Federal Bureau of Investigation, Secret Service and office of Naval Intelligence in connection with matters under the jurisdiction of these investigative bodies upon presentation of credentials.

By private organization under government contract to perform random analytical research into specific aspects of military personnel management and administrative procedures.

By investigative, security and law enforcement agents of federal agencies who have submitted written requests for access to Marine Corps military personnel records with justification thereof as pertaining to the conduct of government business under their respective jurisdictions and providing the names of specified agents having a need for such access.

By state and county law enforcement bodies processing applications for employment, when applicants have given written authorization for access to respective military personnel records.

By officials and employees of the National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132 acting as agent for Headquarters, U S Marine Corps in storage and processing of Marine Corps maintained by that center.

By a Marine or former Marine or such individual(s) designated by him/her in writing for whatever purpose access to or release of their respective records is desired.

By the White House, Secretary of Defense, Secretary of the Navy, and members of Congress in response to inquiries regarding individual Marines.

To provide information to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States which has been authorized by law to conduct law enforcement activities pursuant to a request that the agency or instrumentality initiate criminal or civil action against an individual on behalf of the U S Marine Corps, the Department of the Navy, or the Department of Defense.

To provide information to individuals pursuant to a request for assistance in a criminal or civil action against a member of the U S Marine Corps, by the U S Marine Corps, the Department of the Navy, or the Department of Defense.

By officials and employees of the American Red Cross and Navy Relief Society in the performance of their duties. Access will be limited to those portions of the member's record required to effectively assist the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on paper in file folders and on microfiche.

Retrievability:

The records maintained at Headquarters, U S Marine Corps (all active and reserve officer records, all temporary disability retired records, all active and organized reserve and Fleet Marine Corps reserve enlisted records of personnel joined/transferred to these components subsequent to 30 June 1974, all former Commandants, all living retired officers (who served in a General Officer grade, records of all personnel separated/retired four months or less) are retrieved by Social Security Number (SSN) and name. Except for OQR's and SRB's of participating members, all other categories of Marine Corps military personnel records are maintained at the National Personnel Records center, St. Louis, Missouri. Those retired to St. Louis prior to 1 January 1964 and/or those with military service numbers (MSN) below 1800000 are retrieved by MSN and name. All other Marine Corps records retired to St. Louis are accessed by MSN and/or SSN, name and are assigned a Registry Number. These records are retrieved by Registry Number.

Safeguards:

Buildings employs security guards, records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are permanent. Records maintained at Headquarters, U S Marine Corps are transferred to the National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132 four months after separation, placement on the Permanent Disability Retired List, retirement, retirement from Fleet Marine Corps Reserve, death of an officer who served in a General Officer grade and former Marines no longer considered of newsworth status.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Correspondence pertaining to records maintained by Headquarters, U S Marine Corps should be addressed to:
Commandant of the Marine Corps (Code MS)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-1043

Correspondence pertaining to records maintained by National Personnel Records Center should be addressed to:
Director, National Personnel Records Center
9700 Page Boulevard
St. Louis, Missouri 63132
Telephone: Area Code 314/268-7155

Correspondence pertaining to OQR and SRB records maintained by the respective commanding officers should be addressed to the command concerned as is shown in the Standard Navy Distribution List - Part 1 (OPNAV P09B3-107)

Correspondence should contain the full name, Social Security Number and signature of the requester. The individual may visit any of the above activities for review of records. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD Form 214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from:
Commandant of the Marine Corps (Code MS)
Headquarters, U S Marine Corps
Columbia Pike & Arlington Ridge Road
Arlington, Virginia 20380
Telephone: Area Code 202/694-1043

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Staff agencies and subdivisions of Headquarters, U S Marine Corps
Marine Corps commands and organizations
other agencies of federal, state, and local governments
Medical reports
Correspondence from financial and other commercial enterprises
Correspondence and records of educational institutions
Correspondence of private citizens addressed directly to the Marine Corps or via the U S Congress and other agencies
Investigations to determine suitability for enlistment, security clearances, and special assignments
Investigations related to disciplinary proceedings

Systems exempted from certain provisions of the act:

None

MMN00007

System name:

Marine Corps Motion Picture/Instructional Television (ITV) Archives

System location:

Motion Picture and TV Archives, Marine Corps Development and Education Command, Quantico, Virginia

Categories of individuals covered by the system:

Personnel who have been photographed while participating in Marine Corps related events.

Categories of records in the system:

The archives contains motion picture photography and videotape footage documenting Marine Corps related events.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Material contained in the archives is used for Marine Corps reports, education programs, public information, training programs, recruiting purposes, and for general release to the public. Material is available to other DOD and Federal agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Films and videotapes are stored on film racks in film vaults.

Retrievability:

Personnel identified in the films and videotapes are listed alphabetically in an index system.

Safeguards:

Film vaults are locked when not in use. Only authorized personnel have access. During non-working hours, rooms and buildings containing the films and videotapes are locked.

Retention and disposal:

Films and videotapes are maintained indefinitely.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code HD)
Headquarters, U. S Marine Corps
washington, D C 20380
Telephone: Area Code 202/433-3027

Record access procedures:

Requests should be addressed to: Commandant of the Marine Corps (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380

Written requests should contain full name of the individual, current address and telephone number.

For personal visits, the individual concerned should contact the Director of History and Museums Division, (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380, Telephone: Area Code: 202-433-2616

Contesting record procedures:

Rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Material within the archives is from Marine Corps Field Motion Picture and ITV Facilities.

Systems exempted from certain provisions of the act:

None

MMN00008

System name:

Marine Corps Still Photographic Archives

System location:

Director of History and Museums Division (Code HD), Headquarters, U. S. Marine Corps, Building 159E, Washington Navy Yard, Washington, D C 20380

Decentralized system - organizational elements of the U. S. Marine Corps maintaining still photographic files.

Categories of individuals covered by the system:

Personnel who have been photographed while participating in Marine Corps related events.

Categories of records in the system:

The Archives contains documentary photography of Marine Corps related events.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Material contained in the archives is used for Marine Corps reports, education programs, manuals, public information, training programs, recruiting purposes, and for general release to the public. Material is available to other DOD and Federal agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Photographic records are maintained in large Dibold file machines.

Retrievability:

Personnel identified in the photographic records are listed alphabetically in an index system.

Safeguards:

Photographic records are maintained in large Dibold file machines which are locked when not in use. Only authorized personnel have access. During non-working hours, rooms containing the records are locked.

Retention and disposal:

A 25-year archives is maintained. Older records are trans- ferred to the National Archives, Washington, D C

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380
Decentralized systems managed by local commands.

Notification procedure:

Information may be obtained from:
Commandant of the Marine Corps (Code HD)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/433-3027

Record access procedures:

Requests should be addressed to: Commandant of the Marine Corps (Code HD), Headquarters, U S Marine Corps, Washington, D C 20380

Written requests should contain full name of the individual, current address and telephone number.

For personal visits the individual should proceed to: Washington Navy Yard, Building 159E, Washington, D C

Contesting record procedures:

Rules for access to records and for contesting contents by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

All material within the archives is from either Marine Corps Field Photographic Facilities or from Private donations.

Systems exempted from certain provisions of the act:

None

MMN00009

System name:

Military Police Information System (MILPINS)

System location:

Decentralized segments - commands within area of jurisdiction.

Categories of individuals covered by the system:

Files contain information concerning both military personnel and civilians who have come in contact with the Military Police as Victims, Suspects, or Witnesses to incidents, complaints reported to the Provost Marshal.

Categories of records in the system:

Incident/Complaints reported to the Installation Provost Marshal and all subjects listed on Field Interviews/Reports by the Military Police. Index cards containing name, social security number, address, offense charges, location of offense/incident, date, time, blotter entry number, military policy report number and disposition of case.

Authority for maintenance of the system:

Chapters 5, 6 and 7 of the Manual for Courts-Martial and Title 10, U S Code

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the

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Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

To provide information to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States which has been authorized by law to conduct law enforcement activities pursuant to a request that the agency or instrumentality initiate criminal or civil action against an individual on behalf of the U S Marine Corps, the Department of the Navy, or the Department of Defense.

To provide information to individuals pursuant to a request for assistance in a criminal or civil action against a member of the U S Marine Corps, by the U S Marine Corps, the Department of the Navy, or the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes and index cards in metal files.

Retrievability:

Filed by full name or social security number (SSN)

Safeguards:

Records are maintained in area accessible only to authorized personnel that are properly screened, cleared and trained. Files can only be retrieved by the Director or Assistant Director, Automated Services Center by utilizing an assigned code number.

Retention and disposal:

Two years and then purged

System manager(s) and address:

Installation Provost Marshal of activity concerned.

Notification procedure:

Information may be obtained from:
Installation Provost Marshal of activity concerned.

Record access procedures:

Requests from individuals should be addressed to Provost Marshal of activity concerned.

Written requests for information should contain the full name of the individual, social security number, date and place of birth.

For visits, the individual should report to Provost Marshal of the respective installation.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Military Police Blotters and Field Interview Cards.

Systems exempted from certain provisions of the act:

None

MMN00010

System name:

Personnel Services Working Files

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

Members and former members of the Marine Corps and Marine Corps Reserve; permanently and temporarily retired members of the Marine Corps and Marine Corps Reserve; members of the Fleet Marine Corps Reserve; Federal civil service employees of the Marine Corps; and dependents, survivors or appointed agents of the foregoing. Some information about dependents and other members of families or former families of Marine Corps personnel may be included in files pertaining to the Marine. Inquiries from the general public, whether addressed directly to HQMC or received via a third party, may be retained together with information obtained in the course of completing required action or in preparing a response.

Categories of records in the system:

Files contain information pertaining to identification; prior service; location and addresses; decedent affairs; military honors at funerals; recovery of remains; casualty notification; condolence letters to next of kin; transportation, passports and visas for next of kin of casualties medically warranted overseas; missing persons; prisoners of war; reserve disability benefits; casualty statistics; certification of eligibility for award of Purple Heart Medal; death benefits and annuity payments; official reports of casualty; certification of life insurance coverage; investigative reports; travel of dependents; reports and death certificates substantiating casualty status; intelligence reports concerning missing and captured members; prior and present marital status; dissolution of prior marriages; birth, marriage and death certificates; adopting of children; financial responsibility; child support; claims of non-support; personal health and welfare reports; alien marriages; conduct and personal history as it pertains to marriage and its responsibilities; medical information; garnishment of pay; powers of attorney; personal financial records; police and fire reports; records of emergency data; medical care; use of exchanges, commissaries and theatres; recovery of invalid dependent identification and privilege cards; correction of naval records; defense related employment; veterans rights, benefits and privileges; awards, recommendations and/or issuances; Survivor Benefit Plan; preseparation counseling; civil readjustment; Retired Serviceman's Family Protection Plan; residence; basic allowance for quarters; leave and liberty; financial assistance; extensions of emergency leave; in service FHA mortgage insurance loans; reimbursement for damage to or loss of personal property; transportation of household goods; claims against the government; lost, damaged or abandoned property; medical bills; determinations of dependency status; claims against commercial carriers, insurers, and contractors; dependent identification and privilege cards; official correspondence (includes correspondence with Marine Corps commands and organizations, other Armed Services, the White House, members of Congress, Department of Defense, and other agencies of federal, state and local government); other correspondence (including correspondence from Marines, their families, attorneys, doctors, lawyers, clergymen, administrators/executors/guardians of estates, American Red Cross and other welfare agencies and the general public, whether addressed directly to the Marine Corps or via third parties); internal routing and processing of personal affairs matters; and records of interviews and telephonic conversations.

Authority for maintenance of the system:

Title 10, U. S. Code 1071-1087, 1441-1455, 1475-1488, 2771, 6148a, b, and d; Title 31, U. S. Code 240-243; Title 37, U. S. Code 401 and 551, et. seq.; Title 38, U. S. Code 765-770, 2021-2026; Title 42, U. S. Code 659; Title 50, U. S. Code 1436 and E O 11016; Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To facilitate administration of programs concerning the personal welfare of Marines and their dependents and/or survivors to include decedent affairs; casualty reporting and notification of next of kin; transportation of household goods; travel of dependents; missing and captured personnel; reserve disability benefits; casualty statistics; death benefits and annuity payments; official reports of casualty; determination of dependency status for the purpose of travel, basic allowance for quarters and Uniformed Services identification and Privilege Card entitlement; the granting of privileges for medical care, use of commissaries, exchanges and theatres; issuance and recovery of identification cards; correction of naval records; garnishment of pay; defense related employment; veterans rights, benefits and privileges; adjudication of claims against the government; support of dependents; personal affairs, welfare and family assistance; preseparation counseling and civil readjustment; display of recognition for individual accomplishments.

To facilitate preparation and maintain a record of responses to inquiries and other communications from staff sections within Headquarters, U. S. Marine Corps, Marine Corps commands and organizations, other Armed Services, the White House, members of Congress, Department of Defense, other agencies of federal, state and local governments; Marines, their families, attorneys, doctors, lawyers, clergymen, administrators/executors/ guardians of estates, American Red Cross, and other welfare agencies and the general public.

To provide a record of decisions and actions taken.

By officials and employees of the Marine Corps and Marine Corps Reserve in the performance of their official duties in the administration of programs relating to the personal affairs matters cited above.

By officials and employees of the Department of the Navy, Department of Defense, and other geovernment agencies in the performance of their official duties related to the determination of entitlement to compensations, annuities, government insurance, and other rights, benefits and privileges.

By government agencies or private organizations under government contract to perform analytical and historical research pertaining to casualties.

By intelligence and other government agencies assisting in the investigation of circumstances of casualty and in accounting for personnel who are deceased (body not recovered), missing, captured, or detained.

By Marines, former Marines, their next of kin (in cases of death only), or persons or organizations designated by them in writing for whatever purpose access to the record is desired.

Information obtained, developed, or processed in performing functions related to this record system may be entered into the Marine Corps Manpower Management System and the Marine Corps Military Personnel Records System.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, vertical strip files, microfiche and card files stored in filing cabinets, shelves, tables and desks.

Retrievability:

Files are accessed and retrieved by subject matter and by individual. Identification of individual is by name or social security number.

Safeguards:

Building is located in controlled access area with security guards on 24 hour duty. Access to information contained in the files is limited to officials and employees of Headquarters, U. S. Marine Corps acting in their official capacity upon demonstration of a need-to-know basis. Records held by field activities are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained. Locked and/or guarded offices.

Retention and disposal:

Files are retained for differing lengths of time, depending upon the purpose of the information contained therein. Death benefit data are retained for five years and then destroyed; records of emergency data are retained until the Marine's death or separation from active duty or the active reserves; Department of Defense Reports of Casualty are retained for such period as deemed necessary, and then transferred to the Historical Division, Headquarters, U. S. Marine Corps; casualty statistics and rosters, and statistical reports are retained for such period as deemed necessary and then transferred to Historical Division, Headquarters, U. S. Marine Corps or destroyed as deemed appropriate; missing and captured personnel data and unusual miscellaneous casualty topica data are retained for such period as deemed necessary and then destroyed; files concerning dependency determination are retained for one year and then destroyed; files concerning veterans rights, benefits and privileges are retained indefinitely or until the member and all eligible survivors are deceased; files concerning correction of naval records are destroyed upon completion of action; files regarding adjudication of claims against the government are retained for six months and then destroyed; files containing information which could be considered to be of a derogatory nature are disposed of as directed by competent authority; all other files are retained for three years and then destroyed.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U. S. Marine Corps, Washington, D C. 20380.

Notification procedure:

Correspondence pertaining to files maintained should be addressed to:

Commandant of the Marine Corps (Code MS)
Headquarters, U. S. Marine Corps
Washington, D C 20380
Telephone: Area Code 202-694-3143

Correspondence should contain the full name, social security number and signature of the requester. The individual may visit the above location for review of files. Proof of identification may consist of the active, reserve, retired or dependent identification card, the Armed Forces Report of Transfer or Discharge (DD-214), discharge certificate, driver's license, social security card, or by providing such other data sufficient to ensure the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from:
Commandant of the Marine Corps (Code MS)
Henderson Hall, Building No. 4, Room 109A
Arlington, Virginia 22214
Telephone: Area Code 202-694-3143

Contesting record procedures:

The agency's rules for access to files and for contesting and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Marine Corps Manpower Management System
Joint Uniform Military Pay System
Marine Corps Military Personnel Records System
Marine Corps Deserter Inquiry File
Staff agencies and subdivisions of Headquarters, U. S. Marine Corps
Marine Corps commands and organizations
Other agencies of federal, state, and local governments
Educational institutions
Medical reports and psychiatric evaluations
Financial institutions and other commercial enterprises
Civil courts and law enforcement agencies
Correspondence and telephone calls from private citizens initiated directly to the Marine Corps or via the U. S. Congress and other agencies.
Investigative reports
American Red Cross and similar welfare agencies
Veterans' Administration

Systems exempted from certain provisions of the act:

None

MMN00011

System name:

Source Data Automated Fitness Report System (SDAFRS)

System location:

Personnel Management Division, Manpower Department, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

Former, present and future U S Marine Corps active duty and organized Reserve Commissioned and Non-Commissioned Officers in the rank of Sergeant and above.

Categories of records in the system:

System contains automated records created through optical scan of Marine Corps Fitness Reports, which are evaluations of duties performed and the manner of such performance. Fitness reports represent a comprehensive portrayal of the professional qualifications, personal traits and characteristics and individual potential. Fitness reports include narrative comments, numerical grading and comparison with those peers rated by the commanding officer or other reporting senior of the individual addressed. Fitness reports contain personal identification such as name, rank, social security number, location and number of dependents, etc. in addition to individual evaluation data.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps - By officials and employees of the Marine Corps in the performance of their official duties related to the management of Marine Corps personnel through screening and selection of individuals for promotion, duty assignment, career counseling and the administration of the personnel management system.

Marine Corps Commands -To allow commanders to identify skills and experience of Marines due to report for duty with the commands during the forthcoming fiscal year.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties in connection with military personnel management, appeals and litigations related thereto.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of Joint committee on matters within their jurisdiction requiring disclosure of the files of the fitness report system.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the perform-

ance of duties of the General Accounting Office relating to the Marine Corps Manpower Management System.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper original of fitness report is exposed to SDAFRS scanning and then transferred to the personnel file jacket of the individual concerned and stored within the Marine Corps Military Personnel Records Sysem.

Automated records are stored on magnetic tape

Retrievability:

Paper original of fitness report is accessed by a combination of last name and social security number.

Automated records (magnetic tapes) are accessed by social security number.

Safeguards:

Building housing computer employs 24 hour security guards. Access to terminal is limited to authorized personnel on a need- to-know basis. Distribution of printouts of information from the system is restricted to authorized persons in the performance of their assigned duties and destroyed after use.

Retention and disposal:

Records, both paper and tape, are permanent. Paper records are stored in the Marine Corps Military Personnel Records System. Tape records are removed from the active file to a historical file for retention according to appropriate magnetic record retention policies.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code MM)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone: Area Code 202/694-3122

Record access procedures:

Requests from individuals should be addressed to: Commandant of the Marine Corps (Code MM), Headquarters, U S Marine Corps, Washington, D. C. 20380

Written requests for information should contain the individual's name, social security number, signature and the dates covered by the report(s) in question.

Personal visits may be made to Manpower Department, Headquarters, U S Marine Corps, Federal Office Building 2, Washington, D C 20380. For personal visits the individual should be able to provide personal identification to include valid military identification or two valid civilian items of identification such as driver's license, social security card, medicare card, etc.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code M), Headquarters, U S Marine Corps, Washington, D C 20380

Record source categories:

Each officer and noncommissioned officer in the rank of sergeant and above provides the personal information on the fitness report form. The form is then submitted to the commanding officer or immediate superior (reporting senior) for completion of the evaluation portion of the form and fowarding to Headquarters, U S Marine Corps, Washington, D C 20380

Systems exempted from certain provisions of the act:

None

MMN00013

System name:

Personnel Management Working Files

System location:

All Marine Corps activities.

Categories of individuals covered by the system:

Members of the U S Marine Corps and Marine Corps Reserve; former members of the Marine Corps and Marine Corps Reserve; retired and temporarily retired members of the Marine Corps and Marine Corps Reserve; members of the Fleet Marine Corps Reserve; and applicants for entry into the Marine Corps or Marine Corps Reserve.

Military personnel, federal employees, and dependents who apply through the Marine Corps for no-fee passports for official travel to countries requiring a passport.

Dependents of Marines and other family members with respect to matters pertaining to the individual Marine, former Marine or applicant.

Members of other services assigned to or serving with the Marine Corps.

Categories of records in the system:

File contains informaton pertaining to identification, recruitment, enlistment, commissioning, prior service, reenlistment or extension of enlistment, lateral occupational movement, civilian employment, letters of reference, education, training, career counselling, religious preference as provided by the individual, qualifications, intelligence and aptitude testing, classification, assignment, location addresses, promotions, reductions in rank, proficiency, conduct, performance of duty, discipline, offenses and punishments under the Uniform Code of Military Conduct, courts-martial, personal history, investigations, security clearances, police and court records, civil arrests and convictions, birth and marriage certificates, divorce and other decrees, financial responsibility and letters of indebtedness, marital status, dependents, families' citizenships, passports and visas, travel and travel orders, leave records, transportation of dependents and household goods, pay records, claims against the government, decorations and awards, commendations, medical records to include psychiatric evaluations, disability proceedings, separation and retirement, official correspondence (includes internal Marine Corps and Department of the Navy correspondence, as well as correspondence with the Executive, Legislative, and Judicial Branches of federal, state and local government) and other correspondence (includes correspondence from Marines, their dependents and families, attorneys, doctors, educators, clergymen and members of the general public whether addressed directly to the Marine Corps or via third parties, (president, congressmen, etc.), personnel who apply to express a grievance through personal interviews with the Commanding General via the chains of command as authorized by Article 1107.1, U S Navy Regulations (Request Mast), personal counselling.)

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps - To facilitate personnel management actions and decisions related to recruitment, enlistment, commissioning, testing, training, classification, assignment, transfer (including humanitarian), travel order issuance, passport application, promotion, reenlistment, retention on active duty, augmentation from reserve to regular status, recovery of absentees and deserters, investigations, correction of records, dependency status, disability proceedings, separation (including hardship discharge), transfer to the Fleet Marine Corps Reserve and retirement.

Marine Corps commands, organizations, districts, and units - By officials and employees of the Marine Corps in the execution of their official duties related to personnel management actions and decisions in support of pursuit of actions cited above. Such actions can include administration of requests, appeals, grievances, discipline and litigations; administration of benefits and entitlements; management and administration of retirement and veteran's affairs programs; responses to inquiries and correspondence; and the counseling of individual Marines regarding such matters as their performance records, career opportunites and personal concerns.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties in connection with military personnel management, appeals and litigations related thereto.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court orders pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files of the system.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps Manpower Management System.

To provide information to another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States which has been authorized by law to conduct law enforcement activities pursuant to a request that the agency or instrumentality initiate criminal or civil action against an individual on behalf of the U S Marine Corps, the Department of the Navy, or the Department of Defense.

To provide information to individuals pursuant to a request for assistance in a criminal or civil action against a member of the U S Marine Corps, by the U S Marine Corps, the Department of the Navy, or the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files as represented by card files, strip files, microfiche computer printouts from the Manpower Management System or the Joint Uniform Military Pay System and file folders. Files are stored in filing cabinets, on shelves and on tables in controlled access areas.

Retrievability:

Files are accessed and retrieved by subject and by the name and social security number.

Safeguards:

In compliance with the specified requirements for security of FOUO material.

Retention and disposal:

Files are retained for differing lengths of time, depending upon the purpose of the information contained therein. Promotion data is retained three years, then transferred to Historical Division, Headquarters, U S Marine Corps. Passport data is retained six years, then destroyed. Enlisted assignment data is retained two years, then destroyed. Certain officer assignment data is destroyed when the officer is released from active duty. Disability retirement data is retained two years from the date of removal of the individual from the Temporarily Disability Retirement List, then destroyed. Retirement correspondence is retained for one year following individual's retirement. Retirement files are retained until the individual's death. Personal counselling records are maintained one year, career counselling records are maintained within the individual's official records. All other files are retained three years, then destroyed.

System manager(s) and address:

Local commanding officer.

Notification procedure:

Information may be obtained from the Commandant of the Marine Corps (Code MM), Headquarters, U S Marine Corps, Washington, D C 20380, the current command, the last duty station, or applicable activity.

Additional information concerning personnel assigned to Occupational Field 55 (Band) may be obtained from the Commandant of the Marine Corps (Code MPC), Headquarters, U. S. Marine Corps, Washington, D. C. 20380 Telephone: Area Code 202/694-4154.

Record access procedures:

Requests from individual's may be addressed to the Commandant of the Marine Corps (Code MM), Headquarters, U S Marine Corps, Washington, D C , the current command or last duty station.

Written requests for information should contain the full name of the individual and his social security number or former military service number. The following information will also be helpful in locating some records: military rank and occupational specialty, dates and places of service, and any special correspondence previously received or sent.

For personal visits, the individual may visit the Personnel Management Division, Headquarters, U S Marine Corps, Federal Office Building 2, Washington, D C 20380 or Marine Corps commands and districts.

For personal visits, the individual should be able to provide personal identification to include valid military or dependent identification card or two valid civilian items of identification such as driver's license, social security card, medicare card, etc.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from Commandant of the the Marine Corps (Code M), Headquarters, U S Marine Corps, Washington, D C 20380

Record source categories:

Information in the system is obtained from the Marine Corps Manpower Management System; the Joint Uniform Military Pay System; Marine Corps Military Personnel Records to include the Service Record Book and Officer Qualification Record; Military Medical Records; Marine Corps Deserter Inquiry File; staff elements and subdivisions of Headquarters, U S Marine Corps; Marine Corps field commands, organizations, and activities; other components of the Department of Defense; agencies of federal, state, and local government, to include: civil courts and law enforcement, previous employers; financial institutions and commercial enterprises; educational institutions; private citizens provided as character references by the individual; investigations related to disciplinary proceedings; and correspondence of private citizens addressed directly to the Marine Corps or via third parties such as members of Congress and other governmental agencies.

Systems exempted from certain provisions of the act:

NONE

MMN00014

System name:

Work Measurement Labor Distribution Cards

System location:

All Marine Corps activities

Categories of individuals covered by the system:

Marine Corps employees, civilian, military and occasional summer hires funded by state and local programs

Categories of records in the system:

Labor distribution cards which have been prepared by either the concerned individual or the supervisor to record the number of hours worked, the number of units produced by the employee, the function of the employee during that time, and the job number of the job. Also, the system contains summarizations of said card and computer input and output relative to said card.

Authority for maintenance of the system:

Title 10, U. S. Code 124; 133

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide an input data base for daily labor on all individuals assigned to work organizations designated as part of the work measurement labor distribution system or to provide a data base for systems implementation testing.

Work Section Supervisors - Compiled reports by individual are prepared for the work section supervisor who verifies that each of the assigned employees either reported the required number of hours or entered appropriate corrections.

Work Measurement System - Integrates the data by individual to prepare productivity reports, statistical costs and budget workload information which is used primarily for local reports and to provide data for manpower requirements programs, both locally and at Headquarters, U. S. Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Labor distribution cards are processed to capture the source data. The input cards are then filed in nonsequential order pending completion of the report cycle. Punch cards or their successor equivalent will be input into a computer program to prepare the work center list by individual.

Punch cards may be summarized on noncomputerized lists by individual. Such lists may be kept by the employees' supervisor.

Retrievability:

The information identified by individual is available only from the lists maintained by the work center supervisor within one year of the work week in question.

Safeguards:

The alphabetical listings are maintained by each work center supervisor.

Retention and disposal:

Lists are destroyed one year after the subject work week.

System manager(s) and address:

Commanding officer of activity.

Notification procedure:

Information may be obtain from the SYSMANAGER.

Record access procedures:

Written requests from individuals should be addressed to the SYSMANAGER. Requests should include name of employee, work center number, and work week for which data is requested. Personal visits and telephone calls should be made directly to the employee's work center supervisor.

Contesting record procedures:

V 4 4 D E 1 7 7 9 UMI

The information on the list is only that which was submitted by the employee and should be corrected during the work month. After that time, the manhours are entered on local and Headquarters reports and no corrective action is possible.

Record source categories:

No particular format required for request.

Systems exempted from certain provisions of the act:

None.

MMN00016

System name:

Accident and Injury Reporting System

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system:

Military or civilian employees who are involved in accidents which result in lost time, government or private property damage or destruction and personnel injury or death.

Categories of records in the system:

Name, rank, social security number, type of accident, degree of injury, days lost, date of injury, date returned to work, date and time of death (if a fatality), and all other factors concerning such accidents and injuries.

Reports include consolidated accident injury report, accident injury report, and report of motor vehicle accident.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Providing reporting information to higher headquarters in the computation of accident injury rates, consolidated accident report by separate category, motor vehicle accident-injury rates.

For utilization in the establishment of safety program, identification of unsafe working conditions and such other areas which prove a danger to personnel and/or property.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder, card files, punched cards, magnetic tape, and display boards

Retrievability:

Name, SSN

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

Five years - disposal per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, military police traffic accident investigation reports, accident injury reports, other records of the activity, witness, and other correspondents.

Systems exempted from certain provisions of the act:

None

MMN00017

System name:

Armory Access and Individual Weapons Assignments

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system:

All personnel assigned government weapons.

All personnel authorized access to individual armories.

Categories of records in the system:

Records depict name of individual, type of weapon assigned, serial number of that weapon, accessories in the individual's possession, condition of the weapon and accessories, and individual's signature acknowledging receipt.

Name, rank, social security number of personnel authorized access to individual armories.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Weapons accountability, management and control of all U S Government weapons/accessories issued to personnel.

Control of personnel authorized access to armory spaces in the official execution of their duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, cards, punched cards, magnetic tapes.

Retrievability:

Records retained by name or weapons serial numbers.

Safeguards:

Access rosters and personnel weapons assignments are provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, other records of the activity.

Systems exempted from certain provisions of the act:

None

MMN00018

System name:

Base Security Incident Reporting System

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system:

Individual involved in or witnessing or reporting incidents requiring the attention of base security or law enforcement personnel.

Categories of records in the system:

Incident/complaint reports; witness statements; stolen property reports; military police investigator's report; military police motor vehicle accident and injury report; military police alert cards; military police property custody forms, tags, and disposition of evidence letters; military police field interview cards; military police desk blotter; use of force reports; traffic violation records; driving record reports; traffic court files; citations to appear before U S Magistrate; criminal investigation reports; civil court case records; minor offense report; uniform violation report; narcotics reports; polygraphy examinations; letters of warning/eviction from base housing; letters of warning/barring from federal reservation; Armed Forces police reports; suspect photographic files; child abuse files; juvenile case files; valuable property receipt; vehicle impound files and vehicle towing reports; suspension of driving privileges and revocation letters; assignment to absentee/deserter escort duty; informant list; Master Crime index card; evidence record file; military police log/journal; breathalyzer report; criminal investigation file; and any other such report received by military police personnel in the official execution of their duties.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For law enforcement purposes by duly authorized personnel of the U S Marine Corps, Department of Defense and its related components, representatives of the U S Congress or any committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of such files, or officials of federal investigative agencies in the performance of their official duties.

Provide evidence in uniform court of military justice and Title 18, U S Code 1382 proceedings and such related criminal investigations as are required.

Provide to local, state, and federal investigative agencies or court officials such information that properly falls within their purview requiring further investigation or court action.

Used by command legal personnel in the prosecution of military offenses and other administrative actions.

Support insurance claims and civil litigation.

Provide basis for revocation of base driving privileges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, metal filing cabinets, magnetic tapes.

Retrievability:

Name, Social security number, case number, organization

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5, U S Code 552 a (J) or (K) as applicable, for additional information, contact the SYSMANGER.

MMN00019

System name:

Drug/Alcohol Abuse Reporting Program

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system:

All military personnel who have been tested for, identified, evaluated, apprehended, or rehabilitated for drug or alcohol abuse.

All military personnel who have been granted drug abuse exemption.

All military personnel who are seeking assistance in drug or alcohol abuse programs.

Categories of records in the system:

Drug abuse identification/rehabilitation statistical reports, alcohol abuse identification/rehabilitation statistical reports, grant of drug exemption report, request for disposition on drug dependent personnel, grant of exemption/ rehabilitation case file to include medical evaluations, counselor evaluations, monthly progress reports, alcoholism education roster, and such correspondence or messages sent or sent by SYSMANAGER pertaining to the individual concerned. Urinanalysis specimen control register and military police drug/alcohol related offense reports.

Authority for maintenance of the system:

Title 5, U S COde 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information to Headquarters, U S Marine Corps, organization and command officers, who in the official execution of their duties require such information in order to manage the drug/alcohol abuse control programs to include identification, counseling, and rehabilitation of abusers, the granting of exemption, control of urine specimen and the reporting of statistical information. To provide counselor reference information for the establishment of case history, therapy plans, recommendations and referrals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tapes.

Retrievability:

Name, social security number, case number.

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER .

Record source categories:

Individual concerned, other records of the activity, medical personnel, military police or other correspondences.

Systems exempted from certain provisions of the act:

None

MMN00020

System name:

Pet Registration

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system:

Owners of pets residing on Naval reservations.

Owners of pets in quarantine as the result of biting complaints

Owners of pets whose pet is subject of nuisance complaints

Categories of records in the system:

Owners name, social security number, address and description of pet, tag number, vaccination and registration information.

Record of complaints for vicious animals or bites.

Record of complaints for nuisance pets

Authority for maintenance of the system:

Title 5, U S Code 301; Departmental Regulations, Federal, State, and Local Regulations, as applicable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide for registration of pets to ensure appropriate innoculations in compliance with federal, state, and local laws.

Assist in the identification of rightful owners.

Identity dangerous pets and provide for quarantine of those animals suspected of biting.

Identify those pets which pose a nuisance to others and/or a health or safety hazard.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

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File folders, card files, punched cards, magnetic tapes.

Retrievability:

Name, social security number, case number

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Veterinary records and statements provided by pet owners, bit victims, military police, animal shelter, hospital personnel.

Systems exempted from certain provisions of the act:

None

MMN00021

System name:

Weapons Registration

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system:

All individuals, military or civilian, registered firearms or other weapons with Provost Marshal.

All individuals who purchase a firearm or weapon at authorized exchange activities.

Any individual who resides in government quarters who possesses privately owned firearms.

Categories of records in the system:

Weapon registration cards, weapon permit cards, notification to commanding officers of failure to register a firearm purchased at authorized exchanges, exchange notification or firearm purchase. Such records showing name, rank. social security number, organization, physical location of subject weapon, weapon description and such other identifiable items required to comply with all federal state, and local weapons registration ordinances.

Authority for maintenance of the system:

Title 5, U S Code 301; Departmental regulations; federal, state and local regulations as applicable.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assure proper control of all firearms/weapons introduced onboard Naval reservations and to monitor the purchase and disposition of firearms/weapons onboard Naval reservations/Marine Corps installations.

To provide local, state, and federal law enforcement officials information as required in their execution of official duties.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tapes.

Retrievability:

Name, social security number, organization, caliber and gage of weapon

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded offices.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, other records of activity, investigators, witnesses and correspondents.

Systems exempted from certain provisions of the act:

None

MMN00022

System name:

Vehicle Control System

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system:

All individuals that have motor vehicles, boats, or trailers registered at a particular Naval installation on either a permanent or temporary basis.

All individuals who apply for a Government Motor Vehicle Operator's license.

All individuals who possess a Government Motor Vehicle Operator's license with authority to operate government motor vehicles.

Categories of records in the system:

Record files of each individual who have vehicles registered on a particular Naval installation which include decal data, insurance information, state of registration listing, auto license plate information, plus such other personal history data required vehicle registration and identification.

Records of traffic violations, citations and suspensions

For government motor vehicle operators: Application for vehicle operator's I D card: Operator qualifications and record of licensing examination and performance, record of failures Government Motor Vehicle Operator's permit, record of issue of SF-46, Record of Government Motor Vehicle accidents, standard Form 91 accident report, record of SF46 suspensions/ revocations, record of MOJT student driver's training.

Identification of parking control

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as car pool locator, vehicle registration, parking control insurance, verification and identification of vehicles to law enforcement personnel in the official execution of their duties.

To provide records on individual government drivers as it relates to their ability in operating a motor vehicle in order for official personnel to manage a safe and responsive motor transport organization. Such information used in conducting accident prevention programs, changing occupations and revoking or suspending government motor vehicle permits, disciplinary proceedings.

To assist federal, state, and local law enforcement agencies in the official execution of their duties when disclosure of such records is warranted.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tapes.

Retrievability:

Name, social security number, case number, organization, decal number, state license plate number, vehicle description.

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded offices.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

MMN00023

System name:

Prisoner Records

System location:

Organizational elements of the U S Marine Corps as listed in the Directory of Department of the Navy Activities.

Categories of individuals covered by the system:

All military personnel who are confined in a detailed, adjudged or sentenced status.

Categories of records in the system:

Information contained in the Manpower Management System data base, personal history to include civilian and military legal status, confinement progress reports and medical related information. Such other records as: Prisoner Conduct Record, Prisoner Confinement and Release Order, Prisoner Request for Restoration or Clemency, Prisoner Waiver of Restoration or Clemency, Court Martial Progress Report, Prisoner Identification Badge, Prisoner Data Card, Work and Training Report, Mail and Visiting List, Segregation Data Card, Prisoner Refusal to Eat Report, Prisoner Initial Contact Sheet, Prisoner Personal History, Prisoner Spot Evaluation Report, Counselor Continuation Sheet, Disciplinary Report, Prisoner Request Form, Prisoner Request for Funds Form, Prisoner Request for Pastoral Counseling, Prisoner Visiting Officer Form, Telephone and/or Visit Authorization Form, Receipt for Deposit Form, Prisoner Credit Chit, Prisoner Identification Form, Clothing/Health and Comfort Inventory Form, Work Program Request, Library Card, Psychiatric Evaluation and Medical Reports.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide an all inclusive file on each individual prisoner to assist facility staff personnel in the evaluation, assignment to programs, assignment of custodial classification, providing psychiatric and medical treatment, provide a proper mixture of individual and group counseling, in the preparation of the prisoner for offense free military service or to prepare him for his future adjustment to civilian life. Routinely used by local correctional personnel in the day-to-day management of prisoners within established programs, by medical personnel, local commanders and higher headquarters in the management and implementation of correctional programs.

Congress of the U S - By the Senate or House of Representatives of the U S or any committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of the files.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of the duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tapes.

Retrievability:

Name, social security number, case number, organization.

Safeguards:

Access provided on a need-to-know basis only. Locked and/or guarded office.

Retention and disposal:

As established by SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

MMN00024

System name:

Absentee Processing File

System location:

Organizational elements of the U. S Marine Corps as listed in the Director of the Department of the Navy Activities.

Categories of individuals covered by the system:

Marine Corps absentees and deserters; Marines in hands of civil authorities foreign and domestic; Marines who fail to comply with orders to new duty stations; suspected and convicted absentees and deserters who have returned to military control within the last two years.

Categories of records in the system:

Files contain manual records. These records reflect personal identification data, absentee's current status, parent command, notations of arrests, nature and disposition of criminal charges, and other pertinent information which is necessary to monitor, control and identify absentees.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For law enforcement purposes.

Headquarters, U S Marine Corps and Marine Corps commands, activities, and organizations - By officials and employees of the Marine Corps in connection with their assigned duties to record and monitor deserter/ absentee cases entered into the National Crime Information Center's Wanted Persons File; to monitor and assign absentees upon their return to military control; to ensure that absentees are formally charged in accordance with the Uniform Code of Military Justice prior to expiration of the Statute of Limitations; to monitor Marine absentees and deserters believed to be located in foreign countries; to monitor Marines who have failed to comply with permanent change of station (PCS) orders or orders to travel and report without escort; to insure correspondence pertaining to absentees and deserters received by the Marine Corps is processed in a timely manner; to insure that appropriate action is taken within the Manpower Management System to join or drop absentees to desertion; to provide periodic management reports concerning absentees and deserters as directed by higher authority.

Comptroller General of the U S - To respond to the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to Marine Corps Manpower Management Programs.

The Attorney General of the U S - To coordinate with the Attorney General or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice as carried out as the legal representative of the Executive Branch.

The Department of Defense - To coordinate with the other components of the Department of Defense as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Civilian Law Enforcement Agencies - To coordinate with appropriate federal, state, and local law enforcement agencies as may be required to report, identify, apprehend and return Marine absentees and deserters to Marine Corps control.

Courts - To respond to court orders in connection with matters before a court.

Congress of the United States - To respond to inquiries of the Senate or the House of Representatives of the United States or any committee or subcommittee thereof or any joint committee or joint subcommittee of the Congress on matters within their jurisdiction as may be requested of the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders, card files, and punched cards.

Retrievability:

Records may be accessed by name, social security number, case number, or organization.

Safeguards:

Records are located in areas acessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

As established by the SYSMANAGER per SECNAV Records Disposal Manual.

System manager(s) and address:

Commandant of the Marine Corps (Code MP), Headquarters, U S Marine Corps, Washington, D C 20380 or the Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Notification procedure:

Apply to SYSMANAGER.

Record access procedures:

Requests from individuals should be addressed to the Commandant of the Marine Corps (Code MP), Headquarters, U S Marine Corps, Washington, D C 20380 or the Commanding Officer of the activity in question. See Directory of Department of the Navy Mailing Addresses.

Written requests for information should contain the full name of the individual, his place and date of birth, his social security number, and his signature.

For personal visits, the individual should be able to provide military identification card, driver's license or other type of identification bearing picture or signature or by providing verbal data sufficient to insure that the individual is the subject of the inquiry.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations may be obtained from the Commandant of the Marine Corps (Code JA), Headquarters, U S Marine Corps, Washington, D C 20380.

Record source categories:

Information in the system is obtained from the Marine Corps Military Personnel Records; from the individual's commanding officer, officer-in-charge, federal, state and local law enforcement agencies, lawyers, judges, Members of Congress, relatives of the individual, private citizens, the Veteran's Administration, and the individuals themselves.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5, U. S Code 552 a (j) or (k) as applicable. For additional information, contact the SYSMANAGER.

MMN00027

System name:

Marine Corps Military Personnel Records Access Files

System location:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Categories of individuals covered by the system:

All officials and employees of the Department of Defense authorized to draw Marine Corps military personnel records and, except for agents of Secret Service, Federal Bureau of Investigation and Naval Investigative Service which agents are granted access by presentation of credentials, all designated, justified and approved law enforcement/investigative personnel of other Federal agencies permitted access to Marine Corps military personnel records at Headquarters, U S Marine Corps only.

Categories of records in the system:

Authorization cards submitted by officials of HQMC and DOD granting individual authority to order Headquarters, U. S Marine Corps official military personnel records.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of Headquarters, U S Marine Corps. For controlling, monitoring and for providing a ready reference to personnel authorized to draw and/or review Marine Corps military personnel records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Looseleaf Binder and Card Index Files

Retrievability:

Alphabetical and by Agency

Safeguards:

Building employs security guards.

Retention and disposal:

Destroyed upon cancellation of access authorization.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Request by correspondence should be addressed to the Commandant of the Marine Corps (Code MSRB), Headquarters, U S Marine Corps, Washington, D C 20380. The letter should contain the full name, social security number and signature of the requester.

The individual may visit Headquarters, U S Marine Corps, Washington, D C., Room 1206. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from:
Commandant of the Marine Corps
Headquarters, U S Marine Corps (Code MSRB)
Washington, D C 20380
Telephone Area Code 202/694-1043

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Staff agencies and subdivisions of Headquarters, U S Marine Corps.
Other staff agencies of the Department of Defense.
Law enforcement/investigative divisions of other Federal agencies.

Systems exempted from certain provisions of the act:

None

MMN00032

System name:

Personal History Card File

System location:

Provost Marshal's Office, Marine Corps Base, Camp Lejeune, North Carolina 28542.

Categories of individuals covered by the system:

All individuals, both military and civilian, employed aboard Marine Corps Base, Camp Lejeune, North Carolina.

Categories of records in the system:

Personal History Card (MCBul 12290). Contains personal identifying information and where employed.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by officials and employees of Marine Corps and Navy Commands, activities, and organizations in connection with their assigned duties. To provide a rapid locator of employees at their work site for

law enforcement purposes. Also used to issue Civilian Identification Cards to employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records filed in metal card trays.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are maintained in a secure area accessible only to authorized personnel. The File Room is under constant surveillance during working hours and is locked after working hours.

Retention and disposal:

Records are retained until the card expires, then destroyed by burning.

System manager(s) and address:

Commanding General (Attn: Provost Marshal), Marine Corps Base, Camp Lejeune, North Carolina 28542. Telephone: Area Code 919/451-2455.

Notification procedure:

Inquiries by individuals will be answered upon satisfactory identification of the requester to the SYSMANAGER

Record access procedures:

Rules for access may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER .

Record source categories:

Military and civilian personnel employed aboard Marine Corps Base, Camp Lejeune, North Carolina; Provost Marshal administrative personnel.

Systems exempted from certain provisions of the act:

None

MMN00034

System name:

Personnel Procurement Working Files

System location:

Headquarters, U S Marine Corps
Personnel Procurement Branch, Marine Corps Districts
Recruiting Stations
Officer Selection Offices
Organized Marine Corps Reserve units
U S Marine Corps recruiting substations
Inspector-Instructor staffs

Categories of individuals covered by the system:

Civilians and prior service individuals who are prospective applicants for enlistment in the Marine Corps, Marine Corps Reserve or a Marine Officer program, individuals on which a written waiver for enlistment has been requested; Platoon Leader Class Candidates receiving financial assistance while attending college; all individuals applying for various officer programs; Marine Corps Reserve enlistees who are serving on their 6 months active duty prior to return to Organized Marine Corps Reserve unit maintaining their record; Personnel enlisted in the Marine Corps Reserve assigned to a formal school upon enlistment; Secondary school students who participated in the Marine Corps Youth Physical Fitness meet held annually in Washington, D C , and the coach fielding each team; Any individual recommended for enlistment in the Marine Corps by a recruiting officer even though the applicant does not meet the enlistment requirements set forth in current guidance as set forth by the Commandant of the Marine Corps.

Categories of records in the system:

All files contain Name (Last, First, Middle, (maiden, if any), Jr., Sr.), social security number, home of record. Files relating specifically to enlistment or officer procurement contain citizenship, sex, race, ethnic group, present address, marital status, number of dependents, date of birth, religious preference, highest grade completed, selective service system data, foreign language and skill, driver's license information, mental and aptitude test results, medical examination result, delayed enlistment program information, accession data, educational experience, citizenship verification, history of prior military service, names of relatives to include date and place of birth, present address and citizenship, listing of commercial life insurance policies and number, relatives and alien friends living in foreign countries to include name and relationship, age, occupation, address and citizenship, all previous residences since 10th birthday, previous employment record to include company name and address, job title and supervisor's name, data concerning previous employment by foreign governments, prior membership in youth programs, history of foreign travel. Declarations from the individual concerning; previous rejection by the Armed Forces of the United States, conscientious objector status, previous deserter status, retired pay, disability allowance, or severence pay or a pension from the Government of the United States, status as an only child; understandings by the applicant; date of interview and name, organization, title of interviewer; history of prior use of drugs except as prescribed by a licensed physician; prior intentional sniffing of glue, hairspray or other chemical fumes; prior use, purchase, possession or sale of illegal or controlled drugs except as prescribed by a licensed physician; marital status and dependency; membership in groups for purpose of unlawful overthrow of the Government; history and record of involvement with police or judicial authorities; parental/guardian consent for enlistment; enlistment options; current income; whether own, buying, or renting present residence; outstanding debts to include total amounts and monthly payments; status of savings account and checking account; spouses' employment and monthly income; police checks; character references; record of prior service; court documents; marriage certificates; birth certificates; record of medical examination; record of medical history; medical consultations statement of personal history; divorce decrees; death certificates; photographs; high school diploma; college diploma; grade transcript; General Educational Development certificates of High School equivalency; sole surviving son statements; statement of understanding; wife's consent form; applications for General Educational Development certificates of High School equivalency. Files relating to Marine Corps Reserve personnel on active duty contain information pertaining to name, social security number, sex, unit of assignment, home of record, education, Armed Services Vocational Aptitude Battery Test scores, vision, military occupational specialty training information, Quota Serial Number, training authorized.

Authority for maintenance of the system:

Title 5, U. S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By officials and employees of the Marine Corps in the execution of their official duties with regard to personnel procurement and problems which develop as a result thereof; maintained to assist recruiters and Officer Selection Officers in contacting possible applicants for the Marine Corps.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Reserve Unit commander and administrative personnel, to monitor return of enlistee to unit and provide information on anticipated unit strength and status; To make available emergency data information.

Recruiting Station and Inspector-Instructor Staff Personnel in their assigned duties.

To provide Headquarters, U S Marine Corps information on those individuals attending the Marine Corps Youth Physical Fitness national championship.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder. Records are maintained in areas accessible only to authorized personnel.

Retrievability:

Individuals listed in alphabetical order according to program.

Safeguards:

Access is limited to Reserve unit command, recruiting, and administrative personnel and law enforcement or Federal agents upon presentation of proper credentials.

After working hours the office and building are locked.

Retention and disposal:

Maintained for two years or until prospect, applicant, candidate or reservist changes status.

System manager(s) and address:

Commander of unit holding file.

Notification procedure:

Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures:

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The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the Individual concerned may be obtained from the SYSMANAGER.

Record source categories:

High School Lists, DD 214's, Prospect interviews/Referrals, Local Newspapers, Youth Fitness programs, individual contacts, Marine Corps officials.

Systems exempted from certain provisions of the act:

None

MMN00035

System name:

Truth Teller/Static Listings

System location:

The Commandant of the Marine Corps
Headquarters, U S Marine Corps
Washington, D C 20380

Categories of individuals covered by the system:

All present and former members of the U S Marine Corps

Categories of records in the system:

The system comprises non-automated records of basic information (Name, Military Service Number/Social Security Number, Pay Entry Base Date, Home of Record (State and County) and Date of Birth) pertaining to all individuals who ever served in the U S Marine Corps.

Authority for maintenance of the system:

Title 10, U S Code Section 5201

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of Headquarters, U S Marine Corps for making necessary identification of members and former members of the U S Marine Corps in connection with official business and in response to inquiries received at the Headquarters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders, Binders and Microfilm Cartridges

Retrievability:

Name, Military Service Number and Social Security Number

Safeguards:

Records maintained in locked room. Building employs security guards.

Retention and disposal:

Permanent

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380

Notification procedure:

Request by correspondence should be addressed to the Commandant of the Marine Corps (Code MSRB), Headquarters, U S Marine Corps, Washington, D C 20380. The letter should contain the full name, social security number and signature of the requester.

The individual may visit Headquarters, U S Marine Corps, Columbia Pike and Arlington Ridge Road, Arlington, Virginia, room 1206. Proof of identification may consist of his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD214), his discharge certificate, his driver's license or by providing such other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures:

Information may be obtained from:
Commandant of the Marine Corps (Code MSRB)
Headquarters, U S Marine Corps
Washington, D C 20380
Telephone Area Code 202/694-1043

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Enlistment and Officer Acceptance Contracts

Systems exempted from certain provisions of the act:

None

MMN00036

System name:

Identification Card Control

System location:

All United States Marine Corps units.

Categories of individuals covered by the system:

Regular and Reserve Marines including retired and disability retired and their dependents who have been issued an Identification Card.

Categories of records in the system:

Log book contains name, rank, social security number, and card number, issue date, expiration date, signature of person card issued to and signature of issuing person.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain accountability for serialized Identification Cards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

These records are kept in a log book.

Retrievability:

By type card, chronologically by date also retrievable by name.

Safeguards:

The log books are stored in a locked container in a location which is locked after working hours. A guard is located in the general area.

Retention and disposal:

Two years from date of closing entry.

System manager(s) and address:

Unit Commanders.

Notification procedure:

Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD 214 and driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Officers Qualification Record/Service Record Book of individual application for dependents priviledge card, correspondence from Headquarters, U S Marine Corps.

Systems exempted from certain provisions of the act:

None

MMN00037

System name:

Library Patron File

System location:

System is decentralized - maintained at Marine Corps commands, organizations and activities having libraries.

Categories of individuals covered by the system:

All active, reserve and retired military personnel, their dependents, and others who are entitled to use and borrow material from Marine Corps libraries.

Categories of records in the system:

The library patron file may contain the following information pertinent to each individual: name; rank; social security number; organization and organization address and phone number; home address and home phone number; names and ages of dependents; title of materials borrowed; date borrowed; date due; date returned; and notation of monetary settlement if borrowed material was lost or damaged.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and it's Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card Files.

Retrievability:

File alphabetically by last name of patron.

Safeguards:

Library is locked when not in use. Only authorized personnel have access to records during working hours.

Retention and disposal:

Records are maintained for up to seven years, based on library usage. After retention period records are destroyed.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from the library in question; addresses are as contained in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures:

Requests from individuals should be addressed to the commander of the Marine Corps command, organization or activity that maintains the library in question.

Written requests for information should contain the full name of the individual, social security number, organization to which assigned when library facility utilized, and current address.

For personal visits the individual should be able to provide acceptable personal identification during normal hours of library operation.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Information is obtained from individual concerned, library director and library staff.

Systems exempted from certain provisions of the act:

None

MMN00038

System name:

Amateur Radio Operator's File

System location:

Marine Corps activities

Categories of individuals covered by the system:

All amateur radio operators who operate at Marine Corps activities.

Categories of records in the system:

File contains name, Federal Communications Center license number, operating frequency, type of equipment and home address.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Communications Center personnel - To ensure proper radio management at Marine Corps activities

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3x5 card in metal file box.

Retrievability:

Alphabetical

Safeguards:

Security area.

Retention and disposal:

Destroyed upon departure from Marine Corps activity

System manager(s) and address:

Commanding Officer of activity concerned. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Information may be obtained from:
Commanding Officer of activity concerned.

Record access procedures:

Requests from individuals should be addressed to the Sysmanager.

Written requests for information should contain the full name and grade of the individual.

For personal visit, the individual should be able to provide valid personal identification such as an employee badge, driver's license, medicare card, etc.

Contesting record procedures:

The Marine Corps rules for contesting and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual

Systems exempted from certain provisions of the act:

None

MMN00039

System name:

Amateur/Citizen Band Radio Operation Request and Authorization File

System location:

Communication Electronics Office, Marine Corps activities

Categories of individuals covered by the system:

All personnel who desire to operate amateur/citizen band radios at Marine Corps installations.

Categories of records in the system:

(Amateur/Citizen Band Radio Operation Request and Authorization Form).

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides authorization for personnel to operate amateur/citizen band radio and provides controls for the use of these radios. Used by requestor as authorization to operate. Used by CEO as record of authorization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Papers filed in three-ring binder.

Retrievability:

Numerically by card number.

Safeguards:

Located in a secure area that is manned on a 24-hour basis.

Retention and disposal:

Retained for one (1) year and if not renewed, the form is destroyed by burning or shredding.

System manager(s) and address:

Commanding Officer of activity in question. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Request information from SYSMANAGER

Record access procedures:

Rules for access may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual requester and Communication Electronics Officer.

Systems exempted from certain provisions of the act:

None

MMN00040

System name:

Individual Training Records/Files for Training Related Matters

System location:

System is decentralized - maintained at all Marine Corps commands, organizations and activities, Regular and Reserve.

Categories of individuals covered by the system:

All military personnel assigned, attached to or serving with a Marine Corps command, activity or organization to include recruit training, formal military schools, operational units and training facilities.

Categories of records in the system:

The individual training record may contain the following information pertinent to each individual: name, rank, social security number, age, sex, military occupational specialty or specialties, date joined unit, date of end of active service, date of birth, proficiency and conduct scores, physical fitness test scores, rifle and pistol qualification scores, gas mask size, blood type, leadership proficiency, military school and correspondence course records and results, special training qualifications, weight and physical characteristics, medical record extracts addressing weight control and physical fitness, human relations training experience, troop information exposure, general military subject test results, water survival qualification, instructor qualifications, specialized equipment qualification, personal counseling records, foreign language qualifications, inspection results, etc.

In the case of recruit training, special data as reflects remedial training, counseling, weakness or excellence, recruit questionnaires and reading evaluations may be included.

For personnel attending formal schools, evaluation information and data reflecting successful completion or termination for cause may be included.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in connection with their assigned duties.

Department of Defense and it's Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, loose-leaf notebooks and card index files.

Retrievability:

Files are retrievable by name and cross filed by social security number.

Safeguards:

Records are retained in controlled access areas and handled by trained and cleared personnel on a strict 'need-to-know' basis.

Retention and disposal:

Files are retained during the period the individual is assigned to the activity maintaining the record. Upon transfer of the individual concerned, records are transferred with the individual or destroyed.

In the case of Drill instructor or Recruit records, records are maintained for four years after departure of individual, then destroyed.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from the commander of the Marine Corps command, organization or activity to which the individual is assigned for duty or training.

Record access procedures:

Requests from individuals should be addressed to the commander of the command, organization or activity to which assigned for duty or training. Addresses are as contained in the Navy Standard Distribution List (OPNAV PO9B3-107).

Written requests should contain name, rank, social security number and dates assigned to the activity addressed. In cases where individual attended a formal school, name of course and course number should be included if available.

Personal visits may be made to the activity in question any normal work day between 8:00 a.m. - 4:30 p.m. For personal visits individual should be able to provide valid personal identification.

Contesting record procedures:

The agency's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Training performance, evaluations, on-the-job performance evaluations, individual and instructor evaluations. Individual Service Records, Manpower Management System, test and inspection results and training correspondence addressing individual concerned.

Systems exempted from certain provisions of the act:

None

MMN00041

System name:

Non-Appropriated Fund (NAF) Employee and Applicant Personnel Records

System location:

Marine Corps commands employing NAF personnel

Categories of individuals covered by the system:

Personnel, to include off-duty military personnel, applying to or hired by Marine Corps commands which salaries are paid with NAF.

Categories of records in the system:

Records may contain any of the following documents and information on NAF employees - name, home address, home and office telephone number, social security number, employee application, personal history statement, reference data, education, work experience, photograph, work permit, union participation, date of birth, emergency contact information, employee number, military grade (if applicable), job description, job assignment, application for group insurance and retirement plans (or signed waiver), leave and pay data, performance reviews, reports of physical examinations, reports of accident/traffic violations, warning notices of excessive absence and tardiness, reports of grievances hearings/disciplinary action, record of court attendance, certified copy of completed military orders for any annual duty tours with recognized military Reserve organizations, security clearance data, bad debt notices, employment compensation documents, commendations and awards, separation information, and official correspondence.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps commands - By officials and employees of respective commands in the execution of assigned duties pertaining to management and administration of NAF personnel resources to include employment acceptability, assignments, pay, promotion, performance evaluations, security, growth potential, leave, awards, benefits and entitlements, disciplinary and grievance proceedings, appeals, discrimination complaints, retirement, separation, terminations, physical evaluations and audits.

By court order in connection with matters before a federal, state or municipal court.

By agents of the Federal Bureau of Investigation, Secret Service and Naval Investigative Service in connection with matters under the jurisdication of these investigative bodies upon presentation of credentials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and binders and magnetic tape.

Retrievability:

Alphabetically and by social security number

Safeguards:

Respective commands employ one or more safeguards such as locked containers, locked rooms, locked buildings, access by authorized personnel only, and employment of security guards.

Retention and disposal:

Records are maintained for period of employment plus two years. Records of employees transferring to another NAF activity are transferred to the new activity. Records of separated employees are transferred to the National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118.

System manager(s) and address:

Commandant of the Marine Corps, Headquarters, U. S. Marine Corps, Washington, D C. 20380.

Notification procedure:

Information may be obtained from the command at which the individual is employed. Addresses are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures:

Individuals may visit or request information by correspondence to the command as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Written requests for information should contain the full name of the requester, his social security number and his signature.

For personal visits, the individual will be required to provide such proof of identification as his driver's license, his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD From 214) or such other data sufficient to insure that the individual is the subject of the inquiry.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee applications, personal interviews, former employers and supervisors, investigative and law enforcement agencies, originators of correspondence, employee references, schools, physicians and employing command.

Systems exempted from certain provisions of the act:

None

MMN00042

System name:

Marine Corps Locator Files

System location:

System is decentralized - maintained at Marine Corps commands, organizations and activities.

Categories of individuals covered by the system:

A Locator File of Assigned Military and Civilian Personnel

Categories of records in the system:

Locator files may contain any of the following information on Officer, Enlisted and Civilian personnel assigned to respective commands, organizations and activities of the Marine Corps: name, rank/grade, date of rank, selection for promotion, social security number, billet title, lineal number, Table of Organization line number, home address and telephone number, office code, room number and telephone number, new mailing address of transferred personnel, prior mailing address of newly assigned personnel, marital status, name of spouse, names of children, name and address of next of kin, Military Occupational Specialty, date of birth, pay entry base date, expiration of active service date, home state, educational background, state where admitted to bar, identification badge number, payroll number, government vehicle drivers license date, rotation tour date, overseas control date, date reported to respective command, organization or activity, occupation address and telephone number for inactive reserves and security clearance data.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps Commands, Organizations and Activities - By officials and employees of respective commands, organizations and activities in the execution of assigned duties such as mail and employee directory services, social, official and semi-official functions, emergency recall functions, mail distribution, employee welfare functions, dissemination of information, ceremonial functions, and duty rosters.

Department of Defense and it's Components - By officials and employees of the Department in the performance of their official duties.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

U S Postal Service - By duly designated Postal Officials pertaining to matters properly within the purview of the U S Postal Service.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Books, cards, rosters, strip files, file folders, loose leaf binders, log books, embossed plates, microfilm/fiche or magnetic records and discs.

Retrievability:

The data contained on magnetic records can be displayed on cathode-ray tubes, computer printed on paper, and converted to microform for information retrieval; the data in file folders and other documents is retrieved manually. Normally, all types of records are retrieved by Social Security Number and name.

Safeguards:

Marine Corps commands, organizations and activities employ one or more safeguards such as limited controlled distribution, employment of security guards, accessibility by authorized personnel only, locked containers, locked rooms or locked building.

Retention and disposal:

Permanent. Updated as required.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from the individual command, organization or activity to which individuals are assigned for duty. Addresses are as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Record access procedures:

Individuals may visit or request information by correspondence to the individual command, organization or activity as listed in the Navy Standard Distribution List (OPNAV PO9B3-107).

Written requests for information should contain the full name of the requester, his Social Security Number and his signature.

For personal visits, the individual will be required to provide such proof of identification as his drivers license, his active, reserve or retired identification card, his Armed Forces Report of Transfer or Discharge (DD Form 214) or such other data sufficient to insure that the individual is the subject of the inquiry.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Service Record Book, Officer Qualification Record, Manpower Management System, Reserve Personnel Management Information System, Unit Diaries, Combined Lineal Lists of active duty and reserve commissioned and Warrant Officers, Tables of Organization, Official Orders, Civilian Personnel records, other Marine Corps activites, and individuals concerned.

Systems exempted from certain provisions of the act:

None

MMN00043

System name:

Marine Corps Recreation Property Records and Facilities

System location:

Marine Corps activities maintaining recreation files.

Categories of individuals covered by the system:

Authorized personnel to utilize special services facilities

Categories of records in the system:

Usage data records on each activity

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By management personnel to record usage.

Marine Corps activities and organization - By Marine Corps officials and employees in executing their assigned duties.

Department of Defense and its components - By officials and employees of the Department in the performance of their official duties.

Congress of the U. S. - By the Senate or the House of Representatives of the U. S. or any committee or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U. S. - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

In paper records in file folders.
Card files and usage logs.

Retrievability:

Alphabetical by name for property records.
By activity usage logs.

Safeguards:

Records are maintained in a metal file in the recreation property compound and athletic/recreation office. During non-operating hours, the activity is locked.

Retention and disposal:

Usage logs are maintained for one to four years.
Until equipment is returned or recreation fund is reimbursed.

System manager(s) and address:

Local Commanding Officers. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Local Commander

Record access procedures:

Information may be obtained from local Commander.

Contesting record procedures:

The Marine Corps rules for contesting and appealing initial determinations may be obtained from the Sysmanager.

Record source categories:

Individual activities, individuals, ID cards

Systems exempted from certain provisions of the act:

None

MMN00045

System name:

Automated Systematic Recruiting Support System (ASRSS)

System location:

The system will be operated at each Recruiting Station, District Headquarters, and Marine Corps Recruit Depot within the Marine Corps. See organizational elements of the U. S. Marine Corps as listed in the Directory of the Department of the Navy Activities.

Categories of individuals covered by the system:

All Marine Corps Regular and Reserve recruits.

Categories of records in the system:

File contains information voluntarily provided by recruits as contained on the Application for Enlistment - Armed Forces of the United States.

Authority for maintenance of the system:

Title 10, U. S. Code 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Marine Corps Recruiting Stations - Ensure that a member of the Delayed Entry Pool is shipped to Marine Corps Recruit Depot on the appropriate date. Ensure that recruits are not retained in the Delayed Entry Pool longer than the authorized period. Give proper credit, e.g., Meritorious Appointment to Private First Class, to recruits who have referred other enlistees to the Marine Corps. Keep track of recruits who successfully complete recruit training for subsequent assistance as recruiter aides while on recruit leave.

Marine Corps District Headquarters - Monitor the status of accessions by category, e.g., Mental Group; losses from the Delayed Entry Program recruiter performance by 'waiver code.'

Marine Corps Recruit Depot - Ensure that those recruits shipped from various recruiting stations and Armed Forces Examining and Entrance Stations (AFEES) arrive at the Marine Corps Recruit Depot on schedule. Trace recruiter malpractice allegations to the proper source.

Headquarters, U. S. Marine Corps - Monitor accessions by program option/guarantee. Match total accessions throughout the country to demographic data available through the Recruit Market Network. Track Reserve accessions by Reserve unit, Military Occupational Specialty (MOS), and availability for active service training. Respond to Congressional inquiries on individual cases in a timely, accurate manner.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The file will be stored via on-line magnetic disk with backup on magnetic tape. Backup audit trail record will be available at the point-of-entry.

Retrievability:

Standard reports and ad hoc retrievals are generated from remote terminals using a data base management system. Additionally, updates and record browsing may be accomplished in the interactive mode through keying Social Security Number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared, and trained.

'Hard copy' or paper output from the system is stored in locked containers.

System software contains user passwords to lock out unauthorized access.

Software contains partitions to limit access to appropriate organizational level.

Retention and disposal:

On-line magnetic records will be maintained for one year after completion of recruit training. Records are then retired to a 'history file' where they will be retained for a period of four (4) years and then destroyed.

System manager(s) and address:

Commandant of the Marine Corps (Attn: Deputy Chief of Staff for Manpower), Headquarters, U. S. Marine Corps, Washington, D. C. 20380.

Notification procedure:

Requests from individuals for information concerning their ASRSS records should be addressed to the Commandant of the Marine Corps (Code MPI-40), U. S. Marine Corps, Washington, D. C. 20380. Requesting individual should supply full name and Social Security Number.

The requester may also visit any Marine Corps Recruiting Station to determine whether ASRSS contains records pertaining to him or her. In order to personally visit a Recruiting Station and obtain information, individuals must present proper identification such as military identification, if a service member, driver's license, or some other suitable proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

The Recruiting Station, Marine Corps Recruit Depot, and the individual recruit are the sources of the information contained in the ASRSS record for that person.

Systems exempted from certain provisions of the act:

None

MMT00001

System name:

Dependent (Title 6) Schools Records System

System location:

Dependent (Title 6) Schools located at Marine Corps installations.

Categories of individuals covered by the system:

All students enrolled in Dependent (Title 6) Schools location at Marine Corps installations.

Categories of records in the system:

System consists of individual student records, master schedule, student schedule, student class lists, student scheduling cards, etc. Information consists of student academic performance, attendance, discipline, activities, aptitude, health and emergency record data to properly administer and assist the student while enrolled in the particular school or school system.

Authority for maintenance of the system:

Title 5, U.S. Code and Title 6 U.S. Code

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Dependent (Title 6) School and school systems in the execution of their assigned duties.

Marine Corps - By officials and employees of the Marine Corps in the execution of their assigned duties.

Other Federal Agencies - By officials and employees of other Federal Agencies in the execution of their assigned duties as such duties pertain to Dependent (Title 6) Schools.

State and Local Education Agencies - By officials and employees of state and local education agencies in the execution of their official duties as such duties pertain to Dependent (Title 6) Schools.

Courts - By officials and employees of local, state, and federal courts as dictated by court order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders, machine workable cards, and other Data Processing mediums.

Retrievability:

Information is retrieved by student name or student number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel and handled by personnel who have been cleared and trained in handling of personnel information.

Retention and disposal:

Records are maintained during the period of student enrollment and for a period of up to three years after student departure from the rolls of the school. Records are then destroyed or retired to the Army Records Center, St Louis, Missouri.

System manager(s) and address:

Superintendent of the school system in which the particular student is enrolled.

Notification procedure:

Information may be obtained from the particular school or school system in which the student is enrolled: Commanding General (Attn: Supt Depn Scol) Marine Corps Base, Quantico, Virginia 22134; Commanding General, (Attn: Supt Depn Scol), Marine Corps Base, Camp Lejeune, North Carolina 28542; Commanding Officer, (Attn: Supt Depn Scol), Marine Corps Air Station, Beaufort, South Carolina

Record access procedures:

The rules for access to records may be obtained from the appropriate Sysmanager.

Contesting record procedures:

Rules for contesting the contents of records and appealing initial determinations by the individual concerned may be obtained from the appropriate Sysmanager.

Record source categories:

Information is obtained from individual concerned, his teachers, administrators, and other professional health and educational personnel.

Systems exempted from certain provisions of the act:

None

MMT00002

System name:

Marine Corps Institute Correspondence Training Records System

System location:

Marine Corps Institute, Box 1775, Washington, D. C. 20013

Categories of individuals covered by the system:

All enrollees in Marine Corps Institute correspondence courses.

Categories of records in the system:

Records contain information for identifying enrollees, their addresses, their progress in the course of study, and the results of their final examinations.

Authority for maintenance of the system:

Title 5, U. S. Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U. S. Marine Corps and Marine Corps commands, activities, and organizations for use by officials and employees of the Marine Corps in matters relating to their assigned duties.

Upon request and with the consent of the individual concerned, transcripts of course completions are provided to academic institutions for evaluation for academic credit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, microfiche, magnetic tape, and magnetic disks.

Retrievability:

Name and SSN.

Safeguards:

Access provided on a need to know basis only. During non-working hours, the doors to the Institute are locked.

Retention and disposal:

Retained indefinitely.

System manager(s) and address:

Student Services Officer, Marine Corps Institute, Marine Barracks, Box 1775, Washington, D. C. 20013

Notification procedure:

Apply in writing to SYSMANAGER. Provide full name, social security number or service number, date of completion or enrollment, course number, and course title.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information in the system is obtained from enrollment applications and subsequent forms submitted by the enrollee, from the individual's commanding officer, from the Marine Corps Manpower Management System, and from Marine Corps Automated Services Center, Kansas City.

Systems exempted from certain provisions of the act:

None

MRS00001

System name:

Reserve Personnel Management Information System (REPMIS)

System location:

Primary System - Marine Corps Automated Services Center, 1500 East Bannister Road, Kansas City, Missouri 64131

Decentralized Segments - Input to the system is limited to the unit diary submission of the Marine Corps Reserve unit to which the individual is assigned for administration. Output from the system is available at the following locations: Department of Defense, Headquarters, U S Marine Corps, 4th Marine Division, 4th Marine Aircraft Wing, 6th Marine Corps District Headquarters and the Marine

Corps Reserve unit to which the individual is assigned. Addresses of each Distribution List (OPNAV-P09B3-107).

Categories of individuals covered by the system:

Marine Corps Reservists in the Selected, Individual Ready, Standby, and Fleet Marine Corps Reserve categories.

Categories of records in the system:

File contains the master personnel records to include personal identification, education, training, military occupational specialties, contractual agreements, and other data required for effective personnel management and administration.

Authority for maintenance of the system;

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Headquarters, U S Marine Corps and Marine Corps commands, activities and organizations - By officials and employees of the Marine Corps in the execution of their official duties.

Department of Defense and its Components - By officials and employees of the Department in the performance of their official duties.

The Attorney General of the U S - By officials and employees of the Office of the Attorney General in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or as carried out as the legal representative of the Executive Branch agencies.

Courts - By officials of duly established local, state and federal courts as a result of court order pertaining to matters properly within the purview of said court.

Congress of the U S - By the Senate or the House of Representatives of the U S or any Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committee on matters within their jurisdiction requiring disclosure of the files.

The Comptroller General of the U S - By the Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Marine Corps.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Information is contained on magnetic tapes and disks.

Retrievability:

Information is retrieved by social security number

Safeguards:

Records are maintained in facilities accessible only to authorized personnel that are properly screened, and trained.

Retention and disposal:

Records are retained for six months after separation of the individual Marine reservist. After six months, records are destroyed except for an historical listing of separations which is recorded on microfiche for permanent retention at the Marine Corps Reserve Forces Administrative Activity, Kansas City Missouri.

System manager(s) and address:

The Commandant of the Marine Corps, Headquarters, U S Marine Corps, Washington, D C 20380.

Notification procedure:

Information may be obtained from:
The Commandant of the Marine Corps (Code RES)
Headquarters, U S Marine Corps
Federal Office Building 2
Washington, D C 20380
Telephone: Area Code 202/694-1842

Record access procedures:

Requests from individuals should be addressed to: The Commandant of the Marine Corps (Code RES), Headquarters, U S Marine Corps, Washington, D C. 20380

Written requests for information should contain the individual's full name, social security number and signature.

For personal visits, the individual should be able to provide some acceptable identification such as military identification card, driver's license or other type of identification bearing picture and signature to insure the individual is the subject of the inquiry.

Contesting record procedures:

The Marine Corps rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

The individual having administrative responsibility for the Marine.

The Marine Corps Reserve Forces Administrative Activity.

Authorized personnel of Headquarters, U S Marine Corps.

Systems interface with active force joint uniform military pay system/manpower management system.

Educational Institutions.

Systems exempted from certain provisions of the act:

None

MRS00003

System name:

Employment Referral Questionnaire for Members of Reserve Units

System location:

May be retained by all Inspector-Instructor Staffs.

Categories of individuals covered by the system:

All Reservists who desire assistance in obtaining civilian employment.

Categories of records in the system:

Resume on each individual which may include member's sex, age, social security number, education, past civilian employment, past military experience, present civilian employment, type of employment desired, type driver's license, preferred location of employment, present address and marital status.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

May be used by members of the reserve unit and the Inspector-Instructor Staff to assist in finding civilian employment for the requesting member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

May be on paper or cards in binder or file folder.

Retrievability:

Alphabetically by last name, may also be by type employment desired, area employment desired in, rank or age.

Safeguards:

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

One year after employment is found or member is transferred or discharged.

System manager(s) and address:

Inspector-Instructor.

Notification procedure:

Write or visit SYSMANAGER Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Application form from individual requesting assistance and service records.

Systems exempted from certain provisions of the act:

None

MRS00004

System name:

Individual Drill Attendance and Retirement Transaction Card (IDART) File

System location:

All Organized Marine Corps Reserve Units and Marine Corps Reserve Administrative Activity, Kansas City, Missouri.

Categories of individuals covered by the system:

Maintained on all members of the reserve unit.

Categories of records in the system:

Individual's name, rank, social security number, pay entry base date, expiration of reserve contract, a record of drill attendance for the current calendar year, by month, and retirement points awarded.

Authority for maintenance of the system:

Title 5, U S Code 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Unit command and administrative personnel. Maintain records of the drill attendance and reserve retirement credit points awarded members of the unit.

Officials and employees of the Naval Service and General Accounting Office in the execution of their official duties in relation to inspections, investigations, legal action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cards in box in metal file cabinet.

Retrievability:

Alphabetically by last name.

Safeguards:

File maintained in a locked metal file cabinet.

After working hours the office and building are locked. A guard is located in the general vicinity.

Retention and disposal:

Annual cards are retired in January following the year for which the card is maintained. Cards are kept for three years after retirement and then burned. Upon transfer of a reservist, the IDART is transferred with the service record book.

System manager(s) and address:

Headquarters, U $ Marine Corps, Commanding Officer and Inspector Instructor of Organized Marine Corps Reserve unit.

Notification procedure:

Write or visit Inspector-Instructor or Commanding Officer of the Organized Marine Corps Reserve Unit concerned. Provide full name, social security number, and military status. Proof of identity may be established by military identification card or DD-214 and driver's license.

Record access procedures:

Write or call in person to the Inspector-Instructor or Commanding Officer of the Organized Marine Corps Reserve Unit concerned.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Service records and unit attendance rosters.

Systems exempted from certain provisions of the act:

None

MTE00001

System name:

Telephone Billing/Accounting File

System location:

All Marine Corps activities maintaining telephone accounts.

Categories of individuals covered by the system:

All military personnel, civilian contractors, concessions, and Marine Corps sponsored activities that are provided unofficial government telephone service.

Categories of records in the system:

Files contain name, social security number, grade, military address, telephone number assigned to individuals in the system, civilian contractor's business address and business telephone numbers, ledger of itemized telephone service charges and payments, receipted bills, requests for service, account number, addressograph plate, cash collection vouchers for telephone deposits, and routine correspondence.

Authority for maintenance of the system:

Title 10, U.S. Code

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in the system is used by Marine Corps activities to show amounts owed and paid for telephone service on a monthly basis. Information is also used by Marine Corps activities to provide telephone directory service for residents of government quarters to include printing and distribution of a quarters telephone directory and allow telephone operators/base locator to provide quarters telephone numbers upon request except for unlisted numbers. Other uses include management of telephone number assignments, and a listing of delinquent accounts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper cards are maintained in filing cabinets and KARDEX files or in file folders.

Retrievability:

Information accessed and retrieved by name, address or telphone number.

Safeguards:

Records are maintained in an area accessible only to authorized personnel and are under constant supervision. The building is locked during non-working hours and someone is on duty 24 hours a day.

Retention and disposal:

Records remain active until individual leaves the Marine Corps activity concerned. Records are then transferred to an inactive file for four years and then destroyed.

System manager(s) and address:

Commanding Officer of activity concerned. See Directory of Department of the Navy mailing addresses.

Notification procedure:

Information may be obtained from the individual command to which an individual is assigned for duty. Addresses of individual commands are listed in the Navy Standard Distribution List (OPNAV P09B-107).

Record access procedures:

Written requests from individuals should be addressed to the Commanding Officer of the activity concerned. Activity addresses are as reported in the Navy Standard Distribution List.

Written requests should include name and social security number and address.

For personal visits, the individual should be able to provide the proper military or civilian identification.

Contesting record procedures:

The rules for access to records and for contesting contents and appealing initial determination by the individual may be obtained from the Sysmanager.

Record source categories:

Application of the individual desiring telephone service in government housing aboard the activity.

Systems exempted from certain provisions of the act:

None

UNITED STATES NAVY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records

may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

N00011 C01

System name:

Correspondence files

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

These are files kept by subject, name of correspondent (Congressman, contractor, other member of public, etc.,) or name of recipient.

Categories of records in the system:

Incoming and outgoing correspondence and related material.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to 'follow-up' on previous correspondence, for reference purposes, to assure consistency of policy, and for other official Navy business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case Number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 C02

System name:

Vehicle Control System

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

All individuals that have vehicles registered at a particular Navy installation; and all individuals who apply for Government Motor Vehicle Operator's License.

Categories of records in the system:

Alphabetical file of each individual who have vehicles registered or who have applied for a Government Motor Vehicle Operator's License. Files kept by month, individual's name, date of birth, SSN, height, weight, hair and eye color, place of employment, driving record, license number, etc.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as a car pool locator, vehicle registration, parking control system, insurance verification system to verify issue of license when individual has lost his or her operator's card, and may be referred to by security or safety officials to determine individual's previous driving record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 C03

System name:

Special Membership Listing of the Organizational Recreation Association

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

This file records the name of all members who join the particular ship or activity recreation association. Also crossfiled by number of membership card.

Categories of records in the system:

This record lists the names, internal codes, room and telephone numbers of each membership card and dates purchased.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To indicate income from sale of membership cards; to provide an audit trial for the auditors; and to confirm membership, upon request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape, and similar record formats.

Retrievability:

Name, SSAN, number, organization, function.

Safeguards:

Access provided on a need to know basis.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concern, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 C04

System name:

Organization Locator and Social Roster

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Military and civilian personnel attached to the activity; also may include military and civilian personnel of the Department of Defense and other government agencies; may also include family members and guests of military and civilian personnel; other invitees.

Categories of records in the system:

Manual or mechanized records. Includes information such as names, addresses, telephone numbers; official titles or positions and organizations; invitations, acceptances, regrets, protocol, and other information associated with attendents at functions. Locator records of personnel attached to the organization.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For locating individuals on routine and emergency matters. Often used for mail distribution, for forwarding addresses, and as a recall list. Also, may be used as a social roster for social reference for various official and non-official functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape, and similar record formats.

Retrievability:

Name, SSAN, number, organization, function.

Safeguards:

Access provided on a need to know basis.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to record may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, correspondents, directories and official publications.

Systems exempted from certain provisions of the act:

None

N00011 J01

System name:

Administrative Personnel Management System

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Assigned civilians, military, and contract employees.

Categories of records in the system:

Identification, location, routine and emergency assignments, functional responsibilities, clearance, educational and experience characteristics, grade or rank/rate, travel, and other data needed for personnel, line, and security management.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of rosters and locators, contact with appropriate personnel in emergencies, continuity of operations planning and execution, determination of clearance for access control, budget and manpower control, minority and occupation statistics, labor costing, customer billing, watch bill preparation, civilian grade control, and similar administrative uses requiring personnel information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape, microform.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 J010

System name:

Navy and Marine Corps Exchange and Commissary Sales Control and Security Files

System location:

Organizational elements of the Department of the Navy as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Customers, employees, and guests at Navy and Marine Corps Exchanges and Commissaries, including individuals making large dollar volume purchases and contract purchases; individuals having requested adjustments or made claims; individuals having previously passed bad checks or been apprehended for shoplifting.

Categories of records in the system:

Sales and contract records; lists, logs, or card records of individuals; claims and adjustment records; large volume purchase records; mail orders, and customer special order records, customer list; correspondence. Records of complaints and investigations of regulatory and criminal violations.

Authority for maintenance of the system:

5 U.S.C. 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Sales control and prevention and detection of abuse of privileges. Determine responsibility when there are violations of regulations or criminal statutes. Information may be: Provided to local, state, or federal organizations, including the Naval Investigative Service and to the Federal Bureau of Investigation for further investigation or prosecution; used by command legal personnel for prosecution of military offenses and other administrative action; provided to the Department of Justice in support of civil litigation; provided to officials of other federal agencies in connection with the performance of their official duties related to personnel administration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tape, discs, drums, and punched cards. Manual records may be stored in file folders or microform, in file cabinets or other containers.

Retrievability:

Automated and manual records may be retrieved by social security account number and/or name.

Safeguards:

Access is provided on a need-to-know basis, only. Automated records are located in restricted areas accessible only to authorized persons. Manual records and computer printouts are maintained in locked or controlled access areas.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST 5212.5B, Disposal of Navy and Marine Corps Records.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to system manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the System Manager.

Record source categories:

Individuals concerned, other records of the activity concerned, other records of activity investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a(j) or (k), as applicable. For additional information, contact the system manager.

N00011 J011

System name:

Safety Equipment Needs, Issues, Authorizations

System location:

Organizational elements of the Department of the Navy as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Personnel whose work requires them to wear, or are issued, protective clothing or equipment, including prescription safety lenses.

Categories of records in the system:

Listings, cards, and other records of individuals requiring, authorized, or issued prescription or other safety equipment.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By safety department personnel to determine who needs, is eligible, or has been authorized or issued prescription or other safety equipment for protection.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card index files, file folders in file drawers, or microform.

Retrievability:

By name or date of authorization or issue.

Safeguards:

Controlled access space or locked rooms; personnel screening.

Retention and disposal:

Secretary of the Navy Instruction 5212.5B, Disposal of Navy and Marine Corps Records.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting access may be obtained from the System Manager.

Record source categories:

Individuals to whom the records pertain.

Systems exempted from certain provisions of the act:

None.

N00011 J02

System name:

Access control system

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Individuals considered or seeking consideration for access to space under the control of the Department of the Navy.

Categories of records in the system:

Visit requests for permission to transact commercial business, barring lists and letters of exclusion, badge and pass issuance records.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintenance of all aspects of proper access control, replacement of lost badges, retrieval of passes upon separation, maintenance of visitor statistics and background information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 J03

System name:

Security Incident System

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Individuals involved in or witnessing incidents requiring the attention of base, station, or activity security personnel.

Categories of records in the system:

Incident/complaint report, investigator's report, military magistrate's records, confinement records, traffic accident and violation records, traffic court file, citations to appear before U. S. Magistrate.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Evidence in Uniform Court of Military Justice and Title 18 USC 1382 Proceedings; Criminal investigation; provided to state or federal law enforcement agencies including Naval Investigative Service, Defense Investigative Service, and Federal Bureau of Investigation for further criminal investigation or court action; used by command legal personnel for prosecution of military offenses and other administrative action; support of insurance claims and civil litigation, revocation of base, station, or activity driving privileges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00011 J04

System name:

Weapons Registration

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Individuals registering firearms or other weapons with station security officers.

Categories of records in the system:

Weapon registration records, weapon permit records.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assure proper control of weapons on Naval installations and to monitor and control purchase and disposition of weapons.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 J05

System name:

Security inspection and violation system

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Individuals involved in security violations.

Categories of records in the system:

Security violation reports, security inspection reports.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to identify problem areas in security indoctrination, alert command management officials to areas which present larger than normal security problems and identify personnel who are cited as responsible for non-compliance with procedures.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, other records of the activity, investigators, witnesses, correspondents.

Systems exempted from certain provisions of the act:

None

N00011 J06

System name:

Blood Donor Program Files

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Personnel donating blood or seeking replacement of blood.

Categories of records in the system:

Blood donation records. Blood replacement requirement records.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Emergency blood request by blood type, recognition and identification of donors, and replacement of blood provided to cover individuals. Records are available to American Red Cross.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

American Red Cross, blood donors, hospitals, persons seeking replacement of blood.

Systems exempted from certain provisions of the act:

None

N00011 J07

System name:

Combined Federal Campaign

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy activities.

Categories of individuals covered by the system:

All assigned personnel.

Categories of records in the system:

Extracts from payroll systems and administrative personnel management systems. Contributor cards.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Management of Combined Federal Campaign: Data released to campaign coordinators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Payroll files, administrative personnel files, contributors.

Systems exempted from certain provisions of the act:

None

N00011 J08

System name:

Pet Registration

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Owners of pets residing on Naval property.

Categories of records in the system:

Owner's name and pet tag.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide for registration of pets to ensure appropriate innoculations and assist in the identification of rightful owners.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Veterinary records and statements provided by pet owners.

Systems exempted from certain provisions of the act:

None

N00011 J09

System name:

Administrative Civilian Personnel Management System

System location:

Organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy activities.

Categories of individuals covered by the system:

Civilian employees, including intermittents and consultants, and applicants for civilian employment.

Categories of records in the system:

Identification, location, routine and emergency assignements, clearance, educational and experience characteristics, travel, retention group, grade and series, retirement category, pending actions, awards, property custody, personnel action dates, physical handicaps and health data, veterans preference, mutual aid assosication membership, union membership, qualifications, and other data needed for personnel, line, and security management.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of rosters and locators; contact with appropriate personnel in emergencies; determination of clearance for access control; budget and manpower control; minority, employment, and occupation statistics; labor costing; projection of retirement losses; control of personnel actions; employment verification to requesting banking, rental, and credit organizations; travel claim control; name change location; checklist prior to leaving activity; payment of mutual aid association benefits; employee assessment; training management; qualifications determinations; and similar administrative uses requiring personnel information. Used by Navy officials who have need of the information in the performance of their duties and by representatives of the Civil Service Commission, the Comptroller General, the General Services Administration, the Attorney General, labor organizations with exclusive recognition, the Senate and the House of Representatives and their committees and subcommittees, and arbitrators and hearing examiners for grievances and appeals. In some cases, contractors are used in processing this data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files, punched cards, magnetic tape, magnetic disc.

Retrievability:

Name, SSAN, Case number, organization.

Safeguards:

Access provided on a need to know basis only. Locked and/or guarded office.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding officer of the activity in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual, employment papers, other records of the organization, official personnel jackets, supervisors, official travel orders, educational institutions, applications.

Systems exempted from certain provisions of the act:

None

N00013 A

System name:

JAG Manual Investigative Records

System location:

Office of the Judge Advocate General (Code 21) Navy Department Washington, D.C. 20370

Categories of individuals covered by the system:

Any individual who participated in, who was involved in, who incurred an injury, disease, or death in, who was intoxicated (drugs or alcohol) during, before, or after, or who had an interest in any accident, incident, transaction, or situation involving or affecting the Department of the Navy, naval personnel, or any procedure, operation, material, or design involving the Department of the Navy.

Categories of records in the system:

The records contain all documented evidence relevant to the item under investigation, together with an investigating officer's report, which makes findings of fact and expresses opinions and recommendations, the reviewing authority's actions which either approved or modified the investigating officer's report or returned the entire record for further investigation or remedial action to perfect the record, and, the results of hearings afforded persons who incurred injuries and diseases, to allow them to explain or rebut adverse information in the record. The Judge Advocate General's correspondence to locate and obtain required investigations is also included in the record. Some records contain only a field command's explanation as to why investigation is not required, together with documents pertinent to this lack of requirement. Some records contain only an accident, injury, or death report, prepared for the Department of the Navy by the Army, Air Force, Coast Guard, or other agency under reciprocal agreements, in situations where the Navy or Marine Corps could not conduct the investigation.

Authority for maintenance of the system:

Requirement that enlisted men make up time lost due to misconduct or abuse of alcohol or drugs (10 U.S.C. 972(5)); retirement or separation for physical disability (10 U.S.C. 1201-1221); Executive Order 11476, Manual for Court-Martial, par. 133b; Uniform Code of Military Justice, 10 U.S.C. 815, 832, 869, 873, 935, 936, and 938-940; Military Claims Act (10 U.S.C. 2733); Foreign Claims Act (10 U.S.C. 3724, 2734a, 2734b); Emergency payment of claims (10 U.S.C. 2736); Non-scope claims (10 U.S.C. 2737); Duties of Secretary of the Navy (10 U.S.C. 5031); Duties of the Office of the Chief of Naval Operations (10 U.S.C. 5081-5082, 5085-5088); Duties of the Bureaus and Offices of the Department of the Navy and duties of the Judge Advocate General (10 U.S.C. 5131-5153); Duties of the Commandant of the Marine Corps (U.S.C. 5201); Reservist's disability and death benefits (10 U.S.C. 6148); Requirement of exemplary conduct (10 U.S.C. 5947); Promotion of accident and occupational safety by Secretary of the Navy (10 U.S.C. 7205); Admiralty claims (10 U.S.C. 7622-23); Public Vessels Act (46 U.S.C. 781-790); Suits in Admiralty Act (46 U.S.C. 741-752); Admiralty Extension Act (46 U.S.C. 740); Transportation Safety Act (49 U.S.C. 1901); Federal Tort Claims Act (28 U.S.C. 1346, 2671-2680); Financial liability of accountable officers (31 U.S.C. 82, 89-92); Military Personnel and Civilian Employee's Claims Act of 1964, as amended (31 U.S.C. 240243); Federal Claim Collection Acts (31 U.S.C. 71-75, 951-953); Forfeiture of pay for time lost due to incapacitation caused by alcohol or drug use (37 U.S.C. 802); Eligibility for certain veterans benefits (38 U.S.C. 105); Postal claims (39 U.S.C. 712); Medical Care Recovery Act (42 U.S.C. 2651-2653); General authority to maintain records (5 U.S.C. 301); Records management by agency heads (44 U.S.C. 3101).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

JAG Manual Investigative Records are used internally within the Department of the Navy as bases for evaluating procedures operations, material, and designs with a view to improving the efficiency and safety of the Department of the Navy; determinations concerning status of personnel regarding disability benefits, entitlements to pay during periods of disability, severance pay; retirement pay, increases of pay for longevity, survivors' benefits, and involuntary extensions of enlistments, dates of expiration of active obligated service and accrual of annual leave; determinations concerning relief of accountable personnel from liability for losses of public funds or property; determinations pertaining to disciplinary or punitive action and evaluation of petitions, grievances, and complaints; adjudication, pursuit, or defense of claims for or against the Government; and public information releases. Records of such investigations are routinely furnished to the Veterans Administration for use in determinations concerning entitlements to veterans and survivors' benefits; to Servicemen's Group Life Insurance administrators for determinations concerning payment of life insurance proceeds; to the U.S. General Accounting Office for purposes of determinations concerning relief of accountable personnel from liability for losses of public funds and related fiscal matters; to the Department of Justice for use in litigation involving the Government; to agents and authorized representatives of persons involved in the incident, for use in legal or administrative matters; to contractors for use in connection with settlement, adjudication, or defense of claims by or against the Government, and for use in design and evaluation of products, services, and systems; to agencies of the Federal, State, or local law enforcement authorities, court authorities, administrative authorities, and regulatory authorities, for use in connection with civilian and military criminal, civil, administrative, and regulatory proceedings and actions. Additionally, these records may be furnished to other components of the Department of Defense in connection with the above-stated purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper documents stapled together (with real evidence, if any, attached) in paper file folders and stored in metal file cabinets, on shelves, and in cardboard boxes.

Retrievability:

Records are filed in calendar year groupings by surname of individual, bureau number of aircraft, name of ship, hull number of unnamed watercraft, or vehicle number of Government vehicles. Incidents are topically cross-referenced.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office spaces in which the file cabinets and storage devices are located are locked outside official working hours.

Retention and disposal:

The records are retained permanently. All naval activities which prepare JAG Manual Investigative Records, or which are intermediate addresses, typically retain duplicate copies in local files for a two-year period.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law) Office of the Judge Advocate General Navy Department Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request to the system manager. The request must contain the following: (a) an adequate description of the individual about whom the record is retained (e.g., full name, date of birth, etc.); (b) the calendar year to be searched, and the approximate date of the incident which was the subject of the investigation; (c) a signed and notarized statement of the identity of the requester; (d) the present mailing address of the requester, including ZIP code; (e) the present day-time telephone number of the requester, including area code; (f) the request must be signed by the individual. No telephone inquiries will be processed.

Record access procedures:

Requests from individuals for access should be addressed to the system manager. The request must include a signed and notarized statement of identity. Personal visits may be made to:

Office of the Judge Advocate General (Code 21)
Investigations Division
Room 2516, Navy Annex
Navy Department
Washington, D.C. 20370

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Records of JAG Manual Investigations are compilations of evidence, information, and data concerning the circumstances of incidents, accidents, events, transactions, and situations, prepared by administrative fact-finding bodies for utilization by proper authorities in making determinations, decisions, or evaluations relating to the matters under investigation. Records may contain: (1) testimony or statements of individuals who are parties to the investigations, witnesses, and others having pertinent knowledge concerning matters under investigation; (2) documentary evidence, typically including records and reports of military or Federal, State, or foreign, civilian law-enforcement investigative, judicial, or corrections authorities; medical records and reports, investigations and accident and injury reports prepared by Federal, State, or foreign governmental agencies or other organizations or persons; court records and other public records; official logs and other official naval records; letters and correspondence; personnel, pay, and medical records; financial records, receipts, and cost estimates; publications, and other pertinent documents and writings; (3) pertinent real evidence; and (4) pertinent demonstrative evidence.

Systems exempted from certain provisions of the act:

None.

N00013 O

System name:

Roster, Naval Reserve Law Companies

System location:

Office of the Judge Advocate General (Code 62) Department of the Navy, Washington, D.C. 20370

Categories of individuals covered by the system:

Listing of law program officers in Naval districts having cognizance over Reserve affairs; listing of Naval Legal Service Offices; listing of the staff of the Director, Naval Reserve Law Programs; listing of Naval Reserve Law Company commanding officers; and listing of members of the law companies.

Categories of records in the system:

Roster contains names and locations of personnel associated with Naval Reserve Law Programs; names of members of law companies, social security number, rank, home and office addresses, name of spouse, and telephone numbers.

Authority for maintenance of the system:

10 USC 806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The roster is issued for the purpose of facilitating and promoting liaison between Naval Reserve Law Companies, law program officers, the Director, Naval Reserve Law Programs, and his staff, and the Navy's legal assistance program. It is an essential publication for use by legal assistance officers throughout the Navy. It apprises Naval Reserve officers of the locations of Reserve units in order that they may participate in the reserve law programs. These rosters may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

By names of members and location of Reserve units.

Safeguards:

Records are maintained under the control of authorized personnel during working hours; the office space in which the rosters are maintained is locked outside official working hours.

Retention and disposal:

Rosters are retained for approximately two years and destroyed when a new edition is published.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law) Office of the Judge Advocate General Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the System Manager. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the System Manager. Personal visits may be made to:

Judge Advocate General's Personnel Office
Office of the Judge Advocate
Room 2433, Navy Annex
Arlington, Virginia

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Information is received from Reserve officers who participate in the Naval Reserve Law Programs.

Systems exempted from certain provisions of the act:

None

N00013 1

System name:

General court-martial records of trial.

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D. C. 20370. Records, three years old or older, are stored at the Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Active duty Navy and Marine Corps personnel tried by general court-martial.

Categories of records in the system:

General court-martial records of trial.

Authority for maintenance of the system:

10 USC 865 and 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public Record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Files are kept by Navy court-martial number and each case is cross-referenced by an index card which is filed in alphabetical order according to the last name of the individual concerned.

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for three years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request which adequately identifies the system of records and the individual about whom the record is kept (i.e., full name and date of trial of individual concerned). The written request must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, Room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g., Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Proceedings by a general court-martial.

Systems exempted from certain provisions of the act:

NONE

N00013 11

System name:

Determinations on Origins of Disabilities For Which Military Members Have Retired

System location:

Office of the Judge Advocate General (Code 13), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Retired or former members of the Navy or Marine Corps who have been placed on the Temporary Disability Retired List or Per-

manent Disability Retired List and who have subsequently obtained or applied for Federal civilian employment.

Categories of records in the system:

Requests originated by individuals concerned or any federal agencies employing such individuals; Bureau of Medicine and Surgery historical narratives and opinions concerning the origins of disabilities of individuals on whom determinations have been requested; copies of Judge Advocate General determinations; and related correspondence.

Authority for maintenance of the system:

5 U.S.C. 3502(a), 6303(a), 8332(c);
5 U.S.C. 301;
44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used as the basis for determinations concerning the eligibility of individuals of the above-described category to certain benefits connected with Federal civilian employment available to those disabled in combat with enemies of the United States or having disabilities caused by instrumentalities of war during periods of war. Determinations are rendered, upon request, to any Federal agencies employing members who retired from the naval service for disability. The information may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

By name of individual.

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Records are permanent and are retained indefinitely in the Office of the Judge Advocate General.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained by written request to the System Manager stating the full name of the individual concerned and the approximate date on which relief was requested. Written request must be signed by the requesting individual. Visits may be made to:
The Administrative Law Division (Code 13)
Office of the Judge Advocate General
Room 2511, Navy Annex
Arlington, Virginia
Armed forces identification card or state driver's license is required for identification.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Employment information in the system is submitted by the individuals concerned or the Federal agencies employing them. Medical information in the system is obtained from the individuals' medical records, physical evaluation board records, and service records.

Systems exempted from certain provisions of the act:

NONE

N00013 12

System name:

Relief of Accountable Personnel From Liability For Losses of Public Funds

System location:

Office of the Judge Advocate General (Code 13), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Accountable Navy and Marine Corps military and civilian disbursing personnel and collection agents who request relief from liability for losses of public funds in their custody.

Categories of records in the system:

Copies of requests submitted by individuals of the above-stated category for grant of relief from liability, together with information voluntarily furnished by the affected individuals concerning the circumstances of losses of funds in their custody, and additional information derived from investigatory and audit reports and comments of forwarding endorsers concerning circumstances of losses.

Authority for maintenance of the system:

31 U.S.C. 95a., 82a-1, 82a-2;
5 U.S.C. 301
44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used as the basis for determinations within the Department of the Navy and the U.S. General Accounting Office as to whether the circumstances of particular losses of public funds warrant granting accountable individuals' requests for relief from liability. This information may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

By name of individual requesting relief.

Safeguards:

Files are maintained in file cabinets under the control of personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Records are permanent and are retained indefinitely in the Office of the Judge Advocate General. However, after three years, name indexes are destroyed, eliminating the capability for retrieval by the names of individuals. Thereafter, they are retrievable only by topical indexes arranged according to the legal issues involved.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request to the system manager stating the full name of the individual concerned and the approximate date on which relief was requested. Written requests must be signed by the requesting individual. Visits may be made to: The Administrative Law Division, Office of the Judge Advocate General, Room 2511, Navy Annex, Arlington, Virginia. Armed Forces identification card or state driver's license is required for identification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information in the system is furnished partly by the individual requesting relief, and is supplemented by reports of Department of the Navy audits and investigations pertaining to the particular losses of funds involved. Additional amplifying information is typically furnished by officers forwarding requests to the Secretary of the Navy.

Systems exempted from certain provisions of the act:

NONE.

N00013 13

System name:

Conflicts of interest and employment activities.

System location:

Office of the Judge Advocate General (Code 13), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Active duty, reserve, or retired military personnel and present and former civilian employees of the Navy or Marine Corps who, by reason of their own inquiries or inquiries or complaints of Department of the Navy or other Federal officials or other appropriate persons, have been the subject of correspondence with the Judge Advocate General concerning the legality of outside Federal, State, or private employment or financial interests, dual Federal employment, post-retirement employment, defense related employment, or foreign employment; acceptance of gifts, gratuities, or benefits from Government cntractors, foreign governments, or other sources, or other possible violations of Federal conflicts-of-interest or standards-of-conduct laws or regulations.

Categories of records in the system:

Correspondence from, to, or concerning, individuals of the above stated category regarding thier current, past, or prospective outside Federal, State, or private employment; defense-related employment; post-retirement employment; foreign employment; dual Federal employment; acceptance of gifts, gratuities, or benefits from Government contractors, foreign governments, or other questionable sources; or other possible violations of conflicts-of-interest or standards-of-conduct laws or regulations. Additionally, such records sometimes include copies of statements of employment submitted by retired military personnel to the Navy Finance Center and referred to the Judge Advocate General for review and further action, and copies of investigative reports concerning suspected violations of pertinent laws or regulations.

Authority for maintenance of the system:

5 U.S.C. 3326, 5532; 10 U.S.C. 973, 974, 1032, 6223;
18 U.S.C. 202, 203, 205, 207, 209, 219, 281, 283;
37 U.S.C. 801;
U.S. Const., Art. I, 9, cl 8;
5 U.S.C. 301;
44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used as the basis for advisory opinions on the legality of employment activities, financial interests, and the related conflicts-of-interest and standards-of-conduct questions described above. Information may be furnished to other components of the Department of Defense, the U.S. General Accounting Office, the Department of Justice, and the Civil Service Commission in instances of suspected violations of pertinent laws or regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

By name of individual.

Safeguards:

Files are maintained in file cabinets under the immediate control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Records are permanent and are retained indefinitely in the Office of the Judge Advocate General. However, after five years, name indexes are destroyed, eliminating the capability for retrieval by the names of individuals. Thereafter, they are retrievable only by topical indexes arranged according to the legal issues involved.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request to the system manager stating the full name of the individual concerned. Written requests must be signed by the requesting individual. Visits may be made to: Administrative Law Division (Code 13), Office of the Judge Advocate General, Room 2511, Navy Annex, Arlington, Virginia. Armed Forces identification card or State driver's license is required for identification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the sstem manager.

Record source categories:

Information in the system is furnished by the individual and is supplemented by correspondence from Federal officials; current, past, and prospective employers; other interested persons regarding possible conflicts of interest and employment activities; and by investigations pertaining to particular suspected violations. Additional information in the form of statements of employment is forwarded by officers of the Navy Finance Center to the Judge Advocate General for review and further action.

Systems exempted from certain provisions of the act:

NONE.

N00013 17

System name:

Summary courts-martial and non-bad conduct discharge courts-martial--navy and marine corps

System location:

Records are retained for two years after final action by appropriate officers having supervisory authority over shore activities. Records are retained for three months after final action by appropriate officers having supervisory authority over fleet activities, including Fleet Air Wings and Fleet Marine Forces. After the two years or three month retention period, as appropriate, the records are transferred to the National Personnel Records Center, GSA (Military Personnel Records), 9700 Page Boulevard, St. Louis, Missouri 63132.

Categories of individuals covered by the system:

Navy and Marine Corps enlisted personnel tried by summary courtmartial or by special court-martial which did not result in a bad conduct discharge.

Categories of records in the system:

Summary court-martial and non-bad conduct discharge special court-martial records of trial.

Authority for maintenance of the system:

10 U.S.C. 865, 5 U.S.C. 301, and Executive Order No. 11476 of June 19, 1969, as amended by Executive Order No. 11835 of January 27, 1975, paragraph 94b (manual for courts-martial, 1969 (rev.))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Type of court-martial, date, command which convened the court-martial, name of individual defendant, and command which completed the supervisory authority's action.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are retained for two years after final action by officers having supervisory authority over shore activities, and for three months by officers having supervisory authority over fleet activities. At the termination of the appropriate retention period, records are forwarded for storage to the National Personnel Records Center, GSA (Military Personnel Records), 9700 Page Boulevard, St. Louis, Missouri 63132. Records are destroyed 15 years after final action has been taken.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Department of the Navy, Washington, D.C. 20370, by written request including the full name of the individual concerned, the type of court-martial (summary or special), the name of the command which held the court-martial, and the date of the court-martial proceedings. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals making

such visits should be able to provide some acceptable identification, e.g. Armed Forces identification cards, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Proceedings of summary courts-martial and special courts-martial which did not result in a bad conduct discharge.

Systems exempted from certain provisions of the act:

None.

N00013 2

System name:

Special courts-martial resulting in bad conduct discharges or concerning commissioned officers.

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D. C. 20370. Records, three years old or older, are stored at the Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Navy and Marine Corps personnel tried by special court-martial and awarded a bad conduct discharge, and all Navy and Marine Corps commissioned officers tried by special court-martial.

Categories of records in the system:

Special court-martial which resulted in a bad conduct discharge, or involving commissioned officers.

Authority for maintenance of the system:

10 U.S.C. 865, 5 U.S.C. 301 and Executive Order No. 11476 of June 19, 1969, as amended by Executive Order No. 11835 of January 27, 1975, paragraph 94b (manual for courts-martial, 1969 (rev.))

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public Record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Files are kept by Navy court-martial number and each case is cross-referenced by an index card which is filed in alphabetical order according to the last name of the individual concerned.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for three years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D. C. 20370, by written request stating full name, and date of trial of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, Room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Special court-martial proceedings.

Systems exempted from certain provisions of the act:

NONE.

N00013 3

System name:

Article 138 Complaint of Wrongs

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D.C. 20370. Complaints, three years old or older, are stored at the Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Active duty Navy and Marine Corps personnel who have submitted complaints of wrong pursuant to Article 138, UCMJ, which have been forwarded to the Secretary of the Navy for final review of the complaint and the proceedings had thereon.

Categories of records in the system:

The complaint and all proceedings had thereon.

Authority for maintenance of the system:

Article 138, Uniform Code of Military Justice, (10 U.S.C. 938).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

No routine use after complaint is resolved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Files are kept in alphabetical order according to last name of the individual concerned.

Safeguards:

Files are maintained in file cabinets and other storage devices under control of authorized personnel during working hours; the office spaces in which the file cabinets and storage devices are located is locked outside office working hours.

Retention and disposal:

Complaints are maintained in office for three years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request to the Judge Advocate General stating full name and the approximate date the complaint was submitted for review if known. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The records are comprised of the following source materials: (1) complaint of wrongs; (2) results of examination into complaint of wrongs by the general court-martial authority; and (3) final review action by the Secretary of the Navy.

Systems exempted from certain provisions of the act:

None.

N00013 4

System name:

Article 69 Petitions

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D.C. 20370. Petitions three years old or older are stored at the Federal Records Center, Suitland, Maryland 20409.

Categories of individuals covered by the system:

Navy and Marine Corps personnel who were tried by courts-martial which were not reviewed by the Navy Court of Military Review and when such service member has petitioned the Judge Advocate General pursuant to Article 69, Uniform Code of Military Justice, for review.

Categories of records in the system:

Files contain individual service member's petition together with all forwarding endorsements and copy of action taken by the Judge Advocate General with supporting memorandum.

Authority for maintenance of the system:

Article 69, Uniform Code of Military Justice (10 USC 869).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Public record.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Records are maintained in chronological calendar order with alphabetical cross-referencing system.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office spaces in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for three years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request to the Judge Advocate General stating full name of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

The records comprise the following source materials: (1) petitions for relief, (2) forwarding endorsements thereon by petitioner's commanding officer and convening/supervisory authorities of court-martial (above information is omitted if petitioner is former service member), and (3) action of the Judge Advocate General on petition.

Systems exempted from certain provisions of the act:

None.

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System name:

Court-martial statistics.

System location:

Magnetic tape held at Naval Command Systems Support Activity, Production Code 60.1, room 4002, building 196, Washington Navy Yard, Washington, D.C. 20360. Source document (NAVJAG 5813/1) held in Promulgation and Statistics Branch, Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Navy and Marine Corps personnel tried by general courts-martial and by special courts-martial when the special court-martial sentence as finally approved includes a punitive discharge.

Categories of records in the system:

Court-martial information on special courts-martial if sentence as finally approved includes a punitive discharge and all general courts-martial including name, social security number, pleas, convening authority action, supervisory authority action, and Court of Military Review action. Information available from 1970 to present only.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provide statistical information on general and bad conduct discharge special courts-martial to governmental, public, and private organizations and individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and source documents (NAVJAG 5813/1) if file folders.

Retrievability:

Name and social security number or Navy court-martial number.

Safeguards:

Tapes stored in secret vault. Without project code number, tape can neither be read nor added to. Only person who has code number is Project Code Officer. Source documents are filed in file cabinets which are located in an office which is under observation during working hours and is locked at night. The office is located in a secure building which is surrounded by a guarded fence. The building is guarded 24 hours a day, and admission is allowed only to personnel on official business and authorized visitors.

Retention and disposal:

Idefinite.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request to the Judge Advocate General stating full name, date of trial (if known), date of discharge and type of discharge of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to: The Military Justice Division, Office of the Judge Advocate General, Room 2518, Navy Annex, Arlington, Virginia. Individuals must be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Form NAVJAG (Navy Judge Advocate General) 5813/1.

Systems exempted from certain provisions of the act:

None.

N00013 6

System name:

Ethics file.

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Civilian and military lawyers authorized to practice before a court-martial or Navy Court of Military Review and who by their personal or professional conduct have demonstrated that they are so lacking in competency, integrity or ethical or moral character as to be unacceptable as counsel before a court-martial or Navy Court of Military Review.

Categories of records in the system:

Reports of investigation, correspondence, and court papers relating to the complaint brought against attorneys.

Authority for maintenance of the system:

Manual of the Judge Advocate General, section 0142, and 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

No routine use after file is closed. The information may be furnished to other Department of Defense components and State and Federal governmental organizations before they are closed.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Files are kept in alphabetical order according to the last name of the attorney concerned.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for two years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request to the Judge Advocate General stating full name of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Correspondence from military judges, staff judge advocates, judge advocates, and other military personnel; correspondence from the Judge Advocates General of other branches of the Armed Forces; investigative reports from Naval Investigative Service offices; correspondence and copies of court papers from civilian authorities.

Systems exempted from certain provisions of the act:

None.

N00013 7

System name:

Litigation Case File

System location:

Office of the Judge Advocate General, Department of the Navy, Washington, D.C. 20370.

Categories of individuals covered by the system:

All those individuals who have brought suit against, or have been involved in litigation with the United States or its offcers or employees concerning matters related to the Department of the Navy, in the Federal Civil Court System, excepting those cases arising, in admiralty, or patent, under the Federal Tort Claims Act, and all matters under the responsibility of the General Counsel's Office.

Categories of records in the system:

All pleadings, motions, briefs, orders, decisions, memoranda, opinions, supporting documentation and related materials involved in representing the United States Navy and Marine Corps in the Federal Court System.

Authority for maintenance of the system:

5 U.S.C. 301, 10 U.S.C. 5148, and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The collected information is used to defend the Department of the NAVY IN CIVIL suits filed against it in the Federal Court System. Routine users of the information, in addition to the Litigation Division, Office of the Judge Advocate General of the Navy, are the Department of Justice and the United States Attorneys offices assigned to the particular case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in file folders.

Retrievability:

Retrievable by last name of the litigant.

Safeguards:

Records are maintained in file cabinets accessible only to persons responsible for servicing the record system in performing their official duties.

Retention and disposal:

Retained in office files for two years, then retired to Washington National Records Center, Washington, D.C. 20409; detroy 10 years after final action, on the case.

System manager(s) and address:

Judge Advocate General, Department of the Navy, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager.

Record access procedures:

Access is not permitted to this system. See 5 U.S.C.C 552a (d) (5).

Contesting record procedures:

The Navy's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Navy Military Personnel Records Center, St. Louise; Department of Justice, opposing counsel.

Systems exempted from certain provisions of the act: None.

N00013B

System name:

Article 73 petitions for new trial.

System location:

Office of the Judge Advocate General (Code 20) Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Navy and Marine Corps personnel who submitted petitions for new trial to the Judge Advocate General within two years after approval of their court-martial sentence by the convening authority but after their case had been reviewed by the Navy Court of Military Review or Court of Military Appeals, if appropriate.

Categories of records in the system:

The petition for new trial, the forwarding endorsements if the petition was submitted via the chain of command, and the action of the Judge Advocate General on the petition.

Authority for maintenance of the system:

Article 73, Uniform Code of Military Justice, (10 U.S.C. 873).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

No routine use after action taken on petition.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Files are kept in alphabetical order according to the last name of the individual concerned.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for two years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request stating full name of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals should have the following items of identification: drivers license or military identification card.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The records are comprised of the following source materials: (1) petitions for new trial; (2) forwarding endorsements thereon by petitioner's commanding officer and convening/supervisory authorities of court-martial (above information is omitted if petitioner is former service member); and (3) action of the Judge Advocate General on petitions.

Systems exempted from certain provisions of the act:

None.

N00013C

System name:

Legal Assistance Card Files

System location:

Typically maintained at Naval Legal Service Offices, the Naval Legal Service Branch Offices, and any command with a legal assistance office.

Categories of individuals covered by the system:

Authorized military and civilian personnel and dependents who have sought legal assistance from a legal assistance office established within the Department of the Navy.

Categories of records in the system:

Legal assistance card files typically contain client identification information, e.g., name, address, duty station, telephone numbers, etc., client description of legal problem, attorney classification of problem, and attorney time expended.

Authority for maintenance of the system:

5 U.S.C. 301; Manual of the Judge Advocate General, 1914; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Time-accounting data is extracted from the card files for preparation of periodic legal assistance statistical reports; legal assistance attorneys refer to the card files to ascertain previous progress achieved toward disposition of the case. There are no other uses. Internal users are limited to legal assistance attorneys and assigned clerical personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Pre-printed cards stored in file cabinets.

Retrievability:

Filed alphabetically by name of client.

Safeguards:

Cards are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside of official working hours.

Retention and disposal:

Two years after disposition of the case or until the closing of the legal assistance office, then destroyed.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request which adequately identifies the system of records and the individual about whom the record is kept (i.e. full name, etc.); the written request must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g., driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

Basic information contained in the card files is provided by the client; information concerning the ultimate disposition of the case and time expended by the attorney is provided by the attorney.

Systems exempted from certain provisions of the act:

NONE

N00013D

System name:

Federal Tort Claims Files

System location:

Office of the Judge Advocate General, Offices of the Commandants of the Naval Districts, Naval Legal Service Offices, all overseas commands with a Navy Judge Advocate General Corps Officer or a Marine Corps judge advocate attached, and the Federal Records Center, Suitland, Maryland. Local commands with which claims under the Federal Tort Claims Act are initially filed typically retain copies of such claims and accompanying files. Official mailing addresses of these locations are included in the Department of Defense Directory in the appendix to this notice.

Categories of individuals covered by the system:

Any individuals who have filed claims against the Navy under the Federal Tort Claims Act.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, accident reports, medical and dental records, x-rays, allied reports (such as local police investigations, etc.), photographs drawings, legal memoranda, opinions of experts, and court documents.

Authority for maintenance of the system:

Federal Tort Claims Act (28 U.S.C. 1346(b), 2671-2680); 32 C.F.R. 750.30-750.49; 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to evaluate claims for purposes of adjudication and litigation. The files are used by contractors in those cases in which they indemnify the United States. The files are provided to the Department of Justice to defend suits brought against the United States and may be furnished to other components of the Department of Defense. The files or portions thereof may be furnished to the claimant or his authorized representative, and for those claims for which payment is determined proper, the files or portions thereof may be provided to the Congress, the Department of Treasury, the Office of Management and Budget, and the General Accounting Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices.

Retrievability:

Filed alphabetically by name of claimant.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the System Manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the System Manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

The sources of information contained in the files include the following: x-rays and medical and dental records from civilian and military doctors and medical facilities; investigative reports of accidents from military and municipal police agencies; reports of circumstances of incidents from operators of Government vehicles and equipment; witnesses; correspondence from claimants and their attorneys and insurance companies, state insurance commissions, United States Attorneys, and various other Government agencies with information concerning the claim.

Systems exempted from certain provisions of the act:

NONE

N00013E

System name:

Affirmative Claims Files

System location:

Office of the Judge Advocate General, Offices of the Commandants of the Naval districts; Naval Legal Service Offices, and Branch Offices of the Officers in Charge of U.S. Sending State Offices; overseas commands with a Navy or Marine Corps judge advocate attached; the Federal Records Center, Suitland, Maryland; and such other offices of officers as may be designated by the Judge Advocate General. Official mailing addresses of these locations are included in the Department of Defense Directory in the appendix of this notice.

Categories of individuals covered by the system:

All individuals against whom the Navy has claims sounding in tort, and all individuals who are in the military or are dependents of military members and have been provided medical care by a Naval medical facility for injuries resulting from such tortious conduct.

Categories of records in the system:

The files contain reports of injuries to individuals entitled to care at Navy expense, reports of damage to Navy property, x-rays, medical and dental records of treatment, and statements of charges therefor, military and municipal police and individual's reports of accidents, investigative reports, correspondence, legal research, and opinions.

Authority for maintenance of the system:

Medical Care Recovery Act (42 U.S.C. 2651-53); Federal Claims Collection Act (31 U.S.C. 951-53); 32 C.F.R. 757.1-757.21; 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used to futher efforts to collect such claims without litigation, for preparing litigation reports to the Department of Justice, and for use in civil litigation by the Department of Justice. In addition, the files may be furnished to insurance companies to support claims by documenting injuries or diseases for which treatment was provided at Government expense and to civilian attorneys representing the injured parties and the Government's interests. Finally, the files may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folder stored in file cabinets or other storage device.

Retrievability:

Filed alphabetically by name of the individual.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside of official working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the System Manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rule for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

The sources of information contained in these files includes: military and local police reports, line of duty investigations, commercial credit and asset reports, questionnaires completed by accident victims, x-rays, medical and dental records of treatment and statements of charges therefor from civilian and military doctors and medical facilities; correspondence; and witnesses.

Systems exempted from certain provisions of the act:

None

N00013F

System name:

Foreign Claim Files

System location:

Office of the Judge Advocate General; United States Sending State Office for Italy; United States Sending State Office for Australia; Naval Missions (including the office of the naval section of military missions); Military Assistance Advisory Groups (including the Offices of Chiefs, Naval Section, Military Assistance Advisory Groups); Office of the Naval Advisory to Argentina; naval attaches; any command which has appointed a Foreign Claims Commission; and the Federal Records Center, Suitland, Maryland. Local commands, with which claims under the Foreign Claims Act are initially filed and which do not have or choose to appoint a Foreign Claims Commission, typically retain copies of such claims and accompanying files. Official mailing addresses of these locations are included in the Department of Defense directory in the appendix to this notice.

Categories of individuals covered by the system:

All individuals who have filed claims against the Department of the Navy under the Foreign Claims Act.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, accident reports, medical and dental records, x-rays, allied reports (such as foreign police investigations, etc.), photographs, drawings, legal memoranda, opinions of experts, and court documents.

Authority for maintenance of the system:

Foreign Claims Act (10 U.S.C. 2734); 32 C.F.R. 753.1-753.29; 5 U.S.C. 301; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to adjudicate claims and to evaluate and decide reconsiderations of denials of claims. The files may be furnished to other components of the Department of Defense and the Department of Justice to defend unauthorized suits brought against the United States under the Foreign Claims Act. In addition, the files or portions thereof may be furnished to the claimant or his authorized representative. For those claims for which payment is determined proper, the files or portions thereof may be provided to Congress, the Department of Treasury, the Office of Management and Budget, and the General Accounting Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices.

Retrievability:

Filed alphabetically by name of claimant.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the System Manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the System Manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

The sources of information contained in the files includes: x-rays, medical records, and dental records; investigative reports from military and foreign police agencies; reports of circumstances of incidents from operators of Government vehicles and equipment; witnesses; correspondence from claimants, their attorneys, and insurance companies.

Systems exempted from certain provisions of the act:

None

N00013G

System name:

Military Claims Files

System location:

Office of the Judge Advocate General, Offices of the Commandants of the Naval Districts, Naval Legal Service Offices and Branch Offices, overseas commands with a Navy or Marine Corps judge advocate attached, and the Federal Records Center, Suitland, Maryland. Local commands, with which claims under the Military Claims Act are initially filed, typically retain copies of such claims and accompanying files. Official mailing addresses of these locations are included in the Department of Defense directory in the appendix of this notice.

Categories of individuals covered by the system:

All individuals who have filed claims under the Military Claims Act against the Department of the Navy.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, accident reports, medical and dental records, x-rays, allied reports (such as local police investigations, etc.), photographs, drawings, legal memoranda, opinions of experts, and court documents.

Authority for maintenance of the system:

Military Claims Act (10 U.S.C. 2733); 32 C.F.R. 750.50-750.59; 5 U.S.C. 301; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to evaluate claims for purposes of adjudication. The files are also used by contractors in those cases in which they indemnify the Government. The files may be furnished to other components of the Department of Defense, and to the Department of Justice to defend unauthorized suits brought against the United States under the military claims act. Additionally, the files or portions thereof may be furnished to the claimant or his authorized representative. For those claims for which payment is determined proper, the files or portions thereof may be provided to the Congress, the Department of Treasury, the Office of Management and Budget, and the General Accounting Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices

Retrievability:

Filed alphabetically by name of claimant

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law, oFFICE OF THE jUDGE aDVOCATE General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rule for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

The sources of information contained in the files include the following: x-rays, medical and dental records from civilian and military doctors and medical facilities; investigative reports of accidents from military and municipal police agencies; reports of circumstances of incidents from operators of Government vehicles and equipment; witnesses; correspondence from claimants, their attorneys, insurance companies, state commissions, United States Attorneys, and various other Government agencies with information concerning the claim.

Systems exempted from certain provisions of the act:

NONE

N00013H

System name:

'Nonscope' Claims Files

System location:

Office of the Judge Advocate General, Naval Legal Service Offices, and Branch Offices, overseas commands with a Navy or Marine Corps judge advocate attached, and the Federal Records Center, Suitland, Maryland. Local commands, with which claims under the 'Nonscope' Claims Act are initially filed, typically retain copies of such claims and accompanying files. Official mailing addresses of these locations are included in the Department of Navy directory of mailing addresses.

Categories of individuals covered by the system:

All individuals who have filed claims under the 'Nonscope' Claims Act against the Department of the Navy.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, accident reports, medical and dental records, x-rays, allied reports, photographs, drawings, opinions of experts, legal memoranda, and court documents.

Authority for maintenance of the system:

'Nonscope' Claims Act (10 U.S.C. 2737); 32 C.F.R. 750.60-750.69; 5 U.S.C. 301; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to evaluate claims for purposes of adjudication. The files are provided to the Department of Justice to defend unauthorized suits brought against the United States under the 'Nonscope' Claims Act. In addition, files or portions thereof may be furnished to the claimant or his authorized representative and to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices

Retrievability:

Filed alphabetically by name of claimant

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

The sources of information contained in the files include the following: x-rays, medical and dental records from civilian and military doctors and medical facilities; investigative reports of accidents from military and municipal police agencies; reports of circumstances of incidents from operators of Government vehicles; witnesses; correspondence from claimants, their attorneys, insurance companies, state insurance commissions, United States Attorneys, and various other Government agencies with information concerning the claim; commercial credit and asset reports; and questionnaires completed by accident victims.

Systems exempted from certain provisions of the act:

None

N00013I

System name:

Military Personnel and Civilian Employees' Claims

System location:

Offices of the Judge Advocate General; Naval Legal Service Offices; offices of the Commandants of the Naval Districts; Naval Legal Service Branch Offices; the Federal Records Center, Suitland, Maryland; naval activities where there are officers specifically designated by the Judge Advocate General to adjudicate personnel claims. Official mailing addresses of these locations are included in the Department of the Navy Directory of mailing addresses.

Categories of individuals covered by the system:

All individuals who have filed claims against the Department of the Navy under the Military Personnel and Civilian Employees' Claims Act and all common carriers against whom recovery has been sought by the Department of the Navy.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, copies of order, copies of insurance policies, Government bills of lading, copies of Powers of Attorney, estimates of loss or damage, inventories, demands on carriers for reimbursement, correspondence, and legal memoranda.

Authority for maintenance of the system:

Military Personnel and Civilian Employees' Claims Act (31 U.S.C. 240-243); 32 C.F.R. 751.0-751.30; 5 U.S.C. 301; 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to evaluate claims for purposes of adjudication, reimbursement for the Department of the Navy from common carriers, warehousemen, contractors, or insurers who are responsible for loss or damage to personal property of individual claimants. Additionally, the files are provided to the Department of Justice to defend unauthorized suits against the United States under the Military Personnel and Civilian Employees' Claims Act. Finally, the files may be furnished to the claimant or his authorized representative and to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices.

Retrievability:

Filed alphabetically by name of claimant and name of common carrier, warehousemen, contractors, and insurers.

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which file cabinets and storage devices are located is locked outside of working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically Files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

Information contained in the file is initially provided by the claimant and witnesses, after which the personal property divisions contribute investigative reports. The carrier may contribute information, and in some cases an investigative report is furnished by a military member's command or by an investigative agency. Adjudicated amounts allowed for the claim are provided by the adjudicating authority.

Systems exempted from certain provisions of the act:

None

N00013J

System name:

Admiralty Claims Files

System location:

Office of the Judge Advocate General; Office of the Commander-in-Chief, United States Naval Forces, Europe; Office of the Commander, Sixth Fleet; and the Federal Records Center, Suitland, Maryland. Local commands with which claims under the Public Vessels Act and the Suits in Admiralty Act are initially filed, typically retain copies of such claims and accompanying files. Official mailing addresses of these locations are included in the Department of the Navy directory of mailing addresses.

Categories of individuals covered by the system:

All individuals who have asserted claims or instituted suits under the Public Vessels Act and Suits in Admiralty Act against the Department of the Navy in the name of the United States and all individuals who have instituted suits against third parties who have impleaded the Department of the Navy in the name of the United States.

Categories of records in the system:

The files may contain claims filed, correspondence, investigative reports, accident reports, medical and dental records, x-rays, allied reports (such as local police investigations, etc.), photographs, drawings, legal memoranda, opinions of experts, and court documents.

Authority for maintenance of the system:

Admiralty Claims Act (10 U.S.C. 7622); 5 U.S.C. 301; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy use these files in the performance of their official duties related to the administrative evaluation and settlement of admiralty claims asserted against the Navy. Additionally, these files are provided to the Department of Justice to defend civil maritime suits brought against the United States. Finally, these files may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices

Retrievability:

Filed alphabetically by name of claimant

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside of official working hours.

Retention and disposal:

Records are retained in active files until each claim is settled or litigation resulting therefrom has been concluded. Thereafter, the files are maintained within the office for two years and then retired to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g., driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

The sources of information contained in the files include the following: x-rays, medical and dental records from civilian and military doctors and medical facilities; investigative reports; witnesses; and correspondence from claimants and their representatives.

Systems exempted from certain provisions of the act:

None

N00013L

System name:

U.S. Postal Service Indemnity Claims Files

System location:

Office of the Judge Advocate General (Code 14c), Navy Department, Washington, D.C. 20370 and the Federal Records Center, Suitland, Maryland 20409

Categories of individuals covered by the system:

All persons who have filed claims with the U. S. Postal Service for loss or damage to mailed matter, and which claims have been paid by the U. S. Postal Service and thereafter forwarded for reimbursement by the Department of the Navy pursuant to 39 U.S.C. 712.

Categories of records in the system:

Files may contain claims, substantiating documents, Navy investigative reports (and allied reports such as U. S. Postal Service investigative reports, legal memoranda, and correspondence.

Authority for maintenance of the system:

39 U.S.C. 712; 5 U.S.C. 30; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The files are used to evaluate requests for reimbursement by the U. S. Postal Service for payment on claims for loss or damage to mailed matter. The files may be furnished to other components of the Department of Defense and the Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets or other storage devices.

Retrievability:

Filed alphabetically by name of claimant.

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside of working hours.

Retention and disposal:

Minimum-one year; maximum-permanent; typically files located in the Office of the Judge Advocate General are transferred to the Federal Records Center, Suitland, Maryland, three years after disposition of the case.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify only their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address, and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the should be able to provide some acceptable identification, e.g. driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the system manager.

Record source categories:

The information in U. S. Postal Service Indemnity Claims Files may consist of claims filed, substantiating documents, Navy investigative reports, (and allied reports such as U. S. Postal Service investigative reports), legal memoranda, and correspondence.

Systems exempted from certain provisions of the act:

None

N00013M

System name:

Military Justice correspondence file

System location:

Office of the Judge Advocate General (Code 20), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Active duty, retired, and discharged Navy and Marine Corps personnel who were the subject of military justice proceedings.

Categories of records in the system:

File contains copy of incoming correspondence, all background material necessary to answer the correspondence and copies of letters replying to the correspondence.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Correspondence is kept in alphabetical order according to the last name of the individual who is the subject of the correspondence.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are maintained in office for two years and then forwarded to the Federal Records Center, Suitland, Maryland 20409 for storage.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the Deputy Assistant Judge Advocate General (Military Justice), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370. Information may be obtained by written request to the Judge Advocate General stating full name of the individual concerned. Written requests must be signed by the requesting individual. Personal visits may be made to the Military Justice Division, Office of the Judge Advocate General, room 2518, Navy Annex, Arlington, Virginia. Individuals making such visits should be able to provide some acceptable identification, e.g. Armed Forces' identification card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Records of trial and correspondence from commands and agencies involved in the matter which is the subject of the correspondence.

Systems exempted from certain provisions of the act:

NONE.

N00013N

System name:

Personal injury and illness reports on civilian and govt-service seaman employed on MSC ships

System location:

Office of the Judge Advocate General (Code 11), Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Injured civilian seamen and government service seamen employed by the Military Sealift Command or its contract operators for service on board MSC ships.

Categories of records in the system:

System consists of preliminary personal injury and illness reports on civilian seamen and government service seamen employed by the Military Sealift Command or its contract operators.

Authority for maintenance of the system:

Admiralty Claims Act (10 U.S.C. 7622); 5 U.S.C. 301; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in their performance of their official duties related to the administrative evaluation and settlement of subsequently submitted admiralty claims asserted against the Navy. Additionally, these reports may later be provided to the Department of Justice for defense of civil maritime Suits brought against the United States. Finally, these reports may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders stored in file cabinets

Retrievability:

Filed by name of injured seaman listed under each particular MSC ship by date of injury.

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Reports are maintained in personal injury report file folders for a period of two years from the date of particular injury or illness and are, thereafter, destroyed at the local office level.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370.

Notification procedure:

Information may be obtained from the system manager. Requesting individuals should specify their full names. Visitors should be able to identify themselves by any commonly recognized evidence of identity. Written requests must be signed by the requesting individual.

Record access procedures:

Requests from individuals should be addressed to the system manager. Written requests for access should contain the full name of the individual, current address and telephone number, and the serial code of any prior correspondence received from this office pertaining to the request. For personal visits, the individual should be able to provide some acceptable identification, e.g., driver's license, etc., and give some verbal information that could be verified in the file.

Contesting record procedures:

The agency's rules for contesting contents and appealing determinations may be obtained from the system manager.

Record source categories:

Masters of Military Sealift Command ships; witnesses; medical and dental forms; and investigative reports.

Systems exempted from certain provisions of the act:

None

N00013P

System name:

Reservists reporting for active duty for training, background questionnaires

System location:

Office of the Judge Advocate General (Code 62), Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Officers reporting for duty in the Office of the Judge Advocate General

Categories of records in the system:

Name, designator, rank, unit to which attached, law school attended, year admitted to practice and State or Territory where admitted, and employment.

Authority for maintenance of the system:

10 USC 806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assist the Judge Advocate General in the assignment of officers. The files may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, stored in a file cabinet.

Retrievability:

By officer's name.

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the cabinets are located is locked outside of official working hours.

Retention and disposal:

Records are retained for two months and then destroyed.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager. Written requests must be signed by the requesting individual. For personal visits, the individual should be able to provide some acceptable identification, e.g., Armed Forces identification card, driver's license, etc.

Record access procedures:

Requests should be addressed to the system manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information is received from Reserve officers who participate in the Naval Reserve Law Programs.

Systems exempted from certain provisions of the act:

NONE

N00013Q

System name:

Naval Reserve Law Program Officer Personnel Information

System location:

Office of the Judge Advocate General (Code 62), Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Applicants applying for appointment or transfer to Judge Advocate General's Corps of the Naval Reserve.

Categories of records in the system:

Furnishes information as to applicant's qualifications and intentions to affiliate in Naval Reserve Law Program.

Authority for maintenance of the system:

10 USC 806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office use required for personnel management of Reserve Law Program. Use is required to assist in determining applicant's qualification for appointment in the Judge General's Corps. These files may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, stored in a file cabinet

Retrievability:

By officer's name

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside official working hours.

Retention and disposal:

Records are maintained for two years and then destroyed.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the: Office of the Judge Advocate General (Code 62), Navy Department, Room 2431, Navy Annex, Washington, D.C. 20370. Written requests must be signed by the requesting individual, and for personal visits, the individual should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

Requests should be addressed to: Judge Advocate General (Code 62), Navy Department, Washington, D.C. 20370

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information is received from applicants who are applying for appointment in the Judge Advocate Generals' Corps or from reserve officers requesting transfer to the system manager.

Systems exempted from certain provisions of the act:

None

N00013S

System name:

Directory of Retired Regular and Reserve Judge Advocates

System location:

Office of the Judge Advocate General (Code 61) Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Retired Officers of the Judge Advocate General's Corps

Categories of records in the system:

Name, SSAN, Designator, address, rank, retirement date.

Authority for maintenance of the system:

10 USC 5806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To utilize/assign retired Judge Advocate Generals' Corps Officers to Official Navy Selection Boards involving Judge Advocate Generals' Corps Personnel and to facilitate location of lawyers throughout the world with naval experience, which may be utilized by the Naval Service. These records may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts

Retrievability:

Computer paper printouts requested from the Bureau of Naval Personnel. Retirees are shown alphabetically by rank.

Safeguards:

Records are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

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Retention and disposal:

Records not kept after person is deceased.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager. Written requests must be signed by the requesting individual. For personal visits, the requesting individual should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

Requests from individuals should be addressed to the system manager.

Contesting record procedures:

The Agency's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information received from records held by the Bureau of Naval Personnel.

Systems exempted from certain provisions of the act:

None.

N00013T

System name:

Office of the Judge Advocate General, Reporting Questionnaire

System location:

Office of the Judge Advocate General, (Code 61), Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Officers reporting for duty in the Office of the Judge Advocate General.

Categories of records in the system:

Name, SSAN, designator, rank, date of rank, branch of service, place and date of birth, dependents, wife's name, height, weight, eye and hair color, home address and telephone number, date reported, date detached, previous duty station and mode of travel.

Authority for maintenance of the system:

10 USC 806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assist Judge Advocate General in assignment of officers within the Office of the Judge Advocate General and, until recently, this information was also used to assist Officers in obtaining identification cards for themselves and their dependents. These records may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records kept in a folder alphabetically, stored in a file cabinet.

Retrievability:

By officer's name.

Safeguards:

Records are maintained in a file cabinet under the control of authorized personnel during working hours; and the office space in which the cabinet is located is locked outside official working hours.

Retention and disposal:

Records are destroyed when the officer is transferred from the Office of the Judge Advocate General.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from the system manager. Written requests must be signed by the requesting individual. For personal visits, the requesting individual should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

Requests from individuals should be addressed to the system manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information submitted by the officer upon his reporting for duty in the Office of the Judge Advocate General.

Systems exempted from certain provisions of the act:

None.

N00013X

System name:

Fiduciary Affairs Records

System location:

Office of the Judge Advocate General (Code 13) Washington Navy Yard Washington, D.C. 20360

Categories of individuals covered by the system:

All active duty, fleet reserve, and retired members of the Navy and Marine Corps who have been medically determined to be mentally incapable of managing their financial affairs, their appointed or prospective trustees, and members' next-of-kin.

Categories of records in the system:

The system contains proceedings of medical boards, documentation indicating the origin of the mental incapability, the name(s) and address(es) of the individual's next-of-kin, the disability retirement index, a copy of the interview(s) of prospective trustee(s), the appointment of the approved trustee, authority to pay the individual's retirement pay to the approved trustee, the instructions of duties and responsibilities to the trustee, annual trustee accounting reports, copy of the trustee's surety bond, a copy of the affidavit executed by the trustee to obtain the surety bond, miscellaneous correspondence relating to the trustee's duties and responsibilities, annual approvals of the trustee account, discharge(s) of trustee, release(s) of surety, periodic physical examinations, medical records, and related correspondence.

Authority for maintenance of the system:

5 U.S.C. 301; 37 U.S.C. 601-604; 44 U.S.C. 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is maintained for the purpose of providing nonjudicial financial management of military pay and allowances payable to active duty, fleet reserve, and retired Navy and Marine Corps members for the period during which they are medically determined to be mentally incapable of managing their financial affairs. This information may be furnished to the Department of Justice when there is reason to suspect financial mismanagement and no satisfactory settlement with the surety can be reached, and may be furnished to the Veterans Administration in connection with programs administered by that agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Papers records in file folders stored in file cabinets or other storage devices.

Retrievability:

By name of the member or by name of the trustee.

Safeguards:

Files are maintained in file cabinets and other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Indefinitely; however, after the death of a member, his files are typically transferred to the Federal Records Center, Suitland, Maryland, 20409.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law) Office of the Judge Advocate General Navy Department Washington, D.C. 20370

Notification procedure:

Information may be obtained by written request which adequately identifies the system of records and the individual about whom the record is kept (i.e. full name); written requests must be signed by the requesting individual.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Components within the Department of the Navy, medical doctors, approved trustees, prospective trustees, surety companies, and Veterans Administration.

Systems exempted from certain provisions of the act:

None.

N0001310

System name:

Physical disability evaluation proceedings

System location:

Office of the Judge Advocate General (Code 75.2), Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

All Navy and Marine Corps personnel who have been considered by a Physical Evaluation Board for separation or retirement by reason of physical disability (including those found fit for duty by such boards).

Categories of records in the system:

File contains medical board reports; statements of findings of physical evaluation boards; medical reports from Veterans Administration and civilian medical facilities; copies of military health records; copies of JAG Manual investigations; copies of prior actions taken in the case; transcripts of physical evaluation board hearings; rebuttals submitted by the party; intra and interagency correspondence concerning the case; correspondence from and to the party, members of Congress, attorneys, and other interested parties; and documents concerning the appointment of trustees for mentally incompetent service members.

Authority for maintenance of the system:

10 U.S.C. 1216 and 10 U.S.C. 5148

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Department of the Navy - Used by personnel in the performance of their official duties to determine fitness for duty or eligibility for separation or retirement due to physical disability of Navy and Marine Corps personnel, by establishing the existence of disability, the degree of disability, and the circumstances under which the disability was incurred.

Veterans Administration - To verify information of service connected disabilities in order to evaluate applications for veterans' benefits.

Office of the Judge Advocate General - Used by personnel in the performance of their official duties relating to legal review of disability evaluation proceedings; response to official inquiries concerning the disability evaluation proceedings of particular service personnel; to obtain information in order to initiate claims against third parties for recovery of medical expenses under the Medical Care Recovery Act (42 U.S.C. 2651-53); and to obtain information on personnel determined to be mentally incompetent to handle their own financial affairs, in order to appoint trustees to receive their retired pay. In addition, the information may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by year of initial disability processing, and alphabetically by name within that year. Veterans Administration To verify information of service connected disabilities in order to evaluate applications for veterans' benefits.

Safeguards:

Files are maintained in file cabinets or other storage devices under the control of authorized personnel during working hours; the office space in which the file cabinets and storage devices are located is locked outside official working hours.

Retention and disposal:

Records are permanent. They are retained in the Judge Advocate General's central Records Section for six years. After that time, they are sent to the Federal Records Center, Suitland, Maryland.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department Washington, D.C. 20370.

Notification procedure:

Information may be obtained from Administrative Law Division, Office of the Judge Advocate General (Code 13), Navy Department, Washington, D.C. 20370

Written requests for information should contain the full name of the individual, military grade or rate, and date of birth. Written requests must be signed by the requesting individual.

For personal visits, the individual should be able to provide some acceptable identification, such as a military identification card (active duty or retired) or a driver's license.

Record access procedures:

Requests from individuals should be addressed to: Administrative Law Division, Office of the Judge Advocate General, Navy Department, Washington, D. C. 20370.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Military medical boards and medical facilities; Veterans Administration and civilian medical facilities; Physical Evaluation Boards and other activities of the Office of Naval Disability Evaluation; the Bureau of Medicine and Surgery; the Fiduciary Affairs Section; Navy and Marine Corps local command activities; other activities of the Department of Defense; and correspondence from private counsel and other interested persons.

Systems exempted from certain provisions of the act:

NONE

N0001314

System name:

JAG Corps Officer Personnel Information

System location:

Office of the Judge Advocate General (Code 61) Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

Active Duty Officers in the Judge Advocate General's Corps, Active Duty Officers in the Law Education and Excess Leave Programs

Categories of records in the system:

Name, date of birth, social security account number, USN/USNR, designator, rank, state bar membership and year admitted, wife's name, no. of dependents, lineal listing by year group, duty assignment, arrival and rotation dates, release date if applicable

Authority for maintenance of the system:

10 USC 806

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office use required for personnel management of Navy JAG Corps personnel as the Judge Advocate General is statutorily required to make recommendation on the assignment of all active duty JAG Corps officers. Use is required to determine qualification of an officer to receive a JAG Corps designation and to be certified as a trial or defense counsel. Use is further required to determine the rotation dates and release from active duty dates of JAG Corps officers as well as the date new officers will be available for duty. This information is then utilized to prepare JAG Corps strength plans for submission to OPNAV. Use is also required to obtain an officer's preference for duty assignment as well as eligibility for consideration for postgraduate education and overseas assignments. Certain of this information is promulgated to all active-duty JAG Corps officers in a semiannual publication known as the Directory of Navy Judge Advocates. The information is promulgated for informational purposes so that officers can determine what positions (billets) might be available should they desire rotation. Additionally, the information may be furnished to other components of the Department of Defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer strips kept on a strip file (wheel) and paper records kept in a folder identified by the officer's name kept in file cabinets.

Retrievability:

V 44 D E 17 79 UMI

By officer's name, folders are filed alphabetically.

Safeguards:

Records are maintained in the Office of the Judge Advocate General personnel office under the control of authorized personnel during working hours; the office space in which the storage devices containing the records is locked outside official working hours.

Retention and disposal:

Upon release from active duty, records are kept three years and then destroyed. Upon retirement from active duty, records are maintained indefinitely.

System manager(s) and address:

Assistant Judge Advocate General (Civil Law), Office of the Judge Advocate General, Navy Department, Washington, D.C. 20370

Notification procedure:

Information may be obtained from:
Judge Advocate General,
Navy Department,
Code 61, Room 2433, Navy Annex,
Washington, D.C. 20370
Telephone: Area Code 202/OX4-4818

Written requests must be signed by the requesting individual. For personal visits, the requesting individual should be able to provide some acceptable identification, e.g. Armed Forces identification card, driver's license, etc.

Record access procedures:

Requests from individuals should be addressed to:
Judge Advocate General (Code 61)
Navy Department,
Washington, D.C. 20370

Personnel visits may be made to the JAG Personnel Office, Room 2433, Navy Annex, Washington, D.C. 20370.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information submitted by the officer upon his successful completion of law school and admission to the bar, orders to active duty and subsequent transfer orders, computer strips provided by the Bureau of Naval Personnel on all active duty officers.

Systems exempted from certain provisions of the act:

NONE

N00014ONR300-1

System name:

Patent, Invention, Trademark, Copyright and Royalty Files

System location:

Office of Naval Research, 800 North Quincy Street, Arlington, VA, 22217

Categories of individuals covered by the system:

Inventors and patent owners of inventions in which Government has an interest or which Department of the Navy has evaluated; copyright owners of works in which Government has an interest; and claimants or parties in administrative proceedings or litigation with the Government involving patents, copyrights or trademarks.

Categories of records in the system:

Invention disclosures; disposition of rights in inventions of Government employees; patent applications and patented files; patent licenses and assignments; patent secrecy orders; copyright licenses and assignments; patent and copyright royalty matters; administrative claims and litigation with the Government involving patents, copyrights and trademarks including private relief legislation involving these matters; and documents and correspondence relating to the foregoing.

Authority for maintenance of the system:

10 USC 5151

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Navy patent personnel to determine rights of the Government and employees in employee inventions; to file and prosecute patent applications; to publish invention disclosures for public information and defensive purposes; to provide evidence and record of Government interest in or under patents or applications for patents; to provide evidence and record of patent and copyright licensing and assignment; to determine action or recommended action regarding disposition of claims or litigation; and to recommend Government employee incentive awards. Used by other Navy/Marine Corps commands to determine Government interest in inventions; to permit utilization of inventions; and to support employee incentive awards. Used by U.S. Patent and Trademark Office to determine respective rights of the Government and employee-inventors; by the Commissioner of Patents and Trademarks, as well as Navy patent personnel, to administer Patent Secrecy responsibilities; by Federal Council for Science and Technology as a source of statistical data for an annual report on Government patent policy; by the General Accounting Office to conduct audits and perform other statutory functions. Information is transmitted to the U.S. Patent and Trademark Office and appropriate foreign government offices for prosecution of patent applications; the U.S. Patent and Trademark Office and the U.S. Copyright Office to evidence legal interests in patent and copyright licenses and assignments; the National Technical Information Service for publication of inventions available for licensing; non-governmental personnel (including contractors and prospective contractors) having an identified interest in particular inventions and Government rights therein, in infringement of particular patents or copyrights, or in allowance of royalties on contracts; and the Congress in the form of reports on particular bills for private relief and reports of action on Congressional and constituent requests. Government agencies involved in claims or litigation, including the Department of Justice, have access to prosecute and defend cases. All Government agencies have access to license records. Parties involved in particular licensing arrangements have access to specific files involved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card files.

Retrievability:

Subject matter; Navy patent case number; name of inventor, patentee, copyright owner, claimant or correspondent.

Safeguards:

Maintained in safes and file cabinets in controlled spaces accessible only by authorized personnel who are properly instructed in the permissible use of the information.

Retention and disposal:

Maintained indefinitely but records are transferred to Federal Records Center two years after completed action on case to which record relates.

System manager(s) and address:

Assistant Chief for Patents, Code 300, Office of Naval Research, Arlington, VA, 22217

Notification procedure:

Direct information requests to system manager.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information obtained from individual inventor, patent or copyright owner, claimant, licensor or licensee, or from U.S. Patent and Trademark Office, or from U.S. Copyright Office. Information on Government employee-inventors or copyright owners may be obtained from Government personnel records and from Government supervisors.

Systems exempted from certain provisions of the act:

NONE

N00014ONR400-1

System name:

Principal Investigator Record of Active Contracts

System location:

Office of Naval Research, Code 400r1, Arlington, Virginia 22217

Categories of individuals covered by the system:

Names of principal investigators with active contracts in ONR with Asst. Chief for Research and Asst. Chief for Technology

Categories of records in the system:

3 x 5 index cards arranged alphabetically by principal investigators' names

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to: (A) Determine whether an individual has a contract with the Office of Naval Research, (B) Cross-reference identifying information on technical supports. The record is used by personnel in the immediate office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3 x 5 index cards arranged alphabetically in an open metal tray

Retrievability:

Name

Safeguards:

Locked file cabinets

Retention and disposal:

Maintained as long as contract is on-going; when contract expires, cards are put in office waste basket

System manager(s) and address:

Asst. Chief for Research Office of Naval Research, Arlington, VA. 22217

Notification procedure:

Inquiries should be made in writing or by telephone to Office of Naval Research (Code 400r1), Arlington, VA. 22217 Phone: 202-692-4108

Record access procedures:

The agency's rules for access to records may be obtained from the systems manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager

Record source categories:

Procurement request for contract work

Systems exempted from certain provisions of the act:

None

N00014ONR723-1

System name:

Naval Research Reserve Program Personnel Accounting System

System location:

Office of Naval Research 800 North Quincy st. Arlington, VA 22217

Categories of individuals covered by the system:

Research reserve personnel, officer and enlisted

Categories of records in the system:

Military identification information, including Naval Officer Billet Codes, plus professional qualifications information, including education and occupation

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Mobiliazation plannng, active duty for training order endorsements, preparation of Quarterly Reserve Status Report on Readiness of Reserve for the Chief of Naval Research (CNR), Research Reserve Annual Report for CNR

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punched cards, printouts, printed forms (NAVSO 1080/2C and 1080/2A)

Retrievability:

Name, rank, designator, NOBC's, education, major subject, First Navy qualification, first job function, reserve unit affiliation

Safeguards:

Records kept in controlled access building, controlled computer spaces, file cabinets in limited access offices

Retention and disposal:

Physically destroyed annualy when new questionnaire forms are received

System manager(s) and address: Research Reserve Coordinator, Code 723 Office of Naval Research Arlington, VA 22217

Notification procedure: Write to SYSMANAGER, giving full name, rank, SSN. Visit Office at above address, showing Naval Research ID Card.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Qualifications Questionnaire Naval Reserve Research Program, NAVSO form 1080/2

Systems exempted from certain provisions of the act:

None

N00015. 050101

System name:

Reserve Personnel History File

System location:

Naval Intelligence Command 2461 Eisenhower Avenue Alexandria, Virginia 22331

Categories of individuals covered by the system:

All officers and enlisted personnel of the Naval Reserve Intelligence Program and applicants for affiliation with the program.

Categories of records in the system:

File contains information relating to the individual's residence history, education, professional qualifications, occupational history, foreign country travel and knowledge, foreign language capabilities, history of active military duty assignments and military reserve active duty training and background investigation information.

Authority for maintenance of the system:

National Security Act of 1947, as amended; 5 U.S.C. 301 Departmental Regulations; 10 U.S.C. 503 Department of the Navy 10 U.S.C. 6011 Departmental Regulations; 44 USC 3101, Records Management by Federal Agencies;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Reserve Personnel History File is maintained for the purposes of determining qualifications for members of the Naval Reserve Intelligence Program and providing a personnel management device for career development programs, manpower and personnel requirements for program activities assignment of support projects of the reserve program, and mobilization planning requirements. This information may be provided to the department of Defense and components therof for research, analysis, evaluation and utilization of the information and for such other matters as may be necessary to fulfill the responsibilities of the Department of Defense and the components therof. By other appropriate federal agencies who may require the information to fulfil such agencies' legal responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computerized magnetic tapes; microfoam; some records may be maintained in file folders.

Retrievability:

The file can be accessed for each file element or any combination therof

Safeguards:

GSA approved security containers located in controlled access spaces.

Retention and disposal:

Records Disposal Manual, Secretary of the Navy Instruction 5212.5B.

System manager(s) and address:

Commander, Naval Intelligence Command 2461 Eisenhower Avenue Alexandria, Virginia 22331

Notification procedure:

Information may be obtained by written request to the System Manager, giving full name, residence address and date and place of birth. A notarized statement may be required for identity verification.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Reserve Personnel History File data submitted by the individual; background investigation reports from the Naval Investigative Service.

Systems exempted from certain provisions of the act:

NONE

N00015.L1000

System name:

Naval Intelligence Management Information System (NIMIS)

System location:

Naval Intelligence Support Center, 4301 Suitland Road, Washington, D.C. 20390.

Categories of individuals covered by the system:

Military and federal employees of the Commander, Naval Intelligence Command and subordinate commands thereof.

Categories of records in the system:

File contains a record of taskings to various components of the Office of Naval Intelligence and the Naval Intelligence Command, including a record of workhours expended on those tasks by each individual involved.

Authority for maintenance of the system:

Title 5, USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information derived from this system is used by the Office of Naval Intelligence and its components, for research analysis, developing and evaluating plans, policies, procedures, and related matters. The information is also used for the purpose of measuring intelligence production against budgeted programs and goals; for purposes of maintaining a record of intelligencetaskings and projects assigned to the Office of Naval Intelligence and its components including the current status; for historical and statistical purposes; including use of summary data as the basis for various reports; and for such other matters as may be necessary to fulfill the responsibilities of ONI and components thereof; the Director of Central Intelligence; United States Foreign Intelligence Board; and other appropriate federal agencies requiring the information to fulfill legal responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic disk with backup on magnetic tape. Maintained in controlled access areas.

Retrievability:

Files are accessed and retrieved by a project number and/or by social security number or a locally assigned number.

Safeguards:

In compliance with the specified requirements for classified matter and are accessable to authorized personnel with proper security clearance and need for access.

Retention and disposal:

Records are maintained by fiscal year and are destroyed after 5 years.

System manager(s) and address:

Commander, Naval Intelligence Command, Building 1, Federal Complex, Suitland, Maryland 20390.

Notification procedure:

A person can determine whether the system contains information pertaining to that individual by making a written request to the system manager. The written request should contain full name, social security number, current residence address and telephone number.

Record access procedures:

Written requests to the system manager requesting rules for access to records.

Contesting record procedures:

The Office of Naval Intelligence rules for contesting contents and appealing determinations may be obtained from the systems manager.

Record source categories:

Workhour inputs are obtained from each individual on a weekly basis.

Systems exempted from certain provisions of the act:

Some information contained in this system of records is classified and exempt from access pursuant to provisions of 5 USC 522a(k)(1). Access will be granted to those portions of the record which: (1) are determined to be unclassified at the time access is requested, and (2) are reasonably segregative from exempt portions.

N00015.OOK1

System name:

Special Intelligence Personnel Access File

System location:

Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Va. 22331

Categories of individuals covered by the system:

All civilian and military personnel of the Department of the Navy and contractors and consultants of the Department of the Navy.

Categories of records in the system:

Records pertaining to the eligibility of Department of the Navy personnel (civilian,military, contractor and consultant) to be granted access to Special Intelligence which include documents of nomination, personal history statements, background investigation date and character, narrative memoranda of background investigation, eligibility documents for access to special intelligence, proof of indoctrination and debriefings as applicable and record of hazardous activity restrictions assigned.

Authority for maintenance of the system:

National Security Act of 1947, as amended; 5 U.S.C. 301, Departmental regulations; 10 U.S.C. 503, Department of the Navy; 10 U.S.C. 6011, Navy Regulations; 44 U.S.C. 3101, Records Management by federal agencies; Executive Order 11652, classification and declassification of National Security Information and Material.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Special Intelligence Personnel Access File is maintained for the purpose of permitting a determination of an individual's eligibility for access to Special Intelligence information. This information may be provided to the Department of Defense and all its components, the Central Intelligence Agency, the Federal Bureau of Investigation, the National Security Agency, the Energy Research and Development Administration, the United States Treasury Department, the Department of State, and to any other Federal agency establishing a need to know for the performance of their assigned responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Active files consist of paper records in file folders and computerized tapes. Inactive files are retained on microfiche.

Retrievability:

Records are filed alphabetically by last name of the individual.

Safeguards:

GSA approved containers located in controlled access spaces.

Retention and disposal:

Records are retained indefinitely. Inactive files are retained on microfiche.

System manager(s) and address:

Commander, Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Virginia 22331

Notification procedure:

Information may be obtained by written request to the system manager, giving full name, residence address and date and place of birth. A notarized statement may be required for identity verification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Personal History Statement and related forms from the individual. Access forms and documents prepared by the system manager. Correspondence between system manager and activities requesting access status.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00015.0NI53-1A

System name:

Status of Downed Naval Aviation Personnel, Southeast Asia Operations

System location:

Primary Central System - Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Va. 22331 Decentralized Segments - Center for Prisoner of War Studies, Naval Health Research Center, San Diego, Ca. 92152; Fleet Aviation Special Operations Training Group, Atlantic, Detachment Brunswick, Naval Air Station, Brunswick, Ma. 04011; Fleet Aviation Special Operations Training Group, Pacific, Naval Air Station North Island, San Diego, Ca. 92135

Categories of individuals covered by the system:

Military and civilian personnel of the Department of the Navy who were reported as either killed in action, missing in action, prisoner of war or recovered prisoner of war in the Southeast Asia area since June 1964 and repatriated civilian prisoners who were debriefed by Navy personnel at the request of the Department of State.

Categories of records in the system:

File contains tape recordings, detailed written summaries and brief daily reports of the debriefing of all personnel described above. In addition the file contains individual folders and a Navy publication listing and containing information pertaining to military and civilian personnel of the Department of the Navy described above. An automated index of the information contained in the records by subject categories is currently being prepared.

Authority for maintenance of the system:

National Security Act of 1947, as amended; 10 U.S.C. 503, Department of the Navy; 10 U.S.C. 6011, Navy Regulations; 5 U.S.C. 301, Departmental Regulations; 44 U.S.C. 3101, Records management by Federal Agencies;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By the Department of Defense and components therof for research analysis, evaluation and utilization of the information: for purposes of developing and evaluating plans, policies, procedures, training and treatment pertaining to survival, rescue, evasion, captivity, human behavior and related matters; for purposes of fulfilling intelligence requirements and matters related thereto; for purposes of determining the status of those personnel considered missing and matters related thereto; for purposes of determining treatment of American prisoners of war; for historical and statistical purposes; for purposes of aircraft vulnerability and safety studies and matters related thereto; and for such other matters as may be necessary to fulfill the responsibilities of the Department of Defense and the components thereof. By contractors of and consultants to the Department of Defense and components therof for the purposes stated above. By the Department of State, the Department of Justice, the Central Intelligence Agency, the United States Intelligence Board, the National Security Agency, the Veterans Administration and other appropriate Federal agencies who may require the information to fulfill such agencies legal responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Publications, paper records in file folders, magnetic recorder tapes, punched cards, written reports and messages.

Retrievability:

Alphabetically by last name.

Safeguards:

Records are stored in locked files in a controlled access area and are accessible only to authorized personnel with proper security clearance and the need for access.

Retention and disposal:

Records are permanent. They will be retained indefinitely for as long as requirements for the information exist and then subsequently retired to the Washington National Records Center.

System manager(s) and address:

Commander, Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Va. 22331

Notification procedure:

An individual can determine whether the system contains records pertaining to him by making a request in writing to the system manager. The written request should contain the individual's full name, current residence address and telephone number, and, if applicable, his military service number.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Most of the information in the system was obtained from the individual concerned. However, numerous diverse sources were utilized to develop information pertaining to the status of the individuals reported as a prisoner of war or as missing in action.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00015.00K2

System name:

Naval Attache Files

System location:

Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Virginia 22331

Categories of individuals covered by the system:

U.S. Navy and Marine Corps Officers nominated and/or assigned to duty in the Defense Attache System (DAS)

Categories of records in the system:

File contains records concerning the service and personal history of officers nominated and/or assigned to duty in the DAS and their dependents.

Authority for maintenance of the system:

National Security Act of 1974, as amended; 5 USC 301, Departmental regulations; 10 USC 503, Department of the Navy; 10 USC 6011, Navy Regulations; 44 USC 3101, Records Management by federal agencies; United States Navy Regulations, 1973 Executive Order 11652, Classification and declassification of National Security Information and Material

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By offices of the Navy, DOD and State to determine suitability of personnel for security clearances and assignment to the DAS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files in folders stored in standard GSA safes.

Retrievability:

By name of officer.

Safeguards:

Records are stored in a controlled access area and are accessible only to a very limited number of authorized personnel with proper security clearance and demonstrated need for access.

Retention and disposal:

Records are opened on individuals when first nominated for attache duty, and retained until six months after completion of attache duty.

System manager(s) and address:

Commander, Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Virginia 22331

Notification procedure:

Information may be obtained by written request to the system manager, giving full name, residence address, and date and place of birth. A notarized statement may be required for identity verification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Data is gained from the subjects of the file, BUPERS and Headquarters Marine Corps files of subject's fitness reports, DIS/NIS background, investigations and other sources who are familiar with the subject.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 USC 552a (K) (1), as applicable. For additional information consult the system manager.

N00015.050102

System name:

Intelligence Reserve Personnel Management File

System location:

Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Va. 22331

Categories of individuals covered by the system:

All officers and enlisted personnel of the Naval Reserve Intelligence Program

Categories of records in the system:

File contains information relating to the individual's residence history, education, professional qualifications, occupational history, foreign country travel and knowledge, foreign language capabilities, history of active military duty assignments and military reserve active duty training, background investigation information, qualifications for active military duty assignments and military promotions,

Authority for maintenance of the system:

National Security Act of 1947, as amended; 5 U.S.C. 301, Departmental regulations; 10 U.S.C. 503, Department of the Navy; 10 U.S.C. 6011, Navy Regulations; 44 U.S.C. 3101, Records Management by federal agencies;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These files are maintained for the purposes of determining qualifications for members of the Naval Reserve Intelligence Program and providing a personnel management device for career development programs, manpower and personnel requirements for program activities, assignment of support projects of the reserve program, and mobilization planning requirements. This information may be provided to the Department of Defense and components thereof for research, analysis, evaluation and utilization of the information and for such other matters as may be necessary to fulfill the responsibilities of the Department of Defense and the components thereof. By other appropriate federal agencies who may require the information to fulfill such agencies' legal responsibilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by last name.

Safeguards:

GSA approved security containers located in controlled access spaces.

Retention and disposal:

Records are retained indefinitely

System manager(s) and address:

Commander, Naval Intelligence Command 2461 Eisenhower Avenue, Alexandria, Virginia 22331

Notification procedure: Information may be obtained by written request to the System Manager, giving full name, residence address and date and place of birth. A notarized statement may be required for identity verification.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager

Record source categories:

Reserve Personnel History File data submitted by the individual; correspondence regarding individual's military and civilian qualifications; letters from the Department of the Navy regarding promotions.

Systems exempted from certain provisions of the act:

None

N00018 01

System name:

N00018 Medical Department Training Records System

System location:

Bureau of Medicine and Surgery, Navy Department, Washington, D.C. Bureau of Naval Personnel, Navy Department, Washington, D.C. Naval Reserve Personnel Center, Naval Training Center, Bainbridge, Md. Bureau of Medicine and Surgery Managed Education and Training Activities (Mailing addresses are listed in the directory of Department of the Navy mailing addresses in the Appendex to the Component System Notice). Various Colleges and Universities Affiliated with BUMED managed Training Activities

Categories of individuals covered by the system:

Navy, Navy Reserve, other Armed Forces, and Civilian

Categories of records in the system:

System comprises of automated and non-automated records reflecting information pertaining to individual identification factors, prior and current education and training, and professional accomplishments.

Authority for maintenance of the system:

5 USC 301 Department Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military and civilain employees of BUMED, BUPERS, and BUMED-managed education and training activities in the performance of their official duties related to the screening, evaluating and selection of candidates for scholarship program; continuing, short course, and graduate education and training; and for academic review boards when students are unable to complete the course for various reasons.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in automated systems form, file folders in standard file cabinets and visual 5 x 8 cardex references.

Retrievability:

Automated records are retrieved by training, education program, student social security number, or name. Manual systems are retrieved by training or educational program, name and social security number.

Safeguards:

Records systems are maintained in office spaces controlled by office personnel during working hours, and by locks and roving security personnel after working hours.

Retention and disposal:

Permanent records are maintained by BUMED. BUMED managed training and educational facilities maintain working copies of educational/ training records for approximately five years for statistical and credentialing purposes after which records may be destroyed.

System manager(s) and address:

Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372.

Notification procedure:

Requests should be addressed to Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372, and contain the school/training/ educational facility attended, full name, social security number, and signature of requestor. The individual may visit BUMED or the individual BUMED managed education facility and must possess proof of identification in the form of driver's license or Military DOD ID Card, or other information that will positively identify requester.

Record access procedures:

Information may be obtained from Chief, Bureau of Medicine, Navy Department, Washington D.C. 20372 Telephone AC 202 254-4279 AUTOVON 249-4279

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military personnel records, civilian personnel records, and other educational institutions.

Systems exempted from certain provisions of the act:

NONE

N00018 02

System name:

Bureau of Medicine and Surgery Headquarters Personnel System

System location:

Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372

Categories of individuals covered by the system:

Navy Medical Corps, Dental Corps, Medical Service Corps, Nurse Corps and Warrant officers 8175 - active, inactive, regular, reserve, resigned, retired and deceased; Navy civilian employees - GS series 602 (physician); applicants to student status in Navy Aerospace Medicine, Navy Aerospace Physiology and Navy Aerospace Experimental Psychology; designated flight surgeons, aerospace physiologists and aerospace experimental psychologists; Navy and civilian personnel qualified as divers; Navy and civilian personnel exposed to radiation hazards; civilian physicians applying for full time graduate medical education; distinguished/noted civilian physicians in capacity of lecturer/consultant.

Categories of records in the system:

All personal and demographic data; education, training and professional qualifications; assignment history, projected rotation date, projected release from active duty date, active duty obligation, officer preference card, and variable incentive pay/continuation pay selection data; Hospital Corps education and training history with grades received, commanding officers' performance evaluation and recommendations; demographic and professional information on civilian physician employees; periodic and total lifetime accumulated radiation dosage; curricula vitae of civilian consultants.

Authority for maintenance of the system:

Title 10, U.S. Code; Title 10 CFR Part 20 'Standards for Protection Against Radiation'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Procurement, training, promotion, all aspects of personnel management; career development; screening and selection for Hospital Corps training; evaluation of candidates for position of lecturer/consultant; mobilization planning and verification of Reserve service; management of physical standards; maintenance of safe radiation protection standards.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records stored on disc, tape, punched card. Manual stored in card files and folders in filing cabinets.

Retrievability:

Automated retrieved by key to any data field. Manual retrieved by full name.

Safeguards:

Buildings locked outside regular working hours.

Retention and disposal:

Active duty records maintained during period of active service. Inactive reserve data cards maintained permanently. Enlisted training and duty preference records destroyed every 2 years. Reserve correspondence files retired to National Personnel Records Center, St. Louis, Mo. on termination of Ready or Standby Reserve affiliation. Aerospace Medicine correspondence files destroyed 2 years after termination of active service; cards retained permanently. Radiation exposure records retained for 75 years and destroyed. Medical Service Corps procurement, training and distribution record given to officer when active service is terminated. Medical Service Corps officer data cards and professional qualifications record destroyed when active service is terminated. Curricula vitae of lecturer/consultants destroyed on termination of status.

System manager(s) and address:

Chief, Bureau of Medicine and Surgery

Notification procedure:

Request by correspondence should be addressed to Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372. The request should contain full name, rank, SSAN, file number (if any), and designator. Records may be reviewed at Potomac Annex, 23rd and E Street, N.W. Washington, D.C. 20372, Monday through Friday, except holidays, from 0800 to 1630. The individual should establish his identity with some standard type of identification card showing name and a recent photograph.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Military bureaus, Headquarters, offices and commands; educational institutions and training hospitals; Boards, Colleges and associations of professional licensure and medical specialties; letters and telephone conversations from individuals; automated system interfaces.

Systems exempted from certain provisions of the act:

None

N00018 03

System name:

Health Care Treatment Record System

System location:

Service medical (health and dental) records for active duty and reserve, Navy and Marine Corps Personnel. Retained at the individual's duty station or reserve unit. (Mailing addresses are listed in the Navy Directory in the appendix in the component system notice.) Bureau of Naval Personnel, Navy Department Washington, DC; Naval Reserve Personnel Center, 4400 Dauphine Street, New Orleans, Lousiana 70149; Headquarters Marine Corps, Navy Department, Washington, DC 20380; Marine Corps Reserve Forces Administrative Activity, Class III, 1500 E. Bannister Road, Kansas City, Missouri 64131; National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132. Inpatient treatment records for active duty military, dependents, retired military and dependents, civilian employees, VA beneficiaries and humanitarian. Naval Regional Medical Centers and Naval Hospitals; National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132. Outpatient treatment records for dependents of active duty military, retired military and their dependents, civilian employees, VA beneficiaries and humanitarian. Naval Regional Medical Centers and Naval Hospitals, and Clinics (Dispensaries); National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118; National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132. Subsidiary record files of the health care treatment record system are located at Naval Medical Data Services Center, Bethesda, Maryland; Regional Data Service Centers; Naval Environmental Health Center, Norfolk, Virginia; and other approved locations for conducting research studies.

Categories of individuals covered by the system:

Navy, Marine Corps, other military personnel, dependents, retired military personnel and dependents, civilian employees, VA beneficiaries and humanitarian.

Categories of records in the system:

Service medical (health and dental) records for active duty and reserve, Navy and Marine Corps: system is made up of records pertaining to the member or former member's medical history; physical, dental and mental examinations; consultation; innoculations; outpatient treatment, including laboratory and x-ray reports; report of medical boards; summaries of periods of hospitalization, dental evaluation and treatment, reports of exposure to environmental and radiation hazards, results of special diagnostics and clinical studies; recommendations regarding requests for waivers of established physical standards.

Inpatient and outpatient treatment records: file contains a multiplicity of prescribed forms documenting health evaluations, medical/dental care and treatment for any health or medical condition or problem provided an eligible individual on an outpatient and/or inpatient status. The records contain history and physical examinations or health evaluation, reports of exposure to ionizing radiation, consultation reports and medical care and treatment provided, including procedures utilized such as surgery, drugs, dietary, x-ray laboratory, nursing notes, physical therapy and other specialty care applicable to the medical diagnosis or conditions found. The records also contain patients demographic data, family health history data, length of inpatient stay, disease nomenclature, discharge summary of inpatient care. Documentation of health history, diagnosis, care and treatment provided and the recording thereof conform with the standards prescribed by the joint commission on accreditation of hospital. In addition to, and based on individual medical record files, there are subsidiary records such as registers of patients; patient health care, medical board and death statistics; environmental health data; operating room schedules, tumor registers; appointment registers; sick call and treatment logs; x-ray files; laboratory files and logs; pharmacy

records; EKG's; EEG's; neuropsychiatric evaluations; physical therapy records; other patient evaluation records, etc.

Authority for maintenance of the system:

10 USC 5131 (as amended), 10 USC 5132, 44 USC 3101, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy (and members of the National Red Cross in Navy Health Care Facilities) in the performance of their official duties relating to the health and medical treatment of those categories of individuals covered by this record system; determining physical qualifications and suitability of candidates for various programs; personnel assignment; adjudicating claims and appeals before the council of personnel boards, and the Board for Correction of Naval Records; rendering opinions regarding members' physical fitness for continued naval service; litigation involving medical care provided those categories of individuals covered by this record system; performance of research studies and compilation of statistical data; implementing preventive medicine, dentistry, and communicable disease control programs. Officials and employees of other components of the Department of Defense in the performance of their official duties relating to determining the physical qualifications of applicants; in providing medical care to those categories of individual covered by this record system; and in the conduct of analyses and research studies.

Officials and employees of the Veterans Administration in the performance of their official duties relating to the adjudication of veterans claims and in providing medical care to members of the Naval Service. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the executive branch agencies.

Officials and employees of other departments and agencies of the Executive Branch of Government upon request in the performance of their official duties related to review of the physical qualifications and medical history of applicants and employees who are covered by this record system and for the conduct of research studies. Private organizations (including education institution) and individuals for authorized health research in the interest of the Federal Government and the public. When not considered mandatory, patient identification data shall be eliminated from records used for research studies. Parent activities releasing such records shall maintain a list of all such research organizations and records released thereto.

Officials and employees of the National Research Council in cooperative studies of the National History of Disease; of prognosis and of epidemiology. Each study in which the records of members and former members of the Naval Service are used must be approved by the Surgeon General of the Navy.

Officials and employees of local and state governments and agencies in the performance of their official duties pursuant to the laws and regulations governing and local control of communicable diseases, preventive medicine and safety programs, child abuse and other public health and welfare programs. Authorized surveying bodies for professional certification and accreditations.

When required by federal statute, by executive order, or by treaty, medical record information will be disclosed to the individual, organization, or government agency, as necessary. Drug/Alcohol and Family Advocacy Information maintained in connection with Abuse Prevention Programs shall be disclosed only in accordance with the applicable statues, 21 U.S.C. 1175, 42 U.S.C. 4582, and 5 U.S.C. 552.

Records will not be further released by routine users with prior approval of the SYSMANAGER.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Service medical (health and dental) records for active duty and reserve, Navy and Marine Corps:

Records are stored in file folders, microform, on magnetic tape, punched cards, machine listings, discs, and other computerized or machine readable media.

Inpatient and outpatient treament records. These records originate at any Navy Medical Treatment Facility where the individual comes for medical care and treatment. The inpatient treatment records are retained for 2 years from date of last treatment at the activity and then sent to the National Personnel Records Center, St. Louis, Missouri. Outpatient treatment records are transferred for continuity of care and treatment to other medical activities upon change of station by the service member. Outpatient files, upon 2 years from date of last treatment are transferred to the National Personnel Records Center.

Inpatient and outpatient treatment records are maintained in mechanized lists, file folders, microform, and on magnetic tape, discs, punched cards, and other computerized or machine readable media. Inpatient treatment records are filed numerically by hospital register numbers. The alphabetical patient register serves as the locator media. Outpatient treatment records are filed by the Military Member's SSN with an alphabetical card or mechanized list or other record as the locator media. Medical x-rays are filed by a sequential numbering system in manual or mechanized format with an alphabetical name locator.

Retrievability:

Service medical (health and dental) records for active duty and reserve, Navy and Marine Corps Members.

Records retired to the National Personnel Records Center, St. Louis, Missouri, prior to 1971 are retrieved by name and service or file number. After that date, records are retrieved by name and social security number. Records retired to the National Personnel Records Center, St. Louis, Missouri prior to 1971 are retrieved by name and service or file number, after that date records are retrieved by name and social security number.

Inpatient and outpatient treatment records.

Records are retrieved by manual or automated locator media (alpha name cards, logs, listings, tapes, etc.).

Safeguards:

Records are maintained in various kinds of filing equipment in specific monitored or controlled access rooms or areas; public access is not permitted. Computer terminals are located in supervised areas; access is controlled by password or other user code system; utilization reviews ensure that the system is not violated. Access is restricted to personnel having a need for the record in providing further medical care or in support of administrative/clerical functions. Records are controlled by a charge-out system to clinical and other authorized personnel.

Retention and disposal:

Health care treatment records are retained, retired, and disposed of in accordance with SECNAVINST 5212.5 series, disposal of Navy and Marine Corps Records.

System manager(s) and address:

Service medical (health and dental) records for active duty and reserve, Navy and Marine Corps: Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372; Commanding Officers, Naval Activities, Ships, and Stations, Director, National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 64131.

Inpatient and outpatient treatment records: Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372; Commanding Officer, Naval Medical Centers and Hospitals or activities having Clinics; Director, National Personnel Records Center, St. Louis, Missouri 63118.

Notification procedure:

Service medical (health and dental) records for active duty and reserve; Navy and Marine Corps Members;

Requests for information from active duty Navy and Marine Corps personnel and drilling members of the Navy and Marine Corps Reserves should be addressed to the individual's commanding officer. Official mailing addresses are in the Department of Defense Directory in the appendix to the component's system notice. Inactive Naval Reservists should address requests for information to the Naval Reserve Personnel Center, 4400 Dauphine Street, New Orleans, Louisiana 70149. Marine Reservist's should address request for information to Marine Corps Reserve Forces Administrative Activity, Class III, 1500 E. Bannister Road, Kansas City, Missouri 64131.

Former members who have no further reserve or active duty obligations should address requests for information to director, National Personnel Records Center (Navy Reference Branch), 9700 Page Boulevard, St. Louis, Missouri 63132.

All written requests should contain the full name and social security, account number of the individual, his signature, and in those cases where his period of service ended before 1971, his service or file number. In requesting records for personnel who served before 1964, information provided to the National Personnel Records Center should also include date and place of birth and dates of periods of active Naval service. Active duty Navy and Marine Corps personnel including drilling members of the reserves may visit the medical department of the activity to which attached. Inactive Naval Reservists whose tour of active duty ended after 1 July 1972 may visit the Naval Reserve Personnel Center, 4400 Dauphine Street, New Orleans,Louisiana. Marine Reservists whose tour of active duty ended after 1 July 1972 and who have a continual reserve obligation may visit the Marine Corps Reserve Forces Administration Activity, Class III, 1500 E. Bannister Road, Kansas City, Missouri. Former members with no further obligation and reservists whose tour of active duty ended prior to 1 July 1972 may visit the National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri. Proof of identification in the case of active duty, retired and reserve personnel will consist of the Armed Forces of the U.S. Identification Card or by other types of identification bearing picture and signature. Former members may provide drivers license or other types of identification bearing picture and signature.

Inpatient and outpatient treatment records:

(Care/treatment within 2 years) Commanding Officer of the Naval Regional Medical Center or hospital where the individual was treated.

(More than 2 years) Director, National Personnel Records Center, 111 Winnebago Street, St. Louis, Missouri 63118 or Director, National Personnel Records Center, 9700 Page Boulevard, St. Louis, Missouri 63132.

Provide the following data: full name, service number, status, or SSN of sponsor, date(s) of treatment or period of hospitalization, address at time of medical treament, if known.

Office where requster may visit to obtain information of records pertaining to the individual.

Regional Medical Center or Hospital
Chief, Patient Affairs Service
Chief, Outpatient Service
Officer-in-charge other Navy Medical Facility

Full name, date and place of birth, ID card or drivers license, or other identification to sufficiently identify the individual with the medical records held by the treatment facility must be presented.

Record access procedures:

Sysmanager - service medical (health and dental) records for active duty and reserve, Navy and Marine Corps; requests from individuals should be addressed to Chief, Bureau of Medicine and Surgery, (Code 3111), Navy Department, Washington, DC 20372.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerning may be obtained from the SYSMANAGER.

Record source categories:

Reports from attending and previous physicians and other medical personnel regarding the results of physical, dental and mental examinations, treatment, evaluation, consultation, laboratory, x-ray and special studies conducted to provide health care to the individual or to determine the individuals physical and dental qualification.

Systems exempted from certain provisions of the act:

None

N00018 04

System name:

Decedent Affairs Records System

System location:

Bureau of Medicine and Surgery (Code 73), 23d and E Sts, NW, Washington, D. C. 20372 Commandants of Naval Districts CO Naval Medical Treatment Facilities

Categories of individuals covered by the system:

Deceased individuals for whom the Department of the Navy is responsible

Categories of records in the system:

Reports concerning casualty, status, transportation of remains, requests for special escorts and our responses, disposition instructions, acknowledgements to next of kin; pertinent data, medals and awards, preparation and identification of remains reports, escort orders and debriefing forms, death certificates, some autopsy reports, DD Forms 1300 (Reports of Casualty); correspondence pertaining thereto; and adjudication copies and paid vouchers and statistical data excerpted from decedent affairs files

Authority for maintenance of the system:

Title 5, US Code 103a and b; Title 10, Sections 1481-1488, US Code; Executive Orders 8557, 30 Sep 40 and 10209 of 1 Feb 51; 44 US Code 3101

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

PURPOSE
To facilitate and monitor return of remains and associated benefits
CATEGORIES OF USERS
Department of Navy and families of decedents
SPECIFIC USES

Verification of eligibility for benefits; provision of information to families of decedents concerning identification, care and return of remains, causes of death and payment of allowances

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders Statistical data on magnetic tape

Retrievability:

Filed alphabetically according to name of decedent by fiscal year of date of death -- Name, social security (or serial) number, date of death

Safeguards:

Locked building and guard during non-duty hours; personnel screening during duty hours

Retention and disposal:

Permanent - Records are accumulated chronologically and filed alphabetically by fiscal year; held three years and retired to the Federal Records Center for permanent retention under control of this Bureau

System manager(s) and address:

Chief, Bureau of Medicine and Surgery Commandants of Naval Districts Commanding Officers, Medical Treatment Facilities

Notification procedure:

Address inquiries to the systems manager Inquiry must include name of decedent, military status at time of death, SSAN and/or service number, and date of death Requestor may visit Bureau of Medicine and Surgery (Code 73), 23d and E Streets, NW, Washington, D. C. 20372

Record access procedures:

The agency's rules for access to records may be obtained from the systems manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Reports submitted by field commands and next of kin as required by regulations and directives pertaining to the decedent affairs program

Systems exempted from certain provisions of the act:

NONE

N00018 05

System name:

Uncollectible Accounts

System location:

Primary System - Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D. C. 20372. Decentralized Segments - Naval Hospitals and Medical Centers which provide services or perform work giving rise to such accounts receivable. (Mailing addresses are listed in the directory of Department of the Navy mailing addressesin the Appendix to the Component System Notice.)

Categories of individuals covered by the system:

Any individual incurring indebtedness to the United States by receiving health care treatment or examination services funded by the Navy Medical Department. Coverage also includes sponsors and other persons responsible for the debts of such persons.

Categories of records in the system:

The types of records in the system include Request for Recovery of CHAMPUS Funds (CHAMPUS Form 11); letter reports of uncollectible accounts receivable; substantiating documents such as Supplies and/or Services provided by Civilian Hospitals (DA Form 1863-1), Services and/or Supplies provided by Civilian Sources (except Hospitals) (DA Form 1863-2), Explanation of Benefits forms, physicians' and hospitals' statements of services and charges, payment receipts, admission documents, and correspondence relating to collection attempts or attempts to ascertain elligibility status or patient category; records of payments received; records of transmittal of accounts to investigative organizations, the Department of Justice, and/or the General Accounting Office; and records suspending or terminating collection action or effecting compromise settlement agreements.

Authority for maintenance of the system:

31 USC 191-195, 227, and 952 (also known as the Federal Claims Collection Act of 1966); 10 USC 1078-179; and 37 USC 702, 705, and 1007.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information in the system is collected to facilitate the recovery of amounts owed the United States. Users of the information includes field and bureau collection agents. The information is used to determine amounts owed, methods to be employed to effect recovery, and whether or not the claim can be compromised or collection action thereon terminated or suspended. In rare and exceptional cases an account file is referred to the Navy Investigative Service Office, the Department of Justice, or the General Accounting Office. Any individual records in the system might be transferred to any component of the DOD.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and reading files. Index cards (3'x5').

Retrievability:

Filed alphabetically by last name of debtor within the fiscal year in which indebtedness was incurred. Summary records filed by medical treatment facility.

Safeguards:

Records are maintained in areas accessible only to authorized personnel that are properly screened and trained.

Retention and disposal:

Records are retained in active file until collection action has been completed, compromised, suspended, or terminated. They are held in inactive file until statute of limitations has run and then destroyed.

System manager(s) and address:

Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D. C. 20372 and Commanding Officers of Medical Treatment Facilities under the Command of the Chief, Bureau of Medicine and Surgery.

Notification procedure:

Information may be obtained from the Chief, Bureau of Medicine and Surgery. Requests should provide the full name of the debtor, the military or dependency status of the debtor, and the location and approximate dates of treatment or examination. The requestor may visit the Comptroller, Bureau of Medicine and Surgery, 23rd and 'E' Streets, N. W., Washington, D. C. to obtain information on whether or not the system contains records pertaining to him or her. A valid driver's license and/or military ID card will be considered adequate proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appearling initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Medical Treatment Facilities providing services which resulted in indebtedness to the United States, OCHAMPUS Denver, U. S. Postal Service, Military Locator Services, State Departments of Motor Vehicles, any component of the DOD, the Department of Justice, the General Accounting Office, retail credit associations, financial institutions, current or previous employers, educational institutions, trade associations, automated system interfaces, local law enforcement agencies, the Department of Health, Education, and Welfare, the Internal Revenue Service, and the Civil Service Commission.

Systems exempted from certain provisions of the act:

NONE

N00018 09

System name:

Bureau of Medicine and Surgery Personnel Management Information System

System location:

Bureau of Medicine and Surgery-controlled filed activities. Addresses listed in DOD directory, appendix to the Component Systems Notice.

Categories of individuals covered by the system:

Active duty Navy medical officers

Categories of records in the system:

Professional Performance Data Sheet (NAVMED 1611/1 Rev 7/74); Report of Off-Duty Remunerative Professional Civilian Employment by Officers of the Medical Department (BUMEDNOTE 1610, 22 Jan 75); listing of Surgical and Surgical Support Team Personnel.

Authority for maintenance of the system:

Title 10, U.S. Code, 5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Professional aspect of officer assignment; statistical evaluation of off-duty professional employment; surgical team contingency planning; user is Medical Corps Division, BUMED.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained in filing cabinets.

Retrievability:

Last name

Safeguards:

Locked cabinets; Spaces locked outside regular working hours.

Retention and disposal:

Files retained for duration of member's active service.

System manager(s) and address:

Chief, Bureau of Medicine and Surgery

Notification procedure:

Request by correspondence should be addressed to Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372. The request should contain full name, rank SSAN and file number (if any).

Record access procedures:

Code 31, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinaton by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Chairman of clinical departments; commanding officers.

Systems exempted from certain provisions of the act:

None

N00018 10

System name:

Family Advocacy Program System (42 FR51256)

System location:

Central Registry -- Chief, Burau of Medicine and Surgery, Navy Department, Washington, D. C. 20372. Individual Case Files -- Naval Regional Medical Centers, naval hospitals and clinics (formerly dispensaries), and duty stations of the military sponsors. (Mailing addresses of duty stations are listed in the DOD directory in the Appendix to the Component System Notice.)

Categories of individuals covered by the system:

All beneficiaries entitled to care at Navy medical and dental facilities whose abuse or neglect is brought to the attention of appropriate authorities, and all persons suspected of abusing or neglecting such beneficiaries.

Categories of records in the system:

Medical records of suspected and confirmed cases of family member abuse or neglect, also, investigative reports, correspondence, family advocacy committee reports, follow-up and evaluative reports, and any other supportive data assembled relevant to individual family advocacy program files.

Authority for maintenance of the system:

5 U.S.C. 301, 10 U.S.C. 5132, and 44 U.S.C. 3101.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees duties relating to health and medical treatment of members and former members of the uniformed services, civilians, and dependents receiving medical care under Navy auspices; determining qualifications and suitability of Navy and Marine Corps personnel for various programs, duty assignments, and fitness for continued military service; and performance of research studies of compilation of statistical data.

Officials and employees of other components of the Department of Defense and other Departments and agencies and the Executive Branch of government, in the performance of their official duties relating to the coordination of family advocacy programs, medical care, and researchconcerning family member abuse and neglect.

The Attorney General of the United States or his authorized representatives, in connection with litigation or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Federal, state or local government agencies when it is deemed appropriate to utilize civilian resources in the counseling and treatment of individuals or families involved in abuse or neglect or when it is deemed appropriate or necessary to refer a case to civilian authorities for civil or criminal law enforcement.

Authorized officials and employees of the National Academy of Sciences, and private organizations and individuals for authorized health research in the interest of the federal government and the public; and authorized surveying bodies for professional certification and accreditation. government and the public; and authorized surveying bodies for professional certification and accreditation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records may be stored in file folders, microfilm, magnetic tape, punched cards, machine lists, discs, and other computerized or machine readable media.

Retrievability:

Records are retrieved by name of the abused or neglected family member and the social security number of the sponsor or guardian.

Safeguards:

Records are maintained in various kinds of filing equipment in specified monitored or controlled access rooms or areas. Public access is not permitted. Records are accessible only to authorized personnel who are properly screened and trained, and on a need-to-know basis, only.

Computer terminals are located in supervised areas, with access controlled by password or other user code system.

Retention and disposal:

Family advocacy case records are maintained at the activity having cognizance of the case for a period of 5 years and are then destroyed. Central registry records are permanently retained under the control of the Bureau of Medicine and Surgery.

System manager(s) and address:

Central Registery -- Chief, Bureau of Medicine and Surgery, Navy Department, Washington, D.C. 20372, -- and commanding officers of medical treatment facilities under the command of the Chief, Bureau of Medicine and Surgery, where the treatment and reporting occurred.

Notification procedure:

Informational requests should be directed to the cognizant system manager(s). Requests should contain the full name of the individual and social security number of the military or civilian sponsor or guardian, date and place of treament, and alleged reporting of incident. The requester may visit the office of the Chief, Bureau of Medicine and Surgery, 23rd and 'E' Streets, N.W., Washington, D.C. and the commading officers of the individual medical treatment facilities to obtain information on whether or not the system contains records pertaining to hime or her. Armed Forces I.D. card or other type of identification bearing the picture and signature of the requested will be considered adequate proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Reports from physicians and othe medical department personnel regarding the results of physical, dental, mental, and other examinations, treatment, evaluation, consultation, laboratory, x-ray, and special studies; reports and information from other sources, including educational institutions, medical institutions, law enforcement agencies, public and private health and welfare agencies, and witnesses.

Systems exempted from certain provisions of the act:

Part of this system may be exempt under 5 U.S.C. 552a(k) (2) and (5), as applicable. For additional information, contact the system manager(s).

N00022 NONAPACTSUPSYS

System name:

Nonappropriated Fund Activity Information Support System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D. C. 20370; and local nonappropriated Fund Activities under the cognizance of the Chief of Naval Personnel.

Categories of individuals covered by the system:

Individuals authorized under current regulations to use Commissioned Officers Messes (open), Chief Petty Officer Messes, Petty Officer First and Second Class Messes, Enlisted Men's Clubs, Consolidated Package Stores, Special Services facilities, and other Non-Appropriated Fund Activities under the cognizance of the Chief of Naval Personnel.

Categories of records in the system:

Correspondence, records, membership applications, membership and user listings of Nonappropriated Fund Activity facilities, accounts receivable records, bad check listings, investigatory reports involving abuse of facilities, required for management of Nonappropriated Fund Activities under the cognizance Chief of Naval Personnel.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their duties related to the management, supervision and administration of Nonappropriated Fund Activities under the cognizance of the Chief of Naval Personnel. The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office related to the management, supervision, and administration of Nonappropriated Fund Activities under the cognizance of the Chief of Naval Personnel.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management, supervision and administration of Nonappropriated Fund Activities under the cognizance of the Chief of Naval Personnel.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representatives of the Executive Branch Agencies.

The Senate or the House of Representatives of the United States or any committees or sub committees thereof on matters within their jurisdiction requiring disclosure of the files or records of persons covered by this system.

Such Civilian Contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums and on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Primarily by Name, and/or Social Security Number/Membership Number.

Safeguards:

Computer and punched card processing facilities are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records, or Departmental Instructions.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D. C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Depart-

ment, 20370; or to the Head of the local Nonappropriated Fund Activity concerned. The letter should contain full name, social security account number, status, address, and signature of the requestor.

The individual may visit the Chief of Naval Personnel, Washington, D. C. 20370 (Arlington Annex, FOB 2), Rm. 1066 for assistance with records located in that building; or the individual may visit the local activity concerned for access to locally maintained records. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officals and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; general correspondence concerning the individual.

Systems exempted from certain provisions of the act:

None

N00022.56

System name:

Navy Overseas Assignment Inventory System.

System location:

Center for Research and Education, 2010 E. 17th Avenue, Denver, Colorado 80206; and Bureau of Naval Personnel, Washington, D.C. 20370.

Categories of individuals covered by the system:

Naval enlisted personnel on active duty.

Categories of records in the system:

Responses to attitude association questionnaire, overseas performance evaluation, pay grade, duty station, job rating, and personal data such as marital status, age, sex, dependency, and length of service.

Authority for maintenance of the system:

Title 5 USC 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties relating to screening and assigning of naval personnel overseas.

Such civilian contractors and their employees as are or may be operating in accordance with an approved, official contract with the U. S. Navy.

Statistical summaries may be given other Department of Defense agencies upon request. Such summaries will have no personal identifying data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tape. Printed reports, questionnaire responses, and other paper documents supporting the system are stored in locked filing cabinets.

Retrievability:

Automated records are retrieved by name and military identification number.

Safeguards:

Computer files are kept in safety deposit boxes when not in use. Printouts, questionnaire responses and other paper documents supporting the system have limited controlled access.

Retention and disposal:

Questionnaire responses are destroyed after conversion to magnetic tape by incineration that is personnally supervised by CRE staff. At termination of study and all requested analyses, magnetic tapes will be erased.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370.

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370. The letter should contain full name, rate, military identification number, address, and signature of the requester.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Officer and employees of the Department of the Navy and the individual.

Systems exempted from certain provisions of the act:

None.

N00022.81

System name:

Personnel Security Eligibility information System

System location:

Prmary System-Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370

Secondary System-local activity to which individual is assigned (see Directory of the Department of the Navy Mailing Addresses)

Categories of individuals covered by the system:

Members of the U.S. Navy and Naval Reserve, former members, and applicants for enlistment or commissioning.

Categories of records in the system:

Files contain reports of personnel security investigations, criminal investigations, and counterintelligence investigations, usually brief excerpts only; correspondence, records and information pertinent to an individual's eligibility for acceptance and retention, personnel security clearance, assignment to the Nuclear Weapon Personnel Reliability Program or other 'high risk' program requiring personnel quality control.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to personnel security eligibility;

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to personnel security eligibility.

Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies;

State and Local government agencies in the performance of their official duties related to personnel security eligibility;

Officials and employees of the Department of Defense in the performance of their duties related to personnel security eligibility;

Officials and employees of other agencies of the Executive Branch of the government, upon request, in the performance of their duties related to personnel security eligibility;

Senate or the House of Representatives of the United States or any committees or subcommittees thereof, requiring disclosure of the files or records of individuals covered by this system. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and index cards. Some information from the paper records is contained in an automated file.

Retrievability:

Filed alphabetically by last name of individual. Automated files are by social security account number.

Safeguards:

Stored in locked safes and cabinets. File areas are accessible only to authorized persons who are properly screened, cleared, and trained.

Retention and disposal:

Records and portions thereof vary in period of time retained; records are retained and disposed of in accordance with Department Regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to Chief of Naval Personnel, (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or in accordance with the Directory of the Department of the Navy Mailing Adresses (i.e., local activities). The letter should contain full name, social security account number, rank/rate/civilian status, address and notarized signature of the requestor. The individual may visit the Chief of Naval Personnel, Arlington Annex, (FOB 2) Washington, D.C., Rm. 1066, for assistance with records located in that building; or the individual may visit the local activity to which attached for access to locally maintained records. Prior written notification of personal visits is required to ensure that all parts of the record will be available at the time of the visit. Proof of identify will be required and will consist of a military identification card for persons having such cards and picture-bearing identification.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing inital determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and other Departments and Agencies of the Executives Branch of government, and components thereof, in performance of their official duties and as specified by current instruction and regulations promulgated by competent authority; civilian and military investigative reports; federal state and local court doucments; fingerprint cards; official correspondence concerning individual.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00022.82

System name:

Navy Personnel Evaluation System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

All members of the U.S. Navy including Regular, Reserve, Active Duty, Inactive Duty, Fleet Reserve and Retired.

Categories of records in the system:

Correspondence and investigatory material containing information pertinent to member's retention, assignment or separation.

Authority for maintenance of the system:

5 USC 301. Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to personnel administration of Navy members; Officials and employees of the Department of Defense and its other components in the performance of their official duties related to personnel administration.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies;

The Secretary of Health, Education and Welfare, and the Director, Veterans Administration, and Director, Selective Service Administration and their officials and employees in connection with notification and assistance in obtaining benefits by members and former members;

Officials and employees of other Departments and agencies of the Executive Branch of government upon request, in the performance of their official duties related to personnel administration;

Such civilian contractors as are or may be operating in accordance with an approved, official contract with the U.S. Government; The Senate or the House of Representatives of the United States or any committees or subcommittees therof, requiring disclosure of the files or records of individuals covered by this system;

Officials and employees of the General Accounting Office upon request in the performance of their official duties relating to personnel administration. State and local government agencies in the performance of their official duties related to personnel administration. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and index cards. Some information from the paper records is automated.

Retrievability:

Filed alphabetically by last name or by Social Security Account Number.

Safeguards:

Stored in locked safes and cabinets in buildings that employ security guards. File areas are accessible only to authorized persons who are properly screened, cleared and trained.

Retention and disposal:

Records are maintained as long as member has any affiliation with the Naval service and for five years thereafter and are then destroyed.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370. The letter should contain full name, social security account number, rank/ rate/civilian status, address and notarized signature of the requestor. The individual may visit the Chief of Naval Personnel, Arlington Annex, Washington, D.C. (FOB 2) Rm. 1066, for assistance with records located in that building. Prior written notification of personal visits is required to ensure that all parts of the record will be available at the time of the visit. Proof of identity will be required and will consist of a military identification card for persons having such cards and picture-bearing identification.

Record access procedures:

The agency's ruls for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Civilian and military investigative reports; reports of federal and state civilian court actions and criminal proceedings; general correspondence concerning and individual; officials and employees of the Department of the Navy, Department of Defense and Components therof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00022CASINFOSUPPSYS

System name:

Casualty Information Support System

System location:

Primary System-Chief of Naval Personnel, Navy Department, Washington, D.C. 20370 and local activity to which individual is assigned (see Directory of the Department of the Navy Mailing Addresses); Washington National Records Center, Suitland, Maryland.

Categories of individuals covered by the system:

All Navy military personnel who are reported missing, missing in Action, Prisoner of War or otherwise detained by armed force; deceased in either an active or inactive duty status; reported ill/injured in either active duty, fleet reserve, or retired status.

Categories of records in the system:

Correspondence, reports, and records in both automated and non-automated form concerning circumstances of casualty, next-of-kin data, survivor benefit information, personal and service data, and casualty program data.

Authority for maintenance of the system:

Title 5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in performance of their official duties related to casualty program management and responding to inquiries from survivors of Navy military personnel.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to Casualty Program Management.

Secretary of Health Education and Welfare and the Director of the Veterans Administration and their officials and employees in connection with eligibility, notification and assistance in obtaining benefits due.

The Senate or the House of Representatives of the United States or any committee or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the casualty files of Navy members.

Nongovernment Agencies - To assist in settlement of member's affairs. The comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the Navy's Casualty and Survivor's Benefit Program.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the department of justice or carried out as the legal representative of the Executive Branch agencies.

Officials and employees of state and local government agencies in connection with eligibiliy, notification and assistance in obtaining benefits due. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums and on punched cards.

Manual records may be stored in paper files, microfiche or microfilm.

Retrievability:

Records may be retrieved by name and/or social security account number.

Safeguards:

Computer and punched card processing facilities are located in restricted areas accessible only to authorized persons that are properly screened, trained, and cleared.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Files are retained and disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records, or in accordance with Department Regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370.

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel, (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or, in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities). The letter should contain full name, social security account number (and/or enlisted service number/officer file number), rank/rate, military status, date of casualty and status at time of casualty, and signature of the requestor. The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), RM 1066, Washington, D.C. for assistance with records located in that building; or the individual may visit the local activity for access to locally maintained records. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's ruls for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, Public Health Service, Veterans Administration, and components thereof, in performance of their official duties as specified by current Instructions and Regulations promulgated by competent authority; casualty reports may also be received from state and local agencies, Hospitals and other agencies having knowledge of casualties to Navy personnel; general correspondence concerning member.

Systems exempted from certain provisions of the act:

None

N00022CIVEMPNAF

System name:

Record System for Civilian Employees of Nonappropriated Fund (NAF) Activities

System location:

Primary System-Bureau of Naval Personnel, Washington, D.C. 20370; and local activity to which individual is assigned (see Directory of the Department of the Navy Mailing Addresses); National Personnel Records Center, St. Louis, Missouri 63132.

Categories of individuals covered by the system:

Civilian employees of Nonappropriated Fund Activities under the cognizance of the Chief of Naval Personnel.

Categories of records in the system:

Correspondence and records pertaining to performance, employment, pay, classification, security clearance, personnel actions, medical, insurance, retirement, tax withholding information, exemptions, unemployment compensation, employee profile, education, benefits, discipline and administration of nonappropriated fund civilian personnel.

Authority for maintenance of the system:

5 USC 301. Department Regulations
Public Law 92-392
Fair Labor Standards Act, as amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management, supervision and administration of nonappropriated fund civilian personnel.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management, supervision and administration of nonappropriated fund civilian personnel.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch Agencies.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to management, supervision and administration of Nonappropriated Fund civilian personnel.

The Senate or the House of Representatives of the United States or any committee or subcommittee thereof, on matters within their jurisdiction requiring disclosure of the files or records of Nonappropriated Fund civilian personnel. Such civilian contractors and their employees are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums and on punched cards.

Manual records may be stored in paper file folders, mirofiche, or microfilm.

Retrievability:

Records may be retrieved by name, social security account number and/or activity number.

Safeguards:

Computer and punched card progessing facilities are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5b, subj: Disposal of Navy and Marine Corps Records, or Departmental Regulations.

System manager(s) and address:

Chief of Naval Personnel, Department of the Navy, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel, (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or, in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities).

The letter should contain full name, social security number, activity at which employed, and signature of the requestor.

The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Rm 1066, Washington, D.C. for assistance with records located in that building; or the individual may visit the local activity to which attached for access to locally maintained records.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Officials and employees of the Department of the Navy and Department of Defense in the performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; previous employers; educational institutions; employment agencies; civilian and military investigative reports; general correspondence concerning individual.

Systems exempted from certain provisions of the act:

None

N00022CIVPERSADMSYS

System name:

Civilian Personnel Administrative Services Record System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D. C. 20370

Categories of individuals covered by the system:

Civilian employees and former employees of the Bureau of Naval Personnel and the Naval Personnel Program Support Activity.

Categories of records in the system:

Correspondence and records concerning personal identification, directory and locator services, vehicle parking, security, disaster control, community relations (blood donor, etc.) employee recreation programs temporary duty travel, employee applications, nominations, training, violations of rules, appointments to duties or offices, security, and other personal action records.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy other components of the Department of Defense in the performance of their official duties related to the management, supervisor and administration of civilian employees of the Bureau of Naval Personnel Program Support Activity.

The Comptroller General or any of his authorized representatives, upon, request, in the course of the performance of duties of the General Accounting Office relating to the management, supervision, and supervision of civilian employees of the Bureau of Naval Personnel and the Naval Personnel Program Support Activity.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

The Senate or House of Representatives of the United States or any committee or subcommittee thereof, on matters within their jurisdiction requiring disclosure of the files or records of civilian personnel covered by this system. Such civilian contractors and their employees as are or may be operating in accordance with an approved, official contract with the U. S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders or card files

Retrievability:

Filed alphabetically by last name of subject

Safeguards:

Access to records restricted to those who have a need to know. The small amount of classified information is maintained in approved security containers.

Retention and disposal:

Records are retained and disposed of in accordance with Departmental regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D. C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D. C. 20370; letter should contain full name, social security account number, civilian status (currently employed or previously employed), system of records to which access is desired, and signature of the requestor. The individual may also visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Rm 2066, Washington, D. C. Proof of identification will be by picture-bearing identification or other positive personal identification.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

From supervisor of subject, from Civil Service Commission, from Naval Investigative Service, BUPERS Duty Officer, BUPERS Security Manager, BUPERS Classified Clearance Officers, from Assistant Chief of Naval Personnel for Performance and Security, from BUPERS employee personnel records, from Headquarters, U. S. Marine Corps, from American Red Cross.

Systems exempted from certain provisions of the act:

None

N00022ENLDEVDISTSYS

System name:

Enlisted Development and Distribution Support System

System location:

Primary System-Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370 Secondary System-Enlisted Personnel Management Center, New Orleans, Louisiana 70159 and Naval Reserve Personnel Center, Naval Support Activity (East Bank), Bldg. 603, New Orleans, Louisiana 70159

Categories of individuals covered by the system:

All Navy enlisted personnel: active, inactive, reserve, fleet reserve, and retired.

Categories of records in the system:

Correspondence and records in both automated and non-automated form concerning classification, assignment, distribution, advancement, performance, retention, reenlistment, separation, training, education, morale, personal affairs, benefits, entitlements, and administration of Navy military personnel.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

V 44 D E 1 17 79 UMI

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and emloyees of the Department of the Navy in the performance of their official duties to initiate, develop, implement, and carry out policies pertaining to enlisted personnel assignment, placement, retention, career enhancement and motivation, and other career related matters, in order to meet manpower allocations and requirements.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management and administration of Navy enlisted personnel in order to meet manpower allocations and requirements.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management and administration of Navy enlisted personnel in order to meet manpower allocations and requirements.

The Senate of the House of Representatives of the United States or any Committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of the files or records of Navy military personnel.

Such civilian contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums, and on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number and/or name.

Manual records may be retrieved by name, social security account number, or enlisted service number.

Safeguards:

Computer and punched card processing facilities and terminals are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records.

System manager(s) and address:

The Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or, for Training and Administration of Reserve personnel only, to Commanding Officer, (Attn: Privacy Act Coordinator) Naval Reserve Personnel Center, Naval Support Activity (East Bank), Bldg. 603, New Orleans, Louisiana 70159. The letter should contain full name, social security account number (and/or enlisted service number), rate, military status, and signature of the requestor. The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Rm. 1066, Washington, D.C. for assistance with records located in that building; or Training and Administration of Reserve personnel may visit the Commanding Officer (Privacy Act Coordinator), Naval Support Activity (East Bank), Bldg. 603, New Orleans, Louisiana 70159. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to ecords may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and components therof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; general correspondence concerning the individual; official records of professional qualifications; Navy Relief and American Red Cross requests for verification of status; Educational institutions.

Systems exempted from certain provisions of the act:

None

N00022ENLMAUSTSYS

System name:

Enlisted Master File Automated System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D. C. 20370; Personnel Management Information Center, New Orleans, LA 70159; Naval Reserve Personnel Center, New Orleans, LA 70159

Categories of individuals covered by the system:

All Navy Enlisted Personnel: Active and Inactive

Categories of records in the system:

Computer file contains data concerning enlisted assignment, planning, programming, accounting, promotions, career development, procurement, education, training, retirement, performance, security, personal data, qualifications, programming, and enlisted reserve drill data. The system also contains Activity Personnel Diaries, personnel accounting documents, Reserve Unit Drill reports and other personnel transaction documents necessary to maintain file accuracy and currency; and all computer extracts. microform, and printed reports therefrom.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the Navy's military management program. of Navy enlisted personnel and the operation of personnel affairs and functions; the design, development, maintenance and operation of the automated system of records.

Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management, supervision, and administration of Navy enlisted personnel.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management, supervision and administration of Navy enlisted personnel and the operation of personnel affairs and functions.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management, supervision and administration of Navy enlisted personnel and the operation of personnel affairs and functions. The Senate or the House of Representatives of the United States or any committee or subcommittee therof, on matters within their jurisdiction requiring disclosure of the files or records of Navy enlisted personnel.

Such civilian contractors and their employees as are or may be operating in accordance with an approved, official contract with the U. S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, disks, drums and on punched cards.

Printed reports and other related documents supporting the system are stored in authorized areas only.

Retrievability:

Automated records are retrieved by Social Security Account Number.

Safeguards:

Within the computer center, controls have been established to desseminate computer output over the counter only to authorized users. Specific procedures are also in force for the disposal of computer output. Output material in the sensitive category, i.e., inadvertant or unauthorized disclosure will result in harm, embarrassment, inconvience or unfairness to the individual, will be shredded. Computer files are kept in a secure, continuously manned area and are accessible only to authorized computer operators, programmers, enlisted managment, placement, and distributing personnel who are directed to respond to valid, official requests for data. These accesses are controlled and monitored by the Security System.

Retention and disposal:

Automated records are retained in accordance with MAPMIS manual (periods range from 1 month to permanent).

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D. C. 20370

Notification procedure:

Requests by correspondence from active duty enlisted personnel shall be addressed to : Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D. C. 20370; requests by correspondence from inactive duty and reserve personnel shall be addressed to: Commanding Officer, Naval Reserve Personnel Center (Attn: Privacy Act Coordinator), New Orleans, La 70159; request shall contain full name, social security account number, rank, status, and signature of requestor.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy and Department of Defense and Components thereof in performance of their office duties and as specified by current instructions and regulations promulgated by competent authority; educational institutions.

Systems exempted from certain provisions of the act:

None

N00022EQOPPINFOSYS

System name:

Equal Opportunity Information and Support System

System location:

Primary System-Bureau of Naval Personnel, Navy Department, Washington, D. C. 20370; and local activity to which individual is attached (see Directory of the Department of the Navy Mailing Addresses).

Secondary System-Department of the Navy Activities in the Chain of Command between the local activity and the Headquarters level (see Directory of the Department of the Navy Mailing Addresses).

Categories of individuals covered by the system:

Navy personnel who are involved in formal or informal investigations involving aspects of equal opportunity; and/or who have initiated, or were the subject of correspondence concerning aspects of equal opportunity.

Categories of records in the system:

Correspondence and records concerning incident data, endorsements and recommedations, formal and informal investigations concerning aspects of equal opportunity.

Authority for maintenance of the system:

5 USC 301 DEPARTMENTAL REGULATIONS

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to equal opportunity matters.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to equal opportunity matters.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to equal opportunity matters.

The Senate or the House of Representatives of the United States or any Committee or subcommittee thereof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of Navy military personnel. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual concerned.

Safeguards:

Records maintained in areas accessible only to authorized personnel on a need to know basis.

Retention and disposal:

Records disposed of after two years in accordance with SECNAVINST P5212.5B, 'Disposal of Navy and Marine Corps Records'; or in accordance with Departmental Regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370.

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Washington, D.C. 20370; or, in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities). The letter should contain full name, social security account number, rank/rate, military status, and signature of the requestor.

The individual may visit the Chief of Naval Personnel, Arlington Annex (FB 2), Rm. 1066 Washington D.C. for assistance with records located in that building; or the individual may visit the local activity to which attached for access to locally maintained records. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; federal, state, and local court documents; military investigatory reports; general correspondence concerning individual.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00022NAVHOMRESINFSY

System name:

Naval Home Resident Information System

System location:

Primary System-Governor, U.S. Naval Home, 24th and Grays Ferry Avenue, Philadelphia Pennsylvania 19146 Secondary System-National Personnel Records Center, St. Louis, Missouri 63132

Categories of individuals covered by the system:

Residents of the Naval Home (current, discharged and deceased).

Categories of records in the system:

Correspondence and records concerning application for admission and supporting documents, personnel data, service data, personal affairs, administrative records covering period of residence.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

24 USC 17

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy, generally, and the Naval Home, specifically, in the performance of their official duties related to the management, supervision, and administration of the Naval Home.

The Comptroller General or any his authorized representatives, upon request, in the performance of duties of the General Accounting Office related to the management, supervision, and administration of the Naval Home.

Officials and employees of the Veterans Administration in the performance of their duties related to eligibility, notification and assistance in obtaining benefits by residents of the Naval Home.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records may be stored in paper file folders, and/or vertical card files.

Retrievability:

Records may be retrieved by name.

Safeguards:

All file folders and cards of residents are locked in file cabinets and are available only to authorized persons having a need to know.

Retention and disposal:

Records are maintained at Naval Home for life of Resident and for 10 years after death or discharge or Resident; thereafter, records are retained at the National Personnel Records Center, St. Louis, Missouri.

System manager(s) and address:

Governor, U.S. Naval Home, 24th and Grays Ferry Avenue, Philadelphia, Pa 19146.

Notification procedure:

Requests by correspondence should be addressed to : Governor, U.S. Naval Home, 24th and Grays Ferry Avenue, Philadelphia, Pa 19146. The letter should contain full name, social security account number (and/or enlisted service number/officer file number), rank/rate, and signature of requestor. The individual may visit the Governor, U.S. Naval Home for assistance with record located in that building. Proof of identification will consist of Military Identification Card.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:.

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and Veteran's Administration in the performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; general correspondence concerning the individual.

Systems exempted from certain provisions of the act:

None

N00022OFFDEVDISTSYS

System name:

Naval Officer Development and Distribution Support System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370

Categories of individuals covered by the system:

All Naval officers on active duty; all Naval Reserve officers requesting recall to active duty.

Categories of records in the system:

Correspondence and personnel records in both automated and non-automated form concerning classification, qualifications, assignment, placement, career development, education, training, recall, release from active duty and management of Naval officers.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations
10 USC 5504 Lineal List
10 USC 5708 Promotion Selection List

Routine uses of records maintained in the system, including categories of users and the purposes of such uses: Officials and employees of the Department of the Navy in the performance of their official duties related to the classification, qualifications, assignment, placement, career development, education, training, recall and release of officer personnel in order to meet manpower allocations and requirements.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the Navy's military manpower allocations and requirements.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representive of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management and administration of Naval officer personnel in order to meet manpower allocations and requirements.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management and administration of Naval officer personnel in order to meet manpower allocations and requirements.

The Senate or the House of Representatives of the United States or any Committee or subcommittee therof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of Navy military personnel.

Such Civilian Contractors and their employees as are or may be operating in accordance with an approved, official contract with the U. S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetice tapes, disc, drums and on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number and/or name.

Manual records may be retrieved by name or social security account number.

Safeguards:

Computer and punched card processing facilities and terminals are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are generally maintained until superseded, or for a period of two years or until release from active duty and disposed of by burning or shredding.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washingtonm, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator) Navy Department, Washington, D.C. 20370. The letter should contain full name, rank, social security account number, designator, address and signature.

The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2) Rm. 1066 Washington, D.C. for assistance. Advance notification is requested for personal visits. Proof of identification will consist of military identification card.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from SYSMANAGER.

Record source categories:

Personnel Service jackets; records of the officer promotion system; officials and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties and as specified by current instructions and regulations promulgated by competent authority; education institutions; official records of professional qualifications; general correspondence concerning the individual.

Systems exempted from certain provisions of the act:

None

N00022OFFMAUSTSYS

System name:

Officer Master File Automated System

System location:

Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370; Personnel Management Information Center, New Orleans, LA 70159; Naval Reserve Personnel Center, New Orleans, LA 70159

Categories of individuals covered by the system:

All Naval Officers; commissioned, warrant, active, inactive; officer candidates, and Naval Reserve Officer Training Corps personnel.

Categories of records in the system: Computer file contains data concerning officer assignment, planning, accounting, promotions, career development, procurement, education, training, retirement, performance, security, personal data, qualifications, programming, and Reserve Officer drill data. System also contains activity Personnel Diaries, personnel accounting documents, Reserve Unit Drill Reports and other personnel transaction documents necessary to maintain file accuracy and currency; and all computer file extracts, microform and printed reports therefrom.

Authority for maintenance of the system:

Title 5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management, supervision, and administration of Navy officer personnel and the operation of personnel affairs and functions; the design, development, maintenance and operation of the automated system of records.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the Navy's military manpower management program. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executvie Branch agencies.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management, supervision and administration of Navy officer personnel and the operation of personnel affairs and functions.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management, supervision and administration of Navy officer personnel and the operation of personnel affairs and functions. The Senate or the House of Representatives of the United States or any committee or subcommittee therof, on matters within their jurisdiction requiring disclosure of the files or records of Navy officer personnel.

Such Civilain Contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated Records are stored on magnetic tapes, disks, drums and on punched cards. Printed reports and other paper documents supporting the system are stored in authorized personnel areas only.

Retrievability:

Automated records are retrieved by Social Security Account number.

Safeguards:

Within the computer center, controls have been established to disseminate computer output over the counter only to authorized users. Specific procedures are also in force for the disposal of computer output. Output material in the sensitive category, i.e., inadvertent or unauthorized disclosure that would result in harm, embarrassment, inconvenience or unfairness to the individual, will be shredded. Computer files are kept in a secure, continuously manned area and are distributing personnel who are directed to respond to valid, official request for data. These accesses are controlled and monitored by the Security System.

Retention and disposal:

Records are retained in accordance with MAPMIS Manual (periods range from 1 month to permanent).

System manager(s) and address:

Chief of Naval Personnel, Department of the Navy, Washington, D.C. 20370.

Notification procedure:

Active duty Navy Officers/Officer Candidates shall request by correspondence addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator) Navy Department, Washington, D.C. 20370. Naval Reserve and retired officers shall request by correspondence from commanding officer, Naval Reserve Personnel Center, New Orleans, LA 70159. Requests shall contain full name, Social Security Account Number, rank, status, address and signature of the requestor.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense and components therof, in performance of their official duties and as specified by current Instructions and Regulation promulgated by competent authority; official records of professional qualifications; Educational institutions.

Systems exempted from certain provisions of the act:

None

N00022OFFPROMSYS

System name:

Officer Promotion System

System location:

Bureau of Naval Personnel, Navy Department, Washington D.C. 20370; and Reporting Seniors (see Directory of the Department of the Navy Mailing Addresses); Federal Records Storage Centers; National Archives.

Categories of individuals covered by the system:

All officers on active duty; all reserve officers on inactive duty.

Categories of records in the system:

Fitness Report Jacket, Selection Board Jacket, Officer Summary Record. Promotion History Cards, and other records concerning fitness and qualifications of officers and related to promotion requirements.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations
10 USC 543 Selection Boards
10 USC 33, 545, 549 Promotions

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the selection of officers for promotion in the U.S. Navy.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the Navy's Officer Promotion System and records contained therin.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch Agencies.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the Navy's Officer Promotion System and records contained therin.

Officials and employees of other Departments and Agencies of the Executive Branch of the Government, upon request, in the performance of their official duties related to the Navy's Officer Promotion System and the records contained therein.

The Senate or the House of Representatives of the United States or any committee or subcommittee therof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of Naval Officers. Such Civilian Contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tape, discs or on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number. Manual records may be retrieved by social security account number and/or officer file number, and name.

Safeguards:

Computer and punched card processing facilities and terminals are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or to Reporting Seniors (see Directory of the Department of the Navy Mailing Addresses). The letter should contain full name, social security account number, (or officer file number), rank, military status, address and signature of the requestor.

The individual may visit the Chief of Naval Personnel, Arlington Annex, (FOB 2), Rm. 1066, Washington, D.C. for assistance with records located in that building; or the individual may visit the Reporting Senior for records maintained by that individual. Proof of identification will consist of Military Identification Card.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, other Departments and Agencies of the Executive Branch of the Government, and components therof, in the performance of their official duties as specified by current Instructions and Regulations promulgated by competent authority; educational institutions; federal, state and local court documents; general correspondence concerning the individual;official records of professional qualifications.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00022PERSCOMSOLPRSY

System name:

Personal Commercial Affairs Solicitation Privilege File System

System location:

Primary System-Chief of Naval Personnel, Navy Department, Washington, D.C. 20370.

Secondary System-Local Navy Activities involved in the Personal Commercial Affairs Solicitation Privilege System (see Directory of the Department of the Navy Mailing Addresses).

Categories of individuals covered by the system:

Individuals who are authorized Personal Commercial Affairs Solicitation Authorization concerning solicitation privileges on board military installations.

Categories of records in the system:

Correspondence and records concerning letter of application for solicitation privileges, letters of accreditation, violation incident data, denial data, appeal data, and other supporting documents.

Authority for maintenance of the system:

Title 5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to Commercial Affairs Solicitation matters.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to Commercial Affairs Solicitation matters.

The Senate or the House of Representatives of the United States or any committee or subcommittees on matters within their jurisdiction requiring disclosure of files of persons affected.

State and local agencies in performance of their official duties related to agent qualifications.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

Private firms whose agents have been banned may request verification of the status of agents. When required by Federal statute, by Executive order , or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records may be stored in paper file folders.

Retrievability:

Records are retrieved by name of agent or agency.

Safeguards:

Records are accessible only to authorized personnel having a need to know.

Retention and disposal:

Files are retained and disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records, or Departmental Regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities). The letter should contain full name, social security number of the applicant, firm represented, and dates or time period in question, and signature of the requestor. The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Rm 1066, Washington, D.C. for assistance with records located in that building; or the individual may visit the local activity for access to records maintained locally. Proof of identification will consist of picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerning may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties as specified by current Instructions and Regulations promulgated by competent authority; State and local agencies in the performance of their official duties related to agent qualifications; investigatory records; general correspondence concerning individual agents.

Systems exempted from certain provisions of the act:

None

N00022PERSERVDEPSERVS

System name:

Personal Services and Dependents Services Support System

System location:

Primary System-Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370; Navy Family Allowance Activity, Anthony J. Celebrezze Federal Building, Room 967, Cleveland, Ohio 44199; local activity to which individual is assigned (see Directory of the Department of the Navy Mailing Addresses).

Secondary System-Department of the Navy Activities in the Chain of Command between the local activity and the Headquarters level (see Directory of the Department of the Navy Mailing Addresses).

Categories of individuals covered by the system:

All Navy military personnel: officers, enlisted, active, inactive, reserve, fleet reserve, retired, midshipmen, officer candidates, Naval Reserve Officer Training Corps personnel, and their dependents.

Categories of records in the system:

Applications, forms, correspondence and supporting documents and other personnel records concerning entitlements, benefits, basic allowance for quarters, waiver of indebtedness, travel allowances, morale, and personal affairs.

Authority for maintenance of the system:

5 USC 301. Departmental Regulations
10 USC 6161
10 USC 2774 as added by Public Law 92-453

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy and other components of the Department of Defense in the performance of their official duties related to the management, supervision, and administration of personal services, benefits and entitlements for Navy members and their dependents.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office related to management, supervision and administration of personal services, benefits and entitlements for Navy members and their dependents.

Officials and employees of the Veterans' Administration in the performance of their official duties related to eligibility, notification and assistance in obtaining benefits by members and former members of the Navy.

The Senate or the House of Representatives of the United States or any Committee or subcommittee thereof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of Navy military personnel and their dependents.

Officials and employees of Navy Relief and the American Red Cross in the performance of their duties related to assistance of the members, their dependents and relatives.

State and local agencies in performance of their official duties related to assistance of the members and their dependents.

Non-government agencies only to assist members and their dependents. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums and on punched cards.

Manual records may be stored in paper file folders.

Retrievability:

Records may be retrieved by name, social security account number or enlisted service number/officer file number of member; or name of dependent.

Safeguards:

Computer and punched cards processing facilities are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370.

Notification procedure:

Requests by correspondence should be addressed to: Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370; or in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities). The letter should contain full name, social security account number (and/or enlisted service number/officer file number), rank/rate, military status, or name of the dependent, name of sponsor, sponsor's social security account number, and signature of the requestor.

The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Room 1066, Washington, D.C. for assistance with records located in that building; or the individual may visit the local activity for access to locally maintained records. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy and the Department of Defense in performance of their official duties and as specified by current Instructions and Tegulations promulgated by competent authority; educational institutions; federal, state, and local court documents; general correspondence relative to individual; officials and employees of Navy Relief, the American Red Cross, Veterans Administration and other agencies in the performance of their official duties.

Systems exempted from certain provisions of the act:

None

N00022PERSRECSYS

System name:

Navy Personnel Records System

System location:

Primary System-Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370; Naval Reserve Personnel Center, Naval Support Activity (East Bank), Bldg. 603, New Orleans, LA 70159; and local activity to which individual is assigned (see Directory of the Department of the Navy Mailing Addresses).

Secondary System-Department of the Navy Activities in the Chain of Command between the local activity and the Headquarters level (see Directory of the Department of the Navy Mailing Addresses); Federal Records Storage Centers; National Archives.

Categories of individuals covered by the system:

All Navy military personnel: officers, enlisted, active, inactive, reserve, fleet reserve, retired, midshipmen, officer candidates, and Naval Reserve Officer Training Corps personnel.

Categories of records in the system:

Personnel Service Jackets and Service Records, correspondence and records in both automated and non-automated form concerning classification, assignment, distribution, promotion, advancement, performance, recruiting, retention, reenlistment, separation, training, education, morale, personal affairs, benefits, entitlements, discipline and administration of Navy military personnel.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management, super-

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vision, and administration of Navy military personnel and the operation of personnel affairs and functions; the design, development, maintenance and operation of the manual and automated system of records.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the Navy's military manpower management program.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. State, local, and foreign (within Status of Forces agreements) law enforcement agencies or their authorized representatives in connection with litigation, law enforcement, or other matters under the jurisdiction of such agencies.

Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management, supervision and administration of military personnel and the operation of personnel affairs and functions.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management, supervision and administration of military personnel and the operation of personnel affairs and functions.

Officials and employees of the National Research Council in Cooperative Studies of the National History of Disease; of Prognosis and of Epidemology. Each study in which the records of members and former members of the Naval Service are used must be approved by the Chief of Naval Personnel.

Officials and employees of the Department of Health, Education and Welfare, Veterans' Administration, and Selective Service Administration in the performance of their official duties related to eligibility, notification and assistance in obtaining benefits by members and former members of the Navy. The Senate of the House of Representatives of the United States or any Committee or subcommittee thereof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of Navy military personnel. Officials and employees of Navy Relief and the American Red Cross in the performance of their duties related to assistance of the members and their dependents and relatives.

Duly appointed Family Ombudsmen in the performance of their duties related to the assistance of the members and their families.

State and local agencies in performance of their official duties related to verification of status for determination of eligibility for Veterans' Bonuses and other benefits and entitlements.

Such Civilian Contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums and on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number and/or name.

Manual records may be retrieved by name, social security account number, enlisted service number, or officer file number.

Safeguards:

Computer and punched card processing facilities and terminals are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5 , subj: Disposal of Navy and Marine Corps Records.

System manager(s) and address:

Chief of Naval Personnel, Washington, D.C. 20370; Commanding Officers, Officers in Charge, and Heads of Department of the Navy activities as listed in the Directory of the Department of the Navy Mailing Addresses.

Notification procedure:

Requests by correspondence should be addressed to: Commander, Naval Military Personnel Command (ATTN: pRIVACY aCT cOORDINATOR), nAVY dEPARTMENT, wASHINGTON, d.c. 20370. or, in accordance with the Directory of the Department of the Navy Mailing Addresses (i.e., local activities). The letter should contain full name, social security account number (and/or enlisted service number/officer file number), rank/rate, designator, military status, address, and signature of the requestor.

The individual may visit the Commander, Naval Military Personnel Command, Arlington Annex (FOB 2), Washington, D.C., for assistance with records located in that building; or the individual may visit the local activity to which attached for access to locally maintained records. Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; educational institutions; federal, state, and local court documents; civilian and military investigatory reports; general correspondence concerning the individual; official records of professional qualifications; Navy Relief and American Red Cross requests for verification of status.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (k) (1) and (5), as applicable. For additional information contact the System Manager.

N00022PERSREHSUPPSYS

System name:

Nav4 Personnel Rehabilitation Support System

System location:

Primary System-Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370;

Decentralized segments-Navy Drug Rehabilitation Centers, Navy Alcohol Rehabilitation Centers, Navy Counseling and Assistance Centers, Navy Alcohol Rehabilitation Drydocks, Naval Health Research Center, Navy Corrections Centers; and local activities to which an individual is assigned (see Directory of Department of the Navy Mailing Addresses).

Categories of individuals covered by the system:

Navy personnel (officers and enlisted) who have been identified as drug or alcohol abusers, or who have undergone counseling and rehabilitation for drug or alcohol abuse in Navy Drug or Alcohol Rehabilitation facilities; recovered alcoholic and nonalcoholic professional personnel who work part-time helping alcoholics; active duty navy recovered alcoholics who voluntarily help their commands develop alcoholism prevention programs; navy personnel convicted by court martial and sentenced to confinement; or who were in pretrial confinement.

Categories of records in the system:

Correspondence and records in both automated and non-automated form concerning Interview appraisals, personnel, service, biographical, educational, evaluation and testing, performance, and drug and alcohol rehabilitation program data. Correspondence and records in both automated and non-automated form concerning those in confinement containing offense, legal, service, health, personal, evaluation and classification, discipline and conduct, work and training data, interview appraisals, inventories of confinement personnel management data.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to measuring the extent of drug and alcohol abuse in the Navy; to develop and support drug and alcohol abuse programs and policy; to assess cost effectiveness of drug and alcohol abuse control programs; to the management, supervision and administration of confinement and related rehabilitation programs, and related law enforcement matters.

Officials and employees of the other components of the Department of Defense in performance of their official duties related to the management, supervision and administration of drug and alcohol abuse control programs and related rehabilitation programs; and to the management, supervision and administration of confinement and related rehabilitation programs.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management, supervision, and administration of drug and alcohol abuse control programs and related rehabilitation programs; and the management, supervision and administration of confinement and related rehabilitation programs.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

State and local law enforcement agencies or their authorized representatives in connection with litigation, law enforcement, or other matters under the jurisdiction of such agencies.

Officials and employees of other Departments and Agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management, supervision, and administration of drug and alcohol abuse control programs and related rehabilitation programs; and the management, supervision, and administration of confinement and related rehabilitation programs.

The Senate or the House of Representatives of the United States or any Committee or subcommittee thereof, any joint committee of Congress or any subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of navy military personnel.

Such Civilian contractors and their employees as are or may be operating in accordance with an approved, official contract with the U.S. Government.

Officials and employees of accredited research organizations in cooperative studies. Each study in which records of members and former members of the Naval service are used must be approved by the Chief of Naval Personnel. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums or on punched cards.

Manual records may be stored in paper file folders, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number.

Manual records may be retrieved by name, social security account number, (and/or enlisted service number/officer file number).

Safeguards:

Computer and punched card processing facilities are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained.

Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained and disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records; and in accordance with Department Instructions.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Written requests should be made to the Chief of Naval Personnel (Attn: Privacy Act Coordinator) Navy Department, Washington, D.C. 20370; or to the local activity to which the individual is assigned (see Directory of the Department of the Navy Mailing Addresses). Requests must contain full name, social security account number, military status, address and signature of requestor. (Those inquiring about records at Confinement Centers must have their signature notarized, if not confined at time of request.)

The individual may visit the Chief of Naval Personnel, Arlington Annex (FOB 2), Rm. 1066, for assistance with records located in the Bureau of Naval Personnel; individual may also visit local activity concerned (see Directory of Department of the Navy Mailing Addresses). Proof of identification will consist of Military Identification Card for persons having such cards, or other picture-bearing identification.

Record access procedures:

The Agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, and components thereof, in performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; notes and documents from Service Jackets and Records; federal, state and local court documents; general correspondence concerning the individual.

Systems exempted from certain provisions of the act:

None

N00022PERSTRANSSYS

System name:

Personnel Transportation System

System location:

Military Traffic Office & East Coast Passenger Control Point, Bureau of Naval Personnel, Navy Department, Washington, D.C. 20370.

District Passenger Transportation Office & West Coast Passenger Control Point, Headquarters, TWELFTH Naval District, Treasure Island, San Francisco, California 92132.

District Passenger Transportation Office & Alaskan Passenger Control Point, Naval Support Activity, Seattle, Washington 98115.

District Passenger Transportation Offices, all other Naval District Headquarters.

Overseas Area Travel Coordinators at U. S. Naval Activities, United Kingdom; U. S. Naval Activities, Spain; Headquarters, U. S. Fleet Air Mediterranean; U. S. Naval Support Activity, Naples, Italy; Headquarters, Middle East Force; U. S. Naval Station, Keflavik, Iceland; U. S. Naval Air Facility, Lajes, Azores; Naval Station, Argentina, Newfoundland; Naval Base, Guantanamo Bay, Cuba; Headquarters, TENTH Naval District; Headquarters, FIFTEENTH Naval District; Headquarters, U. S. Naval Forces, Mariannas; Headquarters, U. S. Naval Forces, Philippines; Headquarters, U. S. Naval Forces, Japan; and Naval Communication Station Harold E. Holt, Exmouth, Western Australia (See Directory of the Department of the Navy Mailing Addresses).

And local activities (See Directory of the Department of the Navy Mailing Addresses).

Categories of individuals covered by the system:

Navy military personnel, midshipmen, retired Navy members, civilian employees of the Navy, dependents of the foregoing, and other civilians authorized through Navy commands to travel at Government expense.

Categories of records in the system:

Applications for travel and, where applicable, for passports and visas; requests for extension of 12-month limit on travel by retired member to home of record; supporting documents; correspondence, and approvals/disapprovals relating to the above records; travel arrangements in response to above applications.

Authority for maintenance of the system:

37 USC 404 Travel & Transportation Allowances--General

5 USC 5701 et seq Travel, Transportation & Subsistence

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy, Department of Defense and components thereof in the performance of their official duties related to the determining of eligibility for transportation, the authorizing or denying of transportation, and otherwise managing the personnel transportation system.

Officials and employees of other departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the provision of transportation; diplomatic, official, and other no-cost passports; and visas to subject individuals.

Foreign embassies, legations, and consular offices--to determine eligibility for visas to respective countries, if visa is required.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the control of travel costs.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

The Senate or the House of Representatives of the United States or any committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of files or records of individuals covered by this system of records.

Commercial Carriers-providing transportation to individuals whose applications are processed through this system of records.

Such civilian contractors and their employees as are or may be operating in accordance with an approved official contract with the U. S. Government. When required by Federal statute, by Executive order, or by treaty, personnel record information will be disclosed to the individual, organization, or governmental agency as necessary.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc, drums, and on punched cards. Manual records in file folders or file-card boxes, microfiche or microfilm.

Retrievability:

Automated records may be retrieved by social security account number and/or name. Manual records are filed alphabetically by name of applicant; applications for dependents filed by name of sponsor.

Safeguards:

Records are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps Records, or in accordance with Departmental regulations.

System manager(s) and address:

Chief of Naval Personnel, Navy Department, Washington, D.C. 20370

Notification procedure:

Requests by correspondence should be addressed to the local activity where the request for transportation was initiated (see Directory of the Department of the Navy Mailing Addresses), and/or to intermediate activities (if applicable) (see Directory of the Department of the Navy Mailing Addresses, or to the Chief of Naval Personnel (Attn: Privacy Act Coordinator), Navy Department, Washington, D.C. 20370. The letter should contain full name, social security account number, address and signature of the requester. The individual may visit the activities and commands listed under LOCATION for assistance with the records maintained at the respective locations. Proof of identification will consist of Military Identification Card for persons having such cards. Others must present other positive personal identification, preferably picture-bearing.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials and employees of the Department of the Navy, Department of Defense, State Department and other agencies of the Executive Branch and components thereof, in the performance of their official duties and as specified by current Instructions and Regulations promulgated by competent authority; foreign embassies, legations, and consular offices reporting approval/disapproval of visas; and carriers reporting on provision of transportation.

Systems exempted from certain provisions of the act:

None

N00025 FAMHSGASSIGNSY

System name:

Family Housing Assignment Application System

System location:

All Navy activities with family housing assets.

Categories of individuals covered by the system:

All military and civilian personnel eligible for or interested in occupying Navy family housing.

Categories of records in the system:

All applicants for family housing provide information to housing office at next duty assignment pertaining to personal data, e.g., name, address, rank/rate, social security number/service number, length of service, time remaining on active duty, data of rank, etc.; dependency data, e.g., total number in family, spouse, age and sex of dependents, etc.; and other pertinent housing information, e.g., last assignment, months involuntarily separated, special health problems, etc.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

All Navy family housing offices use data to determine individual's eligibility for family housing and notification for subsequent assignment to family housing or granting a waiver to allow occupancy of private housing. Data is used to determine and list individual's name on appropriate housing waiting list.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders

Retrievability:

By individual's name.

Safeguards:

Housing files within the housing office, used solely within the housing organization and protected by military installation's security measures. Individual may, upon request, have access to housing application form.

Retention and disposal:

Data is retained until termination of housing occupancy and subsequently disposed of according to local records disposition instructions.

System manager(s) and address:

Bureau of Naval Personnel, PERS-71, 1000 North Glebe Road, Arlington, Virginia 20370

Notification procedure:

Records are maintained by housing office at the Navy activity responsible for management of assets from data specifically provided by individual on DD Form 1646, Application for and Assignment to Military Family Housing. Individual may request access to such data upon proof of identity (ID card).

Record access procedures:

The agency's rules for access t records may be obtained from installation family housing office.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation family housing office.

Record source categories:

Data collected from each applicable individual.

Systems exempted from certain provisions of the act:

None

N00025 FAMHSGROMTSUSY

System name:

Family Housing Requirements Survey Record Systems

System location:

Military installations with family housing offices

Categories of individuals covered by the system:

Officer and enlisted personnel and only key and essential civilian personnel.

Categories of records in the system:

Non-individual oriented input documents that reflect local housing assets; family housing survey questionnaires indicating family size, individual preference for housing, housing cost, and indication as to suitability of housing for need of individual.

Authority for maintenance of the system:

5 USC 301 Department Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to determine the housing requirement for the location to support proposed family housing construction, leasing, mobile home spaces and other military construction programs submitted for OSD support and Congressional approval.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability:

Social Security Number.

Safeguards:

Housing files used solely within housing office; tape files used solely within data processing system; and protected by the military installation's security measures.

Retention and disposal:

Held three years and destroyed.

System manager(s) and address:

Overall policy official: Naval Facilities Engineering Command, 200 Stovall Street, Alexandria, Virginia 22332. Subordinate record holders of questionnaires: family housing office at military installation.

Notification procedure:

Contact housing office of installation at which individual was assigned when the individual completed the family housing questionnaire.

Record access procedures:

The agency's rules for access to records may be obtained from the installaton family housing office.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation family housing office.

Record source categories:

Data collected from each applicable individual.

Systems exempted from certain provisions of the act:

NONE

N00025 HSGREFSVCSYS

System name:

Housing Referral Services Records System

System location:

All Navy installations with housing referral offices

Categories of individuals covered by the system:

All military personnel reporting to an installation who will be residing off-base desirous of seeking off-base housing.

Categories of records in the system:

Information is collected on DD Form 1668 from all military personnel reporting to a housing referral office as pertains to name, grade, branch of service, organization and location, local address; housing need, e.g., rental/sale, number of bedrooms, furnished/unfurnished, price range, etc.; number of dependents, male or female, and age; a list of housing referral services provided; and identification of member of racial or ethnic minority groups. Individuals provided referral assistance must in turn provide notification of housing selection by use of DD Form 1670 which includes such information as type of housing selected, e.g., location, temporary/permanent, rental/sale, cost, number of bedrooms; media through which housing was found, e.g., housing referral, realtor, newspaper, etc.; and satisfaction with selection, e.g., too small, too far; discrimination encountered; and satisfaction with housing referral services provided.

Authority for maintenance of the system:

5 USC 301 Department Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Referral offices use data to assist and counsel individuals in locating suitable housing off-base, used for follow-up purposes when written notification from individual is not provided as to ultimate location of housing; used for purposes of reporting statistics on field activity housing referral services; used to follow-up on availability of rental unit subsequent to occupant's receipt of PCS orders; and follow-up regarding tenant/landlord complaints.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders

Retrievability:

By individual's name

Safeguards:

Housing files within the housing referral or housing office, used solely within the housing organization and protected by military installation's security measures. Individual may upon request, have access to all such data.

Retention and disposal:

Data is retained until individual's tour is completed and subsequently disposed of according to local records disposition instructions.

System manager(s) and address:

Naval Facilities Engineering Command (Code 08), 200 Stovall Street, Alexandria, Virginia 22332

Notification procedure:

Records are maintained by housing referral offices at the Navy activity responsible for providing referral services for military personnel in the area. Individual may request access to records upon proof of identify (ID card).

Record access procedures:

The agency's rules for access to records may be obtained from installation family housing office.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation family housing office.

Record source categories:

Data collected from each applicable individual.

Systems exempted from certain provisions of the act:

NONE

N00025 MILFAMHOUSSUBT

System name:

Family Housing Mock Utility Billing System

System location:

Ten test sites: Pacific Missile Test Center, Point Mugu, California; Construction Battalions Center, Port Huememe, California; Public Works Center, Great Lakes, Illinois; Marine Corps Development and Education Command, Quantico, Virginia; Fort Eustis, Virginia; Fort Gordon, Georgia; Marine Corps Air Station, Beaufort, South Carolina; Little Rock Air Force Base, Arkansas; Cannon Air Force Base, New Mexico; Yuma Proving Grounds, Arizona; Central Processing Site: Harry Diamond Laboratories, White Oak, Maryland.

Categories of individuals covered by the system:

Military and Civilian personnel occupying housing units selected at the ten test sites.

Categories of records in the system:

This system is to produce mock utility bills and management reports on the usage of gas, fuel oil, electricity, steam, propane, and hot water heat for a representative cross section of approximately 10,000 military family housing units. Information as to name, address, rank/rate, number of dependents, house phone number, account number and utility consumption will be maintained for a 15 month period.

Authority for maintenance of the system:

Public Law 95-82 (Military Construction Authorization Act, 1978); 5 U. S. C. 301 Department Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to determine the feasibility of metering utility consumption in military family housing. Officials and employees of the Department of the Navy, Department of Defense and components thereof in the performance of their official duties related to the measuring of energy consumption in military family housing units. The Senate or the House of Representatives of the United States or any committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of files or records of individuals covered by this system of records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Magnetic tape, disk, punched card, and file folders.

Storage:

Account number

Retrievability:

Housing files are used solely within housing office; magnetic tape, punched card, and disk files used solely within the security measures.

Safeguards:

Held 5 years and destroyed by authority SECNAVINST P5212.5B, para. 11300.

Retention and disposal:

Naval Facilities Engineering Command 200 Stovall Street Alexandria, Va 22332

System manager(s) and address:

Records are maintained by the housing office at the service activities participating in the test. Individual may request access to such data upon presenting proof of identity (ID) card.

Notification procedure:

The agency's rules for access to records may be obtained from the installation family housing office.

Record access procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Contesting record procedures:

Data collected from each individual and utility consumption data obtained from monthly meter readings.

Record source categories:

None

Systems exempted from certain provisions of the act:

None

N00025 STAHSGREC

System name:

Station Housing Records

System location:

All Navy installations with housing inventories and/or housing management responsibilities.

Categories of individuals covered by the system:

All military personnel desiring housing or temporary lodging, and eligible DOD civilian employees.

Categories of records in the system:

All records and data collected and maintained regarding individual housing or lodging needs; occupancy; furnishings inventory; housing condition reports; assignment and termination of housing; damage assessment; occupant and landlord relations and complaints; maintenance and repairs; waiting lists; inspections; quarters cost data; Congressional and Inspector General inquiries and responses; Servicemen's Mortgage Insurance Premiums payments; individual cost data for establishing and maintaining housing allowances; eligibility for homeowners' assistance; and entitlement for basic allowances for quarters (BAQ).

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information secured, maintained, and essential for over-all operation and maintenance of the Navy housing program and servicing of personnel eligible for Navy family housing, temporary lodging, or services.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, card files; microform; or, if automated, on punched cards, magnetic tape, etc.

Retrievability:

By individual's name or building and unit number.

Safeguards:

Housing files within the housing office, used solely with the housing organization and offices providing support to housing office, and protected by military installation's security measures. Individual may, upon request, have access to such data.

Retention and disposal:

Retained in office files until termination of occupancy, obsolete, no longer needed for reference, or disposal of associated housing unit(s).

System manager(s) and address:

Appropriate Navy installation responsible for Navy housing inventory or housing support.

Notification procedure:

Records are maintained by housing office at Navy installation responsible for management of assets or providing housing support. Individual may request access to such data upon proof of identity (ID card).

Record access procedures:

Installation rules for access to records may be obtained from installation housing office.

Contesting record procedures:

The installation rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the installation system manager.

Record source categories:

Data reported by or collected from occupants of housing or personnel provided housing support.

Systems exempted from certain provisions of the act:

None

N00028 PROP ACCT REC

System name:

Property Accountability Records

System location:

At all activities

Categories of individuals covered by the system:

Any Department of the Navy employee (military or civilian) receiving government property for which he must sign a receipt.

Categories of records in the system:

The receipts maintained are any of the following: logbooks, property passes, custody chits, charge tickets, sign out cards, tool tickets, sign out forms, photographs, charge cards, or any other statement of individual accountability for receipt of government property.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The receipts will be used normally and properly to identify individuals to whom government property has been issued. Internal use of the receipts will generally be by the local official accountable for control of government property. Receipts so maintained may be referred to law enforcement authorities as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The receipts may be maintained in any of the following formats: logbooks, property passes, custody chits, charge tickets, sign out cards, tool tickets, sign out forms, photographs, charge out cards or any other statement of individual accountability for receipt of government property.

Retrievability:

Retrievability may be by any of the following: name, badge number, tool number, property serial number, or any other locally determined method of property receipt accountability.

Safeguards:

The receipts are unclassified.

Retention and disposal:

Retention of receipts for property is at the discretion of the local activity responsible for the property being issued.

System manager(s) and address:

Overall policy official: no designated official The system manager is the commanding officer or officer in charge of the activity where the property accountability records are maintained.

Notification procedure:

Individuals seeking to determine whether system records contain information pertaining to them may do so by making application to the commanding officer or officer in charge of the activity where the receipts are located. Individuals making application must have a Department of the Navy approved identification card.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information is collected directly from the subject individual.

Systems exempted from certain provisions of the act:

NONE

N00030 DASO CREW EVAL

System name:

Fleet Ballistic Missile Submarine Demo and Shakedown Operation Crew Evaluation

System location:

Director, Strategic Systems Projects (PM-1) Department of the Navy Washington, D.C. 20376

Categories of individuals covered by the system:

Officer and enlisted personnel in responsible positions within the Weapons and Navigation Department of both crews of a fleet ballistic missile submarine undergoing Demonstration and Shakedown Operations

Categories of records in the system:

Memorandum report to file

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of Certification for Deployment messages by Director, Strategic Systems Projects and Commander Submarine Group Six and development of follow-on training programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File holders

Retrievability:

Ship and crew designators

Safeguards:

Access restricted to Assistant for Weapons System Operation and Evaluation staff, Strategic Systems Project Office and Commander Submarine Group Six staff. Vault storage.

Retention and disposal:

Maintained for at least two years then destroyed by shredding

System manager(s) and address:

Director, Strategic Systems Projects Department of the Navy Washington, D.C. 20376

Notification procedure:

All inquires should be directed to the Privacy Act Coordinator:
Deputy Director, Strategic Systems Projects
Department of the Navy
Washington, D.C. 20376
and should indicate full name, military status, time period and ship undergoing Demonstration and Shakedown Operations, and billet held.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Observation of Demonstration and Shakedown Operation team and questionnaire filled out by ship's personnel

Systems exempted from certain provisions of the act:

NONE

N00033 MSC01

System name:

MSC/NCSORG Reserve Personnel Record

System location:

Commander, Military Sealift Command, Department of the Navy, Washington, D.C. 20390

Categories of individuals covered by the system:

Naval Reserve personnel in the MSC/NCSORG Reserve Program

Categories of records in the system:

Name, rank, social security number, designator, date of birth, home address and phone, active duty training, correspondence courses, education, active military service, civilian employment experience.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in the system provides pertinent biographical information and data to be used by the program sponsor for the management, supervision and administration of the MSC/NCSORG program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data cards or similar record.

Retrievability:

By name

Safeguards:

Records are kept within COMSC Naval Reserve Division Office. No one authorized access outside of Naval Reserve Division personnel. Building employs security guards.

Retention and disposal:

Records are retained indefinitely.

System manager(s) and address:

Commander, Military Sealift Command. Department of the Navy. Washington, D.C. 20390

Notification procedure:

Information may be obtained from System Manager. Written requests for information should contain full name of the individual, military grade or rate, and date of birth. For personal visits, the individual should be able to provide some acceptable means of identification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the systems manager.

Record source categories:

Information is submitted by the individual concerned.

Systems exempted from certain provisions of the act:

None

N00034 AFHPSP

System name:

Armed Forces Health Professional Scholarship System

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

AFHSP students until graduation

Categories of records in the system:

Personnel and entitlement data necessary for pay computation

Authority for maintenance of the system:

Public Law 92-426

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of checks, leave and earnings statements, and financial reports. Data may be released to various government agencies such as to the Department of the Treasury, Social Security Administration, and Veterans Administration when needed to provide payment or service to member. To the American Red Cross, Navy Relief Society and U.S.O. for personal assistance to the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability: Social security account number and member name

Safeguards:

Guards, personnel screening, and requestor codes

Retention and disposal:

Destroyed ten years after member's graduation

System manager(s) and address:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Office Building Cleveland, Ohio 44199

Notification procedure:

Individuals may write to system manager at above address. Information request must contain Navy member's full name, military status, and social security number. Requestor may visit above address and must have military identification card or valid state driver's license and social security card as positive proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Disbursing Officer, Reserve members, BUPERS, and BUMED

Systems exempted from certain provisions of the act:

None

N00034 EMPSTATS REG

System name:

Statements of Employment (Regular Retired Officers)

System location:

Commanding Officer, Navy Finance Center Anthony J Celebrezze, Federal Building, Cleveland, Ohio 44199 and Marine Corps Finance Center Kansas City, Missouri 64197

Categories of individuals covered by the system:

All Navy and Marine Corps Regular retired officers who have filed a Statement of Employment (DD Form 1357).

Categories of records in the system:

The information is typically contained in the individual's pay account file and occasionally accompanied by correspondence from, to, or concerning individuals in the above-stated category.

Authority for maintenance of the system:

5 U.S.C. 301, 3326; 18 U.S.C. 207, 281, 283; 37 U.S.C. 801; 44 U.S.C. 3101; U.S. Const., Art. I, 9, CL. 8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information is used to determine whether the retiree has or may have a conflict of interest or is engaging in proscribed post-retirement employment activities. In some cases, the information is provided to the Judge Advocate General to serve as bases for advisory opinions on the legality and possible penal and civil consequences of post-retirement employment activities and related conflicts-of-interests and standards-of-conduct questions. In addition, the information may be furnished to other components of the Department of Defense, the U.S. General Accounting Office, Department of the Treasury, the Civil Service Commission, the Department of Justice, and other law enforcement and investigatory agencies in instances of suspected violations of pertinent laws or regulations, and the Department of Labor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in file folders.

Retrievability:

By name or social security number of the individual concerned.

Safeguards:

Files are maintained in file cabinets under the control of authorized personnel during working hours; the office space in which the file cabinets are located is locked outside of official working hours.

Retention and disposal:

Records are maintained at the above-stated locations for up to two years after the death of the individual concerned, at which time they are transferred to the Federal Records Center, Mechanicsburg, Pennsylvania, in the case of Navy personnel, and to the Federal Records Center, Kansas City, Missouri in the case of Marine Corps personnel.

System manager(s) and address:

For Navy Regular retired officers:
Comptroller of the Navy
Navy Department
Washington, D.C. 20350

For Marine Corps Regular retired officers:
Commanding Officer
Marine Corps Finance Center
1500 East Bannister Road
Kansas City, Missouri 64197

Notification procedure:

Information may be obtained by written request which adequately identifies the system of records and the individual about whom the record is kept (i.e., full name and social security number); the written request must be signed by the requesting individual.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager for Marine Corps and the Navy Finance Center for Navy.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager for Marine Corps and the Navy Finance Center for Navy.

Record source categories:

The information is obtained from the individual to whom the record pertains.

Systems exempted from certain provisions of the act:

None.

N00034 FHA PAYMENTS

System name:

FEDERAL HOUSING ADMINISTRATION MORTGAGE INSURANCE SYSTEM

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

Navy members who have home mortgages through FHA.

Categories of records in the system:

Payments made to FHA for insurance payments credited to members.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in this system are used within the Navy Finance Center to calculate payments for FHA and to reconcile any discrepancies in accounts. Data may be provided to Finance Centers of the other services, and to the Department of the Treasury when address is needed for issuance of check.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Social security number and member's name

Safeguards:

Guards, personnel screening and requestor codes

Retention and disposal:

Destroyed one year after death or discharge of member

System manager(s) and address:

Commanding Officer, Navy Finance Center, Anthony J. Celebrezze Federal Building, Cleveland, Ohio 44199

Notification procedure:

Individuals may write to members at above address. Information request must contain Navy member's full name and social security number. Requester may visit above address and must have military identification card or valid state driver's license and social security card as proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

FHA, member, field disbursing officers

Systems exempted from certain provisions of the act:

None

N00034 NPC ACCTS REC

System name:

Accounts Receivable System

System location:

Commanding Officer, Navy Finance Center, Anthony J. Celebrezze Federal Building, Cleveland, Ohio 44199

Categories of individuals covered by the system:

Individuals who have been paid more funds by the Department of the Navy than to which they were legally eqtitled.

Categories of records in the system:

Documentation which established overpayment status, financial status affidavit, payment record, credit reference, and miscellaneous correspondence to and from the individual.

Authority for maintenance of the system:

80 Stat 308 and 88 Stat 393, Federal Claims Collection Act of 1966 (P.L. 89-508)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records will be used to determine and record payment plan and to determine whether debt should be compromised, suspended or collection action terminated. If payment is not made and circumstances warrant, records may be released to the General Accounting Office and the Department of Justice for collection action. Data on individuals with delinquent accounts may be given to credit bureaus in accordance with the General Accounting Office regulations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, magnetic tape, disc, microfiche

Retrievability:

Social security number and individual's name

Safeguards:

Personnel screening, requester codes

Retention and disposal:

Files of accounts which are paid in full will be maintained for 3 years after final payment. Other files will be maintained for 6 years after termination of collection action.

System manager(s) and address:

Commanding Officer, Navy Finance Center, Anthony J. Celebrezze Federal Building, Cleveland, Ohio 44199

Notification procedure:

Individuals may write to the system manager at the above address. Information request must contain individual's full name and should include the Social Security number.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Disbursing officers, credit bureaus, the individual, Internal Revenue Service, Postmasters, Veterans Administration, Bureau of Motor Vehicles.

Systems exempted from certain provisions of the act:

None

N00034 NFC RET PAY

System name:

Retired Pay System

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

Uniformed Navy Retired and Retainer Accounts; retirees electing Retired Servicemans Family Protection Plan or Survivor's Benefit Program, survivor of retirees receiving SBP or Minimum Income Widow Payments; National Oceanic and Atmospheric Administration Retirees.

Categories of records in the system:

They are used for extraction or compilation of statistical data and reports for management studies and statistical analyses for use internally or externally as required by Department of Defense or by other Government agencies.

Authority for maintenance of the system:

Title 10 U.S. Code Subtitle C

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in this system are used for extraction or compilation of statistical data and reports for management studies and statistical analyses, for use internally or externally as required by the Department of Defense or by other Government agencies. They are used within the Navy Finance Center to compute retirement payments and to investigate and reconcile any underpayments, overpayments, or claims. Data may be released to the Internal Revenue Service and state and local taxing authorities; the Social Security Administration, the Civil Service Commission, and the Veterans' Administration when retirement payments received may have an impact upon payments issued by those agencies; the Department of the Treasury for issuance of checks; the courts upon receipt of court orders; and the designated beneficiaries of deceased members. To the American Red Cross, Navy Relief Society, and U.S.O. for personal assistance to the member, and to the Department of Labor.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability:

Social security number and member's name

Safeguards:

Guards, personnel screening, requestor codes

Retention and disposal:

Kept for ten years then forwarded to safekeeping; NOAA accounts dropped upon retirees death.

System manager(s) and address:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Notification procedure:

Individuals may write to system manager at above address. Information request must contain Navy member's full name and social security number.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Field Disbursing Officers, BUPERS, Individual members, Veterans Administration, IRS.

Systems exempted from certain provisions of the act:

None

N00034 NRDP PAY SYS

System name:

Reserve Pay System

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

Active reservists drilling in pay units

Categories of records in the system:

Performance entitlements, monthly and yearly pay, and personnel data needed for pay computation and issuance

Authority for maintenance of the system:

10 U.S. Code Chapter 11

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used within the Navy Finance Center by military pay adjudicators for the purposes of issuing checks and earning statements, investigating claims and overpayments, and for preparation of financial reports. Data contained in records may be released to BUPERS, various field activities, and other Department of De-

fense activities to assist these activities to update, verify, or correct their records; the Internal Revenue Service and state or local tax authorities for use in computing or resolving member's tax liability; the Social Security Administration to determine member's coverage under that program; the Department of the Treasury for issuance of checks; the Veterans' Administration or to the Navy Family Allowance Activity, when needed to process cases in the courts upon court order; the designated beneficiaries of deceased members. To the American Red Cross, Navy Relief Society, and U.S.O. for personal assistance to the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability:

Social security number and name

Safeguards:

Guards, personnel screening, requestor codes

Retention and disposal:

Microfilm record kept indefinitely in safekeeping

System manager(s) and address:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Notification procedure:

Individuals may write to system manager at above address. Information request must contain Navy member's full name and social security number.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Disbursing Officers, individual members, BUPERS, and IRS.

Systems exempted from certain provisions of the act:

None

N00034 NROTC

System name:

Naval Reserve Officer Training Corps Pay System

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

NROTC students until time of commissioning

Categories of records in the system:

Personnel and entitlement data necessary for computation of pay entitlements.

Authority for maintenance of the system:

10 U. S. Code, Chapter 103 and Public Law 88-647.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used within the Navy Finance Center by military pay adjudicators for the purposes of issuing checks and earnings statements, investigating claims and overpayments, and for preparation of financial reports. Data contained in records may be released to BUPERS, various field activities and other Department of Defense activities to assist these activities to update, verify, or correct their records, or process cases; to the Internal Revenue Service and state or local tax authorities for their use in computing or resolving member's tax liability; to the Social Security Administration to determine member's coverage under that program; to the Department of the Treasury when needed for issuance of check; to the Veteran's Administration or to the Navy Family Allowance Activity, to process cases; to the courts upon court order; to the designated beneficiaries of deceased members, etc. To the American Red Cross, Navy Relief Society, and U.S.O. for personal assistance to the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability:

Social security account number and member name

Safeguards:

Guards, personnel screening, requestor codes

Retention and disposal:

Original shipped to safekeeping for permanent retention.

System manager(s) and address:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Notification procedure:

Individuals may write to system manager at above address. Information request must contain Navy member's full name, military status, and social security account number. Requestor may visit above address and must have military identification card or valid state driver's license and social security card as positive proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Disbursing Officer, Member, BUPERS, CNETO, and IRS.

Systems exempted from certain provisions of the act:

NONE

N00034 SAV-DEP-SYS

System name:

Savings Deposit

System location:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Categories of individuals covered by the system:

Navy members still declared missing in action in the Vietnam conflict.

Categories of records in the system:

Members records reflecting account balances

Authority for maintenance of the system:

Public Law 89-538

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records in this system are used for crediting of interest and clearing of account upon termination. Records will be furnished to Navy Family Allowance Activity and other Department of Defense agencies servicing families of persons still having active accounts; to the Internal Revenue Service upon termination of account.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and file folders

Retrievability:

Social security number and member name

Safeguards:

Guards, personnel screening, and specific requestor codes

Retention and disposal:

Upon closing of account, records are shipped to FRC and destroyed after two years.

System manager(s) and address:

Commanding Officer Navy Finance Center Anthony J. Celebrezze Federal Building Cleveland, Ohio 44199

Notification procedure:

Individuals may write to system manager at above address. Only the member or executor or benificiary of estate will be provided information. Individual's name and social security number are required. Persons wishing to view records in person must report to the Navy Family Allowance Activity, Room 967, Anthony J. Celebrezze Federal Building, Cleveland, Ohio 44199.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Member's initial request, adjudicators in Central Accounts Department.

Systems exempted from certain provisions of the act:

NONE

N00034 13

System name:

Slot Machine Winnings

System location:

Decentralized, maintained at Navy and Marine Corps overseas bases, where slot machines are not in violation of U.S. laws, status of forces or local agreements. A list is available from:

NAVY
Chief of Naval Personnel (Pers-7)
Bureau of Naval Personnel
Washington, D.C. 20370
MARINE CORPS
Commandant of the Marine Corps (MSMS)
Washington, D.C. 22214

Categories of individuals covered by the system:

Individual U.S. citizens 18 years of age and older who are paid monies for winnings associated with slot machine jackpots.

Categories of records in the system:

Jackpot payout control sheet indicating individual name, grade, SSAN, duty station, dates and amounts of jackpot monies paid are maintained at each location.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To account for and control monies paid to individual winners of slot machines jackpots and as a basis for IRS Form 1099 reporting on individuals whose winnings are six hundred dollars or more during a calendar year.

USER: Navy and Marine Corps shore activities where slot machines have been approved by the Chief of Naval Personnel or the Commandant of the Marine Corps.

USES: Provides a means of paying, recording, accounting for, reporting, and controlling expenditures associated with slot machine jackpots.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file cabinets located in a secure area.

Retrievability:

Individual control sheets. Individual IRS Form 1099 by name and SSAN.

Safeguards:

Records are kept in occupied rooms which are locked during nonworking hours.

Retention and disposal:

Records are maintained on site for 3 years and then shipped to the Federal Records Center in accordance with SECNAVINST 5212.5 series.

System manager(s) and address:

Overall policy and procedures for the slot machine operation are contained in NAVSO P-3518, 3519, 3520, 3521, BUPERINST 10150.2B and MCO P-174613B. A list of system managers by activity is available from the Chief of Naval Personnel (Pers-7) for Navy managers and the Commandant of the Marine Corps (MSMS) for Marine Corps managers.

Notification procedure:

Individuals are notified via IRS Form 1099 if their jackpot winnings are six hundred dollars or more in a calendar year. An individual can contact the applicable systems manager on matters concerning their jackpot winnings.

Record access procedures:

Individuals have access to information applicable to their individual jackpot winnings. Officials such as IRS, Auditor and etc. have access to information applicable to all jackpot winners. Access is through the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Daily jackpot payout sheets.

Systems exempted from certain provisions of the act:

NONE

N00034 14

System name:

Bingo Winners

System location:

Decentralized, maintained at individual Navy or Marine Corps bases where bingo is authorized and played. A list is available from:

NAVY
Chief of Naval Personnel (Pers-7)
Bureau of Naval Personnel
Washington, D.C. 20370
MARINE CORPS
Commandant of the Marine Corps (MSMS)
Washington, D.C. 22214

Categories of individuals covered by the system:

Individuals who are paid monies or prizes for winnings associated with bingo.

Categories of records in the system:

Bingo payout control sheet indicating individual name, SSAN, duty station, dates and amounts or items won are maintained at each location.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To account for and control monies and items of merchandise paid to individual winners of bingo games and as a basis for IRS Form 1099 reporting on individuals whose winnings are six hundred dollars or more during a calender year.

USES: Provides a means of paying, recording, accounting for reporting and controlling expenditures and merchandise inventories associated with bingo games.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records maintained in file cabinets located in a secure area

Retrievability:

Individual control sheets. Individual IRS Form 1099 by name and SSAN.

Safeguards:

Records are kept in occupied rooms which are locked during nonworking hours.

Retention and disposal:

Records are maintained on site for 3 years and then shipped to Federal Records Center in accordance with SECNAVINST 5212.5 series.

System manager(s) and address:

Overall policy and procedures for the bingo operation are contained in NAVSO P-3518, 3519, 3520, 3521, BUPERSINST 1710.11 and MCO P-174613B. A list of systems managers is available from Chief of Naval Personnel (Pers-7) for Navy managers and the Commandant of the Marine Corps (MSMS) for Marine Corps managers.

Notification procedure:

Individuals are notified via IRS Form 1099 if their bingo winnings are six hundred dollars (monetary value) or more in a calendar year. An individual can contact the applicable systems manager on matters concerning their bingo winnings.

Record access procedures:

Individuals have access to information applicable to their individual bingo winnings. Officials such as IRS, Auditor and etc. have access to information applicable to all bingo winners. Access is through the systems managers.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Bingo payout control sheet.

Systems exempted from certain provisions of the act:

NONE

N0003401

System name:

Civilian Pay System

System location:

Decentralized, maintained by 125 Navy and Marine Corps civilian payroll offices; a list is available from:

Commander
Navy Accounting and Finance Center (NCF-123)
Washington, D.C. 20376

Categories of individuals covered by the system:

All civilian employees who are employed by Navy and Marine Corps Activities and are paid from appropriated funds

Categories of records in the system:

Individual civilian pay records, retirement records and leave records; substantiating documents such as personnel action forms effecting new appointments, separations, promotions, demotions, and deduction changes; Internal Revenue Service Form W-4; State and City tax information; authorizations for deductions, i.e., savings bonds, group life insurance, health benefits, overpayments, indebtedness to the Government; court orders for garnishment of wages for child support and alimony payments; allotments, i.e., union dues, charity contributions, savings allotments, special allotments for overseas employees; tax levies; claims; award payments; special pay; allowances and differentials.

Authority for maintenance of the system:

5 USC301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: To pay all Navy and Marine Corps civilian employees, maintain leave and retirement records and to record, report and account for government expenditures for personal services.

User: Navy and Marine Corps civilian payroll offices

Uses: Provides a means of paying, recording and accounting for government expenditures for personal services of Navy and Marine Corps civilian employees; provides time and attendance information to individual employees and management; provides audit trails for GAO, Navy Area Audit, and internal audit procedures; provides federal, state, and city tax information to appropriate authorities; provides retirement information and monies to CSC for computation fo annunities; provides other data to CSC as required for special studies. To the Treasury Department in connection with check issuance, the Veterans Administration in regard to Disability or Severance Pay Entitlement, the Social Security Administration for FICA Wage reporting; the Internal Revenue Service and state and local tax authorities for computing or resolving tax liability. To state employment agencies which require wage information to determine eligibility for unemployment compensation benefits of former employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, disc, microfilm/microfiche and punched cards. Manual records on manual card files and in file folders.

Retrievability:

By name, social security number, or locally assigned identification number.

Safeguards:

Locked fireproof cabinets for retirement records. Metal cabinets for manual payroll and leave records within locked rooms. The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Manual records and computer printouts are available only to personnel engaged in payroll processing, auditors, investigative officials and management personnel.

Retention and disposal:

Payroll records are maintained on-site for 2 years after completion of on-site audits by GAO; if no on-site audit is performed, retain records on-site for 4 years, then shipped to Federal Record Center where they are retained for 56 years.

Leave Records - same as above, except held by Federal Record Center for 10 years.

Retirement Registers - same as above, except are destroyed rather than sent to Federal Record Center. Retirement records are maintained until employee separates; if he goes to another Navy or Marine Corps activity, retirement records are sent to that activity; if he goes to another agency or separates, sent to CSC.

System manager(s) and address:

Overall policy and procedure for the Civilian Payroll System are established by the Commander, Navy Accounting and Finance Center, Washington, D.C. 20376. A list of the system managers by payroll activity is avabilable from Navy Accounting and Finance Center (NCF-123).

Notification procedure:

Civilian employees can directly contact the system manager of his payroll activity. If unknown, the inquiry should be submitted to the Commander, Navy Accounting and Finance Center, address above. Requestor should provide full name, social security number, identification number, if applicable, activity where employed and information desired. An individual can visit his payroll office on any matter concerning his pay.

Record access procedures:

Employees have access to their individual pay, leave and retirement records. The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Standard Form 50's (Personnel actions), time and attendance records, retirement records, federal state and tax forms, deduction authorizations, allotment authorizations, court orders for garnishment of wages for child support and alimony payments.

Systems exempted from certain provisions of the act:

None

N0003402

System name:

Bond Accounting

System location:

Decentralized, maintained by Issuing Agents for Savings Bonds; a list is available from:

Commander
Navy Accounting and Finance Center (NCF-123)
Washington, D.C. 20376

Categories of individuals covered by the system:

Civilian and Military Personnel of the Department of the Navy including contract employees who meet the requirement for ownership of savings bonds as outlined in Treasury Department Circular No. 530 as amended.

Categories of records in the system:

Files contain individual application and related records - The Bond Record File - Master Bond Record Card Control Account - The Master Control Account - Activity Subcontrol Accounts - Refund Subcontrol - Transfer Journal.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: To issue U. S. Savings Bonds
User: Issuing Agents for Savings Bonds
Uses: Provide audit trail on Requisition, Control, and Issuing of Bonds -
Maintenance of accounts - Accounting for funds - Financial Reports and Returns - Miscellaneous provisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Metal file cabinets equipped with a locking device - Paper records in metal filing cabinets - Microfilm.

Retrievability:

Retrieved by name, social security number or payroll number. From the Federal Reserve Bank by numerical sequence by serial number shown on bond issued stub.

Safeguards:

Locked cabinets, with building or military base security. Access authorized to personnel engaged in payroll processing, disbursing, supervisory or management personnel, and auditors. Bond subscribers are authorized to receive information on their own records.

Retention and disposal:

Records are maintained for one year. Records are then forwarded to a Federal Records Center.

System manager(s) and address:

Commander Navy Accounting and Finance Center (NCF-123) Washington, D.C. 20376 Procedures are prescribed in Comptroller of the Navy Manual (NAVSO P-1000). For decentralized locations where individuals may deal directly, addresses are available from the SYSMANAGER.

Notification procedure:

Information may be obtained by contacting the Bond Issuing Office responsible for issuing bond if known. If unknown the inquiry should be submitted to Commander, Navy Accounting and Finance Center, NCF-123, Washington, D.C 20376. Requester should provide full name, social security number or payroll number, current address when requesting information. An individual is permitted to visit any Bond Issuing Agent Office for information and will be required to provide identification such as identification card (i.e., DOD Building Pass).

Record access procedures:

The Agency's rule for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Request for Bonds are filed by individuals who provide information on themselves. Other records are generated from the original request.

Systems exempted from certain provisions of the act:

None

N0003404

System name:

Joint Uniform Military Pay System (JUMPS)

System location:

(Decentralized) Navy and Marine Corps disbursing offices, Navy Finance offices, Navy Regional Finance Centers, and Navy Finance Center which are identified in appendix B of Volume IV, Navy Comptroller Manual andaddresses which are contained in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

All Navy personnel on active duty

Categories of records in the system:

Individual Leave and Earnings Statement, Personal Financial Record, substantiating documents authorizing credits and deductions of pay entitlements and withholding of Federal income tax and Service Group Life Insurance, Internal Revenue Forms (W-2) reporting Federal income tax withheld and Federal Insurance Contribution Acts, military money list, pay receipts, check and distribution lists, allotment documents locator files, absentee and deserter lists, miscellaneous correspondence requesting or providing pay information, commanding officers leave lists, micro-film and microfiche records.

Authority for maintenance of the system:

Titles 10 and 37 U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees, military and civilian, of the Department of the Navy in the performance of their official duties relating to the maintenance and distribution of Leave and Earnings Statements and the determination and audit of pay entitlements, computing, paying and reporting payments, determining budgets and appropriation requirements, commencing and terminating allotments, determining amounts subject to fines, forfeitures or detentions of pay in connection with non-judical punishment and courts martial, distribution of pay checks. The Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office in the audit and determinations relating to military pay entitlements, expenditures and accounting procedures; to the Treasury Department in connection with check issuance, the Veterans Administration in reqard to Disability or Severance Pay Entitlement, the Social Security Administration for FICA Wage reporting; the Internal Revenue Service and state and local tax authorities for computing or resolving tax liability. To the American Red Cross, Navy Relief Society, and U.S.O. for personal assistance to the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Personal Financial Records containing Leave and Earnings Statements, which are paper records, are stored in wooden or metal boxes or cabinets. Copies of Leave and Earnings Statements and supporting documents are stored in file folders and cabinets or on micro-film or microfiche. Automated records are stored on magnetic tapes, discs and punched cards.

Retrievability:

Automated records are retrieved by social security and name while locally maintained records and documents are retrieved by last name.

Safeguards:

Outside of normal working hours Personal Financial Records with Leave and Earnings Statements are secured in safes, vaults or locked cabinets. Substantiating documents and microfilmed records are retained in unlocked cabinets. All of the mentioned records are also within locked rooms or buildings.

Retention and disposal:

Personal Financial Records containing the six most recent Leave and Earnings Statements are retained by the disbursing office serving the command to which the member is assigned. Copies of substantiating documents are retained by the local command for four years after the period covered by the account at which time they are forwarded to the Federal Records Center. A central automated file is maintained for all active duty Navy personnel at the Navy Finance Center, Cleveland. Following a member's separation or retirement from the Navy, the member's Personal Financial Record is forwarded to the central site, Navy Finance Center, Cleveland, where it is retained for approximately two months pending individual claims and is then forwarded to the Federal Records Center. The members Master Pay Account is retained at the central site for six months following a member's separation or retirement at which time it is purged from the computer file, microfilmed and forwarded to the Federal Records Center. Substantiating documents are microfilmed and retained at the central site for an indefinite period while the paper copy is forwarded to the Federal Records Center after two months.

System manager(s) and address:

Comptroller of the Navy, Chief of Naval Personnel, Commander Navy Accounting and Finance Center, Commanding Officer Navy Finance Center, Commanding Officers of Navy Regional Finance Centers, Officers in Charge of Navy Finance Offices and Commanding Officers of activities with disbursing officers.

Notification procedure:

Individuals can be informed of any records maintained within the system by identifying themselves to the local command disbursing officer. The member may identify himself by presenting his military identification card. Former members may request information from the Navy Finance Center, Cleveland.

Record access procedures:

Individuals, properly identified, may request any information pertaining to his pay from his local disbursing officer. If the requested information is not available locally, the disbursing officer will obtain the information from other sources, i.e. member's previous duty stations or the Navy Finance Center, Cleveland.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by individuals concerned may be obtained from the SYSMANGER.

Record source categories:

Department of Defense Military Pay and Allowances Entitlements Manual, Navy and Marine Corps Military Pay Procedures Manual, Navy Pay and Personnel Procedure Manual, Bureau of Naval Personnel Manual and the individuals service record and Bureau of Naval Personnel Manpower and Personnel Management Information System (MAPMIS).

Systems exempted from certain provisions of the act:

None

N0003408

System name:

Midshipman Pay System

System location:

Primary - Superintendent, Naval Academy, Annapolis, MD 21402; decentralized segments - Commanding Officer, Navy Regional Finance Center, Washington, D.C. 20371, Commanding Officer, Navy

Finance Center, Cleveland, OH 44199, and Chief of Naval Personnel (Code H-13), Navy Department, Washington, D.C. 20370.

Categories of individuals covered by the system:

Midshipmen of the U.S. Naval Academy, Annapolis, Maryland.

Categories of records in the system:

The system contains automatic data processing pay accounts of all Naval Academy Midshipmen. Document flow is controlled by use of a Midshipmen Payroll Change form. Controls over the system are maintained by use of a Midshipmen Payroll Control Register. Input source documents include (1) letter authority from the Superintendent to the Midshipmen Pay Offices to open the pay (2) documents to substantiate credits of advances for initial clothing and equipment issues, commuted rations, refunds for clothing turn-in, and discharge payments (3) letters from the Commandant of Midshipmen to the Midshipmen Pay Officer containing listings of names and amounts to the checked for personnel services (4) documents to substantiate checkages for liquidation of clothing and equipment advances, store bills of midshipmen subscriptions to magazines, musical concerts, etc., and (5) required deductions for Federal Tax and FICA Tax. Output documents include printouts of (1) Midshipmen Monthly Pay Accounts (2) Midshipmen Debit and Credit Explanation Register and (3) Midshipmen Yearly Pay Account. Payroll money lists which substantiate payments made and travel payment vouchers are also in files. Monthly financial returns are submitted to the Navy Regional Finance Center, Washington, D.C. for consolidation with the accounts of that office and are then forwarded to the Navy Finance Center Cleveland, Ohio in accordance with procedures prescribed in NAVCOMPT Manual, par. 048090. Copies, of the financial returns are therefore, on file in these offices. In addition, copies of documents supporting Federal Income and FICA Taxes withheld are forwarded to the Chief of Naval Personnel (Code H-13).

Authority for maintenance of the system:

National Security Act Amendments of 1949 (10 U.S.C. 5060).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose - To accurately and efficiently maintain the pay accounts of Naval Academy Midshipmen. Category of users - Midshipmen Pay Officers Navy Regional Finance Center, Washington, D.C., Navy Finance Center, Cleveland, Ohio, Chief of Naval Personnel, Internal Revenue Service, and Social Security Administration. Specific uses - To pay and account for payments and collections of Naval Academy Midshipmen which are charged to the annual appropriation Military Personnel, Navy and administered by the chief of naval personnel. To the American Red Cross, Navy Relief Society, and U.S.O. for personal assistance to the member.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Midshipmen Pay Office - Computer print-outs. ADP Office - Computer magnetic tapes.

Retrievability:

Retrieved by Alfa Codes assigned to each midshipmen.

Safeguards:

Only Midshipmen Disbursing Office personnel are authorized access to records of that office. Only the computer operations are authorized access to the computer tapes. The computer area is restricted and computer tapes are locked in fireproof safes when not in use.

Retention and disposal:

Pay information on the computer tapes is retained for 30 days and the tapes are then reused. Tapes containing Federal Income Tax and FICA Tax information are retained for 1 year until the required reports are rendered. The tapes are then reused. Retained copies of Midshipmen Pay Office forms are disposed of as follows: 1. Midshipmen Payroll Control Register - retain for 2 years and destroy. 2. Midshipmen Payroll Change - retain for 6 months and destroy. 3. Midshipmen Monthly Pay Account - retain for 4 years, from admission of each class through month following its graduation and destroy. 4. Midshipmen Debit and Credit Explanation Register - same as 3, above. 5. Midshipmen Yearly Pay Account - same as 3, above. Other disbursing records and financial returns are retained 4 years follow period covered by the account and transferred to the Federal Records Center in accordance with SECNAV Instruction P5212.5b.

System manager(s) and address:

Overall policy and procedurs - Comptroller of the Navy; primary - Superintendent, Naval Academy; decentralized segments - Commanding Officer, Navy Regional Finance Center, Washington, D.C., Commanding Officer, Navy Finance Center, Cleveland, Ohio and Chief of Naval Personnel (Code H-13) Washington, D.C.

Notification procedure:

Individuals can be informed of any records maintained in the system by identifying themselves to Midshipmen Pay Office. Members must present his identification card to obtain requested information.

Record access procedures:

Midshipmen are issued a monthly earnings statement. All information concerning credits and checkages of pay and allowances are contained in the statement. Additional required information relative to miscellaneous changes reflected on the statement may be obtained from the individual Academy activity which reported the changes to the Midshipmen Pay Office upon presentation of his identification card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individuals concerned may be obtained from the SYSMANAGER.

Record source categories:

Members service record on file in the Midshipmen Personnel Office and those documents contained in RECORD-CATEGORY, above.

Systems exempted from certain provisions of the act:

NONE

N0003411

System name:

Travel Pay System

System location:

Decentralized, maintained by Navy disbursing offices; a list is available from:

Commander
Navy Accounting and Finance Center (NCF-3)
Washington, D.C. 20376

Categories of individuals covered by the system:

Any person, government or private, who submits a request for payment of a travel advance or travel claim to a Navy disbursing office.

Categories of records in the system:

Public vouchers; substantiating documents such as travel orders and expense receipts; card file or log book utilized to control receipt and disposition of travel claims; suspense files, pay adjustment authorizations, and payroll checkages utilized for control and follow-up on travel advances; and correspondence relating thereto.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: To reimburse travelers for travel expenses and to record, account, and report for government funds. User: Navy disbursing offices. Uses: Provide an historic file and audit trail for travel payments made by the Navy; provide a means to respond to inquiries from travelers on status of claims; control travel advances to insure liquidation; provide a means to record, account, and report travel expenditures; provide a means for collection in cases of overadvances; provide disclosure to law enforcement or investigatory authorities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; index cards or log books.

Retrievability:

Retrieved by disbursing office voucher number for paid advances and claims; retrieved by name for card index file or log book. Information in disbursing office voucher file can be retrieved by name through search process if travel dates and/or travel claim submission date is known.

Safeguards:

Locked cabinets or rooms, with building or military base security. Access authorized to personnel engaged in travel claim processing, supervisory or management personnel, and inspectors, auditors, investigators. Travelers are authorized access to their own travel records; fund administrators are authorized access to records pertaining to their own funds.

Retention and disposal:

Records are maintained for four years. Records may be moved to a regional Federal Records Center depending on local storage capability. No standard means for destruction exists.

System manager(s) and address:

Department of Defense Per Diem, Travel, and Transportation Allowance Committee prescribes regulations in the Joint Travel Regulations; records maintained are prescribed by the Comptroller of the Navy in its Manual (NAVSO P-1000); a list of Navy disbursing offices is maintained by the Commander, Navy Accounting and Finance Center (NCF-3), Washington, D.C. 20376.

Notification procedure:

If the individual is a traveler and knows the location of the Navy disbursing office processing his/her travel claim, direct contact with that office is sufficient. If unknown, or the inquirer is not a traveler, the inquiry should be submitted to the Commander, Navy Accounting and Finance Center, address above. Requestor should provide full name, social security number, whether military or civilian, and, if possible, disbursing office voucher number, dates of travel, and date and location of travel claim or travel advance submission. An individual is permitted to visit any Navy disbursing office to which he/she has submitted an advance or claim. Military identification card or civilian identification such as driver's license is sufficient.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Travel advances and travel claims are filed by individuals who provide information on themselves. Supporting documentation is obtained from employing commands, service providers (e.g., taxis for receipts), and Navy disbursing offices.

Systems exempted from certain provisions of the act:

NONE

N0003412

System name:

Commercial Invoice Payments History System

System location:

Decentralized, maintained by Navy disbursing offices; a list is available from:

Commander
Navy Accounting and Finance Center (NCF-5)
Washington, D.C. 20376

Categories of individuals covered by the system:

Any individual, government or private, who submits a request for payment to Navy disbursing offices for goods and/or services rendered.

Categories of records in the system:

Public vouchers; substantiating documents such as invoices, receipt documents, inspection reports, procurement instruments, contract index files, assignment documents, machine listings, government bills of lading, transportation requests, meal tickets; magnetic tape, disk files, roll microfilm, microfiche; and related correspondence files.

Authority for maintenance of the system:

5 USC 301 Department Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: To provide a record of all disbursements made on commercial invoices by Navy disbursing offices. User: Navy disbursing offices. Uses: Provides an audit trail of commercial invoice payments made by the Navy; provides a means to respond to inquiries from individuals on status of invoices and contracts; provides a means of detecting and precluding duplicate payments; provides disclosure to law enforcement and investigatory authorities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; computer magnetic tapes; roll microfilm, microfiche.

Retrievability:

Retrieved by disbursing office voucher number for paid invoices; retrieved by procurement instrument identification number for contractors by contract index cards; retrieved by name of individual from machine listings. Information in disbursing office voucher file and microfilm/microfiche can be retrieved by name through search process if billing/submission date is known.

Safeguards:

Locked cabinets or rooms, with building or military base security. Access authorized to designated personnel engaged in commercial invoice processing, supervisory or management personnel, and inspectors, auditors, investigators. Individuals are authorized access to their own payment history file; fund administrators are authorized access to records pertaining to their own funds.

Retention and disposal:

Records are maintained for four years. Records may be moved to a regional Federal Records Center depending on local storage capability. No standard means for destruction exists.

System manager(s) and address:

Commercial invoice payment history requirements are prescribed by the Comptroller of the Navy in its Manual (NAVSO P-1000); a list of Navy disbursing offices authorized to pay invoices can be obtained from the Commander, Navy Accounting and Finance Center (NCF-5), Washington D.C. 20376.

Notification procedure:

If the individual knows the location of the Navy disbursing office holding his/her invoice payment history, direct contact with that office is sufficient. If location is unknown, the inquiry should be directed to the Commander, Navy Accounting and Finance Center, address above. Inquirer should provide full name, social security number, whether military or civilain, contract or purchase order number and, if possible, disbursing office voucher number, invoice date, number and amount. An individual is permitted to visit any Navy disbursing office to which he/she has submitted an invoice for payment. Identification should include military identification card, civilian identification such as driver's license and company or agency affiliation. Access to classified contracts requires confirmation of security clearance and need to know.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Commercial invoices are filed by individuals who provide information on themselves. Supporting documentation is obtained from employing company, material/service providers and receivers and Navy disbursing offices.

Systems exempted from certain provisions of the act:

NONE

N0003415

System name:

Losses of Public Funds File

System location:

Navy Accounting and Finance Center, Code NAFC-73, Washington, DC 20376

Categories of individuals covered by the system:

Disbursing personnel who are entrusted with public funds and who incur losses of the public funds entrusted to them.

Categories of records in the system:

Alphabetized folders containing reports of losses of public funds, reports of investigations into losses of public funds, requests for relief of liability for losses of public funds and related correspondence.

Authority for maintenance of the system:

31 USC 95a, 82a-1, and 82a-2

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Maintaining documentation relative to losses of public funds by accountable disbursing personnel. Used by the following individuals for the purpose of processing documentation relative to losses of public funds: Commanding Officer, Executive Director; Director, Functional Systems Department; Director, General Systems Division and other specified individuals within the General Systems Division. Inform individuals of their rights to repay losses or to submit requests for relief of liability; maintain records of investigations conducted; approval of requests for relief of liability for losses of less than

500;recommendations to the Secretary of the Navy on all denials and all losses of
500 or more; and control over liquidation of losses by relief or by collection action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and control log

Retrievability:

Name of accountable disbursing individual in whose custody the public funds were entrusted when the losses occured.

Safeguards:

Maintained in General Services approved Class 3, Security Cabinet equipped with a Type II, three tumbler combination lock accessible only to authorized individuals.

Retention and disposal:

Transferred to Federal Records one year following liquidation of the loss.

System manager(s) and address:

Commanding Officer, Navy Accounting and Finance Center, Code NAFC-73, Washington, DC 20376

Notification procedure:

Correspondence only

Record access procedures:

The agency's rule for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rule for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Messages, letters, and reports of investigations into losses of public funds received from: accountable disbursing personnel, commanding officers of Navy and Marine Corps activities at which disbursing offices are located, officers appointed to conduct Judge Advocate General Manual investigations, Commanding Officer, Naval Investigative Service, Commandant of the Marine Corps, and Secretary of the Navy.

Systems exempted from certain provisions of the act:

None

N00037 CNM (MAT 09G1)

System name:

Investigatory (Fraud) System

System location:

Chief of Naval Material, Navy Department, Washington, D.C. 20360

Categories of individuals covered by the system:

Individuals suspected of fraud, convicted of fraud in Navy procurement, individuals suspected of being involved in theft of Government property, conflict of interest in matters relative to Navy procurement.

Names of individuals involved in areas of possible criminal misconduct pertaining to procurement and related matters within the cognizance of CNM.

Categories of records in the system:

1. Administrative memoranda
2. Investigative report summaries
3. Report of disciplinary action taken
4. Card index file, containing only the name and file number. It is used for report retrieval purposes.
5. Pertinent public court records.

Authority for maintenance of the system:

Title 5, U.S. Code, Section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses are to disseminate information on procurement fraud and related matters to the officials in the Department of the Navy to assure that they are notified in fraud cases. To request official investigations, audits, to respond to congressional inquiries and to request reports of final action taken. Internal users are subordinate officials to the CNM, CNO, SECNAV and ASN. Documents furnished to Department of Justice to be used in prosecutive actions. Reports are also used in connection with debarment/ suspension actions and require notification D/A, AF, DSA, GSA, Defense Nuclear Agency, MARCORPS and DCAA.
Referrals to NIS (law enforcement)

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, index cards.

Retrievability:

By name and ssn; by case name, type of crime and command.

Safeguards:

Access is limited to MAT 09G personnel. Files are stored in a locked bar cabinet. The area is sight controlled during normal work hours and locked during non duty hours. Building access is controlled during security hours by a Security Force, which also conducts roving patrols of the building. There is no possibility that the computer can be accessed from outside the controlled area.

Retention and disposal:

Files are kept for three years after final action is taken.

System manager(s) and address:

Chief of Naval Material Deputy Inspector General (Investigations) NAVMAT 09G1 Crystal Plaza Bldg. 5, Rm 422 Washington D.C. 20360

Notification procedure:

Written request to:
Chief of Naval Material
ATTN: Deputy IG (Investigations)
MAT 09G1, CP 5, Rm 422
Washington, D.C. 20360 giving full name, address, social security number and business affiliation.
Requester may visit, after written visit notification,
Chief of Naval Material
Deputy IG (Investigations)
MAT 09G1, CP 5, Rm 422
Washington, D.C. 20360 between the hours of 0900-1500.
Requestor must show proof of identity consisting of drivers license or ID containing photograph, Military ID card, etc.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agencies Rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Law enforcement investigative reports, Audit Reports, Inspection reports, credit reports and complainants.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (k) (1); (2) and (5), as applicable. For additional information contact the System Manager.

N00037 NAVWUIS

System name:

NAVY WORK UNIT INFORMATION SYSTEM

System location:

Defense Documentation Center Cameron Station Alexandria, VA 22314

Categories of individuals covered by the system:

Includes name, telephone number, organization and organization mailing address of the principal investigator, associate investigators and responsible individual for each Navy research and development work unit done by Naval activities or by civilian organizations.

Categories of records in the system:

The system contains the data submitted on a DD Form 1498 (Research and Technology Work Unit Summary) for each Navy work unit. The data includes the following items pertaining to the work: security classification, funding source, accession number, summary date, start and completion dates, title, description (technical objective, approach, and progress), contract data, resource data, scientific and technological areas and keywords.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Navy activities concerned with research, development, test and evaluation, all other government agencies, all parts of the legislative branch of government and registered contractors can obtain information from the system operated by the Defense Documentation Center. Information available is used to:
a. Identify on-going DOD research and technology in any scientific discipline or technology area.
b. Coordinate programs easily with other DOD components and other agencies to eliminate undesirable overlap of effort.
c. Determine whether specific areas of endeavor adequately reflect DOD policy guidance.
d. Determine the approach and current status of technical efforts.
e. Identify scientists or engineers who are working in technical areas of interest so they can be contacted for further technical information; and
f. Maintain current awareness through periodic review of progress statements in pertinent work units.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in computer readable form at the Defense Documentation Center and as paper files at user organizations.

Retrievability:

Information retrievable by individual name, organization, address, technical area, sponsoring activity, keywords, source of funds and most items listed under Record category.

Safeguards:

Access to Defense Documentation Center records restricted to government and civilian organizations registered for service. Civilian organizations must be sponsored by government organizations. Classified output is kept in safes, vaults and locked cabinets.

Retention and disposal:

The Defense Documentation Center records are updated at least annually for active work and are retained for completed and terminated work.

System manager(s) and address:

Chief of Naval Material (MAT 63T2) Navy Department Washington, D.C. 20360

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by contacting the SYSMANAGER in writing. The individual must provide his full name and organizational affiliations for the time period to be checked. Individuals can visit the SYSMANAGER to make the determination and will be required to show proof of identity provided by their employer.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Navy activities performing research and technology work units or responsible for research and technology work done by contractors and grantees.

Systems exempted from certain provisions of the act:

None

N00037 R&D PLANNING

System name:

NAVY RESEARCH AND DEVELOPMENT PLANNING SUMMARY (DD-1634) SYSTEM

System location:

Defense Documentation Center Cameron Station Alexandria, VA 22314

Categories of individuals covered by the system:

Includes name, telephone number, organization and organization mailing address of the responsible individual for each Navy research and development project or task area.

Categories of records in the system:

The system contains the data submitted on a DD Form 1634 (Research and Development Planning Summary) for each project and task area. The data includes the following items: accesssion number, date of summary, security classification, program identification, title, responsible DOD organization, start and completion dates, resource estimates, scientific and technical areas and description of the work (objective, approach, plans, progress and accomplishments).

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Navy activities concerned with research, development, test and evaluation, and all other Dept. of Defense agencies can obtain information from the system operated by the Defense Documentation Center. Information available is used to: a. Identify planned DOD research and technology in any scientific discipline or technology area for the current and next two fiscal years. b. Coordinate programs easily with other DOD components to eliminate undesirable overlap of effort; and c. Identify responsible individuals in technical areas of intrest so they can be contacted for further information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in computer readable form at the Defense Documentation Center and as paper files at user organizations.

Retrievability:

Information retrievable by individual name, organization, technical area, project number, task area number, source of funds and most items listed under Record category.

Safeguards:

Access to Defense Documentation Center DD-1634 records is restricted to Dept. of Defense organizations registered for service. Classified output is kept in safes, vaults and locked cabinets.

Retention and disposal:

The Defense Documentation Center records are held for an indefinite period. New descriptions are added annually in May and may be updated in September.

System manager(s) and address:

Chief of Naval Material (MAT 03T2) Navy Department Washington D.C. 20360

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by contacting the SYSMANAGER in writing. The individual must provide his full name and organizational affiliations for the time period to be checked. Individuals can visit the SYSMANAGER to make the determination and will be required to show proof of indentity provided by their employer.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Navy activities responsible for research and development program planning.

Systems exempted from certain provisions of the act:

NONE

N00037 TECH REPORTS

System name:

NAVY TECHNICAL REPORTS SYSTEM

System location:

Defense Documentation Center Cameron Station Alexandria, VA 22314

Categories of individuals covered by the system:

Includes name, organization and organizaton address for the author or authors of each research and development report by a Naval activity or by a Navy contractor or grantee.

Categories of records in the system:

The system contains the data submitted on a DD Form 1473 (Report Documentation Page) for each Navy sponsored report. The data includes the following items pertaining to the report: Security classifications, accession number, report date, title, abstract, sponsor identification, contract number, scientific and technological areas and keywords.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Navy activities concerned with research, development, test and evaluation, all other government agencies, all parts of the legislative branch of government and registered contractors can obtain report information from the system operated by the Defense Documentation Center. The reports are used to:

a. Identify DOD research and technology results in any scientific discipline or technology area.

b. Monitor programs of DOD components and other agencies to locate technical efforts applicable to current problems.

c. Determine the approaches and results of different technical efforts.

d. Identify scientists or engineers who are working in technical areas of interest so they can be contacted for further technical information; and

e. Maintain awareness of progress through periodic review of current technical literature.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in computer readable form at the Defense Documentation Center and as paper files at user organizations.

Retrievability:

Information retrievable by individual name, organization, technical area, sponsoring activity, keywords, and most items listed under Record category.

Safeguards:

Access to Defense Documentation Center records restricted to government and civilian organizations registered for service. Civilian organizations must be sponsored by government organizatons. Classified output is kept in safes, vaults and locked cabinets.

Retention and disposal:

The Defense Documentation Center records for technical reports are maintained indefinitely.

System manager(s) and address:

Chief of Naval Material (MAT 63T2) Navy Department Washington, D.C. 20360

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by contacting the SYSMANAGER in writing. The individual must provide his full name and organizational affiliations for the time period to be checked. Individuals can visit the SYSMANAGER to make the determination and will be required to show proof of identity provided by their employer.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Navy activities performing research and technology work and Navy research and technology contractors and grantees.

Systems exempted from certain provisions of the act:

None

N00039 CONTFLDSERV

System name:

Contract Field Service File

System location:

Commander Naval Electronic Systems Command Washington, D.C. 20360

Categories of individuals covered by the system:

Contractor representatives (engineers/technicians)

Categories of records in the system:

NAVELEX 4603 maintains a contractor field engineer file system by name and company. The only personal information contained in these files are security clearance information (degree, date cleared, by whom), date and place of birth, and social security number. Contract services requests and authorizations.

Authority for maintenance of the system:

5 USC 301, Departmental Regulation

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in the system is used for notifying ships, shipyards, supships, other Navy activities and some contractor plants of reporting engineers security information for tech assists. Internal users other than 4603 are cognizant engineers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

The files are filed by company and name.

Safeguards:

The files are located in a locked cabinet. When the cabinet is open, personnel is in the room at all times. Normally no other people have access to these files. The only ones that could have access based upon a need to know are the cognizant engineers and the contractor representatives may review their own personal jacket. ELEX 4603 personnel must remove records from cabinets.

Retention and disposal:

The records are retained as long as the engineer is employed by the company, then the records are transferred to Archives for the standard retention period.

System manager(s) and address:

Contract Services Coordinator, ELEX 4603

Notification procedure:

Request must be made to system manager ELEX 4603. Requestor must provide full name, social security number and photo identification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The source of information is from the contractor representatives (engineers/ technicians) employers.

Systems exempted from certain provisions of the act:

None

N00060 CUBEX

System name:

List of Cuban Exile Families at U.S. Naval Base Guantanamo Bay, Cuba

System location:

Commander in Chief, U. S. Atlantic Fleet (N94), Norfolk, Virginia 23511

Categories of individuals covered by the system:

Navy civilian employees at U.S. Naval Base Guantanamo Bay, Cuba, who are Cuban exiles.

Categories of records in the system:

Listing contains:

(a) Name of Head of Household
(b) Number of Dependents
(c) Age of Head of Household
(d) Data on who possesses an alien registration card
(e) Date when head of household and dependents depart GITMO.
(f) Destination of departing exiles. U.S. or third country
(g) Information copy of miscellaneous information provided by COMNAVBASE GITMO to Health, Education and Welfare, and Naturalization and Immigration Service for relocation arrangements and assistance. (This information being provided under Provisions of Privacy Act by HEW.)

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Users - CINCLANTFLT, COMNAVBASE GITMO, NAS GITMO, NAVSTA GITMO, CNO, HEW, Immigration and Naturalization Service

Uses - Ascertains base loading and requirements for relocation of aging alien work force for relocation to U.S. or third country; determination of who holds ARC's and to encourage those without ARC's to obtain same to facilitate departure from GITMO, and statistical purposes. Once a Cuban exile enters U.S. as an alien, information is retained as to location in u.S. All entries are used by CINCLANTFLT primarily for statistical and planning purposes related to above. NOTE: When these non-citizens enter U.S. as aliens, they fall under the Privacy Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders

Retrievability:

Manual effort by Head of Household name

Safeguards:

Files located in controlled area, in locked safe. Access based on need to know - official use only.

Retention and disposal:

Records will be maintained as long as there are Cuban exiles at Guantanamo Bay, Cuba. When all exiles have departed or situation changes between U.S. and Cuba, files may be destroyed depending on situation.

System manager(s) and address:

Financial Management Officer, Shore Activities Readiness Division, CINCLANTFLT, Norfolk, Virginia 23511

Notification procedure:

Letters of inquiry should be addressed to Sysmanager noted above and contain sufficient information to identify sender. Information should include employment dates of head of household while employed at GITMO, activity employed by, ARC number and names and location of dependents.

Personal Visit - Personal contacts with Cuban exiles not normally envisioned. However, any personal contacts with Sysmanager will be at CINCLANTFLT Compound, Building 3 North, Room 206. Provide adequate identification such as drivers license, ARC and be prepared to answer same questions required by letter inquiry.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Source of information derived from official civilian personnel folders and direct query of Cuban exiles. Information provided CINCLANTFLT by COMNAVBASE, GITMO.

Systems exempted from certain provisions of the act:

NONE

N00062 INSGEN

System name:

Naval Educational Development

System location:

Chief of Naval Education and Training Naval Air Station Pensacola, FL 32508

Categories of individuals covered by the system:

Formal/Informal investigations, inquiries conducted as directed by CNET and higher authority

Categories of records in the system:

Reports of investigations, inquiries

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Results reported to requesting authority. Files are then stored until time for disposal in accordance with Records Disposal Instructions

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Name, grade, title, position

Safeguards:

Stowed in 3-tumbler safe; access to authorized personnel only

Retention and disposal:

Per Records Disposal Instructions

System manager(s) and address:

Staff Inspector General and his immediate staff

Notification procedure:

Information is available to individuals but is restricted to the extent that the source of the information is not revealed.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Multitude of sources as determined by the scope of the investigation, inquiry.

Systems exempted from certain provisions of the act:

NONE

N00062 LORR 1130

System name:

Low Quality Recruiting Report (CNET Report 1130-1)

System location:

Commander, Naval Recruiting Command 4015 Wilson Blvd Arlington, Va 22203

Categories of individuals covered by the system:

Reports of enlisted performance

Categories of records in the system:

Reports of performance

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Navy Recruiting Command and the Chief of Naval Education and Training, Chief of Naval Technical Training, and the Recruit Traming Center to evaluate the quality of recruits with a view towards improvement of recruitment and training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folder

Retrievability:

Random filing by submitting activity

Safeguards:

Maintained in locked safe in controlled building

Retention and disposal:

Two years

System manager(s) and address:

Commander Navy Recruiting Command

Notification procedure:

By individual request upon presentation of letter or identification. Must provide program and name.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Service Record entries, Commanding Officers performance evaluations

Systems exempted from certain provisions of the act:

None

N00062 NEDRECS

System name:

Naval Educational Development Records.

System location:

Chief of Naval Education and Training Naval Air Station Pensacola, FL 32508

Categories of individuals covered by the system:

Applications, participants, graduates and staff of officer acquisition. professional development, Navy Youth, dependents' education (Atlantic), and Non-Traditional Education Support programs.

Categories of records in the system:

Applications, biographical information, student records and reports of performance, graduation, and disenrollment.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Naval Educational Development staff members, selection boards, Bureau of Naval Personnel and Navy media for selection, student monitoring, and utilization of graduates.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and punched cards.

Retrievability:

Name and SSN

Safeguards:

Locked buildings and access only to authorized personnel.

Retention and disposal:

Per SECNAV Records Disposal Manual

System manager(s) and address:

Director of Naval Educational Development (See location section)

Notification procedure:

By individual request upon presentation of letter of identification. Must provide program and name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Individual applications, selection board proceedings, transcripts, and correspondence.

Systems exempted from certain provisions of the act:

None

N00062 NROTC

System name:

NROTC Educational Development Records

System location:

Chief of Naval Education and Training Naval Air Station Pensacola, FL 32508

Categories of individuals covered by the system:

NROTC Scholarship Candidate Placement Records, NROTC Student Attrition Records, NROTC Student Jackets, Applications for NROTC Program, Commanding Officers and Executive Officers of NROTC units.

Categories of records in the system:

Information concerning students selected as principal and alternate candidates for NROTC scholarship. Contains name, SSN, address, telephone number, academic scores, medical qualification, race, and sex.

Reports of disenrollment, appointment to commissioned status, and non- selection as an applicant for the NROTC program.

Student records containing enlistment cntract, service agreement, officer candidate training application, evidence of citizenship, birth certificate, reports of medical qualification, aptitude for naval service evaluations, academic records, personal history information, report of security clearances granted, special request, and action of boards concerning these special request.

Application file consisting of officer candidate training request, service agreement, report of medical qualification, evidence of citizenship, personal history, interviewers' appraisal sheets, and academic records.

Officer Biography Sheet (NAVPERS 979)

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Assignment of scholarship selectees to various NROTC hosted institutions.

Provides reference to individuals's attrition from the NROTC program.

Provides program manager with information to determine students eligibility for continuation in program and eventual commissioning as naval officer. Information also used by Chief of Naval Personnel, Commander Navy Recruiting Command and Commandant of the Marine Corps.

Determine applicants eligibility for enrollment in NROTC program.

Assistance in preparing Fitness Reports, award recommendations, TAD assignments in conjunction with summer training and preparing background information for Flag and high government official visits to the NROTC unit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, index cards, and notebook

Retrievability:

Name, SSN, and NROTC unit.

Safeguards:

Secured room and building. Access to information to authorized personnel only.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

NROTC, CNET, NAS, Pensacola, FL.

Notification procedure:

Call or write system manager listed above.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Individual concerned, CHNAVPERS, COMNAVCRUITCOM, and NROTC unit.

Systems exempted from certain provisions of the act:

None

N00063CDP

System name:

Career Development Program for Communicators

System location:

Commander Naval Telecommunications Command Naval Telecommunications Command (NAVTELCOM) Headquarters 4401 Massachusetts Avenue, N.W. Washington, D.C. 20390

Categories of individuals covered by the system:

Navy civilian employees of NAVTELCOM in GS-393 series

Categories of records in the system:

Questionnaire completed by employees giving name, duty, work and education experience, birth date, grade level, telephone number (work)

Authority for maintenance of the system:

5 USC 301, Departmental regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

By system managers of NAVTELCOM for implementing and managing the Career Development Program, Navy Office of Civilian Manpower Management similarly; Defense Department similarly; Civil Service Commission similarly;

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Name

Safeguards:

Safes and vaults

Retention and disposal:

Records destroyed by burning upon separation of employee

System manager(s) and address:

Commander Naval Telecommunications Command 4401 Massachusetts Avenue, N.W. Washington, D.C. 20390 Civilian Manpower Coordinator, NAVTELCOM, same address

Notification procedure:

Provide name to Civilian Manpower Coordinator, address above, Room 138, with routine ID card, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Questionnaire completed by employee

Systems exempted from certain provisions of the act:

None

N00063FTAR

System name:

Field Training Assistance Representatives (FTAR) File

System location:

Commander Naval Telecommunications Command Naval Telecommunications Command (NAVTELCOM) Headquarters 4401 Massachusetts Avenue, N.W., Washington, D.C. 20390

Categories of individuals covered by the system:

Civilian employees of NAVTELCOM especially designated to provide technical training assistance to NAVTELCOM field activities.

Categories of records in the system:

Name, grade, position, duty station, reports of training conducted, evaluations of performance, schedules of employment, work and education history, official correspondence from field commanding officers.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purpoces of such uses:

Used by NAVTELCOM executives in managing FTAR program, for up-dating FTAR training. reassigning FTARs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Name

Safeguards:

Safes and vaults

Retention and disposal:

Retained indefinitely for historical purposes.

System manager(s) and address:

Commander Naval Telecommunications Command 4401 Massachusetts Avenue, N.W., Washington, D.C. 20390 Director Resources, NAVTELCOM, same address

Notification procedure:

Provide name to Director Resources, address above, Room 139, with routine ID card, drivers license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Applications for employment, official civilian personnel jacket, official Navy orders to temporary duty, official correspondence from employee and field commanding officers

Systems exempted from certain provisions of the act:

None

N00063NC09PS

System name:

Personnel Information System

System location:

Commander Naval Telecommunications Command Naval Telecommunications Command Headquarters 4401 Massachusetts Avenue Washington D.C. 20390

Categories of individuals covered by the system:

Military and civilian employees

Categories of records in the system:

Civilian Records; Military Personnel Records; Personnel Security Information

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Ready source of information on Headquarters personnel regarding billets, position titles, security clearances, etc. Used internally only for administrative purposes

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape and Punched Cards

Retrievability:

Name

Safeguards:

Safes and vaults

Retention and disposal:

Information on an individual is scrubbed from system within 60 days following terminiation of employment with Headquarters

System manager(s) and address:

Director Administration Headquarters Naval Telecommunications Command 4401 Massachusetts Avenue Washington D.C. 20390

Notification procedure:

By contacting System Manager at above address. Requestor should provide full name and dates employed by Headquarters Naval Telecommunications Command. Requestor may visit the Headquarters to determine whether the system contains records pertaining to him. Usual identification, such as a valid driver's license, military ID card, etc., will be accepted as proof of identity.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Applications for employment, military personnel records, reports of results of Background Investigations, National Agency Checks, etc.

Systems exempted from certain provisions of the act:

None

N00069NSGAGNPAC01

System name:

Professional Qualifications Records (PQR's)

System location:

Commander, Naval Security Group Command, 3801 Nebraska Avenue, N.W., Washington, D.C. 20390

Categories of individuals covered by the system:

Any civilian or military employee of the Naval cryptologic community who applies for Professionalization

Categories of records in the system:

File contains individual's Professional Qualifications Record, which is a summary of the individual's education, training, experience, and

awards. It also contains evaluations of the PQR made by the appropriate Career Panel.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Civilian Personnel Office - To determine whether individual is a suitable aspirant for Professionalization and whether revisions and/or updates are necessary. National Security Agency - To determine whether the PQR shows that the individual meets all the necessary requirements for Professionalization.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of individual aspirant

Safeguards:

Building employs security guards. Access to Civilian Personnel Office limited to personnel with proper clearances. Files kept in combination safe.

Retention and disposal:

Records are permanent. The authority provides a continuing requirement for the records.

System manager(s) and address:

Commander, Naval Security Group Command, 3801 Nebraska Avenue, N.W., Washington, D.C. 20390

Notification procedure:

Send request to SYSMANAGER. Request should include full name, DPOB, military status, SSAN (if you voluntarily include it) or service number. Visits for the purpose of obtaining information must be submitted in writing to Command, Naval Security Group Command, 3801 Nebraska Avenue, N.W., Washington, D.C. 20390, who will advise of time/date/place for viewing records or will advise whether system contains records pertaining to the requester. Scheduled visitors must be prepared to present adequate proof of identification - i.e. - combination of full name, DPOB, parent(s) name, drivers license, medicare card, military I.D. card if applicable.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Information is provided by individual aspirant. PQR may include transcripts provided to individual by educational institutions.

Systems exempted from certain provisions of the act:

NONE

N00069NSGHG11PAC01

System name:

NAVAL RESERVE SECURITY GROUP PERSONNEL RECORDS

System location:

Commander, Naval Security Group Command Naval Security Group Headquarters 3801 Nebraska Avenue, NW, Washington D.C. 20390

Categories of individuals covered by the system:

Naval Reserve Security Group Personnel

Categories of records in the system:

System comprises records reflecting information pertaining to reservist's ACDUTRA (Active Duty for Training); miscellaneous personnel actions, i.e., in-training status for change of rank/ designator/ rate; clearance certificate; congratulatory letters to officers upon promotion; history of past ACDUTRA performed; correspondance courses completed; old data cards and clearance eligibility letters

Authority for maintenance of the system:

5 USC 301 DEPARTMENTAL REGULATIONS

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reserve Personnel Support Branch - to verify: past active duty and ACDUTRA performed; currency of clearance status; mobilization assignment; civilian skills acquired

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper-records in file folders

Retrievability:

Filed alphabetically by last name of reservist

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel who are properly screened, cleared and trained

Retention and disposal:

Records are retained in active file until reservist has fulfilled drilling obligation or upon discharge or transfer to stand-by reserve

System manager(s) and address:

Commander, Naval Security Group Command Naval Security Group Headquarters 3801 Nebraska Avenue, NW, Washington D.C. 20390

Notification procedure:

a. Send request to SYSMANAGER

b. Full name, DPOB, military status, SSAN (if you will voluntarily include it) or service number

c. Visits for the purpose of obtaining information must be submitted in writing to Commander, Naval Security Group Command, 3801 Nebraska Avenue, NW, Washington D.C., 20390, who will advise of time/date/place for viewing records or will advise whether system contains records pertaining to the requestor

d. Scheduled visitors must be prepared to present adequate proof of identification - i.e., combination of full name, DPOB, parent(s) name, driver's license, medicare card, military I.D. card, if applicable

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager

Record source categories:

District Officers for Naval Reserve Security Group Commanding Officers of Naval Reserve Security Group Divisions Commanding Officer, Naval Technical Training Center, Pensacola, FL

Systems exempted from certain provisions of the act:

NONE

N00069NSGHG12PAC01

System name:

Naval Security Group Personnel Security/Access Files

System location:

The central record system is located at:
Commander, Naval Security Group Command
3801 Nebraska Ave., N.W.,
Washington, D.C. 20390

Duplicates of portions of records may be held by other Naval and Marine Corps activities served by a Naval Security Group Special Security Officer. Records pertaining to Naval and Marine Corps military personnel who were considered but not selected for assignment to the Naval Security Group while undergoing recruit training are located at one of the following locations:

Resident in Charge
Naval Security Group Field Office
Bldg 848
Marine Corp Recruit Depot
Parris Island, South Carolina 29905

Resident in Charge
Naval Security Group Field Office
Naval Administrative Command
Naval Training Center, Bldg 1411, Room 112
Great Lakes, Illinois 60088

Resident in Charge
Naval Security Group Field Office
U.S. Naval Training Center
San Diego, California 92133

Resident in Charge
Naval Security Group Field Office
Naval Training Center
Orlando, Florida 32813

Categories of individuals covered by the system:

Naval and Marine Corps military and civilian personnel assigned to or employed by the Naval Security Group, including the Reserve components thereof, or who have been considered for such assignment or employment.

Categories of records in the system:

The file may contain personal history information, investigative reports, security suitability reports, incident reports, and other data pertinent to determination of eligibility for access to Special Intelligence (SI) information, including the decisions made in each case. The file also contains records of authorized access to classified information.

Authority for maintenance of the system:

E.O. 10450 Eisenhower Security Program
E.O. 11652 Classification and Declassification of National Security Information and Material

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected and used by SI security personnel for the purposes of determining the individual's eligibility for access to SI information, of maintaining a record of the degree(s) to which access to SI has been authorized, and of determining the extent, if any, to which controls must be exercised to prevent the compromise of SI through hostile foreign intelligence activity. Information may be disseminated outside the Department of the Navy to the National Security Agency, Defense Intelligence Agency, Army Security Agency, Air Force Security Service, Central Intelligence Agency, White House Communications Agency and/or the Defense Industrial Security Clearance Office for the purpose of determining the individual's eligibility for access to classified information under the user Agency's cognizance. Information may be disseminated to the Defense Investigative Service and Naval Investigative Service for the purpose of conducting investigations on which to base SI eligibility decisions. The access record portion of the system may be made available to the Director of Central Intelligence to maintain an index of personnel who have been granted access to certain sensitive intelligence programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and magnetic tape.

Retrievability:

By name and date/place of birth.

Safeguards:

Approved security areas with alarms and guards. Access is limited to assigned personnel who have been found eligible for access to SI and received specific instruction in the handling, security, and dissemination policy of information in the files.

Retention and disposal:

Central record system retained for thirty years after last action. Records held at Naval Security Group Field Offices forwarded to central system after two years. Records retained in central record system and destroyed by burning, shredding, degaussing or chemical destruction at end of retention period.

System manager(s) and address:

Commander, Naval Security Group Command 3801 Nebraska Ave., N.W. Washington, D.C. 20390

Notification procedure:

a. Send request to SYSMANAGER

b. Full name, date and place of birth, military status, social security number (if voluntarily included) or service number.

c. Visits for the purpose of obtaining information must be submitted in writing to Commander, Naval Security Group Command, 3801 Nebraska Ave., N.W., Washington, D.C. 20390 who will advise of time/date/place for viewing records or will advise whether system contains records pertaining to the requester.

d. Scheduled visitors must be prepared to present adequate proof of identification-i.e.-combination of full name, date and place of birth, parent(s) name, drivers license, medicare card, military identification card if applicable.

Record access procedures:

The Agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

In addition to information furnished by the individual himself, files contain information furnished by federal investigative agencies, other SI security organizations, and reports submitted by Naval Security Group Special Security Officer. Files also include administrative correspondence among associated personnel and security offices of the executive branch.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00069NSGHG13PAC01

System name:

Personnel Resources Information System for Management (PRISM)

System location:

Commander, Naval Security Group Command Naval Security Group Headquarters 3801 Nebraska Avenue, NW, Washington, D. C. 20390

Categories of individuals covered by the system:

Active duty Navy and Marine Corps personnel and Naval and Marine Corps Reserve personnel affiliated with the Naval Security Group. Also civilian personnel holding a NAVSECGRU clearance.

Categories of records in the system:

System comprises automated records reflecting information pertaining to the pesonnel identification, location, current duties, professional qualifications and experiences, education, rotation data, personal information (marital status, dependents, home of record) and career information (dates of expiration of enlistment, release from active duty and security clearance data)

Authority for maintenance of the system:

5 USC 301 DEPARTMENTAL REGULATIONS

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Military and civilian personnel of the Naval Security Group Headquarters in the performance of their official duties relating to the planning and management of NAVSECGRU personnel resources. Regularly produced management reports are used to determine: adequacy of the personnel manning posture (quantitatively and qualitatively) at NAVSECGRU field activities; trends concerning levels of various NAVSECGRU personnel skills; trends in enlistments, reenlistments, training quotas, retirements; also, data base is often queried for one-time, non-routine information to satisfy priority requirements. Personnel of the Bureau of Naval Personnel use the system regularly to assist in meeting authorized NSG personnel requirements and identification of NSG training requirements. Civilian and Military officials of the National Security Agency use overall NAVSECGRU population distribution to assess adequacy of personnel levels and skills in meeting national cryptologic requirements. NAVSECGRU Area Directors in Atlantic, Pacific and European Commands in order to determine manning and skill posture within their respective theaters. Officials of NAVSECGRU field stations world-wide in order to determine numbers and skills of personnel ordered to report for duty. Officials of Naval Technical Center Pensacola Florida for purpose of mailing advancement examinations and other training materials.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored on magnetic tapes, discs, punched cards, microfiche and computer paper printouts.

Retrievability:

Records are retrieved by name, social security number, skill codes, duty stations, career information (dates of enlistment, expected release), education, rating and paygrade.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Computer magnetic tapes are erased three months after they are created. Punched cards are converted to magnetic tape and de-

stroyed. Microfiche and paper printouts are retained 3 years or until superseded.

System manager(s) and address:

Commander, Naval Security Group Command Naval Security Group Headquarters 3801 Nebraska Avenue, NW, Washington, D.C. 20390

Notification procedure:

Send request to SYSMANAGER. Full name, DPOB, military status, SSAN (if you will voluntarily include it) or service number. Visits for the purpose of obtaining information must be submitted in writing to Commander, Naval Security Group Command, 3801 Nebraska Avenue, NW, Washington, D.C. 20390, who will advise of time/date/place for viewing records or will advise whether system contains records pertaining to the requestor. Scheduled visitors must be prepared to present adequate proof of identification - i.e., combination of full name, DPOB, parent(s) name, driver's license, medicare card, military I.D. card, if applicable.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting content and appealing initial determination by the individual concerned may be obtained from the System Manager.

Record source categories:

Chief of Naval Personnel MAPMIS (Manpower Management Information System) ADP file; Naval Security Group field sites; Naval Security Group Field Office Representatives.

Systems exempted from certain provisions of the act:

None

N00159 D-3/01

System name:

Seismic survey list of companies involved in outer continental shelf.

System location:

Commandant, THIRD Naval District Flushing and Washington Aves. Brooklyn, NY 11251

Categories of individuals covered by the system:

Contact personnel of each company for information on survey or drilling activity.

Categories of records in the system:

Correspondence file

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Contact with individual companies for scheduling and coordination.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Name

Safeguards:

Safes

Retention and disposal:

Maintained as long as activity is going on, then burned.

System manager(s) and address:

Air Operations/Oceanographic Officer

Notification procedure:

Refer to sysmanager

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Department of Interior files.

Systems exempted from certain provisions of the act:

None

N00164 01

System name:

Employee Explosives Certification Program

System location:

Organization elements of the Department of the Navy as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

All personnel involved in the process or evolutions of explosives operations

Categories of records in the system:

Individual certifying document and combined register of all employees certified

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record the names of all employees and their qualifications to work in certain categories of explosives operations

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder, punched cards

Retrievability:

SSN, Name

Safeguards:

Personnel escort required

Retention and disposal:

Permanent, unless employee terminates or is no longer involved in explosives processes. Document returned to employee's department for routine disposal after deletion from program

System manager(s) and address:

Commanding officer or head of the organization in question. See directory of Department of Navy mailing addresses.

Notification procedure:

Individuals may inspect personnel certifying documents at local activity to which individual assigned. Requesters must be escorted and provide identification for inspection of their personnel records.

Record access procedures:

The agency rules for access to records may be obtained from the System Manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager

Record source categories:

Personnel files, previous supervisors

Systems exempted from certain provisions of the act:

None

N00173 DEC10-ADPBUD

System name:

ADP Budget

System location:

Director Naval Research Laboratory Washington, D.C. 20375

Categories of individuals covered by the system:

Employees and former employees of the Naval Research Laboratory who by the definitions contained in SECNAVINST 5238.1A of 15 Feb 1973 are reportable for purposes of Resource Accounting in Data Processing related activities.

Categories of records in the system:

Contains name, pay number, grade, step, salary related data, man-years of effort (either actual or projected) salary related data and changes in pay status (either actual or projected) which would affect salary costs.

Authority for maintenance of the system:

5USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is used by managers of computer oriented organizations to formulate Budgets for inclusion in the Automatic Data Processing Program Reporting System - Resource Accounting (Dept. of the Navy).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders and magnetic disc

Retrievability:

Pay number.

Safeguards:

Locked cabinets, personnel screening, (need to know) visitor controls, computer systems software including password protection.

Retention and disposal:

Routinely discarded after three years.

System manager(s) and address:

ADP Coordinator, Code 4014 Director, Naval Research Laboratory, Washington, D. C. 20375

Notification procedure:

A written request to the SYSMANAGER at the above address providing the individual's full name, current address and telephone numbers, dates of employment, organization code(s) and pertinent occupational series code. Determination of record may be made in the Research Program Office, Computation Center, or Office of Comptroller. A drivers license or other recognized form of identification bearing the individuals signature and current address will be required of visitors.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Personnel records

Systems exempted from certain provisions of the act:

None

N00173 1200-5

System name:

Listing of Personnel - Sensitive Compartmented Information

System location:

Director, Naval Research Laboratory, Washington, D. C. 20375

Categories of individuals covered by the system:

Individuals indoctrinated for access to compartmented information.

Categories of records in the system:

Name, affiliation, billet description, clearances authorized, clearances held, rank, Social Security Number, Background Investigation date, date of birth, place of birth, date of marriage, place of marriage.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to determine authorization for access to compartmented information. Internal users are Branch Heads, Division Superintendents, Director and Associate Directors of Research and Special Security Office.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Tape

Retrievability:

Name, Social Security Number, affiliation, assigned billet number

Safeguards:

Three combination security container and/or vault.

Retention and disposal:

Records maintained as long as individual authorized access; changed as changes occur.

Magnetic tape erased as required.

System manager(s) and address:

Special Security Officer, Naval Research Laboratory, Washington, D. C. 20375

Notification procedure:

Letter to System Manager at above address giving full name, Social Security Number, and affiliation, or visit to NRL Special Security Office with NRL pass as identification

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

All information obtained from individuals and indoctrination documents.

Systems exempted from certain provisions of the act:

None

N00173 265

System name:

Sight Conservation Program

System location:

Director, Naval Research Laboratory, Washington, D.C. 20375

Categories of individuals covered by the system:

Employees wearing glasses whose work requires the use of safety glasses.

Categories of records in the system:

Eyewear prescriptions and pertinent information on special fitting requirements.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of eyewear prescriptions used by contract optometrist in connection with periodic examinations and by Safety Office personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Name.

Safeguards:

Office door locked at night.

Retention and disposal:

Retained as long as employee is on program. When he leaves NRL or changes job and does not qualify for program, his file is destroyed by tearing it up.

System manager(s) and address:

Head, Safety Office, Naval Research Laboratory, Building 222, Room 188.

Notification procedure:

Verbal request to system manager, with some proof of identity, such as driver's license or ID card.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Optometrist's measurements.

Systems exempted from certain provisions of the act:

None.

N00175 03004

System name:

Staff Judge Advocate's Memorandum File

System location:

Commandant, FOURTH Naval District

Naval Base
Philadelphia, Pa. 19112

Categories of individuals covered by the system:

Any Naval or Marine Corps personnel facing disciplinary or administrative action requiring the personal attention of Commandant, FOURTH Naval District.

Categories of records in the system:

Memoranda of Staff Judge Advocate, FOURTH Naval District

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

(1) To provide Commandant, FOURTH Naval District with legal opinions of Staff Judge Advocate on disciplinary and administrative matters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Filing folders

Retrievability:

Name and date of advice

Safeguards:

During working hours under custody of Legalman. During nonworking hours, building secured by Base Police.

Retention and disposal:

Indefinite

System manager(s) and address:

Staff Judge Advocate, FOURTH Naval District
Naval Base
Philadelphia, Pa. 19112

Notification procedure:

Write letter to Systems Manager at above address which includes (1) name and address of requestor, (2) military status of requestor, (3) social security number of requestor, (4) subject matter of request.

In case of personal visit, the requestor must provide (1) military identification card, or (2) social security card. The office is located at Room 103, Building 6, Naval Base, Philadelphia, Pa.

Record access procedures:

The Agency's rules for access to records may be obtained from Systems Manager

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the Systems Manager.

Record source categories:

Staff Judge Advocate's opinions

Systems exempted from certain provisions of the act:

None

N00250 CHK/DEBT-LIST

System name:

Bad Checks and Indebtedness Lists

System location:

Commanding Officer, Navy Resale System Office, 3rd Ave. and 29th St., Brooklyn, NY 11232 (for all Navy Exchanges) Commissary Store operations as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Patrons of Navy exchanges and Commissary Stores who have passed checks which have proven bad; recruits who have open accounts wth Navy exchanges; patrons who have made C.O.D. mail order transactions and those patrons who make authorized charge or credit purchases where their accounts are maintained on the basis of an identifying particular such as name, social security number or service number.

Categories of records in the system:

Bad Check System (including: Returned Check Ledger; Returned Check Report; copies of returned checks; bank advice relative to the returned check or checks; correspondence relative to attempt by the Navy exchange or Commissary Store to locate the patron and/or obtain payment; a printed report of names of those persons who have not made full restitution promptly, or who have had two or more checks returned through their own fault or negligence) Accounts Receivable Ledger, detailed by patron; COD Sales Ledger;

Authority for maintenance of the system:

5 USC 301 and 10 USC 5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The bad check system is used to record receipt of bad checks from patrons; to monitor and avoid undue losses because of continued passing of bad checks. This system also contains information regarding the correspondence issued in an effort to recover losses. A bad check list is locally and centrally. This information is issued to all cashiers, exchange and commissary officers. The Accounts Receivable ledgers are used to properly record credit sales and the payment of these accounts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: magnetic tape; printed reports; file folders; file cards;

Retrievability:

Name and social security number

Safeguards:

Locked file cabinets; supervised office spaces; supervised computer tape library which is accessable only through the computer center (entry to the computer center is controlled by a combination lock known by authorized personnel only).

Retention and disposal:

Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, chapters 4 and 5 and/or the Navy Exchange Manual.

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232
Record Holder
Director, Controller Division (FM)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

Notification procedure:

Written contact may be made by addressing inquiries to:
Director, Controller Division (FM)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

In the initial inquiry the requester must provide full name, social security number, activity where they had their dealings. A list of other offices the requester may visit will be provided after initial contact is made at the office listed above. At the time of a personal visit, requesters must provide the following proof of identity: Name, date of birth, place of birth, father's first name, mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The individual; the bank involved and the activity sales records.

Systems exempted from certain provisions of the act:

None

N00250 FIDELITY BOND

System name:

Commercial Fidelity Bond Insurance Records

System location:

Commanding Officer, Navy Resale System Office, 3rd Ave. & 29th St. Brooklyn, NY 11232 (for all Navy Exchanges).

Categories of individuals covered by the system:

Civilian and military personnel assigned to Navy exchanges, who the duly constituted authority (usually a Board of Investigation appointed by the base Commanding Officer) has established to be guilty of a dishonest act which has resulted in a loss of money, securities or

other property, real or personal, for which the exchange is legally liable.

Categories of records in the system:

Equipment Loss Reports, Cash and/or Merchandise Loss Reports from Navy exchanges, including correspondence relating to losses.

Authority for maintenance of the system:

5USC 301 and 10 USC 5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide information, as required, to the insurance carrier (Fidelity Bond Underwriter) for appropriate coverage, as well as to render appropriate assistance in processing insurance claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained varies but includes file folders and ledgers.

Retrievability:

Name, payroll number, service number, activity.

Safeguards:

Locked file cabinets; locked offices which when open are supervised by appropriate personnel; security guards.

Retention and disposal:

Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, chapters 4 and 5 and/or the Navy Exchange Manual.

System manager(s) and address:

Commanding Officer, Navy Resale System Office, 3rd Ave. and 29th St., Brooklyn, NY 11232

Notification procedure:

Written contact may be made by addressing inquiries to:
Director, Controller Division (FM)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

In the initial inquiry the requestor must provide full name, payroll or military service number and activity where they had their dealings. A list of other offices the requestor may visit will be provided after initial contact is made at the office listed above. At the time of a personal visit, requestors must provide the following proof of identity: Name, date of birth, place of birth, father's first name, mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The individual; the insurance underwriter; audit reports; investigatory reports and/or activity loss records.

Systems exempted from certain provisions of the act:

None

N00250 IR-PERS-RECORD

System name:

Industrial Relations Personnel Records

System location:

Commanding Officer, Navy Resale System Office, 3rd Avenue and 29th Street, Brooklyn, NY 11232 (for all Navy Exchanges) Commissary Stores operations as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Civilian Employees, former civilian employees and applicants for employment with the Navy Resale System Office and Navy exchanges located worldwide.

Categories of records in the system:

Personnel jackets (including: Personnel Information Questionnaire; Personnel Action; Certificate of Medical Examination; Indoctrination Checklist; Designation of beneficiary; death benefit; completed leave records; report of accident; cash register overage/shortage records; notice of excessive absence and tardiness, and warnings; report of hearings and recommendations relative to employee grievances; report of all disciplinary action; Certified record of court attendance; Certified copy of completed military orders for any annual duty tours with recognized reserve organizations; Employee job description; Examination papers and tests, if any; Evidence of date of birth, where required; Security Investigation Data, where required; Official work performance rating; Official letters of recommendations; Designation of Beneficiary for Unpaid Compensation; Reference check records; applicant files; tuition assistance records; grievance/appeal records; employee profiles; personnel security information (including: National Agency Checks and Naval Investigative Service reports); Travel requests, travel allowance and claims record; Transportation Agreements; employee affidavit; Priviledge Card Application and listing;

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Retention of forms necessary to properly record the employment history of each employee, reflecting performance of employees which may be used by selecting officials in choosing employees for promotion or transfer; for verification of employment; to provide a record of travel performed and verification that the employee received proper remuneration for the travel performeded; to insure employees receive timely consideration in the processing of work appraisals and salary increases;

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: file folders; magnetic tapes; punch cards; rolodex files; cardex files; ledgers; and printed reports.

Retrievability:

Name and/or social security number; employee job number; employee payroll number.

Safeguards:

Locked file cabinets; safes; locked offices which are supervised by appropriate personnel, when open; supervised computer tape library which is accessible only through the Computer Center (entry to computer center is controlled by a combination lock known by authorized personnel only); security guards.

Retention and disposal:

Current employee records remain on file at the appropriate personnel offices; records on former employees are retained for one year and then forwarded to the Federal Records Center, St. Louis, Mo. for retention of permanent papers and destruction of temporary papers, applicant files are retained for one year, except that applications from those over 40 years old are retained for two years. Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, Chapters 4 and 5.' and for the Navy Exchange Manual.

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232
Record Holder
Manager, Recruitment and Employment (R3)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

Individual record holders within the central system may be contacted through the central system record holder.

Notification procedure:

Written contact may be made by addressing inquiries to:
Manager, Recruitment and Employment (IR3)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

In initial inquiry, the requester must provide full name, social security number, activity where last employed or where last application for employment was filed. A list of other offices the requester may visit will be provided after initial contact is made at the office listed above. At the time of a personal visit, requester must provide the following proof of identity: Name, date of birth, place of birth, father's first name and mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The employee; former employers; educational institutions; supervisors of employees; applicants; applicants previous employers; Naval Investigative Service; Federal Bureau of Investigation.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00250 LAYAWAYS

System name:

Layaway Sales Records

System location:

Commanding Officer, Navy Resale System Office, 3rd Avenue and 29th Street, Brooklyn, NY 11232 (for all Navy exchanges)

Categories of individuals covered by the system:

Patrons of Navy exchanges who buy goods on a layaway

Categories of records in the system:

Layaway Tickets and layaway patron lists

Authority for maintenance of the system:

5USC301 and 10USC5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To record the selection of layaway merchandise, record payments, verify merchandise pick-up and perform sales audit.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: Layaway tickets and layaway patron lists

Retrievability:

Name, address, service number or exchange permit number

Safeguards:

Locked file cabinets, supervised records space

Retention and disposal:

Destroyed after two years per Navy Exchange Manual

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232
Record Holder
Director, Controller Division (FM)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

Individual record holders within the central system may be contacted through the central system record holder.

Notification procedure:

Written contact may be made by addressing inquiries to:
Director, Controller Division (FM)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

In the initial inquiry, the requester must provide full name, social security number, activity where layaway sales were transacted. A list of other offices the requester may visit will be provided after initial contact at the office listed above. All the time of a personal visit, requesters must provide the following proof of identity: Name, date of birth, place of birth, father's first name, mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The individual

Systems exempted from certain provisions of the act:

None

N00250 MILITARY-MISYS

System name:

Resale System Military Management Information System

System location:

Commanding Officer Navy Resale System Office 3rd Avenue and 29th Street Brooklyn, NY 11232

Categories of individuals covered by the system:

Present and past military officer and key enlisted personnel assigned to the Navy Resale System.

Categories of records in the system:

Management Information System (including: Name; rank or rate; social security number; designation date of rank; date reported; rotation date; educational level; lineal number; dependency status) Card file on officers assigned (including: dates in Navy Resale System; promotion status; location of assignments) Correspondence folder with Officer and senior enlisted personnel (containing: preference of assignment; biographical information; and orders)

Authority for maintenance of the system:

5USC301 and 10USC5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To determine recommended replacements for Key Military personnel; to recommend actions to the Officer, Personnel Division, Navy Systems Command; to keep a record of orders and pertinent correspondence with individual personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: Magnetic tape; printed reports; card files and file folders.

Retrievability:

Name; service number; social security number

Safeguards:

Locked file cabinets; locked archives; supervised office spaces and supervised computer tape library which is accessable only through the computer center (entry to computer center is controlled by a combination lock known by authorized personnel only).

Retention and disposal:

Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II Chapters 4 and 5 and/or the Navy Exchange Manual.

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232
Record Holder
Director, Military Personnel (MP)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

Notification procedure:

Written contact may be made by addressing inquiries to:
Director, Military Personnel (MP)
Navy Resale System Office
3rd Avenue and 29th Street
Brooklyn, NY 11232

In the initial inquiry, the requester must provide full name, social security number or service number. At the time of a personal visit, the requester must provide the following proof of identity: Name; date of birth; place of birth; father's full name and mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contestng contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

U.S. Navy Manpower Information System; the Bureau of Personnel Navy); the individual; the individual's superior officer.

Systems exempted from certain provisions of the act:

None

N00250 PAY&BENEFITS

System name:

Payroll and Employee Benefits Records

System location:

Commanding Officer, Navy Resale System Office, 3rd Ave. and 29th St., Brooklyn, NY 11232 (for all Navy Exchanges) Commissory Store Operations as listed in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Civilian employees and former civilian employees with the Navy Resale System Office and Navy exchanges located world-wide. (payroll and benefits information) Civilian employees and former civilian employees of Coast Guard exchanges, clubs and messes and US Navy civilian employees and former civilian employees of Special Services and BUPERS clubs and messes. (Benefits information only).

Categories of records in the system:

Distribution reports; tax reports; leave accrual reports; earnings records cards, payroll registers; insurance records and reports regarding property damage, personal injury or death, group life, disability, medical and retirement plan; payroll savings authorization; record of payroll savings; overtime authorization; Treasury Department tax withholding exemption certificate.

Authority for maintenance of the system:

5 USC 301 and 10 USC 5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To calculate pay; prepare checks for distribution; prepare deduction registers; leave records; to submit federal and state tax reports; to record contributions to benefit plans; to process all insurance claims; to provide information as required to the insurance carriers and U.S. Department of Labor, Bureau of Employees Compensation; to calculate retirement benefits upon request of employees;

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: Magnetic tape files; card files; file folders; ledgers; and printed reports.

Retrievability:

Name and/or social security number; employee job number; employee payroll number.

Safeguards:

Locked file cabinets; safes; locked offices which are supervised by appropriate personnel, when open; security guards; supervised computer tape library which is accessable only through the computer center (entry to computer center is controlled by a combination lock known by authorized personnel only).

Retention and disposal:

Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, Chapters 4 and 5.' and/or the Navy Exchange Manual.

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232
Record Holder
Manager, Recruitment and Employment
Navy Resale System Office
3rd Ave and 29th St
Brooklyn, NY 11232

Individual record holders within the central system may be contacted through the central system record holder.

Notification procedure:

Written contact may be made by addressing inquiries to:
Manager, Recruitment and Employment (IR3)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

In the initial inquiry the requester must provide full name, social security number, activity where last employed. A list of other offices the requester may visit will be provided after initial contact is made at the office listed above. At the time of a personal visit, requesters must provide the following proof of identity: Name, date of birth, place of birth, father's first name and mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The employee of former employee; payroll department; the employee's supervisor and the employee's physician or insurance carrier's physician.

Systems exempted from certain provisions of the act:

NONE

N00250NAVLODGE RECORD

System name:

Navy Lodge Records

System location:

Commanding Officer, Navy Resale System Office, 3rd Ave. and 29th St., Brooklyn, NY 11232 (for all Navy Exchanges)

Categories of individuals covered by the system:

Patrons and guests authorized lodging at a Navy exchange Navy Lodge.

Categories of records in the system:

Reservation Request; Guest Registration Card; Navy Lodge Guest Folio; Equipment Rental Lists

Authority for maintenance of the system:

5 USC 301 and 10 USC 5031

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

A record of reservations to insure orderly room assignment and avoid improper booking; record registration and payment of account; verify proper usage by eligible patrons; cash control; gathering of occupancy data; determine occupancy breakdown; rental and furnishings accountability.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The media in which these records are maintained vary, but include: folio card; ledger; Guest Registration Cards; and local copies and reports of central system reports.

Retrievability:

Name; service number; social security number

Safeguards:

Supervised offices; locked files

Retention and disposal:

Navy exchange records retention standards are contained in the 'Disposal of Navy and Marine Corps Records, Part II, chapters 4 and 5 and the Navy Exchange Manual. Local reservation request forms are destroyed 1 month after the actual date of check-in.

System manager(s) and address:

Policy Official
Commanding Officer
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232
Record Holder
Manager, Personalized Services (SM6)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

Individual record holders within the central system may be contacted through the central system record holder.

Notification procedure:

Written contact may be made by addressing inquiries to:
Manager, Personalized Services (SM6)
Navy Resale System Office
3rd Ave. and 29th St.
Brooklyn, NY 11232

In the initial inquiry the requester must provide full name, social security number, service number and location of the last Navy Lodge where they had dealings. A list of other offices the requester may visit will be provided after initial contact is made with the office listed above. At the time of a personal visit, requesters must provide the following proof of identity: Name; date of birth; place of birth; father's first name and mother's maiden name.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

The individual patron and the charges he or she incurred during a visit at the Navy Lodge.

Systems exempted from certain provisions of the act:

None

N00251 007

System name:

Legal Office Litigation/Correspondence Files

System location:

Commander, Puget Sound Naval Shipyard, Bremerton, WA 98314

Categories of individuals covered by the system:

Criminal and civil plaintiffs/defendants involved in litigation against or involving Puget Sound Naval Shipyard

Categories of records in the system:

Statements, affidavits, correspondence, briefs, petitions, court records involving litigation and related matters

Authority for maintenance of the system:

Title 28, USC; Executive Order 10561; 5 USC 301; 10 USC 801-940

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Preparation of correspondence, litigation material

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets

Retrievability:

Case citation, name of individual

Safeguards:

Locked in executive spaces

Retention and disposal:

Most are retained permanently, others disposed of in accordance with Defense Disposal Manual

System manager(s) and address:

Commander, Puget Sound Naval Shipyard, Bremerton, WA 98314, or Legal Officer (Code 107), Puget Sound Naval Shipyard

Notification procedure:

Direct inquiry to SYSMANAGER, providing name, rank/rate/shop or badge number and social security number

Record access procedures:

The agency's rules for access to records may be obtained from the system manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager

Record source categories:

Court records, personal interviews and statements, departmental records, State and Federal records, police reports and complaints, general correspondence

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N00251 080

System name:

Puget Sound Naval Shipyard, Navy Exchange Tobacco Sales

System location:

Commander, Puget Sound Naval Shipyard, Bremerton, WA 98314

Categories of individuals covered by the system:

Authorized patrons of facility

Categories of records in the system:

Purchaser's name, serial number, duty station or home address, date, item and quantity of purchase

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Review for possibility of resale

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Batch files by date

Retrievability:

Name

Safeguards:

File cabinet in locked office

Retention and disposal:

4 Months - disposed through commercial disposal facilities

System manager(s) and address:

Commander, Puget Sound Naval Shipyard, Bremerton, WA 98314 and Navy Exchange Officer

Notification procedure:

Direct inquiry to SYSMANAGER, providing name and approximate date of purchase

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Information provided by the individual.

Systems exempted from certain provisions of the act:

None

N00344 BP 714003

System name:

Youth Activities Association Membership Record

System location:

Commanding Officer Naval Air Station FPO San Francisco, CA 96611

Categories of individuals covered by the system:

All eligible applicants for membership in non-appropriated fund recreational activities for youths

Categories of records in the system:

Membership cards (5 in. x 7 in.) recording personal data provided by individual applicants

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information used exclusively by Military Services Department to record membership status in th youth association, to verify the youth's eligibility for participation in youth activities, to identify and aid in the location of a youth's sponsor in the event of emergencies, and to verify sponsor's agreement to provide volunteer assistance in furtherance of youth activities

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card file

Retrievability:

By sponsor's name

Safeguards:

Card file is in Military Services Office, marked for official use only, office is locked after normal working hours

Retention and disposal:

Kept until membership status terminates and then destroyed

System manager(s) and address:

Military Services Officer Naval Air Station FPO San Francisco, CA 96611

Notification procedure:

Individual inquiries to be made in person at SYSMANAGER address above. Requstor to provide full name and military status; proof of identity to be made by presentation of military identification card or valid driver's license.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Individual applicants provide all information

Systems exempted from certain provisions of the act:

None

N00600-1NAVTIS

System name:

Navscols/Tis, USMC Aviation Training Supsys

System location:

Schools and other training activities or similar organizational elements of the Department of the Navy and Marine Corps as listed in the directory of Department of Navy activities.

Categories of individuals covered by the system:

Records of present, former, and prospective students at Navy and Marine Corps schools and other training activities or associated educational institution of Navy sponsored programs; instructors, staff and support personnel; participants associated with activities of the Naval Education and Training Command, including the Navy Campus for Achievement and other training programs; tutorial and tutorial volunteer programs; dependents' schooling.

Categories of records in the system:

Schools and personnel training programs administration and evaluation records. Such records as basic identification records i.e., social security number, name, sex, date of birth, personnel records i.e., rank/rate/grade, branch of service, billet, expiration of active obligated service, professional records i.e., Navy enlisted classification, military occupational specialty for Marines, subspecialty codes, test scores, basic test battery scores, and Navy advancement test scores. Educational records i.e., education levels, service and civilian schools attended, degrees, majors, personnel assignment data, course achievement data, class grades, class standing, and attrition categories. Academic/training records, manual and mechanized, and other records of educational and professional accomplishment.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Schools and training programs administration and evaluation. Student performance, progression and prediction; instructors performance; organizational and administrative control. Internal Navy users are Chief of Naval Personnel, Naval Education and Training Command Activities Staff Personnel and the Commandant of the Marine Corps and his designated officials in the performance of their duties relating to aviation training/assignments. Type commanders; Health/Science Education Training Center; Cheif, Bureau of Medicine and Surgery; Commander Naval Recruiting Command, and to other Department of the Navy officials in the performance of personnel training functions. Information may be used to determine course and training demands, requirement, and achievements; analyze student groups or courses; provide academic and performance evaluation in response to official inquiries; guidance and counseling of students; preparation of required reports, and for other training administration and planning purposes. Internal users are staff and faculty. Information is provided to officials of the Department of Defense on 'need-to-know' basis in the performance of their official duties; and for reporting to other government agencies, such as HEW. It may be provided to such civilian contractors and their employees as are or may be operating in accordance with an approved official contract with the U.S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in microform or in file folders, card files, file drawers, cabinets, or other filing equipment. Automated records may be stored on magnetic tape, discs, punched cards, etc.

Retrievability:

Social security number and name

Safeguards:

Access is provided on a 'need-to-know' basis and to authorized personnel only. Records are maintained in controlled access rooms or areas. Data is limited to personnel training associated information. Computer terminal access is controlled by terminal identification and the password or similar system. Terminal identification is positive and maintained by control points. Physical access to terminals is restricted to specifically authorized individuals. Password authorization, assignment and monitoring are the responsibility of the functional managers. Information provided via batch processing is of a predetermined and rigidly formatted nature. Output is controlled by the functional managers who also control the distribution of output.

Retention and disposal:

Records disposal manual.

System manager(s) and address:

The commanding officer of the activity in question. See the directory of Navy and Marine Corps activities mailing addresses.

Notification procedure:

Apply to system manager. Requestor should provide his full name, social security number, military or civilian duty status, if applicable, and other data when appropriate, such as graduation date. Visitors should present drivers license, military or Navy civilian employment identification card, or other similar identification.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Individuals, schools and educational institutions, Chief of Naval Personnel, staff of Naval Education and Training Command and other activities and the Commandant of the Marine corps; instructor personnel; and commander, Naval Recruiting Command.

Systems exempted from certain provisions of the act:

None

N0529A NAVJAG 5813-1

System name:

Court-Martial Case Report

System location:

Chief, Navy-Marine Corps Trial Judiciary, Washington Navy Yard, Washington, D.C. 20374

Categories of individuals covered by the system:

All individuals having appeared before a special or general court-martial within the preceding two fiscal years.

Categories of records in the system:

The recording of the Article violation of the UCMJ, the plea, the finding, the sentence and other related information concerning the trial.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to formulate status reports provided to JAG when directed by him to do so.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Stored in file folders by circuit and fiscal year

Retrievability:

By name or case number

Safeguards:

Personnel screening, visitor control

Retention and disposal:

Two fiscal years. They are not moved to Record Centers but are disposed of after two fiscal years in the same manner as all other unclassified material, i.e., general destruction.

System manager(s) and address:

Circuit Military Judge
ATLANTIC Judicial Circuit
Navy-Marine Corps Trial Judiciary
Washington Navy Yard
Washington, D.C. 20374

Notification procedure:

Write to address listed under SYSMANAGER. Provide full name, branch of service, military status, where stationed when tried, and when tried

Record access procedures:

The agency's rules for access to records may be obtained from the system manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager

Record source categories:

Military Judge of respective individual's court-martial

Systems exempted from certain provisions of the act:

NONE

N09191 POW DEBRIEFS

System name:

Summary debriefs of former Prisoners of War.

System location:

Fleet Aviation Specialized Operational Training Group, Pacific Fleet, Naval Air Station, North Island, San Diego, California 92135

Categories of individuals covered by the system:

Former Prisoners of War in Southeast Asia.

Categories of records in the system:

Synopsis of captivity experiences as summarized by debriefers.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Background information on captivity experiences, resistance techniques, and survival aspects including indoctrination, interrogation, PW organization, communications, medical/isolation conditions and facilities for use in training program. Users are school instructors/managers.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Name.

Safeguards:

Need to know certification, locked room, limited access building with visitor control, GSA Approved Security Container.

Retention and disposal:

Held indefinitely in support of training.

System manager(s) and address:

Commander, Naval Intelligence Command, Naval Intelligence Command Headquarters, 2461 Eisenhower Avenue, Alexandria, Virginia 22331.

Notification procedure:

Commanding Officer of military personnel submit visit request (OPNAV Form 5521-27) to Commanding Officer, Fleet Aviation Specialized Operational Training Group, Pacific Fleet, Naval Air Station, North Island, San Diego, California 92135. Civilian personnel submit request to System Manager.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the System Manager.

Record source categories:

Debriefing sessions with individual concerned.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N09520 CMIS

System name:

Court-Martial Index and Summary

System location:

Commander Light Attack Wing, U. S. Pacific Fleet, Naval Air Station, Lemoore, California 93245

Categories of individuals covered by the system:

Every accused tried by court-martial convened by a subordinate command

Categories of records in the system:

A card which summarizes the pertinent information from a record of trial such as name, rate, charges, pleas, findings, sentence, convening and supervisory authorities actions.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Summarise records of trial for reviewing officers and provide an alphabetical index for locating filed records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

5' X 7' index cards

Retrievability:

Name

Safeguards:

Maintained in manned room which is locked during non-working hours.

Retention and disposal:

Maintained for five years. Destroyed by burning.

System manager(s) and address:

Staff Judge Advocate, Commander Light Attack Wing, U. S. Pacific Fleet, Naval Air Station, Lemoore, California 93245

Notification procedure:

Information can be obtained by writing SYSMANAGER or visiting his office and providing full name, Social Security Account Number and year of court-martial. Military ID card or driver's license will be sufficient for visitors.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Record

Systems exempted from certain provisions of the act:

None

N30460(STUDENT)

System name:

Legal Diary

System location:

Naval Air Technical Training Center, Lakehurst, New Jersey 08733

Categories of individuals covered by the system:

The Legal Diary contains chronological summaries of events/dispositions of individuals, both staff and student, which cause other than routine actions to be taken by the Legal Division of the Administrative Department, Naval Air Technical Training Center, Lakehurst, New Jersey.

Categories of records in the system:

The Legal Diary is composed of 8 1/2' X 11 1/2' pages on which the following information is recorded: rate, name of individual, branch of service, social security number, and summarized chain of events and dispositions in the case of the individual related to discipline and/or legal assistance.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Legal Diary is utilized to document legal actions, current and past, and aids in briefing the Commanding Officer, NATTCL with a view toward proper disposition of current cases. Past (closed) cases retained on file are utilized for providing precedence for current cases, and answering higher authority with regard to inquiry of past cases handled.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders

Retrievability:

Chronological

Safeguards:

Locked room

Retention and disposal:

Two years

System manager(s) and address:

Legal Assistance Referral Officer, NATTCL

Notification procedure:

Apply to System Manager.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Police Department/Court records, military security records, credit organizations, service record entries, military/civilian hospitals.

Systems exempted from certain provisions of the act:

None

N30571 STAEMP/FININ

System name:

Statements of Employment and Financial Interest

System location:

Organizational elements of the Department of the Navy as listed in the directory of Department of the Navy activities.

Categories of individuals covered by the system:

Persons filing DD 1555 or DD 1555-1

Categories of records in the system:

DD 1555 or DD 1555-1 and supplemental lists or reports.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations and E.O. 11222.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For supervisors and counselors to determine whether the employee has or may have a conflict of interest. For law enforcement and investigatory agencies, such as the Naval Investigative Service, Federal Bureau of Investigation, and Department of Justice, to handle violations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and card files.

Retrievability:

Name.

Safeguards:

Safe or locked file cabinet accessible to authorized personnel only.

Retention and disposal:

Per SECNAV Records Disposal Manual.

System manager(s) and address:

Commanding Officer or head of the organization in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned, his supervisor, and the counselor.

Systems exempted from certain provisions of the act:

None

N30640 NATTCL 1080/1

System name:

Students Awaiting Legal, Medical Action Account

System location:

Naval Air Technical Training Center, Lakehurst, New Jersey 08733

Categories of individuals covered by the system:

a. The student locator card file contains specific data on all student personnel assigned to NATTCL, whether or not they successfully completed training. A dead file is maintained after the student is transferred.

b. The 'Others' File is a list of all students on board that are not enrolled in class. Categories include: disciplinary, medical, and administrative (awaiting orders, port calls, passports, humanitarian requests, administrative discharge).

Categories of records in the system:

a. The student locator card file is composed of 4' X 6' cards on which the following is recorded: Name, previous command, rate, branch of service, date of transfer, new duty station and command, estimated date of arrival, standard transfer order number, and rate upon departure.

b. The following information is included on students listed in the 'Others' file: date of hold, type of hold, estimated period of hold, work assignment, parent command notification, date re-enrolled, availability submission (used to notify Chief of Naval Personnel of member's availability for transfer), date orders or discharge authorization received, date transferred, and remarks.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

a. The file is used routinely to verify date of departure; to determine, in conjunction with the next duty station, if member is an unauthorized absentee; to verify attendance and/or completion of training; to answer requests by parents who do not know the school or class which member is attending; for forwarding official correspondence.

b. This file is utilized to maintain accountability of all students not enrolled in class to ensure the appropriate administrative actions are completed in a timely manner ensuring minimum delay in the training pipeline. The file is utilized daily by the Student Control Office and is routed periodically to the Commanding Officer via the Personnel Officer, Administrative Officer, and Executive Officer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

a. Index card drawer
b. File Folders

Retrievability:

a. Name
b. Name, Rate, Social Security Number

Safeguards:

a. Locked room
b. Maintained in locked room - accessibility is limited to the Student Control Office personnel, Personnel Officer, Administrative Officer, Legal Officer, Executive Officer, and Commanding Officer.

Retention and disposal:

a. Two years
b. Two years

System manager(s) and address:

a. Personnel Office Supervisor

V 44 DE 17 79 UMI

b. Personnel Office Supervisor

Notification procedure:

a. The file is available to members upon proper identification.
b. The file does not contain information beneficial to the individual; however, with proper identification any student can review the form pertaining to himself. This may be accomplished by presentation of military I.D. Card to a responsible petty officer in the Student Control Office.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

a. Official documents such as orders, assignment directives, and service records.
b. Sources of information are: NATTCL Schools, Medical Authorities, Legal Officer, Transfer Section of Personnel Office, Drug Exemption Officer, NATTCL Duty Office.

Systems exempted from certain provisions of the act:

None

N31698.WHSP

System name:

White House Support Program

System location:

White House Liaison Office, Office of the Secretary of the Navy, Department of the Navy, Washington, DC 20350.

Categories of individuals covered by the system:

All Navy and Marine Corps military and civilian personnel and contractor employees who have been nominated by their employing activities for assignment to Presidential support duties.

Categories of records in the system:

Personnel records, correspondence, and other documents and records in both automated and nonautomated form concerning classification, security clearances, assignment, training, and other qualifications relating to suitability for Presidential support duties.

Authority for maintenance of the system:

5 U.S.C. 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy, other components of the Department of Defense, and Executive Office of the President in the performance of their official duties related to personnel administration and the evaluation and nomination of individuals for assignment to Presidential support duties; officials and employees of other federal agencies and offices, upon request, in the performance of their official duties related to the provision of Presidential support and protection; the Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. General use and purpose: To insure that only those individuals most suitably qualified are assigned to duty in Presidential support activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records may be stored on magnetic tapes, disc drums, and on punched cards. Manual records may be stored in file folders, or microform.

Retrievability:

Manual Records: By name if individual has been nominated and not yet approved. By OSD approval date if individual has been approved, and by employing activity removal date if an individual is removed from assignment for cause. Automated records may be retrieved by name, social security number, and control number.

Safeguards:

Records are afforded appropriate protection at all times, stored in locked rooms and locked file cabinets, and are accessible only to authorized personnel who have a definite need to know and who are properly screened, cleared, and trained.

Retention and disposal:

Records are retained or disposed of in accordance with SECNAVINST P5212.5B, subj: Disposal of Navy and Marine Corps records.

System manager(s) and address:

Administrative Aide to the Secretary of the Navy, Navy Department, Washington, D.C. 20350

Notification procedure:

Requests from individuals by correspondence should be addressed to the Office of the Administrative Aide to the Secretary of the Navy, Navy Department, Washington, D.C. 20350. Visits are limited to the Office of the Administrative Aide to the Secretary of the Navy. Written requests should contain the full name of the individual and his social security number. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, etc.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Officials and employees of the Department of the Navy and other Department of Defense components; federal, state, and local court documents; civilian and military investigative reports; general correspondence concerning the individual; and federal and state agency records.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552a (k)(1), (2), (3) and (5), as applicable. For additional information, contact the System Manager.

N31708NC&PB

System name:

Naval Clemency and Parole Board files

System location:

Naval Clemency and Parole Board, Room 729, Ballston Tower 2, 801 North Randolph Street, Arlington, Va. 22203

Categories of individuals covered by the system:

Members or former members of the Navy or Marine Corps whose cases have been or are being considered by the Naval Clemency and Parole Board.

Categories of records in the system:

The file contains individual applications for clemency or parole, reports and recommendations thereon indicating progress in confinement or while awaiting completion of appellate review if not confined, or on parole; correspondence between the individual or his counsel and the Naval Clemency and Parole Board or other Navy offices; other correspondence concerning the case; the court-martial order and staff Judge Advocate's review; and a summarized record of the proceedings of the Board.

Authority for maintenance of the system:

10 U.S.C. 874(a), 952-954

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used in conjunction with periodic review of the member's or former member's case to determine whether or not clemency or parole is warranted. The file is referred to in answering inquiries from the member or former member or their counsels. The file is referred to by the Navy Discharge Review Board and the Board for Correction of Naval Records in conjunction with their subsequent review of applications from members or former members. The file is also used by counsel in connection with representation of members or former members before the Naval Clemency and Parole Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Folders are filed by name and social security number or service number.

Safeguards:

Files are kept within the Naval Clemency and Parole Board administrative office. Access during business hours is controlled by Board personnel. The office is locked at the close of business; the building in which the office is located employs security guards.

Retention and disposal:

Files are permanent. They are retained in the Naval Clemency and Parole Board's administrative office until all portions of the sentence have been completed and the discharge has been executed. After that the folders are sent to Washington National Records Center, 4025 Suitland Road, Suitland, MD. 20023

System manager(s) and address:

Director, Navy Council of Personnel Boards, Department of the Navy, 801 North Randolph Street, Arlington, Va. 22203

Notification procedure:

Information may be obtained from the Naval Clemency and Parole Board, Room 905, 801 North Randolph Street, Arlington Va. 22203, Telephone 202/692-4592

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information contained in the file is obtained from the member or former member or from those acting in their behalf, from confinement facilities, from military commands and offices, from personnel service records and medical records, and from civilian law enforcement agencies or individuals.

Systems exempted from certain provisions of the act:

Portions of this system may be exempt under 5 U.S.C. 552a(j) or (k), as applicable. For additional information contact the system manager.

N31708NDRB

System name:

Navy Discharge Review Board Proceedings.

System location:

Navy Discharge Review Board, Room 910, Ballston Tower 2, 801 North Randolph Street, Arlington, Va. 22203

Categories of individuals covered by the system:

Former Navy and Marine Corps personnel who have submitted applications for review of discharge or dismissal pursuant to 10 USC 1553, or whose discharge or dismissal has been or is being reviewed by the Navy Discharge Review Board, on its own motion, or pursuant to an application by a deceased former member's next of kin.

Categories of records in the system:

The file contains the former member's application for review of discharge or separation, any supporting documents submitted therewith, copies of correspondence between the former member or his counsel and the Navy Discharge Review Board and other correspondence concerning the case, and a summarized record of proceedings before the Board.

Authority for maintenance of the system:

10 USC 1553

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used in conjunction with the consideration of the former member's application for review of discharge or dismissal and any subsequent application by the member. The file is referred to in answering inquiries from the former member or counsel regarding the action taken in the former member's case. The file is referred to by the Board for Correction of Naval Records in conjunction with its review of any subsequent application by the former member for a correction of records relative to the former member's discharge or dismissal. The file is used by counsel for the former member, and by accredited representatives of veterans' organizations recognized by the Administrator of Veterans' Affairs under 38 U.S.C. 3402 and duly designated by the former member as his or her representative before the Navy Discharge Review Board.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; plastic recording disks and recording cassettes.

Retrievability:

The records are filed by name, by social security number, and by service number.

Safeguards:

Files are kept within the Navy Discharge Review Board's administrative office. Access during business hours is controlled by Board personnel. The office is locked at the close of business; the building in which the office is located employs security guards.

Retention and disposal:

Files are permanent. They are retained in the Navy Discharge Review Board's administrative office for two years. After that time, they are sent to the Federal Records Center, Suitland, Maryland

System manager(s) and address:

Director, Navy Council of Personnel Boards, Department of the Navy, 801 North Randolph Street, Arlington, Va. 22203

Notification procedure:

Information may be obtained from The Navy Discharge Review Board, Room 905, 801 North Randolph Street, Arlington, Va. 22203. Telephone 202/692-4991

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information contained in the files is obtained from the former member or those acting on the former member's behalf, from military personnel and medical records, and from records of law enforcement investigations.

Systems exempted from certain provisions of the act:

NONE

N57043 NAVMAR4065

System name:

Commissary Control Program

System location:

Commander in Chief Pacific Representative, Guam and the Trust Territory of the Pacific Islands, FPO San Francisco 96630

Categories of individuals covered by the system:

All authorized commissary patrons on Guam

Categories of records in the system:

Automated master tape, purchase amounts, abuser notification letters

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Quarterly review by authorized personnel to identify potential abusers

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Master tape, punched cards, readout lists, file folders on purchase entries and abuser letters

Retrievability:

Social security account number

Safeguards:

Maintained in file cabinet in locked office spaces

Retention and disposal:

Names maintained on master tape and deleted three months after last purchase

System manager(s) and address:

Commander in Chief Pacific Representative, Guam and the Trust Territory of the Pacific Islands

Notification procedure:

Apply to the system manager.

Record access procedures:

The agency rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Individual to whom records pertain.

Systems exempted from certain provisions of the act:

None

N60258 002

System name:

Welfare and Recreation Ticket Selection Program

System location:

Commander, Long Beach Naval Shipyard, Long Beach, CA 90801

Categories of individuals covered by the system:

All On-Board Employees of the Command

Categories of records in the system:

Name, Shop, Badge, Date won, Signature

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To award tickets to employees on a random basis.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer print-outs

Retrievability:

By random sequence number indexed to Name, Shop and Badge No.

Safeguards:

Stored in a locked cabinet in the Industrial Relations Department

Retention and disposal:

Until every employee has been awarded tickets.

System manager(s) and address:

Commander, Long Beach Naval Shipyard, Long Beach, CA 90801

Notification procedure:

Direct inquiry to the SYSMANAGER, providing Shop, Badge and Name

Record access procedures:

The Agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Payroll Master File.

Systems exempted from certain provisions of the act:

None

N60530 1

System name:

BIBLIOGRAPHY

System location:

Naval Weapons Center; China Lake, Ca. 93555

Categories of individuals covered by the system:

Employees of the NWC who have authored local or open literature publications or who have been granted patents or a notice of allowability for a patent.

Categories of records in the system:

Publications and patents of activity employees with a summary of its content.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Primary use is as a technical reference document for scientific and engineering literature published by the Naval Weapons Center. Users are headquarters officers, other DOD laboratories in all three services, and private industry scientific research and development organizations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Official, bound publication

Retrievability:

Name of author or inventor, subject of publication or patent, or number of publication or patent.

Safeguards:

Document is kept in locked, secured area. Individuals allowed access based on showing of need to know and proper security clearance.

Retention and disposal:

Indefinitely.

System manager(s) and address:

Head, Informatin Department, Naval Weapons Center, China Lake, California 93555.

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by contacting the system manager or visiting that office. Activity security badge will constitute proof of identity.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

The authors listed and the departments in which they are employed.

Systems exempted from certain provisions of the act:

None

N61339 WA1144

System name:

Design of Training Systems Data Base - Instructor File

System location:

Commanding Officer Fleet Training Center Norfolk, VA 23511

Categories of individuals covered by the system:

The system contains records on each instructor assigned to the Fleet Training Center, Norfolk, Virginia.

Categories of records in the system:

The Instructor File contains the following information: Instructor Number, Name, Initials, Rate/Rating, Assigned Department, Reporting Date, Month/ Year Rotation Date, Contact Hours Available.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information contained in the instructor file is used in a Research and Development effort to determine the feasibility of the application of mathematical models at the Fleet Training Center, Norfolk, Virginia for the management and control of instructor resources. The internal users of this system are the Fleet Training Center, Norfolk, VA, and the Training Analysis and Evaluation Group, Orlando, Florida. The system was developed under contract by the International Business Machines Corporation, 7900 N. Astronaut Boulevard, Cape Canaveral, Florida.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Disc

Retrievability:

Instructor Number

Safeguards:

Sign-on procedures on computer terminal with guarded password to prevent unauthorized access.

Retention and disposal:

The instructor records are maintained to support a feasibility study under a research and development contract. The contract ends in September 1975 with maintenance of the files continued until 1976. If the results of the study prove the feasibility of the approach the system would be appropriately modified and become operational. Otherwise, the system records would be effectively destroyed. Records have been effectively maintained from February 1975.

System manager(s) and address:

Policy Official

Director
Training Analysis and Evaluation Group
Orlando, Florida 32813

Record Holder
Commanding Officer
Fleet Training Center
Norfolk, Virginia

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by writing the SYSMANAGER indicated, giving full name, instructor number, and service time attached to the Fleet Training Center, Norfolk, VA as an instructor. Personal visits to the SYSMANAGER require the same information.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officer Master File System, Enlisted Master File System, Navy Intergrated Training and Resources Administration System.

Systems exempted from certain provisions of the act:

None

N61581 LOGISTICS

System name:

Otsu Prision health and comfort items

System location:

Commander Fleet Activities, FPO Seattle 98762

Categories of individuals covered by the system:

Individuals who have been imprisoned under Japanese Law and Jurisdiction for various offenses.

Categories of records in the system:

Record of requests for, receipt of, and issues to of individuals imprisoned in Otsu Prison located in Yokosuka, Japan.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used for billing armed services, other than Navy and Marine Corps for items of health and comfort issued to their personnel imprisoned. Billing is prepared in accordance with existing interservice support agreements (ISSAS). Additionally, file used to answer complaints in instances where prisoners contend they are not supported properly.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

Alphabetically by surname. New individual files instituted with arrival of individual in prison. Previous files retrieved to semi-active for one year and thereafter destroyed without report.

Safeguards:

Files maintained in locked file cabinet in locked office.

Retention and disposal:

Destroyed without report after two years.

System manager(s) and address:

Commander Fleet Activities, FPO Seattle 98762

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER listed above and provide, as a minimum, the following information: rank/ rate, full name, branch of service, social security number. Files maintained in logistics within command and requestors may visit this office for review of their files during normal working hours. Proof of identification limited to Armed Forces Identification Cards or Passports.

Record access procedures:

The agency's rule for access to record may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Prison Officials.

Systems exempted from certain provisions of the act:

None.

N62585 RATION PERMITS

System name:

Ration Card, Luxury Permit Record Cards.

System location:

Commander, U.S. Naval Activities, United Kingdom, Box 60, FPO NY 09510

Categories of individuals covered by the system:

Officer, Enlisted and civilian component personnel

Categories of records in the system:

Ration Card/Luxury Permit holders are entered on a 5'X8' color coded cards, which are contained in boxes and maintained alphabetically. Ration Cards/Luxury Permit are registered in log, showing name of individual and number of Ration Card/Luxury Permit issued.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of the maintenance of records are (1) to establish strict control over persons entitled to acquire tax-free ration items; (2) to ensure entitled personnel do not obtain more than one ration card/luxury permit, and (3) for the purposes of inspection by officers of Her Majesty's Commissioners of Customs and Excise, United Kingdom, with whom Ration Card and Luxury Permits program was originally negotiated by the U.S. military authorities. Access to records is available to accredited members of the Naval Investigative Service Office upon request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All Ration Card/Luxury Permit records maintained on 5'X8' cards filed and listed in numerical order in logs.

Retrievability:

Name

Safeguards:

Records held in file cabinets in space maintained by Enlisted Personnel Office during working hours and locked after working hours.

Retention and disposal:

All records maintained for duration of tour of personnel concerned. Thereafter destroyed when ration card/luxury card destroyed.

System manager(s) and address:

Commander, U.S. Naval Activities, United Kingdom, Box 60, FPO NY 09510

Notification procedure:

Personnel presenting a valid military identification card or Department of Defense identification card at this office, can obtain viewing of all records pertaining to themselves. No procedures exist for providing this type of information by mail, nor is it normally required by individuals.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Not applicable

Systems exempted from certain provisions of the act:

NONE

N62585POV/GAS RECORDS

System name:

Privately-owned Tax-free Vehicle Record Cards. Tax-free Gasoline Record Cards.

System location:

Commander, U. S. Naval Activities, UK, FPO NEW YORK 09510

Categories of individuals covered by the system:

Officers, enlisted and civilian component personnel.

Categories of records in the system:

Privately-owned tax/free vehicles and owners are entered on typewritten 8' x 5' white cards, which are contained in boxes and maintained alphabetically. Gasoline coupon records are maintained on individually-completed green 8' x 5' cards (3AF fORM 43) AND FILED ALPHABETICALLY. i.d. windscreen stickers registered in log, showing name of individual and sticker number allocated.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purposes of the maintenance of records are (1) to establish strict control over persons entitled to acquire tax-free vehicles; (2) to ensure entitled personnel do not obtain gasoline coupons in excess of their entitlement, and (3) for purposes of inspection by officers of Her Majesty's Commissioners of Customs and Excise, United Kingdon, with whom the tax free vehicle and gasoline program was originally negotiated by the U. S. military authorities. Access to records is available to accredited members of the Naval Investigative Services Office upon request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

All vehicle and gasoline records maintained on 8' by 5' cards. I. D. Stickers listed numerically in register.

Retrievability:

Name.

Safeguards:

Records held in file cabinets in space maintained by Law Center personnel when unsecured and locked when not so monitored.

Retention and disposal:

All records maintained for duration of tour of personnel concerned. Thereafter destroyed when vehicle shipped out of the country or scrapped. Gas coupon records destroyed upon turn-in of unused coupons on departure of personnel.

System manager(s) and address:

Commander, U. S. Naval Activities, UK (Staff Judge Advocate)

Notification procedure:

Individuals presenting a valid military identification card or Department of Defense identification at the Office of the Staff Judge Advocate, U. S. Naval Activities, U. K., can obtain viewing of all records pertaining to themselves. No procedures exist for providing this type of information by mail, nor is it normally required by individuals.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Application by member.

Systems exempted from certain provisions of the act:

NONE

N62695-01

System name:

Naval Audit Personnel Development System

System location:

Naval Audit Service Headquarters, P.O. Box 1206, Falls Church, Virginia, 22041

Categories of individuals covered by the system:

All personnel employed by the Naval Audit Service.

Categories of records in the system:

Employee audit experience and historical career development data.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Audit task assignment and future career development; forecasting talent requirements.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape

Retrievability:

Name, SSN

Safeguards:

Computer System Software; code word access.

Retention and disposal:

Records retained until employee retires, is deceased, or leaves Audit Service for other employment; record is then destroyed.

System manager(s) and address:

Director, Naval Audit Service is overall policy official; Director, Education and Training Division has direct control; Naval Audit Service HQ, Falls Church, Va 22041

Notification procedure:

Apply to System Manager

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual concerned. Standard civilian personnel files.

Systems exempted from certain provisions of the act:

None

N62769 02

System name:

Individual Merchandise Control Record

System location: Merchandise Control Offices:

U. S.Naval Station, Subic Bay, RP
U. S.Naval Air Station, Cubi Point, RP
U. S.Naval Communications Station Philippines, San Miguel, RP

Categories of individuals covered by the system:

Individual records are maintained on each person issued a ration card for purchasing purposes at the various bases in the Philippines.

Categories of records in the system:

Purchases of individuals while attached for duty and authorized to buy items during their tenure in the Philippines.

Authority for maintenance of the system:

Military Bases Agreement and subsequent exchange of notes between the Governments of the United States of America and the Republic of the Philippines.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Monitoring the purchases of individuals to insure they are not over expending their purchase limitations or abusing their tax-free privileges afforded them, plus, identify any possible blackmarketeering.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Name

Safeguards:

Only authorized employees allowed access to files, locked cabinets.

Retention and disposal:

If no violations during tour - destroyed immediately upon detachment; if minor violations - destroyed after three months of detachment; if permanent revocation of privileges invoked - record kept indefinitely.

System manager(s) and address:

Merchandise Control Officers, U.S.Naval Station, Subic Bay; U.S.Naval Air Station, Cubi Point; U.S.Naval Communications Station Phil, San Miguel, RP.

Notification procedure:

Individual must fill out merchandise control information form upon requesting a ration card be issued. Info provided merchandise control officers. Requester must provide merchandise control officer with his name, rank/rate/GS rating, marital status, number of dependents, age of dependents, name of parent command attached to in the Philippines, social security number, name of dependents; individual can visit merchandise control office applicable to their command for record maintenance. Military ID card required.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Personal data of individual and dependents

Systems exempted from certain provisions of the act:

None

N6276903

System name:

International Legal Hold Files

System location:

U.S. Naval Legal Offices in a foreign country.

Categories of individuals covered by the system:

Military personnel, members of civilian component and their dependents who have had criminal charges lodged against them in a foreign country.

Categories of records in the system:

Case and card files containing copies of legal documents received and filed relative to the case, statements, affidavits, handwritten notes, and other miscellaneous data about the particular case.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by foreign civilian attorneys in representing the accused, by the military legal advisor of the accused and by supervisory personnel monitoring the legal hold status of personnel abroad. Information may be release to other officials in the Department of Defense for required reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and file cards.

Retrievability:

Files are retrieved by name.

Safeguards:

Only personnel in international law department are authorized access. Building is kept locked when not occupied.

Retention and disposal:

Per SECNAV Records Disposal Manual

System manager(s) and address:

Commanding Officer or head of the organization in question. See directory of Department of the Navy mailing addresses.

Notification procedure:

Requester can write to the system manager giving name, rate and service number. Military ID or any standard ID showing applicant's photo shall be sufficient for personal visits.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Foreign judicial system, accused, attorneys representing accused, military legal advisor, Provost Marshal's office, subject's commanding officer, witnesses, and the complainant.

Systems exempted from certain provisions of the act:

None

N62932 COMSYSTOSHOPRE

System name:

Commissary store monetary allowance records

System location:

Officer in Charge
Commissary Store Region, Taipei
Box 23 APO San Francisco 96263

Categories of individuals covered by the system:

Active and selected retired members of the armed forces and their dependents stationed in or visiting Taiwan. DOD or State Department sponsored civilians and their dependents working in or visiting Taiwan. Retired members of the armed forces and their dependents residing in Taiwan when specifically authorized by the governments of the Republic of China and the United States, as stipulated in the status of forces agreement.

Categories of records in the system:

Temporary monetary allowance card, permanent monetary allowance card, armed forces and dependents identification cards, commissary and Navy exchange privilege cards.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To monitor actual purchases by individual patrons and comparison with their monetary purchase limitations. On occasion and with proper request from the Headquarters Support Activity Provost Marshal Office or the Naval Investigative Service, reproduction of these records are made and turned over to the agents of the aforementioned agencies personally.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

8 x 10 cards

Retrievability:

Local commissary/navy exchange privilege card number

Safeguards:

During business hours a continous watch is posted on the files with a minimum number of military and local national employees authorized access. During non working hours the area is locked and sealed However, the desk drawer holding the files is an 'open top' type and does not have locking capability.

Retention and disposal

Six months after members detachment, cancellation, completion or expiration of privilege cards

System manager(s) and address:

Commander, U.S. Taiwan Defense Command, FPO San Francisco 96263

Notification procedure:

These monetary allowance cards contain the following information: name, total monthly purchase limitations, actual monthly purchases and commissary/ navy exchange privilege card numbers. They are handed to patrons upon presentation of proper credentials (e.g. identification card and commissary store/navy exchange privilege card). The patron surrenders his monetary allowance card to the cash register operator when shopping is completed and he is paying for purchases. The cash register operator then enters the total monetary amount of purchase made at that time.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Monetary allowance cards are issued by the Area Coordinating Officer, Taipei (Commanding Officer, Headquarters Support Activity, Republic of China, Box 25 APO San Francisco 96263)

Systems exempted from certain provisions of the act:

None

N63110 ATJ

System name:

Aviation Training Jacket

System location:

The Aviation Training Jacket accompanies the individual student to each Naval Air Command as he progresses in the training program. Upon completion or termination of training, the Aviation Training Jacket is forwarded to the following command:

Chief of Naval Air Training
Naval Air Station
Corpus Christi, TX, 78419

Categories of individuals covered by the system:

All naval aviators, naval flight officers, naval flight surgeons, aviation warrant officers, and precommissioning training for aviation maintenance duty and aviation intelligence officers. This includes records in the above categories for individuals who do not complete prescribed training.

Categories of records in the system:

Aviation flight training, practical and academic grade scores, including pre-training aviation test battery scores.

Authority for maintenance of the system:

5 USC 301, DEPARTMENTAL REGULATIONS

Routine uses of records maintained in the system, including categorics of users and the purposes of such uses:

Evaluation of individual training progress and evaluation of training systems including studies and statistical analysis of training matters within the Naval Air Training Command. Summaries of training provided to other Naval commands where further training is required. Academic transcripts provided to educational institutions upon individual request.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in metal filing cabinets.

Retrievability:

Name and date of designation, completion or termination of training.

Safeguards:

Access is restricted to the individual or those who maintain training records and those who are directly involved with the individual's training or evaluation. The file cabinets containing the jackets are in command areas under normal military 24 hour security measures.

Retention and disposal:

Retained at the Chief of Naval Air Training headquarters for six months, then transferred to the Federal Records Center, East Point, GA. Retained for 75 years (SECNAVINST 5212.5B).

System manager(s) and address:

Chief of Naval Air Training, Naval Air Station, Corpus Christi, TX 78419

Notification procedure:

The individual is informed that the Aviation Training Jacket is being maintained and has ready access to it during training. After training, he can submit written request to the system manager listed above and must provide name, social security number or officer file number, and date of completion or termination of training. Personal vistors can provide proof of identity by military identification card, active or retired, or driver's license and some record of naval service.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Prior educational experience, flight grades, academic grades supporting flight training, physical fitness/survival/swimming proficiency, aviation physiology training and qualifications, and birth certificate.

Systems exempted from certain provisions of the act:

None

N63110 FIST

System name:

Flight Instruction Standardization and Training (FIST) Jacket

System location:

The FIST jacket is located at the various Naval Air Training Commands where the individual may be assigned. The following command can be contacted to determine the location of any specific command. Chief of Naval Air Training Naval Air Station Corpus Christi, TX 78419

Categories of individuals covered by the system:

All naval aviators and naval flight officers assigned to duty as instructors within the Naval Air Training Command.

Categories of records in the system:

A record of flight instruction standardization and training required of naval aviators and naval flight officers assigned duty as instructors.

Authority for maintenance of the system:

5 USC 301, Departmental regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Scheduling of training flights. Qualification and designation as a flight instructor. Initial qualification and re-designation in type aircraft to instruct. Used by Commanding Officers and training personnel of the command to which the individual is assigned. Administration of the FIST Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in metal file cabinets.

Retrievability:

Name, rank, and social security number.

Safeguards:

Access is restricted to the individual, his commanding officer, or those involved in maintaining training records. The file cabinets containing the jackets are in command areas under normal military 24 hour security measures.

Retention and disposal:

Jackets are retained in the individual's command until detachment, at which time it is given to the individual.

System manager(s) and address:

Chief of Naval Air Training, Naval Air Station, Corpus Christi, TX 78419

Notification procedure:

The individual is informed that the FIST jacket is being maintained, participates in its development and, additionally, is required to review the jacket with his instructor periodically.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting content and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Academic tests Flight performance evaluation Check flight evaluation Instructor's evaluation Command determinations Personal input

Systems exempted from certain provisions of the act:

None

N63116 MASTER FILE

System name:

Naval Health Research Center Date File

System location:

Naval Health Research Center, San Diego, California 92152

Categories of individuals covered by the system:

Navy and Marine personnel on active duty since 1960 to date. Civilians taking part in Operation Deep Freeze, 1964 to date.

Categories of records in the system:

Extracts of information from official medical and personnel records as well as information dealing with biographical, attitudes, and questions relating to health patterns during active service.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Users are military and civilian research personnel of this command. Inquiries are answered from the Bureau of Medicine and Surgery and

The Naval Medical Research and Development Command, as well as other medical research activities in the Department of Navy relative to the types and frequency of illnesses in Navy and Marine Corps personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Prinicpal medium is magnetic tape with file and punch card back-up as required.

Retrievability:

Retrievability is by Social Security number or service number as appropriate for military and former military personnel. Civilians are by name only.

Safeguards:

Access to Information on magnetic tape is restricted to authorized personnel only by means of a password.

Retention and disposal:

Since the information in this file is used to study longitudinal health patterns, and as a basis for comparison of changes in health patterns over long periods of time, they are most carefully maintained. As information is transferred from research forms to magnetic tape, those forms and the punch cards resulting from them are destroyed as the need for maintenance of a back-up capability no longer exists. The spaces occupied by this command are in military compounds with limited access and established security patrols.

System manager(s) and address:

Head, Programming Branch, Naval Health Research Center, San Diego, California 92152.

Notification procedure:

Navy and Marine Corps personnel and former serving members must provide a social security number or service number as appropriate, give the branch of service, and years of active duty. Civilians in Operation Deep Freeze must identify themselves by full name and the year in which they wintered over.

Record access procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information is derived from (a) Medical Treatment Record Systems, including medical, dental, health records, inpatient treatment records and outpatient treatment records, (b) Personnel Records System and Personnel Rehabilitation Support System, (c) Enlisted Master File, (d) information provided by the members themselves on a volunteer basis in response to specific research questionnairs and forms, and (e) information provided by the members' peers and superiors.

Systems exempted from certain provisions of the act:

None.

N63116 POW/MIA FILE

System name:

pow/mia captivity studies

System location:

Naval Health Research Center, Center for Prisoner of War Studies, San Diego, California 92152

Categories of individuals covered by the system:

Files are maintained by Code on all military and civilian returned prisoners of war, and on the families of military POW/MIAs, civilian POWs and military KIAs.

Categories of records in the system:

Files consist of intelligence debriefing material, microfilm and microfiche copies of medical records, X-rays, dental and somatotype photographs, newspaper clippings, individual and family research questionnaires.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are converted to group statistics and are used for research into the effects of the captivity experience on the man and his family and for recommending changes in training and improved health care delivery services, as well as for professional publications.

Professional Staff, Center for Prisoner of War Studies; Research Staff, Naval Aerospace Medical Institute, Pensacola, Florida; Research Staff, Brooke Army Medical Center, San Antonio, Texas

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Files consist of file folders, magnetic and video tapes, key-punched IBM cards, computer tapes, microfiche and microfilm.

Retrievability:

Files are retrieved by code number.

Safeguards:

Files are maintained by code in locked file cabinets within a vault with 24-hour sensor security. There is personal screening of all visitors, and building is in a classified area. Only professional research personnel with security clearance are given access to file codes

Retention and disposal:

The files will be maintained as long as there is an ongoing program of captivity research; with destruction of codes when files are closed

System manager(s) and address:

Head, Environment Stress Branch, CPWS

Notification procedure:

Write: Director, Center for Prisoner of War Studies, Naval Health Research Center, San Diego, Ca. 92152, providing full name, military or civilian status, POW status, security clearance, and service affiliation.

Record access procedures:

The Agency's rules for access to records may be obtained from the System's manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

All information contained in files was obtained through personal interviews with returned POWs, families of POW/MIA/KIA/civilian POWs, through intelligence debriefings at time of repatriation, newspapers and periodicals, and from materials supplied by the Department of the Army (Office of the Surgeon General and Army Intelligence); Department of the Navy (Bureau of Medicine and Surgery and Naval Intelligence); and Marine Corps Headquarters.

Systems exempted from certain provisions of the act:

None.

N63285 ADMIN

System name:

Administrative Files System

System location:

Naval Investigative Service (NIS) Headquarters 2461 Eisenhower Avenue, Alexandria, Va. 22331

Decentralized Segments - Naval Investigative Service Offices (NISOs) retain duplicate copies of certain segments of the administrative files. Addresses of these offices are included in the directory of Department of the Navy mailing list.

Categories of individuals covered by the system:

Past and present civilian, military and foreign national personnel assigned world-wide NIS.

Categories of records in the system:

Personnel Management System - an automated management information and statistical system containing all needed items of personnel information.

Special Agent Career Development Files - a compendium of Civil Service Performance Evaluation and Ratings and all correspondence unique to the NIS Special Agent, including annual physical examinations, which has a bearing on world-wide assignability, promotion and general career assessment.

Weapons Inventory File - an automated file containing the credential number, badge, weapons and handcuffs assigned to each NIS criminal investigator.

Personnel Security Clearance File - an automated file containing the classified material access level and date of last security clearance for assigned civilian and military personnel of NIS.

Personnel Utilization Data File - an automated file designed to provide statistical information regarding the manner by which available NIS manhours are expended in the execution of its assigned

investigative and counterintelligence mission. The file is formed by the submission (monthly) of individual manhour diaries. All assigned personnel input to this system; their manhours are categorized by function.

Freedom of Information and Privacy Requests File. Records relating to requests for information pursuant to the Freedom of Information Act and the Privacy Act of 1974, and responses thereto. Duplicate copies are also retained by the Naval Intelligence Command, 2461 Eisenhower Avenue, Alexandria, Va. 22331.

Authority for maintenance of the system:

5 U.S.C. 301; Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The Personnel Management System is used in preparation of virtually all personnel documents and personnel statistical studies. It provides such information as the average grade, the total number and composition of personnel at each NIS component and the past assignments of personnel. It is used on a daily basis by personnel technicians and management level personnel in the formation and execution of staffing actions for the various NIS components, informal verification of employee's tenure and the compilation of necessary statistical studies.

Special Agent Career Development Files - The information in these files is used for within-agency decisions regarding reassignment, promotion, career training and long-range development. They form within-agency repository for both adverse and favorable documents regarding Special Agents. The files have a long-range fuction - that of forming the basis for law enforcement retirement service certification. Though part of the file is duplicated in the Official File maintained by the Civilian Personnel Office, the Special Agent Career Development file is considered priviledged information and its contents are not released outside NIS. Within NIS, the files are maintained and controlled exclusively within the Career Services Division, NIS Headquarters and by assigned personnel to that Division. The files are released for review only to senior management personnel of NIS.

Weapons Inventory File - used to identify and inventory credentials, weapons, badges and handcuffs issued to authorized NIS personnel.

Personnel Security Clearnace File - used to informally verify and authenticate security clearances issued to NIS personnel. The file has a daily working purpose of acting as a check sheet for the updating of security clearances. It further is the file referred to when the director, NIS, is required to certify th access level of certain assigned NIS personnel to other Navy commands as well as civilian contractors.

Personnel Utilization Data File - a statistical file from which an indepth analyses of manhour expenditures are surveyed. The file is highly automated and used exclusively within NIS. The various analyses drawn from the file are used to modify the staffing levels at various NIS components based on actual work level. It further provides a tool to NIS management to gauge the efficiency of all components by comparing their workload with the amount of manhours available.

The records in this system are referred, as appropriate to authorized governmental units, such as Office of Civilian Manpower Management and Civil Service Commission, making various personnel determinations, e.g., retirement, awards, disciplinary action; to law enforcement personnel conducting criminal or suitability investigations; to DoD components, other agencies or industrial firms requiring confirmation of security clearance level; to higher authority for statistical purposes; limited response to credit queries; and medical records to personal physicians.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The Personnel Management System, Weapons Inventory File, Personnel Security Clearance File and the Personnel Utilization Data File are stored on magnetic tape in an automated system. The Personnel Management System is composed of visible file cards and computer paper printouts; the Personnel Security Clearance File is composed of computer paper printouts and associated Department of Defense security certification documents, the latter being filed in individual file folders; the Weapons Inventory File and the Personnel Utilization Data File are composed of computer paper printouts only.

The Special Agent Career Development files are composed exclusively of paper records in file folders.

Retrievability:

Information is accessed and retrieved by name only in the Special Agent Career Development File. The Weapons Inventory File is queried by either name only or by item number (i.e., badge, credential, weapon, handcuff serial number).

The Personnel Management System is accessed by name and SSAN; retrieval is by individual data characteristic such as GS-grade level, duty-station, special qualifications, language qualifications or it my be retrieved by name only or in conjuction with the SSAN.

The Personnel Utilization Data File is normally accessed and retrieved by location and functional category of employment (i.e., Special Agent, clerical, etc.). The capability exists, however, to retrieve by SSAN. The Personnel Security Classificaton File is a subordinate file to the Personnel Management System. Accession is by name and SSAN. Retrieval is accomplished by computer paper printout in both alphabetical and duty-station format.

Safeguards:

All files in this system are protected by limited, controlled access, safes, and locked cabinets and doors. Futher, visitor control and secure computer software measures (where applicable) are utilized.

Retention and disposal:

Personnel indexed in the Personnel Management System and the Personnel Security Clearance File are deleted from the magnetic tape data storage upon termination of employment. Residual paper records are retained from two to five years.

Personnel indexed in the Weapons Inventory File are deleted at such time as assigned equipment is returned and accounted for. Residual paper printouts are destroyed at least semi-annually.

The Special Agent Career Development Files are semi-permanent and are retained, at least in essential skeletal format, indefinitely.

System manager(s) and address:

Director, Naval Investigative Service, 2461 Eisenhower Avenue, Alexandria, Va. 22331.

Notification procedure:

Requests from individuals should be addressed to the System Manager, above. Individuals submitting requests should provide their full name, date of birth, SSAN and dates of employment or assignment with NIS.

In the case of personal visits, individuals requesting access to files in this system will be required to present reasonable proof of identity to minimally include a drivers' license or similar document at least one of which must bear a current photograph and be able to provide (orally) some element of unique identifying data such as name of spouse or a past duty-station with NIS.

Record access procedures:

Access to files in this system may be gained by written notification or personal visit to the Naval Investigative Service Headquarters at the location specified above. Requests should be directed to the Information and Privacy Coordinator.

Contesting record procedures: The agency's rule for access to records and for contesting contents and appealing initial determinations by the inividual concerned may be obtained from the system manager.

Record source categories:

In the case of Personnel Management System and the Personnel Utilization Data System, the individual employee is the prime source of information both for initial access to the files as well as periodic update. The Personnel Security Clearance File information is obtained as a sub-file to the Personnel Management System. The information for the Weapons Inventory File is obtained from personnel charged with the issuance of various items inventoried therein (with verification by the personnel to whom the items are issued.)

Information for the Special Agent Career Development File is recieved from the individuals supervisors, from various Naval Commands and other Federal and State agencies with whom the Special Agent has had professional contact and from the individual himself. Also, this file contains copies of each physical examination required annually of assigned civilian Special Agents.

Systems exempted from certain provisions of the act:

None.

N63285 01

System name:

NIS Investigative Files System

System location:

Primary System-NIS Records Management Division Administration Department, NIS Headquarters, Hoffman Building, 2461 Eisenhower Ave., Alexadria, Va. 22331.

Decentralized Segments - Naval Investigative Service Offices (NISOs) retain copies of certain segments of the investigative files, and related documentation for up to one year. Addresses of these offices are included in the directory of Department of the Navy mailing addresses. Naval Investigative Service Resident Agencies retain copies of investigative reports during pendency and for 90 days thereafter. They also retain evidence custody cards on persons from whom evidence was seized. The number and location of these Resident Agencies are subject to change in order to meet the requirements of the Department of the Navy. Current location may be obtained from Naval Investigative Service Headquarters.

Categories of individuals covered by the system:

Persons in the following categories who require access to classified defense information prior to August 1972: Active and inactive members of the naval service, civilian personnel employed by the Department of the Navy (DoN), industrial and contractor personnel, civilian personnel being considered for sensitive positions, boards, conferences, etc., civilian personnel who worked or resided overseas, Red Cross personnel. Civilian and military personnel accused, suspected or victims of felonious type offenses, or lesser offenses impacting on the good order, discipline, morale or security of the DoN. Civilian personnel seeking access to or seeking to conduct or operate any business or other function aboard a DoN installation, facility or ship. Civilian or military personnel involved in the loss, compromise or unauthorized disclosure of classified material/information. Civilian and military personnel who were of counterintelligence interest to the DoN.

Categories of records in the system:

Categories of records in the system: Official Reports of Investigation (ROI) prepared by NIS or other military, federal, state, local or foreign law enforcement or investigative body on either hard copy or microfilm. NIS Information reports (NIRs). NIRs document information received by NIS which is of interest to the naval services or other law enforcement or investigative bodies. The information may be of criminal, counterintelligence or general investigative interest.

General Administration Reports (GEN). The investigative purpose of the GEN is to report the results of pre-employment inquiries on applicants for positions as Special Agents with NIS.

Investigative summaries, memoranda for the files and correspondence relating to specific cases and contained in the individual dossier.

Polygraph Data. A listing of persons who submitted to polygraph examination by NIS examiners. The data includes the examinee's name, location and results of the examination and the identity of the examiner.

Case Control and Management documents which serve as the basis for controlling and guiding the investigative activity.

Records identifying confidential sources and contacts with them.

Index to persons reported by 'Name Only'.

Wiretap Data Records. Automated listing of persons who were subjects of wiretapping or eavesdropping operations.

Case Control and Narcotics Data Records. Automated records used only for statistical purposes in accounting for productivity, manhours expenditures; various statistical data concerning narcotics usage and used solely for statistical purposes.

Modus Operandi Files.

Screening Board Reports. These reports set forth the results of oral examination of applicants for a position as a Special Agent with the NIS.

Authority for maintenance of the system:

5 U.S.C. 301
44 U.S.C. 3101
47 U.S.C. 605

Executive Memorandum of 26 June 1939; Investigations of espionage, counterespionage and sabotage matters.

Executive Order 10450; Security Requirements for Government employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in this system is (was) collected to meet the investigative, counterintelligence and security responsibilites of the DoN. This includes personnel security, internal security, criminal and other law enforcement matters all of which are essential to the effective operation of the department.

The records in this system are used to make determinations of; suitability for access or continued access to classified information, suitability for employment or assignment, suitability for access to military installations or industrial firms engaged in government projects/contracts, suitability for awards or similar benefits; referral to other law enforcement or investigatory authorities for law enforcement purposes; use in current law enforcement investigation of any type including applicants; use in judicial or adjudicative proceedings including litigation or in accordance with a court order; insurance claims including workmens compensation; provide protective services under the DoD Distinguished Visitor Protection Program and to assist the U.S. Secret Service in meeting its responsibilities; Congressional interest including the General Accounting Office; respond to the Freedom of Information and Privacy Acts; use for public affairs or publicity purposes such as wanted persons, etc.; referral of matters under their cognizance to federal, state or local law enforcement authorities including criminal prosecution, civil court action or regulatory order; disclosure to federal intelligence/counterintelligence agencies of matters under their purview disclosure to foreign government organizations of criminal and counterintelligence information necessary for the prosecution of justice, or for mutual security and protection; advising higher authorities and naval commands of important developments impacting on security, good order or discipline; reporting of statistical data to naval commands and higher authority; disclosure to the National Archives; use by other investigative unit (federal, state or local) for whom the investigation was conducted; release to defense counsel, disclosure in course of acquiring the information, input into the Defense Central Index of Investigations; disclosure to victims of crimes to the extent necessary to pursue civil and criminal remedies.

Users of the records in this system include employees of the NIS who require access for operational, administrative or supervisory purposes; DoD criminal investigative, investigative and intelligence units; federal, state and local units engaged in criminal investigative, investigative and intelligence activities; federal regulatory agencies with investigative units, DOD components making suitability determinations; federal, state or local judicial or adjudicative bodies; Congressional bodies, including the General Accounting Office who require access within the scope of their jurisdiction for those authorized purposes enumerated above to the extent that those purposes are within the scope of their authority. Commercial insurance companies in those instances in which they have a legitimate interest in the results of the investigation, but only to that extent and provided an invasion of privacy is not involved.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, on cards and on microfilm. Automated records on magnetic tape.

Retrievability:

NIS permanent files are filed by terminal digit number. In order to locate the file it is necessary to query the Defense Central Index of Investigations (DCII) computer using the name of the subject and at least one other personnel identifier such as date of birth, place of birth, social security number or military service number. Files may also be retrieved by a case control number assigned at the time the investigation is initiated. Copies of the files in the NISOs and Resident Agencies are retrieved by name.

Safeguards:

NIS investigative files (permanent and temporary) are maintained and stored in open shelves and filing cabinets located in secured areas accessible only to authorized personnel. Dated files are retired to the Washington National Records Center where retrieval is restricted to NIS authorized personnel.

Retention and disposal:

Retention of completed NIS Investigative files on Personnel Security Investigations (PSI's) is authorized for 15 years unless adverse information is developed, in which case they may be retained for 25 years. PSI files on persons considered for affiliation with DOD will be destroyed within one year if the affiliation is not consummated. Special Agent applicant records are retained for one year if the applicant declines offer of employment and five years if the applicant is rejected for employment. Criminal files are retained for 25 years. Major investigations of a counterintelligence/security nature, of espionage or sabotage, may be retained permanently. Certain of the above records, when found to have possible historical value, may be offered to the National Archives for continued retention. Counterintelligence records on persons not affiliated with DOD must be destroyed within 90 days or one year under criteria set forth in DOD Directive 5200.27, unless retention is required by law or specifically approved by the Secretary of the Navy. Files retained in the NISO's and resident agencies are temporary and are destroyed after 90 days or one year, as appropriate.

System manager(s) and address:

The Director, Naval Investigative Service has ultimate responsibility for all NIS file holdings. Management of NIS permanent files is the direct responsibility of the Assistant Director for Administration. NISO Commanding Officers are responsible for files retained in their NISO subordinate Resident Agencies.

Notification procedure:

All requests relative to the retention and/or releasability of NIS investigative files should be addressed to the Director, Naval Investigative Service, 2461 Eisenhower Avenue, Alexandria, Va. 22331. Requests must contain the full name of the individual and at least one additional personal identifier such as date and place of birth, social security number or military service number. Personal visits by requesters should be confined to the Naval Investigative Service headquarters at the above address. It should be borne in mind that the vagaries of the automated indexing system might preclude a same day response. Persons submitting written requests must properly establish their identity to the satisfaction of the NIS. Where a question exists a signed, notarized statement or other certified form of identification will be required. Individuals appearing in person may present proof of identification in the form of military ID card, valid driver's license, or other suitable form of identification bearing a photograph and signature. Attorneys or other persons acting on behalf of a subject of a record must provide a notarized authorization from the subject of the record.

Record access procedures:

Individuals may make inquiries relative to NIS records maintained on them thru the NIS Information and Privacy Coordinator Naval Investigative Service Headquarters, at the address specified in the previous paragraph.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

See EXEMPTION.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j)(2) and (k)(1) through (6), as applicable. For additional information, contact the System Manager.

N63285 03

System name:

Defense Central Index of Investigations (DCII)

System location:

Central Facility:
Defense Investigative Service (DIS)
Data Handling Services Division, D0930
Fort Holabird
Baltimore, Maryland 21203

Remote Terminal Locations: (This is a co-owned index system shared by DIS and the military service investigative agencies).
Crime Records Directorate
US Army Criminal Investigations Command
2301 Chesapeake Avenue
Baltimore, Maryland 21222

Remote Terminal Location:
Air Force Office of Special Investigations/SUD
Forrestal Building
Washington, D.C. 20314

Remote Terminal Location:
Naval Investigative Service Headquarters
Hoffman Building 1
2461 Eisenhower Avenue
Attn: Code 30
Alexandria, Virginia 22331 (NIS)

Remote Terminal Location:
Defense Industrial Security Clearance Office
P.O. Box 2499
Columbus, Ohio 43216 (DISCO)

Remote Terminal Location:
US Army Investigative Records Repository
Building 4452
Fort Meade, Maryland 20755

Remote Terminal Location:
DIS Special Investigations Center
Forrestal Building
Washington, D.C. 20314

Remote Terminal Location:
DIS National Agency Check Center, D0700
Fort Holabird
Baltimore, Maryland 21203

Remote Terminal Location:
DIS Personnel Investigations Control Center, D0600
Fort Holabird
Baltimore, Maryland 20203

Remote Terminal Location:
DIS Investigative Files Division, D0960
Fort Holabird
Baltimore, Maryland 21203

Categories of individuals covered by the system:

Any person described as a subject, a victim, or a cross-reference in an investigation completed by or for a DoD investigative element when that investigation is retained by the element and the name is submitted for central indexing.

Categories of records in the system:

Composed of locator references to investigations conducted by or for DoD investigative elements and retained by them. Index records contain the name and other personal identifying information on individuals who were indexed.

Reference to an investigation maintained by one of the investigative records repositories. It identifies the individual by name and personal identifiers, the custodian of the file, the year indexed and the number used by the repository to locate the file.

A record input by either Army investigative activities or DIS reflecting the existence of an investigation in progress. It identifies the subject individual by name and personal identifiers, the location of the open investigation, the year indexed and the number used to locate the investigative file.

Record of a National Agency Check (NAC) investigation in progress. It identifies the subject individual by name, personal identifiers, the case number, the category of the requester of the NAC, and the type of NAC being run.

A record of completed favorable national agency checks (e.g., no records). It identifies the individual by name and personal identifiers, the date the NAC was completed and the agencies that were checked.

Composed of names of persons referenced in files who are not fully identified, but about whom sufficient information exists that meets retrieval criteria. It identifies the individuals by name, custodian agency of the file, year of the index, and the number used by the repository to locate the file. Positive identification is impossible from the index and may well be impossible from the case file itself.

Authority for maintenance of the system:

5 U.S.C. 301 Departmental Regulations
44 U.S.C. 3101 Records Management

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File tracing information is collected and maintained in the indices so that authorized users may determine the existence and location of DoD investigative records.

NAC history information is maintained for authorized users in granting clearances or access to defense installation, entry into military service or employment in sensitive civilian positions.

Activities listed under the LOCATION caption are the principal users and (with the exception of DISCO) the file custodians. Listed terminal holders (with the exception of DISCO) may release general DCII information to:

Other DoD investigative elements, DoD agencies and elements of the Military Departments designated by the departments.

Accredited representatives of the Secretary of Defense and the Joint Chiefs of Staff.

Accredited Federal criminal and civil law enforcement agencies including those responsible for conducting their own investigations as to the suitability for employment or access of current or potential employees formerly affiliated with the DoD.

State and local criminal law enforcement agencies.

Other accredited Federal agencies serviced by the Civil Service Commission but with a need to evaluate the suitability of potential employees formerly affiliated with the DoD.

Congress, including the Government Accounting Office.

The AUTODIN system which transmits formatted data over telecommunications circuits facilitates the collection of transactions from contributors to update the index and to disseminate index information to the requesters.

The Defense Case Control System (DCCS) and the National Agency Check Control System (NCCS) which are described separately in this notice.

It should be noted that information contained in the system is regarded as the property of the submitting activities. DIS can neither monitor, nor assume responsibility for the propriety or accuracy of all the data in the system.

Transfer of information from this records system to other DoD components is regarded as a routine intra-agency use under the provisions of 5 U.S.C. 552a3(b)(1). The use of the DCII to refer inquiries to other DoD elements, where there is no release of DCII information itself is not deemed to require an accounting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Master Index data is maintained in direct access storage devices, disk and data cell. It is also contained on magnetic tape for continuity of operations purposes to permit processing at alternate locations in the event of computer failure.

Name Only Index data is maintained on magnetic tape and microfiche. Each contributor is provided his portion on a quarterly basis.

Retrievability:

Master Index records are accessed through name and at least one personal identifier (PID). Personal identifiers are: date of birth, place of birth, social security number and the last four (4) digits of military service number. Inquiries may enter the system in card form or by being keyed in at remote terminals. A non-standard retrieval capability also exists which permits retrieval without PID, or on parts of a name, and produces references to all individuals by that name. It should be noted that in many cases, the subject's SSAN is necessary to make a positive identification.

Name Only Index records are accessed through the name or some portion thereof. Records are retrieved based on an exact match with the name submitted. Inquiries may enter the system only in card form.

Safeguards:

Generalized validation is provided in batch retrieval through program edits to prevent unauthorized access.

User terminals with access to the Master Index are located in controlled access areas. Access to the system is limited to specified time of the day. Terminals are connected via dedicated data circuits which prevent access from standard dial-up telephones.

Activities must be a part of DoD and accredited on the basis of authorized requirements before a new terminal is established or before batch requests will be honored and processed. Terminal holders and activities authorized to batch process requests are responsible for the authority and need to know of individuals and agencies on behalf of which they search the index.

The computer room is located within a building controlled by security personnel at all times. Identification badges are required for entrance. Access to the computer room is controlled by a combination lock on the entrance. Critical backup files are stored in locked fireproof data safes.

Retention and disposal:

Retained for as long as files are retained. When the record repository disposes of the file, they are responsible for deleting all index tracings pertaining thereto, in accordance with established procedures. Processing of a deletion transaction flags the computer record which precludes it being given out thereafter. Such flagged records are eliminated from the system during periodic file restructuring procedures.

Open Case Tracings. Retained for as long as the investigation is open. When the investigation is completed, the contributor replaces the open case tracing with a file tracing as described above.

NAC History Tracings. Retained for a period of four (4) years from the date of completion and then automatically deleted unless specific action is taken sooner to delete the record. Should a subsequent favorable NAC be completed, the entering of a new history record will delete the first history record.

NAC Pending Tracings. Retained until completion of the NAC at which time they are replaced by a NAC History or file tracing, unless deleted sooner by the originator.

System manager(s) and address:

Director, Defense Investigative Service, Washington, D.C. 20314

Notification procedure:

Identity of Official:
Assistant for Information
Defense Investigative Service (D0020)
Washington, D.C. 20314.

Information Required: Full name and all maiden and alias names under which files may be maintained and personal identifiers listed under RETRIEVABILITY. Note, Social Security Account Numbers may be necessary for positive identification of certain records.

Office Which May be Visited:
DIS Information Office
1000 Independence Avenue
Washington, D.C. 20314.

Proof of Identity: Check of personal documents.

Record access procedures:

Access may be obtained through the Information Office at the address previously listed.

Contesting record procedures:

The agency's rules for access to records, contesting contents and appealing initial determinations by the subject individual may be obtained from the Assistant for Information, at the above address.

Record source categories:

DoD investigative elements identical with those listed under the LOCATION caption excluding DISCO, and additionally:
Defense Supply Agency
ATTN: DSAH-T Cameron Station
Alexandria, Virginia 22310
Director of Security, National Security Agency, ATTN: M-552 Fort Meade, Maryland 20775
Assistant Chief of Staff of Intelligence, Department of the Army, ATTN: Counterintelligence Division, Washington, D.C. 20315 (ACSI)

Systems exempted from certain provisions of the act:

None

N63393 F0013BA013

System name:

Aviation Medical Officer's Report

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511 Subordinate/Type Commands/Levels

Categories of individuals covered by the system:

Military personnel involved in, contributing to or injured in a Navy or Marine aircraft mishap.

Categories of records in the system:

Reports of Naval aircraft mishaps submitted by the reporting custodian. Findings and conclusions of the Aircraft Accident Board. Medical Officer's Report. Search and Rescue Report. Life Change Questionnaire. Naval Safety Center investigative reports. JAG manual investigations.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Aviation Medical Officer's Report records are selected and reviewed by Naval Safety Center analysts to identify problem areas and determine, whenever possible, mechanical systems/malfunctions or human errors that may have caused or contributed to a particular mishap in order that appropriate measures can be effected to prevent recurrence. Records and summary data are provided only to those echelons within the Navy which are directly involved in flight safety and the study of trends associated therewith. In those mishap cases where the type aircraft is common to other military services, applicable trend analyses and summary data is usually provided to the respective service. Similarly, if the type aircraft involved in a mishap is common to civil aviation, summary information is provided to appropriate government agencies. Whenever and to whomever released, the information is given with the explicit understanding that it will be used exclusively in the furtherance of improved safety in aircraft and accident prevention efforts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape. (Central location) Cardex File. (Subordinate Commands)

Retrievability:

Any of the data elements such as model aircraft, damage, date, accident type, cause factors, degree of injury, ejection results or pilot's social security number are used to retrieve individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information received from activities or for purposes not directly related to flight safety must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contains all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Aviation Safety, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Apply to System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Aircraft reporting custodians, chain of command, Judge Advocate General, commanding officer, squadron personnel, relatives, acquaintances and Naval Safety Center analysts.

Systems exempted from certain provisions of the act:

None.

N63393 F0015BA054

System name:

Aircraft Mishap

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511 Subordinate/Type Commands/Levels

Categories of individuals covered by the system:

Designated Naval aviators, Naval flight officers, crew members and maintenance personnel involved in or contributing to a Navy or Marine aircraft accident, incident or ground accident.

Categories of records in the system:

Reports of Naval aircraft mishaps submitted by the reporting custodian. Findings and conclusions of the Aircraft Accident Board. Naval Safety Center investigative reports. JAG manual investigations.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Aviation mishap records are selected and reviewed by Naval Safety Center analysts to identify problem areas and determine, whenever possible, mechanical systems/malfunctions or human errors that may have caused or contributed to a particular mishap in order that appropriate measures can be effected to prevent recurrence. Records and summary data are provided only to those echelons within the Navy which are directly involved in flight safety and the study of trends associated therewith. In those mishap cases where the type aircraft is common to other military services applicable trend analyses and summary data is usually provided to the respective service. Similarly, if the type aircraft involved in a mishap is common to civil aviation, summary information is provided to appropriate government agencies. Whenever and to whomever released, the information is given with the explicit understanding that it will be used exclusively in the furtherance of improved safety in aircraft and accident prevention efforts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape. (Central Location) Cardex File. (Subordinate Commands)

Retrievability:

Any of the data elements such as command, model aircraft, damage, date, location, accident type, cause factors or pilot's social security number are used to retrieve individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information received from activities or for purposes not directly related to flight safety must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Aviation Safety, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Aircraft reporting custodian, aircraft accident boards, chain of command, Judge Advocate General and Naval Safety Center analysts.

Systems exempted from certain provisions of the act:

None.

N63393 F0024CA171

System name:

Diving Log

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511

Categories of individuals covered by the system:

All Navy military and civilian employees of the Navy involved in diving or exposed to a hyperbaric environment.

Categories of records in the system:

Diving Log Report.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reports summarizing diving activity are furnished to the commanding officer for individuals attached to the unit and are used to monitor experience levels associated with types of dives, equipment usage and requalification requirements. Individual records are also used to evaluate the diving program at specific activities and to determine if manning level, experience and operational requirements are consistent with an effective safety program. Pertinent individual records or statistical summaries prepared by Naval Safety Center analysts are also provided to all echelons within the Navy having a responsibility for the diving program and to Chief of Naval Personnel, Comptroller of the Navy, General Accounting Office, Naval Audit Service or other activities having responsibility for the administration or control of personnel assignments and hazardous duty payments.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Records may be selected based on any of the data elements contained in the file such as diver's social security number, organization unit, type of dive and equipment used.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information received from activities or for purposes not directly related to the diving program must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Submarine Safety Programs, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Commanding Officer of naval units conducting diving or hyperbaric exposure incident to diving.

Systems exempted from certain provisions of the act:

None.

N63393 F0024CA174

System name:

Diving Accidents and Injuries

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA. 23511

Categories of individuals covered by the system:

All Navy military and civilian employees of the Navy involved in an accident or who are injured while engaged in diving or exposed to a hyperbaric environment.

Categories of records in the system:

Diving Accident/Injury Report. Personnel Casualty Report. JAG manual investigation.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records of diving accidents and injuries are evaluated by Naval Safety Center analysts to determine existence of problem areas and to detect trends. The records are correlated with the diving log reports and used as a basis for recommending changes in operating procedure, equipment, decompression schedules and training requirements. Individual reports and compilations of accidents and injuries are routinely furnished to activities within the Navy having responsibility for diving safety. Reports are also furnished to Government or private research institutions engaged in studies relating to the prevention or treatment of diving injuries or the design and usage of underwater equipment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Any of the data elements such as diver's social security number, type of accident, depth and purpose of dive, degree of injury and treatment provided are used to retrieve individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information received from activities or for purposes not directly related to diving safety must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Submarine Safety, Naval Safety Center, NAS, Norfolk, Va. 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Commanding Officer of naval units conducting diving or hyperbaric exposure incident to diving. Office of the Judge Advocate General. Chief, Bureau of Medicine and Surgery.

Systems exempted from certain provisions of the act:

NONE

N63393 F0025AA041

System name:

Occupational Injury and Illness

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511 (Central) Subordinate Type Commands/Ship/Naval Units

Categories of individuals covered by the system:

Navy military personnel who sustain an injury or occupational illness and Navy civilian personnel who sustain an occupational illness or injury resulting in one or more days of lost time.

Categories of records in the system:

Accidental Injury/Death Reports. Personnel Casualty Reports. Hospital Admission Reports. JAG manual investigations.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Accidental injury records are used to compile a variety of statistical reports which are routinely published or prepared at the request of Navy forces afloat and shore activities. Individual injury reports are selected and reviewed by Naval Safety Center analysts in order to detect problem areas relating to operating procedure, training and equipment usage and malfunction. Results of these studies which may include individual injury reports are provided to commanding officers and to all echelons within the Navy having responsibility for the allocation of resources or the implementation of the Safety Program. Individual injury records are correlated with data contained in other personnel files in order to detect unfavorable trends within an activity and to recommend appropriate corrective measures. Individual records and statistical summaries are provided on request to all Government activities having a legitimate need for such information. Individual records and summary data are provided to contractors and research activities in connection with projects either funded by or deemed potentially valuable to the Department of the Navy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape. (Central location) File Folders/cardex (subordinate commands)

Retrievability:

Any of the data elements such as social security number, command or unit identification code, degree of injury, location, equipment malfunction and cause factors are used to select individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information received from activities or for purposes not within the routine usage criteria must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Occupational Safety, Health and Support Programs, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Commanding officers of Forces Afloat and Shore activities, Judge Advocate General and Chief, Bureau of Medicine and Surgery.

Systems exempted from certain provisions of the act:

None.

N63393 F0026EA033

System name:

Motor Vehicle Accidents and Injuries

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511 Subordinate/Type Commands/Levels

Categories of individuals covered by the system:

Navy military personnel regardless of duty status who are injured as a result of a motor vehicle accident or are the operator of one of the vehicles involved in such an accident. Navy military and civilian personnel who are involved in a Government motor vehicle accident or a private motor vehicle accident on Navy property. Navy civilian employees who are injured in a motor vehicle accident during the course of their official duties.

Categories of records in the system:

Motor Vehicle Accident Report. Personnel Casualty and Death Report, Hospital Admission Reports and JAG manual investigations.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Motor vehicle accident records are used to compile statistics which are given wide dissemination within the Navy. Compilations of motor vehicle accident records for particular commands, activities and units are furnished on request to assist in the development of an effective safety program at all levels within the Navy. Accident records of individuals assigned to specific units or records of individuals involved in multiple accidents are provided to commanding officers. Motor vehicle accident records are correlated with data contained in other accident/injury or training files. The significance of this data is evaluated by Naval Safety Center analysts and summary information, specific individual records or composite records provided to all echelons within the Navy having a responsibility for motor vehicle safety. Individual records and statistical summaries are provided on request to all Government activities having a legitimate need for such information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape. (Central location) File folders/cardex (subordinate commands)

Retrievability:

Any of the data elements such as individual social security number, activity or unit identification, cause factors and degree of injury are used to retrieve individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information which are not included in the routine usage criteria must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Original documents are destroyed when no longer required. Reports are not transferred to a record center.

System manager(s) and address:

Director of Occupational Safety, Health, and Support Programs, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Commanding officers of Forces Afloat and Shore activities, Judge Advocate General and Chief, Bureau of Medicine and Surgery.

Systems exempted from certain provisions of the act:

None.

N63393 F0048BA111

System name:

Individual Flight Activity Report

System location:

Commander, Naval Safety Center, Naval Air Station, Norfolk, VA 23511

Categories of individuals covered by the system:

All aeronautically designated commissioned Navy and Marine Officers assigned as crew members in the operation of an aircraft in accordance with the direction of competent authority.

Categories of records in the system:

Reports of each flight submitted by the custodian of the aircraft. Total flight activity survey reports and annual flight activity reports.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Flight activity data for specific individuals or categories of aviators is correlated with aircraft mishap data. This information is analyzed in order to determine the relationship between various categories and combinations of flight experience and accident involvement. Results of these studies are provided to all echelons within the Navy and Marine Corps having responsibility for flight operations, pilot training and allocation of resources to and within the aviation program. An annual summary of flight activity by model aircraft is provided to each reporting individual for his verification and personnel records. Upon request, a detailed by flight report for a specified time frame is also provided. Records are also provided to Chief of Naval Personnel for promotional screening, detailing and compliance with minimum standards. Summaries of flight activity for Marine Corps personnel are provided to the Commandant of the Marine Corps. Records of specific pilots or categories of pilots are provided to contractors, if required, for projects either funded by or deemed potentially valuable to the Department of the Navy. When requested, records are provided to the General Accounting Office, to the Naval Audit Service and to offices or committees authorized by Congress to investigate certain phases of the Naval Aviation Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape.

Retrievability:

Any of the data elements such as pilot's social security number, model aircraft, squadron and specific flight experience may be used to retrieve individual records.

Safeguards:

A limited number of data processing personnel have access to the computer facility and to the magnetic tape files and computer programs. All requests for information which are not included in the routine usage criteria must be approved by the Commander, Naval Safety Center or his designated representative.

Retention and disposal:

Magnetic tape files contain all available records and are never purged. Reports are not transferred to a record center.

System manager(s) and address:

Director of Aviation Safety Programs, Naval Safety Center, NAS, Norfolk, VA 23511

Notification procedure:

Individuals may write the System Manager giving full name, address, military status and social security number in order to determine if the system contains any records pertaining to them. Personal visitors will be required to produce military or comparable civilian identification cards.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Aircraft reporting custodian, Navy and Marine Corps pilots.

Systems exempted from certain provisions of the act:

None.

N63395 10140.1F

System name:

USAREUR/USAFE Ration Card

System location:

U.S. Naval Radio Station, FPO New York 09516.

Categories of individuals covered by the system:

USN personnel and their dependent wives and children over 18 years of age, who are stationed at U.S. Naval Radio Station, FPO New York 09516.

Categories of records in the system:

File sheet with members name, rate, serial no., and organization assigned. Also if member is single or married.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Reference as to who is holding a ration card.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Name.

Safeguards:

Locked safe in Admin Office and a 24 hour security watch.

Retention and disposal:

Records are maintained as long as member retains ration card. After transfer records are burned.

System manager(s) and address:

Commanding Officer, U.S. Naval Radio Station, FPO New York 09516 is overall policy official with the Administrative Officer, U.S. Naval Radio Station, FPO New York 09516 as the subordinate holder.

Notification procedure:

Inquiries sould be addressed to U.S. Naval Radio Station, FPO New York 09516, giving full name and social security number, and personal visitors must have valid military I.D. or, if no longer in the military, have other valid identification such as a driver's license. Visitors may come to the Administrative Office at the address given under SYSMANAGER.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Applicable U.S. Serviceman.

Systems exempted from certain provisions of the act:

None.

N63395 11240.3E

System name:

File of Records of Acquisition, Transfer and Disposal of Privately Owned Vehicles

System location:

U.S. Naval Radio Station, FPO New York 09516

Categories of individuals covered by the system:

United States Navy personnel stationed at U.S. Naval Radio Station, FPO New York 09516 who own a concession vehicle in the United Kingdom.

Categories of records in the system:

Request for delivery of a motor vehicle without payment of duty, value added tax and car tax.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For information on type of car, engine no., license no., year of car, make of car, base assigned, organization, soc. sec. no., and paygrade.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Name

Safeguards:

Locked safe in Admin Office with a 24 hour security watch.

Retention and disposal:

Records are maintaned as long as a person owns a concession vehicle in the United Kingdom. Records are burned as soon as vehicle is either shipped out of the U.K. or destroyed.

System manager(s) and address:

Commanding Officer, U.S. Naval Radio Station, FPO New York 09516 is overall policy official with the Administrative Officer, U.S. Naval Radio Station, FPO New York 09516 as the subordinate holder.

Notification procedure:

Inquiries should be addressed to U.S. Naval Radio Station, FPO New York 09516, giving full name and social security number. Visitors may come to the Administrative Office at the address given under SYSMANAGER and must have valid military I.D. or, if no longer in the military, have other valid identification such as a driver's license.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by theindividual concernd may be obtained from th system manager.

Record source categories:

Applicable U.S. Serviceman

Systems exempted from certain provisions of the act:

None

N63425 SHELTER LIST

System name:

Military and Civilian Employee Dependents Hurricane Shelter Assignment List

System location:

Commanding Officer Naval Communication Station Key West Key West Florida 33040

Categories of individuals covered by the system:

Military personnel and civilian employees and their dependents who apply for assignment to naval communication station shelter

Categories of records in the system:

Record lists names, addresses, and phone numbers of military/civilian station personnel applying for shelter assignments for their families, together with names of dependent spouses, names and ages of dependent children, and whether or not requirement exists for station transportation to shelter.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by Disaster Preparedness Officer in determining shelter logistics requirements and by Shelter Officer in mustering assigned dependents in shelter in case of hurricane.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder

Retrievability:

Name

Safeguards:

File maintained in locked cabinet by Disaster Preparedness Officer.

Retention and disposal:

Maintained from May through April each year, disposed of by burning.

System manager(s) and address:

Disaster Preparedness Officer Naval Communication Station Key West Key West Florida 33040

Notification procedure:

Individual record entries are filled out by hand by station military/civilian sponsors desiring to register their families in command hurricane shelter. System contains no info other than entries provided by sponsors. Certified station sponsors may review/remove entry by phoning/visiting the Disaster Preparedness Officer, Naval Communications Station Key West.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

All entries to file are hand written forms filled in by military/civilian command sponsors requesting hurricane shelter for their families.

Systems exempted from certain provisions of the act:

None

N63427 AUTOIMPEXPREC

System name:

Record of Import and Export of Foreign Made Auto Vehicles into and out of Australia

System location:

U.S. Naval Communication Station FPO San Francisco 96680

Categories of individuals covered by the system:

Importers/exporters and purchasers of foreign made automobiles imported into Australia by U.S. personnel.

Categories of records in the system:

Copies of shipping and customs documents for automobiles imported into and exported from Australia.

Authority for maintenance of the system:

5 USC 301, Agreement between Australia and the United States of America concerning the status of United States forces in Australia and protocol to that agreement.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supply Officer: to determine shipping and wharf handling requirements. Legal Officer: to monitor sale and/or export of foreign made vehicles imported into Australia by the U.S. personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

Name.

Safeguards:

File cabinet, Entry by legal/personal property office personnel only.

Retention and disposal:

Duration of customs to duty bond. Destruction through burning.

System manager(s) and address:

Legal officer and personal propety supervisor.

Notification procedure:

Individual initates record and may request information. Legal Officer, Personal Property Supervisor, U.S. Naval Communication Station. Information requested must provide: full name, official title, purpose of inquiry. Offices to be visited: Legal Office and Personal Property Office, U.S. Naval Communication Station. Proof of identity: visual recognition or identification card.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information supplied by individual, copy of purchase documents.

Systems exempted from certain provisions of the act:

None.

N63427 COMWEALTHPASS

System name:

Commonwealth Pass Application Form

System location:

U.S. Naval Communciation Station FPO San Francisco 96680

Categories of individuals covered by the system:

All personnel requiring access to the Commonwealth property on which the Naval Communication Station is located.

Categories of records in the system:

Completed application forms for Commonwealth passes. Contains name, rank, organization, height, color of hair, color of eyes, date of birth and place of birth.

Authority for maintenance of the system:

5 USC 301 Arrangements for the use and occupation by the United States Navy of Commonwealth land and for associated matters.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Issuance of passes for entry to Naval Communication Station.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

Name.

Safeguards:

Locked cabinet - limited access.

Retention and disposal:

Duration of individual's stay in area. Destruction by burning.

System manager(s) and address:

Security Officer, U.S. Naval Communication Station.

Notification procedure:

Individual initiates record and may request information. Security Officer, U.S. Naval Communicaton Station, information requester must provide: full name, official title, purpose of inquiry. Office to be visted: Security Office, U.S. Naval Communication Station. Proof of identity: visual recognition or identification card.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information supplied by individual.

Systems exempted from certain provisions of the act:

None.

N63427 NEXSALESSLIP

System name:

Large purchases in Navy Exchange.

System location:

U.S. Naval Communication Station FPO San Francisco 96680

Categories of individuals covered by the system:

All authorized patrons of the Navy Exchange at this station.

Categories of records in the system:

Record copies of all receipts for articles valued at over ten U.S. dollars. lists purchaser, base pass number, noun name of article, value and intended use.

Authority for maintenance of the system:

5 USC 301, Technical Arrangement between United States Dept of the Navy and the Commonwealth of Australia Dept of Defence relating to commissaries at Northwest Cape in the State of Western Australia.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Legal Officer - control of disposal of articles purchased in station Navy Exchange. Security Officer - investigation into possible violation of govt to govt arrangements relating to commissaries in Australia. Criminal investigation in cases of wrongful appropriation and larceny.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder.

Retrievability:

Name.

Safeguards:

Locked cabinet - limited access.

Retention and disposal:

For duration of member's tour at this station. Destruction through shredding and burning.

System manager(s) and address:

Security Officer, U.S. Naval Communication Station

Notification procedure:

Printed information on form - copy retained by individual. Security Officer, U.S. Naval Communication Station. Information requester must present: full name, official title and purpose of inquiry. Office to be visited: Security Office, U.S. Naval communication Station. Proof of idenity: visual recognition.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Information supplied by purchaser and Navy Exchange.

Systems exempted from certain provisions of the act:

None.

N64168 NUC

System name:

Nuclear Program Interview and Screening

System location:

Naval Sea System Command (Code 08), Washington, D.C. 20362

Categories of individuals covered by the system:

Personnel interviewed or considered for assignment or retention in the Naval Nuclear Power Program

Categories of records in the system:

Interview appropriation folder, interview chronology, interview index card, Navy Enlisted Nuclear Program Technical Screening Sheets, Nuclear Propulsion Officer Candidate Records

Authority for maintenance of the system:

5 U.S.C. 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Determine eligibility for Naval Nuclear Power Program, maintaining statistical and accounting records, and other administrative uses.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, loose leaf binders, and index card box

Retrievability:

Name, chronological, Navy rate (if applicable), Social Security Number, approximate date of screen

Safeguards:

Located in restricted area

Retention and disposal:

Indefinitely

System manager(s) and address:

Naval Sea Systems Command (Code 08), Washington, D.C. 20362

Notification procedure:

Contact System Manager; provide full name, Navy rate (if applicable), Social Security Number, Nuclear Power School Class or dates at attendance (if applicable) and proof thereof, dates of service or screening and proof thereof.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Individual; Bureau of Naval Personnel; U.S. Naval Academy; current and/or previous commands; Director, Division of Naval Reactors

Systems exempted from certain provisions of the act:

None

N64168 RADINJCLRDS

System name:

NAVSEA RADIATION INJURY CLAIM RECORDS

System location:

Naval Sea Systems Command Code 08 Washington, D.C. 20362

Categories of individuals covered by the system:

Individuals employed by the Navy and Navy contractors who have alleged radiation injury from radiation exposure associated with Naval Nuclear Propulsion plants.

Categories of records in the system:

Excerpts from personnel medical records, Navy field organization and Navy contractor work histories and Navy and Labor Department correspondence.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Technical evaluation of radiation injury compensation claims by NAVSEA RADIOLOGICAL CONTROL MANAGERS.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File Folders

Retrievability:

Alphabetical by name

Safeguards:

Locked in safe and specific permission of custodian

Retention and disposal:

Indefinitely

System manager(s) and address:

Naval Sea Systems Command Code 08 Washington, D.C. 20362

Notification procedure:

Contact System Manager; Provide name, organization where employed at time of alleged injury and supporting evidence.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Personnel medical records and Navy and contractor work histories.

Systems exempted from certain provisions of the act:

None

N64168 SEA TRIAL

System name:

Next of Kin Information for Sea Trial Riders

System location:

Naval Sea Systems Command Code 08 Washington, D.C. 20362

Categories of individuals covered by the system:

Individuals attending nuclear propulsion plant sea trials of Navy ships

Categories of records in the system:

Names and addresses of next of kin; name, Social Security Number and security clearance of individual

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To maintain information necessary for individuals to attend nuclear propulsion plant sea trials; Associate Director for Surface Ships and staff

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3 x 5 index cards

Retrievability:

Alphabeticly by name

Safeguards:

Locked in 3-way combination safe in a restricted area

Retention and disposal:

Indefinitely

System manager(s) and address:

Naval Sea Systems Command Code 08 Washington, D.C. 20362

Notification procedure:

Contact System Manager; Provide name and social security number and identify sea trials attended

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

From the individual

Systems exempted from certain provisions of the act:

None

N64223 NMRI

System name:

Kidney transplant histocompatibility study

System location:

Division of Biometry, Naval Medical Research Institute, National Naval Medical Center 20014

Categories of individuals covered by the system:

All individuals receiving kidney transplants between January 1, 1974 and December 31, 1976 from participating hospitals, except for certain hospitals with different dates of participation. A list of hospitals participating in the study may be obtained from the system manager.

Categories of records in the system:

Records of patients, past medical history, transplant operation and follow-up. Limited social information as required to evaluate rehabilitation.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Summary reports and data not identifying patients by name are made available to National Institute of Arthritis and Infectious Diseases, the funding agency, and to participating hospitals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are kept in file folders and on magnetic tape.

Retrievability:

Routine retrieval is by patient code number or hospital codes.

Safeguards:

Manual files are kept in locked spaces. Routinely used computer files contain no patient names. Access through the computer to names is limited to persons possessing appropriate access code words.

Retention and disposal:

Records will be maintained for statistical analysis so long as NIAID, the funding agency, desires.

System manager(s) and address:

Head, Division of Biometry

Notification procedure:

Patients may establish their inclusion in this study by asking the physician who performed the transplant.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents, and appealing initial determination by the individual concerned may be obtained from the system manager.

Record source categories:

Hospitals performing transplants and patient's physician.

Systems exempted from certain provisions of the act:

None

N64648-EARB

System name:

Employee Grievances, Complaints, and Adverse Action Appeals.

System location:

Chairman Department of the Navy Employee Appeals Review Board Washington, D. C. 20360

Categories of individuals covered by the system:

Former and present civilian employees of the Department of the Navy, and applicants for employment with the Department of the Navy.

Categories of records in the system:

The case files contain background material on the act or situation complained of; the results of any investigation including affidavits and depositions; records of personnel actions involved; Official Personnel Folders; transcripts of hearings held; Examiners' reports of findings and recommended actions; advisory memoranda from OCMM, NAVCOMPT, CNO, BUPERS, CSC, DOD, SYSCOMS; SECNAV decisions; reports of actions taken by local activities; comments by EARB or local activities on appeals made to CSC; CSC decisions, Court decisions, Comptroller General decisions. Brief summaries of case files are maintained on index cards

Authority for maintenance of the system:

5 U.S.C. Sections 1301, 3301, 3302, 7151-7154, 7301, and 7701

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used by the EARB to adjudicate cases. SYSCOMS, OCMM, CAPSO-N and ROCMM-S are internal users for informational/implementational purposes. CSC is the other Government agency using this information. Pursuant to s 552a(b)(9) of Public Law 93-579, committees or subcommittees of either House of Congress are furnished the above information upon request. Individual members acting on behalf of the individual involved are supplied with copies of decisions and other appropriate background material. Grievants and appellants are furnished SECNAV decisions, with copies to their representatives. EEO complainants are furnished SECNAV decisions, with copies of the hearing transcripts and Examiners' reports; complainants' representatives are provided copies of SECNAV decisions. Activities involved are provided with copies of SECNAV decisions on grievances and appeals. Activities involved in EEO complaints are provided copies of SECNAV decisions, hearing transcripts, and Examiners' reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders and index cards.

Retrievability:

Name

Safeguards:

Official Personnel Folders and classified material kept in locked safe. Other materials are kept in file cabinets in a secured building.

Retention and disposal:

Case files maintained for one year and sent to the GSA Federal Records Center and maintained for four years. Official Personnel Folders returned to activities after disposition of cases. CSC decisions and index cards are retained indefinitely.

System manager(s) and address:

Chairman, Department of the Navy Employee Appeals Review Board

Notification procedure:

Department of the Navy Employee Appeals Review Board, Washington, D. C. 20360. Must provide full name, employing office, and appropriate indentification card.

Record access procedures:

The Agency's rules for access to records may be obtained from System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Employing activities, Civil Service Commission, OCMM.

Systems exempted from certain provisions of the act:

NONE

N64980 CONCESSION VEH

System name:

Duty Free Vehicle Log

System location:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Customs Officer, HMS Customs and Excise, Campbeltown, Argyll, Scotland

Categories of individuals covered by the system:

Individuals stationed aboard NAVAVNWPNSFAC Machrihanish who own vehicles purchased or imported into the United Kingdom duty free.

Categories of records in the system:

Single line entry on loose leafe pages listing: Name and rank/rate of individual; make, year and registration of vehicle; status (bought new in UK or imported) of vehicle; and date of purchase or importing.

Authority for maintenance of the system:

5USC301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To assist local customs officials to protect against the illegal transfer of duty-free vehicles to UK citizens.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folder

Retrievability:

Name

Safeguards:

The records are maintained in an office that is locked when not manned.

Retention and disposal:

Pen and ink changes are made to records until complete page must be retyped. Old pages are then destroyed by shredding or burning. Retention period dependent upon number of changes occuring. Method of disposal by local customs official unknown.

System manager(s) and address:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Notification procedure:

Individuals wishing to learn if records concerning them are still retained may contact the System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information is obtained from documents provided by the individual.

Systems exempted from certain provisions of the act:

None.

N64980GAS RATION FILE

System name:

Gasoline Ration System

System location:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Categories of individuals covered by the system:

All personnel stationed aboard NAVAVNWPNSFAC Machrihanish who own private vehicles and wish to purchase Navy Exchange Gasoline.

Categories of records in the system:

Record on each individual contains information on: vehicle description; dates of vehicle insurance, inspection and tax; United Kingdom address of individual and amount of gasoline allowed.

Authority for maintenance of the system:

5USC301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by Transportation Officer to allocate ration coupons to authorized pesonnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards in holder.

Retrievability:

Name

Safeguards:

Locked in combination safe in an office which is locked when unmanned. Only Transportation Officer knows combination to safe.

Retention and disposal:

Records are destroyed by shredding or burning approximately one year after transfer of individual.

System manager(s) and address:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Notification procedure:

Individuals wishing to ascertain if records concerning them are still retained may contact the System Manager.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information concerning vehicles, insurance, inspection and tax is copied from the appropriate document as provided by the individual. Other information is received from the individual directly.

Systems exempted from certain provisions of the act:

None.

N64980RATION PRMT LOG

System name:

Application for U.S. Navy Ration Permit

System location:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Categories of individuals covered by the system:

All personnel stationed at NAVAVNWPNSFAC Machrihanish desiring to utilize U.S. Navy Exchanges in the United Kingdom.

Categories of records in the system:

Record includes: Name, rank/rate, SSN, date of birth (if under 18), and marital status of serviceman; location, name, relationship, date of birth (if under 18) and ID card number of dependents.

Authority for maintenance of the system:

5USC301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used to prepare ration cards used in U.S. Military Exchanges in the U.K. and to maintain a record in case of loss of those cards.

V 44 DE 17 79 UMI

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index cards in file box.

Retrievability:

Name

Safeguards:

Maintained in an office that is locked when unmanned.

Retention and disposal:

Cards are destroyed by shredding or burning upon transfer of serviceman.

System manager(s) and address:

Commanding Officer, U.S. Naval Aviation Weapons Facility, FPO New York 09515

Notification procedure:

Records are held only on persnnel currently stationed at NAVAVNWPNSFAC Machrihanish who can enquire at the Administrative Office concerning the records.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

The information is provided by the serviceman.

Systems exempted from certain provisions of the act:

None

N65196 DODCI.01

System name:

DODCI Student Record System

System location:

Department of Defense Computer Institute, Washington Navy Yard, Washington, D.C. 20374.

Categories of individuals covered by the system:

All students who have completed a course of instruction presented by the Department of Defense Computer Institute: primarily DOD military and civilian personnel as regular students; personnel from other federal, state and local government agencies who have attended courses on a space available basis; military and civilian personnel from foreign governments who requested and were granted authority to attend courses; and personnel from private industry who are under direct contract to a DOD activity who sponsor their attendance.

Categories of records in the system:

Alphabetized card file of students who have attended DODCI courses. Record consists of name, military rank or rate, civilian grade, branch of service, DOD agency or activity and title of course attended. Also associated file of consolidated listing of students for each course offering arranged by DOD agency or activity and name.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records maintained by DODCI Registrar to respond to individuals requesting official verification of attendance to a specific course or response to students agency or activity requesting official record of training completed. Used to compile statistical data of student throughput, e.g., attendance by course, attendance by branch of service, composition of students by rank/rate/grade, branch of service, agency or activity. Statistical data is not compiled by name.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Alphabetic card file and file folders in file cabinet.

Retrievability:

Name and Course Title.

Safeguards:

Maintained in Administrative Office which is locked after normal working hours, accessable only to authorized office staff and Director or delegate on demand.

Retention and disposal:

Individual cards by student name and consolidated listing of students are retained indefinitely.

System manager(s) and address:

Registrar, DOD Computer Institute, Building 175, Washington Navy Yard, Washington, D.C. 20374.

Notification procedure:

By individual request upon presentation of letter or identification. Must provide course title and year of attendance.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Enrollment and Registration Request for DOD Management Education and Training Program Courses (DD form 1556), and Course Listing of Students reviewed by Course Manager and Individual Students.

Systems exempted from certain provisions of the act:

None.

N65196 DODCI.02

System name:

DODCI Student/Faculty/Senior Staff Biography System

System location:

Department of Defense Computer Institute, Washington Navy Yard, Washington, D.C. 20374.

Categories of individuals covered by the system:

All faculty members, senior staff members, and guest lecturers currently instructing or managing at the DODCI. All students who are attending or who have completed a course of instructions presented by the Department of Defense Computer Institute: primarily DOD military and civilian personnel as regular students; personnel from other federal, state and local government agencies who have attended courses on a space available basis; military and civilian personnel from foreign governments who requested and were granted authority to attend courses; and personnel from private industry who are under direct contract to a DOD activity who sponsor their attendance.

Categories of records in the system:

Biographic summary forms individually submitted upon request by each DODCI faculty member, senior staff member, guest lecturer, or student. Students record consists of name, rank or rate, civilian grade, organization and division, office phone number, current and previous job titles and positions, number of months with present job title, major duties of present job, formal education completed, objectives for attending DODCI course, computer-related and other technical training and experience, information on usage of computers in present position, influence and authority student has over design of computer-based systems including security and privacy aspects, extent involved in planning and design of teleprocessing systems. Faculty/senior staff record consists of name, rank or rate, current and previous job titles and positions, former major duties, formal education completed, computer-related and other technical training and experience.

Authority for maintenance of the system:

5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information contained in the student biographical summaries is restricted to internal use within DODCI. Used by Course Managers and functional Department Head to evaluate education level, computer related work experience, and general computer background of DODCI students. Establishes student qualifications to attend a requested course and if course objectives have satisfied personal objectives of students for attending course. Statistical summarization of information contained therein provides basis for modification and revision to course content. Also serves as vehicle to place student into appropriate laboratory and seminar group in courses requiring such a breakout.

Information on faculty/senior staff members contained in the biographical summaries is provided to students as an attachment to their student notebooks. Records are used to identify faculty and senior staff members, areas of data processing and information management expertise for consultationpurposes and as an expertise peamble to the next scheduled lecturer.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in file cabinet.

Retrievability:

By name for faculty/senior staff members. Course title and name for studets.

Safeguards:

Maintained in scheduling office (for students) and in the Reproduction Shop (for faculty/ members) which is locked after normal working hours, access controlled by systems manager and accessable only to authorized faculty members, Director of Administration, and Director or delegate on demand.

Retention and disposal:

All completed individual student biographical summaries attending a specific course are retained in a file folder marked by Course Title and Course Date. Individual student biographical summaries are retained by course for two fiscal years preceeding the fiscal year in progress. All individual faculty and senior staff biographical summaries are retained in a master file folder until no longer providing services to DODCI. Master file is reviewed periodically to maintain currency. Students receiving a course notebook can retain the included biographical records as well as the notebook.

System manager(s) and address:

Scheduling Officer, DOD Computer Institute, Building 175, Washington Navy Yard, Washington, D.C. 20374.

Notification procedure:

Students by individual request upon presentation of letter of identification. Must provide course title and year of attendance.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Student Biography Forms are of DODCI origin and completed by each individual student. Forms are completed either the first day of the course or, in the case of certain specific courses, are mailed to the prospective student requesting return prior to commencement of the course.

Biographies are authorized by each faculty and senior staff member soon after arrival at DODCI. Guest lecturers are requested to voluntarily submit biographies for use in course notebooks. content is never changed, but in some cases selectively reduced in length so as not to exceed one page. Format and content are generated solely by DODCI member and are subjected only to editorial review.

Systems exempted from certain provisions of the act:

None.

N65196 DODCI.03

System name:

DODCI Course Evaluation System

System location:

Department of Defense Computer Institute, Washington Navy Yard, Washington, D.C. 20374.

Categories of individuals covered by the system:

All students who have completed a course of instruction presented by the Department of Defense Computer Institute: primarily DOD military and civilian personnel as regular students; personnel from other federal, state and local government agencies who have attended courses on a space available basis; military and civilian personnel from foreign governments who requested and were granted authority to attend courses; and personnel from private industry who are under direct contract to a DOD activity who sponsor their attendance.

Categories of records in the system:

Individual student evaluation of entire course and random sampling of specific lecture presentations. Includes objectives for attending course; statement concerning realization of personal objectives, numerical or qualitative rating of overall course, lab sessions and/or specific lectures; list of strengths and weaknesses of course; list of lecture subjects of particular benefit or of little use to student; list of lecture subjects which should be expanded or reduced in coverage; and list of topics not covered in course but should be included. Comments concerning course content, sequence, lecture presentation, teaching techniques, audio visual aids, physical facilities and administrative support are solicited and recorded. Categories are posed as questions with ample space to encourage written response of student opinion in a structured but non-restrictive format. These Course Evaluation Forms also contain hard core factual information, i.e., course title, course dates, student name, rank/rate/grade, branch of service, duty station or agency, and present job title.

Authority for maintenance of the system:

5 USC 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Use of the student evaluation forms and the information contained therein is restricted to internal use within DODCI. Used to evaluate course, lecture, teaching techniques and individual instructor effectiveness. Provides basis for modification and revision to course content and sequence and lecture content. Provides input to long range plan for course update, additions and revisions. Copy is provided to unit education offices upon request. Student evaluations of all attendees to a particular course are reviewed as a composite group by DODCI faculty members to determine problem areas, trends, and provides a continuous evaluation of course effectiveness.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders in file cabinet.

Retrievability:

Course Title and Student Name.

Safeguards:

Maintained in Scheduling Office which is locked after normal working hours, access controlled by Systems Manager and accessible only to authorized faculty members. Director of Administration, and Director or delegate on demand.

Retention and disposal:

All completed individual evaluations of students attending a specific course are retained in a file folder marked by Course Title and Course Date. Individual student evaluation forms are retained by course for two fiscal years preceeding the fiscal year in progress.

System manager(s) and address:

Scheduling Officer, DOD Computer Institute, Building 175, Washington Navy Yard, Washington, D.C. 20374.

Notification procedure:

By individual request upon presentation of letter or identification. Must provide course title and year of attendance.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Student Course Evaluation Forms are of DODCI origin and distributed in class and completed by each individual student.

Systems exempted from certain provisions of the act:

None.

N65196 DODCI.04

System name:

DODCI Lecture-Instructor Inventory System.

System location:

Department of Defense Computer Institute, Building 175, Washington Navy Yard, Washington, D.C. 20374.

Categories of individuals covered by the system:

Current DODCI instructors.

Categories of records in the system:

Two disk files comprise the system of records. First master file contains instructor's name, functional group assignment code, projected date of departure; list of lectures instructor gives. Second master file contains lecture I.D., title, lecture primary, instructors giving the lecture.

Authority for maintenance of the system:

5 U.S.C. 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Provides the ability for functional managers to generate a list of instructors along with the associated lectures in which they are proficient or to specify a lecture title and determine which instructors are capable of presentation. This provides assistance in assigning instructors to course schedules, teams for on-site course presentations, determining lectures which are critical in flexibility of assignment, planning instructor assignments in the order of lecture priority.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Maintained on magnetic disks in a computer data base.

Retrievability:

Instructor's last name, lecture ID number, or functional group code.

Safeguards:

This system of records is maintained on magnetic disks in the computer operations center which is kept locked. Only the manager and assistant manager of the Computer Support office have access to the center during normal working hours and the security watch has access after hours. The mode of access to the computer-based system is via remote terminal and special passwords are required. Appropriate data base language commands (available only to authorized DODCI staff members) must be invoked to gain access to information in the system. Portions of the system can only be accessed by functional managers via controlled key work commands. An accounting log is maintained of all accesses to the system which contains identification of the user, log-on and off, station number, and date/time of last access.

Retention and disposal:

The system data base is retained indefinitely. Revisions are in continuous process, e.g., instructors' names being added upon arrival and deleted on departure, lecture titles added or deleted as they are developed or discontinued, lecture presentation capability expanded or deleted as appropriate.

System manager(s) and address:

Manager, Computer Support Office, DOD Computer Institute, Building 175, Washington, D.C. 20374.

Notification procedure:

DODCI faculty members are informed of existence and purpose of system. Individual instructors can request printout of information in system which pertains to them.

Record access procedures:

The Institutes rules for access to records may be obtained from the Systems Manager.

Contesting record procedures:

The Institute's rules for contesting contents and appealing initial determinations by the individual concerned can be obtained from the Systems Manager.

Record source categories:

DODCI functional managers maintain system and periodically revise data base by entering new data and deleting discontinued information. Additionally, the Systems Manager can enter information affecting printout format and contents.

Systems exempted from certain provisions of the act:

None.

N65872SA14102

System name:

Project Analysis and Control System (PAC)

System location:

Naval Material Command Support Activity, Data Processing Group, Washington, D. C. 20360

Categories of individuals covered by the system:

Civilian employees in the activity who work in the Computer Systems Analyst, Computer Specialist, Computer Programmer, and Computer Technician career Fields.

Categories of records in the system:

System comprises information required to provide status of NMCSA-DPG development projects and analysis to determine capability to meet target dates. Provides inventory of NMCSA, DPG Analysts, Programmers and Branch and Division workload status.

Authority for maintenance of the system:

Title 5, U.S.C., section 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Automatic Data Processing Development Workload Resources Planning and Control.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tape and magnetic discs. Input transcripts are filed for 30 days and destroyed.

Retrievability:

Automated records are entered, retrived and analyzed by Social Security Number. Manual Records are filed for 30 days and then destroyed.

Safeguards:

The computer facility is a secure area and only authorized personnel are allowed entry. Input records are filed in same area.

Retention and disposal:

This is a management system used for planning and controlling development resources. History file is maintained as long as desired. Active file is purged and updated weekly.

System manager(s) and address:

Data Processing Group Deputy Director for Systems, Naval Material Command Support Activity, Department of the Navy, Washington, D.C. 20360

Notification procedure:

Records in this system are all employees of the Data Processing Group Director. These employees are aware of the records in this system.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Resources Control Branch, individual input.

Systems exempted from certain provisions of the act:

None

N65872SA53105

System name:

VGA Personnel and Manpower Information System (PERMIS).

System location:

Central Computer Facility - Naval Material Command Support Activity, Department of the Navy, Washington, D.C. 20360; Program Director - Civilian Personnel Group, Code SA-53B; ADP - Data Processing Group, Code SA-14.

Input-Ooutput Terminals - Naval Material Command, Washington, D.C. 20360; Naval Material Command Support Activity, Washington, D.C. 20360; Naval Air Systems Command, Washington, D.C. 20360; Naval Sea Systems Command, Washington, D.C. 20360; Naval Facilities Engineering Command, Arlington, Va. 22332; Naval Supply Systems Command, Washington, D.C. 20376; Naval Electronics Systems Command, Washington, D.C. 20360; Naval Ship. Engineering Center, Hyattsville, MD 20782.

Categories of individuals covered by the system:

All civilian employees of the activity or activities provided personnel service by the Civilian Personnel Office of a Naval Activity with a PERMIS terminal;

All military personnel on active duty stationed at or assigned to an activity provided personnel service by the Civilian Personnel Office of a Naval Activity with a PERMIS terminal.

Categories of records in the system:

Individual military assignment-related automated records containing that data which is also used to produce the Officer Distribution Control Report (ODCR);

Individual civilian employee automated records, including personal job-related, military status, education, training, and related data; Computer outputs displaying information from PERMIS automated records; Microfiche of computer outputs displaying information from PERMIS automated records.

Punched cards containing PERMIS data; Optical scanning sheets containing leave data.

Authority for maintenance of the system:

Title 5, U.S.C., section 302, 'Delegation of authority to subordinate officials of head of agency for employment, direction, and general administration of personnel';

Title 5, U.S.C., section 301, (records and reports-custody, use and preservation);

Executive Order 9397, 'Numbering System for Federal Accounts Relating to Individual Persons';

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

For the purposes of increased effectiveness and efficiency by automating certain processes within the operating civilian personnel offices and providing management information: Officials and employees of activities serviced by the Civilian Personnel Office in the performance of their official duties related to management and administration of civilian personnel programs; the providing of staff support in the area of management, manpower, budget, administrative services, military manpower, Equal Employment Opportunity, and any other staff and line operations requiring the management of civilian personnel; the design, development, maintenance, and operation of the (manual and) automated system of records; and administration of grievances, appeals, and litigation involving the disclosure of records of the PERMIS system. Officials and employees of other Naval activities in their request for pre-employment data, or in the processes involved in the transfer of an employee from a PERMIS-covered activity to one of those other activities; their performance of studies and tasks relative to leave held or taken by civilian employees; and their usage of data to manage Navy civilian manpower programs, and to provide civilian manpower reports and statistical data to the United States Civil Service Commission, Office of Management and Budget, etc.

Officials and employees of any component of the Department of Defense-Performance of their official duties.

Representatives of the Civil Service Commission - Matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs, or pesonnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives - Performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs.

The Attorney General of the United States or his authorized representatives - Litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice, or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other departments and agencies of the Executive branch of government - upon request, in the performance of their official duties.

Hearing Examiner or Arbitrator (duly appointed employee of another federal agency) - conduct a hearing in connection with an employee's appeal involving disclosure of records of the PERMIS system.

Arbitrator given a contract pursuant to a negotiated labor agreement - hear an employee's grievance involving disclosure of the records of the PERMIS system.

Senate or House of Representatives of the U.S. or any committee or sub-committee thereof, any joint committee of congress or subcommittee of joint connittee - matters within their jurisdiction requiring disclosure of files or records of the PERMIS system.

Law enforcement or investigatory authorities - investigation and possible criminal prosecution, civil court action or regulatory order.

Marine Corps - produce microfiche from documents.

Department of the Army - optical scanning of documents and recording of data on magnetic tape.

DESCOMP INC (a contractor) and its employees - punch cards and key-to-disc recording of data from documents.

Chesapeake and Potomac Telephone Co (a contractor) and its employees - Telecommunication transmission of data between the central computer facility and the remote terminals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic discs; computer magnetic tapes; computer magnetic cards; punched cards; computer paper printouts; microfiche; optical scanning sheets.

Retrievability:

Automated records are accessed and retrieved by social security account number, position number, military billet number, or by a combination of characteristics such as occupation code, grade, year of birth, and level of education.

Computerized indices are required to retrieve individual records from the automated system;

Microfiche are filed alphabetically by last name of employee; computer paper printouts are filed at random. Information can be retrieved from them by name, social security account number, or organization code.

Punched cards and optical scanning sheets are accessible by social security account number and name.

Safeguards:

The computer facility is located in a restricted area accessible only to authorized persons that are properly screened, cleared and trained.

Computer fail-safe systems software is employed to insure that only authorized personnel are able to obtain data via the terminals.

Computer printouts, microfiche, punched cards, and optical scanning sheets are available only to authorized personnel having a need to know.

Retention and disposal:

The records on punched paper cards, magnetic cards, and magnetic tapes are transferred to the magnetic discs, where they are maintained permanently;

The microfiche will be maintained as long as they provide useful information and will then be destroyed by mechanical or related means;

The computer paper printout and paper card output are maintained for relatively short periods of time, generally ranging from one day to three months, and are then recycled.

System manager(s) and address:

Commanding Officer, Naval Material Command Support Activity. Department of the Navy, Washington, D.C. 20360; and Civilian Personnel Offices.

Notification procedure:

Request from individuals should be addressed to the above system manager (SYSMANAGER); written request for information should contain the full name, address, and signature of the individual; the individual requester may visit the civilian personnel office of one of the activities listed under LOCATION. The street address for the Naval Material Command Support Activity is 4040 N. Fairfax Drive, Arlington, Virginia (note that this is an address for personal visits only; it is not acceptable as a mailing address); for personal visits, the individual must present as proof of identity his or her Department of Defense or Navy building pass or identification badge, or driver's license or other type of identification bearing a picture or signature, or other data sufficient to insure that the individual is the subject of the inquiry.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contestng contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Navy Civilian Personnel Offices; automated system interface (Navy military personnel); Navy manpower offices, Navy military personnel offices; supervisors, schools, and colleges.

Systems exempted from certain provisions of the act:

NONE

N66001 TECHAUTHIND

System name:

Technical Paper/Author Cross Index System

System location:

Commander, Naval Undersea Center, San Diego, California 92132

Categories of individuals covered by the system:

NUC personnel, past and present, who have authored unclassified technical papers.

Categories of records in the system:

Author's name, title of paper and administrative control number for the paper.

Authority for maintenance of the system:

5 USC 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To quickly locate a technical paper for a requestor if author is known and title is unknown. Requestors include Center technical and management personnel, and Center's technical writing/editing group.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Index card file

Retrievability:

Name

Safeguards:

Considered as normally accessible office record.

Retention and disposal:

Permanent

System manager(s) and address:

Public Affairs Officer, Naval Undersea Center, San Diego, California 92132

Notification procedure:

Individuals may visit or call office or system manager, identify themselves by giving their name, and obtain information concerning their records.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Information obtained from technical papers when submitted to this office for public release.

Systems exempted from certain provisions of the act:

None

N66123 PRIVATE RELIEF

System name:

Private Relief Legislation

System location:

Office of Legislative Affairs
Department of the Navy
Pentagon, Room 5C831
Washington, D.C. 20350

Categories of individuals covered by the system:

Individuals concerning whom private legislation is introduced in the U.S. Congress.

Categories of records in the system:

Letters to Congressional Committees, expressing the views of the department concerning the legislation and records necessary to prepare the letters.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File maintained to prepare for Congress the position of the department concerning the legislation. Routine disclosures are made to Congress; interested Navy, Marine Corps and DOD Components; OMB; and other interested executive agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders

Retrievability:

Name

Safeguards:

Access generally limited to personnel of the Office of Legislative Affairs. Stored in a locked office.

Retention and disposal:

Retained for at least 6 years or as long as the legislation is active if more than 6 years and then moved to Federal Records Center, GSA Accession Section, Washington, D.C. 20409

System manager(s) and address:

Chief of Legislative Affairs
Department of the Navy
Pentagon, Room 5C831
Washington, D.C. 20350

Notification procedure:

System Manager; Full name, term and session of Congress when bill introduced, bill number, sponsor of bill (if available); Office of Legislative Affairs, Department of the Navy, Pentagon, Washington, D.C. Driver's license or similar substitute.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Member of Congress; individual about whom file is maintsined and individuals from whom he solicits information; other Navy, Marine Corps, and DOD components; OMB; and other interested executive agencies.

Systems exempted from certain provisions of the act:

None

N66715.1RLPS

System name:

NAME/LEAD Processing System

System location:

Primary System, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Categories of individuals covered by the system:

Individuals who have responded to Navy advertising, requested their names not be used in future Navy advertising, students throughout the country who may be qualified for enlistment, first-term enlistees on active duty in the U. S. Navy, veterans, enlisted discharged personnel.

Categories of records in the system:

Automated and non-automated form containing personal records and correspondence on both education, service, and Navy program information on potential Navy applicants.

Authority for maintenance of the system:

10 USC 5531; Section 133, 503, 504, 508, 510; 5 USC Sections 301, 302; 44 USC Sections 3101, 3702

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Navy recruiting officials and employees in the performance of their official duties in managing the recruitment of men and women for officer and enlisted programs in the regular and reserve components of the Navy.

The Comptroller General or any of his authorized representatives, upon request, in the course of performance of the duties of the general accounting office.

Officials and employees of the Department of Defense in the performance of their official duties.

Civilian contractors and their employees who manage automated and

Officials and employees of the Department of Transportation in the performance of their official duties. manual categories of records in accordance with an approved, official contract with the U. S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are maintained on disks, magnetic tape or on punched cards in a limited access area.

Computer print outs are stored in locked filing cabinets or file folders

Retrievability:

Information can be accessed by name, program and social security account number.

Safeguards:

Lists and files are handled with maximum security during processing and storage, and are accessible to routine users only and then only through a selected group of individuals charged with security of the lists. Files are stored in a limited access area and coded so that only several persons have both knowledge of the code and access to the files.

Retention and disposal:

A record is maintained of all outgoing automated responses, and disposed of in accordance with Departmental Regulations.

Compiled lists and commercial purchased lists are maintained for certain period of time depending on the usefulness and currentness of the information, and disposed of in accordance with Departmental Regulations.

System manager(s) and address:

Director, Recruiting Adverstising Department, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Notification procedure:

Requests should be addressed to: Director, Recruiting Advertising Department, Navy Recruiting Command, 4015 Wildon Boulevard, Arlington, Virginia 22203.

Requester is required to provide a full name, address, and signature.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Parents, influentials, friends and associates of the subject of the records and officials and employees of the Department of the Navy, Department of Defense, and the Veterans Administration in the performance of their official duties and as specified by current Instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

None

N66715.20SAS

System name:

Officer Selection and Appointment System

System location:

Primary System - Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203 Decentralized segments - Headquarters, Navy Recruiting Activities and subsidiary offices; Armed Forces Entrance and examining Centers; Bureau of Naval Personnel; Bureau of Medicine and Surgery; National Personnel Records Centers; Naval Reserve Units; Naval Education and Training Activities; NROTC Units; Naval Sea Systems Command Headquarters; Naval Intelligence Command and subsidiary activities; Department of Defense Medical Examination Review Board.

Categories of individuals covered by the system:

Individuals who have made application for direct appointment to commissioned grade in the Regualr Navy or Naval Reserve, applied for officer candidate program leading to commissioned status in the U.S. Naval Reserve, applied for a Navy/Marine Corps sponsored NROTC scholarship program or preparatory school program, applied for interservice transfer to Regular Navy or Naval Reserve.

Categories of records in the system:

Records and correspondence in both automated and non-automated form concerning any applicant's personal history, education, professional qualifications, physical qualifications, mental aptitude, character and interview appraisals, National Agency Checks and certifications of background investigations.

Authority for maintenance of the system:

Title 10, United States Code, Sections governing authority to appoint officers. 10 USC Sections 591, 600, 716, 2107, 2122, 5579, 5600. Merchant Marine Act of 1939 (as amended); Executive Orders 9397, 10450, 11652; 5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their duties in managing and contributing to the recruitment of qualified men and women for officer programs in the regular and reserve components of the Navy.

Officials and employees of the Department of Defense in the performance of their official duties.

Officials and employees of the Department of Transportation in the performance of their official duties.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management of quality military recruitment.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies. Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management of quality military recruitment.

Officials and employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Such civilian contractors and their employees as are or may be operating in accordance with an approved official contract with the U.S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tape; paper records are stored in file folders.

Retrievability:

Name and social security number applicant

Safeguards:

Records kept in file cabinets and offices locked after working hours. Based on requirements of user activity, some buildings have 24-hour security guards.

Retention and disposal:

Application records maintained six months; after six months, summary sheets maintained for 5 years at National Record Storage Center. NROTC application records kept for current year only. Correspondence files maintained for two years.

System manager(s) and address:

Commander, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Notification procedure:

Requests by correspondence should be addressed to: Commander Naval Recruiting Command (Attn: Privacy Act Coordinator), 4015 Wilson Boulevard, Arlington, Va. 22203; or, Chief of Naval Reserve (Code 111C), New Orleans, Louisiana, 70146, or, to applicable Naval Recruiting District as listed under U.S. Government in white pages of telephone book. Letter should contain full name, address, social security account number and signature.

The individual may visit Commander, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Va. 22203. Proof of identification will consist of picture-bearing or other official identification.

Record access procedures:

The agency's rules for access to records may be obtained from System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Navy Recruiting personnel and employees processing application; Medical personnel conducting physical examination and private physicians providing consultations or patient history; character and employer references named by applicants; educational institutions, staff and faculty members; Selective Service Commission local state, and Federal law enforcement agencies; prior to current military service record; members of Congress; Commanding Officer of Naval Unit, if active duty; Department of Navy offices charged with personnel security clearance functions. Other officials and employees of the Department of the Navy, Department of Defense, and components thereof, in the performance of their official duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (k)(1), (5), (6) and (7), as applicable. For additional information, contact the System Manager.

N66715.3RESS

System name:

Recruiting Enlisted Selection System

System location:

Primary System - Commander Navy Recruiting Command Decentralized Segments - Navy Recruiting Area Commanders, Navy Recruiting District Headquarters, Navy Recruiting 'A' Stations, Navy Recruiting Branch Stations, AFEES.

Categories of individuals covered by the system:

Records and corespondence pertaining to prospective applicants, applicants for regular and reserve enlisted programs, and any other individuals who have initiated correspondence pertaining to enlistment in the United States Navy.

V 4 4 D E 1 7 7 9 UMI

Categories of records in the system:

Records and correspondence in both automated and non-automated form concerning personal history, education, professional qualifications, mental aptitude, physical qualifications, character and interview appraisals, National Agency Checks and certifications, service performance and congressional or special interests.

Authority for maintenance of the system:

10 USC Sections 133, 275, 503, 504, 508, 510, 672, 1071 - 1087, 1168, 1169, 1475 - 1480, 1553, 5031; 5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their duties in managing and contributing to the recruitment of qualified men and women for enlistment in the regular and reserve components of the Navy. The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management of quality military recruitment.

Officials and employees of the Department of Defense in the performance of official duties.

Officials and employees of the Department of Transportation in carrying out their official duties.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies. Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management of quality military recruitment.

Officials and employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Such civilian contractors and their employees as are or may be operating in accordance with an approved official contract with the U.S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tape; paper records are stored in file folders.

Retrievability:

Filed alphabetically by last name of subject

Safeguards:

Records are accesible only to authorized Navy recruiting personnel within and are handled with security procedures appropriate for documents classified 'For Offical Use Only'

Retention and disposal:

Records are normally maintained for two years and then destroyed.

System manager(s) and address:

Commander, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Notification procedure:

Requests by correspondence should be addressed to: Commander Naval Recruiting Command (Attn: Privacy Act Coordinator), 4015 Wilson Boulevard, Arlington, VA 22203; or, Chief of Naval Reserve (Code 111C), New Orleans, Louisiana, 70146, or, to applicable Naval Recruiting District as listed under U.S. Government in white pages of telephone book. Letter should contain full name, address, social security account number and signature.

The individual may visit Commander, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, VA 22203. Proof of identification will consist of picture-bearing or other official identification.

Record access procedures:

The agency's rules for access to records may be obtained from System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Navy Recruiting personnel and Administrative Staff; Medical Personnel conducting physical examinations and/or Private Physicians providing consultations or patient history; Character and Employer references; Educational institutions, Staff and Faculty members; Selective Service Commission; Local, State, and Federal Law enforcement agencies; prior or current military service records; Members of Congress.

Other officials and employees of the Department of the Navy, Department of Defense and components thereof, in the performance of their official duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager

N66715.4RATS

System name:

Navy Recruiting Command Attrition Tracking System

System location:

Primary System - Recruiting Data Systems,Commander, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Categories of individuals covered by the system:

Navy Enlisted Personnel who attrite during Basic Recruit Training

Categories of records in the system:

File consists of records and correspondence pertaining to individuals discharged at Navy Recruit Training Centers. Records include personal and service information, education, physical and mental qualifications and circumstances surrounding discharge.

Authority for maintenance of the system:

10 USC Sections 133, 275, 503, 504, 508, 510, 5031; 5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their duties in managing and contributing to the components of the Navy.

Officials and employees of the Department of Defense in carrying out their official duties.

Officials and employees of the Department of Transportation in carrying out their official duties. carrying out their official duties.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management of quality military recruitment.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies. Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management of quality military recruitment.

Officials and employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Such civilian contractors and their employees as are or may be operating in accordance with an approved official contract with the U. S. Government.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual Records stored in file cabinets in a secure government building. Automated records are maintained on magnetic tape.

Retrievability:

Info can be retrieved by Social Security Account Number, Navy Recruiting Area or District Recruit Training Center, Age, Education, Discharge Reason or Date of Discharge.

Safeguards:

Only authorized routine users are permitted access to the records. The Headquarters building in which the records are located has a 24-hour guard which prevents unauthorized access to the building.

Retention and disposal:

Records are maintained at Headquarters, Navy Recruiting Command for five years, and then destroyed. Records at Area and District Headquarters are retained for one year before being destroyed.

System manager(s) and address:

Director, Recruiting Data Systems, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203 Telephone: 202-692-4089

Written requests for information should contain the full name, social security account number and location where individual was recruited, and signature.

Notification procedure:

Apply to System Manager.

Record access procedures:

The Agency's for access to records may be obtained from System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Discharge Sections at Navy Recruit Training Commands Other officials and employees of the Department of the Navy, Department of Defense and components thereof, in the performance of their official duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

None

N66715.5RCSS

System name:

Navy Recruiting Support System

System location:

Headquarters, Navy Recruiting Command, 4015 Wilson Boulevard, Aarlington, Virginia 22203

Decentralized Segments-Navy Recruiting Areas; Navy Recruiting Districts; Navy Recruiting 'A' Stations; Navy Recruiting Branch Stations.

Categories of individuals covered by the system:

Students who have taken the Armed Forces Vocational Aptitude Battery; Naval Reserve officers nominated by District Commanding Officers for a collateral duty assignment as Recruiting District Assistance Council Chairmen (RDAC); Enlisted Personnel selected by local Navy Recruiter for participation in local Navy Recruiting effort; Community leaders and individuals who provide assistance to Navy Recruiters.

Categories of records in the system:

Name; Social Security Number; Address; Pertinent family information; Pertinent military information; Professional and education affiliations and experience.

Authority for maintenance of the system:

10 USC Sections 133, 503, 504, 508, 510, 5031; 5 USC 301 Departmental Regulations; 44 USC Sections 3101, 3702.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide field recruiters with various vehicles of recruiting support; to familiarize Navy Recruiters with community leaders; to provide a thorough interface between the Navy and the community; to promote the Navy among the members of the civilian community; to provide educators with a measure of the vocational aptitude of their students through administration of the Armed Services Vocational Aptitude Battery; cultivate community awareness; to assign inactive Reserve officers to Recruiting support functions as Recruiting District Assistance Council Chairmen; to facilitate liaison with various business and social and education cultures in the community; obtain media support for the Navy Recruiting Command; Assist the local recruiter in anyway the recruiter feels necessary; to generate prospective applicants for the United States Navy. Enlisted/Officer Navy Recruiters; Navy Recruiting District Commanding Officers; Navy Recruiting Area Commanders; Navy Recruiting Headquarters staff personnel; Naval Reserve Officers filling official recruiting support functions.

Officials and employees of the Department of the Navy in the performance of their duties in managing and contributing to the recruitment of qualified men and women for officer programs in the regular and reserve components of the Navy.

Officials and employees of the Department of Defense in carrying out their official duties.

Officials and employees of the Department of Transportation in carrying out their official duties.

The Comptroller General or any of his authorized representatives, upon request, in the course of the performance of duties of the General Accounting Office relating to the management of quality military recruitment.

The Attorney General of the United States or his authorized representatives in connection with litigation, fraudulent enlistment or other matters under the jurisdiction of such agencies. Officials and employees of other Departments and agencies of the Executive Branch of government, upon request, in the performance of their official duties related to the management of quality military recruitment.

Officials and employees of the Veterans Administration and Selective Service Administration in the performance of their official duties related to enlistment and reenlistment eligibility and related benefits.

The Senate or the House of Representatives of the United States or any committee or subcommittee thereof on matters within their jurisdiction requiring disclosure of files or records of personnel covered by this system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File cabinets and magnetic tape

Retrievabiiity:

Information can be accessed by name and social security number

Safeguards:

Lists and files are handled with discretion and accessible only to those personnel having a need to know.

Retention and disposal:

Records are retained for the tenure of the individual involved or in the case of high school Armed Services Vocational Aptitude Battery lists for a maximum two-year period or until information is no longer useful for recruiting support.

Magnetic tapes are demagnetized; other manual files are shredded or burned when discarded.

System manager(s) and address:

Director, Recruiting Support Department, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203

Notification procedure:

Information may be obtained from: Director, Recruiting Support Department, Navy Recruiting Command, 4015 Wilson Boulevard, Arlington, Virginia 22203 Telephone: 202/692-4795

Requester is required to supply full name, rank/rate (if applicable), address and social security number.

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

Subject of the information; Field Recruiters; Area Commanders/ District Commanding Officers; Chief of Naval Personnel; Chief of Naval Reserve; District Commandants; Chief of Naval Education and Training; Vocational Testing Group; Recruit Training Commands; Service Schools Commands and other officials and employees in the Department of the Navy and other components of the Department of Defense in the performance of their officials duties and as specified by current instructions and regulations promulgated by competent authority.

Systems exempted from certain provisions of the act:

None

N68056 005

System name:

Legal Records System

System location:

Commanding Officer
Naval Regional Medical Center
San Diego, CA 92134

Categories of individuals covered by the system:

Patients, visitors, staff and employees of Naval Regional Medical Center, San Diego, CA 92134.

Categories of records in the system:

Incident reports and in-house investigations; records of Commanding Officer's Nonjudicial Punishment and appeals thereof; files of litigation and potential litigation.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations; Federal Tort Claims Act, Medical Care Recovery Act; Article 15, UCMJ.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Some are protected by attorney-client relationship, and thus are not released without consent of client or used in any way other than original purpose. Incident reports used for internal administration of Medical Center (to correct errors and improve procedures) and to notify attorney of incidents having a potential for legal action. In-house investigations used to prepare for litigation. Records of NJP used in administering Article 15, UCMJ, punishment and for referral to Military Personnel System (for performance evaluation, administrative separation, etc.).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders, forms, letters.

Retrievability:

Name.

Safeguards:

Available to staff of Staff Judge Advocate (three persons) on a 'need to know' basis only. Otherwise, maintained in locked cabinets and/or in locked rooms.

Retention and disposal:

Retained as required; destroyed or moved to National Personnel Records Center, St. Louis, MO, as directed by Department Regulations.

System manager(s) and address:

Staff Judge Advocate
Naval Regional Medical Center
San Diego, CA 92134

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by writing or visiting the System Manager and supplying full name, SSN, military status, approximate date of contact with system (if known).

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the System Manager.

Record source categories:

Investigative reports (as from JAG Manual investigations, Office of Naval Intelligence reports, Security System, etc.), Military Personnel System, medical records, personal interviews, personal observation, reported by persons witnessing or knowing of incidents.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N68142MHAS

System name:

Manhour Accounting System

System location:

Naval Education and Training Information Systems Activity Naval Air Station Pensacola, FL 32508

Categories of individuals covered by the system:

Active military and civilian personnel assigned to maintenance activities in the Naval Education Training Command

Categories of records in the system:

One type record which contains the following: Assigned organization code Work center code Name Grade code Pay rate Social Security Number NEC/MOS Labor Code Type Transaction Labor Code Hours assigned

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Master roster listing Work center labor code Work center labor utilization Grade code utilization Internal Navy Users are Naval Education Training Command Activities

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punched cards, magnetic tape and flat paper

Retrievability:

Organization code Social Security number Work Center

Safeguards:

Files are stored in a limited access area. Information provided via batch processing is of a predetermined and strictly formatted nature.

Retention and disposal:

Individual personal data are retained only for that period of time that an individual is assigned to or is supporting a training evolution or activity. Upon departure of an individual, personal data are deleted from the records and history records are not maintained.

System manager(s) and address:

Chief of Naval Air Training Building 1 Naval Air Station Corpus Christi, TX 78319
Records Holder:
Commanding Officer
Naval Education and Training
Information Systems Activity
Naval Air Station
Pensacola, FL 32508

Notification procedure:

Individuals desiring information whether the system contains records pertaining to them should request that determination from the Records Holder listed under SYSMANAGER. The requester should provide his social security number and full name. The office of the Records Holder listed under SYSMANAGER may be visited for this determination but the requester must present his social security card and military identification card.

Record access procedures:

The Agency's rules for access to records may be obtained from the systems manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing intitial determinations by the individual concerned may be obtained from the systems manager.

Record source categories:

Naval Air Training Command Activities and organizations

Systems exempted from certain provisions of the act:

None

N68142PDBA/SIPM

System name:

Personnal Data Base Application/Student Instructor Performance Module

System location:

Naval Education and Training Information Systems Activity Naval Air Station Pensacola, FL 32508

Categories of individuals covered by the system:

Students under instruction at Naval Air Training Command Activities Instructors at Naval Air Training Command Activities Staff and Base Support Personnel at Naval Air Training Command and Naval Air Training Command Activities

Categories of records in the system:

Basic Identification Records i.e., social security number, name, sex, date of birth. Personnel records i.e., rank/rate/grade, Branch of Service, Billet, Expiration of Active Obligated Service. Professional records i.e., Navy Enlisted Classification, Subspecialty Code, Test Scores. Educational Records i.e., Education Levels, Service and Civilian Schools attended, Degrees, majors. Location Records i.e., Duty Stations, Home addresses.

Authority for maintenance of the system:

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Student performance, progression and prediction Instructors Performance Organizational and Administrative Control Internal Navy Uses are Chief of Naval Personnel, Naval Air Training Command staff personnel, and NAVAIRTRACOM Activities staff personnel

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Punched cards, magnetic tape, direct access storage devices and flat paper.

Retrievability:

Social Security Number, Name

Safeguards:

Data on file is protected as follows. On-line access is controlled by terminal identification and a password system. Terminal Identification is positive and maintained by a single control point. Physical access to terminals is restricted to specifically authorized individuals. Password authorization, assignment and monitoring are the responsibility of the functional managers. Information provided via batch processing is of a predetermined and rigidly formatted nature. Any output is controlled by the functional managers who also control the distribution of output.

Retention and disposal:

Individual personal data is retained only for that period of time that an individual is assigned to or is supporting a training evolution or activity. Upon departure of an individual, personal data is deleted from the records. History records are not maintained.

System manager(s) and address:

Chief of Naval Air Training Building 1 Naval Air Station Corpus Christi, TX 78319
Records Holder:
Commanding Officer
Naval Education and Training
Information Systems Activity
Naval Air Station
Pensacola, FL 32508

Notification procedure:

Individuals desiring information whether the system contains records pertaining to them should request that determination from the Records Holder listed under SYSMANAGER. The requester should provide his social security number, full name and present status, i.e., Military or Civilian. The office of the Records Holder listed under SYSMANAGER may be visited for this determination but the requester must present his social security card and military or Civilian identification card.

Record access procedures:

The Agency's rules for access to records may be obtained from the systems manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the systems manager.

Record source categories:

Chief of Naval Personnel, Naval Air Training Command Activities staff and Instructors personnel, Educational Institutions, Individuals

Systems exempted from certain provisions of the act:

None

N68221 PERSRESCHSYSTM

System name:

Personnel Management and Training Research Statistical Data System

System location:

Commanding Officer
U. S. Navy Personnel Research and Development Center
San Diego, California 92152

Categories of individuals covered by the system:

U. S. Navy and Marine Corps Personnel and applicants thereto: Active duty, reserve, prior service, dependents, retired, and Department of the Navy civilians from 1951 to present. (Only samples of data from each category are on file, depending on research study.)

Categories of records in the system:

Performance, attitudinal, biographical, aptitude, vocational interest, demographic, physiological. Data in any file are limited, depending on purpose of the research study.

Authority for maintenance of the system:

5 USC 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The data are used solely by Navy Personnel Research and Development Center researchers who analyze them statistically to arrive at recommendations to management on such topics as: Comparison of different training methods, selection tests, equipment designs, or policies relating to improving race relations and decreasing drug abuse. In no case are the data used for other than statistical purposes; that is, the data are not used in making decisions affecting specific individuals as individuals.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes, magnetic disk, punched cards, and coding

Retrievability:

Records are retrievable by name, social security number, or service/file numbers, but such identifying information is used only to permit collation of data for statistical analysis, and is not used for retrieval of individual records.

Safeguards:

Unauthorized access to records is controlled by: Security clearances for all Research Center and contractor personnel; physical security including a badge system for entry to the Center and a 24-hour guard maintained on a fenced compound; control of visitors; data bank users having special access codes; and, access limited to only designated personnel.

Retention and disposal:

Records are destroyed five years after termination of a research project. They are maintained within the confines of the Research Center. Destruction is accomplished by degaussing magnetic tapes and disks, and punched cards are recycled.

System manager(s) and address:

Director of Programs (Code 03PA)
U. S. Navy Personnel Research and Development Center
San Diego, California 92152

Notification procedure:

Research Center files are organized by research study. To determine if Center files contain information concerning himself, an individual would have to specify time and place of participation in the research, unit to which attached at the time, and descriptive information about the study so that appropriate data may be located. For further information, contact the System Manager.
Office to visit: Contact System Manager
Visitor Identification: System Manager will specify

Record access procedures:

The agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the System Manager.

Record source categories:

The source depends on purpose and nature of study: From the subjects themselves, educational institutions, supervisors, peers, instructors, spouses, and job sample tests.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5U.S.C. 552 a (j) or (k), as applicable. For additional information, contact the System Manager.

N96021 - 263

System name:

Tests and Examinations Record Systems

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office-Navy (CAPSO-N); and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

All Navy civilian employees, or applicants for civilian employment paid from appropriated funds, serving under career, career-conditional and excepted appointment and occupying competitive excepted service positions.

Categories of records in the system:

System consists of non-automated records reflecting information pertaining to the employee's scores on a written or performance test.

Automated records of employees test scores are kept by some activities. Manual records of the test scores are maintained by the designated Test Control Officers in activities providing testing services.

Authority for maintenance of the system:

Title 5, USC 3304a ' Noncompetitive Examinations '

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties for merit promotion selection purposes, for placement, training and employee development purposes. Representatives of the United Sstates Civil Service Commission on matters relating to inspection, survey, audit or evaluation of Navy civilian personnel test and measurement programs, personnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian personnel records. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. A duly appointed Hearing Examiner for the purpose of conducting a hearing in connection with an employee's grievance or complaint involving the disclosure of the records pertaining to performance on the tests. The Senate or the House of Representatives of the United States or any Committee or subcommittee therof, any joint committee of Congress or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of test and examinations. Officials and employees of other Components of the Department of Defense in the Performance of their Official duties related to the selection of candidates for vacant positions. Officials and employees of other departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the selection of candidates for vacant positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records of test scores are retained in paper files folders. Automated records are on magnetic tapes, disks, or punched cards.

Retrievability:

Manual and automated records retrieved by the last name or social security number.

Safeguards:

Manual and automated records are available only to authorized personnel having a need to know.

Retention and disposal:

Manual and automated records of employee's test scores are retained for at least two years from the date of the test administration

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters and field activities employing civilians

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or the head of Navy Staff, Headquarters and field activities employing Civilians. The letter should contain the full name and social security account number of the requester and his signature. The individual may visit the SYSMANAGER at the address which is provided in the Department of the Navy Directory published in the Federal Register. Proff of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified with the individual's record.

Record access procedures:

The agench's rules for access to records may be obtained from SYSMANAGER

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's performance on officially approved Navy or the U S. Civil Service Commission written or performance tests.

Systems exempted from certain provisions of the act:

None

N96021-LQA

System name:

Living Quarters and Lodging Allowance

System location:

Overseas organizational elements of the Department of the Navy as indicated in the directory of Department of the Navy mailing addresses.

Categories of individuals covered by the system:

Appropriated and non-appropriated fund U.S. civilian employees eligible for allowance.

Categories of records in the system:

Employee's name, grade, address, rent and utility expenses, living quarters and lodging allowance, and name of family and/or members.

Authority for maintenance of the system:

Executive order number 10903 of 9 January 1961, executive order number 10970 of 27 October 1961, executive order number 10853 of 27 November 1959, and executive order number 10982 of 25 December 1961, as implemented by State Department regulation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by civilian personnel office to record employee's living quarters or temporary lodging allowance entitlement. Other users include Naval Supply Depot Payroll Office, the employing office, disbursing office; Commander, Fleet Activities FPO Seattle 98762; and the U.S. Department of State.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

File folders.

Retrievability:

File folders maintained by surname.

Safeguards:

Personnel screening and visitor control.

Retention and disposal:

Files retained for a period of two years and then destroyed

System manager(s) and address:

Overseas commanding officer of the activity in question See directory of Department of the Navy mailing addresses.

Notification procedure:

A copy of living quarters allowance is provided to each employee.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Official personnel files.

Systems exempted from certain provisions of the act:

None.

N96021-02

System name:

Supervisors Report of Potential to Perform and Reference Check Records System

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office-Navy (CAPSO-N); and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees, paid from appropriated funds serving under career, career-conditional, or excepted appointments who have applied for vacant positions under the Recruitment, Employment and Internal Placement Record System or who are registered in the Navy Civilian Career Management Inventory and Referral System, or who may submit nominations and applications for training programs under the Training and Employee Development Record System.

Categories of records in the system:

System comprises manual records reflecting information pertaining to the supervisor's judgement as to employee's potential to perform work in other positions and the responses to inquiries constituting reference checks in merit promotion, career management, employment and other actions. This information is used for screening and selection of candidates for employment, referral in career programs, training programs, or placement programs. Manual files, maintained in paper folders, contain the employee's appraisal of potential forms and/or reference checks.

Authority for maintenance of the system:

Title 5, US Code 301, 'Departmental Regulations'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in he performance of their official duties related to the screening and selection of candidates for training programs, career programs, or placement programs; and administration of grievances, appeals and litigation involving the disclosure of records of potential and reference checks. Representatives of United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs, or personnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. A duly appointed Hearing Examiner or Arbitrator (an employee of another Federal Agency) for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the career porgram, training program or employment or placement program. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the supervisor's report of potential to perform and the responses to reference checks. The Senate or the House of Representatives of the United States or any Committee or sub-committee thereof, any joint committee of Congress or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the supervisor's report of potential to perform and the responses to reference checks.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper file folders.

Retrievability:

Manual records are filed by name.

Safeguards:

Manual records are available only to authorized personnel having a need to know.

Retention and disposal:

Potential and reference check records are destroyed after two years.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters and field activities employing civilians. See EXEMPTION.

Notification procedure:

See EXEMPTION.

Record access procedures:

See EXEMPTION.

Contesting record procedures:

See EXEMPTION.

Record source categories:

See EXEMPTION.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N96021-06

System name:

Navy Automated Civilian Manpower Information System (NACMIS)

System location:

Office of Civilian Manpower Management (OCMM), Department of the Navy and designated contractors; field divisions of Civilian Manpower Management; Capital Area Personnel Services Office - Navy (CAPSO-N); and Navy staff, headquarters and field activities employing civilians, and the Navy Command Systems Support Activity and its designated contractors. The addresses of the activities are furnished in the Department of the Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Department of the Navy civilian employees paid from appropriated funds and Navy military personnel included in the automated training record segment of NACMIS.

Categories of records in the system:

The system comprises automated and non-automated records describing and identifying the employee (e.g., name, social security account number, sex, birth date, minority designator, citizenship, physical handicap code); the position occupied and the employee's qualifications; salary and salary basis; employee's status in relation to the position occupied and the organization to which assigned; tickler dates for impending changes in status; education and training records; previous military status; functional code; previous employment record; performance appraisal and other data needed for screening and selection of an employee; referral records; professional licenses and publications; and reason for position change or other action affecting the employee. The records are those found in the five modules of NACMIS which are: Training and Employee Development Record System/Training Requirements and Information Management System (TRIM); Personnel Automated Data System (PADS); Navy Civilian Career Management Inventory and Referral System; and local automated personnel Information System (LAPIS).

Authority for maintenance of the system:

5 USC 2951, Reports; 5 USC 301, Departmental Regulations; 5 USC 4103, Establishment of Training Programs; 5 USC 4118, Training; 5 USC 4115, Collection of Training Information; Executive Order 9397, Numbering System for Federal Accounts Relating to Individual Persons; Public Law 92-261, The Equal Employment Opportunity Act of 1972.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in performance of their official duties related to the management and administration of the Department's civilian personnel and civilian manpower planning programs and in the design, development, maintenance and operation of the automated system of records; employees and officials of the Department of Defense where there exists a need-to-know in the performance of their official duties; employees and officials of the Civil Service Commission in the performance of their official duties. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of Executive Branch agencies. Officials and employees of other departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for vacant positions. Representatives of the United States Department of Labor on matters relating to the inspection, survey, audit or evaluation of the Navy's apprentice training programs or on other such matters under the jurisdiction of the Labor Department. Representatives of the Veterans Administration on matters relating to the inspection, survey, audit or evaluation of the Navy's apprentice and on-the-job training program. The Computer Systems Group Contractor (or other such contractor) and its employees for the purpose of card punch recording of data from employee personnel actions and training documents, or data collection forms and other documents. Employees and officials of the Naval Command Systems Support Activity and their designated contractors for the purpose of systems support. A duly appointed hearing examiner or arbitrator (an employee of another Federal agency) for the purpose of conducting a hearing in connection with an employee's grievance. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of records. The Senate or the House of Representatives of the United States or any committee or sub-committee thereof, any joint committee of Congress or sub-committee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Department's civilian personnel and manpower management program. An appointed complaints examiner for the purpose of conducting a hearing in connection with an employee's formal Equal Employment Opportunity

(EEO) complaint. Officials and employees of schools and other institutions engaged to provide training. Employee unions when unions are authorized to canvas employees or at the time of a union election. Designated contractors of the Department of the Navy in performance of their duties with respect to equipment and system design, development, test and maintenance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tape, disc, drum and punched cards and computer printouts. Manual records are stored in paper file folders.

Retrievability:

Information is retrieved by Social Security Account Number (SSAN), name, or by specific employee characteristics such as date of birth, grade, occupation, employing organization, tickler dates; a combination of data elements contained in the Training Requirements Information Management (TRIM) subsystem, on apprentice program master files; academic specialty or education level. Specific subgroups of employees may be identified through the use of computerized indices. Manual records are retrieved by name.

Safeguards:

The computer facility and terminal are accessible only to authorized persons that have been properly screened, cleared and trained. Manual and automated records and computer printouts are available only to authorized personnel having a need-to-know. In the case of EEO data, output from the central Office of Civilian Manpower Management file is authorized only by the Department of the Navy Director of Equal Employment Opportunity or his Deputy. Output from the activity minority census files must be authorized in writing by either the head of the activity or the activity's deputy EEO officer.

Retention and disposal:

For TRIM and the apprentice programs the computer magnetic tapes are permanent. Manual records are maintained on a fiscal year basis and are retained for varying periods from 1 to 5 fiscal years. For the Department of the Navy's centrally-administered programs, files on selected candidates are maintained for 5 years (from date selection process is completed). Records of non-selected candidates are retained only for that period of time sufficient to permit appropriate review (usually less than 60 days). For PADS, computer magnetic tapes are retained permanently. Magnetic discs are erased after use. Computer printouts are destroyed after 3 months. Input documents (NAVSO12280/11) are destroyed after data is converted to machine readable form. Input punch cards are retained for 2 weeks. For career management computer magnetic tapes and discs are erased 5 years after they are created; manual records are destroyed 2 years after the employee has been dropped from the career inventory. Manual records are destroyed upon separation of the employee from the activity. For LAPIS, records are maintained in an active status until a separation action on an employee is completed. Historical records for LAPIS are maintained for a maximum of 5 years.

System manager(s) and address:

Director of Civilian Manpower Management, Office of Civilian Manpower Management, Department of the Navy and the commanding officers of the employee's activity.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER or to the civilian personnel officer under his cognizance. Requests must be accompanied by the individual's full name, social security number and name of employing activity. Requesters may visit the civilian personnel office of the naval activity covered by the system to obtain information. In such case proof of identity will consist of full name, social security account number and a third positive identification such as driver's license, Navy building pass or identification badge, birth certificate, Medicare card, etc. Address of the activity is furnished in the Department of the Navy directory of mailing addresses published in the Federal Register.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Categories of sources of records in the system are: the civilian personnel office of the employing activity; the payroll office; the security office of the employing activity; line managers, other designated officials and supervisors; the employee and persons named by the employee as references.

Systems exempted from certain provisions of the act:

None

N96021-07

System name:

Area Coordinator Information and Operation Files

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office-Navy (CAPSO-N); and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Civilian employees, paid from appropriated and non-appropriated funds, military personnel or private citizens affected by or involved in action of area coordination significance, and speakers, specialists and other interested participants.

Categories of records in the system:

System is composed of but not limited to records compiled in accordance with regulations, correspondence regarding status of EEO investigations, index file of program administration and interested participants including ad hocs, summaries compiled for budget administration, biographies of speakers or of key officials obtained from individual.

Authority for maintenance of the system:

Title 5, U.S.C. 301, Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management of civilian employees or of special programs. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian pesonnel management programs, or personnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management of special programs or subject. Officials and employees of other Departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the special programs or subject. A duly appointed Hearing Examiner or Arbitrator (an employee of another Federal agency) for the purpose of conducting a hearing in connection with an employee's grievance. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance. The Senate or the House of Representatives of the United States or any member, Committee or sub-committee thereof, any joint committee to Congress or sub-committee of joint committees on matters within their jurisdiction requiring disclosure of the files or records.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper file folders, list finders, index cards, or logs or other indexing systems.

Retrievability:

Records are retrieved by subject matter, or by name.

Safeguards:

Records are available only to authorized personnel having a need to know.

Retention and disposal:

Records are retained for varying lengths of time as required by local regulations; some records may be maintained indefinitely.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters, and field activities employing civilians. Addresses are provided in the Department of the Navy directory published in the Federal Register.

Notification procedure:

Requests by correspondence or in person should be made to the Director of Civilian Manpower Management, or to the head of the nearest Navy activity or to the Navy activity with which the individual is employed or serves as a contact point or participates with in matters relating to the program of his interest. Correspondence should contain the full name, social security number and signature of the requestor. For personal visits, proof of identification will consist of a Department of Defense or Navy building pass or identification badge or drivers license or other types of identification bearing his signature or picture or by providing information which may be verified against the record. Addresses of these activities are in the directory of Department of the Navy mailing addresses.

Record access procedures:

The Agency's rules for access to records may be obtained from the System Manager.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the System Manager.

Record source categories:

Navy Civilian Personnel Offices and their representatives.

Systems exempted from certain provisions of the act:

NONE

N96021-21

System name:

Navy Civilian Career Management Inventory and Referral System

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office-Navy (CAPSO-N); and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees, paid from appropriated funds serving under career or career-conditional appointments and occupying competitive service positions, who are registered in the career inventory system

Categories of records in the system:

System comprises automated and non-automated records reflecting information pertaining to the employee's identification, education, qualifications, training, abilities, current and previous employment, professional licenses, authored publications, and the appraisal of the employee's performance and potential by supervisors and by associates named by the employee, and other data needed for screening and selection of candidates for referral for vacant positions. The manual files, maintained in paper folders, contain the employee's registration document, appraisal forms, responses to reference inquiries, and a record of referrals.

Authority for maintenance of the system:

Title 5, USC 4103, 'Establishment of Training Programs' and Executive Order 9397, 'Numbering System for Federal Accounts Relating to Individual Persons'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management of civilian employee career programs; the design, development, maintenance, and operation of the manual and automated system of records; the screening and selection of candidates for vacant positions in the occupations and specialties covered by the inventories; and administration of grievance, appeals, and litigation involving the disclosure of records of the career management system. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs, or personnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the screening and selection of candidates for vacant positions in the occupations and specialties covered by the inventories; or in the management of Department of Defensewide career programs. Officials and employees of other Departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for vacant positions in the occupations and specialties covered by the inventories. The Computer Systems Group Corporation (a contractor) and its employees for the purpose of card punch recording of data from employee registration forms and other documents. A duly appointed Hearing Examiner or Arbitrator (an employee of another Federal Agency) for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the career management and referral system. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the career management inventory and referral system. the Senate or the House of Representatives of the United States or any member, Committee or sub-committee thereof, any joint committee to Congress or sub-committee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the career management system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes and discs and on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by social security number and name, or by one, or a combination, of characteristics such as education level or academic speciality. Manual records are by last name.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Computer magnetic tapes and discs are erased 5 years after they are created. Manual records are destroyed 2 years after the employee has been dropped from the career inventory.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters and field activities employing civilians.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management (Attn. Code 21) Department of the Navy, Washington, D.C. 20390. The letter should contain the full name and social security account number of the requester and his signature. The individual may visit the Navy Civilian Career Management Center (CCMC), Room 820, Crystal Plaza Building Number 5, 2211 Jefferson Davis Highway, Arlington, Virginia, or the Civilian Personnel Office of the Navy activity at which he is currently employed, or of the nearest Navy activity, which office will contact the CCMC by telephone, 202-692-1270, if no record is locally available. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified with his career inventory record.

Record access procedures:

The agencies rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Navy civilian personnel offices; current and previous supervisors of the employee; current and previous associates of the employee named by the employee as references.

Systems exempted from certain provisions of the act:

NONE

N96021-26

System name:

Recruitment, Employment and Internal Placement

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Offices-Navy (CAPSO-N), and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Current and former civilian employees of the Department of the Navy and individuals who may have applied for civilian positions with the Department of the Navy.

Categories of records in the system:

System comprised of automated and non-automated records, including correspondence, reflecting information pertaining to individual's identification, current and previous employment, related background information provided by the individual, education and training, appraisal of individual's performance (and records of potential obtained after September 27, 1975) by supervisors and by other associates, and other data needed for screening and selection, rating and ranking, of candidates for positions of merit promotion and continued employment with the Department of the Navy.

Authority for maintenance of the system:

Title 5, USC, Book I, Vol. B, Chapter 31 'Authority for Appointment', Chapter 33 'Examination, Selection and Placement', and Chapter 35 'Retention Preference, Restoration and Reemployment'. Executive Orders 10577 'Career Conditional Appointment System', 10774 'International Organizations', 10973 'Foreign Assistance', 11103 'Peace Corps Volunteers; employment of former', 11222 'Conduct of Employees and Conflicts of Interest', 11315 'Executive Assignment System', 11478 'Equal Employment Opportunity', 11521 'Transitional and Veterans Readjustment Appointments', 11552 'International Organizations', 11589 'Intergovernmental Personnel Act', 11695 'Stabilization of the Economy', 11701 'Employment of Veterans', 11813 'Cooperative Education'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the recruitment, employment, merit promotion and internal placement, and non-disciplinary separation of civilian employees. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs, or personnel actions, or such other matters under the jurisdicition of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to recruitment, employment, internal placement, and non-disciplinary separations of civilian employees. Officials and employees of other Departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to recruitment, employment, internal placement, and non-disciplinary separations of civilian employees. A duly appointed Hearing Examiner or Arbitrator (an employee of another Fereral agency) for the purpose of conducting a hearing in connection with an employee's grievance related to recruitment, employment, merit promotion, internal placement, and non-disciplinary separations. An arbitrator who is given a contract pursuant to the negotiated labor agreement to hear an employee's grievance involving the disclosure of records of employment, recruitment, merit promotion, internal placement, or non-disciplinary separation. The Senate or the House of Representatives of the United States or any member, Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of recruitment, employment, internal placement or non-disciplinary separations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes and discs and on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by Social Security number and name, or by one, or a combination, of characteristics such as education level, of academic speciality. Manual records are by last name.

Safeguards:

Automated and manual records are available only to authorized personnel having a need to know.

Retention and disposal:

Records are maintained from a minimum period of one year to, in some cases, permanent retention.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters and field activities employing civilians.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or the head of Navy Staff, Headquarters and field activities at which the individual is or was employed or to which he has submitted an application for employment. The letter should contain the full name and Social Security account number of the requester and his signature. The induvidual may visit the SYSMANAGER at the address which is provided in the Department of the Navy Directory published in the Federal Register. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verfied with the individual's records

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Navy civilain personnel offices; Navy recruiters; current and previous supervisors of the employee; current and previous associates of the employee named by employee as references; educational institutions; automated interface systems.

Systems exempted from certain provisions of the act:

NONE

N96021-261

System name:

Appraisals of Performance Record System

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office-Navy (CAPSO-N); and Navy Staff, headquarters, and field activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees, paid from appropriated funds, serving under career, career-conditional, and excepted appointments; except those employees exempt by the Civil Service Commission and OCMM.

Categories of records in the system:

System comprised of automated and non-automated records reflecting information pertaining to the employee's performance. Manual records of evaluations and ratings are maintained in the official personnel folder and other files and may be retained by the supervisor. Other files are maintained on appeals of ratings, correspondence on inquiries, warning letters, and supportive documentation on unsatisfactory and outstanding ratings.

Authority for maintenance of the system:

Title 5, USC 4302. 'Performance Rating Plans; Establishment of.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties involving the membership in performance rating panels or rating and ranking panels for merit promotion purposes, for merit promotion selection purposes, for award purposes, adverse action purposes, or for appeals purposes, or for career program assignment purposes. Representatives of the United States Civil Service Commission acting as Chairman of the Statutory Review Board on appeals of performance ratings for purposes of reviewing case files, conducting hearings and rendering decisions. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian personnel records. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Computer System Contractors and their employees for purposes of automatic listings of performance ratings. A duly appointed Hearing Examiner for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records pertaining to performance evaluation and rating. The Senate or the House of Representatives of the United States or any member, Committee or subcommittee thereof, any joint committee of Congress or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Appraisals fo Performance Record Systems. Officials and employees of other Components of the Department of Defense in the performance of their official duties related to the screening and selection of candidates for vacant positions. Officials and employees of other departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for vacant positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes and discs. Manual records and computer print-outs are retained in paper file folders.

Retrievability:

Manual records retained by name. Computer records are retrieved by Social Security number, payroll number, name, or other identifier.

Safeguards:

Manual and automated records are available only to authorized personnel having a need to know.

Retention and disposal:

Computer tapes and discs are erased after 5 years. Old computer print-outs are destroyed when the new print-outs are processed at the end of the performance rating period, which is on an annual basis. Manual records of satisfactory are retained for up to three years or longer when used for career management purposes. Outstanding and unsatisfactory ratings and supporting documents are retained permanently in the official personnel file or for a shorter period in other files.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy Staff, Headquarters and field activities employing civilians.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or the head of Navy Staff, Headquarters and field activities at which the individual is or was employed or to which he has submitted an application for employment. The letter should contain the full name and social security account number of the requester and his signature. The individual may visit the SYSMANAGER at the address which is provided in the Department of the Navy Directory published in the Federal Register. Proof of identification will consist of a Department of Defence (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified with the individual's record.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Navy civilian personnel offices; Navy recruiters; current and previous supervisors of the employee; current and previous associates of the employee named by the employee as references.

Systems exempted from certain provisions of the act:

NONE

N96021-41

System name:

Labor Management Relations Records System

System location:

Office of Civilian Manpower Management, Regional Offices of Civilian Manpower Management, Capital Area Personnel Services Office, Navy, and Navy Staff, Headquarters and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory, published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees paid from appropriated and non-appropriated funds, who are involved in a grievance which has been referred to an arbitrator for resolution; Navy civilian employees involved in the filing of an Unfair Labor Practice complaint which has been referred to the Assistant Secretary of Labor-Management Relations; union officials; union stewards; and representatives.

Categories of records in the system:

Records comprise: Manual files, maintained in paper folders, manually filed by type of case and case number (not individual). Folder contains all information pertaining to a specific arbitration case or specific Unfair Labor Practice with whom Navy has dealings; field activities maintain manual roster of local union officials and union stewards.

Authority for maintenance of the system:

Executive Order 11491, as amended 'Labor-Management Relations in the Federal Service.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the Labor-Management Relations Program, e.g.: Administration/implementation of arbitration awards; interpretation of the Executive Order through 3rd party case decisions; National Consultation and other dealings with recognized unions. Representatives of the U. S. Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Navy Civilian Personnel Management Programs. The Comptroller General or any of his authorized representatives, in the course of the peformace of duties of the General Accounting Office relating to the Navy's Labor Management Relations Program. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the administration of the Labor- Management Relations Program. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance. An arbritrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are retrieved by case subject, case number, and/or individual employee names.

Safeguards:

All manual files are accessible only to authorized personnel having a need to know.

Retention and disposal:

Case files are permanently maintained. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

The Director of Civilian Manpower Management, Department of the Navy, Washington, D. C. 20390.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management (Attn: Code 04), Department of the Navy, Washington, D. C. 20390; field activities.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appeaing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

V 4 4 D E 1 7 7 9 UMI

Navy civilian personnel offices; arbitrator's office; office of the Assistant Secretary of Labor for Labor-Management Relations; union headquarters offices.

Systems exempted from certain provisions of the act:

None

N96021-431

System name:

Employee Relations Including Discipline, Employee Grievances, Complaints, etc.

System location:

Office of Civilian Manpower Management, Regional Offices of Civilian Manpower Management, Capital Area Personnel Services Office, Navy, and Navy Staff, Headquarters and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory, published in the Federal Register

Categories of individuals covered by the system:

Navy civilian employees, paid from appropriated funds serving under career, career-conditional, temporary and excepted service appointments on whom discipline, grievances, and complaints records exist. Discrimination complaints of Navy civilian employees, paid from appropriated and non-appropriated funds, applicants for employment and former employees in appropriated and non-appropriated positions. Appeals of Navy civilian employees paid frm appropriated funds. Filipino employee appeal case files ('Filipinos who are lawfully admitted residents.') Cases reviewed by CINCPAC under Filipino Employment Policy Instructions. Management Operation Record System consisting of manual file maintained by immediate supervisors and high level managers concerning employee performance, capability, informal discipline, attendance, leave and tardiness, work assignments, and similar work related employee records.

Categories of records in the system:

Manual files, maintained in paper folders, contain copies of documents and information pertaining to discipline, grievances, complaints, and appeals.

Authority for maintenance of the system:

Executive Order 9830, Amending the Civil Service Rules and Providing for Federal Personnel Administration; 4 U.S.C. 1302, 3301, 3302; Executive Order 10577, Amending the Civil Service Rules and Authorizing a New Appointment System for the Competitive System. P.L. 92-261, The Equal Employment Opportunity Act of 1972; P.L. 93-259, extension of Age Discrimination in Employment Act of 1967. 5 U.S.C. 7512; Executive Order 11491, Labor-Management Relations in the Federal Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials of the Department of the Navy in the performance of their official duties related to the management of civilian employees in the processing, administration, and adjudication of discipline, grievances, complaints, appeals, litigation, and program evaluation. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian personnel management programs or personnel actions, or such other matters under the jurisdiction of the Commission. Appeals officers and complaints examiners of the Federal Employee Appeals Authority for the purpose of conducting hearings in connection with employees appeals from adverse actions and formal discrimination complaints. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatves in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. The Senate or the House of Representatives of the United States or any member, committee or subcommittee of joint committees on matters within their jurisdiction relating to the above programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are filed by last name.

Safeguards:

All records are stored under strict control, and are available only to authorized personnel having a need to know.

Retention and disposal:

Manual records are destroyed upon separation of the employee from the activity, or in accordance with appropriate record disposal schedule.

System manager(s) and address:

The Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390, Commanding Officers or Heads of Navy Staff Headquarters and Field Activities. The letter should contain the full name, social security number, and signature of the requester. The individual may visit the Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. or the Navy activity at which he or she is employed. The addresses of these activities are provided in the Department of the Navy Directory, published in the Federal Register.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from SYSMANAGER.

Record source categories:

Supervisors or other appointed officials designated for this purpose.

Systems exempted from certain provisions of the act:

NONE

N96021-433

System name:

Employee Assistance Program Case Record System

System location:

Office of Ciilian Manpower Management, Regional Offices of Civilian Manpower Management, Capital Area Personnel Services Office, Navy, and Navy Staff, Headquarters and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy Directory, published in the Federal Register.

Categories of individuals covered by the system:

All civilian employees in appropriated and non-appropriated fund activities who are referred by management for, or voluntarily request, counseling assistance.

Categories of records in the system:

System is comprised of case records on employees who are patients (counselees) which are maintained by individual counselors and consist of information on condition, current status, and progress of employees or dependents who have alcohol, drug, emotional, or other personal problems.

Authority for maintenance of the system:

Drug Abuse Office and Treatment Act of 1972, as amended by Public Law 93-282 (21 U.S.C. 1175); Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended by Public Law 93-282 (42 U.S.C. 4582); Subchapter A of Chapter I, Title 42, Code of Federal Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Navy counselor in the execution of his counseling function as it applies to the individual patient (counselee). With specific, written authority of the patient, selected information may be provided to and used by other counselors or medical personnel, research personnel, employers, patient representatives such as legal counsel, and to other agencies or individuals when disclosure is to the patient's benefit, such as for processing retirement applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case records are stored in paper file folders.

Retrievability:

By employee name or by locally assigned identifying number.

Safeguards:

All records are stored under strict control. They are maintained in spaces normally accessible only to authorized persons, normally in locked cabinets.

Retention and disposal:

Records are purged of patient identifying information within five years after termination of counseling.

System manager(s) and address:

The Director of Civilian Manpower Management and Employee Assistance Program Administrators at Department of the Navy Staff, headquarters and field activity levels.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or to the appropriate Employee Assistance Program Administrator. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

The agency's rules for access to records may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Counselors; other officials, individuals or practitioners; and other agencies both in and outside of Government.

Systems exempted from certain provisions of the act:

NONE

N96021-434

System name:

Suggestions and Awards Record System

System location:

Office of Civilian Manpower Management (OCMM), Regional Office of Civilian Manpower Management (ROCMM), Capital Area Personnel Services Office, Navy (CAPSO-N), and Navy Staff, headquarters and field activities. Addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees paid from appropriated funds, military personnel on active duty, and private citizens who have received or have been nominated for Department of Navy, Department of Defense or Presidential awards.

Categories of records in the system:

Automated records contain data relating to Quality (Salary) Increases. Manual records contain information relating to Superior Performance, Special Achievements, Beneficial Suggestions, Inventions, Scientific Achievements; Navy honorary awards, such as Distinguished Civilian Service Award, non-Navy awards; e.g., Rockefeller Public Service Award and Civil Service League Awards. Records of awards to private citizens for contributions benefitting the Navy are also maintained.

Authority for maintenance of the system:

Section 4503 of Title 5, U.S. Code (Civilian cash awards), 10 USC 1124, P.L. 89-198 (Cash Awards for Suggestions, Inventions, and Scientific Achievements for Military Personnel).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to recognition of accomplishments and contributions by Navy Department personnel and related statistics. Representatives of the U.S. Civil Service Commission on matters relating to inspection, survey, audit or evaluation of Navy Incentive Awards Programs. The Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Navy Incentive Awards Program. The Attorney General of the United States or his authorized representatives with respect to litigation or other matters under the jurisdiction of the Department of Justice or carried out as the legal representative of Executive Branch agencies. Officials and employees of the other components of the Department of Defense in performance of their official duties relating to matters of mutual concern with respect to the DOD Incentive Awards Programs. Officials and employees of other Departments and agencies of the Executive Branch of the Government in the performance of their official duties relating to matters of mutual concern regarding Incentive Systems Programs of the U.S. Government. A duly appointed Hearing Examiner or Arbitrator for the purpose of conducting a hearing in connection with an employee's grievance or complaints involving disclosure of the status or disposition of award claim or nominations. Any member or official representative of the Legislative Branch of U.S. Government on matters within their jurisdiction or in behalf of constituents involving disclosure of records of the Navy Incentive Awards Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, discs, and/or on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrived by social security number and name, or by one, or a combination of characteristics, academic speciality. Manual records are by last name.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons who are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

Computer tapes and discs are erased five years after they are created. Most manual records of Beneficial Suggestions are destroyed two years after the cases are closed. Others are retired in accordance with the appropriate activity records disposal schedule. Most honorary awards records are retained two to five years and sent to the Records Center or destroyed. Records of awards conferred by the Secretary of the Navy are retained indefinitely in OCMM for availability of information often requested by authorized sources.

System manager(s) and address:

The Director of Civilian Manpower Management, and the heads of Navy staff, headquarters and field activities. Addresses are provided in the Department of Navy Directory published in the Federal Register.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or to the Head of Navy Staff, headquarters or field activity where the individual is or was employed. The letter should contain the full name and social security account number of the requester and his signature. The individual may visit OCMM, the Civilian Personnel Office of the Navy activity at which he is or was previously employed, or of the nearest Navy activity, which office will contact the Office of Civilian Manpower Management, if no record is locally available. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or driver's license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The Department of the Navy's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Navy civilian personnel offices and current and previous supervisors of the employee.

Systems exempted from certain provisions of the act:

None

N96021-44A

System name:

Navy Central Clearance Group (NCCG) Records

System location:

Office of Civilian Manpower Management (Code 44), Department of the Navy, Washington, DC 20390

Categories of individuals covered by the system:

Incumbent and former civilian employees in and applicants for sensitive and nonsensitive postions at Department of the Navy appropriated fund activities.

Categories of records in the system:

The records are comprised of (1) reports and other investigative material and information developed by investigations conducted by Federal investigative agencies pursuant to statute and executive order; (2) reports of arrest, criminal activity and theirdisposition, (3) results of the review of the reports by the NCCG, including the security or suitability determination made on the case; (4) copies of

correspondence regarding the case and/or reflecting the determination made by the NCCG; and (5) an index file card on each case.

Authority for maintenance of the system:

(1) Executive Order 10450 (as amended), 'Security Requirements for Government Employment'. (2) 5 USC 7532, 'Suspension and Removal'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are maintained (1) to meet the statutory requirements of 5 USC 7532 and E.O. 10450 which require the establishment and maintenance of an effective program to insure that the employment and retention in employment of any civilian officer or employee within the Department is clearly consistent with the interest of the national security and which require adjudication and readjudication of the information as appropriate, and (2) to have the material furnished by the Civil Service Commission readily available for return to the Commission upon request. Upon receipt of investigative reports and security information on civilian employees and applicants, the NCCG reviews the material. The Office of Civilian Manpower Management (OCMM) Security Branch then transmits the material to the employing activity with a letter or stamped endorsement apprising the command of the security determination made by the NCCG. During the period that the reports and documents are at an activity, the material is under the custody of the activity's Security Manager. Following the review of the material by the activity's commanding officer or his designee, the material is (1) returned to the source from which received, if required, (2) retained until the employee is separated, or (3) destroyed if it is of no further value. If the employing activity determines that an adverse action aganst the employee is warranted based on information in the report, appropriate action in accordance with Civil Service Commission suitability procedures is initiated by the activity. In some cases the NCCG will make a suitability determination. Other users of the records may include members of Security Hearing Boards and officials and employees of the Department of the Navy in performance of their official duties related to the Department of the Navy Civilian Personnel Security Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in file folders and on file cards

Retrievability:

Name (last, first, middle) and date of birth.

Safeguards:

Records maintained in GSA approved security containers accessible only to authorized employees of OCMM Security Branch who are properly screened and trained and who have proper security clearance.

Retention and disposal:

Records with the exception of the index file card are retained in active file until end of third calendar year following last entry and then retired to the Federal Records Center, Suitland, MD. Index cards are retained in active file until destroyed. Records are destroyed in accordance with GSA General Schedule 18.

System manager(s) and address:

The Director of Civilian Manpower Management, Department of the Navy, Washington, DC 20390.

Notification procedure:

Request should be by correspondence addressed to the Director of Civilian Manpower Management (Attn: Code 44), Department of the Navy, Washington, DC 20390. The letter should contain the full name, date and place of birth, and social security number of the requester and his signature.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from SYSMANAGER.

Record source categories:

Investigation results and information provided by appropriate investigative agencies of the Federal Government.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N96021-44B

System name:

Civilian Personnel Security Files

System location:

Department of the Navy Staff, Headquarters and Field Activities employing civilians in sensitive and nonsensitive positions. Official mailing addresses are provided in the Department of the Navy Directory published in the Federal Register.

Categories of individuals covered by the system:

Civilian employee, nonappropriated fund employees, contractor employees and visitors requiring base or activity access, and applicants under consideration for employment within the employing activity.

Categories of records in the system:

Files contain records and information appropriate to the activities civilian employee security program and may include certificates of personnel security clearances and source documents which identify the appropriate investigative basis for clearance eligibility, security access information, copies of requests for investigation, personal history and qualifications statements and other information provided by the employee, signed security briefing and debriefing statements, exception documents, copies of letters of reprimand or suspension, memorandums between the personnel officer or other officers and the security manager, final and interim reports of investigations completed, correspondence concerning personnel security matters, records of security orientation, education and training provided employees, internal security information, records of security violations, and information from law enforcement agencies, former employers and supervisors, references and schools attended.

Authority for maintenance of the system:

Executive Order 10450 (as amended), 'Security Requirements for Government employment' Internal Security Act 1950, 18 USC 1382, and Title 18 U.S. code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide an effective program to insure that the employment and retention in employment of any civilian officer or employee within the activity is clearly consistent with the interests of national security. To determine the investigative requirements for appointment and retention of civilian officers and employees. To provide information concerning the security clearance and degree of access granted each employee. To provide a basis by which an applicant or employee may be determined suitable for employment or retention in employment in sensitive or nonsensitive positions within the Federal civilain service. To provide a record of favorable security and suitability determinations made by the Navy Central Clearance Group, of favorable and unfavorable determinations made by the Secretary of the Navy and of suitability determinations made by the Civil Service Commission and the activity. Users include officials and employees of the Department of the Navy in the performance of their official duties related to the Department of the Navy Civilian Personnel Security Program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and on file cards.

Retrievability:

Name (last, first, middle), date of birth, and social security number.

Safeguards:

Safekeeping and storage in accordance with the Department of the Navy Information Security Program Regulation, OPNAV 5510.1E, Chapter V.

Retention and disposal:

Records are retained during the employment of the employee at the activity, and during period applicants are being considered for employment, but may be disposed of at any time after serving their purpose. The records are disposed of upon separation (retirement, transfer, resignation, termination, etc.) of the employee. Disposal may be made by (1) return to the source from which received, if required, (2) forwarding to the Department of Defence activity to which an employee is transferred, or (3) destruction.

System manager(s) and address:

Commanding officers of Heads of Department of the Navy Staff, Headquarters and field activities employing civilians.

Notification procedure:

Request should be by correspondence addressed to the SYSMANAGER. The letter should contain the full name, date and place of birth, and social security number of the requester and his signature. Official mailing addresses are provided in the Department of the Navy Directory, published in the Federal Register. The employee may visit the Security Manger's Office of the activity at which she or he is employed.

Record access procedures:

The agency's rules for access may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from SYSMANAGER.

Record source categories:

Investigation results and information provided by appropriate investigative agencies and the Office of Civilian Manpower Management.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under 5 U.S.C. 552 a (j) or (k), as applicable. For additional information contact the System Manager.

N96021-51

System name:

Job Evaluation, Position Classification, Job Grading, Position Management, etc.

System location:

Office of Civilian Manpower Management, Department of the Navy; Regional Offices of Civilain Manpower Management; Capital Area Personnel Servicing Office-Navy; and Navy Staff, Headquarters, and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Civilain employees paid from appropriated and non-appropriated funds, serving in jobs and positions covered by Title 5, United States Code.

Categories of records in the system:

System is comprised of descriptions of duties and responsibilities constituting jobs and positions to which individual employees are assigned, evaluation statements regarding those jobs and positions, audit notes related to those jobs and positions, appeal decisions regarding those jobs and positions, and other miscellaneous information which relates to those jobs and positions. Files are maintained in loose leaf binders or paper folders which are filed by organizational location, occupational title, occupational code, and/or employee's name.

Authority for maintenance of the system:

Title 5, United States Code Sections 5101, 5106, 5107, 5108, 5110, 5112, 5113, 5346 Classification, Pay Rates and Systems

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy, the Department of Defense, and the Civil Service Commission in the performance of their duties related to recruitment, selection, retention, training, and promotion of employees, classification of positions and grading of jobs, adjudication of employee appeals, management of resources, determination of pay rates for employees, determination of benefits for employees, and other management related functions which involve the categorization of jobs, positions, or employees by the types of duties and responsibilities assigned and/or performed. Labor organization members and/or representatives involved in representation of employees in grievance and appeal cases. The Comptroller General of the United States or his representatives in the performance of duties related to the management of government operations. The Attorney General of the United States or his representatives in cases involving litigation, law enforcement, or other official matters. Hearing examiners and/or arbitrators during hearings regarding employee grievances. Members or committees of the Congress of the United States in cases wherein civilian employment matters are under study or investigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in loose leaf binders or paer file folders.

Retrievability:

Records are retrieved by job or position title, job or position number, organizational location, job or position occupational code, and/or by employee name directly or through cross reference files maintained by other entities.

Safeguards:

Files are maintained in standard file cabinets or bookcases. Files are located in buildings or spaces which are locked to the public during non-working hours. Files are issued only on the basis of a demonstrated need to know.

Retention and disposal:

Files are maintained during the period of their currency and must be maintained for 2 years after positions or jobs are abolished or superseded.

System manager(s) and address:

The Director of Civilian Manpower Management and the heads of Navy Staff, Headquarters, and Field Activities employing civilians. Addresses are provided in the Department of the Navy directory published in the Federal Register.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, Department of Navy, Washington, D.C. 20390, or the head of the concerned Navy Staff, Headquarters, or Field Activity of current or former employment. Mailing addresses for the concerned activities are provided in the Department of the Navy directory published in the Federal Register. Correspondence should contain the requester's name, job or position title, series and grade, organizational assignment, employing activity name and address, and official signature or witnessed mark. The individual requester may visit the Office of Civilian Manpower Management, 1735 North Lynn Street, Arlington Virginia, the various Regional Offices of Civilian Manpower Management, Navy Staff or Headquarters offices, or the Personnel Office of the Navy activity at which currently or formerly employed or of the nearest Navy activity to request information. The office contacted will contact the cognizant office by telephone if no record is locally available and the cognizant office can be identified. Addresses of activities and offices are provided in the Department of the Navy directory published in the Federal Register. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass or identification badge, driver's license, or other type of identification bearing a photograph or signature or both, or by providing verbal information that can be verified by reference to the file information requested.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Navy Civilain Personnel Offices and their representatives, current and previous supervisors and/or associates of the employee, employees' representatives, and other miscellaneous sources having knowledge of the employees' assigned duties and responsibilities, past and present.

Systems exempted from certain provisions of the act:

NONE

N96021-53

System name:

Health Programs, Insurance and Annuties

System location:

Office of Civilian Manpower Management, Heads of Navy Staff, Headquarters and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees who are injured while in the performance of duty.

Categories of records in the system:

Files consist of non-automated records concerning information pertaining to the employee's identification, address, injury or occupational disease, and attending physician's report.

Authority for maintenance of the system:

Title 5, U.S. Code 8120, Report of injury and 8121, Claim

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy and the Department of Labor in the performance of their official duties related to the processing of injury compensation claims. The Comptroller General, or any of his authorized representatives, in the performance of duties of the General Accounting Office with regard to claims arising from on-the-job injuries. The Justice Department in the event of litigation, insuring agencies, the Civil Service Commission, and beneficiaries, or their legal representatives, in connection with injury, health benefits, or life insurance claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper file folders

Retrievability:

Records are retrieved by employee name directly.

Safeguards:

Records are available only to authorized personnel having a need to know.

Retention and disposal:

Manual records are kept indefinitely

System manager(s) and address:

The Director of Civilian Manpower Management, and the Heads of Navy Staff, Headquarters, and Field Activities employing civilians Addresses are provided in the Department of the Navy directory published in the Federal Register.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390, or the head of the concerned Navy Staff, Headquarters, of Field Activities. Mailing addresses for the concerned activities are provided in the Department of the Navy directory published in the Federal Register. Correspondence should contain the requestor's name, employing activity name and address, and official signature. The individual requestor may visit the Office of Civilian Manpower Management, 1735 North Lynn Street, Arlington, Virginia, Navy Staff or headquarters offices, or the Safety Office of the Navy activity at which currently or formerly employed.

Record access procedures:

The agency's rules for access to records may be obtained from the systems manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the systems manager.

Record source categories:

Navy safety offices.

Systems exempted from certain provisions of the act:

NONE

N96021-54

System name:

Travel Allowance Claims Record System

System location:

Office of Civilian Manpower Management, Department of the Navy; Regional Offices of Civilian Manpower Management; Capital Area Personnel Servicing Office-Navy; and Navy Staff, Headquarters, and Field Activities employing civilians. Mailing addresses are provided in the Department of the Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees, with or without compensation, or a new appointee to a position outside the continental United States, or to certain positions within the 50 States and the District of Columbia. When performing official travel at the expense of the Department of the Navy, employees of other Government departments and agencies.

Categories of records in the system: System comprises nonautomated records reflecting information pertaining to the employee's identification, travel authorizations including dates of travel, expense incurred, locations visited; movement of household goods including weight, method and cost of shipment; and number and identification of dependents.

Authority for maintenance of the system:

Chapter 57 of Title 5, United States Code, Travel, Transportation and Subsistence

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the authorization of official travel, reinbursement of expenses incurred by the travelers, and auditing of travel claims and payments made to travelers. The Comptroller General, or any of his authorized representatives, in the performance of duties of the General Accounting Officer relating to the review of supplemental travel claims and to other aspects of the Navy's civilian manpower management programs. The Department of Defense Per Diem, Travel and Transportation Allowance Committee in its review of requests for actual expense allowances. The Justice Department in the event of litigation.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are stored in paper file folders

Retrievability:

Records are retrieved by last name

Safeguards:

Records are maintained in file cabinets in buildings or spaces which are locked to the general public during non-working hours and are available only to authorized prsonnel having a need to know.

Retention and disposal:

Records are maintained indefinitely

System manager(s) and address:

The Director of Civilian Manpower Management and the heads of Navy Staff, Headquarters, and Field Activities employing civilians. Addresses are provided in the Department of the Navy directory published in the Federal Register.

Notification procedure:

Request by correspondence should be addressed to the civilian personnel office or comptroller department of the activity which issued the travel orders or processed the travel claim. The letter should contain the full name of the requester and his signature. The individual may visit the civilian personnel office of the Navy activity at which he is currently employed, or of the nearest Navy activity, which office will contact the appropriate civilian personnel office or comptroller department by telephone. Proof of identification will consist of a Department of Defense or Navy building pass or identification badge, or drivers license, or by other types of identification bearing picture or signature.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determiniations by the individual concerned may be obtained from the system manager.

Record source categories:

Travel orders prepared by a transportation officer, travel claims submitted by the employee, and supevisors requiring the travel in connection with official duties.

Systems exempted from certain provisions of the act:

NONE

N96021-62

System name:

Personnel Automated Data System (PADS)

System location:

Office of Civilian Manpower Management (OCMM), Capital Area Personnel Services Office-Navy (CAPSO-N), Regional Offices of Civilian Manpower Management, and Navy Staff, Headquarters and Field activities employing civilians. Mailing addresses are provided in the Dept. of the Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees paid from appropriated funds. Covers all United States citizen direct hire employees (full time, part time, and intermittent pay basis) and Non-citizens who are direct hire employees paid from appropriated funds.

Categories of records in the system:

System comprises automated records reflecting information pertaining to the employee's identification and other items pertaining to the employee such as: name, unit identification code, sex, birthdate, citizenship code, minority group identifier, veterans preference code, type of appointment code, tenure code, service computation date, physical handicap code, retirement status code, federal employees group life insurance code, pay plan, occupation/series/grade/step, functional code, pay base, salary, location code, position occupied code, state apportionment code, uniformed service designation code, date of retirement from uniform service, uniformed service pay grade, workschedule code, pay rate determinant code, special program identifier code, supervisory position code, position status code, excepted appointment code, strength accounting status code, overseas transportation agreement code. The manual files maintained in paper folders contain the Individual Employee Data Collection NAVSO Form 12280/11, Notification of Personnel Action, Standard Form 50 as modified by the Navy, Payroll Change Slip, Standard Form 1126 and computer printouts.

Authority for maintenance of the system:

Title 5 USC 301 'Departmental Regulations'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management of the Navy direct hire employees paid from appropriated funds; the design, development, maintenance and operation of the automated system of records. The United States Civil Service Commission, as systems proponent for the Federal-wide Central Personnel Data File because the Navy Personnel Automated Data System is the central Navy-wide source of data to that system, and on matters relating to the inspection, survey, audits or evaluation of Navy civilian personnel management programs, or personnel actions, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian manpower management programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the management of the Department of Defense civilian manpower management programs. Officials and employees of other Departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the management of civilian manpower management programs. The Computer Systems Group Corporation (a contractor) and its employees for the purpose of card punch recording of data from employee personnel action documents or data collection forms and other documents. The Senate or the House of Representatives of the United States or any member Committee or sub-committee therof, any joint committee of Congress or subcommittee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Navy's civilian manpower management program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes and discs and on punched cards and computer printouts. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by social security number, name, or by one, or a combination of data elements such as Submitting Office Number (SON), Unit Identification Code (UIC), Major Claimant Code, Occupational Series, Grade, etc.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need to know. Minority data outputs are authorized by the DON Director of EEO or his deputy.

Retention and disposal:

Computer magnetic tapes are retained permanently. Magnetic discs are erased after use. Computer printouts are destroyed after three months. Input documents (NAVSO 12280/11) are destroyed after data is converted to machine readable form. Input punch cards are retained for two weeks.

System manager(s) and address:

The Director of Civilian Manpower Management, and the Head of Navy Staff, Headquarters, and Field activities employing civilians.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management or the Head of Navy Staff, Headquarters or Navy Field activities where the individual is currently employed or was last employed. Mailing addresses are provided in the Department of the Navy directory, published in the Federal Register. The letter should contain the full name and social security account number of the requester and his signature. The individual may visit the Office of Civilian Manpower Management, Pomponio Plaza Building, 1735 N. Lynn Street, Arlington, VA, or the Civilian Personnel Office of the Navy activity at which he is currently employed, or of the nearest Navy activity, which office will contact the OCMM Code 62 by telephone 202-694-8535 if no record is locally available. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified with his career inventory record.

Record access procedures:

The agency's rules may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Navy Civilian personnel offices

Systems exempted from certain provisions of the act:

None

N96021-63

System name:

Local Automated Personnel Information System (LAPIS)--Prototype.

System location:

The Office of Civilian Manpower Management, Dept of the Navy and contractors under agreement with OCMM. The Civilian Personnel Offices located at activities employing civilians The following activity in performance of system design, development and maintenance, Naval Command Systems Support Activity (NAVCOSSACT) and contractors under agreement with NAVCOSSACT. The addresses of the above are furnished in the Department of the Navy directory published in the Federal Register

Categories of individuals covered by the system:

All Navy and Marine Corps civilian employees paid from appropriated fund

Categories of records in the system:

The system contains automated records containing information describing and identifying the employee (e.g. name, sex, birth date, minority designator, citizenship, physical handicap code); the position he/she occupies and his/her qualifications; salary and salary basis; his/her status in relation to the position occupied and the organization to which assigned; tickler dates for impending changes in status; educational background; previous military status; and reason for position change or other action affecting the employee.

Authority for maintenance of the system:

Title 5, USC.2951 Reports; and 5 USC 301 Departmental Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To support the production of all official records and reports pertaining to the employment of civilian appropriated fund employees employed by activities serviced by the participating civilian personnel offices. Users are: Employees and officials of the Department of the Navy and Department of Defense where there exists a need-to-know in the performance of their official duties; Employees and officials of the Civil Service Commission in the performance of their official duties; The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to Navy's civilian manpower management programs; The Attorney General of the United States or his authorized representatives in connection with the litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies; A duly appointed Hearing Examiner

or Arbitrator (an employee of another Federal Agency) for the purpose of conducting a hearing in connection with an employee's grievance; An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance; Employee unions when unions are authorized to canvas employees or at the time of a union election;

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The automated records are stored on magnetic tape, disc, drum and punched cards.

Retrievability:

Information is accessed by Social Security Account Number (SSAN), name, or by specific employee characteristics such as date of birth, grade, occupation, employing organization and tickler dates. specific sub-groups of employees may be identified through the use of computerized indices.

Safeguards:

The computer facility and terminals are accessible only to authorized persons that have been properly screened, cleared and trained. Manual and automated records and computer printouts are available only to authorized personnel having a need-to-know.

Retention and disposal:

Records are maintained in an active status until a separation action on an employee is completed. Historical records are maintained for a maximum of five years.

System manager(s) and address:

Director of Civilian Manpower Management. Commanding Officers of the activities listed under LOCATION.

Notification procedure:

Requests from individuals should be addressed to the SYSMANAGER or to the Civilian Personnel Officer under his cognizance. Requests must be accompanied by the individual's full name, social security number and name of employing activity. Requesters may visit the Civilian Personnel Office of the Naval activity covered by the system to obtain information. In such case proof of identity will consist of full name, social security account number and a third positive identification such as drivers license, Navy building pass or identification badge, birth certificate, Medicare card, etc. Address of the activity is furnished in the department of the Navy Directory published in the Federal Register.

Record access procedures:

The Agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Catagories of sources of records in the system are: the civilian personnel office; the payroll office; the security office of the employing activity; and the line managers and supervisors.

Systems exempted from certain provisions of the act:

NONE

N96021-64A

System name:

Computer Assisted Manpower Analyses System (CAMAS)

System location:

Office of Civilian Manpower Management (OCMM) and Navy Department staff, headquarters, and field activities employing civilians; mailing addresses are provided in the Navy Department directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees paid from appropriated funds.

Categories of records in the system:

Files contain records from the Personnel Automated Data System (PADS) which contain job related data including individual identification, location information, and salary.

Authority for maintenance of the system:

Title 5 U.S.C. 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy and contractor personnel in the performance of their official duties related to aggregate manpower planning, including calculating transition rates, forecasting number of retirements, and running models to determine the extent to which projected manpower requirements can be met.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and drum.

Retrievability:

Accessed by social security number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are permanent.

System manager(s) and address:

Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390. Written requests for information must contain full name of the individual, current address and telephone number, and birth date and social security number. The individual may visit the OCMM at 1735 North Lynn Street, Arlington, Virginia. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified.

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

Personnel Automated Data System (PADS)

Systems exempted from certain provisions of the act:

None

N96021-64B

System name:

Models for Organizational Design and Staffing (MODS)

System location:

Office of Civilian Manpower Management (OCMM) and Navy Department staff, Headquarters, and field activities employing civilians; also at contractor facilities; mailing addresses are provided in the Navy Department directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees paid from appropriated funds.

Categories of records in the system:

Automated and manual files contain information on individual's proficiencies and knowledges as reported in self-evaluation questionnaires vouchered by the supervisor, as well as data on the requirements of specific jobs submitted by the supervisor.

Authority for maintenance of the system:

Title 5 U.S.C. 301 Departmental Regulations

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to testing the operational usefulness of a multi-attribute assignment model in the areas of organizational design and staffing. Officials and employees of the Civil Service Commission in the performance of their official duties related to evaluation of civilian manpower programs. University of Texas faculty and students working under a contract relating to MODS to monitor progress of research study. Carnegie-Mellon University faculty and students working under Navy contract relating to MODS to assist in research project.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and drum, and optical scanner forms and computer printouts.

Retrievability:

Accessed by social security number.

Safeguards:

Records are maintained in areas accessible only to authorized personnel.

Retention and disposal:

Records are retained so long as personnel continue to work at same activity.

System manager(s) and address:

Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, Department of the Navy, Washington, D.C. 20390 or to the head of the Navy activity at which the individual is or was employed. Written requests for information must contain full name of individual, current address and telephone number, and date of birth and social security number. The individual may visit the OCMM at 1735 North Lynn Street, Arlington, Virginia, or the field activity at which he is or was formerly employed. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge or drivers license, or by other types of identification bearing picture or signature, or by providing verbal information that could be verified

Record access procedures:

The agency's rules for access to records may be obtained from the system manager.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the system manager.

Record source categories:

First-line supervisors and personnel automated data system (PADS).

Systems exempted from certain provisions of the act:

None

N96021/23

System name:

Training and Employee Development Record System

System location:

Office of Civilian Manpower Management (OCMM), Regional Offices of Civilian Manpower Management (ROCMM's), Capital Area Personnel Services Office - Navy (CAPSO-N), and Navy Staff, headquarters and field activities employing civilians. Mailing addresses are provided in the Department of Navy directory published in the Federal Register.

Categories of individuals covered by the system:

Navy civilian employees, full-time and part-time, U.S. citizens and foreign national direct hires receiving training supported by the Federal Government, paid from approprated funds. Navy military personnel may be included in the automated training information system, and non-appropriated funded personnel may be included in some of the stations' manual records

Categories of records in the system:

Under the Departments' Training Requirements and Information Management System (TRIM), or other locally developed systems, automated and nonautomated records are maintained reflecting information pertaining to the employees' identification, social security number, occupational status (series, grade level, and supervisory status), course identification, course length, category and purpose of training received, date on which training was completed, associated costs, pre-post test results, et.al. input documents for the system include, but is not limited to completed NAVSO Forms 12410/19 and /19A, Training Report, Authorization and Record, keypunched cards. The manual files are maintained in paper folders containing employee's registration and/or record of training documents. Under the Navy's Apprentice, on-the-job Training Program, and similar trainee intake programs, manual and automated records are maintained, reflecting information pertaining to subject employee's identification, date of birth, entrance date to program, dates and nature of personnel actions which occurred during fiscal year, student progress, and statistical data which effects the numbers of apprentices in training as of a given date. At OCMM, nomination documents (non-automated) for the Department of the Navy's centrally-administered education and training programs are maintained. The manual files contain the candidate's nomination documents, training request, enrollment and registration and other documents related to training. Manual files are maintained at OCMM, the ROCMM's, CAPSO-N, and the several naval installations regarding courses conducted on their premises, or for which they sponsor, listing such things as completion dates, and course participants. Additionally, manual files are typically found at the field activities containing information regarding an employee's supervisory status, an indication as to whether or not he/she has participated in supervisory training. Files are often maintained regarding an employee's certification/recertification or demonstrated proficiency in one or more of the Navy's skills areas; an activity-wide annual training plan should also be maintained, as well as individual training plans. Files are also maintained regarding professional licenses held by station personnel.

Authority for maintenance of the system:

Title 5, USC 4103, 'Establishment of Training Programs,' Title 5, USC 4118, 'Training,' Title 5, USC 4115, 'Collection of Training Information' Agreement between the Department of the Navy and the Department of Labor, Bureau of Apprenticeship and Training, 'Registration of the Navy Apprentice Program' - June 1968

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of the Navy in the performance of their official duties related to the management of the Department's civilian employee training programs, the design, development, maintenance and operation of the manual and automated system of record keeping and reporting; the screening and selection of candidates for centrally-administered programs; and administration of grievance, appeals, complaints, and litigation involving the disclosure of records of the training programs. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Navy civilian training programs, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Navy's civilian training programs. The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other components of the Department of Defense in the performance of their official duties related to the screening and selection of candidates for the service schools. Officials and employees of other departments and agencies of the Executive Branch of government upon request in the performance of their official duties related to the screening and selection of candidates for programs sponsored by their organization. Representatives of the United States Department of Labor on matters relating to the inspection, survey, audit or evaluation of the Navy's apprentice training programs or on other such matters under the jurisdiction of the Labor Department. Representatives of the Veterans Administration on matters relating to the inspection, survey, audit or evaluation of the Navy's apprentice and on-the-job training programs. The Computer Systems Group Contractor (or other such contractor) and its employees for the purpose of card punch recording of data from employee training documents. Employees and officials of the Naval Command Systems Support Activity, Washington Navy Yard for the purpose of systems support. A duly appointed Hearing Examiner or Arbitrator (an employee of another Federal Agency) for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the Department's Training program. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the Navy's Training and Employee Development Record system. The Senate or the House of Representatives of the United States or any member, Committee or subcommittee thereof, any joint committee of Congress or sub-committee of joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Department's civilian training program. Colleges, schools, or other institutions engaged to provide training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, drums, computer printouts, and on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by social security number and name, or by one, or a combination of data elements contained in the TRIM or apprentice program master files. Manual records are re-

trieved by employee last name, by course control information, or by training program title.

Safeguards:

The computer facility and terminal are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need to know.

Retention and disposal:

For TRIM and the apprentice programs the computer magnetics tapes are permanent. Manual records are maintained on a fiscal year basis and are retained for varying periods from one to five fiscal years. For the Department of the Navy's centrally-administered programs, files on selected candidates are maintained for five years (from date selection process is completed). Records of non-selected candidates are retained only for that period of time sufficient to permit appropriate review (usually less than 60 days). CAPSO-N, ROCMM, and activity records are maintained for varying periods.

System manager(s) and address:

The Director of Civilian Manpower Management, the Regional Offices of Civilian Manpower Management, Capital Area Personnel Services Office - Navy, and the heads of Navy staff, headquarters, and field activities employing civilian employees.

Notification procedure:

Request by correspondence should be addressed to the Director of Civilian Manpower Management, the Regional Offices of Civilian Manpower Management, the Capital Area Personnel Services Office - Navy, or Navy staffs, headquarters or field activities employing civilians. Mailing addresses are provided in the Department of the Navy directory published in the Federal Register. The letter should contain the full name and social security number of the requester and his signature. Proof of identification will consist of a Department of Defense (DOD) or Navy building pass, or identification badge, or driver's license, or by other types of identification bearing an employee picture and signature.

Record access procedures:

The agency's rules for access to records may be obtained from SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting the contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Navy civilian personnel offices; current and previous supervisors of employees (when appraisals of performance/potential are used).

Systems exempted from certain provisions of the act:

NONE

DIRECTORY OF DEPARTMENT OF THE NAVY MAILING ADDRESSES

Assistance in obtaining any Navy mailing address not included in the following directory may be obtained from:

Chief of Naval Operations
(Op-09B1)
Navy Department
Washington DC 20350

Such assistance concerning any Marine Corps address may be obtained from:

Commandant of The Marine Corps
(Code M)
Washington DC 20380

ALASKA

Officer in Charge
Naval Petroleum Reserve No4
Calais Office Center
3201 C Street
Anchorage AK 99503

Commanding Officer
Naval Arctic Research Laboratory
Barrow AK 99723

ARIZONA

Commanding Officer
Marine Corps Air Station
Yuma Arizona 85364

CALIFORNIA

Commanding Officer
Navy Space Systems Activity
PO Box 92960
Worldway Postal Center
Los Angeles CA 90009

Director
Navy Office of Information
Los Angeles Branch
11000 Wilshire Blvd Rm 10201
Los Angeles CA 90024

Commanding Officer
Marine Barracks
Naval Weapon Station
Seal Beach CA 90740

Commanding Officer
Naval Weapons Station
Seal Beach CA 90740

Supervisor of Shipbuilding
Conversion and Repair USN
Long Beach Naval Shipyard
Long Beach CA 90801

Commanding Officer
Naval Regional Medical Center
7500 Carson Street
Long Beach CA 90801

Officer in Charge
Naval Regional Procurement Office
Long Beach CA 90801

Officer in Charge
Navy Commissary Store Region
Long Beach CA 90801

Officer in Charge
Navy Finance Office
Naval Support Activity
Long Beach CA 90801

Military Sealift Command
Office Long Beach
Naval Support Activity
Long Beach CA 90801

Director Consolidated
Civilian Personnel Office
Naval Support Activity Los Angeles
Long Beach CA 90822

Commander
Long Beach Naval Shipyard
Long Beach CA 90822

Commanding Officer
Naval Regional Dental Center
Long Beach CA 90822

Commanding Officer
Naval Support Activity
Los Angeles-Long Beach
Long Beach CA 90822

Commanding Officer
Office of Naval Research
Branch Office
1030 East Green St
Pasadena CA 91101

Commanding Officer
Marine Barracks
Fallbrook Annex
Naval Weapons Station
Fallbrook CA 92028

Commanding Officer
Field Medical Service School
Marine Corps Base
Camp Pendleton CA 92055

Commanding General
I Marine Amphibious Force FMF
Camp Pendleton CA 92055

Commanding General

Marine Corps Base
Camp Pendleton CA 92055

Commanding Officer
Naval Regional Dental Center
Camp Pendleton CA 92055

Commanding Officer
Naval Regional Medical Center
Camp Pendleton CA 92055

Commanding General
1st Marine Division FMF
Camp Pendleton CA 92055

Commanding General
4th Marine Division FMF
US Marine Corps Reserve
Camp Pendleton CA 92055

Director Western Field Div
Office of Civilian Personnel
Western Field Division
Suite 1313 Charter Oil Bldg
San Diego CA 92101

Commanding Officer
Navy Submarine Support Facility
140 Sylvester Road
San Diego CA 92106

Director
Naval Audit Service
Western Region
1220 Pacific Highway
San Diego CA 92132

Commander
Naval Base
San Diego CA 92132

Commander
Naval Base San Francisco
Naval Base
San Diego CA 92132

Commanding Officer
Naval Education and
Trainig Support Center Pacific
Fleet Station Post Office Bldg
San Diego CA 92132

Commander
Naval Reserve Readiness Command--
Region Nineteen
960 North Harbor Drive
San Diego CA 92132

Commanding Officer
Naval Supply Center
937 North Harbor Drive
San Diego CA 92132

Commanding Officer
Navy Manpower and Material
Analysis Center
Pacific
San Diego CA 92132

Commanding Officer
Navy Regional Finance Center
937 N Harbor Drive
San Diego CA 92132

Commanding Officer
U S Naval Communication
Station San Diego
937 N Harbor Drive
San Diego CA 92132

Commandant
11th Naval District
Naval Base
San Diego CA 92132

Commandant
12th Naval District
Naval Base
San Diego CA 92132

Commanding Officer
Human Resource Management Center,
San Diego
Naval Training Center
San Diego, CA 92133

Commanding Officer
Naval Administrative Command
Naval Training Center
San Diego CA 92133

Commander
Naval Training Center
San Diego CA 92133

Commanding Officer
Recruit Training Command
Naval Training Center
San Diego CA 92133

Commanding Officer
Service School Command
Naval Training Center
San Diego CA 92133

Commanding Officer
Naval Regional Medical Center
San Diego CA 92134

Commanding Officer
Naval School of Health Sciences
San Diego, CA 92134

Naval Air Systems
Command Representative
Pacific
Naval Air Station North Island
San Diego CA 92135

Commanding Officer
Enlisted Personnel
COMNAVAIRPAC/COMASWWINGPAC
Box 1300 NAS North Island
San Diego CA 92135

Officer in Charge
Fleet Aviation Accounting
Office Pacific
Naval Air Station North Island
San Diego CA 92135

Commanding Officer
Marine Barracks
Naval Air Station North Island
San Diego CA 92135

Commanding Officer
Naval Air Rework Facility
Naval Air Station North Island
San Diego CA 92135

Commanding Officer
Naval Air Station
North Island
San Diego CA 92135

Commanding Officer
Naval Weather Service Facility
Naval Air Station North Island
San Diego CA 92135

Commanding Officer
Pacific Fleet Data Processing
Service Center San Diego
Naval Air Station North Island
San Diego CA 92135

Commander Naval Air Force
US Pacific Fleet
Naval Air Station North Island
San Diego CA 92135

Director Consolidated
Civilian Personnel Office Code 12
PO Box 118 Naval Station
San Diego CA 92136

Supervisor of Shipbuilding
Conversion and Repair USN
Naval Station
Box 119
San Diego CA 92136

Commanding Officer
Fleet Training Center
Naval Station
San Diego CA 92136

Commanding Officer
Naval Alcohol Rehabilitation Center
Naval Station
San Diego CA 92136

Officer in Charge
Naval Construction Battalion
Unit-405
San Diego CA 92136

Commanding Officer
Naval Development & Training Center
Naval Station Box 106
San Diego CA 92136

Officer in Charge
Naval Legal Service Office
Naval Station

San Diego CA 92136
Commanding Officer
Naval Regional Dental Center
San Diego CA 92136
Commanding Officer
Naval Station
San Diego Calif 92136
Officer in Charge
Navy Commissary Store Region
San Diego CA 92136
Officer in Charge
Navy Environmental and Preventive
Medicine Unit No 5
Naval Station, Box 143
San Diego CA 92136
Officer in Charge
Navy Exchange Service Center
Naval Station
San Diego CA 92136
Director
Navy Public Affairs Center
San Diego
Box 125 Naval Station
San Diego CA 92136
Commanding Officer
Navy Public Works Center
Naval Base
San Diego CA 92136
Director
Navy Publications and Printing
Service Western Division
Bldg 154 Naval Station
San Diego CA 92136
Senior Member
Sub-Board of Inspection
and Survey Pacific
Building 116 Naval Station
San Diego CA 92136
Commanding Officer, Naval
Electronic Systems Engineering
Center, San Diego
PO Box 80337
San Diego CA 92138
Commanding Officer
Naval Investigative Service Office
San Diego
PO Box 80667
San Diego CA 92138
Commanding Officer
Naval Sea Support Center Pacific
PO Box 80548
San Diego CA 92138
Commanding General
Marine Corps Recruit Depot
San Diego CA 92140
Commanding Officer
Naval Air Station
Miramar
San Diego CA 92145
Commanding Officer
Naval Drug Rehabilitation Center
Naval Air Station, Miramar
San Diego CA 92145
Commanding Officer
Fleet Anti-Submarine Warfare
Training Center, Pacific
San Diego CA 92147
Commanding Officer
Fleet Combat Direction Systems
Support Activity San Diego
San Diego CA 92147
Commanding Officer
Fleet Combat Training Center
Pacific
San Diego CA 92147
Commanding Officer
Fleet Intelligence Training Center
Pacific
Bldg 5 Fleet ASW School
San Diego CA 92147
Director
Joint Tactical Air Control Systems/
Tactical Air Defense Systems
Interface Test Force
San Diego CA 92147
Commander Training Command
US Pacific Fleet
San Diego CA 92147
Commanding Officer
Naval Health Research Center
San Diego, CA 92152
Commander
Naval Ocean Systems Center
San Diego CA 92152
Commanding Officer
Navy Personnel Research and
Development Center
San Diego CA 92152
Commander Amphibious Group
Eastern Pacific
Naval Amphibious Base Coronado
San Diego CA 92155
Commanding Officer
Naval Amphibious Base Coronado
San Diego CA 92155
Commanding Officer
Naval Amphibious School
Coronado
San Diego CA 92155
Commander
Naval Surface Force
US Pacific Fleet
San Diego CA 92155
Commanding Officer
National Parachute Test Range
El Centro CA 92243
Commanding General
Force Troops
Fleet Marine Force Pacific
Marine Corps Base
Twentynine Palms CA 92278
Commanding General
Marine Corps Base
Twentynine Palms CA 92278
Commanding Officer
Marine Corps Logistics Support Base
Pacific
Barstow CA 92311
Commander
Marine Corps Air Bases Western Area
Marine Corps Air Station
El Toro, Santa Ana CA 92709
Commanding General
Marine Corps Air Station El Toro
Santa Ana CA 92709
Commanding General
3rd Marine Aircraft Wing
Marine Corps Air Station El Toro
Santa Ana CA 92709
Commanding Officer
Marine Corps Air Station
(Helicopter)
Santa Ana CA 92710
Commanding Officer
Naval Air Station
Point Mugu CA 93042
Commanding Officer
Naval Facility
San Nicolas Island
Point Mugu CA 93042
Commanding Officer
Navy Astronautics Group
Box 30
Point Mugu CA 93042
Commander
Pacific Missile Test Center
Point Mugu CA 93042
Commanding Officer
Naval Construction
Battalion Center
Port Hueneme CA 93043
Commanding Officer
Naval Construction Training Center
Port Hueneme CA 93043
Commanding Officer
Naval Hospital

Port Hueneme CA 93043
Officer in Charge
Naval Nuclear Power Unit
Port Hueneme CA 93043
Commanding Officer
Naval School
Civil Engineer Corps Officers
Port Hueneme CA 93043
Commanding Officer
Naval Ship Weapon Systems
Engineering Station
Port Hueneme CA 93043
Officer in Charge
Navy Finance Office
Port Hueneme CA 93043
Officer in Charge
Det Lemoore Pacific Fleet Data
Processing Service Center Alameda
Naval Air Station
Lemoore CA 93245
Commanding Officer
Marine Barracks
Naval Air Station
Lemoore CA 93245
Commanding Officer
Naval Air Station
Lemoore CA 93245
Officer in Charge
Naval Construction Battalion
Unit 406
Naval Air Station
Lemoore CA 93245
Commanding Officer
Naval Hospital
Lemoore CA 93245
Officer in Charge
Naval Petroleum Reserves in
California
PO Box 11
Tupman CA 93276
Commander
Naval Weapons Center
China Lake CA 93555
Commanding Officer
Naval Facility
Point Sur
Big Sur CA 93920
Director
Defense Resources Management
Education Center
Naval Postgraduate School
Monterey, CA 93940
Commanding Officer
Fleet Numerical Weather Central
Monterey CA 93940
Director
Manpower Research and Data Analysis
Center
Naval Postgraduate School
Monterey, CA 93940
Commanding Officer
Naval Environmental Prediction
Research Facility
Monterey CA 93940
Superintendent
Naval Postgraduate School
Monterey CA 93940
Officer in Charge
Det Moffett Field Pacific Fleet
Data Processing Service Center
Naval Air Station
Moffett Field CA 94035
Commanding Officer
Naval Air Station
Moffett Field CA 94035
Officer in Charge of
Construction Naval Facilities
Engineering Command Contracts
Elk Hills
San Bruno CA 94066
Commanding Officer
Western Division
Naval Facilities Engineering
Command PO Box 727
San Bruno CA 94066
Officer in Charge
Fleet Post Office
390 Main Street
Room 304
San Francisco CA 94105
Director Consolidated
Civilian Personnel Office
Room 173 Bldg 7
Treasure Island
San Francisco CA 94130
Commanding Officer
Marine Barracks
Naval Support Activity
Treasure Island
San Francisco CA 94130
Commanding Officer
Naval Investigative Service Office
San Francisco
Bldg 7 Treasure Island
San Francisco CA 94130
Officer in Charge
Naval Legal Service Office
Naval Support Activity Treasure Is
Treasure Island
San Francisco CA 94130
Commanding Officer
Naval Regional Dental Center
San Francisco CA 94130
Commanding Officer
Naval Regional Medical Clinic
Treasure Island
San Francisco CA 94130
Commander
Naval Reserve Readiness Command
Region Twenty Bldg 1 NAVSUPPACT
Treasure Island
San Francisco CA 94130
Commanding Officer
Naval Support Activity
Treasure Island
San Francisco CA 94130
Commanding Officer
Naval Technical Training Center
Treasure Island
San Francisco CA 94130
Commander
Navy Recruiting Area Eight
Naval Support Activity
Bldg 1 Treasure Island
San Francisco CA 94130
Commanding Officer
Navy Regional Finance Center
Treasure Island
San Francisco CA 94130
Supervisor of Shipbuilding
Conversion and Repair USN
San Francisco CA 94135
Commanding Officer
Marine Barracks
Naval Air Station
Alameda CA 94501
Officer in Charge
Naval Air Logistic Control Office
Eastern Pacific
Naval Air Station
Alameda CA 94501
Commanding Officer
Naval Air Rework Facility
Naval Air Station
Alameda CA 94501
Commanding Offier
Naval Air Station
Alameda Calif 94501
Officer in Charge
Naval Construction Battalion
Unit 416
Naval Air Station
Alameda, CA 94501
Commanding Officer
Naval Weather Service Facility
Naval Air Station

Alameda CA 94501
Officer in Charge
Navy Disease Vector Ecology and
Control Center
Naval Air Station
Alameda CA 94501
Commanding Officer
Pacific Fleet Data Processing
Service Center Alameda
Naval Air Station
Alameda CA 94501
Commanding Officer
Marine Barracks
Naval Weapons Station
Concord CA 94520
Commanding Officer
Naval Weapons Station
Concord Calif 94520
Commanding Officer
Combat Systems Technical
Schools Command
Mare Island
Vallejo CA 94592
Commanding Officer, Naval
Electronic Systems Engineering
Center, Vallejo
Vallejo, CA 94592
Officer in Charge
Engineering Duty Officer School
Mare Island
Vallejo CA 94592
Commander
Mare Island Naval Shipyard
Vallejo CA 94592
Commanding Officer
Marine Barracks
Mare Island
Vallejo CA 94592
Commanding Officer
Naval Support Activity Mare Island
Vallejo CA 94592
Officer in Charge
Navy Commissary Store Region
PO Box 24183 Main PO Station
Oakland CA 94623
Commanding Officer
Navy Public Works Center
San Francisco Bay
P.O. Box 24003
Oakland CA 94623
Commander
Military Sealift Command Pacific
Oakland CA 94625
Officer in Charge
Naval Biosciences Laboratory
Naval Supply Center
Oakland CA 94625
Commanding Officer
Naval School Transportation
Management
Naval Supply Center
Oakland CA 94625
Commanding Officer
Naval Supply Center
Oakland CA 94625
Officer in Charge
Navy Regional Plant Equipment
Office
Naval Supply Center
Oakland CA 94625
Officer in Charge
Navy Resale System Offie
West Coast Branch
Naval Supply Center
Oakland CA 94625
Commanding Officer
Naval Regional Medical Center
Oakland CA 94627
Commanding Officer
Naval Communication Station
Stockton
Stockton CA 95203
Commanding Officer
Naval Security Group Activity
Skaggs Island
Sonoma CA 95476
Commanding Officer
Naval Facility Centerville Beach
Ferndale CA 95536
Commanding Officer
Naval Air Training Unit
Mather AFB
Sacremento CA 95655

COLORADO

Commanding Officer
Naval Unit
Lowry Air Force Base CO 80230

CONNECTICUT

Commanding Officer
Naval Nuclear Power Training Unit
Windsor CT 06095
Supervisor of Shipbuilding
Conversion and Repair USN
Groton CT 06340
Commanding Officer
Marine Barracks
Naval Submarine Base New London
Groton CT 06340
Officer in Charge
Naval Construction Battalion
Unit-414
Naval Submarine Base, New London
Groton CT 06340
Commanding Officer
Naval Submarine Base New London
Box 00
Groton Conn 06340
Commanding Officer
Naval Submarine Medical Center
Naval Submarine Base New London
Groton CT 06340
Commanding Officer
Naval Submarine Medical Research
Laboratory
Naval Submarine Base New London
Groton CT 06340
Commanding Officer
Naval Submarine School
Box 700
Groton CT 06340
Commanding Officer
Naval Submarine Support Facility
New London
Groton CT 06340
Officer in Charge
Navy Finance Office
Naval Submarine Base New London
Groton CT 06340

DELAWARE

Commanding Officer
Naval Facility
Lewes DE 19958

DISTRICT OF COLUMBIA

Director
Defense Printing Service
Room BD-831 Pentagon Building
Washington DC 20301
Asst SECNAV for
Financial Management
Marine Aide
Room 4E748 Pentagon
Washington DC 20301
Director
Navy Courier Service Headquarters

Forrestal Bldg
Washington DC 20314
Director
Department of the Navy Automatic
Data Processing Management
Navy Department
Washington DC 20350
Director
Department of the Navy Program
Information Center
Navy Department
Washington DC 20350
Director
Navy Broadcasting Service
Department of the Navy
Washington DC 20350
Comptroller of the Navy
Navy Department
Washington DC 20350
Chief of Information
Navy Department
Washington DC 20350
Secretary of the Navy
Navy Department
Washington DC 20350
Chief of Legislative Affairs
Navy Department
Washington DC 20350
Under Secretary of the Navy
Navy Department
Washington DC 20350
Officer in Charge
Navy Internal Relations Activity
Navy Department
Washington DC 20350
Director
Office of Program Appraisal
Navy Department
Washington DC 20350
Chief of Naval Operations
Department of the Navy
Washington DC 20350
Asst Secretary of the Navy
(Financial Management)
Navy Department
Washington DC 20350
Asst Secretary of the Navy
(Manpower & Reserve Affairs)
Navy Department
Washington DC 20350
Asst Secretary of the Navy
(Research and Development)
Navy Department
Washington DC 20350
Commander
Anti-Submarine Warfare Systems
Projects Office
Washington DC 20360
Commander
Naval Electronic Systems Command
Naval Electronic Systems Command
Headquarters
Washington DC 20360
Commanding Officer
Naval Material Command Support
Activity
Washington DC 20360
General Counsel
Navy Department
Washington DC 20360
Chief of Naval Material
Navy Department
Washington DC 20360
Director
Office of Naval Petroleum and Oil
Shale Reserves
Navy Department
Washington DC 20360
Asst Secretary of the Navy
(Installation and Logistics)
Navy Department
Washington DC 20360
Commander
Naval Air Systems Command
Naval Air Systems Command
Headquarters
Washington DC 20361
Commander
Naval Sea Systems Command
Naval Sea Systems Command
Headquarters
Washington DC 20362
Commander
Naval Ship Engineering Center
Washington DC 20362
Commander
Naval Supply Systems Command
Naval Supply Systems Command
Headquarters
Washington DC 20362
Recorder
Board for Corrections of Naval
Records
Navy Department
Washington DC 20370
Senior Member
Board of Decorations and Medals
Arlington Annex Room 3028
Navy Department
Washington DC 20370
President
Board of Inspection
and Survey
Navy Department
Washington DC 20370
Director
Naval Legal Service
Department of the Navy
Washington DC 20370
Commanding Officer
Naval Personnel Program
Support Activity
Room 1074 AA
Washington DC 20370
Judge Advocate General
Navy Department
Washington DC 20370
Chief of Naval Personnel
Navy Department
Washington DC 20370
Commanding Officer
Navy Regional Finance Center
Washington DC 20371
Chief
Bureau of Medicine and Surgery
Navy Department
Washington DC 20372
Commanding Officer
Fleet Weather Facility
Suitland
Navy Department
Washington, DC 20373
Commander
Naval Oceanographic Office
Washington, DC 20373
Commanding Officer
Chesapeake Division, Naval
Facilities Engineering Command
Washington Navy Yard
Washington, DC 20374
Director Consolidated
Civilian Personnel Office
Bldg 200 Washington Navy Yard
Washington DC 20374
Director
Department of Defense Computer
Institute
Washington Navy Yard
Washinton DC 20374
Director
Field Support Activity
Washington Navy Yard
Washington, DC 20374
Commanding Officer
Naval Administrative Unit
Bldg 146

Washington Navy Yard
Washington DC 20374
Commandant
Naval District Washington
Washington Navy Yard
Washington DC 20374
Director
Naval Historical Center
Washington Navy Yard
Washington DC 20374
Officer in Charge
Naval Legal Service Office
Washington Navy Yard
Washington DC 20374
Commanding Officer
Naval Photographic Center
Washington, DC 20374
Commander
Naval Reserve Readiness Command
Region Six
Washington Navy Yard
Washington DC 20374
Commanding Officer
Naval School Diving and
Salvage
Washington Navy Yard
Washington DC 20374
Director
Naval Weapons Engineering
Support Activity
Washington Navy Yard
Washington DC 20374
Officer in Charge
Navy Appellate Review Activity
Office of Judge Advocate General
Washington Navy Yard
Washington DC 20374
Officer in Charge
Navy Band
Washington Navy Yard
Washington DC 20374
Commanding Officer
Navy Food Service Systems Office
Washington Navy Yard
Washington DC 20374
Officer in Charge
Navy Recruiting Exhibit Center
Washington Navy Yard
Washington, DC 20374
Commanding Officer
Navy Regional Data Automation
Center Washington
Washington Navy Yard
Washington DC 20374
Officer in Charge
Navy Regional Procurement Office
Washington Navy Yard
Washington, DC 20374
Officer in Charge
Navy Tactical Doctrine Activity
Washington Navy Yard
Washington DC 20374
Chief
Navy-Marine Corps Trail Judicary
Washington Navy Yard
Washington DC 20374
Director, Navy Publication and
Printing Service
Management Office
Washington Navy Yard Bldg 157-3
Washington DC 20374
Commanding Officer
Naval Research Laboratory
Washington DC 20375
Commander
Navy Accounting and Finance Center
Navy Department
Washington DC 20376
Department of the Navy
Navy Automatic Data Processing
Selection Office
Washington DC 20376
Commandant of the Marine Corps
Navy Department
Washington DC 20380
Commanding Officer
Marine Barracks
8th and I Sts SE
Washington DC 20390
Commander
Military Sealift Command
Department of the Navy
Washington DC 20390
Commanding Officer
Naval Air Facility
Washington D C 20390
Commanding Officer
Naval Communication Unit Washington
Washington DC 20390
Commanding Officer
Naval Electronic Systems Security
Engineering Center
3801 Nebraska Ave N.W.
Washington DC 20390
Commanding Officer
Naval Intelligence Support Center
4301 Suitland Rd
Washington DC 20390
Superintendent
Naval Observatory
34th and Massachusetts Ave NW
Washington DC 20390
Director
Naval Observatory Flagstaff Station
Care of Superintendant
Naval Observatory
Washington DC 20390
Director
Naval Observatory Time Service
Substation Care of Superintendent
Naval Observatory
Washington DC 20390
Naval Security Group Command
Naval Security Group Headquarters
3801 Nebraska Ave NW
Washington DC 20390
Commanding Officer
Naval Security Station
3801 Nebraska Ave NW
Washington DC 20390
Commander
Naval Telecommunications Command
4401 Massachusetts Ave N W
Washington DC 20390
Director of Civilian Personnel
Navy Department
Washington D C 20390
Director
Seasparrow Project Support Office
Department of the Navy
Washington DC 20390
Officer in Charge
Naval Support Unit State Department
Washington DC 20520

FLORIDA

Officer in Charge
Navy Fuel Depot
PO Box 9068
Jacksonville FL 32208
Commanding Officer
Naval Air Rework Facility
Naval Air Station
Jacksonville FL 32212
Commanding Officer
Naval Air Station
Jacksonville FL 32212
Commanding Officer
Naval Alcohol Rehabiltation Center
Naval Air Station
Jacksonville, FL 32212
Commander
Naval Base
Jacksonville FL 32212

Officer in Charge
Naval Construction Battalion
Unit-410
Naval Air Station
Jacksonville FL 32212
Officer in Charge
Naval Legal Service Office
Naval Air Station
Jacksonville FL 32212
Commanding Officer
Naval Regional Dental Center
Jacksonville, FL 32212
Commander
Naval Reserve Readiness Command
Region Eight
Bldg 90 Naval AR Station
Jacksonville FL 32212
Commanding Officer
Naval Weather Service Facility
P O Box 85
Naval Air Station
Jacksonville FL 32212
Officer in Charge
Navy Commissary Store Region
Jacksonville FL 32212
Officer in Charge
Navy Disease Vector Ecology and
Control Center
Naval Air Station
Jacksonville FL 32212
Officer in Charge
Navy Finance Office
Naval Air Station
Box 79
Jacksonville FL 32212
Commanding Officer
Naval Regional Medical Center
Jacksonville FL 32214
Officer in Charge
Fleet Air Intelligence Support
Center Cecil
Naval Air Station
Cecil Field FL 32215
Commanding Officer
Marine Barracks
Naval Air Station
Cecil Field FL 32215
Commanding Officer
Naval Air Station
Cecil Field FL 32215
Supervisor of Shipbuilding
Conversion and Repair USN
Drawer T
Mayport Naval Station
Jacksonville FL 32228
Commanding Officer
Fleet Training Center
Naval Station
Mayport FL 32228
Commanding Officer
Naval Station
Mayport FL 32228
Commanding Officer
Navy Experimental Diving Unit
Panama City FL 32401
Commanding Officer
Naval Coastal Systems Laboratory
Panama City FL 32407
Chief of Naval Education
and Training
Naval Air Station
Pensacola FL 32508
Commanding Officer
Helicopter Combat Support Squadron
Sixteen
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Aerospace Medical
Research Laboratory
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Aerospace Medical Institute
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Air Rework Facility
Building 604
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Air Station
Pensacola FL 32508
Director
Naval Aviation Museum
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Aviation Schools Command
Bldg 633 Naval Air Station
Pensacola FL 32508
Officer in Charge
Naval Construction Battalion
Unit 402
Naval Air Station
Pensacola FL 32508
Commanding Officer
Naval Education and Training
Information Systems Activity
Naval Air Station
Pensacola, FL 32508
Officer in Charge
Naval Legal Service Office
Naval Air Station
Pensacola, FL 32508
Commanding Officer
Naval Regional Dental Center
Pensacola, FL 32508
Commanding Officer
Naval Weather Service Facility
Naval Air Station
Pensacola FL 32508
Officer in Charge
Navy Commissary Store Region
Pensacola FL 32508
Commanding Officer
Navy Flight Demonstration Squadron
(Blue Angels)
Naval Air Station
Pensacola, FL 32508
Commanding Officer
Navy Public Works Center
Naval Air Station
Pensacola FL 32508
Commander
Training Air Wing Six
Naval Air Station
Pensacola FL 32508
Commanding Officer
Training Squadron Eight-Six
Naval Air Station
Pensacola FL 32508
Commanding Officer
Training Squadron Four
Naval Air Station
Pensacola FL 32508
Commanding Officer
Training Squadron Ten
Naval Air Station
Pensacola FL 32508
Director
Defense Activity for Non-Tradition
Education Support
Pensacola FL 32509
Superintendent
Dependents Education Office
Atlantic
Ellyson, Building 995
Pensacola FL 32509
Commanding Officer
Naval Education and Training
Program Development Center
Ellyson
Pensacola FL 32509
Chief of Naval Education and

Training Support
Pensacola FL 32509
Commanding Officer
Naval Technical Training Center
Corry Station
Pensacola FL 32511
Commanding Officer
Naval Aerospace and Regional
Medical Center
Pensacola FL 32512
Commanding Officer
Helicopter Training Squadron Eight
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Helicopter Training Squadron 18
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Naval Air Station
Whiting Field
Milton FL 32570
Commander
Training Air Wing Five
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Training Squadron Six
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Training Squadron Three
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Training Squadron Two
Naval Air Station Whiting Field
Milton FL 32570
Commanding Officer
Naval Administrative Command
Naval Training Center
Orlando FL 32813
Commanding Officer
Naval Nuclear Power School
Naval Training Center
Orlando FL 32813
Commanding Officer
Naval Regional Dental Center
Orlando FL 32813
Commanding Officer
Naval Regional Medical Center
Orlando FL 32813
Commander
Naval Training Center
Orlando FL 32813
Commanding Officer
Naval Training Equipment Center
Orlando FL 32813
Officer in Charge
Navy Finance Office
Orlando FL 32813
Commanding Officer
Recruit Training Command
Orlando FL 32813
Commanding Officer
Service School Command
Naval Training Center
Orlando FL 32813
Commanding Officer
Naval Ordnance Test Unit
Patrick AFB FL 32925
Military Sealift Command
Office Port Canaveral
PO Box 4066
Patrick Air Force Base FL 32925
Commanding Officer
Naval Security Group Activity
Homestead FL 33039
Commanding Officer
Marine Barracks
Naval Air Station
Key West, FL 33040
Commanding Officer
Naval Air Station
Key West FL 33040
Commanding Officer
Naval Communication Unit
Key West FL 33040
Commanding Officer
Naval Hospital
Key West FL 33040
Officer in Charge
Navy Finance Office
Truman Annex
Naval Air Station
Key West FL 33040

GEORGIA

Commanding Officer
Naval Air Station Atlanta
Marietta GA 30060
Director
Navy Office of Information
Atlanta Branch
1459 Peachtree St Suite 300
Atlanta GA 30309
Commanding Officer
Naval Supply Corps School
Athens, GA 30601
Commander
Navy Recruiting Area Three
PO Box 4887 451 College St
Macon GA 31208
Officer in Charge
Navy Autodin Switching Center
Albany Marine Corps Logistics
Support Base Atlantic
Albany GA 31704

HAWAII

Commanding Officer
Pacific Missile Facility
Hawiian Area, Barking Sands
Kekaha, Kauai, HI 96752
Director Consolidated
Civilian Personnel Office
4300 Radford Drive
Honolulu HI 96818

IDAHO

Officer in Charge
Naval Administration Unit
525 Second Street
Idaho Falls ID 83401
Commanding Officer
Naval Nuclear Power Training Unit
PO Box 2751
Idaho Falls ID 83401

ILLINOIS

Commanding Officer
Naval Air Station
Glenview IL 60026
Commanding Officer
Naval Weather Service Facility
Glenview IL 60026
Director Consolidated
Civilian Personnel Office
Room 7 Bldg 3
Great Lakes IL 60088
Commanding Officer, Naval
Electronic Systems Engineering
Center, Great Lakes
Bldg 3209
Great Lakes IL 60088
Commanding Officer
Naval Administrative Command
Naval Training Center

Great Lakes IL 60088
Commander
Naval Base
Building 1
Great Lakes IL 60088
Officer in Charge
Naval Construction Battalion
Unit 401
Naval Training Center Bldg 3215
Great Lakes IL 60088
Commanding Officer
Naval Dental Research Institute
Naval Base
Great Lakes IL 60088
Commanding Officer
Naval Hospital Corps School
Great Lakes IL 60088
Officer in Charge
Naval Legal Service Office
Naval Training Center
Great Lakes IL 60088
Commanding Officer
Naval Regional Dental Center
Great Lakes IL 60088
Commanding Officer
Naval Regional Medical Center
Great Lakes IL 60088
Commander
Naval Reserve Readiness Command
Region Thirteen
Bldg 1 Naval Training Center
Great Lakes IL 60088
Commander
Naval Training Center
Great Lakes IL 60088
Officer in Charge
Navy Commissary Store Region
Great Lakes IL 60088
Commanding Officer
Navy Public Works Center
Bldg 1A
Great Lakes IL 60088
Commander
Navy Recruiting Area Five
Bldg 3
Great Lakes IL 60088
Commanding Officer
Navy Regional Finance Center
Bldg 122
Great Lakes IL 60088
Commanding Officer
Recruit Training Command
Naval Training Center
Great Lakes IL 60088
Commanding Officer
Service School Command
Bldg 520
Naval Training Center
Great Lakes IL 60088
Commanding Officer
Transient Personnel Unit
Naval Administrative Command
Naval Traning Center
Great Lakes IL 60088
Commandant
9th Naval District
Building 1
Great Lakes IL 60088
Director
Navy Office of Information
Chicago Branch
536 South Clark St Room 252
Chicago IL 60605
Commanding Officer
Office of Naval Research
Branch Office
536 S Clark St
Chicago IL 60605

INDIANA

Commanding Officer
Naval Avionics Facility
21st and Arlington Avenue
Indianapolis IN 46218
Commanding Officer
Naval Weapons Support Center
Crane IN 47522

KANSAS

Commander
Naval Reserve Readiness Command
Region Eighteen
301 Navy Drive
Industrial Airport KS 66031

KENTUCKY

Commanding Officer
Naval Ordnance Station
Louisville KY 40214

LOUISIANA

Director Consolidated
Civilian Personnel Office
Naval Support Activity
New Orleans LA 70146
Supervisor of Shipbuilding
Conversion and Repair USN
New Orleans LA 70146
Commanding Officer
Marine Air Reserve Training Command
Naval Support Activity
4400 Dauphine St
New Orleans, LA 70146
Commander
Military Sealift Command
Gulf Sub-Area
4400 Dauphine St
New Orleans LA 70146
Commanding Officer
Naval Air Station
New Orleans LA 70146
Commanding Officer
Naval Regional Medical Center
New Orleans LA 70146
Commander
Naval Reserve Readiness Command
Region Ten
Bldg 11 Naval Support Activity
New Orleans LA 70146
Commanding Officer
Naval Reserve Support Office
New Orleans LA 70146
Commanding Officer
Naval Support Activity
New Orleans LA 70146
Officer in Charge
Navy Finance Office
New Orleans LA 70146
Chief of Naval Reserve
New Orleans LA 70146
Commandant
8th Naval District
Chief of Naval Reserve Hdqtrs
New Orleans LA 70146
Commanding Officer
Naval Reserve Personnel Center
New Orleans LA 70149
Commanding Officer
Enlisted Personnel
Management Center
New Orleans LA 70159
Commanding Officer
Naval Investigative Service Office
New Orleans
PO Box 6438

New Orleans LA 70174

MAINE

Commanding Officer
Marine Barracks
Naval Air Station
Brunswick ME 04011
Officer in Charge
Navy Commissary Store Region
Brunswick ME 04011
Commanding Officer
US Naval Air Station
Brunswick ME 04011
Supervisor of Shipbuilding
Conversion and Repair USN
574 Washington St
Bath ME 04530
Commanding Officer
Naval Communication Unit
Cutler East Machias ME 04630
Commanding Officer
Naval Security Group Activity
Winter Harbor ME 04693

MARYLAND

Commanding Officer
National Naval Dental Center
Bethesda MD 20014
Commanding Officer
National Naval Medical Center
Bethesda MD 20014
Commanding Officer
Naval Health Sciences Education and
Training Command
National Naval Medical Center
Bethesda, MD 20014
Commanding Officer
Naval Medical Data Service Center
National Naval Medical Center
Bethesda MD 20014
Commanding Officer
Naval Medical Research and
Development Command
National Naval Medical Center
Bethesda, MD 20014
Commanding Officer
Naval Medical Research Institute
National Naval Medical Center
Bethesda MD 20014
Commanding Officer
Naval School of Health Care
Administration
National Naval Medical Center
Bethesda MD 20014
Commander
David W. Taylor Naval Ship Research
and Development Center
Bethesda, MD 20084
Commanding Officer
Naval Explosive Ordnance
Disposal Facility
Indian Head MD 20640
Commanding Officer
Naval Ordnance Station
Indian Head MD 20640
Commanding Officer
Naval School
Explosive Ordnance Disposal
Naval Ordnance Station
Indian Head MD 20640
Commanding Officer
Naval Air Station
Patuxent River MD 20670
Commander
Naval Air Test Center
Patuxent River MD 20670
Commander
Naval Aviation Integrated Logistic
Support Center
Patuxent River MD 20670
Commanding Officer
Naval Hospital
Patuxent River MD 20670
Officer in Charge
Navy Commissary Store Region
Patuxent River MD 20670
Officer in Charge
Navy Special Services
Administrative Activity
Patuxent River MD 20670
Commanding Officer
Marine Barracks
Fort Meade MD 20755
Commanding Officer
Naval Security Group Activity
Fort George G Meade MD 20755
Commanding Officer
Navy Field Operational
Intelligence Office
Fort George G Meade MD 20755
Officer in Charge
Strategic Analysis Support Group
8621 Georgia Ave
Silver Spring MD 20910
Commanding Officer
Marine Barracks
Naval Station
Annapolis MD 21402
Superintendent
Naval Academy
Annapolis MD 21402
Officer in Charge
Naval Construction Battalion
Unit 403 Naval Academy
Annapolis MD 21402
Commanding Officer
Naval Hospital
Annapolis MD 21402
Commanding Officer
Naval Station
Annapolis MD 21402
Officer in Charge
Navy Liaison Group
Alternate Joint Communications
Center
Fort Ritchie MD 21719
Commanding Officer
Naval Support Facility
Box 277
Thurmont MD 21788

MASSACHUSETTS

Officer in Charge
Navy Clothing and Textile
Research Facility
21 Strathmore Road
Natick MA 01760
Officer in Charge
Naval Blood Research Laboratory
Talbot Bldg 82 East Concord St
Boston MA 02118
Director
Navy Office of Information
Boston Branch
575 Technology Square 8th Floor
Cambridge MA 02139
Commanding Officer
Naval Air Station
South Weymouth MA 02190
Supervisor of Shipbuilding
Conversion and Repair USN
Bldg 114 Section D
666 Summer St
Boston MA 02210
Commanding Officer
Office of Naval Research
Branch Office
495 Summer Street
Boston MA 02210

MICHIGAN

Commanding Officer
Naval Air Facility Detroit
MT Clemens MI 48043

MINNESOTA

Commander Naval Reserve
Readiness Command Region Sixteen
Bldg 715
Minn-St Paul International Airport
Minneapolis MN 55450

MISSISSIPPI

Commanding Officer
Naval Air Station
Meridian MS 39301
Commanding Officer
Naval Technical Training Center
Meridian, MS 39301
Commander
Training Air Wing One
Naval Air Station
Meridian MS 39301
Commanding Officer
Training Squadron Nine
Naval Air Station
Meridian MS 39301
Commanding Officer
Training Squadron Nineteen
Naval Air Station
Meridian MS 39301
Commanding Officer
Training Squadron Seven
Naval Air Station
Meridian MS 39301
Commanding Officer
Naval Construction
Battalion Center
Gulfport MS 39501
Commanding Officer
Naval Construction Training Center
Gulfport MS 39501
Governor
Naval Home
01800 East Beach Blvd
Gulfport MS 39501
Commanding Officer
Naval Ocean Research and
Development Activity
National Space Technology Labs
Bay St Louis MS 39520
Director
Naval Oceanography and Meteorology
National Space Technology
Laboratories
Bay St Louis MS 39520
Supervisor of Shipbuilding
Conversion and Repair USN
Pascagoula MS 39567

MISSOURI

Director
Marine Corps Automated
Services Center
1500 E Bannister Rd
Kansas City MO 64131
Director
Marine Corps Reserve Forces
Administrative Center
1500 East Bannister Road
Kansas City MO 64131
Commanding Officer
Marine Corps Finance Center
Kansas City MO 64197

NEVADA

Commanding Officer
Naval Air Station
Fallon NV 89406
Commanding Officer
Marine Barracks
Naval Ammunition Depot
Hawthorne NV 89415
Commanding Officer
Naval Ammunition Depot
Hawthorne NV 89415

NEW HAMPSHIRE

Commanding Officer
Marine Barracks
Portsmouth Naval Shipyard
Portsmouth, NH 03801
Commanding Officer
Naval Regional Medical Clinic
Portsmouth NH 03801
Commander
Portsmouth Naval Shipyard
Portsmouth NH 03801

NEW JERSEY

Commander
Military Sealift Command Atlantic
Military Ocean Terminal Bldg 42
Bayonne NJ 07002
Commanding Officer
Navy International Logistics
Control Office
Bayonne NJ 07002
Commanding Officer
Marine Barracks
Naval Weapons Station, Earle
Colts Neck NJ 07722
Commanding Officer
Naval Weapons Station Earle
Colts Neck NJ 07722
Director
Naval Audit Service Northeast Regio
Central Camden Parkade Bldg 215
30 North 5th Street
Camden NJ 08102
Commanding Officer
Naval Air Propulsion Test Center
Trenton NJ 08628
Commanding Officer
Naval Air Engineering Center
Lakehurst NJ 08733
Commanding Officer
Naval Air Technical Training Center
Naval Air Station
Lakehurst NJ 08733
Officer in Charge
Navy Branch Aviation Supply Office
Catapult and Arresting Gear
Naval Air Station
Lakehurst NJ 08733

NEW MEXICO

Commanding Officer
Naval Weapons Evaluation Facility
Kirkland Air Force Base
Albuquerque NM 87117
Commanding Officer
Naval Ordnance Missile
Test Facility
White Sands Missile

Range NM 88002

NEW YORK

Director
Navy Office of Information
New York Branch
663 Fifth Ave 3rd Floor
New York NY 10022
Commanding Officer
Navy Resale System Office
3rd Ave and 29th St
Brooklyn NY 11232
Counsel New York Branch
Office of the General Counsel
Department of the Navy
3rd Ave and 29th St
Brooklyn NY 11232
Director Consolidated
Civilian Personnel Office
Washington & Flushing Aves
Brooklyn NY 11251
Supervisor of Shipbuilding
Conversion and Repair USN
Flushing and Washington Aves
Brooklyn NY 11251
Commanding Officer
Naval Investigative Service Office
New York
Flushing-Washington Aves
Brooklyn NY 11251
Commanding Officer
Naval Support Activity
Flushing and Washington Aves.
Brooklyn NY 11251
Officer in Charge
Navy Motion Picture Service
Bldg 311 Flushing Ave
Brooklyn NY 11251
Officer in Charge
Fleet Post Office New York
182- 150th Ave
Jamaica NY 11413
Commanding Officer
Naval Nuclear Power Training Unit
PO Box 300
Ballston Spa NY 12020
Officer in Charge
Naval Administrative Unit
Scotia NY 12302
Commander
Naval Reserve Readiness Command
Region Two Bldg 1
Scotia NY 12302
Commander
Navy Recruiting Area One
Scotia NY 12302

NORTH CAROLINA

Commanding Officer
Naval Facility
Cape Hatteras
Buxton NC 27920
Commander
Joint Unconventional Warfare Task
Force Atlantic US Army JFK
Center for Special Warfare
Fort Braff NC 28307
Commander
Marine Corps Air Bases Eastern Area
Marine Corps Air Station
Cherry Point NC 28533
Commanding General
Marine Corps Air Station
Cherry Point NC 28533
Commanding Officer
Naval Air Rework Facility
Marine Corps Air Station
Cherry Point NC 28533
Commanding Officer
Naval Hospital
Cherry Point NC 28533
Commanding General
2nd Marine Aircraft Wing
Marine Corps Air Station
Cherry Point NC 28533
Commanding Officer
Marine Corps Air Station
(Helicopter)
New River
Jacksonville N C 28540
Commanding Officer
Field Medical Service School
Marine Corps Base
Camp Lejeune NC 28542
Commanding General
Force Troops Atlantic
2D Force Service Support Group FMF
Camp Lejeune NC 28542
Commanding General
Marine Corps Base
Camp Lejeune NC 28542
Commanding Officer
Naval Regional Dental Center
Camp Lejeune NC 28542
Commanding Officer
Naval Regional Medical Center
Camp Lejeune NC 28542
Commanding Gerneal
2nd Marine Division FMF
Camp Lejeune NC 28542

OHIO

Commander
Navy Recruiting Area Four
Columbus Federal Bldg Room 409
200 North High St
Columbus OH 43215
Director
Navy Family Allowance Activity
Anthony J. Celebrezze Federal Bldg.
1240 East 9th Street
Cleveland OH 44199
Commanding Officer
Navy Finance Center
Anthony J Celebrezze Federal Bldg
Cleveland OH 44199
Commander
Naval Reserve Readiness Command
Region Five Bldg 1033 USAAP
Ravenna OH 44266
Commanding Officer
Navy Environmental Health Center
3333 Vine St
Cincinnati OH 45220

OKLAHOMA

Commanding Officer
Marine Barracks
Naval Ammunition Depot
McAlester OK 74501
Commanding Officer
Naval Ammunition Depot
Mc Alester OK 74501

OREGON

Commanding Officer
Naval Facility Coos Head
PO Box 5660
Charleston OR 97420

PENNSYLVANIA

Commanding Officer
Navy Fleet Material Support Office
Mechanicsburg PA 17055

Commanding Officer
Ships Parts Control Center
Mechanicsburg PA 17055
Commander
Naval Air Development Center
Warminster PA 18974
Commanding Officer
Naval Air Facility
Warminster PA 18974
Commanding Officer
Naval Air Station
Willow Grove PA 19090
Commanding Officer
Naval Air Technanical
Services Facility
700 Robbins Avenue
Philadelphia Penna 19111
Commanding Officer
Navy Aviation Supply Office
700 Robbins Avenue
Philadelphia PA 19111
Director
Navy Publications and Printing
Service, Northern Division
Bldg 4 Section D 700 Robbins Ave
Philadelphia PA 19111
Director Consolidated
Civilian Personnel Office
Bldg 75 Naval Base
Philadelphia PA 19112
Commanding Officer, Naval
Electronic Systems Engineering
Center, Philadelphia
Philadelphia, PA 19112
Commanding Officer
Marine Barracks
Philadelphia PA 19112
Commanding Officer
Naval Aviation Engineering Service
Unit
Philadelphia PA 19112
Commander
Naval Base
Philadelphia PA 19112
Commander
Naval Base Boston
Fourth Naval District Headquarters
Philadelphia PA 19112
Commander
Naval Base New York
Fourth Naval District Headquarters
Philadelphia PA 19112
Commander
Naval Damage Control
Training Center
Philadelphia PA 19112
Officer in Charge
Naval Legal Service Office
Naval Base
Philadelphia PA 19112
Officer in Charge
Naval Material Industrial
Resources Office
Bldg 537 2nd FL Naval Base
Philadelphia PA 19112
Commanding Officer
Naval Regional Dental Center
Philadelphia, PA 19112
Officer in Charge
Naval Regional Procurement Office
Philadelphia PA 19112
Commander
Naval Reserve Readiness Command
Region Four Bldg 662 Naval Base
Philadelphia PA 19112
Commanding Officer
Naval Support Activity
Philadelphia PA 19112
Officer in Charge
Navy Finance Office
Bldg 76 Naval Base
Philadelphia PA 19112
Commanding Officer
Northern Division
Naval Facilities Engineering
Command
Philadelphia PA 19112
Director Northern Field Div
Office of Civilian Personnel
Northern Field Div
Bldg 4 Naval Base
Philadelphia PA 19112
Commander
Philadelphia Naval Shipyard
Philadelphia PA 19112
Commandant
1st Naval District
Fourth Naval District Headquarters
Philadelphia PA 19112
Commandant
3rd Naval District
Fourth Naval District Headquarters
Philadelphia PA 19112
Commandant
4th Naval District
Philadelphia PA 19112
Commanding Officer
Naval Publication and Forms Center
5801 Tabor Avenue
Philadelphia PA 19120
Commanding Officer
Naval Medical Material Support
Command
3500 South Broad St
Philadelphia PA 19145
Commanding Officer
Naval Regional Medical Center
17th St and Pattison Ave
Philadephia PA 19145

PUERTO RICO AND VIRGIN ISLANDS

Commanding Officer
Camp Garcia
Fleet Marine Force Atlantic
Vieques PR 00765

RHODE ISLAND

Commanding Officer
Marine Barracks
Naval Education & Training Center
Newport, RI 02840
Commander
Naval Education and Training Center
Newport RI 02840
Commanding Officer
Naval Justice School
Newport, RI 02840
Officer in Charge
Naval Legal Service Office
Naval Education and Training Center
Newport RI 02840
Commanding Officer
Naval Regional Dental Center
Newport RI 02840
Commanding Officer
Naval Regional Medical Center
Newport RI 02840
Commander
Naval Reserve Readiness Command
Region One Bldg 344
Naval Education and Training Center
Newport RI 02840
Commanding Officer
Naval Underwater Systems Center
Newport RI 02840
President
Naval War College
Newport RI 02840
Officer in Charge
Navy Commissary Store Region
Newport RI 02840
Officer in Charge

Navy Finance Office
Newport RI 02840
Commanding Officer
Surface Warfare Officers School
Command
Newport RI 02840
Commanding Officer
Naval Construction
Battalion Center
Davisville RI 02854

SOUTH CAROLINA

Commanding Officer
Naval Electronic Systems
Engineering Center Room 512
Federal Bldg, 334 Meeting St
Charleston SC 29403
Commanding Officer
Atlantic Fleet Polaris Material
Office
Naval Base
Charleston SC 29408
Commander
Charleston Naval Shipyard
Naval Base
Charleston, SC 29408
Supervisor of Shipbuilding
Conversion and Repair USN
Naval Base
Charleston SC 29408
Commanding Officer
Fleet and Mine Warfare
Training Center
Naval Base
Charleston SC 29408
Commanding Officer
Marine Barracks
Naval Weapons Station
Charleston SC 29408
Commander
Mine Warfare Command
Charleston SC 29408
Commander
Naval Base
Charleston SC 29408
Officer in Charge
Naval Construction Battalion
Unit-412
Naval Station Naval Base
Charleston SC 29408
Commanding Officer
Naval Investigative Service Office
Charleston
Naval Base
Charleston SC 29408
Officer in Charge
Naval Legal Service Office
Naval Base
Charleston SC 29408
Commanding Officer
Naval Regional Dental Center
Charleston SC 29408
Commanding Officer
Naval Regional Medical Center
Charleston SC 29408
Commander
Naval Reserve Readiness Command
Region Seven
Naval Base
Charleston SC 29408
Commanding Officer
Naval Security Group Activity
Naval Base
Charleston SC 29408
Commanding Officer
Naval Station
Naval Base
Charleston SC 29408
Commanding Officer
Naval Weapons Station
Charleston SC 29408
Officer in Charge
Navy Commissary Store Region
Charleston SC 29408
Officer in Charge
Navy Finance Office
Naval Base
Charleston SC 29408
Commanding Officer
Navy Fleet Ballistic Missile
Submarine Training Center
Naval Base
Charleston SC 29408
Director
Navy Publications and Printing
Service Southeast Division
Naval Base, Bldg 35
Charleston SC 29408
Commanding Officer
Polaris Missile Facility
Atlantic
Charleston SC 29408
Commandant
6th Naval District
Naval Base
Charleston SC 29408
Commanding Officer
Naval Supply Center
Charleston SC 29411
Commanding Officer
Southern Division Naval Facilities
Engineering Command
PO Box 10068
Charleston SC 29411
Commanding Officer
Marine Corps Air Station
Beaufort SC 29902
Commanding Officer
Naval Hospital
Beaufort SC 29902
Commanding General
Marine Corps Recruit Depot
Parris Island SC 29905
Commanding Officer
Naval Regional Dental Center
Parris Island SC 29905

TENNESSEE

Commander
Naval Reserve Readiness Command
Region Nine
Bldg E34 Naval Air Station Memphis
Millington TN 38045
Commanding Officer
Human Resource Management School
Naval Air Station Memphis
Millington TN 38054
Commanding Officer
Naval Air Maintenance Training
Group
Naval Air Station Memphis
Millington TN 38054
Commanding Officer
Naval Air Station Memphis
Millington TN 38054
Commanding Officer
Naval Air Technical Training
Center
NAS Memphis (85)
Millington TN 38054
Officer in Charge
Naval Construction Battalion
Unit 404
Naval Air Station Menphis
Millington TN 38054
Officer in Charge
Naval Legal Service Office
Naval Air Station Memphis
Millington TN 38054
Commanding Officer
Naval Regional Medical Center
Memphis

Millington TN 38054
Officer in Charge
Navy Commissary Store
Naval Air Station Memphis
Millington TN 38054
Chief of Naval
Technical Training
Naval Air Station
Memphis
Millington TN 38054

TEXAS

Director
Navy Office of Information
Dallas Branch Main Tower Bldg
1200 Main St Suite 230
Dallas TX 75202
Commanding Officer
Naval Air Station
Dallas TX 75211
Commander
Naval Reserve Readiness Command
Region Eleven
Bldg 11 Naval Air Station
Dallas TX 75211
Commander
Navy Recruiting Area Seven
1499 Regal Row
Dallas TX 75247
Commanding Officer
Naval Air Station
Chase Field
Beeville TX 78102
Commander
Training Air Wing Three
Naval Air Station Chase Field
Beeville TX 78102
Commanding Officer
Training Squadron Twenty-Five
Naval Air Station Chase Field
Beeville TX 78103
Commanding Officer
Training Squadron Twenty-Four
Naval Air Station Chase Field
Beeville TX 78103
Commanding Officer
Training Squadron Twenty-Six
Naval Air Station Chase Field
Beeville TX 78103
Commanding Officer
Naval Air Station
Kingsville TX 78363
Commander
Training Air Wing Two
Naval Air Station
Kingsville TX 78363
Commanding Officer
Training Squadron Twenty-One
Naval Air Station
Kingsville TX 78363
Commanding Officer
Training Squadron Twenty-Three
Naval Air Station
Kingsville TX 78363
Commanding Officer
Training Squadron Twenty-Two
Naval Air Station
Kingsville TX 78363
Commanding Officer
Naval Air Station
Corpus Christi TX 78419
Chief of Naval Air Training
Naval Air Station
Corpus Christi TX 78419
Officer in Charge
Naval Construction Battalion
Unit 407
Naval Air Station
Corpus Christi TX 78419
Officer in Charge
Naval Legal Service Office
Naval Air Station
Corpus Christi TX 78419
Commanding Officer
Naval Regional Medical Center
Corpus Christi TX 78419
Officer in Charge
Navy Commissary Store Region
Corpus Christi TX 78419
Commander
Training Air Wing Four
Naval Air Station
Corpus Christi TX 78419
Commanding Officer
Training Squadron Thirty-One
Naval Air Station
Corpus Christi TX 78419
Commanding Officer
Training Squadron Twenty-Eight
Naval Air Station
Corpus Christi TX 78419
Commanding Officer
Training Squadron Twenty-Seven
Naval Air Station
Corpus Christi TX 78419

VIRGINIA

Director
Naval Audit Service Capital Region
PO Box 1206
Falls Church VA 22041
Director
Naval Audit Service Headquarters
PO Box 1206
Falls Church VA 22041
Commanding General
Marine Corp Development
and Education Command
Quantico VA 22134
Commanding Officer
Marine Corps Air Facility
Quantico VA 22134
Commanding Officer
Naval Hospital
Quantico VA 22134
Commanding Officer
Human Resource Management Center
Washington
1000 North Glebe Road
Arlington VA 22201
Director
Capital Area Personnel Services
Office Navy Department of the Navy
801 North Randolph St
Arlington VA 22203
Commander
Navy Recruiting Command
4015 Wilson Boulevard
Arlington VA 22203
Officer in Charge
Headquarters Navy-Marine Corps
Mars Radio Station Navy Service Ctr
8th Street and South Courthouse Rd
Arlington VA 22204
Commanding Officer
Headquarters Battalion
Headquarters US Marine Corps
Henderson Hall
Arlington VA 22214
Commanding Officer
Marine Security Guard Battalion
Headquarters (State Department)
US Marine Corps Henderson Hall
Arlington VA 22214
Chief of Naval Research
800 North Quincy St
Arlington VA 22217
Commanding Officer
Naval Administrative Services
Command Room 901
4660 Kenmore Avenue
Alexandria VA 22304

Commanding Officer
Navy Petroleum Office
Cameron Station
Alexandria VA 22314
Commander
Naval Intelligence Command
Naval Intelligence Command Hdqtrs
2461 Eisenhower Ave
Alexandria VA 22331
Commanding Officer
Naval Intelligence Processing
System Support Activity
2461 Eisenhower Ave
Alexandria VA 22331
Director Naval Investigative
Service/Commanding Officer Naval
Investigative Service Headquarters
2461 Eisenhower Ave
Alexandria VA 22331
Oceanographer of the Navy
Hoffman II
200 Stovall Street
Alexandria VA 22332
Commander
Naval Facilities Engineering
Command NAVFACENGCOM Hdqtrs
200 Stovall Street
Alexandria VA 22332
Officer in Charge
of Construction Naval Facilities
Engineering Command Contracts
Bethesda, 200 Stovall St.
Alexandria, VA 22332
Commanding Officer
Naval Space Surveillance System
Dahlgren VA 22448
Commander
Naval Surface Weapons Center
Dahlgren VA 22448
Officer in Charge
Cheatham Annex
Naval Supply Center Norfolk
Williamsburg VA 23185
Commanding Officer
Naval Security Group Activity
Northwest
Chesapeake VA 23322
Director
Naval Audit Service Southeast Regio
5701 Thurston Ave
Virginia Beach VA 23455
Officer in Charge
Fleet Air Intelligence Support
Center Oceana
Naval Air Station Oceana
Virginia Beach VA 23460
Commanding Officer
Naval Air Station
Oceana
Virginia Beach VA 23460
Officer in Charge
Naval Construction Battalion
Unit-415
Naval Air Station, Oceana
Virginia Beach VA 23460
Officer in Charge
Central Test Site for Personnel and
Training Evaluation Program
Navy Guided Missiles School DamNeck
Virginia Beach VA 23461
Commanding Officer
Fleet Combat Direction Systems
Support Activity Dam Neck
Virginia Beach VA 23461
Commanding Officer
Fleet Combat Training Center
Atlantic
Dam Neck
Virginia Beach VA 23461
Commanding Officer
Naval Guided Missiles School
Dam Neck
Virginia Beach VA 23461
Commanding Officer
Human Resource Management Center,
Norfolk
5621-23 Tidewater Drive
Norfolk, VA 23509
Commanding Officer
Atlantic Command Operations Support
Facility
Naval Station
Norfolk VA 23511
Commander
Atlantic Division
Naval Facilities Engineering
Command
Norfolk VA 23511
Commanding Officer
Atlantic Fleet Data Processing
Service Center Norfolk
Norfolk VA 23511
Commanding Officer
Camp Elmore
Marine Corps
Norfolk VA 23511
Naval Air Systems
Command Representative
Atlantic
Naval Air Station
Norfolk VA 23511
Commanding Officer
Fleet Accounting and Disbursing
Center U S Atlantic Fleet
Building 132 Naval Station
Norfolk VA 23511
Commanding Officer
Fleet Anti-Submarine Warfare
Training Center, Atlantic
Naval Station
Norfolk, VA 23511
Director
Fleet Home Town News Center
Norfolk VA 23511
Commanding Officer
Fleet Intellience Center
Europe and Atlantic
Norfolk VA 23511
Commanding Officer
Fleet Intelligence Training Center
Atlantic
Bldg N25A, Naval Station
Norfolk VA 23511
Commanding General
Fleet Marine Force Atlantic/
Commanding General Fleet Marine
Force Europe (Designate)
Norfolk VA 23511
Commanding Officer
Fleet Training Center
Norfolk VA 23511
Commanding Officer
Fleet Weather Central
McAdie Building (U-117)
Naval Air Station
Norfolk VA 23511
Commanding Officer
Marine Barracks
Norfolk VA 23511
Commanding Officer
Naval Administrative Command
Armed Forces Staff College
Norfolk VA 23511
Commanding Officer
Naval Air Rework Facility
Naval Air Station
Norfolk VA 23511
Commanding Officer
Naval Air Station
Norfolk VA 23511
Commanding Officer
Naval Alcohol Rehabilitation Center
Building J-50
Naval Station
Norfolk VA 23511
Commander

Naval Base
Norfolk VA 23511
Commanding Officer
Naval Communication Area Master
Station Lant
Norfolk VA 23511
Officer in Charge
Naval Construction Battalion
Unit-411
Naval Station
Norfolk VA 23511
Commanding Officer
Naval Education and Training
Support Center, Atlantic
Bldg Z-86, Naval Station
Norfolk VA 23511
Commanding Officer
Naval Investigative Service Office
Norfolk
Norfolk VA 23511
Officer in Charge
Naval Legal Service Office
Naval Base
Norfolk VA 23511
Commanding Officer
Naval Regional Dental Center
Norfolk VA 23511
Commander
Naval Safety Center
Naval Air Station
Norfolk VA 23511
Commanding Officer
Naval Station
Norfolk VA 23511
Commander
Naval Surface Force
US Atlantic Fleet
Norfolk VA 23511
Officer in Charge
Navy Environmental and
Preventive Medicine Unit No 2
Norfolk VA 23511
Commanding Officer
Navy Manpower and Material
Analysis Center
Atlantic
Norfolk VA 23511
Commanding Officer
Navy Material Transportation Office
Bldg Z-133
Naval Station
Norfolk VA 23511
Director
Navy Public Affairs Center Norfolk
Naval Station
Norfolk VA 23511
Commanding Officer
Navy Public Works Center
Norfolk VA 23511
Commander
Oceanographic System Atlantic
Box 100
Norfolk VA 23511
Director Southern Field Div
Office of Civilian Personnel
Southern Field Division
Bldg A-67 Naval Station
Norfolk VA 23511
Commander
Submarine Force
US Atlantic Fleet
Norfolk VA 23511
Commander in Chief
US Atlantic Fleet
Norfolk VA 23511
Commander Naval Air Force
US Atlantic Fleet
Norfolk VA 23511
Commander Training Command
US Atlantic Fleet
Norfolk VA 23511
Commandant
5th Naval District
Norfolk VA 23511
Commanding Officer
Naval Supply Center
Norfolk VA 23512
Military Sealift Command
Office Norfolk Bldg Y100A
Naval Supply Center
Norfolk VA 23512
Senior Member
Sub-Board of Inspection
and Survey Atlantic
Naval Amphibious Base
Norfolk VA 23520
Commanding Officer
Naval Amphibious Base
Little Creek
Norfolk VA 23521
Commanding Officer
Naval Amphibious School
Little Creek
Naval Amphibious Base
Norfolk VA 23521
Officer in Charge
Navy Commissary Store Region
Norfolk VA 23521
Commanding Officer
School of Music
Naval Amphibious Base
Little Creek
Norfolk VA 23521
Supervisor of Shipbuilding
Conversion and Repair USN
Newport News Shipbuilding and
Drydock CO
Newport News VA 23607
Commanding Officer
Naval Ophthalmic Support and
Training Activity
Yorktown, VA 23690
Commanding Officer
Marine Barracks
Naval Weapons Station
Yorktown VA 23691
Officer in Charge
Naval Mine Engineering Facility
Yorktown VA 23691
Commanding Officer
Naval Weapons Station
Yorktown VA 23691
Commanding Officer
Naval Sea Support Center Atlantic
St Juliens Creek Annex
Portsmouth VA 23702
Supervisor of Shipbuilding
Conversion and Repair USN
PO Box 215
Portsmouth VA 23705
Commanding Officer, Naval
Electronic Systems Engineering
Center, Portsmouth
PO Box 55
Portsmouth VA 23705
Commanding Officer
Naval Regional Medical Center
Portsmouth VA 23708
Commanding Officer
Marine Barracks
Norfolk Naval Shipyard
Portsmouth, VA 23709
Commanding Officer
Naval Inactive Ship
Maintenance Facility
Norfolk Naval Shipyard
Portsmouth VA 23709
Commanding Officer
Naval School Cryogenics Class C
Norfolk Naval Shipyard
Portsmouth VA 23709
Commander
Norfolk Naval Shipyard

Portsmouth VA 23709

WASHINGTON

Director Consolidated
Civilian Personnel Office
Naval Support Activity
7200 Sand Point Way
Seattle WA 98115
Supervisor of Shipbuilding
Conversion and Repair USN
Seattle WA 98115
Officer in Charge
Naval Legal Service Office
Seattle WA 98115
Commanding Officer
Naval Regional Medical Clinic
Naval Support Activity
Seattle WA 98115
Commander
Naval Reserve Readiness Command
Region Twenty-Two Bldg 9
Naval Support Activity
Seattle WA 98115
Commanding Officer
Naval Support Activity
Seattle WA 98115
Officer in Charge
Navy Commissary Store Region
Seattle WA 98115
Officer in Charge
Navy Finance Officer
Seattle WA 98115
Commandant
13th Naval District
Seattle Wash 98115
Military Sealift
Command Office Seattle
Pier 91
Seattle Wash 98119
Officer in Charge
Naval Radio Station T
Jim Creek
Oso WA 98223
Commanding Officer
Marine Barracks
Naval Air Station Whidbey Island
Oak Harbor WA 98277
Commanding Officer
Naval Air Station
Whidbey Island
Oak Harbor WA 98278
Officer in Charge
Naval Construction Battalion-417
Naval Air Station, Whidbey Island
Oak Harbor WA 98278
Commanding Officer
Naval Hospital
Whidbey Island
Oak Harbor WA 98278
Officer in Charge of Construct
Naval Facility Engineering Command
Trident 5610 Kitsap Way
PO Box UU Wycoff Station
Bremerton, WA 98310
Commanding Officer
Naval Inactive Ship
Maintenance Facility
Puget Sound Naval Shipyard
Bremerton WA 98314
Commanding Officer
Naval Regional Dental Center
Bremerton, WA 98314
Commanding Officer
Naval Regional Medical Center
Bremerton WA 98314
Commanding Officer
Naval Supply Center Puget Sound
Bremerton WA 98314
Officer in Charge
Pacific Fleet Polaris Material
Office
Puget Sound Naval Shipyard
Bremerton WA 98314
Commander
Puget Sound Naval Shipyard
Bremerton, WA 98314
Commanding Officer
Marine Barracks
Naval Submarine Base Bangor
Bremerton WA 98315
Commanding Officer
Naval Submarine Base Bangor
Baremerton WA 98315
Commanding Officer
Trident Training Facility
Bangor
Bremerton WA 98315
Commanding Officer
US Naval Torpedo Station
Keyport WA 98345
Commanding Officer
Strategic Weapons Facility, Pacific
Silverdale, WA 98383
Commanding Officer
Naval Facility
Pacific Beach
Pacific Beach WA 98571

WEST VIRGINIA

Commanding Officer
Naval Radio Station R
Sugar Grove WV 26815

WISCONSIN

Supervisor of Shipbuilding
Conversion and Repair USN
PO Box 26
Sturgeon Bay WI 54235

WYOMING

Officer in Charge Navy
Petroleum and Oil Shale Reserves
Colorado Utah and Wyoming
400 East First St Suite 311
Casper WY 82601

APO/FPO ADDRESSES

Commander
Military Sealift Command Eastern
Atlantic and Mediterranean
APO New York 09069
Commanding Officer
US Naval Air Facility
APO New York 09127
Military Sealift
Command Office
APO New York 09159
Chief
Navy Technical Assistance Field
Team Box 2501
APO New York 09205
Commanding Officer
US Naval Security Group Activity
APO New York 09240
Officer in Charge
of Construction Naval
Facilities Engineering Command
Contracts Spain
APO New York 09285
Liaison Officer
US Navy Shipbuilding Liaison Office
Spain
APO New York 09285
Commanding Officer
TUSLOG Detachment 28
APO New York 09324

Commander
US Forces Azores
APO New York 09406
Commanding Officer
US Naval Air Facility
APO New York 09406
Commander
US Naval Forces Azores
APO New York 09406
Commanding Officer
US Naval Security Group Activity
APO New York 09406
Commanding Officer
US Naval Security Group Activity
APO New York 09458
Commander
Amphibious Group 2
FPO New York 09501
Commander
Antisubmarine Warfare Force
US Sixth Fleet
FPO New York 09501
Commander
Attack Carrier Striking Force
Sixth Fleet
FPO New York 09501
Commander
Middle East Force
FPO New York 09501
Commander
Second Fleet
FPO New York 09501
Commander
Sixth Fleet
FPO New York 09501
Commander
South Atlantic Force
US Atlantic Fleet
FPO New York 09501
Commander in Chief
US Naval Forces Europe
FPO New York 09501
Military Sealift
Command Office
Box 29
FPO New York 09510
US Commander
Eastern Atlantic
FPO New York 09510
Counsel
European Branch
Office of the General Counsel
Department of the Navy
FPO New York 09510
Commanding Officer
Fleet Operations Control Center
US Naval Forces Europe/US
Eastern Atlantic Box 12
FPO New York 09510
Commanding Officer
Human Resource Management Center
Box 23
FPO New York 09510
Commanding Officer
Marine Barracks
US Naval Activities
FPO New York 09510
Commanding Officer
Office of Naval Research
Branch Office Box 39
FPO New York 09510
Commander
US Naval Activities United Kingdom
FPO New York 09510
Commanding Officer
US Naval Communication Unit
FPO New York 09510
Commanding Officer
US Naval Investigative Service
Office
Box 11
FPO New York 09510
Officer in Charge
US Navy Commissary Store Region
United Kingdom
FPO New York 09510
Commanding Officer
US Naval Aviation
Weapons Facility
FPO New York 09511
Commanding Officer
US Communication Station
FPO New York 09512
Commanding Officer
U S Naval Communication Unit
FPO New York 09516
Commanding Officer
US Naval Security Group
Activity
FPO New York 09518
Commanding Officer
U S Naval Facility
FPO New York 09519
Commander
Area ASW Forces Sixth Fleet
U S Naval Support Activity
FPO New York 09521
Commander
Fleet Air Mediterranean
FPO New York 09521
Commanding Officer
Marine Barracks
FPO New York 09521
Commander
Military Sealift Command
Mediterranean Sub-Area
PO Box 23
FPO New York 09521
Commander Maritime
Surveillance and Reconnaissance
Forces U S Sixth Fleet
FPO New York 09521
Officer in Charge
US Naval Legal Service Office
US Naval Support Activity
FPO New York 09521
Commanding Officer
US Naval Regional Medical Center
PO Box 19
FPO New York 09521
Officer in Charge
US Naval Regional Procurement
Office
FPO New York 09521
Commanding Officer
US Naval Support Activity
FPO New York 09521
Officer in Charge
US Navy Commissary Store Region
FPO New York 09521
Officer in Charge
US Navy Environmental and
Preventive Medicine Unit No. 7
FPO New York 09521
Commanding Officer
U.S. Naval Regional Dental Center
FPO New York 09521
Officer in Charge
Detachment Sigonella
Commander Antisubmarine Warfare
Force US Sixth Fleet Box 288
FPO New York 09523
Commanding Officer
US Naval Air Facility
FPO New York 09523
Commanding Officer
U S Naval Communication Area Master
Station Med
FPO New York 09524
Director
US Navy Publications and Printing
Service European Division
Box 108
FPO New York 09524
Commanding Officer
U S Naval Communication

Station
FPO New York 09525
Commanding Officer
US Naval Medical Research Unit 3
FPO New York 09527
Commanding Officer
US Navy Support Office
FPO New York 09533
Officer in Charge
Detachment Rota
Commander Antisubmarine Warfare
Force US Sixth Fleet
FPO New York 09540
Commanding Officer
Fleet Weather Central
Box 31
FPO New York 09540
Commanding Officer
Marine Barracks
FPO New York 09540
Commander
US Naval Activities Spain
FPO New York 09540
Commanding Officer
US Naval Communication
Station
FPO New York 09540
Commanding Officer
US Naval Hospital
FPO New York 09540
Commanding Officer
US Naval Station
FPO New York 09540
Officer in Charge
US Navy Commissary Store
FPO New York 09540
Commanding Officer
U S Naval Communication
Station
FPO New York 09542
Commanding Officer
Marine Barracks
FPO New York 09544
Officer in Charge
Navy Commissary Store Region
FPO New York 09544
Officer in Charge
US Naval Radio Station T
FPO New York 09546
Commander
Antilles Defense Command
FPO New York 09551
Commanding Officer
Atlantic Fleet Weapons
Training Facility
FPO New York 09551
Commander
Fleet Air Caribbean
FPO New York 09551
Commanding Officer
Marine Barracks
FPO New York 09551
Officer in Charge
US Commissary Store Region
FPO New York 09551
Commander
US Naval Base
FPO New York 09551
Commander
US Naval Forces Caribbean
FPO New York 09551
Commanding Officer
US Naval Hospital
FPO New York 09551
Commanding Officer
US Naval Station
FPO New York 09551
Commanding Officer
U.S. Naval Regional Dental Center
FPO New York 09551
Commanding Officer
US Naval Facility
FPO New York 09552
Commanding Officer
US Naval Facility
FPO New York 09553
Commanding Officer
U S Naval Communication
Station
FPO New York 09554
Commanding Officer
US Naval Security Group Activity
FPO New York 09555
Commanding Officer
US Naval Facility
FPO New York 09556
Commanding Officer
US Naval Facility
FPO New York 09558
Commanding Officer
Marine Barracks
FPO New York 09560
Commanding Officer
US Naval Air Station
FPO New York 09560
Commanding Officer
US Naval Facility
FPO New York 09560
Officer in Charge
US Navy Commissary Store
FPO New York 09560
Commander
Fleet Air Keflavik
FPO New York 09571
Commander
Iceland Defense Force
Box 1
FPO New York 09571
Commanding Officer
Marine Barracks
FPO New York 09571
Commanding Officer
Naval Security Group Activity
FPO New York 09571
Commanding Officer
U S Naval Facility
Box 7
FPO New York 09571
Commanding Officer
US Naval Communication
Station Box
FPO New York 09571
Commander
US Naval Forces Iceland
FPO New York 09571
Commanding Officer
US Naval Station
FPO New York 09571
Officer in Charge
US Navy Commissary Store
FPO New York 09571
Military Sealift
Command Office
FPO New York 09580
Commanding Officer
US Naval Communication Station
FPO New York 09580
Commanding Officer
US Naval Security Group
Activity
Box 5028
FPO New York 09584
Commanding Officer
Marine Barracks
FPO New York 09585
Commanding Officer
U S Naval Station
FPO New York 09585
Commanding Officer
Marine Barracks
FPO New York 09593
Commanding Officer
U S Naval Station
FPO New York 09593
Commanding Officer
US Naval Air Station

FPO New York 09593
Commander
US Naval Base
Box 34
FPO New York 09593
Commanding Officer
US Naval Hospital
FPO New York 09593
Commanding Officer
US Naval Security Group Activity
US Naval Base Box 41
FPO New York 09593
Officer in Charge
US Navy Commissary Store
FPO New York 09593
Commanding Officer
U S Naval Facility
FPO New York 09597
Officer in Charge
US Navy Commissary Store
FPO New York 09597
Officer in Charge
US Sending State Office
for Italy
APO New York 09794
Commanding Officer
US Naval Security Group Activity
APO San Francisco 96210
Military Sealift
Command Office
APO San Francisco 96259
Military Sealift
Command Office
Box 25
APO San Francisco 96263
Commanding Officer
Headquarters Support Activity
Box 25
APO San Francisco 96263
Commanding Officer
US Naval Hospital
Box 4
APO San Francisco 96263
Commanding Officer
US Naval Medical Research Unit No 2
Box 14
APO San Francisco 96263
Officer in Charge
US Navy Commissary Store Region
APO San Francisco 96263
Commander
US Taiwan Defense Command
APO San Francisco 96263
Commanding Officer
U S Naval Security Group Activity
APO San Francisco 96274
Commander
U S Forces Korea
APO San Francisco 96301
Commander
US Naval Forces Korea
APO San Francisco 96301
Commander
US Forces Japan
APO San Francisco 96328
Commanding Officer
US Naval Security Group
Activity
Torii Station
APO San Francisco 96331
Officer in Charge
Naval Medical Admininistrative Unit
Tripler Army Medical Center
APO San Francisco 96438
Commanding Officer
US Naval Air Facility
APO San Francisco 96519
Officer in Charge
of Construction Naval Facilities
Engineering Command Contracts
Southwest Pacific
APO San Francisco 96528
Commander
Amphibious Group 1
FPO San Francisco 96601
Commander
Carrier Striking Force
Seventh Fleet
FPO San Francisco 96601
Commander
Cruiser Destroyer Force
Seventh Fleet
FPO San Francisco 96601
Commander
Seventh Fleet
FPO San Francisco 96601
Commander Amphibious Force
Seventh Fleet
FPO San Francisco 96601
Commander
US Naval Support Force Antarctica
FPO San Francisco 96601
Commanding General
III Marine Amphibious Force FMF
FPO San Francisco 96602
Commanding General
1st Marine Aircraft Wing
FPO San Francisco 96602
Commanding General
3D Marine Division FMF
FPO San Francisco 96602
Commanding Officer
Camp H M Smith US Marine Corps
FPO San Francisco CA 96610
Military Sealift
Command Office
Box 115
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Supervisor of Shipbuilding
Conversion and Repair USN
Box 400
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Commanding Officer
Fleet Intelligence Center
Pacific
FPO San Francisco 96610
Commanding General
Fleet Marine Force Pacific
FPO San Francisco 96610
Commanding Officer
Fleet Weather Central
Box 113
FPO San Francisco 96610
Commanding Officer
Human Resource Management Center
FPO San Francisco 96610
Commanding Officer
Marine Barracks Hawaii
FPO San Francisco 96610
Commander
Marine Corps Base Pacific
FPO San Francisco 96610
Officer in Charge
Naval Air Logistic Control Office
Pacific CINCPACFLT Box 3
FPO San Francisco 96610
Commander
Naval Base
Box 110
FPO San Francisco 96610
Officer in Charge
Naval Construction Battalion
Unit 413 Naval Station
FPO San Francisco 96610
Commanding Officer
Naval Investigative Service Office
Pacific Box 76
FPO San Francisco 96610
Officer in Charge
Naval Legal Service Office
Box 124
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Commander
Naval Logistics Command
US Pacific Fleet
FPO San Francisco 96610

Commanding Officer
Naval Regional Dental Center
Box 111
FPO San Francisco 96610
Commanding Officer
Naval Regional Medical Clinic
Hawaii, Box 121
FPO San Francisco 96610
Commanding Officer
Naval Ship Systems Command
Management Office Western Pacific
Area, Box 400
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Commanding Officer
Naval Shore Electronics Engineering
Activity Pacific
Box 130
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Commanding Officer
Naval Station
FPO San Francisco 96610
Commanding Officer
Naval Submarine Base
FPO San Francisco 96610
Commanding Officer
Naval Submarine Training
Center Pacific
FPO San Francisco 96610
Commanding Officer
Naval Supply Center
Box 300
FPO San Francisco 96610
Officer in Charge
Navy Commissary Store Region
FPO San Francisco 96610
Officer in Charge
Navy Environmental and Preventive
Medicine Unit No 6 Box 112
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Officer in Charge
Navy Finance Office
FPO San Francisco 96610
Commanding Officer
Navy Public Works Center
FPO San Francisco 96610
Director
Navy Publications and Printing
Service Pacific Division
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Commander
Oceanographic System Pacific
Box 1390
FPO San Francisco 96610
Officer in Charge
of Construction Naval Facilities
Engineering Command Contracts
Mid Pacific
FPO San Francisco 96610
Director Pacific Field Div
Office of Civilian Personnel
Pacific Field Divi Box 119
FPO San Francisco 96619
Commander
Pacific Division
Naval Facilities Engineering
Command
FPO San Francisco 96610
Commanding Officer
Pacific Fleet Data Processing
Service Center Pearl Harbor
FPO San Francisco 96610
Commander
Pearl Harbor Naval Shipyard
Box 400
FPO San Francisco 96610
Commander
Submarine Force
US Pacific Fleet
FPO San Francisco 96610
Commander
Third Fleet
FPO San Francisco 96610
Commander in Chief
US Pacific Fleet
FPO San Francisco 96610
Commandant
14th Naval District
Naval Base
Box 110
FPO San Francisco 96610
Commanding Officer
Naval Air Station
Barbers Point
FPO San Francisco 96611
Commanding Officer
Naval Facility
FPO San Francisco 96611
Commanding Officer
Naval Magazine
FPO San Francisco 96612
Commanding Officer
Naval Communication Area Master
Station EASTPAC
Honolulu
FPO San Francisco 96613
Commanding Officer
US Naval Facility
Box 100
FPO San Francisco 96614
Commanding Officer
US Naval Station
FPO San Francisco 96614
Commanding Officer
Marine Corps Air Station
FPO San Francisco 96615
Commanding Officer
Marine Barracks
FPO San Francisco 96630
Office in Charge
of Construction Naval Facilities
Engineering Command Contracts
FPO San Francisco 96630
Military Sealift Command
Office Naval Station
Box 198
FPO San Francisco 96630
Commanding Officer
U S Fleet Weather Central
Box 12
COMNAVMARIANAS
FPO San Francisco 96630
Commanding Officer
U S Naval Communication Area Master
Station WESTPAC
FPO San Francisco 96630
Commander
US Naval Base
FPO San Francisco 96630
Commanding Officer
US Naval Facility
FPO San Francisco 96630
Commander
US Naval Forces Marianas
FPO San Francisco 96630
Officer in Charge
US Naval Legal Service Office
COMNAVMARIANAS
FPO San Francisco 96630
Commanding Officer
US Naval Magazine
FPO San Francisco 96630
Commanding Officer
US Naval Regional Medical Center
FPO San Francisco 96630
Commanding Officer
US Naval Ship Repair Facility
FPO San Francisco 96630
Officer in Charge
US Naval Shore Electronics
Engineering Activity
Box 194
FPO San Francisco 96630
Commanding Officer
US Naval Station
FPO San Francisco 96630

Commanding Officer
US Naval Supply Depot
FPO San Francisco 96630
Officer in Charge
US Navy Commissary Store
PO Box 179 US Naval Station
FPO San Francisco 96630
Officer in Charge
US Navy Finance Office
FPO San Francisco 96630
Commanding Officer
US Navy Public Works Center
FPO San Francisco 96630
Commanding Officer
U.S. Naval Regional Dental Center
FPO San Francisco 96630
Commanding Officer
US Naval Air Station
FPO San Francisco 96637
Commanding Officer
Marine Barracks
FPO San Francisco 96651
Military Sealift Command
Office Philippines
Box 11
FPO San Francisco 96651
Commanding Officer
U S Naval Regional Medical Center
FPO San Francisco 96651
Commander
US Naval Base
FPO San Francisco 96651
Commander
US Naval Forces Philippines
Box 30
FPO San Francisco 96651
Commanding Officer
US Naval Investigative Service
Office Box 36
FPO San Francisco 96651
Officer in Charge
US Naval Legal Service Office
US Naval Base
FPO San Francisco 96651
Commanding Officer
US Naval Magazine
Box 68
FPO San Francisco 96651
Commanding Officer
US Naval Ship Repair Facility
FPO San Francisco 96651
Officer in Charge
US Naval Shore Electronics
Engineering Activity
Box 91
FPO San Francisco 96651
Commanding Officer
US Naval Station
FPO San Francisco 96651
Commanding Officer
US Naval Supply Depot
FPO San Francisco 96651
Officer in Charge
US Navy Commissary Store Region
Box 28
FPO San Francisco 96651
Commanding Officer
US Navy Public Works Center
FPO San Francisco 96651
Commanding Officer
U.S. Naval Regional Dental Center
FPO San Francisco 96651
Officer in Charge
Detachment Cubi Point
Commander Fleet Air Western Pacific
FPO San Francisco 96654
Commanding Officer
Fleet Air Intelligence Support
Center Western Pacific
Box 12
FPO San Francisco 96654
Commanding Officer
US Naval Air Station
FPO San Francisco 96654
Commanding Officer
US Naval Communication
Station
FPO San Francisco 96656
Commanding Officer
US Naval Communication
Station
FPO San Francisco 96680
Officer in Charge
US Navy Commissary Store
FPO San Francisco 96680
Commanding Officer
US Naval Communication Station
FPO San Francisco 96685
Officer in Charge
Detachment Delta
US Naval Support Force Antarctica
FPO San Francisco 96690
Officer in Charge
US Naval Communication Unit
FPO San Francisco 96690
Officer in Charge
Detachment Alfa
US Naval Support Force Antarctica
FPO San Francisco 96692
Officer in Charge
US Navy Office
FPO San Francisco 96699
Commanding Officer
Military Sealift Command Office
APO Seattle 98742
Commanding Officer
Naval Security Group Activity
APO Seattle 98742
Commander
Military Sealift Command Far East
FPO Seattle 98760
Commander
Fleet Activities
FPO Seattle 98762
Commanding Officer
Marine Barracks
FPO Seattle 98762
Commanding Officer
U S Naval Weather Service Facility
FPO Seattle 98762
Commanding Officer
US Naval Communication
Station Box 3
FPO Seattle 98762
Commander
US Naval Forces Japan
FPO Seattle 98762
Commanding Officer
US Naval Investigative Service
Office Box 76
FPO Seattle 98762
Officer in Charge
US Naval Legal Service Office
COMNAVFORJAPAN
FPO Seattle 98762
Commanding Officer
US Naval Ship Repair Facility
FPO Seattle 98762
Officer in Charge
US Naval Shore Electronics
Engineering Activity
Box 5
FPO Seattle 98762
Commanding Officer
US Naval Supply Depot
FPO Seattle 98762
Officer in Charge
US Navy Commissary Store Region
FPO Seattle 98762
Commanding Officer
US Navy Public Works Center
FPO Seattle 98762
Commanding Officer
Marine Corps Air Station
FPO Seattle 98764
Commanding Officer

US Naval Regional Dental Center
FPO Seattle 98765
Commanding Officer
US Naval Regional Medical Center
FPO Seattle 98765
Commanding Officer
US Naval Ordnance Facility
FPO Seattle 98766
Officer in Charge
Naval Air Logistic Control Office
Western Pacific
U S Naval Air Facility
FPO Seattle 98767
Commanding Officer
US Naval Air Facility
FPO Seattle 98767
Commander Fleet Air
Western Pacific
FPO Seattle 98767
Commander Patrol and
Reconnaissance Force Seventh Fleet
FPO Seattle 98768
Commander
US Taiwan Patrol Force
Pacific Fleet
FPO Seattle 98768
Officer in Charge
US Navy Commissary Store
FPO Seattle 98769
Military Sealift
Command Office
FPO Seattle 98770
Commander
Fleet Activities/US Naval Air
Facility
FPO Seattle 98770
Commanding Officer
US Marine Corps Air Station
(Helicopter)
FPO Seattle 98772
Commanding General
Marine Corps Base
Camp Smedley D Butler
FPO Seattle 98773
Commanding Officer
Naval Security Group Activity
FPO Seattle 98777
Commanding Officer
U S Naval Regional Medical Center
FPO Seattle 98778
Commanding Officer
Marine Barracks
Naval Station
FPO Seattle 98791
Commanding Officer
Naval Facility
Box 71
FPO Seattle 98791
Commanding Officer
USNaval Station
FPO Seattle 98791

Billing Code 3810.71F

DEFENSE CONTRACT AUDIT AGENCY

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

RDCAA 152.13

System name:

152.13 Notifications of Visits

System location:

Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA, and, Security Control Officers of DCAA Regional and Field Audit Offices, whose addresses are in the DoD directory in the appendix to DCAA'S SYSTEMS notices.

Categories of individuals covered by the system:

All DCAA personnel with security clearance who are required to visit defense contractors or other Federal agencies on official business.

Categories of records in the system:

Correspondence or forms indicating security clearance information on DCAA employees and notifications of visits by DCAA personnel to Office of Secretary of Defense, DoD components, other Federal agencies, and DoD contractors either on a one-time or recurring basis. Correspondence may include employees social security number, date and place of birth, official title and other related data.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533, Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Executive Order 11652, 'Classification and Declassification of National Security Information and Material.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Officer, Headquarters, DCAA and Regional and Field Audit Office Security Control Officers - To advise security officers of defense contractors, Offices of the Secretary of Defense, DoD components, andother Federal agencies of the security clearance status of DCAA personnel who are assigned to or may be visiting their offices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed in numerical order based on file number, then by subject, then alphabetically by last name of individual at DCAA Regional and Field Audit Offices. Filed in numerical order based on file number, then by organizational activity (DCAA Headquarters or field activities), then alphabetically by last name of individual in Headquarters, DCAA. Official copies in official personnel folders are filed alphabetically by last name of employee.

Safeguards:

Records are accessible only to authorized personnel who are properly cleared and trained and who require access in connection with their official duties. Records are stored in locked filing cabinets after normal business hours and are stored only in buildings protected by guard force systems after normal business hours.

Retention and disposal:

Records are destroyed upon expiration of notification. Unexpired notifications are updated annually, and retained in current files; prior year notifications are destroyed.

System manager(s) and address:

Security Officer, Headquarters, DCAA and Security Control Officers of the Regional and Field Audit Offices, DCAA.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to those offices (Headquarters and 6 regional offices) listed in the DoD directory in the appendix to DCAA's system notice.

For personal visits, the individual should be able to provide some acceptable identification, that is drivers license or employing offices' identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Director of Personnel, Headquarters, DCAA; Chiefs of Personnel Divisions, DCAA Regional Offices; Regional Security Control Officers, DCAA Regional Offices; Heads of Field Audit Offices, DCAA, from application and security forms submitted by individuals prior to employment.

Systems exempted from certain provisions of the act:

NONE

RDCAA 152.17

System name:

152.17 Security Status Master List

System location:

Security Officer, Defense Contract Audit Agency (DCAA), HQ, DCAA

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA U.S. citizen employees; all DCAA non-U.S. citizen employees assigned to sensitive positions; all military personnel assigned, detailed, or attached to DCAA who are assigned to sensitive positions; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

Record contains type of investigation, date completed, file number, agency which conducted investigation, security clearance data information, name, social security number, date and place of birth, organizational assignment, dates interim and final clearance issued, position sensitivity and related data.

Authority for maintenance of the system:

44USC 2904, 3102; 5 USC 7531 through 7533; Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Executive Order 11652, 'Classification and Declassification of National Security Information and Material'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Officer, DCAA-Serves as a ready reference on security clearance status of DCAA personnel, sensitivity of positions con-

cerned, and scope of investigations completed on individuals concerned.

Other uses include disclosure to DoD components, DoD contractors and other Federal agencies to furnish security clearance data on DCAA employees who may be assigned to or visiting a contractor facility or applying for employment with another Federal agency.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card File

Retrievability:

Cards filed alphabetically by last name of individual concerned for all DCAA regional personnel. Separate file maintained alphabetically by last name of individual concerned for DCAA Headquarters elements.

Safeguards:

Cards are accessible only to those authorized personnel required to prepare, process, and type necessary documents; and answer authorized inquiries for information contained therein. Cards are stored in locked filing cabinets after normal business hours and are stored in a locked room and building which is protected by a guard force system after normal business hours.

Retention and disposal:

These cards are destroyed two years after an individual is separated from the Agency.

System manager(s) and address:

Security Officer, DCAA, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to DCAA Security Office, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide acceptable identification, that is, driver's license or employing offices' identification card.

Contesting record procedures:

The Agency rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Security Officer, Headquarters, DCAA; Director of Personnel, Headquarters, DCAA; Chiefs of Personnel Divisions, DCAA regional offices; Regional Security Control Officers, DCAA Regional Offices; Chiefs of DCAA Field Audit Offices; and reports of investigation conducted by Federal investigative agencies.

Systems exempted from certain provisions of the act:

NONE

RDCAA 152.2

System name:

152.2 Personnel Security Data Files

System location:

Primary System - Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA.

Decentralized Segments - Director of Personnel, DCAA; Chiefs of Personnel Divisions, DCAA Regional Offices; Regional Security Control Officers, DCAA Regional Offices; Chiefs of DCAA Field Audit Offices, whose addresses are in the DoD directory in the appendix to DCAA's system notices.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA U.S. citizen employees; all DCAA non-US citizen employees assigned to sensitive positions; all military personnel assigned, detailed, or attached to DCAA who are assigned to sensitive positions; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

File contains copies of individuals' employment applications, security investigative questionnaires; requests for and approvals or disapprovals of emergency appointment authority; requests for investigation or security clearance; interim and final security clearance certificates; security briefing and debriefing certificates; and orders assigning security control duties.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533; Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Section 6, Executive Order 11652, 'Classification and Declassification of National Security Information and Material'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Officer, DCAA-To provide a basis for requesting appropriate pre-appointment and post-appointment investigations concerning suitability, eligibility and qualifications for employment and retention in the Federal Service, employment and retention in sensitive positions, and access to classified information; to permit determinations to be made that employment or retention in sensitive positions is clearly consistent with the interests of national security; to authorize and record access by individuals to specific levels of classified information; to furnish notice of security clearance and access authorizations to appropriate DCAA activities, other Department of Defense (DoD) components, other Federal agencies, and DoD contractors requiring such information; to record the appropriate briefing and debriefing of persons prior to and after their access to various levels and categories of classified information; to record the assignment of specific security control duties to Agency personnel; and to provide a basis for the periodic updating of personnel security questionnaires, updating of personnel security investigations and readjudication for retention in sensitive positions.

Director of Personnel, DCAA and Chiefs of Personnel Division, DCAA regional offices-To coordinate and take appropriate personnel action on determinations concerning suitability for Federal employment and employment or retention in sensitive positions; to record such determinations, with related documents in official personnel folders; and to prepare and transmit requests for appropriate investigations.

Regional Security Control Officers, DCAA-To permit initial security review of applicants for sensitive positions; to prepare and transmit appropriate requests for investigations and requests for security clearances; to record, maintain and disseminate, as appropriate, notices of security clearances and access determinations.

Chiefs of DCAA field audit offices-To prepare and transmit requests for appropriate security investigations; to maintain a record of employee's security clearance and access authorizations; to maintain a record of the security briefing and debriefing of employees; to maintain a record of the assignment of security control duties to employees.

Other routine uses could include disclosure to officials of the Office of the Secretary of Defense, other DoD components, and other Federal agencies, for investigative purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Folders are filed in numerical order based on file number, then by organizational element (DCAA Headquarters or DCAA field activities) and then alphabetically by last name of individual concerned.

Safeguards:

Records are accessible only to authorized personnel who are properly cleared and trained and who require access in connection with their official duties. Records are stored in locked filing cabinets after normal business hours and are stored only in buildings protected by guard force systems after normal business hours.

Retention and disposal:

Records pertaining to Federal employees, military personnel, and persons furnishing services to DCAA on a contract basis are destroyed upon separation of employees, transfer of military personnel from DCAA, and upon termination of the contracts of contractor personnel. Records pertaining to applicants are destroyed within one year of receipt of the application if an appointment to the Agency is not made.

System manager(s) and address:

Security Officer, DCAA, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Chiefs, Personnel Divisions, DCAA Regional Offices; DCAA Regional Security Control Officers, Chiefs of DCAA Field Audit Offices; and the Director of Personnel, DCAA, whose addresses are in the DoD Directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to those offices (Headquarters and 6 regional offices) listed in the DoD Directory in the appendix to DCAA systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or employing offices' identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Security Officer, Headquarters, DCAA; Director of Personnel, Headquarters, DCAA; Chiefs of Personnel Divisions, DCAA Regional Offices; Regional Security Control Officers, DCAA Regional Offices; Chiefs of DCAA Field Audit Offices.

Systems exempted from certain provisions of the act:

NONE

RDCAA 152.3

System name:

152.3 Reports of Personnel Security Investigations

System location:

Primary System-Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA.

Decentralized Segments-Regional Security Control Officers of DCAA Regions whose addresses are in the DoD directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA U.S. citizen employees; all DCAA non-U.S. citizen employees assigned to sensitive positions; all military personnel assigned, detailed, or attached to DCAA who are assigned to sensitive positions; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

File contains non-record copies of classified or unclassified investigations or summaries or extracts of the results of investigations conducted to determine suitability, eligibility or qualifications for Federal civilian employment, military service, or access to classified information.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533; Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Executive Order 11652, 'Classification and Declassification of National Security Information and Material.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Officer, DCAA - To permit a final determination to be made that the subject of investigation is suitable, eligible, and qualified for Federal civilian employment, employment or retention in a sensitive position, or access to classified information.

Regional Security Control Officers, DCAA - To review the results of pre-employment National Agency Checks conducted by the Civil Service Commission, recommend appointment or non-appointment action on the basis of such Agency Checks, and transmit results of such Agency checks to the Security Officer, DCAA, for further investigations and clearance actions.

Routine uses may include disclosure to Agency management officials and employees who are required to take action on reports, disclosure to officials of the Office of the Secretary of Defense, disclosure to the security officials of other DoD components, disclosure to accredited representatives of law enforcement and investigative agencies for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and microfiche in file folders.

Retrievability:

Folders are filed in numerical order based on file number, then by organizational element (DCAA Headquarters or DCAA field activities) and then alphabetically by name of individual concerned.

Safeguards:

When not in use, records are stored in combination lock file cabinets authorized for the storage of classified information, which are locked after normal business hours. Combinations are known only by authorized personnel. The offices housing these file cabinets are locked after normal business hours, and the buildings concerned are under security guard protective measures after normal business hours. During normal business hours the records are either under constant surveillance of security personnel or the containers housing them are kept locked. Access to the records is limited to personnel who are properly screened, cleared, trained and have an authenticated need for access to accomplish a routine use of the record. Classified records are protected in accordance with the provisions of Executive Order 11652 as implemented by DoD Regulation 5200.1-R.

Retention and disposal:

Record copies are maintained by the investigative agency which conducted the investigation and are retained in accordance with the retention standards of those agencies. Non-record copies furnished to DCAA are disposed of in accordance with instructions furnished by the investigative agency concerned. These instructions require that the records be returned to the investigative agency concerned or be destroyed upon separation of the subject of investigation, and permit earlier return or destruction when no longer needed for reference purposes. Records on applicants not appointed are destroyed within one year after declination of appointment or non-appointment determination.

System manager(s) and address:

Security Officer, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, Va 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Action on requests from individuals for access is the responsibility of the investigating agency which prepared and which maintains the record copy of the report of investigation. Individuals who are aware of the identity of the investigative agency concerned may apply directly to that agency. Individuals not aware of the identity of the investigative agency concerned should address requests to the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Va 22314, who will route the request to the appropriate investigative agency.

Written requests for information should contain the full name of the individual, current address and telephone number, and current business address. Visits are limited to those offices (headquarters and 6 regional offices) listed in the DoD directory in the appendix to DCAA systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is drivers's license or employing office's identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing inital determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Va 22314.

Record source categories:

Investigative, intelligence, counter-intelligence, regulatory, and law enforcement agencies which provide reports pertaining to the suitability, eligibility, or qualifications of individuals for Federal employ-

ment, military service, assignment to sensitive positions, or access to classified information.

Systems exempted from certain provisions of the act:

None

RDCAA 152.4

System name:

152.4 Personnel Security Adjudication File.

System location:

Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA.

Categories of individuals covered by the system:

DCAA personnel and applicants for DCAA employment on whom appropriate investigations have been completed and concerning whom a formal security or suitability determination must be made in connection with their employment or their access to classified information.

Categories of records in the system:

File may contain classified or unclassified summaries or extracts of reports of investigation; internal Agency memorandums and correspondence furnishing analyses of results of investigation in so far as their relationship to the criteria contained in Executive Order 10450, in the Federal Personnel Manual, and in Department of Defense directives and DCAA regulations; comments and recommendations of the DCAA Central Clearance Group to the Director, DCAA; and determinations by the Director, DCAA.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533; Executive Order 10450, 'Security Requirements for Government Employees,' as amended; and, Executive Order 11652, 'Classification and Declassification of National Security Information and Material'.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To furnish summaries of pertinent investigative data, analyses of the relationship between such data and security/suitability standards, and recommended determinations and courses of action to the DCAA Central Clearance Group and the Director, DCAA, for the purpose of adjudication of personnel security cases and reaching security/suitability determinations.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed in numerical order based on file number, then by organizational activity (DCAA Headquarters or field activities), then alphabetically by last name of individual.

Safeguards:

When not in use, records are stored in combination lock file cabinets authorized for the storage of classified information, which are locked after normal business hours. Combinations are known only by the Security Officer, DCAA, and personnel under his supervision. The office housing these file cabinets is locked after normal business hours, and the building concerned is under security guard protective measures after normal business hours. During normal business hours the records are either under constant surveillance of security personnel or the containers housing them are kept locked. Access to the records is limited to personnel who are properly screened, cleared, trained and have an authenticated need for access to accomplish a routine use of the record. Classified records are protected in accordance with the provisions of Executive Order 11652 as implemented by DoD Regulation 5200.1-R, 'Information Security Program Regulation'.

Retention and disposal:

Where no adverse action is taken, records are destroyed upon completion of final security and suitability determinations. Where adverse action is taken, records are destroyed two years after the individual concerned is separated from the Agency, or in the case of applicants, within one year after a non-appointment determination is made.

System manager(s) and address:

Security Officer, Headquarters, Defense Contract Audit Agency, Building 4, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency,
Cameron Station, Bldg. 4, Room 4A320, Alexandria, VA 22314.
Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to those offices (Headquarters and 6 regional offices) listed in the DoD Directory in the appendix to DCAA systems notices.
For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or employing office's identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

Reports of investigations conducted in connection with employment or access to classified information; advisory data prepared by members of DCAA Central Clearance Group.

Systems exempted from certain provisions of the act:

None

RDCAA 152.5

System name:

152.5 Notification of Security Determinations

System location:

Primary System-Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA.

Categories of individuals covered by the system:

DCAA personnel and applicants for DCAA employment on whom specific security or suitability action must be taken.

Categories of records in the system:

Records may contain a summary of pertinent security or suitability information; the results of security determinations approved by the Director, DCAA; and directed or recommended actions to be taken at DCAA Regional Office or Field Audit Office level.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533; Executive Order 10450, 'Security Requirements for Government Employees,' as amended and Executive Order 11652, 'Classification and Declassification of National Security Information and Material.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To permit required actions of a suitability or a security nature to be taken by appropriate Agency officials at DCAA Regional Office and Field Audit Office level, including regional managers, heads of field audit offices, security control officers, and chiefs of regional personnel divisions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Folders are filed in numerical order based on file number, then by organizational element (DCAA Headquarters or DCAA field activities) and then alphabetically by name of individual concerned.

Safeguards:

Records are accessible only to authorized personnel who are properly cleared and trained and who require access in connection with their official duties. Records are stored in locked filing cabinets after normal business hours and are stored only in buildings protected by guard force systems after normal business hours.

Retention and disposal:

Destruction is directed individually in each case upon completion of final security or suitability actions or automatically upon non-appointment of applicants or separation of employees, whichever is earlier.

System manager(s) and address:

Security Officer, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to those offices (Headquarters and 6 regional offices) listed in the DoD directory in the appendix to DCAA systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is driver's license or employing office's identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Results of investigations received from Federal agencies and recommendations for action from appropriate DCAA Headquarters staff elements.

Systems exempted from certain provisions of the act:

None

RDCAA 152.6

System name:

152.6 Regional Security Clearance Request Files

System location:

Primary System-Security Control Officers of DCAA Regional and Field Audit Offices and Chiefs of Personnel Divisions, DCAA Regional Offices, whose addresses are in the DoD directory in the appendix to DCAA's system notices.

Decentralized Segment-Security Officer, Defense Contract Audit Agency, Headquarters, DCAA.

Categories of individuals covered by the system:

All applicants for employment with DCAA; all DCAA U.S. citizen employees; all DCAA non-U.S. citizen employees assigned to sensitive positions; all military personnel assigned, detailed, or attached to DCAA who are assigned to sensitive positions; all persons hired on a contractual basis by, or serving in an advisory capacity to DCAA, who require access to classified information.

Categories of records in the system:

Files contain personnel security data forms submitted by employees and applicants and required in the processing of security investigations; requests for various types of security clearance actions; requests for appointment of employees to security control duties; copies of notices of proposed appointments; and requests for and approvals/disapprovals of changes of sensitivity of positions.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533, Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Executive Order 11652, 'Classification and Declassification of National Security Information and Material.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Control Officers of DCAA Field Audit Offices - To obtain necessary data to process personnel security investigations from employees and applicants for forwarding to Chiefs of Regional Personnel Divisions or Regional Security Control Officers, as appropriate.

Chiefs of Personnel Divisions, DCAA Regional Offices and Director of Personnel, Headquarters, DCAA - To obtain and transmit necessary data required to process requests for personnel security investigations on applicants and employees for forwarding to Regional Security Control Officer and/or Security Officer, DCAA, as appropriate.

Regional Security Control Officers - To screen, review and process requirements for all personnel security actions and to transmit requests for investigations to the Security Officer, DCAA or appropriate Federal investigative agency as required.

Security Officer, Headquarters, DCAA - To review and request appropriate security investigation from Federal investigative agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual concerned in subject file.

Safeguards:

Records are accessible only to those authorized personnel required to prepare, review, process, and type necessary documents. Records are stored in locked filing cabinets after normal business hours and are stored in locked rooms and buildings or buildings that are protected by a guard force system after normal business hours.

Retention and disposal:

These are transitory files at DCAA Regional and Field Audit Office level and are maintained only during processing and pending final action on requests; upon receipt of final action taken on request, files are destroyed. Segments of the system held by the Security Officer, DCAA are destroyed upon separation of the employee or within one year after non-appointment of an applicant.

System manager(s) and address:

Security Officer, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Chiefs, Personnel Divisions, DCAA Regional Offices; DCAA Regional Security Control Offices; Chiefs of DCAA Field Audit Offices, whose addresses are in the DoD directory in the appendix to DCAA's system notices.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number, and current business address. Visits are limited to those offices (Headquarters and 6 Regional Offices) listed in the DoD directory in the appendix to DCAA system notices.

In personal visits, the individual should be able to provide acceptable identification, that is driver's license or employing offices' identification card.

Contesting record procedures:

The Agency rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Chiefs of Personnel Divisions, DCAA Regional Offices; Regional Security Control Officers, DCAA Regional Offices; Chiefs of DCAA field audit offices.

Systems exempted from certain provisions of the act:

NONE

RDCAA 152.7

System name:

152.7 Clearance Certification

System location:

Primary System-Security Officer, Defense Contract Audit Agency (DCAA), Headquarters, DCAA and Regional Security Control Officers of DCAA Regional Offices, whose addresses are in the DoD directory in the appendix to DCAA's system notices.

Decentralized Segments-Director of Personnel, Defense Contract Audit Agency (DCAA), Headquarters, DCAA; Chiefs of Personnel Divisions, DCAA Regional Offices; and Security Control Officers of DCAA Field Audit Offices, whose addresses are in the DoD directory in the appendix to DCAA's system notices.

Categories of individuals covered by the system:

All DCAA personnel who require access to classified information.

Categories of records in the system:

Files contain interim and final security clearance certificates attesting to type of investigation conducted and degree of access to classified information which is authorized.

Authority for maintenance of the system:

44 USC 2904, 3102; 5 USC 7531 through 7533, Executive Order 10450, 'Security Requirements for Government Employees,' as amended; Executive Order 11652, 'Classification and Declassification of National Security Information and Material.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Security Officer, DCAA, Security Control Officers of DCAA Regional and Field Audit Offices-To authorize DCAA employees in sensitive positions access to specific levels of classified information; and to furnish notice of security clearance and access authorizations to appropriate DCAA activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of individual concerned within subject file.

Safeguards:

Records are accessible only to those authorized personnel required to act upon a request for access to classified defense information. Records are stored in locked filing cabinets after normal business hours and stored in locked rooms or buildings that are protected by a guard force system after normal business hours.

Retention and disposal:

Files pertaining to Federal employees, military personnel, and persons furnishing services to DCAA on a contract basis are destroyed upon separation of employees, transfer of military personnel from DCAA, and upon termination of contractor personnel. Files of individuals transferring within DCAA are transferred to security control office of gaining element for maintanence.

System manager(s) and address:

Security Officer, DCAA, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Regional Security Control Officers in DCAA Regional Offices whose addresses are in the DoD directory in the appendix to DCAA's system notice.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number and current business address. Visits are limited to those offices (Headquarters and 6 regional offices) listed in the DoD directory in the appendix to DCAA's system notice.

For personal visits, the individual should be able to provide some acceptable identification, that is drivers's license or employing offices' identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Security Officer, DCAA; Regional Security Control Officers, DCAA Regional Offices.

Systems exempted from certain provisions of the act:

NONE

RDCAA 160.5

System name:

160.5 Travel Orders

System location:

All DCAA offices whose addresses are listed in the DoD directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Any civilian employee of DCAA performing any official travel.

Categories of records in the system:

File contains individual's orders directing or authorizing any official travel to be performed including approval for transportation of automobiles, documents relating to dependents travel, bills of lading, vouchers, contracts, and other documents relating to the specific travel order.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et.seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office staff responsible for initiating, effecting or implementing government travel, servicing Accounting and Finance offices, and GAO.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice, or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By fiscal year, by name, alphabetically
May be filed in numerical sequence, by travel order number

Safeguards:

Under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

Destroy after 4 years

System manager(s) and address:

Assistant Director, Resources, Headquarters, DCAA
Regional Managers, DCAA
Chiefs of Field Audit Offices, DCAA
Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from SYSMANAGER

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER of office concerned.

Written requests should contain the full name, address, and telephone number of the individual. Visits are limited to those offices listed in the Department of Defense directory in the appendix to DCAA's systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Va 22314.

Record source categories:

Administrative offices; Personnel offices; servicing payroll offices, employee

Systems exempted from certain provisions of the act:

None

RDCAA 240.1 2

System name:

240.1 Cross Reference Index to Legal Opinions

System location:

Office of Counsel, Headquarters, DCAA

Categories of individuals covered by the system:

Records which have been referred to the Counsel for review for legal sufficiency. Records may be filed by name of individual or subject matter.

Categories of records in the system:

Card index which identifies legal opinions and directs the staff to subject or name files of legal opinions.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel as an index to the files of legal opinions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Three by five cards in file boxes

Retrievability:

Filed alphabetically by subject or name of individual or corporation

Safeguards:

Under legal staff supervision during duty hours; buildings are guarded by security guards during nonduty hours.

Retention and disposal:

Index cards are destroyed when obsolete, superseded or no longer needed.

System manager(s) and address:

Counsel, Headquarters, DCAA

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202 274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or some other form of identification.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA 22314.

Record source categories:

Documents contained in the legal opinion case files.

Systems exempted from certain provisions of the act:

NONE

RDCAA 240.2

System name:

240.2 Statements of Employment and Financial Interest

System location:

Office of Counsel, Headquarters, DCAA

Supervisors of all DCAA auditor employees, GS-13 and above. Offices listed in DoD directory in appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Information obtained from all DCAA auditor personnel in grades GS-13 and above.

Categories of records in the system:

Department of Defense Forms 1555 and 1555-1, Confidential Statement of Employment and Financial Interest

Authority for maintenance of the system:

Executive Order 11222 dated May 8, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is collected for purpose of assuring compliance with conflict of interest laws and regulations.

Irregularities may be divulged to other DoD components and Department of Justice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by last name of employee

Safeguards:

Stored in locked tumbler safe during nonduty hours; only the staff of the DCAA Counsel is permitted access during duty hours

Retention and disposal:

Counsel, DCAA-These records are destroyed two years after termination of employment with DCAA.

Supervisors-These files are destroyed upon transfer or separation of the employee

System manager(s) and address:

Counsel, Headquarters, DCAA

Notification procedure:

Information may be obtained from:
Counsel
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A175
Alexandria, VA 22314
Telephone: Area Code 202/274/7321

Record access procedures:

Requests from individuals should be addressed to Counsel, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Office of Counsel, Building 4, Room 4A175, Cameron Station, Alexandria, VA.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or employment identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

NONE

Systems exempted from certain provisions of the act:

NONE

RDCAA 240.3

System name:

240.3 Legal Opinions

System location:

Office of Counsel, Headquarters, DCAA

Categories of individuals covered by the system:

Any DCAA employee who files a complaint with regard to personnel problems that requires a legal opinion for resolution.

Categories of records in the system:

Fraud-Files contain interoffice memorandums, citations used in determining legal opinion, in some cases copies of investigations (FBI), copies of Agency determinations.

EEO-Files contain initial appeal, copies of interoffice memorandums, testimony at EEO hearings, copy of Agency determination. Citations used in determining legal opinions.

Adverse Actions-Files contain interoffice memorandums, citations used in determining legal opinion, Agency determination.

Grievances-Files contain correspondence relating to DCAA employees filing grievances regarding leave, removals, resignations, suspensions, disciplinary actions, travel, citations used in determining legal opinion, Agency determinations.

Awards-Files contain correspondence relating to DCAA employee awards, suggestion evaluations, citations used for legal determination, Agency determination.

Security Violations-Files contain interoffice correspondence relating to DCAA employee security violations, citations used in determinations, Agency determination.

Authority for maintenance of the system:

Federal Records Act 1950 (44 USC 2904, 3102, 3309), Records Disposal Act 44 USC 3301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel-Determine legal sufficiency.

Assistant Director, Resources-Legal opinion considered in final determinations.

Executive Officer-Legal opinion considered in final determination.

Other DoD components-Referral for investigations, determinations.

Department of Justice-Referral for possible criminal prosecution of fraud.

Disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Primary filing system is by subject; within subjects, files are alphabetical by subject, corporation, name of individual.

Safeguards:

Under staff supervision during duty hours; security guards are provided during nonduty hours.

Retention and disposal:

These files are for permanent retention. They are retained in active files for five years and retired to Washington National Records Center.

System manager(s) and address:

Counsel, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency, Cameron Station
Alexandria, VA 22314
Telephone: Area Code 202/274/7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests from individuals for information should contain the full name of the individual, current address and telephone number. Visits are limited to Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification that is, driver's license, employing office's identification card, and give some verbal information that could be verified with 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA 22314.

Record source categories:

Correspondence from individual's supervisor, DCAA employees, former employers, between DCAA staff members, and between DCAA and other Federal agencies.

Systems exempted from certain provisions of the act:

None

RDCAA 240.5

System name:

240.5 Standards of Conduct, Conflict of Interest

System location:

Office of Counsel, Headquarters, DCAA.

Categories of individuals covered by the system:

Any DCAA employee who has accepted gratuities from contractors or who has business, professional or financial interests that would indicate a conflict between their private interests and those related to their duties and responsibilities as DCAA personnel. Any DCAA employee who is a member or officer of an organization that is incompatible with their official government position, using public office for private gain, or affecting adversely the confidence of the public in the integrity of the Government.

Categories of records in the system:

Office of Counsel-Files contain documents and background material on any apparent conflict of interest or acceptance of gratuities by DCAA personnel. Correspondence may involve interoffice memorandums, correspondence between former DCAA employees and Headquarters staff members, citations used in legal determinations and Agency determinations.

Authority for maintenance of the system:

Executive Order 11222 dated May 8, 1965.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel-Determine legal sufficiency.

Assistant Director, Resources-Legal opinion considered in final determination.

Other DoD components-Referral for investigation, determination.

Department of Justice-Referral for possible criminal prosecution or fraud.

Disclosure to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Primary filing system is by subject, within subject, files are alphabetical by subject, corporation, name of individual.

Safeguards:

Under staff supervision during duty hours; buildings have security guards during nonduty hours.

Retention and disposal:

These files are for permanent retention. They are retained in active files for five years and retired to Washington National Records Center.

System manager(s) and address:

Counsel, Headquarters, DCAA, Cameron Station, Alexandria, Va. 22314

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA. 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests from individuals for information should contain the full name of the individual, current address and telephone number. Visits are limited to Records Administrator, Room 4A320, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification that is, driver's license, employing office's identification card, and give some verbal information that could be verified with 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Room 4A320, Cameron Station, Alexandria, VA 22314

Record source categories:

Correspondence from individual's-supervisor, DCAA employees, former employees, between DCAA staff members, and between DCAA and other Federal agencies.

Systems exempted from certain provisions of the act:

None

RDCAA 260.4

System name:

260.4 White House Correspondence

System location:

Primary System-Executive Office, Headquarters, DCAA;

Decentralized Segments-DCAA Regional Offices and Field Audit Offices; Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Any individual who has written to the President or a member of his staff about a matter under the purview of the Defense Contract Audit Agency if the letter was referred by the White House for information or reply.

Categories of records in the system:

Copies of correspondence from the individual, the referral letter from the White House, the reply made by DCAA either to the individual or to the White House, and any backup material developed in the process of preparing the reply.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 133; 44 United States Code 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office staff responsible for preparing the reply or for providing information on which to base a reply.

Other routine uses could include disclosure to other Department of Defense components, other Federal agencies, the Department of Justice or law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

These records are filed chronologically under the subject 'White House Correspondence,' and may be indexed by subject of the correspondence and name of writer.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

Files maintained by the Executive Office are for permanent retention. They are retained in active files for five years and retired to Washington National Records Center.

Files maintained by other offices are retained in active files for one year, then retired to a Federal Records Center for destruction after four years.

System manager(s) and address:

Headquarters, DCAA, Executive Officer
Regional Managers, DCAA
Chiefs of Field Audit Offices
Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from:
Executive Officer
Defense Contract Audit Agency, Bldg. 4, Room 4C346
Alexandria, VA 22314
Telephone: Area Code 202/274-7319

Record access procedures:

Requests from individuals should be addressed to: Executive Officer, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, and the current address and telephone number. Visits are limited to the Executive Office, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified in the file.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence originating in the White House, in the staff offices of the Defense Contract Audit Agency, and other Federal agencies; notes and documents collected in the process of formulating a reply.

Systems exempted from certain provisions of the act:

None

RDCAA 260.5

System name:

260.5 Congressional Committee Correspondence

System location:

Primary System-Executive Office, Headquarters, DCAA;

Decentralized Segments-DCAA Regional Offices and Field Audit Offices; Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Any individual Member of a Congressional Committee or a staff member of the Committee who has written to DCAA about a matter under the purview of DCAA.

Categories of records in the system:

Copies of correspondence from the Committee member or staff member, the reply made by DCAA and any backup material developed in the process of preparing reply.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 133; 44 United States Code 2901; et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office staff responsible for preparing the reply or for providing information on which to base a reply.

Other routine uses could include disclosure to other Department of Defense components, other Federal agencies, the Department of Justice or law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

These records are filed chronologically under the subject 'Committee Correspondence' and may be indexed by subject of the correspondence and the name of the Committee or the individual.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

Files maintained by the Executive Office are for permanent retention. They are retained in active files for five years and retired to the Washington National Records Center.

Files maintained by other offices are retained in active files for one year, then retired to a Federal Records Center for destruction after four years.

System manager(s) and address:

Headquarters, DCAA, Executive Officer
Regional Managers, DCAA
Chiefs of Field Audit Offices
Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from:
Executive Officer
Defense Contract Audit Agency, Bldg. 4, Room 4C346
Alexandria, VA 22314
Telephone: Area Code 202/274-7319

Record access procedures:

Requests from individuals should be addressed to: Executive Officer, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, and the current address and telephone number. Visits are limited to the Executive Office, Cameron Station, Alexandria, Va

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified in the file.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence originating in the Congressional Committee, in the staff offices of the Defense Contract Audit Agency, and other Federal agencies; notes and documents collected in the process of formulating a reply.

Systems exempted from certain provisions of the act:

None

RDCAA 260.6

System name:

260.6 Congressional Correspondence

System location:

Primary System-Executive Office, Headquarters, DCAA

Decentralized Segments-DCAA Regional Offices and Field Audit Offices. Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Categories of individuals covered by the system:

Any individual who has written to a Member of Congress concerning employment information or assistance in obtaining employment that was referred to DCAA for reply by the Congressman.

Categories of records in the system:

Copies of the correspondence from the individual if forwarded by the Member, copies of the referral letter from the Member, the reply made by DCAA to either the individual or the Member, and any backup material developed in the process of preparing the reply.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 133; 44 United States Code 2901; et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office staff responsible for preparing the reply or for providing information on which to base a reply.

Other routine uses could include disclosure to other Department of Defense components or other Federal agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

These records are filed chronologically under the subject 'Congressional Correspondence,' and may be indexed by Congressman's name and include subject of letter and name of individual, if known.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

These files are retained in current files for one year, then retired to a Federal Records Center for destruction after four years.

System manager(s) and address:

Headquarters, DCAA, Executive Officer
Regional Managers, DCAA
Chiefs of Field Audit Offices

Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Notification procedure:

Information may be obtained from:
Executive Officer
Defense Contract Audit Agency, Bldg. 4, Room 4C346
Alexandria, VA 22314
Telephone: Area Code 202/274-7319

Record access procedures:

Requests from individuals should be addressed to: Executive Officer, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, and the current address and telephone number. Visits are limited to the Executive Office, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office's identification card, and give some verbal information that could be verified in the file.

Contesting record procedures:

The Department's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Correspondence originating in the Congress, in the staff offices of DCAA and other Federal agencies; notes and documents collected in the process of formulating a reply.

Systems exempted from certain provisions of the act:

NONE

RDCAA 311.3

System name:

311.3 Applicant Supply File Index

System location:

Personnel Office of Headquarters, DCAA and each region maintaining an applicant supply file.

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice

Categories of individuals covered by the system:

Individuals who have applied for employment at the respective organizational elements at which the application is retained.

Categories of records in the system:

Card index showing location of applitions which are filed elsewhere by job category and date of receipt.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; Appendix A, Chapter 333, Federal Personnel Manual

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To identify and locate the applications on file

Used by the staff of the Personnel office to quickly locate applications in the applicant supply file; maintain inventory of applicant supply file.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The index is a card file maintained in a file box

Retrievability:

Filed by name, alphabetically

Safeguards:

Under control of Personnel office staff during duty hours; building or office area locked during nonduty hours.

Retention and disposal:

Destroyed when application to which it pertains is removed from applicant supply file.

System manager(s) and address:

Director of Personnel, Headquarters, DCAA; Personnel offices at regional headquarters; addresses in Agency directory.

Notification procedure:

Requests for information should be sent or made to the SYSMANAGER of the office to which the application was submitted.

Written requests must include the individuals' full name, current address, and telephone number.

Individual may visit office of the SYSMANAGER

For personal visits, individuals must be able to furnish positive identification.

Record access procedures:

Individuals may obtain information on access to records by communicating with the SYSMANAGER where application was submitted.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Information comes from the application submitted by the individual. EXEMPTIONS NONE

Systems exempted from certain provisions of the act:

NONE

RDCAA 311.4

System name:

311.4 Applicant correspondence

System location:

At those regions maintaining alphabetical file of correspondence with applicants.

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system's notice.

Categories of individuals covered by the system:

Individuals who have made application for or inquiry concerning employment

Categories of records in the system:

Correspondence between the applicant or inquirier and the regional Personnel office.

Authority for maintenance of the system:

5USC 301; 10 USC 133; 44 USC 2901; Chapter 333, Federal Personnel Manual

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The record is used to provide continuity in corresponding with individuals regarding employment; to maintain complete package in conjunction with applicant supply file; for use in following up on applicants.

May be used by Personnel office staff for responding to correspondence or applications; for following up on applicants; as part of referral to management officials for consideration of the applicant.

Management officials who consider the applicants for employment.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper record in file folder

Retrievability:

Filed alphabetically by name

Safeguards:

Under control of Personnel office staff during duty hours; building locked during nonduty hours

Retention and disposal:

Destroyed when application to which it pertains is removed from applicant supply file

System manager(s) and address:

Personnel officer of regions maintaining such file

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system's notice.

Notification procedure:

Information may be obtained from the SYSMANAGER of the region to which application or inquiry has been submitted.

Written requests must include the individuals' full name, current address, and telephone number

Individual may visit the Personnel office of the region to which application or inquiry was submitted.

For personal visits, individual must be able to furnish positive identification.

Record access procedures:

Individual may obtain information on access to records by communicating with the SYSMANAGER where application or inquiry was submitted.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Correspondence from applicants and response thereto

Systems exempted from certain provisions of the act:

NONE

RDCAA 315.10

System name:

315.10 Executive Development Program

System location:

Personnel Division, HQ DCAA; Personnel Office, Regions

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice

Categories of individuals covered by the system:

DCAA Auditor employees, GS-13 and above who have been approved as participants in the DCAA Executive Development Program.

Categories of records in the system:

Correspondence regarding nomination and selection for Executive Development Program; Assessment of Promotion Potential; Assessment for Specific Positions; Auditor Performance Evaluation; Availability Statement; SF-171; DCAAF 1435-1, DCAA Executive Development Program; Executive Development Plan.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; Fderal Personnel Manual, Chapter 412

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information collected to determine employee qualification for participation in EDP; consider for promotion, developmental or mission-requirement reassignment; monitor training and development; record stated availability.

Personnel staff members; members, Career Management Board, Executive Manpower Resources Board; involved management officials.

Personnel Staff: Receipt, filing; preparation of submission to Executive Manpower Resources Board; rating and ranking; surveys nomination for training; Career Management Board/Executive Manpower Resources Board: Consideration of individual for the program; promotion, reassignment; review of training plan; progress. Involved management officials: evaluating, assessing, nominating, considering for assignment, reassignment, promotion, recognition.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, Civil court action or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

By name, Alphabetically

Safeguards:

Files under surveillance of Personnel Office staff during duty hours; building secure and guarded during nonduty hours.

Retention and disposal:

Retained in Executive Development Program file during individuals retention in the Program. Transferred to Official Personnel Folder upon release from program. Destroyed upon separation from Agency.

System manager(s) and address:

Chairman, Executive Manpower Resources Board, HQ DCAA

Notification procedure:

Information may be obtained from SYSMANAGER

Written requests should contain individual's full name, current address, telephone number, and office of assignment.

Individuals may visit the office of the SYSMANAGER.

For personal visit, individual must furnish positive identification.

Record access procedures:

Individuals may obtain information on access to records by communicating with the SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

Individual
Regional Manager
Supervisor
EMRB, Chairman
Director

Systems exempted from certain provisions of the act:

NONE

RDCAA 315.11

System name:

315.11 Career Files

System location:

Headquarters, DCAA, Personnel Division; Personnel Division, each regional headquarters.

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system notice

Categories of individuals covered by the system:

Employees of DCAA:
At Headquarters, DCAA, GS-12 and above
At regional headquarters, all employees of the respective regions

Categories of records in the system:

File contains copies of Performance Evaluations, Assessments of Promotion Potential; SF 171, Employee Qualification Record; Individual Employee Inventory Record; Experience Resume; Records of

Training; copies of letters of commendation and appreciation; Official Performance Ratings; Report of Professional Activities; Auditor Progress Report; Auditors' Availability Statement.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; Federal Personnel Manual, Chapter 335

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide the Executive Manpower Resources Board, Career Management Boards, and management officials with necessary career progression and development information to make decisions on personnel actions regarding the individual

Material in the Career Files is made available to members of the Executive Manpower Resources Board, Career Management Board, and management officials involved in making personnel action decisions regarding the individual employee.

The material is used in connection with developing training plans for employees, rating and ranking for promotion, determining career development reassignments; as a basis for recognition.

Other routine uses would include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed: At Headquarters, DCAA, by region, by grade, auditor, administrative, alphabetically; At regions: by grade, alphabetically; by FAO, by grade, auditor, administrative, alphabetically.

Safeguards:

Stored in file cabinets under constant surveillance of Personnel Office Staff during duty hours; cabinet locked during nonduty hours; buildings locked and guarded during nonduty hours.

Retention and disposal:

Files are retained during tenure of the employee concerned.

System manager(s) and address:

Director of Personnel, Headquarters, DCAA
Chief, Personnel Divisions, all regions, DCAA
Official mailing addresses are in the Department of Defense directory in the Appendix to DCAA's system's notice.

Notification procedure:

Information may be obtained from the SYSMANAGER of the respective region.

Written requests for information should contain individual's full name, current address, telephone number, General Service grade, and office of assignment.

For personal visits, individual must furnish positive identification.

Requestor may visit the servicing personnel office to determine whether the system contains information pertaining to him/her. Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system's notice.

Individual may visit any DCAA personnel office which provides personnel services to the individual or to the personnel office, Headquarters, DCAA, if GS-12 or above.

Record access procedures:

Individuals may obtain information on access to records by communicating with the SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

Former and present supervisory personnel; individual concerned; personnel office; Defense Contract Audit Institute; Automatic Data Processing-Personnel Inventory Systems; persons writing commendations and favorable communications.

Systems exempted from certain provisions of the act:

NONE

RDCAA 322.7

System name:

322.7 Students and Instructors

System location:

All DCAA offices. Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Any individual who has been a student or instructor for any training courses sponsored by DCAA.

Categories of records in the system:

Documents relating to applications and selections of students and guest instructors for DCAA-sponsored training courses.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office staff providing the training, or offices involved in the review process of training sponsored by DCAA.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

These records are filed by course title, then by name of individual participants.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

These files are destroyed after two years.

System manager(s) and address:

Assistant Director, Resources, Headquarters, DCAA
Assistant Director, Operations and Professional Development, Headquarters, DCAA
Regional Managers, DCAA
Chiefs, Field Audit Offices, DCAA
Manager, Defense Contract Audit Institute, Memphis, Tennessee
Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from SYSMANAGERS.

Record access procedures:

Requests from individuals should be addressed to SYSMANAGER of office concerned.

Written requests should contain the full name, address, and telephone number of the individual. Visits are limited to those offices listed in the Department of Defense directory in the appendix to DCAA's systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Correspondence originating in any DCAA office sponsoring training courses, from students and instructors of courses.

Systems exempted from certain provisions of the act:

None

RDCAA 347.2

System name:

347.2 Labor Management Relations Case Files

System location:

Personnel Division, Headquarters, DCAA and regional Personnel Offices

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system's notice.

Categories of individuals covered by the system:

Employees who are involved in grievances or other administrative proceedings and are represented by recognized unions having negotiated agreements with DCAA.

Employees involved in the filing of an Unfair Labor Practice (ULP) complaint which has been referred to the Assistant Secretary for Labor-Management Relations.

Designated union officials, stewards, and representatives.

Categories of records in the system:

Case files contain all information pertaining to a specific proceeding or ULP including correspondence, statements, exhibits, and decisions.

Personnel Division, Headquarters, DCAA and regional Personnel Offices maintain lists of local union officials, stewards, and representatives.

Authority for maintenance of the system:

E.O. 11491, as amended, 'Labor-Management Relations in the Federal Service.',

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is used by DCAA officials to whom authority has been delegated to direct, manage, and implement the provisions of E.O. 11491, as amended, 'Labor-Management Relations in the Federal Service.'

Other routine users could include officials of other DoD components, representatives of other Executive Branch Departments and Agencies, and duly appointed examiners or arbitrators who are charged with program responsibilities under E.O. 11491, as amended, 'Labor-Management Relations in the Federal Service.'

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are stored in file folders or case jackets.

Retrievability:

Records are retrieved by case subject, case number, or individual employee name.

Safeguards:

Records are under the surveillance of Personnel Office staff during duty hours. During nonduty hours, records are secured in locked file cabinets or combination safes.

Retention and disposal:

Case files destroyed 5 years after supersession, obsolescence or final adjustment.

Lists of union officials, stewards, and representatives are normally destroyed after a new roster has been established.

System manager(s) and address:

Director of Personnel, HQ DCAA
Personnel Officer of each region
Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Requests for information should be made to the region in which the case originated.

Written requests should contain individual's full name, current address, telephone number and office of assignment.

Individuals may visit the personnel office of the region in which the case originated.

For personal visits, individual must furnish positive identification. Information will be at the Personnel Office of the Region in which the case originated or HQ,DCAA.

Record access procedures:

Individuals may obtain information on access to records by communicating in writing or personally with the SYSMANAGER or Personnel Officer of the Region of record.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

DCAA Personnel Offices; Office of the Assistant Secretary of Labor for Labor-Management Relations; individual employees; union officials, stewards, and representatives.

Systems exempted from certain provisions of the act:

None

RDCAA 358.1

System name:

358.1 General EEO Files

System location:

Primary System-office of EEO Counselors throughout DCAA Official Mailing addresses are in the DoD Directory in the Appendice to the DCAA Systems Notices

Decentralized Segments-Office of EEO Officer,. HQ, DCAA; Office of Counsel, HQ, DCAA; Regional EEO Officer in Region where complaint arose

Categories of individuals covered by the system:

Any civilian employee of DCAA who has contacted an EEO Counselor regarding any form of discrimination against them by any organizational level of DCAA

Categories of records in the system:

CSC Form 894, Complaint of Discrimination in the Federal Government; affivadits; EEO Counselor's Report; correspondence between Counselor and local offices of DCAA

Authority for maintenance of the system:

EEO Act of 1962 as implemented by CSC Federal Personnel Manual Chapter 713

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

EEO Counselor; Regional EEO Officer; EEO Officer, HQ, DCAA; Counsel, HQ, DCAA; may be disclosed to any component of DoD, Department of Justice and CSC

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of complainant

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy after 2 years.

System manager(s) and address:

EEO Counselor concerned; Regional EEO Officer; EEO Officer, HQ, DCAA

Notification procedure:

Information may be obtained from:
EEO Officer
HQ, DCAA
Room 4C346
Cameron Station
Alexandria, Virginia 22314
Telephone: 202-274-7319

Record access procedures:

Requests from individuals should be addressed to: EEO Officer, DCAA, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number, present or former DCAA office.

Visits are limited to EEO Office, Headquarters, DCAA, Room 4C346, Cameron Station, Alexandria, VA 22314

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from EEO Officer, HQ, DCAA, Cameron Station, Alexandria, VA 22314

Record source categories:

Letters from complainant; affivadits of supervisors and others knowledgeable of circumstances surrounding complaint; other correspondence relative to complaint.

Systems exempted from certain provisions of the act:

NONE

RDCAA 358.21

System name:

358.21 EEO Complaints Resolved by DCAA

System location:

Primary System-Office of EEO Officer, HQ, DCAA Official Mailing addresses are in the DoD Directory in the Appendice to the DCAA Systems Notices

Decentralized Segments-Office of Counsel, HQ, DCAA; Regional EEO Officer in Region where complaint arose

Categories of individuals covered by the system:

Any civilian employee of DCAA who has brought an EEO complaint against any organizational level of DCAA.

Categories of records in the system:

CSC Form 894, Complaint of Discrimination in the Federal Government; Affivadits; EEO Counselor's report; Investigator's Report; transcript and other documents relating to the hearing; correspondence between all echelons of DCAA concerning this complaint; inter and intra agency correspondence.

Authority for maintenance of the system:

EEO Act of 1962; US Civil Service Commission Federal Personnel Manual Chapter 713

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director, DCAA; EEO Officer, HQ, DCAA; Counsel, HQ, DCAA; Dir. of personnel, HQ, DCAA, Regional Manager in Region of Complaint; may be disclosed to any component of DoD, Department of Justice, and Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of complainant

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy 7 years after final adjustment. Records are retained in active file until end of calendar year in which complaint was settled, held one additional year in inactive file and subsequently retired to Washington National Records Center.

System manager(s) and address:

EEO Officer, HQ, DCAA; Cameron Station, Alexandria, VA 22314

Notification procedure:

Information may be obtained from:
EEO Officer
HQ, DCAA
Room 4C346
Cameron Station
Alexandria, Virginia 22314
Telephone: 202-274-7319

Record access procedures:

Requests from individuals should be addressed to: EEO Officer, DCAA, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number, present or former DCAA office.

Visits are limited to EEO Office, Headquarters, DCAA, Room 4C346, Cameron Station, Alexandria, VA 22314

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from EEO Officer, HQ, DCAA, Cameron Station, Alexandria, VA 22314

Record source categories:

Letters from complainant; affivadits of supervisors and others knowledgeable of circumstances surrounding complaint; correspondence between all echelons of DCAA concerning the complaint; interagency and intraagency correspondence.

Systems exempted from certain provisions of the act:

NONE

RDCAA 358.22

System name:

358.22 EEO Cases resolved by CSC.

System location:

Primary System-Office of EEO Officer, HQ, DCAA Official Mailing addresses are in the DoD Directory in the Appendice to the DCAA Systems Notices

Decentralized Segments-Office of Counsel, HQ, DCAA; Regional EEO Officer in Region where complaint arose

Categories of individuals covered by the system:

Any civilian employee of DCAA who has brought an EEO complaint against any organizational level of DCAA.

Categories of records in the system:

CSC Form 894, Complaint of Discrimination in the Federal Government; Affivadits; EEO Counselor's report; Investigator's Report; transcript and other documents relating to the hearing; correspondence between all echelons of DCAA concerning this complaint; inter and intra agency correspondence.

Authority for maintenance of the system:

EEO Act of 1962; US Civil Service Commission Federal Personnel Manual Chapter 713

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director, DCAA; EEO Officer, HQ, DCAA; Counsel, HQ, DCAA; Dir. of Personnel, HQ, DCAA, Regional Manager in Region of Complaint; may be disclosed to any component of DoD, Department of Justice, and Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically by last name of complainant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

According to USCSC records schedule

System manager(s) and address:

EEO Officer, HQ, DCAA; Cameron Station, Alexandria, VA 22314

Notification procedure:

Information may be obtained from
EEO Officer
HQ, DCAA
Room 4C346
Cameron Station
Alexandria, Virginia 22314
Telephone: 202-274-7319

Record access procedures:

Requests from individuals should be addressed to: EEO Officer, DCAA, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number, present or former DCAA office.

Visits are limited to EEO Office, Headquarters, DCAA, Room 4C346, Cameron Station, Alexandria, VA 22314

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from EEO Officer, HQ, DCAA, Cameron Station, Alexandria, VA 22314.

Record source categories:

Letters from complainant; affivadits of supervisors and others knowledgeable of circumstances surrounding complaint; correspondence between all echelons of DCAA concerning the complaint; interagency and intraagency correspondence.

Systems exempted from certain provisions of the act:

NONE

RDCAA 358.23

System name:

358.23 Other copies of EEO Complaint Case files

System location:

Primary System-Office of EEO Officer, HQ, DCAA Official Mailing addresses are in the DoD Directory in the Appendice to the DCAA Systems Notices

Decentralized Segments-Office of Counsel, HQ, DCAA; Regional EEO Officer in Region where complaint arose

Categories of individuals covered by the system:

Any civilian employee of DCAA who has brought an EEO complaint against any organizational level of DCAA.

Categories of records in the system:

CSC Form 894, Complaint of Discrimination in the Federal Government; Affivadits; EEO Counselor's report; Investigator's Report; transcript and other documents relating to the hearing; correspondence between all echelons of DCAA concerning this complaint; inter and intra agency correspondence.

Authority for maintenance of the system:

EEO Act of 1962; US Civil Service Commission Federal Personnel Manual Chapter 713 Director, DCAA; EEO Officer, HQ, DCAA; Counsel, HQ, DCAA;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Dir. of Personnel, HQ, DCAA, Regional Manager in Region of Complaint; may be disclosed to any component of DoD, Department of Justice, and Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of complainant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy after 1 year

System manager(s) and address:

EEO Officer, HQ, DCAA; Cameron Station, Alexandria, Va. 22314

Notification procedure:

Information may be obtained from:
EEO Officer
HQ, DCAA
Room 4C346
Cameron Station
Alexandria, Virginia 22314
Telephone: 202-274-7319

Record access procedures:

Requests from individuals should be addressed to: EEO Officer, DCAA, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number, present or former DCAA office.

Visits are limited to EEO Office, Headquarters, DCAA, Room 4C346, Cameron Station, Alexandria, VA 22314

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from EEO Officer, HQ, DCAA, Cameron Station, Alexandria, VA 22314.

Record source categories:

Letters from complainant; affivadits of supervisors and others knowledgeable of circumstances surrounding complaint; correspondence between all echelons of DCAA concerning the complaint; interagency and intraagency correspondence.

Systems exempted from certain provisions of the act:

NONE

RDCAA 358.24

System name:

358.24 EEO Background Documents not included in case files.

System location:

Primary System-Office of EEO Officer, HQ, DCAA Official Mailing addresses are in the DoD Directory in the Appendice to the DCAA Systems Notices

Decentralized Segments-Office of Counsel, HQ, DCAA; Regional EEO Officer in Region where complaint arose

Categories of individuals covered by the system:

Any civilian employee of DCAA who has brought an EEO complaint against any organizational level of DCAA.

Categories of records in the system:

CSC Form 894, Complaint of Discrimination in the Federal Government; Affivadits; EEO Counselor's report; Investigator's Report; transcript and other documents relating to the hearing; correspondence between all echelons of DCAA cocerning this complaint; inter and intra agency correspondence.

Authority for maintenance of the system:

EEO Act of 1962; US Civil Service Commission Federal Personnel Manual Chapter 713

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Director, DCAA; EEO Officer, HQ, DCAA; Counsel, HQ, DCAA; Dir. of Personnel, HQ, DCAA, Regional Manager in Region of Complaint; may be disclosed to any component of DoD, Department of Justice, and Civil Service Commission.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of complainant.

Safeguards:

Buildings employ security guards. Records are maintained in areas accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Destroy 3 years after final adjustment

System manager(s) and address:

EEO Officer, HQ, DCAA; Cameron Station, Alexandria, Va. 22314

Notification procedure:

Information may be obtained from:
EEO Officer
HQ, DCAA
Room 4C346
Cameron Station
Alexandria, Virginia 22314
Telephone: 202-274-7319

Record access procedures:

Requests from individuals should be addressed to: EEO Officer, DCAA, Cameron Station, Alexandria, VA 22314

Written requests for information should contain the full name of the individual, current address and telephone number, present or former DCAA office.

Visits are limited to EEO Office, Headquarters, DCAA, Room 4C346, Cameron Station, Alexandria, VA 22314

For personal visits, the individual should be able to provide some acceptable identification, that is, drivers license, employing office's identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from EEO Officer, HQ, DCAA, Cameron Station, Alexandria, VA 22314.

Record source categories:

Letters from complainant; affivadits of supervisors and others knowledgeable of circumstances surrounding complaint; correspondence between all echelons of DCAA concerning the complaint; interagency and intraagency correspondence.

Systems exempted from certain provisions of the act:

NONE

RDCAA 358.3

System name:

358.3 Grievance & Appeal Files

System location:

Grievances by HQ employees; Personnel Division, HQ DCAA.

Grievance by field employees; Personnel Division of region of origin.

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

Employees who have filed formal grievances pursuant to Chapter 58, DCAAM 1400.1.

Categories of records in the system:

The written grievance; assignment of examiner; statements of witnesses; written summary of interviews; written summary of group meetings; transcript of hearing if one held; correspondence relating to the grievance and conduct of the inquiry; exhibits; evidence; transmittal; decision.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901;Part 771, Civil Service Regulations.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the grievance & appeal file is to record the grievance or appeal, the nature and scope of inquiry into the matter being aggrieved or appealed and treatment accorded the matter by management.

Users are the grievant and grievant's representative; the Examiner; the Regional Manager; Personnel Office staff; the Assistant Director, Resources; the Director; Counsel; administrative staff involved in typing and processing the grievance.

The employee and representative are furnished a copy of the file for review and comment before decision.

The Examiner compiles the file and makes a Report of Findings and Recommendations based on the file.

The Regional Manager, when the deciding official, reviews the file to reach a decision.

Personnel Office staff may review the file to prepare a brief or write a decision for the deciding official; The Assistant Director, Resources may review the file as program manager.

The Director may review the file as deciding official.

Administrative staff members are involved in the physical handling and processing of the grievance such as typing, copying, transmitting.

Counsel may review file in making legal determinations.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records stored in tyable jackets in file cabinets or open shelf files.

Retrievability:

Grievance files are filed by name alphabetically.

Safeguards:

Grievance files are under surveillance of Personnel Office staff during duty hours. During nonduty hours, the building is locked and under guard.

Retention and disposal:

Each case file is retained in current files for 7 years after the case is closed, then destroyed.

System manager(s) and address:

Director of Personnel, HQ DCAA;
Personnel Officer of each region;
Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Requests for information should be made to the region in which the grievance originated.

Written requests should contain individual's full name, current address, telephone number and office of assignment.

Individuals may visit the personnel office of the region in which the grievance was filed.

For personal visits, individual must furnish positive identification.

Information will be at the Personnel Office of the Region in which the grievance originated or HQ, DCAA.

Record access procedures:

Individuals may obtain information on access to records by communicating in writing or personally with the SYSMANAGER or Personnel Officer of the Region of record.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Grievant;
Witnesses;
Exhibits furnished in evidence by grievant and witnesses;
Grievance examiner;
Persons interviewed by the Examiner, other than witnesses.
Deciding official (decision).

Systems exempted from certain provisions of the act:

None

RDCAA 371.1

System name:

371.1 Name Files

System location:

Office, Director of Personnel, HQ DCAA.

Categories of individuals covered by the system:

Civilian employees of DCAA on whom copies of communicatons, favorable or unfavorable, have been received.

Categories of records in the system:

Copies of correspondence concerning the employee performance and conduct; warning notices to the employee; reports and records of counseling; copies of disciplinary action correspondence.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901 et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file serves as a repository of material furnished by field activities for information of the HQ staff. It is retained to provide continuity of knowledge and understanding of long term matters which may develop into adverse actions.

Personnel Office staff
Employee concerned
Management personnel with need to know
Director
Deputy Director
Assistant Director, Resources
Assistant Director, Operations & Professional Development
Executive Officer
Counsel
DCAA Mangement personnel with need-to-know;

The Personnel Staff for maintaining the files; advising management on appropriate actions and taking of actions.

The employee concerned, to be aware of matter and act on the knowledge.

Management personnel in evaluating information; initiating actions.

Director in order to be aware of those matters which could affect the agency; initiate action.

Deputy Director to be aware of matters which could affect other agency; initiate action in absence of Director.

Assistant Director, Resources, to be aware of matters which could affect the agency; initiate actions on the matter; advise Deputy Director and Director.

Assistant Director, Operations & Professional Development, to be aware of matters which could affect the agency; initiate actions; advise the Deputy Director and Director.

Other routine use could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice, or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Name files are paper records stored in file folders.

Retrievability:

Name files are filed alphabetically.

Safeguards:

Files are under surveillance of Personnel Office staff during duty hours. Building is locked and guarded during nonduty hours.

Retention and disposal:

Files are retained for a period of 2 years after separation from the Agency.

System manager(s) and address:

Director of Personnel, HQ DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Requests for information should be sent to the SYSMANAGER.

Written requests must include the individuals full name, current address, telephone number and office of assignment.

Individual may visit the SYSMANAGER.

For personal visits, individual must furnish positive identification.

Information will be at the Office, Director of Personnel, HQ DCAA, Cameron Station, Alexandria, VA 22314.

Record access procedures:

Individual may obtain information on access to records by communicating in writing or personally with the SYSMANAGER.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Supervisory, management personnel.

Systems exempted from certain provisions of the act:

None

RDCAA 371.13

System name:

371.13 Official Personnel Folders

System location:

Office, Director of Personnel, HQ DCAA
Personnel Office, all regions
Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's system's notice.

Categories of individuals covered by the system:

Each civilian employee of DCAA

Categories of records in the system:

Notifications of Personnel Actions; appointment documentation; oath of office; application; payroll change slips; Official Performance Ratings; records of training; Letters of Commendation; Records of awards and recognition; health benefit and insurance registration and changes to position descriptions; Notice of Ratings; Service computation; designation of beneficiary; certificate of security clearance; SF-52s; performance evaluations; report of medical examination; employment inquiries; correspondence related to all the above.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; Federal Personnel Manual, Chapter 296-31

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Files are used to determine employee's qualifications, eligibilities and as a repository for those documents and records pertaining to the employee's career, position, salary and benefits.

Files are used by the Personnel Office staff to initiate, effect and/or record personnel actions; pay actions; determine qualifications; determine eligibility; as basis for counseling the employee regarding rights entitlements.

May be used by management officials and boards in considering employees for assignment, promotion, training, adverse actions.

May be used by Office of Council in advising management on legal aspects of matters involving the employee.

Other routine uses could include disclosure to other Department of Defense components, other Federal departments and agencies, the Civil ervice Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records bound in file folder

Retrievability:

Filed by name

Safeguards:

Under constant surveillance of Personnel Office staff during duty hours; stored in locked cabinet in locked and guarded building during nonduty hours.

Retention and disposal:

Retained during tenure of the employee; disposed of in accordance with FPM, Chapter 296.

System manager(s) and address:

Director of Personnel, HQ DCAA
Personnel Offices at each region
Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Notification procedure:

Requests for information should be addressed to SYSMANAGER

Written requests for information must contain individual's full name, current address, telephone number, GS grade and office of assignment.

Individuals may visit the personnel office which provides personnel service to them.

For personal visits, individual must furnish proper credentials and above information orally.

Record access procedures:

A personal or written request to the SYSMANAGER

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Employee; Personnel Offices; former and present supervisory personnel; payroll servicing offices; Civil Service Commission; training and education institutions; individuals who submit communications concerning the employee.

Systems exempted from certain provisions of the act:

NONE

RDCAA 371.2

System name:

371.2 Supervisor Personnel Records

System location:

Each Field Audit Office and each staff office at regional headquarters and HQ DCAA

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice

Categories of individuals covered by the system:

Each employee, except the supervisor, assigned to the organizational element.

Categories of records in the system:

Contains information relative to the individual employee; personnel actions in progress; copies of position descriptions; copies of performance evaluations, assessments of promotion potential, progress reports; copies of correspondence and communications relative the employee; record of duty assignments; record of leave status.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; Federal Personnel Manual, Chapter 295

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by supervisors as reference or reminder of past actions; as basis for initiating personnel actions on the employee; rotation of duty assignments; for consideration of employees separated for military service for absentee personnel actions; monitor leave use

Used by the Supervisory auditor of the employee concerned for the above stated purposes.

Used by the Field Audit Office chief for the above purposes.

Used by administrative personnel for maintenance, clearance of obsolete material, extraction of statistical data, status checks.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

V 44 DE 1 7 7 9 UMI

Filed by name, alphabetically

Safeguards:

Under control of office staffs during duty hours. Work area or cabinet locked during nonduty hours.

Retention and disposal:

Review annually; destroy material which has been superseded or is no longer applicable; destroy entire file 1 year after transfer or separation of the employee.

System manager(s) and address:

Each fIELD Audit Office and each staff office at regional headquarters and HQ DCAA addresses are in the DOD Directory in the appendix to DCAA's systems notice.

Notification procedure:

Requests for information should be sent or made to the SYSMANAGER of that organizational element to which the individual is assigned.

Written requests must include the individuals' full name, current address, telephone number and office of assignment.

Individual may visit the office of the SYSMANAGER.

For personal visits, individual must furnish positive identification.

Record access procedures:

Individuals may obtain information on access to records by communicating with their current supervisor.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

Supervisors

Systems exempted from certain provisions of the act:

NONE

RDCAA 371.5

System name:

371.5 Locator Records

System location:

Office, Director of Personnel, HQ DCAA, Cameron Station, Alexandria, VA 22314. Regional Offices and Field Audit Offices whose addresses are in the DoD directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

All civilian employees of DCAA

Categories of records in the system:

Employee's name, office room number, telephone, office symbol, home address, home telephone number, date prepared, spouse's name.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Ready reference of employee home address and telephone number

Copy furnished to Office of Director and Deputy Director for business, social and protocol purposes.

Copy furnished the travel offices which use it to:

Furnish home telephone number to air carrier when booking flights for the individual;

Estimating local travel costs from home address;

Dispatching staff cars to individual's home;

Planning group travel.

Copy remains in Personnel Office for use in responding to inquiries regarding employees home address, telephone number.

Other routine use could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

3x5 card, stored in index card box.

Retrievability:

Filed by name.

Safeguards:

Under control of office staff during duty hours. Building locked and/or guarded during nonduty hours.

Retention and disposal:

Retained until separation of employee, then destroyed.

System manager(s) and address:

Director of Personnel, HQ DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from the SYSMANAGER.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Individual may visit the Office of the SYSMANAGER

For personal visit, individual must furnish positive identification.

Record access procedures:

A personal or written request to the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Employee

Systems exempted from certain provisions of the act:

None

RDCAA 371.7

System name:

371.7 Service Record File

System location:

Office, Director of Personnel, HQ DCAA

Personnel Office, each region

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Categories of individuals covered by the system:

Each civilian employee of each respective appointing office.

Categories of records in the system:

Current information regarding the individual employment status, chronology of personnel actions showing nature, date, position title, series grade, salary, organization, date of birth, Social Security number, retention subgroup, service computation date, date next Within Grade Increase due, leave category emergency addressee.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901; et seq. Federal Personnel Manual Chapter 295

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To provide a ready reference on actions taken during the employee's tenure with the appointing office; to basic information for periodic actions and frequent reference; position control.

Used by Personnel office staff in carrying out routine personnel functions; to determine various items of information concerning individuals in accomplishing routine functions; schedule periodic actions such as within grade increases, length of service awards.

May be used by management officials for above purposes with respect to subordinates.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Double 5x8 cards, filed in Kardex file.

Retrievability:

Filed by organizational element, grade and name.

Safeguards:

Under surveillance of Personnel Office staff during duty hours; locked Kardex file in locked and guarded building during nonduty hours.

Retention and disposal:

Placed in inactive file upon separation of employee.

System manager(s) and address:

Director of Personnel, HQ DCAA

Personnel Officer at each region

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Notification procedure:

Information may be obtained from SYSMANAGER where employed or formerly employed.

Written requests for information must include individual's full name, current address, telephone number and office of assignment.

Individuals may visit the Personnel Office of the region in which employed or formerly employed.

For personal visits, individual must furnish positive identification.

Record access procedures:

A personal or written request to the SYSMANAGER

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314

Record source categories:

Former and present employees; Official Personnel Folder; personnel actions.

Systems exempted from certain provisions of the act:

NONE

RDCAA 371.8

System name:

371.8 Inactive Service Records

System location:

Office, Director of Personnel, HQ DCAA

Personnel Office, each region

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Categories of individuals covered by the system:

Each former civilian employee of each respective appointing office

Categories of records in the system:

Information regarding the individual's status during employment; chronology of personnel action taken; date of birth; SSN; retention subgroup; Service Computation Date; leave category; forwarding address; date and reason for separation.

Authority for maintenance of the system:

Federal Personnel Manual, Chapter 295; 44 USC 2901 et seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the Personnel Office staff to respond to inquirees regarding former employees; reuse in cases of reemployment of the individual.

Other routine uses could include disclosure to other Department of Defense components, the Civil Service Commission, other Federal departments or agencies, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Double 5x8 cards, filed in file box.

Retrievability:

Filed by name

Safeguards:

Under surveillance of Personnel Office staff during duty hours Building locked and guarded during nonduty hours.

Retention and disposal:

Retained for 3 years after separation of individual, then destroyed

System manager(s) and address:

Director or Personnel, HQ DCAA

Personnel Officer at each region.

Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notice.

Notification procedure:

Information may be obtained from SYSMANAGER where formerly employed.

Written request for information must include individual's full name, current address, telephone number and office of former assignment.

Individual may visit the Personnel Office of the region in which formerly employed.

For personal visits, individual must furnish positive identification.

Record access procedures:

A personal or written request to the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Individual concerned; Official Personnel Folder; personnel actions.

Systems exempted from certain provisions of the act:

NONE

RDCAA 440.2

System name:

440.2 Time and Attendance Reports

System location:

Primary System-Information Systems and Services Branch, Headquarters, DCAA.

Decentralized Segments-DCAA Regional Offices and Field Audit Offices. Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Categories of individuals covered by the system:

All civilian employees of the Defense Contract Audit Agency.

Categories of records in the system:

File contains a copy of individual's time and attendance report and other papers necessary for the submission of time and attendance reports and collecting of pay from the non-DCAA payroll office.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 133; 44 United States Code 2901; et. seq.; 31 United States Code 66a.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisors of employees review and certify accuracy of reports.

Reports are furnished to the appropriate Finance and Accounting office, which is another Department of Defense component.

Other routine uses could include disclosure to the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

These records are destroyed six months after end of pay period to which applicable.

System manager(s) and address:

Assistant Director, Resources, Headquarters, DCAA

Regional Managers, DCAA

Chiefs of Field Audit Offices

Official addresses are in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from:

Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to: Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name, address, telephone number of the individual and the employee payroll number. Visits are limited to those offices listed in the Department of Defense directory in the appendix to DCAA's systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Time and Attendance reports are completed by the time and attendance clerk.

Systems exempted from certain provisions of the act:

None

RDCAA 502.6

System name:

502.6 Freedom of Information Administrative Appeals

System location:

Office of Counsel, Headquarters, DCAA;
Office of Assistant Director, Resources, Headquarters, DCAA
Office of Records Administrator, Information Systems and Services Branch, Headquarters, DCAA,

Categories of individuals covered by the system:

Any individual who appeals an initial denial of information by the Agency.

Categories of records in the system:

Office of Counsel-File contains all documents created in the process of responding to administrative appeal for the release of information initially denied, including a copy of the letter from the appellant, all pertinent background data concerning the information denied, interoffice and interagency correspondence concerning the information denied, a copy of the appeal decision, and documents pertaining to civil action in the event of suit.

Office of Assistant Director, Resources-File contains a copy of the letter from the appellant, pertinent background information concerning the information initially denied, interoffice and interagency correspondence concerning the information denied, and a copy of the appeal decision.

Office of the Records Administrator-File contains a copy of the letter from the appellant and a copy of the appeal decision.

Authority for maintenance of the system:

5 U.S.C. 552.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel-To determine legal sufficiency of information denial and response to the appellant.

Office of Assistant Director, Resources-To make appellate decision.

Office of Records Administrator-To prepare report to Congress of Freedom of Information Activity.

Disclosed to Department of Justice in event of civil action.

Disclosed to DoD in event of civil action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Office of Counsel-Filed alphabetically by last name of appellant.

Office of Assistant Director, Resources-Filed alphabetically by last name of appellant.

Office of Records Administrator-Filed chronologically.

Safeguards:

During duty hours, records are under the supervision of the staffs of the three offices; security guards are provided.

Retention and disposal:

Office of Counsel-These files retained in the Office of Counsel and destroyed 10 years after final action.

Office of Assistant Director, Resources-These files are destroyed two years after final action.

Office of Records Administrator. These files are destroyed three years after report to Congress.

System manager(s) and address:

Records Administrator, Headquarters, DCAA, Cameron Station, Alexandria, VA. 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, Va. 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or some other form of identification.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA 22314.

Record source categories:

Correspondence and other communications from the individual appealing the determination; correspondence between DCAA staff members concerning the availability of the information; correspondence between DCAA and other Federal agencies concerning the availability of the information; workpapers and drafts of replies.

Systems exempted from certain provisions of the act:

None

RDCAA 503.5

System name:

503.5 Privacy Act Administrative Appeals

System location:

Office of Counsel, Headquarters, DCAA;
Office of Assistant Director, Resources, Headquarters, DCAA;
Office of Records Administrator, Information Systems and Services Branch, Headquarters, DCAA

Categories of individuals covered by the system:

Any individual who appeals an initial denial of information by DCAA under the Privacy Act of 1974.

Categories of records in the system:

Office of Counsel - File contains all documents created in the process of responding to administrative appeal for the release of information initially denied, including a copy of the letter from the appellant, all pertinent background data concerning the information denied, a copy of the appeal decision, and documents pertaining to civil action in the event of suit.

Office of Assistant Director, Resources - File contains a copy of the letter from the appellant, pertinent background information concerning the information initially denied, interoffice and interagency correspondence concerning the information denied, and a copy of the appeal decision.

Office of Records Administrator - File contains a copy of the letter from the appellant and a copy of the appeal decision.

Authority for maintenance of the system:

5 USC 552(a)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Office of Counsel - To determine legal sufficiency of information denied and response to appellant.

Office of Assistant Director, Resources - To make appellate decision.

Office of Records Administrator - To maintain statistics for annual report to Congress on the number of records which were exempted and the reasons for the exemptions, and such other information as indicates efforts to fully administer this Act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Office of Counsel-Filed alphabetically by last name of appellant;

Office of Assistant Director, Resources - Filed alphabetically by last name of appellant;

Office of Records Administrator - Filed chronologically.

Safeguards:

Under staff supervision during duty hours; buildings provide security guards during nonduty hours.

Retention and disposal:

Retention periods have not been determined and approved by the National Archives and Records Service of the General Services Administration. All files will be retained until this determination is made.

System manager(s) and address:

Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Records Administrator, Building 4, Room 4A320, Cameron Station, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification, that is driver's license, and give some verbal information that could be verified with 'case' folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Correspondence and other communications from the individual appealing the determination; correspondence between DCAA staff members concerning the availability of the information; correspondence between DCAA and other Federal agencies concerning the availability of the information; work papers and drafts of replies.

Systems exempted from certain provisions of the act:

None

RDCAA 575.4

System name:

575.4 Postal Directory

System location:

Personnel Offices at Headquarters and Regional Offices;
Mail Rooms in all DCAA offices;
Official mailing addresses are in the Department of Defense directory in the appendix to DCAA's systems notices;

Categories of individuals covered by the system:

Present and former civilian employees of DCAA.

Categories of records in the system:

Records utilized in mail rooms and personnel offices, used as a locator system, to facilitate delivery of mail to individuals, such as locator cards; copies of assignment or transfer orders; and similar records.

Authority for maintenance of the system:

5 United States Code 301; 10 United States Code 133; 44 United States Code 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To deliver mail to individuals.

Other routine uses could include disclosure to other Department of Defense components, the Department of Justice or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Files are under staff supervision during duty hours; buildings are locked and/or guarded by security guards during non-duty hours.

Retention and disposal:

Records at each location are to be destroyed six months after departure of employee.

System manager(s) and address:

Assistant Director Resources, Headquarters, DCAA;
Regional Managers, DCAA;
Chiefs of Field Audit Offices;
Addresses are listed in the Department of Defense directory in the appendix to DCAA's systems notices.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, Va. 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to: Records Administrator Defense Contract Audit Agency, Cameron Station, Alexandria, Va 22314.

Written requests for information should contain the full name, address, and telephone number and the official address of the individual. Visits are limited to those offices listed in the Department of Defense directory in the appendix to DCAA's systems notices.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Va 22314.

Record source categories:

Correspondence originating in DCAA offices.

Systems exempted from certain provisions of the act:

NONE

RDCAA 590.8

System name:

590.8 DCAA Management Information System (MIS)

System location:

Information Systems and Services Branch, Management Division, Headquarters, DCAA; Financial and Administrative Services Divisions, DCAA regional offices; field audit offices, respective DCAA regions whose addresses are in Department of Defense Directory in the appendix to DCAA's systems notices; Computer Sciences Corporation, 815 Commerce Drive, Oak Brook, Illinois 60521, which maintains systems data under contract with General Services Administration.

Categories of individuals covered by the system:

Information Systems and Services Branch, Headquarters, DCAA, all current civilian employees of DCAA; and former employees who were on Agency rolls any time after system implementation on 1 July 1974.

Financial and Administrative Servies Divisions, DCAA regional offices; all current civilian employees of respective DCAA regions and former employees who were on regional rolls any time after system implementation on 1 July 1974.

Field Audit Offices, DCAA; all current civilian employees of respective field audit offices and former employees who were assigned to office any time after system implementation on 1 July 1974.

Computer Sciences Corporation; all current civilian employees of DCAA and former employees who were on Agency rolls any time after system implimentation on 1 July 1974.

Categories of records in the system:

Individual employees are identified in system by social security account number recorded on input document, Employee Monthly Activity Report, Card 50. This record contains unique number of direct and indirect work assignments and the number of hours expended on each during reporting month. This is the only record in system directly associated with employee. However, individual data can be related to following additional data stored in system: (i) profile of contractors for which Agency has audit congnizance; (ii) inventory of contracts which are active and require audit effort during current fiscal year; (iii) inventory of direct audit and indirect assignments with descriptive data to which effort will be charaged

during current fiscal year or to which effort has been charged in previous fiscal years; (iv) audit determinations on assignments completed; and (v) information related to disposition of completed audit assignments.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information Systems and Services Branch, Headquarters, DCAA: To produce statistical reports reflecting Agency-wide audit planning, programming, and performance, which are used by Headquarters, DCAA, management officials to evaluate and analyze audit operations.

Financial and Administrative Services Divisions, DCAA regional offices: To update data files and obtain statistical reports reflecting region-wide audit planning, programming, and performance, which are used by regional office management officials to evaluate, analyze, and control regional audit operations.

Field Audit Offices, DCAA: To submit update input data and obtain statistical reports related to planning, programming, and performance of audit assignments for the purpose of evaluating, analyzing, and controlling assignments of the office.

Computer Sciences Corporation: To maintain data and computer operating systems necessary to permit DCAA personnel to process data, maintain system, and produce required output reports. Computer Sciences Corporation does not obtain outputs from system and does not directly access stored data.

Other routine uses could include disclosure to antoher DoD component, Federal agency, the Department of Justice, or to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Input paper documents are stored in file folders and/or file cabinets; information converted to automated form for storage in system is stored on magnetic tape and/or disks; output reports on computer printout paper are stored in file cabinets, specialized file containers, or library shelving.

Retrievability:

Individual records are retrieved by social security acount number; other statistical data are retrived by unique organizational code assigned to each element of DCAA down to field audit suboffice level.

Safeguards:

Access to computerized data requires knowledge and use of series of systems identification codes and passwords which must be entered in proper sequence before access to system is premitted. Access to computerized data is restricted to system analysts, programmers, and management analysts assigned to Headquarters, DCAA and regional offices. Regional offices can access only data pertaining to organizations and individuals within their respective region.

Access to printed output reports is controlled by systems analysts and management analysts assigned to Headquarters, DCAA and regional offices who determine type of report to be distributed to requesting management officials.

Retention and disposal:

Paper input documents and output printputs are retained for reference purpose until superseded by subsequent reports or until no longer required for data validation; normally held for no longer than two years at which time they are destroyed.

Data converted to automated form and stored in computer system are maintained on magnetic tape for period of ten years after which data are destroyed.

System manager(s) and address:

Chief, Information Systems and Services Branch, Headquarters, DCAA, Cameron Station, Alexandria, Virginia 22314.

Notification procedure:

Information may be obtained form:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, Virginia 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to: Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Virginia 22314.

Written requests for information should contain the full name, address, and telephone number and the official address of the individual. Visits are limited to those offices listed in the Department of Defense directory in the appendix to DCAA's systems notice.

For personal visits, the individual should be able to provide some acceptable identification, that is, drives's license, employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial deteminations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, Virginia 22314.

Record source categories:

Information in system, other than data directly related to individual employees, is obtained by field audit office supervisors from audit reports and workpapers.

Systems exempted from certain provisions of the act:

NONE

RDCAA 590.9

System name:

590.9 DCAA Automated Personnel Inventory System (APIS)

System location:

Information System and Services Branch, Management Division, Headquarters, DCAA; Personnel Division, Headquarters, DCAA; Personnel Divisions, Regional Offices, whose addresses are in Department of Defense directory in the appendix to DCAA's systems notices; Computer Sciences Corporation, 815 Commerce Drive, Oak Brook, Illinois 60521, which maintains system data under contract with General Services Administration.

Categories of individuals covered by the system:

Information Systems and Services Branch, Headquarters, DCAA and Computer Sciences Corporation-active applicants for employment with DCAA, all current civilian employees of DCAA, and former employees who were on Agency rolls any time after system implementation on 1 January 1969.

Categories of records in the system:

Individual employees are identified in the system by social security account number. Current and historical records contain the following types of data: Data related to positions employee has occupied in the Agency such as grade, occupational series, title, organizational location, salary and step, competitive area and level, geographical location, supervisory designation; data related to employees status and tenure in the Federal civil service including veterans preference, competitive status, service computation date, tenure group; data personal to the employee such as birth date, physical and mental handicap code, and minority group designation code; benefits data such as enrollment in Federal employee life and health insurance and retirement programs; education and training data such as educational level, training accomplishment and requirements; career management data such as assessments of employee potential for advancement and evaluations of past performance; awards and recognition data such as performance and suggestion awards received; and professional qualifications data including certification as a Certified Public Accountant or membership in recognized professional societies.

Authority for maintenance of the system:

5 USC 301; 10 USC 133; 44 USC 2901, et. seq.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is collected, stored, and retrieved by Headquarters, DCAA, and DCAA Regional Offices to meet personnel and manpower management information requirements in support of program operations, evaluation and analysis activities, and for satisfying external and internal reporting requirements. Data is used by the Director, DCAA and those officials to whom authority has been delegated to direct, manage, and operate the Agency. Designated automated data processing vendors with whom the Agency may contract are authorized to maintain and enhance data and computer operating systems necessary for DCAA personnel to process data, maintain and enhance the system, and produce required outputs. Vendors neither obtain output from the system nor access stored data for other than validated, approved test procedures. Other routine uses could include disclosure to another DoD component, the United States Civil Service Commission, the Department of Justice or to law enforcement or investigative authorities for investigation and possible criminal prosecution, civil court uses, and regulatory policy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Input paper documents are stored in file folders and/or file cabinets. Information converted to automated form for storage in system is stored on magnetic tape and/or disks. Output reports on computer printout paper are stored in file cabinets, specialized file containers, or library shelving. Individual employee output reports are filed in folders retained with official personnel records and/or career files.

Retrievability:

Records and/or reports pertaining to an individual employee or applicant are retrieved by social security account number or random access.

Safeguards:

Access to computerized data requires knowledge and use of series of system identification code and passwords which must be entered in proper sequence to gain access to data in system. Access to computerized data is restricted to systems analysts and programmers assigned to Headquarters, DCAA. Regional personnel do not have access to automated data base and can access system only for the purpose of obtaining output reports previously formatted by Headquarters, DCAA, personnel.

Output reports are retained in personnel offices or other authorized Headquarters, regional, or field audit offices. Access to reports is controlled by assigned personnel during duty hours. After duty hours, reports are retained in locked offices or in buildings controlled by security personnel or alarm systems.

Retention and disposal:

Records in the data base are permanent; however, paper input documents and output printouts are retained for reference purposes only until superseded or no longer required for data validation.

System manager(s) and address:

Chief, Information System and Services Branch, Headquarters, DCAA, Cameron Station, Alexandria, VA 22314.

Notification procedure:

Information may be obtained from:
Records Administrator
Defense Contract Audit Agency
Cameron Station, Bldg. 4, Room 4A320
Alexandria, VA 22314
Telephone: Area Code 202/274-7285

Record access procedures:

Requests from individuals should be addressed to: Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Written requests for information should contain the full name, address, and telephone number and the official address of the individual. Visits are limited to the Information Systems and Services Branch, HQ, DCAA, Cameron Station, Bldg. 4, Room 4B363, Alexandria, VA 22314.

For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or employee identification card.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Records Administrator, Defense Contract Audit Agency, Cameron Station, Alexandria, VA 22314.

Record source categories:

Basic personnel and position information is obtained from documents prepared by personnel offices in accordance with regulations prescribed by U.S. Civil Service Commission.

Assessment of employee's potential and evaluation of performance are obtained from documents completed by employee's supervisors.

Training data are obtained from employee's supervisors, Agency training facilities, and documents prepared by employee's personnel office.

All other information is obtained from questionnaires or other documents completed by employee.

Systems exempted from certain provisions of the act:

None

DEFENSE CONTRACT AUDIT AGENCY

OFFICES
(Alphabetically by State and City)

California

DCAA LOS ANGELES REGIONAL OFFICE
2500 Wilshire Blvd Suit 1270
Los Angeles CA 90057

DCAA SAN FRANCISCO REGIONAL OFFICE
450 Golden Ave
Box 36116
San Francisco CA 94102

Georgia

DCAA ATLANTA REGIONAL OFFICE
805 Walker St
PO Box 1498
Marietta GA 30061

Illinois

DCAA CHICAGO REGIONAL OFFICE
527 LaSalle St Rm 652
Chicago IL 60605

Massachusetts

DCAA BOSTON REGIONAL OFFICE
424 Trapelo Rd
Waltham MA 02154

Pennsylvania

DCAA PHILADELPHIA REGIONAL OFFICE
1421 Cherry St
Philadelphia PA 19102

Tennessee

DEFENSE CONTRACT AUDIT INSTITUTE
Admin Bldg 3rd Fl Defense Depot
Memphis TN 38114

Virginia

DCAA HEADQUARTERS
Cameron Station Rm 4A320
Alexandria VA 22314

BILLING CODE 3810-70-F

DEFENSE LOGISTICS AGENCY

HOW SYSTEMS OF RECORDS ARE ARRANGED. Defense Logistics Agency records are arranged by major functional categories. Systems of records notices are grouped similarly. For example, a system of records on personnel security clearances may be found in the 153 series and about military personnel in the 322 series. These numbers are part of the system identification which precedes the notices in the Federal Register and look like this: S322 01 DLA-K. The letter S means Defense Logistics Agency. The first digit represents the primary functional area, the next two digits represents the sub-functional category of the primary functional area and the last two digits represents the numerical listing within that category. The suffix letters are internal management accounting devices.

HOW TO USE THE INDEX GUIDE. As an aid in locating a particular system of records, first determine the numerical series by functional area as listed below. This list identifies each series in the order in which it appears in this issuance. Having done so, use the series number to locate the systems of records in which you are interested.

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Administration	100
Planning and Management	200
Personnel	300

SUBJECT SERIES	SYSTEM IDENTIFICATION SERIES
Finance	400
Transportation	600
Procurement	800

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

S111.11DCRA-AA

System name:

Atlanta Personnel Data Bank System.

System location:

Primary System - Office of Civilian Personnel, Employment and Management Assistance Division (DCRA-EE), Defense Contract Adminstration Services Region (DCASR) Atlanta. Decentralized Systems - Birmingham District Civilian Personnel Office and Orlando District Civilian Personnel Office.

Categories of individuals covered by the system:

Civilian Personnel currently employed by the DCASR Atlanta.

Categories of records in the system:

Data on current position occupied by employee, data on employee's current employment status with DLA, training data, and selected personal data, including: social security account number (SSAN), name, sex, date of birth, age, physical handicap, Government insurance, veteran's preference, military reserve status, retired military status, education, and whether individual passed the Federal Service Entrance Examination or Professional and Administrative Career Examination.

Authority for maintenance of the system:

5 U. S. C.,Sec. 301, 302, E.O.10561.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used as follows: Personnel Alert Register - As suspense list for Performance Appraisals, Step Increases, Career Status, Save Pay, and Leave Category Change. Accepted/Rejected Transaction List - Used to check and make correction to the monthly input to the data system. Retention Register - Maintained on current basis reflecting each competitive level affected by a reduction-in-force. Rotation Schedule - Maintains current status of employees occupying positions which require continuous contact with contractors. Notification of Pay Change - Standard Form (SF) 1126 used for processing pay changes. A copy of the SF 1126 is sent to the Payroll Office for use in processing the pay change. Input Cards for Headquarters Defense Logistics Agency (DLA) Automated Civilian Personnel Data Bank System - Used to transmit data input to the Headquarters DLA Automated Civilian Personnel Data Bank System, which system uses the data to prepare reports required by the Executive, Legislative and Judicial Branches of the government, and to provide information to officals of the Defense Logistics Agency for effective personnel administration. All segments of the system, except as noted above, are used in the Office of Civilian Personnel.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts filed in binders and stored in file cabinet except for Notification of Pay Changes, distributed as required and Input Cards and magnetic tape which are stored in the Computer Room at DCASR Atlanta.

Retrievability:

Filed by title of System Component and/or alphabetically by last name of employee. Records on magnetic tape retrieved by SSAN.

Safeguards:

Magnetic tapes are maintained in a tape library which are accessible only to authorized personnel. Computer personnel who process the reports are appropriately cleared.

Paper records are maintained in files in the Civilian Personnel Office in areas accessible only to Civilian Personnel Office employees. During non-duty hours, the Civilian Personnel Office is locked.

Retention and disposal:

Records are maintained for three months after which they are destroyed (updated reports are furnished monthly) except as follows: Notification of Pay Changes become a permanent record in the Official Personnel Folder and Retention Register is destroyed after two years unless an appeal is pending.

System manager(s) and address:

Civilian Personnel Officer, DCASR Atlanta.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Employee need only to supply full name and organization.

Record access procedures:

Written or personal requests are to be directed to the Office of Civilian Personnel, DCASR Atlanta. Requesting individual should be able to certify to his/her identity. Official mailing address is contained in the Department of Defense Directory in the appendix to the DLA systems notice.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Official Personnel Folder and other personnel documents, activity supervisors, applications and forms completed by the individual.

Systems exempted from certain provisions of the act:

None

S111.11DCRT-E

System name:

111.11 Defense Contract Administration Services Region (DCASR) Dallas Personnel Data Bank

System location:

Office of Systems and Financial Management (DCRT-F), DCASR Dallas.

Categories of individuals covered by the system:

All current civilian employees of DCASR Dallas. Records are also maintained on individuals who have left the employment of DCASR Dallas but are deleted in no more than 12 months from the time the individual leaves.

Categories of records in the system:

The system contains the following information on each individual: Social Security number; nature of action taken; effective date of action; name; sex; date of birth; veterans' preference; tenure group; service computation date; physical handicap code; group life insurance coverage information; retirement system coverage; reserve status; education; eligibility for health benefits; information on whether the individual has passed the Federal Service Entrance Examination; type of appointment; organizational functional code; quit code; employing activity code; whether the individual is retired military; title, pay plan, series, grade, step of current position; a code identifying whether the individual is a supervisor; organizational code; work schedule; salary; location code; pay rate determinent; academic discipline, educational level, and year degree attained; submitting office number; for ex-military, information on the service, the component, and the military pay grade; a code as to whether the individual is a manager or not; for retired military only-date of retirement from the military; position number; due date for next within grade increase; competitive level and competitive area for reduction- in-force purposes; information as to whether veterans' preference is applicable for reduction-in-force; date of last Outstanding Performance Rating; dates of last position change and last promotion; information on mandatory career courses and other training received; and information on performance awards and other recognition received.

Authority for maintenance of the system:

5U.S.C., Sec. 301, 302, 2951, 2952, 2954, E.O. 10561. Provides the Management Information System required of Federal agencies in Federal Personnel Manual (FPM) Chapter 250, Subchapter 1-4. Provides a means of automating the production of pay change notifications and reduction-in-force information required by FPM Chapter 293

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in the system is collected to provide recurring and one-time reports to DCASR management to use for manpower planning purposes and for such related purposes as Upward Mobility and Equal Employment Opportunity. The system is also used to provide information to the individual on certain records maintained on him/her in the system. The users of the system are limited to current DCASR employees; DCASR operating management; and Defense Logistics Agency (DLA) management. Employees use the information in the system to determine current benefits accruing to them from Federal employment and similar purposes. Operating management uses the system to track the performance of personnel programs and to do effective manpower planning. The Civilian Personnel Office uses the system to obtain in an automated form reports or other documents already provided in a manual form.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records in the storage are maintained on magnetic discs and/or magnetic tape. Printouts are stored in file drawers.

Retrievability:

Records may be retrieved from the system by matching any elements of data in any record. Normally records are retrieved by name, social security number, organizational code, position identifiers.

Safeguards:

The system can be accessed only by programs prepared by the Office of Systems and Financial Management and access to the computer room is tightly controlled. Printouts are stored in locked file drawers in the Office of Civilian Personnel.

Retention and disposal:

Tapes used to create the current tape are erased after 90 days. Printouts are destroyed when superseded by an updated printout.

System manager(s) and address:

Civilian Personnel Officer, DCASR Dallas.

Notification procedure:

Individuals can determine whether the system contains records pertaining to them by contacting the SYSMANAGER. Official mailing address is contained in the Department of Defense directory in the appendix to the DLA systems notice. Current employees of the DCASR should furnish full name and social security number. Former

employees of the DCASR should furnish full name, social security number and title, series and grade of the last position held at the DCASR.

For personal visits, current employees of the DCASR need only identify themselves verbally; former DCASR employees need to present some form of appropriate identification such as a valid driver's license.

Record access procedures:

Individuals may be notified how to gain access to any record by contacting the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

All information in the system is taken from documents which are filed in the employee's official personnel folder.

Systems exempted from certain provisions of the act:

None

S111.11DDTC-R

System name:

111.11 Civilian Personnel Data Bank

System location:

Office of Civilian Personnel, Defense Depot Tracy

Categories of individuals covered by the system:

All civilian employees currently serviced by Defense Depot Tracy Civilian Personnel Office.

Categories of records in the system:

Data on current position occupied by employee; data on employee's current employment status with DLA, training data, and selected personal data, including: social security account number, name, sex, date of birth, physical handicap, Government insurance, veteran's preference, military reserve status, retired military status, education, and whether individual passed the Federal Service Entrance Examination or Professional and Administrative Career Examination.

Authority for maintenance of the system:

5 U.S.C., Sec. 301, 302, E.O. 10561, and E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained in support of the Civilian Personnel System in accordance with the Federal Personnel Manual. Information is used by Civilian Personnel Office staff and employees' supervisors as a locator file of all employees, to insure personnel actions are taken on timely and accurate basis, to prepare one-time statistical reports as required, to establish seniority rosters to identify employees for changes to prime shifts, to establish retention registers for reduction-in-force and position vacancies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer paper printouts, magnetic tape.

Retrievability:

Information identifiable to an individual is accessed by social security account number (SSAN).

Safeguards:

Magnetic tapes are kept in the computer room which is itself a security container with locked door and access limited to persons appropriately cleared and identified. Tapes are stored in a tape library when not used in processing. Computer personnel who process these reports are appropriately cleared. Printouts are kept in locked storage cabinets.

Retention and disposal:

Computer listings destroyed by burning or shredding when superseded or after one month, whichever is sooner.

System manager(s) and address:

Civilian Personnel Officer, Defense Depot Tracy.

Notification procedure:

Written or personal requests for information may be directed to SYSMANAGER. Official mailing address is contained in the Department of Defense directory in the appendix to the Defense Logistics Agency systems notice.

Record access procedures:

Requests should be addressed to the SYSMANAGER, and must contain full name and SSAN. Written requests must contain a return address. For personal visits, the individual should be able to provide some acceptable identification, such as employing office identification card.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Civilian Personnel Office staff, official personnel folder.

Systems exempted from certain provisions of the act:

None

S111.11DESC-KER

System name:

Civilian Personnel and Manpower Control System

System location:

Office of Civilian Personnel, Records Group (DESC-KER), DESC.

Categories of individuals covered by the system:

All civilian personnel employed at Defense Electronics Supply Center (DESC) under authorities of the Civil Service Commission.

Categories of records in the system:

Information relative to employees and positions to which assigned. Included in the system are employee and position data such as: birth date; social security number; sex; name; citizenship; veteran's preference; tenure group; service computation date; handicap codes; federal employee group life insurance membership; whether covered by civil service retirement or social security act; nature and effective date of last personnel action; position title sequence number, position title, position number, primary skill, reverse code for grade, civil service classification series, present step of grade, effective date of last equivalent increase, next step due of grade, and date for next salary step increase; number of quality increases received and effective date of last quality increase; present salary, if employee holds an irregular salary (saved rate, special rate, saved pay); organizational symbol; operative location numbers; competitive level; tenure sub group; retired military; highest grade previously held; performance rating; date of last grade change; education level, degree and major and minor area of study; titles of years of service award due and due date; federal employee health benefits carrier and enrollment code; promotion eligibility code.

Authority for maintenance of the system:

EO 10561, and EO 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained to provide current data in the functional areas of high grade control; projected service award presentations; employment by occupation, grade, and organization; manpower skill utilization; health benefit status; retirement, eligibility; skills listings; organization manning documents; and for preparation of statistical reports required by higher authority.

Information is used by: Security Office (DESC-WS) as a ready reference of employees and unit of assignment. Mail and Distribution Branch (DESC-WAM) as a ready reference of employees and unit of assignment. Office of Planning and Management (DESC-L) for high grade control, position control, skills listings, organizational staffing, and identification of employees and unit of assignment. Office of Civilian Personnel (DESC-K) to identify employees by name and social security number; reduction-in-force actions; handicap placements; processing personnel actions; counseling employees; employee career management program; high grade control; notification of supervisors of due dates for service awards and step increases; ready reference of employees enrolled in Health Benefit or Life Insurance programs; ready reference for number of years of service toward retirement, position title and grade, classification series, organization of assignment, current salary, competitive level, education level and area of study, and other elements of data in the file. Data used to prepare reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is stored on computer magnetic tapes and computer paper printouts, and microfiche.

Retrievability:

Information can be accessed and retrieved by social security account number only.

Safeguards:

Records are maintained in such a manner that make them available only to DESC authorized personnel.

Retention and disposal:

Data on individual employees is automatically deleted from the entire system when individual separates from DESC. Paper printouts and coding sheets are retained for a maximum of six months, or when superseded, and then destroyed.

System manager(s) and address:

Director, Civilian Personnel Office, (DESC-K) Defense Electronics Supply Center (DESC).

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide name, social security number, and periods(s) of employment at DESC. For personal visits, the individual should provide some acceptable identification.

Record access procedures:

Individuals should contact the SYSMANAGER.

Official mailing addresses are in the Department of Defense Directory in the appendix to the DLA system of records notice.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information from system is extracted from documents located in Official Personnel Folder.

Systems exempted from certain provisions of the act:

None

S111.11DLA-K

System name:

111.11 Rotation of Employees From Foreign Areas and the Canal Zone

System location:

Staffing and Employee Relations Division, Staff Director, Civilian Personnel, Headquarters Defense Logistics Agency (HQ DLA), Cameron Station, Alexandria, VA. 22314

Categories of individuals covered by the system:

Employees or former employees of DLA who have requested extension of tour of duty in Canal Zone and foreign areas beyond five years, or for whom management has made such a request.

Categories of records in the system:

Files include requests for extension of duty in Canal Zone and foreign areas, request letters, statements as to need or justification and, when management initiates request, statement of employee's consent. Statement of approval or disapproval by the Staff Director, Civilian Personnel, HQ DLA, or his Deputy and comments by the staff elements as appropriate.

Authority for maintenance of the system:

10USC Sec. 1586; Department of Defense Instruction 1404.8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in determining whether extension of employee's overseas tour of duty beyond five years should be approved or disapproved. Information is used by HQ DLA Office of Civilian Personnel and management officials concerned with the extension.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee's last name.

Safeguards:

Records are maintained in locked filing cabinets in areas accessible only to Agency personnel.

Retention and disposal:

Records are retained in active file until end of calendar year and held one to three additional years in inactive file and subsequently destroyed.

System manager(s) and address:

Staff Director, Civilian Personnel, Headquarters Defense Logistics Agency, Cameron Station, Alexandria, VA. 22314

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name.

Record access procedures:

Official mailing address is in Department of Defense Directory in the appendix to the Defense Logistics Agency systems notice. Written requests for information should be addressed to the SYSMANAGER and contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license or employing office identification card, and give some verbal information which could be verified with his records.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel offices and government officials or other parties having an interest in the employee's assignment.

Systems exempted from certain provisions of the act:

None

S111.11DLA-KP

System name:

111.11 Bye-Bye Retirement System

System location:

System may exist at Decentrilized DLA Primary Level Field Activities

Categories of individuals covered by the system:

System may contain information about Civilian Personnel of DLA Primary Level Field Activities (PLFAs) who are eligible for retirement.

Categories of records in the system:

Printout statement indicating estimated retirement annuity for employee. Information includes name of employee, service computation date, birth date, current salary and date began and accumulated sick leave hours.

Authority for maintenance of the system:

5 U.S.Code, Sec 8331-8348, Civil Service Retirement.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for the purpose of supplying employees who are eligible for retirement with decision information. Information is used by the Civilian Personnel Office to counsel employees who are eligible to retire. Information is used by computer programmers for programming and reprogramming purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Individual paper printout are stored in corresponding employee's Official Personnel Folder. Information may also be maintained in a Mark III remote time-sharing computer system.

Retrievability:

Filed by alphabetical order within individual PLFA files. PLFA listings filed in single computer file and retrieved by file name.

Safeguards:

Records are maintained in locked file area and in locked computer terminal room. System access codes are restricted to Agency officials with a need for the information.

Retention and disposal:

Records are destroyed after retirement of employee.

System manager(s) and address:

PLFA Civilian Personnel Officers. Official mailing addresses are in the DLA appendix to the DoD systems of records notices.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Employee need only supply full name and organization location.

Record access procedures:

Employee may visit the Personnel Office and review his Official Personnel Folder. Employee should be able to certify to his identity.

Contesting record procedures:

V 44 D E 17 79 UMI

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information furnished by the Office of Civilian Personnel and extracted from the employee's Official Personnel Folder. Accumulated sick leave hours are obtained from the payroll office.

Systems exempted from certain provisions of the act:

None

S111.11DLA-KS

System name:

111.11 Official Records for Host Enrollee Programs

System location:

Geographically and organizationally decentralized to the Defense Logistics Agency (DLA) primary level field activities (PLFA) which act as hosts for individuals sponsored by local, state and federal agencies who seek work experience and training with DLA activities with or without DLA participation relative to compensation and reimbursement.

Categories of individuals covered by the system:

All applicants and selectees of Host Enrollee Programs.

Categories of records in the system:

Various forms and records pertaining to the selection and other administrative information originating during the tenure and after the separation of the selected individuals in the Host Enrollee Program of the DLA PLFA. Normally such records as time and attendance, training records, periodic evaluations, data on enrollee designee for emergency contact, work site location of enrollee, official address, telephone number, etc., are maintained.

Authority for maintenance of the system:

Rehabilitation Act of 1973, Emergency Jobs and Unemployment Assistance Act of 1974 (P. L. 93-567), Comprehensive Employment and Training Act (CETA) (P. L. 93-203).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is collected and maintained to assist personnel and management officials to administer a uniform program of work and training experience to enrollees and to make a proper evaluation of the enrollees and the respective Host Enrollee Program. The use of the records are restricted to official personnel for administrative purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file storage.

Retrievability:

Filed alphabetically by employee name under particular type of Host Enrollee Program.

Safeguards:

Maintained in locked filing cabinets. Direct access to the files is limited to civilian personnel office employees and to supervisors and others who are identified as having a specific and legitimate need.

Retention and disposal:

Records are maintained for the duration of the enrollee's program assignment. They are held for two years after separation from the program and then destroyed.

System manager(s) and address:

Civilian Personnel Officers (CPOs) of DLA Primary Level Field Activities.

Notification procedure:

Requests for information from former enrollee about himself or herself should be forwarded to the SYSMANAGER at the PLFA where the enrollment occurred. Individuals currently enrolled in the Host Enrollee Program may obtain information direct from the SYSMANAGER.

Record access procedures:

Enrollees should contact the designated SYSMANAGER. Written requests should include requestor's full name, job title and name of program enrolled or formerly enrolled and job title held. For personal visits employees should be able to provide some acceptable identification.

Contesting record procedures:

The SYSMANAGER will provide the agency's and/or activity's rules for contesting contents of records and appeal rights.

Record source categories:

Information contained in records of enrollees is obtained from employee, program sponsor, educational institutions, supervisors and others who contribute to the work and training experience of the enrollee while registered in the respective Host Enrollee Program of the activity.

Systems exempted from certain provisions of the act:

None.

S111.11DLA-XA

System name:

111.11 Personnel Roster/Locator Files

System location:

Headquarters Defense Logistics Agency (DLA) and all field activities where maintained.

Categories of individuals covered by the system:

Civilian employees and military personnel for the DLA activity where records are maintained.

Categories of records in the system:

The system may contain name, organizational assignment, office and home telephone number, home address, grade/rank, military branch of service and date of rank, position title, job series, and spouse's name.

Authority for maintenance of the system:

5 U.S.C., 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

To notify DLA personnel of the arrival of visitors, to plan social functions, to recall personnel to duty station when required, for use in emergency notification, and to perform relevant functions/requirements/actions consistant with managerial functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card files and some on magnetic tape or disk.

Retrievability:

Alphabetically by name, by organization, or grade/rank.

Safeguards:

Records are accessible only to authorized DLA personnel.

Retention and disposal:

Records are destroyed upon termination/departure of DLA personnel or upon preparation of new locator cards/rosters.

System manager(s) and address:

Heads of HQ DLA principal staff elements and Heads of DLA field activities which maintain locator/roster files.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name, name of DLA activity and specific office at which employed.

Record access procedures:

Official mailing address of SYSMANAGER are in the DoD Directory in the appendix to the DLA system notice. Request should contain full name, current address and telephone number of the individual. For personal visits, the individual should be able to provide some acceptable identification; that is, drivers license, or DLA identification card.

Contesting record procedures:

The Agency's rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Individual, upon assignment to DLA, and when changes occur.

Systems exempted from certain provisions of the act:

None

S120.05DLA-K

System name:

120.05 Schedule and Record of Overtime Assignment and Request

System location:

First line supervisor or other supervisory levels in each organizational unit where a formalized overtime record is maintained. The record is not maintained by all supervisors but only by those who need such a record or where such a record is required by negotiated labor agreements.

Categories of individuals covered by the system:

Any civilian employee in those organizational segments where formalized overtime records are kept may be covered.

Categories of records in the system:

A roster of civilian personnel in the organizational segment, schedules of proposed overtime, dates overtime was offered, record of whether employee accepted the overtime, hours and dates worked, amount of work produced during the overtime hours, and other information directly related to overtime usage.

Authority for maintenance of the system:

5 U.S.C., Sec. 301,302, and 5542, Overtime rates; computation.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by the supervisor to assign overtime on an equitable, or rotational basis and to plan and schedule overtime as needed. It may also be used to determine the most productive of overtime workers. May be shown to employee representatives, such as unions, to demonstrate nature and equity of the system.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders or file index cards.

Retrievability:

Filed or listed by employee name within individual organizational segments.

Safeguards:

Records are maintained in file cabinets under the supervisor's control.

Retention and disposal:

Records are destroyed after one year from the last date of overtime usage.

System manager(s) and address:

Office of Civilian Personnel of the appropriate Defense Logistics Agency (DLA) Primary Level Field Activity.

Notification procedure:

Individuals may determine whether or not there is an overtime record pertaining to them by request to their immediate supervisor or to the SYSMANAGER.

Record access procedures:

Written request for assistance in obtaining access to information should be directed to the SYSMANAGER. Official mailing address is in the Department of Defense directory in the appendix to the DLA systems notice. For personal visits to the SYSMANAGER, individual should be able to provide some acceptable identification such as office identification card or driver's license. However, inquiries will normally be made to the immediate supervisor by personal visit.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The individual supervisors and others involved in the management of overtime in the activity.

Systems exempted from certain provisions of the act:

None

S120.05DLA-KP

System name:

120.05 Supervisors' Records and Reports of Employee Attendance and Leave.

System location:

This system is decentralized by organization and geography to the supervisory level at all Defense Logistics Agency (DLA) field activities and Headquarters DLA. All records described are not necessarily maintained by all supervisors.

Categories of individuals covered by the system:

Employees of the Defense Logistics Agency, and former such employees.

Categories of records in the system:

Schedule of planned leave, record of sick and annual leave and other types of leave taken, record of tardiness, absence without leave, leave without pay, administrative leave, and other absences of types of leave. In some cases the record may also contain notation of time actually present, time on temporary duty (TDY), and time on special assignments or temporary assignments. Record may be kept by the hour, day, week, pay period, quarter, or year. While records maintained in accordance with this notice are all 'hard copy' or manual in nature, some of the records may be produced by automated data processing as printouts from automated payroll and leave accounting systems described under other notices.

Authority for maintenance of the system:

Chapter 63, Title 5 United States Code; Leave.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is used by supervisors and by civilian personnel office staff for the following purposes: Monitoring sick leave use and detecting patterns of attendance and sick leave usage which may be indications of problems in the use of leave or which should be discussed with the employee. Scheduling annual leave in an organized, fair and planned way. Identifying employees who may be congratulated for accumulation of sick leave or limited use of sick leave. Preparing statistical reports on leave use and attendance matters and for statistical evaluation and analysis of leave usage patterns. Posting daily leave usage onto time and attendance reports or records and answering employee questions on leave charges.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders or binders or file index cards.

Retrievability:

By employee name within organizational segments, or chronologically by some time period.

Safeguards:

Any part of the records containing any personal or potentially sensistive data are maintained in locked filing cabinets or supervisors' locked desks.

Retention and disposal:

Records are kept for one year and then destroyed.

System manager(s) and address:

Civilian Personnel Officer at each DLA Primary Level Field Activity.

Notification procedure:

Employees who wish to determine what leave records are being maintained at supervisory or personnel office level should address their inquiries to their immediate supervisors or to the primary level field activity office of civilian personnel.

Record access procedures:

Personal requests for record content should be made to the immediate supervisor or to SYSMANAGER. Written request for assistance in obtaining access should be directed to the SYSMANAGER, and should contain the full name and organizational location of the employee. Official mailing addresses of the SYSMANAGER are in the Department of Defense directory in the appendix to the DLA systems notice. For personal visits to SYSMANAGER, the individual should provide some acceptable identification, such as activity identification card or driver's license.

Contesting record procedures:

The agency rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Payroll office and payroll records, including automated payroll systems, employee's supervisors, timekeepers, time and attendance clerks, leave slips (Standard Form 71 or equivalent).

Systems exempted from certain provisions of the act:

None

S150.20DLA-T

System name:

150.20 Security Violations Files

System location:

Primary System - Reports of the more serious security violations involving information or material classified in the interests of national defense: Command Security Office, Headquarters, Defense Logistics Agency (HQ DLA), Decentralized segments - Above files plus all other reports of security violations: DLA Primary Level Field Activities (PLFAs)

Categories of individuals covered by the system:

Civilian and military personnel currently or formerly employed by or assigned to DLA, employees of Department of Defense (DOD) contractor facilities, and other persons who may be involved in security violations.

Categories of records in the system:

Reports of informal and formal administrative inquiries, investigations, statements of witnesses, photographs, and related papers regarding security violations pertaining to DLA activities.

Authority for maintenance of the system:

E.O. 11652 which pertains to the protection of information and material classified in the interests of national defense. DOD Directive 5200.1-R.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information in the system is used by Security Officers in HQ DLA and PLFA's for the following:

Determining the suitability of DLA personnel involved in security violations to have continued access to classified information;

Evaluating the safeguards established within DLA to protect classified information and material; and

Referring violations involving Atomic Energy information and those in which espionage is suspected to the Justice Department as required should contain the full name, current address and telephone number of the individual and must be accompanied by a notorized statement attesting to by law.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name of any individual held to be responsible for the violation.

Safeguards:

As a minimum, records are stored in locked containers whenever authorized DLA personnel are not present to control access to them. Any of these files containing classified documents are maintained in security containers approved by HQ DLA for storage of classified information.

Retention and disposal:

Normally, records are retained in the active file two years after all aspects of the case are closed and then destroyed. Reports concerning violations of a sufficiently serious nature to be considered felonies are retained for two years in the active file and then held eight years in the inactive files and subsequently destroyed.

System manager(s) and address:

Command Security Officer, HQ DLA; Security Officers,DLA Primary Level Field Activities.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individuals must provide their full names and the identity of DLA activity at which the violation occurred as well as the date of its occurrence.

Record access procedures:

Official mailing addresses of the SYSMANAGER are in the DOD Directory in the appendix to the DLA systems notice. Written requests for information the identity of the requestor and containing the following: 'I understand that knowingly and willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars under the provisions of the Privacy Act of 1974'. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with his file. If the requestor cannot present suitable evidence of identification a notorized statement similar to that described above may be required.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Officials appointed to conduct administrative inquiries, informal or formal investigations as well as reports from DOD or other federal investigative agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C. 552a (k) (2) as applicable. Agency rules pertaining to this exemption are set forth in Appendix C of 32 CFR Part 1286 and DLA Regulation 5400.21. For additional information, contact the System Manager.

S153.01 DLA-T

System name:

153.01 Personnel Security Files

System location:

Primary System - Investigatory records containing unfavorable information requiring clearance action by the Defense Logistics Agency (DLA) Central Clearance Group (CCG) and records pertaining to persons involved in highly sensitive projects: Command Security Office, Command Security Officer, Headquarters Defense Logistics Agency (HQ DLA).

Decentralized segments - above files plus all other investigatory records: Security Officer, DLA Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

All civilian employees and military personnel who have been the Subject of a National Agency Check (NAC); a Background Investigation (BI); or Special Background Investigation (SBI) pertaining to their qualifications for access to classified information.

Categories of records in the system:

Reports of investigations conducted by the Civil Service Commission (CSC), the Federal Bureau of Investigation (FBI), the Defense Investigative Service (DIS), the investigative units of the Army, Navy and Air Force, and other Federal investigative organizations. Also, evidence of security clearances and access to classified information granted to individuals and certifications of security briefings and debriefings signed by individuals.

Authority for maintenance of the system:

Executive Order (E.O.) 10450, as amended, which was issued by virtue of the authority vested in the President by Section 7532 of Title 5, United States Code and other statutes enumerated in E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The investigatory reports are used by appropriate Security Officers and Commanders or other designated officials as a basis for determining a person's eligibility for access to information classified in the interests of national defense.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Reports are filed alphabetically by name, date and place of birth. No indices are used to retrieve individual records from the system.

Safeguards:

As a minimum, records are stored in locked containers whenever authorized DLA personnel are not present to control access to them. Any of these files containing classified documents are maintained in security containers approved by HQ DLA for storage of classified information.

Retention and disposal:

Reports are retained as long as the person is employed or assigned to DLA. After the person leaves DLA, the reports are placed in an inactive file, retained for two years, and then destroyed or returned to the agency which conducted the investigation.

System manager(s) and address:

Command Security Officer, HQ DLA; Security Officers of Primary Level Field Activities.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGERS.

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, date and place of birth, current address and telephone number of the requestor. For personal visits, the requestor must be able to provide some acceptable identification (i.e., driver's license, parent's name, identification card, date and place of birth, dates and place(s) of employment with DLA, if applicable). Written requests must be accompanied by a notarized statement attesting to the requestor's identity and containing the following: 'I understand that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars under the provisions of the Privacy Act of 1974.'

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Reports of investigations conducted by the CSC, FBI, DIS, investigative units of the Army, Navy, and Air Force, as well as other Federal investigative organizations.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C. 552a (k) (2) as applicable. Agency rules pertaining to this exemption are set forth in Appendix C of 32 CFR Part 1286 and DLA Regulation 5400.21. For additional information, contact the System Manager.

S153.20 DLA-T

System name:

153.20 Personnel Security Clearance Status - CAPSTONE

System location:

Primary System-Central computer programs and files maintained at the Defense Logistics Agency Administrative Support Center (DASC) provide a central index for information regarding the personnel security clearance status of civilian employees and military personnel within DLA. Ready reference listings are furnished by DASC to Defense Logistics Agency Primary Level Field Activities (PLFAs) and to Primary Staff Elements (PSEs) at HQ DLA concerning personnel under their jurisdiction.

Categories of individuals covered by the system:

All DLA civilian and military personnel who have been granted a security clearance for access to information classified in the interests of national security.

Categories of records in the system:

Computer listings both alphabetically in the form of a Master Capstone File (MASCAP) and by organization in the form of a Records of Access Authorization and Eligibility (RACEL). These listings provide the unit Security Officer with complete personnel security data on the entire unit work force and the Head of each PLFA and HQ PSE a roster reflecting each individual who has been authorized access, as well as the level of access, to classified information.

Authority for maintenance of the system:

Executive Order (E.O.) 10450, as amended, which was issued by virtue of the authority vested in the President by Section 7532 of Title 5, United States Code and other statutes enumerated in E.O. 10450.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These records are used by Security Officers at all levels as well as other appropriate supervisors to determine whether or not DLA civilian employees or military personnel have been cleared for and/or granted access to classified information; and, if so, the level of such clearance or access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders; magnetic tape; computer print-out.

Retrievability:

Identities of persons whose names are contained in the system are listed in the MASCAP and RACEL alphabetically. All data in the system about each person is set forth next to the person's name.

Safeguards:

As a minimum, records are stored in locked containers whenever authorized DLA personnel are not present to control access to them. Any of these files containing classified documents are maintained in security containers approved by HQ DLA for storage of classified information.

Retention and disposal:

New MASCAP and RACEL listings are published monthly and old listings are destroyed as soon as the new lists are verified but in no case beyond 90 days.

System manager(s) and address:

Security Office, DASC and Security Officers of all PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGERS.

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, such as, driver's license, employing office identification card, and give some verbal information that could be verified with his file.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGERS.

Record source categories:

Certificates of clearance and/or record of personnel security investigation which are completed during a review of reports of investigation conducted by the Civil Service Commission, the Federal Bureau of Investigation, the Defense Investigative Service, and investigative units of the Army, Navy, and Air Force, as well as other Federal investigative organizations. Also, personnel security files maintained on individuals.

Systems exempted from certain provisions of the act:

None

S155.05 1DLA-NS

System name:

155.05 Enrollment, Registration and Course Completion Record.

System location:

Defense Industrial Security Institute (DISI) Defense General Supply Center Richmond, Virginia 23297

Categories of individuals covered by the system:

U.S. Government military and civilian personnel and employees of industry who have attended the Industrial Security Basic Course, Industrial Security Specialist Course, Industrial Security Career Seminar, Industrial Security Executive Seminar, Information Security Management Course, Industrial Security Management Course or the Industrial Facilities Protection Course.

Categories of records in the system:

Information contained in the system regarding each individual includes: name, local address (while attending school); office phone; military rank or GS rating; Social Security Account number; position; level of security clearance; duty station or employer's address; course(s) attended; name and mailing address of supervisor; date of course; class standing; final grade; and, whether or not the course was satisfactorily completed.

Authority for maintenance of the system:

Presidential Executive Order 10865, Safeguarding Classified Information Within Industry.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This system exists for record purposes only. The Defense Industrial Security Institute is the sole user.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The system is maintained on 5 x 8 file cards.

Retrievability:

The system is maintained and accessed alphabetically.

Safeguards:

Only DISI employees are authorized access to the system or information contained therein. The records are maintained in file cabinets within a locked room. The building is patrolled at intervals by roving patrols on foot and in vehicles. Access to the military installation is controlled at all times.

Retention and disposal:

The records in this system are retained permanently.

System manager(s) and address:

The official responsible for policies and procedures governing this system is the Executive Director of Industrial Security, DLA-N. Operational management is exercised by the Commandant, Defense Industrial Security Institute.

Notification procedure:

An individual who wishes to be notified if the system contains a record about him or her should direct a request to the Commandant, DISI, Defense General Supply Center, Richmond, Virginia 23297.

Requests must contain name and Social Security Account number. If known, the request should also identify courses(s) attended and the inclusive dates of the course(s).

An individual may also visit DISI to determine if the system contains a record about him or her.

For visits an individual must present proof of identity such as birth certificate, driver's license or employer ID (preferably picture type) and proof of Social Security Account number.

Record access procedures:

An individual can obtain access to or a copy of any record pertaining to him or her by directing a request to the Commandant, DISI, Defense General Supply Center, Richmond, Virginia 23297. A record can be released at DISI, Richmond, Virginia, or through one of the 11 Regional Offices of Industrial Security (OIS) or a Field Office of any Regional OIS. A release will take place at the OIS nearest the residence or place of employment of the requester. The 11 Regional OISs are located in Atlanta, Boston, Chicago, Cleveland, Dallas, Detroit, Los Angeles, New York, San Francisco, Philadelphia and St. Louis.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER; the Chief, OIS.

Record source categories:

The sources of information contained in the system are the employers and the DISI.

Systems exempted from certain provisions of the act:

None

S155.05 2DLA-NS

System name:

155.05 2 Guest Instructor Introduction Card

System location:

Defense Industrial Security Institute (DISI) Defense General Supply Center Richmond, Virginia 23297

Categories of individuals covered by the system:

System contains a record of any individual who has appeared as a guest speaker at the Defense Industrial Security Institute (DISI).

Categories of records in the system:

Information in this system includes: name; date of guest instructor's appearance; position; and biographical (education, employment, etc.) data.

Authority for maintenance of the system:

Presidential Executive Order 10865, Safeguarding Classified Information Within Industry.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to introduce speakers and is retained as a record of the speaker's participation. DISI is the sole user.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The system is maintained on 5 x 8 file cards.

Retrievability:

The system is maintained and accessed alphabetically.

Safeguards:

Only DISI employees are authorized access to the system or information contained therein. The records are maintained in file cabinets within a locked room. The building is patrolled at intervals by roving patrols on foot and in vehicles. Access to the military installation is controlled at all times.

Retention and disposal:

The records in this system are retained permanently.

System manager(s) and address:

The official responsible for policies and procedures governing this system is the Executive Director of Industrial Security, DLA-N. Operational management is exercised by the Commandant, Defense Industrial Security Institute.

Notification procedure:

An individual who wishes to be notified if the system contains a record about him or her should direct a request to the Commandant, DISI, Defense General Supply Center, Richmond, Virginia 23297. Requests must contain name and Social Security Account number. If known, the request should also identify course(s) attended and the inclusive dates of the course(s). An individual may also visit DISI to determine if the system contains a record about him or her. For visits an individual must present proof of identity such as birth certificate, driver's license or employer ID (preferably picture type) and proof of Social Security Account number.

Record access procedures:

An individual can obtain access to or a copy of any record pertaining to him or her by directing a request to the Commandant, DISI, Defense General Supply Center, Richmond, Virginia 23297. A record can be released at DISI, Richmond, Virginia, or through one of the 11 Regional Offices of Industrial Security (OIS) or a Field Office of any Regional OIS. A release will take place at the OIS nearest the residence or place of employment of the requester. The 11 Regional OISs are located in Atlanta, Boston, Chicago, Cleveland, Dallas, Detroit, Los Angeles, New York, San Francisco, Philadelphia and St. Louis.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the System Manager, the Chief, OIS.

Record source categories:

Information contained in this system is provided by the individual.

Systems exempted from certain provisions of the act:

None

S155.53DLA-NS

System name:

155.53 Industrial Personnel Security Clearance File

System location:

Defense Industrial Security Clearance Office, Defense Construction Supply Center, P.O. Box 2499, Columbus, Ohio 43216

A duplicate file of the Defense Industrial Security Clearance Office record of Overseas Security Eligibilities is retained by the Office of Industrial Security, Europe, Brussells, Belgium.

Categories of individuals covered by the system:

Employees of Government contractors who have been issued, now possess, or are in process for personnel security clearances, including Overseas Security Eligibilities.

Categories of records in the system:

Information contained in each record in the automated portion of the system may include: name of the individual; aliases; maiden name; date of birth, place of birth, Social Security Account number; name and address of employer; level of security clearance granted; date security clearance granted; type of investigation; date of investigation; identity of investigating agency; file or case number; location of file; record of Communication Security (COMSEC) security clearance and sequential record of security clearance terminations, transfers and reinstatements.

Information contained in each record in the manual portion of the system may contain the original application for security clearance (Personnel Security Questionnaire); a copy of the personnel security investigation; a record of security clearance; record of COMSEC security clearance; Overseas Security Eligibility; Control records; foreign travel reports; all correspondence concerning the processing of the initial clearance, termination, reinstatement, transfer, emergency suspension, revocation or denial of security clearance; adjudication suspense records; adverse information reports; security violation reports; and internal Government correspondence and interoffice memoranda relative to the security clearance process.

Authority for maintenance of the system:

Presidental Executive Order 10865 as amended by Executive Order 10909, both titled, Safeguarding Classified Information Within Industry.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The automated portion of the system is retained as a central record of industrial security clearances granted. Access to this record is restricted to authorized Defense Logistics Agency employees. The Defense Industrial Security Clearance Office will verify security clearance status only to cleared Department of Defense contractors and authorized Government agencies. Also, on occasion, the clearance record may be used to reconcile security clearance records maintained by the individual's employer.

The manual portion of the system serves as a central repository for all hard copy material concerning an applicant for industrial security personnel clearance. All information contained in this record is used to back up the security clearance determination. Disclosure of this record is permitted only to personnel of the Department of Defense involved in the industrial personnel clearance process or to a legally constituted law enforcement activity within or under the control of the United States when (i) a violation of law relative to the purpose of the security clearance program is suspected, or (ii) requested by the head of the law enforcement activity or his designated representative provided that the portion of the record desired is specified and the law enforcement activity identified. Disclosure of foreign travel information contained in the record will be permitted to Federal Government investigative agency personnel for civil or criminal law enforcement activity.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated Records are maintained in computer disc packs, magnetic tapes, and associated data processing files used to initially build or update the master file. The individual records in the manual part of the system are microfiche, 5 x 8 cards and hard copy paper records maintained in file folders.

Retrievability:

Automated records are accessed by individual Social Security Account number. Computerized indices are required to retrieve records from the system. Manual Records are accessed by Social Security Account number or alphabetically by name.

Safeguards:

In the automated part of the system special codes, available only to authorized Defense Logistics Agency personnel, are required to access records by means of cathode ray tube readers located only in the Defense Industrial Security Clearance Office area. Access to the manual records is limited to authorized personnel of the Defense Industrial Security Clearance Office. The Defense Industrial Security Clearance Office area is on a military controlled installation and segregated from other Government operational areas. All visitors are badged and escorted. During nonworking hours the entire area is secured and protected by a perimeter alarm system and roving guard patrols, motorized and on foot.

Retention and disposal:

The automated records are retained for 25 months following the termination of a security clearance. A record concerning an individual is retained, following termination, until the individual would reach the chronological age of 80 years in those cases where adverse information is existant or the clearance is terminated because of the death of the holder. Destruction is accomplished through degaussing the disc pack entry or magnetic tape. Retention of the manual records is authorized for 30 years after the date of the last action; however, records are purged 10 years after the date of the last action. Destruction is by burning. Microfiche records are updated at approximately 30-day intervals and superseded records are burned.

System manager(s) and address:

The official responsible for policies and procedures governing this system is the Executive Director of Industrial Security, Defense Logistics Agency. Operational management of the system is exercised by the Chief, Defense Industrial Security Clearance Office.

Notification procedure:

An individual who wishes to be notified if the system contains a record about him or her should direct the request to the Chief, Defense Industrial Security Clearance Office, Defense Construction Supply Center, P. O. Box 2499, Columbus, Ohio 43216. Requests must contain the full name, date and place of birth and Social Security Account number. An individual may also visit the Defense Industrial Security Clearance Office to determine if the system contains a record pertaining to him or her. For visits to the Defense Industrial Security Clearance Office the individual must present proof of identity such as birth certificate, driver's license, or employee identification card, and proof of Social Security Account number.

Record access procedures:

An individual can obtain access to or a copy of any record pertaining to him or her, except for the personnel security investigation, by directing a request to the Chief, Defense Industrial Security Clearance Office, Defense Construction Supply Center, P.O. Box 2499, Columbus, Ohio 43216. Requests for personnel security investigations will be promptly referred to the appropriate investigative agency which is authorized to release the record. A record can be released at the Defense Industrial Security Clearance Office, Columbus, Ohio or through one of the 11 Regional Offices of Industrial Security or a Field Office of any Regional Office of Industrial Security. A release will take place at the Office of Industrial Security nearest the residence or place of employment of the requester. The 11 Regional Offices of Industrial Security are located in Atlanta, Boston, Chicago, Cleveland, Dallas, Detroit, Los Angeles, New York, San Francisco, Philadelphia, and St. Louis. A record may also be released by mail in those cases where the requestor was provided an original notarized authorization for such release.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the System Manager, the Chief, Office of Industrial Security.

Record source categories:

The sources of information contained in a record are the employer and the Defense Investigative Service which is responsible for conducting personnel security investigations.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C. 552a (k) (2) as applicable. Agency rules pertaining to this exemption are set forth in Appendix C of 32 CFR Part 1286 and DLA Regulation 5400.21. For additional information, contact the System Manager.

S160.50 DLA-T

System name:

160.50 Criminal Incidents/Investigations file

System location:

Primary System - case files on all incidents of known or suspected criminal activity or other serious incidents which may arouse local or national news media or Congressional interest: Command Security Office, Headquarters Defense Logistics Agency (HQ DLA). Decentralized segments - above files plus incidents of minor nature: HQDLA principal staff elements, DLA Primary Level Field Activities (PLFA)

Categories of individuals covered by the system:

Civilian and military personnel of DLA, contractor employees, and other persons who committed or are suspected of having committed a felony or misdemeanor on DLA controlled activities or facilities; or outside of those areas in cases where DLA is or may be a party of interest.

Categories of records in the system:

Reports of Investigation, messages, statements of witness, subjects and victims, photographs, laboratory reports and other related papers.

Authority for maintenance of the system:

Section 21, Internal Security Act of 1950 (Public Law 831, 81st Congress) DOD Instruction 5200.22, Reporting of Security and Criminal Violations, and Memorandum Deputy Secretary of Defense dated 7 May 1974, which assigned to the Director of DLA the responsibility for identifying all DLA activities requiring criminal investigative support and crime prevention surveys, provide control coordination of such investigation and surveys, and to ensure optimum investigative support and mutual exchange of relevant information between participating agencies.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for the purpose of monitoring the progress of investigations, identification of crime conducive condition, crime and loss prevention, and preparation of statistical data required by higher authority. Information may be referred to local, state, or federal law enforcement agencies when the information indicates a violation of local, state, or federal laws. Information is used by: DLA Security personnel - to monitor progress of cases, develop nonpersonal statistical data on crime and loss incidence; crime and loss prevention and to enable planning of required criminal investigative support for the future. DLA counsel - review of cases and determination of proper legal action. DLA supervisors and managers - to determine actions required to correct the causes of losses, and to take appropriate action against DLA employees in cases of their involvement.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, photographs, laboratory reports in file folders, bound logs and card index files.

Retrievability:

Filed chronologically by DLA case number and cross indexed in a log and card index file. Indexed either by name of the individual or firm involved, when such are known, if not by DLA activity or facility having primary interest in the case.

Safeguards:

Records are maintained in areas accessible only to DLA security personnel.

Retention and disposal:

Records are destroyed 5 years after submittal or receipt of a final report in each case or when no longer needed, which ever is later.

System manager(s) and address:

Command Security Officer, DLA; Heads of PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with the file.

Contesting record procedures:

DLA's rules for contesting contents as well as appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Reports of investigation by DLA Security Officers, Federal, State and Local law enforcement agencies.

Systems exempted from certain provisions of the act:

Parts of this system may be exempt under Title 5 U.S.C. 552a (k) (2) as applicable. Agency rules pertaining to this exemption are set forth in Appendix C of 32 CFR Part 1286 and DLA Regulation 5400.21. For additional information, contact the System Manager.

S161.20DLA-T

System name:

161.20 Visitors and Vehicle Temporary Passes and Permits File

System location:

Decentralized: Documents and records relating to issue, surrender, withdrawal of temporary visitor and vehicle passes and permits: Heads of Defense Logistics Agency (DLA) Primary Level Field Activities (PLFA).

Categories of individuals covered by the system:

All persons requiring temporary access to DLA activities and facilities.

Categories of records in the system:

Applications, surrendered passes, permits, and related papers relating to temporary visitor and vehicle passes or permits.

Authority for maintenance of the system:

Section 21 of the Internal Security Act 1950 (Public Law 831, 81st Congress) and Department of Defense Directives 5200.8 and 5105.22 which assign to the Director, DLA the responsibility for protection of property and facilities under his control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained to provide adequate controls on movement of vehicles and persons on DLA activities and facilities. Information is used by DLA Security personnel: To ensure that only authorized persons and vehicles enter DLA activities and facilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, applications, surrendered passes and permits. Paper records in file folders.

Retrievability:

Filed alphabetically by name and by expiration date.

Safeguards:

Records are maintained in areas accessible only to DLA personnel.

Retention and disposal:

Destroy 6 months after expiration date.

System manager(s) and address:

Security Officers at PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide his full name and identity of DLA activity to which access was granted; and if individual is or was a DLA employee, identity of employing DLA activity.

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone number of the individual. For personal visits, the individual should be able to provide some acceptable identification, such as, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGERS.

Record source categories:

Individuals applying for passes or permits and Security Office personnel.

Systems exempted from certain provisions of the act:

None

S161.25DLA-T

System name:

161.25 Individual Access Files

System location:

Decentralized: Documents relating to the request for authorization, issue, receipt, surrender, withdrawal and accountability pertaining to identification, badges, cards and passes: Heads of Primary Level Field Activities (PLFAs) of the Defense Logistics Agency (DLA).

Categories of individuals covered by the system:

DLA civilian and military personnel, contractor employees, and other individuals granted or denied access to DLA activities and installations.

Categories of records in the system:

Application forms, photographs, letters of debarment, and related papers.

Authority for maintenance of the system:

Section 21 of the Internal Security Act 1950 (Public Law 831, 81st Congress) and Department of Defense (DoD) Directives 5200.8 and 5105.22 which assign to the Director, DLA the responsibility for protection of property and facilities under his control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained and used by DLA and DoD security personnel and General Service Administration Protective Service personnel to adequately control access to, and movement on DLA activities and facilities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and index cards.

Retrievability:

Filed alphabetically by name.

Safeguards:

Records are maintained in areas accessible only to authorized DLA personnel.

Retention and disposal:

Records are destroyed 1 year after termination or transfer of person granted access, except that individual badges, photographs or passes will be destroyed upon revocation, cancellation, or expiration. Records relating to persons barred from a facility will be destroyed 5 years after the person is notified he is barred from an activity or installation.

System manager(s) and address:

Security Officers of PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the appropriate SYSMANAGER.

Record access procedures:

Official mailing addresses of SYSMANAGERS are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents of records and appealing initial determinations regarding access may be obtained from the SYSMANAGER.

Record source categories:

Individuals applying for identification badge, card, or pass, security personnel, and Commanders who bar persons from access to their activities or installations.

Systems exempted from certain provisions of the act:

None

S161.30DLA-T

System name:

161.30 Motor Vehicle Registration Files

System location:

Decentralized: Documents and records relating to permanent registration of private vehicles to include commercial vehicles: Defense Logistics Agency (DLA) Primary Level Field Activities (PLFA).

Categories of individuals covered by the system:

DLA civilian and military personnel, contractor employees, vendors, and other persons requiring use of private vehicles on DLA activities or facilities.

Categories of records in the system:

Application forms and related papers.

Authority for maintenance of the system:

National Highway Safety Act of 1966 and National Highway Safety Program Standards, which direct such programs as vehicle traffic supervision, periodic motor vehicle inspections, pedestrian safety, police traffic services and records, accident investigation and reporting.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained to provide adequate controls on movement of privately owned motor vehicles on DLA activities and facilities, consistent with safety and applicable traffic regulations.

Information is used by DLA Security personnel to ensure that only authorized vehicles enter DLA facilities and activities and that those vehicles carry required liability insurance. Also, to plan for additions or reductions in parking requirements and to be able to identify vehicles and their owners by decal number in the event of emergency or traffic problems.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, application cards, and on some activities logs containing accountability for decals.

Retrievability:

Filed alphabetically by last name and cross-referenced by decal number.

Safeguards:

Records are maintained in areas accessible only to DLA security personnel.

Retention and disposal:

Destroy upon normal expiration or 3 years after revocation of registration.

System manager(s) and address:

Heads of PLFAs which are responsible for the installation on which they are located.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which registration occurred; or if individual is or was a DLA employee, name of employing activity is also required.

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

DLA rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information provided by the applicant and DLA security personnel

Systems exempted from certain provisions of the act:

None

S161.40DLA-T

System name:

161.40 Vehicle Accident Investigation Files

System location:

Decentralized: Reports, sketches, photographs, alcohol test reports, and related papers concerning traffic accident investigations: Heads of Defense Logistics Agency (DLA) Primary Level Field Activities (PLFA).

Categories of individuals covered by the system:

Any person involved in a vehicle traffic accident on property controlled by DLA or operating a DLA vehicle.

Categories of records in the system:

Reports, sketches, photographs, medical reports and related papers.

Authority for maintenance of the system:

National Highway Safety Act of 1966 and National Highway Safety Program Standards, which direct such programs as vehicle traffic supervision, periodic motor vehicle inspections, pedestrian safety, police traffic services and records, accident investigation and reporting.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for purposes of accident - cause identification and to formulate accident prevention programs for improvement in traffic patterns and for preparation of statistical reports required by higher authority.

Information is used by:

Security Officers and DLA Police: To determine actions required to correct the cause of the accident.

Safety Officers: (In cases involving personal injury.) To provide verification in processing workmen's compensation cases.

Claims Officers: To determine validity of claims against U.S. Government, when such are filed by a person involved in an accident. Federal Law Enforcement Agencies: (In cases involving fatalities or serious hit and run accidents.) To investigate, identify suspects, and to determine if criminality or criminal negligence was involved.

Medical personnel both government and non-government to make medical determinations about individuals involved in accidents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, photographs.

Retrievability:

Filed alphabetically by last name of person involved, when known, or by victims name or by police report number in unsolved hit and run cases.

Safeguards:

Records are maintained in areas accessible only to DLA personnel.

Retention and disposal:

Destroy after 2 years, except that documentation pertinent to claims will be maintained for 10 years after final settlement.

System manager(s) and address:

Heads of PLFAs who are responsible for the DLA installation or vehicle involved.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which accident occurred; or if individual is or was a DLA employee, name of employing activity is also required.

Record access procedures:

Official mailing addresses of The SYSMANAGER are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA, Department of Defense, General Services Administration Police, Federal Law Enforcement Agencies, Medical facilities.

Systems exempted from certain provisions of the act:

None

S161.50DLA-T

System name:

161.50 Traffic Violations File

System location:

Decentralized: Documents relating to traffic citations for moving and non-moving violations, withdrawal of driving privileges and related papers: Defense Logistics Agency (DLA) Primary Level Field Activities (PLFA).

Categories of individuals covered by the system:

All persons who commit a traffic violation on DLA controlled property.

Categories of records in the system:

Traffic tickets, documents relating to withdrawal of driving privileges, and reports of corrective or disciplinary action taken.

Authority for maintenance of the system:

National Highway Safety Act of 1966 and National Highway Safety Program Standards, which direct such programs as vehicle traffic supervision, periodic motor vehicle inspections, pedestrian safety, police traffic services and records, accident investigation and reporting.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained to identify traffic offenders, to enforce applicable traffic regulations and to promote safety. Information is used by:

DLA Security Officers DLA and DoD To identify traffic violations, to enforce applicable traffic regulations, to promote safety and to initiate corrective or disciplinary action against the offenders.

DLA supervisors and managers - to take corrective or disciplinary action against offenders under their supervision.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records, ticket books, card index files.

Retrievability:

Filed alphabetically by last name of the offender, and cross-indexed by ticket number.

Safeguards:

Records are maintained in areas accessible only to DLA personnel.

Retention and disposal:

Destroyed after 2 years.

System manager(s) and address:

Heads of PLFA's which have responsibility for managing traffic on the installation.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which violation occurred; or if individual is or was a DLA employee, name of employing activity is also required.

Record access procedures:

Official mailing addresses of the SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA, DoD Security Police and traffic offenders.

Systems exempted from certain provisions of the act:

None

S161.60DLA-T

System name:

161.60 Seizure and Disposition of Property Records

System location:

Decentralized - Documents pertaining to acquisition, storage and disposition of contraband and physical evidence: Defense Logistics Agency (DLA), Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

Any person identified on DLA controlled property, as being in possession of contraband or physical evidence connected with criminal offense.

Categories of records in the system:

Receipts, chain of custody documents, release, and disposition or destruction certificates.

Authority for maintenance of the system:

Section 21 of the Internal Security Act 1950 (Public Law 831, 81st Congress) and Department of Defense (DoD) Directives 5200.8 and 5105.22 which assign to the Director, DLA the responsibility for protection of property and facilities under his control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained and used by DLA security personnel to provide accountability for confiscated contraband and acquired physical evidence. To maintain chain of custody on evidence for presentation in court in cases requiring criminal prosecution. Information will be provided to local, state, and federal law enforcement agencies and courts of competent jurisdiction when criminal action is being taken.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper files and property logs.

Retrievability:

Filed by property log number, and last name, if a person has been identified in the particular case; by incident number if property was found on the premises or recovered from a crime scene.

Safeguards:

Records are maintained in areas accessible only to DLA personnel.

Retention and disposal:

Destroy 3 years after final action on or disposition of the property and responsibility therefore has been appropriately terminated.

System manager(s) and address:

Heads of PLFAs who are responsible for investigating suspected criminal acts.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER.

Record access procedures:

Official mailing addresses of the SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals involved, security personnel, local, state and Federal Law Enforcement Agencies and DoD investigative agencies providing support to DLA.

Systems exempted from certain provisions of the act:

None

S161.70DLA-T

System name:

161.70 Firearms Registration Records

System location:

Decentralized - Firearms registration forms: Defense Logistics Agency (DLA), Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

Civilian and military personnel having privately owned firearms and occupying quarters on DLA controlled activities or facilities.

Categories of records in the system:

Firearms registration forms, and other documents relating to registration of privately owned firearms.

Authority for maintenance of the system:

Section 21 of the Internal Security Act 1950 (Public Law 831, 81st Congress) and Department of Defense DoD Directives 5200.8 and 5105.22 which assign to the Director, DLA the responsibility for protection of property and facilities under his control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by DLA Security personnel to ensure proper maintenance and safekeeping of privately owned weapons by personnel residing on DLA controlled premises. Records are also used to identify the owner of a particular weapon by DoD security personnel, local, state, and federal law enforcement agencies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of the owner of the firearm.

Safeguards:

Records are maintained in areas accessible only to DLA personnel.

Retention and disposal:

Destroy 6 months after cancellation of registration or departure of the registrant from the jurisdiction of the registering activity.

System manager(s) and address:

Heads of PLFAs who are responsible for base housing on a DLA installation.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and identity of DLA installation upon which he resided.

Record access procedures:

Official mailing addresses of SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Persons registering firearms, and DLA security personnel.

Systems exempted from certain provisions of the act:

None

S162.60DLA-T

System name:

162.60 Police Force Records

System location:

Decentralized - Documents relating to the operation and use of security police: Defense Logistics Agency (DLA) Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

DLA Security Police personnel.

Categories of records in the system:

Documents relating to operation and use of police, security clearances, weapons qualification, training, uniforms, weapons, shift assignments and related papers.

Authority for maintenance of the system:

Section 21 of the Internal Security Act 1950 (Public Law 831, 81st Congress) and Department of Defense (DoD) Directives 5200.8 and 5105.22 which assign to the Director, DLA the responsibility for protection of property and facilities under his control.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained and used by DLA Security Officers and Police Supervisors to maintain control of property, weapons and ammunition; to ensure proper training; to develop schedules and procedures to improve efficiency. Records are used to determine if an individual is qualified in the use of firearms and if he has a security clearance which would authorize him to handle classified information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, weapon cards, and property receipts.

Retrievability:

Filed in alphabetical order by name.

Safeguards:

Records are maintained in areas accessible only to DLA security supervisory personnel.

Retention and disposal:

Destroy after 5 years or when superseded or obsolete, as applicable.

System manager(s) and address:

Heads of PLFAs who are responsible for the operation of base or facility security forces.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER.

Record access procedures:

Official mailing addresses of the SYSMANAGERS are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

DLA's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA Security Officers and Security Police personnel.

Systems exempted from certain provisions of the act:

None

S214.10DCRN-MA

System name:

214.10 Emergency Transportation of Essential Personnel

System location:

Plans and Analysis Division, Office of Planning and Management, Defense Contract Administration Services Region, New York (DCASR, N.Y.)

Categories of individuals covered by the system:

Essential civilian and military personnel assigned to Headquarters DCASR, N.Y. and HQ Defense Contract Administration Services District, New York (DCASD, N.Y.) who would require transportation to their duty station in the event of a disruption of public transportation in New York City caused by any reason.

Categories of records in the system:

Data pertaining to designated essential personnel which includes: full name, organization of assignment, home address, Postal Zone Improvement Plan (ZIP) Code, home and office telephone numbers, indication of ownership of a private vehicle, indication of possession of a valid State drivers license, indication of possession of a valid United States (US) government drivers license, indication of whether an individual would or would not drive their privately owned vehicle in a car pool, indication whether an individual would or would not drive a US government vehicle in a car pool, indication of individual's normal means of transportation to their duty station.

Authority for maintenance of the system:

Executive Order 11490, Assigning Emergency Preparedness Functions to Federal Departments and Agencies, directs departments and agencies of the Federal Government to develop such plans as may be necessary to assure that it will be able to perform its essential functions in any emergency. Department of Defense Directive 3020.26 directs Department of Defense (DoD) components to 'prepare a Continuity of Operations Plan (COOP) in implementation of this directive.'

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The data is maintained and used for the purpose of determining, in a transportation disruption situation, how to accommodate essential

personnel assigned to HQ DCASR-NY, and HQ DCASD-NY as concerns supplying them, or directing them to sources of transportation which will enable them to report to their duty station for the purpose of conducting essential agency business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Data is on computer magnetic tape.

Retrievability:

Data is retrieved by entering User number, program name, and identification number assigned each designated essential individual. Computerized indices are utilized.

Safeguards:

Records can only be accessed by agency personnel.

Retention and disposal:

Records are destroyed when obsolete, superseded or no longer required for planning or emergency purposes.

System manager(s) and address:

Chief, Plans and Analysis Division, Office of Planning and Management, DCASR-NY

Notification procedure:

Written or personnel requests for information may be directed to the SYSMANAGER. Individual must provide full name and organization assignment.

Record access procedures:

Official mailing address is in the DoD Directory in the appendix to the DLA systems notice.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual's supervisor.

Systems exempted from certain provisions of the act:

None

S214.20DLA-L

System name:

214.20 Emergency Assignment and Training Records

System location:

Headquarters Defense Logistics Agency (DLA) and all DLA field activities.

Categories of individuals covered by the system:

Present DLA civilian/military personnel who have volunteered for, or been designated to perform, some duty or assignment in time of emergency that is not regularly included in their present duties. Former personnel who have recently left the activity may also be included to the extent that the records have not yet been purged of their names.

Categories of records in the system:

Individuals' names, grades, organizational locations, titles, office and residential phone numbers, training as pertaining to emergency duties, security clearance, experience in performing emergency duties, authority to operate Government vehicles, emergency assignment, agreement to perform emergency duties, and similar information related to the emergency assignment.

Authority for maintenance of the system:

50 U.S.C., 402 through 405, National Security Act of 1947; 50 U.S.C., App. 2251, Federal Civil Defense Act of 1950; E.O. 10952, Assigning Civil Defense Responsibilities to the Secretary of Defense, EO 11490, Assigning Emergency Preparedness Functions to Federal Departments and Agencies

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The records are used by the management and supervisory personnel of DLA in the day-to-day planning and management of emergency actions. These include the war and emergency support plan, staffing of fallout shelters, physical security of the post or other premises, and similar purposes. The use might involve emergencies of both a civil or military nature, in time of peace or war, and would also include natural as well as man-made disasters.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records and card files.

Retrievability:

Accessed by organization, type of emergency assignment, or individual name.

Safeguards:

Maintained in areas accessible only to authorized DLA management and staff, and afforded appropriate protection at all times.

Retention and disposal:

Continuous updating/purging to reflect current information.

System manager(s) and address:

Chief, Military Plans Division, HQ DLA; and commanders, DLA Primary Level Field Activities and subordinate field activities.

Notification procedure:

Written or personal requests should be directed to the SYSMANAGER.

Record access procedures:

Individuals should contact SYSMANAGER. Official mailing addresses are in the DoD directory in the appendix to the DLA systems notice. Written requests should include the requestor's full name, job title and name of organization where employed or formerly employed. For personal visits, employee should be able to provide some acceptable identification such as driver's license or employee identification badge.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information contained in the system is obtained from the employee, official personnel records, and present and former supervisors.

Systems exempted from certain provisions of the act:

None.

S233.10DLA-K

System name:

233.10 Work Assignment, Performance and Productivity Records and Reporting Systems

System location:

Immediate supervisor and other appropriate supervisory and management levels within the individual primary level field activities of the Defense Logistics Agency (DLA) or of the DLA Headquarters. Some or all of the records listed may or may not be kept by any particular supervisor or at any particular organizational level.

Categories of individuals covered by the system:

Employees of organizational segments for which such records are kept or former such employees.

Categories of records in the system:

Descriptions of individual assignments, target dates, progress against targets, hours expended against particular assignments or categories of assignments, cost accounting codes and similar workload data, including such matters as number of contracts or projects assigned and description of assignments.

Authority for maintenance of the system:

Chapter 33, Title 5, United States Code, 5 U.S.C. 301,302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information is used by the employee's immediate supervisor and other appropriate management officials to record and make reports on individual work assignments and the amount of effort devoted to each assignment. The information is used to schedule work, make progress reports and supervise and control workload. It is used to assure that workload is equitably assigned and to determine which employees have performed which categories of assignment in order to determine the experience for assignment of new work or for resolving problems, such as those related to a particular item or a particular contract. The data may also be used to evaluate individual and group performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders or binders and file index cards.

Retrievability:

Retrievable by employee's name, although records may be filed chronologically or by type of assignment.

Safeguards:

Records are maintained in file cabinets and are accessible to authorized agency personnel only.

Retention and disposal:

Records are retained so long as the employee is engaged in the same work in the same organizational segment, but, in no case, longer than 5 years. Records are destroyed when employees leave the job or the organizational unit, or 5 years have elapsed.

System manager(s) and address:

The Commander, DLA Primary Level Field Activities.

Notification procedure:

Individual inquiries as to what work assignment records are maintained regarding a given person should be directed to the immediate or second line supervisor.

Record access procedures:

Personal or written requests for the content of the record should be addressed to the first or second line supervisor. Written requests for information may, however, be addressed to the SYSMANAGER and should identify the employee by name and organizational segment. Official mailing addresses of the SYSMANAGER. are in the Department of Defense directory in the appendix to the DLA systems notice. For personal visits to the SYSMANAGER, the individual should provide some acceptable identification, such as activity identification card or driver's license.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors or team leaders.

Systems exempted from certain provisions of the act:

None

S233.20DLA-L

System name:

233.20 Data Processing Project Control Assignment and Machine Utilization

System location:

System may exist at all Defense Logistics Agency (DLA) Primary Level Field Activities (PLFAs), Data Systems Automation Office (DSAO) and Systems Division, Assistant Director Plans, Programs, and Systems, Headquarters DLA.

Categories of individuals covered by the system:

This system may contain information pertaining to all civilian personnel assigned to or performing duties in a DLA data processing organization.

Categories of records in the system:

The basic records within the system contain information on the work performed by personnel. This may include total number of hours worked on a project with an expected completion date. On operational projects, personnel time may be accumulated to show the amount of time spent on a particular project. This information can be for a specific incident, week or month. Also data on equipment usage and volume of production.

Authority for maintenance of the system:

40 U.S.C., Sec F 59, Procurement, Maintenance, Operation, and Utilization of Automatic Data Processing Equipment

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

These reports are used for the internal management of the Automated Data Processing (ADP) Divisions' resources, both for personnel and equipment usage. They are used to evaluate progress on uncompleted projects, work accomplished on an accumulated basis and may be used in forecasting the capability for acceptance for additional work projects, and in evaluating individual job performance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The basic updated data is contained on computer reading-storage media and printouts.

Retrievability:

Information may be retrieved by employee number, name, day and work project or equipment type.

Safeguards:

Records are filed in an area accessible only by DLA personnel.

Retention and disposal:

Retain five years or when obsolete.

System manager(s) and address:

Chief of Data Processing, DLA PLFAs; Chief of DSAO; and Chief of Systems Division, Assistant Director Plans, Programs, and Systems, Headquarters, DLA.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and the month or months in which the individual engaged in data processing work. Official mailing addresses are contained in the Department of Defense directory in the appendix to the DLA systems notice.

Record access procedures:

Individual may contact SYSMANAGER for access procedure.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals assigned to the data processing organization.

Systems exempted from certain provisions of the act:

None

S243.30DLA-K

System name:

243.30 Complaints

System location:

Staff Director, Civilian Personnel, Headquarters Defense Logistics Agency (HQ DLA), and primary level field activities (PLFAs).

Categories of individuals covered by the system:

DLA Civilian and military personnel, and former personnel, contractor employees, union spokesmen, and other individuals and organizations who have presented complaints to the President, Members of Congress, Secretary of Defense, Director of Defense Logistics Agency (DLA), or other offical which have been referred to Staff Director of Civilian Personnel, Headquarters DLA, for response, action or information.

Categories of records in the system:

Case files concern complaints to the President, Members of Congress, Secretary of Defense, Director of Defense Logistics Agency and Staff Director for Civilian Personnel, Headquarters Defense Logistics Agency. These include letters, telegrams, reports, statements of witnesses, input from staff elements and field activities, and related and supporting papers regarding specific complaint.

Authority for maintenance of the system:

5U.S.C. 552; E.O. 11491; Department of Defense Directive 5400.4, 20 February 1971 and titled: Provision of Information to Congress; and Department of Defense Directive 5105.22, titled: Defense Logistics Agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: Information is collected in order to base reply to complaint and to determine need for, and course of action to be taken regarding complaint.

Information is used by: Agency Director and staff, field Commanders, Managers and supervisors in replying to additional inquiries and for bringing to attention of higher level Management, when appropriate.

Information is used by complainant for his own purpose. Information is furnished to individuals or organizations who wrote to DLA on behalf of the complainant and who use it to respond to the complainant, or for other related purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and a log book.

Retrievability:

Complaints to the President and Members of Congress are filed alphabetically by last name of individual or employee or by DLA activity name. Employee group complaints are filed under the activity where originated. Union or Civil Rights organization complaints, complaints to the Secretary of Defense and to the Director of DLA are filed under complaints in one folder, or by activity name.

Individuals can be located within activity files.

Safeguards:

Records are maintained in locked filing cabinets in areas accessible only to Agency personnel.

Retention and disposal:

Records are retained in active file until end of calendar year and held one to three additional years in inactive file and subsequently retired to Federal Records Center. After a total of ten years records are destroyed.

System manager(s) and address:

Staff Director, Civilian Personnel, HQ DLA, and Civilian Personnel Officers, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name, the name of any DLA activity involved, and general nature of complaint individual believes to be filed in this system.

Record access procedures:

Written requests for information should be addressed to the SYSMANAGER and contain the full name, current address and telephone number of the individual, and the general nature of complaint individual believes to be filed in this system. For personal visits, individual should also be able to provide some acceptable identification, that is, drivers license, work identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel office of employee's activity, U.S. Civil Service Commission, Agency staff elements, other Federal Agencies, DLA activities or other parties that may have information pertinent to specific complaint, or an interest in the complaint.

Systems exempted from certain provisions of the act:

None

S252.50 DLA-G

System name:

252.50 Claims & Litigation, other than Contractual

System location:

Primary System--Case files on claims or potential claims against the Government, law suits and potential law suits arising from the non-contractual operation of the Defense Logistics Agency (DLA); Office of Counsel, Headquarters, DLA. Decentralized segments--corresponding files at Offices of Counsel, DLA Field Activities.

Categories of individuals covered by the system:

Employees, groups of employees, members of the general public and public interest organizations.

Categories of records in the system:

Letters from individuals and/or other attorneys, Agency or other investigative reports, witness statements, complaints, pleadings and other court documents, litigation reports, working papers and drafts; documentary and physical evidence.

Authority for maintenance of the system:

These files are created and maintained pursuant to the direction of the Attorney General of the United States under the authority contained in Chapter 31, Title 28, of the United States Code, The Attorney General.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in settlement of claims or lawsuits. Information is used in the defense and prosecution of law suits involving DLA. Information is used by Government attorneys in this Agency, individual claimants or litigants or their representatives, the Department of Defense, the Department of Justice, and other Executive agencies as appropriate and the General Accounting Office in the conduct of litigation and administrative settlement of claims.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or card index files.

Retrievability:

Filed alphabetically by the name of the litigant and/or by year.

Safeguards:

Records are maintained in areas accessible only to Agency personnel.

Retention and disposal:

Files are destroyed ten years after final disposition of claim.

System manager(s) and address:

Counsel, Headquarters, DLA; Counsel, DLA Field Activities

Notification procedure:

Written requests for information shall be directed to the SYSMANAGER. Request must contain name of litigant, year of incident, and should contain court case number in order to insure proper retrieval in those situations where a single litigant has more than one case with the Agency.

Record access procedures:

Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone number of the individual.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination may be obtained from the SYSMANAGER.

Record source categories:

Agency investigation and legal discovery under the Federal Rules of Civil Procedure.

Systems exempted from certain provisions of the act:

None

S253.10 DLA-G

System name:

253.10 Invention Disclosures

System location:

Files of Patent Counsel, Defense Logistics Agency, DLA-G

Categories of individuals covered by the system:

Employees and military personnel assigned to DLA who have submitted invention disclosures to DLA-G

Categories of records in the system:

Files documenting invention disclosures and investigation as to patentability thereof.

Authority for maintenance of the system:

E.O. 10096, Jan. 23, 1950 as amended by E.O. 10930, Mar. 24, 1961 Defense Logistics Procurement Regulation, 9-000.50.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by DLA Patent Counsel for determinations regarding acquisition of patents and rights of inventors. Information may be referred to other Government agencies or to non-Government personnel (including contractors or prospective contractors) having an identified interest in a particular invention and the Government's rights therein.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files.

Retrievability:

Filed by names of inventors.

Safeguards:

Accessible only to DLA personnel.

Retention and disposal:

Destroyed 26 years after file is closed.

System manager(s) and address:

Counsel, DLA-G.

Notification procedure:

Direct information requests to SYSMANAGER.

Record access procedures:

Official mailing address of the SYSMANAGER IS Office of Counsel, Defense Logistics Agency. Written requests should include full name, current address and telephone numbers of requestor. For personal visits, each individual shall provide acceptable identification, e.g., driver's license or identification card.

Contesting record procedures:

This Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA Patent Counsel's investigation of published and unpublished records and files both within and without the Government, consultation with Government and non-Government personnel, information from other Government agencies and information submitted by Government officials or other persons having a direct interest in the subject matter of the file.

Systems exempted from certain provisions of the act:

None

S253.30DLA-G I

System name:

253.30 Royalties

System location:

Files of Patent Counsel, Defense Logistics Agency DLA-G

Categories of individuals covered by the system:

Individuals and firms to whom patent royalties are paid by Defense Logistics Agency contractors

Categories of records in the system:

Reports from DLA procurement centers of patent royalties submitted pursuant to Armed Services Procurement Regulation under Report (ASPR) forwarded to Defnse Logistics Agency Headquarters, Office of Council for approval, and included in pricing of respective contracts.

Authority for maintenance of the system:

10 U.S. Code 2304(g) DLPR 9-110 ASPR 9-110;

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Review by DLA Patent Counsel for approval of royalties on continuing basis. Information may be referred to other Government agencies or to non-Government personnel (including contractors or prospective contractors) having an identified interest in the allowance of royalties on DLA contracts.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files.

Retrievability:

Filed by patent number. From numbers, names of inventors and patent owners are retrievable.

Safeguards:

Accessible only to DLA personnel.

Retention and disposal:

Destroyed after 26 years.

System manager(s) and address:

Counsel, DLA-G.

Notification procedure:

Direct information requests to SYSMANAGER.

Record access procedures:

Official mailing address of the SYSMANAGER IS Office of Counsel, Defense Logistics Agency. Written requests should include full name, current address and telephone numbers of requestor. For personal visits, each individual shall provide acceptable identification, e.g., driver's license or identification card.

Contesting record procedures:

This Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA Patent Counsel's investigation of published and unpublished records and files both within and without the Government, consultation with Government and non-Government personnel, information from other Government agencies and information submitted by Government officials or other persons having a direct interest in the subject matter of the file.

Systems exempted from certain provisions of the act:

None

S253.30DLA-G 2

System name:

253.30 Patent Licenses and Assignments

System location:

Files of Patent Counsel, Defense Logistics Agency (DLA), DLA-G.

Categories of individuals covered by the system:

Individuals and firms which have granted patent licenses or assignments to DLA.

Categories of records in the system:

Files including patent license and assignment agreements and accounting records indicating basis for Government payment of royalties during life of agreements.

Authority for maintenance of the system:

10 U.S. Code 2386 Armed Services Procurement Regulation (ASPR) 9, Part 4; Defense Logistics Procurement Regulation (DLPR) 9-401.50

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by DLA Patent Counsel for acquisition and administration of patent license and assignment agreements. Information may be referred to other Government agencies or to non-Government personnel (including contractors or prospective contractors) having an identified interest in the potential or actual infringement of particular patents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files.

Retrievability:

Filed by name of individual or firm granting rights.

Safeguards:

Accessible only to DLA personnel.

Retention and disposal:

Destroyed 26 years after file is closed.

System manager(s) and address:

Counsel, DLA-G.

Notification procedure:

Direct information requests to SYSMANAGER.

Record access procedures:

Official mailing address of the Sysmanager is Office of Counsel, Defense Logistics Agency. Written requests should include full name, current address and telephone numbers of requestor. For personal visits, each individual shall provide acceptable identification, e.g., driver's license or identification card.

Contesting record procedures:

This Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA Patent Counsel's investigation of published and unpublished records and files both within and without the Government, consultation with Government and non-Government personnel, information from other Government agencies and information submitted by Government officials or other persons having a direct interest in the subject matter of the file.

Systems exempted from certain provisions of the act:

None

S253.40DLA-G

System name:

253.40 Patent Infringement.

System location:

Files of Patent Counsel, Defense Logistics Agency, DLA-G

Categories of individuals covered by the system:

Individuals and firms involved in potential or actual claims or litigation against Government for infringement of patents.

Categories of records in the system:

Investigative files relating to patentability and enforceability of asserted patents and procurement of accused items.

Authority for maintenance of the system:

10 U.S.Code 2386; U.S.Code 2356; 28 U.S.Code 520; 28 U.S.Code 1498; 35 U.S.Code 181-188; and 35 U.S.Code 286. Armed Services Procurement Regulation (ASPR)9, Part 4; Defense Logistics Procurement Regulation (DLPR) 9-401.50.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by DLA Patent Counsel for action, determinations or recommendations regarding disposition of claims or litigation by DLA, Military Departments or Department of Justice. Information may be

referred to other Government agencies or to non-Government personnel (including contractors or prospective contractors) having an identified interest in the potential or actual infringement of particular patents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper Records in file folders and card index files.

Retrievability:

Filed by name of claimant or litigant.

Safeguards:

Accessible only to DLA personnel.

Retention and disposal:

Destroyed 26 years after file is closed.

System manager(s) and address:

Counsel, DLA-G.

Notification procedure:

Direct information requests to Sysmanager.

Record access procedures:

Official mailing address of the SYSMANAGER IS Office of Counsel, Defense Logistics Agency. Written requests should include full name, current address and telephone numbers of requestor. For personal visits, each individual shall provide acceptable identification, e.g., driver's license or identification card.

Contesting record procedures:

This Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA Patent Counsel's investigation of published and unpublished records and files both within and without the Government, consultation with Government and non-Government personnel, information from other Government agencies and information submitted by Government officials or other persons having a direct interest in the subject matter of the file.

Systems exempted from certain provisions of the act:

None

S255.01 DLA-G

System name:

255.01 Fraud & Irregularities

System location:

Primary System--Case files on actual or suspected fraud, criminal conduct and antitrust violations which arise from procurement, or the disposal of surplus property, or the administration of contracts by any operation of the Defense Logistics Agency (DLA): OFFICE OF Counsel, Headquarters, DLA. Decentralized segments--corresponding files at Offices of Counsel for field activities

Categories of individuals covered by the system:

Any individual or group of individuals or other entity, involved in or suspected of being involved in any fraud, criminal conduct or antitrust violation relating to DLA procurement, property disposal or contract administration.

Categories of records in the system:

Investigative reports, complaints, pleadings and other court documents, litigation reports, working papers, documentary and physical evidence, contractor suspensions and debarments.

Authority for maintenance of the system:

These files are created and maintained pursuant to the direction of the Attorney General of the United States under the authority contained in Chapters 31 and 32, Title 28, of the United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in the investigation and prosecution of criminal or civil actions involving fraud, criminal conduct and antitrust violations and is used in determinations to suspend or debar individuals or other entities from DLA procurements and sales.

Information may be referred to and used by Federal investigators and Government attorneys in this Agency, the Department of Defense, the Department of Justice, and other Executive agencies as appropriate.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files.

Retrievability:

Filed alphabetically by the name of the subject individual or other entity.

Safeguards:

Records are maintained in areas accessible only to Agency personnel.

Retention and disposal:

Records are destroyed ten years after all aspects of the case are closed.

System manager(s) and address:

Counsel, Headquarters, DLA; DLA Field Activity Counsels

Notification procedure:

Written requests for information shall be directed to the SYSMANAGER. Requests must contain name of subject and sufficient identification of the incident in order to insure correct retrieval.

Record access procedures:

Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone number of the individual.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the Sysmanager.

Record source categories:

Federal, State and local investigative agencies; other federal agencies; DLA employees; and individuals.

Systems exempted from certain provisions of the act:

None

S257.10 DLA-G

System name:

257.10 Standards of Conduct

System location:

Decentralized system--Office of Counsel, Headquarters, Defense Logistics Agency, DLA-G, Standard of Conduct Certification for personnel of Headquarters Counsel's Office, investigated incidents of violation of standards of conduct by Headquarters, DLA employees, reports by DLA field activities of violations of standards of conduct and Statements of Employment and Financial Interests (DD 1555) on Headquarters, DLA employees and Commanders, Deputy Commanders, and Counsels of Primary Level Field Activities (PLFAs). Other DD 1555s required in the PLFA and initial reports of violations of standards of conduct on PLFA employees are maintained at the DLA Field Activity Office of Counsel Standard of Conduct Certifications are maintained in each Headquarters and PLFA Primary Staff Elements

Categories of individuals covered by the system:

Includes DLA employees, General Schedule 13s and above, and Lieutenant Colonel, Commander and above, involved in approving awards for contracts or contractor audits (Defense Logistics Agency Regulation 5500.1, Standards of Conduct Regulations) or any employee of DLA involved in potential violation of standards of conduct, e.g., acceptance of gratuities, conflict of interests.

Categories of records in the system:

Includes semi-annual certification that Standard of Conduct Regulations have been read, may include DD Form 1555s or allegation of a violation of standards of conduct, investigatory reports by the Government, recommendations and determinations as to whether a violation of the standards of conduct occurred and what sanction may be appropriate and/or was imposed.

Authority for maintenance of the system:

Executive Order 11222 prescribing standards of ethical conduct for Government officers and employees.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by Counsel's Office in making determinations to preclude Government employees involved in procurement or contractor audit decisions from making determinations in areas where such decisions might be or appear to be in conflict with personal interests. Information is used by Counsel's Office for the purpose of determining if DLA personnel are observing the highest standards of business ethics. Records may be referred to the Department of Justice for possible use in prosecution action or forwarded to Director, DLA or DLA Field Activity Commanders for appropriate action

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Records are retrievable by surname of employee or by date.

Safeguards:

Records are retained in areas accessible only to authorized personnel in Office of Counsel or others as determined by Counsel, DLA. DD Forms 1555 are retained in locked file cabinets.

Retention and disposal:

Incidents of violation of standards of conduct, indefinitely; DD 1555s, until employee leaves employment of DLA.

System manager(s) and address:

Office of Counsel, Headquarters, Defense Logistics Agency DLA-G; Counsel, PLFA.

Notification procedure:

Requests for information should be addressed to the SYSMANAGER. Individual requesting information should state name, subject matter of information requested, and date of form or (alleged) violation.

Record access procedures:

SYSMANAGER can provide assistance. Official mailing address is in the DoD Directory in the appendix to the DLA Systems Notice.

Contesting record procedures:

The Agency's rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Individuals, other employees, and non-employees having knowledge of the alleged violation of the standards of conduct.

Systems exempted from certain provisions of the act:

None

S259.05DLA-G

System name:

259.05 Legal Assistance

System location:

Decentralized System at Office of Counsel, Headquarters, Defense Logistics Agency, and at Primary Level Field Activites (PLFAs).

Categories of individuals covered by the system:

Authorized military personnel and dependants who have requested legal assistance.

Categories of records in the system:

Wills, Powers of Attorney and other legal documents prepared in response to requests for legal advice. Also background information supplied by requester to prepare the documents.

Authority for maintenance of the system:

5 USC 301, 302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Documents are used to provide copies for individuals requesting the assistance, their representative or where otherwise appropiate members of their immediate families. Documents may also be used as models or examples for preparing future documents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or card files.

Retrievability:

Filed by surname of requester.

Safeguards:

Attorney operating folders are kept in a file cabinet or other storage devises accessible only to authorized personnel of the Office of Counsel or as determined by Counsel.

Retention and disposal:

Destroy 2 years after completion of case, except documents withdrawn for use as precedents may by held by topics until no longer required for references purposes.

System manager(s) and address:

Office of Counsel, Defense Logistics Agency, DLA-G, and Offices of Counsel, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and, if appropriate, date assistance was requested.

Record access procedures:

The agency's rules for access to records by the individual concerned may be obtained from the SYSMANAGER.

Contesting record procedures:

The Agency's rules for contesting contents and applealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Individual requesting Assistance Systems exempted from certain provisions of the Act: None.

Systems exempted from certain provisions of the act:

None

S270.10DLA-K

System name:

270.10Request for Assistance and Information

System location:

Staff Director, Civilian Personnel, Headquarters Defense Logistics Agency (HQ DLA), and primary level field activities (PLFAs).

Categories of individuals covered by the system:

Civilian and military personnel, former employees, contractor employees, attorneys, and other individuals or organizations who have requested assistance and information from the President, Members of Congress, Secretary of Defense, Director of Defense Logistics Agency (DLA) or other officals, which have been referred to the Staff Director, Civilian Personnel, Headquarters DLA, for response, action or information.

Categories of records in the system:

Case files include requests for assistance and information to the President, Members of Congress, Secretary of Defense, Director of Defense Logistics Agency and Staff Director for Civilian Personnel, HQ DLA These include letters, responses, reports statements and papers related to basic request.

Authority for maintenance of the system:

5 USC 552, Public Information Department of Defense Directive 5400.4, 20 Februrary 1971 and titled: Provisions of Information to Congress and Department of Defense Directive 5105.22, titled: Defense Logistics Agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: Information is maintained for replying to additional inquiries and as background for similar situations, and for determining appropriate course of action.

Information is used by: Agency Director and his staff, field Commanders, managers and supervisors for determining areas needing additional emphasis or corrective action to clarify misunderstandings, adjust inadequacies, and solve or prevent problems. Members of Congress, U. S. Civil Service Commission, and other Federal Agencies, attorneys, Civil Rights organizations, and parties involved in Veteran's benefits and training and other matters affecting DLA employees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and log book.

Retrievability:

Alphabetically by last name of individual involved with or requesting information and assistance, or by DLA field activity name, when requests are from groups.

Safeguards:

Records are maintained in locked filing cabinets in areas accessible only to Agency personnel.

Retention and disposal:

Records are retained in active file until end of calendar year, held one to three additional years in an inactive file, and subsequently are destroyed.

System manager(s) and address:

Staff Director, Civilian Personnel, HQ DLA; Civilian Personnel Officers, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name, the name of any DLA activity that is involved, and the general nature of the

request for assistance or information individual believes may be filed in this system.

Record access procedures:

Written requests for information should be addressed to the SYSMANAGER and contain the full name, current address and telephone number of the individual, the name of any DLA activity involved, and the general nature of the request for assistance or information individual believes may be filed in this system. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, work identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel office of employee's activity, U. S. Civil Service Commission, Federal Agencies involved and other persons or organizations that could assist in final solution of the matter.

Systems exempted from certain provisions of the act:

None

S270.30DLA-B

System name:

270.30 Biography File

System location:

Office of the Special Assistant for Public Affairs, Headquarters Defense Logistics Agency (DLA) and Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

Civilian and military personnel currently and formerly assigned to DLA and other persons affiliated with DLA and the Department of Defense (DoD).

Categories of records in the system:

Biographical information provided by the individual.

Authority for maintenance of the system:

5 U.S.C, Sec 301, 302

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained as background material for news and feature articles covering activities, assignments, retirements, and reassignments of key DLA commanders and executives, annual visits or other activities by persons affiliated with DLA or DoD. Information is used by DLA public affairs personnel to prepare news and feature articles with the knowledge and consent of the individual concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and/or card index file.

Retrievability:

Filed alphabetically by last name

Safeguards:

Records are maintained in an area accessible only to DLA Public Affairs Office personnel.

Retention and disposal:

Files are retained in current files area and destroyed 2 years after retirement, transfer or death of DLA personnel or termination of affiliation with DLA or DoD by other persons.

System manager(s) and address:

Special Assistant for Public Affairs, DLA and Public Affairs Officers, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and employing activity.

Record access procedures:

Official mailing addresses of SYSMANAGER are in the Department of Defense Directory in the appendix to the DLA systems notice. Written request for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is driver's license, or employing office identification.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individuals concerned on a strictly volunteer basis.

Systems exempted from certain provisions of the act:

None

S322.10DLA-LZ

System name:

Defense Manpower Data Center Data Base.

System location:

Primary location: W.R. Church Computer Center, Navy Postgraduate School, Monterey, CA 93940.

Back-up locations for processing: Air Force Data Services Center, Room 1D167, The Pentagon, Washington, D.C. 20330.

U.S. Army Management Systems Support Agency, Room BD972, The Pentagon, Washington, D.C. 20310.

National Military Command Systems Support Center, Room BE685, The Pentagon, Washington, D.C. 20331.

Back-up files maintained at two offices of the Defense Manpower Data Center, Seventh Floor, 300 N. Washington St., Alexandria, VA 22314 and 2nd Floor, 550 Camino El Estero, Monterey, CA 93940.

Selected historic files are maintained at Air Force Data Services Center, Room 1D167, The Pentagon, Washington, D.C. pursuant to court order in IBM anti-trust case. These files will be withdrawn from current location when legally permissible.

Decentralized segments-military personnel research centers, and military personnel centers of the services; selected civilian contractors with research contracts in manpower area; other Federal agencies.

Categories of individuals covered by the system:

All officer and enlisted personnel who served on active duty from July 1, 1968 and later; or who have been a member of a reserve component since July 1975; or are retired military; participants in Project 100,000 and Project Transition and the evaluation control groups for these programs; all individuals examined to determine eligibility for military service at an Armed Forces Entrance and Examining Station from July 1, 1970, and later; DoD civilian employees or civilian employees separated since January 1, 1971; all veterans who have utilized Vietnam-era GI Bill education and training entitlements, who visited a State Employment Service office since July 1,1971, or who participated in a Department of Labor special training program since July 1, 1971; all individuals who ever participated in an educational program sponsored by the U.S. Armed Forces Institute, all individuals who participated in the Armed Forces Vocational Aptitude Testing Programs at the high school level since September 1969, individuals who responded to various paid advertising campaigns seeking enlistment information since July 1, 1973; participants in the DHEW, Office of Education and Longitudinal Survey, individuals responding to Recruiting Advertisements since January 1978.

Categories of records in the system:

Name, Service Number, Selective Service Number, Social Security Account Number, demographic information such as home town, age, sex, race, and educational level; civilian occupational information, military personnel information such as rank, length of service, military occupation; aptitude scores, post-service education, training, and employment information for veterans; participation in various in-service education and training programs, military hospitalization records.

Authority for maintenance of the system:

10 U.S.C. 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system of records is to provide a longitudinal statistical analysis capability for assessing military manpower trends and evaluation programs impacting of military personnel, potential enlistees, and veterans.

Defense Manpower Data Center-used to analyze accession patterns and trends, promotion and occupation patterns and trends, loss patterns and trends, qualification rates, effectiveness of recruiting programs, participation in education and training programs, force characteristics, post-service experiences of veterans, evaluation of military special pays and bonuses; evaluation of special programs affecting military personnel; to select sample population for surveys; to provide statistical data to OMB, GAO, the Military Services, DoD civilian contractors, educational institutions and other Federal agencies.

Personnel Research and Personnel Management activities of the Military Services-uses are same as those specified above.

Veterans Administration, Management Sciences Staff, Reports and Statistics Service, Office of the Comptroller-used to select sample for surveys asking veterans about the use of veterans benefits and satisfaction with VA services, and to validate eligibility for VA benefits.

Office of Research and Statistics, Social Security Administration-used for statistical analyses of impact of military service and use of GI Bill benefits on long term earning.

DoD Civilian Contractors-used by contractors preforming research on manpower problems for statistical analyses.

Aggregate data and/or individual records contained in the record system may be transferred to other Federal agencies having legitimate use for such information and applying appropriate safeguards to protect data so provided.

Records may be disclosed to the Civil Service Commission concerning pay, benefits, retirement deductions; and other information necessary for the Commission to carry out its Government-wide personnel management functions.

Any record contained in the system of records may be transferred to any other component of the Department of Defense having the need-to-know in the performance of official business.

Name and address information of former military personnel obtained from the Veterans Administration or the Military Department may be released to a number of DoD Components for use in attempting to recruit and reenlist prior service personnel through direct contact methods. These components are as follows: U.S. Army Recruiting Command; U.S. Army Forces Command; Navy Recruiting Command: Chief of Naval Personnel; Chief of Naval Reserve; U.S. Air Force Recruiting Service; U.S. Air Force Tactical Air Command; Headquarters Air Force Reserve; National Guard Bureau; Headquarters, U.S. Marine Corps; District Directors, U.S. Marine Corps; Commanding General, 4th Marine Division; Commanding General, 4th Marine Air Wing; Commandant, U.S. Coast Guard.

Information on the name, rank, social security accounting number, duty station, birth date, retirement date, and retirement annuity may be disclosed to the Department of Health, Education, and Welfare (DHEW) for the following purposes:

To the Office of Education, DHEW, for the purpose of identifying individuals who appear to be in default on their guaranteed student loans so as to permit the DHEW to take action, where appropriate, to accelerate recoveries of defaulted loans.

To the Bureau of Supplemental Security Income, Social Security Administration, DHEW, in order to verify and adjust as necessary payments made to active and retired military members under the supplemental security income program.

To the Office of the Inspector General, DHEW, for the purpose of identifying and investigating DOD employees (military and civilian) who may be improperly receiving funds under the Aid for Families of Dependent Children (AFDC) program.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic computer tape.

Retrievability:

Retrievable by name, SSAN, age, occupation, or any other data element contained in system.

Safeguards:

Primary location-at W.R. Church Computer Center, tapes are stored in a locked cage in machine room, which is a controlled access area; tapes can be physically accessed only by computer center personnel and can be mounted for processing only if the appropriate security code is provided.

At back-up locations in Alexandria, VA and Monterey, CA tapes are stored in rooms protected with cypher locks, buildings are locked after hours, and only properly cleared and authorized personnel have access.

The Air Force Data Services Center, the U.S. Army Management Systems Support Agency, and the National Command Systems Support Center are all TOP SECRET facilities.

Retention and disposal:

Files constitute a historical data base and are permanent.

System manager(s) and address:

Deputy Chief, Defense Manpower Data Center (DMDC), 550 Camino El Estero, Monterey, CA 93940.

Notification procedure:

Information may be obtained from: Deputy Chief, Defense Manpower Data Center, 550 Camino El Estero, Montery, CA 93940. Telephone: Area Code 408/646-2951.

Record access procedures:

Requests from individuals should be addressed to Deputy Chief, Defense Manpower Data Center (DMDC), 550 Camino El Estero, Montery, CA 93940.

Written requests for information should contain the full name, Social Security Account Number, date of birth, and current address and telephone number of the individual.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license, or military or other ID card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSTEM MANAGER.

Record source categories:

The Military Services, the Veterans Administration, the Office of Education of the Department of HEW, from individuals via survey questionnaires, the Department of Labor, the Civil Service Commission.

Systems exempted from certain provisions of the act:

None

S322.15 DLA-M

System name:

322.15 Information Military Personnel Records

System location:

Staff Director, Military Personnel, HQ Defense Logistics Agency (DLA), (DLA-M) Heads of Primary Level Field Activities (PLFAs)

Categories of individuals covered by the system:

Active duty and reserve personnel assigned to DLA

Categories of records in the system:

Incident reports, general and special orders, leave slips, qualification records, applications for ID Cards, security clearance, and miscellaneous correspondence.

Authority for maintenance of the system:

10 USC 501 et seq. Personnel, 5USC 302(b) (1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the records is to accumulate documents relating to the military member while assigned to DLA. The records are used by the Staff Director and his staff and heads of PLFAs and their staff for notification of assignments, career briefs, assignment orders, promotion data, personal data, awards and decorations, training data, recommendations for disciplinary action, review procedures instituted to control incidents, and advising the Director of incidents.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Retained in file folders

Retrievability:

Filed alphabetically by last name.

Safeguards:

Locked in file cabinets within areas accessible only to authorized personnel.

Retention and disposal:

Retained during individuals assignment to DLA and destroyed within 1 year of departure.

System manager(s) and address:

Staff Director, Military Personnel, HQ DLA and Heads of PLFAs

Notification procedure:

The requestor should send a by name request to Staff Director, Military Personnel, HQ DLA and both SYSMANAGER if assigned to a PLFA. The requestor may visit the office of either or both SYSMANAGER's with appropriate identification

Record access procedures:

Contact the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Special orders, service records, in/out processing documents, and computer listings.

Systems exempted from certain provisions of the act:

None

S322.20DLA-LZ

System name:

Reenlistment Eligible File (RECRUIT).

System location:

W. R. Church Computer Center, Naval Postgraduate School, Monterey, CA 93940.

Back-up file-Department of Defense Manpower Research and Data Analysis Center, 7th Floor, 300 N. Washington St., Alexandria, VA 22314.

Back-up file-Department of Defense Manpower Research and Data Analysis Center, 550 Camino El Estero, Monterey, CA 93940.

Categories of individuals covered by the system:

Former enlisted personnel of the military services who separated from active duty during the immediately preceding forty-eight months and who are eligible for immediate reenlistment.

Categories of records in the system:

Social Security Account Number, Name, Service, Date of Birth, and Date of Separation.

Authority for maintenance of the system:

10 U.S.C. 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the system is to assist recruiters in reenlisting prior-service personnel.

Department of Defense Manpower Research and Data Analysis Center, used to provide to recruiters in the military service and the Coast Guard information on individuals eligible for immediate reenlistment; for statistical analyses of prior-service reenlistment trends and of demographic characteristics of applicants for reenlistment; such analyses may require merging with other record systems.

Any individual records contained in the system might be transferred to any component of the Department of Defense having a need to know in the performance of official business.

Any record may be disclosed to law enforcement or investigatory authorities for investigation and possible criminal prosecution, civil court action, or regulatory order.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Most recent thirty-six months separation stored on magnetic disc; full forty-eight months stored on magnetic tape.

Retrievability:

Retrievable by Social Security Account Number.

Safeguards:

DISC File is protected by password access and hard-wire system. Alexandria, Virginia location has tape storage areas in locked room accessible only to authorized personnel; building is locked after hours.

Monterey, California location has tape storage area in locked room accessible only to authorized personnel; building is locked after hours.

Recruiters making telephone inquiries must have valid recruiter identification and call back number.

Retention and disposal:

Records more than forty-eight months old are purged from the system.

System manager(s) and address:

Director, Manpower Research and Data Analysis Center, 550 Camino El Estero, Monterey, California 93940.

Notification procedure:

Information may be obtained from: Manager, RECRUIT system, Manpower Research and Data Analysis Center, 300 N. Washington St., 7th Floor, Alexandria, VA 22314, Telephone: Area Code 703/325-0490.

Record access procedures:

Requests from individuals should be addressed to: Manager, RECRUIT System, Manpower Research and Data Analysis Center, 300 N. Washington Street, Alexandria, VA 22314.

Written request for information should contain the full name, current address, telephone number, Social Security Account Number, and date of separation of the individual.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSTEM MANAGER.

Record source categories:

The data contained in the system are obtained from the Army, Navy, Air Force, Marine Corps, and Coast Guard.

Systems exempted from certain provisions of the act:

None

S322.35 DLA-M

System name:

322.35 Officer/Enlisted Evaluation Report File and File Summary

System location:

Staff Director, Military Personnel, HQ Defense Logistics Agency (DLA) (DLA-M)

Categories of individuals covered by the system:

All military personnel currently assigned to the Defense Logistics Agency (DLA)

Categories of records in the system:

The system contains the name, social security number, grade, date of rank, unit of assignment, duty title, career specialty, appraisal of performance, estimate of potential value to the service, and promotion potential.

Authority for maintenance of the system:

10 USC 501 et seq. Personnel; 5 USC 302 (b)(1), DoD Directive 5105.22(IX)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to insure that continuous and consistent performance appraisals are prepared for each member. The files and summary are used by the Staff Director, Military Personnel and his staff to review consistency of performance, reliability of information, compliance with parent service terminology and regulations, prejudicial comments, grammar, misleading statements, accuracy of word picture, question abrupt changes in rating, observe trends, establish suspense dates, and statistical data.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and disc, computer printouts, and evaluation reports.

Retrievability:

Alphabetically by last name by officer and enlisted personnel.

Safeguards:

Maintained in areas accessible only to authorized personnel.

Retention and disposal:

The records are destroyed within one year after member departs from DLA

System manager(s) and address:

Staff Director, Military Personnel, HQ DLA

Notification procedure:

Written requests to the SYSMANAGER will contain the full name, social security number, and address. The requestor may visit the SYSMANAGER'S office and present the appropriate military identification card.

Record access procedures:

Contact the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice. Written requests will include a notarized statement attesting to the requestor's identity and the statement that 'I understand that knowingly or willingly seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars under the provisions of the Privacy Act of 1974.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER

Record source categories:

Officer/Enlisted Evaluation Report

Systems exempted from certain provisions of the act:

None

S322.45 DLA-M

System name:

322.45 Military Personnel Data Bank System

System location:

Staff Director, Military Personnel, HQ Defense Logistics Agency (DLA) (DLA-M) Heads of Primary Level Field Activities (PLFAs)

Categories of individuals covered by the system:

All military personnel currently assigned to the Defense Logistics Agency (DLA) and history records of those individuals previously assigned.

Categories of records in the system:

The categories of information contained in the system are organization, position, identification grade, service specialty, position title, special requirements, education requirements, geographic location, name, service, temporary date of rank, social security number, duty specialty, permanent grade, permanent date of rank, date assigned, date of rotation, remarks, primary specialty, job related experience, civilian education, military school, skill courses, date of birth, retirement date, separation or expiration of enlistment, and aero rating.

Authority for maintenance of the system:

10 USC 501 et. Seg., Personnel 5 USC S 302(B)(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to insure effective personnel/ career management for DLA and DLA military personnel. The printouts are used by the Staff Director and Deputy Staff Director, Military Personnel, the Chief and Assistant Chief, Assignments and Reserve Affairs Division and Staff Specialists of the Division. An extract printout of the specific PLFA is used by the Commander and his personal staff. The data bank is used to prepare the alphabetical roster, rotation roster, colonel roster, listings of specialty codes, service listings, functional listing, and advanced degree listing. These documents are used to accurately report data on the individual and position to which he is assigned, requisition replacements, select assigned personnel for higher level positions, provide assigned strength figures for OSD, and assist individual military personnel in their career management.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and disc, and computer paper printouts.

Retrievability:

Alphabetically by last name in Alpha Roster. This roster contains coded identification that indicates where the individual is assigned.

Safeguards:

Maintained in areas accessible only to authorized personnel.

Retention and disposal:

Printouts are held for one year and then retired to Federal Records Center. The computer tapes are held for three years and five years and the degaussed.

System manager(s) and address:

Staff Director, Military Personnel, HQ DLA

Notification procedure:

The name of the requestor should be sent to the SYSMANAGER. The requestor may visit the Office of the SYSMANAGER, and present the appropriate military ID Card.

Record access procedures:

Contact the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military Personnel records and Position Distribution Report

Systems exempted from certain provisions of the act:

None

S322.70 DLA-M

System name:

322.70 Reserve Affairs

System location:

Staff Director, Military Personnel, HQ Defense Logistics Agency (DLA) (DLA-M)

Categories of individuals covered by the system:

All Ready Reserve (Army, Air Force and Navy) personnel assigned to DLA Mobilization Designation (Mob Des) positions.

Categories of records in the system:

Individual reference/control card name, grade, SSAN, Service, career specialty, position title, date of birth, commission date, promotion date, release date, security clearance education, home address, & civilian occupation.

Authority for maintenance of the system:

10 USC 501et seq. Personnel 5 USC S 302 (b)(1), DoD Directive 5105.22 (IX).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the card is to have information readily available in the day to day operation of the Reserve Mobilization program. It is used by the Staff Director, his Deputy and the Reserve personnel specialists. Data is used in preparation of personnel actions such as reassignments, classification actions, promotions; scheduling and verifying active duty and inactive duty training

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Vertical card files

Retrievability:

Alphabetically by last name

Safeguards:

Maintained in area accessible only to authorized personnel

Retention and disposal:

Destroyed one year after individual departs DLA

System manager(s) and address:

Staff Director, Military Personnel, HQ DLA

Notification procedure:

The name of the requestor should be sent to the above SYSMANAGER. The requestor may visit the office of the SYSMANAGER and present the appropriate military ID Card.

Record access procedures:

Contact the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Data processing output from the Military Services

Systems exempted from certain provisions of the act:

None

S322-35DLA-LZ

System name:

Survey Data Base.

System location:

Primary Location-W.R. Church Computer Center, Naval Postgraduate School, Monterey, California 93940.

Decentralized locations for back-up files-Department of Defense, Manpower Research and Data Analysis Center, 7th Floor, 300 N. Washington St., Alexandria, Virginia 22314 and 2nd Floor, 550 Camino El Estero, Monterey, California 93940.

Categories of individuals covered by the system:

Individuals who selected at random for survey administration and who completed survey forms. Survey data is collected on a periodic basis. Current data were collected at selected Armed Forces Entrance and Examining Stations (AFEES), during September 1974, May 1975, or since January 1975; additional data were collected by Gilbert Youth Organization (civilian contractor) in nation-wide surveys during May or November 1973, or May or November 1974.

Categories of records in the system:

SSAN and responses to survey items dealing with attitudes toward the military.

Authority for maintenance of the system:

10 U.S.C. 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of the file is to sample attitudes toward enlistment in the military and determine reasons for enlistment decisions.

Manpower Research and Data Analysis Center-used to analyze trends in enlistment motivation, attitudes toward military service, attractiveness of various enlistment incentives; survey files are linked with military personnel inventory, gain, and loss files to statistically relate survey data to later advancement, attritions, and reenlistment patterns.

Any individual record in the system may be transferred to any component of the Department of Defense having the need to know in the performance of official business.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic Computer Tape

Retrievability:

Records can be retrieved by Service of accession, period of survey, race, sex, education level, or Social Security Account Number.

Safeguards:

Tapes stored at the primary location are kept in a locked storage cage in a controlled access area; tapes stored at the back-up locations are kept in locked storage areas in buildings which are locked after hours.

Retention and disposal:

Records are permanent. Survey answer sheets which are opscanned to create tape are destroyed after tape is created.

System manager(s) and address:

Director, Manpower Research and Data Anaylsis Center, 550 Camino El Estero, Monterey, California 93940.

Notification procedure:

Information may be obtained from: Chief, Market and Survey Research Division, Manpower Research and Data Analysis Center, 300 N. Washington St., 7th Floor, Alexandria, Virginia 22314, Telephone: Area Code 703/325-0490.

Record access procedures:

Requests from individuals should be addressed to: Chief, Market and Survey Research Division, Manpower Research and Data Analysis Center, 300 N. Washington St., Alexandria, VA 22314.

Written requests for information should contain the full name, Social Security Account Number, and current address and telephone number of the individual. In addition, the approximate date and location where the survey was completed should be provided.

For personal visits, the individual should be able to provide some acceptable identification such as driver's license or military or other ID card.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSTEM MANAGER.

Record source categories:

The survey information is provided by the individual; additional data which are linked to survey data as described in the routine uses section, are obtained from the military services.

Systems exempted from certain provisions of the act:

None

S330.15 DPSC-G

System name:

330.15 Authorization File

System location:

Office of Counsel (DPSC-G) Defense Personnel Support Center Bldg. 12, Wing g 2800 South 20th Street Philadelphia, PA 19101

Categories of individuals covered by the system:

All civilian personnel in the Office of Counsel, DPSC, who have ahd or currently have authorization to act in an officially appointed capacity.

Categories of records in the system:

DD Form 577, copies of special orders appointing individuals in various capacities, requests for special orders, letters and correspondence re various appointments of office personnel, DCTSC Form 1322, 'Delegation of Authority', DPSC directives.

Authority for maintenance of the system:

10 U.S.C. 125 DoD Directive 5105.22

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for purposes of determining which office personnel have had or currently have authorization to act in an officially appointed capacity. Information is used solely by office managers to insure that delegations of authority are properly handled and to maintain records in which capacity one or more office personnel are empowered to act.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed chronologically

Safeguards:

Records are maintained in a locked file drawer and are accessible only to office personnel.

Retention and disposal:

Records are maintained indefinitely and are reviewed annually to determine if the oldest records are still necessary.

System manager(s) and address:

Associate Counsel, DPSC, Philadelphia, PA

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name, Social Security Account Number and dates of employment at Office of Counsel, DPSC. Individual may visit Office of Counsel, DPSC, to obtain information on whether the system contains records pertaining to that individual.

Record access procedures:

Access may be had through the Office of Counsel, DPSC. Written requests for information should contain the full name, current address and telephone number of the individual. For personal visits, the individual should provide some acceptable identification, i.e., drivers license, employee identification card, etc.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Military personnel, Associate Counsel, DPSC, personnel in Office of Counsel.

Systems exempted from certain provisions of the act:

None

S330.50DPSC

System name:

330.50 Defense Personnel Support Center (DPSC) Civilian Personnel File

System location:

Office of Civilian Personnel, Management Assistance and Liaison Division, DPSC.

Categories of individuals covered by the system:

All current civilian personnel serviced by DPSC except those working for the Defense Subsistence Regions, the Subsistence Laboratory or the Orthopedic Footwear Clinic.

Categories of records in the system:

Name, Social Security Account Number (SSAN), sex, year of birth, veterans' status, retention grouping, service computation date, type of appointment, title, job number, supervisory status, service code, series, grade, competitive level code, organization, activity, Julian date, nature of action.

Authority for maintenance of the system:

5 U.S.C., Sec. 301, 302, E.O. 10561 and E.O. 9397.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This listing is used only by the DPSC Office of Civilian Personnel. Information is used for maintenance and update of retention registers and for one-time management information reports.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, computer paper printouts stored in filing cabinet.

Retrievability:

Individual information is accessed by SSAN.

Safeguards:

Magnetic tape is kept in a tape library which is accessible only to authorized personnel. Computer personnel who process the reports are appropriately cleared.

Computer paper records are maintained in areas accessible only to Office of Civilian Personnel employees. Personnel Office is in building which is under security guard surveillance during non-duty hours.

Retention and disposal:

A new listing is prepared monthly; the previous one is destroyed at that time.

Magnetic tape records are kept for 60 days, then destroyed.

System manager(s) and address:

Chief, Management Assistance and Liaison Division, Office of Civilian Personnel, DPSC.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER and must contain full name and SSAN. Official mailing address is in the Department of Defense directory in the appendix to the DLA systems notice.

Record access procedures:

Assistance may be obtained from the SYSMANAGER.

Written requests for information should contain the full name, current address and telephone number of the individual. For personal visits, the individual should be able to provide some acceptable identification, such as driver's license, employing office identification card, and give some verbal information that could be verified by examining the individual's entry on the listing.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Standard Form 50's (Notification of Personnel Action) and annual position classification surveys.

Systems exempted from certain provisions of the act:

None

S330.60DCRT-E-Z

System name:

330.60 Dallas Internal Personnel Management Information System (DIPMIS)

System location:

Office of Civilian Personnel (DCRT-E), Defense Contract Administration Services Region (DCASR) Dallas.

Categories of individuals covered by the system:

DCASR Dallas Civilian Personnel who have been hired, separated or had an internal position change since 1 July 1973.

Categories of records in the system:

Contains a code for the type of personnel action; the name of the individual; the type of appointment on which the individual is serving; the month and year of the action; the series and grade from which the individual moved; the series and grade to which the individual moved; the year of birth; the organizations from which and to which the individual moved; the length of time taken to process the action in the Civilian Personnel Office; the number of months which the individual worked for DCASR Dallas (for separation actions only); and the supervisor's evaluation of the employee's overall effectiveness (for separation actions only).

Authority for maintenance of the system:

5 U.S.C. Sec. 301, 302, E.O. 10561, FPM Chapter 250, Subchapter 1-4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to provide operating management with reliable summary data on which to base manpower planning. A secondary purpose is to provide information for related planning purposes such as Upward Mobility, Equal Employment Opportunity (EEO) and Labor Management Relations.

Some information is provided from the file (normally in highly summarized form) to authorized external investigators such as grievance examiners, EEO complaint investigators, DLA Inspector General Teams.

Internal DCASR Dallas management uses this information to forecast type and number of hires; to evaluate staffing performance by the Civilian Personnel Office; to gather historical data such as number and kinds of promotions or reassignments and internal movements of the clerical workforce. Users external to DCASR Dallas receive information from it which is directly related to such purposes as the resolution of EEO complaints or grievances.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Records are maintained in the GE Mark III time-shared computer system, presumably on magnetic discs. Records for the second fiscal year preceding the current one are transferred to paper tape and stored in the DCASR Dallas Office of Civilian Personnel.

Retrievability:

Information in the system may be retrieved using any data element contained in the system. While it is possible to retrieve all of the information on a specific individual, this is not normally done. Information identifiable to a specific individual is accessed by name.

Safeguards:

Records can be accessed only by individuals who know the files structure and are familiar with the software required. In addition, access to the system requires use of an access code and password known only to selected individuals in the Office of Civilian Personnel.

Retention and disposal:

Records are retained in computer memory for no more than 24 months. Records from the second previous fiscal year and earlier are transferred to paper tape and stored in the Civilian Personnel Office. Records are destroyed when they pertain to the sixth previous fiscal year.

System manager(s) and address:

Civilian Personnel Officer, Office of Civilian Personnel, DCASR Dallas.

Notification procedure:

Individuals who desire to know if the system contains information on them should contact the SYSMANAGER, and should provide last name, dates of employment with DCASR Dalls, title, series and grade of current (or last) position held. An individual may visit the Office of Civilian Personnel to obtain information on whether the system contains records pertaining to that person. For personal visits, a current employee of the DCASR need only verbally identify himself or herself. Former employees need to provide positive identification (such as a driver's license) and the last Standard Form 50 (Notification of Personnel Action) from their employment at the DCASR.

Record access procedures:

Individuals may determine how to gain access to records by contacting the Civilian Personnel Officer, DCASR Dallas at the mailing address listed in the Department of Defense Directory in the appendix to the DLA system of records notice.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

All information in the system is taken from the employee's official personnel folder except that the appraisal of the value of employees separating from DCASR Dallas is provided by the immediate supervisor of the employee.

Systems exempted from certain provisions of the act:

None

S332.01DLA-KS

System name:

332.01 Employment Inquiries

System location:

Staffing and Employee Relations Division, Staff Director, Civilian Personnel, Headquarters, Defense Logistics Agency (HQ DLA); primary level field activities (PLFAs).

Categories of individuals covered by the system:

DLA civilian and military personnel, contractor employees, and other individuals or organizations on behalf of individuals who have forwarded employment inquiries to Members of Congress, Secretary of Defense, Director of Defense Logistics Agency (DLA), Staff Director for Civilian Personnel, or other official.

Categories of records in the system:

Case files include employment inquiries to Members of Congress, Secretary of Defense, Director of Defense Logistics Agency and Staff Director for Civilian Personnel, Headquarters Defense Logistics Agency and others which have been referred to Staff Director Civilian Personnel for response, action or information. These include statements of qualifications, letters, photographs, letters of appreciation and recommendation, certificates, ratings, eligibility forms and related papers concerning employment.

Authority for maintenance of the system:

5 U.S. Code, Sec. 301, 302, and E.O. 10561; Department of Defense Directive 5400.4 20 February 1971 and titled: Provisions of Information to Congress and Department of Defense Directive 5105.22, titled: Defense Logistics Agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: Information is maintained for purposes of replying to additional inquiries and follow up action.

Information is used by: Civilian personnel offices and other appropriate officials of DLA in order to determine qualifications and for giving proper consideration in the filling of vacancies. The civilian personnel office, when hiring applicant, uses information as part of the employee's permanent record. Members of Congress and other individuals or organizations who wrote to DLA on behalf of an individual and who use it to respond to the individual, or for other related purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and log book.

Retrievability:

Filed alphabetically by last name of individual submitting employment inquiry.

Safeguards:

Records are maintained in locked file cabinets in areas accessible only to Agency personnel.

Retention and disposal:

Records are retained in active file until end of calendar year and held one to three additional years in inactive file and subsequently retired to Federal Records Center. After a total of ten years records are destroyed.

System manager(s) and address:

Staff Director, Civilian Personnel, HQ DLA; Civilian Personnel Officers, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name.

Record access procedures:

Official mailing address of the SYSMANAGER is in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should be addressed to SYSMANAGER and contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, work identification card, and give some verbal information that could be verified with his case folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

No additional sources of information other than provided by individual involved, and other correspondence relating to the employment inquiry.

Systems exempted from certain provisions of the act:

None

S333.10 DLA-G

System name:

333.10 Attorney Personal Information and Applicant Files

System location:

Primary System--Office of Counsel, Headquarters, Defense Logistics Agency, DLA-G, holds personal information records of all DLA attorneys and applicants for DLA legal positions.

Decentralized segments--Office of Counsel, Primary Level Field Activities (PLFAs) hold personnel records for resident attorneys and applicants for positions.

Categories of individuals covered by the system:

All DLA attorneys, former DLA attorneys, and applicants for DLA legal positions.

Categories of records in the system:

Cover letters, resumes, and Forms 171 submitted by applicants and replies thereto, and records of promotions, courses completed, position descriptions, performance appraisals, Forms 171, personnel actions, educational transcripts, recommendations and personal data of DLA attorneys.

Authority for maintenance of the system:

5 USC 3101, General Authority to Employ, Executive Order 10577, Civil Service Regulation, Section 213.3102(d) and (e), 10 USC 137.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Applications are used for filling positions in all DLA legal offices. Attorney information folders are maintained for review incident to personnel actions including promotions performance appraisals, reassignments, etc. and as a general performance and experience record. Parts of these folders may be submitted to other agencies considering the attorney for employment. Information may be used in answering inquiries from Individuals, Congressmen or other Government agencies or for verification of employment.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by surname of attorney or applicant

Safeguards:

Attorney information folders are kept in a safe; applications are kept in file cabinets accessible only to authorized personnel of the Office of Counsel or as determined by Counsel.

Retention and disposal:

Applications are kept for two years from receipt. Attorney information folders are kept indefinitely.

System manager(s) and address:

Office of Counsel, Defense Logistics Agency DLA-G, and Offices of Counsel, PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and, if appropriate, date application was submitted.

Record access procedures:

SYSMANAGER, Official mailing address is in the DoD Directory in the Appendix to the DLA Systems Notices.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Applicants, employees, co-employees, outside references, supervisors, and personnel offices.

Systems exempted from certain provisions of the act:

None

S334.05DLA-K

System name:

334.05 Civilian Personnel Administration Career Program

System location:

Training and Incentives Division, Staff Director, Civilian Personnel, Headquarters, Defense Logistics Agency (DLA)

Categories of individuals covered by the system:

DLA employees and other applicants for registration, GS-11 and above, engaged in civilian personnel administration to include: Personnel Management Specialists, GS-201; Personnel Staffing Specialists, GS-212; Position Classification Specialists, GS-221; Employee Relations Specialists and Labor Relations Specialists, GS-230; AND, Employee Development Specialists, GS-235.

Categories of records in the system:

Personal Qualifications Statement, Individual Development Plan, Assessment of Qualifications for Advancement, Employee Career

Evaluation, Screening Panel ratings, and lists of referrals for vacancies, other documents or correspondence submitted by employees or their supervisors.

Authority for maintenance of the system:

5 U.S. Code, Sec. 4103, Establishment of Training Programs DLA Manual 1445.17, DLA Civilian Career Program for Civilian Personnel Administration.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for purpose of screening and referral of registered careerists to fill civilian personnel positions at grade GS-12 and above throughout DLA. Information is used by: Agency Screening Panel - to screen and review careerists for referral. DLA Career Program Technical Staff for administrative review and update of files. DLA Training personnel - to determine long-range training needs. DLA Selecting officials in selecting a registrant to fill the position opening.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed by series and grade alphabetically by last name of careerist.

Safeguards:

Records are maintained in locked file cabinet accessible only to authorized Agency personnel. Authorized Agency personnel include: Staff Director, Civilian Personnel, Division Chiefs, staff members of the Training Division.

Retention and disposal:

Records are retained with annual updating by the registered careerist. The material is destroyed as it becomes outdated, and upon annual review when individual is no longer eligible for registration. The records are retained a maximum of two years.

System manager(s) and address:

Staff Director, Civilian Personnel, Headquarters Defense Logistics Agency.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER, ATTN: Career Program Technical Staff. Official mailing address is contained in Department of Defense Directory in the appendix to the DLA systems notice. Requester must give name, personnel job title, series, grade, and address. No identification required for personal visit.

Record access procedures:

Written requests for information should contain the full name, series, current address and telephone number of the registered careerist. For personal visits, the individual should be able to provide some acceptable identification and give some verbal information that could be verified with his folder.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Careerist, careerist's supervisor, intermediate supervisors, members of career screening panel, Civilian Personnel Officers.

Systems exempted from certain provisions of the act:

None

S334.10DLA-KT1

System name:

334.10 Central Inventory, Comptroller/Financial Management Career Program

System location:

Training and Incentives Division, Office of Civilian Personnel, Headquarters Defense Logistics Agency (HQ DLA.)

Categories of individuals covered by the system:

Employees of the Defense Logistics Agency at grades GS-13 and above and others who are registered in the Department of Defense-wide Civilian Career Program for Comptroller/Financial Management Personnel.

Categories of records in the system:

Personnel Qualifications Statement and Employee Career Appraisal on all careerists registered in the inventory.

Authority for maintenance of the system:

5 U. S. C. 4103, Establishment of Training Program DoD-wide Civilian Career Program for Comptroller/Financial Management Personnel DoD Manual 1430.10-M-4.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used by the HQ DLA, Training and Incentives Division and other DLA officials for referral of interested candidates for vacancies in grades GS-14 and above throughout the Department of Defense.

Documents are used by the Career Management Staff of the hiring component for referral of ten (10) best qualified candidates to hiring activity.

Documents of referred candidates are used by selecting supervisor in determining best qualified candidate for the vacancy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records are kept in individual file folders.

Retrievability:

Documents are filed by name and cross-referenced to organizational activity.

Safeguards:

Records are maintained in locked file cabinets in areas accessible only to Program Management Staff.

Retention and disposal:

Records are updated annually by registered careerist. Material is destroyed as it becomes outdated, and on annual review when individual no longer eligible for registration. Records are retained a maximum of two years.

System manager(s) and address:

Chief, Employee Development and Incentives Division: Staff Director, Civilian Personnel, Headquarters, DLA.

Notification procedure:

Written requests for information may be directed to the SYSMANAGER.

Record access procedures:

Assistance may be obtained from the SYSMANAGER. Official mailing address is contained in Department of Defense Directory in the appendix to the DLA systems notice. Written requests should contain the full name, current address and telephone number of the individual. For personal visits and written requests, individual must provide some acceptable identification or information that could be verified before information is released.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information provided by registrants, immediate and reviewing supervisors, and others with knowledge of the registrant.

Systems exempted from certain provisions of the act:

None

S335.01DLA-K

System name:

335.01 Training and Employee Development Record Systems

System location:

Headquarters, Defense Logistics Agency (DLA) and Primary Level Field Activities.

Categories of individuals covered by the system:

Civilian employees, U.S. citizens and foreign national direct hires receiving training supported by the Federal Government, paid from appropriated funds. Department of Defense military personnel may be included in the automated training information system, and non-appropriated fund personnel may be included in some of the installation manual records.

Categories of records in the system:

Automated and non-automated records are maintained reflecting information pertaining to the employees' identification, social secutiry number, occupational status (series, grade level and supervisory status) course identification, course length, category and purpose of training received, date on which training was completed, associated costs, pre-post test results, et al. Input documents for the systems include, but are not limited to completed automated forms, training reports, authorization and record, key punched cards. The manual

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files are maintained in paper folders containing employees' registration and/or record of training documents. Apprentice, on-the-job training program, and similar trainee intake program manual and automated records are maintained, reflecting information pertaining to subject employee's identification, date of birth, entrance date of program, dates and nature of personnel actions which occurred during fiscal year, student progress, and statistical data which effects the numbers of apprentices in training as of a given date. At Headquarters level, nomination forms and documents (non-automated) for centrally-administered education and training programs are maintained. The manual files contain the candidate's nomination documents, training request, enrollment and registration and other documents related to training. Manual files are maintained at installations regarding courses conducted on their premises, or for which they sponsor, listing such things as completion dates and course participants. Additionally, manual files are typically found at the field activities containing information regarding an employee's supervisory status, an indication as to whether or not he/she has participated in supervisory training. Files are often maintained regarding an employee's certification/recertification or demonstrated proficiency in one or more skills areas; an activity-wide annual training plan should also be maintained, as well as individual training plans. Files are also maintained regarding professional licenses held by installation personnel.

Authority for maintenance of the system:

5 U.S.C. 4103, 4118, AND 4115.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of Defense components in the performance of their official duties related to the management of the Defense components civilian employee training programs, the design, development, maintenance and operation of the manual and automated system of record keeping and reporting; the screening and selection of candidates for centrally administrated programs; and administration of grievance, appeals, complaints and litigation involving the disclosure of records of the training programs. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit or evaluation of Defense components civilian training programs, or such other matters under the jurisdiction of the Commission. The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Defense components civilian training programs. The Attorney General of the United States or his authorized repre- sentatives in connection with litigation, law enforcement, or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies. Officials and employees of other Departments and agencies of the Executive Branch of Government upon request in the performance of their official duties related to the screening and selection of candidates for programs sponsored by their organization. Representatives of the United States Department of Labor on matters relating to the inspection, survey, audit or evaluation of the Defense components apprentice training programs or on other such matters under the jurisdiction of the Labor Department. Representatives of the Veterans Administration on matters relating to the inspection, survey, audit or evaluation of the Defense components apprentice and on-the-job training programs. The Computer-systems group contractor (or other such contractor) and its employees for the purpose of card punch recording of data from employee training documents. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance involving the disclosure of the records of the Defense Department's components training programs. An arbitrator who is given a contract pursuant to a negotiated labor agreement to hear an employee's grievance involving the disclosure of the records of the Defense component's training and employee development record system.

The Senate or the House of Representatives of the United States or any committee or sub-committee thereof, any joint committee of Congress or sub-committee, or joint committees on matters within their jurisdiction requiring disclosure of the files or records of the Defense Department's civilian training program.

Representatives of educational institutions which have been awarded contracts to conduct training for Defense components create and maintain individual training records of those who attend.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Automated records are stored on magnetic tapes, drums, computer printouts, and on punched cards. Manual records are stored in paper file folders.

Retrievability:

Automated records are retrieved by SSN and name, or by one, or a combination of data elements contained in the program master files. Manual records are retrieved by employee last name, by course control information, or by training program title.

Safeguards:

The computer facilities are located in restricted areas accessible only to authorized persons that are properly screened, cleared and trained. Manual records and computer printouts are available only to authorized personnel having a need-to-know.

Retention and disposal:

Manual records are maintained on a fiscal year basis and are retained for varying periods from one to five fiscal years. For centrally administered programs, files on selected candidates are maintained for five years (from date selection process is completed). Records of non-selected candidates are retained only for that period of time sufficient to permit appropriate review (usually less than 60 days). Some installation records are maintained for varying periods.

System manager(s) and address:

Civilian personnel officer or comparable official of the Civilian Personnel Office servicing the activity/installation.

Notification procedure:

Request by correspondence should be addressed to the Civilian Personnel Officer servicing the headquarters of field activities employing civilians. The letter should contain the full name of the requestor and his signature. Proof of identification will consist of a Department of Defense component building pass or identification badge, or driver's license, or by other types of identification bearing an employee picture and signature.

Record access procedures:

Above procedure for notification apply.

Contesting record procedures:

The agency's rules for contesting the contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Civilian personnel offices; current previous supervisors of employees (when appraisals of performance/potential are used).

Systems exempted from certain provisions of the act:

None

S335.80DLA-Q

System name:

335.80 Quality Assurance Staff Development Program

System location:

The primary system of records is maintained in the Defense Contract Administration Services (DCAS) Quality Assurance Staff Development Office (DQADO), Headquarters, Defense Logistics Agency, Cameron Station, Alexandria, VA, 22314. A secondary decentralized system of training records is maintained in the DCAS Region Quality Assurance Directorate, DCAS District, or DCAS Office where the staff development trainee is assigned.

Categories of individuals covered by the system:

Each trainee in the DCAS Quality Assurance Staff Development Program.

Categories of records in the system:

Personnel qualifications statement; Individual Training Plans (ITP); records of training requested, received, waived, and planned for each trainee; informal training evaluations of each on-the-job training assignment; quarterly trainee progress reports and evaluations; budgeted and actual cost of training; records and evaluations of special projects performed by trainees; trainee correspondence related to ITPs; records and reports of trainee attendance and leave, including records of sick, annual and other types of leave taken and other absences; time in special or temporary duty assignments; official correspondence related to a trainee's attendance and leave; and promotion and target position data. While records maintained are currently manual in nature, some records may be produced by automated data processing systems described in other notices.

Authority for maintenance of the system:

Chapter 41, Title 5, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Data is used by the DQADO program staff and DCAS training program managers for scheduling of training, determining progress of trainees and eligibility for promotion in the program and graduation

from the program, determining when a trainee requires special attention; data on leave and attendance is used for pay purposes. Defense Logistics Agency managers and supervisors in the quality assurance function use the records to determine adequacy of training and appropriate assignments for trainees.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name of trainee.

Safeguards:

Records are maintained in locked file cabinets.

Retention and disposal:

Records are maintained for one year following graduation of the trainee, and are then destroyed.

System manager(s) and address:

DCAS Quality Assurance Staff Development Office, ATTN: DQADO-S, Headquarters Defense Logistics Agency (DLA)

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name. Official mailing address is in the Department of Defense directory in the appendix to the DLA systems notice.

Record access procedures:

Written or personal requests for information should be directed to the SYSMANAGER. No identification is required for personal visits. For written requests, identity of requester will be verified by comparing signature with signature in record.

Contesting record procedures:

The Agency's rules for contesting contents of records may be obtained from the SYSMANAGER.

Record source categories:

Individual quality assurance staff development trainees, Government training school personnel and records, the program managers and supervisors, and other Agency officials directly involved in trainee's progress in the program.

Systems exempted from certain provisions of the act:

None

S336.10 DCRS-F

System name:

336.10 Personnel Cost Forecast System

System location:

Budget Function, Budget and Management Support Division, Office of Systems and Financial Management, Defense Contract Administration Services Region (DCASR) St. Louis.

Categories of individuals covered by the system:

All current and former civilian personnel assigned to DCASR St. Louis.

Categories of records in the system:

Master employee record showing grade, date of next step increase, assignment code, and in some instances, hourly rate. Personnel Cost Forecast listing shows assignment and projected salary for each GS salaried employee by month. Identity is by social security number. Manual subsidiary records are kept by employee showing date entered on duty, date departed, promotion date, and incentive awards.

Authority for maintenance of the system:

5 USC Chap. 53, Pay Rates and Systems, 10 USC 136

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The system is used to project basic pay costs in the budget development and execution stages at DCASR St. Louis. Statistical records are maintained for at least three prior years to develop promotion trends, attrition rates, average grades of employees leaving, and average grade of new hires.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Listings are stored in binders. Other data is maintained on 13 column work paper.

Retrievability:

Master file is in alphabetical sequence and controlled by social security number. The Personnel Forecast listings are generated, one at branch level and the other by cost code. Both control on social security number.

Safeguards:

Records are maintained in budget area and are restricted to personnel performing budget duties.

Retention and disposal:

Mechanized listings are retained for current year plus one prior year. Manual records are retained for current year plus three prior years.

System manager(s) and address:

Chief, Office of Systems and Financial Management, DCASR St. Louis.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER or to the senior budget analyst, Budget and Management Support Division, Office of Systems and Financial Management, DCASR St. Louis.

Record access procedures:

Requests should be addressed to the SYSMANAGER. Written requests should contain full name, current address, telephone, and social security number of individual. For personal visits, individuals should be able to provide some acceptable identification that can be verified with the files; such as identification badge or driver's license. Official mailing addresses are in the Department of Defense directory in the appendix to the DLA system of record notices.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Personnel actions generated by the Office of Civilian Personnel, DCASR St. Louis.

Systems exempted from certain provisions of the act:

None

S336.60DLA-KM

System name:

336.60 Position Classification Appeals

System location:

Headquarters Defense Logistics Agency (DLA) for only those cases requiring Headquarters decision, and at DLA Primary Level Field Activities (PLFAs) for others.

Categories of individuals covered by the system:

All DoD employees serviced by a DLA Civilian Personnel Office who have filed classification or job grading appeals.

Categories of records in the system:

Case files relating to individual or group classification appeals consisting of the written appeal, complete identification of the position, position organization chart, functional statement, comprehensive evaluation statement which has been reviewed by the individual or group submitting the appeal (the appellant), efforts to resolve locally, recommended action and any supplemental information pertinent to the case.

Authority for maintenance of the system:

5 U.S. Code SS 5112, 5113; FPM Chapter 511, Subchapter 6.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

This information is used during decision making on (adjudication) classification appeals to HQ DLA or the Civil Service Commission (CSC) by DLA employees. Personnel specialists at the DLA PLFA will furnish file to appropriate CSC Regional Office when a DLA employee appeals directly to the CSC; use classification appeal decisions to initiate appopriate personnel actions; may also use this file as a reference for classification precedent in classifying other similar DLA PLFA positions.

CSC officials use this file to adjudicate the classification appeal when DLA employees appeal the classification of their position to CSC.

Personnel specialists at DLA HQ use this file to adjudicate the classification appeal when a DLA employee appeals the classification of his position to Headquarters; may also use this file as a reference for classification precedent in classifying other DLA PLFA positions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Accessed by classification series, appellant's name and organization.

Safeguards:

Made available to appellant, DLA personnel specialists concerned and CSC. Precedent decisions when issued by DLA HQ exculde appellant's name and personal data. Maintained in locked containers.

Retention and disposal:

Placed in inactive file after final decision and completion of any resultant action. Headquarters precedent-setting decision cases, excluding personal data, are filed with Classification Standards and kept until superseded. The DLA PLFA inactive file is cut off at the end of the calendar year, held 5 years in current files areas, then destroyed. Headquarters files are retained indefinitely.

System manager(s) and address:

Staff Director, Civilian Personnel, HQ DLA; DLA PLFA Civilian Personnel Officers.

Notification procedure:

Requests may be directed to the appropriate PLFA Civilian Personnel Officer or to Staff Director, Civilian Personnel, HQ DLA. The employee or former employee must provide full name, DLA organizational element in which employed at time of appeal, position description number and, if requesting in person, must present activity identification badge or other suitable identification.

Record access procedures:

Assistance may be obtained from SYSMANAGER. Official mailing addresses are in the DoD directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should provide full name, organizational element at time of appeal, position description number and activity identification badge or other suitable identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Appellant, cognizant Office of Civilian Personnel, supervisors, HQ DLA Personnel Office staff and CSC officials.

Systems exempted from certain provisions of the act:

None

S337.01DLA-K

System name:

337.01 Labor Management Relations Records Systems

System location:

Headquarters, Defense Logistics Agency (HQ DLA) and Primary Level Field Activities.

Categories of individuals covered by the system:

Civilian employees who are involved in a grievance which has been referred to an arbitrator for resolution; civilian employees involved in the filing of an Unfair Labor Practice complaint which has been referred to the Assistant Secretary of Labor Management Relations; union officials; union stewards; and representatives.

Categories of records in the system:

Folder contains all information pertaining to a specific arbitration case or specific Unfair Labor Practice with whom Department of Defense has dealings; field activities maintain roster of local union officials and union stewards.

Authority for maintenance of the system:

EO 11491 as amended Labor-Management Relations in the Federal Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials and employees of the Department of Defense (to include Army, Navy, Air Force, and other DoD agencies) in the performance of their official duties related to the Labor-Management Relations Program, e.g. administration/implementation of arbitration awards, interpretation of the Executive Order through third party case decisions; national consulation and other dealings with the recognized unions.

Representatives of the U.S. Civil Service Commission on matters relating to the inspection, survey, audit, or evaluation of Civilian Personnel Management Programs.

The Comptroller General or any of his authorized representatives, in the course of the performance of duties of the General Accounting Office relating to the Labor Management Relations Program.

Officials and employees of ther components of the Department of Defense in the performance of their official duties related to the administration of the Labor-Management Relations Program. A duly appointed hearing examiner or arbitrator for the purpose of conducting a hearing in connection with an employee's grievance.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual files, maintained in paper folders.

Retrievability:

Manual records are retrieved by case subject, case numbers, and/or individual employee names.

Safeguards:

All individually indentifiable files are accessible only to authorized personnel having a need-to-know.

Retention and disposal:

Case files retained for ten years. Union official rosters are normally destroyed after a new roster has been established.

System manager(s) and address:

Civilian Personnel Officer or comparable official of the Civilian Personnel Office servicing the activity/installation.

Notification procedure:

Request by correspondence should be addressed to: Civilian Personnel Officer of activity/installation. The letter should contain the full name, and signature of the requester. The individual may visit the Department of Defense activity at which he or she is employed.

Record access procedures:

Procedures for notification shown above apply. In addition, requester must be able to provide some suitable type of identification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Servicing Civilian Personnel Offices, arbitrator's office, Office of Assistant Secretary of Labor for Labor-Management Relations, union headquarters office.

Systems exempted from certain provisions of the act:

None

S337.25DLA-K

System name:

337.25 Employee Relations under Negotiated Grievence Procedures

System location:

Headquarters, Defense Logistics Agency (HQ DLA) and Primary Level Field Activities.

Categories of individuals covered by the system:

Department of Defense civilian employee whom discipline, grievence, and complaints records exist. Discrimination complaints of civilian employees, applicants for employment and former employees in appropriated and non-appropriated positions.

Categories of records in the system:

Manual files, maintained in paper folders, contain copies of documents and information pertaining to discipline, grievences, complaints, and appeals.

Authority for maintenance of the system:

EO 9830, Amending the Civil Service Rules and providing for Federal Personnel Administration; 4 U.S.C. 1302, 3301, 3302; EO 10577, Amending the Civil Service Rules and Authorizing a New Appointment System for the Competitive System; P.L. 92-261, Equal Employment Opportunity Act of 1972; P.L. 93-259, Extension of Age Discrimination in Employment Act of 1967; 5 U.S.C. 7512, EO 11491, Labor-Management Relations in the Federal Service.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Officials of the Department of Defense (to include Army, Navy, Air Force or other DoD agencies) in the performance of their official duties related to the management of civilian employees in the processing, administration, and adjudication of discipline, grievance, complaints, appeals, litigation, and program evaluation. Representatives of the United States Civil Service Commission on matters relating to the inspection, survey, audit on evaluation of civilian personnel management programs or personnel actions, or such other matters under the jurisdiction of the Commission. Appeals authority for the purpose of conducting hearings in connection with employees' appeals from adverse actions and formal discrimination complaints.

The Comptroler General or any of his authorized representatives in the course of the performance of duties of the General Accounting Office relating to the civilian manpower management programs.

The Attorney General of the United States or his authorized representatives in connection with litigation, law enforcement or other matters under the direct jurisdiction of the Department of Justice or carried out as the legal representative of the Executive Branch agencies.

The Senate or the House of Representatives of the United States or any member, committee or subcommittee or joint committees on matters within their jurisdiction relating to the above programs.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records are stored in paper folders.

Retrievability:

Manual records are filed by last name.

Safeguards:

All records are stored under strict control and are available only to authorized personnel having a need to know.

Retention and disposal:

Manual records destroyed after five years.

System manager(s) and address:

Civilian Personnel Officer or comparable official of the Civilian Personnel Office servicing the Department of Defense activity/installation.

Notification procedure:

Request by correspondence should be addressed to: Civilian Personnel Office of activity/installation. The letter should contain the full name, and signature of the requester and the type of record sought. The individual may visit the activity at which he or she is employed.

Record access procedures:

Above procedures for notification apply. In addition, requester must provide some suitable type of identification.

Contesting record procedures:

The agency's rules for contesting contents, and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Supervisors or other appointed officials designated for this purpose.

Systems exempted from certain provisions of the act:

None

S339.10 DLA-C

System name:

339.10 Auditor Profile

System location:

Auditor General, Office of the Comptroller, Headquarters Defense Logistics Agency (HQ DLA)

Categories of individuals covered by the system:

Civilian audit staff members of the Auditor General, DLA

Categories of records in the system:

Cards which present employees' background, specific work assignments, training and development activities. Employee statement on desires for work assignment, training, and rotation.

Authority for maintenance of the system:

10USC 136(b)(3)(D), 5USC 302 (b)(1)

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used as a guide to supervisors in identifying the employee's specific training and development requirements, and in preparing various personnel reports. Used by HQ DLA to select members of audit review teams.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper card file

Retrievability:

Organizationally and alphabetically by last name of employee.

Safeguards:

Records are maintained in areas accessible only to Auditory General personnel.

Retention and disposal:

Records are destroyed upon employee's separation from Auditor General's Office.

System manager(s) and address:

Auditor General, DLA.

Notification procedure:

Written or personal requests may be directed to the SYSMANAGER.

Record access procedures:

Requests should be addressed to the SYSMANAGER. For personal visits, individual must provide some form of identification, such as, driver's license. Written requests must contain fully name and address of the employee. Official mailing address is listed in the DoD directory.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Qualifications statements (Standard Form 171), personnel actions, annual employee questionnaire.

Systems exempted from certain provisions of the act:

None

S339.10DLA-K

System name:

339.10 Headquarters Defense Logistics Agency (HQ DLA) Automated Civilian Personnel Data Bank Sys

System location:

Office of Civilian Personnel, DLA Administrative Support Center (DASC-Z), Cameron Station, Alexandria, VA 22314

Categories of individuals covered by the system:

U. S. Citizen civilian employees of the DLA who are paid from appropriated funds, and former such employees.

Categories of records in the system:

Data on current position occupied by employee, data on employee's current employment status with DLA, training data, and selected personal data including: social security account number; name; sex; minority group designation; date of birth; physical handicap; Government insurance; veteran's preference; Military Reserve Status; Retired Military Status; education; and whether individual passed the Federal Service Entrance Examination or Professional and Administrative Career Examination.

Authority for maintenance of the system:

5 U. S. Code, Sec. 301, 302, and 2951, 2952, 2954. E.O. 10561, E.O. 9397, and Federal Personnel Manual Chapters 250 and 291

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes of this system are to prepare reports required by the Executive, Legislative and Judicial Branches of government, and to provide information to officials of DLA for effective personnel administration.

Information is used: To provide management data for use of HQ DLA and Field officials. For transfer of current data to the Civil Service Commission on a monthly basis for inclusion in their Central Personnel Data File.

For disclosures to members or committees of Congress with a stated valid need for the information in the performance of their official duties. To furnish or publish information on the DLA Civilian workforce to Federal Agencies, the Congress, or courts of law, and other Freedom of Information Releases.

To provide information in litigation and other administrative review processes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape and disc, computer paper printouts, microfiche.

Retrievability:

Records identified to a specific civilian employee are accessed and retrieved by social security account number.

Safeguards:

Paper printouts or microfiche records which contain only statistical information are released to responsible persons whose stated needs are not in violation of Federal Statute.

Paper printouts or microfiche records which contain individually identifiable information are releasable only under conditions authorized by Federal Statute.

Records are secured in appropriate storage and/or file cabinets when not under the control of Personnel Office officials during duty hours.

During non-duty hours, records are secured in either locked storage and/or file cabinets. The area in which the records are secured is protected by a building security guard system.

Individually identifiable personnel documents will either be handcarried or will be transmitted in envelopes addressed to a specific office or individual and marked to be opened by addressee only.

Magnetic tape and disc are kept in the computer room which is itself a security container with locked door and access limited to persons appropriately cleared and identified. Tapes and disc packs are stored in a tape library when not used in processing and are logged in and out only to cleared personnel with an official need. Tapes are transmitted to the Civil Service Commission by mail or courier. Reports with individual data are closely controlled. Personnel who process these reports are appropriately cleared and maintain continuous observation of reports during all processing phases. Reports are kept under appropriate physical safeguards when not being processed or used.

An individual requesting information in records must identify self and his relationship to the individual upon whom the record information is being requested.

An individual other than the individual of record must specify what information is requested and the purpose for which it would be used if disclosed. The SYSMANAGER or his delegated assistant determines if request is reasonable and consistent with provisions of the Freedom of Information Act and the Privacy Act of 1974.

Physical access, that is the ability to obtain the record, is limited to:

Personnel Office officials
Civil Service Commission officials
Data processing officials
Supervisors for those records which they are authorized to maintain

Retention and disposal:

Printouts or microfiche reports are considered as working papers to support particular projects, inquiries, studies or administrative need. They will be retained until the purpose for which generated has been met. They will then be destroyed by shredding or burning.

Data maintained on magnetic tape or disc are to be retained for five years. They will then be degaussed.

System manager(s) and address:

Chief, Civilian Personnel Division, DASC, Cameron Station, Alexandria, VA 22314

Notification procedure:

Information may be obtained from:
Chief, Civilian Personnel Division
DASC-Z, Room 4D690
Cameron Station
Alexandria, VA 22314

Requestor must provide last name, first name, middle initial, and social security account number. If request is by mail, requestor must also furnish current address.

Record access procedures:

Requests from individuals should be addressed to:
Chief, Civilian Personnel Division
DASC-Z, Room 4D690
Cameron Station
Alexandria, VA 22314

Requests for information must be in writing and contain last name, first name, middle initial, social security account number, date of birth, current address, phone number where individual may be reached during the day, and a signed statement certifying that the individual understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars. Complete records are maintained only on magnetic tapes or discs and are not available for access by personal visits.

Contesting record procedures:

The agency's rule for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Input from employees of civilian personnel offices and Equal Employment Opportunity Officers who obtain information from: the Official Personnel Folder and other personnel documents, personal contact with individual concerned, applications and forms completed by the individual; and input from interface with the DLA Automated Payroll, Cost and Personnel System (APCAPS).

Systems exempted from certain provisions of the act:

None

S339.50DLA-K

System name:

339.50 Supervisors' Personnel Records

System location:

Office of supervisor or manager having supervision over the individual employee, at each Defense Logistics Agency, (DLA) activity.

Categories of individuals covered by the system:

DLA civilian employees, full time and part time, paid from appropriated or nonappropriated funds.

Categories of records in the system:

Records of supervisors who are geographically accessible to their employees' Official Personnel Folders may contain Standard Forms 7A and 7B (Employee Record Card and continuation); Supervisor's copy of position description, performance evaluations, other evaluations for official purposes (such as promotion or for application for other positions); supervisor's notations of employee successes or short comings, for use in developing performance evaluations, for counseling employees and for basing disciplinary actions; records of training requested, scheduled or taken; printouts from automated personnel systems providing supervisors with day-to-day operating level information concerning their employees; letters, documents, notations or other information maintained only temporarily by the supervisor regarding an individual employee during the time some particular action relating to the employee is being planned or taken. Information in these records will be the minimum essential to effective supervision. An operating or work personnel folder may be maintained by operating officials in field offices geographically remote from the personnel office, or by personnel or administrative offices of field installations that do not have full delegated personnel management authority (and their official personnel folders are maintained by higher echelon in another city or geographic location). In addition to the contents listed above, such records may contain information on employee experience, education, special qualifications and skills and conduct.

Authority for maintenance of the system:

5 U.S.C. 1302; E.O. 10561; FPM Supplement 293-31, Subchapters 7 and 8.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Supervisors, managers and other officials of the DLA in carrying out their official duties for supervision and counseling of civilian employees and the administration of employee evaluation, discipline and training.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Manual records in file folders or in card files. Records in this system will be kept at only one organizational level and not duplicated in other organizational levels.

Retrievability:

By employee name or by organizational segment or, in some cases, by name within subject matter, such as training.

Safeguards:

All records are maintained under the strict control of the supervisor or other management official and are accessible only to authorized persons. They are retained in locked cabinets or in supervisors' locked desk drawers or in a secured room or area.

Retention and disposal:

Records are maintained during the employee's tenure with the particular supervisor or organization and, after purging, are transferred to the employee's subsequent supervisor if in the same DLA activity. When an employee leaves the activity through transfer or other separation the records will be sent to the personnel office for comparison with the official personnel folder. The personnel office will screen the records to ensure that no documents are included which should be permanently filed in the official personnel folder and then destroy the remainder. Documents which are purged from the official personnel folder during employment are also purged from supervisor's records.

System manager(s) and address:

Civilian Personnel Officer servicing the DLA activity involved.

Notification procedure:

Requests for information will normally be addressed to the employee's immediate supervisor or to a higher level supervisor. Request by correspondence should be addressed to the Civilian Personnel Officer of the particular activity where the individual is employed or was formerly employed. Mailing addresses are provided in the Department of Defense component directory published in the Federal Register. The letter should contain the full name of the requestor and his signature.

Record access procedures:

The agency's rules for access to records by the individual concerned may be obtained from the SYSMANAGER.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The data is gathered from the individual employee, the employee's present and former supervisors at various levels, from official personnel folders and other personnel documents.

Systems exempted from certain provisions of the act:

None

S339.50DSAO-S

System name:

339.50 DSAO Staff Information File

System location:

DLA, Data Systems Automation Office, P.O. Box 1605, Columbus, Ohio 43216.

Categories of individuals covered by the system:

All DSAO employees.

Categories of records in the system:

Personnel type information concerning each staff member, including name, home address, grade and step, sex, job class, position title, home and office telephone numbers, birth date, service computation date, subsidiary cost code, office symbol, position code, supervisory code, employee account number, Social Security Number, War Emergency Support Plan assignment, and AUTOVON approval.

Authority for maintenance of the system:

5 U.S.C., Sec 301, 302.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained to provide readily accessible data about staff which are required for day-to-day operations and which would be impractical to organize and use on a manual basis or from other records. Information is used by officials of the DSAO and the Defense Construction Supply Center (DCSC): As a reference report to determine or verify data concerning each staff member in the process of day-to-day operations; to provide the Operations Control Center the capability to contact individuals during non-duty hours for providing assistance to system users; to determine staff members eligible for retirement in the next five years and develop plans as necessary for replacement of personnel who could retire; to forward congratulatory messages on the anniversary of individual's birth; to provide a complete list by organizational assignment and to identify location of each staff member, account for vacancies and encumbered positions and determine progress toward average grade level goal(s); for accounting purposes in submitting jobs to the computer center; to provide a list of the identifying numbers assigned to each staff position for use in various personnel actions; to provide a list of subsidiary cost codes assigned to each individual, to determine that correct code is assigned, for use on various personnel actions; to assign parking spaces; to identify individuals assigned responsibility under the War Emergency Support Plan (WESP); to identify individuals eligible to authorize AUTOVON calls during non-duty hours; to verify and/or modify the Profile Data Analysis Report concerning minority and female employees; and to produce a telephone list for DSAO staff use.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

On ADP punched cards and hard copy printouts.

Retrievability:

Individual information is retrievable by Social Security Number and name.

Safeguards:

Information is disclosed only to agency officials on a need-to-know basis.

Retention and disposal:

Reports are destroyed when superseded by new reports.

System manager(s) and address:

Chief, Data Systems Automation Office.

Notification procedure:

Requests should be addressed to the SYSMANAGER. Individual must provide full name and Social Security Number. Personal visits may be made to the Management Support Office, DSAO. Individual must provide identification card/badge or other Federal Government-issued identification.

Record access procedures:

Procedures same as for notification.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual personnel actions, DCSC Name and Address Change Notice, and other similar documents.

Systems exempted from certain provisions of the act:

None

S352.10DLA-K

System name:

352.10 Nominations for Awards

System location:

Agency officials to evaluate contributions (approve or disapprove award). other nominations for honorary and cash awards. Organizational elements of HQ DLA and PLFAs: Files on nominations for awards initiated or evaluated within the organizational element.

Categories of individuals covered by the system:

Civilian personnel assigned to DLA who are nominated for Defense, (OSD), other Government activities, and private organizations; cash awards which exceed 1,000 dollars based on tangible benfits, 500 dollars based on intangible benefits or 1,500 dollars based on a combination of tangible and intangible benefits and various awards.

Categories of records in the system:

Justifications submitted in support of award nominations, evaluation statements, photographs when required by the sponsoring organization, minutes of DLA Recognition and Awards Board meetings, registers of cases, and reports submitted to Office of the Secretary of Defense and Civil Service Commission.

Authority for maintenance of the system:

5 U.S.C. 4501-4506, 10 U.S.C. 1124, Chapter 451 of the Federal Personnel Manual.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained in support of action taken on contributions and award nominations and for preparation of statistical and narrative reports required by Office of the Secretary of Defense and Civil Service Information is used by: Commission. Headquarters Defense Logistics Agency (HQ DLA): Nominations for DLA Primary Level Field Activities (PLFA): Above files plus all Training and Incentives Division, Staff Director, Civilian Personnel, honorary awards sponsored by DLA, Office of the Secretary of Members of DLA Recognition and Awards Board - to evaluate contributions requiring approval of the Director, DLA. Members of other Federal activities and members of Private Organizations - to evaluate nominations for awards sponsored by them for which DLA personnel are nominated. Officials of other DoD Components and other Government activities - to evaluate for possible adoption and use contributions made by DLA personnel that concern the operation of their functions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, card index files, and registers in notebooks.

Retrievability:

Award nominations may be filed alphabetically by nominee's name or by award title, in personnel offices. Filed by type of award or suggestion in organizational elements of HQ DLA and PLFAs.

Safeguards:

Maintained in locked containers in areas accessible only to Agency personnel.

Retention and disposal:

Nominations for Awards - files are closed upon completion of the action, cut-off at the end of the fiscal year, held for two years, then destroyed.

System manager(s) and address:

Incentives Awards Administrator, Chief, Training and Incentives Division, Staff Director, Civilian Personnel, HQ DLA; Civilian Personnel Officers of DLA PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and type of award for which nominated, and activity at which nomination was submitted.

Record access procedures:

Requests for assistance should be directed to the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice. Individual must provide full name and type of award for which nominated and activity at which nomination was submitted.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

DLA supervisors and managers who initiate and evaluate nominations, members of DLA Recognition and Awards Board.

Systems exempted from certain provisions of the act:

None

S370.20DLA-KH

System name:

370.20 Individual Accident Case Files

System location:

Primary System - Case files on disabling work (lost time) injuries, property damage accidents (100 dollars or more), and motor vehicle accidents with a disabling work injury or property damage exceeding 100 dollars: Safety and Health Division, Staff Director, Civilian Personnel, Headquarters, Defense Logistics Agency (HQ DLA). Decentralized segments - Above files plus all other injuries and accidents: HQ DLA principal staff elements, DLA Primary Level Field Activities (PLFA), secondary and third level field activities, where incidents occurred.

Categories of individuals covered by the system:

Civilian and military personnel, contractor employees, and other personnel who are injured on the premises of DLA or performing assignment incident to DLA operations. Also relates to accidental damage to vehicles, equipment, and property.

Categories of records in the system:

Reports, statements of witnesses, photographs and related papers, including summarized information maintained for the purpose of identifying accident repeaters and safety award recipients, regarding accidents incident to DLA operations, pertaining to injuries to individuals or accidents involving motor vehicles and other equipment or structural property damage.

Authority for maintenance of the system:

PL 91-596, The Occupational Safety and Health Act of 1970 (OSHA), required each agency to 'keep adequate records of all occupational accidents and illnesses for proper evaluation and necessary corrective action. E.O.11612.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for accident-cause identification, formulation of accident prevention programs, accident repeater identification, safety award recipient identification, and for preparation of statistical reports required by higher authority.

Information is used by:

Agency supervisors and managers - to determine actions required to correct the cause of the accident.

Safety offices - to insure actions proposed by supervisors and managers are adequate to prevent future accidents, to identify accident repeaters and safety award recipients, to provide verification that an accident occurred to personnel involved in processing workmen's compensation cases, to extract non-personal data to prepare statistical reports, accident summaries, and accident prevention information for inclusion in Agency internal publications.

Security personnel - for verification of accident cause, and for formulation of possible changes to activity rules of conduct.

Government and Non-Government Medical personnel - in making medical determinations about individuals involved in accidents.

Facilities engineers and maintenance personnel - for formulation of future installation facilities and equipment plans and budgets, and correction of operating procedures.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files.

Retrievability:

Filed by organizational activity and/or alphabetically by last name of injured person or principal person involved in accident, when known.

Safeguards:

Records are maintained in areas accessible only to Agency personnel.

Retention and disposal:

Records are destroyed ten years after all aspects of the case are closed. They are retained in active file until end of calendar year in which case is closed, held one to three additional years in inactive file and subsequently retired to Federal Records Center, held for the remaining years and destroyed.

System manager(s) and address:

Staff Director, Civilian Personnel, DLA; Safety Officers, DLA Primary Level Field Activities.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which incident occurred; or if individual is or was a DLA employee, name of employing activity is also required.

Record access procedures:

Official mailing addresses of the SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice Written requests for information should contain the full name, current address and telephone numbers of the individual and a signed statement asserting his or her identity and stipulating that the individual understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, medical units, DLA protective service, civilian police, fire department, investigating officer, or witness to accident.

Systems exempted from certain provisions of the act:

None

S380.01DLA-K

System name:

380.01 Employee Assistance Program Case Record Systems

System location:

Headquarters Defense Logistics Agency (HQ DLA) and Primary Level Field Activities.

Categories of individuals covered by the system:

All civilian employees in appropriated and non-appropriated fund activities who are referred by management for, or voluntarily request, counseling assistance.

Categories of records in the system:

Systems are comprised of case records on employees which are maintained by counselors, supervisors, civilian personnel offices and social action offices and consist of information on condition, current status, and progress of employees or dependents who have alcohol, drug, emotional, or other job performance problems.

Authority for maintenance of the system:

Drug Abuse Office and Treatment Act of 1972, as amended by Public Law 93-282 (21 U.S.C. 1175); Comprehensive Alcohol Abuse and Alcoholism Prevention, Treatment, and Rehabilitation Act of 1970, as amended by Public Law 93-282 (42 U.S.C. 4582); Subchapter A of Chapter I, Title 42, Code of Federal Regulations; Chapter 43 of Title 5, U.S.C.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Used by the counselor in the execution of his/her counseling function as it applies to the individual employee, selected information may be provided to and used by other counselors or medical personnel, research personnel, employers, representatives such as legal counsel, and to other agencies or individuals when disclosure is to the employee's benefit, such as for processing retirement applications.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Case records are stored in paper file folders.

Retrievability:

By employer name or by locally assigned identifying number.

Safeguards:

All records are stored under strict control. They are maintained in spaces normally accessible only to authorized persons, normally in locked cabinets.

Retention and disposal:

Records are purged of identifying information within five years after termination of counseling or destroyed when they are no longer useful.

System manager(s) and address:

Civilian Personnel Officer or comparable official of the Civilian Personnel Office servicing the activity/installation.

Notification procedure:

Request by correspondence should be addressed to servicing civilian personnel office or to the appropriate Employer Assistance Program administrator at the activity. The letter should contain the full name and signature of the requester and the approximate period of time, by date, during which the case record was developed.

Record access procedures:

Requests from individuals should be addressed to the SYSMANAGER.

Contesting record procedures:

The rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Counselors, other officials, individuals or practitioners, and other agencies both in and outside of Government.

Systems exempted from certain provisions of the act:

None

S380.20DLA-K

System name:

380.20 Civilian Medical Case Files

System location:

Geographically decentralized to Defense Logistics Agency (DLA) primary level field activities (PLFA), secondary and third level field activities where records are maintained.

Categories of individuals covered by the system:

Civilian employees and other personnel who are provided medical support at DLA activities.

Categories of records in the system:

Health record case files on periodic medical reports, injury reports, dispensary treatment records, allergy history, immunization records, and medical correspondence. Reports of dispensary treatments, reports from private physicians of health units, records of immunizations and allergies, records of health related work assignment restrictions. This system excludes records required by the Civil Service Commission, that is it excludes pre-employment physical examinations, Health Qualification Placement Records, disablilty retirement examinations, and fitness for duty examinations which become a part of the Official Personnel Folders (Standard Form 66) upon separation, but which may be maintained separately from the folder prior to separation.

Authority for maintenance of the system:

5 U.S.C. Section 7901, Health Service Programs.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained in support of the medical treatment and preventative health programs. Medical and health personnel use the records to prescribe treatment, identify health problems, and interpose health related restrictions of work activities. They provide necessary information to Agency supervisors and managers to alleviate health related problems on the job and to insure compliance with health related restrictions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and card index files, magnetic tape and disk, computer paper printout, microfiche.

Retrievability:

Filed alphabetically by last name of person in the unit.

Safeguards:

Records are maintained in locked cabinets or in secured rooms. Access is limited to the health unit staff.

Retention and disposal:

New files are set up each year. Records from previous years related to an individual are brought forward when that individual is treated again. Records are destroyed six years after date of last papers in file.

System manager(s) and address:

Director, Civilian Personnel, DLA primary level field activities.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Written requests shall include a signed employee statement authorizing release of record material.

Record access procedures:

Official mailing addresses of the SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual and a signed statement asserting his or her identity and stipulating that the individual understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with his 'case' folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Physicians, medical technicians, administrative personnel engaged in medical treatment or health programs at agency, contract or private facilities.

Systems exempted from certain provisions of the act:

None

S390.01DLA-KS

System name:

390.01 Grievance Examiners and Equal Employment Opportunity Investigators Program

System location:

Staffing and Employee Relations Division, Staff Director Civilian personnel, Headquarters Defense Logistics Agency (HQ DLA).

Categories of individuals covered by the system:

Military and Civilian employees of Defense Logistics Agency (DLA), or former employees, who have been nominated by Commanders of Primary Level Field Activities (PLFAs), to serve as DLA grievance examiners and EEO investigators; and have been approved by HQ DLA are listed by name on regional rosters as available for serving in those areas. Also retired Federal civilian employees and others approved by HQ DLA as grievance examiners and EEO investigators for the Agency and available to serve under a non-personal services contract are listed by name on regional rosters.

Categories of records in the system:

Files include regional rosters of approved investigators/examiners of grievances and Equal Employment Opportunity (EEO) complaints which are available to Commanders of Defense Logistics Agency Primary Level Field Activities.

Agency regional rosters, letters of nomination and approval, position descriptions, certificates of training, personal qualifications statement, Standard Form 171 (SF-171), and related correspondence and papers pertinent to Agency grievance examiners and EEO investigators program.

Authority for maintenance of the system:

5USC1302, 3301 & 3302, 3105. EO. 11478, as Amended

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose: Information is maintained for purposes of establishing Agency grievance examiners and EEO investigators program and insuring the availability of quality personnel on short notice.

Information is used by: Civilian Personnel officials of HQ DLA and other involved DLA HQ and field officials to select and supervise grievance examiners and EEO investigators as required.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name within regional area.

Safeguards:

Records are maintained in locked file cabinets in areas accessible only to Agency personnel.

Retention and disposal:

Records are retained in active file on current basis. New approvals are added continuously and deletions or withdrawals are held one to three years in inactive file and subsequently retired to Federal Records Center. Records are destroyed after a total of ten years.

System manager(s) and address:

Staff Director, Civilian Personnel, DLA.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and, if a current DLA employee, name of DLA activity at which employed.

Record access procedures:

Official mailing address is in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should be addressed to the SYSMANAGER and contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified with the Agency folder.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from SYSMANAGER.

Record source categories:

DLA PLFA Commanders, DLA civilian personnel office staffs, other DLA officials and others who may be able to recommend or provide information on potential or present candidates for this work.

Systems exempted from certain provisions of the act:

None

S390.05 DCRB-M

System name:

S390.05 Boston Equal Employment Opportunity (EEO) Skills Bank.

System location:

Equal Employment Office, Defense Contract Administration Services Region (DCASR), Boston.

Categories of individuals covered by the system:

Personnel presently employed by DCASR, Boston and referrals from other agencies.

Categories of records in the system:

Individual skills records, including name of individual, present position, present grade and length of time in grade, occupational skills, educational background, types of jobs presently for which qualified, areas of job interest (future), geographic work areas where individual is willing to locate.

Authority for maintenance of the system:

E.O. 11478. EEO in the Federal Government and EEO Act of 1972 (Pub. L.92-261) amending the Civil Rights Act of 1964.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose of this system is to assure that qualified employees are informed of upward mobility opportunities. Information is used as a means of referral of candidates when specific organizational elements make requests so that candidates may be alerted to be sure necessary background materials are in files; as a means of referral of candidates to other Federal and public agencies when specific inquiries are made: as a means for notifying possible candidates of training courses in present or anticipated fields. Data relative to outstanding referrals from other agencies as well as walk-in applicants may be added to the system for referral purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tapes and computer printouts stored in file cabinet.

Retrievability:

Information is retrieved by grade, occupational skills, present job qualifications, job avocation, and location (entered by category code), and therein alphabetically by name.

Safeguards:

Magnetic tapes are maintained in tape library which are accessible only to authorized personnel. Computer Personnel who process reports are appropriately cleared. Paper records are maintained in files in the Equal Opportunity Office in file cabinets, which are locked during non-duty hours.

Retention and disposal:

Records on current employees will be destroyed upon employee's separation. Records on outside referrals will be retained for one year after which they will be destroyed.

System manager(s) and address:

EEO Officer, DCASR, Boston.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. For personal visits, positive identification such as a DLA identification card, driver's license, social security number or any identification containing a picture of the requestor must be presented. Written requests must contain full name, and social security number or date of birth.

Record access procedures:

Written or personal requests directed to the EEO Officer, DCASR, Boston.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Forms filled out by individual employees and applicants. Participation in Skills Bank is voluntary. Data will be updated at the request of the individual candidate or applicant.

Systems exempted from certain provisions of the act:

None

S431.15DLA-C

System name:

431.15 Travel Record

System location:

Records are maintained at all Defense Logistics Agency (DLA) Primary Level Field Activities (PLFAs)

Categories of individuals covered by the system:

All employees, civilian and military, who perform travel, Temporary Duty (TDY) or Permanent Change of Station (PCS) for DLA.

Categories of records in the system:

Consists of copies of request and authorization for TDY travel of DoD personnel, request and authorization for DoD civilian permanent duty travel, travel voucher, travel voucher or subvoucher, claim for reimbursement for expenditures on official business and record of travel payments.

Authority for maintenance of the system:

cHAPTER 5F, Title 5 United States Code.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The file is used by the Accounting and Finance Officer to administer his disbursing and accounting duties for government travel performed by both military and civilian employees under his administrative control. Data is also used by Counsel to determine that expenses of the sale or purchase of the residence for a PCS are reasonable and customary to the locality of the transaction.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

By name and social security number.

Safeguards:

Records are maintained in an area that is accessible to office personnel only.

Retention and disposal:

Records of military personnel are maintained until separation or transfer of the military members. Records of civilian personnel are destroyed one year after termination of their employment.

System manager(s) and address:

Accounting and Finance Officer at each PLFA.

Notification procedure:

Request for information can be addressed to the SYSMANAGER.

Record access procedures:

Written requests for information must contain the full name and social security number of the employee. Employees making a personal request must present identification; i.e., employee badge, drivers license, etc. Official mailing addresses are in the Department of Defense directory in the appendix to the DLA system of record notices.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Request for travel forms, travel vouchers, claims for reimbursement.

Systems exempted from certain provisions of the act:

None

S434.15DLA-C

System name:

434.15 Automated Payroll Cost and Personnel System (APCAPS)

System location:

Records maintained at Defense Logistics Agency (DLA) Centers and Depots.

Categories of individuals covered by the system:

Current and former civilian and military personnel who have been paid or costed by APCAPS.

Categories of records in the system:

Records are maintained in manual and mechanical files for all data which affect an employee's pay, deductions, employer contributions, leave, retirement, position status, or cost accumulation.

Authority for maintenance of the system:

10 USC 136, DoD Dir 5105.22

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in preparing payrolls, cost and manpower reports.

Information is used by: Agency supervisors and managers - to determine leave usage, manpower allocations and labor distribution. Payroll office - to compute and control payroll and allocate labor costs. Personnel office - to determine leave usage and changes that affect an employee's pay. Security office - to determine location of employees. Disbursing office - to determine the distribution of checks and bonds. Financial Institutions - to determine disposition of net pay or allotments of pay. Treasury Department - to determine registration of bonds and federal tax allocation. Unions, charities, and insurance organizations - to determine participation in these organizations. Civil Service Commission - to determine status of employee and for disposition of retirement records. State and local taxing authorities - to determine tax liability.

Non-government organizations - to verify employment and credit data furnished to financial institutions by employee. Bureau of Employment Compensation - to process employee disability claims. State employment offices - to submit data for unemployment compensation. Local courts - to determine disposition of pay withheld for garnishment of wages.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm, magnetic tape, disc pack, computer paper printouts, vertical file cards, paper records in file folders.

Retrievability:

Hardcopy documents are filed by payroll block and/or alphabetically by last name. Data stored on mechanized storage devices are retrieved by SSAN.

Safeguards:

Access to mechanical records is limited to authorized DLA data systems personnel. All other records are maintained in areas accessible only to office personnel.

Retention and disposal:

Retention of data varies from 1 to 3 days for mechanical working files up to an employee's total length of service with an activity for permanent payroll information.

System manager(s) and address:

Comptroller, DLA.

Notification procedure:

Written or personal requests for information may be directed to the Chief, Payroll Branch, Accounting and Finance Division, Office of Comptroller at each DLA center and depot.

Record access procedures:

Written requests must contain full name and social security number of the employee. Employees making a personal request must present identification; i.e., employee badge, driver's license, etc. Official mailing addresses are in the Department of Defense directory in the appendix to the DLA system of records notices.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel office, military personnel office, financial institutions, local courts, military services or other government agencies.

Systems exempted from certain provisions of the act:

None

S434.15DLA-KP

System name:

434.15 Automated Payroll, Cost and Personnel System (APCAPS) Personnel Subsystem

System location:

Offices of Civilian Personnel at:
Defense Construction Supply Center (DCSC)
Defense Electronics Supply Center (DESC)
Defense General Supply Center (DGSC)
Defense Personnel Support Center (DPSC)
Defense Property Disposal Service (DPDS)
Defense Depot Memphis (DDMT)
Defense Depot Ogden (DDOU)
Defense Depot Tracy (DDTC)
Defense Depot Mechanicsburg (DDMP)
Defense Logistics Agency Administrative Support Center (DASC)

Categories of individuals covered by the system:

Defense Logistics Agency (DLA) civilian employees serviced by Offices of Civilian Personnel at the activities listed under LOCATION and other Department of Defense civilian employees who are both serviced by the Offices of Civilian Personnel and paid by the activities listed under LOCATION.

Categories of records in the system:

Employee data segment of APCAPS data bank, including data being manually collected prior to implementation of the automated record system. For the civilian personnel segment of APCAPS, the employee data segment of the APCAPS data bank contains, for civilian employees, current personnel data on employment status and selected personal data, such as Social Security Number (SSN), name, sex, minority group designator, date of birth, age, physical handicap, Government insurance, military reserve status, retired military status, education, whether individual passed the Federal Service Entrance Examination or the Professional and Administrative Career Examination, status preceding employment with DLA, U.S. citizenship, and veterans preference.

Position data segment of APCAPS data bank. For the civilian personnel segment of APCAPS, the position data segment of the APCAPS data bank contains position data pertinent to established positions, both those positions occupied by a civilian employee as well as those not so occupied.

Personnel history file. The personnel history file contains a profile of selected civilian employee personnel data as of the most recent transaction processed against it, as well as a chronological extract of all prior transactions processed on the employee.

Authority for maintenance of the system:

5 U.S.C., Sec. 301, 302; EO 10561; Federal Personnel Manual, Chapter 293.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes of the system are to effect Federal personnel actions, maintain the Federal personnel service control system, fulfill Federal personnel reporting requirements, and provide information to officials of DLA for effective personnel management and personnel administration.

Prospective employees. For employment determination purposes.

Credit firms. For verification of data for credit determination purposes.

Taxing authorities. For tax administration purposes.

Officials of the Executive Branch. For performance of official duties.

Officials of the Legislative Branch. For performance of official duties.

Officials of the Judicial Branch. For performance of official duties.

Hospitals, medical offices and institutions. For medical/hospital administration purposes.

Executor or administrator of the estate of a deceased employee, former employee, or annuitant, or next-of-kin. For estate settlement purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tapes or discs. Computer paper printouts. Paper records in file folders.

Retrievability:

Information identified to a specific civilian employee is accessed and retrieved by Social Security Number.

Safeguards:

Records are either secured in locked storage and/or file cabinets or under the constant observation of personnel office officials during duty hours. During non-duty hours, records are either secured in locked storage and/or file cabinets; the records file area is locked, and/or the building is which the records are stored is protected by building security guard. If the records area is not protected by security guard, all records must be locked. Individually identifiable personnel documents will either be handcarried or will be transmitted in envelopes addressed to a specific office or individual and marked to be opened by addressee only. Magnetic tapes and disc are kept in the computer room which is itself a security container with locked door and access limited to persons appropriately cleared and identified. Tapes and disc packs are stored in a tape library when not used in processing, and are logged in and out only to cleared personnel with an official need. Reports with individual data are closely controlled. Computer personnel who process these reports are appropriately cleared and maintain continuous observation of reports during all processing phases. Indivudual requesting information must identify himself/herself and his/her relationship to the individual upon whom the record information is being requested. Individual other than the individual of record must specify what information is requested and the purpose for which it would be used if disclosed. Personnel office official determines if request is reasonable and consistent with provisions of the Freedom of Information Act and the Privacy Act of 1974. In order to prevent unauthorized modification of records contents, original records documents may only be reviewed in the presence of a witness designated by the Personnel Office.

Physical access, that is the ability to obtain the record, is limited to:.

Personnel office officials

Civil Service Commission officials

Data processing officials

Supervisors for those records for which they are authorized to maintain.

Responsible officials are granted temporary custody of an original record in order to monitor the review of the record by the individual to whom it pertains, when the individual is geographically remote from the personnel office.

Retention and disposal:

Records which are filed in the Official Personnel Folder (OPF) are retained in the personnel office until the employee leaves the agency. At that time the permanent portion of the OPF is transferred to the gaining Federal agency and temporary OPF records are destroyed by shredding or burning. Copies of records which are furnished to the employee concerned, may be retained at his or her discretion. Copies of records authorized to be maintained by supervisors or other operating offices are destroyed by shredding or burning when the employee leaves the agency. Operating records maintained within the Civilian Personnel Office may be retained up to three years, as needed. At that time, or sooner, they may be destroyed by burning or shredding.

System manager(s) and address:

Staff Director, Civilian Personnel, HQ DLA and Directors of Civilian Personnel at DCSC, DPDS, DESC, DGSC, DPSC, DDMT, DDOU, DDTC, DDMP, or DASC.

Notification procedure:

Written or personal requests may be directed to the SYSMANAGER at the activity where the record is maintained. Individual must provide name (last, first, middle initial) and SSN in order to determine whether or not the system contains a record about him/her. If a written request, individual must provide a return address.

For personal visits, the individual should be able to provide some acceptable identification, such as employing office identifiaction card.

Record access procedures:

Written requests are required. The request is to contain the name of the individual (last, first, middle initial), SSN, return mailing address, telephone number where individual can be reached during the day, and a signed statement certifying that the individual understands that knowingly or willfully seeking or obtaining access to records about another individual under false pretenses is punishable by a fine of up to 5,000 dollars. Complete records are maintained only on magnetic tapes or discs and are not available for access by personal visits.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Agency supervisors and administrative personnel, medical officials, previous Federal employers, U.S. Civil Service Commission, applications and forms completed by individual.

Systems exempted from certain provisions of the act:

None

S434.20DLA-C

System name:

434.20 Mechanization of Contract Administration Services - 1B Payroll (MOCAS 1B)

System location:

Records maintained at all Defense Contract Administration Service Regions (DCASRs) less Philadelphia (DCRP).

Categories of individuals covered by the system:

Current and former civilian personnel who have been paid by the DCASRs.

Categories of records in the system:

Records are maintained in manual and mechanical files for all data which affect an employee's pay, deductions, employer contributions, leave, retirement, or position status.

Authority for maintenance of the system:

10 USC 136, DoD Dir. 5105.22

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used in preparing payrolls.

Information is used by: Agency supervisors and managers - to determine leave usage, manpower allocations. Payroll office - to compute and control payroll. Personnel office - to determine leave usage and changes that affect an employee's pay. Security office - to determine location of employees. Disbursing office - to determine the distribution of checks and bonds. Financial Institutions - to determine disposition of net pay or allotments of pay. Treasury Department - to determine registration of bonds and federal tax allocation. Unions, charities, and insurance organizations - to determine participation in these organizations. Civil Service Commission - to determine status of employee and for disposition of retirement records. State and local taxing authorities - to determine tax liability.

Non-government organizations - to verify employment and credit data furnished to financial institutions by an employee. Bureau of Employment Compensation - to process employee disability claims. State employment offices - to submit data for unemployment compensation. Local courts - to determine disposition of pay withheld for garnishment of wages.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Microfilm, magnetic tape, disc pack, computer paper printouts, vertical file cards, paper records in file folders.

Retrievability:

Hardcopy documents are filed by payroll block and/or alphabetically by last name. Data stored on mechanized storage devices are retrieved by name, employee number or SSAN.

Safeguards:

Access to mechanical records is limited to authorized DLA data systems personnel. All other records are maintained in areas accessible only to agency personnel.

Retention and disposal:

Retention of data varies from 1 to 3 days for mechanical working files up to an employee's total length of service with an activity for permanent payroll information.

System manager(s) and address:

Comptroller, DLA.

Notification procedure:

Written or personal requests for information may be directed to the Chief, Payroll and Travel Branch, Accounting and Finance Division, Office of Systems and Financial Management at DCASRs.

Record access procedures:

Written requests must contain the full name of the employee. Employees making a personal request for information must present identification, i.e., employee badge, driver's license, etc. Official mailing addresses are in the Department of Defense directory in the appendix to the DLA system of record notices.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel office, financial institutions, local courts, military services or other government agencies.

Systems exempted from certain provisions of the act:

None

S434.87DLA-C

System name:

434.87 Debt Records for Individuals

System location:

Primary System - Accounting and Finance Division, Finance Systems Branch, Headquarters, Defense Logistics Agency (HQ DLA). Secondary system - DLA Primary Level Field Activities (PLFAs).

Categories of individuals covered by the system:

Current and former civilian and military personnel who are indebted to the U.S. Government.

Categories of records in the system:

Administrative reports with supporting documentation; employee's financial condition; personnel actions, and requests for waiver.

Authority for maintenance of the system:

31 USC 951-953 (Federal Claims Collection Act of 1966); Public Law 90-616; Public Law 92-453.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is used to collect monies owed the U.S. Government. Information is maintained to support case files; financial statements provide an understanding of individuals' financial condition with respect to request for deferment of payments. When debts are uncollectible, case files are forwarded to U.S. General Accounting Office for further collection action.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee name.

Safeguards:

Records are maintained in areas accessible only to office personnel.

Retention and disposal:

Records are destroyed ten years after all aspects of the case are closed. Collected in full claims are retained for six months and then destroyed. Claims terminated, compromised or waived are retained for three years and subsequently retired to Federal Records Center, held for remaining years and destroyed. Claims settled by U.S. General Accounting Office retained one year after settlement and retired to Federal Records Center, held for remaining years and retired.

System manager(s) and address:

Chief, Finance Systems Branch, Accounting and Finance Division, Office of Comptroller, HQ DLA.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER.

Record access procedures:

Official mailing address is in the DoD Directory in the appendix to the DLA systems notice. Written requests from individuals should contain their full name, current address and telephone number. For personal visits, the individual should be able to provide acceptable identification, such as an employee badge or driver's license, etc.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Primary Level Field Activities, civilian and military personnel offices.

Systems exempted from certain provisions of the act:

None

S491.10 DLA-M

System name:

491.10 Nonappropriated Fund (NAF) Membership Records

System location:

Officers Open Messes at Defense Construction Supply Center (DCSC), Defense Electronics Supply Center (DESC), Defense General Supply Center (DGSC), Defense Personnel Support Center (DPSC), Defense Depot Ogden (DDOU), Defense Depot Tracy (DDTC), Golf Club at Defense Depot Memphis (DDMT)

Categories of individuals covered by the system:

Members of the NAF

Categories of records in the system:

The record contains the member's name, rank, social security number, spouse's name, birthdate, and home/office telephone number.

Authority for maintenance of the system:

5 USC Secs. 301, 302

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The record is maintained to have a current file of membership in the activity. The records are used by the manager of the fund to determine eligibility for membership, mailing NAF activity notices, billing for dues, indicating payment or non-payment of dues, social functions, and membership card number. The record could be used by the Council to terminate membership for nonpayment of dues.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Card files. The records may also be automated.

Retrievability:

Filed alphabetically by last name

Safeguards:

Maintained in areas accessible only to authorized personnel

Retention and disposal:

Destroy one year after member departs

System manager(s) and address:

The manager of the NAF at DCSC, DESC, DGSC, DPSC, DDMT, DDOU, DDTC

Notification procedure:

Contact the SYSMANAGER by signing a request for the data or personal visit with identification.

Record access procedures:

Contact the SYSMANAGER. Official mailing addresses of SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice.

Contesting record procedures:

The rules for contesting contents and appealing initial determination by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Assignment orders, ID Card, financial records.

Systems exempted from certain provisions of the act:

None

S493.10DLA-K

System name:

493.10 Official Personnel Folders for Non-Appropriated Fund Employees

System location:

Geographically and organizationally decentralized to the Defense Logistics Agency (DLA) primary level field activities which employ non-appropriated fund employees.

Categories of individuals covered by the system:

All employees of non-appropriated fund (NAF) activities of DLA and former such employees.

Categories of records in the system:

Various forms and records pertaining to the selection and appointment of NAF employees, personnel actions and other records originating during an employee's service and records pertaining to the employee's separation, classification, training, adverse or disciplinary actions, and other employment related forms and documents.

Authority for maintenance of the system:

5 U.S.C. Sec. 301,302, 10 U.S.C. Sec. 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information is collected and maintained to provide personnel officials and supervisory officials with information on which to base employment decisions affecting employees. It also provides a record of the employee's employment. The use of the record is restricted to official personnel administration uses and for answering inquiries from credit sources or other outside sources when appropriate and requested.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by employee name.

Safeguards:

Maintained in locked filing cabinets. Direct access to the files is limited to civilian personnel office employees and to supervisors and others who are identified as having a specific and legitimate need.

Retention and disposal:

Folders are maintained for the duration of the employee's employment. They are retired to the National Personnel Records Center (civilian), 11 Winnebago Street, St. Louis, Missouri 63118, 30 days after separation, except as follows:

Off-duty U. S. Military personnel, destroy 2 years after termination of employment.

Non-U. S. citizens residing outside of Continental United States (CONUS), Alaska, or Hawaii but working within CONUS, Alaska, and Hawaii, destroy 3 years after separation.

System manager(s) and address:

Civilian Personnel Officers (CPOs) of DLA Primary Level Field Activities (PLFAs) where there are NAF employees.

Notification procedure:

Request for information from an employee about himself or herself should be forwarded to the SYSMANAGER at the PLFA where the employment occurred, and contain requestor's full name and location of organization where employed. The requestor may visit the Office of Civilian Personnel of the appropriate field activity to obtain information on whether the system contains records pertaining to him or her.

Record access procedures:

Individuals should contact the SYSMANAGER. Official mailing addresses are in the DoD Directory in the appendix to the DLA systems notice. Written requests should include requestor's full name, job title and name of organization where employed. For personal visits employee should be able to provide some acceptable identification such as driver's license or employee identification badge.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Information contained in the folder is obtained from the employee's previous employer, educational institution, trade associations, references and others who would have knowledge of the employee's skills or employment characteristics and papers originating with the activity during the employee's work history.

Systems exempted from certain provisions of the act:

None

S672.70DLA-X

System name:

672.70 Dependents Travel

System location:

Transportation Officer or Civilian Personnel Officer (CPO) at Primary Level Field Activities (PLFA)

Categories of individuals covered by the system:

Dependents of civilian personnel authorized travel to new duty station

Categories of records in the system:

Documents relating to arrangements for movements of dependents such as applications for transportation, and authorizations to obtain passports, and port calls.

Authority for maintenance of the system:

5USC 5724 5USC 5724, Relocation expenses of employees transferred or reemployed

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained and used by Agency personnel to ensure completion of pre-travel arrangements, satisfactory conclusion of travel to new duty stations and for preparation of statistical reports. Non-government personnel-applications for visas are forwarded to appropriate foreign country Embassies.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed numerically by Travel Order (TO) number

Safeguards:

Records are maintained in areas accessible only to Agency personnel

Retention and disposal:

Records are destroyed after two years

System manager(s) and address:

Staff Director, Administration, Defense Logistics Agency and Transportation Officer or CPO, PLFA

Notification procedure:

Written or personal requests for information may be directed to SYSMANAGER. Individual must provide full name, TO number, and name of DLA activity from which travel was initiated.

Record access procedures:

Official mailing addresses of SYSMANAGER are in the Department of Defense Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address, travel orders numbers, and telephone numbers of the individual. For personal visits, the individual should be able to provide copy of travel orders and some acceptable identification, such as driver's license.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Individual employee concerned and servicing civilian personnel officer.

Systems exempted from certain provisions of the act:

None

S690.10DLA-W

System name:

690.10 Individual Vehicle Operators File

System location:

Decentralized: At all Primary Level Field Activities (PLFAs) which issue vehicle operator's Identification Cards (I.D.): Heads of PLFAs.

Categories of individuals covered by the system:

All persons for whom Defense Logistics Agency (DLA) has issued permits to operate motor vehicles or equipment.

Categories of records in the system:

Applications for identification cards which may include personal data and the following: State and number of currently valid license; list of arrests or summonses for violation of motor vehicle laws (excluding parking violations) and convictions, if any; suspensions or revocations of his state license or identification card within the past five years; and any motor vehicle accidents within the past five years. Standard Form 47 and other related papers.

Authority for maintenance of the system:

Federal Property and Administrative Services Act of 1949, as amended (40 USC 471); Federal Personnel Manual, Chapter 930.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are maintained and used by DLA officials to determine an individual's qualifications and fitness to operate government vehicles and/or equipment. Referral to local, state, and federal law enforcement agencies and courts for use during investigations and court proceedings.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by name and social security number.

Safeguards:

Records are accessible only to DLA officials.

Retention and disposal:

Records are destroyed 3 years after the individual's termination or transfer or after cancellation of authorization.

System manager(s) and address:

Heads of PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which licensing occurred; or if individual is or was a DLA employee, name of employing activity is also required.

Record access procedures:

Official mailing addresses of SYSMANAGERS are in the DoD Directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, current address and telephone numbers of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is, driver's license, employing office identification card, and give some verbal information that could be verified from his file.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

State driver's licenses, Standard Forms 47 and 48, court records, supervisors, and related documents.

Systems exempted from certain provisions of the act:

None

S810.50 DLA-P-1

System name:

810.50 Contracting Officer Files

System location:

Director of Procurement, Headquarters Defense Logistics Agency (HQ DLA), and Heads of DLA Primary Level Field Activities.

Categories of individuals covered by the system:

All Present and Former Contracting Officers.

Categories of records in the system:

DLA Headquarters - Contracting Officer Certificate of Appointments; Contracting Officer Appointment Documentation Sheet (contains information on education, training and experience). Field Activities - Resumes, references and records of training necessary to support the appointment of each contracting officer. Summary of each Contracting Officer's proficiency and evaluation of performance for the twelve (12) months preceding supplied by the employing procurement division. Comments and recommendations of the Contracting Officer Review Board on continuing the warrants of each reviewed Contracting Officer.

Authority for maintenance of the system:

10 USC 2302, Armed Services Procurement Regulation 1-405-2(b) and Defense Logistics Procurement Regulation 1-405.2(b). The Office of each appointing authority shall maintain a file containing all documents (such as resumes, references, and records of training) necessary to support the appointment of each contracting officer.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

DLA Headquarters - Provide a current profile of contracting officers. Field Activities - Necessary to maintain an active, centralized control over the issuance of Contracting Officer warrants. This file serves as the source for historical information on each Contracting Officer which is essential for annual reviews of performance. It is also a registry for the quantity of warrants and their distribution. The information is used by the members of the Contracting Officer Review Board, at activities where they exist, to perform their function of advising and recommending to the Commander the issuance or termination of warrants.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, and loose leaf binders.

Retrievability:

Filed by organizational activity and alphabetically by last name of Contracting Officer. Chronological actions by Contracting Officer Review Board are filed in separate folders.

Safeguards:

Records are maintained in an area accessible only to Office of Procurement Policy Personnel

Retention and disposal:

Documents relating to and reflecting the designation of Contracting OFFICERS AND TERMINATIONS OF SUCH DESIGNATIONS (Designating Office - Destroy 6 years after termination of appointment. Others - Destroy upon termination of appointment.)

System manager(s) and address:

Executive Director, Directorate of Procurement DLA and Heads of PLFAs.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and name of DLA activity at which employed.

Record access procedures:

Official mailing address of SYSMANAGER are in the DoD Directory in the appendix to the DLA systems notice. Requests should contain the full name, current address and telephone number of the individual. For personal visits, the individual should be able to provide some acceptable identification, that is driver's licence, or DLA identification card.

Contesting record procedures:

The Agency's rules for contesting contents may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, Contracting Officer Review Board.

Systems exempted from certain provisions of the act:

None

S850.10DLA-Q 1

System name:

850.10 Quality Assurance Activity Certification Report

System location:

Primary System - Computer tape in the library of each Defence Contract Administration Services Region (DCASR). Decentralized segments - Print-outs of all or part of this record may be maintained by the DCASR Quality Assurance Directorate, Defense Contract Administration Services District (DCAS), Defense Contract Administration Services Office (DCASO) where individual is assigned. The official mailing addresses of the organization cited are contained in the Department of Defense Directory in the Appendix to the Defense Logistics Agency system of records notice.

Categories of individuals covered by the system:

Applies to all DCASR QA personnel involved in Procurement Quality Assurance (PQA) functions at each DCASR

Categories of records in the system:

The system contains name, grade and step, organization assigment, type of position, length of service information, certifications awarded, technical courses completed, courses for which the individual has been nominated and special qualifications as appropriate.

The file is created and maintained during the employee tenure in DCASR Quality Assurance and is deleted when his employment is terminated or upon transfer to another government agency. Changes are made as courses are completed or specific goals are met requiring a file update.

Authority for maintenance of the system:

Title 5, USC 4103

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for purposes of determining training requirements, training costs, qualifications for certification in various commodity fields and records of those certified in various commodity fields. The information is used by the first line supervisor in determining the need for training consistent with the individuals past experience and the current goals or needs of the DCASR organization.

The DCASR Training Coordinator uses the information in summary form to justify the need and priority for training.

Individual data is used only at the DCASR.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape in the computer tape library.

Retrievability:

Filed by person code assigned to each individual.

Safeguards:

Records are maintained in areas accessible only to DCASR personnel.

Retention and disposal:

Records are destroyed after two years.

System manager(s) and address:

DCAS Quality Assurance Staff Development Office (DQADO)

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name and person code if known.

Record access procedures:

Official mailing addresses are in the DoD directory in the Appendix to the DLA systems notice. Written requests for information should contain the full name, person code and telephone number of the individual. For personal visits the individual should have their DLA identification card. The system provides a report of data by individual. A copy of the report is available to the individual through his supervisor. When a change/ update has been made to the computer file, an updated version of the individual file is distributed to the individual, the appropriate supervisor and the training coordinator.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned by be obtained from the SYSMANAGER.

Record source categories:

Employees supervisor, college and technical school staffs for course contents and government training school personnel and record.

Systems exempted from certain provisions of the act:

None

S850.10DLA-Q 2

System name:

850.10 Monthly Quality Assurance Activity Report by Person

System location:

Primary System - Computer tape in the tape library of each Defense Contract Administration Services Region (DCASR). Decentralized segments - print-outs of all or part of this record may be maintained by the DCASR Quality Assurance Directorate, Defense Contract Administration Services District (DCASD), Defense Contract Administration Services Office (DCASO), where individual is assigned. The official mailing addresses of the organization cited are contained in the Department of Defense Directory in the Appendix to the Defense Logistics Agency system of records notice.

Categories of individuals covered by the system:

All Quality Assurance personnel performing PQA functions at contractor facilities.

Categories of records in the system:

Record of hours devoted by an individual person performing Procurement Quality Assurance (PQA) functions in the contractor's plant, Record may include specific categories of effort in PQA as well as count of actions, contract count and dollar value of contracts received, completed and shipments.

Authority for maintenance of the system:

Title 5, USC 4103

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The information is used by the first line supervisor to determine how direct labor (individual) effort is distributed for the purpose of evaluating mission effectiveness and performance. The individual data is used only within the DCASR and its subordinate activities.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape in the computer tape library, printed copies in the DCASR, District, DCASO offices.

Retrievability:

Printed reports may be filed by person code under the Division, Branch and Section to which facilities or personnel are assigned.

Safeguards:

Records are maintained in areas accessible only to DCASR personnel.

Retention and disposal:

Destroy records after two years.

System manager(s) and address:

Plans and Systems Mgmt Division (DLA-QR)

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER. Individual must provide full name, person code, Division and Branch assigment.

Record access procedures:

Official mailing addresses are in the DoD directory in the appendix to the DLA systems notice. Written requests for information should contain the full name, person code and telephone number of the individual. For personal visits the individual should have his/her DLA identification card.

The system provides for a monthly report in summary form by individual of all data/information reported during the month. The individual normally receives a copy of this data through supervisory channels.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

The source of the data/information is the individual. No other source is used.

Systems exempted from certain provisions of the act:

None

S866.15DPSC

System name:

866.15 Manufacturing Payroll System; Weekly Piece Work

System location:

Defense Personnel Support Center (DPSC), Philadelphia, Pa.

Categories of individuals covered by the system:

Current and former civilian personnel who have been paid by the manufacturing payroll system.

Categories of records in the system:

Records are maintained for all data which affect an employee's pay, deductions, employer contributions, leave and retirement.

Authority for maintenance of the system:

5 USC Ch. 53, Pay Rates & Systems, 10 USC 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Information is maintained for purposes of affecting the weekly pay. INFORMATION IS USED BY Agency supervisors and managers - to determine leave usage, manpower allocations and labor distribution. Payroll office - to compute and control payroll. Personnel office - to determine leave usage and changes that affect an employee's pay. Security office - to determine location of employees. Disbursing office - to determine the distribution of checks and bonds. Financial Institutions - to determine disposition of net pay or allotments of pay. Treasury Department - to determine registration of bonds and federal tax allocation. Unions, charities, and insurance organizations - to determine participation in these organizations. Civil Service Commission - to determine status of employee and for disposition of retirement records. State and local taxing authorities - to determine tax liability. Non-government organizations - to verify employment and credit data furnished to financial institutions by employee. Bureau of Employment Compensation - to process employee disability claims. State employment offices - to submit data for unemployment compensation. Local courts - to determine disposition of pay withheld for garnishment of wages.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Magnetic tape, disc pack, computer paper printouts, paper records in file folders.

Retrievability:

Records are maintained in alphabetical and employee number order.

Safeguards:

Access to mechanical records is limited to authorized DPSC data systems personnel. All other records are maintained in areas accessible only to office personnel.

Retention and disposal:

Records are retained 18 months to 3 years after their active termination of employment.

System manager(s) and address:

Chief, Accounting and Finance Division, Office of Comptroller DPSC.

Notification procedure:

Written or personal requests for information may be directed to the SYSMANAGER.

Record access procedures:

Written requests must contain the full name and social security number of the employee. Employees making a personal request must present identification; i.e., employee badge, driver's license, etc. Official mailing addresses are in the Department of Defense directory in the appendix to the DLA system of record notices.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations by the individual concerned may be obtained from the SYSMANAGER.

Record source categories:

Employee's supervisors, civilian personnel offices, financial institutions, local courts, other government agencies.

Systems exempted from certain provisions of the act:

None

DEFENSE LOGISTICS AGENCY OFFICIAL MAILING ADDRESSES

Headquarters, Defense Logistics Agency
Cameron Station, Alexandria, Virginia 22314
Special Assistant for Congressional Affairs
Special Assistant for Public Affairs
Inspector General
Counsel
Assistant Director, Plans, Programs, and Systems
Comptroller
Command Security Officer
Staff Director, Administration
Staff Director, Civilian Personnel
Staff Director, Installations and Services
Staff Director, Management Review
Staff Director, Military Personnel
Staff Director, Small and Disadvantaged Business Utilization
Executive Director, Procurement
Executive Director, Supply Operations
Executive Director, Technical and Logistics Services
Executive Director, Contract Administration
Executive Director, Industrial Security
Executive Director, Production
Executive Director, Quality Assurance

DEFENSE LOGISTICS AGENCY PRIMARY LEVEL FIELD ACTIVITIES (Alphabetically by State)

CALIFORNIA

Defense Contract Administration
Services Region, Los Angeles
11099 South La Cienega Blvd.
Los Angeles, California 90045
Defense Depot Tracy
S. Chrisman Road
Tracy, California 95376

GEORGIA

Defense Contract Adminstration
Service Region, Atlanta
805 Walker Street
Marietta, Georgia 30060

ILLINOIS

Defense Contract Administration
Services Region, Chicago
O'Hare International Airport
6400 North Mannheim Road
P.O. Box 66475
Chicago Illinois 60666

MASSACHUSETTS

Defense Contract Administration
Services Region, Boston
666 Summer Street, Boston, Massachusetts 02210

MICHIGAN

Defense Logistics Service Center
Federal Center
Battle Creek, Michigan 49016
Defense Property Disposal Service
Federal Center
Battle Creek, Michigan 49016

MISSOURI

Defense Contract Administration
Services Region, St. Louis
1136 Washington Avenue
St. Louis, Missouri 63101

NEW YORK

Defense Contract Administration
Services Region, New York
60 Hudson Street
New York, New York 10013

OHIO

Defense Contract Administration
Services Region, Cleveland
Anthony J. Celebrezze Federal Building
1240 East Ninth Street
Cleveland Ohio 44199
Defense Construction Supply Center
Columbus, Ohio 43215
Defense Industrial Security Clearance Office
P.O. Box 2499

Columbus, Ohio 43216
Defense Logistics Agency Systems
Automation Center
P.O. Box 1605
Columbus, Ohio 43216
Defense Electronics Supply Center
1507 Wilmington Pike, Dayton, Ohio 45444
Defense Automatic Addressing System Office
Gentile Air Force Station
Dayton, Ohio 45444

PENNSYLVANIA

Defense Depot Mechanicsburg
Mechanicsburg, Pennsylvania 17055
Defense Contract Administration
Services Region, Philadelphia
P.O. Box 7478
Philadelphia, Pennsylvania 19101
Defense Industrial Supply Center
700 Robbins Avenue
Philadelphia, Pennsylvania
19111
Defense Personnel Support Center
2800 South 20th Street
Philiadephia, Pennsylvania
19101

TENNESSEE

Defense Depot Memphis
2163 Airways Boulevard
Memphis, Tennessee 38114
Defense Industrial Plant
Equipment Center
Memphis, Tennessee 38114

TEXAS

Defense Contract Administration
Services Region, Dallas
500 South Ervay Street
Dallas, Texas 75201

UTAH

Defense Depot Ogden
Ogden, Utah 84407

VIRGINIA

Defense Documentation Center
Cameron Station
Alexandria, Virginia 22314
Defense Fuel Supply Center
Cameron Station
Alexandria, Virginia 22314
Defense Logistics Agency Administrative
Support Center
Cameron Station
Alexandria, Virginia 22314
Defense General Supply Center
Richmond, Virgina 23297

[BILLING CODE 3620-01]

DEFENSE INVESTIGATIVE SERVICE

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

V1-01

System name:

V1-01 Privacy and Freedom of Information Request Records

System location:

Office of the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Categories of individuals covered by the system:

Individuals who have submitted or were the subjects of requests under 5 U.S.C. 552 and 552a.

Categories of records in the system:

Copies of all correspondence with requesters or pertaining to requests for information released or withheld; summaries, and logs of actions taken regarding requests.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations
5 U.S.C. 552 as amended by P. L. 93-502, Freedom of Information Act.
5 U.S.C. 552a (P.L. 93-579) Privacy Act of 1974.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes for which information is maintained:
To permit responses to individual requests.
To document actions taken for agency use in subsequent requests, appeals, or litigation.
To provide a basis for reports required by the laws and implementing directives.
To correct or amend investigative or other records. Categories of Users and specific uses are: DIS Assistant for Information, action officers, legal and appeal officials for the uses described above.
Action officers of other agencies when coordination or referral is necessary for the purposes listed above.
DIS investigative control personnel when the release of information may have an impact on investigative activities, or where investigative activity is necessary to verify assertions of the requester, or obtain permission for release of identification of sources.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Information is retrieved by the name of the subject of the request.

Safeguards:

Records are maintained in security containers and only personnel who have a need to know the information are permitted access.

Retention and disposal:

A log entry is made and a file folder established upon the receipt of each request. Copies or summaries of key documents are retained for as long as released material is retained.

System manager(s) and address:

The DIS Assistant for Information at the address listed under location.

Notification procedure:

Requests should be addressed to the SYSMANAGER. The full name, date and place of birth, Social Security Number and the approximate date of earlier requests are necessary for retrieval of information. The Office of the Assistant for Information, Defense Investigative Service (D0020), ROOM 2H043, 1000 Independence Ave. S.W., Washington, DC 20314 may be visited by personnel making inquiries regarding this system. A check of personal identification will be required of all visitors making inquiries for personal records.

Record access procedures:

Access may be obtained through the SYSMANAGER at the address previously listed.

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the SYSMANAGER.

Record source categories:

Information in this system is obtained from requesters, from other federal agencies with collateral interest in a request, and from records which were the subject of requests.

Systems exempted from certain provisions of the act:

Information in this system may identify all or portions of records previously withheld in accordance with the exemptions of 5 U.S.C. 552(b) or 5 U.S.C. 552a(j) or (k). Any such exemptions will continue on requests of this system submitted under the same law.

V1-02

System name:

V1-02 DIS Personnel Locator System

System location:

Primary System- Administrative Division, Directorate of Logistics and Services (D0145), Defense Investigative Service, Forrestal Bldg., 1000 Independence Ave., S.W., Washington, DC
Decentralized Segments - Field units including centers.

Categories of individuals covered by the system:

Military and civilian personnel assigned or attached to DIS.

Categories of records in the system:

Primary system contains DISHQ Form 4, DIS Locator Card. Field unit decentralized segments include DISHQ Form 4 or optional documents reflecting the required information.

Authority for maintenance of the system:

5 U.S.C. 301, DoD Directive 5105.42, and DIS Regulation 1-10.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purposes:
Records are used to maintain a locator system of all personnel assigned to the Defense Investigative Service.
Users:
Records are used by administrative personnel and supervisors in headquarters and field units.
Uses:
To determine current assignment of DIS personnel.
As an aid in distributing communications addressed to individuals.
To make and to verify entries in required personnel rosters, directories, and listings subject to certain restrictions placed on the information by the individuals concerned.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records.

Retrievability:

Filed alphabetically by last name.

Safeguards:

Filed in security containers or locked file cabinets, accessible only to authorized personnel that clearly have a need to know the information.

Retention and disposal:

Records remain in the active file until departure of the individual, when they are placed in the inactive file and destroyed after one year.

System manager(s) and address:

Chief, Administrative Division (D0145), Defense Investigative Service, Forrestal Bldg, 1000 Independence Ave., S.W., Washington, DC 20314.

Notification procedure:

Information may be obtained from the primary system by contacting the SYSMANAGER. Information regarding decentralized segments may be obtained from the field unit maintaining portions of these records.

Record access procedures:

Access to any records maintained as a part of this system may be obtained from the DISHQ or field unit maintaining them.

Contesting record procedures:

While not considered applicable, DIS rules are described in DISR 28-4.

Record source categories:

Only the individual on whom records are maintained.

Systems exempted from certain provisions of the act:

None.

V2-01

System name:

V2-01 Inspector General Complaints

System location:

Office of the Inspector General, Defense Investigative Service, (D0010), 1000 Independence Ave. S.W., Washington, DC 20314

Categories of individuals covered by the system:

Past and present civilian employees of the DIS and military personnel currently or formerly assigned to DIS for duty who have made a complaint, or requested assistance from the Inspector General, or whose complaint or request has been referred to the Inspector General for action, assistance or information.

Categories of records in the system:

Documents which have been provided by individual complainants in support of their requests, or which have been provided by others in support of, or in rebuttal to, these requests, such as: letters of reprimand, personal financial statements, medical records, promotion board actions, travel orders, personnel computer printouts, medical bills from civilian sources, accident reports, reports of survey, records of personnel actions, evaluation reports, efficiency reports, test results, courtesy letters, letters of appreciation or commendation, screening board actions, leave and earnings statements, movement orders for household goods.

Authority for maintenance of the system:

5USC301

DoD Dir 5105.42 (paragraph III B5, part VI), Charter for the Defense Investigative Service

DoD Dir 5200.26 (paragraph 5C2), Defense Investigative Program

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

The purpose for which information in the system is collected is the resolution of a complaint, the redress of a problem or to provide assistance.

The users are: members of Congress, DIS management officials, various service IG offices, various military personnel offices, boards, and record management offices.

The specific uses are: to correct records; take or recommend disciplinary action; reevaluate or rescind previous actions or decisions; conduct or recommend formal investigations or inquiries; provide assistance or guidelines in following prescribed procedures for specific problems; and to provide advice on how to obtain exception to policy.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed by name

Safeguards:

Building employs security guards. Files are contained in a locked file safe and accessible only to the IG staff. Information from this record system is made available to other officials only on a need to know basis.

Retention and disposal:

Destroyed after two years by pulping.

System manager(s) and address:

Inspector General, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from: Assistant for Information (D0020), Room 2H043, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC 20314, Telephone: Area Code 202/693-1740

Record access procedures:

Requests from individuals should be addressed to: Defense Investigative Service (D0020) Washington, DC 20314

Written requests for information should contain the full name of the individual, current address and telephone number, and the identity of the DIS element with which affiliated. Visits are limited to the Office of the Assistant for Information (D0020) Room 2H043, 1000 Independence Ave. S.W., Washington, DC 20314

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information at the above listed address.

Record source categories:

DIS personnel office, consolidated civilian personnel offices, DIS comptroller, military personnel offices, military finance offices, military medical record repositories, DIS Investigative Files.

Systems exempted from certain provisions of the act:

None

V4-01

System name:

V4-01 Civilian Employee Personnel Records

System location:

Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211 Baltimore, MD 21203

Civilian Personnel Division (D0151), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314. 1000 Independence Avenue, Washington, D.C. 20314.

Categories of individuals covered by the system:

Civilian employees of the Defense Investigative Service.

Categories of records in the system:

Permanent and temporary records pertaining to the individual's employment.

Authority for maintenance of the system:

Executive Order 10561
FPM Supplement 990-1, Book III, Parts 293 and 294
FPM Chapter 295
5USC301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

Individual's employment history; disclosure for verification of personnel information; details of employee qualifications; eligibility for proposed personnel actions or new employment.

USERS

Personnel specialists
Personnel clerks
DIS supervisors with a clear need for the information.
Accredited investigators with a clear need for the information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, or
5 X 8 cards in card file drawers

Retrievability:

Filed alphabetically by last name of employee

Safeguards:

Buildings employ security guards. Records are maintained in locked file cabinets, accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Records are both permanent and temporary. Permanent records are transferred to the National Personnel Records Center when no longer required by the agency. Temporary records are destroyed when the file leaves the agency, or when utility of the record is no longer significant.

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314; and, Chief Civilian Personnel Branch (D0154), P.O. Box 1211 Baltimore, MD 21203.

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGERS

Written requests for information should contain the full name of the requesting individual, current address and telephone number, if known, and the name of the individual that appears on the desired file. Visits are limited to: SYSMANAGERS offices

For personal visits, the individual should be able to provide some acceptable identification, i.e., driver's license or building pass.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determination by the individual concerned may be obtained from the Assistant for Information, (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Record source categories:

Previous employers, references, supervisors, U.S. Veterans Administration, U.S. Civil Service Commission, DIS Civilian Personnel Office, DIS Security Officer, other Federal agencies.

Systems exempted from certain provisions of the act:

None

V4-02

System name:

V4-02 Optional Personnel Management Records (OPMR)

System location:

Primary System - Director of Personnel (D0150) Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314 and Civilian Personnel Branch, Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203

Decentralized Segments - Partial records are maintained at staff directorates, district headquarters, operational centers and field offices. (See DoD appendix for addresses.)

Categories of individuals covered by the system:

Military and civilian personnel assigned or attached to DIS and those being considered for assignment or employment.

Categories of records in the system:

File contains records which may include working documents, copies of correspondence and forms processed in anticipation of, or during, tour of duty with DIS that relate to assignment, security clearance, promotion, duty status, training, special duty, retirement, separation, reenlistment, performance appraisals, matters pertaining to military specialty qualification, manner of performance, morale and discipline, special personnel management and assignment factors and other personnel actions that affect the individual or his assignment with DIS. Qualification records, leave and financial documents, and award recommendations are also among the items that may be included in the records. Decentralized portions also contain emergency notification and locator information, security clearance data, individual workload and productivity measurement records (e.g., DIS Form 45) not necessarily retained by DISHQ Personnel Division activities.

Authority for maintenance of the system:

Executive Order 10561, 5 USC 301, DOD Directive 5105.42, Charter for the Defense Investigative Service (DIS), and other DIS, DOD and CSC directives on records maintenance and disposition

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

PURPOSES

Records are used in fulfilling military and civilian personnel management responsibilities in both field elements and DIS headquarters.

USERS

Records are used by directors, commanders and supervisors at the Field Office, District and DIS headquarters level.

Primary users are the Director of Personnel, the Civilian and Military Personnel Officers and their staffs, and the Director, DIS.

USES

To serve as basis for recommendations for employment, selection, assignment, promotion, awards, training, relief and disciplinary actions.

To record appraisals of performance and performance ratings.

To record reenlistment, retirement, separation and relief from active duty or employment.

To record information on qualifications, schooling, training, experience and career programs affecting personnel actions.

To record morale and disciplinary actions.

To document completed actions, as basis for responding to inquiries, and for use in substantiating and processing subsequent related personnel actions.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records

Retrievability:

Filed alphabetically by last name

Safeguards:

Records filed in security containers or locked file cabinets, accessible only to authorized personnel that clearly have a need to know the information.

Retention and disposal:

Documents in each record are retained for one calendar year following year in which individual departed DIS and then destroyed, unless earlier destruction is prescribed. Manhour documents (DIS Form 45) are maintained for four months only.

System manager(s) and address:

Director of Personnel (D0150), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from: SYSMANAGER

Record access procedures:

Access to partial decentralized segments may be obtained from District/Field Office headquarters. Requests from an individual for information pertaining to himself from the centralized repository should be addressed to the SYSMANAGER at the above address.

Written requests for information should contain the full name of the individual, current address and telephone number, grade, SSN, unit and period of assignment with DIS. Visits should be made to the SYSMANAGER.

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information, (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314.

Record source categories:

Sources of information other than from the individual are servicing Civilian Personnel Offices (CPO), the Military Departments and the individual's commander or supervisor.

Systems exempted from certain provisions of the act:

None

V4-04

System name:

V4-04 Civilian Applicant Records

System location:

Civilian Personnel Division (D0151), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D.C. 20314

Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211 Baltimore, MD 21203.

Categories of individuals covered by the system:

Applicants for positions with the Defense Investigative Service.

Categories of records in the system:

Temporary record of applicants' stated interest in and/or qualifications for employemnt.

Authority for maintenance of the system:

FPM Chapter 333
FPM Chapter 332
5USC301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

Identification of applicants, and determination of eligibility for positions with DIS disclosure to other agencies for verification.

USERS

Personnel specialists of DIS and the CSC
Personnel clerks
Supervisors with a clear need for this information
Accredited investigators.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in files, looseleaf binders
Paper files of 3 X 5 cards.

Retrievability:

Filed by type of position for which the applicant applied, or
Filed alphabetically by last name of applicant, or
Filed numerically by Sequential Control Number.

Safeguards:

Buildings employ security guards. Records are maintained in files, accessible only to authorized personnel that are properly screened, cleared, and trained.

Retention and disposal:

Records are temporary, and are destroyed in accordance with DIS Records Disposition Schedule.

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314; and, Chief, Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203.

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGERS

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired file. Visits are limited to: SYSMANAGERS offices.

For personal visits, the individual should be able to provide some acceptable identification, eg., driver's license or building pass.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information, (D0020) Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Record source categories:

Civilian Personnel Officers
Personnel clerks
Civilian personnel specialists
U.S. Civil Service Commission.
Subject Individual.

Systems exempted from certain provisions of the act:

None

V4-05

System name:

V4-05 Military Personnel Management Information System (MILPERS)

System location:

Primary System-Information Services Division (D0830) Personnel Investigative Center, P.O. Box 1211 Baltimore, MD 21203

Decentralized Segments-Military Personnel Division and Security Division, DIS Headquarters; Support Services Division, PIC; DIS District Headquarters and Field Offices.

Categories of individuals covered by the system:

All military personnel currently assigned or attached to DIS and those projected for assignment.

Categories of records in the system:

File contains computer records consisting of: (a) Identification Data on the individual; (b) Assignment Data; (c) Duty Information; (d) Basic Personnel Data; (e) Personal Data; (f) Agent qualifications.

Authority for maintenance of the system:

DOD Directive 5105.42, Charter for the Defense Investigative Service.

5 USC 301

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Personnel Managers in DIS: To monitor manning posture of DIS elements, statistical reporting, to respond to requests for personnel data from internal DIS, DOD and Congressional sources, determine qualification and eligibility for specific assignments, training or reassignments within DIS, locator reference, strength accountability, verification of manually prepared personnel actions.

Administrative Personnel in DIS: To prepare personnel actions, i.e., award recommendations, retirement applications, etc., as locator reference file, mail routing, for input of data to central file to produce consolidated reports for DISHQ staff elements.

Commanders/Supervisors in DIS: To monitor manning situation for unit under jurisdiction, determine qualification of personnel for special duty assignment or duty in selected areas, meet administrative reporting requirements.

DIS Security Officer: To monitor gains and losses to insure currency of files and security briefing/debriefing, determining periodic revalidation requirements, respond to queries concerning security clearance or access information.

DIS Headquarters Staff: To make decisions on policy and procedural matters, determine agent qualifications, security access, and complete administrative actions.

In the event that records maintained in this system indicate a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, or the granting of benefits by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and paper output in folders or binders

Retrievability:

Filed by Social Security Number (SSN)

Safeguards:

Magnetic tape storage is within a secured area accessible only to authorized personnel.

Paper products are secured in cabinets and only personnel with a need to know are granted access to these documents.

Retention and disposal:

Magnetic tape records are retained on active file until individual's departure from DIS and then on historical file for 3 years. After 3 years, erased from computer file and output reports reflecting personnel data on the individual destroyed by shredding or chemical decomposition. Paper products are retained for one year following the departure of the individual.

System manager(s) and address:

Director of Personnel (D0150), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from: SYSMANAGER

Record access procedures:

Access to partial decentralized segments may be obtained from District/Field Office headquarters. Requests from an individual for information pertaining to himself from the centralized repository should be addressed to the SYSMANAGER at the above address.

Written requests for information should contain the full name of the individual, current address and telephone number, grade, SSN, unit and period of assignment with DIS. Visits should be made to the office of the SYSMANAGER

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information, (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314.

Record source categories:

Sources of information other than from the individual are Military Departments and the individual's commander or supervisor.

Systems exempted from certain provisions of the act:

None

V4-06

System name:

V4-06 Civilian Personnel Management Information System (CPMIS)

System location:

Primary System-Information Services Division (D0830), Personnel Investigations Center, P.O. Box 1211, Baltimore, MD 21203

Decentralized Segments-Civilian Personnel Division and various DIS Headquarters elements.

Categories of individuals covered by the system:

Civilian employees of the DIS.

Categories of records in the system:

Records consisting of: identification and employment data; special qualifications and other information found in the Official Personnel Record

Authority for maintenance of the system:

Title 5, United States Code
Section 301 (Agency Regulations)
Section 1302 (regulations)
Section 2951 (reports to the Commission)
Section 4118 (training)
Section 4308 (performance rating)
Section 4506 (incentive awards)
Sections 5113, 5115, and 5338 (classification)
Section 6311 (leave)
Sections 8334(f), 8342(b), 8343(a), and 8347 (retirement)
Section 8716 (life insurance)
Section 8913 (health insurance)
Civil Service Rules, sections 7.2, 5.1, 5.2 and 5.3
Executive Order 10561, September 13, 1954
Executive Order 9830, section 01.2(e) and (f), February 24, 1947 as amended
Executive Order 10800, section 2(d), January 15, 1959
Executive Order 10988, section 14, January 17, 1962
Executive Order 11222, section 405, May 8, 1965
Executive Order 11246, Section 104, September 24, 1965 as amended
DOD Directive 5105.42, Charter for the Defense Investigative Service

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses

CSC, DOD and internal reports on employment characteristics of civilian employees

The identification of personnel with selected characteristics or special qualifications.

Users

Personnel Specialists and Clerks.
DIS Commanders and supervisors with a need to know.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Computer magnetic tape and paper output in folders or binders.

Retrievability:

Filed by date of listing, organization of assignment, name or Social Security Number (SSN).

Safeguards:

Magnetic tape storage is within a secured area accessible only to authorized personnel.

Paper products are secured in cabinets and only personnel with a need to know are granted access to these documents. Personnel with access are properly screened, cleared and trained.

Retention and disposal:

Magnetic tape records and paper products of this system are retained until individual's departure from DIS and then on historical file for 90 days.

System manager(s) and address:

Chief, Civilian Personnel Officer, (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from: SYSMANAGER

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGER

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired listing. Visits are limited to SYSMANAGER or Civilian Personnel Branch (D0154), Bldg. 320, Fort Holabird, Baltimore Maryland

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314.

Record source categories:

Notifications of Personnel Action, SF-50 and 50a, Payroll Change Notices, SF1126, Personnel Qualifications Statements, SF-171 and certificates of training.

Systems exempted from certain provisions of the act:

None

V4-07

System name:

V4-07 Adverse Actions, Grievance Files and Administrative Appeals

System location:

Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203

Civilian Personnel Division (D0151), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314

Categories of individuals covered by the system:

Affected civilian employees of the Defense Investigative Service

Categories of records in the system:

Notifications of Personnel Actions
Findings of inquiry into allegations of grievance or complaints

Authority for maintenance of the system:

FPM Chapter 751
FPM Chapter 752 and 5 U.S.C. 301.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

Consideration by examiner and appellate levels of the specifics of each case within and outside of DIS.

In preparing the instant case and subsequent cases for consideration.

USERS

Personnel Specialists and clerks.
DIS and U.S. Civil Service Commission appellate personnel.
Management staff of DIS with a clearly demonstrable need to know specifics of the case.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Filed alphabetically with the Official Personnel Folder
Filed by functional code in personnel office files

Safeguards:

Buildings employ security guards. Records are maintained in file cabinets, accessible only to authorized personnel who are properly screened, cleared and trained.

Retention and disposal:

Records are both permanent and temporary. Permanent records are filed in the Official Personnel Folder. Temporary records are destroyed when the individual leaves DIS, or they are no longer needed. Individual records may be retained indefinitely in subjective reference files.

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314; and, Chief, Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203.

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGERS

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired file. Visits are limited to SYSMANAGERS offices.

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records, contesting contents, and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314.

Record source categories:

Supervisors, complainants, investigators, appropriate law enforcement agencies, servicing civilian personnel offices, appellate agencies.

Systems exempted from certain provisions of the act:

None

V4-08

System name:

V4-08 EEO Complaints

System location:

Primary System

Civilian Personnel Division (D0151), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D.C. 20314

Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203

Decentralized Segments - at Districts, DIS Headquarters and Centers by EEO Counselors

Categories of individuals covered by the system:

Persons involved in complaints and DIS civilian employees who have been officially counselled.

Categories of records in the system:

Temporary records pertaining to the individual's complaint of discrimination.

Authority for maintenance of the system:

FPM 713

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

To determine effectiveness of EEO Program.

To determine validity of and trends in complaints.

As a basis for corrective action if a finding of discrimination is made.

USERS

EEO officials

Personnel Specialists and clerks

EEO Counselors at Headquarters, Centers and Districts

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Alphabetically by last name of complainant

Safeguards:

Records are maintained in locked file cabinets accessible only by authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are temporary and destroyed within two years following the resolution of the complainant. Primary system records may be retained in subjective reference files.

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314; and Chief, Civilian Personnel Branch, Defense Investigative Service, P.O. Box 1211 Baltimore, MD 21203

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals for access to centralized records should be addressed to Defense Investigative Service, Civilian Personnel Division (D0151), Rm 2H086, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired file. Visits are limited to Civilian Personnel Division, Room 2H086, Forrestal Bldg., 1000 Independence Ave. S.W., Washington, D. C. 20314

For personal visits, a check of personal identification will be required.

Access to decentralized segments (counselling records) by individuals concerned may be obtained locally.

Contesting record procedures:

DIS rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314

Record source categories:

Civilian employees of this agency

Systems exempted from certain provisions of the act:

None

V4-09

System name:

V4-09 Merit Promotion Plan Records

System location:

Civilian Personnel Branch, (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203

Civilian Personnel Division (D0151), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314

Categories of individuals covered by the system:

Civilians who have applied for certain vacancies within the Defense Investigative Service

Categories of records in the system:

Temporary records pertaining to the individual's consideration for promotion

Authority for maintenance of the system:

FPM Chapter 335

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

To identify eligible candidates for specific promotion opportunities.

USERS

Personnel specialists and clerks of this agency.

Supervisors of this agency with interest in the particular promotion action

Accredited investigators with a clear need for the information.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Appraisals filed alphabetically by employees last name

Promotion panel computations filed by announcement number

Safeguards:

Buildings employ security guards. Records are maintained in locked cabinets, accessible only to authorized personnel that are properly screened, cleared and trained.

Retention and disposal:

Records are destroyed two years after the effective date of the establishment of the promotion register

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314; and, Chief, Civilian Personnel Branch (D0154), P.O. Box 1211, Baltimore, MD 21203.

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGERS

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired file. Visits are limited to SYSMANAGES offices.

For personal visits, a check of personal identification will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, D. C. 20314.

Record source categories:

Evaluation of ranking panel members, supervisory appraisals, appraisal of potential by supervisor.

Systems exempted from certain provisions of the act:

None

V4-10

System name:

V4-10 Incentive Awards

System location:

Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203

Categories of individuals covered by the system:

Civilian and military personnel of the Defense Investigative Service or persons outside of DIS making suggestions relating to DIS functions.

Categories of records in the system:

Temporary records relating to proposed awards and suggestions.

Authority for maintenance of the system:

5 USC 301

FPM Chapter 451

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

Records are used to provide basis for recommending action on proposed awards including but not limited to awards for length of service, quality step increases, sustained superior performance, special act and service, meritorious and exceptional service, outstanding performance, and similar awards.

USERS

Executive Secretary, Incentive Awards Committee, and committee members and coordinators of suggestions.

Personnel specialists and clerks

Accredited investigators of the U. S. Civil Service Commission

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders

Retrievability:

Suggestions filed by number.

Award actions are filed alphabetically by last name of individual.

Safeguards:

Building employs security guards. Records are maintained in file cabinets, accessible only to authorized personnel that are properly trained, cleared and screened.

Retention and disposal:

Records are temporary and are destroyed when no longer required for a maximum of two years.

System manager(s) and address:

Chief, Civilian Personnel Officer (D0151), Civilian Personnel Division, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314; and, Chief, Civilian Personnel Branch (D0154), Defense Investigative Service, P.O. Box 1211, Baltimore, MD 21203.

Notification procedure:

Information may be obtained from: SYSMANAGERS

Record access procedures:

Requests from individuals should be addressed to: SYSMANAGERS

Written requests for information should contain the full name of the individual, current address and telephone number, and the name of the individual that appears on the desired file. Visits are limited to SYSMANAGERS offices.

For personal visits a check of personal documents will be required.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information (D0020), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314.

Record source categories:

Reports of evaluating officials, committee determinations.

Systems exempted from certain provisions of the act:

None

V5-01

System name:

V5-01 Investigative Files System

System location:

Defense Investigative Service (DIS), Investigative Files Division, (D0840) P.O. Box 1211, Baltimore, MD 21203 has primary control over the system and is responsible for the maintenance of completed investigative records. The Special Investigations Center, 1000 Independence Ave. S.W., Washington, DC 20314 maintains limited categories of these records. DIS operational centers; District Offices; Field Offices; Resident Agencies and various DIS headquarters staff elements originate and have temporary control over portions of records.

Categories of individuals covered by the system:

Military personnel who are on active duty, applicants for enlistment or appointment and reservists and National Guardsmen; DoD civilian personnel who are paid from appropriated funds; industrial or contractor personnel who are working in private industry in firms which have contracts involving access to classified DoD information or installations; Red Cross personnel and personnel paid from nonappropriated funds who have DoD affiliation; ROTC cadets; former military personnel; individuals residing on, having authorized official access to, or conducting or operating any business or other functions at any DoD installation or facility.

Individuals not affiliated with the Department of Defense when, during the previous year, their activities have directly threatened the functions, property or personnel of the DoD or they have engaged in, or conspired to engage in, criminal acts on DoD installations or directed at the DoD.

Categories of records in the system:

Official Reports of Investigations (ROI's) prepared by DIS or other DoD, Federal, state or local official investigative activities

DIS Information Summary Reports (ISR's) which record unsolicited information received by DIS concerning a person or incident which is of direct interest to other DoD components or Federal agencies. (When such information is received by DIS it is reported as it was received, without investigation or confirmation, by ISR and transmitted to the interested activity.)

Attachments to ROI's or ISR's including exhibits, subject or interviewee statements, police records, medical records, fingerprint cards, credit bureau reports, employment records, education records, release statements, summaries of or extracts from other similar records or reports.

Case control and management documents which are not reports of investigation, but that serve as the basis for investigation, or serve to guide and facilitate investigative activity, including documents providing the data to open and conduct the case, such as the Personnel Security Investigation Request; documents, initiated by the subject such as personnel history documents, and fingerprint records; and documents used in case management and control, such as release statements, case transfer forms, and documents directing the inquiry.

DIS file administration and management documents accounting for the disclosure, control and access to a file, such as warning sheets, separators, forwarding correspondence and accounting records required by 5 U.S.C. 552 and 552a.

Cross references to chronological correspondence files disclosing unfavorable and administrative action taken based on DIS investigations.

Authority for maintenance of the system:

Section 301 of 5 U.S.C. Departmental Regulations

Section 310 of 44 U.S.C. Records Management

Sections 2, 3, 4, 5, 6, 8 and 9, Executive Order 10450, Security Requirements for Government Employment.

Section 6(A), Executive Order 11652, Classification and Declassification of National Security Information and Material.

Sections III and V, DoD Directive 5105.42, Charter for the Defense Investigative Service.

Section IIIA, DoD Directive 5200.2b, Defense Investigative Program.

Section IV A and B, DoD Directive 5200.27, Acquisition of Information Concerning Persons and Organizations not Affiliated with the Department of Defense.

Section IX, DoD Directive 5210.7, Department of Defense Civilian Applicant and Employee Security Program.

Section I, DoD Directive 5210.8, Policy on Investigation and Clearance of DoD Personnel for Access to Classified Defense Information.

Section VII, DoD Directive 5210.9, Military Personnel Security Program

Section V A 2., DoD Instruction 5210.25, Security Acceptability of American National Red Cross Employees at Department of Defense Installations and Activities.

Section I, DoD Instruction 5210.26, Investigation of American National Red Cross Employees on Duty at Department of Defense Installations and Activities in the Zone of Interior.

Encl 3, paragraphs b 2 and 3, DoD Directive 5210.41, Security Criteria and Standards for Protecting Nuclear Weapons.

Section III, DoD Directive 5210.45, Personnel Security in the National Security Agency.

Section VII, DoD Directive 5210.55, Selection of Department of Defense Military and Civilian Personnel for Assignment to Presidential Support Activities.

Section IV, C, DoD Directive 5220.6, Industrial Personnel Security Clearance Program.

Section V B, DoD Instruction 5220.28, Application of Special Eligibility and Clearance Requirements in the SIOP-ESI Program for Contractor Employees.

Section 1 (a) and 2, Executive Order 10865, Safeguarding Classified Information Within Industry.

Section III, DoD Instruction 5030.34, Agreement between the Department of Defense concerning Protection of the President and Other Officials.

Paragraph 10, Director of Central Intelligence Directive No. 1/14, Uniform Personnel Security Standards and Practices Governing Access to Sensitive Compartmented Information C.

Section II, DSA Regulation 5705.2, Criminal Investigative Support to the Defense Supply Agency.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Purpose for which collected.

Personnel security investigative information is collected to insure that the acceptance or retention of persons to sensitive DoD positions, or granting individuals access to classified information, including those employed in defense industry, is clearly consistent with national security.

Criminal investigative information is collected on request to identify offenders, provide facts and evidence upon which to base prosecution and effect the recovery of property which has been wrongfully appropriated.

Information contained in ISR's (see description in RECORD-CATEGORY) regarding criminal, personnel security, counterintelligence, or intelligence matters, when received, is disseminated to appropriate Federal agencies or other DoD components.

Criminal and personnel security information is collected during reciprocal investigations conducted for other DoD and federal investigative elements (or in limited instances, criminal information for local, or state law enforcement agencies) for maintenance and use by the requesting activity.

Information regarding alleged security violations is collected on request to establish whether or not a compromise occured and to identify the personnel involved.

Criminal information received by DIS personnel in the course of their duties which is of direct interest to a local law enforcement agency and therefore furnished to that agency orally or by letter.

Users of DIS investigative information are:

(1) DIS personnel in the course of their official duties.

(2) Other accredited DOD investigative components, DOD agencies, elements of the Military Departments designated by the departments and representatives of the Secretary of Defense and the Joint Chiefs of Staff.

(3) Accredited Federal criminal and civil law enforcement and intelligence agencies.

(4) State and local official criminal law enforcement agencies.

(5) Other accredited federal agencies conducting investigations to evaluate suitability for employment or access to classified information.

(6) Congressional committees and the Government Accounting Office.

Specific uses of DIS investigative records are:

To determine the loyalty, suitability, eligibility, and general trustworthiness of individuals for access to Defense information and facilities by the first two categories of users, above.

To determine the eligibility and suitability of individuals for entry into and ,retention in the Armed Forces by the second category of users, above.

To provide information pertinent to the protection of persons under the provisions of 18 U.S.C. 3056, by the first three categories of users, above.

For use in criminal law enforcement investigations including statutory violations, counterintelligence, as well as counterespionage and other security matters by the first through fourth and the sixth categories of users, above.

In the event that records maintained in this system indicate a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

To provide information in judicial or adjudicative proceedings including litigation, or in accordance with a court order by the first three categories of users, above.

To make statistical evaluations of DIS investigative activities by the first, second and sixth categories of users, above.

To respond to Freedom of Information and Privacy Act access requests, by the first category of users, above.

To provide information in response to Inspector General, and EEO or other complaint investigations and Congressional inquiries by the first, second and sixth categories of users, above.

To determine the eligibility and suitability of an individual for personnel actions in the Armed Forces of the United States, as deemed appropriate by the second category of users, above.

A record such as identification data, from this system of records may be disclosed as a routine use to a federal, state local or foreign agency maintaining relevant information or to business enterprises to obtain employment records if necessary to obtain information relevant to an assigned investigation.

A record from this system of records may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter by any agency of the first, second, third or fifth categories of users, above.

Transfers of information from this record system to other DoD components is a routine intra-agency use under the provisions of 5 U.S.C. 552a3(b)(1).

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders, microfilm, magnetic tape or supplementary index cards.

Retrievability:

Investigations are centrally retrievable through the DIS Case Control System (DCCS) or the Defense Central Index of Investigations (DCII) systems described separately in this notice. Reciprocal investigations jurisdictions, may be retrieved only through a limited manual disclosure accounting system

Safeguards:

Completed investigative records are maintained and stored in power files, open shelves and filing cabinets which are housed in secured areas accessible only to authorized personnel who are properly screened and have a need to know. Information contained on magnetic tape is secured in the same manner as the DCII, described separately. Recipients of investigative information are responsible for safeguarding information within the guidelines provided by DIS.

Retention and disposal:

Retention of closed DIS investigative files is authorized for 30 years maximum, except as follows: (1) Files which have resulted in adverse action against an individual will be retained permanently, (2) Files developed on persons who are being considered for affiliation with the Department of Defense will be destroyed within one year if the affiliation is not completed. In cases involving a pre-appointment investigation, if the appointment is not made due to information developed by investigation, the file will be retained permanently. If the appointment is not made for some other reasons not related to the investigation, the file will be destroyed within one year; (3) Information within the purview of the Department of Defense Directive 5200.27, 'Acquisition of Information Concerning Persons and Organizations Not Affiliated with the Department of Defense', is destroyed within 90 days after acquisition by DIS unless its retention is required by law or unless its retention has been specifically authorized by the Secretary of Defense or through the Chairman, DIRC.

Generally, ISR's and reciprocal investigations are retained for only 60 days.

Partial duplicate records of personnel security investigations are retained for 60 days by DIS field elements. Partial duplicate records in criminal and special investigations are retained for one year.

System manager(s) and address:

Director, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Requests should be addressed to the Assistant for Information, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314. The full name, date and place of birth, and social security account number are necessary for retrieval of information. More information or a notarized statement verifying the identity of requesters may be required. The Information Office, at Room 2H043 1000 Independence Ave., Washington, 20314 DC may be visited by personnel making inquiries regarding this system. A check of personal identification will be required of all visitors making such inquiries.

Record access procedures:

Access may be obtained through the Information Office at the address listed above.

Contesting record procedures:

DIS rules for contesting and appealing initial determinations may be obtained from the Assistant for Information at the address listed above

Record source categories:

Categories of sources of records.

Subjects of investigations.

Records of other DoD activities and components.

Federal, state, county and municipal records.

Employment Records of private business and industrial firms.

Educational and disciplinary records of schools, colleges, universities, technical and trade schools.

Hospital, clinic and other medical records.

Records of commercial enterprises such as real estate agencies, credit bureaus, loan companies, credit unions, banks and other financial institutions which maintain credit information on individuals, transportation companies, (airlines, railroad, etc.)

The interview of individuals who are thought to have knowledge of the subject's background and activities.

The interview of witnesses, victims and confidential sources.

The interview of any individuals deemed necessary to complete the DIS investigation.

Miscellaneous directories, rosters and correspondence.

Any other type of record deemed necessary to complete the DIS investigation.

Systems exempted from certain provisions of the act:

In accordance with subsection 3j(2) of the Act, information maintained by the Special Cases Division of DIS may be exempted from the provisions of subsections (c)(3) and (4); (d); (e)(1), (2) and (3); (e)(5) and (8); and (g). Information maintained by, or at the direction of, this unit includes criminal investigations for which the DIS has primary responsiblity and certain ISR's and reciprocal investigations, and security or counterintelligence information which may be used in criminal prosecution. The withholding of this information will be to allow the DIS Special Cases Division, a criminal law enforcement component, to conduct effective investigations into alleged unlawful activity or crime conductive situations without jeopardizing such investigations. Knowledge of the investigations of the Special Cases Division could enable subjects to take actions to prevent detection of criminal activities, conceal evidence, or to escape prosecution. It could also lead to intimidation of or harm to sources, informants, witnesses and their families. Information from this system will be withheld only to the extent that its release would interfere with such investigations.

Under subsection 3k(1) of the Act, properly classified material contained in DIS investigatory files is exempt from the provisions of subsection (d). This exemption will protect information, the disclosure of which would have an adverse effect on the national defense or foreign policy.

Under subsection 3k(2) of the Act, other investigatory material including certain reciprocal investigations and counterintelligence information is exempt from subsection (c) (3), (d), (e) (4) (G,H and I) and (f) until such time as action is taken regarding allegations, and after that time only to the extent that the information would identify a confidential source who furnished information under an express promise that the identity of the source would be held in confidence (or prior to the effective date of the Act under an implied promise). This exemption will permit the DIS to conduct certain law enforcement investigations effectively and to protect the identities of sources who would not otherwise provide information.

Protective Service: Under subsection 3k(3) of the Act, DIS investigatory material maintained in connection with assisting the US Secret Service (USSS) to provide protective services to the President of the United States or other individuals pursuant to section 3056 of Title 18 is exempt from subsections (c) (3), (d), (e) (1), (e) (4), (g, h and i), and (f). This exemption provision will enable DIS to continue its support of the US Secret Service without compromising the effectiveness of either activity.

Under subsection 3k(5) of the Act, personnel security investigatory material from subsections (c) (3), (d) and (f), is exempt to the extent that the disclosure of such material would reveal the identity of a confidential source as described above. This exemption provision will allow DIS to collect information from certain sources who would otherwise be unwilling to provide information necessary to personnel security investigations.

V5-02

System name:

V5-02 Defense Central Index of Investigations (DCII)

System location:

Central Facility:

Information Services Division, (D0830), Personnel Investigations Center, PO Box 11211, Baltimore, Maryland 21203.

Remote Terminal Locations:

Crime Records Directorate, US Army Criminal Investigations Command, 2301 Chesapeake Avenue, Baltimore, Maryland 21222

Air Force Office of Special Investigations/SUD, Forrestal Building, Washington, D. C. 20314

Naval Investigative Service Headquarters, Hoffman Building 1, 2461 Eisenhower Avenue, ATTN: Code 30, Alexandria, Virginia 22331

Defense Industrial Security Clearance Office, P. O. Box 2499, Columbus, Ohio 43216 (DISCO)

US Army Investigative Records Repository, Building 4452, Fort Meade Maryland 20755

DIS Special Investigations Center, Forrestal Building, Washington, DC 20314

DIS Personnel Investigations Center, D0810, D0820, and D0842, P.O. Box 1211 Baltimore, Maryland 21203

Categories of individuals covered by the system:

Any person described as a subject, a victim, or a cross-reference in an investigation completed by or for a DOD investigative organization when that investigation is retained by the organization and the name is submitted for central indexing.

Categories of records in the system:

DCII MASTER INDEX

Composed of locator references to investigations conducted by or for DOD investigative organizations and retained by them. Index records contain the name and other personal identifying information on individuals who were indexed.

FILE TRACING

Reference to an investigation maintained by one of the investigative records repositories. It identifies the individual by name and personal identifiers, the custodian of the file, the year indexed and the number used by the repository to locate the file.

OPEN CASE TRACING

A record input by either Army investigative activities or DIS reflecting the existence of an investigation in progress. It identifies the subject individual by name and personal identifiers, the location of the open investigation, the year indexed and the number used to locate the investigative file.

NAC PENDING TRACING

Record of a National Agency Check (NAC) investigation in progress. It identifies the subject individual by name, personal identifiers, the case number, the category of the requester of the NAC, and the type of NAC being run.

NAC HISTORY TRACING

A record of completed favorable, or incomplete, national agency checks. It identifies the individual by name and personal identifiers, the date the NAC was completed and the agencies that were checked.

DCII NAME ONLY INDEX (NOI)

Composed of names of persons who are referenced but not fully identified in investigative files. A Name Only Index record identifies the individual by name and lists the custodian agency of the file, year indexed and the number used by the repository to locate the file. Positive identification is impossible from the index and may well be impossible from the case file itself. DIS has placed no records in this index.

Authority for maintenance of the system:

5 U.S.C. 301 Departmental Regulations
44U.S.C. 3101 Records Management
Memorandum, Secretary of Defense, May 27, 1965
Memorandum, Secretary of Defense, December 3, 1965, subject: Establishment of a Central Index of DOD Investigations.
DOD Directive No. 5105.42, April 18, 1972, subject: Charter for Defense Investigative Service (DIS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

File tracing information is collected and maintained in the DCII so that authorized users may determine the existence and location of DOD investigative records.

NAC history information is maintained for authorized users in granting clearances, access to defense installations, entry into military service or employment in sensitive civilian positions.

Categories of users:

Components listed under the LOCATION caption are the principal users and (with the exception of DISCO) the file custodians. Listed terminal holders (with the exception of DISCO) may release general DCII information to users of their investigative records or listed in their investigative records systems descriptions in this register.

It should be noted that information contained in the system is regarded as the property of the submitting activities. DIS can neither monitor, nor assume responsibility for the propriety or accuracy of the data in the system, other than that portion belonging to DIS.

Transfer of information from this records system to other DOD components is a routine intra-agency use under the provisions of 5 U.S.C. 552a3(b)(1). The use of the DCII by terminal holders to advise requesters of the possible location of information, where there is no disclosure of personal information from the DCII, does not require an accounting.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Master Index data is maintained in direct access storage devices, disk and data cell. It is also contained on magnetic tape for continuity of operations purposes to permit processing at alternate locations in the event of computer failure.

Name Only Index data is maintained on magnetic tape and microfiche. Each contributor is provided his portion on a quarterly basis.

Retrievability:

Master Index records are accessed through name and at least one personal identifier (PID). Personal identifiers are: date of birth, place of birth, social security number and the last four (4) digits of military service number. Inquiries may enter the system in card form or by being keyed in at remote terminals. A non-standard retrieval capability also exists which permits retrieval without PID, or on parts of a name, and produces references to all individuals by that name. It should be noted that in many cases, the subject's SSAN is necessary to make a positive identification.

Name Only Index records are accessed through the name or some portion thereof. Records are retrieved based on an exact match with the name submitted. Inquiries may enter the system only in card form.

Safeguards:

Generalized validation is provided in batch retrieval through program edits to prevent unauthorized access.

User terminals with access to the Master Index are located in controlled access areas. Access to the system is limited to specified time of the day. Terminals are connected via dedicated data circuits which prevent access from standard dial-up telephones.

Activities must be a part of DOD and accredited on the basis of authorized requirements before a new terminal is established or before batch requests will be honored and processed. Terminal holders, and organizations authorized access by other means, are responsible for insuring that individuals and organizations to whom they disclose index information have appropriate authority and need to know.

The computer room is located within a building controlled by security personnel at all times. Identification badges are required for entrance. Access to the computer room is controlled by a combination lock on the entrance. Critical backup files are stored in locked fireproof data safes.

Retention and disposal:

Retained for as long as files are retained. When the record repository disposes of the file, they are responsible to delete all index tracings pertaining thereto, in accordance with established procedures. Processing of a deletion transaction flags the computer record which precludes it being given out thereafter. Such flagged records are eliminated from the system during periodic file restructuring procedures.

Open Case Tracings. Retained for as long as the investigation is open. When the investigation is completed, the contributor replaces the open case tracing with a file tracing as described above.

NAC History Tracings. Retained for a period of four (4) years from the date of completion and then automatically deleted unless specific action is sooner taken to delete the record. Should a subsequent favorable NAC be completed, the entering of a new history record will delete the first history record.

NAC Pending Tracings. Retained until completion of the NAC at which time they are replaced by a NAC History or file tracing, unless sooner deleted by the originator.

System manager(s) and address:

Director, Defense Investigative Service, 1000 Independence Ave. SW, Washington, DC 20314

Notification procedure:

Information may be obtained from:

Assistant for Information, Defense Investigative Service (D0020), Room 2H043, Forrestal Bldg., 1000 Independence Ave. S.W., Washington, DC 20314.

Information Required: Full name and all maiden and alias names under which files may be maintained and personal identifiers listed under RETRIEVABILITY. Note, Social Security Account Numbers may be necessary for positive identification of certain records.

Office Which May be Visited: Information Office, Defense Investigative Service, Room 2H043, 1000 Independence Avenue, S.W., Washington, DC 20314.

Proof of Identity: Check of personal documents.

Record access procedures:

Access may be obtained through the Information Office at the address previously listed.

Contesting record procedures:

The agency's rules for access to records, contesting contents and appealing initial determinations by the subject individual may be obtained from the Assistant for Information, at the above address.

Record source categories:

DOD investigative organizations listed under the LOCATION caption, excluding DISCO, and additionally:

Defense Supply Agency, ATTN: DSAH-T Cameron Station, Alexandria, Virginia 22314.

Director of Security, National Security Agency, ATTN: M-552 Fort Meade, Maryland 20755

Assistant Chief of Staff of Intelligence, Department of the Army, ATTN: Counterintelligence Division, Washington, D. C. 20315 (ACSI)

Systems exempted from certain provisions of the act:

In accordance with Subsection 3(j)(2) of the Act, certain references from criminal law enforcement components contained in this system of index records may be exempted from the provisions of subsections (c)(3), (c)(4), (d) and (e)(8). this exemption will allow the contributing components to conduct effective investigations into alleged unlawful activity or crime conductive situations and use the DCII without jeopardizing such investigations. Knowledge of investigations by criminal law enforcement components would enable suspects and subjects to take actions to prevent detection of criminal activities, conceal evidence or to escape prosecution. It could also lead to intimidation of or harm to informants, witnesses, sources and their families. information from this system will be withheld only to the extent that its release would interfere with such investigations.

V5-03

System name:

V5-03 National Agency Check (NAC) Case Control System (NCCS)

System location:

Information Services Division (D0830) Personnel Investigations Center, P.O. Box 1211, Baltimore, Maryland 21203

Categories of individuals covered by the system:

Any person the subject of an active or recently completed National Agency Check conducted by DIS.

Categories of records in the system:

NCCS MASTER FILE

Composed of records of NAC's which are being conducted for DOD activities. Records contain the name and other personal identifying information, the type of NAC, requester category, and case number.

NCCS HISTORY FILE

Consists of records of completed NAC's. Records contain the name and other personal identifying information, the type of NAC, requester category, case number and date closed.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulation
44 U.S.C. 3101, Records Management
DOD Dir 5210.8, 15 February 1962, Policy on Investigation and Clearance of DOD Personnel for Access to Classified Defense Information.
DOD Directive 5105.42, 18 April 1972, Charter for the Defense Investigative Service (DIS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

PURPOSES FOR WHICH COLLECTED

The NCCS Master File records are retained to aid in case management and for the production of statistical reports.

The NCCS History File is used to obtain case management data and statistical reports.

CATEGORIES OF USERS

DIS Case Control Centers and the Defense Industrial Security Clearance Office

SPECIFIC USES

To determine the existence, location and status of the case file.
Control of workload and prepare statistical reports.

AUTOMATED INTERFACES

The Defense Central Index of Investigations (DCII) System as described separately in this notice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The NCCS Master File is maintained on magnetic tape.

Retrievability:

Records may be accessed through name or case control number. Queries may enter the system in either card or tape form or indirectly through the DCII.

Safeguards:

As described in the DCII system description, this notice.

Retention and disposal:

Monthly history tapes are retained for two years.

System manager(s) and address:

Director, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from:

Assistant for Information, Defense Investigative Service, Room 2H043, Forrestal Bldg, 1000 Independence Ave. S.W., Washington, DC 20314

INFORMATION REQUIRED

Full name and all maiden or alias names under which files may be maintained.

Personal Identifiers which include date and place of birth, social security number, and last four digits of military service number.

OFFICES WHICH MAY BE VISITED

Assistant for Information, Defense Investigative Service, Room 2H043, 1000 Independence Ave. S.W., Washington, DC 20314

PROOF OF IDENTITY

Routine check of personal documents.

Record access procedures:

Information Office at above address.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information at the address listed above.

Record source categories:

DIS Case Control Centers.

Systems exempted from certain provisions of the act:

None

V5-04

System name:

V5-04 Defense Case Control System (DCCS)

System location:

Information Services Division, (D0830), Personnel Investigation Center, P.O. Box 1211, Baltimore, Maryland 21203

Categories of individuals covered by the system:

Any person or activity the subject of an ongoing or recently completed Defense Investigative Service (DIS) investigation.

Categories of records in the system:

The DCCS Master file is composed of records of investigations which are being or have been conducted for DOD activities. Records contain the name and other personal identifying information on individuals who are investigated.

The DCCS History File consists of records of investigations that have been closed. Records contain the name and other personal identifying information on individuals who have been investigated.

The DCCS Investigative Assignment File (IAF) consists of records of leads assigned to DIS field elements for those investigations in progress as reflected in the DCCS Master file. Records contain the name, social security number, case control number, the investigative leads assigned and their status.

Authority for maintenance of the system:

5 U.S.C. 301, Departmental Regulations
44 U.S.C. 3101, Records Management
DOD Directive No. 5105.42, April 18, 1972, Charter for the Defense Investigative Service (DIS).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

PURPOSES

The DCCS Master File contains open cases and cases closed during the prior 15 days to aid in case management and for the production of statistical reports.

The DCCS History File contains a record of all closed cases to obtain case management data and statistical reports.

The DCCS assignment files are used by DIS field elements to control local aspects of the investigation.

CATEGORIES OF USERS

DIS case control centers and field elements.
The Defense Industrial Security Clearance Office

SPECIFIC USES

To determine the existence, location and status of the cases.
To control workload and prepare statistical reports.
To inform federal agencies or requesters of investigations regarding the status of on-going cases.

AUTOMATED INTERFACES

The DCII System as described separately in this notice.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The DCCS Master File in Direct Access Storage Devices (DASD). A copy of the Master File is also contained on magnetic tape for continuity of operations to permit processing at alternate locations in the event of computer failure.

The DCCS History File is contained in magnetic tape.

DCCS Investigative Assignment Files are retained in paper form.

Retrievability:

Master and History File Records are accessed primarily through the case control number. Records can also be accessed through Military Service Number or Social Security Number. Queries may enter the system in card form and from magnetic tape or indirectly through the DCII.

Lead assignment (IAF) data is retrievable by name of individual or case control number.

Safeguards:

For the Master and History Files as described in the DCII system description, this notice.

IAF documents.

Retention and disposal:

Monthly history tapes are retained for two years. IAF records are retained one year after completion of field leads.

System manager(s) and address:

Director, Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from:

Assistant for Information, Defense Investigative Service (D0020), Room 2H043, Forrestal Bldg., 1000 Independence Ave. S.W., Washington, DC 20314

INFORMATION REQUIRED:

Full name and all maiden or alias names under which files may be maintained.

Personal Identifiers which include date and place of birgh, social security number, and last four digits of military service number.

OFFICES WHICH MAY BE VISITED

Assistant for Information, Defense Investigative Service, Room 2H043, Forrestal Bldg. 1000 Independence Ave. S.W., Washington, DC 20314

PROOF OF IDENTITY:

Routine check of personal documents.

Record access procedures:

Information Office, at above address.

Contesting record procedures:

The agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned may be obtained from the Assistant for Information.

Record source categories:

DIS Case Control Centers

Systems exempted from certain provisions of the act:

In accordance with Subsection 3(j)(2) of the Act, certain references contained in this system of case control records may be exempted from the provisions of subsections (c)(3), (c)(4), (d) and (e)(8). This exemption will allow the DIS Special Cases Division, a criminal law enforcement component, to conduct effective investigations into alleged unlawful activity or crime conductive situations and use the DCCS without jeapordizing such investigations. Knowledge of the investigations of the Special Cases Divisions could enable subjects to take actions to prevent detection of criminal activitites, conceal evidence, or to escape prosecution. It could also lead to intimidation of or harm to sources, informants, witnesses and their families. Information from this system will be withheld only to the extent that its release would interfere with such investigations.

V5-05

System name:

V5-05 Subject and Reference Locator Records.

System location:

A decentralized system maintained by Defense Investigative Service field units.

Categories of individuals covered by the system:

Military personnel and civilian employees of the Department of Defense.

Categories of records in the system:

Personnel, locator, assignment rosters and housing records furnished by Army, Navy, Air Force and Marine Corps posts, bases and stations in the U.S. and Puerto Rico and retained for periods longer than they are retained by originating activities. Examples of such records are Army Locator/Organizational Rosters (A0102.03a DAAG) and Army Housing Files(A1511.01aDAPE).

Authority for maintenance of the system:

10 U.S.C. 133, E.O. 10450, E.O. 10865, DoD Directive 5105.42.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Records are maintained by DIS investigative elements for use in locating supervisors, coworkers and character references of subjects of DIS investigations and to identify or verify the locations and assignments of subjects when this information cannot be obtained through other local sources. Information from this system may be provided to law enforcement agencies for the same purposes.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper listings in files or binders, computer products, microfiche, index cards.

Retrievability:

By name and other identifying data.

Safeguards:

Maintained in locked cabinets or locked rooms and only DIS personnel have access.

Retention and disposal:

Records are retained for a maximum of five years.

System manager(s) and address:

Director, Defense Investigative Service, 1000 Independence Ave. SW., Washington, D.C.20314.

Notification procedure:

Requests should be addressed to the Assistant for Information, Defense Investigative Service, Washington, D.C.20314. The full name, date and place of birth, social security account number, military service numbers are required and the name and location of the post, base, or station and periods of assignment or employment so that a thorough search can be conducted. A notarized statement verifying the identity of requestors is required. The Information Office, at room 2H043, 1000 Independence Ave. S.W., Washington, D.C. may be visited by personnel making inquiries regarding this system. A check of personal identification will be required of all visitors making such inquiries.

Record access procedures:

Access may be obtained through the Information Office at the address listed above.

Contesting record procedures:

DIS rules for access to records and for contesting and appealing initial determinations are contained in 32 CFR Part 298a and DIS Regulation 28-4.

Record source categories:

Military personnel offices, training schools and housing offices for installations.

Systems exempted from certain provisions of the act:

NONE

V6-01

System name:

V6-01 Personnel Security Files

System location:

Primary System - Security Division, (D0146), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Decentralized System - Partial records are maintained at working locations as a part of the Optional Personnel Management Record System described separately in this notice.

Categories of individuals covered by the system:

Every DIS employee, civilian and military, without exception.

Categories of records in the system:

Individual's Certificate of Security Clearance, Security Briefing Statement, Certificates of Clearance from other Services, Defense Central Investigations Index (DCII) check results, summaries of adverse information, debriefing statements, and similar related documents varying in certain cases. Sufficient individual identifying data to confirm identities is also contained in this system.

Authority for maintenance of the system:

Requesting agency, to the extent that the information is relevant and 5 U.S.C. 301 (Departmental Regulations) and DoD Directive 5210.7, Department of Defense Civilian Applicant and Employee Security Program and DoD Directive 5210.8, Policy on Investigations and Clearances of DoD Personnel for Access to Classified Defense Information.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

Uses

Files are to provide a basis for granting security clearances.

Files are also used to provide information of security clearances for individuals attending official activities of other offices on classified matters.

They also are used to provide security clearances information to other governmental offices where change of employment is being considered.

In the event that records maintained in this system indicate a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute or particular program statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, or rule, regulation or order issued pursuant thereto.

A record from this system of records may be disclosed as a 'routine use' to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as employment records, if necessary to obtain information relevant to an agency decision concerning the hiring or retention of an employee, the issuance of a security clearance, or other benefit.

Users

Director of Personnel and his office.

DIS Security officer and his office.

All Supervisors, Commanders, and Office Chiefs, but only for confirming clearance level information.

Security officials of other DoD elements or governmental agencies when required for clearance verification or pre-employment consideration. consideration.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Individual files are established when an application for employment or assignment to the DIS is first received. As an investigation is completed and adjudicated, a clearance certificate is filed. If the file is unfavorable and the individual is not accepted, the file is placed in the 'dead' file section and retained for one year.

Storage:

Paper records in file folders.

Retrievability:

Filed alphabetically by last name.

Safeguards:

For the primary system building employs security guards (Federal Protective Service). Records are maintained in locked containers in areas accessible only to authorized personnel who have a need to know.

Retention and disposal:

Records are maintained for the period of time an individual is assigned to the DIS and for one year afterwards. Disposal is as classified waste.

System manager(s) and address:

Chief, Security Division (D0146), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information regarding the primary system may be obtained from: Security Officer (D0146), Defense Investigative Service, Room 3F087, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC 20314

Record access procedures:

Access to the decentralized records may be obtained at any time. Requests for access to the primary system from individuals should be addressed to: The Assistant for Information, Defense Investigative Service, ATTN: D0020, 1000 Independence Ave. S.W., Washington, DC 20314

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to the Office of The Assistant for Information, Defense Investigative Service, Room 2H043, 1000 Independence Ave. S.W., Washington, DC 20314

For personal visits, a check of peronal documents will be conducted.

Contesting record procedures:

The Agency's rules for contesting contents and appealing initial determinations may be obtained from the Assistant for Information Office at the above address.

Record source categories:

Application and related forms from the individual, summaries of information from background investigations of the individual.

Systems exempted from certain provisions of the act:

None

V6-02

System name:

V6-02 Special Compartmented Intelligence (SCI) Access file.

System location:

Security Division, (D0146), Defense Investigative Service, 1000 Independence Ave. S.W., Washington, DC 20314

Categories of individuals covered by the system:

DIS personnel who have been granted Special Access to SCI information.

Categories of records in the system:

A roster is maintained of personnel holding access clearances and a certificate of clearance for each such individual.

Authority for maintenance of the system:

DIAM 50-1 (C).

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

USES

The SCI Access File is used to determine who in DIS has an SCI clearance.

Data is used also to monitor the program within DIS.

USERS

DIS Security Officer, and his office.

Chief, DIS Special Investigations Center, to determine SCI clearance for assignment of investigative duties entailing access.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

All data is maintained in one file folder. The roster is provided by DIA. Copies of clearance certificates are maintained for each individual having the special access. When a person is taken off this access and has been debriefed, this is noted in the file.

Storage:

Paper records in file folder.

Retrievability:

Roster is in alphabetical order; clearances are filed in chronological order.

Safeguards:

Files are maintained in an authorized security container within a locked room. The Federal Protective Service controls entrance to the building.

Retention and disposal:

Records are maintained for the period that the individual is granted the special access and then for one year thereafter.

System manager(s) and address:

Chief, Security Division (D0146), Defence Investigation Service, 1000 Independence Ave. S.W., Washington, DC 20314

Notification procedure:

Information may be obtained from:

SYSMANAGER, Chief, Security Division, Defense Investigative Service, Room 3F087, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC 20314, Telephone: Area Code 202/693-0720

Record access procedures:

Requests from individuals should be addressed to: Assistant for Information, Defense Investigative Service, ATTN: D0020, Room 2H043, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC 20314.

Written requests for information should contain the full name of the individual, current address and telephone number. Visits are limited to Office of Information, Defense Investigative Service, Room 2H043, Forrestal Building, 1000 Independence Ave. S.W., Washington, DC-20314

Contesting record procedures:

The agency's rules for contesting contents and appealing initial determinations may be obtained from the Assistant for Information, at the above listed address

Record source categories:

Personnel Security File on the individual.

Systems exempted from certain provisions of the act:

None

UNIFORMED SERVICES UNIVERSITY OF HEALTH SCIENCES

REQUESTING RECORDS

Records are retrieved by name or by some other personal identifier. It is therefore especially important for expeditious service when requesting a record that particular attention be provided to the Notification and/or Access Procedures of the particular record system involved so as to furnish the required personal identifiers, or any

other pertinent personal information as may be required, to locate and retrieve the record.

BLANKET ROUTINE USES

Certain blanket 'routine uses' of the records have been established, that are applicable to every record system maintained within the Department of Defense, unless specifically stated otherwise within a particular record system. These additional blanket routine uses of the records are published below, only once in the interest of simplicity, economy and to avoid redundancy, before the individual record system notices begin rather than repeating them in every individual record system.

ROUTINE USE - LAW ENFORCEMENT

In the event that a system of records maintained by this component to carry out its functions indicates a violation or potential violation of law, whether civil, criminal or regulatory in nature, and whether arising by general statute, or by regulation, rule or order issued pursuant thereto, the relevant records in the system of records may be referred, as a routine use, to the appropriate agency, whether federal, state, local or foreign, charged with the responsibility of investigating or prosecuting such violation or charged with enforcing or implementing the statute, rule, regulation or order issued pursuant thereto.

ROUTINE USE - DISCLOSURE WHEN REQUESTING INFORMATION

A record from a system of records maintained by this component may be disclosed as a routine use to a federal, state or local agency maintaining civil, criminal or other relevant enforcement information or other pertinent information, such as current licenses, if necessary to obtain information relevant to a component decision concerning the hiring or retention of an employee, the issuance of a security clearance, the letting of a contract, or the issuance of a license, grant or other benefit.

ROUTINE USE - DISCLOSURE OF REQUESTED INFORMATION

A record from a system of records maintained by this component may be disclosed to a federal agency, in response to its request, in connection with the hiring or retention of an employee, the issuance of a security clearance, the reporting of an investigation of an employee, the letting of a contract, or the issuance of a license, grant, or other benefit by the requesting agency, to the extent that the information is relevant and necessary to the requesting agency's decision on the matter.

ROUTINE USE - CONGRESSIONAL INQUIRIES

Disclosure from a system of records maintained by this component may be made to a congressional office from the record of an individual in response to an inquiry from the congressional office made at the request of that individual.

ROUTINE USE WITHIN THE DEPARTMENT OF DEFENSE

A record from a system of records maintained by this component may be disclosed as a routine use to other components of the Department of Defense if necessary and relevant for the performance of a lawful function such as, but not limited to, personnel actions, personnel security actions and criminal investigations of the Component requesting the record.

ROUTINE USE - PRIVATE RELIEF LEGISLATION

Relevant information contained in all systems of records of the Department of Defense published on or before August 22, 1975, will be disclosed to the Office of Management and Budget in connection with the review of private relief legislation as set forth in OMB Circular A-19 at any stage of the legislative coordination and clearance process as set forth in that Circular.

ROUTINE USE - DISCLOSURES REQUIRED BY INTERNATIONAL AGREEMENTS

A record from a system of records maintained by this Component may be disclosed to foreign law enforcement, security, investigatory, or administrative authorities in order to comply with requirements imposed by, or to claim rights conferred in international agreements and arrangements including those regulating the stationing and status in foreign countries of Department of Defense military and civilian personnel.

ROUTINE USE - DISCLOSURE TO STATE AND LOCAL TAXING AUTHORITIES

Any information normally contained in IRS Form W-2 which is maintained in a record from a system of records maintained by this Component may be disclosed to State and local taxing authorities with which the Secretary of the Treasury has entered into agreements pursuant to Title 5, U.S.Code, Sections 5516, 5517, 5520, and only to those State and local taxing authorities for which an employee or military member is or was subject to tax regardless of whether tax is or was withheld. This routine use is in accordance with Treasury Fiscal Requirements Manual Bulletin Nr. 76-07.

ROUTINE USE - DISCLOSURE TO THE OFFICE OF PERSONNEL MANAGEMENT

A record from a system of records subject to the Privacy Act and maintained by this component may be disclosed to the Office of Personnel Management concerning information on pay and leave, benefits, retirement deductions, and any other information necessary for the Office of Personnel Management to carry out its legally authorized Government-wide personnel management functions and studies.

ROUTINE USE - DISCLOSURE OF INFORMATION TO NARS (GSA)

A record from a system of records maintained by this component may be disclosed as a routine use to the National Archives and Records Service of the General Services Administration in records management inspections conducted under authority of 44 U.S.C. 2904 and 2906.

ROUTINE USE - DISCLOSURE TO DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

All systems of records relating to compensation, employment or retirement, or extracts therefrom, maintained by this Component may be disclosed as a routine use to the Department of Health, Education, and Welfare for the purpose of comparing such record with records of programs administered by and in the possession of the Department of Health, Education, and Welfare in order to verify information where such verification is required by law or regulation or to identify violations or potential violations of law, whether criminal, civil, or regulatory, and whether arising by general statute or particular program statute, or by regulation, rule, or order issued pursuant thereto.

WUSU01

System name:

Uniformed Services University of the Health Sciences (USUHS) Personnel Files

System location:

A central personnel record file will be maintained at the USUHS Personnel/Manpower Office, 4301 Jones Bridge Road, Bethesda, MD 20014. Copies of 171's and curriculum vitae's of applicants and employees will be maintained in the Personnel/Manpower office as by the Dean of the School of Medicine, and by the Department Chairman, having a need for the information. A supplemental file consisting of summary data on each civilian employee will be stored in the computer at Bolling AFB, Washington, D. C. 20332; for military personnel assigned to USUHS; at WRAMC military personnel office, NNMC military personnel office, Andrews AFB personnel office and at PHS personnel office, Parklawn Bldg., Rockville, MD 20850. Home phone numbers of key personnel will be provided to other key personnel, and those of students to other students on a need-to-know basis, and only with the express permission of the individual concerned, for an emergency call system. Biographical information on students to be maintained in the Commandant's office.

Categories of individuals covered by the system:

Records will be maintained on all personnel assigned to USUHS full-time and part-time.

Categories of records in the system:

The type of information which will be maintained on employees is as follows: Identity and demographic information (e.g., SSAN, name, sex, address, birth date, minority status, etc.). Academic and experience background data consisting of: (1) Schools attended; (2) Degrees earned; (3) Work experience, awards, etc.; (4) Letters of reference, performance evaluations, etc.; (5) Time and attendance cards; and (6) Biographical data file.

Authority for maintenance of the system:

Title 10, United States Code, Section 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The System will be used for documenting the work experience of applicants and USUHS personnel and for notification of key personnel in case of emergency during nonworking hours. Biographical data file will be used for providing background information on USUHS students to lecturers.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Material stored in file folders.

Retrievability:

The system will be indexed by name and SSAN. Records will be available to: The individual concerned. Employees of USUHS on a need to know basis. Other agencies of the Government to satisfy requests for routine reports.

Safeguards:

The file will be maintained in securable file cabinets.

Retention and disposal:

Indefinite files that are retained while the individual is employed and then retired.

System manager(s) and address:

The personnel officer of the University will be the custodian of this file (business address: 4301 Jones Bridge Road, Bethesda, Maryland 20014). Telephone: 202-295-2158.

Notification procedure:

Inquiries regarding the personnel files should be directed to the System Manager.

Record access procedures:

Information on the procedures for gaining access to and contesting records will be furnished each employee by the Personnel Office upon entry into duty with USUHS.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information contained in the file is furnished by the employee, supervisors and references supplied by the employee.

Systems exempted from certain provisions of the act:

None

WUSU02

System name:

Uniformed Services University of the Health Sciences (USUHS) Payroll System.

System location:

Central files are maintained at Bolling Air Force Base Accounting and Finance Office, Civilian Pay Branch. Satellite file maintained at USUHS Administrative Offices at 4301 Jones Bridge Road, Bethesda, Maryland 20014.

Categories of individuals covered by the system:

All civilian personnel paid by the USUHS.

Categories of records in the system:

Information contained in the system includes: Name, SSAN, Pay Grade, Number of Withholding Exemptions, Gross and Net Pay, Other Earnings and Leave Information (including Time and Attendance Records).

Authority for maintenance of the system:

Title 10, United States Code, Section 136.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The system will produce data for budget purposes and as backup information for audits.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

The information will be stored as computer printout.

Retrievability:

The system will be indexed by name.

Safeguards:

The information will be available for personnel in the Personnel/Manpower Directorate of the USUHS or other personnel who have a demonstrated need to know, e.g., auditors, Congress, etc. The material will be stored in metal file containers.

Retention and disposal:

The records will be maintained for one year and then destroyed by burning.

System manager(s) and address:

The responsible official in the USUHS for the Civilian Pay System is the Director of Personnel/Manpower, 4301 Jones Bridge Road, Bethesda, Maryland 20014. Telephone: 202-295-2180.

Notification procedure:

Any inquiries should be directed to the Personnel/Manpower Directorate at the above address.

Record access procedures:

Information may be accessed in person at the above address. Requests for change to the information must be made in writing at the above address.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Computerized pay records from Bolling Air Force Base Accounting and Finance Office.

Systems exempted from certain provisions of the act:

None

WUSU03

System name:

Uniformed Services University of the Health Sciences (USUHS) Student Record System.

System location:

The file will be maintained in the Registrar's Office, USUHS, 4301 Jones Bridge Road, Bethesda, Maryland 20014.

Supplemental file consisting of student evaluation forms, grades, and course examinations pertaining to their Department, will be maintained in each department by department chairmen, as well as in the Registrar's office.

Categories of individuals covered by the system:

Records will be maintained on all students who matriculate to the University.

Categories of records in the system:

Grade reports and instructor evaluations of performance/achievement; transcripts summarizing by course title, grade, and credit hours; records of disciplinary action; records of awards, honors, or distinctions earned by students; and data carried forward from the Applicant File System.

Authority for maintenance of the system:

Public Law 92-426, Ch 104, Section 2114.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The System will be used for documenting the academic achievement of students.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders.

Retrievability:

The system will be indexed by name and SSAN.

Safeguards:

Records will be maintained in metal file cabinets in a securable area.

Retention and disposal:

Records will be maintained permanently.

System manager(s) and address:

The Registrar of the University, 4301 Jones Bridge Road, Bethesda, Maryland 20014.

Notification procedure:

Information may be obtained from:
USUHS
Registrar's Office
4301 Jones Bridge Road
Bethesda, Maryland 20014
Telephone: 202-295-2118

Record access procedures:

Requests to review individual student's records may be made by telephone or visit to the Registrar's Office, USUHS, 4301 Jones Bridge Road, Bethesda, Maryland 20014.

Written requests should include name, SSAN, and dates attended.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

Information is furnished by instructor personnel.

Systems exempted from certain provisions of the act:

None

WUSU04

System name:

Uniformed Services University of the Health Sciences (USUHS) Applicant Record System.

System location:

A central applicant record file will be maintained at the USUHS Admission Office, 4301 Jones Bridge Road, Bethesda, Maryland 20014.

A supplemental file consisting of summary data on each applicant to be derived from data collected in the central file, will be stored on magnetic tape and maintained at the Pentagon Computer Center, Washington, D. C.

Categories of individuals covered by the system:

Records will be maintained on all individuals applying for admission.

Categories of records in the system:

Identity and demographic information (e.g., SSAN, name, sex, minority status, address, birth date, citizenship, etc.); Academic and aptitudinal background data consisting of: (1) Schools attended, (2) Degrees earned, (3) GPA for college and graduate work, (4) Course hours completed in college and graduate school, (5) Medical College Admission Test scores and percentiles; information regarding work experience, socioeconomic background, hobbies, extracurricular involvements in college, community/service activities, honors and awards achieved, and professional and/or societal contributions; Letters of reference; biographies; personal statements (autobiographical in nature); service preference statement; interview evaluations; test results and personality inventory scores on instruments used to assess noncognitive potential and aptitude; official college transcripts and health data. Unsolicited information provided by applicants will also normally be retained when such information pertains to the matters described above.

Authority for maintenance of the system:

Public Law 92-426, Ch 104, Section 2114.

Routine uses of records maintained in the system, including categories of users and the purposes of such uses:

INTERNAL USERS, USES, AND PURPOSES

The system will be used for selecting students to USUHS, and conducting studies of the selection process.

EXTERNAL USERS, USES, AND PURPOSES

See Office of the Secretary of Defense (OSD) Blanket Routine Uses at the head of this Component's published system notices.

Policies and practices for storing, retrieving, accessing, retaining, and disposing of records in the system:

Storage:

Paper records in file folders and magnetic tape.

Retrievability:

The central file will be indexed by name. The computer file will be sequenced by SSAN, with data retrievable by any single or combination of variables stored, e.g., sex, minority status, ranking by academic performance, ranking by test achievement, state of residence, college attended, etc.

Safeguards:

All material will be maintained in metal rotary files in a securable office; the satellite file on disks, securely stored at the Pentagon Computer Center.

Retention and disposal:

Records of applicants who matriculate to the school will be converted to students records and maintained permanently. Records of applicants who do not matriculate will be retained for five years and then destroyed by burning. Portions of the record may be retained on magnetic tape for longer periods.

System manager(s) and address:

The USUHS officer who will be responsible for the Applicant Record System is the Assistant Dean for Academic Support (business address: 4301 Jones Bridge Road, Bethesda, Maryland 20014).

Notification procedure:

Inquiries regarding the sytem should be directed to the Assistant Dean for Academic Support, 4301 Jones Bridge Road, Bethesda, Maryland 20014. Telephone: 202-295-2125.

Record access procedures:

Request for access for an individuals's file should be made by either writing or calling the Assistant Dean for Academic Support. For written requests the information should contain the full name of the individual, current address and telephone number.

Contesting record procedures:

The Agency's rules for access to records and for contesting contents and appealing initial determinations by the individual concerned are contained in 32 CFR 286b and OSD Administrative Instruction No. 81.

Record source categories:

The bulk of the information in the system will be furnished by the applicants. It will be either prepared by them personally, or submitted by other individuals/agencies in their behalf at their (the applicants') specific request. The remaining elements of the systems, the data not furnished by the applicants, will consist of evaluative records prepared and developed by admissions personnel based on interviews, school administered tests, and analyses of applicant records.

Systems exempted from certain provisions of the act:

None

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[FR Doc. 79-37052 Filed 12-14-79; 8:45 am]

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12-18-79
Vol. 44 No. 244
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federal register

Tuesday
December 18, 1979

NOTE:
Due to a shortage of newsprint, today's **Federal Register** is printed on a higher quality paper. As supplies become available, the **Federal Register** will resume the use of newsprint.

Highlights

Note.—In the Highlights for Monday, December 17, 1979, in the entry for "Consumers' Education Program", the application closing date of 2-15-79 is incorrect. No definite closing date has been established yet (see 44 FR 73163).

74781 **International Trade Agreements** Presidential memorandum

74785 **Railway Labor Disputes** Executive order creating emergency board to investigate

74787 **Zimbabwe-Rhodesia Trade Sanctions** Executive order revoking sanctions

74789 **National Unity Day** Presidential proclamation

74946 **Legal Services** LSC describes specific guidelines for expanded funding of programs to Native Americans

74808 **Securities** SEC publishes an interpretation regarding certain management remuneration disclosures

75054 **Sea Grant Colleges and Regional Consortia** Commerce/NOAA publishes guidelines of procedure; effective 12-18-79 (Part V of this issue)

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FEDERAL REGISTER Published daily, Monday through Friday, (not published on Saturdays, Sundays, or on official holidays), by the Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408, under the Federal Register Act (49 Stat. 500, as amended; 44 U.S.C. Ch. 15) and the regulations of the Administrative Committee of the Federal Register (1 CFR Ch. I). Distribution is made only by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

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Area Code 202–523–5240

Highlights

75078 **Geothermal Program** DOE revises its rules under which it will issue Federal guaranty on loans; effective 12–18–79 (Part IX of this issue)

74799 **Federal Credit Union** NCUA sets forth interpretation of the effect of a compensating balance upon interest rates on loans; effective 12–18–79

74844 **Standby Federal Conservation** DOE extends comment period to 12–27–79 for type of measures which should, or should not be included in the plan.

74832 **Fuel-Efficient Light Trucks** GSA provides policy and procedures governing acquisition; effective 10–1–79; comments by 2–1–80

75024 **Instructional Media for the Handicapped** HEW/OE proposes to change its rules to facilitate program management and greatly reduce confusion from the public; comments by 2–1–80 (Part III of this issue)

74922 **Family Median Income by State** HEW/HDSO issues a notice for the purpose of determining the extent of Federal financial participation in State expenditures

75058 **United States Savings Bonds** Treasury/FS publishes regulations governing issuing agencies; effective 1–1–80 (Part VI of this issue)

74801 **Interest Rate Control** FDIC publishes rules to implement the reporting requirements of certain financial institutions; effective 12–31–79

75028 **Organic Toxic Pollutants** EPA issues corrections to proposal amending list of approved analytical techniques by adding test procedures; comments by 2–1–80 (Part IV of this issue)

74826 **National Historic Landmarks** Interior/HCRS sets forth interim rules used to study, designate, register, and monitor the programs; effective 12–18–79 with specific exceptions; comments by 2–19–80

74858 **Improving Government Regulations** VA issues semiannual agenda of regulations; comments by 2–19–80

74971 **Sunshine Act Meetings**

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75024 **Part III, HEW/OE**
75028 **Part IV, EPA**
75054 **Part V, Commerce/NOAA**
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Presidential Documents

Title 3—

The President

Memorandum of December 14, 1979

Determination Regarding the Multilateral Trade Negotiations

Memorandum for the Special Representative for Trade Negotiations

I have signed the enclosed document concerning certain international trade agreements pursuant to the authority vested in me under the Constitution and laws of the United States, including the Trade Agreements Act of 1979 (Public Law 96-39, 93 Stat. 144) and section 301 of title 3 of the United States Code.

On my behalf, please transmit copies of this document to the Speaker of the House of Representatives and the President of the Senate.

This document shall be published in the **Federal Register**.

Jimmy Carter

THE WHITE HOUSE,
Washington, December 14, 1979.

Presidential Determination Regarding the Acceptance and Application of Certain International Trade Agreements

1. Pursuant to section 102 of the Trade Act of 1974 (19 U.S.C. 2112(b)), I, through my duly empowered representative, on April 12, 1979, entered into the international agreements negotiated in the Tokyo Round of Multilateral Trade Negotiations. These agreements were:

(i) Agreement on Interpretation and Application of Articles VI, XVI and XXIII of the General Agreement on Tariffs and Trade;

(ii) Agreement on Implementation of Article VI of the General Agreement on Tariffs and Trade;

(iii) Agreement on Implementation of Article VII of the General Agreement on Tariffs and Trade;

(iv) Agreement on Government Procurement;

(v) Agreement on Technical Barriers to Trade;

(vi) Agreement on Import Licensing Procedures;

(vii) Agreement on Trade in Civil Aircraft;

(viii) International Dairy Arrangement; and

(ix) Arrangement Regarding Bovine Meat.

These agreements are collectively referred to herein as the "MTN agreements".

2. In accordance with sections 102 and 151 of the Trade Act of 1974 (19 U.S.C. 2112 and 2191), the MTN agreements were submitted to Congress for its approval. Section 2 of the Trade Agreements Act of 1979 (93 Stat. 147) approves the MTN agreements and authorizes the President to accept each of the MTN agreements provided that the President determines that all, or all but one, of the major industrial countries (as defined in section 126(d) of the Trade

Act of 1974 (19 U.S.C. 2136(d)) is also accepting the agreement. If the President determines that only one major industrial country is not accepting an agreement, the President may nevertheless accept such an agreement if he determines that the acceptance of that agreement by that country is not essential to the effective operation of the agreement, and if:

(A) that country is not a major factor in trade in the products covered by that agreement;

(B) the President has authority to deny the benefits of the agreement to that country and has taken steps to deny the benefits of the agreement to that country; or

(C) a significant portion of United States trade would benefit from the agreement, notwithstanding such nonacceptance, and the President determines and reports to the Congress that it is in the national interest of the United States to accept the agreement.

3. Section 2 of the Trade Agreements Act of 1979 also provides that no agreement accepted by the President shall apply between the United States and any other country unless the President determines that such country:

(A) has accepted the obligations of the agreement with respect to the United States, and

(B) should not otherwise be denied the benefits of the agreement with respect to the United States because such country has not accorded adequate benefits, including substantially equal competitive opportunities for the commerce of the United States to the extent required under section 126(c) of the Trade Act of 1974 (19 U.S.C. 2136(c)), to the United States.

4. Section 701 of the Tariff Act of 1930, as amended effective January 1, 1980 (93 Stat. 151) provides that the President must determine that certain conditions must be met before a country can be considered a "country under the Agreement" and, therefore, entitled to the injury determination provided for in section 703(a) and 705(b) of the Tariff Act of 1930 (93 Stat. 152 and 159).

5. Section 601(a) of the Trade Agreements Act of 1979 (93 Stat. 267) authorizes the President to proclaim certain modifications in the Tariff Schedules of the United States if the President determines that the conditions under section 2(b) of the Trade Agreements Act of 1979 (93 Stat. 147) on acceptance of the Agreement on Trade in Civil Aircraft have been fulfilled.

NOW, THEREFORE, I, JIMMY CARTER, President of the United States of America, acting under and by virtue of the authority vested in me as President, and in conformity with the provisions of sections 2 and 601(a) of the Trade Agreements Act of 1979 (93 Stat. 147 and 267), herein referred to as "the Act", section 701 of the Tariff Act of 1930, as amended effective January 1, 1980 (93 Stat. 151). and section 301 of title 3 of the United States Code do hereby

1. Determine that:

a. With respect to the Agreement on Interpretation and Application of Articles VI, XVI and XXIII of the General Agreement on Tariffs and Trade, the Agreement on Implementation of Article VI of the General Agreement on Tariffs and Trade, the Agreement on Technical Barriers to Trade, the Agreement on Import Licensing Procedures, and the Agreement on Trade in Civil Aircraft,

(i) in accordance with section 2(b)(1) and (3) of the Act (93 Stat. 147), each major industrial country (as defined in section 126(d) of the Trade Act of 1974 (19 U.S.C. 2136 (d)) is also accepting the agreement with the exception of Japan;

(ii) in accordance with section 2(b)(3) of the Act (93 Stat. 147), the acceptance of these agreements by Japan is not essential to the effective operation of the agreements for that period of time during which Japan is completing its Constitutional procedures to accept the agreements and in light of the stated intention of the Government of Japan to act in the interim in line with the agreements within its existing powers; and

(iii) in accordance with section 2(b)(3)(C) of the Act (93 Stat. 148), a significant portion of United States trade will benefit from these agreements, notwithstanding the anticipated short delay in acceptance by Japan, and it is in the national interest of the United States to accept these agreements.

b. The conditions in section 701(b)(3)(A), (B) and (C) of the Tariff Act of 1930, as amended effective January 1, 1980 (93 Stat. 151), will have been met with respect to Venezuela, Honduras, Nepal, North Yemen, El Salvador, Paraguay and Liberia.

c. With respect to the International Dairy Arrangement,

(i) in accordance with section 2(b)(1) and (3) of the Act (93 Stat. 147), each major industrial country (as defined in section 126(d)) is also accepting the agreement with the exception of Canada;

(ii) in accordance with section 2(b)(3) of the Act (93 Stat. 147), the acceptance of this agreement by Canada is not essential to the effective operation of the agreement; and

(iii) in accordance with section 2(b)(3)(A) of the Act, Canada is not a major factor in trade in the products covered by the agreement.

d. With respect to the Arrangement Regarding Bovine Meat, in accordance with section 2(b)(1) and (3) of the Act (93 Stat. 147), each major industrial country (as defined in section 126(d) of the Trade Act of 1974 (19 U.S.C. 2136(d)) is also accepting the agreement.

e. In accordance with section 601(a) of the Trade Agreements Act of 1979 (93 Stat. 267),

(i) the conditions under section 2(b) of that Act (93 Stat. 147) on acceptance of the Agreement on Trade in Civil Aircraft have been fulfilled;

(ii) the modifications provided for in section A of Annex II to Proclamation No. 4707 of December 11, 1979, which were authorized by section 601(a) of the Trade Agreements Act of 1979 (93 Stat. 267), shall be effective with respect to articles entered, or withdrawn from warehouse, for consumption on and after January 1, 1980; and

(iii) the amendment to section 466 of the Tariff Act of 1930 (19 U.S.C. 1466) provided for in section 601(a)(3) of the Trade Agreements Act of 1979 (93 Stat. 268) shall be effective with respect to entries made under section 466 on and after January 1, 1980.

2. Authorize the United States Special Representative for Trade Negotiations, or his designee, on behalf of the United States of America,

(a) to sign and accept the Agreement on Interpretation and Application of Articles VI, XVI, and XXIII of the General Agreement on Tariffs and Trade, the Agreement on Implementation of Article VI of the General Agreement on Tariffs and Trade, the Agreement on Technical Barriers to Trade, the Agreement on Import Licensing Procedures, the Agreement on Trade in Civil Aircraft, the International Dairy Arrangement and the Arrangement Regarding Bovine Meat;

(b) to sign the Agreement on Government Procurement subject to satisfactory completion of negotiations on entity coverage under the Agreement; and

(c) to sign the Agreement on Implementation of Article VII of the General Agreement on Tariffs and Trade subject to acceptance.

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3. Delegate the functions of the President under section 2(b) of the Trade Agreements Act of 1979 (the Act) and section 701(b) of the Tariff Act of 1930, as amended by section 101 of the Act, to the Special Representative for Trade Negotiations who shall exercise such authority with the advice of the Trade Policy Committee and in accordance with the provisions of this determination.

THE WHITE HOUSE,
December 14, 1979.

[FR Doc. 79-38893
Filed 12-14-79; 4:10 pm]
Billing code 3195-01-M

Presidential Documents

Executive Order 12182 of December 14, 1979

Creating an Emergency Board To Investigate a Dispute Between the Long Island Rail Road and Certain of its Employees

A dispute exists between The Long Island Rail Road and certain of its employees represented by Participating Labor Organizations designated in list attached hereto and made a part hereof.

This dispute has not heretofore been adjusted under the provisions of the Railway Labor Act, as amended; and

This dispute, in the judgment of the National Mediation Board, threatens substantially to interrupt interstate commerce to a degree such as to deprive a section of the country of essential transportation service:

NOW, THEREFORE, by the authority vested in me by Section 10 of the Railway Labor Act, as amended (45 U.S.C. 160), it is hereby ordered as follows:

1-101. *Establishment of Board.* There is established a board of three members to be appointed by the President to investigate this dispute. No member of the board shall be pecuniarily or otherwise interested in any organization of railroad employees or any carrier.

1-102. *Report.* The board shall report its finding to the President with respect to the dispute within 30 days from the date of this Order.

1-103. *Maintaining Conditions.* As provided by Section 10 of the Railway Labor Act, as amended, from this date and for 30 days after the board has made its report to the President, no change, except by agreement, shall be made by The Long Island Rail Road, or by its employees, in the conditions out of which the dispute arose.

THE WHITE HOUSE,
December 14, 1979.

Participating Labor Organizations

International Brotherhood of Teamsters (IBT)
United Transportation Union (UTU)
Brotherhood of Locomotive Engineers (BLE)
Brotherhood of Railroad Carmen (BRC)
Brotherhood of Railroad Signalmen (BRS)
Railroad Yardmasters of America (RYA)
Police Benevolent Association (PBA)

EDITORIAL NOTE: The President's announcement of Dec. 14, 1979, on establishing the Board and the appointment of the membership to the Board, are printed in the Weekly Compilation of Presidential Documents (Vol. 15, No. 50).

[FR Doc. 79-38947
Filed 12-17-79; 11:15 am]
Billing code 3195-01-M

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Presidential Documents

Executive Order 12183 of December 16, 1979

Revoking Rhodesian Sanctions

By the authority vested in me as President by the Constitution and statutes of the United States of America, including Section 5 of the United Nations Participation Act of 1945, as amended (22 U.S.C. 287c), and in order to terminate current limitations relating to trade and other transactions involving Zimbabwe-Rhodesia, it is hereby ordered as follows:

1–101. (a) Subject to the provisions of this order, the following are hereby revoked with respect to transactions occurring after the effective date of this order:

(1) Executive Order 11322 of January 5, 1967 (32 F.R. 119);

(2) Executive Order 11419 of July 29, 1968 (33 F.R. 10837); and

(3) Executive Order 11978 of March 18, 1977 (42 F.R. 15403).

(b) To the extent consistent with this order, all determinations, authorizations, regulations, rulings, certificates, orders, directives, licenses, contracts, agreements, and other actions made, issued, taken, or entered into under the provisions of such Executive orders and not previously revoked, superseded, or otherwise made inapplicable, shall continue in full force and effect until amended, modified, or terminated by appropriate authority.

1–102. (a) The Secretaries of State, the Treasury, Commerce, and Transportation, and the heads of other government agencies, shall retain the authority and responsibility for the enforcement of Executive Orders 11322, 11419, and 11978 with respect to transactions occurring prior to the effective date of this order.

(b) The revocation, in Section 1–101 of this order, of such prior Executive orders shall not affect:

(1) any act done or omitted to be done or any suit or proceeding finished or started in civil or criminal cases prior to the revocation, but all such liabilities, penalties, and forfeitures under the Executive orders shall continue and may be enforced in the same manner as if the revocation had not been made; or

(2) any violation of any rules, regulations, orders, licenses, or other forms of administrative action under those revoked orders during the periods those orders were in effect.

1–103. (a) The Secretaries of State, the Treasury, Commerce, and Transportation, and the heads of other government agencies, shall take the appropriate measures to implement this order.

(b) In carrying out their respective functions and responsibilities under this order, the Secretaries of the Treasury, Commerce, and Transportation, and the heads of other government agencies, shall, as appropriate, consult with the Secretary of State. Each such Secretary and agency head and the Secretary of State shall also consult with other government agencies and private persons, as appropriate.

Jimmy Carter

THE WHITE HOUSE,
December 16, 1979.

[FR Doc. 79-38948
Filed 12-17-79; 11:16 am]
Billing code 3195-01-M

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Presidential Documents

Proclamation 4709 of December 16, 1979

National Unity Day, 1979

By the President of the United States of America

A Proclamation

Fifty American citizens are being held hostage in Iran by a mob and a government that have become one and the same. The United States has made it clear to the leaders of Iran that we hold them personally and fully responsible for the well-being and safe return of every American in their hands.

The people of the United States are unanimous in their concern for their fellow citizens held in Iran. Americans have shown this concern in numerous ways that are consistent with our country's respect for law—the ringing of church bells, letters to the Iranian Mission at the United Nations, and messages to the hostages themselves.

A most fitting symbol of this concern is the American flag itself. We respect our flag because we know that it stands for freedom. It stands for justice. It stands for human dignity. It stands too for our united determination to uphold these great ideals.

To demonstrate support for the hostages in Iran, the Congress has, by joint resolution, designated December 18, 1979, as "National Unity Day." It has requested the President of the United States to call upon all citizens and organizations to observe that day by prominently displaying the American flag.

NOW, THEREFORE, I, JIMMY CARTER, President of the United States of America, do hereby designate December 18, 1979, as National Unity Day. I direct the appropriate officials of the Government to display the flag on all Government buildings during that day. I urge all Americans to observe National Unity Day, December 18, 1979, by flying the Stars and Stripes from their homes and other suitable places.

IN WITNESS WHEREOF, I have hereunto set my hand this sixteenth day of December, in the year of our Lord nineteen hundred seventy-nine, and of the independence of the United States of America the two hundred and fourth.

Jimmy Carter

[FR Doc. 79-38949
Filed 12-17-79; 11:17 am]
Billing code 3195-01-M

Rules and Regulations

Federal Register
Vol. 44, No. 244
Tuesday, December 18, 1979

This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.
The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each month.

PRESIDENT'S COMMISSION ON THE ACCIDENT AT THREE MILE ISLAND

1 CFR Part 480

Freedom of Information Act Regulations

AGENCY: President's Commission on the Accident at Three Mile Island.

ACTION: Final rule.

SUMMARY: The President's Commission on the Accident at Three Mile Island is to be abolished in compliance with E.O. 12130 (44 FR 22027, April 13, 1979), which created the Commission.

EFFECTIVE DATE: December 21, 1979.

FOR FURTHER INFORMATION CONTACT: Frank Hoban (202) 653–7680.

SUPPLEMENTARY INFORMATION: Commission hereby removes Part 480 from 1 CFR.

Dated: December 11, 1979.

Frank Hoban,

Director of Administration.

[FR Doc. 79–38775 Filed 12–17–79; 8:45 a.m.]

BILLING CODE 6820–AJ–M

DEPARTMENT OF AGRICULTURE

Animal and Plant Health Inspection Service

7 CFR Part 354

Overtime Services Relating to Imports and Exports; Commuted Traveltime Allowances

AGENCY: Animal and Plant Health Inspection Service, USDA.

ACTION: Final rule.

SUMMARY: This document amends administrative instructions prescribing commuted traveltime. These amendments establish commuted traveltime periods as nearly as may be practicable to cover the time necessarily spent in reporting to and returning from the place at which an employee of the Plant Protection and Quarantine Programs performs overtime or holiday duty when such travel is performed solely on account of such overtime or holiday duty. Such establishment depends upon facts within the knowledge of the Animal and Plant Heath Inspection Service.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: H. V. Autry, Regulatory Support Staff, Animal and Plant Health Inspection Service, Plant Protection and Quarantine Programs, U.S. Department of Agriculture, Hyattsville, MD 20782 (301–436–8247).

PART 354—OVERTIME SERVICES RELATING TO IMPORTS AND EXPORTS

Therefore, pursuant to the authority conferred upon the Deputy Administrator, Plant Protection and Quarantine Programs, by 7 CFR 354.1 of the regulations concerning overtime services relating to imports and exports, the administrative instructions appearing at 7 CFR 354.2, as amended, January 5, 1979, (44 FR 1364) and September 28, 1979 (44 FR 55791), prescribing the commuted traveltime that shall be included in each period of overtime or holiday duty are further amended by adding (in appropriate alphabetical sequence) or deleting the information as shown below:

§ 354.2 Administrative instructions prescribing commuted traveltime.

* * * * *

Commuted Traveltime Allowances

(In hours)

Location covered	Served from	Metropolitan area: Within	Metropolitan area: Outside
Delete:			
* * * * *			
Illinois:			
Peoria	Watseka		5
* * * * *			
Indiana:			
Mt. Vernon	Huntington		4
* * * * *			
Ohio:			
Ashtabula	Perry		2
Cleveland	Perry		3
Lockbourne AFB	Cleveland		6
* * * * *			
Add:			
* * * * *			
Indiana:			
Madison	Franklin		4
Do	Frankfort		5
* * * * *			
Ohio:			
Ashtabula	Cleveland		3
Rickenbacker AFB	Cleveland		6
* * * * *			
Pennsylvania:			
Allentown-Bethlehem-Easton Airport	Moosic		5
Do	Allentown	2	
Do	Carlisle		5
Willow Grove NAS	Moosic		6
Do	Allentown		5
Do	Carlisle		6
* * * * *			

(64 Stat. 561; (7 U.S.C. 2260))

It is to the benefit of the public that these instructions be made effective at the earliest practicable date. It does not appear that public participation in this rulemaking proceeding would make additional relevant information available to the Department.

Accordingly, pursuant to 5 U.S.C. 553, it is found upon good cause that notice and public procedure on these instructions are impracticable, unnecessary, and contrary to the public interest and good cause is found for making them effective less than 30 days after publication in the **Federal Register**.

Note.—This final rulemaking is being published under emergency procedures as authorized by E.O. 12044 and Secretary's Memorandum No. 1955. It has been determined by James O. Lee, Jr., Deputy Administrator, Plant Protection and Quarantine Programs, Animal and Plant Health Inspection Service, that the emergency nature of these commuted traveltime allowances warrant the publication of this rule without waiting for public comment. This amendment, as well as the complete regulation, will be scheduled for review under provisions of E.O. 12044 and Secretary's Memorandum No. 1955. The review will include preparation of an Impact Analysis Statement which will be available from Regulatory Support Staff, Room 633, Federal Building, 6505 Belcrest Road, Hyattsville, MD 20782, 301–436–8237.

Done at Washington, D.C., this 11th day of December 1979.

T. G. Darling,

Acting Deputy Administrator, Plant Protection and Quarantine Programs, Animal and Plant Health Inspection Service.

[FR Doc. 79–38396 Filed 12–17–79; 8:45 am]

BILLING CODE 3410–34–M

Federal Crop Insurance Corporation

7 CFR Part 403

[Amendment No. 2]

Peach Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Peach Crop Insurance Regulations for the 1979 and Succeeding Crop Years by (1) amending the third sentence of § 403.40, relative to publishing the names of the counties where peach crop insurance is available, and (2) adding an appendix to the regulations which lists such counties, as required by the provisions of § 403.40 of the regulations. This action is promulgated under the authority contained in the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: On December 1, 1978, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (43 FR 56205), prescribing procedures for insuring peach crops effective with the 1979 crop year.

These regulations are found in 7 CFR 403 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The third sentence in § 403.40 of the Peach Crop Insurance Regulations for the 1979 and Succeeding Crop Years provides that "The counties designated by the Manager shall be published by appendix to this section."

In prior years, the requirement of § 403.40 has been met by publishing an amendment to the regulations to list those counties where peach crop insurance is available, with the last such publication in the **Federal Register** being made on Tuesday, January 9, 1979 (44 FR 1964), as Amendment No. 1. The appendix, outlined below, supersedes the list of counties in Amendment No. 1.

The Corporation is presently conforming its regulations for insuring various commodities to a uniform format which includes the publication of an "Appendix", which lists the counties where insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of the Peach Crop Insurance Regulations, it is necessary, therefore, to change the language of the last sentence of § 403.40 to indicate that such an appendix to this "part" instead of this "section" will be published, and, at the same time, conforming the language of the third sentence to match the language in the other crop insurance regulations of the Corporation.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Peach Crop Insurance Regulations for the 1979 and Succeeding Crop Years (7 CFR Part 403), are amended as follows:

1. By amending the last sentence of 7 CFR 403.40 to read as follows:

§ 403.40 Availability of peach insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which peach insurance will be offered."

2. By amending the Peach Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

Appendix

Counties Designated for Peach Crop Insurance—7 CFR 403

In accordance with the provisions of 7 CFR 403.40, the following counties are designated for peach crop insurance:

Alabama

Chilton

Arkansas

Cross	Lee
Johnson	St. Francis

Georgia

Houston	Upson
Peach	

South Carolina

Aiken	Greenville
Allendale	Lexington
Barnwell	Spartanburg
Chesterfield	York
Edgefield	

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 403.40 is minor and nonsubstantive, and the publication of the list of counties where peach crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

Dated: October 12, 1979.

James D. Deal,

Manager.

[FR Doc. 79-38638 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-08-M

7 CFR Part 404

[Amendment No. 3]

Western United States Apple Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Western United States Apple Crop Insurance Regulations for the 1977 and Succeeding Crop Years by (1) amending the last sentence of § 404.20, relative to listing counties where apple crop insurance is available, and (2) adding an appendix to provide such listing, as required by the provisions of § 404.20 of the regulations. This action is promulgated under the authority of the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: On November 29, 1976, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (41 FR 52289), prescribing procedures for insuring apple crops in the Western United States effective with the 1977 crop year.

These regulations are found in 7 CFR 404 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The last sentence in § 404.20 of the Western United States Apple Crop Insurance Regulations for the 1977 and Succeeding Crop Years provides that "The counties designated by the Manager shall be published by appendix to this section."

In prior years, the requirements of the provision of § 404.20 have been met by publishing an amendment to the regulations to list those counties in the Western United States where apple crop insurance is available, with the last such publication in the **Federal Register** being made on Tuesday, January 9, 1979 (44 FR 1964), as Amendment No. 2. The appendix outlined below, supersedes the list of counties in Amendment No. 2.

The Corporation is presently conforming its regulations for insuring various commodities to a uniform format which includes the publication of an "Appendix", which lists the counties where insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of the Western United States Apple Crop Insurance Regulations, it is necessary, therefore, to change the language of the last sentence of § 404.20 to indicate that such an appendix to this "part" instead of "section" will be published and, at the same time, conforming the language of the last sentence to match the language in the other crop insurance regulations of the Corporation.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Western United States Apple Crop Insurance Regulations for the 1977 and Succeeding Crop Years (7 CFR Part 404), are amended as follows:

1. By amending the last sentence of 7 CFR 404.20 to read as follows:

§ 404.20 Availability of apple insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which apple insurance will be offered."

2. By amending the Western United States Apple Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

Appendix

Counties Designated for Apple Crop Insurance—7 CFR 404.20

In accordance with the provisions of 7 CFR 404.20, the following counties are designated for apple crop insurance:

Oregon

Umatilla

Washington

Benton	Douglas
Chelan	Okanogan
Columbia	Yakima

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 404.20 is minor and nonsubstantive, and the publication of the list of counties in the Western United States where apple crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

Dated: October 12, 1979.

James D. Deal,

Manager.

[FR Doc. 79-38633 Filed 12-17-79; 8:45 a.m.]

BILLING CODE 3410-08-M

7 CFR Part 406

[Amendment No. 2]

California Orange Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the California Orange Crop Insurance Regulations for the 1977 and Succeeding Crop Years by (1) amending the last sentence of § 406.1, relative to listing counties where orange crop insurance is available, and (2) adding an appendix to provide such listing as required by the provisions of § 406.1 of the regulations. This action is promulgated under the authority of the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: On August 8, 1977, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (42 FR 39953), prescribing procedures for insuring orange crops in California effective with the 1977 crop year.

These regulations are found in 7 CFR 406 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The second sentence in § 406.1 of the California Orange Crop Insurance Regulations for the 1977 and Succeeding Crop Years provides for the designation by the Manager of the counties in which orange crop insurance will be offered.

Subsequent to the publication of the California Orange Crop Insurance Regulations for the 1977 and Succeeding Crop Years (42 FR 39953, August 8, 1977), the listing of orange crop insurance counties in California was published as Amendment No. 1 (44 FR 1965, January 9, 1979). The Corporation is presently conforming its regulations to a uniform format which includes the publication of an "Appendix", which lists the counties where the insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of the California Orange Crop Insurance Regulations, it is necessary to change the language of § 406.1 to indicate that such an appendix to this Part 406 will be published, and, at the same time, conforming the language of the last sentence to match the language in the other crop insurance regulations of the Corporation.

Amendment No. 1 to the California Orange Crop Insurance Regulations for the 1977 and Succeeding Crop Years is hereby superseded by the appendix as outlined below.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the California Orange Crop Insurance Regulations for the 1977 and Succeeding Crop Years (7 CFR Part 406), amended as follows:

1. By amending the last sentence of 7 CFR 406.1 to read as follows:

§ 406.1 Availability of California orange insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which orange insurance will be offered."

2. By amending the California Orange Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

APPENDIX

Counties Designated for Orange Crop Insurance—7 CFR 406

In accordance with the provisions of 7 CFR 406.1, the following counties are designated for orange crop insurance:

California

Fresno	Tulare
Kern	

(Secs. 506, 516 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 406.1 is minor and nonsubstantive, and the publication of the list of counties where orange crop insurance is available merely provides guidance for the general public and will benefit present and future policy holders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553(b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S., Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

James D. Deal,

Manager.

Dated: October 12, 1979

[FR Doc. 79-38632 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-08-M

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7 CFR Part 410

[Amendment No. 3]

Florida Citrus Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Florida Citrus Crop Insurance Regulations for the 1976 and Succeeding Crop Years by (1) amending the last sentence of § 410.1, relative to listing counties where citrus crop insurance is available, and (2) adding an appendix to provide such listing as required by the provisions of § 410.1 of the regulations. This action is promulgated under the authority of the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C. 20250, telephone 202-447-3325.

SUPPLEMENTARY INFORMATION: On February 4, 1976, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (41 FR 5106-5109), prescribing procedures for insuring citrus crops in Florida effective with the 1976 crop year.

These regulations are found in 7 CFR 410 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The last sentence in § 410.1 of the Florida Citrus Crop Insurance Regulations for the 1976 and Succeeding Crop Years provides that "The counties designated by the Manager shall be published by appendix to this section."

In prior years, the requirements of the provisions of § 410.1 have been met by publishing an amendment to the regulations to list those counties where citrus crop insurance is available, with the last such publication in the **Federal Register** being made on Tuesday, January 9, 1979 (44 FR 1967), as Amendment No. 2.

The Corporation is presently conforming its regulations for insuring various commodities to a uniform format which includes the publication of an appendix, which lists the counties where insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of the Florida Citrus Crop Insurance Regulations, it is necessary to change the language in the last sentence of § 410.1 to indicate that such an appendix to this "part" instead of "section" will be published and, at the same time, conforming the language of the section to match the language in the other crop insurance regulations of the Corporation.

Amendment No. 2 to the Florida Citrus Crop Insurance Regulations for the 1976 and Succeeding Crop Years is hereby superseded by the appendix as outlined below.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Florida Citrus Crop Insurance Regulations for the 1976 and Succeeding Crop Years (7 CFR Part 410), are amended as follows:

1. By amending the last sentence of 7 CFR 410.1 to read as follows:

§ 410.1 Availability of Florida citrus insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which Florida citrus insurance will be offered."

2. By amending the Florida Citrus Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

Appendix

Counties Designated for Florida Citrus Crop Insurance—7 CFR 410

In accordance with the provisions of 7 CFR 410.1, the following counties in Florida are designated for citrus crop insurance:

Florida

Brevard	Manatee
DeSoto	Marion
Glades	Martin
Hardee	Orange
Hendry	Osceola
Hernando	Palm Beach
Highlands	Pasco
Hillsborough	Polk
Indian River	St. Lucie
Lake	Seminole

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 410.1 is minor and nonsubstantive, and the publication of the list of counties in Florida where citrus crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

James D. Deal,

Manager.

Dated: October 12, 1979.

[FR Doc. 79-38634 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-08-M

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7 CFR Part 411

[Amendment No. 2]

Grape Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Grape Crop Insurance Regulations for the 1977 and Succeeding Crop Years by (1) amending the last sentence of § 411.1, relative to listing counties where grape crop insurance is available, and (2) adding an appendix to provide such listing, as required by the provisions of § 411.1 of the regulations. This action is promulgated under the authority of the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C., 20250, telephone 202-447-3325.

SUPPLEMENTARY INFORMATION: On September 1, 1976, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (41 FR 36792-36795), prescribing procedures for insuring grape crops effective with the 1977 crop year.

These regulations are found in 7 CFR 411 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The last sentence in § 411.1 of the Grape Crop Insurance Regulations for the 1977 and Succeeding Crop Years provides that "The counties designated by the Manager shall be published by appendix to this section."

In prior years, the requirements of the provisions of § 411.1 have been met by publishing an amendment to the regulations to list those counties where grape crop insurance is available, with the last such publication in the **Federal Register** being made on Tuesday, January 9, 1979 (44 FR 1967), as Amendment No. 1.

The Corporation is presently conforming its regulations for insuring various commodities to a uniform format which includes the publication of an "Appendix", which lists the counties where insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of the Grape Crop Insurance Regulations for the 1977 and Succeeding Crop Years, it is necessary to change the language of the last sentence of § 411.1 to indicate that such an appendix to this "part" instead of this "section" will be published and, at the same time, conforming the language of the section to match the language in the other crop insurance regulations of the Corporation.

Amendment No. 1 to the Grape Crop Insurance Regulations for the 1977 and Succeeding Crop Years is hereby superseded by the appendix as outlined below.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Grape Crop Insurance Regulations for the 1977 and Succeeding Crop Years (7 CFR Part 411), are amended as follows:

1. By amending the last sentence of 7 CFR 411.1 to read as follows:

§ 411.1 Availability of grape insurance.

* * * * *

Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which grape insurance will be offered.

2. By amending the Grape Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

Appendix

Counties Designated for Grape Crop Insurance—7 CFR 411

In accordance with the provisions of 7 CFR 411.1 the following counties are designated for grape crop insurance:

California

Merced	Stanislaus
San Joaquin	

New York

Chautauqua	Seneca
Niagara	Steuben
Ontario	Yates
Schuyler	

Pennsylvania

Erie

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language of § 411.1 is minor and nonsubstantive, and the publication of the list of counties where grape crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on October 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

James D. Deal,

Manager.

Dated: October 12, 1979.

[FR Doc. 79-38638 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-08-M

7 CFR Part 413

[Amendment No. 2]

Texas Citrus Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Texas Citrus Crop Insurance Regulations for the 1977 and Succeeding Crop Years by (1) amending the last sentence of § 413.20, relative to listing counties where citrus crop insurance is available, and (2) adding an appendix to provide such listing as required by the provisions of § 413.20 of the regulations. This action is promulgated under the authority of the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C., 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: On June 2, 1977, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (42 FR 28141–28144), prescribing procedures for insuring citrus in Texas effective with the 1977 crop year.

These regulations are found in 7 CFR 413 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et. seq.*).

The last sentence in § 413.20 of the Texas Citrus Crop Insurance Regulations for the 1977 and Succeeding Crop Years provides that "The counties designated by the Manager shall be published by appendix to this section."

Subsequent to the publication of the Texas Citrus Crop Insurance Regulations as Part 413 in Chapter IV of Title 7 of the Code of Federal Regulations (7 CFR 413) in the **Federal Register** on June 2, 1977 (42 FR 28141), the listing of the citrus crop insurance counties in Texas was published as Amendment No. 1 to the Texas Citrus Crop Insurance Regulations for the 1977 and Succeeding Crop Years—7 CFR 413 (**Federal Register** at 44 FR 1968, January 9, 1979).

The Corporation is presently conforming its regulations for insuring various commodities to a uniform format which includes the publication of an appendix, which lists the counties where insurance is available, to the respective part number of 7 CFR for the particular crop to be insured. In the case of Texas Citrus Crop Insurance Regulations, it is necessary, therefore, to change the language of the last sentence of § 413.20 to indicate that such an appendix to this "part" instead of "section" will be published and, at the same time, conforming the language of the last sentence to match the language in the other crop insurance regulations of the Corporation.

Amendment No. 1 to the Texas Citrus Crop Insurance Regulations for the 1977 and Succeeding Crop Years is hereby superseded by the appendix outlined below.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Texas Citrus Crop Insurance Regulations for the 1977 and Succeeding Crop Years (7 CFR Part 413), are amended as follows:

1. By amending the last sentence of 7 CFR 413.20 to read as follows:

§ 413.20 Availability of Texas citrus insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which Texas citrus insurance will be offered."

2. By amending the Texas Citrus Crop Insurance Regulations by adding at the end thereof, an appendix to read as follows:

Appendix

Counties designated for Texas Citrus Crop Insurance—7 CFR 413

In accordance with the provisions of 7 CFR 413.20, the following counties in Texas are designated for citrus crop insurance:

Texas

Cameron Willacy
Hidalgo

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 413.20 is minor and nonsubstantive, and the publication of the list of counties in Texas where citrus crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

James D. Deal,

Manager.

Dated: October 12, 1979.

[FR Doc. 79–38635 Filed 12–17–79; 8:45 am]

BILLING CODE 3410–08–M

7 CFR Part 414

[Amendment No. 2]

Forage Seeding Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation, USDA.

ACTION: Final rule.

SUMMARY: This rule amends the Forage Seeding Crop Insurance Regulations for the 1978 and Succeeding Crop Years by (1) changing the designation of "section" to "part" in § 414.1 of the regulations, and (2) adding an appendix, which lists the counties where forage seeding crop insurance is available, as required by the provisions of § 414.1. This action is promulgated under the authority contained in the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C., 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: On April 20, 1978, the Federal Crop Insurance Corporation published a notice of Final Rule in the **Federal Register** (43 FR 16693–16697), prescribing procedures for insuring forage crops as forage seeding effective with the 1978 crop year.

These regulations are found in 7 CFR Part 414 and were promulgated under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*).

The last sentence in § 414.1 of the Forage Seeding Crop Insurance Regulations for the 1978 and Succeeding Crop Years provides that "Before insurance is offered in any county, there shall be published by appendix to this section the name of the county and the crops on which insurance will be offered."

The word "section", as found in the last sentence of § 414.1 of the regulations cited above, is incorrect and is changed to read "part". Subsequent to the publication of the Forage Seeding Crop Insurance Regulations as a new Part 414 in Chapter IV of Title 7 of the Code of Federal Regulations (7 CFR Part 414) in the **Federal Register** on April 20, 1978 (43 FR 16693), the listing of the forage seeding crop insurance counties was published as Amendment No. 1 to the Forage Seeding Crop Insurance Regulations for the 1978 and Succeeding Crop Years—7 CFR Part 414 (**Federal Register** at 44 FR 1968, January 9, 1979).

It has become necessary to reissue the list of forage crop insurance counties as an "Appendix" to the Forage Seeding Crop Insurance Regulations under the Corporation's present system of bringing its regulations under a uniform format.

Amendment No. 1 to the Forage Seeding Crop Insurance Regulations for the 1978 and Succeeding Crop Years is hereby superseded by the appendix outlined below.

Final Rule

Under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Forage Seeding Crop Insurance Regulations for the 1978 and Succeeding Crop Years (7 CFR Part 414), are amended as follows:

1. By amending the last sentence of 7 CFR 414.1 to read as follows:

§ 414.1 Availability of forage seeding insurance.

* * * * *

"Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which forage seeding insurance will be offered."

2. By amending the Forage Seeding Crop Insurance Regulations by adding at the end thereof, an Appendix to read as follows:

Appendix

Counties Designated for Forage Seeding Crop Insurance—7 CFR Part 414

In accordance with the provisions of 7 CFR 414.1, the following counties are designated for forage seeding crop insurance: New York, Ontario; North Dakota, Morton; Wisconsin, Dane.

(Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended (7 U.S.C. 1506, 1516))

Inasmuch as the change in the language in § 414.1 is minor and nonsubstantive, and the publication of the list of counties where forage seeding crop insurance is available merely provides guidance for the general public and will benefit present and future policyholders, it is found and determined that good cause exists for issuing this rule without compliance with the 60-day notice provision of Executive Order No. 12044 and the notice, public participation and 30-day effective day requirements of the Administrative Procedure Act (5 U.S.C. 553 (b) and (c)) because it is unnecessary and contrary to the public interest. Therefore, this amendment is issued without compliance with such procedure.

This action has been reviewed under the USDA criteria established to implement Executive Order No. 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C. 20250.

Approved by the Board of Directors on September 6, 1979.

Peter F. Cole,

Secretary, Federal Crop Insurance Corporation.

Dated: October 12, 1979.

James D. Deal,

Manager.

[FR Doc. 79–38637 Filed 12–17–79; 8:45 am]

BILLING CODE 3410–08–M

Commodity Credit Corporation

7 CFR Part 1427

Standards for Approval of Warehouses for Cotton or Cotton Linters; Correction

AGENCY: Commodity Credit Corporation, United States Department of Agriculture.

ACTION: Correction to final rule.

SUMMARY: This action corrects a previous **Federal Register** Document, FR Doc. 79–36077, beginning at page 67084 of the issue for Firday, November 23, 1979, which revised the Standards for Approval of Warehouses for Cotton or Cotton Linters. In that document language was in error.

EFFECTIVE DATE: November 23, 1979.

FOR FURTHER INFORMATION CONTACT: Mr. Eugene A. Williams, Inventory Management Division, ASCS, U.S. Department of Agriculture, P.O. Box 2415, Washington, D.C. 20013; (202) 447–7335.

SUPPLEMENTARY INFORMATION: The Commodity Credit Corporation issued a Final Rule with an effective date of November 23, 1979. Action is taken herein to correct an error in § 1427.1087 of the final rule. Since the change is merely clarifying in nature, notice and public procedure thereon are not considered necessary.

In FR Doc. 79–36077 appearing on page 67087 in the **Federal Register** of November 23, 1979, the following correction is hereby made:

§ 1427.1087 [Corrected]

The second sentence of § 1427.1087, paragraph (b) beginning with the words "Warehouseman approved under" should be "deleted".

Signed at Washington, D.C., on December 10, 1979.

John E. Gibbs,

Acting Executive Vice President, Commodity Credit Corporation.

[FR Doc. 79–38673 Filed 12–17–79; 8:45 am]

BILLING CODE 3410–05–M

Agricultural Marketing Service

7 CFR Part 905

[Orange, Grapefruit, Tangerine and Tangelo Regulation 3, Amendment 5]

Oranges, Grapefruit, Tangerines and Tangeloes Grown in Florida; Limitation of Shipments

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Amendment to final rule.

SUMMARY: This amendment establishes a total limitation of shipment regulation for fresh Florida oranges, grapefruit, tangerines, and tangelos during the period beginning at 6:00 p.m., e.s.t., December 21, 1979, and ending 12:01 a.m., e.s.t., December 28, 1979. The regulation is needed to assist in preventing the accumulation of excessive market supplies of the specified fruits during the Christmas Holiday period specified, in which it is anticipated there will be a greatly reduced market demand.

EFFECTIVE DATE: December 21, 1979.

FOR FURTHER INFORMATION CONTACT: Malvin E. McGaha, (202) 447–5975.

SUPPLEMENTARY INFORMATION: *Findings.* (1) This regulation is issued under marketing agreement and Order No. 905, both as amended (7 CFR Part 905),

regulating the handling of oranges, grapefruit, tangerines, and tangelos grown in Florida. The agreement and order are effective under the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601–674). This action is based upon the recommendations of the committee established under the marketing agreement and order, and upon other information. It is found that the limitation of shipments of oranges, grapefruit, tangerines, and tangelos, as hereinafter provided, will tend to effectuate the declared policy of the act.

(2) This amendment reflects the Department's appraisal of the marketing situation during the period immediately prior to the week in which Christmas Day occurs and for the period immediately following. It is anticipated that shipments of fresh oranges, grapefruit, tangerines, and tangelos prior to Christmas Day will result in market supplies in excess of market needs. An accumulation of excessive quantities of any variety of citrus fruit in the markets during the period immediately prior to and following Christmas contributes to unstable marketing conditions. It is reported that, absent the shipping holiday, excessive shipments of the specified fruits would occur, causing an accumulation of these varieties of fruit in the market prior to and during the post-holiday period, a period in which there is a drop in consumer demand. Hence the curtailment of orange, grapefruit, tangerine, and tangelo shipments, as hereinafter specified, would contribute to a better-managed supply situation and in turn to the establishment of orderly marketing.

(3) It is further found that it is impracticable, unnecessary, and contrary to the public interest to give preliminary notice, engage in public rulemaking procedure, and postpone the effective date of this amendment until 30 days after publication in the **Federal Register** (5 U.S.C. 553), because of insufficient time between the date when information became available upon which this amendment is based and the effective date necessary to effectuate the declared policy of the act. A reasonable time is permitted, under the circumstances, for preparation for such effective time; and good cause exists for making the provisions of this amendment effective at the time specified. Shipments of Florida oranges, grapefruit, tangerines, and tangelos are currently regulated through October 12, 1980. Determination as to the need for, and extent of, regulation under § 905.52(a)(3) must await the development of the crop and the availability of information about market supplies and the demand for such fruits. The recommendation and supporting information for such regulation, were promptly submitted to the Department after an open meeting of the committee, after notice to growers, shippers and others, and interested persons were afforded an opportunity to submit information and views. Information regarding specifications of the regulation has been provided to shippers, and the regulation is identical with the recommendations of the committee. Compliance with the regulation will not require any special preparation on the part of persons subject thereto which cannot be completed on or before the effective time.

Further, in accordance with procedures in Executive Order 12044, the emergency nature of this regulation warrants publication without opportunity for further public comment. The regulation has not been classified significant under USDA criteria for implementing the Executive Order. An Impact Analysis is available from Malvin E. McGaha, Fruit Branch, Fruit and Vegetable Division, AMS, USDA, Washington, D.C. 20250, phone (202) 447–5975.

Accordingly, it is found that the provisions in paragraph (a) of § 905.303 Orange, Grapefruit, Tangerine, and Tangelo Regulation 3 (44 FR 59195, 65962, 66779, 69917) should be and hereby are revised by modifying the proviso in said paragraph applicable to shipments of oranges, grapefruit, tangerines, and tangelos to read as follows:

§ 905.303 Orange, Grapefruit, Tangerine, and Tangelo Regulation 3.

Order. (a) * * * unless such variety meets the applicable minimum grade and size (with tolerances for size as specified in paragraph (c) hereof) specified for such variety in columns (3) and (4) of such table: *Provided,* That during the period beginning at 6:00 p.m., e.s.t., December 21, 1979, and ending 12:01 a.m. e.s.t., December 28, 1979, no handler shall ship between the production area any any point outside thereof in the continental United States, Canada, or Mexico, any oranges, grapefruit, tangerines, and tangelos, of the varieties or types, specified in paragraph (a) Table I of this section, grown in the production area.

* * * * *

(Secs. 1–19, 48 Stat. 31, as amended; 7 U.S.C. 601–674)

Dated, December 13, 1979, to become effective 6:00 p.m., e.s.t., December 21, 1979.

D. S. Kuryloski,

Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc. 79-38839 Filed 12-17-79; 1:49 pm]

BILLING CODE 3410-02-M

Commodity Credit Corporation

7 CFR Part 1421

Standards for Approval of Warehouses for Grain, Rice, Dry Edible Beans, and Seed; Corrections

AGENCY: Commodity Credit Corporation, United States Department of Agriculture.

ACTION: Correction to final rule.

SUMMARY: This action corrects a previous **Federal Register** Document, FR Doc. 79–36076, beginning at page 67077 of the issue for Friday, November 23, 1979, which revised the Standards for Approval of Warehouses for Grain, Rice, Dry Edible Beans, and Seed. In that document, language was inadvertently omitted and a subparagraph was misdesignated.

EFFECTIVE DATE: November 23, 1979.

FOR FURTHER INFORMATION CONTACT: Mr. Eugene A. Williams, Inventory Management Division, ASCS, U.S. Department of Agriculture, P.O. Box 2415, Washington, D.C. 20013; (202) 447–7335.

SUPPLEMENTARY INFORMATION: The Commodity Credit Corporation issued a Final Rule with an effective date of November 23, 1979. Action is taken herein to correct errors in § 1421.5557 of the Final Rule. Since the changes are merely clarifying in nature, notice and public procedure thereon are not considered necessary.

In FR Doc. 79–36076 appearing on page 67080 in the **Federal Register** of November 23, 1979, the following corrections are hereby made:

§ 1421.5557 [Corrected]

1. The second sentence of § 1421.5557, (a) *Exemption from requirements,* should be designated (b), as follows:

* * * * *

"(b) Warehousemen who are currently under contract with CCC will be required to meet the terms and conditions of these regulations at the time of renewal of their contract."

2. In § 1421.5557, the last paragraph, which is not a part of the Final Rule should be as a Note as follows:

Note.—This Final Rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations", and has been classified "significant". An approved Final Impact Statement is available from Mr. Eugene A. Williams, ASCS, (202) 447–7335.

Signed at Washington, D.C., on December 10, 1979.

John E. Gibbs,

Acting Executive Vice President, Commodity Credit Corporation.

[FR Doc. 79-38872 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-05-M

Rural Electrification Administration

7 CFR Part 1701

Public Information; Appendix A—REA Bulletin

AGENCY: Rural Electrification Administration, USDA.

ACTION: Final rule.

SUMMARY: The Rural Electrification Administration hereby amends Appendix A—REA Bulletins to provide a temporary waiver for a requirement in REA Bulletin 345–74, REA Specification for Improved 500 Type Telephone Sets. The surge test requirement in paragraph 8.41 for DTMF (pushbutton dial) telephones in the off-hook condition with one button depressed is temporarily waived.

DTMF telephone sets which comply with the surge test requirements of this specification cannot be relied on to operate with loop currents of less than 20mA which is common in subscriber carrier applications. This has caused serious concern to telephone systems that are converting to DTMF telephone sets and have a relatively high percentage of subscriber carrier loops. Most earlier DTMF dials will operate with subscriber carrier but will not meet the surge test requirements of PE–41.

This waiver will permit REA to finance the use of older, non-surge resistant dials with subscriber carrier until new surge resistant, carrier compatible dials are developed.

EFFECTIVE DATE: December 11, 1979.

FOR FURTHER INFORMATION CONTACT: C. F. Buster, Jr., telephone (202) 447–3917.

SUPPLEMENTARY INFORMATION: In accordance with the spirit of the public policy set forth in 5 U.S.C. 553, interested persons may submit written comments, suggestions, data, or arguments to the Administrator, Rural Electrification Administration, U.S. Department of Agriculture, Washington, D.C. 20250, Attention: Telephone Operations and Standards Division. Material thus submitted will be evaluated and acted upon in the same manner as if this document were a proposal. Until such time as further changes are made, the File With to REA Bulletin 345–74 shall remain in effect, thus permitting the public business to proceed more expeditiously.

An impact analysis for this revision has been prepared and is available for public inspection.

Dated: December 11, 1979.

John H. Arnesen,

Assistant Administrator—Telephone.

[FR Doc. 79-38862 Filed 12-17-79; 8:45 am]

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NATIONAL CREDIT UNION ADMINISTRATION

12 CFR Chapter VII

Rate of Interest; Interpretive Ruling

AGENCY: National Credit Union Adminstration.

ACTION: Interpretation of General Applicability.

SUMMARY: This statement sets forth the National Credit Union Administration's interpretation of the effect a compensating balance has upon the rate of interest on Federal Credit Union (FCU) loans for purposes of section 107(5)(A)(vi) of the Federal Credit Union Act. Under this interpretation, a compensating balance required on an FCU loan must be considered in determining the rate of interest on the loan. Pursuant to section 107, the resulting rate of interest may not exceed 1% per month (12% per year).

EFFECTIVE DATE: Immediately on December 18, 1979.

ADDRESS: National Credit Union Administration, 1776 G Street NW., Washington, D.C. 20456.

FOR FURTHER INFORMATION CONTACT: Robert M. Fenner, Assistant General Counsel, or Edward J. Dobranski, Senior Attorney, both of the Office of General Counsel, National Credit Union Administration, at the above address. Phone: (202) 357–1030.

Interpretation [IRPS No. 79–9]

This interpretation states that the effect of a compensating balance must be considered in order to determine the rate of interest on a Federal Credit Union (FCU) loan to a member for purposes of section 107(5)(A)(vi) of the Federal Credit Union Act (12 U.S.C. 1757(5)(A)(vi)). That section states that the rate of interest on a loan to a member shall not exceed 1% per month (12% per year) on the unpaid balance inclusive of all service charges.

I. Definition of Compensating Balance

1. The term "compensating balance" means a deposit in a Federal Credit Union (FCU):

(a) that the FCU requires that the member/borrower make; [1]

(b) that is created from either (i) part or all of the proceeds of the loan or (ii) from any outside source (including the borrower's own funds); and

(c) that is not accessible to the member/borrower for a given period of time.

2. The term does not include any deposit in the FCU that the member/borrower has made previously without regard to any loan requirement or lending policy that such a deposit be made, and the amount of which is given as security for the loan.

An explanation of the terms used in the definition is set forth below.

The term "deposit" refers to a share account of any type, or a share certificate account,[2] or a certificate of indebtedness. It does not include the $5 share membership requirement, for that requirement exists independently of any loan (even if given concurrently with a loan) and is mandated by section 109 of the Federal Credit Union Act (12 U.S.C. 1759).

The term "requires that the member/borrower make" means that funds must be placed in the FCU in order to obtain a particular loan. It is important to note that this requirement can arise in a number of ways; for example, on the face of the loan agreement (such as a security requirement or a requirement of deposit [with or without security]); as an FCU lending policy (e.g., that to qualify for a loan the member/borrower must have 20% of the loan amount in shares); or a requirement that is conveyed orally to a particular borrower (e.g., by the loan officer).

The term "created from the loan proceeds" is essentially self explanatory, i.e., part of the loan is kept in an account in the FCU.[3]

The term "created from any outside source (including the borrower's own funds)" covers the situation where the borrower receives the entire amount contracted for in the loan agreement, but is required to place a certain amount of

[1] Systematic loan/savings plans do not fall within the scope of this interpretive ruling. The issue of whether such plans must be considered for purposes of 12 U.S.C. 1757(5)(A)(vi) will be addressed in a subsequent interpretive ruling.

[2] Thus, if a share certificate is required to be purchased as a condition of a loan, and it is required to be given as security on the loan, then a compensating balance arises.

[3] Note that estate loans (where the borrower requests that all proceeds of the loan be placed into shares, and which are inaccessible), will be addressed in a subsequent interpretive ruling.

funds (from any source) in the FCU, and such funds may not be withdrawn for a given time period.

The term "not accessible to the member/borrower" means funds to which a borrower does not have an automatic, unfettered right of withdrawal.[4] Thus, e.g., funds that are placed with the FCU as a requirement of the loan, and that are subject to withdrawal only with credit committee approval pursuant to a separate requirement in the loan agreement or pursuant to a security interest in those shares, would be considered not accessible for purposes of this interpretation.

The term "compensating balance" as used herein does not include any funds that were previously and independently placed into a share account (without regard to any lending policy or loan requirement) *and* that are subsequently offered as security for the loan. Such funds do not affect the 1% per month interest rate limitation. For example, suppose an FCU requires 20% of the loan balance to be maintained in shares in order to qualify for a loan. If a member wishes to borrow $5,000, in order to be eligible to borrow such an amount, $1,000 must be in shares (with such $1,000 being inaccessible for a certain period of time). If the member already had $1,000 in shares (and no portion of the $1,000 was placed in shares for the purpose of meeting the FCU 20% requirement for a contemplated loan), and if the shares are given as security on the loan, no compensating balance arises, even though the funds are inaccessible until the loan balance is less than the share amount. However, if the member had only $600 in shares, and put $400 from his or her own pocket into the share account in order to qualify for the loan (or agreed to place $400 from the loan proceeds into shares), then a $400 compensating balance exists and that compensating balance must be considered in determining the rate of interest for purposes of section 107(5)(A)(vi) of the Federal Credit Union Act.

II. Legal Rationale

As stated above, the pertinent provision of the Federal Credit Union Act is section 107(5)(A)(vi) (12 U.S.C. 1757(5)(A)(vi), which provides that the rate of interest on an FCU loan shall not exceed 1% per month (12% per year) on the unpaid balance inclusive of all service charges. The issue which has arisen concerning the relationship between section 107 and compensating balances is best illustrated through an example. If a loan of $1,000 is contracted for, with monthly payments, and if the FCU requires that $200 of such loan be placed in the borrower's share account (to be inaccessible for a given period of time), upon what amount may the FCU charge 12% per year (i.e., what is the unpaid balance)?[5]

It is NCUA's position that 12% per year may not be assessed upon the entire amount of the loan ($1,000 in the example). This position is predicated upon recognition of the time value of money and upon the resolution of this issue reached by a vast majority of those courts that have addressed it.

The term "interest", by definition, mandates consideration of the funds a borrower has use of and of the time the borrower has use of such funds.[6] Interest is thus the value of funds available for one's use. That value varies depending upon how long the funds may be used, i.e., the time value of money. When funds "borrowed" may not be used for a period of time, the value of those funds decreases. The resulting value is termed "present value". Thus, for example, given a loan of $1,000 with a $200 compensating balance, 1% per month may be assessed only upon the sum of $800 plus the present value of the $200 compensating balance. (That is, the FCU will be permitted to charge 1% per month [12% per year] on an amount somewhere between $800 and $1,000, depending upon the present value of the $200). The present value will vary depending upon how long the $200 is inaccessible. The longer the period of inaccessibility, the less its present value. In the alternative, the unpaid balance can be carried on the FCU's books as $1,000 in the example. In that situation, the monthly interest rate factor assessed upon that $1,000 cannot be 1%, because of the time value of money, and thus must necessarily be less that 1% (how much so again depends upon how long the $200 is inaccessible).[7]

The concept of the time value of money, and why it must be considered when determining the relationship between a compensating balance and section 107, is clearly evident when a compensating balance type loan is compared to a multiple advance loan. Given a loan for $1,000 for one year, if the FCU states that it will advance $250 to the borrower at once, $250 after one month, and $500 after six months, it is clear that if the FCU charges 1% per month on $1,000 from the date of the first advance, the rate of interest is greater that 1% per month on the unpaid balance. Such a scheme would generate a greater rate of interest to the FCU than if the transaction was viewed as three separate loans, with 1% being charged on $250 for one year, 1% on $250 for 11 months, and 1% on $500 for six months. The crucial aspect in this type of determination is the time value of money (i.e., the funds the borrower has use of). A compensating balance is similar. If the FCU withholds part of the loan until a later date, ($200 in the example), the maximum interest rate may not be assessed upon that $200 if the borrower does not have immediate use of it.[8] Of course, time value methods of computation exist so that present value and the resulting rate of interest may be determined at the inception of a compensating balance loan. This rate may not exceed 12% per year.

As noted previously, a number of courts have addressed the issue of whether a compensating balance must be considered in determining the rate of interest on a loan, and the vast majority have concluded that such a consideration is necessary.[9] It is important to note that the cases referred to dealt with state law usury provisions. In short, many of the courts determined not only whether an excessive rate was actually reserved or received, but also determined whether the lender intended to reserve or receive such an excessive rate. This dual determination was necessary in those cases for each involved a provision imposing a penalty for charging an excessive rate of interest. The cases thus dealt with allegations of usury, i.e., excessive interest rates and allegations that such rates were charged by a lender with usurious intent, the latter being necessary to invoke the penalty provisions.

Unlike the court decisions, this interpretation does not address an entire usury provision. The usury provision of the Federal Credit Union Act is composed of two sections, section 107(5)(A)(vi) and section 107(5)(A)(vii). The former sets forth the maximum interest rate (1% per month); the latter, the penalty a borrower may invoke in court for a knowing violation of that limit. This interpretation necessarily encompasses only section 107(5)(A)(vi) for it is solely that section of the usury provision for which NCUA is charged with regulatory responsibility. That responsibility extends only to interpreting what is necessary to determine the "rate of interest on the unpaid balance". It does not extend to making a determination of whether any particular action is usurious, i.e., taken with knowledge that an excessive rate was reserved or received (or cloaked with an intent that evidences such knowledge) so that the penalty provision of section 107(5)(A)(vii) would be invoked. That type of determination is for a court, in an action brought by a borrower under section 107(5)(A)(vii) (12 U.S.C. 1757(5)(A)(vii)).[10]

Again, the courts, although making the dual determination noted, have overwhelmingly concluded that the imposition of the maximum interest rate on the amount contracted for, without consideration of the loss of use of money for a period of time which results from the imposition of a compensating balance, constitutes the charging of an excessive rate of interest.

Given such judicial precedent, and given present day concepts of the time value of money, NCUA interprets section 107(5)(A)(vi) of the Federal Credit Union Act as requiring that compensating balances and their resulting loss of use of money must be considered when determining the rate of interest on the unpaid balance. This does not mean, of course, that compensating balances are illegal. It does mean, however, that a violation of Section 107(5)(A)(vi) occurs if, given consideration of any compensating balance, the rate of interest exceeds 1% per month (12% per year) on the unpaid balance inclusive of all service charges.

III. Computation

As noted previously, accepted methods of computation for determining the effects of a compensating balance may be employed.[11] Such methods determine how the compensating balance affects the rate of interest through consideration of the length of time the funds are inaccessible to the borrower and the amount of such funds. The computation for this determination must be done pursuant to such accepted methods of determining present value (i.e., determining the present value of funds that are inaccessible for a given period of time). Once the present value of the compensating balance is determined, the unpaid balance can be computed. Or, in the alternative, the FCU can compute the maximum periodic rate factor which may be applied so that the rate of interest does not exceed 1% per month (12% per year). Although NCUA will advise any FCU that intends to impose a compensating balance of the methods of calculation, it should be noted that any FCU that does impose a compensating balance will bear the burden of demonstrating that the rate of interest does not exceed 1% per month (12% per year) on the unpaid balance. In this regard, FCU's should note that since the computations are somewhat difficult, they should ensure that they can accurately perform them. This is especially important given section 107(5)(A)(vii), the penalty provision.

Two other aspects of the computation deserve note. First, any dividends paid on a compensating balance may be considered in determining the rate of interest. Thus, the greater the dividends paid on the compensating balance, the lower the rate of interest.[12] Consideration of dividends is not mandatory (since dividends serve to lower the rate of interest), however, they may be considered by any FCU that can compute their effect.

Second, since an FCU by law [13] may not freeze shares in excess of any loan balance, portions of the compensating balance must be made available whenever the compensating balance exceeds the outstanding loan balance. If this happens, the staggered accessibility of funds can be considered in calculating the interest rate, if the FCU so chooses (and if it has the capability of performing the requisite mathematical computations). However, in making its calculations to determine the effect of the compensating balance, the FCU may also choose to simply treat the compensating balance as though it is not accessible for the life of the loan.

IV. Scope

NCUA recognizes that this interpretation raises a host of other questions concerning a myriad of situations that do not fall within the definition of the term "compensating balance" as set forth herein. It is the agency's intent to address in a subsequent interpretive ruling a number of those situations, such as FCU thrift plans, open end loans, estate loans, prepaid interest, and funds that are withheld from the borrower but are not placed in a deposit account or CI (e.g. in escrow with a third party).

Rosemary Brady,

Secretary, National Credit Union Administration Board.

December 12, 1979.

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[4] Pursuant to the same rationale applicable to the $5 share membership requirement, the imposition by the FCU of the 60 day notice of withdrawal requirement on all accounts, as provided for in Article III, section 5(a) of the Federal Credit Union Bylaws, does not render shares inaccessible for purposes of this ruling.

[5] Stated another way, what is the maximum monthly interest rate factor that may be applied to the full $1,000? It is understood that FCU's will of necessity perceive the computation as a determination of the periodic interest rate factor and treat the loan as one for $1,000. The discussion in the text is used simply to more clearly explain the issue.

[6] "Interest" is universally defined as compensation received by a lender for the use of money. See, e.g., 47 C.J.S. Interest § 1 and 45 Am. Jur. 2d Interest § 1, for a listing of a number of cases that have recognized this definition. Interest can also be viewed as compensation of the creditor's loss of the use of funds. Thus, when a compensating balance is required for a given time period, the creditor is not deprived of the use of funds for such time.

[7] As noted in footnote 5, since the FCU will choose to consider the unpaid balance to be the full amount of the loan, the monthly interest rate factor must be arrived at by considering the elements of use and time (i.e. the time value of money).

[8] Given the concept of the use of money, it makes no difference whether the compensating balance is created from the loan proceeds or from the borrower's own funds.

[9] For a general overview of case law addressing the question of whether usury results when a creditor requires a deposit of debtor's funds, see 92 ALR 3d 769.

[10] We recognize, of course, that an agency pronouncement such as this could very well be perceived by a court, in an action by a borrower under section 107(5)(A)(vii) against an FCU, as imparting knowledge to an FCU for purposes of that section. That resolution, however, is for the judiciary, not NCUA, and will necessarily turn upon the facts in each particular case.

[11] For example, Supplement I to the Federal Reserve Board's Regulation Z sets out such a method. Note, however, that that method encompasses the actuarial computation of interest, not the U.S. Rule computation. Supplement I can be adapted to fit the U.S. Rule method however.

[12] Although FCU's do not know in advance what the dividend rate will be (nor can they guarantee a rate), legally no objection exists to the use of a good faith estimate based upon past dividend rates or reasonable projections.

[13] Article III, Section 5(c) of the Federal Credit Union Bylaws.

FEDERAL DEPOSIT INSURANCE CORPORATION

12 CFR Parts 304 and 349

Implementation of Reporting Requirements of the Financial Institutions Regulatory and Interest Rate Control Act of 1978

AGENCY: Federal Deposit Insurance Corporation.

ACTION: Final Regulation.

SUMMARY: These final regulations are issued to implement the reporting requirements of Titles VIII and IX of the Financial Institutions Regulatory and Interest Rate Control Act of 1978. Title VIII requires the principal shareholders and executive officers of federally-insured banks to file confidential reports with the banks Board of Directors. Title VIII also requires each insured bank to file with the appropriate Federal banking agency annual reports listing each executive officer or principal shareholder who filed reports of indebtedness with the Board of Directors. Title IX of the Act requires the banks to file annual reports listing the principal shareholders and executive officers who borrowed money from the

bank during the year, all executive officers, principal shareholders and their related business interest who filed a report of borrowing from one or more of the banks correspondent banks, and the aggregate amount of the indebtedness.

EFFECTIVE DATE: December 31, 1979.

FOR FURTHER INFORMATION CONTACT: Daniel Wm. Persinger, Assistant General Counsel, (202) 389–4387, or Barbara I. Gersten, Attorney, (202) 389–4261, FDIC.

SUPPLEMENTARY INFORMATION: Title VIII of FIRIRCA (*Correspondent Accounts)* which amends section 106(b) of the Bank Holding Company Act Amendments of 1970 (12 U.S.C. 1972), became effective March 10, 1979. Title VIII requires executive officers and principal shareholders of federally-insured banks to file a confidential report with the board of directors of their banks concerning their indebtedness and the indebtedness of their related business interests to correspondent banks. Title VIII further requires each insured bank to file with the appropriate Federal banking agency an annual report listing by name each executive officer or principal shareholder who files a report of indebtedness with the bank's board of directors, and listing the aggregate amount of all extensions of credit made to these persons and their related business interests by all correspondent banks.[1]

Title IX of FIRIRCA (*Disclosure of Material Facts*), which amends Section 7 of the Federal Deposit Insurance Act (12 U.S.C. 1817), became effective on March 10, 1979. Title IX requires all federally-insured banks to file annually a public report with the appropriate Federal banking agency listing (1) the bank's principal shareholders, (2) all of the bank's executive officers and principal shareholders who borrowed (or whose related business interests borrowed) from the insured bank during the year, (3) all such persons and their related business interests who filed with the bank a report of borrowing from one or more of the bank's correspondent banks during the year, and (4) the aggregate amount of indebtedness incurred under (2) and (3).

On March 9, 1979, the Federal banking agencies published for public comment proposed regulations to implement the reporting requirements of Titles VIII and IX of FIRIRCA. Docket No. R–0210, 44 FR 13035. The public comment period closed on April 20, 1979. Approximately 96 comments were received by FDIC.

Many comments focused on the difficulty of complying with the reporting requirements, in particular the cost of compiling reports and the burden of submitting a year-end report in addition to other year-end reports required of insured banks. The regulations were termed inappropriate for use in certain situations, especially those involving foreign banks. Comments on proposed definitions of key terms were numerous. Concern was expressed over the public availability of the Title IX report, terming this an invasion of privacy. A recurring comment was that these additional regulations constitute the "over-regulation" of banks, and require the duplicate reporting of information already available to the Federal banking agencies.

The regulations are effective December 31, 1979. This action is taken under the authority granted in section 553(d)(3) of the Administrative Procedure Act (5 U.S.C. 553(d)(3)) to dispense with publication of a substantive rule not less than 30 days before its effective date. The Board of Directors of the Federal Deposit Insurance Corporation has determined it is not in the public interest to delay the effective date of the regulations for 30 days.

The Board of Governors of the Federal Reserve System has already published regulations (in substance similar to those of FDIC) which will become effective December 31, 1979. The industry is aware of the requirements of these regulations and of the reporting requirements of Titles VIII and IX of FIRIRCA (effective March 10, 1979) which the regulations of FDIC and the Federal Reserve implement. While the regulations do impose restrictions (*i.e.*, reporting requirements) on executive officers, principal shareholders and banks, these restrictions are actually already imposed by Titles VIII and IX. In addition, due to the initial reporting deadline of January 31 (for executive officers and principal shareholders to report to their bank on their indebtedness to its correspondent banks pursuant to Title VIII) it is necessary that the regulations become effective no later than year end. This will allow sufficient time to meet the January 31 reporting deadline.

In accordance with Executive Order 12044, "Improving Government Regulations" (43 FR 12661), and policy statements of the Federal banking agencies, the agencies have determined that the regulations impose no reporting burdens or recordkeeping costs that are not required by statute.

Upon review of the comments received and after a thorough reconsideration of the regulations as published for comment, FDIC has made certain changes as reflected in the final regulations set forth below. An explanation of the final regulations and a discussion of the comments received are also set forth below.

A. Reporting Requirements of Titles VIII and IX [2]

1. *Title VIII Reports by Executive Officers and Principal Shareholders.* Under Title VIII, executive officers[3] and principal shareholders[4] of insured banks are required to report to the board of directors of their bank annually the following information:

(a) The "maximum amount of indebtedness" during the preceding year of the executive officer or principal shareholder and of that person's "related interests" (*i.e.*, controlled companies or political or campaign committees) to each "correspondent bank" (*i.e.*, each bank that maintains a correspondent account for the reporting person's bank);[5]

(b) The amount of indebtedness of the executive officer or principal shareholder and of each of that person's related interests to each correspondent bank outstanding as of a date not more than 10 days before the report is filed with the bank's board of directors; and

(c) The terms and conditions (including the range of interest rates) of each extension of credit included in the figure reported as the maximum amount of indebtedness.[6]

The bank is not required to make these reports available to the public, however, the bank must maintain these reports for three years. The appropriate Federal banking agency may direct the bank to maintain the reports for an additional period of time and make them available for review by its examiners.

2. *Title VIII Reports by Insured Banks.* Title VIII requires each insured bank to compile the reports submitted to it by its executive officers and principal shareholders and to furnish such compilation annually to the appropriate Federal banking agency. The regulation specifies that this compilation requirement will be satisfied if the bank does no more than furnish the information required to be filed by insured banks under Title VIII. This Title VIII report will be made a part of the report filed by the insured bank under Title IX, which report must be made available to the public by the appropriate Federal banking agency and by the bank itself.

Title VIII requires each insured bank to file with the appropriate Federal banking agency an annual report listing:

(a) The name of each executive officer or principal shareholder who files a report of indebtedness with the bank's board of directors; and

(b) The "aggregate amount of all extensions of credit"[7] made to these persons and their related interests by all of the bank's correspondent banks.

3. *Title IX Report by Insured Banks.* Title IX requires each insured bank to file with the appropriate Federal banking agency an annual report which must be made available to the public by the bank and by the agency. The report must list the following:

(a) The name of each of the bank's principal shareholders as of December 31 of the reporting year;

(b) The name of each executive officer or principal shareholder who borrowed or whose related interest borrowed, from the bank during the reporting year;[8] and

(c) The "aggregate amount of all extensions of credit" made by the insured bank during the year to these persons and their related interests.

B. Definition of Key Terms Used in Titles VIII and IX

1. *Correspondent Account.* While the prohibitions and reporting requirements of Title VIII are based on the presence of a correspondent account relationship, the statute does not define the term "correspondent account". The proposed regulation defined the term as an account maintained by one bank with another for the deposit or placement of funds. In the final regulation, time deposits as well as accounts maintained solely for federal funds and Eurodollar transactions at prevailing market rates have been excluded from the definition of "correspondent account". These exclusions are consistent with the legislative intent of the statute, which focused on noninterest-bearing demand accounts. By limiting the exclusion to time deposits and accounts for effecting federal funds and Eurodollar transactions at "prevailing market rates", the regulation minimizes the possibility that abusive correspondent account relationships will go unreported.

Most comments received agreed with the proposed definition and with the suggestion in the notice accompanying the proposed regulation that exclusions for time deposits and federal funds be adopted. While a number of commenters proposed additional exclusions (such as accounts maintained for credit card facilities or travelers checks, accounts opened in a fiduciary capacity, accounts maintained to clear checks or for securities transactions, accounts used for correspondent business of small banks, or accounts maintained for brief periods of time), these exclusions are not warranted. The legislative history indicates that the reason for the enactment of provisions in Title VIII prohibiting, without exception, preferential extensions of credit coupled with the maintenance of correspondent accounts is the difficulty in determining whether an account (such as one used to clear checks) is being used solely for legitimate purposes.

2. *Correspondent Bank.* The regulation published for comment proposed to limit reporting the indebtedness of an insured State nonmember bank's executive officers and principal shareholders to those correspondent banks that maintained correspodent accounts of $100,000 or more during the reporting year.

Most of the commenters favored a cut-off figure for the correspondent accounts based on an average balance during the year, since a correspondent account could exceed $100,000 for only a few days during the year and thus might not accurately reflect the extent of the correspondent relationship between the banks. While a *de minimus* figure as a cut-off for correspondent banks is appropriate, it is believed that an average balance of $100,000 during the year may be too high in the case of smaller banks. The final regulation specifies that executive officers or principal shareholders are not required to report on their indebtedness to banks that maintain correspondent accounts that do not exceed an average daily balance of $100,000 or one-half of one percent of the insured State nonmember bank's total deposits (as reported its first consolidated report of condition for the year), whichever is smaller.

3. *Principal Shareholder.* The prohibitions of Title VIII apply to *any* person (company or individual) that directly or indirectly owns, controls, or has power to vote more than 10 percent of a bank's voting shares.[9] The reporting requirements of Titles VIII and IX, however, apply to each "stockholder of record" who directly or indirectly owns, controls, or has the power to vote more than 10 percent of a bank's voting shares. The term "stockholder of record" is not defined in Title VIII or Title IX. The proposed regulation separately defined "principal stockholder of record" and "principal shareholder" as a person who directly or indirectly owns, controls, or has the power to vote the bank's shares, in conformity with the definition used in applying the prohibitions of Title VIII. The definitions would include the actual owner of the shares, whether or nor that person's name appears on the bank's stock

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[1] Title VIII of FIRIRCA prohibits all banks (whether or not federally insured) that maintain a correspondent account relationship with each other from extending credit to each other's executive officers, directors, or principal shareholders unless the extension of credit is not preferential, that is, (1) is made on substantially the same terms as those prevailing at the time for comparable transactions with other persons, and (2) does not involve more than the normal risk of repayment or present other unfavorable features. Title VIII also prohibits the opening of a correspondent account relationship between banks where there is a preferential extension of credit from one of the banks to an executive officer, director, or principal shareholder of the other bank. The prohibitions of Title VIII are referred to in § 349.1; however, the provisions of Part 349 relate only to the reporting requirements of Title VIII.

[2] For the purposes of Title VIII, no reports will be required of an executive officer of a U.S. branch or agency of a foreign bank (including insured branches), or of an executive officer of the foreign bank itself. Similarly, a foreign bank is not considered a "principal shareholder" for reporting purposes but an individual who is a principal shareholder of a foreign bank is subject to the reporting requirements of Title VIII.

Consistent with Title I of FIRIRCA (§ 22(h) of the Federal Reserve Act, 12 U.S.C. 375(b)) and Federal Reserve Regulation O, Subpart A (12 CFR 215.1–.11) which exclude foreign banks, the reporting requirements of Title IX do not apply to foreign banks or their U.S. branches or agencies (including insured branches).

[3] For the purposes of Titles VIII and IX and Parts 304 and 349, an executive officer of an insured State nonmember bank does not include an executive officer of a bank holding company of which the bank is a subsidiary or of any other subsidiary of that bank holding company unless that person is also an executive officer of the insured State nonmember bank.

[4] The term "principal shareholder" has been defined in Part 349 as synonymous with the term "stockholder of record" as that term is used in those provisions of Titles VIII and IX pertaining to reporting requirements.

[5] Under Title VIII, the executive officer or principal shareholder must file a report if the person is indebted during the year to a correspondent bank.

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Where the person is not indebted, but a related interest is indebted, the regulation requires the person to file a report concerning indebtedness of the related interest.

[6] The regulation does not require a report on the terms and conditions of extensions of credit included in any indebtedness outstanding not more than 10 days before the report is filed unless the extension of credit was also outstanding during the preceding year.

[7] The term "aggregate amount of all extensions of credit" has been defined in the regulation as a single figure that represents the sum of the "maximum amounts of indebtedness" reported to the insured bank's board of directors by the bank's executive officers and principal shareholders.

[8] The proposed regulation required the reporting bank to list each executive officer and principal shareholder, whether or not that person was indebted. The final regulation requires that the bank list only borrowers.

[9] Shares of a bank holding company held by a member of an individual's immediate family are considered to be held by the individual for the purpose of determining principal shareholder status.

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register as the owner of the shares.[10] No adverse comment was received on this aspect of the definition. This interpretation is consistent with the legislative history of Titles VIII and IX, which shows a clear Congressional intent to cover the actual principal shareholders of the bank, rather than just the persons whose names appear on the bank's stock register.[11] If Title VIII's reporting requirements were confined solely to shareholders whose names appear on the bank's stock register, the reporting requirements of the statute would not be coextensive with the prohibitions. The final regulation adopts the term "principal shareholder" (which is *synonymous* with "stockholder of record") as that term was defined in the proposed regulations.

A bank that controls another bank could be viewed as a principal shareholder subject to the reporting requirements of Titles VIII and IX. This situation would arise primarily in the case of foreign banks, since U.S. banks are generally prohibited from owning shares of another bank. The comments on this aspect of the regulation indicated that it would be extremely burdensome and costly (if not impossible) for banks that are principal shareholders to compile the necessary information and to file the reports required of principal shareholders under Title VIII. Inclusion of inter-bank transactions (correspondent bank loans to banks that are principal shareholders) would also inflate the aggregate figure reported by the bank, and thus would be misleading. The final regulation excludes banks (including insured banks and foreign banks) from the definition of principal shareholder for purposes of the reporting requirements of Titles VIII and IX. This exclusion is consistent with the restrictions on direct loans in Title I which do not include insured banks as principal shareholders. It is also consistent with the exemption from the affiliate lending restrictions in section 23A of the Federal Reserve Act (12 U.S.C. 371c), and with the legislative history of Title VIII which indicates that Congress did not mean to disrupt reciprocal transactions between a bank and its correspondents.[12] Individuals and nonbanking companies controlling banks that control other banks are principal shareholders covered by the reporting requirements of Titles VIII and IX.

4. *Related Interests.* Under Title IX, each insured State nonmember bank must report the aggregate amount of credit extended to its principal shareholders (which by definition would include the bank's parent bank holding company) and their related interests (which would include all "controlled" subsidiaries, including banks, of the parent bank holding company). In the case of multi-bank holding companies, the volume of indebtedness between bank subsidiaries could be substantial. The commenters focused on the practical difficulties this presents, in particular the burden and cost of calculating and keeping track of these inter-bank transactions. Some commenters indicated that it would be impossible to comply because of the number and extent of their subsidiaries' operations. Commenters also indicated that this inter-bank indebtedness would tremendously inflate the aggregate amount of debt reported and render the figure meaningless.

The same problem exists in connection with reporting under Title VIII, which requires a principal share holder of an insured bank to report indebtedness of the principal shareholder and of each of the principal shareholder's related interests to each of the insured bank's correspondent banks. Since a bank holding company qualifies as a principal shareholder, a bank holding company must report not only on its indebtedness to each correspondent of each of its subsidiary banks, but also on the indebtedness of each of its related interests (including each subsidiary bank) to each correspondent bank of each subsidiary bank. In the case of a multi-bank holding company system, the number and complexity of the reports and the corresponding recordkeeping burden would be substantial.[13] To comply with the reporting requirements, a holding company would have to maintain records on the daily transactions between each of its subsidiary banks and all correspondents of all of its other subsidiary banks. Considering the volume of inter-bank transactions between correspondents and the number of correspondent banks involved, the recordkeeping burden would be substantial, and would exceed any benefit derived from the report. Reporting alone could tend to disrupt normal banking relationships.

In view of the reporting problems, banks (including foreign banks) have been excluded from the definition of "related interest" in the final regulation implementing the reporting requirements of Titles VIII and IX.[14] This exclusion is consistent with the statutory definition of "company" in Title I of FIRIRCA which expressly excludes insured banks. Since the Title IX report was intended by Congress as a report on indebtedness of executive officers and principal shareholders to their bank under Title I, the Federal banking agencies believe that it is appropriate to exclude banks from the definition of "related interest" for purposes of the Title IX reporting requirements.

The exclusion is also consistent with the purpose of Title VIII, which is to prohibit misuse of a bank's correspondent account(s) through preferential extensions of credit to its executive officers and principal shareholders. This rationale does not apply to routine inter-bank transactions involving credit extensions by a correspondent bank to the depositing bank itself where there is no executive officer or principal shareholder involved.[15]

5. *Maximum Amount of Indebtedness Reported.* Under Title VIII, the executive officers and principal shareholders of an insured bank must report to the board of directors of their bank the "maximum amount of indebtedness" of themselves and of each of their related interests, to each of the insured bank's correspondent banks. The proposed regulation defined "maximum amount" as the highest indebtedness outstanding during the year. The final regulation retains this definition of maximum amount but allows the reporting person the option of reporting instead the highest end of the month indebtedness outstanding during the year. A number of commenters favored the highest end of the month balance because smaller banks do not maintain records that show borrower indebtedness on a day-to-day basis. This option would allow the reporting person to check only the monthly loan statements from his or her lending bank, thereby reducing the time and burden of the reporting requirement to the reporting person as well as to any correspondent banks.

In the notice to the proposed regulation, comment was requested on whether "maximum amount" should be defined as simply the sum of all extensions of credit made during the year and whether this alternative definition would be less burdensome for the reporting person. The commenters universally recommended against this approach on the basis that it would yield a highly inflated and misrepresentative figure. The commenters also did not believe that it would reduce the reporting burden to any significant extent. Accordingly, the idea of simply adding up all separate credit extensions has not been adopted.

Under Title VIII, the insured bank reports to the appropriate Federal banking agency "the aggregate amount of all extensions of credit" to its executive officers and principal shareholders and their related interests from correspondent banks. The agencies have defined the aggregate amount as the sum of the maximum amounts of indebtedness reported to the bank's board of directors by its executive officers and principal shareholders. In other words, the bank is only required to total the figures reported to it by its executive officers and principal shareholders and submit this total (a single figure) to the appropriate agency.

Under Title IX, the insured bank reports to the appropriate agency the "aggregate amount of all extensions of credit" the insured bank makes to its executive officers and principal shareholders and their related interests (under Title I). Consistent with the definition in Title VIII, the agencies have defined "aggregate amount" in Title IX as the sum of the highest amounts of credit extended by the bank during the year (or as an alternative the highest end of the month indebtedness outstanding during the year) to each of its executive officers and principal shareholders and to each of their related interests. The sum of the highest amounts (rather than the sum of all credit extensions) would be reported. This approach will, as in the Title VIII report, more accurately reflect the extent to which the bank is extending credit to its executive officers and principal shareholders. The commenters strongly favored such a definition of "aggregate amount" for that reason.

Executive officers and principal shareholders are required by Title VIII to report information on the terms and conditions (including the range of interest rates) of any indebtedness to correspondent banks. The final regulation requires the reporting person to submit information on the terms and conditions (including the range of interest rates, the original amount, date, maturity, payment terms, security, if any, and any other unusual term or condition) of each extension of credit that is included in the maximum amount of indebtedness reported. The terms and conditions must be reported for extensions of credit to the reporting person as well as related interests of the reporting person. The reporting person is not required to provide this information for extensions of credit included in any indebtedness reported not more than 10 days before the report is filed (unless the same loan was outstanding during the preceding year).

6. *Types of Indebtedness Reported.* Under Title VIII, executive officers and principal shareholders must report on their indebtedness and any indebtedness of their related interests to correspondent banks. The proposed regulation incorporated the definition of "extension of credit" contained in what is now Subpart A of Federal Reserve Regulation O. Under that definition, a purchase by a correspondent bank of commercial paper, or publicly traded bonds or debentures issued by a principal shareholder of a bank (or a related interest of the principal shareholder) would constitute an extension of credit and would be reportable. Commenters indicated that the burden imposed on the reporting person would be considerable. If the paper is in negotiable form, the person may not know which, if any, correspondent banks hold the paper.

The final regulation defines the term "indebtedness" as an extension of credit as defined in Subpart A of Federal Reserve Regulation O, but excludes commercial paper, bonds, debentures and other types of marketable securities issued in the ordinary course of business. The agencies believe that Congress did not intend to require reports on this type of debt, as it appears to have little if any potential for the correspondent account abuse that the reporting requirements of Title VIII were intended to reveal.

Also excluded from the term "indebtedness" is consumer credit aggregating $5,000 or less from each correspondent bank, provided the indebtedness is incurred under terms that are not more favorable than those offered to the general public. This exclusion carries forward the exclusion of $5,000 in open-end credit from the definition of "extension of credit" in Subpart A of Federal Reserve Regulation O but broadens it to include all consumer credit.

C. Reports

1. *Time for Filing Reports.* The proposed regulation required executive officers and principal shareholders to file reports of indebtedness to correspondents with their bank's board of directors by January 10 of each year. This would mean reporting extensions of credit outstanding no earlier than December 31 of the preceding year. The insured bank was required to file its report with the appropriate banking agency by January 31. Many commenters indicated that the January 10 date is too close to the end of the year when numerous other reports must be filed. A date later than the bank's January 31 reporting date was also suggested. In view of these comments, the final regulation provides that executive officers and principal shareholders must report to their bank on or before January 31 of each year. The bank must report to the appropriate agency by March 31 of each year.

Under Title VIII, executive officers and principal shareholders must report on indebtedness from correspondent banks outstanding not more than 10 days before the date the report is filed with their bank's board of directors. A number of commenters indicated that the 10 day period did not provide enough time to obtain the information required. The 10 day time limit is a requirement of the statute, however, in view of the fact that the reporting person may not be able to accurately determine this amount in the short time period provided, the final regulation specifies that the amount of indebtedness reported as outstanding not more than 10 days before the report is filed may be supplemented within the next 30 days. This will allow the person to estimate the amount outstanding not more than 10 days before the filing date of the report and to correct that amount when the person receives more accurate information on indebtedness from the correspondent bank.

Reports required to be filed for the calendar year 1979 need cover only the

[10] The definition would also include those persons who control the bank's parent bank holding company. A person (individual or company) that controls a bank's parent bank holding company would "indirectly" control the bank. "Control of a company" is defined, as in Title I of FIRIRCA and Subpart A of Federal Reserve Regulation O, as generaly control of 25 percent of the company's outstanding voting shares, control of the election of a majority of the company's board of directors, or the power to exercise a controlling influence over the management or policies of the company.

[11] *See* H. Rep. No. 95–1383, 95th Cong., 2d Sess. 6, 16 (1978); and 124 *Cong. Rec.* H 11724 (Oct. 5, 1978) (remarks of Rep. St Germain).

[12] Since foreign banks and their U.S. bank subsidiaries deal with many of the same correspondent banks, the inclusion of the foreign bank as a principal shareholder would restrict (and in some cases prohibit) normal transactions between the foreign bank and its own correspondent banks. Such a result does not appear to have been intended by Congress.

[13] In many cases affiliated banks have correspondent account relationships with many of the same banks. The statute was not intended to require reports on extensions of credit to a bank from its correspondent banks. Inclusion of banks as related interest would have this effect.

[14] Information on inter-bank transactions among bank holding company subsidiary banks is routinely available to the Federal banking agencies through reports and examination of bank holding companies. Similar information could be obtained with respect to transactions between any two insured banks.

[15] *See* H. Rep. No. 1383, 95th Cong., 2d Sess. 8, 13 (1978). The Focus of Congressional attention in this area was on individuals who had used their bank positions for personal benefit. There is no evidence that Congress intended to treat bank subsidiaries of bank holding companies as related interests.

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period from July 1 through December 31, as suggested in the notice accompanying the proposed regulation. This is reasonable since the reporting persons and banks should have been allowed sufficient time between the publication of the proposed regulation and the beginning of the reporting period to make the necessary recordkeeping arrangements.

2. *Forms.* A form for the public reports required to be filed by insured banks under Titles VIII and IX has been adopted for use by the banking agencies by the Federal Financial Institutions Examination Council established under Title X of FIRIRCA, 12 U.S.C. 3301 *et seq.* A recommended form for the reports to be filed by executive officers and principal shareholders with the board of directors of their bank has also been adopted as a guide to assist these persons in complying with the Title VIII reporting requirements. The forms will be distributed to all insured banks in sufficient time to allow the orderly filing of reports on January 31 and March 31, 1980, by executive officers and principal shareholders, and by their banks, respectively.

3. *Responsibility of Insured Banks to Inform Executive Officers and Principal Shareholders of Requirements of Title VIII.* The regulations require that each insured bank advise its executive officers and principal shareholders (to the extent known by the bank) of the reports required by Title VIII and make available to these persons a list of the insured banks correspondent bank's. This is necessary to ensure that all such persons are aware of the statutory requirements and are provided with the information necessary to comply with those requirements.

Title 12 of the Code of Federal Regulations is amended as follows:

PART 304—FORMS, INSTRUCTIONS, AND REPORTS

1. Part 304 of FDIC's regulations is amended by adding a new § 304.4 to read as follows:

§ 304.4 Report of loans to executive officers and principal shareholders.

(a) *Filing and Content.* On or before March 31 of each year, each insured State nonmember bank shall file with the FDIC the report required by section 7(k)(1) of the Federal Deposit Insurance Act (12 U.S.C. 1817(k)(1)). The report shall include the following information with respect to the preceding calendar year:

(1) A list by name of each principal shareholder of the reporting bank as of December 31;

(2) A list by name of each executive officer and principal shareholder of the reporting bank during the preceding calendar year who borrowed from the reporting bank during that period; [1]

(3) The aggregate amount of all extensions of credit made by the reporting bank to such executive officers, principal shareholders and their related interests during the preceding calendar year; [1] and

(4) The information on indebtedness to correspondent banks required to be included under § 349.4(b) of Part 349 of this chapter.

(b) *Definitions.* For the purpose of this section:

(1) The terms "executive officer" and "extension of credit" have the meanings provided in § 215.2 of Federal Reserve Regulation O, Subpart A (12 CFR 215.2); and

(2) The terms "principal shareholder" and "related interest" have the meanings provided in § 215.10(a) of Federal Reserve Regulation O, Subpart A (12 CFR 215.10(a)), except that the term "principal shareholder" is synonymous with the term "stockholder of record" as that term is used in the reporting provisions of Titles VIII and IX of FIRIRCA (12 U.S.C. 1972(2)(G), 12 U.S.C. 1817(a)). All references to the term "member bank" in §§ 215.2 and 215.10(a) shall be deemed to refer to an insured State nonmember bank for the purposes of this section.

PART 349—REPORTS ON INDEBTEDNESS OF EXECUTIVE OFFICERS AND PRINCIPAL SHAREHOLDERS TO CORRESPONDENT BANKS

2. A new Part 349 is added to read as follows:

Sec.
349.1 Authority, purpose and scope.
349.2 Definitions.
349.3 Reports by Executive Officers and Principal Shareholders.
349.4 Report by Insured State Nonmember Banks.

Authority: Title VIII of the Financial Institutions Regulatory and Interest Rate Control Act of 1978 ("FIRIRCA", Pub. L. 95-630, 12 U.S.C. 1972(2)), and under authority of Sections 7(a) and 9 (Tenth) of the Federal Deposit Insurance Act, 12 U.S.C. 1817(a), 1819 (Tenth). Title VII of FIRIRCA (cited in this Part 349 as "Title VIII") specifically authorizes the FDIC to promulgate regulations establishing procedures necessary for its implementation. 12 U.S.C. 1972(2)(F)(vi).

[1] For 1979 only, the reporting period is from July 1 to December 31, inclusive.

§ 349.1 Authority, purpose and scope.

(a) *Authority.* This part 349 is issued pursuant to Title VIII of the Financial Institutions Regulatory and Interest Rate Control Act of 1978 ("FIRIRCA", Pub. L. 95-630, 12 U.S.C. 1972(2)), and under authority of Sections 7(a) and 9(Tenth) of the Federal Deposit Insurance Act, 12 U.S.C. §§ 1817(a), 1819(Tenth). Title VIII of FIRIRCA (cited in this Part 349 as "Title VIII") specifically authorizes the FDIC to promulgate regulations establishing procedures necessary for its implementation. 12 U.S.C. 1972(2)(F)(vi).

(b) *Purpose and Scope.* Title VIII prohibits (1) preferential lending by a bank to executive officers, directors and principal shareholders of another bank when there is a correspondent account relationship between the banks, or (2) the opening of a correspondent account relationship between banks when there is a preferential extension of credit by one of the banks to an executive officer, director or principal shareholder of the other bank. Title VIII also imposes requirements on executive officers and principal shareholders to submit reports on their indebtedness to correspondent banks.[1] This Part 349 implements the reporting requirements of Title VIII as they apply to insured State nonmember banks.

§ 349.2 Definitions.

For the purposes of the reporting requirements of Title VIII and this Part 349, the following definitions apply:

(a) "Bank" has the meaning provided in 12 U.S.C. 1841(c), and includes a branch or agency of a foreign bank, or a commercial lending company controlled by a foreign bank or by a company that controls a foreign bank, where the branch or agency is maintained in a State of the United States or in the District of Columbia or the commercial lending company is organized under State law.

(b) "Company", "control of a company or bank," "executive officer,"[2] "extension of credit," "immediate family," and "person" have the meanings provided in § 215.2 of Subpart A of Federal Reserve Regulation O (12 CFR 215.2). All references to the term "member bank" in § 215.2 shall be deemed to refer to an insured State nonmember bank for the purposes of this Part 349.

(c) "Correspondent account" is an account that is maintained by an insured State nonmember bank with another bank for the deposit or placement of funds. A correspondent account does not include:

(1) Time deposits at prevailing market rates; or

(2) An account maintained in the ordinary course of business solely for the purpose of effecting federal funds transactions at prevailing market rates or making Eurodollar placements at prevailing market rates.

(d) "Correspondent bank" means a bank that maintains one or more correspondent accounts for an insured State nonmember bank during a calendar year that in the aggregatete exceed an average daily balance during that year of $100,000 or one-half of one percent of the insured State nonmember bank's total deposits (as reported in its first consolidated report of condition during that calendar year), whichever amount is smaller.

(e) For the purpose of this Part 349, "principal shareholder" and "related interest" have the meanings provided in § 215.10(a) of Federal Reserve Regulation O, Subpart A (12 CFR 215.10(a)), except that the term "principal shareholder" is synonymous with the term "stockholder of record" as that term is used in the reporting provisions of Titles VIII and IX of FIRIRCA (12 U.S.C. 1972(2)(G), 12 U.S.C. 1817(a)). All references to the term "member bank" in § 215.10(a) shall be deemed to refer to an insured State nonmember bank for the purposes of this Part 349.

§ 349.3 Reports by executive officers and principal shareholders.

(a) *Annual Report.* If during any calendar year an executive officer or principal shareholder of an insured State nonmember bank or a related interest of such a person has outstanding an extension of credit from a correspondent bank, the executive officer or principal shareholder must make a written report to the board of directors of the insured State nonmember bank on or before January 31 of the following year.[3]

(b) *Contents of Report.* The report required by this section shall include the following information:

(1) The maximum amount of indebtedness of the executive officer or principal shareholder and of each of that person's related interests to each of the insured State nonmember bank's correspondent banks during the calendar year; and

(2) The amount of indebtedness of the executive officer or principal shareholder and of each of that person's related interests outstanding to each of the insured State nonmember bank's correspondent banks not more than ten business days before the report required by this section is filed; [4] and

(3) A description of the terms and conditions (including the range of interest rates, the original amount and date, maturity date, payment terms, security, if any, and any other unusual terms or conditions) of each extension of credit included in the indebtedness reported under paragraph (b)(1) of this section.

(c) *Definitions.* For the purposes of this section:

(1) "Indebtedness" means an extension of credit, but does not include:

(i) Commercial paper, bonds, debentures and other types of marketable securities issued in the ordinary course of business; or

(ii) Consumer credit (as defined in 12 CFR 226.2(p)) in an aggregate amount of $5,000 or less from each of the insured State nonmember bank's correspondent banks, provided the indebtedness is incurred under terms that are not more favorable than those offered to the general public.

(2) "Maximum amount of indebtedness" means, at the option of the reporting person, either (i) the highest outstanding indebtedness during the calendar year for which the report is made, or (ii) the highest end of the month indebtedness outstanding during the calendar year for which the report is made.

(d) *Retention of Reports.* The reports required by this section must ordinarily be retained at the insured State nonmember bank for a period of three years, but the Federal Deposit Insurance Corporation may require that they be retained by the bank for an additional period of time. The reports filed under this section are not required by this regulation to be made available to the public and shall not be filed with the Federal Deposit Insurance Corporation unless specifically requested.

(e) *Bank's Responsibility.* Each insured State nonmember bank shall advise each of its executive officers and each of its principal shareholders (to the extent known by the bank) of the reports required by this section and make available to each of these persons a list with the name and address of each of the insured State nonmember bank's correspondent banks.

§ 349.4 Report by insured State nonmember banks.

(a) On or before March 31 of each year, each insured State nonmember bank shall compile the reports filed under § 349.3 of this Part 349 and shall forward a compilation of such reports to the Federal Deposit Insurance Corporation. The compilation need contain only the information required in paragraph (b) of this section.

(b) Each insured State nonmember bank shall include in the report required under section 7(k)(1) of the Federal Deposit Insurance Act (12 U.S.C. 1817(k)(1)) and § 304.4 of the Federal Deposit Insurance Corporation's rules and regulations (12 CFR 304.4) to be filed by March 31 of each year, the following information:

(1) A list by name of each executive officer or principal shareholder that files a report under § 349.3 of this Part 349; and

(2) The aggregate amount (or sum) of the maximum amounts of indebtedness reported to the insured State nonmember bank under § 349.3(b)(1) of this Part 349 by such bank's executive officers and principal shareholders and their related interests.

By Order of the Board of Directors, dated December 10, 1979.

Federal Deposit Insurance Corporation.

Hoyle L. Robinson,

Executive Secretary.

[FR Doc. 79-38787 Filed 12-17-79; 8:45 am]

BILLING CODE 6714-01-M

[2] Persons reporting under this section are not required to include information on extensions of credit that are fully described in a report by a person they control or a person that controls them, provided they identify their relationship with such other person.

[3] For the purposes of this Part 349, executive officers of an insured State nonmember bank do not include an executive officer of a bank holding company of which such bank is a subsidiary or of any other subsidiary of the bank holding company, unless the executive officer is also an executive officer of the insured State nonmember bank.

[4] If the amount of indebtedness outstanding to a correspondent bank ten days before the filing of the report is not available or cannot be readily ascertained, an estimate of the amount of indebtedness may be filed with the report, provided that the report is supplemented within the next 30 days with the actual amount of indebtedness.

CIVIL AERONAUTICS BOARD

14 CFR Part 379

[Reg. SPR-167; Amdt., No. 4]

Nondiscrimination in Federally Assisted Programs of the Board—Effectuation of Title VI of the Civil Rights Act of 1964

AGENCY: Civil Aeronautics Board.

ACTION: Editorial Amendment.

SUMMARY: The CAB is correcting a drafting error in its rules prohibiting

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racial discrimination in Federally assisted programs. The second and third sub-paragraphs of 14 CFR 379.3(b) were inadvertently deleted by a previous amendment.

DATES: Effective: January 7, 1980. Adopted: December 12, 1979.

FOR FUTHER INFORMATION CONTACT: David Schaffer, Office of the General Counsel, Civil Aeronautics Board, 1825 Connecticut Avenue, N.W., Washington, D.C. 20428; 202–673–5442.

SUPPLEMENTARY INFORMATION: This editorial amendment is issued under the delegation of authority from the Board to the General Counsel in 14 CFR 385.19. Procedures for review of this amendment are set forth in Subpart C of Part 385 (14 CFR §§ 385.50 through 385.54).

The Board amends 14 CFR Part 379, *Nondiscrimination in Federally Assisted Programs of the Board—Effectuation of Title VI of the Civil Rights Act of 1964* by restoring the second and third sub-paragraphs of paragraph 379.3(b) so that it reads:

§ 379.3 Discrimination prohibited.

* * * * *

(b) *Specific discriminatory actions prohibited.* (1) No air carrier shall subject any person to discrimination on the ground of race, color, or national origin in connection with air transportation for which such carrier is receiving or has claimed compensation payable under section 406 or section 419 of the Federal Aviation Act of 1958.

(2) In determining the site or location of facilities, a recipient or applicant may not make selections with the purpose or effect of excluding persons from, denying them the benefits of, or subjecting them to discrimination under any program to which this part applies, on the grounds of race, color, or national origin; or with the purpose or effect of defeating or substantially impairing the accomplishment of the objectives of the Civil Rights Act of 1964 or this part.

(3) This part does not prohibit the consideration of race, color, or national origin if the purpose and effect are to remove or overcome the consequences of practices or impediments which have restricted the availability of, or participation in, the program or activity receiving Federal financial assistance, on the grounds of race, color, or national origin. Where previous discriminatory practice or usage tends, on the grounds of race, color, or national origin, to exclude persons from participation in, to deny them the benefits of, or to subject them to discrimination under any program or activity to which the part applies, the applicant or recipient has an obligation to take reasonable action to remove or overcome the consequences of the prior discriminatory practice or usage, and to accomplish the purpose of the Civil Rights Act of 1964.

* * * * *

(Section 204 of the Federal Aviation Act of 1958, as amended, 72 Stat. 743; 49 U.S.C. 1324.)

By the Civil Aeronautics Board:

Mary M. Schuman,

General Counsel.

[FR Doc. 79-38780 Filed 12-17-79; 8:45 am]

BILLING CODE 6320-01-M

SECURITIES AND EXCHANGE COMMISSION

17 CFR Parts 231 and 241

[Release No. 33-6166, 34-16419, IC-10980]

Disclosure of Management Remuneration

AGENCY: Securities and Exchange Commission.

ACTION: Interpretation of Item 4 of Regulation S–K.

SUMMARY: The Division of Corporation Finance is issuing its interpretive views regarding the management remuneration disclosure requirements embodied in Item 4 of Regulation S–K. Because of the volume of requests for interpretive advice and in response to problems encountered by the staff of the Division in its administration of the requirements, the Commission authorized it to publish this release to provide current information on the interpretations of the Division.

FOR FURTHER INFORMATION CONTACT: Registrants with specific remuneration questions should contact the staff members directly responsible for reviewing the documents they file with the Commission. General questions may be directed to Bruce S. Mendelsohn at (202) 272–2589 or Joseph G. Connolly, Jr. at (202) 272–2696.

SUPPLEMENTARY INFORMATION: The Commission hereby issues Release No. 33–6166, 34–16419, IC–10980 to be added to Parts 231, 241 and 271 of Title 17 Chapter II of the Code of Federal Regulations as given below.

Disclosure of Management Remuneration

On December 4, 1978, the Commission issued Securities Act Release No. 6003, 43 FR 58181, which amended the management remuneration disclosure requirements in Item 4 of Regulation S–K. On February 22, 1979, the Commission authorized the Division of Corporation Finance to publish its interpretative views regarding certain aspects of the amendments.[1] Because of the volume of requests for interpretive advice and in response to problems encountered by the staff of the Division in its administration of the requirements, the Division of Corporation Finance has received the Commission's authorization to publish this release to provide current information on the interpretations of the Division.

Set forth below is a series of interpretations, primarily in a question and answer format. In conjunction with the interpretations, the release re-emphasizes certain concepts applicable to areas where compliance difficulties have arisen. In some cases, experience in administering the rules and observing their operation has led to some modification of interpretations previously expressed by the staff orally or in writing.

Finally, the Division has informed the Commission that it will not recommend to the Commission any amendments to Item 4 or Regulation S–K for adoption prior to the 1980 proxy season.

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I. Basic Principles

The Division believes that it is first important to reiterate some of the basic disclosure concepts involved in the remuneration table.

(1) Except in specified circumstances, the purpose of the remuneration disclosure is to match all services rendered in a given year with all remunerative amounts attributable to employees received for performing those services, whether the amounts are vested or contingent, or are payable currently or at some future time. Accordingly, except to the extent that reporting in a different fashion is called for as a result of the second principle set forth below, amounts relating to services rendered in prior years should not be included in the remuneration table.

(2) If the actual amount of remuneration for service in the most recent fiscal year is not determined at the time of reporting, the full amount must eventually be reported. In this regard, registrants should note that column C should "also include any amount actually distributed in the latest fiscal year which relates to services rendered in a prior fiscal year, less any amount relating to the same contract, agreement, plan, or arrangement previously included in the remuneration table for a prior fiscal year."[2] Therefore although the same remunerative amount should never be reported in more than one year, there are cases where, because of practical necessity, remuneration must be reported in the present year even though it relates to a prior year's services.[3]

(3) It is not necessary to report remuneration in the current year which would have been previously reported in the table had the new rules been in effect. Thus, in complying with the requirements, registrants should report as if the revised Item 4 had been in effect in all prior reporting years.

(4) With respect to a person who becomes, for the first time, a person whose remuneration is to be reported in the table, it is not necessary to report remuneration which would have been reported in the table had the person been included in prior years.

(5) Although Item 4 of Regulation S–K embodies the express disclosure requirements with regard to management remuneration, in the interest of full disclosure, the Division encourages registrants to describe the components of compensation included in Column C2, particularly amounts relating to the exercise of stock options which may tend to distort the Column C2 disclosure.

(6) In reporting remuneration in the table, *no* adjustments should be made because of tax benefits accruing to a registrant. Thus, there is no reduction in the amount reported because of the fact that it may be deductible for tax purposes or because it may be fully or partially subsidized by a tax credit.

(7) As a general rule the amount to be reported in Column C should equal the amount expensed during the period covered by the report under generally accepted accounting principles ("GAAP"). Obviously, however, there are exceptions to this rule. Some items such as certain stock options, for example, must be reported even though not ordinarily expensed under GAAP. (It should be noted, however, that reporting in Column D is always keyed to *expensed* amounts. See Instruction 3 to Item 4(a).)

(8) The same remunerative amount need not be reported in more than one fiscal year's remuneration table. For example, if an amount previously reported in Column D is paid in a subsequent year, that *same* amount need not be reported in Column C.

(9) The period covered by the remuneration table is the "last fiscal year." However, it should be noted that Item 4(d), which referes to options, warrants or rights, covers the period "since the beginning of the registrant's last fiscal year." Accordingly, when a filing is made which contains Item 4(d) information, such information should include all relevant data through a period ending shortly prior to the filing date.

II. Composition and Mechanics of the Remuneration Table

Item 4(a) of Regulation S–K requries tabular disclosure of total aggregate remuneration for the five most highly compensated executive officers and directors of reporting entities, naming such persons, and for all officers and directors as a group (the "Remuneration Table"). Instruction 2 to Item 4(a) of Regulation S–K provides for the inclusion in Column C1 of all salaries and fees paid with respect to services rendered during the registrant's last fiscal year and the inclusion in Column C2 of other cash or cash equivalent amounts. Instruction 3 to Item 4(a) requires that Column D include specified forms of remuneration the distribution, the unconditional vesting or the measurement of which is subject to future events.[4]

Many of the questions received by the Division have related to the mechanics of the remuneration table. Indeed, allocation of the components of the compensation package to the proper columns has appeared to have caused some difficulty. The following questions derive from a request for interpretative advice[5] and from other common inquiries with regard to this problem.

A. General

1. Question: Must its registrant list all columns specified in Item 4(a)(3) in a remuneration table regardless of their applicability?

Response: No. The registrant is required to include only those columns for which it has information required to be reported in the remuneration table.

2. Question: May a registrant include additional columns in its table? If so, must these additional columns be aggregated?

Response: Instruction 5 to Item 4(a) specifically permits the inclusion of additional columns. It is unnecessary, however, to aggregate them. It has been the Division's experience that some registrants split out bonus payments from Column C1 and place them into a separate column. The Division encourages this practice.

3. Question: Are all cash amounts received as remuneration included in Column C1?

Response: No. Only the traditional forms of cash remuneration for services rendered, *i.e.,* salaries, fees, commissions, bonuses and directors' fees, should be included in Column C1. All other forms of cash remuneration, for example, cash received with respect to stock appreciation rights, are included in Column C2. See Instruction 2 to Item 4(a). Once the determination has been made that an amount should be reported in Column C rather than Column D, the fact that the distribution of such amount will be deferred is of no importance in determining whether Column C1 or C2 is the appropriate column.

B. Stock Options

4. Question: How should the grant of a stock option be reported in the remuneration table?

Response: If the grant of the stock option is not expensed under Generally Accepted Accounting Principles ("GAAP"), then it need not be reported in the remuneration table.

5. Question: How is the exercise of a stock option reported?

Response: The spread, if any, between the acquisition price and the fair market price of the underlying security on the date of exercise should be reported in Column C2, less any amount previously

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[1] Securities Act Release No. 33–6027 (February 22, 1979).

[2] See Instruction 2 to Item 4(a) of Regulation S–K.

[3] For example, under many plans, bonuses are actually awarded for the last fiscal year after the filing of the proxy statement, Form 10–K, etc. See *Bonus Plans, infra.*

[4] Column D is captioned "aggregate of contingent forms of remuneration."

[5] Letter to Mr. Bret H. Reed from the Division of Corporation Finance, re: Coldwell Banker & Co. (available July 1979).

reported with respect to such option prior to exercise.[6]

6. Question: For a security traded over-the-counter, is the fair market value the asked price or the bid price?

Response: When a security has a two-way quotation, the fair market value for purposes of Instruction 2(b) to Item 4(a) is the mean between the bid and asked prices.

7. Question: Is it permissible to discount the fair market value of the security acquired through the exercise of the option because the recipient has a required holding period pursuant to Rule 144 under the Securities Act of 1933 or Section 16(b) of the Securities Exchange Act of 1934?

Response: No. The fair market value may not be discounted when calculating the spread between the acquisition price and the fair market value at the time of exercise.

C. Columns C and D

To assist in the understanding of the next three sections it may be helpful to restate the distinction between Columns C and D. Column C is to be used for remuneration that has been (1) distributed to or for the account of the specified person or group, or (2) accrued and with *reasonable certainty* will be distributed or unconditionally vested in the future. See Instruction 2. Column D is to be used for remuneration amounts that have been expensed for financial reporting purposes but as to which distribution or unconditional vesting is contingent upon future events. See Instruction 3. Therefore, problems of allocation generally center around the determination of whether there is "reasonable certainty" of distribution or vesting.

Because there is sometimes uncertainty as to the amount or timing of distribution, amounts less than initially reported in Column C or D may actually be paid. That spread, a negative adjustment, should be reported in Column D, even though the adjustment relates to an amount previously reported in Column C. Negative adjustments against prior Column C or Column D disclosure are *always* reported in Column D. See, Instructions 2 and 3(b)(ii).

D. Stock Appreciation Rights

8. Question: Officers have stock options with stock appreciation rights (SAR'S) attached. Annual market value change is expensed (positive or negative but not below zero) in conformity with the current FASB interpretation of APB No. 25. How are these SAR's to be treated in years prior to exercise?

Response: In years prior to exercise, the amount expensed due to annual market value change should be reported in Column D, including negative amounts.[7]

For example, suppose an issuer grants to an officer an option to acquire the issuer's stock with an SAR attached. The option execise price is equal to the fair market value at the time of grant, which is $5.

(a) *Year 1:* There is no exercise and no change in market value in the first year.

Reporting: Since the reporting with regard to the grant would be the same as with any stock option, nothing would be reported in the table because the exercise price was equal to market value at time of grant (non-compensatory stock option).

(b) *Year 2:* No exercise is made in the second fiscal year. The fair market value of the issuer's shares is $9 at the end of the second fiscal year.

Reporting: The issuer would expense the $4 difference between the fair market value at the previous year end and the fair market value at the latest year end and Column D should reflect that amount.

(c) *Year 3:* No exercise is made in the third fiscal year. The fair market value of the issuer's shares is $7 at the end of the third fiscal year.

Reporting: A negative entry of $2 should be reported in Column D reflecting the registrant's corresponding credit to its remuneration expense for financial reporting purposes.

(d) *Year 4:* The officer elects to exercise the SAR at a time when the fair market value of the issuer's shares is $10. He receives $5 in cash in settlement of the SAR.

Reporting: Column C2 should reflect a $3 entry (the $5 distribution less the net amount previously reported, i.e., $4 in year two minus $2 in year three).

9. Question: With regard to the previous question, what if the SAR had been granted prior to the effective date of the amendments to Item 4 of Regulation S–K, (so that market value changes were not reported prior to 1979) and what if there is a current year value decline which includes a reversal of some portion of the pre-1979 (prior to the new rules) appreciation. How is the pre-1979 portion treated in a year prior to execise?

Response: The basic concept is that reporting in the table should be done as if the revised rules had always been in effect. Thus, in the staff's view, the full current year value decline should be reported in Column D, including the reversal of a portion of the pre-1979 appreciation, provided a brief explanation of the pre-1979 reversal is included in a footnote to the remuneration table. For example, suppose that in the example given in Question 8 the third year was the first fiscal year subject to the new rules. In that case, the negative adjustment of $2 may be reported in Column D since the $9 increase in year two would have been reported had the rules been in effect for that year.

10. Question: How is the exercise of an SAR treated?

Response: If cash is received in settlement of the SAR, the amount reportable in Column C2 would be the amount of cash received less any amounts previously reported or which would have been previously reported had the new rules been in effect at the time of grant. If securities are received in settlement of the SAR, the amount reportable in Column C2 would be the spread between the acquisition price, if any, and the fair market price of securities received less any amount previously reported or which would have been previously reported in the remuneration table had the rules been in effect at the time of grant.

11. Question: An officer whose option includes SAR's may elect to exercise the underlying option in lieu of the SAR. Under the present interpretation of APB No. 25, upon exercise current and prior year accured appreciation is recognized as consideration for the stock issued; the option exercise has no effect on expense. What is the reporting treatment upon exercise?

Response: The gross spread between the market price on the date of exercise and the exercise price would be reportable in Column C2 as with a normal option exercise. However, any prior year SAR appreciation that has been expensed and reported in Column D may be used to offset the gross spread on the option, since this previously reported amount relates to the same plan or arrangement, notwithstanding the exercise of the option in lieu of the SAR. See Instruction 2(b) to Item 4(a). Any negative amounts would be reportable in Column D.

E. Allocations Between Columns C and D

12. Question: The Company awards annual bonuses in the form of Performance Share "Units." The actual shares of the employer's common stock are issued from one to two years later and, until issuance, the number of shares awarded is forfeitable upon earlier termination of employment. Operations are charged for the fair market value of an equivalent number of shares of the company's common stock at the date of award and the amount is properly reported in Column D because of the contingency. Dividends on the units equal to dividends paid on the issuers' common stock during the period prior to actual issuance are paid in cash and are reported in Column C1. However, under GAAP there is no subsequent charge or credit to earnings reflecting market value changes, either annually or upon eventual issuance of the shares,[8] except that upon forfeiture original expense amounts are reversed. How should the spread between the issue date and the award date value be treated?

Response: The positive spread between the market value at the issue date and at the date of award should be included in Column C2. Any negative spread would be reportable in Column D.

13. Question: A present officer was awarded Performance Share Units prior to election as an officer and therefore the award date value was never reported. What is reportable upon issuance of shares?

Response: Instruction 2 to Item 4(a) permits the exclusion of amounts relating to the same plan previously included in the table for a prior fiscal year. In Securities Act Release No. 6027 (February 22, 1979), it was indicated that no objection would be made if the same concept is applied to exclude any amounts not disclosed in prior proxy statements due to the fact that the employee/participant, at such earlier time, was not in the remuneration table either as a named individual *or* as a member of the group. Accordingly, on issuance of shares, Column C2 should include any positive spread between the market value on the issue date and award date value reduced by amounts previously expensed for the account of this officer that would have been reportable in the table had he been an individual or group member as to whom disclosure would have been required.

14. Question: The Company has a deferred compensation plan under which a participant may voluntarily elect to defer a portion of his annual bonus which is then credited to a "phantom stock" account. Amounts deferred are non-forfeitable and are reported in Column C1. Appreciation measured by market value changes is subject to forfeiture and is expensed as with SARs and is reported in Column D. All payments are made only after termination of employment. In a year of market value decline which "offsets" a portion of the appreciation not previously reported, either because (1) it was accrued prior to 1979 (effectiveness of the new rules) or (2) it was accrued in years before the person became an officer, what is the treatment in the table?

Response: The analysis is the same as with SARs. See Question 9 above.

F. Column D

15. Question: The Company's tax-qualified profit sharing retirement plan has the following vesting schedule: year 1—0%, year 2—10%, year 3—20%, and 10% increments in the following years. No benefits are payable until after termination. How would the company's annual contributions of $1,000 to the plan for an officer/director be reported in the table?

Response: The vested portion of profit-sharing or other retirement plans would be reportable in Column C2, and the unvested portion in Column D. To the extent that a presently vested amount has already been reflected in a previous Column D entry, or which would have been so reported prior to 1979 had the rules been in effect, any potential Column C2 entry may be offset by the amounts previously reported or reportable in Column D.

Accordingly, with regard to the specific inquiry, the disclosure should be as follows:

First year disclosure:

Col. C2	Col. D
0	$1,000

(There is no vesting in year 1)

Second year disclosure:

Col. C2	Col. D
$100	$900

(The schedule calls for 10% vesting. However, since the prior year's contribution has already been reported in Column D, no reporting is necessary for any amount reported in Column D in year 1 that vests in year 2. Thus, only the second year's contributions must be reported.)

Third year disclosure:

Col. C2	Col. D
$200	$800

(Again, the basic principle is that no reporting is required for amounts previously reported in Column D that vest in subsequent years.)

The table need not disclose cumulative account balances, nor any additions (or deductions) to a participant's account resulting from the annual allocation of trust earnings (or losses) or of amounts reallocated as forfeiture from the accounts of terminated employees who were not fully vested.

16. Question: The Company has a deferred bonus plan under which amounts are presently expensed but benefits are payable only if the participant is living at the date of payment. Is the remuneration reported in Column C1 or D?

Response: The registrant must determine whether a true contingency exists. Under normal circumstances, if by standard actuarial tables the officer or director is expected to be living at the payment date, then no true contingency is present and the amount "accrued" for the officer or director should be reported in Column C1. Column C1 would be used instead of Column C2 because, notwithstanding the fact that the distribution is deferred, the amount relates to a bonus. See Instruction 2(a).

17. Question: Since Instruction 3(a)(i) to Item 4(a) (with regard to Column D) refers to amounts expensed under deferred compensation plans, does that mean that such amounts are always reported in Column D?

Response: No. Column D is to be used only if the distribution of remuneration under the plan or the unconditional vesting or measurement of benefits under the plan is subject to future events which represent true contingencies.

18. Question: But, is Column D exclusively for contingent remuneration?

Response: All positive entries in Column D should be for remuneration subject to a true contingency but nevertheless expensed during the fiscal year for financial reporting purposes. However, negative adjustment entries with respect to amounts previously reported in Column C (and, of course, against amounts previously reported in Column D) are always to be reported in Column D. See the reponse to Question

[6] An amount may have been previously reported for a compensatory stock option that was expensed for financial reporting purposes at the time of grant.

[7] It should be noted that in the usual case annual market value change of the issuer's securities is not expensed with regard to outstanding stock options and is therefore not reported in the table.

[8] The accounting treatment should be in accordance with APB No. 25, and therefore in certain fact situations the reporting for financial statement purposes may be different.

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20 for an example. See also Instructions 2 and 3(b)(ii) to Item 4(a).[9]

19. Question: What type of disclosure is necessary if negative adjustments are reported in Column D?

Response: Instruction 3(b)(ii) to Item 4(a) provides, "If amounts credited pursuant to this instruction are so reflected in the table [in Column D], include a footnote stating the amount of such credit and briefly describing such treatment."

20. Question: From previous questions, it is clear that credits can be taken against prior Column C2 disclosure and prior Column D disclosure. Can negative entries be made in Column D against previous Column C1 disclosure?

Response: Although the third sentence of Instruction 2 indicates that if a credit may be taken, it should be reflected in Column D *rather than Column C2,* the staff has taken the position that credits may also be taken against Column C1 disclosures. For example, a registrant may have a bonus plan pursuant to which amounts are included in Column C since they are "accrued and with reasonable certainty will be distributed or unconditionally vested in the future." However, for one reason or another, the amount eventually distributed to a given individual is forfeited or is less than was expected.

21. Question: Since footnote disclosure can become extremely complex when there are several types of plans generating negative data and where virtually everyone in the remuneration table is a participant in each plan, what is the correct reporting format for negative entries included in Column D in accordance with Instructions 2 and/or 3(b)(ii) of Item 4(a)?

Response: Instruction 3(b)(ii) to Item 4(a) provides that "[i]f amounts credited pursuant to this instruction are so reflected in the table [in Column D], [the registrant shall] include a footnote stating the amount of such credit and briefly describing such treatment." To the extent that negative entries in Column D for individuals and for the group are attributable to the same factors, the footnote disclosure required by Instruction 3(b)(ii) may be generic in nature. If negative entries reflect changes in several types of plans or other factors not common to all individuals and the group, and separate disclosure would result in lengthy narrative, the staff would not object to a general explanation of the circumstances giving rise to negative entries without a separate explanation of the components of each negative entry for individuals or the group. Excessive detail should be avoided; a brief footnote describing only the material aspects of the entries is all that is required.

III. Termination of Employment

22. Question: Is anything reportable which relates solely to termination of employment—for example, (1) expense reversals recorded on books as of the termination date due to previously accrued benefits such as SAR appreciation being forfeited; or (2) option exercises accomplished shortly after the termination date (as permitted by the plan) but within the same fiscal year? (In both cases, the person is still included in the reportable group for the year during which such events or entries occur, covering the period to termination date.)

Response: Instruction 1 to Item 4(a) states that the Item applies to any person who was an executive officer, officer or director at any time during the fiscal year. Information need not be given for any portion of the period during which such person did not serve in those capacities, provided a statement to that effect is made. If an individual terminates employment and information is required for that portion of the reporting period during which he served as an executive officer, officer or director, expense reversals reported on the books as of the termination date due to previously accrued benefits should be reflected in Column D of the remuneration table for the individual or in the entry for the group, as applicable. In the Division's view, option exercises made subsequent to termination during the same fiscal year pursuant to the terms of the plan should also be reflected in the table, notwithstanding that exercises may occur shortly after the termination date. If such exercises are made after the close of the fiscal year in which the officer retired, no reporting is necessary in the table, although detailed disclosure with respect to the options may be required under Item 4(d) since that item calls for the disclosure of options exercised by the officer since the beginning of the registrant's last fiscal year.[10]

IV. Bonus Plans—Allocations Subsequent to Fiscal Year End

23. Question: The Company has a bonus plan for officers and directors for which the total amount of the bonus pool for the latest fiscal year is known at the time the proxy statement is filed with the Commission but the amounts allocated to each participant will not be determined until after the proxy statement is mailed. (a) What must be disclosed in accordance with Item 4(a) for the named individuals? (b) What must be disclosed in accordance with Item 4(a) for the group of all officers and directors?

Response: (a) With regard to the disclosure for the individuals named in the table, the registrant should include a footnote indicating (1) that a bonus plan exists for the latest fiscal year, (2) the persons named in the table who are participants in the plan, and (3) the fact that amounts have not been allocated from the bonus plan to the individuals and thus are not included in the remuneration table. In addition, registrants are required to disclose amounts subsequently allocated to the individuals in the remuneration table for the next fiscal year.[11]

(b) In the usual case where not all participants in the bonus pool are officers and directors, a footnote should be included disclosing (1) that a bonus plan exists for the latest fiscal year and (2) that an amount has not been allocated from the pool to the reportable group and therefore is not included in the table. Of course, the footnotes contemplated by responses (a) and (b) above can be consolidated. However, in the unusual case, if the bonus pool participants are all officers and directors, then the aggregate amount should be included in the group disclosure.

24. Question: With regard to Question 23, if the allocation of the bonus pool among participants is determined after the end of the fiscal year but prior to the filing of the proxy, is disclosure required in the table?

Response: If such amounts are known, they should be included in the appropriate columns for the named individuals. In most cases these amounts would be included in Column C1 since they would be accrued for the named individuals and with reasonable certainty would be distributed or unconditionally vested in the future.

V. Personal Benefits—Instruction 2(d) to Item 4(a)

Instruction 2(d) to Item 4(a) requires the inclusion in the remuneration table of "[t]he value of personal benefits which are not directly related to job performance, other than those provided to broad categories of employees and which do not discriminate in favor of officers or directors, furnished by the registrant or its subsidiaries * * *." Subpart (i) of the instruction indicates how such perquisites should be valued, subpart (ii) sets forth an exclusion from the disclosure requirements if the registrant cannot without unreasonable effort or expense determine the specific amount of certain personal benefits or the extent to which benefits are personal rather than business, and subpart (iii) requires expanded disclosure regarding perquisites if such personal benefits aggregate to a specific threshold.

In this regard, it should be noted that except in a limited number of specific instances the perquisite disclosure requirements of Item 4 have not superseded the Commission's two earlier releases relating to the disclosure of personal benefits in the remuneration table. Rather, Instruction 2(d) of the Item 4(a) codifies the Commission's views expressed in Securities Act Release No. 5856 (August 16, 1977) that personal benefits received by management from the corporation are forms of remuneration which, except in specified circumstances,[12] should be included within the remuneration reported. Further, the adoption of Item 4 has not altered the majority of interpretive responses expressed in Securities Act Release No. 5904. As will be noted, several of the responses in that release have been rendered inapplicable by the very nature and scope of the new remuneration item (for example, interpretive responses 1, 3 and 4 of 33–5904); interpretive responses 11 and 19 of that release have been revised by Instruction 2(d)(ii) and 2(d)(i) to Item 4(a); and the interpretive position expressed in this release has altered others (for example, responses to interpretive questions 8) (other than the last sentence), 10 and 27 of Release No. 33–5904 have been superseded by intrepretive responses 35, 30 and 33 respectively of this release. Furthermore, although Instruction 2(d)(i) to Item 4(a) sets forth a valuation methodology based upon actual incremental cost, the Division of Corporation Finance would raise no objection to the valuation of personal benefit based upon interpretive responses 7 (other than subparts (d) and (e)), 21, 23, 35 (other than subpart (b)) and 37 in Release No. 33–5904.

A. Conditional Exclusion of Personal Benefits—Instruction 2(d)(ii) to Item 4(a).

25. Question: If the registrant pursuant to Instruction 2(d)(ii) cannot determine without unreasonable effort or expense the specific amount of certain personal benefits or the extent to which benefits are personal rather than business, and after reasonable inquiry the registrant has concluded that the aggregate amounts of such personal benefits do not in any event exceed $10,000, must an affirmative statement that the conditional exclusion has been utilized be included in the covering letter submitted to the commission with the proxy statement, report or registration statement?

Response: If the conditional exclusion has been utilized by the registrant this fact should be noted in the covering letter which accompanies the filed document.

26. Question: Is the conditional exclusion a *de minimis* perquisite exclusion?

Response: No. The conditional exclusion is not a *de minimis* perquisite exclusion. It is only available where the registrant cannot determine without unreasonable effort or expense the specific amount of certain personal benefits or the extent to which benefits are personal rather than business. The specific amounts of any personal benefits, no matter how small, are to be included if they can be determined with reasonable effort or expense.

27. Question: If an issuer has utilized the $10,000 conditional exclusion for a particular individual should the amount of such "indeterminable" personal benefits be included for the purpose of determining whether the footnote disclosure describing such benefits called for by Instruction 2(d)(iii) is required?

Response: The amount of such indeterminable personal benefits is not required to be included for the purpose of the footnote disclosure. The footnote requirement of Instruction 2(d)(iii) only relates to amounts representing personal benefits included in Column C2.

28. Question: If an individual has over $10,000 of "indeterminable" personal benefits, should the entire amount or only the amount in excess of $10,000 be included in Column C2?

Response: The entire amount of such personal benefits would be included in Column C2, not merely the amount in excess of $10,000.

B. Valuation—Instruction 2(d)(i) to Item 4(a)

29. Question: When is the footnote disclosure called for by Instruction 2(d)(i) required?

Response: Instruction 2(d)(i) requires footnote disclosure when the aggregate actual incremental costs for such personal benefits are significantly less than the aggregate amounts the recipient would have had to pay to obtain the benefits. For the purposes of Instruction 2(d)(i), the comparison of incremental cost to the personal value to the recipient is to be done on an aggregate basis individual by individual, and not perquisite by perquisite.

30. Question: If the aggregate incremental costs of personal benefits is significantly less than the aggregate amounts the recipient would have had to pay to obtain the benefits, may the registrant include the value to the recipient in Column C2 and omit the required footnote disclosure?

Response: In this case, the staff would not object if the value to the recipient were included in Column C2. If the value of a benefit is included in the table, the footnote disclosure called for by Instruction 2(d)(i) would not be required.

C. Disclosure

31. Question: Does disclosure in response to Instruction 2(d) satisfy all other disclosure requirements of Item 4?

Response: No. Instruction 2(d) and the other Item 4 provisions may overlap and therefore additional disclosure may be necessary. For example, a low interest loan obtained from the registrant by an officer or director may be required to be described under Item 4(e) of Regulation S–K apart from it being reported as a personal benefit in the remuneration table. However, duplicate disclosure is unnecessary where a form of disclosure satisfies all the requirements of the pertinent provisions.

32. Question: Instruction (d) to Item 4(a) requires the disclosure of personal benefits which are not directly related to job performance and which discriminate in favor of officers or directors. What factors should be considered in

[9] Instruction 2 (with regard to Column C) provides, in part (starting with the second sentence of the Instruction): Column C shall also include any amount actually distributed in the latest fiscal year which relates to services rendered in a prior fiscal year, less any amount relating to the same contract, agreement, plan, or arrangement previously included in the remuneration table for a prior fiscal year. However, if this calculation results in a credit, any such credit should be reflected in Column D and not Column C2. See Instruction 3(b)(ii). Instruction 3(b)(ii) reads: If the registrant has expensed amounts for financial reporting purposes and reported such amounts in the remuneration table and in a subsequent year, in connection with the same plan or arrangement, credits its remuneration expense for financial reporting purposes, for any proper reason, including a decline in the market price of the securities, such credit may be reflected as a reduction of the remuneration reported in Column D. If amounts credited pursuant to this instruction are so reflected in the table, include a footnote stating the amount of such credit and briefly describing such treatment.

[10] Instruction 3(ii) to Item 4(d) states that Item 4(d) disclosure is necessary if the total market value on the dates of purchase of all securities acquired pursuant to the exercise of options exceeds $10,000.

[11] The second sentence of Instruction 2 to Item 4 states, "Column C shall also include any amount actually distributed in the latest fiscal year which relates to services rendered in a prior fiscal year less any amount relating to the same contract, agreement, plan, or arrangement previously included in the remuneration table for a prior fiscal year."

[12] See the conditional exclusion included in Instruction 2(d)(ii) to Item 4(a).

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determining whether or not a particular benefit is discriminatory?

Response: Although the determination as to whether or not a particular personal benefit discriminates in favor of the registrant's officers and directors is a factual one, the staff will consider the following factors: (a) Whether the scope of the plan or arrangement is discriminatory; (b) whether the terms of the plan or arrangement are in fact discriminatory; and (c) whether the plan or arrangement in operation discriminates in favor of officers or directors. These factors are relevant to all personal benefit plans and to group health plans, group life or health insurance, medical reimbursement plans, and to other similar plans, as described in Instruction 2(c) and Item 4(b). For Example, a plan or arrangement would be discriminatory if it provided an opportunity to purchase the registrant's products or services at a substantial discount which was technically made available to a broad category of employees but which in operation, either as a result of the expense involved or because of the nature of the products or services, was utilized disproportionately by officers or directors.

33. Question: Should a remunerative amount arising as a result of a life, health or medical reimbursement plan which is to be reported pursuant to Instruction 2(c) of Item 4 be deemed a perquisite when determining whether footnote disclosure is required under Instruction 2(d)(iii)?

Response: No. The staff would not object if registrants excluded such amounts for the Instruction 2(d)(iii) calculation in determining whether the footnote disclosure is necessary.

34. Question: Is specific disclosure required for all perquisites provided by a registrant?

Response: Outside of the footnote provisions called for by Instruction 2(d)(i) which requires disclosure where the personal benefit is significantly in excess of reported cost and by Instruction 2(d)(iii) which requires disclosure where aggregate amounts exceed certain limits, there is no specific requirement for separate disclosure of personal benefits *per se*. However, registrants may include additional columns or sub-columns pursuant to Instruction 5 of Item 4(a). In practice, some registrants have provided information regarding the components of compensation reported in Column C2.

VI. Item 4(a)(2)—All Officers and Directors as a Group

35. Question: Which officers are contemplated by Item 4(a)(2) which requires that all officers and directors as a group be included in the remuneration table?

Response: Item 4(a)(2) is unchanged from what had been required in Item 7(a) of Schedule 14A and continues to elicit information concerning aggregate management remuneration for the fiscal year. Of course, the term "officers" in Item 4(a)(2) includes a broader group of management persons than does the term "executive officers" which is used in Item 4(a)(1) and defined in Instruction 1(b).[13] The officers included in the group disclosure should have policy and decision-making responsibilities with respect to activities of the registrant a significant subsidiary, division or function. This status determination is, by nature factual. For example, in a large bank holding company situation with a very large number of vice presidents, only those with policy-making responsibilities would be included in the group. Therefore, in this case, a vice president managing one of 300 branches would generally not be included. However, in a smaller bank holding company with only 2 branches, the vice president managing one of the branches would, in most cases, serve in a policy-making position and thus would be included in the group. Therefore, titles of individuals may be of little importance in determining Item 4(a)(2) status.

Section V, *Personal Benefits, supra*, may assist in the understanding of the next two questions.

36. Question: It is noted that the conditional exclusion for personal benefits provided in Instruction 2(d)(ii) is available if "after reasonable inquiry, the registrant has concluded that the aggregate amounts of personal benefits which cannot be specifically or precisely ascertained do not in any event * * * exceed $10,000 for each person in the group * * *." If one officer/director has no "indeterminable" perquisites, may his $10,000 maximum be allocated to other group members?

Response: The company may *not* allocate the "unused" portion of one officer/director's conditional exclusion to another officer/director who has over $10,000 of indeterminable personal benefits.

37. Question: How does the footnote disclosure requirement of Instruction 2(d)(iii) with regard to personal benefits apply to the group disclosure?

Response: Instruction 2(d)(iii) requires footnote disclosure only for the persons named in the remuneration table and not for the group. As stated previously, some registrants provide a description of the components of remuneration reported in C2 for the named individuals and for the group.

VII. Tax Benefits to Registrants

38. Question: If an issuer gives an officer/director a personal benefit which is tax deductible to the company as compensation expense, may the incremental cost that must be reported pursuant to Instruction 2(d) be discounted to account for the value of the tax deduction to the company?

Response: The incremental cost to the company is to be computed without regard to tax benefits. In reporting remuneration there is no provision for adjustments relating to tax benefits accruing to a registrant.[14] See Basic Principle No. 6, *supra*.

39. Question: A TRAS)P is an employee stock ownership program established to permit the corporation to take advantage of a dollar for dollar income tax credit relating to the company's contributions to the plan not to exceed the 1½% maximum tax credit allowed by the Tax Reduction Act of 1975, as amended. Is a company's TRASOP contribution reportable as remuneration since the amount paid is a tax credit to an amount otherwise payable to the government?

Response: Yes. The reporting principle stated in response to Question 38 is applicable—tax benefits are not to be reflected in the table. Thus, the company's contribution, allocation or accrual for a participant's account in a TRASOP is reportable as remuneration. The amount reportable in the remuneration table would be the interest attributed to or accrued for the account of the individual.[15]

VIII. Item 4(b)—Proposed Remuneration

Item 4(b) requires a brief description of all remuneration payments proposed to be made in the future pursuant to any existing plan or arrangement to persons and groups specified in the remuneration table.

40. Question: What is required in the "brief description" of a plan?

Response: The registrant should describe a plan in such a way that it can be fairly understood by the reader. In cases where payments under such plans are a function of company performance, brief disclosure should be given with regard to payment formulas and general payment schedules under the plans. Usually a general explanation of the plan's operation will suffice. In addition, the Division encourages registrants to disclose any amount included in the table with respect to such a plan or to split out such amount into a separate column, see Question 2.

41. Question: Is it necessary to provide narrative disclosure under Item 4(b) for a bonus plan when present year payments under the plan have been included in Column C1?

Response: Yes. If the plan is operative for future years, Item 4(b) disclosure is required.

IX. Pension Plans—Instruction 3(a) and Item 4(b)

The staff has received numerous questions about the disclosure of amounts relating to defined benefit or similar pension plans. Among other things, registrants have been concerned with (1) the necessity of reporting amounts in the remuneration table; (2) the necessity and composition of footnote disclosure to the remuneration table; and (3) the requirements of the pension table described in Item 4(b). With this in mind, the following discussion will address the requirements of the present rules and, in addition, will suggest an alternative disclosure format which the Division will accept in filing.

Requirements of the Present Rule

The first issue, and in most cases the most important issue, concerns (1) whether the amount reflecting company contributions to a plan must be included in the remuneration table at all; and (2) if no entry in the table is necessary, the composition of the required disclosure. With regard to the majority of these plans, Instruction 3(a)(i) states that, in the case of a defined benefit or actuarial plan, if the "amount of the contribution, payment or accrual [with] respect [to] a specified person is not and cannot readily be separately or individually calculated by the regular actuaries of the plan"[16] then such amounts may be omitted from the remuneration table provided a footnote is included disclosing that such amounts have been excluded, indicating the percentage which the aggregate contributions to the plan bears to the total covered remuneration of the plan participants, and briefly describing the remuneration covered by the plan. (The Division has found that many of such footnotes have not included all the required information, especially the requisite description of remuneration covered by the plan.)

The second issue concerns the appropriate column to use in the unusual case when amounts are to be included in the remuneration table. Because many pension plans involve arrangements in which the "distribution of such [pension] remuneration or the unconditional vesting or measurement of benefits thereunder is subject to future events," the instructions which specifically address such plans appear in the rules as instructions to Column D.[17] However, it should be noted that certain plans may involve arrangements to which the above condition does not apply and, instead, there is *accrued* or distributed for the account of the participant a cash or cash-equivalent amount. In the latter situation, Instruction 2, which pertains to Column C, would govern and the relevant amount reflecting the contribution for the year should be included in Column C2. See also Securities Act Release No. 6027 (February 22, 1979).

Pension Table Requirement

If amounts are excluded from the remuneration table pursuant to Instruction 3(a)(i) and, in turn, are described in the footnote called for by Instruction 3(a)(ii) (discussed in the above paragraph), Item 4(b) requries that a separate pension plan table be included showing the estimated annual benefits payable upon retirement to persons in specified remuneration and years-of-service classifications. It should be emphasized that under the present instructions the pension plan table is required only when amounts are excluded from the remuneration table pursuant to Instructions 3(a)(i) and (ii) to Item 4(a). The following questions related to the current requirements.

42. Question: As to defined benefit or actuarial plans for which the amount of contribution, payment, or accrual cannot be separately calculated, may a registrant estimate such amount and include it in the table in lieu of providing the footnote disclosure called for by Instruction 3(a)(ii) and the Item 4(b) pension plan table?

Response: With regard to defined benefit and like plans, our experience and all of the comments we have received indicate that there are no cases where reasonable estimates can be made. Therefore, under these plans, unless the registrant can justify the basis of its calculation, the disclosure should include (1) the footnote required by Instruction 3(a)(ii) along with the Item 4(b) pension table; or (2) the alternate format discussed below.

43. Question: What should be included in the remuneration table concerning a defined *contribution* plan or "individual account plan"?

Response: The amount of the contribution attributed to or allocated for the account of an officer/director should be reflected in table. Since there usually is no waiting period prior to vesting under these plans, company contributions will generaly be reported in Column C2. It should be noted that a brief description of such plan is required by Item 4(b).

44. Question: Should the pension table be structured so as to reflect the retirement benefits for all salaried employees including even low-paid employees or should the table reflect data only as to officers and directors?

Response: The pension table should be keyed to the Item 4(a) individuals so that a shareholder will be provided with information on the type of retirement benefits being offered its officers and directors. For example, assume that the Item 4(a) remuneration table includes the following:

	Column C1
Mr. A	190,000
Mr. B	175,000
Ms. C	150,000
Ms. D	140,000
Mr. E	120,000

Further, assume that the remuneration covered by the plan in determining the level of benefit payments includes all the types of compensation reported in Column C1. The Item 4(b) pension table should be structured to key on the compensatory levels disclosed for the individuals named above. A possible format is the following:

	Years of service				
	15	20	25	30	35
Remuneration:					
125,000					
150,000					
175,000					
200,000					
225,000					

Note.—The highest remuneration level should be sufficiently high to reflect reasonably expected increases in compensation.

45. Question: Does Item 4(b) require a specified number of columns or set increments in both the remuneration and years of service classifications for the pension table?

Response: No. Since the staff is not in a position to determine what is appropriate disclosure for the myriad of retirement plans, neither the number of

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[13] Instruction 1(b) states: An "executive officer" of a person includes its president, secretary, treasurer, any vice president in charge of a principal business unit, division, or function (such as sales, administration or finance), and any other person who performs similar policy-making functions.

[14] Indeed, there may be situations where the tax benefit may be equal to or greater than the out-of-pocket cost to the registrant. However, the company's total contribution, notwithstanding any resulting tax benefit, would be reported for Item 4(a) purposes.

[15] There is no prohibition to disclosing tax benefits in a footnote or in the text.

[16] See Question 42 below.

[17] See Instruction 3(a).

columns nor the increments of amounts has been mandated. However, most issuers appear to be reflecting four or five classifications each as to remuneration and years of service.

46. Question: If a registrant maintains several defined plans, must it provide separate pension tables?

Response: If it is possible to consolidate the plans into one table which accurately reflects the registrant's retirement formula, the company may disclose only one table. However, if such a consolidation is not possible, separate tables would be required.

47. Question: Is a narrative explanation of the plan required under Item 4(b) even if the amounts expensed under the plan are included in the Remuneration table?

Response: Yes. See Section VIII of this release dealing with "Proposed remuneration," specifically Question 41.

48. Question: If amounts are *not* included in the remuneration table pursuant to Instruction 3(a)(i) and the appropriate footnote disclosure under 3(a)(ii) and the pension table disclosure under Item 4(b) is given, must the registrant also include a brief description of the plan under Item 4(b)?

Response: Yes. In the Division's view, the first sentence of Item 4(b) requires a brief narrative description of the plan.

Such disclosure should be used to make the pension table presentation meaningful.

49. Question: Is the pension table as well as the percentage footnote disclosure required if only one Item 4(a) individual is covered?

Response: If the registrant is able to provide information similar to that which the percentage footnote and the table would provide as to the one participant, the staff would not object to omission of a full table. Comparable information would include information as to potential benefits reflecting any increases in remuneration and years of service.

Alternate Format

Since under most of these plans it is impossible to calculate the amount of contribution attributable to each participant, the footnote disclosure required by Instruction 3(a)(ii) and the Item 4(b) pension table have created many interpretative questions. With these problems in mind and in the interim before any amendments are proposed by the Division for adoption by the Commission, the staff will raise no objection if registrants report in the following manner. The footnote disclosure required by Instruction 3(a)(ii) need not be included if (1) the years of service of the persons named in the remuneration table who are plan participants are indicated; (2) the pension table required by Item 4(b) is present; and (3) the type of remuneration covered by the plan is disclosed (e.g. salary, salary and bonus, etc.). In addition, in those few plans where amounts are expensed and the pension table would not be required, registrants may exclude such expensed amounts from the remuneration table if the disclosure follows (1), (2) and (3) above.

In our view, this approach would combine the best of the past and present rules. In order to ascertain the "estimated annual benefits upon retirement" as required by the old rules, the company would have had to use a similar table to that required by Item 4(b). Instead of relying on static assumptions, the pension table discloses information as to potential benefits reflecting increases in remuneration and years of services. Moreover, the disclosure of individual years of service will make the table more meaningful.

Note.—When this alternate format is used, Questions 44 through 49 would be applicable where they are appropriate.

X. Life Insurance—Instruction 2(c) and Item 4(b)

50. Question: With regard to split-dollar life insurance, must Column C2 reflect all of the premiums paid by the registrant?

Response: Instruction 2(c) requires the inclusion of the *cost* of the premiums paid by the registrant or its subsidiaries. Therefore, if under a split-dollar life insurance policy the company will recoup some or all of its premiums from the proceeds of the policy, the Division will raise no objection if the registrant includes only the amounts relating to the policy that have been expensed for financial reporting purposes. Registrants should also be aware of their obligation to briefly describe such a plan under Item 4(b).

51. Question: Instruction 2(c) and Item 4(b) indicate that information need not be furnished with respect to any group life, health, hospitalization or medical reimbursement plans which do not discriminate in favor of officers and directors and which are available generally to all salaried employees. In order to qualify for this exception must a policy taken out with an insurance company be involved?

Response: No, "reimbursement" plans, similar to life insurance or otherwise, need not be funded by an insurance company policy to qualify for this exception.

XI. Item 4(c)—Remuneration of Directors

Item 4(c) requires the disclosure of standard and other arrangements by which directors of registrants are compensated for all services as directors.

52. Question: Must a plan of deferred compensation for services as a director be disclosed pursuant to Item 4(b)?

Response: Yes. In addition, if such an arrangement is not standard for all directors, the name of each director participating in such an arrangement and the amount of such remuneration earned by each should be indicated. Cross-references to the remuneration tale may be used for this purpose.

XII. Item 4(e)—Indebtedness of Management

53. Question: For purposes of Item 4(e), may issuers who are broker-dealers report margin accounts of officers, directors and nominees for directors in the same format that banks report loans to such persons?

Response: Yes, the Division will raise no objection to such disclosure. That is, if the margin account of such an individual is in excess of $10,000 and (1) came about in the ordinary course of business, (2) included substantially the same terms as those prevailing at the time of comparable transactions with other persons, and (3) did not involve more than normal risk of collectability or present other unfavorable features, then the disclosure may consist of a statement affirming (1), (2) and (3) above.

By the Commission.

George A. Fitzsimmons,

Secretary.

December 12, 1979.

[FR Doc. 79-38782 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

21 CFR Part 177

[Docket No. 79F-0119]

Indirect Food Additives: Polymers Olefin Polymers

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The Food and Drug Administration (FDA) amends the use limitation on the optical brightener 7-(2*H*-naphtho[1, 2-*d*]-triazol-2-yl)-3-phenyl-coumarin in olefin polymers intended for food-contact applications. The action is being taken in response to a petition filed by Sandoz Colors and Chemicals, Division of Sandoz, Inc.

DATES: Effective December 18, 1979; objections by January 17, 1980.

ADDRESS: Written objections to the Hearing Clerk (HFA–305), Food and Drug Administration, Rm. 4–65, 5600 Fishers Lane, Rockville, MD 20857.

FOR FURTHER INFORMATION CONTACT: Gerad L. McCowin, Bureau of Foods (HFF–334), Food and Drug Administration, Department of Health, Education, and Welfare, 200 C St., SW., Washington, D.C. 20204, 202–472–5690.

SUPPLEMENTARY INFORMATION: A notice published in the **Federal Register** of May 4, 1979 (44 FR 26167), announced that a petition (FAP 9B3431) had been filed by Sandoz Colors and Chemicals, a Division of Sandoz, Inc., E. Hanover, NJ 07936, proposing to amend § 177.1520 *Olefin Polymers* (21 CFR 177.1520) to express the use limitation on the optical brightener 7-(2*H*-naphtho[1, 2-*d*]-triazol-2-yl)-3-phenyl-coumarin in olefin polymers intended for food contact as the product of the concentration of the optical brightener in the polymer times the thickness of the polymer.

FDA has evaluated data in the petition and other relevant material and concludes that the food additive regulations should be amended as set forth below.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 409(c)(1), 72 Stat. 1786 (21 U.S.C. 348(c)(1))) and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1), Part 177 is amended in § 177.1520(b) by revising the listing for "7-(2*H*-Naphtho[1, 2-*d*]-triazol-2-yl)-3-phenyl-coumarin" to read as follows:

§ 177.1520 Olefin polymers.

* * * * *

(b) * * *

Substance

7-(2*H*-Naphtho[1, 2-*d*]-triazol-2-yl)-3-phenyl-coumarin [Chemical Abstracts Service Registry No. 3333–62–8] having a melting point of 250° to 251° C and a nitrogen content of 10.7 to 11.2 percent.

Limitations

For use as an optical brightener only at levels such that the product of concentration of the optical brightener (expressed in parts per million by weight of the olefin polymer) multiplied by the thickness of the olefin polymer (expressed in thousandths of an inch and limited to no more than 0.400 inch) shall not exceed 500; provided that the level of the brightener shall not exceed 20 parts per million by weight of the olefin polymer, and further that the olefin polymers shall comply with specifications for items 1.1, 2.1, 3.1, 3.3, and 4 of paragraph (c) of this section and are used under the conditions described in § 176.170(c) of this chapter, table 2 under conditions of use E, F, and G.

* * * * *

Effective date. This regulation shall be effective December 18, 1979.

(Sec. 409(c)(1), 72 Stat. 1786 (21 U.S.C. 348(c)(1)))

Dated: December 10, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-38812 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

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21 CFR Parts 201 and 202

[Docket No. 75N–0066]

Content and Format for Labeling for Human Prescription Drugs; Stay of Effective Date

AGENCY: Food and Drug Administration.

ACTION: Notice of Stay of Effective Date of Final Rule.

SUMMARY: The Food and Drug Administration (FDA) advises that the effective date of its June 26, 1979 final rule amending FDA's prescription drug advertising regulations has been stayed. Objections to the final advertising regulations and requests for a public hearing have been filed, and their filing operate to stay the effectiveness of the amendment. The agency's action on the objections and requests for a public hearing will be addressed in the **Federal Register** at a later date.

EFFECTIVE DATE: The final rule becomes effective as specified in the **Federal Register** of June 26, 1979 (44 FR 37434), except that the provisions for prescription drug advertisements (§§ 202.1(e)(6) (ii) and (vii) (21 CFR 202.1(e)(6) (ii) and (vii))) are stayed.

FOR FURTHER INFORMATION CONTACT: Michael C. McGrane, Bureau of Drugs (HFD–30), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301–443–5220.

SUPPLEMENTARY INFORMATION: In the **Federal Register** of June 26, 1979 (44 FR 37434), FDA published final regulations designating a required format for professional labeling for prescription drug products for human use. The agency also amended § 202.1(e)(6) (ii) and (vii) (21 CFR 202.1(e)(6) (ii) and (vii)), which concerns prescription drug advertising, to conform to the revised prescription drug labeling regulations.

Under section 502(n) of the Federal Food, Drug, and Cosmetic Act (21 U.S.C 352(n)), the amendment of § 202.1(e)(6) (ii) and (vii) of FDA's prescription drug advertising regulations is subject to the formal rulemaking procedures specified in section 701(e) of the act (21 U.S.C. 371(e)). Thus, any person adversely affected by the final advertising regulations had until July 26, 1979, to file objections to them and to request a public hearing on the objections. Under section 701(e)(2) of the act, the filing of objections and requests for a public hearing operate to stay the effectiveness of the provisions of the advertising regulations to which objections are made until FDA takes final action upon the objections and requests for a public hearing under section 701(e)(3) of the act.

FDA has received objections to the advertising regulations from Merck Sharp & Dohme, Schering Corp., the Association of Independent Clinical Publications, Inc., the Pharmaceutical Manufacturers Association, The Upjohn Co., the Pharmaceutical Advertising Council, Inc., and Johnson & Johnson. Each submission objects to all or part of the amendment of § 202.1(e)(6) (ii) and (vii), states the grounds for the objections, and requests a public hearing on the objections. The agency's action on these objections and requests for a public hearing will be addressed in the **Federal Register** at a later date; copies of the objections are on file in the office of the Hearing Clerk (HFA–305), Food and Drug Administration, Rm. 4–65, 5600 Fishers Lane, Rockville, MD 20857.

The objection and hearing procedures specified in section 701(e) of the act do not apply, however, to the amendment of § 201.100(d)(3) and (e) (21 CFR 201.100(d)(3) and (e)), the revision of § 201.56 (21 CFR 201.56), and the establishment of § 201.57 and 201.58 (21 CFR 201.57 and 201.58) that apply to prescription drug labeling. Accordingly, those regulations are not subject to this stay and they are effective December 26, 1979, except as otherwise provided under the June 26, 1979 final rule.

Therefore, under the Federal Food, Drug, and Cosmetic Act (secs. 502, 503, 505, 506, 507, 701, 52 Stat. 1050–1053 as amended, 1055–1056 as amended, 55 Stat. 851, 59 Stat. 463 as amended (21 U.S.C. 352, 353, 355, 356, 357, 371)) and the Public Health Service Act (sec. 351, 58 Stat. 702 as amended (42 U.S.C. 262)), and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1), the amendment to § 202.1(e)(6)

(ii) and (vii) published in the **Federal Register** of June 26, 1979 (44 FR 37467) is stayed until further notice.

Dated: December 10, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-38845 Filed 12-13-79; 12:28 pm]

BILLING CODE 4110-03-M

21 CFR Part 510

New Animal Drugs; Change of Sponsor

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The Food and Drug Administration (FDA) amends the animal drug regulations to reflect the change of sponsor for several new animal drug applications (NADA's) from Burns-Biotec Laboratories Division, Chromalloy Pharmaceuticals, Inc., to Burns-Biotec Laboratories, Inc.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Charles E. Haines, Bureau of Veterinary Medicine (HFV-138), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301-443-3410.

SUPPLEMENTARY INFORMATION: Burns-Biotec Laboratories' new parent company, Schering-Plough Corp., has submitted supplements to several NADA's providing for the change of sponsor. The regulations are amended to reflect the change.

Under the agency's supplemental approval policy for new animal drug applications the change requested is a Category I change. Accordingly, approval of the request does not require a reevaluation of the data and information in the parent applications.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))) and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), Part 510 is amended in § 510.600 in paragraph (c) (1) and (2) by revising the entry for Burns-Biotec Laboratories to read as follows:

§ 510.600 Names, addresses, and drug labeler codes of sponsors of approved applications.

* * * * *

(c) * * *

(1) Alphabetical listing of sponsors.

Firm name and address

* * * * *

Burns-Biotec Laboratories, Inc., 8536 K St., Omaha, NE 68127.

Drug labeler code

000845.

* * * * *

(2) Numerical listing of sponsors.

Drug labeler code

* * * * *

000845.

Firm name and address

Burns-Biotec Laboratories, Inc., 8536 K St., Omaha, NE 68127.

* * * * *

Effective date. This amendment is effective December 18, 1979.

(Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)))

Dated: December 10, 1979.

Lester M. Crawford,

Director, Bureau of Veterinary Medicine.

[FR Doc. 79-38514 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

21 CFR Part 520

Oral Dosage Form New Animal Drugs Not Subject to Certification; Anthelin Tablets NAS/NRC Update

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: This document amends the animal drug regulation for anthelin tablets to indicate those conditions of use for which approval for identical products need not include certain types of efficacy data. These conditions of use were classified as effective as a result of a National Academy of Sciences/National Research Council (NAS/NRC) Drug Efficacy Study Group evaluation of the product. In lieu of certain efficacy data, approval may require submission of bioequivalence or similar data. An earlier **Federal Register** publication reflected that this product is in compliance with the conclusions of the review.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Donald A. Gable, Bureau of Veterinary Medicine (HFV-101), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville MD 20857, 301-443-4313.

SUPPLEMENTARY INFORMATION: The NAS/NRC review of this product was published in the **Federal Register** of January 29, 1969 (34 FR 1406). In that document, the Academy concluded, and FDA concurred, that the product was effective for the removal of tapeworms from dogs.

That announcement was issued to inform holders of new animal drug applications (NADA's) of the findings of the Academy and the agency, and to inform all interested persons that such articles could be marketed if they were the subject of approved NADA's and otherwise complied with the requirements of the Federal Food, Drug, and Cosmetic Act.

Jensen-Salsbery Laboratories, Division of Richardson-Merrell, Inc., Kansas City, MO 64141, responded to the notice by submitting a supplemental NADA (7-226V) providing current information covering manufacturing and controls and revising the labeling for the safe and effective use of the product for the removal of tapeworms from dogs. The supplemental application was approved by a regulation published in the **Federal Register** of August 3, 1973 (38 FR 20822). The regulation reflecting this approval established a new section for the drug (21 CFR 135c.116, recodified at 21 CFR 520.120). The new section did not specify those conditions of use that were NAS/NRC approved.

This document amends the regulation to provide those conditions of use for which approval for identical products need not include certain types of efficacy data required for approval by 514.111(a)(5)(vi) of the new animal drug regulations. In lieu of those data, approval of such products may be obtained if bio-equivalency of similar data are submitted as suggested in the guideline for submitting NADA's for generic drugs reviewed by the NAS/NRC. The guideline is available from the office of the Hearing Clerk (HFA-305), Food and Drug Administration, Rm. 4-65, 5600 Fishers Lane, Rockville, MD 20857.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))), and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), Part 520, § 520.120 is amended by adding after paragraph (c)(1), (2), and (3) the footnote reference "[1]" and by adding at the end of the section the footnote to read as follows:

§ 520.120 Anthelin tablets.

* * * * *

(c) *Conditions of use.* (1) * * *[1]

(2) * * *[1]

(3) * * *[1]

Effective date. This regulation is effective December 18, 1979.

(Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)))

[1] These conditions are NAS/NRC reviewed and deemed effective. Applications for these uses need not include effectiveness data as specified by § 514.111 of this chapter, but may require bio-equivalency and safety information.

Dated: December 7, 1979.

Lester M. Crawford,

Director, Bureau of Veterinary Medicine.

[FR Doc. 79-38513 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

21 CFR Part 558

New Animal Drugs for Use in Animal Feeds; Tylosin

AGENCY: Food and Drug Administration.

ACTION: Final rule.

SUMMARY: The animal drug regulations are amended to reflect approval of a supplemental new animal drug application (NADA) filed by Henwood Feed Additives, Inc., providing for use of a 1.6-grams-per-pound tylosin premix for making complete swine feeds.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Jack C. Taylor, Bureau of Veterinary Medicine (HFV-136), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301-443-5247.

SUPPLEMENTARY INFORMATION: Henwood Feed Additives, Inc., 211 Western Rd., Box 577, Lewisburg, OH 45338, filed a supplemental NADA (45-690) providing for safe and effective use of a premix (1.6 grams of tylosin (as tylosin phosphate) per pound) in manufacturing a complete swine feed to be used for increased rate of weight gain and improved feed efficiency. Under the original application, the firm holds approval for use of 4-, 10-, and 20-grams-per-pound tylosin premixes for the same conditions. The regulations are amended to reflect approval of this supplement.

Approval of this application is based on safety and effectiveness data contained in Elanco Products Co.'s approved NADA 12-491. Use of the data in NADA 12-491 to support this application has been authorized by Elanco. This approval does not change the approved use of the drug. Consequently, approval of this NADA poses no increased human risk from exposure to residues of the animal drug, nor does it change the conditions of the drug's safe use in the target animal species. Accordingly, under the Bureau of Veterinary Medicine's supplemental approval policy (see the **Federal Register** of December 23, 1977 (42 FR 64367)), the approval of this supplemental NADA did not require reevaluation of the safety and effectiveness data in NADA 12-491 or in NADA 45-690.

In accordance with the provisions of Part 20 (21 CFR Part 20) promulgated under the Freedom of Information Act (5 U.S.C. 552) and § 514.11(e)(2)(ii) (21 CFR 514.11(e)(2)(ii)), a summary of safety and effectiveness data and information submitted to support approval of this application is available for public examination at the office of the Hearing Clerk (HFA-305), Rm. 4-65, Food and Drug Administraiton, 5600 Fishers Lane, Rockville, MD 20857, from 9 a.m. to 4 p.m., Monday through Friday.

PART 558—NEW ANIMAL DRUGS FOR USE IN ANIMAL FEEDS

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i))) and under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.83), Part 558 is amended in § 558.625 by revising paragraph (b)(15), to read as follows:

§ 558.625 Tylosin.

* * * * *

(b) * * *

(15) To 026186: 1.6, 4, 10, and 20 grams per pound; paragraph (f)(1)(vi)(*a*) of this section.

* * * * *

Effective date. This amendment is effective December 18, 1979.

(Sec. 512(i), 82 Stat. 347 (21 U.S.C. 360b(i)))

Dated: December 11, 1979.

Lester M. Crawford,

Director, Bureau, of Veterinary Medicine.

[FR Doc. 79-38646 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

DEPARTMENT OF LABOR

Occupational Safety and Health Administration

29 CFR Parts 1952, 1977

Approved State Plans for Enforcement of State Standards and Discrimination Against Employees Exercising Rights Under the Williams-Steiger Occupational Safety and Health Act of 1970; Correction

AGENCY: Occupational Safety and Health Administration, Labor.

ACTION: Correction of final rules.

SUMMARY: Due to a typographical error in FR Doc. 75-9741, the citation following § 1952.152 made reference to 29 U.S.C. 257(g)(2) when it was published on April 15, 1975, at 40 FR 16843. The reference is hereby corrected to read 29 U.S.C. 657(g)(2).

Due to a typographical error in FR Doc. 73-1653, the authority for Part 1977 made reference in the second line to 26 U.S.C. 657 when it was published on January 29, 1973 at 38 FR 2681. The reference is hereby corrected to read 29 U.S.C. 657.

FOR FURTHER INFORMATION CONTACT: John J. Hynan, Deputy Associate Solicitor, Division of Occupational Safety and Health, Office of the Solicitor, Department of Labor, Room S4004, New Department of Labor Bldg., 200 Constitution Ave., NW., Washington, D.C., 20210, phone 202-523-7727. (This is NOT a toll free number.)

Signed at Washington, D.C., on the 13th day of December 1979.

Eula Bingham,

Assistant Secretary of Labor for Occupational Safety and Health.

[FR Doc. 79-38794 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-26-M

DEPARTMENT OF DEFENSE

Office of the Secretary

32 CFR Part 230

[DOD Directive 1000.10]

Credit Unions Serving DOD Personnel; Correction

AGENCY: Office of the Secretary of Defense.

ACTION: Final rule; correction.

SUMMARY: In FR Doc. 79-37699, concerning credit unions serving DOD personnel appearing at page 70460 in the issue for Friday, December 7, 1979, on page 70461, third column, change "§ 230.8" to read "§ 230.7."

FOR FURTHER INFORMATION CONTACT: Margaret Weber Healey (202) 697-4111.

H. E. Lofdahl,

Director, Correspondence and Directives, Washington Headquarters Services, Department of Defense.

December 11, 1979.

[FR Doc. 79-38774 Filed 12-17-79; 8:45 am]

BILLING CODE 3810-70-M

Department of the Air Force

32 CFR Part 888h

Separation Documents and General Separation Procedures

AGENCY: Department of the Air Force, Department of Defense.

ACTION: Final rule.

SUMMARY: The Department of the Air Force is revising Part 888h of Chapter VII, Title 32, of the Code of Federal

Regulations. This revision established procedures on how to prepare, control and distribute separation documents. It implements DOD Instruction 1336.1, December 14, 1978. It applies to all members of the Air Force who are leaving active duty, being separated from one active duty status to another, or being removed from the Temporary Disability Retired List (TDRL). Included are officers, warrant officers, airmen and cadets who leave by discharge, retirement, transfer, dismissal or release.

EFFECTIVE DATE: July 13, 1979.

FOR FURTHER INFORMATION CONTACT: Mrs. June Hughes, HQ AFMPC/MPCAKE, Randolph AFB, TX 78148, telephone (512) 652–2148.

SUPPLEMENTARY INFORMATION: Part 888h of Subchapter I, Chapter VII, Title 32, of the Code of Federal Regulations has been revised. The revision provides for members to receive a copy of the DD Form 214 containing all the information shown on the record copy; requires mailing separation documents on the date the separation is effective, if they are not delivered personally; and adds Department of Labor to the list of Government Agencies receiving copies of DD Form 214.

Title 32 of the Code of Federal Regulations is amended by revising Part 888h to read as follows:

PART 888h—SEPARATION DOCUMENTS AND GENERAL SEPARATION PROCEDURES

Sec.

888h.0 Purpose.
888h.1 Purpose of separation documents.
888h.2 Naturalized personnel separated under other than honorable conditions.
888h.3 Aliens discharged for alienage and desertion.
888h.4 When DD Form 214 is issued.
888h.5 Distributing DD Form 214.
888h.6 Incomplete DD Form 214.
888h.7 Correcting DD Form 214.
888h.8 Copies of DD Form 214.
888h.9 Requests for reissuing DD Form 214.
888h.10 Narrative explanations.
888h.11 Replacing separation certificates.
888h.12 Table for distributing DD Form 214.
888h.13 Table for issuing DD Form 214.
888h.14 Table for discharge review procedures.
888h.15 Table for agencies authorized to correct or issue copies of DD Form 214.

Authority: Sec. 8012, 70A Stat. 488; 10 U.S.C. 8012; 10 U.S.C. 1168, 1169; and as otherwise stated herein.

Note.—This part is derived from Air Force Regulation, 35–6, July 13, 1979.

Note.—Part 806 of this chapter states the basic policies and instructions governing the disclosure of records and tells members of the public what they must do to inspect or obtain copies of the material referenced herein.

§ 888h.0 Purpose.

This part gives procedures for controlling, preparing, and distributing separation documents and for controlling lists of Separation Program Designators. It applies to all members of the Air Force who are leaving active duty, being separated from one active duty status to continue in another, or being removed from the Temporary Disability Retired List (TDRL) and discharged. This includes officers, warrant officers, airmen, and cadets who are discharged, retired, transferred, dismissed, or released. It also applies to persons to whom discharge documents are issued under AFR 30–45. This part implements DOD Instruction 1336.1, December 14, 1978 and is effective October 1, 1979.

§ 888h.1 Purpose of separation documents.

(a) DD Form 214, Certificate of Release or Discharge From Active Duty. This form is not intended to have any legal effect on ending a member's military status. It meets the legal requirements for issuing a certificate (10 U.S.C. 1168) and provides:

(1) The Military Services with information about military personnel for administration. It may be used to help determine eligibility for reenlistment.

(2) The separating member with a brief, clear record of active military service at the time of transfer, release, or discharge.

(3) Government agencies with authoritative information they need in the administration of Federal and State laws applying to persons who have been discharged, otherwise released, or transferred to a reserve component.

(b) DD Form 214-ws, Certificate of Release or Discharge From Active Duty (Worksheet). Personnel use the worksheet to help prepare the DD Form 214 and make sure the data entered on the form is accurate.

(c) DD Form 215, Correction of DD Form 214, Certificate of Release or Discharge From Active Duty. The form:

(1) Corrects errors found after a DD Form 214 is issued; or

(2) Completes a DD Form 214 by adding information that was not available when the DD Form 214 was issued.

(d) Separation Order. A special order effects discharge or release from active duty (see AFR 10–7, Administrative Orders). Use a PB series order to discharge airmen for reenlistment within 24 hours.

(e) Discharge Certificate. A discharge certificate attests to the character of the service rendered. There are five types of discharge certificates:

(1) DD Form 256AF, Honorable Discharge.

(2) DD Form 257AF, General Discharge.

(3) DD Form 259AF, Bad Conduct Discharge.

(4) DD Form 260AF, Dishonorable Discharge.

(5) DD Form 794AF, Discharge Under Other Than Honorable Conditions.

§ 888h.2 Naturalized personnel separated under other than honorable conditions.

(a) Revoking Citizenship. Persons may be naturalized through service in the United States Armed Forces during specified periods (see AFM 211–28, Naturalization and Citizenship, and 8 U.S.C. 1440). Persons who were naturalized this way may have their citizenship revoked if they are separated under other than honorable conditions.

(b) Notifying the Immigration and Naturalization Service. The Immigration and Naturalization Service acts in cases in paragraph (a) of this section. As a rule, only the naturalization records show the law under which a person was naturalized. Therefore, when a naturalized member is separated under other than honorable conditions, the separating activity notifies the Immigration and Naturalization Service, 425 I Street NW, Wash DC 20536. See 888h.12, note 1. The letter reporting the separation gives the person's:

(1) Full name.

(2) Date and place of separation.

(3) Future home address.

(4) Certificate of naturalization number.

(5) Name under which naturalized, if different from name at separation.

(6) Date and place of birth.

(7) Date and place of naturalization.

888h.3 Aliens discharged for alienage and desertion.

HQ AFMPC/MPCAKE may authorize discharge in absentia when an alien deserter goes to live in a foreign country. A discharge for alienage and desertion usually bars the person from returning to the United States as an immigrant alien. When an alien is discharged for alienage and desertion, the separating facility:

(a) Sends the Department of State Visa Office SCA/VO, State Annex No 2, Wash DC 20520, a copy of the original DD Form 214. Enter the place of birth in block 18. The letter of transmittal explains that the person was discharged in absentia for alienage and desertion. See 888h.12, note 1. This information helps prevent issuing a visa when the person does not qualify for one.

(b) Reports the details of the discharge to the Immigration and Naturalization Service, 425 I Street NW, Wash. DC 20536. See 888h.12, note 1. The letter states that the airman was discharged for alienage and desertion, gives the dates of the unauthorized absence and the member's:

(1) Full name, address, and SSAN.

(2) Country of birth.

(3) Complete address in the country of residence when discharged.

(4) Alien registration number if known.

(5) Declarant number shown on the DD Form 4, Enlistment or Reenlistment Agreement—Armed Forces of the United States.

(6) Date of enlistment in the Air Force.

§ 888h.4 When DD Form is issued.

To find out the types of separation action and when a DD Form 214 must be issued, see 888h.13. HQ AFMPC/MPCAKE may also direct issuance under other conditions. Once a DD Form 214 has been issued, it will not be reissued except when:

(a) Directed by an appellate authority, Executive Order, or by the Office of the Secretary of the Air Force.

(b) A DD Form 215 has been issued and further correction is needed.

(c) Correcting or completing the original DD Form 214 would require using more than DD Form 215.

(d) The correction involves the name, SSAN, service characterization, authority or narrative reason for discharge or the effective date of separation.

§ 888h.5 Distributing DD Form 214.

(a) Hand the original DD Form 214 to the separatee before he or she leaves the separation facility on the date:

(1) Separation from active duty is effective; or

(2) Authorized travel time starts for a Reserve member reverting to inactive status.

(b) At the same time, give copy four to a member who asks for it. Counsel members about the value of copy four. Make sure they understand its value as an official record showing the character of their service, reenlistment eligibility, and specific reason for separation. Encourage them to ask for and keep this copy. It could help them if they apply for benefits based on military service, request review of the discharge action (see 888h.14), or seek to reenter one of the Armed Forces.

Note.—A member requests copy four by initialing block 30 on the DD Form 214.

(c) Mail the original DD Form 214 to the separatee on the effective date of separation when it is not possible to deliver it personally. This is done when the member is:

(1) On terminal leave.

(2) At home awaiting disability separation.

(3) In civil confinement.

(4) Separated in absentia under other conditions when this action is authorized.

(d) Deliver the original (and copy four, if requested) in person or by mail to the next of kin or guardian for an incompetent member.

(e) Mail copies three, five, and six the first workday after the separation date (see 888h.12). If the member is an alien discharged in absentia, or a naturalized member discharged under other than honorable conditions, refer to 888h.2 and 888h.3.

§ 888h.6 Incomplete DD Forms 214.

Each DD Form 214 must be as complete as possible when it is issued. When a DD Form 214 must be issued without all the required entries, the separating activity:

(a) Tells the separatee that DD Form 215 will be issued when the information is available and by whom it will be issued (see 888h.15).

(b) Tells the separatee to contact that agency, if the DD Form 215 is not received within 60 days.

(c) Notes the requirement for issuing the DD Form 215 on the DD Form 214, block 18 (remarks section).

(d) Obtains the missing information as soon as possible.

(e) Sends the FRGp to HQ ARPC/DPFSB or HQ AFMPC/MPCDOB, (see AFR 35–44, Military Personnel Records System), with a letter explaining the need for the DD Form 215. If any part of the information needed for the DD Form 215 has not been obtained, the letter tells what action was taken to try to get it. This letter must be signed by the Chief, CBPO or a similar official in other separation facilities. It is stapled to the front of the FRGp.

§ 888h.7 Correcting DD Form 214.

CBPOs and other separation facilities in the field are not authorized to correct errors found after the original DD Form 214 has been delivered. For agencies authorized to issue DD Form 215 to correct such errors, see 888h.15. If none of the rules in 888h.15 applies, send the request for correction to the custodian of the master personnel record (MPerR) (see AFR 35–44, table 1–3). The separation facility notifies the responsible agency if an error on the DD Form 214 is found after it has been distributed. The distribution and Privacy Act accountability of the DD Form 215 are the same as those of the DD Form 214 it corrects. For information about reissuing DD Form 214, when correction by DD Form 215 is not proper, see 888h.4

§ 888h.8 Copies of DD Forms 214.

Former members who want copies of the DD Form 214 held in their MPerRs must ask for them in writing. For agencies authorized to issue copies, see 888h.15.

(a) DD Forms 214 Issued After October 1, 1979. The agency sends the member one copy with the Special Additional Information Section and one copy without it.

(b) DD Forms 214 Issued Before October 1, 1979. The agency sends the member one copy with all the items of information completed and one copy with the following deleted:

(1) Specific authority for separation.

(2) Narrative reason for separation.

(3) Reenlistment eligibility code.

(4) SPD or Separation designation Number (SDN).

(c) Copies to Other Persons or Agencies. If a former member authorizes, in writing, issuing a copy of a DD Form 214 to another person or agency, the copy sent must not contain the Special Additional Information Section. If the DD Form 214 was issued before October 1, 1979, delete the items listed in paragraph b of this section.

(d) Use of Copies. Copies are given to authorized personnel for official purposes only.

§ 888h.9 Requests for reissuing DD Form 214.

New DD Forms 214 need not be prepared for persons who were given prior editions of the form, unless that form needs to be reissued for some other reason (see 888h.4).

§ 888h.10 Narrative explanations.

A person may take an original DD Form 214 to the nearest CBPO for a narrative explanation of the reason for discharge from that period of service.

(a) If the reason for separation can be found in the DD Form 214, CBPO/DPMQS:

(1) Gives the narrative explanation in a letter signed by a person authorized to sign DD Forms 214.

(2) Returns the original DD Form 214 to the person with the original letter.

(3) Sends a copy of the letter to the custodian of the MPerR.

(b) If the reason for separation cannot be found in DD Form 214, CBPO/DPMQS:

(1) Refers the request to HQ AFMPC/MPCAKE, Randolph AFB, TX 78148.

the separation order, if one is available.

(2) Notifies the person of the referral.

§ 888h.11 Replacing separation certificates.

Applications for replacing separation certificates are processed under Part 887 of this chapter. It tells how and where to apply for a certificate instead of a lost or destroyed certificate of service, discharge, or retirement.

Carol M. Rose,

Air Force Federal Register Liaison Officer.

BILLING CODE 3910-01-M

Copy	Recipient	Instructions
1	Member	If the member is an alien, comply with 888h.2 and 888h.3
2	Master Personnel Record	Send to record custodian (AFR 35-44) with FRGp.
3	Veterans Administration (see notes 1 and 2)	Mailing address: Veterans Administration, Data Processing Center (214) 1615 E. Woodward Street, Austin TX 78772. Destroy if the member is continuing on active duty (see 888h.13).
4	Member (optional)	Given only to those members who request it by initialing Block 30. Send forward with copy two for inclusion in the Master Personnel Record, if not requested by member.
5	Department of Labor (see note 1)	Mailing address: US Department of Labor, Unemployment Insurance Systems Design Center, P.O. Box 44246, Capitol Station, Baton Rouge LA 70804.
6	State Director of Veterans Affairs (see note 1)	Forward only if member requests by initialing Block 20. Member must specify state.
7	Field Record Group	For NONPRIOR SERVICE PERSONNEL at end of Initial Active Duty Training only. Otherwise, destroy.
8	As required by special instructions	HQ AFMPC/MPCAKE may issue special instructions applicable to all, or limited to certain categories for specific times. MAJCOMs may request copies for special review procedures subject to HQ AFMPC/MPCAKE coordination. Destroy copy 8 when no special instructions from HQ AFMPC ● MAJCOM are in effect.

NOTES: 1. Accounting for disclosure of personal data is required by AFR 12-35. Update disclosure accountings to Privacy Act Tracking System (PATS) according to AFM 30-130 EXCEPTION PAIS accounting is not required for those members discharged or retired when the disclosure is recorded in item 18, copies two and four.

2. Reproduce copy three to be forwarded with the medical records to:

a. The VA hospital, if a member is transferred there; or

b. The VA regional office having jurisdiction over the member's permanent address, if the person completes VA Form 21-526c, Veterans Application for Compensation or Pension at Separation from Service.

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§888h.13 Table for issuing DD Form 214.

RULE	A	B	C
	If a member is being separated	and the reason is	then a DD Form 214
1	from a period of active duty, active duty for training, full time training duty, a special tour of active duty, or a full time manning tour, according to 10 U.S.C. 672, 32 U.S.C. 503 or 32 U.S.C. 505	completing or ending active service as a member of the Regular Air Force	is issued.
2		disability	
3		completing 90 continuous calendar days or more active duty by an ANGUS or USAFR member (see note)	
4		ending an initial tour of active duty training (by an ANGUS or USAFR airman)	
5		release from a status legally determined to be void	
6		dismissal from the service under a sentence of general court-martial	
7		an order of the Secretary of the Air Force that the member be dropped from the rolls of the Air Force	need not be issued.
8		death	
9		any circumstance when the Secretary of the Air Force directs that no discharge documents be issued	
10	from one status to continue in another	immediate reenlistment or enlistment	
11		ending a Reserve appointment to integrate into the Regular Air Force	
12		discharge from enlisted status to accept appointment as a commissioned or warrant officer	is issued.
13		ending an officer appointment to accept appointment in another service or to enlist in the Regular Air Force	
14		retirement with entitlement to pay	
15		removal from TDRL	is not issued.
16	without entering on active duty	physical disqualification for entry when reporting for active duty	

NOTE: Includes ending ANG military full time training and administration (MFTTA) active duty tour.

§888h.14 Table for discharge review procedures.

	If the member is discharged	RULE 1	RULE 2	RULE 3
	then the CBPO/DPMQS	administratively under an authority that bars reenlistment	administratively with other than an honorable discharge or by sentence of special court-martial	by sentence of general court-martial
A	explains the purpose and scope of the Air Force Discharge Review Board	X	X	
B	gives the member a copy of AFR 20-10 and DD Form 293 on request	X	X	
C	explains the purpose and scope of the Air Force Board for the Correction of Military Records	X	X	X
D	gives the member a copy of AFR 31-3 and a DD Form 149 on request	X	X	X
E	gives the member a Department of Labor Exemplary Rehabilitation Certificate Brochure available from US Department of Labor, Veterans Employment Service, Patrick Henry Building, 601 D Street NW, WASH DC 20213 ATTN: VES		X	X

§888h.15 Table for agencies authorized to correct or issue copies of DD Form 214.

RULE	A	B	C
	If member has been	and military status is	then send request to
1	retired (on TDRL)	officer (includes general officer)	HQ AFMPC/MPCDOO, Randolph AFB TX 78148
2		airman	HQ AFMPC/MPCDOA, Randolph AFB TX 78148.
3	retired (with pay)	general officer	HQ AFMPC/MPCDOO, Randolph AFB TX 78148
4		other officer or airman	NPRC/MPR, GSA, 9700 Page Blvd, St Louis MO 63132.
5	discharged		
6		USAF Academy cadet	USAFA/DPA, USAF Academy CO 80840.
7	released from active military service to the ANGUS or USAFR	officer or airman	HQ ARPC/DPFSB, Denver CO 80280.
8	separated to continue in active service	officer	HQ AFMPC/MPCDOO, Randolph AFB TX 78148.
9		airman	HQ AFMPC/MPCDOA, Randolph AFB TX 78148.

[FR Doc. 79-38761 Filed 12-17-79; 8:45 am]
BILLING CODE 3910-01-C

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DEPARTMENT OF THE INTERIOR

Heritage Conservation and Recreation Service

36 CFR Part 1205

National Historic Landmarks Program; Interim Rules and Request for Comments

AGENCY: Heritage Conservation and Recreation Service, Department of the Interior.

ACTION: Interim Regulations and request for comments.

SUMMARY: These interim regulations set forth the process used to study, designate, register, and monitor National Historic Landmarks including the criteria of the National Historic Landmarks Program. These interim regulations will make available to other Federal agencies, State and local governments, private organizations and individuals information on the National Historic Landmarks Program, and make formal the Secretary of the Interior's procedures and criteria for designating National Historic Landmarks. The regulations will be effective on December 18, 1979 on an interim basis as the program is ongoing and, accordingly, there is an immediate need for program guidance.

DATES: Effective December 18, 1979 as interim regulations, not applicable to the prospective National Historic Landmarks reviewed by the April 1979 meeting of the Consulting Committee on potential National Historic Landmarks where the owner desires early designation for the property as National Historic Landmark. These properties will be considered by the Secretary at the request of the owners. All comments received concerning those properties will be forwarded to the Secretary for his consideration in his decision on designation. Interested parties are encouraged to submit written comments or recommendations concerning these proposed regulations by February 18, 1980.

ADDRESSES: Comments should be sent to the Director, Heritage Conservation and Recreation Service, 440 G Street NW., Washington, D.C. 20243, (Attention: National Register of Historic Places).

FOR FURTHER INFORMATION CONTACT: Mr. Ronald M. Greenberg, Acting Chief, Division of the National Register of Historic Places, Heritage Conservation and Recreation Service, 440 G Street NW., Washington, D.C. 20243 (202–343–6404).

SUPPLEMENTARY INFORMATION: The National Historic Landmarks Program, administered by the Heritage Conservation and Recreation Service through the Division of the National Register of Historic Places, is the program of the Department of the Interior for studying, identifying, designating, and monitoring National Historic Landmarks.

National Historic Landmark recognition calls attention to historic places judged to have exceptional value to the Nation as a whole rather than to a particular State or locality. It recognizes and encourages the preservation efforts of State, local and private agencies and groups. It encourages the owners of landmark properties to observe preservation precepts. In addition, properties designated as National Historic Landmarks are listed in the National Register of Historic Places with consequences as described in 36 CFR Part 1202. Also, such properties are subject to the provisions of section 2124 of the Tax Reform Act of 1976, as amended, and the Revenue Act of 1978. If the property contains coal resources and is listed in the National Register, certain provisions of the Surface Mining and Control Act of 1977 make it less likely that surface mining of the coal will be permitted by the State or Federal Government.

Section 8 of the National Park System General Authorities Act of 1970, as amended, (90 Stat. 1940, 16 U.S.C. 1a–5) directs the Secretary of the Interior to prepare an annual report to the Congress which identifies all National Historic and Natural Landmarks which exhibit known or anticipated damage or threats to the integrity of their resources. This annual report is prepared by the Heritage Conservation and Recreation Service. The National Parks and Recreation Act of 1978 (92 Stat. 3518, 16 U.S.C. 1a–5 authorizes $1.5 million for monitoring the welfare and integrity of natural and historic landmarks.

Authority for the National Historic Landmarks Program is based on the Historic Sites Act of 1935 (49 Stat. 666, 16 U.S.C. 461) which established a national policy to preserve "historic sites, buildings, and objects of national significance."

The originators of these interim regulations are James Sheire, Polly Matherly, and Bill Lebovich, Division of the National Register of Historic Places, Heritage Conservation and Recreation Service, 440 G Street NW., Washington, D.C. 20243.

In compliance with the National Environmental Policy Act of 1969 (42 U.S.C. 4321 et seq.) the Heritage Conservation and Recreation Service has prepared an environmental assessment of these proposed regulations. It has been administratively determined that this rulemaking is not a major Federal action significantly affecting the quality of the human environment, and that an environmental impact statement is not required. The environmental assessment is on file in the National Register of Historic Places Division, Heritage Conservation and Recreation Service, 440 G Street, NW., Washington, D.C. 20243.

The Department of the Interior has determined that this document is not a significant rule and does not require a regulatory analysis under Executive Order 12044 and 43 CFR Part 14.

Title 36 of the Code of Federal Regulations is amended by adding a new Part 1205 as an interim regulation reading as follows:

PART 1205—NATIONAL HISTORIC LANDMARKS PROGRAM

Sec.

1205.1 Purpose.
1205.2 Authority.
1205.3 Definitions.
1205.4 Designation of National Historic Landmarks.
1205.5 Registration.
1205.6 Monitoring National Historic Landmarks.
1205.7 Alterations in National Historic Landmark Boundaries.
1205.8 Withdrawal of National Historic Landmark Designation.
1205.9 National Historic Landmark Criteria.

Authority: 49 Stat. 666, 16 U.S.C. 461 et seq.

§ 1205.1 Purpose.

The purpose of the National Historic Landmarks Program is to identify and designate as National Historic Landmarks nationally significant sites, buildings, and objects that illustrate or commemorate the history of the United States. The purpose of these interim regulations is to set forth the procedures used by the Department of the Interior for conducting the National Historic Landmarks Program. The interim regulations set forth the process used to identify, designate, and monitor National Historic Landmarks and include the newly revised criteria which properties must meet in order to be designated National Historic Landmarks.

§ 1205.2 Authority.

(a) In the Historic Sites Act of 1935, 49 Stat. 666, 16 U.S.C. 461 et. seq. the Congress found and declared:

* * * That it is a national policy to preserve for public use historic sites, buildings, and objects of national significance for the inspiration and benefit of the people of the United States.

(b) To implement that policy, the act authorizes the Secretary of the Interior, through the Heritage Conservation and Recreation Service, to perform the following duties and functions, among others:

(1) To make a survey of historic and archeologic sites, buildings, and objects for the purpose of determining which possess exceptional value as commemorating or illustrating the history of the United States;

(2) To make necessary investigations and researches in the United States relating to particular sites, buildings, or objects to obtain true and accurate historical and archeological facts and information concerning the same;

(3) To erect and maintain tablets to mark or commemorate historic or prehistoric places and events of national historic or archeological significance.

§ 1205.3 Definitions.

As used in this Part:

(a) "Consulting Committee" means an advisory board of authorities in several fields of knowledge such as archeology, architecture, history, anthropology, and architectural history, chosen by the Director, Heritage Conservation and Recreation Service. The Consulting Committee reviews prospective National Historic Landmarks and advises the Director on their eligibility for designation under the National Historic Landmark Criteria. The Consulting Committee may also, at the request of the Director, advise him or her on other issues pertaining to historic preservation.

(b) "Advisory Council" means the Advisory Council on Historic Preservation, established under Title II of the National Historic Preservation Act of 1966 (16 U.S.C. 470). Address: Executive Director, Advisory Council on Historic Preservation, 1522 K Street, NW., Washington, D.C. 20005.

(c) "National Historic Landmark" means a site, building, or object, in private or public ownership, judged by the Secretary of the Interior to possess national significance in American history, architecture, archeology, or culture.

(d) "National Register" means the National Register of Historic Places, which is a register of districts, sites, buildings, structures, and objects significant in American history, architecture, archeology, and culture, maintained by the Secretary of the Interior under authority of section 2(b) of the Historic Sites Act of 1935 (49 Stat. 666, 16 U.S.C. 461) and section 101(a)(1) of the National Historic Preservation Act of 1966 (80 Stat. 915, 16 U.S.C. 470), as amended (84 Stat. 204 (1970) and 87 Stat. 139 (1973)). Address: Chief, Division of The National Register, Heritage Conservation and Recreation Service, 440 G Street, NW., Washington, D.C. 20243.

(e) "National Historic Landmarks Program" means the program conducted by the Heritage Conservation and Recreation Service for the identification and study of prospective national historic landmarks. Address: Division of the National Register of Historic Places, Heritage Conservation and Recreation Service, 440 G Street, NW., Washington, D.C. 20243.

(f) "Secretary" means the Secretary of the Interior or the designee authorized to carry out the Secretary's responsibilities.

(g) "Director" means the Director, Heritage Conservation and Recreation Service.

(h) "State Historic Preservation Officer" means the official within each State, designated by the Governor at the request of the Secretary of the Interior, to act a liaison for the purpose of implementing historic preservation programs within the States.

(i) "Owner" means a person or organization who owns a property. Also it may refer to a public agency responsible for administering publicly owned property.

(j) "Sites, buildings, and objects" mean properties that are sites, buildings, objects, or structures or that collectively form a district(s).

§ 1205.4 Designation of National Historic Landmarks.

(a) Potential National Historic Landmarks are identified by means of theme and special studies conducted by the Landmarks Program. In undertaking these studies, information or recommendations of the State Historic Preservation Officers will be solicited. State Historic Preservation Officer participation is voluntary.

(b)(1) Heritage Conservation and Recreation Service will notify, in writing, (i) the owner(s), (ii) the municipality or county, (iii) the State Historic Preservation Officer, (vi) the members of Congress who represent the district and State in which the property is located that a property is going to be studied to determine potential for designation as a National Historic Landmark. This notice will provide information on the National Historic Landmark Program, the designation process, and the implications of the designation.

(2) When the property has more than 50 owners, Heritage Conservation and Recreation Service will notify (i) municipality or county, (ii) the State Historic Preservation Officer, (iii) the members of Congress who represent the district and State in which the property is located and (iv) provide general notice to the property owners. This general notice will be published in one or more local newspapers of general circulation in the area in which the potential National Historic Landmark is located and will provide information on the National Historic Landmarks program, the designation process, and the implications of designation.

(c) The researcher will visit the property and, in the case of districts with more than 50 owners or a request by the municipality or county, hold an informational meeting.

(d)(1) Properties appearing to qualify for designation as National Historic Landmarks and comments pertaining to them are presented to the Consulting Committee for evaluation. The Consulting Committee usually meets semi-annually. Interested parties are encouraged to attend and an opportunity to address the Consulting Committee concerning a property's significance, integrity, or boundaries will be provided. The Consulting Committee evaluates a property's significance, integrity, and boundaries. Prior to Consulting Committee review of a property, the Heritage Conservation and Recreation Service, will notify, in writing, (i) the owner(s), (ii) the municipality or county, (iii) the State Historic Preservation Officer, (iv) the members of Congress who represent the district and the State in which the property is located that it is to be considered by the committee. Such notice will be sent not less than 30 days and not more than 60 days before the consulting committee meeting.

(2) In the case of properties with more than 50 owners, the procedures of 1205.4(b) will be used. The notice will state date and location of consulting committee meeting, solicit written comments, and describe the implications of National Historic Landmark designation. Summaries of the research report will be sent to (i) the State Historic Preservation Officer, (ii) the owner(s), (iii) and other parties requesting it. Notice will also be published in the **Federal Register.**

(e) The Consulting Committee recommends to the Director those properties which it believes meet the criteria for recognition as National Historic Landmarks. A simple majority is required to make this recommendation.

(f) The Secretary of the Interior receives the recommendations of the Director and, based on the criteria set forth herein, makes a decision on

Properties that are designated National Historic Landmarks are listed in the National Register of Historic Places.

(g) Notice of National Historic Landmark designation is sent (1) to the landmark owner(s) as outlined in 1205.4(b), (2) to the State Historic Preservation Officer, (3) to the Representative of the Congressional District in which the property is located, (4) to the State's United States Senators, (5) to the municipality or county in which the landmark is located, (6) and in certain cases to other interested authorities, individuals or organizations.

(h) In special circumstances where necessary to promote the public interest in historic preservation, the Secretary may designate National Historic Landmarks without reference to the Consulting Committee.

§ 1205.5 Registration.

(a) Following the designation of a property by the Secretary as a National Historic Landmark, the owner (or in the case of multiple ownership, a majority of the owners) is invited to sign an agreement with the Heritage Conservation and Recreation Service indicating willingness to adopt management practices which protect the landmark's nationally significant values. When the agreement is signed, the property becomes a registered National Historic Landmark. The owner(s) gives up none of the rights and privileges of ownership or use of the property, nor does the Department of the Interior gain any property interest in land so designated. The owner(s) may request a certificate signed by the Secretary of the Interior and the Director of the Heritage Conservation and Recreation Service, and a bronze plaque. The Heritage Conservation and Recreation Service provides one certificate and plaque for the National Historic Landmark through its appropriate Regional Office. Upon request, the Regional Office will help arrange and participate in a presentation ceremony.

(b) If the agreement is not signed, the property retains its status as a National Historic Landmark, but it is not a registered National Historic Landmark and the owner is awarded neither the certificate nor the plaque.

(c) There is no time limit for signing the preservation agreement and accepting the certificate and plaque. The owner may choose to do so at any time after the designation of the property as a National Historic Landmark.

(d) When the ownership of a registered National Historic Landmark changes, a new agreement is required to maintain registration.

Landmarks.

(a) The Heritage Conservation and Recreation Service, through its Regional Offices, maintains a continuing relationship with the owners of National Historic Landmarks by periodic visits and other means to determine whether landmarks have retained their integrity, to advise the owners concerning accepted preservation standards and techniques, and to update administrative records on the properties. Reports of monitoring activities are filed with the National Historic Landmarks Program. These reports form the basis for the annual report submitted to Congress by the Secretary of the Interior on National Historic Landmarks which exhibit known or anticipated damages or threats to the integrity of the property as mandated by Section 8, National Park System General Authorities Act, 1970, as amended. (90 Stat. 1940 16 U.S.C. 1a–5).

(b) Whenever the Secretary of the Interior determines a National Historic Landmark may be irreparably lost or destroyed in whole or in part by any surface mining activity, including exploration for or removal or production of minerals or materials, the Secretary shall notify the person conducting such activity and submit a report thereon. The report will include the basis for the Secretary's finding that such activity may cause irreparable loss or destruction of a National Historic Landmark. It will be submitted to the Advisory Council on Historic Preservation, along with a request for advice from the Council as to alternative measures that may be taken by the United States to mitigate or abate such activity. Authority for this action is mandated by section 9, Mining in National Parks Act of 1976 (90 Stat. 1342, 16 U.S.C. 1908).

§ 1205.7 Alterations in National Historic Landmark Boundaries.

(a) Two justifications exist for enlarging the boundary of a National Historic Landmark: Documentation of previously unrecognized significance, or professional error in the original designation. Enlargement of a boundary will be approved only when the area proposed for addition to the National Historic Landmark possesses the characteristics for which the landmark was designated. The same process as used for a new designation will be followed (§ 1205.4 (a) through (h)).

(b) Two justifications exist for reducing the boundary of a National Historic Landmark: Loss of integrity, or professional error in the orginal designation. Reduction of a boundary will be approved only when the area to be deleted from the National Historic Landmark does not possess or has lost the characteristics for which the property was designated a National Historic Landmark. The same process as used for a new designation will be followed (§ 1205.4 (a) through (h)).

(c) A proposal for enlargement or reduction of a National Historic Landmark boundary shall be submitted to or can originate at the National Register of Historic Places, Heritage Conservation and Recreation Service, 440 G Street NW., Washington, D.C. 20243. The Division Chief may initiate a restudy of the National Historic Landmark by the staff of the National Register and subsequently a proposal if appropriate in the same manner as a new designation (§ 1205.4 (a) through (h)).

(d) A technical correction to a boundary does not require Consulting Committee review or Secretarial Approval. The Division Chief of the National Register must approve a technical correction.

(e) The Landmarks Program will provide written notice of any alteration in a National Historic Landmark boundary to (1) the landmark owner(s), (2) the municipality or county in which the landmark is located, (3) the U.S. Representative who represents the district in which the landmark is located, (4) the U.S. Senators who represent the State in which the landmark is located, and (5) the State Historic Preservation Officer.

(f) When a boundary has been proposed for a National Historic Landmark designated before 1970 the Heritage Conservation and Recreation Service shall notify, in writing, (1) the owner, (2) municipality or county, (3) the State Historic Preservation Officer, (4) the members of Congress who represent the district and State in which the property is located of the proposed boundary, and provide not less than 30 and not more than 60 days for submitting written comments before the boundary is approved by the Chief of the Division of the National Register.

(g) In the case of more than 50 owners, the general notice specified in § 1205.4(b) will be used.

§ 1205.8 Withdrawal of National Historic Landmark Designation.

(a) Three justifications exist for the withdrawal of a National Historic Landmark designation: Loss or destruction of the characteristics for which a property originally met the National Historic Landmark criteria; professional error in the designation; or substantial failure to follow the procedures for designation set forth in § 1205.4.

(b) Information concerning loss of integrity, professional error, or procedural error should be submitted to the National Register, Heritage Conservation and Recreation Service, 440 G Street NW., Washington, D.C. 20243. The National Register may initiate a restudy of the National Historic Landmark by its staff and subsequently a proposal for withdrawal of the landmark designation if appropriate in the same manner as a new designation (§ 1205.4 (a) through (h)). Where professional error as to a property's national significance has been made, the property will remain listed in the National Register.

(c) Upon withdrawal of a National Historic Landmark designation, the landmark certificate and plaque will be reclaimed. The Heritage Conservation and Recreation Service will provide written notice of the withdrawal and a copy of the report on which the action is based to (1) the owner(s), (2) the municipality or county in which the landmark is located, (3) the U.S. Representative who represents the district in which the landmark is located, (4) the U.S. Senators who represent the State in which the landmark is located, and (5) the State Historic Preservation Officer. Notice of such removals will be published periodically in the **Federal Register.**

§ 1205.9 National Historic Landmark Criteria.

Introduction

(a) National Historic Landmark designation recognizes nationally significant properties essential to the American understanding and appreciation of the Nation's history, development, ideals, and character. Landmarks include districts, sites, buildings, structures, and objects, which have been pivotal in the development of American history, architecture, archeology or culture. Landmark designation is not applied to all properties once associated with national development; nor can all facets of the Nation's history be logically or clearly represented by physical resources. National Historic Landmark designation is reserved for resources which by strength and clarity of historic association, architectural or design excellence, or extraordinary information content are or clearly have the potential to be publicly and professionally recognized, understood, and appreciated for their significance to the Nation as a whole.

(b) The National Historic Landmark program was established by the 1935 Historic Sites Act that gave the Secretary of the Interior responsibility for systematically identifying nationally significant properties. In 1966 the National Historic Preservation Act made landmark designation one distinct part of the National Register of Historic Places program. Designated landmarks are automatically placed in the National Register if they have not been listed there previously.

(c) Designation does not require that a property be preserved, but in accordance with the spirit of the Historic Sites Act and the 1966 Preservation Act it insures that a property must be deliberately considered in Federal agency planning and encourages private and public preservation commitments.

(d) Hence, evaluation of potential landmarks shares many of the principles that pertain to evaluating the broader range of potential Register properties. The criteria for both programs also parallel each other in arrangement and form. But the associative, architectural, aesthetic, or informational quality required of National Historic Landmarks is significantly greater than that required of other Register property and must pertain to the development of the Nation as a whole rather than to the history of a single place or group of people.

(e) Although assessments of national significance should reflect both *public perceptions and professional judgments,* the final evaluation of properties being considered for landmark designation must be undertaken by professionals including historians, architectural historians, archeologists, and anthropologists familiar with the broad range of the Nation's resources and historical themes. The criteria applied by these professionals to potential landmarks do not define significance or set a rigid standard for quality. Rather the criteria establish the qualitative framework in which a comparative, professional analysis of national significance can occur.

Historic and prehistoric sites, buildings, and objects, are eligible for designation as National Historic Landmarks if it can be demonstrated that:

I. *Association.* They have been associated with and are now the primary tangible resources that illustrate, recall, or characterize

individuals,
groups,
events,
processes,
institutions,
movements,
lifeways,
folkways,
ideals,
beliefs, or
other patterns or phenomena

that had a decisive impact on or pivotal role in the historic or prehistoric development of the Nation as a whole, *and/or*

II. *Appearance, design, and construction.* They are or they illustrate

architectural styles,
building types,
types of methods of construction vernacular, popular, or traditional building design,
landscape architecture,
urban design or planning,
works of master architects, designers, builders, or planners,
monumental sculpture,
industrial, technological, or engineering design, or
other architectural, aesthetic, or engineering expressions

that are

rare,
unique,
masterpieces of type,
exceptionally illustrative examples of type, or that were of pivotal influence in later development of architecture, construction, landscape design, or aesthetic accomplishment

in the context of the Nation as a whole, *and/or*

III. *Information.* They contain information about or evidence of historic or prehistoric

events,
processes,
institutions,
design,
construction,
settlement,
migration,
ideals,
beliefs,
lifeways,
folkways, or other facets of development and cultural systems

that is essential to professional or public understanding of human development in cultural groups or systems important to the Nation, *and*

IV. *Integrity.* They must possess an exceptionally high degree of integrity of form, material, and settling, retaining those historic characteristics, such as

physical features,
evidences of workmanship,
fabric,
location, and surroundings

that convey, support, represent, or contain the values and qualities for which they are judge significant.

Exclusions

I. *Religious and Commemorative Properties.* Properties owned by

religious institutions, used for religious purposes, or primarily commemorative in nature will not be considered for landmark designation unless they also possess architectural, artistic, historic, cultural, or information significance that would qualify them for listing within Criteria I–IV.

II. *Moved Structures.* A. Buildings, structures, and objects moved from their original or historically significant location will not be eligible for landmark designation unless they were originally designed to be moved or the qualities that would have made them eligible for landmark designation on their original location are fully retained.

B. Buildings, structures, and objects that have been taken from their historic location and placed in artificial assemblages will not be eligible for designation as landmarks unless the act of relocating the properties is itself of historical or cultural significance to the Nation.

III. *Reconstructed Buildings.* Reconstructed properties will not be considered for landmark designation unless they have attained in their own right historical, architectural, cultural, artistic, information value that would qualify them for listing within Criteria I–IV.

IV. *Properties of Recent Significance.* Properties that have achieved significance or have been constructed recently will not be considered eligible for landmark designation unless sufficient time has passed to permit professional evaluation of them in their historical context. The passage of time insures sufficient perspective to evaluate properties for their historical value or role rather than for their contemporary interest. Because 50 years from the time of construction or historic use or association has traditionally been assumed to provide that perspective, that period is suggested but not required for landmark designation. Many categories of properties can be professionally evaluated within a shorter span of time.

V. *Birthplaces, Cemeteries, and Graves.* Birthplaces, cemeteries, and graves will not be considered for landmark designation unless no property associated with the productive life of a group or individual extremely significant in the Nation's history or prehistory exists or unless the property possesses qualities that would qualify it for designation under Criteria II or III and Criterion IV.

Dated: December 13, 1979.

Chris Therral Delaporte,

Director.

[FR Doc. 79-38869 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-03-M

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 52

[FRL 1377-3]

Approval and Promulgation of Implementation Plans; Texas

AGENCY: Environmental Protection Agency (EPA).

ACTION: Final rulemaking.

SUMMARY: This rule approves portions of the revisions to the Texas State Implementation Plan (SIP) which were submitted by the Governor to fulfill the requirements of the Clean Air Act, as amended in August 1977 (the Act) for attainment and maintenance of the National Ambient Air Quality Standards. The revisions being acted on today are those exclusively related to the establishment of an inspection/maintenance (I/M) program required under Section 172 (b)(11)(B) of the Act, and the use of emission reductions resulting from the pilot program as credit for new source growth.

EFFECTIVE DATE: Effective on December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Jerry M. Stubberfield, Chief, Implementation Plan Section, Air and Hazardous Materials Division, Region 6, Dallas, Texas 75270, (214) 767–2742.

SUPPLEMENTARY INFORMATION:

Background

On April 13, 1979, the Governor of Texas submitted revisions to the Texas SIP which included provisions for the establishement of a schedule of implementation for an inspection/maintenance (I/M) program for Harris County. This portion of the SIP delineated the legislative action that had taken place in providing the Texas Air Control Board (TACB) with the necessary authority to implement an I/M program consistent with the intent of the legislation. House Bill 726 was introduced into the Texas Legislature on March 9, 1979. This bill proposed to amend the Texas Clean Air Act to require the TACB, in cooperation with the Texas Department of Public Safety and the State Department of Highways and Public Transportation to do the following:

1. Conduct an I/M pilot program
2. Study various feasibility and implementation I/M program options
3. Prepare for an I/M program in Harris County to allow for full implementation of the program not later than December 31, 1982, and
4. Report to the 67th Session of the Texas Legislature concerning these requirements on or before December 1, 1980.

EPA had reviewed the draft legislation prior to its introduction into the Legislature and had notified the State that the passage of such legislation would satisfy the requirements of the Clean Air Act Amendments.

Since the SIP was submitted prior to House Bill 726 being signed into law by the Governor, only a draft was submitted by the State with the SIP.

In addition, the State discussed a number of measures which could be imposed between 1982 and 1987 to provide additional reductions in order to demonstrate attainment of the ozone standard in Harris County (page 42 of the SIP). One of these measures was the implementation of an I/M program for which the State estimated and emission reduction of 10,000 tons or four percent of the total 1977 baseline emissions. However, the State specified that these measures were only being considered and that no commitment was made to impose these control measures at this time.

On August 1, 1979, (at 44 FR 45204) the EPA proposed approval of that portion of the Texas SIP that dealt with I/M on the condition that (a) enacted legislation is substantially the same as the draft included with the SIP, (b) it is submitted as part of the SIP, and (c) necessary changes are made to the SIP to commit to the implementation of the legislation.

In response to these conditions, the State submited revisions to this portion of the SIP on August 9, 1979, under signature of the Governor. Included in these revisions was a copy of House Bill 726 which the Governor had signed into law on June 13, 1979. EPA has reviewed the enacted legislation included in this submittal and determined that it is substantially the same as the draft which was submitted with the SIP. In addition, the State revised the original SIP (i.e. page 42) by removing the statement that no commitment would be made to impose these additional control measures (which included I/M) at this time. EPA interprets the removal of this statement as a commitment by the State to implement the legislation. Therefore, EPA has determined that the State has satisfied all conditions specified at 44 FR 45206 (August 1, 1979) and under this notice is approving that portion of the Texas SIP specific to the I/M program.

EPA is acting on this portion of the SIP at this time, rather than under a notice promulgating final rulemaking for the entire SIP, for the purpose of expediting the initiation of the program since the TACB is required to report to the Legislature on their findings on or before December 1, 1980. Since the legislation stipulates that the TACB is not authorized to act prior to EPA approving this portion of the plan, the EPA feels it is necessary to act on these revisions as expeditiously as possible.

Public Comments

In addition to stating EPA's proposed actions with regard to the Texas SIP, the August 1, 1979 **Federal Register** notice solicited comments on what items should be conditionally approved and the proposed time schedule for correction. Numerous comments were received. However, only those comments germaine to the I/M issue will be addressed in this notice. All other comments, including those which were to be considered as part of the record for each state plan, will be addressed in a separate **Federal Register** notice promulgating final action on the remainder of the SIP. Four comments were received specific to the issue of I/M. One commentor stated that the vehicle inspection program proposed under House Bill 726 was a positive step toward improving the air quality and that such a program should be applicable to all classes of vehicles. EPA concurs that such a program will result in air quality benefits. However, the State may determine the classes of vehicles to be included in the program, provided that it meets EPA's reduction criterion.

Two comments were received relative to the use of emission reductions achieved through the pilot I/M program as credit or offsets for new source growth. One commentor objected to the use of such credits for sources locating in the Harris County area on the basis that such a condition appeared to be a subsidization of industry by the general public and that the constitutents of vehicular emissions are not identical to the emissions from industry, thereby resulting in an inequitable trade-off. In addition, the commentor objected that the public was never informed of this compromise. Under the Interpretative Ruling of January 16, 1979, (at 44 FR 3285) the Agency states that reductions in mobile source emissions may be used to offset new source growth. Therefore, since the State has not claimed the use of these credits, in the demonstration of reasonable further progress (RFP), EPA concurs with the State that the use of such credits as offsets for new source growth is justifiable under the Interpretive Ruling. In addition, EPA believes that the public has been adequately informed on this issue since it was discussed at length in the Texas SIP which was available to the public.

The second comment relative to this issue concerned the use of emission reductions from I/M inspected vehicles registered outside the Houston nonattainment area, as offsets to allow new source growth in Harris County. This commentor objected to this on the basis that this area is having difficulty in meeting the ozone standard even by the delayed date of December 31, 1987. Again, EPA believes that the use of the reductions achieved from the pilot program can justifiably be used as offsets since the State did not account for these reductions in attaining reasonable further progress in Harris County. In addition, the Interpretative Ruling as amended on January 16, 1979, provides that, for major proposed sources of volatile organic compounds (VOC), offsets should be obtained from within the same Air Quality Control Region (AQCR). It is desirable to have the offsetting sources located as close to the proposed source as possible. Location within the same nonattainment area is not required. However, if the offsetting source would be located at a greater distance from the new source the ratio of required offsets could be increased.

A fourth commentor questioned why the final legislation was not submitted with the SIP. As previously noted, the SIP was submitted prior to the legislation being signed into law. Therefore, the State had not alternative but to submit the draft legislation. This commentor also objected to that language in the legislation that states that the effective date of the legislation would occur upon EPA approval of the I/M submission; and that EPA should require the submission of a commitment to enact the I/M program as detailed in the legislation prior to granting approval. The provision that EPA approval is necessary for implementation for the program does not, in the Agency's opinion, force EPA's approval. However, EPA concurs with the commentor that the State commit to the implementation of the program consistent with the legislation. As previously noted, EPA considers the revisions to the SIP submitted on August 9, 1979, as fulfilling this condition.

Current Action

This action approves the revisions to the Texas SIP exclusively related to the establishment of an I/M program, and the use of emission reductions resulting from the pilot program as credit for new source growth. No other portions of the SIP are affected by this action.

Even though the Agency is approving this portion of the SIP, in the event that the report to the 67th Session of the Texas Legislature, required under House Bill 726, should result in a determination that there is no I/M program which would be feasible for implementation in Harris County, and subsequently result in no program being implemented according to the specified schedule, EPA will view such an outcome as making the State liable to the imposition of economic and growth limitations and/or federal enforcement action in that area as provided for in the Clean Air Act. In addition, should the Texas Legislature determine that a mandatory I/M program for Harris County would be feasible, a schedule should be developed, for inclusion in the SIP, indicating milestones leading up to actual implementation of the program.

Under Executive Order 12044 EPA is required to judge whether a regulation is "significant" and therefore subject to the procedural requirements of the Order or whether it may follow other specialized development procedures. EPA labels these other regulations "specialized." I have reviewed this regulation and determined that it is a specialized regulation not subject to the procedural requirements of Executive Order 12044.

This notice of final rulemaking is issued under the authority of Section 110 of the Clean Air Act, as amended.

Dated: December 12, 1979.

Douglas M. Costle,

Administrator.

Part 52 of Chapter I, Title 40 of the Code of Federal Regulations is amended as follows:

Subpart SS—Texas

1. In § 52.2270, paragraph (c) is amended by adding new paragraphs (18) and (19) to read as follows:

§ 52.2270 Identification of plan.

* * * * *

(c) * * *

(18) Draft inspection/maintenance legislation and a schedule for conducting a pilot inspection/maintenance study were submitted by the Governor on April 13, 1979.

(19) Adopted inspection/maintenance legislation and administrative revisions concerning inspection/maintenance were submitted by the Governor on August 9, 1979.

2. Section 52.2272 is revised by adding a new paragraph (b) to read as follows:

§ 52.2272 Extensions.

* * * * *

(b) The Administrator hereby extends to December 31, 1987, the attainment date for primary and secondary standards for ozone in Harris County.

§ 52.2290 [Reserved]

3. Section 52.2290 is revoked and reserved.

[FR Doc. 79-38758 Filed 12-17-79; 8:45 am]
BILLING CODE 6560-01-M

GENERAL SERVICES ADMINISTRATION

41 CFR Ch. 101

[FPMR Temp. Reg. G-42]

Acquisition of Fuel-Efficient Light Trucks by the Federal Government

AGENCY: Transportation and Public Utilities Service, General Services Administration.

ACTION: Temporary regulation.

SUMMARY: This regulation provides policy and procedures governing the acquisition of light trucks by executive agencies during fiscal year 1980.

DATES: Effective date: October 1, 1979. Expiration date: September 30, 1980. Comments due on or before: February 1, 1980.

ADDRESS: Comments should be addressed to: General Services Administration (TMM), Washington, D.C. 20406.

FOR FURTHER INFORMATION CONTACT: Mr. L. A. Stockdale, Director, Federal Fleet Management Division (703-557-1327).

SUPPLEMENTARY INFORMATION: The General Services Administration has determined that this regulation will not impose unnecessary burdens on the economy or on individuals and, therefore, is not significant for the purposes of Executive Order 12044.

(Sec. 205(c), 63 Stat. 390; 40 U.S.C. 486(c))

In 41 CFR Chapter 101, the following temporary regulation is added to the appendix at the end of Subchapter G to read as follows:

Federal Property Management Regulations—Temporary Regulation G-42

December 11, 1979.

To: Heads of Federal agencies

Subject: Acquisition of fuel-efficient light trucks by the Federal Government

1. *Purpose.* This regulation establishes policy and procedures governing the acquisition of light trucks by executive agencies during fiscal year 1980.

2. *Effective date.* This regulation is effective October 1, 1979.

3. *Expiration date.* This regulation expires September 30, 1980, unless sooner revised or superseded. Before the expiration date, this regulation will be codified in the permanent regulations of the General Services Administration (GSA) appearing in Title 41 CFR, Public Contracts and Property Management.

4. *Applicability.* The provisions of this regulation apply to executive agencies as defined in subparagraph 5d.

5. *Background.*

a. Title III of the Energy Policy and Conservation Act added Title V, Improving Automotive Efficiency, to the Motor Vehicle Information and Cost Savings Act (15 U.S.C. 1901 et seq.). Executive Order 11912, dated April 13, 1976, designated and empowered the Administrator of General Services to perform the functions vested in the President by section 510 of the Motor Vehicle Information and Cost Savings Act, as amended (15 U.S.C. 2010).

b. Subsequent to the publication of Executive Order 11912, Executive Order 12003, dated July 20, 1977, was issued, which requires that the Administrator of General Services promulgate rules that ensure that each class of nonpassenger automobiles (hereinafter referred to as light trucks) acquired by all executive agencies, beginning in fiscal year 1980, achieve a fleet average fuel economy equal to or greater than the fuel economy standard established for that model year by the Secretary of Transportation, pursuant to Public Law 94-163.

c. To implement the provisions of Executive Order 12003, GSA issued FPMR Temporary Regulation G-39, dated November 16, 1978. This regulation, which established the policy and procedures governing the acquisition of light trucks by executive agencies during fiscal year 1979, expired September 30, 1979.

d. The applicable fleet average fuel economy objectives by fiscal year are as follows:

	Fleet average fuel economy miles per gallon (mpg)	
	4 by 2	4 by 4
Fiscal year:		
[1] 1980	16.0	14.0
[1] 1981	16.7	15.0
1982-1985	([2])	([2])

[1] Gross Vehicle Weight Rating (GVWR) limit of vehicles covered by the average fuel economy standards program has been raised from 6,000 to 8,500 pounds beginning in fiscal year 1980.

[2] To be determined by the Secretary of Transportation.

e. As used in this regulation:

(1) "Fleet average fuel economy" means the total number of light trucks acquired during a fiscal year by executive agencies (excluding light trucks designed to perform combat-related missions for the Armed Forces or designed to be used in law enforcement work or emergency rescue work) divided by a sum of terms, each term of which is a fraction created by dividing the number of light trucks so acquired of a given model type by the fuel economy of that model type.

(2) "Executive agency" means an executive department, a Government corporation, or an independent establishment.

(3) "Acquired" means purchased or leased for a period of 60 continuous days or more but does not include light trucks obtained on assignment from the Interagency Motor Pool System or rented for periods less than 60 days through the Federal Supply Schedule or other source.

(4) "Light trucks" means any truck up to 8,500 pounds GVWR which is a 4-wheeled vehicle propelled by fuel (gasoline or diesel oil), is manufactured primarily for use on public streets, roads, and highways, and is covered by Federal Standard No. 307 (trucks, light, commercial, two wheel drive) or No. 292 (trucks, light, commercial, four wheel drive).

6. *Policy and procedures.*

a. The policy and procedures set forth in this regulation governing the acquisition of light trucks by executive agencies during fiscal year 1980 are in compliance with Executive Orders 11912 and 12003. Attachment A outlines the procedures for acquiring fuel-efficient light trucks, the suggested format for an agency's forecast, and the procedure to be used to calculate an agency's fleet average fuel economy.

b. Requisitions submitted to GSA for light trucks shall be in conformance with the requirements of § 101-26.501 and Subpart 101-38.13.

c. Additionally, requisitions for light trucks submitted to GSA in accordance with agency forecasts developed in compliance with this regulation shall contain a certification that the acquisition is in conformance with Executive Order 12003, as implemented by this regulation. Each civilian executive agency, the Office of the Secretary of Defense, the military services, and defense agencies shall designate an official who shall be responsible for providing this certification and shall furnish the name, address, and telephone number of the official to the General Services Administration (TM), Washington, DC 20406.

d. The fleet average fuel economy for all light trucks acquired by an executive agency must meet or exceed the fleet average fuel economy for their respective classes of light trucks as shown in the corresponding fiscal year column in subparagraph 5d of this regulation or acquired to be used outside the conterminous United States, Alaska, Hawaii, Guam, the Virgin Islands, and the Commonwealth of Puerto Rico.

(1) The provisions of this regulation are not applicable to light trucks designed to perform combat-related missions for the Armed Forces or designed to be used in law enforcement work or emergency rescue work.

(2) An agency may request an exemption from the provisions of subparagraph d, above, for individual light trucks or for specific categories of light trucks used for special purposes, such as fire support. These requests shall be submitted in writing to the General Services Administration (A), Washington, DC 20405, and shall state the reasons supporting the proposed acquisition of a light truck that will not enable the agency to meet the fleet average fuel economy established by Executive Order 12003 and this regulation. The Administrator of General Services will review the request and, with the concurrence of the Secretary of Energy, determine the merits of the request, then inform the requesting agency of the determination. Light trucks exempted under the provisions of this subparagraph 6d(2) shall not be included in the calculation of an agency's fleet average fuel economy.

7. *Agency comments.* Agency comments regarding clarification of the policy and procedures in this regulation may be sent to the General Services Administration (TMM), Washington, DC 20406, no later than February 1, 1980, for consideration and possible incorporation into the permanent regulation.

8. *Reports.* The report required by this regulation is in conformance with the provisions of Subpart 101-11.11 and has been assigned interagency report control number 0162-GSA-AN.

R. G. Freeman III,
Administrator of General Services.

Attachment A

Acquisition of fuel-efficient light trucks

1. *Authority.* Section 1(b) of Executive Order 12003, dated July 20, 1977, requires that the Administrator of General Services expand the program for the acquisition of fuel-efficient motor vehicles to include light trucks beginning in fiscal year 1979.

2. *Implementation.* In compliance with the Executive order, GSA will administer a consolidated Federal fleet acquisition plan for light trucks acquired by executive agencies. The plan will be composed of two sections, covering both 4 by 2 and 4 by 4 light trucks. It will be based on forecasts of total light truck acquisition requirements by item number (from the Federal standard) submitted by executive agencies to GSA by December 15 of each fiscal year. This forecast will substantiate that each agency's acquisition plan is in conformance with the provisions of the Executive order; i.e., the agency plan will result in the achievement of the fleet average fuel economy prescribed for the applicable fiscal year. GSA will administer the plan by maintaining a master record of the miles per gallon rating for light trucks acquired by each agency during the fiscal year. Periodically, each agency will be furnished a listing of vehicles acquired with the cumulative fleet average fuel economy attained to compare with its forecast. This will enable an agency to adjust future vehicle acquisitions, when necessary, to comply with the Executive order by the end of the fiscal year. The Federal fleet plan will enable GSA to predict the total fleet average fuel economy to be achieved by all excutive agencies before the end of the fiscal year and to provide management assistance to agencies, when necessary, to ensure compliance with the Executive order. Forecasts of planned acquisitions shall be sent to the General Services Administration (TM), Washington, DC 20406, not later than December 15 for the fiscal year, in the format illustrated in figure A-1 of this attachment. Interagency report control number 0162-GSA-AN has been assigned to this requested forecast. The miles per gallon ratings to be used will be published in an FPMR bulletin to enable agencies to plan their acquisitions and to prepare their forecasts.

3. *Agency responsibilities.*

a. Executive agencies shall furnish GSA a forecast of the total light truck acquistion requirements for each fiscal year based on the combined city/highway mileage ratings for light trucks developed by the Environmental Protection Agency (EPA). Despite EPA's decision to publicize only the estimated mileage ratings for vehicles 8,500 pounds GVWR and under in model year 1980, EPA will provide the combined city/highway ratings to GSA. In turn, GSA will furnish this information to agencies to enable them to plan the acquisitions and to prepare the forecasts. Agencies that do not plan purchases or commercial leases or that satisfy their total vehicle requirements through the GSA Interagency Motor Pool System shall furnish a negative forecast. Agencies which need additional copies of the mpg ratings (for 49 States and California vehicles) may write to the General Services Administration (TM), Washington, DC 20406. A sample calculation to clarify how the fleet average fuel economy is derived is illustrated in figure A-2 of this attachment.

b. The forecast of the total agency light truck acquistion requirements shall include trucks to be procured or leased and used in the conterminous United States, Alaska, Hawaii, Guam, the Virgin Islands, and the Commonwealth of Puerto Rico. The forecast shall not include light trucks (1) procured or leased and/or to be used outside the foregoing areas, (2) designed to perform combat-related missions for the Armed Forces, (3) designed to be used in law enforcement work or emergency rescue work, or (4) specifically exempted by the Administrator of General Services in accordance with subparagraph 6d(2).

c. Requisitions for light trucks sent to GSA for procurement action but for which a contract is not effected during the same fiscal year the requisitions are submitted should be included in the agency's acquisition forecast for the following fiscal year.

d. When a light truck lease contains an option to renew and the option is exercised, that renewal action shall count as a new acquisition and shall be included in the applicable year's forecast.

e. In order to maintain a master record of all light truck acquisitions, agencies shall forward to the General Services Administration (TM), Washington, DC 20406, copies of all agreements for the leasing of light trucks for a period of 60 continuous days or more, including agreements to renew existing leases. When the lease agreement does not provide the following information, it shall be submitted as an attachment to the lease:

(1) Year,
(2) Make,
(3) Model,
(4) Transmission type (if manual, number of forward speeds),
(5) Cubic inch displacement,
(6) Fuel system (fuel injection or carburetor (number of barrels)),
(7) Whether it is a 4 by 2 or 4 by 4, and
(8) If leased in California.

4. *GSA responsibilities.*

a. Upon receipt of the mileage ratings from the EPA, GSA will publish a G-

series FPMR bulletin which will contain the light trucks mpg ratings to be used in the preparation of each agency's light truck forecast.

b. GSA will develop the Federal fleet plan from forecasts of light truck acquisition requirements received from executive agencies. GSA assistance may be requested in preparing forecasts for submission.

c. GSA periodically will furnish each agency a listing showing the status of light trucks acquired with the fleet average fuel economy achieved to enable the agency to determine the extent to which it is in conformance with the forecast originally submitted to GSA. The listing will enable an agency to make adjustments to its acquisition plan, when necessary, to ensure that its fleet average fuel economy is achieved for the applicable fiscal year.

d. Submission of requisitions for procurement or requests for authority to lease light trucks which, in the opinion of GSA, will result in noncompliance with the fleet average fuel economy by the end of the fiscal year may result in requisitions being held in abeyance pending adjustment to the agency's acquisition plan.

Figure A-1.—Suggested format for agency acquisition forecast

General Services Administration (TM)
Washington, D.C. 20406.

The forecast for the total 4 by 2 light trucks to be acquired (procured or leased for 60 continuous days or more, but not obtained from the Interagency Motor Pool System) by (agency) during fiscal year 1980 is as follows:

4 by 2

Van-wagon and Van-panel (items 20 and 30)
- 100—49 States, where the lowest EPA city/highway fuel economy rating for a 6-cylinder automatic is 17 mpg.
- 50—California, where the lowest EPA city/highway fuel economy rating for an 8-cylinder automatic is 14 mpg.

Pickup (item 40)
- 200—49 States, 6-cylinder automatic (17 mpg).
- 50—California, 8-cylinder automatic (14 mpg).

Pickup, compact (item 60)
- 150—49 States, 4-cylinder automatic (22 mpg).
- 25—California, 4-cylinder, 4-speed manual (24 mpg).

Sedan, delivery (item 110)
- 25—49 States, 6-cylinder automatic (19 mpg).

The forecast for the total 4 by 4 light trucks to be acquired by (agency) during fiscal year 1980 is as follows:

4 by 4

Trucks, utility (items 5 and 6)
- 180—49 States, 6-cylinder automatic (18 mpg).
- 10—California, 8-cylinder, 3-speed manual (15 mpg).

Excluding light trucks designed to perform combat-related missions for the Armed Forces or designed to be used in law enforcement work or emergency rescue work, the total planned acquisitions for fiscal year 1980 are calculated to yield a fleet average fuel economy for 4 by 2 trucks of 17.7 miles per gallon and for 4 by 4 trucks of 17.8 miles per gallon.

Interagency report control number 0162-GSA-AN is assigned to this forecast.

Name of official preparing forecast———

Title ———
Address ———
Telephone number ———

BILLING CODE 6820-AM-M

4-A18120 0041(02)(17-DEC-79-11:39:01)

Figure A-2. Illustration of sample calculation to (Part 1 of 2) determine fleet average fuel economy

The fleet average fuel economy is determined by dividing the total number of light trucks of a certain configuration (4 by 2 and 4 by 4) to be acquired by a sum of terms, each term of which is a fraction created by dividing the number of light trucks of a given model type by the fuel economy of that model type.

The method of calculating the fleet average fuel economy uses harmonic averaging and is specifically required by section 510 of the Motor Vehicle Information and Cost Savings Act (89 Stat. 915, 15 U.S.C. 2010) for passenger automobiles. It is being extended to apply to the calculation of the light truck fleet average fuel economy.

The fleet average fuel economy shown in figure A-1 of this attachment has been calculated as follows:

4 by 2

Total number of light trucks (600) divided by:

1. Six-cylinder automatic transmission van-wagons and van-panels for use in 49 States (100) divided by 17 mpg, plus
2. Eight-cylinder automatic transmission van-wagons and van-panels for use in California (50) divided by 14 mpg, plus
3. Six-cylinder automatic transmission pickups for use in 49 States (200) divided by 17 mpg, plus
4. Eight-cylinder automatic transmission pickups for use in California (50) divided by 14 mpg, plus
5. Four-cylinder automatic transmission compact pickups for use in 49 States (150) divided by 22 mpg, plus
6. Four-cylinder, 4-speed manual transmission compact pickups for use in California (25) divided by 24 mpg, plus
7. Six-cylinder automatic transmission sedan deliveries for use in 49 States (25) divided by 19 mpg.

$$= \frac{600}{\frac{100}{17} + \frac{50}{14} + \frac{200}{17} + \frac{50}{14} + \frac{150}{22} + \frac{25}{24} + \frac{25}{19}}$$

$$= \frac{600}{5.88 + 3.57 + 11.76 + 3.57 + 6.82 + 1.04 + 1.32}$$

$$= \frac{600}{33.96} = 17.7 \text{ (Rounded to the nearest 0.1 mpg)}$$

4 by 4

Total number of light trucks (190) divided by:

1. Six-cylinder automatic transmission utility trucks for use in 49 States (180) divided by 18 mpg, plus
2. Eight-cylinder, 3-speed manual transmission utility trucks for use in California (10) divided by 15 mpg.

$$= \frac{190}{\frac{180}{18} + \frac{10}{15}}$$

$$= \frac{190}{10.0 + .67}$$

$$= \frac{190}{10.67} = 17.8 \text{ (Rounded to nearest 0.1 mpg)}$$

[FR Doc. 79-38588 Filed 12-17-79; 8:45 am]

BILLING CODE 6820-AM-C

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

43 CFR Public Land Order 5690

[C-23211]

Colorado; Revocation of Executive Order No. 8085

AGENCY: Bureau of Land Management, Interior

ACTION: Public land order.

SUMMARY: This order will revoke an Executive order which withdrew 40 acres of public land as an administrative site for the Forest Service for use as a summer horse pasture. The land is no longer needed by the Forest Service for this or any other purpose.

EFFECTIVE DATE: January 16, 1980.

FOR FURTHER INFORMATION CONTACT: Sue Bosma, (202) 343-6486.

By virtue of the authority contained in section 204 of the Federal Land Policy and Management Act of 1976, 90 Stat. 2751; 43 U.S.C. 1714, it is ordered as follows:

1. Executive Order No. 8085 of April 11, 1939, which withdrew the following described public land as a Forest Service administrative site is hereby revoked:

Sixth Principal Meridian

T. 14 S., R. 86 W.,
Sec. 1, SE¼SW¼.

The area described contains 40 acres in Gunnison County.

2. At 10:00 a.m., on January 16, 1980, the land shall be open to operation of the public land laws generally, subject to valid existing rights, the provisions of existing withdrawals, and the requirements of applicable laws. All valid applications received at or prior to 10:00 a.m., on January 16, 1980, shall be considered as simultaneously filed at that time. Those received thereafter shall be considered in the order of filing.

3. The land will be open to location under the United States mining laws at 10:00 a.m., on January 16, 1980. They have been open to applications and offers under the mineral leasing laws.

Inquiries concerning the land should be addressed to the Chief, Branch of Land Operations, Bureau of Land Management, Colorado State Office, Room 700, Colorado State Bank Building, 1600 Broadway, Denver, Colorado 80202.

Guy R. Martin,
Assistant Secretary of the Interior.
December 11, 1979.

[FR Doc. 79-38748 Filed 12-17-79; 8:45 am]
BILLING CODE 4310-84-M

FEDERAL COMMUNICATIONS COMMISSION

47 CFR Part 73

[BC Docket No. 78-220; RM-3063]

FM Broadcast Stations in Conway, Arkansas and Jacksonville, Arkansas; Changes Made in Table of Assignments

AGENCY: Federal Communications Commission.

ACTION: Report and order.

SUMMARY: This action assigns FM Channel 224A to Conway, Arkansas, as that community's second FM assignment. The provision of a second local FM service to this community is more important even if it precludes a proposed improvement in facilities at Station KOTN(FM) in Pine Bluff, Arkansas.

EFFECTIVE DATE: January 24, 1980.

ADDRESSES: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Stanley P. Wiggins, Broadcast Bureau, (202) 632-7792.

SUPPLEMENTARY INFORMATION:

Report and Order—Proceeding Terminated

Adopted: December 10, 1979.

Released: December 14, 1979.

In the matter of amendment of § 73.202(b), *Table of Assignments,* FM Broadcast Stations. (Mayflower, Conway and Jacksonville,[1] Arkansas), BC Docket No. 78-220, RM-3063.

1. By *Notice of Proposed Rule Making,* adopted July 17, 1978, 43 FR 32832, the Commission proposed to amend § 73.202(b) of the Commission's Rules, the FM Table of Assignments, by assigning FM Channel 224A to Conway, Arkansas. The *Notice* was issued in response to a petition filed by Michael D. Harrison, who had requested the same assignment for the nearby community of Mayflower. Mayflower (pop. 469) presently lacks any local aural service, and Conway (pop. 15,510) has two occupied frequencies assigned to it. However, because one of these frequencies is used at Jacksonville, some 38 kilometers (24 miles) distant, Conway actually has only one local FM service. The *Notice* also proposed reassignment of Conway Channel 262 to Jacksonville to reflect its use there.

2. Conway is the seat of Faulkner County and the apparent population center of the county. Conway is served by one FM station and two AM stations (one daytime-only and one fulltime). Those factors, combined with technical constraints on the transmitter location for a Channel 224A facility, suggested that the proposed channel's principal service area would actually be Conway rather than Mayflower. No significant preclusion is created by the proposal, but the *Notice* requested petitioner to submit a showing of first and second FM and aural service. For the reasons set forth below, we have decided to adopt the assignments proposed.

3. Opposition to the proposed Conway assignment were filed by Communications Media Corporation ("CMC"), licensee of KWEE(AM) and KKLF(FM) in Conway, and by Joellen Broadcasting Corporation ("Joellen"), licensee of KOTN(FM) in Pine Bluff, Arkansas. CMC contends the assignment of Channel 224A to Conway for use at Mayflower conflicts with the 10-mile rule (Section 73.203(b)), because that rule limits such assignments to one per community. CMC also contends the proposal provides no first aural service, and will cause Conway, which already has a Class C channel assigned, to be intermixed. Joellen's opposition is premised on its simultaneously filed application for improved facilities for KOTN(FM), which would result in a second aural service to 573 persons in a 453 square kilometer (175 square miles) area.[2] Joellen asserts this improvement in facilities constitutes a better utilization of broadcast spectrum than the Class A facility proposed for Conway, which petitioner concedes will not provide any first or second aural or FM service.

4. Although the proposed assignment would not bring first or second aural or FM service, it would bring a second local FM service for Conway. In our view, this opportunity should not be foreclosed simply because of the modest second aural service gains projected for the proposed KOTN(FM) modification. In addition, Joellen has not shown, or even alleged, that its proposed site is the only other location that will serve the purposes or provide desired service to

[1] This community has been added to the caption.

[2] Joellen's engineering statement asserts there will be first aural service to 84 persons in a 70 square kilometer (27 square miles) area, but Commission staff analysis indicates an error concerning the contour of Station KYK(FM), Little Rock, which when corrected eliminates any first aural service.

underserved areas. KOTN(FM) remains free to explore possible alternative approaches to improving its facilities, but the gains from its modification proposal do not warrant the prevention of a second local FM service to a community of 15,000.

5. As for the prohibition in Section 73.203(b) of removing more than one channel from a community, CMC is correct that the rule applies here despite our reassignment of Channel 262 to Jacksonville to reflect its use there. If an applicant wishes to apply to use Channel 224A at a community other than Conway, it may request a waiver of that section.[3] Finally, the Conway assignment will cause intermixture there. However, the Commission has long permitted intermixture of a Class A channel with an existing Class C channel where no other Class C channels are available (as is the case here) and the petitioner indicates his willingness to operate under such conditions. *Yakima, Wash.,* 43 F.C.C. 2d 548 (1973). Petitioner has assured the Commission in comments of his interest in applying for the assignment.

6. Accordingly, it is ordered, That the FM Table of Assignments, § 73.202(b) of the Commission's rules and regulations, is amended as follows:

City	Channel No.
Conway, Arkansas	224A, 256
Jacksonville, Arkansas	262

7. Authority for the adoption of the amendments contained herein appears in Sections 4(i), 5(d)(1), 303 (g) and (r) and 307(b) of the Communications Act of 1934, as amended, and § 0.281 of the Commission's rules.

8. It is futher ordered, That this proceeding is terminated.

9. For further information concerning this proceeding, contact Stanley P. Wiggins, Broadcast Bureau, (202) 632-7792.

(Secs. 4, 303, 307, 48 Stat., as amended, 1066, 1082, 1083; (47 U.S.C. 154, 303, 307))

Federal Communications Commission.

Henry L. Baumann,
Acting Chief, Policy and Rules Division, Broadcast Bureau.

[FR Doc. 79-38715 Filed 12-17-79; 8:45 am]
BILLING CODE 6712-01-M

[3] If applicants wish to apply for Channel 224A on a dual-city identification basis pursuant to 47 CFR 73.1201, they are free to do so, but this is not necessary in order to comply with 47 CFR 73.203(b).

47 CFR Part 73

[BC Docket No. 79-120; RM-3197]

FM Broadcast Station in Haskell, Tex.; Changes Made in Table of Assignments

AGENCY: Federal Communications Commission.

ACTION: Report and order.

SUMMARY: Action taken herein assigns a Class C FM channel to Haskell, Texas, in response to a petition filed by Kenneth Lane. The station will provide a first and second FM service to a substantial area and significant population in addition to rendering a first local aural broadcast service to Haskell.

EFFECTIVE DATE: January 24, 1980.

ADDRESS: Federal Communications Commission, Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT: Mildred B. Nesterak, Broadcast Bureau, (202) 632-7792.

SUPPLEMENTARY INFORMATION:

Report and Order—Proceeding Terminated

Adopted: December 10, 1979.

Released: December 14, 1979.

In the matter of amendment of § 73.202(b), *Table of Assignments,* FM Broadcast Stations (Haskell, Texas), BC Docket No. 79-120, RM-3197.

1. The Commission has under consideration a *Notice of Proposed Rule Making,* adopted May 15, 1979, 44 FR 30128, proposing the assignment of Class C FM Channel 238 to Haskell, Texas, in response to a petition filed by Kenneth Lane ("petitioner"). Petitioner filed supporting comments. ABKO Broadcasting Company ("ABKO"), licensee of Station KDWT (AM), Stamford, Texas, filed reply comments to which petitioner filed a Motion to Strike. ABKO filed an opposition to the Motion and petitioner filed a reply.

2. In the *Notice,* we stated that where a community, such as Haskell, has a small population, it would be the usual practice to assign a Class A channel. However, we noted that exceptions were made where a Class C channel could bring a significant amount of first or second FM service or when a Class C channel represented the best means of serving a sparsely populated area. In this case, petitioner had shown that a first and second FM service could be provided to a substantial area and significant population. On that basis the Commission decided to propose a Class C channel even though no first or second nighttime aural service would be provided.

3. Petitioner filed comments supporting the proposal and stated that it would apply for the channel, if assigned. ABKO, in reply comments, contends that petitioner did not submit sufficient evidence to justify the assignment of a Class C channel to Haskell. ABKO argues that no attempt was made by petitioner to determine and compare the areas and populations which would receive a first and second service from a Class A facility at Haskell. It states further that petitioner made no showing as to whether the proposed Class C channel would provide any first or second nighttime aural service. ABKO asserts that in view of the considerable preclusive impact the petitioner should submit showings that justify the Class C channel for Haskell. Then, if the request is justified, the assignment should be conditioned on the use of reasonable facilities (75 kW ERP at 500 feet).

4. In its Motion to Strike, petitioner claims that ABKO had an opportunity to file comments during the time set for that purpose and failed to do so. He contends that ABKO's reply is not responsive to his comments which were the only comments filed in the proceeding, in which he merely reaffirmed his continuing interest in the proposed assignment. Petitioner contends that ABKO, in essence, is proposing a Class A instead of a Class C channel at Haskell, and as such, is in violation of § 1.420(d) of the Commission's Rules which prohibits a counterproposal from being advanced in reply comments.

5. ABKO, in opposing the Motion, claims that it has not advanced a counterproposal but only stated that petitioner had failed to present the studies required to justify an exception to the Commission's policy of assigning a Class C channel only to communities much larger than Haskell. ABKO asserts that its reply comments are directed to the general proposition as are petitoner's comments of whether the proposed assignement should be made to Haskell.

6. In reply, petitioner reiterates his view that ABKO's reply comments are an attempt to submit late comments which should not be allowed to delay this proceeding.

7. Since the Motion to Strike and related pleadings are of a procedural nature, we will deal with that matter first. Petitioner claims that ABKO's comments are late-filed and should be stricken from the record. Although an argument can be made that ABKO's reply comments are responsive to petitioner's comments, the better practice would have been to make the

same points in initial comments. Nonetheless, to have a complete record before us we are rejecting the Motion to Strike and shall consider the arguments set forth in ABKO's reply comments.

8. Haskell (pop. 3,655),[1] seat of Haskell County (pop. 8,512), is located approximately 80 kilometers (50 miles) north of Abilene, Texas. It has no local aural broadcast service.

9. The *Notice* proposing a Class C assignment was issued based on the showing that a Class C station would provide needed service that a Class A station could not provide. For example, a Class C station operating with reasonable facilities could provide a first FM service to 16,908 persons in a 6,364 square kilometer (2,457 square miles) area.[2] The *Notice* did not request information concerning the provision of first and second service from a Class A facility because it was clear to us from the engineering data included in the original petition that a Class A facility would cover substantially less of the unserved and underserved areas than would be served by any Class C station. Finally, we did not believe that preclusion would be an impediment because one or more channels were available for assignment to the precluded area. Based on this information, the *Notice* was issued on what was held to be adequate justification to propose assignment of a Class C channel to a community the size of Haskell. Therefore, we must reject ABKO's contentions.

10. We have given careful consideration to the proposal and believe it would be in the public interest to assign Channel 238 to Haskell, Texas. The assignment would provide for an FM station which could render a first local aural broadcast service to Haskell, and also provide first and second FM service to a substantial area and population that is significant even if no first or second aural service is involved.

11. Authority for the action taken herein is contained in Sections 4(i), 5(d)(1), 303(g) and (r) and 307(b) of the Communications Act of 1934, as amended, and § 0.281 of the Commission's rules.

12. In view of the foregoing, it is ordered, that effective January 24, 1980, § 73.202(b) of the Commission's rules, the FM Table of Assignments, as regards Haskell, Texas, is amended as follows:

City	Channel No.
Haskell, Texas	238

13. It is further ordered, that this proceeding is terminated.

14. For further information concerning this proceeding, contact Mildred B. Nesterak, Broadcast Bureau, (202) 632-7792.

(Secs. 4, 303, 307, 48 Stat., as amended, 1066, 1082, 1083; (47 U.S.C. 154, 303, 307))

Federal Communications Commission.

Henry L. Baumann,

Acting Chief, Policy and Rules Division, Broadcast Bureau.

[FR Doc. 79-38751 Filed 12-17-79; 8:45 am]

BILLING CODE 6712-01-M

[1] Population figures are taken from the 1970 U.S. Census.

[2] ABKO alleges that petitioner failed to deal with the issue of possible first or second aural service, but it did so on page 2 of the engineering statement where it acknowledged that such service would not be provided.

INTERSTATE COMMERCE COMMISSION

49 CFR Part 1043, 1045B and 1046

[Ex Parte No. MC 96 (Sub-2)]

Passenger Broker Entry Control; Correction of Effective Date

AGENCY: Interstate Commerce Commission.

ACTION: Correction of effective date.

SUMMARY: The Commission recently adopted final rules establishing a simplified licensing procedure for obtaining a passenger broker license, at 44 FR 70167 (December 6, 1979). This notice is to correct an inadvertent error in that publication regarding the date when the new rules take effect. The proper effective date for these rules is February 4, 1980. Applications will not be accepted until February 4, 1980.

FOR FURTHER INFORMATION CONTACT: Peter Metrinko 202-275-7885 or Donald Shaw 202-275-7292.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38654 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

50 CFR Part 26

Opening of Certain National Wildlife Refuges in Arizona, California, and New Mexico

AGENCY: U.S. Fish and Wildlife Service, Department of the Interior.

ACTION: Special regulations.

SUMMARY: The Director has determined that the opening to public access, use, and recreation of certain national wildlife refuges in Arizona, California and New Mexico is compatible with the objectives for which the areas were established, and will provide additional recreational opportunity to the public through a nonconsumptive use. This document establishes special regulations effective for the upcoming public entry and use season.

DATES: Effective on date of publication from January 1, 1980 through December 31, 1980.

FOR FURTHER INFORMATION CONTACT: The Area Manager or appropriate Refuge Manager at the address or telephone number listed below:

Albert W. Jackson, Area Manager, U.S. Fish and Wildlife Service, 2953 West Indian School Road, Phoenix, AZ 85017. Telephone: 602-261-6833.

SUPPLEMENTARY INFORMATION:

General

Public access, use, and recreation is permitted on the National Wildlife Refuges indicated below in accordance with 50 CFR 26 and the following Special Regulations. Portions of refuges which are open to public access, use and recreation are designated by signs and/or delineated on maps available from addresses indicated below.

No vehicle travel is permitted except on designated, maintained roads and trails. Special conditions applying to individual refuges are listed on leaflets from the office of the Regional Director, U.S. Fish and Wildlife Service, P.O. Box 3106, Albuquerque, NM 87103.

The Refuge Recreation Act of 1963 (16 U.S.C. 460k) authorizes the Secretary of the Interior to administer such areas for public recreation as an appropriate incidental or secondary use only to the extent that it is practicable and consistent with the primary objectives for which the area was established. In addition, the Refuge Recreation Act requires (1) that such recreational use will not interfere with the primary purpose for which the areas were established, and (2) that funds are available for the development, operation, and maintenance of the permitted forms of recreation.

The recreational use authorized by these regulations will not interfere with the primary purposes for which these National Wildlife Refuges were established. The determination is based upon consideration of, among other things, the Service's Final Environmental Statement on the Operation of the National Wildlife Refuge System published in November 1976. Funds are available for the administration of the recreational activities permitted by these regulations.

Public entry shall be in accordance with all applicable Federal and State laws and regulations subject to the following conditions:

§ 26.34 Special regulations; public access, use, and recreation; for individual wildlife refuge areas.

Public access, use, and recreation is permitted on the following areas:

Arizona

Cabeza Prieta National Wildlife Refuge, P.O. Box 418, Ajo, AZ 85321. Contact: James R. Fisher, Refuge Manager at 602-387-6483. Special condition:

The Cabeza Prieta National Wildlife Refuge, Arizona, is open to public access, use, and recreational activities from January 1 through December 31, 1980, subject to the provisions of Title 50, Code of Federal Regulations, and all applicable Federal and State laws and regulations and all official signs posted in the area. Since the refuge is adjacent to the Williams Bombing Range, public access will be restricted to those days when the range is hot in use. For purposes of protecting human safety as well as the fragile environment of the 860,000 acre Cabeza Prieta National Wildlife Refuge, all entry into the refuge is subject to the possession of a valid permit issued by the Refuge Manager or his designated assistant. Such permit may be obtained at the offices of the U.S. Fish and Wildlife Service located at 1611 North 2nd Avenue, Ajo, Arizona, or at 356 West 1st Street, Yuma, Arizona, between the hours of 8:00 a.m. and 4:30 p.m., Monday through Fridays (except holidays).

One permit will be required for each vehicle entering the refuge. Vehicles are restricted to designated access roads. Each person entering the refuge by means other than motorized vehicles is also required to possess an entry permit, obtainable as required for vehicular entry. Additionally, each person entering the refuge must sign a hold harmless agreement due to military use of the area for overflights to and from the Williams Bombing Range.

The provisions of this special regulation supplement the regulations which govern public access, use and recreation on wildlife refuge areas generally which are set forth in Title 50, Code of Federal Regulations, Part 26, and are effective through December 31, 1980.

Kofa National Wildlife Refuge, P.O. Box 1032, Yuma, AZ 85364. Contact: Milton K. Haderlie, Refuge Manager at 602-783-7861. Special condition:

For purposes of protecting wildlife habitat and the fragile environment of the 660,000-acre Kofa National Wildlife Refuge, Arizona, camping is limited for each person to 14 days during any 12-month period.

Recreational (non-commercial) rockhounding, including digging with simple hand tools, is permitted only in the designated area known as Crystal Hill.

The areas described aggregate 3,664.39 acres.

On the remainder of the Kofa National Wildlife Refuge outside the designated Crystal Hill area, collecting of rocks or minerals, or both, is restricted to materials that are exposed and collectible without the use of tools.

Pets are permitted only if they are confined or kept on a leash, not to exceed ten (10) feet in length, one end of which is secured so as to restrict the movement of the animal. (Except the use of dogs when hunting with special hunting regulations.)

There is no hunting permitted inside the area designated as Crystal Hill campground.

The provisions of this special regulation supplement the regulations which govern public access, use and recreation on Wildlife Refuge areas generally which are set forth in Title 50, Code of Federal Regulations, Part 26, and are effective through December 31, 1980.

Arizona and California

Cibola National Wildlife Refuge, Box AP, Blythe, Calif. 92225. Contact: Wesley V. Martin, Refuge Manager at 714-922-2129. Special condition:

(1) The minimum altitude for aircraft flying over the Cibola National Wildlife Refuge shall be 2,000 feet above ground elevation. This regulation is meant to prevent harassment of wildlife and to promote quality recreational experiences for the visiting public.

(2) Wildlife observation, photography and hiking are permitted except in areas posted closed to public entry.

(3) Open fires are prohibited. Fires, if contained in grills or other suitable equipment, are permitted provided they are used in unvegetated areas. The clearing of vegetation for any purpose is prohibited.

(4) Waterskiing is prohibited in the Old River Channel section of the Colorado River north of Walter's Camp. This closure is for the protection of wildlife values and possible danger to skiers from submerged hazards. The above described waters lie north of the refuge boundary in Section 24, T2S, Arizona and Section 6, T11S, California.

(5) Waterskiing is permitted in the Cibola Dry Cut section of the Colorado River.

(6) Motorized vehicles, including motorcycles, are permitted only on designated developed roads. Motorized vehicles must be licensed and registered and in compliance with state vehicle codes, and vehicle operators must possess a valid state driver's license. Driving off roads, or on roads closed by signs or barriers, or across farmlands is prohibited.

(7) Overnight camping is prohibited on Cibola National Wildlife Refuge.

(8) The period of use on Cibola National Wildlife Refuge is daylight to dark with the following exceptions:

(a) Fishing—permitted at night in areas open to fishing within the season.

(b) Frogging—permitted at night in area opened to frogging.

The degree of public access, use and recreational activities permitted on Cibola National Wildlife Refuge is described below for the three refuge public use zones.

Zone I. This area is designated on the refuge recreation leaflet map and is marked by signs and described as including all lands bordered on the north by Baseline Road, on the east by the refuge boundary, on the south by an unimproved dirt road one-fourth mile above the Bishop Ranch, and on the west by the centerline of the Colorado River. The above-described lands include all refuge lands east of the Cibola Dry Cut section of the Colorado River lying within Sections 1, 2, 11, 12, 13, 14, 23 and 24, T1S, R24W, and Sections 6, 7, 18 and 19, T1S, R23W. Zone I is closed to hunting. Also closed to public entry and use in Zone I is that area within the above-described zone that lies east of the Bureau of Reclamation tie-back levee as marked by signs and as designated on the refuge recreational leaflet map.

Zone II. This area is marked by signs and described as all refuge lands west of the Cibola Dry Cut section of the Colorado River and north of Zone III, and all refuge lands east of the Dry Cut, south of Zone I and north of Zone III. Zone II is open to public recreation throughout the year under provisions and special conditions listed above in Special Conditions 1 through 8.

Zone III. This area is marked by signs and described as including all lands bordered by the refuge boundary on the east and south, the centerline of the New River Channel and Old River Channel sections of the Colorado River in the west, and the Hartmine Wash Levee which follows the east-west quarter section line that bisects Sections 7, 13, 19, 24, 30 and 31, T2S, R23W. Zone III is closed to hunting. *It is also closed to fishing, boating and hiking from* January 1 through March 14, 1980, and from September 6 through December 31, 1980. Wildife observation and photography are permitted from vehicles traveling on established levee roads and from boats traveling on the Colorado River channel during this period Zone III is open to fishing, boating, hiking, wildlife observation and photography from March 15 through September 5, 1980.

Havasu National Wildlife Refuge, P.O. Box A, Needles, Calif. 92363 Contact: Tyrus W. Berry, Refuge Manager at 714-326-3853. Special condition:

(1) The minimum altitude for aircraft flying over the Havasu National Wildlife Refuge shall be 2,000 feet above ground elevation. This regulation is meant to prevent harassment of wildlife and to promote quality recreational experiences for the visiting public.

(2) Waterskiing is permitted only on the channelized segment of the Colorado River except for the portion of the river called "Topock Gorge", which is designated by buoys and signs as being "Closed to Waterskiing". The north buoy line is located between the I-40 highway bridge and the A.T. & S.F. Railroad bridge. The south buoy line is located on a imaginary line between a point one-fourth mile south of Jops Harbor on the Arizona shoreline and a point one-fourth mile south of the southern entrance to Clear Bay on the California shoreline.

(3) Wildlife observation, photography and hiking are permitted except in those areas posted closed to public entry.

(4) Overnight camping is permitted at the two concessions on Topock Marsh and along the Arizona shoreline below the buoy line designating the southern entrance to Topock Gorge. However, camping is prohibited at Mesquite Bay, located within this stretch of shoreline.

(5) Boating is permitted in all waters of the refuge except in those areas posted closed to public entry. Wakeless speed only is permitted east of the buoys on the Bill Williams River and within the harbors of Five Mile Landing and Catfish Paradise. In these "No Wake" areas the boat speed may not exceed 5 mph and the wake must be held to a low, noncresting roll.

(6) Motorized vehicles are permitted on designated developed roads and parking areas only. Driving off roads and on roads closed by sign or barrier is prohibited.

(7) Fires may be built only in areas where camping is allowed.

(8) Litter facilities are provided only for recreational users who are swimming, boating, picnicking, fishing, hunting, hiking or camping.

(9) Additional attachments to mobile homes and travel trailers located at refuge concessions must be limited to cabanas, awnings, or similar types of shades that are easily removable, portable and not permanently fixed to the ground. They may be equipped with windbreaks of a similar portable nature that do not completely enclose the sides, but may not be utilized for regular living or sleeping space or to house household equipment other than lounge furniture.

(10) Residents are required to maintain their lots and trailers in a neat, orderly and hazard-free condition. Trailer slabs, porches, and cabanas are not to be used for permanent living space, storage of household goods or other miscellaneous items with the exception of lounge furniture. No storage will be allowed under the mobile home, travel trailer or porch area. The interior of the mobile, travel trailer, storage shed or storage yard are the only authorized storage areas.

(11) Concession operators and tenants will maintain their facilities and residences in accordance with Title 25, Housing and Community Development; Chapter 5, Mobile Home Parks, Special Occupancy Trailer Parks and Campgrounds; California Administration Code; State of California.

(12) All trailers, attachments, and other structures on the lots must be capable of being removed within 24 hours of notice. All tires must remain on the mobile home or travel trailer at all times.

(13) The mooring of unattended boats is allowed *only* at designated boat slips at Five Mile Landing and Catfish Paradise concessions.

(14) Concession residents who repeatedly violate refuge regulations can and will be barred from living on or using refuge lands and facilities.

Imperial National Wildlife Refuge, P.O. Box 2217, Martinez Lake, Arizona 85304. Contact: Gerald E. Duncan, Refuge Manager at 602–783–3400. Special condition:

(1) An area on the west end of Martinez Lake, consisting of approximately 175 acres and an area of approximately 1,400 acres in the north end of Ferguson Lake, shall be closed to public entry during the periods from January 1 through March 1, 1980, and from October 1 through December 31, 1980.

(2) Waterskiing and towing of any device except boats with a person aboard, for recreational purposes, is permitted only on certain sections of the main stream (channels) of the Colorado River where designated by signs.

(3) Boating is permitted in all waters of the refuge except in those areas posted closed to public entry.

(4) Blocking of boat ramps or routes of public access is prohibited.

(5) Wildlife observation, photography and hiking are permitted except in those areas posted closed to public entry.

(6) The removal or disturbance of sand, gravel, rocks or minerals is prohibited.

(7) Overnight camping is prohibited.

(8) The removal or disturbance of deadwood or live vegetation is prohibited.

(9) Pets are permitted only if they are confined or kept on a leash not to exceed 10 feet in length, one end of which is secured so as to restrict the movement of the animal.

(10) The minimum altitude for aircraft flying over the Imperial National Wildlife Refuge shall be 2,000 feet above the ground elevation. This regulation is meant to prevent harassment of wildlife and to promote quality recreational experience for the visiting public.

New Mexico

Bitter Lake National Wildlife Refuge, Box 7, Roswell, New Mexico 88201. Contact: LeMoyne B. Marlatt, Refuge Manager at 505–622–6755. Special conditions:

Public recreational use of Bitter Lake National Wildlife Refuge, New Mexico, is permitted on approximately 15,500 acres of land and water, as designated by signs and by informational leaflets available from both the refuge headquarters, 13 miles northeast of Roswell, New Mexico and from the Regional Director, U.S. Fish and Wildlife Service, P.O. Box 1306, Albuquerque, New Mexico 87103. The following special conditions apply to the Salt Creek Wilderness portion of the refuge: (1) Entry is limited to foot travel and horseback riding. (2) Overnight camping is permitted, but only after obtaining written permission from the Refuge Manager. (3) Camping is limited to three consecutive nights, after which the Refuge Manager must be notified of departure. (4) Open campfires are permitted, but must be left cold and completely buried in the ground after use, so as to leave no evidence. (5) All trash must be hauled out of the wilderness, not buried or otherwise left behind.

The following special conditions apply to non-wilderness portions of the Refuge: (1) All visitors are required to register before entry into the South Unit public use area. (2) Sightseeing, nature observation, photography and hiking are permitted year-round within designated areas. (3) The refuge public use areas are open to use from one hour before sunrise to one hour after sunset only, unless otherwise posted. (4) Picnicking is permitted in conjunction with above listed recreational activities at designated sites. (5) Fires are permitted in the picnic grills only. Only dead and fallen brush and trees may be taken for firewood. (6) Boating is permitted only within designated waterfowl hunting areas and designated seasons.

Bosque del Apache National Wildlife Refuge, P.O. Box 1246, Socorro, New Mexico 87801. Contact: Ronald L. Perry, Refuge Manager at 505–835–1828. Special conditions:

(1) Permitted recreational uses include wildlife/wildland observation, nature study, photography, fishing as regulated, and hunting as regulated. All public access and use not expressly permitted is prohibited.

(2) The refuge is open to public access and use from one-half hour before sunrise to one-half hour after sunset only.

(3) Portions of the refuge which are closed to public access and use are designated by signs and/or delineated on maps available from any of the following addresses upon request: Refuge Manager, P.O. Box 1246, Socorro, New Mexico 87801; Area Manager, U.S. Fish and Wildlife Service, 2953 West Indian School Road, Phoenix, Arizona 85017; Regional Director, U.S. Fish and Wildlife Service, P.O. Box 1306, Albuquerque, New Mexico 87103.

Maxwell National Wildlife Refuge, P.O. Box 276, Maxwell, New Mexico 87728. Contact: Jon Brock at 505–375–2331. Special conditions:

The following activities are permitted: Wildlife observation and photography are permitted except in those area posted closed to public entry.

Fishing as regulated.

All public use, access and recreational activity not otherwise expressly permitted is prohibited.

The provisions of these special regulations supplement the regulations which govern hunting on wildlife refuge areas generally set forth in Title 50, Code of Federal Regulations, Part 33. The public is invited to offer suggestions and comments at any time.

Note.—The Fish and Wildlife Service has determined that this document does not contain a major proposal requiring preparation of an economic impact statement under Executive Order 11949 and OMB Circular A–107.

Albert W. Jackson,

Area Manager, Fish and Wildlife Service, Phoenix, Arizona.

[FR Doc. 79–38639 Filed 12–17–79; 8:45 am]

BILLING CODE 4310–55–M

50 CFR Part 33

Sport Fishing; National Wildlife Refuges in Washington

AGENCY: Fish and Wildlife Service, Interior.

ACTION: Special regulations.

SUMMARY: The Director has determined that the opening to sport fishing of certain National Wildlife Refuges in Washington is compatible with the objectives for which these areas were established, will utilize a renewable natural resource, and will provide additional recreational opportunity to the public. This document establishes special regulations effective for the upcoming sport fishing seasons.

DATES: January 1, 1980 to December 31, 1980.

ADDRESSES: Contact the Refuge Manager at the address and/or telephone number listed below in the body of Special Regulations.

FOR FURTHER INFORMATION CONTACT: Joseph R. Blum, Area Officer Manager, U.S. Fish and Wildlife Service, 2625 Parkmont Lane, Olympia, Washington 98502, Telephone: FTS 434–9578 or 9579 Com'l 206–753–9578 or 9579.

SUPPLEMENTARY INFORMATION: The Refuge Recreation Act 1962 (16 U.S.C. 460k) authorizes the Secretary of the Interior to administer such areas for public recreation as an appropriate incidental or secondary use only to the extent that it is practicable and not inconsistent with the primary objectives for which the area was established. In addition, the Refuge Recreation Act requires (1) that no area of the refuge system is used for forms of recreation not directly related to the primary purposes for which the area was established; and (2) that funds are available for the development, operation, and maintenance of the permitted forms of recreation.

The recreational use authorized by these regulations will not interfere with the primary purposes for which the National Wildlife Refuge(s) were established. This determination is based upon consideration of, among other things, the Service's Final Environmental Statement on the Operation of the National Wildlife Refuge System published in November 1976. Funds are available for the administration of the recreational activities permitted by these regulations.

Sport fishing is permitted on the National Wildlife Refuges indicated below in accordance with 50 CFR 33 and the following Special Regulations. Portions of refuges which are open to sport fishing are designated by signs and/or delineated on maps. No vehicle travel is permitted except on maintained roads and trails. Special conditions and maps applying to individual refuges are available as pamphlet handouts at refuge headquarters and from the office of the Regional Director, Fish and Wildlife Service, Lloyd 500 Building, 500 N.E. Multnomah Street, Portland, Oregon 97232. Fishing shall be in accordance with all applicable State regulations subject to the following conditions:

§ 33.5 Special regulations; sport fishing; for individual wildlife refuge areas.

1. Sport fishing is allowed on the following refuge areas: *Columbia National Wildlife Refuge,* P.O. Drawer "F," Othello, Washington 99344. Contact Refuge Manager at 509–488–2660. (1) The following waters are open to fishing March 1 to September 30, 1980: Bobcat Creek and Ponds; Cattail Lake; Cpypte Creek and Ponds; Crab Creek from Highway 26 to McMannaman Road; Deadman Lake; Hampton Lake and Sloughs; Hays Creek and Ponds; Hutchinson Lake; Juvenile Lake; McMannaman Lake; Pillar Lake; Para Lake; Royal Lake; Shiner Lake; Widgeon Lake; Quail Lake (see special conditions); Shoveler Lake. All other waters are open year-round. (2) Quail Lake is open to the use of artificial flies with barbless hooks only, and all fish must be released immediately. (3) Boats or any floating devices are prohibited on all lakes located between Soda and Upper Hampton Lakes. Boats without motors are allowed on Upper Hampton Lake and Crab Creek and impoundments from O'Sullivan Dam to Goose Lake Road (Marsh Unit 1). The use of powered or non-powered is permitted on all other waters open for fishing.

Conboy Lake National Wildlife Refuge, Glenwood, Washington 98619. Contact Refuge Manager at 509–364–3410 for any special conditions.

Little Pend Oreille National Wildlife Refuge, Route 1, Colville, Washington 99114. Contact Refuge Manager at 509–684–5343 for any special conditions.

McNary National Wildlife Refuge, P.O. Box 308, Burbank, Washington 99523. Contact Refuge Manager at 509–547–4942. (1) The refuge is closed to fishing during the migratory waterfowl hunting season. (2) The use of boats or other floating devices is prohibited.

Ridgefield National Wildlife Refuge, P.O. Box 457, Ridgefield, Washington 98642. Contact Refuge Manager at 206–887–4071 for any special conditions.

Umatilla National Wildlife Refuge, P.O. Box 239, Umatilla, Oregon 97882. Contact Wildlife Manager at 503–922–3232 for any special conditions.

The provisions of these special regulations supplement the regulations which govern fishing on wildlife refuge areas generally and which are set forth in Title 50 Code of Federal Regulations, Part 33. The public is invited to offer suggestions and comments at any time.

The Fish and Wildlife Service has determined that this document does not contain a major proposal requiring preparation of an Economic Impact Statement under Executive Order 11949 and OMB Circular A–107.

The primary author of this document is Joseph R. Blum, Area Office Manager; Telephone FTS 434–9578 or 9579, Com'l 206–753–9578 or 9579.

Dated: December 10, 1979.

Joseph R. Blum,

Washington Area Manager.

[FR Doc. 79–38747 Filed 12–17–79; 8:45 am]

BILLING CODE 4310–55–M

DEPARTMENT OF THE TREASURY
Office of Foreign Assets Control
31 CFR Part 530
Rhodesian Sanctions Regulations

AGENCY: Office of Foreign Assets Control.

ACTION: Final rule.

SUMMARY: The Office of Foreign Assets Control is amending the Rhodesian Sanctions Regulations by revoking all the prohibitions on transactions with Rhodesia. The need for the amendments is to implement Executive Order 12183, 42 FR 74787, terminating United States sanctions against Rhodesia. The purpose and effect of the amendments is to remove all formerly prohibited transactions with Rhodesia from Treasury control.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT: Dennis M. O'Connell, Chief Counsel, Office of Foreign Assets Control, Department of the Treasury, Washington D.C. 20220, (202) 376–0236.

SUPPLEMENTARY INFORMATION: Treasury retains authority to investigate any violation of any provision of the Regulations that occurred prior to the revocation thereof and to institute appropriate enforcement measures. The revocation shall also not affect any violation of any rules, regulations, orders, licenses, or other forms of administrative action during the period that they were in effect.

In keeping with the retention of Treasury investigatory and enforcement authority, certain relevant sections of the Regulations, including the recordkeeping and reporting provisions (§§ 530.601 and 530.602) and the penalties provision (§ 530.701) have not been revoked.

The Rhodesian Sanctions Regulations Part 530 are amended by the revocation of the following subparts and sections:

Subpart A, Subpart B, Subpart C, 530.401, 530.403, 530.404, 530.405, 530.406, 530.407, 530.408, 530.409, 530.410, Subpart E and Subpart H.

(E.O. 12183, December 16, 1979, Sec. 5, 59 Stat. 620, as amended, 22 U.S.C. 287c.)

Dated: December 17, 1979.

Stanley L. Sommerfield,

Director.

Approved:

Richard J. Davis,

Assistant Secretary.

[FR Doc. 79–38953 Filed 12–17–79; 12:02 am]

BILLING CODE 4810–25–M

Proposed Rules

Federal Register
Vol. 44, No. 244
Tuesday, December 18, 1979

This section of the FEDERAL REGISTER contains notices to the public of the proposed issuance of rules and regulations. The purpose of these notices is to give interested persons an opportunity to participate in the rule making prior to the adoption of the final rules.

DEPARTMENT OF AGRICULTURE

Office of the Secretary

7 CFR Part 20

Export Sales Reporting of Cattle Hides and Skins

AGENCY: Foreign Agricultural Service, USDA.

ACTION: Proposed rulemaking.

SUMMARY: This proposed rule would amend the export sales reporting regulations to provide for reporting of cattle hides and skins. The rule is proposed in order to provide for the collection of data with respect to export sales of animal hides and skins required by Section 7(g) of the Export Administration Act of 1979 (Pub. L. 96–72). This rule also proposes a generally applicable procedure for submission of monthly reports to be followed in the event such reporting is required in the future.

DATE: In order to be considered, written comments must be received on or before February 19, 1980.

ADDRESS: Mail all written comments to the Director, Export Sales Reporting Division, Foreign Agricultural Service, U.S. Department of Agriculture, Room 4919–South Building, Washington, D.C. 20250. All written comments made pursuant to this notice will be available for public inspection at the above address during business hours from 8:15 a.m. to 4:45 p.m., Monday through Friday.

FOR FURTHER INFORMATION CONTACT: Richard J. Finkbeiner, Director, Export Sales Reporting Division, FAS, Room 4919–South Agriculture Building, Washington, D.C. 20250, telephone (202) 447–5651.

SUPPLEMENTARY INFORMATION: Section 7(g) of the Export Administration Act of 1979 (Pub. L. 96–72) provides that the Secretary of Agriculture, by exercising the authorities which the Secretary has under other applicable provisions of law, shall collect data with respect to export sales of animal hides and skins. The legislative history of this section indicates that the intent of the Congress was to monitor only cattle hides and skins and that this be accomplished under the mandatory reporting requirements of Section 812 of the Agricultural Act of 1970, as amended. It is proposed that this provision of law be implemented by amending Appendix 1 of the export sales reporting regulations (7 CFR Part 20) to include specific hide and skin items as indicated herein. As a result, the current procedures and requirements of 7 CFR Part 20 would be fully applicable to these items.

Generally, weekly reporting and publication of data is required under § 812. However, Section 812 provides that the Secretary of Agriculture may require reporting on a monthly rather than weekly basis with respect to any commodity during any period in which he determines that there is a domestic supply of such commodity substantially in excess of the quantity needed to meet domestic requirements, and that total supplies of such commodity in the exporting countries are estimated to be in surplus, and that anticipated exports will not result in excessive drain on domestic supplies, and that to require the reports to be made will unduly hamper export sales.

Presently, no export sales are required to be reported monthly. It is felt that the regulations should be amended to encompass such reporting in the event it is required in the future. Comments are specifically requested as to the applicability of these provisions to the reporting of export sales of cattle hides and skins.

The Department is presently (through December 10, 1979) receiving public comment on a proposed rule to amend the regulations as part of an effort to provide a shorter period of time between the making of export sales transactions and the inclusion of such transactions in the compilation of export sales published by the Department. This proposed rule was published in the **Federal Register** on Tuesday, October 9, 1979 (44 FR 57931). Implementation of that rulemaking will not be delayed pending consideration of the present proposal. For the sake of convenience, paragraph references of this proposed rule are based on § 20.6(k)(2) as it would be revised by the proposed rule published at 44 FR 57931. Therefore, the numbering system is subject to change.

Proposed Rule

In consideration of the foregoing it is proposed to amend Part 20 of 7 CFR as follows:

1. Section 20.6(b) is amended by adding at the end thereof a new sentence to read as follows:

§ 20.6 Submission of reports.

* * * * *

(b) *Monthly reports.* * * * The forms specified in paragraph (a) of this section shall be utilized to furnish the information required to be reported monthly, and such information shall be filed in the manner and at the time required by § 20.6(k).

2. Section 20.6(k)(2) is amended by adding between the second and third sentence a new sentence as follows:

§ 20.6 Submission of reports.

* * * * *

(k) *Manner of and time of reporting.*

* * *

(2) *Time of filing reports.* * * *

Information required to be reported monthly must be received in the office specified in § 20.10 no later than 4:45 p.m., Washington, D.C. time the fourth business day following the end of the reporting month, or such other time as may be approved in advance by that office, setting forth the required information as to export sales transactions made during the reporting month ending midnight the last day of such month.

3. Section 20.7 is amended by adding a sentence at the end thereof to read as follows:

§ 20.7 Confidentiality of reports.

* * * Information from monthly reports filed by exporters will be compiled and published in compilation form in the weekly report no later than the week following the time of filing specified in § 20.6(k).

4. Appendix 1 is amended to add the following under the indicated column headings:

Appendix 1.—*Commodities Subject to Reports, Units of Measure To Be Used in Reporting, and Beginning and Ending Dates of Marketing Years*

* * * * * * *

Commodity to be reported	Unit of measure to be used in reporting	Beginning of marketing year	End of marketing year
Cattle hides and skins—whole cattle hides	Pieces	January 1	December 31.
Cattle hides and skins—whole calf skins	Pieces	January 1	December 31.
Cattle hides and skins—whole kip skins	Pieces	January 1	December 31.
Cattle hides and skins—cut into croupons, crops, dossets, sides, butts, or butt bends.	Pieces	January 1	December 31.
Cattle hides and skins—other	Pounds	January 1	December 31.

(Sec. 812, Public Law 91–524, as added by Pub. L. 93–86, Sec. 1(27)(B), 87 Stat. 238 (7 U.S.C. 612c–3); sec. 7(g), Pub. L. 96–72, 93 Stat. 519 (50 U.S.C. app. 2406(g))

Note.—This proposal has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Draft Impact Analysis has been prepared and is available from the Director, Export Sales Reporting Division, FAS, Room 4919—South Agriculture Building, Washington, D.C. 20250.

Issued at Washington, D.C., this 13th day of December 1979.

Thomas R. Hughes,
Administrator, Foreign Agriculture Service.

[FR Doc. 79–38750 Filed 12–17–79; 8:45 am]

BILLING CODE 3410–10–M

Agricultural Stabilization and Conservation Service

7 CFR Part 724

Proposed Determinations of Marketing Quotas for the 1979–80, 1980–81 and 1981–82 Marketing Years for Fire-Cured (Type 21), Fire-Cured (Types 22–24), Dark Air Cured (Types 35–36), Virginia Sun Cured (Type 37), Cigar-Binder (Types 51 & 52), and Cigar Filler and Binder (Types 42–44; 53–55) Tobaccos

AGENCY: Agricultural Stabilization and Conservation Service, USDA.

ACTION: Proposed rule.

SUMMARY: The Secretary of Agriculture is preparing to determine and announce national marketing quotas for Fire-cured, Dark air-cured, Virginia sun-cured, Cigar-binder, and Cigar-filler and binder kinds of tobacco for the 1980–81 marketing year. The quotas must be announced by February 1, 1980, in compliance with the Agricultural Adjustment Act of 1938. Interested persons are invited to submit written comments, views and recommendations concerning the proclamation and announcement of quotas, the referendum to be held, and other related matters.

DATES: Written comments must be received by January 18, 1980 in order to be sure of consideration.

ADDRESSES: Send comments to the Director, Price Support and Loan Division, ASCS, U.S. Department of Agriculture, P.O. Box 2415, Washington, D.C. 20013. All written submissions made pursuant to the notice will be made available for public inspection from 8:15 a.m. to 4:45 p.m., Monday through Friday, in Room 3741—South Building, 14th and Independence Avenue, S.W., Washington, D.C.

FOR FURTHER INFORMATION CONTACT: Robert L. Tarczy, ASCS, (202) 447–6733.

SUPPLEMENTARY INFORMATION: The Agricultural Adjustment Act of 1938, as amended, (hereinafter referred to as the "Act"), requires the Secretary (1) with respect to Virginia Sun-Cured (type 37) tobacco, to proclaim national marketing quotas for the 1979–80, 1980–81, and 1981–82 marketing years and to conduct, within 30 days after proclamation of such national marketing quotas, referendums of farmers engaged in the 1979 production of such respective kinds of tobacco to determine whether they favor or oppose markeing quotas for such years; and (2) with respect to fire-cured (type 21), fire-cured (types 22–24), dark air-cured, Virginia sun-cured, cigar-binder (types 51 & 52), and cigar filler and binder (types 42–44 & 53–55) tobacco, to determine and announce the amounts of the national marketing quotas for each of such kinds of tobacco for the 1980–81 marketing year; to convert such marketing quotas into national acreage allotments and announce the allotments; to apportion such allotments, less reserves of not to exceed 1 per centum of each respectively, through the local county ASCS committees among old farms; and to apportion the reserves for use in (a) establishing acreage allotments for new farms and (b) making corrections and adjusting inequities in old farm allotments.

Section 312(a) of the Act (7 U.S.C. 1312(a)) requires the Secretary to proclaim marketing quotas, not later than February 1, 1980, for Virginia Sun-Cured (type 37) tobacco for the three marketing years beginning October 1, 1980, because the 1979–80 marketing years is the last year of the three consecutive years for which marketing quotas previously proclaimed will be in effect for these kinds of tobacco.

Quotas were previously proclaimed, referendums conducted, and quotas approved by growers as follows: Fire-cured and dark air-cured tobacco for the 1979–80, 1980–81, and 1981–82 marketing years (44 FR 7109); Virginia sun-cured tobacco for the 1977–78, 1978–79 and 1979–80 marketing years (42 FR 6819); and Cigar binder tobacco (types 51 & 52) and cigar-filler and binder tobacco (types 42–44 & 53–55) for the 1978–79, 1979–80, 1980–81 marketing years (43 FR 16410).

Section 301(b)(15) of the Act (7 U.S.C. 1301(b)(15)) defines "tobacco" as each one of the kinds of tabacco listed below comprising the types specified as classified in Service and Regulatory Announcement Number 118 (Part 30 of this title) of the former Bureau of Agricultural Economics of the Department:

Flue-cured tobacco, comprising types 11, 12, 13, & 14;
Fire-cured tobacco, comprising type 21;
Fire-cured tobacco, comprising types 22, 23, & 24;
Dark air-cured tobacco, comprising types 35 & 36;
Virginia sun-cured tobacco, comprising type 37;
Burley tobacco, comprising type 31;
Maryland tobacco, comprising type 32;
Cigar filler and cigar binder tobacco, comprising types 42, 43, 44, 45, 46, 51, 52, 53, 54, & 55; and
Cigar filler tobacco, comprising type 41.

Section 301(b)(15) also provides that any one or more of the types comprising any such kind of tobacco shall be treated as a "kind of tobacco" for the purposes of the Act if the Secretary finds that there is a difference in supply and demand conditions as among such types of tobacco which results in a

difference in the adjustments needed in the marketings thereof in order to maintain supplies in line with demand. Pursuant to this authority, the Secretary has determined (15 FR 8214) that type 46 tobacco shall be treated as a separate kind of tobacco for purposes of marketing quotas and price supports. Pursuant to such authority, the Secretary has also determined (22 FR 367) that cigar-binder (types 51 and 52) tobacco, beginning with the 1957–58 marketing year, shall be treated as a separate kind of tobacco for purposes of marketing quotas and price supports. Type 45 tobacco is no longer grown. No further action under this section is comtemplated at this time.

Section 312(b) of the Act (7 U.S.C. 1312(b)) provides that the Secretary shall determine and announce, not later than the first day of February 1980 with respect to kinds of tobacco other than flue-cured tobacco, the amount of the national marketing quota which will be in effect for the 1980–81 marketing year in terms of the total quantity of tobacco which may be marketed which will make available during such marketing year a supply of each kind of tobacco equal to the reserve supply level. Section 312(b) of the Act provides further that the amount of the 1980–81 national marketing quota so announced may, not later than March 1, 1979, be increased by not more than 20 per centum if the Secretary determines that such increases is necessary in order to meet market demands or to avoid undue restrictions of marketings in adjusting the total supply to the reserve supply level.

Section 301(b) of the Act (7 U.S.C. 1301(b)) defines the "total supply" of any kind of tobacco (except type 46) for any marketing year as the carry-over at the beginning of the marketing year (or on January 1 of such marketing year in the case of Maryland tobacco) plus the estimated production in the United States during the calendar year in which such marketing begins. "Reserve supply level" is defined as the normal supply plus 5 per centum thereof. "Normal supply" is defined as a normal year's domestic consumption and exports, plus 175 per centum of a normal year's domestic consumption and 65 per centum of a normal year's exports. A "normal year's domestic consumption" is defined as the yearly average quantity of tobacco produced in the United States and consumed in the United States during the 10 marketing years immediately preceding the marketing year in which such consumption is determined, adjusted for current trends in such consumption.

A "normal year's" exports is defined as the yearly average quantity of tobacco produced in the United States which was exported from the United States during the 10 marketing years immediately preceding the marketing year in which such exports are determined, adjusted for current trends in such exports.

Section 312(c) of the Act (7 U.S.C. 1312(c)) requires that within 30 days after a national marketing quota is proclaimed under § 312(a) of the Act for a kind of tobacco, the Secretary shall conduct a referendum of farmers engaged in the production of the crop of such kinds of tobacco harvested immediately prior to the holding of the referendum to determine whether such farmers are in favor of or opposed to quotas for the next three succeeding marketing years. If more than one-third of the farmers voting in a referendum for a kind of tobacco oppose the quotas, such results shall be proclaimed by the Secretary and the national marketing quotas so proclaimed shall not be in effect, but such results shall in no way affect or limit the subsequent proclamation and submission to a referendum, as otherwise provided in § 312, of a national marketing quota.

Section 313(g) of the Act (7 U.S.C. 1313(g)) authorizes the Secretary to convert the national marketing quota into a national acreage allotment on the basis of the national average yield for the five years immediately preceding the year in which the national marketing quota is proclaimed and to apportion the national acreage allotment (less a reserve of not to exceed 1 per centum thereof for new farms and for making corrections and adjusting inequities in old farm allotments) among old farms.

Proposed Rule

The Secretary is preparing to determine and announce for the 1980–81 marketing year for the minor kinds of tobacco:

1. The amount of the reserve supply level for fire-cured (type 21), fire-cured (types 22–24), dark air-cured, Virginia sun-cured, cigar binder (types 51 & 52) and cigar filler and binder (types 42–44 & 53–55) tobaccos.

2. The amount of the national marketing quota for each of these kinds of tobacco for the 1980–81 marketing year.

3. The national factors for apportioning national acreage allotments to old farms.

4. The amounts of the national acreage allotments to be reserved for new farms and for making corrections and adjusting inequities in old farm allotments.

5. The date or period of the referendum on quotas for the 1980–81, 1981–82, and 1982–83 marketing year for Virginia Sun-Cured (type 37) tobacco, and whether the referendum should be conducted at polling places rather than by mail ballot (31 FR 12011).

Note.—This proposal has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations". A determination has been made that this action should not be classified "significant" under those criteria. This action is being proposed without a full 60-day comment period as specified in Executive Order 12044 and Secretary's Memorandum No. 1955 because of the statutory deadlines which require that the determinations in question be announced no later than February 1, 1980. A draft impact analysis has been prepared and is available form Robert L. Tarczy, Price Support and Loan Division, Room 3741-South Building, P.O. Box 2415, Washington, D.C. 20013.

Signed at Washington, D.C. on: December 13, 1979.

Ray Fitzgerald,

Administrator, Agricultural Stabilization and Conservation Service.

[FR Doc. 79-38790 Filed 12-17-79; 8:45 am]

BILLING CODE 3410-05-M

DEPARTMENT OF ENERGY

10 CFR 477

[CAS-RM-79-507]

Standby Federal Conservation Plan; Extension of Comment Period

AGENCY: Department of Energy.

ACTION: Notice of extension of comment period.

SUMMARY: As required by the Emergency Energy Conservation Act of 1979 (the Act), the Department of Energy (DOE) is developing a standby Federal conservation plan. With this notice, DOE extends the period for submitting comments on the types of measure which should, or should not, be included in the standby Federal conservation plan, the rationale for such measures, and the level of shortage (i.e. mild or acute) at which those measures should be implemented.

DATE: Comments now must be received by December 27, 1979.

ADDRESS: Send comments to Ms. Carol Snipes, Hearings and Dockets, Conservation and Solar Energy, Department of Energy, 20 Massachusetts Avenue, N.W., Mail Stop 2221C, Washington, D.C. 20585, telephone (202) 376–1651.

FOR FURTHER INFORMATION CONTACT:

Henry G. Bartholomew or Lorn Harvey, Conservation and Solar Energy, Department of Energy, 1000 Independence Avenue SW., Room GE-004A, Washington, D.C. 20585, (202) 252–4066.

Lewis W. Shollenberger, Jr. or Christopher T. Smith, Office of General Counsel, Department of Energy, Mail Stop 2221C, Room 3228, 20 Massachusetts Avenue NW., Washington, D.C. 20585, (202) 376–0297.

SUPPLEMENTARY INFORMATION: DOE established the original comment period in a Notice of Inquiry which was published in the Federal Register on December 7, 1979, at page 70692. After consultation with some potential respondents, DOE has concluded that the comment period should be extended until December 27, 1979, to allow interested persons more time to prepare and submit comments.

In the original Federal Register notice, DOE indicated that the standby Federal conservation plan would be codified at 10 CFR Part 576. DOE has decided that this plan should be located in the series which is dedicated to general conservation measures. Accordingly the plan will be codified at 10 CFR Part 477.

Emergency Energy Conservation Act of 1979, Pub. L. 96–102; Department of Energy Organization Act, Pub. L. 95–91.

Issued in Washington, D.C. December 14, 1979.

Maxine Savitz,

Acting Assistant Secretary, Conservation and Solar Energy.

[FR Doc. 79-38835 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

FEDERAL TRADE COMMISSION

16 CFR Part 13

[File No. 761 0081]

Eli Lilly & Co.; Consent Agreement and Analysis To Aid Public Comment; Extension of Time

AGENCY: Federal Trade Commission.

ACTION: Comment period extended for thirty days.

SUMMARY: The period of time for filing comments on the consent agreement has been extended. The agreement, entered into by the Commission and Eli Lilly & Co., concerns anticompetitive practices in the U.S. finished insulin industry.

DATES: Comments will be accepted until January 17, 1980.

ADDRESSES: Comments should be directed to: Office of the Secretary, Federal Trade Commission, 6th St., and Pennsylvania Ave., NW., Washington, D.C. 20580.

FOR FURTHER INFORMATION CONTACT:

Paul W. Turley, Director, Chicago Regional Office, Federal Trade Commission, 55 East Monroe St., Suite 1437, Chicago, Illinois 60603. 312–353–4423.

SUPPLEMENTARY INFORMATION: A consent agreement and analysis to aid public comment were published in the Federal Register on September 21, 1979, 44 FR 54726. The Commission has received a request for an extension of time within which to file comments.

The extension is for the purpose of commenting on the differences in treatment of foreign and domestic companies with regard to licensing of existing and future technology. Accordingly, notice is hereby given that the Commission has extended the comment period for thirty days after the Notice to the Federal Register is published (January 17, 1980).

By direction of the Commission, dated December 7, 1979.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38770 Filed 12-17-79; 8:45 am]

BILLING CODE 6750-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

21 CFR Parts 182, 184

[Docket No. 78N-0272]

Phosphates; Proposed Affirmation of and Deletion From GRAS Status as Direct and Human Food Ingredients

AGENCY: Food and Drug Administration.

ACTION: Proposed rule.

SUMMARY: This proposal affirms the generally recognized as safe (GRAS) status of calcium phosphate (mono-, di-, and tribasic), calcium pyrophosphate, phosphoric acid, potassium phosphate (mono-, di-, and tribasic), potassium tripolyphosphate, sodium acid pyrophosphate, sodium hexametaphosphate, sodium phosphate (mono-, di-, and tribasic), tetrapotassium pyrophosphate, tetrasodium pyrophosphate, and sodium tripolyphosphate as direct and indirect human food ingredients. In addition, it is proposed that calcium hexametaphosphate and potassium polymetaphosphate be deleted from the GRAS list as direct human food ingredients.

DATE: Comments by February 19, 1980.

ADDRESS: Written comments to the Hearing Clerk (HFA–305), Food and Drug Administration, Rm. 4–65, 5600 Fishers Lane, Rockville, MD 20857.

FOR FURTHER INFORMATION CONTRACT:

Corbin I. Miles, Bureau of Foods (HFF–335), Food and Drug Administration, Department of Health, Education, and Welfare, 200 C St. SW., Washington, DC 20204, 202–472–4750.

SUPPLEMENTARY INFORMATION: The Food and Drug Administration (FDA) is conducting a comprehensive safety review of direct and indirect human food ingredients classified as GRAS or subject to a prior sanction. The agency has issued several notices and proposed regulations in the Federal Register of July 26, 1973 (38 FR 20040), initiating this review. Under this review, the safety of calcium hexametaphosphate, calcium phosphate (mono-, di-, and tribasic), calcium pyrophosphate, phosphoric acid, potassium phosphate (mono-, di-, and tribasic), potassium polymetaphosphate, tetrapotassium pyrophosphate, potassium tripolyphosphate, sodium acid pyrophosphate, sodium phosphate (mono-, di-, and tribasic), tetrasodium pyrophosphate, sodium tripolyphosphate, and sodium hexametaphosphate has been evaluated. In accordance with § 170.35 (21 CFR 170.35), the agency proposes to affirm the GRAS status of these ingredients, with the exception of calcium hexametaphosphate and potassium polymetaphosphate.

Ammonium phosphate (mono- and dibasic), ferric phosphate, ferric pyrophosphate, magnesium phosphate, ferric sodium phosphate, sodium aluminim phosphate, copper phosphate, copper pyrophosphate, and manganese phosphate are not covered by this proposal, but will be covered in other proposals on the appropriate cations. Additionally, the various glycerophosphates are not covered by this proposal, but will be covered in the proposal on the glycerophosphates.

The phosphate ion plays a vital role in the synthesis of compounds essential to life. Phosphorus, as the phosphate ion, is found in various types of nucleic acids vital to genetic reproduction and to restoration of injured tissues. This anion is an essential and active component of many enzyme systems. Phosphate is also involved in the synthesis and metabolism of carbohydrates, fats, and proteins, and in the formation and structure of such tissues as brain, muscle, and skeleton.

No living organism is capable of synthesizing the phosphate ion; therefore, it must be absorbed through the food supply. All organic forms of phosphorus naturally occurring in the body can be synthesized from the orthophosphates in food. The orthophosphates contain one phosphate

moiety: one phosphorus atom surrounded by four oxygen atoms. The anion, PO_4^{-3}, is tribasic, and its three valences can be satisfied by hydrogen, metal ions, or a combination of the two. Phosphoric acid, also known as orthophosphoric acid, is prepared by burning elemental yellow (white) phosphorus to form the oxide (P_4O_{10}). The hot oxide vapors are hydrated and cooled by adding water. The resulting liquid and mist are collected, further cooled, and treated with hydrogen sulfide to remove impurities. After filtration, the liquid is diluted to 75 or 85 percent phosphoric acid. Phosphoric acid is used in the commercial production of polyphosphates, metaphosphates, and other orthophosphates.

The pyrophosphates and straight-chain polyphosphates are groups of compounds having two or more phosphorus atoms joined by an oxygen bridge. The pyrophosphates have one phosphorus to oxygen to phosphorus linkage (pyrophosphate anion). Sodium pyrophosphate is prepared by heating disodium phosphate at temperatures above 400° C, but below its melting point of 880° C. Polyphosphates have one or more additional orthophosphate units attached to the pyrophosphate anion. Sodium tripolyphosphate is prepared by heating an intimate mixture of mono- and disodium or orthophosphates.

Cyclic polyphosphates also exist but there is no evidence, except for sodium trimetaphosphate, that they are used in foods. Section 172.892 (21 CFR 172.892) of the regulations permits the use of sodium trimetaphosphate in the modification of starch, provided the residual phosphate, calculated as phosphorus, does not exceed 0.04 percent.

The following substances are listed in Part 182, Subpart B, as GRAS for use as multiple purpose food substances under regulations published in the **Federal Register** of November 20, 1959 (24 FR 9368): calcium phosphate, tribasic (§ 182.1217 (21 CFR 182.1217)); phosphoric acid (§ 182.1073 (21 CFR 182.1073)); and sodium tripolyphosphate (§ 182.1810 (21 CFR 182.1810)). Calcium phosphate (mono- and dibasic) (§ 182.1217 (21 CFR 182.1217)); sodium acid pyrophosphate (§ 182.1087 (21 CFR 182.1087)), and sodium phosphate (mono-, di-, and tribasic) (§ 182.1778 (21 CFR 182.1778)) are also listed under this category, under the regulations published in the **Federal Register** of January 31, 1961 (26 FR 938). Also, calcium pyrophosphate was judged to be GRAS by an opinion letter for use in food under this category.

The following substances are listed in Part 182, Subpart F, as GRAS for use as nutrients and/or dietary supplements under the regulations published in the **Federal Register** of November 20, 1959 (24 FR 9368): calcium phosphate (mono-, di-, and tribasic) (§ 182.5217 (21 CFR 182.5217)), and sodium phosphate (mono-, di-, and tribasic) (§ 182.5778 (21 CFR 182.5778)). Calcium pyrophosphate (§ 182.5223 (21 CFR 182.5223)) is also listed as GRAS for the above use under the regulations published in the **Federal Register** of January 31, 1961 (26 FR 938).

The following substances are listed in Part 182, Subpart G, as GRAS for use as sequestrants under the regulations published in the **Federal Register** of November 20, 1959 (24 FR 9368): calcium hexametaphosphate (§ 182.6203 (21 CFR 182.6203)), dipotassium phosphate (§ 182.6285 (21 CFR 182.6285)), disodium phosphate (§ 182.6290 (21 CFR 182.6290)), sodium acid phosphate (§ 182.6085 (21 CFR 182.6085)), sodium hexametaphosphate (§ 182.6760 (21 CFR 182.6760)), sodium metaphosphate (§ 182.6769 (21 CFR 182.6769)), sodium phosphate (mono-, di-, and tribasic) (§ 182.6778 (21 CFR 182.6778)), sodium pyrophosphate (§ 182.6787 (21 CFR 182.6787)), tetrasodium pyrophosphate (§ 182.6789 (21 CFR 182.6789)), and sodium tripolyphosphate (§ 182.6810 (21 CFR 182.6810)). Calcium phosphate, monobasic (§ 182.6215 (21 CFR 182.6215)) is also listed in this section for use as a sequestrant under the regulations published in the **Federal Register** of January 31, 1961 (26 FR 938). Also, an opinion letter was issued that indicated that potassium phosphate (mono- and tribasic) and tetrapotassium pyrophosphate were GRAS for use in food as sequestrants.

Tetrasodium pyrophosphate and sodium tripolyphosphate are listed in Part 182, Subpart A, in § 182.70 (21 CFR 182.70) as GRAS under the regulations published in the **Federal Register** of June 10, 1961 (26 FR 5224) as substances migrating to food from cotton and cotton fabric food-packaging materials. Sodium tripolyphosphate and sodium hexametaphosphate are listed in § 182.90 (21 CFR 182.90) as GRAS under the regulations published in the **Federal Register** of June 17, 1961 (26 FR 5421) as substances migrating to food from paper and paperboard food-packaging materials. In addition, an opinion letter was issued that indicated that sodium phosphate (di- and tribasic), sodium hexametaphosphate, sodium pyrophosphate, and sodium tripolyphosphate are also considered GRAS for use in paper and paperboard used for food packaging.

Several of the phosphates are also permitted for use in foods for which definitions and standards of identity have been established, including: (1) phosphates in frozen "heat and serve" dinners (§ 104.47 (21 CFR 104.47)); (2) phosphorus in special diets (§ 105.85 (21 CFR 105.85)); (3) dipotassium phosphate, phosphoric acid, sodium acid pyrophosphate, sodium hexametaphosphate, sodium phosphate (mono-, di-, and tribasic), and tetrasodium pyrophosphate in cheeses (Part 133 (21 CFR Part 133)); (4) phosphoric acid in frozen desserts (§§ 135.20, 135.30, 135.70, and 135.90 (21 CFR 135.20, 21 CFR 135.30, 21 CFR 135.70, 21 CFR 135.90)); (5) disodium phosphate, sodium hexametaphosphate, and tetrasodium pyrophosphate in ice cream (§ 135.30 (21 CFR 135.30)); (6) monocalcium phosphate in bakery products (§ 136.110 (21 CFR 136.110)); (7) calcium phosphate (mono-, di-, and tribasic), disodium phosphate, and sodium acid pyrophosphate in cereal flours and related products (§§ 137.105, 137.165, 137.175, 137.180, 137.185, and 137.305 (21 CFR 137.105, 21 CFR 137.165, 21 CFR 137.175, 21 CFR 137.180, 21 CFR 137.185, and 21 CFR 137.305)); (8) disodium phosphate in macaroni products (§ 139.110 (21 CFR 139.110)); (9) monocalcium phosphate, sodium hexametaphosphate, and sodium phosphate (mono-, di-, and tribasic) in artifically sweetened fruit jelly and fruit preserves and jams (§§ 139.141 and 150.161 (21 CFR 139.141 and 21 CFR 150.161)); (10) monocalcium phosphate in canned vegetables (§§ 155.190(a) and 155.200 (21 CFR 155.190(a) and 21 CFR 155.200)); (11) monopotassium phosphate and monosodium phosphate in frozen eggs (§ 160.110 (21 CFR 160.110)); (12) sodium acid pyrophosphate in canned tuna (§ 160.190(a) (21 CFR 160.190(a))); and (13) sodium hexametaphosphate in French dressing (§ 169.115 (21 CFR 169.115)).

Numerous specific food uses of the phosphates have been approved by issuance of the following regulations: (1) in § 73.85 (21 CFR 73.85), phosphoric acid, potassium phosphate (mono- and dibasic), and sodium phosphate (mono- and dibasic) in the production of caramel; (2) in § 74.302 (21 CFR 74.302), sodium tripolyphosphate as a diluent for an aqueous suspension of Citrus Red No. 2; (3) in § 172.892 (21 CFR 172.892), monosodium orthophosphate, sodium trimetaphosphate, and sodium tripolyphosphate in starch modification; (4) in § 173.310 (21 CFR 173.310), potassium tripolyphosphate, sodium hexametaphosphate, sodium phosphate (mono-, di-, and tribasic), sodium tripolyphosphate, and tetrasodium pyrophosphate as boiler water additives; (5) in § 175.105 (21 CFR 175.105), potassium phosphate (mono-, di-, and tribasic) and potassium tripolyphosphate as components of adhesives; (6) in § 175.210 (21 CFR 173.210), disodium hydrogen phosphate and tetrasodium pyrophosphate as components of acrylate ester copolymer coatings; (7) in § 175.300 (21 CFR 175.300), calcium phosphate (mono-, di-, and tribasic), disodium hydrogen phosphate, phosphoric acid, sodium pyrophosphate, and tetrasodium pyrophosphate as components of resinous and polymeric coatings; (8) in § 177.2260 (21 CFR 177.2260), phosphoric acid as a component of filters, resin-bonded; (9) in § 178.3520 (21 CFR 178.3520), phosphoric acid as a modifier of industrial starch-modified; (10 in § 181.29 (21 CFR 181.29), calcium hydrogen phosphate, calcium phosphate, disodium hydrogen phosphate, sodium pyrophosphate, and sodium tetrapyrophosphate as substances used in the manufacture of food-packaging materials; (11) in § 240.1051 (27 CFR 240.1051), phosphates as yeast food in distilling material and wine products; and (12) in § 318.7 (9 CFR 318.7), potassium pyrophosphate, sodium acid pyrophosphate, sodium hexametaphosphate, sodium phosphate (mono-, di-, and tribasic), sodium pyrophosphate, sodium tripolyphosphate, tricalcium phosphate, and phosphoric acid for use in the preparation of meat products. Additionally, FDA records indicate that dipotassium phosphate and tripotassium phosphate can be substituted for the corresponding sodium compounds currently identified in § 173.310.

A representative cross-section of food manufacturers was surveyed to determine the specific foods in which phosphate compounds were used and the levels of usage. Information from surveys of consumer consumption was obtained and combined with the manufacturing information to obtain an estimate of consumer exposure to these substances. The amounts of the various phosphates reported used in 1970 were as follows: calcium phosphate (mono-, di-, and tribasic), 84 million pounds; phosphoric acid, 17 million pounds; potassium phosphate (mono-, di-, and tribasic), 5 million pounds; sodium phosphate (mono, di-, and tribasic), 31 million pounds; sodium metaphosphate, 4 million pounds; sodium tripolyphosphate, 31 million pounds; potassium tripolyphosphate, 4,000 pounds; sodium acid pyrophosphate, 35 million pounds; and sodium pyrophosphate, 4 million pounds. No reports were received on the amounts of calcium hexametaphosphate, calcium pyrophosphate, potassium pyrophosphate, and sodium hexametaphosphate used in food.

Phosphate compounds have also been the subject of a search of the scientific literature from 1920 to the present. The criteria used in the search were chosen to discover any articles that considered (1) chemical toxicity, (2) occupational hazards, (3) metabolism, (4) reaction products, (5) degradation products, (6) any reported carcinogenicity, teratogenicity, or mutagenicity, (7) dose response, (8) reproductive effects, (9) histology, (10) embryology, (11) behavioral effects, (12) detection, and (13) processing. A total of 1,015 abstracts were reviewed and 83 particularly pertinent reports have been summarized in a scientific literature review.

The scientific literature review shows, among other studies, the following information as summarized in the report of the Select Committee on GRAS Substances (hereinafter referred to as the Select Committee), selected by the Life Sciences Research Office of the Federation of American Societies for Experimental Biology (FASEB):

The Select Committee has found many reports of experiments involving phosphate administration by routes other than by mouth. With rare exceptions, only the literature concerning oral administration is relevant here. Many of these reports concern the sodium salts. Should the total dietary load of the cation contributed by any of these phosphate compounds become a matter of concern, it will need to be considered separately. However, the Select Committee feels it is improbable that the effects of the ammonium and potassium moieties of the salts, in the amounts used in foods, would be significantly different from the sodium salts and has no reports that indicate otherwise.

Because the calcium:phosphorus ratios of the calcium orthophosphates under consideration are physiologically favorable, the effects of such compounds, unless otherwise noted, are essentially alike and determined in large part by the total amount ingested. Although the importance of the ratio of calcium to phosphorus in the diet, under various circumstances, has been recognized more than 50 years, the interrelationships of these nutrients with several other components of the diet have not been so commonly recognized. Such components include vitamin D, phytic acid, oxalic acid, zinc, magnesium, iron, manganese and protein.

It is well recognized that the requirements for vitamin D, calcium, and phosphorus are mutually dependent. The amount of vitamin D required is minimal as an optimum is approached in the amount and ratio of calcium and phosphorus in the diet. Newer knowledge has greatly extended the understanding of calcium and phosphorus absorption and the role of the liver, kidney, intestines, and parathyroid gland in the complex metabolic patterns of vitamin D.

Much of the dietary phosphorus is absorbed from the small intestine as free orthophosphate. Among the majority of adults in the United States approximately 30 percent of the ingested phosphate is excreted in the feces and 70 percent in the urine. Many factors involved in phosphate retention and the control of serum phosphate levels remain to be more fully characterized. Some of these factors, including a phosphorus-specific transport system in the intestine, various aspects of calcium metabolism and vitamin D metabolites have been reviewed recently. The operation of some type of regulatory process was demonstrated early in rats on diets extremely deficient in phosphorus; their urine contained only a trace of phosphate. Hypophosphatemia stimulates 1,25-dihydroxyvitamin D_3 synthesis which produces elevation of serum phosphate levels even in rats on a low phosphorus diet. This vitamin D metabolite also stimulates calcium absorption from the gut. Parathyroid hormone, secreted in response to hypocalcemia, effects inhibition of tubular reabsorption of phosphate by the kidneys which limits serum phosphate elevation, and in conjunction with 1,25-dihydroxyvitamin D_3, it causes resorption (demineralization) of bone.

The extent and rate of absorption of phosphorus from polyphosphates are dependent on their hydrolysis to orthophosphate. In young rats, no difference was detected in the uptake of phosphorus-32 6 hours after oral administration of [^{32}P] orthophosphate (Na_2HPO_4, 110 mg P per kg body weight)and [^{32}P] pyrophosphate ($Na_4P_2O_7$, 165 mg P per kg body weight) by gavage. However, the rate of uptake of label from sodium [^{32}P] hexametaphosphate (177 mg P per kg body weight) was lower and more of the label remained in the gut lumen for fecal excretion. All of the excreted phosphate (80 percent in urine and 20 percent in feces) from rats fed 5 percent pyrophosphate in the diet was identified as orthophosphate.

In an earlier study, significant amounts of orthophosphate and only a trace of "labile" phosphate were recovered in the urine of rats and rabbits given calcium or sodium hexametaphosphate and tripolyphosphate by stomach tube. Evidence for the hydrolysis of cyclic oligomers in the alimentary tract was provided by the same laboratory. Two fasted male rats were given sodium trimetaphosphate orally (estimated dose, 46 to 100 mg P per kg body weight). Urinary excretion accounted for 40 percent of the dose, 2 percent was "labile" phosphate and 38 percent was orthophosphate. In a similar experiment 22 percent of a sodium tetraphosphate dose was recovered as 4 percent labile phosphate and 18 percent orthophosphate. After parenteral doses of the cyclic phosphates to rats and rabbits, the compounds were recovered largely intact in the urine, thus indicating that the alimentary tract is important in the hydrolysis of

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administration of sodium pyrophosphate, tripolyphosphate, and polyphosphate (P_2O_5 equal to 64 percent) to rats, only orthophosphate is absorbed.

The consequences of massive ingestion of phosphoric acid salts (other than calcium phosphates) and readily utilizable esters are acidosis and hypocalcemia. The amounts of these compounds needed to produce death in animals after acute oral administration are very large and relative acute toxicities often are estimated from data obtained after injection.

The minimum lethal oral dose of monobasic sodium phosphate for the guinea pig is greater than 2 g per kg body weight and the LD_{50} of sodium pyrophosphate per os in rats was estimated as greater than 4 g per kg body weight. No abnormalities were revealed by autopsy after oral administration of 1600 mg sodium pyrophosphate per kg per day for 10 days. However, in the same report the median LD_{50} of sodium pyrophosphate after intraperitoneal injection was calculated to be 233 mg per kg.

As estimated from the intraperitoneal LD_{50}, the toxicity of the sodium salts in decreasing order is pyrophosphate (59 mg P per kg), tripolyphosphate (135 mg P per kg), hexametaphosphate (192 mg P per kg), orthophosphate (328 mg P per kg), tetrametaphosphate (741 mg P per kg), and trimetaphosphate (1130 mg P per kg) for the rat. The toxicity of sodium hexametaphosphate was manifest by immediate behavioral agitation even at sublethal doses (100 mg P per kg) with subsequent weight loss. No signs of pain or anorexia were obvious after similar doses of calcium hexametaphosphates. The 24-hour LD_{50} of calcium hexametaphosphate was three times larger than that of the sodium.

Many reports of short-term experiments designed to determine the effects of the addition of orthophosphates and polyphosphates to the diets of laboratory animals, usually the rat, have been reviewed and evaluated. The significant factors are the total intake of phosphate, calcium and vitamin D, and the acid-base balance of the food mixture as a whole. One of the sensitive criteria for the effect of phosphate overdosage is the occurrence of metastatic calcification in the kidney, stomach, and aorta. Also, resorption of bone is characteristic. The pathology of calcification and necrosis of the tubular epithelium in the kidneys of rats has been reported in detail. The borderline is indistinct between those levels of dietary phosphate that produce definite nephrocalcinosis and those that cause early indications of such changes. Even on diets moderately low in phosphate, 1 percent of sodium pyrophosphate (about 1 g P per kg body weight), some rats in seemingly healthy condition may have some areas of renal damage after 100 days. After 44 days on a diet with approximately 1 percent added phosphorus (1 g P per kg), as phosphoric acid, sodium orthophosphates, or potassium orthophosphates, 70-day-old female rats had enlarged kidneys with permanent histological lesions. Slight renal calcification was observed in rats fed a basal diet (Sherman, phosphate, sodium pyrophosphate, or sodium polyphosphate (approximately 1 g P per kg body weight); however, renal calcification also was found in some of the controls.

In one extensive study, the no-effect level of the four condensed phosphates (hexametaphosphate, tripolyphosphate, and cyclic trimetra- and tetrametaphosphates) when added to a laboratory ration for rats over a period of one month was at least 2 percent in all cases. In weanling rats, growth impairment occurred in all groups receiving 10 percent supplements. Renal tubular necrosis (phosphate nephritis) was excessive in animals receiving the hexametaphosphate and prominent in those receiving the cyclic phosphates at 10 percent (about 2.5 g P per kg).

In another study four groups of rats, including 20 males and 20 females each, were fed 1.0, 2.5, or 5.0 percent sodium pyrophosphate or 5.0 percent disodium hydrogen phosphate in the diet for 16 weeks. A control group was fed a basal diet which supplied 0.6 precent calcium and 0.5 percent phosphorus. In both groups receiving 5 percent of added phosphate (approximately 1.6 percent phosphorus) there was no difference between those receiving pyrophosphate and those getting orthophosphate concerning the proportion of phosphate excreted in the urine and feces. It was approximately 75 to 80 percent and 15 percent, respectively, and all of the phosphate was orthophosphate. In the kidneys, medullary calcification and necrosis, chronic inflammation and tubular casts were chiefly found at the 2.5 to 5.0 percent pyrophosphate and 5 percent orthophosphate levels. Exudate, hemorrage and other evidence of renal damage were characteristically equivalent at all levels for the pyrophosphate (1 percent pyrophosphate added is approximately 1.5 g P per kg) and orthophosphate supplements. The kidney weights were significantly increased in the groups receiving 5 percent of pyrophosphate and in the group getting 5 percent orthophosphate. The authors have postulated that if there is validity in the transference of such laboratory data to humans, and if a reasonable margin of safety is 100X, then the limit of daily intake for an adult 70 kg man should be 420 mg of added pyrophosphate, 98 mg P, in a diet supplying 220 mg P from other utilizable phosphates. However, for phosphate a margin of safety of 100X is unreasonably high. For example, based on a sound analysis of the present knowledge, the Recommended Dietary Allowance for phosphorus for adults is 800 mg per day.

An 8 percent supplement of sodium metaphosphate or orthophosphate in the diet of rats for seven months, or until the animals died, caused gradual bone decalcification with metastatic calcium deposits, significant hypertrophy and hyperplasia of the parathyroids, inorganic phosphaturia and renal calcium depostion. Histological and histochemical changes in the kidneys have been reported in rats fed for 24 to 72 hours on a diet containing 10 percent disodium hydrogen phosphate (3.2 g P per kg body weight).

hexametaphosphate, tripolyphosphate, trimetaphosphate, or tetrametaphosphate daily for one month at the level of 100 mg per kg body weight; another group of four dogs received supplemental phosphates that were increased over a five month feeding trial from 1000 mg to 4000 mg per kg body weight. On the high phosphate level there was weight loss, eosinophilia and neutropenia, cardiomegaly, left heart hypertrophy and renal tubule injury resembling rat phosphate nephritis.

A series of experiments with rats kept on the diets for six months included observations in which tetrasodium pyrophosphate was added in concentrations of 1.8, 3, and 5 percent. Other groups received the same amount of phosphate as disodium hydrogen phosphate. As compared with controls, groups receiving 3 and 5 percent of added phosphate had decreased growth and renal calcification occurred. There appeared to be no difference between the phosphates in the amount of injury observed. However, renal calcificaion has been reported in rats on a Sherman-Kost diet (basically two-thirds whole corn meal and one-third whole milk powder: 0.54 percent Ca and 0.47 percent P) to which 1 percent of a 2:3 mixture of monobasic and dibasic sodium phosphate was added to give a total phosphorus content of 0.71 percent. Addition of dipotassium hydrogen phosphate to a diet at levels of 1.3 percent phosphorus and 0.5 percent calcuim (Ca:P ratio=0.38) did not produce renal calcification in 12 rats within 150 days. There was some increase in the weight of the kidneys. Similarly, in the guinea pig, a diet containing 0.9 percent phosphorus (sodium phosphate, monobasic) and 0.8 percent calcium or higher levels of phosphorus produced some calcification in the soft tissues.

Four physically active men receiving a nurtritionally adequate basal diet and a daily supplement of 750 mg phosphorus as phosphoric acid for one week showed a slight decrease in the calcium excretion in their urine. The basal diet furnished about 450 mg calcium and 1400 mg phosphorus daily. Higher levels of phosphate supplementation up to periods of 12 weeks produced a greater decrease in urinary calcium excretion. However, no decrease in the utilization of calcium was apparent as determined by this metabolic balance method. The results by this short-term method suggest that adults receiving 450 to 600 mg calcium can ingest at least 2000 mg phosphorus daily without adverse effect on calcium balance. In another study when six women on a basal diet supplying 300 mg calcium and 800 mg phosphorus were shifted to a diet supplying 1500 mg calcium and 1400 mg phosphorus, phosphorus had a depressing effect on calcium utilization when compared to a second group of six women shifted to a diet supplying 1500 mg calcium and 800 mg phosphorus.

In another study 15 young adults drank 2 to 4 g of phosphoric acid in fruit juices daily for 10 days. There were no apparent changes in the composition of the urine in any of the subjects suggestive of a disturbed

g of sodium dihydrogen phosphate for 15 days by two adults did not cause any apparent adverse effects.

Relatively few definitive experiments have been reported in which phosphates have been administered under controlled conditions for much of the normal lifespan. Useful long-term feeding studies in rats have been reported for sodium tripolyphosphate, trimetaphosphate, and hexametaphosphate. Groups of 50 weanling rats were maintained on a standard laboratory chow diet with 0.05, 0.5, or 5 percent sodium tripolyphosphate supplementation for 2 years. At the highest supplement level (about 630 mg P added per kg body weight), there was growth retardation with some evidence of anemia. In both sexes the Ca:P ash ratios were normal but the femurs were shorter than in rats given less phosphate. Convoluted tubule dilation with interstitial and glomerular fibrosis and intertubular calcification occurred in the animals receiving 5 percent supplementation.

In the rats given dietary supplements of 0.1, 1, or 10 percent sodium trimetaphosphate, for 2 years, males but not females on the 1 percent supplement (about 146 mg P added per kg body weight) were slightly retarded in growth during the first 6 months. The highest level produced substantial growth retardation in both sexes and evidence of anemia in females. The femurs in both sexes were shorter. In comparable rats fed diets supplemented with 0.05, 0.5, or 5 percent sodium hexametaphosphate for 2 years, males at the highest level (about 650 mg P added per kg body weight) had substantial growth retardation, but the females were only slightly affected. The femurs appeared to be radiologically normal in all the groups. Sixty-five percent of the rats examined in the 5 percent group presented intertubular calcification as distinguished from the coexistent chronic pyelonephritis present in old rats.

Monocalcium phoshpate was administered on day 6 through day 15 of gestation to pregnant mice (up to 465 mg per kg) and pregnant rats (up to 410 mg per kg) with no clearly discernible effects on nidation or on maternal or fetal survival and no increase in abnormalities in skeletal and soft tissues was observed over controls. This substance had neither toxic nor teratogenic effects on the developing chick embryo between 1.0 and 50 mg per kg.

Monocalcium phosphate, monopotassium phosphate, and monosodium phosphate exhibited no genetic activity when evaluated by *in vitro* microbial assays with and without the addition of mammalian activation preparations. The indicator organisms were *Saccharomyces cerevisiae*, Strain D4 and *Salmonella typhimurium*, strains TA1535, TA1537, and TA1538. Mammalian activation preparations were from the liver, lung and testes of mouse, rat, and monkey.

No toxicity or teratogencity was shown for monopotassium phosphate by tests in the developing chicken embryo. The compound was administered in water via the air cell or yolk at 0 hours (10 to 200 mg per kg egg) and at 96 hours (5 to 100 mg per kg egg). A teratologic evaluation of monopotassium phosphate was also negative when the

through day 15 of gestation to pregnant mice (up to 320 mg per kg) and rats (up to 282 mg per kg).

Sodium acid pyrophosphate, when evaluated for toxic and teratogenic effects using the chick embryo test, was toxic in 0 and 96 hour air cell administrations and produced significantly elevated numbers of abnormal embryos under the conditions of the test. No evidence of mutagenic effects for this compound was obtained in a study that included: (a) host-mediated assay in mice using *Salmonella typhimurium* TA1530 and mitotic recombination frequency in *Saccharomyces cerevisiae* D3; (b) *in vitro* mutagenic assay with *S. typhimurium* strains TA1535, TA1536, TA1537, and TA1538 in the presence and absence of metabolic activation; (c) dominant lethal test in rats; and (d) translocation test in mice. In this study, the single dose oral LD_{50} for Swiss Webster mice (weighing 20 to 22 g) and Sprague-Dawley rats (weighing 278 to 344 g) were measured as 2.3 and 1.8 g per kg body weight, respectively. Sodium acid pyrophosphate was administered on day 6 through day 15 of gestation to pregnant mice (up to 335 mg per kg) and pregnant rats (up to 169 mg per kg) with no clearly discernible effect on nidation or on maternal or fetal survival. The number of abnormalities seen in either soft or skeletal tissues of the test group did not differ from the number occurring spontaneously in the sham-treated controls. Similar results were obtained using pregnant hamsters receiving up to 166 mg per kg on day 6 through day 10 of gestation and pregnant rabbits receiving up to 128 mg per kg on day 6 through day 18 of gestation.

The toxic and teratogenic effects of monosodium phosphate, tetrasodium pyrophosphate, sodium tripolyphosphate, and sodium hexametaphosphate were tested on the developing chick embryo. Concerning monosodium phosphate, it was concluded that the salt "is moderately toxicity when administered through the yolk, and is teratogenic when administered via the yolk or air cell to a 96-hour-old chicken embryo." The investigator noted the possibility that pH and osmotic effects may play a role in the observed toxic and teratogenicity to the chicken embryo and concluded that both tetrasodium pyrophosphate and sodium hexametaphosphate are toxic and teratogenic under the conditions of the test employed. It was noted, particularly for the latter, that pH and osmotic effects may have been important. Sodium tripolyphosphate was embryo toxic but not teratogenic in the avian embryo when tested at levels up to 125 mg per kg of egg. Each of these phosphate compounds was evaluated for teratogenic effects in mice and rats, and in the case of sodium tripolyphosphate, hamsters and rabbits were also used. The results of these tests for teratogenic effects and additional tests for mutagenicity are summarized below.

Monosodium phosphate was administered on day 6 through day 15 of gestation to pregnant mice (up to 370 mg per kg) and pregnant rats (up to 410 mg per kg) with no clearly discernible effects on nidation or on maternal or fetal survival. The number of abnormalities seen in the test groups was not

Tetrasodium pyrophosphate was administered on day 6 through day 15 of gestation to pregnant mice (up to 130 mg per kg) and pregnant rats (up to 138 mg per kg) with negative results. Mutagenic evaluation of this compound by microbial assays with and without the addition of mammalian enzyme preparations was negative. The indicator organsims were *S. cerevisiae*, strain D4, and *S. Typhimurium*, strains: TA1535, TA1537, TA1538.

Sodium tripolyphosphate was tested for mutagenic effects in a study that included: (a) host-mediated assay (mice), *in vivo* and *in vitro* tests against *S. typhimurium*, strains TA1530 and G46 and against *S. cerevisiae* D3; (b) cytogenetic study *in vivo* of rat bone marrow cells and *in vitro* of human embryonic lung cells in tissue culture; and (c) dominant lethal test (rats). No evidence of mutagenic effects was obtained except for an apparent non-dose-related response *in vivo* by *S. cerevisiae* D3 that was not confirmed in repeat tests. Sodium tripolyphosphate was administered on day 6 through day 15 of gestation to pregnant mice (up to 238 mg per kg) and pregnant rats (up to 170 mg per kg). This compound was also administered on day 6 through day 10 of gestation to pregnant hamsters (up to 141 mg per kg) and on day 6 through day 18 of gestation to pregnant rabbits (up to 250 mg per kg). No effects on nidation or on maternal or fetal survival and no evidence of a significant increase in the number of abnormalities in soft or skeletal tissues were noted in any of the test groups of the four species.

Sodium hexametaphosphate was evaluated for mutagenic activity in *S. cerevisiae* D4 and *S. typhimurium*, strains TA1535, TA1537, and TA1538. No evidence of mutagenic effects was reported. This compound was administered on day 6 through day 15 of gestation to pregnant mice (up to 370 mg per kg) and pregnant rats (up to 240 mg per kg) with no evidence of teratogenic effects.

After feeding rats diets with supplements of up to 10 percent sodium trimetaphosphate, 5 percent sodium tripolyphosphate or 5 percent sodium hexametaphosphate for 2 years, no correlation existed between tumor incidence and the level of phosphate supplementation. In reproductive studies, no effects were observed on fertility or litter size through F_3 with dietary supplements of 0.5 percent sodium tripolyphosphate, 0.05 percent sodium trimetaphosphate or 0.5 percent sodium hexametaphosphate. The Select Committee is not aware of additional long-term feeding studies specifically designed to test the phosphates described in this report for carcinogenicity.

Many reports have been published concerning the effects of supplemental phosphates in the diet on the incidence of dental caries. In a comprehensive review of the literature it was concluded that "evidence is nearly unanimous that phosphates are effective anticaries agents in rodents." However, such effects have occurred when the normal phosphorus content of the diets was approximately doubled. The effects appear to be due largely to a local action on the tooth as the phosphates pass through the

mouth or a systemic-local action after the phosphates return to the mouth in the saliva. Certain clinical investigations have raised doubt that humans may experience significant protection from dental caries when supplemental phosphate is used. Although some have reported beneficial effects on the teeth without apparently considering any additional effects, others have reported no effects.

The Joint FAO/WHO Expert Committee on Food Additives noted "the necessity for tests for cyclic phosphate, which may occur in polyphosphates and create certain health hazards." The hazards were not detailed. However, in one comprehensive study it was reported that in rats fed sodium trimetaphosphate, a cyclic compound, for 24 months there was an absence of significant toxic effect up to at least 0.5 percent in the diet. The same committee also estimated the lowest level that might conceivably produce nephrocalcinosis in man as 6600 mg phosphorus per day based on 1 percent phosphorus in the diet producing nephrocalcinosis in rats.

Draper and his associates have extensively examined the effects of dietary phosphorus on calcium metabolism in intact and parathyroidectomized rats. In one study, two levels on dietary phosphorus, 0.6 percent and 1.2 percent, were compared regarding their effect on bone resorption and calcium metabolism in male Sprague-Dawley rats initially weighing 100 g. The diets apparently furnished adequate amounts of all the essential nutrients including vitamin D and monobasic calcium phosphate was the principal source of phosphorus. Rats receiving the 1.2 percent phosphorus diet (1.2 g per kg body weight) for 34 weeks (Ca:P ratio=1:1) had a greater loss of calcium from the body than did animals receiving only one-half as much phosphorus (Ca:P ratio=2:1). These effects were not seen in parathyroidectomized rats. The amount of calcium absorbed and the growth rate were the same at the two levels of phosphorus. The study indicated that this level of dietary phosphorus, 1.2 percent, accelerates the rate of bone resportion in adult rats. The effect was mediated by the parathyroid glands. Essentially the same conclusion was reached by Krook in studying some realtionships between dietary calcium and phosphorus and lameness in the horse. These studies have shown in experimental animals that an excess of dietary phosphorus is accompanied by hyperphosphatemia, hypocalcemia, and secondary hyperparathyroidism even when dietary calcium is fed at moderate or excessive levels.

The more favorable effect on the maintenance of bone mineralization in the bones of adult rats when the Ca:P ratio is 2:1 rather than 1:1 confirms the observation of Clark that a ratio of about 2:1 is necessary for maximum depression of parathyroid activity in mature rates. The importance of the Ca:P ratio is impressively demonstrated through the extensive work of Cox and Imboden who found a ratio of 1.0, at a calcium level of 0.490 percent, to be the ideal mineral level and ratio for successful gestation and lactation in rats.

In a study of osteoporosis induced by high-phosphorus diets in aging rats, bone demineralization was increased if the amount of dietary phosphorus exceeded the 0.3 percent level. In this study phosphorus was 0.3, 0.6, 1.2, or 1.8 percent of the diet and the calcium level was 0.6 percent. The experimental period was 6 months. The cumulative calcium-45 excretion from deeply labeled bone over the period was 16, 37, and 30 percent greater in the rats fed 0.6, 1.2, and 1.8 and 1.8 percent phosphorus, respectively, than in those fed 0.3 percent phosphorus. Even so, the absorption of dietary calcium was unaffected. The calcium and phosphorus in the femurs, lumbar vertebrae, and mandibles were clearly reduced in the rates receiving the higher levels of phosphorus. In addition, the excretion of hydroxyproline was doubled in rats receiving 1.8 percent phosphorus in the diet. It was not significantly elevated in the rats receiving lower levels of phosphorus. These findings (dietary calcium, 0.6 percent) have shown that Ca:P ratios lower than 2:1 accelerate the rate of bone resorption in adult rats, and they verify earlier results from studies in which the dietary calcium level was 1.2 percent. Similar conclusions were reached from studies on mice.

Related studies showed that in young adult male rates on diets containing 20 percent lard, 0.6 percent calcium, and 0.3 percent phosphorus there was a slightly greater excretion of deep labeled calcium-45 from the bones when the level of dietary protein was only 10 percent as compared with rats receiving 20 or 40 percent protein. This indicated that this lower level of protein was sub-optimal. There was no difference between the 20 and 40 percent protein groups in the total excretion of labeled calcium. However, increasing the level of dietary phosphorus to 1.2 percent led to an increase in labeled calcium excretion of about 50 percent at all levels of protein, indicating that the increase in calcium absorption induced by increasing the intake of protein above the suboptimal level does not counteract the stimulus to bone resorption caused by a relatively high intake of phosphorus.

Young adult rats on a phosphorus intake of 1.2 percent showed a significantly lower plasma calcium concentration (but within the normal physiological range) as compared with rats given 0.3 percent phosphorus. In both groups the dietary calcium was 0.6 percent. The depression in plasma calcium was associated with an increase in bone calcium excretion, which was evidence of a net increase in bone resorption. Switching the diets resulted in a prompt reversal of plasma calcium levels and rates of calcium excretion. Also, the production of parathyroid hormone was increased as indicated by an increase in the uptake of α-aminoisobutyric acid. After the high-phosphorus diet had been fed for several days the plasma calcium level remained depressed even at the end of an 11-hour fast.

Ten female adult dogs of approximately 13 kg body weight were fed a diet (1 g Ca and 1 g P per day) supplemented with potassium phosphate to furnish approximately 2.8 g phosphorus daily for 4 months and 3.1 g phosphorus for an additional 6 months (Ca:P ratio, 1:31). There was increased bone porosity, loss in bone mass and the serum parathyroid hormone level, as determined by immunoassay, was doubled. The well established pattern calification in the kidneys and some other soft tissues occured.

Understanding of the human requirements for phosphorus is important. This is generally recognized but much more attention is given to calcium than phosphorus. In the Recommended Dietary Allowances it is recognized that the need for phosphorus, except for the young infant, is approximately the same as for calcium. For young infants (0–0.5 yr) the allowance ratio for calcium and phosphorus is 1:0.7 (360 mg Ca, 240 mg P), but for all age groups older than 1 year, including pregnant and lactating women, the ratio is 1:1. A ratio of approximately 2:1 is required for the inhibition of excessive bone resorption in mature mice and rats. In adult humans ingesting 1 g of supplemental phosphorus as phosphate, a 60 to 125 percent increase in serum parathyroid hormone concentration and a slight decrease in serum calcium was observed. Thus, as pointed out by Anderson and Draper, it is important to consider whether under some conditions the dietary intake of phosphorus may be sufficiently high to induce secondary hyperparathyroidism with attendant bone resorption.

The first health and nutrition examination survey (HANES) used Chvostek's sign (contraction of the perioral muscles on tapping the malar process) as a possible clinical sign of calcium-phosphorus imbalance indicating a deficit of calcium and a relative excess of phosphorus in the blood. A report of preliminary findings from HANES indicates the prevalence of positive Chvostek's sign exceeds 10 percent in some segments of the U.S. population. The significance of these preliminary findings cannot be assessed until correlations are made with appropriate data of blood chemistry and nutrient intakes.

Excessive levels of phosphorus in the diet cannot be fully compensated for by the ingestion of higher levels of calcium. As pointed out in a review by Jowsey, the osteoporosis attributable to a high intake of phosphorus can be generally benefited through an increase in the intake of calcium. This is supported in the review by McBean and Speckmann on the interrelationships of calcium with phosphorus and certain other dietary components. Their review of the literature leads them to the conclusion that "a low dietary Ca:P ratio, regardless of how achieved, results in significant bone loss in man." Davis concluded that, in general, levels of calcium in excess of 1 percent of the diet have a depressing effect upon the utilization of phosphorus and certain other nutrients. In the comprehensive work of Cox and Imboden on gestation and lactation in rats, it was found that at a level of 2.45 percent calcium or 2.45 percent phosphorus in the diet the reproductive performance is poor regardless of the Ca:P ratio. The Select Committee is not aware of any research which is contrary to these findings.

Physiologically, calcium and magnesium are antagonistic. The practical aspects of such relationships are more recognizable when the intake of phosphorus is relatively low and the intake of magnesium is high. This may result in a loss of calcium or at least poor utilization of this nutrient. On the other hand, a high intake of calcium and low intake of magnesium leads to magnesium deficiency. Increasing the intake of phosphorus may accentuate the symptoms of magnesium deficiency. It has been shown that the utilization of manganese is impaired in poultry, pigs, and rabbits through an increase in the content of calcium and/or phosphorus in the diet.

As reviewed by Davis, anemia has been produced in rats and mice when a high intake of calcium has been imposed on a diet containing barely enough iron to meet the nutritional requirements at a lower level of dietary calcium. Conversely on a diet very low in calcium, moderately adequate in iron, and relatively high in phosphorus rats became moderately anemic. The addition of some calcium carbonate to the diet, but not iron phosphate or calcium phosphate, alleviated the anemic condition.

The complex aspects of protein intake in relation to calcium utilization and calcium requirement have been briefly reviewed. In general, it appears that high protein diets decrease the absorption and retention of calcium. In metabolic studies on young men an increase in the protein intake from approximately 50 g to 140 g daily was accompanied by an increase in urinary calcium and negative calcium balance. The calcium intake was approximately 800 mg daily and the phosphorus about 1000 mg. Since the high protein effect may be only transitory, it is presumed that long-term studies will be made.

Several reports concern inherently toxic substances such as lead or presumably adventitious substances such as aluminum. Six and Goyer gave rats enough lead in the drinking water to produce "sub-clinical" toxicity. A low-level of dietary calcium enhanced the absorption, accumulation, and excretion of lead. Much earlier Lederer and Bing showed that in rats fed lead acetate the deposition of lead in the femurs could be effectively increased by lowering the dietary calcium.

Owing to the marked insolubility of aluminum phosphate it could be predicted that substantial intakes of aluminum compounds would impair the uitilization of phosphorus. This has been demonstrated in several different studies. For example, Lotz *et al.* showed that the long-term ingestion of aluminum hydroxide gel by man impairs phosphorus retention.

All of the available safety information on the phosphates has been carefully evaluated by qualified scientists of the Select Committee. It is the opinion f the Select Committee that:

* * * many variables [have] to be considered regarding the safety to the public of the current uses of phosphates in foods. These include: (a) the variety and different characteristics of phosphate and their scope of use; (b) the close metabolic interrelationships between vitamin D, calcium, and phosphorus; and (c) the possible variations between different segments of the population in the level of phosphate consumed both in foods and in beverages. Better data are needed on the calcium and phosphorus intakes of individuals; uncertainty exists concerning both the total phosphorus intake and the Ca:P ratio of the U.S. diet. It is probable that many adults in the U.S. ingest less than 800 mg of calcium and more than 800 mg of phosphorus per day, which are the Recommended Dietary Allowances.

Although there is a difference of scientific opinion, it is the opinion of the Select Committee that the Ca:P ratio of the diet is important, especially if it varies substantially from 1:1 owing to the relatively high intake of phosphorus. Most of the evidence shows that in general a desirable Ca:P ratio is between 2:1 and 1:1. Thus, if the calcium intake is 800 mg per person per day the total phosphorus intake should not greatly exceed that amount. The fragmentary data available suggest that the typical Ca:P ratio in this country is lower than 1:1. Some estimates suggest it may be substantially lower. In laboratory animals and presumably in man, nutritional secondary hyperparathyroidism and bone resorption may be induced when the diet furnishes an otherwise adequate amount of calcium but excessive levels of phosphorus.

None of the GRAS phosphates is intrinsically harmful and their use in foods does not present a hazard when the total amount of phosphorus ingested and the intakes of calcium, magnesium, vitamin D, and other nutrients are satisfactory. The current use of calcium phosphates in food processing is without harmful effects on the health of consumers and, in some instances, may be advantageous. The phosphorus supplied by GRAS phosphates, other than calcium phosphates, added to foods is low in relation to the total amount of phosphorus naturally present in the diet. However, the possibility that unreasonable increases in the usage of these phosphates in common foods would significantly lower the Ca:P ratio and increase the total phosphorus intake for some segments of the population, must be considered in assessing the probability of a health hazard existing because of the ingestion of excessive levels of phosphorus. The Select Committee has no evidence that the use of any of these non-calcium phosphates as food ingredients at current levels is creating such a problem. However, if distortion of the Ca:P ratio should become of concern, this question should be accorded separate study.

It is the conclusion of the Select Committee that there is no evidence in the available information on calcium hexametaphosphate; calcium phosphate, dibasic; calcium phosphate, monobasic;

calcium phosphate, tribasic, calcium pyrophosphate; phosphoric acid; potassium phosphate, dibasic; potassium phosphate monobasic; potassium phosphate, tribasic; potassium polymetaphosphate; potassium pyrophosphate; potassium tripolyphosphate; sodium acid pyrophosphate; sodium phosphate; dibasic; sodium phosphate, monobasic; sodium phosphate, tribasic; tetrasodium pyrophosphate; sodium tripolyphosphate; and straight-chain sodium polyphosphates (including sodium hexametaphosphate, sodium metaphosphate, and sodium tetraphosphate) that demonstrates, or suggests reasonable grounds to suspect, a hazard to the public when they are used at levels that are now current or might reasonably be expected in the future. Based upon its own evaluation of all available information on the phosphates, the agency concurs with this conclusion. Therefore, based upon available safety data, the agency concludes that, except for calcium hexametaphosphate and potassium polymetaphosphate, no change in the current GRAS status of those phosphates already listed as GRAS is justified.

On April 13, 1973 (38 FR 9310), the agency proposed that calcium hexametaphosphate be removed from the GRAS list because the survey of food manufacturers on the use of GRAS ingredients did not indicate that this substance was used in human food. Comments on this proposal were received asking that calcium hexametaphosphate not be removed from the GRAS list. Subsequent correspondence with these respondents revealed that the ingredient was being used in animal feed, but not in human food. Moreover, the survey of food manufacturers did not reveal direct human food uses of potassium polymetaphosphate. Consequently, the agency proposes that calcium hexametaphosphate and potassium polymetaphosphate be removed from GRAS status as direct human food ingredients unless evidence of use (foods that the substances are added to, levels of addition, intended technical effects, and food-grade specifications) is submitted as comments on this proposal during the comment period. It should be emphasized that use information is very important in judging the safety of food ingredients because it facilitates assessment of total dietary intake.

Although the Select Committee considered sodium tetraphosphate in its evaluation of the phosphates, available information indicates that this compound is not used in food. The agency therefore, proposes that sodium tetraphosphate not be affirmed as GRAS. These substances which are not being affirmed as GRAS can receive further consideration through either comments on this proposal or a petition submitted in accordance with § 170.35 (21 CFR 170.35) or § 171.1 (21 CFR 171.1).

Although the Select Committee did not specifically address the use of potassium phosphate (mono- and tribasic) as a sequestrant, the agency has evaluated all available data and concludes that the information developed during the Select Committee review forms a sound scientific basis for affirming this use of these phosphate salts as GRAS for direct food use.

Calcium pyrophosphate was also proposed to be removed from the GRAS list (38 FR 9310) because the survey of food manufacturers did not reveal direct human food uses of calcium pyrophosphate. Comments on the proposal revealed that the ingredient is used as a pH control agent and as a nutrient supplement in soft candy. Because the information developed for this safety review forms a sound scientific basis for judging its safety, the agency proposes to affirm the GRAS status of calcium pyrophosphate as a direct human food ingredient.

FMC Corporation, New York, NY 10017, submitted a petition (3G0022) in accordance with § 170.35, proposing affirmation of GRAS status for the use of tetrapotassium pyrophosphate in foods. The petition was subsequently withdrawn without prejudice pending completion of the Select Committee's evaluation of the phosphates.

The survey of food manufacturers did not reveal direct human food uses of tetrapotassium pyrophosphate. However, during the agency's review of the phosphates, several letters were received which stated that tetrapotassium pyrophosphate is used as an indirect human food ingredient. Additionally, an opinion letter of March 25, 1968 issued by the agency stated that tetrapostassium pyrophosphate could be substituted for tetrasodium pyrophosphate for those purposes covered under Parts 181 and 182. Consistent with the agency's and FASEB's recent expressed concern about the increasing sodium content in foods, and because the information developed for this safety review forms a sound scientific basis for judging its safety, the agency proposes to affirm the GRAS status of tetrapostassium pyrophosphate as a direct and indirect human food ingredient.

The agency notes that there are numerous use situations covered by this document where it may be possible for the calcium or potassium form of a phosphorus-containing salt, used for a specific technological purpose or in a certain food class, to be substituted for the corresponding sodium form. Wherever technolgocially and/or economically practicable, the agency urges that such substitution be considered.

In order to eliminate needless confusion, the term "sodium pyrophosphate" will be replaced by the more descriptive "tertrasodium pyrophosphate" terminology. Further, the term "sodium metaphosphate" will be replaced by the more specific "sodium hexametaphosphate." Sodium metaphosphate is a common name used for some straight-chain sodium polyphosphates as well as some cyclic phosphate compounds. The survey of food manufacturers did not separate the various metaphosphates but asked for data under the term "sodium metaphosphate." The agency believes that use of the term metaphosphate by food manufacturers has, in fact, implied hexametaphosphate. In the current review of GRAS substances, each substance should be accurately identified with adequate specifications to eliminate confusion and needless duplication. Therefore, the agency invites comments in response to this proposal concerning the use of metaphosphates other then sodium hexametaphosphate in foods. Data on the use levels of the specific metaphosphates, the specific foods in which they are used, the intended technical effect(s), food-grade specifications, and the method of manufacture should be submitted in order that a determination can be made about their status.

In the past, when a substance has been listed in Part 182 as GRAS for both direct and indirect uses, FDA has proposed separate GRAS affirmation regulations in Parts 184 and 186 to govern its direct and indirect GRAS uses, respectively. Under § 184.1(a), however, ingredients affirmed as GRAS for direct food use in Part 184 are considered to be GRAS for indirect uses without there being a separate listing in Part 186. In light of § 184.1(a), FDA has reconsidered its traditional practice of establishing separate listings in Part 186 for substances it affirms as GRAS for direct use in Part 184 and has concluded that the duplicative listing in Part 186 is unnecessary, as a general rule, and may cause confusion. Thus, unless it is necessary based on safety considerations to impose specific purity specifications or other restrictions on the indirect use of a GRAS substance, FDA will no longer list in Part 186 substances that are affirmed as GRAS for direct use in Part 184. In keeping with this change in policy, FDA is not proposing separate listings in Part 186 for the indirect uses of sodium hexametaphosphate, tetrasodium pyrophosphate and sodium tripolyphosphate. The indirect uses of these ingredients are authorized under §§ 184.1759, 184.1872 and 184.1810, respectively, and § 184.1(a).

The agency also has determined that an indirect substance whose GRAS status for indirect use is based on its affirmation as GRAS in Part 184 need not comply, as a general rule, with the purity specifications made applicable to the direct use of the substance in this Part 184 regulation, as long as it is of a purity suitable for its intended indirect use in accordance with § 170.30(h)(1). This conclusion is based on the fact that indirect uses generally result in extremely low levels of consumer exposure to the additive and correspondingly low levels of exposure to any impurities that may be present. As noted in the preceding paragraph, however, if specific purity specifications for the indirect use of GRAS substance are necessary based on safety considerations, a regulation establishing such specifications will be promulgated in Part 186. In the case of sodium hexametaphosphate, tetrasodium pyrophosphate and sodium tripolyphosphate, no specific purity specifications are necessary for their indirect use.

Although the policies discussed in the two preceding paragraphs are not inconsistent with FDA's current regulations, FDA will publish a proposal in the near future to amend its procedural regulations in Parts 184 and 186 to reflect clearly the current policies.

Copies of the scientific literature review on phosphate; reports of teratogenic and mutagenic evaluations for calcium phosphate (monobasic), sodium phosphate (monobasic), potassium phosphate (monobasic), sodium hexametaphosphate, tetrasodium pyrophosphate, and sodium tripolyphosphate; a teratogenic evaluation report for sodium acid pyrophosphate; and the report of the Select Committee are available for review at the Office of the Hearing Clerk, Rm. 4–65, Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857, and may be purchased from the National Technical Information Service, 5285 Port Royal Rd., Springfield, VA 22151, as follows:

Title	Order No.	Price code	Price*
Phosphates (scientific literature review)	PB-221-224	A06	$8.00
Calcium phosphate, monobasic (teratogenic evaluation)	PB-234-866/AS	A03	4.50
Calcium phosphate, monobasic (mutagenic evaluation)	PB-245-509/AS	A03	4.50
Sodium phosphate, monobasic (teratogenic evaluation)	PB-245-527/AS	A03	4.50
Sodium phosphate, monobasic (mutagenic evaluation)	PB-245-508/AS	A03	4.50
Potassium phosphate, monobasic (teratogenic evaluation)	PB-245-521/AS	A03	4.50
Potassium phosphate, monobasic (mutagenic evaluation)	PB-245-513/AS	A03	4.50
Sodium hexametaphosphate (teratogenic evaluation)	PB-245-535/AS	A03	4.50
Sodium hexametaphosphate (mutagenic evaluation)	PB-245-486/AS	A03	4.50
Tetrasodium pyrophosphate (teratogenic evaluation)	PB-245-534/AS	A03	4.50
Tetrasodium pyrophosphate (mutagenic evaluation)	PB-245-489/AS	A03	4.50
Sodium tripolyphosphate (teratogenic evaluation, hamsters, mice, rats)	PB-221-808	A03	4.50
Sodium tripolyphosphate (teratogenic evaluation, rabbits)	PB-223-826/AS	A02	4.00
Sodium tripolyphosphate (mutagenic evaluation)	PB-245-462/AS	A07	7.25
Sodium acid pyrophosphate (teratogenic evaluation)	PB-223-831/AS	A04	5.25
Phosphates (Select Committee report)	PB-262-851/AS	A03	4.50

*Price subject to change.

Some food uses of phosphates, different from those previously considered GRAS, were reported during the survey of food manufacturers on the use of GRAS ingredients, or were requested during this safety review. It was requested that sodium hexametaphosphate be permitted as an optional ingredient in flour to function as a dough strengthener and texturizer at a level of 0.001 percent. Since sodium hexametaphosphate has a history of safe use in food, and because the information developed for this safety review forms a sound scientific basis for judging its safety, the agency is proposing that these uses be affirmed as GRAS. However, the agency advises that the flour standard (§ 137.105 (21 CFR 137.105)) does not currently provide for the use of sodium hexametaphosphate.

The agency has also reviewed the data on the calcium-phosphorus ratio, and its shares the concern of the Select Committee about the calcium-phosphorus balance of the United States diet. Because of concerns of this type, FDA has been conducting for several years a program of chemical analysis of composite food samples. Each sample consists of foods from one of the food groups making up the total diets of adults, infants, and toddlers. Selection of food items has been based on a dietary program using a wide variety of foods which are known through food surveys to be integral parts of U.S. diets and, as a whole, are presumed to provide adequate nutrition. These total diet studies assume that all food items are prepared and eaten in the home. The compositional information thus developed for these diets allows for judgments relative to the consumption of, among other things, various added food ingredients. The analysis of total diet samples during 1974 and 1976 indicated that the Ca:P ratio in these infant and toddler diets was 1:1, and in these adult diets was 1:1.5 to 1:1.6. While there is no evidence of a health risk due to increased phosphorus levels, it is anticipated that this ratio will be further monitored in future total diet samples. If distortion of the Ca:P ratio should become of concern, the agency will propose any needed regulations to further address this potential health effect. Meanwhile, the use by food processors of calcium phosphorus-containing salts, rather than similar salts with other cations, where technologically and/or economically feasible, would help to reduce further distortion of the Ca:P ratio.

This proposed action does not affect the present use of the phosphates for pet food or animal feed.

Therefore, under the Federal Food, Drug, and Cosmetic Act (secs. 201(s), 409, 701(a), 52 Stat. 1055, 72 Stat. 1784–1788 as amended, (21 U.S.C. 321(s), 348, 371(a))) and under authority delegated to him (21 CFR 5.1), the Commissioner proposes that Parts 182 and 184 be amended as follows:

PART 182—SUBSTANCES GENERALLY RECOGNIZED AS SAFE

1. Part 182 is amended:

§ 182.70 [Amended]

a. In § 182.70 *Substances migrating from cotton and cotton fabrics used in dry food packaging* by deleting the entries for "Sodium tripolyphosphate" and "Tetrasodium pyrophosphate."

§ 182.90 [Amended]

b. In § 182.90 *Substances migrating to food from paper and paperboard products* by deleting the entries for "Sodium hexametaphosphate" and "Sodium tripolyphosphate."

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§§ 182.1073, 182.1087, 182.1217, 182.1778, 182.1810, 182.5217, 182.5223, 182.5778, 182.6085, 182.6203, 182.6215, 182.6285, 182.6290, 182.6760, 182.6769, 182.6778, 182.6787, 182.6789, and 182.6810 [Deleted]

c. By deleting §§ 182.1073 *Phosphoric acid,* 182.1087 *Sodium acid pyrophosphate,* 182.1217 *Calcium phosphate,* 182.1778 *Sodium phosphate,* 182.1810 *Sodium tripolyphosphate,* 182.5217 *Calcium phosphate,* 182.5223*Calcium pyrophosphate,* 182.5778 *Sodium phosphate,* 182.6085 *Sodium acid pyrophosphate,* 182.6203 *Calcium hexametaphosphate,* 182.6215 *Monobasic calcium phosphate,* 182.6285 *Dipotassium phosphate,* 182.6290 *Disodium phosphate,* 182.6760 *Sodium hexametaphosphate,* 182.6769 *Sodium metaphosphate,* 182.6778 *Sodium phosphate,* 182.6787 *Sodium pyrophosphate,* 182.6789 *Tetrasodium pyrophosphate,* and 182.6810 *Sodium tripolyphosphate.*

PART 184—DIRECT FOOD SUBSTANCES AFFIRMED AS GENERALLY RECOGNIZED AS SAFE

2. Part 184 is amended by adding new §§ 184.1073, 184.1214, 184.1215, 184.1216, 184.1223, 184.1638, 184.1639, 184.1639a, 184.1644, 184.1722, 184.1760, 184.1779, 184.1780, 184.1781, 184.1810, 184.1870, and 184.1872 to read as follows:

§ 184.1073 Phosphoric acid.

(a) Phosphoric acid (H_3PO_4, CAS Reg. No. 007664–38–2) is also referred to as orthophosphoric acid. It is prepared by burning elemental yellow (white) phosphorus to form the oxide (P_4O_{10}). The hot oxide vapors are hydrated and cooled by adding water. The resulting liquid and mist are collected, further cooled, and treated with hydrogen sulfide to remove impurities. After filtration, the liquid is diluted to 75 or 85 percent phosphoric acid.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a flavor enhancer as defined in § 170.3(o)(11) of this chapter, flavoring agent as defined in § 170.3(o)(12) of this chapter, pH control as defined in § 170.3(o)(23) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, and synergist as defined in § 170.3(o)(31) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.16 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.2 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 0.5 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 0.2 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter and for frozen dairy products as defined in § 170.2(n)(20) of this chapter, 0.3 percent for soft candy as defined in § 170.3(n)(38) of this chapter, and 0.1 percent percent or less for all other food categories.

§ 184.1214 Calcium phosphate, dibasic.

(a) Calcium phosphate, dibasic ($CaHPO_4$, CAS Reg. No. 007757–93–9) is also referred to as dicalcium phosphate. It is being prepared by adding a dilute lime (CaO) slurry to a dilute solution of phosphoric acid (H_3PO_4). At low temperature, under 40°C, the dihydrate will be formed, while at a temperature above 70°C, the anhydrous product will crystallize. The crystals are separated from the mother liquid, washed, and dried.

(b) The ingredient meets the specification of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a dough conditioner as defined in § 170.3(o)(6) of this chapter, firming agent as defined in § 170.3(o)(10) of this chapter, flour-treating agent as defined in § 170.3(o)(13) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, leavening agent as defined in § 170.3(o)(17) of this chapter, mutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 2.0 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 1.9 percent for breakfast cereals as defined in § 170.3(n)(4) of this chapter, 2.3 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter, 4.5 percent for seasonings and flavorings as defined in § 170.3(n)(26) of this chapter, 2.0 percent for reconstituted vegetable protein as defined in § 170.3(n)(33) of this chapter, 1.4 percent for infant baked goods and infant formulas, and 0.5 percent or less for all other food categories.

§ 184.1215 Calcium phosphate, monobasic.

(a) Calcium phosphate, monobasic ($Ca(H_2PO_4)_2$, CAS Reg. No. 007758–23–8) is also referred to as monocalcium phosphate, calcium biophosphate, and acid calcium phosphate and exists in both the anhydrous and hydrated states. The monohydrate form is prepared by reacting hydrated lime ($CA(OH)_2$) with phosphoric acid (H_3PO_4), and the product dried by total evaporation. Anhydrous monocalcium phosphate is made by reacting hot lime with phosphoric acid at between 140°C and 170°C. Aluminum, sodium, and potassium in trace amounts are added to facilitate crystallization.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972), as amended by the Second Supplement (1975).[1]

(c) The ingredient is used as a dough strengthener as defined in § 170.3(o)(6) of this chapter, firming agent as defined in § 170.3(o)(10) of this chapter, flavoring agents as defined in § 170.3(o)(12) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, leavening agent as defined in § 170.3(o)(17) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23 of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, and synergist as defined in § 170.3(o)(31) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 2.0 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 1.1 percent for breakfast cereals as defined in § 170.3(n)(4) of this chapter, 0.8 percent for egg products as defined in § 170.3(n)(11) of this chapter 0.6 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, 1.8 percent for grain products and pasta as defined in § 170.3(n)(23) of this chapter, 0.2 percent for gravies as defined in § 170.3(n)(24) of this chapter, 0.5 percent for processed vegetables as defined in § 170.3(n)(36) of this chapter, 0.04 percent for infant formulas, and 0.02 percent or less for all other food categories.

§ 184.1216 Calcium phosphate, tribasic.

(a) Calcium phosphate, tribasic ($Ca_3(PO_4)_2$, CAS Reg. No. 007758–87–4) is also referred to as tricalcium phosphate and precipitated calcium phosphate. It is prepared by the addition of a dilute solution of phosphoric acid (H_3PO_4) to a dilute lime (CaO) slurry. The precipitate is separated from the mother liquor, washed, dried, and milled.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972), as amended by the Second Supplement (1975).[1]

(c) The ingredient is used as an anticaking agent as defined in § 170.3(o)(1) of this chapter, curing agent as defined in § 170.3(o)(5) of this chapter, flavor enhancer as defined in § 170.3(o)(11) of this chapter, flavoring agent as defined in § 170.3(o)(12) of this chapter, flour treating agent as defined in § 170.3(o)(13) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, surface-finishing agent as defined in § 170.3(o)(30) of this chapter, synergist as defined in § 170.3(o)(31) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 1.0 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.14 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 3.3 percent for breakfast cereals as defined in § 170.3(n)(4) of this chapter, 2.0 percent for condiments and relishes as defined in § 170.3(n)(8) of this chapter, 2.0 percent for seasonings and flavorings as defined in § 170.3(n)(26) of this chapter, 0.8 percent for milk products as defined in § 170.3(n)(31) of this chapter, 1.4 percent for soft candy as defined in § 170.3(n)(38) of this chapter, 2.6 percent for cooked or uncooked ready-to-eat infant cereals, 0.5 percent for infant formulas, and 0.5 percent or less for all other food categories.

§ 184.1223 Calcium pyrophosphate.

(a) Calcium pyrophosphate ($Ca_2P_2O_7$, CAS Reg. No. 007790–76–3) is also referred to as calcium diphosphate. The ingredient is prepared by heating dibasic calcium phosphate at temperatures above 500°C.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a nutrient supplement as defined in § 170.3(o)(20) of this chapter, and pH control agent as defined in § 170.3(o)(23) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 1.9 percent in soft candy as defined in § 170.3(n)(38) of this chapter and 0.2 percent for all other good categories.

§ 184.1638 Potassium phosphate, dibasic.

(a) Potassium phosphate, dibasic (K_2HPO_4, CAS Reg. No. 007758–11–4) is also referred to as dipotassium monophosphate and dipotassium phosphate. It is prepared by reacting orthophosphoric acid (H_3PO_4) with potassium carbonate (K_2CO_3) or potassium hydroxide (KOH) and crystallizing from solution. It is either anhydrous or the dihydrate.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as an emulsifier as defined in § 170.3(o)(8) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined § 170.3(o)(23) of this chapter, and stabilizer and thickener as defined in § 170.3(o)(28) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.42 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.05 precent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 2.9 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter, 0.2 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, 0.15 percent for milk products as defined in § 170.3(n)(31) of this chapter, 0.08 percent for processed vegetables as defined in § 170.3(n)(36) of this chapter, and 0.4 percent for sweet sauces as defined in § 170.3(n)(43) of this chapter.

§ 184.1639 Potassium phosphate, monobasic.

(a) Potassium phosphate, monobasic (KH_2PO_4, CAS Reg. No. 07778–77–0) is also referred to as potassium biphosphate, potassium dihydrogen phosphate, and monopotassium phosphate. It is prepared by reacting orthophosphoric acid with potassium carbonate (K_2CO_3) or potassium hydroxide (KOH). The product is obtained either by direct crystallization or by drum drying. It is usually anhydrous or the monohydrate.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, and sequestrant as defined in § 170.3(o)(26) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.03 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 3.2 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter, 0.5 percent for egg products as defined in § 170.3(n)(11) of this chapter, 0.02 percent for processed fruits as defined in § 170.3(n)(35) of this chapter, and 0.0005 percent for soft candy as defined in § 170.3(n)(38) of this chapter.

§ 184.1639a Potassium phosphate, tribasic.

(a) Potassium phosphate, tribasic (K_3PO_4, CAS Reg. No. 007778–53–2) is also referred to as tripotassium phosphate. It is prepared be reacting orthophosphoric acid (H_3PO_4) with potassium hydroxide (KOH). The liquor is dried at a high temperature in a rotary kiln.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter and sequestrant as defined in § 170.3(o)(26) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.004 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, and 3.9 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter.

§ 184.1644 Potassium tripolyphosphate.

(a) Potassium tripolyphosphate ($K_5P_3O_{10}$) is also referred to as pentapotassium triphosphate and potassium triphosphate. It is prepared by heating an intimate mixture of mono- and dipotassium orthophosphates.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

[1] Copies may be otained from: National Academy of Sciences, 2101 Constitution Ave., NW., Washington, DC 20037.

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(c) The ingredient is used as a sequestrant as defined in § 170.3(o)(26) of this chapter.

(d) The ingredient is used in nonalcoholic beverages, at levels not to exceed good manufacturing practice results in a maximum level, as served, of 0.003 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter.

§ 184.1722 Sodium acid pyrophosphate.

(a) Sodium acid pyrophosphate ($Na_2H_2P_2O_7$, CAS Reg. No. 007758–16–9) is also referred to as disodium pyrophosphate, disodium diphosphate, disodium dihydrogen pyrophosphate, and disodium dihydrogen diphosphate. It is prepared by controlled heating of monosodium phosphate (NaH_2PO_4) in the temperature range of 200–250° C.

(b) The ingredient meets the specifications of the Food Chemicals Codex 2d Ed. (1972), as amended by the First Supplement (1974).[1]

(c) The ingredient is used as an emulsifier as defined in § 170.3(o)(8) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, leavening agent as defined in § 170.3(o)(17) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, processing aid as defined in § 170.3(o)(24) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, synergist as defined in § 170.3(o)(31) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 2.1 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.5 percent for condiments and relishes as defined in § 170.3(n)(8) of this chapter, 0.5 percent for fish products as defined in § 170.3(n)(13) of this chapter, 0.7 percent for grain products and pasta as defined in § 170.3(n)(23) of this chapter, 0.5 percent for meat products as defined in § 170.3(n)(29) of this chapter, 0.5 percent for poultry products as defined in § 170.3(n)(34) of this chapter, and 0.3 percent or less for all other food categories.

§ 184.1760 Sodium hexametaphosphate.

(a) Sodium hexametaphosphate ($(NaPO_3)_6$, usual formula, CAS Reg. No. 010124–56–8) is one of a group of metaphosphates. It is prepared by heating monosodium phosphate (NaH_2PO_4) rapidly to a clear melt, which occurs slightly above 625° C. Rapid chilling of this melt produces a very soluble glass which is then crushed or milled.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972), as amended by the First (1974) and Second (1975) Supplements.[1]

(c) The ingredient is used as a curing agent as defined in § 170.3(o)(5) of this chapter, dough strengthener as defined in § 170.3(o)(6) of this chapter, emulsifier as defined in § 170.3(o)(8) of this chapter, firming agent as defined in § 170.3(o)(10) of this chapter, flavor enhancer as defined in § 170.3(o)(11) of this chapter, flavoring agent as defined in § 170.3(o)(12) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, processing aid as defined in § 170.3(o)(24) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, surface-active agent as defined in § 170.3(o)(29) of this chapter, synergist as defined in § 170.3(o)(31) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.17 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.03 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 3.0 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 0.2 percent for frozen dairy desserts as defined in § 170.3(n)(20) of this chapter, 0.5 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, 0.52 percent for jams and jellies as defined in § 170.3(n)(27) of this chapter, 0.5 percent for meat products as defined in § 170.3(n)(29) of this chapter, 1.0 percent for milk products as defined in § 170.3(n)(31) of this chapter, 3.0 percent for poultry products as defined in § 170.3(n)(34) of this chapter, 0.38 percent for processed vegetables as defined in § 170.3(n)(36) of this chapter, 0.16 percent for snack foods as defined in § 170.3(n)(37) of this chapter, 0.04 percent for infant formulas, and 0.05 percent or less for all other food categories.

§ 184.1779 Sodium phosphate, dibasic.

(a) Sodium phosphate, dibasic (Na_2HPO_4, CAS Reg. No. 007558–79–4) is also referred to as disodium phosphate, disodium hydrogen phosphate, and disodium monohydrogen monophosphate. It is prepared by reacting orthophosphoric acid (H_3PO_4) with twice the amount of sodium carbonate(Na_2CO_3) as is used in the manufacture of the monobasic salt. It either contains two molecules of water of hydration or is an hygroscopic anhydrous salt.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as a curing agent as defined in § 170.3(o)(5) of this chapter, emulsifer as defined in § 170.3(o)(8) of this chapter, flavoring agent as defined in § 170.3(o)(12) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, processing aid as defined in § 170.3(o)(24) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, surface-active agent as defined in § 170.3(o)(29) of this chapter, surface-finishing agent as defined in § 170.3(o)(30) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 1.0 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.0003 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 1.0 percent for breakfast cereals as defined in § 170.3(n)(4) of this chapter, 3.0 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 1.9 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, 1.0 percent for grain products and pasta as defined in § 170.3(n)(23) of this chapter, 1.2 percent for gravies as defined in § 170.3(n)(24) of this chapter, 3.0 percent for milk products as defined in § 170.3(n)(31) of this chapter, 0.01 percent for infant formulas, and 0.5 percent or less for all other food categories.

§ 184.1780 Sodium phosphate, monobasic.

(a) Sodium phosphate, monobasic (NaH_2PO_4, CAS Reg. No. 007558–80–7) is also referred to as monosodium phosphate, sodium biphosphate, monosodium dihydrogen monophosphate, and acid sodium phosphate. It is prepared by reacting orthophosphoric acid (H_3PO_4) with sodium carbonate (Na_2CO_3). The product can be obtained either by direct crystallization or by drum drying. It is usually anhydrous or the monohydrate.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as an antioxidant as defined in § 170.3(o)(3) of this chapter, emulsifier as defined in § 170.3(o)(8) of this chapter, flavor enhancer as defined in § 170.3(o)(11) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, leavening agent as defined in § 170.3(o)(17) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.9 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.12 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 3.0 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 0.36 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter, 0.5 percent for egg products as defined in § 170.3(n)(11) of this chapter, 0.18 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, 1.0 percent for poultry products as defined in § 170.3(n)(34) of this chapter, 0.3 percent for snack foods as defined in § 170.3(n)(37) of this chapter, and 0.08 percent or less for all other food categories.

§ 184.1781 Sodium phosphate, tribasic.

(a) Sodium phosphate, tribasic (Na_3PO_4, CAS Reg. No. 007601–54–9) is also referred to as trisodium phosphate and trisodium monophosphate. It is prepared by reacting orthophosphoric acid (H_3PO_4) with sodium hydroxide (NaOH) and subsequent crystallization. The anhydrous form can be prepared by heating a solution containing three moles of (Na_2O and one mole of P_2O_5 at temperatures greater than 400° C. Based upon the method of preparation, the product is either anhydrous, or contains 1 or 12 molecules of water of hydration.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as an emulsifier as defined in § 170.3(o)(8) of this chapter, formulation aid as defined in § 170.3(o)(23) of this chapter, processing aid as defined in § 170.3(o)(14) of this chapter, pH control agent as defined in § 170.3(o)(24) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener as defined in § 170.3(o)(28) of this chapter, and surface-active agent as defined in § 170.3(o)(29) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.21 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.003 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 0.23 percent for breakfast cereals as defined in § 170.3(n)(4) of this chapter, 3.0 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 0.47 percent for fats and oils as defined in § 170.3(n)(12) of this chapter, 0.2 percent for gravies as defined in § 170.3(n)(24) of this chapter, 0.4 percent for meat products as defined in § 170.3(n)(29) of this chapter, 0.39 percent for snack foods as defined in § 170.3(n)(37) of this chapter, and 0.07 percent or less for all other food categories.

§ 184.1810 Sodium tripolyphosphate.

(a) Sodium tripolyphosphate ($Na_5P_3O_{10}$, CAS Reg. No. 007758–29–4) is also referred to as pentasodium triphosphate and tripolyphosphate. It is prepared by heating an intimate mixture of mono- and disodium orthophosphates. Anhydrous sodium tripolyphosphate occurs in two forms: The low temperature variety (Form II) is obtained by heating to a temperature of 350–450° C, which can be converted to the high temperature variety (Form I) by heating to 500–550° C.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as an antioxidant as defined in § 170.3(o)(3) of this chapter, curing agent as defined in § 170.3(o)(5) of this chapter, flavor enhancer as defined in § 170.3(11) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, sequestrant as defined § 170.3(o)(26) of this chapter, stabilizer and thickener and defined in § 170.3(o)(28) of this chapter, and texturizer as defined in § 170.3(o)(32) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 0.5 percent for fish products as defined in § 170.3(n)(13) of this chapter, 0.7 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter 0.5 percent for seasonings and flavorings as defined in § 170.3(n) of this chapter, 0.6 percent for meat products as defined in § 170.3(n)(29) of this chapter, and 0.5 percent for poultry products as defined in § 170.3(n)(34) of this chapter.

§ 184.1870 Tetrapotassium pyrophosphate.

(a) Tetrapotassium pyrophosphate ($K_4P_2O_7$, CAS Reg. No. 007320–34–5) is also referred to as potassium pyrophosphate. It is prepared by heating dipotassium phosphate (K_2HPO_4) at temperatures above 400° C.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as specified in § 184.1872(c) for tetrasodium pyrophosphate.

(d) The ingredient is used in food, at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in maximum levels, as served, as provided for in § 184.1872(d) for tetrasodium pyrophosphate.

§ 184.1872 Tetrasodium pyrophosphate.

(a) Tetrasodium pyrophosphate. ($Na_4P_2O_7$CAS Reg. No. 007722–88–5) is also referred to as sodium phyrphosphate and tetrasodium diphosphate. It is prepared by heating disodium phosphate (Na_2HPO_4) at temperatures above 400° C but below its melting point of 880° C.

(b) The ingredient meets the specifications of the Food Chemicals Codex, 2d Ed. (1972).[1]

(c) The ingredient is used as an antioxidant as defined in § 170.3(o)(3) of this chapter, curing agent as defined in § 170.3(o)(5) of this chapter, emulsifier as defined in § 170.3(o)(8) of this chapter, formulation aid as defined in § 170.3(o)(14) of this chapter, humectant as defined in § 170.3(o)(16) of this chapter, leavening agent as defined in § 170.3(o)(17) of this chapter, nutrient supplement as defined in § 170.3(o)(17) of this chapter, nutrient supplement as defined in § 170.3(o)(20) of this chapter, pH control agent as defined in § 170.3(o)(23) of this chapter, sequestrant as defined in § 170.3(o)(26) of this chapter, stabilizer and thickener

as defined in § 170.3(o)(28) of this chapter, surface-active agent as defined in § 170.3(o)(30) of this chapter, and synergist as defined in § 170.3(o)(31) of this chapter.

(d) The ingredient is used in food at levels not to exceed good manufacturing practice in accordance with § 184.1(b)(1). Current good manufacturing practice results in a maximum level, as served, of 1.4 percent for baked goods as defined in § 170.3(n)(1) of this chapter, 0.001 percent for nonalcoholic beverages as defined in § 170.3(n)(3) of this chapter, 3.0 percent for cheeses as defined in § 170.3(n)(5) of this chapter, 0.92 percent for imitation dairy products as defined in § 170.3(n)(10) of this chapter, 2.2 percent for gelatin and puddings as defined in § 170.3(n)(22) of this chapter, and 0.5 percent or less for all other food categories.

The agency hereby gives notice that it is unaware of any prior sanctions for the use of these ingredients in foods under conditions different from those proposed herein. Any person who intends to assert or rely on such a sanction shall submit proof of its existence in response to this proposal. The regulation proposed above will constitute a determination that excluded uses would result in adulteration of the food in violation of section 402 of the act (21 U.S.C. 342), and the failure of any person to come forward with proof of such an applicable prior sanction in response to this proposal constitutes a waiver of the right to assert or rely on such sanction at any later time. This notice also constitutes a proposal to establish a regulation under Part 181 (21 CFR Part 181) incorporating the same provisions, in the event that such a regulation is determined to be appropriate as a result of submission of proof of such an applicable prior sanction in response to this proposal.

Interested persons may, on or before February 19, 1980 submit to the Hearing Clerk (HFA–305), Food and Drug Administration, Rm. 4–65, 5600 Fishers Lane, Rockville, MD 20857, written comments regarding this proposal. Four copies of all comments shall be submitted, except that individuals may submit single copies of comments, and shall be identified with the Hearing Clerk docket number found in brackets in the heading of this document. Received comments may be seen in the above office between the hours of 9 a.m. and 4 p.m., Monday through Friday.

In accordance with Executive Order 12044, the economic effects of this proposal have been carefully analyzed, and it has been determined that the proposed rulemaking does not involve major economic consequences as defined by that order.

Dated: August 7, 1979.

William F. Randolph,

Acting Associate Commissioner for Regulatory Affairs.

[FR Doc. 79–38047 Filed 12–17–79; 8:45 a.m.]

BILLING CODE 4110–03–M

DEPARTMENT OF LABOR

Office of Pension and Welfare Benefits Program

29 CFR Part 2550

Rules and Regulations for Fiduciary Responsibility; Proposed Regulations Relating to Definition of Plan Assets and to Establishment of Trust; Reopening of Comment Period

AGENCY: Department of Labor.

ACTION: Notice of reopening of comment period.

SUMMARY: The Department of Labor (the Department) is reopening the comment period on the proposed regulations which would clarify what will be regarded as assets of an employee benefit plan under the Employee Retirement Income Security Act of 1974 (the Act) and provide certain exemptions from the requirement that assets of an employee benefit plan be held in trust. The proposed regulations were set forth in the notice of rulemaking published in the **Federal Register** at 44 FR 50363 (August 28, 1979). In view of the importance of, and the wide-spread interest in, the proposed regulations, this action is being taken to provide interested persons an additional opportunity to present their views to the Department.

DATE: The comment period is reopened through January 7, 1980.

ADDRESS: Submit comments (preferably six copies) to: Office of Fiduciary Standards, Pension and Welfare Benefits Program, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, Attention: Plan Asset Regulations.

FOR FURTHER INFORMATION CONTACT: Robert R. Bitticks, Esq., Office of the Solicitor, U.S. Department of Labor, Washington, D.C. (202) 523–8620.

SUPPLEMENTARY INFORMATION: On August 28, 1979, the Department issued a notice of proposed rulemaking concerning what constitutes "assets" of an employee benefit plan and proposing certain exemptions from the requirement that plan assets be held in trust. In that notice the Department invited all interested persons to submit written data, views or arguments concerning the proposed regulations. In a subsequent notice, published in the **Federal Register** on October 26, 1979, the period for public comment was extended until November 29, 1979.

As noted above, the Department believes that in view of the importance of, and the widespread interest in, the proposed regulations, it is appropriate to reopen the comment period. Accordingly, this notice reopens the comment period during which comments on the proposed regulation will be received until January 7, 1980.

Notice of Extension of Comment Period

Notice is hereby given that the period of time for the submission of public comments on the proposed regulations relating to what will be regarded as assets of an employee benefit plan under the Act and providing certain exemptions from the requirement that assets of an employee benefit plan be held in trust (proposed at 44 FR 50363, August 28, 1979), is hereby reopened through January 7, 1980. All interested persons are invited to submit written data, views or arguments concerning the regulations proposed at 44 FR 50363 (August 28, 1979) on or before January 7, 1980. These data, views or arguments (preferably six copies) should be submitted to the address set forth above.

Signed at Washington, D.C., this 14th day of December 1979.

Ian D. Lanoff,

Administrator, Pension and Welfare Benefits Program, Labor-Management Services Administration, United States Department of Labor.

[FR Doc. 79–38694 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–29–M

VETERANS ADMINISTRATION

38 CFR Ch. I

Improving Government Regulations; Semiannual Agenda of Regulations

AGENCY: Veterans Administration.

ACTION: Semiannual notice of agenda of regulations, significant and nonsignificant, under development or review.

SUMMARY: This agenda announces the regulations, both significant and nonsignificant, that the Veterans Administration will have under development and review during the 6-month period from December 17, 1979 through June 13, 1980. The Veterans Administration's purpose in publishing this agenda is to give the public notice for comment on those regulations under development or review during this 6-month period.

DATE: Comments must be received on or before February 19, 1980.

ADDRESSES: Send written comments to: Administrator of Veterans Affairs (271A), Veterans Administration, 810 Vermont Avenue NW., Washington, D.C. 20420.

FOR FURTHER INFORMATION CONTACT: Celia Fasone, Management Services (61), 810 Vermont Avenue NW., Washington, D.C. 20420, (202–389–3770).

SUPPLEMENTARY INFORMATION:

Additional Comment Information

Comments should be addressed to Administrator of Veterans Affairs (271A), Veterans Administration, 810 Vermont Avenue NW., Washington, D.C. 20420. All written comments will be available for public inspection until February 29, 1980 at the above address, room 132, between the hours of 8 am and 4:30 pm Monday through Friday (except holidays). Persons visiting the VA Central Office for the purpose of inspecting any such comments will be received by the Central Office Veterans Services Unit (271A) in room 132. Persons visiting or calling VA field stations will be informed that the records are available for inspection only in Central Office.

Executive Order 12044, "Improving Government Regulations" requires that executive agencies publish, every 6 months, in the **Federal Register** a semiannual agenda of regulations under development and review. The Veterans Administration's next semiannual agenda of regulations will be published in the June 18, 1980 issue of the **Federal Register.**

Approved: December 12, 1979.

Max Cleland,

Administrator.

Legal authority	Title	Brief description	Contact
Significant Regulations Proposed or Under Development			
Pub. L. 93–43, National Cemeteries Act, June 18, 1973.	Disinterment of Remains from National Cemeteries.	38 CFR 1.621 provides procedures and requirements for disinterment of remains from National Cemeteries.	Earl Zieg, (202) 389–5235.
Pub. L. 95–476, Veterans' Housing Benefits Act of 1978, October 18, 1978 and 38 U.S.C. 1810(a)(4).	Energy Conservation Home Improvement Loan Regulations and Home Improvement Loan Regulations for Alterations, Improvements, or Repairs.	To establish a home improvement loan program for energy conservation improvements and to revise the present home improvement loan program for alterations, improvements or repairs.	George D. Moerman, (202) 389–3042.
Pub. L. 96–22, Veterans' Health Care Amendments of 1979, June 13, 1979.	Definitions	Redefine Veterans Administration facilities to provide authority for furnishing outpatient care at private facilities for veterans receiving aid and attendance or housebound benefits.	Joseph F. Fleckenstein, (202) 389–3785.
Pub. L. 96–22	Medical Care for Certain Philippine Beneficiaries.	Provides authority for furnishing hospital and nursing home care and medical services in the United States at VA health care facilities for treatment of the service-connected disabilities of Commonwealth Army veterans and New Philippine Scouts.	Do.
Pub. L. 96–22	Authorization of Outpatient Dental Treatment.	Provides authority for furnishing outpatient dental treatment: (1) for service-connected, noncompensable dental conditions or disabilities of those veterans who had been prisoners of war for a period of not less than six months, and (2) for any dental disability from which a veteran who has a service-connected disability rated as total is suffering.	Do.
38 U.S.C. 1682(e)	Independent Study	To define "independent study" for VA purposes	June C. Schaeffer, (202) 389–2092.
38 U.S.C. Chapter 31	Vocational Rehabilitation	To improve and modernize the Vocational Rehabilitation Program.	Do.

(These regulations were listed in the June 18, 1979, agenda as Significant Regulations Scheduled for Review. The review has been completed and all regulations require revision.)

NOTE.—Our agenda of June 18, 1979, contained a notice of proposed regulations on "Financial Disclosure for Executive Personnel" under Pub. L. 95–521, Ethics in Government Act of 1978. After a review of this subject we found that the government-wide regulations on this matter will suffice and no additional VA regulations will be required.

Significant Regulations Scheduled for Review			
38 CFR 36.4300–36.4393	Loan Guaranty or Insurance of Home Loans to Veterans.	Sets forth basis requirements for loan origination, loan service, and loan termination of VA guaranteed and insured home and condominium loans, and specifies the rights, duties, and obligations of veterans, lenders, holders, builders, and other entities engaged in activities relating to the VA guaranteed and insured loan programs.	George D. Moerman, (202) 389–3042.

(These regulations were listed in the agenda of June 18, 1979. Review of this large body of regulations is approximately 75% complete.)

Nonsignificant Regulations Proposed or Under Development			
38 CFR 1.450–1.455	Investigation	Covers investigation policies, jurisdiction, and regulations pertaining to Central Office investigations.	William L. Rettew, (202) 389–3093.
38 CFR 1.513 and 1.514	Medical Records Disclosure	To permit medical records disclosure to treating physicians without prior written authorization from the veteran.	Neal Lawson, (202) 389–3294.
38 CFR 1.579	Access to One's Own Records	To establish special procedures for disclosure of an individual's records if they would be harmful to the individual's mental or physical health.	Do.
38 CFR 14.633	Limitation of Recognition	To provide for suspension of agent and attorneys after notice and opportunity for hearing.	Martin D. Gussow, (202) 389–2440.
38 CFR 17.60b	Outpatient Care for VA Employees and Others in Emergencies.	Provides authority for furnishing outpatient care in emergencies to individuals attending national conventions of VA recognized service organizations who are not eligible for medical services as veterans.	Joseph F. Fleckenstein, (202) 389–3785.

38 CFR 17.60g	Priorities for Medical Services	Establishes outpatient treatment priority for compensation examinations.	Do.
38 CFR 36.4212	Combination Interest Rate on Mobile Home Loans.	To establish a single interest rate for any loan in which the veteran is to acquire both a mobile home and a lot on which to site a mobile home.	George D. Moerman, (202) 389-3042.
38 CFR 36.4301, 4303, 4312, 4335	Simultaneous Home Acquisition and Home Improvement Loans and Liberalization of reporting requirements on VA guaranteed and insured home loans.	To authorize home purchasers to simultaneously acquire an existing home and make home improvements including energy conserving improvements. To increase the allowable number of days in which a lender may timely report a fully disbursed home loan to the VA and request a Certificate of Guaranty or Insurance.	Do.
38 CFR 36.4313	Attorney Fees	To increase the allowable attorney fees which may be paid to an attorney handling the foreclosure of a VA guaranteed or insured home or condominium loan.	Raymond L. Brodie, (202) 389-3668.

Nonsignificant Regulations Scheduled for Review

38 CFR 1.512	Disclosure of Information from Loan Guaranty files.	To revise the general regulation governing the release of information from Loan Guaranty files to assure compliance with the Privacy Act of 1974 and the Freedom of Information Act.	George D. Moerman, (202) 389-3042.
38 CFR 3.401(a)	Effective date of award of aid and attendance or housebound benefits.	Amend current effective date regulations to clarify when an award of aid and attendance or housebound benefits is effective.	T. H. Spindle, (202) 389-3005.
(This regulation was listed in the agenda of June 18, 1979 but is still in review process of developing agency positions.)			
38 CFR 19.1-19.5	General Appellate Regulations	General appellate jurisdiction, delegation of authority, subject matter of appeals, disclosure of information, restrictions on payments.	Jan Donsbach, (202) 389-2978.
38 CFR 19.101-19.156	Rules 1-56	Rules of Practice for the Board of Veterans Appeals	Do.
38 CFR 36.4350	Easements	To establish that certain easements for drainage and irrigation ditches do not affect the title or the reasonable value of properties offered as security on VA loans.	Lyman T. Miller, (202) 389-2691.
38 CFR 6.79, 6.80, and 6.86	United States Government Life Insurance Reinstatement.	Change in job titles to Assistant Director for Insurance. Makes the necessary gender changes.	Murray Zuckerman, (215) 496-5733.
38 CFR 6.90	Physical Examinations and Inspections	Enables a physician's assistant to make certain examinations for insurance purposes. Gender changes.	Do.
38 CFR 8.0	National Service Life Insurance Eligibility	To include the Modified Life at Age 70 plan. Gender changer.	Do.
38 CFR 8.1	Definition of and criteria for "good health"	Gender changes.	Do.
38 CFR 8.3	Premiums	To include the 20-Payment Life Plan where appropriate.	Do.
38 CFR 8.24	Application and Medical Evidence	Change in job title to Assistant Director for Insurance. Gender changes.	Do.
38 CFR 8.27	Cash Value	States how long paid-up additions must be in force for cash values.	Do.
38 CFR 8.29	Extended Term and Paid-Up Insurance	To make the necessary changes for the Modified Life at 70 Plan.	Do.
38 CFR 8.33-8.36	Change in Plan	To make the necessary changes for the Modified Life at 70 Plan and 20-Payment Life Plan. Gender changes.	Do.
38 CFR 8.64-8.65	Examinations	Enables a physician's assistant under certain conditions to make an examination. Changes the title to Director for the head of a regional office Gender changes.	Do.
38 CFR 8.70	Claims Alleging Insurance where there is no Application for Insurance on file.	Changes the title of person charged with making original determinations as to valid contracts.	Do.
38 CFR 8.99c	Total Disability Income Provisions	Provides for updated pamphlets dealing with premiums for the Total Disability Income Provisions. Add the 20-Payment Life Plan where appropriate.	Do.
38 CFR 8.100	Insurance Provided by Special Legislation	Gender changes.	Do.
38 CFR 8.102	National Service Life Insurance Appropriations.	Provides for the 20-Payment Life plan where appropriate.	Do.
38 CFR 8.103	National Service Life Insurance Nonparticipating Funds.	Provides for the 20-Payment Life plan where appropriate and gender changes.	Do.
38 CFR 8.106	National Service Life Insurance Policy Forms.	Updates the applicable forms. Includes the Modified Life at Age 70 Plan and the 20-Payment Life plan where appropriate.	Do.
38 CFR 8.110-8.112b	National Service Life Insurance issued on or after April 25, 1951.	Includes the Modified Life at 70 Plan where appropriate and gender changes.	Do.
38 CFR 13.1-13.111	Veterans Assistance—DVB Fiduciary Activities.	Administration of benefits due to incompetent adult beneficiaries or minors.	Charles F. Lee, (202) 389-3643.
38 CFR 36.4283(f)	Resale of Repossessed Mobile Home Units.	To authorize the Administrator to enter into agreements with holders of VA mobile home loans authorizing the lenders to sell the repossessed mobile homes to new purchasers and make partial claims under the Loan Guaranty certificates based on losses incurred as a result of repossessions.	Raymond L. Brodie, (202) 389-3668.
38 CFR 36.4283(h)	Repairs to Repossessed Mobile Home Units	To require loan holders to obtain VA prior approval of repairs to a repossessed mobile home unit if the repairs will cost more than $400.	Do.

[FR Doc. 79-38861 Filed 12-17-79; 8:45 am]
BILLING CODE 8320-01-M

40 CFR Part 52

[FRL 1376-6]

Approval and Promulgation of Implementation Plans; Ohio

AGENCY: U.S. Environmental Protection Agency.

ACTION: Proposed rule.

SUMMARY: U.S. EPA proposes to approve a revision to the Ohio State Implementation Plan for sulfur dioxide as it applies to The Toledo Edison Company's Acme, Bay Shore and Water Street Stations which are located in Lucas County, Ohio. The proposed approval is based upon the results of an extensive air quality dispersion modeling study which demonstrates that the revised emission limitations will not jeopardize the attainment and maintenance of the ambient air quality standards and will result in an improvement in the air quality in Lucas County. The purpose of this notice is to invite public comment on U.S. EPA's proposed revision to the Ohio State Implementation Plan.

DATE: Comments must be received on or before January 17, 1980. Requests for a public hearing on this revisions must be received no later than January 2, 1980.

ADDRESSES: Comments and requests for a hearing should be submitted to Steve Rothblatt, Chief, Air Programs Branch, U.S. EPA, Region V, 230 South Dearborn Street, Chicago, Illinois 60604. The docket (#5A-79-6) for the revision is available for inspection and copying during normal business hours at the above address and at the Central Docket Section, Room 2903B, U.S. EPA, 401 M Street, S.W., Washington, D.C. 20460.

FOR FURTHER INFORMATION CONTACT: Debra Marcantonio, Air Programs Branch, U.S. EPA, Region V, 230 South Dearborn Street, Chicago, Illinois 60604, (312) 886-6048.

SUPPLEMENTARY INFORMATION: On May 31, 1977 (42 FR 27588) the U.S. EPA promulgated final regulations establishing a state implementation plan (SIP) for the control of sulfur dioxide (SO_2) in Ohio. This proposed rule would amend that SIP as it applies to certain sources operated by The Toledo Edison Company in Lucas County, Ohio.

On March 31, 1978, Toledo Edison requested a revision to the Ohio SIP for its sources located in Lucas County, Ohio. That request was accompanied by a dispersion modeling study which had been performed by the Company's consultant using U.S. EPA's Urban Ram Model. After reviewing this study, U.S. EPA requested further technical documentation from Toledo Edison in support of the revision request. An analysis of good engineering practice (GEP) stack heights at Bay Shore was submitted in December 1978. A supplemental dispersion modeling study was submitted to U.S. EPA in September 1979. The September 1979 dispersion modeling study employs a greatly expanded receptor network, five years of meteorological data, an updated and expanded emissions inventory, more critical days, and it models Lucas County as a unit rather than as four separate regions.

Based upon the results of the dispersion modeling study, it is proposed that the SO_2 emission limitation for the coal-fired units at the Acme Station be revised from 3.00 lbs. SO_2/MMBTU to 1.20 lbs. SO_2/MMBTU; the SO_2 emission limitation for the oil-fired units at the Water Street Station be revised from 1.06 lbs. SO_2/MMBTU to 1.00 lbs. SO_2/MMBTU; and the SO_2 emission limitation for the coal-fired units at the Bay Shore Station be revised from 1.20 lbs. SO_2/MMBTU to 1.94 lbs. SO_2/MMBTU. The emission limitations for the Acme oil-fired units and the Bay Shore peaking unit will remain unchanged.

The 1.94 lbs. SO_2/MMBTU emission limitation proposed for the Bay Shore Station takes into account the employment of a new stack that Toledo Edison has constructed at the Station. This new stack is expected to be on-line with all four of the coal-fired units by April 14, 1980.

Although the new stack is actually 475 feet in height, U.S. EPA has determined that Toledo Edison may only claim credit for 385 feet of stack height based upon the application of U.S. EPA's empirical GEP stack height equation. The GEP height of 385 feet was used in the air quality dispersion modeling. A stack height change at the Acme Station was also considered in the development of the proposed emission limitations. Due to structural deterioration, a 275 foot stack at Acme was reduced to 225 equation and was, thus, used in the modeling.

No PSD analysis was required because as of the applicable baseline date, all Toledo Edison sources were emitting at levels in excess of those which would be permitted under the proposed revision. Therefore, no air quality increment will be consumed.

Additionally, Toledo Edison has requested that the wording in § 52.1881(b)(39)(iii)(B) relating to the Bay Shore peaking unit be changed from "fossil fuel fired steam generating units" to "fossil fuel fired peaking unit" to accurately reflect the nature of the unit. U.S. EPA proposes this word change as requested, as the rewording does not change the intent of the original regulation.

Toledo Edison's petition for a revision includes a request for the establishment of a new compliance date of April 15, 1980 for the Acme coal-fired units and the Water Street Station steam plant oil-fired units. The Company's request is premised upon the fact that the proposed emission limitations for these stations are more stringent than the limitations promulgated by U.S. EPA. Thus, some period of time is necessary to consume fuel supplies on site and to secure compliance fuel. In its request, Toledo Edison points out that the existing fuel supplies which would be burned at these stations until April 15, 1980 would comply with the current U.S. EPA promulgated emission limitations. For the Bay Shore plant, the compliance date will not be extended since the new limits are less restrictive than the existing SIP. The Bay Shore station is being given two alternative emission limits, 1.20 pounds SO_2 per million BTU if the present stack is used and 1.94 pounds SO_2 per million BTU when emissions are vented through the new taller stack.

Based upon the Agency's review of the technical documentation submitted, U.S. EPA has determined that approval of the proposed SIP will result in an improvement in air quality in Lucas County and will not jeopardize the attainment and maintenance of the National Ambient Air Quality Standards. Thus, U.S. EPA proposes to approve the revised emission limitations for The Toledo Edison Company's Acme, Bay Shore and Water Street

Stations. U.S. EPA also proposes to approve the new compliance dates for the Acme and Water Street Stations since the new limits are more stringent than the existing SIP, and the ultimate compliance date is a expeditious as practicable and prior to the June 17, 1980 attainment date.

Final promulgation of this revision will follow an analysis of all comments submitted and will depend on its consistency with section 110 of the Clean Air Act. Comments are being solicited.

Note.—The U.S. EPA has determined that this document is not a significant regulation and does not require preparation of regulatory analysis under Executive Order 12044.

(Section 110 of the Clean Air Act, as amended 42 U.S.C. 7410)

Dated: December 6, 1979.

John McGuire,

Regional Administrator.

Part 52 of Chapter I, Title 40 of the Code of Federal Regulations is amended as follows:

Subpart KK—Ohio

1. § 52.1881 is amended by revising paragraphs (b)(39)(iii)(B), adding a new paragraph (b)(39)(iii) (C), and by revising paragraphs (b)(39)(vii) and (ix).

§ 52.1881 Control Strategy: Sulfur Oxides (sulfur dioxide).

* * * * *

(b) Regulations for the control of sulfur dioxide in the State of Ohio

* * * * *

(39) In Lucas County * * *

* * * * *

(iii) The Toledo Edison Company or any subsequent owner or operator of the Bay Shore Station in Lucas County, Ohio shall not cause or permit sulfur dioxide emission from any stack at the Bay Shore Station in excess of the rates specified below:

(A) * * *

(B) 0.50 pound of sulfur dioxide per million BTU actual heat input for the fossil fuel-fired peaking unit burning oil.

(C) In the alternative to § 52.1881(b)(39)(iii)(A), 1.94 lbs. of sulfur dioxide per million BTU heat input for fossil fuel fired steam generating units burning coal and vented through a stack greater than or equal to 385 feet above grand level.

* * * * *

(vii) The Toledo Edison Company or any subsequent owner or operator of the Acme Power Plant in Lucas County, Ohio shall not cause or permit sulfur dioxide emissions from any stack in excess of the rates specified below:

(A) 1.20 pounds of sulfur dioxide per million BTU actual heat input for fossil fuel-fired steam-generating units burning coal.

(B) * * *

(ix) The Toledo Edison Company or any subsequent owner or operator of the Water Street Steam Plant in Lucas County, Ohio shall not cause or permit sulfur dioxide emissions from any stack at the Water Street Plant in excess of 1.00 pounds of sulfur dioxide per million BTU actual heat input.

* * * * *

2. § 52.1882(b) is amended as follows by adding a new subsection (8):

§ 52.1882 Compliance Schedules.

* * * * *

(b) * * *

(8)(i) Federal Compliance schedules for The Toledo Edison Acme Power Plant coal-fired units and the Water Street Steam plant oil-fired units is as set forth in § 52.1882(b) except that § 52.1882(b)(4)(iii)(G) is changed, for these units only, as follows:

(A) April 15,1980: Achieve final compliance with the emission limitation of § 52.1881(b) of this chapter, as applicable and notify the Adminstrator in writing that such action was taken within five working days of said date.

(ii) In the event that the Toledo Edison Bay Shore plant uses the alternative regulation of § 52.1881(b)(39)(iii)(C) and vents its fossil fuel fired steam generating units burning coal through a stack greater than or equal to 385 feet above ground level, the Administrator must be notified in writing that such action was taken within five working days of the connection of the new stack to all four of the coal-fired units.

[FR Doc. 79-38750 Filed 12-17-79 8:45 a.m.]

BILLING CODE 6560-01-M

FEDERAL COMMUNICATIONS COMMISSION

47 CFR Parts 2, 21, 87 and 90

[General Docket No. 79-188; RM-3247]

Allocating Spectrum for, and Establishing Other Rules and Policies Pertaining to the Use of Radio in Digital Termination Systems for the Provision on Common Carrier Digital Telecommunications Services; Order Extending Time for Filing Comments and Replies

AGENCY: Federal Communications Commission.

ACTION: Extension of time for filing comments to Notice of Proposed Rulemaking and inquiry.

SUMMARY: The Commission further extends the dates for the filing of comments and of reply comments to the Notice of Proposed Rulemaking and Inquiry in Docket 79-188, released on August 29, 1979 and issued in response to the rulemaking petition filed by the Xerox Corporation.

DATES: The filing dates for comments and reply comments are extended one additional month. Comments and reply comments must be filed on or before January 14, 1980 and on or before February 14, 1980, respectively.

ADDRESSES: Federal Communications Commission, 1919 M Street NW., Washington, D.C. 20554.

FOR FURTHER INFORMATION, CONTACT: J. Bertron Withers, Jr., Spectrum Allocation Division Office of Science & Technology (202) 632-6350.

Adopted: December 11, 1979.

Released: December 12, 1979.

In the matter amendment of Parts 2, 21, 87 and 90 of the Commission's rules to allocate spectrum for, and to establish other rules and policies pertaining to the use of radio in Digital Termination Systems for the provision on Common Carrier Digital Telecommunications Services, General Docket No. 79-188, RM-3247. See 44 FR 67191, Nov. 23, 1979.

1. On December 7, 1979 Microband Corporation of America (Microband), by its attorneys, pursuant to § 1.46 of the Commission's rules and regulations, 47 CFR 1.46 filed a request to further extend the time for filing comments to January 14, 1980 in the above-captioned matter. Comments on the Notice of Proposed Rulemaking and Inquiry in this matter, released by the Commission on August 29, 1979 are currently due on or before December 14, 1979—extended from the original filing date of November 14, 1979.

2. Microband's intention, it asserts, is to file substantial comments with detailed market and technical analyses. The preparation of these comments requires extensive work necessitating more time to prepare complete and meaningful comments. Microband further suggests that since it was one of those that filed comments to Xerox's petition intiating this proceeding, its responses to the Notice should be of particular interest to the Commission.

3. The Commission believes, as suggested in the previous order extending the comment date to December 14, 1979, that the development of the fullest record practicable could lead the Commission to develop final rules and policies in this matter at the end of the current comment/reply comment period—if the record

developed so justifies. While Microband's justification is not wholly persuasive in itself, the Commission is convinced that a further extension will provide a sounder basis upon which the Commission may formulate these rules and policies. An extension of the 30 days requested by Microband appears appropriate since any reasonably shorter time period falls within or very shortly after the holiday period.

4. However, in the interest of not unduly delaying the resolution of the many important issues inherent in this complex proceeding, any further requests for extension of the comment period will require the presentation of very specific and substantial reasons along with the most extenuating of circumstances. Regarding this present request for the reasons given above, and since we have received no objections and perceive no harm or prejudice to any party, the request for extension of the comment period to Janurary 14, 1980 is granted.

5. Therefore, it is ordered, pursuant to § 0.241(d) of the Commission's rules and regulations, that the dates for filing comments and reply comments in this proceeding are extended from December 14, 1979 and January 14, 1980, respectively. Comments must now be filed on or before January 14, 1980; reply comments must now be filed on or before February 14, 1980.

Federal Communications Commission.

S. J. Lukasik

Chief Scientist.

[FR Doc. 79-38714 Filed 12-17-79; 8:45 am]

BILLING CODE 6712-01-M

Notices

Federal Register
Vol. 44, No. 244
Tuesday, December 18, 1979

This section of the FEDERAL REGISTER contains documents other than rules or proposed rules that are applicable to the public. Notices of hearings and investigations, committee meetings, agency decisions and rulings, delegations of authority, filing of petitions and applications and agency statements of organization and functions are examples of documents appearing in this section.

DEPARTMENT OF AGRICULTURE

Rural Electrification Administration

Basin Electric Power Cooperative, Final Environmental Impact Statement

Notice is hereby given that a Final Environmental Impact Statement, DOE/EIS–0025–F, Miles City-Baker-Hettinger-New Underwood 230 kV transmission line, Montana-North Dakota-South Dakota was issued and filed with the Environmental Protection Agency on July 30, 1979. The Western Area Power Administration assumed lead agency responsibility for the preparation of the Environmental Impact Statement for this project.

The Rural Electrification Administration participated in the preparation of this Environmental Impact Statement as Cooperating Agency No. USDA–REA–EIS (ADM 79–4–F) in accordance with Section 102(2)(C) of the National Environmental Policy Act of 1969 and in connection with a proposed request for a loan guarantee commitment from the Rural Electrification Administration from Basin Electric Power Cooperative of Bismarck, North Dakota. This loan guarantee commitment is planned to assist Basin Electric Power Cooperative in obtaining financing for a 25 percent ownership interest in the Miles City-Baker-Hettinger-New Underwood 230kV transmission line.

Additional information may be secured by request submitted to the Assistant Administrator-Electric, Rural Electrification Administration, U.S. Department of Agriculture, Washington, D.C. 20250. Individual copies of the Final Environmental Impact Statement are available upon request addressed to James D. Davies, Area Manager, Western Area Power Administration, Department of Energy, P.O. Box EGY, Billings, Montana 59101. The Final Environmental Impact Statement may be examined during regular business hours (1) at the library, Room 1223, Department of Energy, 20 Massachusetts Avenue, N.W., Washington, D.C., or (2) at DOE, Room GA, Forrestal Building, 1000 Independence Avenue, S.W., Washington, D.C., (3) at the offices of Basin Electric Power Cooperative, 1717 East Interstate Avenue, Bismarck, North Dakota, or (4) at the office of the USDA/REA, North Central Area-Electric, Room 5829, 14th & Independence Avenue, S.W., Washington, D.C.

Final REA action with respect to this matter (including any release of funds) may be taken after 30 days, but only after REA has reached satisfactory conclusions with respect to environmental effects and after requirements set forth in the National Environmental Policy Act of 1969 are met.

Dated at Washington, D.C., this 11 day of December 1979.

Robert W. Feragen,
Administrator, Rural Electrification Administration.

[FR Doc. 79–38660 Filed 12–17–79; 8:45 am]
BILLING CODE 3410–15–M

Soil Conservation Service

Newtown-Hoffman Watershed Project, New York; Notice of Intent To Prepare an Environmental Statement

AGENCY: Soil Conservation Service, U.S. Department of Agriculture.

ACTION: Notice of Intent To Prepare an Environmental Impact Statement.

FOR FURTHER INFORMATION CONTACT:
Mr. Robert L. Hilliard, State Conservationist, Soil Conservation Service, U.S. Courthouse and Federal Building, 100 S. Clinton Street, Room 771, Syracuse, New York 13260, telephone number (315) 423–5493.

NOTICE: Pursuant to section 102(2)(g) of the National Environmental Policy Act of 1969; the Council on Environmental Quality Guidelines (40 CFR Part 1500); and the Soil Conservation Service Guidelines (7 CFR Part 650); the Soil Conservation Service, U.S. Department of Agriculture, gives notice that an environmental impact statement is being prepared for the remaining works of improvement in the Newtown-Hoffman Watershed project, Chemung and Schuyler Counties, New York.

The environmental assessment of this federally-assisted action indicates that the project may cause significant local, regional, or national impacts on the environment. As a result of these findings, Mr. Robert L. Hilliard, State Conservationist, has determined that the preparation and review of the environmental impact statement is needed for the remaining works of improvement in this project. The project concerns a plan for the purpose of flood prevention. The remaining works of improvement include land treatment and floodwater retarding structure sites 12E, 5A, and 2.

A draft environmental impact statement will be prepared and circulated for review by agencies and the public. The Soil Conservation Service invites participation of agencies and individuals with expertise or interest in the preparation of the draft environmental impact statement. The draft environmental impact statement will be developed by Mr. Robert L. Hilliard, State Conservationist, Soil Conservation Service, U.S. Courthouse and Federal Building, 100 S. Clinton Street, Room 771, Syracuse, New York 13260.

Dated: December 10, 1979.

(Catalog of Federal Domestic Assistance Program No. 10.904, Watershed Protection and Flood Prevention Program—Pub. L. 83–566, 16 U.S.C. 1001–1008)

Victor H. Barry, Jr.,
Deputy Administrator for Programs.

[FR Doc. 79–38590 Filed 12–17–79; 8:45 am]
BILLING CODE 3410–16–M

CIVIL AERONAUTICS BOARD

[Docket 37114; Order 79–11–177]

Trans World Airlines, Inc.; Transatlantic Arbitrary Fare Increases; Order of Suspension and Investigation

Correction

In FR Doc. 79–37258 appearing on page 69702 in the issue of Tuesday, December 4, 1979, the order number in the heading reading "Order 79–11–17" should have read "Order 79–11–177".

BILLING CODE: 1505–01–M

DEPARTMENT OF COMMERCE

Industry and Trade Administration

Applications for Duty-Free Entry of Scientific Articles

The following are notices of the receipt of applications for duty-free entry of scientific articles pursuant to Section 6(c) of the Educational, Scientific, and Cultural Materials Importation Act of 1966 (Public Law 89–651; 80 Stat. 897). Interested persons may present their veiws with respect to the question of whether an instrument or apparatus of equivalent scientific value for the purposes for which the article is intended to be used is being manufactured in the United States. Such comments must be filed in triplicate with the Director, Statutory Import Programs Staff, Bureau of Trade Regulation, U.S. Department of Commerce, Washington, D.C. 20230, by January 7, 1980.

Regulations (15 CFR 301.9) issued under the cited Act prescribe the requirements for comments.

A copy of each application is on file, and may be examined between 8:30 a.m. and 5:00 p.m., Monday through Friday, in Room 735 at 666 11th Street N.W., Washington, D.C.

Docket No.: 80–00023. Applicant: Duke University, Durham, North Carolina 27710. Article: 12KW High Brilliance Rotating Anode Generator and Accessories. Manufacturer: Rigaku Corporation, Japan. Intended use of article: The article is intended to be used for studies of human liver manganese superoxide dismutase and chicken liver sulfite oxidase. Experiments to be conducted will consist of: (1) the collection of complete 3-dimensional X-ray diffraction data on crystals of both enzymes, out to at least 3 Angstrons resolution, for both the native crystals and crystals containing heavy atom derivatives, (2) location of the heavy atoms and use of them to determine phases for the native data, and (3) calculation of electron density maps at 3 Angstroms resolution or better. The objective of these experiments is the determination of a backbone tracing and complete 3-dimensional structure for both the Mn superoxide dismutase and the sulfite oxidase molecules. In addition, the article will be used in the training of advanced graduate students. Application received by Commissioner of Cutoms: November 13, 1979.

Docket No.: 80–00024. Applicant: Princeton University, Plasma Physics Laboratory, P.O. Box CN17, Princeton, New Jersey 08544. Article: Two (2) Carcinotron Tubes, Model CO 10.1. Manufacturer: Thomson-CSF, France. Intended use of article: The articles are intended to be used as a swept local oscillators for a 290 GHz to 300 GHz interferrometer used in the electron density diagnostics of high temperature hydrogen plasmas associated with the development of nuclear fusion power generators. The articles will also be used as the millimeter microwave source for a microwave scattering system used to measure other plasma conditions. Application received by Commissioner of Customs: November 13, 1979.

Docket No.: 80–00025: Applicant: The University of Missouri-Rolla, Purchasing Department, Rolla, Missouri 65401. Article: Flow System for study of two-phase turbulent flow. Manufacturer: Swiss Federal Institute of Technology, Switzerland. Intended use of article: The article is intended to be used for studies of turbulent structure at fluid interfaces, wind-generated waves, structure of turbulent shear flow. Laser Droppler Anemometer measurements of mean and fluctuating velocities, including second order space-time correlations will be conducted in order to obtain a fundamental understanding of the basic phenomena cited above. In addition, the article will be used in the courses Graduate Research Ch. E.–490 and Fluid Mechanics Ch. E–231. Application received by Commissioner of Customs: November 13, 1979.

Docket No.: 80–00031. Applicant: Princeton University, Director of Purchases, P.O. Box 33, Princeton, New Jersey 08544. Article: 12KW High Brilliance Rotating Anode X-ray Generator. Manufacturer: Rigaku Corporation, Japan. Intended use of article: The article is intended to be used to study the structure of complex biological systems including vertebrate muscles and the rod outer segment disk membranes of the vertebrate eye. The article will also be an essential part of training of graduate students doing doctoral thesis work. Application received by Commissioner of Customs: November 16, 1979.

Docket No.: 80–00032. Applicant: University of Texas Medical Branch, Room 322, Administration Bldg., 915 Strand Street, Galveston, Texas 77550. Article: Electron Microscope, Model JEM 1000X. Manufacturer: JEOL Ltd., Japan. Intended use of article: The article is intended to be used for the study of the structure of biological cells and tissues primarily those of the nervous system including special sensory and cardiovascular organs. The study of structure is related to neurochemical transmission, excitable membranes and ultrastructural correlates of chemical interaction of nerve cells. Similarly the article will be used to determine the ultrastructural substrate and basis for chemical activity of the nervous system during normal and/or abnormally related functional state. Application received by Commissioner of Customs: November 16, 1979.

Docket No.: 80–00034. Applicant: U.S. Department of Commerce—National Bureau of Standards, 325 Broadway, Boulder, CO 80303. Article: Microfabrication System, Scanning Electron Microscope/Electron Beam, Type S150–1 and Accessories. Manufacturer: Cambridge Instrument Co., United Kingdom. Intended use of article: The article is intended to be used primarily for research in superconducting electronics, i.e., electronics based on superconducting materials. In addition, the article will be used in the development of linewidth measurement artifacts in the submicrometer dimensional regime. Application received by Commissioner of Customs: November 19, 1979.

Docket No.: 80–00035. Applicant: University of Oregon Health Sciences Center, 3181 SW Sam Jackson Pk. Road., Portland, OR 97201. Article: Biotec Replicator. Manufacturer: Biotec-Aktiengesellschaft, Switzerland. Intended use of article: the article is intended to be used for the study of antibody production by mouse lymphocytes to understand function development in B lymphocytes. Experiments will be conducted with the objective of answering the following questions:

1. Does the memory pool consist of both antigen sensitive and antigen insensitive precursors and from which fraction do allogeneic regulatory cells recruit additional TI–2 responsive B1*y* precursors?
2. Can graft vs host reactions during priming alter the subsequent B1*y* –B2*y* balance of the memory pool?
3. Does the alteration of this balance which we have observed when allogeneic cells are present during secondary stimulation reflect earlier events which can occur during the development of the memory pool?
4. Which genetic loci are involved in allogeneic suppression of B2*y* precursors and enhancement of B1*y* precursors?

Application received by Commissioner of Customs: November 19, 1979.

Docket No.: 80–00036. Applicant: Memorial Sloan-Kettering Cancer Center, 1275 York Avenue, New York, New York 10021. Article: Afterloading-Irradiation Device for Tumor Therapy.

Manufacturer: Isotopen-Technik Dr. Sauerwein, GMBH, West Germany. Intended use of article: The article is intended to be used in various experimental studies aimed at a better understanding of treatment parameters. For example, and initial investigation planned would examine the relative doses of radiation required to reach the same degree of skin reaction, using mini-swine, for high dose rate treatments with the Remote Afterloader in (about 1 mg Ra eq) Ir–192 sources to the skin surface. Ir–192 remote afterloader treatments would provide normalizing data for a series of experiments investigating different types of sources and different time modes of treatment. The article will also be used for educational objectives in a Radiation Oncology Training program for residents and fellows. Application received by Commissioner of Customs: November 11, 1979.

Docket No.: 80–00030. Applicant: Memorial Sloan-Kettering Cancer Center, 1275 York Avenue, New York N.Y. 10021 Article: Therac 20/Saturne Medical Linear Accelerator and Accessories. Manufacturer: AECL, Canada. Intended use of article: the article is intended to be used for the treatment and study of effects of many forms of head and neck cancers, breast cancer and other peripherally situated tumors in addition to more extensive and deep seated lesions. The research programs in which the article will be used will include the following studies:

(1) Total Nodal Irradiation for Hodgkin's Disease and Non-Hodgkin's Lymphoma.

(2) Interdisciplinary Study of the Management of Embryonal Rhabdomyosarcoma in Children.

(3) Combination Chemotherapy and Radical Radiation in Advanced Cancers of the Head and Neck.

(4) Gynecological Malignancies.

Application received by Commissioner of Customs: November 20, 1979.

(Catalog of Federal Domestic Assistance Program No. 11.105, Importation of Duty-Free Educational and Scientific Materials)

Richard M. Seppa,

Director, Statutory Import Programs Staff.

FR Doc. 79–38682 Filed 12–17–79 8:45 am]

BILLING CODE 3510–25–M

National Oceanic and Atomospheric Administration

Intent To Prepare an Environmental Impact Statement

The Office of Coastal Zone Management in the National Oceanic and Atmospheric Administration (NOAA) is preparing and intends to distribute a draft environmental impact statement (DEIS) on the proposed approval of the Connecticut Coastal Zone Management Program under the provisions of section 306 of the Federal Coastal Zone Management Act of 1972 (Pub. L. 92–583, as amended).

Federal approval of the Connecticut Coastal Zone Management Program would allow program administrative grants to be awarded to the State and require that Federal actions be consistent with the program.

The program consists of numerous policies on diverse management issues which are enforced by various State laws, and is the culmination of five years of program development. The Connecticut Program will condition, restrict or prohibit some uses in parts of the coastal zone, while encouraging development and other uses in other parts. The program will improve the decision-making process for determining appropriate coastal land and water uses in light of resource considerations and increase public awareness of coastal resources. The program will result in some short-term economic impacts on coastal users but will lead to increased long-term protection of the State's coastal resources. Federal alternatives include delaying or denying approval if certain requirements of the Coastal Zone Management Act have not been met. The State could modify parts of the program or withdraw their application for Federal approval if either of the above Federal alternatives results from the circulation of the DEIS.

OCZM would be particularly interested in comments on the following areas:

(1) The extent to which the State should promulgate regulations to provide further specificity to local governments implementing the program,

(2) The extent to which beach access is adequately addressed in the program,

(3) The extent to which the State should promulgate regulations to provide further specificity to the Department of Environmental Protection in implementing the program,

(4) The adequacy of the mechanisms for State administrative review and enforcement of compliance of local government decisions.

OCZM feels that a scoping meeting is not necessary on this program due to the extensive legislative review of this program during hearings on the Connecticut Coastal Area Management Act of 1979, and numerous public meetings held by the State on the development of this program.

It is intended that the DEIS will be distributed in January, 1980. OCZM therefore requests that any interested party submit comments before December 29, 1979 to:

Ms. Kathryn Cousins or Mr. Dick O'Connor, North Atlantic Region, Office of Coastal Zone Management, 3300 Whitehaven St., NW., Washington, D.C. 20234 (202/634–4126).

Any comments received after this date will be considered as comments on the DEIS and responded to accordingly.

Dated: December 10, 1979.

Francis J. Balint,

Acting Director, Office of Management & Computer Systems.

[FR Doc. 79–38581 Filed 12–17–79; 8:45 am]

BILLING CODE 3510–08–M

National Oceanic and Atmospheric Administration

New England Fishery Management Council's Scientific and Statistical Committee; Public Meeting

AGENCY: National Marine Fisheries Service, NOAA.

SUMMARY: The New England Fishery Management Council, established by Section 302 of the Fishery Conservation and Management Act of 1976 (Pub. L. 94–265), has established a Scientific and Statistical Committee (SSC) which will meet to discuss: Committee review of Northeast Fishery Task Force Overview Document; the process of developing attainable objectives for fishery management; Lobster; and other Committee business.

DATES: The meeting will convene on Wednesday, January 9, 1980, at approximately 10 a.m. and will adjourn at approximately 5 p.m. The meeting is open to the public.

ADDRESS: The meeting will take place at the Logan Hilton Hotel, Logan International Airport, Boston, Massachusetts.

FOR FURTHER INFORMATION CONTACT: New England Fishery Management Council, Peabody Office Building, One Newbury Street, Peabody, Massachusetts 01960, Telephone (617) 535–5450.

Date: December 12, 1979.

Winfred H. Meibohm,

Executive Director, National Marine Fisheries Service.

[FR Doc. 79–38787 Filed 12–17–79; 8:45 am]

BILLING CODE 3510–22–M

Office of the Secretary

Summary of the International Laboratory Accreditation Conference (ILAC) Held in Sydney, Australia on October 22–26, 1979

The Third International Conference on Recognition of National Programs for Accreditation of Testing Laboratories, ILAC/79 was held in Sydney, Australia on October 22–28, 1979. The conference was officially renamed the International Laboratory Accreditation Conference during the proceeding and will henceforth be known by this name. ILAC is an informal assemblage of nations and international organizations interested in promoting international recognition of national laboratory accreditation systems. The objective of ILAC is to facilitate international trade of products and services for which reliable reports of test data are needed prior to their importation and/or exportation. The first conference, ILAC/77, was held in Copenhagen, Denmark, on October 24–28, 1977. The second conference, ILAC/78, was held in Washington, D.C., USA, on October 23–27, 1978.

Representatives from 21 countries and 7 international organizations attended ILAC/79 in Sydney. The United States Delegation consisted of Messrs. T. R. Flint, American Plywood Association, J. A. Grant, Amoco Oil Company, J. C. Herr, General Dynamics, W. McAdams, General Electric Co., L. J. Walker, Northern Testing Laboratories, Inc. and B. Whitaker, Underwriters Laboratories, Inc. from the private sector, L. D. Eicher and A. J. Farrar from the National Bureau of Standards, and H. I. Forman, J. W. Locke, and V. Travaglini from the Department of Commerce, with Dr. Forman serving as head of the delegation.

A public pre-conference briefing session was held at the National Bureau of Standards on September 26, 1979 in order to develop positions which the U.S. Delegation later advocated in Sydney. No public post-conference briefing is planned, partly because most of the work of the conference is to be continued by the previously designated task forces until ILAC/80 scheduled to be held in Paris on October 20–24, 1980, and partly because minutes of the conference will be available as soon as published by the conference chairman, Mr. H. F. Monaghan of Australia.

Substance of the Conference

The work of the conference was focused on the efforts of three task forces.

Task Force A. Mr. Allen J. Farrar (USA), Chairman

To prepare an analysis of legal problems raised by the recognition of national laboratory accreditation systems based on information obtained from a questionnaire on the subject.

Task Force B. Mr. J. Stanley Linton (UK), Chairman

To identify the scope and structure of a draft directory of organizations or bodies which operate laboratory accreditation systems or other schemes for testing laboratories, and to work with the chairman of the Australian delegation who has volunteered to prepare a draft of the directory for ILAC/79.

Task Force C. Mr. John A. Gilmour (Australia), Chairman

To prepare a paper on the needs, objectives, and the effects and consequences of laboratory accreditation and to prepare a list of basic terms and their definitions relative to laboratory accreditation or assessment.

Introduction to the Conference

Senator J. J. Webster, Minister of Science and the Environment of the Australian government opened the conference by welcoming the delegates and encouraging the development of laboratory accreditation systems. Chairman Monaghan followed by summarizing the proceedings of ILAC/78 and summarizing the efforts of the ILAC conferences to date.

Attachment A

Report of Task Force A

The chairman of this task force advised that, in response to the five categories of questions in the ILAC questionnaire, over 600 pages of information and data from 14 countries had been received and analyzed. He further advised that responses from 7 more countries had been received prior to the start of the Sydney Conference but after the first report of Task Force A had been prepared.

By way of introduction, the chairman pointed out that Task Force A, in reviewing the various responses, considered not only specific legal constraints to the formal recognition by one country of another country's laboratory accreditation programs or systems, but also other relevant factors bearing on such formal recognition.

In analyzing the responses to Question I of the questionnaire, which sought information on the legal aspects pertaining to laboratory testing in relation to product conformance, the task force found that, in many instances, mandatory requirements for testing products prescribe that only specific laboratories that are named in the laws or regulations of the countries having such requirements may carry out tests relevant to those requirements. It may therefore be necessary, in those instances, for such laws or regulations to be amended so as to allow other testing laboratories which have been accredited under a recognized laboratory accreditation program, to carry out the appropriate tests on the products covered by those laws or regulations.

In seeking information under Question II of the questionnaire which, in part, solicited information on whether laboratory accreditation programs could accredit foreign testing laboratories under such programs it appeared that while some accreditation programs are able to accredit foreign testing laboratories, others are not, and in some cases, the position was not clear.

In considering the responses to Question III, which, in part, sought information on whether countries impose requirements or obligations on foreign testing laboratories which do business in the host country that are different than those imposed on domestic laboratories, the task force found that, as a general rule, countries do not impose on foreign laboratories requirements which differ materially from those imposed on domestic laboratories.

With regard to Question IV, which was concerned with the issue of liability of accrediting bodies for acts of negligence in the accreditation of testing laboratories, the task force, on the basis of the responses considered, found relatively little evidence of specific laws or regulations which immunize an accrediting body from acts of negligence. However, some government laboratory accreditation programs provide some immunity, or limits on liability, on the basis of discretionary acts or where such programs are in compliance with formal regulations. The task force found no court decisions whereby accrediting bodies were found liable relative to any act of negligence in accrediting a testing laboratory under an established laboratory accreditation program.

Question V sought information about laws and procedures pertaining to recognition of foreign laboratory accreditation programs operating in the mandatory as well as the voluntary sectors. Based on the responses received, it appeared that most laws and regulations are silent on the subject of

V 44 DE 18 7 9 UMI

needed to be clarified; (2) a further analysis of these responses, as well as of the responses received after the report's preparation, was essential; and, (3) further study of the legal implications relating to various aspects associated with the accreditation of testing laboratories under a recognized laboratory accreditation program was necessary.

The task force indicated that it was prepared to continue its work and report more fully on its findings at the ILAC/80 meeting.

Report on Task Force B

The chairman of this task force described the general outline for the proposed directory. Part one of the directory would contain general testing arrangements describing how testing work was recognized in the various countries. This would allow the reader to understand how testing is accomplished and how test reports are recognized in the various countries. The second part of the directory would specifically summarize accreditation systems. Both government and non-government systems would be included but only systems meeting minimum criteria or minimum conditions of entry would be included in the directory as envisioned by the task force.

Mr. Monaghan who had prepared a draft of the directory based on these instructions then described the draft which had been distributed at the opening of the meeting to all of the delegates. There was some concern that this draft was not very inclusive, but Mr. Monaghan pointed out that the purpose of the draft was to describe the layout and format rather than to include all the information he had available at the time the draft was prepared.

There was considerable discussion over conditions which laboratory accreditation systems must meet in order to be included in the directory. The conditions were reviewed one at a time and comments recorded. The chairman of the U.S. delegation presented an argument for including all systems in the directory. He used several examples of the kind of systems which would be excluded if minimum criteria for entry were to be employed, and expressed the U.S. position that this was not as desirable as an all-encompassing directory from which the user could select the system of interest and determine if they met the user's requirements. In a straw vote the task force should review the situation again and try to decide if there was a way to include all systems which might be of interest without denying to those interested information concerning systems which are categorized as meeting stated minimum conditions for entry into the directory.

Report on Task Force C

The chairman of this task force reported that the Task Force C has attempted to coordinate its activities with the International Standards Organization (ISO) with only limited success. The task force met and prepared a document entitled "The Needs, Objectives, Effects and Consequences of Testing Laboratory Accreditation." This document was intended to provide an overview of the concept of laboratory accreditation and was well received by the conference. A second document presented by the task force was a set of terms and definitions prepared by that task force. During the discussion the ISO delegate indicated that ISO was prepared to work with ILAC in the preparation of a final set of definitions, and the conference indicated it was pleased to accept that offer. The task force also suggested that a comparison of criteria used by the major accreditation systems should be undertaken by the task force for the ILAC/80 meeting. Finally the task force recommended that a central inquiry point be established in each country to provide information on accreditation systems and accredited laboratories. The conference generally approved of these recommendations.

Resolutions

Each country was invited to present to the conference resolutions as a result of the presentations of the task forces during the meeting. The resolutions were listed in numerical sequence and reviewed by each of the delegations. On the final day each of the resolutions was considered one at a time and voted upon by the conference. Although the chairman of the conference attempted to establish voting rules which would provide consensus, the conference did not respond to his invitation to establish such rules. In the absence of such voting rules the chairman opened discussion and continued discussion on each proposed resolution until there seemed to be agreement by all parties involved. The exact wording of the resolutions must await the official transcript of the dealt with the following key issues:

(1) Mexico offered to host an ILAC conference in Mexico City in 1981. The European Economic Community was interested in postponing additional meetings until two or possibly three years after the Paris meeting. The conference agreed that it was appropriate to plan on the continuation of ILAC at Mexico City in 1981 at this time since the location of appropriate facilities and the planning of various necessary arrangements may take more than one year to accomplish satisfactorily. With this in mind, the head of the Mexican delegation was placed on the Planning and Agenda Committee for ILAC/80.

(2) ILAC/79 generally encouraged all nations to develop national systems for accrediting their laboratories along lines which will generally be recognized and utilized by the nations.

(3) ILAC/79 recommended that there be in each country a central inquiry point to provide information on accreditation systems, accredited laboratories and other national testing arrangements.

(4) ILAC/79 requested that Task Force C undertake a thorough comparison of criteria used by a representative selection of existing accreditation systems for the accreditation of testing laboratories to be considered at ILAC/80 with a view to providing the comparison to international organizations for further development of laboratory accreditation criteria following ILAC/80, and providing the due course minimum criteria for recognition of accreditation systems across national borders.

(5) ILAC/79 requested that a task force be established to prepare a bibliography of published information on laboratory accreditation systems and components of such systems.

(6) ILAC/79 agreed to accept the offer of the Australian delegate to prepare a second draft of the proposed directory of national testing arrangements and laboratory accreditation systems for consideration at ILAC/80.

(7) The objectives of the meeting of ILAC/80 in Paris were defined as follows: (a) to agree to a set of definitions to be used internationally when referring to laboratory accreditation as drawn up under the auspices of the ISO;

(b) to make a comparison of criteria used by laboratory accreditation systems and accreditation of testing laboratories to be considered at ILAC/80 with a view to providing the comparison to international organizations for further development of laboratory accreditation criteria following ILAC/80, and providing the due course minimum criteria for recognition of accreditation systems across national borders.

(5) ILAC/79 requested that a task force be established to prepare a bibliography of published information on laboratory accreditation systems and components of such systems.

(6) ILAC/79 agreed to accept the offer of the Australian delegate to prepare a second draft of the proposed directory of national testing arrangements and laboratory accreditation systems for consideration at ILAC/80.

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(b) to make a comparison of criteria used by laboratory accreditation systems and accreditation of testing laboratories to be considered at ILAC/80 with a view to providing the comparison to international organizations for further development of laboratory accreditation criteria following ILAC/80, and providing the due course minimum criteria for recognition of accreditation systems across national borders.

(5) ILAC/79 requested that a task force be established to prepare a bibliography of published information on laboratory accreditation systems and components of such systems.

(6) ILAC/79 agreed to accept the offer of the Australian delegate to prepare a second draft of the proposed directory of national testing arrangements and laboratory accreditation systems for consideration at ILAC/80.

(7) The objectives of the meeting of ILAC/80 in Paris were defined as follows: (a) to agree to a set of definitions to be used internationally when referring to laboratory accreditation as drawn up under the auspices of the ISO;

(b) to make a comparison of criteria used by laboratory accreditation systems and accreditation of testing laboratories to be considered at ILAC/80 with a view to providing the comparison to international organizations for further development of laboratory accreditation criteria following ILAC/80, and providing the due course minimum criteria for recognition of accreditation systems across national borders. The comparison should be undertaken by the task force for the ILAC/80 meeting. Finally the task force recommended that a central inquiry point be established in each country to provide information on accreditation systems and accredited laboratories. The conference generally approved of these recommendations.

Resolutions

Each country was invited to present to the conference resolutions as a result of the presentations of the task forces during the meeting. The resolutions were listed in numerical sequence and reviewed by each of the delegations. On the final day each of the resolutions was considered one at a time and voted upon by the conference. Although the chairman of the conference attempted to establish voting rules which would provide consensus, the conference did not respond to his invitation to establish such rules. In the absence of such voting rules the chairman opened discussion and continued discussion on each proposed resolution until there seemed to be agreement by all parties involved. The exact wording of the resolutions must await the official transcript of the

the recognition of laboratory accreditation systems at international levels; and (d) to improve a revised draft of the first international directory and to recommend means of publishing and updating such a directory.

(8) ILAC/79 recognized that product liability considerations and implementation of international agreements concerning technical barriers to trade are outside the scope of ILAC activities. With this in mind, ILAC/79 requested Task Force A to prepare its report of the results of its investigation into the reasons for which accreditation programs do or do not accredit foreign laboratories and the major difficulties arising from such mutual recognition.

(9) ILAC/79 recommended that Task Force B should review and where necessary revise minimum condition of entry into the proposed directory and should advise the National Association of Testing Authorities of Australia on the preparation of a second issue of the draft directory to be circulated to those attending the ILAC/80 conference. Task Force B is also encouraged to report on the problems encountered in collecting and presenting the information including costs and size of the directory and should make proposals for its further maintenance and dissemination.

(10) ILAC/79 noted with pleasure the decision of the ISO council (expressed in council resolution 42/1979) to request ISO/STACO to assist in the development of definitions required for the council decision and further expressed to ISO its wish to cooperative by participate in the work of ISO/STACO and development of the required definitions by nominating qualified persons from among ILAC delegations to assist in this work. ILAC/79 also expressed its wish for ISO to make a presentation of its work at the next meeting of ILAC.

(11) In responding to the ISO decision to request ISO's STACO to assist in developing definitions, the chairman of ILAC/80, with advice from Task Force C, is requested to nominate qualified persons to participate in the work of ISO/STACO.

(12) ILAC/79 commended the excellent work of Task Forces A and B and asked them to continue their work with a view to preparing updated reports in the light of discussions at the Sydney conference for presentation at ILAC/80.

(13) ILAC/79 requested that Task Force B be asked to review further the

the recognition of laboratory accreditation systems at international levels; and (d) to improve a revised draft of the first international directory and to recommend means of publishing and updating such a directory.

(8) ILAC/79 recognized that product liability considerations and implementation of international agreements concerning technical barriers to trade are outside the scope of ILAC activities. With this in mind, ILAC/79 requested Task Force A to prepare its report of the results of its investigation into the reasons for which accreditation programs do or do not accredit foreign laboratories and the major difficulties arising from such mutual recognition.

(9) ILAC/79 recommended that Task Force B should review and where necessary revise minimum condition of entry into the proposed directory and should advise the National Association of Testing Authorities of Australia on the preparation of a second issue of the draft directory to be circulated to those attending the ILAC/80 conference. Task Force B is also encouraged to report on the problems encountered in collecting and presenting the information including costs and size of the directory and should make proposals for its further maintenance and dissemination.

(10) ILAC/79 noted with pleasure the decision of the ISO council (expressed in council resolution 42/1979) to request ISO/STACO to assist in the development of definitions required for the council decision and further expressed to ISO its wish to cooperative by participate in the work of ISO/STACO and development of the required definitions by nominating qualified persons from among ILAC delegations to assist in this work. ILAC/79 also expressed its wish for ISO to make a presentation of its work at the next meeting of ILAC.

(11) In responding to the ISO decision to request ISO's STACO to assist in developing definitions, the chairman of ILAC/80, with advice from Task Force C, is requested to nominate qualified persons to participate in the work of ISO/STACO.

(12) ILAC/79 commended the excellent work of Task Forces A and B and asked them to continue their work with a view to preparing updated reports in the light of discussions at the Sydney conference for presentation at ILAC/80.

(13) ILAC/79 requested that Task Force B be asked to review further the known as "International Laboratory Accreditation Conferences: and that its official acronym shall be 'ILAC.'"

(15) ILAC/79 requested that all task force reports to be presented at ILAC/80 be made available to the convener of ILAC/80 before September 1, 1980.

(16) ILAC/79 commended the National Association of Testing Authorities of Australia for its excellent preparations and outstanding hospitality during the ILAC/79 Conference with special appreciation to Mr. H. Francis Monaghan, Chairman of ILAC/79, for the success of the Conference.

(17) ILAC/79 recognized that the International Electrotechnical Commission (IEC) shall be regarded together with ISO as an international standards producing body.

Future Activities

Task Forces A, B, and C are scheduled to meet in May 1980 to conclude their efforts in preparing reports for ILAC/80 which will be held in Paris, France, October 27–31, 1980. The official summary minutes of the meeting which are to be prepared by the Australian chairman of the conference may be reviewed at the Office of Product Standards, room 3876, U.S. Department of Commerce, Washington, D.C. 20230, when they are received. Persons wishing to be notified when those minutes have been received may do so by contacting the undersigned either by letter or by telephone (202) 377–3221.

Signed: December 12, 1979.

Howard I. Forman,

Deputy Assistant Secretary for Product Standards.

[FR Doc. 79–38598 Filed 12–17–79; 8:45 am]

BILLING CODE 3510–17–M

DEPARTMENT OF DEFENSE

Corps of Engineers, Department of the Army

Intent To Prepare a Draft Environmental Impact Statement (DEIS) for Proposed Bank Stabilization of the Kuskokwim River at Bethel, Alaska

AGENCY: U.S. Army Corps of Engineers, DOD.

ACTION: Notice of Intent to Prepare a Draft Environmental Impact Statement (DEIS).

SUMMARY: 1. The proposed action calls for stabilizing the bank on the outer and public land, protect a vital medical facility, and obviate relocation of homes, buildings and fuel storage tanks away from the river.

2. The alternatives for the proposed action are: (a) River diversion, diversion of the water that now flows in the channel adjacent to Bethel into a channel on the opposite side of the Kuskokwim River; (b) relocation of the town; and (c) structural stabilization of the eroding bank.

3. a. A public workshop will be held in Bethel to collect public information and opinions on the alternatives.The workshop has not been scheduled at this time. The affected Federal, State, and local agencies, affected Alaska Natives regional and Village Corporations and other interested private organizations and parties are invited to participate in the EIS process.

b. The significant issues that will be analyzed in the DEIS are: the social and economic impacts on the Bethel community with no project; impacts to the river ecosystems; impacts on fishery resources; benefits from removing car bodies along the river that are presently used for bank stabilization; and possible short term increase in sediment load from construction activities.

c. Review and consultation will take place for compliance with the Clean Water Act of 1977 Section 404(b)(1); Coastal Zone Management; the Endangered Species Act of 1973; the Fish and Wildlife Coordination Act; the National Historic Preservation Act of 1966; Executive Order 11988, Flood Plain Management; and Executive Order 11990, Protection of Wetlands.

4. A scoping meeting has not been scheduled at this time.

5. It is estimated that the draft feasibility report and DEIS will be made available to the public in January 1981.

ADDRESS: Questions about the proposed action and DEIS can be answered by: William D. Lloyd, Chief, Environmental Section, Alaska District, Corps of Engineers, P.O. Box 7002, Anchorage, Alaska 99510.

Dated: December 10, 1979.

Lee R. Nunn,

Colonel, Corps of Engineers, District Engineer.

[FR Doc. 79–38705 Filed 12–17–79; 8:45]

BILLING CODE 3710–NL–M

Department of the Army

Army Science Board, Open Meeting

In accordance with Section 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92–463), announcement is made of the following Committee meeting:

Name of the committee: Army Science Board.
Date of meeting: January 3, 1980.
Place: The Pentagon, Washington, D.C. (exact location can be determined by contacting Mrs. Pipon at 202–697–9703).
Time: 0900 to 1700 hours, January 3, 1980 (Open).
Proposed agenda: The ASB Human Issues Study Group III will hold discussions and received briefings to assist the Group in developing personnel maps or models which could best support the planning and execution of an integrated human research agenda in the Army. The Group will also discuss plans for continued activities.

Robert F. Sweeney,
Lieutenant Colonel, GS, Executive Secretary.

[FR Doc. 79-38784 Filed 12-17-79; 8:45 am]
BILLING CODE 3710-08-M

DEPARTMENT OF ENERGY

Federal Energy Regulatory Commission

[Docket No. GP80-31]

Cities Service Gas Co.; Third-Party Protests [1]

December 7, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23–B,[2] and "Order on Rehearing of Order No. 23–B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Cities Service Gas Company (Cities) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Cities in its evidentiary submission.

Take further notice that the Kansas State Corporation Commission (Kansas) also filed a third-party protest on October 15, 1979. Kansas protests that the contracts in Appendix B do not constitute contractual authority for the producer to increase prices o the applicable NGPA maximum lawful price. Kansas' position has been adopted and incorporated in protests by the Arizona Corporation Commission, the Associated Gas Distributors, "Florida Cities", the Gas Consumers Group, the Cities of Mangum, Oklahoma and Winfield, Kansas, Congressmen Andrew Maquire, the Memphis Light, Gas and Water Division, the Public Service Commission of the State of New York, the South Dakota Public Service Commission and the Minnesota Public Service Commission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 21, 1979, a petition to intervene in accordance with 18 C.F.R. 1.8. The seller need not file for intervention because under 18 C.F.R. § 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

Appendix A

Producer	Rate Schedule No. or contract date
Alpar Resources, Inc	4–20–77
Amoco Production Co	338
Amoco Production Co	84
Amoco Production Co	657
Andover Oil Co	9–22–58
Andover Oil Co	6–6–75
Andover Oil Co	11–3–77
Arco Oil & Gas Cod Co	539
Arco Oil & Gas Cod Co	127
Benson Mineral Group	2–11–76
Beren Corp.	5–6–65
Beren Corp	12–7–76
Cabot Corp	42
Champlin Pet. Co	76
CS Company-Assoc. Co	42
CS Company-Assoc. Co	161
CS Company-Assoc. Co	200
Energy Reserves Group	1
Gasanadarko Ltd	4–2–75
Getty Oil Co	297
Getty Oil Co	356
Gulf Oil Corp	226
Gulf Oil Corp	458
Gulf Oil Corp	302
Gulf Oil Corp	508
Harper Oil Co	2–15–63
Imperial Oil Co	7–25–55
Kansas Gas Purchasing Co	7–25–75
Kaiser Francis Acct. B	10–2–61
Kaiser Francis Acct. B	5–24–63
Kaiser Francis Acct. C	8–28–45
Ladd Petroleum Corp	47
Maylon Energy	9–14–77
Mobil Oil corp	100
Multistate Oil Prop	3–8–67
Multistate Oil Prop	3–10–67
Northern Pump Co	6–23–50
ONG Exploration, Inc	10
Okmar Oil Co	5–26–65
Olympic Petroleum Co	9–23–74
WB Osborne Jr	5–29–61
Petroleu, Inc	5–23–50
Phillips Pet. Co	544
Samson Res. & Kaiser C	5–21–62
Samson Resources	12–21–76
Service Drilling Co	10–2–73
Service Drilling Co	2–14–72

Appendix A—Continued

Producer	Rate Schedule No. or contract date
Service Drilling Co	12–10–75
Service Drilling Co	4–28–77
Shell Oil Co	59
Shell Oil Co	262
Sun Oil Co	448
Sun Oil Co	512
Sun Oil Co	199
Tema Oil Co	111
Tenneco Oil Co	181
Tenneco Oil Co	107
Tenneco Oil Co	35
Tideway Oil Programs	10–11–76
Worldwide Energy Corp	12–14–65
Chase Gath System	11–26–77
CSG Explor-Assoc. Co	2
WB Osborne	12–14–77
Sun Oil Co	12–10–75
Amoco Production Co	785
Andover Oil Co	11–21–77
Andover Oil Co	3–1–78
Andover Oil Co	2–15–78
Andover Oil Co	5–25–78
Andover Oil Co	10–9–78
Beren Corp	9–21–78
Chase Gath System	9–12–78
Chase Gath System	10–10–78
Cimarron Pet. Co	9–28–78
Consolidated O&G	7–17–78
Cotton Petroleum Co	8–9–78
Energy Reservices Gray	2
Great Yellowstone Corp	1–5–78
Great Yellowstone Corp	8–11–78
Great Yellowstone Corp	8–11–78
Great Yellowstone Corp	8–11–78
Kennedy & Mitchel Inc	10–5–60
Texaco Inc	8–21–78
Tideway Oil Programs	8–9–78
Union Texas Pet	9–9–78
Verdigris Gath System	3–1–78
Mobil Oil Corp	304
Texaco Inc	14
Champlin Pet. Co	83
Champlin Pet. Co	2
CS Oil Co	232
Continental Oil Co	377
Mobil Oil Corp	262
Tenneco Oil Co	272
Getty Oil Co	252
Kaiser Francis Acct A	2–13–58
Texaco Inc	161
Texaco Inc	509

Appendix B

Producer	Contract date	Rate schedule
W. F. Baily	6–26–67	S77792
W. E. Baily	6–26–67	S77792
W. E. Baily	6–30–67	S77792
W. E. Baily	7–11–67	S77792
W. E. Baily	6–27–67	S77792
W. E. Baily	7–25–67	S77792
W. E. Baily	7–10–67	S77792
Bowers Drilling Co	9–16–65	D 71 81
Bower Drilling Co	9–26–63	S 71 81
Bower Drilling Co	9–26–63	S 71 81
Bower Drilling Co	7–15–65	S 71 81
C. Arnold Brown	5–20–65	S71412
Champlin Petroleum Co	3–21–49	53
Costal States	11–25–60	57
Costal States	11–25–60	57
Continental Oil	2–03–61	184
J. M. Huber Corporation	6–23–50	RS 8
Kaiser Francis Account A	2–13–58	S71179
Kaiser Francis Account A	2–13–58	S71179
Alfred D. McKelvy	11–22–60	S71576
Messman Rinehart	1–14–55	S71160
Mobil Oil Corporation	11–10–58	183
Northern Pump Co	11–01–53	S71 22
Pickrell Drilling Co	12–03–58	1
Tel Oil & Gas Corporation	12–20–74	S72123
Tel Oil & Gas Corporation	12–19–77	S72123
Tenneco Oil Company	11–20–58	182
Robert E. Vinson	9–24–66	1
Yale Oil Association	11–03–66	S71159

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79–22, issued June 21, 1979.

[3] Docket No. RM79–22, issued August 6, 1979.

Producer	Contract No.	Percentage of total estimated reserves
Tema Oil Company	1–20–75	112

Producer	Contract No.	Percentage of total estimated reserves
Amoco Production Company	777	44.88
Continental Oil Company	834	9.58
Mobil Oil Corporation	678	8.81
Tema Oil Company	706	7.52
Mobile Oil Corporation	675	5.09
Cities Service Company	743	4.04
Getty Oil Company	660	1.86
Cabot Corporation	1217	1.07
Texaco, Inc	1513	.76
Mobil Oil Corporation	1884	.75
Total		84.66

Producer	Contract date	Rate schedule
Aminol USA, Inc	7–23–63	10
Amoco Production Co	8–23–70	S[illegible]
Arco Oil & Gas Co	8–17–59	498
Bettis, Boyle & Stovall	9–29–67	409
R. P. Brandenburg	1–24–58	S72318
CS Oil Co	8–01–64	344
A. Plock Carr	11–20–53	1
Continental Oil	10–05–60	424
James E. Ely Est	3–03–58	2
Energy Sources, Inc	3–31–70	S72 40
Gulf Oil Corp	8–20–64	290
Gulf Oil Corp	5–31–63	253
Gulf Oil Corp	12–31–62	359
John A. Hairford	5–01–54	6
J. M. Huber Corp	1–10–60	54
Kerr McGee Corp	12–22–62	76
Koch Industries Inc	11–01–57	OSB 14
Lee Drilling	12–05–56	CHAM 76
Don D. Montgomery	3–31–66	S71726
Nomoc Oil Co	6–15–65	2
Pioneer Production Co	6–13–63	40
Reserve Gas & Oil	2–26–60	S66 72
Chas. J. Richard	7–18–66	721142
Superior Oil Co	4–25–61	105
Texaco Inc	7–24–58	KNAT 12
Union Texas Petroleum	9–09–76	CI76–1180
A. L. Abercrombie	12–04–56	S71 71
K. S. Adams, Jr	5–23–56	S66 17
Amerada Hess Corporation	01–29–60	161
Nate Appleman	2–04–57	S71 60
Beren Corporation	2–01–78	S71704
Berg & Buck	5–29–56	S73610
Bonray Oil Company	2–16–62	S71481
Bonray Oil Company	8–31–60	S71481
Ben F. Brack	2–21–58	S 71 73
Ben F. Brack	2–21–58	S 71 73
Clarke Corporation	2–13–56	2
Elba Oil Corporation	10–25–60	1
John O. Farmer, Inc	1–24–56	S74349
Freeport Oil Co	12–04–57	S60 6
Green Pipe & Supply	5–01–58	711080
Gulf Oil Corporation	9–29–60	
Gulf Oil Corporation	9–13–61	218
Gulf Oil Corporation	1–24–56	456
Gulf Oil Corporation	1–25–60	191
Gulf Oil Corporation	9–11–58	137
Gulf Oil Corporation	2–13–56	48
Gulf Oil Corporation	2–13–56	48
Helmerich & Payne	5–25–56	36
Helmerich & Payne	12–04–57	24
W. H. Helmerich	5–01–55	1
Continental Oil	4–11–57	S66 9
J. M. Huber Corporation	10–29–59	91
Lario O & G Company	4–21–59	S71564
Marathon Oil Company	1–24–56	57
Mull Drilling Company	1–06–59	S71 60
Partnership Properties	11–15–61	S73159
R. B. Polk, Jr	3–08–57	S74395
R. B. Polk, Jr	5–01–56	S74395
R. B. Polk, Jr	5–25–56	S74395
R. B. Polk, Jr	5–21–56	S74395
Singer Fleischaker	10–25–57	S71343
Tenneco Oil Company	2–16–62	272
Tenneco Oil Company	2–16–62	272
Vierson & Cochran	5–29–60	S71 55

Producer	Contract date	Rate schedule
Walters Drilling	1–10–58	S71 664
Westmore Drilling	11–04–58	S71173
Westmore Drilling	11–04–58	S71173
Westmore Drilling	11–04–58	S71173
Woods Petroleum Corporation	11–25–60	S71647
Worldwide Energy Corporation	3–08–57	S75275
Mobil Oil Corporation	2–27–61	305
Woods Petroleum Corporation	6–19–61	S71647
Leonard J. Achenbach	10–18–66	CS77–844
Alper Resources Inc	10–20–76	S72 22
Alper Resources Inc	4–20–77	S72 22
Alper Resources Inc	9–24–76	S72 22
American Petrofina	12–01–75	31
American Petrofina	6–28–76	53
American Petrofina	10–14–76	54
American Petrofina	3–15–77	56
American Petrofina	4–18–77	57
Amerada Hess Corporation	7–13–64	123
Aminoil USA, Inc	1–15–75	1
Aminoil USA, Inc	1–15–75	1
Amoco Production Company	11–22–71	671
Amoco Production Company	10–14–65	427
Amoco Production Company	6–05–67	657
Amoco Production Company	6–05–67	657
Amoco Production Company	6–25–75	702
An Son Corporation	7–20–62	S69 77
An Son Corporation	2–16–77	S69 77
Anadarko Production Company	7–12–67	133
Anadarko Production Company	3–31–66	121
Anadarko Production Company	3–31–66	121
Anadarko Production Company	5–21–62	176
Andover Oil Company	9–22–58	S73603
Andover Oil Company	9–22–58	S73603
Andover Oil Company	6–06–75	S73603
Andover Oil Company	6–06–75	S73603
Andover Oil Company	6–06–75	S73603
Andover Oil Company	6–06–75	S73603
Andover Oil Company	11–03–77	S71603
Andover Oil Company	11–03–77	S71603
Nate Appleman	9–23–50	S71 50
Nate Appleman	4–04–55	CS 71 50
Nate Appleman	4–04–55	CS 71 50
Arco Oil & Gas Company	6–11–59	465
Arco Oil & Gas Company	12–07–62	267
Arco Oil & Gas Company	5–20–64	539
Arco Oil & Gas Company	5–20–64	539
Arco Oil & Gas Company	4–14–66	568
Arco Oil & Gas Company	4–18–75	127
Arco Oil & Gas Company	4–18–75	127
Arco Oil & Gas Company	1–28–76	704
Arco Oil & Gas Company	12–16–76	163
Arco Oil & Gas Company	5–10–77	169
Aylward Drilling Company	6–07–78	S74 91
Aylward Drilling Company	11–22–77	S74 91
Aylward Drilling Company	11–22–76	S74 91
Aylward Drilling Company	5–17–62	S74 91
Aylward Drilling Company	5–17–62	S74 91
Aylward Drilling Company	5–17–62	S74 91
Thomas D. Bailey	12–26–62	S73550
H. E. Bangert	3–10–75	S74135
Barnett Oil, Inc	11–23–76	S71210
Barnett Oil, Inc	6–24–77	S71210
Basin Petroleum Corporation	2–13–75	711119
Beard Oil Company	2–14–77	S72292
Beard Oil Company	8–29–77	S72292
Benson Mineral Group	2–11–76	S74402
Beren Corporation	5–06–65	CS71–704
Beren Corporation	5–06–65	CS71 704
Beren Corporation	8–26–76	S71704
Beren Corporation	12–07–76	S71704
Beren Corporation	12–07–76	S71704
T. N. Berry Company	8–01–84	711083
T. N. Berry Company	2–01–77	711083
Biak Oil Company	5–28–71	711115
Biak Oil Company	3–01–61	711115
Bowers Drilling Company	9–16–62	S 71 81
Bowers Drilling Company	9–26–63	S 71 81
Bowers Drilling Company	12–06–68	S 71 81
Bowers Drilling Company	12–06–68	S 71 81
Bowers Drilling Company	9–16–65	S 71 81
Ben F. Brack	9–16–56	S 71 73
Ben F. Brack	9–06–51	S 71 73
Braden-Deem Inc	3–06–67	720 151
Austin Brady	6–23–50	S71167
Austin Brady	12–26–56	S71167
Austin Brady	11–01–54	S71167
R. P. Brandenburg	12–15–76	S72318
C. F. Braum & Company	9–25–62	711006
William Broadhurst	1–17–53	S76 45
E. L. Brooks	2–07–77	S73632
Brooks Hall Oil Corporation	8–25–67	S72973
Rick Buck	5–26–77	S77654
Burk Gas Corporation	7–06–62	S 71 7
Burnett Corporation	11–26–48	S71 66

Producer	Contract date	Rate schedule
C&C Energy	10–03–77	S7855
CK Oil Company	10–29–71	740357
CS Company	6–16–49	257
CS Company	6–16–49	257
CS Company	9–23–56	86
CS Company	7–13–53	42 et al.
CS Company	7–13–53	42 et al.
CS Company	7–13–53	42 et al.
CS Company	7–16–62	161
CS Company	7–16–62	161
CS Company	2–06–76	200
CS Company	12–01–60	258
CS Company	3–27–61	149
CSG Explor-Assoc. Company	3–15–73	1
Cabot Corporation	8–11–59	42
Cabot Corporation	8–11–59	42
Cabot Corporation	8–11–59	42
Cabot Corporation	1—11–79	
Camio Oil Corporation	8–05–76	76–1059
Champlin Petroleum Company	11–04–58	76
Champlin Petroleum Company	11–04–58	76
Champlin Petroleum Company	2–20–75	93
Champlin Petroleum Company	10–19–74	28
Champlin Petroleum Company	3–21–49	53
Chiel Drilling Company	12–02–65	3
Clarke Corporation	10–22–75	S76820
Clarke Corporation	2–08–77	S76820
Colorado Gas Compr. Inc	6–07–77	S77419
Continental Oil Company	10–29–57	384
Continental Oil Company	4–02–76	429
Copeland Energy Corporation	4–04–77	S76 59
Corpening Enterprises	12–02–77	S72978
Edwin L. Cox	6–11–54	CS77–189
Crain & Delsenroth	4–01–77	S72122
John L. Crawford	10–21–66	S71 6
Cummings Oil Company	1–16–77	S 71686
Damson Oil Corporation	9–14–61	
Damson Oil Corporation	9–14–61	
Damson Oil Corporation	11–16–62	CS71–968
Daube Exploration Company	2–02–77	S 76 75
G. S. Davidson	9–27–54	S 71 22
Travis H. Davis	2–06–64	721053
Davon Drilling Company	8–03–77	S71206
Patricia R. Dixon	10–14–60	S75456
Walter Duncan	2–23–73	S 68 15
Dunne Equities	7–27–77	S 77 695
Bill J. Dutton	5–15–77	
Dyco Petroleum Co	6–02–75	S73128
Dyco Petroleum Co	6–02–75	S73128
Earlsboro O&G	5–14–62	S 72 21
B. K. Edmiston	11–04–64	S7385
B. K. Edmiston	7–14–65	S7385
B. K. Edmiston	10–29–65	S7385
B. K. Edmiston	1–24–77	S7385
Edmiston Oil Company	8–07–75	S7385
Elk County Gas Gath	11–29–76	S
Energy Reserves Group	5–01–63	4
Energy Reserves Group	3–07–60	6
Energy Reserves Group	10–08–62	1
Energy Reserves Group	10–08–62	1
Enserch Exploration, Inc	4–06–66	86
Ensearch Exploration	3–2–76	123
Exxon Corporation	1–06–65	370
Exxon Corporation	1–06–65	370
Exxon Corporation	6–13–66	398
Exxon Corporation	4–29–76	192
John O. Farmer, Inc	3–08–78	S74349
Fluor Oil & Gas Corporation	11–23–51	S73568
Fluor Oil & Gas Corporation	4–23–52	S73568
Flynn Energy Corporation	6–02–77	S73382
Flynn Energy Corporation	6–02–77	S73382
Foster Petroleum Corporation	9–06–52	S 71 74
Four States Petroleum, Inc	6–01–76	S76444
Frontier Pipeline, Inc	4–02–76	S76772
Frontier Pipeline, Inc	4–02–76	S76772
Frontier PL Inc	5–02–77	S76772
GMC et al	10–16–63	S71466
GMC et al	10–16–63	S71466
GMC Oil Company	8–20–77	S71466
Gas Producing Ent. Inc	4–23–63	53
Gas Producing Ent. Inc	3–25–65	26
Gasonadarko Ltd	4–02–75	S75500
Gasonadarko Ltd	4–02–75	S75500
Getty Oil Company	5–02–66	356
Getty Oil Company	5–02–66	356
Getty Oil Company	10–05–60	318
Getty Oil Company	12–17–65	350
Giant Petroleum Corporation	10–10–75	S 76 84
Gill Mac Inc	1–23–78	S 77 38
H. M. Gillespie	3–05–53	S72228
H. M. Gilleepie	1–11–57	S72228
Graham Michaelis Drilling	10–25–56	S71178
Graham Michaelis Drilling	10–25–56	S71178
Graham Michaelis Drilling	10–11–56	S71178

Producer	Contract date	Rate schedule
Graham Michaelis Drilling	4-24-58	S71178
Graham Michaelis Drilling	5-21-59	S 71 178
Graham Michaelis Drilling	11-04-58	S 71 178
Graham Michaelis Drilling	3-17-66	S 71 178
Graham Michaelis Drilling	11-01-57	S 71 178
John C. Graves	2-26-77	S72720
Green Wolfe Oil Company	6-26-75	S 76 1
W. D. Greenshields et al	3-31-75	S72553
W. D. Greenshields et al	3-31-75	S72553
W. D. Greenshields et al	3-31-75	S72553
Gulf Oil Corporation	8-23-50	482
Gulf Oil Corporation	8-16-61	226
Gulf Oil Corporation	8-16-61	226
Gulf Oil Corporation	8-16-61	226
Gulf Oil Corporation	6-18-63	S66 12
Gulf Oil Corporation	7-18-75	456
Gulf Oil Corporation	1-09-76	S 66 12
Gulf Oil Corporation	11-10-58	S 66 12
Gulf Energy & Mineral Company	9-24-76	503
Gulf Energy & Mineral Company	9-24-76	506
Gulf Energy & Mineral Company	9-24-76	506
Gulf Energy & Mineral Company	9-24-76	506
Gulf Oil Corporation	9-24-76	
Gulf Oil Corporation	9-24-76	
Gulf Oil Corporation	6-02-77	553
Gulf Oil Corporation	6-02-77	553
Gulf Oil Corporation	6-02-77	553
Gulf Oil Corporation	9-15-65	302
Gulf Oil Corporation	9-15-65	302
John A. Hairford	1-23-62	S 71 72
Hall Jones Oil Corporation	9-25-62	S72973
Robert G. Hall	3-16-77	S77361
Robert G. Hall	3-16-77	S77361
Robert G. Hall	3-16-77	S77361
Hamilton Rothers	4-20-60	S 71 77
Hamilton Brothers	5-08-62	S 71 77
Hamon & Chapell	2-23-66	S66107
Harper Oil Company	2-15-63	S71795
Harper Oil Company	2-15-63	S71795
W. G. Haun	9-11-58	S76274
W. G. Haun	12-07-76	S76274
W. G. Haun	4-14-77	S76274
E. W. Hawse	10-07-77	S77820
E. W. Hawse	10-07-77	S77820
Hinkle Oil Company	7-01-75	S75465
J. T. Hoke, Jr	8-08-75	
J. M. Huber Corporation	6-23-50	8
J. M. Huber Corporation	11-10-53	14
J. M. Huber Corporation	7-08-65	67
J. M. Huber Corporation	8-15-77	64
Imperial Oil Company	6-16-61	S71272
Imperial Oil Company	2-25-71	S71272
Imperial Oil Company	7-25-55	CS 71272
Imperial Oil Company	7-25-55	CS 71272
Jeff-Will Energy Corporation	8-05-77	S77336
Jet Oil Company	2-03-76	
Tally Johnson	7-27-77	S77522
George R. Jones	12-08-77	S78155
Kansas Gas Purchasing Company	7-25-75	S73100
Kansas Gas Purchasing Company	7-25-75	S73100
Kansas Gas Purchasing Company	7-25-75	S73100
Kaiser Francis Account B	10-02-61	S71179
Kaiser Francis Account B	10-02-61	S71179
Kaiser Francis Account B	5-24-63	S71179
Kaiser Francis Account B	5-24-63	S71179
Kansas Natural	6-23-50	S72 85
Kansas Natural Gas Company	4-09-53	S72 85
Kerr McGee Corporation	7-13-53	42 et al.
Kerr McGee Corporation	7-13-53	42 et al.
Kerr McGee Corporation	7-13-53	42 et al.
Kerr McGee Corporation	9-04-75	131
Martin B. Klenda	5-23-62	721143
Koch Industries, Inc	5-10-71	S7673
Walter Kuhn	6-23-50	S71156
Ladd Petroleum Corporation	10-07-60	39
Ladd Petroleum Corporation	12-02-60	43
Ladd Petroleum Corporation	3-09-62	47
Ladd Petroleum Corporation	3-09-62	47
Lake Ronel Oil Company	3-19-62	S72 88
Larlo O&G Company	8-14-61	S711564
Lobar Oil Company	3-10-66	S76293
MH&M Joint Venture	9-23-75	S76139
MH&M Joint Venture	1-16-77	S76139
W. C. McBride, Inc	8-30-61	S76402
McDowell Oil Prop. Inc	9-25-74	S 75 66
McDowell Oil Prop. Inc	10-20-76	S 75 66
McDowell Oil Prop. inc	6-05-75	S 75 66
McNeish Oil Operation	2-11-76	S75526
Mack Oil Company	5-27-77	S711184
Mack Oil Company	6-06-77	S71184
Mack Oil Company	12-05-77	S71184
Magic Circle Gas Corporation	1-12-76	S76925
Magnum Land Corporation	2-07-77	S77364
Marathon Oil Company	11-11-66	99
Marathon Oil Company	11-11-66	S100
Marathon Oil Company	3-04-75	59
Marathon Oil Company	11-10-75	135
Martin Oil Company	12-14-67	S73572
Marsh Oil Associates	4-04-55	S75231
Tom F. Marsh	4-22-77	S73 21
Martin Oil Company	2-11-76	S75567
Martin Oil Company	2-11-76	S75567
Mayion Energy	9-14-77	S77834
Mayion Energy	9-14-77	S77834
Messman Rinehart	6-22-62	S71160
Mobil Oil Corporation	1-31-77	100
Mobil Oil Corporation	1-31-77	100
Mobil Oil Corporation	1-31-77	100
Mobil Oil Corporation	3-15-61	267
Mobil Oil Corporation	2-13-61	261
Mobil Oil Corporation	1-05-76	5
Rex Monahen	11-12-76	S7111344
Don D. Montgomery	10-18-63	S71726
Don D. Montgomery	10-18-63	S71726
Don D. Montgomery	10-18-63	S71726
Don D. Montgomery	10-18-63	S71726
Don D. Montgomery	2-01-66	S71726
Don D. Montgomery	5-31-66	S71726
Don D. Montgomery	12-14-66	S71726
Don D. Montgomery, Jr	10-18-63	S71629
Don D. Montgomery, Jr	10-18-63	S71629
Don D. Montgomery, Jr	5-31-66	S71-629
Gilbert Montgomery	10-18-63	S71661
Gilbert Montgomery	10-18-63	S71661
Gilbert Montgomery	10-18-63	S71661
Gilbert Montgomery	10-18-63	S71661
Multistate Oil Prop	3-06-67	
Multistate Oil Prop	3-06-67	
Multistate Oil Prop	3-10-67	
Multistate Oil Prop	3-10-67	
Mull Drilling Company	6-12-64	S 71 60
J. A. Mull, Jr	9-23-60	S 71 72
J. A. Mull, Jr	6-12-64	S 71 72
J. A. Mull, Jr	9-21-65	S 71 72
Multistate Oil Prop	8-10-61	
Billy E. Muegrove	4-05-76	S76376
National Coop. Ref. Assn	9-12-77	S60 32
Northern Pump Company	6-23-50	S71 22
Northern Pump Company	6-23-50	S71 22
Northern Pump Company	11-10-53	S71 22
Northern Pump Company	11-10-53	S71 22
ONG Exploration, Inc	5-17-63	34
ONG Exploration, Inc	2-07-77	43
ONG Exploration, Inc	5-04-77	10
Oklahoma Energy Association	5-17-77	
Okmor Oil Company	5-26-65	S71660
Okmor Oil Company	5-26-65	S71660
Okmor Oil Company	12-14-76	S71660
Olympic Petroleum Company	9-23-74	S74325
Olympic Petroleum Company	9-23-74	S74325
Olympic Petroleum Company	9-23-74	S74325
W. B. Osborne, Jr	11-01-54	S71126
W. B. Osborne, Jr	11-01-57	S71126
W. B. Osborne, Jr	10-11-56	S71126
W. B. Osborne, Jr	8-29-61	S71126
W. B. Osborne, Jr	8-29-61	S71126
W. B. Osborne, Jr	8-29-61	S71126
W. B. Osborne, Jr	8-29-61	S71126
Ozark Mahoning Company	3-15-73	S71 63
Ozark Mahoning Company	3-15-73	S71 63
Pacific Oil & Gas Company	5-20-76	S76805
Pacific Oil & Gas Company	5-02-77	S76805
Peppe, Jr	2-21-77	S77570
Frank Parkes	4-23-52	S71110
Payne, Inc	4-22-77	S76552
Peninsula Resources	5-26-77	S76-56
A. E. Perkins	12-18-70	S76249
Perpet PL Ltd. Of America	7-15-77	
Perry Oil Company	5-26-77	
Petroleum Corporation of Texas	4-14-77	S70-37
Petroleum Energy, Inc	2-01-77	
Petroleum Energy, Inc	2-16-77	SS77363
Petroleum, Inc	6-23-50	S78111
Petroleum, Inc	6-23-50	S78111
Petroleum, Inc	3-01-54	S78111
Petroleum, Inc	12-11-56	S78111
Petroleum, Inc	7-30-76	S78111
Petroleum, Inc	8-29-77	S78111
Petroleum Research Corp	2-03-77	S71315
A. L. Phillips	6-14-62	CS73-372
Phillips Petroleum Company	1-21-63	544
Phillips Petroleum Company	1-21-63	544
Phillips Petroleum Company	3-07-60	365
Phillips Petroleum Company	10-25-65	416
Phillips Petroleum Company	10-26-65	415
Phillips Petroleum Company	5-21-76	0586
Plattee Valley Oil Company	8-25-76	761058
Paul E. Plummer	11-12-51	S71233
Paul E. Plummer	11-12-51	S71233
Paul E. Plummer	11-12-51	S71233
Post Petroleum Company	2-23-73	S78220
MF Powers	10-23-61	S76515
MF Powers	2-06-63	S76515
MF Powers Estate	2-06-63	S76515
Robert R. Price	8-16-71	S73590
Range Oil Company	8-07-76	S76 37
Range Oil Company	8-11-75	S76 37
Range Oil Company	8-11-75	S76 37
Range Oil Company	2-21-77	S76 37
Range Oil Company	2-06-77	S76 37
Rebel Oil Company	12-22-76	CS79-219
Rebel Oil Company	12-22-75	CS79-219
Reserve Gas & Oil	7-06-63	S66 72
Don C. Rider	10-15-76	S72306
Louise & Pat Riley	12-01-61	S73550
Louise B. Riley	10-18-63	S73550
Louise B. Riley	10-18-63	S73550
Pat J. Riley	4-23-75	75-350
Harry M. Rovenger	2-16-62	Tex 251
G. N. Rupe	6-04-62	S74200
Loddie Rybka	3-05-76	S76526
Samedan Oil Corporation	6-13-63	S71430
Samson Res. & Kaiser C	5-21-62	S74 86
Samson Res. & Kaiser C	5-21-62	S74 86
Samson Res. & Kaiser C	12-10-62	S74 86
Samson Res. & Kaiser C	12-10-62	S74 86
Samson Resources	12-21-76	S74 86
Service Drilling Company	12-10-75	S71144
Service Drilling Company	12-10-75	S71144
Service Drilling Company	12-10-75	S71144
Service Drilling Company	4-26-77	S71144
Service Drilling Company	4-26-77	S71144
Oreta M. Shaw	10-17-60	1
Shawmor Oil Company	5-01-73	S74 13
Shebester, Inc	9-27-74	S75 63
Shell Oil Company	11-18-49	69
Shell Oil Company	11-18-49	69
Shell Oil Company	11-18-49	69
Shell Oil Company	3-22-66	336
Shell Oil Company	5-18-66	340
Sierra Petroleum Company	1-14-66	7
Donald C. Slawson	8-10-70	S72771
M. H. Smith	12-05-75	761093
Sohio National Res. Company	11-16-77	169
Southern Gas Company	12-18-58	1
Spikes Gas & Oil	10-26-61	CS76-665
G. Stearns	11-14-60	S74379
Sun Oil Company	11-11-76	335
Sun Oil Company	12-31-52	297
Sun Oil Company	9-23-60	389
Sun Oil Company	3-15-61	399
Sun Oil Company	4-08-63	156
Sun Oil Company	1-16-64	167
Sun Oil Company	4-30-65	187
Sun Oil Company	2-01-66	199
Sun Oil Company	12-30-66	448
Sun Oil Company	12-30-66	448
Sun Oil Company	12-30-66	448
Sun Oil Company	12-30-66	448
Sun Oil Company	12-30-66	448
Sun Oil Company	7-06-74	612
Sun Oil Company	7-06-74	612
Sun Oil Company	7-06-74	612
Sun Oil Company	11-06-62	492
Sun Oil Company	10-22-75	69
Sun Oil Company	6-30-76	326
Sun Oil Company	9-01-77	238
Sun Oil Company	2-01-66	199
Superior Oil Company	4-01-55	46
John B. Swank	8-05-77	
R. Clark Taylor	3-01-61	S75374
Tema Oil Company	1-09-79	266
Tenneco Oil Company	8-29-77	181
Tenneco Oil Company	8-29-77	181
Tenneco Oil Company	9-01-77	107
Tenneco Oil Company	9-01-77	107
Tenneco Oil Company	11-14-57	35
Tenneco Oil Company	11-14-57	35
Tenneco Oil Company	5-27-61	188
Tenneco Oil Company	9-24-66	231
Tenneco Oil Company	8-01-77	33
Tenneco Oil Company	8-01-77	106
Tenneco Oil Company	8-01-77	106
Terra Resource, Inc	11-17-54	34
Texaco, Inc	9-01-60	255
Texaco, Inc	10-18-61	251
Texaco, Inc	5-07-63	312
Texaco, Inc	7-06-65	355
Texaco, Inc	6-23-77	RS 163
Texaco, Inc	10-03-77	557

Producer	Contract date	Rate schedule
Texas Oil & Gas	11-02-67	82
Texas Oil & Gas	9-10-76	S75470
Texas Oil & Gas	6-06-77	S75470
Tideways Oil Programs	10-17-76	S75410
Tideways Oil Programs	10-11-76	S75410
Tideways Oil Programs	10-11-76	S75410
Tideways Oil Programs	10-11-76	S75410
Union Gas System	8-07-77	S77562
Union Texas Petroleum	4-15-65	86
Unit Operations, Inc	11-11-77	S78227
Veeder Supply & Dev. Co	8-11-59	S72394
Vulcan Energy Corporation	5-31-77	S77516
L. O. Ward	4-04-77	S71996
Warren Petroleum	7-13-53	42
Warren Petroleum	7-13-53	42
Warren Petroleum	7-13-53	42
Charles J. Watson	12-02-60	S71239
Arthur B. Wessely	3-01-71	S71 83
Wessely Energy Corporation	2-16-77	S71 83
Westmore Drilling Company	2-19-65	S71173
Robert F. White	3-08-71	S71163
Robert F. White	3-08-71	S71163
Robert F. White	5-22-62	S71163
Robert F. White	5-22-62	S71163
Robert F. White	3-01-71	S71163
Williams and Soronko	6-29-76	CS76-822
Wil. MC Oil Corporation	5-30-74	S71291
Wil. MC Oil Corporation	10-15-74	S71291
Wil. MC Oil Corporation	9-13-76	S71291
Wil. MC Oil Corporation	12-09-74	CS71-291
Wilson Drilling Company	8-12-77	S77653
J. Lee Youngblood	12-01-62	S71 76
J. Lee Youngblood	11-08-62	S71 76
Worldwide Energy Corporation	12-14-65	S75275
Worldwide Energy Corporation	12-14-65	S75275
Summit Energy	9-10-76	S71414
Alliance Oil & Gas Company	11-06-73	S7179
Amoco Production Company	1-14-71	84
Amoco Production Company	1-14-71	84
Amoco Production Company	1-14-71	84
Amoco Production Company	1-14-71	84
Amoco Production Company	1-14-71	84
Amoco Production Company	6-23-50	84
Amoco Production Company	6-23-50	84
Amoco Production Company	6-23-50	84
Amoco Production Company	6-23-50	84
Amoco Production Company	6-23-50	84
Amoco Production Company	6-23-50	84
Amoco Production Company	1-11-77	733
Amoco Production Company	8-01-77	751
Amoco Production Company	8-01-77	751
Amoco Production Company	8-01-77	751
Amoco Production Company	4-28-53	338
Amoco Production Company	4-28-53	338
Amoco Production Company	9-01-54	410
Amoco Production Company	8-06-55	615
Amoco Production Company	12-28-66	718
Amoco Production Company	12-28-55	718
Amoco Production Company	1-23-62	426
Amoco Production Company	9-23-63	578
Amoco Production Company	11-01-53	701
Amoco Production Company	11-10-58	383
Arco Oil & Gas Company	5-28-68	614
Arco Oil & Gas Company	5-28-68	614
Arco Oil & Gas Company	5-28-68	614
Cabot Corporation, Inc	8-12-59	48
Carr Exploration, Inc	7-16-74	S75 21
Carr Exploration, Inc	7-16-74	S75 21
Champlin Petroleum Company	11-04-58	78
Champlin Petroleum Company	11-04-58	135
Champlin Petroleum Company	11-04-58	135
Champlin Petroleum Company	2-20-75	83
Continental Oil Company	4-30-53	301
Continental Oil Company	4-30-53	301
Continental Oil Company	4-30-53	301
Continental Oil Company	4-30-53	301
Delta Corporation	4-14-66	S71194
Doric Petroleum, Inc	5-12-72	S71696
Doric Petroleum, Inc	4-24-74	S71696
Francis Oil & Gas	11-08-63	S71169
Francis Oil & Gas	11-08-63	S71169
Getty Oil Company	11-10-58	297
Getty Oil Company	11-10-58	297
Gulf Oil Corporation	8-12-59	285
Gulf Oil Corporation	12-06-65	307
Gulf Oil Corporation	12-06-65	307
Gulf Oil Corporation	12-06-65	307
Jake L. Hamon	7-03-73	S66107
Jan Oil Company	8-25-66	S76355
E. Lyle Johnson	7-23-73	S71724
Kaiser Francis Account C	9-28-48	S71179
Kaiser Francis Account C	9-28-48	S71179
Martin Oil Company	8-12-74	S73572
Midwestern Oil Company, Inc	8-19-74	S75 36
Mobil Oil Company	8-31-72	262
Mobil Oil Company	8-31-72	262
Mobil Oil Company	8-31-72	262
Mobil Oil Company	8-31-72	262
Mobil Oil Company	8-31-72	262
Mobil Oil Company	2-01-61	262
Mobil Oil Company	2-27-61	305
Mobil Oil Company	2-27-61	305
Service Drilling Company	10-02-73	S71144
Service Drilling Company	2-14-72	S71144
Service Drilling Company	2-14-72	S71144
Service Drilling Company	2-14-72	S71144
Service Drilling Company	2-14-72	S71144
Shell Oil Company	9-21-62	282
Shell Oil Company	9-21-62	282
Shell Oil Company	9-21-62	282
Shell Oil Company	9-21-62	282
Shell Oil Company	9-21-62	282
Shell Oil Company	8-07-61	256
Shell Oil Company	8-07-61	256
Shell Oil Company	8-07-61	256
Sohio National Res. Company	8-02-60	58
Sohio National Res. Company	2-12-64	104
Sohio National Res. Company	2-12-64	104
Tema Oil Company	3-12-48	111
Tema Oil Company	3-12-48	111
Tema Oil Company	3-12-48	111
Tema Oil Company	3-12-48	111
Tema Oil Company	3-12-48	111
Tema Oil Company	12-31-65	176
Tema Oil Company	12-31-65	176
Tema Oil Company	12-31-65	176
Tema Oil Company	12-31-65	176
Tema Oil Company	12-31-65	176
Tema Oil Company	2-13-75	244
Texas Oil & Gas	10-29-64	39
Texas Oil & Gas	10-01-65	46
Texas Oil & Gas	10-01-65	46
Texas Oil & Gas	10-01-65	46
Texas Oil & Gas	7-14-66	49
Texas Oil & Gas	12-14-67	51
Woods Petroleum Corporation	10-21-74	S71647
Texaco, Inc	9-06-68	423
Wamsutter Ltd. Part	1-11-77	732
Wamsutter Ltd. Part	8-1-77	752
Yingling Oil, Inc	11-10-58	S71 69
Getty Oil Co	8-28-45	252
Getty Oil Co	8-28-45	252
J. S. Abercrombie	5-07-71	S71378
Aminoil USA Inc	12-30-71	10
Anderson Petroleum	8-21-58	S71121
Thomas E. Berry	8-13-71	S72461
M. W. Branum	5-07-71	S6738
Elmer Dixon	2-07-73	S73387
Eufaula Enterprises	2-01-72	S72938
Eufaula Enterprises	2-01-72	S72938
Eufaula Enterprises	2-01-72	S72938
Eufaula Enterprises	2-01-72	S72938
Eufaula Enterprises	2-01-72	S72938
Exxon Corporation	12-30-71	502
Exxon Corporation	12-30-71	502
Exxon Corporation	12-30-71	502
Grace Petroleum Co	8-13-71	S71825
Jake L. Hamon	5-7-71	S66107
Jake L. Hamon	10-01-72	S66107
Jake L. Hamon	10-01-72	S66107
W. H. Hightower	5-07-71	S72693
Mackellar Oil Co	9-03-69	S72198
Mackellar Oil Co	8-04-67	S72198
Mackellar Oil Co	10-16-73	S72198
Mackellar Oil Co	10-16-73	S72198
Mackellar Oil Co	8-13-71	S72198
Mackellar Oil Co	8-13-71	S72198
Monsanto Company	6-07-71	101
Monsanto Company	6-07-71	101
Monsanto Company	6-11-73	107
Monsanto Company	6-11-73	107
No. American Royalties	11-13-72	S71152
Ozark-Mahoning Co	11-13-72	S7163
Ozark-Mahoning Co	11-13-72	S7163
Partnership Prop. Inc	8-04-67	S73158
Partnership Prop. Inc	8-04-67	S73158
Partnership Prop. Inc	8-04-67	S73158
Partnership Prop. Inc	9-19-69	S73158
Partnership Prop. Inc	9-19-69	S73158
Partnership Prop. Inc	9-19-69	S73158
Partnership Prop. Inc	3-10-60	S73158
Partnership Prop. Inc	3-10-60	S73158
Partnership Prop. Inc	3-10-60	S73158
Partnership Prop. Inc	3-10-71	S73158
W. C. Payne	9-05-72	711086
Sabine Production Co	2-29-72	S6696
Tri Services Drilling Co	5-07-71	S6737
Vern Petroleum Co	1858	2-29-72	S71713
Charles R. Walbert	1805	8-13-71	S72197
Woods Petroleum Corp	1890	2-23-73	S71647
H&L Operating Co	2184	5-07-71	S73208
Arco Oil & Gas Co	1195	6-09-53	51
CS Oil Co	0743	11-18-49	232
CS Oil Co	1870	11-18-49	232
CS Oil Co	2529	11-18-49	232
CS Oil Co	2006	11-18-49	232
CS Oil Co	2151	11-18-49	232
CS Oil Co	1870	11-18-49	232
CS Oil Co	0743	11-18-49	232
Champlin Petroleum Co	2256	8-13-63	93, 2
Champlin Petroleum Co	2257	8-13-63	93, 2
Champlin Petroleum Co	2258	8-13-63	93, 2
Champlin Petroleum Co	1464	8-13-63	93, 2
Champlin Petroleum Co	2209	8-13-63	93, 2
Ferguson Oil Co	1733	8-12-59	S71228
Getty Oil Co	1767	8-26-70	297
Gungoll and Gungoll	2121	3-26-62	S72 31
Carl E. Gungoll	1378	3-26-62	S72 31
Kern McGee Corp	1625	8-01-66	90
Mobil Oil Corp	2007	2-26-46	283
Mobil Oil Corp	0675	2-26-46	283
Mobil Corp	0678	6-17-46	3
Mobil Corp	2037	6-17-46	3
Petroleum, Inc	1717	2-21-69	S78111
Texas Oil & Gas	1748	6-22-70	52
Texas Oil & Gas	1747	6-22-70	52
Texas Inc	1078	2-26-57	161
Texas Inc	1982	2-26-57	161
Texas Inc	1078	2-26-57	161
Texas Inc	2170	2-26-57	161
Texas Inc	2170	2-26-57	161
Texas Inc	1973	6-26-74	509
Texas Inc	2535	6-26-74	509
Wilmar Oil Inc	1718	2-12-69	S71369

Producer	Contract date	Rate schedule
CSG Exploration-Assoc. Co	11-7-77	2
CSG Exploration-Assoc. Co	11-7-77	2
Chase Gath System	11-28-77	S78175
Chase Gath System	11-28-77	S78175
Colorado Gas Company Inc	12-08-77	S77419
Fuel Products Inc	2-23-78	
Gas Service Energy	11-28-77	S76824
W. B. Osborne	12-14-77	S71126
W. B. Osborne	12-14-77	S71126
E. W. Roberts	12-5-77	S78461
Sun Oil Co	12-10-75	
Sun Oil Co	12-10-75	
Sun Oil Co	12-10-75	
Sun Oil Co	12-10-75	
Phillips Petroleum Co	4-14-78	66
American Public Energy Co	2-02-79	
Amerada Hess Corp	4-06-78	107
Amoco Production Co	7-18-78	785
Andover Oil Co	10-09-78	S73603
Andover Oil Co	10-09-78	S73603
Andover Oil Co	5-25-78	S73603
Andover Oil Co	5-25-78	S73603
Andover Oil Co	2-15-78	S73603
Andover Oil Co	2-15-78	S73603
Andover Oil Co	3-01-78	S73603
Andover Oil Co	3-01-78	S73603
Andover Oil Co	11-21-77	S73603
Andover Oil Co	11-21-77	S73603
Arco Oil & Gas Co	10-04-62	470
Arco Oil & Gas Co	10-04-62	470
Beren Corporation	9-21-78	S71704
Beren Corporation	9-21-78	S71704
Best & Sherman Oil Co	8-31-78	78-732
Bluebell Oil & Gas Inc	3-13-78	S78325
GMC Energies Co., Inc	8-22-78	S78534
Chase Gath System	10-10-78	S78175
Chase Gath System	10-10-78	S78175
Chase Gath System	9-12-78	78-175
Chase Gath System	9-12-78	78-175
Cimarron Petroleum Co	9-28-78	
Cimarron Petroleum Co	9-28-78	
Colorado Gas Company Inc	9-28-78	S77419
Colorado Gas Company Inc	5-04-78	S77419
Consolidated Oil & Gas	7-17-78	S72694
Consolidated Oil & Gas	7-17-78	S72694

Producer	Contract date	Rate schedule
Corpening Enterprises	9-23-77	S72978
Cotton Petroleum Co	8-09-78	
Cotton Petroleum Co	8-09-78	
Craig Morris Oil co	8-28-78	
El Grande PL Corp	8-10-78	S71291
El Grande PL Corp	3-01-78	S71291
Energy Reserves Group	3-01-78	2
Energy Reserves Group	3-01-78	2
Flynn Energy Corp	3-09-78	S73382
Gil Mac Inc	2-08-78	S77 36
Gil Mac Inc	2-08-78	S77 36
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	8-11-78	78-727
Great Yellowstone Co	1-05-78	78-727
Great Yellowstone Co	1-05-78	78-727
Herndon Drilling Co	8-16-78	S78760
Herndon Drilling Co	8-16-78	S78760
Herndon Drilling Co	8-16-78	S78760
George R. Jones	12-28-77	S75155
Kennedy & Mitchell Inc	10-05-60	S76199
Kennedy & Mitchell Inc	10-05-60	S76199
W. E. Kirkpatrick	2-22-78	S75297
M&A Petroleum co	8-19-78	S78488
MP&R Production Co	4-27-78	S78406
Mackellar Inc	2-15-78	S72198
Mackellar Inc	2-28-78	73-603
Mackellar Inc	5-09-78	73-603
M. C. McClure	3-23-78	S78298
Al McCord	11-22-77	S74156
Al McCord	8-09-78	S74156
Mel-Ray Oil Co	12-28-77	S78223
Mel-Ray Oil Co	5-12-78	78-223
Mel-Ray Oil Co	7-24-78	S78223
Mull Drilling Co	8-22-78	S71 60
NFC Petroleum Corp	4-17-78	CS78-399
Natural Gas Production Inc	8-01-78	78-614
Petroleum Energy Inc	2-08-78	S77363
R&M Pipeline Inc	11-28-79	
Range Oil Co	12-15-77	S76 37
Samedan Oil Corp	8-11-79	
Dr. John J. Shea	9-27-78	79-80
Tani Farms	8-23-78	CS78-671
Texaco Inc	8-21-78	
Texaco Inc	8-21-78	
Thetis Energy Corp	9-05-78	S78426
Tideway Oil Programs	8-09-78	S75410
Tideway Oil Programs	8-09-78	S75410
Tenneco Oil Company	10-21-66	211
Tower Oil & Gas Co	5-01-78	S78433
Walker Withrow Inc	1-05-78	S78215
Walter D. Wells Jr	8-02-78	
Walter D. Wells Jr	8-22-78	
Walter D. Wells Jr	8-22-78	
Wessely Expl., Inc	4-26-78	S78403
Wilson Drilling Co	5-03-78	S77653
Wilda Wolfe	8-23-50	1
Verdigua Gath Systems	3-01-78	S78333
Verdigua Gath Systems	3-01-78	S78333
Cummings Oil Co	10-21-66	S71886
Cummings Oil Co	10-21-66	S71886
Tenneco Oil Co	10-21-66	211
Amoco Production Co	8-27-69	668
Continental Oil	9-29-71	377
Continental Oil	9-29-71	377
Continental Oil	9-29-71	377
Continental Oil	9-29-73	402
Continental Oil	8-26-72	383
Continental Oil	12-29-70	365
Continental Oil	5-09-75	419
Eason Oil Co	8-10-70	S71631
Eason Oil Co	8-28-74	S71631
Mitchell Oil Co	1-29-71	S71199
Tenneco Oil Co	10-23-70	266
Charles R. Walbert	8-27-69	S72197
Woods Petroleum Corp	8-10-70	S71647
Woods Petroleum Corp	8-10-70	S71647
Woods Petroleum Corp	8-10-70	S71647
Texaco Inc	8-29-64	100
BTA Oil Producers	11-20-78	
BTA Oil Producers	11-20-78	
Benson Mineral Group	8-16-78	S74402
Benson Mineral Group	8-04-78	S74402
Corley Ginther Oil	10-27-78	S79 67
Dameon Oil Corp	1-03-79	
Davine Gas Co	10-31-78	
Grace Petroleum Co	3-16-79	S71825
H & R Oil and Gas Co	12-15-76	S79 74
George R. Jones	10-30-78	S78155
Mull Drilling Co	8-12-79	
Pasco, Inc	10-17-78	S78504

Producer	Contract date	Rate schedule
Pasco, Inc	10-17-78	S78504
Smith Oil Co. & MOR		
Energy Inc	10-24-78	
Samedan	11-15-78	
Donald C. Slawson	11-15-78	S72771
Tenneco Oil Co	1-15-79	
Texas Pacific Oil Co	11-15-78	
Texas Pacific Oil Co	11-15-78	
Amoco Production Co	1-15-79	796
Amoco Production Co	3-23-78	744
Amoco Production Co	4-14-78	777
Jerry Chamber	12-26-78	
Diamond Shamrock Corp	10-12-78	91
Diamond Shamrock Corp	8-10-78	89
Wamsutter Ltd Part	3-30-78	776
Wamsutter Ltd Part	1-6-78	762
Wamsutter Ltd Part	5-5-78	783
Wamsutter Ltd Part	9-21-78	798
Wamsutter Ltd Part	9-28-78	
Juniper Petro Corp	12-28-78	

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[Docket No. GP80-24]

Transcontinental Gas Pipe Line Corp.; Third-Party Protests [1]

December 7, 1979

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B [2], and "Order on Rehearing of Order No. 23-B," [3] The staff of the Commission protested on October 15, 1979, the assertion by the Transcontinental Gas Pipe Line Corporation (Transcontinental) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Transcontinental in its evidentiary submission.

Take further notice that the Associated Gas Distributors (AGD) also filed a third-party protest on October 15, 1979. AGD protests that the contracts in Appendix B do not constitute contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price. AGD's position has been adopted and incorporated in protests filed by the Arizona Corporation Commission, the Florida Cities, the Gas Consumers Group, the Kansas State Corporation Commission, Congressman Andrew Maguire, the Cities of Mangum, Oklahoma and Winfield, Kansas, the Memphis Light, Gas and Water Division, the Public Service Commission of the State of New York, the South Dakota Public Service Commission and the Minnesota Public Service Commission.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 21, 1979, a petition to intervene in accordance with 18 C.F.R. 1.8. The seller, need not file for intervention because under 18 C.F.R. § 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

Appendix A

Producer	Rate Schedule No. or contract date
Amoco Production Co., et al	2
Continental Oil Co	77
Getty Oil Co., et al	16
Aminoil Development Co., et al	3
Atlantic Richfield Co., et al	147
Bradco Oil & Gas Co., et al	8-11-77
C&K Petroleu, Inc.	3-26-74
Cities Service Co	443
Cities Service Co	449
Cities Service Co	450
Energy Reserves Group Inc. et al	81
Exxon Corp	170
Florida Gas Expl. Co. et al	12
General American Oil Co	40
General American Oil Co	106
Getty Oil Co	219
Getty Oil Co	412
Gulf Oil Corp. et al	178
La. Land & Expl. Co., et al	23
Ocean Production Co., et al	12
Park Pipe Line	5
Southland Royalty Co	74
Sun Oil Co	371
Sun Gas Co	597
Transco Exploration Co	24
Peet Oil Corp	7-8-66
Quintana Oil & Gas Corp	1
Quintana Oil & Gas Corp	1
Sun Gas Co	611
Transco Exploration Co	6
Transco Exploration Co	20
Transco Exploration Co	29
Transco Exploration Co	35
Transco Exploration Co	39
Transco Exploration Co	4-11-77
Transco Exploration Co., et al	12
Transco Exploration Co., et al	14
Transco Exploration Co., et al	18
Transco Exploration Co., et al	19
Transco Exploration Co., et al	22
Transco Exploration Co., et al	28
Transco Exploration Co., et al	30
Transco Exploration Co., et al	38
Zinn Petroleum Co	5-22-72
Gulf Oil Corp	410
Sun Oil Co	485
Union Oil Co. of California	165
Union Oil Co. of California	232
ACF Petroleum Co., et al	8-5-76
ACF Petroleum Co., et al	11-10-77
Amerada Hess Corp	83
Amoco Production Co	205
Amoco Production Co	242
Amoco Production Co	483
Amoco Production Co	526
Bethleham Steel Corp., et al	2
Bethleham Steel Corp., et al	4
Drillamex Inc., et al	8-20-77
Energy Reserves Group, Inc.	116
Exchange Oil & Gas Corp., et al	31
Filmont Oil Corp., et al	11

[1] The term "third party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

Appendix A—Continued

Producer	Rate Schedule No. or contract date
Gas Producting Enterprises	59
Getty Oil Corp., et al	15
Gulf Oil Corp	104
Gulf Oil Corp	220
Hurst, C. A	11-1-66
Kerr-McGee Corp	69
Kerr-McGee Corp	103
Ladd Petroleum Corp	83
McMoran Exploration Co	7-31-77
McMoran Exploration Co	9-1-78
McMoran Exploration Co	9-30-78
Mesa Petroleum Co	9-19-78
Mobil Oil Corp	268
Mobil Oil Corp	547
Mobil Oil Expl. & Prod.	546
Ocean Production Co. et al	5
Pachuta Corp., et al	8-29-78
Pachuta Corp., et al	7-17-78
Pachuta Corp., et al	2-26-78
Pachuta Corp., et al	12-22-77
Placid Oil Co., et al	61
Placid Oil Co., et al	64
Southern National-JTVent	1
Southern National-JTVent	2
Suburban Propane Gas Corp	12-19-56
Superior Oil Co	199
Sutton Production Corp	10-14-77
Texas Oil & Gas Corp	9-21-78
La. Land & Expl. Co	5
Amoco Production Co	437
Getty Oil Co	192
Ocean Production Co. et al	12-15-69
Sun Oil Co	6
McCormich 1975 Oil & Gas, et al	6-25-75
Texaco Inc	412
Texaco Inc	555
Texaco Inc	559
Texaco Inc	563

Appendix B.—*Transcontinental Gas Pipe Line Corp.*

Seller	Control No.	Rate schedule No.	Contract date
Sakco	11100	SPC	12-19-56
Wayne E. Glenn	11100	SPC	12-19-56
Suburban Propane	11100	SPC	12-19-56
Suburban Propane	11100	SPC	12-19-56
Newmont Oil	21520	SPC	09-23-76
Mobil Oil Expl. & Prod. SE	21563	546	08-25-77
Mobil Oil	21564	547	08-25-77
Mobil Oil	21564	547	08-25-77
Mobil Oil Expl. & Prod. SE	20119	292	10-07-57
Mosbacher	11131	SPC	03-11-63
Superwell Dev	11167	SPC	02-13-59
Energy Reserves	11186	119	03-10-59
Robert Mosbacher	20288C	SPC	08-11-65
Newmont Oil	20300B	SPC	08-23-67
Newmont Oil	20300B	SPC	08-23-67
Roy M. Huffington Inc	20303B	SPC	09-05-57
Roy M. Huffington Inc	20303B	SPC	09-05-57
Mobil	11103	435	02-08-57
Mobil Oil Corp	20032	16	09-12-47
Mobil Oil Corp	201198	292	10-07-57
Aminoil Development	21117	SPC	09-18-57
Fluor Oil & Gas Co	21117	SPC	09-09-57
C & K Petroleum, Inc	21117	SPC	09-05-57
Mobil Oil Corp	21117	176	09-18-57
Ocean Production Company	21117	6	09-18-57
Sun Oil Co	21117	539	09-18-57
Mobil Oil Corp	21117	176	09-18-57
Ocean Oil & Gas Co	21117		09-18-57
Ocean Production Company	21117	6	09-18-57
Pelto Oil Co	21117	SPC	09-18-57
Sun Gas Co	21117	539	09-18-57
Mobil Oil	21262	374	01-29-65
Mobil Oil	21339	457	03-31-69
Mobil Oil	21339	457	03-31-69
Mobil Oil	21504	529	07-29-76
Mobil Oil	21504	529	07-29-76
Energy Reserves	11164	118	08-07-58
Energy Reserves	11164	118	08-07-58
Energy Reserves	11233	116	07-29-69
ARCO	12470	R241	11-07-74
Bleiker, Ruth Phillips	12470	RSPC	11-07-74
Blair Petroleum	12470	RSPC	11-07-74
Brown, E.M	12470	RSPC	11-07-74

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Castle, Inc	12470	RSPC	11-07-74
Continental Oil Co	12470	R 76	11-07-74
E.M. Brown Estate	12470	RSPC	11-07-74
E.M. Brown-H.L. Jr	12470	RSPC	11-07-74
E.M. Brown-Wheeler	12470	RSPC	11-07-74
Getty Oil Company	12470	R 15	11-07-74
Grampain Co. LTD	12470	RSPC	11-07-74
Kelly, Susanna Phillips	12470	RSPC	11-07-74
Marathon Oil Co	12470	R 12	11-07-74
Mobil (Honeycutt)	12470	R316	11-07-74
Mobil Oil Corp	12470	R316	11-07-74
Mobil-Eaton	12470	R318	11-07-74
Monsanto Company	12470	R66	11-07-74
Phillips, H.H., Jr	12470	RSPC	11-07-74
Reserve (C.A. Blumberg)	12470	RSPC	11-07-74
Reserve Oil & Gas et al	12470	RSPC	11-07-74
Reserve-Barnick	12470	RSPC	11-07-74
Reserve-Lunes	12470	RSPC	11-07-74
Sheerin, Irene	12470	RSPC	11-07-74
Smell & Arney	12470	RSPC	11-07-74
Sun Oil-DK	12470	R273	11-07-74
Weinert-Bauchman	12470	RSPC	11-07-74
Weinert-J.H. Blumberg	12470	RSPC	11-07-74
Weinert, H.B. (E. Blumberg)	12470	RSPC	11-07-74
Getty Oil Corp	12470	15	11-07-74
Marathon Oil Co	12470	12	11-07-74
Mobil Oil Corp	12470	R318	11-07-74
Amoco Production	20121	205	08-06-57
Amoco Production	20121	205	08-06-57
Amoco Production	20121	205	08-06-57
Amoco Production	20122	204	05-23-63
Amoco Production	20124	206	08-15-57
Faulconer, Veron E	201530A	SPC	01-07-58
Amoco Production	20170	242	10-21-58
Amoco Production	20170	242	10-21-58
Amoco Production	20189	354	03-02-59
Shell	11183	189	12-18-58
Diamond Shamrock	11192	27	03-12-59
Am Petrofina	11192	27	03-12-59
PW Pitzer Jr	11192	27	03-12-59
Kencil	11225	SPC	02-01-60
Kencil	11229	SPC	08-07-74
H.R. Perot	11477	SPC	06-13-75
H.R. Perot	11483	SPC	11-04-77
Zinn Petroleum	12409	SPC	03-22-72
Petrus Oil Co	12409	SPC	03-22-72
Wayne D. Dirks	12409		03-22-72
Zinn Petroleum Co	12409	SPC	03-22-76
Transco Exploration	12487	3	09-24-75
Bill Forney, Inc	13496	SPC	04-12-76
Energy Development	14441	SPC	02-22-74
Bel Oil Corp	20005	SPC	05-27-54
Gen. American Oil	20090B	77	08-29-58
B M Rankin Jr	20193B	SPC	03-23-59
McWilliams, WK	20193A	SPC	03-23-59
Union Texas Petroleum	20193B	119	03-23-59
Exchange Oil & Gas Corp	20193B	31	03-23-59
O Biller	20193B		03-23-59
Petro-Funds Inc	20193B		03-23-59
Sunny South Oil & Gas Inc	20193B		03-23-59
The South Coast Corp	20193B	SPC	03-23-59
Exchange Oil & Gas Corp	20193B	31	03-23-59
Union Texas Petroleum	20193B	119	03-23-59
Ernst B. Kamm	20234		08-31-61
Phoenix Dev Fund #1	20234		08-31-61
Phoenix Dev Fund #2	20234		08-31-61
Roland Mongrue	20234		08-31-61
North Central Oil	20254	SPC	09-01-61
Samedan Oil Corp	20262	SPC	09-01-61
Solnio Natural Resources	20262	60	09-01-61
Wolfe Oil & Gas Co	20262	SPC	09-01-61
Bel Oil Corp	20274	SPC	02-05-63
McCormick 1972 Oil & Gas	20303C	SPC	09-05-57
Great Southern Oil & Gas	20318	SPC	10-13-69
Charles Goen	20318		10-13-69
Douglas D. Drysdale	20318		10-13-69
Douglas Whitaker	20318	SPC	10-13-69
John E. Rhea	20318		10-13-69
Ruth Whitaker Estate	20318		10-13-69
McCormick 1972 Oil & Gas	20322B		05-27-88
Pranks Petroleum	20368A	SPC	05-14-70
Exchange Oil & Gas	20393	19	08-02-71
Gulf Oil	20395	427	07-29-71
Gulf Oil	20395	104	07-29-71
ARCO	20399	648	09-01-71
Devon Corp	20405	SPC	02-01-72
Eason (Acct. of Amerada)	20405	SPC	03-01-72
Eason (for Acct. Texaco)	20405	SPC	02-01-72
Eason Oil Company	20405	SCP	02-01-72
Texaco, Inc	20437	494	01-15-72

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Great Southern Oil & Gas	20450	SPC	07-01-74
Hanover Planning	20454	SPC	07-12-74
Auster Oil & Gas	20456	SPC	08-08-74
J P Owens Co	20456	SPC	08-08-74
Windfohr Oil	20457	SPC	08-05-74
K & M Management	20457		08-05-74
Wm. W. Lomerson	20457		08-05-74
Shenandoah Oil	20458	SPC	08-15-74
Mid-American Oil	20458	SPC	08-15-74
Moore McCormick Oil & Gas	20458	SPC	08-15-74
Devon Corp	20459	SPC	08-20-74
Eason Oil Co	20459	SPC	08-20-74
Evmar Oil Corp	20459	SPC	08-20-74
P & O Oil Corp	20459	SPC	08-20-74
Nat'l Exploration	20474	SPC	04-01-75
Transco Exploration	20488	6	07-02-75
Windfohr Oil	20519	SPC	09-23-76
K&M Management Co	20519		09-23-76
William W Lomerson	20519		09-23-76
McMoran Exploration	20525	SPC	11-06-76
Dow Chemical	20525	SPC	11-06-76
Amoco Production	20526	744	11-06-76
Quien Sabe Corp	20539	SPC	12-09-76
Samedan Oil	20539	SPC	12-09-76
Newmont Oil	20541	SPC	11-22-76
Mar-Low Corp	20541	SPC	11-22-76
Martin Yates III	20541	SPC	11-22-76
Valor Land & Exp Co	20541		11-22-76
Yates Drilling Company	20541	SPC	11-22-76
IMC Exploration	20556	SPC	11-22-76
C&K Offshore	21141B	SPC	12-23-57
Bethlehem Steel Corp	21141B	2	12-23-57
Can Oil Oil U.S. Inc	21141B	SPC	12-23-57
Four M Properties Inc	21141B	SPC	12-23-57
Ocean Production Company	21141B		12-23-57
Odeco Drilling Inc	21141B		12-23-57
St. Joe Minerals Corp	21141B		12-23-57
Transco Expl. Co	21141B	4	12-23-57
Transco Expl. Co	21141B	5	12-23-57
Phillips Petroleum Company	21141B	SPC	12-23-57
Bethlehem Steel Corp	21141B	2	12-23-57
C&K Offshore Co	21141B	SPC	12-23-57
Transco Expl. Co	21141B	4	12-23-57
Transco Expl. Co	21141B	5	12-23-57
Union Oil-Calif	21151	119	08-15-61
Sun Oil	21160	101	08-15-61
Union Oil-Calif	21161	26	06-09-60
Union Oil-Calif	21240	52	07-21-60
Exchange Oil & Gas	21243	26	10-09-63
Clinton Oil Co	21243		10-09-63
Consolidated Gas Sup. Co	21243		10-09-63
Ocean Drilling & Expl. Co	21243	4	10-09-63
Oil & Gas Futures, Inc	21243	SPC	10-09-63
The South Coast Corp	21243	SPC	10-09-63
W.O. Heinze	21243	SPC	10-09-63
Mobil Oil	21257	268	04-17-61
Mobil Oil	21257	268	04-17-61
Exxon Corp	21260	304	06-19-61
Union Oil-Calif	21272B	63	01-16-62
Gulf Oil	21286	369	07-07-65
Union Oil-Calif	21307	184	11-09-67
Union Oil-Calif	21314	185	01-25-68
Exchange Oil & Gas	21320	10	03-28-68
Clinton Oil Co	21320		03-28-68
Consolidated Gas Co	21320		03-28-68
Ocean Production Co	21320		03-28-68
Oil & Gas Futures, Inc	21320		03-28-68
South Coast Corp	21320	SPC	03-28-68
C&K Petroleum	21434	SPC	01-15-73
Bethlehem Steel Corp	21434	1	01-15-73
Dorchester Explor	21434	7	01-15-73
Florida Gas Explor. Inc	21434	9	01-15-73
Furth Oil Co	21434	SPC	01-15-73
H.C. Price Co	21434	SPC	01-15-73
Mitchell & Mitchell Prop	21434	5	01-15-73
Shepherd Off Ventures	21434	SPC	01-15-73
Zapata Corp	21434	1	01-15-73
Forest Oil	21439	59	05-29-73
Crystal Oil	21440	SPC	09-20-73
Dixilyn Corp	21440	SPC	09-20-73
Hurst, C.A	30330	SPC	11-01-66
Hurst, C.A	30330	SPC	11-01-66
Pachuta Corp	30499	SPC	07-22-76
Placid Oil	30500	56	04-22-76
Placid Oil	30506	57	06-04-76
Pachuta Corp	30507	SPC	08-13-76
Florida Gas Exploration	30508	15	09-13-76
ACF Petroleum Co., Inc	30508	SPC	09-13-76
Drillamex, Inc	30508	SPC	09-13-76
Ocelot Oil Company	30509	SPC	09-13-76

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Pachuta Corp	30512	SPC	09-11-76	Cities Service	14007	450	08-10-76	Sklar & Phillips Oil Co	20574		09-02-77	Transco Exploration	20622	38	8-4-78	Amoco Production	12061	92	12-4-48	Edgar A. Smith	12292A		07-08-66
Florida Gas Exploration	30518	18	09-23-76	Cities Service	14007	450	08-10-76	Winterhall Oil & Gas Co	20574	SPC	09-02-77	Transco Exploration	20622	38	8-21-78	Amoco Production	12062	81	04-29-52	Fred Oliver	12292A	SPC	07-08-66
Drillamex, Inc	30518	SPC	09-23-76	American Petr-Texas	14008	3	08-09-76	McMoran Exploration	20579	SPC	07-31-77	McMoran Exploration	20634	SPC	8-30-78	Sohio Natural Resources	20066	26	04-30-48	James I. Riddle	12292A	SPC	07-08-66
Ocelot Oil Company	30518	SPC	09-23-76	Finandel, Inc	14008	3	08-09-76	Bernedun-Trees Oil Co	20579	SPC	07-31-77	Texas No. Z Corp	20634	SPC	8-30-78	Sun Oil Company	20066	286	04-30-48	Jan S. Cato	12292A		07-08-66
Florida Gas Expl	30529		11-12-76	Getty Oil	14009	219	08-10-76	Natomas Exploration Inc	20579	SPC	07-31-77	McMoran Exploration	20634	SPC	8-30-78	Tribune Oil Corp	20066	SPC	04-30-48	Lincoln L. Adam	12292A		07-08-66
Placid Oil	30529	58	11-12-76	Getty Oil	14009	219	08-10-76	Texas No Z Corp	20579	SPC	07-31-77	McMoran Exploration	20634	SPC	8-30-78	Continental	12006	77	09-22-47	P. E. Stanley	12292A		07-08-66
Pachuta Corp	30537	SPC	01-18-77	Getty Oil	14010	412	08-10-76	McMoran Exploration Co	20579	SPC	07-31-77	McMoran Exploration	20642	SPC	8-22-78	Continental	12006	77	09-22-47	Sue S. Schaefer	12292A		07-08-66
Placid Oil	30543	61	02-08-77	Getty Oil	14010	412	08-10-76	McMoran Exploration	20599	SPC	03-01-78	Transco Exploration	20642	38	8-22-78	Continental	12006	77	11-05-49	Southland Drilling Co	12292A	SPC	07-08-66
Placid Oil	30543	61	02-08-77	Cities Service	14011	443	08-16-76	Texas No Z Corp	20599	SPC	03-01-78	McMoran Exploration	20642	SPC	8-22-78	HNG Oil Co	12016	9	11-06-49	Centura Inc	12292A	SPC	07-08-66
Pachuta Corp	30561	SPC	07-25-77	Cities Service	14011	443	08-16-76	McMoran Exploration Co	20599	SPC	03-01-78	Transco Exploration	20642	38	8-22-78	GM McMurry	12016		11-06-49	Clark W. Breeding	12292A		07-08-66
Florida Gas Expl	30572	28	08-20-77	Getty Oil	14017	413	09-03-76	Felmont Oil	21197	11	04-07-59	Petro-Lewis Funds	20650	SPC	8-15-78	Mrs. RB Ellis	12016		11-06-49	Edgar A. Smith	12292A		07-08-66
ACF Petroleum Co., Inc	30572	SPC	08-20-77	Getty Oil	14017	413	09-03-76	Gas Producing Enterprises	21197	45	04-07-59	Natomas No. America	20658	SPC	8-30-78	Mrs. Sherman Strong	12016		11-06-49	Fred Oliver	12292A	SPC	07-08-66
Drillamex, Inc	30572	SPC	08-20-77	Getty Oil	14017	413	09-03-76	Felmont Oil Corp	21197	11	04-07-59	Transco Exploration	20688	38	8-30-78	ARCO	12016	495	11-06-49	James I. Riddle	12292A	SPC	07-08-66
Ocelot Oil Co	30572	SPC	08-20-77	Getty Oil	14018	405	09-03-76	Gas Producing Enterprises	21197	45	04-07-59	NFC Petroleum	20670	SPC	8-25-78	ARCO	12016	494	11-14-49	Jan S. Cato	12292A		07-08-66
ACF Petroleum Co., Inc	30572	SPC	08-20-77	Getty Oil	14018	405	09-03-76	Gulf Oil	21256	220	04-04-61	Resources Investment	20672	SPC	10-20-78	Getty	12017	14	11-14-49	Lincoln L. Adam	12292A		07-08-66
Drillamex, Inc	30572	SPC	08-20-77	ARCO	14019	706	11-04-76	Gulf Oil	21256	220	04-04-61	Geodynamics Oil & Gas	20673	SPC	10-25-78	HNG Oil Co	12017	10	11-14-49	P. E. Stanley	12292A		07-08-66
Florida Gas Expl	30572	28	08-20-77	Sun Oil	14020	568	05-19-77	Robert Mosbacher	20580	SPC	08-08-77	Louisiana Land & Exploration	20748		8-22-78	Transocean Oil	12017	3	11-14-49	Sue S. Schaefer	12292A		07-08-66
Ocelot Oil Co	30572	SPC	08-20-77	Sun Oil	14020	568	05-19-77	Fairchild-Windham	20580	SPC	08-08-77	Transco Expl	41680	35	9-28-78	HNG Oil Co	12018	7	11-14-49	W. A. Stockard	12292A		07-08-66
ACF Petroleum Co., Inc	30572	SPC	08-20-77	Phillips Petroleum	14510	595	08-03-76	Inexco Oil Co	20580	SPC	08-08-77	Karlcorp	21637	NA	8-1-78	Sun Oil Co	12018	287	11-14-49	W. A. Stockard Jr	12292A	SPC	07-08-66
Drillamex, Inc	30572	SPC	08-20-77	Newmont Oil	14511	SPC	09-11-76	Leon Earnest	20580	SPC	08-08-77	NCNG Exploration	21637	NA	8-1-78	RC Hanks	12023	SPC	11-06-49	W. A. Stockard	12292A	SPC	07-08-66
Florida Gas Expl	30572	28	08-20-77	Union Texas Petroleum	14526	138	11-23-76	Transco Expl. Co	20580	22	08-08-77	Piedmont Exploration	21637	SPC	8-1-78	ASA I. White	12023		11-06-49	W. A. Stockard Jr	12292A	SPC	07-08-66
Ocelot Oil Co	30572	SPC	08-20-77	ARCO	20113	199	04-15-58	Robert Mosbacher	20580	SPC	08-08-77	Rockingham Exploration	21637	NA	08-1-78	Bertha Rowan	12023		11-06-49	Walter S. Sution/Trust A	12292A		07-08-66
Placid Oil	30596	64	01-30-78	Union Texas Petroleum	20153B	9	01-07-58	Transco Expl. Co	20580	22	08-08-77	Tar Heel Energy	21637	NA	08-1-78	Daisy R. McKenzie	12023		11-06-49	Walter S. Sution/Trust A	12292A		07-08-66
Placid Oil	30596	64	01-30-78	Marion Corp	20159A	SPC	02-12-58	FE Rogers Jr	11384		03-30-71	Transco Exploration	21637	NA	08-1-78	Donald F. Dirks	12023		11-06-49	Southland Drilling Co	12292A	SPC	07-08-66
Exxon	11212A	170	10-15-59	Sun Oil Company	20159A	371	02-12-58	Guardian Exp. Ltd 19780A	11384		03-30-71	UCG Energy Corp	21637	NA	08-1-78	Estate of John M. Dirks	12023		11-06-49	Texas Energy Expl	12613	SPC	05-18-78
Exxon	11212A	563	10-15-59	Sun Oil Company	20159A	371	02-12-58	Jedco Corp	11384		03-30-71	McMoran Exploration	21676	SPC	11-1-78	Estate of Rachel J. Dirks	12023		11-06-49	Sun Oil Co	12360	485	12-17-69
Exxon	11212A	170	10-15-59	Sun Oil Company	20159A	371	02-12-58	Rick Heinze	11384		03-30-71	McMoran Oil & Gas	21676	SPC	11-1-78	Fern Clark	12023		11-06-49	Sun Oil Co	12360	485	12-17-69
Carl Oil & Gas	11212B	SPC	10-15-59	Union Texas Petroleum	20244	57	09-06-60	Rick Rogers	11384		03-30-71	Texas No. 2 Corp	21676	SPC	11-1-78	J. M. Matthews Jr	12023		11-06-49	Sun Oil Co	12360	485	12-17-69
Adobe Oil	11212B	SPC	10-15-59	Amoco Production Co	20244	SPC	09-06-60	SE Ford	11384		03-30-71	Texas International	21638	SPC	08-09-78	J. M. Matthews	12023		11-06-49	Coastal States Gas Prod	12361	63	11-30-70
Samedan Oil	11212B	583	10-15-59	C. B. Ames	20244		09-06-60	S-T Venture	11384		03-30-71	Bonray Oil & Gas	21638	SPC	08-09-78	James L. Dirks	12023		11-06-49	Union Oil-Calif	20090A	113	08-29-56
Carl Oil & Gas	11213A	SPC	10-15-59	C. R. Williams	20244		09-06-60	WE Heinze	11384		03-30-71	Tomlinson Interests	21638	SPC	08-09-78	Mills Bennett Estate	12023	SPC	11-06-49	Gen. American Oil	20306	83	08-31-67
Adobe Oil	11213A	SPC	10-15-59	Estate of Ray C. Fish	20244		09-06-60	WJ Hedrick	11384		03-30-71	Texas International	21638	SPC	08-09-78	Nellie B. Matthews	12023		11-06-49	Cox, Edwin L	20310	SPC	01-17-68
Samedan Oil	11213A	SPC	10-15-59	J. R. Imber	20244		09-06-60	WN Null	11384	SPC	03-30-71	Shell Oil	21689	NA	11-16-78	R. W. Dirks	12023		11-06-49	Gulf Oil	20345	410	06-16-69
Allen & Shumate	11213A	SPC	10-15-59	R. D. Ricketts	20244		09-06-60	Whitaker Oil & Gas	11384		03-30-71	Cornell Oil	11721	SPC	01-23-79	Robert L. Dirks	12023		11-06-49	Gulf Oil	20345	410	06-16-69
Bruce E. Moss	11213A	SPC	10-15-59	R. R. Herring	20244		09-06-60	YS Jenkins Jr	11384		03-30-71	Czar Resources	11721		01-23-79	V. V. Vermillion & Orphe	12023		11-06-49	Transocean Oil	21341	21	04-15-69
Moss-Trustee	11213A	SPC	10-15-59	T. B. Tabbert	20244		09-06-60	Belmont Oil	11408	SPC	03-23-72	Don O. Chapell	11721	SPC	01-23-79	Alston Oil Company	12023	SPC	11-06-49	Vam Petroleum	12598	SPC	02-26-78
CW Perkins-Trustee	11213A	SPC	10-15-59	Texaco Inc	20244		09-06-60	Liberty Energy	11609	SPC	03-27-78	James A. Gibbs	11721		01-23-79	Atlantic Richfield Co	12023	504	11-06-49	Vam Petroleum	12598	SPC	02-26-78
Dorothy K. Allen	11213A	SPC	10-15-59	Texas Pacific Oil Co	20244		09-06-60	Peet Oil Co	12292B	SPC	07-08-66	Lake Ronel Oil	11721	SPC	01-23-79	Getty Oil Company	12023	16	11-06-49	Vam Petroleum	12598	SPC	02-26-78
Fred Greenberg	11213A	SPC	10-15-59	Amerada Hess	20557	R40	04-05-77	Peet Oil Co	12292B	SPC	07-08-66	Larry A. Mizel	11721	SPC	01-23-79	Texas Pacific Oil Co	12023		11-06-49	Dynamic Exploration	20829	SPC	05-22-78
Gulf Oil	11213A	178	10-15-59	Getty Oil	20573	416	10-26-77	Williams Exploration	14026	SPC	05-16-78	Penn Exploration	11721		01-23-79	Union Texas Petroleum	12023	104	11-06-49	Thompson, John R	12623	SPC	06-13-78
Gulf Oil	11213A	178	10-15-59	Finadel, Inc	21005	2	08-09-76	Coastal States Gas Prod	14449	96	12-10-75	Phillip B. Berry P/A	11721	78A	01-23-79	Getty Oil Company	12023	16	11-06-49	Alamo Petroleum	12628	SPC	06-13-78
HB Herkins	11213A	SPC	10-15-79	Getty Oil	21013	407	08-19-76	Samedan Offshore	14491	SPC	12-10-75	Steven M. Mizel		SPC	01-23-79	Harris, R. C	12023	SPC	11-06-49	Carleon Petroleum	12628	SPC	06-13-78
HL Miller	11213A	SPC	10-15-59	ARCO	21315	610	02-05-58	Texaco Inc	14502	538	02-10-76	Tenexplo Fund	11721		01-23-79	ARCO	12041	545	09-01-49	Equitable Petroleum	12628	SPC	06-13-78
Jett W. Allen	11213A	SPC	10-15-59	Phillips Petroleum	21505	598	08-11-76	Finadel, Inc	14503	1	07-15-76	Petrus Oil	11721	SPC	01-23-79	Benlax Oil	12041		09-01-49	Moshacher, Robert	12729	SPC	02-14-79
Juanita H. Allen	11213A	SPC	10-15-59	Gen. American Oil	21530	106	12-02-76	MF McCain	20224	SPC	02-23-60	Amerada Hess	11782	70	05-21-79	Marathon	12041		09-01-49	Pendorelle	12729	SPC	02-14-79
Mary Flo Smith	11213A	SPC	10-15-59	Gen. American Oil	21530	106	12-02-76	A M Jackson	20224	SPC	02-23-60	Lenois M. Josey	12002	SPC	11-1-49	Esperanza Oil & Gas	12041		09-01-49	Transco Exploration	12729	NA	02-14-79
Nat'l Bank Comm. of S.A.	11213A	SPC	10-15-59	Gen. American Oil	21530	106	12-02-76	Alan B. Sverdlow	20224		02-23-60	Pine Lodge Oil	12002		11-1-49	Sun Gas Co	12292C	446	07-08-66	General Crude Oil	13728	SPC	02-09-79
Russell H. Brown, Jr	11213A	SPC	10-15-59	Transco Exploration	21577	24	11-16-77	Betty Sue McKeever	20224	SPC	02-23-60	R. A. Josey	12002		11-1-49	Edwin M. Jones Oil	12292D	SPC	07-08-66	General Crude Oil	14716	SPC	12-28-78
Allen & Shumate	11213A	SPC	10-15-59	Transco Exploration	21577	24	11-16-77	C H Lyons Jr. SUC CHL SR	20224	SPC	02-23-60	Am Petr of Tex	12002	48	11-1-49	Enserch Expl	12292E	80	07-08-66	Transco Exploration	14716		12-31-78
Sutton Producing	11259	SPC	10-14-77	Sutton Producing	11259	SPC	10-14-77	E L Hillard	20224	SPC	02-23-60	Amoco Production	12002	2	11-1-49	Enserch Expl	12292E	80	07-08-66	Alfred H. Glassell Jr	20232	SPC	05-10-60
Sutton Producing	11259	SPC	10-14-77	Sutton Producing	11259	SPC	10-14-77	E L Hillard III	20224	SPC	02-23-60	Ann Parker Davidson	12002		11-1-49	ARCO	12292F	578	07-08-66	Edwin L. Cox	20232	SPC	05-10-60
Allen & Shumate	11213A	SPC	10-15-59	Transco Exploration	12468	2	05-11-77	Estate of D B Prentiss	20224	SPC	02-23-60	ARCO	12002	41	11-1-49	Patton Oil Co	12292F		07-08-66	Exchange Oil & Gas Corp	20232		05-10-60
Gulf Oil	11213A	178	10-15-59	Transco Exploration	12532	11	12-15-78	Estate of Roger Odgen	20224	SPC	02-23-60	Austin W. Mosely	12002		11-1-49	Vernon Co	12292F	SPC	07-08-66	Grady H. Vaughn Trust 1&2	20232	SPC	05-10-60
Forest Oil	11214B	13	09-05-59	Cummins & Walker Oil	12544	SPC	05-07-77	G F Abendroth	20224	SPC	02-23-60	Cecilia Shepherd Cambias	12002		11-1-49	W. L. Pickens	12293A	SPC	07-13-66	HNG Oil Company	20232		05-10-60
Edwin L. Cox	20155	SPC	02-11-58	Transco Exploration	13560		07-29-77	G L Logan	20224	SPC	02-23-60	Clinton W. Josey Jr	12002	SPC	11-1-49	L. A. Wainwright	12293A		07-13-66	Jack C. Vaughn Trust 1&2	20232		05-10-60
Apache Exploration Co	20155	SPC	02-11-58	Transco Exploration	13560		07-29-77	Hall M Lyons	20224	SPC	02-23-60	Dorothy Josey	12002	SPC	11-1-49	McCarter, Nelson A	12293A	SPC	07-13-66	Robert Mosbacher	20232	SPC	05-10-60
Owens, Meeks & Robbins	20155	SPC	02-11-58	Transco Exploration	13560		07-29-77	J T Palmer	20224	SPC	02-23-60	Edwin M. Jones Oil	12002	SPC	11-1-49	ARCO	12293B	577	07-13-66	Gulf Oil Exp. & Prod. Co	20232		05-10-60
Serio Exploration Co.	20155	SPC	02-11-58	Transco Exploration	13560	20	07-29-77	John Michael Hilliard	20224	SPC	02-23-60	Estate of Sybil Schuyler	12002		11-1-49	ARCO	12293B	42	07-13-66	Gulf Oil Corp	20268A	460	06-11-65
Exxon Co. USA	20155	130	02-11-58	Exxon Co. USA	20180	152	01-15-59	Margaret B. Smitherman	20224	SPC	02-23-60	1st Nat'l Bank in Dallas	12002		11-1-49	Northern Pump Co	12293B	SPC	07-13-66	McMoran Expl	20714	SPC	01-08-78
Exxon Co. USA	20155	131	02-11-58	The Superior Oil Co	20182	215	12-30-58	Succession of M H Lyons	20224	SPC	02-23-60	Gloria Anderson Eckert	12002		11-1-49	Andover Oil	12027	SPC	01-25-50	Transco Expl	20715	NA	02-12-79
Alfred C. Glassel, Jr	10155	SPC	02-11-58	George R. Brown	20195	5	12-30-58	Susybell W. Lyons	20224	SPC	02-23-60	Grace King Fletcher	12002		11-1-49	Texaco Inc	21355	442	12-06-69	Burke, Earl P., Jr	20727	SPC	02-12-79
D. J. Robichaux	10155	1	02-11-58	Sun Oil	20195	535	12-30-58	Chevron USA	11614	R57	05-12-78	Heard, CE, Estate	12002	SPC	11-1-49	Texaco Inc	21356	440	12-06-69	Burmont Expl. 1972A	20727	SPC	02-12-79
Exchange Oil & Gas Co	20155		02-11-58	C & VC, Inc	20227	SPC	03-03-59	Supron Energy	11630	38	07-13-78	Heirs of Estill S. Heyser	12002	SPC	11-1-49	Texaco	12029	R84	06-12-47	Pelmont International	20727	SPC	02-12-79
Grady H. Vaughn Jr	20155	SPC	02-11-58	Continental Oil	20254	185	02-23-61	Zenith Energy	11630	SPC	7-13-78	Helga K. Shepherd	12002		11-1-49	Texaco	12053	259	04-29-52	Cox, Edwin L	20736	SPC	02-22-79
Hng Oil Company	20155		02-11-58	Phillips Petroleum	20371	482	06-10-70	Supron Energy	11630	38	7-13-78	Heystar, Estill S. Jr	12002		11-1-49	Texaco	12054	258	10-22-47	Freeport Oil Co	20742	SPC	02-22-79
Jack C. Vaughn Trust 1 & 2	20155	SPC	02-11-58	Transco Exploration	20523	8	10-29-76	Zenith Energy	11630	SPC	7-13-78	J. E. Josey III	12002		11-1-49	Amerada Hess	20111	SPC	09-09-57	Transco Expl	21684	37	12-04-78
Robert Mosbacher	20155	SPC	02-11-58	Transco Exploration	20533	10	12-20-76	Cummins & Walker	11635	SPC	7-12-78	J. Earle Brown	12002	SPC	11-1-49	Amerada Hess	20111	53	09-09-57	General Crude Oil	21726	SPC	01-08-79
T. W. Kleinpeter	20155	1	02-11-58	Transco Exploration	20534	9	12-21-76	Texam Oil	11641	RSPC	8-1-78	Jack S. Josey	12002		11-1-49	Amerada Hess	20111	63	09-09-57	General Crude Oil	21726	SPC	01-08-79
Exxon Co. USA	20156	130	02-11-58	Transco Exploration	20546	12	03-08-77	Gregory R. Hovas	11656		9-7-78	James L. Shepherd III	12002		11-1-49	Kenmore Oil	20206	SPC	06-19-59	Not listed	12712		
George R. Brown	20156	21	02-11-58	McMoran Exploration Co	20546	SPC	03-08-77	Harry H. Cullen	11656	SPC	9-7-78	June Janes Josey	12002		11-1-49	Daniel Oil Co	20206	SPC	06-19-59	B. J. McCombs	02739		03-15-79
Hassie Hunt Inc	20156	36	02-11-58	Transco Exploration	20546	12	03-08-77	Houston Nat'l Bank	11656		9-7-78	Lenoir M. Josey Inc	12002	SPC	11-1-49	Frank A. Ashby Jr	20206		06-19-59	Charlie Thomas	12739		03-15-79
Sohio Petroleum Co	20156	127	02-11-58	McMoran Exploration Co	20548	SPC	03-08-77	Isaac Arnold Jr	11656	RSPC	9-7-78	Madeline Shepherd	12002		11-1-49	J D Wrather Jr	20206	SPC	06-19-59	Jack Criswell	12739		03-15-79
Bradco Oil & Gas	20576	SPC	08-11-77	Transco Exploration	20547	14	04-07-77	Long Resources, Inc	11656		9-7-78	Mellissa Josey Fabian	12002		11-1-49	Amoco Production	21241	268	07-28-60	Sid Sparks, Nom-Lymerco	12739		03-15-79
C. J. Scott	20576	SPC	08-11-77	Transco Exploration	20547	14	04-07-77	Margaret C. Marshall	11656	SPC	9-7-78	Miss M. M. Broussard	12002		11-1-49	Amoco Production	21261A	333	01-16-62	Sidney Sparks, Nom.-Karob	12739		03-15-79
Charles W. Moody Jr	20576	SPC	08-11-77	Transco Exploration	20549	18	04-14-77	Roy H. Cullen	11656	SPC	9-7-78	Nowhan Bros. Drilling	12002	SPC	11-1-49	Amoco Production	21324	527	03-03-69	Viking Resources	12739	NR	03-15-79
Edward Randall III	20576	SPC	08-11-77	Transco Exploration	20549	18	04-14-77	Southern Nat'l Bank	11656		9-7-78	PR Rutherford	12002	SPC	11-1-49	Amoco Production	21325	526	03-03-69	Centex Oil & Gas	12740	NR	03-15-79
Howard I. Mason	20576	SPC	08-11-77	Transco Exploration	20550		04-11-77	Wilhelmina C. Robertson	11656	SPC	9-7-78	Pauline J. Low	12002		11-1-49	Amoco Production	21325	526	03-03-69	Centex Oil & Gas	14824	NR	06-01-79
Midland Production LTD	20576	SPC	08-11-77	Transco Exploration	20551	15	04-11-77	Gas Producing Ent	12583	59	12-21-77	Peet Oil Co	12002		11-1-49	Amoco Production	21326	525	03-03-69	Penrzoil Producing	12749	NR	03-23-79
Nicklos Oil & Gas Company	20576	SPC	08-11-77	Transco Exploration	20552	19	04-11-77	Gas Producing Ent	12583	59	12-21-77	Peet, Edwin J. Trustee	12002	SPC	11-1-49	Amoco Production	21327	528	03-03-69	Penrzoil Producing	12760	NA	04-20-79
Odyssey Oils Eight	20576		08-11-77	Transco Exploration	20552	19	04-11-77	Texas Oil & Gas	12651	SPC	9-12-78	RA Shepherd	12002		11-1-49	Sun Oil	12071	6	09-24-47	General American Oil	12760	NA	04-20-79
Robert Mosbacher	20576	SPC	08-11-88	Ladd Petroleum	2-565	83	09-01-77	Texas Oil & Gas	12653	SPC	9-21-78	Reserve Oil Inc	12002		11-1-49	Sun Oil	12071	6	09-24-47	1st Nat'l Bank—Dallas	12762	SPC	06-06-79
Shasta Minerals Inc	20576	SPC	08-11-77	Ladd Petroleum	20565	83	09-01-77	Texas Oil & Gas	12653	SPC	9-21-78	Roberta A. Shepherd Jr	12002		11-1-49	Marathon Oil	13033	10	06-13-67	Texas Oil & Gas	12737	SPC	03-09-78
Bradco Oil & Gas Co	20576	SPC	08-11-77	Jet Oil Co	20568	SPC	10-24-77	Texas Oil & Gas	12666	SPC	9-29-78	Robert Schuyler	12002		11-1-49	Sun Oil	13033	27	06-13-67	Texas Oil & Gas	12736	SPC	03-14-79
ARCO	11213B	473	10-15-59	Flynn Energy	20569	SPC	10-24-77	Transco Exploration	13645	39	8-1-78	Ruth W. Downey	12002		11-1-49	Getty Oil	14373	182	08-07-70	Texas Oil & Gas	12795	SPC	06-13-79
ARCO	11214A	429	09-05-59	F. J. Muller	20574	SPC	09-02-77	Diamond Shamrock	20601	84	12-15-77	Sohio Nat. Resources	12002	133	11-1-49	Getty Oil	14375	373	08-01-70	Transco Expl	13754	NA	03-01-79
ARCO	11283	237	08-18-61	Fred Olsen Inc	20574	SPC	09-02-77	Inexo Oil	20602	SPC	12-15-77	Stephan H. Chilton TR #1	12002		11-1-49	Sun Oil	14376	494	08-01-70	Sohio Natural Resources	20787	NA	06-08-79
Energy Investments	12566	SPC	10-13-77	Gary R. Reagan	20574	SPC	09-02-77	Transco Exploration	20621	29	6-1-78	Wm. L. Shepherd	12002		11-1-49	Cities Service	14377	332	08-02-70	Louisiana Land Offshore	21037	8	06-05-79
SED, Inc	12568	SPC	10-13-77	Glassock Drilling	20574		09-02-77	Transco Exploration	20622	26	5-4-78	Amoco Production	12002	2	11-1-49	Tribune Oil	20354	SPC	02-09-70	Texas Oil & Gas	12761	SPC	04-20-79
U.S. Energy Inc	12568	SPC	10-13-77	Jake L. Hammon	20574	SPC	09-02-77	Samedan Oil Corp	20622	SPC	5-8-78	Peet, Edwin J., Trustee	12002	SPC	11-1-49	Centura Inc	12292A	SPC	07-08-66	Amoco Production	20752	205	01-01-79
Cities Service	14008	449	08-09-76	Paul M. Toce	20574	SPC	09-02-77	Samedan Oil Corp	20622	SPC	5-4-78	Sohio Nat. Resources	12002	133	11-1-49	Clark W. Breeding	12292A		07-08-66	Forman Exploration	20761	SPC	03-08-79
Cities Service	14008	449	08-09-76																				

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Transco Exploration	20622	38	8-4-78
Transco Exploration	20622	38	8-21-78
McMoran Exploration	20634	SPC	8-30-78
Texas No. Z Corp	20634	SPC	8-30-78
McMoran Exploration	20634	SPC	8-30-78
McMoran Exploration	20634	SPC	8-30-78
McMoran Oil & Gas	20642	SPC	8-22-78
Transco Exploration	20642	38	8-22-78
McMoran Exploration	20642	SPC	8-22-78
Transco Exploration	20642	38	8-22-78
Petro-Lewis Funds	20650	SPC	8-15-78
Natomas No. America	20658	SPC	8-30-78
Transco Exploration	20688	38	8-30-78
NFC Petroleum	20670	SPC	8-25-78
Resources Investment	20672	SPC	10-20-78
Geodynamics Oil & Gas	20673	SPC	10-25-78
Louisiana Land & Exploration	20748		8-22-78
Transco Expl	41680	35	9-28-78
Karlcorp	21637	NA	8-1-78
NCNG Exploration	21637	NA	8-1-78
Piedmont Exploration	21637	SPC	8-1-78
Rockingham Exploration	21637	NA	08-1-78
Tar Heel Energy	21637	NA	08-1-78
Transco Exploration	21637	NA	08-1-78
UCG Energy Corp	21637	NA	08-1-78
McMoran Exploration	21676	SPC	11-1-78
McMoran Oil & Gas	21676	SPC	11-1-78
Texas No. 2 Corp	21676	SPC	11-1-78
Texas International	11638	SPC	08-09-78
Bonray Oil & Gas	11638	SPC	08-09-78
Tomlinson Interests	11638	SPC	08-09-78
Texas International	11638	SPC	08-09-78
Shell Oil	11689	NA	11-16-78
Cornell Oil	11721	SPC	01-23-79
Czar Resources	11721		01-23-79
Don O. Chapell	11721	SPC	01-23-79
James A. Gibbs	11721		01-23-79
Lake Ronel Oil	11721	SPC	01-23-79
Larry A. Mizel	11721	SPC	01-23-79
Penn Exploration	11721		01-23-79
Phillip B. Berry P/A	11721	78A	01-23-79
Steven M. Mizel		SPC	01-23-79
Tenexplo Fund	11721		01-23-79
Petrus Oil	11721	SPC	01-23-79
Amerada Hess	11782	70	05-21-79
Lenois M. Josey	12002	SPC	11-1-49
Pine Lodge Oil	12002		11-1-49
R. A. Josey	12002		11-1-49
Am Petr of Tex	12002	48	11-1-49
Amoco Production	12002	2	11-1-49
Ann Parker Davidson	12002		11-1-49
ARCO	12002	41	11-1-49
Austin W. Mosely	12002		11-1-49
Cecilia Shepherd Cambias	12002		11-1-49
Clinton W. Josey Jr	12002	SPC	11-1-49
Dorothy Josey	12002	SPC	11-1-49
Edwin M. Jones Oil	12002	SPC	11-1-49
Estate of Sybil Schuyler	12002		11-1-49
1st Nat'l Bank

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Continental Group	21785	SPC	03-02-79
Continental Group	21822	NR	02-29-79
Louisiana Land & Explor	21823	NR	07-30-79
Getty Oil	13436	R19	04-02-73
Secondary Recovery	20411	SPC	04-19-72
Oil Recovery	20411	SPC	04-19-72
Texas International	20425	SPC	07-26-72
C H Lyons Sr	20425	SPC	07-26-72
Charles A Barton Sr	20425	SPC	07-26-72
Fred Wilson	20425	SPC	07-26-72
George L Logan	20425	SPC	07-26-72
Muslow Oil & Gas Inc	20425	SPC	07-26-72
Nomours Corporation	20425	SPC	07-26-72
Richard K Jones	20425		07-26-72
Texaco Inc	13593	567	01-25-78
Texaco Inc	13594	568	01-25-78
Texaco Inc	13597	569	01-25-78
Texaco Inc	20592	559	01-26-78
Texaco Inc	20592	559	01-26-78
Texaco Inc	20592	559	01-26-78
Texaco Inc	21584	555	11-28-77
Texaco Inc	21584	555	11-28-77
Texaco Inc	21584	555	11-28-77
Texaco Inc	42591	563	01-25-78
Texaco Inc	42591	563	01-25-78
C&K Petroleum	13669	SPC	10-10-78
C&K-C&J Venture	13669		10-10-78
C&K-GOC 1977 Venture	13669		10-10-78
C&K-Mullins 1977 Venture	13669		10-10-78
C&K Petroleum	41703	SPC	12-20-78
Getty Oil	14014	406	08-25-78
Getty Oil	14014	406	08-25-78
The Superior Oil Co	14414	159	05-23-72
Highland Resources	14415	11	05-24-72
General Crude Oil	14416	SPC	05-23-72
Canadian Superior Oil	14417	2	05-25-72
Kerr-McGee	14418	119	06-08-72
Juniper Petroleum	14419	SPC	05-29-72
Ashland Exploration	14420	234	07-03-72
Transocean Oil	14421	26	07-14-72
Amoco Production	14023	781	06-14-78
Amoco Production	14023	781	06-11-78
Amoco Production	14027	787	06-14-78
Oxy Petroleum	14028	SPC	06-25-78
Canadian Occ. of California	14029	SPC	06-25-78
Canadian Occ. of California	14031	SPC	11-13-78
Oxy Petroleum	14032	SPC	11-13-78
Sun Gas	14030	511	10-06-78
Sun Gas	14030	511	10-06-78
Chevron USA	14340	63	4-08-69
Chevron USA	20123	12	8-22-56
The California Co	21265	35	01-20-65
CNG Production	21285	6	01-20-65
Chevron USA	21297	43	03-13-68
Chevron USA	21321	77	03-13-68
Mesa Petroleum	14442	SPC	03-05-74
Mitchell Energy Offshore	14445	3	03-19-74
Diamond Shamrock	14448	71	04-29-74
Superior Oil	14578	199	12-06-77
Superior Oil	14578	199	12-06-77
Superior Oil	14578	199	12-06-77
Natreaco Inc	14582	3	12-19-77
Alminex USA Inc	14586	5	12-09-77
Canadian Superior Oil	14589	7	12-31-77
Superior Oil	20300A	171	08-23-67
Superior Oil	20300A	171	08-23-67
Superior Oil	20303A	170	09-05-67
Superior Oil	20303A	170	09-05-67
Superior Oil	20322A	133	05-27-68
Superior Oil	20322A	170	05-27-68
Transco Expl	14595	NA	02-09-78
Transco Expl	14595	32	02-09-78
Transco Expl	21595	32	02-09-78
Transco Expl	21595	32	02-09-78
Rowan Petroleum	14631	SPC	07-11-78
Terra Resources	14633	55	07-19-78
Mesa Petroleum	14652		09-19-78
Chevron USA	14659	165	09-12-78
Amerada Hess	20001	48	11-19-56
La Land & Expl	20063	5	11-17-53
Marion Corp	20119A	SPC	10-07-57
Maynard Oil	20119A	SPC	10-07-57
Texaco Inc	20159B	412	02-12-58
Texaco Inc	20159B	412	02-12-58
Transocean Oil	20176	6	12-30-58
General American Oil	20237	40	07-14-60
General American Oil	20237	40	07-14-60
General American Oil	20237	40	07-14-60
General American Oil	20237	40	07-14-60

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Energy Reserves	20276	81	04-01-63
General American Oil	20276	66	04-01-63
Sohio Natural Resources	20276	123	04-01-63
Sohio Natural Resources	20276	124	04-01-63
Terra Resources Inc	20276	10	04-01-63
Energy Reserves Group, Inc	20276	81	04-01-63
General American Oil	20276	66	04-01-63
General American Oil	20276	63	04-01-63
Signal Petroleum	20455	8	08-19-74
Ernest B Kemm	20473		05-23-75
Phoenix Development 1	20473	SPC	05-23-75
Phoenix Development 1	20473	SPC	05-23-75
Roland Mongrue	20473		05-23-75
Robert Moshscher	20476	SPC	05-01-75
Bob F Wright	20476		05-01-75
Carl Oil & Gas Inc	20476	SPC	05-01-75
Edward P Allis IV	20476		05-01-75
James Domengeaux	20476		05-01-75
John L Hill	20476		05-01-75
ARCO	20478	R147	06-24-75
Bintliff, David C	20478	SPC	06-24-75
McCormick 1975 Oil & Gas	20478	RSPC	06-24-75
Petit, Robert C	20478	SPC	06-24-75
McCormick 1975 Oil & Gas	20478		06-24-75
Atlantic Richfield Co	20478	R147	06-24-75
Cessey Pierce	20479	SPC	06-13-75
Nellie M Pierce	20479	SPC	06-13-75
O H Deshotels III	20479	SPC	06-13-75
O H Deshotels Jr	20479	SPC	06-13-75
Sandra D Resux	20479	SPC	06-13-75
Shelly F Deshotels	20479	SPC	06-13-75
Moshscher, Robert	20482	SPC	06-27-75
Sun Gas Co	20485	532	07-02-75
Brown, George R	20486	412	07-02-75
Depot Expl	20494	SPC	03-04-76
Park Pipe Line	20495	R5	01-01-76
Park Pipe Line	20495	5	01-01-76
ARCO	20496	R372	01-01-76
Reserve Oil	20501	SPC	03-22-76
Sun Oil	20535	R71	09-07-76
Sun Oil	20536	561	01-01-77
Sun Oil	20570	597	10-26-77
Sun Gas	20570	597	10-26-77
Sun Gas	20570	597	10-26-77
C&K Petroleum	21012	SPC	03-02-74
C&K Petroleum	11012	SPC	03-02-74
Louisiana Land & Expl	21021	23	10-07-77
Louisiana Land & Expl	21021	6	10-07-77
Louisiana Land & Expl	21021	23	10-07-77
Louisiana Land & Expl	11021	6	10-07-77
Florida Gas Expl	21443	12	03-20-74
Greenbrier Operating Co	21443	SPC	03-20-74
H C Price Co	21443	SPC	03-20-74
Harbert Const Corp	21443	SPC	03-20-74
Isco Inc	21443	1	03-20-74
Jenney Oil Co., Inc	21443	2	02-30-74
Kirby Petroleum	21443	SPC	03-20-74
Florida Gas Expl	21443	12	03-20-74
Isco, Inc	21443	1	03-20-74
Jenny Oil Co	21443	2	03-20-74
American Petrofina of Texas	21444	93	03-20-74
Finadel Inc	21444		03-20-74
Southland Royalty	21449	74	04-24-74
Southland Royalty	21449	74	04-24-74
CNG Producing	21453		07-25-74
Ocean Oil & Gas	21453		07-25-74
Ocean Production	21453	12	07-25-74
Ocean Oil & Gas	21453		07-25-74
Ocean Production	21453	12	07-25-74
Aminoil Development Co	21489	3	05-22-75
Aminoil Development Co	21489	3	05-22-75
Sun Oil	30558	591	08-10-77
Base Partnership	20247		10-18-60
Bass, Perry R	20247	10	10-18-60
Tenneco Oil	20273	85	01-10-63
Amoco Production Co	20273	240	01-10-63
Continental Oil Company	20273	81	01-10-63
Union Texas Petroleum	20273		01-10-63
Sun Oil	20304	224	10-03-67
Superior Oil	20368B	172	05-14-70
Union Oil-Calif	21313	197	03-27-69
Marathon Oil	21319	105	01-15-68
Union Oil-Calif	21319	196	01-15-68
CNG Production	21363	11	12-31-69
Murphy Oil Corp	21363		12-31-69
Ocean Production Co	21363	11	12-31-69
Union Oil-Calif	21548	232	09-27-77
Union Oil-Calif	21548	232	09-27-77
Amoco Production	20351	537	08-22-69
Getty Oil	20392	192	07-12-71

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Getty Oil	20382	192	07-12-71
Occidental Petroleum	20403	SPC	11-16-71
Occidental Petroleum	20388	SPC	05-17-71
Bradco Oil & Gas	20446	SPC	03-15-74
Goldking Production	20446	SPC	03-15-74
Pond Creelle Oil & Gas	20446	SPC	03-15-74
Arnold & Woolf	20467	SPC	12-02-74
B M Gamble	20467	SPC	12-02-74
E Ralph Daniel	20467		12-02-74
F J Whitley	20467	SPC	12-02-74
J D Wrather Jr	20467	SPC	12-02-74
L E Marland	20467	SPC	12-02-74
Theodore L Botse Estate	20467	SPC	12-02-74
W D Magee Jr	20467		12-02-74
Z C Ambrose	20467	SPC	12-02-74
Texaco Inc	20469	512	12-09-74
David C. Bintliff	20480	SPC	06-25-75
McCormick 1975 Oil & Gas	20480	SPC	06-25-75
Robert C Petit	20480	SPC	06-25-75
Texaco Inc	20480	R270	06-25-75
McCormick 1975 Oil & Gas	20480		06-25-75
Texaco Inc	20480	270	06-25-75
Superior Oil	20475	214	01-01-75
McGhee Production Co	20475		01-01-75
Hassie Hunt Expl. Co	20475		01-01-75
Franks Petroleum	20567	SPC	10-13-77
Bettye V Gray	20567	SPC	10-13-77
Cayuga Expl. Inc	20567		10-13-77
Fred H Gray	20567	SPC	10-13-77
James S Gray	20567	SPC	10-13-77
Oats S Biller	20567	SPC	10-13-77
Robert P Evans	20567	SPC	10-13-77
S Susan Gray & RNV Gray	20567	SPC	10-13-77
Winnel Energy Inc	20567		10-13-77
1978 Galbraith I LTD	20567		10-13-77
Cliffs Drilling Co	20575	SPC	11-01-77
Hill Production	20581	SPC	09-29-77
Union Oil-Calif	20616	R3	05-16-78
Union Oil-Calif	20617	R4	05-16-78
Union Oil-Calif	20617	4	05-16-78
Union Oil-Calif	20618	R2	05-16-78
Union Oil-Calif	20619	R6	05-16-78
Union Oil-Calif	20620	R5	05-16-78
Union Oil-Calif	20620	R5	05-16-78
Columbia Gas Development	20718	NR	01-25-79
Hassie Hunt Expl	20757	36	04-11-79
Transco Expl	20901	43	09-07-76
Transco Expl	20901	43	09-07-76
Mesa Petroleum	21025	103	07-17-78
Mesa Petroleum	21025	103	07-17-78
Ocean Production	21624	21	06-13-78
Ocean Production	21624	21	06-13-78
Louisiana Land Expl	21034	32	04-21-79
Transco Expl	14774	45	05-17-79
McMoran Oil & Gas	14825	SPC	06-21-79
Transco Expl	14825	NA	06-21-79
Union Texas Petroleum	20821	79	06-01-79
Union Texas Petroleum	20821	NA	06-01-79
CNG Producing Co	21835	45	06-15-79
ABI Properties	30655	NR	07-06-79
General American Oil	21094	39	07-07-65
Aminoil Development	21116	SPC	09-18-57
Continental Oil Co	21116	158	09-18-57
Ocean Production Company	21116	5	09-18-57
Peito Oil Co	21116	SPC	09-18-57
Sun Oil Co	21116	538	09-18-57
Ocean Oil & Gas Company	21116		09-18-57
Ocean Production Co	21116	5	09-18-57
Peito Oil Co	21116	SPC	09-18-57
Sun Oil Co	21116	538	09-18-57
Tenneco Oil	21141C	49	12-23-57
Kerr-McGee Corp	21172	69	11-14-58
Kerr-McGee Corp	21171	103	02-22-67
Amoco Production	21173	312	11-14-58
Amoco Production	21173	483	11-14-58
Phillips Petroleum	21173	342	02-22-67
Phillips Petroleum	21174	441	02-22-67
Phillips Petroleum	21175	436	11-14-58
Southern Natural Gas Co	21175	F-6	11-14-58
Southern Natural JT Vent	21175	1	11-14-58
Southern Natural JT Vent	21175	2	11-14-58
Continental Oil	21283	294	02-01-65
Newmont Oil	21284	SPC	02-05-65
Newmont Oil	21116	SPC	09-18-57
Shell Oil	21193	200	09-28-64
Amoco Production	21281A	437	10-21-64
Union Oil—Calif	21281B	165	10-21-64
Cabot Corp	21295	86	01-19-67
Case Pomeroy Oil Corp	21295	4	01-19-67
Fairmont Oil Corp	21295	14	01-19-67

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Kerr-McGee Corp	21295	82	01-19-67
Amerada Hess Corp	21305	146	10-03-67
Louisiana Land & Explor. Co	21305		10-03-67
Union Texas Petroleum	21305	89	10-03-67
Aminoil USA	21305	17	10-3-67
Aquitaine Oil Corp	21332	SPC	10-4-68
Cabot Corp	21332	96	10-4-68
Felmong Oil Corp	21332	16	10-4-68
Kerr-McGee Corp	21332	110	10-4-68
Ocean Production Co	21332	10	10-4-68
Sun Oil Co	21332	482	10-4-68
Aminoil Development, Inc	21358	SPC	12-15-69
Elf Aquitans, Inc	21358	SPC	15-15-69
Murphy Oil Corp	21358	23	12-15-69
Sun Oil Co	21358	480	15-15-69
Ocean Production Co	21358	NA	12-15-69
Aminoil Development, Inc	21232	SPC	10-4-68
Cabot Corp	21336	95	9-14-76
Felmont Oil Corp	21336	15	9-14-68
Kerr-McGee Corp	21336	108	9-14-68
Sun Oil Co	21336	471	9-14-68
Cabot Corp	21337	96	9-17-69
Case Pomeroy Oil Corp	21337	5	9-17-69
Felmont Oil Corp	21337	17	9-17-69
Kerr-McGee Corp	21337	111	9-17-69
Ocean Drilling & Explor	21358		12-15-69
Gen. American Oil	21354	86	7-7-65
C & K Petroleum	21394	SPC	8-2-71
C & K Petroleum	21410	SPC	4-20-72
Texaco, Inc	21462	510	9-29-74
Shell Oil	21513	415	9-21-76
Transco Exploration	21514	7	9-1-76
Exxon Oil	21515	SPC	9-1-76
Southland Royalty	21516	30	9-1-76
Crown Central Petroleum	21517	SPC	9-17-79
Fresport Oil	21521	1	9-1-76
Shell Oil	21603	437	3-3-76
Shell Oil	21604	436	3-3-76
Shell Oil	21606	436	3-10-76
C & K Marine Production	21585	SPC	12-15-77
Bethelehem Steel Corp	21585	165	12-15-77
Candel Oil (US) Inc	21585	SPC	12-15-77
Four M Properties, LTD	21585	SPC	12-15-77
Ocean Production Co	21585	1	12-15-77
St. Joe Petroleum	21585	SPC	12-15-77
Bethelem Steel Corp	21585	4	12-15-77
Shell Oil	21590	435	1-9-76
Shell Oil	21604	436	3-3-76
Transco Exploration	21606	33	3-3-76
Transco Ecploration	21606	34	3-3-76
Transco Exploration	21625	NA	6-26-75
Freeport Oil	21654	SPC	9-12-75
Rowan Petroleum	21631	SPC	7-11-76
Quintana Oil & Gas	14626	1	6-25-79
Quintana Offshore	14627	1	6-25-79
Quintana Offshore	14801	NA	6-21-79
Quintana Oil & Gas	14802	NA	6-21-79
Williams Exploration	14041	SPC	7-13-79
Quintana Oil & Gas	14843	NA	6-30-79
Quintana Oil & Gas	14844	NA	6-30-79
Amerada Hess	20829	88	6-10-79
Amerada Hess	20830	88	6-10-79
Terra Resources	21814	80	7-17-79
Quintana Oceanic	21545	NA	6-30-79
Quintana Gulf	21546	NA	6-30-79
Mobil Oil	14722	572	1-5-79
Newmont Oil	21643	SPC	8-15-76
Chevron USA	21647	164	8-11-76
Amoco Production	21649	793	8-7-76
General American Oil	21668	112	10-18-76
Ocean Oil & Gas	21677	NA	11-1-76
Ocean Production Company	21677	NA	11-1-76
Aminoil Devleopment	21680	11	11-16-76
OKC Corp	21775	SPC	8-1-79
Freeport Oil	21733	6	8-8-79
Transco Exploration	21743	41	8-2-79
McMoran Offshore Exploration	11753	SPC	8-8-79
Pioneer Production	21753	SPC	8-8-79
Transco Exploration	21796		8-16-79
Apache Corp	21798	NR	8-16-79
Pioneer Production	21798	NR	8-16-79
Mesa Petroleum	21734	106	8-6-79
Mesa Petroleum	21758	110	8-8-79
Pachuta Corp	30587	SPC	12-22-77
Pachuta Corp	30600	SPC	2-28-78
Pachuta Corp	30636	SPC	7-17-78
Pachuta Corp	30648	SPC	8-28-78
Pachuta Corp	30663	SPC	8-29-78
Tominson Interests	30646	SPC	8-8-78

Appendix B.—*Transcontinental Gas Pipe Line Corp.*—Continued

Seller	Control No.	Rate schedule No.	Contract date
Florida Gas Explor	30678	37	8-5-76
ACF Petroleum Co., Inc	30678	SPC	8-5-78
Drillamer, Inc	30678	SPC	8-5-78
Ocelot Oil Co	30678	SPC	8-5-78
Harkins & Company	30686	SPC	12-12-78
Harkins & Company	30687	SPC	12-12-78
Harkins & Company	30688	SPC	12-12-78
Harkins & Company	30689	SPC	12-12-78
First Energy Corp	30691	SPC	12-12-78
First Energy Corp	30692	SPC	12-12-78
First Energy Corp	30693	SPC	12-12-78
First Energy Corp	30695	SPC	12-12-78
Can Del Oil (U.S.)	30697	SPC	12-12-78
Can Del Oil (U.S.)	30698	SPC	12-12-78
Can Del Oil (Peru)	30699	SPC	12-12-78
Can Del Oil (Peru)	30700	SPC	12-12-78
Amerada Hess	30708	NA	12-12-78
Amerada Hess	30709	NA	12-12-78
Amerada Hess	30711	NA	12-12-78
Harkins & Company	30690	NR	12-12-78
First Energy Corp	30695	NR	12-12-78
Pachuta Corp	30706	SPC	12-18-78
Placid Oil	30768	NR	5-9-79
Amoco Production	30759	NR	4-20-79
Williams, Clayton W., Jr	30778	NR	4-30-79
Transocean Oil	14654	NA	9-27-78
Centex Oil & Gas	14705	NR	12-01-78
Sanchez-O'Brien Minerals	14788	SPC	8-6-79
Getty Oil	21033	429	2-14-79
Kerr-McGee Corp	21721	164	1-29-79
Forest Oil	30836	NA	8-8-79
Sun Gas Co	12763	NR	4-01-79
Sun Gas Co	12763	NR	4-1-79
Sun Gas Co	12763	NR	4-1-79
Williams Exploration	21820	SPC	7-13-79
Williams Exploration	21820	SPC	7-13-79

[FR Doc. 79-38391 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. EF80-2011]

Bonneville Power Administration; Filing

December 12, 1979.

The filing company submits the following:

Take notice that the Assistant Secretary for Resource Applications of the Department of Energy, pursuant to Delegation Order No. 0204-33, did confirm and approve, on an interim basis, Wholesale Power Rate Schedules EC-8, EC-9, IF-2, MF-2, F-7, F-8, J-2, and H-6. In addition, the Assistant Secretary has also approved, on an interim basis, Bonneville's General Rate Schedule provisions.

The Department requests that the rate schedules be approved for a period not to exceed 5 years.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All such petitions or protests should be filed on or before January 4, 1980. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38718 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-45]

Carnegie Natural Gas Co.; Application for Adjustment

December 12, 1979.

On December 3, 1979, Carnegie Natural Gas Company, filed with the Federal Energy Regulatory Commission an application for an adjustment pursuant to Section 1.41 of the Commission's Regulations from the tariff filing obligations of Order No. 49, Docket No. RM79-14. Carnegie Natural Gas Company requests exemption and waiver from said tariff filing obligations on the grounds of special hardship based on the inapplicability of the incremental pricing provisions of § 282.601, *et seq.* to Carnegie.

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed within 15 days after publication of this notice in the Federal Register.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38719 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-39]

Cerro Copper Products Co.; Application for Adjustment

December 12, 1979.

On November 27, 1979, Cerro Copper Product Co. (Cerro), filed with the Federal Energy Regulatory Commission an application for an adjustment under the NGPA to Regulations prescribed by Order No. 49, particularly Section 282.203(a)(2), wherein Cerro requested that natural gas delivered to its Sauget, Illinois plant by Mississippi River Transmission Corporation for use as boiler fuel be declared exempt from incremental pricing.

The procedures applicable to the conduct of this adjustment proceeding are found in Section 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of Section 1.41. All petitions to intervene must be filed within 15 days after publication of this notice in the Federal Register.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38721 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-105]

Columbia Gulf Transmission Co.; Application

December 14, 1979.

Take notice that on November 26, 1979, Columbia Gulf Transmission Company (Applicant), P.O. Box 683, Houston, Texas 77001, filed in Docket No. CP80-105 an application pursuant to Section 7(c) of the Natural Gas Act and Section 284.221(c) of the Commission's Rules for a certificate of public convenience and necessity authorizing the transportation of natrual gas for other interstate pipelines, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that it requests blanket authorization to transport natural gas on behalf of other interstate pipelines for periods up to two years. It is further stated that Applicant would comply with the provisions and reporting requirements of Section 284.221 of the Commission's Rules.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 2, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20428, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38720 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ER78-415]

Duke Power Co.; Filing

December 12, 1979.

The filing company submits the following:

Take notice that on November 13, 1979, Duke Power Company (Duke Power) filed the following documents with the Commission:

1. Attachment A—Schedule No. 10 for resale service to municipalities and public utility companies, which rates are the same as the industrial rates approved in Docket No. E-7, Sub 262.

2. Attachment B—Schedule No. 11 for resale service to nonprofit electric cooperatives. This schedule yields the same rate of return on rate base as that produced by Schedule No. 10 for Period II in accordance with Paragraph 2.1 C of the Agreement.

3. Attachment C—Rate Schedule F for service rendered to Yadkin, Inc. This schedule is the equivalent of Schedule No. 10 (Attachment A). A separate filing has been made to increase the contract demand from 40,000 kW to 55,000 kW and the Attachment C rate schedule reflects the change in rate blocks to the new level of contract demand.

4. Attachment D—This is a revenue summary which confirms that the Amended Settlement Rates do not produce electric operating revenues in excess of those originally requested in this docket. The Amended Settlement Rates produce an increase in revenues of $15,052,783 for Period II or $286,459 less than the $15,339,242 in revenues originally requested in this docket. The increase in Schedule No. 10 revenues shown under Column 2 ($8,855,830) includes the increase in Yadkin Schedule F rates.

5. Attachment E—Statement N—Period II (Revised) shows the effect of the Amended Settlement Rates on revenues, expenses, rate base and return. The return for both Schedule 10 (including Yadkin Schedule F) and Schedule 11 under the Amended Settlement Rates is 8.10%. This is less than the 8.14% return originally requested in this docket and less than the 9.51% return found reasonable based upon analysis by staff.

6. Attachment F—This attachment supports the 1.0439 cents per kWh fuel cost base contained in the Amended Settlement Rates required to maintain the parity concept of the Agreement.

The Company will make refunds to wholesale customers with interest at the appropriate rate in accordance with Paragraph 2.1 D of the Agreement and the Commission's letter order of July 3, 1979, as soon as practicable after the Commission has accepted the Amended Settlement Rates for filing.

A copy of this filing has been sent to Duke Power's wholesale customers.

Any person desiring to be heard or to protest said filing should file a protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such protests should be filed on or before January 4, 1980. Protests will be considered by the Commission in determining the appropriate action to be taken. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38722 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-107]

El Paso Natural Gas Co.; Application

December 14, 1979.

Take notice that on November 26, 1979, El Paso Natural Gas Company (Applicant), P.O. Box 1492, El Paso, Texas 79978, filed in Docket No. CD80-107 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing certain arrangements with its California customers during the period through April 30, 1980, for the purpose of diverting gas from its California customers in order to assist in protecting Applicant's east-of-California (EOC) customer's Priority 1 and 2 service requirements, all as more fully set forth in the application on file with the Commission and open to public inspection.

Specifically, Applicant states that it has entered into a letter agreement with Southern California Gas Company (So Cal) dated November 9, 1979, and a letter agreement with Pacific Gas and Electric Company (PG and E) dated November 15, 1979, which provide for arrangements designed to allow Applicant to fulfill its EOC customer's peak day Priority 1 and 2 requirements during the 1979-80 heating season. Such arrangements, hereinafter referred to as the "California Back-off" arrangements, would permit Applicant to divert from its otherwise scheduled deliveries to So Cal and/or to PG and E during the 1979-80 heating season, such quantities of gas, not to exceed 200,000 Mcf daily from each company, as are required for use in protecting EOC Priority 1 and 2 service, it is asserted. Such diversions from otherwise scheduled deliveries to So Cal and/or PG and E would only be imposed on those peak days during the 1979-80 heating seasons when the quantities of gas otherwise available for service to Applicant's EOC customers, as augmented by maximum withdrawals from Applicant's Reservoir and Clay Basin Interim Storage projects, are not alone sufficient to protect full service to the EOC cutomer's Priority 1 and 2 requirements, it is asserted. Additionally, it is stated that diversions of gas from othewise scheduled deliveries to either So Cal or PG and E under the back-off arrangements can only be made during periods when, in that California customer's sole judgement, no impairment would result in (i) its ability to meet the requirements of service, including storage operations, to its high priority customers and those of its wholesale customers; (ii) its ability to maintain service levels to its remaining customers as required by the Public Utilities Commission of the State of California; or (iii) its ability to meet its obligations to the other California customer of Applicant pursuant to that certain contract between them dated August 31, 1965, as amended or superseded. It is stated that diversions of gas from otherwise scheduled deliveries to either California customer are not to exceed a cumulative net total of 2,000,000 Mcf at any one time.

Applicant further states that the in-kind restoration (pay-back) to So Cal and/or PG and E by Applicant of gas diverted from either or both of those customers under the back-off arrangements would be accomplished as soon as operationally possible after the diversions to which the pay-back relates through the withdrawals from Applicant's Rhodes Reservoir storage facility, and secondly from Applicant's Clay Basin Interim Storage facility.

It is stated that in consideration of the respective participation of PG and E and So Cal in such California back-off arrangements, Applicant would reduce its montly billings to each of those customers by an amount equal to $1.06 per Mcf (in the case of So Cal) and $1.52 Mcf (in the case of PG and E), multipled by the volumes actually diverted from otherwise scheduled deliveries to that California customer during the proceeding month.

Further, each agreement provides that none of the cost incurred by Applicant would be allocated in any of Applicant's rate proceeding to the cost of rendering service to its California customers, and that any Commission order authorizing the instant proposal must so specifically provide.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 2, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38723 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ER80-123]

Florida Power & Light Corp.; Filing

December 12, 1979.

The filing Company submits the following:

Take notice that on December 6, 1979, Florida Power & Light Corporation ("Florida Power") tendered for filing an executed transmission service agreement with the Jacksonville Electric Authority ("JEA"). Florida Power states that the form of service agreement was provided in its transmission tariff on file with the Federal Energy Regulatory Commission. Florida Power requests that the service agreement with JEA be made effective on February 5, 1980. Florida Power states that copies of the filing have been served on JEA an the Florida Public Service Commission.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 31, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38724 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-38]

Gas Gathering Corp.; Application for Adjustment

December 12, 1979.

On November 26, 1979, Gas Gathering Corporation (GGC) filed with the Federal Energy Regulatory Commission

an application for an adjustment under Part 282 of the Commission's Regulations under the NGPA wherein GGC sought to be exempted from the requirements of Part 282 and Title II of the NGPA upon condition (1) that GGC provide its sole sales customer, Transcontinental Gas Pipeline Corporation, (Transco) with all data and/or estimates necessary for the computation of incremental pricing costs and surcharges applicable to the volumes of natural gas acquired by GGC, and (2) that GGC notify the FERC and Transco of any operational change which would affect the basis for the requested exemption.

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed within 15 days after publication of this notice in the Federal Register.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38725 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ES80-20]

Iowa Power & Light Co.; Application

December 12, 1979.

Take notice that on December 5, 1979, Iowa Power and Light Company (Applicant) of Des Moines, Iowa, filed an application seeking authority pursuant to Section 204 of the Federal Power Act to issue bank notes maturing no later than December 31, 1986, to evidence borrowings not to exceed $40,000,000 principal amount at any one time.

Applicant is incorporated under the laws of the State of Iowa with its principal business office at Des Moines, Iowa, and is engaged in the electric and gas utility business within the State of Iowa.

The notes are to be issued to a commercial banking institution to evidence loans made and are to bear interest at said commercial bank's floating prime rate through December 31, 1981, and then if still in effect, at 103% of said floating prime rate through December 31, 1983, and thereafter, if still in effect, at 105% of said floating prime rate. The proceeds from the issuance of notes will be used to pay short-term debt and for general corporate purposes.

Any person desiring to be heard or to make any protest with reference to the application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, petitions or protests in accordance with the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceedings. Persons wishing to become parties to a proceeding or to participate as a party in any hearing therein must file petitions to intervene in accordance with the Commission's rules. The application is on file with the Commission and available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38726 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-104]

Mississippi River Transmission Corp.; Application

December 14, 1979.

Take notice that on November 23, 1979, Mississippi River Transmission Corporation (Applicant), P.O. Box 14521, St. Louis, Missouri 63124, filed in Docket No. CP80-104 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the transportation of natural gas for United Gas Pipe Line Company (United), all as more fully set forth in the application on file with the Commission and open to public inspection.

Applicant states that it has entered into a gas transportation agreement with United dated October 5, 1979, which would provide for the receipt, by Applicant on a best-efforts basis, of up to 20,000 Mcf per day of natural gas made available by United at the outlet side of the Woodlawn Field processing plant of Dorchester Gas Processing Company located in Harrison County, Texas. It is further stated that Applicant would redeliver equivalent quantities to United at Applicant's Perryville Compressor site located in the Monroe Field, Ouachita Parish, Louisiana, by reducing quantities of gas Applicant would otherwise receive from United at that point under a separate purchase arrangement.

Applicant states that the proposed transportation would provide United with an immediate means of receiving natural gas, purchased from East Texas Industrial Gas Company, into its system without a substantial investment in additional facilities. It is further stated that other sales and services now rendered by Applicant would not be affected.

Applicant proposes to charge United 22.73 cents per Mcf for providing the transportation service and would retain 1.0 percent of the quantities received as compensation for fuel and company-use gas. It is stated that any imbalances would be corrected during the month following the month in which such imbalances occur.

Applicant states that the primary term of the transportation agreement is for two years from the date of initial delivery and year-to-year thereafter.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38727 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-102]

Mountain Fuel Supply Co. and Mountain Fuel Resources, Inc.; Application

December 13, 1979.

Take notice that on November 23, 1979, Mountain Fuel Supply Company (Mountain Fuel), 180 East First South Street, Salt Lake City, Utah 84139, and Mountain Fuel Resources, Inc. (Resources), Suite 1540, Beneficial Life Tower, 36 South State Street, Salt Lake City, Utah 84111, filed in Docket No. CP80-102 a joint application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the construction and operation of facilities required to facilitate the delivery of natural gas produced from the Dakota Formation of the Clay Basin Gas Storage Reservoir, Daggett County, Utah, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicants state that the Dakota Formation was converted to a gas storage field by Resources, and pursuant to an agreement between Mountain Fuel and Resources, dated March 1, 1976, as amended June 7, 1978, Mountain Fuel agreed to assign to Resources the operating rights to all oil and as leases in the then existing participating area for the Dakota Formation of the Clay Basin Field.

It is further stated that the amended agreement provides that Resources deliver to Mountain Fuel the remaining recoverable reserves from the Dakota Formation for a period of five to twenty-five years commencing on July 1, 1979, at a daily volume of up to 15,000 Mcf per day, in a manner which would not inhibit or preclude Resources' obligations in connection with the Clay Basin Storage Project.

In order to effectuate the delivery of recoverable reserves to Mountain Fuel, Resources proposes to modify a relief valve assemby located on the downstream side of the Kastler Compressor Station at an estimated cost of $3,950, which would be financed by Resources from funds on hand.

Mountain Fuel proposes to construct and operate 2,600 feet of 6-inch pipeline and appurtenant facilities to tie into Resources relief valve. It is stated such facilities are estimated to cost $59,315 which would be financed from funds on hand.

Resources proposes to charge Mountain Fuel a delivery fee of 5.0 per cents Mcf, and Mountain Fuel states it would reimburse Resources for all other production expenses relating to the remaining recoverable reserves.

The stated purpose of the subject proposal is to insure that Mountain Fuel would be able to meet its peak system requirements during the 1979-80 heating season.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicants to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38728 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-78]

Mountain Fuel Supply Co.; Application

December 13, 1979.

Take notice that on November 13, 1979, Mountain Fuel Supply Company (Applicant), 180 East First South Street, Salt Lake City, Utah 84139, filed in Docket No. CP80-78 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the construction and operation of certain facilities and the transportation and exchange of natural gas in interstate commerce, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant states that by application filed January 17, 1979, in Docket No. CP79-150, Northwest Pipeline Corporation (Northwest) proposed the construction and operation of jurisdictional gathering facilities to be located in the Overthrust belt of Southwestern Wyoming. It is stated that Northwest indicated that Northern Natural Gas Company (Northern Natural) has acquired approximately 50 percent of the gas reserves presently developed in the Painter Reservoir Field of Uinta County, Wyoming, and that Northwest proposed to provide a transportation service for Northern Natural of up to 35,000 Mcf per day from the Painter Reservoir Field. It is stated that Northwest would construct and operate facilities and transport gas from the Painter Reservoir Field through such facilities and through Northwest's main line facilities for redelivery to El Paso Natural Gas Company (El Paso) at an existing point of interconnection in La Platte County, Colorado, for Northern Natural's account for further transportation and/or exchange by El Paso for ultimate redelivery to Northern Natural. Northwest proposed to charge an initial area gathering rate of 16.81 cents per Mcf.

Northwest further stated that it has purchased 50 percent (approximately 16,500 Mcf per day) of the volumes of gas produced by Chevron, U.S.A., Inc. from the Ryckman Creek Field in Uinta County, Wyoming, and that it proposes to construct a pipeline from the Ryckman Creek Field to a point of interconnection with the pipeline proposed to be constructed from the Painter Reservoir Field together with necessary compression facilities at Ryckman Creek. Northwest has stated that in order to implement its proposed plan, it would construct and operate facilities which would cost approximately $19,932,000.

authorization to transport and exhange up to 16,500 Mcf of natural gas per day for Northwest and up to 35,000 Mcf of natural gas per day for Northern Natural, and for the construction and operation of related transmission and compression facilities necessary to effectuate the transportation and exchange service proposed.

Applicant further states that in order to effectuate the contemplated transportation and exchange of natural gas for Northern Natural and Northwest, Applicant proposes to construct and operate the following facilities:

(1) 3.56 miles of 10-inch pipeline interconnecting the Painter Reservoir with Applicant's existing 10-inch Overthrust lateral located in Uinta County, Wyoming, and/or the 20-inch pipeline to be constructed, as noted in Item 3 below;

(2) 4.73 miles of 10-inch pipeline interconnecting the Ryckman Creek facilities with Applicant's existing 10-inch Overthrust lateral line located in Sweetwater County, Wyoming;

(3) 24.80 miles of 20-inch loop pipeline from the vicinity of the Painter Reservoir producing area in Uinta County, Wyoming, to Applicant's main line located in Summit County, Utah;

(4) Minor modifications to Applicant's existing Eakin Compressor Station, located in Uinta County, Wyoming, to facilitate a two-way flow of natural gas through the station;

(5) Compression totaling 2,678 horsepower to be located at the Ryckman County producing area; and

(6) Miscellaneous metering, regulating and other appurtenant facilities.

It is stated that the proposed facilities would cost approximately $11,680,000. Applicant states, by reason of its 10-inch facilities and its existing main line transmission facilities, it would be able to render precisely the same service proposed by Northwestern at a a total capital cost of $11,680,000, as contrasted to the projected $19,932,000 for the proposed facilities of Northwest. Such cost, it is stated, would be financed from funds on hand.

Applicant states that inasmuch as its application is competitive, it has not yet negotiated any transportation and exchange arrangement with Northwest or Northern Natural.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38729 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-43]

NCR Corp.; Application for Adjustment

December 12, 1979.

On November 30, 1979, NCR Corporation ("NCR") filed with the Federal Energy Regulatory Commission ("FERC") an application for an adjustment under Order No. 49, Docket No. RM79-14, wherein NCR sought an exemption from the incremental pricing program for a small industrial boiler fuel facility located in Dayton, Ohio. NCR states that its use of natural gas in its manufacturing operations at this location has changed dramatically since 1977, the base period used by the Commission to determine eligibility for exemption for existing small boiler fuel facilities, and that the subject boilers now use less than an average of 300 Mcf per day during any month.

[Docket No. TA80-1-16 (PGA80-1 and IPR80-1)]

National Fuel Gas Supply Corp.; Proposed PGA Rate Adjustment

December 12, 1979.

Take notice that on December 6, 1979, National Fuel Gas Supply Corporation (National) tendered for filing as part of its FERC Gas Tariff, Original Volume No. 1, Twenty-Ninth Revised Sheet No. 4, and Original Sheet No. 4A proposed to be effective January 1, 1980.

National states that the purpose of these revised tariff sheets is to adjust National's rates pursuant to Section 17 (PGA) and Section 18 (GRIA) of the General Terms and Conditions and in compliance with FERC Order No. 49 and Opinion No. 64. National further states that Twenty-Ninth Revised Sheet No. 4 reflects an adjustment in National's rates of 18.36¢ per Mcf.

It is stated that copies of the filing have been mailed to all of its jurisdictional customers and affected state regulatory commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions or protests should be filed on or before December 27, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants party to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and available for public inspection.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of Section 1.41. All petitions to intervene must be filed on or before January 2, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38730 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ID-1875]

Justin T. Rogers, Jr.; Application

December 12, 1979.

Take notice that on November 19, 1979, Justin T. Rogers, Jr. (Applicant), filed an application pursuant to Section 305(b) of the Federal Power Act to hold the following positions:

Chairman of the Board, Director, Pennsylvania Power Company, Public Utility.

President, Director, Ohio Edison Company, Public Utility.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Section 1.8, 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions and protests should be filed on or before December 31, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38732 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-42]

South Texas Natural Gas Gathering Co.; Application for Adjustment

December 12, 1979.

On November 30, 1979, South Texas Natural Gas Gathering Company (South Texas) filed with the Federal Energy Regulatory Commission an application for an adjustment under Order No. 49, the incremental pricing provisions of the NGPA, as codified in Part 282 of the Regulations. South Texas sought waiver of said incremental pricing provisions as they applied to South Texas, due to the insignificance of the amount of PGA reduction resulting therefrom.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed on or before January 2, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38733 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP70-7 (Phase II)]

Southern Natural Gas Co.; Petition To Amend

December 14, 1979.

Take notice that on November 14, 1979, Southern Natural Gas Company (Petitioner), P.O. Box 2563, Birmingham, Alabama 35202, filed in Docket No. CP70-7 (Phase II) a petition to amend the order issued October 29, 1969,[1] as amended, in the instant docket, pursuant to Section 7 of the Natural Gas Act so as to authorize an increase in contract demand volume sales of natural gas to Atlanta Gas Light Company (Atlanta), the delivery of such additional gas at the delivery point formerly used to serve the City of Bowdon, Georgia, and the deletion of authorization to sell natural gas to the City of Bowdon, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioner states that the order issued on October 29, 1969, authorized Petitioner, *inter alia,* to sell and deliver to the City of Bowden, Georgia, a maximum delivery obligation of 1,457 Mcf per day. It is further stated that on September 27, 1979, Atlanta received approval from the Georgia Public Service Commission to purchase the City of Bowdon's natural gas distribution system and for the asssignment to Atlanta of Petitioner's service agreement with the City of Bowdon.

It is stated that Petitioner's maximum delivery obligation to the City of Bowdon of 1,457 per day was assigned to Atlanta. Peitioner, therefore, proposes to: (1) increase Atlanta's contract demand volumes with Petitioner from 744,535 Mcf per day to 745,992 Mcf per day, (2) add as a delivery point to Atlanta for service to the City of Bowdon the former delivery point of the

[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

[Docket No. CP77-489]

Southern Natural Gas Co., et al.; Petition To Amend

December 14, 1979.

Take notice that on November 16, 1979, Southern Natural Gas Company (Southern), P.O. Box 2563, Birmingham, Alabama 35202, Natural Gas Pipeline Company of America (Natural), 122 South Michigan Avenue, Chicago, Illinois 60603, Columbia Gulf Transmission Company (Columbia Gulf), P.O. Box 683, Houston, Texas 77001, and United Gas Pipe Line Company (United), P.O. Box 1478, Houston, Texas 77001, filed in Docket No. CP77-489 a joint petition to amend the order issued pursuant to Section 7(c) of the Natural Gas Act on September 7, 1977,[1] in the instant docket so as to authorize an increase in the volumes of gas to be exchanged for Southern's account, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Southern has arranged to purchase additional volumes of gas from Sea Robin Pipeline Company (Sea Robin) at Texaco Inc.'s Henry Plant located in Vermilion Parish, Louisiana. The Sea Robin gas to be sold to Southern is produced from West Cameron Block 563, offshore Louisiana, and would be delivered for Southern's account near

[1] This proceeding was commenced before the FPC. By joint regulation of October 1, 1977 (10 CFR 1000.1), it was transferred to the Commission.

the tailgate of the Henry Plant. In order for Sea Robin to sell such gas to Southern at the Henry Plant, it is stated that the gas would be moved onshore through Southern's capacity in the Sea Robin system and United's capacity in the systems of Stingray Pipeline Company and Natural for transportation to an existing interconnection between United and Natural near the Henry Plant (Earth Point).

Applicants propose to amend an exchange agreement dated June 14, 1977, by increasing the volume of gas purchased by Southern from the West Cameron, offshore Louisiana, area to a total of 33,000 Mcf per day. Applicants further propose to amend the exchange agreement by deleting the one-half cent per Mcf charge received by Natural from Southern at the Earth Point as consideration for Southern's agreement to transport gas for Natural from the Knox Field, Walthall County, Mississippi.

Columbia Gulf would continue to redeliver to Southern thermally equivalent volumes of gas at the Venice Plant of up to 8,000 Mcf per day. The remaining 25,000 Mcf of gas would be exchanged and transported by Columbia Gulf and Southern pursuant to a gas exchange and transportation agreement between Southern, Columbia Gulf and Columbia Gas Transmission Corporation dated September 4, 1979, and amended October 5, 1979.

Applicants state that they have sufficient capacity to exchange the additional volumes of West Cameron gas at the designated locations and in the proposed quantity, and therefore, no new facilities would be required for Southern to receive its additional gas.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38735 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. EF80-3031]

Southeastern Power Administration; Filing

December 12, 1979.

The filing company submits the following:

Take notice, that the Assistant Secretary for Resource Application of the Department of Energy did confirm and approve, on an interim basis effective October 20, 1979, Wholesale Power Rate Schedules JW-1 (Revised) and JW-2-B, applicable to power from Southeastern Power Administration's Jim Woodruff Project. The new schedules are pursuant to order SEPA-2.

The Department requests that the Commission approve the rate schedules for a period ending August 19, 1982.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All such petitions or protests should be filed on or before January 4, 1980. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38736 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-41 (PGA80-1)]

Southwest Gas Corp.; Change in Rates Pursuant to Purchased Gas Cost Adjustment

December 12, 1979.

Take notice that on Dec. 4, 1979, Southwest Gas Corporation ("Southwest") tendered for filing Sixth Revised Sheet No. 10 constituting the Statement of Rates of its FERC Gas Tariff, Original Volume No. 1. According to Southwest, the purpose of this filing is to adjust rates of Southwest under its Purchased Gas Adjustment Clause in Section 9 of the General Terms and Conditions contained in said tariff, as a result of changes in rates from its supplier, Northwest Pipeline Corporation ("Northwest"), effective January 1, 1980. The proposed effective date for Southwest's proposed change in rates is January 1, 1980.

Southwest states that copies of the filing have been mailed to the Public Service Commission of Nevada, the California Public Utilities Commission, Sierra Pacific Power Company and CP National.

Any person desiring to be heard or to protest said filing, should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 27, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38737 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-108]

TCP Gathering Co.; Application

December 13, 1979.

Take notice that on November 28, 1979, TCP Gathering Co. (Applicant), 2334 East Third Avenue, Denver, Colorado 80206, filed in Docket No. CP80-108 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the construction and operation of approximately 15 miles of 8-inch pipeline in San Juan County, Utah, and San Miguel County, Colorado, and the transportation of natural gas for its parent, Trans-Colorado Pipeline Company (Trans-Colorado) pursuant to a gas transportation agreement dated May 31, 1979, all as more fully set forth in the application on file with the Commission and open to public inspection.

Applicant states that Trans-Colorado, a public utility subject to the jurisdiction of the Colorado Public Utilities Commission, has purchased gas produced by its wholly-owned subsidiary, Cordillera Corporation, from the State No. 1 well in the Little Valley Field, San Juan County, Utah. Trans-Colorado's exemption issued by the Commission on November 15, 1979, was conditioned upon Applicant's receiving authorization to construct and operate an 8-inch pipeline and to transport and deliver the subject gas to Trans-Colorado at its Slick Rock sweetening plant.

Applicant states that the cost of constructing the 8-inch pipeline is $1,130,000 which would be financed by long-term debt. It is further stated that Trans-Colorado would be charged an initial rate of 11.64 cents per Mcf for the transportation service.

Applicant states that the transportation agreement between Applicant and Trans-Colorado is for a primary term of fifteen years, commencing on the first day of the month following the initiation of deliveries thereunder and on a year-to-year basis thereafter. It is further stated that the estimated total volumes of gas to be delivered from the State No. 1 well would initially be approximately 2,500 Mcf per day.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38738 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP77-620]

Tennessee Gas Pipeline Co., a Division of Tenneco, Inc.; Petition To Amend

December 14, 1979.

Take notice that on November 15, 1979, Tennessee Gas Pipeline Company, a Division of Tenneco, Inc. (Petitioner), P.O. Box 2511, Houston, Texas 77001, filed in Docket No. CP77-620 a petition to amend the order issued November 14, 1977, in the instant docket pursuant to Section 7(c) of the Natural Gas Act so as to authorize the transportation of a maximum daily quality of 600 Mcf of natural gas for the account of Burlington Industries, Inc. (Burlington) for an additional two-year period commencing November 22, 1979, all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

By order issued November 14, 1977, Petitioner was authorized to transport up to 1,000 Mcf of gas per day for Burlington, which gas Burlington owns as a participant in an oil and gas exploration development joint venture operated by C & K Petroleum Company. The transportation service, as authorized, was for a period of two years from the date of initial deliveries, it is stated. Petitioner now requests an extension of this transportation service for an additional two-year period commencing November 21, 1979, and for a maximum daily quantity of 600 Mcf per day.

Petitioner states the transportation service would be performed pursuant to a contract between it and Burlington. Petitioner asserts that the contract provides for Burlington to pay Petitioner each month:

(1) A demand charge to be determined by multiplying 7.0 cents by the specified maximum daily transportation quantity; and

(2) A monthly volume charge equal to the product of 93.0 cents per Mcf multiplied by the greater of (a) the total scheduled daily volumes delivered during such month or (b) the minimum monthly volume determined by multiplying the number of days in such month by 66⅔ percent of the specified maximum daily transportation quantity.

Petitioner states the transportation service would enable Burlington to receive natural gas to offset curtailments in sales and deliveries which Transcontinental Gas Pipe Line Corporation is forced to make.

Petitioner states no new facilities are required to continue the transportation service, nor would the service have any impact on any existing service now rendered by it.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38739 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-81]

Trunkline Gas Co.; Application

December 13, 1979.

Take notice that on November 14, 1979, Trunkline Gas Company (Applicant), P.O. Box 1642, Houston, Texas 77001, filed in Docket No. CP80-81 an application pursuant to Section 7(c) of the Natural Gas Act and Section 157.7(b) of the Regulations thereunder (18 CFR 157.7(b)) for a certificate of public convenience and necessity authorizing the construction during a one-year period commencing January 1, 1980, and year to year thereafter, and operation of facilities to enable Applicant to take into its certificated main pipeline system natural gas supplies, all as more fully set forth in the application on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in connecting to its pipeline system supplies of natural gas which may become available from various

producing areas generally coextensive with its pipeline system or the systems of other pipeline companies which may be authorized to transport gas for the account of or exchange gas with Applicant and supplies of natural gas from Applicant's own production or acquired for system supply under Sections 311 and 312 of the Natural Gas Policy Act of 1978.

Applicant states that the total cost of the proposed facilities would not exceed $20,000,000, with no single onshore project to exceed a cost of $2,500,000 and no single offshore project to exceed a cost of $3,500,000. Applicant states it would finance such costs with internally generated funds and short-term bank borrowing as necessary.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980 file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38740 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-79]

Trunkline Gas Co.; Application

December 13, 1979.

Take notice that on November 14, 1979, Trunkline Gas Company (Applicant), P.O. Box 1642, Houston, Texas 77001, filed in Docket No. CP80-79 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the transportation of natural gas on behalf of Panhandle Eastern Pipe Line Company (Panhandle), all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicant proposes to transport and deliver on a firm basis up to 2,500 Mcf of natural gas per day purchased by Panhandle from Pan Eastern Exploration Company in Jackson Parish, Louisiana, pursuant to a transportation agreement between Applicant and Panhandle dated September 28, 1979. Applicant states that pursuant to said transportation agreement, Tennessee Gas Pipeline Company, a Division of Tenneco Inc., (Tennessee), would receive the gas from Applicant at Tennessee's facilities in Jackson Parish, Louisiana, and would transport the gas to the existing interconnection between the facilities of Applicant and Tennessee at Kinder, Louisiana. Applicant states that it would then transport said gas from Kinder, Louisiana, with redelivery to Panhandle at an existing point of interconnection between the facilities of Applicant and Panhandle in Douglas County, Illinois.

It is stated that Applicant would transport on a firm basis a daily volume of 2,500 Mcf of natural gas per day at 14.73 psia saturated, less 5 percent reduction for fuel usage and line losses. Applicant further states that the term of the transportation contract would be for ten years from the date of initial delivery, and from year to year thereafter.

It is stated that for this transportation service, Panhandle would pay a monthly charge of $13,425, with an adjustment rate of 17.66 cents per Mcf to be applied for any excess or deficiency in quantities taken. Applicant states that the monthly charge is further subject to an increase or decrease pursuant to a rate proceeding of Applicant or increase upon installation of facilities to maintain capacity or to provide transportation for Panhandle thereunder.

Any person desiring to be heard or to make any protest with reference to said application should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38741 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP78-167]

United Gas Pipe Line Co.; Petition To Amend

December 13, 1979.

Take notice that on November 15, 1979, United Gas Pipe Line Company (Petitioner), P.O. Box 1478, Houston, Texas 77001, filed in Docket No. CP78-167 a petition to amend the order issued August 22, 1978, in the instant docket pursuant to Section 7(c) of the Natural Gas Act so as to authorize the construction of metering and regulating facilities necessary to deliver natural gas to St. John the Baptist Parish, Louisiana (St. John), all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

It is stated that the order issued August 22, 1978, authorized Petitoner, *Inter alia,* to construct at St. John's expense, such metering and regulating facilities as are necessary to deliver gas volumes to St. John on the west bank of the Mississippi River near the Town of Garyville, Louisiana. It is stated that, pursuant to a new agreement between the parties dated October 1, 1979, said metering and regulating facilities which would be utilized in making deliveries of natural gas volumes to St. John at the proposed delivery point, would be constructed by Petitioner but financed and owned by St. John and not by Petitioner.

Any person desiring to be heard or to make any protests with reference to said petition to amend should on or before January 3, 1980, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38742 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-44]

Valley Gas Transmission, Inc.; Application for Adjustment and Request for Interim Relief

December 12, 1979.

On November 30, 1979, Valley Gas Transmission, Inc. ("Valley") filed with the Federal Energy Regulatory Commission an application for an adjustment under Section 502(c) of the Natural Gas Policy Act of 1978 ("NGPA"). Valley seeks relief from Part 282 of the Commission's Regulations—"Incremental Pricing" as set forth in Order No. 49 (Docket No. RM79-14) and in particular Subparts E and F of Part 282 which establish various accounting and filing requirements for interstate pipelines to follow in implementing the Commission's Regulations under Title II of the NGPA. Valley also requests interim relief pending determination of the application.

Subpart E (in particular Sections 282.501 and 282.502) and Subpart F (in particular Sections 282.601 through 282.603) establish the accounting rules and filing requirements applicable to interstate pipelines for implementing incremental pricing under Title II of the NGPA. In lieu of the requirements of Subparts E and F, Valley proposes to report to its interstate pipeline purchasers its natural gas purchase costs expected to exceed the threshold level for incremental pricing and the total volumes expected to be purchased for its next PGA period. Valley's interstate pipeline purchasers will then treat those volumes of natural gas required to be incrementally priced as though purchased directly by them from the seller and pass those costs through pursuant to their own procedures for implementation of incremental pricing. Under this proposal Valley's PGA clause would not change.

Valley states that it acquires no gas from any interstate pipeline. All of its purchased gas costs which would be subject to incremental pricing are incurred directly as purchases. Further, Valley has only three purchasers which are all interstate pipelines. These interstate pipelines are Tennessee Gas Transmission Company, United Gas Pipe Line Company, and Natural Fuel Gas Supply Corporation.

Valley also requests, as interim relief pursuant to Section 1.41(m) of the Regulations, authority to report its incremental pricing surcharges in accordance with the implementation plan for which an adjustment is being sought.

The procedures applicable to this adjustment proceeding are found in 18 CFR Section 1.41 *et seq.* (See also Commission Order No. 24 issued March 22, 1979.)

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of Section 1.41. All petitions to intervene must be filed within 15 days after the publication of this notice in the Federal Register and should be sent to the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38743 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

Office of Hearings and Appeals

Cases Filed Week of October 19, 1979, Through October 26, 1979

Notice is hereby given that during the week of October 19, 1979, through October 26, 1979, the appeals and applications for exception or other relief listed in the Appendix to this Notice were filed with the Office of Hearings and Appeals of the Department of Energy.

Under the DOE's procedural regulations, 10 CFR, Part 205, any person who will be aggrieved by the DOE action sought in such cases may file with the DOE written comments on the application within ten days of service of notice, as prescribed in the procedural regulations. For purposes of those regulations, the date of service of notice shall be deemed to be the date of publication of this Notice or the date of receipt by an aggrieved person of actual notice, whichever occurs first. All such comments shall be filed with the Office of Hearings and Appeals, Department of Energy, Washington, D.C. 20461.

Melvin Goldstein,

Director, Office of Hearings and Appeals.

December 11, 1979.

Date	Name and location of applicant	Case No.	Type of submission
Oct. 19, 1979	Vicksburg Refining, Inc., Vicksburg, Miss	BEE-0116	Allocation Exception. If granted: Vicksburg Refining, Inc., would receive an exception from the provisions of 10 CFR 211.65 permitting the firm to participate in the Buy/Sell Program.
Oct. 22, 1979	Anne Taines, Oklahoma City, Okla	BEE-0221	Exception to the Emergency Building Temperature Restrictions. If granted: Anne Taines would receive an exception from the provisions of 10 CFR 490, the Emergency Building Temperature Restrictions.
Oct. 22, 1979	Cabco, Inc., Washington, D.C	BEA-0030	Appeal ERA Decision and Order. If granted: The September 19, 1979, Decision and Order issued by the Economic Regulatory Administration to Cabco, Inc., would be rescinded regarding the assignment of a base period supplier of gasoline.

Date	Name and location of applicant	Case No.	Type of submission
Oct. 22, 1979	City of Pleasant Grove, Pleasant Grove, Ala	BEE-0211	Exception to Reporting Requirements. If granted: The City of Pleasant Grove would not be required to file Form EIA-148, "Natural Gas Supply, Distribution and Usage."
Oct. 22, 1979	Common Cause, Washington, D.C	BFA-0026	Appeal of Information Request Denial. If granted: The September 19, 1979, Information Request Denial issued by the Acting Director of Personnel, to Common Cause would be rescinded, and the firm would be granted access to certain D.O.E. documents.
Oct. 22, 1979	Gulf Energy Refining, Brownsville, Tex	BST-0002	Request for a Temporary Stay. If granted: Gulf Energy Refining Corporation would receive a temporary stay of the Economic Regulatory Administration October 12, 1979, Order issued by the regarding start-up inventory adjustments.
Oct. 22, 1979	Office of Special Counsel, Washington, D.C	BRD-0009	Motion for Discovery. If granted: Discovery would be granted to the Office of Special Counsel with respect to the Statement of Objections submitted in response to the Proposed Remedial Order (Case No. DRO-0192) issued to Belcher Oil Company.
Oct. 22, 1979	Office of Special Counsel, Washington, D.C	BRZ-0011	Interlocutory Order. If granted: The Office of Special Counsel would be authorized to hold a deposition relating to the destruction of documents involving the Proposed Remedial Orders in cases DRO-0193 through DRO-0199.
Oct. 22, 1979	State of Alaska, Juneau, Alaska	BEE-0200	Price Exception. If granted: The State of Alaska would receive an exception from the provisions of 10 CFR 212, permitting gasoline retailers to sell motor gasoline above the applicable ceiling price.
Oct. 22, 1979	Texas Office of Fuel Allocation, Austin, Tex	BMR-0005	Request for Modification. If granted: The DOE's September 14, 1979, Decision and Order regarding American Petrofina, Inc.'s, supply obligations to the State of Texas would be modified.
Oct. 22, 1979	Vinson & Elkins, Houston, Tex	BFA-0025	Appeal of Information Request Denial. If granted: The September 20, 1979, Information Request Denial issued by the DOE's San Francisco Regional Office would be rescinded and Vinson & Elkins would receive access to certain DOE data.
Oct. 23, 1979	Bassett Oil & Equipment Co., Washington, D.C	BRR-0006	Request for Modification/Rescission. If granted: The May 4, 1977, Decision and Order issued to Bassett Oil & Equipment Company would be modified regard the escrow account fund (Case No. FRS-1276).
Oct. 23, 1979	C. P. National, San Francisco, Calif	BEE-0213	Exception to Reporting Requirements. If granted: C. P. National would not be required to file Form EIA-148, "Natural Gas Supply, Distribution and Usage."
Oct. 23, 1979	Chapman, Duff & Paul, Washington, D.C	BFA-0031	Appeal of Information Request Denial. If granted: The September 24, 1979, Information Request Denial issued by the Office of Procurement Operations would be rescinded and Chapman, Duff and Paul would receive access to certain DOE documents.
Oct. 23, 1979	Energy Cooperative, Inc., Washington, D.C	BED-0010	Motion for Discovery. If granted: Discovery would be granted to Energy Coopersatives, Inc., in regard to the Application for Exception filed by Occidental Petroleum Corporation.
Oct. 23, 1979	Marathon Oil Company, Findlay, Ohio	BEA-0029	Appeal. If granted: The August 23, 1979, Decision & Order, issued by the Economic Regulatory Administration to Archer Daniels Midland Company, regarding the Entitlements Program under 10 CFR 211.67 would be rescinded.
Oct. 23, 1979	Pester Refining Company, Washington, D.C	BED-0012	Motion for Discovery. If granted: Discovery would be granted to Pester Refining Company with respect to the application for exception (Case No. DEE-3188) submitted by Midland Energy Corporation.
Oct. 23, 1979	Petroleum Management Consultants Corporation	DEE-0217	Allocation Exception. If granted: Petroleum Management Consultants Corporation would be granted an exception from the provisions of 10 CFR 211 permitting the firm to receive an allocation of unleaded motor gasoline for the purpose of blending gasohol.
Oct. 23, 1979	Tosco Corporation, Los Angeles, Calif	BEA-0028	Appeal of Assignment Order. If granted: The September 21, 1979, Assignment Order issued by the Economic Regulatory Administration, Region VII to Midland Energy Corporation would be rescinded with respect to Tosco Corporation's supply obligations of motor gasoline to Midland Energy Corporation.
Oct. 23, 1979	U.S. Oil Company, Washington, D.C	BMR-0007	Request for Modification. If granted: The DOE's May 22, 1979, Decision and Order regarding Total Petroleum, Inc.'s, motor gasoline supply obligations to U.S. Oil Company would be modified.
Oct. 23, 1979	Warmann Oil Company, Washington, D.C	BSG-0001	Petition for Special Redress. If granted: The June 14, 1979, Assignment Order issued by the Economic Regulatory Administration Region VII would be rescinded and Warmann Oil Company would be permitted to supply the St. Louis County Government Police Department.
Oct. 23, 1979	The Washington Post, Washington, D.C	BFA-0027	Appeal of Information Request Denial. If granted: The Information Request Denial issued by the Economic Regulatory Administration to the Washington Post would be rescindedand the firm would be granted access to certain DOE documents.
Oct. 24, 1979	Water, Gas, and Light Commission of Albany, Ga	BEE-0026	Exception from Reporting Requirements. If granted: The Water, Gas & Light Commission of Albany, Ga., would not be required to file Form EIA-149, "Natural Gas Supply, Distribution and Usage."
Oct. 24, 1979	Edgington Oil Company, Inc., Long Beach, Calif	BEE-0215	Allocation Exception. If granted: Edgington Oil Company, Inc., would receive an exception to the provisions of 10 CFR 211 permitting the firm to receive an increased allocation of unleaded gasoline for the purpose of blending gasohol.
Oct. 24, 1979	Johnson Oil Company, Inc., Salt Lake City, Utah	BEX-0005	Motion for Supplemental Order. If granted: Johnson Oil Company, Inc., would be permitted to raise two (2) additional assertions at the December 6, 1979, Evidentiary Hearing concerning Southwestern Refining Company, Inc. The firm would also be permitted to take depositions with respect to Southwestern Refining Company, Inc.'s, witnesses at the proceedings.
Oct. 24, 1979	Texaco, Inc., Washington, D.C	BRZ-0012	Interlocutory Order. If granted: Texaco, Inc., would be authorized to depose a witness designated by the Office of Special Counsel in regard to the proceedings involving a Proposed Remedial Order (Case No. DRO-0199) issued to the firm.
Oct. 25, 1979	Caribou Four Corners, Inc., Afton, Wyo	BEE-0234	Allocation Exception. If granted: Caribou Four Corners, Inc., would receive an exception from the provisions of 10 CFR 211.67 with respect to the firm's Entitlements Purchase Obligations.
Oct. 25, 1979	Exxon Company, U.S.A., Houston, Tex	BEA-0033	Appeal of ERA Decision and Order. If granted: The September 25, 1979, Decision and Order issued by Economic Regulatory Administration to Exxon Company, U.S.A., would be rescinded and Exxon would be partially relieved of its obligation to supply motor gasoline to Triangle Refineries, Inc.
Oct. 25, 1979	Northwest Natural Gas Company, Portland, Oreg	BEE-0233	Exception to Reporting Requirements. If granted: Northwest Natural Gas Company would not be required to file Form EIA-149, "Natural Gas Supply, Distribution, and Usage".
Oct. 25, 1979	Whirlpool Corporation, Benton Harbor, Mich	BEE-0232 and BES-0232	Exception to Test Procedures Request for Stay. If granted: Whirlpool Corporation would receive an exception from the provisions of 10 CFR 430, permitting the firm to modify the energy efficiency test procedures applicable to clothes washers. The firm would be granted a Stay pending a final determination of its application for exception.
Oct. 26, 1979	Indiana Farm Bureau Cooperative Association, Inc	BEE-0239	Exception to Credit Policy. If granted: Indiana Farm Bureau Cooperative Association, Inc., would be permitted to modify its current discount policies.

Notices of Objection Received

Week of October 19, 1979, Through October 26, 1979

Date, Name and Location of Applicant, and Case Number

10/22/79—Arnold Shell, San Andreas, California—DEE–7478
10/22/79—Marine Oil Company, Fulton, Kentucky—BEO–0041
10/22/79—John Fluck's Mini-Market, Lansdale, Pennsylvania—DEE–5877
10/22/79—I–44 Standard Service, Lebanon, Missouri—BEO–0042
10/22/79—Freedom Oil Co., Normal, Illinois—BEO–0039
10/22/79—Bar Harboar Service Center, Massapequa, New York—BEO–0040
10/23/79—Nuccio, S. & Beghardt, W., Chicago, Illinois—DEE–7406
10/23/79—Lyon Oil Company, Philadelphia, Pennsylvania—DEE–2684
10/22/79—Arnold Shell San Andreas, California—DEE–7478
10/22/79—Lavery Sons Garage, Spring House, Pennsylvania—BEO–0045
10/22/79—Olsen Jewelery, Beloit, Wisconsin—BEO–0044
10/22/79—South Huntington Chevron, Huntington Beach, California—BEO–0043
10/23/79—Jay Paul Roussell Gulf, New Orleans, Louisiana—BEO–0049
10/23/79—Jim's Rapid Wash, Inc., Big Rapids, Michigan—BEO–0048
10/23/79—Johnnie's 66 Service, Independence, Missouir—BEO–0047
10/22/79—Westlawn Service Center, Falls Church, Virginia—BEO–0046
10/24/79—St. George Oil Corporation, Los Angeles, California—DEE–3489
10/23/79—Frank's Auto Service, Long Meadow, Massachusetts—DEE–7093
10/24/79—Ron's Agoura Chevron Service, Agoura, California—DEE–3078
10/24/79—First Church of the Nazarene, South Bend, Indiana—BEO–0056
10/24/79—Lowell Auto Wash, Inc., Cedar Lake, Indiana—BEO–0056
10/24/79—Main Street Chevron Service, Morro Bay, California—BEO–0054
10/24/79—John King Shell Service, Detroit, Michigan—BEO–0053
10/24/79—Bee Clean Auto Wash, Euclid, Ohio—BEO–0052
10/23/79—Westwood Tune-Up Center, Los Angeles, California—BEO–0051
10/23/79—Kent Standard Service, Hays, Kansas—BEO–0062
10/24/79—Jacobs Standard Service, Bloomington, Minnesota—BEO–0061
10/25/79—James Mathison, Weatherford, Texas—BEO–0057
10/25/79—Airline Shell, Bossier City, Louisiana—BEO–0059
10/24/79—Riggs Gas & Grocery, Scurry, Texas—BEO–0058
10/22/79—Kleen King, Inc., Seattle, Washington—BEO–0064
10/26/79—Commonwealth Oil Refining Co., Inc., Washington, D.C.—DXE–7928
10/26/79—Walters Oil Company, Easton, Pennsylvania—BEO–0070
10/26/79—Jack Pew Oil Company, Noel, Missouri—BEO–0071
10/26/79—Howard's Self Serv Oil Co., Belgrade, Minnesota—BEO–0069
10/26/79—Cash "N" Dash, Nevada, Missouri—BEO–0067

List of Cases Involving the Standby Petroleum Product Allocation Regulations for Motor Gasoline

Week of October 19 Through October 16, 1979

If granted: The following firms would recieve an exception which would increase their base period allocation of motor gasoline.

10/19/79:

Vredenburg, Lance E., BEE–0155— New York

10/22/79:

Big Red's Tire-Gas, BEE–0202—Washington
Blacha, Myron W., BEE–0207—California
Boulder Valley Oil Co., BXE–0203—Colorado
Cal Biss Enterprises, BXE–0223—Iowa
Dan's Service Station, BEE–0206—Wisconsin
Dunn Oil Sales, BEE–0208—Wisconsin
E. L. Yeager Construction Co., BEE–0209—California
Larry's Orangevale Tire No. 2, BEE–0359—California
Olsen, Robert L., BEE–0205—Washington
Pensacola Petroleum Co. Inc., BXE–0210—Florida
Ron & Sharon Volk's Arco, BXE–0214—California
Tolson Oil Company, BEE–0204—Texas
Zemet's Inc., BEE–0201—Pennsylvania

10/23/79:

Albrecht's Amoco, BEE–0218—Maryland
Avis Rent-A-Car, BEE–0227—Oklahoma
Big Wheel, BEE–0219—Alabama
Denny's Save Station, BEE–0212—Virginia
Harris Oil Company, BEE–0229—Texas
Ollie's Service Center, Inc., BXE–0224—Massachusetts
Patriot Petroleum, Inc., BEE–0222—South Carolina
Roger Cox Petroleum, Inc., BEE–0216—New Mexico
South Dakota Office of Energy, BEE–0131—South Dakota
Suffolk Oil Co., BEE–0220—Virginia

10/24/79:

City of Troy, BEE–0230—Michigan
Royal Farm Dairy, BEE–0225—Colorado
Rutter's Laundry & Linen, BEE–0226—Massachusetts

10/26/79:

Avis Rent-A-Car, BEE–0236—Indiana
Booth Oil Co., BEE–0240—Oregon
Boss Oil, BEE–0238—Minnesota
Naph-Sol Refining Co., Inc., BEE–0243—Michigan
Oakville Amoco Station, BEE–0241—Maryland.

[FR Doc. 79–38777 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

Designation of Processing Sites and Establishment of Priorities Under the Uranium Mill Tailings Radiation Control Act of 1978

AGENCY: DEPARTMENT OF ENERGY.

ACTION: Notice of designation of processing sites and establishment of priorities as requried by Section 102(c) of Public Law 95–604, Uranium Mill Tailings Radiation Control Act of 1978, enacted on November 8, 1978.

SUMMARY: The purpose of the Uranium Mill Tailings Radiation Control Act of 1978 is to provide, in cooperation with interested States, Indian tribes, and persons who own or control inactive mill tailings sites, a program of assessment and remedial action at these sites to stabilize and control the tailings in a safe and environmentally sound manner and to minimize or eliminate radiation health hazards.

Consistent with the provision of Sections 102(a) and 102(c) of Public Law 95–604, this notice announces the designation of 25 processing sites by the Secretary of Energy on November 8, 1979. These processing sites are at or near the following locations:

Monument Valley, Arizona
Tuba City, Arizona
Durango, Colorado
Grand Junction, Colorado
Gunnison, Colorado
Maybell, Colorado
Naturita, Colorado
Rifle, Colorado (2 sites)
Slick Rock, Colorado (2 sites)
Lowman, Idaho
Ambrosia Lake, New Mexico
Shiprock, New Mexico
Belfield, North Dakota
Bowman, North Dakota
Lakeview, Oregon
Canonsbury, Pennsylvania
Falls City, Texas
Green River, Utah
Mexican Hat, Utah
Salt Lake City, Utah
Baggs, Wyoming
Converse County, Wyoming
Riverton, Wyoming

Additionally, the Secretary on November 8, 1979 established priorities for carrying out remedial action at each of the 15 processing sites. In establishing priorities, the Secretary relied primarily on the advice of the Administrator of the Environmental Protection Agency. The priority ranking for the 25 cities is as follows:

Monument Valley, Arizona; Low
Tuba City, Arizona; Medium
Durango, Colorado; High
Grand Junction, Colorado; High
Gunnison, Colorado; High
Maybell, Colorado; Low
Naturita, Colorado; Medium
New Rifle, Colorado; High
Old Rifle, Colorado; High
Slick Rock (NC), Colorado; Low
Slick Rock (UC), Colorado; Low
Lowman, Idaho; Low
Ambrosia Lake, New Mexico; Medium
Shiprock, New Mexico; High
Belfield, North Dakota; Low
Bowman, North Dakota; Low
Lakeview, Oregon; Medium
Canonsburg, Pennsylvania; High
Falls City, Texas; Medium
Green River, Utah; Low
Mexican Hat, Utah; Medium
Salt Lake City, Utah; High
Baggs, Wyoming; Low
Converse County, Wyoming; Low
Riverton, Wyoming; High

ADDRESS FOR FURTHER INFORMATION:
Dr. William E. Mott, Director, Environmental Control Technology Division, Office of the Assistant Secretary for Environment, U.S. Department of Energy, Washington, D.C. 20545, telephone: (301) 353–3016.

Issued in Washington, D.C. this 12th day of December 1979.

Ruth C. Clusen,

Assistant Secretary for Environment.

[FR Doc. 79-38678 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

Bonneville Power Administration

Fiscal Year 1981 Program Draft Environmental Impact Statement and Allston-Portland Area Service Draft Facility Planning Supplement Public Meetings

The Bonneville Power Administration (BPA) hereby gives notice of two public meetings to be held to discuss and solicit comments on BPA's Fiscal Year 1981 Construction and Maintenance Program Draft Environmental Impact Statement (EIS), which includes the Allston-Portland Area Service 500–kV Line Draft Facility Planning Supplement. This draft EIS generally describes BPA's proposed construction and maintenance actions for Fiscal Year 1981, including discussion of impacts and alternatives. Also included is the Allston-Portland Draft Facility Planning Supplement which describes more specific potential impacts associated with alternative plans for reinforcing service to the Portland, Oregon, area.

The public is invited to attend the meetings, which are scheduled as follows:

Wednesday, January 16, 1980—7:30 p.m.–10:00 p.m.: Fort Vancouver Regional Library, 1007 East Mill Plain Boulevard, Vancouver, WA 98663.

Thursday, January 17, 1980—7:30 p.m.–10:00 p.m.: Rainier Elementary School, 305 3rd West, Rainer, OR 97048.

BPA invites all interested parties to attend and welcomes comments in order to fully evaluate the environmental factors relating to the proposed and alternative actions. All comments will be considered in the preparation of the final EIS.

For those unable to attend the meetings, written comments will be accepted until the close of comment date, January 31, 1980. Copies of the draft EIS, as well as additional or clarifying information, may be obtained by writing the Environmental Manager's Office, Bonneville Power Administration, P.O. Box 3621—SJ, Portland, Oregon 97208, or by calling 503–234–3361, extension 5137.

Dated at Portland, Oregon, this 10 day of December, 1979.

Sterling Munro,

Administrator.

[FR Doc. 79-38679 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

Economic Regulatory Administration

Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, DOE.

ACTION: Notice of Action Taken on Consent Orders.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives Notice that Consent Orders were entered into between the Office of Enforcement, ERA, and the firms listed below during the months of September and October 1979. These Consent Orders concern prices charged by retail motor gasoline dealers in excess of the maximum lawful selling price for motor gasoline since August 1, 1979, failure to properly post the maximum lawful selling price on certification and engaging in business practices which are either discriminatory with respect to purchasers of motor gasoline, resulting in a higher price than permitted, or tied the sale of gasoline to the purchase of another service. The purpose and effect of these Consent Orders is to bring the consenting firms into compliance with the Mandatory Petroleum Allocation and Pricing Regulations from August 1, 1979, and they do not address or limit any liability with respect to consenting firm's prior compliance or possible violation of the aforementioned regulations Pursuant to the Consent Orders, the consenting firms agree to the following actions:

A. With respect to selling prices:
1. Reduce prices for each grade of gasoline to no more than the maximum lawful selling price;
2. Roll back prices to achieve refund of overcharges;
3. Properly maintain records required under the aforementioned regulations.

B. With respect to business practices:
1. Cease and desist from employing any form of discriminatory practice;
2. Cease and desist from employing any practice designed to obtain a price higher than is permitted by the regulations;
3. Cease and desist from employing any practice making the sale of gasoline contingent upon the purchase of another service, charging for services by means of a fee computed on a cents per gallon basis, or charging a fee to dispense gasoline.

C. With respect to posting requirements:
1. Properly post the maximum lawful selling price or certification;
2. Rollback the maximum lawful selling price for failure to post.

For further information regarding these Consent Orders, please contact Edward F. Momorella, Program Manager for Product Retailers, Department of Energy, Northeast Enforcement District, 1421 Cherry Street, Philadelphia, Pa. 19102 Telephone Number (215) 597–2633.

Firm Name, Firm Address, and Audit Date

Sprague Bros. Inc., Nooseneck Mill Road, W. Greenwich, RI—9–4–79
Mapleroot Exxon, Rte 3, Coventry, RI—9–4–79
Big River Sunoco, Rte 3 & I–95, W. Greenwich, RI—9–4–79
B&G Automotive, Tiogue Avenue, West Warwick, RI—9–4–79
Ted's Service Station, 507 Washington Street, Coventry, RI—9–5–79
Richards Gulf, Rte 3, Wyoming, RI—9–5–79
Pare's Service Center, 2 Andrew's Avenue, West Warwick, RI—9–5–79
Rogers Automotive Service, 188 Washington Street, West Warwick, RI—9–6–79
W. Warwick Arco, 199 Providence Street, W. Warwick, RI—9–6–79
Glen Hill Service Center, 908 Oaklawn Avenue, Cranston, RI—9–6–79
Douglas Self Service, 368 Admiral Street, Providence, RI—9–4–79
Douglas Avenue Mobil, 408 Douglas Ave., Providence, RI—9–4–79
Terzian Arco, 134 Douglas Avenue, Providence, RI—9–6–79
Smith Hill Gulf, 460 Smith Street, Providence, RI—9–4–79
Macs Arco, 410 Smith Street, Providence, RI—9–4–79
Colonial Exxon Service, 495 Smith Street, Providence, RI—9–5–79
Morenas Auto Service, 156 Hawkins Street, Providence, RI—9–5–79
Al's Service Station, 60 Rathbone Street, Providence, RI—9–5–79
Lou's Richfield, 354 Valley Street, Providence, RI—9–5–79

Marcello's Auto, 860 Oaklawn Avenue, Cranston, RI—9–6–79
Jennings Bros. Inc., S. Garden City Drive, Cranston, RI—9–7–79
Robert West Apponaug, 3327 Post Road, Apponaug, RI—9–7–79
South Elmwood Service, 1570 Elmwood Avenue, Cranston, RI—9–5–79
Oliver Service Station, 1640 Elmwood Avenue, Cranston, RI—9–5–79
Aldrich Service, 751 Post Road, Warwick, RI—9–5–79
Lakewood Sunoco, 568 Warwick Avenue, Warwick, RI—9–5–79
D&D Service Center, 2570 Warwick Avenue, Warwick, RI—9–5–79
Pontiac Avenue Exxon, 1200 Pontiac Avenue, Cranston, RI—9–6–79
Wampanoag-Ace Mobil, E. Providence, RI—9–7–79
Nick's Arco, 835 Bald Hill Road, Warwick, RI—9–6–79
Joe's Service, 305 Quaker Lane, W. Warwick, RI—9–12–79
Tom's Shell, 412 Metacom Avenue, Bristol, RI—9–17–79
Pate's Arco Service Station, 700 Douglas Avenue, Providence, RI—9–17–79
City Line Exxon, 1173 Social Street, Woonsocket, RI—9–17–79
East Street Service, 280 Fountain Street, Pawtucket, RI—10–2–79
Sal's Exxon, 615 Reservoir Avenue, Cranston, RI—10–4–79
Chepachet Sunoco, Rte 44—Main Street, Chepachet, RI—10–11–79
Gulf Travel Center, 55 Broadway, Providence, RI—10–12–79
A&L Shell Service, 501 Warren Avenue, E. Providence, RI—10–30–79
Cullens Arco, 1275 Wampanog Tri., E. Providence, RI—10–29–79
Ross Corner Sunoco, Crystal Avenue, Derry, NH—9–4–79
Bud's Super Shell, Rte 102, Londonderry, NH—9–4–79
Walky's Exxon, Rte 102, Londonderry, NH—9–4–79
Hanover Street Shell, Hanover Street, Manchester, NH—9–4–79
Connolly's Motor Mart, 1000 Hanover Street, Manchester, NH—9–5–79
Connolly's Motor Mart, 526 Sixth Avenue, Manchester, NH—9–5–79
Ryan's Fuel Service, 26 State, Groveton, NH—9–5–79
Stark General, Rte 110, Stark, NH—9–5–79
W. Milan Grocery, RFD 1, Berlin, NH—9–5–79
Fred's Chevron, 215 Glen Avenue, Berlin, NH—9–5–79
Leo P. Charest, Rosemont Mast St., Manchester, NH—8–30–79
Barney's Chevron, 67 Pleasant St., Berlin, NH—9–6–79
Thurston's Garage, Main Street, Errol, NH—9–6–79
Eames Garage, Main Street, Errol, NH—9–6–79
Lewis Ford Inc, Rte 26, Colebrook, NH—9–6–79
Boulde Service, Main and Colby, Colebrook, NH—9–6–79
Groveton Texaco, Groveton, NH—9–5–79
Stratford Shell Station, Main Street, N Stratford, NH—9–6–79
Crawford's Exxon, 212 Main Street, Lancaster, NH—9–7–79
Bailey's Gulf, US Rte, 3, Groveton, NH—9–11–79
Dupuis Store, Box 27, Groveton, NH—9–11–79
Boydston Ford, Coos Junction, Lancaster, NH—9–11–79
Manville Store, Summer Street, Lancaster, NH—9–11–79
Prospect View Campground, P.O. Box 477, Lancaster, NH—9–12–79
Monahan's Gulf Station, 198 Main Street, Lancaster, NH—9–12–79
Wakefield Shell, 13 Union Street, Wakefield, NH—9–12–79
Luskin's Texaco, Union Street, Wakefield, NH—9–12–79
Pageau Texaco, Main Street, Littleton, NH—9–13–79
Bob's Motor Service, RFD 2, Littleton, NH—9–13–79
Wilco Exhaust Service, 235 Main Street, Littleton, NH—9–13–79
Maceddies Service Station, Rte 302, Bethlehem, NH—9–13–79
Jessica Variety, Main Street, Bethlehem, NH—9–13–79
Twin Mountain Shell, Rte 302, Twin Mountain, NH—9–13–79
Mountain Management Company, Bretton Woods, NH—9–13–79
Franconia Sunoco, Main Street, Franconia, NH—9–14–79
Franconia Garage, Main Street, Franconia, NH—9–14–79
Kilkenny Motor Works, Main Street, Franconia, NH—9–14–79
Mobil 93 Service Center, Exit 24 and I–93, Ashland, NH—9–20–79
Exxon 93, Rtes. 3 and 25, Ashland, NH—9–20–79
Squam Lakes Exxon, Rte 3, Holdernes, NH—9–20–79
Kenneth-Lakeside Gulf, Rte 25, Meredith, NH—9–20–79
Howe's Mobil, Rte 25, Meredith, NH—9–20–79
Shields Gas Station, Main Street, NH—9–21–79
Alden's Garage, Alton, NH—9–21–79
Half Moon Store, Rte. 28, Alton, NH—9–21–79
Auto Truck Rustproofing, 36 Ferry Street, Hudson, NH—9–25–79
A. G. Burros Store, Center Sandwich, NH—9–25–79
North Sandwich Store, North Sandwich, NH—9–25–79
Attitash Station, Rte. 16, Chocorua, NH—9–25–79
Elliott Bros. Garage, Rte. 16, Chocorua, NH—9–25–79
Elliott Bros. Garage, Rte. 25, W. Ossipee, NH—9–25–79
Tibbett Bros. Inc., 132 Main Street, Tilton, NH—9–26–79
Larry's Exxon Service, 840 Central Street, Franklin, NH—9–26–79
Bryant's Getty, 734 Central Avenue, Franklin, NH—9–26–79
Cummings Chevrolet, Lake Street, Bristol, NH—9–26–79
Parenteau's Shell Station, 150 So. Main Street, W. Franklin, NH—9–27–79
Bristol Exxon, Lake Street, Bristol, NH—9–27–79
Gardner's Service Station, George's Mills, NH—10–2–79
Sunapee Arco, Box 61, Sunapee, NH—10–2–79
Main Street Texaco, Box 615, Sunapee, NH—10–2–79
Newport Shell, Sunapee Street, Newport, NH—10–2–79
Ray's Texaco Service, 182 Main Street, Claremont, NH—10–3–79
Blain's Auto Service, 125 Pleasant Street, Claremont, NH—10–3–79
Paul and Sons Auto Sales, Washington Street, Claremont, NH—10–3–79
Power's Store, P.O. Box 105, Cornish, NH—10–3–79
Rich's Shell, Rte. 12A, W. Lebanon, NH—10–3–79
Touchette Travel Trailers, RFD 2 Box 610, Newport, NH—10–4–79
Chm Perkins Son, Mount Sunapee, NH—10–4–79
Tates Garage, 36 Lowell Road, Hudson, NH—10–1–79
Nick's Exxon Center, SDW Highway, Nashua, NH—10–1–79
Abdallan's Exxon, 242 DW Highway, South Nashua, NH—10–1–79
Champigny's Market, RFD 3, Concord, NH—10–10–79
Gene's Hooksett Gulf, 1502 Hooksett Road, Hooksett, NH—10–9–79
Labrie's Service, Inc., 1299 Hooksett Road, Hooksett, NH—10–9–79
Newbury Service Center, Rte. 103, Newbury, NH—10–10–79
Country Store Shell, W. Springfield, NH—10–10–79
Reney's General Store, Box 32, Grantham, NH—10–10–79
Plainfield Arco, Rte 12A, Plainfield, NH—10–10–79
Rin's Chevron, 117–121 Pleasant Street, Claremont, NH—10–10–79
Coniston Store, Rte. 3, Newport, NH—10–11–79
Armand and Marcy's, Rte. 77, Weare, NH—10–11–79
Brownie's Service Station, Rts. 114, Weare, NH—10–11–79
Weare Center Store, Weare, NH—10–11–79
Wilson's Triangle, Inc., Weare, NH—10–11–79
Center Barnstead Shell Service, Center Barnstead, NH—10–12–79
Hooksett Exxon, Pleasant Street, Hooksett, NH—10–12–79
Stratford Shell Station, Main Street, N. Stratford, NH—9–6–79
Andy's Exxon, Main Street, Hillsboro, NH—10–30–79
Belanger's Texaco, Main Street, Hillsboro, NH—10–30–79
Town and Country Store, Forest Road, Greenfield, NH—10–30–79
The Little Country Store, Rte. 31, S. Lyndeboro, NH—10–30–79
Eddie's Service Station, Main Street, New Market, NH—10–30–79
Smitty's Sunoco, 2 Dover Road, Durham, NH—10–31–79
Durham Shell Station, 2 Main Street, Durham, NH—10–31–79
McMahon's Variety, Rte 4, Lee, NH—10–31–79
Jim Wilson's Auto Repair, Rte. 125, Lee, NH—10–31–79
Budget Citgo, Williston Avenue, S. Burlington, VT—9–11–79
Williams Inc., Rte. 2, South Hero, VT—9–12–79

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Donnelly's Shell, Rte. 100, Waterbury, VT—9–13–79
David's Shell, Rte. 100, Stow, VT—9–13–79
Don's Amoco, Main Street, Morrisville, VT—9–13–79
Dolan's Citgo, Main Street, Johnson, VT—9–13–79
Jeffersonville Service Center, Rte. 108, Jeffersonville, VT—9–13–79
Tordies University Texaco, 860 Williston Road, S. Burlington, VT—9–14–79
Main Street Gulf, 219 Main Street, Burlington, VT—9–14–79
Ron's Sunoco, 103 Shelburne Road, Burlington, VT—9–19–79
Jep's Gulf, 1118 Williston Road, S. Burlington, VT—9–19–79
Cloverleaf Texaco, 1055 Williston Road, S. Burlington, VT—9–19–79
Spillane's Service Center, 811 Williston Road, S. Burlington, VT—9–19–79
Pearl Street Mobil, 281 Pearl Street, Burlington, VT—9–19–79
Reg Brissons Mobil, 793 Shelburne Road, S. Burlington, VT—9–19–79
Ralph's Exxon, 760 Shelburne Road, S. Burlington, VT—9–20–79
Kaigle's Citgo, 510 Shelburne Road, Burlington, VT—9–20–79
Sam's Service Station, 125 Battery Street, Burlington, VT—9–20–79
Ed's Auto Service, 328 North Avenue, Burlington, VT—9–20–79
Reed's Service Station, 8 Main Street, Newport, VT—9–25–79
Main Street Exxon, Main and Third Street, Newport, VT—9–26–79
Adrien's BP Station, 93 Main Street, Newport, VT—9–26–79
Guillette's Service, 76 Pleasant Street, Newport, VT—9–26–79
Royer's Getty Service, Rte 5, Irasburg, VT—9–26–79
Irasburg General Store, Rte. 14, Irasburg, VT—9–26–79
Pierce's Store, Rte. 14, Albany, VT—9–26–79
Atkins Garage, Rte. 15, Hardwick, VT—9–26–79
Bob's Sunoco Service Center, Memorial Drive, Montpelier, VT—9–27–79
Dave's Mobil, 3 Berlin Street, Montpelier, VT—9–27–79
Utton Getty, 15 Berlin Street, Montpelier, VT—9–27–79
Just Imports, Rte. 2, Plainfield, VT—9–27–79
Joe's Pond Country Store, Rte. 2 and 15, West Danville, VT—9–27–79
Portland Street Sunoco, Portland Street, St. Johnsbury, VT—9–27–79
Bedford's Service Station, 134 Portland Street, St. Johnsbury, VT—9–27–79
Bob Dupre's Service Station, Canada Street, Swanton, VT—10–3–79
E. J. Barrette & Sons, Canada Street, Swanton, VT—10–3–79
Swanton Interstate Sunoco, Rte 78, Swanton, VT—10–3–79
Swanton Texaco, Rte 78, Swanton, VT—10–3–79
Arlington Service Station, 934 Mays Avenue, Arlington, MA—10–1–79
19 Park Avenue Gulf, 19 Park Avenue, Arlington, MA—10–1–79
Sirum Bros. Inc., 44 Main Street, Greenfield, MA—10–1–79
Fontaine's Exxon, 110 Federal Street, Greenfield, MA—10–10–79
Paul E. Lafleur—Nap's Texaco, 151 Federal Street, Greenfield, MA—10–1–79
Underhill Garage, Inc., Rte. 15, Underhill, VT—10–10–79
Washburn Mobil Service Center, Rte. 2, Richmond, VT—10–10–79
Champney's Exxon, Rte. 2, Bolton, VT—10–10–79
Consumers Wholesale Outlet, 56 Highland Ave., E. Providence, RI—10–23–79
Mark's Arco, 460 Pontiac Avenue, Cranston, RI—10–23–79
Harry's Gulf Service, 175 Douglas Avenue, Providence, RI—10–23–79
Callaghan's Sunoco, 2289 Pawtucker Avenue, Providence, RI—10–22–79
Louie's Service Center, 28 Payne Street, Rockland, ME—10–30–79
Crockett's Garage, 126 Main Street, Rockland, ME—10–30–79
Elmer's Texaco, 700 Main Street, Rockland, ME—10–31–79
Boyington's Sunoco, 73 Camden Street, Rockland, ME—10–31–79
Minute Man Car Wash, Camden Street, Rockland, ME—10–31–79
Clinton Service Station, 64 West Main Street, Clinton, CT—9–20–79
Maguire's Inc. 669 Worcester Road, Framingham, MA—10–29–79
Inbound Texaco, Rte. 9, Chestnut Hill, MA—10–30–79
L&R Sunoco, 102 Lebanon Street, Melrose, MA—10–31–79
Pine Banks Exxon 1100 Main Street, Malden, MA—10–31–79
Charlie's Exxon, 870 Main Street, Melrose, MA—10–31–79
Van Aria's American Service, 440 Boston Post Road, Sudbury, MA—9–18–79
Taki's Shell, 145 Spring Street, W. Roxbury, MA—9–18–79
North Scott Texaco, 881 Edgell Road, Framingham, MA—9–25–79
William Santoro, 874 Edgell Road, Framingham, MA—9–25–79
Nobscott Chevron, 900 Edgell Road, Framingham, MA—9–25–79
Pinefield Shell Service Station, 29 Water Street, Framingham, MA—9–25–79
Galvin Shell Service, 100 Winthrop Avenue, Lawrence, MA—9–25–79
John & Frank's Gulf, 191 Parker, Lawrence MA—9–25–79
V&I Battery, 185 South Broadway, Lawrence, MA—9–25–79
Jarek's Texaco, 7 Lincoln Square, Lowell, MA—9–26–79
Bob's Shell Service, 365 Chelmsford Street, Lowell, MA—9–26–79
Mercer Bros. Inc., 1150 Bridge Street, Lowell, MA—9–27–79
Paul's Shell Service, Bridge and West 6th Sts., Lowell, MA—9–27–79
Mathew's Texaco, Rte. 495 and 38, Tewksbury, MA—9–27–79
Gill's Shell Service, Rogers Street, Lowell, MA—9–27–79
Rt. 9 Mobil, Rte. 9, Southboro, MA—9–26–79
Temple Street Gulf, Worcester Road, Framingham, MA—9–26–79
Center Exxon, 1090 Worcester Road, Framingham, MA—9–26–79
The Village Blacksmith Chevron, Cor. Rte. 30, Framingham, MA—9–26–79
Southboro Chevron, Rte. 30, Southboro, MA—9–27–79
Pell's Framingham Sunoco, 506 Concord Street, Framingham, MA—9–27–79
Concord Street Auto Service, 486 Concord Street, Framingham, MA—9–27–79
Sarky's and Sons, 386 Hollis Street, Framingham, MA—9–27–79
Pel's Sunoco, Pond Street, Ashland, MA—9–27–79
Power's Service Station, 91 Main Street, Leominster, MA—10–9–79
Wilkinson's Service Station, 509 Main Street, Leominster, MA—10–9–79
Bob's Custom Sunoco, 468 Main Street, Leominster, MA—10–9–79
Steve and Stan's Exxon, 456 Main Street, Leominster, MA—10–9–79
Kelly's Exxon, 516 John Fitch Highway, Leominster, MA—10–10–79
Leon Bellio, 115 Luhenburg Street, Fitchburg, MA—10–10–79
Moor's Leomister Shell, 152 Main Street, Leominster, MA—10–10–79
Keith's Arco, 158 Main Street, Leominster, MA—10–10–79
Ralph's Getty, 12 North Main Street, Leominster, MA—10–10–79
Dick's Gulf, 103 Main Street, Leominster, MA—10–11–79
Peabody's Kings Corner, 1289 Main Street, No. Leominster, MA—10–11–79
Ron & Sons Exxon, 527 N. Main Street, Leominster, MA—10–11–79
Colonial Gulf, 179 South and Taconic Sts., Pittsfield, MA—10–9–79
Park Square Mobil, 123 East Street, Pittsfield, MA—10–9–79
East Street Gulf, 746 East & Lyman Sts. Pittsfield, MA—10–9–79
Andrews Mobil, 811 Dalton Avenue, Pittsfield, MA—10–9–79
Procopio Bros., 483 W. Housatonic Street, Pittsfield, MA—10–9–79
Fitch's Garage, 484 W. Housatonic Street, Pittsfield, MA—10–9–79
Patryn's Servi-Center, 232 Ashland Street, North Adams, MA—10–10–79
Henry's Tire and Battery, 59 Columbia Street, Adams, MA—10–11–79
J. H. Armstrong Inc., 46 Commercial Street, Adams, MA—10–11–79
J. L. Bresett, 56 Commercial Street, Adams, MA—10–11–79
Berkshire Servicenter, Rte. 8, Berkshire, MA—10–12–79
Casey's Texaco, 480 S. Main Street, Great Barrington, MA—10–30–79
Old Egremont Store, Rte. 71, Egremont, MA—10–30–79
Jimmy's Mobil Station, Main Street, S. Egremont, MA—10–30–79
Gulotta's Mobil Service, Main Street, Sheffield, MA—10–30–79
Macy's Garage, Main Street, Sheffield, MA—10–30–79
Ken Gurney's Exxon, State Road, Great Barrington, MA—10–30–79
Roberts Service Station, 190 State Road, Great Barrington, MA—10–30–79
Ely's Garage, 185 State Road, Great Barrington, MA—10–30–79
Bacons Package Store, Rte. 9, Williamsburg, MA—10–31–79
Lakeside Garage, Main Street, Goshen, MA—10–31–79
Mohawk Garage, Rte. 8, Becket, MA—10–31–79
Charlie's Garage, Main Street, Chester, MA—10–31–79
Toppy's Inc. Rte. 20, Chester, MA—10–31–79
A. J. Desormiers, 350 Burnett Road, Chicopee Falls, MA—10–29–79
Ed's Arco, 363 Burnett Road, Chicopee Falls, MA—10–29–79
Triple B Auto Service, 385 Memorial Drive, Chicopee Falls, MA—10–29–79
Menard and Holmberg, 765 Memorial Drive, Chicopee Falls, MA—10–29–79
Chicopee Minuteman Auto Service, 1035 Memorial Drive, Chicopee Falls, MA—10–29–79
Bill Kenney and Sons, 1061 Memorial Drive, Chicopee Falls, MA—10–29–79
Tom's Mobil, 720 Summer Avenue, Springfield, MA—10–30–79
Felix's Exxon, 914 Summer Avenue, Springfield, MA—10–30–79
Harkness Arco, 900 Allen Street, Springfield, MA—10–30–79
16 Acres Mobil, 1630 Wilbraham Road, Springfield, MA—10–30–79
Hank's Stony Hill Arco, 1993, Boston Road, Wilbraham, MA—10–30–79
Edward's Service Station, 2000 Boston Road, Wilbraham, MA—10–30–79
Liberty Heights Shell, 798 Chrew Street, Springfield, MA—10–31–79
Bodman's Garage, 676 Page Blvd., Springfield, MA—10–31–79
Gary's Auto Service, 474 Page Blvd., Springfield, MA—10–31–79
Nadeau's Amoco, 1037 St. James Avenue, Springfield, MA—10–31–79
East Street Auto Center, 245 East Street, Chicopee Falls, MA—10–31–79
Granger's Texaco, 451 Grantton Street, Chicopee Falls, MA—10–31–79
Brown's Garage Service, 734 Page Blvd., Springfield, MA—10–31–79
J&S Hylan Service, 1561 Hylan Blvd., Staten Island, NY—9–5–79
Junction Blvd., Corona, NY—9–6–79
Fresh Meadows Gas, 173–12 Horace Harding Expressway, Flushing, NY—9–7–79
Merry Trio Inc., 173–12 Horace Harding Expressway, Flushing, NY—9–7–79
Wally's Service Station, 3179 Atlantic Avenue, Brooklyn, NY—9–10–79
Terrific Auto Care, 3550 Boston Road, Bronx, NY—9–11–79
Krolius Service, 980 E. 233 Street, Bronx, NY—9–11–79
Aggressive Enterprises, 2093 Hylan Blvd., Staten Island, NY—9–14–79
Maloney Shell, 114 Bruckner Blvd., NY—9–19–79
Nachman-Feig Mobil Service Station, 181–06 Horace Harding Expressway, Flushing, NY—9–20–79
Paul's Service Station, 3202 Peartree Avenue, Bronx, NY—9–27–79
Dora's Service Center, 260 Bay Street, Staten Island, NY—9–27–79
Cheryl's Service Station, 1225 Hylan Blvd., Staten Island, NY—9–25–79
Joe and Jule Service Station, 5401 Fort Hamilton Parkway, Brooklyn, NY—9–27–79
Sunnyside Service Station, 1262 Clove Avenue, Staten Island, NY—9–25–79
D. Vitanza Repair and Service, 165 Tenth Avenue, New York, NY—9–21–79
DeLuc Service Station, 1100 Webster Ave., Bronx, NY—9–4–79
Karl Klein Service Station, 826 East 233rd Street, Bronx, NY—9–5–79
L&S Service Center, 301 65th Street, Brooklyn, NY—9–5–79
Deegan Service Center, 296 West Fordham Road, Bronx, NY—9–6–79
Premier Service Station, 987 4th Avenue, Brooklyn, NY—9–5–79
K&C Shell, 363 4th Avenue, Brooklyn, NY—9–5–79
Regour Service Station 275 4th Avenue, Brooklyn, NY—9–5–79
Calga Service Station, 1776 Second Avenue, New York, NY—9–6–79
Irving Lash Service Station, 987 Central Park Avenue, Yonkers, NY—9–7–79
R&R Service Station, 688 East Gunhill Road, Bronx, NY—9–10–79
C&J Auto Service, 620 E. 233rd Street, Bronx, NY—9–7–79
OK Service Station, Mereick Road and Broadway, Valley Stream, NY—9–12–79
2326 First Avenue Corp., 2326 First Avenue, New York, NY—9–13–79
Monetti and Son, 159–02 Cross Bay Blvd., Howard Beach, NY—9–13–79
E&M Service Station, 9001 4th Avenue, Brooklyn, NY—9–14–79
Parkside Service Center, 340 4th Avenue, Brooklyn, NY—9–18–79
Tom-Val Service Center, 1896 Bruckner Blvd., Bronx, NY—9–18–79
891 3rd Avenue Service Station, 891 3rd Avenue, Brooklyn, NY—9–17–79
Lindenhurst Service Center, 380 Montavil Highway, Lindenhurst, NY—9–20–79
Tru-Way Service Station, 458 11th Avenue, New York, NY—9–21–79
880 Central Avenue Service Station, 880 Central Avenue, Scarsdale, NY—9–24–79
Blue Ribbon Service Station, 248–30 South Conduit Ave., Rosedale, NY—9–25–79
Hylan Discount Corp., 1635 Hylan Blvd., Staten Island, NY—9–26–79
Coney-2 Service Station, 2806 Coney Island Ave., Brooklyn, NY—9–24–79
Burgdorff Shell Service Center, 783 Central Ave., Scarsdale, NY—9–27–79
Ralph's Service Station, 183–02 Jamaica Ave., Jamaica, NY—9–27–79
Shelve Shell Station, 248–70 Horace Harding Expressway, Littleneck, NY—9–27–79
Ebb & Mike Service Station, 2150 Hylan Blvd., Staten Island, NY—9–26–79
Nick's Cross County Service Station, 800 Central Park Ave., Yonkers, NY—10–2–79
P&B Sunoco, 66 West Sunrise Highway, Valley Stream, NY—10–2–79
Parkview Shell Service Station, 6469 Broadway, Bronx, NY—10–2–79
Mabuhay Service Station, 824 Allerton Ave., Bronx, NY—10–2–79
S&J Exchange, 375 Hamilton Avenue, Brooklyn, NY—10–2–79
Mike Zoulis Service Station, 2220 Boston Road, Bronx, NY—10–3–79
Isa's Broadway Service Station, 5501 Broadway, Bronx, NY—10–3–79
Carrick Service Corp. 30–19 Northern Blvd., Long Island, NY—10–3–79
A&S Auto Service, 83–21 Broadway, Elmhurst, NY—10–3–79
C&T Service Station, 53–21 Northern Blvd., Woodside, NY—10–3–79
M&H Shell Service Station, 110–35 Horace Harding Blvd., Corona, NY—10–4–79
Roosevelt Gas & Service, 49–21– Queens Blvd., Woodside, NY—10–4–79
A–DK Service Station, 4202 Queens Blvd., Long Island City, NY—10–4–79
Gus Service Station, 21–04 21st Avenue, Long Island City, NY—10–4–79
Princeton Service Station, 1190 Bay Street, Staten Island, NY—9–27–79
Tomarge Service Station, 67–14 Roosevelt Avenue, Woodside, NY—10–4–79
Viamax Service Station, 77–11 Roosevelt Ave., Jackson Heights, NY—10–5–79
Cross Bay Amoco, 164–50 Cross Bay Blvd., Howard Beach, NY—10–5–79
Larry's Auto Service, 672, Sunrise Highway, Valley Stream, NY—10–10–79
Capitol Utica, 758 Utica Ave., Brooklyn, NY—10–10–79
Jandav Service Station, 2285 Flatbush Ave., Brooklyn, NY—10–10–79
Olympic Mobil Service Station, 4911 Avenue H, Brooklyn, NY—10–10–79
Romeo Trans Service Station, 1617 Neptune Avenue, Brooklyn, NY—10–10–79
Conti Island Service Station, 1702 Neptune Avenue, Brooklyn, NY—10–10–79
SRV Service Station, 6501 Bay Parkway, Brooklyn, NY—10–11–79
Kings Highway Service Station, 2773 Nostrand Ave., Brooklyn, NY—10–10–79

Two Bear Auto Repair, 1861 Flatbush Ave., Brooklyn, NY—10–10–79
Shae Patrick Inc., 1300 Hicksville Road,

John Jarrell (Arco), Ridge and Manatawna Ave., Philadelphia, PA—9–4–79
Willow Grove Gulf, 1705 Easton Road,

John Vallerschamp—Texaco—9th St., & Sarah Road, East Stroudsburg, PA—9–13–79

Donald E. Mann, Mobil 223 Third St., Leechburg, PA—9–4–79
Don Duckworth Arco, McMurray Dairy Bar,

Oldland's Gulf, Main and Morewood, Mt. Pleasant, PA—9–26–79
Cam–2 Tune Up Center—S. Schober, 910

Bethlehem Amoco, 2 Bethlehem Blvd., Wheeling, WV—9–27–79
Wharton's Amoco, 2096 National Road,

Two Bear Auto Repair, 1881 Flatbush Ave., Brooklyn, NY—10–10–79
Shae Patrick Inc., 1300 Hicksville Road, Massapequa, NY—10–11–79
N&J Sunoco Service Station, 959–9–3 Central Park Avenue, Yonkers, NY—10–11–79
Elmhurst Service Station, 3377 Eastchester Road, Bronx, NY—10–11–79
Midway Service Station, 21–16 Jackson Ave., Long Island City, NY—10–16–79
Charlie's Gas & Service Station, 32–23 58th Street, Woodside, NY—10–3–79
Admiral Service Station, 1472 65th Street, Brooklyn, NY—10–16–79
South Conduit Service Station, 117–90 South Conduit Avenue, Springfield, NY—10–16–79
2481 Central Park Avenue Service Station, 2481 Central Park Ave., Yonkers, NY—10–16–79
Gene's Service Station, 1143 Coney Island Ave., Brooklyn, NY—10–17–79
Sam Service Station, 2173 Gerriston Ave., Brooklyn, NY—10–17–79
Broadway Service Station, 32–09 21st Street, Long Island City, NY—10–17–79
MMJS Auto Service Center, Morlin Road and Lie, Commack, NY—10–17–79
Roosevelt Gasoline Service Station, 49–21 Queens Blvd., Woodside, NY—10–18–79
Karl Klein Service Station, 836 East 233d Street, Bronx, NY—10–18–79
Hamilton Service Station, 288 Hamilton Ave., Brooklyn, NY—10–9–79
Webster Paradise Gardens, 1170 Webster Avenue, Bronx, NY—10–17–79
Baychester Mobil, 500 Baychester Ave., Bronx, NY—10–30–79
Al Vin's Service Station, 684 Utica Avenue, Brooklyn, NY—10–30–79
Shalit Texaco, 3903 Bell Blvd., Bayside, NY—10–30–79
Lewis Super Service, 1244 Utica Ave., Brooklyn, NY—10–30–79
First Stop Service Station, 32–32 Queens Blvd., Long Island City, NY—10–30–79
Al's Sunoco Service Center, 292 Ashburton Ave., Yonkers, NY—10–30–79
Ron's Service, 1025 Utica Ave., Brooklyn, NY—10–30–79
Michael A. Fusco, Inc., 1731 Pennsylvania Ave., Wilmington, DE—9–19–79
Gene Turulski T/A Harmony Exxon, Harmony and Slanton Rd., Newark, DE—9–28–79
Allan Weinstein Arco T/A Weinstein's Arco, 56th and Coastal Highway, Ocean City, MD—9–28–79
Sterling Marine Sales, 6210 Park Blvd., Wildwood, NJ—9–25–79
Waterway Marina, 727 W. Montgomery Ave., Wildwood, NJ—9–25–79
Starns Marina, 801 N. New Hampshire Ave., Atlantic City, NJ—9–24–79
Harmar Marina, 2526 Wenzel Drive, Harmarville, PA—10–29–79
Gateway Amoco, 2501 Mosside Ave., Monroeville, PA—10–29–79
Dave's Mobile, 1043 S. Braddock, Edgewood, PA—10–31–79
Freiland's Gulf, 101 Beverly Road, Pittsburgh, PA—10–29–79
Angotti Texaco, 1330 Banksville Road, Pittsburgh, PA—10–31–79
Skowran's Sunoco, 1721 Banksville Road, Pittsburgh, PA—10–31–79
Marty's Gulf, 225 S. Main Street, Zelienople, PA—10–31–79
John Jarrell (Arco), Ridge and Manatawna Ave., Philadelphia, PA—9–4–79
Willow Grove Gulf, 1705 Easton Road, Willow Grove, PA—9–4–79
Tyes Texaco, Butler and Shasta Road, Plymouth Meeting, PA—9–5–79
Ferrino Bros. Exxon, 228 Bustleton Ave., Feasterville, PA—9–5–79
Frank Bittner (Gulf), 803 Germantown Pike, Norristown, PA—9–5–79
Jim & Bob Breish (Shell), 655 W. Gemantown Pike, Norristown, PA—9–5–79
Irvs Arco, Rhawn and Roosevelt Blvd., Philadelphia, PA—9–5–79
Painter's Grossroads Gulf, RTS. 1 and 202, Glen Mills, PA—9–5–79
Audubon S.S., Rte, 363 and Audubon Road, Audubon, PA—9–5–79
Joseph Sweeney (Getty), 532 Easton Road, Glenside, PA—9–7–79
G. Ferguson (Mobil), 8301 Stenton Ave., Philadelphia, PA—9–7–79
Bill's Arco, 22nd and Edgemont Avenue, Chester, PA—9–7–79
Griffin Chevron, 831 Northern Blvd., Clarks Summit, PA—9–10–79
Paul's Arco, Roosevelt Blvd. and Cheltenham Ave., Philadelphia, PA—9–10–79
Ronald Baratta (Mobil), 496 S. Main Street, Wilkes-Barre, PA—9–11–79
George Banas—Texaco, Butler and North Penn St., Wilkes-Barre, PA—9–11–79
C. E. Groff—Amoco, 452 Kidder Street, Wilkes-Barre, PA—9–11–79
Rovert Chesna—Amoco, 882 sans Souci Pike, Wilkes-Barre, PA—9–11–79
Lower Gradway Exxon, 289 Lower Broadway, Nanticoke, PA—9–11–79
Slocum's S.S. Northern Blvd., Chinchilla, PA—9–11–79
Lapera Oil Co., Inc., 41 River Street, Carbondale, PA—9–11–79
Ted's S.S. Exxon, 511 Maing Street, Child's PA—9–11–79
Jayne's Arco, Bridge and Tioga, Tunkhannock, PA—9–11–79
Sav-Way, Rt. 6 and 11, Clark Summitt, PA—9–11–79
Owens Exxon, 117 w. Tioge St., Tunkhannock, PA—9–11–79
Rought's Texaco, Rt. 6 and 11, Factoryville, PA—9–11–79
Bill's Mobil, 189 E. Tioga Street, Tunkhannock PA—9–11–79
Coolbaugh's Pontiac, 202 E. Tioga St., Tunkhannock, PA—9–11–79
Conklin's Exxon, I–81 & Rt. (R.D. #2), New Milford, PA—9–11–79
R. B. Fries Inc., 900 Main Street, Vandling, PA—9–11–79
Pasco's Exxon 335 Franklin Ave., Scranton, PA—9–12–79
Jim's Arco, 1028 Capouse Ave., Scranton, PA—9–12–79
Kashner's Arco, 4699 Birney Ave., Moosic, PA—9–12–79
H. Piechota Jr.—Sunoco, 235 Main Street, Dupont, PA—9–12–79
Bruno Marcellini—Arco, Rt. 315 and Dupont Highway, Pittson Twp., PA—9–12–79
Lou Zack—Exxon, 1233 Highway 315, Wilkes-Barre, PA—9–12–79
Bryant's Sunoco, 1706 N. Main Ave., Scranton, PA—9–12–79
Penny Saver Corp.—Sunoco, 2134 Northhampton St. Easton, PA—9–13–79
John Vallerschamp—Texaco—9th St., & Sarah Road, East Stroudsburg, PA—9–13–79
Al's Gulf Service, 263 Willow Ave., Honesdale, PA—9–13–79
Schank's Sunoco, 301 S. Blakely, Dunmore, PA—9–13–79
Mt. Cobb Mobil, RD. 4, Lake Ariel, PA—9–13–79
P&O Mobil, Penn and Olive Sts., Scranton, PA—9–13–79
Kellum's Texaco, 300 Willow Avenue, Honesdale, PA—9–13–79
Moran's Service Station, 201 Jefferson and Spruce Sts., Scranton, PA—9–13–79
Snot's Service Station, 4th and Main Sts., Honesdale, PA—9–13–79
John O'Connor—Gulf, 3rd and Main Sts., Stroudsburg, PA—9–14–79
William Mislivets—Chevron, Bypass at Blackman St., Wilkes-Barre, PA—9–14–79
Nolan's Exxon, RD 1, Lake Ariel, PA—9–14–79
Frank Mirand—Gulf, Washington and Ash, Scranton, PA—9–14–79
Watson Bros. Sunoco, Box 59, White Mills, PA—9–12–79
Suberto's Service, P.O. Box 22, Greentown, PA—9–15–79
Canadensis Guld, Box 33, Canadensis, PA—9–15–79
Litening Auto Inc., Rt. 191, Newfoundland, PA—9–15–79
Vitale's Mobil, RT. 611, Tobyhanna, PA—9–15–79
Polito's Sunoco, Rt. 252 and Reese Ave., Newtown Square, PA—9–17–79
Cliff's Exxon, 520 W. Cypress St., Kennet Square, PA—9–17–79
Steve's Shell, 8601 Frankford Avenue, Philadelphia, PA—9–18–79
La Forgia's Arco, 8759 Frankford Ave., Philadelphia, PA—9–18–79
Grogan's Exxon, 503 Belmont Ave., Mt. Pocono, PA—9–15–79
Burwell's Exxon, 1500 Northampton St., Easton, PA—9–18–79
Pat's Arco, 1125 Northampton, St., Easton PA PA—9–19–79
V. F. Licolli & Son, Tyson and Frankford Ave., Philadelphia, PA—9–19–79
George's Texaco, 8501 Frankford Avenue, Philadelphia, PA—9–19–79
Steffi Bros., 2364 MacArthur Road, Whitemarsh, PA—9–21–79
Herb Kauffman—Arco, 2685 Lititz Pike, Lancaster, PA—9–25–79
Mellinger's Amoco, Rt. 222, Ephrata, PA—9–25–79
Wissler's Gulf, 1460 Lititz Pike, Lancaster, PA—9–25–79
By-Pass Garage—Gulf, 1409 N. Providence Road, Media, PA—9–26–79
Robert Campbell—Arco, Providence Pike and Kirk Lane, Media, PA—9–26–79
Melvin Zinc—Texaco, Rt. 30—East, Lancaster, PA—9–26–79
Melvin Zinc—Texaco, Rd. 2, Gordonwille, PA—9–26–79
To-s Bingeman—Texaco, 511 Furnance Hills Pike, Lititz, PA—9–26–79
Rintz Exxon, 700 E. Chestnut St., Lancaster, PA—9–26–79
Stauffer's Texaco, RD 1 Ephrata, Ephrata, PA—9–26–79
Buch's Exxon, 3rd and McConnell, Stroudsburg, PA—9–28–79

Donald E. Mann, Mobil 223 Third St., Leechburg, PA—9–4–79
Don Duckworth Arco, McMurray Dairy Bar, 601 E. McMurray, McMurray, PA—9–5–79
Turnpike Mobil, 7910, Rt. 30 East, North Huntingdon, PA—9–8–79
Lincoln Service Center, Exxon, 535 Lincoln Hwy., Irwin, PA—9–8–79
John & Marilyn Leukhardt, Sunoco, Rt. 30 & 10th St., Ext. Irwin, PA—9–8–79
Dourglass R. Peterson, Arco, PA & Oak Ave., Irwin, PA—9–8–79
Packrall Bay Mobil, RD #1, Fredericktown, PA—9–5–79
Pleasure Harbor Marina, Gulf, P.O. Box G, Millsboro, PA—9–5–79
Holiday Harbor Mobil, Box B, Rt. 88, Millsboro, PA—9–5–79
Aretta's Arco, P.O. box 201, Farichance, PA—9–6–79
Bob's Sunoco, W. Main St., & New Rt. 119, Uniontown, PA—9–6–79
United Dairy Farm—Ashland, 286 W. Main Street, Uniontown, PA—9–6–79
Ted Minella and William Banes, Anchor Harbor, Universal, P.O. Box 303, Millsboro, PA—9–5–79
William Emert, Mobil, Box 118, Stahlstown, PA—9–7–79
Donald C. Hoffer, Sunoco, Box 38, Stahlstown, PA—9–7–79
Ligonier Arco, R.D. #5, Box 290, Ligonier, PA—9–7–79
Robert B. Springer, Gulf, Rt. 30 and 711, Ligonier, PA—9–7–79
Charles Donato, Sunoco, R.D. #5 Box 273, Ligonier, PA—9–7–79
Lloyd Watkins, Amoco, R.D. #5, Somerset, PA—9–7–79
Laughlintown Garage, Gulf, Box 289, Laughlintown, PA—9–7–79
Dennis Daw, arco Rt. 30 and Lewis Ave., Jeanette, PA—9–8–79
Evan Ford Marina, Amoco, Buenola, PA—9–7–79
Willock's Exxon, Maple Lane & Grand Ave., Neville Island, PA—9–13–79
Andy's Automotive Pennzoil, 511 North Avenue, Millvale, PA—9–11–79
Benton's Texaco, R.D. 5 Box 463–C, Gibsonia, PA—9–11–79
Budget Rental Co., 3939 Wm. Penn Highway, Monroeville, PA—9–12–79
Mini Market #126—Arco, 7403 Washington, St., Swissvale, PA—9–12–79
Lou's Mobil, 4619–21 Center Ave., Oakland, PA—9–12–79
Fife's Texaco, 2520 Washington, Rd., Upper St. Clair, PA—9–12–79
Miller's Amoco, 3937 Wm. Penn Highway, Monroeville, PA—9–14–79
Oakmont Boat Svc. Gulf, 10 Washington, Ave., Oakmont, PA—9–14–79
Raymong Irey, National Mobil, 1861 East Maiden, Laboratory, PA—9–17–79
Burkes Amoco, R.D. #2, Rt. 21, Waynesboro, PA—9–17–79
M&R Exxon, 9th and College, Beaver Falls, PA—9–26–79
Warrick's Gulf, 5th and 9th Streets, New Brighton, PA—9–27–79
Paul's Arco, RD3 Box 370, Aliquippa, PA—9–28–79
Caruso and Son Mobil, 454 Main Street, Mt. Pleasant, PA—9–26–79
Spring Garden Arco, Mt. Pleasant, Pa.—9–26–79
Oldland's Gulf, Main and Morewood, Mt. Pleasant, PA—9–26–79
Cam–2 Tune Up Center—S. Schober, 910 Lysle Blvd., McKeesport, PA—9–27–79
American Marina Dev. Corp. Yough Lake Marina, R.D. 1 Box 156–A, Addison, PA—9–27–79
Anderson Service Center, US 30 and PA 168, Georgetown, PA—10–9–79
Pricewagon Auto Service, Inc., 720 Broadhead Road. Aliquippa, PA—10–9–79
Wallies Pennzoil, Morgantown Street, Point Marion, PA—10–12–79
Nick's Exxon, 401 Merchanf Street, Fairmont, WV—9–17–79
Spag Ashland, 550 W. Main Street, Clarksburg, WV—9–18–79
Skidmore Texaco Trade Stop, I–79 Flatwoods Exit 67, Sutton, WV—9–18–79
Big Otter Amoco, Valley Fort, WV—9–18–79
Wentz Laway Marina Pennzoil, P.O. Box 3075, Huntington, WV—9–19–79
Mitch's Marina, Inc., Ashland, 418 First Avenue, St. Albans, WV—9–19–79
Kenna Exxon, I–77, Rt. 34, Kenna, WV—9–20–79
Millcreek Exxon, 730 W. Main, Ripley, WV—9–20–79
C&R Inc., Woods Boat House, 1920 Fairmont Ave., Fairmont, WV—9–21–79
Stonewall Jackson Texaco, Webster Road, Sommersville, WV—9–17–79
Harold Long, Anthony Benton, Product Distributors, Exxon, Jet Routes 19 & 41, Summersville, WV—9–17–79
Princeton-American, Amoco, 611 Thorn Street, Princeton, WV—9–18–79
Willowwood Ashland, RT. 1, Hinton, WV—9–18–79
Fort Hill Gulf, Main and Walnut Sts., Ronceverte, WV—9–18–79
Danny's Ashland, U.S. 219N, Lewisburg, WV—9–18–79
Ted Mark's Grocery, Texaco, Rt. 92, Neola, WV—9–19–79
Lynch's & Sons Amoco, Rt. 60E, White Sulphur Springs, WV—9–19–79
Shady Spring Pennzoil, Box 298, Shady Spring, WV—9–19–79
Freddie's Gulf, 515 S. Kannawak, Bekley, WV—9–19–79
McClellan Hurd, Hurd Co., Union 76m Box 45, Craigsville, WV—9–20–79
Camden Mobil, P.O. Box 72, Camden-on-Gauley, WV—9–20–79
Hayes Sunoco, Rt. 1, Box 236, French Creek, WV—9–20–79
Gregory Gulf, Rt. 6 Box 354, Buckhannon, WV—9–20–79
Earl W. & Richard L. Young, Exxon, Main and Locust St., Buckhannon, WV—9–21–79
James N. Jones, Exxon, 184 S. Kanawha St., Buckhannon, WV—9–21–79
Dunke's Union 76, 594 Randolph Ave., Elkins, WV—9–25–79
R&R Pennzoil, Box 303 Rt. 92 North, Arthurdale, WV—9–25–79
Valley Farms Market, Rt. 1 Box 173–A, Masontown, WV—9–25–79
Lea's Amoco, 474 S. Mineral Street, Keyser, WV—9–27–79
Barker's Exxon, Rt. 522, Berkley Springs, WV—9–27–79
Elliott's Sunoco, 2066 National Road, Wheeling, WV—9–25–79
Null's Exxon, 20 Wheeling Ave., Glendale, WV—9–25–79
Bethlehem Amoco, 2 Bethlehem Blvd., Wheeling, WV—9–27–79
Wharton's Amoco, 2096 National Road, Wheeling, WV—9–26–79
Hardman's Exxon, 601 Bellvue Blvd., Fairmont, WV—10–15–79
Al Blackhearst, All Schroath's 76, 244 W. Main St., Bridgeport, WV—10–16–79
Ronald McWilliams, Mobil, Rt. 50, Grafton, WV—10–16–79
Ressie Kennedy Gulf, 101 N. Pike St., Grafton, WV—10–16–79
Roger Warnick, Pennzoil, 3390 University Ave., Star City, WV—10–17–79
Fred L. Jordan, Gulf, 3100 University Ave., Morgantown, WV—10–17–79
Deal and Sullivan Texaco, 2973 University Ave., Morgantown, WV—10–17–79
Wilford Duly and Wallace Reed, Wally Reed's Exxon, 824 Mong. Blvd., Morgantown, WV—10–17–79
Collins Ferry Exxon, 3200 Collins Ferry Road, Morgantown, WV—10–19–79
University Exxon, 3510 Mong. Blvd., Morgantown, WV—10–19–79
Jerry's Exxon, 600 E. Main Street, Mannington, WV—10–15–79
Carl's Mobil, 301 W. Main Street, Grafton, WV—10–17–79
Lawrence's Gulf, Rt. 250 N., Belington, WV—10–17–79
Saffle Ashland, 101 Crim Avenue, Belington, WV—10–17–79
Rokisky Texaco, 800 W. Pike, Clarksburg, WV—10–18–79
James H. Richardson, Ashland, 424 Pike Street, Shinnston, WV—10–18–79
Stewart's Unlimited Mobil, Rt. 3, Box 145A, Bridgeport, WV—10–19–79
Riggs' Exxon, 1240 W. Main Street, Bridgeport, WV—10–19–79
Gerald Haines Gulf, I–81 and Rt. 51 East, Innwood, WV—10–10–79

Issued in Philadelphia, PA on the 30th day of November 1979.

Herbert M. Heitzer,

District Manager of Enforcement, Northeast District.

[FR Doc. 79–38686 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

Bernard A. Krouse d.b.a. Bak Ltd. et al; Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of action taken and opportunity for comment on Consent Order.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) announces action taken to execute a Consent Order and provides an opportunity for public comment on the Consent Order and on potential claims against the refunds deposited in an escrow account established pursuant to the Consent Order.

EFFECTIVE DATE: August 16, 1979.

COMMENTS BY: January 16, 1980.

ADDRESS: Send comments to: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114.

FOR FURTHER INFORMATION CONTACT: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114 617–223–5265..

SUPPLEMENTARY INFORMATION: "On August 16, 1979, the Office of Enforcement of the ERA executed a Consent Order with BAK Ltd, et al, with its home office located in Narberth, Pennsylvania, is a firm engaged in the reselling and retailing of No. 2 Fuel Oil and is subject to the Mandatory Petroleum Price and Allocation Regulations at 10 CFR, Parts 210, 211, 212. To resolve certain civil actions which could be brought by the Office of Enforcement of the Economic Regulatory Administration as a result of its audit of BAK Ltd, et al the Office of Enforcement, ERA, and BAK Ltd, et al entered into a Compromise Consent Order, the significant terms of which are as follows:

1. The Consent Order settles all issues involved in BAK's sales of No. 2 Fuel Oil during the period November 1, 1973 through July 31, 1974.

2. The ERA alleges that BAK sold the above covered product at prices in excess of those permitted under 10 CFR 212.93 as preceded by 6 CFR 150.359.

3. BAK in executing the Consent Order does not admit that it violated any applicable regulation but agrees to refund $250,000 as specified in the Consent Order.

4. The provisions of 10 CFR 205.199J, including the publication of this Notice, are applicable to the Consent Order.

II. Disposition of Refunded Overcharges

In this Consent Order, BAK Ltd. agrees to refund, in full settlement of any civil liability with respect to actions which might be brought by the Office of Enforcement, ERA, arising out of the transactions specified in I.1. above, the sum of $250,000 on or before August 1, 1982. Refunded overcharges will be in the form of a certified check made payable to the United States Department of Energy and will be delivered to the Assistant Administrator for Enforcement, ERA. These funds will remain in a suitable account pending the determination of their proper disposition.

The DOE intends to distribute the refund amounts in a just and equitable manner in accordance with applicable laws and regulations. Accordingly, distribution of such refunded overcharges requires that only those "persons" (as defined at 10 CFR 205.2) who actually suffered a loss as a result of the transactions described in the Consent Order receive appropriate refunds. Because of the petroleum industry's complex marketing system, it is likely that overcharges have either been passed through as higher prices to subsequent purchasers or offset through devices such as the Old Oil Allocation (Entitlements) Program, 10 CFR 211.67. In fact, the adverse effect sof the overcharges may have become so diffused that it is a practical impossibility to identify specific, adversely affected persons, in which case disposition of the refunds will be made in the general public interest by an appropriate means such as payment to the Treasury of the United States pursuant to 10 CFR 205.199I(a).

III. Submission of Written Comments

A. *Potential Claimants:* Interested persons who believe that they have a claim to all or a portion of the refund amount should provide written notification of the claim to the ERA at this time. Proof of claims is not now being required. Written notification to the ERA at this time is requested primarily for the purpose of identifying valid potential claims to the refund amount. After potential claims are identified, procedures for the making of proof of claims may be established. Failure by a person to provide written notification of a potential claim within the comment period for this Notice may result in the DOE irrevocably disbursing the funds to other claimants or to the general public interest.

B. *Other Comments:* The ERA invites interested persons to comment on the terms, conditions, or procedural aspects of this Consent Order.

You should sent your comments or written notification of a claim to Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA, 02114. You may obtain a free copy of this Consent Order by writing to the same address or by calling 617–223–5265.

You should identify your comments or written notification of a claim on the outside of your envelope and on the documents you submit with the designation, "Comments on BAK Ltd. Consent Order." We will consider all comments we receive by 4:30 p.m., local time on January 16, 1980. You should identify any information or data which, in your opinion, is confidential and submit it in accordance with the procedures in 10 CFR 205.9(f).

Issued in Philadelphia, PA on the 30th day of November 1979.

Herbert M. Heltzer,

District Manager of Enforcement, Northeast District.

[FR Doc. 79–38664 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

Davis & Daggett Co.; Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of action taken and opportunity for comment on Consent Order.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) announces action taken to execute a Consent Order and provides an opportunity for public comment on the Consent Order and on potential claims against the refunds deposited in an escrow account established pursuant to the Consent Order.

EFFECTIVE DATE: September 4, 1979.

COMMENTS BY: January 16, 1980.

ADDRESS: Send comments to: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA, 02114.

FOR FURTHER INFORMATION CONTACT: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA, 02114 617–223–5265.

SUPPLEMENTARY INFORMATION: "On September 4, 1979, the Office of Enforcement of the ERA executed a Consent Order with Davis and Daggett Company of Sringfield, MA. Under 10 CFR 205.199J(b), a Consent Order which involves a sum of less than $500,000 in the aggregate, excluding penalties and interest, becomes effective upon its execution."

I. The Consent Order

Davis and Daggett Company, with its home office located in Springfield, MA, is a firm engaged in the marketing of No. 2 Heating Oil, and is subject to the Mandatory Petroleum Price and Allocation Regulations at 10 CFR, Parts 210, 211, 212. To resolve certain civil actions which could be brought by the Office of Enforcement of the Economic Regulatory Administration as a result of its audit of Davis and Daggett Company, the Office of Enforcement, ERA, and Davis and Daggett Company entered into a Compromise Consent Order, the significant terms of which are as follows:

1. The Consent Order settles all issues involved in Davis and Daggett Company's sales of No. 2 Heating Oil during the period November 1, 1973 through April 30, 1974.

2. The ERA alleges that Davis and Daggett Company sold No. 2 Heating Oil at prices in excess of those permitted under 10 CFR 212.93, as preceded by 6 CFR 150.359.

3. Davis and Daggett Company in executing the Consent Order does not admit to having violated the price regulations but in order to avoid further disruptions of its business and the expense of further litigation agrees to refund $40,000 as specified in the Consent Order.

4. The provisions of 10 CFR 205.199J, including the publication of this Notice, are applicable to the Consent Order.

II. Disposition of Refunded Overcharges

In this Consent Order, Davis and Daggett Company agrees to refund, in full settlement of any civil liability with respect to actions which might be brought by the Office of Enforcement, ERA, arising out of the transactions specified in I.1. above, the sum of $40,000 on or before July 1, 1982. Refunded overcharges will be in the form of a certified check made payable to the United States Department of Energy and will be delivered to the Assistant Administrator for Enforcement, ERA. These funds will remain in a suitable account pending the determination of their proper disposition.

The DOE intends to distribute the refund amounts in a just and equitable manner in accordance with applicable laws and regulations. Accordingly, distribution of such refunded overcharges requires that only those "persons" (as defined at 10 CFR 205.2) who actually suffered a loss as a result of the transactions described in the Consent Order receive appropriate refunds. Because of the petroleum industry's complex marketing system, it is likely that overcharges have either been passed through as higher prices to subsequent purchasers or offset through devices such as the Old Oil Allocation (Entitlements) Program, 10 CFR 211.67. In fact, the adverse effects of the overcharges may have become so diffused that it is a practical impossibility to identify specific, adversely affected persons, in which case disposition of the refunds will be made in the general public interest by an appropriate means such as payment to the Treasury of the United States pursuant to 10 CFR 204.199I(a).

III. Submission of Written Comments

A. *Potential Claimants:* Interested persons who believe that they have a claim to all or a portion of the refund amount should provide written notification of the claim to the ERA at this time. Proof of claims is not now being required. Written notification to the ERA at this time is requested primarily for the purpose of identifying valid potential claims to the refund amount. After potential claims are identified, procedures for the making of proof of claims may be established. Failure by a person to provide written notification of a potential claim within the comment period for this Notice may result in the DOE irrevocably disbursing the funds to other claimants or to the general public interest.

B. *Other Comments:* The ERA invites interested persons to comment on the terms, conditions, or procedural aspects of this Consent Order.

You should send your comments or written notification of a claim to Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA, 02114. You may obtain a free copy of this Consent Order by writing to the same address or by calling 617–223–5265.

You should identify your comments or written notification of a claim on the outside of your envelope and on the documents you submit with the designation, "Comments on Davis and Daggett Company Consent Order." We will consider all comments we receive by 4:30 p.m., local time on January 16, 1980. You should identify any information or data which, in your opinion, is confidential and submit it in accordance with the procedures in 10 CFR 205.9(f).

Issued in Philadephia, PA on the 30th day of November, 1979.

Herbert M. Heltzer,

District Manager of Enforcement, Northeast District.

[FR Doc. 79–38662 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

Eastern of New Jersey, Inc.; Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of action taken and opportunity for comment on Consent Order.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) announces action taken to execute a Consent Order and provides an opportunity for public comment on the Consent Order and on potential claims against the refunds deposited in an escrow account established pursuant to the Consent Order.

EFFECTIVE DATE: October 9, 1979.

Comments by: January 16, 1980.

ADDRESS: Send comments to: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114.

FOR FURTHER INFORMATION CONTACT: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114 617–223–5265.

SUPPLEMENTARY INFORMATION: "On October 9, 1979, the Office of Enforcement of the ERA executed a Consent Order with Eastern of New Jersey, Inc. of Jersey City, New Jersey. Under 10 CFR 205.199J(b) a Consent Order which involves a sum of less than $500,000 in the aggregate, excluding penalties and interest, becomes effective upon its execution."

I. The Consent Order

Eastern of New Jersey, Inc., with its home office located in Jersey City, New Jersey, is a firm engaged in the reselling and retailing of petroleum products, and is subject to the Mandatory Petroleum Price and Allocation Regulations at 10 CFR, Parts 210, 211, 212. To resolve certain civil actions which could be brought by the Office of Enforcement of the Economic Regulatory Administration as a result of its audit of Eastern of New Jersey, Inc., the Office of Enforcement, ERA, and Eastern of New Jersey entered into a Compromise Consent Order, the significant terms of which are as follows:

1. The Consent Order settles all issues involved in Eastern's sales of No. 4 Residual Fuel Oil during the period November 1, 1973 through March 31, 1974.

2. The ERA alleges that Eastern sold the above covered product at prices in excess of those permitted under 10 CFR 212.93, as preceded by 6 CFR 150.359.

3. Eastern in executing the Consent Order vigorously disputes that it has

violated any DOE regulation. However, to avoid costly and time consuming litigation and without admitting it violated any statute or regulation and for purposes of settlement only agrees to refund $425,000 as specified in the Consent Order.

4. The provisions of 10 CFR 205.199J, including the publication of this Notice, are applicable to the Consent Order.

II. Disposition of Refunded Overcharges

In this Consent Order, Eastern of New Jersey, Inc. agrees to refund, in full settlement of any civil liabilty with respect to actions which might be brought by the Office of Enforcement, ERA, arising out of the transactions specified in I.1. above, the sum of $425,000 on or before July 1, 1982. Refunded overcharges will be in the form of a certified check made payable to the United States Department of Energy and will be delivered to the Assistant Administrator for Enforcement, ERA. These funds will remain in a suitable account pending the determination of their proper disposition.

The DOE intends to distribute the refund amounts in a just and equitable manner in accordance with applicable laws and regulations. Accordingly, distribution of such refunded overcharges requires that only those "persons" (as defined at 10 CFR 205.2) who actually suffered a loss as a result of the transactions described in the Consent Order receive appropriate refunds. Because of the petroleum industry's complex marketing system, it is likely that overcharges have either been passed through as higher prices to subsequent purchasers or offset through devices such as the Old Oil Allocation (Entitlements) Program, 10 CFR 211.67. In fact, the adverse effects of the overcharges may have become so diffused that it is a practical impossibility to identify specific, adversely affected persons, in which case disposition of the refunds will be made in the general public interest by an appropriate means such as payment to the Treasury of the United States pursuant to 10 CFR 205.199I(a).

III. Submission of Written Comments

A. *Potential Claimants:* Interested persons who believe that they have a claim to all or a portion of the refund amount should provide written notification of the claim to the ERA at this time. Proof of claims is not now being required. Written notification to the ERA at this time is requested primarily for the purpose of identifying valid potential claims to the refund amount. After potential claims are identified, procedures for the making of proof of claims may be established. Failure by a person to provide written notification of a potential claim within the comment period for this Notice may result in the DOE irrevocably disbursing the funds to other claimants or to the general public interest.

B. *Other Comments:* The ERA invites interested persons to comment on the terms, conditions, or procedural aspects of this Consent Order.

You should send your comments or written notification of a claim to Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114. You may obtain a free copy of this Consent Order by writing to the same address or by calling 617–223–5265.

You should identify your comments or written notification of a claim on the outside of your envelope and on the documents you submit with the designation, "Comments on Eastern of New Jersey, Inc. Consent Order." We will consider all comments we receive by 4:30 p.m., local time on January 16, 1980. You should identify any information or data which, in your opinion, is confidential and submit it in accordance with the procedures in 10 CFR 205.9(f).

Issued in Philadelphia, PA on the 30th day of November 1979.

Herbert M. Heitzer.

District Manager of Enforcement, Northeast District.

[FR Doc. 79-38063 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Case No. 50904-6223-22-77]

Energy Center Unit No. 2; Empire District Electric Co.; Determination to Classify as an Existing Facility

AGENCY: Economic Regulatory Administraton, Department of Energy.

ACTION: Determination to Classify the Empire District Electric Company Energy Center Unit No. 2 as an Existing Facility.

SUMMARY: On June 7, 1979, Empire District Electric Company (Empire) requested the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) to classify Energy Center Unit No. 2 as an existing facility pursuant to Section 515.6 of the Revised Interim Rule to Permit Classification of Certain Powerplants and Installations as Existing Facilities (Revised Interim Rule) issued by ERA on March 15, 1979 (44 FR 17464), and pursuant to the provisions of the Powerplant and Industrial Fuel Use Act of 1978, 42 U.S.C. 6401 *et seq.* (FUA).

ERA has completed its analysis of Empire's request and has determined that Empire has satisfactorily demonstrated that it would suffer a substantial financial penalty. Empire had expended, in nonrecoverable outlays, more than 25 percent of the total projected project cost as of November 9, 1978, for Energy Center Unit No. 2 within the meaning of Section 515.6 of the Revised Interim Rule.

ERA has classified Empire's Energy Center Unit No. 2 as "existing" facility and it is therefore subject to the provisions of Title III of FUA.

FOR FURTHER INFORMATION CONTACT:

William L. Webb, (Office of Public Information), Economic Regulatory Administration, Department of Energy, 2000 M Street, NW., Room B–110, Washington, D.C. 20461, Phone: (202) 634–2170

James W. Workman, Director, Division of Existing Facilities Conversion, Economic Regulatory Administration, Department of Energy, 2000 M Street, NW., Room 3128, Washington, D.C. 20461, Phone: (202) 254–7442

James Renjilian, Office of General Counsel, Department of Energy, 1000 Independence Ave., SW., Rm. 6G–087, Washington, D.C. 20585, Phone: (202) 252–2967

Robert L. Davies, Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration, 2000 M Street NW., Room 3128L, Washington, D.C. 20461, Phone: (202) 634–6557.

SUPPLEMENTARY INFORMATION: (1) On June 7, 1979, pursuant to ERA's Revised Interim Rule to Permit Classification of Certain Powerplants and Installations as Existing Facilities (Revised Interim Rule) issued by ERA on March 15, 1979, Empire requested that ERA classify Energy Center Unit No. 2 as an "existing" facility. On November 5, 1979, ERA published a summary of Empire's request for classification in the **Federal Register** and requested comments by interested persons on or before November 26, 1979. ERA has not received any comments.

(2) ERA has analyzed the material submitted by Empire applicable to the Energy Center Unit No. 2 and has classified the unit an existing facility on the basis that Empire has satisfactorily demonstrated that it would suffer a substantial financial penalty because it had expended, in nonrecoverable outlays, more than 25 percent of the total projected project cost as of November 9, 1978, for Energy Center Unit No. 2 within the meaning of § 515.6 of the Revised Interim Rule. A copy of ERA's Summary of Analysis dated November 19, 1979, is available for examination in the Office of Public Information, at the above address.

Issued in Washington, D.C., December 12, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38080 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[OFC Case No. 55119-9044-01-12, 55119-9044-02-12, 55119-9044-03-12; Docket No. ERA-FC-79-012]

General Motors Corp.; Acceptance of Petitions for Exemptions Pursuant to Interior Rules Implementing the Powerplant and Industrial Fuel Use Act of 1978

AGENCY: Economic Regulatory Administration.

ACTION: Notice of Acceptance of Petition for Exemptions Pursuant to the Interim Rules Implementing the Powerplant and Industrial Fuel Use Act of 1978.

SUMMARY: On October 29, 1979, the General Motors Corporation (GM) filed a petition with the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) for an order exempting three major fuel burning installations (MFBI's) from the prohibitions of the Powerplant and Industrial Fuel Use Act of 1978 (FUA or the Act) (42 U.S.C. 8301 *et seq.*), which prohibits the use of petroleum and natural gas as a primary energy source in new MFBI's. Criteria for petitioning for exemptions from the prohibitions of FUA are published at 44 FR 28530 (May 15, 1979) and at 44 FR 28950 (May 17, 1979) (Interim Rules). The MFBI's for which the petition is filed are three field-erected boilers (identified as Boilers number 1, 2, and 3) installed at GM's Assembly Division (GMAD) Oklahoma City, Oklahoma. Each boiler has a design heat input rate of 182 million Btu's per hour with a steam generating capacity of 150,000 pounds per hour and is capable of burning fuel oil, coal, and natural gas. Under Section 505.28 of the Interim Rules, GM has requested a permanent exemption for certain fuel mixtures for each of three units.

Prior to the filing of this petition, and pursuant to Part 515 of the Revised Interim Rule—Transitional Facilities (44 FR 17464, March 21, 1979), GM submitted a request on May 7, 1979, that the three boilers be classified as existing facilities so that they would not be subject to the statutory prohibitions applicable to new boilers under FUA. That request was not accepted by ERA since the three units had been issued Construction Orders pursuant to Section 2(c) of the Energy Supply and Environmental Coordination Act of 1974 (ESECA) which orders were pending on May 8, 1979, the date FUA became effective. Section 762(a) of FUA provides that MFBI's subject to pending ESECA Construction Orders on May 8, 1979, are new units and therefore cannot be classified as existing facilities.

FUA imposes statutory prohibitions against the use of natural gas and petroleum as a primary energy source by new MFBI's which consist of a boiler. ERA's decision in this matter will determine whether the three boilers will be granted permanent exemptions to use certain fuel mixtures.

Concurrent with this petition, GM requested temporary public interest exemptions under § 505.15 of the Interim Rules to permit operation of the three boilers until permanent fuel mixtures exemptions for the three units were granted by ERA. ERA determined that the petition for the temporary public interest exemptions is incomplete and in accordance with § 501.3(d) of the Interim Rules, ERA notified GM by letter dated November 28, 1979, that its petition for temporary public interest exemptions, as filed, was not acceptable.

ERA has determined that the petition for permanent fuel mixtures exemptions is complete in accordance with the Interim Rules. Pursuant to § 501.3(c) of the Interim Rules, ERA notified GM, by letter dated November 28, 1979, that its petition for permanent exemptions, as filed, was acceptable. ERA retains the right to request additional relevant information from GM at any time during the pendency of these proceedings where circumstances or procedural requirements may so require. A review of the petition is provided in the SUPPLEMENTARY INFORMATION section below.

As provided for in Sections 701 (c) and (d) of FUA and §§ 501.31 and 501.33 of the Interim Rules, interested persons are invited to submit written comments in regard to this matter, and any interested person may submit a written request that ERA convene a public hearing.

DATES: Written comments are due on or before February 1, 1980. A request for public hearing must also be made within this same 45 day period.

ADDRESSES: Fifteen copies of written comments or a request for a public hearing shall be submitted to: Economic Regulatory Administration, Case Control Unit, Box 4629, Room 2313, 2000 M Street, NW, Washington, DC 20461.

Docket Number ERA–FC–79–012, should be printed clearly on the outside of the envelope and the document contained therein.

FOR FURTHER INFORMATION CONTACT:

William L. Webb
(Office of Public Information)
Economic Regulatory Administration
Department of Energy
2000 M Street, NW
Room B-100
Washington, DC 20461
Phone (202) 634–2170

Constance L. Buckley
Chief, New MFBI Branch
Office of Fuels Conversion
Economic Regulatory Administration
Department of Energy
2000 M Street, NW
Room 3128
Washington, DC 20461
Phone (202) 254–7814

E. Jiran
Office of General Counsel
Department of Energy
1000 Independence Avenue, SW
Room 6G–087
Washington, DC 20585
Phone (202) 252–2967

Robert L. Davies
Assistant Administrator
Office of Fuels Conversion
Economic Regulatory Administration
2000 M Street, NW
Room 3128
Washington, DC 20461
Phone (202) 634–6557

SUPPLEMENTARY INFORMATION: ERA published in the **Federal Register** on May 15 and 17, 1979, its Interim Rules implementing the provisions of Title II of FUA. The Act prohibits the use of natural gas and petroleum as a primary energy source in certain new MFBI's unless an exemption to do so has been granted by ERA.

The MFBI's for which the permanent fuel mixtures exemptions are requested are three identical field-erected boilers. Each boiler has a design heat input rate of 182 million Btu's per hour, a steam generating capacity of 150,000 pounds per hour and is designed to burn coal, natural gas or fuel oil. GM states that the steam generated will be used for process equipment in the Assembly building, for auxiliary powerhouse steam, and for building heating and air conditioning.

Section 505.28 of the Interim Rule provides for a permanent exemption from the prohibitions of FUA for certain fuel mixtures containing natural gas or petroleum. To qualify, a petitioner must demonstrate to the satisfaction of ERA that:

(1) It proposes to use a mixture of natural gas or petroleum and an alternate fuel as a primary energy source; and

(2) The amount of petroleum or natural gas proposed for use in the mixture will not exceed the minimum percentage of the total annual Btu heat input needed to maintain operational reliability of the installation consistent with maintaining a reasonable level of fuel efficiency.

If the exemptions are granted, ERA will not require that the percentage of petroleum or natural gas used in the mixture be less than 25 percent of the total annual Btu heat input of the installation.

In addressing these eligibility requirements, and the evidentiary requirements in § 505.28(a)(1) and (c)(4), GM states that it will be using a coal-natural gas mixture as a primary energy source. The alternate fuel (coal) will be used alternately with natural gas. They further certify that the total amount of natural gas, which is proposed to be used in the three boilers, will not exceed 25% of the total annual Btu heat input of each of the three boilers. GM contends that, although it has obtained all necessary permits to consume coal at this facility, without the ability to use natural gas in a mixture with coal in these boilers, GM will be forced to waste coal energy during periods of reduced steam demand and, in addition, continued operation of the boilers solely on coal would create opacity and noise pollution problems.

In accordance with Part 502 of the Interim Rules, in support of its petition, GM has addressed the remaining Fuels Decision Report (FDR) requirements by including design specifications for the units for which these exemptions are requested and an engineering assessment of the proportions of natural gas needed to maintain operational reliability and a reasonable level of fuel efficiency.

ERA hereby accepts the filing of the petition for fuel mixtures exemptions as adequate for filing. ERA retains the right to request additional relevant information from GM at any time during the pendency of these proceedings where circumstances or procedural requirements may so require. As set forth in § 501.3(g) of the Interim Rules, the acceptance of the petition by ERA does not constitute a determination that GM is entitled to the exemptions requested.

The public file, containing documents on these proceedings and supporting materials is available for inspection upon request at: ERA, Room B-110, 2000 M Street, NW, Washington, DC, Monday to Friday, 8:00 am to 4:30 pm.

Issued in Washington, DC, on December 11, 1979.

Robert L. Davies,

Assistant Administrator, Office of Fuels Conversion, Economic Regulatory Administration.

[FR Doc. 79-38661 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

Lynwood Shafer, d.b.a. S&H Texaco; Proposed Remedial Orders

Pursuant to 10 CFR 205.192(c), the Economic Regulatory Administration (ERA) of the Department of Energy hereby gives notice of Proposed Remedial Orders issued to the following firms, charging them with pricing violations, connected with the retail sale of gasoline during the time periods stated:

Firm and location	Amount	Audit Period
Lynwood Shafer, d.b.a. S&H Texaco, Lancaster, Pa.	$1,023	8-1-79 to 9-25-79.

A copy of the Proposed Remedial Order, with confidential information deleted, may be obtained from Edward F. Momorella, Program Manager for Product Retailers, Department of Energy, Northeast Enforcement District, 1421 Cherry Street, 10th Floor, Philadelphia, Pa. 19102. Within 15 days of publication of this notice, any aggrieved person may file a Notice of Objection with the Office of Hearings and Appeals, 2000 "M" Street NW., Washington, D.C. 20461, in accordance with 10 CFR 205.193.

Issued in Philadelphia, Pennsylvania, on the 30th day of November 1979.

Herbert M. Heitzer,

District Manager, Office of Enforcement, Northeast District.

[FR Doc. 79-38667 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

McCleary Oil Co., Inc.; Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of action taken and opportunity for comment on Consent Order.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) announces action taken to execute a Consent Order and provides an opportunity for public comment on the Consent Order and on potential claims against the refunds deposited in an escrow account established pursuant to the Consent Order.

EFFECTIVE DATE: August 15, 1979.

COMMENTS BY: January 16, 1980.

ADDRESS: Send comments to: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114.

FOR FURTHER INFORMATION CONTACT: Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114 617-223-5265.

SUPPLEMENTARY INFORMATION: On August 15, 1979, the Office of Enforcement of the ERA executed a Consent Order with McCleary Oil Co., Inc. of Chambersburg, PA. Under 10 CFR 205.199J(b), "a Consent Order which involves a sum of less than $500,000 in the aggregate, excluding penalties and interest, becomes effective upon its execution."

I. The Consent Order

McCleary Oil Co., Inc. with its home office located in Chambersburg, PA, is a firm engaged in the reselling and retailing of petroleum products, and is subject to the Mandatory Petroleum Price and Allocation Regulations at 10 CFR, Parts 210, 211, 212. To resolve certain civil actions which could be brought by the Office of Enforcement of the Economic Regulatory Administration as a result of its audit of McCleary Oil Co., Inc., the Office of Enforcement, ERA, and McCleary Oil Co., Inc. entered into a Compromise Consent Order, the significant terms of which are as follows:

1. The Consent Order settles all issues involved in McCleary's sales of No. 2 Heating Oil, No. 4 and 5 fuel oil, gasoline, kerosene and diesel fuel during the period November 1, 1973 through April 30, 1974.

2. The ERA alleges that McCleary Oil sold the above covered products at prices in excess of those permitted under 10 CFR 212.93, as preceded by 6 CFR 150.359.

3. McCleary in executing the Consent Order does not admit to having violated the price regulations but in order to bring the disputes between the parties to a speedy resolution and for settlement purposes only agrees to refund $61,000 as specified in the Consent Order.

4. The provisions of 10 CFR 205.199J, including the publication of this Notice, are applicable to the Consent Order.

Disposition of Refunded Overcharges

In this Consent Order, McCleary Oil Co., Inc. agrees to refund, in full settlement of any civil liability with respect to actions which might be brought by the Office of Enforcement, ERA, arising out of the transactions specified in I.1. above, the sum of $61,000 on or before August 1, 1981. Refunded overcharges will be in the form of a certified check made payable to the United States Department of Energy and will be delivered to the Assistant Administrator for Enforcement, ERA. These funds will remain in a suitable account pending the determination of their proper disposition.

The DOE intends to distribute the refund amounts in a just and equitable manner in accordance with applicable laws and regulations. Accordingly, distribution of such refunded overcharges requires that only those "persons" (as defined at 10 CFR 205.2) who actually suffered a loss as a result of the transactions described in the Consent Order receive appropriate refunds. Because of the petroleum industry's complex marketing system, it is likely that overcharges have either been passed through as higher prices to subsequent purchasers or offset through devices such as the Old Oil Allocation (Entitlements) Program, 10 CFR 211.67. In fact, the adverse effects of the overcharges may have become so diffused that it is a practical impossibility to identify specific, adversely affected persons, in which case disposition of the refunds will be made in the general public interest by an appropriate means such as payment to the Treasury of the United States pursuant to 10 CFR 204.199I(a).

III. Submission of Written Comments

A. *Potential Claimants:* Interested persons who believe that they have a claim to all or a portion of the refund amount should provide written notification of the claim to the ERA at this time. Proof of claims is not now being required. Written notification to the ERA at this time is requested primarily for the purpose of identifying valid potential claims to the refund amount. After potential claims are identified, procedures for the making of proof of claims may be established. Failure by a person to provide written notification of a potential claim within the comment period for this Notice may result in the DOE irrevocably disbursing the funds to other claimants or to the general public interest.

B. *Other Comments:* The ERA invites interested persons to comment on the terms, conditions, or procedural aspects of this Consent Order.

You should send your comments or written notification of a claim to Arthur H. Shaw, Deputy District Manager of Enforcement, Northeast District, Economic Regulatory Administration, Room 700, 150 Causeway Street, Boston, MA 02114. You may obtain a free copy of this Consent Order by writing to the same address or by calling 617-223-5265.

You should identify your comments or written notification of a claim on the outside of your envelope and on the documents you submit with the designation, "Comments on McCleary Oil Co., Inc. Consent Order." We will consider all comments we receive by 4:30 p.m., local time on January 16, 1980. You should identify any information or data which, in your opinion, is confidential and submit it in accordance with the procedures in 10 CFR 205.9(f).

Issued in Philadelphia, PA on the 30th day of November, 1979.

Herbert M. Heitzer,

District Manager of Enforcement, Northeast District.

[FR Doc. 79-38665 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[ERA Docket No. 79-Cert-101]

Allied Chemical Corp.; Certification of Eligible Use of Natural Gas To Displace Fuel Oil

Allied Chemical Corporation (Allied) filed an application for certification of an eligible use of natural gas to displace fuel oil at its ammonia plant in Omaha, Nebraska, with the Administrator of the Economic Regulatory Administration (ERA) pursuant to 10 CFR Part 595 on October 4, 1979. Notice of that application was published in the **Federal Register** (44 FR 67704, November 27, 1979) and an opportunity for public comment was provided for a period of ten (10) calendar days from the date of publication. No comments were received.

The ERA has carefully reviewed Allied's application in accordance with 10 CFR Part 595 and the policy considerations expressed in the Final Rulemaking Regarding Procedures for Certification of the Use of Natural Gas To Displace Fuel Oil (44 FR 47920, August 16, 1979). The ERA has determined that Allied's application satisfies the criteria enumerated in 10 CFR Part 595, and, therefore, has granted the certification and transmitted that certification to the Federal Energy Regulatory Commission. A copy of the transmittal letter and the actual certification are appended to this notice.

Issued in Washington, D.C., on December 12, 1979.

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Certification

Based upon a review of the information contained in the application, as well as other information available to ERA, the ERA hereby certifies, pursuant to 10 CFR Part 595, that the use of 7,600 Mcf of natural gas per day at Allied's Omaha Plant, purchased from Peoples is an eligible use of gas within the meaning of 10 CFR Part 595.

Effective Date

This certification is effective upon the date of issuance, and expires one year from that date, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. It is effective during this period of time for the use of up to the same certified volume of natural gas at the same facility purchased from the same eligible seller.

Issued in Washington, D.C., on December 12, 1979.

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Department of Energy,
Washington, D.C., December 13, 1979.

Re ERA Certification of Eligible Use, ERA Docket No. 79-CERT-101, Allied Chemical Corporation.

Mr. Kenneth F. Plumb,
Secretary, Federal Energy Regulatory Commission, Washington, D.C.

Dear Mr. Plumb: Pursuant to the provisions of 10 CFR Part 595, I am hereby transmitting to the Commission the enclosed certification of an eligible use of natural gas to displace fuel oil. This certification is required by the Commission as a precondition to interstate transportation of fuel oil displacement gas in accordance with the authorizing procedures in 18 CFR Part 284, Subpart F. As noted in the certificate, it is effective for one year from the date of issuance, unless a shorter period of time is required by 18 CFR Part 284, Subpart F. A copy of the enclosed certification is also being published in the **Federal Register** and provided to the applicant.

Should the Commission have any further questions, please contact Mr. Finn K. Neilson, Director, Import/Export Division, Economic Regulatory Administration, 2000 M Street, N.W., Room 4126, Washington, D.C. 20461, telephone (202) 254-8202. All correspondence and inquiries regarding the certification should reference ERA Docket No. 79-CERT-101.

Sincerely,

Doris J. Dewton,

Assistant Administrator, Office of Petroleum Operations, Economic Regulatory Administration.

Enclosure.

Certification by the Economic Regulatory Administration to the Federal Energy Regulatory Commission of the Use of Natural Gas for Fuel Oil Displacement by the Allied Chemical Corp.; ERA Docket No. 79–Cert–101

Application for Certification

Pursuant to 10 CFR Part 595, Allied Chemical Corporation (Allied) filed an application for certification of an eligible use of 7,600 Mcf of natural gas per day at its ammonia plant in Omaha, Nebraska with the Administrator of the Economic Regulatory Administration (ERA) on October 4, 1979. The application and supplemental information state that the eligible seller of the gas is Peoples Natural Gas Division of Northern Natural Gas Company (Peoples) and that the gas will be transported by the Northern Natural Gas Company and the Panhandle Eastern Pipeline Company. The application indicates that the use of this natural gas is estimated to displace 49,450 barrels of No. 5 fuel oil (1.8–2.3 percent sulfur) per year and 45,050 barrels of No. 2 fuel oil (0.5–0.6 percent sulphur) per year at Allied's Omaha Plant. The application also indicates that neither the gas nor the displaced fuel oil will be used to displace coal in the applicant's facilities.

[FR Doc. 79–38779 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

Federal Energy Regulatory Commission

[Docket No. TA80–1–1 (PGA80–1, IPR80–1, & DCA80–1)]

Alabama-Tennessee Natural Gas Co.; Proposed GHA Rate Adjustment

December 11, 1979.

Take notice that on November 30, 1979, Alabama-Tennessee Natural Gas Company (Alabama-Tennessee), P.O. Box 918, Florence, Alabama 35630, tendered for filing as part of its FPC Gas Tariff, Third Revised Volume No. 1, the following tariff sheets:

Substitute Thirty-First Revised Sheet No. 3–A
Original Sheet No. 3–B

These tariff sheets are proposed to become effective as of January 1, 1980.

Alabama-Tennessee states that the purpose of this tariff filing is to adjust its rates to conform to the proposed changes in the rates of Tennessee Gas Pipeline, a Division of Tenneco Inc., filed today in Docket Nos. RP73–114, *et al.* Alabama-Tennessee states that the rate changes have been made in conformity with the PGA and related provisions of its tariff.

The tariff sheets provide for the following rates:

Rate schedule	Rate after current adjustment
G–1:	
Demand	$2.17
Commodity	214.32
SG–1: Commodity	230.15
I–1: Commodity	221.45

Original Sheet No. 3–B also shows the incremental pricing surcharges for various resale and direct sale customers.

Alabama-Tennessee states that copies of the filings have been mailed to all of its jurisdictional customers and affected State regulatory Commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38612 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. RE80–28]

Benton County Public Utility District No. 1; Application for Exemption

December 11, 1979.

Take notice that Benton County Public Utility District No. 1 (Benton County PUD), on November 6, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Subparts B, C, D, and E of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Benton County PUD states that it should not be required to file the specified data because "the gathering of such information will not be likely to carry out the purposes of PURPA. To require applicant to comply with PURPA reporting standards would not materially enhance the level or quality of cost information, but would greatly burden the applicant with revisions and implementations of new programs."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38613 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. RE80–27]

Central Lincoln People's Utility District; Application for Exemption

December 11, 1979.

Take notice that Central Lincoln People's Utility District (Central Lincoln PUD), on November 6, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Subparts B, C, D, and E of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Central Lincoln PUD states that it should not be required to file the specified data because "compliance is unlikely to carry out the purposes of PURPA to any greater degree than the applicant's present procedures which provide generally comparable information on cost of service on a timely basis which is readily available to everyone concerned."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application

be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38614 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. RE80–33]

City of Colorado Springs, Department of Public Utilities; Application for Exemption

December 11, 1979.

Take notice that the City of Colorado Springs, Department of Public Utilities (Colorado Springs), on November 6, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Sections 290.202(a), 290.205(a)(14), 290.302, 290.303(a)(d)(g)(h)(i), and 290.404(d) of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Colorado Springs states that it should not be required to file the specified data for the following reasons:

(1) Under Section 290.202(a), "The Department can not supply the data called for starting with the words 'Additionally, the estimated hourly average energy costs' and continuing through the remainder of this paragraph. The information is not now available."

(2) Under Sections 290.205(a)(14) and 290.302, "The Department can not supply the information, as such information is not now available."

(3) Under Section 290.303(a)(d)(g)(h)(i), "The Department has insufficient data base and accounting system to be able to determine these marginal costs in an accurate and supportable manner.

(4) Under Section 290.404(d), "The Department has some load research data available, however, our customers have not been identified by end uses and any best estimate that could be made by November 1, 1980 would be meaningless."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38616 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. ER80–122]

Consolidated Edison Co. of New York, Inc.; Filing

December 11, 1979.

The filing Company submits the following:

Take notice that on December 5, 1979, Consolidated Edison Company of New York, Inc. ("Con Edison") tendered for filing, copies of a transmission agreement (the "Agreement") between Con Edison and the Power Authority of the State of New York ("PASNY") and of a supplement thereto (the "Supplement").

The Agreement, dated June 16, 1976, provides for the transmission of interruptible power and energy by Con Edison from PASNY to Long Island municipalities that are customers of PASNY: Villages of Freeport, Greenport and Rockville Centre. The Supplement dated June 14, 1977 extends the term of the Agreement.

A copy of the filing has been served upon PASNY.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 31, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38617 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. RE80–22]

Commonwealth Edison Co.; Application for Exemption

(December 11, 1979.

Take notice that Commonwealth Edison Company (Commonwealth Edison), on November 1, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Sections 290.403(a)(1), 290.403(a)(4), 290.404(d), 290.404(g)(5), and 290.406(a)(3) of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Commonwealth Edison states that it should not be required to file the specified data for the following reasons:

(1) Under Section 290.403(a)(1), it such loads have no cost consequences the utility fails to see that making estimates of them serves any purpose of PURPA, and the utility believes that it should not be required to make them in view of the substantial manual analytical effort that would be required.

(2) Under Section 290.403(a)(4), the utility believes such a requirement to be unreasonable in view of the limited potential usefulness of such typical day data. The utility believes the effort required to estimate typical day class hourly loads, as apparently defined, cannot be justified.

(3) Under Section 290.404(d), the classes are not well defined and the Company is not sure what constitutes a "commercial office building". Any attempt at classification of the Company's nearly quarter million commercial and industrial customers to pick out those operating commercial office buildings would be a massive undertaking, particularly in view of an uncertain definition as to who belongs in the class. The Company does not believe that an end use class consisting of customers operating commercial office buildings would provide any useful information for rate design, and thus would fail to meet any of the objectives of PURPA.

(4) Under Section 290.404(g)(5), the Company proposes that it be required to

make such an estimate of accuracy only for customer groups for which it has statistical basis for making the estimate.

(5) Under Section 290.406(a)(3), the Company is not able to report the change in number of customers by voltage level because such information is not available from its records.

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38618 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-12 (PGA80-1)]

Distrigas Corp. and Distrigas of Massachusetts Corp.; Rate Change Pursuant to Purchased Gas Cost Adjustment Provision

December 11, 1979.

Take notice that Distrigas Corporation (Distrigas) and Distrigas of Massachusetts Corporation (DOMAC) on November 30, 1979, tendered for filing Fourth Revised Sheet No. 1 and Fourth Revised Sheet No. 3A to their respective FERC Gas Tariffs.

These sheets are being filed pursuant to Distrigas' and DOMAC's purchased LNG Cost Adjustment provision set forth in their respective tariffs. The Distrigas rate change is being filed to reflect in its sales rate to DOMAC a redetermination (increase) of the price paid for the purchase of LNG from its supplier SONATRACH in accordance with the Distrigas-SONATRACH Agreement for Sale and Purchase of Liquefied Natural Gas and the amortization over the six-month period, January 1, 1980 through June 30, 1980, of the balance in the unrecovered purchased LNG cost account.

The DOMAC rate change is being filed to reflect the Distrigas rate change in DOMAC's rates for resale to its distribution customer companies and the amortization over the six-month period, January 1, 1980 through June 30, 1980, of the balance in DOMAC's unrecovered purchased LNG cost account.

Distrigas and DOMAC request that the proposed tariff sheets become effective January 1, 1980, to coincide with the change in LNG costs from SONATRACH.

A copy of this filing is being served on all affected parties and interested State commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38619 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RP80-57]

High Island Offshore System (HIOS); Tariff Filing

December 11, 1979.

Take notice that on November 30, 1979, the High Island Offshore System (HIOS) filed a proposed change in its tariff, Original Volume No. 1, pertaining to a decrease in the charge applicable to separation facilities and a corresponding and offsetting increase in the charge for transportation of gas. HIOS proposes an effective date of January 1, 1979. HIOS states that the current charges applicable to the separation function were established on the basis of a limited review of the costs associated therewith in late 1978, in order to support rates to be effective January 1, 1979. HIOS further states that, as indicated in a filing made August 21, 1979 in docket Nos. CP75-104, et al., it has requested the operators of the facilities to conduct a more thorough review of the methodology of allocating costs to the separation function. The studies made, together with an explanation of the manner in which costs have been allocated, are set forth in Appendices to the above referenced filing.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before January 2, 1980. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38620 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2952]

City of Idaho Falls; Application for Preliminary Permit

December 11, 1979.

Take notice that the City of Idaho Falls filed on August 21, 1979, and supplemented October 30, 1979, an application for preliminary permit [pursuant to the Federal Power Act, 16 U.S.C., § 791(a)—825(r)] for a proposed water power project to be known as the Gem State Dam and Power Plant Project, FERC No. 2952, on the Snake River, in the counties of Bingham and Bonneville, Idaho. The proposed project would affect lands of the United States under the jurisdiction of the U.S. Bureau of Land Management (BLM).

Correspondence with the Applicant should be directed to: Mr. G. S. Harrison, Manager, Electric Light Division, P.O. Box 220, Idaho Falls, Idaho 83401, and Mr. E. R. Mooney, CH2M Hill, 1600 S.W. Western Blvd., P.O. Box 428, Corvallis, Oregon 97330.

Purpose of Project.—The power and energy developed by the project would be utilized locally in Idaho Falls to meet the increasing loads of the City's residential, farm, commercial, industrial, and municipal customers. At present, Idaho Falls provides power to about 16,000 customers located primarily within the city limits.

Proposed Scope and Cost of Studies Under Permit.—Applicant seeks issuance of a preliminary permit for a period of 36 months, during which time it would perform geotechnical, engineering, economic, and environmental studies, make a feasibility study, prepare preliminary plans, and prepare a FERC license application. The estimated cost of the work to be performed under the preliminary permit is $485,000.

Project Description.—The proposed Gem State Dam and Power Plant Project would consist of: (1) the rehabilitation of an existing timber-crib dam; (2) the rehabilitation of an existing powerhouse canal; and (3) the construction of a new powerhouse. The project would be operated on a run-of-the-river basis. The dam would divert water to the powerhouse canal which is 100 feet wide by 4,000 feet long. The powerhouse would be located at the end of the canal and would contain a turbine-generator with a capacity of 10 to 12 megawatts. The estimated average annual energy generation is 79 million kWh.

Purpose of Preliminary Permit.—A preliminary permit does not authorize construction. A permit, if issued, gives the Permittee, during the term of the permit, the right of priority of application for license while the Permittee undertakes the necessary studies and examinations to determine the engineering, economic, and environmental feasibility of the proposed project, the market for the power, and all other necessary information for inclusion in an application for a license. In this instance, Applicant seeks a 36-month permit.

Agency Comments.—Federal, State, and local agencies that receive this notice through direct mailing from the Commission are invited to submit comments on the described application for preliminary permit. (A copy of the application may be obtained directly from the Applicant.) Comments should be confined to substantive issues relevant to the issuance of a permit and consistent with the purpose of a permit as described in this notice. No other formal requests for comments will be made. If any agency does not file comments within the time set below, it will be presumed to have no comments.

Comments, Protests, or Petitions to Intervene.—Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR, § 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest or comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before February 11, 1980. The Commission's address is: 825 N. Capitol Street, N.E., Washington, D.C. 20426. The application is on file with the Commission and is available for public inspection.

Competing Applications.—Anyone desiring to file a competing application must submit to the Commission, on or before February 11, 1980, either the competing application itself or a notice of intent to file a competing application. Submission of a timely notice of intent allows an interested person to file the competing application no later than April 11, 1980. A notice of intent must conform with the requirements of 18 CFR 4.33 (b) and (c), (as amended, 44 FR 61328, October 25, 1979). A competing application must conform with the requirements of 18 CFR, 4.33 (a) and (d), (as amended, 44 FR 61328, October 25, 1979).

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38615 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-53, (PGA80-1, IPR80-1, and GRI80-1)]

Kansas-Nebraska Natural Gas Co., Inc.; Proposed Changes in FERC Gas Tariff

December 11, 1979.

Take notice that Kansas-Nebraska Natural Gas Company, Inc. (Kansas-Nebraska) on November 30, 1979 tendered for filing proposed changes in its FERC Gas Tariff, Third Revised Volume No. 1. The proposed changes will adjust its rates charged its jurisdictional customers pursuant to the Purchased Gas Cost Adjustment provision (Section 19), its Incremental Pricing Surcharges provision (Section 20) and its Gas Research Institute Charge Adjustment provision (Section 21) of the General Terms and Conditions of its FERC Gas Tariff, Third Revised Volume No. 1. The proposed changes would increase the commodity rate under each of Kansas-Nebraska's jurisdictional schedules by $0.0820 per MCF.

This filing is made to enable Kansas-Nebraska to reflect in its rates the increases in its purchased gas costs adjusted for the effects of incremental pricing and the GRI funding unit approved by the Commission in Docket No. RP79-75 of 4.8 mills. This filing is proposed to become effective January 1, 1980.

Copies of the filing were served upon the company's jurisdictional customers, interested public bodies and all direct and indirect customers which will be subject to the incremental pricing provisions.

Any person desiring to be heard or make any protest with reference to this filing should, on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) under the regulations of the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38621 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-49 (PGA80-1A)]

Montana-Dakota Utilities Co.; Tariff Filing

December 11, 1979.

Take notice that on November 30, 1979, Montana-Dakota Utilities Co. ("MDU"), 400 North Fourth Street, Bismarck, North Dakota 58501, submitted for filing the following revised tariff sheets to its FERC Gas Tariff

Original Volume No. 4

Substitute Twelfth Revised Sheet No. 3A

First Revised Volume No. 2

Substitute Fifth Revised Sheet No. 10

The proposed effective date is November 1, 1979.

On October 1, 1979, MDU submitted for filing Twelfth Revised Sheet No. 3A to FERC Gas Tariff, Original Volume No. 4 and Fifth Revised Sheet No. 10 to FERC Gas Tariff, Original Volume No. 2. In a Letter Order dated October 31, 1979 in this docket, the Commission accepted the sheets for filing conditioned on MDU's filing revised sheets within 30 days reflecting the elimination of certain

unauthorized costs from producer suppliers. The instant sheets are submitted pursuant to the Commission's Letter Order and reflect the elimination of such costs.

MDU's filing also contains, in compliance with the Commission's Letter Order, information showing the adjustments made to the original tariffs. It also sets forth information concerning supply sources covered by certain maximum price ceiling levels under the NGPA as required by Appendix A to the order.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426 in accordance with the Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedures (18 C.F.R. 1.8 or 1.10). All such petitions or protests should be filed on or before *December 26, 1979.* Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene. Copies of the filing are on file with the Commission and available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38822 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-55 (PGA80-2 and IPR80-1)]

Mountain Fuel Resources, Inc.; Change in Rates Pursuant to Purchased Gas Cost Adjustment Provision

December 11, 1979.

Take notice that on December 3, 1979, Mountain Fuel Resources, Inc. (Resources) tendered for filing a proposed change in rates applicable to service rendered under Rate Schedule No. 1 affected by and subject to Resources' *Purchase Gas Cost Adjustment Provision* contained in its FERC Gas Tariff, Original Volume No. 1. Such change is for the purpose of implementing Order No. 49 issued by the Commission on September 28, 1979 in Docket No. RM79-14. Order No. 49 implements the Incremental Pricing Provisions of Title II of the Natural Gas Policy Act of 1978 (NGPA).

Resources tendered Tenth Revised Sheet No. 7 setting forth a revised Statement of Rates and Substitute Original Sheet No. 7-A reflecting projected incremental surcharges pursuant to Order No. 49, as more fully explained in its filing.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38823 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. SA80-46]

North Penn Gas Co.; Application for Adjustment and Request for Interim Relief

December 11, 1979.

On December 3, 1979, North Penn Gas Company ("North Penn") filed with the Federal Energy Regulatory Commission an application for an adjustment under Section 502(c) of the Natural Gas Policy Act of 1978 ("NGPA"). North Penn seeks relief from Part 282—Incremental Pricing as set forth in Order 49 (RM79-14) and particularly Sections 282.601 and 282.602 of the Commission's Regulations under Title II of the NGPA. North Penn requests interim relief pending determination of the application.

Sections 282.601 and 282.602 require: (i) the filing of an Incremental Pricing Surcharge provision and a revised Purchased Gas Adjustment provision by November 1, 1979; (ii) the filing of tariff sheets on or before December 1, 1979 reflecting the projected Incremental Pricing Surcharges by month for each of the direct sale, non-exempt industrial boiler fuel facilities; and (iii) the monthly aggregate amount applicable to each sale-for-resale customer on the pipeline system. North Penn has no "non-exempt" industrial boiler fuel users on its system in Pennsylvania. Its sale-for-resale customer in New York, Corning Natural Gas Company, reports only four "non-exempt" industrial boiler fuel users and a maximum surcharge absorption capability of $5,700.

North Penn contends that the requirements of Part 282 as established in Order 49 and Sections 282.601 and 282.602 in particular would cause special hardship and result in an unfair distribution of burdens on North Penn, and consequently, North Penn requests an exemption from the requirements set forth in Part 282 as established by Order 49 and the filing requirements of § 282.601 and § 282.602.

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979.

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed on or before January 2, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38824 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RE80-21]

Orlando Utilities Commission; Application for Exemption

December 11, 1979.

Take notice that Orlando Utilities Commission (OUC), on November 1, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Sections 290.303(a), 290.303(b), 290.303(g), 290.303(h), 290.303(i), 290.404(d), 290.501, and 290.502 of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, OUC states that it should not be required to file the specified data for the following reasons:

(1) At the present time OUC does not have the tools (computer models) with which to determine hourly costs pursuant to Sections 290.303(a), 290.303(b), 290.303(g), 290.303(h), and 290.303(i). In addition, OUC has no means of determining contiguous hours of similar cost.

(2) OUC does not presently divide its customers into the categories described in Section 290.404(d).

(3) Although OUC expects to respond fully to the Commission's regulations, the utility will not be able to supply cost information for various voltage levels and costing periods for the first report pursuant to Sections 290.501 and 290.502.

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street NE., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38593 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RE80-25]

Pacific Gas and Electric Co.; Application for Exemption

December 11, 1979.

Take notice that Pacific Gas and Electric Company (PG&E), on November 1, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Sections 290.201(d)(2), 290.205, and 290.501(a) of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, PG&E states that it should not be required to file the specified data for the following reasons:

(1) Under Section 290.201(d)(2), exemption from reporting CWIP on non-major projects by function would have a negligible impact on the accuracy of the reporting. The omission of this level of detail would appear to in no way hamper the fulfillment of the goals set forth in PURPA.

(2) Under Section 290.205: "Since California regulators do not require this information and there is no generally accepted method for the use of costing periods for accounting costs, PG&E requests an exemption from reporting costing periods under Subpart 290.205"

(3) Under Section 290.501(a): "No state regulatory proceeding requires calculated accounting costs by costing periods, nor has a need for these data been demonstrated by any party in California. There seems to be no need to provide a new variation of accounting costs under PURPA."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38594 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-28 (PGA80-1, IPR80-1 & GRI80-1)]

Panhandle Eastern Pipe Line Co.; Change in Tariff

December 11, 1979.

Take notice that on November 30, 1979 Panhandle Eastern Pipe Line Company tendered for filing the following revised sheets to its FERC Gas Tariff, Original volume No. 1:

Thirty-Third Revised Sheet No. 3-A
Tenth Revised Sheet No. 3-B
First Revised Sheet No. 3-C.1
First Revised Sheet No. 3-C.2
First Revised Sheet No. 3-C.3

An effective date of January 1, 1980 is proposed.

Panhandle states that such filing reflects:

(1) A rate adjustment pursuant to Opinion No. 64 issued October 2, 1979 in Docket No. RP79-75. Ordering Paragraph (B) of that Opinion provides that jurisdictional members of Gas Research Institute (GRI), such as Panhandle, may file a general RD&D cost adjustment which will permit the collection of 4.8 mills per Mcf (4.7 mills when adjusted to Panhandle's pressure base) of Program Funding Services for payment to GRI.

(2) A rate adjustment pursuant to Section 282.602 of the Commission's Regulations for the period January 1, 1980 through February 29, 1980 reflecting (a) a "reduced PGA" rate as determined by Commission Regulations, and (b) projected incremental pricing surcharges for each direct sale non-exempt industrial boiler fuel facility and each sale-for-resale customer.

Panhandle states that copies of its filing have been served on all customers subject to the tariff sheets and applicable state regulatory agencies.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before Dec. 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38595 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RE80-32]

Public Utility District No. 1 of Grays Harbor County; Application for Exemption

December 11, 1979.

Take notice that Public Utility District No. 1 of Grays Harbor County (Grays Harbor), on November 1, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Subparts B, C, D, and E of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Grays Harbor states that it should not be required to file the specified data because "compliance is unlikely to carry out the purposes of PURPA Section 133 to any greater degree than the applicant's present procedure which provides generally comparable information on costs of service on a timely basis which is readily available to everyone concerned."

Copies of the application for exemption are on file with the Commission and are available for public

inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38598 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RE80-23]

Public Utility District No. 2 of Grant County; Application for Exemption

December 11, 1979.

Take notice that Public Utility District No. 2 of Grant County (PUD No. 2 of Grant Coutny), on November 1, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Subparts B, C, D, and E of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, PUD No. 2 of Grant County states that it should not be required to file the specified data because "compliance is unlikely to carry out the purposes of PURPA to any greater degree than applicant's present procedures which are in substantial compliance and will provide information on cost of service on a timely basis."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38597 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RE80-34]

Puget Sound Power & Light Co.; Application for Exemption

December 11, 1979.

Take notice that Puget Sound Power & Light Company (Puget Sound), on November 6, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Sections 290.404(d)(5)(6), 290.202(a), 290.303(a)(g)(h), 290.501(a), and 290.502(a) of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Puget Sound states that it should not be required to file the specified data for the following reasons:

(1) Under Section 290.404(d)(5)(6), "Any best estimate information submitted related to commercial office building consumption patterns or costs would be, of necessity, purely speculative and unusable for rate making or policy decisions. Therefore, such information would not be of assistance in carrying out the purposes of Section 133 of PURPA."

(2) Under Section 290.202(a), "Both the planning and operation of generation resources by Puget in the Pacific Northwest are unique when compared with the planning and operation of utilities in all other regions of the country. Because of this unique generation resource mix, it is virtually impossible to determine meaningful average hourly variable energy costs for any particular day."

(3) Under Section 290.303(a)(g)(h), "The required hourly information would not be likely to carry out the purposes of Section 133 because Puget's system is operated on an economic scheduling, rather than an economic dispatch basis to meet total system requirements, including non-firm sales for resale."

(4) Under Section 290.501(a), "It will * * * not be possible to complete a disaggregated cost-of-service analysis by *costing period* by November 1, 1980."

(5) Under Section 290.502(a), "It will * * * not be possible to complete a disaggregated cost-of-service analysis by *costing period* by November 1, 1980."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38596 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2101]

Sacramento Municipal Utility District; Application for Amendment of License

December 10, 1979.

Take notice that on August 13, 1979, Sacramento Municipal Utility District (Licensee) filed an application for amendment of its license for the existing Upper American River Project No. 2101, located on the Rubicon River and tributaries, Silver Creek and tributaries, and South Fork of the American River in El Dorado County, California. Correspondence concerning the application should be sent to Mr. William C. Walbridge, General Manager, and Mr. David S. Kaplan, General Counsel, Sacramento Municipal Utility District, P.O. Box 1583, Sacramento, California 95813.

The license for the Upper American River Project was issued on August 28, 1957, for a period of 50 years. The Commission has, since that time, issued several orders approving additional power facilities. The project, as it presently exists, consists of: three main dams and storage reservoirs; eight diversion dams and regulating reservoirs; 6 powerhouses with total installed capacity of 596,000 kW; and associated tunnels and penstocks.

Proposed Project Description—The Licensee now seeks authorization to construct: (1) a reinforced concrete powerhouse, to be located on the downstream face of Slab Creek Dam, containing one turbine generating unit with an installed capacity of 400 kW; and (2) approximately 200 feet of transmission line which would connect to an existing 12-kV transmission line. The existing outlet works for the Slab-Creek Dam would be modified for power development. The power plant and the 200-foot transmission line would be located the existing project boundary.

Estimated Cost—The licensee estimates the capital cost of the proposed project at $716,000.

Purpose of the Project—The plant would generate about 2.95 million kWhs annually and would be connected, through the Licensee's interconnected system, to the Northern California Power Grid System.

Recreation Facilities—The Licensee states, in the application, that the recreation facilities of the Upper American River Project have been fully developed under the original license and that the economics of the proposed power plant do not justify any new recreation facilities at this time.

Agency Comments—Federal, State, and local agencies that receive this notice through direct mailing from the Commission are requested to provide comments pursuant to the Federal Power Act, the Fish and Wildlife Coordination Act, the Endangered Species Act, the National Historic Preservation Act, the Historical and Archeological Preservation Act, the National Environmental Policy Act, Pub. L. No. 88-29, and other applicable statutes. No other formal requests for comments will be made.

Comments should be confined to substantive issues relevant to the issuance of an order amending project license. A copy of the application may be obtained directly from the applicant. If an agency does not file comments within the time set below, it will be presumed to have no comments.

Protests and Petitions to Intervene—Anyone desiring to be heard or make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 C.F.R. Section 1.8 or Section 1.10 (1979). In determining the appropriate action to take, the Commission will consider all protests filed, but a person who merely files a protest does not become a party to the proceeding. To become a party or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules.

Any protest, petition to intervene, or agency comments must be filed on or before *January 21, 1980.* The Commission's address is: 825 N. Capitol Street NE., Washington, D.C. 20426.

The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38599 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket Nos. CS71-286]

Richard S. Shannon, III and Robert S. Brown, Trustees Under Separate Trusts for Richard Stoll Shannon, III, et al.; (O. C. York and Robert S. Brown, Trustees Under Separate Trusts for Richard Stoll Shannon, III, et al.; Redesignation

December 11, 1979.

By letter of October 9, 1979, Mr. Lawrence P. Terrell, has advised the Commission that due to the recent death of O. C. York, a former trustee of the above-captioned trusts, and the subsequent appointment, effective August 3, 1979, of Richard S. Shannon, III as successor trustee, he is requesting that the certificate of public convenience and necessity issued by the Federal Energy Regulatory Commission on January 24, 1979 pursuant to Section 7(c) of the Natural Gas Act, be redesignated, as set out in the above caption, to reflect a change in one of the trustees of the above-captioned trusts from O. C. York to Richard S. Shannon, III and Robert S. Brown.

Accordingly, the small producer certificate of public convenience and necessity issued pursuant to Section 7(c) of the Natural Gas Act in Docket No. CS71-286 to O. C. York and Robert S. Brown, Trustees under separate trusts for Richard Stoll Shannon III, *et al.*, is redesignated as that of Richard S. Shannon, III and Robert S. Brown, Trustees under separate trusts for Richard Stoll Shannon, III, *et al.*

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38600 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2703]

Sierra Pacific Power Co.; Application for Surrender of License

December 11, 1979.

Take notice that on March 19, 1979, the Sierra Pacific Power Company (Applicant) filed an application for surrender of its minor-part license for the transmission line Project No. 2703. [1] The project is located in Esmeralda and Nye Counties, Nevada on lands of the United States in Toiyabe National Forest and on public lands. Correspondence regarding the application should be sent to: Mr. Dan Asikainen, Supervisor, Right of Way Acquisition, Sierra Pacific Power Company, P.O. Box 10100, Reno, Nevada 89510.

The facilities that are under license are: (1) a 55-kV, 67.65-mile-long transmission line extending from a point on the Nevada-California border (in T5S, R37E MDB&M) via Silver Peak and Alkali to Tonopah and from Alkali to Goldfield; (2) a 55-kV, 38.24-mile-long transmission line extending from the same point via Silver Peak and Millers to Tonopah; (3) a 55-kV, 38.24-mile-long transmission line extending from Millers to Manhattan; (4) an 11-kV, 13.01-mile-long transmission line extending from Manhattan to Round Mountain; (5) an 11-kV, 2.3-mile-long transmission line extending from a point near the Manhattan Substation to the Manhattan Gold Mine Company mine; (6) an 11-kV, 0.64-mile-long transmission line extending from Silver Peak Substation to Survey Station 33 + 81.4; and (7) the Silver Peak Substation.

The Applicant seeks to surrender its license because the transmission lines are distribution lines rather than primary lines of a hydroelectric project as defined in section 3(11) of the Federal Power Act, and are, therefore, not subject to the licensing authority of the Commission. The Applicant also plans to seek permits from the United States Forest Service and the Bureau of Land Management for continued occupancy of

[1] Project No. 2703 consists of that portion of the Project No. 1395 transmission line located in the State of Nevada and licensed by the Commission under its Order issued March 30, 1939. The Commission found that the transmission line under Project No. 1395 was a primary line in its Order issued October 1, 1963, approving a transfer of the license at the time of merger of California Electric Power Company and Southern California Edison Company. By Commission Order issued September 29, 1969, the existing licensed Project No. 1395 was limited to Southern California Edison Company for that portion of the transmission line in California, and a new license for Project No. 2703 was issued to Sierra Pacific Power Company for that portion of the transmission line in Nevada.

the Federal lands utilized by the facilities.

Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR § 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests filed, but a person who merely files a protest does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any protest or petition to intervene must be filed on or before January 21, 1980. The Commission's address is: 825 N. Capitol Street, N.E., Washington, D.C. 20426.

The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38601 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-10; PGA80-1 & IPR80-1)]

Tennessee Natural Gas Lines, Inc.; PGA Tariff Filing

December 11, 1979.

Take notice that, on November 30, 1979, Tennessee Natural Gas Lines, Inc. ("TNGL") tendered for filing a rate change, pursuant to the purchased gas cost adjustment ("PGA") provisions of its F.E.R.C. Gas Tariff, First Revised Volume No. 1 and pursuant to Section 282.602(a)(ii) of the Federal Energy Regulatory Commission's ("Commission") regulations under the Natural Gas Policy Act of 1978 ("NGPA"), consisting of the following tariff sheets:

Thirty-Second Revised Sheet No. PGA-1, and
Original Sheet No. PGA 1-A

TNGL states that the purposes of its filing are: to reflect in its rates the changed rates of its sole supplier, Tennessee Gas Pipeline Company, a Division of Tenneco, Inc. ("TGP"), which will become effective on January 1, 1980; and, to comply with Section 282.602(a)(ii) of the Commission's regulations under the NGPA.

TNGL requests an effective date of January 1, 1980.

TNGL states that copies of the filing were served upon its jurisdictional customer, the interested state regulatory commission, and its non-jurisdictional customer estimated to be billed for NGPA incremental pricing surcharges.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38602 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. RP80-56]

Tennessee Natural Gas Lines, Inc.; Tariff Filing and Application for Adjustment

December 11, 1979

Take notice that, on November 30, 1979, Tennessee Natural Gas Lines, Inc. ("TNGL") tendered for filing the following-listed sheets to its F.E.R.C. Gas Tariff, First Revised Volume No. 1:

Fourteenth Revised Sheet No. 4
Seventh Revised Sheet No. 4-A
Second Revised Sheet No. 4-B(1)
Second Revised Sheet No. 4-C
Original Sheet Nos. 24l-24L

TNGL states that the purpose of its filing is to make changes in its tariff to bring the same into conformity with the Commission's incremental pricing regulations under the Natural Gas Policy Act of 1978 ("NGPA"). TNGL states that § 282.601(c) of the Commission's regulations required it to make such filing by November 1, 1979 but that it was unable to do so. It requests an adjustment of such filing deadline pursuant to § 1.41 of the Commission's Rules of Practice and Procedure and further requests waiver of the notice provisions of the Commission's regulations so as to permit the tendered tariff sheets to become effective on December 1, 1979. It states that no person will be prejudiced by acceptance of its late filing since the same will not affect billings for natural gas service until after January 1, 1980.

Procedures applicable to TNGL's request for adjustment of the filing deadline are found in § 1.41 of the Commission's Rules of Practice and Procedure, Order No. 24 issued March 22, 1979. Any petition to intervene with respect to such request must be filed within on or before January 2, 1980.

Any person desiring to be heard or to make any protest with reference to said tariff filing, should, on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38603 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-18 (PGA80-1, IPR80-1 & GRI80-1)]

Texas Gas Transmission Corp.; Proposed Changes in FERC Gas Tariff

December 11, 1979.

Take notice that Texas Gas Transmission Corporation (Texas Gas) on November 30, 1979, tendered for filing proposed changes in Twenty-Seventh Revised Sheet No. 7 and Original Sheet No. 7-B to its FERC Gas Tariff, Third Revised Volume No. 1.

The revised tariff sheets are being filed to reflect implementation of the incremental pricing provisions of the Natural Gas Policy Act of 1978 as set forth in the Commission's Order No. 49, issued on September 28, 1979.

The proposed effective date of the above tariff sheets is January 1, 1980.

Copies of the filing were served upon the company's jurisdictional customers and interested state commissions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C., 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8 and 1.10). All such petitions or protests should be filed on or before *December 26, 1979.* Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38604 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-29; (PGA80-1 & IPR80-1)]

Transcontinental Gas Pipe Line Corp.; Tariff Filing

December 11, 1979.

Take notice that Transcontinental Gas Pipe Line Corporation (Transco) tendered for filing Sixteenth Revised Sheet No. 15 and Original Sheet No. 16 to Second Revised Volume No. 1 of Transco's FERC Gas Tariff. These tariff sheets, which are proposed to be effective January 1, 1980 are filed pursuant to Section 282.602 of the Commission's Regulations and the Purchased Gas Adjustment Clause and Incremental Pricing Surcharge Provisions contained in Section 22 of the General Terms and Conditions of Transco's FERC Gas Tariff, Second Revised Volume No. 1.

Transco states that the instant filing is made pursuant to the requirements of the Commission's Order No. 49 issued September 28, 1979 in Docket No. RM79-14. The purpose of such filing is to reflect estimated incremental pricing surcharges to be effective January 1, 1980, and to reflect the reduction in average cost of purchased gas. Pursuant to incremental pricing procedures, Transco has reduced its current purchased gas cost, which became effective September 1, 1979 under its PGA clause, by the projected Maximum Surcharge Absorption Capability (MSAC) on its system, which totals approximately $50,000 for the months of January and February, 1980, as detailed on Sheet No. 16. This reduction in the current average cost which is reflected on Sheet 15 amounts to 0.04¢ per dekatherm (dt) and is insufficient to trigger a change in rates under Transco's PGA clause.

The Company states that copies of the filing are being mailed to each of its jurisdictional customers and interested State Commissions.

Any persons desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceedings. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38605 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. TA80-1-30 (PGA80-1, IPR80-1 & GRI80-1)]

Trunkline Gas Co.; Change in Tariff

December 11, 1979.

Take notice that on November 30, 1979, Trunkline Gas Company (Trunkline) tendered for filing the following revised sheets to its FERC Gas Tariff, Original Volume No. 1:

Thirtieth Revised Sheet No. 3-A
First Revised Sheet No. 3-B

An effective date of January 1, 1980 is proposed.

Trunkline states that such filing reflects:

(1) A rate adjustment pursuant to Opinion No. 64 issued October 2, 1979 in Docket No. RP79-75. Ordering Paragraph (B) of that Opinion provides that jurisdictional members of Gas Research Institute (GRI), such as Trunkline, may file a general RD&D cost adjustment which will permit the collection of 4.8 mills per Mcf (4.7 mills when adjusted to Trunkline's pressure base) of Program Funding Services for payment to GRI.

(2) A rate adjustment pursuant to Section 282.602 of the Commission's Regulations for the period January 1, 1980 through February 29, 1980 reflecting a) a "reduced PGA" rate as determined by Commission Regulations, and b) projected incremental pricing surcharges for each direct sale non-exempt industrial boiler fuel facility and each sale-for-resale customer.

Trunkline states that copies of its filing have been served on all customers subject to the tariff sheets and applicable state regulatory agencies.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, NE., Washington, D.C. 20426, in accordance with §§ 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38606 Filed 12-17-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 1992]

Donald R. Townsend; Application for Short-Form License (Minor) for a Constructed Project

December 11, 1979.

Take notice that on August 23, 1979, Donald R. Townsend filed an application for license [pursuant to the Federal Power Act, 16 U.S.C. § 791(a)-825(r)] for an existing water power project known as the Fire Mountain Hydroelectric Project, FERC No. 1992. The project is located on Fern Springs Creek in Tehama County near the Town of Chester, California. The license for the project expired on December 31, 1962. The project has been subsequently operating under a U.S. Forest Service Special Use Permit. Correspondence with the Applicant should be directed to Donald R. Townsend, Fire Mountain Lodge, Mill Creek, California 96061.

Purpose of the Project

The project provides most of the power for several families and Fire Mountain Lodge, a recreational facility with a store, cabins, a trailer park, and a lodge.

Project Description

The constructed Fire Mountain Hydroelectric Project consists of: (1) a 3-foot-high rockfill dam diverting water into two 10-inch-diameter corrugated pipes approximately 2,000 feet long; (2) a 6-foot-high and 30-foot-long concrete, earth and rockfill diversion dam impounding water from a collection of springs; (3) an 18-inch-diameter pipe 1,527 feet in length; (4) a frame powerhouse containing a generating unit rated at 31.25 kW; and (5) a short transmission line to Fire Mountain Lodge. The project occupies approximately 0.94 acre of U.S. land within the Lassen National Forest.

Agency Comments

Federal, State, and local agencies that receive this notice through direct mailing

from the Commission are requested to provide comments pursuant to the Federal Power Act, the Fish and Wildlife Coordination Act, the Endangered Species Act, the National Historic Preservation Act, the Historical and Archaeological Preservation Act, the National Environmental Policy Act, Pub. L. No. 88–29, and other applicable statutes. No other formal requests for comments will be made.

Comments should be confined to substantive issues relevant to the issuance of a license. A copy of the application may be obtained directly from the applicant. If any agency does not file comments within the time set below, it will be presumed to have no comments.

Competing Applications

Anyone desiring to file a competing application must submit to the Commission, on or before February 11, 1980, either the competing application itself or a notice of intent to file a competing application. Submission of a timely notice of intent allows an interested person to file the competing application no later than June 11, 1980. A notice of intent must conform with the requirements of 18 CFR 4.33 (b) and (c), (as amended, 44 FR 61328, Oct. 25, 1979). A competing application must conform with the requirements of 18 CFR, 4.33 (a) and (d), (as amended, 44 FR 61328, Oct. 25, 1979).

Protests, and Petitions to Intervene

Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR § 1.8 or § 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determing the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest or comment does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comment, protest, or petition to intervene must be filed on or before February 11, 1980. The Commission's address is: 825 N. Capitol Street, N.E., Washington, D.C. 20426.

The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38607 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. TA80–1–11 (PGA80–1, IPR80–1 & GRI80–1)]

United Gas Pipe Line Co.; Filing

December 11, 1979.

Take notice that on November 30, 1979, United Gas Pipe Line Company (United) filed with the Federal Energy Regulatory Commission (Commission) the following revised tariff sheets as a part of its FERC Gas Tariff, Original Volume No. 2:

Tenth Revised Sheet No. 187
Fourth Revised Sheet No. 397
Fourth Revised Sheet No. 401
Fourth Revised Sheet No. 407
Fourth Revised Sheet No. 909
Fifth Revised Sheet No. 957
Third Revised Sheet No. 1156

These tariff sheets reflect in United's transportation rates to distributors and pipelines for resale the Gas Research Institute (GRI) adjustment charge approved by the Commission in Opinion No. 64, issued October 2, 1979 at Docket No. RP79–75. United requests that the tariff sheets listed above be accepted for filing and permitted to become effective January 1, 1980.

Copies of the revised tariff sheets and letter of transmittal are being mailed to the transportation customers affected by these tariff revisions.

Any person desiring to be heard or to protest said filing should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with Sections 1.8 and 1.10 of the Commission's Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 26, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this filing are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38608 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. GP79–76]

West Virginia Sec. 108 NGPA Determinations; Allegheny Land & Mineral Co.; Final Order on Well Category Determination

December 7, 1979.

On August 10, 1979, the Federal Energy Regulatory Commission issued a Notice of Preliminary Finding that determinations made by the State of West Virginia Department of Mines, Oil and Gas Division (West Virginia), that the subject wells [1] qualify for a maximum lawful price under section 108 of the Natural Gas Policy Act of 1978 (NGPA), 15 U.S.C. § 3301, *et seq.*, were not supported by substantial evidence in the records on which the determinations were based.

The preliminary finding reversed the West Virginia determinations of eligibility on the basis of section 108(b)(1) of the NGPA which provides, among other things, that in order for a well to qualify as a stripper well, the production of non-associated natural gas at such well's maximum efficient rate of flow may not exceed an average of 60 Mcf per day during a 9-day production period. Section 271.804(d)(2) of our interim regulations [2] provided that a well which has produced non-associated gas at an average rate of 60 Mcf per day or less during the 90-day period is presumed to have produced at its maximum efficient rate of flow it, during the 12-month period ending concurrently with the 90-day period, the well produced non-associated natural gas at an average rate of 60 Mcf per day or less. In this regard, the production records accompanying the notices of determinations show that the average daily production of natural gas from each of the subject wells during the 90-day period upon which each application is based did not exceed 60 Mcf per day. However, no current production capability test establishing a maximum efficient rate of flow was reported and production records for the 12-month period, ending on the last day of the 90-day qualifying period, show average production in excess of 60 Mcf of gas per day.

Subsequent to this preliminary reversal, West Virginia submitted to the Commission a copy of its August 22, 1979, letter addressed to the applicant, Allegheny Land & Mineral Co., wherein

[1] FERC control No. and well name: JD79–10995, A–603; JD79–11000, A–534; JD79–11020, A–533; JD79–11037, A–374; and JD79–11042, A–602.

[2] Section 271.804(d) of our interim regulations, still applicable here, has since been revised and incorporated into section 271.807 of our final regulations, pursuant to our Order No. 44 issued August 22, 1979, in Docket No. RM79–73.

West Virginia reversed its initial determinations on four [1] of the subject wells because production from such wells exceeded an average of 60 Mcf per day during the applicable 12-month period. With respect to the remaining well (Well A–603, JD79–10995), on September 17, 1979, West Virginia forwarded to the Commission additional production data supplied by the applicant which indicates that such well produced less than 60 Mcf per day during the 12-month period and now qualifies as a stripper well.

The Commission orders: Pursuant to section 275.202(e) of our regulations, the Commission orders:

(A) that West Virginia's determination, that Allegheny Land & Mineral Co.'s A–603 Well qualifies as a stripper well under section 108 of the NGPA, is affirmed.

(B) that West Virginia's initial determinations, that Allegheny Land & Mineral Co.'s four wells (A–534, A–533, A–374, A–602) qualify as stripper wells under section 108 of the NGPA, are reversed.

By the Commission.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38609 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. ER80–121]

West Texas Utilities Co.; Filing

December 11, 1979.

The filing Company submits the following:

Take notice that West Texas Utilities Company ("WTU") on December 5, 1979, tendered for filing a Service Agreement providing for the sale of electricity to the City of Baird, a municipal corporation of the State of Texas. Under the Service Agreement submitted for filing, WTU will provide all the power and energy required by the City for the operation of its electric distribution system. Power and energy will be provided through three separate points of delivery provided for in the contract, with a maximum contract load of 1,000 kilowatts per month and a minimum contract load of 500 kilowatts per month at each such point of delivery. The contract has an effective date of December 1, 1979. The revenue estimated to be derived from service under the revenue estimated to be derived from service under the contract for the 12 months ending November 30, 1980 is $285,831.21.

[1] FERC control No. and well name: JD79–11000, A–534; JD79–11020, A–533; JD79–11037, A–374; and JD79–11042, A–602.

WTU also states that a copy of the complete filing was served upon the City of Baird, Texas, and the Public Utility Commission of Texas, Austin, Texas.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, in accordance with paragraphs 1.8 and 1.10 of the Commissions Rules of Practice and Procedure (18 CFR 1.8, 1.10). All such petitions or protests should be filed on or before December 31, 1979. Protests will be considered by the Commission in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are on file with the Commission and are available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38610 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. RE80–31]

Western Area Power Administration; Application for Exemption

December 11, 1979.

Take notice that Western Area Power Administration (Western), on November 6, 1979, filed an application for exemption from certain requirements of Part 290 of the Commission's regulations (Order 48, 44 FR 58687). Exemption is sought from the requirement to file, on or before November 1, 1980, information on the costs of providing electric service as specified in Subparts B, C, D, E, and F of Part 290 of the Commission's regulations issued pursuant to Section 133 of PURPA.

In its application for exemption, Western states that it should not be required to file the specified data "because the gathering of the information by or for WAPA will not be likely to carry out the purposes of Section 133 of the Public Utility Regulatory Policies Act (PURPA)."

Copies of the application for exemption are on file with the Commission and are available for public inspection. The Commission's regulations require that said utility also apply to any State regulatory authority having jurisdiction over it to have the application published in any official State publication in which electric rate change applications are usually noticed, and that a summary of the application be published in newspapers of general circulation in the affected jurisdiction.

Any person desiring to present written views, arguments, or other comments on the application for exemption should file such information with the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426, on or before January 31, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38611 Filed 12–17–79; 8:45 am]

BILLING CODE 6450–01–M

ENVIRONMENTAL PROTECTION AGENCY

[FRL 1377–4]

Michigan Wisconsin Pipe Line Co., Austin Township, Mich.; Final Determination

In the matter of the applicability of Title I, Part C of the Clean Air Act (Act), as amended, 42 U.S.C. 7401 *et seq.*, and the Federal regulations promulgated thereunder at 40 CFR 52.21 (42 FR 26388, June 19, 1978) for Prevention of Significant Deterioration of Air Quality (PSD), to Michigan Wisconsin Pipe Line Company (MWPLC), Austin Township, Michigan.

On December 7, 1978, MWPLC submitted an application to the United States Environmental Protection Agency (U.S. EPA), Region V office, for an approval to construct an additional natural gas compressor as their Woolfolk station. The application was submitted pursuant to the regulations for PSD.

On January 3, 1979, MWPLC was notified that its application was complete and preliminary approval was granted.

On March 28, 1979, U.S. EPA published notice of its decision to grant a preliminary approval to MWPLC. No comments or request for a public hearing were received.

After review and analysis of all materials submitted by MWPLC, the Company was notified on October 3, 1979, that the U.S. EPA had determined that the proposed new construction in Austin Township, Michigan would be utilizing the best available control technology and that emissions from the facility will not adversely impact air quality, as required by Section 165 of the Act.

This approval to construct does not relieve MWPLC of the responsibility to comply with the control strategy and all local, State and Federal regulations which are part of the applicable State Implementation Plan, as well as all other

applicable Federal, State and local requirements.

This determination may now be considered final agency action which is locally applicable under Section 307(b)(1) of the Act and therefore, a petition for review may be filed in the U.S. Court of Appeals for the Seventh Circuit by any appropriate party. In accordance with Section 307(b)(1), petitions for review must be filed sixty days from the date of this notice.

For further information contact Eric Cohen, Chief, Compliance Section, Region V, U.S. EPA, 230 South Dearborn Street, Chicago, Illinois 60604, (312) 353–2090.

John McGuire,

Regional Administrator, Region V.

[EPA–5–A–80–2]

In the matter of Michigan Wisconsin Pipe Line Company, Austin Township, Michigan, Proceeding Pursuant to the Clean Air Act, as amended; Approval to Construct.

Authority

The approval to construct is issued pursuant to the Clean Air Act, as amended, 42 U.S.C. 7401 *et seq.*, (the Act), and the Federal regulations promulgated thereunder at 40 CFR 52.21 for the prevention of Significant Deterioration of Air Quality (PSD).

Findings

1. The Michigan Wisconsin Pipe Line Company (MWPLC) proposes to construct an additional natural gas compressor at their Woolfolk station in Austin Township, Michigan.

2. MWPLC proposes to use a Cooper Energy Services 4,000 horsepower natural gas fueled reciprocating internal combustion engine.

3. The proposed natural gas compressor station is subject to the requirements of 40 CFR 52.21 and the applicable sections of the Act. The proposed source is not subject to the Interpretative Ruling (44 FR 3274, January 16, 1979) due to the attainment designation of the construction site and source impact area.

4. MWPLC submitted a completed PSD application on December 7, 1978, the preliminary approval was issued on January 3, 1979. On March 28, 1979, notice was published in the *Tri-County Shopper's Guide* seeking written comments from the public and giving an opportunity for a public hearing. There were no comments received nor requests for a public hearing.

5. After review and analysis of all materials submitted by MWPLC, U.S. EPA has determined that emissions from the proposed construction and operation of the natural gas fueled reciprocating internal combustion engine will not violate the air quality increments applicable in the area nor will it violate the air quality increments applicable in any other area.

6. There are presently no established control techniques to minimize NO_x emissions from natural gas fueled reciprocating internal combustion engines. U.S. EPA issued a draft summary of recommended New Source Performance Standards (NSPS). The proposed standard will be published in the **Federal Register** in the near future. NSPS for internal combustion reciprocating engines will not be effective for approximately four years.

7. MWPLC shall use no more than one 4,000 HP Cooper Energy Services reciprocating internal combustion engine, as proposed.

8. The maximum allowable emission rate for the above-named engine shall be as follows:

NO_x—11.7 gm/HP hour
HC—0.31 gm/HP hour
CO—0.50 gm/HP hour

Conditions 7 and 8 represent emission limitations as required by Section 165 of the Act.

Approval

9. Approval to construct a natural gas compressor station is hereby granted to MWPLC subject to the conditions expressed herein and consistent with the materials and data included in the application filed by the Company. Any departure from the conditions of this approval or the terms expressed in MWPLC's application must receive the prior written authorization of U.S. EPA.

10. This approval to construct does not relieve MWPLC of the responsibility to comply with the control strategy and all local, State and Federal regulations which are part of the applicable State Implementation Plan, as well as all other applicable local, State and Federal requirements.

11. This approval is effective immediately. This approval to construct shall become invalid if construction or expansion is not commenced within 18 months after receipt of this approval or if construction is discontinued for a period 18 months or more. The Administrator may extend such time period upon a satisfactory showing that an extension is justified. Written notification shall be made to U.S. EPA five days after construction is commenced.

12. A copy of this approval has been forwarded for public inspection to the Big Rapids Community Library, 426 S. Michigan, Big Rapids, Michigan 49307.

13. In addition, the United States Court of Appeals for the D.C. Circuit has issued a ruling in the case of *Alabama Power Co.* vs. *Douglas M. Costle* (78–1006 and consolidated cases) which has significant impact on the EPA prevention of significant deterioration (PSD) program and approvals issued thereunder. Although the court has stayed its decision pending resolution of petitions for reconsideration, it is possible that the final decision will require modification of the PSD regulations and could affect approvals issued under the existing program. Examples of potential impact areas include the scope of best available control technology (BACT), source applicability, the amount of increment available (baseline definition), and the extent of preconstruction monitoring that a source may be required to perform. The applicant is hereby advised that this approval may be subject to reevaluation as a result of the final court decision and its ultimate effect.

Dated: October 3, 1979.

John McGuire,

Regional Administrator.

[FR Doc. 79–38676 Filed 12–17–79; 8:45 am]

BILLING CODE 6560–01–M

[OPP–00109A]

Pesticide Programs; Federal Insecticide, Fungicide, and Rodenticide Act Scientific Advisory Panel; Cancellation of Meeting

The two-day meeting of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA) Scientific Advisory Panel on the impact of regulatory actions under sections 6(b) and 25(a) on health and the environment prior to implementation scheduled for Wednesday, December 19, and Thursday, December 20, 1979, has been canceled because the Agency's position is not ready for review. Notice of this meeting was published in the **Federal Register** on December 3, 1979.

FOR FURTHER INFORMATION CONTACT:

Dr. H. Wade Fowler, Jr., Executive Secretary, FIFRA Scientific Advisory Panel, Office of Pesticide Programs (TS–766), EPA, Room 803, Crystal Mall, Building No. 2, 1921 Jefferson Davis Highway, Arlington, Va. 22202, Telephone: 703/557–7560.

(Section 25(d) of FIFRA, as amended in 1972, 1975, and 1978 (92 Stat. 819; 7 U.S.C. 136 and sec. 10(a)(2) of the Federal Advisory Committee Act (Pub. L. 92–463; 86 Stat. 770)

Dated: December 13, 1979.

Edwin L. Johnson,

Deputy Assistant Administrator for Pesticide Programs.

FR Doc. 79–38785 Filed 12–17–79; 8:45 am]

BILLING CODE 6560–01–M

FEDERAL COMMUNICATIONS COMMISSION

[Canadian List No. 391]

Canadian Standard Broadcast Stations; Notification List

List of new stations, proposed changes in existing stations, deletions, and corrections in assignments of Canadian standard broadcast stations modifying the assignments of Canadian broadcast stations contained in the Appendix to the Recommendations of the North American Regional Broadcasting Agreement Engineering Meeting January 30, 1941. May 8, 1979.

Call letters	Location	Power kW	Antenna	Schedule	Class	Antenna height (feet)	Ground system		Proposed date of commencement of operation
							No. of radials	Length (feet)	
(New)	Grande Anse, New Brunswick, N. 48°01'19", W. 65°14'52" (Delete).	5	ND–197	*730 kHz* D	II	404	120	605 Ave	
CFTJ	Cambridge, Ontario, N. 43°20'55", W. 80°14'45" (P.O. DA–2) (Unlimited operation on present day-time pattern).	1	*DA–1*	*960 kHz* U	III	.....	.....	.....	May 8, 1980.
(New)	Harbour Grance, Newfoundland; N. 47°40'43", W. 53°12'13".	1D/0.5N	ND–180	*970 kHz* U	III	170	120	426	May 8, 1980.
CKAL	Vernon, British Columbia, N. 50°17'20", W. 119°16'26" (Now in operation).	10D/1N	DA–N, ND–D–190	*1050 kHz* U	II	.....	.....	.....	
(New)	Grand Centre, Alberta, N. 54°24'45", W. 110°07'40".	.25	ND–184	*1340 kHz* U	IV	150	120	294	May 8, 1980.
CKAR	Oshawa, Ontario, N. 43°52'19", W. 78°45'54" (Change of call letters from CKLB).	10D/5N	DA–2	*1350 kHz* U	III	.....	.....	.....	
CJFP	Riviere du Loup, Quebec, N. 47°47'43", W. 69°35'27" (Call letters incorrectly indicated as CFJP in December 31, 1978 Recapitulative List of Assignments).	10D/5N	DA–N, ND–D–193	*1400 kHz* U	IV	.....	.....	.....	

Richard J. Shiben,

Chief, Broadcast Bureau,

Federal Communications Commission.

[FR Doc. 79–38700 Filed 12–17–79; 8:45 am]

BILLING CODE 6712–01–M

[Canadian List No. 392]

Canadian Standard Broadcast Stations; Notification List

List of new stations, proposed changes in existing stations modifying the assignments of Canadian broadcast stations, deletions, and corrections in assignments of Canadian broadcast stations contained in the Appendix to the Recommendations of the North American Regional Broadcasting Agreement Engineering Meeting January 30, 1941. November 23, 1979.

Call letters	Location	Power kW	Antenna	Schedule	Class	Antenna height (feet)	Ground system		Proposed date of commencement of operation
							No. of radials	Length (feet)	
CFTR	Toronto, Ontario, *N. 43°12'52" W. 79°36'20" D*, N. 43°34'48" W. 79°36'30" N, (P.O. 25 kW, N. 43°34'48", W. 79°38'30") (Change of day-time operation) (Reduced day-time Q=3.79 mV/m).	*50D/25N*	DA–2	*680kHz* U	II	.....	.....	.....	Nov. 23, 1980.

Richard J. Shiben,

Chief, Broadcast Bureau,

Federal Communications Commission.

[FR Doc. 79–38701 Filed 12–17–79; 8:45 am]

BILLING CODE 6712–01–M

[Canadian List No. 390]

Canadian Standard Broadcast Stations; Notification List

List of new stations, proposed changes in existing stations, deletions, and corrections in assignments of Canadian standard broadcast stations modifying the assignments of Canadian broadcast stations contained in the Appendix to the Recommendations of the North American Regional Broadcasting Agreement Engineering Meeting January 30, 1941.

October 5, 1979.

Call letters	Location	Power kW	Antenna	Schedule	Class	Antenna height (feet)	Ground system: No. of radials	Ground system: Length (feet)	Proposed date of commencement of operation
				680 kHz					
CJOB	Winnipeg, Manitoba, N. 49°39'14" W. 97°11'30", (PO 10 KWD/2.5 kWN, DA-N, ND-D-185, N. 49°46'47", W. 97°13'03") (Change of night-time directional radiation) (Reduced night-time Q=25 mV/m.	50	DA-2	U	II	.....	.....	.....	Oct. 5, 1980.

Richard J. Shiben,
Chief, Broadcast Bureau,
Federal Communications Commission.

[FR Doc. 79-38702 Filed 12-17-79; 8:45 am]
BILLING CODE 6712-01-M

[BC Docket No. 79-276, File No. BPH-10628 and BC Docket No. 79-277, File No. BPH-10896]

Phillips Radio, Inc., and Chickasaw Broadcasting Associates; Correction

Released: December 13, 1979.

In the matter of applications of Phillips Radio, Inc., Chickasaw, Alabama; Req. 98.3 MHz, Channel #252, 1.70 kW (H&V), 410 feet; C. Alvin Roberds, Jr., Ellen A. Bailey, Jay Dickie Roberds, and Stephen S. Riggs, d.b.a. Chickasaw Broadcasting Associates, Chickasaw, Alabama; Req. 98.3 MHz, Channel #252, 3.0 kW (H&V), 205 feet; For construction permits; See 44 FR 64562, November 7, 1979.

The Memorandum Opinion and Order released October 31, 1979 (Mimeo No. 22771) the name "Calvin Roberds, Jr." in the caption should be corrected to read "C. Alvin Roberds, Jr.".

Federal Communications Commission.
William J. Tricarico,
Secretary.

[FR Doc. 79-38703 Filed 12-17-79; 8:45 am]
BILLING CODE 6712-01-M

FEDERAL MARITIME COMMISSION

Agreements Filed

The Federal Maritime Commission hereby gives notice that the following agreements have been filed with the Commission for approval pursuant to section 15 of the Shipping Act, 1916, as amended (39 Stat. 733, 75 Stat. 763, 46 U.S.C. 814).

Interested parties may inspect and obtain a copy of each of the agreements and the justifications offered therefor at the Washington Office of the Federal Maritime Commission, 1100 L Street, N.W., Room 10218; or may inspect the agreements at the Field Offices located at New York, N.Y.; New Orleans, Louisiana; San Francisco, California; Chicago, Illinois; and San Juan, Puerto Rico. Interested parties may submit comments on each agreement, including requests for hearing, to the Secretary, Federal Maritime Commission, Washington, D.C. 20573, by January 7, 1980. Comments should include facts and arguments concerning the approval, modification, or disapproval of the proposed agreement. Comments shall discuss with particularity allegations that the agreement is unjustly discriminatory or unfair as between carriers, shippers, exporters, importers, or ports, or between exporters from the United States and their foreign competitors, or operates to the detriment of the commerce of the United States, or is contrary to the public interest, or is in violation of the Act.

A copy of any comments should also be forwarded to the party filing the agreements and the statement should indicate that this has been done.

Agreement No: T-3788-1.
Filing Party: W. H. Wittren, Manager, Waterfront Real Estate, Port of Seattle, P.O. Box 1209, Seattle, Washington 98111.
Summary: Agreement No. T-3788-1, between the Port of Seattle, (Port), and Japan Line; Kawasaki Kisen Kaisha, Ltd., Mitsui-O.S.K. Lines, Ltd., Nippon Yusan Kaisha, Ltd., Showa Line, Ltd., and Yamashita-Shinnihon Steamship Company, Ltd., (Lines), modifies the parties' basic agreement which provides for the Port's 20 month lease (with renewal options) to the Lines of certain premises at Terminal 37, Seattle, Washington to be used for the Lines' container freight station warehouse and operations incidental thereto. The modification provides for the Lines to lease the remaining 18,800 sq. ft. of transit shed area to a total of 98,800 sq. ft., with corresponding increase in the monthly rent.
Agreement No: T-3814-1.
Filing Party: H. H. Wittren Manager, Waterfront Real Estate, Port of Seattle, P.O. Box 1209, Seattle, Washington 98111.
Summary: Agreement No. T-3814-1, between the the Port of Seattle (Port) and Seacon Terminals Inc. (Seacon) modifies the parties' basic agreement which provides for the one year lease by the port to Seacon of 15 acres container terminal facilities at Pier 42 together with preferential use of port-owned cranes. The modification provides certain deletions and additions in the equipment provided for lessee's use at the leased premises and to revise the rental as a result of the change in equipment.
Agreement: No: T-3880.
Filing Party: Randall V. Adams, Administrative Assistant, Port of Palm Beach, P.O. Box 9935, Riviera Beach, Florida 33404.
Summary: Agreement No. T-3880, between the Port of Palm Beach, Florida (Port) and Birdsall, Inc. (Birdsall) is a consolidation of seven existing lease agreements between the Port and Birdsall, (i.e., Nos. T-2933, T-2938, T-3317, T-3374, T-3240, T-3284 and T-3608). The new lease combines these existing lease agreements and adds two new undeveloped land areas.
Agreement No: 9238-10.
Filing Party: Jeffrey F. Lawrence, Billig, Sher & Jones, P.C., Suite 300, 2033 K Street, N.W., Washington, D.C. 20006.
Summary: Agreement No. 9238-10 amends the Greece/United States Atlantic Rate Agreement for the purpose of extending the geographic scope of the agreement to include U.S. Atlantic and Gulf ports, thereby encompassing U.S. South Atlantic and Gulf ports from Brownsville, Texas to Portland, Maine.
Agreement No: 10272-1.
Filing Party: Stanley O. Sher, Esquire, Billig, Sher & Jones, P.C., 2033 K Street, N.W., Washington, D.C. 20006.
Summary: Agreement No. 10272-1 is a proposal by Barber-Blue Sea Line and East Asiatic Company Limited to extend indefinitely their sailing agreement that is scheduled to expire on March 10, 1980. The basic agreement permits the parties to coordinate their sailings in certain eastbound Far East/U.S. Pacific Coast and Canada trades, and to file a common tariff in any trade within the scope of the agreement where there is not a conference tariff to which the parties are members.
Agreement No.: 10380.
Filing Party: Russell T. Weil, Esquire, Kirlin, Campbell & Keating, 1150 Connecticut Avenue, N.W., Washington, D.C. 20036.
Summary: Agreement No. 10380 establishes a Joint Service Agreement between Navigazine San Paolo, doing business as Medafrica Line, and Nigeria America Shipping Line Limited in the trade between the Atlantic and Gulf ports of the United States, Canadian Atlantic and St. Lawrence ports not west of Montreal and ports in West Africa and will operate under the name of Medafrica-Nigeria America Shipping Line Limited Joint Service.

By Order of the Federal Maritime Commission.
Francis C. Hurney,
Secretary.

[FR Doc. 79-38582 Filed 12-17-79; 8:45 am]
BILLING CODE 6730-01-M

FEDERAL RESERVE SYSTEM

Bank of New Hampshire Corp.; Formation of Bank Holding Company

Bank of New Hampshire Corporation, Manchester, New Hampshire, has applied for the Board's approval under § 3(a)(1) of the Bank Holding Company Act (12 U.S.C. 1842(a)(1)) to become a bank holding company by acquiring 100 per cent (less directors' qualifying shares) of the voting shares of the successor by merger to Bank of New Hampshire, National Association, Manchester, New Hampshire. The factors that are considered in acting on the application are set forth in § 3(c) of the Act (12 U.S.C. 1842(c)).

The application may be inspected at the offices of the Board of Governors or at the Federal Reserve Bank of Boston. Any person wishing to comment on the application should submit views in writing to the Reserve Bank, to be received not later than January 10, 1980. Any comment on an application that requests a hearing must include a statement of why a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute and summarizing the evidence that would be presented at a hearing.

Board of Governors of the Federal Reserve System, December 11, 1979.
William N. McDonough,
Assistant Secretary of the Board.

FR Doc. 79-38642 Filed 12-17-79; 8:45 am]
BILLING CODE 6210-01-M

Bank Holding Companies; Proposed "De Novo" Nonbank Activities

The bank holding companies listed in this notice have applied, pursuant to section 4(c)(8) of the Bank Holding Company Act (12 U.S.C. § 1843(c)(8)) and § 225.4(b)(1) of the Board's Regulation Y (12 CFR § 225.4(b)(1)), for permission to engage *de novo* (or continue to engage in an activity earlier commenced *de novo*), directly or indirectly, solely in the activities indicated, which have been determined by the Board of Governors to be closely related to banking.

With respect to each application, interested persons may express their views on the question whether consummation of the proposal can "reasonably be expected to produce benefits to the public, such as greater convenience, increased competition, or gains in efficiency, that outweigh possible adverse effects, such as undue concentration of resources, decreased or unfair competition, conflicts of interest, or unsound banking practices." Any comment on an application that requests a hearing must include a statement of the reasons a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute, summarizing the evidence that would be presented at a hearing, and indicating how the party commenting would be aggrieved by approval of that proposal.

Each application may be inspected at the offices of the Board of Governors or at the Federal Reserve Bank indicated for that application. Comments and requests for hearings should identify clearly the specific application to which they relate, and should be submitted in writing and received by the appropriate Federal Reserve Bank not later than the date indicated for each notice.

A. *Federal Reserve Bank of Atlanta,* 104 Marietta Street, N.W., Atlanta, Georgia 30303:

Alabama Bancorporation, Birmingham, Alabama (financing, leasing and insurance activities; Alabama): to engage, through its subsidiary, Alabanc Financial Corporation, in making, acquiring and servicing for its own account or for the account of others, loans and other extensions of credit; leasing personal property and equipment, or acting as agent, broker, or advisor in leasing of such property, on accordance with the Board's Regulation Y; and acting as agent for the sale of credit life and accident and health insurance that is directly related to its extensions of credit. These activities would be conducted from an office in Florence, Alabama, serving Lauderdale, Colbert, Franklin and Lawrence Counties, Alabama. Comments on this application must be received by January 11, 1980.

B. *Federal Reserve Bank of San Francisco,* 400 Sansome Street, San Francisco, California 94120:

Philadelphia National Corporation, Philadephia, Pennsylvania (mortgage lending activities; California): to engage, through its subsidiary, Colonial Mortgage Service Company Associates, Inc., in the activity of originating residential mortgages. This activity will be conducted from an office in Oxnard, California, serving Ventura and Santa Barbara Counties, California. Comments on this application must be received by January 10, 1980.

C. *Other Federal Reserve Banks:* None.

Board of Governors of the Federal Reserve System, December 11, 1979.

William N. McDonough,

Assistant Secretary of the Board.

[FR Doc. 79-38643 Filed 12-17-79; 8:45 am]

BILLING CODE 6210-01-M

Manco, Inc.; Formation of Bank Holding Company

Manco, Inc., Mancos, Colorado, has applied for the Board's approval under section 3(a)(1) of the Bank Holding Company Act (12 U.S.C. 1842(a)(1)) to become a bank holding company by acquiring 80 per cent or more of the voting shares of Mancos State Bank, Mancos, Colorado. The factors that are considered in acting on the application are set forth in section 3(c) of the Act (12 U.S.C. 1842(c)).

The application may be inspected at the offices of the Board of Governors or at the Federal Reserve Bank of Kansas City. Any person wishing to comment on the application should submit views in writing to the Reserve Bank, to be received not later than January 14, 1980. Any comment on an application that requests a hearing must include a statement of why a written presentation would not suffice in lieu of a hearing, identifying specifically any questions of fact that are in dispute and summarizing the evidence that would be presented at a hearing.

Board of Governors of the Federal Reserve System, December 12, 1979.

William N. McDonough,

Assistant Secretary of the Board.

[FR Doc. 79-38699 Filed 12-17-79; 8:45 am]

BILLING CODE 6210-01-M

Violations of the 1980 Requirements of the Bank Holding Company Act; Policy Statement

AGENCY: Board of Governors of the Federal Reserve System.

ACTION: Statement of Policy.

SUMMARY: This Policy Statement outlines the penalties for violations of the 1980 divestiture requirements by companies that became bank holding companies as a result of the 1970 Amendments to the Bank Holding Company Act.

FOR FURTHER INFORMATION CONTACT: Bronwen Mason, Senior Attorney (202/452-3564), Legal Division, Board of Governors of the Federal Reserve System.

SUPPLEMENTARY INFORMATION: The Board has issued the following statement of policy:

Policy Statement Regarding Violations of the 1980 Requirements of the Bank Holding Company Act

Pursuant to the provisions of section 4(a)(2) of the Bank Holding Company Act ("BHCA"), bank holding companies that became subject to the BHCA in 1970, as a result of the 1970 amendments to the BHCA, generally may not retain nonbanking subsidiaries or activities beyond December 31, 1980. In statements dated October 13, 1977, and December 20, 1978, the Board advised bank holding companies to file on or before June 30, 1978, and September 30, 1979, respectively, plans of divestiture with respect to each subsidiary or activity that is subject to the divestiture requirements of section 4(a)(2) of the BHCA. At the same time, the Board urged bank holding companies wishing to retain any of such nonbanking subsidiaries or activities under the provisions of section 4(c)(8) of the BHCA to file applications for retention by these dates in order to allow sufficient time for Board action on applications well before December 31, 1980. While a substantial number of affected bank holding companies have responded to the Board's statements, the Board is concerned about those companies that have failed to respond or have only partially responded.

In its statements the Board stressed that it has no authority to extend the December 31, 1980, divestiture deadline in general, or in particular hardship situations. Thus, absent an approved application under section 4(c)(8) or some other exemption under section 4 of the BHCA, retention by a bank holding company of any nonbanking subsidiaries or activities beyond December 31, 1980, will be a violation of the BHCA. Moreover, the Board notes that Congress allowed a very liberal period of time for bank holding companies to comply with the provisions of section 4 of the Act. Accordingly, the Board believes that there has been ample time for affected companies to inform themselves of their responsibilities under section 4(a)(2) of the BHCA and take steps to meet those responsibilities in a timely and orderly manner.

The Board will regard a violation of section 4 of the BHCA resulting from failure to divest or obtain approval for retention prior to December 31, 1980, as an extremely serious matter. With respect to such violations, the Board intends to enforce the provisions of the BHCA through appropriate actions, including initiation of cease-and-desist proceedings under the Financial Institutions Supervisory Act, and assessment of civil money penalties or referral for criminal prosecution pursuant to section 8 of the BHCA, against the bank holding company as well as its officers and directors. Generally, the severity of a violation will not be mitigated because a bank holding company has an application for retention under section 4(c)(8) pending at the Board December 31, 1980, or has appealed the Board's action on an application.

Finally, the Board recognizes that efforts by most bank holding companies to comply with the provisions of section 4(a)(2) will necessitate some Board action. In its previous statements the Board has emphasized the need for prompt filing of all retention applications and requests concerning 1980 divestitures, in order to ensure timely Board action. While the Board intends to act as expeditiously as possible on such applications and requests, companies are also reminded to allow sufficient time for divestiture in the event of denial of retention applications. Moreover, the Board wishes to call attention to the fact that under the provisions of the Bank Holding Company Tax Act of 1976, a bank holding company would forfeit its tax benefits for *all* divestitures in the event of its failure to make one timely divestiture. (5 U.S.C. 1101(e)).

Board of Governors of the Federal Reserve System, effective December 12, 1979.

Theodore E. Allison,

Secretary of the Board.

[FR Doc. 79-38698 Filed 12-17-79; 8:45 am]

BILLING CODE 6210-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Food and Drug Administration

Merck Sharp & Dohme; Sulfastrep and Propak Sulfastrep Boluses; Withdrawal of Approval of NADA

AGENCY: Food and Drug Administration.

ACTION: Notice.

SUMMARY: The Director of the Bureau of Veterinary Medicine withdraws approval of a new animal drug application (NADA) providing for use of Sulfastrep and Propak Sulfastrep Boluses for the prevention of bacterial scours in newborn calves and bacterial diarrhea in pigs. The sponsore, Merck Sharp & Dohme Research Laboratories, requested the withdrawal of approval.

EFFECTIVE DATE: December 28, 1979.

FOR FURTHER INFORMATION CONTACT: Charles E. Haines, Bureau of Veterinary Medicine (HFV-138), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301-443-3410.

SUPPLEMENTARY INFORMATION: Merck Sharp & Dohme Research Laboratories, P.O. Box 2000, Rahway, NJ 07065, is the sponsor of NADA 65-070 which provides for use of Sulfastrep and Propak Sulfastrep Boluses for the prevention of bacteria scours in newborn calves and bacterial diarrhea in pigs. The product, originally approved January 4, 1957, contains streptomycin sulfate, sulfamethazine, phthalylsulfathiazole, and kaolin.

The product was the subject of a National Academy of Sciences/National Research Council (NAS/NRC) review [DESI 0120 NV] published in the **Federal Register** of June 16, 1970 (35 FR 9870). The Academy concluded, and the agency concurred, that these products are probably effective for prevention and treatment of bacterial intestinal infections in calves and pigs. The Academy stated that (1) each disease claim should be properly qualified as to causative pathogen or the claim dropped, (2) claims "for prevention of" or "to prevent" should be replaced with "as an aid in control of" or "to aid in the control of," (3) substantial evidence be presented to establish that each ingredient designated as active makes a contribution to the total claimed effect for the combination, and (4) the boluses disintegrate in the gastrointestinal tract to produce the desired therapeutic effect.

In addition, the **Federal Register** notice stated that the evaluation is concerned only with the drug's effectiveness and safety to the treated animal and does not take into account safety of food derived from treated animals. The sponsor was allowed 6 months to submit adequate documentation in support of the labeling, and to update the application with current information regarding drug manufacture, components and composition, and manufacturing methods, facilities, and controls.

These products were among several which were the subject of a notice of opportunity for hearing published in the **Federal Register** of September 16, 1976 (41 FR 39823). The notice stated that no interested persons had submitted substantial evidence based on adequate and well-controlled investigations to establish that the drug products will have the effect they are purported to have under the conditions of use prescribed in the labeling. In addition, the notice stated that § 510.450 (21 CFR 510.450) requires that adequate data be submitted to establish appropriate withdrawal periods for all sulfa-containing drugs subject to the provisions of this section.

Merck responded to the notice of opportunity for hearing by stating that it was doing the required efficacy studies, that it had submitted subacute toxicity studies as required by § 510.450 for phthalylsulfathiazole, and that it had authorization from its sulfamethazine supplier to use their safety information. The Director of the Bureau of Veterinary Medicine determined that Merck's response was an adequate basis for delaying withdrawal of approval of NADA 65-070. By letter of September 19, 1977, the Director required the firm to revise labeling of the products within 6 months to conform to the NAS/NRC notice, to submit updated manufacturing and control information, and to provide adequate efficacy information by April 8, 1978.

Subsequently, Merck advised FDA that it had decided to discontinue marketing these products and requested that approval of NADA 65-070 for Sulfastrep and Propak Sulfastrep Boluses be withdrawn because the product is no longer being manufactured or marketed.

Therefore, under the Federal Food, Drug, and Cosmetic Act (sec. 512(e), 82 Stat. 345-347 (21 U.S.C. 360b(e))), under authority delegated to the Commissioner of Food and Drugs (21 CFR 5.1) and redelegated to the Director of the Bureau of Veterinary Medicine (21 CFR 5.84), and in accordance with § 514.115 *Withdrawal of approval of applications* (21 CFR 514.115), notice is given that approval of NADA 65-070 and all supplements for Sulfastrep and Propak Sulfastrep Boluses is hereby withdrawn, effective December 28, 1979.

Dated: December 10, 1979.

Lester M. Crawford,

Director, Bureau of Veterinary Medicine.

[FR Doc. 79-38449 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

[Docket No. 78N-0370]

Proposed Model Food Salvage Ordinance; Availability

AGENCY: Food and Drug Administration.

ACTION: Notice.

SUMMARY: The Food and Drug Administration (FDA) announces the availability of a proposed Model Food Salvage Ordinance and invites public comment on it. The purpose of this ordinance is to provide the food salvage industry with appropriate standards and guidelines for food salvaging, and State and local governments with a comprehensive model law and recommended enforcement procedures for the regulation of the food salvage industries.

DATES: Comments by March 17, 1980

ADDRESS: Written comments to the Hearing Clerk (HFA-305), Food and Drug Administration, Rm. 4-65, 5600 Fishers Lane, Rockville, MD 20857.

FOR FURTHER INFORMATION CONTACT: Robert A. Tucker, Division of Federal-State Relations (HFO-320), Food and Drug Administration, Department of Health, Education, and Welfare, 5600 Fishers Lane, Rockville, MD 20857, 301-443-3360.

SUPPLEMENTARY INFORMATION: Salvage outlets offer to the public and to institutions food that may not have been properly reconditioned and/or is packaged in unlabeled, leaking, swollen, rusted, or badly dented containers. A May 20, 1975 General Accounting Office (GAO) Report to Congress estimated that there were more than 1,000 salvage outlets nationwide. Annual sales volumes for these outlets ranged from $5,000 to $1.5 million per outlet. About 75 percent of the salvage outlets are located in cities, and about 50 percent of those are in low-income areas.

GAO auditors visited 30 salvage outlets and 25 rest homes, children's homes, schools, and other institutions. Of the 30 food salvage outlets GAO visited, 23 were selling processed food products with absent, misleading, and/or incomplete labels. As a result, the institutions who feed persons on special diets are not getting the information needed to choose those products best suited to their specific needs or preferences. Furthermore, 26 of the outlets GAO visited had food for sale that was insect infested or in leaking, rusted, stained, swollen, or badly damaged containers.

According to the findings of the GAO report, about 90 percent of all processed food is initially transported interstate. Therefore, most foods that are salvaged have been involved in interstate commerce. In addition, many operators of salvage outlets buy salvaged food from interstate carriers, such as railroads, and from grocery warehouses, which generally fall under FDA regulatory control.

The Federal Food, Drug, and Cosmetic Act (21 U.S.C. 301 et seq.) and the Fair Packing and Labeling Act (15 U.S.C. 1451 et seq.) give FDA authority over food held for sale after shipment in interstate commerce. However, FDA

does not have the resources to regulate retail food establishments effectively. Furthermore, it has recognized the primary jurisdiction of State and local governments over retail establishments. The great majority of food salvage operations are retail establishments and are therefore being regulated by State and local authorities.

For many years, the Public Health Service has provided assistance to State and local health agencies in the establishment and maintenance of food protection programs within their jurisdictions. This assistance has included the distribution of model ordinances for food service establishments, the vending of food and beverages, and the retail food store industry. However, a model ordinance for the food salvage industry has not previously been issued.

Eighty percent of the States and 81 percent of the cities responding to a GAO questionnaire favored the promulgation and adoption of regulatory controls over salvage outlets. Also, 48 percent of the State and local health agencies responding said they would like food salvaging guidelines from FDA.

In a February 14, 1979 report to Congress, GAO reiterated its recommendations that the food salvage industry is in need of uniform regulatory control.

Based on the foregoing, the agency has decided that there is a need to provide State and local governments with uniform and comprehensive standards and guidelines to regulate food salvage outlets effectively. Therefore, FDA, in conjunction with the Association of Food and Drug Officials (AFDO), has developed guidelines for regulatory control of the food salvage industry. These guidelines, initially prepared by AFDO, will be in the form of a Model Food Salvage Ordinance designed for use primarily at the State and local level. FDA prefers this approach over a formal regulation because the agency does not have the resources to regulate the food salvage establishments effectively. In addition, because most of the salvage operations are retail, FDA believes that they can best be handled by the State and local food control agencies.

To provide an opportunity for comments, copies of the proposed model ordinance are being distributed to Federal, State, and local agencies.

Food salvage firms, in particular, and other persons interested in obtaining copies of the proposed ordinance for review and comment should write to the Division of Federal-State Relations (HFO-320), Food and Drug Administration, 5600 Fishers Lane, Rockville, MD 20857.

Written comments on the proposed ordinance should be sent on or before March 17, 1980 to the Hearing Clerk (HFA-305), Food and Drug Administration, Rm. 4-65, 5600 Fishers Lane, Rockville, MD 20857. Comments should be submitted in four copies, except that individuals may submit one copy. All comments should be identified with the Hearing Clerk docket number found in brackets in the heading of this document.

Dated: November 26, 1979.

Joseph P. Hile,

Associate Commissioner for Regulatory Affairs.

[FR Doc. 79-38631 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-03-M

Office of Human Development Services

Family Median Income by State; Eligibility for Social Services

Under the provision of §§ 2002(a)(5)(B), 2002(a)(6) (A) and (B), and 2002(a)(14)(A) of title XX of the Social Security Act, promulgation is made of the median income of a family of four for each State, the District of Columbia, and the States as a whole, applicable to the period October 1, 1980 through September 30, 1981. For those States whose 1981 fiscal year begins before or after October 1, 1980, this promulgation is also applicable. The purpose of the promulgation is for determining the extent of Federal financial participation (FFP) in State expenditures under title XX. The above listed sections impose certain limitations with respect to the availability of FFP based upon the relationship of the income of the family of a service recipient to the median income of a family of four in the State.

Estimates of the median income of families of four persons for each State and the District of Columbia were developed by the Bureau of the Census. In developing the median income scales, the Bureau of the Census used three sources of data:

(1) The March 1979 Current Population Survey, (2) The 1970 Census of Population, and (3) The per capita personal income estimates from the Bureau of Economic Analysis. The methodology for adjusting median income for families of different sizes is specified in 45 CFR 228.60.

The median income for a family of four, by State for fiscal year 1981 with calculation at the 80 percent, 90 percent, and 115 percent levels, is set forth below for use by States in establishing incoming ceilings and fee schedules under title XX of the Social Security Act:

Median Income for Families of Four

State	Median income*	80 pct of median income	90 pct of median income	115 pct of median income
Alabama	$18,352	$14,680	$16,517	$21,105
Alaska	27,572	22,058	24,815	31,708
Arizona	20,863	16,690	18,777	23,992
Arkansas	15,669	12,535	14,102	18,019
California	22,294	17,835	20,065	25,638
Colorado	21,778	17,422	19,600	25,045
Connecticut	22,278	17,822	20,050	25,620
Delaware	21,194	16,955	19,075	24,373
District of Columbia	16,769	13,415	15,092	19,284
Florida	18,118	14,494	16,306	20,836
Georgia	19,676	15,741	17,708	22,627
Hawaii	22,475	17,980	20,228	25,846
Idaho	19,042	15,234	17,138	21,898
Illinois	22,061	17,665	19,873	25,393
Indiana	20,556	16,445	18,500	23,639
Iowa	20,800	16,640	18,720	23,920
Kansas	19,792	15,834	17,813	22,760
Kentucky	17,924	14,339	16,132	20,613
Louisiana	18,891	14,953	16,822	21,495
Maine	16,885	13,508	15,197	19,418
Maryland	23,461	18,769	21,115	26,980
Massachusetts	20,512	16,410	18,461	23,589
Michigan	22,063	17,650	19,857	25,372
Minnesota	21,455	17,164	19,310	24,673
Mississippi	16,586	13,269	14,927	19,074
Missouri	19,266	15,414	17,341	22,158
Montana	17,878	14,302	16,090	20,560
Nebraska	19,319	15,455	17,387	22,217
Nevada	21,106	16,885	18,995	24,272
New Hampshire	20,247	16,198	18,222	23,284
New Jersey	22,189	17,751	19,970	25,517
New Mexico	18,738	14,990	16,864	21,549
New York	19,660	15,728	17,694	22,609
North Carolina	18,058	14,446	16,252	20,767
North Dakota	18,789	15,031	16,910	21,607
Ohio	20,950	16,760	18,855	24,093
Oklahoma	19,064	15,251	17,158	21,924
Oregon	21,534	17,227	19,381	24,764
Pennsylvania	19,753	15,802	17,778	22,716
Rhode Island	21,093	16,874	18,984	24,257
South Carolina	18,468	14,774	16,621	21,238
South Dakota	16,897	13,518	15,207	19,432
Tennessee	17,916	14,333	16,124	20,603
Texas	20,455	16,364	18,410	23,523
Utah	20,202	16,162	18,182	23,232
Vermont	18,458	14,766	16,612	21,227
Virginia	20,729	16,583	18,656	23,838
Washington	21,494	17,195	19,345	24,718
West Virginia	18,493	14,794	16,644	21,267
Wisconsin	21,034	16,827	18,931	24,189
Wyoming	22,452	17,962	20,207	25,820

*Median income based on 1978 data.

Note.—The median income for a family of four in the 50 States and the District of Columbia, applicable to the period October 1, 1980 to September 30, 1981 is $20,426.

(Catalog of Federal Domestic Assistance Program No. 13.771 Social Services for Low Income and Public Assistance Recipients.)

Dated: December 10, 1979.

Ernest L. Osborne,

Commissioner, Administration for Public Services.

Approved: December 13, 1979.

Manuel Corballo,

Acting Assistant Secretary for Human Development Services.

[FR Doc. 79-38756 Filed 12-17-79; 8:45 am]

BILLING CODE 4110-92-M

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

[N-3912]

Nevada; Classification Revoked and Lands Open to Entry

Correction

In FR Doc. 79-34740, published on 65195. on Friday, November 9, 1979, in the first column, in the last line "Secs. 12, 14, 24, 25, 36." should be corrected to read "Secs. 12, 14, 24, 26, 36."

BILLING CODE 1505-01-M

Fish and Wildlife Service

Endangered Species Permit; Receipt of Application

Applicant: Dr. Russell E. Mumford, Department of Forestry and Natural Resources, Purdue University, West Lafayette, Indiana 47907.

The applicant requests a permit to capture and release Indiana bats (*Myotis sodalis*) in Indiana to obtain various scientific information.

Humane care and treatment during transport has been indicated by the applicant.

Documents and other information submitted with this application are available to the public during normal business hours in Room 601, 1000 N. Glebe Road, Arlington, Virginia, or by writing to the Director, U.S. Fish and Wildlife Service (WPO), Washington, D.C. 20240.

This application has been assigned file number PRT 2-4988. Interested persons may comment on this application within 30 days of the date of this publication by submitting written data, views, or arguments to the Director at the above address. Please refer to the file number when submitting comments.

Dated: December 7, 1979.

Donald G. Donahoo,

Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc. 79-38580 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-55-M

Endangered Species Permit; Amendment to Notice of Receipt of Application

This amends the "Receipt of Application" dated November 15, 1979 (FR Doc. 79-35154) for the Henry Doorly Zoo concerning Bactrian camels (*Camel bactrianus*). The Receipt of Application should read: The applicant requests a permit to import during the course of a commercial activity one Bactrian camel from the Calgary Zoo, Calgary, Alberta and one from the Metropolitan Toronto Zoo, Toronto, Ontario, Canada, and to purchase in interstate commerce one bactrian camel from the Minnesota Zoological Gardens, Apple Valley, Minnesota.

Humane care and treatment during transport has been indicated by the applicant.

Documents and other information submitted with this application are available to the public during normal business hours in Room 601, 1000 N. Glebe Road, Arlington, Virginia, or by writing to the Director, U.S. Fish and Wildlife Service (WPO), Washington, D.C. 20240.

This application has been assigned file number PRT 2-4882. Interested persons may comment on this application within 30 days of the date of this publication by submitting written data, views, or arguments to the Director at the above address. Please refer to the file number when submitting comments.

Dated: December 12, 1979.

Donald G. Donahoo,

Chief, Permit Branch, Federal Wildlife Permit Office, U.S. Fish and Wildlife Service.

[FR Doc. 79-38581 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-55-M

Marine Mammal Annual Report; Availability

AGENCY: U.S. Fish and Wildlife Service, Interior.

ACTION: Notice of availability of marine mammal annual report.

SUMMARY: The Director, U.S. Fish and Wildlife Service, on October 18 signed the annual report on the Service's administration of the marine mammals under its jurisdiction, as required by section 103(f) of the Marine Mammal Protection Act of 1972. The report covers the period April 1, 1978, to March 31, 1979, and was submitted to the Congress on December 6. By this notice, the Director informs the public that the report is available and that any interested individual may secure a single copy by requesting same in writing from the Service.

ADDRESS: Write for a copy to Director (OWA), U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240.

FOR FURTHER INFORMATION CONTACT: Mr. Rupert R. Bonner, Marine Mammal Coordinator, Office of Wildlife Assistance, U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240, 202-632-2202.

SUPPLEMENTARY INFORMATION: The U.S. Fish and Wildlife Service is responsible for eight species of marine mammals under the jurisdiction of the Department of the Interior, as assigned by the Marine Mammal Protection Act of 1972 (MMPA). These species are polar bears, sea and marine otters, walruses, manatees (three species), and dugongs. The report reviews the Service's marine mammal-related activities during the report period and summarizes the following status information for each species: Distribution and migration, abundance and trends, general biology, ecological problems, allocation problems, regulations, and current research. Administrative actions discussed include the amendment of the MMPA to reauthorize funding of the Act for fiscal years 1979, 1980, and 1981, financial grants to States to help them develop and implement programs for protecting and managing marine mammals in their waters, updated service marine mammal regulations, the waiver of the moratorium for nine species of marine mammals, the walrus waiver, marine mammal care and maintenance standards, endangered marine mammal species (specifically the West Indian and West African manatees and the sea otters in California), legal actions against the Department of the Interior, law enforcement activities, scientific research and public display permits, certificates of registration, research, Outer Continental Shelf environmental studies, ecological characterizations of U.S. coastal areas, and international activities.

This notice was prepared by Jackson E. Lewis, Marine Biologist, Office of Wildlife Assistance, 202-632-2202.

Dated: December 11, 1979.

Lynn A. Greenwalt,

Director, Fish and Wildlife Service.

[FR Doc. 79-38587 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-55-M

National Park Service

Badlands National Park; Availability of Draft Development Concept Plan and Addendum to the Environmental Review for Cedar Pass

The Draft Development Concept Plan and an Addendum to the Environmental Review for Cedar Pass, Badlands National Park has been prepared and is ready to be distributed for review and comment.

The document identifies the overall concept for development at Cedar Pass and provides a conceptual framework for the design of the visitor contact and concession complex. The document also identifies the program for development, preliminary cost estimate, and an

addendum to the environmental review relative to adjustments in the size and consolidation of visitor facilities and functions.

The review indicates that the amendments and additions are not major with a potential for causing significant environmental impact or controversy, therefore, an environmental impact statement will not be required.

Copies of the document may be secured by contacting either of the following: Superintendent, Badlands National Park, P.O. Box 6, Interior, South Dakota 57750 or Regional Director, Rocky Mountain Region, National Park Service, 655 Parfet Street, P.O. Box 25287, Denver, Colorado 80225.

Any comments should be submitted to the Superintendent at the above address on or before January 16, 1979.

Dated: December 6, 1979.

James B. Thompson,

Acting Regional Director, Rocky Mountain Region.

[FR Doc. 79-38755 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-70-M

Bryce Canyon National Park; Availability of the Environmental Review of the Assessment of Alternatives for the General Management Plan

An environmental review of the assessment of alternatives for the Bryce Canyon National Park General Management Plan has been prepared and is ready for distribution.

The review identifies the alternatives selected from the assessment of alternatives for the general management plan, the rationale for the selections, potential environmental impacts, and mitigating measures involved in implementing the preferred alternative. Also presented are the other alternatives which were considered in the initial assessment of alternatives as well as a summary of public involvement to date.

The review identifies the proposed action as being minor with no potential for causing significant environmental impact or controversy. Consequently, an environmental impact statement will not be required. Copies of the document may be obtained by contacting either of the following: Superintendent, Bryce Canyon National Park, Bryce Canyon, Utah 84717; Assistant to the Regional Director (Utah), National Park Service, 125 S. State Street, Room 318, Salt Lake City, Utah 84138; or Regional Director, Rocky Mountain Region, National Park Service, 655 Parfet Street, P.O. Box 25287, Denver, Colorado 80225.

Any comments should be submitted to the Superintendent at the above address on or before January 16, 1980.

Dated: December 6, 1979.

James B. Thompson,

Acting Regional Director, Rocky Mountain Region.

[FR Doc. 79-38753 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-70-M

Lincoln Boyhood National Memorial, Indiana; Availability of Draft Environmental Statement for the Proposed Master Plan

Notice is hereby given that the U.S. Department of the Interior, National Park Service, has prepared a draft master plan to guide the development, management and operation of Lincoln Boyhood National Memorial. It is further noted that a draft environmental impact statement has been prepared pursuant to Section 102(2)(C) of the National Environmental Policy Act of 1969 (83 Stat. 852, 42 U.S.C. 4332) to address the probable effects of the proposed plan and of the reasonable alternatives.

The draft master plan and the environmental impact statement will be available for public review and comment for a period of not less than sixty (60) days from the date of this notice. Written comments are invited and should be sent to the Superintendent, Lincoln Boyhood National Memorial, Lincoln City, Indiana 47552, telephone 812/937-4757.

Notice is also given that the draft master plan and the environmental impact statement will be the subjects of public meetings to be conducted in the visitor center of the Memorial on January 16, 1980, at 2 p.m. and at 7 p.m.

Copies of the draft master plan and environmental impact statement are available from, or for inspection at the Office of the Superintendent at the above address and the Office of the Regional Director, Midwest Region, National Park Service, 1709 Jackson Street, Omaha, Nebraska 68102, telephone 402/221/3431.

Dated: December 5, 1979.

Randall R. Pope,

Regional Director.

[FR Doc. 79-38754 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-70-M

National Capital Memorial Advisory Committee; Meeting

Notice is hereby given in accordance with the Federal Advisory Committee Act that a meeting of the National Capital Memorial Advisory Committee will be held at 1:30 p.m. on Friday, January 4, 1980, in Room 234 at the National Capital Region Headquarters, 1100 Ohio Drive, SW., Washington, D.C. 20242.

The Committee was established for the purpose of preparing and recommending to the Secretary broad criteria, guidelines, and policies for memorializing persons and events on Federal lands in the National Capital Region (as defined in the National Capital Planning Act of 1952, as amended) through the media of monuments, memorials, and statues. It is to examine each memorial proposal for adequacy and appropriateness, make recommendations to the Secretary with respect to site location on Federal land in the National Capital Region and to serve as an information focal point for those seeking to erect memorials on Federal land in the National Capital Region.

The members of the Committee are as follows:

Mr. William J. Whalen, Chairman, Director, National Park Service, Washington, D.C.
Mr. George M. White, Architect of the Capitol, Washington, D.C.
General Mark W. Clark, Chairman, American Battle Monuments Commission, Washington, D.C.
Mr. J. Carter Brown, Chairman, Fine Arts Commission, Washington, D.C.
Mr. David Childs, Chairman, National Capital Planning Commission, Washington, D.C.
Honorable Marion S. Barry, Mayor of the District of Columbia, Washington, D.C.
Mr. A. R. Marschall, Commissioner, Public Buildings Service, Washington, D.C.

The purpose of this meeting is to discuss the appropriateness of several proposals and review site designs for memorials to be erected in the Nation's Capital. Among the proposals to be considered are:

1. Design for memorial to 56 signers of the Declaration of Independence to be located in Constitution Gardens.

2. S.J. Res. 119 and H.J. Res. 431 to authorize the Vietnam Memorial Fund, Incorporated to erect a memorial in Constitution Gardens.

3. H.R. 4788 (Sec. 423a) to authorize the Corps of Engineers Historical Foundation to design and erect a memorial in the District of Columbia.

In addition to the above discussion, this meeting will serve to provide an opportunity for all interested parties to comment on the Environmental Assessment for the Memorial to the 56 Signers of the Declaration of Independence to be located in Constitution Gardens. Copies of the assessment are available for review at the address listed below.

The meeting will be open to the public. Any person may file with the Committee a written statement concerning the matters to be discussed. Persons who wish to file a written statement or who want further information concerning the meeting may contact Mr. John Parsons, Associate Regional Director, Land Use Coordination, National Capital Region, at (202) 426-6715. Minutes of the meeting will be available for public inspection and copying 2 weeks after the meeting at the Office of National Capital Region, Room 208, 1100 Ohio Drive, SW., Washington, D.C.

Dated: December 10, 1979.

Manus J. Fish, Jr.,

Regional Director, National Capital Region.

[FR Doc. 79-38752 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-70-M

Heritage Conservation and Recreation Service

National Register of Historic Places; Notification of Pending Nominations

Nominations for the following properties being considered for listing in the National Register were received by the Heritage Conservation and Recreation Service before December 7, 1979. Pursuant to 60.13 of 36 CFR Part 60, written comments concerning the significance of these properties under the National Register criteria for evaluation may be forwarded to the National Register, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, DC 20243. Written comments or a request for additional time to prepare comments should be submitted be December 28, 1979.

Carol Shull,

Acting Chief, Registration Branch.

ALASKA

Matanuska-Susitna Division

Wasilla, *Wasilla Elementary School,* Off AK 3

CALIFORNIA

Alameda County

Alameda, *Union Iron Works Powerhouse,* 2308 Webster St.

Mendocino County

Ukiah, *Sun House and Hudson-Carpenter Park,* 431 S. Main St.

Santa Clara County

Palo Alto, *de Lemos, Pedro, House,* 100-110 Waverley Oaks

Tuolumne County

Yosemite National Park, *Hodgdon Meadow Archeological District*

COLORADO

Mesa County

Grand Junction, *U.S. Post Office,* 400 Rood Ave.

CONNECTICUT

Middlesex County

Middletown, *Metro South Historic District,* Main and College Sts.

New Haven County

New Haven, *Raynham (Kneeland Townsend House)* 709 Townsend Ave.

GEORGIA

Baldwin County

Milledgeville vicinity, *Andalusia,* NW of Milledgeville on U.S. 441

Burke County

Sardis vicinity, *Sapp Plantation,* NW of Sardis on GA 24

Waynesboro, *Jones, John James, House,* 525 Jones Ave.

Floyd County

Rome, *Rome Clock Tower,* Off GA 101

Habersham County

Clarksville, *Grace Church,* Wison and Greene Sts.

Richmond County

Augusta, *Pinched Gut Historic District,* Roughly bounded by Gordon Hwy., E. Boundary, Reynolds and Gwinnett Sts.

Sumter County

Americus vicinity, *McBain, Newnan, House,* S of Americus on U.S. 19

Walker County

Chickamauga, *Lee and Gordon Mill,* Red Belt Rd.

LaFayette, *Chattooga Academy,* 306 N. Main St.

Walton County

Monroe, *McDaniel-Tichenor House,* 319 McDaniel St.

GUAM

Agat vicinity, *Sumay Cemetery,* N of Agat on Marine Dr.

MAINE

Lincoln County

Monhegan, *Monhegan Island Lighthouse and Quarters,* Monhegan Island

MICHIGAN

Oakland County

Holly, *Hirst Hotel,* 110 Battle Alley

MISSISSIPPI

Lowndes County

Columbus, *Columbus Central Commercial Historic District,* U.S. 82 and U.S. 45

MISSOURI

Buchanan County

St. Joseph, *Eckel, Edmond Jacques, House,* 515 N. 4th St.

Chariton County

Brunswick vicinity, *Locust Hill (McGruder Estate)* E of Brunswick on SR Y

Howard County

Fayette vicinity, *Jackson, Prior, Homeplace (Cedar Lawn)* S of Fayette on MO DD

Morgan County

Versailles, *Morgan County Courthouse,* Courthouse Sq.

Perry County

Frohna vicinity, *Bergt, Christian A., Farm,* E of Frohna

Pettis County

Sedalia, *Sedalia Public Library,* 311 W. 3rd St.

St. Louis County

Florissant, *Taille de Noyer (Mullanphy-Chambers House)* 1 Rue Taille de Noyer

NEBRASKA

Lancaster County

Waverly vicinity, *Peterson, Peter, Farmstead*

NEW HAMPSHIRE

Carroll County

Tamworth, *Cook Memorial Library,* Main St.

Merrimack County

Hopkinton vicinity, *Howe-Quimby House,* NW of Hopkinton on Sugar Hill Rd.

Rockingham County

Nottingham, *Dame School,* NH 152

Strafford County

Dover, *Reade, Michael, House,* 43 Main St.

NEW YORK

Albany County

Albany, *Abrams Building,* 55—57 S. Pearl St.

Dutchess County

Hyde Park, *Roosevelt, Eleanor, National Historic Site,* Violet Ave.

Rensselaer County

Hoosick Falls, *Estabrook Octagon House,* 8 River St.

Hoosick Falls, *Hoosick Falls Historic District,* Roughly bounded by RR tracks, Church, Main and Elm Sts.

Westchester County

Tarrytown, *Music Hall,* 11 Main St.

PENNSYLVANIA

Philadelphia County

Philadelphia, *Drexel and Company Building,* 135—143 S. 15th St.

TENNESSEE

Davidson County

Nashville, *Cheatham Building,* 301-309 Church St.

Nashville, *Demonbreun's Cave,* 1700 Omohundro Dr.

Sevier County

Sevierville, *Sevierville Masonic Lodge,* 119 Main St.

UTAH

Beaver County

Beaver, *Fennemore, Dr. George, House,* 90 S. 100 West St.
Beaver, *Grimshaw, Duckworth, House,* 95 N. 400 West St.
Beaver, *Muir, David, House,* 295 N. 300 West St.
Beaver, *Shepherd, Harriet S., House,* 190 N. 200 East St.
Beaver, *White, Charles Dennis, House,* 115 E. 400 North St.

Salt Lake County

Salt Lake City, *General Engineering Company Building,* 159 W. Pierpont Ave.

VIRGINIA

Alexandria (independent city)

Alexandria Canal Tide Lock, Roughly abounded by Potomac River, Lee, Montgomery, and 1st Sts.

King William County

Studley vicinity, *Wyoming,* N of Studley on VA 615

Richmond (independent city)

0—100 Block East Franklin Street Historic District, Roughly bounded by 1st, Main, Foushee and Grace Sts.

[FR Doc. 79-38289 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-03-M

National Register of Natural Landmarks; Notification of Potential National Natural Landmarks

The areas listed below have been identified as potential national natural landmarks by the HCRS Division of Natural Landmarks in accordance with the provisions of 36 CFR 1212.4. Pursuant to Section 1212.5(b)(1) of 36 CFR part 1212, written comments concerning the potential designation of these areas as national natural landmarks may be forwarded to the Acting Associate Director for Natural Programs, Heritage Conservation and Recreation Service, U.S. Department of the Interior, Washington, D.C. 20243. Written comments or a request for additional time should be submitted no later than January 17, 1980.

Robert A. Ritsch,

Acting Associate Director for Natural Programs.

Idaho

Ada County

Snake River Birds of Prey Natural Area; (also in *Elmore and Owhyee Counties*), area is a 30 mile stretch of the Snake River between Grandview and Walters Ferry.

Elmore County

Crater Rings; 8 miles NW of Mountain Home.

Fremont County

Big Springs; 54 miles NE of Rexburg.

St. Anthony Sand Dunes; 7 miles NW of St. Anthony.

Gooding County

Niagara Springs; 20 miles W of Twin Falls.

Jefferson County

Menan Buttes; (also in *Madison County*), 10 miles W of Rexburg.

Jerome County

Dry Cataracts; (also in *Twin Falls County*), 5 miles NE of Twin Falls.

Power County

Great Rift Sytem; (also in *Blaine and Minidoka Counties*), 43 miles NW of Pocatello.

Shoshone County

Hobo Cedar Grove Botanical Area; 12 miles NE of Clarkia.

Illinois

Cook County

Busse Forest; 23 miles NW of Chicago.

Jackson County

Little Grand Canyon Area; 10 miles W of Carbondale.

Johnson County

Buttonland Swamp; (extends into *Pulaski County*), 19 miles W of Metropolis.
Little Black Slough-Heron Pond Area; 25 miles S of Marion.

Lake County

Illinois Beach Nature Preserve; Chicago metropolitan area.

Pope County

Bell Smith Springs; 17 miles SW of Harrisburg.
Lusk Creek Canyon; 15 miles S of Harrisburg.

Union County

Giant City; 15 miles S of Harrisburg.

Indiana

Harrison County

Harrison Spring; 1 mile N of White Cloud.

Orange County

Lost River Karst; 14 miles S of Bedford.

Putnan County

Fern Cliff; 7 miles SW of Greencastle.

Steuben County

Marsh Lake Basin; 3 miles N of Angola.

Michigan

Berrien County

Warren Dunes Natural Area; 13 miles S of St. Joseph.

Emmett County

University of Michigan Biological Station; (extends into *Cheboygan County*), 1 mile E of Pellston.
Wilderness Natural Area; 23 miles NW of Cheboygan.

Roscommon County

Roscommon Virgin Pine Stand; 10 miles E of Roscommon.

Minnesota

Anoka County

Cedar Creek Natural History Area-Allison Savanna; (*extends into Isanti County*), 29 miles N of Minneapolis.

Carlton County

Jay Cooke Virgin Hardwoods; 15 miles SW of Duluth.

Cass County

Pine Point Natural Area; 26 miles Se of Bemidji.

Lake County

Keeley Creek Natural Area; 12 miles SE of Ely.

Rice County

Nerstrand Woods State Park; 10 miles NE of Faribault.

St. Louis County

Lac La Croix Natural Area; 24 miles NW of Ely.

New Mexico

Chaves County

Mescalero Sands; 41 miles E of Roswell.
Bitter Lake Group; 9 miles NE of Roswell.

Eddy County

Cottonwood Cave; 35 miles SW of Carlsbad.

Harding County

Bueyeros Shortgrass Plains; 17 miles E of Bueyeros.

Lincoln County

Border Hills Structural Zone; 24 miles W of Roswell.

Ohio

Adams County

Red Rock; 25 miles W of Portsmouth.
Serpent Mound Crytoexplosive Structure; (also in *Highland and Pike Counties*) 31 miles SW of Chillicothe.

Delaware County

Highbanks Natural Area; (also in *Franklin County*) 13 miles N of Columbus.

Oklahoma

Cimarron County

Black Mesa; 24 miles NW of Boise City.

Puerto Rico

Anton Ruiz River Floodplain; 5 miles NE of Humacao Bahia Fosforescente; 7 miles W of Ensenada.
Bano de Oro; 6 miles SW of Luguillo.
Barrancas Quarry; 4 miles N of Barranquitas.
Cabo Rojo; SW tip of Puerto Rico.
Canyon de Guajataca; 2 miles NW of Quebradillas Los Tres Picachos; 3.3 miles E of Jayuya.
Puerto Mosquito; 0.1 miles E of Esperanza.
Rio Abajo Forest; 9 miles S of Arecibo.
Rio Camuy Caves; 13 miles SW of Arecibo.

Texas

Bailey County

Muleshoe Natural Wildlife Refuge; 59 miles NW of Lubbock.

Bandera and Real Counties

Sabinal Canyon State Park; 61 miles NW of San Antonio.

Cameron County

Laguna Atascosa National Wildlife Refuge; 28 miles N of Brownsville.

Randall County

High Plains Natural Area; 26 miles SW of Amarillo.

Virgin Islands

St. Croix

Green Cay; 2.5 miles E of Christiansted.
Salt River and Sugar Bays; 3.5 miles NW of Christiansted.
Sandy Point; 1 mile S of Frederiksted.
Vagthus Point; 3 miles S of Christiansted.

St. John

Lagoon Point; on the SE shore of St. Johns Island, between Bay and Friis Bay.

St. Thomas

Coki Point Cliffs; 3.5 miles E of Charlotte Amalie.
West End Cays; a group of cays off the W coast of St. Thomas Island.

Washington

Asotin County

Grande Ronde Goosenecks; 20 miles S of Asotin.

Benton County

Hanford Dunes; 17 miles N of Richland.

Whitman County

Steptoe-Kamiak Butte; 50 miles S of Spokane.

Wisconsin

Bayfield County

Moquah Barrens; 16 miles W of Ashland.

Forest County

Bose Lake Hemlock Hardwoods; 13 miles E of Eagle River.

Iowa County

Avoca River-Bottom Prairie; 47 miles W of Madison.

Manitowoc County

Point Beach Ridges; 6 miles NE of Manitowoc.

Sauk County

Baraboo Range; 30 miles NW of Madison.

[FR Doc. 79-38575 Filed 12-17-79; 8:45 am]

BILLING CODE 4310-03-M

INTERNATIONAL DEVELOPMENT COOPERATION AGENCY

Agency for International Development

Joint Research Committee of the Board for International Food and Agricultural Development; Meeting

Pursuant to Executive Order 11769 and the provisions of Section 10(a) (2), Pub. L. 92-463, Federal Advisory Committee Act, notice is hereby given of the thirtieth meeting of the Joint Research Committee (JRC) of the Board for International Food and Agricultural Development (BIFAD) on January 15 and 16, 1980.

The purpose of the meeting is to: review and discuss progress of Collaborative Research Support Programs (CRSPs) being planned and implemented; further consider changes in composition and roles of JRC to relate to the Institute for Scientific and Technological Cooperation (ISTC) upon its establishment; discuss the objectives and progress of the Title XII program; report on the Fisheries Workshop; and discuss issues in Forestry in the context of Development and Environmental Conservation.

The meeting will convene at 9:00 a.m. and adjourn at 5:00 p.m. on January 15, 1980, and will be held in Room 5951 New State Department Building, Washington, D.C. 20523. The meeting on January 16, 1980 will convene at 8:30 a.m. and adjourn at 2:00 p.m., and will be held in Room 5941 New State Department Building. The meeting is open to the public. Any interested person may attend, may file written statements with the Committee before or after the meeting, or may present oral statements in accordance with procedures established by the Committee, and to the extent the time available for the meeting permits.

Dr. Erven J. Long, Office of Title XII Coordination and University Relations, Development Support Bureau, is designated A.I.D. Advisory Committee Representative at the meeting. It is suggested that those desiring further information write to him in care of the Agency for International Development, State Department, Washington, D.C. 20523, or telephone him at (703)-235-8929.

Dated: December 11, 1979.

Erven J. Long,

AID Advisory Committee Representative, Joint Research Committee, Board for International Food and Agricultural Development.

[FR Doc. 79-38584 Filed 12-17-79; 8:45 am]

BILLING CODE 4710-02-M

Joint Committee for Agricultural Development of the Board for International Food and Agricultural Development; Meeting

Pursuant to Executive Order 11769 and the provisions of Section 10(a), (2), P.L. 92-463, Federal Advisory Committee Act, notice is hereby given of the meeting of the Joint Committee on Agricultural Development (JCAD) of the Board for International Food and Agricultural Development (BIFAD) on January 14 and 15, 1980.

The purpose of the meeting is to: review and coordinate the reports and activities of the Regional Work Groups (RWGs); and reorganize the functioning of JCAD with the Agency for International Development (AID) and with the International Development Cooperation Administration (IDCA).

The meeting on January 14, 1980 will convene from 9:00 a.m. to 12:00 p.m. in the form of Regional Work Groups: Africa RWG in Room 2941, New State Department Building, Washington, D.C. 20523 (Mr. William Johnson, A.I.D. Federal Designee for this meeting, can be contacted at (202) 632-3650); Latin America RWG in Room 2242 New State Department Bldg. (Mr. Blair Allen, A.I.D. Federal Designee for this meeting can be contacted at (202) 632-8126); Near East RWG in Room 6484 New State Department Bldg. (Mr. Keith Sharper, A.I.D. Federal Designee for this meeting, can be contacted at (202) 632-9256); and the Asia RWG in Room 216 Rosslyn Plaza Bldg., 1601 North Kent Street, Rosslyn, Virginia (Mr. David Lundberg, A.I.D. Federal Designee for this meeting can be contacted at (703) 235-8870). The Full JCAD Committee will convene on January 14 from 1:00 p.m. to 5:00 p.m. in Room 5941 New State Department Bldg. The Full JCAD Committee will meet also on January 15 from 9:00 a.m. to 12:00 p.m. in Room 5941 New State Department Bldg. The meeting of the JCAD Executive Committee and AID will meet on January 15 from 1:00 p.m. to 4:00 p.m. in Room 5941 New State Department Building. The meetings are open to the public. Any interested person may attend, may file written statements with the Committee before or after the meetings, or may present oral statements in accordance with procedures established by the Committee, and to the extent the time available for the meetings permit.

Dr. Frank H. Madden, Office of Title XII Coordination and University Relations, Development Support Bureau, is designated A.I.D. Advisory Committee Representative at the January 14 and 15 meetings. It is suggested that those desiring further information write to him in care of the Agency for International Development, State Department, Washington, D.C. 20523, or telephone him at (703) 235-9085.

Dated: December 10, 1979.

Frank H. Madden,

AID Advisory Committee Representative, Joint Committee on Agricultural Development, Board for International Food and Agricultural Development.

[FR Doc. 79-38585 Filed 12-17-79; 8:45 am]

BILLING CODE 4710-02-M

DEPARTMENT OF LABOR

Occupational Safety and Health Administration

Occupational Exposure to Vinyl Chloride and Polyvinyl Chloride

AGENCY: Occupational Safety and health Administration, Department of Labor.

ACTION: Request for information on vinyl chloride and polyvinyl chloride.

SUMMARY: This notice requests information on vinyl chloride (CAS No. 75–01–4) and on polyvinyl chloride (CAS No. 9002–86–2). Vinyl chloride (VC), a synthetic chemical, was once synthesized by the addition of hydrogen chloride to acetylene. Currently, the most common route of production is by the halogenation of ethylene. In this latter process, ethylene is reacted with hydrogen chloride and oxygen to give ethylene dichloride, which is subsequently cracked thermally to produce vinyl chloride and hydrogen chloride. Vinyl chloride is used primarily to produce polyvinyl chloride (PVC), a plastic resin, through conversion of the VC monomer into a polymer or copolymer form. Vinyl chloride is also used in the production of methyl chloroform and in the production of resins as a comonomer with vinylidene chloride. PVC is used in the manufacture of a variety of industrial and consumer products, such as containers, wrapping film, electrical insulation, and pipes.

In 1975, OSHA regulated vinyl chloride as a carcinogen, based primarily on evidence of excess liver angiosarcoma incidence following VC exposure (29 CFR 1910.1017). OSHA did not regulate exposure to PVC dust in the same standard. Therefore, it continues to be regulated as an inert or nuisance air contaminant (29 CFR 1910.1000, Table Z–3).

Research since 1975 has provided considerably more information concerning the carcinogenic and other toxic effects of VC and PVC exposure. OSHA is currently in the process of evaluating the available evidence pertaining to the potential occupational health hazards of VC and of PVC and, by this notice, is requesting information related to several important issues.

DATE: The information requested in this notice must be submitted in quadruplicate on or before February 10, 1980.

ADDRESS: The information requested in this notice should be submitted to the Docket Officer, Docket No. H–034, Room S6212, U.S. Department of Labor, OSHA, 200 Constitution Avenue, N.W., Washington, D.C. 20210, (202–523–7894).

FOR FURTHER INFORMATION CONTACT: Dr. Peter Infante, Office of Carcinogen Identification and Classification, Directorate of Health Standards Programs, Room N3718, U.S. Department of Labor, OSHA, 200 Constitution Avenue, N.W., Washington, D.C. 20210, (202–357–0325).

SUPPLEMENTARY INFORMATION:

Background

Vinyl chloride (C_2H_3Cl; CAS No. 75–01–4; chloroethene) is a colorless gas at room temperature and pressure. After synthesis from VC monomer, polyvinyl chloride ($(C_2H_3Cl)_n$; CAS No. 9002–86–2; chloroethene homopolymer) is in the form of white or colorless granules. Residual vinyl chloride monomer can become trapped in the PVC particles. However, recent processing methods can reduce considerably the amount of residual VC trapped in the polymer resins.

The vinyl chloride industry can be divided into three major components: VC synthesis, VC polymerization, and PVC fabrication. It has been estimated that in the U.S., 15 plants manufacture vinyl choride, 43 plants polymerize polyvinyl chloride, and at least 7,500 plants are engaged in the fabrication of PVC. During 1978, 3.47 million tons of VC and 2.94 million tons of PVC were produced.

The present permissible limit for occupational exposure to vinyl chloride is 1.0 ppm averaged over any 8-hour period, and 5.0 ppm averaged over any period not exceeding 15 minutes (29 CFR 1910.1017). For polyvinyl chloride dust, the standard is 15 mg/m³, averaged over any 8-hour period (29 CFR 1919.1000).

Laboratory Studies

Experimental bioassays have demonstrated the induction of cancer by VC at levels of exposure lower than those previously reported. In VC inhalation studies of rats, Maltoni (1) has induced liver angiosarcomas at 25 ppm and mammary carcinomas at one ppm. In addition, several different test systems have provided evidence for the mutagenic potential of VC, i.e., *E. coli, S. typhimurium, S. pombe,* insects, plants, and cultured mammalian cells (2). VC also has been demonstrated to have a transplacental effect in rats. Inhalation exposure of pregnant rats to VC concentrations of 6,000 and 10,000 ppm have resulted in VC-dependent tumors in their offspring (1).

There is also evidence from animal studies that PVC may induce non-malignant respiratory disease. It has been reported that after seven months of exposure, rats and guinea pigs caged in work areas where sacks were being filled with PVC powder developed pulmonary pathological changes and granulomatous lesions containing foreign particles thought to be PVC dust (3).

Epidemiologic Studies

Several investigations of employee populations have indicated that VC/PVC exposure is associated with an increased carcinogenic risk to several organ sites in addition to the liver. A NIOSH retrospective cohort study of workers from four VC polmerization plant showed an excess number of deaths due to cancer of the liver, lung, lympho-hematopoietic system, and central nervous system (4).

Of further concern is the finding that the carcinogenic risk may extend to industries fabricating polyvinyl chloride. A proportionate mortality study of plastic workers in Great Britain, which included PVC fabricators, demonstrated a statistically significant excess of stomach cancer (5). Also, an excess of mortality from digestive system cancer among PVC fabricators of both sexes was found by Chiazze et. al. in the U.S. (6). Among white females in the study, observed deaths from breast and urinary tract cancers were also greater than expected. Waxweiler et. al. performed a detailed study of the excess lung cancer risk previously observed at a synthetic plastics and rubber plant (7). Analysis of lung cancer cases by cell type demonstrated a greater frequency of adenocarcinomas (Type 3) and large cell undifferented (Type 4) cancer. Neither cell type is believed to be strongly assoicated with cigarette smoking. Of 12 chemicals analyzed, only PVC dust exposure proved to be statistically significant. The authors suggested that the excess of Type 3 and 4 lung cancer cases in this plant was related to PVC dust exposure.

A recent epidemiologic study suggests that PVC may be related to pneumoconiosis (8). Employees of a polyvinyl chloride production factory in Italy were submitted to chest X-ray examination. Twenty subjects were diagnosed as having pneumoconiosis. All of these cases had worked five or more years in departments with demonstrated PVC dust pollution. No pneumoconiosis was observed in subjects who worked in areas free of PVC dust. These findings are consistent with earlier case reports of pneumoconiosis among workers exposed to PVC dust (9,10). The Institute of Oncology and Tumor Center in Bologna, Italy has demonstrated a higher frequency of cytolgoically abnormal sputum cells among the workers employed in the VC/PVC industry in contrast either to workers in the general chemical industry or to individuals who are heavy smokers (11).

Epidemiologic studies also exist which demonstrate the mutagenicity of VC in humans. Chromosomal aberrations in lymphocytes of male workers, in excess of the number observed in non-exposed workers, have been reported in several studies (2). Morever, a study of miscarriages among the wives of men occupationally exposed to VC detected a significant excess in fetal mortality following the husband's exposure to VC (12).

Information requested on vinyl chloride and polyvinyl chloride

The date recently received by OSHA suggest that a reassessment of the known health effects of vinyl chloride and polyvinyl chloride is appropriate at this time. Additional information in several areas is needed before a reassessment can be completed. The requested information includes, but is not limited to, the following:

(1) Experimental test results for carcinogenicity of vinyl chloride at atmospheric exposures of less than 50 ppm.

(2) Studies of transplacental carcinogenic and teratogenic effects in humans or animals at any level of exposure to vinyl chloride.

(3) Experimental studies of carcinogenicity and other toxic manifestions for any level of polyvinyl chloride exposure. These effects should include, but are not limited to, mutagenicity, teratogenicity, embryotoxicity, and other transplacental effects, as well as cytotoxic and cytogenetic effects on sperm cells. To the greatest extent possible, complete information concerning the industrial source of the polyvinyl chloride, the size and characteristics of the particles, and exposure levels or concentrations of PVC and residual VC should be included for each study.

(4) Epidemiologic studies of either vinyl chloride or of polyvinyl chloride (i.e. cohort, cross-sectional, or case-control).

(5) Case reports and case series of brain, lympho-hematopoietic, lung, and liver cancers by facility and relevant demographic variables, such as age, sex, race, date of diagnosis, date of death, date of first exposure, and length of exposure for either vinyl chloride or polyvinyl chloride.

(6) Mutagenicity study results of vinyl chloride or polyvinyl chloride as measured by the analysis of human body fluids, e.g., direct mutagenic testing with peripheral blood lymphocytes, non-disjunction in humans with YFF sperm test, and *in vivo* cytogenetics.

(7) Body burden measurements of vinyl chloride in humans.

(8) For operations involving polyvinyl chloride, the types of resin in use, the concentration of vinyl chloride trapped in the resin, and the concentration of VC and PVC dust in the atmosphere where individuals are working. This information should include estimates of the particles sizes and concentrations of particles that fall within the respirable range.

(9) In PVC bagging and milling operations, atmospheric levels of PVC and VC, monitoring devices used to detect VC, and the type of respirator protection program for individuals working in these operations. This should include the sensitivity and validity of analytic techniques in use.

(10) Types of occupations, job classifications, and industries where exposure to either VC or PVC at any level may occur, and the numbers of employees involved in each vinyl chloride and polyvinyl chloride exposure situation, separated by sex and race.

(11) Appropriate engineering controls, work practices, and personal protective equipment available to reduce levels of exposure to VC or PVC below the current standards, or to the lowest levels feasible.

SUBMITTALS OF INFORMATION REQUESTED

Interested persons are invited to submit written data, views, and comments with respect to the issues described abve. All communications should be submitted in quadruplicate, by February 10, 1980, to the Docket Officer, Docket H–034, Room S6212, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210 (202–523–7894).

References

The following documents, referred to in this notice, are available for inspection and copying at the OSHA Technical Data Center, Room S6212, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

1. Maltoni, C. Vinyl chloride carcinogenicity: An experimental model for carcinogenesis studies. *Origins of Human Cancer,* Cold Spring Harbor Laboratory, 1977, pp. 119–146.

2. Wagoner, J. K., and P. F. Infante. Vinyl chloride: A case for the use of laboratory bioassay in the regulatory control procedure. *Origins of Human Cancer,* Cold Spring Harbor Laboratory, 1977, pp. 1797–1805.

3. Frongia, N., A. Spinazzola and A. Bucarelli. Lesioni polmonari sperimentali da inalazione prolungata di polveri di PVC in ambiente di lavoro: (Expermental lung damage from prolonged inhalation of airborne PVC dust). *La Medicina del Lavoro, 65:* 321–342, 1974.

4. Waxweiler, R. J., W. Stringer, J. K. Wagoner, J. Jones, H. Falk, and C. Carter. Neoplastic risk among workers exposed to vinyl chloride. *Annals of the New York Academy of Sciences, 271:* 40–48, 1976.

5. Baxter, P. J. and A. J. Fox. Angiosarcoma of the liver in PVC fabricators. *Lancet, 1:* 245–246, 1976.

6. Chiazze, L., W. E. Nichols, and O. Wang. Mortality among employees of PVC fabricators. *Journal of Occupational Medicine, 19:* 623–628, 1977.

7. Waxweiler, R. J., A. H. Smith, H. A. Tyroler, and H. Falk. An epidemiologic investigation of an excess lung cancer risk in a synthetic chemicals plant. Presented at the XIX International Congress on Occupational Health, Dubrovnik Yugoslavia, 25–30 September 1978.

8. Mastroangelo, G., M. Manno, G. Marier, G. B. Bartolucci, C. Gemignani, G. Saladino, L. Simonato, and B. Saia. Polyvinyl chloride pneumoconiosis: Epidemiological study of exposed workers. *Journal of Occupational Medicine, 21:* 540–542, 1979.

9. Szende, B., K. Lapis, A. Nemes, and A. Pinter. Pneumoconiosis caused by the inhalation of polyvinyl chloride dust. *La Medicina del Lavoro, 61:* 433–436, 1970.

10. Arnaud, A., P. Pommier de Santi, L. Garbe, H. Payan, and J. Charpin. Polyvinyl chloride pneumoconiosis. *Thorax, 33,* 19–25, 1978.

11. Maltoni, C. Precursor lesions in exposed populations as indicators of occupational cancer risk. *Annals of the New York Academy of Sciences, 271:* 444–447, 1976.

12. Infante, P. F., J. K. Wagoner, A. J. McMichael, R. J. Waxweiler, and H. Falk. Genetic risks of vinyl chloride. *Lancet, 1:* 734–735, 1976.

Signed at Washington, D.C. this 12th day of December 1979.

Eula Bingham,

Assistant Secretary of Labor.

[FR Doc. 79-38658 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-26-M

Pension and Welfare Benefit Programs

(Prohibited Transaction Exemption 79–79; Exemption Application No. D–837)

Exemption from the Prohibitions for Certain Transactions Involving College Retirement Equities Fund

AGENCY: Department of Labor.

ACTION: Grant of individual exemption.

SUMMARY: This exemption permits the payment of compensation to certain trustees of the College Retirement Equities Fund (CREF).

EFFECTIVE DATE: January 1, 1975.

FOR FURTHER INFORMATION CONTACT: Ivan Strasfeld of the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, (202) 523–8971. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: On September 21, 1979, notice was published in the **Federal Register** (44 FR 54791) of the pendency before the Department of Labor (the Department) of a proposal to grant an exemption from the restrictions of section 406(a) and 406(b) of the Employee Retirement Income Security Act of 1974 (the Act) and from the taxes imposed by section 4975(a) and (b) of the Internal Revenue Code of 1954 (the Code) by reason of section 4975(c)(1) of the Code, for transactions described in an application filed by CREF. The notice set forth a summary of facts and representations contained in the application for exemption and referred interested persons to the application for a complete statement of the facts and representations. The application has been available for public inspection at the Department in Washington, D.C. The notice also invited interested persons to submit comments on the requested exemption to the Department. In addition the notice stated that any interested person might submit a written request that a public hearing be held relating to this exemption. No requests for a hearing were received by the Department.

Seven comments were received, six of which were in favor of the exemption being granted in the same form in which it was proposed. The remaining commentator objected to the proposed exemption in general terms stating that trustees of CREF should provide their expertise on a voluntary basis.

After consideration of the comments received, the Department has decided to grant the requested exemption as proposed.

This application was filed with both the Department and the Internal Revenue Service. However, the notice of pendency was issued and the exemption is being granted solely by the Department because, effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type proposed to the Secretary of Labor.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption granted under section 408(a) of the Act and section 4975(c)(2) of the Code does not relieve a fiduciary or other party in interest or disqualified person with respect to a plan to which the exemption is applicable from certain other provisions of the Act and the Code. These provisions include any prohibited transactions provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his or her duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does the fact the transaction is the subject of an exemption affect the requirement of section 401(a) of the Code that a plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries.

(2) This exemption is supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption or transitional rule is not dispositive of whether the transaction is, in fact, a prohibited transaction.

Exemption

In accordance with section 408(a) of the Act and section 4975(c)(2) of the Code and the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975), and based upon the entire record, the Department makes the following determinations: (a) The exemption is administratively feasible; (b) It is in the interests of the plan and of its participants and beneficiaries; and (c) It is protective of the rights of the participants and beneficiaries of the plan.

Effective January 1, 1975, the restrictions of section 406(a) and 406(b) of the Act and the taxes imposed by section 4975(a) and (b) of the Code, by reason of section 4975(c)(1) of the Code, shall not apply to the payment of quarterly stipends and fees for attendance at meetings to trustees of CREF who also receive full-time compensation from participating institutions provided that the amount of such stipends and fees is reasonable in light of the particular facts and circumstances.

The availability of this exemption is subject to the express condition that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to this exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator for Pension and Welfare Benefit Programs, Labor-Management Services Administration, U.S. Department of Labor.

[FR Doc. 79–38603 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–29–M

(Prohibited Transaction Exemption 79–78; Exemption Application No. D–200)

Exemption From the Prohibitions for a Certain Transaction Involving A. J. Tuck Company Profit Sharing Trust

AGENCY: Department of Labor.

ACTION: Grant of individual exemption.

SUMMARY: This exemption exempts the loan of $24,000 by the A. J. Tuck Company Profit Sharing Trust (the Trust) to the A. J. Tuck Company (the Employer). The loan was entered into before the effective date of the Employee Retirement Income Security Act of 1974 (the Act), but after July 1, 1974, the date specified in the transition rules contained in sections 414 and 2003 of the Act.

FOR FURTHER INFORMATION CONTACT: Gary H. Lefkowitz of the Office of Fiduciary Standards, Pension and Welfare Bennefit Programs, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, (202) 357–0040. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: On October 19, 1979, notice was published in the **Federal Register** (44 FR 60440) of the pendency before the Department of Labor (the Department) of a proposal to grant an exemption from the restrictions of section 406(a), 406(b)(1) and 406(b)(2) of the Act and from the taxes imposed by section 4975 (a) and (b) of the Internal Revenue Code of 1954 (the Code) by reason of section 4975(c)(1) (A) through (E) of the Code, for a transaction described in an application filed by the Employer and the Administrative Committee of the Trust.

The notice set forth a summary of facts and representations contained in the application for exemption and referred interested persons to the application for a complete statement of the facts and representations. The application has been available for public inspection at the Department in Washington, D.C. The notice also invited interested persons to submit comments on the requested exemption to the Department. In addition the notice stated that any interested person might submit a written request that a public hearing be held relating to this exemption. The Employer has represented that it provided notification to all interested persons of the pendency of the proposed exemption. No public comments and no requests for a hearing were received by the Department.

This application was filed with both the Department and the Internal Revenue Service. However, the notice of pendency was issued and the exemption is being granted solely by the Department because, effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type requested to the Secretary of Labor.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption granted under section 408(a) of the Act and section 4975(c)(2) of the Code does not relieve a fiduciary or other party in interest or disqualified person with respect to a plan to which the exemption is applicable from certain other provisions of the Act and the Code. These provisions include any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his or her duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does the fact the transaction is the subject of an exemption affect the requirement of section 401(a) of the Code that a plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries.

(2) This exemption does not extend to transactions prohibited under section 406(b)(3) of the Act and section 4975(c)(1)(F) of the Code.

(3) This exemption is supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption or transitional rule is not dispositive of whether the transaction is, in fact, a prohibited transaction.

Exemption

In accordance with section 408(a) of the Act and section 4975(c)(2) of the Code and the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975), and based upon the entire record, the Department makes the following determinations: (a) The exemption is administratively feasible; (b) It is in the interests of the Plan and of its participants and beneficiaries; and (c) It is protective of the rights of the participants and beneficiaries of the Plan.

Accordingly, the restrictions of section 406(a), 406(b)(1) and 406(b)(2) of the Act and the taxes imposed by section 4975 (a) and (b) of the Code by reason of section 4975(c)(1) (A) through (E) of the Code shall not apply, effective January 1, 1975, to the loan of $24,000 by the Trust to the Employer that was entered into on July 23, 1974, and was repaid in full on June 9, 1977.

The availability of this exemption is subject to the express condition that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction which is the subject of this exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, U.S. Department of Labor.

[FR Doc. 79–38604 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–29–M

[Prohibited Transaction Exemption 79–77; Exemption Application No. D–990]

Exemption From the Prohibitions for Certain Transactions Involving First United Bancorporation, Inc., Pension Trust

AGENCY: Department of Labor.

ACTION: Grant of individual exemption.

SUMMARY: This exemption allows an exchange of property, including cash, between the First United Bancorporation, Inc. Pension Trust (the Plan) and First United Bancorporation, Inc. (the Employer). The applicant has certified that notice to interested persons has been given as set forth in the Notice of Proposed Exemption.

FOR FURTHER INFORMATION CONTACT: Stephen Elkins of the Office of Fiduciary Standards, Pension and Welfare Benefit Program, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216. (202) 523–8196. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: On September 21, 1979, notice was published in the **Federal Register** (44 FR 54795) of the pendency before the Department of Labor (the Department) of a proposal to grant an exemption from the restrictions of section 406(a), 406(b)(1) and (b)(2) of the Employee Retirement Income Security Act of 1974 (the Act) and from the taxes imposed by section 4975(a) and (b) of the Internal Revenue Code of 1954 (the Code) by reason of section 4975(c)(1)(A) through (E) of the Code, for transactions described in an application for exemption filed by the trustee of the Plan. The notice set forth a summary of facts and representations contained in the application for exemption and referred interested persons to the application for a complete statement of the facts and representations. The application has been available for public inspection at the Department in Washington, D.C. The notice also invited interested persons to submit comments on the requested exemption to the Department. In addition the notice stated that any interested person might submit a written request that a public hearing be held relating to this exemption. No public comments and no requests for a hearing were received by the Department.

This application was filed with both the Department and the Internal Revenue Service. However, the notice of pendency was issued and the exemption is being granted solely by the Department because, effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type proposed to the Secretary of Labor.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption granted under section 408(a) of the Act and section 4975(c)(2) of the Code does not relieve a fiduciary or other party in interest or disqualified person with respect to a plan to which the exemption is

applicable from certain other provisions of the Act and the Code. These provisions include any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his duties respecting the plan solely in the interests of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does the fact the transaction is the subject of an exemption affect the requirement of section 401(a) of the Code that a plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries.

(2) This exemption does not extend to transactions prohibited under section 406(b)(3) of the Act and section 4975(c)(1)(F) of the Code.

(3) This exemption is supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption or transitional rule is not dispositive of whether the transaction is, in fact, a prohibited transaction.

Exemption

In accordance with section 408(a) of the Act and section 4975(c)(2) of the Code and the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975), and based upon the entire record, the Department makes the following determinations:

(a) The exemption is administratively feasible;

(b) It is in the interests of the Plan and of its participants and beneficiaries; and

(c) It is protective of the rights of the participants and beneficiaries of the Plan.

Accordingly, the restrictions of section 406(a) and 406(b)(1) and (b)(2) of the Act, and the taxes imposed by section 4975(a) and (b) of the Code, by reason of section 4975(c)(1)(A) through (E) of the Code, shall not apply to the transfer of stock of Security State Bank and Seminary State Bank from the Plan to the Employer, in exchange for stock of the Employer plus cash: *Provided however,* that pursuant to such exchange the Plan receives property having a fair market value of no less than the fair market value of the stock of Security State Bank and Seminary State Bank as of the date of such exchange, and further provided that the value of Security State Bank and Seminary State Bank stock as of such date be deemed to be no less than $66.50 per share for Security State Bank stock and $23.50 per share for Seminary State Bank stock.

The availability of this exemption is subject to express condiction that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to this exemption.

Signed at Washington, D.C., this 12th day of December 1979.

Ian D. Lanoff,

Administrator for Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79–38660 Filed 12–17–79; 8:45 am]
BILLING CODE 4510–29–M

[Prohibited Transaction Exemption 79–76; Exemption Application No. D–1177]

Exemption From the Prohibitions for a Certain Transaction Involving the Peninsular Supply Co. Employees' Pension Plan

AGENCY: Department of Labor.

ACTION: Grant of individual exemption.

SUMMARY: This exemption permits the sale for cash of real property by the Peninsular Supply Company Employees' Pension Plan (the Plan) to the ITT Grinnell Corporation (the Corporation), the parent corporation of the Penisular Supply Company (the Employer). The applicant has given notice to interested persons as set forth in the Notice of Proposed Exemption.

FOR FURTHER INFORMATION CONTACT: Ms. Linda Hamilton of the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216. (202) 523–7462. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: On October 12, 1979 notice was published in the **Federal Register** (44 FR 59016) of the pendency before the Department of Labor (the Department) of a proposal to grant an exemption from the restrictions of section 406(a) and 406(b) (1) and (2) of the Employee Retirement Income Security Act of 1974 (the Act) and from the taxes imposed by section 4975(a) and (b) of the Internal Revenue Code of 1954 (the Code) by reason of section 4975(c)(1)(A) through (E) of the Code, for a transaction described in an application filed by the Corporation. The notice set forth a summary of facts and representations contained in the application for exemption and referred interested persons to the application for a complete statement of the facts and representations. The application has been available for public inspection at the Department in Washington, D.C. The notice also invited interested persons to submit comments on the requested exemption to the Department. In addition the notice stated that any interested person might submit a written request that a public hearing be held relating to this exemption. No public comments and no requests for a hearing were received by the Department.

This application was filed with both the Department and the Internal Revenue Service. However, the notice of pendency was issued and the exemption is being granted solely by the Department because, effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type proposed to the Secretary of Labor.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption granted under section 408(a) of the Act and section 4975(c)(2) of the Code does not relieved a fiduciary or other party in interest or disqualified person with respect to a plan to which the exemption is applicable from certain other provisions of the Act and the Code. These provisions include any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his or her duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does the fact the transaction is the subject of an exemption affect the requirement of section 401(a) of the Code that a plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries.

(2) This exemption does not extend to transactions prohibited under section 406(b)(3) of the Act and section 4975(c)(1)(F) of the Code.

(3) This exemption is supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules.

Furthermore, the fact that a transaction is subject to an administrative or statutory exemption or transitional rule is not dispositive of whether the transaction is, in fact, a prohibited transaction.

Exemption

In accordance with section 408(a) of the Act and section 4975(c)(2) of the Code and the procedures set forth in ERISA Procedures 75–1 (40 FR 18471, April 28, 1975), and based upon the entire record, the Department makes the following determinations:

(a) The exemption is administratively feasible;

(b) It is in the interest of the Plan and of its participants and beneficiaries; and

(c) It is protective of the rights of the participants and benficiaires of the Plan.

Accordingly, the restrictions of section 406(a), 406(b)(1) and (b)(2) of the Act and the taxes imposed by section 4975(a) and (b) of the Code, by reason of section 4975(c)(1)(A) through (E) of the Code, shall not apply to the sale for cash of a tract of land located in Swain County, North Carolina by the Plan to the Corporation for $142,750 provided that this amount is not less than the fair market value of the property at the time of sale.

The availability of this exemption is subject to the express condition that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to this exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator for Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79–38665 Filed 12–17–79; 8:45 am]
BILLING CODE 4510–29–M

[Application No. D–1470]

Proposed Exemption for a Certain Transaction Involving the General Welding Works, Inc., Retirement Plan and Trust

AGENCY: Department of Labor.

ACTION: Notice of Proposed Exemption.

SUMMARY: This document contains a notice of pendency before the Department of Labor (the Department) of a proposed exemption from certain of the prohibited transaction restrictions of the Employee Retirement Income Security Act of 1974 (the Act) and from certain taxes imposed by the Internal Revenue Code of 1954 (the Code). The proposed exemption would exempt the sale of real property by the General Welding Works, Inc. Retirement Plan and Trust (the Plan) to General Welding Works, Inc. (the Employer). The proposed exemption, if granted, would affect the participants and beneficiaries of the Plan, the Employer, and other persons participating in the transaction.

DATES: Written comments and requests for a public hearing must be received by the Department of Labor on or before January 18, 1980.

ADDRESS: All written comments and requests for a hearing (at least three copies) should be sent to the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C–4526, U.S. Department of Labor, 200 Consitution Avenue, N.W., Washington, D.C. 20216, Attention: Application No. D–1470. The application for exemption and the comments received will be available for public inspection in the Public Documents Room of Pension and Welfare Benefit Programs, U.S. Department of Labor, Room N–4677, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

FOR FURTHER INFORMATION CONTACT: Ms. Linda Hamilton, of the Department of Labor, telephone (202) 523–7462. (This in not a toll-free number.)

SUPPLEMENTARY INFORMATION: Notice is hereby given of the pendency before the Department of an application for exemption from the restrictions of section 406(a) and 406(b) (1) and (2) of the Act and from the taxes imposed by section 4975 (a) and (b) of the Code, by reason of section 4975(c)(1) (A) through (E) of the Code. The proposed exemption was requested in an application filed by the Employer, pursuant to section 408(a) of the Act and section 4975(c)(2) of the Code, and in accordance with procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975). Effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type requested to the Secretary of Labor. Therefore, this notice of pendency is issued solely by the Department.

Summary of Facts and Representations

The application contains representations with regard to the proposed exemption which are summarized below. Interested persons are referred to the application on file with the Department for the complete representations of the applicant.

1. The Plan is a defined benefit plan with approximately 218 participants. The Plan had total assets of $2,070,000 as of October 1, 1978. The Plan is administered by the Administrative Committee, which has sole responsibility for investing the assets of the Plan. The Administrative Committee is composed of three officers of the Employer. The trustee of the Plan is the American Industries Retirement Company.

2. The Employer is engaged in the business of fabrication of pressure vessels for the oil and chemical business. The business facilities and general offices of the Employer are located in Harrison County, Texas.

3. On January 19, 1966 the Plan purchased a parcel of land for $246,924. This parcel is now divided into two tracts: Tract A which is presently leased to the Employer by the Plan pursuant to a binding contract that was in effect on and prior to July 1, 1974; and Tract B, which is leased to an unrelated party. At the time of the purchase, $92,107 of the total purchase price was allocable to Tract B. The appraisal value of Tract B, as determined by V.P. Ringer, MAI–CRE, is $199,788 as of April 1979.

4. The lease on Tract B expires on December 31, 1979. The Employer is requesting an exemption to permit it to purchase Tract B from the Plan when its lease arrangement has terminated. The Employer proposes to purchase Tract B for $219,767 in cash, an amount equal to 110% of the fair market value. This amount factors in its premium value as Tract B is adjacent to the Employer's present business premises. The purchase price will be determined on the basis of an updated independent appraisal and no real estate sales commissions or other administrative costs will be involved.

5. Tract B currently yields a return of less than 5% per year. The Plan represents that the sale of Tract B will provide it with funds which could be invested more productively and more than double the present low yield to the Plan.

In summary, the applicant represents that the criteria of section 408(a) of the Act will be satisfied by the proposed sale because:

(1) It will be a one-time transaction for cash;

(2) The Plan will receive 110% of the fair market value of the property;

(3) The Plan will be able to dispose of a low income-producing asset without incurring additional administrative costs; and

(4) The Administrative Committee has determined that the proposed transaction is appropriate for the Plan

and is in the best interests of its participants and beneficiaries.

Notice to Interested Persons

All present Plan participants and beneficiaries receiving benefits and all former employees with vested benefits in the Plan will be notified of the pendency of the exemption by copy of the Notice of Pendency as published in the **Federal Register** within 10 days of its publication. These persons will also be informed of their right to comment within the period set forth in the Notice of Pendency.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption under section 408(a) of the Act and section 4975(c)(2) of the Code does not relieve a fiduciary or other party in interest or disqualified person from certain other provisions of the Act and the Code, including any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his or her duties respecting the plan solely in the interests of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does it affect the requirement of section 401(a) of the Code that the plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries;

(2) The proposed exemption, if granted, will not extend to transactions prohibited under section 406(b)(3) of the Act and section 4975(c)(1)(F) of the Code;

(3) Before an exemption may be granted under section 408(a) of the Act and section 4975(c)(2) of the Code, the Department must find that the exemption is administratively feasible, in the interests of the plan and of its participants and beneficiaries and protective of the rights of participants and beneficiaries of the plan; and

(4) The proposed exemption, if granted, will be supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption is not dispositive of whether the transaction is in fact a prohibited transaction.

Written Comments and Hearing Requests

All interested persons are invited to submit written comments or requests for a hearing on the pending exemption to the address above, within the time period set forth above. All comments will be made a part of the record. Comments and requests for a hearing should state the reasons for the writer's interest in the pending exemption. Comments received will be available for public inspection with the application for exemption at the address set forth above.

Proposed Exemption

Based on the facts and representations set forth in the application, the Department is considering granting the requested exemption under the authority of section 408(a) of the Act and section 4975(c)(2) of the Code and in accordance with the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975). If the exemption is granted, the restrictions of section 406(a) and 406(b) (1) and (2) of the Act and the taxes imposed by section 4975 (a) and (b) of the Code, by reason of section 4975(c)(1) (A) through (E) of the Code shall not apply to the sale to the Employer by the Plan of one 6-acre parcel of real property located in the 6800 block of Katy Road, Houston, Texas for $219,767 in cash provided that this amount is not less than 110% of the fair market value of the property at the time of the sale.

The proposed exemption, if granted, will be subject to the express conditions that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to the exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator for Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79-38668 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-29-M

[Application No. L-1595]

Proposed Exemption for Certain Transactions Involving the Iowa Operating Engineers Apprentice and Training Program

AGENCY: Department of Labor.

ACTION: Notice of Proposed Exemption.

SUMMARY: This document contains a notice of pendency before the Department of Labor (the Department) of a proposed exemption from certain of the prohibited transaction restrictions of the Employee Retirement Income Security Act of 1974 (the Act). The proposed exemption would exempt the sale by the Iowa Operating Engineers Apprenticeship and Training Program (the Plan) of an unimproved parcel of real property (the Property) to the Operating Engineers Local 234, Building Corporation (the Corporation), a wholly owned subsidiary of the Local 234 Iowa Operating Engineers (the Union), a party in interest with respect to the Plan. The proposed exemption, if granted, would affect trustees, participants and beneficiaries of the Plan, the Union, officers and directors of the Corporation, and any other persons participating in the proposed transaction.

DATES: Written comments and requests for a public hearing must be received by the Department on or before February 1, 1980.

ADDRESS: All written comments and requests for a hearing (at least three copies) should be sent to the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, Attention: Application No. L–1595. The application for exemption and the comments received will be available for public inspection in the Public Documents Room of Pension and Welfare Benefit Programs, U.S. Department of Labor, Room N–4677, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

FOR FURTHER INFORMATION CONTACT: Mr. David J. Stander of the Department, telephone (202) 523–8195. (This is not a toll free number.)

SUPPLEMENTARY INFORMATION: Notice is hereby given of the pendency before the Department of an application for exemption from the restrictions of section 406(a), 406(b)(1) and 406(b)(2) of the Act. The proposed exemption was requested in an application filed on October 10, 1979, pursuant to section 408(a) of the Act and in accordance with procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975).

Summary of Facts and Representations

The application contains representations with regard to the proposed exemption which are summarized below. Interested persons are referred to the application on file with the Department for the complete representations of the applicants.

1. The Plan is a welfare plan as defined in Section 3(a) of the Act and was established in accordance with section 302(c)(6) of the Labor-Management Relations Act of 1947, as amended. The estimated number of plan participants is 2,000. The Plan provides training opportunities through an apprenticeship program to persons interested in a career as a heavy construction equipment operator or heavy equipment mechanic. The Plan also provides skill improvement training for journeyman members of the Union. The geographical jurisdiction of the Union embraces the entire State of Iowa, except for seven counties in the eastern part of the State.

As of November 5, 1979, the Plan had net assets of approximately $437,000.

2. The Plan seeks to sell the Property to the Corporation. The Property is an irregularly shaped parcel of land consisting of 7.41 acres located at the northeast corner of S.W. 60th Street and Army Post Road, in the southwest quadrant of Des Moines, Iowa. The site is zoned M–1 Light Industrial and has no water or sewer.

The Property is part of a 25 acre parcel of land (the Land) which the Plan purchased on October 24, 1978, pursuant to a bankruptcy proceeding (the Proceeding) in a Nebraska Federal District Court. The Plan paid a total consideration of $78,000 for the Land, the average price of which is $3,120 per acre. The Property has, to date, produced less than $1,600 dollars in income to the Plan.

3. The circumstances surrounding the Proceeding necessitated that only one party purchase the Land pursuant to the Proceeding. The Plan and the Union had agreed, in August 1978, that the Plan would sell to the Corporation a part of the Land which it would purchase pursuant to the Proceeding. The Property is that part of the Land which the Corporation had hoped to acquire pursuant to the Proceeding. The Corporation intends to construct an office building upon the Property. The Plan is presently constructing training facilities upon the part of the Land which it is retaining.

4. A complete appraisal of the Property prepared by Arthur J. Frahm, an independent MAI appraiser, estimates that, as of July 24, 1979, the fair market value of the Property was $6,800 per acre. The proposed total sales price for the Property will be at the appraised value of $6,800 per acre, for a total sum of $50,388.00, provided that this price is not less than the fair market value of the Property at the time of sale. The transaction will be for cash. The Plan will not pay a commission with respect to the sale.

5. In summary, the applicant represents that the proposed sale of the Property by the Plan to the Corporation satisfies the criteria of section 408(a) of the Act because (a) the sale is a one-time transaction for cash, (b) the sale will allow the Plan to dispose of an asset which is producing little income; (c) the sales price was determined by an independent appraiser; (d) the proposed sales price is approximately 117% more than the price of the Property when purchased by the Plan in October 1978; and (e) the proximity of Union office and meeting accommodations to training facilities of the Plan will provide for increased efficiency in the operation of the Plan, as well as provide many conveniences for the Plan's participants and beneficiaries.

Notice to Interested Persons

A copy of this notice of the proposed exemption will be posted in the Union's offices in Council Bluffs, Sioux City, Mason City, Waterloo, Dubuque, Cedar Rapids, Ottumwa and Des Moines, Iowa. Copies of the notice of proposed exemption will also be mailed to several employer associations which are parties to the trust agreement creating and governing the Plan. Notice will be provided within fifteen (15) days after publication of this notice in the **Federal Register**.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption under section 408(a) of the Act does not relieve a fiduciary or other party in interest from certain other provisions of the Act including any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act.

(2) The proposed exemption, if granted, will not extend to transactions prohibited under section 406(b)(3) of the Act;

(3) Before an exemption may be granted under section 408(a) of the Act the Department must find that the exemption is administratively feasible, in the interests of the plan and of its participants and beneficiaries and protective of the rights of participants and beneficiaries of the plan; and

(4) The proposed exemption, if granted, will be supplemental to, and not in derogation of, any other provisions of the Act, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption is not dispositive of whether the transaction is in fact a prohibited transaction.

Written Comments and Hearing Requests

All interested persons are invited to submit written comments or requests for a hearing on the pending exemption to the address above, within the time period set forth above. All comments will be made a part of the record. Comments and requests for a hearing should state the reasons for the writer's interest in the pending exemption. Comments received will be available for public inspection with the application for exemption at the address set forth above.

Proposed Exemption

Based on the facts and representations set forth in the application, the Department is considering granting the requested exemption under the authority of section 408(a) of the Act and in accordance with the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975). If the exemption is granted, the restrictions of section 406(a), 406(b)(1) and 406(b)(2) of the Act shall not apply to the sale by the Plan to the Corporation of a 7.41 acre parcel of unimproved real property located at the northeast corner of S.W. 60th Street and Army Post Road, in the southwest quadrant of Des Moines, Iowa, for a total sales price of $50,388.00 cash, provided that this sum is not less than the fair market value of the Property as of the date of sale.

The proposed exemption, if granted, will be subject to the express conditions that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to the exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79-38667 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-29-M

[Application No. D-1297]

Proposed Exemption for a Certain Transaction Involving the Raleigh Lithograph Corp. Profit-Sharing Retirement Plan

AGENCY: Department of Labor.

ACTION: Notice of Proposed Exemption.

SUMMARY: This document contains a notice of pendency before the Department of Labor (the Department) of a proposed exemption from certain of the prohibited transaction restrictions of the Employee Retirement Income Security Act of 1974 (the Act) and from certain taxes imposed by the Internal Revenue Code of 1954 (the Code). The proposed exemption would exempt a loan of $400,000 from the Raleigh Lithograph Corporation Profit-Sharing Retirement Plan (the Plan) to the Raleigh Lithograph Corporation (the Employer). The proposed exemption, if granted, would affect the participants and beneficiaries of the Plan, the Employer, and other persons participating in the proposed transaction.

DATES: Written comments and requests for a public hearing must be received by the Department of Labor on or before January 18, 1980.

ADDRESS: All written comments and requests for a hearing (at least three copies) should be sent to the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C-4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, Attention: Application No. D-1297. The application for exemption and the comments received will be available for public inspection in the Public Documents Room of Pension and Welfare Benefit Programs, U.S. Department of Labor, Room N-4677, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

FOR FURTHER INFORMATION CONTACT: Ms. Linda Hamilton of the Department of Labor, telephone (202) 523-7462. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: Notice is hereby given of the pendency before the Department of an application for exemption from the restrictions of section 406(a) and 406(b) (1) and (2) of the Act and from the taxes imposed by section 4975 (a) and (b) of the Code, by reason of section 4975(c)(1)(A) through (E) of the Code. The proposed exemption was requested in an application filed by the Employer and the trustees of the Plan, pursuant to section 408(a) of the Act and section 4975(c) (2) of the Code, and in accordance with procedures set forth in ERISA Procedure 75-1 (40 FR 18471, April 28, 1975). Effective December 31, 1978, section 102 of Reorganization Plan No. 4 of 1978 (43 FR 47713, October 17, 1978) transferred the authority of the Secretary of the Treasury to issue exemptions of the type requested to the Secretary of Labor. Therefore, this notice of pendency is issued solely by the Department.

Summary of Facts and Representations

The application contains representations with regard to the proposed exemption which are summarized below. Interested persons are referred to the application on file with the Department for the complete representations of the applicants.

1. The Plan was established as a profit sharing plan in 1956 and had total assets of $1,445,385 as of December 31, 1978 for the benefit of 21 participants.

2. The Employer, a privately held lithographing and printing organization, is a New York corporation which has been in operation for 30 years. The principal shareholders of the Employer, Mrs. Belle Packer and Mr. Philip J. Lack, are the trustees of the Plan and have sole authority to select investments for the Plan.

On October 17, 1978, the Employer executed a contract to purchase a six-color offset press, (the Press) at a cost of $595,160. The Employer seeks this exemption to borrow $400,000 from the Plan toward the purchase of the Press. This amount represents 28% of total Plan assets.

4. The Employer proposes to borrow $400,000 from the Plan and to repay it during a period not to exceed 5 years at a rate of interest 1½% above the prime rate offered by a local bank (the Bank). This rate of interest would be determined and the loan repaid on a quarterly basis. The loan would be prepayable at any time with interest to the date of prepayment. The Plan represents that the proposed loan would provide a much greater rate of return than that of its present investments, which averaged 7.1% for the years 1976 through 1978, inclusive.

5. As security for the loan, Mrs. Packer and Mr. Lack will post marketable collateral which will remain equal to 150% of the outstanding balance of the loan. This collateral will be posted with an independent escrow agent, the Bank, to be held during the period of the loan. The Bank will also serve as the Plan's agent for collection of the loan from the Employer. If any repayment installment is not timely made by the Employer, the Bank must sell so much of the marketable collateral as necessary to pay that installment, and pay the proceeds of the sale over to the Plan.

6. Mrs. Packer and Mr. Lack will execute and deliver to the Plan their individual personal guarantees that they will repay to the Plan, upon any default in payment by the Employer, or upon failure by the Employer to comply with any terms or conditions of the loan, the then outstanding balance of the loan together with any accrued interest due. Henry Warner & Co., the accountants for the various business ventures of Mrs. Packer and Mr. Lack, as well as the preparers of their personal tax returns, are of the opinion that the net worth of each is in excess of $1,000,000.

7. The Plan engaged in seven loan transactions with Mrs. Packer and Mr. Lack between 1961 and 1972 involving a total of $350,000. All loans were repaid to the Plan at the then prevailing interest rates.

8. The loan will be further secured by a security interest in the Press. The Employer will execute a security agreement and a Uniform Commercial Code financing statement in favor of the Plan, and will file it in the appropriate recording office of New York County and with the Secretary of State of New York. The security agreement will contain the warranty of the Employer to the effect that it has full right, title and interest to the Press, except for the security interest granted to the Plan, and that the Employer will keep the collateral free from any adverse claim or lien. The Press will be insured by the Employer against fire and other hazards for the full value thereof, and the insurance policy will contain a loss payable clause providing payment to the Plan equal to the outstanding balance of the loan.

9. The Employer has obtained a letter from the Bank summarizing the general terms under which it would consider making a $400,000 loan to the Employer. The Bank would currently consider lending the Employer $400,000 for 5 years, secured only by marketable collateral valued at 150% of the outstanding loan balance, with the personal unlimited guarantees of Mrs. Packer and Mr. Lack, and repayable in predetermined quarterly or monthly payments. Prepayment would be accepted without penalty in inverse order of maturity. The loan would be priced at 1¼% over the Bank's prime rate on a floating basis. The Bank's terms are comparable to those the Employer is offering to the Plan except that the Employer will pay a ¼% higher interest rate to the Plan (1½% above the prime rate of the Bank) and the Employer will also give the Plan a security interest in the Press.

10. The Press is being purchased through Coastal Graphics, Inc. (Coastal), which has stated that the value of the Press has increased by 87% since 1975 and, as of March 14, 1979, is valued at $760,000. Coastal also stated that this Press has maintained an unusual place in the used press market over many years and expressed the opinion that the resale value and marketability of the Press as used equipment is excellent at present and will be in the foreseeable future.

In summary, the applicants represent that the proposed transaction will satisfy the criteria of section 408(a) of the Act because:

(1) It can be easily verified;

(2) It will provide an excellent rate of return to the Plan which exceeds that of its present investments;

(3) The marketable collateral, the security interest in the Press, and the personal guarantees give assurances that the Plan will not suffer a loss; and

(4) The trustees of the Plan have determined that the proposed transaction is appropriate for the Plan and in the best interests of its participants and beneficiaries.

Notice to Interested Persons

Notice of the proposed exemption will be given to all active Plan participants by posting the Notice of Pendency, as it appears in the Federal Register, about the Employer's place of business. Terminated participants and beneficiaries who have the right to receive benefits from the Plan, will be notified by mail, addressed to them at their last known addresses. Notice of the pending exemption will be given within 10 days of its publication in the Federal Register.

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption under section 408(a) of the Act and section 4975(c)(2) of the Codes does not relieve a fiduciary or other party in interest or disqualified person from certain other provisions of the Act and the Code, including any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his or her duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act; nor does it affect the requirement of section 401(a) of the Code that the plan must operate for the exclusive benefit of the employees of the employer maintaining the plan and their beneficiaries;

(2) The proposed exemption, if granted, will not extend to transactions prohibited under section 406(b)(3) of the Act and section 4975(c)(1)(F) of the Code;

(3) Before an exemption may be granted under section 408(a) of the Act and section 4975(c)(2) of the Code, the Department must find that the exemption is administratively feasible, in the interests of the plan and of its participants and beneficiaries and protective of the rights of participants and beneficiaries of the plan; and

(4) The proposed exemption, if granted, will be supplemental to, and not in derogation of, any other provisions of the Act and the Code, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption is not dispositive of whether the transaction is in fact a prohibited transaction.

Written Comments and Hearing Requests

All interested persons are invited to submit written comments or requests for a hearing on the pending exemption to the address above, within the time period set forth above. All comments will be made a part of the record. Comments and requests for a hearing should state the reasons for the writer's interest in the pending exemption. Comments received will be available for public inspection with the application for exemption at the address set forth above.

Proposed Exemption

Based on the facts and representations set forth in the application, the Department is considering granting the requested exemption under the authority of section 408(a) of the Act and section 4975(c)(2) of the Code and in accordance with the procedures set forth in ERISA Procedure 75-1 (40 FR 18471, April 28, 1975). If the exemption is granted, the restrictions of section 406(a) and 406(b) (1) and (2) of the Act and the taxes imposed by section 4975 (a) and (b) of the Code, by reason of section 4975(c)(1) (A) through (E) of the Code shall not apply to the loan of $400,000 by the Plan to the Employer for the purchase of an offset press as described herein provided that the terms of the transaction are not less favorable to the Plan than those obtainable from an unrelated party at arm's length at the time of the consummation of the transaction.

The proposed exempton, if granted, will be subject to the express conditions that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to the exemption.

Signed at Washington, D.C., this 12th day of December, 1979.

Ian D. Lanoff,

Administrator for Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79-38669 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-29-M

[Application No. L-1008]

Proposed Exemption for Certain Transactions Involving the United Hatters, Cap & Millinery Workers International Union Health and Welfare Fund of Local 45 and United Hatters, Cap & Millinery Workers International Union Retirement Plan of Local 45

AGENCY: Department of Labor.

ACTION: Notice of Proposed Exemption.

SUMMARY: This document contains a notice of pendency before the Department of Labor (the Department) of a proposed exemption from certain of the prohibited transaction restrictions of the Employee Retirement Income Security Act of 1974 (the Act). The proposed exemption would exempt the proposed transfer of assets from the United Hatters, Cap and Millinery Workers International Union Health and Welfare Fund of Local 45 (the Fund) to the United Hatters, Cap and Millinery Workers International Union Retirement Plan of Local 45 (the Plan). The proposed exemption, if granted, would affect participants and beneficiaries of the Plan, the Fund and other persons participating in the proposed transaction.

DATES: Written comments and requests for a public hearing must be received by the Department of Labor on or before January 28, 1980.

ADDRESS: All written comments and requests for a hearing (at least three copies) should be sent to the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C-4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, Attention: Application No. L-1008. The application for exemption and the comments received will be available for public inspection in the Public Documents Room of Pension and

Welfare Benefit Programs, U.S. Department of Labor, Room N–4677, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

FOR FURTHER INFORMATION CONTACT: Ronald D. Allen, of the Department of Labor, telephone (202) 523–7901. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: Notice is hereby given of the pendency before the Department of an application for exemption from the restrictions of section 406(b)(2) of the Act. The proposed exemption was requested in an application filed by the United Hatters, Cap and Millinery Workers International Union (the Union) on behalf of the Plan, pursuant to section 408(a) of the Act and in accordance with procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975).

Summary of Facts and Representations

The application contains representations with regard to the proposed exemption which are summarized below. Interested persons are referred to the application on file with the Department for the complete representations of the applicants.

1. The Union represents the active and retired workers of the Millinery Workers Union Local 45 (the Local) in Philadelphia, Pennsylvania. The Fund and the Plan were established pursuant to collective bargaining agreements between various Philadelphia area employers in the Millinery industry, including the Union and the Local.

2. The Millinery industry in the Philadelphia area has declined to the point that there remains only one contributing employer to the Fund and the Plan, namely, the S & S Hat Company (the Employer) which presently employs 19 workers. These workers constitute all the present participants in the Fund and the active participants in the Plan. The Plan has 72 participants, 53 of whom are retired. Participation in the Fund terminate upon retirement and the participants receive no further benefits from the Fund.

3. The former employees of defunct employers are no longer participants in the Fund and, consequently, the reserves established in the Fund for their benefit are unused and unusable.

4. The trustees of the Plan, Harry Saft and Michael Liloia, who also serve as trustees of the Fund, propose to transfer $110,000 from the Fund to the Plan. The trustees have been advised by their actuary that the Plan is underfunded and the proposed transfer would not only provide proper funding for the Plan, but would enable it to increase benefits to present and future retirees. Benefits for present retirees would increase from the $30 and $40 levels per month, to $50 per month. Benefits for future retirees will be calculated at the rate of $3 per month per year of service, limited to 30 such years. The maximum benefit for such retirees would be $90 per month.

5. For the fiscal year ending June 30, 1977 the Fund had reserves of $221,700. The applicant represents that it is apparent that after the proposed transfer of assets to the Plan, the reserves and income of the Fund will be more than sufficient to provide for any reasonably foreseeable increase in costs and benefits. The Fund's projected expenses based on historical data, are between $3,500 and $4,500 per year.

6. The 19 presently active participants in the Fund are covered under the American Federation of Labor Medical Service Plan of Philadelphia. This insurance program is essentially supplemental insurance coverage which fills the void between Blue Cross/Blue Shield and/or Major Medical coverage and costs the Fund $73.15 per month.

7. The applicant represents that the statutory criteria of section 408(a) of the Act are satisfied because (a) the proposed transaction is a one time transfer of cash; (b) the transfer would permit Plan benefits to increase for all participants and beneficiaries; and (c) the transfer would result in Fund assets that would be more than sufficient to provide for any reasonably foreseeable increase in costs and benefits.

Notice to Interested Persons

All Plan and Fund participants and beneficiaries will be notified by delivering personally, or by mail, a copy of the notice of pendency of the proposed exemption as published in the **Federal Register**, and advising these persons of their rights to comment and/or to request a hearing within the period of time specified above. Such notification will be given no later than 10 days after the notice of pendency is published in the **Federal Register.**

General Information

The attention of interested persons is directed to the following:

(1) The fact that a transaction is the subject of an exemption under section 408(a) of the Act does not relieve a fiduciary or other party in interest from certain other provisions of the Act, including any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other thing require a fiduciary to discharge his duties respecting the plan solely in the interest of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act;

(2) The proposed exemption, if granted, will not extend to transactions prohibited under section 406(a), 406(b)(1) and 406(b)(3) of the Act;

(3) Before an exemption may be granted under section 408(a) of the Act, the Department must find that the exemption is administratively feasible, in the interests of the plan and of its participants and beneficiaries, and protective of the rights of participants and beneficiaries of the plan; and

(4) The proposed exemption, if granted, will be supplemental to, and not in derogation of, any other provisions of the Act, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption is not dispositive of whether the transaction is in fact a prohibited transaction.

Written Comments and Hearing Requests

All interested persons are invited to submit written comments or requests for a hearing on the pending exemption to the address above, within the time period set forth above. All comments will be made a part of the record. Comments and requests for a hearing should state the reasons for the writer's interest in the pending exemption. Comments received will be available for public inspection with the application for exemption at the address set forth above.

Proposed Exemption

Based on the facts and representations set forth in the application, the Department is considering granting the requested exemption under the authority of section 408(a) of the Act and in accordance with the procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975). If the exemption is granted, the restrictions of section 406(b)(2) of the Act shall not apply to the cash transfer of $110,000 from the Fund to the Plan.

The proposed exemption, if granted, will be subject to the express conditions that the material facts and representations contained in the application are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to the exemption.

Signed at Washington, D.C. this 12th day of December, 1979.

Ian D. Lanoff,

Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79–38671 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–29–M

[Application No. L–894]

Proposed Exemption for Certain Transactions Involving Utah Laborer's Vacation Trust Fund

AGENCIES: Department of Labor.

ACTION: Notice of Proposed Exemption.

SUMMARY: This document contains a notice of pendency before the Department of labor (the Department) of a proposed exemption from the prohibited transaction restrictions of the Employee Retirement Income Security Act of 1974 (the Act). The proposed exemption would exempt the transfer of uncommitted reserves from the Utah Laborer's Vacation Trust Fund (the Plan) to the Utah Laborer's Health & Welfare Trust Fund (the Fund) due to termination of the Plan. The proposed exemption, if granted, would affect participants and beneficiaries of the Plan and other persons particpating in the proposed transaction.

DATES: Written comments and requests for a public hearing must be received by the Department on or before January 28, 1980.

ADDRESS: All written comments and requests for a hearing (at least three copies) should be sent to the Office of Fiduciary Standards, Pension and Welfare Benefit Programs, Room C–4526, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20216, Attention: Application No. L–894. The application for exemption and the comments received will be available for public inspection in the Public Documents Room of Pension and Welfare Benefit Programs, U.S. Department of Labor, Room N–4677, 200 Constitution Avenue, N.W., Washington, D.C. 20216.

FOR FURTHER INFORMATION CONTACT: Ronald D. Allen, (202) 523–7901. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION: Notice is hereby given of the pendency before the Department of an application for exemption from the restrictions of section 406(b)(2) of the Employee Retirement Income Security Act of 1974 (the Act). The pending exemption was requested in an application filed on behalf of the Plan, pursuant to section 408(a) of the Act and in accordance with procedures set forth in ERISA Procedure 75–1 (40 FR 18471, April 28, 1975).

Summary of Facts and Representations

The application contains facts and representations with regard to the pending exemption which are summarized below. Interested persons are referred to the application on file with the Department for the complete representations of the applicants.

1. This application was filed on behalf of the Trustees of the Plan. The Plan was established in September 1972 pursuant to collective bargaining agreements and terminated January 1, 1977. The Plan constitutes an irrevocable trust for the purpose of providing a vacation plan for the benefit of participants as provided in section 302(c)(6) of the Labor-Management Relations Act of 1947, as amended, and to that end, collect, maintain, invest, and disburse the Plan assets.

2. The participants of the Plan are certain employees covered by Collective Bargaining Agreements (the Agreement) by and between Laborers' Local Union No. 295 (the Union), affiliated with the Laborers' International Union of North America, the building and Construction Trades Council of Utah, and with the AFL-CIO having jurisdiction over the work in the State of Utah, and the Associated General Contractors of America, Utah Chapter, Utah Builders Bargaining Unit, and the Masonry Contractors Association of Utah. The geographical jurisdiction of the Union embraces the entire State of Utah.

3. As provided in the Agreement, the Plan is administered by a Board of eight Trustees, of whom one half are designated by the employers, and one half by the Union.

4. As provided by the Agreement, the vacation payouts were automatically distributed to the participants on April 1st of the following calendar year. If a participant for any reason did not receive his vacation check within sixty days from the April 1st distribution date, he was required, in order to avoid forfeiture, to make application requesting distribution with the Plan within 120 calendar days from the April 1st distribution date. If a participant did not receive his vacation check and did not make application requesting such distribution within the time authorized, or if he failed to cash his check within ninety days following its date of issuance, then he was deemed to have elected to contribute such amount to the Administrative Account of the Fund to pay for administration costs with any balance being utilized or disbursed as determined by the Trustees. The Fund also constitutes an irrevocable trust administered for the purpose of providing a Health and Welfare Plan for the benefit of participants, their families, and dependents as provided in section 302(c)(5), of the Labor-Management Relations Act of 1947, as amended, and to that end to provide for any and all of the following insurance and benefits: life insurance, accident and disability insurance, hospital, surgical, medical, dental, accident, disability, and sickness benefits and similar insurance and benefits, but excluding pensions and retirement annuities.

5. The distribution to participants for each vacation year was made by check mailed to participants as directed by the Trustees. The experience of the Plan since its establishment has been that many of the vacation checks mailed to the participants have been returned to the Plan because the participant has moved and failed to notify the Plan or the Post Office of his forwarding address. When this has happened, a diligent effort has been made to locate the participant. Although the Plan has been able to locate some of the participants, the majority have not been located.

6. When unclaimed vacation checks were returned to the Plan, a list of the participants whose checks were returned, was provided to the Union. This list was then posted for review by the membership for the purpose of securing any additional information as to correct addresses. Further, the Union officers reviewed their records to determine the availability of a different address to which the vacation checks could be sent. In addition, contact was made with the employer contractor of each participant whose vacation check was returned to the Plan to determine if the contractor had an address different from the one where the vacation check was sent which could be used to resend the unclaimed vacation checks. This contact with the contributing employer was made by personnel working within the Administrative Office of the Plan.

7. Contributions to the Plan terminated effective December 31, 1976, as a result of the Agreement then in effect. Total Plan assets are approximately $85,000, which consist of forfeitures of $72,342.45 plus interest from September 30, 1977. Forfeitures for the first calendar year of the Plan ending December 31, 1972, have been paid via a dividend to all eligible participants of the Plan. The Trustees administering the Fund are the same eight trustees administering the Plan. All participants of the Plan are also participants of the Fund and all participants of the Fund are also participants of the Plan.

8. At the regular Union meeting held November 1, 1976, the matter of the terminated Plan and the options available were discussed. It was moved, seconded and carried to ask the Trustees to transfer the remaining monies to the Fund Where it would provide benefits to the same participants who made the contributions.

9. The Trustees, by unanimous vote, have determined that if the application for exemption is granted by the Department of Labor and if by virtue of a physical transfer of the forefeiture funds to the Fund an adverse consequence did occur, the Fund would indemnify and hold harmless the Plan from any and all claims, rights and interests that a prior Plan participant could enforce. No monies have been transferred between the Plan and the Fund.

10. It is represented that the proposed transaction will satisfy the statutory provisions of section 408(a) of the Act because: (1) it is a one time transaction and (2) it will enable the Fund to increase benefits to participants and beneficiaries without negatively affecting funds available for vacation benefits.

Notice to Interested Persons

Within 15 days after publication in the **Federal Register**, a copy of this notice of the proposed exemption will be posted in the offices of the Plan and the Fund. Copies of the notices will also be mailed to the Union and the Employer Associations which are parties to the Agreement creating and governing the Plan.

(1) The fact that a transaction is the subject of an exemption under section 408(a) of the Act does not relieve a fiduciary or other party in interest with respect to the plan to which the exemption is applicable from certain other provisions of the Act, including any prohibited transaction provisions to which the exemption does not apply and the general fiduciary responsibility provisions of section 404 of the Act, which among other things require a fiduciary to discharge his duties respecting the plan solely in the interests of the participants and beneficiaries of the plan and in a prudent fashion in accordance with section 404(a)(1)(B) of the Act;

(2) The proposed exemption, if granted, will not extend to transactions prohibited under section 406(a), 406(b)(1) or 406(b)(3) of the Act.

(3) Before an exemption may be granted under section 408(a) of the Act the Department must find that the exemption is administratively feasible, in the interests of the Plan and of its participants and beneficiaries, and protective of the rights of participants and beneficiaries of the Plan; and

(4) The proposed exemption, if granted, will be supplemental to, and not in derogation of, any other provisions of the Act, including statutory or administrative exemptions and transitional rules. Furthermore, the fact that a transaction is subject to an administrative or statutory exemption is not dispositive of whether the transaction is in fact a prohibited transaction.

Written Comments and Hearing Requests

All interested persons are invited to submit written comments or requests for a hearing on the pending exemption to the address above, within the time period set forth above. All comments will be made a part of the record. Comments and requests for a hearing should state the reasons for the writer's interest in the pending exemption. Comments received will be available for public inspection with the application for exemption at the addresses set forth above.

Proposed Exemption

Based on the representations in the application, the Department is considering granting the requested exemption under the authority of section 408(a) of the Act in accordance with procedures set forth in ERISA Procedure 75–1 (40 FR 18471 April 28, 1975). If the exemption is granted, the restrictions of section 406(b)(2) shall not apply to the transfer of uncommitted reserves of approximately $85,000, together with any additional forfeitures, to the Fund due to the termination of the Plan.

The pending exemption, if granted, will be subject to the express conditions that the material facts and representations are true and complete, and that the application accurately describes all material terms of the transaction to be consummated pursuant to the exemption.

Signed at Washington, D.C. this 12th day of December, 1979.

Ian D. Lanoff,

Administrator, Pension and Welfare Benefit Programs, Labor-Management Services Administration, Department of Labor.

[FR Doc. 79–38670 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–29–M

Office of the Secretary

[TA–W–6062 and TA–W–6062–A]

Compo Industries, Inc., Molds Division; Certification Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 USC 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on September 20, 1979 in response to a worker petition received on September 17, 1979 which was filed on behalf of workers and former workers producing aluminum shoe molds at Compo Industries, Incorporated, Molds Division, Waltham, Massachusetts (TA–W–6062). The investigation was expanded to include workers and former workers producing aluminum shoe molds at Compo Industries, Incorporated, Molds Division, Conway, New Hampshire (TA–W–6062–A). It is concluded that all of the requirements have been met.

U.S. imports of shoe sole molds used in the direct injection molding process of footwear manufacturing increased in dollar value and increased relative to domestic production in January–September 1979 compared to the same period in 1978.

A Department survey revealed that some customers reduced purchases of aluminum shoe molds from Compo Industries and increased purchases of imports in January–September 1979 compared to the like period in 1978.

Conclusion

After careful review of the facts obtained in the investigation, I conclude that increases of imports of articles like or directly competitive with aluminum shoe molds produced at the Molds Division of Compo Industries, Incorporated contributed importantly to the decline in sales or production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Act, I make the following certification:

All workers of Compo Industries, Incorporated, Molds Division, Waltham, Massachusetts (TA–W–6062) who became totally or partially separated from employment on or after June 17, 1979, and all workers of Compo Industries, Incorported, Molds Division, Conway, New Hampshire (TA–W–6062–A) who became totally or partially separated from employment on or after March 11, 1979, are eligible to apply for adjustment assistance under title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79–38764 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–6160, 6201]

Conaway Winter, Inc.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirments of Section 222 of the Act must be met.

The investigations were initiated on October 9, 1979 and October 16, 1979 in response to a worker petition received on October 2, 1979 which was filed by the United Food and Commercial Workers' Union on behalf of workers and former workers producing infants' shoes at the Willow Springs and Mountain View, Missouri plants of Conaway Winter, Incorporated. The investigation revealed that children's shoes were also produced at the Willow Springs plant. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

A. Willow Springs Plant

The Department surveyed some of the customers of the Willow Springs plant concerning purchases of infants' and children's shoes. The survey revealed that customers which increased purchases of imported infants' and children's shoes represented an insignificant proportion of the plant's sales.

B. Mountain View Plant

A Department survey of a sample of the customers of the Mountain View plant revealed that none of the customers purchased imports of infants' soft sole shoes in 1977, 1978 or the first nine months of 1979.

Conclusion

After careful reivew, I determine that all workers of the Willow Springs and Mountain View, Missouri plants of Conaway Winter, Incorporated are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79–38765 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–6243]

Elkins Energy Corp.; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 23, 1979 in response to a worker petition received on October 17, 1979 which was filed by the United Mine Workers of America on behalf of workers and former workers mining coal at Elkins Energy Corporation, Clintwood, Virginia. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

Elkins Energy Corporation mines coal under contract for a major domestic coal company. The coal sold by the company is primarily either exported or sold to domestic utility companies for use in generating steam. A small amount of the coal is also sold to domestic metallurgical coal users, however the decline in employment and production at the Elkins Energy Corporation is primarily attributable to the loss of domestic utility and export sales.

Imports of bituminous coal for use in producing steam are negligible, being less than one percent of domestic production. Imports have no relevant effect on export sales, and therefore cannot be considered to have contributed to the loss of scuh sales.

Conclusion

After careful review, I determine that all workers of Elkins Energy Corporation, Clintwood, Virginia are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

Harry J. Gilman,

Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79–38766 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–28–M

[TA–W–5904]

General Dynamics Corp., Quincy Shipbuilding Division; Revised Determination on Reconsideration

On November 7, 1979, the Department of Labor made an Affirmative Determination Regarding Application for Reconsideration for workers and former workers of General Dynamics Corporation, Quincy Shipbuilding Division, Quincy, Massachusetts. This determination was published in the **Federal Register** on November 13, 1979, (44 FR 65491).

An important consideration in the initial negative determination of the Department was that the Quincy Shipyard had specialized in the construction of tankers designed to carry liquified natural gas.

In response to the arguments presented by the Industrial Union of Marine and Shipbuilding Workers of America and company officials, a further investigation was made by the Office of Trade Adjustment Assistance. The investigation revealed that the Quincy Shipyard has the capacity to build a wide variety of vessels and is not constrained to competing solely within the market for liquified natural gas tankers. Capital investment over the last decade has enabled Quincy to compete for the construction of a diversity of vessels such as integrated tug/barge combinations and ocean drilling rigs.

The domestic market for the U.S. shipbuilding industry in general and for the Quincy yard specifically is those merchant vessels intended for U.S. registry. Merchant vessels built in foreign shipyards and delivered for U.S. registry constitute imports. The number of such vessels increased in 1978 compared with 1977. Further, the number of merchant vessels intended for U.S. registry on order or under construction increased significantly in 1978 compared with 1977.

Domestic yards face a substantial price disadvantage relative to foreign yards in bidding on ocean-going merchant vessel construction.

The disadvantage of domestic yards relative to foreign yards is such that, generally, even with a substantial subsidy domestic shipyards have difficulty in competing effectively with foreign builders of merchant vessels.

An example of this lack of competitiveness occurred in 1978. A major contract for twelve merchant vessels to be operated under U.S. registry was awarded by a U.S. firm to a group of three foreign shipyards. Although the specifications of these vessels were new to domestic shipyards, the vessels themselves were designed for use by shipping lines which Quincy shipyard is competing to supply. Consequently, these vessels were directly competitive with vessels that Quincy had the capacity to produce.

The Quincy Shipbuilding Division operates another facility in Charleston, South Carolina. The Charleston facility is an integrated part of the Quincy Shipbuilding Division. It is the intent of the Department to include the workers and former workers of the Charleston facility in this determination.

Conclusion

After careful review of the facts obtained on reconsideration, it is concluded that increased foreign construction of articles like or directly competitive with the ocean-going vessels produced at the Quincy Shipbuilding Division of General Dynamics Corportation in Quincy, Massachusetts, and Charleston, South Carolina, contributed importantly to the decline in production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Trade Act of 1974, I make the following revised determination:

All workers of the General Dynamics Corporation, Quincy Shipbuilding Division, Quincy, Massachusetts, and Charleston, South Carolina, who became totally or partially separated from employment on or after August 7, 1978, are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C., this 10th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79-38767 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-28-M

[TA—W—6233]

H & D Coal Co., Inc., McDowell County, W. Va; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 USC 2273) the Department of Labor herein presents the results of an investigation certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 18, 1979 in response to a worker petition received on October 16, 1979 which was filed on behalf of workers and former workers mining coal at H and D Coal Company, Incorporated, North Tazewell, Virginia. The investigation revealed that North Tazewell is the company's mailing address. The mine H and D operates is located near Pageton in McDowell County, West Virginia. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

H and D Coal Company, Incorporated mines coal on a contract basis for a single coal company. All of the coal mined by H and D is sent to a single preparation plant owned by its customer. More than ninety percent of the coal that was shipped from that preparation plant in 1978 was exported. In the first nine months of 1979 total sales from the plant increased compared to the same period in 1978. Although the plant's sales to domestic customers declined, that decline was more than offset by increasing export sales.

Output by H and D was reduced during seven months of 1978 due to strikes. Since October 1978, there have been four months during which production by H and D is directly comparable to the same month's production one year earlier. These months are November, 1978 and April, May and June 1979. In each of these months, production at H and D increased when compared to the same months one year earlier. Sales and production at H and D are equal. Average monthly production at H and D increased in the first ten months of 1979 compared to the average monthly production during the non strike months of 1978.

All of the coal mined by H and D is metallurgical coal. U.S. imports of metallurgical coal declined both absolutely and relative to domestic consumption in 1978 compared to 1977 and in the first six months of 1979 compared to the first six months of 1978. The ratio of imports to domestic production of metallurgical coal was less than one percent in each year from 1974 through 1978 and in the first six months of 1979.

Conclusion

After careful review, I determine that all workers of H and D Coal Company, Incorporated McDowell County, West Virginia are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79-38768 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-28-M

[TA-W 5804 and 5805]

Jeep Corp.; Revised Determination on Reconsideration

On November 16, 1979, (44 FR 67245), the Department of Labor granted administrative reconsideration of the Notice of Determinations Regarding Eligibility to Apply for Worker Adjustment Assistance which it had made on October 5, 1979, (44 FR 57530 pursuant to Section 223 of the Trade Act of 1974 for workers and former workers producing Jeep vehicles at the North Cove Boulevard and Stickney Avenue plants in Toledo, Ohio, of the Jeep Corporation.

In its reconsideration, the Department reviewed its file on the Jeep Corporation. The review and additional data obtained showed that all of the criteria of Section 222 of the Trade Act have been met for the second and third quarters of 1979 for workers at the Toledo, Ohio, facility producing four-wheel drive general utility vehicles.

Production, in units, of four-wheel drive general utility vehicles at Toledo decreased in the first, second and third quarters of 1979 compared to the same quarters in 1978. Plant production employment decreased in the second and third quarters of 1979 compared to the same quarters in 1978.

U.S. imports of four-wheel drive general utility vehicles increased in 1978 compared to 1977 and in the first six months of 1979 compared to the same period in 1978 both absolutely and relative to domestic production. The decline in production of Jeep Corporation's general utility vehicles coincides with a significant increase in these vehicles.

With respect to workers producing four-wheel drive pick-up trucks, company officials have indicated that substantial layoffs occurred in September and October, 1979 for workers engaged in employment related to the final trim assembly and final assembly of pick-up trucks.

The Department's review revealed that workers producing station wagons did not meet the increased import criterion of Section 222 of the Trade Act, since there were no U.S. imports of vehicles like or directly competitive with Jeep four-wheel drive station wagons.

Conclusion

Based on additional evidence, a review of the entire record and in accordance with the provisions of the Act, I make the following revised determination:

All workers in final trim and final assembly at the North Cove Boulevard and Stickney Avenue plants in Toledo, Ohio, of the Jeep Corporation engaged in employment related to the production of Jeep pick-up trucks (J-10 and J-20 models) and general utility vehicles (CJ-5 and CJ-7 models) who became totally or partially separated from employment on or after April 30, 1979, are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

James F. Taylor,

Director, Office of Management, Administration and Planning.

[FR Doc. 79-38769 Filed 12-17-79; 8:45 am]

BILLING CODE 4510-28-M

Investigations Regarding Certifications of Eligibility to Apply for Worker Adjustment Assistance

Petitions have been filed with the Secretary of Labor under Section 221(a) of the Trade Act of 1974 ("the Act") and are identified in the Appendix to this notice. Upon receipt of these petitions, date on which total or partial separations began or threatened to begin and the subdivision of the firm involved.

Pursuant to 29 CFR 90.13, the petitioners or any other persons showing a substantial interest in the subject matter of the investigations may request a public hearing, provided such request is filed in writing with the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 28, 1979.

Interested persons are invited to submit written comments regarding the subject matter of the investigations to the Director of the Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted investigations pursuant to Section 221(a) of the Act and 29 CFR 90.12.

The purpose of each of the investigations is to determine whether absolute or relative increases of imports of articles like or directly competitive with articles produced by the workers' firm or an appropriate subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision.

Petitioners meeting these eligibility requirements will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90. The investigations will further relate, as appropriate, to the determination of the the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 28, 1979.

The petitions filed in this case are available for inspection at the Office of the Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 10th day of December 1979.

Harold A. Bratt,

Acting Director, Office of Trade Adjustment Assistance.

Appendix

Petitioner: Union/workers or former workers of—	Location	Date received	Date of petition	Petition No	Articles produced
Al Peirce Lumber Company (International Woodworkers of America).	Coos Bay, Oreg	12/4/79	11/27/79	TA-W-6,572	Green dimension lumber.
ATP Processors, Ltd (ACTWU)	Paterson, N.J	12/4/79	11/28/79	TA-W-6,573	Textile printing for women's apparel.
Barker Engineering (UAW)	Kenilworth, N.J	12/4/79	11/29/79	TA-W-6,574	Optical hardware.
Campbell "66" Express (workers)	St. Louis, Mo	12/4/79	11/28/79	TA-W-6,575	Pick up and delivery of any type of product.
Casa de Lana (ILGWU)	Glencove, N.Y	11/20/79	11/14/79	TA-W-6,576	Wool coats.
Great Vibes, Inc. (workers)	New York, N.Y	10/24/79	10/18/79	TA-W-6,577	Ladies' one and two piece dresses and pant suits.
Pharch of California (company)	Cucamonga, Calif	12/4/79	11/28/79	TA-W-6,578	Women's jackets.
Slavin Products, Inc. (company)	Waterbury, Conn	12/4/79			
		11/30/79	6,579	TA-W-6,579	Clocks and barometer plaques.
Steffi Fashions, Inc. (ILGWU)	New York N.Y	11/20/79	11/14/79	TA-W-6,580	Ladies' coats and suits.
U.S. Steel Corp., Ohio & McDonald Works (USWA).	McDonald, Ohio	12/3/79	11/29/79	TA-W-6,581	All steel products.
U.S. Steel Corp., Ohio & McDonalds Works (USWA).	Youngstown, Ohio	12/3/79	11/29/79	TA-W-6,582	All steel products.
U.S. Steel Corp. (USWA)	Pittsburg, Calif	12/3/79	11/29/79	TA-W-6,583	Galvanized sheet, pipe, and tubing.
U.S. Steel Corp., Wheel & Axle Division (USWA).	McKees Rocks, Pa	12/3/79	11/29/79	TA-W-6,584	Rail road axles.
U.S. Steel Corp. (USWA)	New Haven, Conn	12/3/79	11/29/79	TA-W-6,585	All steel products.
U.S. Steel Corp., Metal Products Division (USWA).	Camden, N.J	12/3/79	11/29/79	TA-W-6,586	Steel containers.
U.S. Steel Corp. (USWA)	Chicago, Ill	12/3/79	11/29/79	TA-W-6,587	Steel containers.
U.S. Steel Corp. (USWA)	Torrance, Calif	12/3/79	11/29/79	TA-W-6,588	All steel products.

Appendix

Petitioner: Union/workers or former workers of—	Location	Date received	Date of petition	Petition No.	Articles produced
U.S. Steel Corp., Universal Atlas Cement Division, Buffington Plant (USWA).	Gary, Ind	12/3/79	11/29/79	TA-W-6,589	Grey cement.
U.S. Steel Corp., Universal Atlas Cement Division (USWA).	Universal, Pa	12/3/79	11/29/79	TA-W-6,590	Grey cement.
Valtronic Corp. (workers)	New York, N.Y	8/15/79	8/10/79	TA-W-5,591	Furniture.

[FR Doc. 79-38762 Filed 12-17-79; 8:45 am]
BILLING CODE 4510-28-M

Investigations Regarding Certifications of Eligibility To Apply for Worker Adjustment Assistance

Petitions have been filed with the Secretary of Labor under Section 221(a) of the Trade Act of 1974 ("the Act") and are identified in the Appendix to this notice. Upon receipt of these petitions, the Director of the Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, has instituted investigations pursuant to Section 221(a) of the Act and 29 CFR 90.12.

The purpose of each of the investigations is to determine whether absolute or relative increases of imports of articles like or directly competitive with articles produced by the workers' firm or an appropriate subdivision thereof have contributed importantly to an absolute decline in sales or production, or both, of such firm or subdivision and to the actual or threatened total or partial separation of a significant number or proportion of the workers of such firm or subdivision.

Petitioners meeting these eligibility requirements will be certified as eligible to apply for adjustment assistance under Title II, Chapter 2, of the Act in accordance with the provisions of Subpart B of 29 CFR Part 90. The investigations will further relate, as appropriate, to the determination of the date on which total or partial separations began or threatened to begin and the subdivision of the firm involved.

Pursuant to 29 CFR 90.13, the petitioners or any other persons showing a substantial interest in the subject matter of the investigations may request a public hearing, provided such request is filed in writing with the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 28, 1979.

Interested persons are invited to submit written comments regarding the subject matter of the investigations to the Director, Office of Trade Adjustment Assistance, at the address shown below, not later than December 28, 1979.

The petitions filed in this case are available for inspection at the Office of the Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 200 Constitution Avenue, N.W., Washington, D.C. 20210.

Signed at Washington, D.C. this 11th day of December 1979.

Marvin M. Fooks,
Director, Office of Trade Adjustment Assistance.

Appendix

Petitioner: Union/workers or former workers of—	Location	Date received	Date of petition	Petition No.	Articles produced
Alps Sportswear Manufacturing Co. (company).	Lawrence Mass	11/20/79	11/16/79	TA-W-6,592	Men's sweaters and knit shirts.
Bethlehem Steel Corp., Burns Harbor Plant (USWA).	Chesterton, Ind	12/4/79	11/30/79	TA-W-6,593	Hot rolled coiled and sheet steel.
Bethlehem Steel Corp. (USWA)	Sparrows Point, Md	12/4/79	12/2/79	TA-W-6,594	Steel, cold roll galvanized sheets, plate, pipe rods, and rebars.
Courtney Garment Company, Inc. (ILGWU)	Hayti, Mo	11/20/79	11/14/79	TA-W-6,595	Ladies' wool coats and blazers.
Ford Aerospace & Communications Corp. (IUE).	Connersville, Ind	12/4/79	11/28/79	TA-W-6,596	Component parts for automobile air conditioners.
Lillian Coat Co. (workers)	Jersey City, N.J	11/13/79	11/9/79	TA-W-6,597	Ladies' coats and raincoats.
Lou Levy & Sons Fashions, Inc. (workers)	New York, N.Y	12/3/79	11/28/79	TA-W-6,598	Ladies' coats and sportswear.
Ma-ru Sportswear, Inc. (company)	Lawrence, Mass	11/20/79	11/16/79	TA-W-6,599	Packaging and shipping men's sweaters and knit shirts to customers.
Magnavox Company (IUE)	Jefferson City, Tenn	12/5/79	11/30/79	TA-W-6,600	Assemble radios, tuners, and amplifiers.
Monroe Manufacturing Company (workers)	Newark, N.J	12/3/79	11/27/79	TA-W-6,601	Men's and boys' coats.
Sassamansville Manufacturing Company (ACTWU).	Sassamansville, Pa	11/26/79	11/20/79	TA-W-6,602	Men's suit vests.
Youngstown Sheet & Tube, Briar Hill Works (USWA).	Youngstown, Ohio	12/3/79	11/29/79	TA-W-6,603	Steel rounds.

[FR Doc. 79-38763 Filed 12-17-79; 8:45 am]
BILLING CODE 4510-28-M

[TA-W-6057]

Lighthouse Footwear, Inc., Skowhegan, Maine; Negative Determination Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance each of the group eligibility requirments of Section 222 of the Act must be met.

The investigation was initiated on September 19, 1979 in response to a worker petition received on September 17, 1979 which was filed on behalf of workers and former workers producing men's and women's casual shoes and boots at Lighthouse Footwear, Incorporated, Skowhegan, Maine. In the following determination, without regard to whether any of the other criteria have been met, the following criterion has not been met:

That increases of imports of articles like or directly competitive with articles produced by the firm or appropriate subdivision have contributed importantly to the separations, or threat thereof, and to the absolute decline in sales or production.

The Department surveyed the customers of Lighthouse Footwear, Incorporated. The survey revealed that customers, representing a significant proportion of sales, increased purchases and plan to maintain purchases from Lighthouse Footwear. Sales of footwear by Lighthouse increased in quantity and value in each month during the January-October period of 1979 compared with the same months of 1978.

Conclusion

After careful review, I determine that all workers at Lighthouse Footwear, Incorporated, Skowhegan, Maine are denied eligibility to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

Harry J. Gilman,
Supervisory International Economist, Office of Foreign Economic Research.

[FR Doc. 79-38770 Filed 12-17-79; 8:45 am]
BILLING CODE 4510-28-M

[TA-W-6237]

Peerless Umbrella Co., Inc.; Certification Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 18, 1979 in response to a worker petition received on October 16, 1979 on behalf of workers and former workers producing all types of umbrellas at Peerless Umbrella Company, Incorporated, New York, New York. It is concluded that all of the requirements have been met.

U.S. imports of umbrellas increased in value in 1978 compared to 1977 and in the January through June period of 1979 compared to the same period of 1978.

In a survey conducted by the Department of Commerce, customers accounting for all of Peerless' sales declines indicated that they had decreased purchases from Peerless, and had increased purchases of imported umbrellas in 1978 compared to 1977. The Department of Commerce on May 17, 1979 certified Peerless Umbrella Company, Incorporated, as eligible to apply for firm adjustment assistance.

Conclusion

After careful review of the facts obtained in the investigation, I conclude that increases of imports of articles like or directly competitive with umbrellas produced at Peerless Umbrella Company, Incorporated, New York, New York contributed importantly to the decline in sales or production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Act, I make the following certification:

All workers of Peerless Umbrella Company, Incorporated, New York, New York who became totally or partially separated from employment on or after October 11, 1978 are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed at Washington, D.C. this 12th day of December 1979.

James F. Taylor,
Director, Office of Management, Administration and Planning.

[FR Doc. 79-38771 Filed 12-17-79; 8:45 am]
BILLING CODE 4510-28-M

[TA—W—6193]

Sharon Steel Corp.; Certification Regarding Eligibility To Apply for Worker Adjustment Assistance

In accordance with Section 223 of the Trade Act of 1974 (19 U.S.C. 2273) the Department of Labor herein presents the results of an investigation regarding certification of eligibility to apply for worker adjustment assistance.

In order to make an affirmative determination and issue a certification of eligibility to apply for adjustment assistance, each of the group eligibility requirements of Section 222 of the Act must be met.

The investigation was initiated on October 15, 1979 in response to a worker petition received on October 10, 1979 which was filed on behalf of workers and former workers producing coke at Fairmont Coke Works, Fairmont, West Virginia. The investigation revealed that Fairmont Coke Works is a coking facility for the Sharon Steel Corporation. It is concluded that all of the requirements have been met.

U.S. imports of coke increased absolutely and relative to domestic production in 1978 compared with 1977.

Sharon Steel Corporation increased its imports of coke in 1978 compared with 1977 and in the January through October period of 1979 compared with the same period of 1978. These imports accounted for a significant proportion of Fairmont Coke Works' production decline in both of these time periods.

Conclusion

After careful review of the facts obtained in the investigation, I conclude that increases of imports of articles like or directly competitive with coke produced at Sharon Steel Corporation's Fairmont Coke Works, Fairmont, West Virginia contributed importantly to the decline in sales or production and to the total or partial separation of workers of that firm. In accordance with the provisions of the Act, I make the following certification:

All workers of Sharon Steel Corporation's Fairmont Coke Works, Fairmont, West Virginia who became totally or partially separated from employment on or after September 29, 1978 are eligible to apply for adjustment assistance under Title II, Chapter 2 of the Trade Act of 1974.

Signed in Washington, D.C. this 12th day of December 1979.

James F. Taylor,
Director, Office of Management, Administration and Planning.

[FR Doc. 79-38772 Filed 12-17-79; 8:45 am]
BILLING CODE 4510-28-M

[TA-W-5497A-T and TA-W-5497B-T]

Standard & and Signal Co. and Raccoon-Elkhorn Coal Co.; Investigation Regarding Termination of Certification of Eligibility To Apply for Work Adjustment Assistance

Following a Department of Labor investigation under Section 222 of the Trade Act of 1974 ("the Act") and in accordance with Section 223 of the Act, on July 19, 1979, the Department of Labor issued certifications of eligibility to apply for adjustment assistance applicable to workers and former workers of Standard Sign and Signal Company, Pikeville, Kentucky (TA-W-5497A) and workers and former workers of Raccoon-Elkhorn Coal Company, Pikeville, Kentucky (TA-W-5497B) engaged in employment related to the mining and processing of coal. The notices of certification were published in the **Federal Register** on July 27, 1979 (44 FR 44299).

Pursuant to Section 223(d) of the Act and 29 CFR 90.17(a), the Director of the Office of Trade Adjustment Assistance has instituted an investigation to determine whether the total or partial separations of the certified workers of Standard Sign and Signal Company and Raccoon-Elkhorn Coal Company continue to be attributable to the

conditions specified in Section 222 of the Act and 29 CFR 90.16(b).

Pursuant to 29 CFR 90.17(b) the group of workers or any other persons showing a substantial interest in the proceedings may request a public hearing or may make written submissions to show why the certifications should not be terminated, *provided,* that such request or submission is filed in writing with the Director, Office of Trade Adjustment Assistance, at the address shown below, no later than December 31, 1979.

The record of the certifications (TA–W–5497A and TA–W–5497B), containing non-confidential information is available for inspection at the Office of the Director, Office of Trade Adjustment Assistance, Bureau of International Labor Affairs, U.S. Department of Labor, 3rd Street and Constitution Avenue, N.W., Washington, D.C. 20210.

Signed at Washington, D.C., this 11th day of December 1979.

Marvin M. Fooks,

Director, Office of Trade Adjustment Assistance.

[FR Doc. 79–38773 Filed 12–17–79; 8:45 am]

BILLING CODE 4510–28–M

LEGAL SERVICES CORPORATION

Native American; Expansion Funding Guidelines

The Legal Services Corporation is a private, non-profit corporation established by the Congress to provide financial assistance to programs offering free legal services to poor people. The Corporation currently funds more than 300 independent programs for that purpose in each of the fifty states, the District of Columbia, the Virgin Islands, Puerto Rico and the Trust Territory of the Pacific Islands (Micronesia). In general, expansion funds to provide coverage in previously unserved areas are allocated on the basis of a formula, which provides $7.76 for each poor person in a particular state or region as reflected by the 1970 census.

It was believed by some that this approach did not take into account either special problems of delivering legal services to Native Ameican poor or the perceived chronic undercount problem of the decennial Census for Native American populations.

Since the Corporation did not have adequate information upon which to base a permanent funding policy, in 1977 the generally applicable funding policy described above described above was modified on an *ad hoc* basis to provide service to Native Americans residing on or near a BIA recognized reservation. Although the 1977 interim policy was originally intended to permit in special situations the funding of Native American programs at a level of up to $10.00 per poor person, this maximum available funding was generally applied in all situations. In addition, the definition of "poor persons" for Native American programs was based upon the rate of unemployment and underemployment observed by the Bureau of Indian Affairs on Indian reservations as opposed to the generally accepted 1970 census poverty figures. The ad hoc policy permitted up to 80 per cent of the identifiable Native American population to be considered "poor" and this rate was also generally applied in all situations. Thus, both *per capita* funding and the method of identifying the actual numbers of poor served varied from that employed in general legal services programs.

This publication describes the specific guidelines for the Corporation's funding of programs to complete expansion of legal services to Native Americans. As will be noted, this approach represents a change from previous years. It is also the goal of this approach, in striving to improve access to eligible clients, to reflect the special concern for Native American legal services reflected in Section 1007(h) of the Legal Services Corporation Act of 1974, as amended, as well as in the studies and recommendations made by the Legal Services Corporation under Section 1007(h).[1]

1. *Definitions.* The Corporation has adopted the following definitions in determining the funding needs of Native Americans.

a. "Native Americans" are persons who are American Indians, Hawaiian Natives and Alaskan Natives (Eskimos and Aleuts) as defined in 42 U.S.C. 2–91(a) *et seq.*

b. "Recognized tribes"are tribes currently reconized by the Bureau of Indian Affairs as tribes to which the United States government owes a trust responsibility and includes Alaskan Natives.

c. "Terminated tribes" are tribes that the Bureau of Indian Affairs once recognized, but whose recognition was subsequently terminated by legislation and not subsequently restored.

d. "On or near reservation" means, for purposes of funding, the definition used by the BIA, in 1973, in creating its counts of on or near reservation populations. For the purpose of calculating a poverty rate or designating which counties are "on or near a reservation" to determine within which part of this policy a tribe falls, it means every county which includes all or part of a reservation, and any county or counties which have a common boundary with the reservation. The states of Oklahoma and Alaska shall be considered as a reservation.

e. "Non-recognized tribes" are tribes that meet one or more of the criteria for recognition established by the BIA on August 24, 1978 (43 FR 39361) and Hawaiian Natives.

f. "General service programs" are any Legal Services Corporation funded programs which do not receive separate Native Americans funds to provide service to a particular reservation.

g. "BIA population count" means, for purposes of funding, the 1973 estimates of Indian population on or near reservations. If a federally recognized tribe is not included in the 1973 BIA estimates, the BIA population estimate closest in time to the 1973 estimates will be used.

2. *General Funding Approach.* The Legal Services Corporation has concluded that funding for all poor persons must proceed equitably; it nevertheless recognizes that the most effective funding policy and decisions require flexibility to adapt to special situations as they arise. Such flexibility must, however, proceed within recognized boundaries. Accordingly, the Legal Services Corporation funding approach to complete expansion of legal services to eligible Native Americans included the following general considerations:

a. The Legal Services Corporation will endeavor to extend coverage of special Indian programs or components to eligible members of recognized tribes living on or near a reservation, which does not have access to a Corporation funded separate Indian program, but will endeavor to maintain the use of a flexible delivery system within each area. It is desirable for economies of scale and to sensitize general service programs to Native American needs that the Corporation emphasize unified delivery systems where feasible. The Native American desk of the Corporation will be responsible for analyzing the individual delivery needs and recommending for funding the structure which best meets those needs.

b. The Legal Services Corporation will endeavor to provide funds for legal services to eligible members of unrecognized and terminated Indian tribes by establishing a discretionary fund for special, non-recurring grants for projects which address the status related problems of eligible members of unrecognized and terminated tribes.

c. The Legal Services Corporation will endeavor to provide the necessary technical assistance to general legal services programs to enable those programs to provide special assistance for the status-related legal problems of significant populations of urban Indians within the jurisdiction of those programs.

d. Native American programs or components funded in accordance with prior procedures will continue to receive funds previously awarded under prior policy.

3. *Procedure for Allocating Funds.* Funds will be allocated to complete expansion of legal services to Native Americans on the following basis:

a. *Presently served counties where a recognized tribe is located.*

(1) A program may submit a proposal, to serve eligible Native Americans not served by a special Native American program, to the Legal Services Corporation for an amount of funding equal to the BIA population count for that reservation multiplied by the poverty rate for Native Americans residing on that reservation as determined by the 1970 Census times the access standard of $7.76 per poor person.

(2) No proposals will be entertained to serve fewer than five hundred (500) poor Native Americans (a grant of $3,880) unless exceptional circumstances are demonstrated. However, a proposal may combine poor Native Americans residing on different reservations within the general service area of the program in order to exceed this limitation.

(3) If only a part of a reservation of a federally recognized tribe is covered by the service area of a general service program, a program can apply for additional special funds for the entire reservation under this part.

(4) Programs requesting such funds will submit proposals to the Native American Desk in the Denver Regional Office of the Legal Services Corporation for determination of feasibility and decision as to whether the best available means for providing services have been considered. If in the judgment of the Native American Desk a proposal is not feasible, funds in the amount of the request will be reserved and placed in a revolving fund available for support and technical assistance to programs providing services to eligible members of unserved recognized tribes. The Corporation will continue to examine ways in which service can best be delivered to those unserved tribes.

(5) If eligible Native Americans are included in the general population of a program's service area, the program is required to provide regular services according to its established priorities, whether or not additional special funding is received for services to its eligible recognized tribe population.

b. *Expansion into presently unserved counties in which a recognized tribe is located.*

(1) Programs expanding into or being formed to serve previously uncovered counties, which contain eligible members of a recognized tribe, living on or near a reservation, which does not have access to a Corporation funded special Indian program, can apply for a grant based upon the service population including the eligible Native Americans calculated as follows:

I The number of poor persons under the 1970 Census in the service area shall be reduced by either the number of poor Native Americans according to the 1973 BIA adopted population count or the 1970 Census adopted population count, whichever is the smaller, multiplied by the applicable 1970 Census poverty rate for that reservation.

II The number of poor Native Americans under the 1973 BIA adopted count multiplied by the 1970 Census poverty rate of Native Americans residing in the counties in which the reservation is located shall be ascertained.

III The total of those served under (I) and (II) above shall represent the eligible population basis for calculating the grant based on the normal access level of $7.76 per poor person.

(2) Within sixty days after approval of their proposal for expansion into a previously uncovered area, which contains a BIA recognized reservation upon which fewer than five hundred eligible Native Americans reside, each legal services program shall submit to the Native American Desk a plan describing the features of its general service delivery design, indicating how that design affects and addresses problems of service to Native American poor. No separate service design for Native Americans shall be required, unless such design is employed equitably for all small segments of the program's service community.

(3) Programs expanding into previously uncovered areas which contains BIA recognized reservations upon which more than five hundred eligible Native Americans reside will be governed by the above guideline except that the program must submit its plan describing the service design and its effect upon service to Native Americans simultaneously with the program's grant application for expansion.

(4) The Legal Services Corporation will encourage a legal services program to design delivery methods and serve both eligible Native Americans and the general poor population within the same program and a program which is expanding into areas which include a number of federally recognized tribes is encourage to combine Native American service delivery in the program.

c. *Service for members of non-recognized and terminated tribes.*

(1) A discretionary fund of $400,000 will be established for special, non-recurring grants for projects which address the status related problems of eligible members of non-recognized and terminated tribes. The fund will be revolving in nature and continue to be available for non-recurring grants as specified above.

(2) Application for funding for a one to three year period for eligible members of non-recognized and terminated tribes should be submitted to the Native American Desk located in the Denver Regional Office of the Legal Service Corporation in accordance with criteria previously published in the **Federal Register.**

(3) No grant funded under this provision shall be considered as permanent funding with rights to refunding, but rather the amount granted will be available from the discretionary fund for redistribution among competing grants subsequent to the completion of the originally funded project.

(4) BIA recognition of a tribe, which is receiving discretionary funding under this part, shall not cause early termination of the discretionary funding unless regular formula funding is available and an orderly transition to the available formula funding can be permitted.

d. *Service to Native Americans residing in urban areas.*

(1) A discretionary fund of $25,000 per year for three years will be established to provide technical assistance to programs to assist them in addressing the access problems of Native Americans residing in urban areas. Projects such as community education, publicity and notification of availability of service to eligible Native American clients will be considered.

(2) Applications for technical assistance may be submitted to the Native American Desk in the Denver Regional Office of the Legal Services Corporation.

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[1] Section 1007(h) of the Legal Services Corporation Act, as amended in 1977, requires the Corporation to:

"(h) * * * conduct a study on whether eligible clients who are—

(1) Veterans,

(2) Native Americans,

(3) Migrants or seasonal farm workers,

(4) Persons with limited English-speaking abilities, and

(5) Persons in sparsely populated areas where a harsh climate and an inadequate transportation system are significant impediments to receipt of legal services.

have special difficulties of access to legal services or special legal problems which are not being met * * *"

(3) No other specialized Indian funding should be available for individual Native American urban poor, but these persons shall be considered for service where they reside.

Any questions and proposals should be sent to: Native American Desk, Legal Services Corporation, Denver Regional Office, 1726 Champa Street, Suite 500, Denver, Colorado 80202, (303) 837–5981.

Dan Bradley,

President, Legal Services Corporation.

[FR Doc. 79-38527 Filed 12-17-79; 8:45 am]

BILLING CODE 6820-35-M

SECURITIES AND EXCHANGE COMMISSION

[Release No. 10975; File No. 812-4562]

American General Insurance Co., et al.; Filing of an Application for an Order Exempting a Proposed Transaction

December 10, 1979.

In the matter of American General Insurance Company, 2727 Allen Parkway, Houston, Texas 77019; Cal-Western Separate Account A; Cal-Western Variable Fund C, 2020 L Street, Sacramento, California 95814.

Notice is hereby given that American General Insurance Company ("American General"), Cal-Western Separate Account A, an open-end diversified management company registered under the Investment Company Act of 1940 ("Act"), and Cal-Western Variable Fund C, another open-end diversified management company registered under the Act (herein after American General, Cal-Western Separate Account A and Cal-Western Variable Fund C are collectively referred to as the "Applicants"), filed an application on November 5, 1979, and an amendment thereto on December 6, 1979, pursuant to Section 17(b) of the Act for an order of the Commission exempting from the provisions of Section 17(a) of the Act a proposed sale of up to 42,600 and 900 shares of the common stock of Lincoln National Corporation ("Lincoln") by Cal-Western Separate Account A and Cal-Western Variable Fund C respectively to American General. All interested persons are referred to the application which is on file with the Commission for a statement of the representations containid therein, which are summarized below.

American General, a Texas Corporation, is primarily engaged through subsidiaries in life, health, property and casualty insurance and other financial services activities. American General and those of its subsidiaries for which American General makes investment decisions (the "AG Group"), beneficially owned, as of July 13, 1979, 2,011,600 shares of the common stock of Lincoln or 9.21% of the outstanding voting securities of Lincoln. As of September 30, 1979, Cal-Western Separate Account A and Variable Fund C (hereinafter collectively referred to as the "Funds") owned beneficially 42,600 shares and 900 shares respectively of common stock of Lincoln. Applicants represent that other than through the power to vote these shares, however, American General did not exercise any control or influence over the day-to-day management of Lincoln, nor did American General influence any of Lincoln's investment activities. Although the day-to-day investment decisions for the Funds and for Cal-Western at the time of the sale by the AG Group of their holdings of Lincoln stock were made by the same Cal-Western investment personnel in California, the decision by Cal-Western to sell its 280,000 shares of Lincoln stock was coordinated closely with a similar decision by other companies in the AG Group to sell their holdings. As explained below, the decision by the Funds to file the Application is being made by the separate boards of directors of the Funds, including a majority of directors who are not "interested persons" of the Funds within the meaning of the Act; and any decision to sell or retain the Lincoln stock pursuant to a Commission Order must be approved by such disinterested directors.

Separate Account A's holdings of Lincoln stock were acquired through open market purchases at a cost of $1,531,055 or $35.94 per share; and the cost to Variable Fund C of its Lincoln stock was $29,358 or $32.62 per share. The investment adviser to the Funds, Cal-Western, is a wholly-owned subsidiary of American General. Applicants state that all investment decisions made by Cal-Western for the Funds are made independently of the investment decisions made by American General for the AG Group, and that Cal-Western and American General have implemented certain procedures to ensure such continued independence.

On July 13, 1979, American General and Lincoln executed an Agreement (the "Agreement") for the purchase by Lincoln of all of the shares of Lincoln common stock (2,011,600 shares) held by the AG Group at $52.00 per share, to be paid by 9¾ percent Subordinated Notes due 1994, issued by Lincoln (the "Lincoln Notes"). As part of the Agreement American General has agreed, among other things, that as long as the Lincoln Notes are outstanding, American General and its "affiliates" (which excludes any investment company advised by a subsidiary of American General) will not become the beneficial owners of more than 1 percent of any class or series of any class of voting securities of Lincoln. Applicants represent that the Agreement does not affect in any way the ability of the advised investment companies at any time to acquire or to dispose of Lincoln stock. The Agreement also gives to American General the option, which it did not exercise, to require that Lincoln purchase for cash $25,000,000 in principal amount of American General's 9¾ percent Subordinated Notes due 1994.

American General has offered to purchase from the Funds their holdings of Lincoln stock at $52.00 per share, the same price at which Lincon purchased the Lincoln shares held by the AG Group in accordance with the Agreement. The purchase price of $52.00 per share, however, would be paid in cash rather than in 9¾ percent subordinated notes of Lincoln. The Agreement provides for the sale by American General to Lincoln of all or a portion of the Lincoln shares currently owned by the Fund at $52.00 per share, assuming that the Fund sells any such shares to American General. Lincoln's obligation to purchase the Fund's Lincoln shares from Amercian General expires 90 days after consummation of the Agreement; namely, December 28, 1979.

Section 17(a) of the Act provides, in pertinent part, that it shall be unlawful for any affiliated person of a registered investment company knowingly to sell to or to purchase from such registered company any security or other property subject to certain exceptions not relevant here. Section 17(b) of the Act provides that the Commission, upon application, shall exempt a proposed transaction from the provisions of Section 17(a) if evidence establishes that the terms of the proposed transaction, including the consideration to be paid or received, are reasonable and fair and do not involve overreaching on the part of any person concerned, and that the proposed transaction is consistent with the policy of each registered investment company involved and with the general purposes of the Act. Under Section 2(a)(3) of the Act an investment adviser to an investment company is an affiliated person of such investment company, and anyone owning more than 5% of the adviser's outstanding voting securities is an affiliated person of the adviser. Accordingly, since American General owns 100 percent of the common stock of Cal-Western, investment adviser to the Fund, American General is an affiliated person of an affiliated person of the Funds, and the proposed sale of Lincoln stock by the Funds to American General falls within the provisions of Section 17(a) of the Act.

Applicants contend that the terms of the proposed transaction are fair and reasonable and do not involve overreaching, since American General's offer to the Funds gives the Funds the same price ($52 per share) for its Lincoln holdings as the AG Group received for its holdings. Applicants state that this $52 price compares favorably with the market value of Lincoln stock on October 28, 1979 of $36.125 per share, and would result in a profit of $684,145 to Separate Account A and a profit of $17,442 to Variable Fund C. Applicants also represent that the $52 price was arrived at through arm's-length negotiations between Lincoln and American General. In this connection, Applicants represent that the Funds did not participate in the negotiation of the sale by American General to Lincoln, and that the Agreement would have been consummated in its present form even if there were no provision for the sale of the Funds' holdings of Lincoln stock. Applicants contend that the price to the Funds is fair, not only because it is the same price to be paid to the AG Group for its shares, but because, unlike the AG Group, the Funds are not obligated to sell any of their Lincoln stock. Applicants state that all or a portion of the Funds' holdings may or may not be tendered in response to the offer, and the transaction which is the subject of the Application may or may not occur.

Applicants further contend that the recent action of the separate boards of directors of the Funds provides additional assurances that any sale of the Funds' Lincoln holdings would be made on a basis that is fair and reasonable and would not involve overreaching. Applicants state that on September 25, 1979 the Board of Directors of the Funds, including all of the directors who are not "interested persons" of the Funds as that term is defined in Section 2(a)(19) of the Act, considered the Application. Applicants further state that, based on the potential advantage of receiving a more favorable price for the Funds' holdings of Lincoln stock than might be prevailing otherwise in the market place at the time of any sale of such holdings, the directors adopted resolutions authorizing the filing of the Application on behalf of the Funds. At their regular quarterly meeting on October 24, 1979, the Funds' boards directed the investment personnel of Cal-Western who have responsibility for the Funds' portfolios to consult with them prior to making any decision as to whether to sell any or all of the Funds' holdings of Lincoln stock in response to American General's offer. In recommending any such sale, such investment personnel of Cal-Western were directed to confer with the boards, who would review the recommendation from the standpoint of (1) the sale price to American General versus the then prevailing price for the stock in the market place; and (2) the potential return on any use of the proceeds from the sale versus the return on a continued holding of the stock. Applicants also state that in any event, no decision to sell will be made on behalf of either Fund unless and until at least a majority of that Fund's disinterested directors vote in favor of such sale.

Applicants also contend that the proposed transaction is consistent with the Funds' investment policy, since it gives the Funds complete flexibility as to investment of the proceeds of the sale. American General, unlike the Funds, received Lincoln Notes for its Lincoln stock. Applicants represent that the Lincoln Notes are restricted as to resale by the purchaser, and are therefore inappropriate for the Funds and inconsistent with their fundmental policy against the making of loans evidenced by debt securities of limited marketability.

Applicants also assert that the proposed transaction is consistent with the general purposes of the Act. The Applicants state that under the terms of the proposed sale the Funds will be able to enjoy the same price as American General on the sale of their shares of Lincoln stock without being subject to the same burdens. As stated earlier, American General was required to take back restricted Lincoln notes for its Lincoln stock, while the Funds are able to sell their Lincoln stock in a cash transaction.

Thus, Applicants contend that the terms of the proposed sale are fair and reasonable and do not involve overreaching on the part of any person concerned, consistent with the Fund's investment policy and consistent with the general purposes of the Act, and therefore request that the Commission enter an Order exempting the proposed sale from the provisions of Section 17(a) of the Act.

Notice is further given that any interested person may, not later than December 27, 1979, at 5:30 p.m. submit to the Commission in writing a request for a hearing on the application accompanied by a statement as to the nature of his or her interest, the reasons for such request, and the issues, if any, of fact or law proposed to be controverted, or he or she may request that they be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the address stated above. Proof of such service (by affidavit or, in the case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request.

As provided by Rule 0–5 of the Rules and Regulations promulgated under the Act, an order disposing of the application herein will be issued as of course following December 27, 1979 unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38708 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[Release No. 21335; 70-6387]

Consolidated Natural Gas Co. et al.; Proposed Intrasystem Financing

December 7, 1979.

In the matter of Consolidated Natural Gas Company, 30 Rockefeller Plaza, New York, New York 10020; CNG Producing Company, Consolidated Gas Supply Corporation, Consolidated System LNG Company, The East Ohio Gas Company, The Peoples National Gas Company, West Ohio Gas Company.

Notice is hereby given that Consolidated Natural Gas Company ("Consolidated"), a registered holding company, and six of its wholly owned subsidiaries, CNG Producing Company ("Producing Company"), Consolidated Gas Supply Corporation ("Supply Corporation"), Consolidated System LNG Company ("LNG Company"), The East Ohio Gas Company ("East Ohio"), The Peoples Natural Gas Company

("Peoples"), and West Ohio Gas Company ("West Ohio"), have filed a joint application-declaration with this Commission pursuant to the Public Utility Holding Company Act of 1935 ("Act"), designating Sections 6, 7, 9, 10 and 12(b) of the Act and Rules 42, 45 and 50 promulgated thereunder as applicable to the proposed transactions. All interested persons are referred to the application-declaration, which is summarized below, for a complete statement of the proposed transaction.

It is stated that certain companies in the Consolidated System temporarily accumulate cash over and above current requirements, for the most part because of large seasonal heating business. At the same time, Consolidated may require funds for working capital and for the financial requirements of other system companies. Therefore, Consolidated may be making short-term borrowings when subsidiaries with excess cash are making temporary money market investments outside the System. Accordingly, the joint applicants-declarants are of the opinion that it would be advantageous to alleviate this situation and to continue the temporary prepayment of subsidiary long-term notes which optimizes the internal utilitization of excess cash funds accumulated within the System. The proposal procedures will benefit the System because they would: (1) Permit subsidiary companies with excess cash to prepay temporarily long-term notes held by Consolidated, with a resulting reduction in their interest expense; (2) make available to Consolidated a temporary cash source for working capital and for the financing of other companies within the System; (3) permit Consolidated, which obtains all external financing required by the system, to defer or prepay short-term financing such as inventory loans with banks and commercial paper borrowings for working capital.

System subsidiaries would temporarily prepay from excess cash funds a portion of their outstanding long-term non-negotiable notes held by Consolidated. It is proposed that the following subsidiaries make aggregate prepayments on long-term notes, from time to time prior to December 31, 1980, not exceeding at any time the amount set forth below for each subsidiary, respectively:

East Ohio	$75,000,000
Peoples	15,000,000
Producing Company	10,000,000
Supply Corporation	50,000,000
LNG Company	10,000,000
West Ohio	3,500,000
Total	163,500,000

Consolidated estimates that the aggregate prepayment of $163,500,000 is the maximum that can be utilized for the temporary financing of System requirements during 1980. The long-term notes temporarily prepaid by an individual subsidiary will be those bearing the highest interest rate outstanding at the time of each prepayment. Prepayments will be evidenced by letter, and the notes will not be altered. Interest on such notes will cease upon prepayments and start again upon reinstatement of the notes.

As funds are thereafter required by such subsidiary for corporate purposes, including construction, it is proposed that advances be made on open account to the subsidiary by Consolidated in an aggregate amount not to exceed the amount of long-term notes previously prepaid, less any current maturities applicable to notes which have matured subsequent to the prepayment dates. The open account advances will bear interest during 1980 at the same rate or rates as borne by the equivalent principal amounts of the notes previously prepaid by such subsidiary but in reverse order to that of the prepayments, i.e., from the lowest rate on the notes previously prepaid to the highest rate. Interest on the open account advances will commence on the date of the advance and will become due on June 30, 1980, and December 31, 1980, and/or on the date such advances are repaid by the reinstatement of the prepaid notes. It is proposed that open account advances to a subsidiary be increased or decreased from time to time in accordance with variations in the cash flow of the subsidiary. However, at no time will the advances outstanding be in excess of the notes prepaid.

At such time as the open account advances equal the aggregate amount of the prepaid notes, or in any event not later than December 31, 1980, the notes prepaid by a subsidiary will be reinstated in repayment of the related outstanding open account advances made to the subsidiary by Consolidated. However, if the aggregate of the notes prepaid exceeds such advances at the end of 1980, Consolidated proposes to make cash repayment of the difference in order to effect reinstatement of the prepaid notes in full.

No financing of any subsidiary which may be presently or subsequently authorized by this Commission in connection with the construction or gas storage programs of any such subsidiary will be consummated until such time as advances have been made in amount equal to the amount of notes prepaid.

The fees, commissions and expenses to be incurred in connection with the proposed transaction are estimated at $2,600. The Public Service Commission of West Virginia has jurisdiction over the proposed transaction. It is stated that no other state or federal regulatory authority, other than this Commission, has jurisdiction over the proposed transaction.

Notice is further given that any interested person may, not later than December 31, 1979 request in writing that a hearing be held on such matter, stating the nature of his interest, the reasons for such request, and the issues of fact or law raised by the filing which he desires to controvert; or he may request that he be notified if the Commission should order a hearing thereon. Any such request should be addresses: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request should be served personally or by mail upon the applicants-declarants at the above-stated address, and proof of service (by affidavit or, in case of an attorney at law, by certificate) should be filed with the request. At any time after said date, the application-declaration, as filed or as it may be amended, may be granted and permitted to become effective as provided in Rule 23 of the general rules and regulations promulgated under the Act, or the Commission may grant exemption from such rules as provided in Rules 20(a) and 100 thereof or take such other action as it may deem appropriate. Persons who request a hearing or advice as to whether a hearing is ordered will receive any notices or orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Corporate Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38707 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[Rel. No. 10976; 811-2904]

Corporate Income Trust, Series I and Subsequent Series; Filing of Application for an Order Declaring That Applicant Has Ceased To Be an Investment Company

December 11, 1979.

In the matter of Corporate Income Trust, Series 1 and Subsequent Series, c/o Donaldson, Lufkin & Jenrette Securities Corporation, 140 Broadway, New York, New York 10005.

Notice is hereby given that Corporate Income Trust, Series 1 (a Unit Investment Trust) and Subsequent Series ("Applicant"), registered under the Investment Company Act of 1940 ("Act") as a unit investment trust, filed an application on November 29, 1979, pursuant to Section 8(f) of the Act, for an order of the Commission declaring that Applicant has ceased to be an investment company as defined in the Act. Applicant's depositor is Donaldson, Lufkin & Jenrette Securities Corporation. All interested persons are referred to the application on file with the Commission for a statement of the representations contained therein which are summarized below.

Applicant has not been organized under the laws of any state. It registered under the Act on February 21, 1979, and on the same date it filed a registration statement under the Securities Act of 1933 ("1933 Act") covering 12,000 units, including 2,000 units for purposes of resale by the depositor of units tendered to the trustee for redemption. Such registration statement under the 1933 Act has not become effective, nor has any public offering commenced. The Applicant has filed an application for withdrawal of the registration statement prior to the effective date, pursuant to Rule 477 under the 1933 Act, which, if granted, will permit withdrawal of such registration statement. Thus, Applicant has no assets, outstanding securities or shareholders.

Section 8(f) of the Act provides, in pertinent part, that whenever the Commission, on its own motion or upon application, finds that a registered investment company has ceased to be an investment company, it shall so declare by order, and upon the effectiveness of such order the registration of such company shall cease to be in effect.

Notice is further given that any interested person may, not later than January 4, 1980, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the matter accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicant(s) at the address(es) stated above. Proof of such service (by affidavit, or in case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0-5 of the rules and regulations promulgated under the Act, an order disposing of the application will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38709 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[File No. 1-1842]

Eltra Corp.; Application To Withdraw From Listing and Registration

December 10, 1979.

The above named issued has filed an application with the Securities and Exchange Commission pursuant to Section 12(d) of the Securities Exchange Act of 1934 (the "Act") and Rule 12d2-2(d) promulgated thereunder, to withdraw the specified security from listing and registration on the New York Stock Exchange, Inc. ("NYSE").

The reasons alleged in the application for withdrawing this security from listing and registration include the following:

1. Eltra Corporation's (the "Company's") 8½% Sinking Fund Debentures ("Debentures") due January 15, 2001 were listed on the NYSE on February 17, 1976. The Debentures are in the principal amount of $50,000,000 and as of November 13, 1979, there were approximately 124 debentureholders of record.

2. The Company became an indirect wholly owned subsidiary of Allied Chemical Corporation ("Allied") on November 5, 1979. Allied's Board of Directors authorized the guarantee by Allied of the Company's Debentures on November 29, 1979.

3. Reporting requirements under the Act must be met by the company so long as the debentures remain listed and registered on a national securities exchange. The Company incurs substantial expense in complying with those requirements. Allied, which is subject to the same reporting requirements under the Act, will file financial statements on a consolidated basis with the Company; the debentureholders will be provided these consolidated statements. The Company believes that the burden of filing reports separate from Allied would be disproportionate to any investor benefit which might be derived therefrom.

4. Merrill Lynch White Weld Capital Markets Group and Goldman Sachs & Co. have agreed to maintain markets over-the-counter in the Debentures.

Any interested person may, on or before December 21, 1979, submit by letter to the Secretary of the Securities and Exchange Commission, Washington, D.C. 20549, facts bearing upon whether the application has been made in accordance with the rules of the Exchange and what terms, if any, should be imposed by the Commission for the protection of investors. An order granting the application will be issued after the date mentioned above, on the basis of the application and any other information furnished to the Commission, unless it orders a hearing on the matter.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38713 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[Rel. No. 10976; 812-4516]

Keystone Custodian Funds, Inc.; Filing of Application for an Exemption

December 11, 1979.

In the matter of Keystone Custodian Funds, Inc., Keystone Massachusetts, Inc., Cornerstone Financial Services, Inc., The Massachusetts Companies, Inc., Massachusetts Fund for Tax Exempt Income, Massachusetts Fund for Income, Freedom Fund, Inc., Independence Fund, Inc., and Keystone International Fund, Inc., 99 High Street, Boston, Massachusetts 02110.

Notice is hereby given that Keystone Custodian Funds, Inc. ("KCF"), as trustee of the Keystone Custodian Funds, Series B-1, B-2, B-4, K-1, K-2, S-1, S-3, and S-4 (the "Series Funds"), Keystone International Fund, Inc. ("KIF"), The Massachusetts Companies, Inc. ("MassCo"), as trustee of Massachusetts Fund ("Mass Fund"), Massachusetts Fund for Tax Exempt Income ("MFTEI"), Massachusetts Fund for Income ("MFI"), Freedom Fund, Inc. ("Freedom"), and Independence Fund, Inc. ("Inde") (hereinafter the Series Funds, KIF, Mass Fund, MFTEI, MFI, Freedom, and Inde collectively referred to as the "Funds"), Keystone

Massachusetts, Inc. ("KeyMass") and Cornerstone Financial Services, Inc. ("Cornerstone"), filed an application on August 13, 1979, and an amendment thereto on November 20, 1979, for an order of the Commission pursuant to Section 6(c) of the Investment Company Act of 1940 ("Act") granting an exemption from Section 22(d) of the Act to permit shareholders of any of the Funds to invest the dividends paid on shares of one Fund in shares of any other Fund without payment of a sales charge. All interested persons are referred to the application on file with the Commission for a statement of the representations made therein, which are summarized below.

The application states that KCF is trustee for the Series Funds and serves as the investment adviser to KIF. MassCo is trustee and serves as the fund manager for Mass Fund. MassCo serves as fund manager for MFTEI, MFI, Freedom and Inde. KCF and MassCo are both 100 percent-owned subsidiaries of The Travelers Corporation. The Funds are all open-end diversified, management investment companies registered under the Act. KeyMass and Cornerstone act as principal underwriters of the shares issued by each of the Funds. The Series Funds and KIF are referred to herein collectively as the "Keystone Funds." Mass Fund, MFTEI, MFI, Freedom and Inde are referred to herein collectively as the "MassCo Funds." All of the Funds and KCF, MassCo, KeyMass and Cornerstone are referred to herein collectively as "Applicants".

Applicants state that KeyMass and Cornerstone as principal underwriters maintain a continuous public offering of shares of the Series Funds, KIF, MFTEI, MFI, Mass Fund, Freedom, and Inde at net asset value plus a sales charge. Shares of the Series Funds (except B–1 Fund), KIF, MFI, Inde, Freedom, and Mass Fund are sold at a sales charge of 8.5 percent or less. Shares of the B–1 Fund are sold at a sales charge of 4.25 percent or less. Shares of MFTEI are sold at a sales charge of 4.75 percent or less. The application further indicates that when shareholders of one Fund direct that dividends earned on shares of that Fund be invested in shares of another Fund, the Fund into which such dividends are invested currently charges a sales charge on the investment.

According to the application, Mass Fund, MFTEI and MFI each impose a minimum initial purchase amount of $1000 on investors who intend to become shareholders of those Funds, the Series Funds, Freedom and Inde each impose a minimum initial purchase amount of $250 on investors who intend to become shareholders of those Funds, and KIF imposes no minimum initial purchase amount on investors who intend to become shareholders of that Fund. The MassCo Funds impose a minimum subsequent purchase amount of $10 on their existing shareholders who are not investing under certain specified plans not relevant to this application and who intend to invest additional amounts in those Funds. The Series Funds and KIF impose no minimum subsequent purchase amounts for any existing shareholder who intends to invest additional amounts in those Funds.

The application states that the transfer agent's fees for the Series Funds are paid by KCF out of the recurring charges and management fees paid to KCF by the Series Funds, which fees are based upon agreed upon percentages of the combined market value of all the Series Funds. KIF pays its transfer agent a fixed charge for each shareholder account based upon whether a shareholder maintains an open account or is issued certificates at the time of each purchase. The application indicates that KCF, as the investment adviser of KIF, has agreed to pay that portion of the expenses of the Fund, including the management and administrative fees paid to KCF, which exceed ¾ of 1% per year of the cumulative average daily net asset value of KIF for that year. This expense limit has been exceeded by KIF since its 1975 fiscal year. The Applicants currently expect that this limit will be exceeded until at least the present termination date of KIF's investment advisory contract with KCF (January 26, 1981). If the contract, which may be renewed from year to year thereafter, is renewed, the Applicants currently expect that the present limit will continue to be exceeded for the renewal period. The MassCo Funds pay their transfer agents fixed charges for each shareholder account and also pay certain specified expenses such as postage, stationery and a portion of the salaries of specified clerical persons. The Applicants expect that by early 1980 each of the Funds will have entered into agreements with a single transfer agent who will charge each Fund standard charges which are not expected to be affected by the arrangement proposed herein.

Section 22(d)(ii) of the Act permits an investment company to offer its shareholders the opportunity to reinvest dividends received from the company in shares of the company without payment of a sales charge. Applicants state that each of the Funds currently makes this opportunity available to its shareholders.

Section 11(a) of the Act requires investment companies' offers to their shareholders for the exhange of shares from one company to another to be on the basis of the relative net asset value of the shares exchanged. Applicants assert that the MassCo Funds offer shareholders the right to exchange shares of one MassCo Fund having a net asset value of at least $1,000 to another MassCo Fund with the same or a lower sales charge. Similar exchange privileges imposing a $5 conversion fee and a sales charge adjustment under certain circumstances are available to shareholders of the Keystone Funds pursuant Commission orders permitting such exchanges dated December 8, 1977, and March 13, 1979.

The Applicants indicate that, in contrast to the above, shareholders who wish to invest the dividends they receive on shares of one Fund in shares of another Fund must pay the entire sales charge imposed by the second Fund, even though no broker or dealer is actively involved in the sale. Applicants now seek authorization of an arrangement whereby shareholders of any of the Funds would be able to invest their dividends (including capital gains distributions) from shares of one Fund into shares of any other Fund without payment of a sales charge.

Applicants represent that this arrangement would be subject to existing Fund requirements such as minimum initial investment amounts and minimum purchase amounts, if any. The investment in shares of a Fund occurring as a result of this arrangement would be made within the same time period that cash dividends are mailed to and that dividen reinvestments are made on behalf of shareholders of the Fund declaring the dividends which are investment under the arrangement. Once dividends earned on shares of one Fund have been invested in shares of another Fund, the shares so purchased will be treated as if an applicable sales charge imposed by the Fund into which such dividends are invested has been fully paid for the purpose of determining the sales charge adjustment for any subsequent conversion of such shares.

In support of the requested exemption, Applicants state that no Fund incurs expenses above the ordinary charges paid to the transfer agent, if any. Applicants assert that many of the shareholders of MassCo Funds could reinvest their dividends at net asset value in the same Fund and exchange the resulting shares for shares of other MassCo Funds at net asset value and many of the shareholders of the Keystone Funds could reinvest their dividends at net asset value in the same Fund and exchange the resulting shares at net asset value for shares of other Keystone Funds upon payment of a conversion fee and without payment of a sales charge adjustment or upon payment of a sales charge adjustment which is substantially lower than the sales charge.

In further support of the exemption request, it is asserted that neither the existing transfer agents' charges nor those which will be effective in 1980 will be increased as a result of the arrangement, except to the extent that additional charges are imposed for new accounts opened by shareholders to permit them to participate in this arrangement. The Applicants state that because of the existing minimum initial purchase amounts for Funds other than KIF, KCF's payment of KIF's expenses which exceed its expense limitation, and the continuing nature of investment made under the arrangement, the arrangement will not impose any unfair burden on larger shareholders of any of the Funds.

The Applicants assert that the purpose of this arrangement is to permit shareholders to invest the dividends they earn on shares of one Fund into another Fund without payment of the applicable sales charge. The Applicants state that the lack of any continuing substantial sales effort justifies payment of only the net asset value of each share purchased and does not justify the payment the applicable sales charge as well, as required under Section 22(d) of the Act.

The application indicates that the proposed arrangement would additionally benefit Fund shareholders because it would allow shareholders to make investments in a second investment vehicle chosen from among the fourteen Fund Applicants without payment of a sales charge. Although a few of the Fund Applicants have similar investment objectives, the Applicants, state that all have somewhat different investment policies, including various risk levels for their portfolios and permitted portfolio securities investments, and all maintain different portfolios. Finally, Applicants contend that the request exemption is necessary and appropriate, in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act in that it does not dilute the value of shares of any Fund, provides for the equal treatment of similarly situated shareholders and by its nature limits the extent to which shareholders may invest in the Funds without payment of the appropriate sales charge.

Section 6(c) of the Act provides, in pertinent part, that the Commission upon application may conditionally or unconditionally exempt any person, security or transaction, or any class or classes of persons, securities or transactions, from any provisions of the Act or of any Rule or Regulation promulgated thereunder, if and to the extent such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purpose fairly intended by the policy and provisions of the Act.

Notice is further given that any interested person may, not later than January 4, 1980, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the matter accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the addresses stated above. Proof of such service (by affidavit, or in case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0–5 of the rules and regulations promulgated under the Act, an order disposing of the application will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79–38711 Filed 12–17–79; 8:45 am]

BILLING CODE 8010–01–M

[Release No. 21337; 70–6385]

Kingsport Power Co.; Proposal To Issue and Sell Unsecured Notes to Banks

December 11, 1979.

Notice is hereby given that Kingsport Power Company ("Kingsport"), 40 Franklin Road, Roanoke, Virginia 24009, and electric utility subsidiary company of American Electric Power Company, Inc., a registered holding company has filed a declaration with this Commission pursuant to the Public Utility Holding Company Act of 1935 ("Act"), designating Sections 6(a) and 7 of the Act and Rule 50(a)(2) promulgated thereunder as applicable to the proposed transaction. All interested persons are referred to the declaration, which is summarized below, for a complete statement of the proposed transaction.

Kingsport proposes to enter into a term loan agreement ("Agreement") with Manufacturers Hanover Trust Company, New York, New York ("Manufacturers") and the First National Bank of Sullivan County, Kingsport, Tennessee ("First National") which will enable Kingsport to make borrowings, to be evidenced by its unsecured notes maturing December 31, 1987, in an aggregate amount of $15,000,000. The Agreement contains commitments of Manufacturers and First National in the amounts of $14,000,000, and $1,000,000, respectively. Kingsport will make initial borrowings in the amount of $13,000,000 from Manufacturers and $1,000,000 from First National. Kingsport may make additional borrowings from Manufacturers in the amount of up to $1,000,000 from time to time until December 31, 1981. The notes evidencing such borrowings will bear interest prior to maturity at a fluctuating rate per annum equal at all times to the then current prime commercial lending rate of Manufacturers for 90-day unsecured domestic loans ("Prime Rate") from the date of issuance to December 31, 1982, 102% of the Prime Rate from December 31, 1982 to December 31, 1985, and 104% of the Prime Rate from December 31, 1985 to December 31, 1987. After maturity (whether by acceleration or otherwise), such borrowings shall bear interest at a fluctuating rate per annum equal at all times to 1% plus the Prime Rate until payment in full. Kingsport will pay to Manufactures quarterly on the last day of March, June, September, and December of each year commitment fees computed at the rate of ½ of 1% per annum on the daily average unused portion of the $1,000,000 additional credit made available pursuant to the Agreement from the effective date of the Agreement to the date of expiration or termination of such commitment. The notes may be prepaid at any time without premium or penalty.

It is stated that the proceeds of the borrowings will be used by Kingsport to

prepay its outstanding notes issued under a Bank Loan Agreement ("Prior Agreement") dated as of March 1, 1977 (File No. 70–5968). Kingsport will use the initial $14,000,000 loaned under the Agreement to prepay the $14,000,000 now outstanding under the Prior Agreement. The $1,000,000 additional credit from Manufacturers, under the Agreement, would be available to pay, or replenish funds expended to pay, expenses of the company's construction program and for other proper corporate expenses. It is further stated that the issuance of the notes is excepted from the competitive bidding requirements of Rule 50 by reason of paragraph (a)(2) thereof since no finder's fees or commissions are to be paid by Kingsport in connection with the proposed transaction.

The fees and commissions to be incurred in connection with this transaction are estimated at $3,250; including legal fees of $1,000. It is stated that the Tennessee Public Service Commission has jurisdiction over the proposed transaction and that no other state commission and no federal commission, other than this Commission, has jurisdiction over the proposed transaction.

Notice is further given that any interested person may, not later than January 7, 1980, request in writing that a hearing be held on such matter, stating the nature of his interest, the reasons for such request, and the issues of fact or law raised by the filing which he desires to controvert; or he may request that he be notified if the Commission should order a hearing thereon. Any such request should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request should be served personally or by mail upon the declarant at the above-stated address, and proof of service (by affidavit or, in case of an attorney at law, by certificate) should be filed with the request. At any time after said date, the declaration, as filed or as it may be amended, may be permitted to become effective as provided in Rule 23 of the general rules and regulations promulgated under the Act, or the Commission may grant exemption from such rules as provided in Rules 20(a) and 100 thereof or take such other action as it may deem appropriate. Persons who request a hearing or advice as to whether a hearing is ordered will receive any notices or orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Corporate Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38712 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[Release No. 16412; SR-PSE-79-15]

Pacific Stock Exchange, Inc.; Order Approving Proposed Rule Change

December 7, 1979.

On October 25, 1979, the Pacific Stock Exchange, Inc. ("PSE") 618 South Spring Street, Los Angeles, California 90014, filed with the Commission, pursuant to Section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78(s)(b)(1) ("Act") and Commission Rule 19b–4 thereunder, copies of a proposed rule change which would provide for an appointed, full-time, paid Chairman of the Board of Governors, and an annually elected Vice Chairman elect who would automatically succeed to the office of Vice Chairman for a one-year term. The proposal also would establish an Executive Committee, composed of the Chairman, Vice Chairman, Vice Chairman elect, and President, and would define the duties and authority of the Executive Committee as a whole and of its members individually.

Notice of the proposed rule change together with the terms of substance of the proposed rule change was given by publication of a Commission Release (Securities Exchange Act Release No. 16320, November 13, 1979) and by publication in the **Federal Register** (44 FR 65509, November 13, 1979). No comments were received. All written statements with respect to the proposed rule change which were filed with the Commission and all written communications relating to the proposed rule change between the Commission and any person were considered and (with the exception of those statements or communications which may be withheld from the public in accordance with the provisions of 5 U.S.C. 552) were made available to the public at the Commission's Public Reference Room.

The Commission finds that the proposed rule change is consistent with the requirements of the Act and the rules and regulations thereunder applicable to registered national securities exchanges, and in particular, the requirements of Sections 6(b) (1), (3), and (5), requiring that the exchange be capable of carrying out the purposes of the Act, that its rules assure a fair representation of its members in the selection of its directors and administration of its affairs, and the protection of investors and the public interest.

It is therefore ordered, Pursuant to Section 19(b)(2) of the Act, that the above-mentioned proposed rule change be, and it hereby is, approved.

For the Commission, by the Division of Market Regulation pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38706 Filed 12-17-79; 8:45 am]

BILLING CODE 8010-01-M

[Release No. 10977; 812-4564]

Scudder Tax Free Money Fund; Filing of Application Act for an Order of Exemption

December 11, 1979.

Notice is hereby given that Scudder Tax Free Money Fund ("Applicant"), 175 Federal Street, Boston, Massachusetts 02110, a no-load, open-end, diversified management investment company registered under the Investment Company Act of 1940 ("the Act"), filed an application for an order of the Commission on November 7, 1979, pursuant to Section 6(c) of the Act (1) declaring that Hester L. Sargent, a proposed Trustee of the Applicant, shall not be deemed an "interested person" of the Applicant, its investment adviser, Scudder, Stevens & Clark ("Adviser"), or its principal underwriter, Scudder Fund Distributors, Inc. ("Distributors"), by reason of her positions as director of The Boston Company, Inc. and of Boston Safe Deposit and Trust Company ("Boston Safe") and (2) exempting Applicant from Section 10(b)(2) of the Act to permit its use of Distributors as principal underwriter for its shares. All interested persons are referred to the application on file with the Commission for a statement of the representation contained therein, which are summarized below.

The Applicant was organized as a business trust under Massachusetts law on October 5, 1979. On November 1, 1979, by a written instrument amending the Declaration of Trust, the Applicant changed its name from Scudder Short Term Municipal Trust to Scudder Tax Free Money Fund. On October 5, 1979, the Applicant filed a Notification of Registration on Form N–8A and a Registration Statement on Form N–1 under the Securities Act of 1933 and the Investment Company Act of 1940, which Registration Statement has not yet become effective. The Applicant was organized to provide income exempt from federal income taxes while seeking relative stability of principal.

The Applicant represents that Mrs. Sargent is presently a director or trustee of Scudder Cash Investment Trust, Scudder Managed Reserves, Inc., Scudder Income Fund, Inc., Scudder Common Stock Fund, Inc., and Scudder Managed Municipal Bonds (the "Scudder Funds"), each of which is an open-end investment company registered under the Act. On May 10, 1976, the Commission issued an order (Investment Company Act Release No. 9284) ("original application"), pursuant to Section 6(c) of the Act granting an exemption from Section 2(a)(19) of the Act to the effect that, among other things, Mrs. Sargent shall not be deemed to be an "interested person" of the Scudder Funds. The Applicant represents that the exemption requested from the provisions of Section 2(a)(19) relates to substantially the same fact situation as did the original application except that Mrs. Sargent has become a director of The Boston Company, Inc., and continues to be a director of its subsidiary, Boston Safe.

Applicant states that in 1976 The Boston Company Financial Strategies, Inc. ("Strategies"), a wholly-owned subsidiary of The Boston Company, Inc., formed a subsidiary, TBCFS, Inc., which registered with the Commission as a broker-dealer under the Securities Exchange Act of 1934 (the "1934 Act"). Applicant indicates that TBCFS, Inc. has changed its name to The Boston Company Investment Creation, Inc. ("Creation").

Sections 2(a)(19) (A)(v) and (B)(v) of the Act define an "interested person" of an investment company, an investment adviser, or a principal underwriter to include any broker or dealer registered under the 1934 Act or any affiliated person of such broker or dealer. Section 2(a)(3) of the Act includes in the definition of an "affiliated person" any person directly or indirectly controlling, controlled by or under common control with such other person. Applicant represents that because Mrs. Sargent is a director of The Boston Company, Inc., which controls Creation, she would be deemed to be an "interested person" of the Applicant, and its investment adviser and principal underwriter.

Applicant states that the relationship of Mrs. Sargent with The Boston Company, Inc., Boston Safe, Strategies and Creation, the brokler-dealer subsidiary, will not impair her independence in acting on behalf of the Trust and its shareholders. The Boston Company, Inc. is a holding company whose subsidiaries are engaged in providing resources management services. Boston Safe is a long established trust company engaged primarily in investment management and other trust company, fiduciary and related trust banking services. Strategies currently provides financial planning and asset management services for wealthy individuals and families and is registered under the Investment Advisers Act of 1940. Creation's business relates primarily to the structuring and placement or sale of oil and gas programs and other investment programs and ventures. Applicant represents that because of the special nature of the type of investments which Creation is involved with, the Applicant could not legally purchase or sell such investments from or through Creation because of investment restrictions. Further, the Applicant states that it does not intend to make any such investment and undertakes not to transact any business with Creation.

Applicant indicates that Mrs. Sargent's principal occupation is Vice-Chairman, Board of Trustees, and Member of the Board of Governors of New England Medical Center Hospital. Additionally, she is a Trustee of Tufts University and the Boston Symphony Orchestra, and a Director of New England Telephone & Telegraph Company, The Boston Company, Inc. and Boston Safe. The Applicant represents that Mrs. Sargent is not a director or officer of the broker-dealer subsidiary Creation and therefore has no authority or responsibility for management of the operations of Creation. Moreover, Applicant states that the existence of Creation creates no conflict of interest for Mrs. Sargent since even if she was actively involved with Creation, the Applicant would not in the normal course purchase or sell securities through Creation and has further agreed not to transact any business with Creation.

The Applicant anticipates being a company of the type described in Section 10(d) of the Act, which requires a company to have only one Trustee who is not an "interested person" of such a company's investment adviser. Applicant desires that Mrs. Sargent's anticipated role as a Trustee of the Applicant be consistent with her role as a director or trustee of the other Scudder Funds, i.e., a Trustee who is not an interested person or Applicant, its investment adviser or principal underwriter. Applicant believes that Mrs. Sargent is a person of recognized intergrity, judgment, independence and competence in the investment company industry. The Applicant is also of the opinion that Mrs. Sargent will in fact be a disinterested Trustee and that it is in its best interests that she be permitted to serve as such.

The Applicant states that the Adviser, a partnership registered as an investment adviser under the Investment Advisers Act of 1940, will provide the Applicant with Investment research, advice and supervision and furnish continuously an investment program for the Applicant's portfolio consistent with the investment objectives and policies of the Applicant. The Applicant also intends to enter into an underwriting agreement with Distributors, a wholly-owned subsidiary of Adviser, which as agent will offer the Applicant's shares to investors in those states in which the shares are qualified and in which it is qualified as a broker-dealer.

Applicant seeks an exemption pursuant to Section 6(c) of the Act from Section 10(b)(2) of the Act which provides in part that no registered investment company shall use as a principal underwriter of securities issued by it any director, officer, or employee of such registered company or any person of which any such director, officer, or employee is an interested person, unless a majority of the board of directors of such registered company shall be persons who are not such principal underwriters or interested persons of any such principal underwriters.

The Applicant states the majority of its Trustees are interested persons of Adviser and that it presently intends that at least half of the Trustees will be interested persons of Adviser. However, Applicant represents that it and Adviser will comply with all provisions of clauses (1) to (8) inclusive, of Section 10(d) of the Act, insofar as those provisions are applicable to a registered investment company or its investment adviser. At the time the underwriting agreement is executed, the Applicant desires that, in addition to the permission granted by Section 10(d) to have up to all but one of its Trustees interested persons of Adviser, it may be permitted an exemption from Section 10(b)(2) to have all but one of its Trustees interested persons of its principal underwriter.

Applicant asserts that it desires to establish a method for wide distribution of its shares and believes that this can be best accomplished through a principal underwriter. Applicant does not wish to charge a sales load. Moreover, as stated above, the Applicant wishes to have the option to be a Section 10(d) company and as such would be strictly limited as to sales expenses by Section 10(d) of the Act. Applicant states that, under these

circumstances, only Adviser or a company wholly owned by Adviser or its partners could afford to undertake the expense of acting as principal underwriter. Applicant maintains that, if the underwriting contract were made directly between Applicant and Adviser, under Section 10(d) of the Act no change in the composition of the Trustees would be required notwithstanding the provisions of subsection (a) and subsection (b)(2) of Section 10. Applicant indicates that the Adviser, for reasons incident to the conduct of its own business, of which its relationship with Applicant is only a part, does not wish to become a principal underwriter.

Applicant anticipates that all but one of its Trustees who are interested persons of Adviser also will be interested persons of Distributors. Notwithstanding the provisions of Section 10(d), it may be that the provisions of Section 10(b)(2) would prevent Distributors from acting as principal underwriter of the Trust, and thus an exemptive order has been requested. Applicant submits that the reasons for permitting an investment company which meets the requirements of Section 10(d) to have only one director (trustee) completely independent of the investment adviser are equally persuasive for permitting it to have only one director (trustee) who is not an interested person of a principal underwriter which is wholly owned by the investment adviser or its partners.

Section 6(c) of the Act provides, in part, that the Commission may upon application, conditionally or unconditionally exempt any person, security or transaction, or any class or classes of person, securities or transactions, from any of the provisions of the Act or any rule or regulation thereunder, if and to the extent that such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act.

Notice is further given that any interested person may, not later than January 2, 1980, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the matter accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission should order a hearing thereon. Any such request should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon the Applicant at the address stated above. Proof of such service (by affidavit, or in case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0–5 of the rules and regulations promulgated under the Act, an order disposing of the application will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79–38710 Filed 12–17–79; 8:45 am]

BILLING CODE 8010–01–M

DEPARTMENT OF STATE

[Public Notice 699]

Fishery Conservation Zone; Notice of Limits

The Fishery Conservation and Management Act of 1976 establishes a fishery conservation zone contiguous to the territorial sea of the United States, the outer boundary of which is a line drawn in such a manner that each point on it is 200 nautical miles from the baseline from which the breadth of the territorial sea is measured. The Act also provides for the negotiation of boundaries in areas adjacent to or opposite any foreign nation.

Public Notice 526 (42 FR 12937, March 7, 1977) noted that the limits of the fishery conservation zone as set fourth therein were without prejudice to any negotiations with neighboring countries or to any positions which may have been or may be adopted respecting the limits of maritime jurisdiction.

On September 20, 1979 the United States of America signed a treaty for Friendship with the Republic of Kiribati, resolving the issues prerequisite to determination of the limits of the U.S. fishery conservation zone around the island of Howland and Baker, and Jarvis.

The line connecting the coordinates set forth below constitutes the limits of the fishery conservation zone of the United States of America around Howland and Baker Islands, and around Jarvis Island within which the United States will exercise its exclusive fishery management authority as set forth in the Fishery Conservation and Management Act of 1976, effective immediately, and pending the establishment of permanent maritime boundaries by mutual agreement. The following sections should be considered to replace those respective portions of the Department's Public Notice No. 526 (42 FR 12937, March 7, 1977).

Jarvis Island. The seaward limit of the fishery conservation zone is 200 nautical miles from the baseline from which the breadth of the territorial sea is measured, except that to the north and east of Jarvis Island, the limit of the fishery conservation zone shall be determined by straight lines connecting the following coordinates:

1. 2°01′00″ N., 162°22′00″ W.
2. 2°01′42″ N., 162°01′35″ W.
3. 2°03′20″ N., 161°41′33″ W.
4. 2°02′30″ N., 161°36′20″ W.
5. 2°00′13″ N., 161°22′24″ W.
6. 1°50′18″ N., 160°20′42″ W.
7. 1°45′46″ N., 159°52′59″ W.
8. 1°43′31″ N., 159°39′27″ W.
9. 1°18′34″ N., 159°17′51″ W.
10. 0°49′29″ N., 158°51′22″ W.
11. 0°37′56″ N., 158°41′05″ W.
12. 0°11′56″ N., 158°17′58″ W.
13. 0°07′33″ N., 158°14′19″ W.
14. 0°04′58″ N., 158°12′12″ W.
15. 0°01′07″ N., 158°09′02″ W.
16. 0°02′31″ S., 158°06′03″ W.
17. 0°03′26″ S., 158°05′23″ W.
18. 0°09′31″ S., 158°00′56″ W.
19. 0°57′58″ S., 157°25′28″ W.
20. 1°31′08″ S., 157°01′08″ W.
21. 2°21′14″ S., 157°36′31″ W.
22. 3°10′40″ S., 158°10′30″ W.

Howland and Baker Islands. The seaward limit of the fishery conservation zone is a line 200 nautical miles from the baseline from which the breadth of the territorial sea is measured, except that to the south of Howland and Baker Islands, the limit of the fishery conservation zone shall be determined by straight lines connecting the following coordinates:

1. 0°16′09″ N., 173°08′20″ W.
2. 0°14′32″ S., 173°27′28″ W.
3. 0°43′52″ S., 173°45′30″ W.
4. 1°04′06″ S., 174°17′41″ W.
5. 1°12′30″ S., 174°31′02″ W.
6. 1°14′52″ S., 174°34′48″ W.
7. 1°52′36″ S., 175°34′51″ W.
8. 1°59′17″ S., 175°45′29″ W.
9. 2°17′09″ S., 176°13′58″ W.
10. 2°32′51″ S., 176°38′59″ W.
11. 2°40′26″ S., 176°51′03″ W.
12. 2°44′49″ S., 176°58′01″ W.
13. 2°44′53″ S., 176°58′08″ W.
14. 2°58′33″ S., 177°16′43″ W.
15. 3°00′55″ S., 177°27′25″ W.

Publication of a notice on this subject which is effective on December 18, 1979 is necessary effectively to exercise the foreign affairs responsibility of the Department of State. (See Title 5, U.S.C. Sec. 553(a)(1) and (b)(B).

Dated: December 11, 1979.

Mary Elizabeth Hoinkes,

Assistant Legal Adviser for Oceans, Environment and Scientific Affairs.

[FR Doc. 79–38592 Filed 12–17–79; 8:45 am]

BILLING CODE 4710–08–M

DEPARTMENT OF THE TREASURY

Debt Management Advisory Committees; Meetings

Notice is hereby given, pursuant to Section 10 of Public Law 92–463, that meetings will be held in Washington on January 29 and 30, 1980 of the following debt management advisory committees:

American Bankers Association, Government Borrowing Committee.
Public Securities Association, U.S. Government and Federal Agencies Securities Committee.

The agenda for the American Bankers Association Government Borrowing Committee meetings provides for working sessions on January 29 and a report to the Secretary of the Treasury and Treasury staff on January 30.

The agenda for the Public Securities Association U.S Government and Federal Agencies Securities Committee meetings provides for working sessions on January 29 and a report to the Secretary of the Treasury and the Treasury staff on January 30.

Pursuant to the authority placed in Heads of Departments by section 10(d) of Pub. L. 92–463, and vested in me by Treasury Department Order 190, revised, I hereby determine that these meetings are concerned with information exempt from disclosure under section 552b(c)(4) and (9)(A) of title 5 of the United States Code, and that the public interest requires that such meetings be closed to the public.

My reasons for this determination are as follows. The Treasury Department requires frank and full advice from representatives of the financial community prior to making its final decision on major financing operations. Historically, this advice has been offered by debt management advisory committees established by the several major segments of the financial community, which committees are utilized by this Department at meetings called by representatives of the Office of the Secretary. When so utilized they are recognized to be advisory committees under Pub. L. 92–463. The advice provided consists of commerical and financial information given and received in confidence. As such these debt management advisory committee activities concern matters which fall within the exemption covered by section 552(b)(c)(4) of Title 5 of the United States Code for matters which are "trade secrets and commerical or financial information obtained from a person and privileged or confidential."

Although the Treasury's final announcement of financing plans may or may not reflect the advice provided in reports of these committees, premature disclosure of these reports would lead to significant financial speculation in the securities market. Thus, these meetings also fall within the exemption covered by 552b(c)(9)(A) of Title 5 of the United States Code.

The Assistant Secretary (Domestic Finance) shall be responsible for maintaining records of the meeting of these committees and for providing annual reports setting forth a summary of their activities and such other matters as may be informative to the public consistent with the policy of 5 U.S.C. of 552b.

Dated: December 13, 1979.

Anthony M. Solomon,

Under Secretary for Monetary Affairs.

[FR Doc. 79–38697 Filed 12–17–79; 8:45 am]

BILLING CODE 4810–25–M

[Public Debt Series No. 30–79]

Treasury Notes of December 31, 1981; Series AB–1981

December 13, 1979.

1. Invitation for Tenders

1.1. The Secretary of the Treasury, under the authority of the Second Liberty Bond Act, as amended, invites tenders for approximately $3,500,000,000 of United States securities, designated Treasury Notes of December 31, 1981, Series AB–1981 (CUSIP No. 912827 KF 8). The securities will be sold at auction with bidding on the basis of yield. Payment will be required at the price equivalent of the bid yield of each accepted tender. The interest rate on the securities and the price equivalent of each accepted bid will be determined in the manner described below. Additional amounts of these securites may be issued to Government accounts and Federal Reserve Banks for their own account in exchange for maturing Treasury securities. Additional amounts of the new securities may also be issued at the average price to Federal Reserve Banks, as agents for foreign and international monetary authorities, to the extent that the aggregate amount of tenders for such accounts exceeds the aggregate amount of maturing securities held by them.

2. Description of Securities

2.1. The securities will be dated December 31, 1979, and will bear interest from that date, payable on a semiannual basis on June 30, 1980, and each subsequent 6 months on December 31 and June 30, until the principal becomes payable. They will mature December 31, 1981, and will not be subject to call for redemption prior to maturity.

2.2. The income derived from the securities is subject to all taxes imposed under the Internal Revenue Code of 1954. The securities are subject to estate, inheritance, gift or other excise taxes, whether Federal or State, but are exempt from all taxation now or hereafter imposed on the principal or interest thereof by any State, any possession of the United States, or any local taxing authority.

2.3. The securities will be acceptable to secure deposits of public monies. They will not be acceptable in payment of taxes.

2.4. Bearer securities with interest coupons attached, and securities registered as to principal and interest, will be issued in denominations of $5,000, $10,000, $100,000, and $1,000,000. Book-entry securities will be available to eligible bidders in multiples of those amounts. Interchanges of securities of different denominations and of coupon, registered and book-entry securities, and the transfer of registered securities will be permitted.

2.5. The Department of the Treasury's general regulations governing United States securities apply to the securities offered in this circular. These general regulations include those currently in effect, as well as those that may be issued at a later date.

3. Sale Procedures

3.1. Tenders will be received at Federal Reserve Banks and Branches and at the Bureau of the Public Debt, Washington, D.C. 20226, up to 1:30 p.m., Eastern Standard time, Wednesday, December 19, 1979. Noncompetitive tenders as defined below will be considered timely if postmarked no later than Tuesday, December 18, 1979.

3.2. Each tender must state the face amount of securities bid for. The minimum bid is $5,000 and larger bids must be in multiples of that amount. Competitive tenders must also show the yield desired, expressed in terms of an annual yield with two decimals, e.g., 7.11%. Common fractions may not be used. Noncompetitive tenders must show the term "noncompetitive" on the tender form in lieu of a specified yield. No bidder may submit more than one

noncompetitive tender and the amount may not exceed $1,000,000.

3.3 All bidders must certify that they have not made and will not make any agreements for the sale or purchase of any securities of this issue prior to the deadline established in Section 3.1. for receipt of tenders. Those authorized to submit tenders for the account of customers will be required to certify that such tenders are submitted under the same conditions, agreements, and certifications as tenders submitted directly by bidders for their own account.

3.4. Commercial banks, which for this purpose are defined as banks accepting demand deposits, and primary dealers, which for this purpose are defined as dealers who make primary markets in Government securities and report daily to the Federal Reserve Bank of New York their positions in and borrowings on such securities, may submit tenders for account of customers if the names of the customers and the amount for each customer are furnished. Others are only permitted to submit tenders for their own account.

3.5. Tenders will be received without deposit for their own account from commercial banks and other banking institutions; primary dealers, as defined above; Federally-insured savings and loan associations; States, and their political subdivisions or instrumentalities; public pension and retirement and other public funds; international organizations in which the United States holds membership; foreign central banks and foreign states; Federal Reserve Banks; and Government accounts. Tenders from others must be accompanied by a deposit of 5% of the face amount of securities applied for (in the form of cash, maturing Treasury securities or readily collectible checks), or by a guarantee of such deposit by a commercial bank or a primary dealer.

3.6. Immediately after the closing hour, tenders will be opened, followed by a public announcement of the amount and yield range of accepted bids. Subject to the reservations expressed in Section 4, noncompetitive tenders will be accepted in full, and then competitive tenders will be accepted, starting with those at the lowest yields, through successively higher yields to the extent required to attain the amount offered. Tenders at the highest accepted yield will be prorated if necessary. After the determination is made as to which tenders are accepted, a coupon rate will be established, on the basis of a ⅛ of one percent increment, which results in an equivalent average accepted price close to 100.000 and a lowest accepted price above the original issue discount limit of 99.500. That rate of interest will be paid on all of the securities. Based on such interest rate, the price on each competitive tender allotted will be determined and each successful competitive bidder will be required to pay the price equivalent to the yield bid. Those submitting noncompetitive tenders will pay the price equivalent to the weighted average yield of accepted competitive tenders. Price calculations will be carried to three decimal places on the basis of price per hundred, e.g., 99.923, and the determinations of the Secretary of the Treasury shall be final. If the amount of noncompetitive tenders received would absorb all or most of the offering, competitive tenders will be accepted in an amount sufficient to provide a fair determination of the yield. Tenders received from Government accounts and Federal Reserve Banks will be accepted at the price equivalent to the weighted average yield of accepted competitive tenders.

3.7. Competitive bidders will be advised of the acceptance or rejection of their tenders. Those submitting noncompetitive tenders will only be notified if the tender is not accepted in full, or when the price is over par.

4. Reservations

4.1. The Secretary of the Treasury expressly reserves the right to accept or reject any or all tenders in whole or in part, to allot more or less than the amount of securities specified in Section 1, and to make different percentage allotments to various classes of applicants when the Secretary considers it in the public interest. The Secretary's action under this Section is final.

5. Payment and Delivery

5.1. Settlement for allotted securities must be made or completed on or before Monday, December 31, 1979, at the Federal Reserve Bank or Branch or at the Bureau of the Public Debt, wherever the tender was submitted. Payment must be in cash; in other funds immediately available to the Treasury; in Treasury bills, notes or bonds (with all coupons detached) maturing on or before the settlement date but which are not overdue as defined in the general regulations governing United States securities; or by check drawn to the order of the institution to which the tender was submitted, which must be received at such institution no later than:

(a) Thursday, December 27, 1979, if the check is drawn on a bank in the Federal Reserve District of the institution to which the check is submitted (the Fifth Federal Reserve District in case of the Bureau of the Public Debt), or

(b) Thursday, December 27, 1979, if the check is drawn on a bank in another Federal Reserve District.

Checks received after the dates set forth in the preceding sentence will not be accepted unless they are payable at the applicable Federal Reserve Bank. Payment will not be considered complete where registered securities are requested if the appropriate identifying number as required on tax returns and other documents submitted to the Internal Revenue Service (an individual's social security number or an employer identification number) is not furnished. When payment is made in securities, a cash adjustment will be made to or required of the bidder for any difference between the face amount of securities presented and the amount payable on the securities allotted.

5.2. In every case where full payment is not completed on time, the deposit submitted with the tender, up to 5 percent of the face amount of securities allotted, shall, at the discretion of the Secretary of the Treasury, be forfeited to the United States.

5.3. Registered securities tendered as deposits and in payment for allotted securities are not required to be assigned if the new securities are to be registered in the same names and forms as appear in the registrations or assignments of the securities surrendered. When the new securities are to be registered in names and forms different from those in the inscriptions or assignments of the securities presented, the assignment should be to "The Secretary of the Treasury for (securities offered by this circular) in the name of (name and taxpayer identifying number)." If new securities in coupon form are desired, the assignment should be to "The Secretary of the Treasury for coupon (securities offered by this circular) to be delivered to (name and address)." Specific instructions for the issuance and delivery of the new securities, signed by the owner or authorized representative, must accompany the securities presented. Securities tendered in payment should be surrendered to the Federal Reserve Bank or Branch or to the Bureau of the Public Debt, Washington, D.C. 20226. The securities must be delivered at the expense and risk of the holder.

5.4. If bearer securities are not ready for delivery on the settlement date, purchasers may elect to receive interim certificates. These certificates shall be issued in bearer form and shall be exchangeable for definitive securities of this issue, when such securities are available, at any Federal Reserve Bank or Branch or at the Bureau of the Public Debt, Washington, D.C. 20226. The interim certificates must be returned at the risk and expense of the holder.

5.5. Delivery of securities in registered form will be made after the requested form of registration has been validated, the registered interest account has been established, and the securities have been inscribed.

6. General Provisions

6.1. As fiscal agents of the United States, Federal Reserve Banks are authorized and requested to receive tenders, to make allotments as directed by the Secretary of the Treasury, to issue such notices as may be necessary, to receive payment for and make delivery of securities on full-paid allotments, and to issue interim certificates pending delivery of the definitive securities.

6.2. The Secretary of the Treasury may at any time issue supplemental or amendatory rules and regulations governing the offering. Public announcement of such changes will be promptly provided.

Paul H. Taylor,

Fiscal Assistant Secretary.

Supplementary Statement

The announcement set forth above does not meet the Department's criteria for significant regulations and accordingly, may be published without compliance with the Departmental procedures applicable to such regulations.

[FR Doc. 79-38717 Filed 12-14-79; 8:45 am]
BILLING CODE 4810-40-M

[Public Debt Series No. 31-79]

Treasury Notes of December 31, 1983; Series H-1983

December 13, 1979.

1. Invitation for Tenders

1.1 The Secretary of the Treasury, under the authority of the Second Liberty Bond Act, as amended, invites tenders for approximately $2,500,000,000 of United States securities, designated Treasury Notes of December 31, 1983, Series H-1983 (CUSIP No. 912827 KG 6). The securities will be sold at auction with bidding on the basis of yield. Payment will be required at the price equivalent of the bid yield of each accepted tender. The interest rate on the securities and the price equivalent of each accepted bid will be determined in the manner described below. Additional amounts of these securities may be issued to Government accounts and Federal Reserve Banks for their own account in exchange for maturing Treasury securities. Additional amounts of the new securities may also be issued at the average price to Federal Reserve Banks, as agents for foreign and international monetary authorities, to the extent that the aggregate amount of tenders for such accounts exceeds the aggregate amount of maturing securities held by them.

2. Description of Securities

2.1. The securities will be dated December 31, 1979, and will bear interest from that date, payable on a semiannual basis on June 30, 1980, and each subsequent 6 months on December 31 and June 30, until the principal becomes payable. They will mature December 31, 1983, and will not be subject to call for redemption prior to maturity.

2.2. The income derived from the securities is subject to all taxes imposed under the Internal Revenue Code of 1954. The securities are subject to estate, inheritance, gift or other excise taxes, whether Federal or State, but are exempt from all taxation now or hereafter imposed on the principal or interest thereof by any State, any possesssion of the United States, or any local taxing authority.

2.3. The securities will be acceptable to secure deposits of public monies. They will not be acceptable in payment of taxes.

2.4. Bearer securities with interest coupons attached, and securities registered as to principal and interest, will be issued in denominations of $1,000, $5,000, $10,000, $100,000, and $1,000,000. Book-entry securities will be available to eligible bidders in multiples of those amounts. Interchanges of securities of different denominations and of coupon, registered and book-entry securities, and the transfer of registered securities will be permitted.

2.5. The Department of the Treasury's general regulations governing United States securities apply to the securities offered in this circular. These general regulations include those currently in effect, as well as those that may be issued at a later date.

3. Sale Procedures

3.1. Tenders will be received at Federal Reserve Banks and Branches and at the Bureau of the Public Debt, Washington, D.C. 20226, up to 1:30 p.m., Eastern Standard time, Thursday, December 20, 1979. Noncompetitive tenders as defined below will be considered timely if postmarked no later than Wednesday, December 19, 1979.

3.2. Each tender must state the face amount of securities bid for. The minimum bid is $1,000 and larger bids must be in multiples of that amount. Competitive tenders must also show the yield desired, expressed in terms of an annual yield with two decimals, e.g., 7.11%. Common fractions may not be used. Noncompetitive tenders must show the term "noncompetitive" on the tender form in lieu of a specified yield. No bidder may submit more than one noncompetitive tender and the amount may not exceed $1,000,000.

3.3. All bidders must certify that they have not made and will not make any agreements for the sale or purchase of any securities of this issue prior to the deadline established in Section 3.1. for receipt of tenders. Those authorized to submit tenders for the account of customers will be required to certify that such tenders are submitted under the same conditions, agreements, and certifications as tenders submitted directly by bidders for their own account.

3.4. Commercial banks, which for this purpose are defined as banks accepting demand deposits, and primary dealers, which for this purpose are defined as dealers who make primary markets in Government securities and report daily to the Federal Reserve Bank of New York their positions in and borrowings on such securities, may submit tenders for account of customers if the names of the customers and the amount for each customer are furnished. Others are only permitted to submit tenders for their own account.

3.5. Tenders will be received without deposit for their own account from commerical banks and other banking institutions; primary dealers, as defined above; Federally-insured savings and loan associations; States, and their political subdivisions or instrumentalities; public pension and retirement and other public funds; international organizations in which the United States holds membership; foreign central banks and foreign states; Federal Reserve Banks; and Government accounts. Tenders from others must be accompanied by a deposit of 5% of the face amount of securities applied for (in the form of cash, maturing Treasury securities or readily collectible checks), or by a guarantee of such deposit by a commercial bank or a primary dealer.

3.6. Immediately after the closing hour, tenders will be opened, followed by a public announcement of the amount and yield range of accepted bids. Subject to the reservations expressed in Section 4, noncompetitive tenders will be accepted in full, and then competitive tenders will be accepted, starting with those at the lowest yelds, through successively higher yields to the extent required to attain the amount offered. Tenders at the highest accepted yield will be prorated if necessary. After the

determination is made as to which tenders are accepted, a coupon rate will be established, on the basis of a ⅛ of one percent increment, which results in an equivalent average accepted price close to 100.000 and a lowest accepted price above the original issue discount limit of 99.000. That rate of interest will be paid on all of the securities. Based on such interest rate, the price on each competitive tender allotted will be determined and each successful competitive bidder will be required to pay the price equivalent to the yield bid. Those submitting noncompetitive tenders will pay the price equivalent to the weighted average yield of accepted competitive tenders. Price calculations will be carried to three decimal places on the basis of price per hundred, e.g., 99.923, and the determinations of the Secretary of the Treasury shall be final. If the amount of noncompetitive tenders received would absorb all or most of the offering, competitive tenders will be accepted in an amount sufficient to provide a fair determination of the yield. Tenders received from Government accounts and Federal Reserve Banks will be accepted at the price equivalent to the weighted average yield of accepted competitive tenders.

3.7. Competitive bidders will be advised of the acceptance or rejection of their tenders. Those submitting noncompetitive tenders will only be notified if the tender is not accepted in full, or when the price is over par.

Reservations

4.1. The Secretary of the Treasury expressly reserves the right to accept or reject any or all tenders in whole or in part, to allot more or less than the amount of securities specified in Section 1, and to make different percentage allotments to various classes of applicants when the Secretary considers it in the public interest. The Secretary's action under this Section is final.

5. Payment and Delivery

5.1. Settlement for allotted securities must be made or completed on or before Monday, December 31, 1979, at the Federal Reserve Bank or Branch or at the Bureau of the Public Debt, wherever the tender was submitted. Payment must be in cash; in other funds immediately available to the Treasury; in Treasury bills, notes or bonds (with all coupons detached) maturing on or before the settlement date but which are not overdue as defined in the general regulations governing United States securities; or by check drawn to the order of the institution to which the tender was submitted, which must be received at such institution no later than:

(a) Thursday, December 27, 1979, if the check is drawn on a bank in the Federal Reserve District of the institution to which the check is submitted (the Fifth Federal Reserve District in case of the Bureau of the Public Debt), or

(b) Thursday, December 27, 1979, if the check is drawn on a bank in another Federal Reserve District.

Checks received after the dates set forth in the preceding sentence will not be accepted unless they are payable at the applicable Federal Reserve Bank. Payment will not be considered complete where registered securities are requested if the appropriate identifying number as required on tax returns and other documents submitted to the Internal Revenue Service (an individual's social security number or an employer identifiction number) is not furnished. When payment is made in securities, a cash adjustment will be made to or required of the bidder for any difference between the face amount of securities presented and the amount payable on the securities allotted.

5.2. In every case where full payment is not completed on time, the deposit submitted with the tender, up to 5 percent of the face amount of securities allotted, shall, at the discretion of the Secretary of the Treasury, be forfeited to the United States.

5.3. Registered securities tendered as deposits and in payment for allotted securities are not required to be assigned if the new securities are to be registered in the same names and forms as appear in the registrations or assignments of the securities surrendered. When the new securities are to be registered in names and forms different from those in the inscriptions or assignments of the securities presented, the assignment should be to "The Secretary of the Treasury for (securities offered by this circular) in the name of (name and taxpayer identifying number)." If new securities in coupon form are desired, the assignment should be to "The Secretary of the Treasury for coupon (securities offered by this circular) to be delivered to (name and address)." Specific instructions for the issuance and delivery of the new securities, signed by the owner or authorized representative, must accompany the securities presented. Securities tendered in payment should be surrendered to the Federal Reserve Bank or Branch or to the Bureau of the Public Debt, Washington, D.C. 20226. The securities must be delivered at the expense and risk of the holder.

5.4. If bearer securities are not ready for delivery on the settlement date, purchasers may elect to receive interim certificates. These certificates shall be issued in bearer form and shall be exchangeable for definitive securities of this issue, when such securities are available, at any Federal Reserve Bank or Branch or at the Bureau of the Public Debt, Washington, D.C. 20226. The interim certificates must be returned at the risk and expense of the holder.

5.5. Delivery of securities in registered form will be made after the requested form of registration has been validated, the registered interest account has been established, and the securities have been inscribed.

6. General Provisions

6.1. As fiscal agents of the United States, Federal Reserve Banks are authorized and requested to receive tenders, to make allotments as directed by the Secretary of the Treasury, to issue such notices as may be necessary, to receive payment for and make delivery of securities on full-paid allotments, and to issue interim certificates pending delivery of the definitive securities.

6.2. The Secretary of the Treasury may at any time issue supplemental or amendatory rules and regulations governing the offering. Public announcement of such changes will be promptly provided.

Paul H. Taylor,

Fiscal Assistant Secretary.

Supplementary Statement

The announcement set forth above does not meet the Department's criteria for significant regulations and, accordingly, may be published without compliance with the Departmental procedures applicable to such regulations.

[FR Doc. 79-38716 Filed 12-17-79; 8:45 am]

BILLING CODE 4810-40-M

VETERANS ADMINISTRATION

Availability of Summary Report of Alcohol and Drug Treatment Program Evaluation

Notice is hereby given that the program evaluation of the Veterans Administration's Alcohol and Drug Dependence Treatment Program has been completed.

Single copies of the Alcohol and Drug Dependence Treatment Program evaluation are available free. Reproduction of multiple copies can be arranged at the user's expense.

Direct inquiries, specifying the name of the program evaluation desired, to Mr. Errol D. Clark, Director, Program Evaluation and Appraisal Service, Veterans Administration (074), 810 Vermont Avenue, N.W., Washington, D.C. 20420.

Dated: December 10, 1979.

By direction of the Administrator.

Rufus H. Wilson,

Deputy Administrator.

[FR Doc. 79-38877 Filed 12-17-79; 8:45 am]

BILLING CODE 8320-01-M

INTERSTATE COMMERCE COMMISSION

[Notice No. 173]

Motor Carrier Temporary Authority Applications

Correction

In FR Doc. 79-30589 appearing at page 57002 in the issue of Wednesday, October 3, 1979, on page 57006, in the third column, paragraph "MC 119991 (Sub-31TA)" in the twenty-third line "MN" should be corrected to read "NM".

BILLING CODE: 1505-01-M

[Decision Volume No.63]

Permanent Authority Applications; Decision-Notice

Correction

In FR Doc. 79-1353, appearing at page 3345, in the issue for Tuesday, January 16, 1979, on page 3351, in the middle column, in paragraph "MC 118159 (Sub-303F)" filed for National Refrigerated Transport, Inc., in the 16th line,"Montgomery, AL" should be corrected to read "Montgomery, IL".

BILLING CODE 1505-01-M

Permanent Authority Decisions Applications; Decision-Notice

Correction

In FR Doc. 79-31795 appearing at page 59707 in the issue for Tuesday, October 16, 1979, on page 59723, in the first column, in paragraph "MC 67450 (Sub-86F)" line twelve "MY" should be corrected to read "NY".

BILLING CODE 1505-01-M

Permanent Authority Decisions; Decision-Notice

Correction

In FR Doc. 79-1000 appearing at page 19577 in the issue of Tuesday, April 3, 1979, on page 19578, in the third column, paragraph "MC 29910 (Sub-200F)", in line nine "irregular" should be corrected to read "regular".

BILLING CODE 1505-01-M

Agricultural Cooperative; Notice to the Commission of Intent To Perform Interstate Transportation for Certain Nonmembers

Dated: December 13, 1979.

The following Notices were filed in accordance with section 10526(a)(5) of the Interstate Commerce Act. These rules provide that agricultural cooperatives intending to perform nonmember, nonexempt, interstate transportation must file the Notice, Form BOP 102, with the Commission within 30 days of its annual meetings each year. Any subsequent change concerning officers, directors, and location of transportation records shall require the filing of a supplemental Notice within 30 days of such change. The name and address of the agricultural cooperative, the location of the records, and the name and address of the person to whom inquiries and correspondence should be addressed, are published here for interested persons. Submission of information that could have bearing upon the propriety of a filing should be directed to the Commission's Bureau of Investigations and Enforcement, Washington, D.C. 20423. The Notices are in a central file, and can be examined at the Office of the Secretary, Interstate Commerce Commission, Washington, D.C.

Complete Legal Name of Cooperative Association or Federation of Cooperative Associations: National Transportation Cooperative, Inc.

Principal Mailing Address (Street No., City, State, and Zip Code): 3384 Peachtree Rd., NE, Suite 675, Atlanta, GA 30326

Where Are Records of Your Motor Transportation Maintained (Street No., City, State, and Zip Code): Suite 675, 3384 Peachtree Rd., NE, Atlanta, GA 30326

Person to Whom Inquiries and Correspondence Should Be Addressed (Name and Mailing Address): Marvin E. Anderson, 3384 Peachtree Rd., NE, Suite 675, Atlanta, GA 30326

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38048 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

[Notice No. 154]

Assignment of Hearings

December 11, 1979.

Cases assigned for hearing, postponement, cancellation or oral argument appear below and will be published only once. This list contains prospective assignments only and does not include cases previously assigned hearing dates. The hearings will be on the issues as presently reflected in the Official Docket of the Commission. An attempt will be made to publish notices of cancellation of hearings as promptly as possible, but interested parties should take appropriate steps to insure that they are notified of cancellation or postponements of hearings in which they are interested.

MC 55896 (Sub-105F), now assigned for hearing on January 8, 1980 at Washington, D.C. (2 weeks) is reassigned for prehearing Conference on January 8, 1979 at the Offices of the Interstate Commerce Commission, Washington, D.C.

MC 114552 (Sub-158(MlF)), SENN TRUCKING COMPANY, now being assigned for continued Prehearing Conference on January 15, 1980, at Offices of the Interstate Commerce Commission, Washington, D.C.

MC 114457 (Sub-512F), DART TRANSIT COMPANY, now being assigned for continued Prehearing Conference on January 22, 1980, at the Offices of the Interstate Commerce Commission, Washington, D.C.

MC 126844 (Sub-70F), R.D.S. TRUCKING CO., now being assigned for continued Prehearing Conference on January 23, 1980, at the Offices of the Interstate Commerce Commission, Washington, D.C.

MC 78687 (Sub-56F), LOTT MOTOR LINES, INC., now assigned for hearing on January 7, 1980 (1 day) at New York City, NY will be held in Room E-2222, Federal Building, 26 Federal Plaza.

MC 95540 (Sub-1083F), WATKINS MOTOR LINES, INC., now assigned for hearing on January 8, 1980 (1 day) at New York City, NY will be held in Room E-2222, Federal Building, 26 Federal Plaza.

MC 124004 (Sub-49F), RICHARD DAHN, INC., now assigned for hearing on January 9, 1980 (1 day) at New York, NY will be held in Room E-2222, Federal Building, 26 Federal Plaza.

MC 124170 (Sub-113F), FROSTWAYS, INC., now assigned for hearing on January 10, 1980 (2 days) at New York, NY will be held in Room E-2222, Federal Building, 26 Federal Plaza.

MC 142130 (Sub-4F), CRESCENT INDUSTRIES, INC., now assigned for hearing on January 14, 1980 (2 days) at Dallas, TX is canceled and transferred to Modified Procedure.

MC 115841 (Sub-659F), COLONIAL REFRIGERATED TRANSPORTATION, INC., transferred to Modified Procedure.

MC 101474 (Sub-25F), RED TOP TRUCKING COMPANY, INC., transferred to Modified Procedure.

AB 55 (Sub-29F), SEABOARD COAST LINE RAILROAD COMPANY. Abandonment near Gordonville, and Bartow, in Polk County, FL, now being assigned for hearing on February 4, 1980 (5 days) at Bartow, FL, location of hearing room will be designated later.

MC 120981 (Sub-29F), BESTWAY EXPRESS, INC., now being assigned for hearing on February 25, 1980 (1 week) at Nashville, TN, location of hearing room will be designated later.

MC 140511 (Sub-9F), AUTOLOG CORPORATION, now being assigned for hearing on February 11, 1980 (1 week) at New York, NY in a hearing room to be designated later.

MC 129615 (Sub-4F), AMERICAN INTERNATIONAL DRIVEAWAY now assigned for hearing on December 12, 1979 at Chicago, IL. is postponed indefinitely.

MC 107912 (Sub-22F), REBEL MOTOR FREIGHT, INC., now being assigned for hearing on February 4, 1980 (10 days) at Jackson, MS in a hearing room to be designated.

MC 2960 (Sub-25F), ENGLAND TRANSPORTATION COMPANY OF TEXAS, now assigned for hearing on January 29, 1980, at Dallas, TX is canceled and Application dismissed.

MC-C-10170, BLUE AND GRAY TRANSIT, INC., V. Daniel J. Buckley, John Burce, Charles Donovan, Evelyn Gordon, Rufus Gordon and Cyril M. Gummles, now being assigned for hearing on January 28, 1980 (2 days) at New York, NY in a hearing room to be designated later.

MC 145482 (Sub-1F), INNER CIRCLE QONEXIONS, INC. now being assigned for hearing on January 30, 1980 (3 days) at New York, NY in a hearing room to be designated later.

MC 144672 (Sub-9F), VICTORY EXPRESS, INC. now being assigned for hearing on January 28, 1980 (1 day) at Cincinnati, OH in a hearing room to be designated later.

MC 95540 (Sub-1077F), WATKINS MOTOR LINES, INC., now being assigned for hearing on January 29, 1980 (1 day) at Cincinnati, OH in a hearing room to be designated later.

MC 37251, LANDMARK, INC. V. CONSOLIDATED RAIL CORPORATION, now being assigned for hearing on January 30, 1980 (3 days) at Columbus, OH in a hearing room to be designated.

MC 135874 (Sub-147F), LTL PERISHABLES, INC., now assigned for hearing on December 11, 1979 at New York, NY is canceled and Application dismissed.

MC 110683 (Sub-135F), SMITH'S TRANSFER CORPORATION, now assigned for hearing on January 8, 1980 at Louisville, KY will be held at the Executive Inn West, 830 Phillips Lane, Freedom Way and Fairgrounds at Watterson Expressway), Louisville, KY.

MC 116254 (Sub-235F), CHEM-HAULERS, INC., now assigned for hearing on January 9, 1980 at Washington, DC is canceled and Application dismissed.

AB 39, ST. LOUIS SOUTHWESTERN RAILWAY COMPANY Abandonment Near Paragould and Blytheville and Hornesville Junction and Caruthersville, In Greene and Mississippi Counties, AR, and Dunklin and Pemiscot Counties, MO now being assigned for hearing on February 4, 1980 (1 week) at Caruthersville, MO in a hearing room to be designated later.

MC 146421F, CLARENCE WYATT TRANSFER, INC., now being assigned for continued prehearing conference on January 30, 1980, at the Offices of the Interstate Commerce Commission, Washington, D.C.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38650 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

[Notice No. 155]

Assignment of Hearings

December 12, 1979.

Cases assigned for hearing, postponement, cancellation or oral argument appear below and will be published only once. This list contains prospectrive assignments only and does not include cases previously assigned hearing dates. The hearings will be on the issues as presently reflected in the Official Docket of the Commission. An attempt will be made to publish notices of cancellation of hearings as promptly as possible, but interested parties should take appropriate steps to insure that they are notified of cancellation or postponements of hearings in which they are interested.

MC 127042 (Sub-232F), HAGEN, INC., now assigned for hearing on December 12, 1979 (1 week) at Omaha, NE is cancelled and transferred to Modified Procedure.

MC-F-13852, ODRIC GREGORY—CONTROL—TENNESSEE TEXAS EXPRESS, INC., now asigned for Prehearing Conference on January 29, 1980 at the Offices of Interstate Commerce Commission, at Washington, D.C.

MC 41432 (Sub-156F), EAST TEXAS MOTOR FREIGHT LINES, INC., now assigned for Prehearing Conference on January 29, 1980 at the Offices of the Interstate Commerce Commission, at Washington, D.C.

MC 145461F, TENNESSEE TEXAS EXPRESS, INC., now assigned for Prehearing Conference on January 29, 1980 at the Offices of the Interstate Commerce Commission, at Washington, D.C.

AB 43 (Sub-57), ILLINOIS CENTRAL GULF RAILROAD COMPANY and NEW ORLEANS GREAT NORTHERN RAILWAY COMPANY Abandonment at North Slidell and Covington In St. Tammany Parish, LA., now being assigned for hearing on February 4, 1980 (5 Days), at Covington, LA. in a hearing room to be designated later.

MC 144672 (Sub-8F), VICTORY EXPRESS, INC., now assigned for hearing on December 10, 1979 at New York, NY. is cancelled and transferred to Modified Procedure.

MC 129480 (Sub-37F), TRI-LINE EXPRESSWAYS, LTD. transferred to Modified Procedure.

MC 115841 (Sub-579F), COLONIAL REFRIGERATED TRANSPORTAION, INC., Application Dismissed.

MC 103993 (Sub-950F), MORGAN DRIVE-AWAY, INC., now assigned for hearing on January 29, 1980 (4 Days), will be held at the Ramada Inn, 3011 Belvedere Road, Elkhart, IN., and continued to February 12, 1980 (9 Days), in room 510-5th Floor, 211 Main Street, San Francisco, CA.

FD 29153F, AMERICAN TRAIN DISPATCHERS v. UNION PACIFIC RAILROAD COMPANY, now being assigned for hearing on February 6, 1980 (3 Days), at Tacoma, WA. in a hearing room to be designated later.

MC 65802 (Sub-65F), LYNDEN TRANSPORT, INC., now being assigned for hearing on February 11, 1980 (1 Week), at Seattle, WA. in a hearing room to be designated later.

MC 146703 (Sub-11F), ROBERTS & OAKE, INC., now being assigned for hearing on February 27, 1980 at the Offices of the Interstate Commerce Commission, Washington, D.C.

MC 45194 (Sub-23F), LATTAVO BROTHERS, INC., now being assigned for hearing on January 21, 1980 at the Offices of the Interstate Commerce Commission, Washington, D.C.

MC 95540 (Sub-109F), WATKINS MOTOR LINES, INC., now being assigned for hearing on February 28, 1980 at the Offices of the Interstate Commerce Commission, Washington, D.C.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38653 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

Fourth Section Application for Relief

December 13, 1979.

This application for long-and-short-haul relief has been filed with the I.C.C.

Protests are due at the I.C.C. on or before January 2, 1980.

FSA No. 43779, Southwestern Freight Bureau, Agent No. B-40, sugar, beet or cane, in carloads, from points in Colorado, Nebraska, and Wyoming to Dallas and Ft. Worth, TX, also returned shipments in the reverse direction, in Supp. 21 to its Tariff ICC SWFB 4412, effective January 7, 1980. Grounds for relief market competition.

By the Commission.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38652 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

Notice of Reopening of Related Proceedings in Which Divisions of Revenue Have Been Prescribed

AGENCY: Interstate Commerce Commission.

ACTION: Notice of reopening of related proceedings in which divisions of revenue have been prescribed.

SUMMARY: The cited pending proceedings involve proposed surcharges on joint rates. The surcharges would accrue only to one carrier party to the rate. The Commission has determined that it is necessary to reopen related divisions proceedings where the basis for the divisions of revenue has been prescribed.

The divisions proceedings are reopened to the extent necessary in each proceeding. All parties to the original divisions proceedings are here placed on notice that the Commission may approve a resettlement of divisions with respect to the commodities involved in each surcharge proceeding if doing so is found to be necessary and appropriate.

FOR FURTHER INFORMATION CONTACT: Richard Felder (202) 275-7693.

SUPPLEMENTARY INFORMATION: The reopened divisions proceedings are as follows:

New England Divisions, 132 I.C.C. 93 (1927), *Divisions of Freight Rates*, 253 I.C.C. 673 (1942), *Official Western Trunk Line Divisions*, 269 I.C.C. 765 (1948), *Official-Southwestern Divisions*, 292 I.C.C. 447 (1954), *Official-Southern Divisions*, 337 I.C.C. 74 (1970), *Akron C. & Y.R. Co.* v. *Atchison, T. & S.F. Ry. Co.*, 339 I.C.C. 540 (1971), and *Cincinnati, N.O. & T.P. Ry. Co.* v. *Akron, C. & Y.*, 353 I.C.C. 165 (1976).

Dated: December 3, 1979.

By the Commission, Chairman O'Neal, Vice Chairman Stafford, Commissioners Gresham, Clapp, Christian, Trantum, Gaskins and Alexis.

Agatha L. Mergenovich,

Secretary.

Appendix

I&S No. 9215: Conrail surcharge on paper from Mehoopany, PA.

I&S No. 9215 (Sub-No. 1): Conrail surcharge on paper from Mehoopany, PA., September 1979.

I&S No. 9220: Nonapplication of Conrail, surcharge , via the Family Lines System.

I&S No. 9227: Surcharge on iron or steel, Conrail, October 1979.

I&S No. 9229: Conrail surcharge on lime.

I&S No. 9230: Surcharge on agricultural machinery, Conrail, October 1979.

I&S No. 9231: Surcharge on petroleum coke, Conrail, October 1979.

I&S No. 9232: Surcharge on malt liquor, Conrail, October 1979.

I&S No. 9238 (Sub-No. 1): Surcharge on scrap tin or terne plate, Conrail, November 1979.

I&S No. 9241: Surcharge on coke (direct product of coal), Conrail, November 1979.

I&S No. 9233: Surcharge on rubber tires, Conrail, October 1979.

I&S No. 9234: Surcharge on furniture, Conrail, October 1979.

I&S No. 9235: Surcharge on lumber, Conrail, October 1979.

I&S No. 9236: Surcharge on iron or steel articles, Conrail, October 1979.

I&S No. 9237: Surcharge on rosin, Conrail, October 1979.

I&S No. 9238: Surcharge on scrap tin or terne plate, Conrail, October 1979.

I&S No. 9239: Surcharge on cotton, Conrail, October 1979.

I&S No. 9240: Surcharge on motor vehicles, Conrail, October 1979.

I&S No. 37284: Surcharge on wine, Conrail, October 1979.

FR Doc. 79-38651 Filed 12-17-79; 8:45 am]

BILLING CODE 7035-01-M

Permanent Authority Decisions; Decision-Notice

The following applications, filed on or after March 1, 1979, are governed by Special Rule 247 of the Commission's *Rules of Practice* (49 CFR § 1100.247). These rules provide, among other things, that a petition for intervention, either in support of or in opposition to the granting of an application, must be filed with the Commission within 30 days after the date notice of the application is published in the Federal Rigister. Protests (such as were allowed to filings prior to March 1, 1979) *will be rejected.* A petition for intervention without leave must comply with Rule 247(k) which requires petitioner to demonstrate that it (1) holds operating authority permitting performance of any of the service which the applicant seeks authority to perform, (2) has the necessary equipment and facilities for performing that service, and (3) has performed service within the scope of the application either (a) for those supporting the application, or, (b) where the service is not limited to the facilities of particular shippers, from and to, or between, any of the involved points.

Persons unable to intervene under Rule 247(k) may file a petition for leave to intervene under Rule 247(1) setting forth the specific grounds upon which it is made, including a detailed statement of petitioner's interest, the particular facts, matters, and things relied upon, including the extent, if any, to which petioner (a) has solicited the traffic or business of those supporting the application, or, (b) where the identity of those supporting the application is not included in the published application notice, has solicited traffic or business identical to any part of that sought by applicant within the affected marketplace. The Commission will also consider (a) the nature and extent of the property, financial, or other interest of the petitioner, (b) the effect of the decision which may be rendered upon petitioner's interest, (c) the availability of other means by which the petitioner's interest might be protected, (d) the extent to which petitioner's interest will be represented by other parties, (e) the extent to which petitioner's participation may reasonably be expected to assist in the development of a sound record, and (f) the extent to which participation by the petitioner would broaden the issues or delay the proceeding.

Petitions not in reasonable compliance with the requirements of the rule may be rejected. An original and one copy of the petition to intervene shall be filed with the Commission indicating the specific rule under which the petition to intervene is being filed, and a copy shall be served concurrently upon applicant's representative, or upon applicant if no representative is named.

Section 247(f) provides in part, that an applicant which does not intend to timely prosecute its application shall promptly request that it be dismissed, and that failure to prosecute an application under the procedures of the Commission will result in its dismissal.

If an applicant has introduced rates as an issue it is noted. Upon request, an applicant must provide a copy of the tentative rate schedule to any protestant.

Further processing steps will be by Commission notice, decision, or letter which will be served on each party of record. Broadening amendments will not be accepted after the date of this publication.

Any authority granted may reflect administrative acceptable restrictive amendments to the service proposed below. Some of the applications may have been modified to conform to the Commission's policy of simplifying grants of operating authority.

Findings

With the exception of those applications involving duly noted problems (e.g., unresolved common control, unresolved fitness questions, and jurisdictional problems) we find, preliminarily, that each common carrier applicant has demonstrated that its proposed service is required by the present and future public convenience and necessity, and that each contract carrier applicant qualifies as a contract carrier and its proposed contract carrier service will be consistent with the public interest and the transportation policy of 49 U.S.C. § 10101. Each applicant is fit, willing, and able properly to perform the service proposed and to conform to the requirements of Title 49, Subtitle IV, United States Code, and the Commission's regulation. Except where specifically noted, this decision is neither a major Federal action significantly affecting the quality of the human environment nor a major regulatory action under the Energy Policy and Conservation Act of 1975.

In those proceedings containing a statement or note that dual operations are or may be involved we find, preliminarily and in the absence of the issue being raised by a petitioner, that the proposed dual operations are consistent with the public interest and the transportation policy of 49 U.S.C. 10101 subject to the right of the Commission, which is expressly reserved, to impose such terms, conditions or limitations as it finds necessary to insure that applicant's operations shall conform to the provisions of 49 U.S.C. 10930(a) [formerly section 210 of the Interstate Commerce Act].

In the absence of legally sufficient petitions for intervention, filed on or before January 17, 1980 (or, if the application later becomes unopposed), appropriate authority will be issued to each applicant (except those with duly noted problems) upon compliance with certain requirements which will be set forth in a notification of effectiveness of the decision-notice. To the extent that the authority sought below may duplicate an applicant's other authority, such duplication shall be construed as conferring only a single operating right.

Applicants must comply with all specific conditions set forth in the following decision-notices on or before January 17, 1980, or the application shall stand denied.

Note.—All applications are for authority to operate as a common carrier, by motor vehicle, in interstate or foreign commerce over irregular routes, except as otherwise noted.

Volume No. 229

Decided: Nov. 13, 1979.

By the Commission, Review Board Number 2, Members Boyle, Eaton, and Liberman. Member Liberman, not participating.

MC 5623 (Sub-45F), filed June 8, 1979. Applicant: ARROW TRUCKING CO, a corporation, P.O. Box 7280, Tulsa, OK 74105. Representative: J. G. Dail, P.O. Box LL, McLean, VA 22101. Transporting *lumber,* from Columbia Falls, Darby, and Dillon, MT, to points in AZ, AR, CA, CO, ID, IL, IN, IA, KS, KY, LA, MI, MN, MO, NE, NV, NM, OH, OK, PA, TX, UT, WI, and WY. (Hearing site: Denver, CO.)

MC 61592 (Sub-454F), filed June 8, 1979. Applicant: JENKINS TRUCK LINE, INC., P.O. Box 697, Jeffersonville, IN 47130. Representative: E. A. DeVine, P.O. Box 737, Moline, IL 61265. Transporting (1) *cleaning compounds* (except commodities in bulk), from Detroit, MI, to points in CA, GA, KY, LA, NC, TN, and TX; and (2) *lime,* in bags, from points in Manitowoc County, WI, to points in AR, LA, OK and TX. (Hearing site: Chicago, IL, or Washington, D.C.)

MC 98952 (Sub-70F), filed June 8, 1979. Applicant: GENERAL TRANSFER COMPANY, a Delaware corporation, 2880 North Woodford St., Decatur, IL 62526. Representative: Paul E. Steinhour, 918 East Capitol Ave., Springfield, IL 62701. Transporting *foodstuffs* (except commodities in bulk), from the facilities of Commercial Distribution Center, at or near Kansas City, MO, to points in IN, IL, IA, KY, MN, OH, TN, and WI, restricted to the transportation of traffic originating at the named origin facilities and destined to the indicated destinations. (Hearing site: Springfield, IL, or St. Louis, MO.)

MC 109533 (Sub-112F), filed June 8, 1979. Applicant: OVERNITE TRANSPORTATION COMPANY, a corporation, P.O. Box 1216, Richmond, VA 23209. Representative: John C. Burton, Jr., 1000 Semmes Ave., Richmond, VA 23224. Transporting *general commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), serving the facilities of Schenley Distillers, Inc., at or near Schenley, PA, as an off-route point in connection with applicant's otherwise authorized regular-route operations. (Hearing site: Cincinnati, OH, or Washington, D.C.)

MC 111812 (Sub-658F), filed June 8, 1979. Applicant: MIDWEST COAST TRANSPORT, INC., P.O. Box 1233, Sioux Falls, SD 57101. Representative: R. H. Jinks (same address as applicant). Transporting *general commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), (1) from points in IL, IA, MN, OR, SD, and WI, to points in AZ, CA, CO, GA, IN, NJ, NC, TX, UT, and WA, (2) from points in IA, MN, SD, and WI, to points in IL and OR, and (3) between points in IL and OR, restricted in (1), (2), and (3) above to the transportaion of traffic originating at the facilities used by Minnesota Mining and Manufacturing Co. and destined to the indicated destinations. (Hearing site: Minneapolis, MN.)

MC 114273 (Sub-605), filed June 8, 1979. Applicant: CRST, INC. P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting (1) *lawn care equipment and snow throwers,* and (2) *materials, equipment, and supplies* used in the distribution and assembly of powered turf equipment, from the facilities of OMC, Galesburg, at or near Galesburg and Peoria, IL, to Denver, CO, Omaha, NE, Fargo, ND, and Sioux Falls, SD, points in CT, IN, IA, KS, ME, MD, MA, MI, MN, MO, NJ, NY, NC, OH, OK, PA, TX, VA, WI, (Except Racine, Kenosha, and Milwaukee and points in their respective commercial zones), and Washington, DC. (Hearing site: Chicago, IL, or Washington, DC.)

MC 124692 (Sub-284F), filed June 6, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting (1) *building materials,* and (2) *materials and supplies* used in the manufacture of the commodities in (1) above, between the facilities of ASC Pacific, at or near Sacramento, CA, and Tacoma, WA, on the one hand, and on the other points in AZ, CA, CO, ID, KS, MT, NE, NV, NM, ND, OK, OR, SD, TX, UT, WA, and WY. (Hearing site: San Francisco, CA.)

MC 143713 (Sub-10F), filed June 7, 1979. Applicant: AGRICULTURAL TRANSPORTATION ASSOCIATION OF ILLINOIS, a corporation, R.F.D. 8, 37 Forest Ridge, Springfield, IL 62707. Representative: Marshall D. Becker, Suite 610, 7171 Mercy Rd., Omaha, NE 68106. Transporting *steel buildings,* knocked-down, and *parts* for steel buildings, from Terre Haute, IN, to points in IL, IA, NE, KS, MO, KY, OH, ND, SD, MN, and WI. (Hearing site: Springfield, IL, or Houston, TX)

MC 145102 (Sub-32F), filed June 8, 1979. Applicant: FREYMILLER TRUCKING, INC., P.O. Box 188, Shullsburg, WI 53586. Representative: Wayne W. Wilson, 150 E. Gilman St., Madison, WI 53703. Transporting *wheels, rims, spindles, hubcaps, grease caps, and brake drums,* from Henderson, KY, Detrot, Lansing, and Romulus, MI, and Akron, Dayton, and Frankfort, OH, to Clear Lake, Davenport, Des Moines, Dubuque, and Ventura, IA. Note: Dual operations may be involved. (Hearing site: Madison, WI, or Des Moines, IA.)

Volume No. 230

Decided November 19, 1979.

By the Commission, Review Board Number 3, Members Parker, Fortier, and Hill. Member Hill not participating.

MC 24583 (Sub-24F), filed June 11, 1979 Applicant: FRED STEWART CO., a corporation, P.O. Box 665, Magnolia, AR 71753. Representative: James M. Duckett, 927 Pyramid Life Building, Little Rock, AR 72201. Transporting *plastic pipe, plastic fittings and plastic products,* from Magnolia, AR, to points in LA, TX, OK, MS, TN, MO, AL, CO, FL, IL, and KS. (Hearing site: Magnolia or Little Rock, AR.)

MC 44302 (Sub-12F), filed June 11, 1979. Applicant: DEFAZIO EXPRESS, INC., 1028 Springbrook Avenue, Moosic, PA 18507. Representative: Edward M. Alfano 550 Mamaroneck Avenue, Harrison, NY 10528. Transporting (1) *such commodities* as are dealt in by wholesale, retail, and chain grocery stores and food business houses, and (2) *equipment, supplies and material* used in the manufacture and distribution of the commodities in (1) above, (except commodities in bulk), from New York, NY, and points in NJ, to Camp Hill, Carlisle, Gettyburg, Mechanicsburg, and Shiremanstown, PA, and those points in PA on and east of U.S. Hwy 15. (Hearing site: New York, NY.)

Note.—Dual operations may be involved.

MC 61592 (Sub-455F), filed June 11, 1979. Applicant: JENKINS TRUCK LINE, INC., P.O. Box 697, Jeffersonville, IN 47130. Representative: E. A. DeVine, P.O. Box 737, Moline, IL 61265. Transporting (1)(a) *Solar panels, and accessories for solar panels,* and (b) *equipment materials and supplies* used in the installation of the commodities in (1)(a) above, (except commodities in bulk), from Aurora, CO, to points in the United States (except AK and HI), and (2) *aluminum siding and accessories for aluminum siding* (except commodities in bulk), from Southfield, MI, to points in the United States in and east of MN, IA, MO, AR and LA. (Hearing site: Chicago, IL.)

MC 61592 (Sub-456F), filed June 11, 1979. Applicant: JENKINS TRUCK LINE, INC., P.O. Box 697, Jeffersonville, IN 47130. Representative: E. A. DeVine, P.O. Box 737, Moline, IL 61265. Transporting (1) *new furniture,* from the facilities of La-Z-Boy South, Inc., at or near Newton, MS, to points in AR, FL, KS, LA, MO, KY, TN and OK, and (2) *cabinets* (uncrated), from points in VA to points in FL, GA, NC, OH, TX, NY, KY, and DC. (Hearing site: Washington, DC.)

MC 107012 (Sub-386F), filed June 11, 1979. Applicant: NORTH AMERICAN VAN LINES, INC., 5001 U.S. Highway 30 West, P.O. Box 988, Fort Wayne, IN 46801. Representative: David D. Bishop (same address as applicant). Transporting *such commodities,* as are dealt in by retail department stores (except commodities in bulk and commodities which because of size or weight require the use of special equipment), from points in the United States (except AK, and HI, and MI), to points in MI, restricted to the transportation of traffic destined to the facilities of Meijer, Inc. (Hearing site: Grand Rapids, MI, or Washington, DC.)

MC 107012 (Sub-387F), filed June 11, 1979. Applicant: NORTH AMERICAN VAN LINES, INC., 5001 U.S. Highway 30 West, P.O. Box 988, Fort Wayne, IN 46801. Representative: David D. Bishop (same address as applicant). Transporting *polyurethane foam sheets, blocks, and rolls,* from the facilities of Rogers Foam Company (1) at or near Somerville, MA, and (2) Hartford, CT, to points in IL, IN, KY, MI, MO, OH, and TN. (Hearing site: Boston, MA, or Washington, DC.)

MC 113362 (Sub-358F), filed June 11, 1979. Applicant: ELLSWORTH FREIGHT LINES, INC., 310 East Broadway, Eagle Grove, IA 50533. Representative: Milton D. Adams, 1105½ Eighth Avenue N.E., P.O. Box 429, Austin, MN 55912. Transporting *frozen foodstuffs* (except commodities in bulk), between the facilities of Monument Distribution Warehouse, Inc., at Indianapolis, IN, on the one hand, and, on the other, points in AL, AR, CO, CT, DE, FL, GA, IL, IA, KS, KY, LA, ME, MD, MA, MI, MN, MS, MO, NE, NH, NJ, NY, NC, ND, OH, OK, PA, RI, SC, SD, TN, TX, VT, VA, WV, WI, and DC, restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing site: Indianapolis, IN, or Chicago, IL.)

MC 114632 (Sub-240F), filed June 11, 1979. Applicant: APPLE LINES, INC., P.O. Box 287, Madison, SD 57042. Representative: David E. Peterson (same address as applicant). Transporting *sugar* from (1) Drayton, ND, and (2) E. Grand Forks, Crookston, Moorhead, Minneapolis, and Chaska, MN, to points in AR, CO, IL, IN, IA, KS, KY, MI, MO, NE, NY, OH, OK, PA, SD, WV, and WI. (Hearing site: Fargo, ND, or Minneapolis, MN.)

Note.—Dual Operations may be involved.

MC 115162 (Sub-486F), filed June 11, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Drawer 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address as applicant). Transporting *petroleum products,* in containers, from Chattanooga, TN and West Memphis, AR, to Montgomery, AL. (Hearing site: Atlanta, Ga, or Washington, DC.)

MC 115162 (Sub-487F), filed June 11, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Drawer 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address as applicant). Transporting (1) *television sets,* (2) *radios,* (3) *phonographs,* (4) *stereo systems,* (5) *recorders and players,* (6) *speaker systems,* (7) *audio equipment,* and (8) *accessories and component parts,* for the commodities in (1)(2)(3)(4)(5)(6) and (7) above, from the facilities of RCA Corporation at Bloomington and Indianapolis, IN, to points in AL, FL, GA, LA, MS and TX. (Hearing site: Chicago, IL or Atlanta, GA.)

MC 115322 (Sub-188F), filed June 11, 1979. Applicant: REDWING REFRIGERATED, INC., P.O. Box 10177, Taft, FL 32809. Representative: Warren P. Kurtz (same address as applicant). Transporting (1) *bananas,* and (2) *fruits,* the transportation of which is otherwise exempt from economic regulation under 49 U.S.C. 10526(a)(6), (formerly Section 203(b)(6) of the Interstate Commerce Act), in mixed loads with the commodities in (1) above, from Portsmouth, VA, to points in PA, MD, DE, DC, NY, NJ, CT, RI, MA, NH, VT, ME, NC, SC and TN. (Hearing site: Washington, DC.)

MC 116763 (Sub-524F), filed June 11, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters (same address as applicant). Transporting *such commodities* as are dealt in or used by manufacturers, converters, and distributors of paper and paper products (except commodities

in bulk, in tank vehicles), between points in the United States in and east of MN, IA, MO, OK, and TX, restricted to the transportation of traffic originating at or destined to the facilities of Eastern Fine Paper, Inc. (Hearing site: Portland, ME.)

MC 116763 (Sub-525F), filed June 11, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters (same address as applicant). Transporting *confectionery and confectionery products* (except commodities in bulk, in tank vehicles), from St. Louis, MO, to points in CT, DE, IA, IL, IN, MA, MD, ME, MI, MN, OH, PA, NH, NJ, NY, RI, VA, VT, WV, WI, and DC, restricted to the transportation of traffic originating at the named origin and destined to the indicated destinations. (Hearing site: St. Louis, MO.)

MC 116763 (Sub-526F), filed June 11, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters (same address as applicant). Transporting (1) *paper and paper products*, and (2) *materials, equipment and supplies*, used in the manufacture and distribution of the commodities in (1) above, (except commodities in bulk, in tank vehicles), between the facilities of Champion International Corporation at or near Cincinnati and Hamilton, OH, on the one hand, and, on the other, points in CT, ME, MA, NH, RI and VT, restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing site: Cincinnati, OH.)

MC 116763 (Sub-527F), filed June 11, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters, (same address as applicant). Transporting *petroleum, petroleum products, vehicle body sealer, sound deadener compounds, and filters* (except commodities in bulk, in tank vehicles), from the facilities of Quaker State Oil Refining Corporation (a) at or near Farmers Valley and Emlenton, PA, and (b) Congo and St. Marys, WV, to points in the United States in and east of MN, IA, MO, OK, and TX, restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing site: Pittsburgh, Pa.)

MC 118263 (Sub-85F), filed June 11, 1979. Applicant: COLDWAY CARRIERS, INC., P.O. Box 2038, Clarksville, IN 47130. Representative: William L. Willis, 708 McClure Building, Frankfort, KY 40601. Transporting *meats, meat products, and meat byproducts, and articles distributed by meat-packing houses*, as described in Sections A and C of Appendix I to the report in *Descriptions in Motor Carrier Certificates, 61 M.C.C. 209 and 766* (Except hides and commodities in bulk), from the facilities of Armour Processed Meats Co., at Louisville, KY, to points in AR, GA, IL, IN, IA, ME, MS, MO, NH, RI, TX, VA, WI, and WV. (Hearing site: Louisville or Frankfort, KY.)

MC 119493 (Sub-306F), filed June 11, 1979. Applicant: MONKEM COMPANY, INC., P.O. Box 1196, Joplin, MO 64801. Representative: Thomas D. Boone (same address as applicant). Transporting (1) *cabinets, furniture, furniture parts*, and (2) *materials and supplies* used in the manufacture and distribution of the commodities in (1) above, (except commodities in bulk) between points in Jasper County, MO on the one hand, and, on the other, points in the United States (except AK and HI). (Hearing site: Springfield, or Kansas City, MO.)

MC 123392 (Sub-88F), filed June 11, 1979. Applicant: JACK B. KELLEY, INC., Route 1, Box 400, Amarillo, TX 79106. Representative: Austin L. Hatchell, 801 Vaughn Bldg., Austin, TX 78701. Transporting *calcium bromide and zinc bromide*, in bulk, in tank vehicles, from the facilities of Great Lakes Chemical Company, at Houston, TX, to Cameron, LA. (Hearing site: Houston, TX.)

MC 124692 (Sub-287F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting (1) *roofing and roofing materials*, and (2) *materials* used in the manufacture of the commodities in (1) above, from (1) the facilities of G.A.F. Corporation at Minneapolis, MN, to points in the Upper Peninsula of MI, and points in Iron, Price, Taylor, Lincoln, Oneida, Vilas, Forest, Marinette, Oconto, Langlade, Menominee, and Ashland Counties, WI, and (2) in the reverse direction, restricted in (1) and (2) above, to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing site: Minneapolis, MN.)

MC 124692 (Sub-289F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting (1) *hydraulic body hoists, and hydraulic cylinders*, and (2) *mixers and accessories* for the commodities in (1) above, from Eaton, CO, to points in the United States (except AK and HI). (Hearing site: Denver, CO.)

MC 125433 (Sub-274F), filed June 11, 1979. Applicant: F–B TRUCK LINE COMPANY, a corporation, 1945 South Redwood Road, Salt Lake City, UT 84104. Representative: John B. Anderson (same address as applicant). Transporting (1) *batteries, scrap batteries, and parts, attachments, accessories and supplies* used in connection with batteries, and (2) *materials and supplies* used in the manufacture and distribution of the commodities in (1) above, between the facilities of Chloride Incorporated, at or near (a) Florence, MS, (b) Columbus, GA, (c) Raleigh, NC, (d) Tampa, FL, and (e) Beaverton, OR, on the one hand, and, on the other, points in the United States, (except AK and HI). (Hearing site: Miami, FL, or Atlanta, GA.)

MC 125433 (Sub-275F), filed June 11, 1979. Applicant: F–B TRUCK LINE COMPANY, 1945 South Redwood Road, Salt Lake City, UT 84104. Representative: John B. Anderson (same address as applicant). Transporting *liquid chemical cleaning compounds* (except commodities in bulk), from the facilities of Chemline Industries at Carson City, NV, to Cedar Rapids, IA, Carlstadt, NJ, and Austin, TX, restricted to the transportation of traffic originating at the named origin facilities. (Hearing site: San Francisco, CA, or Salt Lake City, UT.)

MC 125433 (Sub-276F), filed June 11, 1979. Applicant: F–B TRUCK LINE COMPANY, a corporation, 1945 South Redwood Road, Salt Lake City, UT 84104. Representative: John B. Anderson (same address as applicant). Transporting (1) *batteries, scrap batteries, and parts, attachments, accessories and supplies* used in connection with batteries, and (2) *materials and supplies* used in the manufacture and distribution of the commodities in (1) above, between the facilities of Chloride Incorporated, at or near (a) Florence, MS, (b) Columbus, GA, (c) Raleigh, NC, (d) Tampa, FL, and (e) Beaverton, OR, on the one hand, and, on the other, points in the United States, (except AK and HI). (Hearing site: Miami, FL, or Atlanta, GA.)

MC 125433 (Sub-279F), filed June 11, 1979. Applicant: F–B TRUCK LINE COMPANY, a corporation, 1945 South Redwood Road, Salt Lake City, UT 84104. Representative: John B. Anderson (same address as applicant). Transporting (1) *self-propelled mechanical lifting devices*, and (2) *parts, accessories and supplies* for the commodities in (1) above, from the facilities of Calavar Corporation at or near Santa Fe Springs, CA, to points in the United States (except AK and HI). (Hearing site: Los Angeles, CA.)

MC 127042 (Sub-273F), filed June 11, 1979. Applicant: HAGEN, INC., P.O. Box 98, Leeds Station, Sioux City, IA 51108. Representative: Robert G. Tessar (same address as applicant). Transporting

cardboard cartons, knocked down, from Chicago, IL, to points in IA. (Hearing site: Chicago, IL.)

MC 135953 (Sub-6F), filed June 11, 1979. Applicant: CHEROKEE LINES, INC., P.O. Box 152, Cushing, OK 74023. Representative: Donald L. Stern, Suite 610, 7171 Mercy Road, Omaha, NE 68106. Transporting *such commodities* as are dealt in by wholesale and retail grocery and drug stores (except commodities in bulk), from the facilities of The Proctor & Gamble Distributing Company, at or near Cincinnati, OH, to points in PA, NY, NJ, and MD. (Hearing site: Cincinnati, OH, or Chicago, IL.)

Note.—Dual operations may be involved.

MC 138703 (Sub-3F), filed June 11, 1979. Applicant: BOESDORFER TRUCKING, INC., 117 Church Street, Pleasant Plains, IL 62667. Representative: Robert T. Lawley 300 Reisch Bldg., Springfield, IL 62701. Transporting (1) *trace minerals and trace mineral ingredients*, between Pleasant Plains, IL, on the one hand, and, on the other, points in the United States (except AL and HI), and (2) *fertilizer and fertilizer ingredients*, (a) from points in Cass, Morgan, Sangamon and Pike Counties, IL, to points in IN, IA, KY, MO, OH, TN and WI, and (b) from Vincennes, IN, Burlington, Clinton, Ft. Madison and Koekuk, IA, Henderson, KY, Crystal City and Hannibal, MO, to points in IL. (Hearing site: Chicago, IL, or St. Louis, MO.)

MC 141363 (Sub-11F), filed June 11, 1979. Applicant: J. M. MARC TRANSPORTATION, INC., 7 Ladik Street, Piermont, NY 10968. Representative: Bruce J. Robbins, Esq., 118–21 Queens Boulevard, Forest Hills, NY 11375. Transporting (1) *paper and paper products*, and (2) *materials, equipment and supplies* used in the manufacture and distribution of the commodities in (1) above, (except commodities in bulk), between Victory Mills and Syracuse, NY, on the one hand, and, on the other, points in CT, DE, MD, MA, NJ, NY, and RI, and those points in PA on and east of U.S. Hwy 15, under continuing contract(s) with Clevepak Specialty Packaging, Inc., of Victory Mills and Syracuse, NY, a wholly-owned subsidiary of Clevepak Corp. of White Plains, NY. (Hearing site: New York, NY.)

MC 146553 (Sub-3F), filed June 11, 1979. Applicant: ADRIAN CARRIERS, INC., 1828 Rockingham Road, Davenport, IA 52808. Representative: James M. Hodge, 1980 Financial Center, Des Moines, IA 50309. Transporting *metal articles* from points in CA, IL, MI, NY, OH, and PA to the facilities of Alloy Metal Products at Davenport, IA. (Hearing site: Chicago, IL.)

Note.—Dual operations may be involved.

MC 146553 (Sub-4F), filed June 11, 1979. Applicant: ADRIAN CARRIERS, INC., 1828 Rockingham Road, Davenport, IA 52808. Representative: James M. Hodge, 1980 Financial Center, Des Moines, IA 50309. Transporting *wine*, from points in Sonoma, Santa Clara, Alameda, Napa, San Mateo, and Madera Counties, CA, to Rock Island, Peoria, and Galesburg, IL. (Hearing site: Davenport, IA, or Chicago, IL.)

Note.—Dual operations may be involved.

MC 146652 (Sub-2F) (correction), filed May 1, 1979, published in the Federal Register issue of August 30, 1979, and republished as corrected this issue. Applicant: FEDERAL PRODUCE TRANSPORTATION CO., a corporation, 8309 Tujunga Ave., Sun Valley, CA 91352. Representative: Jack H. Blanshan, Suite 200, 205 West Touhy Ave., Park Ridge, IL 60068. To operate as a *common carrier*, by motor vehicle, in interstate or foreign commerce, over irregular routes, transporting (1) *Bananas*, and (2) *agricultural commodities*, the transportation of which are otherwise exempt from economic regulation under 49 U.S.C. § 10526(a)(6) (formerly Section 203 (b)(6) of the Interstate Commerce Act), in mixed loads with bananas, from the facilities of Del Monte Banana Co., at Port Hueneme, CA, to points in AZ, OR and WA, restricted to the transportation of traffic having a prior movement by water. (Hearing Site: Los Angeles, CA.) The purpose of this republication is to correct the commodity description.

MC 146802 (Sub-2F), filed June 11, 1979. Applicant: C. E. D. Transportation, INC., 2913 Andoria Court, Baltimore, MD 21234. Representative: Francis W. McInerny, 1000 16th Street, N.W., Washington, DC 20036. Transporting *stone granules and stone dust* from Gladhill, PA, to Baltimore, MD, under continuing contract(s) with GAF Corporation, of Wayne, NJ. (Hearing site: Washington, DC.)

MC 147392 (Sub-2F), filed June 11, 1979. Applicant: NOTTINGHAM COMPANY, a corporation, 1303 Boyd Avenue NW., Atlanta, GA 30318. Representative: Clyde W. Carver, P.O. Box 720434, Atlanta, GA 30328. Transporting *boiler cleaning compounds, latex thickener, rubber accelerator, and rubber preservatives*, in bulk, in tank vehicles, from Chattanooga, TN, to Houston and Borger, TX, and Westlake and Baton Rouge, LA, under continuing contract(s) with Alco Chemical Corporation of Chattanooga, TN. Conditions: (1) Applicant shall maintain separate accounts and records for his for-hire carrier operations as distinct from his other business activities, and (2) he shall not at the same time and in the same vehicle transport property both as a private carrier and a for-hire carrier.

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Decided: Nov. 26, 1979.

By the Commission Review Board Number 1, Members Carleton, Joyce and Jones.

MC 2202 (Sub-595F), filed June 13, 1979. Applicant: ROADWAY EXPRESS, INC., P.O. Box 471, 1077 Gorge Blvd., Akron, OH 44309. Representative: William O. Turney, Suite 1010, 7101 Wisconsin Ave., Washington, DC 20014. Transporting *general commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), serving Graham, TX as an off-route point in connection with applicant's authorized regular-route operations. (Hearing site: Dallas, TX or Washington, DC.)

MC 2202 (Sub-597F), filed June 12, 1979. Applicant: ROADWAY EXPRESS, INC., P.O. Box 471, 1077 Gorge Blvd., Akron, OH 44309. Representative: William O. Turney, Suite 1010, 7101 Wisconsin Avenue NW., Washington, DC 20014. Transporting *general commodities* (except those of unusual value, classes A and B explosives, household goods as defined by the Commission, commodities in bulk, and those requiring special equipment), serving all points in IN on and north of U.S. Hwy 40, as off-route points in connection with applicant's otherwise authorized regular-route operations. (Hearing site: Indianapolis, IN, or Washington, DC.)

MC 16872 (Sub-22F), filed June 13, 1979. Applicant: WILLIAM MIRRER, d.b.a. MIRRER's TRUCKING, 100 E. 25th St., Paterson, NJ 07524. Representative: George A. Olsen, P.O. Box 357, Gladstone, NJ 07934. Transporting (1) *lawn mowers, tractors, and snow blowers;* and (2) *accessories, materials, equipment, and supplies* used in the distribution of the commodities in (1) above, from Decatur, GA, and Ft. Worth, TX, to Kenvil, NJ. (Hearing site: New York, NY or Washington, DC.)

MC 43963 (Sub-20F), filed June 11, 1979. Applicant: CHIEF TRUCK LINES, INC., 1479 Ripley Street, Lake Station, IN 46405. Representative: James C. Hardman, 33 N. LaSalle St., Chicago, IL 60602. Transporting *metal and metal articles* between points in Lake, Cook, Will, and Du Page Counties, IL, and

Lake and Porter Counties, IN, on the one hand, and, on the other points in MN. (Hearing site: Chicago, IL.)

MC 80443 (Sub-25F), filed June 11, 1979. Applicant: OVERNITE EXPRESS, INC., 2550 Long Lake Road, Roseville, MN 55113. Representative: Samuel Rubenstein, 301 North Fifth Street, Minneapolis, MN 55403. Transporting (1)(a) *air coolers or air conditioners,* other than water evaporative type, (b) *refrigeration evaporators or condensers* (c) *ice making machines* and (d) *parts and accessories* for the commodities in (a), (b), and (c) above, from (i) Faribault and Minneapolis, MN, and (ii) Spirit Lake, IA, to points in the United States (except AK and HI); and (2) *materials, equipment, and supplies,* used in the manufacture of commodities named in (1) above, in the reverse direction. (Hearing site: Minneapolis or St. Paul, MN.)

MC 82492 (Sub-242F), filed June 13, 1979. Applicant: MICHIGAN & NEBRASKA TRANSIT CO., INC., 2109 Olmstead Road, P.O. Box 2853, Kalamazoo, MI. Representative: Dewey R. Marselle (Same address as applicant). Transporting *frozen foodstuffs* between Indianapolis, IN, on the one hand, and, on the other, points in IA, KS, MI, MN, MO, NE, OH, PA, and WI, restricted to the transportation of shipments originating at or destined to the facilities of Monument Distribution Warehouse, Inc., at Indianapolis, IN. (Hearing site: Indianapolis, IN or Washington, DC.)

MC 89693 (Sub-45F), filed June 11, 1979. Applicant: HARMS PACIFIC TRANSPORT, INC., Suite 210, 7322 North Division, Spokane, WA 98208. Representative: Boyd Hartman, 10655 N.E. 4th P.O. Box 3641, Bellevue, WA 98009. Transporting (1) *tallow,* in bulk, from the facilities of Iowa Beef Processors, Inc., at or near Wallula, WA, to Seattle and Tacoma, WA, and points in ID and OR; and (2) *fertilizer* (a) between those points in WA in and east of Okanogan, Chelan, Kittitas, Yakima, and Klickitat Counties; (b) those points in OR in and east of Wasco, Jefferson, Deschutes, and Klamath Counties; and (c) points in ID, in and north of Idaho County, restricted in (1) above to the transportation of traffic having a prior or subsequent movement by water in foreign commerce. (Hearing site: Pasco or Spokane, WA.)

MC 110563 (Sub-282F), filed June 13, 1979. Applicant: COLDWAY FOOD EXPRESS, INC., P.O. Box 747, State Route 29 North, Sidney, OH 45365. Representative: Joseph M. Scanlan, 111 West Washington Street, Chicago, IL 60602. Transporting (1) *frozen foods,* from Buffalo, NY, to points in AL, AR, CO, FL, GA, IA, KS, KY, LA, MN, MS, MO, NE, NC, ND, OK, SC, SD, TN, TX, VA, and WV; and (2) *frozen doughnuts,* from North East, PA, to points in IN and WI. (Hearing site: Buffalo, NY or Washington, D.C)

MC 110563 (Sub-288F), filed June 13, 1979. Applicant: COLDWAY FOOD EXPRESS, INC., P.O. Box 747, State Route 29 North, Sidney, OH 45365. Representative: Joseph M. Scanlan, 111 West Washington Street, Chicago, IL 60602. Transporting *Foodstuffs* (in mechanically refrigerated equipment), from Columbus, OH, to points in AL, CT, DE, GA, IL, IN, IA, KY, ME, MD, MA, MI, MN, MS, NH, NJ, NY, NC, PA, RI, SC, TN, VT, VA, WV, WI, AND DC, restricted to the transportation of traffic originating at the facilities of Capital City Products, Division of Stokely Van Camp, Inc., at or near Columbus, OH. (Hearing site: Columbus, OH or Washington, DC.)

MC 110563 (Sub-289F), filed June 13, 1979. Applicant: COLDWAY FOOD EXPRESS, INC., P.O. Box 747, State Route 29 North, Sidney, OH 45365. Representative: Joseph M. Scanlan, 111 West Washington Street, Chicago, IL 60602. Transporting *confectionery products,* (1) from the facilities of M&M/Mars, Division of Mars, Inc., at or near Hackettstown and Elizabeth, NJ to points in DE, MD, PA, VA, and DC; and (2) from the facilities of M&M/Mars, Division of Mars, Inc., at or near Elizabethtown, PA to points in DE, MD, NJ, VA, and DC. (Hearing site:. Philadelphia, PA or New York City, NY.)

MC 110563 (Sub-290F), filed June 13, 1979. Applicant: COLDWAY FOOD EXPRESS, INC., P.O. Box 747, State Route 29 North, Sidney, OH 45365. Representative: Joseph M. Scanlan, 111 West Washington Street, Chicago, IL 60602. Transporting *Foodstuffs,* from Kansas City, Mo, to points in the United States (except AK and HI). (Hearing site: Kansas City or St. Louis, MO.)

MC 114273 (Sub-606F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core, (same address as applicant). Transporting *iron and steel articles,* from Philadelphia, PA to Cleveland, OH. (Hearing site: Chicago, IL or Washington, DC.)

MC 114273 (Sub-607F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting *agricultural chemicals* (except in bulk), between points in the United States (except AK and HI), restricted to the transportation of traffic originating at or destined to the facilties of Monsanto Company. (Hearing site: Chicago, IL or Washington, DC.)

MC 114273 (Sub-608F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting *meats, meat products and meat byproducts, and articles distributed by meat-packing houses,* as described in sections A and C of Appendix I to the report in *Descriptions in Motor Carrier Certificates,* 61 M.C.C. 209 and 766 (except hides and commodities in bulk), from the facilities of Briggs and Company, a subsidiary of Wilson Foods Corporation, at Landover, MD to points in IA, KS, MN, MO, NE, and WI, restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing site: Dallas, TX or Kansas City, MO.)

MC 114273 (Sub-609F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting *steel castings,* from Omaha, NE to Aurora and Peoria, IL. (Hearing site: Chicago, IL or Washington, DC.)

MC 114273 (Sub-610F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting (1) *paper and paper products, and materials, equipment, and supplies,* used in the manufacture and shipping of paper and paper products; and (2) *soap, liquid soap dispensers, and metal towel dispensers,* from Gary, IN to points in MD, NJ, NY, PA, and VA. (Hearing site: Chicago, IL or Washington, DC.)

MC 114273 (Sub-611F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting (1) *sand and gravel washers, log washers, and coal crushers;* and (2) *parts* for the commodities in (1) above, from Des Moines, IA to points in DE, IL, IN, KY, MI, MD, NJ, NY, OH, PA, VA, and WV. (Hearing site: Chicago, IL or Washington, DC.)

MC 114273 (Sub-612F), filed June 13, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). Transporting *plastic materials* (except in bulk, in tank vehicles), from Kobuta, PA to points in MI and VA. (Hearing site: Chicago, IL or Washington, DC.)

MC 114632 (Sub-241F), filed June 13, 1979. Applicant: APPLE LINES, INC., P.O. Box 287, Madison, SD 57042. Representative: David E. Peterson (same address as applicant). Transporting *such commodities as are dealt in by retail department stores,* between points in the United States in and east of MT, WY, CO, and NM, restricted to the transportation of traffic originating at or destined to the facilities of Target-Stores-Division of Dayton-Hudson Corporation. (Hearing site: Minneapolis, MN or Chicago, IL.)

Note.—Dual operations may be involved.

MC 115162 (Sub-488F), filed June 13, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Box 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address as applicant). Transporting *paper, paper products, and materials, equipment, and supplies,* used in the manufacture and distribution of paper and paper products (except commodities in bulk, in tank vehicles), between points in the United States and east of ND, SD, NE, KS, OK, and TX, restricted to the transportation of shipments originating at or destined to facilities of Champion International Corporation. (Hearing site: Cincinnati, OH or Washington, DC.)

MC 115162 (Sub-489F), filed June 14, 1979. Applicant: POOLE TRUCK LINE, INC., P.O. Drawer 500, Evergreen, AL 36401. Representative: Robert E. Tate (same address as applicant). Transporting (1) *composition board, lumber, gypsum wallboard, poles, and posts;* and (2) *materials and supplies* used in the installation, manufacture, and distribution of the commodities in (1) above (except commodities in bulk, in tank vehicles), between those points in the United States in and east of ND, SD, NE, KS, OK and TX, restricted to the transportation of traffic originating at or destined to the facilities used by Weyerhaeuser Company. (Hearing site: Chicago, IL or Memphis, TN.)

MC 116763 (Sub-528F), filed June 13, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters (same address as applicant). Transporting *foodstuffs* (except commodities in bulk, in tank vehicles), from Mobile, AL, and Philadelphia, PA, to points in DE, GA, IA, IL, IN, MD, MN, MO, OH, PA, and WI, restricted to the transportation of traffic originating at the named origins and destined to the indicated destinations. (Hearing sites: Chicago, IL.)

MC 116763 (Sub-531F), filed June 12, 1979. Applicant: CARL SUBLER TRUCKING, INC., North West Street, Versailles, OH 45380. Representative: H. M. Richters (same address as applicant). Transporting *scrap metals* between points in the United States (except AK and HI), restricted to the transportation of traffic originating at or destined to the facilities of Dulin Metals, Inc. (Hearing site: Chicago, IL.)

MC 117883 (Sub-248F), filed June 13, 1979. Applicant: SUBLER TRANSFER, INC., One Vista Drive, Versailles, OH 45380. Representative: Neil E. Hannan, P.O. Box 62, Versailles, OH 45380. Transporting *meats, meat products, and meat byproducts,* as described in section A of Appendix I to the report in *Descriptions in Motor Carrier Certificates,* 61 M.C.C. 209 and 766 (except in bulk), in vehicles equipped with mechanical refrigeration, from the facilities of Mosey's Corned Beef Co., at or near Bloomfield, CT to points in IL, IN, KY, MI, OH, PA, and WV, restricted to the transportation traffic originating at the named origin and destined to the indicated destinations. (Hearing site: New York, NY or Washington, DC.)

MC 119522 (Sub-43F), filed June 11, 1979. Applicant: MCLAIN TRUCKING, INC., 2425 Walton Street, P.O. Box 2159, Anderson, IN 46011. Representative: John B. Leatherman, Jr. (same address as applicant). Transporting (1)(a) *glass containers and closures for glass containers,* and (b) *books used in home canning,* in mixed loads with the commodities described in (a) above from the facilities of the Ball Corporation at (a) Muncie, IN, and (b) Lake and Cook Counties, IL, to points in IL, IN, KY, MI, MO, and OH; (2) *metal containers and ends for metal containers,* from the facilities of the Ball Corporation at Findlay, OH, to points in IL, IN, KY, MI, and MO; (3) *steel articles,* from the facilities of the Ball Corporation at Chicago, IL, to points in IN, KY, MI, MO, and OH; and (4) *materials, supplies, and equipment,* used in the manufacture of the commodities in (1) above, from points in IL, IN, KY, MI, MO, and OH, to the facilities of the Ball Corporation at or near (a) Chicago, IL, (b) Findlay, OH, (c) Muncie, IN, and (d) Mundelein, IL. (Hearing site: Indianapolis, IN, or Chicago, IL.)

MC 124692 (Sub-288F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting (1) *material handling equipment, parts, and accessories,* and (2) *materials and supplies* used in the installation and assembly of the commodities in (1) above, from the facilities of General Conveyor, Inc., at or near Martinez, CA, to points in AZ, CA, CO, ID, MT, NV, NM, OR, UT, WA, and WY, restricted to the transportation of traffic originating at the named origins. (Hearing site: San Francisco, CA.)

MC 124692 (Sub-290F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting *corrugated metal roof panels* and *accessories,* for corrugated metal roof panels, from the plant site of Architectural Mfg. Inc., at Pontiac, MI, to points in CA, ID, MT, OR, UT, WA, and WY. (Hearing site: Hearing site: Chicago, IL.)

MC 124692 (Sub-291F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting *pre-cut wooden buildings, knocked down,* from points in WA to points in the United States, (except AK and HI). (Hearing site: Seattle, WA.)

MC 124692 (Sub-292F), filed June 11, 1979. Applicant: SAMMONS TRUCKING, a corporation, P.O. Box 4347, Missoula, MT 59806. Representative: J. David Douglas (same address as applicant). Transporting *metal and metal articles,* between those points in the United States in and west of WI, IL, MO, OK, and TX (except AK and HI). (Hearing site: Denver, CO, or San Francisco, CA.)

MC 135732 (Sub-37F), filed June 13, 1979. Applicant: AUBREY FREIGHT LINES, INC., P.O. Box 503, Elizabeth, NJ 07207. Representative: George A. Olsen, P.O. Box 357, Gladstone, NJ 07934. Transporting *tiles,* from Laredo, TX, to points in CT, IL, IN, MA, NJ, NY, OH, PA, and WI. (Hearing site: New York, NY or Washington, DC.)

MC 138512 (Sub-39F), filed June 13, 1979. Applicant: ROLAND'S TRANSPORTATION SERVICES, INC. D.B.A. WISCONSIN PROVISIONS EXPRESS, P.O. Box 656, Cudahy, WI 53110. Representative: Richard C. Alexander, 710 North Plankinton Avenue, Milwaukee, WI 53203. To operate as a *contract carrier,* by motor vehicle, in interstate or foreign commerce, over irregular routes, transporting *foodstuffs* (except commodities in bulk), from the facilities of American Home Foods, a division of American Home Products Corporation, at or near LaPorte, IN, to points in WI, under continuing contract(s) with American Home Foods, a division of American Home Products Corporation, of New York, NY. (Hearing site: Chicago, IL.)

MC 139402 (Sub-7F), filed June 11, 1979. Applicant: H. O. SMESTAD CO., a corporation, P.O. Box 2904, Great Falls, MT 59403. Representative: G. Robert Crotty, Jr., 400 First National Bank Building, Great Falls, MT 59401. To operate as a *contract carrier*, by motor vehicle, in interstate or foreign commerce, over irregular routes, transporting *wine, ale, non-alcoholic beverages, and beverage mixes*, from points in CA, IL, KY, OR, and WA to Great Falls, MT, under continuing contract(s) with Devine & Asselstine, Inc., of Great Falls, MT. (Hearing site: Great Falls, Billings, or Helena, MT.)

MC 141823 (Sub-9F), filed June 13, 1979. Applicant: GLASS CONTAINER TRANSPORT, INC., Route 1, Box 271, Ridgeway, SC 29130. Representative: Archie B. Culbreth, Suite 202, 2200 Century Parkway, Atlanta, GA 30345. To operate as a *contract carrier*, by motor vehicle, in interstate or foreign commerce, over irregular routes, transporting (1) *malt beverages*, from Columbus, OH, to points in CT, IN, KY, NH, NJ, NY, ME, MA, and PA; and (2) *materials, supplies, and equipment* used in the manufacture and distribution of malt beverages (except in bulk), in the reverse direction, under continuing contract(s) with Anheuser-Busch, Inc., of St. Louis, MO. (Hearing site: Atlanta, GA.)

Note.—Dual operations may be involved.

MC 144982 (Sub-7F), filed June 11, 1979. Applicant: OHIO PACIFIC EXPRESS, INC., 2385 South High Street, Columbus, OH 43207. Representative: Harry F. Horak, Suite 115, 5001 Brentwood Stair Road, Fort Worth, TX 76112. Transporting (1) *furnaces and air conditioners* and (2) *fittings and parts* used for the commodities in (1) above, from Cincinnati, OH, to points in AZ, CA, CO, ID, KS, MO, MT, NM, NV, OK, OR, TX, UT, WA, and WY. (Hearing site: Cincinnati or Columbus, OH.)

MC 145242 (Sub-12F), filed June 11, 1979. Applicant: CASE HEAVY HAULING, INC., P.O. Box 267, Warren, OH 44482. Representative: Paul F. Beery, 275 E. State Street, Columbus, OH 43215. Transporting *pipe, fittings, valves, hydrants, and accessories*, from the facilities of Clow Corporation at Columbia, MO, to points in OH, IL, IN, MI, PA, WV, and WI. (Hearing site: Columbus, OH.)

MC 146422 (Sub-4F) (Correction) filed May 1, 1979, published in the **Federal Register**, issue of August 30, 1979, and partially republished, as corrected, this issue. Applicant: DELBERT F. JOHNSTON, 2801 Gore Road, Pueblo, CO 81006. Representative: Jack B. Wolfe, 350 Capitol Life Center, 1600 Sherman Street, Denver, CO 80203. The purpose of this partial republication is to correct the MC number, inadvertently published on August 30, 1979 as MC 146442 (Sub-4F). The remainder of this application remains as originally published.

Agatha L. Mergenovich,
Secretary.

[FR Doc. 79-38655 Filed 12-17-79; 8:45 am]
BILLING CODE 7035-01-M

Sunshine Act Meetings

Federal Register
Vol. 44, No. 244
Tuesday, December 18, 1979

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94-409) 5 U.S.C. 552b(e)(3).

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1

[M-260, Amdt. 2; Dec. 13, 1979]

CIVIL AERONAUTICS BOARD.

Notice of deletion of item from the December 13, 1979, meeting.

TIME AND DATE: 9:30 a.m., December 13, 1979.

PLACE: Room 1027 (Open), Room 1011 (Closed), 1825 Connecticut Avenue NW., Washington, D.C. 20428.

SUBJECT: 18. Docket 35634, Agreements CAB 27928–R1 through R3: Agreements among members of IATA establishing an exception of the IATA cargo agency accreditation standards (Memo 9339, BDA).

STATUS: 1–24b (Open), 25 (Closed).

PERSON TO CONTACT: Phyllis T. Kaylor, the Secretary, (202) 673–5068.

SUPPLEMENTARY INFORMATION: Item 18 is being deleted from the December 13, 1979 agenda in order to allow the staff additional time for coordination. Accordingly, the following Members have voted that agency business requires the deletion of Item 18 and that no earlier announcement of this deletion was possible:

Chairman, Marvin S. Cohen
Member, Richard J. O'Melia
Member, Elizabeth E. Bailey
Member, Gloria Schaffer

[S-2451-79 Filed 12-14-79; 3:09 pm]
BILLING CODE 6320-01-M

2

[M-261, Nov. 13, 1979]

CIVIL AERONAUTICS BOARD.

TIME AND DATE: 9:30 a.m., December 20, 1979.

PLACE: Room 1027, 1825 Connecticut Avenue NW., Washington, D.C. 20428

SUBJECT:

1. Ratification of Items adopted by notation.
2. Docket 34661, Interim Essential Air Transportation at Plattsburgh, Massena, Watertown, Saranac Lake/Lake Placid, Ogdensburg, New York, and Rutland, Vermont—Instructions to staff.
3. Docket 31400, *Colorado Ski Points*—Instructions to staff.
4. Amendment of Rules of Practice in Enforcement Proceedings to simplify and expedite procedures for settlement, and to conform provisions for withholding of documents to Freedom of Information Act standards. (BCP, OGC, BL])
5. Docket 34015, Amendment of statistical reporting requirements for small carriers and new entrants and elimination of certain reporting requirements in Part 241, Uniform of System Accounts and Reports for Certificated Air Carriers. (OEA, OC, BCAA, BDA, BIA, BCP, OGC, OCCR)
6. Docket 35046, NACA petition to revise prior authorization procedures for charters by foreign air carriers. (BIA, OGC, BDA)
7. Docket 36816, Criteria for designating additional eligible points. (OGC, BDA)
8. Dockets 32660 and 35634, IATA agreements proposing a third round of fuel-related passenger fare and cargo rate increases. (BIA)
9. Transatlantic fare increases proposed by Braniff and Air France. (Memo No. 9358, BIA)
10. Docket 36496, the "guranteed air fare" rule and its proposed cancellation by Texas International Airlines, Inc. and Western Air Lines, Inc. (BDA, BCP, OEA, OGC)
11. Docket 23080–2, *Priority and Nonpriority Domestic Service Mail Rates Investigation*, Orders establishing mail rates. (OGC, BDA)
12. Docket 37138, Charge for ticket reissue, refund, or cancellation proposed by TWA. Complaint alleges that proposed charge is too high and results in less service without a similar reduction in fare level. (Memo No. 9362, BDA)
13. Docket 31290, Increases in intra-California fares above those prescribed in Regulation PS–82 proposed by United. (BDA)
14. Docket 35634, Agreements CAB 27928–R1 through R3: Agreements among members of IATA establishing an exception to the IATA cargo agency accreditation standards. (Memo No. 9339, BDA)
15. Docket 37109, Limitation of Excess Baggage Allowance Proposed by Eastern Airlines, Inc., in Certain Caribbean Markets—report of an informal conference of interested persons. (Memo No. 9286–B, BDA)
16. Docket 32001, Application of American Airlines for Exemption from Section 412—Order Terminating Proceeding. (Memo No. 9363, OGC)
17. Docket 36283, In re Argentine Airlines and Transport Workers Union of America, AFL–CIO; Order Dismissing Petition. (Memo No. 9353, OGC)
18. Docket 30699, *Oakland Service Case (Economic Phase)*. (Memo No. 7922–G, OGC)
19. Docket 37033, Application of Altair Airlines for a temporary certificate to serve New Bern, N.C., for sixty days without subsidy. (BDA)
20. Docket 36923, TWA's ninety day notice to suspend passenger service at Reno between January 15 and June 15, 1980. (Memo No. 9361, BDA, OCCR)
21. Dockets 36834, EAS–560, NR–105—United Air Lines' notice of intent to terminate service at Salem, Oregon under section 401(j)(1) of the Act, and to terminate service in single-plane markets under section 401 (j)(2). (BDA)
22. Docket 36862, EAS–669—Western Air Lines' notice of intent to terminate service at Pocatello, Idaho under section 401(j) of the Act. (BDA)
23. Dockets 36770, 36771, 36822, 36823, 36837, 36850, 36875, and 36876; USAir's notices to terminate service at Muncie/Anderson/Newcastle, IN, Elkins, WV, DuBois and Oil City/Franklin, PA, Salisbury and Hagerstown, MD, Cape May, NJ, and Jamestown, NY. (BDA, OCCR)
24. Docket 36801, Braniff Airways' ninety day notice of termination of all service at Sacramento, CA. (Memo No. 9357, BDA, OCCR)
25. Docket 36357, Application of Altair Airlines, Inc., for an exemption from the denied boarding rules of Part 250 of the Board's Economic Regulations. (BDA)
26. Docket 33719, Application of JAPAN TRAVEL BUREAU, INC. d/b/a JAPAN TRAVEL BUREAU INTERNATIONAL, INC. for a foreign indirect air carrier permit. (Memo No. 9359, BIA, OGC, BALJ)

STATUS: Open.

PERSON TO CONTACT: Phyllis T. Kaylor, the Secretary, (202) 673–5068.

[S-2452-79 Filed 12-14-79; 3:40 pm]
BILLING CODE 6320-01-M

3

December 12, 1979.

FEDERAL ENERGY REGULATORY COMMISSION.

TIME AND DATE: December 19, 1979, 10 a.m.

PLACE: 825 North Capitol Street NE., Washington, D.C. 20426, Room 9306.

STATUS: Open.

MATTERS TO BE CONSIDERED: Agenda.

Note.—Items listed on the agenda may be deleted without further notice.

CONTACT PERSON FOR MORE INFORMATION: Kenneth F. Plumb, Secretary, Telephone (202) 357–8400.

This is a list of all matters to be considered by the Commission. It does not include a listing of all papers relevant to the items on the agenda; however, all public documents may be examined in the Office of Public Information.

Power Agenda—350th Meeting December 19, 1979, Regular Meeting, (10 a.m.)

CAP–1. Docket No. EL78–43, city of bountiful Utah, Utah Power & Light Co., city of Santa Clara, California, and Pacific Gas & Electric Co.
CAP–2. Project No. 2897, S. D. Warren Co.
CAP–3. Docket No. ER80–47, Upper Peninsula Power Co. Upper Peninsula Generating, Co., and Cliffs Electric Service Co.
CAP–4. Docket No. ER80–55, Consumers Power Co.
CAP–5. Docket Nos. ER79–216 and ER79–217, Boston Edison Co.
CAP–6. Docket Nos. E–8167, E–8700, ER76–203, and ER76–238, Boston Edison Co. Docket No. ER78–516, Boston Edison Co.
CAP–7. Docket Nos. E–7738 and E–7784, Boston Edison Co.
CAP–8. Docket No. EL78–6, Illinois Power Co.
CAP–9. Docket No. ER79–544, Idaho Power Co.

Miscellaneous Agenda—350th Meeting December 19, 1979, Regular Meeting

CAM–1. Docket No. RM79–40, Interim Rule—Determination of Alternate Fuels for Essential Agricultural Users.
CAM–2. Docket No.GP80–, State of Ohio, NGPA Well Category Determination, JD80–6011.
CAM–3. Docket No. GP79–115, U.S. Geological Survey New Mexico, § 103 NGPA Determination, Petroleum Development Corporation, Hudson Federal No. 1, FERC JD No. 79–12999, New Mexico 307–79–103.
CAM–4. GP79–120, State of Louisiana, § 106 NGPA Determination, AMAX Petroleum Corp., Delacroix Corp. No. 1 Well, JD79–13791, La. No. NGPA 79–1710.
CAM–5. Docket No. GP79–117, State of Nebraska, § 102 NGPA Determination, Chain Oil, Inc., Schoen #1 Well, JD79–13110.
CAM–6. Docket No. CP79–107, State of New Mexico, § 108 NGPA Determination, El Paso Natural Gas Company, San Juan 27–5 Unit Well #110 JD79–12375
CAM–7. Docket No. GP79–121, State of Louisiana, § 108 NGPA Determination, K. D. Lankford, Jr. and L & N Drilling Co., Meeks No. 1 Well, JD79–13871, La. No. NGPA79–1859.

Gas Agenda—350th Meeting, December 19, 1979, Regular Meeting

CAG–1. Docket No. RP–80–55, Sea Robin Pipeline Co.
CAG–2. Docket No. RP–80–49, Southern Natural Gas Co.
CAG–3. Docket No. RP–77–62, Tennessee Gas Pipeline Corp.
CAG–4. Docket No. RP–80–50, Gas Gathering Corp.
CAG–5. Docket No. RP–80–54, Natural Gas Pipeline Co. of America.
CAG–6. Docket No. RP–80–53, Arkansas Louisiana Gas Co.
CAG–7. Docket Nos. RP–71–107, RP72–127 (PGA 80–1) (GRI 80–1) (R&D 80–1) (LFUT 80–1), Northern Natural Gas Co.
CAG–8. Docket No. RP–80–52, Consolidated Gas Supply Corp.
CAG–9. Docket No. TA80–1–7, et al., Southern Natural Gas Co., et al.
CAG–10. Docket No. RP–78–10, Kansas Nebraska Natural Gas Co.
CAG–11. Docket Nos. RP–73–3 (PGA 76–1), and RP74–52 (PGA 76–1), Transcontinental Gas Pipe Line Corp. and Transwestern Pipeline Co.
CAG–12. Docket No. RP–75–51, Transcontinental Gas Pipe Line Corp.
CAG–13. Docket No. RP–75–79, *Lehigh Portland Cement Company* v. *Florida Gas Transmission Company.*
CAG–14. Docket No. TC80–34, East Tennessee Natural Gas Co.
CAG–15. Docket No. TC79–138, North Alabama Gas District.
CAG–16. Docket No. RI65–293, J. C. Trahan Drilling Contractor, Inc.
CAG–17. The Superior Oil Co., FERC Gas Rate Schedule No. 225.
CAG–18. Coleve Joint Venture, FERC Gas Rate Schedule No. 1, Columbia Gas Development Corp., FERC Gas Rate Schedule No. 36.
CAG–19. Docket No. CI79–580, Union Oil Co. of California. Docket No. CS79–531, et al., Logan T. Monsees & Vivian V. Monsees, husband and wife as joint tenants. Docket No. CI79–496, Diamond Shamrock Corp. Docket No. CI78–1141, Cotton Petroleum Corp. Docket No. CI79–440, Gulf Oil Corp. Docket No. CI78–696, Atlantic Richfield Co. Docket No. CS66–108, et al., Energy Resources Oil & Gas Corp., et al. Docket No. CS1–912, et al., Cusack Intrests, et al. Docket No. CI79–358, Multistate Oil Properties, N.V. Docket No. CI79–673, Mobil Oil Exploration and Producing South-East, Inc. Docket No. CI79–664, Quintana Offshore, Inc. Docket No. CI79–665, Quintana Offshore, Inc. Docket No. CI79–679, Getty Oil Co. Docket No. CI79–663, Quintana Gulf, Inc. Docket No. CI79–400, Multistate Oil Properties, N.V.
CAG–20. Docket No. CI78–704, Mitchell Energy Corp.
CAG–21. The Superior Oil Co., Gas Rate Schedule No. 45.
CAG–22. Docket No. CI77–70, Getty Oil Co.
CAG–23. Docket Nos. CI63–706 and RI76–154, CRA, Inc.
CAG–24. Texas Oil & Gas Corp., FERC Gas Rate Schedule No. 64.
CAG–25. Docket No. CS71–631, Eason Oil Co., Docket No. CS76–842, Devon Corp.
CAG–26. Docket No. CP79–331, Trunkline Gas Co.
CAG–27. Docket No. CP79–456, Owens-Corning Fiberglas Corp.
CAG–28. Docket No. CP79–328, Natural Gas Pipeline Co. of America.
CAG–29. Docket No. CP79–300, Southern Natural Gas Co.
CAG–30. Docket No. CP79–288, Michigan Wisconsin Pipe Line Co.
CAG–31. Docket No. CP–448, Mountain Fuel Supply Co.
CAG–32. Docket No. CP79–446, United Gas Pipe Line Co. Docket No. CP79–469, Southern Natural Gas Co.
CAG–33. Docket No. CP79–495, Michigan Wisconsin Pipeline Co.
CAG–34. Docket No. CP79–302, Florida Gas Transmission Co.
CAG–35. Docket No. CP79–439, United Gas Pipe Line Co.
CAG–36. Docket No. CP79–422, Transwestern Pipeline Co. and Michigan Wisconsin Pipe Line Co.
CAG–37. Docket No. CP71–68, et al., Consolidated System LNG Co., et al.
CAG–38. Docket No. CP80–66, Columbia LNG Corp. Docket No. CP80–69, Southern Natural Gas Co., et al. Docket No. CP80–70, Southern Energy Co.

Power Agenda–350th Meeting, December 19, 1979, Regular Meeting

I. Licensed Project Matters

P–1. Project No. 2305, Sabine River Authority, State of Louisiana, and Sabine River Authority of Texas.

II. Electric Rate Matters

ER–1. Docket No. ER80–5, Minnesota Power & Light Co.
ER–2. Docket No. ER80–57, Gulf States Utilities Co.
ER–3. Docket No. ER80–62, Potomac Electric Power Co.
ER–4. Docket No. ER80–49, Central Illinois Public Service Co.
ER–5. Docket No. ER80–39, Indiana and Michigan Electric Co. (I&M), and Illinois Power Co.
ER–6. Docket Nos. ER80–66, ER80–67, and ER80–68, New England Power Co.
ER–7. Docket No. ER78–19, et al., Florida Power & Light Co.
ER–8. Docket No. EL79–20, Buckeye Power, Inc.
ER–9. Docket No. EL79–29, Municipal Electric Utilities Association of New York.

Miscellaneous Agenda—350th Meeting, December 19, 1979, Regular Meeting

M–1. (A) Docket No. RM79–28, Amendments to Part 32 of the Regulations Under the Federal Power Act; Regulation Governing Interchange Energy Transmission Rates for Section 202(C) Emergencies. (B) Docket No. RM79–29, Amendments to Part 35 of the Regulations Under the Federal Power Act; Proposed Limitations on Address for All Electric Rates.
M–2. Docket No. RM79–40, Calculation of Cash Working Capital Allowance for Electric Utilities.
M–3. Reserved.
M–4. Reserved.
M–5. Docket No. RM79–47, State Exemptions from Incremental Pricing.
M–6. Docket No. RM79–14, Regulations Implementing the Incremental Pricing Provisions of the Natural Gas Policy Act of 1978.
M–7. Docket No. RM79–67, Procedures Governing Applications for Special Relief Under Sections 104, 108, and 109 of the Natural Gas Policy Act of 1978.

Gas Agenda—350th Meeting, December 19, 1979, Regular Meeting

I. Pipeline Rate Matters

RP–1. Docket No. RP75–108, Columbia Gas Transmission Corp.
RP–2. Docket Nos. RP77–107 and RP71–41, et al., United Gas Pipe Line Co.
RP–3. Docket Nos. RP77–54, RP77–55, RP76–10 (PGA77–5), and RP74–61 (PGA77–5), Arkansas Louisiana Gas Co.
RP–4. Docket No. RP73–36 (PGA78–3) (DCA78–2), Panhandle Eastern Pipe Line Co.
RP–5. Docket Nos. RP78–52 and RP79–22, Consolidated Gas Supply Corp.

II. Producer Matters

CI–1. Docket No. RI76–28, *Arkansas Louisiana Gas Company* v. *Frank J. Hall, et al.*

III. Pipeline Certificate Matters

CP–1. Docket No. TC80–26, Southern Natural Gas Co.
CP–2. Docket No. TC80–7, Michigan Wisconsin Pipe Line Co.
CP–3. Docket No. CP80–75, Border Gas Inc., Docket No. CP80–83, Border Gas Inc., Docket No. CP80–89, Texas Eastern Gas Transmission Corp., Docket No. CP80–90, Texas Eastern Gas Transmission Corp., Docket No. CP80–91, Florida Gas Transmission Co., Docket No. CP80–92, Tennessee Gas Pipeline Co.
CP–4. Docket Nos. CP76–123, et al., Northwest Alaskan Natural Gas Transportation Co.

Kenneth F. Plumb,
Secretary.

[S–2468–79 Filed 12–14–79; 3:19 pm]
BILLING CODE 6450–01–M

4

FEDERAL HOME LOAN BANK BOARD.

"FEDERAL REGISTER" CITATION OF PREVIOUS ANNOUNCEMENT: To Be Published in the **Federal Register** Monday, December 17, 1979.

PREVIOUSLY ANNOUNCED TIME AND DATE OF MEETING: 9:30 am., December 20, 1979.

PLACE: 1700 G Street NW., Sixth Floor, Washington, D.C.

STATUS: Open Meeting.

CONTACT PERSON FOR MORE INFORMATION: Franklin O. Bolling, (202–377–6677).

CHANGES IN THE MEETING: The meeting previously scheduled for Thursday, December 20, 1979, has been changed to Friday, December 21, 1979. The time remains the same—9:30 a.m.

No. 301, December 14, 1979.

[S–2450–79 Filed 12–14–79; 3:19 pm]
BILLING CODE 6720–01–M

5

FEDERAL MINE SAFETY AND HEALTH REVIEW COMMISSION.

TIME AND DATE: 2 p.m., Thursday, December 20, 1979. This meeting was originally scheduled for 10 a.m., Tuesday, December 18, 1979.

PLACE: Room 600, 1730 K Street, NW., Washington, D.C.

STATUS: Open.

MATTERS TO BE CONSIDERED:

The Commission will consider and act upon the following:

1. Ora Mae Coal Company, KENT 79–283–D (Petition for Interlocutory Review)
2. Consolidation Coal Company, VINC 77–132–P, IBMA 78–3

CONTACT PERSON FOR MORE INFO: Jean Ellen, 202–653–5632.

[S–2469–79 Filed 12–14–79; 3:19 pm]
BILLING CODE 6820–12–M

6

FEDERAL RESERVE SYSTEM (Board of Governors).

TIME AND DATE: 9 a.m., Friday, December 21, 1979.

PLACE: 20th Street and Constitution Avenue NW., Washington, D.C. 20551.

STATUS: Open.

MATTERS TO BE CONSIDERED:

1. Proposed policy statement outlining approaches to the analysis of Community Reinvestment Act factors in acting on applications covered by the Act.

Note.—This meeting will be recorded for the benefit of those unable to attend. Cassettes will be available for listening in the Board's Freedom of Information Office, and copies may be ordered for $5 per casette by calling (202) 452–3684 or by writing to: Freedom of Information Office, Board of Governors of the Federal Reserve System, Washington, D.C. 20551.

CONTACT PERSON FOR MORE INFORMATION: Mr. Josepn R. Coyne, Assistant to the Board; (202) 452–3204.

Dated: December 14, 1979.

Theodore E. Allison,
Secretary of the Board.

[S–2448–79 Filed 12–14–79; 11:34 am]
BILLING CODE 6210–01–M

7

FEDERAL RESERVE SYSTEM (Board of Governors).

TIME AND DATE: Approximately 10:00 a.m., Friday, December 21, 1979 (following a recess at the conclusion of the open meeting).

PLACE: 20th Street and Constitution Avenue NW., Washington, D.C. 20551.

STATUS: Closed.

MATTERS TO BE CONSIDERED:

1. Applications of (a) Cleveland Trust Company, Cleveland, Ohio, to acquire shares of the successor by merger to Columbus Trust Company, Cleveland, Ohio; Lakeshore Trust Company, Painesville, Ohio; and First Lorain Trust Company, Lorain, Ohio; and to establish a branch in Cleveland; and (b) Ameri-Trust Corporation (formerly the Cleveland-Trust Corporation), Cleveland, Ohio, to acquire shares of Cincinnati Trust Company, Cincinnati, Ohio.
2. Personnel actions (appointments, promotions, assignments, reassignments, and salary actions) involving individual Federal Reserve System employees. 3. Any agenda items carried forward from a previously announced meeting.

CONTACT PERSON FOR MORE INFORMATION: Mr. Joseph R. Coyne, Assistant to the Board; (202) 462–3204.

Dated: December 14, 1979.

Theodore E. Allison,
Secretary of the Board.

[S–2447–79 Filed 12–14–79; 11:34 am]
BILLING CODE 6210–01–M

8

NATIONAL CREDIT UNION ADMINISTRATION.

TIME AND DATE: 9:30 a.m., December 20, 1979.

PLACE: 1776 G Street NW., Washington, D.C., Board Room, 7th Floor.

STATUS: Open.

MATTERS TO BE CONSIDERED:

1. Review of Central Liquidity Facility Lending Rates.
2. Central Liquidity Facility Repayment Agreements.
3. Conforming changes to Central Liquidity Facility Regular Member Agreements.
4. Waiver of Statutory Reserve Requirement for federally insured credit unions for calendar year 1979. Section 116 of the Federal Credit Union Act.
5. Interagency policy statement on disposition of credit life insurance income.
6. Interagency policy statement for uniform disclosure of statutory enforcement actions.
7. Applications for charters, amendments to charters, bylaw amendments, mergers, conversions and insurance as may be pending at that time.
8. Any items carried over from previously announced open meeting.

RECESS: 10:30 a.m.

TIME AND DATE: 11 a.m., December 20, 1979.

PLACE: 1776 G Street NW., Washington, D.C., Board Room, 7th Floor.

STATUS: Closed.

MATTERS TO BE CONSIDERED:

1. Personnel Actions. Closed pursuant to exemptions (2) and (6).
2. Requests from federally insured credit unions for special assistance under Section 208 of the Federal Credit Union Act in order to prevent their closing. Closed pursuant to exemption (8) and (9)(A)(ii).
3. Administrative Actions under Section 120 of the Federal Credit Union Act. Closed pursuant to exemptions (8), (9)(A)(ii), and (10).
4. Monthly review of the 1980 Budget. Closed pursuant to exemption (9)(B).

CONTACT PERSON FOR MORE INFORMATION:
Rosemary Brady, Secretary of the Board, telephone (202) 357–1100.

[S-2444-79 Filed 12-13-79; 4:31 pm]
BILLING CODE 7535-01-M

9

NUCLEAR REGULATORY COMMISSION.

TIME AND DATE: Week of December 17, 1979.

PLACE: Commissioners' Conference Room, 1717 H St., NW, Washington, DC.

STATUS: Open/Closed.

MATTERS TO BE CONSIDERED:

Monday, December 17, 2 p.m.

1. Discussion of Management-Orgnaization and Internal Personnel Matters (Approximately 1½ hours—closed-Ex. 2 and 6—Rescheduled from 12/12).

Tuesday, December 18, 9:30 a.m.

1. Continuation of Briefing on Policy, Planning and Program Guide (Approximately 2½ hours—as announced—public meeting).

Wednesday, December 19, 9:30 a.m.

1. Continuation of Briefing on Action Plan (Approximately 2½ hours—public meeting).
2. Affirmation Session (10 minutes—public meeting—items are tentative) a. Export of Minor Quantities of Nuclear Material. b. Gainesville, Fla. Power & Light.

Wednesday, December 11, 1:30 p.m.

1. Briefing on Organizational Aspects of Emergency Planning (Approximately 1 hour—tentative—public meeting).
2. Continuation of Discussion of Commission's Decision-Making Role in Emergency Response (Approximately 1½ hours—tentative—public meeting).

Thursday, December 20, 9:30 a.m.

1. Briefing on Report by Task Force on Construction During Adjudication (Approximately 1½ hours—public meeting).
2. Discussion of TMI Unit 1 Management Capability and Technical Resources (Approximately 1 hour—public meeting).

Thursday, December 20, 1:30 p.m.

1. Discussion of Management-Organization and Internal Personnel Matters (Approximately 2 hours—closed-Ex. 2 and 6).

Friday, December 21, 9:30 a.m.

1. Continuation of Briefing on Action Plan (Approximately 2 hours—public meeting).

Friday, December 21, 1:30 p.m.

1. Continuation of Briefing on Policy, Planning and Program Guide (Approximately 2 hours—public meeting).

ADDITIONAL INFORAMTION: On Wedenesday, December 12, the Commission affirmed Use of Shorter Pilings at Bailly, which was rescheduled from 12/3. The briefing on Scope of Issues Involved in Setting Standards for Licensee Technical Specifications, scheduled for 9:30 a.m., Friday, December 14, was cancelled, and the briefing on NFS-Erwin (closed-Ex. 1) will begin at 9:30 a.m. in its place.

CONTACT PERSON FOR MORE INFORMATION: Walter Magee, (202) 634–1410.

Walter Magee,
Office of the Secretary.

[S-2445-79 Filed 12-24-79; 11:34 am]
BILLING CODE 7590-01-M

V 44 D E 1 8 7 9 UMI

federal register

Tuesday
December 18, 1979

Part II

Environmental Protection Agency

Rubber Manufacturing Point Source Category

V 44 D E 1 8 7 9 UMI

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 428

[FRL 1310-1]

Rubber Manufacturing Point Source Category; Proposed Withdrawal of Effluent Limitations Guidelines for Best Available Technology Economically Achievable, Proposed Effluent Limitations Guidelines for Best Conventional Pollutant Control Technology and Proposed Effluent Limitations Guidelines for Best Available Technology Economically Achievable for Certain Toxic Pollutants in Selected Subcategories

AGENCY: Environmental Protection Agency.

ACTION: Proposed rule.

SUMMARY: This rule proposes to withdraw nine existing effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable (BAT) for effluent sources in the Rubber Manufacturing Point Source Category (40 CFR Part 428). In addition, this rule proposes to establish effluent limitations guidelines for best conventional pollutant control technology (BCT) for these same nine subcategories. For selected subcategories, this rule also proposes the establishment of new BAT effluent limitations guidelines for toxic pollutants, lead, chromium and zinc at numerical levels previously established in the best practicable control technology currently available (BPT) regulations.

This rule proposes to withdraw the existing effluent limitations guidelines representing the degree of effluent reduction attainable by application of the best available technology economically achievable (BAT) for plants engaged in the manufacture of synthetic rubber in the emulsion crumb rubber subcategory (Subpart B), the solution crumb rubber subcategory (Subpart C) and the latex rubber subcategory (Subpart D) of the Rubber Manufacturing Point Source Category, 40 CFR Part 428. In addition this rule proposes to withdraw existing BAT limitations for rubber processing plants in the tire and inner tube plants subcategory (Subpart A); the small-sized general molded, extruded, and fabricated rubber plants subcategory (Subpart E); the medium-sized general molded, extruded, and fabricated rubber plants subcategory (Subpart F); the large-sized general molded, extruded and fabricated rubber plants subcategory (Subpart G); the latex-dipped, latex-extruded and latex-molded rubber subcategory (Subpart J); and the latex foam subcategory (Subpart K) of the Rubber Manufacturing Point Source Category, 40 CFR Part 428. This action results from an EPA review of new data which shows that best practicable control technology currently available (BPT) for these nine subcategories significantly reduces toxic pollutants. Levels of toxics in BPT effluents are below levels for which further cost effective treatment is known to be available.

For the above mentioned subcategories (subparts) BCT regulations are proposed utilizing the following parameters: BOD5, Oil and Grease, TSS and pH. Numerical values which are assigned for BCT correspond to existing BPT effluent limitations for subparts A, B, C, D, E, F, G, J, and K.

BAT regulations are also proposed for the toxic pollutants zinc, lead and chromium, as well as the nonconventional pollutant COD, where these pollutants were controlled by BPT regulations in the subcategories listed above. The proposed BAT effluent limitations correspond to existing BPT effluent limitations for these subparts.

DATES: Comments should be submitted February 22, 1980.

ADDRESS: Send comments to: Paul Fahrenthold, Organic Chemicals Branch (WH-552), Effluent Guidelines Division, Environmental Protection Agency, Washington, D.C., 20460 (202-426-2497).

FOR FURTHER INFORMATION CONTACT: Paul Fahrenthold, Organic Chemicals Branch (WH-552), Effluent Guidelines Division, Environmental Protection Agency, Washington, D.C. 20460 (202-426-2497.)

SUPPLEMENTARY INFORMATION: On February 21, 1974, EPA published in the Federal Register (39 FR 6660) final effluent limitations guidelines under Sections 301 and 304 of the Federal Water Pollution Control Act (FWPCA), standards of performance for new sources under section 306 of the FWPCA, and pretreatment standards for new sources under section 307(c) of the Act. BPT regulations for Subparts A, B, C and D were subsequently amended (April 25, 1975; 40 CFR 18173). On January 10, 1975, EPA issued in the Federal Register (40 FR 2334) final effluent limitations guidelines for existing sources and standards of performance and pretreatment standards for Subparts E, F, G, H, I, J and K. Subsequently, the pretreatment standards for new sources in Subparts B and C were revoked (February 14, 1978; 43 FR 6229).

Since the most recent regulatory action, the Agency has continued to study this industry under a Settlement Agreement approved by the court in Natural Resources Defense Council v. Train, 8 ERC 2120 (D.D.C. 1976), modified 12 ERC 1833 (D.D.C. 1979). Under this agreement, EPA is required to promulgate effluent limitations guidelines, new source performance standards, and pretreatment standards for 21 industries, focusing on 65 toxic compounds and classes of compounds.

The Settlement Agreement contained provisions authorizing the exclusion from regulation, in certain instances, of toxic pollutants and industry subcategories. These provisions have been rewritten in a Revised Settlement Agreement which was approved by the District Court for the District of Columbia on March 9, 1979.

Paragraph 8(a)(i) of the Revised Settlement Agreement allows the Administrator to exclude from regulation toxic pollutants if for a specific pollutant or subcategory, equally or more stringent protection is already provided by an effluent limitation, new source performance standard or pretreatment standard promulgated pursaunt to Section 301, 304, 306, 307(a), 307(b) or 307(c) of the Act.

Existing BAT regulations for the three synthetic rubber subcategories (Subparts B, C, and D) require significant additional reduction of BOD, COD, TSS and O&G (Oil and Grease) beyond the BPT limitations. In the case of the rubber processing plants regulated under Subparts A, E, F, G, J and K, BAT limitations are identical to BPT limitations.

For Subparts B, C, and D the existing BAT limitations are based on engineering judgment of what activated carbon could achieve, installed downstream of BPT treatment. Activated carbon is not currently installed in any synthetic rubber plant; the synthetic rubber plants do not, therefore, meet current BAT limitations. If the existing BAT regulations were allowed to remain in effect existing plants would have to install additional activated carbon treatment by 1984 at an estimated total capital cost of $65.0 million and annual cost of $14.5 million.

Analytical data from field tests of discharges meeting currently applicable BPT regulations show that existing BPT regulations for the three synthetic rubber subcategories (Subparts B, C, and D) as well as the six rubber processing subcategories (Subparts A, E, F, G, J and K) reduce the toxic pollutants to low levels. Since the concentation of many priority pollutants discharged from existing BPT treatment systems are below detectable limits and those detected are at low levels, BAT treatment for priority pollutants is not necessary to achieve effluent levels more stringent than those required by existing BPT regulations. Also, additional removal of conventional parameters which might incidentally remove toxic pollutants cannot be cost justified. Therefore, the Agency believes that the BAT limitations for subparts A, B, C, D, E, F, G, J and K should be withdrawn.

The 1977 amendments added Section 301(b)(4)(E) to the Act, establishing "best conventional pollutant control technology" (BCT) for discharges of conventional pollutants from existing industrial point sources. Conventional pollutants are those defined in Section 304(a)(4)—BOD, TSS, fecal coliform and pH—and any additional pollutants defined by the Administrator as part of the "conventional" pollutant list (43 FR 32857).

BCT is not an additional limitation, but replaces BAT for the control of conventional pollutants. BCT requires that limitations for conventional pollutants be assessed in light of a new "cost-reasonableness" test, which involves a comparison of the cost and level of reduction of conventional pollutants from the discharge of publicly owned treatment works to the cost and level of reduction of such pollutants from a class or category of industrial sources. As part of its review of BAT for certain "secondary" industries, the Agency has published its methodology for this cost test. See 44 FR 50732 (Aug. 29, 1979).

EPA applied this methodology to the costs for removal of conventional pollutants in the rubber industry and concluded that BCT limitations based upon carbon absorption, were unreasonable. The additional reduction of the conventional parameters, therefore, failed the BCT Cost comparison test.

Although existing BAT regulations have been found not to be appropriate, the Clean Water Act requires compliance by all point sources within this industry with effluent limitations based upon BCT (for conventional pollutants) or BAT (for all other pollutants, including toxic pollutants). If effluent limitations guidelines are not applicable, permit issuing officials must set BCT and BAT limitations on a case-by-case basis when issuing NPDES permits. Because EPA has reviewed existing limitations and concluded that they are adequate to meet the Act's post-1977 (BCT and BAT) requirements, today's proposal includes BCT limitations and BAT limitations equal to existing BPT limitations. This action will clarify that permit issuers are under no obligation to set more stringent limitations in permits on a case-by-case basis, as would otherwise be required by NPDES regulations, 40 CFR Part 125, Subpart A, than those specified in today's proposed BCT and BAT regulations.

For all subcategories, BCT is today proposed at a level equal to BPT for all conventional pollutants. In addition, specific toxic pollutants listed under section 307(a) of the Clean Water Act were controlled by BPT regulations in five subcategories. Thus, BPT limitations for lead were included in subparts E, F, and G; BPT limits for chromium were included in Subpart J; and BPT limits for zinc were included in Subpart K. For all these subcategories, BAT limitations are proposed below equal to the BPT limits. Because the pollutants are toxic pollutants, alternative effluent limitations under sections 301(c) and 301(c) and 301(g) of the Act will not be available.

BPT also controlled, for a number of subcategories, chemical oxygen demand, a "non-conventional" pollutant (neither a toxic pollutant nor a conventional pollutant). For these pollutants also, BAT is proposed below equivalent to BPT. Because the pollutants are not toxic, ordinarily alternative effluent limitations under sections 301(c) and 301(g) of the Act would be available. However, in this case a waiver would be impermissible, since it would result in effluent limitations less stringent than the BPT limitations, which remain applicable.

The BCT and BAT limits proposed below are equal to existing BPT regulations. Thus, no additional costs will be incurred by plants subject to the new BCT and BAT limits.

Dated: November 30, 1979.

Douglas M. Costle,

Administrator.

Part 428 is proposed to be amended as follows:

1. Subpart A is amended by revoking § 428.13 and adding § 428.14, as follows:

Subpart A—Tire and Inner Tube Plants Subcategory

§ 428.13 [Reserved].

§ 428.14 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

Except as provided in 40 CFR 125.30-.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
TSS	0.096	0.064
Oil and grease	0.024	.016
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
TSS	0.096	0.064
Oil and grease	0.024	.016
pH	Within the range 6.0 to 9.0.	

(b) All plants constructed before 1959 shall employ the best practicable maintenance and housekeeping practices in order to minimize the discharge of oil and grease in nonprocess wastewaters. The concentration of oil and grease in discharges of nonprocess wastewater shall meet the following limitations:

(1) The average of daily values for 30 consecutive days shall not exceed 5 mg/l.

(2) The maximum for any one day shall not exceed 10 mg/l.

2. Subpart B is amended by revising § 428.23, and adding § 428.24, as follows:

Subpart B—Emulsion Crumb Rubber Subcategory

§ 428.23 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
COD	12.00	8.00
	English units (lb/1,000 lb of product)	
COD	12.00	8.00

§ 428.24 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
BOD5	0.60	.40
TSS	0.98	.65
Oil and grease	0.24	.16
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of product)	
BOD5	0.60	.40
TSS	0.98	.65
Oil and grease	0.24	.16
pH	Within the range 6.0 to 9.0.	

3. Subpart C is amended by revising § 428.33, and adding § 428.34, as follows:

Subpart C—Solution Crumb Rubber Subcategory

§ 428.33 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
COD	5.91	3.94
	English units(lb/1,000 lb of product)	
COD	5.91	32.94

§ 428.34 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the applicaiton of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
BOD5	0.60	.40
TSS	0.98	.65
Oil and grease	0.24	.16
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of product)	
BOD5	0.60	.40
TSS	0.98	.65
Oil and grease	0.24	.16
pH	Within the range 6.0 to 9.0.	

4. Subpart D is amended by revising § 428.43 and adding § 428.44, as follows:

Subpart D—Latex Rubber Subcategory

§ 428.43 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
COD	10.27	6.85
	English units (lb/1,000 lb of product)	
COD	10.27	6.85

§ 428.44 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of product)	
BOD5	0.51	.34
TSS	0.82	.55
Oil and grease	0.21	.14
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of product)	
BOD5	0.51	.34
TSS	0.82	.55
Oil and grease	0.21	.14
pH	Within the range 6.0 to 9.0.	

5. Subpart E is amended by revising § 428.53 and adding § 428.54, as follows:

Subpart E—Small Sized General Molded, Extruded, and Fabricated Rubber Plants Subcategory

§ 428.53 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Lead	0.0017	0.0007
	English units (lb/1,000 lb of raw material)	
Lead	0.0017	0.0007

§ 428.54 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

(a) Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Oil and grease	0.70	0.25
TSS	1.28	0.64
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
Oil and grease	0.70	0.25
TSS	1.28	0.64
pH	Within the range 6.0 to 9.0.	

(b) The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, and attributable to wet scrubbers, which may be discharged by a point source subject to the provisions of the best conventional pollutant control technology, in addition to the limitation set forth by § 428.54(a):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material equivalent)	
TSS	5.8	2.9
	English units (lb/1,000 lb of raw material equivalent)	
TSS	5.8	2.9

6. Subpart F is amended by revising § 428.63 and adding § 428.64, as follows:

Subpart F—Medium Sized General Molded, Extruded, and Fabricated Rubber Plants Subcategory

§ 428.63 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, and attributable to lead/shealthed hose production which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable.

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Lead	0.0017	0.0007
	English units (lbs/1,000 lb of raw material	
Lead	0.0017	0.0007

§ 428.64 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

(a) Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Oil and grease	0.42	0.15
TSS	0.80	0.40
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
Oil and grease	0.42	0.15
TSS	0.80	0.40
pH	Within the range 6.0 to 9.0.	

(b) The following limitations establish the quantity of quality of pollutants or pollutant properties, controlled by this section, and attributable to wet scrubbers, which may be discharged by a point source subject to the provisions of the best conventional pollutant control technology, in addition to the limitation set forth by § 428.64(a):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material equivalent)	
TSS	5.8	2.9
	English units (lb/1,000 lb of raw material equivalent)	
TSS	5.8	2.9

7. Subpart G is amended by revising § 428.73 and adding § 428.74, as follows:

Subpart G—Large Sized General Molded, Extruded, and Fabricated Rubber Plants Subcategory

§ 428.73 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, and attributable to lead-shealthed hose production which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable.

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Lead	0.0017	0.0007
	English units (lb/1,000 lb of raw material)	
Lead	0.0017	0.0007

§ 428.74 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

(a) Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Oil and grease	0.26	0.093
TSS	0.50	0.25
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
Oil and grease	0.26	0.093
TSS	0.50	0.25
pH	Within the range 6.0 to 9.0.	

(b) The following limitations establish the quantity of quality of pollutants or pollutant properties, controlled by this section, and attributable to wet scrubbers, which may be discharged by a point source subject to the provisions of the best conventional pollutant

control technology, in addition to the limitation set forth by § 428.74(a):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material equivalent)	
TSS	5.8	2.9
	English units (lb/1,000 lb of raw material equivalent)	
TSS	5.8	2.9

8. Subpart J is amended by revising § 428.103 and adding § 428.104, as follows:

Subpart J—Latex-Dipped, Latex-Extruded, and Latex-Molded Rubber Subcategory

§ 428.103 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section and attributable to plants employing the chromic acid form-cleaning operation, by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Chromium	0.0066	0.0036
	English units (lb/1000/lb of raw material)	
Chromium	0.0066	0.0036

§ 428.104 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT).

Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Oil and grease	2.0	0.75
BOD_5	3.72	2.20
TSS	6.96	2.90
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
Oil and grease	2.0	0.75
BOD_5	3.72	2.20
TSS	6.96	2.90
pH	Within the range 6.0 to 9.0.	

9. Subpart K is amended by revising § 428.113 and adding § 428.114, as follows:

Subpart K—Latex Foam Subcategory

§ 428.113 Effluent limitations guidelines representing the degree of effluent reduction attainable by the application of the best available technology economically achievable.

The following limitations establish the quantity or quality of pollutants or pollutant properties, controlled by this section, which may be discharged by a point source subject to the provisions of this subpart after application of the best available technology economically achievable:

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
Zinc	0.058	0.024
	English units (lb/1,000 lb of raw material)	
Zinc	0.058	0.024

§ 428.114 Effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control teachnology (BCT).

Except as provided in 40 CFR 125.30–.32, any existing point source subject to this subpart must achieve the following effluent limitations representing the degree of effluent reduction attainable by the application of the best conventional pollutant control technology (BCT):

Effluent characteristic	Effluent limitations: Maximum for any 1 day	Effluent limitations: Average of daily values for 30 consecutive days shall not exceed—
	Metric units (kg/kkg of raw material)	
BOD_5	2.4	1.4
TSS	2.26	0.94
pH	Within the range 6.0 to 9.0.	
	English units (lb/1,000 lb of raw material)	
BOD_5	2.4	1.4
TSS	2.26	0.94
pH	Within the range 6.0 to 9.0.	

Appendix A[1]

Abbreviations, Acronyms and Other Terms Used in this Notice

Act—The Clean Water Act
Agency—The U.S. Environmental Protection Agency
BAT—The best available technology economically achievable, under Section 304(b)(2)(B) of the Act
BCT—The best conventional pollutant control technology, under Section 304(b)(4) of the Act
BMP—Best management practices, under Section 304(e) after the Act
BPT—The best practicable control technology currently available, under Section 304(b)(1) of the Act
Clean Water Act—The Federal Water Pollution Control Act Amendments of 1972 (33 U.S.C. 1251 *et seq.*), as amended by the Clean Water Act of 1977 (Public Law 95–217)
Direct discharger—A facility which discharges or may discharge pollutants into waters of the United States
Indirect discharger—A facility which discharges or may discharge pollutants into a publicly owned treatment works
NPDES permit—A National Pollutant Discharge Elimination System permit issued under Section 402 of the Act
NSPS—New source performance standards, under Section 306 of the Act
POTW—Publicly owned treatment works
PSES—Pretreatment standards for existing sources of indirect discharges, under Section 307(b) of the Act
PSNS—Pretreatment standards for new sources of direct discharges, under Section 307 (b) and (c) of the Act
RCRA—Resource Conservation and Recovery Act (PL 94–580) of 1976, amendments to Solid Waste Disposal Act

Appendix B[2]

Chronological Listing of Federal Register Publications for Rubber Manufacturing Point Source Category

Federal Register Volume, Date, and Description:
38 FR 28219, 11 Oct. 73—Effluent limitations guidelines proposed for subparts A thru E

[1] Appendix A will not appear in Title 40 of the Code of Federal Regulations.
[2] Appendix B will not appear in Title 40 of the Code of Federal Regulations.

39 FR 6660, 21 Feb. 74—Effluent limitations guidelines promulgated for subparts A thru D
39 FR 26423, 19 Jul. 74—Effluent limitation guidelines promulgated for subparts A thru D. Correction Headings now read: Metric units (kg/kkg of product); should read metric units (kg/kkg or raw materials).
39 FR 30632, 23 Aug. 74—Effluent limitations guidelines proposed subparts E thru K
40 FR 2334, 10 Jan. 75—Effluent limitations guidelines promulgated for subparts E thru K for BPT, BAT, NSPS, and PTNS
40 FR 2374, 10 Jan. 75—Proposal amended for subparts 428.54 thru 428.114 (E thru K) for pretreatment standards for existing sources
40 FR 7109, 19 Feb. 75—Effluent limitations guidelines proposed amendments subparts A & B. Addresses changes in specialized definitions—plant age, process wastewater and definition of emulsion crumb rubber to exclude acrylonitrile butadiene rubber.
40 FR 18172, 25 Apr. 75—Effluent limitations guidelines proposed amendment for 428.10, 428.13, 428.20.21, 432.31, and 428.41. Amendments deal with cut-off date of 1969 to define old plants and specialized definitions for subparts A, B, C and D.
42 FR 48355, 23 Sept. 77—Effluent limitations guidelines proposed revocation of pretreatment standards for new sources for the tire and synthetic *segment* of the Rubber Manufacturing Point Source Category
43 FR 6229, 14 Feb. 78—Effluent limitations guidelines promulgation of revocation of pretreatment standards for new sources for subpart B emulsion crumb rubber and subpart C solution crumb rubber

[FR Doc. 79-38280 Filed 12-17-79; 8:45 am]
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federal register

Tuesday
December 18, 1979

Part III

Department of Health, Education, and Welfare

Office of Education

Instructional Media for the Handicapped

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

45 CFR Part 121i

Instructional Media for the Handicapped

AGENCY: Office of Education, HEW.

ACTION: Notice of Proposed Rulemaking.

SUMMARY: The Commissioner of Education proposes to amend the regulations governing the Instructional Media for the Handicapped Program. These changes are being proposed to eliminate unnecessary sections of the current regulations, to amend other sections that are not consistent with certain legislative changes, and to clarify and simplify the language. These changes will facilitate program management and greatly reduce the possibility of confusion arising from the public's reliance on obsolete regulations.

DATES: Public comments are invited on or before February 1, 1980.

ADDRESSES: Comments should be submitted to Barry E. Katz, U.S. Office of Education, 400 Maryland Avenue, S.W., (Room 4819, Donohoe Building), Washington, D.C. 20202. All comments submitted will be available during and after the comment period at the Division of Media Services, Room 4821, Donohoe Building, 400 Sixth Street, S.W., Washington, D.C., between the hours of 9:00 a.m. and 4:30 p.m., Mondays through Fridays except Federal holidays. Comments received in response to this notice will be considered in the preparation of the final regulations.

FOR FURTHER INFORMATION CONTACT: Barry E. Katz (Telephone 202/472–4640).

SUPPLEMENTARY INFORMATION: (a) Revision of current regulations is required for the following reasons;

(1) The Commissioner of Education has eliminated the Area Learning Resources Centers (ALRCs) and the Special Offices that supported the ALRCs. Subpart E and subpart G of the regulations, which regulated these projects, are, therefore, no longer needed.

(2) The wording of the regulations can be improved to eliminate certain ambiguitieds that have arisen in practice and to conform to the mandates of Executive Order 12044 and Operation Common Sense that the language of regulations be clear and simple.

(b) These proposed regulations do not contain certain types of requirements. Those requirements will be covered in the Education Division's General Administrative Regulations (EDGAR), which will replace the Office of Education General Provisions Regulations and which was published on May 4, 1979 as a notice of proposed rulemaking (NPRM).

Anyone wanting to comment on those requirements should do so in response to the EDGAR NPRM rather than to this NPRM.

The following items applicable to this program will now be among those covered generally in EDGAR:

How to apply for a grant.

How grants are made.

Certain conditions that must be met by a grantee.

The administrative responsibilities of a grantee.

The procedures the Office of Education uses to get compliance.

(c) Citation of Legal Authority: The reader will find a citation of statutory or other legal authority in parenthesis on the line following each substantive provision.

Approved: December 11, 1979.

(Catalog of Federal Domestic Assistance Program No. 13.446, Instructional Media Services for the Handicapped)

Patricia Roberts Harris,

Secretary of Health, Education, and Welfare.

Title 45 of the Code of Federal Regulations is proposed to be amended by revising Part 121i to read as follows:

PART 121i—INSTRUCTIONAL MEDIA FOR THE HANDICAPPED

Subpart A—General

Sec.
121i.1 Scope.
121i.2 Applicable regulations.
121i.3 Definitions.
121i.4–9 [Reserved]

Subpart B—Captioned Films Loan Service for the Deaf

121i.10 Purposes of the loan service.
121i.11 Eligible parties.
121i.12 Application for the use of the loan service.
121i.13 Limitations on use.
121i.14–19 [Reserved]

Subpart C—Educational Media Loan Service for the Handicapped

121i.20 Purpose of the educational media loan service.
121i.21 Eligible parties.
121i.22 Application for the use of the loan service.
121i.23 Limitations on use.
121i.24–29 [Reserved]

Subpart D—Media Research, Production, Distribution, and Training

121i.30 Purpose of the educational media research, production, distribution, and training program.
121i.31 Definitions.
121i.32 Activities funded under this supart.
121i.33 Eligible parties.
121i.34 Criteria for grants.
121i.35 Final products.
121i.36–39 [Reserved]

Subpart E—Centers on Educational Media and Materials for the Handicapped

121i.40 Purpose of the centers.
121i.41 Activities funded under this subpart.
121i.42 Eligible parties.
121i.43 Considerations in entering into agreements.
121i.44–49 [Reserved]

Authority: Part F of the Education of the Handicapped Act Pub. L. 91–230, as amended by Pub. L. 93–380, Pub. L. 94–482, and Pub. L. 94–142: 84 Stat 186–187 (20 U.S.C. 1451–1453).

Subpart A—General

§ 121i.1 Scope.

Part 121i applies to the program providing media for the handicapped under part F of the Act.

(20 U.S.C. 1451–1453)

§ 121i.2 Applicable regulations.

Grants and contracts funded under this part are subject to the applicable provisions of subchapter A of this chapter—relating to fiscal, administrative, property management, and other matters. Procurement contracts under this program are subject to 41 CFR Chapters 1 and 3.

(20 U.S.C. 1451–1453)

§ 121i.3 Definitions.

"Act" means the Education of the Handicapped Act (Title VI of Pub. L. 91–230 as amended).

"Borrower" means a user of loan service media.

"Deaf person" means a person whose hearing is so severly impaired as not to be correctable to a functional level for the ordinary activities of living.

"Distribution" means giving physical access to media and related materials and attendant equipment.

"Educational media" means those media used for educational purposes.

"Films" means motion pictures and other materials similar in display and function, such as videotapes and video discs.

"Media" means films, filmstrips, photographs and slides, transparencies, audio and video tapes, audio and video discs, and similar materials.

"Media technology" means the methods and processes through which media are provided and encompasses demonstrations of the use of modern communication technology in improving the general welfare of handicapped persons.

"Nonprofit purposes" means that the exhibition of media may not result in monetary gain or other tangible economic benefit to the borrower.

"Theatrical films" means films produced for showing in a commercial setting as entertainment and not those primarily developed for use in a formal programn of instruction.

(20 U.S.C. 1451)

Subpart B—Captioned Films Loan Service for the Deaf

§ 121i.10 Purposes of the loan service.

The purpose of the captioned films for the deaf program is to promote the general welfare of deaf persons by—

(a) Bringing to deaf persons understanding and appreciation of those films that play an important part in the general and cultural advancement of hearing persons;

(b) Providing enriched educational and cultural experiences through which deaf persons can be brought into better touch with the realities of their environment; and

(c) Providing a wholesome and rewarding experience that deaf persons may share together.

(20 U.S.C. 1451)

§ 121i.11 Eligible parties.

Deaf persons, their parents, or other persons directly involved in activities promoting the advancement of the deaf in the United States are eligible to apply to borrow captioned films.

(20 U.S.C. 1452(a))

§ 121i.12 Application for the use of the loan service.

Eligible parties should contact the Division of Media Services of the Bureau of Education for the Handicapped for information regarding an application for borrowing captioned films.

(20 U.S.C. 1452)

§ 121i.13 Limitations on use.

(a) A borrower shall use the captioned films for nonprofit purposes only.

(b) A borrower shall insure that no fee is charged to anyone for using the films. However, a borrower may collect funds for the payment of reasonable rent for the use of equipment, for the payment of reasonable costs for a meeting place for the showing of a film, or for the payment of reasonable fees to a projectionist. These do not prevent an exhibition from being one for nonprofit purposes.

(c) In accordance with agreements with producers and distributors, a borrower shall show theatrical films to deaf persons only. However, this does not exclude the attendance of teachers of the deaf, interpreters, parents, and occasional guest as long as the audience is composed predominantly of deaf persons.

(20 U.S.C. 1452(a), (b)(1))

Subpart C—Educational Media Loan Service for the Handicapped

§ 121i.20 Purpose of the educational media loan service.

The purpose of the educational media loan service is to make educational media available in the United States for nonprofit purposes to handicapped persons, parents of handicapped persons, and other persons directly involved in activities for the advancement of the handicapped.

(20 U.S.C. 1452(a))

§ 121i.21 Eligible parties.

Handicapped persons, their parents, or other persons directly involved in activities for the advancement of the handicapped in the United States are eligible to apply to borrow educational media.

(20 U.S.C. 1452(a))

§ 121i.22 Application for the use of the loan service.

Eligible parties should contact the Division of Media Services of the Bureau of Education for the Handicapped for information regarding an application for borrowing educational media.

(20 U.S.C. 1452 (a))

§ 121i.23 Limitations on use.

A borrower shall use the educational media for nonprofit purposes only. A borrower shall insure that no fee is charged to anyone for using the educational media.

(20 U.S.C. 1452(a))

Subpart D—Educational Media Research, Production, Distribution and Training

§ 121i.30 Purpose of the educational media research, production, distribution, and training program.

The purpose of this program is to promote the educational advancement of handicapped persons by—

(a) Carrying on research in the use of educational media for the handicapped;

(b) Producing and distributing educational media for the use of handicapped persons, their parents, their actual or potential employers, and other persons directly involved in work for the advancement of the handicapped; and

(c) Training persons in the use of educational media for the instruction of the handicapped.

(20 U.S.C. 1451(a)(2))

§ 121i.31 Definitions applicable to this subpart.

"Production" means creating or changing media materials.

"Training" means activities designed to develop facility in the use of media materials and technology and in dissemination and marketing practices.

(20 U.S.C. 1451(a)(2), 1452)

§ 121i.32 Activities funded under this subpart.

The Commissioner may provide, by grant or contract, for the following activities:

(a) Research in the use of educational and training films and other educational media for the handicapped. This may include—

(1) Research to identify the full range of special needs of the handicapped related to educational media and media technology;

(2) Assessment to determine the need for—

(i) Educational media training;

(ii) Media information systems; and

(iii) Media delivery systems;

(3) Studies to determine the extent to which the needs listed in paragraph (a)(2) of this section are being met; and

(4) Development or demonstration of new or improved techniques that would contribute to the advancement and education of handicapped persons through the use of educational media or technology or both.

(b) Creation or adaptation of eductional media for use by handicapped persons, their parents, their actual or potential employers, and other persons directly involved in activities for the advancement of the handicapped.

(c) Distribution of educational media. This may include the development of delivery systems.

(d) Dissemination of information about practices found effective in regard to educational media and technology.

(e) Training of persons in the use and dissemination of educational media for the advancement of the handicapped.

(20 U.S.C. 1452(b)(5))

§ 121i.33 Eligible parties.

Parties eligible for funding under this subpart are profit and non-profit public and private agencies, organizations, and institutions.

(20 U.S.C. 1451, 1452)

§ 121i.34 Criteria for grants.

(a) In evaluating grant applications under this subpart, the Commissioner applies the following criteria. The Commissioner awards up to 100 points for the total criteria. The maximum

score for each criterion reflects the degree of importance that the Commissioner assigns to that criterion and is indicated separately at the end of each full criterion as follows:

(1) *Need.* (i) The need for the proposed activity with respect to the handicapping condition served or to be served by the applicant;

(ii) The potential for using the results in other projects or programs; and

(iii) The relevance to priority areas of concern as to handicapping conditions and activities listed in § 121i.32 as periodically determined and published by the Commissioner. (20 points)

(2) *Personnel.* The qualifications and experience of personnel designated to carry out the proposed project. (20 points)

(3) *Resources.* The availability of facilities and equipment required for the proposed project. (10 points)

(4) *Cost.* The reasonableness of estimated costs in relation to anticipated results. (15 points)

(5) *Objectives and work plan.* A sharply defined, clearly stated set of objectives whose results can be measured and a description of the activities to accomplish the objectives. (25 points)

(6) *Evaluation.* The provision for evaluation of the effectiveness of the project. (5 points)

(7) *Marketing and dissemination.* The provision for marketing or otherwise disseminating the results of the project and for making materials and techniques available to the populations for whom the project would be useful. (5 points)

(b) Each time the Commissioner publishes a Notice of Closing Date for grant applications, the Commissioner indicates—

(1) Which of the activities in § 121i.32 are to be priorities for grants; and

(2) Whether any particular handicapping condition or conditions are to be priorities for grants.

(20 U.S.C. 1451, 1452)

§ 121i.35 Final products.

The Commissioner may require any contractor or grantee engaged in the actual development of materials to submit originals or copies of those materials. The Commissioner issues specifications for the submission of those materials before awarding the contract or grant so that the potential contractor or grantee can provide for related costs and activities in its proposal or application.

(20 U.S.C. 1451, 1452)

Subpart E—Centers on Educational Media and Materials for the Handicapped

§ 121i.40 Purpose of the centers.

The Commission may fund activities under this subpart to establish and operate centers for educational media and materials for the handicapped. The purpose of these centers is to provide a comprehensive program to facilitate the use of new technology in educational programs for handicapped persons.

(20 U.S.C. 1453(a))

§ 121i.41 Activities funded under this subpart.

The Commissioner may provide Federal funds under this subpart to facilitate the use of educational technology through—

(a) The design of instructional materials;

(b) The development of instructional materials;

(c) The adaption of instructional materials; or

(d) Other activities consistent with the purposes of this subpart.

(20 U.S.C. 1453(a))

§ 121i.42 Eligible parties.

Parties eligible to apply under this subpart are institutions of higher education, State and local educational agencies, or other non-profit agencies.

(20 U.S.C. 1453(a))

§ 121i.43 Considerations in entering into contracts.

In considering proposals to enter into agreements under this subpart, the Commissioner gives preference to institutions and agencies—

(a) That have demonstrated the capabilities necessary for he development and evaluation of educational media for the handicapped; and

(b) That can serve the educational technology needs of the Model High School for the Deaf (established under Pub. L. 89–864).

(20 U.S.C. 1453).

[FR Doc. 79-38656 Filed 12-17-79; 8:45 am]
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Tuesday
December 18, 1979

Part IV

Environmental Protection Agency

Guidelines Establishing Test Procedures for the Analysis of Pollutants; Proposed Regulations; Correction

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 136

[FRL 1323-D]

Guidelines Establishing Test Procedures for the Analysis of Pollutants

Correction

In FR Doc. 79-36871, appearing at page 69464 in the issue for Monday, December 3, 1979, Table I—*List of Approved Test Procedures* (pages 69568—69573) and Table II—*Containers, Preservation, and Holding Times* (pages 69574—69575), contained numerous printing errors. Tables I and II should have read as set forth below:

BILLING CODE 1505-01-M

TABLE I. LIST OF APPROVED TEST PROCEDURES

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
1. Acidity, as $CaCO_3$, milligrams per liter	Electrometric end point (pH of 8.2) or phenolphthalein end point	1	273(4d)	116	46	(607)[2]
2. Alkalinity, as $CaCO_3$ milligrams per liter	Electrometric titration (only to pH 4.5) manual or automated, or equivalent automated methods	3 5	278 -	111 -	41 -	(607)[2] -
3. Ammonia (as N), milligrams per liter	Manual distillation[3] (at pH 9.5) followed by nesslerization, titration, electrode, automated phenolate	- 159 165 168	410 412 - 616	- 237 - -	- 116 - -	- (614)[2] - -
Bacteria						
4. Coliform (fecal)[4] number per 100 ml	MPN;[5] membrane filter	- -	922 937	- -	- (45)[6]	(132)[42] (126)[42]
5. Coliform (fecal)[4] in presence of chlorine, number per 100 ml	MPN;[5] membrane filter [5,7]	- -	922 928,937	- -	- -	- -
6. Coliform (total)[4], number per 100 ml	MPN;[5] membrane filter	- -	916 928	- -	- (35)[6]	(117)[42] (108)[42]
7. Coliform (total)[4] in presence of chlorine, number per 100 ml	MPN;[5] membrane filter with enrichment	- -	916 933	- -	- -	- -
8. Fecal streptococci[4], number per 100 ml	MPN;[5] membrane filter; plate count	- - -	943 944 947	- - -	- (50)[6] -	- (136)[42] (143)[42]
9. Biochemical oxygen demand, 5-day (BOD_5) milligrams per liter	Winkler (Azide Modification) or electrode method	- -	543 -	- -	(50)[6] -	- (17)[9]
10. BOD_5 Carbonaceous		-	-	-	-	(507)[28]
11. Bromide, milligrams per liter	Titrimetric, iodine-iodate	14	-	323	58	-
12. Chemical oxygen demand (COD), milligrams per liter	Dichromate reflux	20 -	550 -	472 -	124 -	(610)[2] (17)[9]

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
13. Chloride, milligrams per liter	Silver nitrate;	-	303	267	-	-
	mercuric nitrate; or	29	304	265	-	(615)[2]
	automated colorimetric-ferricyanide	31	613	-	(46)[10]	-
14. Chlorinated organic compounds (except pesticides), milligrams per liter	Gas chromatography[11]	-	-	-	-	-
15. Chlorine—total residual, milligrams per liter	Iodometric titration, amperometric or	-	318	-	-	-
	starch-iodine end-point;	35	322	278	-	-
	DPD colorimetric or	-	332	-	-	-
	Titrimetric methods (These last two are interim methods pending laboratory testing.)	-	329	-	-	-
16. Color, platinum cobalt units or dominant wave length, hue, luminance, purity	Colorimetric;	36	64	-	82	-
	spectrophotometric; or	39	66	-	-	-
	ADMI procedure[12]	-	-	-	-	-
17. Cyanide, total[13], milligrams per liter	Distillation followed by silver nitrate titration or pyridine pyrazolone (or barbituric acid) colorimetric	40	361	503	85	(22)[9]
18. Cyanide amenable to chlorination, milligrams per liter	Distillation followed by silver nitrate titration or pyridine pyrazolone (or barbituric acid) colorimetric	49	376	503	-	-
19. Dissolved oxygen, milligrams per liter	Winkler (Azide modification) or	51	443	368	126	(609)[2]
	electrode method	56	450	-	-	-
20. Fluoride, milligrams per liter	Distillation[3] followed by	-	389	-	-	-
	ion electrode;	65	391	307	93	-
	SPADNS; or	59	393	305	-	-
	automated complexone	61	614	-	-	-
21. Hardness—total, as $CaCO_3$, milligrams per liter	EDTA titration;	68	202	161	94	(617)[2]
	automated colorimetric; or	70	-	-	-	-
	atomic absorption (sum of Ca and Mg as their respective carbonates)	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
22. Hydrogen ion (pH), pH units	Electrometric measurement	239	460	278	129	(606)[2]
23. Kjeldahl nitrogen (as N), milligrams per liter	Digestion and distillation followed by nesslerization, titration, or	175	437	-	122	(612)[2]
	electrode;	165	-	-	-	-
	automated digestion automated phenolate	182	-	-	-	-
Metals						
24. Aluminum—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	92	152	-	(19)[10]	-
	colorimetric (Eriochrome Cyanine R)	-	171	-	-	-
	or by ICP[27]	-	-	-	-	-
25. Aluminum—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced methods for total aluminum					
26. Antimony—total, milligrams per liter	Digestion[14] followed by atomic absorption[15]	94	-	-	-	-
27. Antimony—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total antimony	-	-	-	-	-
28. Arsenic—total, milligrams per liter	Digestion followed by	-	205	-	-	-
	silver diethyldithiocarbamate; or	9	283	-	(31)[10]	-
	atomic absorption[15, 17]	95	159	-	(37)[10]	-
	or by ICP[27]	-	-	-	-	-
29. Arsenic—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total arsenic	-	-	-	-	-
30. Barium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by ICP[27]	97	152	-	52	-
		-	-	-	-	-
31. Barium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total barium	-	-	-	-	-
32. Beryllium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by colorimetric	99	152	-	53	-
	(Aluminon) or by ICP[27]	-	177	-	-	-
		-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
33. Beryllium—dissolved, milligram per liter	0.45 micron filtration[16] followed by referenced method for total beryllium	-	-	-	-	-
34. Boron—total, milligrams per liter	Colorimetric (Curcumin),	13	207	-	-	-
	or by ICP[27]	-	-	-	-	-
35. Boron—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total boron	-	-	-	-	-
36. Cadmium—total milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	101	148	345	62	(619)[2] (37)[9]
	colorimetric (Dithizone)		182			
	or by ICP[27]	-	-	-	-	-
37. Cadmium—dissolved, milligrams per liter	0.45 micron filtration [16] followed by referenced method for total cadmium	-	-	-	-	-
38. Calcium—total, milligrams per liter	Digestion[14] followed by atomic absorption; or	103	148	345	66	-
	EDTA titration	-	189	-	-	-
	or by ICP [27]	-	-	-	-	-
39. Calcium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total calcium	-	-	-	-	-
40. Chromium VI, milligrams per liter	Extraction and atomic absorption;	89, 105	-	-	76	-
	colorimetric (Diphenylcarbazide)	-	192	-	75	-
41. Chromium VI—dissolved, milligram per liter	0.45 micron filtration[16] followed by referenced method for chromium VI	-	-	-	-	-
42. Chromium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	105	148	345	78	(619)[2]
	colorimetric (Diphenylcarbazide)	-	192	286	77	-
	or by ICP[27]	-	-	-	-	
43. Chromium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total chromium	-	-	-	-	
44. Cobalt—total, milligrams per liter	Digestion [14] followed by atomic absorption[15]	107	148	345	80	(37)
	or by ICP[27]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
45. Cobalt—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total cobalt	-	-	-	-	-
46. Copper—total, milligrams per liter	Digestion [14] followed by atomic absorption [15] or by	108	148	345	83	(619)[2] (37)[9]
	colorimetric (Neocuproine)	-	196	293	-	-
	or by ICP [27]	-	-	-	-	-
47. Copper—dissolved,	0.45 micron filtration [16] followed by referenced method for total copper	-	-	-	-	-
48. Gold—total, milligrams per liter	Digestion [14] followed by atomic absorption [18]	-	-	-	-	-
		-	-	-	-	-
49. Iridium—total, milligrams per liter	Digestion [14] followed by atomic absorption [18]	-	-	-	-	-
		-	-	-	-	-
		-	-	-	-	-
50. Iron—total, milligrams per liter	Digestion [14] followed by atomic absorption [15] or by	110	148	345	102	(619)[2]
	colorimetric (Phenanthroline)	-	208	326	-	-
	or by ICP [27]	-	-	-	-	-
51. Iron—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total iron	-	-	-	-	-
52. Lead—total, milligrams per liter	Digestion [14] followed by atomic absorption [15] or by	112	148	345	105	(619)[2]
	colorimetric (Dithizone)	-	215	-	-	-
	or by ICP[27]	-	-	-	-	-
53. Lead—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total lead	-	-	-	-	-
54. Magnesium—total, milligrams per liter	Digestion[14] followed by atomic absorption; or	114	148	345	109	(619)[2]
	gravimetric	-	221	-	-	-
	or by ICP[27]	-	-	-	-	-
55. Magnesium-dissolved, milligrams per liter	0.45 micron filtration [16] followed by referenced method for total magnesium	-	-	-	-	-
56. Manganese—total, milligrams per liter	Digestion[14] followed by atomic absorption [15] or by	116	148	345	111	(619)[2]
	colorimetric (Persulfate or periodate)	-	225, 227	-	-	-
	or by ICP [27]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
57. Manganese—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total manganese	-	-	-	-	-
58. Mercury—total, milligrams per liter	Flameless atomic absorption	118	156	338	(51)[10]	-
59. Mercury—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total mercury	-	-	-	-	-
60. Molybdenum—total, milligrams per liter	Digestion[14] followed by atomic absorption[15]	139	-	350	-	-
	or by ICP[27]	-	-	-	-	-
61. Molybdenum—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total molybdenum	-	-	-	-	-
62. Nickel—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	141	148	345	115	-
	colorimetric (Heptoxime)	-	232	-	-	-
	or by ICP[27]	-	-	-	-	-
63. Nickel—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total nickel	-	-	-	-	-
64. Osmium—total, milligrams per liter	Digestion[14] followed by atomic absorption[18]	-	-	-	-	-
65. Palladium—total, milligrams per liter	Digestion[14] followed by atomic absorption[18]	-	-	-	-	-
66. Platinum—total, milligrams per liter	Digestion[14] followed by atomic absorption[18]	-	-	-	-	-
67. Potassium—total, milligrams per liter	Digestion[14] followed by atomic absorption,	143	-	-	134	(620)[2]
	colorimetric (Cobaltinitrite), or by	-	235	-	-	-
	flame photometric	-	234	403	-	-
	or by ICP[27]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
68. Potassium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total potassium	-	-	-	-	-
69. Rhodium—total, milligrams per liter	Digestion[14] followed by atomic absorption[18]	-	-	-	-	-
70. Ruthenium—total, milligrams per liter	Digestion[14] followed by atomic absorption[18]	-	-	-	-	-
71. Selenium—total, milligrams per liter	Digestion[14] followed by atomic absorption[17, 18]	145	159	-	-	-
	or by ICP[27]	-	-	-	-	-
72. Selenium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by reference method for total selenium	-	-	-	-	-
73. Silica—dissolved, milligrams per liter	0.45 micron filtration[16] followed by	274	*	398	139	-
	colorimetric (Molybdosilicate)	-	487	-	-	-
	or by ICP[27]	-	-	-	-	-
74. Silver—total[19], milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	146	148	-	142	(619)[2] (37)[9]
	colorimetric (Dithizone)	-	245	*	-	-
	or by ICP[27]	-	-	-	-	-
75. Silver—dissolved[19], milligrams per liter	0.45 micron filtration[16] followed by referenced method for total silver	-	-	-	-	-
76. Sodium—total, milligrams per liter	Digestion[14] followed by atomic absorption or by	147	-	-	143	(621)[2]
	flame photometric	*	250	403	-	-
	or by ICP[27]	-	-	-	-	-
77. Sodium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total sodium	-	-	-	-	-
78. Thallium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15]	149	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	Reference (Page Nos.) 1974 EPA Methods	14th Ed. Standard Methods	Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
79. Thallium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total thallium	-	-	-	-	-
80. Tin—total, milligrams per liter	Digestion[14] followed by atomic absorption[15]	150	-	-	(65)[10]	-
81. Tin—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total tin	-	-	-	-	-
82. Titanium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15]	151	-	-	-	-
83. Titanium—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total titanium	-	-	-	-	-
84. Vanadium—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	153	152	-	-	-
	colorimetric (Gallic acid)	-	280	441	(67)[10]	-
	or by ICP[27]	-	-	-	-	-
85. Vanadium—dissolved milligrams per liter	0.45 micron filtration[16] followed by referenced method for total vanadium	-	-	-	-	-
86. Zinc—total, milligrams per liter	Digestion[14] followed by atomic absorption[15] or by	155	148	345	159	(619)[2] (37)[9]
	colorimetric (Dithizone)	-	265	-	-	-
	or by ICP[27]	-	-	-	-	-
87. Zinc—dissolved, milligrams per liter	0.45 micron filtration[16] followed by referenced method for total zinc	-	-	-	-	-
88. Nitrate (as N), milligrams per liter	Cadmium reduction	201	423	-	-	-
	brucine sulfate;	197	427	358	119	(614)[2] (28)[9]
	automated cadmium or hydrazine reduction[20]	207	620	-	-	-
89. Nitrite (as N), milligrams per liter	Manual or automated colorimetric (Diazotization)	215	434	-	121	-
90. Oil and grease, milligrams per liter	Liquid-liquid extraction with trichlorotrifluoroethane-gravimetric	229	515	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	Reference (Page Nos.) 1974 EPA Methods	14th Ed. Standard Methods	Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
91. Organic carbon, total (TOC), milligrams per liter	Combustion—infrared method[2]	236	532	467	(4)[22]	-
92. Organic nitrogen (as N), milligrams per liter	Kjeldahl nitrogen minus ammonia nitrogen	175,159	437	-	122	(612,614)[2]
Organic Compounds						
93. Acenaphthene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
94. Acenaphthylene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
95. Acrolein,	GC method (603)[31]	-	-	-	-	-
micrograms per liter	GC/MS, method(624)[26]	-	-	-	-	-
96. Acrylonitrile,	GC method (603)[31]	-	-	-	-	-
micrograms per liter	GC/MS, method(624)[26]	-	-	-	-	-
97. Aldrin,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS, method (625)[26]	-	-	-	-	-
98. Anthracene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
99. Benzene,	GC method (602)[30]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
100. Benzidine;	HPLC method (605)[33]	-	-	-	-	-
milligrams per liter	Oxidation-colorimetric[9]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
101. Benzo(a)anthracene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS, method (625)[26]	-	-	-	-	-
102. Benzo(a)pyrene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
103. Benzo(b)fluoranthene	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
104. Benzo(g,h,i)perylene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
105. Benzo(k)fluoranthene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method, (625)[26]	-	-	-	-	-
106. a-BHC,	GC method (608)[36]	-	-	-	-	-
microgram per liter	GC/MS method (625)[26]	-	-	-	-	-
107. b-BHC,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
108. d-BHC,	GC method (608)[36]	-	-	-	-	-
microgram per liter	GC/MS method (625)[26]	-	-	-	-	-
109. g-BHC	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
110. Bis(2-chloroethyl) ether	GC method (611)[39]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
111. Bis(2-chloroethoxy) methane	GC method (611)[39]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
112. Bis(2-chloroisopropyl) ether	GC method (611)[39]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
113. Bis(2-ethylhexyl)phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
114. Bromodichloromethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
115. Bromoform,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
116. Bromomethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
117. 4-Bromophenylphenyl ether,	GC method (611)[39]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
118. Butylbenzyl phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
119. Carbon tetrachloride,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
120. Chlordane,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
121. 4-Chloro-3-methylphenol	GC method (604)[32]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
122. Chlorobenzene,	GC methods (601)[29] (602)[30]	-	-	-	-	-
micrograms per liter	GC/MS, method (624)[26]	-	-	-	-	-
123. Chloroethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS, method (624)[26]	-	-	-	-	-
124. 2-Chloroethylvinyl ether	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS, method (624)[26]	-	-	-	-	-
125. Chloroform,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS, method (624)[26]	-	-	-	-	-
126. Chloromethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
127. 2-Chloronaphthalene,	GC method (612)[40]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
128. 2-Chlorophenol,	GC method (604)[32]	-	-	-	-	-
micrograms per liter	GC/MS, method(625)[26]	-	-	-	-	-
129. 4-Chlorophenylphenyl ether,	GC method (611)[39]	-	-	-	-	-
micrograms per liter	GC/MS, method (625)[26]	-	-	-	-	-
130. Chrysene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
131. 4,4'-DDD	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
132. 4,4'-DDE	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
133. 4,4'-DDT	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
134. Dibenzo(a,h)anthracene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method(625)[26]	-	-	-	-	-
135. Dibromochloromethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
136. 1,2-Dichlorobenzene,	GC methods (601)[29] (602)[30] (612)[40]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	Reference (Page Nos.) 1974 EPA Methods	14th Ed. Standard Methods	Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
137. 1,3-Dichlorobenzene	GC methods (601)[29] (602)[30] (612)[40]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
138. 1,4-Dichlorobenzene,	GC methods (601)[29] (602)[30] (612)[40]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
139. 3,3'-Dichlorobenzidine,	HPLC method (605)[33]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
140. Dichlorodifluoromethane	GC method (601)[29]	-	-	-	-	-
micrograms per liter						
141. 1,1- Dichloroethane	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
142. 1,2-Dichloroethane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
143. 1,1-Dichloroethene	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
144. trans-1,2-Dichloroethene,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
145. 2,4-Dichlorophenol,	GC method (604)[32]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
146. 1,2-Dichloropropane,	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
147. cis-1,3-Dichloropropene	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
148. trans-1,3-Dichloropropene	GC method (601)[29]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
149. Dieldrin,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
150. Diethyl phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
151. 2,4-Dimethylphenol,	GC method (604)[32]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
152. Dimethyl phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	Reference (Page Nos.) 1974 EPA Methods	14th Ed. Standard Methods	Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
153. Di-n-butyl phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
154. Di-n-octyl phthalate,	GC method (606)[34]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
155. 4,6-Dinitro-2-methylphenol, micrograms per liter	GC method (604)[32]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
156. 2,4-Dinitrophenol,	GC method (604)[32]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
157. 2,4-Dinitrotoluene,	GC method (609)[37]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
158. 2,6-Dinitrotoluene,	GC method (609)[37]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
159. 1,2-Diphenylhydrazine,						
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
160. Endosulfan I,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
161. Endosulfan II,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
162. Endosulfan sulfate,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
163. Endrin,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
164. Endrin aldehyde,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
165. Ethylbenzene,	GC method (602)[30]	-	-	-	-	-
micrograms per liter	GC/MS method (624)[26]	-	-	-	-	-
166. Fluoranthene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
167. Fluorene,	GC or HPLC method (610)[38]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-
168. Heptachlor,	GC method (608)[36]	-	-	-	-	-
micrograms per liter	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
169. Heptachlor epoxide, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
170. Hexachlorobenzene, micrograms per liter	GC method (612)[40]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
171. Hexachlorobutadiene, micrograms per liter	GC method (612)[40]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
172. Hexachlorocyclopentadiene, micrograms per liter	GC method (612)[40]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
173. Hexachloroethane, micrograms per liter	GC method (612)[40]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
174. Indano(1,3,3-cd)pyrene, micrograms per liter	GC or HPLC method (610)[38]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
175. Isophorone, micrograms per liter	GC method (609)[37]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
176. Methylene chloride, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method (624)[26]	-	-	-	-	-
177. Naphthalene, micrograms per liter	GC or HPLC method (610)[38]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
178. Nitrobenzene, micrograms per liter	GC method (609)[37]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
179. 2-Nitrophenol, micrograms per liter	GC method (604)[32]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
180. 4-Nitrophenol, micrograms per liter	GC method (604)[32]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
181. N-Nitrosodimethylamine, micrograms per liter	GC method (607)[35]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
182. N-Nitrosodipropylamine, micrograms per liter	GC method (607)[35]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
183. N-Nitrosodiphenylamine, micrograms per liter	GC method (607)[35]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
184. PCB-1016, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
185. PCB-1221, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
186. PCB-1232, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
187. PCB-1242, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
188. PCB-1248, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
189. PCB-1254, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
190. PCB-1260, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
191. Pentachlorophenol, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
192. Phenanthrene, micrograms per liter	GC or HPLC method (610)[38]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
193. Phenol, micrograms per liter	GC method (604)[32]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
194. Pyrene, micrograms per liter	GC or HPLC method (610)[38]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
195. 2,3,7,8-Tetrachlorodibenzo-p-dioxin micrograms per liter	GC/MS methods (613)[41] (625)[26]	-	-	-	-	-
196. 1,1,2,2-Tetrachloroethane, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method (624)[26]	-	-	-	-	-
197. Tetrachloroethene, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method (624)[26]	-	-	-	-	-
198. Toluene, micrograms per liter	GC method (602)[30]	-	-	-	-	-
	GC/MS method (624)[26]	-	-	-	-	-
199. Toxaphene, micrograms per liter	GC method (608)[36]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-

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TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
200. 1,2,4-Trichlorobenzene, micrograms per liter	GC method (612)[40]	-	-	-	-	-
	GC/MS method(625)/[26]	-	-	-	-	-
201. 1,1,1-Trichloroethane, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method(624)[26]	-	-	-	-	-
202. 1,1,2-Trichloroethane, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method(624)[26]	-	-	-	-	-
203. Trichloroethene, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method(624)[26]	-	-	-	-	-
204. Trichlorofluoromethane, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method(624)[26]	-	-	-	-	-
205. 2,4,6-Trichlorophenol, micrograms per liter	GC method (604)[32]	-	-	-	-	-
	GC/MS method (625)[26]	-	-	-	-	-
206. Vinyl Chloride, micrograms per liter	GC method (601)[29]	-	-	-	-	-
	GC/MS method (624)[26]	-	-	-	-	-
207. Orthophosphate (as P), milligrams per liter	Manual or	249	481	384	131	(621)[2]
	automated ascorbic acid reduction	256	624	-	-	-
208. Pesticides, milligrams per liter	Gas chromatography[10]	-	555	529	(24)[11]	-
209. Phenols, milligrams per liter	Colorimetric, (4AAP)	241	582	545	-	-
210. Phosphorus (elemental), milligrams per liter	Gas chromatography[22]	-	-	-	-	-
211. Phosphorus; total (as P), milligrams per	Persulfate digestion followed by manual or automated ascorbic acid reduction	249 256	476,481 624	- 384	133 -	(621)[2] -

TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
Radiological						
212. Alpha—total, pCi per liter	Proportional or scintillation	-	648	591	(75)[10] (78)[24]	-
213. Alpha—counting error, pCi per liter	Proportional or scintillation counter	-	648	594	(79)[10]	-
214. Beta—total, pCi per liter	Proportional counter	-	648	601	(75)[10] (78)[24]	-
215. Beta—counting error, pCi per liter	Proportional counter	-	648	606	(79)[10]	-
216. a) Radium—total, pCi per liter	Proportional counter	-	661	661	-	-
b) ^{226}Ra, pCi per liter	Scintillation counter	-	667	-	(81)[10]	-
Residue						
217. Total, milligrams per liter	Gravimetric, 103 to 105°C	270	91	-	-	-
218. Total dissolved (filterable), milligrams per liter	Glass fiber filtration, 180°C	266	92	-	-	-
219. Total suspended (nonfilterable), milligrams per liter	Glass fiber filtration, 103 to 105°C	268	94	-	-	(537)[26]
220. Settleable, milliliters per liter or milligrams per liter	Volumetric or gravimetric	-	95	-	-	-
221. Total volatile, milligrams per liter	Gravimetric, 550°C	272	95	-	-	-

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TABLE I. LIST OF APPROVED TEST PROCEDURES (Cont.)

Parameter and units	Method	1974 EPA Methods	14th Ed. Standard Methods	Reference (Page Nos.) Part 31 1975 ASTM	USGS Methods[1]	Other Approved Methods
222. Specific conductance, micromhos per centimeter at 25°C	Wheatstone bridge conductimetry	275	71	120	140	(606)[2]
223. Sulfate (as SO_4) milligrams per liter	Gravimetric;	-	493	424	-	(624)[2]
	turbidimetric; or	277	496	425	-	(623)[2]
	automated colorimetric (barium chloranilate)	279	-	-	-	-
224. Sulfide (as S), milligrams per liter	Titrimetric—iodine for levels greater than 1 mg per liter;	284	505	-	154	-
	Methylene blue photometric	-	503	-	-	-
225. Sulfite (as SO_3), milligrams per liter	Titrimetric, iodine-iodate	285	508	435	-	-
226. Surfactants, milligrams per liter	Colorimetric (Methylene blue)	157	600	494	(11)[22]	-
227. Temperature, degrees C	Calibrated glass or electrometric thermometer	286	125	-	(31)[25]	-
228. Turbidity, NTU	Nephelometric	295	132	223	156	-

Footnotes:

1. All page references for USGS methods unless otherwise noted are to Brown, E., Skougstad, N.W., and Fishman, M.J., "Methods for Collection and Analysis of Water Samples for Dissolved Minerals and Gases, "U.S. Geological Survey Techniques of Water-Resources Inv., book 5 ch. A1, (1970)."

2. EPA comparable method may be found on indicated page of "Official Methods of Analysis of the Association of Official Analytical Chemists" methods manual, 12th ed. (1975).

3. Manual distillation is not required if comparability data on representative effluent samples are on company file to show that this preliminary distillation step is not necessary; however, manual distillation will be required to resolve any controversies.

4. The method used must be specified.

5. The 5 tube MPN is used.

6. Slack, K.V. and others, "Methods for Collection and Analysis of Aquatic Biological and Microbiological Samples "U.S. Geological Survey Techniques of Water-Resource Inv., book 5, ch A4 (1973)."

7. Since the membrane filter technique usually yields low and variable recovery from chlorinated wastewaters, the MPN method will be required to resolve any controversies.

8. The chloromine-T oxidation-colorimetric procedure for benzidine is available from the Environmental Monitoring and Support Laboratory, U.S. Environmental Protection Agency, Cincinnati,Ohio 45268

9. American National Standard on Photographic Processing Effluents, Apr. 2, 1975. Available from ANSI, 1430 Broadway, New York, N.Y. 10018.

10. Fishman, M.J. and Brown, Eugene, "Selected Methods of the U.S. Geological Survey for Analysis of Wastewaters," (1976) open-file report 76-177.

11. Procedures for pentachlorophenol, chlorinated organic compounds, and pesticides can be obtained from the Environmental Monitoring and Support Laboratory, U.S. Environmental Protection Agency, Cincinnati, Ohio 45268.

12. Color method (ADMI procedure) available from Environmental Monitoring and Support Laboratory, U.S. Environmental Protection Agency, Cincinnati, Ohio 45268.

13. For samples suspected of having thiocyanate interference, magnesium chloride is used as the digestion catalyst. In the approved test procedure for cyanides, the recommended catalysts are replaced with 20 ml of a solution of 510 g/l magnesium chloride ($MgCl_2 \cdot 6H_2O$). This substitution will eliminate thiocyanate interference for both total cyanide and cyanide amenable to chlorination measurements.

14. For the determination of total metals the sample is not filtered before processing. Because vigorous digestion procedures may result in a loss of certain metals through precipation, a less vigorous treatment is recommended as given on p. 83 (4.1.4) of "Methods for Chemical Analysis of Water and Wastes" (1974). In those instances where a more vigorous digestion is desired the procedure on p. 82 (4.1.3) should be followed. For the measurement of the noble metal series (gold, iridium, osmium, palladium, platinum, rhodium and ruthenium), an aqua regia digestion is to be substituted as follows: Transfer a representative aliquot of the well-mixed sample to a Griffin beaker and add 3 ml of concentrated redistilled HNO_3. Place the beaker on a steam bath and evaporate to dryness. Cool the beaker and cautiously add a 5 ml portion of aqua regia. (Aqua regia is prepared immediately before use by carefully adding 3 volumes of concentrated HCl to one volume of concentrated HNO_3.) Cover the beaker with a watch glass and return to the steam bath. Continue heating the covered beaker for 50 min. Remove cover and evaporate to dryness. Cool and take up the residue in a small quantity of 1:1 HCl. Wash down the beaker walls and watch glass with distilled water and filter the sample to remove silicates and other insoluble material that could clog the atomizer. Adjust the volume to some predetermined value based on the expected metal concentration. The sample is now ready for analysis.

15. As the various furnace devices (flameless AA) are essentially atomic absorption techniques, they are considered to be approved test methods. Methods of standard addition are to be followed as noted in p. 78 of "Methods for Chemical Analysis of Water and Wastes." 1974

16. Dissolved metals are defined as those constitutuents which will pass through a 0.45 μm membrane filter. A prefiltration is permissible to free the sample from larger suspended solids. Filter the sample as soon as practical after collection using the first 50 to 100 ml to rinse the filter flask. (Glass or plastic filtering apparatus are recommended to avoid possible contamination.) Discard the portion used to rinse the flask and collect the required volume of filtrate. Acidify the filtrate with 1:1 redistilled HNO_3 to a pH or 2. Normally, 3 ml of (1:1) acid per liter should be sufficient to preserve the samples.

17. See "Atomic Absorption Newsletter," vol. 13, 75 (1974). Available from Perkin-Elmer Corp., Main Ave., Norwalk, Conn. 06852

18. Method available from Environmental Monitoring and Support Laboratory, U.S. Environmental Protection Agency, Cincinnati, Ohio 45268

19. Recommended methods for the analysis of silver in industrial wastewaters at concentrations of 1 mg/l and above are inadequate where silver exists as an inorganic halide. Silver halides such as the bromide and chloride are relatively insoluble in reagents such as nitric acid but are readily soluble in an aqueous buffer of sodium thiosulfate and sodium hydroxide to a pH of 12. Therefore, for levels of silver above 1 mg/l 20 ml of sample should be diluted to 100 ml by adding 40 ml each of 2M $Na_2S_2O_3$ and 2M NaOH. Standards should be prepared in the same manner. For levels of silver below 1 mg/l the recommended method is satisfactory.

20. An automated hydrazine reduction method is available from the Environmental Monitoring and Support Laboratory, U.S. Environmental Protection Agency, Cincinnati, Ohio 45268.

21. A number of such systems manufactured by various companies are considered to be comparable in their performance. In addition, another technique, based on combustion-methane detection is also acceptable.

22. **Goerlitz, D., Brown, E., "Methods for Analysis of Organic Substances in Water": U.S. Geological Survey Techniques of Water-Resources Inb., book 5, ch. A3 (1972)**

23. **R.F. Addison and R.G. Ackman, "Direct Determination of Elemental Phosphorus by Gas-Liquid Chromatography," "Journal of Chromatography," vol. 47, No. 3, pp. 421-426, 1970.**

24. **The method found on p. 75 measures only the dissolved portion while the method on p. 78 measures only suspended. Therefore, the 2 results must be added together to obtain "total".**

25. **Stevens, H.H., Fick, J.F., and Smoot, G.F., "Water Temperature - Influential Factors, Field Measurement and Data Presentation; U.S. Geological Survey Techniques of Water Resources Inv., book 1 (1975)."**

26. **EPA interim methods for analysis of organics in municipal and industrial wastewater by GC/MS purge and trap (Method 624 and methylene chloride extraction (Method 625) procedures are available from the Environmental Monitoring and Support Laboratory, U.S.E.P.A., Cincinnati, Ohio, 45268. Direct Aqueous injection is to be used in these GC/MS procedures for all compounds that exceed 1000 micrograms per liter. Dichlorodifluoromethane should be analyzed by the interim gas chromatographic method 601. For differentiation between isomeric pairs anthracene and phenanthrene, chrysene and benzo(a)anthracene, and benzo (b) fluoranthene and benzo (k) fluoranthene use method 610 of polynuclear aromatic hydrocarbons. "Interim Method for Benzidine and its Salts in Wastewater" is available from the Environmental Monitoring and Support Laboratory, U.S.E.P.A., Cincinnati, Ohio, 45268 (EMSL-CI).**

27. **The Inductively Coupled Plasma Optical Emission Spectrometric Method (ICP) is available from the Environmental Monitoring and Support Laboratory, U.S.E.P.A. Cincinnati, Ohio 45268 (EMSL-CI).**

28. **Method 507 for Carbonaceous Biochemical Oxygen Demand (BOD carbonaceous) is available from the Environmental Monitoring and Support Laboratory, U.S.E.P.A. Cincinnati, Ohio 45268 (EMSL-CI).**

29. **Inert gas purge, followed by gas chromatography with halide specific detection (interim method 601), available from EMSL-CI.**

30. **Inert gas purge followed by gas chromatography and photoionization detection (interim method 602), available from EMSL-CI.**

31. **Inert gas purge followed by gas chromatographic separation and detection with flame ionization detector (interim method 603), available from EMSL-CI.**

32. **Methylene chloride extraction, followed by gas chromatography with flame ionization or electron capture detection (interim method 604), available from EMSL-CI.**

33. **Chloroform extraction followed by concentration and high performance liquid chromatography (HPLC) with electrochemical detection (interim method 605), available from EMSL-CI.**

34. **Methylene chloride extraction followed by gas chromatography with flame ionization or electron capture detection (interim method 606), available from EMSL-CI.**

35. **Methylene chloride extraction followed by gas chromatography with nitrogen-phosphorous or reductive Hall detectors (interim method 607), available from EMSL-CI.**

36. **Methylene chloride extraction followed by gas chromatography with electron capture or halogen specific detection (interim method 608), available from EMSL-CI.**

37. **Methylene chloride extraction followed by exchange to toluene, gas chromatography with flame ionization detection (interim method 609), available from EMSL-CI.**

38. **Methylene chloride extraction followed by HPLC with fluoresence or UV detection; or gas chromatography (interim method 610), available from EMSL-CI.**

39. **Methylene chloride extraction followed by gas chromatography with halogen-specific detector (interim method 611), available from EMSL-CI.**

40. **Methylene chloride extraction followed by concentration, gas chromatography with electron capture detection (interim method 612), available from EMSL-CI.**

41. **Methylene chloride extraction followed by transfer to hexane and capillary column gas chromatography/mass spectometry with electron impact ionization (interim method 613), available from EMSL-CI.**

42. Microbiological Methods for Monitoring the Environment (December 1978) available for the Environmental Monitoring and Support Laboratory U.S. E.P.A. Cincinnati, Ohio 45268.

TABLE II. CONTAINERS, PRESERVATION, AND HOLDING TIMES

Measurement[a]		Container[b]	Preservative[c]	Maximum Holding Time[d]
1	Acidity	P,G	Cool, 4°C	14 days
2	Alkalinity	P,G	Cool, 4°C	14 days
3	Ammonia	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
	BACTERIA			
4-7	Coliform, fecal and total	P,G	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	6 hours
8	Fecal streptococci	P,G	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	6 hours
9	Biochemical oxygen demand	P,G	Cool, 4°C	48 hours
10	Biochemical oxygen demand Carbonaceous	P,G	Cool, 4°C	48 hours
11	Bromide	P,G	None required	28 days
12	Chemical oxygen demand	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
13	Chloride	P,G	None Required	28 days
14	Chlorinated organic compounds	G, teflon-lined cap	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	7 days (until extraction) 30 days (after extraction)
15	Chlorine, total residual	P,G	Determined on-site	2 hours
16	Color	P,G	Cool, 4°C	48 hours
17-18	Cyanide, total and amenable to chlorination	P,G P,G	Cool, 4°C NaOH to pH>12, 0.008% $Na_2S_2O_3$[h]	14 days
19	Dissolved oxygen Probe Winkler	 G bottle & top G bottle & top	 Determine on site Fix on site	 1 hour 8 hours
20	Fluoride	P	None Required	28 days
21	Hardness	P,G	HNO_3 to pH<2	6 months
22	Hydrogen ion (pH)	P,G	Determine on site	2 hours
23&92	Kjeldahl and organic nitrogen	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
	METALS[e]			
40-41	Chromium VI	P,G	Cool, 4°C	48 hours

TABLE II. CONTAINERS, PRESERVATION, AND HOLDING TIMES (cont.)

Measurement[a]		Container[b]	Preservative[c]	Maximum Holding Time[d]
58-59	Mercury	P,G	HNO_3 to pH<2 0.05% $K_2Cr_2O_7$	28 days
24-87	Metals except above	P,G	HNO_3 to pH<2	6 months
88	Nitrate	P,G	Cool, 4°C	48 hours
88(a)[i]	Nitrate-nitrite	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
89	Nitrite	P,G	Cool, 4°C	48 hours
90	Oil and Grease	G	Cool, 4°C H_2SO_4 to pH<2	28 days
91	Organic Carbon	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
93-206	ORGANIC COMPOUNDS[f]			
	Extractables (including phthalates, nitrosamines organochlorine pesticides, PCB's, nitroaromatics, isophorone, polynuclear aromatic hydrocarbons, haloethers, chlorinated hydrocarbons and TCDD)	G, teflon-lined cap	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	7 days (until extraction) 30 days (after extraction)
	Extractables (phenols)	G, teflon-lined cap	Cool, 4°C H_2SO_4 to pH<2 0.008% $Na_2S_2O_3$[h]	7 days (until extraction) 30 days (after extraction)
	Purgeables (Halocarbons and Aromatics)	G, teflon-lined septum	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	14 days
	Purgeables (Acrolein and Acrylonitrite)	G, teflon-lined septum	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	3 days
207	Orthophosphate	P,G	Filter on site Cool, 4°C	48 hours
208	Pesticides	G, teflon-lined cap	Cool, 4°C 0.008% $Na_2S_2O_3$[h]	7 days (until extraction) 30 days (after extraction)
209	Phenols	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days
210	Phosphorus (elemental)	G	Cool, 4°C	48 hours
211	Phosphorus, total	P,G	Cool, 4°C H_2SO_4 to pH<2	28 days

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TABLE II. CONTAINERS, PRESERVATION, AND HOLDING TIMES (cont.)

Measurement[a]		Container[b]	Preservative[c]	Maximum Holding Time[d]
	RADIOLOGICAL			
212-216	Alpha, Beta and radium	P,G	HNO_3 to pH<2	6 months
217	Residue, total	P,G	Cool, 4°C	14 days
218	Residue, Filterable	P,G	Cool, 4°C	14 days
219	Residue, nonfilterable	P,G	Cool, 4°C	7 days
220	Residue, settleable	P,G	Cool, 4°C	7 days
221	Residue, volatile	P,G	Cool, 4°C	7 days
73	Silica	P	Cool, 4°C	28 days
222	Specific conductance	P,G	Cool, 4°C	28 days
223	Sulfate	P,G	Cool, 4°C	28 days
224	Sulfide	P,G	Cool, 4°C Zinc Acetate	28 days
225	Sulfite	P,G	Cool, 4°C	48 hours
226	Surfactants	P,G	Cool, 4°C	48 hours
227	Temperature	P,G	Determine on site	immediately
228	Turbidity	P,G	Cool, 4°C	48 hours

a Parameter numbers refer to Table I.
b Polyethylene (P) or Glass (G).
c Sample preservation should be performed immediately upon sample collection. For composite samples each aliquot should be preserved at the time of collection. When use of an automatic sampler makes impossible to preserve each aliquot, then samples may be preserved by maintaining at 4°C until compositing and sample splitting is completed.
d Samples should be analyzed as soon as possible after collection. The times listed are the maximum times that samples may be held before analysis and still considered valid. Samples may be held for longer periods only if the permittee, or monitoring laboratory, has data on file to show that the specific types of samples under study are stable for the longer time.

Some samples may not be stable for the maximum time period given in the table. A permittee, or monitoring laboratory, is obligated to hold the sample for a shorter time if knowledge exists to show this is necessary to maintain sample stability.

e Samples should be filtered immediately on-site before adding preservative for dissolved metals.
f Guidance applies to samples to be analyzed by GC, LC, or GC/MS for specific organic compounds.
g This parameter not listed in Table I.
h Should only be used in the presence of residual chlorine.
i Not available in Table I.

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Part V

Department of Commerce

National Oceanic and Atmospheric Administration

Guidelines for Sea Grant Colleges and Regional Consortia

DEPARTMENT OF COMMERCE

National Oceanic and Atmospheric Administration

15 CFR Part 918

Guidelines for Sea Grant Colleges and Regional Consortia

AGENCY: National Oceanic and Atmospheric Administration (NOAA). Department of Commerce.

ACTION: Final rule.

SUMMARY: The following guidelines, evolved over a dozen years of program experience, outline the procedures which will be followed in the designation of Sea Grant Colleges and Regional Consortia and the responsibilities of the organizations so designated. Sea Grant Colleges are institutions of higher education, or confederations of such institutions, that have been designated by the Secretary of Commerce as having the purpose of understanding, assessing, developing, utilizing, and conserving oceans, Great Lakes, and coastal resources through research, advisory service, education, and training. Sea Grant Regional Consortia are alliances of two or more organizaitons, so designated by the Secretary of Commerce, having the purpose of providing a vehicle whereby the organizations may combine their capabilities into a single program to conduct more adequate research, advisory service, education, and training in fields related to ocean, Great Lakes, and coastal resources on a regional basis.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Dr. Ned A. Ostenso, Office of Sea Grant, National Oceanic and Atmospheric Administration, 6010 Executive Boulevard, Rockville, Maryland 20852, (202–443–8923).

Chapter IX, Title 15 of the Code of Federal Regulations, is hereby amended by adding a new Part 918 as set forth below.

Dated: December 7, 1979.

Francis J. Balint,

Acting Director, Office of Management and Computer Services.

PART 918—SEA GRANTS

Sec.

918.1 Introduction.
918.2 Definitions.
918.3 Eligibility, qualifications, and responsibility of a Sea Grant College.
918.4 Duration of Sea Grant College designation.
918.5 Eligibility, qualifications, and responsibilities—Sea Grant Regional Consortia.
918.6 Duration of Sea Grant Regional Consortium designation.
918.7 Application for designation.

Authority: Sec. 207, National Sea Grant College Program Act, as amended (Pub. L. 94–461, 33 U.S.C. 1121, et seq.).

§ 918.1 Introduction.

Pursuant to Section 207 of the National Sea Grant College Program Act, as amended (Pub. L. 94–461, 33 U.S.C. 1121 et seq.), herein referred to as the Act, the following guidelines establish the procedures by which organizations can qualify for designation as Sea Grant Colleges or Sea Grant Regional Consortia, and the responsibilities required of organizations so designated.

§ 918.2 Definitions.

(a) *Marine Environment.* The term "Marine Environment" means any or all of the following: the coastal zone, as defined in Section 304(1) of the Coastal Zone Management Act of 1972 (16 U.S.C. 1453(1)); the seabed, subsoil and waters of the territorial sea of the United States, including the Great Lakes; the waters of any zone over which the United States asserts exclusive fishery management authority; the waters of the high seas; and the seabed and subsoil of and beyond the Outer Continental Shelf.

(b) *Ocean, Great Lakes, and Coastal Resources.* The term "Ocean, Great Lakes, and Coastal Resources" means any resource (whether living, nonliving, manmade, tangible, intangible, actual, or potential) which is located in, derived from, or traceable to, the marine environment. Such term includes the habitat of any such living resource, the coastal space, the ecosystems, the nutrient-rich areas, and the other components of the marine environment which contribute to or provide (or which are capable of contributing to or providing) recreational, scenic, aesthetic, biological, habitational, commercial, economic, or conservation values. Living resources include natural and cultured plant life, fish, shellfish, marine mammals, and wildlife. Nonliving resources include energy sources, minerals, and chemical substances.

(c) *Person.* The term "Person" means any public or private corporation, partnership, or other association or entity (including any Sea Grant College, Sea Grant Regional Consortium, institution of higher education, institute, or laboratory); or any State, political subdivision of a State, or agency or officer thereof.

(d) *Sea Grant College.* The term "Sea Grant College" means any public or private institution of higher education or confederation of such institutions which is designated as such by the Secretary under Section 207 of the National Sea Grant Program Act. Included in this term are all campuses (or other administrative entities) of a designated Sea Grant College, working through the established management structure of the Sea Grant College.

(e) *Sea Grant Program, The term "Sea Grant Program" means any program which:*

(1) Is administered by a Sea Grant College, Sea Grant Regional Consortium, institution of higher education, institute, laboratory, or State or local agency; and

(2) Includes two or more Sea Grant projects involving one or more of the following activities in fields related to ocean, Great Lakes, and coastal resources:

(i) Research,
(ii) Education and training, and
(iii) Advisory services.

(f) *Sea Grant project.* A Sea Grant project is any separately described activity which has been proposed to the National Sea Grant College Program, and has subsequently been approved.

(g) *Sea Grant Regional Consortium.* The term "Sea Grant Regional Consortium" means any association or other alliance of two or more persons as defined above (other than individuals) established for the purpose of pursuing programs in marine research education, training, and advisory services on a regional basis (i.e., beyond the boundaries of a single state) and which is designated as a consortium by the Secretary under Section 207 of the National Sea Grant Program Act.

(h) *Field Related to Ocean, Great Lakes, and Coastal Resources.* The term "Field Related to Ocean, Great Lakes, and Coastal Resources" means any discipline or field (including marine sciences and the physical, natural, and biological sciences, and engineering, included therein, marine technology, education, economics, sociology, communications, planning law, international affairs, public administration, humanities, and the arts) which is concerned with, or likely to improve the understanding, assessment, development, utilization, or conservation of, ocean, Great Lakes, and coastal resources.

§ 918.3 Eligibility, qualifications, and responsibility of a Sea Grant College.

(a) To be eligible for designation as a Sea Grant College, the institution of higher education or confederation of such institutions must have demonstrated a capability to maintain a high quality and balanced program of research, education, training, and advisory services in fields related to ocean, Great Lakes, and coastal resources for a minimum of three years, and have received financial assistance as an Institutional program under either Section 205 of the National Sea Grant College Program Act or under Section 204(c) of the earlier National Sea Grant College and Program Act of 1966.

(b) To be eligible for designation as a Sea Grant College, the candidate institution or confederation of institutions must meet the qualifications set forth above as evaluated by a site review team composed of members of the Sea Grant Review Panel, NOAA's Office of Sea Grant, and other experts named by NOAA. As a result of this review, the candidate must be rated highly in all of the following qualifying areas:

(1) *Leadership.* The Sea Grant College candidate must have achieved recognition as an intellectual and practical leader in marine science, engineering, education, and advisory service in its state and region.

(2) *Organization.* The Sea Grant College candidate must have created the management organization to carry on a viable and productive Sea Grant Program, and must have the backing of its administration at a sufficiently high level to fulfill its multidisciplinary and multifaceted mandate.

(3) *Relevance.* The Sea Grant College candidate's program must be relevant to local, State, regional, or National opportunities and problems in the marine environment. Important factors in evaluating relevance are the need for marine resource emphasis and the extent to which capabilities have been developed to be responsive to that need.

(4) *Programmed Team Approach.* The Sea Grant College candidate must have a programmed team approach to the solution of marine problems which includes relevant, high quality, multidisciplinary research with associated educational and advisory services capable of producing identifiable results.

(5) *Education and Training.* Education and training must be clearly relevant to National, regional, State and local needs in fields related to ocean, Great Lakes, and coastal resources. As appropriate, education may include pre-college, college, post-graduate, public and adult levels.

(6) *Advisory Services.* The Sea Grant College candidate must have a strong program through which information, techniques,and research results from any reliable source, domestic or international, may be communicated to and utilized by user communities. In addition to the educational and information dissemination role, the advisory service program must aid in the identification and communication of user communities' research and educational needs.

(7) *Relationships.* The Sea Grant College candidate must have close ties with Federal agencies. State agencies and administrations, local authorities, business and industry, and other educational institutions. These ties are: (1) To ensure the relevance of its programs, (2) To give assistance to the broadest possible audience, (3) To involve a broad pool of talent in providing this assistance (including universities and other administrative entities outside the Sea Grant College), and (4) To assist others in developing research and management competence. The extent and quality of an institution's relationships are critical factors in evaluating the institutional program.

(8) *Productivity.* The Sea Grant College candidate must have demonstrated the degree of productivity (of research results, reports, employed students, service to State agencies and industry, etc.) commensurate with the length of its Sea Grant operations and the level of funding under which it has worked.

(9) *Support.* The Sea Grant College candidate must have the ability to obtain matching funds from non-Federal sources, such as state legislatures, university management, state agencies, business, and industry. A diversity of matching fund sources is encouraged as a sign of program vitality and the ability to meet the Sea Grant requirement that funds for the general programs be matched with at least one non-Federal dollar for every two Federal dollars.

(c) Finally, it must be found that the Sea Grant College candidate will act in accordance with the following standards relating to its continuing responsibilities if it should be designated a Sea Grant College:

(1) Continue pursuit of excellence and high performance in marine research, education, training, and advisory services.

(2) Provide leadership in marine activities including coordinated planning and cooperative work with local, state, regional, and Federal agencies, other Sea Grant Programs, and non-Sea Grant universities.

(3) Maintain an effective management framework and application of institutional resources to the achievement of Sea Grant objectives.

(4) Develop and implement long-term plans for research, education, training, and advisory services consistent with Sea Grant goals and objectives.

(5) Advocate and further the Sea Grant concept and the full development of its potential within the institution and the state.

(6) Provide adequate and stable matching financial support for the program from non-Federal sources.

(7) Establish and operate an effective system to control the quality of its Sea Grant programs.

§ 918.4 Duration of Sea Grant College designation.

Designation will be made on the basis of merit and the determination by the Secretary of Commerce that such a designation is consistent with the goals of the Act. Continuation of the Sea Grant College designation is contingent upon the institution's ability to maintain a high quality performance consistent with the requirements outlined above. The Secretary may, for cause and after an opportunity for hearing, suspend or terminate a designation as a Sea Grant College.

§ 918.5 Eligibility, qualifications, and responsibilities—Sea Grant Regional Consortia.

(a) To be eligible for designation as a Sea Grant Regional Consortium, the candidate association or alliance of organizations must provide, in significant breadth and quality, one or more services in the areas of research, education, and training, or advisory service in fields related to ocean, Great Lakes, and coastal resources. Further, it is essential that the candidate Sea Grant Consortium be required to provide all three services as soon as possible after designation. Further, such association or alliance must demonstrate that:

(1) It has been established for the purpose of sharing expertise, research, educational facilities, or training facilities, and other capabilities in order to facilitate research, education, training, and advisory services in any field related to ocean, Great Lakes, and coastal resources; and

(2) It will encourage and follow a regional multi-State approach to solving problems or meeting needs relating to ocean, Great Lakes, and coastal resources, in cooperation with appropriate Sea Grant Colleges, Sea Grant Programs and other persons in the region.

(b) Although it is recognized that the distribution of effort between research, education, training, and advisory services to achieve appropriate balance in a Sea Grant Regional Consortium may differ from a Sea Grant College, sustained effort in all of these areas is,

nonetheless, an essential requirement for retention of such designation. To be eligible for designation as a Sea Grant Regional Consortium, the candidate association or alliance of organizations must meet the qualifications set forth above as evaluated by a site review team composed of members of the Sea Grant Review Panel, the Office of Sea Grant, and other experts. Further, the candidate must be rated highly in all of the following qualifying areas which are pertinent to the Consortium's program:

(1) *Leadership.* The Sea Grant Regional Consortium candidate must have achieved recognition as an intellectual and practical leader in marine science, engineering, education, and advisory service in its region.

(2) *Organization.* The Sea Grant Regional Consortium candidate must have created the management organization to carry on a viable and productive multidisciplinary Sea Grant Program and have the backing of the administrations of its component organizations at a sufficiently high level to fulfill its multidisciplinary and multifaceted mandate.

(3) *Relevance.* The Sea Grant Regional Consortium candidate's Sea Grant Program must be relevant to regional opportunities and problems in the marine environment. Important factors in evaluating relevance are the extent and depth of the need of a region for a focused marine resource emphasis and the degree to which the candidate has developed its capability to be responsive to that need.

(4) *Education and Training.* Education and training must be clearly relevant to regional needs and must be of high quality in fields related to ocean, Great Lakes, and coastal resources. As appropriate, education may include precollege, college, post-graduate, public and adult levels.

(5) *Advisory Services.* The Sea Grant Regional Consortium candidate must have a strong program through which information techniques, and research results from any reliable source, domestic or international, may be communicated to and utilized by user communities. In addition to the educational and information dissemination role, the advisory service program must aid in the identification and communication of user communities' research and educational needs.

(6) *Relationships.* The Sea Grant Regional Consortium candidate must have close ties with federal agencies, state agencies and administrations, regional authorities, regional business and industry, and other regional educational institutions. These regional ties are: (1) To ensure the relevance of programs, (2) To generate requests for such assistance as the consortium may offer, and (3) To assist others in developing research and management competence. The extent and quality of a candidate's relationships are critical factors in evaluating the proposed designation.

(7) *Productivity.* The Sea Grant Regional Consortium candidate must have demonstrated a degree of productivity (of research results, reports, employed students, service to regional agencies, industry, etc.) commensurate with the length of its Sea Grant operations and the level of funding under which it has worked.

(8) *Support.* The Sea Grant Regional Consortium candidate must have the ability to obtain matching funds from non-Federal sources, such as State legislatures, university management, State agencies, and business and industry. A diversity of matching funds sources is encouraged as a sign of program vitality and the ability to meet the Sea Grant requirement that funds for the general programs be matched with at least one non-Federal dollar for every two Federal dollars.

(c) Finally, it must be found that the Sea Grant Regional Consortium candidate will act in accordance with the following standards relating to its continuing responsibilities as a Sea Grant Regional Consortium:

(1) Continue pursuit of excellence and high performance in marine research education, training, and advisory services.

(2) Provide regional leadership in marine activities including coordinated planning and cooperative work with local, State, regional, and Federal agencies, other Sea Grant Programs, and non-Sea Grant organizations.

(3) Maintain an effective management framework and application of organizational resources to the achievement of Sea Grant objectives.

(4) Develop and implement long-term plans for research, education, training, and advisory services consistent with Sea Grant goals and objectives.

(5) Advocate and further the Sea Grant concept and the full development of its potential within the consortium and the region.

(6) Provide adequate and stable matching financial support for the program from non-Federal sources.

(7) Establish and operate an effective system to control the quality of its Sea Grant program.

§ 918.6 Duration of Sea Grant Regional Consortium designation.

Designation will be made on the basis of merit and the determination by the Secretary of Commerce that such a designation is consistent with the goals of the Act. Continuation of the Sea Grant Regional Consortium designation is contingent upon the alliance's ability to maintain a high quality performance consistent with the standards outlined above. The Secretary may, for cause and after an opportunity for hearing, suspend or terminate the designation as a Sea Grant Regional Consortium.

§ 918.7 Application for designation.

(a) All applications for initial designation as a Sea Grant College or a Regional Consortium should be addressed to the Secretary of Commerce and submitted to the Director, National Sea Grant College Program, National Oceanic and Atmospheric Administration. The application should contain an outline of the capabilities of the applicant and the reasons why the applicant believes that it merits designation under the guidelines contained in this regulation. Upon receipt of the application, the Director will present the institution's case to the Sea Grant Review Panel for evaluation. The Panel's recommendation will be forwarded to the Secretary for final action.

(b) An existing Sea Grant College or Regional Consortium may also apply as in (a) above for a change in the scope of designation to include or exclude other administrative entities of the institution or association. If approved by the Secretary such included (excluded) administrative entities shall share (lose) the full rights and responsibilities of a Sea Grant College or Regional Consortium.

[FR Doc. 79-38577 Filed 12-17-79; 8:45 am]
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federal register

Tuesday
December 18, 1979

Part VI

Department of the Treasury

Fiscal Service, Bureau of the Public Debt

Regulations Governing Agencies for Issue of United States Savings Bonds

Dept. Circular, Public Debt Series No. 4-67, First Revision

DEPARTMENT OF THE TREASURY

Fiscal Service

Bureau of the Public Debt

31 CFR Part 317

Regulations Governing Agencies for Issue of United States Savings Bonds

AGENCY: Fiscal Service, Department of the Treasury.

ACTION: Final rule.

SUMMARY: Department of the Treasury Circular, Public Debt Series No. 4–67 (31 CFR, Part 317), contains the regulations governing agencies authorized to sell and issue accrual-type United States Savings Bonds and Notes. The Circular has previously referred specifically to United States Savings Bonds of Series E and to United States Savings Notes (Freedom Shares). This First Revision of the Circular is necessary because of the introduction in 1980 of Series EE savings bonds and the withdrawal from sale of Series E savings bonds. The sale of savings notes terminated on June 30, 1970.

EFFECTIVE DATE: January 1, 1980.

FOR FURTHER INFORMATION CONTACT: Charles A. Guerin, Assistant Chief Counsel, Bureau of the Public Debt, Washington, D.C. 20226 (202–376–0243).

SUPPLEMENTARY INFORMATION: The Secretary of the Treasury has announced that United States Savings Bonds of Series EE will be offered for sale as of January 1, 1980. Under the terms of the offering circular, the bonds will be sold and issued by organizations qualified as issuing agents. The Secretary has also announced that Series E savings bonds will be withdrawn from sale. Their over-the-counter sales will be terminated as of December 31, 1979, and sales on payroll deduction plans will be terminated no later than June 30, 1980.

In view of the changes in the Savings Bond Program, Department of the Treasury Circular, Public Debt Series No. 4–67, the regulations governing issuing agents, is being revised, effective January 1, 1980, to cover the issuance of Series EE bonds. The revised regulations also apply to Series E bonds until their sale and issue have been terminated and a final accounting has been made by each issuing agent for the Series E savings bond stock for which it is charged.

Other changes being made in the regulations are discussed below.

Some rearrangement and renumbering of the various sections in the circular have been made.

Section 317.3 is being revised to allow qualification of agents only on the basis of trust agreements. Under the regulations previously in effect, there have been three bases for qualification: trust agreement, prepayment agreement and collateral agreement. Since virtually all agents have qualified under trust agreements, the prepayment and collateral agencies are being eliminated. Agents which had qualified under these two latter classifications must requalify under trust agreements.

Section 317.4 provides that organizations currently qualified under trust agreements to issue Series E bonds may sell and issue Series EE bonds without the need for requalification. Issuing agents have been individually notified that their qualification will automatically be extended, but that they may requalify if they so desire.

A new provision of the circular, i.e., Section 317.8, stresses the importance the Department attaches to compliance with its instructions for the prompt remittance of the proceeds of savings bonds sales. These sales proceeds are funds belonging to the United States which are held in trust by issuing agents until properly remitted. The Department recently revised its rules to accelerate the remittance of these proceeds, in line with the President's objective of improving cash management operations within the Federal Government.

Section 317.9, which deals with the role of the Federal Reserve Banks, as fiscal agents, has been expanded.

The regulations in this Part involve the fiscal policy of the United States and do not meet the Department's criteria for significant regulations. Accordingly, it has been determined that notice and public procedures are unnecessary.

Dated: December 11, 1979.

Paul H. Taylor,

Fiscal Assistant Secretary.

The regulations in Title 31, Code of Federal Regulations, Part 317, are revised as follows:

PART 317—REGULATIONS GOVERNING AGENCIES FOR ISSUE OF UNITED STATES SAVINGS BONDS

Sec.

317.0 Purpose and effective date.
317.1 Definitions.
317.2 Organizations authorized to act.
317.3 Procedure for qualifying and serving as issuing agent.
317.4 Issuing agents currently qualified.
317.5 Termination of qualification.
317.6 Issuance of bonds.
317.7 Accounting for bond stock and sales proceeds.
317.8 Remittance of sales proceeds.
317.9 Role of Federal Reserve Banks.
317.10 Reservation.

Authority: Sec. 22, 49 Stat. 21, as amended; 31 U.S.C. 757c.

Source: Department of the Treasury Circular, Public Debt Series No. 4–67, First Revision.

§ 317.0 Purpose and effective date.

The regulations in this Part govern the manner in which organizations may qualify and act as agents for the sale and issue of accrual-type United States Savings Bonds. They are effective as of January 1, 1980.

§ 317.1 Definitions.

(a) "Bond(s)" means United States Savings Bonds of Series EE, and, until their sale is terminated, savings bonds of Series E.

(b) "Federal Reserve Bank" refers to the Federal Reserve Bank of the district in which the issuing agent or the applicant organization is located, and includes the Branch(es) of the Reserve Bank, where appropriate.

(c) "Issuing agent" refers to an organization which has been granted a certificate of qualification by a Federal Reserve Bank to sell and issue savings bonds.

(d) "Offering circular" refers to Department of the Treasury Circular, Public Debt Series No. 1–80, and, until the sale of Series E bonds is terminated, Department of the Treasury Circular No. 653.

(e) "Organization" means any entity, as described in § 317.2, which may qualify as an issuing agent of bonds.

§ 317.2 Organizations authorized to act.

Organizations eligible to apply for qualification and serve as savings bond issuing agents include: (a) Banks, trust companies and savings institutions chartered by or incorporated under the laws of the United States, or those of any State or Territory of the United States, the District of Columbia, or the Commonwealth of Puerto Rico; (b) Agencies of the United States and of State and local governments; and (c) Employers operating payroll savings plans for the purchase of United States Savings Bonds.

§ 317.3 Procedure for qualifying and serving as issuing agent.

(a) *Execution of application-agreement.* The applicant-organization shall obtain from, duly execute, and file with a Federal Reserve Bank an application-agreement form. The terms of each application-agreement shall include the provisions prescribed by Section 202 of Executive Order No. 11246, entitled "Equal Employment Opportunity" (3 CFR, Subchapter B, 42 U.S.C. 2000e note).

(b) *Certificate of qualification.* Upon approval of an application-agreement, the Federal Reserve Bank will issue a certificate of qualification to the organization. Until the receipt of such a certificate, an organization shall not perform any act as an issuing agent, or advertise in any manner that it is authorized to so act or that it has applied for qualification as an issuing agent.

(c) *Basis for obtaining stock and performing issue functions.* After receipt of a certificate of qualification, an organization may obtain bond stock and perform the functions of an issuing agent. Under the terms of the application-agreement, the stock of bonds, together with the proceeds of their sale, are at all times the property of the United States, for which the organization shall be fully accountable.

(d) *Adverse action or change in qualification.* An organization will be notified by the Federal Reserve Bank if its application-agreement to act as issuing agent is not approved, or if, after qualification, the certificate of qualification is terminated.

§ 317.4 Issuing agents currently qualified.

Organizations qualified as issuing agents under trust agreements currently in effect are authorized to continue to act in that capacity without requalification. By so acting, they shall be subject to the terms and conditions of the previously executed application-agreements and these regulations in the same manner and to the same extent as though they had requalified hereunder.

§ 317.5 Termination of qualification.

(a) *By the United States.* The Secretary of the Treasury or his delegate may terminate the qualification of an issuing agent at any time, upon due notice to the agent. If this action is taken, the agent will be required to make a final accounting for the balance of savings bond stock for which it is charged, based on the records of the Federal Reserve Bank. The agent must surrender all unissued bonds and remit the issue price of any remaining bonds included in its accountability.

(b) *At request of issuing agent.* A Federal Reserve Bank will terminate the qualification of an issuing agent upon its request, provided the agent is in full compliance with the terms of its agreement and the applicable regulations and instructions, and renders a final accounting.

§ 317.6 Issuance of bonds.

(a) *General.* Issuing agents shall comply with all regulations and instructions issued by the Department of the Treasury directly, or through the Federal Reserve Bank, concerning the sale, inscription, dating, validation and issue of the bonds, and disposition of the registration stubs. No issuing agent shall have authority to sell bonds other than as provided in the offering circular.

(b) *Fees.* Issuing agents other than Federal agencies, which for the purpose of this section include Government corporations and independent establishments, will be paid a fee for each savings bond issued. A schedule reflecting the amount of the fees and the basis upon which they are computed will be published in the **Federal Register.**

(c) *No charge to customers.* Financial institutions accepting fees from the Treasury for issuing savings bonds shall not make any charge to customers for the same service.

§ 317.7 Accounting for bond stock and sales proceeds.

Issuing agents must comply with all regulations and instructions issued by the Department of the Treasury governing the accounting for bond stock and for the proceeds of bond sales.

§ 317.8 Remittance of sales proceeds.

Issuing agents shall remit bond sales proceeds promptly in accordance with instructions issued by the Department of the Treasury, either directly or through the Federal Reserve Banks. Failure to comply with these instructions may subject an agent to penalties, including termination of its qualification as an issuing agent.

§ 317.9 Role of Federal Reserve Banks.

In their capacity as fiscal agents of the United States, the Federal Reserve Banks are authorized to perform such duties, including the issuance of instructions and forms, as may be necessary to fulfill the purposes and requirements of these regulations. The Reserve Banks qualify issuing agents; supply them with bond stock and maintain records of the agents' accountability; instruct them regarding the sale and issue of bonds, the custody and control of bond stock, and the accounting for and remittance of sales proceeds; and provide guidelines covering the amount of bond stock agents may ordinarily requisition and maintain.

§ 317.10 Reservation.

The Secretary of the Treasury may at any time, or from time to time, supplement or amend the terms of these regulations.

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Tuesday
December 18, 1979

Part VII

Federal Emergency Management Agency

Standards of Conduct

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FEDERAL EMERGENCY MANAGEMENT AGENCY

44 CFR Part 3

[Docket No. FEMA-Gen-3]

Standards of Conduct

AGENCY: Federal Emergency Management Agency.

ACTION: Final rule.

SUMMARY: On August 27, 1979, the Federal Emergency Management Agency (FEMA) published its interim regulations prescribing standards of conduct for FEMA employees, special government employees, and former employees (44 FR 50276). A correction document was published on September 28, 1979 (44 FR 55876). While these regulations were made fully effective on August 27, 1979, FEMA did offer an opportunity for public comment on the regulation by October 26, 1979. This date has now passed, and this regulation should now be given final form.

EFFECTIVE DATE: December 18, 1979.

ADDRESS: Federal Emergency Management Agency, Washington, DC 20472.

FOR FURTHER INFORMATION CONTACT: William L. Harding, Office of General Counsel (202) 634–4113.

SUPPLEMENTARY INFORMATION: These regulations have been reviewed and approved by the Office of Government Ethics. Only one comment was received and that from an employee. His queries have been resolved. For reasons of convenience, these regulations are being republished in their entirety. In doing this a few errors have been corrected and editorial changes made, but no changes of substance made. For this reason there is no purpose served by a 30-day delay of the effective date and the regulation is made effective immediately.

Accordingly, Part 3 of Chapter I of Title 44, Code of Federal Regulations, is revised to read as follows:

PART 3—STANDARDS OF CONDUCT

Subpart A—General

Sec.
3.1 Purpose.
3.2 Applicability and scope.
3.3 Definitions.
3.4 Notification to employees and special Government employees.
3.5 Interpretation and advisory service.
3.6 Employee responsibilities.
3.7 Sanction for violation.
3.8 Disqualification procedure.

Subpart B—Conduct and Responsibilities of Employees

Sec.
3.10 Administrative extension of statutory limitations.
3.11 Proscribed actions.
3.12 Financial interests.
3.13 Outside employment and other activities.
3.14 Gifts and gratuities.
3.15 Use of Government property, vehicles, and communications systems.
3.16 Misuse of information.
3.17 Gambling, betting and lotteries.
3.18 Indebtedness.
3.19 General conduct prejudicial to the Government.
3.20 Intermediaries and product recommendation.
3.21 Membership in organizations.
3.22 Use of intoxicants.
3.23 False statements.
3.24 Care of official records and documents.
3.25 Disclosure of information about an individual.

Subpart C—Conduct and Responsibilities of Special Government Employees

3.40 Applicability of Subpart B.
3.41 Use of Government employment.
3.42 Use of inside information.
3.43 Coercion.
3.44 Gifts, entertainment, and favors.
3.45 Applicability of other provisions.

Subpart D—Disclosure of Financial Interests

General Provisions

3.50 General.
3.51 Information not required.
3.52 Effect of employees' statements on other requirements.
3.53–3.59 [Reserved]

Financial Disclosure Under Ethics in Government Act of 1978

3.60 Who must file.
3.61 Form used to file.
3.62 When to file.
3.63 How and where to file.
3.64 Supervisory review of report.
3.65 Action on report.
3.66 Public release.
3.67–3.79 [Reserved]

Financial Disclosure Under Executive Order 11222 and 5 CFR Part 735

3.80 Who must file.
3.81 Form used to file.
3.82 When to file.
3.83 How and where to file.
3.84 Review of report.
3.85 Action on report.
3.86 Confidentiality of employees' statements.
3.87 Employees' complaint on filing requirement.
3.88 Employees not required to submit statements.
3.89 Information not known to employees.

Subpart E—Post Employment Conflicts of Interest [Reserved]

Appendix A Statutes Governing Conduct of Federal Employees

Authority: Title II of Ethics in Government Act of 1978, Pub. L. 95–521, 92 Stat. 1838 (5 U.S.C. app); 5 CFR Parts 735, 737; EO 11222, 30 FR 6469, 3 CFR, 1964–1965 Comp., p. 306.

Subpart A—General

§ 3.1 Purpose.

(a) The purpose of this part is to set forth Federal Emergency Management Agency (FEMA) policy and procedure relating to employee responsibilities and conduct.

(b) 5 CFR 735.101 states in part: "The maintenance of unusually high standards of honesty, integrity, impartiality, and conduct by Government employees and special Government employees is essential to assure the proper performance of the Government business and the maintenance of confidence by citizens in their Government. The avoidance of misconduct and conflicts of interest on the part of Government employees and special Government employees through informed judgment is indispensable to the maintenance of these standards".

(c) This part effectuates the requirements in Subpart A of 5 CFR Part 735 that FEMA issue regulations covering FEMA employees and special Government employees which (1) implement Executive Order 11222 of May 8, 1965, and 5 CFR Part 735 and (2) prescribe additional standards of ethical and other conduct appropriate to the particular functions of FEMA. This Part also effectuates the requirements placed on FEMA by the Ethics in Government Act of 1978, and implementing regulations of OPM.

§ 3.2 Applicability and scope.

(a) This part applies to all persons included within the terms "employee" and "special government employee" as defined in § 3.3. This part also applies to all former employees and special government employees of FEMA.

(b) This part prescribes general standards of conduct for FEMA employees. It is not, however, inclusive. Other FEMA regulations, instructions and issuances may include standards of ethical behavior. Employees must consult these. Among these instructions are those related to (1) the Freedom of Information Act, (2) The FEMA Employee Security Program, and (3) The FEMA Acquisition Process.

(c) This part does not apply unless there is specific provision to that effect to standards of ethical conduct required by law or regulation of FEMA contractors or grantees, nor does it apply to organizational conflicts of interest.

§ 3.3 Definitions.

For purposes of this part:

(a) "FEMA" means the Federal Emergency Management Agency.

(b) "Director" means the Director, FEMA.

(c) "Employee" includes every employee of FEMA, Headquarters and field, but does not include a special Government employee nor does it include a member of the Executive Reserve except during such time as the member is serving as an employee of FEMA.

(d) "Special Government employee" includes an employee of FEMA who is retained, designated, appointed, or employed to perform, with or without compensation, and for not to exceed 130 days during any period of 365 consecutive days, temporary duty on either a full time or intermittent basis. See 18 U.S.C. 202.

(e) "Person" includes an individual, corporation, company, association, firm, partnership, society, joint stock company, or other organization or institution.

(f) "Ethics Counselor" means the FEMA officer designated to administer for FEMA Titles II and V of the Ethics in Government Act of 1978 (Pub. L. 95–521), and it also means the FEMA Official who serves as the Agency's designee to OGE on matters covered by Parts 735 and 737 of Title 5 of the Code of Federal Regulations and who coordinates and directs the FEMA ethics counseling service. In FEMA this is the General Counsel.

(g) "OGE" means the Office of Government Ethics in the Office of Personnel Management (OPM).

(h) "Head of Unit" as used herein includes Deputy Director, Associate Directors, Regional Directors, Federal Insurance Administrator, and the United States Fire Administrator. For purposes of this part, the Deputy Director is "Head of unit" for any organizational component of FEMA not included in the above listing of final publication. During the absence of, or a vacancy in the Office of the Deputy Director, the Director may name another official in FEMA to exercise this function.

§ 3.4 Notification to employees and special Government employees.

(a) The provisions of this part as it is revised, shall be brought to the attention of, and made available to, each employee and special Government employee by furnishing a copy at the time of final publication. The provisions of this part shall further be brought to the attention of such employees at least annually thereafter.

(b) The provisions of this part shall be brought to the attention of each new employee and new special Government employee by furnishing a copy at the time of entrance of duty, and by such other methods of information and education as the Director may prescribe.

§ 3.5 Interpretation and advisory service.

(a) The Ethics Counselor serves as FEMA's designee to OGE on matters covered by this Part and by 5 CFR Parts 735 and 737. The Ethics Counselor is responsible for coordinating FEMA's counseling services and for assuring that counseling and interpretations on questions of conflicts of interest and other matters covered by this part are available.

(b) Such deputy counselors as may be required shall be designated by the General Counsel from among the staff of the Office of the General Counsel to give authoritative advice and guidance to current, former and prospective employees and special Government employees who seek advice and guidance on questions of conflicts of interest and on other matters covered by this Part.

(c) To assist in avoiding situations of noncompliance the Ethics Counselor shall, in accordance with section 206(b)(7) of the Ethics in Government Act of 1978 (Pub. L. 95–521), maintain a list of those circumstances or situations which have resulted or may result in noncompliance with laws or regulations concerning conflicts of interest and shall furnish a published list to employees subject to Title II of the Ethics in Government Act of 1978.

(d) The Ethics Counselor shall provide advice promptly to former FEMA employees and special Government employees who make inquiry on any matter arising under the post employment conflict of interest regulations of OPM (5 CFR Part 737) and this Part.

§ 3.6 Employee responsibilities.

(a) Each employee and special Government employee has a positive duty to become acquainted with the numerous statutes relating to the ethical and other conduct of employees and special Government employees of FEMA and of the Government. Appendix A of this Part contains a listing of many of the more important statutory provisions of general applicability. In case of doubt on any question of statutory application to fact situations that may arise, an individual should consult the text of the statutes, Executive Orders or regulations and may consult the Ethics Counselor or Deputy Counselor. These will be made available to the employee by the Ethics Counselor or Deputy Counselor, who have available for review copies of laws, Executive Orders, agency regulations, and pertinent issuances by OPM on this subject.

(b) In any case where any employee or special Government employee, regardless of grade or position, finds that participation in a particular matter or transaction might be considered to involve a direct or indirect financial interest, such individual shall promptly submit a request for disqualification to act in the matter or for other proposed remedial action in writing to the appropriate supervisor. This request will be acted on in accordance with § 3.8.

§ 3.7 Sanction for violation.

A violation of this Part by an employee or special government employee may be cause for appropriate disciplinary action, or remedial action, which may be in addition to any penalty prescribed by law.

§ 3.8 Disqualification procedure.

(a) This section applies whether or not the conflict or apparent conflict of interest appears on any disclosure form and it applies to any employee or special government employee, regardless of grade or position. It applies to a request for disqualification to act made pursuant to paragraph (b) of this section.

(b) All disqualification or remedial action requests are referred to the Ethics Counselor. If the Ethics Counselor reaches an opinion, based on information submitted to him, that an employee or special government employee is not in compliance with applicable laws and regulations, then the Ethics Counselor shall so notify the individual of this opinion. The Ethics Counselor shall act on requests by individuals but is not required to approve the specific remedial action proposed. The individual shall be given a reasonable opportunity for an oral or written response. The Ethics Counselor may also ask for additional information.

(c) The Ethics Counselor shall consider the individual's response, and reach an opinion as to whether or not the individual is in compliance. If the opinion is that the individual is not in compliance with applicable laws and regulations, he shall notify the individual, and after consultation with the individual (if practical) determine and notify the individual of what steps if any, and the date for completion, would be appropriate for assuring compliance with the laws and regulations.

(d) These steps may include:

(1) Divestiture,

(2) Restitution,

(3) The establishment of a blind trust,

(4) Request for an exemption under section 208(b) of Title 18, United States Code, or

(5) Voluntary request for transfer, reassignment, disqualification for a particular assignment, or limitation of duties.

(e) If any of the remedial actions indicated in paragraph (d)(5) of this section is contemplated, appropriate personnel officers of FEMA shall be notified and shall participate in the determination of the action proposed to be effected.

(f) If steps for assuring compliance with applicable laws and regulations are not taken by the date set under paragraph (c) the matter shall be referred to the Director.

Subpart B—Conduct and Responsibilities of Employees

§ 3.10 Administrative extension of statutory limitations.

The provisions of the statutes identified in this Part, including those in Appendix A, which relate to the ethical and other conduct of Federal employees are adopted and will be enforced as administrative regulations, violations of which may, in appropriate cases be the basis for disciplinary action, including removal. The fact that a statute which may relate to employee conduct is not identified in this Part does not mean that it may not be the basis for disciplinary action against an employee.

§ 3.11 Proscribed actions.

An employee shall avoid any action whether or not specifically prohibited by this Subpart which might result in, or create the appearance of:

(a) Using public office for private gain;

(b) Giving preferential treatment to any person;

(c) Impeding Government efficiency or economy;

(d) Losing complete independence or impartiality;

(e) Making a Government decision outside official channels;

(f) Affecting adversely the confidence of the public in the integrity of the Government;

(g) Discriminating contrary to any law, rule or regulation, against any other employee, or applicant for employment, on the grounds of race, color, religion, national origin, sex, age, handicapping condition, marital status, or political affiliation.

(h) Excluding contrary to any law, rule or regulation, any person from participating in, or denying to any person the benefits, of, any program or activity administered by FEMA on the grounds of race, color, religion, national origin handicapping condition, age, sex, marital status or political affiliation;

(i) Knowingly participating, while conducting official business, in or attending any segregated meetings, or meetings held in segregated facilities, from which persons are excluded because of race, color, religion, sex or national origin, etc.

§ 3.12 Financial interests.

(a) An employee shall not:

(1) Have a direct or indirect financial interest that conflicts substantially, or appears to conflict substantially, with the employee's Government duties and responsibilities as a Federal Employee; or

(2) Engage in, directly or indirectly, a financial transaction as a result of, or primarily relying on, information obtained through Government employment.

(b) No employee shall participate in any manner, on behalf of the United States, in the negotiation of contracts, the making of loans, and grants, the granting of subsidies, the fixing of rates, or the issuance of valuable permits or certificates, or in any investigation or prosecution, or in the transaction of any other official business which affects chiefly a person:

(1) By whom the individual has been employed or with whom the individual has had any economic interest within the preceding two years, or

(2) With whom the individual has any economic interest or any pending negotiations concerning a prospective economic interest, except with express prior authorization in writing by the Director.

(c) Contracts shall not knowingly be entered into between the Government and employees of the Government or business concerns or organizations which are substantially owned or controlled by Government employees, except for the most compelling reasons, such as cases where the needs of the Government cannot reasonably be otherwise supplied.

(d) This section does not preclude an employee from having a financial interest or engaging in financial transactions to the same extent as a private citizen not employed by the Government so long as it is not prohibited by law, Executive Order, OPM regulation (5 CFR Parts 735 and 737) or the regulation in this Part.

(e)(1) The financial (or economic) interests described below are, unless otherwise determined by the Ethics Counselor in specific cases, too remote or too inconsequential to affect the integrity of an employee's services, and are thereby exempted from the prohibitions of 18 U.S.C. 208(a), and the holding of such an interest does not exclude such employee's participation in the transaction of any official business involving such financial or economic interest:

(i) Deposits in a bank, savings and loan association, building association, credit union or similar financial institution; or policies held with an insurance company;

(ii) Any holding in a widely held mutual fund, or regulated investment company which does not specialize in any particular industry;

(iii) Continued participation in a bona fide pension, retirement, group life, health, or accident insurance plan or other employee welfare or benefit plan that is maintained by a business or nonprofit organization by which the employee was formerly employed, to the extent that the employee's rights in the plan are vested and require no additional services by the employee or further payments to the plan by the organization with respect to the services of the employee. To the extent that such plans are profit sharing or stock bonus plans, this exemption shall not apply.

(2) These exempted financial interests should, however, be reported by employees on disclosure forms to the extent prescribed in Subpart D of this Part.

(3) For purposes of this Part unless otherwise provided in law, regulation, or on any form requesting disclosure, the interest of a spouse, dependent child, or other member of an employee's immediate household is considered to be an interest of the employee. For the purpose of this section, "member of an employee's immediate household" means those relations who are residents of the employee's household.

(f) Paragraph (b) of this section does not apply if the officer or employee first advises the Ethics Counselor in writing of the nature and circumstances of the matter, makes full disclosure of the financial interest, and receives in advance a written determination by such Ethics Counselor or Deputy Counselor that such interest is not so substantial as to be deemed likely to affect the integrity of the services which the Government may expect from such employee.

(g) The provisions of this section do not limit or add to the provisions of any disclosure requirements under Subpart D of this Part.

§ 3.13 Outside employment and other activities.

(a) An employee shall not engage in outside employment or other outside activity not compatible with the full and proper discharge of the duties and responsibilities of his or her Government employment, and which might result in a conflict or apparent conflict between the private interests of the employee and the official Government duties and responsibilities. Incompatible activities include but are not limited to:

(1) Acceptance of a fee, compensation, gift, payment of expense, or any other thing of monetary value in circumstances where acceptance may result in, or create the appearance of, conflicts of interest;

(2) Outside employment which tends to impair the mental or physical capacity to perform Government duties and responsibilities in an acceptable manner;

(3) Outside activities that may be construed by the public to be the official acts of FEMA;

(4) Activities that establish relationships or property interests that may result in a conflict between one's private interests and official duties;

(b) Full-time employees and part-time employees with a regularly scheduled tour of duly must obtain the prior approval of the Ethics Counselor or Deputy Counselor before engaging in outside employment in the same professional field as that of the individual's official position.

(c) Although teaching, lecturing, and writing are outside employment, employees are encouraged to engage in such activities so long as they are not prohibited by law, Executive Order, OPM regulations or this Part.

(d) An employee shall not receive any salary or anything of monetary value from a private source as compensation for services to the Government.

(e) Any full-time employee mentioned in § 3.60 of this Part, whose appointment is required to be made by and with the advice and consent of the Senate, may not have earned income in any calendar year attributable to such year in excess of 15% of his or her salary.

(f) No employee, including the Director, shall receive outside compensation or anything of monetary value for any consultation, lecture, discussion, writing, or appearance, the subject matter of which is devoted substantially to the responsibilities, programs, or operations of FEMA, or which draws substantially on official data or ideas which have not become part of the body of public information.

(g) The use of an employee's name and title in connection with articles for publication which bear upon work in FEMA is permissible only if approval is obtained from the Ethics Counselor or Deputy Counselor.

(h) This section does not preclude an employee from:

(1) Participation in the activities of National or State political parties not proscribed by law.

(2) Participation in the affairs of or acceptance of an award for a meritorious public contribution or achievement given by a charitable, religious, professional, social, fraternal, nonprofit educational and recreational, public service, or civic organization.

§ 3.14 Gifts and gratuities.

(a) Except as otherwise provided in this section, an employee shall not solicit or accept, directly or indirectly, any gift, gratuity, favor, entertainment, loan, or any other thing of monetary value, from a person who:

(1) Has, or is seeking to obtain, contractual or other business or financial relations with FEMA;

(2) Conducts operations or activities that are regulated by FEMA; or

(3) Has interests that may be substantially affected by the performance or nonperformance of the employee's official duty.

(b) The prohibitions of paragraph (a) of this section do not apply in the following cases:

(1) Obvious family or personal relationship, such as those between the parents, children, or spouse of the employee and the employee, when the circumstances make it clear that it is those relationships rather than the business of the persons concerned which are the motivating factors;

(2) Acceptance of food and refreshments of nominal value on infrequent occasions in the ordinary course of a luncheon or dinner meeting or other meeting or on an inspection tour where an employee may properly be in attendance;

(3) Acceptance of loans from banks or other financial institutions on customary terms to finance proper and usual activities of employees, such as home mortgage loans; and

(4) Acceptance of unsolicited advertising or promotional materials, such as pens, pencils, note pads, calendars, and other items of nominal intrinsic value.

(5) Acceptance of a gift, gratuity, favor, entertainment, loan, payment of expenses, fees, compensation, or other thing of monetary value when such acceptance is determined in writing by the Director, to be necessary and appropriate in view of the work FEMA and the duties and responsibilities of the employee. A copy of each such determination shall be sent to the Ethics Counselor.

(c) An employee shall not solicit a contribution from another employee for a gift to an official superior, make a donation as a gift to an official superior, or accept a gift from an employee receiving less pay than himself (5 U.S.C. 7351). However, this paragraph does not prohibit a voluntary gift of nominal value or donation in a nominal amount made on a special occasion such as marriage, illness or retirement.

(d) An employee shall not accept a gift, present, decoration, or other thing from a foreign government unless authorized by Congress as provided by the Constitution and in 5 U.S.C. 7342.

(e) Neither this section nor § 3.13 precludes an employee from receipt of bona fide reimbursement, unless prohibited by law, for actual expenses for travel and such other necessary subsistence as is compatible with this part for which no Government payment or reimbursement is made. However, this paragraph does not allow an employee to be reimbursed, or payment to be made on his behalf, for excessive personal living expenses, gifts, entertainment, or other personal benefits, nor does it allow an employee to be reimbursed by a person for travel on official business under FEMA orders when reimbursement is proscribed by decisions of the Comptroller General for such reasons as reimbursement by the person to the Agency directly.

§ 3.15 Use of Government property, vehicles and communications systems.

(a) An employee shall not directly or indirectly use, or allow the use of, Government property of any kind, including property leased to the Government, for other than officially approved activities.

(b) Each employee shall protect and conserve Government property, including equipment, supplies, and other property entrusted or issued to the employee.

(c) An employee shall not use, or authorize the use of, Government owned or leased motor vehicles or aircraft for other than official purposes (31 U.S.C. 638a(c)).

(d) An employee shall not use the Federal Telecommunications System or similar system, or commercial telephone facilities for official long-distance calls unless specifically authorized to do so. Use of these facilities for purposes other than the conduct of official business is also prohibited.

§ 3.16 Misuse of information.

(a) *Use of inside information.* For the purpose of furthering a private interest, an employee shall not, except as provided in § 3.13 directly, or indirectly

use, or allow the use of, information which has been or has the appearance of having been obtained through or in connection with Government employment and which has not been made available to the general public.

(b) *Coercion.* An employee shall not use Government employment to coerce, or give the appearance of coercing, a person to provide financial benefit to self or another person, particularly one with whom the employee has family, business, or financial ties.

(c) *Disclosure of restricted information.* Except as authorized by law, or FEMA regulation, including that related to the Freedom of Information Act, no employee shall divulge restricted commercial or economic information, or restricted information concerning the personnel or operations including procurement actions of any Government agency, or release any such information in advance of the time prescribed for its authorized release.

§ 3.17 Gambling, betting and lotteries.

An employee shall not, except as otherwise lawfully authorized, participate, while on Government-owned or leased property or while on duty for the Government, in any gambling activity, including the operation of a gambling device; in conducting a lottery or pool; in a game for money or property; or in selling or purchasing a numbers slip or ticket.

§ 3.18 Indebtedness.

(a) An employee shall pay each just financial obligation in a proper and timely manner, especially one imposed by law such as Federal, State, or local taxes. For purposes of this section "a just financial obligation" means one acknowledged by the employee or reduced to judgment by a court, and "in a proper and timely manner" means in a manner which, in the view of FEMA, does not under the circumstances, reflect adversely on the Government as employer.

(b) In the event of dispute between an employee and an alleged creditor, this section does not require FEMA to determine the validity or amount of the disputed debt.

§ 3.19 General conduct prejudicial to the Government.

(a) Officers and employees of the Federal Government are servants of the people. Because of this, their conduct must, in many instances, be subject to more restrictions and to higher standards than may be the case in certain private employments. They are expected to conduct themselves in a manner which will reflect favorably upon their employer. Although the Government is not particularly interested in the private lives of its employees, it does expect them to be honest, reliable, trustworthy, and of good character and reputation. They are expected to be loyal to the Government, and to the department or agency in which they are employed.

(b) An employee shall not engage in criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct, or other conduct prejudicial to the Government.

(c) Each employee shall act in a manner that facilitates the effective accomplishment of the work of FEMA, observing at all times the requirements of courtesy, consideration, and promptness in dealing with the public and with persons or organizations having business with FEMA.

§ 3.20 Intermediaries and product recommendation.

Except as authorized in connection with the performance of official duties, no employee shall recommend or suggest the use of any particular or identified nongovernmental intermediary to deal with FEMA nor shall an employee recommend any device or product tested by or for, or used by FEMA, or for which FEMA provides financial assistance.

§ 3.21 Membership in organizations.

(a) An employee may not, in his or her official capacity as an employee of FEMA, serve as a member of a non-Federal or private organization except where statutory authority exists, or where the Director has determined, in writing, that such service would be beneficial to FEMA and consistent with such employee's service as a FEMA employee.

(b) The foregoing is subject to the following. An employee may, and is encouraged to serve in an individual capacity as a member of a non-Federal or private organization, particularly those engaged in civic or community affairs on a non-political, non-profit basis, provided that:

(1) Membership does not violate any restriction, law, or regulation, including this Part, and

(2) The employee's official title or organization connection is not shown on any listing or presented in any activity of the organization in such a manner as to imply that the employee is acting in an official capacity.

(c) An employee may be designated in writing to serve as a liaison representative of FEMA to a non-Federal or private organization when the Director, an Associate Director, or a Regional Director, as appropriate, has determined that such service would be beneficial to FEMA and provided that:

(1) The activity relates to the work of FEMA;

(2) The employee does not participate by vote in the policy determinations of the organization;

(3) FEMA is in no way bound by any vote or action taken by the organization.

§ 3.22 Use of intoxicants.

An employee shall not use intoxicants habitually, to excess (5 U.S.C. 7352). Intoxicants shall not be consumed on Government-owned or leased premises. An employee found using, or under the influence of, intoxicants while at work will be subject to disciplinary action.

§ 3.23 False statements.

An employee shall not, knowingly and willfully, conceal or cover up a material fact, or make any false, or fictitious statement in connection with any official matter, document, or record (18 U.S.C. 1001, 2073).

§ 3.24 Care of official records and documents.

An employee shall not, willfully and unlawfully, conceal, remove, mutilate, falsify, or destroy any Government document or record (18 U.S.C. 285, 2071).

§ 3.25 Disclosure of information about an individual.

(a) Every employee who is involved in the design, development, operation, or maintenance of a system of records or who has access to a system of records shall familiarize himself with the requirements of the Privacy Act of 1974 (5 U.S.C. 552a) and FEMA regulation implementation of the Privacy Act of 1974 (44 CFR Part 6) and FEMA directives issued thereunder and apply these requirements to all systems of records.

(b) No officer or employee shall disclose any record which is contained in a system of records by any means of communication to any person or to another agency, except pursuant to a written request by, or with the prior written consent of the individual to whom the record pertains, unless the disclosure is to a recipient specified in paragraph (c) of this section. The term "record", for purposes of this section, means any item, collection, or grouping of information about an individual that is maintained by an agency, including but not limited to education, financial transactions, medical history, and criminal or employment history and that contains name or the identifying number, symbol, or other identifying particular assigned to the individual, such as a fingerprint, voice-print, or

photograph. The term "system of records" means a group of any records under the control of FEMA from which information is retrieved by the name of the individual or by some identifying number, symbol, or other identifying particular assigned to the individual. The term "routine use" means, with respect to the disclosure of a record, the use of that record for a purpose which is compatible with the purpose for which it was collected. The term "individual" means a citizen of the United States or an alien lawfully admitted for permanent residence. The term "agency" is defined in 5 U.S.C. 552(e).

(c) An employee may disclose any record which is contained in a system of records without a written request by and without the prior written consent of the individual to whom the record pertains if the disclosure is:

(1) To those employees of the agency which maintains the record who have a need for the record in the performance of their duties.

(2) Pursuant to section 552 of Title 5 U.S.C. (Freedom of Information Act);

(3) For a routine use as defined in section (a)(7) of the Privacy Act of 1974 (described in paragraph (b) of this section);

(4) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity pursuant to the provisions of Title 13 U.S.C.;

(5) To a recipient who has provided the agency with advance adequate written assurance that the record will be used solely as a statistical research or reporting record and that the record is to be transferred in a form that is not individually identifiable;

(6) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or his designee to determine whether the record has such value;

(7) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law and if the head of the agency or instrumentality has made a written request to the agency which maintains the record specifying the particular portion desired and the law enforcement activity for which the record is sought;

(8) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual if upon such disclosure notification is transmitted to the last known address of the individual;

(9) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress, or a subcommittee of any such joint committee;

(10) To the Comptroller General or any authorized representatives, in the course to the performances of the duties of the General Accounting Office; or

(11) Pursuant to the order of a court of competent jurisdiction.

(d) No employee shall maintain a record describing how any individual exercises rights guaranteed by the First Amendment unless expressly authorized by statute or by the individual about whom the record is maintained or unless pertinent to and within the scope of an authorized law enforcement activity.

(e) No employee shall sell or rent an individual's name and address unless such action is specifically authorized by law.

(f) An employee is subject to criminal penalties and administrative sanctions who by virtue of such employment or offical position has possession of or access to agency records which contain idividually identifiable information the disclosure of which is prohibited by paragraph (a) of this section or by any other rules, regulations or directives of FEMA established under the Privacy Act of 1974, and who:

(1) Knowing that disclosure of the specific material is so prohibited, willfully discloses the material in any manner to any person or agency not entitled to receive it, or

(2) Willfully maintains a system of records without meeting the notice requirements of the Privacy Act of 1974, or

(3) Knowingly and willfully requests or obtains any record concerning an individual from an agency under false pretenses.

(g) An employee subjects self to administrative sanctions, and subjects FEMA to civil penalties who:

(1) Makes a determination not to amend an individual's record in accordance with the Privacy Act of 1974; or

(2) Refuses to comply with an individual's request to gain access to review and to obtain a copy of any information pertaining to him; or

(3) Fails to maintain any record concerning any individual with such accuracy, relevance, timeliness, and completeness as is necessary to ensure fairness in any determination relating to the qualifications, character, right, or opportunities of or benefits to the individual that may be made on the basis of such record and consequently a determination is made which is adverse to the individual; or

(iv) Fails to comply with any provision of the Privacy Act of 1974 or any FEMA regulation or directive implementing it (5 U.S.C. 552a(g)(4)).

Subpart C—Conduct and Responsibilities of Special Government Employees

§ 3.40 Applicability of Subpart B.

Except as specifically provided in § 3.41–§ 3.45. Each special Government employee is subject to the provisions of Subpart B as if such individual were an employee, with the following exceptions:

(a) § 3.13 Outside employment and other outside activities;

(b) § 3.14 Gifts and gratuities;

(c) § 3.21 Membership in organizations.

§ 3.41 Use of Government employment.

A special Government employee shall not use FEMA employment for a purpose that is, or gives the appearance of being, motivated by the desire for private gain for the individual or another person, particularly one with whom the employee has family, business, or financial ties.

§ 3.42 Use of inside information.

(a) A special Government employee shall not use information obtained as a result of FEMA employment which has not become part of the body of public information for private gain for the employee or another person either by direction on the employee's part or by counsel, recommendation, or suggestion to another person, particularly one with whom the employee has family, business, or financial ties.

(b) Special Government employees may teach, lecture, or write in a manner consistent with the provisions of § 3.13.

§ 3.43 Coercion.

A special Government employee shall not use Government employment to coerce, or give the appearance of coercing, a person to provide financial benefit to the employee or another person, particularly one with whom the employee has family, business, or financial ties.

§ 3.44 Gifts, entertainment and favors.

(a) Except as provided in paragraph (b) of this section, a special Government employee, while so employed or in connection with employment, shall not receive or solicit from a person having business with FEMA anything of monetary value as a gift, gratuity, loan,

entertainment, or favor for the employee or another person particularly one with whom the employee has family, business, or financial ties.

(b) The exceptions or § 3.14, which are applicable to employees, are also applicable to special Government employees.

§ 3.45 Applicability of other provisions.

(a) Each special Government employee shall acquaint himself with each statute, Executive Order, regulation, or similar provision listed in Appendix A to this part.

(b) A special Government emoployee engaged on irregular or occasional basis is bound by the political activity restrictions or the Hatch Act cited in Appendix A only while in an active duty status and for the entire 24 hours of any day during which the special government employee is actually employed.

Subpart D—Disclosure of Financial Interests

General Provisions

§ 3.50 General.

(a) Title II of the Ethics in Government Act of 1978 (Pub. L. 95–521), which became effective January 1, 1979, requires that certain officers and employees of the executive branch make specified financial disclosures in accordance with procedures for filing review and public availability established by the Office of Personnel Management.

(b) Section 402 of Executive Order 11222 of May 8, 1965 authorizes the Office of Personnel Management to prescribe regulations requiring submission by certain officers and employees of the executive branch of statements of employment and financial interest. These are contained in subpart D of 5 CFR Part 735.

(c) This Subpart D describes for FEMA, the procedures required to implement the laws, Executive orders, and Office of Personnel Management Regulations concerning disclosure of financial and employment interests.

(d) An individual required to file a disclosure statement by virtue of the Ethics in Government Act of 1978 need not file a disclosure statement required by virtue of E.O. 11222 and Subpart D of 5 CFR Part 735.

§ 3.51 Information not required.

Subpart D of this part does not require an employee to report information relating to a connection with, or interest in, a professional society or a charitable, religious, social, fraternal, recreational, public service, civic, or political organization or a similar organization not conducted as a business enterprise. For the purpose of this section, educational and other institutions doing research and development or related work involving grants of money from or contracts with the Government are deemed "business enterprises" and are required to be included in disclosure statements.

§ 3.52 Effect of employees' statements on other requirements.

The statements and supplementary statements required of employees pursuant to this part are in addition to, and not in substitution for, or in derogation of, any similar requirement imposed by law, order, or regulation. The submission of a statement or supplementary statement by an employee does not permit the employee or any other person to participate in a matter in which the employee's or the other person's participation is prohibited by law, order, or regulation, including this Part.

§ 3.53–§ 3.59 [Reserved]

Financial Disclosure Under Ethics in Government Act of 1978

§ 3.60 Who must file.

The following officials of FEMA, if they have served 61 or more days during the preceding calendar year:

(a) Officers and employees (including special Government employees, as defined in 18 U.S.C. 202) whose positions are classified at GS–16 or above of the General Schedule, or whose basic rate of pay under other pay schedules is equal to or greater than the minimum rate of basic pay for GS–16. This includes all positions in the Senior Executive Service;

(b) Officers or employees in any other position determined by the Director of the Office of Government Ethics to be of equal classification to GS–16;

(c) Employees in the excepted service in positions which are of a confidential or policy-making character unless their positions have been excluded by regulations issued by the Director of the Office of Government Ethics (see 5 CFR 735.503).

(d) The Ethics Counselor.

§ 3.61 Form used to file.

The disclosure statement which must be used is either Standard Form (SF) 278, or Standard Form 278A (used for appointees confirmed by the Senate). "Financial Disclosure Statement for Executive Branch Personnel." Copies are available from the Ethics Counselor.

Hereafter the regulation uses the term SF 278 to describe both forms.

§ 3.62 When to file.

No later than May 14 annually, or 30 days after the individual assumes a position subject to the requirement in § 3.60 of this part unless the individual has within 30 days prior to assuming the position, left another position subject to the requirement. In the event of termination of employment, if the individual has not in the interim accepted another position subject to the requirement, report must be filed no later than the 30th day after termination, covering:

(a) The preceding calendar year if the annual May 15 report has not been filed, and

(b) The portion of the present calendar year up to the date of termination.

§ 3.63 How and where to file.

(a) The SF 278, with a copy of the employee's position description, shall be submitted to the Ethics Counselor (General Counsel), who shall note on the report the date it is received. The Ethics Counselor will forward the report to the Head of Unit under whom the individual serves for review.

(b) The Forms SF 278 of heads of units shall be submitted for review to the Deputy Director. The Deputy Director's Form SF 278 will be submitted to the Director for review.

(c) Special government employees who were employed for more than 60 days during CY 1978 will be required to file an annual report (SF 278) with processing of their forms to be accomplished in the same manner prescribed in paragraph (a) of this section.

§ 3.64 Supervisory review of report.

Upon receipt of an SF 278 the head of until will consider the reported financial interests as they relate to the individual's duties, and make recommendations. The Director or head of unit then will return the form with attachments, to the Ethics Counselor for review. The review process shall be completed within 60 days after the date of filing.

§ 3.65 Action on report.

(a) If, after review, the Ethics Counselor or Deputy Counselor is of the opinion that the individual making the report is in compliance with applicable law and regulation, he or she shall state such opinion on the report, and sign same. If additional information is required, the involved individual shall be notified as to what this information is and as to when it must be submitted.

(b) If the Ethics Counselor or Deputy Counselor is of the opinion, on the basis of information submitted that the individual is not in compliance with applicable laws and regulations, the invididual shall be notified and the procedure specified in § 3.8 followed. Notwithstanding § 3.8 if steps for assuring compliance with applicable laws and regulations are not taken by the date set under § 3.8(c) by an individual appointment which requires the advice and consent of the Senate, the matter shall be referred to the President for appropriate action.

§ 3.66 Public release.

(a) No later than 15 days after any report (including SF 278) is received by FEMA, the Ethics Counselor shall permit inspection of, or furnish a copy of, such report including the position description to any person who requests inspection or a copy. The report shall be retained for six years after receipt. No fee shall be charged for furnishing a copy unless the cost of reproduction exceeds $10 in which case the fee shall be the same as those established under the FEMA regulations implementing the Freedom of Information Act (Part 5 of this Title). The Ethics Counselor shall maintain an accurate accounting of disclosures of reports in accordance with the requirements of Part 6 of this title, which relates to implementation of the Privacy Act of 1974. These reports are part of a system of records—OPM—Govt 4 established by the Office of Personnel Management.

(b) Notwithstanding paragraph (a) a report may not be made available under this section to any person, except upon a written application by such person stating

(1) The person's name, occupation and address,

(2) The name and address of any other person on whose behalf the inspection or copy is requested, and

(3) That such person is aware of the prohibitions on the obtaining or use of the report.

These applications shall be made available to the public throughout the period during which the report is made available to the public.

§ 3.67–§ 3.79 [Reserved]

Financial Disclosure Under Executive Order 11222 and 5 CFR Part 735

§ 3.80 Who must file.

(a) Except as provided in § 3.88, the following categories of employees shall submit statements of employment and financial interest:

(1) Employees classified as GS–13 or above who are in a position identified as a position the incumbent of which is responsible for making a Government decision or taking a Government action in regard to:

(i) Contracting or procurement;

(ii) Administering or monitoring grants or subsidies;

(iii) Regulating or auditing private or other non-Federal enterprise; or

(iv) Other activities in which the decision or action has an economic impact on the interests of any non-Federal enterprise.

(2) Employees classified at GS–13 or above who are in a position which the Director has determined has duties and responsibilities which require the incumbent to report employment and financial interests in order to avoid involvement in a possible conflicts-of-interest situation and to carry out the purpose of law, Executive order, and this part.

(3) Employees classified below GS–13 who are in a position which otherwise meet the criteria in paragraph (a) or (b) of this section, and which position has been approved by the OPM as an exception that is essential to protect the integrity of the Government and to avoid employee involvement in a possible conflict-of-interest situation.

(B) The specific positions described in subsection (a) of this section shall be identified in a FEMA Directive. A copy of this directive shall be furnished to each incumbent of a position subject to the requirement of § 3.80 of this part, and shall be made available to any person upon request. The directive shall be kept current and reviewed at least annually. Designation of a position is effective upon actual notification to the incumbent, or upon inclusion of a statement in the official job description that the position is subject to requirements of this section.

§ 3.81 Form used to file.

The disclosure statement which must be used by the employees named according to § 3.80 is FEMA Form 11–1.

§ 3.82 When to file.

An employee required to submit a FEMA Form 11–1 pursuant to § 3.80 shall submit that statement not later than:

(a) Ninety days after the effective date of this part if employed on or before that effective date; or

(b) Thirty days after entrance on duty, but not earlier than 90 days after the effective date, if appointed after that effective date.

§ 3.83 How and where to file.

(a) The FEMA Form 11–1 shall be submitted to the Ethics Counselor (General Counsel) for review and custody.

(b) Changes in, or additions to, the information contained in the Form 11–1 shall be reported to the Ethics Counselor in a supplementary statement of the financial interests or employment as of September 30 each year. This supplementary statement is due by October 31. If no changes or additions occur, a negative report is required.

(c) Notwithstanding the filing of the annual report required by this section, each employee shall at all times avoid acquiring a financial interest or engaging in outside employment or other activity that could result, or taking an action that would result, in a violation of the conflict-of-interest provisions of Section 208 of Title 18, United States Code, or this Part.

§ 3.84 Review of report.

The FEMA Form 11–1 is reviewed by the Ethics Counselor, or Deputy Counselor, who shall obtain copies of the relevant job description. The counselors shall show the forms to supervisors, or other employees of FEMA only to the extent required to determine if a conflict of interest exists.

§ 3.85 Action on report.

When a statement submitted pursuant to this part or information from other sources indicates a conflict between the interests of an employee and the performance of the employee's services for the government, the employee concerned shall be provided an opportuntiy to explain the conflict or appearance of conflict in accordance with the procedure set out in § 3.8.

§ 3.86 Confidentiality of employees' statements.

Unlike the SF 278, each FEMA Form 11–1 and each supplementary statement shall be held in confidence by FEMA. To insure this confidentiality, the OPM regulations provide that:

(a) FEMA shall designate which officials and employees are to review and retain the statements;

(b) Officials and employees designated under paragraph (a) of this section are responsible for maintaining the statements in confidence and shall not allow access to, or allow information to be disclosed from, a statement except to carry out the purpose of this Part; and

(c) FEMA may not disclose information from a statement except as the OPM or the Director may determine for good cause shown.

§ 3.87 Employees' complaint on filing requirement.

Employees have the opportunity for review through the FEMA grievance procedures of a complaint by an

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employee that the position has been improperly included under these regulations as one requiring the submission of a statement of employment and financial interests.

§ 3.88 Employees not required to submit statements.

Employees in positions that meet the criteria in § 3.80 may be excluded from the reporting requirement when the Ethics Counselor determines that:

(a) The duties of a position are such that the likelihood of the incumbent's involvement in a conflict-of-interest situation is remote;

(b) The duties of a position are at such a level of responsibility that the submission of a statement of employment and financial interests is not necessary because of the degree of supervision and review over the incumbent or the inconsequential effect on the integrity of the Government.

§ 3.89 Information not known to employees.

If any information required to be included on a statement or supplementary statement, including holdings placed in trust, is not known to the employee but is know to another person, the employee shall request that other person to submit information in the employee's behalf.

Subpart E—Post Employment Conflicts of Interest [Reserved]

Appendix A—Statutes Governing Conduct of Federal Employees

There are numerous statutes pertaining to the ethical and other conduct of Federal employees. The important ones of general applicability are referred to in this Appendix.

A. Bribery and Graft

.01 Title 18, U.S.C., Section 201, prohibits anyone from bribing or attempting to bribe a public official by corruptly giving, offering, or promising him or any person selected by him, anything of value with intent (a) to influence any official act by him, (b) to influence him to commit or allow any fraud on the United States, or (c) to induce him to do or omit to do any act in violation of his lawful duty. As used in Section 201, "Public officials" is broadly defined to include officers, employees, and other persons carrying on activities for or on behalf of the Government.

.02 Section 201 also prohibits a public official's solicitation or acceptance of, or agreement to take a bribe. In addition, it forbids offers or payments to, and solicitations or receipt by, a public official of anything of value "for or because of" any official act performed or to be performed by him.

.03 Section 201 further prohibits the offering to or the acceptance by a witness of anything of value involving intent to influence his tesimony at a trial, Congressional hearing, or agency proceeding. A similar provision applies to witnesses "for or because of" testimony given or to be given. The provisions summarized in this section do not preclude lawful witness fees, travel and subsistence expenses, or reasonable compensation for expert testimony.

B. Compensation to Officers and Employees in Matters Affecting the Government

.01 Title 18 U.S.C., Section 203, prohibits an officer or employee from receiving compensation for services rendered for others before a Federal department or agency in matters in which the Government is a party or is interested.

.02 Section 203 applies to a special Government employee as follows:

(a) If the special Government employee has served in FEMA more than 60 days during the preceding period of 365 days, Section 203 applies to him only in relation to a particular matter involving a specific party or parties (1) in which he has at any time participated personally and substantially in his governmental capacity, or (2) which is pending in FEMA, or

(b) If the special Government employee has served in FEMA no more than 60 days during the preceding period of 365 days, section 203 applies to him only in relation to a particular matter involving a specific party or parties in which he has at any time participated personally and substantially in his governmental capacity.

.03 Section 203 does not apply to a retired officer of the uniformed services while not on active duty and not otherwise an officer or employee of the United States.

C. Activities of Officers and Employees in Claims Against and Other Matters Affecting the Government

.01 Title 18 U.S.C., Section 205, prohibits an officer or employee, otherwise than in the performance of his official duties from:

(a) Acting as agent or attorney for prosecuting any claim against the United States, or receiving any gratuity, or any share of or interest in any such claim in consideration of assistance in the prosecution of such claims; or

(b) Acting as agent or attorney for anyone before any Government agency, court, or officer in connection with any matter in which the United States is a party or has a direct and substantial interest.

.02 Section 205 applies to a special Government employee as follows:

(a) If the special Government employee has served in FEMA more than 60 days during the preceding period of 365 days, section 205 applies to him only in relation to a particular matter involving a specific party or parties (1) in which he has at any time participated personally and substantially in his governmental capacity, or (2) which is pending in FEMA.

(b) If the special Government employee has served no more than 60 days during the preceding period of 365 days, Section 205 applies to him only in relation to a particular matter involving a specific party or parties in which he has at any time participated personally and substantially in his governmental capacity.

.03 Section 205 does not preclude:

(a) An employee, if not inconsistent with faithful performance of his duties, from acting without compensation as agent or attorney for any person who is the subject of disciplinary, loyalty, or other personnel administration proceedings, in connection with those proceedings; or

(b) An employee from giving testimony under oath or from making statements required to be made under penalty for perjury or contempt.

.04 Sections 203 and 205 do not preclude:

(a) An employee from acting as agent or attorney for his parents, spouse, child, or any person for whom, or for any estate for which he is serving as guardian, executor, administrator, trustee, or other personal fiduciary, except in those matters in which he has participated personally and substantially as a Government employee or which are the subject of his official responsibility, provided the head of the operating unit concerned approves; or

(b) A special Government employee from acting as agent or attorney for another person in the performance of work under a grant by, or a contract with, or for the benefit of the United States provided the Director or designee shall certify in writing that the national interest so requires, and such certification shall be published in the **Federal Register**.

.05 Section 205 does not apply to a retired officer of the uniformed services while not on active duty and not otherwise an officer or employee of the United States.

D. Disqualification of Former Officers and Employees in Matters Connected With Former Duties or Official Responsibilities; Disqualification of Partners

Title 18 U.S.C., Section 207 deals with former employees and possible conflicts of interest.

E. Acts Affecting a Personal Financial Interest

.01 Title 18, U.S.C., Section 208 prohibits an officer or employee, including a special Government employee, from participating personally and substantially in a governmental capacity in any matter in which, to his knowledge, he, his spouse, minor child, partner, organization in which he is serving as officer, director, trustee, partner, or employee, or any person or organization with whom he is negotiating or has any arrangement concerning prospective employment, has a financial interest.

F. Salary of Government Officials and Employees

.01 Title 18, U.S.C., Section 209, prohibits:

(a) An officer or employee from receiving any salary, or any contribution to or supplementation of salary, as compensation for his services as an officer or employee of the United States from any source other than the Government of the United States, except as may be contributed out of the treasury of a State, county, or municipality, and

(b) Any person or organization from paying, contributing to, or supplementing the salary of an officer or employee under circumstances which would make its receipt a violation of subparagraph .01(a) of this section.

.02 Section 209:

(a) Does not prevent a Government employee from continuing to participate in a bona fide pension or other welfare plan maintained by a former employer;

(b) Exempts special Government employees and employees serving the Government without compensation, and grants a corresponding exemption to any outside person paying compensation to such individuals; and

(c) Does not prohibit the payment or acceptance of sums under the terms of the Government Employees Training Act.

G. Code of Ethics for Government Service

"Code of Ethics for Government Service", House Concurrent Resolution 175, 85th Congress, 2d Session, 72 Stat. B12 of July 11, 1958, which reads as follows:

"Any Person in Government Service Should:

"PUT loyalty to the highest moral principles and to country above loyalty to persons, party, or Government department.

"UPHOLD the Constitution, laws, and legal regulations of the United States and all governments therein and never be a party to their evasion.

"GIVE a full day's labor for a full day's pay; giving to the performance of his duties his earnest effort and best thought.

"SEEK to find and employ more efficient and economical ways of getting tasks accomplished.

"NEVER discriminate unfairly by the dispensing of special favors or privileges to anyone, whether for remuneration or not; and never accept for himself or his family, favors or benefits under circumstances which might be construed by reasonable persons as influencing the performance of his governmental duties.

"MAKE no private promises of any kind binding upon the duties of office, since a Government employee has no private word which can be binding on public duty.

"ENGAGE in no business with the Government either directly or indirectly, which is inconsistent with the conscientious performance of his governmental duties.

"NEVER use any information coming to him confidentially in the performance of governmental duties as a means for making private profit.

"EXPOSE corruption wherever discovered.

"UPHOLD these principles, ever conscious that public office is a public trust."

H. Prohibitions

.01 The prohibition against lobbying with appropriated funds (18 U.S.C. 1913) reads as follows:

"No part of the money appropriated by any enactment of Congress shall, in the absence of express authorization by Congress, be used directly or indirectly to pay for any personal service, advertisement, telegram, telephone, letter, printed or written matter, or other device, intended or designed to influence in any manner a Member of Congress, to favor or oppose, by vote or otherwise, any legislation or appropriation by Congress, whether before or after the introduction of any bill or resolution proposing such legislation or appropriation, but this shall not prevent officers or employees of the United States or of its departments or agencies from communicating to Members of Congress on the request of any Member or to Congress, through the proper official channels, requests for legislation or appropriations which they deem necessary for the efficient conduct of the public business.

"Whoever, being an officer or employee of the United States or of any department or agency thereof, violates or attempts to violate this section, shall be fined not more than $500 or imprisoned not more than 1 year, or both; and after notice and hearing by the superior officer vested with the power of removing him, shall be removed from office or employment."

.02 The prohibitions against disloyalty and striking (5 U.S.C. 7311, 18 U.S.C. 1918). An individual may not accept or hold a position in the Government of the United States if he:

(a) Advocates the overthrow of our constitutional form of Government;

(b) Is a member of an organization that he knows advocates the overthrow of our constitutional form of government;

(c) Participates in a strike, or asserts the right to strike, against the Government of the United States or the government of the District of Columbia; or

(d) Is a member of an organization of employees of the Government of the United States or of individuals employed by the government of the District of Columbia that he knows asserts the right to strike against the Government of the United States or the government of the District of Columbia.

.03 The prohibitions in 2 U.S.C. 441 i, against receiving any single honorarium in excess of $2,000, or total honorariums in excess of $25,000 in any calendar year.

.04 The prohibitions against (a) the disclosure of classified information (18 U.S.C. 798, 50 U.S.C. 788); and (b) the disclosure of confidential information (18 U.S.C. 1905). Each employee who has access to classified information, e.g. confidential, secret, or top secret, or to a restricted area is responsible for knowing and for complying strictly with the security regulations of the Federal Emergency Management Agency.

.05 The prohibition against the use of the franking privilege to avoid payment of postage on private mail (18 U.S.C. 7119).

.06 The prohibition against the use of deceit in an examination or personnel action in connection with Government employment (18 U.S.C. 1917).

.07 The prohibition against fraud or false statements in a Government matter (18 U.S.C. 1001). An employee in connection with an official matter shall not knowingly and willfully conceal or cover up a material fact or falsify official papers or documents.

.08 The prohibition against counterfeiting and forging transportation requests (18 U.S.C. 506). Falsely making, altering or forging in whole or in part, any form of transportation request is prohibited.

.09 The prohibitions against:

(a) Embezzlement of Government money or property (18 U.S.C. 641). No employee may convert any Government money or Government property to his own use or the use of another person.

(b) Failure to account for public money (18 U.S.C. 643). Any employee, who, having received public money which he is not authorized to retain, fails to render his accounts for same as provided by law, is guilty of embezzlement.

(c) Embezzlement of the money or property of another person in the possession of the employee by reason of his employment (18 U.S.C. 654). An employee is prohibited from embezzling or wrongfully converting for his own use the money or property of another which comes under his control as the result of his employment.

.10 The prohibition against unauthorized removal or use of documents relating to claims from or by the Government (18 U.S.C. 285). No employee, without authority, may remove from the place where it was kept by authority of the United States any document, record, file, or paper intended to be used to procure the payment of money from or by the United States or the allowance or payment of any claim against the United States, regardless of whether the document or paper has already been used or the claim has already been allowed or paid; and no employee may use or attempt to use any such document, record, file, or paper to procure the payment of any money from or by the United States or the allowance or payment of any claim against the United States.

.11 The prohibition against proscribed political activities, including the following, among others:

(a) Using official authority or influence for the purpose of interfering with or influencing the result of an election, except as authorized by law (5 U.S.C. 7324);

(b) Taking an active part in political management or in political campaigns, except as authorized by law (5 U.S.C. 7324);

(c) Offering or promising to pay anything of value in consideration of the use of, or promise to use, any influence to procure any appointive office or place under the United States for any person (18 U.S.C. 210);

(d) Soliciting or receiving, either as a political contribution or for personal emolument, anything of value in consideration of a promise of support or use of influence in obtaining for any person any appointive office or place under the United States (18 U.S.C. 211);

(e) Using official authority to interfere with a Federal election (18 U.S.C. 595);

(f) Promising any employment compensation, or other benefit made possible by Act of Congress in consideration of political activity or support (18 U.S.C. 600);

(g) Action by a Federal officer or employee to solicit or receive, or to be in any manner concerned with soliciting or receiving, any contribution for any political purpose whatever from any other Federal officer or employee or from any person receiving compensation for services from money derived from the Treasury of the United States (18 U.S.C. 602);

(h) Soliciting or receiving (by any person) anything of value for any political purpose whatever on any Government premises (18 U.S.C. 603);

(i) Soliciting or receiving contributions for political purposes from anyone on Federal relief or work relief (18 U.S.C. 602);

(j) Payment of a contribution for political purposes by any Federal officer or employee to another Federal officer or employee (18 U.S.C. 607):

(k) Payment of a political contribution in excess of statutory limitations and purchase of goods, commodities, advertising, or articles, the proceeds of which inure to the benefit of certain political candidates or organizations (18 U.S.C. 608).

.12 The prohibition against an employee acting as the agent of a foreign principal registered under the Federal Agents Registration Act (18 U.S.C. 219).

Dated: December 6, 1979.

John W. Macy, Jr.,

Director.

[FR Doc. 79-38674 Filed 12-17-79; 8:45 am]

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federal register

Tuesday
December 18, 1979

Part VIII

Department of the Interior

Fish and Wildlife Service

Endangered and Threatened Wildlife and Plants; Listing With Endangered Status for the American Crocodile and Certain Saltwater Crocodiles

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

50 CFR Part 17

Endangered and Threatened Wildlife and Plants; Listing With Endangered Status for the American Crocodile Throughout Its Range and the Saltwater Crocodile Exclusive of the Papua New Guinea Population.

AGENCY: Fish and Wildlife Service, Interior.

ACTION: Final rule.

SUMMARY: The Service determines that the American crocodile (*crocodylus acutus*) and the saltwater crocodile (*Crocodylus porosus*) populations outside of Papua New Guinea be listed as Endangered species. This action is being taken because both species have suffered serious losses of habitat throughout their ranges and have been subject to extensive poaching for their hides. The Papua New Guinea population of *C. porosus* is not being included in this action because of the assurances of the government of Papua New Guinea that crocodiles are under strict control within that country and that wild populations are not being jeopardized. The Florida population of *C. acutus* is already listed as Endangered under provisions of the Act. This rule would provide additional protection to wild populations of both species, presently listed on the Appendices to the Convention on International Trade in Endangered Species of Wild Fauna and Flora, by further restricting commercial trade in their parts and products.

DATES: This rule becomes effective on January 18, 1980.

ADDRESSES: Questions concerning this action may be addressed to Director (OES), U.S. Fish and Wildlife Service, Department of the Interior, Washington, D.C. 20240. Comments and materials relating to this rulemaking are available for public inspection during normal business hours at the Service's Office of Endangered Species, 1000 N. Glebe Road, Arlington, Virginia.

FOR FURTHER INFORMATION CONTACT:

Mr. John L. Spinks, Jr., Chief, Office of Endangered Species, U.S. Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240 (703/235–2771).

SUPPLEMENTARY INFORMATION:

Background

The American crocodile, *Crocodylus acutus,* ranges throughout the Caribbean Sea, and on the Pacific Coast of Central and South America from Mexico to Ecuador in primarily coastal waters.

Portions of the following countries are known to have or have had populations of this species: United States, Mexico, Colombia, Venezuela, Ecuador, Guatemala, El Salvador, Honduras, Nicaragua, Costa Rica, Panama, Trinidad and Tobago, Jamaica, Cuba, Haiti, Dominican Republic, and Belize. The Florida population is currently listed as Endangered and its Critical Habitat has been determined (see the **Federal Registers** of September 25, 1975 [40 FR 44149–44151] and September 24, 1976 [41 FR 41914–41916]).

On May 23, 1975, Professor Federico Medem of the Faculty of Science of the National University of Colombia petitioned the Secretary of the Interior to list, under protection of the Endangered Species Act of 1973, the American crocodile throughout its range. However, only the Florida population was actually proposed and eventually listed.

The saltwater, or estuarine, crocodile, *Crocodylus porosus,* ranges throughout Southeast Asia and includes the countries of Australia, Papua New Guinea, Indonesia, Philippines, Malaysia, Thailand, Burma, Bangladesh, India, Cambodia, Vietnam, and Sri Lanka. This species may be the largest of reptiles, with reports of lengths well over 20 feet (7 meters), although leatherback sea turtles may weigh more.

All populations of the saltwater crocodile and all populations of the American crocodile, with the exception of those in Florida, were proposed as Endangered under the Similarity of Appearance clause of the Act (**Federal Register** of April 6, 1977; 42 FR 18287–18291); no final action has been taken as of this date on that proposal. Populations of *C. acutus* are listed on Appendix II (other than Florida which is on Appendix I) and *C. porosus* on Appendix I (other than Papua New Guinea which is on Appendix II) on the Convention on International Trade in Endangered Species of Wild Fauna and Flora.

In the **Federal Register** of February 5, 1979 (44 FR 7060–7061), the Fish and Wildlife Service published a Notice of Review on the status of these species. Information contained in the notice summarized existing knowledge concerning their status and the reasons for conducting the review. Persons who desire to review these data should consult this document or the *Endangered Species Technical Bulletin* of March 1979; these documents are available from the Office of Endangered Species, U.S. Fish and Wildlife Service, Washington, D.C. 20240.

On July 24, 1979, the Fish and Wildlife Service proposed that the American crocodile throughout its range and the saltwater crocodile, exclusive of the Papua New Guinea population, be listed as Endangered species (see the **Federal Register** of July 29, 1979 [44 FR 43442–43445] and the August 1979 *Endangered Species Technical Bulletin* for details of this proposal). Included in the proposal was a summary of comments from the notice of review as well as complete summaries of the status of these species.

The proposal summarized the factors thought to be contributing to the likelihood that these species could become extinct within the foreseeable future, specified the prohibitions which would be applicable if such a determination were made, and solicited comments, suggestions, objections and factual information from any interested person.

Those factors affecting the status of these species were published in the proposal to list them and are reprinted below:

1. *The present or threatened destruction, modification, or curtailment of its habitat or range.* The increasing human population throughout the ranges of these species has resulted in a loss of much available habitat for the crocodiles. Because crocodilians do not tolerate much disturbance, especially during nesting seasons, human populations have impacted the species by harrassment as well as by direct destruction of suitable basking and nesting sites. This problem (habitat destruction due to encroaching human population) is especially severe in Central America, the Caribbean, and South America (for the American crocodile) and Southeast Asia, such as Sarawak and Sri Lanka (for the estuarine crocodile). It is most probable that the continuing expansion of human populations in these areas will result in increasing amounts of habitat destruction and harrassment (i.e. curtailment of its range) in the future.

2. *Overutilization for commercial, sporting, scientific, or educational purposes.* This is the major factor involved in the decline of both *C. acutus* and *C. porosus.* The hides are extremely valuable in the production of fashionable leather luxury items; this has led to the severe decline or elimination via hunting of virtually all populations of both species where not protected. Indeed, even in countries with restricted taking of and commerce in crocodiles, poaching continues to severely impact crocodilian populations. In some countries, poorly managed and ill-conceived commercial crocodile farming schemes have also resulted in a drain on populations, particularly of *C. porosus,* since they often rely on young collected in the wild. Some farms have gone as far as to hybridize *C. porosus* with protected species in order to circumvent trade and conservation restrictions, thus resulting in a drain on both species involved. Commercial exploitation can be expected to continue as prices are high and regulatory mechanisms are weak or lacking.

3. *Disease or predation.* These factors are probably not significant in the decline of *C. acutus* and *C. porosus.* However, natural predation may seriously affect the ability of populations already reduced through overexploitation and habitat destruction to maintain themselves.

4. *The inadequacy of existing regulatory mechanisms.* While many of the countries where these species occur have laws to protect crocodilians, they are often ignored, unenforced, or impossible to enforce because of lack of manpower, funds or magnitude of the problem. The lack of effective means to protect crocodilians is a major problem in the conservation of wild populations of these species; this is especially true with both *C. acutus* and *C. porosus.*

5. *Other natural or man-made factors affecting its continued existence.* Malicious killing of these crocodilians occurs wherever they are found and undoubtedly contributes to their decline, especially in areas near human populations. Crocodiles are also taken accidentally by fishing nets and are killed whenever encountered, especially *C. porosus,* where the species has a reputation as a maneater.

After the Service published the proposal, several additional letters arrived which were in response to the notice of review. This information was received from U.S. embassies or consulates in Belize, Nicaragua, Jamaica, and Burma. The American crocodile is Endangered in Belize by habitat destruction and crocodile hunting; in Nicaragua, it is considered to have reached a very low level and is in danger of extinction; Jamaica does not consider the crocodile either Endangered or Threatened and estimates that there are 2,000 crocodiles in the country. However, any significant destruction of remaining wetlands could put this species at once in jeopardy. Jamaica does not have adequate powers of wildlife law enforcement and would benefit from the enactment and vigilant observance of import restrictions in the U.S. Jamaica indicated that the reduction of commercial incentive to exploitation of its wild stock would be regarded with favor. The Burmese government considers the estuarine crocodile to be in danger of extinction and has instituted conservation measures to preserve the natural habitat. In addition, it is attempting to restrict illegal crocodile hunting and has begun to breed the animals in captivity.

Summary of Comments

Section 4(b)(1)(C) of the Act requires that a summary of all comments and recommendations received be published in the **Federal Register** prior to adding any species to the List of Endangered and Threatened Wildlife.

In the July 29, 1979, **Federal Register** proposed rulemaking (43 FR 43442–43445) and associated July 26, 1979, Press Release, all interested parties were invited to submit factual reports or information which might contribute to the formulation of a final rulemaking.

All public comments received during the period of July 29, 1979, to October 29, 1979, were considered.

A total of 11 comments were received. All favored protection as proposed.

Dr. Howard W. Campbell (National Fish and Wildlife Laboratory): Dr. Campbell supplied updated information to that previously supplied the Office of Endangered Species. This information is repeated below:

Haiti: The American crocodile still exists in this country but there are very few data on distribution and status. Dr. Fred G. Thompson of the Florida State Museum recently located two extant populations of unknown size but limited geographic extent, one along the northern coast at Gap Haitien and one on the western coast at St. Marc. Both populations are under heavy human predation for eggs (they are eaten) and adults and young for hides and for curios for the tourist trade. Dr. Thompson suspects some crocodiles may still survive in another location, the relatively inaccessible Trou Cayman Swamp in the southern part of the country. The only factor protecting these known and suspected populations is accessibility. Crocodiles are taken at every opportunity and as these areas become more accessible the populations will probably be lost unless some protective measures are taken.

Dominican Republic: Crocodiles are severely reduced or extirpated over all of this country except for the swamps of the northwestern area around Monte Cristo and in Lago Enriquillo in the southwest. This latter population numbered in the hundreds and was perhaps the most locally dense population of the American crocodile remaining anywhere in its range. Unfortunately, the population is now in extreme duress due to pollution and dropping water levels in the lake as a result of agriculture activities in the immediate area. Local biologists are now attempting to relocate the crocodiles in hope of saving some individuals. There is, however, little if any secure habitat available for such a relocation and the fate of translocated adults is uncertain. The situation in this country has rapidly degraded from low/stable to critical for the crocodile with the loss of this piece of habitat.

Mexico: Mexican biologists are currently attempting to protect a population of American crocodiles of unknown size in the "Laguna Caimanero," a marsh and lagoon immediately south of Mazatlan, Sinaloa. Heavy human use of this habitat by hunters and commercial fishermen is imposing difficulties, however. This is the only confirmed breeding population of crocodiles remaining on Mexico's west coast but other small pockets near Teacapan, San Blas, and along the Guerrero and Chiapas coasts are probable.

The current oil spill occurring along the east coast of Mexico has a high probability of impact on crocodiles in coastal marshes and mangroves but no data are presently available. This situation should be watched for potential long-term effects.

Costa Rica: Recent reports of crocodiles in the Palo Verde Biological Reserve on the Pacific coast (G. Bertrand, pers. comm.) suggest that a population is resident in this area. Costa Rican biologists express considerable concern over the status of both crocodilian species in their country and rate basic status surveys as high priority among their needs.

In addition, the Service received a brief report by Lala A. K. Singh of the Gharial Research and Conservation Unit in Tikerpada, India. Mr. Singh reviewed the status of the saltwater crocodile and outlined the rearing program for restocking the species in India. He makes the following information available: 1. The largest concentration of crocodiles on the mainland coast is located at the Bhitarkanika Sanctuary and consists of only approximately 29 adults, 5 subadults, and 156 juveniles; 2. A good population of nearly 100 animals may exist in the Sundarbans of West Bengal; 3. The presence of this species is doubtful in Andhra Pradesh and they are extinct in Tamilnadu. This species was last seen in Tamilnadu near Coleron but the site has since dried up because of the Mettur Dam on the River Cauvery; 4. Although once abundant, by the mid-1970's crocodiles had become rare in the Andamans. In conclusion, he strongly supported protection as an Endangered species.

The U.S. embassy in Australia supplied information given to it by the Australian National Parks and Wildlife Service (ANPWS). Mr. Graeme Kelleher, Acting Director of ANPWS, provided several reports of research conducted by Dr. H. Messel in northern Australia. These documents provide a review of saltwater crocodile status which indicates that many populations are severely depleted and at best are just maintaining present numbers. Mr. Kelleher goes on to say:

"In December 1972, the Australian Government imposed and has since maintained a total prohibition on the export from Australia of all crocodile skins and skin products. This move effectively removed the

major incentive behind crocodile hunting viz to supply international markets. Since 1974, both species of Australian crocodiles, *C. porosus* and the endemic freshwater species *C. johnstoni* have received total protection by legislation in each of the States where the species occur, namely Western Australia, Northern Territory and Queensland.

Although populations of both species were seriously depleted prior to legislative protection, recent intensive surveys of northern Australian rivers suggest there may be limited recovery in some regions."

Dr. Faith Campbell (National Resources Defense Council) supported the proposal and added information on the saltwater crocodile in the Andaman Islands. Dr. Campbell states:

"According to a recent survey, populations of *C. porosus* in the Andaman Islands have declined sharply in recent years due to destruction of habitat. Virtually all freshwater streams needed for nesting now support human settlements. The crocodile population of the islands is now estimated to be 100–200 on North Andaman, 50–100 on Middle Andaman, 20–30 on South Andaman. Little Andaman was not surveyed. [*Oryx* Vol. XV #1, June 1979, page 22.]"

Three other individuals supported the proposal but questioned the exclusion of the Papua New Guinea population of *C. porosus*—Dr. J. W. Gibbons (Savannah River Ecology Lab), H. Livingstain and Dr. H.R. Bustard (Crocodile Breeding and Management Project, India). The Service believes that such exclusion will not result in jeopardy to *C. porosus* in this region and will continue to monitor the crocodile population in this area closely through contacts with the government of Papua New Guinea and scientists working on the species. Should a decline in the status ocur, the Service will quickly take appropriate measures to list the saltwater crocodile under provisions of the Endangered Species Act of 1973.

The following individuals supported the proposal but added no new information: Dr. F. W. King (Florida State Museum), Dr. W. R. Courtenay, Jr. (American Society of Ichthyologists and Herpetologists), Mr. Hank Guarisco, and Mr. Bob Davis.

After a thorough review and consideration of all the information available, the Director has determined that (1) the two species of crocodiles are Threatened with becoming extinct throughout all or a significant portion of their ranges (except the Papua New Guinea population of *C. porosus)* due to one or more of the factors described in Section 4(a) of the Act, as specified in the proposal of July 29, 1979 (44 FR 43442–43445) and discussed above, and (2) listing these species as Endangered will provide them with necessary protections to ensure their survival.

Effects of the Rulemaking

Endangered species regulations already published in Title 50 of the Code of Federal Regulations set forth a series of general prohibitions and exceptions which apply to all Endangered species. The regulations referred to above, which pertain to Endangered species, are found at § 17.21 of Title 50, and are summarized below.

With respect to the American crocodile and estuarine crocodile (except the Papua New Guinea population), all prohibitions of Section 9(a)(1) of the Act, as implemented by 50 CFR 17.21, would apply. These prohibitions, in part, would make it illegal for any person subject to the jurisdiction of the United States to take, import or export, ship in interstate commerce in the course of a commercial activity, or sell or offer for sale these species in interstate or foreign commerce. It also would be illegal to possess, sell, deliver, carry, transport, or ship any such wildlife which was illegally taken. Certain exceptions would apply to agents of the Service and State conservation agencies.

Regulations published in the **Federal Register** of September 26, 1975 (40 FR 44412), codified at 50 CFR 17.22 and 17.23, provided for the issuance of permits to carry out otherwise prohibited activities involving Endangered or Threatened species under certain circumstances. Such permits involving Endangered species are available for scientific purposes or to enhance the propagation or survival of the species. In some instances, permits may be issued during a specified period of time to relieve undue economic hardship which would be suffered if such relief were not available.

National Environmental Policy Act

An environmental assessment has been prepared pursuant to Executive Order 12114 and is on file in the Service's Washington Office of Endangered Species, Suite 500, 1000 N. Glebe Road, Arlington, Virginia. It addresses this action as it involves the two crocodilians.

The primary author of this rule is Dr. C. Kenneth Dodd, Jr., Office of Endangered Species (703/235–1975).

Regulations Promulgation

Accordingly, Part 17, Subchapter B of Chapter I, Title 50 of the U.S. Code of Federal Regulations is amended as follows:

1. By adding the American crocodile throughout its range and the estuarine crocodile (exclusive of the Papua New Guinea population) to the list, alphabetically, under "Reptiles" as indicated below:

§ 17.11 Endangered and threatened wildlife.

Species			Range		Status	When listed	Special rules
Common name	Scientific name	Population	Known distribution	Portion endangered			
Reptiles:							
Crocodile, American	*Crocodylus acutus*	NA	U.S.A. (FL.), Mexico, S. & C. America, Caribbean.	Entire	E	88	NA
Crocodile, Saltwater (Estuarine).	*Crocodylus porosus*	Entire, except Papua New Guinea	Southeast Asia, Australia, Papua New Guinea, Pacific Islands.	Entire, except Papua New Guinea.	E		NA

Note.—The Department of the Interior has determined that this rule is not a significant rule and does not require preparation of a regulatory analysis under Executive Order 12044 and 43 CFR 14.

Dated: December 12, 1979.

Lynn A. Greenwalt,

Director, Fish and Wildlife Service.

[FR Doc. 79-38748 Filed 12-17-79; 8:45 am]

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federal register

Tuesday
December 18, 1979

Part IX

Department of Energy

Geothermal Loan Guaranty Program, Federal Loan Guarantees for Geothermal Energy Utilization

DEPARTMENT OF ENERGY

10 CFR Part 790

The Geothermal Loan Guaranty Program, Federal Loan Guarantees for Geothermal Energy Utilization

AGENCY: Department of Energy.

ACTION: Final rule.

SUMMARY: The Department of Energy (DOE) revises its regulations relating to the geothermal loan guaranty program. The rule sets forth policies and procedures under which DOE will issue a Federal guaranty on loans related to the commercial development of practicable means to produce or utilize energy from geothermal resources in an environmentally acceptable manner. The revised provisions will enable the Secretary in the exercise of reasonable judgment to (1) minimize a lender's financial risk; (2) encourage the flow of credit for geothermal energy projects without the need for Federal assistance; and (3) enhance competition and encourage new entrants into the goethermal market. In addition, the amendments will conform existing provisions with DOE financial and program policies and will remove certain ambiguities identified during the past two years of operating experience. The amendments are necessary to implement recent legislation.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT:

Rudolph A. Black, Resource Manager for Geothermal, Office of Assistant Secretary for Resource Applications, Department of Energy, Washington, DC 20461, (202) 633–8755.

Lawrence R. Oliver, Office of General Counsel, Room 6F–055, 1100 Independence Ave. SW., Washington, DC 20580 (202) 252–6958.

SUPPLEMENTARY INFORMATION:

I. Background.
II. Comments and Responses on Proposed Regulations.
III. Changes Initiated by DOE.
IV. Additional Information.

I. Background

On May 26, 1976, ERDA published in the **Federal Register** (41 FR 21433) a final regulation containing policies, filing procedures and other instructions under which lenders may obtain a Federal guaranty on loans to qualified borrowers related to the commercial development of practicable means to produce, with environmentally acceptable processes, useful energy from geothermal resources. That regulation became effective on June 25, 1976 thereby permitting applications for guarantees on loans for geothermal projects to be submitted to ERDA.

The proposed regulation published by DOE on January 5, 1979 (44 FR 1568), incorporated many of the changes to the Geothermal Loan Guaranty Program contained in Pub. L. 95–238. The legislative amendments, in summary, provide: That the full faith and credit of the United States is pledged to the payment of these guaranties; that DOE can borrow funds from the Department of the Treasury if balances in the Geothermal Resources Development Fund are insufficient to enable DOE to carry out its guaranty and other responsibilities; the authority to assist the borrower in making payment on loan principal; that DOE may complete and operate a plant acquired through default; for loan limitations of $100 million per project and of $200 million per qualified borrower; for clarification on the scope of projects utilizing geothermal energy in direct heat processes; a limitation of 1 percent on a guaranty fee to be imposed annually on the outstanding guaranteed debt and directs that fees collected to be deposited in the Geothermal Resources Development Fund; and, that DOE can reimburse to qualified public agencies and Indian tribes a portion of the interest when a holder of their debt guaranteed under this regulation is required to include that income under Chapter I of the Internal Revenue Code. The proposed regulation contained other revisions and amendments to the previously published regulations for the Geothermal Loan Guaranty Program that clarify DOE financial policy and remove certain ambiguities identified during two years of operating experience.

DOE's proposed regulation announced that public hearings would be held in San Francisco, California, on February 13, 1979, and in Dallas, Texas, on February 21, 1979. Parties desiring to speak at those meetings were requested to inform DOE by January 29, 1979. DOE received only one request to speak at each of those meetings and because of limited public interest, the public hearings were cancelled. Both parties that expressed an interest in speaking at the public hearings were promptly notified by DOE of the cancellation, and both parties were invited to submit written comments.

DOE received written replies from 12 interested parties representing Federal, local government and private sector interests. The next section contains summaries of the substantive comments received, a response to each when appropriate, and any change made to the proposed rule as a result of that comment.

II. Comments and Responses on Proposed Regulations

Changes which have been made to the regulation as a result of comments received from interested parties are as follows: One party suggested that the borrower should have direct access to DOE regardless of whether tentative loan arrangements have been made. DOE has accepted this suggestion and revised the regulation. New procedures for filing an application permit a prospective borrower to apply directly to DOE for a guaranty. After the proposed project is found acceptable, arrangements can then be made for debt placement.

Another party questioned whether the definition of a qualified borrower prohibited lease financing. The definition is that which is specified by Pub. L. 93–410 and in the opinion of the Department of Energy may, in many cases, exclude lease financing project from consideration. DOE, however, will consider applications involving lease financing on a case-by-case basis.

A party suggested that the regulation permit financial institutions to utilize a servicing agent to meet servicing requirements imposed upon lenders. These institutions, such as insurance companies, pension funds, and the Federal Financing Bank (FFB), may not have the staff capability to service the loan. In order to provide for the necessary participation by long-term lenders in the Geothermal Loan Guaranty Program, DOE has accepted the suggestion and revised the regulation.

Several parties commented on the use of the FFB as a lender. One party suggested that the FFB be utilized as a lender of last resort, while another party urged that the FFB be used exclusively. Other parties believed that the FFB participation may be necessary and suggested that the regulation contain specific criteria for FFB involvement. DOE has revised the regulation to specify a preference for private sector loan funding and to provide criteria for loan funding through the FFB. Specifically, FFB funding may be used when the guaranty requires DOE to make payment of interest differential or when the interest rate and other loan agreement terms and conditions do not reflect the presence of a guaranty backed by the full faith and credit of the United States.

It was suggested that the section on the use of the FFB also be amended to provide preference for private lender funding during the project's interim construction phase. DOE accepted the suggestion and revised the regulation.

Another party suggested that supplementary heat sources and central heat storage systems costs be included as eligible project costs. The regulation does not prohibit these specific items and DOE will determine the eligibility on a case-by-case basis.

A party suggested that loan commitment fees on undrawn portions of a loan be allowed as an eligible cost since the charge is standard practice among commercial banks. The regulation has been revised to not specifically prohibit the inclusion of such fees as project costs.

A suggestion was made to amend provisions in the regulation dealing with inventions and other intellectual property by easing and clarifying DOE's requirements for licensing such property. The suggestion was accepted and the regulations were revised.

One party expressed concern that the provision dealing with reduction or withdrawal of the guaranty could, after an initial disbursement, result in the guaranty being withdrawn because of a delay in the project. The regulation was revised to expressly provide for that condition under which the guaranty would be withdrawn and for those conditions under which the guaranty would be reduced. In either instance, the guaranty will not be reduced below the amount which has been disbursed by the lender in compliance with contractual provisions.

Another party suggested an additional criteria be adopted concerning an exploration or reservoir development project. Specifically, it was suggested that there be satisfactory evidence of the borrower's right to explore or develop the resource. DOE accepted the suggestion and revised the regulation.

A party noted that administration of geothermal leases on National Forest System lands is shared by the U.S. Departments of Agriculture and the Interior. That party suggested that the appropriate "Forest Supervisor" has responsibility for projects located on National Forest System lands. DOE accepted the suggestion and revised the regulation.

Many parties suggested revisions to the proposed regulation that are editorial or are for the purpose of greater clarity. DOE accepted most of these suggested revisions.

Public comments which were not incorporated in these final regulations and DOE's response to each comment are as follows: A party suggested that potential borrowers be required to purchase equipment or services only from United States companies. DOE does not believe that such a requirement is applicable to the Geothermal Loan Guaranty Program and that legislative provisions requiring such purchase restrictions are not specified in Pub. L. 93–410. Such restrictions are applicable to contracts in which the Government purchases goods for its own use.

However, projects having guaranteed loans do not involve the procurement of goods for the Government's use and the suggestion was not adopted for this reason.

A party suggested that DOE's final determination on a loan guaranty application be made in 45 days from receipt. DOE did not amend the regulation to provide a specific time limitation in which loan guaranty applications will be processed. However, it is DOE's intenton to expedite the processing of applications and render decisions as soon as possible.

It was suggested that DOE provide some explanation of intentions and procedures for cooperation with other involved Federal agencies to avoid duplication of environmental reviews. The Council on Environmental Quality regulations which become effective in 1979 set forth procedures by which agencies shall work together to avoid duplication. As an example of DOE's cooperation with other Federal and non-Federal agencies, DOE has entered into a Memorandum of Understanding with the Bureau of Land Management, U.S. Geological Survey and the California Energy Commission for the preparation of a joint environmental document for the Northern California Power Agency guaranty application in California. By continuing to proceed in this manner, we believe that duplication can be avoided through the new Council on Environmental Quality (CEQ) regulations and early cooperative efforts on the part of all involved agencies.

DOE did not revise this regulation to include its intention to cooperate with other agencies since that intention is contained in our general regulation governing DOE's procedures and policies that implement NEPA.

Another party suggested that DOE's practice of applying the maximum permissible guaranty fee be amended. The revision should reflect changes in the project's risk and DOE's administrative expenses during the term of the loan. The regulation was not amended to incorporate changes to the one percent guaranty fee because sufficient evidence is not presently available to determine probable losses which may be incurred as a result of the program.

A party suggested that DOE be required to notify the lender within two weeks after receipt of an application if the interest rate is found reasonable. It is DOE's intention to respond, in a timely manner, to requests from applicants regarding DOE's acceptance of certain loan conditions, but no specific time limitation has been adopted.

III. Changes Initiated by DOE

Additional changes to the proposed regulation were initiated by DOE as a result of new circumstances or administrative requirements. Illustrations of those significant changes are as follows: On May 14, 1979, the Secretary of Energy delegated to the Assistant Secretary for Resource Applications the authority to administer the Geothermal Loan Guaranty Program. The regulation has been amended to reflect the Secretary's delegation, however, a definition of Secretary has been added to refer to the Secretary or the Assistant Secretary for Resource Applications when authorized or their designees as may be allowed through the present or future delegations.

Priorities governing DOE's consideration of loan guaranty applications were revised. First priority consideration will be given to projects located at undeveloped geothermal resource areas. Second priority consideration will be given to projects demonstrating or utilizing new technologies; and third priority consideration will be given to projects located at partially developed geothermal resource areas. The intent of these revised priorities is to utilize DOE's authority in a manner which will best achieve the objective of accelerating the development of new geothermal resource areas.

The restriction prohibiting a guaranty on loans which can be converted to an equity relationship with the borrower has been removed. DOE will consider guarantees on convertible loans on a case-by-case basis.

Section 790.4(e) outlines the conditions under which loan guarantees will be made for otherwise tax exempt debt and provides for the payment of interest differential assistance in those cases.

This subparagraph was included because Pub. L. 95–238, which amended Pub. L. 93–410, specifically added this provision to the law. The effect of this subparagraph on tax exempt securities is not clear. The Internal Revenue Service (IRS) is the agency within the executive branch of the Federal Government which has the authority to make a determination as to whether or

not this provision is effective to include interest received by a holder of obligations guaranteed under this regulation in the gross income of the holder for purposes of Chapter I of the Internal Revenue Code in those cases where such interest would otherwise be tax exempt. This ruling may result in additions to, or deletions from, this regulation, with respect to this subparagraph. Until § 790.4(e) is published in its final form, we encourage interested parties to submit their comments to the Department of Energy.

IV. Additional Information

These regulations outline requirements for filing and processing an application for a geothermal loan guaranty, and for the issuance and subsequent servicing of guaranteed loans. Specific documentation and information required to be submitted by an applicant and copies of the Geothermal Loan Guaranty Application form can be obtained from: Vito A. Magliano, Director of the Geothermal Loan Guaranty Program Office, San Francisco Operations Office, 1333 Broadway, Oakland, California 94612, telephone (415) 273–7151.

In accordance with its proposed plan for improving Government Regulations (43 FR 18634, May 1, 1978), DOE has determined that this final regulation is significant because Congress regards the accelerated development of geothermal energy to be of widespread concern. Further, geothermal energy development is a significant part of the National Energy Plan for expansion of nonconventional sources of energy. This regulation modifies an existing program, as called for by Pub. L. 95–238, and increases the amount of guarantees which may be made to an individual or for a specific project. However, the total dollar loan guaranty authorization of $350 million for this program was not increased by this legislation. Therefore, the changes contained herein are not expected to have a major impact on the availability of geothermal energy over the program already in existence. DOE has, therefore, determined that the enhanced program as implemented by this regulation will not have a major economic impact over the existing program. Accordingly, the preparation of the economic regulatory analysis, called for by DOE's procedure on Improving Energy Regulations, is not necessary.

This final regulation which amends and revises existing program regulations has been reviewed in accordance with existing DOE policy that implements the National Environmental Policy Act of 1969. DOE has determined that the regulation does not require the preparation of an Environmental Impact Statement pursuant to the requirements of the National Environmental Policy Act of 1969.

Issued in Washington, D.C., December 7, 1979.

Ruth M. Davis,

Assistant Secretary for Resource Applications.

10 CFR is amended by revising Part 790 to read as follows:

PART 790—THE GEOTHERMAL LOAN GUARANTY PROGRAM

Subpart A—General Provisions

Sec.

790.1 Purpose.
790.2 Objectives.
790.3 Effective date.
790.4 Eligible loans and priorities.
790.5 Definitions.
790.6 Loan guaranty criteria.
790.7 Interest and principal assistance.
790.8 Grace period.
790.9 Period of guaranty and assistance contracts.
790.10 Information for States and Indian Tribes.
790.11 Full faith and credit and incontestability.
790.12 Loan funding.
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Subpart B—Applications

790.20 Filing.
790.21 Supporting information.
790.22 Project costs.
790.23 Environmental considerations.
790.24 Mandatory purchase of flood insurance.

Subpart C—Servicing and Closing

790.30 Loan servicing by lender or servicing agent.
790.31 Guaranty fee.
790.32 Geothermal resources development fund.
790.33 Project monitoring.
790.34 Loan disbursements and drawdowns.
790.35 Satisfactory documentary evidence.
790.36 Reduction or withdrawal of guaranty.
790.37 Default, demand, payment and collateral liquidation.
790.38 Perfection of liens and preservation of collateral.
790.39 Treatment of payments.
790.40 Assignment and participation in the guaranteed loan.
790.41 Survival of guaranty agreement.
790.42 Modifications to existing guaranty agreements.
790.43 Other Federal assistance.
790.44 Inventions and other intellectual property.
790.45 Closing.
790.46 Nondiscrimination in Federally assisted programs.
790.47 Suspension, termination, or cancellation of operations or production on Federal land and leases administered by the Secretary of the Interior.
790.48 Appeals.

Authority: Title II of the Geothermal Energy Research, Development, and Demonstration Act of 1974, Pub. L. 93–410, 88 Stat. 1086 (30 U.S.C. 1141 et seq.); Department of Energy Organization Act, Pub. L. 95–91 91 Stat. 565 (42 U.S.C. 7101 et seq.); Title V of the Department of Energy Act of 1978—Civilian Applications, Pub. L. 95–238, 92 Stat. 86.

Subpart A—General Provisions

§ 790.1 Purpose.

The purpose of this regulation is to set forth policies and procedures under which the Department of Energy (DOE) will issue a Federal guaranty on loans related to the commercial development of practicable means to produce or utilize energy from geothermal resources in an environmentally acceptable manner.

§ 790.2 Objectives.

The objectives of the Federal geothermal loan guaranty program are: (a) To encourage and assist the private and public sectors to accelerate development of geothermal resources with environmentally acceptable processes by enabling the Secretary in the exercise of reasonable judgment, to minimize a lender's financial risk that is associated with the development of new geothermal reservoirs and with the application of new technology; (b) to develop normal borrower-lender relationships which will in time encourage the flow of credit for geothermal energy projects without the need for Federal assistance; and (c) to enhance competition and encourage new entrants into the geothermal market.

§ 790.3 Effective date.

This regulation is effective December 18, 1979.

§ 790.4 Eligible loans and priorities.

(a) The Secretary may approve agreements to guaranty, and commitments to guaranty, lenders against the loss of principal and accrued interest on loans made by such lenders to qualified borrowers. Any such agreements shall be made subject to the application of priorities and preferential considerations for guarantees as set forth in paragraph (b) of this section and subject to criteria in § 790.6. Such agreements may be entered into only for the purposes of:

(1) Determination and evaluation of the commercial potential of geothermal resources;

(2) Research and development with respect to geothermal extraction and utilization technologies, including but not limited to the mitigation of adverse environmental effects;

(3) Acquisition of rights in geothermal resources;

(4) Development, construction, and operation of facilities for the demonstration or commercial production of electricity through the use of geothermal resources, including onsite generation of electricity for direct use by a single customer or,

(5) Construction and operation of a new commercial, agricultural, or industrial facility, or modification and operation of an existing commercial, agricultural, or industrial facility, when geothermal hot water or steam is to be used within or by such facility or modification thereto, for the purposes of space heating or cooling, industrial or agricultural processes, other commercial applications, including hybrid plants, or combinations of applications separately eligible for loan guaranty assistance under this regulation.

(b) In complying with the objectives of the Geothermal Loan Guaranty Program, the Secretary will give first priority consideration to those applications for projects having a plan of operations which shows substantial promise of the prompt development and utilization of energy from undeveloped geothermal resource areas. Second priority consideration will be given to those applications for projects designed to demonstrate or utilize new technological advances. Third priority will be given to projects that will exploit the commercial potential of partially developed geothermal resource areas. The Secretary will give lower priority consideration to applications involving projects that propose: only geological and geophysical exploration; only the acquisition of land or leases; only research and development, or to be located at a geothermal resource area where utilization technology and economics have been proven. Within each category of priority as described herein, preferential consideration will be given to (1) applications in which the lender is providing a portion of the loan for which a guaranty is not requested, (2) projects to be carried out by small public and private utilities and small businesses, and (3) projects from which the Federal Government will receive royalty payments.

(c) Not less than ten percent of the amount available for loan guarantees during a fiscal year will be allocated to guarantees on loans to small public and private utilities and small businesses, as defined in § 790.5. At the Secretary's discretion the allocation reserved for such concerns may be adjusted. To the extent that guarantees on loans to such concerns are not issued within six months following the beginning of each fiscal year, the uncommitted allocation of loan guarantees for such concerns, at the discretion of the Secretary, may become available on an unrestricted basis.

(d) A loan application which, in the Secretary's view, meets usual loan standards of lenders without a Federal guaranty will be regarded by the Secretary as not eligible for a loan guaranty under this regulation. In addition, an application for a guaranty which does not represent a complete project, or an application which does not present an acceptable plan to repay the proposed guaranteed debt, or a project which is devoted exclusively to the extraction or production of geothermal byproducts as defined in § 790.5(b), or a project devoted exclusively to the desalination of geothermal brines will not be eligible for a Federal loan guaranty under this regulation.

(e) No loan shall be guaranteed if the income from such loan is excluded from gross income for purposes of Chapter 1 of the Internal Revenue Code of 1954, referred to in this section as Tax Exempt Securities. (This restriction does not apply to loans funded by Federal Financing Bank.) However, a guaranty may be issued in accordance with this regulation on a debt issued by, or on behalf of, a State, political subdivision, or Indian tribe (which would normally issue Tax Exempt Securities) if the income received by a purchaser of that debt is included as gross income for purposes of Chapter 1 of the Internal Revenue Code of 1954, as amended. For such transactions, the Secretary shall pay to the issuer of the debt or other appropriate party that portion of the interest which is found to be appropriate after consultation with the Secretary of the Treasury, regarding current market yield on other obligations of the issuer or other obligations which have similar terms and conditions. Payment under this subsection shall be made to the issuer or the appropriate party in accordance with the guaranty agreement.

§ 790.5 Definitions.

For purposes of this regulation:

(a) "Applicant" means any party who has filed an application for a loan guaranty authorized under these regulations and who believes it is a qualified borrower as defined in paragraph (l) of this section;

(b) "Byproduct" means any mineral or minerals or gases which are found in solution or in association with geothermal or geopressured resources and which have a value of less than 75 percent of the value of the geothermal steam and associated geothermal resources or are not, because of quantity, quality, or technical difficulties in extraction and production, of sufficient value to warrant extraction and production by themselves;

(c) "Default" means only the actual failure by the borrower to make payment of interest or principal in accordance with a schedule in the loan agreement, or to meet other requirements specified as a default condition in the guaranty agreement or collateral documents or other agreements relating to the guaranteed debt;

(d) "Estimated aggregate cost of the project" means those reasonable and customary costs incurred or to be paid in behalf of the project, including construction and start-up costs but excluding costs specified in § 790.22(c);

(e) "Federal Financing Bank" means that organization in the United States Department of the Treasury having the authority to purchase federally guaranteed debt;

(f) "Geothermal resources" means (1) all products of geothermal processes, including indigenous steam, geopressured fluids, hot water, and brines, (2) steam and other gases, hot water and hot brines resulting from water, gas, or other fluids artificially introduced into geothermal formations, and (3) any byproduct derived from a geothermal resource;

(g) "Guaranty fee" means a charge made by DOE for its administrative cost for processing and monitoring guaranteed loans, for interest differential payments, and for probable guaranteed loan losses;

(h) "Holder" means the entity that lawfully holds all or any part of the guaranteed loan;

(i) "Lender" means any entity engaged in the business of lending money, or the Federal Financing Bank. Loan servicing functions required by this regulation can be performed by the lender or a servicing agent acceptable to the Manager;

(j) A "loan" is an obligation involving a borrower and a lender, evidenced in writing, which makes available to the borrower money at a specified rate of interest for a limited period of time;

(k) "Manager" means the Manager of the Department of Energy's San Francisco Operations Office, 1333 Broadway, Oakland, California 94612, or a representative authorized by the Manager;

(l) "Qualified Borrower" means any public or private agency, institution, association, partnership, corporation, political subdivision, or other legal entity which (as determined by the

Secretary) has presented satisfactory evidence of an interest in geothermal resources and is capable of performing research or completing the development and production of energy in an acceptable manner;

(m) "Project" means an undertaking to develop geothermal resources at a specific site which when completed will result in an identifiable product, system, or resource for which a market potentially exists. Examples of a project include, but are not limited to, exploration and full-field development well drilling, power plant construction, equipment manufacturing, research and development, construction of transmission lines from a geothermal power plant, and ventures to utilize geothermal energy in conjunction with other energy resources or as a resource in direct heat applications such as crop drying and greenhousing;

(n) "Secretary" means the Secretary of Energy or the Assistant Secretary for Resource Applications when authorized or their designees or any other party specified in an executed written contract or other written agreement with the Department of Energy;

(o) A "small public or private electric utility, including its affiliates," is a business concern primarily engaged in the generation, transmission or distribution of electric energy for sale whose total electric output for its preceding fiscal year did not exceed four million megawatt-hours; and

(p) A "small business, including its affiliates," is a concern which is independently owned and operated, is not dominant in its field of operation, and which does not have assets exceeding $9 million, or a net worth in excess of $4 million, and does not have an average net income, after Federal income taxes, for the preceding two years in excess of $400,000 (average net income to be computed without benefit of any carryover loss).

§ 790.6 Loan guaranty criteria.

In addition to meeting the requirements for eligibility set forth in § 790.4(a), a guaranty or commitment to guaranty may be made only if the following conditions are met as determined by the Secretary on the written recommendation by the Manager (criteria applicable to the lender may not pertain to guarantees in which the Federal Financing Bank is the lender):

(a) The application form is signed by an authorized representative of the prospective borrower and, when applicable, by an authorized representative of the lender;

(b) The project proposed by the applicant meets program objectives stated in § 790.2 and conforms to program priorities set forth in § 790.4(b);

(c) The applicant has furnished acceptable reasons why the loan would not be made without a Federal loan guaranty;

(d) There is satisfactory evidence demonstrating that the lender or a servicing agent is competent to administer the contractual terms and conditions applicable to the lender or servicing agent specified in the loan transaction documents;

(e) The guaranty shall apply only to the amount of the loan that does not exceed 75 percent of the estimated aggregate cost of the project;

(f) When the amount of the guaranty requested is equal to 100% of the loan made by the lender, the lender must set forth reasons fully establishing why it is unwilling to undertake a loan having less than the maximum guaranty;

(g) The loan bears interest at a rate not to exceed an annual percent on the principal obligation outstanding as the Secretary determines, in consultation with the Secretary of the Treasury, to be reasonable, taking into account the range of interest rates for similar loans and risks which are guaranteed by the full faith and credit of the United States;

(h) The term of the loan requires, as determined by the Secretary, the lesser of (1) full repayment over a period of no more than 30 years, (2) full repayment no longer than the expected average useful life of major physical assets essential to the project, or (3) full repayment represented by the borrower's ability to repay the loan based on the project's cash flow projection;

(i) The amount of the loan together with other funds available to the applicant will be sufficient to carry out the project;

(j) There is reasonable assurance of repayment of the guaranteed portion of the loan from the project's income received by the borrower, and assurance that loan repayment is not dependent on interest or principal assistance;

(k) The amount of a guaranty for any loan for a project does not exceed $100,000,000, however, any loan in excess of $50,000,000 must comply with the Community Impact Assistance requirements in section 205 of Pub. L. 95–238.

(l) The total dollar amount of guarantees made under this regulation for any combination of outstanding loans to any single borrower does not exceed $200,000,000, unless the Secretary determines in writing that a guaranty in excess of these amounts is in national interest and does not adversely impact competition. Such determinations shall be submitted to the Speaker of the House and the Chairman of the Committee on Science and Technology of the House of Representatives, and to the President of the Senate and the Chairman of the Committee on Energy and Natural Resources of the Senate, accompanied by a full and complete report on the proposed project and guaranty. The proposed guaranty or commitment to guarantee will not be finalized prior to the expiration of 30 calendar days (not including any date on which either House of Congress is not in session) from the date on which the report is received by the Speaker of the House and the President of the Senate;

(m) The project is to be performed in the United States, its territories or possessions, or on property owned or leased by the United States Government outside the United States, its territories or possessions;

(n) The project is technically feasible, and that each major milestone event contains acceptable criteria;

(o) There is acceptable evidence that the applicant will initiate and complete the project in a timely and efficient manner;

(p) There is a sufficiency of geophysical, geological, hydrological and geochemical data to reasonably assure successful project completion;

(q) The applicant agrees to make available to the Manager on a timely basis specified technical and economic information, and, subject to provisions in § 790.20(b)(2), further agrees to the public dissemination of specified project information;

(r) There is satisfactory evidence of the applicant's interest in geothermal resources;

(s) There is satisfactory evidence that the project will be carried out by the use of environmentally acceptable processes in such a manner as to prevent or mitigate adverse environmental impact to the maximum extent practicable, and to comply with any applicable environmental protection and pollution control requirements;

(t) The terms and conditions set forth in the loan agreement and other documents related to the transaction are acceptable;

(u) The terms and conditions set forth in other loans relating to the project are acceptable;

(v) The Secretary of the Treasury has insured to the maximum extent feasible that the timing, interest rate, and terms and conditions of any guaranty

exceeding $25,000,000 will have the minimum possible impact on the capital market of the United States taking into account other Federal direct and indirect commercial securities activities;

(w) There are not significant adverse competitive impacts from cumulative guarantees in excess of $50,000,000 to any single applicant;

(x) There is satisfactory evidence of the applicant's right to explore and develop the geothermal resource through deed, lease, permit, license, or other entitlement.

§ 790.7 Interest and principal assistance.

(a) Whenever the borrower is unable to pay required interest or principal, the Manager, upon approval by the Secretary, may enter into interest or principal assistance contracts with the borrower to pay the lender for and on behalf of the borrower the interest charges or principal payments which become due and payable if the Secretary finds that:

(1) The borrower is unable to meet such payments and is not in default;

(2) That it is in the public interest to permit the borrower to continue to pursue the purposes of the project; and

(3) That the probable net cost to the Federal Government in paying such amounts will be less than that which would result in the event of a default.

(b) The amounts which the Manager is authorized to pay under an interest or principal assistance agreement shall be no greater than the amount of interest or principal which the borrower is obligated to pay under the loan agreement.

(c) The principal or interest assistance agreement shall provide that the borrower repay the amounts received on terms and conditions, including interest, which are satisfactory to the Secretary.

§ 790.8 Grace period.

The loan agreement shall provide specific dates for the payment of principal and interest and shall provide a period of grace of not less than 30 days for the making of any payment. The loan agreement may provide that repayment of principal may be deferred when approved by the Secretary. The lender or servicing agent shall not grant the borrower any further extension of time over and above any grace period without the prior written consent of the Manager.

§ 790.9 Period of guaranty and assistance contracts.

No loan guaranty agreement or commitment to guaranty will be made or interest or principal assistance contract entered into after September 3, 1984. Guaranty agreements in effect at that time will continue until the term of the loan is completed or until the guaranteed portion of the loan is repaid in full with accrued interest, or is otherwise terminated. Interest or principal assistance contracts in effect on September 3, 1984, will remain in effect until the contract term expires or is otherwise terminated.

§ 790.10 Information for States and Indian Tribes.

The Secretary, the Manager, or a Regional Representative of the Secretary will, as appropriate, meet with Governors of directly affected States, regional associations of Governors, heads of State agencies and commissions responsible for energy or environmental matters, and Indian Tribes for the purpose of:

(a) Discussing the status of projects guaranteed under this regulation;

(b) Identifying means to remove or mitigate legal and regulatory barriers to the accelerated use of geothermal resources;

(c) Evaluating plans to encourage growth in the geothermal industry;

(d) Discussing community impacts which may result from projects receiving a loan guaranty under this regulation; or

(e) Considering other appropriate areas.

§ 790.11 Full faith and credit and incontestability.

The full faith and credit of the United States is pledged to the payment of all guarantees issued in accordance with these regulations and such guarantees shall be valid and incontestable by the Government. The guaranty agreement entered into under these regulations shall be conclusive evidence that the guaranty and the underlying loan are in compliance with applicable law and these regulations, and that such loan has been approved.

§ 790.12 Loan funding.

(a) Loans guaranteed in accordance with these regulations may be funded through private lenders or the Federal Financing Bank. Funding by private lenders, especially during the project's construction milestones, will have preference, except in the following cases:

(1) Whenever the Secretary is required to make payments of interest differential; or,

(2) Whenever the Secretary determines, after consultation with the Secretary of the Treasury and discussion with the private lender, if any, or another lender, that the interest rate, maturity, lending fees, or other terms and conditions available to the applicant do not reflect the value of a guarantee backed by the full faith and credit of the United States.

(b) Whenever a loan is funded through the Federal Financing Bank, the loan will be serviced in accordance with the loan servicing requirements of these regulations by parties acceptable to the Manager. Reasonable servicing costs shall be paid by the borrower in addition to the guaranty fee, and the servicing cost may be included in the estimated aggregate cost of the project.

§ 790.13 Deviations.

To the extent that such requirements are not specified in Pub. L. 93–410 as amended or other applicable statutes, the Secretary may authorize deviations on an individual application basis from the requirements of this regulation (except § 790.23) upon a finding that such deviation is essential to program objectives and the special circumstances in the guaranty application make such deviation clearly in the best interest of the Government. Recommendation for any deviation shall be submitted in writing by the Manager or the Secretary. Such recommendations shall include a supporting statement which indicates briefly the nature of the deviation requested and the reasons therefore.

Subpart B—Applications

§ 790.20 Filing.

(a) A completed application for a loan guaranty under this regulation must be on a form provided by the Manager and be signed by the prospective borrower and submitted to the Manager who is responsible for processing the application. If the application involves a private lender, the form shall be signed by the lender. Application forms and information regarding the filing of applications may be obtained from the Director, Geothermal Loan Guaranty Program Office, San Francisco Operations Office, Department of Energy, 1333 Broadway, Oakland, California 94612. Telephone (415) 273–7151.

(b) (1) Prior to receipt of an application, the Manager is authorized to conduct preliminary discussions with prospective lenders, borrowers or other interested parties wishing to obtain information or advice regarding eligibility for a loan guaranty and compliance with this regulation, and whether a lender should be obtained by the borrower prior to the submission of an application.

(2) Subject to the requirements of law and applicable regulations, information such as trade secrets, commercial and

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financial information, geological, geophysical and geographic information and data (including maps) concerning wells which the borrower or lender submits to DOE during the preliminary discussion or at any other time throughout the duration of the project on a privileged or confidential basis, will not be publicly disclosed by DOE without prior notification to the submitter. Information asserted by the submitting party to be privileged or confidential shall be appropriately identified and marked.

(c) Supporting information and cost data submitted by the applicant shall be updated and furnished to the Manager whenever changes occur during DOE's consideration of the guaranty application.

§ 790.21 Supporting information.

(a) The applicant shall provide information, as prescribed by the Manager, to supplement the guaranty application. The following items are provided to illustrate the range of supporting information which may be required to enable the Manager to prepare a recommendation with respect to any pending application.

(1) Full description of the scope, nature, extent, milestones and location of the proposed project;

(2) A detailed budget-type breakdown of both the estimated aggregate cost of the project and the amount to be borrowed;

(3) Evidence showing that the amount of the loan together with equity or other financing will be sufficient to complete the project and its startup period, and provide sufficient working capital;

(4) The applicant's plan to repay the loan, including cash flow projections, assumptions regarding marketability of the project's results or product, and descriptions of the project's technical and economic feasibility and environmental acceptability;

(5) The aggregate outstanding amount of guaranty commitments or guaranteed loans previously made to the applicant under the provisions of these regulations;

(6) Where relevant to the purpose of the loan guaranty, a copy of the applicant's title or lease agreement to the property on which the project is to be carried out, supported by title opinion or other acceptable evidence of the applicant's ownership interest;

(7) Subject to § 790.20(b)(2), technical information and reports, geophysical data, well logs and core data, financial statements, milestone schedules, and maps and charts;

(8) Information covering the management experience of each officer or key person in the applicant's organization who will be associated with the project and a description of salaries (and other financial remuneration including profit sharing and stock options) to be paid to officers and employees that are, or will be, directly associated with the project;

(9) A description of the applicant's management concept, and business plan or plan of operations, to be employed in carrying out the project;

(10) A description of the intended sources and amount of capital and its form (equity, loans from principals, loans from the lender, outside financing, or factoring) together with evidence of a commitment from these sources and a copy of each such agreement, and evidence of the financial ability of each source to honor its commitment;

(11) A listing of assets associated or to be associated with the project, including appropriate data as to value and useful life of major assets essential to the project, and a description of any other security offered as collateral for the loan;

(12) A listing all permits or authorizations required by Federal, State and local government agencies to conduct the project and a copy of each application for approval of such permits or authorizations when issued or statement of planned filing dates and expected date of approval;

(13) A description of the applicant's organization and, as applicable, a copy of the business certificate, partnership agreement or corporate charter, bylaws, and appropriate authorizing resolutions;

(14) The lender's written assessment of all aspects of the borrower's loan application in such detail as would be expected by prudent lenders considering a loan without a guaranty, together with copies of the proposed loan agreement, the applicant's financial statements, investigations from credit bureaus, references, bank, inquiries, and professional organizations;

(15) A copy of all loan agreements pertaining to the project and written assurance from any existing lenders of project funds that the loan amounts as well as terms and conditions imposed by lenders on such loans will not be altered in any significant respect without the prior approval of the Manager;

(16) Evidence of consultation conducted by the applicant with appropriate agencies of any affected State regarding the proposed project, and a description of any adverse social or economic impacts which may occur in the community in which the project will be located;

(17) A disclosure by the lender and the servicing agent of (i) whether any of its officers, directors, major stockholders or other major owners have a financial interest in the applicant and (ii) whether any of the applicant's officers, directors, major stockholders or other major owners have a financial interest in the lender or the servicing agent;

(18) Any other information required by the Manager to fully evaluate the guaranty application;

(19) Environmental information which will identify probable environmental impacts resulting from construction and operation of the proposed project. Applicants should consult with DOE as early as possible in their planning process to obtain guidance with respect to the appropriate level and scope of environmental information to be submitted as part of their application.

(b) In addition to supporting information illustrated in paragraph (a) of this section, the Manager may independently obtain or may require the submisson of certain information regarding the lender or servicing agent, as deemed necessary by the Manager, to include but not be limited to:

(1) A description of the lender's or servicing agent's organization and a copy of the business certificate, partnership agreement or corporate charter, bylaws, and appropriate authorizing resolutions;

(2) Copies of investigation reports obtained from credit bureaus, reference and bank inquiries, and professional associations;

(3) A description of the management experience of each officer or key person in the lender's or servicing agent's organizations who will be servicing the loan;

(4) A description of the management techniques and plan to be employed by the lender or servicing agent in monitoring and servicing the loan; and

(5) A copy of the lenders' conditional loan commitment document, if any, issued to the applicant.

(c) The Manager shall consider the application and other relevant information and shall be responsible for: (1) Determining whether the application is in compliance with these regulations; (2) assessing and evaluating the financial, technical, environmental, legal, management, and marketing aspects of the project; (3) assessing the availability of the project's financing, other than that provided by the proposed guaranty for the project, and assessing whether such financing is adequately committed; and, (4) recommending to the Secretary approval or disapproval of the application. The Manager shall include with a recommendation for approval a description of proposed pertinent terms and conditions that have been previously discussed and negotiated by the Manager with the applicant. When not approved by the Secretary, the Manager will provide the applicant with a written statement setting forth the basis for disapproval of the guaranty application.

§ 790.22 Project costs.

(a) Project costs will be recorded in accordance with generally accepted accounting principles and practices which are consistently applied.

(b) Except a set forth in paragraph (c) of this section, reasonable and customary project costs that are directly required for the project are permitted in computing the estimate aggregate cost of the project. These costs include, but are not limited to the following:

(1) Employees' salaries and wages, consultant fees and other outside assistance;

(2) Land purchase or lease payments, including reasonable real estate commissions;

(3) Engineering fees, surveys, plats, title insurance, recording fees and legal fees incurred in connection with land acquisition;

(4) Site improvements, site restoration and abandonment costs, access roads and fencing;

(5) Drilling of exploration wells, shallow heat-flow wells, and test, production and reinjection wells;

(6) Buildings, transmission lines, power plant equipment, and machinery;

(7) Taxes (including tax advances associated with community impact planning) to be paid to Federal, State and local government agencies and other taxing authorities;

(8) Insurance, including flood insurance, and bonds of all types;

(9) Engineering, geological, and architectural fees paid in connection with drilling, machinery selection, design, acquisition and installation;

(10) Research, exploration or development necessary to complete the project;

(11) Professional services and fees necessary to obtain licenses and permits and to prepare environmental reports and data;

(12) Interest costs charged by the lender and, except as provided in § 790.22(c)(5), interest payments to other lenders;

(13) Costs incurred for the benefit of the project prior to approval of the guaranty agreement that are directly connected with the project, including costs to prepare the loan guaranty application and its supporting data;

(14) Technical and socio-economic information dissemination costs, and community impact assistance costs;

(15) Costs to provide safety and environmental protection equipment, facilities and services;

(16) Travel and transportation costs;

(17) Bond or private placement financing cost and trustee fees;

(18) Fees for royalties and licenses;

(19) Costs associated with acquiring geophysical and other technical data;

(20) Financial and legal services costs;

(21) Costs to comply with terms and conditions specified in the guaranty agreement or with applicable laws, rules and regulations;

(22) Expenses associated with an initial period of starting operations; and

(23) A contingency reserve.

(c) Costs which are not considered as part of the estimated aggregate cost of the project are illustrated below:

(1) Company organizational expenses not directly related to the project;

(2) Parent corporation general and administrative expenses and other parent corporation assessments;

(3) Dividends and profit sharing to stockholders, employees and officers;

(4) Goodwill, franchises, or trade or brand name costs;

(5) Except as provided in § 790.31, fees or commissions charged to the borrower for finding a loan and interst costs and associated fees on loans to cover the applicant's equity in the project;

(6) Operating expenses (including interest costs) incurred after an initial period of start-up; and

(7) Costs that are excessive or are not directly required to carry out the project.

(d) Independently, or at the direction of the Secretary, the Manager may review any or all cost elements included by the applicant in the estimated aggregate project cost. The applicant shall make available records and other data necessary to permit the Manager to conduct this review. In carrying out this review responsibility, the Manager may utilize employees of Federal agencies or may direct the applicant to submit to a review performed by an independent public accountant or other competent authority.

(e) When costs incurred prior to the approval of the guaranty agreement, as provided in § 790.22(b)(14), are included in the estimated aggregate project cost, the applicant, if requested by the Manager, shall make available to auditors selected by the Manager financial and other records necessary to complete an audit of such costs.

(f) In the case of a guaranty for the purposes specified in § 790.4(a)(5), the estimated aggregate cost of the project can only be that portion of the total cost which is directly related to the utilization of geothermal energy within the structure or facility. However, the estimated aggregate cost of the project may include construction and start-up operations when the facility or structure is to be located near a geothermal energy resource predominantly for the purpose of utilizing geothermal energy, or as determined by the Secretary, the economic viability of the project is substantially dependent on the performance of the geothermal reservoir.

§ 790.23 Environmental considerations.

(a) The issuance of a Federal guarantee for a loan under these regulations is subject to the provisions of the National Environmental Policy Act of 1969 (NEPA) (42 U.S.C. 4321 et seq. Pub. L. 91–190) and applicable regulations, rules and guidelines implementing NEPA.

(b) As part of the NEPA review to be accorded individual applications, DOE shall review and consider the environmental impacts associated with the commercial operation of the project throughout its useful life. Such considerations shall be carried out even where the proposed guaranty may be limited to only a small or preliminary segment of the entire commercial project. (For example, if the guaranty is for a project to complete a steam supply system for a future powerplant, the environmental impacts of construction and operation of the powerplant and related transmission lines over the useful life of the plant would be evaluated along with the impacts associated with drilling and surface gathering construction.) Approval of a disbursement under a guaranty, shall not be made unless the applicable requirements of the NEPA have been met.

(c) The issuance of a loan guaranty under this regulation is subject to the provisions of Executive Orders 11988—Floodplain Management, and 11990—Protection of Wetlands. Applicants for loan guarantees under this regulation should familiarize themselves with these Orders and with the DOE regulations implementing them (proposed 10 CFR Part 1022, published at 43 FR 31108, July 19, 1978).

§ 790.24 Mandatory purchase of flood insurance.

The Flood Disaster Protection Act of 1973 (Pub. L. 92–234) may require purchase by the applicant of flood insurance as a condition of receiving a guaranty on loans for acquisitions or construction purposes in an identified flood plain area having special flood hazards. Applicants having questions

regarding compliance with provisions of the Flood Disaster Protection Act and guidelines of the Federal Insurance Administration should refer them to the Manager.

Subpart C—Servicing and Closing

§ 790.30 Loan servicing by lender or servicing agent.

The lender may not assign to another lender or servicing agent those loan servicing functions required by these regulations unless prior written approval is obtained from the Manager. Except when the loan is funded through the Federal Financing Bank, a private lender or a servicing agent shall agree that:

(a) Loan servicing is a responsibility of the lender who shall exercise such care and diligence in the disbursement, servicing and repayment of the loan as would be exercised by a reasonable and prudent lender in dealing with a loan without guaranty;

(b) When the lender is a private entity that normally does not service loans, or is the Federal Financing Bank, the Secretary may waive the lender's loan servicing requirements and permit the loan to be serviced by a servicing agent acceptable to the Manager.

(c) The lender or servicing agent shall notify the Manager in writing without delay:

(1) That disbursement for the first project milestone is ready to be made, together with evidence from the borrower that the project has commenced or is about to commence;

(2) Of the date and amount of disbursement for each subsequent project milestone under the loan;

(3) If, excluding any grace period, the lender or servicing agent has not received payment within 10 days after the date specified for payment in the loan agreement, together with evidence of appropriate notifications made by the lender or servicing agent to the borrower;

(4) Of any failure, known to the lender or servicing agent, by an intended source of capital to honor its commitment;

(5) Of any failure by the borrower, known to the lender or servicing agent, (i) to comply with terms and conditions as set forth in the loan agreement or (ii) to comply with terms and conditions in the guaranty agreement that the lender or servicing agent has agreed to monitor;

(6) If the lender or servicing agent has information that the borrower may be violating or about to violate any of the default conditions set forth in the loan agreement or that the borrower may not be able to meet any future scheduled payment of principal or interest;

(7) Of any liens or any other encumbrances recorded subsequent to execution of the loan documents; or

(8) Of all material changes from the project's cash flow projections in effect at the time the loan guaranty application is approved.

(d) The lender or servicing agent will not demand accelerated repayment unless the borrower had defaulted in the payment of principal or interest or, in other cases as specified in the guaranty agreement, if such demand has been approved in writing by the Manager.

(e) The guaranty agreement or collateral documents shall require the lender or servicing agent to submit to the Manager periodic reports on the financial status and condition of the guaranteed loan. The Manager shall prescribe the frequency, format and content of these reports. However, such reports shall, as a minimum, be required annually and shall be furnished to the Manager until such time as the guaranteed portion of the loan and interest or principal assistance is repaid.

§ 790.31 Guaranty fee.

(a) A guaranty fee of not more than one percent shall be paid annually by the lender or servicing agent at a rate specified in the guaranty agreement or collateral documents. Fees collected by the Manager shall be deposited in the Geothermal Resource Development Fund. The fee shall be imposed on the average amount of the guaranteed portion of the loan outstanding during the year. The fee requirement may be passed to the borrower by the lender or servicing agent and in such instances may be included in the estimated aggregate cost of the project. When the Federal Financing Bank is the lender, the borrower shall pay the guaranty fee directly to the Manager.

(b) At the time the guaranty agreement is concluded, as set forth in § 790.45(d), the lender shall present to the Manager payment of the first year's guaranty fee. Subsequent payments of the fee shall be made yearly by the lender or servicing agent on the anniversary date of closing. If an interest or principal assistance contract is in effect, payments of this fee, if passed by the lender or servicing agent to the borrower, may be deferred by the Manager for an appropriate time.

(c) The Secretary shall periodically determine whether the existing guaranty fee is sufficient to cover aniticipated administrative expenses, interest differential payments, and probable default costs, and when appropriate, establish a revised fee rate, not to exceed one percent, to be applied to current and new quaranty agreements.

§ 790.32 Geothermal resources development fund.

(a) As provided in Section 204(a) of Pub. L. 93–410, there is established in the Treasury of the United States a Geothermal Resources Development Fund, which is available to the Secretary in carrying out any loan guaranty, interest or principal assistance, and interest differential payments. Balances in the Fund are available for necessary administrative expenses incurred by or on behalf of DOE in carrying out the provisions of this regulation.

(b) Appropriations to the Geothermal Resources Development Fund that are made available through legislation, or repayments made by borrowers in accordance with terms and conditions in interest or principal assistance contracts, or amounts returned through recoveries by the U.S. Attorney General, or amounts collected as guaranty fees shall be deposited in the Fund.

(c) If at any time balances in the Fund are insufficient to enable the Secretary to discharge DOE's obligations and responsibilities under this regulation, the Secretary, subject to provisions in appropriations acts, may borrow funds from the Secretary of the Treasury upon the issuance of notes or other obligation instruments containing terms and conditions prescribed by the Secretary of the Treasury.

§ 790.33 Project monitoring.

The guaranty agreement or collateral documents shall provide that employees and representatives of DOE shall, with the Manager's approval, have access at reasonable times and under reasonable circumstances to the project site. Further, the agreement shall provide that auditors selected by DOE or the U.S. Comptroller General shall have access to, and the right to examine any directly pertinent documents and records of the borrower. The lender or servicing agent, to the extent lawful and within their control, and borrower will assure availability of information related to the project as is necessary to permit the Manager to determine technical progress, soundness of financial condition, management stability, compliance with environmental protection requirements, and other matters pertinent to the guaranty.

§ 790.34 Loan disbursements and drawdowns.

(a) Unless otherwise approved by the Manager, the guaranty agreement or collateral documents shall provide that the lender or servicing agent shall not permit the borrower to drawdown any funds under the loan agreement until the lender or servicing agent has:

(1) provided the notification set forth in § 790.30(c) (1) and (2) and has received written notice from the Manager that disbursement for the applicable milestone is approved; and

(2) received from the borrower satisfactory documentary evidence, as provided in § 790.35, that loan drawdowns requested will be used to pay allowable project costs incurred or to be incurred by the borrower.

(b) The Manager is authorized to disapprove loan disbursement requests and in such instances shall provide the borrower and lender or servicing agent with a written statement setting forth reasons for the Manager's disapproval.

(c) When the loan is fully guaranteed, the lender or servicing agent will not withhold loan drawdowns from the borrower except upon written notification from the Manager, or in the absence of satisfactory documentary evidence.

§ 790.35 Satisfactory documentary evidence.

The loan agreement shall provide that the borrower furnish to the lender or servicing agent a written statement in support of each request by the borrower for loan drawdowns. This statement shall set forth, in such detail as the lender, servicing agent or Manager may require, the purposes for which drawdown is requested and an attestation that such disbursements will be used only for those purposes. Each drawdown request shall be signed by a person authorized to order the expenditure of the borrower's funds. The manager shall be notified by the lender or servicing agent whenever the borrower's documentary evidence is judged by the lender to be unsatisfactory.

§ 790.36 Reduction or withdrawal of guaranty.

(a) The Secretary, may, upon the written recommendation of the Manager, withdraw the guaranty by written notice to the lender and the borrower if it is determined that initiation of the project has not occurred within the period of time set forth in the guaranty agreement or collateral documents. Within 60 days after the written notice is issued, the Manager shall reimburse the lender for the full amount of the guaranty fee paid by the lender if the fee has not been passed to the borrower.

(b) The Secretary may, upon the written recommendation of the Manager, reduce the guaranty by written notice to the lender and the borrower if it is determined that:

(1) The borrower has failed to acquire capital from intended or alternate sources, or has failed to comply with material terms and conditions as set forth in the loan or guaranty agreement. The Manager will notify the borrower and the lender that the guaranty shall be reduced only to the amount that has been received by the borrower as of the date of the written notice;

(2) The lender has failed to comply with any material term or condition set forth in the guaranty or loan agreement. The guaranty may be reduced to the amount that has been received by the borrower as of the date the Manager's notice of reduction of the guaranty. Notice of the Manager's finding that a material term has not been complied with by the lender shall be sent by the Manager to the borrower and the lender. Following notification, the borrower will be allowed reasonable time to acquire a substitute lender that is capable of complying with provisions in the loan and guaranty agreements. When the borrower obtains a substitute lender satisfactory to the Manager a new guaranty agreement will be executed and the original lender be reimbursed by the borrower for unpaid principal outstanding and accrued interest; or

(3) The project's economic success or environmental acceptability is no longer achievable as determined by the Secretary. The guaranty shall be reduced to amounts which have been received by the borrower as of the date that the notice is received by the lender. Any guaranteed funds held by a servicing agent shall be returned to the lender.

(c) The guaranty agreement or collateral documents shall provide that the lender will obtain a substitute servicing agent whenever the Manager, by written notice to the lender, determines that the current servicing agent has failed to comply with a material term or condition in the guaranty agreement or collateral document. Any failure by a servicing agent shall not result in a withdrawal or reduction of the guaranty.

§ 790.37 Default, demand, payment and collateral liquidation.

(a) In the event that the borrower has defaulted in the making of required payments of principal or interest on any portion of a loan guaranteed in accordance with these regulations, and such default has not been cured within the period of grace provided in the loan agreement, the lender, or any other holder, or nominee or trustee empowered to act for the lender or holder (referred to in this section collectively as "holder"), may make written demand upon the Manager for payment pursuant to the guaranty agreement.

(b) In the event that the borrower is in default as a result of a breach of one or more of terms and conditions of the guaranty agreement, note, loan agreement, or other contractual obligation related to the transaction, other than the borrower's obligation to pay principal or interest, as provided in § 790.37(a) the holder shall not automatically be entitled to make demand for payment pursuant to the guaranty, unless the Secretary agrees in writing that such default has materially affected the rights of the parties, and finds that the holder should be entitled to receive payment of the outstanding guaranteed debt.

(c) No provision of these regulations shall be construed to preclude forbearance by the lender and the Secretary for the benefit of the borrower.

(d) Upon the making of demand for payment as provided in § 790.37 (a) or (b), the holder shall provide, in conjunction with such demand or immediately thereafter, at the request of the Manager, such supporting documentation as may be reasonably required to justify such demand.

(e) Payment of the guaranteed debt shall be made 60 days after receipt by the Manager of written demand for payment, provided the demand is in compliance with terms of the guaranty agreement, applicable law, and these regulations. The guaranty agreement will provide that interest shall accrue during that 60 day period at the same rate as is stated in the loan agreement. Upon expiration of the 60 day period, interest shall accrue at a rate specified in the guaranty agreement.

(f) Upon payment of the guaranteed debt pursuant to these regulations, the holder shall transfer and assign to the Secretary all rights held by the holder in the guaranteed portion of the debt. Such assignment shall include the guaranteed portion of the loan and related security and collateral rights. Through such payments and assignment, the Secretary shall be subrogated to the rights of the recipient of the payment and shall have superior rights in and to the property acquired from the recipient of the payment.

(g) When so provided, the lender or servicing agent and the Manager may jointly agree to a plan of liquidation of the collateral pledged to secure the guaranteed debt, and thereafter the lender or servicing agent may undertake such liquidation and make application

of the proceeds derived thereby in accordance with terms and conditions in the loan agreement or the written plan of liquidation.

(h) Where payment of the guaranteed debt has been made and the lender or servicing agent has not undertaken a plan of liquidation, the Secretary, in accordance with the rights received through subrogation and acting through the U.S. Attorney General, shall seek to foreclose on the collateral assets and take such other legal action as necessary for the protection of the Government.

(i) If the Secretary is awarded title to collateral assets as a result of a foreclosure proceeding, the Secretary may take action to complete, maintain, operate, lease, or otherwise dispose of the project facilities, or to permit the borrower to continue the project if the Secretary determines this to be in the public interest.

(j) In addition to foreclosure and sale of collateral, the U.S. Attorney General shall take appropriate action in accordance with rights contained in the guaranty agreement or collateral documents to recover costs incurred by the Government as a result of the defaulted loan. Any recovery so received by the U.S. Attorney General on behalf of the Government shall be applied in the following manner: First to the expenses incurred by the U.S. Attorney General and DOE in effecting such recovery; second to reimbursement of any amounts paid by DOE as a result of the loan guaranty; third to any amounts owed to DOE under related principal and interest assistance contracts; and fourth to any other lawful claim held by the Government on such proceeds. Any sums remaining after full payment of the above shall be available for the benefit of other parties lawfully entitled to claim them.

§ 790.38 Perfection of liens and preservation of collateral.

(a) The guaranty agreement or collateral documents shall provide that the lender or servicing agent will take those actions necessary to perfect and maintain liens, as applicable, on assets which are collateral for the guaranteed portion of the loan. Upon default by the borrower, the holder of collateral shall take actions as required in the guaranty agreement or such as the Manager may reasonably require to provide for the care, preservation, protection and maintenance of such collateral so as to enable the United States to achieve maximum recovery upon default of the loan. The Manager shall reimburse the holder of collateral for reasonable and appropriate expenses incurred in taking actions required by the Manager. Except as provided in § 790.37, the lender or servicing agent shall not waive or relinquish, without the consent of the Manager, any collateral for the loan to which the United States would be subrogated upon payments under the guaranty agreement.

(b) In the event of a default the Manager may enter into contracts as required to preserve the collateral for the loan and to complete unfulfilled environmental requirements. The cost of such contracts may be charged to the Geothermal Resource Development Fund.

§ 790.39 Treatment of payments.

When the lender holds a guaranteed and non-guaranteed portion of the same loan, payments of principal under the loan agreement made by the borrower shall be applied by the lender to reduce the guaranteed and non-guaranteed portions of the loan on a proportionate basis.

§ 790.40 Assignment and participation in the guaranteed loan.

(a) The lender may sell all or part of the guaranteed loan or provide other parties with participating shares in the guaranteed loan without the prior consent of the Manager or Secretary. However, the original lender or servicing agent shall continue to be responsible for and perform the duties and obligations of the lender as set forth in the guaranty agreement, unless the Manager approves a substitute lender or servicing agent.

(b) If participating shares in the guaranteed loan are sold by a lender, or if the lender assigns any portion of the guaranteed loan, written notice shall be given by the lender or servicing agent to the Manager and the borrower in a manner prescribed by the guaranty agreement or collateral documents.

(c) The guaranty agreement may provide for the transfer, by the lender, of any part of the guaranteed loan to other parties and provide the conditions under which the guaranty will accompany the transfer.

§ 790.41 Survival of guaranty agreement.

Any guaranty agreement shall be binding upon the lender, the borrower and the Secretary and upon their successors and assigns. No delay or failure of the Secretary or the Manager in the exercise of any right or remedy and no single or partial exercise of any right or remedy shall preclude the exercise of any further rights; and no action taken or omitted by the Secretary or the Manager shall be deemed a waiver of any right or remedy of the United States.

§ 790.42 Modifications to existing guaranty agreements.

The Manager may approve modifications to terms and conditions in existing guaranty agreements and collateral documents pertaining to the project only upon determining that such modifications will not (a) substantially change the project's scope, cost and purpose; (b) deviate from provisions in this regulation; or (c) compromise the loan agreement schedule for loan repayment. When the Manager finds that a substantive modification to existing terms and conditions is desirable or necessary, or a substantive modification is requested in writing by the borrower and lender or servicing agent, a written recommendation shall be forwarded for approval by the Secretary.

§ 790.43 Other Federal assistance.

(a) Nothing in these regulations shall be interpreted to deny or limit the borrower's right to seek and obtain other Federal financial assistance (e.g., contracts, grants, cooperative agreements, direct loans or guaranteed loans). For purposes of this section, other financial assistance does not include revenue sharing funds or any tax benefits. However, the total amount of Federal financial assistance, including guarantees made under these regulations, obtained by the borrower for the benefit of the project, shall not exceed 75 percent of the estimated aggregate cost of the project to be undertaken by the borrower.

(b) After concluding a loan guaranty agreement, the borrower shall not undertake any work in connection with the project for a Federal agency without the Manager's written approval.

§ 790.44 Inventions and other intellectual property.

(a) Inventions and other intellectual property (including copyrights, trademarks, and proprietory data) accruing to the borrower and resulting from the project will remain with the borrower. In the case of default, such property shall be treated as project assets in accordance with terms and conditions in the guaranty agreement.

(b) Where the principal purpose of the loan is for research and development with respect to extraction and utilization technologies, or for the development or demonstration of new and unique facilities or equipment, the guaranty agreement may provide that inventions and other intellectual property resulting from the project, which are owned or controlled by the borrower, shall be made available for use within the United States upon reasonable terms and conditions including provisions, if necessary, which protect the confidentiality thereof, if such action is determined by the Secretary to be in the public interest. This requirement will normally not be imposed where the principal purpose of the loan to be guaranteed is to utilize generally available technology to explore and evaluate a geothermal resource base, or to acquire rights in geothermal resources. The applicant (borrower) agrees:

(1) not to discriminate against any person on the grounds of race, color, national origin, sex, handicap, or age, in the carrying out or completion of any project where a loan guarantee is issued under this regulation and to comply with the DOE "Nondiscrimination in Federally Assisted Programs" regulations implementing the Civil Rights Requirements of Title VI of the Civil Rights Act of 1964; Section 16 of the Federal Energy Administration Act of 1974; Section 401 of the Energy Reorganization Act of 1974; Title IX of the Higher Education Amendments of 1972; Section 504 of the Rehabilitation Act of 1973; the Age Discrimination Act of 1975; and the Civil Rights Requirements administered pursuant to the DOE Organization Act; and

(2) to incorporate or cause to be incorporated into all construction contracts under the guaranteed loan the provisions prescribed by 41 CFR Part 60 pursuant to the provisions prescribed for Government contracts by Section 202 of Executive Order No. 11246, September 28, 1965, 30 FR 12319 (regarding nondiscrimination in employment by Government contractors and subcontractors.

§ 790.45 Closing.

(a) When an application for a loan guaranty has been approved by the Assistant Secretary, the Manager shall notify the lender and the applicant and provide them with a copy of the terms and conditions underlying DOE's approval of the guaranty;

(b) A preclosing conference will be arranged by the Manager, if the lender or applicant requests one, to discuss the terms and conditions;

(c) Requests by the lender or applicant for substantive modification of the terms and conditions in the guaranty agreement or collateral documents shall be submitted by the Manager for the Assistant Secretary's consideration, supported by such documentation and facts as would justify the requests; and,

(d) Immediately after approval of all terms and conditions by the parties, the Manager shall arrange with the lender and the applicant for the preparation and review of necessary documents and agree upon a dated for execution of the guaranty agreement and collateral documents and payment of the guaranty fee.

§ 790.46 Nondiscrimination in Federally assisted programs.

(a) Applicants and recipients of Federal assistance from DOE are obligated to comply with civil rights requirements of the following public laws: Title VI of the Civil Rights Act of 1964; Title IX of the Higher Education Amendments of 1972; Section 16 of the Federal Energy Administration Act of 1974; Section 401 of the Energy Reorganization Act of 1974; Section 504 of the Rehabilitation Act of 1973; and the Age Discrimination Act of 1975. The Energy Conservation and Production Act of 1976, as amended, Pub. L. 94–385, 90 Stat 1158, 42 U.S.C. 6870.

(b) To be in compliance with civil rights requirements, an applicant/recipient, among other obligations, must submit a written assurance that the program will be operated in a manner which does not exclude from participation in or deny the benefits or services to that it does not discriminate on the basis of race, color, national origin, sex, age, or handicap.

§ 790.47 Suspension, termination or cancellation of operations or production on Federal land and leases administered by the Secretary of the Interior.

(The terms of this section which apply to the "Supervisor" of the United States Geological Survey or the "authorized officer" of the United States Bureau of Land Management shall apply, when applicable, to the appropriate "Forest Supervisor" when projects are located on National Forest Service lands.)

(a) The Manager shall inform the Supervisor (as defined in 30 CFR 270.2 (c)) when a loan guaranty is approved involving a Federal lease, so as to provide for future coordination of the loan guaranty program and lease administration.

(b) Under regulations issued by the Department of Interior, a leaseholder may, as provided in 43 CFR 3205.3–8 and 30 CFR 270.17, apply for suspension of operations or production, or both, under a producing geothermal lease (or for relief from any drilling or producing requirements of such a lease). When a loan guaranty has been issued under this regulation for a project to be conducted by a qualified borrower who is a lessee under the above cited regulation, the borrower shall submit a copy of any suspension application to the Manager, together with a statement setting forth complete information showing the effect of such suspension on the borrower's ability to comply with terms and conditions set forth in the loan and guaranty agreements. The Manager shall notify the borrower and the Secretary in those situations when approval of any such application might cause default by the borrower. Except in cases where potential environmental safety or reservior damage is imminent, the borrower shall obtain the Manager's approval prior to submitting a suspension application to the Supervisor.

(c) 43 CFR 3204.3 requires that each geothermal lease issued by the Department of the Interior provide for the readjustment of terms and condtions at not less than 10-year intervals beginning 10 years after the date geothermal steam is produced. When a guaranty under this regulation has been issued for a loan on a project to be conducted by a borrower who is a lessee, and the borrower files an objection to any proposed readjustment with the Authorized Officer (as defined in 43 CFR 3000.0–5 (f)) a copy of the objection shall be submitted without delay by the borrower to the Manager. The Manager shall foward a copy of the objection to the Secretary and to those lenders concerned and shall consult with the Authorized Officer regarding any final action by the Authorized Officer which might terminate the lease. The Manager shall prepare an assessment on the effect of the proposed readjustment of lease terms and conditions that would substantially limit the borrower's ability to comply with the terms and conditions set forth in the loan agreement. The manager shall forward his assessment in writing to the Secretary, the Authorized Officer and the Supervisor.

(d) Upon receipt by the lessee of notice of a proposed cancellation of a lease by the Authorized Officer, the lessee with a loan guaranteed under this regulation will provide the Manager and the lender with notice of such proposed action. Upon receipt of such notice the Manager will consult with the Supervisor and Authorized Officer for the purpose of determining whether the public interest can best be served by an acceptable alternative arrangement, such as obtaining assignments for a party qualified to hold geothermal leases who is a qualified borrower and who is willing to assume the original lessee's loan agreement and related

undertaking, so that operation and production can continue.

§ 790.48 Appeals.

The guaranty agreement or collateral documents shall provide that any dispute concerning a question of fact arising under a guaranty agreement shall be decided in writing by the Manager. The borrower, lender or servicing agent, as appropriate, may within seven days after receipt of any such decision request reconsideration by the Manager. If not satisfied with the final written decision, the borrower, lender or servicing agent may appeal the decision within 30 days, in writing, to the Chairman, Board of Contract Appeals (CA–1), Department of Energy, Washington, D.C. 20585. That Board, when functioning to resolve such a dispute under a loan guaranty, shall proceed in the same general manner as when it presides over appeals involving contract disputes. The decision of the Board with respect to such appeals shall be the final decision of the Department.

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The following agencies have agreed to publish all documents on two assigned days of the week (Monday/Thursday or Tuesday/Friday).

This is a voluntary program. (See OFR NOTICE FR 32914, August 6, 1976.)

Monday	Tuesday	Wednesday	Thursday	Friday
DOT/SECRETARY*	USDA/ASCS		DOT/SECRETARY*	USDA/ASCS
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DOT/FHWA	USDA/FSQS		DOT/FHWA	USDA/FSQS
DOT/FRA	USDA/REA		DOT/FRA	USDA/REA
DOT/NHTSA	MSPB/OPM		DOT/NHTSA	MSPB/OPM
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DOT/SLSDC	HEW/FDA		DOT/SLSDC	HEW/FDA
DOT/UMTA			DOT/UMTA	
CSA			CSA	

Documents normally scheduled for publication on a day that will be a Federal holiday will be published the next work day following the holiday.

Comments on this program are still invited. Comments should be submitted to the Day-of-the-Week Program Coordinator, Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408

***NOTE: As of July 2, 1979, all agencies in the Department of Transportation, will publish on the Monday/Thursday schedule.**

REMINDERS

Rules Going Into Effect Today

Note: There were no items eligible for inclusion in the list of Rules Going Into Effect Today.

Listing of Public Laws

Last Listing December 17, 1979

This is a continuing listing of public bills from the current session of Congress which have become Federal laws. The text of laws is not published in the **Federal Register** but may be ordered in individual pamphlet form (referred to as "slip laws") from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (telephone 202–275–3030).

H.R. 5871 / Pub. L. 96–144 To authorize the apportionment of funds for the Interstate System, to amend section 103(e)(4) of title 23, United States Code, and for other purposes. (Dec. 13, 1979; 93 Stat. 1084) Price $.75.

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[A cumulative checklist of CFR issuances for 1979 appears in the back of the first issue of the Federal Register each month in the Reader Aids section. In addition, a checklist of current CFR volumes, comprising a complete CFR set, appears each month in the LSA (List of CFR Sections Affected).]

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12-19-79
Vol. 44 No. 245
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federal register

Wednesday
December 19, 1979

NOTE:

Due to a shortage of newsprint, today's **Federal Register** is printed on a higher quality paper. As supplies become available, the **Federal Register** will resume the use of newsprint.

Highlights

75091 **President's Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research** Executive Order

75093 **Conservation of Petroleum and Natural Gas** Executive Order

75165 **Iranian Students** Justice/INS extends reporting period to December 31, 1979 for students from Iran to provide information as to residence and maintenance of nonimmigrant status; effective 12-17-79

75352, 75353 **Iranian Assets** Treasury/Foreign Assets Control Office amends control regulations (Part VII of this issue) (2 documents)

75332 **Community Development Block Grant Plan** HUD/CPD proposes to make program flexible and responsive to special needs, cultural traditions and legal circumstances of Indian Tribes; comments by 2-19-80 (Part IV of this issue)

75236 **Emergency School Aid** HEW/OE invites applications for planning and transitional grants

75237 **Emergency School Aid** HEW/OE closing date for transmittal of applications for grants to nonprofit organizations is withdrawn

CONTINUED INSIDE

FEDERAL REGISTER Published daily, Monday through Friday, (not published on Saturdays, Sundays, or on official holidays), by the Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408, under the Federal Register Act (49 Stat. 500, as amended; 44 U.S.C. Ch. 15) and the regulations of the Administrative Committee of the Federal Register (1 CFR Ch. I). Distribution is made only by the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402.

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Highlights

75237 **State Formula Grant Program and State Leadership Program** HEW/OE announces agreement for fiscal year 1980; apply by 1-20-80

75236 **State Student Incentive Grant Program and State Student Financial Assistance Training Program** HEW/OE specifies closing dates for receipt of applications for fiscal year 1980; apply by 1-15-80 for SSIG and 3-17-80 for SSFAT

75344 **Airborne Releases of Radioactivity** EPA recommends Protective Action Guides to President (Part V of this issue)

75143 **Aid To Families With Dependent Children** HEW/SSA issues rules requiring State AFDC agencies request and use wage information to determine eligibility for assistance; effective 12-19-79

75348 **Guaranty of Mortgage-Backed Securities** HUD/GNMA proposes amendment to establish rules covering issuers' securities marketing and trading activities; comments by 2-19-80 (Part VI of this issue)

75306 **Panama Canal** Panama Canal Commission issues rules regarding operation of waterway until termination of the treaty on December 31, 1999; effective 12-31-79 (Part III of this issue)

75183 **Unemployment Compensation** Treasury/IRS proposes regulations relating to taxation; comments by 2-18-80

75185 **Tax Reform** Treasury/IRS proposes regulations relating to time for filing gift tax returns and requesting statement explaining estate or gift valuation; comments by 2-18-80

75137 **Employment Taxes** Treasury/IRS sets forth rules with respect to employees of related corporations; applies to wages paid after 12-31-78

75104 **Emergency Agricultural Credit** USDA/FmHA issues rules to clarify and simplify the existing regulations; effective date 12-19-79

75269 **Sunshine Act Meetings**

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75302 **Part II, Interior/OSM**
75306 **Part III, Panama Canal Commission**
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Presidential Documents

Title 3—

The President

Executive Order 12184 of December 17, 1979

Relating to the President's Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research

Public Law 95–622 established the President's Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research. Appropriations to fund the work of the Commission, although authorized, have not been sought or received, but entities within the Department of Health, Education and Welfare have authority and funds which may be available to carry on activities identical to those to be undertaken by the Commission. Therefore, in order to permit these entities to support the conduct of those activities by the Commission, and under the authority vested in me as President by the Constitution of the United States, it is ordered:

1–101. There is established the President's Special Commission for the Study of Ethical Problems in Medicine and Biomedical and Behavioral Research. The Special Commission established by this Order shall be constituted in accordance with and subject to the provisions of Title III of Public Law 95–622, except that it shall receive financial support, to the extent permitted by law and subject to the availability of funds, from the Department of Health, Education and Welfare. The Administrator of General Services shall provide administrative support services to the Special Commission on a reimbursable basis.

1–102. The Special Commission established by this Order shall terminate upon enactment and availability of appropriations for the Commission established by Public Law 95–622, and in any event, unless extended, no later than two years from the date of this Order. No funds transferred by the Department of Health, Education and Welfare pursuant to this Order shall be expended by either Commission following termination of the Special Commission.

Jimmy Carter

THE WHITE HOUSE,
December 17, 1979.

[FR Doc. 79–39099
Filed 12–18–79; 10:39 am]
Billing code 3195–01–M

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Presidential Documents

Executive Order 12185 of December 17, 1979

Conservation of Petroleum and Natural Gas

By the authority vested in me as President of the United States of America by Section 403(b) of the Powerplant and Industrial Fuel Use Act of 1978 (92 Stat. 3318; Public Law 95–620) and Section 301 of Title 3 of the United States Code, in order to encourage additional conservation of petroleum and natural gas by recipients of Federal financial assistance, it is hereby ordered as follows:

1–101. Each Federal agency, as that term is defined in Section 103(a)(25) of the Powerplant and Industrial Fuel Use Act of 1978 (92 Stat. 3297), shall effectuate through its financial assistance programs the purposes of that Act relating to the conservation of petroleum and natural gas.

1–102. Each Federal agency which extends financial assistance shall review those programs of financial assistance and identify those which are most likely to offer opportunities for significant conservation of petroleum and natural gas.

1–103. Within two months, and annually thereafter, each agency shall publish for comment a list of those programs which it has identified as likely to offer significant opportunity for conservation. The public shall be given 60 days to submit comments, including suggestions for rules which would effectuate the conservation purposes of the Act.

1–104. After receiving public comment and suggestions, and after consulting with the Director of the Office of Management and Budget, each agency shall publish proposed rules designed to achieve conservation of petroleum and natural gas in connection with the receipt of financial assistance.

Proposed rules should be published within 30 days of the close of the comment period under Section 1–103.

1–105. Final rules shall be adopted by each agency in accordance with the provisions of Sections 102(b), 403(b) and 701(a) of the Powerplant and Industrial Fuel Use Act of 1978, and the provisions of this Order, not later than 180 days from the date of this Order.

1–106. No one shall be awarded any financial assistance unless that award complies with the provisions of the conservation rules adopted by the agency pursuant to this Order.

1–107. To the extent permitted by law and where not inconsistent with the financial assistance program, final rules may provide for the reduction or suspension of financial assistance under any award. Such reduction or suspension shall not be ordered until there has been an opportunity for a hearing on the record, and shall last for such time as the recipient fails to comply with the terms of the conservation rule.

1–108. No conservation rule shall be adopted which is inconsistent with the statutory provisions establishing the financial assistance program.

1–109. No conservation rule shall be used to enforce compliance with any prohibition under the Act against any person or facility which has been specifically determined by the Secretary of Energy as subject to or exempt from a prohibition under the Act. The conservation rules shall be used to enforce other new ways of achieving the purposes of the Act related to the conservation of petroleum and natural gas.

1–110. In order to assess the effectiveness of this program, each agency shall annually prepare a report on its activities in accord with Section 403(b)(1)(B) of the Act. These reports shall be submitted to the President through the Secretary of Energy.

1–111. The Secretary of Energy shall prepare for the President's consideration and transmittal to the Congress the report required by Section 403(c) of the Act.

1–112. The Director of the Office of Management and Budget may issue any rules, regulations, or orders he deems necessary to ensure the implementation of this Order. The Director may exercise any of the authority vested in the President by Section 403(b) of the Act, and may redelegate such of that authority as he deems appropriate to the head of any other agency.

Jimmy Carter

THE WHITE HOUSE,
December 17, 1979.

[FR Doc. 79-39100
Filed 12-18-79; 10:40 am]
Billing code 3195-01-M

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Rules and Regulations

Federal Register
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Wednesday, December 19, 1979

This section of the FEDERAL REGISTER contains regulatory documents having general applicability and legal effect, most of which are keyed to and codified in the Code of Federal Regulations, which is published under 50 titles pursuant to 44 U.S.C. 1510.
The Code of Federal Regulations is sold by the Superintendent of Documents. Prices of new books are listed in the first FEDERAL REGISTER issue of each month.

DEPARTMENT OF AGRICULTURE

Federal Crop Insurance Corporation

7 CFR Parts 401 and 435

Tobacco (Quota Plan) Crop Insurance Regulations

AGENCY: Federal Crop Insurance Corporation.

ACTION: Final rule

SUMMARY: This rule prescribes procedures for insuring tobacco under the "Quota Plan" effective with the 1980 crop year. This rule combines provisions from previous regulations for insuring tobacco in a shorter, clearer, and more simplified document which will make the program more effective administratively. This rule is promulgated under the authority contained in the Federal Crop Insurance Act, as amended.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Peter F. Cole, Secretary, Federal Crop Insurance Corporation, U.S. Department of Agriculture, Washington, D.C., 20250, telephone 202–447–3325.

SUPPLEMENTARY INFORMATION: The Federal Crop Insurance Corporation (FCIC) published a notice of proposed rulemaking in the **Federal Register** on October 25, 1979 (44 FR 61359), outlining prescribed procedures for insuring tobacco under the "Quota Plan" effective with the 1980 crop year. In the notice, FCIC, under the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), proposed that a new Part 435 of Chapter IV in Title 7 of the Code of Federal Regulations be established to prescribe procedures for insuring tobacco under the "Quota Plan" effective with the 1980 crop year to be known as 7 CFR Part 435 Tobacco (Quota Plan) Crop Insurance.

All previous regulations applicable to insuring tobacco crops under the "Quota Plan" as found 7 CFR 401.101–401.111, and 401.148 and 150, will not be applicable to 1980 and succeeding tobacco crops but will remain in effect for Federal Crop Insurance Corporation (FCIC) tobacco insurance policies issued under the "Quota Plan" for the crop years prior to 1980.

It has been determined that combining all previous regulations for insuring tobacco crops into one shortened, simplified, and clearer regulation would be more effective administratively.

In addition 7 CFR Part 435 provides: (1) For a Premium Adjustment Table which replaces the current premium discount provisions and includes a maximum 50 percent premium reduction for good insurance experience, as well as premium increases for unfavorable experience, on an individual contract basis, (2) That any premium not paid by the termination date will be increased by a 9 percent simple interest charge applying to any unpaid balances at the end of each subsequent 12-month period thereafter, (3) That the time period for submitting a notice of loss be extended from 15 days to 30 days, (4) That the 60-day time period for filing a claim be eliminated, (5) That three coverage level options be offered in each county, (6) That the cancellation date be changed to December 31 to coincide with all other spring crops in the tobacco area, (7) For an increase in the limitation from $5,000 to $20,000 in those cases involving good faith reliance on misrepresentation, as found in 7 CFR Part 435.5 of these regulations, wherein the Manager of the Corporation is authorized to take action to grant relief and (8) That the warehouse charges shall be 6 cents for burley and 4 cents for all other types, which more nearly reflects current warehouse charges.

Under the provisions of Executive Order No. 12044, and the Administrative Procedures Act (5 U.S.C. 553 (b) and (c)), the public was given an opportunity to submit written comments, data, and views on the proposed regulations, but none were received. Therefore, with the exception of minor and nonsubstantive corrections to language, the regulations as contained in the proposed rule are hereby issued as a final rule to be in effect starting with the 1980 crop year.

In addition, there is hereby added to the final rule an Appendix "B", which lists the counties where tobacco crop insurance is available in accordance with the provisions of 7 CFR 435.1 outlined below which state in part that before insurance is offered in any county there shall be published by appendix to this part the names of the counties in which such insurance shall be offered.

Inasmuch as the publication of the list of counties and crops insured by the Federal Crop Insurance Corporation as contained in Appendix "B" merely provides guidance for the general public and has no effect on the provisions of the insurance plan, the Corporation has determined that compliance with the procedure for notice and public participation in the rulemaking process would be impracticable, unnecessary, and contrary to the public interest.

Therefore, Appendix "B" is issued without compliance with such procedure.

Part 401—Federal Crop Insurance

§§ 401.148 and 401.150 [Reserved]

Accordingly, pursuant to the authority contained in the Federal Crop Insurance Act, as amended (7 U.S.C. 1501 *et seq.*), the Federal Crop Insurance Corporation hereby deletes and reserves 7 CFR 401.148 and 401.150, with the provisions contained therein remaining in effect for FCIC insurance policies issued for crop years prior to 1980, and issues a new Part 435 in Chapter IV of Title 7 of the Code of Federal Regulations (7 CFR Part 435) to be known as the Tobacco (Quota Plan) Crop Insurance Regulations, which shall remain in effect, until amended or superseded, for the 1980 and succeeding crop years, to read as follows:

PART 435—QUOTA PLAN OF TOBACCO CROP INSURANCE

Subpart—Regulations for the 1980 and Succeeding Crop Years

Sec.

435.1 Availability of the Quota Plan of Tobacco Insurance.
435.2 Premium rates, amounts of insurance, and coverage levels.
435.3 Public notice of indemnities paid.
435.4 Creditors.
435.5 Good faith reliance on misrepresentation.
435.6 The contract.
435.7 The application and policy.
Appendix B—Counties designated for Quota Plan Crop Insurance.

Authority: Secs. 506, 516, 52 Stat. 73, as amended, 77, as amended, (7 U.S.C. 1506, 1516)

Subpart—Regulations for the 1980 and Succeeding Crop Years

§ 435.1 Availability of the Quota Plan of Tobacco Insurance.

Insurance shall be offered under the provisions of this subpart on tobacco in counties within limits prescribed by and in accordance with the provisions of the Federal Crop Insurance Act, as amended. The counties shall be designated by the Manager of the Corporation from those approved by the Board of Directors of the Corporation. Before insurance is offered in any county, there shall be published by appendix to this part the names of the counties in which the quota plan of tobacco insurance will be offered.

§ 435.2 Premium rates, amounts of insurance, and coverage levels.

(a) The Manager shall establish premium rates and coverage levels for tobacco which shall be shown on the country actuarial table on file in the office for the county and may be changed from year to year.

(b) At the time the application for insurance is made, the applicant shall elect a coverage level from among those levels shown on the actuarial table for the crop year.

§ 435.3 Public notice of indemnities paid.

The Corporation shall provide for posting annually in each county at each county courthouse a listing of the indemnities paid in the county.

§ 435.4 Creditors.

An interest of a person in an insured crop existing by virtue of a lien, mortgage, garnishment, levy, execution, bankruptcy, or an involuntary transfer shall not entitle the holder of the interest to any benefit under the contract except as provided in the policy.

§ 435.5 Good faith reliance on misrepresentation.

Notwithstanding any other provision of the quota plan of tobacco insurance contract, whenever (a) an insured person under a contract of crop insurance entered into under these regulations, as a result of a misrepresentation or other erroneous action or advice by an agent or employee of the Corporation, (1) is indebted to the Corporation for additional premiums, or (2) has suffered a loss to a crop which is not insured or for which the insured person is not entitled to an indemnity because of failure to comply with the terms of the insurance contract, but which the insured person believed to be insured, or believed the terms of the insurance contract to have been complied with or waived, and (b) the Board of Directors of the Corporation, or the Manager in cases involving not more than $20,000, finds (1) that an agent or employee of the Corporation did in fact make such misrepresentation or take other erroneous action or give erroneous advice, (2) that said insured person relied thereon in good faith, and (3) that to require the payment of the additional premiums or to deny such insured's entitlement to the indemnity would not be fair and equitable, such insured person shall be granted relief the same as if otherwise entitled thereto.

§ 435.6 The contract.

(a) The insurance contract shall become effective upon the acceptance by the Corporation of a duly executed application for insurance on a form prescribed by the Corporation. Such acceptance shall be effective upon the date the notice of acceptance is mailed to the applicant. The contract shall cover the tobacco crop as provided in the policy. The contract shall consist of the application, the policy, the attached appendix, and the provisions of the county actuarial table. Any changes made in the contract shall not affect its continuity from year to year. Copies of forms referred to in the contract are available at the office for the county.

§ 435.7 The application and policy.

(a) Application for insurance on a form prescribed by the Corporation may be made by any person to cover such person's insurable share in the tobacco crop as landlord, owner-operator, or tenant. The application shall be submitted to the Corporation at the office for the county on or before the applicable closing date on file in the office for the county.

(b) The Corporation reserves the right to discontinue the acceptance of applications in any county upon its determination that the insurance risk involved is excessive, and also, for the same reason, to reject any individual application. The Manager of the Corporation is authorized in any crop year to extend the closing date for submitting applications or contract changes in any county, by placing the extended date on file in the office for the county and publishing a notice in the **Federal Register** upon the Manager's determination that no adverse selectivity will result during the period of such extension: *Provided, however,* That if adverse conditions should develop during such period, the Corporation will immediately discontinue the acceptance of applications.

(c) In accordance with the provisions governing changes in the contract contained in policies issued under FCIC regulations for the 1969 and succeeding crop years, a contract in the form provided for under this subpart will come into effect as a continuation of a tobacco contract issued under such prior regulations, without the filing of a new application.

(d) The provisions of the application and the Quota Plan of Tobacco Insurance Policy for the 1980 and succeeding crop years, and the Appendix to the Quota Plan of Tobacco Insurance Policy are as follows:

U.S. Department of Agriculture

Federal Crop Insurance Corporation

Application for 19— and Succeeding Crop Years

Quota Plan of Tobacco Crop Insurance Contract

(Contract) _____
(Identification Number) _____
Name and Address _____
Zip Code _____
County _____
State _____
Type of Entity _____
Applicant is over 18 Yes—No—

A. The applicant, subject to the provisions of the regulations of the Federal Crop Insurance Corporation (herein called "Corporation"), hereby applies to the Corporation for insurance on the applicant's share in the tobacco planted on insurable acreage as shown on the county actuarial table for the above-stated county. The applicant elects from the actuarial table the coverage level. THE PREMIUM RATES AND COVERAGE LEVELS SHALL BE THOSE SHOWN ON THE APPLICABLE COUNTY ACTUARIAL TABLE FILED IN THE OFFICE FOR THE COUNTY FOR EACH CROP YEAR. LEVEL ELECTION—

Example: For the 19— Crop Year Only

Location/ farm No.	Insured poundage quota*	Pounds of quota insured	Amount of insurance	Premium per $100**	Practice

* Subject to the limitations provided in subsection 2(c)(2) of the policy.

** Your premium is subject to adjustment in accordance with section 5(c) of the policy.

B. WHEN NOTICE OF ACCEPTANCE OF THIS APPLICATION IS MAILED TO THE APPLICANT BY THE CORPORATION, the contract shall be in effect for the crop year specified above, unless the time for submitting applications has passed at the time this application is filed, AND SHALL CONTINUE FOR EACH SUCCEEDING CROP YEAR UNTIL CANCELED OR TERMINATED

as provided in the contract. This accepted application, the following quota plan of tobacco insurance policy, the attached appendix, and the provisions of the county actuarial table showing the coverage levels, premium rates, and any uninsurable acreage, shall constitute the contract. Additional information regarding contract provisions can be found in the county regulations folder on file in the office for the county. No term or condition of the contract shall be waived or changed except in writing by the Corporation.
Code No./Witness To Signature _____

Date _____, 19—
Address of Office for County: _____

Phone _____
Location of Farm Headquarters: _____

Phone _____

Quota Plan of Tobacco Crop Insurance Policy

Terms and Conditions

Subject to the provisions in the attached appendix:

1. *Causes of Loss.* (a) Causes of loss insured against. The insurance provided is against unavoidable loss of production resulting from adverse weather conditions, insects, plant disease, wildlife, earthquake or fire occurring within the insurance period, subject to any exceptions, exclusions or limitations with respect to causes of loss shown on the actuarial table.

(b) Causes of loss not insured against. The contract shall not cover any loss of production, as determined by the Corporation, due to (1) the neglect or malfeasance of the insured, any member of the insured's household, the insured's tenants or employees, (2) failure to follow recognized good farming practices, (3) damage resulting from the backing up of water by any governmental or public utilities dam or reservoir project, or (4) any cause not specified as an insured cause in this policy as limited by the actuarial table.

2. *Crop, Acreage and Insured Poundage Quota.* (a) The crop insured shall be tobacco of the type shown as insurable on the actuarial table and which is grown on insured acreage and for which the actuarial table shows a premium rate.

(b) The acreage insured for each crop year shall be that acreage planted to an insurable tobacco type in the county and the insured's share therein as reported by the insured or as determined by the Corporation, whichever the Corporation shall elect: *Provided,* That insurance shall not attach or be considered to have attached, as determined by the Corporation, to any acreage (1) where premium rates are established by farming practices on the actuarial table, and the farming practices carried out on any acreage are not among those for which a premium rate has been established, (2) on which it is determined by the Corporation that the tobacco was destroyed for the purpose conforming with any other program administered by the United States Department of Agriculture, (3) which is destroyed and after such destruction it was practical to replant to tobacco and such acreage was not replanted, (4) which is designated as noninsurable on the actuarial table, (5) initially planted after the date on file in the office for the county which has been established by the Corporation as being too late to initially plant and expect a normal crop to be produced, (6) planted to tobacco of a discount variety under the provisions of the tobacco price support program, (7) planted to a type or variety of tobacco not established as adapted to the area or shown as noninsurable on the actuarial table, or (8) planted for experimental purposes.

(c) The insured poundage quota shall be the effective poundage marketing quota applicable to the unit for the current crop year as provided under ASCS Tobacco Marketing Quota Regulations including any additional quota the insured intends to obtain later for the unit for the current crop year, as reported by the insured or as determined by the Corporation, whichever the Corporation shall elect: *Provided, however,* That (1) such poundage marketing quota may be reduced for any carryover tobacco to be marketed under the poundage quota applicable to the unit when such poundage reduction is clearly specified by the insured in filing the acreage and quota report, (2) the insured poundage quota shall never exceed the pounds obtained by multiplying the insured acreage by the applicable farm yield per acre, and (3) unless otherwise provided on the actuarial table, for any crop year in which tobacco poundage marketing quota regulations are not in effect, the insured poundage quota shall be the pounds obtained by multiplying the applicable farm yield per acre times the lower of the reported or insured acreage on the unit.

3. *Responsibility of Insured To Report Acreage, Share and Poundage Quota.* The insured shall submit to the Corporation on a form prescribed by the Corporation, a report showing (a) all acreage of insurable types of tobacco planted in the county (including a designation of any acreage to which insurance does not attach) in which the insured has a share, (b) the insured's share therein at the time of planting, and (c) the effective poundage marketing quota applicable to the unit for the current crop year as provided under ASCS Tobacco Marketing Quota Regulations including any additional quota the insured intends to obtain later for the unit for the current crop year. Such poundage marketing quota may be reduced for any carryover tobacco to be marketed under the poundage quota applicable to the unit provided such poundage reduction is clearly specified in filing the acreage and quota report. The quota so reported shall not be subject to change by the insured. Such report shall be submitted each year not later than the acreage reporting date on file in the office for the county.

4. *Amounts of Insurance and Coverage Levels.* (a) For each crop year of the contract, the coverage levels shall be as provided on the actuarial table.

(b) The amount of insurance for a unit shall be the dollar amount determined by multiplying the insured poundage quota for the unit by the percentage guarantee for the applicable coverage level shown on the actuarial table for this purpose and multiplying this result (1) by the current year's support price for type 31 (rounded to the nearest cent) less six cents per pound for warehouse charges, or (2) by the previous year's support price for all other types (rounded to the nearest cent) less four cents per pound for warehouse charges.

5. *Annual Premium.* (a) The annual premium is earned and payable at the time of planting and the amount thereof shall be determined by multiplying the dollar amount of insurance for the unit times the applicable premium rate, times the insured's share at the time of planting, times the applicable premium adjustment percentage in subsection (c) of this section.

(b) For premium adjustment purposes, only the years during which premiums were earned shall be considered.

(c) The premium shall be adjusted as shown in the following table:

BILLING CODE 3410-08-M

% ADJUSTMENTS FOR FAVORABLE CONTINUOUS INSURANCE EXPERIENCE

	Numbers of Years Continuous Experience Through Previous Year															
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15 or more
Loss Ratio 1/ Through Previous Crop Year	Percentage Adjustment Factor For Current Crop Year															
.00 – .20	100	95	95	90	90	85	80	75	70	70	65	65	60	60	55	50
.21 – .40	100	100	95	95	90	90	90	85	80	80	75	75	70	70	65	60
.41 – .60	100	100	95	95	95	95	95	90	90	90	85	85	80	80	75	70
.61 – .80	100	100	95	95	95	95	95	95	90	90	90	90	85	85	85	80
.81 – 1.09	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100	100

% ADJUSTMENTS FOR UNFAVORABLE INSURANCE EXPERIENCE

	Number of Loss Years Through Previous Year 2/															
	0	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15
Loss Ratio 1/ Through Previous Crop Year	Percentage Adjustment Factor For Current Crop Year															
1.10 – 1.19	100	100	100	102	104	106	108	110	112	114	116	118	120	122	124	126
1.20 – 1.39	100	100	100	104	108	112	116	120	124	128	132	136	140	144	148	152
1.40 – 1.69	100	100	100	108	116	124	132	140	148	156	164	172	180	188	196	204
1.70 – 1.99	100	100	100	112	122	132	142	152	162	172	182	192	202	212	222	232
2.00 – 2.49	100	100	100	116	128	140	152	164	176	188	200	212	224	236	248	260
2.50 – 3.24	100	100	100	120	134	148	162	176	190	204	218	232	246	260	274	288
3.25 – 3.99	100	100	105	124	140	156	172	188	204	220	236	252	268	284	300	300
4.00 – 4.99	100	100	110	128	146	164	182	200	218	236	254	272	290	300	300	300
5.00 – 5.99	100	100	115	132	152	172	192	212	232	252	272	292	300	300	300	300
6.00 – Up	100	100	120	136	158	180	202	224	246	268	290	300	300	300	300	300

1/ Loss Ratio means the ratio of indemnity(ies) paid to premium(s) earned.

2/ Only the most recent 15 crop years will be used to determine the number of "Loss Years" (A crop year is determined to be a "Loss Year" when the amount of indemnity for the year exceeds the premium for the year).

BILLING CODE 3410-08-C

(d) Any amount of premium for an insured crop which is unpaid on the day following the termination date for indebtedness for such crop shall be increased by a 9 percent service fee, which increased amount shall be the premium balance, and thereafter, at the end of each 12-month period, 9 percent simple interest shall attach to any amount of the premium balance which is unpaid: *Provided,* When notice of loss has been timely filed by the insured as provided in section 7 of this policy, the service fee will not be charged and the contract will remain in force if the premium is paid in full within 30 days after the date of approval or denial of the claim for indemnity; *however,* if any premium remains unpaid after such date, the contract will terminate and the amount of premium outstanding shall be increased by a 9 percent service fee, which increased amount shall be the premium balance. If such premium balance is not paid within 12 months immediately following the termination date, 9 percent simple interest shall apply from the termination date and each year thereafter to any unpaid premium balance.

(e) Any unpaid amount due the Corporation may be deducted from any indemnity payable to the insured by the Corporation or from any loan or payment to the insured under any Act of Congress or program administered by the U.S. Department of Agriculture, when not prohibited by law.

6. *Insurance Period.* Insurance on insured acreage shall attach at the time the tobacco is planted and shall cease upon the earliest of (a) final adjustment of a loss, (b) weighing-in at the tobacco warehouse, (c) removal of the tobacco from the unit (except for curing, grading, packing, or immediate delivery to the tobacco warehouse), (d) total destruction of the insured tobacco crop, or (e) the applicable date set forth below, according to type of tobacco, immediately following the normal harvest period:

Type of tobacco	
13	Oct. 31
14	Sept. 30
31	Feb. 28

7. *Notice of Damage or Loss.* (a) Any notice of damage or loss shall be given promptly in writing by the insured to the Corporation at the office for the county.

(b) Notice shall be given promptly if, during the period before harvest, the tobacco on any unit is damaged to the extent that the insured does not expect to further care for the crop or harvest any part of it, or if the insured wants the consent of the Corporation to put the acreage to another use. No insured acreage shall be put to another use until the Corporation has made an appraisal of the potential production of such acreage and consents in writing to such other use. Such consent shall not be given until it is too late or impractical to replant to tobacco. Notice shall also be given when such acreage has been put to another use.

(c) Notice shall be given immediately if any tobacco is destroyed or damaged by fire during the insurance period.

(d) Where tobacco is not to be sold through auction warehouses and an indemnity is to be claimed, notice shall be given to allow the Corporation sufficient time to inspect the cured tobacco prior to its sale or other disposition.

(e) For any unit of tobacco of type 13 or 14 on which an indemnity is to be claimed and the tobacco stalks are to be destroyed before such notice would otherwise be required under the contract, notice of loss shall be given the Corporation upon completion of harvest. The tobacco stalks shall not be destroyed until consent is given by the Corporation.

(f) In addition to the notices required in subsections (b), (c), (d), and (e) of this section, if an indemnity is to be claimed on any unit, the insured shall give written notice thereof to the Corporation at the office for the county not later than *30 days* after the earliest of (1) the date marketing or other disposal of the insured tobacco is completed on the unit, (2) the calendar date for the end of the insurance period, or (3) the date the entire tobacco crop on the unit is destroyed, as determined by the Corporation. The Corporation reserves the right to provide additional time if it determines there are extenuating circumstances.

(g) Any insured acreage which is not to be harvested and upon which an indemnity is to be claimed shall be left intact until inspected by the Corporation.

(h) The Corporation may reject any claim for indemnity if any of the requirements of this section are not met.

8. *Claim for indemnity.* (a) It shall be a condition precedent to the payment of any indemnity that the insured (1) establish the total production of tobacco on the unit and that any loss of production was directly caused by one or more of the insured causes during the insurance period for the crop year for which the indemnity is claimed and (2) furnish any other information regarding the manner and extent of loss as may be required by the Corporation.

(b) Indemnities shall be determined separately for each unit. The amount of indemnity for any unit shall be determined by subtracting from the amount of insurance for the unit the value of the total production to be counted for the unit and multiplying the remainder by the insured share.

(c) The value of the total production to be counted for a unit shall be determined by the Corporation and shall include the value of all harvested and appraised production.

(1) The value of appraised production to be counted shall include: (i) the value of any appraisals by the Corporation for potential production on harvested acreage and for uninsured causes and poor farming practices, (ii) not less than the average amount of insurance per insured acre for the unit for any acreage which is abandoned or put to another use without prior written consent of the Corporation or damaged solely by an uninsured cause, and (iii) not less than 35 percent of the average amount of insurance per insured acre for the unit for all other unharvested acreage. However, if the Corporation determines that the insured harvested tobacco with a value in excess of the amount of insurance from a unit, and such production is subsequently destroyed or damaged before the end of the insurance period by an insured cause, no appraisals for unharvested production shall be charged as production to count unless the Corporation determines that such production could have been harvested after the loss occurrence.

(2) Production to count shall be valued as follows: (i) the gross returns (less actual warehouse charges) from tobacco sold on the warehouse floor, (ii) the fair market value, as determined by the Corporation, of the tobacco sold other than on the warehouse floor, (iii) the fair market value, as determined by the Corporation, of the tobacco harvested and not sold, (iv) the fair market value, as determined by the Corporation, of any unharvested tobacco as if such tobacco were harvested and cured, and (v) the current year's support price per pound less warehouse charges as provided in section 4(b) for appraisals made by the Corporation for poor farming practices or uninsured causes of loss: *Provided, however,* That if a price support program is not in effect, such appraised production shall be valued at the market price for the current crop year.

(d) To enable the Corporation to determine the fair market value of tobacco not sold through auction warehouses, the Corporation shall be given the opportunity to inspect such tobacco before it is sold, contracted to be sold, or otherwise disposed of by the insured and, if the best offer received by the insured for any such tobacco is considered by the Corporation to be

inadequate, to obtain additional offers therefor on behalf of the insured.

(e) The stalks on any insured acreage of tobacco types 13 or 14 shall not be destroyed until consent is given by the Corporation. For any such acreage on which the stalks have been destroyed prior to such consent, the Corporation reserves the right to make an appraisal on such acreage of not less than the average amount of insurance per insured acre for the unit.

(f) The appraised potential production for acreage for which consent has been given to be put to another use shall be counted as production in determining the amount of loss under the contract. *However,* if consent is given to put acreage to another use and the Corporation determines that any such acreage (1) is not put to another use before harvest of tobacco becomes general in the county, (2) is harvested, or (3) is further damaged by an insured cause before the acreage is put to another use, the indemnity for the unit shall be determined without regard to such appraisal and consent.

9. *Other Insurance Against Fire.* If the insured has other insurance, whether valid or not, against damage by fire during the insurance period, the Corporation shall be liable for loss due to fire only for the smaller of either (a) the amount of indemnity determined pursuant to this contract without regard to any other insurance, or (b) the amount as determined by the Corporation by which the loss from fire exceeds the indemnity paid or payable under such other insurance. For the purposes of this section the amount of loss from fire shall be the difference between the fair market value of the production on the unit involved before the fire and after the fire, as determined by the Corporation from appraisals made by the Corporation of the production and fair market value.

10. *Misrepresentation and Fraud.* The Corporation may void the contract without affecting the insured's liability for premiums or waiving any right, including the right to collect any unpaid premiums if, at any time, the insured has concealed or misrepresented any material fact or committed any fraud relating to the contract, and such voidance shall be effective as of the beginning of the crop year with respect to which such act or omission occurred.

11. *Transfer of Insured Share.* If the insured transfers any part of the insured share during the crop year, protection will continue to be provided according to the provisions of the contract to the transferee for such crop year on the transferred share, and the transferee shall have the same rights and responsibilities under the contract as the original insured for the current crop year. Any transfer shall be made on an approved form.

12. *Records and Access to Farm.* The insured shall keep or cause to be kept for two years after the time of loss, records of the harvesting, storage, shipments, sale or other disposition of all tobacco produced on each unit including separate records showing the same information for production from any uninsured acreage. Any persons designated by the Corporation shall have access to such records and the farm for purposes related to the contract.

13. *Life of Contract: Cancellation and Termination.* (a) The contract shall be in effect for the crop year specified on the application and may not be canceled for such crop year. Thereafter, either party may cancel the insurance for any crop year by giving a signed notice to the other on or before the cancellation date preceding such crop year.

(b) Except as provided in section 5(d) of this policy, the contract will terminate as to any crop year if any amount due the Corporation under this contract is not paid on or before the termination date for indebtedness preceding such crop year: *Provided,* That the date of payment for premium (1) if deducted from an indemnity claim shall be the date the insured signs such claim or (2) if deducted from payment under another program administered by the U.S. Department of Agriculture shall be the date such payment was approved.

(c) Following are the cancellation and termination dates:

States	Cancellation Date	Termination Date of Indebtedness
All States	Dec. 31	Mar. 31

(d) In the absence of a notice from the insured to cancel, and subject to the provisions of subsections (a), (b), and (c) of this section, and section 7 of the Appendix, the contract shall continue in force for each succeeding crop year.

Appendix—Additional Terms and Conditions

1. *Meaning of Terms.* For the purposes of the quota plan of tobacco crop insurance:

(a) "Actuarial table" means the forms and related material for the crop year approved by the Corporation which are on file for public inspection in the office for the county, and which show the coverage levels, premium rates, and any uninsurable acreage, and related information regarding tobacco insurance in the county.

(b) "ASCS" means the Agricultural Stabilization and Conservation Service of the United States Department of Agriculture.

(c) "Carryover tobacco" means any tobacco on hand from a previous year's production.

(d) "County" means the county shown on the application and any additional land located in a local producing area bordering on the county, as shown on the actuarial table.

(e) "Crop year" means the period within which the tobacco crop is normally grown and shall be designated by the calendar year in which the tobacco crop is normally harvested.

(f) "Farm yield" means the yield per acre used by ASCS in establishing the basic farm marketing poundage quota for the tobacco farm, unless the Corporation has established a yield for the farm on the county actuarial table.

(g) "Harvest" means cutting or priming of at least 20 percent of the amount of tobacco in pounds per acre obtained by multiplying the applicable insured poundage quota for the unit by the applicable percentage of guarantee shown on the actuarial table for such acreage and dividing this result by the insured acres in the unit.

(h) "Insurable acreage" means that acreage planted to an insurable type of tobacco excluding any acreage designated as noninsurable on the actuarial table.

(i) "Insured" means the person who submitted the application accepted by the Corporation.

(j) "Market price," for a crop year means the average auction price for the applicable type of tobacco (less actual warehouse charges) in the belt or area, as determined by the Corporation. The market price when determined by the Corporation shall be filed in the office for the county with the actuarial table.

(k) "Office for the county" means the Corporation's office serving the county shown on the application for insurance or such office as may be determined by the Corporation

(l) "Person" means an individual, partnership, association, corporation, estate, trust, or other business enterprise or legal entity, and wherever applicable, a State, a political subdivision of a State, or any agency thereof.

(m) "Planting" means transplanting the tobacco plant from the bed to the field.

(n) "Effective farm marketing quota" means the farm marketing quota as established and recorded by ASCS.

(o) "Rounded" means rounding up for ½ and above and rounding down for less than ½.

(p) "Share" means the interest of the insured as landlord, owner-operator, or tenant in the insured tobacco crop at the time of planting as reported by the insured or as determined by the Corporation, whichever the Corporation shall elect, and no other share shall be deemed to be insured: *Provided,* That for the purpose of determining the amount of indemnity, the insured share shall not exceed the insured's share at the earliest of (1) the date of beginning of harvest on the unit, (2) the calendar date for the end of the insurance period, or (3) the date the entire crop on the unit is destroyed, as determined by the Corporation.

(q) "Support price per pound" means the average price support level per pound for the insured type of tobacco as announced by the United States Department of Agriculture under the tobacco price support program: *Provided, however,* That for any crop year in which a price support for the insured type is not in effect, the market price for that crop year shall be used in lieu thereof.

(r) "Tenant" means a person who rents land from another person for a share of the tobacco crop or proceeds therefrom.

(s) "Unit" means all insurable acreage in the county of an insurable type of tobacco planted on a farm or farms for which a single poundage marketing quota for the insurable type of tobacco is established and at the time of planting (1) in which the insured has a 100 percent share, or (2) which is owned by one entity and operated by another entity on a share basis: *Provided, however,* That where a tobacco price support program is not in effect for the insurable type of tobacco for any crop year, the above words "planted on a farm or farms for which a single poundage marketing quota for the insurable type of tobacco is established" shall be disregarded. Land rented for cash, a fixed commodity payment, or any consideration other than a share in the tobacco crop on such land shall be considered as owned by the lessee. Poundage quotas leased and combined with other quotas under a leasing arrangement providing compensation to the lessor on some other basis than a specified share in the production from a unit shall be considered to be the 100 percent interest of the lessee. Land which would otherwise be one unit may be divided by written agreement between the Corporation and the insured. The Corporation shall determine units as herein defined when adjusting a loss notwithstanding what is shown on the acreage report, and has the right to consider any acreage and share reported by or for the insured's spouse or child or any member of the insured's household to be the bona fide share of the insured or any other person having the bona fide share.

2. *Acreage Insured.* (a) The Corporation reserves the right to limit the insured acreage of tobacco to any acreage limitations established under any Act of Congress, provided the insured is so notified in writing prior to the planting of tobacco.

(b) If the insured does not submit an acreage report on or before the acreage reporting date on file in the office for the county, the Corporation may elect to determine by units the insured acreage and share or declare the insured acreage on any unit(s) to be "zero". If the insured does not have a share in any insured acreage in the county for any year, the insured shall submit a report so indicating. Any acreage report submitted by the insured may be revised only upon approval of the Corporation.

3. *Irrigated Acreage.* (a) Where the actuarial table provides for insurance on an irrigated practice, the insured shall report as irrigated only the acreage for which the insured has adequate facilities and water to carry out a good irrigation practice at the time of planting.

(b) Where acreage is insurable on an irrigated basis, any loss of production caused by failure to carry out a good irrigation practice, except failure of the water supply from an unavoidable cause occurring after the beginning of planting, as determined by the Corporation, shall be considered as due to an uninsured cause. The failure or breakdown of irrigation equipment or facilities shall not be considered as a failure of the water supply from an unavoidable cause.

(c) Insurance shall not attach on an irrigated basis on acreage otherwise insurable on such basis unless it is so reported and designated by such practice at the time the acreage is reported.

4. *Annual Premium.* (a) If there is no break in the continuity of participation, any premium adjustment applicable under section 5 of the policy shall be transferred to (1) the contract of the insured's estate or surviving spouse in case of death of the insured, (2) the contract of the person who succeeds the insured if such person had previously participated in the farming operation, or (3) the contract of the same insured who stops farming in one county and starts farming in another county.

(b) If there is a break in the continuity of participation, any reduction in premium earned under section 5 of the policy shall not thereafter apply: *however,* any previous unfavorable insurance experience shall be considered in premium computation following a break in continuity.

5. *Claim for and Payment of Indemnity.* (a) Any claim for indemnity on a unit shall be submitted to the Corporation on a form prescribed by the Corporation.

(b) In determining the total production to be counted for each unit, production from units on which the production has been commingled will be allocated to such units in proportion to the liability on each unit.

(c) There shall be no abandonment to the Corporation of any insured tobacco acreage.

(d) In the event that any claim for indemnity under the provisions of the contract is denied by the Corporation, an action on such claim may be brought against the Corporation under the provisions of 7 U.S.C. 1508(c): *Provided,* That the same is brought within one year after the date notice of denial of the claim is mailed to and received by the insured.

(e) Any indemnity will be payable within 30 days after a claim for indemnity is approved by the Corporation. *However,* in no event shall the Corporation be liable for interest or damages in connection with any claim for indemnity whether such claim be approved or disapproved by the Corporation.

(f) If the insured is an individual who dies, disappears, or is judicially declared incompetent, or the insured is an entity other than an individual and such entity is dissolved after the tobacco is planted for any crop year, any indemnity will be paid to the person(s) the Corporation determines to be beneficially entitled thereto.

(g) The Corporation reserves the right to reject any claim for indemnity if any of the requirements of this section or section 8 of the policy are not met and the Corporation determines that the amount of loss cannot be satisfactorily determined.

6. *Subrogation.* The insured (including any assignee or transferee) assigns to the Corporation all rights of recovery against any person for loss or damage to the extent that payment hereunder is made by the Corporation. The Corporation thereafter shall execute all papers required and take appropriate action as may be necessary to secure such rights.

7. *Termination of the Contract.* (a) The contract shall terminate if no premium is earned for five consecutive years.

(b) If the insured is an individual who dies or is judicially declared incompetent, or the insured entity is other than an individual and such entity is dissolved, the contract shall terminate as of the date of death, judicial declaration, or dissolution; *however,* if such event occurs after insurance attaches for any crop year, the contract shall continue in force through such crop year and terminate at the end thereof. Death of a partner in a partnership shall dissolve the partnership unless the partnership agreement provides otherwise. If two or more persons having a joint interest are insured jointly, death of one of the persons shall dissolve the joint entity.

8. *Coverage Level.* (a) If the insured has not elected on the application a coverage level from among those shown on the actuarial table, the coverage level which shall be applicable under the contract, and which the insured shall be deemed to have elected, shall be as provided on the actuarial table for such purposes.

(b) The insured may, with the consent of the Corporation, change the coverage level for any crop year on or before the closing date for submitting applications for that crop year.

9. *Assignment of Indemnity.* Upon approval of a form prescribed by the Corporation, the insured may assign to another party the right to an indemnity for the crop year and such assignee shall have the right to submit the loss notices and forms as required by the contract.

10. *Contract Changes.* The Corporation reserves the right to change any terms and provisions of the contract from year to year. Any changes shall be mailed to the insured or placed on file and made available for public inspection in the office for the county at least 15 days prior to the cancellation date preceding the crop year for which the changes are to become effective, and such mailing or filing shall constitute notice to the insured. Acceptance of any changes will be conclusively presumed in the absence of any notice from the insured to cancel the contract as provided in section 13 of the policy.

Appendix "B"

Counties Designated for Quota Plan Crop Insurance—7 CFR Part 435

In accordance with the provisions of 7 CFR Part 435.1, the following counties are designated for Quota Plan tobacco insurance:

State and county	Type(s)
Florida:	
Alachua	14
Columbia	14
Hamilton	14
Madison	14
Suwannee	14

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State and county	Type(s)
Indiana:	
Clark	31
Harrison	31
Jennings	31
Spencer	31
Washington	31
Kentucky:	
Adair	31
Allen	31
Anderson	31
Ballard	31
Barren	31
Bath	31
Boone	31
Bourbon	31
Boyle	31
Bracken	31
Breckinridge	31
Caldwell	31
Carroll	31
Casey	31
Christian	31
Clark	31
Daviess	31
Fayette	31
Fleming	31
Franklin	31
Garrard	31
Grant	31
Graves	31
Green	31
Hardin	31
Harrison	31
Hart	31
Henderson	31
Henry	31
Hopkins	31
Jessamine	31
Larue	31
Lewis	31
Lincoln	31
Logan	31
McLean	31
Madison	31
Marion	31
Marshall	31
Mason	31
Meade	31
Mercer	31
Metcalfe	31
Montgomery	31
Muhlenburg	31
Nelson	31
Nicholas	31
Ohio	31
Owen	31
Pendleton	31
Pulaski	31
Robertson	31
Russell	31
Scott	31
Shelby	31
Simpson	31
Spencer	31
Taylor	31
Todd	31
Trigg	31
Warren	31
Washington	31
Wayne	31
Webster	31
Woodford	31
Missouri:	
Buchanan	31
Platte	31
North Carolina:	
Ashe	31
Buncombe	31
Haywood	31
Madison	31
Mitchell	31
Watauga	31
Yancey	31
Ohio:	
Adams	31
Brown	31
Clermont	31
Highland	31
South Carolina:	
Chesterfield	13
Clarendon	13
Darlington	13
Dillon	13
Dorchester	13
Florence	13
Georgetown	13
Horry	13
Kershaw	13
Lee	13
Marion	13
Marlboro	13
Orangeburg	13
Sumter	13
Williamsburg	13
Tennessee:	
Anderson	31
Blount	31
Carter	31
Claiborne	31
Cocke	31
De Kalb	31
Dickson	31
Franklin	31
Giles	31
Grainger	31
Greene	31
Hamblen	31
Hancock	31
Hawkins	31
Jackson	31
Jefferson	31
Johnson	31
Knox	31
Lawrence	31
Lincoln	31
Loudon	31
McMinn	31
Macon	31
Marshall	31
Maury	31
Monroe	31
Montgomery	31
Putnam	31
Robertson	31
Sevier	31
Smith	31
Stewart	31
Sullivan	31
Sumner	31
Trousdale	31
Unicoi	31
Washington	31
White	31
Williamson	31
Wilson	31
Virginia:	
Lee	31
Russell	31
Scott	31
Smyth	31
Washington	31

These regulations have been reviewed under the USDA Criteria established to implement Executive Order No. 12044, "Improving Government Regulations". A determination has been made that this action should not be classified as "significant" under those criteria. A Final Impact Statement has been prepared and is available from Peter F. Cole, Secretary, Federal Crop Insurance Corporation, Room 4088, South Building, U.S. Department of Agriculture, Washington, D.C., 20250.

Note.—The reporting requirements contained herein have been approved by the Office of Management and Budget in accordance with the Federal Reports Act of 1942 and OMB Circular A40.

Date: December 12, 1979.

Approved by:

George F. Vohs,

Acting Manager.

[FR Doc. 79-38881 Filed 12-18-79; 8:45 am]

BILLING CODE 3410-08-M

Agricultural Marketing Service

7 CFR Part 906

Oranges and Grapefruit Grown in Texas

AGENCY: Agricultural Marketing Service, USDA.

ACTION: Final Rule.

SUMMARY: This final rule amends the rules and regulations governing the exemption of certain special purpose shipments of Texas oranges and grapefruit from assessments, regulations, and inspection and certification requirements prescribed under the marketing order. The amendment is designed to facilitate the handling of fruit for relief, charity, and home use and provide adequate safeguards to assure that the fruit does not enter commercial fresh market channels.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Malvin E. McGaha, 202-447-5975.

SUPPLEMENTARY INFORMATION: *Findings.* This final rule is issued under the marketing agreement, as amended, and Order No. 906, as amended (7 CFR Part 906), regulating the handling of oranges and grapefruit grown in the Lower Rio Grande Valley in Texas. The agreement and order are effective under the Agricultural Marketing Agreement Act of 1937, as amended (7 U.S.C. 601-674). The action is based upon the recommendations and information submitted by the Texas Valley Citrus Committee, and upon other information. Notice of this proposed amendment was published in the November 23, 1979, issue of the **Federal Register** (44 FR 67130). No comments were received during the 15 days provided in the notice.

The amended provisions are designed to facilitate the movement of relatively small quantities of fruit for home use, relief, and charity out of the production area, and provide adequate safeguards to assure that the fruit does not enter commercial fresh market outlets.

The amendment would exempt the handling of oranges and grapefruit for home use from the requirements of § 906.34 (assessments), § 906.40 (issuance of regulations), and § 906.45 (inspection and certification) and regulations thereunder. Currently, § 906.120 provides for the exemption of fruit for relief or charity from the requirements provided that the handler notifies the committee of the proposed handling and furnishes a statement that the fruit will not enter fresh market channels. As amended, § 906.120 would require each person to apply to the committee for a certificate of privilege prior to handling fruit for home use, relief or charity exempt from the specified regulations. The procedure would be similar to that currently prescribed in § 906.120(e) which is applicable to the handling of fruit in certain specified containers. The amended rule would specify the type of information which would be required to be furnished to the committee by each applicant. The committee would consider each application and notify the applicant of the action taken on the application and the basis for denial of any application. The amendment also makes a number of minor revisions in the rule for purposes of clarification.

After consideration of all relevant matter presented, including the proposals in the notice and other available information, it is found that this amendment, as hereinafter set forth, is necessary and in accordance with this marketing agreement and order, and will tend to effectuate the declared policy of the act.

It is hereby further found that it is impracticable and contrary to the public interest to postpone the effective date of this amendment until 30 days after publication in the **Federal Register** (5 U.S.C. 553), and good cause exists for making the provisions effective as hereinafter set forth, in that (1) 1979-80 season Texas orange and grapefruit shipments are currently underway, and the provision exempting home use shipments is currently needed to permit such shipments; (2) this amendment is based upon recommendations developed by the committee at a public meeting at which all interested persons were given an opportunity to express their views; (3) notice of this proposed amendment was published in the November 23, 1979, issue of the **Federal Register** (44 FR 67130), and no comments were received during the 15 days provided; (4) these regulatory provisions are the same as those proposed in the notice; and (5) this amendment relieves requirements for fruit handled for home use under exemption provisions.

This final rule has been reviewed under USDA criteria for implementing Executive Order 12044. A determination has been made that this action should not be classified "significant". An Impact Analysis is available from Malvin E. McGaha, Fruit Branch, Fruit and Vegetable Division, AMS, USDA, Washington, D.C. 20250, Telephone: (202) 447-5975.

Accordingly, Subpart—Rules and Regulations (7 CFR 906.100 *et seq.*) is amended by revising paragraphs (a), (c), (d), and (e) and by deleting paragraph (f) of § 906.120, to read as follows:

§ 906.120 Fruit exempt from regulation.

(a) *Minimum quantity.* Any person or the occupants of any one vehicle may ship fruit from the production area during any one day exempt from the requirements of §§ 906.34, 906.40, and 906.45, and regulations issued thereunder: *Provided,* That the shipment does not exceed 400 pounds of fruit (either oranges or grapefruit or a combination of both), it consists solely of fruit not for resale, and it is not part of a shipment of fruit exceeding 400 pounds.

* * * * *

(c) *Special purpose shipments and safeguards.* (1) Fruit may be handled for relief, charity, or home use exempt from the requirements of §§ 906.34, 906.40, and 906.45 and the regulations issued thereunder: *Provided,* That the fruit shall not be offered for resale, and the handler submits, prior to any such handling, an application to the committee on forms provided by the committee. The application shall contain the name and address of the handler and such other information that the committee may require including, but not limited to, the quantity of fruit involved, license number of the conveyance, and supporting documentation. Approval of the application by the committee shall be evidenced by the issuance of a certificate of privilege to the applicant in accordance with paragraph (d).

(2) Gift packages of fruit handled pursuant to § 906.41 shall be in containers stamped or marked with the handler's name and address.

(3) Fruit may be handled exempt from regulations issued pursuant to § 906.40(d), if the following conditions are met:

(i) Each fiscal period the handler submits prior to such handling a written application to the committee on forms provided by the committee. The application shall contain the name and address of the handler, and a description of the container or containers in which such fruit would be handled.

(ii) The fruit grades at least U.S. No. 1.

(iii) The fruit is handled in closed fully telescopic fiberboard cartons with inside dimensions of 16½ x 10¾ x 10½ inches which are packed level full, and the cover and bottom section have a Mullen or Cady test of at least 250 pounds; in six-packs; in 12-packs; in baskets of a capacity of 1 bushel or less; or in any of the containers authorized under § 906.340, provided they are stamped or marked "special purpose shipment".

(iv) Each handler shall file a report with the committee within 1 business day after each shipment handled pursuant to paragraph (c)(3). Such report shall contain the name and address of the handler; date fruit is handled; the number and type of containers and packs in such shipment; the inspection certificate numbers applicable to such shipment; name and address of the purchaser; and the license number of the truck, trailer, or automobile, as the case may be, in which the shipment was loaded.

(d) The committee or its duly authorized agents, shall approve or deny each handler's request to handle fruit under paragraph (c)(1) and (c)(3) of this section and promptly notify such handler in writing of its decision: *Provided,* That if it approves a handler's request, it shall issue a certificate of privilege as provided in § 906.44, but if it denies a request it shall advise the handler why the application was denied. The committee may rescind a certificate of privilege issued to a handler, or deny a certificate of privilege to a handler upon proof satisfactory to the committee that such handler has shipped fruit contrary to the provisions of this part. Such action denying a certificate of privilege shall apply to and not exceed a reasonable period of time as determined by the committee. Any handler who has had a certificate of privilege rescinded or denied may file a written appeal with the committee for reconsideration.

(e) *Meaning of terms.* When used herein, the term "bushel" means a unit of measure equivalent to 2,150.42 cubic inches; the term "level full" means that the fruit is level with the top edge of the bottom section of the carton; the term "six-pack" means any container with a capacity of one-eighth of a bushel; the term "12-pack" means any container with a capacity of one-fourth of a bushel; the term "basket" means any container made of interwoven material; the term "closed" means closed in accordance with good commercial practices; and the term "U.S. No. 1" means the same as in the U.S. Standards for Oranges (Texas and States other than Florida, California, and Arizona) (7 CFR 2851.680-712), or the U.S. Standards for Grapefruit (Texas and States other than Flordia, California, and Arizona) (7 CFR 2851.620-653), as applicable.

(Secs. 1-19, 48 Stat. 31, as amended; 7 U.S.C. 601-674)

Dated, December 14, 1979, to become effective December 19, 1979.

D. S. Kuryloski,

Deputy Director, Fruit and Vegetable Division, Agricultural Marketing Service.

[FR Doc. 79-38638 Filed 12-18-79; 8:45 am]

BILLING CODE 3410-02-M

Farmers Home Administration

7 CFR Parts 1945 and 1980

Economic Emergency Loans

AGENCY: Farmers Home Administration, USDA.

ACTION: Final rule.

SUMMARY: The Farmers Home Administration (FmHA) amends its regulations concerning economic emergency (EE) loans. The action is required to insert a requirement inadvertently omitted when the regulation was initially issued and to clarify and simplify the existing regulations in response to comments received when these regulations were originally published. Revisions include minor additions, deletions and editorial changes.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Mr. William Krause, 202-447-6257.

SUPPLEMENTARY INFORMATION: On August 11, 1978, there was published in the **Federal Register** at page 35648 a notice of final rulemaking involving the addition of new Subparts 1945-C and 1980-F, "Economic Emergency Loans", in Chapter XVIII, Title 7 in the Code of Federal Regulations. This final rule added regulations concerning guaranteed and insured EE loans. This action was taken to implement the Emergency Agricultural Credit Adjustment Act of 1978 (Title II of P.L. 95-334). Comments were received from individuals and organizations and revisions have been made to incorporate a number of the comments. Some of the individuals were FmHA personnel, others were members of the public.

Sections 1945.101, 1945.104, 1945.105, 1945.111, 1945.112, 1945.116, and 1945.119; 1980.501, 1980.504, 1980.511, 1980.512, 1980.514, 1980.516, 1980.517, 1980.518, 1980.520, 1980.548 and 1980.549 were revised as a result of comments received.

Other sections were revised to incorporate working or editorial changes. Sections 1945.112 (d) and 1980.112 (d) were changed to comply with the Emergency Agricultural Credit Adjustment Act of 1978.

The major changes in the EE loan program reflected in Subpart C of Part 1945 and Subpart F of Part 1980 are as follows:

(1) 1945-C and 1980-F. Reword the regulations to make them more clear, in accordance with Executive Order 12044.

(2) Sections 1945.101 and 1980.501. Set forth the existing FmHA policy that qualified applicants will not be denied a loan on the basis of a discriminatory action.

(3) Sections 1945.104 and 1980.504. Eliminate the requirement that a corporation be created and organized under the laws of the State where the farm is operated, and substitute the requirement that a corporation must be recognized as such under the laws of the State in which the corporation will operate a farm. Require a partnership to be able to own both real and personal property and incur debts in its own name prior to receipt of FmHA financial assistance.

(4) Sections 1945.105 and 1980.512. Require that the applicant's entire equity be considered when determining ability to obtain credit from other sources.

(5) Sections 1945.111 and 1980.511. Require that a statement setting forth the terms and conditions of verbal leases be included in the loan docket.

Rearrange the sequence of and restate the requirements to be completed under the Preliminary Application and the Final Application. Under Completed Application, add "minimum working capital requirements" and require a "minimum debt to net worth ratio".

(6) Sections 1945.112 and 1980.512. Allow individual loan applicant(s), to be determined bona fide farmer(s) "primarily and directly engaged in agricultural production," if the applicant(s) derives more than 50 percent of the gross income from the applicant's own agricultural production *or* more than 50 percent of the time required to operate the farm is provided by the applicant or family members of the applicant.

Specify that an individual engaged in a joint farming operation and/or owning an undivided interest in the property of such an operation is not considered to be an eligible farmer for EE loan purposes.

If the applicant chooses to organize the farm as an eligible entity, then the loan may be considered by the agency.

Specify that, in determining eligibility for EE loans, farmers who operate through contract or business arrangements with an integrated processor(s) are considered to be "bona fide" farmers, ranchers or aquaculture operators provided the operation is recognized in the community as a farm, ranch or aquaculture operation and the other eligibility criteria are met.

Specify that integrated livestock, poultry and fish processors who operate primarily and directly as commercial businesses through contracts or business arrangements with farmers, ranchers and aquaculture operators are not considered to be bona fide farmers, ranchers or aquaculture operators and, therefore, are not eligible for EE loans.

Require that an applicant possess the character, industry and ability to carry out the operation. These requirements are imposed by the Emergency Agricultural Credit Adjustment Act of 1978.

(7) Section 1980.514. Sets forth the lender's responsibilities where construction is involved on guaranteed EE loans.

(8) Section 1945.116 and 1980.516. Authorize EE loan funds for operating purposes to be used for payment of "hedging" costs including brokerage fees, margin requirements and margin calls in connection with a futures contract for non-speculative purposes for a specific commodity being produced when it is a customary practice among farmers in the locality. Clarify that it is not intended for EE loan funds to be used for fees charged applicants by agricultural management consultants and other professionals for preparation of EE loan dockets including Farm and Home plans and other FmHA forms used in processing such loans.

Authorizes EE loan funds for payment of loan closing costs. Authorize, under real estate purposes, changing or reorganizing the farming operation so it will be an economically viable operating unit.

(9) Section 1980.517. States that guaranteed EE loan funds will not be used as part of a compensating balance, i.e. required minimum balance.

(10) Section 1945.117 prohibits insured EE loans made to totally refinance intermediate and long-term loans.

(11) Section 1980.517 and 1945.117 prohibit use of loan funds to buy or build or repair a borrower's personal dwelling. Clarify relationship of EE loans with other FmHA insured or guaranteed loans.

(12) Section 1980.518. Eliminates the requirement that variable interest rates on guaranteed EE loans may change no more frequently than quarterly. The change allows variable rates to change according to the practices of the lender for its "best farm customers," as this term is defined in the regulation.

(13) Section 1945.119 and 1980.518. Clarify the regulations on consolidating, rescheduling, reamortizing or deferring EE loans.

(14) Section 1980.520. Provides for the use of "supervised accounts" rather than "escrow accounts" by lenders in EE guaranteed loan cases involving loan note guarantees.

(15) Section 1980.548. Removes the requirement for quarterly financial statements in guaranteed EE loan cases and now requires only annual financial statements.

(16) 1980.577. Eliminates the partial transfer of debts. It is the policy of this Department that rules relating to public property, loans, grants, benefits or contracts shall be published for comment notwithstanding the exemption in 5 U.S.C. 553 with respect to such rules. These changes, however, are not published for proposed rulemaking; it is unnecessary to do so, because the purpose is only to enhance the effectiveness and efficiency of the delivery system of insured and guaranteed EE loans. This determination has been made by William K. Krause, Director, Emergency Loan Division. Therefore, Subpart C of Part 1945 and Subpart F of Part 1980 including §§ 1980.501-1980.600 and Appendices A and E are amended as follows:

PART 1945—EMERGENCY

* * * * *

Subpart C—Economic Emergency Loans

Sec.
1945.101 Introduction.
1945.102 Program objectives.
1945.103 [Reserved]
1945.104 Definitions and abbreviations.
1945.105 Credit elsewhere.
1945.106-1945.110 [Reserved]
1945.111 Receiving and processing applications.
1945.112 Eligibility.
1945.113 County Committee review.
1945.114 Planning, development, and appraisals.
1945.115 [Reserved]
1945.116 Loan purposes.
1945.117 Loan limitations and special provisions.
1945.118 Loan rates and terms.
1945.119 Consolidation, rescheduling, reamortization, and deferral.
1945.120 Collateral requirements.
1945.121 [Reserved]
1945.122 Revision of the use of loan funds.
1945.123 General provisions—compliance requirements.
1945.124-125 [Reserved]
1945.126 Cancellation of loan checks and advances.
1945.127 Increase or decrease in amount of loan.
1945.128 Docket preparation.
1945.129 Approval and closing.
1945.130-1945.134 [Reserved]
1945.135 Loan servicing.
1945.136 Graduation.
1945.137-1945.145 [Reserved]
1945.146 Memoranda of Understanding.
1945.147 State supplements.
1945.148 FmHA Forms.
1945.149 Additional loans.
1945.150 General provisions.
Exhibit A—Processing Guide—Insured Economic Emergency (EE) Loans.

Subpart C—Economic Emergency Loans

§ 1945.101 Introduction.

(a) *Policy.* This Subpart contains regulations for making and servicing Economic Emergency (EE) loans made after August 11, 1978, and applies to borrowers, Farmers Home Administration (FmHA) personnel, and other parties involved in making, servicing, or liquidating such loans. It is the policy of FmHA to make loans to any otherwise qualified applicant without regard to race, color, religion, sex, national origin, marital status, age or physical/mental handicap providing the applicant can execute a legal contract.

(b) *Program administration.* The County Supervisor is the local contact person for processing and servicing activities.

§ 1945.102 Program objectives.

The objective of EE loans is to make adequate financial assistance available during the period authorized by Title II of Public Law 95-334 (authority expires May 15, 1980) in the form of loans insured or guaranteed by FmHA for bona fide farmers and ranchers who are primarily and directly engaged in agricultural production so that they may continue their farming or ranching operations during the economic emergency which has caused a lack of agricultural credit due to national or area wide economic stress such as a general tightening of agricultural credit *or* an unfavorable relationship between production costs and prices received for agricultural commodities. *It is the policy of FmHA to consider making insured EE loans only when guaranteed EE loans are not available through a local conventional agricultural lender.*

§ 1945.103 [Reserved]

§ 1945.104 Definitions and abbreviations.

(a) *Definitions.* (1) *Act.* Emergency Agricultrual Credit Adjustment Act of 1978 (Title II of Pub. L. 95-334).

(2) *Applicant.* The person or entity carrying on the farming operation and desiring EE loan assistance from FmHA.

(3) *Approval official.* A FmHA field offical who has been delegated loan and grant approval authorities within applicable loan programs, subject to the dollar limitations contained in tables available in any FmHA Office (see Subpart A of Part 1901 of this Chapter, Exhibit C).

(4) *Aquaculture.* The husbandry of aquatic organisms by an applicant or borrower under a controlled or selected environment. Aquaculture operations are considered to be farming operations. Aquatic organisms may consist of any species of finfish, mullusk, crustacean (or other invertebrate), amphibian, reptile, or aquatic plant.

(5) *Borrower.* All parties liable for the loan or any part thereof.

(6) *Consolidate.* To combine and reschedule the rates and terms of two or more EE loans made for operating purposes. This also may include a new EE loan made for operating purposes.

(7) *Cooperative.* An entity which has farming as its purpose and whose members have agreed to share the profits of the farming enterprise. The entity must be recognized as a farm cooperative by the laws of the State(s) where the entity will operate a farm(s).

(8) *Corporation.* A private domestic corporation recognized as a corporation by the laws of the State(s) where the corporation will operate a farm(s).

(9) *Deferment.* To postpone the payment of interest in part and/or principal in whole or in part.

(10) *Economic emergency.* A condition resulting from (i) a general tightening of agricultural credit, or (ii) an unfavorable relationship between production costs and prices received for agricultural commodities, which has resulted in widespread need among farmers for temporary credit.

(11) *Family farm.* A farm which: (i) Produces agricultural commodities for sale in sufficient quantities so that it is recognized in the community as a farm rather than a rural residence.

(ii) Provides enough agricultural income by itself, including rented land, or together with any other dependable income to enable the borrower to:

(A) Pay necessary family and operating expenses.

(B) Maintain essential chattel and real property.

(C) Pay debts.

(iii) Is managed by:

(A) The borrower when a loan is made to an individual.

(B) The member(s), stockholder(s) or partner(s) responsible for operating the farm when a loan is made to a cooperative, corporation or partnership.

(iv) Has a substantial amount of the labor requirements for the farm and nonfarm enterprise provided by:

(A) The borrower and any family of the borrower for a loan made to an individual.

(B) The member(s), stockholder(s) or partner(s) who are responsible for operating a farm and the families of the member(s), stockholder(s) or partner(s),

for a loan made to a cooperative, corporation or partnership.

(v) May require a reasonable amount of full-time hired labor and seasonal labor during peakload periods.

(12) *Farm.* A tract or tracts of land, improvement, and other appurtenances considered to be farm property which is used or will be used in the production of crops or livestock. This includes aquaculture operations which meet the requirements set forth in paragraph (a)(4) of this section. It will also include a residence which, although physically separate from the farm acreage, is ordinarily considered as part of the farm in the local community.

(13) *Farmer.* An individual, cooperative, corporation or partnership that is a farmer, rancher, or aquaculture operator.

(14) *Farmers Home Administration.* The United States of America, acting through the Farmers Home Administration, an agency of the United States Department of Agriculture. References to the National Office, Finance Office, State Office, County Office, State Director, District Director, County Supervisor, or other FmHA office or official should be read as prefaced by "FmHA."

(15) *Farming or farm enterprises.* The business of producing crops, livestock products, and aquatic organisms through the utilization and management of land, water, labor, capital, and basic raw materials including seed, feed, fertilizer, and fuel. Farming and farm enterprises consist of a total farming or aquaculture operation, or a portion thereof, which produces different types of products, including crops, livestock, livestock products, and aquatic organisms.

(16) *Hazard insurance.* Includes coverage against losses due to fire, windstorm, lightning, hail, explosion, business interruption, riot, civil commotion, aircraft, vehicles, marine, smoke, builder's risk, public liability, property damage, flood or mudslide, workmen's compensation, or any similar insurance that is available and needed to protect the security, or that is required by law.

(17) *Majority interest.* Any individual or a combination of individuals owning more than a 50 percent interest in a cooperative, corporation or partnership.

(18) *Market value.* The amount which a willing buyer would pay a willing but not forced seller in a completely voluntary sale.

(19) *Mortgage.* Any form of security interest or lien upon any rights or interest in real property of any kind. In Louisiana and Puerto Rico the term "mortgage" also refers to any security interest in chattel property.

(20) *Partnership.* An entity consisting of members who have agreed to operate a farm. The entity must be recognized as a partnership by the laws of the State(s) in which the entity will operate a farm and must be authorized to own both real and personal property and to incur debts in its own name.

(21) *Principal member, stockholder or partner.* Any member, stockholder or partner owning or controlling a 10 percent interest in a cooperative, corporation or partnership. If no member, stockholder or partner owns or controls at least a 10 percent interest, all members, stockholders or partners will be considered principal members, principal stockholders, or principal partners.

(22) *Reamortize.* To rearrange the installments of an EE loan made for real estate purposes within the remaining years of the original repayment period, or, when the repayment period has been extended to the maximum statutory repayment limit, within those years.

(23) *Reschedule.* To rewrite the rates and/or terms of EE loans made for operating purposes.

(24) *Security.* Property of any kind subject to a real or personal property lien. Any reference to collateral shall be considered a reference to the term "security."

(i) *Basic security.* All real estate and fixtures and personal property such as foundation herds, flocks, aquatic animal and plant organisms, machinery, and equipment serving as security and crops when crops are the only security.

(ii) *Normal income security.* All security planned to be marketed in the regular course of business unless liquidation is approved. If liquidation is approved, such security becomes basic security.

(iii) *Additional security.* All security not covered by paragraphs (a)(24) (i) or (ii) of this section.

(25) *State or United States.* The United States itself, each of the several States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

(b) *Abbreviations.* The following abbreviations are applicable:
(1) *EL*—Emergency Livestock Loans
(2) *EM*—Emergency Loans
(3) *FMI*—Forms Manual Insert
(4) *FO*—Farm Ownership Loans
(5) *OGC*—Office of the General Counsel
(6) *OL*—Operating Loans
(7) *RH*—Rural Housing Loans
(8) *RL*—Recreation Loans
(9) *SW*—Soil and Water Loans
(10) *USDA*—United States Department of Agriculture.

§ 1945.105 Credit elsewhere.

The applicant shall certify in writing on the application form, and the County Supervisor shall confirm, that the applicant is unable to obtain sufficient credit from its normal agricultural lender(s) including a FmHA guaranteed loan to finance the actual needs at rates and terms that will allow the applicant to continue the farming operation. The applicant's equity in real estate, chattels and other assets will be considered in determining ability to obtain such credit from other sources.

(a) The review of the application must indicate that, based on the County Supervisor's knowledge of the applicant's normal lender's program, there is no possibility for the applicant to obtain needed credit from its normal lender(s). This conclusion and the basis for it will be recorded in the running case record and further checks will not be necessary.

(b) If the County Supervisor questions whether or not the applicant may be able to obtain the needed credit from its normal lender(s), that lender will be contacted and the findings and conclusions recorded in the running case record.

(c) If the County Supervisor receives letters or other written evidence from the applicant's normal lender(s) indicating that the applicant is able or unable to obtain the credit needed at rates and terms that will permit the applicant to maintain a viable operation, this will be included in the loan docket.

§§ 1945.106–1945.110 [Reserved]

§ 1945.111 Receiving and processing applications.

Applications will be received and processed in accordance with Subpart A of Part 1910 of this Chapter. Form FmHA 410–1, "Application for FmHA Services," will be used for this purpose. The application may be processed for other loans when appropriate. An applicant conducting farming operations as an individual, or as a cooperative, corporation, or partnership in different counties or locations will be considered for only one application and will file the application in the county in which the farming operation is conducted unless determined otherwise by the State Director. In cases where the operation is located in more than one State, the State Directors involved will determine which State will process the application and service the loan(s).

(a) *Information required from entities.* If the applicant is a cooperative, corporation, or partnership the following information will be obtained and included in the loan docket:

(1) A complete list of members, stockholders, or partners showing the address, citizenship, principal occupation, and the number of shares and percentage of ownership or of stock held in the cooperative or corporation by each or the percentage of interest held in the partnership by each.

(2) A current personal financial statement (not over 60 days old at the time of filing the application) from each of the principal members of a cooperative, principal partners of a partnership, or principal stockholders of a corporation. Any other member, partner or stockholder whose financial statement, in the judgment of the loan approval official, would be pertinent to a consideration of the financial strength of the cooperative, corporation or partnership will also be required to provide a personal financial statement.

(3) A current financial statement (not over 90 days old at the time of filing the application) from the cooperative, corporation, or partnership itself.

(4) A copy of the cooperative's or corporation's charter, or the partnership agreement, any articles of incorporation and bylaws, any certificate or evidence of current registration (good standing) and a resolution(s) adopted by the Board of Directors or members or stockholders authorizing specified officers of the cooperative or corporation to apply for and obtain the desired loan and execute required debt, security, and other instruments and agreements.

(5) A copy of any written lease, contract, or agreement entered into by the applicant which may be pertinent to a consideration of its application. When a written lease is not obtainable, a statement setting forth the terms and conditions of the agreement will be included in the loan docket.

(b) *Federal Land Bank Association stock.* Federal Land Bank (FLB) Association stock is required to be purchased by FLB Association borrowers and has value. It must be assigned to FmHA when it is relied upon as security for the loan. The loan approval official will record the determination of the market value of the security in such a case in the comments section of Form FmHA 422–1, "Appraisal Report—Farm Tract."

§ 1945.112 Eligibility.

To be eligible for an EE loan, an applicant must:

(a) *Citizen.* If an individual, be a *citizen of the United States* (see § 1945.104(a)(25) of this Subpart for the definition of "United States"). If a cooperative, corporation, or partnership, those members, stockholders, or partners who have a majority interest in the entity applying for the loan must be citizens.

(b) *Bona fide farmer.* Be a *bona fide* farmer (owner-operator or tenant-operator), doing business in the United States either as an individual, cooperative, corporation, or partnership, that is recognized in the community as one primarily and directly engaged in agricultural production. *In the case of an individual loan applicant,* the term "primarily and directly engaged in agricultural production" means that the applicant(s) derives more than 50 percent of the gross income from the applicant's own agricultural production *or* more than 50 percent of the time required to operate the farm is provided by the applicant or family members of the applicant. *In the case of a cooperative, corporation, or partnership loan applicant,* the term "primarily and directly engaged in agricultural production" means that the cooperative, corporation, or partnership derives more than 50 percent of its gross income from agricultural production *and* the member(s), shareholder(s), or partner(s) owning or controlling a majority interest in such cooperative, corporation, or partnership either derive more than 50 percent of their gross income from their own or the cooperative's, corporation's, or partnership's agricultural production, *or* devote more than 50 percent of their time to such agricultural production.

(1) A bona fide farmer must be actually engaged in farming operations to be financed by an EE loan. If the applicant is an individual, the applicant must manage such farming operation. If the applicant is a cooperative, corporation, or partnership it must be managed by one or more of the members, stockholders, or partners. One who does not devote full time to the farming enterprise may be considered the manager provided the person visits the farm at sufficiently frequent intervals to exercise control over the farming enterprise, give directions as to how it should be run, and see that the enterprise is being carried on properly. Any enterprise that involves an outside full-time manager or management service does not qualify regardless of the number of visits made. In addition, as between two applications on file at the same time, FmHA will give preference to an applicant who owns and operates not larger than a family farm as defined in § 1945.104(a)(11) of this Subpart. However, for purposes of an EE loan, this does not exclude an applicant who does not own or operate a family farm.

(2) An estate or trust; a corporation owned primarily (more than 50%) by an estate, trust, other corporations, or other partnerships; an individual partnership composed primarily (more than 50%) of an estate, trust, corporation or other partnership is *not* considered to be a bona fide farmer for EE loan purposes.

(3) An individual engaged in a joint farming operation and/or owning an undivided interest in the property of such an operation is not considered to be an eligible farmer for EE loan purposes. However, if the individuals engaged in the joint farming operation decide on their own to reorganize their operation to form a cooperative, corporation or partnership, an application from the entity for an EE loan may then be accepted and considered by FmHA in accordance with this Subpart.

(4) For the purpose of determining EE loan eligibility, farmers, ranchers, or aquaculture operators who operate through contract or business arrangements with an integrated processor(s) are considered "bona fide" farm, ranch, or aquaculture operators provided they meet established eligibility criteria and the unit being operated is recognized in the community as a farm, ranch, or aquaculture operation.

(5) Integrated livestock, poultry, and fish processors who operate primarily and directly as commercial businesses through contracts or business arrangements with farmers, ranchers, and aquaculture operators are not considered to be bona fide farmers, ranchers, or aquaculture operators and, therefore, are not eligible for EE loans.

(c) *Legal capacity.* Possess the *legal capacity* to incur the obligations of the loan.

(d) *Character, industry, training or experience and ability.* Possess the character *(as related only to debt repayment ability and reliability),* industry, training and/or experience and ability necessary to carry out the proposed operations and honestly endeavor to carry out the undertakings and obligations in connection with the loan.

(e) *Credit elsewhere.* Be unable to obtain credit elsewhere as outlined in § 1945.105 of this Subpart.

(f) *Need.* Need such credit in order to maintain a viable agricultural production enterprise.

(g) *Registration or authorization.* If a cooperative, corporation, or partnership, be authorized to carry on a farming, ranching, or aquaculture operation in the State(s) in which the farm is located.

§ 1945.113 County Committee review.

The County Committee will review the initial application and any subsequent applications to determine whether the applicant meets EE loan eligibility requirements contained in § 1945.112 of this Subpart.

(a) *Favorable action.* If the County Committee finds the applicant eligible, under § 1945.112 of this Subpart, the members will sign Form FmHA 440–2, "County Committee Certification or Recommendation." This form will be retained in the County Office file. A new Form FmHA 440–2 will be prepared for any loans(s) resulting from a subsequent application.

(b) *Unfavorable action.* If the County Committee finds that the applicant does not meet all of the requirements set forth in § 1945.12 of this Subpart, the members will complete Form FmHA 440–2 and the County Supervisor will inform the applicant in writing of the reasons for the Committee's unfavorable action as set forth in Subpart A of Part 1910 of this Chapter.

§ 1945.114 Planning, development, and appraisals.

See Parts 1804 and 1809 of this Chapter (FmHA Instructions 424.1 and 422.1, respectively) for the appropriate procedures dealing with planning and appraisals. (See § 1945.120(b)(5) of this Subpart for use of abbreviated appraisals.) All development including construction authorized in § 1945.116(b)(2) of this Subpart and land treatment will be planned and completed in accordance with Part 1804 of this Chapter (FmHA Instruction 424.1).

§ 1945.115 [Reserved]

§ 1945.116 Loan purposes.

EE loans may be made for purposes which are essential to carrying on farming operations. These purposes are:

(a) *Operating purposes.* (1) Purchase of essential livestock, poultry, fur bearing and other farm animals, aquatic organisms, bees, farm equipment, and paying costs incident to reorganizing the farming system for a viable operation.

(2) Consolidating, restructuring, or refinancing of secured or unsecured indebtedness, including the making of installment payments of principal and interest owed on farm real estate or other farm and home debts (including FmHA insured and guaranteed loans), that cannot be paid unless assistance is made available with an EE loan, and other debts necessary to provide rates and terms within the applicant's repayment ability that will assure the continuation of the farm operation.

(3) Purchase of a milk base either with or without cows when such action is necessary to assure the borrower a satisfactory market for the dairy products.

(4) Purchase of grazing license or permit rights of private parties which can be validly sold and transferred.

(5) Augmenting and improving existing water supplies.

(6) Payment of fuel, seed, fertilizer, insecticide, farm supplies, labor, and other annual operating expenses that are essential to continuation of the farming operations, including the operation of any additional acreage which does not substantially expand the farming operation(s).

(7) Payment of customary cash rent or cash charges for the use of essential buildings, pasture, crops, hay, land, and grazing permits or bills for such purposes for the operating or crop year being financed, subject to the following:

(i) The applicant is obligated under a written lease or other agreement to pay such rent or charges in advance of the time income will be available from the operations to make such payment. For grazing fees an invoice showing the number of livestock to be grazed, the grazing period, the cost per head and the total cost may be used in lieu of a written lease. However, when a relatively small amount of funds are involved, an invoice will not be required if the applicant's explanation of a satisfactory grazing agreement is recorded in the loan docket.

(ii) Arrangements cannot be made for the rent or charges to become due when income will be available from the operation to make such payment.

(iii) The terms of the rental agreement provide the applicant with satisfactory tenure for the crop year being financed.

(iv) Not more than one year's cash rent or cash charges will be paid with loan funds in any one lease year, except that if a loan is approved near the end of the current lease year, funds for payment of such rent or charges for the succeeding lease year may be included in the loan.

(8) Payment of real and personal property taxes due or about to become due and water or drainage charges or assessments.

(9) Payment of reasonable expenses incidental to obtaining, planning, making and closing the loan such as fees for legal, architectural, and technical services which are required to be paid by the borrower and which cannot be paid from other funds. Loan funds also may be used to pay the borrower's share of Social Security taxes for labor hired by the borrower in connection with making the planned building or land improvements. However, loan funds are not to be used to pay fees charged applicants by agricultural management consultants and other professionals for preparation of EE loan dockets including farm and home plans and other FmHA forms used in processing such loans.

(10) Payment of premiums for insurance on real and personal property including premiums for public liability and property damage insurance on farm and other essential equipment, including farm trucks. When a loan is secured by chattels and the loss of such chattels would jeopardize the interest of the Government, FmHA may require the borrower to insure the chattels against hazards customarily covered by insurance in the area.

(11) Meeting family subsistence needs, including premiums on reasonable amount of health and life insurance, and expenses for medical care or for paying bills incurred for any of these purposes during the crop year being financed.

(12) Purchase stock in a cooperative lending or marketing organization that is necessary to maintain a viable farming operation.

(13) Up to $25,000 in a fiscal year for real estate improvements, repairs, or refinancing unsecured debts clearly incurred for such purposes although real estate is NOT available for collateral. The following determinations first must be made:

(i) A loan will not be needed year after year for this purpose.

(ii) The applicant owns the land or has a lease including a compensating agreement adequate to reimburse the tenant for any unexhausted value of the improvement upon termination of the lease.

(iii) It is clearly necessary for the success of the operation.

(14) When it is a customary practice among farmers in the locality, payment of "hedging" costs including brokerage fees, margin requirements and margin calls in connection with a futures contract for nonspeculative purposes for a specific commodity being produced.

(b) *Real estate purposes.* (1) Changing or reorganizing the farming operation so it will be an economically viable operating unit. Such a purpose includes the construction, improvement, alteration, repair, relocation, purchase or moving of essential service buildings, facilities, and structures on the applicant's real estate necessary for reorganization of the operation, including the purchase and/or installation or augmentation and improvement of essential farmstead water and sewage systems, and other equipment or facilities necessary to the operation (includes equipment which utilizes wind or solar energy).

(2) Providing land and water development, acquiring water supplies, rights, and use, and providing conservation essential to the operation. This includes but is not limited to fencing, land clearing, forestry practices, establishment and improvement of permanent hay or pasture, drainage and irrigation facilities, basic application of lime and fertilizer, and development of fish ponds and lakes.

(3) Consolidating, restructuring, or refinancing of secured and unsecured indebtedness, including the making of installment payments of principal and interest owed on farm real estate or other farm and home debts (including FmHA insured and guaranteed loans) that cannot be paid unless assistance is made available with an EE loan, and other debts necessary to provide rates and terms within the applicant's repayment ability that will assure continuation of the farm operation. When refinancing is involved the following conditions must be met:

(i) The limitation found in § 1945.117(a)(5) of this Subpart must also be complied with.

(ii) Preference will be given to paying those debts that will be most helpful to the applicant in carrying on essential farm and home operations.

(iii) Ordinarily, in the case of old unsecured debts or inadequately secured debts, the applicant will be requested to contact the applicant's creditor(s) and attempt to obtain a substantial reduction of such debts prior to the refinancing.

(4) Payment of reasonable expenses incidental to obtaining, planning, making and closing the loan such as fees for legal, architectural, and technical services which are required to be paid by the borrower and which cannot be paid from other funds. Loan funds also may be used to pay the borrower's share of Social Security taxes for labor hired by the borrower's share of Social Security taxes for labor hired by the borrower in connection with making the planned building or land improvements. However, loan funds are not to be used to pay fees charged applicants by agricultural management consultants and other professionals for preparation of EE loan dockets including farm and home plans and other FmHA forms used in processing such loans.

(5) Payment of the first-year premium for required insurance on buildings on the property which are to serve as security for the loan. Buildings will be insured in accordance with Subpart A of Part 1806 of this Chapter (FmHA Instruction 426.1), except when the appraisal report shows that the land alone will adequately secure the loan. However, the applicant will be encouraged to take property insurance on essential buildings to protect the applicant's interest. Borrowers eligible for insurance under the National Flood Insurance Act of 1968 will be advised of its availability in accordance with Subpart B of Part 1806 of this Chapter (FmHA Instruction 426.2).

§ 1945.117 Loan limitations and special provisions.

(a) *Limitations on use of loan funds.* (1) Loan funds *will not* be used to purchase land.

(2) Loan funds *will not* be used to lease additional land which would increase the number of acres of the operation above the highest level being farmed during the year of application or the year preceding application, whichever is greater.

(3) Individual members of a cooperative, partnership, or stockholders of a corporation, will not receive individual loans to finance their interest in the cooperative, corporation, or partnership farming operation.

(4) Loan funds will not be used to buy, build or repair a borrower's personal dwelling(s).

(5) EE loans *will not* be made to totally refinance intermediate and long-term loans. Refinancing of such debts will only cover existing delinquencies plus the next installment that the applicant will be unable to pay. Also, when an applicant requests refinancing of loan(s) owed to the applicant's normal lender, the County Supervisor will obtain in writing as early as possible during the loan processing, such lenders' agreement to furnish the applicant any other credit necessary, within the applicant's ability to pay, to maintain the applicant's operations on a sound basis.

(b) *Total loans to applicants.* The total principal balance outstanding at any time on an EE loan(s) shall not exceed $400,000.

(c) *Applicants involved in more than one operation.* Loans to applicants involved in more than one operation will be considered as follows:

(1) If an applicant who, in addition to the applicant's own farm operation, owns or controls *50 percent or more* of another farm operations(s), and the applicant is actively engaged in both operations, both the applicant and the other farm operation(s) may be considered for separate loans provided the combined total does not exceed the $400,000 limitation.

(2) If an applicant who, in addition to the applicant's own farm operation, owns or controls *less than 50 percent* of another farm operations(s), is actively engaged in *separate* farm operation(s), the applicant and the other farm operation(s) will be considered as separate entities for application of the $400,000 limitation.

(3) If the first applicant described in paragraphs (c) (1) and (2) of this section is deemed to be ineligible, such determination shall not preclude the other operation(s) in which the applicant holds an interest from being considered for an EE loan(s).

(d) *Relationship with other FmHA insured or guaranteed loans.* (1) If an applicant qualifies for an EM loan in an authorized area, the applicant's total credit needs will first be considered under EM loan authorities. An EE loan may be made simultaneously with an EM loan to meet the applicant's total needs.

(2) Applicants applying for FmHA assistance or borrowers already indebted to FmHA and/or FmHA guaranteed lender(s) for FO, OL, RL, or SW, loan(s) may be considered for EE loan(s) provided the total outstanding principal indebtedness to FmHA and/or the lender(s) does not exceed $650,000. Applicants applying for assistance, who are eligible for FO, OL, RL, or SW loans will have their credit needs considered as follows:

(i) If at all possible their *total* credit needs should be met with an FO, OL, RL, or SW loan;

(ii) If their *total* credit needs cannot be met with an FO, OL, RL, or SW loan, they may be made an EE loan to meet their *total* needs;

(iii) If their *total* credit needs are greater than can be met with an EE loan, an EE loan can be made *simultaneously* with an FO, OL, RL, or SW loan to meet the applicant's needs; and

(iv) If FO, OL, RL, or SW loan funds are not available in hardship cases, an EE loan can be made to meet the applicant's immediate credit needs.

(3) The combined total of EM and EL indebtedness will *not* be considered in determining the $400,000 EE loan limitation.

§ 1945.118 Loan rates and terms.

(a) *Interest rates.* See Part 1810 of this Chapter (FmHA Instruction 440.1, Exhibit B, a copy of which is available at any FmHA office), for the applicable interest rate.

(b) *Terms of loan repayment.* Loans will be scheduled for repayment at such time and periods as the FmHA approval official may determine, consistent with the purpose of and need for the loan, and in accordance with the useful life of the security and the reasonable

repayment ability of the applicant as reflected in the completed Form FmHA 431–2, "Farm and Home Plan." However, there must be at least an annual installment unless a *deferment* of principal and/or interest is authorized in accordance with § 1945.119 (c) and (e) of this Subpart.

(1) Loan terms for items financed under § 1945.116(a) (*Operating purposes*) of this Subpart will be as follows:

(i) Loans will be for a period not exceed 7 years. Loans may be scheduled for a longer repayment period if the FmHA approval official determines that the needs of the applicant justify a longer repayment period. Such period may be approved as warranted but cannot exceed 20 years. Generally real estate will be needed as security when the longer repayment period is authorized.

(ii) When conditions warrant, installments may vary in amounts. However, the final installment will not be larger than the amount which can then be financed with other agricultural lenders or be repaid within a rescheduled period of not to exceed 7 years. The applicant must be advised before the loan is closed that FmHA will review each case at the end of the loan term to determine if such rescheduling is warranted.

(iii) Advances for annual recurring operating expenses or for paying bills incurred for such purposes for the crop year being financed will be scheduled for payment when the principal income from the year's operations normally would be received. *However*, the initial loan for annual recurring operating purposes may be scheduled for repayment for a period up to 7 years, if additional security other than crops can be obtained.

(2) The terms for real estate and items financed under § 1945.116 (b) of this Subpart *(Real estate purposes)* will be for a period not to exceed 40 years. If less than 40-year terms are established for the initial loan, the loan may be reamortized, not to exceed 40 years in accordance with § 1951.40 of Subpart A of Part 1951 of this Chapter.

§ 1945.119 Consolidation, rescheduling, reamortization and deferral.

(a) *General requirements.* When the loan approval official determines that consolidation, rescheduling, reamortization, or deferral will assist in the orderly collection of the EE loan and any existing EE loans, the loan approval official should take such action provided:

(1) Such action will enable the borrower to achieve the objectives of the EE loan and continue farming; and

(2) If the applicant is indebted for an existing EE loan(s), the conditions set out in §§ 1951.33 (EE loans for operating purposes) or 1951.40, (EE loans for real estate purposes) of Subpart A of Part 1951 of this Chapter are met.

(b) *Consolidation and rescheduling.* When a new EE loan is made for operating purposes, it may be consolidated with an existing EE loan(s) or rescheduled later on in accordance with the requirements set out in § 1951.33 (d) of Subpart A of Part 1951 of this Chapter. If the longer repayment period provided for in § 1945.118 (b)(1) of this Subpart is used at the outset, rescheduling is *not authorized.*

(c) *Reamortization.* Existing EE loans made for real estate purposes may be reamortized when a new EE loan is made subject to the conditions in § 1951.40 of Subpart A of Part 1951 of this Chapter.

(d) *Deferral.* Installments on EE loans, including existing EE loans which are consolidated, rescheduled or reamortized, may be deferred. Existing EE loans may be deferred as set out in §§ 1951.33 (EE loans for operating purposes) and 1951.40 (EE loan for real estate purposes) of Subpart A of Part 1951 of this Chapter.

(1) General requirements. Deferred payments may be authorized if the following conditions exist:

(i) The County Supervisor determines that deferral will enable the borrower to remain on the farm and continue farming.

(ii) A Farm and Home Plan shows that loan installments cannot be repaid according to schedule.

(iii) A typical Farm and Home Plan, for a full calendar year following the deferral period indicates that full installments can be paid if normal conditions exist.

(iv) If appropriate, a Long-time Farm and Home Plan is prepared.

(v) If appropriate, development and improvements have been provided for on Form FmHA 424–1, "Development Plan."

(2) Scheduling and repaying deferred installments.

(i) Up to three installments may be deferred, but in no case will the deferral extend beyond the final due date of the note. Partial payments of accrued interest will be scheduled annually during the deferral period on Form FmHA 1940–17, "Promissory Note." Full payments will be scheduled at the earliest date the Farm and Home Plan indicates they can be paid.

(ii) Borrowers will be advised that they are expected to make payments as soon as they have repayment ability, even though the deferral period has not expired.

(iii) Borrowers will be advised that they are expected to repay all interest due on their loans.

(iv) Payments will be determined in accordance with repayment ability as indicated on Table K of Form FmHA 431–2.

(v) Deferred interest will not be capitalized.

(vi) Installments after the deferral period will be calculated in accordance with the FMI for Form FmHA 1940–17.

(e) *Terms.* (1) Consolidation and rescheduling. See § 1951.33 (d)(7) of Subpart A of Part 1951 of this Chapter.

(2) Reamortization. Existing EE loans made for real estate purposes may be reamortized in accordance with § 1951.40 of Subpart A of Part 1951 of this Chapter.

(f) *Interest rate.* See §§ 1951.33 (d)(6) or 1951.40 (d)(1) of Subpart A of Part 1951 of this Chapter, as applicable.

(g) *Processing consolidation, rescheduling, and/or deferral.* These functions will be performed in accordance with the FMI to Form FmHA 1940–17.

(h) *Disposition of promissory notes.* See §§ 1951.33 (f)(2) or 1951.40 (e)(4) of Subpart A of Part 1951 of this Chapter, as applicable.

(i) *Approval authority.* Loan approval officials are hereby authorized to consolidate, reschedule, reamortize, or defer loans subject to their approval authority in Subpart A of Part 1901 of this Chapter.

§ 1945.120 Collateral requirements.

(a) *Collateral.* (1) The County Supervisor is responsible for seeing that proper collateral is pledged, maintained, and is in existence and of record to protect the interest of the Government. The applicant, or any other individual or entity pledging real estate collateral for the loans must have a mortgageable interest or marketable title to the collateral pledged as security for the loan, and FmHA must ascertain that no suits are pending or threatened that would adversely affect the collateral of the borrower when the security instruments are filed.

(2) Except for the modifications contained in paragraph (c)(1) of this section, collateral must be of such a nature that repayment of the loan is reasonably assured considering the integrity and ability of the applicant's management, soundness of the operation, and the applicant's prospective earnings. Collateral may include, but is not limited to the following: livestock, livestock products, crops, land, buildings, machinery, equipment, furniture, fixtures, inventory, accounts receivable, cash or special cash collateral accounts, personal and corporate guarantees, marketable securities, and cash surrender value of life insurance. Collateral may also include assignments of leases of leasehold interest, revenues, patents, and copyrights. In unusual cases, the loan approval official may require a co-signer or a pledge of security. Generally a pledge of security in lieu of a co-signer is preferable.

(3) A lien will not be taken on property that cannot be taken subject to a valid lien, nor will a lien be taken on subsistence livestock, household goods, and small tools and small equipment such as handtools, power lawnmowers and the items of like type not needed for security purposes. A lien on feed crops does not have to be taken if the crops produced by the borrower are used to feed livestock except when such livestock is being fed for market and the loan is otherwise well secured.

(4) When FmHA and a guaranteed lender are involved in separate EE loans to the same borrower, separate collateral must be clearly identified for both the FmHA and the lender's loans.

(b) *Additional requirements.*

(1) If the present market value of the collateral is not at least equal to the amount of the loan, the applicant's repayment ability may be considered by the loan approval official in determining whether the loan should still be made. When the applicant's repayment ability is so considered, the following conditions must also be met:

(i) The applicant's typical year operating plans indicate ability to pay the loan in full within the proposed repayment period (which may provide for a deferral if necessary).

(ii) The applicant will give a lien on *all* available collateral.

(iii) Life insurance may be required for the individual borrower or for the principals and key employees of an entity borrower and will be assigned or pledged to FmHA. This life insurance may be decreasing term insurance. A schedule of life insurance available as security for the loan will be included as part of the application.

(2) Operating loans for *annual* recurring expenses made under § 1945.116 (a) (6) of this Subpart will be secured by a first lien on the crop or livestock, or both, being financed with EE loan funds plus enough other collateral, including personal property, real estate, and crop insurance, to assure that the Government's financial interest will be protected. When the applicant can provide no collateral other than a first lien on crop and/or livestock production, or both, the amount that may be loaned for annual recurring expenses will be limited to the greater of $100,000 or one-half the estimated gross farm income planned as shown on Form FmHA 431–2, or another acceptable plan of operation based on normal production and prices authorized by the State Director for developing annual farm plans within the State. When a borrower needs a supplemental EE loan for annual recurring expenses to complete the year's farming operation and the loan is made to protect the Government's financial interest, the $100,000 or 50 percent gross income requirement will not apply, provided the loan is otherwise sound and proper.

(3) Loans made under § 1945.116 (a) (*Operating purposes*) of this Subpart will be secured by a lien on sufficient equity in livestock, crop, equipment and machinery, (including essential truck and automobiles) and, if necessary, other personal property to protect the Government's interest. A lien on part or all of the real estate owned by the applicant may be taken as additional security if the lien is needed to protect the interest of the Government. When the applicant can provide no collateral other than a first lien on crops and/or livestock production, or both, the policy outlined in paragraph (b)(2) of this section will apply. If the applicant has enough equity in real estate to secure the entire amount of the loan, no additional security need be taken. However, a second crop lien may be taken when deemed necessary to assure repayment of the loan.

(4) Loans under § 1945.116(b) (*Real estate purposes*) of this Subpart will be secured by a lien on real estate. However, if the applicant does not have sufficient equity in the real estate, a lien also will be taken on personal property, plus, if necessary, a second lien on the crops. An EE loan made to a tenant with a long-term lease may be secured by a lien on a transferable leasehold.

(5) Loans may be approved with abbreviated appraisals (also see § 1945.114 of this Subpart) of the property being taken as security for the loan provided:

(i) The loan approval official determines that the applicant's equity in the security will adequately secure the EE loan(s).

(ii) When abbreviated appraisals are prepared:

(A) For real estate, the following portions of Form FmHA 422–1 will be completed: The heading of the report; Item A of Part 1; Part 2; Part 3; Part 6; Part 7; and Part 8. The report will be signed and dated by an FmHA authorized appraiser.

(B) For chattel property, Form FmHA 440–21, "Appraisal of Chattel Property," will list and identify and show the value of each chattel item, and items A through E will be completed.

(6) When an EE loan is to be secured by a lien on real estate or a combination of real estate and chattels, the total security will be considered "basic security." However, notwithstanding the definition in § 1945.104(a)(24)(i) of this Subpart, when chattels are primarily relied upon as security and real estate is taken only as additional security to better protect the Government's interest and when the amount of the loan does not exceed the value of the primary chattel security by more than $10,000, the additional real estate security will not be considered as basic security. For all loans *over $25,000* when real estate is taken as basic security, title clearance is required. For loans of $25,000 or less, and for loans for which real estate is taken as additional security, only a certification of ownership and verification of equity in real estate is required. Certification of ownership may be accepted in the form of a notarized affidavit from the applicant stating who is the owner of record of the real estate in question and acknowledging all known debts, with balances owed, against the real estate. Whenever the County Supervisor is uncertain of the ownership of or debts against the real estate security, and in all cases where loans are made to cooperatives, corporations or partnerships, title search will be required.

(7) If the real estate offered as security is held under a purchase contract, the following conditions will prevail:

(i) The applicant must be able to provide mortgageable interest in the real estate concerned.

(ii) The applicant and the purchase contract holder must agree in writing that all insurance claim settlements received for real estate losses will be used in their entirety to replace or repair any damaged real estate improvements which are essential to the farming operation, used for other essential real estate improvements or paid on the EE loan or any prior real estate indebtedness including the purchase contract. The applicant will renegotiate with the purchase contract holder to arrive at a new contract if there are any provisions objectionable to FmHA in the existing contract.

(iii) If a satisfactory contract of sale cannot be renegotiated or the purchase contract holder refuses to enter into the

agreement described in paragraph (b)(7)(ii) of this section, the applicant will make every effort to refinance the existing purchase contract. If the applicant cannot obtain refinancing from another source, an EE loan will be considered to include funds to pay off the contract and improve the property, provided the contract has been in effect for at least 12 months.

(iv) If the conditions provided for in paragraphs (b)(7) (i), (ii) and (iii) of this section can be met and an EE loan is approved, it can be closed provided the FmHA escrow agent or designated attorney determines that:

(*A*) The purchase contract is not subject to summary concellation on default and does not contain other provisions which might jeopardize the Government's security position or the borrower's ability to repay the loan.

(*B*) The contract holder must agree in writing to give the FmHA notice of any breach by the purchaser, and must further agree to give FmHA the option to rectify the conditions which amount to a breach within 30 days. The 30 days begin to run on the day FmHA receives written notice of the breach.

(8) If any of the prior liens against real estate offered as security contain future advance provisions, or other provisions which might jeopardize the security position of the Government or the applicant's ability to meet the obligations under these prior liens and to pay the EE loan, the prior lienholders involved must agree in writing, before the loan is closed, to modify, waive, or subordinate such objectionable provisions to the interest of the Government.

(9) When a junior lien on real estate is to be taken as security for the loan in States where a prior lienholder may foreclose the security instrument under power of sale or otherwise and extinguish junior liens or private parties without giving junior lienholders actual notice, the prior lienholder must agree in writing to give FmHA advance notice of foreclosure or assignment of the mortgage.

(10) If essential insurable buildings are located on the property, or if new buildings are to be erected or major improvements are to be made to existing buildings, the applicant will provide adequate property insurance coverage at the time of the loan closing or as of the date materials are delivered to the property, whichever is appropriate. However, when the real estate appraisal report shows that the present market value of the land, after deducting the value of buildings shown on the report, exceeds the amount of the debt (including the EE loan) and the owner has equity equal to or exceeding the amount of the debt (including the EE loan), real property insurance will not be required. However, the applicant will be encouraged to obtain such insurance if the applicant does not already have it to protect the applicant's interest. If insurance claims for loss or damage to buildings to be replaced or repaired with loan funds are outstanding at the time the loan is approved, the applicant will be required to agree in writing that when settlement is made the proceeds of such claims will be used for replacement or repair of buildings, application on debts secured by prior liens, or application on the EE loan.

(11) Loan amounts borrowed for repair or replacement of personal possessions and home equipment or furnishings will be secured by a lien(s) on crops, aquatic organisms, livestock, farm machinery, essential trucks or automobiles, and/or farm real estate.

(12) Loan approval officials may require *Federal or other types of Crop Insurance* with an assignment to FmHA during the repayment period of the EE loan if such insurance is available in the country. This determination is a judgement factor and the decision should be based on the amount and type of collateral, other than crops, that the applicant can provide. *However when only a crop lien is taken as security for EE loans, the borrower will be required to carry Federal or other type of Crop Insurance during the repayment period of such loan(s) if such insurance is available.* An assignment of Federal Crop Insurance proceeds will be prepared on Form FCI–20, "Collateral Assignment," furnished by the local representatives of the Federal Crop Insurance Program. The assignment must be approved by the Federal Crop Insurance Corporation. An assignment of crop insurance proceeds is not required when the crop insurance policy contains a standard mortgage clause naming FmHA as mortgagee or secured party.

(13) EE loans to Indians which are secured by trust or restricted land will be handled as follows: The United States Department of Agriculture (USDA) and the Department of the Interior have mutually agreed that FmHA loans which are to be secured by real estate liens may be made to Indians holding land in severalty under trust patents or deeds containing restriction against alienation subject to statutes under which they may, with the approval of the Secretary of the Interior, give mortgages on their land which are valid and enforceable. These statutes include, but may not be limited to, the Act of March 29, 1956 (70 Stat. 62).

(i) When a lien is to be taken on trust or restricted property in connection with a loan to be made or insured by FmHA, the local representatives of the Bureau of Indian Affairs (BIA) will furnish requested advice and information with respect to the property and each applicant.

(ii) The FmHA State Director should arrange with the Area Director or other appropriate local official of the BIA as to the manner in which the information will be requested and furnished. A State supplement will be issued to prescribe the actions to be taken by FmHA personnel to implement the making of loans under such conditions.

(14) The taking and filing of security instruments will be in accordance with Subpart B of Part 1941 of this Chapter (chattels and crops) and with paragraph (b)(7) of this section and § 1945.129(b) (real estate) of this Subpart.

(15) Insurance may be required on personal property when the loan approval official determines it is necessary to protect the interest of the Government.

(c) *Signatures of principal partners, shareholders, and members of cooperatives, corporations and partnerships required to obtain full personal liability.* (1) When the applicant is an unincorporated farm cooperative, the promissory note(s) will be executed so as to evidence the liability of the cooperative as well as each member as an individual. This will be accomplished by typing the name of the cooperative above the space provided for signatures and having the note executed by each member of the cooperative both as a member and as an individual. To evidence the liability of the cooperative, the words "As Members" will be typed immediately beneath the name of the cooperative and each member will sign thereunder. To evidence the members' liability as individuals, the words "As Individuals" will be typed at the top of the blank space to the left of the lines for signatures, and each member will sign thereunder.

(2) When the applicant is a corporation or an incorporated cooperative, the promissory note(s) will be executed by the corporation or cooperative acting through its appropriate officials. To evidence the principal stockholders' or members' liability as individuals, each principal stockholder or member will sign the note(s) except in unusual circumstances including legal disability, absence from the country, or legal justification.

(3) When the applicant is a partnership, the promissory note(s) will be executed so as to evidence the liability of the partnership as well as each principal partner as an individual. This will be accomplished by typing the name of the partnership above the space provided for signatures and having the note executed by each principal member of the partnership both as a partner and as an individual. To evidence the liability of the partnership, the words "As Partners" will be typed immediately beneath the name of the partnership and each principal partner will sign thereunder. To evidence the principal partners' liability as individuals, the words "As Individuals" will be typed at the top of the blank space to the left of the lines for signatures, and each principal partner will sign thereunder.

(d) *Personal and corporate guarantees.* (1) If a review of all credit factors indicates the need for additional security, FmHA may require additional personal and corporate guarantees. FmHA also may require that such guarantees be secured. Any collateral referred to in paragraph (a)(2) of this section may be used to secure the guarantees.

(2) Guarantors of applicants will:

(i) In the case of personal guarantees, provide current financial statements (not over 60 days old at time of filing), signed by the guarantors and disclosing community or homestead property.

(ii) In the case of corporate guarantees, provide current financial statements (not over 90 days old at time of filing), certified by an officer of the corporation.

§ 1945.121 [Reserved]

§ 1945.122 Revision of the use of loan funds.

(a) *Requirements.* Loan approval officials or their delegates are authorized to approve changes in the purposes for which loan funds are to be used provided:

(1) The loan was within the respective official's loan approval authority.

(2) Such a change will not adversely affect the feasibility of the operation for the Government's interest.

(3) Such a change is consistent with authorities, policies, and limitations for the loan involved and is for an authorized purpose.

(b) *Additional authority.* The State Director may delegate additional authority to approval officials to approve certain kinds of changes in the use of loan funds by issuing a State supplement describing such changes, provided prior approval is obtained from the National Office.

(c) *Revisions.* When changes are made in the use of loan funds, no revision will be made in the repayment schedule on the promissory note. Appropriate changes with respect to funds for the "debt repayment" will be made in Table K of Form FmHA 431–2 and they will be initialed by the borrower. The County Supervisor will also make appropriate notations in the "Supervisory and Servicing Actions" section of Form FmHA 405–1, "Management System Card-Individual," for followup.

§ 1945.123 General provisions—compliance requirements.

(a) *Environmental impact and evaluation statements.* If EE loans are made in populated areas to finance an operation which has relatively large feedlots or holding facilities for livestock of aquatic organisms or smaller feedlots or holding facilities which are likely to have an effect on the environment, the applicant will be requested to complete Form FmHA 449–10, "Applicant's Environmental Impact Evaluation."

(1) The County Supervisor will complete Form FmHA 440–46, "Environmental Impact Assessment," from information provided by the applicant in Form FmHA 449–10.

(2) The County Supervisor will forward a copy of the loan application, completed Forms FmHA 449–10 and 440–46, and any other information and docket material relevant to environmental considerations to the State Director. The State Director will determine whether an environmental impact statement should be prepared based on this submittal and any other available information.

(3) The provisions of Subpart G of Part 1901 of this Chapter will be followed to the extent applicable for EE loans in making decisions on farm operations that may have significant impact on the environment.

(b) *Equal opportunity and nondiscrimination requirements.* In accordance with Title V of Pub. L. 93–495, the Equal Credit Opportunity Act, FmHA will not discriminate against any applicant on the basis of race, color, religion, marital status, sex, national origin, physical/mental handicap with respect to any aspect of credit transactions. See Subpart E of Part 1901 of this Chapter for applicable compliance requirements.

(c) *Flood or mudslide hazard area precautions.* (1) Projects located in special flood or mudslide hazard areas, as designated by the Federal Insurance Administration (FIA) of the Department of Housing and Urban Development, may be financed under this Subpart only:

(i) If the community, as a result of such designation by FIA as a special flood or mudslide prone area, has an approved flood plain area management plan.

(ii) If the project location and construction plans and specifications for new buildings or improvements to existing buildings comply with the approved flood plain area management plan required by paragraph (c)(1)(i) above of this section.

(2) If the project is located in a special flood or mudslide hazard area and if flood insurance is available, it will be purchased by the borrower prior to loan closing. (See Subpart B of Part 1806 of this Chapter.) (FmHA Instruction 426.2.)

(d) *Protection of historical and archaeological properties.* If there is any evidence to indicate the property to be financed has historical or archaeological value, the provisions of Subpart F of Part 1901 of this Chapter apply.

(e) *Compliance with special laws and regulations.* (1) Applicants will be required to comply with Federal, State and local laws and regulations governing building construction; diverting, appropriating, and using water including use for domestic or nonfarm enterprise purposes; installing facilities for draining land; and making changes in the use of land affected by zoning regulations.

(2) State Directors and Farmer Programs Staff members will consult with the Soil Conservation Service, U.S. Geological Survey, State Geologist or Engineer, or any board having official functions relating to water use or farm drainage requirements and restrictions for water and drainage development. State supplements will be issued to provide guidelines which:

(i) State all requirements to be met, including the acquisitions of water rights.

(ii) Define areas where development of ground water for acquisition is not recommended.

(iii) Define areas where land drainage is restricted.

(3) Applicants will comply with all local laws and regulations, and obtain any special licenses or permits needed for nonfarm, recreation, specialized or aquaculture farming enterprises.

§§ 1945.124–1945.125 [Reserved]

§ 1945.126 Cancellation of loan checks and advances.

(a) If a loan check is to be cancelled, the County Supervisor should follow

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FmHA Instruction 102.1, paragraph IV C (a copy of which is available in any FmHA office).

(b) When an advance is to be cancelled, the County Supervisor must take the following actions:

(1) Complete Form FmHA 440–10, "Cancellation of Loan or Grant Check and/or Obligation," in accordance with the FMI.

(2) When necessary, obtain a substitute promissory note reflecting the revised total of the loan and the revised schedule. When it is not possible to obtain a substitute promissory note, the County Supervisor will show on Form FmHA 440–10 the revised amount of the loan and the revised repayment schedule.

(3) Transmit to the Finance Office Form FmHA 440–10 and Form FmHA 440–57, "Acknowledgement of Obligated Funds/Check Request," reflecting the revised repayment schedule.

§ 1945.127 Increase or decrease in amount of loan.

If it becomes necessary that the amount of the loan be increased or decreased prior to loan closing, the County Supervisor will request that all distributed docket forms be returned to the County Office for reprocessing, unless the change is minor and replacement forms can readily be completed and submitted. In the latter case, a memorandum to that effect will be attached to the revised forms for referral to the Finance Office.

§ 1945.128 Docket preparation.

(a) *Processing guide.* See Exhibit A of this Subpart for Insured EE Loan Processing Guide.

(b) *Form FmHA 440–1, "Request for Obligation of Funds."* A separate Form FmHA 440–1 will be prepared for each amount of the total loan which has a different purpose (operating or real estate), but Form FmHA 1940–37, "Economic Emergency Loan Analysis," will be prepared to reflect the total loan.

When the County Supervisor is reasonably certain that the EE loan can be closed within 20 days from the date of the check, loan funds may be requested at the time of loan approval by entering the amount needed in the appropriate block on Form FmHA 440–1. Loan funds may be scheduled for multiple advances, if appropriate. The amount of the initial advance will be shown on Form FmHA 440–1. Subsequent advances may be scheduled by using Form FmHA 440–57. Each advance will be limited to an amount which can be used promptly, usually within sixty days from the date of check.

(c) *Promissory Note.* A separate Form FmHA 1940–17 will be prepared for each Form FmHA 440–1 used in obligating the total amount of the EE loan. Each scheduled installment will include interest in addition to principal unless deferral of principal is authorized in accordance with § 1945.119 of this Subpart.

§ 1945.129 Approval and closing.

(a) *Loan approval.* Loans will be approved in accordance with the authorities and provisions contained in this Subpart and the loan approval conditions and authorities contained in Subpart A of Part 1901 of this Chapter. See Subpart B of Part 1941 of this Chapter for closing loans secured by chattels.

(1) When the County Committee certification has been made, the loan approval official will determine administratively whether:

(i) The applicant is eligible, likely to be successful in the proposed operations, and likely to achieve the objectives of the loan.

(ii) The applicant has satisfactory tenure arrangements on the farm to be operated.

(iii) The proposed farm and home operations of the applicant are reasonably sound.

(iv) The loan is proper and can be repaid from farm or other income as scheduled.

(v) The security requirements can be met.

(vi) The certification required of the applicant and County Committee have been made and are a part of the loan docket.

(vii) The loan meets all other FmHA requirements.

(b) *Loan closing.* Closing loans secured by real estate will be handled as follows:

(1) Loans secured by real estate are considered closed on the date the mortgage is filed for record. Such loans will be closed in accordance with the applicable provisions of Part 1807 of this Chapter (FmHA Instruction 427.1).

(2) Security instruments referred to in this section are real estate mortgages or deeds of trust.

(i) *Security instrument forms.* (A) FmHA real estate mortgage or deed of trust Form FmHA 427–1 (State), "Real Estate Mortgage for ———," will be used in all cases.

(B) For assignment of income, Form FmHA 443–16, "Assignment of Income from Real Estate Security," will be used, except that if the form is legally inadequate in a particular State it may be adapted with the approval of OGC.

(C) When water stock certificates or similar collateral are a part of the security, they will be retained in the County Office. A notation will be made on Form FmHA 405–1, "Management System Card-Individual," showing that such security has been retained.

(D) Form FmHA 1940–17 will be prepared and completed at the time of loan closing in accordance with the FMI. If insured RH funds are advanced simultaneously, the RH loan will be evidenced by a separate note on the proper form as provided in Subpart A of Part 1822 of this Chapter (FmHA Instruction 444.1). However, both notes will be described in the same security instruments. When a loan is closed between December 1 and January 1, the first installment will be collected at the time of loan closing unless a deferral is approved.

(E) When subsequent loans are made, a new security instrument will be required only when such existing instruments do not cover all required security or will not secure the subsequent loan.

(F) A subsequent loan for any authorized purpose may be made without taking new security instruments in any case in which the existing security instruments cover all of the property required to serve as security for the subsequent loan, the State law and the language of the existing security instruments will permit the future loan advance to be secured by the existing security instruments, and the existing security instruments will provide the same lien priority for the subsequent loan as for the initial loan. A new security instrument will be taken if one of these requirements is not met.

(ii) *Leaseholds.* Security instruments for loans secured by leaseholds will describe the security in accordance with Part 1807 of this Chapter (FmHA Instruction 427.1), and the following provisions will also apply:

(A) The following language, or similar language which in the opinion of the OGC is legally adequate, will be inserted just before the legal description of the real estate:

All Borrower's right, title, and interest in and to the leasehold estate for a term of —— years beginning on ———,19—, created and established by a certain lease dated ———, 19— executed by ———, as lessor(s), recorded on ———, 19—, in Book ———, page — of the ——— Records of said County and State, and any renewals and extensions thereof, and all Borrower's right, title, and interest in and to said Lease, covering the following real estate:

(B) An additional covenant will be inserted in the mortgage to read as follows:

Borrower will pay when due all rents and any and all other charges required by said Lease, will comply with all other requirements of said Lease, and will not surrender or relinquish, without the Government's written consent, any of the Borrower's right, title, or interest in or to said leasehold estate or under said Lease while this instrument remains in effect.

(C) A copy of the lease will be obtained for the case file.

(iii) *Filing or recording security instruments.* The following appropriate actions will be taken after loan closing:

(A) If the original security instrument is returned by the recording official, it will be retained in the borrower's case folder. If the original is retained by the recording official, a conformed copy, including the recording date showing the date and place of recordation and the book and page number, will be prepared and filed in the borrower's case folder. A conformed copy of the security instrument will be sent to a prior lienholder if a substantial interest is held by that lienholder or if it is required by a working agreement provision with that lender.

(B) The original deed of conveyance, if any, and a copy of the security instrument will be delivered to the borrower.

(iv) *Abstracts of Title.* Any abstract of title will be delivered to the borrower for safekeeping, and Form FmHA 140–4, "Transmittal of Documents," will be prepared and a receipt obtained in accordance with the FMI. However, when an abstract is obtained from a third party with the understanding it will be returned, such abstract will be sent directly to the third party and a memorandum receipt will be obtained.

(v) *Requesting title service.* When the loan is approved, the County Supervisor will see that title service is requested in accordance with Part 1807 of this Chapter (FmHA Instruction 427.1), if this has not already been done. Agreements will be in writing and cover subjects such as disposition of growing crops, rentals, payment of maintenance cost, and other pertinent points.

(vi) *Fees.* The borrower will pay all filing, recording, notary and lien search fees incident to loan transactions from personal or loan funds. When FmHA employees accept cash for these purposes Form FmHA 440–12, "Acknowledgment of Payment for Recording, Lien Search, and Releasing Fees," will be executed. FmHA employees will make it clear to the borrower that any fee so accepted is only for paying fees on behalf of the borrower.

(vii) *Supervised bank accounts.* If a supervised bank account is required, loan funds usually will be deposited following loan closing. Supervised bank accounts will be established in accordance with Subpart A of Part 1902 of this Chapter.

§§ 1945.130–1945.134 [Reserved]

§ 1945.135 Loan servicing.

Loans will be serviced in accordance with Parts 1806, 1863, and 1872 of this Chapter (FmHA Instructions 426.1, 425.1, and 465.1, respectively) and Subpart A of Part 1962 of this Chapter.

§ 1945.136 Graduation.

Borrowers will be expected to graduate when they are able to obtain their needed credit from conventional sources. All borrowers will be advised that their loans will be reviewed for graduation by FmHA. Loans for operating purposes will be reviewed four years after they are made and every other year thereafter. Loans for real estate purposes will be reviewed six years after they are made and every other year thereafter. Borrowers will also be advised that they will be required to refinance if other satisfactory credit is available to them even though their loans have not fully matured.

§§ 1945.137–1945.145 [Reserved]

§ 1945.146 Memoranda of Understanding.

See the appropriate section of this Chapter for memoranda pertaining to all Farmer Program loans. The following memoranda items also apply to this Subpart:

(a) Memorandum of Understanding Between Commodity Credit Corporation and FmHA (Exhibit A to Subpart A of Part 1962 of this Chapter).

(b) Memorandum of Understanding and Blanket Commodity Lien Waiver (Exhibit B to Subpart A of Part 1962 of this Chapter).

(c) Memorandum of Understanding with the Farm Credit Administration (Exhibit A to Subpart R of Part 2000 of this Chapter).

§ 1945.147 State supplements.

State supplements will be issued as necessary to implement this Subpart.

§ 1945.148 FmHA forms.

See Exhibit A of this Subpart.

§ 1945.149 Additional loans.

Additional EE loans may be made for the same purposes and under the same conditions as an initial EE loan provided:

(a) The additional loan will not cause either the unpaid principal balance of the EE indebtedness to exceed $400,000 or the limitation found in § 1945.117(d)(3) of this Subpart to be circumvented.

(b) All outstanding notes may be consolidated for EE loans for operating purposes in accordance with § 1951.33 (d) of Subpart A of Part 1951 of this Chapter.

§ 1945.150 General provisions.

(a) In performing the FmHA functions with respect to EE loans, the advice and assistance of OGC may be sought and followed on any legal matter.

(b) The State Director may delegate to staff members those administrative duties and responsibilities stipulated in this Subpart.

Exhibit A—Processing Guide

Insured Economic Emergency (EE) Loans

This Exhibit outlines the basic steps involved in processing a loan application and identifies the FmHA forms which should be considered for use at each step as appropriate for the different Economic Emergency loans.

Consult the appropriate FMI for instructions for completion, distribution, and procedural reference for each form.

Application Processing

A. Application Interview.

Review applicant's proposed plan of operation in relation to FmHA EE loan purposes and limitations.

Begin running case record.

Provide applicant with FmHA forms to be completed and returned which are needed to determine eligibility.

Advise applicant of other information that must be obtained and provided to FmHA.

The following FmHA forms will be made available to the applicant or used by the County Supervisor. Forms designated with an "x" are required and those designated with an "*" are used when applicable.

Form No.	Name	EE
410–1	Application for FmHA Services	x
410–5	Request for Verification of Employment.	*
410–7	Notification to Applicant on Use of Financial Information From Financial Institution.	*
410–8	Applicant Reference Letter	*
410–10	Privacy Act Statement to References	*
431–1	Long-Time Farm and Home Plan	*
431–2	Farm and Home Plan	x
440–32	Request for Statement of Debts and Collaterals.	*
1940–51	Crop-Share-Cash Farm Lease	*
1940–53	Cash Farm Lease	*
1940–55	Livestock-Share-Farm Lease	*
1940–56	Annual Supplement to Farm Lease	*

B. Field Visit.

Notify applicant of planned visit and its purpose.

Evaluate the resources available to the applicant and their adequacy in fulfilling the requirements of the proposed plan of operation, taking into consideration development work planned.

Obtain information needed to complete required appraisals (chattel and real estate).

If development is planned, discuss plans, specifications, and estimates.
Hold landlord-tenant meeting, if necessary, to reach an agreement on the terms of the lease, resolve any problems, etc.; record in running case record.
Determine security requirements and enter in the running case record.

The following FmHA forms will be used as appropriate.

Form No.	Name	EE
141–2	Notice of Visit or Meeting	x
422–1	Appraisal Report (Farm Tract)	x
422–2	Supplemental Report-Irrigation, Drainage, Levee, and Minerals.	*
422–3	Map of Property	x
422–10	Appraiser's Worksheet for Study of Comparable Properties.	*
424–1	Development Plan	*
424–2	Description of Materials	*
440–13	Report of Lien Search	*
440–21	Appraisal of Chattel Property	*

C. Eligibility Determination.

Obtain all needed application forms, and other information from the applicant; assist the applicant in completing these forms and/or in obtaining needed information, as necessary.
Request deed or other evidence of title.
Schedule meeting for County Committee, to review application and determine eligibility.
Inform applicant of the results of committee action.

The following FmHA forms will be used as appropriate in accomplishing the above actions:

Form No.	Name	EE
403–1	Debt Adjustment Agreement	*
440–2	County Committee Certification or Recommendation.	x

Docket Preparation

Obtain all information from the applicant, prior lienholder(s), landlord(s), etc., needed for the loan docket to be prepared.
Check to assure all security requirements have been or will be met by loan closing.
Prepare a loan narrative, and enter it into the running case record.

The following FmHA forms will be completed and used as necessary in preparing the loan docket for approval:

Form No.	Name	EE
427–8	Agreement with Prior Lienholder	x
440–1	Request for Obligation of Funds	x
440–4	Security Agreement (Chattels and Crops).	x
440–4A	Security Agreement (Crops)	*
440–6	Severance Agreement	*
440–9	Supplementary Payment Agreement	*
440–25/440–A25.	Financing Statement	*
440–26	Consent and Subordination Agreement.	*
440–41	Disclosure Statement for Loans Secured by Real Estate (for loans under $25,000).	*
440–41A	Disclosure Statement for Loans Not Secured by Real Estate.	*
440–43	Notice of Right to Rescind	*
440–46	Environmental Impact Assessment	*
441–5	Subordination Agreement	*
441–8	Assignment of Proceeds from the Sale of Agricultural Products.	*
441–10	Nondisturbance Agreement	*
441–12	Agreement for Disposition of Jointly Owned Property.	*
441–13	Division of Income and Nondisturbance Agreement.	*
441–17	Certification of Obligation to Landlord	*
441–18	Consent to Payment of Proceeds from Sale of Farm Products.	*
441–25	Assignment of Proceeds from the Sale of Dairy Products and Release of Security Interest.	*
443–17	Agreement to Sell Nonessential Real Estate.	*

Loan Approval and Closing

A. Loan Approval.

For chattel loan—file financing statement or chattel mortgage, and obtain a lien search.
For real estate loan—request preliminary title opinion.
Establish loan closing conditions and enter them in the running case record.
Execute and distribute all forms necessary for loan approval.

B. Loan Closing.

Request needed legal services.
Arrange for loan closing by escrow agent, designated attorney, or other authorized loan closing agent; furnish loan closing agent with appropriate instructions, forms, and other needed information for loan closing.

The following FmHA forms will be provided to and used by the appropriate loan closing agent, in addition to those forms listed under docket preparation which must be executed by the borrower or other party:

Form No.	Name	EE
400–3	Notice to Contractors and Applicants	*
400–6	Compliance Statement	*
402–1	Deposit Agreement	*
402–2	Statement of Deposits and Withdrawals.	*
402–5	Deposit Agreement (Non-FmHA Funds).	*
426–2	Property Insurance Mortgage Clause (Without Contribution).	*
427–1	Real Estate Mortgage or Deed of Trust.	*
427–4	Transmittal of Title Information	*
427–5	Affidavit of Borrowers (or Transferees).	*
427–8	Affidavit of Sellers (or Transferors)	*
427–9	Preliminary Title Opinion	*
427–11	Warranty Deed	*
440–45	Nondiscrimination Certificate (Individual Housing).	*
1940–17	Promissory Note	x
1940–37	Economic Emergency Loan Analysis	x
1945–23	Applicant's Certification (Insured Economic Emergency Loan).	x

Part 1980—GUARANTEED LOAN PROGRAMS

* * * * *

Subpart F—Economic Emergency Loans

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Subpart F—Economic Emergency Loans

§ 1980.501 Introduction.

(a) *Policy.* This Subpart contains regulations for making and servicing Economic Emergency (EE) loans made after August 11, 1978, and applies to lenders, holders, borrowers, Farmers Home Administration (FmHA) personnel, and other parties involved in making, guaranteeing, holding, servicing, or liquidating such loans. Subpart A of this Part applies to EE loans except for §§ 1980.21 and 1980.61 (b)(2) and (f). It is the policy of FmHA to make loans to any otherwise qualified applicant without regard to race, color, religion, sex, national origin, marital status, age or physical/mental handicap providing the applicant can execute a legal contract.

(b) *Program administration.* The County Supervisor is the focal point for the program and the local contact person for guarantee processing and servicing activities.

(c) *Administrative provisions.* The internal duties, responsibilities, and procedures to carry out the requirements of the program are identified as "ADMINISTRATIVE."

(1) *Office of the General Counsel (OGC):* In performing administrative functions with respect to EE loans, FmHA may ask for the advice and assistance of OGC on any legal matter. However, in loan making, it is the responsibility of the lender to ascertain that all requirements for making, securing, and servicing the loan are met. If FmHA has any questions concerning the lender's resolution of these matters, it should consult with OGC.

(2) *Delegation of Authority:* State Directors should delegate to their staff members those administrative duties and responsibilities stipulated in the Administrative sections of this Subpart.

§ 1980.502 Program objectives.

The objective of EE loans is to make adequate financial assistance available during the period authorized by Public Law 95–334 (authority expires May 15, 1980) in the form of loans insured or guaranteed by FmHA for bona fide farmers and ranchers who are primarily and directly engaged in agricultural production so that they may continue their farming or ranching operations during the economic emergency which has caused a lack of agricultural credit due to national or area wide economic stresses such as a general tightening of agricultural credit *or* in the alternative, an unfavorable relationship between production costs and prices received for agricultural commodities. *It is to be the policy of FmHA to make guaranteed EE loans before insured EE loans.*

§ 1980.503 [Reserved].

§ 1980.504 Definitions.

The following general definitions are applicable to the terms used in this Subpart. Additional definitions may be found in § 1980.6 of Subpart A of this Part.

(a) *Act.* The Emergency Agricultural Credit Adjustment Act of 1978 (Title II of Pub. L. 95–334).

(b) *Applicant.* The person or entity carrying on the farming operation and desiring EE loan assistance from a lender.

(c) *Approval official.* An FmHA field official who has been delegated loan and grant approval authorities within applicable loan programs, subject to the dollar limitations contained in tables available in any FmHA office (see Subpart A of Part 1901 of this Chapter, Exhibit C).

(d) *Aquaculture.* The husbandry of aquatic organisms by an applicant or borrower under a controlled or selected environment. Aquaculture operations are considered to be farming operations. Aquatic organisms may consist of any species of finfish, mollusk, or crustacean (or other invertebrate), amphibian, reptile, or aquatic plant.

(e) *Cooperative.* An entity which has farming as its purpose and whose members have agreed to share the profits of the farming enterprise. The entity must be recognized as a farm cooperative by the law(s) of the State in which the entity will operate a farm(s).

(f) *Corporation.* For the purposes of this Subpart, a private domestic corporation recognized as a corporation by the laws of the State(s) in which the entity will operate a farm(s).

(g) *Economic Emergency.* As used herein, a condition resulting from (1) a general tightening of agricultural credit, or (2) an unfavorable relationship between production costs and prices received for agricultural commodities, which has resulted in widespread need among farmers for temporary credit.

(h) *Family Farm.* A farm which:

(1) Produces agricultural commodities for sale in sufficient quantities so that it is recognized in the community as a farm rather than a rural residence.

(2) Provides enough agricultural income by itself, including rented land, or together with any other dependable income to enable the borrower to:

(i) Pay necessary family and operating expenses.

(ii) Maintain essential chattel and real property.

(iii) Pay debts.

(3) Is managed by:

(i) The borrower when a loan is made to an individual.

(ii) The member(s), stockholder(s) or partner(s) responsible for operating the farm when a loan is made to a cooperative, corporation, or partnership.

(4) Has a substantial amount of the labor requirements for the farm provided by:

(i) The borrower and any family members of the borrower for a loan made to an individual.

(ii) The member(s), stockholder(s), or partner(s) who are responsible for operating a farm and the families of the member(s), stockholder(s), or partner(s), for a loan made to a cooperative, corporation or partnership.

(5) May require a reasonable amount of full-time hired labor and seasonal labor during peakload periods.

(i) *Farm.* A tract or tracts of land, improvements, and other appurtenances considered to be farm property which is used or will be used in the production of crops or livestock. This includes aquaculture operations which meet the requirements set forth in paragraph (d) of this section. It will also include a residence which, although physically separate from the farm acreage, is ordinarily considered as part of the farm in the local community.

(j) *Farmer.* An individual, cooperative, corporation or partnership that is a farmer, rancher or aquaculture operator.

(k) *Farming or farm enterprises.* The business of producing crops, livestock products, and aquatic organisms through the utilization and management of land, water, labor, capital, and basic raw materials, including seed, feed, fertilizer, and fuel. Farming and farm enterprises consist of a total farming or aquaculture operation, or a portion thereof, which produces different types of products, including crops, livestock, livestock products, and aquatic organisms.

(l) *Guaranteed line of credit.* EE loan advances made and serviced by a lender subject to a maximum amount agreed to by the lender and FmHA which is specified in a Form FmHA 1980–27, "Contract of Guarantee (Emergency Livestock Loan or Economic Emergency Loan)."

(m) *Loan.* Both a fixed amount loan to which a Loan Note Guarantee will be attached and an advance(s) made pursuant to a line of credit guaranteed by a Contract of Guarantee.

(n) *Loan servicing.* All actions that are necessary after loan closing to collect the indebtedness and to protect the security and security rights. The term "servicing" also includes transfer and assumption and liquidation.

(o) *Majority interest.* Any individual or a combination of individuals owning more than a 50 percent interest in a cooperative, corporation or partnership.

(p) *Mortgage.* Any form of security interest or lien upon any rights or interest in real property of any kind. In Louisiana and Puerto Rico the term

"mortgage" also refers to any security interest in chattel property.

(q) *Normal lender.* An eligible lender as defined in § 1980.13 of Subpart A of this Part, who has been the primary source of agricultural credit for the applicant.

(r) *Partnership.* An entity consisting of members who have agreed to operate a farm. The entity must be recognized as a partnership by the laws of the State(s) in which the entity will operate a farm and must be authorized to own both real and personal property and to incur debts in its own name.

(s) *Principal member, stockholder or partner.* Any member, stockholder or partner owning or controlling a 10 percent interest in a cooperative, corporation or partnership. If no member, stockholder, or partner owns or controls at least a 10 percent interest, all members, stockholders or partners will be considered principal members, principal stockholders, or principal partners.

(t) *Protective advances.* Payments made by the lender to third parties to protect or preserve security.

(u) *Security.* Property of any kind subject to a real or personal property lien. Any reference to collateral shall be considered a reference to the term "security."

(v) *State or United States.* The United States itself, each of the several States, the Commonwealth of Puerto Rico, the Virgin Islands of the United States, Guam, American Samoa, and the Commonwealth of the Northern Mariana Islands.

§§ 1980.505–1980.508 [Reserved]

§ 1980.509 Eligible lenders.

See § 1980.13 of Subpart A of this Part. This section is applicable to both Loan Note Guarantee and Contract of Guarantee cases.

§ 1980.510 Case and identification (ID) numbers.

See § 1980.12 of Subpart A of this Part.

§ 1980.511 Receiving and processing applications.

An applicant and/or lender may file either a preliminary or complete application. In either case, the requirements of § 1980.46 of Subpart A of this Part must be met. A preliminary application may be used when an applicant or lender wants FmHA to determine eligibility, feasibility, or the availability of guarantee authority before filing a complete application. The County Supervisor will cooperate with the lender and applicant and will provide appropriate assistance in connection with loan application processes. The degree of this assistance will be determined by the lender's experience with FmHA guaranteed loan processing, the lender's farm lending experience, and the complexity of the proposal. The lender and applicant should contact the local FmHA office serving the area where the farming operation is conducted for guidance and assistance in preparing the request and for obtaining the guarantee. The County Supervisor will provide copies of all applicable FmHA forms and regulations. (See Appendix A of this Subpart for a list of these FmHA forms.) An applicant conducting farming operations as an individual or as a cooperative, corporation, or partnership in different counties or locations will be considered for only one application and will file the application in the county in which the farming operation is conducted unless determined otherwise by the State Director. In cases where the operation is located in more than one State, the State Directors involved will determine which State will process the application and service the loans(s).

(a) *Preliminary application.* This will consist of:

(1) Form FmHA 449–6, "Application for Guaranteed Loan (Farmer Programs)."

(2) Verification of off-farm employment, if any.

(3) Commercial credit report or other information concerning the applicant's credit history.

(4) Form FmHA 1980–32, "Lender's Certification (Guaranteed Economic Emergency Loan)."

(5) Any proposed "Line of Credit Agreement."

(6) The following additional information if the applicant is a cooperative, corporation or partnership:

(i) A complete list of members, stockholders, or partners, showing the address, citizenship, principal occupation, and the number of shares and percentage of ownership or of stock held in the cooperative or corporation by each or the percentage of interest held in the partnership by each.

(ii) A current personal financial statement (not over 60 days old at the time of filing the application) from each of the principal members of a cooperative, principal partners of a partnership or principal stockholders of a corporation. Any other member, partner or stockholder whose financial statement, in the judgement of the loan approval official, would be pertinent to a consideration of the financial strength of the cooperative, corporation or partnership will also be required to provide a personal financial statement.

(iii) A current financial statement (not over 90 days old at the time of filing the application) from the cooperative, corporation or partnership itself.

(iv) A copy of the cooperative's or corporation's charter, or partnership agreement, any articles of incorporation and bylaws, any certificate or evidence of current registration (good standing), and a resolution(s) adopted by the Board of Directors or members or stockholders authorizing specified officers of the cooperative or corporation to apply for and obtain the desired loan and execute required debt, security, and other instruments and agreements.

(b) *Evaluation of preliminary applications.* If it appears, after a review of the preliminary application, that the proposal will not meet FmHA's minimum credit standards for a sound loan, or the County Committee determines the applicant to be ineligible, or funds or guarantee authority are not available, the County Supervisor will so inform the lender using Form FmHA 449–13, "Denial Letter." The lender will notify the applicant in writing of all the reasons for the decision indicated. If it appears that the proposal is economically feasible and the County Committee determines that the applicant is eligible and loan guarantee authority is available, the County Supervisor will inform the lender in writing and request that a formal application be prepared.

(c) *Completed application:* This will consist of:

(1) Those items listed in paragraph (a) of this section.

(2) Form FmHA 1980–25, "Request for Guarantee (Emergency Livestock Loan or Economic Emergency Loan)."

(3) Applicable items required by §§ 1980.40, 1980.41, 1980.42, 1980.43, 1980.44, and 1980.45 of Subpart A of this Part.

(4) A copy of any lease agreement entered into by the applicant which may be pertinent to consideration of the application. When a lease is not obtainable, a statement setting forth the terms and conditions of the agreement will be included in the loan docket.

(5) Proposed loan agreements (or line of credit agreement when a Contract of Guarantee is requested) between the applicant and lender. (See paragraph VIII of Form FmHA 449–35, "Lender's Agreement," in Loan Note Guarantee cases or Form FmHA 1980–38, "Lender's Agreement", in Contract of Guarantee cases). Ordinarily, agreements will include the following information:

(i) Any improved mangement practices to be implemented.

(ii) Requirements for accounting and recordkeeping and periodic financial reporting.

(iii) A list of security for the loan and plans for at least an annual accounting of security.

(iv) Prohibitions against assuming liabilities or obligations of others.

(v) Restrictions on patronage refunds if the applicant is a cooperative, dividend payments if the applicant is a corporation or distribution if the applicant is a partnership.

(vi) Limitations on purchase or sale of equipment and/or fixed assets.

(vii) Limitations on compensation of partners, officers and/or owners if applicant is not a sole proprietorship.

(viii) Minimum working capital requirements.

(ix) Minimum debt to net worth ratio.

(x) Restrictions concerning consolidation, mergers or other circumstances if the applicant is a corporate entity.

(xi) The plans for repayment, reamortization or rescheduling of the loan, including the ceiling and duration of any line of credit.

(xii) Purposes for which loan funds will be used.

(xiii) Interest rate.

(6) *Appraisal report.* (i) Real estate or chattel property that will serve as collateral for loans will be appraised by a qualified appraiser selected by the lender. The lender will be responsible for determining that appraisers have the necessary qualifications and experience to make appraisals. If the lender has any questions in this regard, it should consult with FmHA before having an appraisal made. Appraisal reports may be on forms approved by the lender and/or Form FmHA 422–1, "Appraisal Report Farm Tract," and Form FmHA 440–21, "Appraisal of Chattel Property."

(ii) A real estate appraisal report will be based on at least two comparable sales made within 2 years. If the real estate has been appraised by FmHA or by a qualified appraiser within the last 3 years and if no significant changes in the market value of real estate have occurred in the area within the 3-year period, a new appraisal does not have to be made.

(iii) A *current* chattel appraisal is required when chattels are taken as security.

(7) Notices of compliance with the Privacy Act of 1974.

(8) Form FmHA 440–32, "Request for Statement of Debts and Collateral."

(9) Production history for at least 3 years except when applicant has farmed less than 3 years.

(10) The lender's plan for servicing the loan and providing management assistance to the borrower, including the steps necessary to see that the requirements of the loan agreement are met.

(d) *FmHA evaluation of applications.* When the County Office receives a completed application, the County Supervisor will make any proper independent investigations, inspections, and appraisal reviews which are deemed to be necessary to determine whether (1) the applicant is eligible, (2) the proposed loan is for authorized purposes, (3) there is reasonable assurance of repayment ability, and (4) there is sufficient collateral and equity. The County Supervisor's determinations will be recorded on Form FmHA 449–23, "Guaranteed Loan Evaluation Farmer Programs." This evaluation is for the benefit of FmHA and not the lender.

(1) If the evaluation indicates that the guarantee cannot be approved (for reasons that would not be affected by the County Committee certification), the County Supervisor will inform the lender on Form FmHA 449–13 of the reasons and will discuss with the lender the items necessary to overcome any objections. The foregoing will be recorded in the County Office file.

(2) If the evaluation indicates that the guarantee may be approved and the County Committee has not taken action on the case, the County Supervisor will present the application to the County Committee for action.

Administrative

(A) Regardless of whether the applicant is acting as an individual or as a representative of a cooperative, corporation or partnership, when FmHA solicits personal information, the individual will be given Form FmHA 410–9, "Statement Required by the Privacy Act."

(B) If FmHA desires to obtain information concerning an individual from any source, FmHA will provide such source with Form FmHA 410–10, "Privacy Act Statement to References."

§ 1980.512 Eligibility.

To be eligible for an EE loan, an applicant must:

(a) *Citizen.* If an individual, be a citizen of the United States (see § 1980.504(v) of this Subpart for the definition of "United States"). If a cooperative, corporation, or partnership, those member(s), stockholder(s) or partner(s) who have majority interest in the entity applying for the loan must be citizens.

(b) *Bona fide farmer.* Be a *bona fide* farmer (owner-operator or tenant-operator), doing business in the United States either as an indiviudal, cooperative, corporation, or partnership, that is recognized in the community as one primarily and directly engaged in agricultural production. *In the case of an individual loan applicant* the term "primarily and directly engaged in agricultural production" means that the applicant derives more than 50 percent of the gross income from the applicant's own agricultural production *or* more than 50 percent of the time required to operate the farm is provided by the applicant or family members of the applicant. *In the case of a cooperative, corporation, or partnership loan applicant,* the term "primarily and directly engaged in agricultural production" means the cooperative, corporation, or partnership derives more than 50 percent of its gross income from agricultural production *and* the member(s), shareholder(s), or partner(s) owning or controlling a majority interest in such cooperative, corporation, or partnership either derive more than 50 percent of their gross income from their own or the cooperative's, corporation's, or partnership's agricultural production, *or* devote more than 50 percent of their time to such agricultural production.

(1) A bona fide farmer must be actually engaged in farming operations to be financed by an EE loan. If the applicant is an individual, the applicant must manage such farming operation. If the applicant is a cooperative, corporation, or partnership it must be managed by one or more of the members, stockholders, or partners. One who does not devote full time to the farming operation may be considered the manager provided the person visits the farm at sufficiently frequent intervals to exercise control over the farming operation, give directions as to how it should be run, and see that the enterprise is being carried on properly. Any enterprise that involves an outside full-time manager or management service does not qualify regardless of the number of visits made. In addition, as between two applications on file at the same time, the lender will give preference to an applicant who owns or operates not larger than a family farm as defined in § 1980.504(h) of this Subpart. However, for purposes of an EE loan, this does not exclude an applicant who does not own or operate a family farm.

(2) An estate or trust; a corporation owned primarily (more than 50%) by an estate, trust, other corporations, or other partnerships; an individual partnership composed primarily (more than 50%) of an estate, trust, corporation or other partnership is not considered to be a bona fide farmer for EE loan purposes.

(3) An individual engaged in a joint farming operation and/or owning an undivided interest in the property of such an operation is not considered to

be an eligible farmer for EE loans purposes. However, if the individuals engaged in the joint operation decide on their own to reorganize their operation to form a cooperative, corporation or partnership, an application from the entity for an EE loan may then be accepted and considered by FmHA in accordance with this Subpart.

(4) For the purpose of determining EE loan eligibility, farmers, ranchers, or aquaculture operators who operate through contract or business arrangements with an integrated processor(s) are considered "bona fide" farm, ranch, or aquaculture operators provided they meet established eligibility criteria and the unit being operated is recognized in the community as a farm, ranch, or aquaculture operation.

(5) Integrated livestock, poultry, and fish processors who operate primarily and directly as commercial businesses through contracts or business arrangements with farmers, ranchers, and aquaculture operators are not considered to be bona fide farmers, ranchers, or aquaculture operators and, therefore, are not eligible for EE loans.

(c) *Legal capacity.* Possess the legal capacity to incur the obligations of the loan.

(d) *Character, industry, training, or experience and ability.* Possess the character (as related only to debt repayment ability and reliability) industry, training and/or experience and ability necessary to carry out the proposed farming operations, and honestly endeavor to carry out the undertakings and obligations in connection with the loan.

(e) *Credit elsewhere.* Be unable at the time the loan application is filed to obtain sufficient credit from the applicant's normal lender without a guarantee to finance actual needs at reasonable rates and terms due to national or areawide economic stresses, such as tightening of agricultural credit or an unfavorable relationship between production costs and prices received for agricultural, commodities. Furthermore, no loan shall be guaranteed unless the applicant's normal lender certifies that it is unwilling to provide the needed credit to the applicant without the guarantee.

(f) *Need.* Need such credit in order to maintain a viable agricultural production enterprise.

(g) *Registration or authorization.* If a cooperative, corporation, or partnership, be authorized to carry on a farming operation in the State(s) in which the farm is located.

§ 1980.513 County Committee review.

The County Committee will review the preliminary application or completed application, if the applicant and lender choose not to file a preliminary application, to determine whether the applicant meets EE loan eligibility requirements. The committee will also review any additional application(s) received from a lender relative to increasing the loan amount or line of credit ceiling.

(a) *Favorable Action.* If the County Committee finds the applicant is eligible under § 1980.512 of this Subpart, the members will sign Form FmHA 440–2, "County Committee Certification or Recommendation." This form will be retained in the County Office file. A new Form FmHA 440–2 will be prepared for any loan(s) resulting from a subsequent application.

(b) *Unfavorable Action.* If the County Committee finds that the applicant does not meet all of the requirements set forth in § 1980.512 of this Subpart, the members will complete Form FmHA 440–2 and the County Supervisor will inform the lender of the reasons for the Committee's unfavorable action by following the same procedure outlined in § 1980.511(d)(1) of this Subpart in using Form FmHA 449–13.

Administrative

A. After the County Committee certification of eligibility is obtained, the County Supervisor will:

1. Prepare Form FmHA 449.14, "Conditional Commitment for Guarantee," for Loan Note Guarantee cases or Form FmHA 1980–15, "Conditional Commitment for Emergency Livestock Loan or Economic Emergency Loan Contract of Guarantee," for Contract of Guarantee cases. At the time Form FmHA 449–15 is prepared, delete from the applicable paragraph the following sentence: "If a variable rate is used, it must be tied to a base rate which cannot change more often than quarterly and must be published periodically in a financial publication specifically agreed to by the Lender and Borrower" Initial the deletion. If it is within the County Supervisor's approval authority, the County Supervisor will list any special conditions of approval in the space provided on the form, including requirements for security, improved management practices, and type and frequency of financial reports required by FmHA but not required by the lender. The County Supervisor is authorized to execute and distribute Form FmHA 449–14 or Form FmHA 1980–15 if the loan is within the County Supervisor's approval authority.

2. Prepare Form FmHA 440–1, "Request for Obligation of Funds," Form FmHA 1940–37, "Economic Emergency Loan Analysis," and, for initial loans only, Form FmHA 1980–50, "Add, Delete, or Change Guaranteed Loan Borrower Information," in accordance with the Forms Manual Inserts (FMI). If the loan is within the County Supervisor's approval authority, Form FmHA 440–1 should be executed and the copies distributed in accordance with the FMI. Unless the County Supervisor has received notice that EE funds are not available and if the loan is within the County Supervisor's approval authority, the lender will be notified by sending a Form FmHA 440–1 as provided in the FMI and will also be provided a signed copy of Form FmHA 449–14 of Form FmHA 1980–15. The County Supervisor will record the actual date of lender notification on the remaining copy of Form FmHA 440–1 and make each copy a permanent part of the County Office loan file. The Finance Office will obligate funds and so notify the County Supervisor by forwarding the original and one copy of Form FmHA 440–57," Acknowledgement of Obligated Funds/Check Request."

3. Forward the loan docket to the appropriate approval official if the loan is not within the County Supervisor's approval authority.

4. Initiate and/or complete FmHA loan closing actions in accordance with this Subpart and Subpart A of this Part. This action may take place prior to the receipt of Form FmHA 440–57.

B. When appropriate the State Director will:

1. Set forth in the space provided in Form FmHA 449–14 or Form FmHA 1980–15 any special conditions of approval, including requirements for security, improved management practices, type and frequency of financial reports required by FmHA but not required by the lender. An attachment to the form may be used if necessary. Return Form FmHA 449–14 or Form FmHA 1980–15 to the County Supervisor for execution and proper distribution.

2. Sign the original and one copy of Form FmHA 440–1 and distribute copies in accordance with the FMI, making sure the lender receives a signed copy.

§ 1980.514 Planning and Development.

The lender is responsible for seeing that any buildings or other improvements or major land development to be paid for with loan funds are properly completed within a reasonable period of time. The security must be free of any mechanic's or materialmen's or other liens which would affect the priority of the lien which the lender indicated would be taken. All major construction, major repairs, and major land development must be performed under contract. As soon as such construction, repair, or land development involving the use of loan funds has been completed in accordance with the plans and specifications, Form FmHA 449–11, "Certificate of Acquisition or Construction," will be complete and given to the County Supervisor. This form will be used by a lender, borrower, and/or contractor to certify that the security has been acquired or the construction completed. In connection with construction the lender is responsible for:

(a) Making sure there is compliance with applicable laws, ordinances, codes and regulations, including FmHA regulations, which affect all phases of construction. The lender may inspect the site and any construction or development work at any stage whenever the lender considers it necessary.

(b) Seeing that the plans, specifications, and estimates are adequate.

(c) Making sure of the rights to an adequate water supply of sufficient quantity and quality.

(d) Identifying whether the construction or development will be performed by contract or other method.

(e) Checking to see that any necessary surety bonds covering contractors are in proper form.

(f) Seeing that all equal opportunity and nondiscrimination requirements are met. (See § 1980.41 of Subpart A of this Part.)

(g) Limiting periodic or partial payments for construction or development to a reasonable percentage of the actual value of work and material in place. The lender will make final payment only after seeing that the final inspection has been made.

(h) Ascertaining that after planned development is completed that no suits are pending or threatened that would adversely affect the borrower's interest in the collateral when the security instruments are filed and when final loan disbursement is made.

Administrative

The County Supervisor will:

1. Check to see that the construction, repair or land development has been completed.

2. Forward Form FmHA 449–11 to the lender for completion and execution by the lender, borrower and contractor.

§ 1980.515 Type of guarantee.

(a) *Loan Note Guarantee.* Lenders desiring to sell the guaranteed portion of fixed amount and term loans will use the method contained in Subpart A of this Part. In accordance with that method, loans may be made by a lender and guaranteed by issuance of Form FmHA 449–34 (1980–34) "Loan Note Guarantee." This procedure will be followed for *operating* or *real estate* purposes (see § 1980.516 of this Subpart).

(b) *Contract of Guarantee.* Lenders desiring a guarantee on a "line of credit" will use the method contained in this Subpart. Line of credit loans are guaranteed by Form FmHA 1980–27. The amount of loan advances outstanding at any one time under a Contract of Guarantee may not exceed the line of credit ceiling set forth in the contract. This procedure will be followed for *operating* purposes only (see § 1980.516 of this Subpart).

(c) *Multiple guarantees.* More than one Loan Note Guarantee or Contract of Guarantee may be executed with the same or different lenders to a borrower so long as each loan is secured with separate collateral that is clearly identified. The total loans must not exceed $400,000 at any time. The limitation found in § 1980.517(d)(3) of this Subpart must also be complied with.

(d) *Program termination date.* A Loan Note Guarantee or Contract of Guarantee will not be executed after *May 15, 1980.*

§ 1980.516 Loan purposes.

EE loans may be guaranteed for purposes which are *essential* to carrying on farming operations. These purposes are:

(a) *Operating purposes.* (1) Purchase of livestock, poultry, fur bearing and other farm animals, aquatic organisms, bees, farm equipment, and paying costs incident to reorganizing the farming system for a viable operation.

(2) Consolidating, restructuring or refinancing of secured or unsecured indebtedness, including the making of installment payments of principal and interest owed on farm real estate or other farm and home debts (including FmHA insured and guaranteed loans), that cannot be paid unless assistance is made available with an EE loan, and other debts necessary to provide rates and terms within the applicant's repayment ability that will assure continuation of the farm operation.

(3) Purchase of a milk base either with or without cows when such action is necessary to assure the borrower a satisfactory market for its dairy products.

(4) Purchase of grazing license or permit rights of private parties which can be validly sold and transferred.

(5) Augmenting and improving existing water supplies.

(6) Payment of fuel, seed, fertilizer, insecticide, farm supplies, labor, and other annual operating expenses that are essential to continuation of farming operations including the operation of any additional acreage which does not substantially expand the farming operations.

(7) Payment of customary cash rent or cash charges for the use of essential buildings, pasture, crops, hay, land, and grazing permits or bills for such purposes for the operating or crop year being financed, subject to the following:

(i) The applicant is obligated under a written lease or other agreement to pay such rent or charges in advance of the time income will be available from the operation to make such payment. For grazing fees an invoice showing the number of livestock to be grazed, the grazing period, the cost per head and the total cost may be used in lieu of a written lease. However, when relatively small amounts of funds are involved, an invoice will not be required if the applicant's explanation of a satisfactory grazing agreement is recorded in the loan docket.

(ii) Arrangements cannot be made for the rent or charges to become due when income will be available from the operations to make such payment.

(iii) The terms of the rental agreement provide the applicant with satisfactory tenure for the crop year being financed.

(iv) Not more than one year's cash rent or cash charges will be paid with loan funds in any one lease year, except that if a loan is approved near the end of the current lease year, funds for payment of such rent or charges for the succeeding lease year may be included in the loan.

(8) Payment of real and personal property taxes due or about to become due and water or drainage charges or assessments.

(9) Payment or reasonable expenses incidental to obtaining, planning, making, and closing the loan, such as loan fees authorized in § 1980.22 of Subpart A of this Part and fees for legal, architectural, and technical services which are required to be paid by the borrower and which cannot be paid from other funds. Loan funds also may be used to pay the borrower's share of Social Security taxes for labor hired by the borrower in connection with making the planned building and/or improvements. However, loan funds are not to be used to pay fees charged applicants by agriculture management consultants and other professionals for preparation of EE loan dockets including farm and home plans and other FmHA forms used in processing such loans.

(10) Payment of premiums for insurance on real and personal property including premiums for public liability and property damage insurance on farm and other essential equipment, including farm trucks. When a loan is secured by chattels and the loss of such chattels would jeopardize the interest of lender or the Government, the lender may require the borrower to insure the chattels against hazards customarily covered by insurance in the area.

(11) Meeting the family subsistence needs, including premiums on reasonable amounts of health and life insurance, and expenses for medical care or for paying bills incurred for any

of these purposes during the crop year being financed.

(12) Purchase any stock in a cooperative lending or marketing organization that is necessary to obtain a loan or to maintain a viable farming operation

(13) Up to $25,000 in a fiscal year for real estate improvements, repairs or refinancing unsecured debts clearly incurred for such purposes although real estate is *NOT* available for collateral. The following determinations must first be made:

(i) A loan will not be needed year after year for this purpose.

(ii) The applicant owns the land or has a lease including a compensating agreement adequate to reimburse the tenant for any unexhausted value of the improvement upon termination of the lease.

(iii) It is clearly necessary for the success of the operation.

(14) When it is a customary practice among farmers in the locality, payment of "hedging" costs including brokerage fee, margin requirements, and margin calls in connection with a futures contract for nonspeculative purposes for a specific commodity being produced.

(b) *Real estate purposes.* (1) Changing or reorganizing the farming operation so it will be an economically viable operating unit. Such a purpose includes the construction, improvement, alteration, repair, relocation, purchase or moving of essential service buildings, facilities, and structures on the applicant's real estate necessary for reorganization of the operation, including the purchase and/or installation or augmentation and improvement of essential farmstead water and sewage systems, and other equipment or facilities necessary to the operation (includes equipment which utilizes wind or solar energy).

(2) Providing land and water development, acquiring water supplies, rights, use, and providing conservation essential to the operation. This includes but is not limited to fencing, land clearing forestry practices, establishment and improvement of permanent hay or pasture, drainage and irrigation facilities, basic application of lime and fertilizer, and development of fish ponds and lakes.

(3) Consolidating, restructuring or refinancing of secured and unsecured indebtedness, including the making of installment payments of principal and interest, owed on farm real estate or other farm and home debts (including FmHA insured and guaranteed loans) that cannot be paid unless assistance is made available with an EE loan, and other debts necessary to provide rates and terms within the applicant's repayment ability that will assure continuation of the farm operation.

(4) Payment of reasonable expenses incidental to obtaining, planning, making, and closing the loan, such as loan fees authorized in § 1980.22 of Subpart A of this Part and fees for legal, architectural, and technical services which are required to be paid by borrower and which cannot be paid from other funds. Loan funds also may be used to pay the borrower's share of Social Security taxes for labor hired by the borrower in connection with making the planned building and/or improvements. However, loan funds are not to be used to pay fees charged applicants by agriculture management consultants and other professionals for preparation of EE loan dockets including farm and home plans and other FmHA forms used in processing such loans.

(5) Payment of the first-year premium for required insurance on buildings on the property which are to serve as security for the loan.

§ 1980.517 Loan limitations and special provisions.

(a) *Limitations on use of loan funds.* (1) Loan funds *will not* be used to purchase land.

(2) Loan funds *will not* be used to lease additional land which would increase the number of acres of the operation above the highest level being farmed during the year of application or the year preceding application, whichever is greater.

(3) Individual members of a cooperative or partnership, or stockholders of a corporation, will not receive individual loans to finance their interest in the cooperative, corporation or partnership farming operation.

(4) Loan funds will not be used to buy, build, or repair a borrower's personal dwelling(s).

(5) Loan funds will not be used as part of a compensating balance, i.e. a minimum required balance.

(6) An applicant conducting farming operations as an individual or as a cooperative, corporation, or partnership may be considered for more than one EE guaranteed loan when more than one agricultural lender is involved, provided (a) identifiable separate security is given to each lender and (b) the combined total principal balance outstanding at any one time on guaranteed loans for all lenders involved does not exceed *$400,000.* The limitation found in paragraph (d)(3) of this section must also be complied with.

(b) *Total loans to applicants.* The total principal balance outstanding at any time on EE loan(s) shall not exceed $400,000.

(c) *Applicants involved in more than one operation.* Loan to applicants involved in more than one operation will be considered as follows:

(1) If an applicant who, in addition to the applicant's own farm operation, owns or controls *50 percent or more* of another farm operation(s), and is actively engaged in both operations, both the applicant and the other farm operation(s) may be considered for separate loans provided the combined total does not exceed the $400,000 limitation.

(2) If an applicant, who, in addition to the applicant's own farm operation, owns or controls *less than 50 percent* of another farm operation(s), and is actively engaged in *separate* farm operation(s), the applicant and the other farm operation(s) will be considered as separate entities for application of the $400,000 limitation.

(3) If the first applicant described in paragraphs (c) (1) and (2) of this section is deemed to be ineligible, such determination shall not preclude the other operation(s) in which the applicant holds an interest from being considered for an EE loan(s).

(d) *Relationship with other FmHA insured or guaranteed loans.* (1) If an applicant qualifies for an Emergency (EM) loan in an authorized area, the applicant's total credit needs will first be considered under EM loan authorities. An EE loan may be made simultaneously with an EM loan to meet the applicant's total needs.

(2) Applicants applying for FmHA assistance or borrowers already indebted to FmHA and/or FmHA guaranteed lender(s) for Farm Ownership (FO), Operating (OL), Recreation (RL) or Soil and Water (SW) loan(s) may be considered for EE loan(s) provided the total outstanding principal indebtedness to FmHA and/or the lender(s) does not exceed $650,000. Applicants applying for assistance, who are eligible for FO, OL, RL or SW loans, will have their credit needs considered as follows:

(i) If at all possible, their *total* credit needs should be met with an FO, OL, RL, or SW loan;

(ii) If their *total* credit needs cannot be met with an FO, OL, RL or SW loan, they may be made an EE loan to meet their total needs;

(iii) If their *total* credit needs are greater than can be met with an EE loan, an EE loan can be made simultaneously with an FO, OL, RL or SW loan to meet the applicant's needs; and

(iv) If FO, OL, RL or SW loan funds are not available, in hardship cases, an EE loan can be made to meet the applicant's immediate credit needs.

(4) The combined total of Emergency Livestock (EL) and EM indebtedness will *not* be considered in application of the $400,000 EE loan limitation.

§ 1980.518 Loan rates and terms.

(a) *Interest rate to borrower.* The interest rate to be paid by the borrower to the lender will be a fixed or variable rate agreed upon by the borrower and the lender, *except* the lender may not charge a rate in excess of its best rate to its best farm customers. Variable rates may change according to the practices of the lender for its best farm customers. Best farm customers are those conventional farm borrowers who are required to pledge their crops, livestock, and other chattel and real estate security for the loan. This does not include those high risk farmers with limited security and management ability that are generally charged a higher interest rate by conventional agricultural lenders. Also, this does not include those low risk farm customers who obtain financing on a secured or unsecured basis who have as collateral such items as savings accounts, time deposits, certificates of deposit, stocks and bonds, and life insurance, which they are able to pledge for the loan.

(b) *Variable interest rate.* (1) It is permissible to have one interest rate on the guaranteed portion of the loan and another interest rate on the unguaranteed portion of the loan, provided the lender and borrower agree, and:

(i) The rate on the unguaranteed portion does not exceed that currently being charged on loans of similar size and purposes for borrowers under similar circumstances.

(ii) The rate on the guaranteed portion of the loan will not exceed the rate on the unguaranteed portion. Fixed and variable interest rates cannot be used on the same loan.

(2) When multi-rates are used the lender will provide FmHA with the overall effective interest rate for the entire loan.

(c) *Loan terms for Loan Note Guarantee and Contract of Guarantee.* (1) Loans will be scheduled for repayment at such time and periods as the lender may determine, consistent with the purpose of the loan and in accordance with the useful life of the security and the reasonable repayment ability of the applicant as determined by the plan of operation. Form FmHA 431–2, "Farm and Home Plan," may be used in establishing a plan of operation or the lender may submit a plan of operation without using FmHA forms. However, there must be at least an annual installment unless a *deferment* of principal and/or interest is authorized in accordance with paragraph (f) of this section.

(2) Loan terms for items financed under § 1980.516(a) (operating purposes) of this Subpart will be as follows:

(i) Loans will be for a period not to exceed 7 years. Loans may be scheduled for a longer repayment period if the lender and FmHA approval official determine that the needs of the applicant justify a longer repayment period.

Such period may be approved as warranted by the needs of the applicant but cannot exceed 20 years. Generally real estate will be needed as security when the longer repayment period is authorized. When the longer period is used, rescheduling is *not authorized.* This longer repayment period option is not available for Contract of Guarantee (line of credit) cases.

(ii) When conditions warrant, installments may vary in amounts. However, the final installment will not be larger than the amount which can then be financed by the lender without a guarantee or be repaid within a rescheduled period of not to exceed 7 years. The applicant must be advised before the loan is closed that the lender will review each case at the end of the loan term to determine if such rescheduling is warranted.

(iii) Advances for *annual recurring operating expenses* or for paying bills incurred for such purposes for the operating or crop year being financed will be scheduled for payment when the principal income from the year's operations normally would be received. *HOWEVER,* the initial loan for annual recurring operating purposes may be scheduled for repayment for a period up to 7 years if additional security other than crops can be obtained.

(3) The terms for items financed under § 1980.516(b) of this Subpart (*real estate purposes)* will be for a period not to exceed 40 years. If less than 40-year terms are established for the initial loan, the loan may be reamortized not to exceed 40 years in accordance with paragraph (f) of this section. This repayment period option is not available for Contract of Guarantee (line of credit) cases.

(4) When real estate is taken as additional collateral for Contract of Guarantee cases, repayment terms will be limited to terms established for operating purposes as outlined in paragraph (c)(2) of this section.

(d) *Repayment schedules.* In order for notes to be acceptable, the principal and interest repayment schedules will have to be clearly shown in the note(s). Use of a note with a "payment on demand" feature is not permissible unless it is modified by a supplemental agreement which waives the demand feature and sets forth the repayment schedule.

(e) *Advances under a Contract of Guarantee—line of credit.* Prior to May 15, 1980, an outstanding guaranteed advance may be paid off before the end of its term with funds from a new guaranteed advance, provided the line of credit ceiling is not exceeded. However, no advance may be made for a term which exceeds the period remaining in the original or extended line of credit term. The line of credit term may be up to 7 years, but it is limited to the term established in the "Line of Credit Agreement." FmHA consent is not needed to make these line of credit advances under a Contract of Guarantee. After May 15, 1980, no new advances will be made. Advances outstanding at that time may be rescheduled for an additional 7 years with FmHA's consent. When deemed to be in the best interest of the Government and the borrower, and with FmHA's approval, advances rescheduled on May 15, 1980, may be rescheduled for an additional 7 years provided such rescheduling will not extend the loan terms beyond 14 years from the date of the original "Line of Credit Agreement."

(f) *Consolidation, rescheduling, reamortization and deferral.* (1) *General requirements.* All borrowers are expected to repay their loans according to the planned repayment schedule. However, circumstances may occur which will not permit borrowers to pay as scheduled. When rescheduling, consolidation, reamortization, or deferral will assist in the orderly collection of a loan, such action *may* be taken provided:

(i) The borrower meets the eligibility and security requirements for an initial loan as set out in this Subpart;

(ii) Such action is not used in lieu of or to delay liquidation;

(iii) Such action is not taken to remove a delinquency;

(iv) The lender determines that the borrower is making satisfactory progress or will make satisfactory progress with revised repayment terms;

(v) The borrower is cooperating in servicing the account and is maintaining the security;

(vi) Such action will enable the borrower to continue farming; and

(vii) Any holder(s) agrees to the consolidation rescheduling, reamortization, or deferral and recognizes that no payments will be

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made to the holder by the lender or FmHA during any deferment period.

(2) *Consolidation and rescheduling.* (i) The term "consolidate" means to combine the outstanding principal and interest balance of two or more EE loans *made for operating purposes.* This applies to Loan Note Guarantee cases only.

(ii) The term "reschedule" means to rewrite the rates and/or terms of a promissory note which acknowledges indebtedness for a loan made for operating purposes.

(iii) EE loans made for operating loan purposes *may* be consolidated only with other EE loans made for operating loan purposes. Whenever a subsequent EE loan for operating purposes is approved, it may be consolidated with all outstanding EE loans for operating purposes into a single new note.

(iv) An EE loan made for operating loan purposes may be consolidated or rescheduled when it is in the best interests of the borrower and the lender to do so.

(v) An EE loan made for operating purposes scheduled to be repaid in more than seven years will *not* be consolidated with other EE loans.

(vi) There is no limit on the number of times consolidation or rescheduling action may take place.

(vii) The interest rate for a consolidated or rescheduled loan for operating purposes will be the negotiated rate agreed upon by the lender and the borrower subject to the limitations set out in subsections (a) and (b) of this section.

(viii) The new note which exists after a consolidation or rescheduling action occurs must be scheduled over a period *not to exceed seven years* from the date of the action except in special cases authorized in subparagraph (c)(2)(i) of this section. When a longer term is needed, EE loans for operating purposes may be rescheduled for up to 20 years from the date of the original note.

(ix) When a consolidation occurs, a new Form FmHA 449–34 and a new Form FmHA 449–35 will be executed.

(3) *Reamortization.* (i) The term "reamortize" means to rearrange the rates and/or terms of a EE loan(s) made for real estate purposes.

(ii) Scheduled payments may be rearranged over the remaining term of the original repayment period established for the loan or assumption agreement (new terms), or be rearranged over a period not to exceed the maximum statutory period of 40 years from the date of the original note.

(iii) The interest rate for a reamortized EE loan will be the negotiated rate agreed upon by the lender and the borrower at the time of the action subject to the limitations set out in paragraphs (a) and (b) of this section.

(4) *Deferral.* (i) The term "defer" means to postpone the payment of interest and/or principal on an EE loan.

(ii) Principal may be deferred in whole or in part. Interest may be deferred only in part. A partial payment of the interest will be required during the deferment period.

(iii) Deferred interest will *not* be capitalized.

(iv) Payments may be deferred for no more than three years, but in no case will the deferral period extend beyond the final due date of the note.

(v) The lender must determine that scheduled payments cannot be made due to circumstances beyond the borrower's control, and the borrower is temporarily unable to continue making payments due on the loan without unduly impairing the borrower's standard of living. Also the lender must determine that there are reasonable prospects that the borrower will be able to resume full payments at the end of the deferral period.

(5) For the actions described in paragraphs (f) (1), (2) and (3) of this section, the following will also apply:

(i) The consolidated, rescheduled or reamortized note may increase the amount of principal by the amount of accrued interest owed at the time of the consolidation, rescheduling, or reamortization.

(ii) The new note will describe the note(s) being consolidated, deferred, rescheduled or reamortized and will state that the indebtedness evidenced by such note(s) is *not* satisfied. The original note(s) must be retained for identification purposes.

(iii) Additional security instruments will be required if needed to maintain lien priority or to protect the interest of the lender and FmHA.

§ 1980.519 [Reserved]

§ 1980.520 Collateral requirements.

(a) *Collateral.* (1) The lender is responsible for seeing that all available collateral is pledged and maintained and is in existence and of record to protect the interest of the lender, the holder, and FmHA.

(2) Except for the modifications contained in paragraph (c) (1) of this section, collateral must be of such a nature that repayment of the loan is reasonably assured considering the integrity and ability of the applicant's management, soundness of the operation, and prospective earnings. Collateral may include, but is not limited to the following: livestock, livestock products, crops, land, buildings, machinery, equipment, furniture, fixtures, inventory, accounts receivable, cash or special cash collateral accounts, personal and corporate guarantees, marketable securities, and cash surrender value of life insurance. Collateral may also include assignments of leases or leasehold interest, revenues, patents, and copyrights.

(3) All collateral must secure the guaranteed and unguaranteed portions of the loan(s). The lender may not take separate collateral to secure only that portion of the loan not covered by the guarantee. Compensating balances or certificates of deposit as used in the ordinary course of business may be required but not as a means of eliminating the lender's exposure on the unguaranteed portion of the loan.

(4) When FmHA and a guaranteed lender are involved in separate EE loans to the same borrower, separate collateral must be clearly identified for both the FmHA and the lender's loans.

(b) *Personal and corporate guarantees* (also considered collateral).

(1) Personal guarantees from principal members of cooperatives, principal stockholders in a corporation, or principal partners of partnerships, usually will be required. Guarantees from principals of parent, subsidiary, or affiliated companies may also be required. Guarantees will be required in sufficient amounts depending on the credit factors in each loan to reasonably assure repayment of the loan and provide sufficient security.

(2) An exception to the requirements for personal guarantees or corporate guarantees may be granted by FmHA if the proposed guarantors provide written evidence through the lender to FmHA that they cannot provide such guarantees due to other existing contractual obligations or legal restrictions. For those applicants providing documented evidence of successful operations for the past three years, such guarantees will be obtained as determined by FmHA.

(3) If a review of all credit factors indicates the need for additional security, the lender and/or FmHA may require additional personal and corporate guarantees. The lender and/or FmHA also may require that such guarantees be secured. Any collateral referred to in paragraph (a)(2) of this section may be used to secure the guarantees.

(4) Guarantors of applicants will:

(i) In the case of personal guarantees, provide current financial statements (not over 60 days old at time of filing), signed by the guarantors and disclosing community or homestead property.

(ii) In the case of corporate guarantees, provide current financial statements (not over 90 days old at time of filing), certified by an officer of the corporation.

(c) *Additional requirements.* (1) If the present market value of the collateral is not at least equal to the amount of the loan, the applicant's repayment ability may be considered by the lender and FmHA (provided the FmHA loan approval official's opinion is based on the evaluation set forth in § 1980.511(d) of this Subpart) in determining whether the loan should still be made. When the applicant's repayment ability is so considered, the following conditions must also be met:

(i) The applicant's *typical year* operating plans indicate ability to pay the loan in full within the proposed repayment period (which may provide for a deferral if necessary).

(ii) The applicant will give a lien on *all* available collateral.

(iii) The agreement between the lender and FmHA concerning the applicant's repayment ability will be indicated on either Form FmHA 449–14 or Form FmHA 1980–15.

(iv) If FmHA and the lender agree, life insurance will be required for the individual borrower or for the principals and key employees of an entity borrower and will be assigned or pledged to the lender. This life insurance may be decreasing term insurance. A schedule of life insurance available for the benefit of the loan will be included as part of the application.

(2) Any extension of credit by the lender after May 15, 1980, will not be covered by the guarantee and, if it is to be secured, a lien must be taken on other collateral or the lien position taken on the existing collateral must be junior to any liens taken for the guaranteed EE advances.

(3) When the same lender is involved in both an EE guaranteed loan(s) and a separate loan and there will be like chattel collateral for each, the EE guaranteed loan(s) must be adequately secured by (i) a lien on separate collateral that is clearly identifiable, or (ii) a lien of a higher priority if the same collateral is used to secure both loans. In the latter case when the same collateral secures both loans, the lender must agree in writing that the scheduled installments on the EE guaranteed loan will be paid first.

(4) *The use of supervised accounts* by lenders to maintain ongoing farming operations will be established for Loan Note Guarantee cases when chattels serve as security for the loan. This requirement is imposed by FmHA for the purpose of assisting the lender in maintaining security and in order that the lender and FmHA will have available a record of the use of both loan funds and funds received in the normal course of a borrower's farming operation. The funds placed in such an account must be assigned as collateral for the guaranteed loan and disbursed only for authorized EE loan purposes. Also, the value of the security for, and the lien position of, the loan must be maintained by the lender as funds are received and disbursed through the account. The lender will maintain a continuous record of items sold, funds placed in, and use of proceeds disbursed from the account. It is intended that supervised accounts be used primarily with Loan Note Guarantee cases. However, the same requirements will apply should the occasion arise to use a supervised account with a Contract of Guarantee on a line of credit.

(5) The lender must ascertain that the borrower or any other individual or entity pledging collateral for the loan, actually has a marketable title to the collateral pledged as security for the loan and that no suits are pending or threatened that would adversely affect the collateral of the borrower when the security instruments are filed.

(6) Hazard insurance with a standard mortgage clause naming the lender as beneficiary will be required when necessary to properly protect the interests of the Government and the lender on every loan in an amount that is at least the lesser of the replacement cost of the real estate property being insured or the amount of the loan.

(7) Insurance may be required on personal property when the loan approval official determines it is necessary to protect the interest of the lender and the Government.

Administrative

The County Supervisor will:

1. Review and determine whether the lender has required the necessary security to be taken. If necessary, the County Supervisor will seek the advice and assistance of the District Director. The security is inadequate or questionable, the County Supervisor will make an appraisal of the required security.

2. Determine if the material and information submitted is complete. If the County Supervisor determines that the lender's appraisal(s) of the security is inadequate or questionable, the County Supervisor will make an appraisal of the required security.

§§ 1980.521–1980.522 [Reserved]

§ 1980.523 General provisions—compliance requirements.

See the following sections of Subpart A of this Part for appropriate actions to be taken:

(a) § 1980.40—Environmental impact assessments and statements.

(b) § 1980.41—Equal opportunity and nondiscrimination requirements.

(c) § 1980.42—Flood or mudslide hazard area precautions.

(d) § 1980.43—Clean Air Act and Water Pollution Control Act requirements.

(e) § 1980.44—National Historic Preservation Act of 1966.

(f) § 1980.45—Other Federal, State and local requirements.

Administrative

The County Supervisor will:

1. Determine that the supporting items and forms listed in §§ 1980.40 through 1980.45 of Subpart A of this Part are a part of the application, and the conditions of each section are being complied with when applicable.

2. Follow the requirements of Subpart G of Part 1901 of this Chapter.

§ 1980.524 Additional loans or advances.

See paragraph XIV of Form FmHA 449–35 for Loan Note Guarantee cases and paragraph XIII of Form FmHA 1980–38 for Contract of Guarantee cases.

§ 1980.525 Promissory notes, security instruments, and financing statements.

(a) *Promissory notes, mortgages, and security agreements.* The lender may use its own promissory notes, real estate mortgages (including deeds of trust and similar instruments), and security agreements (including chattel mortgages in Louisiana and Puerto Rico), provided such forms do not contain any provisions that are in conflict or are inconsistent with the provisions of this Subpart or Subpart A of this Part.

(b) *Financing statements.* Commercial financing statement forms that comply with State laws and regulations may be used. They must be adapted to meet FmHA requirements by inserting provisions:

(1) Covering the "proceeds and products" of the collateral described, and

(2) Stating that "disposition of the collateral is not authorized hereby."

§ 1980.526 Guarantee fees.

There are no Guarantee Fees for EE loans.

§ 1980.527 Charges and fees by lender.

See § 1980.22 of Subpart A of this Part for these requirements.

§ 1980.528 Full faith and credit.

The Loan Note Guarantee and Contract of Guarantee constitute an obligation supported by the full faith and credit of the United States and are incontestable except for fraud or misrepresentation of which the lender or holder has actual knowledge at the time it becomes such lender or holder or which lender or holder participates in or condones. The guarantee and right to require purchase in Loan Note Guarantee cases will be directly enforceable by holder notwithstanding any fraud or misrepresentation by the lender or any unenforceability of the Loan Note Guarantee by lender. The Loan Note Guarantee and Contract of Guarantee will be unenforceable by the lender to the extent any loss is occasioned by violations of usury laws, use of the loan funds for unauthorized purposes, negligent servicing, or failure to obtain the required security regardless of the time at which FmHA acquires knowledge of the foregoing. As used in this section and in any Loan Note Guarantee or Contract of Guarantee in which the phrase appears, "use of loan funds for unauthorized purpose" refers to the situation in which the lender in fact agrees with the borrower that loan funds are to be so used and the phrase "unauthorized purposes" means any purpose not listed by the lender in the completed application as approved by FmHA.

§ 1980.529 Guarantee limits.

The maximum loss covered under Form FmHA 449–34 (1980–34) or Form FmHA 1980–27 will not exceed ninety percent of the principal and accrued interest on the indebtedness represented by the borrower's guaranteed loan promissory note(s) or assumed under an assumption agreement. Lenders and applicants will propose the percentage of guarantee. FmHA will determine the percentage of guarantee after considering all credit factors involved, including but not limited to those provisions set forth in paragraphs (a), (b), (c), (d) and (e) of § 1980.20 of Subpart A of this Part. In this regard, loan guarantees will not be rejected solely because the applicant has collateral which has depreciated in value because of temporary economic conditions. Instead, the percentage of the guarantee should be reduced as outlined above to compensate for any additional risk to the Government resulting from these factors. The lender and applicant will be informed in writing on Form FmHA 449–14 or Form FmHA 1980–15 by FmHA of any percentage of guarantee less than that proposed by the lender and the applicant and the reasons for such a reduction.

§§ 1980.530–1980.546 [Reserved]

§ 1980.547 Review of FmHA requirements by lender and applicant.

The lender and applicant, after reviewing approval conditions and security requirements as set forth in Form FmHA 449–14 or Form FmHA 1980–15 should complete and execute the "Acceptance or Rejection of Conditions" part and return a copy to the County Supervisor. If the conditions cannot be met, the lender and applicant may propose alternate conditions to the County Supervisor. These alternatives will be considered by the County Supervisor and the lender will be advised of the County Supervisor's decision. If these alternatives are acceptable, Form FmHA 449–14 or Form FmHA 1980–15 will be revised accordingly.

§ 1980.548 Conditions precedent to issuance of the guarantee.

See § 1980.60 of Subpart A for conditions precedent to the issuance of either a Loan Note Guarantee or a Contract of Guarantee except:

(a) The provisions of § 1980.60(a)(2) are not applicable to Loan Note Guarantee cases;

(b) The provisions of §§ 1980.60(a)(2) and (d) are not applicable to Contract of Guarantee cases, and

(c) To meet the requirements of § 1980.60(c) in Contract of Guarantee cases, the lender will execute and deliver Form FmHA 449–38 to FmHA.

Administrative

The County Supervisor will:

1. Negotiate with the lender and applicant any changes made to the initially issued or proposed Form FmHA 449–14 or Form FmHA 1980–15. A copy of the completed form and any amendments thereto will be included in the loan file.

2. Review the loan agreement or the line of credit agreement between the borrower and lender. It should provide for the frequency of submission of financial statements to the County Supervisor. Annual financial statements are required for *all* EE loans.

3. Review plans for inspections to be made of construction projects.

4. Review cost overruns and, if any are found, determine with the lender how cost overruns will be met.

5. Review basic credit requirements of all loans.

§ 1980.549 Issuance of guarantee instruments.

Events from issuance of a conditional commitment through issuance of the guarantee instruments may all occur at loan closing in the sequence indicated in § 1980.61 of Subpart A of this Part.

(a) *Loan Note Guarantee cases.* See § 1980.61 of Subpart A, except that paragraphs § 1980.61(b)(2) and § 1980.61(f) as well as the "guarantee fee" in paragraph § 1980.61(a) shall not apply. Paragraph X C 10 of Form FmHA 449–35 will be changed by, striking the word "semiannually", inserting "annually" in its place, and eliminating the words "June 30 and". FmHA and the lender should initial the change.

(b) *Contract of Guarantee cases.* (1) If FmHA finds that all requirements have been met, FmHA will execute Form FmHA 1980–38. The original will be retained by FmHA and a signed duplicate original will be retained by the lender. Paragraph IX C 10 of Form FmHA 1980–38 will be changed by striking the word "semiannually" inserting "annually" in its place, and eliminating the words "June 30 and." FmHA and the lender should initial the change.

Form FmHA 1980–38 will be executed for all lines of credit guaranteed by FmHA. The Lender's Agreement will be executed not later than the time the Contract of Guarantee is signed.

(2) Upon receipt of the Form FmHA 1980–38 and after all requirements have been met, FmHA will execute Form FmHA 1980–27. An original will be provided to the lender. A conformed copy will be retained by FmHA.

(3) If FmHA determines that it cannot execute the Contract of Guarantee because all requirements have not been met, it will promptly inform the lender on Form FmHA 449–13 of the reasons, and give the lender a reasonable period within which to satisfy FmHA objections. If the lender writes FmHA within the period allowed requesting additional time to satisfy the objections, FmHA may, in writing, grant such additional time as it considers necessary and reasonable under the circumstances. If the lender satisfies the objections within the time allowed, the guarantee will be issued.

(4) If the conditions for the loan are rejected or cannot be met after completion of any appeal, FmHA will prepare and submit Form FmHA 440–10, "Cancellation of Loan or Grant Check and/or Obligation," to the Finance Office.

(c) *Authorized FmHA representatives to execute forms.* State Directors and County Supervisors are authorized to execute the Lender's Agreement, Loan Note Guarantee, Contract of Guarantee, and Assignment Guarantee Agreement.

Administrative

A. The original Form FmHA 449–35 or Form FmHA 1980–38 will be kept in the County Office. A copy may be retained in the State Office.

B. Copies of Form FmHA 449–34 (1980–34) and Form FmHA 1980–27 will be kept in the County Office. Additional copies may be retained by the State Office. Copies of issued guarantees will be kept in each borrower's loan file.

C. For reporting purposes when multi-notes are issued, the loan to the borrower will be counted as one loan regardless of the number of notes issued.

D. The County Supervisor and lender will complete Form FmHA 1980–19, "Guaranteed Loan Closing Report," execute the original and conform the copies. This will be done on the same date the guarantee instrument is executed. The original will be sent to the Finance Office and a copy transmitted to the State Office.

E. The guarantee processing actions required for an EE loan will be completed as soon as possible, but in no case more than thirty days after FmHA receives a lender's formal written request for an EE guarantee, unless unusual circumstances are involved.

F. Upon receipt of Form FmHA 440–1, the Finance Office will charge the loan amount or line of credit ceiling (as appropriate for the type of guarantee) against any EE allocation for the particular State. The Finance Office will submit a State summary report on loan obligations to the State and National Office weekly.

§§ 1980.550–1980.558 [Reserved]

§ 1980.559 Substitution of lenders.

With prior FmHA written approval from the State Director, a new eligible lender may be substituted for the original lender provided the new lender agrees to assume all servicing responsibilities and liabilities and acquires the unguaranteed portion of the loan. In Loan Note Guarantee cases, such substitution may be made without the holder's consent but not without notice to the holders by the substituted lender. The new lender will execute Form FmHA 449–35 or Form FmHA 1980–38 at the same time as the substitution. After FmHA approval of the new lender, Form FmHA 1980–42, "Notice of Substitution of Lenders," will be completed by the FmHA servicing representative and mailed to the FmHA Finance Office.

§§ 1980.560–1980.576 [Reserved]

§ 1980.577 Transfer and assumption of EE loans.

(a) All transfers and assumptions must be approved in writing by FmHA. Such transfers and assumptions must be to an *eligible* applicant as set forth in § 1980.512 of this Subpart. No applicant will be considered "eligible" after the termination date of the EE loan authority.

(b) The transferee will submit Form FmHA 449–6 and other needed information to the lender for evaluation.

(c) Available transfer and assumption options to eligible applicants include transferring the *total* indebtedness to another borrower either on the same terms or on different terms not to exceed those terms for which an initial loan can be made.

(d) In any transfer and assumption case, the transferor and any guarantor(s) may be released from liability by the lender with FmHA written concurrence only when the value of the collateral being transferred is at least equal to the amount of the loan.

(e) Any proceeds received from the sale of security before a transfer and assumption will be credited to the transferor's guaranteed loan debt in inverse order of maturity before the transfer and assumption transaction is closed.

(f) The lender is responsible for getting an appraisal of the fair market value of all the collateral securing the loan. Subject to the approval of the transferor and transferee, an appraisal can be made by either independent fee appraisers or qualified appraisers on the lender's staff. The appraisal report fee and other related costs will be paid by the transferor and/or transferee, as they agree.

(g) The market value of the security being acquired by the transferee, plus any additional security the transferee proposes to give, must be adequate to secure the balance of the total guaranteed loan plus any prior liens.

(h) If any cash downpayment is made, it may be paid directly to the transferor as payment for the transferor's equity in the project provided:

(1) The lender recommends and FmHA approves the cash downpayment be released to the transferor.

(2) Any downpayment that is made by the transferee to the transferor does not suspend the transferee's obligation to continue to make the guaranteed loan payments as they come due under the terms of the assumption.

(3) The transferor agrees not to take any actions against the transferee in connection with such transfer in the future without first obtaining the approval of FmHA and the lender.

(4) The lender determines that the transferee has the ability to repay the guaranteed debt assumed and any other indebtedness.

(i) The lender will issue a statement to FmHA that the debt can be properly transferred and the conveyance instruments must be filed, registered, or recorded, as appropriate, and must be legally sufficient.

(j) FmHA will not guarantee any additional loans to provide equity funds for a transfer and assumption.

(k) The assumption will be made on the lender's form of assumption agreement.

(l) The assumption agreement must contain the FmHA case number of the transferor and transferee.

(m) The assumption agreement may change loan terms and/or interest rates only if a new Loan Note Guarantee will be executed.

(n) In the case of a transfer and assumption at the same rates and terms, the lender must give any holder(s) notice of the transfer and notice that future payments will be made under a different name and case number. It is the lender's responsibility to see that the transfer and assumption is noted on all originals of the Loan Note Guarantee. The lender must provide FmHA with a copy of the transfer and assumption agreement.

(o) Before allowing a transfer and assumption at *different* rates and terms the lender must consult with any holder(s). If the holder(s) consents to the transfer, the lender must provide FmHA with a copy of the transfer and assumption agreement and must note the transfer and assumption on all originals of the Loan Note Guarantee.

Administrative

A. Loan approval officials, consistent with their authority to approve guarantees, may consent:

1. To all transfer and assumption cases.

2. To the releases of the transferor and guarantor(s) from liability on the loan. They will notify the lender and the transferor and guarantor(s) of the decision in writing.

3. To any changes in the loan terms provided the holder(s), if any and lender agree.

B. The Loan Note Guarantee or Contract of Guarantee will be endorsed in the space provided on the form.

C. A copy of the Assumption Agreement will be retained in the County Office file. The County Supervisor will notify the Finance Office of all approved transfer and assumption cases so that Finance Office records may be adjusted accordingly. This will be accomplished by sending completed Forms FmHA 1980–7, "Notice of Transfer and Assumption of a Guaranteed Loan", FmHA 1980–51, "Add Change or Delete Guaranteed Loan Record," and, for new borrowers, FmHA 1980–50 to the Finance Office.

§ 1980.578 Loan servicing.

The *lender* is responsible for loan servicing. See paragraph X of Form FmHA 449–35 for Loan Note Guarantee Cases or paragraph IX of Form FmHA 1980–38 for Contract of Guarantee cases.

Administrative

A. The lender has the responsibility for loan servicing and protecting the collateral. The County Supervisor is responsible for monitoring the loan to see that the required servicing is properly accomplished. Prompt follow–up on deliquent payments and early

recognition of problems are keys to resolving many delinquent loan cases.

B. The County Supervisor will:

1. Make timely investigations during acquisition or development and at least annually thereafter to determine whether any security that was to be acquired or constructed after issuance of the guarantee has been acquired or constructed, and whether the guaranteed loan is being properly serviced. If a problem develops, the County Supervisor will promptly contact the lender to resolve it.

2. Review all EE borrowers' financial statements furnished by the lender and take appropriate servicing action reminding the lender of its servicing responsibilities. See paragraph X of Form FmHA 449–35 or paragraph IX of Form FmHA 1980–38.

3. Contact the State Office when information indicates the lender or the borrower has failed to fulfill any of the loan approval conditions and the resulting problem cannot be resolved by the County Supervisor and the lender.

4. Take appropriate action upon receipt of notice from the lender when any guaranteed loan is delinquent more than 30 days or when the loan otherwise appears to be developing into a problem case. See paragraph XI of Form FmHA 449–35 or paragraph X of Form FmHA 1980–38.

5. Establish an office management system for guaranteed loans in accordance with FmHA Instruction 405.1 (a copy of which is available in any FmHA office) to ensure timely followup on all required financial statements and to make sure any special requirements for loan servicing conditions are met.

6. Submit to the Finance Office "the lender's statement" required in paragraph X C 10 of Form FmHA 449–35 or paragraph IX C 10 of Form FmHA 1980–38 reflecting the unpaid principal balances on the loan.

C. The District Director will:

1. Provide guidance and assistance to the County Supervisor in loan making and servicing.

2. Review all field visit reports and make recommendations or comments and transmit them to the State Director, if necessary.

D. The County Supervisors are authorized to approve or concur in:

1. Alterations in the loan approval conditions which will not prejudice the Government's interest.

2. Any replacement of collateral for the loan.

3. All lien coverage and lien priorities on the collateral established by the lender before issuance of the guarantee.

4. Any deferral, rescheduling, consolidation, or reamortization.

5. Use of proceeds from disposition of collateral meeting the provisions of paragraph X of Form FmHA 449–35 or paragraph IX of Form FmHA 1980–38.

E. State Directors may consult with the National Office on any servicing problem, and if it cannot be handled at the State level, the file will be forwarded to the National Office with proposed recommendations.

§ 1980.579 Protective advances.

It is not intended that protective advances be made in lieu of additional loans. See paragraph XIII of Form FmHA 449–35 or paragraph XII of Form FmHA 1980–38, as appropriate.

Administrative

The County Supervisor is required and authorized to approve protective advances in excess of $500 when it is necessary to protect or preserve security.

§ 1980.580 Termination of guarantee.

See paragraph 12 of Form FmHA 449–34 for termination of Loan Note Guarantees and paragraph 5 of Form FmHA 1980–27 for termination of Contracts of Guarantee.

Administrative

The County Supervisor will advise Finance Office by a memorandum when a Loan Note Guarantee or Contract of Guarantee is terminated.

§ 1980.581 Defaults by borrower.

(a) See paragraph XI of Form FmHA 449–35 for Loan Note Guarantee cases or paragraph X of Form FmHA 1980–38 for Contract of Guarantee cases.

(b) The lender will arrange with the County Supervisor to meet with the borrower to resolve the problems.

(c) The lender will summarize the meeting in a memorandum listing the individuals who attended and describing the problems and proposed solutions. The original will be retained in the lender's loan file and a copy will be submitted to the County Supervisor.

Administrative

A. The County Supervisor will review and distribute Form FmHA 1980–44, "Guaranteed Loan Borrower Default Status," in accordance with the preparation instructions in the FMI upon receipt of the lender's default notification in accordance with paragraph XI A of Form FmHA 449–35 or paragraph X A of Form FmHA 1980–38. The County Supervisor will coordinate and process any request for FmHA to purchase (as outlined in paragraph XI D of Form FmHA 449–35) when the holder(s) is located in close proximity to the local lender. If any holder is located outside the area, the State Director will designate an employee to handle the repurchase arrangements. If the employee is not the County Supervisor, the County Supervisor will be notified of the transaction by the State Director.

B. The County Supervisor will verify the amounts due the holder(s), and transmit the holder's demand for payment by memorandum to the State Director, copies of evidence of the holder's ownership will be included. Any original evidence of ownership will be retained in the County Office. A proposed payment date will be established in order to calculate the interest due the holder(s).

C. In the event of default or servicing problems, the County Supervisor will use Form FmHA 1980–37, "FmHA Purchase of Guaranteed Loan Portion," to request a check to pay the guaranteed portion of a loan(s) to the holder(s) when necessary. The Finance Office will forward the check within 10 days after receipt of the request.

D. Any evidence of ownership retained in the County Office will be considered in any future report of loss calculations. A record of any purchase will be maintained in the loan file.

§ 1980.582 Liquidation.

See paragraph XII of Form FmHA 449–35 for Loan Note Guarantee cases or paragraph XI of Form FmHA 1980–38 for Contract of Guarantee cases.

Administrative

A. *Meetings.* The County Supervisor will meet with the lender when the lender or FmHA determines that liquidation is necessary and will inform the District Director and the State Director of the results.

B. *Form FmHA 449–35 or Form FmHA 1980–38, paragraphs XII B or XI B respectively.* FmHA will exercise the option to liquidate only when there is reason to believe the lender's liquidation plan is not likely to provide for a reasonably adequate recovery. The County Supervisor will approve lender liquidation plans or exercise the FmHA option to liquidate. The District Director or State Office may be consulted on complex cases for advice if necessary. When such a decision is made, the County Supervisor will submit Form FmHA 1980–45, "Notice of Liquidation Responsibility, " to the Finance Office.

C. *Form FmHA 449–35, or Form FmHA 1980–38, paragraphs XII D or XI D respectively.* County Supervisors are responsible for seeing that the lender complies with the requirements of paragraph XII D or paragraph XI D, as appropriate. The County Supervisor will accept or reject the accounting reports as submitted by the lender and will obtain the advice of the District Director or State Office when necessary. When FmHA liquidates the security, the County Supervisor will submit these reports to the lender and will send copies to the District Director and the State Office.

D. *Form FmHA 449–35, or Form FmHA 1980–38, paragraphs XII E 2 or XI E 2 respectively.* County Supervisors are authorized to accept Report of Estimated Loss or Final Loss payment determinations on Form FmHA 449–30, "Loan Note Guarantee Report of Loss," in those cases where the loss will not exceed $55,000. The State Director is authorized to accept the determinations in all other cases. A copy of the form will be given to the District Director. The State Director will submit Form FmHA 449–30 to the Finance Office for payment of any losses. The Finance Office will forward loss payment checks within 10 days of receipt of the request to the County Supervisor for delivery to lender.

E. *Form FmHA 449–35, or Form FmHA 1980–38, paragraphs XII E 3 or XI E 3 respectively.* Final loss payments will be made within the 60 days required, but only after a review has been made to accurately determine FmHA liability. There payments will be reduced if necessary after considering the "Conditions of Guarantee" in Form FmHA 449–34 or Form FmHA 1980–27, as appropriate. State Directors are responsible for seeing that such reviews are accomplished in time to be evaluated and accepted or otherwise resolved within the 60-day period. The County Supervisor may conduct such reviews when the loss does not exceed $55,000. The State Director will conduct all other reviews. The State Director may request National Office assistance in conducting any reviews.

§§ 1980.583–1980.588 [Reserved]

§ 1980.589 Graduation.

There is *no* "graduation" requirement for guaranteed FmHA loans.

§ 1980.590 Appeal procedure.

See § 1980.80 of Subpart A of this Part for the method of having adverse decisions of County Supervisors, District Directors and State Directors reviewed. Any adverse decision by a County Committee will, upon request of the aggrieved party, be reviewed by the State Director or Acting State Director. The method of review set forth in § 1980.80 will be followed with the following exceptions:

(a) The aggrieved party will be offered an opportunity to present material before the County Committee for their reconsideration prior to a formal determination by the State Director.

(b) Prior to issuance of any determination on an appeal to the aggrieved party which is overturning or modifying a County Committee decision, the committee will be given an explanation of the determination(s) by a member delegated by the State Director. The County Committee will be given an opportunity to reconsider their initial decision once more prior to issuance of the determination to the aggrieved party.

§ 1980.591 Access to lenders records.

See § 1980.81 of Subpart A of this Part for this requirement.

§ 1980.592 County and State Office files.

(a) *County Office files.* County Offices having charge of loan guarantees are not expected to maintain complete case files. However, the County Office case file for each loan guarantee should contain originals or copies of forms and other material which is needed to monitor the lender's loan servicing actions.

(b) *State Office files.* State Directors may maintain files on cases which require special servicing attention.

§ 1980.593 FmHA forms.

(a) See Appendix A for list of applicable FmHA forms, number to be prepared, signatures required, and manner of distribution.

(b) Forms FmHA 1980–27, "Contract of Guarantee (Emergency Livestock Loan or Economic Emergency Loan)"; FmHA 1980–38, "Lender's Agreement (Emergency Livestock Loan or Economic Emergency Loan Contract of Guarantee)"; FmHA 1980–15, "Conditional Commitment for Emergency Livestock Loan or Economic Emergency Loan Contract of Guarantee"; FmHA 1980–32, "Lender's Certification (Guaranteed Economic Emergency Loan)"; and FmHA 1980–25, "Request for Guarantee (Emergency Livestock Loan or Economic Emergency Loan)," are incorporated in this Subpart F, made a part hereof, and appear as Appendices B, C, D, E, and F in the **Federal Register**. Copies of the forms may be obtained from any FmHA office.

§ 1980.594–1980.600 [Reserved]

Appendix A.—FmHA Forms

(a) The following chart lists applicable FmHA forms, number to be prepared, signatures required, and manner of distribution. Any of these FmHA forms and others needed by lenders or applicants may be obtained from FmHA.

FmHA form No.	Name of form	Total No.	Signed by [1]	Distribution
Forms Needed by a Lender for Use in Preparing the EE Guarantee Request				
400–1	Equal Opportunity Agreement	3	B–O	O–L, C–B, C–FmHA.
400–3	Notice to Contractors and Applicants	4	L–O	O–Con, C–B, C–L, C–FmHA.
400–6	Compliance Statement	4	Con, O–2C	O–L, C–Con, C–B, C–FmHA.
449–6	Application for Guaranteed Loan (Farmer Programs).	2	B–O	O–L, C–FmHA.
1980–25	Request for Guarantee (Emergency Livestock Loan or Economic Emergency Loan).	2	L–O	O–FmHA, C–L.
1980–32	Lender's Certification (Guaranteed Economic Emergency Loan).	3	L&B–O	O–FmHA, C–L, C–B.
449–35	Lender's Agreement	2	L&FmHA (O&C)	O–FmHA, C–L.
449–38	Assignment Guarantee Agreement	3	L,H & FmHA	O–H, C–L, C–FmHA.
1980–38	Lender's Agreement (Emergency Livestock Loan or Economic Emergency Loan Contract of Guarantee).	2	L&FmHA (O&C)	O–FmHA, C–L.
Forms Used by FmHA in Processing and Handling the Guarantee Request				
440–1	Request for Obligation of Funds	4	FmHA–O	O–FC, C–Leader, C–FmHA, C–State Director.
440–2	County Committee Certification or Recommendation.	1	County, Comm	FmHA.
449–13	Denial Letter	2	FmHA–O	O–L, C–FmHA.
449–14	Conditional Commitment for Guarantee	2	FmHA–O	O–L, C–FmHA.
1980–15	Conditional Commitment for Emergency Livestock Loan or Economic Emergency Loan Contract of Guarantee.	2	FmHA–O	O–L, C–FmHA.
449–23	Guaranteed Loan Evaluation Farmer Programs.	1	FmHA–O	O–FmHA.
1980–27	Contract of Guarantee (Emergency Livestock Loan or Economic Emergency Loan).	2	FmHA–O	O–L, C–FmHA.
1940–37	Economic Emergency Loan Analysis	3	FmHA–O	O–FC, C–FmHA, C–State Director.
449–34	Loan Note Guarantee	2	FmHA–O	O–L, C–FmHA, O–FC, C–FmHA.
1980–50	Add, Delete or Change Guaranteed Loan Borrower Information.	3	FmHA–O	County Office, C–Originator.
Forms Used Jointly by Lender and FmHA				
449–30	Loan Note Guarantee Report of Loss	3	L–O	O–FmHA, C–L, C–FmHA.
1980–19	Guaranteed Loan Closing Report	3	L–O, FmHA	O–FC, C–L, C–FmHA, County Office.

[1] Signature and Distribution "L"—Lender; "H"—Holder; "B"—Borrower or assumptor; "FC"—Finance Office; "FmHA"—Authorized FmHA Official; "Con"—Contractor; "O"—original; "C"—copy.

(b) *Other forms and information.* Any needed forms not furnished by FmHA will be provided by the lender. The lender may obtain information from FmHA and copies of other FmHA forms that may be helpful in various aspects of loan making, construction and development, and loan servicing.

(c) *Racial code.* Some FmHA forms contain space for coding the race of the applicant for the loan or assumption. In the code, "W" means "White," "N/B" means "Negro (Black)," "S" means "Spanish-American," "AI" means "American Indian," and "O" means any other race. The lender is responsible for completing this code on all forms on which it appears, in accordance

with its best judgment as to the race involved.

(d) *Revision of existing forms.* Until the present supply is exhausted, the forms described below will be revised on an individual case basis as follows:

(1) *Form FmHA 400–1, "Equal Opportunity Agreement."* In the second paragraph after the word "Recipient," insert "or to Recipient's lender." In subparagraph 1(e), change the word "or" to "issued."

(2) *Form FmHA 400–6, "Compliance Statement."* In the first paragraph between "with" and "assistance," insert "loan guarantee."

(3) *Form FmHA 449–6, "Application for Guaranteed Loan (Farmer Programs)."* The crop and livestock production tables on the face of the form may be omitted.

BILLING CODE 3410-07-M

Position 3

USDA-FmHA
Form FmHA 1980-32
(10-29-79)

APPENDIX E

LENDER'S CERTIFICATION
(Guaranteed Economic Emergency Loan)

Loan Applicant's Name & Address	*Case No.*
	State
	County
	Principal Amount of Loan; or $
	Line of Credit Ceiling $

To induce the United States of America, acting through the Farmers Home Administration of the United States Department of Agriculture (herein called "FmHA"), to execute a Loan Note Guarantee or Contract of Guarantee with respect to Economic Emergency (EE) loan(s) pursuant to the Emergency Agricultural Credit Adjustment Act of 1978, and the regulations in 7 CFR, Part 1980, Subparts A and F, the undersigned lender hereby certifies that:

1. An application has been received from the above-named applicant for an EE loan or line of credit in the amount stated above for the purposes and in the amounts set forth in Form FmHA 1980-25, to which this certification is attached.

2. Lender is unwilling to make such loan or line of credit advances without an FmHA guarantee.

3. Applicant is a bona fide farmer or rancher (owner-operator or tenant) doing business in the United States either as an individual, cooperative, corporation or partnership which is recognized in the community as one which is primarily and directly engaged in agricultural production. In the case of an individual loan applicant, the term "primarily and directly engaged in agricultural production" means that the applicant derives more than fifty percent of the gross income from the applicant's own agricultural production or more than fifty percent of the time required to operate the farm is provided by the applicant or family members of the applicant. In the case of a cooperative, corporation or partnership loan applicant, the term "primarily and directly engaged in agriculutral production means that the cooperative, corporation or partnership derives more than fifty percent of its gross income from agricultural production, and the member(s), shareholder(s) or partner(s) owning or controlling a majority interest in such cooperative, corporation or partnership either derive more than fifty percent of their gross income from their own or the cooperative's, corporation's or partnership's agricultural production, or devote more than fifty percent of their time to such agricultural production.

4. Applicant does not own or control more than fifty percent interest in any entity that is applying for or has received an EE loan, except as set forth here: _____

5. Applicant, if an individual, is a citizen of the United States. If a cooperative, corporation or partnership, those members, stockholders or partners who have a majority interest in the entity applying for the loan are citizens of the United States.

6. The loan or line of credit requested by the loan applicant is to be used for one or more purposes which are essential to carrying on farming or ranching operations as specified in Section 203 of said Act and FmHA regulations cited above.

7. The requested loan or line of credit is necessary for the continuation of a viable farming or ranching operation, does not exceed the amount necessary to permit the loan applicant to continue such an operation, and will not be used to purchase land or to lease additional land which would increase the number of acres of the operation above the highest level being farmed during the year of application or the year preceding application, whichever is greater.

8. The lender agrees that the loan or line of credit may be accelerated if the borrower ceases to be a farmer or rancher during the the term(s) of the loan or line of credit.

_____
(Name of Lender)

_____
(Date)

BY _____
(Authorized Official)

TITLE _____

BILLING CODE 3410-07-C

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(7 U.S.C. 1989; 5 U.S.C. 301; delegation of authority by the Secretary of Agriculture, 7 CFR 2.23; delegation of authority by the Asst. Sec. of Rural Development, 7 CFR 2.70)

This document has been reviewed in accordance with FmHA Instruction 1901–G, "Environmental Impact Statements." It is the determination of FmHA that the proposed action does not constitute a major Federal action significantly affecting the quality of the environment and in accordance with the National environmental Policy Act of 1969, Pub. L. 91–190, an Environmental Impact Statement is not required.

Note.—This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this action should not be classified "significant" under those criteria. A Final Impact Statement has been prepared and is available from the Office of the Chief, Directives Management Branch, Farmers Home Administration, U.S. Department of Agriculture, Room 6346, Washington, D.C. 20250.

Dated: November 20, 1979.

Gordon Cavanaugh,

Administrator, Farmers Home Administration.

[FR Doc. 79-38820 Filed 12-18-79; 8:45 am]

BILLING CODE 3410-07-M

7 CFR Part 1951

[FmHA Instruction 1951-A]

Servicing and Collections; Account Servicing Policies

AGENCY: Farmers Home Administration, USDA.

ACTION: Final rule.

SUMMARY: The Farmers Home Administration (FmHA) amends its regulations pertaining to the consolidation and rescheduling of Economic Emergency (EE) and Emergency (EM) loans. The change clarifies existing policy which is intended to prohibit EM actual loss loans and EM major adjustment loans for real-estate purposes from being consolidated. In addition, the change modifies existing policy pertaining to consolidation of EM loans made for operating purposes to permit consolidation of an annual operating loan only with other annual operating loans and to permit consolidation of a major adjustment loan for Subtitle B (operating) purposes only with other major adjustment loans for Subtitle B (operating) purposes.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: James Vollmer, Farmers Home Administration, USDA, Room 5336 South Agriculture Building, Washington, D.C. 20250 (202) 447–6257.

SUPPLEMENTARY INFORMATION: FmHA is revising § 1951.33(d) and § 1951.40(d)(1) in Subpart A of Part 1951, Subchapter H, Chapter XVIII, Title 7, in the Code of Federal Regulations. The amendments:

(1) Prohibit the consolidation of Emergency actual loss loans and prohibit the consolidation of Emergency major adjustment loans for Subtitle A (real-estate) purposes.

(2) Permit the consolidation of Emergency annual operating loans only with the other annual operating loans and permit the consolidation of Emergency major adjustment loans for Subtitle B (operating) purposes only with other Emergency major adjustment loans for Subtitle B (operating) purposes.

(3) Prohibit repayment terms on consolidated loans from being shorter than the terms established on the existing loans.

It is the policy of the Department that rules relating to public loans, grants, benefits or contracts shall be published for comment notwithstanding the exemption in 5 U.S.C. 533 with respect to such rules. This action, however, is being published as a final rule. The clarification of existing policy is needed to prevent loans from being consolidated and rescheduled over a shorter repayment period than that established for the original loans, particularly when annual operating and major adjustment loans are being consolidated. The agency does not intend to approve consolidation of loans over a repayment period that is shorter than that of the original loan.

The agency has determined that consolidating and rescheduling loans over a shorter repayment period than that established for existing loans is not in the public's best interest. The amendment also clarifies existing agency policy without modifying existing policies. Therefore prior rulemaking publication of these changes is impractical and unnecessary. The official responsible for making this determination is James E. Lee, Assistant Administrator, Farmer Programs.

Accordingly, FmHA amends Title 7, Chapter XVIII, Part 1951 Subpart A as follows:

1. § 1951.33, paragraph (d) is revised to read as follows:

§ 1951.33 Deferral, consolidation and rescheduling of OL, and EM and EE loans made for Subtitle B purposes.

* * * * *

(d) *Consolidation and rescheduling EE and EM loans.* EE and EM loans made for real estate purposes will *not* be consolidated and rescheduled under any circumstances. EE and EM loans made for operating purposes may be consolidated and rescheduled subject to all of the following conditions:

(1) EE and EM loans may be consolidated and rescheduled when it is in the best interests of the borrower and the government.

(2) EM actual loss loans will *not* be consolidated.

(3) EM annual operating loans can be consolidated only with other EM annual operating loans.

(4) EM major adjustment loans for operating purposes can be consolidated only with other EM major adjustment loans for operating purposes.

(5) EE and EM loans which were made without a consolidation and rescheduling action and which have repayment terms greater than seven (7) will *not* be consolidated.

(6) EE loans made for operating purposes can be consolidated only with other EE loans made for operating purposes.

(7) Before a consolidation occurs and a new note is taken, the County Supervisor must review the government's lien priority and see if any new liens have been filed on the security for the loan. If there are any liens which were not in existence at the time the first note was signed, the County Supervisor should ask OGC for an opinion as to what lien position the government will have if the consolidation occurs and a new note is taken. Then the County Supervisor must determine that the government's interests will be protected adequately if the consolidation occurs.

(8) Repayment terms for consolidated and rescheduled EE or EM loans will be:

(i) Seven (7) years or less from the date of the consolidation or rescheduling, but consistent with the borrower's repayment ability.

(ii) Equal to or greater than the longest repayment terms established on the existing EE or EM loans being consolidated. For example, if a borrower's existing loan is due in five (5) years, the consolidated loan must be due in at least (5) years.

(9) Repayment terms for EE and EM loans which are rescheduled without an accompanying consolidation action will not exceed twenty (20) years from the date of the original note.

(10) The interest rate for consolidated or rescheduled loans:

(i) For EE loans, will be the current loan rate in effect as specified in Subpart A of Part 1810 of this Chapter (FmHA Instruction 440.1, Exhibit B available in any FmHA office) at the time of consolidation or rescheduling.

(ii) For EM actual loss loans, will *not* be changed from the rate in the original note.

(iii) For EM annual operating loans or EM major adjustment loans for Subtitle B (operating) purposes, will be the current rate specified in Subpart A of Part 1810 of this Chapter (FmHA Instruction 440.1 Exhibit B available in any FmHA office) at the time of consolidation and rescheduling.

* * * * *

2. § 1951.40, paragraph (d)(1) is revised to read as follows:

§ 1951.40 Deferment and reamortization of FO, SW, RL, EE or EM loans made for real estate purposes.

* * * * *

(d) *Interest.* (1) The interest rate for other than limited resource loans will be the current interest rate in effect at the time the reamortization is granted except for EM actual loss loans in which case the interest rate will not be changed.

* * * * *

This document has been reviewed in accordance with 7 CFR Part 1901, Subpart G, "Environmental Impact Statements." It is the determination of FmHA that the proposed action does not constitute a major federal action significantly affecting the quality of human environment and in accordance with the National Environmental Policy Act of 1969, Pub. L. 91–190, an Environmental Impact Statement is not required.

Note.—This final rule has been reviewed under the USDA criteria established to implement Executive Order 12044, "Improving Government Regulations." A determination has been made that this section should not be classified "significant" under those criteria.

A copy of the final Impact Statement has been prepared and is available from the office of the Chief, Directives Management Branch, Farmers Home Administration, Room 6346, South Agriculture Building, Washington, D.C. 20250.

(7 U.S.C. 1989; 5 U.S.C. 301; delegation of authority by the Secretary of Agriculture, 7 CFR 2.23; delegation of authority by the Asst. Sec. for Rural Development, 7 CFR 2.70)

Dated: November 30, 1979.

Gordon Cavanaugh,

Administrator, Farmers Home Administration.

[FR Doc. 79-38821 Filed 12-18-79; 8:45 am]

BILLING CODE 3410-07-M

FEDERAL TRADE COMMISSION

16 CFR Part 305

Rule for Using Energy Costs and Consumption Information Used in Labeling and Advertising for Consumer Appliances Under the Energy Policy and Conservation Act

AGENCY: Federal Trade Commission.

ACTION: Technical corrections to final rule.

SUMMARY: On November 19, 1979, the Federal Trade Commission issued a final rule which requires the disclosure, for seven categories of appliances, of energy efficiency ratings or energy costs, and related information, in labeling and in retail sales catalogs; mandates that the energy costs or energy efficiency ratings be based on standardized test procedures; requires a general disclosure on certain point-of-sale promotional materials of the availability of energy cost or energy efficiency rating information; and requires that any claims concerning energy consumption made in writing or in broadcast advertisements be based on the results of standardized test procedures. This notice corrects §§ 305.11(a)(3) and 305.11(a)(5)(i)(H) of the final rule.

EFFECTIVE DATE: These corrections are effective on December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Andrew I. Wolf, 202–724–1453, Lucerne D. Winfrey, 202–724–1560, or Kent C. Howerton, 202–724–1514, Attorneys, Federal Trade Commission, 414 11th Street, NW., Washington, D.C. 20580.

SUPPLEMENTARY INFORMATION: The Commission published the final rule on November 19, 1979 [44 FR 66466]. The rule contained two technical errors. Section 305.11(a)(3) of the rule failed to specify the white background color of the table(s) displaying yearly cost. Section 305.11(a)(5)(i)(H) of the rule did not clearly refer to the yearly cost table(s).

Section 305.11(a)(3) of the rule is corrected to read as follows:

§ 305.11 Labeling for covered products.

(a) * * *

(3) *Colors.* The basic colors of all labels shall be process yellow or equivalent and process black. The label shall be printed full bleed process yellow with a window dropped out (showing as white) over the table(s) displaying yearly cost. The window shall flush left and right, top and bottom with the table rules. All type including chart or table rules shall be print process black.

* * * * *

The first sentence of § 305.11(a)(5)(i)(H) of the rule is corrected to read as follows: "Yearly cost text and tables are found in section 2 of the appropriate appendices accompanying this part." The remainder of § 305.11(a)(5)(i)(H) remains unchanged.

Carol M. Thomas,

Secretary.

[FR Doc. 79-38805 Filed 12-18-79; 8:45 am]

BILLING CODE 6750-01-M

SECURITIES AND EXCHANGE COMMISSION

17 CFR Part 240

[Release No. 34-16421]

Applications for Extension of Unlisted Trading Privileges

AGENCY: Securities and Exchange Commission.

ACTION: Final rule.

SUMMARY: The Commission is amending Rules 12f–1 and 12f–3 [17.CFR 240.12f–1, f–3] under the Securities Exchange Act of 1934 (the "Act") to conform the text of those rules to Section 12(f) of the Act, as amended by the Securities Acts Amendments of 1975. Rule 12f–1 sets forth the items of information required to be filed by a national securities exchange in applying for unlisted trading privileges in a security pursuant to Section 12(f) of the Act. Rule 12f–3 sets forth items of information required to be filed by an interested person in applying for the termination or suspension of unlisted trading privileges in a particular security.

EFFECTIVE DATE: January 18, 1980.

FOR FURTHER INFORMATION CONTACT: Curt H. Mueller, Office of the General Counsel, Securities and Exchange Commission, Washington, D.C. 20549, (202) 272–2448.

SUPPLEMENTARY INFORMATION: Rule 12f–1 requires a national securities exchange, in applying to the Commission for unlisted trading privileges in a security pursuant to Section 12(f) of the Act,[1] to include in its

[1] Sections 12(f) (1), (2) of the Act, 15 U.S.C. 78*l*(f) (1), (2), provide that:

(f)(1) Notwithstanding the foregoing provisions of this section, any national securities exchange, subject to the terms and conditions hereinafter set forth—

(A) may continue unlisted trading privileges to which a security had been admitted on such exchange prior to July 1, 1964;

(B) upon application to and approval of such application by the Commission, may extend unlisted trading privileges to any security listed

Footnotes continued on next page

application information concerning, among other things, the public distribution and volume of public trading of such security in the geographical vicinity of the applicant exchange.[2] The rule also requires an exchange to furnish in its application "[a]ny other information which is deemed pertinent to the question of whether the * * * extension of unlisted trading privileges in [a] security is necessary or appropriate in the public interest or for the protection of investors."[3]

Rule 12f–3(a) requires an interested person, in applying for the termination or suspension of unlisted trading privileges in a security pursuant to Section 12(f)(4) of the Act,[4] to set forth, among other things, in its application "information in the applicant's possession, and the sources thereof, with respect to * * * the extent of public distribution of such security in the vicinity of such exchange and the geographical area which is deemed to constitute such vicinity."[5]

Since the Commission's last amendments to Rules 12f–1 and 12f–3 in 1955,[6] Congress has twice amended Section 12(f) of the Act. First, in 1964, Congress deleted the "geographical vicinity" standard which had, in part, governed the grant of unlisted trading privileges, and required instead that the Commission simply find the grant of unlisted trading privileges to be "necessary or appropriate in the public interest or for the protection of investors."[7] Second, in the Securities Acts Amendments of 1975,[8] Congress replaced the "necessary or appropriate" standard with the requirement that the Commission find the extension of unlisted trading privileges to be "consistent with the maintenance of fair and orderly markets and the protection of investors."[9]

In view of these statutory changes, the Commission is amending Rules 12f–1 and 12f–3 so that the procedural filing requirements of those rules reflect the current standards set forth in Section 12(f) of the Act. Accordingly, the Commission is amending Rules 12f–1 and 12f–3 to delete the requirement that information concerning the distribution or trading volume of a security in the "geographical vicinity" of an exchange be furnished in applications for the extension, termination or suspension of unlisted trading privileges. In addition, the Commission is amending Rule 12f–1 by deleting the requirement that an applicant exchange set forth information bearing on whether the grant of unlisted trading privileges is "necessary or appropriate in the public interest or for the protection of investors." Instead, Rule 12f–1 is amended to require an applicant exchange to furnish any other information addressing whether the grant of unlisted trading privileges would be "consistent with the maintenance of fair and orderly markets and the protection of investors." Finally, the Commission is amending Rule 12f–1 to require that an exchange set forth in its application for unlisted trading privileges in a particular security (1) the name of each exchange on which such security is listed or admitted to unlisted trading privileges, and (2) whether transactions in such security are reported in the consolidated transaction reporting system established pursuant to Rule 17a–15 under the Act.

The Commission finds, in accordance with 5 U.S.C. 553(b)(A) of the Administrative Procedure Act, that the foregoing action relates solely to agency organization, procedure, or practice and that notice and public procedures in accordance with 5 U.S.C. 553(b) are not necessary. Further, in accordance with Section 23(a)(2) of the Securities Exchange Act, 15 U.S.C. 78w(a)(2), the Commission perceives no impediment to competition arising from adoption of these procedural rule amendments.

Amendments

Accordingly, the Commission, acting pursuant to the Securities Exchange Act, and particularly Sections 12(f) and 23 thereof, 15 U.S.C. 78*l*(f) and 78w, adopts these amendments to Rules 12f–1 and 12f–3 [17 CFR 240.12f–1, 12f–3] effective January 18, 1980. Part 240 of Title 17 of the Code of Federal Regulations is amended as follows:

Section 240.12f–1 is revised to read as follows:

§ 240.12f–1 Applications for permission to extend unlisted trading privileges.

(a) An application may be made to the Commission by any national securities exchange for the extension of unlisted trading privileges to any security, pursuant to section 12(f). One copy of such application, executed by a duly authorized officer of the exchange, shall be filed and shall set forth:

(1) Name of issuer;

(2) Title of security;

(3) The name of each national securities exchange, if any, on which such security is listed or admitted to unlisted trading privileges; and

(4) Whether last sale information concerning such security is reported in the consolidated transaction reporting system established pursuant to § 240.17a–15 (Rule 17a–15 under the Act); and

(5) Any other information which is deemed pertinent to the question of whether the continuation or extension of unlisted trading privileges in such security is consistent with the maintenance of fair and orderly markets and the protection of investors.

Paragraph (a)(8) of § 240.12f–3 is revised to read as follows:

§ 240.12f–3 Termination or suspension of unlisted trading privileges.

(a) * * *

(8) A brief statement of the information in the applicant's possession, and the sources thereof, with respect to (i) the extent of public trading in such security on such exchange, and (ii) the character of trading in such security on such exchange.

* * * * *

By the Commission.

George A. Fitzsimmons,

Secretary.

December 12, 1979.

[FR Doc. 79-38918 Filed 12-18-79; 8:45 am]

BILLING CODE 8010-01-M

Footnotes continued from last page

and registered on any other national securities exchange; and

(C) upon application to and approval of such application by the Commission, may extend unlisted trading privileges to any security registered pursuant to section 12 of this title or which would be required to be so registered except for the exemption from registration provided in subsection (g)(2)(B) or (g)(2)(G) of that section.

If an extension of unlisted trading privileges to a security is based upon its listing and registration on another national securities exchange, such privileges shall continue in effect only so long as such security remains listed and registered on a national securities exchange.

(2) No application pursuant to this subsection shall be approved unless the Commission finds, after notice and opportunity for hearing, that the extension of unlisted trading privileges pursuant to such application is consistent with the maintenance of fair and orderly markets and the protection of investors. In considering an application for the extension of unlisted trading privileges to a security not listed and registered on a national securities exchange, the Commission shall, among other matters, take account of the public trading activity in such security, the character of such trading, the impact of such extension on the existing markets for such securities, and the desirability of removing impediments to and the progress that has been made toward the development of a national market system and shall not grant any such application if any rule of the national securities exchange making application under this subsection would unreasonably impair the ability of any dealer to solicit or effect transactions in such security for his own account, or would unreasonably restrict competition among dealers in such security or between such dealers acting in the capacity of market makers who are specialists and such dealers who are not specialists.

[2] Rules 12f–1(a) (3), (4).

[3] Rule 12f–1(a)(5).

[4] Section 12(f)(4) of the Act, 15 U.S.C. 78*l*(f)(4), provides that: "(4) On the application of the issuer of any security for which unlisted trading privileges on any exchange have been continued or extended pursuant to this subsection, or of any broker or dealer who makes or creates a market for such security, or of any other person having a bona fide interest in the question of termination or suspension of such unlisted trading privileges, or on its own motion, the Commission shall by order terminate, or suspend for a period not exceeding twelve months, such unlisted trading privileges for such security if the Commission finds, after appropriate notice and opportunity for hearing, that such termination or suspension is necessary or appropriate in the public interest or for the protection of investors."

[5] Rule 12f–3(a)(8)(i).

[6] Securities Exchange Act Release No. 5221 (August 31, 1955), 20 FR 6701 (September 13, 1955).

[7] Securities Acts Amendments of 1964, Pub. L. No. 88–467, section 3(b), 78 Stat. 565–566. Prior to 1964, Section 12(f), required applicants for unlisted trading privileges to: "Establish to the satisfaction of the Commission that there exists in the vicinity of such exchange sufficiently widespread public distribution of such security and sufficient public trading activity therein to render the extension of unlisted trading privileges * * * necessary or appropriate in the public interest or for the protection of investors."

Pub. L. No. 621, section 1, 49 Stat. 1375.

[8] Pub. L. No. 94–29 (June 4, 1975).

[9] Section 12(f)(2), 15 U.S.C. 78*l*(f)(2).

DEPARTMENT OF THE TREASURY

19 CFR Part 159

[T.D. 80–2]

Dextrines and Soluble or Chemically Treated Starches Derived From Potato Starch From the European Community; Final Countervailing Duty Determination

AGENCY: U.S. Customs Service, Treasury Department.

ACTION: Final Countervailing Duty Determination.

SUMMARY: This notice is to inform the public that a countervailing duty investigation has resulted in a final determination that the European Community and the Government of the Netherlands have given benefits which constitute bounties or grants within the meaning of the countervailing duty law on the manufacture, production, or exportation of dextrines and soluble or chemcially treated starches derived from potato starch. The deposit of countervailing duties in the amount of these benefits will be required at the time of entry in addition to duties normally collected on dutiable shipments of this merchandise.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Stephen Nyschot, Trade Analysis Division, U.S. Customs Service, 1301 Constitution Avenue, N.W., Washington, D.C. 20229; telephone (202) 566–5492.

SUPPLEMENTARY INFORMATION: On June 26, 1979, a notice of "Preliminary Countervailing Duty Determination" was published in the **Federal Register** (44 FR 37363). The notice stated that it had been preliminarily determined that benefits bestowed by the European Community (EC) and the Government of the Netherlands upon the manufacture, production, or exportation of dextrines and soluble or chemically treated starches derived from potato starch constitute the payment of bounties or grants within the meaning of section 303, Tariff Act of 1930, as amended (19 U.S.C. 1303) (referred to as "the Act").

The EC comprises Belgium, Denmark, the Federal Republic of Germany, France, Ireland, Italy, Luxembourg, the Netherlands, and the United Kingdom. Imports covered by this investigation are classified under item 493.30, Tariff Schedules of the United States Annotated (TSUSA), and include only those dextrines and soluble or chemically treated starches derived from potato starch.

The preliminary determination stated that bounties or grants are paid by the EC in the form of "production refund payments", which are made to processors who establish contracts in accordance with the minimum price set for potatoes, and "premium payments", a further unconditional payment made to processors.

On the basis of additional information, it has been determined that, in addition to the payments mentioned above, the EC gives "export restitution payments" to exporters of the subject merchandise. These payments, made based on an established formula for each unit of eligible merchandise exported from the EC, also constitute a bounty or grant because they simply confer a direct benefit on the exported merchandise.

The total bounty or grant associated with the subject merchandise is equal to the sum of the various payments made through all stages of the production process from potato, to potato starch, to dextrine and soluble or chemically treated starches derived from potato starch. The net value of these payments, in terms of the U.S. import value on a Customs valuation basis, is equal to 34.4% *ad valorem*.

The preliminary determination also stated that the Government of the Netherlands provides financial assistance to the sole potato starch producer in that country. The assistance is given under a general government program for regional economic development and not for the purposes alleged by the petitioner. However, these payments are in the form of a grant which confers a direct benefit on the production of potato starch and, therefore, constitute a bounty or grant to the Dutch manufacturer. The average value of this bounty or grant has been calculated to be 1.6% *ad valorem*. This figure represents the average annual benefit bestowed on the Dutch manufacturer in the last three years divided by the value of firm's production in the most recent year for which data is available.

Under traditional Treasury practice, whether a domestic program providing a benefit had a trade distorting effect would be examined in determining whether a bounty or grant had been paid or bestowed. This would be determined by the size of the *ad valorem* benefit found and, except where that benefit was of significant size, the proportion of production of the subject merchandise that was exported. In the instant case, analysis of proportion exported is unnecessary in view of the magnitude of the benefits. On November 29, 1979, the Court of Customs and Patent Appeals overturned Treasury's administrative practice. *ASG Industries* v. *United States*, C.A.D. 1237. If this holding remains in effect, Treasury could not, in any circumstance, consider the level of exportation in determining whether a bounty or grant was paid or bestowed under the programs investigated. Thus, whatever standard is used, it is determined that a bounty or grant is provided in the instant case.

Accordingly, notice is hereby given that dextrines and soluble or chemically treated starches derived from potato starch which are imported directly or indirectly from the EC, if entered, or withdrawn from warehouse, for consumption on or after the date of publication of this notice in the **Federal Register** will be subject to the payment of countervailing duties equal to the net amount of any bounty or grant determined or estimated to have been paid or bestowed.

In accordance with section 303 of the Act and until further notice, the net amount of the bounties or grants bestowed on the merchandise subject to this investigation has been ascertained and determined to be 34.4% *ad valorem* for imports of the subject merchandise from all countries of the EC other than the Netherlands (i.e., Belgium, Denmark, the Federal Republic of Germany, France, Ireland, Italy, Luxembourg and the United Kingdom), and 36.0% *ad valorem* for imports of the subject merchandise from the Netherlands.

In order to allow Customs officials to distinguish the merchandise subject to it, those officials may take whatever administrative actions are necessary, such as, but not limited to, requiring

manufacturer's certification of the material origin of shipments and/or a detailed invoice description of the merchandise.

Effective on or after the publication date of this notice, and until further notice, upon the entry, or withdrawal from warehouse, for consumption of such dextrines and soluble or chemically treated starches derived from potato starch, imported directly or indirectly from the EC, which benefit from these bounties or grants, there shall be collected, in addition to any other duties estimated or determined to be due, countervailing duties in the amount ascertained in accordance with the above declaration. To the extent that it can be established to the satisfaction of the Commissioner of Customs that imports of the subject merchandise from the EC are benefiting from a bounty or grant smaller than the amount which otherwise would be applicable under the above declaration, the smaller amount so established shall be assessed and collected.

Any merchandise subject to the terms of this order shall be deemed to have benefited from a bounty or grant if such bounty or grant has been or will be credited or bestowed, directly or indirectly, upon the manufacture, production or exportation of dextrines and soluble or chemically treated starches derived from potato starch from the EC.

PART 159—LIQUIDATION OF DUTIES

§ 159.47 [Amended]

The table in § 159.47(f), Customs Regulations (19 CFR 159.47(f)), is amended by inserting after the last entry for "European Community", the words "dextrines and soluble or chemically treated starches derived from potato starch" in the column headed "Commodity"; the number of this Treasury Decision in the column headed "Treasury Decision"; and the words "Bounty declared-rate", in the column headed "Action".

(R.S. 251, as amended, secs. 303, as amended, 624, 46 Stat. 687, as amended, 759 (19 U.S.C. 66, 1303, 1624))

This final determination is published pursuant to section 303(a), Tariff Act of 1930, as amended (19 USC 1303(a)).

Pursuant to Reorganization Plan No. 26 of 1950 and Treasury Department Order No. 101–5, May 16, 1979, the provisions of Treasury Order No. 165, Revised, November 2, 1954, and § 159.47 of the Customs Regulations (19 CFR 159.47), insofar as they pertain to the issuance of a final countervailing duty determination by the Commissioner of Customs, are hereby waived.

Robert H. Mundheim,
General Counsel of the Treasury.
December 13, 1979.
[FR Doc. 79-38873 Filed 12-18-79; 8:45 am]
BILLING CODE 4810-22-M

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Assistant Secretary for Community Planning and Development

24 CFR Part 571

[Docket No. R-79-741]

Community Development Block Grants for Indian Tribes and Alaska Natives; Allocation of Funds

AGENCY: Community Planning and Development, HUD.

ACTION: Interim Rule and Request for Comments.

SUMMARY: This Interim Rule will revise the allocation of funds to Regional Offices for the Community Development Block Grant Program for Indian Tribes and Alaska Natives. The new funding formula will phase out the weight given to past funding while increasing the weight given to population.

EFFECTIVE DATE: February 11, 1980.

COMMENT DUE DATE: January 8, 1980.

ADDRESS: Send comments to: Rules Docket Clerk, Office of General Counsel, Room 5218, Department of Housing and Urban Development, 451 7th Street, SW., Washington, D.C. 20410. Each person submitting a comment should include his/her name and address, refer to the document by the docket number indicated by the headings, and give reasons for any recommendation. Copies of all written comments received will be available for examination by interested persons in the Office of the Rules Docket Clerk, at the address listed above. The Rule may be changed in light of comments received.

FOR FURTHER INFORMATION CONTACT: William Jacobson, Office of Policy Planning, Department of Housing and Urban Development, 451 7th Street, SW., Washington, D.C. 20410, phone No. (202) 755–6092.

SUPPLEMENTARY INFORMATION: The new allocation formula is being published as an Interim Rule rather than a Proposed Rule in order to resolve some inequities in the current allocation formula prior to the Fiscal Year 1980 allocations to the Regions. It is therefore impracticable to afford an opportunity for public comment prior to publication of the rule. However, as indicated above, there will be a period of 20 days after publication of the Rule during which interested persons may submit comments on the Rule. Special efforts will be made to solicit comments from potential applicants. All comments received by the comment due date will be considered by HUD before the Interim Rule becomes effective.

Recent examination of the current formula revealed that funds have not been allocated equitably. Allocations have been biased towards those Regions with Tribes who, at the time the formula was established, had greater success in receiving grants than other Tribes. In trying to determine what Regional allocation formula would insure the most equitable distribution of funds, many variables which measure need were examined. Population, however, proved to be the only one available at the current time which has a clear relationship to need.

Accordingly, 24 CFR 571.101 is amended as follows:

§ 571.101 Allocation of funds to Regional and Field Offices.

The following provisions apply to the allocation of funds to Regional and Field Offices:

(a) For Fiscal Year 1980, sixty-six and two-thirds percent (66⅔%) of funds available under this part shall be allocated among all Regions according to the percentage of the total eligible Indian population that resides in each Region. In Fiscal Year 1981, this percentage shall be seventy-five percent (75%).

(b) For Fiscal Year 1980, thirty-three and one-third percent (33⅓%) of funds available under this part shall be allocated to each Region according to the ratio of: previous Community Development Block Grant funding to and for Indian Tribes in that Region, to the total of all previous Community Block Grant funding to and for all Indian Tribes which were eligible recipients. In Fiscal Year 1981, this percentage shall be twenty-five percent (25%).

(Title I, Housing and Community Development Act of 1974 (42 U.S.C. 5301 et seq.); Title I, Housing and Community Development Act of 1977 (42 U.S.C. 5301 et seq.); and sec. 7(d), Department of Housing and Urban Development Act (42 U.S.C. 3535(d)))

Issued at Washington, D.C., November 8, 1979.

Walter G. Farr, Jr.,
Deputy Assistant Secretary for Community Planning and Development.
[FR Doc. 79-38812 Filed 12-18-79; 8:45 am]
BILLING CODE 4210-01-M

DEPARTMENT OF THE TREASURY

Internal Revenue Service

26 CFR Part 31

[T.D. 7660]

Employment Taxes With Respect to Employees of Related Corporations

AGENCY: Internal Revenue Service, Treasury.

ACTION: Final regulations.

SUMMARY: This document contains final regulations relating to employment taxes with respect to employees of related corporations. Provisions for treating certain related corporations as one employer for purposes of the social security and Federal unemployment taxes were added by the Social Security Amendments of 1977. The final regulations provide related corporations and their employees with the guidance needed to comply with the new law. The regulations affect related corporations and individuals who are employed by two or more related corporations one of which is the common paymaster of the corporations.

DATE: The amendments apply to wages paid after December 31, 1978.

FOR FURTHER INFORMATION CONTACT: Eileen Murphy of the Legislation and Regulations Division, Office of Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224 (Attention: CC:LR:T, 202–566–3297).

SUPPLEMENTARY INFORMATION:

Background

On December 13, 1978, the Federal Register published proposed amendments to the Employment Tax Regulations (26 CFR Part 31) under sections 3121(s) and 3306(p) of the Internal Revenue Code of 1954. The amendments were proposed to conform the regulations to section 314 of the Social Security Amendments of 1977 (91 Stat. 1536). A public hearing was held on April 5, 1979. After consideration of all comments regarding the proposed amendments, those amendments are adopted as revised by this Treasury decision.

The effectiveness of these regulations will be evaluated on the basis of comments and information received from the public, other Government agencies, and offices within the Treasury Department and Internal Revenue Service.

Explanation of Provisions

Section 314 of the Social Security Amendments of 1977 added sections 3121(s) and 3306(p) to the Internal Revenue Code of 1954 to provide, in effect, for the treatment of certain related corporations as one employer for the purposes of the social security tax and the Federal unemployment tax. These new provisions state that when two or more related corporations concurrently employ the same individual, and compensate that individual through a common paymaster which is one of the related corporations for which the individual performs services, each of the corporations is considered to have paid only the remuneration it actually disburses to that individual. The regulations define the terms related corporations, common paymaster, and concurrent employment. The regulations also provide rules for the allocation of employment taxes, and for liability for those taxes.

Comments

The proposed regulations were revised in several ways to reflect comments received from the public. Several comments requested that guidance be provided regarding treatment of reporting and filing requirements under the new sections. Accordingly, the regulations were expanded to include such guidance.

Under the regulations, no additional reporting or filing requirements have been imposed. One comment stated that the regulations are unclear as to the intended consequences when two corporations are related (under the tests provided in the regulations) to the common paymaster but not related to each other. An example has been added to clarify this situation. Several comments stated that one of the proposed tests for the definition of related corporations, dealing with nonstock corporations, should be revised to encompass some mutual insurance companies which, due to the way they were organized, could not meet the test. Since the test was designed to include mutual insurance companies (among other nonstock corporations), the test was accordingly revised. Several comments asked for clarification whether the tests for the definition of related corporations, requiring a certain percentage of common officers or employees, required the applicable percentage of officers or employees to exist in one corporation or in both corporations. An example has been revised to clarify this point. One comment suggested that a common paymaster should include a corporation which pays common employees with checks drawn on separate bank accounts of each employing corporation. The final regulations include this suggestion, with the limitation that the common paymaster must be the drawer of the checks.

Section 3121(s) applies only to concurrently employed individuals who are remunerated by a common paymaster that is one of the employing corporations. Several comments were received regarding the definition of concurrent employment. The comments requested that this definition be changed so that the performance of services for the employing corporation, and, in particular, the common paymaster corporation, was not a requirement. The definition of concurrent employment has not been changed in the final regulations, however, because the statute clearly indicates the individual must be employed by the common paymaster, and there is no indication that Congress intended the word "employment" to mean other than the normal definition of the term, which includes the concept of performance of services in exchange for wages. In addition, the suggested definition could cause administrative difficulties in determining who was concurrently employed. Recognizing that additional guidance was needed in this area, the final regulations have been revised and expanded to clarify the definition of concurrent employment, and the examples have been revised to illustrate common fact patterns.

The provisions of the proposed regulations dealing with allocation of employment taxes is unchanged in the Treasury decision. One comment was received suggesting that, in the case of insurance companies, an allocation method based on intercompany reinsurance agreements would be desirable. One method of allocation included in the proposed regulations for allocation in an appropriate manner varying according to the circumstances encompasses this suggestion.

Drafting Information

The principal author of this regulation in Eileen Murphy of the Legislation and Regulations Division of the Office of Chief Counsel, Internal Revenue Service. However, personnel from other offices of the Internal Revenue Service and Treasury Department participated in developing the regulation, both on matters of substance and style.

Adoption of Amendments to the Regulations

Accordingly, the amendments to 26 CFR Part 31 published as a notice of proposed rulemaking in the **Federal Register** for December 13, 1978 (43 FR 58199), are hereby adopted as proposed, except that paragraphs (a) and (b) of § 31.3121(s)–1 are revised to read as follows:

§ 31.3121(s)–1 Concurrent employment by related corporations with common paymaster.

(a) *In general.* For purposes of section 3102, 3111, and 3121(a)(1), except as otherwise provided in paragraph (c) of this section, when two or more related corporations concurrently employ the same individual and compensate that individual through a common paymaster which is one of the related corporations that employs the individual, each of the corporations is considered to have paid only the remuneration it acutally disburses to that individual. This rule applies whether the remuneration was paid with respect to the employment relationship of the individual with the disbursing corporation or was paid on behalf of another related corporation. Accordingly, if all of the remuneration to the individual from the related corporations is disbursed through the common paymaster, the total amount of taxes imposed with respect to the remuneration under sections 3102 and 3111 is determined as though the individual has only one employer (the common paymaster). The common paymaster is responsible for filing information and tax returns and issuing Forms W–2 with respect to wages it is considered to have paid under this section. Section 3121(s) and this section apply only to remuneration disbursed in the form of money, check, or similar instrument by one of the related corporations or its agent.

(b) *Definitions.* The definitions contained in this paragraph are applicable only for purposes of this section and § 31.3306 (p)–1.

(1) *Related corporations.* Corporations shall be considered related corporations for an entire calendar quarter (as defined in § 31.0–2(a)(9)) if they satisfy any one of the following four tests at any time during that calendar quarter:

(i) The corporations are members of a "controlled group of corporations", as defined in section 1563 of the Code, or would be members if section 1563 (a)(4) and (b) did not apply and if the phrase "more than 50 percent" were substituted for the phrase "at least 80 percent" wherever it appears in section 1563(a).

(ii) In the case of a corporation that does not issue stock, either fifty percent or more of the members of one corporation's board of directors (or other governing body) are members of the other corporation's board of directors (or other governing body), or the holders of fifty percent or more of the voting power to select such members are concurrently the holders of fifty percent or more of that power with respect to the other corporation.

(iii) Fifty percent or more of one corporation's officers are concurrently officers of the other corporation.

(iv) Thirty percent or more of one corporation's employees are concurrently employees of the other corporation.

The following examples illustrate the application of this paragraph:

Example (1). (a) X Corporation employs individuals A, B, D, E, F, G, and H. Y Corporation employs individuals A, B, and C. Z Corporation employs individuals A, C, I, J, K, L, and M. X Corporation is the paymaster for all thirteen individuals. The corporations have no officers or stockholders in common.

(b) X and Y are related corporations because at least 30 percent of Y's employees are also employees of X. Y and Z are related corporations because at least 30 percent of Y's employees are also employees of Z. X and Z are not related corporations because neither corporation has 30 percent of its employees concurrently employed by the other corporation.

(c) For purposes of determining the amount of the tax liability under sections 3102 and 3111, individual B is treated as having one employer. Individual C has two employers for these purposes, although Y and Z are related corporations, because C is not employed by X Corporation, the common paymaster. Individual A also is treated as having two employers for the purposes of these sections because X and Y Corporations are treated as one employer, and Z Corporation is treated as a second employer (since it is not related to the paymaster, X Corporation). Of course, individuals D, E, F, G, H, I, J, K, L, and M are not concurrently employed by two or more corporations, and, accordingly, section 3121 (s) is inapplicable to them.

Example (2). M and N Corporations are both related to Corporation O but are not related to each other. Individual A is concurrently employed by all three corporations and paid by O, their common paymaster. Although M and N are not related, O is treated as the employer for A's employment with M, N, and O.

Example (3). Corporations X, Y, and Z meet the definition of related corporations for the first time on April 12, 1979, and cease to meet it on July 5, 1979. A is concurrently employed by X, Y, and Z throughout 1979. In each of the four calendar quarters of 1979, A's remuneration from X, Y, and Z is $2,000, $10,000, and $30,000, respectively. All of the remuneration to A from X, Y, and Z for the year is disbursed by X, the common paymaster. Under these circumstances, the amount of wages subject to sections 3102 and 3111 is as follows:

For the first calendar quarter

X	Y	Z
$2,000	$10,000	$22,900

For the second calendar quarter

X	Y	Z
$20,900 ($22,900–$2,000)	0	0

For the third calendar quarter

X	Y	Z
0	0	0

For the fourth calendar quarter

X	Y	Z
0	$10,000	0

Of course, if the corporations had been related throughout all of 1979, only $22,900 of X's first quarter disbursement would have constituted wages subject to sections 3102 and 3111.

(2) *Common Paymaster*—(i) *In general.* A common paymaster of a group of related corporations is any member thereof that disburses remuneration to employees of two or more of those corporations on their behalf and that is responsible for keeping books and records for the payroll with respect to those employees. The common paymaster is not required to disburse remuneration to all the employees of those two or more related corporations, but the provisions of this section do not apply to any remuneration to an employee that is not disbursed through a common paymaster. The common paymaster may pay concurrently employed individuals under this section by one combined paycheck, drawn on a single bank account, or by separate paychecks, drawn by the common paymaster on the accounts of one or more employing corporations.

* * * * *

(3) *Concurrent employment.* For purposes of this section, the term "concurrent employment" means the contemporaneous existence of an employment relationship (within the meaning of section 3121(b)) between an individual and two or more corporations. Such a relationship contemplates the performance of services by the employee for the benefit of the employing corporation (not merely for the benefit of the group of corporations), in exchange for remuneration which, if deductible for the purposes of Federal income tax, would be deductible by the employing corporation. The contemporaneous existence of an employment relationship with each corporation is the decisive factor; if it exists, the fact that a particular employee is on leave or otherwise temporarily inactive is immaterial. However, employment is not concurrent with respect to one of the related corporations if the employee's employment relationship with that corporation is completely nonexistent during periods when the employee is not performing services for that corporation. An employment relationship is completely nonexistent if all rights and obligations of the employer and employee with respect to employment have terminated, other than those that customarily exist after employment relationships terminate. Examples of rights and obligations that customarily exist after employment relationships terminate include those with respect to remuneration not yet paid, employer's property used by the employee not yet returned to the employer, severance pay, and lump-sum termination payments from a deferred compensation plan. Circumstances that suggest that an employment relationship has become completely nonexistent include unconditional termination of participation in deferred compensation plans of the employer, forfeiture of seniority claims, and forfeiture of unused fringe benefits such as vacation or sick pay. Of course, the continued existence of an employment relationship between an individual and a corporation is not necessarily established by the individual's continued participation in a deferred compensation plan, retention of seniority rights, etc., since continuation of those benefits may be attributable to employment with a second corporation related to the first corporation if the corporations have common benefits plans or if the benefits are continued as a matter of corporate reciprocity. An individual who does not perform substantial services in exchange for remuneration from a corporation is presumed not employed by that corporation. Concurrent employment need not exist for any particular length of time to meet the requirements of this section, but this section only applies to remuneration disbursed by a common paymaster to an individual who is concurrently employed by the common paymaster and at least one other related corporation at the time the individual performs the services for which the remuneration is paid. If the employment relationship is nonexistent during a quarter, that employee may not be counted towards the 30-percent test set forth in paragraph (b)(1)(iv) of this section; however, even if the employment relationship is nonexistent, section 3121 (s) of the Code applies to remuneration paid to the former employee for services rendered while the employee was a common employee. The principles of this subparagraph are illustrated by the following examples:

Example (1). M, N, and O are related corporations which use N as a common paymaster with respect to officers. Their respective headquarters are located in three separate cities several hundred miles apart. A is an officer of M, N, and O who performs substantial services for each corporation. A does not work a set length of time at each corporate headquarters, and when A leaves one corporate headquarters, it is not known when A will return, although it is expected that A will return. Under these facts, A is concurrently employed by the three corporations.

Example (2). P, Q, and R are related corporations whose geographical zones of business activity do not overlap. P, Q, and R have a common pension plan and arrange for Q to be a common paymaster for managers and executives. All three corporations maintain caferterias for the use of their employees. B is a cafeteria manager who has worked at P's headquarters for 3 years. On June 1, 1980, B is transferred from P to the position of cafeteria manager of R. There are no plans for B's return to P. B's accrued pension benefits, vacation and sick pay, do not change as a result of the transfer. The decision to transfer B was made by Q, the parent corporation. Under these facts, B is not concurrently employed by P and R, because B's employment relationship with P was completely nonexistent during B's employment with R. Furthermore, section 3121(s) is inapplicable since B also was not employed by Q, the common paymaster, because B never contracted to perform services for remuneration from Q, and Q did not have the right to control the day-to-day duties of B's work.

Example (3). C is employed by two related corporations, S and T. C was concurrently employed by these corporations between April 1, 1979, and June 30, 1979. The corporations used T as the common paymaster with respect to C's wages between May 1, 1979, and September 30, 1979. T pays C on May 15 for services performed between April 1 and April 30, on July 15 for services performed between June 1 and June 30, and on August 15 for services performed between July 1 and July 31. Section 3121(s) applies to the first two payments but does not apply to the third payment (there was no concurrent employment). However, if the third payment was made by T for services performed for T, T counts the amounts previously disbursed to C in 1979 while C was concurrently employed by S and T towards the wage base (see section 3121(a)(1)).

* * * * *

This Treasury decision is issued under the authority contained in section 7805 of the Internal Revenue Code of 1954 (68A Stat. 917; 26 U.S.C. 7805).

Jerome Kurtz,
Commissioner of Internal Revenue.

Approved: December 10, 1979.

Donald C. Lubick,
Assistant Secretary of the Treasury.

§ 31.3121(a)(1) [Deleted]

Paragraph 1. Section 31.3121(a)(1) and the historical note are deleted.

Par. 2. Section 31.3121(a)(1)–1 is amended by adding at the end of the portion of paragraph (a)(3) that precedes example (1) a sentence which reads as follows:

§ 31.3121(a)(1)–1 Annual wage limitation.

(a) *In general.* * * *

(3) * * * In connection with the annual wage limitation in the case of remuneration paid after December 31, 1978, from two or more related corporations that compensate an employee through a common paymaster, see § 31.3121(s)–1.

* * * * *

Par. 3. There is added immediately after § 31.3121(r)–1 the following new section:

§ 31.3121(s)–1 Concurrent employment by related corporations with common paymaster.

(a) *In general.* For purposes of sections 3102, 3111, and 3121(a)(1), except as otherwise provided in paragraph (c) of this section, when two or more related corporations concurrently employ the same individual and compensate that individual through a common paymaster which is one of the related corporations that employs the individual, each of the corporations is considered to have paid only the remuneration it actually disburses to that individual. This rule applies whether the remuneration was paid with respect to the employment relationship of the individual with the disbursing corporation or was paid on behalf of another related corporation. Accordingly, if all of the remuneration to the individual from the related corporations is disbursed through the common paymaster, the total amount of taxes imposed with respect to the remuneration under sections 3102 and 3111 is determined as though the individual has only one employer (the common paymaster.) The common paymaster is responsible for filing information and tax returns and issuing Forms W–2 with respect to wages it is considered to have paid under this section. Section 3121(s) and this section apply only to remuneration disbursed in the form of money, check or similar instrument by one of the related corporations or its agent.

(b) *Definitions.* The definitions contained in this paragraph are applicable only for purposes of this section and § 31.3306(p)–1.

(1) *Related corporations.* Corporations shall be considered related corporations for an entire calendar quarter (as defined in § 31.0–2(a)(9)) if they satisfy any one of the following four tests at any time during that calendar quarter:

(i) The corporations are members of a "controlled group of corporations", as defined in section 1563 of the Code, or would be members if section 1563(a)(4) and (b) did not apply and if the phrase "more than 50 percent" were substituted for the phrase "at least 80 percent" wherever it appears in section 1563(a).

(ii) In the case of a corporation that does not issue stock, either fifty percent or more of the members of one corporation's board of directors (or other governing body) are members of the other corporation's board of directors (or other governing body), or the holders of fifty percent or more of the voting power to select such members are concurrently the holders of fifty percent or more of that power with respect to the other corporation.

(iii) Fifty percent or more of one corporation's officers are concurrently officers of the other corporation.

(iv) Thirty percent or more of one corporation's employees are concurrently employees of the other corporation.

The following examples illustrate the application of this paragraph:

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Example (1). (a) X Corporation employs individuals A, B, D, E, F, G, and H. Y Corporation employs individuals A, B, and C. Z Corporation employs individuals A, C, I, J, K, L, and M. X Corporation is the paymaster for all thirteen individuals. The corporations have no officers or stockholders in common.

(b) X and Y are related corporations because at least 30 percent of Y's employees are also employees of X. Y and Z are related corporations because at least 30 percent of Y's employees are also employees of Z. X and Z are not related corporations because neither corporation has 30 percent of its employees concurrently employed by the other corporation.

(c) For purposes of determining the amount of the tax liability under sections 3102 and 3111, individual B is treated as having one employer. Individual C has two employers for these purposes, although Y and Z are related corporations, because C is not employed by X Corporation, the common paymaster. Individual A also is treated as having two employers for the purposes of these sections because X and Y Corporations are treated as one employer, and Z Corporation is treated as a second employer (since it is not related to the paymaster, X Corporation). Of course, individuals D, E, F, G, H, I, J, K, L, and M are not concurrently employed by two or more corporations, and, accordingly, section 3121 (s) is inapplicable to them.

Example (2). M and N Corporations are both related to Corporation O but are not related to each other. Individual A is concurrently employed by all three corporations and paid by O, their common paymaster. Although M and N are not related, O is treated as the employer for A's employment with M, N, and O.

Example (3). Corporations X, Y, and Z meet the definition of related corporations for the first time on April 12, 1979, and cease to meet it on July 5, 1979. A is concurrently employed by X, Y, and Z throughout 1979. In each of the four calendar quarters of 1979, A's remuneration from X, Y, and Z is $2,000, $10,000, and $30,000, respectively. All of the remuneration to A from X, Y, and Z for the year is disbursed by X, the common paymaster. Under these circumstances, the amount of wages subject to sections 3102 and 3111 is as follows:

For the first calendar quarter

X	Y	Z
$2,000	$10,000	$22,900

For the second calendar quarter

X	Y	Z
$20,900 ($22,900 − $2,000)	0	0

For the third calendar quarter

X	Y	Z
0	0	0

For the fourth calendar quarter

X	Y	Z
0	$10,000	0

Of course, if the corporations had been related throughout all of 1979, only $22,900 of X's first quarter disbursement would have constituted wages subject to sections 3102 and 3111.

(2) *Common paymaster*—(i) *In general.* A common paymaster of a group of related corporations is any member thereof that disburses remuneration to employees of two or more of those corporations on their behalf and that is responsible for keeping books and records for the payroll with respect to those employees. The common paymaster is not required to disburse remuneration to all the employees of those two or more related corporations, but the provisions of this section do not apply to any remuneration to an employee that is not disbursed through a common paymaster. The common paymaster may pay concurrently employed individuals under this section by one combined paycheck, drawn on a single bank account, or by separate paychecks, drawn by the common paymaster on the accounts of one or more employing corporations.

(ii) *Multiple common paymasters.* A group of related corporations may have more than one common paymaster. Some of the related corporations may use one common paymaster and others of the related corporations use another common paymaster with respect to a certain class of employees. A corporation that uses a common paymaster to disburse remuneration to certain of its employees may use a different common paymaster to disburse remuneration to other employees.

(iii) *Examples.* The rules of this subparagraph are illustrated by the following examples:

Example (1). S, T, U, and V are related corporations with 2,000 employees collectively. Forty of these employees are concurrently employed by two or more of the corporations, during a calendar quarter. The four corporations arrange for S to disburse remuneration to thirty of these forty employees for their services. Under these facts, S is the common paymaster of S, T, U, and V with respect to the thirty employees. S is not a common paymaster with respect to the remaining employees.

Example (2). (a) W, X, Y, and Z are related corporations. The corporations collectively have 20,000 employees. Two hundred of the employees are top-level executives and managers, sixty of whom are concurrently employed by two or more of the corporations during a calendar quarter. Six thousand of the employees are skilled artisans, all of whom are concurrently employed by two or more of the corporations during the calendar year. The four corporations arrange for Z to disburse remuneration to the sixty executives who are concurrently employed by two or more of the corporations. W and X arrange for X to disburse remuneration to the artisans who are concurrently employed by W and X.

(b) A is an executive who is concurrently employed only by W, Y, and Z during the calendar year. Under these facts, Z is a common paymaster for W, Y, and Z with respect to A. Assuming that the other requirements of this section are met, the amount of the tax liability under sections 3102 and 3111 is determined as if Z were A's only employer for the calendar quarter.

(c) B is a skilled artisan who is concurrently employed only by W and X during the calendar year. Under these facts, X is a common paymaster for S and X with respect to B. Assuming that the other requirements of this section are met, the amount of the tax liability under sections 3102 and 3111 is determined as if X were B's only employer for the calendar quarter.

(3) *Concurrent employment.* For purposes of this section, the term "concurrent employment" means the contemporaneous existence of an employment relationship (within the meaning of section 3121(b)) between an individual and two or more corporations. Such a relationship contemplates the performance of services by the employee for the benefit of the employing corporation (not merely for the benefit of the group of corporations), in exchange for remuneration which, if deductible for the purposes of Federal income tax, would be deductible by the employing corporation. The contemporaneous existence of an employment relationship with each corporation is the decisive factor; if it exists, the fact that a particular employee is on leave or otherwise temporarily inactive is immaterial. However, employment is not concurrent with respect to one of the related corporations if the employee's employment relationship with that corporation is completely nonexistent during periods when the employee is not performing services for that corporation. An employment relationship is completely nonexistent if all rights and obligations of the employer and employee with respect to employment have terminated, other than those that customarily exist after employment relationships terminate. Examples of rights and obligations that customarily exist after employment relationships terminate include those with respect to remuneration not yet paid, employer's property used by the employee not yet returned to the employer, severance pay, and lump-sum termination payments from a deferred compensation plan. Circumstances that suggest that an employment relationship has become completely nonexistent include unconditional termination of participation in deferred compensation plans of the employer, forfeiture of seniority claims, and forfeiture of unused fringe benefits such as vacation or sick pay. Of course, the continued existence of an employment relationship between an individual and a corporation is not necessarily established by the individual's continued participation in a deferred compensation plan, retention of seniority rights, etc., since continuation of those benefits may be attributable to employment with a second corporation related to the first corporation if the corporations have common benefits plans or if the benefits are continued as a matter of corporate reciprocity. An individual who does not perform substantial services in exchange for remuneration from a corporation is presumed not employed by that corporation. Concurrent employment need not exist for any particular length of time to meet the requirements of this section, but this section only applies to remuneration disbursed by a common paymaster to an individual who is concurrently employed by the common paymaster and at least one other related corporation at the time the individual performs the services for which the remuneration is paid. If the employment relationship is nonexistent during a quarter, that employee may not be counted towards the 30-percent test set forth in paragraph (b)(1)(iv) of this section; however, even if the employment relationship is nonexistent, section 3121(s) of the Code would apply to remuneration paid to the former employee for services rendered while the employee was a common employee. The principles of this subparagraph are illustrated by the following examples.

Example (1). M, N, and O are related corporations which use N as a common paymaster with respect to officers. Their respective headquarters are located in three separate cities several hundred miles apart. A is an officer of M, N, and O who performs substantial services for each corporation. A does not work a set length of time at each corporate headquarters, and when A leaves one corporate headquarters, it is not known when A will return, although it is expected that A will return. Under these facts, A is concurrently employed by the three corporations.

Example (2). P, Q, and R are related corporations whose geographical zones of business activity do not overlap. P, Q, and R arrange for Q to be a common paymaster for managers and executives. All three corporations maintain cafeterias for the use of their employees. B is a cafeteria manager who has worked at P's headquarters for three years. On June 1, 1980, B is transferred from P to the position of cafeteria manager of R. There are no plans for B's return to P. B's accrued pension benefits, vacation and sick pay, do not change as a result of the transfer. The decision to transfer B was made by Q, the parent corporation. Under these facts, B is not concurrently employed by P and R, because B's employment relationship with P was completely nonexistent during B's employment with R. Furthermore, section 3121 (s) is inapplicable since B also was not employed by Q, the common paymaster, because B never contracted to perform services for remuneration from Q, and Q did not have the right to control the day-to-day duties of B's work. In the U Pension Plan are transferred to the W Pension Plan, at B's decision to forego a lump-sum payment from the U Pension Plan. B is replaced at the U cafeteria. B becomes subject to the W fringe benefit schedule. U pays B a lump-sum for B's unused vacation and sick pay. Under these facts, B is not concurrently employed by U and W, because B's employment relationship with U was completely nonexistent during B's employ

Example (3). C is employed by two related corporations, S and T. C was concurrently employed by these corporations between April 1, 1979, and June 30, 1979. The corporations used T as the common paymaster with respect to C's wages between May 1, 1979, and September 30, 1979. T pays C on May 15 for services performed between April 1 and April 30, on July 15 for services performed between June 1 and June 30, and on August 15 for services performed between July 1 and July 31. Section 3121 (s) applies to the first two payments but does not apply to the third payment (there was no concurrent employment). However, if the third payment was made by T for services performed for T, T counts the amounts previously disbursed to C in 1979 while C was concurrently employed by S and T towards the wage base (see section 3121 (a)(1)).

(c) *Allocation of employment taxes*—(1) *Responsibility to pay tax.* If the requirements of this section are met, the common paymaster has the primary responsibility for remitting taxes pursuant to sections 3102 and 3111 with respect to the remuneration it disburses as the common paymaster. The common paymaster computes these taxes as though it were the sole employer of the concurrently employed individuals. If the common paymaster fails to remit these taxes (in whole or in part), it remains liable for the full amount of the unpaid portion of these taxes. In addition, each of the other related corporations using the common paymaster is jointly and severally liable for its appropriate share of these taxes. That share is an amount equal to the lesser of:

(i) The amount of the liability of the common paymaster under section 3121(s), after taking account of any tax payments made, or

(ii) The amount of the liability under sections 3102 and 3111 which, but for section 3121(s), would have existed with respect to the remuneration from such other related corporation, reduced by an allocable portion of any taxes previously paid by the common paymaster with respect to that remuneration.

The portion of taxes previously paid by the common paymaster that is allocable to each related corporation is determined by multiplying the amount of taxes paid by a fraction, the numerator of which is the portion of the amount of employment tax liability of the common paymaster under section 3121(s) that is allocable to such related corporation under paragraph (c)(2) of this section, and the denominator of which is the total amount of the common paymaster's liability under section 3121(s), both determined without regard to any prior tax payments. These rules apply whether or not the tax on employees was withheld from the employees' wages.

(2) *Allocation of tax*—(i) *In general.* If the related corporations maintain a record of the remuneration disbursed to the employee for services performed for each corporation, the remuneration-based allocation rules of paragraph (c)(2)(ii) of this section apply. If the related corporations do not maintain this record of remuneration, the group-wide allocation rules of paragraph (c)(2)(iii) of this section apply. In all cases, allocations must be made with respect to each payment of wages. The allocation of employment tax liabilities pursuant to this subparagraph also determines which related corporation may be entitled to income tax deductions with respect to the payments of those taxes.

(ii) *Remuneration-based allocation rules.* Under the remuneration-based method of allocation, each related corporation that remunerates an employee through a common paymaster has allocated to it for each pay period an amount of tax determined according to the following formula:

$$\frac{\text{Portion of wage payment constituting remuneration to the employee for services performed for the corporation}}{\text{Total wage payment constituting remuneration to the employee for all services performed for the related corporations using the common paymaster}} \times \text{Tax on employees under section 3102 and tax on employers under section 3111 that the common paymaster is required to remit with respect to the wage payment.}$$

If the remuneration disbursed to an employee for services performed for a

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corporation is inappropriate, the district director may adjust the remuneration records of the related corporations to reflect appropriate remuneration. The district director may use the principles of § 1.482–2(b) in making the adjustments.

Example. (i) X and Y are related corporations which use Y as common paymaster for their executives. A is a concurrently employed executive who performs services during the first quarter of 1979 for X and Y. Y remunerates $4,000 gross pay every week to A, calculated as follows:

Wage payments	Remuneration			Tax on employers under section 3111	Tax on employees withheld under section 3102	Total
	X	Y	Total			
1	$3,000	$1,000	$4,000	$245.20	$245.20	$490.40
2–3		8,000	8,000	490.40	490.40	980.80
4	1,000	3,000	4,000	245.20	245.20	490.40
5	4,000		4,000	245.20	245.20	490.40
6	2,000	2,000	4,000	177.77	177.77	355.54
7–13	10,000	18,000	28,000	0	0	0
Total	20,000	32,000	52,000	1,403.77	1,403.77	2,807.54

The amounts of remuneration to A are determined by the district director to be appropriate. Under these facts, the tax is allocated to X and Y in the following amounts:

Wage payments	X		Y	
1	$\frac{\$3,000}{\$4,000} \times \$490.40 =$	$367.80	$\frac{\$1,000}{\$4,000} \times \$490.40 =$	$122.60
2–3	--		$\frac{\$8,000}{\$8,000} \times \$980.80 =$	$980.80
4	$\frac{\$1,000}{\$4,000} \times \$490.40 =$	$122.60	$\frac{\$3,000}{\$4,000} \times \$490.40 =$	$367.80
5	$\frac{\$4,000}{\$4,000} \times \$490.40 =$	$490.40	--	
6	$\frac{\$2,000}{\$4,000} \times \$355.54 =$	$177.77	$\frac{\$2,000}{\$4,000} \times \$355.54 =$	$177.77
7–13	$\frac{\$10,000}{\$28,000} \times -0- =$	-0-	$\frac{\$18,000}{\$28,000} \times -0- =$	-0-
		$1,158.57		$1,649.97

(ii) If Y remits none of the taxes to the Internal Revenue Service, X is liable for $2,452.00 (the entire amount due pursuant to sections 3102 and 3111 with respect to the remuneration to A from X) (12.26% × $20,000). Any amount remitted by X to the Internal Revenue Service under these circumstances is also credited against the liability of the common paymaster, Y. However, only the portion of the employment taxes allocated to X under (i) above may be deducted by X as employment taxes paid by it in respect of wages paid by it to its employees.

(iii) If Y remits $1,000.00 of the total $2,807.54 due, Y as common paymaster remains liable for $1,807.54 ($2,807.54 minus $1,000). X's liability is the lesser of $1,807.54 (the liability of the common paymaster), or X's total liability, in the absence of section 3121 (s), on wages paid through the common paymaster ($2,452.00) minus a credit for an allocable part of the amount remitted by Y. The part is $412.66

$$\left(\frac{\$1,158.57\ (X\text{'s allocable share of tax})}{\$2,807.54\ (\text{total tax})}\right) \times \$1,000$$

(tax remitted). Since $1,807.54 is less than $2,039.34 ($2,452.00 minus $412.66), X and Y are jointly and severally liable for $1,807.54.

(iii) *Group-wide allocation rules.* Under the group-wide method of allocation, the district director may allocate the taxes imposed by sections 3102 and 3111 in an appropriate manner to a related corporation that remunerates an employee through a common paymaster if the common paymaster fails to remit the taxes to the Internal Revenue Service. Allocation in an appropriate manner varies according to the circumstances. It may be based on sales, property, corporate payroll, or any other basis that reflects the distribution of the services performed by the employee, or a combination of the foregoing bases. To the extent practicable, the district director may use the principles of § 1.482–2(b) in making the allocations.

(d) *Effective date.* This section is effective with respect to wages paid after December 31, 1978.

§ 31.3306(b)(1) [Deleted]

Par. 4. Section 31.3306(b)(1) and the historical note are deleted.

Par. 5. Section 31.3306(b)(1)–1 is amended by adding at the end of the portion of paragraph (a)(3) that precedes example (1) a sentence which reads as follows:

§ 31.3306(b)(1)–1 $3,000 limitation.

(a) *In general.* * * *

(3) * * * In connection with the annual wage limitation in the case of remuneration after December 31, 1978 from two or more related corporations that compensate an employee through a common paymaster, see § 31.3306(p)–1.

* * * * * *

Par. 6. There is added immediately after § 31.3306(o)–1 the following new section:

§ 31.3306(p)–1 Employees of related corporations.

(a) *In general.* For purposes of sections 3301, 3302, and 3306(b)(1), when two or more related corporations concurrently employ the same individual and compensate that individual through a common paymaster which is one of the related corporations for which the individual performs services, each of the corporations is considered to have paid only the remuneration it actually disburses to that individual (unless the disbursing corporation fails to remit the taxes due). Paragraphs (b) and (c) of § 31.3121(s)–1 contain rules defining related corporations, common paymasters, and concurrent employment, and rules for determining the liability of the other related corporations for employment taxes if the common paymaster fails to remit the taxes pursuant to sections 3102 and 3111, and for allocating these taxes among the related corporations. Those rules also apply to the tax under section 3301. For purposes of applying those rules to this section, references in those rules to section 3111 are considered references to sections 3301 and 3302, and references to section 3121 are considered references to section 3306

(b) *Allocation of credit for contributions to State unemployment funds.* A special rule for applying the rules of § 31.3121(s)–1 to this section applies if it is necessary to determine the ultimate liability of each related corporation for which services are performed in the event the common paymaster fails to remit the tax to the Internal Revenue Service. In determining the ultimate liability of a corporation, the credit for contributions to State unemployment funds that the corporation may claim under section 3302 is calculated as if each corporation were a separate employer.

(c) *Effective date.* This section is effective with respect to wages paid after December 31, 1978.

[FR Doc. 79-38688 Filed 12-18-79; 8:45 am]
BILLING CODE 4830-01-M

DEPARTMENT OF THE INTERIOR

Office of Surface Mining Reclamation and Enforcement

30 CFR Part 731

Surface Coal Mining and Reclamation Operations, Permanent Regulatory Program; Corrections

AGENCY: Office of Surface Mining Reclamation and Enforcement, U.S. Department of the Interior, Washington, D.C.

ACTION: Final rule; corrections.

SUMMARY: This document corrects the amendment of § 731.12 of the Permanent Regulatory Program that is on page 60969 of Volume 44 of the Federal Register of Monday, October 22, 1979.

EFFECTIVE DATE: December 19, 1979.

ADDRESS: Director, Office of Surface Mining Reclamation and Enforcement, Department of the Interior, Washington, D.C. 20240.

FOR FURTHER INFORMATION CONTACT:
Carl C. Close, Assistant Director for State and Federal Programs, Office of Surface Mining, U.S. Department of the Interior, Washington, D.C. 20240 (202) 343–4225.

The following corrections of non-substantive errors are made:

§ 731.12 [Corrected]

On page 60969, column 2, paragraph 2, line 7, "731.12(e)" is corrected to read "731.12(d)".

On page 60969, column 3, paragraph 4, lines 4 and 6, "731.12(e)" is corrected to read "731.12(d)".

On page 60969, § 731.12, column 3, paragraph 5, line 8, "director" is corrected to read "Director".

On page 60969, § 731.12, column 3 paragraph 6, line 1, "(e)" is corrected to read "(d)".

Dated: December 3, 1979.

Walter N. Heine,
Director, Office of Surface Mining, Reclamation and Enforcement.

[FR Doc. 79-38788 Filed 12-18-79; 8:45 am]
BILLING CODE 4310-05-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Social Security Administration

45 CFR Parts 205 and 206

Aid to Families With Dependent Children; Access to Wage Record Information

AGENCY: Social Security Administration, DHEW.

ACTION: Final rules.

SUMMARY: These rules require that State AFDC agencies request and use wage information from State unemployment compensation agencies or from the Social Security Administration to help determine eligibility for financial assistance or the amount of the assistance payment. These provision are designed to improve a State's ability to acquire accurate wage data about current applicants and recipients. The use of this wage information is expected to enable a State to reduce error rates in determining eligibility for, and the amount of, assistance under its AFDC program.

EFFECTIVE DATE: These regulations are effective December 19, 1979. However, in accordance with the law which these regulations reflect, the new requirement regarding the request and use of wage information became effective October 1, 1979.

FOR FURTHER INFORMATION CONTACT:
Ms. Helen Hamilton, Office of Family Assistance, Division of Policy, Social Security Administration, 330 C Street, SW., Washington, D.C. 20201, telephone (202) 245–0901.

SUPPLEMENTARY INFORMATION: On January 11, 1979, we published a Notice of Proposed Rule Making on this subject in the Federal Register (44 FR 2404).

Section 403 of Pub. L. 95–216 amended section 402(a) of the Social Security Act to add a new paragraph (29). This statute provides that, in the administration of the AFDC program, State AFDC agencies must request and use wage information, about current applicants and recipients, available from agencies administering State unemployment compensation laws or from the Social Security Administration (SSA). State AFDC agencies must request information from SSA when it is not available from a State unemployment compensation agency. This requirement is effective October 1, 1979.

The Final Rules

The regulations require that a State establish procedures to request and use wage information for all current AFDC applicants or recipients from the State unemployment compensation agency, if wage information is available, quarterly. If a State unemployment compensation agency does not collect wage information, the AFDC agency must request this information from SSA semi-annually.

The State agency is to use the requested wage information to determine a person's eligibility for, or the amount of, aid or services under its AFDC plan. In addition, this information is available for any investigation or prosecution to determine whether recipients received aid or services to which they were not entitled.

A large amount of wage information is available from State unemployment compensation agencies and SSA. The data are maintained by those agencies in computerized storage files in social security number sequence. This, together with the expected large number of requests for data, would make furnishing the requested wage information subject to error and long delays unless a practical procedure for exchanging information is used. For this reason, the regulations require that an AFDC agency maintain an automated file of the names and social security numbers of current applicants and recipients. Requests for wage information will be made from these automated files in a "machine-readable" format to permit electronic transfers of information from the wage records to the AFDC agency.

The Department believes this requirement is essential to the efficient operation of the wage information system mandated by section 403 of Pub. L. 95–216. Manual recordkeeping and printed or handwritten requests would be far more error-prone, and would result in long delays in furnishing the requested information. Errors and delay would make the new information substantially less useful to a State in accurately determining eligibility and the amount of the grant, thus frustrating the purpose for which this legislation was enacted.

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Under these regulations, all existing confidentiality requirements for AFDC information apply to the automated files and wage information. These protections are clarified with the addition of § 205.50(a)(3) (ii) and (iii), which requires that any information about wages, including information in machine-readable form, must be stored so that unauthorized persons cannot acquire the information. In addition, anyone with access to this information must be advised of the circumstances under which access is permitted and the sanctions imposed for its misuse. These requirements apply to information about wages from any source.

States are encouraged to develop ADP systems security procedures for protecting wage information. In that regard, part 6 of DHEW Systems Manual is considered to be a good reference and will be made available to interested States upon request.

The protections within both 45 CFR 205.50 and 20 CFR 401.105 apply to wage information provided under the regulations. In certain respects, however, these may be inconsistent because of historic differences between the AFDC program and the Old Age, Survivors and Disability Insurance programs. The disclosure regulations will be revised shortly to ensure consistency. Until then, if there is an inconsistency between two provisions, the more restrictive applies.

The regulations also provide that the specific arrangements for requesting wage information be covered in an agreement between the requesting agency and the agency furnishing the information. Each agreement will identify, at a minimum, the officials authorized to make the requests; the exact methods to be used; the dates in the year that the requests will be made; the periods of employment for which wage information will be furnished (i.e., the wage reporting periods); the time within which the requested information will be furnished; safeguards limiting release or redisclosure; and any reimbursement to be made for the costs of furnishing the requested information.

In addition, to measure the results and the cost effectiveness of the wage data exchange, the Department is requiring that State AFDC agencies maintain basic statistical information about the changes in eligibility and benefit amount which occur after this requirement is effective.

The regulations also provide that assistance will not be denied, delayed, or discontinued, pending receipt of wage information requested under these new requirements, if other documentary evidence establishes that the individual is eligible. The Department expects that in most cases the information gained through the wage record system will be used to verify eligibility information already received.

The law required State agencies to implement the new statutory provisions (i.e., to request and use wage information) by October 1, 1979. The new law also added section 411 to the Social Security Act, which is currently in effect. This provides that the Secretary of Health, Education, and Welfare will, upon request, make available to State and local agencies wage information contained in SSA's records for use in determining an individual's eligibility for, or the amount of, assistance or services under the AFDC program. The new law also added a new section 3304(a)(16) to the Federal Unemployment Tax Act. This provides that wage information which is contained in the records of the agency administering State unemployment compensation laws shall similarly be available to State and local welfare agencies. Under both of these provisions, the Secretary of Health, Education, and Welfare will establish safeguards ensuring that wage information obtained from the State unemployment compensation agencies or SSA is used only for the specified AFDC purposes.

HEW published interim regulations for disclosure of SSA wage information upon State request on January 30, 1978 (43 FR 3907). HEW published proposed rules on disclosure of social security records and information on April 10, 1979 (44 FR 21495). This proposal included the provisions for disclosure of wage information upon State request. The Department held public hearings on the proposed rules in seven cities during July 1979. The interim regulations remain in effect until final rules are published.

Technical Assistance Available to States

In order to help States comply with these rules, the Department will provide to State welfare agencies, upon request, a fully programmed system which compares welfare agency files with unemployment compensation files. The system, Interjurisdictional Data Exchange (IDEX), also checks for duplicate grants.

State welfare directors interested in information about IDEX should contact Mr. James Trainor, Office of Family Assistance, Room 4092, 330 C Street, SW., Washington, D.C. 20201, telephone (202) 245–0128.

Discussion of Comments

After publication of the Notice of Proposed Rule Making on January 11, 1979, we received a number of comments from State and local welfare departments, other public and private organizations, and concerned individuals. The significant comments and our responses follow:

Section 205.51 Definition of wage information

1. *Comment:* Several commenters pointed out that unemployment compensation agencies do not collect "self-employment income" information. Therefore, the proposed definition of income, which includes "self-employment income," would preclude States from obtaining complete wage information from the unemployment compensation agencies.

Response: We believe State unemployment compensation agencies should be the primary source of data on wages, because their information will be more current than SSA information in most cases. Therefore, we have deleted "self-employment income" from the definition in § 205.51(a). However, SSA will furnish both self-employment income and wage information as described in § 205.51(b).

2. *Comment:* Five commenters objected to the requirement that wage information be obtained on a quarterly basis, because of employers' reporting lags and the fact that the information is sometimes inaccurate and cannot be used the current month.

Response: The Department believes that if timely use is to be made of wage information it must be requested quarterly, since this information is reported by employers quarterly. We recognize that the information will not be available for use in the current month. However, it will be useful to check against income reported by applicants and recipients, and can help identify overpayments and fraud situations. It will also be helpful in redeterminations. We believe that employers and agencies administering the unemployment compensation law will provide data which are accurate enough to be useful.

3. *Comment:* Some commenters questioned the usefulness of information which is not current. Two commenters believed that the proposed regulations conflict with the requirements in § 233.20(a)(3)(ii)(D)—that income available for current use be considered in determining need and the amount of assistance—since wage information will be available only quarterly from agencies administering unemployment compensation laws, and will generally be even less current from SSA.

Response: These comments reflect a perception that current eligibility and payment decisions will be made on the basis of past wage information. This is not correct. The wage information obtained under these rules is to be used to check eligibility and payment decisions for the time periods which correspond to those wages. However, this information could be helpful as indicators of overpayments and fraud. This information could also be used by States as an indicator of current income. Consistent with this approach, § 206.10 prohibits any delay or denial of assistance pending receipt of this information. We see no conflict with § 233.20.

4. *Comment:* Four commenters asked whether the rules apply to all applicants and recipients. Some asked whether wage information is required for children under 14 years of age, since the agency is prohibited by § 233.20(a)(3)(iii) from inquiring as to the amount of earnings of a child under 14 years of age.

Response: Because Pub. L. 95–216 requires a State to request and use wage information for purposes of "determining an *individual's* eligibility" (*underlining* added), the rule applies to all applicants and recipients. There is no authority to exclude children under 14 from this requirement. Section 233.20(a)(3)(iii) is not intended to preclude the type of wage information exchange provided by this rule—an administrative procedure between government agencies to share information.

We recognize that most children under the age of 14 are enrolled in school, and therefore whatever earnings they might have would be disregarded, but there are situations in which children are not enrolled in school and their earnings are not disregarded. The verification of wage information for all applicants and recipients is required to ensure that earnings are properly reported.

5. *Comment:* Three commenters suggested using wage information when determining eligibility for other Federal and State programs such as States' general assistance programs.

Response: States may use wage information from unemployment compensation agencies when determining eligibility for other Federal and State programs. The Department of Labor does not restrict redisclosure of this information. However, wage information obtained from SSA may not be redisclosed. The Tax Reform Act permits SSA to use wage information only for its own programs, and it is available for the AFDC program under section 411 of the Social Security Act. Information from SSA cannot be redisclosed to any other agencies or used for any other programs.

6. *Comment:* Seven commenters complained that SSA wage information is of questionable value because it is updated on an annual basis and there will be considerable delay in its availability for matching with AFDC records. One commenter advised that it serves no purpose to require States to make semi-annual requests to SSA for wage information if the SSA file will be updated only annually.

Response: The Senate Finance Committee, in considering the bill which became Pub. L. 95–216, recognized that wage record information from SSA may not be current. The Committee believed that obtaining the information would increase the incentive for recipients to report their earned income accurately. The Department believes that SSA wage information will be useful in identifying overpayments and in fraud investigations. SSA is also the best source for interstate data. This position is supported by data from New York City and Franklin County, Ohio. These jurisdictions have reported savings of $8 million and $2 million, respectively, in recovered overpayments through the use of SSA wage information.

The Department believes that it is necessary to require semi-annual matching of AFDC records with SSA wage information because of the frequency with which applicants and recipients enter and leave the assistance rolls. It is important to note that although most SSA wage information will be updated only annually, updating will not be done at the same time in the year for everyone. Therefore, changes to various people's wage records will become available at differing times.

7. *Comment:* One commenter felt that the proposed wage information system should be integrated with the National Recipient System to maximize the effectiveness of the component parts and provide for a more convenient and comprehensive system.

Response: Pub. L. 95–216 has the effect of requiring 40 State welfare agencies to request and use earnings data from the State unemployment insurance agencies. The proposed Federal National Recipient System could not serve as an integrated comprehensive system because it does not have access to State unemployment insurance agency earnings data. However, the BENDEX system will provide a comprehensive, integrated approach to the exchange of earnings and benefits information between SSA and the remaining States required to request SSA earnings information.

Section 205.57 Maintenance of an automated file; requests for wage information

8. *Comment:* Four commenters objected to the maintenance of the social security number in machine-readable form because of the burden and expense it imposes on States which lack sophisticated computer systems.

Response: The Department believes that this requirement is essential to the efficient operation of the wage information system. Agencies administering State unemployment compensation laws and SSA handle volume requests and their records are maintained in this manner. Manual record-keeping and printed or handwritten requests would be far more error-prone and would result in long delays by the agencies furnishing the requested information.

9. *Comment:* Two commenters stated that the wage screening system described in the proposal is rather rigidly defined and presumes fairly specific, technical capabilities. All States do not have like abilities to maintain a mechanical or automated system.

Response: The Department recognizes that the degree of sophistication of data processing systems that support State welfare agencies differs from State to State. State welfare agency compliance with the proposed rule does not require sophisticated data processing systems. It merely requires the exchange of machine-readable data between the State welfare agency and the unemployment compensation agency or SSA. This can be achieved with the simplest of data processing systems.

Section 205.58 Access to Wage Information: Specific Agreements Between the State Agency and the Agency Supplying the Information

10. *Comment:* Two commenters questioned the need for interagency agreements regarding security of wage data and cost reimbursement.

Response: The identities of AFDC applicants and recipients, as well as wage information supplied by unemployment compensation agencies and SSA, need to be protected according to the respective agencies' standards. The Department believes it would be best to have the agencies which are parties to the data exchange formally agree to confidentiality requirements. Similarly, we believe cost reimbursement should be a matter for agreement between the parties to the

information exchange. While the cost of the exchange will generally not be great enough to warrant reimbursement, where the agencies wish to make such provisions they will need a mechanism for putting into effect their agreement for reimbursement.

11. *Comment:* Two commenters asked whether the Federal government plans to pay the cost of the wage information system. In their States, no State funds have been appropriated to implement the system and the legislature is not scheduled to meet until after the October 1, 1979 deadline. They ask whether there will be an extension of the October 1 deadline if the Federal government is unwilling to pay the cost of the wage system.

Response: The Department believes that the cost of implementing the modest wage information system necessary to satisfy this rule will be so small that States can accommodate it. It should be noted that systems necessary to request and use wage information, as required under Pub. L. 95–216, would represent administrative costs subject to the usual Federal financial participation. Under Pub. L. 95–216, we have no authority to grant an extension of the October 1, 1979 deadline.

Section 205.60 Reports and Maintenance of Records

12. *Comment:* A large number of commenters objected to establishing and maintaining statistical records regarding case actions resulting from use of wage information.

Response: Because of the concern expressed by so many writers, the final regulations have been revised to limit the statistical requirement to the number and dollar value of case closings and grant changes. This information is necessary for the Department to determine that States are using the requested information, as the law requires.

13. *Comment:* One commenter advised that § 205.60, "Reports and maintenance of records," and § 206.10, "Application, determination of eligibility and furnishing of assistance" do not provide a date by which the State agency will establish and begin maintaining the required records. The commenter suggested that language be included in these sections in the regulations specifying that October 1, 1979, is the date on which the provisions become effective.

Response: The preamble to these regulations specifies that the provisions are effective October 1, 1979. We believe it is unnecessary to insert the effective date in the new or amended sections of the regulations.

Section 206.10 Application, Determination of Eligibility and Furnishing of Assistance

14. *Comment:* One commenter suggested informing all applicants and recipients of the State agency's access to wage information from unemployment agencies and SSA. That person also recommended telling people that differences between agency information and information provided by applicants and recipients could result in adjustment or termination of aid, recoveries of overpayments, and criminal prosecution.

Response: The Department has no rule regarding the detail with which the State must inform applicants or recipients of its verification procedures. Most States do tell applicants that information they give will be verified. Where the State identifies the sources which are used for verification, the wage records of unemployment compensation agencies and SSA should be included.

15. *Comment:* One commenter stated that existing regulation § 206.10 and the proposed regulation § 205.56 are in conflict. The writer points out that § 206.10 mandates that AFDC eligibility be reconsidered at least every 6 months while § 205.56 mandates that the AFDC agency request wage information about all applicants and recipients quarterly.

Response: The regulations are not in conflict. The existing regulation, § 206.10, requires that eligibility be verified for each case at least every 6 months and more frequently when a report is received showing a change in the individual's circumstances. In contrast, § 205.56 requires that the agency request wage information—one factor which affects eligibility—quarterly. This is a request for a specific type of information (income) for all recipients on a more frequent schedule.

Comments Beyond the Scope of the NPRM

One commenter suggested that a State unemployment compensation agency be empowered to acquire information about the personal characteristics of the workers whose wages are included in SSA's wage records. Another person stated that § 206.10 contains a requirement that there must be arrangements to assist applicants and recipients in obtaining medical care and services on a 24 hour basis, which his State cannot provide since such services are not available statewide.

These comments are not relevant to this regulation, but they will be considered when the regulations to which they relate are reviewed and revised.

Differences Between the Proposed Rules and the Final Rules

After consideration of all comments, we have adopted the proposed rules with three major changes. First, we have removed "self-employment income" from the definition in § 205.51(a) of wage information which must be obtained from agencies administering the unemployment compensation laws. Second, § 205.51(b) previously stated that wage information to be provided by SSA means "wages" and "self-employment income" as defined in title II of the Social Security Act. Use of the title II definition would restrict SSA to furnishing information only on wages and self-employment income covered by the Federal Insurance Contributions Act. Therefore, we have removed "as defined in title II of the Social Security Act" and have inserted "routinely maintained in the Social Security Administration's record systems." With this change SSA can provide wage information on non-covered employment and on wages and self-employment income in excess of the limits under the Federal Insurance Contributions Act. Third, we have substantially reduced the data collection requirements in § 205.60, limiting them to the number and dollar value of case closings and grant changes. We have also made a few technical and editorial changes.

(Secs. 402, 411, 1102, 1106(a), Social Security Act, as amended; 49 Stat. 647, as amended 91 Stat. 1561, 53 Stat. 1398, as amended (42 U.S.C. 602, 611, 1302, 1306(a)); and sec. 403 of Pub. L. 95–216, 91 Stat. 1561)

(Catalog of Federal Domestic Assistance Program No. 13.761, Public Assistance—Maintenance Assistance (State Aid))

Dated: October 11, 1979.

Stanford G. Ross,

Commissioner of Social Security.

Approved: December 6, 1979.

Patricia Roberts Harris,

Secretary of Health, Education, and Welfare.

Chapter II, Title 45 of the Code of Federal Regulations is amended as set forth below:

1. Section 205.50 is amended by revising paragraph (a)(2)(i)(B) and paragraph (a)(3) to read as follows:

§ 205.50 Safeguarding information for the financial assistance and social services programs.

(a) *State plan requirements.* * * *

(2) * * *

(i) * * *

(B) Information related to the social and economic conditions or circumstances of a particular individual, including wage information (see § 205.51) obtained from the agency administering the State unemployment compensation laws or from the Social Security Administration;

* * * * *

(3)(i) The agency will publicize provisions governing the confidential nature of information about applicants and recipients, including the legal sanctions imposed for improper disclosure and use, and will make these provisions available to applicants and recipients and to other persons and agencies to whom information is disclosed.

(ii) All information about wages (including that described in § 205.51) will be stored and processed so that no unauthorized personnel can acquire or retrieve the information by any means.

(iii) All persons with access to information about wages will be advised of the circumstances under which access is permitted and the sanctions imposed for illegal use or disclosure of the information.

* * * * *

2. A new § 205.51 is added to read as follows:

§ 205.51 Definition of wage information.

For purposes of §§ 205.50, 205.56, 205.57, 205.58, 205.60, and 206.10—

(a) Wage information requested from agencies administering State unemployment compensation laws means information about "wages" as defined in the State unemployment compensation laws;

(b) Wage information requested from the Social Security Administration means information about both wages and self-employment income routinely maintained in the Social Security Administration's record systems; and

(c) Wage information also includes the name and address of the employer and the identification number used by the employer in making the wage report.

3. A new § 205.56 is added to read as follows:

§ 205.56 Access to wage information from agencies administering State unemployment compensation laws and from the Social Security Administration.

A State plan under title IV–A of the Social Security Act must provide that—

(a) The State agency will request wage information about all current AFDC applicants and recipients quarterly from agencies administering the State unemployment compensation laws if those agencies collect wage information. If they do not, the State agency must request the wage information semi-annually from the Social Security Administration.

(b) The State agency will use this wage information for—

(1) Determining individuals' eligibility for aid or services under the State plan;

(2) Determining the amount of aid or services;

(3) Investigations to determine whether recipients received aid or services under the State plan to which they were not entitled; and

(4) Criminal or civil prosecutions based on receipt of aid or services under the State plan to which recipients were not entitled.

4. A new § 205.57 is added to read as follows:

§ 205.57 Maintenance of an automated file; requests for wage information.

A State plan under title IV–A of the Social Security Act must provide that—

(a) The State agency will maintain a file which is machine-readable, i.e., which is maintained in a fashion that permits automated processing, containing the name and social security number of each person applying for, or receiving, aid or services under the plan.

(b) Requests for wage information will be made in machine-readable form from this file.

5. A new § 205.58 is added to read as follows:

§ 205.58 Access to wage information; specific agreements between the State agency and the agency supplying the information.

(a) A State plan under title IV–A of the Social Security Act must provide that, in carrying out the requirements of §§ 205.56 and 205.57, the State agency will enter into specific written agreements with agencies administering State unemployment compensation laws, or with the Social Security Administration, if appropriate, detailing the procedures to be used in requesting and providing wage information.

(b) These agreements will include, but need not be limited to, the following:

(1) Identification of all agency officials by position with authority to request wage information;

(2) Methods and timing of the requests for information, including the machine-readable format to be used, and the period of time needed to furnish the requested wage information;

(3) The wage reporting periods for which information will be provided;

(4) Safeguards limiting release or redisclosure as required by Federal or State law or regulation, including the requirements of § 205.50 and 20 CFR 401.105; and

(5) Reimbursement, if any, for the costs of furnishing the information requested by the State agency.

6. Section 205.60 is amended by adding a sentence to paragraph (a)(1); redesignating paragraph (a)(2) as (a)(3) and adding a new paragraph (a)(2) to read as follows:

§ 205.60 Reports and maintenance of records.

(a) *State plan requirements.* * * *

(1) * * *

In addition, records kept under a State's IV–A plan will include the individual's social security number.

(2) Under title IV–A, the State agency will establish and maintain statistical records regarding the effect of the use of wage information received from agencies administering State unemployment compensation laws and from the Social Security Administration. The records will include—

(i) The number and dollar value of case closings per month;

(ii) The number and dollar value of grant reductions per month; and

(iii) The number and dollar value of grant increases per month.

7. Section 206.10 is amended by revising paragraph (a)(5) to read as follows:

§ 206.10 Application, determination of eligibility and furnishing of assistance.

(a) State plan requirements. * * *

(5)(i) Financial assistance and medical care and services included in the plan shall be furnished promptly to eligible individuals without any delay attributable to the agency's administrative process, and shall be continued regularly to all eligible individuals until they are found to be ineligible. Under this requirement there must be arrangements to assist applicants and recipients in obtaining medical care and services in emergency situations on a 24-hour basis, 7 days a week.

(ii) Under title IV–A, assistance will not be denied, delayed or discontinued pending receipt of wage information requested under § 205.56, if other evidence establishes the individual's eligibility for assistance.

* * * * *

[FR Doc. 79–38818 Filed 12–18–79; 8:45 am]

BILLING CODE 4110–07–M

COMMISSION ON CIVIL RIGHTS

45 CFR Parts 701, 702, 703, 704, 705, and 706

Statement of Organization and Functions of the Commission

AGENCY: United States Commission on Civil Rights.

ACTION: Final rule.

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SUMMARY: This rule summarizes the statutory functions of the Commission, states the staff organization of the Commission, informs the public with respect to how information may be obtained from the Commission and establishes rules for employee conduct. Publication of this rule is appropriate in view of statutory amendments and reorganization of the Commission staff.

EFFECTIVE DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Lawrence B. Glick, Solicitor, U.S. Commission on Civil Rights, Washington, D.C. 20425, (202) 254–5633.

SUPPLEMENTARY INFORMATION: Pursuant to 42 U.S.C. 1975a(e) the United States Commission on Civil Rights is required to: separately state and currently publish in the **Federal Register** (1) descriptions of its central and field organization including the established places at which, and methods whereby, the public may secure information or make requests; (2) statements of the general course and method by which its functions are channeled and determined, and (3) rules adopted as authorized by law.

In view of amendments to the Commission's statutory authority by Pub. L. 95–444, of October 10, 1978, recent staff reorganization and the establishment of new regional offices, it is appropriate to amend and republish the Commission's statement of organization, sources from which information is available to the public, functions and relevant rules and regulations.

Since these amendments to the Commission's regulations constitute only an informational statement of the amended Commission jurisdiction and its staff structure and does not directly affect the public, it is deemed unnecessary to provide an opportunity for public participation in the rule-making process.

45 CFR Chapter VII is amended as set forth below:

1. Part 701 is revised to read as follows:

PART 701—ORGANIZATION AND FUNCTIONS OF THE COMMISSION

Subpart A—Operations and Functions

Sec.
701.1 Establishment
701.2 Responsibilities

Subpart B—Organization Statement

Sec.
701.11 Membership of the Commission—Staff Director
701.12 Staff organization
701.13 Regional offices

Authority.—Secs. 101–106, 71 Stat. 634–636, as amended (42 U.S.C. 1975–1975e).

Subpart A—Operations and Functions

§ 701.1 Establishment.

The United States Commission on Civil Rights (hereinafter referred to as the "Commission") is a bipartisan agency of the executive branch of the Government. Established under the Civil Rights Act of 1957, 71 Stat. 634, the Commission derives its authority from that Act and from amendments to it in the Civil Rights Act of 1960, 74 Stat. 86; in the Civil Rights Act of 1964, 78 Stat. 241; by 81 Stat. 582 (1967); by 84 Stat. 1356 (1970); by 86 Stat. 813 (1972); and by the Civil Rights Commission Act of 1978, 92 Stat. 1067. The statutes are codified in 42 U.S.C. 1975–1975e. (Hereinafter the 1957 Act as amended will be referred to as "the Act.")

§ 702.2 Responsibilities.

(a) The Commission's authority under Section 104(a) of the Act may be summarized as follows:

(1) To investigate allegations in writing under oath or affirmation that certain citizens of the United States are being deprived of their right to vote and have that vote counted by reason of color, race, religion, sex, age, handicap, or national origin;

(2) To study and collect information concerning legal developments constituting discrimination or a denial of equal protection of the laws under the Constitution because of race, color, religion, sex, age, handicap or national origin or in the administration of justice;

(3) To appraise the laws and policies of the Federal Government with respect to discrimination or denials of equal protection of the laws under the Constitution because of race, color, religion, sex, age, handicap, or national origin or in the administration of justice;

(4) To serve as a national clearinghouse for information in respect to discrimination or denials of equal protection of the laws because of race, color, religion, sex, age, handicap or national origin;

(5) To investigate sworn allegations that citizens are being accorded or denied the right to vote in Federal elections as a result of patterns or practices of fraud or discrimination.

(b) Under Section 104(c) of the Act the Commission is required to: submit interim reports to the President and to the Congress at such times as the Commission, the Congress, or the President shall deem desirable and submit to the President and the Congress a final report of its activities, findings, and recommendations not later than the last day of fiscal year 1983.

(c) In fulfilling these responsibilities the Commission is authorized by the Act to hold hearings and to issue subpenas for the production of documents and the attendance of witnesses; to consult with governors, attorneys general, other representatives of State and local governments, and private organizations; and is required to establish an advisory committee in each State. The Act also provides that all Federal agencies shall cooperate fully with the Commission so that it may effectively carry out its functions and duties.

Subpart B—Organization Statement

§ 701.11 Membership of the Commission—Staff Director.

(a) The Commission is composed of six members, not more than three of whom may be of the same political party, appointed by the President by and with the advice and consent of the Senate.

(b) The Chairman and Vice Chairman of the Commission are designated by the President, the Vice Chairman acting as Chairman in the absence or disability of the Chairman or in the event of a vacancy in that office.

(c) No vacancy in the Commission affects its powers, and any vacancy is filled in the same manner and is subject to the same limitation with respect to party affiliations as previous appointments.

(d) Four members of the Commission constitute a quorum.

(e) A Staff Director for the Commission is appointed by the President (after consultation with the Commission) by and with the advice and consent of the Senate. The Staff Director is the chief executive officer of the agency.

§ 701.12 Staff Organization.

The organization of the Commission is established as follows:

(a) *Office of the Staff Director.* Under the direction of the Staff Director, this office plans the agency's programs, directs, supervises, and coordinates the work of other offices; reports plans, programs, and activities of the agency to the Commission; manages the administrative affairs of the agency and represents the agency in relations with the Executive Office of the President, the Congress and other Federal agencies. Special units reporting to the Office of the Staff Director are:

(1) *Equal Employment Opportunity Unit.* Under the direction of the Equal Employment Opportunity Officer, this unit is responsible for the agency's EEO and affirmative action programs; advises employees regarding the applicability of Office of Personnel Management and other relevant equal employment opportunity regulations and is responsible for the agency troubled employee program.

(2) *Solicitor's Unit.* Under the direction of the Solicitor, this unit is responsible for administrative law matters, including contracts, openness in government, government ethics and personnel.

(b) *Office of General Counsel.* Under the direction of the General Counsel, this office serves as legal counsel to the Commissioners and to the agency; plans and conducts hearings for the Commission; conducts legal studies; prepares reports of legal studies and hearings; drafts or reviews proposals for legislative and executive action and reviews all agency publications and congressional testimony for legal sufficiency.

(c) *Office of Management.* Under the direction of the Assistant Staff Director for Administration, this office is responsible for all administrative, management and facilitative services necessary for the efficient operation of the agency. Its units, headed by division directors, include the Administrative Services Division, the Budget and Fiscal Division, the Management Analysis Division, the Personnel Division, the Publications Management Division, and the National Clearinghouse Library Division.

(d) *Office of Program Planning and Evaluation.* Under the direction of the Assistant Staff Director for Program Planning and Evaluation, this office is responsible for: coordinating the agency's program planning process; conducting program evaluations to assess the impact of the Commission's projects on problems addressed; and coordinating the monthly program reporting system. Its units, headed by Division Directors, are the Program Development and Planning Division and the Program Evaluation Division.

(e) *Office of Federal Civil Rights Evaluation.* Under the direction of the Assistant Staff Director for Federal Civil Rights Evaluation, this office is responsible for: monitoring, evaluating and reporting on the civil rights enforcement effort of the Federal Government and forwarding complaints alleging denials of civil rights to Federal agencies having appropriate jurisdiction.

(f) *Office of Program and Policy Review.* Under the direction of the Assistant Staff Director for Program and Policy Review, this office is responsible for: planning, conducting or stimulating studies to advance basic knowledge of the extent, causes and consequences of civil rights denials; preparing monographs dealing with subjects which are current national civil rights issues; monitoring civil rights developments; planning and conducting consultations on the civil rights implications of Federal programs and policies and/or current civil rights issues; and providing staff assistance as needed to other offices of the Commission.

(g) *Office of Congressional and Public Affairs.* Under the direction of the Assistant Staff Director for Congressional and Public Affairs, this Office is comprised of three divisions:

(1) The Press and Communications Division is responsible for liaison with and dissemination of information concerning the Commission to the news media and the preparation and dissemination of various periodical publications on civil rights issues.

(2) The Congressional Liaison Division is responsible for responding to requests for information from members of Congress, preparing testimony for presentation before committees of Congress when such testimony has been requested by a committee or a member and assisting members of the Commission and staff in liaison with members of Congress and committees of Congress.

(3) The Community Relations Division organizes, plans and manages conferences at which the Commission receives information regarding civil rights issues; establishes and maintains liaison with government and private civil rights agencies; and represents the Commission at government and private organization conferences and conventions.

(h) *Office of Regional Programs.* Under the direction of the Assistant Staff Director for Regional Programs, this office is responsible for: directing and coordinating the programs and work of the regional offices and State Advisory Committees to the United States Commission on Civil Rights, and maintaining liaison between the regional offices and the various headquarters offices of the Commission.

§ 701.13 Regional offices.

Each regional office of the Commission is directed by a regional director. The address of each office and the States which they serve are as follows:

Region I: U.S. Commision on Civil Rights, 55 Summer Street, 8th Floor, Boston, Massachusetts 02110, FTS (8) 223–4671—(617) 223–4671; Connecticut, Maine, Massachusetts, New Hampshire, Rhode Island, and Vermont.

Region II: U.S. Commission on Civil Rights, 26 Federal Plaza, Room 1639, New York, N.Y. 10007, FTS (8) 264–0400—(212) 264–0543; New Jersey and New York.

Region III: U.S. Commission on Civil Rights, 2120 L Street, N.W., Room 510, Washington, D.C. 20037, FTS (8) 254–6717—(202) 254–6670; Delaware, District of Columbia, Maryland, Pennsylvania, Virginia, and West Virginia.

Region IV: U.S. Commission on Civil Rights, Citizens Trust Bank Building, 75 Piedmont Avenue, N.E., Room 632, Atlanta, Georgia 30303, FTS (8) 242–4391—(404) 221–4344; Alabama, Florida, Georgia, Kentucky, Mississippi, North Carolina, South Carolina, and Tennessee.

Region V: U.S. Commission on Civil Rights, 230 South Dearborn Street, 32nd Floor, Chicago, Illinois 60604, FTS (8) 353–7371—(312) 353–7371; Illinois, Indiana, Michigan, Minnesota, Ohio, and Wisconsin.

Region VI: U.S. Commission on Civil Rights, Heritage Plaza, 418 South Main, San Antonio, Texas 78204, FTS (8) 730–5570—(512) 225–4810; Arkansas, Louisiana, Oklahoma, Texas, and New Mexico.

Region VII: U.S. Commission on Civil Rights, Old Federal Office Building, 911 Walnut Street, Room 3103, Kansas City, Missouri 64106, FTS (8) 758–5253—(816) 374–5253.

Region VIII: U.S. Commission on Civil Rights, Executive Tower Inn, Suite 1700, 1405 Curtis Street, Denver, Colorado 80202, FTS (8) 327–2211—(303) 837–2211; Colorado, Montana, North Dakota, South Dakota, Utah, and Wyoming.

Region IX: U.S. Commission on Civil Rights, 312 North Spring Street, Room 1015, Los Angeles, California 90012, FTS (8) 798–3437—(213) 688–5705; Arizona, California, Hawaii, and Nevada.

Region X: U.S. Commision on Civil Rights, 915 Second Avenue, Room 2852, Seattle, Washington 98174, FTS (8) 399–1426—(206) 442–1246; Alaska, Idaho, Oregon, and Washington.

PART 702—RULES ON HEARINGS, REPORTS AND MEETINGS OF THE COMMISSION

2. Authority: Secs. 101–106, 71 Stat. 634–636, as amended; 42 U.S.C. 1975–1975e, Pub. L. 94–409, 90 Stat. 1241, Pub. L. 94–409.

3. Section 702.1(g) is revised to read as follows:

§ 702.1 Definitions.

* * * * *

(g) "Report" refers to statutory reports or portions thereof issued pursuant to Section 104(c) of the Civil Rights Act of 1957, as amended.

4. Section 702.4 (a) and (f) are revised to read as follows:

§ 702.4 Subpenas.

(a) Subpenas for the attendance and testimony of witnesses or the production of written or other matter may be issued by the Commission over the signature of

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the Chairman and may be served by any person designated by the Chairman.

* * * * *

(f) Subpenas shall be issued at a reasonably sufficient time in advance of their scheduled return, in order to give subpenaed persons an opportunity to prepare for their appearance and to employ counsel, should they so desire.

5. Section 702.6 (b), (c), (d), (e) and (h) are revised to read as follows:

§ 702.6 Executive session.

* * * * *

(b) The Commission shall afford any persons defamed, degraded, or incriminated by such evidence or testimony an opportunity to appear and be heard in executive session, with a reasonable number of additional witnesses requested by them, before deciding to use such evidence or testimony.

* * * * *

(c) If a person receiving notice under this section notifies the Commission within five days of service of such notice, or where service is by mail within eight days of service of such notice, that the time scheduled therein constitutes a hardship, the Commission may, in its discretion, set a new time for such person's appearance at the executive session.

(d) In the event such persons fail to appear at executive session at the time and place made available under paragraph (b) or (c) of this section, they shall not be entitled to another opportunity to appear at executive session, except as provided in § 702.11.

(e) If such persons intend to submit sworn statements of themselves or others, or if they intend that witnesses appear in their behalf at executive session, they shall, no later than 48 hours prior to the time set under paragraph (b) or (c) of this section, submit to the Commission, all such statements and a list of all witnesses. The Commission will inform such persons whether the number of witnesses requested is reasonable within the meaning of paragraph (b) of this section. In addition, the Commission will receive and dispose of requests from such persons to subpena other witnesses. Requests for subpenas shall be made sufficiently in advance of the scheduled executive session as to afford persons subpenaed reasonable notice of their obligation to appear at that session. Subpenas returnable at executive session shall be governed by the provisions of § 702.4.

* * * * *

(h) In the event the Commission determines to release or to use evidence or testimony which it has determined may tend to defame, degrade, or incriminate any persons, in such a manner as to reveal publicly their identity, such evidence or testimony, prior to such public release or use, will be presented at a public session, and the Commission will afford them an opportunity to appear as voluntary witnesses or to file a sworn statement in their own behalf and to submit brief and pertinent sworn statements of others.

6. Section 702.7 (a) and (c) are revised to read as follows:

§ 702.7 Counsel.

(a) Persons compelled to appear in person before the Commission and any witness appearing at a public session of the Commission will be accorded the right to be accompanied and advised by counsel, who will have the right to subject their clients to reasonable examination, and to make objections on the record and to argue briefly the basis for such objections.

* * * * *

(c) Failure of any persons to obtain counsel shall not excuse them from attendance in response to a subpena, nor shall any persons be excused in the event their counsel is excluded from the proceeding pursuant to § 702.5(g). In the latter case, however, such persons shall be afforded a reasonable time to obtain other counsel, said time to be determined by the Commission.

7. Section 702.7 (b) and (c) are revised to read as follows:

§ 702.8 Evidence at Commission proceedings.

* * * * *

(b) Where a witness testifying at a public session of a hearing or a session for return of subpenaed documents offers the sworn statements of other persons, such statements, in the discretion of the Commission, may be included in the record, provided they are received by the Commission within 24 hours in advance of the witness' appearance.

(c) The prepared statement of a witness testifying at a public session of a hearing, in the discretion of the Commission, may be placed into the record, provided that such statement is received by the Commission 24 hours in advance of the witness' appearance.

* * * * *

8. Section 702.9 is revised to read as follows:

§ 702.9 Cross-examination at public session.

If the Commission determines that oral testimony of a witness at a public session tends to defame, degrade, or incriminate any person, such person, or through counsel, shall be permitted to submit questions to the Commission in writing, which, in the discretion of the Commission, may be put to such witness by the Chairman or by authorized Commission staff personnel.

9. Section 702.14 (b) and (c) are revised to read as follows:

§ 702.14 Transcript of Commission proceedings.

* * * * *

(b) Every person who submits data or evidence shall be entitled to retain or, on payment of lawfully prescribed costs, procure a copy or transcript thereof, except that witnesses in a hearing held in executive session may for good cause be limited to inspection of the official transcript of their testimony. Transcript copies of public sessions may be obtained by the public upon the payment of the cost thereof.

(c) Persons who have presented testimony at a proceeding may ask within 60 days after the close of the proceeding to correct errors in the transcript of their testimony. Such requests shall be granted only to make the transcript conform to their testimony as presented at the proceeding.

10. Section 702.16 is revised to read as follows:

§ 702.16 Attendance of news media at public sessions.

Reasonable access for coverage of public sessions shall be provided to the various communications media, including newspapers, magazines, radio, newsreels, and television, subject to the physical limitations of the room in which the session is held and consideration of the physical comfort of Commission members, staff, and witnesses. However, no witnesses shall be televised, filmed, or photographed during the session nor shall the testimony of any witness be broadcast or recorded for broadcasting, if the witness objects.

11. Section 702.17 is revised to read as follows:

§ 702.17 Communications with respect to Commission proceedings.

During any proceeding held outside Washington, D.C., communications to the Commission with respect to such proceeding must be made to the Chairman or authorized Commission staff personnel in attendance. All requests for subpenas returnable at a hearing, requests for appearance of witnesses at a hearing, and statements or other documents for inclusion in the record of a proceeding, required to be submitted in advance, must be submitted to the Chairman, or such authorized person as the Chairman may appoint, at an office located in the community where such hearing or proceeding is scheduled to be held. The location of such office will be set forth in all subpenas issued under the rules in this part and in all notices prepared pursuant to § 706.2.

12. Section 702.18 (a)(1) and (a)(3) are revised to read as follows:

§ 702.18 Commission reports.

(a) * * *

(1) Such person shall be served with a copy of the report or relevant portions thereof, with an indication of the section(s) that the Commission has determined tend to defame, degrade, or incriminate such person, a copy of the Act and a copy of the regulations in this part.

* * * * *

(3) The date of sevice for the purposes of this section shall be the day the material is delivered either by the post office or otherwise, to such person or the agent of such person or at the last known residence or business address of such person. The acknowledgement of the party served, or the verified return of the one making service shall be proof of service except that when service is made by certified mail, the return post office receipt may also constitute proof of same.

§§ 702.51, 702.54 and 702.56 [Amended]

13. Sections 702.51, 702.54 and 702.56 are amended by substituting the word *Solicitor* for the words General Counsel.

PART 703—OPERATION AND FUNCTIONS OF STATE ADVISORY COMMITTEES

14. Authority: Sec. 105(c) of the Civil Rights Act of 1957, 71 Stat. 634, as amended.

15. Section 703.1 is revised to read as follows:

§§ 703.1 Name and establishment.

Pursuant to Section 105(c) of the Act, the Commission has chartered and maintains Advisory Committees to the Commission in each State and the District of Columbia. All relevant provisions of the Federal Advisory Committee Act of 1972 (Pub. L. 92–463 as amended) are applicable to the management, membership and operations of such committees and subcommittees thereof.

16. Section 703.2 paragraphs (a) and (b) are revised as follows:

§ 703.2 Functions.

* * * * *

(a) Advise the Commission in writing of any knowledge or information it has of any alleged deprivation of the right to vote and to have the vote counted, by reason of color, race, religion, sex, age, handicap or national origin, or that citizens are being accorded or denied the right to vote in Federal elections as a result of patterns or practices of fraud or discrimination;

(b) Advise the Commission concerning legal developments constituting discrimination or a denial of equal protection of the laws under the Constitution, and the effect of the laws and policies of the Federal Government with respect to equal protection of the laws;

* * * * *

17. Sections 703.4 through 703.9 are revised to read as follows:

§ 703.4 Advisory Committee Management Officer.

(a) The Assistant Staff Director for the Office of Regional Programs is designated as Advisory Committee Management Officer pursuant to the requirements of the Federal Advisory Committee Act of 1972, (Pub. L. 92–463).

(b) Such officer shall carry out the functions specified in Section 8(b) of the Federal Advisory Committee Act.

(c) Such officer shall with respect to each State Advisory Committee, appoint an employee, subject to the supervision of the Regional Director of the Commission having responsibility for the State within which said Committee has been chartered, to provide services to the Committee and to be responsible for supervising the activity of the Committee pursuant to Section 10 of the Federal Advisory Committe Act.

§ 703.5 Membership.

(a) Subject to exceptions made from time to time by the Commission to fit special circumstances, each State Committee shall consist of at least 11 members appointed by the Commission. Members of the State Committee shall serve for a fixed term to be set by the Commission upon the appointment of a member subject to the duration of Advisory Committees as prescribed by the charter, provided that members of the State Committee may, at any time, be removed by the Commission.

(b) Membership on the Advisory Committee shall be reflective of the different ethnic, racial, and religious communities within each State and the membership shall also be representative with respect to sex, political affiliation, age and handicap status.

§ 703.6 Officers.

(a) The officers of each State Advisory Committee shall be a Chairperson, Vice Chairperson and such other officers as may be deemed advisable.

(b) The Chairperson shall be appointed by the Commission.

(c) The Vice Chairperson and other officers shall be elected by the majority vote of the full membership of the Committee.

(d) The Chairperson, or in his/her absence the Vice Chairperson, under the direction of the Commission staff member appointed pursuant to 703.4(b), shall:

(1) Call meetings of the Committee;

(2) Preside over meetings of the Committee;

(3) Appoint all subcommittees of the Committee;

(4) Certify for accuracy the minutes of Committee meetings prepared by the assigned Commission staff member; and

(5) Perform such other functions as the Committee may authorize or the Commission may request.

§ 703.7 Subcommittees—Special Assignments.

Subject to the approval of the designated Commission employee, a State Advisory Committee may:

(a) Establish subcommittees, composed of members of the Committee to study and report upon matters under consideration, and it may authorize such subcommittees to take specific action within the competence of the Committee; and

(b) Designate individual members of the Committee to perform special projects involving research or study on matters under consideration by the Committee.

§ 703.8 Meetings.

(a) Meetings of a Committee shall be convened by the designated Commission employee, or, subject to his/her approval, by the Chairperson, or by a majority of the Committee members. The agenda for such Committee or subcommittee meeting shall be approved by the designated Commission employee.

(b) A quorum shall consist of one-half or more of the members of the Committee, or five members, whichever is the lesser, except that with respect to the conduct of factfinding meetings as authorized in paragraph (e) of this section, a quorum shall consist of three members.

(c) Notice of all meetings of a Committee shall be given to the public.

(1) Notice shall be published in the **Federal Register** at least 15 days prior to

the meetings, provided that in emergencies, such requirement may be waived.

(2) Notice of meetings shall be provided to the public by press releases and other appropriate means.

(3) Each notice shall contain a statement of the purpose of the meeting, a summary of the agenda, and the time, place, and location of such meeting.

(d) Except as provided for in paragraph (d)(1) of this section, all meetings of committees or subcommittees shall be open to the public.

(1) The Assistant Staff Director for Regional Programs may authorize a committee or subcommittee to hold a meeting closed to the public if he/she determines that the closing of such meeting is in the public interest provided that: prior to authorizing the holding of a closed meeting the Assistant Staff Director will have requested and received the opinion of the Solicitor of the Commission with respect to whether the meeting may be closed under one or more of the exemptions provided in the Government in the Sunshine Act, 5 U.S.C. 552b(c).

(2) In the event that any meeting or portion thereof is closed to the public, the Committee shall publish, at least annually, in summary form a report of the activities conducted in meetings not open to the public.

(e) Advisory Committees and subcommittees may hold factfinding meetings for the purpose of inviting the attendance of and soliciting information and views from government officials and private persons respecting subject matters within the jurisdiction of the Committee or subcommittee.

(f) Any person may submit a written statement at any business or factfinding meeting of a Committee or subcommittee.

(g) At the discretion of the designated Commission employee or his/her designee, any person may make an oral presentation at any business or factfinding meeting, provided that such presentation will not defame, degrade or incriminate any other person as is prohibited by the Act.

§ 703.9 Reimbursement of members.

(a) Advisory Committee members may be reimbursed by the Commission by a per diem subsistence allowance and for travel expenses at rates not to exceed those prescribed by Congress for Government employees, for the following activities only:

(1) Attendance at meetings, as provided for in § 703.8; and

(2) Any activity specifically requested and authorized by the Commission to be reimbursed.

(b) Members will be reimbursed for the expense of travel by private automobile on a mileage basis only to the extent such expense is no more than that of suitable public transportation for the same trip, unless special circumstances justify the additional expense of travel by private automobile.

PART 704—INFORMATION DISCLOSURE AND COMMUNICATIONS

18. Authority: Secs. 101–106, 71 Stat. 634–636 as amended (42 U.S.C. 1975–1975e) 5 U.S.C. 552.

§ 704.1 [Amended]

19. Section 704.1 is amended by substituting the words Solicitor, Solicitor's and Solicitor's Unit for the words General Counsel, General Counsel's Office and Office of General Counsel.

§ 704.2 [Amended]

20. Section 704.2 is amended by substituting the words Office of Federal Civil Rights Evaluation for the words Office of General Counsel.

21. Section 704.3 is revised to read as follows:

§ 704.3 Other requests and communications.

Requests for information should be addressed to Press and Communications Division and requests for Commission literature should be directed to Publications Management Division, U.S. Commission on Civil Rights, Washington, D.C. 20425. Communications with respect to Commission proceedings should be made pursuant to § 702.17 of this chapter. All other communications should be directed to Office of Staff Director, U.S. Commission on Civil Rights, Washington, D.C. 20425.

PARTS 705 AND 706—[REDESIGNATED]

22. Part 706—*Materials Available Pursuant to 5 U.S.C. 552a* is redesignated as Part 705 and Part 705 *Employee Responsibilities and Conduct* is redesignated as Part 706.

PART 705—MATERIALS AVAILABLE PURSUANT TO 5 U.S.C. 552a

23. Authority: Secs. 101–106, 71 Stat. 634–636 as amended (42 U.S.C. 1975–1975c) 5 U.S.C. 552a.

24. Section numbers of former Part 705 are redesignated as § 705.1 through 705.13 and 705.95.

25. Part 705 is amended by substituting the word Solicitor for the words General Counsel and by revising § 705.4(b) to read as follows:

§ 705.4 Times, places and requirements for identification of individuals making requests and identification of records requested.

* * * * *

(b) An individual making a request to the Solicitor in person may do so at the Commission's headquarters office, 1121 Vermont Avenue, N.W., Washington, D.C. 20425, on any business day during business hours. Persons may also appear for purposes of identification only, at any of the regional offices of the Commission on any business day during business hours. Regional offices are located as follows:

Region I: U.S. Commission on Civil Rights, 55 Summer Street, 8th Floor, Boston, Massachusetts 02110, (617) 223–4671 (8:45 a.m.–5:30 p.m.)

Region II: U.S. Commission on Civil Rights, 26 Federal Plaza, Room 1639, New York, N.Y. 10007, (212) 264–0543 (9:00 a.m.–5:30 p.m.)

Region III: U.S. Commission on Civil Rights, 2120 L Street, N.W., Room 510, Washington, D.C. 20037, (202) 254–6670 (8:45 a.m.–5:30 p.m.)

Region IV: U.S. Commission on Civil Rights, Citizens Trust Bank Building, 75 Piedmont Avenue, N.E., Atlanta, Georgia 30303, (404) 221–4344 (9:00 a.m.–5:30 p.m.)

Region V: U.S. Commission on Civil Rights, 230 South Dearborn Street, 32nd Floor, Chicago, Illinois 60604, (312) 353–7371 (8:45 a.m.–5:30 p.m.)

Region VI: U.S. Commission on Civil Rights, Heritage Plaza, 418 South Main, First Floor, San Antonio, Texas 78204, (512) 225–4810 (8:45 a.m.–5:30 p.m.)

Region VII: U.S. Commission on Civil Rights, 911 Walnut Street, Kansas City, Missouri 64106, (816) 374–5253 (8:00 a.m.–5:30 p.m.)

Region IX: U.S. Commission on Civil Rights, 312 North Spring Street, Room 1015, Los Angeles, California 90012, (213) 688–5705 (8:45 a.m.–5:00 p.m.)

Region X: U.S. Commission on Civil Rights, Federal Building, 915 Second Avenue, Room 2852, Seattle, Washington 98174, (206) 442–1246 (8:00 a.m.–5:00 p.m.)

26. Part 706 is revised to read as follows:

PART 706—EMPLOYEE RESPONSIBILITIES AND CONDUCT

Subpart A—General Provisions

Sec.
706.1 Adoption of regulations.
706.2 Purpose.
706.3 Definitions.
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706.5 Counseling.
706.6 Disciplinary and other remedial action.
706.7 Outside employment and other activity.
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Subpart B—Ethical and Other Conduct and Responsibilities of Employees

706.9 Proscribed actions.
706.10 Gifts, entertainment and favors.
706.11 Proscribed outside employment and other activities.
706.12 Financial interests.
706.13 Use of Government property.
706.14 Misuse of information.
706.15 Indebtedness.
706.16 Gambling, betting and lotteries.
706.17 General conduct prejudicial to the Government.
706.18 Miscellaneous statutory provisions.

Subpart C—Financial Reporting Requirements

706.19 Statements of financial and property interests and outside employment.
706.20 Time and place for filing reports.
706.21 Exclusion of certain positions from reporting requirements.
706.22 Information required to be reported—reporting forms.
706.23 Review of reports.
706.24 Public access to financial disclosure reports.

Authority: Sections 101–106, 71 Stat. 634–636 as amended (42 U.S.C. 1975–1975e) Pub. L. 95–521 as amended, 5 CFR 735.

Subpart A—General Provisions

706.1 Adoption of regulations.

Pursuant to 5 CFR 735.104(f) and 735.502, the U.S. Commission on Civil Rights (hereinafter referred to as the Commission) hereby adopts, with appropriate modifications, relevant sections of Part 735 of Title 5 of the Code of Federal Regulations as renumbered and set forth below.

706.2 Purpose.

The maintenance of unusually high standards of honesty, integrity, impartiality, and conduct by Government employees and special Government employees is essential to assure the proper performance of the Government's business and the maintenance of confidence by citizens in their Government. The avoidance of misconduct and conflicts of interest on the part of Government employees and special Government employees through informed judgment is indispensable to the maintenance of these standards. To accord with these concepts, this part sets forth the United States Commission on Civil Rights' regulations covering the agency's employees and special Government employees, prescribing standards of conduct and responsibilities, and governing statements reporting employment and financial interests.

§ 706.3 Definitions.

In this part:

"Commission" means the United States Commission on Civil Rights, an Executive agency as defined by Section 105 of Title 5, United States Code.

"Employee" means an officer or employee of the Commission including a special Government employee, as defined in 18 U.S.C. 202.

"Executive order" means Executive Order 11222 of May 8, 1965.

"Person" means an individual, a corporation, a company, an association, a firm, a partnership, a society, a joint stock company, or any other organization or institution.

§ 706.4 Distribution.

(a) Within 90 days after publication of these regulations in the Federal Register the Commission shall furnish each employee with a copy of the regulations.

(b) The Commission shall furnish all new employees with a copy of the regulations at the time of their entrance on duty.

(c) The Commission shall bring the regulations to the attention of each employee annually, and at such other times as circumstances warrant.

(d) The Commission shall have available for review by employees copies of relevant laws, the Executive order, and pertinent Commission instructions relating to ethical and other standards of conduct.

§ 706.5 Counseling.

The Solicitor of the Commission shall serve as the agency's ethical conduct counselor and is the designated agency official for the purposes of the Ethics in Government Act of 1978, Pub. L. 95–521. The Solicitor shall respond to requests by employees and special Government employees for advice and guidance respecting questions of ethical conduct, conflicts of interest, reporting of financial interests and other matters of law covered by these regulations.

§ 706.6 Disciplinary and other remedial action.

An employee of the Commission who violates any of the regulations in this part may be disciplined. The disciplinary action may be in addition to any penalty prescribed by law for the violation. In addition to or in lieu of disciplinary action, remedial action to end conflicts or appearance of conflicts of interests may include but is not limited to:

(a) Changes in assigned duties;

(b) Divestment by an employee of any conflicting interest; or

(c) Disqualification for a particular assignment.

§ 706.7 Outside employment and other activity.

Employees of the Commission may engage in outside employment or other outside activity not incompatible with the full and proper discharge of the duties and responsibilities of their Government employment. Employees who wish to engage in outside employment shall first obtain the approval, in writing, of their supervisor.

§ 706.8 Prohibition against disclosure of evidence.

All employees of the Commission are subject to the prohibition on disclosure of evidence taken in executive session contained in Section 102(g) of the Civil Rights Act of 1957, 71 Stat. 634, as amended.

Subpart B—Ethical and Other Conduct and Responsibilities of Employees

§ 706.9 Proscribed actions.

An employee shall avoid any action, whether or not specifically prohibited by this subpart, which might result in, or create the appearance of:

(a) Using public office for private gain;

(b) Giving preferential treatment to any person;

(c) Impeding Commission efficiency or economy;

(d) Making a Commission decision outside official channels;

(e) Losing complete independence or impartiality; or

(f) Affecting adversely the confidence of the public in the integrity of the Commission.

§ 706.10 Gifts, entertainment and favors.

(a) Except as provided in paragraphs (b) and (e) of this section, an employee shall not solicit or accept, directly or indirectly, any gift, gratuity, favor, entertainment, loan, or any other thing of monetary value from a person who:

(1) Has, or is seeking to obtain, contractural or other business or financial relations with the Commission;

(2) Conducts operations or activities that are regulated by the Commission; or

(3) Has interests that may be substantially affected by the performance or nonperformance of the employee's official duty.

(b) Exceptions from the prohibitions contained in (a) of this section are as follows:

(1) Gifts, entertainment and favors which derive from family or personal relationships (such as those between parents, children, or spouse of the employee and the employee) when the circumstances make it clear that it is those relationships rather than the business of the persons concerned which are the motivating factors;

(2) Acceptance of food and refreshments of nominal value on infrequent occasions in the ordinary course of a luncheon or dinner meeting or other meeting or on an inspection tour where an employee may properly be in attendance;

(3) Aceptance of loans from banks or other financial institutions on customary terms to finance proper and usual activities of employees, such as home mortgage loans; and

(4) Acceptance of unsolicited advertising or promotional material, such as pens, pencils, note pads, calendars, and other items of nominal intrinsic value.

(c) Employees shall not solicit a contribution from another employee for a gift to an official superior, make a donation as a gift to an official superior, or accept a gift from an employee receiving less pay than themselves. This paragraph, however, does not prohibit a voluntary gift of nominal value or donation in a nominal amount made on a special occasion such as marriage, illness, or retirement.

(d) An employee shall not accept a gift, present, decoration, or other thing from a foreign government unless authorized by Congress as provided by the Constitution and 5 U.S.C. 7342.

(e) Neither this section nor § 706.11 precludes an employee from receipt of bona fide reimbursement, unless prohibited by law, for expenses of travel and such other necessary subsistence as is compatible with this part, for which no Government payment or reimbursement is made. This paragraph, however, does not allow employees to be reimbursed, or payment to be made on their behalf, for excessive personal living expenses, gifts, entertainment or other personal benefits.

§ 706.11 Proscribed outside employment and other activities.

(a) An employee shall not engage in outside employment or other outside activity not compatible with the full and proper discharge of the duties and responsibilities of Government employment. Incompatible activities include but are not limited to:

(1) Acceptance of a fee, compensation, gift, payment of expense, or any other thing of monetary value in circumstances in which acceptance may result in, or create the appearance of conflicts of interest; or

(2) Outside employment which tends to impair mental or physical capacity to perform Governmental duties and responsibilities in an acceptable manner.

(b) An employee shall not receive any salary or anything of monetary value from a private source as compensation for service to the Government as prohibited by 18 U.S.C. 209.

(c) Employees are encouraged to engage in teaching, lecturing, and writing that is not prohibited by law, the Executive order, or Commission regulations. An employee shall not, either for or without compensation, engage in teaching, lecturing, or writing, including teaching, lecturing, or writing for the purpose of the special preparation of a person or class of persons for an examination of the Office of Personnel Management or Board of Examiners for the Foreign Service, that depends on information obtained as a result of Government employment, except when that information has been made available to the general public or will be made available on request, or when the agency head gives written authorization for use of nonpublic information on the basis that the use is in the public interest. In addition, an employee who is a Presidential appointee covered by Section 401(a) of the order shall not receive compensation or anything of monetary value for any consultation, lecture, discussion, writing, or appearance the subject matter of which is devoted substantially to the responsibilities, programs, or operations of the Commission or which draws substantially on official data or ideas which have not become part of the body of public information.

(d) This section does not preclude an employee from:

(1) Participation in the activities of national or State political parties not proscribed by law;

(2) Participation in the affairs of or acceptance of an award for a meritorious public contribution or achievement given by a charitable, religious, professional, social, fraternal, nonprofit educational and recreational public service, or civic organization; or

(3) Outside employment permitted under these regulations.

§ 706.12 Financial interests.

(a) Employees shall not:

(1) Have a direct or indirect financial interest that conflicts substantially, or appears to conflict substantially, with their Government duties and responsibilities; or

(2) Engage in, directly or indirectly, a financial transaction as a result of, or primarily relying on, information obtained through their Government employment.

(b) This section does not preclude an employee from having a financial interest or engaging in financial transactions to the same extent as a private citizen not employed by the Government, so long as it is not prohibited by law, the Executive order, or Commission regulations.

§ 706.13 Use of Government property.

Employees shall not directly or indirectly use, or allow the use of, Government property of any kind, including property leased to the Government, for other than officially approved activities. Employees have a positive duty to protect and conserve Government property, including equipment, supplies, and other property entrusted or issued them.

§ 706.14 Misuse of information.

For the purpose of furthering a private interest, employees shall not directly or indirectly use, or allow the use of, official information obtained through or in connection with their Government employment, which has not been made available to the general public.

§ 706.15 Indebtedness.

An employee shall pay each just financial obligation in a proper and timely manner, especially one imposed by law such as Federal, State, or local taxes. For the purpose of this section, a "just financial obligation" means one acknowledged by the employee or reduced to judgment by a court, and "in a proper and timely manner" means in a manner which the agency determines does not, under the circumstances, reflect adversely on the Government as the employer. In the event of dispute between an employee and an alleged creditor, this section does not require the Commission to determine the validity or amount of the disputed debt.

§ 706.16 Gambling, betting and lotteries.

Employees shall not participate while on Government-owned or leased property or while on duty for the Government, in any gambling activity including the operation of a gambling device, in conducting a lottery or pool, in a game for money or property, or in selling or purchasing a numbers slip or ticket.

§ 706.17 General conduct prejudicial to the Government.

Employees shall not engage in criminal, infamous, dishonest, immoral, or notoriously disgraceful conduct, or other conduct prejudicial to the Government.

§ 706.18 Miscellaneous statutory provisions.

Employees shall acquaint themselves with each statute that relates to their ethical and other conduct as an employee of the Commission and of the Government. The attention of

Commission employees is directed to the following statutory provisions:

(a) House Concurrent Resolution 175, 85th Congress, 2d session, 72 Stat. B12, the "Code of Ethics for Government Service";

(b) Chapter II of Title 18, United States Code, relating to bribery, graft, and conflicts of interest, as appropriate to the employees concerned;

(c) The prohibition against lobbying with appropriated funds (18 U.S.C. 1913);

(d) The prohibitions against disloyalty and striking (5 U.S.C. 73811; 18 U.S.C. 1918);

(e) The prohibition against the employment of a member of a Communist organization (50 U.S.C. 784);

(f) The prohibitions against the disclosure of classified information (18 U.S.C. 798; 50 U.S.C. 1905);

(g) The provision relating to the habitual use of intoxicants to excess (5 U.S.C. 7352);

(h) The prohibition against the misuse of a Government vehicle (31 U.S.C. 638a(c));

(i) The prohibition against the misuse of the franking privilege (18 U.S.C. 1719);

(j) The prohibition against the use of deceit in an examination or personnel action in connection with Government employment (18 U.S.C. 1917);

(k) The prohibition against fraud or false statements in a Government matter (18 U.S.C. 1001);

(l) The prohibition against mutilating or destroying a public record (18 U.S.C. 2071);

(m) The prohibition against counterfeiting and forging transportation requests (18 U.S.C. 508);

(n) The prohibitions against (1) embezzlement of Government money or property (18 U.S.C. 641); (2) failing to account for public money (18 U.S.C. 643); and (3) embezzlement of the money or property of another person in the possession of the employee by reason of his/her employment (18 U.S.C. 654);

(o) The prohibition against unauthorized use of documents relating to claims from or by the Government (18 U.S.C. 285);

(p) The prohibitions against political activities in subchapter III of chapter 73 of Title 5, United States Code and 18 U.S.C. 602, 603, 607, and 608;

(q) The prohibition against an employee acting as the agent of a foreign principal registered under the Foreign Agent Registration Act (18 U.S.C. 219).

Subpart C—Financial Reporting Requirements

§ 706.19 Statements of financial and property interests and outside employment.

Pursuant to the Ethics in Government Act of 1978 (Pub. L. 95–521, referred to hereinafter in this Subpart as "the Act"), the following officers and employees of the Commission are required to file annual reports of financial and property interests and outside employment if they have served 61 days or more in their positions during the preceding calendar year:

(a) Officers and employees (including special government employees, as defined in 18 U.S.C. 202) whose positions are classified at GS–16 or above of the General Schedule, or whose basic rate of pay (excluding "step" increases) under other pay schedules is equal to or greater than the rate for GS–16 (step 1);

(b) Employees in the excepted service in positions which are of a confidential or policy-making character, unless their positions have been excluded by the Director of the Office of Government Ethics; and

(c) Each designated agency ethics official.

§ 706.20 Time and place for filing of reports.

(a) Annual reports are to be filed no later than May 15 of each calendar year, except that persons assuming a position for which reports are required who have not immediately prior to this assumption occupied a covered position in another agency, must file a report within 30 days after assuming the position at the Commission. In the event an individual terminates employment with the Commission and does not accept another position for which reporting is required, the report must be filed no later than the 30th day after termination, covering:

(1) The preceding calendar year if the annual May 15 report has not been filed; and

(2) The portion of the present calendar year up to the date of termination.

(b) Reports shall be filed with the designated ethics officer (Solicitor) of the Commission. The reports of the designated ethics officer and nominees to and holders of positions which require confirmation by the Senate shall be transmitted by the Solicitor to the Office of Government Ethics of the Office of Personnel Management.

§ 706.21 Exclusion of certain positions from reporting requirements.

(a) Under Section 201(f)(5) of the Act, a report is required of any person in the executive branch in a position excepted from the competitive service by reason of being of a confidential or policymaker character. An exemption is available, as provided below, for a person in any such position classified below GS–16 (or the rate of basic pay for which is less than the minimum rate of basic pay fixed for GS–16) who has no role in advising or making policy determinations with respect to agency programs or policies. Such persons may include chauffeurs, private secretaries, stenographers and those who hold positions of similar nature, consistent with the basic criterion set forth in the preceding sentence.

(b) The exclusion of any position will be effective as of the time the Commission files with the Office of Government Ethics a list and description of each position for which exclusion is sought, and the identity of its current occupant. Such a list must be filed with the Office of Government Ethics on or before the date on which such reports are due under the Act.

(c) In the event that the Office of Government Ethics finds that one or more positions have been improperly excluded, it will so advise the Commission and set a date for the filing of the report.

§ 706.22 Information required to be reported—reporting forms.

Information required to be reported by the Act shall be set forth in the manner specified in, and in accordance with the instructions contained in, Standard Forms issued by the Office of Personnel Management, to be used as follows:

(a) Standard Form 278—for use by an officer or employee filing (1) an annual report pursuant to Section 201(d) of the Act, or (2) a departure report upon termination of employment, pursuant to Section 201(e) of the Act;

(b) Standard Form 278A—for use by (1) an individual assuming a position for which reporting is required pursuant to Section 201(a) of the Act; or (2) an individual whose nomination has been transmitted by the President to the Senate, pursuant to Section 201(b) of the Act.

§ 706.23 Review of reports.

(a) Financial reports are reviewed by the Commission's designated Ethics official or the Director of the Office of Government Ethics, as appropriate. Reports are to be reviewed within 60 days after the date of their filing or transmittal to the Office of Government Ethics.

(b) After reviewing a report, the reviewing official is required to:

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reporting individual is in compliance with applicable laws and regulations and to sign the report;

(2) Notify the reporting individual that additional information is required to be submitted and the time by which it must be submitted; or

(3) Notify the reporting individual that the report indicates noncompliance and afford the individual a reasonable opportunity for a written or oral response after which the reviewing official reaches an opinion whether the individual is in compliance.

(c) If the reviewing official determines that the reporting individual is not in compliance with applicable laws and regulations, the reviewing official will notify the individual of that opinion, and after an opportunity for personal consultation, notify the individual of the steps which should be taken to assure compliance and the date by which such steps should be taken.

(d) The use of any steps to bring the individual in compliance are to be in accordance with regulations issued by the Director of the Office of Government Ethics.

(e) To assist employees in avoiding situations in which they would not be in compliance with applicable laws and regulations, the designated Commission ethics official is to maintain a list of those circumstances or situations which have resulted or may result in noncompliance and the lists are to be periodically published and furnished to individuals required to file reports under this Act.

§ 706.24 Public access to financial disclosure reports.

(a) Pursuant to Section 205(b) of the Act, each report will be made available for public inspection within 15 days after the report is received by the agency, whether or not the review of the report prescribed by Section 206 of the Act has been completed.

(b) Pursuant to Section 205(b) of the Act, as amended by Pub. L. 96-19, the following rules are applicable to public access to financial reports:

(1) A financial disclosure report may not be made available to any person nor may a copy thereof be provided to any person except upon written application by such person stating:

(i) That person's name, occupation, and address;

(ii) The name and address of any other person or organization on whose behalf the inspection or copy is requested; and

(iii) That such person is aware that it is unlawful to obtain or use a report:

(A) For any unlawful purpose;

(B) For any commercial purpose, other media for dissemination to the general public;

(C) For determining or establishing the credit rating of any individual; or

(D) For use, directly or indirectly, in the solicitation of money for any political, charitable, or other purpose. Any application for a report shall be available to the public during the period in which the requested report is available to the public.

(c) Requests for copies of financial disclosure reports of officers appointed by the President by and with the advice and consent of the Senate, as well as nominees to such offices and designated Commission ethics officials, may be directed to the Director of the Office of Government Ethics.

(d) To gain access to or to obtain a copy of a report filed with the Commission, an individual should appear in person at the office of the Solicitor of the Commission, 1121 Vermont Avenue, N.W., Washington, D.C. 20425, during the hours 8:30 A.M. to 4:30 P.M., and complete an application form. Requests by mail should contain the information described in paragraph (b) of this section, together with the signature of the requester. Requests which do not contain the required information will be returned. Notice of the statutory prohibitions on use will be attached to copies of reports provided in response to a request otherwise properly filled out.

Dated: December 12, 1979.

Louis Nunez,
Staff Director.

[FR Doc. 79-38866 Filed 12-18-79; 8:45 am]
BILLING CODE 6335-01-M

FEDERAL COMMUNICATIONS COMMISSION

47 CFR Parts 63-64

[CC Docket No. 78-219; FCC 79-775]

Revising the Processing Policies for Waivers of the Telephone Company—Cable Television "Cross Ownership Rules"

AGENCY: Federal Communications Commission.

ACTION: Report and Order.

SUMMARY: In 1970, the FCC established rules which preclude the provision of the programming portion of cable television service by telephone companies within their service area. The rules do not restrict the provision of facilities by telephone companies for cable system operation. In this document, waiver of the rules is provided for in areas in which "CATV service demonstrably system related to (or affiliated with) the local telephone common carrier, or upon other showing of good cause * * *" The Commission's action creates a rebuttable presumption that in areas of less than thirty homes per mile density, cable system operation could not exist except through relation to or affiliation with the local telephone common carrier. This presumption may be rebutted by the present intention of an independent entrepreneur to construct a cable system, indicated by the filing of an "Opposition" to the waiver petition.

EFFECTIVE DATE: January 14, 1980.

ADDRESSES: Federal Communications Commission, 1919 M Street, NW., Washington, D.C. 20554.

FOR FURTHER INFORMATION CONTACT:
Ted Waddell, Common Carrier Bureau (202) 632-6920.

SUPPLEMENTARY INFORMATION:

Report and Order

Adopted: November 29, 1979.
Released: December 11, 1979.

By the Commission:

Chairman Ferris issuing a separate statement; Commissioner Brown concurring and issuing a statement in which Chairman Ferris joins; Commissioner Jones concurring in the result.

In the matter of revision of the processing policies for waivers of the Telephone Company—Cable Television "Cross Ownership Rules," §§ 63.54 and 64.601 of the Commission's Rules and Regulations, CC Docket No. 78-219; In re petition of National Telephone Cooperative Association, for a general waiver in rural areas of the Telephone Company—Cable Television Cross-Ownership Rules, §§ 63.54 and 64.601 of the Commission's rules and regulations, File No. W-6-2-58.

1. The Commission instituted its telephone-cable cross-ownership rules (47 CFR 63.53, 63.54, 63.55, 63.56, 63.57, 64.601, 64.602) following a series of proceedings in which we found that telephone companies denied cable systems access to utility poles necessary for cable distribution, or provided access on discriminatory terms.[1] Commencing in 1966, the Commission acted to redress the competitive imbalance.[2] We required telephone companies offering facilities for cable service to seek approval under Section 214 of the Act, and to file tariffs with us for provision of facilities.[3] We began a proceeding to assess the reasonableness of pole rental rates charged to cable systems.[4] We investigated specific allegations of discriminatory conduct, and found certain of the telephone companies' conduct unjust and unreasonable.[5] Finally, we affected a structural mitigation of the perceived unreasonable conduct by excluding telephone companies from the provision of the over-the-air broadcast signal portion of cable service in their service area.[6] Our action in no way limited telephone company provision of facilities for cable service, or the offering directly to consumers of non-broadcast services. In addition, we explicitly provided for waiver of the restriction against telephone company provision of the non-facilities portion of cable television service in areas in which independent cable system operation "demonstrably could not exist." It was our view that in these areas, in which competition was unlikely, rules premised upon potential adverse effects on competition were inappropriate.

2. The telephone-cable cross-ownership rules generally prohibit telephone common carriers from furnishing directly, or through a subsidiary, the non-facilities portion of cable television system operation to the viewing public within their service areas.[7] Sections 63.55 and 64.602 provide for waiver of this prohibition "in those communities where CATV service demonstrably could not exist except through a CATV system related to (or affiliated with) the local telephone common carrier, or upon other showing of good cause * * *"

3. This proceeding originated in a 1976 request by the National Telephone Cooperative Association (NTCA) for a "general waiver" of these rules. NTCA contended that the substantial costs associated with the waiver procedure, in conjunction with the uncertainty of its outcome, deterred legitimate waiver applications. Pursuant to the petition, on August 15, 1978, the Commission issued a *Clarification and Notice of Proposed Rulemaking*[8] in which we announced a list of standard waiver showings which could be submitted simultaneously with a telephone company's Section 214 application. Acting consistently with the community-by-community waiver approach, the Commission rejected various waiver eligibility restrictions and declared that waivers were appropriate where independent operation was generally infeasible, and that general infeasibility could be best ascertained by the population density criterion.

4. Finally, the Commission initiated this rulemaking proceeding to establish a presumption of infeasibility. This presumption would be predicated on a population density figure which was to be set at a level at or below which independent operation of a cable system was shown to be highly unlikely. Because at or below this population density level, barring rebuttal of the presumption, independent operation was unlikely, it was thought unnecessary to address competitive issues.

The Comments Received

5. Thirteen parties filed formal pleadings: Two government agencies—National Telecommunications and Information Administration (NTIA) and the Rural Electrification Administration (REA); two cable television trade associations—Community Antenna Television Association (CATA) and National Cable Television Association (NCTA); three telephone trade associations—Organization for the Protection and Advancement of Small Telephone Companies (OPASCO), National Telephone Cooperative Association (NTCA), and United States Independent Telephone Association (USITA); two cable television companies—EMCO CATV, Inc. (Emco) and Teleprompter Corporation (Teleprompter); three telephone-related companies—Continental Telephone Corporation (Continental), GTE Service Corporation (GTE), and Telephone & Data Systems, Inc. (TDS); and one manufacturer, the 3M Company (3M). Informal comments on the subject of this proceeding were received from the Lake Mills Telephone Co. (letter dated November 27, 1978); and the Hampden Telephone Co. (letter dated January 15, 1979). The comments essentially differed on the need for our proposal, the choice of an appropriate level of population density and the manner of its implementation. Comments on these major issues are summarized below.[9]

A. Need for Presumption

6. The comments concerning the need for a population density presumption were split along industry lines. The cable television interests generally contended that little, if any, reason existed for waiver procedure refinements, and, should any be adopted, they should be strictly limited to the very lowest density areas. Teleprompter set forth what it views as the anti-competitive history of the telephone industry toward cable systems, and declared that no evidence had been shown to justify changing the present case-by-case waiver procedure. In support of continuing the present waiver policy Teleprompter stated that "the Commission must carefully distinguish between the appropriate role of a common carrier to provide channels of communications—which the rules now permit—and the highly questionable role of engaging in the selection and sale of programming." CATA, too, could find no justification for waiver procedure changes, and urged that the underlying policy issues of rural telecommunications (particularly government loans to rural cable systems) be resolved before any alteration of the cross-ownership rules. NCTA submitted a detailed analysis of past waiver petitions which it claimed demonstrated that waiver requests were processed relatively quickly, did not require burdensome showings, and were liberally granted. NCTA recommended formalizing the waiver process—with a three-tiered procedure, eligibility restrictions, and standard showings—in order to eliminate unnecessary showings and limit telephone company waivers to truly low density areas. NCTA and CATA also conceded that there is some point, in subscriber density terms, at which independent cable television operation is not currently economically feasible.

7. The telephone interests, on the other hand, supported procedural changes. Contending that the cable comments evidenced confusion over the scope of the rulemaking, OPASTCO and USITA stressed that the issue was not a general waiver of the rules, but a

[1] *Applications of Telephone Companies for Section 214 Certificates for Channel Facilities Furnished to Affiliated Community Antenna Television Systems*, 21 F.C.C. 2d 307 (1970), *aff'd. sub. nom., General Telephone of the Southwest v. U.S.*, 449 F.2d 846 (5th Cir. 1971).

[2] *Common Carrier Tariffs for CATV Systems*, 4 F.C.C. 2d 857 (1966).

[3] *General Telephone Co. of California*, 13 F.C.C. 2d 488 (1968), 413 F.2d 390 (D.C. Cir.), *cert. denied* 396 U.S. 888 (1969).

[4] *California Water and Telephone Co.*, 5 F.C.C. 2d 229 (1966); *The Associated Bell System Companies*, 5 F.C.C. 2d 357 (1966); *The General Telephone System, et al.*, 6 F.C.C. 2d 434 (1967).

[5] *Warrensburg Cable, Inc.*, 27 F.C.C. 2d 727 (1971); *Manatee Cablevision, Inc.*, 22 F.C.C. 2d 841 (1970); *Continental Telephone Corp.*, 24 F.C.C. 2d 841 (1970).

[6] *Supra*, n. 1.

[7] The application of these rules has been limited to cable television systems which retransmit programs broadcast by one or more television stations. *Id.* at 846, 860.

[8] *Clarification and Notice of Proposed Rulemaking*, 69 FCC 2d 1097 (1978).

[9] Formal comments were filed October 16, 1978 by all parties except GTE and TDS, after grant (on September 6, 1978) of an NCTA request for an extension of time. Upon grant (on October 27, 1978) of an NTCA and 3M request for an extension of time, opposition comments were submitted on November 30, 1978, by all but Emco, NTCA, Teleprompter, REA, USITA, and TDS. Reply comments were explicitly authorized on October 27, 1978.

rebuttable presumption with continued community-by-community waiver requests. They claimed that the purpose of this proceeding was simply to establish a population density figure below which telephone company waiver applicants would not be required to conduct initially expensive studies in an effort to prove a negative—namely, that a hypothetical unaffiliated cable system would not be economically viable in a community. Furthermore, NTCA stated that, regardless of technological developments, the existing waiver rules had to be clarified because their "chilling effect" deterred otherwise justifiable waivers, as evidenced by the limited number of recent waiver requests. Continental, 3M, REA, and USITA thought that our proposal would encourage telephone companies to seek waivers in marginal areas. OPASTCO agreed, but expressed disappointment that the rulemaking did not consider outright repeal of the "cross-ownership rules."

8. The National Telecommunications and Information Administration thought that not only did our waiver procedure need to be changed, but that the reasons for our proposed presumption would justify an outright exemption of low density systems from the "cross-ownership rules." Although believing in diverse control of telephone and cable television services, NTIA contended that this principle should not deny rural communities present services while preserving a remote possibility of future benefit. The cable industry, NTIA observed, is almost thirty years old. To the extent it has not offered service to rural communities, a lack of economic incentives should be assumed. Since according to NTIA, these communities are entitled to service, NTIA believed that "there is no apparent risk, and much possible benefit * * *" to an outright rule exemption for small telephone systems in order to test their claim that the present waiver rules inhibit rural cable development.

B. Selection of Population Density Level

9. Except for Teleprompter, which did not discuss the question, all of the parties agreed with our premise that independent cable development was generally infeasible below a certain population density. NTIA stated, for instance, that although the economics of cable television depended upon many factors, it was nevertheless possible to observe a relationship between low population density, one of the factors most closely related to "ruralness," and the success of independent cable operation. Disagreeing with CATA, NTIA contended that the lack of rural cable service was not comparable to the lack of cable service in major markets, where adequate broadcast service, the effects of regulation, and in uncertain marketability of new services were generally recognized as the major inhibitors. The limited revenue potential of low density areas could be assumed to thwart independent cable construction or lease-back operation, particularly since poor broadcast service in rural areas would stimulate—in NTIA's opinion—"virtually 100 percent subscription," so as to permit the discounting of penetration variables. Thus, population density was conceded to be a valid general measurement of economic feasibility, even though unusual circumstances could permit independent operation at very low densities.

10. The suggested "rule of thumb" population density figures varied. Believing that waivers should be strictly limited, for instance, CATA argued that any relaxation of showings necessary for waivers should take place at the lowest limit of feasibility until the Commission had conducted a major policy inquiry into rural telecommunication problems, including such issues as the "media concentration now accumulating in telephone monopolies." This lowest level, CATA contended, was any area where at least 80% of the proposed system had a route mile density of ten homes or less. Below this population density, CATA conceded, "it is no longer feasible for a private cable entrepreneur to build a cable system." Emco, a Vermont cable operator, stated that it operated several marginally profitable systems with fewer than 25 subscribers per mile. They suggested, however, that telephone companies should be permitted to enter the CATV field only where the density was less than 10 homes-per-mile, or where the saturation was less than six subscribers per mile.[10]

11. NCTA suggested a three tiered procedure, which would augment a presumption of general economic infeasibility with standard *prima facie* waiver showings which increased in number with increases in population density. NCTA admitted that the Commission was generally correct in its observation that a density of 30–40 homes per mile was required for independent cable construction. NCTA stated, however, that a significant number of cable systems currently in operation are situated in areas with a population density of 20 or fewer homes passed per mile. Independent operation was feasible in such areas, NCTA contended, under certain conditions, such as the availability of low cost money (from REA or other sources), or the ability to share service personnel or cable facilities with nearby, or extended, cable systems. As evidence, NCTA submitted a list of 141 cable systems with a density of less than 20 homes per mile.[11] Nevertheless, in response to the Commission's request for a "rule-of-thumb" figure, NCTA recommended that areas under 20 homes per mile could qualify for a presumption that independent operation was not feasible. But to do so, a tiered procedure was necessary to account for a "grey area" of infeasibility which existed for population densities of between 6 and 20 homes per mile. NCTA envisioned that waiver requests for areas of up to 6 homes per mile would be authorized with a public notice/opposition opportunity, but without extensive showings. Waiver requests for 6–20 homes per mile would require a public notice/opposition opportunity, coupled with a list of standard showings. Waiver requests for areas above 20 homes per mile would be treated as before, with a telephone company bearing a burden of showing that alternative service was not feasible. Thus, the consensus of the cable comments was that the appropriate population presumption should be between 6 to 10 homes per mile, with reduced showings being acceptable for up to 20 homes per mile if a tiered waiver procedure were adopted.

12. The telephone interests, on the other hand, favored liberal waivers, and essentially thought that the density figure should be where independent operation was considered to be generally infeasible. OPASTCO and USITA, for instance, argued that the purpose of this proceeding would be frustrated if too low a population density figure were adopted. That purpose, they claimed, was to establish a simple presumption for community-by-community waivers, and not a general waiver (or exemption) as some of the cable interests apparently thought. Since the density figure was merely a procedural threshold requirement, a higher figure would neither guarantee entry, nor deprive cable operators of their opposition rights. Consequently, OPASTCO suggested a population density figure of 30 or fewer potential subscribers (homes passed) per mile. OPASTCO justified this figure by stating that 30 is well below the average density level of Kentucky (51 homes per mile), the state with the lowest average density level of the fifty states. Furthermore, OPASTCO claimed that a figure of 30 homes per mile is far below the average of 90.7 subscribers per mile for the cable systems operated by the largest fifty multiple system owners. USITA suggested that the Commission select the 30–40 households per mile range indicated by a Denver Research Institute report. USITA claimed that a range of population density would be more appropriate for an evidentiary presumption, because a spot figure could not consider the positive effect of geography on plant cost variations. REA recommended a population density figure of 30 existing potential cable subscribers (homes passed) per route mile of line in a proposed service area. In support, REA cited a study done by BNR, Inc. of Palo Alto. For this study, BNR constructed a model based on a sample of 47 operating CATV systems in rural areas. The study found that 90% of these rural cable systems passed 40 or more homes per mile of plant. The BNR study concluded that a profitable rural CATV system is unlikely to develop without an average potential subscriber density of 40 or more homes per mile of plant. In addition, REA cites statistics which show that, of the 8,375 cable systems reporting to the Commission, 90% of these systems passed 61 or more homes per plant mile, with the national average being 89 homes per plant mile. Based upon an empirical study of Minnesota cable television systems, 3M suggests a population presumption of 35 subscribers per route mile, although the company thought that a national average of 30 was indicated by the comments here. Finally, NTCA recommended a density of 30 homes per mile based essentially upon the national and lowest state averages of homes passed per mile. Thus, the telephone interests recommended a population density of 30–40 homes per mile.

13. NTIA recommended an exemption for areas under 10 homes per mile, and a simplified procedure for 10–25 homes per mile. Although claiming that the best evidence of independent cable feasibility would seem to be empirical, NTIA based its exemption figure of 10 homes/mile upon the household densities of REA borrowers and NTCA members, apparently to encourage them to serve their rural communities as they claimed they wished to do. NTIA found that the average density for all REA borrowers is 4.7 households per mile, and the NTCA members had an average density of 3.4. NTIA selected an upper limit of 25 homes per mile for its simplified waiver procedure based upon NCTA's list of cable systems operating below 20 homes per mile, and evidence submitted by several of the parties that 10–15 percent of cable systems operate at 30 or fewer households per mile. NTIA felt, however, that the upper limit of household density for the simplified waiver process would not seem to be too critical, as long as the Commission was continuing its case-by-case waiver process with sufficient allowance for regulatory flexibility and public opposition.

C. Procedural Implementation of Density Figure

14. The comments concerning procedural implementation of a density presumption also depended upon the parties' view of the appropriateness of waivers. Of the cable television interests, CATA and Emco urged limited waivers, with strict eligibility restrictions and local franchise requirements. Teleprompter argued that, if the Commission insisted on creating a rural exemption to its "cross-ownership rules," cross subsidization should be guarded against, and system leasing opportunities should be required after a reasonable period of time.

15. NCTA commented in detail upon procedural implementation of a three-tiered approach. Under NCTA's proposal, the major tenet of the "cross-ownership rules"—that telephone company provision of cable television services is a choice of last resort—would remain in full effect. But for density situations of areas under 20 homes per mile, the showings required for waiver petitions would be reduced through the introduction of a presumption that independent cable operation was not generally feasible. For areas of up to six homes per mile, telephone companies would simply be required to file a waiver request, a Section 214 application, and a demonstration of population density, all of which would appear on public notice. To rebut the presumption, an opposing party would have to submit a statement of an intent to begin independent system construction within one year. Telephone companies receiving such waivers would be required to obtain local cable franchises (in areas with franchising authority) and to commence service within a year.

16. For the "grey areas" of 6–20 homes per mile, NCTA would require standard showings, but waivers in this category would still fall within the presumption that independent service was not generally available. Public notice would be required for the telephone companies standard waiver showings and Section 214 application. This would provide an opportunity for an independent operator to rebut the presumption, either through a notice of an intent to provide independent service, or a demonstration that a waiver grant was not otherwise in the public interest. For areas above 20 homes per mile, no presumption of infeasibility would exist, and telephone companies would bear the full burden of proving that independent operation was not possible in the manner described by our *Cross Ownership Rules, supra.*

17. NCTA also suggested a list of major eligibility requirements which it claims are necessary to protect against the intrusion of the "telephone monopoly" into competitive services. First, the parent company of a telephone company receiving a low density waiver must not exceed one million subscribers, because a long history of predatory practices by the larger telephone companies warrants their exclusion no matter what the density of the community to be served. Secondly, the area to be served by the low density waiver recipient must not exceed 1500 homes, which NCTA claims is REA's definition of a rural area for purposes of low cost loan eligibility. Thirdly, low density waivers should be limited to areas receiving inadequate (less than three stations) television service, either over-the-air, or via an existing cable service. This would limit waivers to only those areas truly deprived of television service, and prevent telephone companies from serving suburban type communities. Finally, a review process must be established to permit divestiture of either broadband facilities, or program functions, whenever an area's population density exceeds a ceiling of 20 homes per mile, or the waiver recipient is acquired by a parent with over one million telephone subscribers. This would not be an automatic divestiture requirement, NCTA claimed, but would require a later review of the costs of cross-ownership and the options of independent operation.

18. NTIA also suggested a tiered waiver procedure, standard showings, and some eligibility restrictions. NTIA proposed that areas of less than 10 households per route mile would be exempt from our present rules. Separate waiver petitions would be abolished, and the telephone company's Section 214 application would carry the exemption claim as well as evidence of

[10] In informal comments, C. F. Larkin, an engineer with the Vermont Public Service Board, recommended a population density figure of thirty homes/mile because Vermont cable companies have told the Board that they need 60 homes passed per mile, or 35 verified orders for service per mile, before they consider a proposed cable extension to be compensatory.

[11] However, 3M claimed that most of the systems on NCTA's list appeared to be served by a common "head end," or were simply a part of a larger system whose total density level was much higher.

at least three months local notice. For areas between 10 and 25 homes per route mile, telephone companies would submit a waiver petition, a Section 214 application, and a list of standard showings sufficient to permit a potential independent cable operator, or a leaseback operator, to oppose the waiver. Such a procedure, NTIA believed, would consider the increased prospects of independent operation, particularly by leaseback, and yet simplify the Commission's waiver process.

19. The telephone interests, on the other hand, did not suggest a detailed waiver procedure. OPASTCO, USITA and 3M stressed that all we proposed was a simple procedural presumption coupled with a combination of the present waiver process. NTCA called the NCTA three-tiered procedure burdensome and unjustified, and thought that it would be inappropriate to grant a special rule change for areas of 6 or 10 homes per mile solely to accommodate NTCA's membership. Both NTCA and OPASTCO questioned whether the Commission had Section 214 authority over intrastate telephone companies seeking to become cable television operators. OPASTCO argued that the Commission should regulate such systems as it does any rural cable television operation, and require only a simple registration statement under § 76.12 of our rules (47 CFR § 76.12). OPASTCO objected to NCTA's suggested standard showings on the grounds that they duplicated present Section 214 application requirements, necessitated disclosure of proprietary financial and technical information, and required joint cost allocations which were relevant only to local ratemaking. OPASTCO also objected to a prior cable franchise requirement as urged by CATA, because many rural areas have no franchising authority, and of those that do, a FCC waiver is a prerequisite. Finally, the telephone interests objected to eligibility restrictions. OPASTCO and NTCA considered telephone company parent size to be irrelevant to a community-by-community analysis. TDS stressed the revenue importance of small "core communities", where switching systems were located, to the service of outlying areas. OPASTCO and NTCA objected to the investment uncertainty which a divestiture review would cause. And finally, NTCA contended that leaseback opportunities, while preferred by many of its members, were not popular with the cable industry. NTCA claimed that under a leaseback arrangement, a cable operator could not shelter his income with accelerated depreciation or investment tax credits; could not benefit from appreciation in value of his plant; and could not control long term costs.

Discussion

20. The comments reflect some confusion as to the scope of the Notice. Some comments apparently assumed that we were proposing a general exemption to our "cross-ownership rules," or that further refinement of our waiver procedures was contrary to the spirit of our "cross-ownership rules." Neither is the case. Our *Clarification and Notice of Proposed Rulemaking, supra* at 1109, rejected NTCA's request for a "general waiver" of our rules, stating that such an approach would appear premature in the absence of a more comprehensive understanding of the likely consequences. We determined to follow our existing individual waiver approach, but clarify our waiver policy and refine further our waiver procedures. *Id.* Thus, this proceeding took the waiver requirement as a "given" and asked only for views concerning narrow questions of what should be the appropriate standards, procedures, and showings required for waivers.

Standard Showings

21. A telephone company seeking to establish a rebuttable presumption favoring a waiver may establish the presumption by the submission of several standard showings. Included among these showings are a general statement justifying the waiver as consistent with the public interest; a demonstration that the waiver is proposed for an area in which fewer than 30 homes per route mile are present; and appropriate affidavits verifying the assertions made.

22. We believe these showings are the minimum necessary to establish a record upon which a waiver grant can be based. Since we are not herein proposing to change a rule, but rather merely to alter a waiver procedure, our concern enunciated in Docket No. 18509,[12] that independent cable television operation not be stifled by the control of distribution facilities by a telephone company remains. We are also aware that if the potential entry of a telephone company competitor is sufficient to spur local cable entrepreneurs to expand into as yet unserved areas, the presumption of infeasibility will have been rebutted. We will require waiver applicants to give notice to the area proposed to be served, by newspaper advertisement or other appropriate means, to ensure that local independent entrepreneurs have an opportunity to consider whether to construct independently.

23. A general statement demonstrating that the proposed waiver grant is in the public interest is necessary in order that we may judge the application against the criteria established for our decisional process in the Communications Act. Applicants should be prepared to indicate ways in which a waiver grant is publicly beneficial.

24. We expect that applicants will file sufficient information to enable us, or outside parties, to independently verify the density level asserted. A density of less than 30 homes per mile must be demonstrated to provide reasonable evidence for assuming that independent cable operation could not exist.[13]

25. The final aspect of the showing required is an affidavit from the person or persons seeking waiver as to the truthfulness of the statements included in the application. This affidavit should be prepared by a person or persons having actual knowledge of the facts contained in the application.

Criteria for Rebuttal

26. The waiver presumption may be rebutted by a demonstration that the proposed service area has a population density greater than 30 homes per mile or the present intention of an entrepreneur to independently construct a cable system. This "present intention" may be communicated to the Commission in the form of an "Opposition" to the grant of a waiver, which must be filed within 30 days from the time the waiver application is placed on public notice. We believe that this time period is adequate for independent entrepreneurs to determine whether they will attempt to construct a system.

27. With the filing of an "Opposition" meeting the above qualifications, it is our intention to grant routine six month extensions of time during which the prospective independent operator must demonstrate a present intention to construct a system. Demonstration of a present intention to construct may be made by the submission of a copy of the franchise application. We will consider

[12] *Supra*, n. 1.

[13] The derivation of this value can be found in Appendix I. We recognize that under different circumstances it may be appropriate to seek comment upon the Park Model prior to issuance of a final decision. In this instance, however, because the study essentially relies only upon data akin to that already in the record combined with the additional delay in reaching a resolution we will not specifically provide for comment. If parties wish to raise issues relating to the model, they may do so in the context of a Petition for Reconsideration of this decision.

extensions of the six month period for good cause shown.

Cross-Subsidy Issues

28. Generally, we believe that two categories of impediments restrict the availability of cable television to consumers. The first of these is regulatory. A local or state political body may determine that authorization to construct a cable television system is not in the interest of its citizens. The Commission has recognized historically that jurisdiction to franchise cable systems lies at the non-federal level.[14] Although we have in the past expressed concern that telephone companies enjoy a competitive advantage over cable systems by means of an ability to circumvent the local franchising process, and have acted to circumscribe that advantage,[15] we nevertheless continue to believe that our role in the franchising process is extremely narrow. Therefore, other than the safeguards imposed at paras. 23–25 *supra*, we will refrain from involvement in this area.

29. The second category is economic. We assume, barring a regulatory impediment, that a cable television system will be built in all areas in which it is economically advantageous for enterpreneurs to risk their capital. For a telephone company to provide service to an area in which independent operation "demonstrably could not exist," it must enjoy advantages not available to the independent operator. Although we are without evidence that telephone companies realize economies not available to independent systems, we do not believe that a rulemaking to alter a waiver procedure is the proper context in which to consider whether the cable service offered by a telephone company is likely to burden the monopoly ratepayer. Applicants for waiver are advised, however, that we will scrutinize applications for authorization of facilities under Section 214 of the Communications Act and tariffs filed for provision of services in the traditional manner pursuant to our order of April 6, 1966.[16]

NTIA Proposal

30. Comments filed by the National Telecommunications and Information Administration suggest the elimination of the cross-ownership rules below a density of ten homes per mile. Without addressing the merits of this proposal, we find that it does not fall within the contemplation of the Notice of Proposed Rulemaking, and is therefore inappropriate at this time. We believe, however, that our new waiver procedures will reduce considerably the filing burden upon telephone companies in rural areas seeking exemption from our cross-ownership rules.

31. Accordingly, it is ordered, Pursuant to Sections 2, 3, 4(j), 205, 214, 303, 307, 308, 309 and 403 of the Communications Act, Parts 63 and 64 of the Commission's rules and regulations are amended, as set forth in the attached Appendix II, effective January 14, 1980.

32. It is further ordered, That the proceedings in CC Docket No. 78–219 are terminated.

Federal Communications Commission.[17]

William J. Tricarico,

Secretary.

Appendix I—Derivation of the Density Level Below Which Independent Cable Operation Presumptively Could not Exist

As explained in the body of this *Report and Order*, the anticompetitive behavior of telephone companies while integrating into the cable television industry led to the adoption of our telephone-cable television cross-ownership rules. We also explained that in areas where independent cable operation presumptively could not exist, our concern with the anticompetitive behavior of telephone companies was alleviated, and hence, waivers to our rules may be appropriate. Therefore, the purpose of this Appendix is to identify areas where independent cable operation presumptively could not exist.

The viability of cable television systems depends importantly upon: (a) The cost of capital; (b) the physical investment required per household passed by the cable; (c) the operating costs for the system; (d) the proportion of households subscribing (penetration); and, (e) the fees that can be charged for the basic service and pay cable services.[18] Concurrently, the values of these parameters for any specific system depend on a myriad of factors which can vary greatly from one community to another. Under all conditions, however, cable television is a capital intensive industry and its distribution costs represent a large portion of the overall investment required for system construction.[19] Therefore, as the number of potential subscribers on a system decreases while holding the size of the cable plant constant (*i.e.*, the household density per route mile decreases), the potential profitability of the system must decrease. This follows directly from the fact that potential revenues (and operating income) in such a case will decrease at a much faster rate than the capital investment. Hence, it is our aim to determine the density level below which independent cable operation is generally unprofitable. Given that such a value can be identified, we will presume for the purposes of the waiver procedure described above that independent cable operation could not exist below this level.

While the thrust of the comments in this proceeding that addressed the selection of a density level was directed at identifying the percentage of existing cable television systems that have been built at various density levels, we have not been persuaded by this analysis to choose a density level below which independent cable operation is infeasible. The assertion that 85–90 percent of all existing cable systems operate at greater than 30 households per mile does not demonstrate the infeasibility of independent cable operation at levels lower than 30 homes per mile. Instead, the percentage of all areas in the nation that have been wired for cable television, disaggregated by household density level, would be more telling. For example, if fewer than one percent of the areas in the nation with less than 30 homes per mile have been wired for cable television compared to 25 percent of those areas with 30–50 homes per mile, we believe these statistics would provide sufficient reason to presume that independent cable operation was infeasible in areas with less than 30 homes per mile. But since this type of information has not been presented to us and could be collected and compiled only at great cost and/or following long delays, we have instead chosen to examine the profitability of systems at various levels of household density. If the financial ratios of cable systems show a marked reduction and a relatively unhealthy stature below a certain density level, we will presume that independent cable operation cannot exist below this level.

The financial status of cable systems at various density levels has been analyzed by two methods. First the financial data on FCC Form 326 have been collected and complied.[20] Second, current values for the various financial

[14] *Cable Television Report and Order*, 36 FCC 2d 143 (1972).

[15] *Supra*, n. 1.

[16] *Supra*, n. 2.

[17] See attached statements of Chairman Ferris and Commissioner Brown.

[18] 71 FCC 2d 632.

[19] See, *e.g.*, W. Comanor and B. Mitchell, "Cable Television and the Impact of Regulation," *The Bell Journal of Economics and Management Science*, Vol. 2, No. 1 (1971).

[20] Information from FCC form 325 was also required to carry out this study. The most current information available from both forms for a complete nationwide record is for 1977.

parameters of rural cable television operation have been programmed into a cable television system financial model developed by Dr. R. E. Park of the Rand Corporation.[21]

The statistics derived from the financial data reported to the FCC by cable systems strongly suggest that the cut-off point for the density level under which independent cable operation presumptively could not exist is 30 homes per mile. These statistics are reported in the following table.

Table I—Cable Television System Financial Data by Density Level

Homes passed per mile	Observations [1]	In percentage		
		Operating margin [2]	Op. In. gross assets [3]	Op. In.-Dep. net assets [4]
0 to 9	0			
10 to 19	10	12	5	−7
20 to 29	34	12	3	−4
30 to 39	112	36	15	8
40 to 49	205	43	17	14
50 to 59	235	42	14	10
60 to 69	266	45	18	15
70 to 79	319	40	14	10
80 to 89	229	41	14	10
90 to 99	185	41	16	11
100 to 149	277	42	15	10
>150	73	27	8	0

[1] The total number of observations accounted for here represent approximately 85 percent of all financial entries reporting to the Commission. The discrepancy arises because the cases having an inconsistency between the Commission's Financial and Community Unit Files and the cases having inaccuracies in the reported data were eliminated from the analysis.

[2] Operating margin equals operating revenue minus operating expenses, the total then divided by operating revenue.

[3] Op. In. = Operating income. Operating income equals operating revenues minus operating expenses (excluding interest and depreciation expenses). Gross assets equal total assets plus accumulated depreciation and amortization. For further clarification, see FCC Form 326.

[4] Dep. = Depreciation. Net assets equal total assets (which incorporates an allowance for accumulated depreciation and amortization).

As demonstrated by the table, the financial ratios for cable systems drop dramatically for groups with less than 30 homes per mile.[22] Furthermore, these groups also appear unhealthy. For example, the industry rule of thumb has historically been that a cable system with an operating margin of less than 35 percent is probably in financial trouble.[23] The average operating margin for systems with less than 30 homes per mile is 12 percent. Additionally, these systems are earning a rate of return on their investments which is substantially less than their cost of capital. In contrast, all other groups of systems with densities up to 150 homes per mile appear healthy. More specifically, although systems with densities of 30–39 homes per mile are slightly less profitable on average than the higher density groups, they also appear viable. Furthermore, keeping in mind that the financial data are for 1977, we are aware that cable system profitability has since increased [24] and is expected to continue to do so.[25] Hence, based on the financial data reported to the Commission, we do not consider that independent cable operation is presumptively infeasible in areas that contain 30–39 homes per mile. Instead, we conclude that there is sufficient reason to presume that independent cable operation is infeasible in areas with less than 30 homes per mile.

The results derived from employing Park's financial model support the above stated conclusion. We note that Park's "model is very flexible. Any system, from the very smallest to regional systems much larger than any now in operation, can be represented by specifying different input data for the model." [26] To our knowledge, the model has been used to generate financial projections for the Dayton Miami Valley [27] and to illustrate differences as well as similarities among cable system operations.[28] For this analysis, we must specify *current* values for the financial parameters of *rural* cable system operation. Wherever possible, we have incorporated the values previously specified while running the model.[29] For example, the average number of telephone poles per mile and fringe benefits as a fraction of payroll tend to be invariant over time. On the other hand, however, variables such as the interest rates, expected inflation rates and costs of services are likely to change over time (and, in fact, have changed since 1972). Similarly, factors such as the fraction of subscribers who move away each year will differ from urban to rural areas. Finally, the financial ramifications of new technology, such as the delivery of programming via satellite, must be incorporated into the present analysis. The output data for revenues, operating expenses, and capital expenditures for two low density rural cable systems, having taken all of these factors into consideration, are provided in the addendum. It should be noted, however, that there is no specification of input data that will produce a "perfect" or even "right" list of output data. Costs of an earth receive station alone, for example, will vary depending upon geographic location. Hence, the overall financial results from this analysis are relied upon here only to the extent of providing further insight into the previous results derived from the financial data of existing cable systems.

To provide a further test of the density level below which independent cable operation is generally infeasible, we specify the parameter values of the Park model for two rural cable systems with densities of 30 and 40 homes per mile. The basic subscriber penetration is set at 90 percent of the homes passed by cable and the pay subscriber penetration is set at 25 percent of the homes passed.[30] The differentiation by density level (i.e., 30 homes per mile compared to 40 homes per mile) is achieved by increasing the number of homes passed by cable from 500 to 667, while holding the miles of plant constant.[31] The major results from the analysis are displayed in the following table.

[21] R. E. Park, *Computer Code for a Cable Television System Financial Model*, The Rand Corporation, R–1027–MF, April 1972. We have placed Park's report in the docket, along with a listing of the specified imput data, to afford interested parties an opportunity to verify our analysis. The resulting data from our analysis for revenues, operating expenses, and capital expenditures are provided in the Addendum to this Report.

[22] The marked inflection in financial ratios at 30 homes per mile is also evidenced if the density categories are segregated into groups of five. That is, the financial ratios of systems with densities of 25–29 and 30–34 are almost identical to those of the systems with densities of 20–29 and 30–39, respectively.

[23] Walter S. Baer, *Cable Television: A Handbook for Decisionmaking*, the Rand Corporation, R–1133–NSF, February 1973.

[24] See, *e.g.*, *Cablecast*, January 9, 1979; *The Pay TV Newsletter*, April 4, 1979.

[25] Virtually every study of the cable television industry reports it to be a growth industry. See, *e.g.*, the *Report in Docket 21284*, 71 FCC 2d 637.

[26] Park, *supra* at n. 4.

[27] L. L. Johnson, W. S. Baer, R. Bretz, D. Campb, N. E. Feldman, R. E. Park and R. K. Yin, *Cable Communications in the Dayton Miami Valley: Basic Report*, January 1972, R–943–KF/FF.

[28] Baer, *supra* at n. 6. This report employed the Park model to generate financial projections for three systems operating in communities with populations from 25,000 to 750,000.

[29] See notes 10 and 11, supra.

[30] While NTIA suggests that "virtually 100 percent subscription" should be assumed, we do not believe that such an assumption is valid given our objective of establishing a density below which independent cable operation is *generally* infeasible. The average penetrations which can be expected for low-density rural cable systems are slightly less than our specified values, and not 100 percent as NTIA would assume for the basic cable penetration. For example, the average cable penetration for systems in our previous sample with densities of fewer than 30 homes per mile was 82 percent. Approximately 35 percent of those systems had penetrations greater than 90 percent.

[31] We note that there are an infinite number of possibilites in choosing the number of homes passed and the miles of plant while comparing two systems with varying densities. A reasonable bound for comparison is provided by holding either homes passed or miles of plant constant. The variability in system profitability will be greatest within this range while holding miles of plant constant. However, we believe this approach is more appropriate because as mentioned in paragraph 2 of this appendix the critical difference between systems with different densities is the number of potential subscribers, and resultantly, the potential profitability of the system. Holding miles of plant constant in our example results in a change in potential subscribers, while holding homes passed constant does not.

Table II.—*Financial Ratios for Low Density Rural Cable Television Systems Derived From Park's Financial Model* [1]

	Operating margin	Operating income gross assets	Return on total capital [2]
	Percent		
Homes per mile:			
30	12	5	−4
40	29	16	13

[1] The first three columns in this table correspond identically to those in Table I. The derivation of the values in the final column is presented in note 2.

[2] The rate of return to total investment is calculated as follows. Investors pay in equity and debt capital during the early years of system operations, and then receive interest, loan repayments and dividends in later years. Also, the system is assumed sold after ten years, with the proceeds going to the investors. The sales price has been specified here to be ten times the annual operating income of the system. (Systems generally sell for seven to twelve times annual operating income. See, e.g., Baer, *supra* at 6.) The annual rate of return is the interest rate that discounts this stream of outlays and receipts to zero present value.

The financial ratios in Table II demonstrate that independent rural cable system operation would not be viable at 30 homes per mile for systems with our specified input data, but would be viable at 40 homes per mile. We do not believe that a specifc density level can be determined for the break even density level of system viability from further iterations of the Park model because of the large number of other parameters that will vary from one system to another. For example, the break even density level will vary depending upon the number of homes in the community. However, we do believe the financial ratios derived from the Park model support our previous conclusion of the general infeasibility of cable operation below a density of 30 homes per mile. Additionally, while it may be argued that the financial ratios from the Park model suggest the selection of a density level of slightly greater than 30 homes per mile, we must caution the reader that the expenditures specified for the two cable systems represent our "best estimates." Comparing these estimates to the reported financial data of existing cable operations suggests that cable operators often hold expenses below the levels specified here for marginal operations. Hence, we conclude that the results derived from the Park model are consistent with those derived from compiling the financial data of existing cable systems.

In summary, we believe that there is sufficient reason to presume that independent cable operation is infeasible in areas with less than 30 homes per mile. This conclusion is derived from an analysis of the financial data reported to the Commission from existing cable systems and from an analysis of rural cable system operation employing a computerized financial model developed by Dr. R. E. Park of the Rand Corporation.

Appendix II

Parts 63 and 64 of Chapter I of Title 47 of the Code of Federal Regulations are amended as follows:

PART 63—EXTENSION OF LINES AND DISCONTINUANCE OF SERVICE BY CARRIERS

1. The Table of Contents to Part 63 is revised to read as follows:

* * * * *

General Provisions Relating to All Applications Under Section 214

Sec.
63.50 Amendment of Applications.
63.51 Additional information.
63.52 Copies required; fees.
63.53 Form. Applications of Telephone Common Carriers To Construct and/or Operate CATV Channel Facilities in Their Service Areas..
63.54 Affiliation showings.
63.55 Furnishing of CATV service to the viewing public.

* * * * *

2. The following new subpart title is inserted after the text of the present § 63.53, and before the headnote of the present § 63.54:

* * * * *

Applications of Telephone Common Carriers To Construct and/or Operate CATV Channel Facilities in Their Service Areas

* * * * *

3. The headnote of the present § 63.54 is revised to read as follows:

§ 63.54 Affiliation showings.

* * * * *

4. The present § 63.55 is revoked and a new headnote and text are added to read as follows:

§ 63.55 Furnishing of CATV services to the viewing public.

(a) No telephone common carrier, subject to whole or in part to the Communications Act of 1934, shall engage in the furnishing of CATV services to the viewing public in its telephone service area, either directly, or indirectly through an affiliate owned, or controlled by, or under common control with the telephone common carrier.

(b) No telephone common carrier subject in whole or in part to the Communications Act of 1934 shall provide channels of communications or pole line conduit space, or other rental arrangements, to any entity which is directly or indirectly owned, operated or controlled by, or under common control with such telephone common carrier, where such facilities or arrangements are to be used for, or in connection with, the provision of CATV services to the viewing public in the service area of the telephone common carrier.

Note.—The provisions of this section will be construed in accordance with the Notes to § 64.601 of this chapter.

(c) In those communities where CATV service demonstrably could not exist except through a CATV system related to (or affiliated with) the local telephone common carrier, or upon other showing of good cause, the provisions of paragraphs (a) and (b) of this section may be waived under the procedure of § 64.602 of this chapter, if the Commission finds that the public interest, convenience and necessity would be served thereby.

PART 64—MISCELLANEOUS RULES RELATING TO COMMON CARRIERS

Section 64.602 is revised to read as follows:

§ 64.602 Waivers.

(a) In those communities where CATV service demonstrably could not exist except through a CATV system related to (or affiliated with) the local telephone common carrier, or upon other showing of good cause, the provisions of §§ 63.55 and 64.601 may be waived, on the Commission's own motion or on petition for waiver, if the Commission finds that the public interest, convenience and necessity would be served thereby.

(b) Telephone company waiver requests may enjoy a rebuttable evidentiary presumption to the effect that CATV service could not presently exist except through a CATV system related to (or affiliated with) the local telephone common carrier, if the waiver request includes:

(1) A general statement of why the public interest would be served by a waiver, as well as any additional information the Commission may request;

(2) A demonstration that CATV service is proposed for a service area which has a density of fewer than thirty (30) existing potential CATV household subscribers per route mile of coaxial cable trunk and feeder line;

(3) Assertion that waiver applicants have given notice of an intention to construct a cable system to the area to

be served by newspaper advertisement or other appropriate means.

(4) The affidavit of the person (or persons) with actual knowledge of the facts alleged by the waiver request, and the verification of the person (or persons) who prepared the exhibits to the waiver request.

(c) Telephone company waiver requests shall not enjoy the rebuttable evidentiary presumption of paragraph (b) of this section, and shall file the showings required by the Commission, if the proposed CATV service area has a density of thirty (30) existing potential CATV household subscribers per route mile of coaxial cable trunk and feeder line.

(d) Interested persons may submit comments on, or oppositions to, the petition for waiver within thirty (30) days after the Commission gives public notice that the petition has been filed. Upon good cause shown in the petition for waiver, the Commission may specify a shorter time for such submissions. Comments or oppositions shall be served upon the petitioner, and shall contain a complete and detailed showing, supported by affidavit, of any facts or considerations relied upon. In addition, should an opposition seek to rebut the evidentiary presumption of paragraph (b) of this section, the opposition shall include evidence of the financial, technical, and other abilities necessary to institute non-affiliated CATV service essentially as proposed by the waiver petition. To permit the compilation of the information necessary to rebut this evidentiary presumption, the Commission will grant up to a six month extension of time for the filing of opposition comments, if a notice of opposition, filed within the public notice period, shows good cause for a requested extension.

(e) The petitioner may file a reply to the comments, or oppositions, within thirty (30) days after their submission, which shall be served all persons who have filed pleadings.

(f) The Commission, after consideration of the pleadings, will determine whether the public interest, convenience or necessity would be served by the grant or denial of the petition, in whole or in part. The Commission may specify other procedures, such as oral argument, evidentiary hearing, or further written submissions directed to particular aspects, as it deems appropriate.

November 29, 1979.

Separate Statement of Charles D. Ferris, Chairman

Re: Policies for Waivers of the Telephone Company Cable Television Cross Ownership rules.

Today's decision to clarify and streamline our procedures for telephone companies to obtain waivers from our cable system cross ownership rules furthers our goal of furnishing more communications service to more people. Telephone companies serving many of our nation's rural communities may now decide to offer cable service to their telephone customers. For these rural Americans, cable systems operated by local telephone companies may offer access to the world of multiple television choices for the first time.

Moreover, the standards we have adopted will allow the FCC to consider whether alternatives to telephone company ownership in rural situations are realistic. They provide a check on the potential for abuse from cross-ownership that led us to adopt our basic telephone company cable cross ownership rules.

Concurring Statement of Commissioner Tyrone Brown in which Chairman Charles D. Ferris Joins

Re: Revision of the Processing Policies for Waivers of the Telephone Company-Cable Television "Cross Ownership Rules" (C.C. Docket 78-219)

I concur in the Commission's decision to adopt rules providing that a presumption favoring a waiver of our Cable Television-Telephone Company cross-ownership rules in areas which have a density of below 30 homes per mile. This presumption may be rebutted if it is shown that the area in fact has a density greater than 30 homes per mile or that an independent cable entrepreneur has a "present intention" to construct a cable system in the area.

I am troubled, however, by our reliance on a staff study (outlined in Appendix A) which was unavailable to the parties for comment. As a general matter, I am opposed to adopting Commission rules or policies based on material (statistical analyses or otherwise) not available to the parties for comment filing in the proceeding leading up to the Commission's action. I am concurring in this case, however, for several reasons. First, here the study was undertaken following submission and analysis of all of the comments in this proceeding including data similar to that used in the staff study, and following a staff determination that the submissions were inadequate. Second, the staff study was based on FCC Form 376 financial data and a financial model developed by the Rand Corporation in 1972. The model has been publicly available since 1972. Third, parties which take issue with either the methodology or results of the staff study can, on a petition for reconsideration, raise those issues. Since the staff study was not available for comment in the initial go-round, I do not think the parties will hear the normally heavy burden on reconsideration if they take issue with it. I welcome such a showing.

One final point merits comment. The data in the record inclines me toward the view that an exemption is warranted for telephone companies seeking to provide cable service in areas with a density of 10 homes per mile or less. This position was advanced by NTIA in its comments in this proceeding. While I agree that we are not now in a procedural posture to adopt such an exemption, I would hope that parties which support such a proposal would file a petition for rulemaking so that we might begin a proceeding to address that issue.

[FR Doc. 79-38786 Filed 12-18-79; 8:45 am]

BILLING CODE 6712-01-M

INTERSTATE COMMERCE COMMISSION

49 CFR Part 1033

[S.O. 1414]

Detroit & Mackinac Railway Co.; Authorization To Unload Steel Shelving on Hand at West Branch, Mich.

Correction

In FR Doc. 79-38315 appearing at page 72597 in the issue of Friday, December 14, 1979, second column, the first paragraph under § 1033.1414, should read as follows:

"(a) *Detroit and Mackinac Railway Company shall unload one car of steel shelving held at West Branch, Michigan.* The Detroit and Mackinac Railway Company (DM), its agents or employees, shall unload PW 60133 Steel Shelving held at West Branch, Michigan."

BILLING CODE 1505-01-M

49 CFR Part 1033

[Service Order No. 1416]

Burlington Northern Inc. Authorized To Operate Over Tracks of Chicago, Rock Island and Pacific Railroad Co. at Ottumwa, Iowa

AGENCY: Interstate Commerce Commission

ACTION: Service Order No. 1416.

SUMMARY: This service order authorizes the Burlington Northern Inc. to operate over tracks of the Chicago, Rock Island and Pacific Railroad Company (RI) at Ottumwa, Iowa, in order to provide essential railroad service to shippers which would otherwise be deprived of such service due to track embargoes on the RI.

EFFECTIVE DATE: 12:01 a.m., December 14, 1979, and continuing in effect until 11:59 p.m., March 2, 1980.

FOR FURTHER INFORMATION CONTACT: J. Kenneth Carter (202) 275-7840

Burlington Northern Inc. Authorized To Operate Over Tracks of Chicago, Rock Island and Pacific Railroad Co. at Ottumwa, Iowa

Decided: December 13, 1979

The line of the Chicago, Rock Island and Pacific Railroad Company (RI) at Ottumwa, Iowa, is embargoed due to track conditions depriving shippers located adjacent to these tracks in Ottumwa of essential railroad service. The Burlington Northern Inc. (BN) connects with the RI at Ottumwa and has consented to operate over the tracks of the RI in Ottumwa to serve these industries. The Kansas City Terminal Railway (KCT), the directed operator of the RI, has consented to the use of these tracks by the BN.

It is the opinion of the Commission that an emergency exists requiring the operation of BN trains over these tracks of the RI in the interest of the public; that notice and public procedure are impracticable and contrary to the public interest; and that good cause exists for making this order effective upon less than thirty days' notice.

It is ordered,

§ 1033.1416 Burlington Northern Inc. Authorized to Operate Over Tracks of Chicago, Rock Island and Pacific Railroad Company at Ottumwa, Iowa.

(a) The Burlington Northern Inc. (BN) is authorized to operate over tracks of the Chicago, Rock Island and Pacific Railroad Company (RI) at Ottumwa, Iowa, for the purpose of serving industries located adjacent to such tracks.

(b) *Application.* The provisions of this order shall apply to intrastate, interstate, and foreign traffic.

(c) *Rates applicable.* Inasmuch as this operation by the BN over tracks of the RI is deemed to be due to carrier's disability, the rates applicable to traffic moved by the BN over the tracks of the RI shall be the rates which were applicable on the shipments at the time of shipment as originally routed.

(d) *Effective date.* This order shall become effective at 12:01 a.m., December 14, 1979.

(e) *Expiration date.* The provisions of this order shall expire at 11:59 p.m., March 2, 1980, unless otherwise modified, amended, or vacated by order of this Commission.

(49 U.S.C. (10304-10305 and 11121-11126).)

This order shall be served upon the Association of American Railroads, Car Service Division, as agent of the railroads subscribing to the car service and car hire agreement under the terms of that agreement and upon the American Short Line Railroad Association. Notice of this order shall be given to the general public by depositing a copy in the Office of the Secretary of the Commission at Washington, D.C., and by filing a copy with the Director, Office of the Federal Register.

By the Commission, Railroad Service Board, members Joel E. Burns, Robert S. Turkington and John R. Michael.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38841 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

DEPARTMENT OF THE INTERIOR

Fish and Wildlife Service

50 CFR Part 17

Listing of Sarracenia oreophila; "Public Meeting"

AGENCY: U.S. Fish and Wildlife Service, Interior.

ACTION: Notice of public meeting and extension of effective date of final rule.

SUMMARY: On September 21, 1979, the Fish and Wildlife Service published in the **Federal Register** a final rule announcing its determination that *Sarracenia oreophila* (green pitcher plant) is an Endangered Species under the provisions of the Endangered Species Act of 1973, as amended. *See* 44 FR 54922 *et seq.* The final rule indicated that the prohibitions and restrictions applicable to this plant would take effect on October 21, 1979. Prior to that date, the Director of the Fish and Wildlife Service, in the exercise of administrative discretion, took action to extend the effective date of the final rule until February 22, 1980. In a **Federal Register** notice of October 25, 1979, the Service announced the action and indicated that a public meeting would be held. *See* 44 FR 61351. The Service in this notice announces the date, time, and place of the meeting and extends the effective date of the final rule until April 7, 1980, so the Service can fully evaluate all comments and information received at the February 7, 1980, meeting.

DATES: The effective date of the final rule designating *Sarracenia oreophila* as an Endangered species is extended to April 7, 1980, as opposed to February 22, 1980, as previously announced. The public meeting will be held on February 7, 1980, 2-5 p.m. and 7-9 p.m.

ADDRESS: Public meeting: The Service hereby announces that a public meeting will be held on this matter. The public is invited to attend this meeting. Specific information relating to the public meeting is set out below:

Place, Date, Time and Subject.—Gadsden Convention Hall, Gadsden, Ala., February 7, 1980, 2-5 p.m. and 7-9 p.m. *Sarracenia oreophila* (green pitcher plant).

FOR FURTHER INFORMATION CONTACT: Mr. Ronald E. Lambertson, Associate Director-Federal Assistance, Fish and Wildlife Service, U.S. Department of the Interior, Washington, D.C. 20240 (202/343-4646).

Dated: December 12, 1979.

Robert S. Cook,

Acting Director, Fish and Wildlife Service.

[FR Doc. 79-38853 Filed 12-18-79; 8:45 am]

BILLING CODE 4310-55-M

DEPARTMENT OF JUSTICE

Immigration and Naturalization Service

8 CFR Part 214

Extension of Reporting Date for Nonimmigrant Students From Iran

AGENCY: Immigration and Naturalization Service, Department of Justice.

ACTION: Final rule.

SUMMARY: This document amends the regulations of the Immigration and Naturalization Service to extend through December 31, 1979 the reporting requirement for Iranian nonimmigrant students promulgated by the Attorney General on November 13, 1979. Under this requirement, they must provide information as to residence and

maintenance of nonimmigrant status to the Immigration and Naturalization Service on or before December 31, 1979. This amendment is necessary because the Service suspended the program on December 11, 1979 pursuant to an order of the U.S. District Court for the District of Columbia. A stay of that order was obtained from the United States Court of Appeals for the District of Columbia on December 14, 1979. Accordingly, the program will be reinstated and the reporting date extended through December 31, 1979.

EFFECTIVE DATE: December 17, 1979.

FOR FURTHER INFORMATION CONTACT:
James G. Hoofnagle, Jr. (202) 633–3048.

SUPPLEMENTARY INFORMATION: On November 14, 1979, the Attorney General issued an order amending Title 8 of the Code of Federal Regulations to add a new § 214.5 which established requirements for maintenance of status for nonimmigrant students from Iran. 44 FR 65727, Nov. 14, 1979. That regulation required a native or citizen of Iran, admitted as an F–1 or J–1 nonimmigrant student to attend a post-secondary school including a vocational school, to report to the INS District Office or suboffice having jurisdiction over his or her school or to an INS representative on campus before December 14, 1979, and to provide information as to residence and maintenance of nonimmigrant status.

On December 11, 1979, the Service was enjoined from enforcing this regulation and suspended the program pursuant to an order of the U.S. District Court for the District of Columbia, *Narenji* v. *Civiletti*, Civ. No. 79–3189 (D.D.C. December 11, 1979).

On December 14, 1979, the U.S. Court of Appeals for the District of Columbia, based on a representation of the Attorney General that he would extend the reporting period, stayed the order of the district court pending a decision on the Government's appeal. *Narenji* v. *Civiletti*, No. 79–2460 (D.C. Cir. December 14, 1979.)

Therefore, the Service will continue the program of interviewing Iranian nonimmigrant students to determine their location and current nonimmigrant status. Iranian nonimmigrant students who do not report on or before December 31, 1979 will be out of status and subject to deportation for failure to comply with the conditions of nonimmigrant status. However, as represented to the court of appeals in *Narenji* v. *Civiletti*, supra, no Iranian nonimmigrant student will be required to depart the United States on the basis of information provided under this program or for failure to report under the program pending decision of that court.

Accordingly, 8 CFR 214.5 will be amended to extend the date by which Iranian nonimmigrant students must report through December 31, 1979.

In the light of the foregoing, and by virtue of the authority vested in me by 8 U.S.C. 1103(a) and 1184(a) and 5 U.S.C. 301, Chapter I of Title 8 of the Code of Federal Regulations is amended as follows:

PART 214—NONIMMIGRANT CLASSES

In Part 214, § 214.5(a) is amended by revising the first sentence to substitute for "before December 14, 1979," the following language: "on or before December 31, 1979". As amended, the first sentence reads as follows:

§ 214.5 Requirements for maintenance of status for nonimmigrant students from Iran.

(a) An alien admitted as an F–1 or J–1 nonimmigrant student to attend a post-secondary school, including a vocational school, who is a native or citizen of Iran must report to the INS District Office or suboffice having jurisdiction over his or her school or to an INS representative on campus on or before December 31, 1979, and provide information as to residence and maintenance of nonimmigrant status. * * *

* * * * *

The extension provided in this regulation is ordered pursuant to the Attorney General's representation to the U.S. Court of Appeals and in order to complete the program undertaken in accordance with the Presidential directive of November 10, 1979, issued in the course of, and in response to the international crisis created by the unlawful detention of American citizens in the American Embassy in Tehran. Accordingly, the notice and comment and delayed effective date provisions of Section 553 of Title 5 of the United States Code are hereby waived as impracticable and contrary to the public interest.

EFFECTIVE DATE: The amendments contained in the order become effective on December 17, 1979.

Dated: December 17, 1979.

Benjamin R. Civiletti,
Attorney General of the United States.

[FR Doc. 79–39091 Filed 12–18–79; 9:51 am]
BILLING CODE 4410–10–M

Proposed Rules

Federal Register
Vol. 44, No. 245
Wednesday, December 19, 1979

This section of the FEDERAL REGISTER contains notices to the public of the proposed issuance of rules and regulations. The purpose of these notices is to give interested persons an opportunity to participate in the rule making prior to the adoption of the final rules.

NUCLEAR REGULATORY COMMISSION

10 CFR Part 50

Emergency Planning

AGENCY: U.S. Nuclear Regulatory Commission.

ACTION: Proposed Rule.

SUMMARY: The Nuclear Regulatory Commission, after considering the public record available concerning licensee, State and local government emergency preparedness, and the need to enhance protection of the public health and safety, is proposing to amend its regulations to provide an interim upgrade of NRC emergency planning regulations. In a few areas of the proposed amendments, the Commission has identified two alternatives which it is considering. In each instance both alternatives are presented in the following summary of the proposed changes and in the specific proposed rule changes presented in this notice. The final rule will not necessarily incorporate all of the first alternatives or all of the second alternatives. That is, in some instances the first alternative may be adopted and in others, the second alternative may be adopted. Further alternatives may be adopted as a result of consideration of public comments.

In one alternative (Alternative A), the proposed rule change would not automatically require suspension of operations for lack of concurrence in appropriate State and local government emergency response plans on the date specified in the rule, even if the Commission by that date has not yet determined whether the reactor should be allowed to continue to operate. It would:

1. Require NRC concurrence in the appropriate State and local government emergency response plans prior to operating license issuance, unless the applicant can demonstrate to the satisfaction of the Commission that deficiencies in the plans are not significant for the nuclear power plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for license issuance.

2. For nuclear power reactors already licensed to operate, if appropriate State and local emergency response plans have not received NRC concurrence within 180 days after the effective date of this amendment or by January 1, 1981, whichever is sooner, require the Commission to determine whether to require the licensee to shut down the reactor. If at the time the Commission finds that the licensee has demonstrated that the deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation, then the licensee may continue operation.

If at that time the Commission cannot make such a finding, then the Commission will order the licensee to show cause why the plant should not be shut down. In cases of serious deficiencies, the order to show cause will be made immediately effective and the licensee would be required to shut down the reactor.

3. For nuclear power reactors already licensed to operate, if appropriate State and local emergency response plans do not warrant continued NRC concurrence and the State or locality do not correct the deficiencies within 4 months of notification by the NRC of withdrawal of its concurrence, require the Commission to determine whether to require the licensee to shut down the reactor. Shut down may not be required if the Commission finds that the licensee has demonstrated that the deficiencies in the plan are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation.

If at this time the Commission cannot make such a finding, then the Commission will order the licensee to show cause why the plant should not be shut down. In cases of serious deficiencies, the order to show cause will be made immediately effective and the licensee would be required to shut down the reactor.

In the other alternative (Alternative B), the proposed rule change would automatically require nuclear power plant shutdown for lack of concurrence in appropriate State and local government emergency response plans on the date specified in the rule unless an exemption is granted by that date. It would:

1. Requre NRC concurrence in the appropriate State and local government emergency response plans prior to operating license issuance. However, the Commission can grant an exemption from this requirement if the applicant can demonstrate to the satisfaction of the Commission that deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for license issuance. No such operating license will be issued unless NRC finds that appropriate protective actions, including evacuation when necessary, can be taken for any reasonably anticipated population within the plume exporsure EPZ.

2. For nuclear power reactors already licensed to operate, require a licensee to shut down a reactor immediately if appropriate State or local emergency response plans have not received NRC concurrence within 180 days of the effective date of the final amendments or by January 1, 1981, whichever is sooner. However, the Commission may grant an exemption from this requirement if the licensee can demonstrate to the satisfaction of the Commission that the deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation. If there is no concurrence, and the plant is shut down, then it must remain shut down until such an exemption is granted or until concurrence is obtained.

3. For nuclear power reactors already licensed to operate, require a license to shut down a reactor if appropriate State or local emergency response plans do not warrant continued NRC concurrence and the State or locality does not correct the deficiencies within 4 months of notification by the NRC of withdrawal of its concurrence. However, the Commission can grant an exemption to this requirement if the licensee can demonstrate to the satisfaction of the Commission that the deficiencies in the

plan are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation. If there is no concurrence and the plant is shut down, then it must remain shut down until such an exemption is granted or until concurrence is regained.

In both alternatives the proposed rule would:

4. Require that emergency planning considerations be extended to "Emergency Planning Zones."

5. Require that applicants' and licensees' detailed emergency planning implementing procedures be submitted for NRC review.

6. Clarify and expand 10 CFR Part 50, Appendix E, "Emergency Plans for Production and Utilization Facilities."

DATES: Comments should be submitted on or before February 19, 1980.

ADDRESSES: Interested persons are invited to submit written comments and suggestions on the proposed rule changes and/or the supporting value/impact analysis to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch. Copies of the value/impact analysis and of comments received by the Commission may be examined in the Commission's Public Document Room at 1717 H Street, NW., Washington, D.C. and at local Public Document Rooms. Single copies of the value/impact analysis, related regulatory guides, and the NRC staff analysis of the public comments received on the Advance Notice of Proposed Rulemaking may be obtained on request.

FOR FURTHER INFORMATION CONTACT: Mr. Michael T. Jamgochian, Office of Standards Development, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555 (Telephone: 301–443–5966).

SUPPLEMENTARY INFORMATION: In June 1979, the Nuclear Regulatory Commission began a formal reconsideration of the role of emergency planning in assuring the continued protection of the public health and safety in areas around nuclear power facilities. The Commission had begun this reconsideration in recognition of the need for more effective emergency planning and in response to reports issued by responsible offices of government and its Congressional oversight committees.

By memorandum dated July 31, 1979, the Commission requested that the NRC staff undertake expedited rulemaking on the subject of State, local, and licensee emergency response plans. The proposed rulemaking described in this notice responds to that request, and has been prepared on an expedited basis. Consequently, considerations related to the workability of the proposed rule may have been overlooked and significant impacts to NRC, applicants, licensees, and State and local governments may not have been identified. Therefore, the NRC particularly seeks comments addressed to these points and intends to hold workshops prior to preparing a final rule to (a) present the proposed rule changes to State and local governments, utiities, and other interested parties and (b) obtain comments concerning the costs, impacts, and practicality of the proposed rule.

The Nuclear Regulatory Commission is considering the adoption of amendments to its regulation, "Domestic Licensing of Production and Utilization Facilities," 10 CFR Part 50, that would require that emergency response planning considerations be extended to Emergency Planning Zones (discussed in NUREG–0396, EPA 520/1–78–016, "Planning Basis for the Development of State and Local Government Radiological Emergency Response Plans in Support of Light Water Nuclear Power Plants"). Both the Commission and EPA have formally endorsed the concepts in that EPA/NRC Report, 44 FR 61123 (October 26, 1979). In addition, the Nuclear Regulatory Commission is considering revising 10 CFR Part 50, Appendix E, "Emergency Plans for Production and Utilization Facilities," in order to clarify, expand, and upgrade the Commission's emergency planning regulations.[1] Prior to the conclusion of this rulemaking proceeding, the Commission will give special attention to emergency planning matters, including the need for concurred-in plans, on a case-by-case basis in accordance with the modified adjudicatory procedures of 10 CFR Part 2, Appendix B. Under that Appendix, no new license, construction permit, or limited work authorization may be issued without Commission consideration of issues such as this.[2] Both versions of the proposed amendments call for State and local government emergency response plans to be submitted to and concurred in by the NRC as a condition of operating license issuance.

Under one alternative being considered, the proposed rule would require a determination on continued operation of plants where relevant State and local emergency response plans have not received NRC concurrence. Shutdown of a reactor would not follow automatically in every case. Under the other alternative proposal, shutdown of the reactor would be required automatically where the appropriate State and local emergency response plans have not received NRC concurrence within the prescribed time periods. However, the Commission could grant an exemption to this requirement if the licensee can demonstrate to the satisfaction of the Commission that the deficiencies in the plan are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons. If there is no concurrence and the plant is shut down, then the plant must remain shut down until such an exemption is granted or until concurrence is obtained.

The NRC presently requires that power reactor licensees and applicants plan for radiological emergencies within their plant sites and make arrangements with State and local organizations to respond to accidents that might have consequences beyond the site boundary. In this way, offsite emergency response planning has been related to the nuclear licensing process.

To aid State and local governments in the development and implementation of adequate emergency response plans, the NRC, in conjunction with several other Federal agencies, has attempted, on a cooperative and voluntary basis, to provide for training and instruction of State and local government personnel and to establish criteria to guide the preparation of emergency response plans.[3] However, in the past, the NRC has not made NRC concurrence in State and local emergency response plans a condition of operation for a nuclear powerplant; the proposed rule would do so, as explained above.

[1] Two NRC staff guidance documents are related to this proposed rule change. "Draft Emergency Action Level Guidelines for Nuclear Power Plants," NUREG–0610 was published for interim use and comment on September 19, 1979. It is expected that a final version of the action level guidelines, based on the public comments received, will be issued in early 1980. In addition, in early 1980 upgraded and revised acceptance criteria for evaluating emergency preparedness plans will be issued for comment and may be included in the Commission's regulations.

[2] 44 FR 65049 (November 9, 1979).

[3] NRC staff guidance for the preparation and evaluation of State and local emergency response plans leading to NRC concurrence is contained in NUREG 75/111, "Guide and Checklist for Development and Evaluation of State and Local Government Radiological Emergency Response Plans in Support of Fixed Nuclear Facilities" (December 1, 1974) and Supplement 1 thereto dated March 15, 1977. The adequacy of this guidance is being reevaluated by the staff and the Commission will consider codification of the upgraded criteria in 1980.

In issuing this rule, NRC recognizes the significant responsibilities assigned to the Federal Emergency Management Agency (FEMA) by Executive Order 12148 on July 15, 1979, to coordinate the emergency planning functions of executive agencies. In view of FEMA's new role, NRC agreed on September 11, 1979, that FEMA should henceforth chair the Federal Interagency Central Coordinating Committee for Radiological Emergency Response Planning and Preparedness (FICCC). In addition, NRC and FEMA have agreed to exercise joint responsibility for concurring in State emergency response plans prior to NRC issuance of operating licenses. During the next few months NRC and FEMA will continue to reexamine intra-federal relationships and responsibilities regarding radiological emergency response planning. However, the Commission does not believe that the reexamination should serve as a basis for delay in the proposed rule change.

At several places in the proposed amendments, the Commission refers to the roles of State and local governments. Indeed the main thrust of the proposed rule is that prior concurrence in State and local emergency response plans will be a condition for licensing and operation of a nuclear powerplant. The Commission recognizes that it cannot direct any governmental unit to prepare a plan, much less compel its adequacy. However, the NRC can condition a license on the existence of adequate plans.

While the State and local governments have the primary responsibility under their constitutional police powers to protect their public, the Commission, under authority granted to it by the Congress, also has an important responsibility to protect the public in matters of radiological health and safety. Accordingly, with an understanding of its limitations and with a sensitivity to the importance of all levels of governments working together, the Commission will commit to seek and apply the necessary resources to make its part in this venture work.

Rationale for Change

The proposed rule is predicated on the Commission's considered judgment in the aftermath of the accident at Three Mile Island that safe siting and design-engineered features alone do not optimize protection of the public health and safety. Before the accident it was thought that adequate siting in accordance with existing staff guidance coupled with the defense-in-depth approach to design would be the primary public protection. Emergency planning was conceived as a secondary but additional measure to be exercised in the unlikely event that an accident would happen. The Commission's perspective was severely altered by the unexpected sequence of events that occurred at Three Mile Island. The accident showed clearly that the protection provided by siting and engineered safety features must be bolstered by the ability to take protective measures during the course of an accident. The accident also showed clearly that on-site conditions and actions, even if they do not cause significant off-site radiological consequences, will affect the way the various State and local entities react to protect the public from dangers, real or imagined, associated with the accident. A conclusion the Commission draws from this is that in carrying out its statutory mandate to protect the public health and safety, the Commission must be in a position to know that off-site governmental plans have been reviewed and found adequate. The Commission finds that the public can be protected within the framework of the Atomic Energy Act only if additional attention is given to emergency response planning. The Commission recognizes that the increment of risk involved in operation of reactors over the prescribed times in the implementation of this rule does not constitute an unacceptable risk to the public health and safety.

The Commission recognizes that this proposal, to view emergency planning as equivalent to, rather than as secondary to, siting and design in public protection, departs from its prior regulatory approach to emergency planning. The Commission has studied the various proposals and believes that this course is the best available choice. In reaching this determination, the Commission is guided by the findings of its Emergency Planning Task Force which found the need for intensive effort by NRC over the next few years to upgrade the regulatory program in this area. The Commission has also endorsed the findings of the EPA–NRC Joint Task Force for policy development in this area. Implementation of these reports by the NRC in its staff guidance is necessary for the NRC to be as effective as possible in assisting those governmental units and those utilities responsible for execution of the plans.

The Commission acknowledges the input of over one hundred commenters to date on the proposal to adopt new regulations. The staff evaluation of these comments is incorporated by reference herein as part of the record in this rulemaking proceeding.

In addition, the Commission acknowledges the important contributions made this year by various official commenters on the state of emergency planning around nuclear facilities, whose views are included as part of the basis for these reguations. The first of these was the report of the General Accounting Office issued coincident with the TMI accident which explicitly recommended that no new nuclear power plants be permitted to operate "unless offsite emergency plans have been concurred in by the NRC," as a way to insure better emergency protection. GAO Report, EMD–78–110. "Areas Around Nuclear Facilities Should Be Better Prepared for Radiological Emergencies" (March 30, 1979). In addition, the NRC Authorization Bill for FY 1980 (S. 562) would amend the Atomic Energy Act to require a concurred-in State plan as a condition of operation. The policy consideration that underlies this provision would be consistent with the Commission's views of the health and safety significance of emergency planning. One of the Commission's House Oversight Subcommittees developed a comprehensive document on the status of emergency planning which recommended that NRC, in a leadership capacity, undertake efforts to upgrade its licensees' emergency plans and State and local plans. House Report No. 96–413, "Emergency Planning Around U.S. Nuclear Power Plants," 96th Cong., 1st Sess. (August 8, 1979). The Report's recommendations were significant and its findings about the need for improved emergency preparedness lend support to the NRC's own efforts to assure that the public is protected. Finally, the President's Commission on the Accident at Three Mile Island has recently recommended approved State and local plans as a condition for resuming licensing. This Commission's Report and its supporting Staff Reports on emergency responses and preparedness are indicative of many of the problems which the NRC would address in this rule. In this regard the Commission notes that the already extensive record made on emergency planning improvements will be supplemented by the report of its own Special Inquiry Group and other ongoing investigations, by any requirements of the NRC Authorization Act, and by the public comments solicited by this proposed rule.

The proposed rule meets many of the concerns discussed in the above mentioned reports and publications. However, the Commission notes that the proposed rule is considered as an

interim upgrade of NRC emergency planning regulations and, in essence, clarifies and expands areas that have been perceived to be deficient as a result of past experiences. Because the Commission anticipates that further changes in the emergency planning regulations may be proposed as more experience is gained with implementing these revised regulations, as the various Three Mile Island investigations are concluded, and as the results become available from efforts in such areas as instrumentation and monitoring and generic studies of accident models, these proposed rules may require further modifications. Thus the proposed rule changes should be viewed as a first step in improving emergency planning.

Publication of these proposed rule changes in the **Federal Register** supersedes and thus eliminates the need to continue development of the proposed rule change to 10 CFR Part 50, Appendix E (43 FR 37473), published on August 23, 1978, regarding Emergency Planning considerations outside the Low Population Zone (LPZ).

The Commission is considering whether construction permits which have already been issued should be reconsidered because of the emergency planning considerations of this rule. For plants in operation, NRC teams are now meeting with licensees to upgrade licensee, State and local emergency plans and implementing procedures.

In developing these proposed rule changes, the Commission has considered the potential consequences, social and economic, as well as safety, of the shutdown of an operating nuclear power plant. Under both alternatives, the substantive criteria to be applied in evaluating whether or not a licensee should be allowed to continue to operate the reactor are the same. Thus, both alternatives reflect the view that, while emergency planning is important for public health and safety, the increment of risk involve in permitting operation for a limited time in the absence of concurred-in plans may not be undue in every case.

However, the alternative rule changes differ primarily in the course of action that would follow either non-concurrence, lack of concurrence, or withdrawal of concurrence in relevant State or local emergency plans. Under one alternative (Alternative A) an order to show cause why the licensee should not shut down the plant may be issued in this circumstance, but the order to show cause would not be made immediately effective unless the Commission decided in the particular cases that the safety risks were sufficiently serious to warrant such immediate action. Under the other alternative (Alternative B), the licensee would be required to shut down the plant immediately in this circumstance. Unless and until an exemption is granted, the licensee will not be allowed to operate the reactor.

The NRC contemplates that under Alternative A initial concurrence and subsequent withdrawal, if necessary, would be noted in local newspapers. Under Alternative B, public notice of any initial concurrence or withdrawal of concurrence would be made both in the **Federal Register** and in local newspapers. Notice in the **Federal Register** and in local newspapers will also be provided of any required suspension of operation, any request for an exemption from this requirement, and any request that an operating license be exempt from the requirement for concurred-in plans. Public comments will be welcomed. If significant interest in meeting with the staff is expressed, the staff may hold public meetings in the vicinity of the site to receive and discuss comments and to answer questions.

Accordingly, in the discharge of its duties to assure the adequate protection of the public health and safety, the Commission has decided to issue proposed rules for public comment. The proposed changes to 10 CFR 50.33, 50.47, and 50.54 apply to nuclear power reactors only. However, the proposed Appendix E to 10 CFR Part 50 applies to production and utilization facilites in general except as noted in the proposed Appendix E. These proposals, comments, other official reports, and views expressed at the public workshops will be factored into the final rule, which the NRC now anticipates will be published in early 1980.

Pursuant to the Atomic Energy Act of 1954, as amended, the Energy Reorganization Act of 1974, and section 553 of title 5 of the United States Code, notice is hereby given that adoption of the following amendments to 10 CFR Part 50 and Appendix E to 10 CFR Part 50 is contemplated.

Copies of comments received on the proposed amendments may be examined in the Commission's Public Document Room at 1717 H Street, NW., Washington, DC, and at local Public Document Rooms.

PART 50—DOMESTIC LICENSING OF PRODUCTION AND UTILIZATION FACILITIES

1. Paragraph (g) of § 50.33 is revised to read as follows:

§ 50.33 Contents of applications; general information.

* * * * *

(g) If the application is for an operating license for a nuclear power reactor, the applicant shall submit radiological emergency response plans of State and local governmental entities in the United States that are wholly or partially within the plume exposure pathway Emergency Planning Zone (EPZ), as well as the plans of State governments wholly or partially within the ingestion pathway EPZ.[1] Generally, the plume exposure pathway EPZ for nuclear power reactors shall consist of an area about 10 miles in radius and the ingestion pathway EPZ shall consist of an area about 50 miles in radius. The exact size and configuration of the EPZs surrounding a particular nuclear power reactor shall be determined in relation to the emergency response needs and capabilities as they are affected by such local conditions as demography, topography, land characteristics, access routes, and local jurisdictional boundaries. The plans for the ingestion pathway shall focus on such less immediate actions as are appropriate to protect the food ingestion pathway.

2. A new § 50.47 is added. Alternative versions of the first paragraph are presented.

§ 50.47 Emergency plans.

[**Alternative A:** (a) No operating license for a nuclear power reactor will be issued unless the emergency response plans submitted by the applicant in accordance with § 50.33(g) have been reviewed and concurred in by the NRC.[2] In the absence of one or more concurred-in plans, the applicant will have an opportunity to demonstrate to the satisfaction of the Commission that deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons to permit operation.] OR

[**Alternative B:** (a) No operating license for a nuclear power reactor will be issued unless the emergency response plans submitted by the applicant in accordance with § 50.33(g) have been reviewed and concurred in by the NRC.[2] An applicant may request an exemption from this requirement based upon a demonstration by the applicant that any deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons to permit operation. No such operating license will be issued unless NRC finds that appropriate protective actions, including evacuation when necessary, can be taken for any reasonably anticipated population within the plume exposure EPZ.]

(b) Generally, the plume exposure pathway EPZ for nuclear power plants shall consist of an area about 10 miles in radius and the ingestion pathway EPZ shall consist of an area about 50 miles in radius. The exact size and configuration of the EPZs surrounding a particular nuclear power reactor shall be determined in relation to the emergency response needs and capabilities as they are affected by such local conditions as demography, topography, land characteristics, access routes, and local jurisdictional boundaries. The plans for the ingestion pathway shall focus on such less immediate actions as are appropriate to protect the food ingestion pathway.

3. Section 50.54 is amended by adding four new paragraphs, (s), (t), (u) and (v). Alternative passages for paragraphs (s) and (t) are provided:

§ 50.54 Conditions of licenses.

* * * * *

(s) Each licensee who is authorized to possess and/or operate a nuclear power reactor shall submit within 60 days of the effective date of this amendment the radiological emergency response plans of State and local governmental entities in the United States that are wholly or partially within the plume exposure pathway EPZ, as well as the plans of State governments wholly or partially within the ingestion pathway EPZ.[1] Generally, the plume exposure pathway EPZ for nuclear power reactors shall consist of an area about 10 miles in radius and the ingestion pathway EPZ shall consist of an area about 50 miles in radius. The exact size and configuration of the EPZs for a particular nuclear power reactor shall be determined in relation to the emergency response needs and capabilities as they are affected by such local conditions as demography, topography, and land characteristics, access routes, and local jurisdictional boundaries. The plans for the ingestion pathway shall focus on such less immediate actions as are appropriate to protect the food ingestion pathway. [**Alternative A:** If the appropriate State and local government emergency response plans have not been concurred in [2] within 180 days of the effective date of the final amendments or by January 1, 1981, whichever is sooner, the Commission will make a determination whether the reactor should be shut down. The reactor need not be shut down if the licensee can demonstrate to the Commission's satisfaction that the deficiencies in the plan are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation.] OR [**Alternative B:** If the plans submitted by the licensee in accordance with the subsection have not been concurred in by NRC within 180 days of the effective date of this amendment or by January 1, 1981, whichever is sooner, the reactor in question will be shut down until the concurrences have been obtained. The licensee may request an exemption from this requirement based upon a demonstration that any deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation. However, unless and until this exemption has been granted by the Commission, the plant shall be maintained in the shutdown condition.]

[**Alternative A:** (t) If, after 180 days following the effective date of these amendments or January 1, 1981, whichever is sooner, and during the operating license period of a nuclear power reactor the Commission determines that the appropriate State and local government emergency response plans do not warrant continued NRC concurrence and such State or local government fails to correct such deficiencies within 4 months of the date of notification of the defects, the Commission will make a determination whether the reactor shall be shut down until the plan is submitted and has again received NRC review and concurrence. The reactor need not be shut down if the licensee can demonstrate to the Commission's satisfaction that the deficiencies in the plan are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation.] OR

[**Alternative B:** (t) If, after 180 days following the effective date of these amendments or after January 1, 1981, whichever is sooner, and during the operating license period of a nuclear power reactor, the Commission determines that the appropriate State or local government emergency response plans do not warrant continued NRC concurrence and such State or local government fails to correct such deficiencies within 4 months of the date of notification of the defects, the reactor in question will be shut down. The licensee may request an exemption from this requirement based upon a demonstration that any deficiencies in the plans are not significant for the plant in question, that alternative compensating actions have been or will be taken promptly, or that there are other compelling reasons for continued operation. However, unless and until this exemption has been granted by the Commission, the plant shall be maintained in the shutdown condition.]

(u) The licensee of a nuclear power reactor shall provide for the development, revision, implementation and maintenance of its emergency preparedness program. To this end, the licensee shall provide for an independent review of its emergency preparedness program at least every 12 months by licensee, employees, contractors, or other persons who have no direct responsibility for implementation of the emergency preparedness program. The review shall include a review and audit of licensee drills, exercises, capabilities, and procedures. The results of the review and audit, along with recommendations for improvements, shall be documented, reported to the licensee's corporate and plant management, and kept available at the plant for inspection for a period of five years.

(v) Within 180 days after the effective date of the final rules or by January 1, 1981, whichever is sooner, each licensee who is authorized to possess and/or operate a production or utilization facility shall have plans for coping with emergencies which meet the requirements of Appendix E of this Chapter.

4. 10 CFR Part 50, Appendix E, is amended as follows:

* * * * *

Appendix E—Emergency Planning and Preparedness for Production and Utilization Facilities[1]

I. Introduction

Each applicant for a construction permit is required by § 50.34(a) to include in its

[1] Emergency Planning Zones (EPZs) are discussed in NUREG-0396, "Planning Basis for the Development of State and Local Government Radiological Emergency Response Plans in Support of Light Water Nuclear Power Plants."

[2] NRC staff guidance for the preparation and evaluation of State and local emergency response plans leading to NRC concurrence is contained in NUREG 75/111, "Guide and Checklist for Development and Evaluation of State and Local Government Radiological Emergency Response Plans in Support of Fixed Nuclear Facilities" (December 1, 1974) and Supplement 1 thereto dated March 15, 1977.

[1] NRC staff has developed three regulatory guides: 1.101, "Emergency Planning for Nuclear Power Plants," 2.6, "Emergency Planning for Research Reactors," and 3.42, "Emergency Planning in Fuel Cycle Facilities and Plants Licensed Under 10 CFR Parts 50 and 70"; and NUREG–0610, "Draft Emergency Level Action Guidelines for Nuclear Power Plants" (September 1979) to help applicants establish adequate plans required pursuant to

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preliminary safety analysis report a discussion of preliminary plans for coping with emergencies. Each applicant for an operating license is required by § 50.34(b) to include in its final safety analysis report plans for coping with emergencies.

This appendix establishes minimum requirements for emergency plans for use in attaining a state of emergency preparedness. These plans shall be described in the preliminary safety analysis report and submitted as a part of the final safety analysis report. The potential radiological hazards to the public associated with the operation of research and test reactors are considerably less than those involved with nuclear power reactor. Consequently, the size of the EPZs for Research and Test reactors and the degree to which compliance with the requirements of this section and sections II, III, IV and V is necessary will be determined on a case-by-case basis using Regulatory Guide 2.6 as a standard for acceptance. State and local government emergency response plans, which may include the plans of offsite support organizations, shall be submitted with the applicant's emergency plans.

II. The Preliminary Safety Analysis Report

The Preliminary Safety Analysis Report shall contain sufficient information to ensure the compatibility of proposed emergency plans both for onsite areas and the EPZs with facility design features, site layout, and site location with respect to such considerations as access routes, surrounding population distributions, and land use for the Emergency Planning Zones [2] (EPZs).

As a minimum, the following items shall be described:

A. Onsite and offsite organizations for coping with emergencies, and the means for notification, in the event of an emergency, of persons assigned to the emergency organizations;

B. Contacts and arrangements made and documented with local, State, and Federal governmental agencies with responsibility for coping with emergencies, including identification of the principal agencies.

[Alternative A: C. Protective measures to be taken in the event of an accident within the site boundary and within each EPZ to protect health and safety; corrective measures to prevent damage to onsite and offsite property; and the expected response, in the event of an emergency, of offsite agencies] OR

[Alternative B: C. Protective measure to be taken in the event of an accident within the site boundary and within each EPZ to protect health and safety; procedures by which these measures are to be carried out (*e.g.*, in the case of an evacuation, who authorizes the evacuation, how the public is to be notified and instructed, how the evacuation is to be carried out); and the expected response, in the event of an emergency, of offsite agencies];

D. Features of the facility to be provided for onsite emergency first aid and decontamination, and for emergency transportation of onsite individuals to offsite treatment facilities;

E. Provisions to be made for emergency treatment at offsite facilities of individuals injured as a result of licensed activities;

F. Provisions for a training program for employees of the licensee, including those who are assigned specific authority and responsibility in the event of an emergency, and for other persons not employees of the licensee whose assistance may be needed in the event of a radiological emergency;

G. Features of the facility to be provided to ensure the capability for actuating onsite protective measures and the capability for facility reentry in order to mitigate the consequences of an accident or, if appropriate, to continue operation;

H. A preliminary analysis which projects the time and means to be employed in the notification of State and local governments and the public in the event of an emergency. A preliminary analysis of the time required to evacuate various sectors and distances within the plume exposure pathway EPZ for transient and permanent populations.

III. The Final Safety Analysis Report

The Final Safety Analysis Report shall contain the emergency plans for coping with emergencies. The plans shall be an expression of the overall concept of operation, which describe the essential elements of advance planning that have been considered and the provisions that have been made to cope with emergency situations. The plans shall incorporate information about the emergency response roles of supporting organizations and offsite agencies. That information shall be sufficient to provide assurance of coordination among the supporting groups and between them and the licensee.

[Alternative A: The plans submitted must include a description of the elements set out in Section IV to an extent sufficient to demonstrate that the plans provide reasonable assurance that appropriate measures can and will be taken in the event of an emergency to protect public health and safety and minimize damage to property within the Emergency Planning Zones (EPZs).[2]] OR

[Alternative B: The plans submitted must include a description of the elements set out in Section IV to an extent sufficient to demonstrate that the plans provide reasonable assurance that appropriate measures can and will be taken in the event of an emergency to protect public health and safety within the Emergency Planning Zones (EPZs).[2]]

IV. Content of Emergency Plans

The applicant's emergency plans shall contain, but not necessarily be limited to, the following elements: organization for coping with radiation emergencies, assessment action, activation of emergency organization, notification procedures, emergency facilities and equipment, training, maintaining emergency preparedness, and recovery. The applicant shall also provide an analysis of the time required to evacuate various sectors and distances within the plume exposure pathway EPZ for transient and permanent populations.

A. Organization

The organization for coping with radiological emergencies shall be described including definitions of authorities, responsibilities and duties of individuals assigned to licensee's emergency organization, and the means of notification of such individuals in the event of an emergency. Specifically, the following shall be included:

1. A description of the normal plant operating organization.

2. A description of the onsite emergency response organization with a detailed discussion of:

a. Authorities, responsibilities and duties of the individual(s) who will take charge during an emergency;

b. Plant staff emergency assignments;

c. Authorities, responsibilities, and duties of an onsite emergency coordinator who shall be in charge of the exchange of information with offsite authorities responsible for coordinating and impelementing offsite emergency measures.

3. A description of the licensee headquarters personnel that will be sent to the plant site to provide augmentation of the onsite emergency organization.

4. Identification, by position, of persons within the licensee organization who will be responsible for making offsite dose projections and a description of how these projections will be made and the results transmitted to State and local authorities, NRC, FEMA and other appropriate governmental entities.

5. Identification, by position and function, of other employees of the licensee with special qualifications for coping with emergency conditions which may arise. Other persons with special qualifications, such as consultants, who are not employees of the licensee and who may be called upon for assistance for short- or long-term emergencies shall also be identified. The special qualifications of these persons shall be described.

6. A description of the local offsite services to be provided in support of the licensee emergency organization.

7. Identification of and expected assistance from appropriate State, local, and Federal agencies with responsibilities for coping with emergencies.

8. Identification of the State and/or local officials responsible for planning for, ordering, notification of, and controlling

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§ 50.34 and this Appendix for coping with emergencies. Copies of the guides are available at the Commission's Public Document Room, 1717 H Street, NW., Washington, D.C. 20555. Copies of guides may be purchased from the Government Printing Office. Information on current prices may be obtained by writing the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Publications Sales Manager.

[2] The size of the EPZs for a nuclear power plant shall be determined in relation to the emergency response needs and capabilities as they are affected by such local conditions as demography, topography, land characteristics, access routes, and local jurisdictional boundaries. Generally, the plume exposure pathway EPZ for light water nuclear power plants shall consist of an area about 10 miles radius and the ingestion pathway EPZ an area about 50 miles in radius. EPZs are discussed in NUREG–0396. The size of the EPZ's for non-power reactors shall be determined on a case-by-case basis.

appropriate protective actions, including evacuations when necessary.

B. Assessment Actions

The means to be provided for determining the magnitude and continued assessment of the release of radioactive materials shall be described including emergency action levels that are to be used as criteria for determining the need for notification and participation of local and State agencies and the Commission and other Federal agencies, and the emergency action levels that are to be used as criteria along with appropriate meteorological information for determining when protective measures should be considered within the outside the site boundary to protect health and safety and prevent damage to property. The emergency action levels shall be based on in-plant conditions and instrumentation in addition to onsite and offsite monitoring. These emergency action levels shall be discussed and agreed upon by the applicant and State and local governmental authorities and approved by NRC. They shall also be reviewed with the State and local governmental authorities on an annual basis.

C. Activation of Emergency Organization

The entire spectrum of emergency conditions which involve the alerting or activation of progressively larger segments of the total emergency organization shall be described. The communication steps taken to alert or activate emergency personnel under each class of emergency shall be described. Emergency action levels (based not only on onsite and offsite radiation monitoring information but also on readings from a number of sensors that indicate a potential emergency such as the pressure in containment and the response of the Emergency Core Cooling System) for notification of offsite agencies shall be described. The existence, but not the details, of a message authentication scheme shall be noted for such agencies.

D. Notification Procedures

1. Administrative and physical means for notifying, and agreements reached with, local, State, and Federal officials and agencies for the early warning of the public and for public evacuation or other protective measures, should they become necessary, shall be described. This description shall include identification of the principal officials, by title and agencies, for the Emergency Planning Zones [2] (EPZs).

2. Provisions shall be described for the yearly dissemination to the public within the plume exposure pathway EPZ of basic emergency planning information such as the possibility of nuclear accidents, the potential human health effects of such accidents and their causes, methods of notification, and the protective actions planned if an accident occurs, as well as a listing of local broadcast network that will be used for dissemination of information during an emergency.

3. Administrative and physical means, and the time required, shall be described for alterting and providing prompt instructions [3] to the public within the plume exposure pathway Emergency Planning Zone. It is the applicant's responsibility to ensure that such means exist, regardless of who implements this requirement.

E. Emergency Facilities and Equipment

Provisions shall be made and described for emergency facilities and equipment, including:

1. Equipment at the site for personnel monitoring;

2. Equipment for determining the magnitude of and for continuously assessing the release of radioactive materials to the environment;

3. Facilities and supplies at the site for decontamination of onsite individuals;

4. Facilities and medical supplies at the site for appropriate emergency first aid treatment;

5. Arrangements for the services of a physician and other medical personnel qualified to handle radiation emergencies;

6. Arrangements for transportation of injured or contaminated individuals from the site to treatment facilities outside the site boundary;

7. Arrangements for treatment of individuals injured in support of licensed activities on the site at treatment facilities outside the site boundary;

8. One onsite technical support center and one near-site emergency operation center from which effective direction can be given and effective control can be exercised during an emergency;

9. At least one onsite and one offsite communications system, including redundant power sources. This will include the communication arrangements for emergencies, including titles and alternates for those in charge at both ends of the communication links and the primary and backup means of communication. Where consistent with function of the governmental agency, these arrangements will include:

a. Provision for communications with contiguous State/local governments within the plume exposure pathway Emergency Planning Zone. Such communications shall be tested monthly.

b. Provision for communications with Federal emergency response organizations. Such communications systems shall be tested annually.

c. Provision for communications between the nuclear facility, State and/or local emergency operations centers, and field assessment teams. Such communications systems shall be tested annually.

F. Training

The program to provide for (1) the training of employees and exercising, by periodic drills, of radiation emergency plans to ensure that employees of the licensee are familiar with their specific emergency response duties, and (2) the participation in the training and drills by other persons whose assistance may be needed in the event of a radiation emergency shall be described. This shall include a description of specialized initial training and periodic retraining programs to be provided to each of the following categories of emergency personnel:

a. Directors or coordinators of the plant emergency organization.

b. Personnel responsible for accident assessment, including control room shift personnel.

c. Radiological monitoring teams.

d. Fire control teams (fire brigades).

e. Repair and damage control teams.

f. First aid and rescue teams.

g. Local services personnel, *e.g.*, local Civil Defense, local law enforcement personnel, and local news media persons.

h. Medical support personnel.

i. Licensee's headquarters support personnel.

j. Security personnel.

The plan shall describe provisions for the conduct of yearly drills and exercises to test the adequacy of timing and content of implementing procedures and methods, to test emergency equipment and communication networks, and to ensure that emergency organization personnel are familiar with their duties. Such provisions shall specifically include participation by offsite personnel as described above as well as other State and local governmental agencies. The plan shall also describe provisions for a joint exercise involving the Federal, State, and local response organizations. The scope of such an exercise should test as much of the emergency plans as is reasonably achievable without involving full public participation. Definitive performance criteria shall be established for all levels of participation to ensure an objective evaluation. This joint Federal, State, and local exercise shall be:

1. For presently operating plants, initially within one year of the effective date of this amendment and once every [Alternative A: three years] or [Alternative B: five years] thereafter.

3. For a plant for which an operating license is issued after the effective date of this amendment, initially within one year of the issuance of the operating license and once every [Alternative A: three years] or [Alternative B: five years] thereafter.

All training provisions shall provide for formal critiques in order to evaluate the emergency plan's effectiveness and to correct weak areas through feedback with emphasis on schedules, lesson plans, practical training, and periodic examinations.

G. Maintaining Emergency Preparedness

Provisions to be employed to ensure that the emergency plan, its implementing procedures and emergency equipment and supplies are maintained up to date shall be described.

H. Recovery

Criteria to be used to determine when to the extent possible, following an accident, reentry of the facility is appropriate or when operation should be continued.

V. Implementing Procedures

No less than 180 days prior to scheduled issuance of an operating license, 10 copies each of the applicant's detailed implementing procedures for its emergency plan shall be submitted to NRC Headquarters and to the appropriate NRC Regional Office: Provided that, in cases where the operating license is

[3] It is expected that the capability will be provided to essentially complete alerting of the public within the plume exposure pathway EPZ within 15 minutes of the notification by the licensee of local and State officials.

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scheduled to be issued less than 180 days after the effective date of this rule, such implementing procedures shall be submitted as soon as practicable. Within 60 days after the effective date for compliance under § 50.54(v) with the revised Appendix E, licensees who are authorized to operate a nuclear power facility shall submit 10 copies each of the licensee's emergency plan implementing procedures to NRC Headquarters and to the appropriate NRC Regional Office. As necessary to maintain them up to date thereafter, 10 copies each of any changes to these implementing procedures shall be submitted to NRC Headquarters and to the same NRC Regional Office within 30 days of such changes.

(Sec. 161, Pub. L. 83–703, 68 Stat. 948 (42 U.S.C. 2201); Sec. 201, as amended, Pub. L. 93–438, 88 Stat. 1242, Pub. L. 94–79, 89 Stat. 413 (42 U.S.C. 5341).)

Dated at Washington, D.C. this 13th day of December 1979.

For the Nuclear Regulatory Commission.

Samuel J. Chilk,

Secretary of the Commission.

[FR Doc. 79–38905 Filed 12–18–79; 8:45 am]

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DEPARTMENT OF ENERGY

Economic Regulatory Administration

10 CFR Part 570

[Docket No. ERA–R–79–54]

Standby Gasoline Rationing Plan

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of Additional Public Hearing.

SUMMARY: On December 7, 1979, the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) issued a notice of proposed rulemaking and public hearings to receive comments on its proposed Standby Gasoline Rationing Plan (44 FR 70799, December 10, 1979). Public hearings are scheduled for Boston, MA, San Francisco, CA, Chicago, IL, New Orleans, LA and Washington, DC.

The purpose of this notice is to schedule a additional public hearing on the proposed Standby Gasoline Rationing Plan in Seattle, WA.

DATES: Hearing: January 3 and 4, 1980, beginning at 9:30 a.m. Requests to speak must be received by December 28, 1979.

ADDRESSES: Hearing location: New Federal Building, 915 2nd Avenue, South Auditorium (4th Floor), Seattle, WA 98174.

Requests to speak should be addressed to: Department of Energy, Attn: Janet Marcan, 1992 Federal Building, 915 2nd Avenue, Seattle, WA 98174.

FOR FURTHER INFORMATION CONTACT: Benton F. Massell (Office of Regulations and Emergency Planning), Economic Regulatory Administration, Room 7112, 2000 M Street, N.W., Washington, D.C. 20461 (202) 254–7303.

Issued in Washington, D.C., December 13, 1979.

F. Scott Bush,

Assistant Administrator, Regulations and Emergency Planning, Economic Regulatory Administration.

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FEDERAL RESERVE SYSTEM

12 CFR Part 210

[Reg. J; Docket No. R–0266]

Collection of Checks and Other Items and Transfer of Funds

AGENCY: Board of Governors of the Federal Reserve System.

ACTION: Proposed rules.

SUMMARY: By this action the Board proposes to clarify and simplify its regulations on the collection of checks and other items and for wire transfers of funds. It is not intended that any substantive changes be made in the duties and responsibilities that are set forth in these regulatory provisions.

DATE: Comments must be received on or before February 15, 1980.

ADDRESS: Comments, which should refer to Docket No. R–0266, may be mailed to Theodore E. Allison, Secretary, Board of Governors of the Federal Reserve System, 20th Street and Constitution Avenue, NW., Washington, D.C. 20551, or delivered to Room B–2223 between 8:45 a.m. and 5:15 p.m. Comments received may also be inspected at Room B–1122 between 8:45 a.m. and 5:15 p.m., except as provided in section 261.6(a) of the Board's Rules Regarding Availability of Information (12 CFR 261.6(a)).

FOR FURTHER INFORMATION CONTACT: Lee S. Adams, Senior Attorney (202/452–3594), Legal Division, Board of Governors of the Federal Reserve System, Washington, D.C. 20551.

SUPPLEMENTARY INFORMATION: As part of its Regulatory Improvement Project, the Board has reviewed the regulatory framework for the collection of checks and other items and for wire transfers of funds that are set forth in Subparts A and B of Regulation J. The Board has determined that, while substantive changes in the regulation were not required, it was desirable to redraft the regulation to clarify and simplify the language. In redrafting Regulation J, the Board was aware that much of the terminology of the regulation is common and legally recognized through its consistency with the Uniform Commercial Code. Although language improvements were made to achieve brevity and clarity, care was taken not to alter legal concepts through stylistic change.

The Board notes that the revised material was drafted to conform generally with the new part of Regulation J, Subpart C (Automated Clearing House Items) which the Board recently approved for public comment (44 FR 67995). Only minor editorial changes will be required to conform a final version of Subpart C with the revised Subparts A and B.

This notice is published pursuant to section 553(b) of Title 5, United States Code, and § 262.2(a) of the rules of procedure of the Board of Governors. The proposal is made under the authority of sections 11 and 16 of the Federal Reserve Act (12 U.S.C. 248 (j), (o)), which authorize the Board to promulgate rules governing the transfers of funds through Federal Reserve Banks. To aid in the consideration of this material by the Board, interested persons are invited to submit relevant data, views, comments, or arguments.

To implement its proposal, the Board is considering amending Regulation J (12 CFR Part 210) as set forth below:

[Reg. J]

PART 210—COLLECTION OF CHECKS AND OTHER ITEMS AND WIRE TRANSFERS OF FUNDS

Subpart A—Collection of Checks and Other Items

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210.35 Revocation of transfer items and requests.
210.36 Final payments; use of funds.
210.37 Timeliness of action.
210.38 Reserve Bank liability.

Authority: Federal Reserve Act, sec. 13, as Amended (12 U.S.C. 342); sec. 16 (12 U.S.C. 248(o); sec. 11(i) (12 U.S.C. 248(i), and other laws.

Subpart A—Collection of Checks and Other Items

§ 210.1 Authority, purpose, and scope.

The Board of Governors of the Federal Reserve System ("Board") has issued this subpart pursuant to the Federal Reserve Act, section 13, as amended (12 U.S.C. 342), section 16 (12 U.S.C. 248(o), 360), section 11(i) (12 U.S.C. 248(i)), and other laws. This subpart governs the collection of checks and other cash and noncash items by Federal Reserve Banks ("Reserve Banks"). Its purpose is to provide rules for collecting items and settling balances.

§ 210.2 Definitions.

As used in this subpart, unless the context otherwise requires:

(a) "Actually and finally collected funds" means cash or any other form of payment that is, or has become, final and irrevocable.

(b) "Bank draft" means a check drawn by one bank on another bank.

(c) "Banking day" means a day during which a bank is open to the public for carrying on substantially all its banking functions.

(d) "Cash item" means:

(1) A check other than one classified as a noncash item under this section; or

(2) Any other item payable on demand and collectible at par that the Reserve Bank of the District in which the item is payable is willing to accept as a cash item.

(e) "Check" means a draft, as defined in the Uniform Commercial Code, that is drawn on a bank and payable on demand.

(f) "Item" means an instrument for the payment of money, whether negotiable or not, that is:

(1) Payable in a Federal Reserve District [1] ("District");

(2) Sent by a sender to a Reserve Bank for handling under this subpart; and

(3) Collectible in funds acceptable to the Reserve Bank of the District in which the instrument is payable.

Unless otherwise indicated, "item" includes both cash and noncash items. "Item" does not include a check that cannot be collected at par, [2] or an "item" as defined in § 210.26 that is handled in accordance with Subpart B of this part.

(g) "Nonbank payor" means a payor of an item, other than a bank.

(h) "Noncash item" means an item that a receiving Reserve Bank classifies in its operating circulars as requiring special handling. The term also means an item normally received as a cash item if a Reserve Bank decides that special conditions require that it handle the item as a noncash item.

(i) "Paying bank" means:

(1) The bank by which an item is payable, unless the item is payable or collectible through another bank and is sent to the other bank for payment or collection; or

(2) The bank through which an item is payable or collectible and to which it is sent for payment or collection.

(j) "Sender" means a member bank, a nonmember clearing bank, a Reserve Bank, an international organization, or a foreign correspondent that sends an item.

(1) "Nonmember clearing bank" means:

(i) A bank that is not a member of the Federal Reserve System, but maintains with a Reserve Bank the balance referred to in the first paragraph of section 13 of the Federal Reserve Act; or

(ii) A corporation that maintains an account with a Reserve Bank in conformity with § 211.4 of this chapter (Regulation K).

(2) "International organization" means an international organization for which the Reserve Banks are empowered to act as depositaries or fiscal agents and for which a Reserve Bank maintains an account.

(3) "Foreign correspondent" means any of the following for which a Reserve Bank maintains an account: a foreign bank or banker, a foreign state as defined in section 25(b) of the Federal Reserve Act (12 U.S.C. 632), or a foreign correspondent or agency referred to in section 14(e) of that Act (12 U.S.C. 358).

(k) "State" means a State of the United States, the District of Columbia, Puerto Rico, or a territory, possession, or dependency of the United States.

[1] For purposes of this subpart, the Virgin Islands and Puerto Rico are deemed to be in the Second District, and Guam and American Samoa in the Twelfth District.

[2] The Board publishes a "Memorandum on Exchange Charges," listing the banks that would impose exchange charges on cash items and other checks forwarded by Reserve Banks and therefore would not pay at par.

§ 210.3 General provisions.

(a) *General.* Each Reserve Bank shall receive and handle items in accordance with this subpart, and shall issue operating circulars governing the details of its handling of items and other matters deemed appropriate by the Reserve Bank. The circulars may, among other things, classify cash items and noncash items, require separate sorts and letters, and provide different closing times for the receipt of different classes or types of items.

(b) *Binding effect.* This subpart and the operating circulars of the Reserve Banks are binding on the sender of an item and on each collecting bank, paying bank, and nonbank payor, to which a Reserve Bank (or a subsequent collecting bank) presents or sends an item.

(c) *Government Items.* As depositaries and fiscal agents of the United States, Reserve Banks handle certain items as cash or noncash items. To the extent provided by regulations issued by, and arrangements made with, the United States Treasury Department and other Government departments and agencies, the handling of such items by the Reserve Banks is governed by this subpart. The Reserve Banks shall include in their operating circulars such information regarding these regulations and arrangements as the Reserve Banks deem appropriate.

(d) *Government Senders.* Except as otherwise provided by statutes of the United States, or regulations issued or arrangements made thereunder, this subpart and the operating circulars of the Reserve Banks apply to the following when acting as a sender: A department, agency, instrumentality, independent establishment, or office of the United States, or a wholly owned or controlled Government corporation, that maintains or uses an account with a Reserve Bank.

§ 210.4 Sending Items to Reserve Banks.

(a) A sender may send any item to the Reserve Bank with which it maintains or uses an account, but that Reserve Bank may permit or require the sender to send direct to another Reserve Bank an item payable within the other Reserve Bank's District.

(b) With respect to an item sent direct, the relationships and the rights and liabilities between the sender, the Reserve Bank of its District, and the Reserve Bank to which the item is sent are the same as if the sender had sent the item to the Reserve Bank of its District and that Reserve Bank had sent the item to the other Reserve Bank.

(c) The Reserve Banks shall receive cash items and other checks at par.

§ 210.5 Sender's agreement; recovery by Reserve Bank.

(a) *Sender's agreement.* By sending an item to a Reserve Bank, the sender:

(1) Authorizes the receiving Reserve Bank (and any other Reserve Bank or collecting bank to which the item is sent) to handle the item subject to this subpart and to the Reserve Banks' operating circulars, and warrants its authority to give this authorization;

(2) Warrants to each Reserve Bank handling the item that: (i) The sender has good title to the item or is authorized to obtain payment on behalf of one who has good title (whether or not this warranty is evidenced by the sender's express guaranty of prior endorsements on the item); and (ii) to the extent prescribed by State law applicable to a Reserve Bank or subsequent collecting bank handling the item, the item has not been materially altered; but this subparagraph (2) does not limit any warranty by a sender arising under State law; and

(3) Agrees to indemnify each Reserve Bank for any loss or expense sustained (including attorneys' fees and expenses of litigation) resulting from (i) the sender's lack of authority to make the warranty in paragraph (a)(1) of this section; (ii) any action taken by the Reserve Bank within the scope of its authority in handling the item; or (iii) any warranty made by the Reserve Bank under § 210.6(b).

(b) *Recovery by Reserve Bank.* If an action or proceeding is brought against a Reserve Bank that has handled an item, based on:

(1) The alleged failure of the sender to have the authority to make the warranty and agreement in paragraph (a)(1) of this section;

(2) Any action by the Reserve Bank within the scope of its authority in handling the item; or

(3) Any warranty made by the Reserve Bank under § 210.6(b),

the Reserve Bank may, upon the entry of a final judgment or decree, recover from the sender the amount of attorneys' fees and other expenses of litigation incurred, as well as any amount the Reserve Bank is required to pay under the judgment or decree, together with interest thereon.

(c) *Methods of recovery.* The Reserve Bank may recover the amount stated in paragraph (b) of this section by charging any account on its books that is maintained or used by the sender (or if the sender is another Reserve Bank, by entering a charge against the other Reserve Bank through the Interdistrict Settlement Fund), if:

(1) The Reserve Bank made seasonable written demand on the sender to assume defense of the action or proceeding; and

(2) The sender has not made any other arrangement for payment that is acceptable to the Reserve Bank.

A Reserve Bank that has been charged through the Interdistrict Settlement Fund may recover from its sender in the manner and under the circumstances set forth in this paragraph. A Reserve Bank's failure to avail itself of the remedy provided in this paragraph does not prejudice its enforcement in any other manner of the indemnity agreement referred to in paragraph (a)(3) of this section.

§ 210.6 Status, warranties, and liability of Reserve Bank.

(a)(1) *Status and liability.* A Reserve Bank shall act only as the sender's agent in respect of an item. This agency terminates not later than the time the Reserve Bank receives payment for the item in actually and finally collected funds and makes the proceeds available for use by the sender. A Reserve Bank shall not act as agent or subagent of an owner or holder of an item other than the sender. A Reserve Bank shall not have or assume any liability to the sender in respect of an item or its proceeds except for the Reserve Bank's own lack of good faith or failure to exercise ordinary care.

(2) *Reliance on routing designation appearing on item.* A Reserve Bank may present or send an item based on the routing number or other designation of a paying bank or nonbank payor appearing in any form on the item when the Reserve Bank receives it. A Reserve Bank shall not be responsible for any delay resulting from its acting on any designation, whether inscribed by magnetic ink or by other means, and whether or not the designation acted on is consistent with any other designation appearing on the item.

(b) *Warranties and liability.* By presenting or sending an item, a Reserve Bank warrants to a subsequent collecting bank and to the paying bank and any other payor:

(1) That the Reserve Bank has good title to the item (or is authorized to obtain payment on behalf of one who either (i) has good title or (ii) is authorized to obtain payment on behalf of one who has good title), whether or not this warranty is evidenced by the Reserve Bank's express guaranty of prior endorsements on the item; and

(2) That the item has not been materially altered to the extent prescribed by State law applicable to a Reserve Bank or subsequent collecting bank holding the item.

The Reserve Bank shall not have or assume any other liability to the paying bank or other payor, except for the Reserve Bank's own lack of good faith or failure to exercise ordinary care.

§ 210.7 Presenting items for payment.

(a) *Presenting or sending.* As provided under State law or as otherwise permitted by this section: (1) A Reserve Bank or a subsequent collecting bank may present an item for payment or send the item for presentment and payment; and (2) a Reserve Bank may send an item to a subsequent collecting bank with authority to present it for payment or to send it for presentment and payment.

(b) *Place of presentment.* A Reserve Bank or subsequent collecting bank may present an item:

(1) At a place requested by the paying bank;

(2) At a place requested by the nonbank payor, if the item is payable by a nonbank payor other than through a paying bank;

(3) Under a special collection agreement consistent with this subpart; or

(4) Through a clearing house and subject to its rules and practices.

(c) *Presenting or sending direct.* A Reserve Bank or subsequent collecting bank may, with respect to an item payable in the Reserve Bank's District:

(1) Present or send the item direct to the paying bank, or to a place requested by the paying bank; or

(2) If the item is payable by a nonbank payor other than through a paying bank, present if direct to the nonbank payor. Documents, securities, or other papers accompanying a noncash item shall not be delivered to the nonbank payor before the item is paid unless the sender specifically authorizes delivery.

(d) *Item payable in another district.* A Reserve Bank receiving an item payable in another District ordinarily sends the item to the Reserve Bank of the other District, but with the agreement of the other Reserve Bank, may present or send the item as if it were payable in its own District.

§ 210.8 Presenting noncash items for acceptance.

A Reserve Bank or a subsequent collecting bank may, if instructed by the sender, present a noncash item for acceptance in any manner authorized by law if: (a) the item provides that it must be presented for acceptance; (b) the item is payable elsewhere than at the residence or place of business of the payor; or (c) the date of payment of the item depends on presentment for acceptance. Documents accompanying a noncash item shall not be delivered to the payor upon acceptance of the item unless the sender specifically authorizes delivery. A Reserve Bank shall not have or assume any other obligation to present or to send for presentment for acceptance any noncash item.

§ 210.9 Payment.

(a) *Cash items.* A paying bank becomes accountable for the amount of a cash item received directly or indirectly from a Reserve Bank, at the close of the paying bank's banking day on which it receives [3] the item if it retains the item after the close of that banking day, unless, prior to that time, it pays for the item by:

(1) Debit to an account on the Reserve Bank's books;

(2) Cash; or

(3) In the discretion of the Reserve Bank, any other form of payment.

The proceeds of any payment shall be available to the Reserve Bank by the close of the Reserve Bank's banking day on the banking day of receipt of the item by the paying bank. If the banking day of receipt is not a banking day for the Reserve Bank, payment shall be made on the next day that is a banking day for both the Reserve Bank and the paying bank.

(b) *Noncash items.* A Reserve Bank may require the paying or collecting bank to which it has presented or sent a noncash item to pay for the item in cash, but the Reserve Bank may permit payment by a debit to an account on the Reserve Bank's books or by any of the following that is in a form acceptable to the Reserve Bank: bank draft, transfer of funds or bank credit, or any other form of payment authorized by State law.

(c) *Nonbank payor.* A Reserve Bank may require a nonbank payor to which it has presented an item to pay for it in cash, but the Reserve Bank may permit payment in any of the following that is in a form acceptable to the Reserve Bank: cashier's check, certified check, or other bank draft or obligation.

(d) *Handling of payment.* A Reserve Bank may handle a bank draft or other form of payment it receives in payment of a cash item as a cash item. A Reserve Bank may handle a bank draft or other form of payment it receives in payment of a noncash item as either a cash item or a noncash item.

[3] A paying bank is deemed to receive a cash item on its next banking day if it receives the item:

(1) On a day other than a banking day for it; or

(2) On a banking day for it, but

(i) After its regular banking hours;

(ii) After a "cut-off hour" established by it in accordance with State law; or

(iii) During afternoon or evening periods when it is open for limited functions only.

(e) *Liability of Reserve Bank.* A Reserve Bank shall not be liable for the failure of a collecting bank, paying bank, or nonbank payor to pay for an item, or for any loss resulting from the Reserve Bank's acceptance of any form of payment other than cash authorized in paragraphs (a), (b), and (c) of this section. A Reserve Bank that acts in good faith and exercises ordinary care shall not be liable for the nonpayment of, or failure to realize upon, a bank draft or other form of payment that it accepts under paragraphs (a), (b), and (c).

§ 210.10 Time schedule and availability of credits for cash items.

(a) Each Reserve Bank shall include in its operating circulars a time schedule for each of its offices indicating when the amount of any cash item received by it (or sent direct to another Reserve office for the account of that Reserve Bank) is counted as reserve for purposes of Part 204 of this chapter (Regulation D) and becomes available for use by the sender. The Reserve Bank shall give either immediate or deferred credit in accordance with its time schedule to a sender other than a foreign correspondent. A Reserve Bank ordinarily gives credit to a foreign correspondent only when the Reserve Bank receives payment for the item in actually and finally collected funds, but, in its discretion, a Reserve Bank may give immediate or deferred credit in accordance with its time schedule.

(b) Notwithstanding its time schedule, a Reserve Bank may refuse at an time to permit the use of credit given for any cash item for which the Reserve Bank has not yet received payment in actually and finally collected funds.

§ 210.11 Availability of proceeds of noncash items; time schedule.

(a) *Availability of credit.* A Reserve Bank shall give credit to the sender for the proceeds of a noncash item when it receives payment in actually and finally collected funds (or advice from another Reserve Bank of such payment to it). The amount of the item is counted as reserve for purposes of Part 204 of this chapter (Regulation D) and becomes available for use by the sender when the Reserve Bank receives the payment or advice, except as provided in paragraph (b) of this section.

(b) *Time schedule.* A Reserve Bank may give credit for the proceeds of a noncash item subject to payment in actually and finally collected funds in accordance with a time schedule included in its operating circulars. The time schedule shall indicate when the proceeds of the noncash item will be counted as reserve for purposes of Part 204 of this chapter (Regulation D) and become available for use by the sender. A Reserve Bank may, however, refuse at any time to permit the use of credit given for a noncash item for which the Reserve Bank has not yet received payment in actually and finally collected funds.

(c) *Handling of payment.* If a Reserve Bank receives, in payment for a noncash item, a bank draft or other form of payment that it elects to handle as a noncash item, the Reserve Bank shall neither count the proceeds as reserve for purposes of Part 204 of this chapter (Regulation D) nor make the proceeds available for use unitl it receives payment in actually and finally collected funds.

§ 210.12 Return of cash items.

(a) *Recovery of payment.* A paying bank that receives a cash item directly or indirectly from a Reserve Bank, other than for immediate payment over the counter, and that pays for the item as provided in § 210.9(a) may recover the payment if, before it has finally paid the item, it:

(1) Returns the item before midnight of its next banking day following the banking day of receipt; or

(2) Takes any other action to recover the payment within the times and by the means provided by State law.

These return times may not be extended. If the rules or practices of a clearinghouse through which the item was presented, or a special collection agreement under which the item was presented, provides for a shorter return time, the shorter time governs.

(b) *Paying bank's warranties and agreement.* A paying bank that obtains a credit or refund for the amount of a payment it has made for a cash item:

(1) Warrants to the Reserve Bank (and to a subsequent collecting bank, and to the sender and all prior parties) that it took all action necessary to entitle it to recover its payment within the time limits of: (i) This subpart; (ii) State law, unless a longer time is afforded by this subpart; (iii) the rules or practices of any clearing house through which the item was presented; and (iv) any special collection agreement under which the item was presented; and

(2) Agrees to indemnify the Reserve Bank for any loss or expense sustained (including attorneys' fees and expenses of litigation) resulting from the Reserve Bank's giving the credit or refund to the paying bank, or charging, or obtaining a refund from, the sender.

A Reserve Bank shall not have or assume any responsibility for

determining whether the action taken by a paying was timely.

§ 210.13 Chargeback of unpaid items.

(a) *Right of chargeback.* If a Reserve Bank does not receive payment in a tually and finally collected funds for an item for which the Reserve Bank gave credit subject to payment in actually and finally collected funds, the Reserve Bank shall charge back the amount of the item to the sender, whether or not the item itself can be returned. In the event of chargeback, neither the owner or holder of the item nor the sender shall have any interest in any reserve balance or other funds of the paying bank or a collecting bank in the Reserve Bank's possession.

(b) *Suspension or closing of bank.* A Reserve Bank shall not pay or act on a draft, authorization to charge, or other order on a reserved balance or other funds in its possession after it receives notice of suspension or closing of the bank making the payment for that bank's own or another's account.

§ 210.14 Extension of time limits.

If, because of interruption of communication facilities, suspension of payments by a bank or nonbank payor, war, emergency conditions or other circumstances beyond its control, a bank (including a Reserve Bank) or nonbank payor is delayed in acting on an item beyond applicable time limits, its time for acting is extended for the time necessary to complete the action, if it exercises such diligence as the circumstances require.

§ 210.15 Direct presentment of certain warrants.

If a Reserve Bank elects to present direct to the payor a bill, note, or warrant that is issued and payable by a State or a political subdivision and that is a cash item not payable or collectible through a bank: (a) Sections 210.9, 210.12, and 210.13 and the operating circulars of the Reserve Banks apply to the payor as if it were a paying bank; (b) § 210.14 applies to the payor as if it were a bank; and (c) under § 210.9 each day on which the payor is open for the regular conduct of its affairs or the accommodation of the public is considered a banking day.

Subpart B—Wire Transfers of Funds

§ 210.25 Authority, purpose, and scope.

The Board of Governors of the Federal Reserve System ("Board") has issued this subpart pursuant to the Federal Reserve Act, section 13, as amended (12 U.S.C. 342), paragraph (f) of section 19, as amended (12 U.S.C. 464), paragraph 14 of section 16 (12 U.S.C. 248(o)), paragraphs (i) and (j) of section 11 (12 U.S.C. 248(i) and (j)), and other laws. This subpart governs the handling by Federal Reserve Banks ("Reserve Banks") of transfer items and transfer requests. Its purpose is to provide rules for the wire transfer of funds.

§ 210.26 Definitions.

As used in this subpart, unless the context otherwise requires:

(a) "Beneficiary" means a person or organization, other than the transferee, designated in a transfer item or request to receive the amount of the item or request from the transferee.

(b) "Interoffice transaction" means a transfer between a transferor and transferee that do not maintain or use accounts at the same office of a Reserve Bank.

(c) "Item" means a writing evidencing a right to the payment of money, that is handled in accordance with this subpart.

(d) "Transfer item" means an item in a format provided for in a Reserve Bank operating circular: (1) Sent by a transferor (other than a Reserve Bank) to a Reserve Bank for debit to the transferor's account at the Reserve Bank and for credit to a transferee named in the item; or (2) sent by a Reserve Bank to another Reserve Bank for credit to the latter or to any other transferee; or (3) issued by a Reserve Bank at the request of a transferor for credit to a transferee.

(e) "Transfer request" or "request" means a request by telephone that a Reserve Bank issue a transfer item.

(f) "Transferee" means a member bank, a Reserve Bank, or other institution that maintains or uses an account at a Reserve Bank and that is designated in a transfer item or request to receive the amount of the item or request.

(g) "Transferor" means a member bank, a Reserve Bank, or other institution that maintains or uses an account at a Reserve Bank and that is authorized by that Reserve Bank to send a tranfer item or request to it.

(h) "Transferor's account" or "transferee's account" means that account at its Reserve Bank maintained or used by the transferor or transferee, respectiviely.

(i) "Transferor's Reserve Bank" or "transferee's Reserve Bank" means the Reserve office at which the transferor or transferee, respectively, maintains or uses an account.

§ 210.27 General provisions.

(a) *General.* Each Reserve Bank shall receive and handle transfer items, and shall itself issue transfer items, in accordance with this subpart. Each Reserve Bank shall issue an operating circular governing the details of its funds transfer operations and other matters deemed appropriate by the Reserve Bank. The circulars may, among other things: Set minimum and maximum dollar amounts; specify format requirements for transfer items and requests; and impose reasonable funds transfer charges.

(b) *Binding effect.* This subpart and the operating circulars of the Reserve Banks are binding on transferors and transferees.

(c) *Government transferors and transferees.* Except as otherwise provided by statutes of the United States, or regulations issued or arrangements made thereunder, this subpart and the operating circulars of the Reserve Banks apply to the following when acting as a transferor or transferee: A department, agency, instrumentality, independent establishment, or office of the United States, or a wholly owned or controlled Government corporation, that maintains or uses an account with a Reserve Bank.

§ 210.28 Media for transfer items and requests.

(a) *Transfer items.* A transferor may issue and send a transfer item in any of the following media, if specified in the operating circular of the transferor's Reserve Bank:

(1) A letter, memorandum, or similar writing

(2) A telegram (including TWX, TELEX, or similar form of communication); and

(3) Any form of communication, other than voice, registered on (or in form suitable for being registered on) magnetic tape, disc, or other medium designed to contain in durable form conventional signals used for electronic communication of messages.

(b) *Transfer requests.* A transferor may make transfer requests only under special arrangements with its Reserve Bank. The Reserve Bank may record these telephone messages.

§ 210.29 Transferor's agreement.

A Transferor, by sending a transfer item or making a transfer request to its Reserve Bank authorizes:

(a) Its Reserve Bank to debit the amount to the transferor's account, and to handle the transfer item or request in accordance with this subpart and the operating circulars of the Reserve Banks; and

(b) The transferee's Reserve Bank to handle a matching transfer item (matching as to amount, transferee, and beneficiary, if any) in accordance with this subpart and the operating circulars of the transferee's Reserve Bank.

§ 210.30 Transferee's agreement.

(a) A transferee (other than a Reserve Bank), by maintaining or using an account at a Reserve Bank, authorizes its Reserve Bank to credit the amount of the transfer item to its account.

(b) A transferee (other than a Reserve Bank) that receives the amount of a transfer item designating a beneficiary, agrees:

(1) To credit promptly the beneficiary's account or otherwise make the amount available to the beneficiary; or

(2) To notify promptly its Reserve Bank if it is unable to do so because of circumstances beyond its control.

§ 210.31 Sending transfer items and requests.

(a) A transferor (other than a Reserve Bank) may send a transfer item to, or make a transfer request of, its Reserve Bank only if it arranges to have in its account, at the end of its Reserve Bank's banking day, a balance of actually and finally collected funds sufficient to cover the amounts of transfer items debited to the account during that day. The Reserve Bank has a security interest in the transferor's assets in the possession of, or held for the account of, the Reserve Bank if:

(1) The balance in the transferor's account at the end of its Reserve Bank's banking day is not sufficient to cover the amounts debited to the account during that day; or

(2) The transferor suspends payment or is closed at any time during the Reserve Bank's banking day, and does not have a balance sufficient to cover the amounts debited to its account.

A Reserve Bank may, in its discretion, refuse to act on a transfer item or request if it has reason to believe that the balance in the transferor's account is not sufficient to cover the item or request.

(b) A Reserve Bank may send a transfer item to, or make a transfer request of, another Reserve Bank.

§ 210.32 Handling transfer items and requests.

(a) *Intraoffice transactions.* If the transferor and transferee maintain or use accounts at the same Reserve office, that office shall act on a transfer item by debiting and crediting their accounts. The Reserve office shall act on a transfer request by issuing a transfer item, and debiting and crediting the accounts.

(b) *Interoffice transactions.* The transferor's Reserve Bank shall handle an interoffice transaction by debiting the transferor's account and, acting as a transferor, issuing and sending to the transferee's Reserve Bank a matching transfer item (matching as to amount, transferee, and beneficiary, if any). The transferee's Reserve Bank shall transfer funds to the transferee by debiting the account of the transferor's Reserve Bank, and crediting the transferee's account.

(c) *Notice of delay.* If a Reserve Bank learns that it is unable to effectuate a transfer of funds on a timely basis for any reason, it shall notify the transferor of the delay within a reasonable time.

§ 210.33 Time limits.

(a) *Time schedule.* Each Reserve Bank shall include in its operating circular a schedule showing the hours during which it handles transfer items and requests.

(b) *Acting seasonably.* A Reserve Bank acts seasonably if it takes proper action on the day it receives a transfer item or request. Taking proper action within a reasonably longer time may be seasonable but the Reserve Bank has the burden of so establishing. No Reserve Bank shall represent that it will complete a transfer of funds on the day requested.

(c) *Transfers after closing hour.* A Reserve Bank is not required to act on the day it receives an item or request if it receives the item or request after the time shown in its schedule. In emergency or other unusual circumstances, a Reserve Bank may handle a transfer item or request after the time shown in its schedule. The completion of an interoffice transaction in these circumstances is also discretionary with the transferee's Reserve Bank.

(d) *As of adjustments.* If a Reserve Bank fails to credit the amount of a transfer item or request to the transferee's account on the day requested, the Reserve Bank shall, unless otherwise instructed, complete the transfer on its next banking day and make adjustments for reserve accounting purposes as of the day the transfer was to have been made.

§ 210.34 Advices of credit and debit.

(a) *Advice of credit.* The transferee's Reserve Bank shall give advice of credit to the transferee for an executed transfer of funds.

(b) *Advice of debit.* Ater receiving a transfer item or request, the transferor's Reserve Bank shall send an advice of debit to the transferor. A transferor is deemed to approve the accuracy of an advice of debit unless it sends to its Reserve Bank written objection within 10 calendar days of receiving the advice of debit.

§ 210.35 Revocation of transfer items and requests.

(a) *Request for revocation.* A Reserve Bank may cease acting on a transfer item or request if it receives from the transferor a request for revocation in time to give the Reserve Bank a reasonable opportunity to comply. If funds have been transferred, the Reserve Bank may, on request from the transferor, ask the transferee to return the funds. In an interoffice transaction, the Reserve Bank may ask the transferee's Reserve Bank to ask the transferee to return the funds.

(b) *Erroneous transfer.* In an errorneous or irregular transfer of funds, a Reserve Bank may, on its own initiative or at the request of another Reserve Bank, ask the transferee to return funds previously transferred.

§ 210.36 Final payment; use of funds.

(a) *Final payment.* A transfer item is finally paid when the transferee's Bank sends the transfer item or sends or telephones the advice of credit for the item to the transferee, whichever occurs first.

(b) *Right to use funds.* Credit given by a Reserve Bank for a transfer of funds becomes available for use when the transfer item is finally paid, subject to the Reserve Bank's right to apply the transferred funds to an obligation owed to it by the transferee.

§ 210.37 Timeliness of action.

If, because of circumstances beyond its control, a Reserve Bank is delayed beyond the time limit provided in this subpart, in its operating circular, or by law in acting on a transfer item or request, the time for acting is extended for the time necessary to complete the action, if the Reserve Bank exercises such diligence as the circumstances require.

§ 210.38 Reserve Bank liability.

(a) *Limitations on liability.* A Reserve Bank shall not have or assume any responsibility to a transferee, beneficiary, or other party, except its immediate transferor. A Reserve Bank shall not be liable for the insolvency, neglect, misconduct, mistake, or default of another bank or person, including a transferor, except as provided in this section. A Reserve Bank shall not have or assume any liability except for its own or another Reserve Bank's lack of good faith or failure to exercise ordinary care.

(b) *Damages.* A Reserve Bank is liable for damages proximately caused by a failure to credit the amount of a transfer

item or request to the transferee's account caused by a Reserve Bank's failure to exercise ordinary care or to act in good faith. Whether damages are proximately caused by a Reserve Bank's failure to exercise ordinary care or to act in good faith is a question of fact to be determined in each case.

(c) *Right to indemnity.* The transferee's Reserve Bank shall indemnify the transferor's Reserve Bank for any loss or expense sustained (including attorneys' fees and expenses of litigation) as a result of the failure of the transferee's Reserve Bank to exercise ordinary care or to act in good faith in an interoffice transaction.

Board of Governors of the Federal Reserve System, December 13, 1979.

Theodore E. Allison,

Secretary of the Board.

[FR Doc. 79-38852 Filed 12-18-79; 8:45 am]

BILLING CODE 6210-01-M

NATIONAL CREDIT UNION ADMINISTRATION

12 CFR Ch. VII

Improving Government Regulations; Semiannual Agenda of Regulations

AGENCY: National Credit Union Administration.

ACTION: Publication of Semi-Annual Agenda of Regulations.

SUMMARY: Pursuant to Executive Order No. 12044: Improving Government Regulations, NCUA is publishing a list of regulations under consideration by NCUA as of December 13, 1979.

DATE: Effective December 17, 1979.

ADDRESS: National Credit Union Administration, 1776 G Street, NW, Washington, DC 20456.

FOR FURTHER INFORMATION CONTACT: (a) On the Executive Order or the Agenda, Robert Monheit, Senior Attorney/Regulatory Development Coordinator, Office of General Counsel, National Credit Union Administration at the above address. Telephone: (202) 357-1030. (b) On a particular regulation, contact the person named in the listing for that regulation at the above address.

SUPPLEMENTARY INFORMATION: On March 23, 1978, Executive Order No. 12044 was issued, directing each executive agency to publish a report on procedures to improve government regulations. The Executive Order also directed each agency to publish, twice a year, a list of significant regulations being considered, along with a description of the regulation, its need and legal basis, its status, the name and telephone number of an agency official familiar with the regulation and whether a regulatory analysis is required for that regulation. On May 31, 1978, NCUA published its draft report for public comment (43 FR 23688); NCUA's final report was published on March 23, 1979 (44 FR 17954).

The first Semi-Annual Agenda was published on December 15, 1978 (43 FR 58654). Twelve regulations were listed as being under development (from the stage of preliminary review through the issuance of a final regulation). In addition, the first Agenda listed twenty existing regulations to be reviewed in the future, set forth a brief description of the aim of the review, and gave the name of an agency official to contact for further information.

The second Semi-Annual Agenda was published on July 2, 1979 (44 FR 38560). Nineteen regulations were listed as being under development. (Those regulations listed in the first Agenda as having been issued in final form were not listed in the second Agenda.) The list of existing regulations to be reviewed was divided into two categories. The first ("Regulations Reviewed") contained a list of nine regulations where substantial progress had been made in the review process (from preliminary review through the issuance of a final, revised, regulation). The second group ("Regulations to be Reviewed") listed eleven regulations yet to be reviewed.

The division of categories ("Regulations Under Development", "Regulations Reviewed", and "Regulations to be Reviewed") is continued in this third Semi-Annual Agenda. Those regulations listed in the second Agenda as having been issued in final have not been included.

Agenda: Regulations Under Development

1. a. Section 703.3, *Investment Activities of Federal Credit Unions,* restricting involvement in investment activities that are unauthorized or otherwise unsafe or unsound.

b. *Need:* To curb abuses, and resulting substantial losses, arising from certain speculative investment transactions, and to clarify the permissible range of authorized investment transactions.

Legal basis: 12 U.S.C. 1757, 1766, and 1789.

c. *Status:* Final regulation issued July 20, 1979 (44 FR 42673), effective July 20, 1979.

d. *For Further Information Contact:* Robert F. Schafer, Office of Examination and Insurance, telephone: (202) 357-1055.

2. a. Section 701.31, *Nondiscrimination Requirements,* anti-"redlining" regulation prohibiting the sole consideration of the age or location of a dwelling, and the consideration of the race, color, religion, sex, or national origin of persons living in the vicinity, when a Federal credit union decides on granting a mortgage loan.

b. *Need:* To prevent the discriminatory practice of "redlining."

Legal Basis: 12 U.S.C. 1757(5)(A)(i), 1766, and 1789.

c. *Status:* Final regulation issued August 31, 1979 (44 FR 51191) effective October 29, 1979.

d. *For Further Information Contact:* Edward J. Dobranski, Senior Attorney, Office of General Counsel, telephone: (202) 357-1030.

3. a. Part 747, *Rules of Practice and Procedure,* for involuntary termination of insured status, issuance of cease and desist orders, issuance of orders of removal and prohibition, issuance of orders for involuntary liquidation, and imposing civil penalties for violations of cease and desist orders.

b. *Need and Legal Basis:* Title I, Pub. L. 95-630; 12 U.S.C. 1766, 1786, and 1787.

c. *Status:* Final regulation issued July 18, 1979 (44 FR 41760), effective July 18, 1979.

d. *For Further Information Contact:* Jay Keithley, Attorney-Advisor, Office of General Counsel, telephone: (202) 357-1030.

4. a. Part 711, *Management Interlocks,* to regulate the practice of management officials of credit unions serving as management officials of other depository institutions.

b. *Need and Legal Basis:* "Depository Institutions Management Interlocks Act," Title II, Pub. L. 95-630.

c. *Status:* Final regulation issued July 19, 1979 (44 FR 42163); effective July 19, 1979. Proposed amendments issued July 19, 1979 (44 FR 42212), comment period closed September 17, 1979.

d. *For Further Information Contact:* Ross P. Kendall, Attorney-Advisor, Office of General Counsel, telephone: (202) 357-1030.

5. a. *NCUA Restructuring,* to revise NCUA's internal procedures and NCUA regulations in light of the creation of a three person Board to manage the agency.

b. *Need and Legal Basis:* Title V, Pub. L. 95-630, and 5 U.S.C. 552b.

c. *Status:* Final regulations drafted.

d. *For Further Information Contact:* Robert S. Monheit, Senior Attorney, Office of General Counsel, telephone: (202) 357-1030.

6. a. Part 725, *National Credit Union Central Liquidity Facility,* to govern membership in, access to, and the internal procedures of the Central Liquidity Facility.

b. *Need and Legal Basis:* Title XVIII, Pub. L. 95-630.

c. *Status:* Final regulation issued August 23, 1979 (44 FR 49431), effective August 23, 1979.

d. *For Further Information Contact:* V. "Mike" Fischer, Chief Accountant, Office of Examination and Insurance, and Layne L. Bumgardner, Chief, Credit Union Operations, Office of Examination and Insurance, telephone (202) 357-1055; Mark S. Medvin, Senior Attorney, Office of General Counsel, telephone: (202) 357-1030.

e. *Regulatory Analysis* is available.

7. a. Section 740.3, *Mandatory Requirements* with Regard to the Official Sign and Its Display, and § 745.13 Notification of Depositors/Shareholders, amendments to except automated teller machines (ATM's) and point of sale (POS) terminals from the "Advertisement of Insured Status" requirements.

b. *Need:* To reduce regulatory requirements and to prevent confusion in situations where several financial institutions insured by different Federal and/or State agencies share the same ATMs or POS terminals.

Legal Basis: 12 U.S.C. 1766 and 1789.

c. *Status:* Final regulation issued August 23, 1979 (44 FR 49441), effective August 23, 1979.

d. *For Further Information Contact:* Layne L. Bumgardner, Chief, Credit Union Operations, Office of Examination and Insurance, telephone: (202) 357-1055.

8. a. *Debt Collection Practices,* to impose uniform and comprehensive restrictions on collection of debts.

b. *Need:* To protect credit union members from abusive debt collection practices; to provide credit union management with guidance as to permissible debt collection practices.

c. *Status:* Final Notice issued August 29, 1979 (44 FR 50607) announcing decision not to issue comprehensive regulation at this time.

d. *For Further Information Contact:* Joseph F. Myers, Consumer Affairs Specialist, Division of Consumer Affairs, Office of Examination and Insurance, telephone: (202) 357-1055; John L. Culhane, Jr., Attorney-Advisor, Office of General Counsel, telephone: (202) 357-1030.

9. a. Part 742, *Liquidity Reserves of Insured Credit Unions,* to require federally insured credit unions to maintain liquid asset holdings in amounts not less than 5% of total member accounts and notes payable.

b. *Need:* To ensure that federally insured credit unions can meet significant and, perhaps, unexpected outflows of funds without liquidating valuable investment and loan assets; to provide protection against untimely sale of valuable assets possibly leading to insolvency and credit union failures.

Legal Basis: 12 U.S.C. 1762(b), and 1781(b)(6).

c. *Status:* Final regulation issued August 31, 1979 (44 FR 51200), effective October 31, 1979. Technical amendment issued October 4, 1979 (44 FR 57071), effective October 31, 1979.

d. *For further information Contact:* Robert H. Dugger, Director, Office of Policy Analysis, telephone: (202) 357-1090; Robert M. Fenner, Assistant General Counsel, Office of General Counsel, telephone: (202) 357-1030.

e. *Regulatory analysis* is available.

10. a. Sections 701.2, 701.14, and 701.15 *Incorporation by Reference,* listing description of NCUA manuals having the force and effect of regulations.

b. *Need:* To give important technical requirements the force and affect of law, and to review the status of existing manuals.

Legal Basis: 5 U.S.C. 552(a)(1).

c. *Status:* Final regulation issued July 6, 1979 (44 FR 39383), effective August 3, 1979.

d. *For Further Information Contact:* Robert S. Monheit, Senior Attorney, Office of General Counsel, telephone: (202) 357-1030.

11. a. Section 701.21-6A *Agency Relationship with Approved Mortgage Lender,* to permit Federal credit unions to act as agents for approved mortgage lenders.

b. *Need:* To provide mortgage loans to members of those Federal Credit unions that are unable to otherwise provide such loans.

Legal Basis: 12 U.S.C. 1757(5)(A) and (15); 12 U.S.C. 1766.

c. *Status:* Proposed regulation issued August 30, 1979 (44 FR 50850); comment period closed November 7, 1979.

d. *For Further Information Contact:* Robert M. Fenner, Assistant General Counsel or John L. Culhane, Jr., Attorney-Advisor, Office of General Counsel, telephone: (202) 357-1030.

12. a. Part 704, *Corporate Central Federal Credit Unions,* amendments concerning operations and requirements of corporate central Federal credit unions that differ from natural person credit unions.

b. *Need:* To permit greater flexibility in capital structure; to ensure representation of member credit unions on the board of directors and on the credit committee of a corporate central Federal credit union; and to require an independent audit.

Legal Basis: 12 U.S.C. 1761, 1762, 1766, and 1789.

c. *Status:* Final regulation issued October 10, 1979 (44 FR 58496), effective November 10, 1979.

d. *For Further Information Contact:* V. "Mike" Fischer, Chief Accountant, Office of Examination and Insurance, telephone: (202) 357-1055.

13. a. Section 700.1(j), *Definition of Non-Risk Assets,* amendment expanding the difinition to include loans insured or guaranteed by the Federal or a State government, and guarantee accounts established under 12 U.S.C. 1788(a)(1).

b. *Need:* To relieve unnecessary restrictions and to thereby reduce credit union reserve requirements.

Legal Basis: 12 U.S.C. 1762 and 1766.

c. *Status:* Final regulation issued September 27, 1979 (44 FR 5554), effective September 27, 1979.

d. *For Further Information Contact:* Jerry L. Courson, Office of Examination and Insurance, telephone: (202) 357-1055; or Edward J. Dobranski, Senior Attorney Office of General Counsel, telephone: (202) 357-1030.

14. a. 701.1 *Organizing a Federal Credit Union,* setting forth the requirements for chartering a Federal credit union.

b. *Need:* To review, update, and revise NCUA's chartering policies and practices.

Legal Basis: 12 U.S.C. 1753, 1754, 1758, 1759, 1766 and 1789.

c. *Status:* Proposed regulation issued July 26, 1979 (44 FR 43737); comment period closed October 1, 1979; final regulation drafted.

d. *For Further Information Contact:* Jon W. Lander, Office of Examination and Insurance, telephone: (202) 357-1055.

15. a. Part 708, *Mergers of Credit Unions,* amendment relieving certain restrictions on the process of mergers of credit unions.

b. *Need:* To provide for a more democratic process by eliminating the requirement that at least 20% of the total membership participate in the merger vote; and to permit the NCUA Board to approve a merger as an alternative to liquidation due to insolvency, without membership approval.

Legal Basis: 12 U.S.C. 1766 and 1789.

c. *Status:* Proposed regulation issued October 24, 1979 (44 FR 611189); comment period closed November 26, 1979. Final regulation approved by NCUA Board and forwarded to the Federal Register on December 6, 1979.

d. *For Further Information Contact:* James J. Engel, Assistant General

Counsel, Office of General Counsel, telephone: (202) 357–1030.

16. a. Section 725.7, *Special Share Accounts of Agent Members,* allowing the agent members of the NCUA Central Liquidity Facility to require their natural person credit union members to maintain special share accounts to cover CLF stock subscription costs attributable to the natural person credit union.

b. *Need:* To provide agent members with the funds to pay the CLF stock subscription without substantially, adversely affecting their other financial activities.

Legal Basis: 12 U.S.C. 1795c(b)(3) and 1795f(2).

c. *Status:* Proposed regulation drafted.

d. *For Further Information Contact:* V. "Mike" Fischer, Chief Accountant, Office of Examination and Insurance, telephone: (202) 357–1055; or Mark S. Medvin, Senior Attorney, Office of General Counsel, telephone: (202) 357–1030.

17. a. Section 700.1 *Definition of Risk Assets and Gross Income,* amendment excluding from the definition of "risk asset" any investment in the shares of the NCUA Central Liquidity Facility, and excluding from the definition of "gross income" dividends received on shares of the NCUA Central Liquidity Facility, and interest received on CLF loans up to the amount of interest paid by Agent members on loans from the Facility.

b. *Need:* To relieve unnecessary restrictions and thereby reduce the reserve requirements of Agent members of the NCUA Central Liquidity Facility.

Legal Basis: 12 U.S.C. 1766, 1789, and 1795f(2).

c. *Status:* Proposed regulation drafted.

d. *For Further Information Contact:* V. "Mike" Fischer, Chief Accountant, Office of Examination and Insurance, telephone: (202) 357–1055; or Mark S. Medvin, Senior Attorney, Office of General Counsel, telephone: (202) 357–1030.

REVIEW OF REGULATIONS

The following is a list of regulations to be reviewed in the future. The purpose of the review will be to update, clarify, and simplify existing regulations, and to eliminate redundant and unnecessary provisions. These regulations are divided into two groups. The first grouping contains those regulations in which substantial progress has been made (since the last publication of the Agenda) and includes a statement concerning the status of the review. The second grouping contains those regulations yet to be reviewed.

A. Regulations Reviewed

1. a. Sections 701.2, 701.14, and 701.15, *Incorporation By Reference,* review to determine whether the manuals listed should have the force and effect of law.

b. *Status:* Final regulation (eliminating the incorporation by reference status of certain manuals) issued, see: Regulations Under Development, No. 10. Review of remaining manuals is continuing.

c. *For Further Information Contact:* Robert S. Monheit, Senior Attorney, Office of General Counsel, telephone: (202) 357–1030.

2. a. Section 701.1 *Organizing a Federal Credit Union,* review to update and revise NCUA's chartering policies and practices.

b. *Status:* Proposed regulation issued, see: Regulations Under Development, No. 14 (above).

c. *For Further Information Contact:* Jon W. Lander, Office of Examination and Insurance, telephone: (202) 357–1055.

3. a. Part 710, *Voluntary Liquidation,* review to determine whether regulations on this subject are necessary or whether the subject may be covered in a manual.

b. *Status:* Final edit of manual has been drafted.

c. *For Further Information Contact:* William Berens, Division of Chartering and Insurance, Office of Examination and Insurance, telephone: (202) 357–1055.

4. a. Part 747, Subparts B, C, and D, *Rules of Practice and Procedure for Involuntary Termination of Insured Status,* for Cease and Desist Orders, and for Suspension and Removal Orders, review to determine whether to eliminate provisions that merely duplicate the Federal Credit Union Act.

b. *Status:* Final regulation issued, see: Regulation Under Development, No. 3.

c. *For Further Information Contact:* James J. Engel, Assistant General Counsel, Office of General Counsel, telephone: (202) 357–1030.

B. Regulations To Be Reviewed

1. Sections 701.3 and 701.4, *Standard Form of Bylaws and Amendment of Bylaws,* review to determine whether the regulations on this subject are necessary.

For Further Information Contact: Jon Lander, Division of Chartering and Insurance, Office of Examination and Insurance, telephone: (202) 357–1055.

2. Section. 701.10, *Establishment of Cash Fund,* review to determine whether a regulation is necessary on this subject.

For Further Information Contact: Jerry L. Courson, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

3. Sections 701.11, and 701.13, *Election Report, and Financial and Statistical and Other Reports,* review to determine whether the regulation is necessary to require submission of needed reports.

For Further Information Contact: Jerry L. Courson, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

4. Section 701.12, *Supervisory Committee Audit,* review to determine whether the regulation on this subject is necessary or whether the subject might be covered in a manual.

For Further Information Contact: V. "Mike" Fischer, Chief Accountant, Office Examination and Insurance, telephone: (202) 357–1055.

5. Sections 701.22 and 701.23, *Selling and Cashing Checks and Money Orders,* review to determine whether the regulations on this subject are necessary or whether the subject may be covered in a manual.

For Further Information Contact: Thomas A. Straslicka, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

6. Section 701.30, *Safe Deposit Box Service,* review to consolidate with regulations on Minimum Security Devices and Procedures, part 748 of NCUA's Rules and Regulations.

For Further Information Contact: Wilmer Theard, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

7. Part 703, *Investments and Deposits,* review to update in light of § 703.3.

For Further Information Contact: Robert Schafer, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

8. Parts 706 and 707, *Conversion from Federal to State Credit Union, and Conversion from State to Federal Credit Union,* review to determine whether the regulations on this subject are necessary or whether the subject may be covered in a manual.

For Further Information Contact: Jon Lander, Division of Chartering and Insurance, Office of Examination and Insurance, telephone: (202) 357–1055.

9. Parts 708 and 709, *Mergers of Credit Unions,* Division of Assets, Liabilities, and Capital, review to determine whether regulations on these subjects are necessary or whether they may be covered in a manual.

For Further Information Contact: Jon Lander, Division of Chartering and Insurance, Office of Examination and Insurance, telephone: (202) 357–1055.

10. Part 735, *Employee Responsibility and Conduct,* review to update.

For Further Information Contact: James J. Engel, Assistant General Counsel, Office of General Counsel, telephone: (202) 357–1030.

11. Part 748, *Minimum Security Device and Procedures,* review to update and simplify in view of the needs of Federal credit unions.

For Further Information Contact: Stephen Raver, Director, Division of Examination, Office of Examination and Insurance, telephone: (202) 357–1055.

Rosemary Brady,

Secretary, National Credit Union Administration Board.

[FR Doc. 79-38854 Filed 12-18-79; 8:45 am]

BILLING CODE 7535-01-M

SMALL BUSINESS ADMINISTRATION

13 CFR Part 121

Small Business Size Standards; Naval Architecture and Marine Engineering Size Standard Proposal

AGENCY: Small Business Administration.

ACTION: Notice of extension of comment period.

SUMMARY: The time for comment on the proposal (44 FR 60746) to change the current definition of small business 13 CFR 121.3–8(e)(6) expired on November 21, 1979. This proposal would change the current standrd of $9 million in average annual receipts to 1,000 employees.

A number of individuals and companies have requested an additional period in which to supply their comments. In order to assure the widest possible participation on this proposal, the time for comment will be extended for 30 days following the publication of this notice.

DATE: Written comments must be submitted by January 18, 1980.

ADDRESS: Kaleel C. Skeirik, Chief, Size Standards Division, Small Business Administration, 1441 L Street, N.W., Washington, D.C. 20416.

FOR FURTHER INFORMATION CONTACT: John D. Whitmore, (202) 653–6373.

Dated: December 13, 1979.

A. Vernon Weaver,

Administrator.

[FR Doc. 79-38928 Filed 12-18-79; 8:45 am]

BILLING CODE 8025-01-M

DEPARTMENT OF THE TREASURY

Internal Revenue Service

26 CFR Part 1

[LR-194-78]

Unemployment Compensation

AGENCY: Internal Revenue Service, Treasury.

ACITON: Notice of proposed rulemaking.

SUMMARY: This document contains proposed regulations relating to the taxation of unemployment compensation. Changes to the applicable law were made by the Revenue Act of 1978. The regulations would provide the public with the guidance needed to comply with that Act and would affect all taxpayers who receive unemployment compensation under a governmental unemployment compensation plan.

DATES: Written comments and requests for a public hearing must be delivered by February 18, 1980. The Amendments are proposed to be effective for taxable years beginning after December 31, 1978.

ADDRESS: Send comments and requests for a public hearing to: Commissioner of Internal Revenue, Attention: CC:LR:T, (LR–194–78), Washington,D.C., 20224.

FOR FURTHER INFORMATION CONTACT: John G. Schmalz of the Legislation and Regulations Division, Office of the Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224, Attention: CC:LR:T, (LR–194–78), 202–566–3432, not a toll-free number.

SUPPLEMENTARY INFORMATION

Background

This document contains proposed amendments to the Income Tax Regulations (26 CFR Part 1) under section 85 of the Internal Revenue Code of 1954. These amendments are proposed to conform the regulations to section 112 (a) and (c) of the Revenue Act of 1978 (92 Stat. 2777) and are to be issued under the authority contained in section 7805 of the Internal Revenue Code of 1954 (68A Stat. 917; 26 U.S.C. 7805).

In general, section 112 (a) of the Revenue Act of 1978 provides that unemployment compensation paid pursuant to governmental programs must be included in gross income if the taxpayer's adjusted gross income, after certain modifications, exceeds a statutory base amount. The amount of unemployment compensation included in gross income, however, is limited to the lesser of (1) one-half of the excess of a taxpayer's modified adjusted gross income over the statutory base amount or (2) the amount of the unemployment compensation. If a taxpayer's modified adjusted gross income does not exceed the applicable base amount, all of the unemployment compensation may be excluded from gross income.

Comments and Request for a Public Hearing

Before adopting these proposed regulations, consideration will be given to any written comments that are submitted (preferably six copies) to the Commissioner of Internal Revenue. All comments will be available for public inspection and copying. A public hearing will be held upon written request to the Commissioner by any person who has submitted written comments. If a public hearing is held, notice of the time and place will be published in the Federal Register.

Drafting Information

The principal author of these proposed regulations was John G. Schmalz of the Legislation and Regulations Division of the Office of Chief Counsel, Internal Revenue Service. However, personnel from other offices of the Internal Revenue Service and Treasury Department participated in developing the regulation, both on matters of substance and style.

Proposed Amendments to the Regulations

The proposed amendments to 26 CFR Part 1 are as follows:

Paragraph 1. Immediately after § 1.83–8, there is added the following new section:

§ 1.85–1 Unemployment compensation.

(a) *Introduction.* Section 85 prescribes rules relating to the inclusion in gross income of unemployment compensation (as defined in paragraph (b)(1) of this section) paid in taxable years beginning after December 31, 1978 pursuant to governmental programs. In general, these rules provide that unemployment compensation paid pursuant to governmental programs is includible in the gross income of a taxpayer if the taxpayer's modified adjusted gross income (as defined in paragraph (b)(2) of this section) exceeds a statutory base amount (as defined in paragraph (b)(3) of this section). If there is such an excess, however, the amount included in gross income is limited under paragraph (c)(1) of this section to the lesser of one-half of such excess or the amount of the unemployment compensation. If such taxpayer's modified adjusted gross income does not exceed the applicable statutory base amount, none of the

unemployment compensation is included in the taxpayer's gross income.

(b) *Definitions*—(1) *Unemployment compensation*—(i) *General rule.* Except as provided in paragraph (b)(1)(iii) of this section, the term "unemployment compensation" means any amount received under a law of the United States, or of a State, which is in the nature of unemployment compensation. Thus, section 85 applies only to unemployment compensation paid pursuant to governmental programs and does not apply to amounts paid pursuant to private nongovernmental unemployment compensation plans (which are includible in income without regard to section 85). Generally, unemployment compensation programs are those designed to protect taxpayers against the loss of income caused by involuntary layoff. Ordinarily, unemployment compensation is paid in cash and on a periodic basis. The amount of the payments is usually computed in accordance with a formula based on the taxpayer's length of prior employment and wages. Such payments, however, may be made in a lump sum or other than in cash or on some other basis.

(ii) *Disability and worker's compensation payments.* Amounts in the nature of unemployment compensation also include cash disability payments made pursuant to a governmental program as a substitute for case unemployment payments to an unemployed taxpayer who is ineligible for such payments solely because of the disability. Usually these disability payments are paid in the same weekly amount and for the same period as the unemployment compensation benefits to which the unemployed taxpayer otherwise would have been entitled. Amounts received under workmen's compensation acts as compensation for personal injuries or sickness are not amounts in the nature of unemployment compensation. See section 104(a)(1) relating to the exclusion from gross income of such amounts.

(iii) *Employee contributions to a governmental plan.* If a governmental unemployment compensation program is funded in part by an employee's contribution which is not deductible by the employee, an amount paid to such employee under the program is not to be considered unemployment compensation until an amount equal to the total nondeductible contributions paid by the employee to such program has been paid to such employee.

(iv) *Examples of governmental unemployment compensation programs.* Governmental unemployment compensation programs include (but are not limited to) programs established under:

(A) A State law approved by the Secretary of Labor pursuant to section 3304 of the Internal Revenue Code of 1954.

(B) Chapter 85 of Title 5, United States Code, relating to unemployment compensation for Federal employees generally and for ex-servicemen.

(C) Trade Act of 1974, sections 231 and 232 (19 U.S.C. 2291 and 2292).

(D) Disaster Relief Act of 1974, section 407 (42 U.S.C. 5177).

(E) The Airline Deregulation Act of 1978 (49 U.S.C. 1552 (b)).

(F) The Railroad Unemployment Insurance Act, section 2 (45 U.S.C. 352).

(2) *Modified adjusted gross income.* The term "modified adjusted gross income" means the sum of the following amounts:

(i) Adjusted gross income (as defined in section 62);

(ii) All disability payments of the type that are eligible for exclusion from gross income under section 105(d); and

(iii) All amounts of unemployment compensation (as defined in paragraph (b)(1) of this section).

(3) *Base amount.* The term "base amount" means—

(i) $25,000 in the case of a joint return under section 6013.

(ii) Zero in the case of a taxpayer who—

(A) Is married (within the meaning of section 143) at the close of the taxable year,

(B) Does not file a joint return for such taxable year, and

(C) Does not live apart (as defined in paragraph (b) (4) of this section) from his or her spouse at all times during the taxable year.

(iii) $20,000 in the case of all other taxpayers.

(4) *Living apart.* A taxpayer does not "live apart" from his or her spouse at all times during a taxable year if for any period during the taxable year the taxpayer is a member of the same household as such taxpayer's spouse. A taxpayer is a member of a household for any period, including temporary absences due to special circumstances, during which the household is the taxpayer's place of abode. A temporary absence due to special circumstances includes a nonpermanent absence caused by illness, education, business, vacation, or military service.

(c) *Limitations*—(1) *General rule.* If for a taxable year, a taxpayer's modified adjusted gross income does not exceed the applicable statutory base amount, no amount of unemployment compensation is included in gross income for the taxable year. If there is such an excess, the taxpayer includes in gross income for the taxable year the lesser of the following:

(i) One-half of the excess of the taxpayer's modified adjusted gross income over such taxpayer's base amount, or

(ii) The amount of unemployment compensation.

(2) *Examples.* The application of this paragraph may be illustrated by the following examples:

Example (1). H and W are married taxpayers who for calendar year 1979 file a joint income tax return. During 1979 H receives $4,500 of disability income that is eligible for an exclusion under section 105(d). W works for part of 1979 and receives $20,000 as compensation and also receives $5,000 of unemployment compensation in 1979. Assume that H and W's adjust gross income is $20,000. The modified adjusted gross income of H and W is $29,500 ($4,500 + $20,000 + $5,000). Since their modified adjusted gross income ($29,500) is greater than their base amount ($25,000), some of the unemployment compensation received by W must be included in their gross income on their 1979 joint income tax return. Under paragraph (c) (1) of this section, of the $5,000 which is unemployment compensation, the lesser of $2,250 (($29,500—25,000) ÷ 2) or $5,000 must be included in their gross income. Thus, $2,250 of the $5,000 received by W in 1979 is included in the gross income of H and W on their joint income tax return for 1979.

Example (2). Assume the same facts in example (1) except H receives $5,000 of disability income that is eligible for an exclusion under section 105 (d) and W receives $28,000 as compensation, and $4,000 which is unemployment compensation. Assume that H and W's adjusted gross income is $28,000. The modified adjusted gross income of H and W is $37,000 ($4,000 + $28,000 + $5,000). Since their modified adjusted gross income ($37,000) is greater than their base amount ($25,000), all of the unemployment compensation received by W must be included in their gross income on their 1979 joint income tax return. Under paragraph (c)(1) of this section, of the $4,000 which is unemployment compensation, the lesser of $6,000 (($37,000—$25,000) ÷ 2) or $4,000 must be included in their gross income. Thus, all of the $4,000 unemployment compensation received by W is included in the gross income of H and W on their joint income tax return for 1979.

(d) *Cross reference.* See section 6050B, relating to the requirement that every person who makes payments of unemployment compensation aggregating $10 or more to any individual during any calendar year file an information return with the Internal Revenue Service.

Par. 2. Immediately after § 1.6050–1, there is added the following new section:

§ 1.6050B–1 Information returns by person making unemployment compensation payments.

For taxable years beginning after December 31, 1978, every person who makes payments of unemployment compensation (as defined in section 85 (c)) aggregating $10 or more to any individual during any calendar year shall file a Form 1099UC in accordance with the instructions to such form.

Jerome Kurtz,

Commissioner of Internal Revenue.

[FR Doc. 79–38690 Filed 12–18–79; 8:45 am]

BILLING CODE 4830–01–M

26 CFR Parts 25 and 301

[LR–215–76]

Filing of Gift Tax Returns; Furnishing Statement Explaining Estate or Gift Valuation

AGENCY: Internal Revenue Service, Treasury.

ACTION: Notice of proposed rulemaking.

SUMMARY: This document contains proposed regulations relating to the time for filing gift tax returns and for requesting a statement explaining valuation for estate, gift or generation-skipping transfer tax purposes. Changes to the applicable tax law were made by the Tax Reform Act of 1976. The regulations would provide the public with the guidance needed to comply with that Act. In addition, this document contains a proposed change to an example that relates to the definition of a general power of appointment.

DATES: Written comments and requests for a public hearing must be delivered or mailed by February 18, 1980.

ADDRESS: Send comments and requests for a public hearing to: Commissioner of Internal Revenue, Attention: CC:LR:T, LR–215–76, Washington, D.C. 20224.

FOR FURTHER INFORMATION CONTACT: Robert H. Waltuch of the Legislation and Regulations Division, Office of the Chief Counsel, Internal Revenue Service, 1111 Constitution Avenue, N.W., Washington, D.C. 20224, Attention: CC:LR:T, LR–215–76, 202–566–3287, not a toll-free call.

SUPPLEMENTARY INFORMATION:

Background

This document contains proposed amendments to the Gift Tax Regulations (26 CFR Part 25) under section 6075(b), and the Procedure and Administration Regulations (26 CFR Part 301) under section 7517 of the Internal Revenue Code of 1954. These amendments are proposed to conform the regulations to section 2008 (a) (2) and (b) of the Tax Reform Act of 1976 (90 Stat. 1891 and 2) and are to be issued under the authority contained in section 7805 of the Internal Revenue Code of 1954 (68A Stat. 917; 26 U.S.C. 7805). Section 25.2514–1 of the Gift Tax Regulations is also amended to clarify the definition of a general power of appointment.

This regulation does not meet the Treasury criteria for a significant regulation.

Correction of an Example Relating to the Definition of a General Power of Appointment

Section 25.2514–1 is amended to correct an erroneous conclusion made in an example. Under the example, as revised, an individual who exercises a nongeneral power of appointment over property will be treated as having exercised a general power of appointment to the extent that the individual also possesses a presently exercisable general power of appointment over the same property.

Filing Gift Tax Returns

In general, for calendar years beginning after December 31, 1976, a gift tax return must be filed by the 15th day of the second month following the close of the first calendar quarter during which the total amount of taxable gifts made during the calendar year exceeds $25,000, and must include all taxable gifts made in that quarter and any preceding calendar quarters.

A return is also required following the close of each subsequent calendar quarter during which $25,000 is again exceeded by the total amount of taxable gifts made during the calendar year for which no return has yet been made.

If the total amount of taxable gifts made during the calendar year does not exceed $25,000, or if a return is filed following one or more calendar quarters and the total amount of taxable gifts made in subsequent calendar quarters does not exceed $25,000, the return with respect to such gifts must be filed by February 15 of the following calendar year.

If the donor is a nonresident not a citizen of the United States, the rules are to be applied by substituting $12,500 for $25,000.

Furnishing on Request of Statement Explaining Estate or Gift Valuation

In general, the request described in section 7517, relating to the Service's furnishing to the taxpayer at the request of the taxpayer a statement explaining valuation for estate, gift or generation-skipping transfer tax purposes, must be made before the statutory period for assessment has expired. Section 7517 applies to estates of decedents dying after and gifts made after December 31, 1976, and to generation-skipping transfers subject to chapter 13.

Drafting Information

The principal author of these proposed regulations is Robert H. Waltuch of the Legislation and Regulations Division of the Office of Chief Counsel, Internal Revenue Service. However, personnel from other offices of the Internal Revenue Service and Treasury Department participated in developing the regulation, both on matters of substance and style.

Proposed Amendments to the Regulations

The proposed amendments to 26 CFR Parts 25 and 301 are as follows:

Paragraph 1. Section 25.2514–1 is amended by revising the last two sentences of paragraph (c) (1) to read as set forth below.

§ 25.2514–1 Transfers under power of appointment.

* * * * *

(c) *Definition of "general power of appointment"*—(1) *In general.* * * * For example, a beneficiary may have a general power to withdraw a limited portion of trust corpus during his/her life, and a further power exercisable during his/her lifetime to appoint the corpus among his/her children. The latter power is not a general power of appointment only as to that part which is in excess of the limited portion of trust corpus which may be withdrawn by the beneficiary.

Par. 2. Sections 25.6075 and 25.6075–1 are deleted and the following new section is inserted in lieu thereof.

§ 25.6075–1 Returns; time for filing gift tax returns for gifts made after December 31, 1976.

(a) *Gifts in a calendar quarter totaling more than $25,000.* If the total amount of taxable gifts (as defined in section 2503) made by a donor during a calendar quarter beginning after December 31, 1976, exceeds $25,000, the gift tax return required by section 6019 shall be filed on or before the fifteenth day of the second month following the close of the calendar quarter. The return shall include (1) gifts made during such a calendar quarter, and (2) gifts made during all preceding calendar quarters of the same calendar year for which a return has not yet been required to be filed.

(b) *Gifts in a calendar quarter totaling $25,000 or less.* If the total amount of taxable gifts (as defined in section 2503) made by a donor during a calendar

quarter beginning after December 31, 1976, is $25,000 or less, a return shall be filed on or before the applicable date set forth in this paragraph. If the sum of taxable gifts made by a donor during the current calendar quarter of a calendar year and all preceding calendar quarters of that calendar year for which a return has not yet been required exceeds $25,000, then a return with respect to gifts made during such calendar quarters shall be filed on or before the fifteenth day of the second month following the close of the current calendar quarter. If, during a calendar year beginning after December 31, 1976, a donor has made any gifts for which a return is required to be filed under section 6019 and for which no return has been required to be filed under the preceding sentence or under paragraph (a) of this section, a return shall be filed with respect to all such gifts made during such calendar quarters not later than February 15 of the following calendar year. See section 7503 and § 301.7503–1 of 26 CFR Part 301 for the due date of a return that falls on a Saturday, Sunday, or a legal holiday. As to additions to the tax for failure to file the return within the prescribed time, see section 6651 and § 301.6651–1 of this chapter. See also section 6081 and § 25.6081–1 for rules relating to extensions of time for filing returns.

(c) *Nonresident not citizens of the United States.* In the case of a donor who is a nonresident not a citizen of the United States, paragraphs (a) and (b) of this section shall be applied by substituting "$12,500" for "$25,000" each place it appears. For rules relating to whether certain residents of possessions are considered nonresidents not citizens of the United States, see section 2501(c) and § 25.2501–1 (d).

(d) *Effective date.* This section is effective for gifts made after December 31, 1976.

26 CFR PART 301

Par. 3. A new § 301.7517–1 is added to read as set forth below.

§ 301.7517–1 Furnishing on request of statement explaining estate or gift valuation.

(a) *In general.* The request described in section 7517, relating to the Service's furnishing to the taxpayer at the request of the taxpayer a statement explaining the estate, gift or generation-skipping transfer valuation, should be filed with the district director's office that has audit jurisdiction over the return to which the request relates and must be filed before the statutory period for assessment of tax has expired.

(b) *Effective date*—(1) *Estates of decedents.* Section 7517 applies to estates of decedents dying after December 31, 1976.

(2) *Gifts.* Section 7517 applies to gifts made after December 31, 1976.

(3) *Generation-skipping transfer.* Section 7517 applies to any generation-skipping transfer subject to chapter 13.

Jerome Kurtz,

Commissioner of Internal Revenue.

[FR Doc. 79-38891 Filed 12-18-79; 8:45 am]

BILLING CODE 4830-01-M

Bureau of Alcohol, Tobacco and Firearms

27 CFR Part 178

[Notice No. 331]

Definition of the Phrase "Engaged in the Business"

AGENCY: Bureau of Alcohol, Tobacco and Firearms (ATF).

ACTION: Advance notice of proposed rulemaking.

SUMMARY: The Bureau of Alcohol, Tobacco and Firearms (ATF) is considering amending the regulations in 27 CFR Part 178 to include a definition of the phrase "engaged in the business" when referring to a dealer of firearms or ammunition. Persons engaged in the business of dealing in firearms or ammunition are required to have Federal firearms licenses. ATF wishes to gather information by inviting comments from the public and industry on how the phrase "engaged in the business" should be defined. ATF also desires public comment on the feasibility and desirability of defining the phrase.

DATE: Comments must be received on or before March 18, 1980.

ADDRESS: Comments must be submitted in duplicate to Director, Bureau of Alcohol, Tobacco and Firearms, P.O. Box 385, Washington, D.C. 20044 (Attn: Chief, Regulations and Procedures Division).

FOR FURTHER INFORMATION CONTACT: Thomas L. Minton, Research and Regulations Branch, 202–566–7626.

SUPPLEMENTARY INFORMATION:

Background

Title I of the Gun Control Act of 1968 established procedures for the licensing of persons who intended to engage in the business of dealing in firearms or ammunition. Specifically, it is unlawful for anyone except a licensed dealer to engage in the business of dealing in firearms or ammunition (18 U.S.C. 922(a)(1) and 923(a)). The term "dealer" is defined in 18 U.S.C. 921(a)(11) and 27 CFR 178.11 to mean, among others, any person engaged in the business of selling firearms or ammunition at wholesale or retail. The law does not prohibit an unlicensed person from disposing of personal firearms as long as he or she is not engaging in the business of dealing in firearms.

The definition of the phrase "engaged in the business" is not defined in the law or the regulations. In fact, the courts have stated that the phrase does not seem susceptible to a rigid definition but turns on the facts and circumstances of each case. The phrase clearly connotes an element of continual or habitual practice. It implies an activity involving more than occasional participation or more than a single act. On the other hand, a single firearms transaction, under certain circumstances, has been held to be engaging in the business of dealing in firearms. For example, a person who makes a single sale and represents that he is ready, willing and able to procure firearms for future sales has been held to be engaging in the business.[1] Some United States courts of appeals have defined the term as that which occupies the time, attention and labor of men for the purpose of livelihood or profit.[2]

On the other hand, certain courts of appeals have taken the position that expectations of profit are not determinative of whether one is engaged in the business of selling firearms.[3] In lieu of a profit motive, they have looked to factors such as the continuing or repeated nature of the sales or representations made to prospective buyers as sufficient to prove engagement in the business.[4] In another case [5] the court stated that persons are engaged in the business of dealing in firearms if they have guns on hand or are ready and able to procure them for the purpose of selling some or all of them to such persons as they might from time to time decide to accept as customers.

For a comprehensive discussion of how the term has been interpreted by the courts, see 32 A.L.R. Fed. 946 (1977).

Public Participation

ATF is studying the problem associated with the issue of "engaged in the business." While courts have continually found that the current situation is adequate for enforcement purposes, if possible, we would like to develop a workable, commonly understood definition of the phrase. At the same time we recognize that an analysis of the comments may indicate that a regulatory definition is not possible or not desirable. Therefore, we ask that interested persons submit pertinent comments, opinions, or data on the issue. We specifically request information from the public and the industry on the feasibility and the desirability of defining the phrase. We also request comments on how the phrase "engaged in the business" should be defined.

All comments received before the closing date will be carefully considered. Comments received after the closing date and too late for consideration will be treated as possible suggestions for further ATF action. Copies of this notice and of the comments will be available for public inspection during normal business hours at the following location:

Public Reading Room, Room 4408, Federal Building, 12th and Pennsylvania Avenue, NW., Washington, DC.

Drafting Information

The principal author of this document is Thomas Minton, Research and Regulations Branch, Bureau of Alcohol, Tobacco and Firearms.

Authority

This advance notice of proposed rulemaking is issued under the authority of 18 U.S.C. 926, as amended (82 Stat. 1226).

Signed: October 31, 1979.

G. R. Dickerson,

Director.

Approved: December 10, 1979.

Richard J. Davis,

Assistant Secretary (Enforcement and Operations).

[FR Doc. 79-38936 Filed 12-18-79; 8:45 am]

BILLING CODE 4810-31-M

[1] *United States* v. *Swinton*, 521 F.2d 1255 (10th Cir. 1975).

[2] *United States* v. *Gross*, 451 F.2d 1355 (7th Cir. 1971); *United States* v. *Huffman*, 518 F.2d 80 (4th Cir. 1975); *United States* v. *King*, 532 F.2d 505 (5th Cir. 1976); *United States* v. *Day*, 476 F.2d 562 (6th Cir. 1973); *United States* v. *Williams*, 502 F.2d 581 (8th Cir. 1974); *United States* v. *Van Buren*, 563 F.2d 125 (9th Cir. 1979).

[3] *United States* v. *Shirling*, 572 F.2d 532 (5th Cir. 1978).

[4] *United States* v. *Zeidman*, 444 F.2d 1051 (7th Cir. 1971); *United States* v. *Wilkening*, 485 F.2d 234 (8th Cir. 1973).

[5] *United States* v. *Jackson*, 352 F. Supp. 672, 674 (S.D. Ohio 1972), *aff'd without opinion*, 480 F.2d 927 (6th Cir. 1973).

ENVIRONMENTAL PROTECTION AGENCY

40 CFR Part 52

[FRL 1377-7]

State and Federal Administrative Orders Revising the Michigan State Implementation Plan

AGENCY: U.S. Environmental Protection Agency.

ACTION: Proposed Rulemaking: Proposed Approval of Revision.

SUMMARY: U.S. Environmental Protection Agency (USEPA) proposes to approve a Michigan Air Pollution Control Commission Order submitted by the Commission as a proposed revision to the Michigan State Implementation Plan (SIP). The Order was issued to the Detroit Edison Company on October 11, 1978 and extends the date that the company is required to meet the opacity limitation contained in the Federally approved Michigan SIP. The Order extends the date to December 31, 1981 and applies to Unit 6 at the Detroit Edison Company's generating facility in the City of St. Clair, East China Township, St. Clair County, Michigan. Any Order which has been issued to a major source and extends the date for meeting the opacity limitations contained in the SIP must be approved by USEPA before it becomes effective as a SIP Revision under the Clean Air Act (CAA), 42 U.S.C. 7410. If approved by USEPA, the extension will constitute a revision to the SIP. The purpose of this notice is to invite public comment on USEPA's proposed approval of the Order.

DATE: Comments must be received on or before January 18, 1980.

ADDRESSES: Send comments to: Steve Rothblatt, Chief, Air Programs Branch, Air and Hazardous Materials Division, U.S. Environmental Protection Agency, Region V, 230 South Dearborn Street, Chicago, Illinois 60604.

The State Order, supporting material, and public comments received in response to this notice may be inspected and copied (for appropriate charges) at the above address during normal business hours or at: Michigan Department of Natural Resources, Air Quality Division, State Secondary Complex, General Office Building, 7150 Harris Drive, P.O. Box 30028, Lansing, Michigan 48909.

FOR FURTHER INFORMATION: Joel Morbito, Air and Hazardous Materials Division, U.S. Environmental Protection Agency, 230 South Dearborn Street, Chicago, Illinois 60604 (312) 886–6059.

SUPPLEMENTARY INFORMATION: The Detroit Edison Company (Edison) operates power generation facilities in the City of St. Clair, East China Township, St. Clair County, Michigan. The plant is commonly known as the St. Clair Plant. In accordance with Rule 336.41(c) of the Michigan Administrative Code, Edison requested authorization from the Michigan Air Pollution Control Commission (Commission), to operate Unit 6 at the St. Clair Plant until September 31, 1981, at an opacity greater than that otherwise authorized under the rule. Rule 336.41 prohibits the discharge into the atmosphere from a single source of emission, a visible air contaminant of a density darker than No. 1.0 of the Ringelmann chart or not more than 20% opacity, except that a visible contaminant of a density not darker than No. 2 of the Ringelmann chart or not more than 40% opacity may be emitted for not more than three minutes in any 60 minute period. This emission shall not be permitted on more than three occasions during any 24 hour period. Rate 336.41(c) authorizes an exception to the rule where compliance is not feasible and all other requirements of the Commission's rules are being met.

A public hearing was held on Edison's request on May 18, 1978, in conformity with the notice and hearing requirements set forth in 40 CFR 51.4 and 51.6. The only individuals testifying at the hearing were those testifying on behalf of the petitioners. The Commission's Final Order granting the request for extension of the compliance date was issued after the company and the Air Quality Division of the MDNR entered into a Stipulation For Entry of a Consent Order.

The Order requires the Company to complete installation of an electrostatic precipitator for Unit 6 by April 1, 1982. The order also requires the company to be in compliance with Rule 336.41 after December 31, 1981. The company has informed USEPA that the discrepancy in the date for the completion of the installation of the electrostatic precipitator and the date of compliance is due to the fact that the unit will be shut down December 31, 1981 to enable the Company to complete the installation of the electrostatic precipitator.

During a malfunction of the existing precipitator the company is authorized to operate Unit 6 in accordance with the provisions of the company's St. Clair Power Plant order #194 as revised January 18, 1978. When there is no

precipitator malfunction the company is authorized under the Order, to operate Unit 6 at an opacity of not greater than 55% computed as a six minute average, when the scrubber is operating; when the scrubber is not operating the company is authorized to operate that unit at an opacity not greater than 65%, computed on a six minute average.

The Final Order was submitted to USEPA in June, 1979, as a proposed revision to the Michigan SIP. Additional information was submitted August 14, 1979. USEPA reviewed the Order and the technical support material submitted in support of the Order. A review of the stack test data showed that all six stacks of the St. Clair Power Plant were in compliance with the allowable maximum emission rate for particulates and all stacks with exception of No. 3 were in compliance with the allowable emission opacity limits. No. 3 exceeded the allowable opacity limit of 40%. As a result, Edison will install a new electrostatic precipitator to achieve compliance by December 31, 1982.

USEPA determined that the proposed revision will not interfere with the attainment and maintenance of the National Ambient Air Quality Standards. Pursuant to 110 of the CAA, the Administrator of USEPA must approve the final order as a revision to the Michigan SIP before it may become effective. 42 U.S.C. 7410. Today's action proposes approval of that Final Order as a revision to the Michigan SIP.

All interested persons are invited to submit written comments on the proposed SIP revision. Written comments received by the date specified above will be considered in determining whether USEPA will approve the revision. After the public comment period, the Administrator of USEPA will publish in the **Federal Register** the Agency's final action on the proposed SIP revision.

(42 U.S.C. 7410)

Dated: December 5, 1979.

John McGuire,

Regional Administrator.

[FR Doc. 79-38908 Filed 12-18-79; 8:45 am]

BILLING CODE 6560-01-M

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40 CFR Part 169

[FRL 1377-6]

Pesticide Enforcement; Books and Records of Pesticide Production and Distribution; Notification to the Secretary of Agriculture of a Proposed Regulation

AGENCY: Environmental Protection Agency (EPA), Office of Enforcement.

ACTION: Notification to Secretary of Agriculture of Proposed Regulation.

SUMMARY: Notice is given as required by Section 25(a)(2)(A) of the Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended, that the Administrator, EPA, has forwarded to the Secretary of the U.S. Department of Agriculture a copy of EPA's proposed amendment to regulations which impose certain record keeping requirements upon producers of pesticides and devices. This amendment will add new record keeping requirements to those currently required to be kept by producers who manufacture pesticides and devices for export. It would also extend the record keeping requirements to producers who manufacture active ingredients used in producing pesticides.

FOR FURTHER INFORMATION CONTACT: John J. Neylan III, Pesticides and Toxic Substances, Enforcement Division (EN-342), Office of Enforcement, EPA, Room 3632, 401 M Street, S.W., Washington, D.C. 20460, telephone 202/755-0630.

SUPPLEMENTARY INFORMATION: Section 25(a)(2)(A) of FIFRA states that the Administrator shall provide the Secretary of Agriculture a copy of any proposed regulation at least 60 days prior to signing it for publication in the **Federal Register**. If the Secretary comments in writing regarding the proposed regulation within 30 days after receiving it, the Administrator shall publish in the **Federal Register** (with the proposed regulation) the comments of the Secretary, if requested, and the response of the Administrator. If the Secretary does not comment in writing within 30 days after receiving the proposed regulations, the Administrator may sign such regulation for publication in the **Federal Register** any time after the 30 day period.

Pursuant to FIFRA Section 25(a)(3), a copy of this proposed regulation has been forwarded the the Committee on Agriculture of the House of Representatives and the Committee on Agriculture, Nutrition, and Forestry of the Senate. The proposed regulation has also been submitted to the FIFRA Scientific Advisory Panel, as required by Section 25(d).

(Section 25 of the Federal Insecticide, Fungicide, and Rodenticide Act, as amended in 1972, 1975, and 1978 (92 Stat. 819; 7 U.S.C. 136))

Dated: December 14, 1979.

Jeffrey G. Miller,

Acting Assistant Administrator for Enforcement.

[FR Doc. 79-38956 Filed 12-18-79; 8:45 am]

BILLING CODE 6560-01-M

INTERSTATE COMMERCE COMMISSION

49 CFR Part 1041

[Ex Parte MC-132]

Interpretation—Certificates and Permits; Intermediate Point Restrictions

AGENCY: Interstate Commerce Commission.

ACTION: Correction to Notice of Proposed Rulemaking.

SUMMARY: The Interstate Commerce Commission served a notice on December 6, 1979 (44 FR 71438, December 11, 1979) instituting a rulemaking proceeding to establish a temporary rule of construction (effective for a period of 180 days) permitting (but not requiring) regular route motor common carriers of property to serve all intermediate points on their authorized regular service routes. The following corrections should be made to that document:

(1) Page 71439, 4th full paragraph, following the word "authorities" in the last sentence add "contained restrictions and confined service only to specified points."

(2) Page 71439, 2nd column, 1st paragraph, last line, the word, "their" should read "the".

FOR FURTHER INFORMATION CONTACT: Karlheinz Morell (202) 275-7905, or Donald J. Shaw (202) 275-7292.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38842 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

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49 CFR Part 1125

[Ex Parte No. 293 (Sub No. 2)]

Standards for Determining Rail Service Continuation Subsidies

AGENCY: Rail Services Planning Office, Interstate Commerce Commission.

ACTION: Notice of proposed rulemaking.

SUMMARY: The Rail Services Planning Office (RSPO) proposes three amendments to the Standards for Determining Rail Service Continuation Subsidies (Standards). These are: (1) An amendment that will ensure that all charges to accounts are just and reasonable; (2) an amendment in the calculation of the management fee; (3) an amendment that a rail carrier entitled to reimbursement for General Administrative Expenses shall not be entitled to the additional compensation of an Administrative Fee. These amendments would clarify and refine the costs and revenues attributable to the operation of subsidized rail lines.

DATE: RSPO invites comments on the proposed amendments on or before January 25, 1980.

ADDRESS: Submit an original and six copies to: Interstate Commerce Commission, Section of Rail Services Planning, Room 7383, Washington, D.C. 20423, Attn: RSPO Regional Subsidy Standards.

FOR FURTHER INFORMATION CONTACT: Stephen M. Grimm (202) 275-0838.

SUPPLEMENTARY INFORMATION: RSPO believes that certain amendments to the Standards are necessary to clarify and refine the costs and revenues attributable to the operation of subsidized rail lines. The proposed amendments are discussed below.

Charges to Accounts Should be Just and Reasonable

It has been the intent of RSPO that all charges incurred in the provision of subsidized rail service be just and reasonable, as that term is defined by the Interstate Commerce Commission's Uniform System of Accounts (USOA), Title 49 of the Code of Federal Regulations, Part 1201. The Standards require that all operators of subsidized lines follow the directions of the USOA. A definition of a just and reasonable charge is contained in the General Instructions, paragraph 1-6, of the USOA. In that paragraph, a just and reasonable charge is defined as one which does ". . . not exceed amounts necessary to the honest and efficient operation and management of carrier business. . . ." RSPO proposes to incorporate this definition directly into the Standards.

Management Fee

The Michigan Department of Transportation (MDOT) has requested RSPO to amend the procedure for determining the management fee paid to shortline operators of subsidized rail lines. MDOT believes that a shortline railroad which exist primarily to operate subsidized lines should not receive any statutorily mandated management fee. MDOT apparently believes that the subsidizer and the operator should have total discretion to negotiate a management incentive program.

RSPO has evaluated the MDOT request and believes that MDOT has raised a valid issue. The requirement for a management fee was added to the subsidy program by the Railroad Revitalization and Regulatory Reform Act of 1976 (4R Act). The 4R Act established that the operator of a subsidized line should receive a "reasonable management fee" in addition to the reimbursement of the difference between the "attributable revenues" and the "avoidable costs" of the service. In response to the Congressional mandate, RSPO conducted a rulemaking proceeding and, after considering a variety of proposals, RSPO published an amendment to the Standards on March 26, 1976. RSPO ruled that the management fee should be set at an amount equal to 4.5 percent of the revenues attributable to the subsidized line. At that time, RSPO noted that this method would be simple to calculate and would encourage both the operator and the subsidizer to increase the traffic and thus the revenues on the subsidized line. RSPO also indicated that the method for the calculation of the management fee would be amended, if warranted based upon the experience with the actual subsidy program. RSPO now believes that a change in the management fee calculation is necessasry because of changes in certain aspects of the subsidy program.

The RSPO rulemaking proceeding establishing the management fee was concluded prior to the commencement of operation on any lines governed by the regulations. In 1976, RSPO assumed that, in general, subsidized lines would be operated as an ancillary service by large rail carriers such as Conrail. RSPO believed that the implicit intent of the Congress in providing for a management fee was to supply a profit incentive that would encourage high level railroad management officials to work towards reduce costs and improved service on the subsidized lines. Without the inducement of a profit, RSPO believed these officials could justifiably be expected to devote their energies and resources to the carrier's operations that would produce a return for their corporation. This is especially true for a large carrier where the salaries and expenses for the high level management personnel are not normally includable as an avoidable cost of providing the subsidized service.

However, since April 1, 1976 numerous shortline railroad companies have been established exclusively to operate subsidized lines. These carriers are reimbursed for all operating costs including the salaries and expenses for all management personnel. Since the management personnel are already dedicated to the operation of the subsidized service, RSPO is concerned that the continued use of a management fee based solely on the attributable revenues may not provide the incentive necessary for reduced costs and improved service.

RSPO has provided that the original management fee would serve as a "floor" and that the operator and the subsidizer could agree on an additional incentive program. RSPO believed that a properly constructed incentive agreement would work to the advantage of the operator, by increasing the profit potential, and the subsidizer, by reducing the operating expenses. However, this goal has not been realized.

RSPO therefore proposes to restructure the method for the determination of the management fee. The amendment proposed by RSPO provides that a carrier whose entire rail operations are conducted under a subsidy agreement will receive a reduced management fee based on two percent of the revenues attributable to the subsidized operation. RSPO believes that such a change may result in reduced subsidy costs while continuing to assure the operator of a reasonable profit and should provide a greater impetus for the subsidizer and the operator to initiate incentive agreements.

Administrative Fee

The administrative fee was originally incorporated into the Standards on March 28, 1975. At that time RSPO ruled that the costs of administering the subsidy program were an avoidable expense. However, rather than require the operator to develop these costs on an actual basis, which would in and of itself be an additional avoidable administrative expense, it was decided that a flat fee would be a more appropriate method. The administrative fee was originally set at one half of one percent of the attributable revenues since RSPO believed that the cost of administering the subsidy program would undoubtably be related to the volume of traffic . After the subsidy program was in effect, RSPO increased the level of the fee to one percent, based on an audit of Conrail's actual expenses.

However, as covered previously in the discussion of the management fee, numerous shortline railroads have been established solely to operate subsidized rail lines. As such, all of their costs, including those for administering the subsidy program, are includable as avoidable expenses under the heading of General Administrative Expenses. RSPO never intended the regulations to allow a carrier to recover both its actual administrative costs and an administrative fee. RSPO therefore proposes a remedial amendment that provides tha a carrier would not receive

an administrative fee if its costs include its actual administrative expenses.

This is not a major Federal action significantly affecting the quality of the human environment within the meaning of the National Environmental Policy Act of 1969.

This proposed rule is published under the authority of 49 U.S.C. 10362.

Issued: December 14, 1979 by Alexander Lyall Morton, Director, Rail Services Planning Office.

By the Commission.

Agatha Mergenovich,

Secretary.

Proposed amendments to Part 1125, Subchapter B, Chapter X, Title 49, Code of Federal Regulations

1. Section 1125.2 is amended by adding a new definition as follows:

§ 1125.2 Definitions of terms used in the standards.

* * * * *

"Just and Reasonable Charge" means that a charge to an account shall not exceed an amount necessary to the honest and efficient operation and management of carrier business.

2. Section 1125.7(b) (j) and (o) are amended to read as follows:

§ 1125.7 Calculation of avoidable costs and management fee.

* * * * *

(b) The avoidable costs of providing freight service on a branch shall be the total of the just and reasonable charges assigned to the branch in accordance with this section. Those expenses apportioned under this section shall be derived from the latest Form R–1 or R–2 or R–3 of the railroad filed with the ICC prior to the conclusion of the subsidy year, and assigned to the branch according to the procedures set forth in § 1125.8 of these regulations.

* * * * *

(j) *Administrative Fee.* A carrier shall be entitled to receive an administrative fee only if the carrier is not entitled to include General Administrative Expenses, § 1125.7(d), as an avoidable cost. The administrative fee shall be calculated as one percent of the total revenues attributed to the branch under § 1125.6 and shall be allowed as an avoidable cost to the railroad to cover all costs of administering the subsidy program.

* * * * *

(o) *Reasonable management fee.* A railroad whose entire rail operations are conducted under a subsidy agreement shall be entitled to a management fee based on two percent of the total revenues attributable to the branch under § 1125.6. A railroad that conducts a rail operation under a subsidy agreement in addition to other rail operations shall be entitled to a management fee based on four and one-half percent of the total revenues attributable to the branch under § 1125.6. If the railroad and the person offering the subsidy agree to an additional fee designed to maximize revenues, and minimize expenses, promote efficient service, or otherwise achieve public interest objectives, the railroad shall be paid such fee as determined in accordance with such agreement.

[FR Doc. 79–38806 Filed 12–18–79; 8:45 am]

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49 CFR Part 1125

[Ex Part 293, Sub-2)

Standards for Determining Rail Service Continuation Subsidies

AGENCY: Rail Services Planning Office, Interstate Commerce Commission.

ACTION: Further Notice of Proposed Rulemaking.

SUMMARY: On March 16, 1979 the Rail Services Planning Office (RSPO) Served a notice of proposed rulemaking (44 FR 17534, March 22, 1979) that requested comments on and procedures to account for the impact of inflation on costs that are incurred between the end of the calendar year and the conclusion of the subsidy year. RSPO requested that any proposals also recognize changes that occur in productivity.

After reviewing the comments and proposals, RSPO proposes to amend the Standards For Determining Rail Services Continuation Subsidies (Standards) to provide for a single composite index for off-branch costs and individual indices for specific on-branch costs. The costs reflecting inflation will be calculated as part of the year-end adjustment of the subsidy payments which is required under § 1125.5(a).

No. proposals were received that would account for changes in productivity. After conducting its own analysis, RSPO believes that no valid statistical measure is currently available by which real change in productivity could be determined. The proposed amendments to the Standards can be applied by Class I, II, and III railroads. RSPO proposes to make the amendments effective for subsidy periods commencing after January 1, 1980.

DATE: Comments on the proposed amendments are due on or before January 22, 1980.

ADDRESS: Submit an original and six copies to: Interstate Commerce Commission, Section of Rail Services Planning, Washington, DC 20423, Attn: Regional Subsidy Standards.

FOR FURTHER INFORMATION CONTACT: James Wells, 202–275–0838.

SUPPLEMENTARY INFORMATION: On March 16, 1979, RSPO published a notice of proposed ruemaking that requested comments and proposed procedures to account for the impact of inflation on costs that are incurred between the end of the calendar year and the conclusion of the subsidy year. RSPO further requested that any proposed solutions recognize changes in productivity that would occur during this period.

RSPO has reviewed the comments received. Appended to this report are proposed amendments to the Standards which would allow railroads to recover cost increases caused by inflation. However, RSPO has not received any submissions that would measure changes in railroad productivity.

The Impact of Inflation on Railroad Costs

Light density lines operated under the subsidy provisions of the Regional Rail Reorganizational Act of 1973 (3R Act) have an accounting or subsidy year that does not correspond to the calendar year. The Standards currently require that off-branch and certain on-branch cost components be developed using the latest Annual Report (Form R–1) filed with the Interstate Commerce Commission (ICC). This approach does not reflect any cost escalations which may occur after December 31. As a result, the cost of operations for the remainder of the subsidy year are reimbursed at the average cost for the preceding calendar year.

The proposed amendments to the Standards would allow the off-branch costs to be updated using a single composite index. In many instances, these off-branch costs, which are the sum of the terminal, line-haul, and interchange costs, comprise the majority of the total operating costs of a branch line. The proposed amendments would also allow certain on-branch costs which are determined by allocations of system-wide costs to be adjusted to reflect inflation. These costs include: repairs to equipment; fuel; power purchased and produced; and train supplies. Each cost category will be updated by an individually-determined ratio applicable to that element. The proposed amendments for both off-branch and on-branch costs are discussed in detail below.

Off-Branch Costs

The Consolidated Rail Corporation (Conrail) submitted two alternative approaches for the updating of off-branch costs. Conrail's first approach suggested the development of a subsidy year Rail Form A. This would require the preparation of numerous Form R–1 report schedules as well as other data on a subsidy year basis. This procedure could be costly and cumbersome. For these reasons, RSPO has not proposed adopting this approach.

Conrail also suggested the use of an indexing procedure. The Conrail proposal is similar to ICC statement No. 1E 3–78, which is used to update regional cost factors. Conrail suggested that a composite index be calculated and applied to the total off-branch operating costs incurred between the end of the calendar and subsidy years. RSPO believes that this second suggestion would be administratively simple and reasonable inexpensive to employ.

In Conrail's second proposal, the composite index is to be calculated by dividing the railroad's total operating expenses, including taxes except Federal Income taxes, for the subsidy year by those expenses for the calendar year. The calendar year expenses are available from the railroad's latest annual report, Form R–1. The subsidy year expenses are based upon the calendar year totals, with certain selected cost categories being increased for inflation. The cost categories are:

1. Employee compensation charged to operating expenses;
2. Payroll taxes;
3. Health and Welfare benefits;
4. Fuel costs;
5. Power costs; and
6. Materials and supplies costs.

These selected cost categories are those that are highly sensitive to inflationary pressures, and, under existing practices are increased by individually-calculated indices, developed from the following sources.

The employee compensation cost update ratio is developed from the annual and monthly Report of Employees, Service and Compensation as submitted to the ICC. The payroll taxes cost update ratio is developed from statistical data developed by the Bureau of the Actuary of the Railroad Retirement Board and the National Railway Labor Conference. The health and welfare cost update ratio is developed from the railroad's records. The fuel cost and electric power cost update ratios are both developed from statistical data in the R–1 and the railroad's internal records. The material and supplies update cost ratio is developed from the Association of American Railroads' (AAR) series Quarterly Material Price and Wages (QMPW).

The individual indices for each cost element are calculated as follows:

1. The employee compensation index is developed by dividing the average straight-time hourly rate of all employees for the calendar year by that of the subsidy year.

2. The payroll taxes index is developed by dividing subsidy year employer contribution rate per employee per hour by the calendar year employer contribution rate per employee per hour. The employer contribution rate per employee per hour is developed by adding together the maximum annual tax per employee for Railroad Unemployment Insurance and Railroad Retirement and then dividing by 2080, the number of working hours per year. The contribution rate per hour for Railroad Retirement and Railroad Unemployment Insurance is then added to supplemental annuity contribution rate per hour. The contribution rate per hour is calculated on the same basis for both the calendar and subsidy year.

3. The Health and Welfare costs index is developed by dividing the employer's total Health and Welfare monthly costs per employee for the subsidy year by the employer's total Health and Welfare monthly costs per employee for the calendar year. The monthly costs per employee are developed by dividing employer's total monthly costs by total employees, using the middle of the month count of employees.

4. The fuel cost index is developed by dividing the average cost of diesel fuel per gallon for the twelve months of the subsidy year by the average cost of diesel fuel per gallon for the twelve months of the calendar year.

5. The electric power cost index is developed by dividing the average price of electric power per kilowatt hour for the subsidy year by the average price of electric power per kilowatt hour for the calendar year.

6. The materials and supplies cost index is developed by dividing the subsidy year's most recent quarterly index from the AAR's series QMPA by the calendar year's last quarterly index from the same series.

After the individual indices have been developed, they are applied against the base calendar year expenses. An employment level adjustment is then applied against the subsidy year total of employee compensation, payroll taxes, and Health and Welfare costs. The employment level adjustment is developed by dividing the Mid-month employee counts for the subsidy year by the mid-month employee counts for the calendar year. The employment level mid-month employee counts are determined from the railroad's annual and monthly report of employees, service and compensation. The adjusted employment level accounts plus the other indexed amounts are totalled, developing a *pro forma* total operating expense amount for the subsidy period. The total subsidy year *pro forma* operating expenses are then divided by the total calendar year operating expenses to develop the composite index.

The total off-branch costs for the twelve months of subsidy year as determined in section 1125.7(n) are multiplied by the composite index in order to update this cost to reflect the inflationary impact.

On-Branch Costs

RSPO found that certain on-branch costs that are charged to the branch line on an assignment basis rather than on a direct cost basis should also be updated for the inflation that occurs between the end of the calendar year and the end of subsidy year. These items (equipment repairs, fuel, electric power and train supplies) are assigned to the branch line on the basis of usage. Since the unit costs are system average costs developed from the annual report, Form R–1, they do not reflect inflationary effects that occur after the close of the calendar year. The same indices that are employed to calculate the composite index are also used to update the applicable categories on-branch costs. The individual cost index that is applicable to a category of on-branch cost is multiplied against the operating cost in that category in order to update the costs to reflect inflation.

Changes In Productivity

RSPO did not receive any proposals that addressed the issue of productivity. RSPO did develop some productivity factors for Conrail, based on operating statistics. The factors that were investigated by RSPO were: gross ton-miles per freight train-hour, net ton-miles per freight train-mile, and revenue ton-miles per employee. The table below contains the results of RSPO's analysis and shows the fluctuations in Conrail's operations on an annualized basis.

	1976	1977	1976 to 1977 percent change	1978	1977 to 1978 percent change
Gross ton-miles per freight train-hour	69,311	68,745	−0.8	67,191	−2.2
Net ton-miles per freight train mile	1,666	1,803	+8.2	1,870	+3.7
Revenue ton-miles per employee	981	955	−2.7	1,018	+6.6

RSPO determined that the fluctuations reflected for the individual items in the table above were caused by seasonal traffic patterns or weather conditions. RSPO found that the annual cycle, when broken into quarters, was repetitive. For the years studied, the first quarter traffic was down, traffic peaked in the second and third quarters, and declined again the late fall and early winter months. The analysis further reflects inconsistent gains in the movement of traffic, and shows that the weight of the trains is increasing while the distance covered per hour is decreasing. This situation results in measures that would tend to offset one another. RSPO believes that no valid statistical measures are available at this time by which any real change in productivity could be applied to the individual indices or to the composite index. Therefore, no productivity index is incorporated in the proposed adjustment for inflationary impact.

RSPO requests comments on the proposed amendments. This is not a major Federal action significantly affecting the quality of the human environment within the meaning of the National Environmental Policy Act of 1969.

This proposed rule is published under the authority of 49 U.S.C. 10362.

Issued December 14, 1979 by Alexander Lyall Morton, Director, Rail Services Planning Office.

By the Commission.

Agatha L. Mergenovich,

Secretary.

Proposed Regulations

1. Section 1125.7(n)(5) shall be added as follows:

§ 1125.7 Calculation of avoidable costs and management fee.

* * * * *

(n)* * *

(5) The railroad shall be entitled to recover increases in off-brush costs that result from inflation occurring between the end of the calendar year and the end of the subsidy year, calculated as follows:

(i) The railroad shall determine the following calendar year items from the railroad's latest Form R–1 and company records. (Class II and III railroads shall adapt the procedure using similar data from Form R–2 or R–3 or company records):

(A) Total, railroad's Salaries and Wages, [Schedule 410, col (b)];

(b) U.S. Government 4old-age retirement and unemployment insurance taxes (including medicare and supplemental annuities), [Schedule 451, Section (B);]

(C) Employee Health and Welfare expenses, [company records];

(D) Transportation: Train Operations; Locomotive Fuel, Materials, tools, supplies and lubricants; plus Transportation: Yard Operations; Locomotive Fuel, Materials, tools, supplies, fuels and lubricants, [Schedule 410, col. (c)];

(E) Transportation: Train Operations; Electric Power Purchased or Produced for Motive Power, Materials tools, fuel and lubricants and Purchased Services; plus Transportation: Yard Operations; Electric Power, Purchased or Produced for Motive Power, Materials, tools, fuels and lubricants and Purchased Services, [Schedule 410 col. (c) and (d)];

(F) Equipment: Locomotives; Repair and Maintenance, Materials, tools, supplies, fuels and lubricants; Freight Cars; Repair and Maintenance, Materials, tools, supplies and lubricants; plus Transportation; Train Operations; Train Inspection and Lubrication, Materials, tools, supplies, fuels and lubricants; Train Crews, Materials tools, supplies, fuels and lubricants; Servicing Locomotives, Materials, tools, supplies, fuels and lubricants; plus Yard Operations; Switch Crews, Materials, tools, supplies, fuels and lubricants; Servicing Locomotives, Materials, tools, supplies, fuels and lubricants, [Schedule 410, Col. (c)];

(G) Railway Tax Accruals (excluding Federal Income Taxes and Payroll Taxes), [Schedule 451, Section (b)];

(H) Total operating expenses, freight portion, [Schedule 410, col. (f)];

(I) Total—All other operating expenses, paragraphs (N)(5)(i)(H) minus the sum of paragraphs (n)(5)(i)(A), (n)(5)(i)(B), (n)(5)(i)(C), (n)(5)(i)(D), (n)(5)(i)(E), and (n)(5)(i)(F).

(ii) The Railroad shall determine the following ratios:

(A) Employee Compensation Update Ratio. (*1*) The calendar year average straight-time compensation per hour is determined by: adding the total straight-time compensation for transportation employees to the total straight-time compensation for train and engine employees; divided by the total straight-time service hours for transportation employees plus the total straight-time service hours for train and engine employees, [ICC *Annual Report of Employees, Service and Compensation Forms A and B*];

(*2*) The subsidy year average straight-time compensation per hour is determined by: adding the total straight-time compensation for transportation employees to the total straight-time compensation for train and engine employees, for the twelve months of the subsidy year; divided by the total straight-time service hours for transportation employees plus the total straight-time service hours for train and engine employees, for the twelve months of the subsidy, year [ICC *Monthly Report of Employees, Service and Compensation Forms A and B];*

(*3*) The Employee Compensation Update ratio is determined by dividing the subsidy year average straight-time compensation per hour, paragraph (n)(5)(ii)(A)(2); by the calendar year average straight-time compensation per hour, paragraph (n)(5)(ii)(A)(1) above.

(B) Payroll Taxes Update Ratio.

(*1*) The calendar year employer contribution rate per hour is determined by: adding the employer maximum annual tax per employee for Railroad Retirement to the employer paid maximum annual tax per employee for Railroad Unemployment Insurance, [Bureau of the Actuary, U.S. Railroad Retirement Board]; divided by 2080, the average annual number of working hours per year. The quotient is added to the hourly rate for supplemental annuities, [National Railway Labor Conference];

(*2*) The subsidy year employer contribution rate per hour is determined by: multiplying the employer's monthly rate for railroad retirement and railroad unemployment insurance by the maximum monthly individual employee's wage base, respectively, for the twelve months of the subsidy year, [Bureau of the Actuary, U.S. Railroad Retirement Board]; and dividing by 2080, the average annual number of working hours per year. The quotient is added to the hourly rate for supplemental annuities, [National Railway Labor Conference];

(*3*) The Payroll Taxes Update Ratio is determined by: dividing the subsidy year contribution rate per hour, paragraph (n)(5)(ii)(B)(2) by the calendar year contribution rate per hour, paragraph (n)(5)(ii)(B)(1) above.

(C) Health and Welfare Costs Update Ratio. (*1*) Calendar year Health and Welfare Costs are determined by: dividing total calendar year monthly costs, company records, by total employees, middle of the month count, [ICC *Monthly Report of Employees, Service and Compensation, Forms A and B*]. All monthly costs per employee are then totalled;

(*2*) Subsidy year Health and Welfare costs are determined by: dividing total subsidy year monthly costs, company records, by total employees, [ICC *Monthly Report of Employees, Service, and Compensation, Forms A and B*]. All monthly costs per employee are then totalled;

(*3*) The Health and Welfare Costs Update Ratio is determined by: dividing the subsidy year costs per employee, paragraph (n)(5)(ii)(C)(2) by the calendar year costs per employee, paragraph (n)(5)(ii)(C)(1) above.

(D) Employment Level Adjustment Ratio. (*1*) The calendar year middle of the month employee counts are determined by: Summing the middle of the month counts, [ICC *Monthly Report of Employees, Service and Compensation, Form A and B*], for the twelve months of the calendar year;

(*2* The subsidy year middle of the month employee counts are determined by: summing the middle of the month counts, [ICC *Monthly Report of Employees, Service and Compensation Forms A and B*], for the twelve months of the subsidy year;

(*3*) The Employment Level Adjustment Ratio is determined by: dividing the subsidy year middle of the month counts, paragraph (n)(5)(ii)(D)(2), by the calendar year middle of the month counts, paragraph (n)(5)(ii)(D)(1) above.

(E) Fuel Cost Update Ratio. (*1*) The calendar year average fuel cost per gallon is determined by: dividing the cost of Fuel, Diesel Oil, Schedule 750, col(b), by the number of gallons, Diesel Oil, consumed in freight, passenger and yard switching service, schedule 750, col (b);

(*2*) The subsidy year average fuel cost per gallon is determined by: dividing the cost of fuel, diesel oil, company records, for the subsidy year, by the number of gallons, diesel oil consumed in freight, passenger and yard switching operations, company records, for the subsidy year.

(*3*) The Fuel Cost Update Ratio is determined by: dividing the subsidy year fuel cost per gallon, paragraph (n)(5)(ii)(E)(2) by the calendar year fuel cost per gallon, paragraph (n)(5)(ii)(E)(1) above.

(F) Electric Power Cost Update Ratio. (*1*) The calendar year cost per kilowatt hour is determined by: dividing the cost of Electric Kilowatt Hours, [schedule 750, col. (c)] by the Kilowatt Hours consumed by freight, passenger, and yard switching operations, [schedule 750, col(c)];

(*2*) The Subsidy year cost per kilowatt hour is determined by: dividing the cost of electric kilowatt hours, [company records], by the kilowatt hours consumed by freight, passenger, and yard switching operations, [company records];

(*3*) The Electric Power Cost Ratio is determined by: dividing the subsidy year cost per kilowatt hour, paragraph (n)(5)(ii)(F)(2) by the calendar year cost per kilowatt hour, paragraph (n)(5)(ii)(F)(1) above.

(G) Materials and Supplies Costs Update Ratio. (*1*) The calendar year materials and supplies ratio is determined for the final quarter; calendar year, [Association of American Railroads (AAR), Economics and Finance Department, Series Quarterly Material, Price and Wages (QMPW), applicable region];

(*2*) The subsidy year materials and supplies ratio is determined from the latest full quarter subsidy year, [AAR, Economics, and Finance Department Series QMPW, applicable region];

(*3*) The Materials and Supplies Cost Update Ratio is determined by: dividing the subsidy year ratio, paragraph (n)(5)(ii)(G)(2) by the calendar year ratio, paragraph (n)(5)(ii)(G)(1) above.

(iii) The Railroad shall determine the following subsidy year expense items:

(A) Total subsidy year salaries and wages, [calendar year total railroad salaries and wages, paragraph (n)(5)(i)(A) multiplied by the Employee Compensation Update ratio, paragraph (n)(5)(ii)(A)(3)].

(B) U.S. Government old-age retirement and unemployment insurance (including medicare and supplemental annuities), [calendar year U.S. Government old-age retirement and unemployment insurance (including medicare and supplemental annuities), paragraph (n)(5)(i)(B) multiplied by the Payroll Taxes Update Ratio, paragraph (n)(5)(ii)(B)(3)].

(C) Employee Health and Welfare Expenses, [calendar year, Employee Health and Welfare expenses, paragraph (n)(5)(i)(C) multiplied by the Health and Welfare Costs Update Ratio, paragraph (n)(5)(ii)(C)(3)].

(D) Total employee compensation adjusted for employment changes, [subsidy year total railroad's salaries and wages paragraph (n)(5)(iii)(A); plus U.S. Government old-age retirement and unemployment insurance (including medicare and supplemental annuities), paragraph (n)(5)(iii)(B) plus Employee Health and Welfare Expenses, paragraph (n)(5)(iii)(C) multiplied by the employment level adjustment ratio, paragraph (n)(5)(ii)(D)(3)].

(E) Transportation: Train Operations; Locomotive Fuel, Materials, tools, supplies, fuels and lubricants; plus Transportation: Yard Operations: Locomotive Fuel, Materials, tools, supplies, fuels and lubricants, [calendar year expenses, paragraph (n)(5)(i)(D) multiplied by the Fuel Cost Update Ratio, paragraph (n)(5)(ii)(E)(3)].

(F) Transportation: Train Operations; Electric Power Purchased or Produced for Motive Power, Materials, tools, supplies, fuels and lubricants and Purchased Services; plus Transportation: Yard Operations: Electric Power Purchased or Produced for Motive Power, Materials, tools, supplies, fuels and lubricants, and Purchased Services, [calendar year expenses, paragraph (n)(5)(i)(E) multiplied by the Electric Power Cost Update Ratio, paragraph (n)(5)(ii)(F)(3)].

(G) Equipment: Locomotives; Repair and Maintenance, Materials, tools, supplies, fuels and lubricants; Freight Cars; Repair and Maintenance, Materials, tools, supplies, fuels and lubricants; plus Transportation: Train Operations; Train Inspection and Lubrication, Materials, tools, supplies, fuels and lubricants; Train Crews, Materials, tools, supplies, fuels and lubricants; Servicing Locomotives, Materials, tools supplies, fuels and lubricants; plus Transportation yard Operations; Switch Crews, Materials, tools, supplies, fuels and lubricants; Servicing Locomotives, Materials, tools, supplies, fuels and lubricants; [calendar year expenses, paragraph (n)(5)(i)(F) multiplied by the Materials and Supplies Costs Update Ratio, paragraph (n)(5)(ii)(G)(3)].

(H) Railway Tax Accruals (excluding Federal Income Taxes and Payroll taxes), [calendar year expenses, paragraph (n)(5)(i)(G) multiplied by 1.0].

(I) Total all other operating expenses, [Total calendar year all other operating expenses, paragraph (n)(5)(i)(I) multiplied by 1.0].

(iv) The railroad shall develop a composite index as follows:

(A) Total calendar year expenses [paragraph (n)(5)(i)(H)] plus calendar year Railway Tax Accruals (excluding Income Taxes and Payroll Taxes), paragraph (n)(5)(i)(G)];

(B) Total subsidy year expenses [sum of paragraphs (n)(5)(iii)(D), (n)(5)(iii)(E), (n)(5)(iii)(F), (n)(5)(iii)(G), (n)(5)(iii)(H), and (n)(5)(iii)(I)].

(C) Composite Index [Total subsidy year expenses, paragraph (n)(5)(iv)(B),

divided by total calendar year operating expenses, paragraph (n)(5)(iv)(A).

(V) The composite index, paragraph (n)(5)(iv)(C) above, shall be applied to the off-branch costs for twelve months of the subsidy year, as provided in § 1125.7(n). The difference between the off-branch costs as increased for inflation and the off-branch costs previously calculated by the railroad shall be included in the railroad's year-end Financial Status Report, as provided in § 1125.5(a).

2. § 1125.8(e) is added as follows:

§ 1125.8 Apportionment rules for the assignment of expenses to on-branch costs.

* * * * *

(e) The railroad shall be entitled to recover increases in certain on-branch costs that result from inflation occurring between the end of calendar year and the end of the subsidy year, calculated as directed below.

(1) The updating procedures described in paragraphs (e)(1)(A), (e)(1)(B) and (e)(1)(C), below, shall be applied to the applicable categories of total on-branch costs as provided in § 1125.8(b) and (C). The on-branch updated costs shall be calculated as follows:

(A) The increase in fuel costs shall be determined by multiplying the on-branch costs for Locomotive Fuel-Materials, [account 21–31–67 plus account 21–32–67] by the Fuel Cost Update Ratio, [§ 1125.7(n)(5)(ii)(E)(3) above, minus one].

(B) The increase in the Electric Power Costs shall be determined by: multiplying the on-branch costs for Electric Power Purchased or Produced-Materials, and Purchased Services, [accounts, 21–31–68, 21–32–68, 41–31–68 and 41–32–68] by the Electric Power Cost Update Ratio, [§ 1125.7(n)(5)(ii)(F)(3) above, minus one].

(C) The increase in materials and supplies costs shall be determined by multiplying the on-branch materials and supplies costs, [the sum of accounts: Engine Crews-Materials (21–31–56); plus Train Crews-Materials (21–31–57); plus Train Inspection and Lubrication-Materials (21–31–62); plus Locomotive Repairs and Maintenance-Materials (21–21–41); plus Servicing Locomotives-Materials (21–31–69); plus Switch Crews-Materials (21–32–64); plus Yard Operations: Servicing of Locomotives-Material (21–32–69)] by the Materials and Supplies Costs Update Ratio, [§ 1125.7(n)(5)(ii)(G)(3) above, minus one].

(2) The railroad shall recalculate on-branch car-day and car-mile costs as described in § 1125.7(g) to reflect inflation occurring in Materials-Freight Cars-Repairs and Maintenance Account (21–22–42) for the period between the end of the calendar year and the end of the subsidy year. The updated costs shall be calculated as follows:

(A) The increase in freight car repairs and maintenance costs shall be determined by multiplying the on-branch costs for these materials [Account 21–22–42-Materials-Freight Cars-Repairs and Maintenance] by the Materials and Supplies Cost Update Ratio [§ 1125.7 (n)(5)(ii)(G)(3)].

(B) The amount in paragraph (e)(1)(A) is substituted for Account 21–22–42-Freight Train Car-Repair and Maintenance calculated in § 1125.7(g). Then, the total freight train car costs per car-day and car-mile are recalculated. The recalculated car-day and car-mile costs are then applied to the appropriate service units incurred during the subsidy year, using the procedure described in § 1125.7(g).

(C) The railroad shall calculate the net increase in freight train car costs by subtracting the on-branch freight train car costs, as provided in § 1125.7(G), for the adjusted amount described in paragraph (e)(2)(B).

(3) The net inflationary in on-branch costs described paragraphs (e)(1)(A), (e)(1)(B), (e)(1)(C) and (e)(2)(C) shall be included in the railroad's year-end Financial Status Report as provided in § 1125.5(a).

[FR Doc. 79-38897 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

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49 CFR Part 1056

[Ex Parte No. MC-19 (Sub-34)]

Household Goods Transportation, (Storage-in-Transit Charges)

AGENCY: Interstate Commerce Commission.

ACTION: Revised notice of proposed rule.

SUMMARY: By this notice, the Commission is revising its prior notice of proposed rule in this proceeding to include reference to the legal authority under which the rule is proposed. The reference was inadvertently omitted in the earlier notice. The revision provided by this notice will bring this proceeding into compliance with requirements of the Administrative Procedure Act.

DATES: Comments are due January 18, 1980.

ADDRESS: An original and 15 copies, if possible, of comments should be sent to: Secretary, Room 5356, Interstate Commerce Commission, Washington, DC 20423.

FOR FURTHER INFORMATION, CONTACT: MARTIN E. FOLEY, TEL. (202) 275–7348.

SUPPLEMENTARY INFORMATION: It has come to the Commission's attention that its May 25, 1979, notice of proposed rule in this proceeding (44 FR 30387) failed to provide a reference to the legal authority under which the rule was proposed. The purpose of this revised notice is simply to state that the proceeding is proposed under the authority of Section 553 of the Administrative Procedure Act (5 U.S.C. 553) and Section 10321 of the Interstate Commerce Act (49 U.S.C. 10321). The comments which the Commission has received to date in this proceeding will be considered when the Commission formulates its final decision. The refiling of comments previously submitted is not necessary. However, and additional 30-day comment period is being provided for those wishing to submit initial or further comments. The appendix to this notice contains the supplementary information portion of the Commission's earlier notice of proposed rule in this proceeding. The only change which has been made is the inclusion of the reference to the legal authorities under which the rule is proposed.

Decided: November 30, 1979.

By the Commission, Chairman O'Neal, Vice Chairman Stafford, Commissioners Gresham, Clapp, Christian, Trantum, Gaskins, and Alexis. Commissioner Gaskins not participating.

Agatha L. Mergenovich,
Secretary.

Appendix

Each year the Commission receives a number of complaints concerning the storage-in-transit (SIT) charges of household goods carriers and freight forwarders opeating in interstate or foreign commerce. The SIT charges complained of are assessed on a minimum 30-day basis, even if the goods are only stored for one day. Furthermore, each time the storage period exceeds a 30-day period a charge is incurred for another 30-day period. The complaints allege that the practice is unfair and contend that charges should only be assessed for the number of days which the goods are actually stored.

We are aware of the fact that the present method of assessing SIT charges has been in existence for a number of years, but this in itself is no assurance that the practice is fair or reasonable. A fundamental principle of ratemaking is that a transportation charge can only be collected as compensation for a corresponding service. When no service is performed, no charge is warranted.

We propose to amend the Commission's rules to provide that SIT charges be assessed on a daily basis. Under the proposed new rule, chages could only be assessed for the number of days that the goods are actually stored in transit. The proposed change would affect SIT valuation charges, which are based on the storage charge, but it would not affect other related charges such as pickup charges to move the goods to storage point or warehouse handling charges.

In preparing this proposal, the Commission has been unable to determine any justification for the present practice. Carriers and forwarders of household goods are being made parties to this proceeding and are requested to furnish any justification which they might have for the continued use of the present practice. In addition, the Commission would like to receive any information regarding the financial impact which adoption of the proposal would have on these carriers and forwarders. The public is requested to comment on whether adoption of the proposal would benefit it. In order to assure that the interest of members of the public who use the services of carriers and forwarders of household goods is represented, the Commission's Special Counsel is directed to participate in this proceeding.

If the proposed regulation is adopted as a result of this proceeding, it will be necessary to determine if all existing provisions inconsistant with the new rule should be removed from tariffs. The Commission would like to receive comments on this issue and suggestions as to how it could be resolved.

The rule in this proceeding is proposed under the authority of section 553 of the Aministrative Procedure Act (5 U.S.C. 553) and section 10321 of the Interstate Commerce Act (49 U.S.C. 10321).

This proposed rulemaking does not appear to affect significantly the quality of the human environment.

§ 1056.3 [Amended]

Accordingly, we propose to amend § 1056.3(b) of Chapter X of Title 49 of the Code of Federal Regulations by adding, between the second and third sentence, a new sentence reading as follows: "Charges for storage-in-transit shall be stated in an amount per 100 pounds per day."

[FR Doc. 79-38840 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

Notices

Federal Register
Vol. 44, No. 245
Wednesday, December 19, 1979

This section of the FEDERAL REGISTER contains documents other than rules or proposed rules that are applicable to the public. Notices of hearings and investigations, committee meetings, agency decisions and rulings, delegations of authority, filing of petitions and applications and agency statements of organization and functions are examples of documents appearing in this section.

ADVISORY COUNCIL ON HISTORIC PRESERVATION

Public Information Meeting

Notice is hereby given pursuant to § 800.6(b)(3) of the Council's regulations, "Protection of Historic and Cultural Properties" (36 CFR Part 800), that on January 10, 1980, at 7:30 p.m., a public information meeting will be held at the Mary Todd Elementary School, 551 Park Side Drive, Lexington, Kentucky.

The meeting is being called by the Executive Director of the Council in accordance with § 800.6(b)(3) of the Council's regulations. The purpose of the meeting is to provide an opportunity for representatives of national, State, and local units of government, representatives of public and private organizations, and interested citizens to receive information and express their views concerning the proposed Lexington-Paris Road (Paris Pike) widening project, Kentucky Project 7296(15), an undertaking assisted by the Federal Highway Administration that will adversely affect the Paris Pike Historic District, Fayette and Bourbon Counties, Kentucky, a property eligible for the National Register of Historic Places. Consideration will be given to the undertaking, its effects on National Register or eligible properties, and alternate courses of action that could avoid, mitigate, or minimize any adverse effects on such properties.

The following is a summary of the agenda of the meeting:

I. An explanation of the procedures and purpose of the meeting by a representative of the Executive Director of the Council.

II. A description of the undertaking and an evaluation of its effects on the property by the Federal Highway Administration.

III. A statement by the Kentucky State Historic Preservation Officer.

IV. Statements from local officials, private organizations, and the public on the effects of the undertaking on the property.

V. A general question period.

Speakers should limit their statement to 5 minutes. Written statements in furtherance of oral remarks will be accepted by the Council at the time of the meeting. Additional information regarding the meeting is available from the Executive Director, Advisory Council on Historic Preservation, 1522 K Street, NW, Suite 430, Washington, D.C. 20005, 202–254–3967.

Dated: December 7, 1979.

Robert R. Garvey, Jr.
Executive Director.

[FR Doc. 79–38790 Filed 12–18–79; 8:45 am]
BILLING CODE 4310–10–M

DEPARTMENT OF AGRICULTURE

Forest Service

Malheur National Forest Grazing Advisory Board; Emergency Meeting

December 21, 1979.

The Malheur National Forest Grazing Advisory Board will convene an emergency meeting at 1:00 p.m., PST, at Lyon's Annex, the second building north of the Malheur National Forest headquarters in John Day, Oregon.

The Board must advise on expenditures of range betterment funds in advance of planning and executing range programs for Fiscal Year 1981. Planning is now beginning.

The Board will consider: (1) Reviewing range improvement needs on range allotments; (2) making recommendations on the utilization of range betterment funds; and, (3) making recommendations concerning the development of allotment management plans.

The meeting will be open to the public. Persons who wish to attend and participate should notify Kenneth L. Evans or Ernest V. Kehrberg, Malheur National Forest (503–575–1731) prior to the meeting.

Public participants can enter discussions during the meeting and may file a written statement following the meeting.

Kenneth L. Evans,
Forest Supervisor.

[FR Doc. 79–39048 Filed 12–18–79; 8:45 am]
BILLING CODE 3410–11–M

CIVIL AERONAUTICS BOARD

[Order 79–12–83; Dockets 36508, 37041]

Air Illinois, Inc.; Notice of Intent To Suspend Service at Jonesboro, AR, El Dorado/Camden, AR, Natchez, MS, Greenville, MS, and Jackson/Vicksburg, MS; and Application for Compensation for Losses

Order

Adopted by the Civil Aeronautics Board at its office in Washington, D.C. on the 13th day of December 1979.

On August 31, 1979, Air Illinois, a commuter carrier, filed a notice under section 401(j)(1) of the Act of its intent to suspend all service at Jonesboro and El Dorado/Camden, Arkansas, and at Natchez, Greenville, and Jackson/Vicksburg, Mississippi, effective October 1, 1979. By Order 79–9–183, September 27, 1979, we permitted Air Illinois to suspend service at Jonesboro, Greenville, and Jackson/Vicksburg, but required it to continue to provide service at El Dorado/Camden and Natchez for 30 days.[1]

On November 5, Air Illinois filed a request for compensation for losses in these markets, pursuant to section 324.2 of our Procedural Regulations. Air Illinois claims that it has experienced severe operating losses in these markets; that, due to circumstances beyond its control, it was unable to provide the full level of service required by Order 79–9–183; that, once Air Illinois is able to provide this service, its losses may increase substantially; and that the firm is now in a critical cash flow position, and requires compensation now, rather than at some uncertain future date. The carrier claimed total losses for the month of October were $91,119, and requests compensation in that amount.

We have examined Air Illinois' filing, and believe the appropriate interim compensation for the month of October, 1979, is $86,006.[2] Our adjustments are based on several factors. First, Air Illinois claimed payroll taxes equal to 9.8 percent of salaries and wages under administrative expenses and maintenance, but only 9.1 percent for flight operations and passenger servicing salary expense. According to company representatives in telephone conversations with our staff, payroll taxes should amount to 9.8 percent of wages and salaries under all functional groupings; we have adjusted Air Illinois' figures accordingly. The second adjustment involves interest expense on Air Illinois' two Jetstream aircraft used in the markets in question. The carrier claimed interest expense of $28,875. According to company representatives, this figure was a typographical error, which should have read $25,875.

Finally, Air Illinois claimed an allowance of $3,353 in return on shareholder's equity. We have disallowed this entirely for the purpose of setting a rate for interim compensation. Since interim rates are subject to adjustment once a carrier is allowed to terminate service, we will treat them as temporary rates and recognize only operating losses and interest expenses on long term debt, consistent with section 399.30 of our Policy Statements. A return allowance will be considered after termination of service when we propose a final adjustment of the carrier's claim.

Accordingly, pursuant to the Federal Aviation Act of 1958, as amended, particularly sections 102, 204, 419, and 1002(b) thereof, and the regulations promulgated in 14 CFR 302 and 324:

1. We set the interim level of compensation for losses sustained by Air Illinois, Inc., by virtue of its provision of essential air service to El Dorado/Camden, Arkansas, and Natchez, Mississippi, at $83,234[3] for each 30-day period beginning October 1, 1979, *Provided*, That for any period of less than 30 days, the interim rate of compensation shall be $2,774 per day times the number of days that essential air service is provided;

2. This proceeding shall remain open pending entry of an order fixing the final rate of compensation, and the amount of such rate of compensation may be the same as, lower than, or higher than the interim rate of compensation set here; and

3. We shall serve this order upon all parties to this proceeding.

We shall publish this order in the Federal Register.

By the Civil Aeronautics Board.

Phyllis T. Kaylor,[4]
Secretary.

[FR Doc. 79–38686 Filed 12–18–79; 8:45 am]
BILLING CODE 6320–01–M

[1] By Orders 79–10–197 and 79–11–198 we extended this obligation for additional 30-day periods.

[2] The Board's Bureau of Consumer Protection is currently investigating, informally, certain matters involving Air Illinois. Should this surface any factors which influence the rate of compensation we will either adjust the interim rate or settle when we make final adjustment to the carrier's total claim after terminaton of service.

[3] $86,006 (the carrier's claim for the month of October, as adjusted) divided by 31 days times 30 days.

[4] All Members concurred.

[Order 79–12–75; Docket 36815]

Southwest Alaska Service Investigation

Order

Adopted by the Civil Aeronautics Board at its office in Washington, D.C. on the 13th day of December 1979.

This service investigation was instituted by Order 79–10–45, in response to an application by Klondike Air, Inc. for certificate authority and in response to numerous complaints from communities in the Bristol Bay area in Alaska. By petition filed on November 16, 1979, the Bureau of Domestic Aviation (BDA) requested us to extend the procedural dates applicable to this case. BDA stated that the service of documents relative to this case has been defective, causing many documents intended for civic officials of villages at issue to be returned undelivered. BDA also says that names and addresses of many of the region's air taxis were omitted from the original service list. A new service list has been compiled and BDA urges us to direct service of all documents filed in this case to those omitted from the original list. Essentially, it requests us to issue another instituting order, thereby granting additional time for the filing of applications and petitions for reconsideration.

Defective service may deny notice of the proceedings to some interested parties; the lack of notice may have precluded participation by some carriers or communities. We consider broad-based participation by all interested parties to be essential to this investigation. Therefore, we will grant BDA's petition and issue a new order, reinstituting the investigations.

Several petitions for reconsideration of Order 79–10–45, applications, motions to consolidate, and answers have been received. They will be treated as pleadings filed under this order and will be dealt with at a later time.[1]

Accordingly: 1. We grant the petition of the Bureau of Domestic Aviation and reinstitute the Southwest Alaska Service Investigation, Docket 36815 under authority granted by section 204(a) of the Act;

2. We extend the date set in paragraph 5 of Order 79–10–45 for filing applications, answers and motions to consolidate from November 13, 1979 to 20 days from the date of service of this order;

3. Answers in response to pleadings filed under paragraph 2 above shall be filed no later than 40 days from the date of service of this order;

4. All existing parties that have filed documents in this proceeding shall serve copies of such documents on all persons included on the revised service list but not on the original service list;

5. All other orders and comments made in Order 79–10–45 are hereby incorporated by reference; and

6. Parties wishing to petition for reconsideration of this order or Order 79–10–45 may do so within 21 days of the service of this order.

This order shall be published in the Federal Register.

By the Civil Aeronautics Board.

Phillis T. Kaylor,[2]
Secretary.

[FR Doc. 79–38687 Filed 12–18–79; 8:45 am]
BILLING CODE 6320–01–M

[1] A copy of Order 79–10–45 is attached to the original copy on file at the Federal Register and may be examined there. Order 79–10–45 was printed in the Federal Register in its entirety, 44 FR 59924, October 17, 1979.

[2] All Members concurred.

[Order 79–12–69; Docket No. 36162]

Brock Air Services Ltd.; Application

AGENCY: Civil Aeronautics Board.

ACTION: Notice of Order to Show Cause: ORDER 79–12–60.

SUMMARY: The Board propose to approve the following application:

Applicant: Brock Air Services Ltd.

Application Date: July 18, 1979; Docket: 36162.

Authority Sought: Small aircraft charter permit to operate between the United States and Canada.

OBJECTIONS: All interested persons having objections to the Board's tentative findings and conclusions that this authority should be granted, as described in the order cited above, shall file a statement of such objections no later than January 7, 1980 with the Civil Aeronautics Board (20 copies) and mail copies to the applicant, the Department of Transportation, the Department of State, and the Ambassador of Canada in Washington, D.C. A statement of objections must cite the docket number

and must include a summary of testimony, statistical data, or other such supporting evidence.

If no objections are filed, the Secretary of the Board will enter an order which will, subject to disapproval by the President, make final the Board's tentative findings and conclusions and issue the proposed permit.

ADDRESSES FOR OBJECTIONS:
Docket 36162, Docket Section, Civil Aeronautics Board, Washington, D.C. 20428.
Brock Air Services Ltd., P.O. Box 1431, Brockville, Ontario, Canada KV 5Y6.

To get a copy of the complete order, request it from the C.A.B. Distribution Section, Room 516, 1825 Connecticut Avenue, N.W., Washington, D.C. 20428. Persons outside the Washington metropolitan area may send a postcard request.

FOR FURTHER INFORMATION CONTACT:
Erik Lee Browne, Regulatory Affairs Division, Bureau of International Aviation, Civil Aeronautics Board; (202) 673–5407.

By the Civil Aeronautics Board: December 13, 1979.

Phyllis T. Kaylor,

Secretary.

[FR Doc. 79–38870 Filed 12–18–79; 8:45 am]

BILLING CODE 6320–01–M

[Order 79–12–76; Docket 36672]

Flagstaff, Arizona Subpart Q Proceeding

AGENCY: Civil Aeronautics Board.

ACTION: Notice of Order to Show Cause (79–12–76) *Flagstaff, Arizona Subpart Q Proceeding,* Docket 36672.

SUMMARY: The Board is instituting the *Flagstaff, Arizona Subpart Q Proceeding* and is proposing to add Flagstaff as an intermediate point to Sky West Aviation's certificate under the expedited procedures of Subpart Q of its procedural regulations. The tentative findings and conclusions will become final if no objections are filed.

DATE: Objections: All interested persons having objections to the Board issuing an order making final the tentative findings and conclusions shall file, by January 14, 1980, a statement of objections together with a summary of the testimony, statistical data, and other material expected to be relied upon to support the stated objections.

ADDRESSES: Objections or Additional Data should be filed in Docket 36672, Docket Section, Civil Aeronautics Board, Washington, D.C.

FOR FURTHER INFORMATION CONTACT:
James F. Adley, Bureau of Domestic Aviation, Civil Aeronautics Board, 1825 Connecticut Avenue, N.W., Washington, D.C. 20428, (202) 673–5412.

SUPPLEMENTARY INFORMATION:
Objections should be served on Sky West Aviation, Cochise Airlines, Desert Air Service, Frontier Airlines, the Arizona Department of Transportation, the Mayors of Flagstaff and Phoenix, Arizona, the Airport Directors of Pulliam Airport, Flagstaff, Arizona and Skyharbor Airport, Phoenix, Arizona.

The complete text of Order 79–12–76 is available from our Distribution Section, Room 516, Civil Aeronautics Board, 1825 Connecticut Avenue, N.W., Washington, D.C. 20428. Persons outside the metropolitan area may send a postcard request for Order 79–12–76 to that address.

By the Civil Aeronautics Board: December 13, 1979.

Phyllis T. Kaylor,

Secretary.

[FR Doc. 79–38871 Filed 12–18–79; 8:45 am]

BILLING CODE 6320–01–M

[Order 79–12–71; Docket 35516]

Trans-Mediterranean Airways, S.A.L.; Application

AGENCY: Civil Aeronautics Board.

ACTION: Notice of Order to Show Cause: Order 79–12–71.

SUMMARY: The Board proposes to approve the following application.

Applicant: Trans-Mediterranean Airways, S.A.L.

Application Date: May 10, 1979; Docket 35516.

Authority Sought: Renew its foreign air carrier permit authorizing foreign air transportation of property and mail between a point or points in Lebanon and New York, New York, via seven European cities, and amend the permit by eliminating the restrictions on frequencies and aircraft size.

OBJECTIONS: All interested persons having objections to the Board's tentative findings and conclusions that this authority should be granted, as described in the order of such objections with the Civil Aeronautics Board (20 copies) and mail copies to the applicant, the Department of Transportation, the Department of State, and the Ambassador of Lebanon. A statement of objections must cite the docket number and must include a summary of testimony, statistical data, or other such supporting evidence.

If no objections are filed, the Secretary of the Board will enter an order which will, subject to disapproval by the President, make final the Board's tentative findings and conclusions and issue the proposed permit or certificate.

ADDRESS FOR OBJECTIONS:
Docket 35516, Docket Section, Civil Aeronautics Board, Washington, D.C. 20428.
Applicant: Trans-Mediterranean Airways, S.A.L., c/o Surrey, Karasik and Morse, 1156 Fifteenth Street, N.W., Washington, D.C. 20004.

To get a copy of the complete order, request it from the C.A.B. Distribution Section, Room 516, 1825 Connecticut Avenue, N.W., Washington, D.C. 20428. Persons outside the Washington metropolitan area may send a postcard request.

FOR FURTHER INFORMATION CONTACT:
Robert Mallalieu, Negotiations Division, Bureau of International Aviation, Civil Aeronautics Board, (202) 673–5044.

By the Civil Aeronautics Board: December 13, 1979.

Phyllis T. Kaylor,

Secretary.

[FR Doc. 79–38869 Filed 12–18–79; 8:45 am]

BILLING CODE 6320–01–M

[Order 79–12–68; Dockets 27048, 32661, 32750, 32855, 33699]

Various Foreign Air Carriers; Order To Show Cause

December 13, 1979.

Applications of various foreign air carriers for foreign air carrier permits pursuant to section 402 of the Federal Aviation Act of 1958, as amended.

We have received applications for foreign air carrier permits from Bahamasair Holdings, Ltd.; Mober Aviation, Inc.; CAA d/b/a Afrikan Airlines; Hyack Air Limited; and Air Algerie. The appendix to this order lists the applicants and the corresponding dockets. These applications were filed between September 1975 and October 1978. There has been no action on these applications for a variety of reasons, including, among others, the failure of several applicants to respond to written requests of our staff for additional information.[1]

On April 23, 1979, Subpart Q of Part 302 of our Rules of Practice became effective.[2] This new subpart requires all applicants, including foreign air carriers, to meet certain minimum information requirements to enable us to render a decision on the merits of their applications. Foreign air carrier applicants are also required to meet the evidence request (Appendix A) of Part 211.[3]

In an effort to maintain our dockets in an orderly fashion, we have tentatively decided to dismiss without prejudice the applications listed in the appendix.[4] We emphasize that our tentative decision is merely a housekeeping measure and should not be construed as a decision on the merits of any application. Each applicant can refile for any or all of the authority it has requested, so long as the application contains all of the information required by Part 211 and Subpart Q of Part 302 of our Rules. As the applications listed in the appendix now stand, we have tentatively concluded that each lacks the information necessary for us to reach a decision on the merits, and that a refiling pursuant to Subpart Q of Part 302 and part 211 of our Regulations will provide us the necessary information to reach a decision.

We are also of the view that none of the applicants would be subjected to any undue burden or hardship by our tentative decision to dismiss. Foreign air carriers are not required to submit a filing fee with an applicatin, and there is no longer any requirement for a foreign air carrier to file its application through diplomatic channels.[5] Thus, the only burden of any consequence that may be imposed is the service of a notice and the filing of the information required by Subpart Q of Part 302 and Part 211 if a new application if filed.[6] We do not believe that this will be a hardship on any of the applicants. Indeed, the evidence now required by Part 211 is somewhat simplified from our earlier evidence request, which formerly had to be submitted with the applicant's procedural motion or petition.

Accordingly, 1. We direct interested persons to show cause why we should not dismiss without prejudice each of the applications in the appendix. Objections to our proposed action shall be due not later than January 16, 1980;

2. Any applicant listed in the appendix may at any time file a new application for all or part of the authority requested, and in so doing, shall conform to the requirements of Part 211 and Subpart Q of Part 302 of our Regulations. Any such application shall receive a new docket number;

3. If timely and properly supported objections are filed, we will give consideration to the matters and issues raised by the objections before we take further action; *Provided* that we may proceed to enter an order in accordance with our tentative decision set forth in this order if we determine that there are no factual issues present that warrant the holding of an oral evidentiary hearing or the institution of discovery procedures; [7]

4. In the event that no objections are filed, we will deem all further procedural steps to have been waived, and the Secretary shall enter an order which shall make final our tentative decision set forth in this order; and

5. We shall publish this order in the **Federal Register** and serve it on each of the air carriers listed in the appendix.

By the Civil Aeronautics Board.

Phyllis T. Kaylor,

Secretary.

All Members concurred.

Appendix

Docket:	*Applicant*
27048	Bahamasair Holdings, Ltd.
32661	Mober Aviation, Inc.
32750	CAA d.b.a. Afrikan Airlines.
32855	Hyack Air Limited.
33699	Air Algerie.

[FR Doc. 79–38865 Filed 12–18–79; 8:45 am]

BILLING CODE 6320–01–M

[1] By letter dated October 12, 1979, the Embassy of the Commonwealth of the Bahamas informed us that Bahamasair is not in a position at this time to prosecute its application in Docket 27048. We have placed a copy of this letter in the Correspondence Section of Docket 27048.

[2] PR–201, 44 FR 24286, April 25, 1979.

[3] ER–1115, 44 FR 24264, April 25, 1979.

[4] Interested persons will be given 30 days from the date of service of this order to show cause why these applications should not be dismissed.

[5] ER–1132, effective July 3, 1979, 44 FR 40494, July 11, 1979.

[6] All refiled applications will be given new docket numbers.

[7] Since we have provided for the filing of objections, we will not entertain petitions for reconsideration of this order.

DEPARTMENT OF COMMERCE

Bureau of the Census

Members of the Census Bureau Performance Review Board

In conformance with the provisions of the Civil Service Reform Act, the following individuals shall serve as members of the Census Bureau Performance Review Board:

(1) Barbara A. Bailar.
(2) George E. Hall.
(3) Shirley Kallek.
(4) James D. Lincoln.
(5) Janet Norwood.
(6) Rex L. Pullin.
(7) W. Bruce Ramsay.

Dated: December 14, 1979.

Vincent P. Barabba,

Director, Bureau of the Census.

[FR Doc. 79–38855 Filed 12–18–79; 8:45 am]

BILLING CODE 3510–07–M

Industry and Trade Administration

Advisory Committee on East-West Trade; Partially Closed Meeting

Pursuant to Section 10(a)(2) of the Federal Advisory Committee Act, 5 U.S.C. App. (1976), notice is hereby given that a meeting of the Advisory Committee on East-West Trade will be held on Wednesday, January 9, 1980 at 9:30 a.m., in Room 4830, U.S. Department of Commerce, 14th and Constitution Avenue, NW., Washington, D.C., 20230.

The Committee was established on February 11, 1974 to advise the Department, through the Deputy Assistant Secretary for East-West Trade, on ways to further its mission to promote and encourage the orderly expansion of commercial and economic relations between the United States and the communist countries. The Committee currently has 22 members.

The committee meeting agenda has two parts:

General Session, Room 4830

Morning 9:30 a.m.–12:30 p.m.
(1) Welcome and Opening Remarks by Chairman Ottmar
(2) Introductory Remarks
(3) Review of Developments in East-West Trade
(4) Update on Preparations for U.S.-China National Exhibition
(5) Committee Views on Countertrade
(6) Discussion of Trade Reorganization, including Roles of STR and Commerce, Changes in Trade Laws, Committee Views on Functions of Foreign Commerce Service

Executive Session, Room 4830

Afternoon 2:30 p.m.–3:30 p.m.
(7) Topics for Discussion at U.S.-East European Joint Commercial Commission Meetings

The General Session of the meeting will be open to public observation. Approximately 50 seats will be available (including 5 seats reserved for media representatives) on a first-come first-served basis.

A period will be set aside for oral comments or questions by the public which do not exceed ten minutes each. More extenstive questions or comments may be submitted in writing at any time before of after the meeting.

With respect to agenda item (7), the Assistant Secretary of Commerce for Administration, with the concurrence of the delegate of the General Counsel, formally determined on December 13, 1979 pursuant to Section 10(d) of the Federal Advisory Committee Act, as amended by Section 5(c) of the Government in the Sunshine Act Pub. L. 94–409, that the matters to be discussed under agenda item (7) should be exempt from the provisions of the Federal

Advisory Committee Act relating to open meetings and public participation therein, because it will be concerned with matters listed in 5 U.S.C. 522b (c)(9)(B), i.e., premature disclosure would be likely to significantly frustrate implementation of a proposed agency action.

Copies of minutes of the open portion of the meeting will be available 30 days after the meeting by contacting Ms. Deborah Lamb, Committee Control Officer, Office of East-West Policy and Planning, Bureau of East-West Trade, Industry and Trade Administration, U.S. Department of Commerce, Washington, D.C., 20230, telephone (202) 377–5896.

The complete Notice of Determination to close the aforementioned portion of the January 9 meeting of the Advisory Committee on East-West Trade is hereby published.

Date: December 14, 1979.

Kempton B. Jenkins,

Deputy Assistant Secretary for East-West Trade.

Subcommittee on Export Administration; President's Export Council

Notice of Determination

The Subcommittee on Export Administration was established by the Secretary of Commerce as a subordinate committee of the President's Export Council, pursuant to Section 3 of the Executive Order 11753, to advise the Department of Commerce on matters pertinent to those portions of the Export Administration Act of 1969, as amended, which has been superseded by the Export Administration Act of 1979, that deal with United States policy of encouraging trade with all countries with which the United States has diplomatic or trading relations and of controlling trade for national security or foreign policy reasons.

The Subcommittee's activities are conducted in accordance with the provisions of the Federal Advisory Committee Act (5 U.S.C. App. (1976)), and the Office of Management and Budget Circular A–63 (Revised), "Advisory Committee Management," effective May 1, 1974. Section 10 of the Federal Advisory Committee Act provides, among other things, that the meetings of advisory committees are to be open to the public, and to public participation, unless the head of the agency (or his delegate) to which the committee reports determines in writing that all, or some portion of the agenda of the meeting of the committee is concerned with matters listed in Section 552b(c) of Title 5 of the United States Code. Section 5(c) of the Government in the Sunshine Act, Pub. L. 94–409, effective March 12, 1977, provides that advisory committee meetings or portions thereof may be exempt from the open meeting and public participation requirements of the Federal Advisory Committee Act if the President, or the head of the agency to which the advisory committee reports, determines that such portion of such meeting may be closed to the public in accordance with 5 U.S.C. 552b(c).

5 U.S.C. 552b(c)(1) provides that meetings or portions thereof may be closed to the public where they are likely to disclose matters that are specifically authorized under criteria established by an Executive Order to be kept secret in the interests of national defense or foreign plicy and are in fact properly classified pursuant to such Executive Order.

A Notice of Determination authorizing the closing of Subcommittee meetings, or portions thereof, dealing with security classified matters, was approved for meetings up to December 31, 1979.

In order to provide advice to the Department under the terms of its charter, the Subcommittee will hold a series of meetings dealing with the matters set forth in the first paragraph of this Determination. These meetings will include discussions of the commodities and technical data subject to the COCOM control list, of the foreign availability of controlled commodities and technical data, and of other specific matters regarding export administration, much of the information relating to which is now or will be properly classified for national defense of foreign policy reasons, pursuant to Executive Orders 11652 or 12065. In order for the Subcommittee to provide required advice to the U.S. Government, it will be necessary to provide the Subcommittee with such classified material. Therefore, the meetings or portions thereof of the Subcommittee that will involve discussions of matters which are specifically authorized under criteria established by Executive Order 11652 or 12065 to be kept secret in the interest of national defense or foreign policy and which are in fact properly classified pursuant to such Executive Orders must be closed to the public. Meetings or portions of meetings not involving properly classified information will be open to the public.

Accordingly, I hereby determine, pursuant to Section 10(d) of the Federal Advisory Committee Act, as amended by Section 5(c) of the Government in the Sunshine Act, Pub. L. 94–409, that those meetings or portions thereof of the Subcommittee dealing with the aforementioned classified materials shall be exempt, for the period January 1, 1980, to December 31, 1980 from the provisions of Section 10(a)(1) and (a)(3) of the Federal Advisory Committee Act, relating to open meetings and public participation therein, because the Subcommittee discussions will be concerned with matters listed in 5 U.S.C. 552b(c)(1). The remaining meetings or portions thereof will be open to the public.

Dated: December 13, 1979.

Guy W. Chamberlin, Jr.,

Acting Assistant Secretary for Administration.

Dated: December 10, 1979.

Alfred Meisner,

Assistant General Counsel for Administration.

[FR Doc. 79-38811 Filed 12-18-79; 8:45 am]

BILLING CODE 3510-25-M

Maritime Administration

[Docket No. S–658]

Participation By Vessels Built With Construction—Differential Subsidy in the Carriage of Crude Oil in the Domestic Trade; Application by Gulf Oil Corp.

Notice is hereby given that an application has been filed by Gulf Oil Corporation (Gulf) for Gulf's 262,376-deadweight ton tanker, *American Independence,* to carry oil in the Alaska/Panama oil trade. The vessel, which was built with construction-differential subsidy, would operate between Valdez, Alaska, and Puerto Armuelles, Republic of Panama, under charter to Atlantic Richfield Company (Arco) for a period of not more than six months. Gulf anticipates that six voyages could be made within this time and that the first voyage would commence at Valdez on or about March 1, 1980.

Arco has advised Gulf that it will have a continuing deficit in the 100,000-deadweight ton size range of tankers it requires for the Alaska/Panama oil trade which will continue until the delivery of a second 188,500-deadweight ton new building in the late summer of 1980. Gulf states that to the best of its knowledge and that of Arco no suitable Jones Act tonnage is available to provide the full shipping capacity Arco requires during the requested six-month period.

Interested parties may inspect Gulf's application in the Office of the Secretary, Maritime Administration, Room 3099–B, Department of Commerce Building, 14th and E Streets, NW., Washington, D.C. 20230.

Any person, firm, or corporation who is a "competitor,", as defined in § 250.2 of the regulations as set forth in Part 250 of Chapter II, Title 46, of the Code of Federal Regulations published in the **Federal Register** issue of June 29, 1977 (42 FR 33035), and desires to protest such application should submit such protest in writing, in triplicate, to the Secretary, Maritime Administration, Washington, D.C. 20230. Protests must be received on or before December 26, 1979. If a protest is received, the applicant will be advised of such protest by telephone or telegram and will be allowed three working days to respond in a manner acceptable to the Assistant Secretary for Maritime Affairs. Within five working days after the due date for the applicant's response, the Assistant Secretary will advise the applicant, as well as those submitting protests, of the action taken, with a concise written explanation of such action. If no protest is received concerning the application, the Assistant Secretary will take such action as may be deemed appropriate.

(Catalog of Federal Domestic Assistance Program No. 11.500 Construction-Differential Subsidies (CDS)).

By order of the Assistant Secretary for Maritime Affairs

Date: December 12, 1979.

Robert J. Patton, Jr.,

Secretary.

[FR Doc. 79-38798 Filed 12-18-79; 8:45 am]

BILLING CODE 3510-15-M

National Oceanic and Atmospheric Administration

Availability of Evaluation Findings for the North Carolina, California, Maine, New Jersey, Puerto Rico, Maryland, and Hawaii Coastal Management Programs

Section 312 of the Coastal Zone Management Act of 1972, as amended (16 U.S.C. 1451 et seq.) requires that the Office of Coastal Zone Management (OCZM) conduct a continuing evaluation of the performance of each coastal State under its federally approved coastal management program.

On-site evaluations of North Carolina, California, Maine, New Jersey, Puerto Rico, Maryland and Hawaii programs were conducted by Office of Coastal Zone Management. Findings were issued in August 1978 for North Carolina; in September 1979 for California, Maine, New Jersey, Puerto Rico and Maryland; and in October 1979 for Hawaii.

All seven States were found to be adhering to their management programs as a result of which positive results are occurring with respect to resource protection, management of development, increased recreational access and improved government decisionmaking.

Notice is hereby given of the availability of these evaluation findings to interested parties. A copy of the written findings made by the Assistant Administrator for Coastal Zone Management for each of these States may be obtained on request from: Rosella Sussman, Policy, Evaluation and External Relations, Office of Coastal Zone Management, Page Building 1, 3300 Whitehaven Street, NW., Wasington, D.C. 20235, telephone (202) 634–4245.

Dated: December 12, 1979.

Francis J. Balint,

Acting Director, Office of Management and Computer Systems.

[FR Doc. 79-38791 Filed 12-18-79; 8:45]

BILLING CODE 3510-08-M

Public Hearings on Draft Environmental Impact Statement Prepared on the Proposed Channel Islands Marine Sanctuary

Notice is hereby given that the Office of Coastal Zone Management, National Oceanic and Atmospheric Administration (NOAA), U.S. Department of Commerce, will hold public hearings for the purpose of receiving comments on the Draft Environmental Impact Statement (DEIS) prepared on the proposed Channnel Islands Marine Sanctuary.

The hearing schedule is:

Thursday, January 10, 1980—7:00 p.m., Community Meeting Room—Ventura City Hall, 501 Poli Street, Ventura, California.

Friday, January 11, 1980—3:00 p.m., County Planning Commission Hearing Room (Rm. 17), Santa Barbara County Engineering Room, 123 East Anapamu Street, Santa Barbara, California.

The purpose of these hearings is to receive comments on the proposal to create a marine sanctuary in the waters around the Northern Channel Islands and Santa Barbara Island, and the adequacy of the Draft Environmental Impact Statement prepared for this proposal. NOAA solicits the views of interested persons and organizations. Views may be expressed orally or in written statements. Presentations will be scheduled on a first-come, first-heard basis, and may be limited to a maximum of 5 minutes. This time allotment may be extended before the hearing when the number of speakers can be determined. No verbatim transcript of the hearing will be prepared, but the hearing staff will record and summarize the remarks. The comment period for this DEIS will end on January 23, 1980.

All comments received at these hearings, and in writing before the above date, will be fully considered in the final decision on designation of the proposed sanctuary. These comments and a description of the proposed final decision will be included in the Final Environmental Impact Statement.

Copies of the DEIS may be obtained from the Office of Coastal Zone Management, 3300 Whitehaven Street, NW., Washington, D.C. 20235 (telephone 202/634–4253).

Dated: December 10, 1979.

Francis J. Balint,

Acting Director, Office of Management and Computer Systems.

[FR Doc. 79-38792 Filed 12-18-79; 8:45 am]

BILLING CODE 3510-08-M

COMMISSION OF FINE ARTS

Meeting

The Commission of Fine Arts will next meet in open session on Tuesday, January 8, 1980, at 10:00 a.m. in the Commission's office at 708 Jackson Place, N.W., Washington, D.C. 20006 to discuss various projects affecting the appearance of Washington, D.C.

Inquiries regarding the agenda and requests to submit written or oral statements should be addressed to Mr. Charles H. Atherton, Secretary, Commission of Fine Arts, at the above address.

Dated in Washington, D.C. December 13, 1979.

Charles H. Atherton,

Secretary.

[FR Doc. 79-38857 Filed 12-18-79; 8:45 am]

BILLING CODE 6330-01-M

COPYRIGHT ROYALTY TRIBUNAL

Cable Royalty Distribution Proceeding

December 15, 1979.

In accordance with 17 USC 801(b)(3), the Copyright Royalty Tribunal directs interested parties in the matter of cable royalty distribution to submit not later than January 31, 1980 a pre-hearing memorandum on the following subjects:

1. Recommendations concerning the form and timing of submissions by claimants of the written statement of their direct cases.

2. The amount of time, number of witnesses and general identification of studies or other exhibits to be required in the presentation of claimants' cases.

3. Identification of matters requiring the production of additional information or claim justification from other claimants.

4. Recommendations concerning the conduct of the evidentiary hearing, including possible division of the hearing into specific phases.

5. Identification of any subjects that require determination by the Tribunal prior to the commencement of the evidentiary hearing.

Notice is hereby given that on February 14, 1980 at 10:00 a.m. there will be a conference of claimants or their representatives to consider the above matters, such additional subjects as may be presented by claimants in the pre-hearing memorandum, and the specific procedures of the evidentiary hearing. The location of the conference will be announced at a later time.

The pre-hearing memorandum shall be submitted in accordance with the following:

1. The Copyright Act does not provide for the payment of cable royalty fees to broadcaster claimants for the secondary transmission of the broadcast day as a compilation.

2. The Copyright Act does not provide for the payment of cable royalty fees to broadcaster claimants who have acquired rights to syndicated programming in a market, which rights are exclusive against other broadcasters in that market, when the syndicated programming is included in distant broadcasts which are retransmitted into the broadcaster's market.

3. The Copyright Act provides for the distribution of cable royalty fees to performing rights organizations.

4. The Copyright Act provides that cable royalty fees awarded for the secondary transmission of certain sporting events shall be distributed to the sports claimants except when contractual arrangements specifically provide that such royalties shall be distributed to broadcaster claimants.

The Tribunal directs that claimants shall file 10 copies of any items submitted. Any items mailed shall be addressed to Chairman, Copyright Royalty Tribunal, 1111 20th St., NW., Rm. 450, Washington, D.C. 20036.

Mary Lou Burg,

Chairman, Copyright Royalty Tribunal.

[FR Doc. 79-38808 Filed 12-18-79; 8:45 am]

BILLING CODE 1410-01-M

DEPARTMENT OF DEFENSE

Corps of Engineers, Department of the Army

Intent To Prepare a Draft Evironmental Impact Statement for Pine Ford Lake, Big River, Meramec River Basin, Missouri

AGENCY: St. Louis District, U.S. Army Corps of Engineers.

ACTION: Notice of Intent to Prepare a Draft Environmental Impact Statement for Pine Ford Lake, Big River, Meramec River Basin, Missouri.

SUMMARY: 1. *Proposed Action:* The proposed action is to prepare a Draft Environmental Impact Statement for the Pine Ford Lake study, which involves affirming or reformulating the authorized project that would create a multiple-purpose lake on the Big River, approximately 45 miles southwest of St. Louis, Missouri. In conjunction with this study, the problems and needs throughout the Meramec River Basin will be investigated to define opportunities for nonstructural and structural solutions.

2. *Alternatives:* Alternatives described will include applicable nonstructural and structural measures such as: floodproofing; floodplain regulation; permanent evacuation of flood zones; warning systems; local options for increasing water supplies; conservation measures; varying the location of the damsite; varying the quantities of water to be stored for the multiple purposes; constructing single-purpose features such as local flood protection items and smaller lakes; and the consequences of no action.

3. *Scoping Process:*

a. *Public Involvement Program:* The public involvement program began with a public notice issued in August 1976. Further contact with the general public has occurred via presentations to various interested groups in the project area: Jefferson County Board of Economic Development, September 1977; Hillsboro Rotary Club, June 1978; East-West Gateway Coordinating Council, May 1979; and Meramec Basin Association, November 1979. Interagency coordination, related primarily to water supply needs, has proceeded by means of correspondence and a series of four briefing sessions during the period December 1977–April 1979. The scoping process, as outlined by the Council of Environmental Quality (29 November 1978), began in December 1977 at the initial briefing session. More intensive public/agency involvement activities will be accomplished with contractor assistance. The contractor will prepare a program that stresses maximum participation by all affected agencies, organizations, and private individuals.

b. *Significant Issues:* Significant environmental issues to be addressed in the Draft Environmental Impact Statement will include: effects of the proposed action and reasonable alternatives on rare and endangered species; archeological; historical; effects of existing heavy metals in river sediments, including post-project impacts and potential remedial measures; project impacts on the downstream riverine environment, particularly during low flow conditions; and an analysis of the effects on the environment regarding the economically justified alternatives.

c. *Lead Agency and Cooperating Agency Responsibilities:* The St. Louis District, U.S. Army Corps of Engineers, is the lead agency responsible for preparing the Draft Environmental Impact Statement. The U.S. Fish and Wildlife Service, the National Park Service, the Environmental Protection Agency, the Missouri Department of Natural Resources, and the Missouri Department of Conservation will participate as cooperating agencies.

d. *Environmental Review and Consultation Requirements:* The completed Draft Environmental Impact Statement will be made available to appropriate Federal, State, and local agencies; representatives of environmental and development groups; and other interested individuals. The Draft Environmental Impact Statement will contain records of compliance with designated consultation requirements found applicable during the course of this study.

4. *Scoping Meeting:* The scoping process was initiated in the first of a series of briefings (December 1977) related to water supply needs. At a briefing session held on 10 April 1979, the process was expanded to include other purposes and cooperating agencies. The scoping process will intensify as Phase I planning proceeds, and will continue throughout the duration of the study.

5. *Draft Environmental Impact Statement Preparation:* The Draft Environmental Impact Statement is tentatively scheduled to be completed in the fourth quarter of FY 81 (July 1981).

ADDRESS: Questions concerning the proposed action and the Draft Environmental Impact Statement can be answered by: Mr. Jack F. Rasmussen, Chief, Planning Branch, U.S. Army Engineer District, St. Louis, 210 North 12th Street, St. Louis, Missouri 63101.

Dated: December 11, 1979.

John S. Wilkes III,

Lieutenant Colonel, Corps of Engineers, District Engineer.

[FR Doc. 79-38858 Filed 12-18-79; 8:45 am]

BILLING CODE 3710-GS-M

Office of the Secretary

Defense Science Board Task Force on Cruise Missiles; Advisory Committee Meeting

The Defense Science Board Task Force on Cruise Missiles will meet in closed session on January 10 and 11, 1980 at the DNA Conference Facility, R&D Associates, 4640 Admiralty Way, Marina del Rey, California 90291.

The mission of the Defense Science Board is to advise the Secretary of Defense and the Under Secretary of Defense for Research and Engineering on overall research and engineering policy and to provide long-range guidance to the Department of Defense in these areas.

The Task Force will provide an analysis of the major issues concerning conventionally armed cruise missile employment.

In accordance with 5 U.S.C. App. I 10(d) (1976), it has been determined that this Defense Science Board Task Force meeting concerns matters listed in 5 U.S.C. 552b(c)(1) (1976), and that accordingly this meeting will be closed to the public.

H. E. Lofdahl,

Director, Correspondence and Directives, Washington Headquarters Services, Department of Defense.

December 14, 1979.

[FR Doc. 79-38813 Filed 12-18-79; 8:45 am]

BILLING CODE 3810-70-M

Defense Science Board Task Force on Cruise Missiles; Advisory Committee Meeting

The Defense Science Board Task Force on Cruise Missiles will meet in closed session on January 28 and 29, 1980 at the DNA Conference Facility, R&D Associates, 4640 Admiralty Way, Marina del Rey, California 90291.

The mission of the Defense Science Board is to advise the Secretary of Defense and the Under Secretary of Defense for Research and Engineering on overall research and engineering policy and to provide long-range guidance to the Department of Defense in these areas.

The Task Force will provide an analysis of the major issues concerning conventionally armed cruise missile employment.

In accordance with 5 U.S.C. App. I 10(d) (1976), it has been determined that this Defense Science Board Task Force meeting concerns matters listed in 5 U.S.C. 552b(c)(1) (1976), and that accordingly this meeting will be closed to the public.

H. E. Lofdahl,

Director, Correspondence and Directives, Washington Headquarters Services, Department of Defense.

December 14, 1979.

[FR Doc. 79-38814 Filed 12-18-79; 8:45 am]

BILLING CODE 3810-70-M

DEPARTMENT OF ENERGY

Economic Regulatory Administration

Action Taken on Consent Orders

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of Agreements.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives Notice that Consent Orders were entered into between the Office of Enforcement, ERA and the firms listed below during the month of September 1979. These Consent Orders represent agreements between the DOE and the retail firms listed which involve a reduction of the selling prices for gasoline and/or the posting of the Maximum Lawful Selling Price (MLSP) to be in compliance with the Federal Energy pricing regulations. These Consent Orders are concerned exclusively with the consenting firm's current compliance with the Mandatory Petroleum Allocation and Price Regulations and do not address the possible non-compliance with these regulations prior to the date of the audit. These Consent Orders require consenting firms to come into compliance with legal requirements by reducing selling prices to established lawful level for each grade of gasoline sold, to properly post maximum lawful selling prices, and to properly maintain required records.

For further information regarding these Consent Orders, please contact James C. Easterday, District Manager of Enforcement, 1655 Peachtree Street, NE, Atlanta, Georgia 30309, telephone number 404–881–2661.

Firm name and address	Pricing violation	Posting violation	Date
Albert J. Conner, Stanton, Va	Yes	Yes	8-22-79
John G. Fheilman, Riviera Beach, Fl		Yes	8-23-79
L. F. Richardson, Richmond, Va	Yes	Yes	8-31-79
Western Way Shell, Orlando, Fl		Yes	8-31-79
W. A. Lunceford, Hueytown, Al	Yes	Yes	9-4-79
Evello Denis/Exxon, Orlando, Fl	Yes	Yes	9-5-79
Frank Zaler, Orlando, Fl	Yes	Yes	9-5-79
Claudes' Mobil, Orlando, Fl		Yes	9-6-79
Eston's Sv Sta & Garage, Union Park, Fl		Yes	9-6-79
James R. Moore, Manquin, Va	Yes	Yes	9-6-79
Raymond Carneal, Tappahannock, Va.		Yes	9-6-79
C. R. Lankford, Tappahannock, Va	Yes	Yes	9-6-79
John B. Dinsmore, Tappahannock, Va.	Yes	Yes	9-6-79
Charles Fleet, Mechanicsville, Va		Yes	9-6-79
Charles J. Wright, Mechanicsville, Va.	Yes	Yes	9-6-79
John E. Gibson, Richmond, Va	Yes	Yes	9-6-79
James C. Mayo, Richmond, Va	Yes	Yes	9-6-79
Union Park Texaco, Union Park, Fl	Yes	Yes	9-6-79
Don's University Gulf, Orlando, Fl	Yes	Yes	9-7-79
Carroll F. Elliot, Bowling Green, Va	Yes		9-7-79
Mrs. R. C. Martin, Ashland, Va	Yes	Yes	9-7-79
James W. Farmer, Bowling Green, Va.		Yes	9-7-79
Carroll F. Elliott, Ruther Glen, Va	Yes		9-7-79
Carmel Church Texaco, Ruther Glen, Va.		Yes	9-7-79
Nelson C. Hamlett, Farmville, Va	Yes	Yes	9-7-79
Woody's Shell, Petersburg, Va	Yes	Yes	9-11-79
Monsees Union 76, Orlando, Fl	Yes	Yes	9-8-79
Dean Bridge Road Exxon, Augusta, Ga.	Yes	Yes	9-10-79
Centerville Exxon, Halifax, Va	Yes		9-11-79
Trudy Motor Co., Chester, Va	Yes		9-11-79
Hamdon Exxon, Orlando, Fl	Yes		9-11-79
Smith's American, Santee, S.C	Yes	Yes	9-11-79
Union Street Shell, Danville, Va	Yes	Yes	9-12-79
Charles Gentry, Danville, Va	Yes	Yes	9-12-79
Conner's Exxon, Danville, Va	Yes		9-12-79
Walton's Craft Shop, Danville, Va	Yes		9-12-79
Riverside Texaco, Danville, Va	Yes	Yes	9-12-79
Cleveland's CITGO, Danville, Va	Yes	Yes	9-12-79
C. G. Hairston, Danville, Va	Yes	Yes	9-12-79
Perez Texaco, Winter Park, Fl	Yes	Yes	9-12-79
Johnny Whelan Exxon, Petersburg, Va.	Yes	Yes	9-12-79
Shur Oil Co., Holly Hill, SC	Yes	Yes	9-12-79
Nelson's Texaco, Chester, Va	Yes	Yes	9-12-79
Taylor's Exxon, Petersburg, Va	Yes	Yes	9-12-79
Albert E. Spivey, Knoxville, Tn	Yes		9-12-79
Downtown Exxon, Martinsville, Va	Yes	Yes	9-13-79
Tread City, Reedville, Va	Yes	Yes	9-13-79
D & A Gulf Center, Kilmarnock, Va	Yes	Yes	9-13-79
Altamonte Mobil, Altamonte, Fl	Yes	Yes	9-13-79
Browder's Texaco, Columbia, SC	Yes	Yes	9-13-79
Bayview Amoco, Columbia, SC	Yes	Yes	9-13-79
Hatton's Servicecenter, Lakeview, Va.	Yes	Yes	9-13-79
Morgan & Son, Warsaw, Va	Yes	Yes	9-13-79
Fake's Chevron, Cleveland, Tenn	Yes		9-13-79
Skylake Texaco, Orlando, Fl	Yes	Yes	9-14-79
Johnson's Marina, Columbia, SC	Yes	Yes	9-14-79
Thompson's Fina, Columbia, SC	Yes		9-14-79
Ishe's Gulf Service, Pascagoula, Ms.	Yes	Yes	9-15-79
Bill Johnson & Sons Grocery, Kreole, Miss.	Yes	Yes	9-16-79
Union Park Chevron, Orlando, Fl	Yes	Yes	9-17-79
Par Mobil, Orlando, Fl	Yes	Yes	9-17-79
Henry E. Lee's Texaco, Pascagoula, Ms.	Yes	Yes	9-17-79
Snowden's Texaco, Rome, Ga	Yes		9-18-79
Ted's Phillips 66, Fort Walton Beach, Fl.	Yes		9-18-79
Stephen P. Scott, Highland Springs, Va.	Yes	Yes	9-18-79
Edgewood Exxon Service, Danville, Va.	Yes	Yes	9-18-79
Orange & Gore Ave. Shell, Orlando, Fl.			9-18-79
Triangle Standard, Pascagoula, Ms.	Yes	Yes	9-18-79
Georgie Stephens, Ashland, Va	Yes	Yes	9-19-79
Adkinson Gulf Service, Pensacola, Fl.	Yes		9-19-79
Greenbrier Texaco, Chesapeake, Va.	Yes		9-19-79
Chevron Car Care, Orlando, Fl	Yes	Yes	9-19-79
Randalls Std Service, Atlanta, Ga	Yes	Yes	9-20-79
Al Kunard's Chevron Service, Chamblee, Ga.			9-20-79
Griffin's Exxon, Atlanta, Ga	Yes	Yes	9-20-79
Benjamin Blair, Pensacola, Fl	Yes	Yes	9-20-79
Winter Texaco, Orlando, Fl	Yes	Yes	9-20-79
Scenic Highway Exxon, Pensacola, Fl.	Yes	Yes	9-20-79
John N. McGugin, Pensacola, Fl	Yes	Yes	9-20-79
Lumpkins Gulf Service, Lucedale, Ms.	Yes		9-20-79
Floyd Brock, Pensacola, Fl	Yes	Yes	9-20-79
Kiddy's Service Center, Sanford, Fl.	Yes	Yes	9-21-79
David Campbell Jr., Stafford, Va	Yes		9-21-79
Seymour West Beach Chevron, Biloxi, Ms.	Yes		9-21-79
E. M. Nice, Biloxi, Ms	Yes		9-21-79
Singing River Service Center, Pascagoula, Ms.	Yes		9-21-79
Berry's Chevron Service, Sanford, Fl.	Yes	Yes	9-21-79
Jules Krasner, Miami, Fl	Yes		9-24-79
Hasson's Auto Repair, N. Miami Beach, Fl.	Yes	Yes	9-24-79
Shamrock Exxon, Columbia, SC			9-25-79
Robinson's Texaco, Columbia, SC	Yes	Yes	9-25-79
John Seibert, Richmond, Va	Yes	Yes	9-25-79
Goodings Exxon, Columbia, SC	Yes	Yes	9-25-79
Joalson, Inc., Miami, Fl	Yes	Yes	9-25-79
Leslie Stines, N. Miami, Fl	Yes	Yes	9-25-79
William B. Sutton, Miami, Fl		Yes	9-25-79
Winston's Mescot, Richmond, Va	Yes	Yes	9-25-79
Walsh Exxon, Opal, Va	Yes	Yes	9-25-79
Giles Exxon, Columbia, SC	Yes	Yes	9-26-79
Frank Iglesia Amoco, Miami, Fl	Yes	Yes	9-26-79
Holiday Gulf, Winchester, Va	Yes		9-26-79
Martin's Chevron, Dania, Fl	Yes		9-26-79
Carter's Texaco, Charleston Hts., SC.	Yes	Yes	9-27-79
Wade Smith-Gulf, Charleston, SC	Yes	Yes	9-27-79
Lamm's Texaco, Charleston, SC	Yes	Yes	9-27-79
Northridge Exxon, Charleston, SC	Yes	Yes	9-27-79
Dr. Davis Service Center, Miami, Fl.	Yes	Yes	9-27-79
Port Tarpon Marina, Tarpon Springs, Fl.	Yes	Yes	9-27-79
Luis Garvin & Felipe Rodriquez, Miami, Fl.	Yes	Yes	9-28-79
Martin's Amoco, Ft. Lauderdale, Fl	Yes	Yes	9-28-79
Galmy's Chevron, Miami, Fl	Yes	Yes	9-28-79
Pete's Exxon, Tampa, Fl	Yes	Yes	9-28-79

Issued in Atlanta, Georgia, on the 10th day of December 1979.

James C. Easterday,

District Manager.

[FR Doc. 79-38901 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

Action Taken on Consent Orders

December 11, 1979.

Memorandum for: Director, Office of Organization and Management Systems, Directives and Federal Register Branch, Room 4B-194, Forrestal Building, 1000 Independence Avenue, SW., Washington, D.C. 20585.

From: William D. Miller, District Manager, Central Enforcement District.

Subject: Action Taken on Consent Orders.

AGENCY: Economic Regulatory Administration.

ACTION: Notice of Action Taken on Consent Orders.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives Notice that Consent Orders were entered into between the Office of Enforcement, ERA, and the firms listed below during the month of November. These Consent Orders concern prices charged by retail motor gasoline dealers allegedly in excess of the maximum lawful selling price for motor gasoline. The purpose and effect of these Consent Orders is to bring the consenting firms into present compliance with the Mandatory Petroleum Price Regulations and the General Allocation and Price Regulations, and they do not address or limit any liability with respect to the consenting firms' prior compliance or possible violation of the aforementioned regulations. Pursuant to the Consent Order, the consenting firms agree to the following actions.

1. Reduce prices for each grade of gasoline to no more than the maximum lawful selling price;

2. Post the maximum lawful selling price, or a certificate that the current selling price is equal to or less than the maximum allowed, for each grade of gasoline on the face of each pump in numbers and letters not less than one-half inch in height, or in a prominent place elsewhere at the retail outlet in numbers and letters not less than four inches high;

3. Properly maintain records required under the aforementioned regulations; and

4. Cease and desist from employing any discriminatory and/or unlawful business practices prohibited by the aforementioned regulations.

For further information regarding these Consent Orders, please contact William D. Miller, District Manager for Enforcement, 324 East 11th Street, Kansas City, Missouri 64106, telephone number (816) 374-5936.

Issued in Kansas City, Missouri on the 11th day of December, 1979.

William D. Miller,

District Manager of Enforcement.

Firm Name , Firm Address, and Audit Date

Stephen's Garage, 204 W. Rochester, Akron, Indiana 46910—11-14-79
Northside Marathon, 2727 N. Main Street, Findlay, Ohio 45840—11-20-79 Steele's Marathon, 3018 U.S. 224, Gilboa, Ohio 45847—11-20-79
Hilleary Shell, U.S. 30 South Cable Rd., Lima, Ohio 45804—11-21-79
Bill's Service Center, 3762 E. 116th Street, Cleveland, Ohio 44105—11-19-79
Lee-Seville Shell, 4925 Lee Road, Cleveland, Ohio 44128—11-23-79
Green Hos Service Station, 550 N. Main Street, N. Canton, Ohio 44720—11-19-79
Bible Amoco, 425 N. Main Street, N. Canton, Ohio 44720—11-19-79
Frank's Union 76, 5704 Smith Road, Brookpark, Ohio 44142-11-23-79
Tallmadge Circle Exxon, 218 Tallmadge Circle, Tallmadge, Ohio 44278—11-21-79
Isaman & Son Shell, 966 South Main, Mansfield, Ohio 44907—11-27-79
Sam's Texaco, 601 S. Buffalo, Warsaw, Indiana 46580—11-26-79
Plaza Exxon, 1241 East Central Ave., Miamisburg, Ohio 45342—11-27-79
Arthur Hofer Texaco, 13777 Pearl Road, Strongsville, Ohio 44136-11-26-79
Dan's Sunoco, 1700 Greenville Road, Bristolville, Ohio 44402-11-02-79
Ryser's Boat Livery, 636 Sandusky Street, Vermilion, Ohio 44089—11-05-79
Brecksville Sunoco, 8966 Brecksville Road, Brecksville, Ohio 44141—11-05-79
Walton Hills Sunoco, 17975 Alexander Road, Walton Hills, Ohio 44146—11-07-79
E & L Shell, 1160 Central & Lawrence, Miamisburg, Ohio 45342—11-09-79
Seneca Lake Marina, State Route 313, Senecaville, Ohio 43780—11-02-79
Phil's Gulf, 1010 Harman, Columbus, Ohio 43223—11-08-79
Don Breier Sunoco, 5860 W. Central, Toledo, Ohio 43615—11-06-79
Ottawa Hills Gulf Service, 4246 Central, Toledo, Ohio 43608—11-07-79
Kevin Enright Shell, 103 Anthony Wayne Trail, Waterville, Ohio 43566—11-08-79
Bedford Sunoco, 240 Broadway, Bedford, Ohio 44146—11-14-79
Broadway & Rockshell, 111 Broadway, Bedford, Ohio 44146—11—14-79
Blake Peebles Amoco, 3240 Center Road, Brunswick, Ohio 44212—11-16-79
Steve's Service-Sohio, 29154 Lakeland Blvd., Wickliffe, Ohio 44092—11-09-79
Geiger's Service, 201 E. VanBuren, Columbia City, Indiana 46725—11-13-79
Spangler 66, 320 Euclid Avenue, Des Moines, IA 50313—11-06-79
Hickman Standard, 6300 Hickman Road, Des Moines, IA 50322—11-06-79
All In One, 1023 Grand Avenue, Des Moines, IA 50309—11-06-79
Schaller Standard, 28th & Grand, Des Moines, IA 50265—11-06-79
Bennington Mobil, 2nd & Warehouse, Bennington, NE 68007—11—07-79
Flaugh Service, 2933 Indianola Avenue, Des Moines, IA 50313—11-07-79
Subway Station, 4th & Walnut, Des Moines, IA 50309—11-07-79
Chadwick DX, 3501 SW 9th, Des Moines, IA 50316—11-07-79
Otto Conoco, Box 2, Johnson, IA 50131—11-07-79
Park Fair Standard, 2nd & Euclid, Des Moines, IA 50313—11-07-79
Douglass Texaco, I-80 & Highway 283, North Platte, NE 69101—11-07-79
Smith Leroy Conoco, 1301 South Jeffers, North Platte, NE 69101—11-07-79
Kirk Freeway, 2116 E. Euclid, Des Moines, IA 50317—11-08-79
Victor's Standard, 42nd & Crocker, Des Moines, IA 50312—11-08-79
Southgate Standard, 3401 SE 14th, Des Moines, IA 50320—11-08-79
Gary's Downtown Conoco, 320 North Jeffers, North Platte, NE 69101—11-08-79
Frank's Standard, 119 North Jeffers, North Platte, NE 69101—11-08-79
Downtown Champlin, 1102 1st Avenue, South Fort Dodge, IA 50501—11-14-79
Gene's Skelly, 3rd & E. Linn, Marshalltown, IA 50158—11-15-79
Kinzie's Service 204 E. 2nd, Grand Island, NE 68801—11-15-79
Lloyd's Texaco, 322 E. 2nd, Grand Island, NE 68801—11-15-79
McCoy's Market, 1827 Superior Street, Webster City, IA 50595—11-15-79
Tom Halder's Service, 1401 2nd Avenue, Webster City, IA 50595—11-15-79
Kerm's Shell, I-80 & Highway 14, Newton, IA 50208—11-16-79
3 Points Tire Service, South Elm Avenue, Hastings, NE 68901—11-16-79
Harry's Conoco, 634 South Burlington, Hastings, NE 68901—11-16-79
I-80 Standard, I-80, Exit 222, Cozad, NE 69130—11-19-79
Mobil Service Center, 2060 Ross, Sioux City, IA 51103—11-28-79
Moody's Skelly, 4th & Hwy. 75, Sioux City, IA 51101—11-28-79
Red Feather Service, Inc., 1123 3rd Street, Sioux City, IA 51101—11-28-79
Skaff's Service Station, 2101 4th, Sioux City, IA 51101—11-28-79
Kistner DX Service, 219 West 8th Sioux City, IA 51103—11-28-79
North Shore Shell, 10 Skokie Highway, Highland Park, IL 60035—11-2-79
J. Woofter Super 100 Clark, 4015 W. 183rd, Country Club Hills, IL 60477—11-16-79
Chuck's Super 100, 16600 So. Halsted, Harvey, IL 60426—11-16-79
Poerio's Phillips 66, 14th Campbell, Chicago Heights, IL 60411—11-21-79
Scharam's Super 100 #369, 5808 So. Kedzie, Chicago, IL. 60629—11-26-79
Crosstown Shell, 4 So. Damen, Chicago, IL 60616—11-28-79
Sauk Trail Service Center, 3147 Chicago Road, So. Chicago Hts., IL 60411—11-29-79
Joe Fry Super 100 #893 14430 So. Crawford, Midlothian, IL 60445—11-30-79

Ed Schelfo's Super 100, 740 East Sauk Trail, Chicago Heights, IL 60411—11-28-79
Love McMiller Standard, 1600 E. McNichols, Detroit, Michigan—11-8-79
William Harrell—Gulf, 2500 Woodward, Detroit, Michigan—11-8-79
Jefferson & Conner Shell, 12441 E. Jefferson, Detroit, Michigan—11-9-79
Aranki Shell Service, 14411 Mack Avenue, Detroit, Michigan 48215—11-5-79
Harrison Gas & Oil Co., DBA Shopper Save Mobil, 1190 North State, Gladwin, MI 48624—11-5+79
Quenneville's Union-76 Service, 14748 Michigan Ave., Dearborn, MI—11-21-79
Habib Shell Service, 6171 W. Vernor, Detroit, MI 48209—11-23-79
Bartz Amoco Expressway Service, Eastman Wackely Rd., Midland, MI 48640—11-23-79
Metro-Service Center Corp., Texaco Service Center-Metro, Metro Airport, Detroit, MI—11-29-79
William Cooper, Cooper's Union-76, 23220 Van Born, Dearborn Hts., MI 48125—11-29-79
Denver Barton, Barton's Shell Station, 17500 Mack, Grosse Pte., MI 48236—11-29-79
Stan's Auto Service, 2401 Riverside, Sioux City, IA 51109—11-29-79
Hardy Oil Co., 418 West 8th, Sioux City, IA 51103—11-29-79
Branum Oil Co., Merrill, IA 51038—11-29-79
Richard's Mobil, Box 1013, Hinton, IA 51024—11-29-79
Emil's Freeway, 1100 Lewis Blvd., Sioux City, IA 51105—11-29-79
Sioux Harbor Enterprises, 4147 Harbor Drive, Sioux City, IA 51111—11-30-79
Rodi Car Wash, 17th & Hamilton, Sioux City, IA 51103—11-30-79
Heath's Standard, I-70 and Route 32 33, Effingham, IL 62401—11-07-79
Dust Ramada Shell, I-70 and Route 32 33, Effingham, IL 62401—11-07-79
King City Texaco, I-57 and Hwy. 15, Mt. Vernon, IL 62864—11-08-79
Johnson's Standard, 24th and Broadway, Mt. Vernon, IL 62864—11-08-79
Roger's Standard, 2 South Commercial, Harrisburg, IL 62946—11-08-79
Bob Sullivan Shell, Hwy. 13 and 45, Harrisburg, IL 62949—11-08-79
Henderson's Standard Service Station, 413 Stafford, Portageville, MO 63873—11-13-79
Marathon Service Station, 325 N. Cole Drive, Lima, Ohio 45801—11-30-79
Tony's Gulf Service, 1669 West 5th Avenue, Columbus, Ohio 43212—11-28-79
W. Davis Standard, 52 By-Pass Eagle Road, W. Lafayette, Indiana 47906—11-27-79
David Silvers Citgo, 1000 Sagamore, W. Lafayette, Indiana 47906—11-29-79
H & H Service Conoco, 302 South 71 Highway, Savannah, Missouri—11-13-79
John Homan Gladstone 66, 5607 North Antioch Road, Kansas City, Missouri—11-20-79
McMeins Skelly Service, 6842 Johnson Drive, Mission, Kansas—11-15-79
Gibbons Skelly, 12419 West 95th Street, Lenexa, Kansas—11-28-79

[FR Doc. 79-38900 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

Application for Authority to Export Electric Energy; Basin Electric Power Cooperative

AGENCY: Department of Energy, Economic Regulatory Administration.

ACTION: Notice of Application for Authorization to Export Electric Energy Across United States-Canadian Border by Basin Electric Power Cooperative.

SUMMARY: Basin Electric Power Cooperative has filed an application for authority, pursuant to section 202(e) of the Federal Power Act, to export electric energy across the United States-Canadian Border to Saskatchewan Power Corporation.

FOR FURTHER INFORMATION CONTACT:

James M. Brown, Jr., System Reliability and Emergency Response Branch, Department of Energy, Room 4110, 2000 M Street, NW., Washington, D.C. 20461, (202) 254-8247.

Lise Courtney M. Howe, Office of General Counsel, Department of Energy, Room 5E-064, Forrestal Building, 1000 Independent Ave., SW., Washington, D.C. 20585, (202 252-2900.

SUPPLEMENTARY INFORMATION: On July 24, 1978, Basin Electric Power Cooperative (Basin) filed an application with the Economic Regulatory Administration (ERA), pursuant to the provisions of section 202(e) of the Federal Power Act and Part 32.30 of the Rules of Practice and Procedure, for authority to export electric energy to Canada from the United States through facilities at the international boundary.

On July 24, 1979, Basin also applied pursuant to Executive Order No. 10485, as amended by Executive Order No. 12038, for a Permit to construct, connect, operate and maintain an international interconnection at a point on the United States-Canadian border forty-five miles due north of Tioga, North Dakota. The 230 kilovolt overhead transmission line, which is approximately 135 miles in length, will interconnect with a similar transmission line owned and operated by the Saskatchewan Power Corporation (Saskatchewan).

Upon consideration of the latter application, ERA found that issuance of the permit was appropriate and consistent with the public interest. Accordingly, the Administrator of ERA issued the Permit on November 30, 1979 authorizing Basin Electric Power Cooperative to construct, connect, operate and maintain an electric transmission facility at the United States-Canadian border.

Basin states in its application for export authority that the contract between it and Saskatchewan is for an exchange of 100 megawatts of peaking power with energy up to a 20 percent monthly capacity factor, until the contract terminates on April 30, 2000. Saskatchewan shall have available, and upon Basin's request, shall supply to Basin during each summer season, 100 MW of peaking power with energy up to a 20 percent monthly capacity factor as scheduled by Basin. Basin shall have available and, upon Saskatchewan's request, shall return to Saskatchewan an equivalent amount of energy at mutually agreeable times between May 1 and April 30 of each contract year, commencing in 1981 and ending April 30, 1986. For the 100 MW of peaking power which Saskatchewan holds available to Basin, Basin shall pay to Saskatchewan a demand charge equal to the Mid-Continent Area Power Pool (MAPP) rate applicable to peaking power during the subject season. For the period from 1986 until the termination of the contract, Basin shall receive 100 MW of peaking power with energy up to a 20 percent monthly capacity factor during each summer season, and shall return to Saskatchewan 100 MW of peaking power with energy up to a 20 percent monthly capacity factor during each winter season. There shall be no charge for the exchange of peaking capacity. The charge for the difference in energy exchange shall be the MAPP floor rate for Schedule H—Peaking Power.

Additional power and energy may be sold to or purchased from Saskatchewan. This power and energy will be sold in accordance with service schedules attached to the application as filed with ERA. The rates of charge and methods of determining such rates set out in service schedules are intended to be commensurate with the Mid-Continent Area Power Pool rates in effect during the time of transactions.

Basin states in its application that the proposed power exchange with Saskatchewan will not impair the sufficiency of electric supply within the United States.

Any person desiring to be heard or to protest said application should file a petition to intervene or protest with the System Reliability and Emergency Response Branch, Economic Regulatory Administration, Room 4110, 2000 M Street, NW., Washington, D.C. 20461, in accordance with §§ 1.8 or 1.10 of the rules of practice and procedure (18 CFR 1.8, 1.10).

Any such petitions and protests should be filed on or before January 15, 1980. Protests will be considered by ERA in determining the appropriate action to be taken, but will not serve to make protestants parties to the proceeding. Any person wishing to become a party must file a petition to intervene. Copies of this application are

on file with ERA and will, upon request, be made available for public inspection and copying at the ERA Docket Room, Room B–210, 2000 M Street, NW., Washington, D.C., and at the System Reliability and Emergency Response Branch, Room 4110, 2000 M Street, NW., Washington, D.C.

Dated: December 13, 1979.

Jerry L. Pfeffer,

Assistant Administrator for Utility Systems, Economic Regulatory Administration.

[FR Doc. 79–38698 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

Keystone Fuel Oil Company; Proposed Remedial Order

Pursuant to 10 CFR 205.192(c), the Economic Regulatory Administration (ERA) of the Department of Energy hereby gives notice of a Proposed Remedial Order which was issued to Keystone Fuel Oil Company, 25 South Heald Street, Wilmington, Delaware 19801. This Proposed Remedial Order charges Keystone with pricing violations in the amount of $2,950,026.00, connected with the sale of fuel oil and kerosene during the period from August 19, 1973 through June 30, 1975.

A copy of the Proposed Remedial Order, with confidential information deleted, may be obtained from Herbert M. Heitzer, District Manager of Enforcement (215) 597–2633. On or before January 3, 1980, any aggrieved person may file a Notice of Objection with the Office of Hearings and Appeals, 2000 M Street, NW., Washington, D.C. 20461, in accordance with 10 CFR 205.193.

Issued in Philadelphia, Pennsylvania on the 7th of December, 1979.

Herbert M. Heitzer,

District Manager, Enforcement.

[FR Doc. 79–38903 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01

Quintana Petroleum Corporation; Action Taken on Consent Order

AGENCY: Economic Regulatory Administration, Department of Energy.

ACTION: Notice of Final Action Taken on a Consent Order.

SUMMARY: The Economic Regulatory Administration (ERA) of the Department of Energy (DOE) as the successor to the Federal Energy Administration (FEA) announces final action of a Consent Order.

EFFECTIVE DATE: December 13, 1979.

FOR FURTHER INFORMATION CONTACT: Wayne Tucker, District Manager of Enforcement, Southwest District Office, Department of Energy, P.O. Box 35228, Dallas, Texas 75235, (214) 767–7745.

SUPPLEMENTARY INFORMATION: On August 31, 1979, the ERA of the DOE executed a proposed Consent Order with Quintana Petroleum Corporation (Quintana) of Houston, Texas. Under 10 CFR 205.199J(c), a proposed Consent Order becomes effective only after the ERA has published notice of its execution and solicits and considers public comments with respect to its terms. Therefore, the ERA published a Notice of Proposed Consent Order and invited interested persons to comment on the proposed Order (FR, Vol. 44 No. 210, October 29, 1979). At the conclusion of the thirty-day comment period, the ERA had received certain notices of claims against the refund amount of the Consent Order which have been forwarded to the Director, Resource Management Branch, Office of Enforcement, U.S. Department of Energy, attention: Special Refund Account Coordinator, 2000 M Street, NW. (Room 5128), Washington, D.C. 20461. Also, an objection to the incorporation of Subpart V in the Consent Order was received from Exxon which was not sustained. Accordingly, the ERA has concluded that the Consent Order as executed between the ERA and Quintana is an appropriate resolution of the compliance proceeding which it described, and it shall become final and effective as proposed, without modification, on November 13, 1979.

Procedures and requirements for documenting proof of claims are being developed. Refunded overcharges received, if any, will remain in a suitable account established pursuant to Subpart V of 10 CFR 205, pending the determination of their proper disposition.

Issued in Washington, D.C. on the 13th day of December 1979.

Robert D. Gerring,

Director, Enforcement Program Operations Division, Economic Regulatory Administration, Department of Energy.

Lona Feldman,

Deputy Assistant General Counsel for Enforcement.

[FR Doc. 79–38902 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

Macon Oil Co.; Proposed Remedial Order

Pursuant to 10 CFR 205.192(c), the Economic Regulatory Administration (ERA) of the Department of Energy (DOE) hereby gives notice of a Proposed Remedial Order which was issued to Macon Oil Company, Lafayette, Tennessee 37083, on November 21, 1979.

This Proposed Remedial Order charges Macon Oil Company with failure to supply Robinson Grocery, Fountain Run, Kentucky, with its base period volume of motor gasoline pursuant to title 10 CFR Section 211.9(a)(1) of DOE regulations.

Pursuant to terms of the Proposed Remedial Order, Macon Oil is required to resume sale and delivery of monthly allocation entitlement to Robinson and sell to Robinson those volumes of allocated petroleum withheld during prior months.

A copy of the Proposed Remedial Order, with confidential information deleted, may be obtained from James C. Easterday, District Manager of Enforcement, Southeast District, Office of Enforcement, 1655 Peachtree Street, NE, Atlanta, Georgia 30309, Phone: (404) 881–2661. On or before January 3, 1980, any aggrieved person may file a Notice of Objection with the Office of Hearings and Appeals, 2000 M Street, NW, Washington, D.C. 20461, in accordance with 10 CFR 205.193.

Issued in Atlanta, Georgia, on the 10th day of December 1979.

James C. Easterday,

District Manager.

[FR Doc. 79–38900 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

Federal Energy Regulatory Commission

[Docket No. CP80–71]

Columbia Gas Transmission Corp.; Application

November 30, 1979

Take notice that on November 9, 1979, Columbia Gas Transmission Corporation (Applicant), 1700 MacCorkle Avenue, S.E., Charleston, West Virginia 25314, filed in Docket No. CP80–71 an application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing an additional point of delivery to Columbia Gas of Ohio, Inc. (Columbia of Ohio), an existing wholesale customer, all as a more fully set forth in the application on file with the Commission and open to public inspection.

Applicant states the purpose of the new point of delivery on its Line D–100 is to permit Columbia of Ohio to provide service to Church & Dwight Corporation (Church & Dwight). Church & Dwight, it is stated, is building a new facility adjacent to Columbia LNG Corporation's Green Springs SNG Plant in order to process excess carbon dioxide. Church & Dwight's new facility will be operational and will require gas service by November 30, 1979, it is asserted.

Applicant states the new load to Church & Dwight is gas for use in boilers and Columbia of Ohio would provide it with up to 300 Mcf of gas per day on a firm basis. It is stated that any volumes in excess of 300 Mcf per day would be supplied by Columbia of Ohio to Church & Dwight only on those days that excess gas is made available by Applicant to its customers generally throughout its system. It is stated that Church & Dwight would use No. 2 fuel oil to supplement or replace natural gas.

Applicant states that the volumes to be provided to Church & Dwight were included in the estimated requirements of Columbia of Ohio, filed with the Commission on March 2, 1979, in Docket No. CP73–202 indicating the availability of volumes of gas necessary to supply the estimated requirements of its customers.

Applicant proposes to construct and operate an interconnecting tap facility in Seneca County, Ohio, to provide an additional point of delivery to Columbia of Ohio. Applicant states the total cost of the proposed interconnection would be $24,300, which cost would be financed from internally generated funds.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38617 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. SA80–7]

Delhi Gas Pipeline Corp.; Application for Adjustment

November 30, 1979.

Take notice that on October 12, 1979, Delhi Gas Pipeline Corporation (Delhi), Fidelity Union Tower, Dallas, Texas 75201, filed in Docket No. SA80–7 an application pursuant to Section 502(c) of the Natural Gas Policy Act of 1978 (NGPA) for an adjustment consisting of Commission approval of assignments by Delhi to United Gas Pipe Line Company (United) of natural gas purchase contracts with prices in excess of those provided by Section 102 of the NGP, all as more fully set forth in the application on file with the Commission and open to public inspection.

Delhi states that on March 1, 1979, pursuant to Section 312 of the NGPA, Delhi assigned gas purchase contracts to United which contain price redetermination provisions which have or will have the effect for the duration of the term of said contracts of raising the price of gas covered by said contracts above the new gas prices provided by Section 102 of the NGPA to a level equal to the Section 102 price plus state severance taxes, to the extent permitted by Section 110 of the NGPA. Delhi seeks the instant adjustment to permit the continuation of its assignments of said contracts with the assignee paying the gas producers the price as redetermined under said contracts, as long as said prices do not exceed the Section 102 price plus the state severance taxes permitted by Section 110.

The application states that Delhi seeks an adjustment because pursuant to Section 284.163(b) of the Regulations under the NGPA (18 CFR 284.163(b)) assignments of contracts with gas prices exceeding Section 102 prices set forth in Section 271.101(a) of the Regulations under the NGPA (18 CFR 271.101(a)) are not permitted without prior Commission approval. Delhi states that the subject contracts were assigned under the rule in Section 284.163(b) without prior Commission approval because at the time of the assignment the gas prices did not exceed the prices provided by Section 271.101(a). Relief is said to be required at this time because under the price redetermination provisions, Delhi is required to redetermine the gas price to the average of the two or three highest prices being paid by a pipeline purchaser, including interstate pipelines, for gas located within one or more designated geographical areas. Such highest prices being paid by interstate pipelines are said to be the Section 102 new gas prices plus state severance taxes; and, therefore, on or about October 1, 1979, the redetermined prices exceeded the prices provided by § 271.101(a).

The procedures applicable to the conduct of this adjustment proceeding are found in § 1.41 of the Commission's Rules of Practice and Procedure (18 CFR 1.41).

Any person desiring to participate in this adjustment proceeding shall file a petition to intervene in accordance with the provisions of § 1.41. All petitions to intervene must be filed on or before January 3, 1980.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38818 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. CP80–84]

El Paso Natural Gas Co.; Application

November 30, 1979.

Take notice that on November 14, 1979, El Paso Natural Gas Company (Applicant), P.O. Box 1492, El Paso, Texas 79978, filed in Docket No. CP80–84 an application pursuant to Section 7(c) of the Natural Gas Act and Section 157.7(c) of the Regulations thereunder (18 CFR 157.7(c)), for a certificate of public convenience and necessity authorizing the construction for a twelve-month period commencing January 1, 1979, and operation of facilities to make miscellaneous rearrangements to its system, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in making miscellaneous rearrangements which would not result in any material change in the transportation and sales service presently rendered by Applicant.

V 44 D E 1 9 7 9 UMI

Applicant requests a waiver of the cost limitation prescribed by Section 157.7(c) in order to increase total expenditures from $300,000 to $500,000. Such request is predicated upon the climbing inflation which has eroded the usefulness of the budget authorization since the Commission last revised the cost limitations, it is asserted.

Any person desiring to be heard or to make any protest with reference to said applications should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,
Secretary.

[FR Doc. 79-38819 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Docket No. ES80-18]

Gulf States Utilities Co.; Application

November 30, 1979.

Take notice that on November 15, 1979, Gulf States Utilities Company ("Company") filed an application with the Federal Energy Regulatory Commission seeking an order pursuant to Section 204 of the Federal Power Act in connection with the sale and lease back of its proposed new office building.

Applicant is incorporated under the laws of Texas with its principal business office at Beaumont, Texas, and is engaged in the electric utility business in portions of Louisiana and Texas. Natural gas is purchased at wholesale and distributed at retail in the City of Baton Rouge and vicinity.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 13, 1979, file with the Federal Energy Regulatory Commission, 825 North Capital Street, N.E., Washington, D.C. 20426, petitions or protests in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Persons wishing to become parties to a proceeding or to participate as a party in any hearing therein must file petitions to intervene in accordance with the Commission's rules. The application is on file with the Commission and available for public inspection.

Kenneth F. Plumb,
Secretary.

[FR Doc. 79-38820 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Docket Nos. CI73-676, et al.]

Florida Exploration Co., (Successor to Florida Gas Exploration Co.; Application for Certificate Amendments, and for Redesignation of Rate Schedules

December 12, 1979.

On October 16, 1979, Florida Exploration Company (Exploration) filed an application to amend certificated of public convenience and necessity currently held by Florida Gas Exploration Company (FGEX) by substituting Exploration as certificate holder and to redesignate the related rate schedules in the name of Florida Exploration Company with the same rate schedule numbers assigned to Exploration as were assigned to FGEX. Exploration also requests that they be substituted for FGEX in the pending abandonment in Docket No. CI79-543 which proposes to abandon the sale of gas under certificate authorization issued in Docket No. CI76-581 and FGEX's Rate Schedule No. 11.

The related rate schedules and purchasers are listed on the Appendix hereto.

On August 24, 1979, a resolution was adopted which provided in part that Florida Gas Exploration Company (FGEX)'s Articles of Incorporation be amended to change the company's name to Florida Exploration Company (Exploration), effective August 28, 1979.

Any person desiring to be heard or to make any protest with reference to said application, on or before January 4, 1979, should file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protest filed with the Commission will be considered by it in determining the appropriate action to be taken, but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding, or to participate as a party in any hearing therein, must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or to be represented at the hearing.

Kenneth F. Plumb,
Secretary.

Appendix

New: Florida Exploration Co. rate schedule No.	Certificate docket No.	Old: Florida Gas Exploration Co. rate Schedule No.	Purchaser
1*	CI73-678	*1	Florida Gas Transmission Company.
2	CI72-805	2	Tennessee Gas Pipe Line Company.
3**	CI73-7	**3	Florida Gas Transmission Company.
5*	CI74-422	*5	Southern Natural Gas Company.
6*	CI74-509	*6	Florida Gas Transmission Company.
7	CI75-244	7	Florida Gas Transmission Company.
9	CI76-192	9	Transcontinental Gas Pipeline Corp.
10	CI76-305	10	Florida Gas Transmission Company.
11	CI76-581*[1]	*11	Florida Gas Transmission Company.
12	CI76-618	12	Transcontinental Gas Pipeline Corp.
13	CI77-50	13	Florida Gas Transmission Company.
14	CI77-49	14	Transcontinental Gas Pipeline Corp.
15	CI77-55	15	Transcontinental Gas Pipeline Corp.
16	CI77-61	16	Transcontinental Gas Pipeline Corp.
17	CI77-333	17	Florida Gas Transmission Company.
18*	CI77-359	*18	United Gas Pipe Line Company.
19	CI77-496	19	Florida Gas Transmission Company.
20	CI77-496	20	Florida Gas Transmission Company.
21	CI77-563	21	Florida Gas Transmission Company.
22	CI77-664	22	Florida Gas Transmission Company.
23	CI77-666	23	Florida Gas Transmission Company.
24	CI77-668	24	Florida Gas Transmission Company.
25	CI77-667	25	Florida Gas Transmission Company.
26	CI77-665	26	Florida Gas Transmission Company.
27	CI77-835	27	Trunkline Gas Company.
28	CI77-843	28	Transcontinental Gas Pipeline Corp.
29	CI78-10	29	Transcontinental Gas Pipeline Corp.
30	CI78-518	30	Florida Gas Transmission Company.
31	CI78-774	31	Florida Gas Transmission Company.
32	CI78-1016	32	Florida Gas Transmission Company.
33	CI78-510	33	Texas Eastern Transmission Corp.
34	CI78-1142	34	Florida Gas Transmission Company.
35	CI78-1143	35	Florida Gas Transmission Company.
36	CI78-1247	36	Florida Gas Transmission Company.
37	CI79-38	37	Transcontinental Gas Pipeline Corp.

[1] Application to abandon service pending in Docket No. CI79-543.

*(Operator), *et al.*
**Et al.*

[FR Doc. 79-38744 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Dockets Nos. CI75-540, et al.]

Forest Oil Corp., et al.; Applications for Certificates, Abandonment of Service and Petitions to Amend Certificates [1]

December 12, 1979.

Take notice that each of the Applicants listed herein has filed an application or petition pursuant to Section 7 of the Natural Gas Act for authorization to sell natural gas in interstate commerce or to abandon service as described herein, all as more fully described in the respective applications and amendments which are on file with the Commission and open to public inspection.

It appears reasonable and consistent with the public interest in this case to prescribe a period shorter than 10 days for the filing of protests and petitions to intervene. Therefore, any person desiring to be heard or to make any protest with reference to said application should on or before December 21, 1979 file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to the jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure a hearing will be held without further notice before the Commission on all applications in which no petition to intervene is filed within the time required herein if the Commission on its own review of the matter believes that a grant of the certificates or the authorization for the proposed abandonment is required by the public convenience and necessity. Where the petition for leave to intervene is timely filed, or where the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicants to appear or to be represented at the hearing.

Kenneth F. Plumb,
Secretary.

[1] This notice does not provide for consolidation for hearing of the several matters covered herein.

Docket No. and date filed	Applicant	Purchaser and location	Price per 1,000 ft [3]	Pressure base
CI75-540, E, Nov. 20, 1978	Forest Oil Corporation, 1500 Colorado Natl., Bldg., 950 17th Street, Denver, Colorado 80202.	Columbia Gas Transmission Corporation, West Cameron Area Block 507, Offshore Louisiana.	(1)	15.025
CI77-160, C, Sept. 29, 1978	Placid Oil Company, 1600 First Natl. Bank Bldg., Dallas, Texas 75202.	Transcontinental Gas Pipe Line Corporation, Bassfield Field, Jefferson Davis County, Mississippi.	(1)	15.025
CI78-602, C, Oct. 5, 1978	J. M. Huber Corporation, 2000 West Loop South, Houston, Texas 77027.	El Paso Natural Gas Company, Crooked Creek Field, Eddy County, New Mexico.	(1)	14.65
CI79-32, A, Oct. 10, 1978	Supron Energy Corporation, Suite 1700, Campbell Centre, 8350 North Central Expressway, Dallas, Texas 75206.	Arkansas Louisiana Gas Company, Savanna Area, Pittsburg County, Oklahoma.	(1)	14.65

[1] On 12-7-78, Forest Oil Corporation (Forest) sent Columbia Gas Development Corporation (Columbia) notice of Forest's election not to retain its interest in West Cameron Blocks 479, 485, 531, and 642, East Cameron Blocks 370 and 371, and South Marsh Island Block 267 acquired in the 1972 sale by Forest Drilling Venture (Venture). Pursuant to the resulting termination of Venture which was a partnership between Forest and Columbia, Forest assigned to Columbia all of its interest in and to the leases covering the above described Blocks except its interest in and to a portion of West Cameron Block 507.

[3] Applicant is willing to accept the applicable national rate pursuant to Opinion No. 770, as amended.

Filing Code: A—Initial Service. B—Abandonment. C—Amendment to add acreage. D—Amendment to delete acreage. E—Total Succession. F—Partial Succession.

[FR Doc. 79-38745 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Docket No. GP80-12]

Consolidated Gas Supply Corp.; Third-Party Protests[1]

Issued: December 11, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Consolidated Gas Supply Corporation (Consolidated) and certain producers that the contracts identified in its protest constitutes contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Consolidated in its evidentiary submission.

Take further notice that Associated Gas Distributors (AGD) also filed a third-party protest on October 15, 1979. AGD protests all of the contracts contained in Consolidated Gas Supply Corporation's (Consolidated) Evidentiary Submission for the Applachian area.[4] AGD's position has been adopted and incorporated in protests by the Arizona Corporation Commission, the Florida Cities, the Gas Consumers Group, the Kansas State Corporation Commission, the Cities of Mangum, Oklahoma and Winfield, Kansas, Congressman Andrew Maguire, the Memphis Light, Gas and Water Division, the South Dakota Public Service Commission, the Minnesota Public Service Commission, and the Public Service Commission of the State of New York.

Take further notice that the Public Service Commission of the State of New York (New York) filed separate protests with respect to certain sales made to Consolidated by producers from Louisiana and the offshore Federal Domain. The contracts separately protested by New York are listed in Appendix B.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

Appendix A

Procedure	Rate Schedule No. and Contract date
CNG Producing Company	1/4-42-74
CNG Producing Company	17/6-25-73
CNC Producing Company	18/6-25-73
CNG Producing Company	22/6-25-73
CNG Producing Company	24/6-25-73
CNG Producing Company	33/7-18-77
CNG Producing Company	34/8-16-77
CNG Producing Company	35/9-2-77
CNG Producing Company	36/7-21-77
CNG Producing Company	37/7-18-77
CNG Producing Company	38/2-19-75
CNG Producing Company	39/4-26-78
CNG Producing Company	40/6-16-78
CNG Producing Company	41/7-3-78
CNG Producing Company	43/10-3-78
Louisiana Land & Exploration Company	26/4-11-78
Texas Gas Exploration Corporation	50/2-17-78
Texas Gas Exploration Corporation	51/2-17-78

Appendix B

Procedure	Rate Schedule No. and Contract date
CNG Producing Company	1/7-24-73
CNG Producing Company	2/4-24-74
CNG Producing Company	16/6-25-73
CNG Producing Company	17/6-25-73
CNG Producing Company	18/6-25-73
CNG Producing Company	19/6-25-73
CNG Producing Company	20/6-25-73
CNG Producing Company	21/6-25-73
CNG Producing Company	22/6-25-73
CNG Producing Company	23/6-25-73
CNG Producing Company	24/6-25-73
CNG Producing Company	25/9-19-73
CNG Producing Company	26/9-19-73
CNG Producing Company	27/1-9-75
Texas Gas Exploration Corporation	28/1-5-73
Texas Gas Exploration Corporation	35/1-5-73
CNG Producing Company	28/2-19/75
CNG Producing Company	29/2-19-75
CNG Producing Company	30/2-19-75
CNG Producing Company	31/2-19-75
CNG Producing Company	33/7-18-77
CNG Producing Company	34/8-16-77
CNG Producing Company	36/9-2-77
CNG Producing Company	36/7-21-77
CNG Producing Company	37/7-18-77
CNG Producing Company	39/4-26-78
CNG Producing Company	40/6-16-78
CNG Producing Company	41/7-3-78
CNG Producing Company	43/10-3-78
Texas Gas Exploration Corporation	50/2-17-78
Texas Gas Exploration Corporation	51/2-17-78
Texaco Incorporated	57/3-18-75
Louisiana Land and Exploration Corporation	26/4-11-78

[FR Doc. 79-38625 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Docket No. GP80-5]

Natural Gas Pipeline Co. of America; Third-Party Protests[1]

Issued December 11, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B," [3] the staff of the Commission protested on October 15, 1979, the assertion by the Natural Gas Pipeline Company of America (Natural) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect certain applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff states in its protest that the language of the contracts identified in Appendix A of this notice does not constitute authority for the producer to increase price to the extent claimed by Natural in its evidentiary submission.

Take further notice that the Public Service Commission of the State of New York (New York) also filed third-party protest on October 15, 1979. New York protests that the contracts identified in Appendix B of this notice do not constitute the contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

[4] AGD makes limited protests of all contracts identified in Consolidated's Appalachian Area Evidentiary Submission as containing area rate clauses types C and F. Although AGD agrees that these clauses authorize the sellers to collect the filed-for NGPA rates for the specified period, the protests are made to the extent that the clauses represent recent amendments to the identified contracts.

Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

Appendix A

Producer	Rate Schedule No., or contract date
Aminoil Dev., Inc.	8
Chevron USA, Inc.	36
Enserch Exploration, Inc.	127
Enserch Exploration, Inc.	129
Kerr-McGee Corp.	130
Anadarko Production Co.	139
Texaco Inc.	424
Amoco Production Co.	511
Atlantic Richfield Co.	649
American Petrofina Co. of Texas	115
Amoco Production Co.	171
Amoco Production Co.	4-2-79
Anadarko Production Co.	235
Ashland Exploration, Inc.	74
Atlantic Richfield Co.	39
Atlantic Richfield Co.	346
Chevron U.S.A., Inc.	150
Coastal States Gas Prpducting Co.	7
Edwin L. Cox	13
Enserch Exploration, Inc.	98
Enserch Exploration, Inc.	120
Enserch Exploration	133
Gulf Oil Corp.	43
Hassie Hunt Exploration Co.	26
HNG Oil Co.	45
Ladd Petroleum Corp.	67
Marathon Oil Co.	131
Mesa Petroleum Company	98
Mitchell Energy Offshore Corp.	2
Mobil Oil Corporation	415
NAPECO, Inc.	9
NAPECO, Inc.	10
NAPECO, Inc.	14
NAPECO, Inc.	15
NAPECO, Inc.	18
NAPECO, Inc.	20
NAPECO, Inc.	25
NAPECO, Inc.	26
NAPECO, Inc.	27
NAPECO, Inc.	29
NAPECO, Inc.	30
NAPECO, Inc.	37
NAPECO, Inc.	38
Pennzoil Company	46
Pennzoil Producing Company	250
Southland Royalty Company	77
Southland Royalty Company	90
Tenneco Oil Company	102
Texaco, Inc.	133
Texaco, Inc.	222
Texaco, Inc.	223
Texaco, Inc.	282
Texaco Oil & Gas Corporation	113
Union Oil Company	37
Mitchell Energy Corp.	46
Terra Resources (CRA; Amax. Petro)	21
Mobile Oil Corporation	417
Union Oil Company of California	223
Forest Oil Corp.	45
Shell Oil Co.	397
Texaco, Inc.	249

Appendix B

Producer name	Rate schedule No. or small producer Cert. No.	Dated
Julian Ard	CS 75-496	Dec. 12, 1978
Jack M. Allen	CS 72-1072	Mar. 29, 1976
Johnye M. Voiles		
Sikman Brothers	CS 71-109	Nov. 30, 1976
J. S. Abercombie Minerals Co.	CS 71-378	Nov. 15, 1973
American Quasar Petroleum Co.	CS 75-87	May 6, 1975
Aquitaine Oil Corp.	CS 71-781	Mar. 27, 1969
Appollo Oil Co.	CS 75-41	Sept. 1, 1976
Adobe Oil and Gas Corp.	CS 75-192	Oct. 15, 1972
Adobe Oil and Gas Corp.	CS 75-192	Aug. 5, 1975
Ruth Phillips Bisiker	CS 71-1045	Jan. 25, 1950
Barnes Oil Company	CS 67-1	Dec. 1, 1971
Jane W. Blumberg	CS 75-4	Jan. 25, 1950
R. L. Burns Corp.	CS 73-297	Sept. 15, 1978
Wayman W. Buchanan	CS 75-182	Sept. 1, 1977
Elizabeth M. Brown	CS 67-68	Jan. 25, 1950
Bravo Oil Company	CS 72-148	Jan. 25, 1950
Bradley Producing Co.	CS 71-23	Mar. 21, 1976
W. M. Barret	CS 76-62	Aug. 1, 1975
James B. Bauchman	CS 72-471	Jan. 25, 1950
H. A. Bornefeld	CS 73-359	Oct. 19, 1976
Bengal 72-B	CS 75-134	Sept. 3, 1974
Bengal 72-B	CS 66-101	May 25, 1973
BTA Oil Producers	CS 69-12	June 1, 1977
G. F. Abendroth, et al	CS 71-562	May 1, 1971
Branch T. Archer	CS 77-752	Jan. 23, 1976
Bojan Oil Co., Inc.	CS 78-480	Aug. 21, 1978
Bojan Oil Co., Inc.	CS 78-480	Aug. 20, 1978
Bojan Oil Co., Inc.	CS 78-480	Feb. 14, 1978
Bojan Oil Co., Inc.	CS 78-480	Dec. 1, 1977
An-Son Corp.	CS 69-71	June 1, 1971
Baker & Taylor Drilling Co.	CS 71-31	June 7, 1973
C. F. Braun & Company	CS 71-1006	June 15, 1967
Apache Corp.	CS 72-215	Feb. 20, 1969
A. E. Amerman, Jr.	CS 71-722	Jan. 23, 1950
A. E. Amerman, Jr.	CS 71-722	Oct. 3, 1968
Wayman M. Buchanan	CS 75-182	June 6, 1975
BTA Oil Producers	CS 69-12	Mar. 1, 1969
BTA Oil Producers	CS 69-12	Aug. 21, 1967

[FR Doc. 79-38626 Filed 12-18-79; 8:45 am]
BILLING CODE 6450-01-M

[Docket No. GP80-35]

Southern Natural Gas Co.; Third-Party Protests[1]

Issued: December 11, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B,"[3] the staff of the Commission protested on October 15, 1979, the assertion by the Southern Natural Gas Company (Southern) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect certain applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff states in its protest that the language of the contracts identified in Appendix A of this notice does not constitute authority for the producer to increase price to the extent claimed by Southern in its evidentiary submission.

Take further notice that the Gas Consumers Group (GCG) also filed a third-party protest on October 15, 1979. GCG contends that the contracts identified in Appendix B of this notice do not constitute the contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price. GCG's protest was incorporated into protests filed on October 15, 1979 by the Public Service Commissions of South Dakota and Minnesota, the Cities Magnum, Oklahoma and Winfield, Kansas, the Arizona Corporation Commission, the Kansas State Corporation Commission, the Memphis Light, Gas and Water Division of the city of Memphis, Tennessee, a group of nine Florida cities, the Public Service Commission of the state of New York, and Congressman Andrew Maguire.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

Appendix A

Producer	Rate schedule No. or contract date
Kerr-McGee Corporation	109
American Quasar	10-21-77
Atlantic Richfield Company	672
Atlantic Richfield Company	705
Dow Chemical Company	10-21-77
Hunt Oil Company	5
Hunter Co., Incorporated	1-1-54
Transocean Oil, Incorporated	5
Phillips Petroleum Company	175
Phillips Petroleum Company	611
Edwin L. Cox	5-29-67
Gulf Oil Company	432
Chevron USA, Incorporated	18
Gulf Oil Company	577
Signal Petroleum	6
Philips Oil Company	175
Getty Oil Company	68
W. C. Perryman	9-9-71
Marathon Oil Company	148
Texaco, Incorporated	374
Texaco, Incorporated	542
American Petrofina Company	83
Cities Service Oil Company	351
Cities Service Oil Company	461
Continental Oil Company	438
Diamond Shamrock	438
Gulf Oil Company	551
Pennzoil Producing Company	90
Pennzoil Producing Company	91
The Offshore Company	5
Sonat Expl. Company	4
Adco Producing Company	3-7-78
Convest Energy Corporation	3-7-78
Enerco Incorporated	2-21-78
Enerco Incorporated	9-7-78
Enerco Incorporated	9-7-78
Ralph M. Lowe, Incorporated	3-7-78

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Estublishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

Appendix A—Continued

Producer	Rate schedule No. or contract date
Exxon Corporation	442
Exxon Corporation	464
Pano Tech Expl. Corporation	2-21-63
Sun Oil Company	596

Appendix B

Seller	Seller's rate schedule or small producer certificate	Contract date (where provided by Southern)
Ada Land Co	CS71-1047	11-25-69
Ada Oil Co	CS66-78	8-8-71
Alamo Petroleum Corp	CS71-381	12-6-72
Amax Petroleum Corp	CS72-419	7-19-77
Amerada Hess Corp	156	
American Petrofina Co	83	
American Petrofina Co	83	
American Quasar	CS75-87	10-21-77
American Trading & Production Corporation	CS66-76	5-29-67
Aminoil U.S.A., Inc	21	
Amoco Production Co	502	
An-Son Corporation	CS69-77	2-15-69
An-Son Corporation	CS69-77	9-2-64
An-Son Corporation	CS69-77	12-6-72
Aquitaine Oil Corp	CS71-281	8-5-69
Ashland Oil, Inc	103	
Atlantic Richfield Co	621	
Atlantic Richfield Co	721	
Atlantic Richfield Co	603	
Atlantic Richfield Co	602	
Atlantic Richfield Co	726	
Atlantic Richfield Co	381	
Atlantic Richfield Co	469	
Atlantic Richfield Co	601	
Atlantic Richfield Co	529	
Barber Oil Expl., Inc	CS76-233	2-15-69
Browning & Welch	78-551	7-14-61
Broyles, Harvey	CS71-796	8-12-72
Broyles, Harvey	CS71-796	8-28-74
Cargill, Robert	CS73-188	3-1-77
Champlin Petroleum	134	
Chevron, U.S.A., Inc	2	
Chevron, U.S.A., Inc	9	
Chevron, U.S.A., Inc	89	
Chevron, U.S.A., Inc	18	
Chevron, U.S.A., Inc	16	
Chevron, U.S.A., Inc	67	
Chevron, U.S.A., Inc	70	
Chevron, U.S.A., Inc	76	
Chevron, U.S.A., Inc	71	
Chevron, U.S.A., Inc	50	
Chevron, U.S.A., Inc	17	
Chevron, U.S.A., Inc	82	
Cities Service Oil Co	351	
Cities Service Oil Co	403	
Cities Service Oil Co	461	
Clark Oil Producing Co	CS71-447	2-15-69
Coates, George H., Est. of	CS71-317	12-30-57; 1-1-79
Continental Oil Company	172	
Continental Oil Company	405	
Continental Oil Company	222	
Continental Oil Company	166	
Continental Oil Company	175	
Continental Oil Company	438	
Convest Energy Corp	CS77-359	3-7-78
Cox, Edwin L	CS77-189	7-8-57
Cox, Edwin L	CS77-189	10-21-77
Cox, Edwin L	CS77-189	5-29-67
Crow, David	CS71-841	7-29-55
Despot Exploration, Inc	CS72-726	7-14-72
Devon Corporation	32	
Diamond Shamrock	79	
Discovery Resources	CS74-141	5-29-67
Dow Chemical Co	CS71-318	10-21-77
Dow Chemical Co	CS71-318	8-15-75
Dynamic Exploration	CS72-773	8-18-77
Eason Oil Co	62	
Emerald Petroleum Corp	CS72-787	7-15-74
Emerald Producing Corp	CS73-194	8-16-74

Appendix B—Continued

Seller	Seller's rate schedule or small producer certificate	Contract date (where provided by Southern)
Enerco, Inc	CS77-299	2-21-78
Enerco, Inc	CS77-299	9-7-78
Enerco, Inc	CS77-299	9-7-78
Equitable Petroleum Corporation	9	
Exxon Corporation	511	
Exxon Corporation	126	
Exxon Corporation	236	
Exxon Corporation	282	
Exxon Corporation	39	
Exxon Corporation	442	
Exxon Corporation	464	
Fairfield, Wiley	CS72-1048	11-25-69
Florida Gas Expl. Co	5	
Forman Expl. Co	CS74-383	8-3-77
General American Oil Co. of Texas	31	
General American Oil Co. of Texas	88	
Getty Oil Co	81	
Getty Oil Co	66	
Getty Oil Co	287	
Getty Oil Co	369	
Getty Oil Co	65	
Grace Petroleum Corp	CS74-235	5-7-51
Gulf Oil Co	551	
Gulf Oil Co	432	
Gulf Oil Co	10	
Gulf Oil Co	577	
Gulf Oil Co	69	
Hamon, Jake L	CS66-107	2-14-63
Harrington, Inc	CS73-17	5-26-72
Harris, James W	CS71-1066	2-8-78
Hella, William G., Estate of	CS71-605	2-11-60
Henderson, T. Harry, Jr	CS71-483	8-15-62
Hines, E. R., Jr. and R. M. Moon	CS72-169	1-26-78
Roy M. Huffington, Inc	CS72-842	7-8-57; 2-1-79
Roy M. Huffington, Inc	CS72-842	7-29-57; 2-1-79
Hurley Oil & Gas Co	CS71-879	4-23-48
Kedco Management Corp	CS73-168	4-20-60
Kenmore Oil Co, Inc	CS71-472	5-29-67
Kerr-McGee Corporation	109	
Kerr-McGee Corporation	147	
Kerr-McGee Corporation	148	
Kerr-McGee Corporation	19	
Key Production	CS76-896	11-4-76
Koch Industries, Inc	CS76-73	2-15-69
Koch Industries, Inc	CS76-73	9-2-64
Koch Industries, Inc	CS76-73	12-6-72
Ladd Petroleum	CS71-646	7-31-51; 4-1-79
Louisiana Gas Service Exploration Program	CS71-106	7-19-77
Louisiana Land & Exploration Co	21	
Lyons Petroleum	CS71-523	5-1-51
Mallard Exploration, Inc	CS71-335	7-24-74
Marathon Oil Co	103	
Marathon Oil Co	106	
MCL & Company	CS72-37	4-4-75
McMoran Exploration Co	CS71-331	1-1-78
McMoran Exploration Co	CS71-331	6-11-77
Mesa Petroleum Co	61	
Miss.-Texas Oil Producers	CS72-169	1-26-78
Miss.-Texas Oil Producers	CS72-169	8-10-59
Miss.-Texas Oil Producers	CS72-169	5-7-69
Mobil Oil Corporation	138	
Monanto Company	75	
Mosbacher, Robert	CS71-707	6-28-57
Nuehoff Oil & Gas Corp	CS76-195	8-18-77
Offshore Co., The	5	
Offshore Co., The	4	
Oleum Inc	CS72-455	7-19-77
Pano Tech Expl. Corp	CS77-463	2-21-63
Pecos Western Corp	CS73-162	9-2-64
Pennzoil Producing Co	224	
Pennzoil Producing Co	237	
Pennzoil Producing Co	90	
Pennzoil Producing Co	91	
Petroleum, Inc	CS78-111	9-2-64
Petroleum, Inc	CS78-111	12-6-72
Petro-Lewis Funds, Inc	1	
Petro-Lewis Funds, Inc	CS72-203	12-1-77
Phillips Petroleum Co	299	
Phillips Petroleum Co	457	
Phillips Petroleum Co	611	

Appendix B—Continued

Seller	Seller's rate schedule or small producer certificate	Contract date (where provided by Southern)
Phillips Petroleum Co	219	
Phillips Petroleum Co	300	
Phillips Petroleum Co	612	9-1-77
Ranger Oil Company	CS72-1071	10-10-72
Reserve Oil Inc	CS71-1119	8-6-71
Shell Oil Company	176	
Shell Oil Company	362	
Sohio Petroleum Co	46	
Sohio Petroleum Co	237	
SONAT Expl. Co	4	
Southeastern Expl., Ltd	5	
Southland Royalty Co	CS66-114	12-30-57
Sun Oil Company	596	
Sun Oil Company	87	
Sun Oil Company	551	
Sun Oil Company	137	
Sun Oil Company	251	
Sun Oil Company	113	
Tenneco Oil Co	60	
Tenneco Oil Co	285	
Terra Resources, Inc	52	
Terra Resources, Inc	11	
Texaco, Inc	415	
Texas International Petroleum Co	CS71-555	2-18-71
Texas International Petroleum Co	CS71-555	8-20-56
Texas Pacific Oil Co, Inc	72	
Texas West Oil & Gas Corp	CS72-437	7-14-61
Toce, Paul M	CS71-918	2-14-63
Trend Expl., Ltd	CS72-84	6-14-71
Vaughn, G. H. *et al*	CS71-552	4-23-48
Vaughn Petroleum	CS71-552	4-23-48
Whipple, W. J. N	CS73-393	3-24-69
Wilson Oil & Gas Co	CS71-995	5-7-51
Woods, Harold L., Jr	CS71-965	12-30-57; 1-1-79
Kerr-McGee Corporation	51	
Continental Oil Company	351	
Atlantic Richfield Co	683	
Atlantic Richfield Co	705	
Atlantic Richfield Co	672	
Dynamic Exploration	CS72-773	3-30-60
Hunt Oil Company	5	
Hunter Company, Inc	CS72-559	1-1-54
J. F. D., Inc	CS71-432	4-20-67
Transocean Oil, Inc	5	
Kerr-McGee Corporation	116	
Phillips Petroleum Co	175	8-1-73
Shell Oil Company	408	
Shell Oil Company	429	
Shell Oil Company	345	
Speller, W. T	CS75-293	1-1-75
Kerr-McGee Corporation	15	
Mobil Oil Corporation	478	
Mobil Oil Corporation	511	
Mobil Oil Corporation	164	
Mobil Oil Corporation	489	
Mobil Oil Corporation	556	
Mobil Oil Corporation	461	
Mobil Oil Corporation	300	
Pennzoil Oil & Gas, Inc	29	
POGI (Pennzoil Oil & Gas Inc.)	17	
POGI (Pennzoil Oil & Gas Inc.)	14	
POGO (Pennzoil Offshore Gas Operators, Inc.)	17	
POGO (Pennzoil Offshore Gas Operators, Inc.)	14	
Texaco, Inc	488	
Texaco, Inc	545	
Texaco, Inc	313	
Texaco, Inc	374	
Texaco, Inc	542	
Amoco Production Co	442	
Sun Oil Company	205	
Mobil Oil Corporation	513	
Signal Petroleum	6	
Perryman, W. C	CS72-257	9-9-71
Atlantic Richfield Co	469	
Atlantic Richfield Co	380	
Chevron, U.S.A., Inc	2	
Chevron, U.S.A., Inc	9	
Chevron, U.S.A., Inc	13	
Coates, George H., Est. of	CS71-317	12-30-57; 1-1-79
General American Oil Co. of Texas	31	

Appendix B—Continued

Seller	Seller's rate schedule or small producer certificate	Contract date (where provided by Southern)
Getty Oil Co	81	
Getty Oil Co	267	
Roy M. Huffington, Inc	CS72-842	7-8-57; 2-1-79
Roy M. Huffington, Inc	CS72-842	7-29-57; 2-1-79
Kerr-McGee Corporation	106	
Kerr-McGee Corporation	147	
Kerr-McGee Corporation	148	
Kerr-McGee Corporation	19	
Kerr-McGee Corporation	78	
Ladd Petroleum	CS71-646	7-31-51; 4-1-79
Marathon Oil Co	103	
McMoran Exploration Co	CS71-331	6-11-77
Pennzoil Producing Co	224	
Phillips, Est. of B. F	CS74-401	11-30-48
Phillips Petroleum Co	219	
Sohio Petroleum Co	46	
Southland Royalty Co	CS66-114	12-30-57; 1-1-79
Superior Oil Company	11	
Vaughy & Vaughy	CS73-288	7-14-61
Woods, Harold L., Jr	CS71-965	12-30-57; 1-1-79
Kerr-McGee Corporation	51	

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[Docket No. GP80-23]

Texas Gas Transmission Corp.; Third-Party Protests[1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23-B,[2] and "Order on Rehearing of Order No. 23-B,"[3] the staff of the Commission protested on October 15, 1979, the assertion by the Texas Gas Transmission Corporation (Texas Gas) and certain producers that the contracts identified in this protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A of this notice does not constitute authority for the producer to increase prices to the extent claimed by Texas Gas in its evidentiary submission.

Take further notice that the Memphis Light, Gas and Water Division (Memphis) also filed a third-party protest on October 15, 1979. Memphis protests that the contracts in Appendix B do not constitute contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price. Memphis' postition has been adopted and incorporated in protests filed by the Kansas State Corporation Commission, Congressman Andrew Maguire, the Cities of Mangum, Oklahoma, and Winfield, Kansas, the Public Service Commission of the State of New York, the South Dakota Public Service Commission and the Minnesota Public Service Commission, the Arizona Corporation Commission, the Associated Gas Distributors, "Florida Cities", and the Gas Consumers Group.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth J. Plumb,

Secretary.

Appendix A

Producer	Rate Schedule No. or contract date
American Petrofina Company of Texas	1
CNG Producing Company	7
Continental Oil Company	81
Damson Exploration Corporation	7-30-69
Eason Oil Company, *et al*	59
Eason Oil Company, *et al*	69
Exchange Oil and Gas Corporation	3
Exxon Corporation	143
Getty Oil Company	235
Getty Oil Company	236
Getty Oil Company	237
Getty Oil Company	328
A. G. Glasswell	6-21-74
Gulf Oil Corporation	411
F. E. Hargranies and Sons Drilling Company	3-7-77
Hassie Hunt, Inc	20
Kerr-McGee Corporation	98
Mar-Low Corporation	8-9-79
Norwegian Oil Corporation	1-24-77
Sun Oil Company	26
Transco Exploration	10-27-78
Union Oil Co. of California	204
Amoco Production Co., *et al*	662
Edwin L. Cox, *et al*	3-13-68
R. J. Ackerman	9-27-78
Antares Oil Corp	9-27-78
Antares 77-A, LTD	9-27-78
Roger Aston, Individually and as Trustee for Aston No. A & B Trust	9-27-78
Dean H. Boedecker	9-27-78
Creek Oil Company, Inc	9-27-78
R. E. Jones	9-27-78
Tom P. Stephens	9-27-78
Tenneco Oil, Inc	348
Gulf Oil Corp	455
Har-ken Oil Co., *et al*	12-30-75
Houston Oil & Minerals Corp	9-1-77
Texaco Inc	322
Texas Gas Exploration Co	45
Texaco, Inc	519
Texaco, Inc	583
Texas Gas Exploration Corp	29
CNG Production Co	10
Superior Oil Co	13
Texas Gas Exploration Co	27
Walter Duncan	7-12-71
Ashland Oil, Inc	7-12-71
E. C. Brown	7-12-71
Raymond T. Duncan	7-12-71
Vincent Duncan	7-12-71

Appendix A—Continued

Producer	Rate Schedule No. or contract date
Har-Ken Oil Co	6-27-72
Union Texas Petroleum, a Division of Allied Chemical	63
Amoco Production Co	202
Chevron Oil Co	25

Appendix B

Seller	Rate schedule No.	Texas gas contract No.
Volume I		
Union Oil Company of California	60	521
D. B. McClinton, et al		277
4M Investment Company		277
Texas Pacific Oil Company, Inc	122	459
Continental Oil Compny	174	154
Exxon Co., U.S.A	167	257
Petro-Lewis Corporation		097
Gulf Oil Corporation	426	159
Dan Frantzen		167
Petrodyne Exploration Co		167
Stone Oil Corp		167
Great Yellowstone Corp		167
William I. Spencer		167
James H. Stone		167
Sanford E. McCormick		279
McCormick Properties, Inc		279
McCormick Oil & Gas Corp		279
Prudential Funds, Inc		279
A.G.M. Corporation		279
Lorenzo B. Taylor		279
R.E. Warner, Jr		279
American Resources Co		279
McCormick 1969, LTD		279
Exchange Oil & Gas Corp	32	174
South Coast Corp		174
Texas International Petroleum Corporation		539
Union Oil Company of California	204	528
L.J. Roussel		405
W.L. Estis		405
Gertrude W. Hawkins and H. L. Hawkins, Jr		405
Corinne Roy Kelly, Testamentary Executrix of the Estate of F.S. Kelly, Jr		405
Atlantic Richfield Co	690	077
Atlantic Richfield Co	690	078
Continental Oil Co	417	172
Cities Service Oil Co	418	173
Getty Oil Company	212	514
Getty Oil Company	212	451
Union Oil Company of California	38	529
Transco Exploration Company		529
Chevron U.S.A., Inc	74	103
Chevron U.S.A., Inc	40	132
Exchange Oil & Gas Corp	24	132
Petro Oil Company		132
The South Coast Corp		132
BRK Petroleum		132
Knob Hill Oil & Gas, Inc		132
Sun Oil Company	537	132
Texas Gas Exploration Corp	33	501
Exchange Oil & Gas Corp	23	171
Sun Oil Co	536	171
Petro Oil Co		171
South Coast Corp		171
BRK Petroleum, Inc		171
Knob Hill Oil & Gas, Inc		171
Texas Gas Exploration Corp	33	502
Texas Gas Exploration Corp	36	504
Union Oil Co. of California	200	526
Volume II		
Getty Oil Co	147	512
Chevron USA, Inc	14	136
Chevron USA, Inc	66	164
C.H. Lyons, Sr		272
E.L. Hilliard		272
G.F. Abendroth		272

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79-22, issued June 21, 1979.

[3] Docket No. RM79-22, issued August 6, 1979.

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Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
William O. Watson, Jr.		272
Superior Oil Co.	152	474
Union Oil Co. of California	208	531
North Central Oil Cor		437
Southern Natural Gas Co		437
R.V.O. Petroleum Co		437
Trasco 77-2 Lmtd. Partnership		437
Stallings Petroleum		437
Robert P. Evans		437
1977 Galbraith I Lmtd. Partnership		437
McLain J. Forman		437
A.C. Glassell, Jr		145
Texas Gas Exploration Corp	4	491
Franks Petroleum, Inc		166
Robert A. Anderson		166
Vermilion Bay Land Co		166
E-K Oil Co		166
O Biller		166
Petrofunds, Inc		166
Joe T. Franks		166
Carl R. Corley		166
L.R. Brammer, Jr		166
Gene R. Robinson		166
Larry N. Dickerson		166
G.E. Hugge		166
John Franks		166
Exxon Co., U.S.A	143	259
Chevron U.S.A., Inc	48	135
Amoco Production Co	546	375
Getty Oil Co	370	419
Chevron U.S.A., Inc	25	125
Alya Dean Irwin		125
R.A. Irwin Trusts		125
Southeastern Public Service Co		125
E.L. Hilliard		125
William O. Watson, Jr		125
Succession of Majorie Hall Lyons		125
Succession of C.H. Lyons, Sr		125
J.A. Dykes		125
J.T. Palmer		125
John Frank Harrell		125
Mary Summer Watson		125
G F. Abendroth		125
Roy L. Naumann		125
Dixon Management Corp		420
Lloyd H. Smith		420
J. Keet Lewis		420
Ciroco Exploration, Inc		420
Ira S. Snead		420
H.V. Crawford		420
C.S. Snead		420
Elizabeth Smith Hamilton		420
R.J.L. Hamilton		420
Aleya Dean Irwin		420
R.A. Irwin Trust		420
I.N. Hickox		420
Thomas Francis O'Neal		420
Richard A. Chenoweth		420
W.K. Bromley		420
Jane P. Bromley		420
Parker Snead		420
Warren V. Kaess		420
CNG Producing Co	7	235
Atlantic Richfield Co	560	235
Exchange Oil & Gas Corp	3	235
North Central Oil Corp		235
Oil & Gas Futures Inc. of Texas		235
Norwegian Oil Corp		235
Kerr-McGee Corp	74	264
Atlantic Richfield Co	257	435
Louisiana Crude Oil & Gas Company, Inc		273
Enterprise Resources, Inc		367
Topp Petroleum Co		367
Dave Topp		367
William G. McBee		367
Perry R. Bass	5	398
Sid Richardson Carbon Co		398
Bass Enterprises		398
Mar-Low Corp		398
A.R. Dillard		398
Nancy J. Harvey		398
Lois D. Miller		398
Wrightsman Investment		398
Enterprise Resources		398
Topp Petroleum		398
Dave Topp		398
William D. McBee		398
Enterprise Resources, Inc		509
Topp Petroleum Corp		509

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Dave Topp		509
William D. McBee, Jr		509
Atlantic Richfield, Co	155	079
Continental Oil Co	224	144
Texas Gas Exploration Corp	30	499
Atlantic Richfield Co	57	080
Gulf Oil Corp. (assignee of Kewanee Oil Co.)		130
Clover Bobo Cole		139
Estate of G.G. Gabrielson		139
Estate of P.C. Keith		139
Carey B. O'Connor		139
Annandale Pitt		139
Estate of J.B. O'Conner		139
Frank E. Taplin		139
Republic National Bank of Dallas, Agent for Annandale Pitt Agency #1962		139
Gulf Oil Corp	411	158
Sohio Natural Resources	24	430
Getty Oil Co	37	510
Phillips Petroleum Co	202	390
Mar-Low Corp		282
General American Oil Co of Texas	78	364

Volume III

Edwin L. Cox		138
Belco Petroleum		138
Fred Snuggs		138
Ralph Snuggs		138
Winnifred Ray		138
Diamond Shamrock Corp	98	138
C.F. Braun & Co		138
Superior Oil Co	136	138
Burmont Co		138
Texas Gas Exploration Corp	3	497
Mobil Oil Exploration & Producing Southeast Company		497
Lago Petroleum		497
Petro-Lewis Funds, Inc		497
PDI, Inc		497
Petro-Search, Inc		497
Flag-Redfern Oil Company		497
Quintana Petroleum Corp		497
Douglas B. Marshall		497
Margaret Cullen Marshall		497
Corbin J. Robertson		497
Wilhelmina Cullen Robertson		497
Roy H. Cullen		497
Harry H. Cullen		497
Long Resources, Inc		497
Katherine Cullen Burton		497
Isaac Arnold, Jr		497
Myron M. Sheinfeld		497
Judith C. Tretheway		497
W. Oscar Neihaus		497
A. Frank Smith, Jr		497
Dee S. Osborne		497
Mary Hugh Scott		497
Joe Barnhart		497
A.R. Schwartz		497
Gregory R. Houas		497
Guy Ronald Kizziar		497
John W. Neale		497
Gulf Oil Corp	338	118
Sohio Natural Resources	43	118
Robert K. Franklin		186
RKF Industries, INc		186
George R. Brown	18	116
Southland Royalty Co	16	116
Ciroco Exploration, INc		116
J. Geer Wilcox		116
Estate of Clyde R. Claus		116
Drew Cornell		116
Hassie Hunt Exploration Co	29	212
Southland Royalty Co	15	212
Ciroco Exploration, INc		212
Drew Cornell		212
J. Geer Wilcox		212
Estate of Clyde R. Claus		212
Hassie Hunt Exploration Co	29	429
Sohio Natural Resources	115	429
Southland Royalty Co	19	429
Ciroco Exploration, Inc		429
Drew Cornell		429
J. Geer Wilcox		429
Estate of Clyde R. Claus		429
George R. Brown	13	429
Sohio Natural Resources	57	431

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Union Oil Co. of California	78	523
Sabine Production Co		523
Richard M. McGrew		523
Gulf Oil Corp	408	157
Atlantic Richfield Co	55	074
Chevron USA, Inc	24	126
Union Oil Co. of California	196	527
Gulf Oil Corp	84	527
Amoco Production Co	523	366
Ballard & Cordell Corp		366
Transcontinental Oil Corp		366
Transoil 1972-A		366
Brock Exploration Corp		366
Texas Pacific Oil Co., Inc	122	459
Union Oil Co. of California	166	525
Damson Exploration Corp		153
Wilhelmina Cullen Robertson; Corbin J. Robertson		153
Douglas B. Marshall		153
Margaret Cullen Marshall		153
Roy H. Cullen		153
Cornelia Cullen Long		153
Harry H. Cullen		153
Russell Scott, Jr		153
Mary Hugh Scott		153
Joe Barnhart		153
Wilhelmina Ann Barnhart		153
Isaac Arnold, Jr		153
Antonette Tilly Arnold		153
Douglas B. Marshall, Jr		153
Hugh Roy Marshall Le., Trusts		153
Atlantic Richfield Co	222	071
Hassie Hunt, Inc	20	211
General American Oil Co. of Texas	78	364
Sun Gas Company	434	475
M.F. McCain		275
A.M. Jackson		275
North American Royalties, Inc		275
Estate of Dorothy B. Prentiss		275
Succession of C.H. Lyons, Sr		275
Succession of Marjorie H. Lyons		275
Estate of George F. Bauerdorff		275
Amoco Production Co	564	371

Volume IV

Union Oil Co. of California	216	697
Wayne J. Spears		668
Wayne J. Spears		669
Shenandoah Oil Corp		691
Aquitaine Oil Corp		691
William M. Fuller		691
American Petrofina Co. of Texas	1	679
F.E. Hargraves & Sons Drilling Co., Inc		853
F.E. Hargraves & Sons Drilling Co., Inc		854
F.E. Hargraves & Sons Drilling Co., Inc		855
F.E. Hargraves & Sons Drilling Co., Inc		856
Eason Oil Co	69	575
Devon Corp		575
Eason Oil Co.	59	586
Devon Corp		586
Ergon, Inc		587
Bodcaw Company		879
R.H. Hedge		899
Bob L. Herd		899
Lake Ronel Oil Co		899
Delta Drilling Co		899
Raymond H. Hedge, Jr		899
Dorothy N. Manziel		899
Nolan E. Manziel		899
N. Paul Manziel		899
Merigale N. Pyron		899
Ruth Dorothy Gross		899
People National Bank and Sol Edelman, Trustees for Harris M. Gross and Sara Ann Gross		899
Joel M. Hedge		899
Sun Gas Company	585	909
Tideway Oil Programs, Inc		909
Amoco Production Co	516	895
R.H. Hedge		893
W.C. Perryman		893
Bob L. Herd		893
Ruth Dorothy Gross		893
Peoples National Bank and Sol Edelman, Trustees		893
Bond Operating Company		893
Wofford Cain		893
J.A. Humphrey		893

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Lone Star Exploration, Inc		893
Dewitt Ray		893
Estate of R.H. Venable		893
Marathon Oil Co	114	863
Vaughan Petroleum, Inc		862
MacDonald Oil Corp		862
William B. McBee Estate		862
Bodcaw Co		891
W.H. Hunt	10	804
Morax Exploration, Inc		806
Richard H. Forgey		897
Columbia Trust		897
Jet Drilling Co		897
Kerr-McGee Corp	96	811
Eason Oil Company	56	811
Devon Corp		811
P&O Oil Corp		811
Caruthers Operating Co., Inc		810
Kerr-McGee Corp	101	801
Atlantic Richfield Co	227	807
Creslenn Oil Co		811
Marathon Oil Co	80	812
Getty Oil Co	201	814
Milton Crow, Inc		814
Sklar Oil Co		814
T.F. Hodge		814
T.L. James & Company, Inc		821
Atlantic Richfield, Co	436	831
Ashland Exploration, Inc	120	838
Ashland Exploration, Inc	144	839
Getty Oil Company	109	842
Milton Crow, Inc		842
Sklar Oil Co		842
T.F. Hodge		842
James A. Talley		842
Texas Gas Exploration Corp	7	841
Kerr-McGee Corp	94	841
Hunt Oil Co	953	819
Monsanto Company	42	828
Union Oil Co. of California	133	832
Atlantic Richfield Co	221	806

Volume V

Atlantic Richfield Co	188	800
Kerr-McGee Corp	96	813
Union Oil Co. of California	134	834
Murphy Oil Corp	16	864
Texas Gas Exploration Corp	1	680
T.W. McGuire		700
Roy S. Waterman		700
Travis L. Booker		700
James C. Leisk		700
Jessie M. Davis		700
D. Thomason Production Co		700
Smith Operating & Mgmt. Co., Inc		700
Nafco Oil & Gas, Inc		700
L. I. Freeman		700
Augusta Kessler, Individually and as executrix of the Estate of Louis Kessler		700
D. Paul Rittmaster		700
Jean Zucker		700
Murray B. Herman		700
Eleanor W. Dana		700
Rosalyn Reid Harris		700
H. B. Pyle		700
P. C. Bundy		700
Bernard Boyer		700
Milton S. Shapiro		700
T. W. McGuire & Assoc., Inc		700
Delta Drilling Co		711
Sklar Oil Co		711
Elizabeth F. Dorfman Trust		711
Myron H. Dorfman		711
Louis Dorfman; Sam Y. Dorfman		711
A.G. Glassell, Jr		712
Getty Oil Co	236	720
Bruce L. Wilson, dba Wilson Oil & Gas		740
Placid Oil Co	3	741
Vernon E. Faulconer		750
Getty Oil Co	237	750
Marshall Exploration, Inc		750
Dorothy N. Manziel		750
Car-Tex Producing Co		760
Cities Service Co	90	760
Cities Service Co	221	760
Continental Oil Co	83	760
Gulf Oil Co	110	760
Norman J. Kinsey		760

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Getty Oil Co	235	760
Succ. of Francis W. Scott		760
Mobil Oil Exploration and Producing Southeast, Inc	36	760
Sun Gas Co	27	760
Sun Gas Co	310	760
Union Oil Co. of California	99	760
Phillips Petroleum Co	23	761
Kerr-McGee Corp	3	762
Hunt Oil Co	1	764
Placid Oil Co	4	765
Carter Jones Drilling Co		780
Continental Oil Co	81	780
Getty Oil Co	238	780
Sun Gas Co	105	780
Atlantic Richfield Co	366	780
Vernon E. Faulconer		786
La-Tex Specialty Co		786
Raymond H. Hedge		786
Commonwealth Exploration, Inc		566
Commonwealth Exploration, Inc		567
Shulman Brothers, a Partnership		567
Union Oil Co. of California	226	592
Albert A. Woll		568
Pearl L. Woll		568
Herman L. Loeb		568
Walter Payne & Jennings Payne dba Payne Bros. Drilling Co		568

Oct. 1, 1979 Filing

Hunt Oil Co	56	854

Volume I

Kerr-McGee Corp	74[1]	264

Volume I

Amerada Hess Corp	84	023

Volume II

Amerada Hess Corp	13	040
Sohio Natural Resources Co	14	040

[1]Contract amendment of June 24, 1976.

Volume I

Texaco, Inc	233	487
Houston Oil & Minerals Corp		254
Texas Gas Exploration Co	41	462
Texas Gas Exploration Co	42	461
Texas Gas Exploration Corp	45	465
Texas Gas Exploration Corp	43	463

Volume II

Texaco, Inc	322	486
Texaco, Inc	376	481

Volume III

J. P. Owen & Co., Inc		138
Shell Oil Co	153	410
Texaco, Inc	361	482

Volume V

Texas Gas Exploration Corp	8	562
Har-Ken Oil Co		940
Marshall S. Burlew		940
Ryan Oil Co		940
Har-Ken Oil Co		953
Har-Ken Oil Co		972

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Tarton Oil Co		972

Sept. 1, 1979 Filing

Texaco, Inc	322	486

Volume I

The Louisiana Land and Exploration Company	24	274

Volume II

Amoco Production Co	800	064
Jack W. Grigsby		187
Mar-Low Corp		122

Volume III

Eason Oil Co	55	192
McMoran Exploration Co		429
Gulf Oil Corp	594	199

Volume IV

Tenneco Oil Co	348	577
Whitaker Petroleum		866
Great American Oil Co. of Texas	98	866
Amax Petroleum Corp		866
George R. Alewyne, Jr		866
Estate of Jack C. Vaughn		866
Grady H. Vaughn & John S. Nichols Trustees U/W/O Grady H. Vaughn, Jr		866
Grady H. Vaughn & John S. Nichols Trustees U/W.O Dorothy Vaughn		866
Grady H. Vaughn, III		866
George R. Alewyne, Jr		866
L. R. Brammer, Jr		866
M. L. Coyle		866
John Franks		866
Joe T. Franks		866
Ralph R. Gilster		866
Gaye Gilster Lee		866
Mrs. Ruth Anne Ashby Storey		866
Michael Brian Gilster Trust		866
Dorothy Whitaker Estate		866
Bodcaw Company		866
Ergon,		582
Lyons Petroleum, Inc		866
Westland Oil Development Corp		911
Gulf Oil Corp	455	619
Texas International Petroleum		803

Volume V

Smith Operating & Mgmt. Co., Inc		705
J. P. Costello		705
Bennett L. Woolley		705
Vincent A. Hughes		705
Grace Wooley Gowan		705
Margaret Wooley Strong		705
Lottie P. Wolley		705
C. R. Clennahan		705
James Earl Ferguson		705
Delta Drilling Co		708
Delta Drilling Co		709
Mrs. A. Z. Skeeters		745
Merritt Tool Co		745
United Exploration Co		745
P. H. Greer Co., Inc		745
Hiram Harris		593
Charlotte A. Sutliff		593
Antares 77-A, Ltd		594
Dean H. Baedecker		594
Rogers Aston, individually and as trustee of Ashton No. A & B Trust		594
Tom P. Stephens		594
R. J. Ackerman		594
Creek Oil Co., Inc		594
R. E. Jones		594

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Antares Oil Corp.		594
Sept. 1, 1979 Filing		
Gulf Oil Corp.	338	188
Otto Corum		595
TEC Corporation		596
Tenneco Oil Co.		577
Oct. 1, 1979 Filing		
Otto Corum		595
Otto Corum		596
Volume I		
Texaco, Inc.	476	476
Volume II		
Texaco, Inc.	519	472
Texaco, Inc.	515	473
Volume III		
Texaco, Inc.	343	483
Texaco, Inc.	362	484
Amoco Production Company		369
Amoco Production Company		375
Amoco Production Company		371
Amoco Production Company		138
Amoco Production Company		910
Volume I		
CNG Producing Co.	10	237
Texas Gas Exploration Corp.	27	495
Volume II		
Superior Oil Co.	13	480
American Petrofina Co. of Texas	47	330
Volume III		
Union Texas Petroleum, a Division of Allied Chemical	63	549
Volume V		
Marshall S. Burlew		971
Ashland Oil Inc.		971
Zeigler Coal & Coke Co.		971
Walter Duncan		974
Vincent Duncan		974
Raymond T. Duncan		974
E. C. Brown		974
Ashland Oil, Inc.		974
Har-Ken Oil Co.		563
C. B. Ames dba Ames Oil and Gas		583
Volume II		
Amoco Production Co.	266	367
Volume IV		
Amoco Production Co.	247	455
Amoco Production Co.	520	856
Amoco Production Co.	515	857
Amoco Production Co.	202	825
Atlantic Richfield Co.	393	830
Amoco Production Co.	464	812
Amoco Production Co.	430	929
Volume V		
Amoco Production Co.	22	760

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
Amoco Production Co.	25	760
Volume IV		
Amoco Production Co.	569	864
Volume IV		
Mobil Oil Exploration & Producing Southeast, Inc.	192	869
Mobil Oil Exploration & Producing Southeast, Inc.	428	801
Mobil Oil Exploration & Producing Southeast, Inc.	237	824
Mobil Oil Exploration & Producing Southeast, Inc.	182	823
Volume I		
Amoco Production Co.	536	368
Amoco Production Co.	540	369
Volume I		
Texaco, Inc.	455	477
Volume IV		
P. S. & G., Inc.		582
Union Oil Company of California		524
Energy Reserves Group, Inc.		367
Union Oil Company of California		552
Union Oil Company of California		090
Union Oil Company of California		530
Amoco Production Company		826
Shell Oil Co.		411
Gulf Oil Corp.		097
Gulf Oil Corp.		179
Gulf Oil Corp.		117
Kerr-McGee Corp., Phillips Petroleum Co.		281
Texaco, Inc.		479
Getty Oil Co.		506
Getty Oil Co.		509
Getty Oil Co.		506
Getty Oil Co.		418
Mobil Oil Exploration and Producing Southeast, Inc.		321
L. B. Sands, C. H. Schoellkopf		414
Volume I		
Edwin L. Cox		087
Michael E. Halbouty		087
Hexad Oil Co.—1977–B		087
Chevron U.S.A., Inc.	41	131
Chevron U.S.A., Inc.	39	236
CNG Producin g Co.	8	236
Volume II		
Daniel Oil Co.		122
Kerr-McGee Corp.	74	264
Louisiana Land and Exploration Co.	1	266
Amencan Petrofina Co. of Texas	51	331
R. S. Baker		331
W. Carroll Bennett, Jr. Independent Executor of Estate of G. M. Noble		331
Kenneth R. Campbell		331
Cecil V. Hagen		331
Bruce A. MacNaughton and Lewis A. MacNaughton, Co-Trustees under the Will of Lewis W. MacNaughton		331
P. L. Marsha		331
Mrs. Virginia DeGoyer Maxon		331
Mrs. Cecilia DeGoyer McGhee		331
E. R. Scott		331
Three M Oil Company		331

Appendix B—Continued

Seller	Rate schedule No.	Texas gas contract No.
John Wildenthal		331
Volume III		
Exchange Oil & Gas Corporation	30	557
Volume V		
James M. Forgotson		813
Selma M. Forgotson		813
Burk, Bakwin & Henry		813
Sept. 1, 1979 Filing		
Samedan Oil Corp.		407
Quien Sabe Corp.		407

[FR Doc. 79-38828 Filed 12-18-79; 8:45 am]

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[Docket No. GP80-41]

United Gas Pipeline Co.; Third-Party Protests [1]

December 10, 1979.

Take notice that in accordance with the procedures established by the Federal Energy Regulatory Commission (Commission) in Order No. 23–B [2], and "Order on Rehearing of Order No. 23–B," [3] the staff of the Commission protested on November 13, 1979, the assertion by the United Gas Pipeline Company (United) and certain producers that the contracts identified in its protest constitute contractual authority for the producers to charge and collect any applicable maximum lawful price under the Natural Gas Policy Act of 1978 (NGPA).

Staff stated that the language of the contracts contained in Appendix A does not constitute authority for the producer to increase price to the extent claimed by United in its evidentiary submission.

Take further notice that the Gas Consumers Group (GCG) also filed a third-party protest on November 13, 1979. GCG protests that the contracts in Appendix B do not constitute contractual authority for the producer to increase prices to the applicable NGPA maximum lawful price. GCG's position has been adopted and incorporated in protests filed by Associated Gas Distributors, Congressman Andrew Maguire, "Florida Cities", the South Dakota Public Utilities Commission, the Minnesota Public Service Commission, the Connecticut Public Utilities Control Authority, the Maine Public Utilities Commission, the Massachusetts Department of Public Utilities, the New Hampshire Public Utilities Commission, the Rhode Island Division of Public Utilities and Carriers and Dennis J. Roberts II, Attorney General of the State of Rhode Island.

Take further notice that on November 13, 1979, Gulf States Utilities Company (Gulf States) filed separate protests with respect to producer assertions of contractual authority to collect NGPA ceiling prices. The contracts separately protested by Gulf States are listed in Appendix C.

Any person, other than the pipeline and the seller, desiring to be heard or to make any response with respect to these protests should file with the Commission, on or before December 26, 1979, a petition to intervene in accordance with 18 CFR 1.8. The seller need not file for intervention because under 18 CFR 154.94(j)(4)(ii), the seller in the first sale is automatically joined as a party.

Kenneth F. Plumb,
Secretary.

[1] The term "third-party protest" refers to a protest filed by a party who is not a party to the contract which is protested.

[2] "Order Adopting Final Regulations and Establishing Protest Procedure," Docket No. RM79–22, issued June 21, 1979.

[3] Docket No. RM79–22, issued August 6, 1979.

Appendix A

Producer	Rate schedule No. or contract date
Soverign Exploration Co	7-12-78
Texas Energy Exploration, Inc	6-12-78
Liberty Energy Co. of Texas	4-10-78
Boling Production Co.	6-28-78
Exxon Corp.	3-7-79
Exxon Corp.	2-9-79
Exxon Corp.	2-9-79
Goldking Production Co	9-20-78
Gulf Oil Corp.	RS #538
American Petrofina Co. of Texas	RS #116
Ross Glenn Petroleum Inc.	2-14-79
Art Machin and Assn. Inc	2-13-78
Trident Oil and Gas Corp.	7-14-78
Justiss Mears Oil Co. Inc	10-5-77
Brammer Engineering Inc	12-28-70
Woods, Harold L.	12-2-69
Nemours Corp. *et al*	9-17-31
Franks, John	8-24-71
Pennzoil Producing Co., *et al*	12-20-79
Mobil Oil Corp	RS #114
Tenneco Oil Co	RS #261
Phillips Petroleum Co	12-20-67, RS #442
Pennzoil Producing Co	12-29-60, RS #253
Amoco Production Co	5-28-47, RS #114
Tenneco Oil Co	3-31-58, RS #109
Lamar Hunt	3-26-60, RS #8
Pennzoil La. & Texas Offshore, Inc.	5-16-78
Tee Operating Co	1-12-79
Tee Operating Co	12-12-79
Kerr McGee Corp.	8-15-59, RS #83
Hunt Oil Co	7-7-58, RS #41
Pogo Producing Co.	5-16-78
Sun Oil Co	2-15-60, RS #534
Freeport Oil Co	6-13-58
Superior Oil Co.	3-21-61, RS #102
Exxon Corp	4-26-60, RS #238
Amoco Production Co	2-10-78
Staples, James W	4-26-79
Hunt Oil Co.	RS #79
Shettle, George O.	2-5-79
Transocean Oil, Inc	5-4-54, RS #5
Maynard Oil Co	4-2-79
Raider Oil Co.	5-8-79
Bammert, H. L.	2-11-79
Martin Exploration Co.	10-10-71
Cities Service Co	12-23-75
Bass, Perry R.	2-7-79
Shield, Fred W	1-1-61
Shield, Fred W	12-27-60
Exxon Corporation	5-5-70
Shell Oil Co.	5-6-59
Sodcaw Co	12-12-77
Fred W. Shield	10-15-29
Exxon Corp.	5-5-59, RS #155
Cities Service Co	8-15-52, RS #354
Parade Co.	1-31-67
Petro Search, Inc.	2-7-63
L. L. Robinson	7-23-58
Mosanto Chemical Co.	10-27-58
Jack W. Grisgsby	11-19-69
Douglas Witaker	5-7-62
Fason Oil Co.	11-21-67
Fred Wilson Drilling Co., Inc	12-3-65
Phillips Petroleum Co	9-9-59, RS #357
General American Oil Co., Texas	1-12-68, RS #85
Gulf Oil Corp.	7-29-58
Sands, Caroline Hunt	6-24-58
Mobil Oil Corp	1-25-60, RS #229
Exchange Oil & Gas Corp	1-1-57
Texas Pacific Oil Co., Inc.	1-15-79
Crosby-Mississippi Resources, Ltd	7-1-78
Exchange Oil & Gas Corp	2-21-79
Par Oil Corp.	
Lynn Crosby Grammill, *et. al*	7-1-78
Woolf & Magee, Inc.	3-20-79
Pogo Producing Co.	1-12-79
Pogo Producing Co.	5-10-78
Par Oil Corp.	4-2-73
Monsanto Co.	4-1-58, RS #28
Sands, Lloyd B.	2-17-67
Marathon Oil Co.	9-12-77, RS #147
Decalta International Corp	8-4-78
Texaco Inc	12-17-74, RS #511
Harry R. Cullen	6-15-58
Louisiana Land and Exploration Co.	10-13-77, RS #5
Mobil Oil Corp., *et. al*	3-1-67, RS #286
Gulf Oil Corp.	6-21-77, RS #77
Getty Oil Co	3-28-77, RS #225
Exxon Corp.	RS #484
Union Oil Co. of Calif.	RS #13
Sun Oil Co	RS #499
Texaco, Inc.	RS #390
Getty Oil Co.	RS #126
Texaco, Inc.	6-2-60, RS #223
Gulf Oil Corp.	12-21-70
Gulf Oil Corp.	RS #421
Exxon Corp.	7-18-57, RS #124
Marathon Oil Co.	#153
Phillips Petroleum Co	2-25-78
Exxon Corp.	4-30-73, RS #35
Hunt Oil Co.	9-19-73, RS #5
Pennzoil Producing Co	12-12-58, RS #229
Ocean Production Co	9-9-76, RS #16
Union Oil Co. of Calif.	RS #13
Union Oil Co. of Calif.	RS #49
Superior Oil Co.	2-22-67, RS #124
McMoran Exploration Co	6-2-74
Petro-Lewis Corp	7-12-77
Rogers Oil & Gas Co., *et. al*	7-19-49
Continental Oil Co.	6-23-61, RS #207
Superior Oil Co.	9-6-58
Superior Oil Co.	9-6-59
Gulf Oil Corp.	3-26-46, RS #74
Calhoun, Clay Jr.	7-31-70
Amax Petroleum Corp	5-20-77
Sun Oil Co	12-1-74, RS #66
Norton Oil Co., Inc.	2-5-75
Phillips Petroleum Co	6-1-77
Bright and Co	1-3-75
Gulf Oil Corp.	79-58, RS #161
Hawthorne Oil and Gas Corp	1-3-78
Delta Drilling Co.	3-27-59
Goodrich, H. R	7-31-77
Leaderbrand, Ralph L.	5-10-72
Pennzoil Producing Co.	7-1-75
Par Oil Corp.	9-1-70
A. J. Hodges Industries, Inc	3-29-73
Mobil Oil Corp	RS #112
Logue & Patterson	2-1-71
Energy Reserve Group, Inc.	11-1-45
Josey, Lenoir M.	3-30-72
Lynd, R. L.	7-1-49
R.D.A. Petroleum, Inc.	8-4-72
American Petrofina Co. of Texas	8-4-72
Cities Service Co	11-10-77, RS #474
Howell Drilling, Inc	2-19-60
Pennzoil Producing Co.	3-1-76, RS #305
Sun Oil Co	10-23-49, RS #270
Houston Oil & Minerals Corp.	11-17-50
Sun Oil Co	4-14-69, RS #290
Antares Oil Corp	1-10-78
Reserve Oil & Gas Co.	5-26-71
Gulf Oil Corp.	9-7-66, RS #372
Memorial Exploration Co.	10-17-73
Chevron U.S.A. Inc	7-21-58, RS #11
Sun Oil Co	5-1-58, RS #114
Texaco, Inc.	3-7-67, RS #399
Brown, Maurice L.	7-16-78
Texaco Inc	RS #48
Phillips Petroleum Co., *et. al*	2-1-46, RS #13
Phillips Petroleum Co., *et. al*	2-1-46, RS #13
Pennzoil Producing Co	RS #306
Getty Oil Co.	RS #239
Sun Oil Co	RS #114
Halbouty, Michel T.	5-29-58
Thompson, J. Cleo O.	10-9-69
Crystal Oil Co	7-29-77
Frank Petroleum, Inc	8-22-66
Bodcan Co.	12-12-77
Franks Petroleum, Inc	12-12-77
Pintail Mineral Corp	7-25-77
Tenneco Oil Co	RS #89
Huggs, Gerald E.	8-4-48
Austin, James D	11-1-77
Noe, James A.	1-20-72
South Coast Oil Inc	12-6-71
Gemini Explorations Inc	1-20-72
Miles Kimball Company	12-12-72
Teel, Roy M.	6-27-73
Lankford, K. D. Jr.	12-20-73
McCarter, John H. Jr	11-12-75

Appendix B

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Amoco Production Co	4395	262	80/06/07
Mitchell R B	5275	CS	72/06/02
Getty Oil Co	6140	NA	77/03/26
Atlantic Richfield Co	*1597*	49	53/09/14
Cities Service Co	5758	414	74/10/30
Pennzoil Oil & Gas Inc	5784	4	74/11/15
POGO Producing Co	5972	6	76/06/10
Pennzoil Louisiana & Tex Offsh	5973	3	76/06/10
POGO Producing Co	5974	7	76/06/10
Pennzoil Louisiana & Tex Offsh	5975	2	76/06/10
POGO Producing Co	6019	16	76/09/01
Pennzoil Oil & Gas Inc	5971	10	76/06/10
Louisiana Land & Explor Co	6247	5	77/10/13
Wintershall Oil & Gas Co	6203	CS	77/08/17
Decalta International Corp	6476	CS	78/08/04
Mobil Oil Corp	*4717*	286	67/09/01
Roberts & Murphy Inc	1039	CS	46/03/23
Phillips Petroleum Corp	*1036*	13	46/02/01
Morris C L	4374	CS	60/07/08
Schlachter David A	*5548*	CS	73/09/10
Bass Perry R	6573	31	79/02/07
Martin Exploration Co	*5175*	CS	71/10/10
Cities Service Co	6708	.....	.....
Northcott Exploration Co Inc	5838	CS	75/07/09
Lynn Crosby Gammill et al	6436	CS	78/07/01
Texas Pacific Oil Co Inc	6572	NA	79/01/15
Crosby-Mississippi Resources LTD	6629	NA	78/07/01
Stueld Fred W	4432	CS	60/12/27
Texas Oil & Gas Corp	*1157*	53	48/03/29
Cities Service Co	6316	106	58/01/02
Marathon Oil Co	6235	14	77/10/01
Exchange Oil & Gas Corp	6583	CS	79/02/21
Crow David Agent	6605	CS	79/02/13
Petro-Search Inc	4520	CS	63/07/02
Woolf & Megee Inc	6606	.....	79/03/20
Parade Co	*4687*	1	67/01/31
Robinson L L	*4129*	CS	58/07/23
Monsanto Co	*4178*	31	58/10/27
Gribsby Jack W	*4970*	CS	69/11/19
Whitaker Douglas	*4496*	CS	62/05/07
Eason Oil Co	*4810*	CS	67/11/21
Wilson Fred Drilling Co Inc	*4606*	CS	65/12/03
Exxon Corp	*4377*	236	60/04/26
Amoco Production Co	*6484*	77	78
Exxon Corp	4991	NJ	70/05/05
Freeport Oil Co	*4085*	CS	58/06/13
Superior Oil Co	*4446*	102	61/03/21
Raider Oil Co	6661	CS	79/05/08
Bammert H L	6579	CS	79/02/11
Maynard Oil Co	6580	CS	79/04/02
Transocean Oil Inc	*1638*	5	54/05/04
Shettle George D	6582	CS	79/02/05
Hunt Oil Co	6093	79	77/01/05
Amoco Production Co	6609	.....	.....
Staples James W	6649	CS	79/04/26
Sun Oil Co	*4379*	534	60/02/15
Hunt Oil Co	4114	41	58/07/07
Monsanto Co	4052	26	58/04/01
Pennzoil Louisiana & Tex Off	6398	NA	78/05/16
TEE Operating Co	6528	CS	79/01/12
Kerr McGee Corp	*4316*	63	59/08/15
Phillips Petroleum Co	*4325*	357	59/09/09
General American Oil Co Tex	4318	85	58/01/12
Atlantic Richfield Co	*4225*	419	59/01/29
Gulf Oil Corp	*4116*	CS	58/07/29
Sands Caroline Hunt	*4098*	CS	58/06/24
Mobil Oil Corp	*4361*	229	60/01/25
Sands Loyd B	*4597*	CS	67/02/17
Hunt Lamar	*4359*	8	60/01/26
Exchange Oil & Gas Corp	*1886*	NA	57/01/01
Pennzoil Producing Co	2705	281	71/12/23
Cities Service Oil Co	1212	356	49/01/28
Huggs Gerald E	6366	CS	78/06/16
Cities Service Oil Co	2578	85	45/03/13
Lawbar Petroleum Inc et al	6505	CS	00/00/00
Gibson Drilling Co	6505	CS	78/12/11
Mewbourne Oil Co	6406	CS	78/05/26
Pennzoil Producing Co	2704	284	71/12/23
Pennzoil Producing Co	2703	240	71/12/23
Grady & Roppolo	6484	CS	78/09/11
Pennzoil Producing Co	2678	232	59/08/05
Bodcaw Co	6396	CS	78/04/27
Pennzoil Producing Co	2706	282	71/12/23
Pennzoil Producing Co	2701	283	71/12/23
Pennzoil Producing Co	2728	CS	73/05/24
Pennzoil Producing Co	2716	239	72/11/06
Pennzoil Producing Co	2670	216	57/09/20

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Pennzoil Producing Co	2658	239	55/04/06
Northern Michigan Expl Co	2672	3	57/12/11
Pennzoil Producing Co	2688	254	64/05/04
Pennzoil Producing Co	2679	234	59/10/30
Pennzoil Producing Co	2692	264	67/06/06
Superior Oil Co	4733	123	67/05/19
Pennzoil Producing Co	2621	42	50/01/06
Pennzoil Producing Co	2605	209	47/10/15
Pennzoil Producing Co	2696	276	70/07/28
Texaco Inc	4293	199	59/07/07
Pennzoil Producing Co	2683	238	60/04/21
Pennzoil Producing Co	2568	93	44/04/27
Omega Minerals Inc	6394	CS	78/06/09
Pennzoil Producing Co	2695	63	66/11/11
Pennzoil Producing Co	2686	245	62/01/31
Atlantic Richfield Co	6523	535	58/03/14
Exchange Oil & Gas Corp	5836	33	75/05/29
Shell Oil Co	6822	203	79/05/01
Superior Oil Co	6517	79	56/09/24
Tenneco Oil Co	0451	89	30/10/23
Hunt Oil Co	1083	20	46/08/21
D. Thomason	5203	CS	72/01/25
Getty Oil Co	5212	382	72/02/22
McCann M F	5225	CS	72/02/20
Texaco Inc	0516	495	27/12/01
Huggs Gerald E	*1160*	CS	48/04/07
Mills Carol A	*1218*	CS	49/01/06
Faulconer Vernon E, et al	*1589*	1	53/09/11
Brennan Harry W Jr	*1749*	CS	55/07/25
Brennan Harry W Jr	*1752*	CS	55/09/10
Lyons C H Sr & Mobil Oil Corp	4060	CS	50/04/14
Brennan Harry W Jr	*4348*	CS	59/11/10
Texaco Inc	*5027*	452	70/12/21
Brammer Engineering Inc	*5037*	CS	70/12/28
Texas Intl Petroleum Corp	*5062*	CS	70/10/11
Crystal Oil Co	*5066*	CS	70/12/04
Engeo Co	5574	CS	73/08/20
Burk Gas Corp	5575	CS	73/10/19
Tenneco Oil Co	5596	289	73/12/12
Brown Maurice L	5700	CS	74/07/16
Texaco Inc	5704	48	74/08/23
Fields Bert Jr	5716	CS	74/07/30
Par Oil Corp	*5718*	CS	74/10/14
Sun Oil Co	6155	583	77/05/13
T L James & Co Inc	6284	CS	77/12/08
Burk Gas Corp	6292	CS	77/12/08
Andrews Mrs Gladys M	6293	CS	78/01/23
Phillips Jack L	6325	NJ	78/04/11
Watson Oil Corp	6167	CS	77/07/31
Watson Oil Corp	6234	CS	77/09/06
Inexco Oil Co	*4969*	CS	70/04/07
Reico Exploration Co Inc	*5157*	CS	71/07/22
Hurbrough John H	5928	CS	76/03/24
Gruy Management Service Co	*1829*	CS	56/06/19
Walker Tigner	*4856*	CS	68/05/08
Hunt Oil Co	5181	69	71/11/22
Goldston Oil Corp	5232	CS	72/03/10
Kerr McGee Corp	5236	117	72/03/27
McCormick Oil & Gas Co	5863	CS	75/09/22
Goodwill G Ramon	5956	CS	76/03/01
Clark G C	5957	CS	76/03/01
Pennzoil Producing Co	5961	306	76/03/01
Kinsey Norman V	5964	CS	76/03/01
Getty Oil Co	5979	239	76/03/01
Getty Oil Co	5985	240	76/03/01
Strief Harry & Robert	5967	CS	76/04/01
Manziel Bobby	5988	CS	76/05/01
Hunter Co Inc	5992	CS	76/03/01
Scott Francis W Estate of	5993	CS	76/03/01
Goodwill G Ramon	5994	CS	76/03/01
Sun Oil Co	5995	21	76/08/01
Sun Oil Co	5996	18	76/03/01
Sun Oil Co	5996	114	76/06/01
Champlin Petroleum Co	5997	12	76/03/01
Comegys Emily Ann Glassell	5999	CS	76/03/01
Atlantic Richfield Co	6000	388	76/03/01
Wall LaRage Feazel	6009	CS	76/03/01
Marshall Exploration Inc	6012	CS	76/09/20
McGuire T W & Assocs Inc	6151	CS	77/05/12
Delta Drilling Co	6295	CS	78/01/27
Delta Drilling Co	6363	CS	78/05/05
Getty Oil Co	5189	197	71/12/14
Atlantic Richfield Co	5221	657	72/01/26
Cities Service Co	5230	390	72/03/17
Halbouty Michel T	*4076*	7	58/05/29
Halbouty Michel T	*4295*	15	59/06/22
Halbouty Michel T	*4371*	10	60/03/15
Cinco Exploration Co	6092	390	72/03/17
Cotton Petroleum Co	6320	.....	78/02/14
Zephyr Oil Co	*1227*	CS	49/03/25

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
B & A Pipe Line Co	*1528*	1	52/08/01
American Petrofina Co Tex	*1532*	11	52/09/18
Ladd Petroleum Corp	*4965*	53	69/11/12
Enerco Expl & Mgt Co	6200	CS	77/07/31
Pioneer Production Corp	6047	52	76/10/06
Exxon Corp	*4659*	414	66/11/03
American Petrofina Co Tex	6358	118	78/04/21
Gulf Oil Corp	6420	538	78/06/30
Donnell Pipe & Supply Co	6448	CS	78/06/17
Crystal Oil Co	6194	CS	77/07/29
Watson Oil Corp	6401	CS	78/06/09
Miller Paul L	*4384*	CS	60/05/11
Sun Oil Co	*4393*	394	60/06/20
Amoco Production Co	6205	759	77/11/10
Marshall Exploration Inc	5888	CS	75/12/16
Tenneco Oil Co	1042	77	46/03/19
Tenneco Oil Co	5590	78	73/11/16
Orr B B	6349	CS	78/04/04
Art Machin & Assn Inc	*4690*	CS	68/06/10
Thompson J Cleo O	*4961*	CS	69/10/09
Doreman Louis	*5231*	CS	72/02/16
Cities Service Oil Co	5256	367	72/04/26
McLemore B Regan	5293	CS	72/06/15
CL & Gladys Lloyd Trust #1	5337	CS	72/06/28
Pirtle George W	5364	CS	70/05/23
Cargill Robert	5365	CS	72/12/06
Dunbar Blaine	5703	CS	74/09/09
Atlantic Richfield Co	5799	589	74/12/10
Amoco Production Co	6318	589	78/01/30
Clemco Inc	6338	CS	78/03/02
Gulf Oil Corp	*4142*	147	58/06/26
McCord-Goodrich Oil Co	*4883*	CS	66/10/04
Grady & Roppolo, A Partnership	*5912*	CS	76/02/20
Brammer Engineering Inc	*4327*	CS	59/10/08
Southwestern Elec Power Co	5712	CS	74/09/25
Ross & Glenn Petroleum Inc	6455	CS	79/02/14
Kewanee Oil Co	5160	CS	71/06/13
Monsanto Co	5705	111	74/06/06
Monsanto Co	5755	112	74/11/31
Exxon Company USA	*4683*	CS	67/01/28
Franks Petroleum Inc	*5017*	CS	70/06/28
Headrick H J	5814	CS	75/03/03
T L James & Co Inc	*4310*	CS	59/07/10
Pintail Mineral Corp	6192	CS	77/07/25
Bodcaw Co	6275	CS	77/12/12
Franks Petroleum Inc	6276	CS	.....
Petrofunds Inc	6277	CS	77/12/15
Cities Service Co	4655	215	66/10/07
Rosett & Motes Inc	*1521*	CS	54/03/10
General American Oil Co Tex	5807	100	75/02/12
Continental Oil Co	6065	432	78/11/22
Art Machin & Assn Inc	6324	CS	78/02/13
Pennzoil Producing Co	*2687*	CS	62/03/15
Pennzoil Producing Co	5721	299	74/10/07
Hargrove Joseph L	6026	CS	76/06/27
Franks Petroleum Inc	*4530*	CS	66/06/22
Southern Natural Gas Co	*4995*	F-10	70/04/14
Sun Oil Co	5686	530	74/03/29
Sun Oil Co	5832	542	75/07/01
Southwestern Electric Power Co	5402	CS	73/03/15
Walker Tigner	5488	CS	73/06/01
Arkla Exploration Co	*1525*	5	52/08/15
Grigsby Jack W	5211	CS	72/02/03
Kinsey Norman V	5213	CS	72/02/14
Murphy Oil Corp	5255	26	72/04/24
Lucky Three Oil Co	5263	CS	72/05/24
McCord-Goodrich Oil Co	5270	CS	72/05/26
Anthony Oil Co	5286	CS	72/01/24
Allied Petroleum Co	5600	CS	73/12/12
Tenneco Oil Co	5628	115	74/02/20
Hargraves FE & Sons Drl Co	5713	CS	74/09/19
Lucky Three Oil Co	5829	CS	75/05/06
Trident Oil & Gas Corp	6435	CS	78/07/14
Hunter Oil Inc	5186	CS	71/12/10
Woodfin D F	5199	CS	72/12/15
Cities Service Co	5206	385	72/01/01
Atlantic Richfield Co	5207	385	72/12/20
Inexco Oil Co	*5487*	CS	73/06/08
Gerard C H Coster	5355	CS	72/11/22
McCulloch Oil Corp, et al	5846	CS	75/06/26
Crystal Oil Co	5847	CS	75/05/21
Pennzoil Producing Co	5865	86	75/07/01
Mobil Oil Corp	5866	236	75/09/24
Marr M H	5991	CS	76/07/01
Austin James D	6233	CS	77/11/01
Crystal Oil Co	5939	CS	76/03/01
Crystal Oil Co	5796	CS	75/01/16
Shovan Gas Prod Co et al	*0523*	CS	29/10/15
Strahan O & G Co Inc	*5099*	CS	71/05/20

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Strahan O & G Co Inc	*5169*	CS	71/10/25
Noe James A	5170	CS	72/10/20
South Coast Oil Inc	5171	CS	71/12/06
Allied Petroleum Co	*5183*	CS	71/10/11
Allied Petroleum Co	5209	CS	72/02/04
Allied Petroleum Co	5269	CS	72/05/79
GMB Gas Corp	5297	CS	72/08/15
Gemini Explorations Inc	5345	CS	72/01/20
Miles Kimball Co	5360	CS	72/12/12
Ellington Robert W Jr	5373	CS	72/12/20
Sierra Oil & Gas Corp	5520	CS	74/04/25
Teel Roy M	5527	CS	73/06/27
Lankford K D Jr	5698	CS	73/12/20
McCarter John H Jr	6004	CS	75/11/12
Loch Arbor Production Co	6500	CS	78/09/20
Tesoro Petroleum Corp	6033	CS	76/10/12
Scogin Artis D	5696	CS	74/06/09
Atlantic Richfield Co	*1326*	9	50/01/19
Leaderbrand Ralph L	5260	CS	72/05/10
Hall Frank J	5457	CS	73/05/06
Scott Francis W Estate of	5683	CS	74/06/29
Northern Michigan Expl Co	5692	2	75/12/31
Exxon Corp	5445	35	73/04/30
Marathon Oil Co	5509	15	73/07/16
Cocke W H	5532	CS	73/06/01
Hunt Oil Co	5550	5	73/08/10
Goodrich H R	5687	CS	75/12/23
Penzoil Producing Co	*3676*	229	56/12/12
Atlantic Richfield Co	*4217*	531	59/01/19
Union Oil Co of Cal	*1365*	103	51/11/01
Mobil Oil Corp	*4822*	65	67/11/01
Continental Oil Co	*4842*	106	67/11/01
Newmont Oil Co	*4845*	CS	67/11/01
Ocean Production Co	6079	16	76/09/09
Exxon Corp	*4200*	149	58/12/05
Lyons Petroleum	*5064*	CS	71/03/08
Barton Al H	5624	CS	73/12/21
Exxon Corp	1944	124	57/07/16
Gulf Oil Co	*4468*	228	61/09/21
Getty Oil Co	5861	34	75/12/08
Sirera Walter B III	5901	CS	76/01/01
Bourg Otis J Sr	5904	CS	76/01/21
Stanwood Corp	6013	CS	76/08/13
Alta Loma Oil Co	6156	CS	77/04/04
Union Oil Co of Cal	*4353*	13	60/01/05
Texaco Inc	4386	223	60/06/02
Bouru Otis J Sr	5650	CS	74/04/02
Hampton Howard	5792	CS	75/01/02
Lyons Petroleum	5801	CS	75/01/01
Mitchell Energy Corp	5802	50	75/01/01
Amoco Production Co	6260	757	77/10/19
Texoil Co et al	6416	NJ	.....
Superior Oil Co	4703	124	67/02/22
Louisiana Land & Explo co	2676	12	58/12/12
Inexco Oil Co	5682	CS	74/06/12
McMoran Exploration Co	5757	CS	74/08/02
Kilroy Prop Inc & WS Kilroy	5891	CS	75/09/02
Texaco Inc	4171	169	59/10/20
Singer-Fleischaker Oil Co	*4609*	CS	60/03/07
Texaco Inc	5960	534	76/04/27
Conover William V	6068	CS	76/11/05
Cities Service Co	6312	.....	78/12/26
Exxon Corp	6314	123	78/01/23
Placid Oil Co	6384	20	78/05/12
Dees Rutledge H Jr	6508	CS	78/10/06
Petro-Lewis Corp	6186	CS	77/07/12
Vasser D E	6323	CS	78/02/10
Energy Corp of America Inc	6102	CS	77/01/31
Petro-Lewis Corp	4061	CS	58/04/14
Atlantic Richfield Co	*4304*	258	58/12/10
Wm T Burton Industries Inc	6475	CS	57/05/25
Coles Otis C Jr	5834	CS	75/05/30
Pennzoil Producing Co	5864	206	75/07/01
Goldsberry Hood	5894	CS	76/02/02
Goldsberry Hood	6081	CS	76/12/26
Cotton Petroleum Co	6099	4	77/01/26
Turner J S	*4895*	CS	68/12/02
Trident Oil & Gas Corp	6069	CS	76/12/03
Justiss Mears Oil Co Inc	6271	CS	77/10/05
James Leroy	6354	CS	78/04/11
Par Oil Corp	*5122*	CS	70/09/01
Par Oil Corp	5437	CS	73/04/02
A J Hodges Industries Inc	5441	CS	73/03/29
Union Oil Co of Cal	5854	127	75/05/07
Mobil Oil Corp	5867	112	74/09/24
Crystall Oil Co	5918	CS	75/07/01
Pennzoil Producing Co	*3100*	CS	29/12/20
May Petroleum Inc	6024	CS	76/09/10
Suburban Propane Gas Corp	6036	CS	76/10/19
Exxon Corp	6331	NJ	78/03/07
Amoco Production Co	*4969*	543	69/11/13

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Amoco Production Co	4633	443	66/07/05
Louisiana Land & Exploration Co	*4651*	2	66/09/21
Gulf Oil Corp	4654	372	66/09/07
McMoran Exploration Co	5555	CS	73/10/17
Chevron USA Inc	*4110*	11	58/07/21
Superior Oil Co	*4147*	089	58/09/08
Superior Oil Co	5756	89	74/10/18
Superior Oil Co	*1878*	71	57/02/05
Atlantic Richfield Co	*1887*	527	57/02/14
Superior Oil Co	*1899*	108	57/03/21
General American Oil Co Tex	*4727*	80	67/04/20
Sun Oil Co	*4067*	114	58/05/01
Texaco Inc	4712	399	67/03/07
Sun Oil Co	*4617*	200	66/04/28
McCord-Goodrich Oil Co	5824	CS	75/04/10
Northridge Oil Co	*4946*	CS	69/07/30
Energy Corp of American Inc	*4986*	CS	70/04/08
Union Oil Company of Calif	*4853*	193	68/10/14
Exxon Corp	*4257*	158	59/04/20
Energy Corp of America Inc	*4747*	35	67/07/11
Energy Corp of America Inc	*4980*	36	68/10/03
Exxon Corp	6311	NJ	78/02/09
Pennzoil Producing Co	5725	301	74/10/07
General American Oil Co. Tex	5837	99	75/06/09
Cities Service Co	5900	363	76/01/27
Gulf Oil Corporation	1043	74	46/03/26
Texaco Inc	*0343*	101	50/04/03
Sun Oil Co	*4626*	202	66/06/10
William S. Evans	6334	CS	78/02/26
Evans James P Jr	6335	CS	78/02/28
Gulf Oil Corp	1043	74	46/03/26
Chisholm Elisabeth G	5916	CS	76/02/20
Marion Corp	6161	CS	77/06/09
Stack J E Jr	6418	CS	78/06/21
Calhoun Clay J	4980	CS	70/07/31
Amax Petroleum Corp	6157	CS	77/05/20
Continental Oil Co	1870	143	57/10/29
Sun Oil Co	5783	65	74/12/01
Pennzoil Producing Co	5784	92	74/12/11
Marathon Oil Co	5798	16	75/02/10
Norton Oil Co Inc	5804	CS	75/02/05
Rogers Hellena Fox W	5818	CS	75/03/14
Terra Resources Inc	5819	1	75/03/27
Brown Maurice L	5845	CS	75/05/01
Exxon Corp	5890	110	75/11/10
Joe F Fritz Operating Co	5883	CS	75/12/01
Bond Durbin	5884	CS	75/12/08
Crow David Agent	5896	CS	76/01/19
Southern Natural Gas Co	5906	F-15	74/11/01
Latimer D C	5943	CS	76/04/01
Atlantic Richfield Co	5976	371	76/06/01
Ladner Hilton L	5990	CS	76/01/19
McKenna A E	6008	CS	76/03/01
Ford Elizabeth H Mrs	6025	CS	76/07/23
Ladner Heber	6078	CS	74/11/24
Kadane G E & Sons	6362	CS	78/04/11
K R M Petroleum Corp	6411	CS	78/06/19
Joe F Fritz Operation Co	6502	CS	78/10/02
Larco Drilling Co	*4731*	CS	67/05/08
Union Oil Co of Cal	6160	236	77/05/20
Phillips Petroleum Co	6355	CS	78/02/25
Ensearch Exploration Inc	6530	NA	78/11/20
Phillips Petroleum Co	6145	NA	77/06/01
Gulf Oil Corp	*4401*	201	60/07/26
Union Texas Petroleum	6243	8	77/10/06
Forgotson James M	6272	CS	77/11/29
Texaco Inc	*4587*	481	65/09/03
Cotton Petroleum Co	5934	1	76/04/06
South Louisiana Production Co Inc	6029	5	76/09/14
Sun Oil Co	*4632*	203	66/07/01
Weaver Curt	5877	CS	76/10/01
Gamble-Dansel Operating Co	6003	CS	76/03/19
Bright & Co	5791	CS	75/01/03
General American Oil Co Tex	4389	63	60/06/14
Texaco Inc	4711	398	67/03/07
Hawthorne Oil & Gas Corp	6230	CS	77/10/03
Carolina Gas Explor Co et al	6262	CS	77/10/03
Ballard & Cordell Corp	5981	CS	76/07/16
Gulf Oil Corp	*4485*	235	62/01/11
Texas Gas Explor Corp	5214	30	72/02/18
Southern Natural Gas Co	5290	F-13	72/06/23
Chevron USA Inc	*5787*	147	74/12/20
Goldking Production Co	6480	CS	78/09/20
Penton & Penton	4903	CS	68/12/30
Gulf Oil Corp	*4103*	161	58/07/09
Hoffpauir Thomas C	*5673*	CS	74/05/13
CRA International Ltd	4568	3	65/01/14
Hawthorne Oil & Gas Corp	6296	CS	78/01/03
Pioneer Production Corp	5959	51	76/04/28

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Continental Oil Co	5475	115	73/06/07
Sun Oil Co	6469	382	78/07/12
Gulf Oil Corp	6052	NA	76/10/21
Gruy Management Service Co	4309	CS	59/07/27
Sohio Petroleum Co	6321	42	78/01/31
Amerada Hess Corp	6380	64	78/04/24
Exchange Oil & Gas Corp	6269	36	77/10/24
Shell Oil Co	4753	350	67/07/27
Sun Oil Co	6473	352	78/08/01
Delta Drilling Co	4251	CS	59/03/27
Goodrich H R	6183	CS	77/07/31
McCormick Oil & Gas Co	6427	CS	78/06/01
Bel Oil Corp	*4362*	CS	60/01/20
South Louisiana Production Co Inc	*5945*	2	76/04/19
South Louisiana Production Co Inc	*5970*	3	76/05/25
South Louisiana Production Co Inc	*6041*	4	76/10/13
Bel Oil Corp	*4360*	CS	60/01/26
Texaco Inc	*4675*	390	.....
Continental Oil Co	1885	164	57/01/01
Getty Oil Co	6439	75	58/08/15
Gulf Oil Corp	6508	136	57/01/01
Houston Oil & Mineral Corp	5174	CS	71/11/04
Getty Oil Co	*4506*	126	.....
McClinton D B	6267	CS	77/11/02
IMC Exploration Co	6315	CS	78/01/01
Continental Oil Co	*1989*	247	57/11/08
Summers Frank J II	6216	CS	77/08/23
Pano Tech Expl Corp	6265	CS	77/11/09
McLean Harvey	6359	CS	78/04/14
Kellerman R E	6382	1	58/10/15
Marathon Oil Co	6393	36	78/05/04
Exxon Corp	*4358*	235	60/02/04
Continental Oil Co	*4729*	329	67/04/20
Gulf Oil Corp	6219	270	78/06/01
Texaco Inc	*4237*	164	59/03/10
Robinson George A	5950	CS	76/01/01
Abel & Bancroft	6077	CS	77/01/01
Logue & Patterson	*5056*	CS	71/02/01
Gulf Coast Minerals Co Inc	6348	CS	78/03/27
Energy Reserves Group Inc	*1010*	108	45/11/01
Union Oil Co of Calif	5187	101	71/11/23
Josey Lenoir M	5413	CS	72/03/30
Goldking Production Co	5921	CS	76/03/01
San Antonio Oil & Gas Corp	6341	CS	78/01/17
Sovereign Exploration Co	6441	CS	78/07/12
Rowe W Earl	1271	CS	49/07/15
Ragars Oil & Gas Co	*1276*	CS	49/07/19
Ragars Oil & Gas Co	*1396*	CS	50/11/09
Lynd R L	*1269*	CS	49/07/01
Lynd R L	*4411*	CS	60/11/01
Getty Oil Co	*1371*	20	50/07/21
Eddy Refining Co	*1483*	1	52/01/02
Morris Joseph S	*1815*	CS	56/06/01
Sun Gas Co	6345	.....	.....
Janssen Nelson	6049	CS	76/10/18
Sun Oil Co	*1273*	288	49/07/15
Continental Oil Co	*4462*	207	61/06/23
Carlson Everett J	5536	CS	76/08/17
Overly Operation Co	6307	CS	78/01/18
RDA Petroleum Inc	1274	CS	49/07/15
Mosbacher Robert	*1762*	CS	55/09/14
Bounty Production Co	5164	CS	71/11/08
RDA Petroleum Inc	5311	CS	72/08/04
Cities Service Oil Co	*4156*	374	58/09/23
Hamon Jake L	*4159*	CS	58/09/03
Sun Oil Co	*4185*	361	58/07/11
Cotton Petroleum Co	6218	15	77/08/31
Cities Service Co	6270	474	77/11/10
Alamo Petroleum Co	*5510*	CS	73/06/01
Depco Inc	*1702*	CS	55/02/09
T J Wintermute	6374	CS	78/04/24
Meyers-Lasher Inc	6375	CS	78/04/28
Ensearch Exploration Inc	1288	100	49/10/07
Howell Drilling Inc	*4364*	CS	60/02/19
McFarline Oil Co Inc	6181	CS	77/07/21
Ballard & Cordell Corp	5830	CS	75/05/07
American Petrofina Co Tex	5899	97	76/01/20
Various small producers	5920	CS	76/02/03
Pennzoil Producing Co	5925	305	76/03/01
C & K Petroleum Inc	*4762*	CS	67/08/25
Kirby Petroleum Co	*4764*	CS	67/08/29
Cabot Corp	*4769*	100	67/08/28
Cabot Corp	4770	94	67/09/25
Gulf Oil Corp	*4779*	394	67/09/25
Cities Service Oil Co	*4869*	308	68/11/14
Getty Oil Co	*4894*	378	79/11/11

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Sun Oil Co	*4898*	472	66/12/03
Laguna Oil & Gas Co	*4939*	CS	69/06/27
Laguna Oil & Gas Co	5294	CS	72/09/18
South States O & G Co	5515	CS	73/06/05
Texas Energy Exploration Inc	6407	CS	78/06/12
Gulf Oil Corp	*4106*	160	58/07/09
Taggart George K Jr	*4094*	CS	58/07/02
Leach Brothers Inc	*4281*	CS	59/05/19
National Exploration Co	5890	CS	75/03/04
Guardian Oil Co	5118	OS	71/06/30
Sun Oil Co	5529	306	73/08/23
Monsanto Co	1476	16	51/11/26
Exxon Corp	5726	543	74/09/23
Petroleum Corp Texas	*0734*	CS	35/06/12
Sun Oil Co	1293	270	49/10/23
Logue & Patterson	*5102*	CS	71/04/30
Exxon Corp	5726	543	74/09/23
L & B Oil Co Inc	6337	CS	78/02/01
Osborn W B Jr	*4616*	CS	66/04/27
Hewitt B Fox Inc	5309	CS	72/08/04
Expando Prod Co	*4643*	CS	66/08/08
Miller Wynn D	6175	CS	77/07/15
Feddered Howard C Jr	*4143*	CS	58/05/12
Houston Oil & Mineral Corp	*1398*	CS	50/11/17
Schimmel Oil Co	*4208*	CS	58/12/15
Janssen Nelson	6291	CS	78/01/03
Dinero Oil Co	5669	CS	74/03/27
Dinero Oil Co	5277	CS	72/06/20
Mueller Joseph P	5287	CS	72/07/12
Fno Production Co	5320	CS	72/08/24
Getty Oil Co	*1603*	23	53/11/01
Sun Oil Company	*4921*	290	69/04/14
Tenneco Oil Co	5591	2	73/01/16
Energy Corp of America Inc	5637	102	74/03/12
Bass Perry R	5708	35	74/09/10
Cities Service Oil Co	5727	353	74/09/09
Gulf Oil Corp	5828	23	75/06/02
Amoco Production Co	5859	79	75/01/02
Phoenix Resources Co	*5013*	CS	70/07/30
Natural Gas Electronics Corp	*4288*	CS	59/06/10
Dow Chemical Co	6038	CS	78/08/27
Scanlon Lee C	6329	CS	77/12/27
Liberty Energy Co of Texas	6356	CS	78/04/10
American Petrofina Co Tex	*1656*	59	54/08/18
Bounty Production Co	6058	CS	76/10/20
Mormac Oil & Gas Co	5308	CS	72/08/18
Exxon Corp	6210	599	77/08/11
Boling Production Co	6422	CS	78/06/26
Antares Oil Corp	6299	CS	78/01/10
C & K Petroleum Inc	1388	CS	51/03/19
Enterprise Resources Inc	6250	CS	77/10/21
Gohlke W L	5568	CS	73/10/22
Smith Charles R Et Ux	*1597*	CS	53/07/23
Carlson Everett J	5681	CS	74/06/25
Reserve Oil & Gas Co	*5117*	CS	71/05/26
Tenneco Oil Co	5005	261	70/06/12
Gulf Oil Corp	*1052*	323	46/04/17
R Lacy Inc	*6201*	CS	76/03/01
Warren Petroleum Corp	5018	59	70/09/25
Sun Oil Co	5081	514	71/04/16
Gulf Oil Corp	5020	421	79/09/25
Exxon Company USA	*4683*	CS	67/01/24
Phillips Petroleum Co	5101	487	71/05/10
Sun Oil Co	*4338*	378	59/11/17
Marathon Oil Co	*4412*	CS	60/10/04
Nemours Corp	*0589*	CS	31/07/17
Woods Harold L	*1331*	CS	50/02/24
Mobils Oil Corp	*2363*	114	37/09/26
Franks John	5129	CS	71/08/24
Crystal Oil Co	*4332*	CS	59/10/14
Wheless Industries Inc	*4414*	CS	60/10/06
Par Oil Corp	*5149*	CS	71/08/09
Pennzoil Producing Co	*3100*	CS	29/12/20
Getty Oil Co	*4345*	108	59/12/22
Getty Oil Co	*4346*	108	59/12/28
Getty Oil Co	*4283*	137	59/05/14
Prentice Oil & Gas Co	5046	CS	71/01/21
Gulf Oil Corp	5028	NJ	70/12/21
Monsanto Company	*1286*	71	49/09/30
Harris James W	5006	CS	70/06/23
Phillips Petroleum Co et al	5069	CS	71/03/15
American Petrofina Co Tex	5176	106	71/09/22
Shield Fred W	*4432*	CS	60/12/27
Warner Guy L	4951	CS	69/08/11
Texas Oil & Gas Corp	*4213*	85	58/12/31
Tenneco Oil Co	*4053*	109	58/03/31
Exxon Corp	*4442*	273	61/02/23
Amoco Production Co	*1141*	114	47/05/26
Pennzoil Producing Co	*2628*	253	50/12/29
Amoco Production Co	4879	522	68/10/07
Phillips Petroleum Co	5105	493	71/10/07

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Houston Oil & Mineral Corp	1561	CS	71/11/04
Exxon Corp	5106	484	71/06/07
Union Oil Co of Cal	5107	13	71/06/08
Sun Oil Co	5113	499	71/06/17
Texaco Inc	5114	462	71/06/21
Gulf Oil Corp	5028	NJ	70/12/21
Martin Exploration Co	5025	CS	70/12/10
Equipment Inc	*1543*	1	52/12/30
Shell Oil Co	4937	376	69/06/30
Phillips Petroleum Co	4816	442	67/12/20
Sun Oil Co	*1278*	275	49/07/19
Sun Oil Co	*1530*	283	52/06/21
Burke J D	*1357*	2	50/04/11
Pennzoil Producing Co	*2723*	297	73/08/28
Pinto Inc	5790	2	75/01/02
Amax Petroleum Corp	8208	CS	77/08/17
Amax Petroleum Corp	6249	CS	77/10/20
Atlantic Richfield Co	*1600*	314	53/10/28
Mobil Oil Corp	5589	205	73/10/01
Mobil Oil Corp	5799	507	75/01/14
Mobil Oil Corp	5810	508	75/02/25
Mobil Oil Corp	6412	426	78/06/01
Mobil Oil Corp	6461	.....	78/08/01
Marathon Oil Co	*0512*	17	40/04/29
Mobil Oil Corp	*0512*	7	31/04/18
Mobil Oil Corp	6536	120	78/12/04
Mobil Oil Corp	6402	551	78/06/08
Mobil Oil Corp	6537	24	78/12/04
Mobil Oil Corp	6372	69	78/05/01
Texaco Inc	6309	NA	78/01/26
Marathon Oil Co	6224	147	77/09/12
Texaco Inc	6226	545	77/08/25
Mobil Oil Corp	*4478*	429	61/12/13
Atlantic Richfield Co	*4900*	626	68/12/13
Atlantic Richfield Co	*4254*	204	59/04/01
Gulf Oil Corp	6043	92	76/12/10
Gulf Oil Corp	6263	77	77/06/21
Mobil Oil Corp	*1297*	59	49/10/12
Atlantic Richfield Co	*4252*	197	59/04/09
Texaco Inc	4908	427	69/01/13
Chevron USA Inc	4936	49	69/07/01
Texaco Inc	5570	102	73/10/18
Texaco Inc	5781	511	74/12/17
Getty Oil Co	5248	417	77/10/01
Southern Natural Gas Co	5298	F-18	78/01/06
Terra Resources Inc	6032	50	76/11/04
Cullen Harry R et al	4166	CS	58/06/15
Pennzoil Oil & Gas Inc	5931	5	76/04/05
Pennzoil Louisiana & Texas Offsh	5932	1	76/04/05
POGO Producing Co	6020	15	76/09/01
Pennzoil Oil & Gas Inc	6251	NA	78/02/01
POGO Producing Co	6252	NA	78/02/01
Pennzoil Oil & Gas Inc	6254	.....	78/02/01
POGO Producing Co	6255	.....	78/02/01
Pennzoil Louisiana & Texas Offshore	6256	.....	78/02/01
POGO Producing Co	6022	NA	76/09/01
Shell Oil Co	*5190*	390	71/12/27
Shell Oil Co	*5192*	391	71/12/29
Shell Oil Co	*5143*	385	71/08/09
Shell Oil Co	*4844*	357	68/02/21
Shell Oil Co	*5855*	410	75/08/14
Shell Oil Co	*4297*	213	59/06/29
Shell Oil Co	*4298*	223	59/06/04
Shell Oil Co	*4279*	202	59/04/30
Shell Oil Co	*4268*	207	59/04/30
Shell Oil Co	*4296*	211	59/06/29
Shell Oil Co	*4271*	205	59/05/01
McMoran Exploration Co	5711	11	74/09/13
Three S & I Oil Co	*1209*	1	49/01/13
Amoco Production Co	4395	282	60/06/07
Mitchell R B	5275	CS	72/06/02
Getty Oil Co	6140	NA	77/03/28
Atlantic Richfield Co	*1597*	49	53/09/14
Cibes Service Co	5758	414	74/10/30
Pennzoil Oil & Gas Inc	5764	4	74/11/15
POGO Producing Co	5972	6	76/06/10
Pennzoil Louisiana & Tex Offsh	5973	3	76/06/10
POGO Producing Co	5974	7	76/06/10
Pennzoil Louisiana & Tex Offsh	5975	2	76/06/10
POGO Producing Co	6019	16	76/09/01
Pennzoil Oil & Gas Inc	5971	10	76/06/10
Louisiana Land & Explor Co	6247	5	77/10/13
Wintershall Oil & Gas Co	6203	CS	77/08/17
Decalta International Corp	5476	CS	75/06/04
Mobile Oil Corp	*4717*	286	67/03/01
Roberts & Murphy Inc	1039	CS	46/03/23
Phillips Petroleum Corp	*1036*	13	46/02/01

Appendix B—Continued

[Italic contract numbers indicate contract amendments]

Seller	Contract No.	Rate schedule	Date
Morris C L	4374	CS	60/07/06
Schlachter David A	*5546*	CS	73/09/10
Bass Perry R	6573	31	79/02/07
Martin Exploration Co	*5175*	CS	71/10/10
Cities Service Co	6706	.....	.....
Northcott Exploration Co Inc	5838	CS	75/07/09
Lynn Crosby Gammill et al	6438	CS	78/07/01
Texas Pacific Oil Co Inc	6572	NA	79/01/15
Crosby-Mississippi Resources LTD	6629	NA	78/07/01
Shield Fred W	4432	CS	60/12/27
Texas Oil & Gas Corp	*1157*	83	48/03/29
Cities Service Co	*6316*	106	58/01/02
Marathon Oil Co	6235	14	77/10/01
Exchange Oil & Gas Corp	6583	CS	79/01/21
Crow David Agent	6605	CS	79/02/13
Pennzoil Producing Co	2705	281	71/12/23
Cities Service Oil Co	1212	356	49/01/28
Huggs Gerald E	6366	CS	78/06/16
Cities Service Oil Co	2578	65	45/03/13
Lawbar Petroleum Inc, et al	6505	CS	00/00/00
Gibson Drilling Co	6505	CS	78/12/11
Mewbourne Oil Co	6406	CS	78/06/26
Pennzoil Producing Co	2704	284	71/12/23
Pennzoil Producing Co	2703	240	71/12/23
Grady & Roppolo	6484	CS	78/09/11
Pennzoil Producing Co	2678	232	59/08/05
Bodcaw Co	6396	CS	78/04/27
Pennzoil Producing Co	2706	282	71/12/23
Pennzoil Producing Co	2701	283	71/12/23
Pennzoil Producing Co	2728	CS	73/05/24
Pennzoil Producing Co	2716	239	72/11/06
Pennzoil Producing Co	2670	216	57/09/20
Pennzoil Producing Co	2658	239	55/04/06
Northern Michigan Expl Co	2672	3	57/12/11
Pennzoil Producing Co	2688	254	64/05/04
Pennzoil Producing Co	2679	234	59/10/30
Pennzoil Producing Co	2692	264	67/06/06
Superior Oil Co	4733	123	67/05/19
Pennzoil Producing Co	2621	42	50/01/09
Pennzoil Producing Co	2605	209	47/10/15
Pennzoil Producing Co	2698	278	70/07/26
Texaco Inc	4293	199	59/07/07
Pennzoil Producing Co	2683	238	60/04/21
Pennzoil Producing Co	2588	93	44/04/27
Omega Minerals	6394	CS	78/06/09
Pennzoil Producing Co	2695	63	68/11/11
Pennzoil Producing Co	2686	245	61/01/31
Atlantic Richfield Co	6523	535	58/03/14
Exchange Oil & Gas Corp	5836	33	75/05/29
Shell Oil Co	6522	203	79/05/01
Superior Oil Co	6517	79	58/09/24
Petro-Search Inc	4520	CS	63/07/02
Woolf & Magee Inc	6808	.....	79/03/20
Parade Co	*4687*	1	67/01/31
Robinson L L	*4129*	CS	58/07/23
Monsanto Co	*4176*	31	58/10/27
Grisby Jack W	4970	CS	69/11/19
Whitaker Douglas	*4496*	CS	62/05/07
Eason Oil Co	*4810*	CS	67/11/21
Wilson Fred Drilling Co Inc	*4606*	CS	65/12/03
Exxon Corp	*4377*	238	60/04/26
Amoco Production Co	*6484*	.....	.....
Exxon Corp	4991	NJ	70/05/05
Freeport Oil Co	*4085*	CS	58/06/13
Superior Oil Co	*4446*	102	61/03/21
Raider Oil Co	6661	CS	79/05/08
Bammert H L	6579	CS	79/02/11
Maynard Oil Co	6580	CS	79/04/02
Transocean Oil Inc	*1638*	5	54/05/04
Shettle George D	6562	CS	79/02/05
Hunt Oil Co	6093	79	77/01/05
Amoco Production Co	6609	.....	00/00/00
Staples James W	6649	CS	79/04/26
Sun Oil Co	*4379*	534	60/02/15
Hunt Oil Co	4114	41	58/07/07
Monsanto Co	4052	28	58/04/01
Pennzoil Louisiana & Tex Off	6386	NA	78/05/16
TEE Operating Co	6528	CS	79/01/12
Kerr McGee Corp	*4316*	63	59/08/15
Phillips Petroleum Co	*4323*	357	59/09/09
General American Oil Co Tex	4818	85	68/01/12
Atlantic Richfield Co	*4225*	419	59/01/29
Gulf Oil Corp	*4118*	CS	58/07/29
Sands Caroline Hunt	*4098*	CS	58/06/24
Mobil Oil Corp	*4361*	229	60/01/25
Sands Loyd B	*4697*	CS	67/02/17
Hunt Lamar	*4359*	8	60/01/26
Exchange Oil & Gas Corp	*1886*	NA	57/01/01

Appendix C.—*United Gas Pipe Line Co.*

Alphabetical Listing of All Protested Contracts

Contract No. and seller name	Date	NGPA	Type
5441 A. J. Hodges Industries, Inc	73/03/29	102	003
5441 A. J. Hodges Industries, Inc	73/03/29	104	003
5441 A. J. Hodges Industries, Inc	73/03/29	108	00
6077 Abel & Bancroft	77/01/01	104	003
6077 Abel & Bancroft	76/12/10	104	000
6077 Abel & Bancroft	76/12/10	108	000
5510 Alamo Petroleum Co	73/08/01	104	003
5600 Allied Petroleum Co	73/12/12	104	003
5183 Allied Petroleum Co	71/10/11	104	003
5209 Allied Petroleum Co	72/02/04	104	003
5269 Allied Petroleum Co	72/05/19	104	003
6156 Alta Loma Oil Co	77/04/04	104	003
6157 Amax Petroleum Corp	77/05/20	102	003
6157 Amax Petroleum Corp	77/05/20	104	003
6208 Amax Petroleum Corp	77/08/17	104	037
6249 Amax Petroleum Corp	77/10/20	104	037
6397 Amerada Hess Corp	78/05/16	104	022
6380 Amerada Hess Corp	78/04/24	104	009
1532 American Petrofina Co. of Texas	52/09/18	104	042
5356 American Petrofina Co. of Texas	78/04/21	103	009
5176 American Petrofina Co. of Texas	71/09/22	104	016
5311 American Petrofina Co. of Texas	72/08/04	108	003
5899 American Petrofina Co. of Texas	76/01/20	104	003
1856 American Petrofina Co. of Texas	54/06/18	104	003
6484 Amoco Production Co	00/00/00	000	000
4969 Amoco Production Co	69/11/13	104	003
4633 Amoco Production Co	66/07/05	104	004
4395 Amoco Production Co	60/06/07	104	114
6260 Amoco Production Co	77/10/19	104	003
6205 Amoco Production Co	77/11/10	104	051
6318 Amoco Production Co	78/01/30	104	009
1141 Amoco Production Co	47/05/26	102	064
5859 Amoco Production Co	75/01/02	104	068
6609 Amoco Production Co	00/00/00	108	000
4879 Amoco Production Co	68/10/07	104	100
4879 Amoco Production Co	68/10/07	104	100
6293 Andrews, Mrs. Gladys M	78/01/23	104	009
6293 Andrews, Mrs. Gladys M	78/01/23	104	009
6299 Antares Oil Corp	78/01/10	103	072
6299 Antares Oil Corp	78/01/10	104	072
5266 Anthony Oil Co	72/01/24	104	003
1525 Arkla Exploration Co	52/08/15	104	003
4860 Art Machin & Association, Inc	68/06/10	104	003
6324 Art Machin & Association, Inc	78/02/13	103	009
6324 Art Machin & Association, Inc	78/02/13	104	009
1867 Atlantic Richfield Co	57/02/14	104	003
4900 Atlantic Richfield Co	68/12/13	104	010
4254 Atlantic Richfield Co	59/04/01	104	013
4217 Atlantic Richfield Co	59/01/12	104	003
4217 Atlantic Richfield Co	59/08/22	104	000
4204 Atlantic Richfield Co	58/12/10	104	003
6000 Atlantic Richfield Co	76/03/01	104	003
5221 Atlantic Richfield Co	72/01/26	104	042
5789 Atlantic Richfield Co	74/12/10	104	003
1141 Atlantic Richfield Co	47/05/26	104	064
1597 Atlantic Richfield Co	53/09/14	104	065
1600 Atlantic Richfield Co	53/10/28	104	066
5976 Atlantic Richfield Co	76/06/01	104	077
4252 Atlantic Richfield Co	59/04/09	104	013
4225 Atlantic Richfield Co	59/01/29	104	099
5207 Atlantic Richfield Co	72/12/20	104	042
1326 Atlantic Richfield Co	50/01/19	104	003
4046 Atlantic Richfield, superseded by 6523	58/03/14	104	087
6233 Austin, James D	77/11/01	103	089
1528 B & A Pipe Line Co	52/08/01	104	042
5630 Ballard & Cordell Corp	75/05/07	104	003
5981 Ballard & Cordell Corp	76/07/11	104	090
6579 Bammert, H. L	79/02/11	104	000
5624 Barton, AL H	73/12/21	104	003
5708 Bass, Perry R	74/09/10	104	003
6573 Bass, Perry R	79/02/07	102	000
4362 Bel Oil Corp	60/01/20	104	003
4360 Bel Oil Corp	60/01/26	104	003
6482 Black Bayou Management Co	78/09/13	102	032
6482 Black Bayou Management Co	78/09/13	103	032
6482 Black Bayou Management Co	78/09/13	104	032
6275 Bodcaw Co	77/12/12	108	000
6275 Bodcaw Co	77/12/12	104	108
6396 Bodcaw Co	78/04/27	104	000
6422 Boling Production Co	78/06/26	102	009
6422 Boling Production Co	78/06/26	104	009
5884 Bond, Durbin	75/12/08	104	077
5164 Bounty Production Co	71/11/09	104	042

Appendix C.—*United Gas Pipe Line Co.*—Continued

Contract No. and seller name	Date	NGPA	Type
6058 Bounty Production Co	76/10/20	104	069
5904 Bourg, Otis J., Sr	76/01/21	104	003
5650 Bourg, Otis, J., Sr74	74/04/02	104	003
5037 Brammer Engineering, Inc	70/12/28	104	003
5037 Brammer Engineering, Inc	70/12/28	108	003
4327 Brammer Engineering, Inc	59/10/08	104	003
1749 Brennan, Harry W. Jr	55/07/28	104	003
1752 Brennan, Harry W., Jr	55/08/10	104	003
4348 Brennan, Harry W., Jr	59/11/10	104	003
5791 Bright & Co	75/01/03	104	003
5791 Bright & Co	75/01/03	108	003
5700 Brown, Maurice L	74/07/16	104	003
5700 Brown, Maurice L	78/07/16	108	003
5700 Brown, Maurice L	74/07/16	104	003
5645 Brown, Maurice L	75/05/01	104	077
5575 Burk Gas Corp	73/10/19	104	003
6292 Burk Gas Corp	77/12/08	104	009
5575 Burk Gas Corp	73/10/19	104	003
6296 Burk Gas Corp	77/12/08	104	009
1357 Burk-J. D	50/04/11	104	038
4762 C & K Petroleum, Inc	67/08/25	104	003
1388 C & K Petroleum, Inc	51/03/19	104	069
4769 Cabot Corp	67/08/28	104	003
4770 Cabot Corp	67/09/25	104	003
4980 Calhoun, Clay J	70/07/31	104	076
4980 Calhoun, Clay J	70/07/31	108	076
5365 Cargill, Robert	72/12/06	104	003
5536 Carlson, Everett J	73/08/17	104	000
5536 Carlson, Everett J	73/08/17	104	000
5536 Carlson, Everett J	73/08/17	104	114
5536 Carlson, Everett J	73/08/17	104	003
5536 Carlson, Everett J	73/08/17	104	000
5681 Carlson, Everett J	74/06/25	104	003
6282 Caroline Gas Exploration Co. et al	77/10/03	104	069
5997 Champlin Petroleum Co	76/03/01	104	003
4110 Chevron U.S.A., Inc	58/07/21	103	003
4110 Chevron U.S.A., Inc	58/07/21	104	003
6278 Chevron U.S.A., Inc	77/11/21	104	018
5787 Chevron U.S.A., Inc	74/12/20	104	042
4936 Chrevron U.S.A., Inc	69/07/01	104	105
5916 Chisholm, Elisabeth G	76/02/20	104	069
6092 Cinco Exploration Co	77/01/18	104	003
5900 Cities Service Co	76/01/27	104	003
1529 Cities Service Co	52/08/15	104	000
6706 Cities Service Co	00/00/00	000	000
5900 Cities Service Co	76/01/27	104	000
5900 Cities Service Co	76/01/27	104	000
5230 Cities Service Co	72/03/17	104	042
6532 Cities Service Co	78/12/05	103	000
6533 Cities Service Co	78/12/05	104	049
6270 Cities Service Co	77/11/10	102	003
6270 Cities Service Co	77/11/10	104	003
5758 Cities Service Co	74/10/30	104	058
4655 Cities Service Co	66/10/07	104	003
5206 Cities Service Co	72/01/01	104	042
4016 Cities Service Co, superseded by 6316	58/01/02	104	000
1212 Cities Service Oil Co	49/01/28	104	005
2578 Cities Service Oil Co	45/03/13	104	000
5256 Cities Service Oil Co	72/04/26	104	003
4156 Cities Service Oil Co	58/09/23	104	003
4869 Cities Service Oil Co	68/11/14	104	003
5717 Cities Service Oil Co	74/09/09	104	003
6312 Cities Service Co	78/12/26	104	003
5337 C. L. & Gladys Lloyd Trust No. 1	72/06/29	104	003
5957 Clark, G. C	78/03/01	104	003
6338 Clemco, Inc	78/03/02	104	000
6512 Clover Energy Corp	78/12/29	104	032
5532 Cocke, W. H	73/06/01	104	003
5834 Coles, Otis C., Jr	75/05/30	104	003
5999 Comegys, Emily Ann Glassell	76/03/01	104	003
6068 Conover, William V	76/11/05	104	003
4842 Continental Oil Co	67/11/01	104	003
4462 Continental Oil Co	61/06/23	104	042
4462 Continental Oil Co	61/06/23	104	000
4462 Continental Oil Co	61/06/23	108	000
1870 Continental Oil Co	56/10/29	104	003
5475 Continental Oil Co	73/06/07	104	003
1885 Continental Oil Co	57/01/01	104	003
1865 Continental Oil Co	57/01/01	104	003
1999 Continental Oil Co	57/11/08	104	003
4729 Continental Oil Co	67/04/20	104	003
6065 Continental Oil Co	76/11/22	104	069
6320 Cotton Petroleum Co	78/02/14	104	009
6218 Cotton Petroleum Co	77/08/31	104	003
5934 Cotton Petroleum Co	76/04/06	104	069
6099 Cotton Petroleum Co	77/01/18	104	003

Appendix C.—*United Gas Pipe Line Co.*—*Continued*

Contract No. and seller name	Date	NGPA	Type
4568 CRA International Ltd	65/01/14	104	003
6638 Crescent Drilling Co., Inc	79/07/27	108	075
6629 Crosby-Mississippi Resources, Ltd	78/07/01	102	000
6629 Crosby-Mississippi Resources, Ltd	78/07/01	103	000
5896 Crow, David, agent	76/01/19	104	077
6605 Crow, David, agent	79/02/13	106	000
5066 Crystal Oil Co	70/12/04	104	003
6194 Crystal Oil Co	77/07/29	103	003
6194 Crystal Oil Co	77/07/29	104	003
5847 Crystal Oil Co	75/05/21	104	003
5939 Crystal Oil Co	76/03/01	104	069
5796 Crystal Oil Co	75/01/16	104	069
4332 Crystal Oil Co	59/10/14	104	074
5918 Crystal Oil Co	75/07/01	104	003
4186 Cullen, Harry R., et al	58/06/15	104	092
6506 Dees, Rutledge H., Jr	78/10/06	104	032
6476 Decalta International Corp	78/08/04	102	096
6476 Decalta International Corp	78/08/04	104	096
4251 Delta Development Co., Inc	59/03/27	102	003
6295 Delta Drilling Co	78/01/27	104	009
6383 Delta Drilling Co	78/05/06	104	009
6535 Delta Drilling Co	78/12/06	104	032
4251 Delta Drilling Co	59/03/27	104	003
6428 Denton, B. G	78/08/24	102	113
6428 Denton, B. G	78/08/24	103	113
6428 Denton, B. G	78/08/24	104	113
1702 Depco, Inc	55/02/09	104	056
5669 Dinero Oil Co	74/03/27	104	003
5277 Dinero Oil Co	72/06/20	104	003
6499 Dinero Oil Co	78/09/19	104	032
5901 Direra, Walter B. III	76/01/01	104	003
6446 Donnell Pipe & Supply Co	78/06/17	104	009
5231 Dorfman, Louis	72/02/16	104	003
6036 Dow Chemical Co	76/08/27	104	069
1276 Driscoll Production Co	49/07/19	104	000
5703 Dunbar, Blaine	74/09/09	104	003
6601 Dynamic Exploration, Inc	79/02/23	109	075
4810 Eason Oil Co	67/11/21	104	099
6367 ECEF, Inc	78/04/27	104	094
1483 Eddy Refining Co	52/01/02	104	003
5373 Ellington, Robert W., Jr	72/12/20	104	003
6200 Enarco Exploration and Management Co	77/07/31	104	003
4986 Energy Corp. of America, Inc	70/04/08	104	003
4747 Energy Corp. of America, Inc	67/07/11	104	003
4980 Energy Corp. of America, Inc	68/10/03	104	003
6102 Energy Corp. of America, Inc	77/01/31	104	003
5637 Energy Corp. of America, Inc	74/03/12	104	003
1010 Energy Reserves Group, Inc	45/11/01	104	003
1010 Energy Reserves Group, Inc	45/11/01	108	003
5574 Engeo Co	73/08/20	104	003
1288 Ensearch Exploration, Inc	49/10/07	104	003
6645 Ensearch Exploration, Inc	79/02/14	107	075
6530 Ensearch Exploration, Inc	78/11/20	104	009
6250 Enterprise Resources, Inc	77/10/21	104	003
1543 Equipment, Inc	52/12/30	104	052
6335 Evans, James P., Jr	78/02/28	104	003
5836 Exchange Oil & Gas Corp	75/05/29	104	032
6269 Exchange Oil & Gas Corp	77/10/24	102	101
6269 Exchange Oil & Gas Corp	77/10/24	104	101
1886 Exchange Oil & Gas Corp	57/01/01	104	000
6583 Exchange Oil & Gas Corp	79/02/12	102	000
4643 Expanded Production Co	66/08/08	104	042
4683 Exxon Co. U.S.A	67/01/24	104	083
6331 Exxon Corp	78/03/07	103	001
4377 Exxon Corp	60/04/26	104	099
4257 Exxon Corp	59/04/20	104	003
6311 Exxon Corp	78/02/09	103	009
1944 Exxon Corp	57/07/18	104	000
5445 Exxon Corp	73/04/30	103	003
5445 Exxon Corp	73/04/30	104	003
4200 Exxon Corp	58/12/06	104	003
6311 Exxon Corp	78/02/09	103	009
1944 Exxon Corp	57/07/18	103	000
1944 Exxon Corp	57/07/18	104	000
6314 Exxon Corp	78/01/23	104	009
4991 Exxon Corp	70/05/05	103	000
4658 Exxon Corp	66/11/03	104	003
5108 Exxon Corp	71/06/07	103	052
5108 Exxon Corp	71/06/07	104	052
5726 Exxon Corp	74/09/23	104	060
5726 Exxon Corp	74/09/23	104	060
4442 Exxon Corp	61/02/23	104	063
6490 Exxon Corp	78/09/20	104	000
6210 Exxon Corp	77/08/11	104	071

Appendix C.—*United Gas Pipe Line Co.*—*Continued*

Contract No. and seller name	Date	NGPA	Type
4264 Exxon Corp	59/05/05	104	000
5880 Exxon Corp	75/11/10	104	077
4186 Exxon Corp	58/06/15	107	042
4358 Exxon Corp	60/02/04	104	003
3100 Exxon Corp	29/12/20	104	112
1589 Faulconer, Vernon E. et al	53/09/11	104	003
4134 Fedderer, Howard C., Jr	58/05/12	104	003
5716 Fields, Bert, Jr	74/07/30	104	003
5716 Fields, Bert, Jr	74/07/30	104	003
4200 Florida Gas Exploration Co	58/12/15	104	003
8025 Ford, Elizabeth H., Mrs	76/07/23	104	079
6272 Forgotson, James M	77/11/29	104	009
5129 Franks, John	71/08/24	104	112
5129 Franks, John	71/08/24	108	112
5017 Franks Petroleum, Inc	70/08/28	104	003
6276 Franks Petroleum, Inc	00/00/00	102	108
6276 Franks Petroleum, Inc	77/12/08	104	108
4630 Franks Petroleum, Inc	66/08/22	104	003
4630 Franks Petroleum, Inc	66/08/22	108	003
4085 Freeport Oil Co	58/06/13	104	000
6565 Frio Production Co	79/01/11	109	000
5320 Frio Production Co	72/08/24	104	003
6003 Gambis-Daniel Operating Co	76/03/19	104	003
5345 Gemini Explorations, Inc	72/01/20	108	003
5345 Gemini Explorations, Inc	72/10/24	104	003
4727 General American Oil Co. of Texas	67/04/20	104	003
5837 General American Oil Co. of Texas	75/06/09	104	003
5837 General American Oil Co. of Texas	75/06/09	104	000
5837 General American Oil Co. of Texas	75/06/09	104	000
4389 General American Oil Co. of Texas	60/06/14	104	003
4818 General American Oil Co. of Texas	68/01/12	104	000
5807 General American Oil Co. of Texas	75/02/12	104	003
6586 General Crude Oil Co	00/00/00	104	050
5355 Gerard, C. H. Coster	72/11/22	104	110
4345 Getty Oil Co	59/12/22	104	002
4346 Getty Oil Co	59/12/28	104	000
6248 Getty Oil Co	77/10/01	104	023
4283 Getty Oil Co	59/05/14	104	026
5881 Getty Oil Co	75/12/09	104	003
5881 Getty Oil Co	75/12/09	104	003
5212 Getty Oil Co	72/02/22	104	003
5212 Getty Oil Co	72/01/25	104	003
5979 Getty Oil Co	76/03/01	103	003
5979 Getty Oil Co	76/03/01	104	003
5979 Getty Oil Co	76/03/01	108	003
5985 Getty Oil Co	76/03/01	104	003
5189 Getty Oil Co	71/12/14	104	042
1371 Getty Oil Co	50/07/21	104	003
4893 Getty Oil Co	68/11/04	104	003
4894 Getty Oil Co	68/11/11	104	000
6140 Getty Oil Co	77/03/28	102	058
6140 Getty Oil Co	77/03/28	104	058
1803 Getty Oil Co	53/11/01	104	003
4506 Getty Oil Co	00/00/00	102	003
4132 Getty Oil Co., superseded by 6439	58/08/15	104	009
6505 Gibson Drilling Co	78/12/11	103	044
5020 Gladstone Gasoline Co	70/09/25	104	045
5297 GMB Gas Corp	72/08/15	104	003
5568 Gohlke, W.L	73/10/22	104	003
6507 Golden Trend Oil & Gas Corp	79/01/12	103	032
6507 Golden Trend Oil & Gas Corp	79/01/12	104	032
6507 Golden Trend Oil & Gas Corp	79/01/12	103	032
6507 Golden Trend Oil & Gas Corp	79/01/12	104	032
5921 Goldking Production Co	76/03/01	104	000
6480 Goldking Production Co	78/09/20	103	093
6480 Goldking Production Co	78/09/20	104	093
5894 Goldsberry, Hood	76/02/02	104	069
5081 Goldsberry, Hood	76/12/26	104	003
5232 Goldston Oil Corp	72/03/10	104	003
5887 Goodrich, H. R	75/12/23	104	003
6548 Goodrich, H. R	79/02/01	103	075
6548 Goodrich, H. R	79/02/01	104	075
6183 Goodrich, H. R	77/07/31	102	003
6183 Goodrich, H. R	77/07/31	104	003
1036 Goodwill, G. Ramon	48/02/01	108	003
5956 Goodwill, G. Ramon	76/03/01	104	003
5994 Goodwill, G. Ramon	76/03/01	104	003
5912 Grady & Poppoto, a partnership	76/02/20	104	069
6484 Grady & Poppoto, a partnership	78/09/11	104	032
4970 Grigsby, Jack W	69/11/19	104	099
5211 Grigsby, Jack W	72/02/03	104	003
1829 Gruy Management Service Co	50/06.19	104	003
4309 Gruy Management Service Co	59/07/27	104	042
5116 Guardian Oil Co	71/06/30	104	003

Appendix C.—*United Gas Pipe Line Co.*—*Continued*

Contract No. and seller name	Date	NGPA	Type
6654 Guernsey Petroleum Corp	00/00/00	109	050
6348 Gulf Coast Minerals Co., Inc	78/03/27	104	009
4654 Gulf Oil Corp	66/09/07	102	003
4654 Gulf Oil Corp	66/09/07	104	003
4468 Gulf Oil Corp	61/09/21	104	000
4468 Gulf Oil Corp	61/09/21	104	003
4468 Gulf Oil Corp	61/09/21	104	003
5028 Gulf Oil Corp	70/12/21	102	036
5028 Gulf Oil Corp	70/12/21	103	036
1052 Gulf Oil Corp	46/04/17	104	016
6420 Gulf Oil Corp	78/06/30	103	009
5020 Gulf Oil Corp	79/09/25	103	045
4779 Gulf Oil Corp	67/09/25	104	003
4106 Gulf Oil Corp	58/07/09	104	003
5828 Gulf Oil Corp	75/06/02	104	003
1043 Gulf Oil Corp	46/03/26	104	003
1043 Gulf Oil Corp	46/03/26	108	003
6043 Gulf Oil Corp	76/12/10	104	080
6263 Gulf Oil Corp	77/06/21	104	080
6263 Gulf Oil Corp	77/06/21	108	080
1043 Gulf Oil Corp	46/03/26	104	003
4401 Gulf Oil Corp	60/07/25	104	003
4485 Gulf Oil Corp	62/01/11	104	003
4103 Gulf Oil Corp	56/07/09	104	003
4103 Gulf Oil Corp	56/07/09	108	003
6052 Gulf Oil Corp	76/10/21	104	069
4118 Gulf Oil Corp	58/07/29	104	000
6219 Gulf Oil Corp	78/06/01	104	003
4142 Gulf Oil Corp	58/06/26	104	003
1884 Gulf Oil Corp., superseded by 6508	57/01/01	104	009
1043 Gulf Oil Corp	46/03/26	104	003
1043 Gulf Oil Corp	46/03/26	108	003
4076 Halbouty, Michel T	58/05/29	104	003
4076 Halbouty, Michel T	58/05/29	108	003
4295 Halbouty, Michel T	59/06/22	104	003
4371 Halbouty, Michel T	60/03/15	104	003
5457 Hall, Frank J	73/05/06	104	003
4159 Hamon, Jake L	58/09/03	104	009
5792 Hampton, Howard	75/01/02	104	003
5713 Hargraves, F. E. & Sons Drilling Co	74/09/19	104	003
6026 Hargrove, Joseph L	76/08/27	104	090
5006 Harris, James W	70/06/23	104	074
6230 Hawthorne Oil & Gas Corp	77/10/03	104	089
6296 Hawthorne Oil & Gas Corp	78/01/03	103	098
6296 Hawthorne Oil & Gas Corp	78/01/03	104	098
5814 Headrick, H. J	75/03/03	104	089
5309 Hewitt, B. Fox, Inc	72/08/04	104	003
5673 Hoffpauir, Thomas C	74/05/13	104	076
6449 Hogan Drilling Co	78/07/24	104	113
1398 Houston Oil & Mineral Corp	60/11/17	104	003
1398 Houston Oil & Mineral Corp	60/11/17	108	003
1561 Houston Oil & Mineral Corp	71/11/04	104	052
5174 Houston Oil & Mineral Corp	71/11/04	104	042
4364 Howell Drilling, Inc	60/02/19	104	003
4364 Howell Drilling, Inc	60/02/19	109	003
1160 Huggs, Gerald E	48/04/07	104	003
1160 Huggs, Gerald E	48/04/08	108	003
6366 Huggs, Gerald E	78/06/16	104	043
4359 Hunt, Lamar	60/01/26	104	000
5550 Hunt, Oil Co	73/09/19	103	003
5550 Hunt, Oil Co	73/09/19	104	003
1083 Hunt, Oil Co	46/08/21	104	003
5181 Hunt, Oil Co	71/11/22	104	042
6560 Hunt, Oil Co	78/12/12	102	032
6093 Hunt, Oil Co	77/01/05	104	000
6093 Hunt, Oil Co	78/07/03	108	000
4114 Hunt, Oil Co	58/07/07	104	000
5992 Hunter Co., Inc	76/03/01	104	003
5186 Hunter Oil, Inc	71/12/10	104	042
5928 Hurbrough, John H	76/03/24	104	003
6315 I M C Exploration Co	78/01/01	104	009
5682 Inexco Oil Co	74/06/26	104	003
6576 Inexco Oil Co	79/02/01	104	033
4989 Inexco Oil Co	70/04/07	104	003
6305 Inexco Oil Co	77/12/30	104	084
6305 Inexco Oil Co	77/12/30	107	084
6459 Inexco Oil Co	78/09/15	104	084
6459 Inexco Oil Co	78/09/15	107	084
5487 Inexco Oil Co	73/05/08	104	069
1276 Intercity Management Corp	49/07/19	108	000
6233 James, D. Austin	77/11/01	104	089
6354 James, Leroy	78/04/11	104	106
6049 Janssen, Nelson	76/10/18	104	003
6291 Janssen, Nelson	78/01/03	104	009
6291 Janssen, Nelson	78/01/03	104	000

Appendix C.—*United Gas Pipe Line Co.* —*Continued*

Contract No. and seller name	Date	NGPA	Type
5863 Jos. R. Fritz Operating Co	75/12/01	104	077
6502 Jos. R. Fritz Operating Co	78/10/02	104	032
5413 Josey, Lenoir M	72/03/30	104	003
5413 Josey, Lenoir M	72/03/30	108	003
6271 Justiss Mears Oil Co., Inc	77/10/05	102	106
6271 Justiss Mears Oil Co., Inc	77/11/30	104	106
6411 K R M Petroleum Corp	78/06/19	104	081
6362 Kadane, G. E. & Sons	78/04/11	104	081
4177 Kellerman, R. E., superseded by 6382	58/10/15	104	009
5236 Kerr McGee Corp	72/03/27	104	042
5454 Kerr McGee Corp	00/00/00	102	032
4316 Kerr McGee Corp	59/08/15	104	099
5160 Kewanee Oil Co	71/08/13	104	042
5891 Kilroy Prop., Inc. & W. S. Kilroy	75/09/02	104	003
5964 Kinsey, Norman V	76/03/01	104	003
5213 Kinsey, Norman V	72/02/14	104	003
4764 Kirby Petroleum Co	67/08/29	104	003
6414 Kissinger Petroleum Corp	78/07/15	102	032
5337 L&B Oil Co., Inc	78/02/01	104	061
4965 Ladd Petroleum Corp	69/11/12	104	003
6078 Ladner, Heber	74/11/24	104	077
5990 Ladner, Hilton L	76/01/19	104	077
4939 Laguna Oil & Gas Co	69/06/27	104	003
5294 Laguna Oil & Gas Co	72/09/18	104	003
5698 Lankford, K. D., Jr	73/12/20	103	003
5698 Lankford, K. D., Jr	73/12/20	104	003
5698 Lankford, K. D., Jr	73/12/20	108	003
4731 Larco Drilling Co	67/05/08	104	003
5943 Latimer, D. C	76/04/01	104	077
6505 Lawbar Petroleum, Inc	78/12/11	103	044
6505 Lawbar Petroleum, Inc. et al	00/00/00	104	044
4281 Leach Bros., Inc	59/05/19	104	003
5260 Leaderbrand, Ralph L	72/05/10	104	003
5260 Leaderbrand, Ralph L	72/05/10	108	003
6356 Liberty Energy Co. of Texas	78/04/10	104	009
6445 Lifestyle Energy Corp	78/08/03	104	032
6500 Loch Arbor Production Co	78/09/20	102	032
6500 Loch Arbor Production Co	78/09/20	103	032
6500 Loch Arbor Production Co	78/09/20	108	032
5056 Logue & Patterson	71/02/01	104	003
5056 Logue & Patterson	71/02/01	108	003
5102 Logue & Patterson	71/04/30	104	003
6457 Logue & Patterson	78/07/20	104	062
6457 Logue & Patterson	78/08/25	103	062
4551 Louisiana Land & Exploration Co	66/09/21	104	003
2676 Louisiana Land & Exploration Co	58/12/12	104	003
4217 Louisiana Land & Exploration Co	59/06/22	104	000
6247 Louisiana Land & Exploration Co	77/10/13	102	056
6247 Louisiana Land & Exploration Co	77/10/13	104	056
6453 Louisiana Land & Exploration Co	78/08/18	102	032
6453 Louisiana Land & Exploration Co	78/08/18	104	032
5263 Lucky Three Oil Co	72/05/24	104	003
5829 Lucky Three Oil Co	75/05/06	104	069
6511 Lynal, Inc	78/10/25	104	032
1269 Lynd, R. L	49/07/01	104	003
1269 Lynd, R. L	49/07/01	108	003
4411 Lynd, R. L	60/11/01	104	003
6438 Lynn, Crosby Gammill et al	78/07/01	104	000
4060 Lyons, C. H., Sr. & Mobil Oil Corp	50/04/14	104	003
5064 Lyons Petroleum	71/03/08	104	003
5801 Lyons Petroleum	75/01/01	104	003
5968 Manziel Bobby	76/05/17	104	003
5509 Marathon Oil Co	73/07/16	104	003
6224 Marathon Oil Co	77/09/12	102	021
6224 Marathon Oil Co	77/09/12	104	021
6399 Marathon Oil Co	78/05/31	103	047
5798 Marathon Oil Co	75/02/10	104	077
5235 Marathon Oil Co	77/10/01	104	000
6393 Marathon Oil Co	78/05/04	104	009
5591 Marathon Oil Co	79/01/31	106	050
0858 Marathon Oil Co	40/04/29	103	082
4412 Marathon Oil Co	60/10/04	104	073
6161 Marion Corp	77/06/09	104	003
5991 Marr, M. H	76/07/01	104	111
6012 Marshall Exploration, Inc	76/09/20	104	003
5888 Marshall Exploration, Inc	75/12/16	104	003
5025 Martin Exploration Co	70/12/10	104	029
5175 Martin Exploration Co	71/10/10	104	000
6024 May Petroleum, Inc	76/09/10	104	069
6580 Maynard Oil Co	79/04/02	104	000
5225 McCain, M. E	72/02/20	104	003
5225 McCain, M. E	72/02/20	104	003
6004 McCarter, A. Nelson	75/12/11	108	089
6004 McCarter, John H., Jr	75/11/12	104	089

Appendix C.—*United Gas Pipe Line Co.—Continued*

Contract No. and seller name	Date	NGPA	Type
6267 McClinton, D. B	77/11/02	104	003
5824 McCord-Goodrich Oil Co	75/04/10	104	003
4883 McCord-Goodrich Oil Co	66/10/04	104	003
5270 McCord-Goodrich Oil Co	72/05/26	104	003
5983 McCormick Oil & Gas Co	75/09/22	104	003
6427 McCormick Oil & Gas Co	78/08/01	104	009
5846 McCulloch Oil Corp. et al	75/06/26	104	003
6181 McFarlane Oil Co., Inc	77/07/21	104	003
6452 McGoldrick Oil Co	78/08/08	103	032
6452 McGoldrick Oil Co	78/08/08	104	032
6151 McGuire, T. W. & Associates, Inc	77/05/12	104	003
6008 McKenna, A. F	76/03/01	104	079
6359 McLean, Harvey	78/04/14	104	009
5293 McLemore, B. Regan	72/06/15	104	003
5555 McMoran Exploration Co	73/10/17	102	003
5555 McMoran Exploration Co	73/10/17	104	003
5757 McMoran Exploration Co	74/08/02	104	003
5711 McMoran Exploration Co	74/09/13	103	057
6406 Mewbourne Oil Co	78/06/26	103	046
6406 Mewbourne Oil Co	78/06/26	109	046
6375 Meyers-Lasher, Inc	78/04/26	104	057
5369 Miles Kimball Co	72/12/12	108	003
4384 Miller, Paul L	60/05/11	104	009
6175 Miller, Wynn O	77/07/15	104	003
1218 Mills, Carol A	49/01/08	104	003
1218 Mills, Carol A	49/01/08	104	003
5802 Mitchell Energy Corp	75/01/01	104	003
5275 Mitchell, R. B	72/06/02	104	018
6536 MK Oil & Gas Inc. et al	78/12/13	103	032
4822 Mobil Oil Corp	67/11/01	104	020
5569 Mobil Oil Corp	73/10/01	104	039
5799 Mobil Oil Corp	75/01/14	104	040
5569 Mobil Oil Corp	73/10/01	104	039
6412 Mobil Oil Corp	78/08/01	104	041
4060 Mobil Oil Corp	50/04/14	104	003
6412 Mobil Oil Corp	78/08/01	104	000
6461 Mobil Oil Corp	78/08/01	104	041
1297 Mobil Oil Corp	49/10/12	104	053
4717 Mobil Oil Corp	67/03/01	104	070
4717 Mobil Oil Corp	67/03/01	108	070
6536 Mobil Oil Corp	78/12/04	108	082
5810 Mobil Oil Corp	75/02/25	104	091
6402 Mobil Oil Corp	78/06/08	102	082
6420 Mobil Oil Corp	78/06/08	104	082
6537 Mobil Oil Corp	78/12/04	105	082
6372 Mobil Oil Corp	78/05/01	104	082
4361 Mobil Oil Corp	60/01/25	104	000
4476 Mobil Oil Corp	61/12/13	104	107
5866 Mobil Oil Corp	75/09/24	104	003
0512 Mobil Oil Corp	31/05/18	104	082
2363 Mobil Oil Corp	37/09/26	104	112
2363 Mobil Oil Corp	37/09/26	108	112
5867 Mobil Oil Corp	75/09/24	104	003
5867 Mobil Oil Corp	75/09/24	108	003
1476 Monsanto Co	51/11/26	104	003
1476 Monsanto Co	89/12/01	104	003
4052 Monsanto Co	58/04/01	104	000
4176 Monsanto Co	58/10/27	104	000
5705 Monsanto Co	74/08/06	104	089
5755 Monsanto Co	74/11/31	104	089
1286 Monsanto Co	49/09/30	104	073
6501 Moore-McCormick Oil & Gas Corp	78/12/08	103	032
5308 Mormac Oil & Gas Co	72/08/16	104	003
4374 Morris, Oil	60/07/06	104	000
1515 Morris, Joseph S	56/05/01	104	003
1762 Mosbacher, Robert	55/09/14	104	003
6458 Mosbacher, Robert	78/08/26	102	032
6458 Mosbacher, Robert	78/08/26	104	032
5278 Mueller, Joseph P	72/07/12	104	003
6614 Murjo Oil & Royalty Co	00/00/00	109	032
5256 Murphy Oil Corp	72/04/24	104	003
5890 National Exploration Co	75/03/04	104	056
4288 Natural Gas Electronics CR	54/06/10	104	003
0589 Nemours Corp	31/07/17	108	112
0589 Nemours Corp	31/09/17	103	112
0589 Nemours Corp	31/09/17	104	112
4845 Newmont Oil Co	67/11/01	104	003
5170 Noe, James A	72/01/20	104	003
5170 Noe, James A	72/01/20	108	003
5836 Northcott Exploration Corp, Inc	75/07/09	104	003
2672 Northern Michigan Exploration Co	57/12/11	104	005
5892 Northern Michigan Exploration Co	75/12/31	104	003
4946 Northridge Oil Co	60/07/30	104	003
5804 Norton Oil Co., Inc	75/02/05	104	077
5804 Norton Oil Co., Inc	75/02/05	108	077
6592 Nowery, James R	79/02/13	106	050

Appendix C.—*United Gas Pipe Line Co.—Continued*

Contract No. and seller name	Date	NGPA	Type
6079 Ocean Production Co	78/09/09	102	003
6079 Ocean Production Co	78/09/09	104	003
6394 Omega Minerals, Inc	78/06/09	103	062
6394 Omega Minerals, Inc	78/06/09	104	062
6394 Omega Minerals, Inc	78/06/09	108	062
6349 Orb, B. B	78/04/04	104	009
4616 Osborn, W. B., Jr	66/04/27	104	003
6307 Overly Operating Co	78/01/18	104	000
6265 Pano Tech Exploration Corp	77/11/09	104	003
5718 Par Oil Corp	74/10/14	104	003
5022 Par Oil Corp	70/09/01	104	003
5022 Par Oil Corp	70/09/01	108	003
5149 Par Oil Corp	71/08/09	104	074
5149 Par Oil Corp	71/08/09	108	074
5437 Par Oil Corp	73/04/02	104	003
5437 Par Oil Corp	73/04/02	108	003
4687 Parade Co	67/01/31	104	000
5757 Pel-Tex Petroleum Co., Inc	74/08/02	103	003
5932 Pennzoil Louisiana & Texas Offshore	76/04/05	104	035
5973 Pennzoil Louisiana & Texas Offshore	76/06/10	104	058
5975 Pennzoil Louisiana & Texas Offshore	76/06/10	104	058
6253 Pennzoil Louisiana & Texas Offshore	78/02/01	102	000
6253 Pennzoil Louisiana & Texas Offshore	78/02/01	104	000
6256 Pennzoil Louisiana & Texas Offshore	78/02/01	104	035
6366 Pennzoil Louisiana & Texas Offshore	78/05/16	102	000
6366 Pennzoil Louisiana & Texas Offshore	78/05/16	104	000
6366 Pennzoil Louisiana & Texas Offshore	78/05/16	104	000
5931 Pennzoil Oil & Gas, Inc	76/04/05	104	035
5764 Pennzoil Oil & Gas, Inc	74/11/15	104	058
5971 Pennzoil Oil & Gas, Inc	76/06/10	104	058
6251 Pennzoil Oil & Gas, Inc	78/02/01	102	035
6251 Pennzoil Oil & Gas, Inc	78/02/01	104	035
6254 Pennzoil Oil & Gas, Inc	78/02/01	104	035
6550 Pennzoil Oil & Gas, Inc	78/05/16	102	097
6551 Pennzoil Oil & Gas, Inc	78/05/16	102	000
6552 Pennzoil Oil & Gas, Inc	78/12/26	104	097
6553 Pennzoil Oil & Gas, Inc	78/12/26	104	097
2670 Pennzoil Producing Co	57/09/20	102	005
2670 Pennzoil Producing Co	57/09/20	103	005
2670 Pennzoil Producing Co	57/09/20	104	005
6437 Pennzoil Producing Co	78/06/26	104	012
6437 Pennzoil Producing Co	78/06/26	107	012
2658 Pennzoil Producing Co	55/04/06	104	016
5725 Pennzoil Producing Co	74/10/07	104	003
6425 Pennzoil Producing Co	78/06/26	104	012
5425 Pennzoil Producing Co	78/06/26	104	012
2676 Pennzoil Producing Co	56/12/12	103	003
2676 Pennzoil Producing Co	56/12/12	104	003
2686 Pennzoil Producing Co	64/05/04	104	005
2679 Pennzoil Producing Co	59/10/30	104	005
2658 Pennzoil Producing Co	55/04/06	104	016
2658 Pennzoil Producing Co	55/04/06	104	016
2658 Pennzoil Producing Co	55/04/06	104	016
6563 Pennzoil Producing Co	79/12/23	104	027
2692 Pennzoil Producing Co	67/02/06	103	005
2692 Pennzoil Producing Co	67/06/02	104	005
6430 Pennzoil Producing Co	78/07/12	102	012
6430 Pennzoil Producing Co	78/07/12	104	012
2676 Pennzoil Producing Co	56/12/12	104	000
6191 Pennzoil Producing Co	77/07/29	102	034
6191 Pennzoil Producing Co	77/07/29	103	034
6191 Pennzoil Producing Co	77/07/29	104	034
6196 Pennzoil Producing Co	77/07/29	107	034
2723 Pennzoil Producing Co	73/09/28	104	037
2705 Pennzoil Producing Co	71/12/23	104	005
2705 Pennzoil Producing Co	71/12/23	103	005
2705 Pennzoil Producing Co	71/21/23	104	005
5961 Pennzoil Producing Co	76/03/01	102	003
5961 Pennzoil Producing Co	76/03/01	103	003
5961 Pennzoil Producing Co	76/03/01	104	003
5961 Pennzoil Producing Co	76/03/01	108	003
6566 Pennzoil Producing Co	78/09/20	102	012
6566 Pennzoil Producing Co	79/01/23	103	012
2704 Pennzoil Producing Co	71/12/23	104	005
2703 Pennzoil Producing Co	71/12/23	104	005
2698 Pennzoil Producing Co	70/07/28	102	005
2698 Pennzoil Producing Co	70/07/28	103	005
2698 Pennzoil Producing Co	70/07/28	104	005
2698 Pennzoil Producing Co	70/07/28	108	005
5925 Pennzoil Producing Co	75/03/01	108	003
5925 Pennzoil Producing Co	76/03/01	104	003
2683 Pennzoil Producing Co	60/04/21	104	005
2568 Pennzoil Producing Co	44/04/27	104	005
2695 Pennzoil Producing Co	68/11/11	103	005
2695 Pennzoil Producing Co	68/11/11	104	005
2586 Pennzoil Producing Co	62/01/31	102	005
2586 Pennzoil Producing Co	62/01/31	104	005

Appendix C.—*United Gas Pipe Line Co.—Continued*

Contract No. and seller name	Date	NGPA	Type
2628 Pennzoil Producing Co	50/12/29	102	064
2628 Pennzoil Producing Co	50/12/29	104	064
2621 Pennzoil Producing Co	50/01/09	104	005
2621 Pennzoil Producing Co	50/01/09	108	005
5784 Pennzoil Producing Co	74/12/11	104	003
6426 Pennzoil Producing Co	78/06/26	104	012
2605 Pennzoil Producing Co	47/10/15	104	005
2678 Pennzoil Producing Co	59/08/06	104	005
2687 Pennzoil Producing Co	62/03/15	104	109
5721 Pennzoil Producing Co	74/10/07	104	003
2706 Pennzoil Producing Co	71/12/23	104	005
2701 Pennzoil Producing Co	71/12/23	104	005
2701 Pennzoil Producing Co	71/12/23	108	005
5865 Pennzoil Producing Co	75/07/01	104	003
2726 Pennzoil Producing Co	73/05/24	103	005
2726 Pennzoil Producing Co	73/05/24	104	005
2726 Pennzoil Producing Co	73/05/24	108	005
2727 Pennzoil Producing Co	73/05/24	108	005
5864 Pennzoil Producing Co	75/07/01	104	003
5864 Pennzoil Producing Co	75/07/01	108	003
2716 Pennzoil Producing Co	72/11/06	102	005
2716 Pennzoil Producing Co	72/11/06	103	005
2716 Pennzoil Producing Co	72/11/06	104	005
2716 Pennzoil Producing Co	72/11/06	108	005
3100 Pennzoil Producing Co	29/12/20	103	112
3100 Pennzoil Producing Co	29/12/20	108	112
4903 Penton & Penton	66/12/30	104	042
6188 Petro-Lewis Corp	77/07/12	104	003
4061 Petro-Lewis Corp	56/04/14	104	003
6188 Petro-Search, Inc	77/07/12	103	003
4520 Petro-Search, Inc	63/07/02	104	000
6277 Petrofunds, Inc	77/12/15	104	108
0734 Petroleum Corp. of Texas	35/05/12	104	003
6325 Phillips, Jack L	78/04/11	104	009
4816 Phillips Petroleum Co	57/12/20	102	038
4816 Phillips Petroleum Co	57/12/20	104	038
6489 Phillips Petroleum Co	78/09/22	102	032
6145 Phillips Petroleum Co	77/05/01	102	086
6145 Phillips Petroleum Co	77/05/01	103	086
6355 Phillips Petroleum Co	78/02/25	103	085
4323 Phillips Petroleum Co	59/09/09	104	099
5105 Phillips Petroleum Co	71/10/07	104	083
5101 Phillips Petroleum Co	71/05/10	104	083
5069 Phillips Petroleum Co. et al	71/03/15	104	083
1036 Phillips Petroleum Corp	45/02/01	104	003
5013 Phoenix Resources Co	70/07/30	104	003
6192 Pintail Mineral Corp	77/07/25	104	003
6192 Pintail Mineral Corp	77/07/25	108	003
5790 Pinto, Inc	75/01/02	104	037
6368 Pinto, Inc	78/04/27	104	037
6370 Pinto, Inc	78/04/27	104	094
6047 Pioneer Production Corp	76/10/06	104	003
5959 Pioneer Production Corp	76/04/28	104	089
5364 Pirtle, George W	70/05/23	104	003
6384 Placid Oil Co	78/05/12	104	009
5972 Pogo Producing Co	76/06/10	104	058
5974 Pogo Producing Co	76/06/10	104	058
6019 Pogo Producing Co	76/09/01	104	058
6020 Pogo Producing Co	76/09/01	104	035
6252 Pogo Producing Co	78/02/01	102	035
6252 Pogo Producing Co	78/02/01	104	035
6255 Pogo Producing Co	78/02/01	104	035
6554 Pogo Producing Co	79/01/12	102	097
6555 Pogo Producing Co	78/05/16	102	000
6556 Pogo Producing Co	78/05/16	102	000
6556 Pogo Producing Co	79/01/12	104	097
6557 Pogo Producing Co	79/12/12	104	097
6022 Pogo Producing Co	76/09/01	104	035
5046 Prentice Oil & Gas Co	71/01/21	104	016
6001 R. Lacy, Inc	76/03/01	104	016
1276 Rogers Oil & Gas Co	49/07/19	104	003
1396 Rogers Oil & Gas Co	50/11/09	104	003
6661 Raider Oil Co	79/05/08	103	000
1274 RDA Petroleum, Inc	49/07/15	104	003
4462 RDA Petroleum, Inc	51/08/23	104	000
5311 RDA Petroleum, Inc	72/08/04	104	003
5157 Reico Exploration Co., Inc	71/07/22	104	003
5117 Reserve Oil & Gas Co	71/05/28	104	003
5117 Reserve Oil & Gas Co	71/05/28	108	003
1039 Roberts & Murphy, Inc	46/03/23	104	000
5950 Robinson, George A	76/01/01	104	089
4129 Robinson, L L	58/07/27	104	000
5818 Rogers, Helena Fox W	75/03/14	104	077
1821 Rosett & Moise, Inc	54/03/10	104	003

Appendix C.—*United Gas Pipe Line Co.—Continued*

Contract No. and seller name	Date	NGPA	Type
6455 Ross & Glenn Petroleum, Inc	79/02/14	102	106
6590 Ross & Glenn Petroleum, Inc	79/02/14	104	075
1271 Rowe, W. Earl	49/07/15	104	003
6571 Rutherford, P.R	79/01/08	106	017
6494 S P G Operating Co	78/10/23	102	032
6494 S P G Operating Co	78/10/23	104	032
1050 S S C Gas Producing Co	46/06/17	104	000
6518 SA-Gu Corp	78/11/02	103	032
6518 SA-Gu Corp	78/11/02	104	032
8432 Sabine Production Co	78/07/24	104	032
6462 Saga Petroleum, Inc	78/06/15	102	000
6462 Saga Petroleum, Inc	78/06/15	103	000
1589 Samedan Oil Corp	53/09/11	104	003
6341 San Antonio Oil & Gas Corp	78/01/17	104	003
4098 Sands, Caroline Hunt	58/06/24	104	000
4697 Sand, Loyd B	67/02/17	104	000
6329 Scanlon, Lee C	77/12/27	104	003
4208 Schimmel Oil Co	58/12/15	104	003
5548 Schlachter, David A	73/09/10	104	000
5696 Scogin, Arlis D	74/08/09	104	089
5683 Scott, Francis W., estate of	74/06/28	104	003
5993 Scott, Francis W., estate of	76/03/01	104	003
4432 Shields, Fred W	60/12/27	104	000
6570 Shelby, Michael H	78/04/01	104	009
6570 Shelby, Michael H	78/04/01	104	009
4844 Shell Oil Co	66/02/21	104	006
4937 Shell Oil Co	69/06/30	104	007
5855 Shell Oil Co	75/08/14	104	008
4297 Shell Oil Co	59/06/29	104	000
4298 Shell Oil Co	59/08/04	104	006
4270 Shell Oil Co	59/04/30	104	006
6624 Shell Oil Co	79/05/01	104	025
6624 Shell Oil Co	79/05/01	106	025
6619 Shell Oil Co	79/05/01	106	025
4268 Shell Oil Co	59/04/30	103	006
6621 Shell Oil Co	79/05/01	104	025
6621 Shell Oil Co	79/05/01	105	025
4269 Shell Oil Co	59/06/29	104	006
4271 Shell Oil Co	59/05/01	104	006
6623 Shell Oil Co	79/05/01	106	025
5190 Shell Oil Co	71/12/27	104	006
5192 Shell Oil Co	71/12/29	104	006
5143 Shell Oil Co	71/08/09	104	006
6622 Shell Oil Co	79/05/01	104	025
6622 Shell Oil Co	79/05/01	108	025
4753 Shell Oil Co	67/07/27	104	003
6620 Shell Oil Co	79/05/01	104	025
6620 Shell Oil Co	79/05/01	106	025
4302 Shell Oil Co et al	59/06/29	103	000
6562 Shettle, George O	79/02/05	104	000
4432 Shield, Fred W	61/01/01	104	016
0523 Shield, Fred W	29/10/15	108	003
0523 Shovan Gas Production Co. et al	29/10/15	104	003
5520 Sierra Oil & Gas Corp	74/04/25	104	003
4609 Singer-Fleishaker Oil Co	66/03/07	104	003
1587 Smith, Charles R. et ux	53/07/23	104	089
6479 Smith Petroleum Co	78/09/06	104	032
6321 Sohio Petroleum Co	78/01/31	104	009
6606 Sotrana Corp	00/00/00	109	075
5171 South Central Natural Gas Corp	71/12/06	108	003
5171 South Coast Oil, Inc	71/12/06	104	003
6029 South Louisiana Production Co., Inc	76/09/14	104	090
5945 South Louisiana Production Co., Inc	76/04/19	104	003
5970 South Louisiana Production Co	76/05/25	104	003
6041 South Louisiana Production Co	76/10/13	104	003
5515 South States O & G Co	73/06/05	104	003
6298 Southern Natural Gas Co	78/01/06	104	031
5906 Southern Natural Gas Co	74/11/01	104	078
5280 Southern Natural Gas Co	72/06/23	104	042
4995 Southern Natural Gas Co	70/04/14	104	003
8433 Southwestern Electric Power Co	00/00/00	104	032
5712 Southwestern Electric Power Co	74/09/25	104	089
5402 Southwestern Electric Power Co	73/03/15	104	003
6441 Soverign Exploration Co	78/07/12	102	009
6441 Soverign Exploration Co	78/07/12	103	009
6441 Soverign Exploration Co	78/07/12	104	009
6418 Stack, J.E., Jr	78/06/21	104	009
6013 Stanwood Corp	76/08/13	104	003
6649 Staples, James W	79/04/26	106	000
1402 Starrett, C.E	50/12/21	104	003
5099 Strahan, O. & G Co., Inc	71/05/20	104	003
5169 Strahan, O & G Co., Inc	71/10/26	104	003
5987 Striff, Harry & Robert	76/04/01	104	003
6036 Suburban Propane Gas Corp	76/10/19	104	089

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Appendix C.—*United Gas Pipe Line Co.*—*Continued*

Contract No. and seller name	Date	NGPA	Type
6216 Summers, Frank J. II	77/08/23	104	003
4067 Sun Oil Co	58/05/01	103	003
4067 Sun Oil Co	58/05/01	104	003
4617 Sun Oil Co	66/04/28	104	003
4326 Sun Oil Co	59/06/24	104	000
6155 Sun Oil Co	77/05-13	104	003
5995 Sun Oil Co	76/08/01	104	003
5996 Sun Oil Co	76/03/01	104	003
5996 Sun Oil Co	76/08/01	102	003
5996 Sun Oil Co	76/08/01	103	003
5061 Sun Oil Co	71/04/16	104	045
4393 Sun Oil Co	60/06/20	104	003
5113 Sun Oil Co	71/06/17	103	052
5113 Sun Oil Co	71/06/17	104	052
1278 Sun Oil Co	49/07/19	104	054
1530 Sun Oil Co	52/08/21	104	054
5628 Sun Oil Co	73/08/23	104	009
1270 Sun Oil Co	49/07/15	104	003
4185 Sun Oil Co	58/07/11	104	003
4898 Sun Oil Co	68/12/03	104	003
5529 Sun Oil Co	73/06/23	104	000
1293 Sun Oil Co	49/10/23	104	003
1293 Sun Oil Co	49/10/28	102	003
1141 Sun Oil Co	47/05/28	103	064
4921 Sun Oil Co	69/04/14	102	003
4921 Sun Oil Co	69/04/14	103	003
4921 Sun Oil Co	69/04/14	104	003
4626 Sun Oil Co	66/06/10	104	003
5783 Sun Oil Co	74/12/01	103	003
5783 Sun Oil Co	74/12/01	104	003
4379 Sun Oil Co	60/02/15	104	000
4632 Sun Oil Co	66/07/01	104	003
6469 Sun Oil Co	78/07/12	104	009
6473 Sun Oil Co	78/08/01	104	102
6473 Sun Oil Co	78/08/01	102	102
6473 Sun Oil Co	78/08/01	104	102
4238 Sun Oil Co	59/11/17	104	074
5686 Sun Oil Co	74/06/29	104	089
5832 Sun Oil Co	75/07/01	104	003
4147 Superior Oil Co	58/09/08	103	003
4147 Superior Oil Co	58/09/08	104	003
5756 Superior Oil Co	74/10/18	104	003
1878 Superior Oil Co	57/02/05	104	003
1899 Superior Oil Co	57/03/21	104	003
6310 Superior Oil Co	78/01/30	107	011
4147 Superior Oil Co	58/09/08	104	000
4147 Superior Oil Co	58/09/08	103	000
4147 Superior Oil Co	59/09/08	107	000
4703 Superior Oil Co	67/02/22	103	003
4703 Superior Oil Co	67/02/22	104	003
6436 Superior Oil Co	67/02/22	103	011
4203 Superior Oil Co	58/12/09	102	011
4203 Superior Oil Co	58/12/09	104	011
4733 Superior Oil Co	67/05/19	104	011
4445 Superior Oil Co	61/03/21	104	099
4157 Superior Oil Co., superseded by 6517	58/09/24	104	011
6374 T. J. Wintermute	78/04/24	104	057
6284 T. L. James & Co., Inc	77/12/08	104	009
6284 T. L. James & Co., Inc	77/12/08	104	009
4310 T. L. James & Co., Inc	59/07/10	104	003
4094 Taggart, George K., Jr	58/07/02	104	059
6365 TBP Offshore Co	78/04/27	104	094
6373 TBP Offshore Co	78/04/27	104	094
6528 Tee Operating Co	79/01/12	102	000
6528 Tee Operating Co	79/12/12	104	000
5527 Teel, Roy M	73/08/27	108	003
5527 Teel, Roy M	73/08/22	104	003
6285 Tenneco Oil Co	77/12/21	104	024
0451 Tenneco Oil Co	30/10/23	103	003
0451 Tenneco Oil Co	30/10/23	104	003
5005 Tenneco Oil Co	70/08/12	104	016
5598 Tenneco Oil Co	73/12/12	104	003
0451 Tenneco Oil Co	30/10/23	104	003
5005 Tenneco Oil Co	70/08/12	104	016
5005 Tenneco Oil Co	70/08/12	108	016
5598 Tenneco Oil Co	73/12/12	104	003
1042 Tenneco Oil Co	46/03/19	104	003
5590 Tenneco Oil Co	73/11/16	104	003
4053 Tenneco Oil Co	58/03/31	103	026
4053 Tenneco Oil Co	58/03/31	104	026
5591 Tenneco Oil Co	73/01/16	104	003
5628 Tenneco Oil Co	74/02/20	104	003
6032 Terra Resources, Inc	76/11/04	104	030
5819 Terra Resources, Inc	75/03/27	104	077
5033 Tesoro Petroleum Corp	76/10/12	104	090
4712 Texaco, Inc	67/03/07	102	014
4712 Texaco, Inc	67/03/07	104	014
4998 Texaco, Inc	69/01/13	104	015
5570 Texaco, Inc	73/10/18	104	019
6226 Texaco, Inc	77/08/25	104	021
4386 Texaco, Inc	60/06/02	104	003
4171 Texaco, Inc	58/10/20	104	003
5980 Texaco, Inc	76/04/27	104	003
0516 Texaco, Inc	27/12/01	104	003
5704 Texaco, Inc	74/08/23	104	003
0516 Texaco, Inc	27/12/01	104	003
5027 Texaco, Inc	70/12/21	104	003
5704 Texaco, Inc	74/08/23	104	003
5704 Texaco, Inc	74/08/23	108	003
6309 Texaco, Inc	78/01/26	103	048
5114 Texaco, Inc	71/06/21	104	052
4293 Texaco, Inc	59/07/07	104	055
1343 Texaco, Inc	50/04/03	104	003
4567 Texaco, Inc	65/09/03	104	003
5781 Texaco, Inc	74/12/17	104	088
5781 Texaco, Inc	74/12/17	108	088
4711 Texaco, Inc	67/03/07	104	003
4675 Texaco, Inc	00/00/00	102	003
4675 Texaco, Inc	00/00/00	108	003
4675 Texaco, Inc	67/03/07	104	003
4237 Texaco, Inc	59/03/10	104	104
6407 Texas Energy Exploration, Inc	78/06/12	103	009
6407 Texas Energy Exploration, Inc	78/06/12	104	009
6648 Texas Energy Exploration, Inc	00/00/00	108	000
6648 Texas Energy Exploration, Inc	79/05/18	107	000
5214 Texas Gas Exploration Corp	72/02/18	104	042
5082 Texas International Petroleum Corp	70/10/11	104	003
1157 Texas Oil & Gas Corp	48/03/29	104	003
4213 Texas Oil & Gas Corp	58/12/31	104	002
6572 Texas Pacific Oil Co., Inc	79/01/15	103	000
6369 Texas Production Co	78/04/27	104	094
6640 Texlan Oil Company, Inc	79/04/04	109	075
5416 Texoil Co. et al	00/00/00	102	028
5203 Thomason, D	72/01/25	104	003
5203 Thomason, D	72/01/25	104	003
4981 Thompson, J. Cleo O	69/10/09	104	003
4981 Thompson, J. Cleo O	69/10/09	109	003
1209 Three S & T Oil Co	49/01/13	104	006
6492 Transcontinental Exploration Co., Inc	78/10/16	104	032
1636 Transocean Oil, Inc	54/05/04	104	000
6435 Trident Oil & Gas Corp	78/07/14	102	106
6435 Trident Oil & Gas Corp	78/07/14	104	106
6069 Trident Oil & Gas Corp	76/12/03	104	090
4895 Turner, J. S	68/12/02	104	003
4853 Union Oil Co. of California	68/10/14	104	003
1365 Union Oil Co. of California	51/11/01	104	003
4353 Union Oil Co. of California	60/01/05	103	003
4353 Union Oil Co. of California	60/01/05	104	003
5107 Union Oil Co. of California	71/06/08	103	052
5107 Union Oil Co. of California	71/06/08	104	052
5187 Union Oil Co. of California	71/11/23	104	042
6160 Union Oil Co. of California	77/05/20	104	003
6389 Union Oil Co. of California	78/05/15	102	103
6389 Union Oil Co. of California	78/05/15	104	103
5854 Union Oil Co. of California	75/08/07	104	003
6243 Union Texas Petroleum	77/10/06	104	003
6471 Vanderbilt Energy Corp	78/08/29	104	032
5920 Various Small Producers	76/02/03	104	003
6323 Vasser, D. E	78/02/10	104	003
6371 VSEA, Inc	78/04/27	104	094
4856 Walker, Tigner	68/05/08	104	003
5488 Walker, Tigner	73/08/01	104	003
6009 Wall, Lallage Frazel	76/03/01	104	003
4951 Warner, Guy L	69/08/11	104	002
5018 Warren Petroleum Corp	70/09/25	104	045
6167 Watson Oil Corp	77/07/31	104	000
6234 Watson Oil Corp	77/09/06	104	003
6460 Watson Oil Corp	00/00/00	104	032
6401 Watson Oil Corp	78/06/09	104	049
5877 Weaver, Curt	75/10/01	104	003
6410 Weitman, Louis H	78/06/27	104	032
4414 Wheless Industries, Inc	60/10/06	104	074
4496 Whitaker, Douglas	62/05/07	104	000
6334 William, S. Evans	78/02/28	104	003
4806 Wilson, Fred Drilling Co., Inc	65/12/03	104	000
6203 Wintershall Oil & Gas Co	77/08/17	104	095
6475 Wm. T. Burton Industries, Inc	57/05/25	104	009
5199 Woodlin, D. F	72/12/15	104	042
1331 Woods, Harold L	50/02/24	104	112
1331 Woods, Harold L	69/12/02	108	112
6608 Woolf & Magee, Inc	78/03/20	109	000
6356 Zenith Exploration Co	78/04/10	103	009
1227 Zephyr Oil Co	49/03/25	104	003

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BILLING CODE 6450-01-M

[Docket Nos. RP80-8 and RP79-8]

Kansas-Nebraska Natural Gas Co., Inc.; Order Accepting for Filing and Suspending Proposed Rate Increase, Subject to Conditions, Rejecting Certain Proposed Tariff Sheets Without Prejudice, Granting Waiver, Consolidating Proceedings, Establishing Procedures and Granting Intervention

November 30, 1979.

On October 31, 1979, Kansas-Nebraska Natural Gas Company, Inc. (K–N) filed revised tariff sheets [1] reflecting an increase in its jurisdictional rates to provide an increase in annual revenues of $3,029,266 or approximately 6.3% above revenues at rates currently in effect subject to refund in Docket No. RP79–8. The proposed rates are based on actual data during the twelve month period ending June 30, 1979, as adjusted for changes in costs and revenues known and measurable through March 31, 1980. The proposed effective date of the tariff sheets is December 1, 1979.

K–N's filing includes claimed cost increases related to plant additions in excess $29 million, increased operating expenses including higher costs of labor, increased income, payroll and property taxes, and increased gas supply and royalty costs. K–N proposes a rate of return of 11.45% which includes a 14.50% allowance on common equity comprising 50.10% of the company's total capitalization.

Public notice of the instant filing was issued on November 6, 1979, providing for protests or petitions to intervene to be filed on or before November 26, 1979. A timely petition to intervene was filed by Peoples Natural Gas Division of Northern Natural Gas Company (Peoples) on November 13, 1979. Peoples has demonstrated an interest in this proceeding not otherwise protected and its participation may be in the public interest. Accordingly, we shall grant its petition to intervene.

Based upon a review of K–N's filing the Commission finds that the proposed rate increase has not been shown to be just and reasonable, and may be unjust, unreasonable, unduly discriminatory, or otherwise unlawful. Accordingly, the Commission will accept K–N's Eleventh Revised Sheet No. 4, suspend its effectiveness for five months until May 1, 1980 subject to refund and the conditions set forth below, and set the matter for hearing. Further, for the reasons set forth below, we will reject without prejudice proposed Second Revised Sheet No. 25, Second Revised Sheet No. 26, Second Revised Sheet No. 26–A and First Revised Sheet No. 26B to Third Revised Volume No. 1.

K–N's proposed tariff sheets reflect changes to Section 19 of the General Terms and Conditions of its FERC Gas Tariff, which would provide for the tracking of increased gas-well royalties attributable to company-owned production which is priced on a cost of service basis, and for the tracking of changes in prices of company-owned production not priced on a cost of service basis. K–N request waiver of Section 154.63(e)(2)(ii) of the Commission's Regulations to permit the inclusion in the instant filing of costs related to proposed gas supply and other facilities which are currently pending Commission certification in K–N's most recent budget-type application. K–N anticipates that such facilities will be authorized and in service by the end of the test period.

K–N states that the base tariff rates included in the instant filing reflect the current average cost of purchased gas included in its latest PGA filing proposed to be effective December 1, 1979. However, K–N states that it intends to file a request with the Commission to withdraw such PGA filing, as it is required to file a tariff sheet reflecting a reduced PGA effective January 1, 1980, pursuant to Commission Order No. 49 in Docket No. RM79–14 to implement incremental pricing on K–N's system. K–N believes such procedure would relieve a burden on is wholesale customers who are faced with filing back to back rate adjustments with their state commissions. K–N states its intention to request the Commission's permission to refile its annual PGA at the end of November, 1979, to become effective January 1, 1980, in conjunction with the implementation of incremental pricing on its system. K–N states that it intends to file substitute tariff sheets to reflect the current average cost of purchased gas contained in any PGA filing which is effective as of the effective date of the instant filing. While it believes that such procedure is not in violation of Commission Order No. 16, K–N requests such waivers as the Commission may deem necessary.

K–N's request for such waivers as may be necessary to permit the inclusion in its filed rates of the level of purchased gas cost reflected in its latest PGA filing is reasonable in view of the fact that K–N will restate its rates to reflect only such PGA costs as have been authorized at the time its rates are placed into effect. Accordingly, the request is granted.

K–N's proposal to track changes in royalty costs associated with cost-of-service priced company-owned production is in conflict with the Commission's Regulations. Section 154.38(d)(3) provides that no permanent automatic rate adjustment provision shall be permitted except for purchased gas and research and development expenditures. Accordingly, the tariff sheets setting forth such proposal shall be rejected. However, the propriety of this tracking provision for possible prospective approval may be explored in these proceedings.[2]

K–N requests waiver of the Commission's Regulations to include in its filing costs related to facilities pending Commission certification. The Commission will grant waiver of 154.63(e)(2)(ii) of the Commission's regulations subject to the condition that revised tariff sheets be filed eliminating costs related to any facilities not in

[1] Eleventh Revised Sheet No. 4, Second Revised Sheet No. 25, Second Revised Sheet No. 26, Second Revised Sheet No. 26–A and First Revised Sheet No. 26B to its FERC Gas Tariff, Third Revised Volume No. 1.

[2] Kansas-Nebraska's companion proposal to track changes in the cost of company-owned production *not* priced on a cost of service basis (i.e. on a parity basis with gas produced by independent producers) is consistent with current Commission policy. Section 154.38(d)(4) (footnote 1) permits recovery through the PGA clause of the costs of pipeline-owned production which "qualifies for and is being afforded area or nationwide rate treatment or is otherwise being afforded rate treatment as though the gas were being produced by an independent producer." (See also Notice of Rulemaking issued November 14, 1979, in Docket No. RM80–8.) Accordingly, rejection of the tariff sheets reflecting the gas well royalty cost tracking provision is without prejudice to Kansas-Nebraska's right to amend its PGA clause to track any of its own production valued on an independent producer parity basis as set forth above.

service as of March 31, 1980. The company shall also adjust its rates to reflect the actual balances of advance payments in Account 166 on that date, provided that the inclusion of a higher advance payments balance shall not be permitted to increase the level of the original suspended rates. This waiver is granted upon the condition that K–N shall not be permitted to make off-setting adjustments other than those made pursuant to Commission approved tracking provisions, those adjustments required by this order and those required by other Commission orders.

As previously noted, K–N has a prior increase pending in Docket No. RP79–8. A review of the instant filing reveals that the two proposals contain similar issues of fact and law. Accordingly, they shall be consolidated for purposes of hearing and decision.

The Commission Orders: (A) Pursuant to the authority of the Natural Gas Act, particularly sections 4, 5, 8, and 15 thereof, and the Commission's rules and regulations, a public hearing shall be held concerning the lawfulness of the increased rates proposed by Kansas-Nebraska.

(B) Pending hearing and decision, and subject to the conditions enumerated in this order, Kansas-Nebraska's Eleventh Revised Sheet No. 4 is accepted for filing and suspended for five months until May 1, 1980 at which time it may become effective, subject to refund, in the manner prescribed by the Natural Gas Act, subject to the conditions set forth below.

(C) Waiver of § 154.63(e)(2)(ii) is granted upon the condition that Kansas-Nebraska file substitute revised tariff sheets to reflect: (1) the elimination of costs associated with facilities not in service on or before March 31, 1980; (2) the inclusion in the base rate of the current average purchased gas costs reflected in Kansas-Nebraska's then effective PGA; (3) the actual balance in Account 166 as of March 31, 1980; and (4) the effective GRI Funding Unit on March 31, 1980. This waiver is granted upon the further condition that Kansas-Nebrasks shall not be permitted to make offsetting adjustments to the suspended rates prior to hearing, except for those adjustments made pursuant to Commission approved tracking provisions, those adjustments required by this order, and those adjustments required by other Commission orders. Reflection of the actaul advance payments balance in Account 166 in the rates shall not be permitted to increase the overall level of original suspended rates in this docket.

(D) Kansas-Nebraska's Second Revised Sheet No. 25, Second Revised Sheet No. 26, Second Revised Sheet No. 26–A and First Revised Sheet No. 26B to Kansas-Nebraska's FERC Gas Tariff, Third Revised Volume No. 1 which contain provisions permitting tracking of royalty cost related to company-owned production are rejected without prejudice to the parties presenting evidence in this proceeding as to the propriety of such provisions. This rejection is also without prejudice to Kansas-Nebraska's right to amend its PGA clause to track costs associated with its own production valued on a producer parity, non-cost of service basis, as prescribed by § 154.38(d)(4) (footnote 1) of the Regulations.

(E) Docket Nos. RP79–8 and RP80–8 are hereby consolidated for the purposes of hearing and decision.

(F) Peoples Natural Gas Division of Northern Natural Gas Company (Peoples) is permitted to intervene in this proceeding subject to the rules and regulations of the Commission; *Provided, however,* That the participation of Peoples shall be limited to matters affecting asserted rights and interests as specifically set forth in its petition to intervene; and, *Provided, further,* That the admission of Peoples shall not be construed as recognition by the Commission that they might be aggrieved because of any order of the Commission entered in this proceeding.

(G) The Commission Staff shall prepare and serve top sheets on or before March 31, 1980.

(H) A Presiding Administrative Law Judge, to be designated by the Chief Administrative Law Judge for that purpose (18 C.F.R. 3.5(d)), shall convene a settlement conference in this proceeding to be held within 10 days after the service of top sheets by the Staff, in a hearing or conference room of the Federal Energy Regulatory Commission, 825 North Capitol Street, N.E., Washington, D.C. 20426. The Presiding Administrative Law Judge is authorized to establish such further procedural dates as may be necessary, and to rule upon all motions (except motions to consolidate, sever, or dismiss), as provided for in the rules of practice and procedure.

By the Commission.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38821 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

[Docket No. CP80–88]

Locust Ridge Gas Co.; Application

November 30, 1979.

Take notice that on November 15, 1979, Locust Ridge Gas Company (Applicant), 4100 Southwest Freeway, Houston, Texas 77027, filed in Docket No. CP80–88 an application pursuant to section 7(c) of the Natural Gas Act and Section 157.7(b) of the Regulations thereunder (18 CFR 157.7(b)) for a certificate of public convenience and necessity authorizing construction, during the 12-month period commencing with the date of this order, and operation of facilities to enable Applicant to take into its certificated main pipeline system natural gas supplies, all as more fully set forth in the application on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in connecting to its pipeline system supplies of natural gas which may become available from various producing areas generally coextensive with its pipeline system or the systems of other pipeline companies which may be authorized to transport gas for the account of or exchange gas with Applicant and supplies of natural gas from Applicant's owned production or acquired for system supply under sections 311 or 312 of the Natural Gas Policy Act of 1978.

Applicant states that the total cost of the proposed facilities would not exceed $500,000 with no single project to exceed the amount specified in § 157.7(b)(1)(iv) of the regulations as modified by Order No. 56, issued November 1, 1979. It is stated that such costs would be financed through internally generated funds and borrowing.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38822 Filed 12–18–79 8:45 am]

BILLING CODE 6450–01–M

[Docket No. GP80–63]

State of Louisiana, Section 102 NGPA Determination, Mullins & Pritchard, Mable G. Myers No. 1 Well, 9,700 Feet Miocene Sand Reservoir; Preliminary Finding

Issued: November 30, 1979.

On October 16, 1979, the Louisiana Department of Natural Resources, Office of Conservation (LDNR) submitted to the Commission a notice of determination [1] which states that production of natural gas from the Mullins & Pritchard, Mabel G. Myers No. 1 Well (subject well) from the 9700' Miocene Sand Reservoir (subject reservoir) qualifies as natural gas produced from a new onshore reservoir under section 102(c)(1)(C) of the Natural Gas Policy Act of 1978, Pub. L. 95–621 (NGPA). The Commission published notice of the determination on October 29, 1979.

Section 102(c)(1)(C)(i) of the NGPA contains the general rule that, with certain exceptions, natural gas will qualify as "new natural gas" if it is produced from a reservoir from which natural gas was not produced in commercial quantities before April 20, 1977. The record in this case reflects that while sales of natural gas were made from the subject reservoir before April 20, 1977, all such sales were made pursuant to the authority of section 6 of the Emergency Natural Gas Act of 1977. Pursuant to section 102(c)(3)(B)(i) of the NGPA, these sales are not to be taken into account in determining whether natural gas was produced in commercial quantities from the subject reservoir before April 20, 1977. Consequently, the subject reservoir meets the requirements of the general rule in section 102(c)(1)(C)(i) of the NGPA.

However, according to section 102(c)(1)(C)(ii) of the NGPA (the Behind-the-Pipe Exclusion) a reservoir shall not qualify as a new onshore reservoir if it was penetrated before April 20, 1977, by an old well which produced crude oil or natural gas in commercial quantities (whether or not such production was from such reservoir) and natural gas could have been produced in commercial quantities from such reservoir through such old well before April 20, 1977.

The record underlying LDNR's determination shows that the subject well, which is an old well, penetrated the subject reservoir prior to April 20, 1977, and produced crude oil in commercial quantities. The record does not contain substantial evidence supporting a finding that the subject reservoir could not have been produced in commercial quantities through the subject well prior to April 21, 1977. The burden falls on the applicant to prove that the Behind-the-Pipe Exclusion does not apply.

Accordingly the Commission hereby makes a preliminary finding (pursuant to § 275.202(a)(1)) that the subject determination submitted by the LDNR is not supported by substantial evidence in the record on which the determination was made and may be inconsistent with information which is contained in the public records of the Commission and which was not part of the record on which the jurisdictional agency made the determination.

Pursuant to our direction in Order No. 42–A, issued November 29, 1979, in Docket No. RM79–68, we shall provide applicants the opportunity to supplement their application in accordance with the amended regulations promulgated by that order.

By the Commission.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79–38826 Filed 12–18–79; 8:45 am]

BILLING CODE 6450–01–M

[1] Louisiana Docket No. NGPA 79–1000; FERC JD No. 80–2999.

[Docket Nos. CP66–121 (CP66–110, et al.) CP79–161]

Midwestern Gas Transmission Co.; Petition To Amend

November 30, 1979

Take notice that on October 31, 1979, Midwestern Gas Transmission Company (Petitioner), P.O. Box 2511, Houston, Texas 77001, filed in Docket Nos. CP66–110, *et al.*, a petition to amend the Commission's order of September 25, 1979, issued pursuant to Section 3 of the Natural Gas Act so as to authorize the importation of up to 600,000 Mcf of natural gas per day, to be purchased from TransCanada Gas Pipelines Limited (TransCanada), all as more fully set forth in the petition to amend which is on file with the Commission and open to public inspection.

Petitioner states that by order issued by the Economic Regulatory Administration (ERA) on August 9, 1979, at Docket No. CP79–04–NG and by order of the Commission issued September 25, 1979, in Docket Nos. CP66–110, *et al.*, it was authorized to import an additional 114 Bcf of natural gas from Canada at a point on the United States-Canadian boundary near Emerson, Manitoba, until and including October 31, 1980, at daily volumes up to 350,000 Mcf. Petition further states that it in turn received authorization to resell to Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), Northern Natural Gas Company (Northern) and Natural Gas Pipeline Company of America (Natural), until and including October 31, 1980, up to 350,000 Mcf of gas on any day.

The natural gas to be imported by Petitioner is to be purchased from TransCanada and is to be exported from Canada by TransCanada under authority of export License GL–18 issued by the National Energy Board of Canada (NEB), it is stated.

Petitioner then states that pursuant to an October 2, 1979, petition to amend, the Commission granted temporary authorization on October 10, 1979, for Petitioner to import and sell for a period of sixty days up to 120,000 Mcf per day to Tennessee at an existing interconnection between the facilities of TransCanada and those of Tennessee near Niagara Falls, New York (Niagara Interconnection).

Petitioner asserts that it has been informed that TransCanada now expects to have from time to time daily quantities up to 600,000 Mcf of gas available for export from Canada. Consequently, Petitioner requests authorization to import and resell to

Tennessee, Northern, and Natural up to 600,000 Mcf of natural gas on any day. Petitioner states that no change is requested in the total volumes of 114 Bcf to be imported by Petitioner up to and including October 31, 1979.

Petitioner asserts that the proposal would allow Petitioner, Tennessee, Natural, and Northern to take maximum advantage of the availability of natural gas from TransCanada as that availability is affected by TransCanada's system operation.

Any person desiring to be heard or to make any protest with reference to said petition to amend should on or before December 14, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38823 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-86]

Natural Gas Pipeline Co. of America; Application

November 30, 1979.

Take notice that on November 15, 1979, Natural Gas Pipeline Company of America (Applicant), 122 South Michigan Avenue, Chicago, Illinois 60603, filed Docket No. CP80-86 an application pursuant to section 7(c) of the Natural Gas Act and § 157.7(b) of the Regulations thereunder (18 CFR 157.7(b)) for a certificate of public convenience and necessity authorizing the construction, during an indefinite period commencing January 1, 1980, and operation of facilities to enable Applicant to take into its certificated main pipeline system natural gas supplies, all as more fully set forth in the application on file with the Commission and open to public inspection.

The stated purpose of this budget-type application is to augment Applicant's ability to act with reasonable dispatch in connecting to its pipeline system supplies of natural gas which may become available from various producing areas generally coextensive with its pipeline system or the systems of other pipeline companies which may be authorized to transport gas for the account of or exchange gas with Applicant, and supplies of natural gas from Applicant's owned production or acquired for system supply under sections 311 or 312 of the Natural Gas Policy Act of 1978.

Applicant states that the total cost of the proposed facilities would not exceed $20,000,000, with no single onshore project to exceed a cost of $2,500,000 and no single offshore project to exceed a cost of $3,500,000. The cost of the proposed facilities would be financed from funds on hand, it is stated.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in a subject ot jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rule of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this Application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicant to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38824 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. ES80-16]

Pacific Power & Light Co.; Application

November 30, 1979.

Take notice that on November 16, 1979, Pacific Power & Light Company (Applicant), a Maine corporation, qualified to transact business in the states of Oregon, Wyoming, Washington, California, Montana and Idaho, with its principal business office at Portland, Oregon, filed an application with the Federal Energy Regulatory Commission, pursuant to section 204 of the Federal Power Act, seeking an order authorizing it to issue not to exceed 4,000,000 shares of its Common Stock of the par value of $3.25 per share (Additional Common Stock).

Applicant proposes to sell the Additional Common Stock at competitive bidding in accordance with the applicable requirements of Section 34.1a of the Commission's Regulations.

Proceeds from the issuance and sale of the shares of Additional Common Stock will be used to repay short-term borrowings prior to or as they mature and the remainder will be used to finance, in part, Applicant's 1979-1980 construction program currently estimated at $577,173,000.

Any person desiring to be heard or to make any protest with reference to said application should, on or before December 13, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, petitions to intervene or protests in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Persons wishing to become parties to a proceeding or to participate as a party in any hearing therein must file petitions to intervene in accordance with the Commission's Rules. The application is on file with the Commission and available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38825 filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

[Project No. 2941]

S. D. Warren Co., Application for Short-Form License (Minor) for a Constructed Project

November 30, 1979.

Take notice that on August 14, 1979, S. D. Warren Company filed an applicaion for license [pursuant to the Federal Power Act, 16 USC, Section 791(a)-825(r)] for an existing water power project known as the Little Falls Project, FERC Project No. 2941, located on the Presumpscot River, a navigable waterway of the United States, near Gorham and Windham, in Cumberland County, Maine.

Correspondence with the Applicant should be directed to the following persons: Mr. William H. Marra, Vice President, S. D. Warren Company, 225 Franklin Street, Boston, Massachusetts 02101; Mr. John B. Blatz III, Associate Counsel, Scott Paper Company, Scott Plaza Two, Philadelphia, Pennsylvania 19113; and Mr. Bernard A. Foster III of Ms. Nancy J. Hubbard, Ross, Marsh & Foster, 730-15th Street, N.W., Washington, D.C. 20005.

Purpose of the Project—Project energy is used by the Applicant in the operation of its Westbrook paper plant. Applicant states that because of the urban setting, industrial and commercial use of the land at the project, high population density, and the limited availability of open space, recreational opportunities are minimal. The project was constructed in the early 1900's.

Project Description—The existing project consists of: (1) a 12-foot-high, 200-foot-long concrete spillway dam with a crest elevation of 110.50 feet m.s.l.; (2) a wastegate structure; (3) a 110-foot-long stone sluiceway dam located at a right angle to the spillway dam, containing three sluice gates; (4) a powerhouse at a right angle and adjacent to the spillway dam with an installed capacity of 1000-kW; and (5) appurtenant facilities. The annual generation for the project averages 6,800,000 kWh which represents about 4% of the Westbrook paper plant's electric energy requirements. The project is a run-of-the-river operation.

Agency Comments—Federal, State, and local agencies that receive this notice through direct mailing from the Commission are requested to provide comments pursuant to the Federal Power Act, the Fish and Wildlife Coordination Act, the Endangered Species Act, the National Historic Preservation Act, the Historical and Archeological Preservation Act, the National Environmental Policy Act, Pub. L. No. 88-29, and other applicable statutes. No other formal requests for comments will be made.

Comments should be confined to substantive issues relevant to the issuance of a license. A copy of the application may be obtained directly from the applicant. If any agency does not file comments within the time set below, it will be presumed to have no comments.

Protests and Petitions to Intervene—Anyone desiring to be heard or to make any protest about this application should file a petition to intervene or a protest with the Federal Energy Regulatory Commission, in accordance with the requirements of the Commission's Rules of Practice and Procedure, 18 CFR § 1.8 or 1.10 (1979). Comments not in the nature of a protest may also be submitted by conforming to the procedures specified in § 1.10 for protests. In determining the appropriate action to take, the Commission will consider all protests or other comments filed, but a person who merely files a protest or comments does not become a party to the proceeding. To become a party, or to participate in any hearing, a person must file a petition to intervene in accordance with the Commission's Rules. Any comments, protest, or petition to intervene must be filed on or before January 21, 1980. The Commission's address is: 825 North Capitol Street, N.E., Washington, D.C. 20426.

Competing Application

Anyone desiring to file a competing application must submit to the Commission, on or before January 28, 1980, either the competing application itself or a notice of intent to file a competing application. Submission of a timely notice of intent allows an interested person to file the competing application no later than June 2, 1979. A notice of intent must conform with the requirements of 18 CFR 4.33 (b) and (c), (as amended, 44 FR 61328, October 25, 1979). A competing application must conform with the requirements of 18 CFR, 4.33 (a) and (d), (as amended, 44 FR 61328, October 25, 1979).

The application is on file with the Commission and is available for public inspection.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38829 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-95]

Tennessee Gas Pipeline Co., a Division of Tenneco, Inc., and Florida Gas Transmission Co.; Application

November 30, 1979.

Take notice that on November 19, 1979, Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), P.O. Box 2511, Houston, Texas 77001, and Florida Gas Transmission Company (Florida Gas), P.O. Box 44, Winter Park, FLorida 32790, filed in Docket No. CP80-95 a joint application pursuant to Section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the transportation and exchange of natural gas, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicants state that pursuant to a gas transportation and exchange agreement dated October 8, 1979, Tennessee proposes to transport up to 2,000 Mcf of natural gas per day for Florida Gas which gas has been purchased by Florida Gas from Shell Oil Company, Florida Gas Exploration Company, Barber Oil Exploration and Drillamex, Inc. from reserve produced from Mississippi Canyon area, Blocks 150, 151, 194 and 195, offshore Louisiana. It is further stated that Tennessee would receive the subject gas through its existing facilities located in the South Pass Block 24 Field, Plaquemines Parish, Louisiana, and would deliver such volumes at the tailgate of the Yscloskey Processing Plant, St. Bernard Parish, Louisiana, where the gas would be exchanged for delivery to Florida Gas at the tailgate of the Sun Oil Company's Starr County Plant, Starr County, Texas.

It is stated that Florida Gas would reimburse Tennessee for transportation services at a volume charge equal to 2.91 cents per Mcf with a minimum bill provision based on the transportation quantity and would provide Tennessee with a volume of gas equal to 1.2 percent of the volumes received for transportation to compensate Tennessee for fuel and use requirements.

Applicants state that the proposed transportation service would provide Florida Gas with immediate availability of gas supplies for its system supply.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not service to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by

Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicants to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 70-38827 Filed 12-18-79 8:45 am]

BILLING CODE 6450-01-M

[Docket No. CP80-62]

Texas Eastern Transmission Corp., and Tennessee Gas Pipeline Co., a Division of Tenneco, Inc.; Application

November 30, 1979.

Take notice that on November 7, 1979, Texas Eastern Transmission Corporation (Texas Eastern), P.O. Box 2521, Houston, Texas 77001, and Tennessee Gas Pipeline Company, a Division of Tenneco Inc. (Tennessee), P.O. Box 2511, Houston, Texas 77001, filed in Docket No. CP80-62 an application pursuant to section 7(c) of the Natural Gas Act for a certificate of public convenience and necessity authorizing the transportation and exchange of natural gas, all as more fully set forth in the application which is on file with the Commission and open to public inspection.

Applicants request authorization to transport and exchange gas produced in West Cameron Block 540 and South March Island Block 146, offshore Louisiana, pursuant to a gas exchange and transportation agreement dated October 8, 1979. It is stated that Tennessee would receive daily, or cause to be received daily as exchange gas, such quantities which are delivered by Texas Eastern at the point of interconnection of Texas Eastern's facilities extending from West Cameron Block 540 and Stingray Pipeline Company's (Stingray) facilities in West Cameron Block 550.

Tennessee, it is stated, would not be obligated to accept as exchange gas daily quantities in excess of 10,000 Mcf, except to the extent operating and capacity conditions permit. Such gas would be delivered into Tennessee's system by means of its capacity entitlement in Stingray's offshore system, it is asserted.

It is stated that Texas Eastern would receive daily, or cause to be received daily as exchange gas, such quantities as Tennessee delivers at the point of interconnection of the facilities of Texas Eastern and Michigan Wisconsin Pipe Line Company (Mich Wis) in South Marsh Island Block 132. Texas Eastern would not be obligated to receive for exchange quantities exceeding 10,000 Mcf per day, except to the extent operating and capacity conditions permit, it is stated. Such gas, it is stated, would be delivered to Texas Eastern by means of an exchange with Mich Wis and Transcontinental Gas Pipe Line Corporation.

It is asserted that gas exchanged between Texas Eastern and Tennessee would be on a gas-for-gas basis with no monetary compensation and would be adjusted for plant fuel and shrinkage volumes, if any. It is asserted that to the extent volumes received by one party exceed volumes received by the other party during any month, quantities thermally equivalent to the excess volumes would be delivered by the first party to the second party at their existing interconnections near Fords, Allen Parish, Louisiana, and/or at Bayou Chaland, Plaquemines Parish, Louisiana, and/or other mutually agreeable points.

Any person desiring to be heard or to make any protest with reference to said application should on or before December 26, 1979, file with the Federal Energy Regulatory Commission, Washington, D.C. 20426, a petition to intervene or a protest in accordance with the requirements of the Commission's Rules of Practice and Procedure (18 CFR 1.8 or 1.10) and the Regulations under the Natural Gas Act (18 CFR 157.10). All protests filed with the Commission will be considered by it in determining the appropriate action to be taken but will not serve to make the protestants parties to the proceeding. Any person wishing to become a party to a proceeding or to participate as a party in any hearing therein must file a petition to intervene in accordance with the Commission's Rules.

Take further notice that, pursuant to the authority contained in and subject to jurisdiction conferred upon the Federal Energy Regulatory Commission by Sections 7 and 15 of the Natural Gas Act and the Commission's Rules of Practice and Procedure, a hearing will be held without further notice before the Commission or its designee on this application if no petition to intervene is filed within the time required herein, if the Commission on its own review of the matter finds that a grant of the certificate is required by the public convenience and necessity. If a petition for leave to intervene is timely filed, or if the Commission on its own motion believes that a formal hearing is required, further notice of such hearing will be duly given.

Under the procedure herein provided for, unless otherwise advised, it will be unnecessary for Applicants to appear or be represented at the hearing.

Kenneth F. Plumb,

Secretary.

[FR Doc. 79-38828 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

Office of Assistant Secretary for International Affairs

Proposed Subsequent Arrangement Between United States and European Atomic Energy Community (EURATOM)

Pursuant to Section 131 of the Atomic Energy Act of 1954, as amended (42 U.S.C. 2160), notice is hereby given of a proposed "subsequent arrangement" under the Additional Agreement Between the Government of the United States of America and the European Atomic Energy Community (EURATOM) Concerning the Peaceful Uses of Atomic Energy and the Agreement for Cooperation Between the Government of the United States of America and the Government of Switzerland.

The subsequent arrangement to be carried out under the above mentioned agreements involves approval of the following retransfer:

RTD/SD(EU)-27, retransfer from West Germany to Switzerland of 4,000 kilograms of heavy water of U.S. origin, to be used for neutron flux measurements.

In accordance with Section 131 of the Atomic Energy Act of 1954, as amended, it has been determined that the approval of this retransfer will not be inimical to the common defense and security.

This subsequent arrangement will take effect no sooner than January 3, 1980.

Dated: December 17, 1979.

For the Department of Energy.

Harold D. Bengelsdorf,

Director for Nuclear Affairs, International Nuclear and Technical Programs.

[FR Doc. 79-39081 Filed 12-18-79; 8:45 am]

BILLING CODE 6450-01-M

Office of the Special Counsel for Compliance

Action on Consent Order With Cities Service Co.

AGENCY: Department of Energy (DOE).

ACTION: Adoption of Proposed Consent Order as Final.

SUMMARY: The Office of the Special Counsel for Compliance (OSC) hereby gives the notice required by 10 CFR 205.199J that it has adopted the consent order with Cities Service Company, executed on October 31, 1979 and published for comment in 44 FR 64486 on November 7, 1979. The consent order resolves all issues of compliance with the DOE Petroleum Price and Allocation Regulations, with two exceptions noted below, for the period August 1973 through September 1979. To remedy any overcharges that may have occurred during the period, Cities Service agrees to $220 million in remedies.

As required by the regulation cited above, OSC received comments on the consent order for a period of not less than 30 days following publication of the notice cited above. Eight comments were received. OSC considered those comments and determined that the consent order should be made final without modification. The consent order is effective as an order of the Department of Energy (DOE) on December 19, 1979.

FOR FURTHER INFORMATION CONTACT: Leslie Wm. Adams, Associate Solicitor to the Special Counsel for Compliance, Department of Energy, 1200 Pennsylvania, N.W., Washington, D.C. 20461, 202-633-8288. Copies of the consent order may be received free of charge by written request to: Cities Service Consent Order Request, Office of Special Counsel, Department of Energy, 1200 Pennsylvania Avenue, N.W., Rm. 3109, Washington, D.C. 20461. Copies may also be obtained in person at the same address or at the Freedom of Information Reading Room, Forrestal Building, 1000 Independence Avenue, S.W., Washington, D.C., Room GB-145.

SUPPLEMENTARY INFORMATION:

The Consent Order

On November 7, 1979, OSC published notice in the **Federal Register** at page 64486, announcing the execution of a consent order between Cities Service Company and OSC. In compliance with DOE regulations, that notice, and a press release issued on November 1, 1979 briefly summarized the consent order and the facts behind it. The notice and press release also gave instructions for obtaining copies of the consent order.

The consent order can be summarized as follows:

1. The consent order marks the conclusion of OSC's audit of Cities' compliance with the mandatory Petroleum Price and Allocation Regulations, including the entitlements and oil import regulations, for the period August 19, 1973 through September 30, 1979. All but two disputes between OSC and Cities were resolved by the consent order: a proposed remedial order concerning an allocation dispute raised by a single customer, and a matter in litigation concerning the DOE position that an injection well is not a producing well to be considered in determining average daily production.

2. The audit issues were resolved by an aggregate adjustment of $220 million including $42.6 million in adjustments previously made by Cities.

3. Of the balance of $177.4 million, Cities will return $20 million to the marketplace through a reduction of not less than $.03 in the wholesale prices of No. 2 heating oil and No. 2 diesel fuel during the 1979-1980 winter heating season. That reduction began within ten days of execution of the consent order. OSC has obtained the assistance of heating oil distributors to pass the price reduction on to consumers.

4. An additional $10 million will be refunded to or on behalf of purchasers of Cities' products. Cities will establish an interest bearing fund from which to satisfy judgments or to pay settlements negotiated by Cities Service and approved by OSC, arising out of alleged violations of the regulations during the audit period. Any balance remaining after 18 months will be distributed by a price reduction of a petroleum product, by payment to the Treasury or in some other manner to be determined.

5. The remaining $147.4 million will be removed from Cities' bank of unrecouped increased product costs as follows: $15 million from unrecouped increased costs of propane, and $132.4 million from unrecouped increased costs of gasoline. Additionally, Cities agreed to exclude from its unrecouped increased costs of general refinery products (other than gasoline and No. 2 oils), those costs allocated to exempt products.

Comments Received

Eight comments were received. They may be categorized into three groups, litigants commenting on the nature of the impact of the consent order on their claims; potential claimants seeking advice; and associations representing specific interests.

The concern of the litigants is that the consent order may be dispositive of their private actions.

The consent order states that it resolves the controversies between Cities and the Department of Energy arising out of OSC's audit. The consent order does not by its terms foreclose or resolve outstanding or future private actions. To the contrary, under the consent order Cities must disburse $10 million and accrued interest to satisfy judgements, or in settlement of claims. Rather than foreclose suits, the consent order contemplates that suits may be filed or claims submitted. The only qualification on payment out of this fund is that OSC reserves the right to approve settlements to assure that they are bona fide.

Further, the consent order does not limit Cities' liability to $10 million. Rather, it provides an amount which must be disbursed, and may be used to settle claims. To the extent that judgements are awarded in excess of $10 million, the judgement creditors will have remedies normally available for collection of the judgement. Thus, the consent order is not intended to, nor does it, affect the rights of any person (other than the DOE) to file and pursue an independent private action against Cities for alleged violations of DOE regulations.

In the same vein, one comment questions the propriety of OSC's agreement to Cities' statement of certain data elements essential to compliance with the regulations. These elements, summarized in term and condition 8 of the consent order, include the costs of crude oil and purchased product in May 1973, costs associated with natural gas liquids for each processing plant, determination of crude oil producing properties and their base production control levels, class of purchaser structure, May 15, 1973 prices to those classes and a statement of Cities' unrecouped increased product costs as of July 31, 1979. These items are proprietary in nature and are set out in a letter to OSC dated October 30, 1979.

This comment is apparently premised either on the assumption that OSC merely accepted information offered by Cities, or that the information is the result of a compromise. In fact, the letter from Cities is a summary of the data determined by Cities and OSC in the course of the audit and verified by OSC as correct. By using such data, Cities will not be subject to enforcement action by OSC. It should be noted that the consent order does not require court acceptance of such data in a private action brought against Cities.

One litigant has raised an additional matter which is also the subject of Petition for Special Redress. Because that comment was addressed at length in OSC's response to the Petition which was served on the petitioner, it will only be summarized here.

In its comment and Petition, the litigant asserts that OSC did not make the entire consent order available for public comment as required by DOE regulations at 10 CFR § 205.199J(c). To the contrary, the entire document was and still is available to anyone, free of charge, at the address noted. The October 30, 1979 letter, previously discussed, and a memorandum of understanding concerning an item in litigation that was excepted from the consent orders and thus is not settled, are not part of the consent order, nor do they contain additional terms and conditions. As previously noted, the October 30 letter contains explicit data resulting from OSC's audit. The letter does not bear upon the remedy provided in the consent order. Further, its contents are proprietory to Cities and is subject to exemptions from release.

Another party in litigation with Cities requested an additional 10 days to submit comments concerning the consent order due to their late receipt of a copy of the consent order, and the belief that a violation may have occurred which may not have been addressed in the consent order.

OSC has not granted the delay requested because it would postpone the effective date of the consent order and thus the implementation of the remedies. The party commenting had ample opportunity to obtain a copy of the consent order and to submit its comments. Further, the party is in litigation with Cities and can raise in its action any additional violations it may believe to have occurred.

The second category of comments is comprised of questions concerning claims against the $10 million fund established in term and condition 3 of the consent order. The comments sought to file claims with OSC, to have OSC negotiate a settlement with Cities, or to amend the consent order to resolve specific private controversies. In addition to the written comments, numerous telephone calls have been received concerning procedures for filing of claims.

Persons who believe they may have been overcharged by Cities should refer to section 210 of the Economic Stabilization Act of 1970, as amended, now found at 12 United States Code, section 1904. That section provides a private right of action which begins with the filing of a claim for a refund. Claims should be filed with Cities Service directly. DOE's sole role in the negotiations is to approve any resulting settlement. The consent order does not provide for participation by OSC in resolving private litigation or claims.

The last category of comments is that of organizations representing interest groups. A trade group supports the consent order but suggested that the procedures of subpart V of 10 CFR Part 205 should be utilized for the processing of claims. OSC avoided this procedure because of the difficulties currently encountered in attempting to implement a subpart V procedure for the disbursement of $42 million to be paid by Gulf Oil Corporation pursuant to a consent order executed by OSC. Rather than a pro rata distribution under Subpart V, the Cities consent order provides a fund against which parties who believe they have been overcharged may seek the amount to which they believe they are entitled.

A comment from an organization representing consumer interests states that the consent order fails to afford restitution to consumers who may have been overcharged. However, the comment addresses only the $10 million fund for the satisfaction of claims, and, even then, ignores the fact that consumers may make claims against that fund. However, the consent order also provides for a $20 million reduction in heating oil and diesel fuel prices which is to be passed through to the consumer. Given the anonymity of individual consumer purchaser and the fact that the quantities purchased by individuals, and thus the amount of overcharges which would result, are too small to be given a meaningful quantification, the price rollback presents an economical and equitable remedy to assure a return of overcharges to the marketplace.

OSC has considered all comments submitted, including those which were received late. No reason to modify or reject the consent order has been presented. Accordingly, OSC has determined that the proposed consent order with Cities Service should be made final, effective upon publication of this notice.

Issued in Washington, D.C., December 14, 1979.

Paul L. Bloom,

Special Counsel for Compliance.

[FR Doc. 79-39055 Filed 12-18-79; 8:00 am]

BILLING CODE 6450-01-M

ENVIRONMENTAL PROTECTION AGENCY

[FRL 1377-8; OPP-50442B]

Amendment to Experimental Use Permit Issued to American Cyanamid Co.

On Monday, September 17, 1979 (44 FR 53786), information appeared pertaining to the issuance of an experimental use permit, No. 241-EUP-94, to American Cyanamid Company. At the request of the company, that permit has been amended. A temporary tolerance for residues of the insecticide (±)-cyano(3-phenoxyphenyl)methyl(±)-4-difluoromethoxy-alpha-(1-methylethyl) benzeneacetate in or on cottonseed has been established. Therefore, the crop destruct provision of the permit is cancelled. (PM-17, Franklin Gee, Room: E-343, Telephone: 202/426-9417.)

(Sec. 5, Federal Insecticide, Fungicide, and Rodenticide Act (FIFRA), as amended in 1972, 1975, and 1978 (92 Stat. 819 (7 U.S.C. 136))

Dated: December 12, 1979.

Douglas D. Campt,

Director, Registration Division.

[FR Doc. 79-38846 Filed 12-18-79; 8:45 am]

BILLING CODE 6560-01-M

[FRL 1378-1; PP 9G2211/T224]

Establishment of a Temporary Tolerance; (±)-Cyano(3-phenoxyphenyl)methyl (±)-4-(difluoromethoxy)-alpha-(1-methylethyl) benzeneacetate

American Cyanamid Co., P.O. Box 400, Princeton, NJ 08540, submitted a pesticide petition (PP 9G2211) to the Environmental Protection Agency (EPA). This petition requested that a temporary tolerance be established for residues of the pesticide (±)-cyano(3-phenoxyphenyl)methyl (±)-4-(difluoromethoxy)-alpha-(1-methylethyl) benzeneacetate in or on the raw agricultural commodity cottonseed at 0.05 part per million (ppm).

This temporary tolerance will permit the marketing of the above raw agricultural commodity when treated in accordance with an experimental use permit 241-EUP-94, that has been issued under the Federal Insecticide, Fungicide, and Rodenticide Act, as amended in 1972, 1975, and 1978 (92 Stat. 819; 7 U.S.C. 136).

An evaluation of the scientific data reported and other relevant material showed that the requested tolerance was adequate to cover residues resulting from the proposed experimental use, and it was determined that the temporary tolerance would protect the public health. The temporary tolerance has been established for the pesticide, therefore, with the following provisions:

1. The total amount of the insecticide to be used will not exceed the quantity authorized by the experimental use permit.

2. American Cyanamid Co. must immediately notify the EPA of any findings from the experimental use that have a bearing on safety. The firm will also keep records of production, distribution, and performance and on request make the records available to any authorized officer or employee of the EPA or the Food and Drug Administration.

This temporary tolerance expires July 23, 1980. Residues not in excess of 0.05 ppm remaining in or on cottonseed after this expiration date will not be considered actionable if the pesticide is legally applied during the term of and in accordance with the provisions of the experimental use permit and temporary tolerance. This temporary tolerance may be revoked if the experimental use permit is revoked or if any scientific data or experience with this pesticide indicates such revocation is necessary to protect the public health. Inquiries concerning this notice may be directed to Mr. Franklin Gee, Product Manager 17, Registration Division (TS-767), Office of Pesticide Programs, 401 M St., SW, Washington, DC 20460 (202/426-9417).

(Sec. 408(j), Federal Food, Drug, and Cosmetic Act (21 U.S.C. 346a(j).

Dated: December 12, 1979.

Douglas D. Campt,

Director, Registration Division.

[FR Doc. 79-38849 Filed 12-18-79; 8:45 am]

BILLING CODE 6560-01-M

[FRL 1378-2; OPTS-59001]

Premanufacture Exemption Application

AGENCY: Environmental Protection Agency (EPA, or the Agency).

ACTION: Receipt of application for exemption from premanufacture requirements for test marketing purposes; request for comments.

SUMMARY: Section (§) 5(a)(1)(A) of the Toxic Substances Control Act (TSCA) requires any person intending to manufacture or import a new chemical substance for a commercial purpose in the United States to submit a premanufacture notice (PMN) to EPA at least 90 days before he commences such manufacture or import. Under section 5(h) the Agency may, upon application, exempt any person from any requirement of section 5 to permit such person to manufacture or process a chemical for test marketing purposes. Section 5(h)(6) requires EPA to publish in the Federal Register a notice of receipt of any such application. This notice announces receipt of an application for an exemption from the premanufacture reporting requirements for test marketing purposes and requests comments on the appropriateness of granting the exemption.

DATES: The Agency must either approve or deny this application by January 19, 1980. Persons should submit written comments on the application no later than January 3, 1980.

ADDRESS: Written comments should bear the identifying notation "OPTS-59001", and should be submitted in triplicate, if possible, to the Document Control Officer (TS-793), Office of Pesticides and Toxic Substances, EPA, 401 M St., S.W., Washington, D.C. 20460. All comments submitted and other nonconfidential information in the public record are available for public inspection from 9:00 a.m. to 4:00 p.m., Monday through Friday (excluding holidays), in Room 447, East Tower, at the address above.

FOR FURTHER INFORMATION CONTACT: Mr. Scott Flamm, Premanufacturing Review Division (TS-794), Office of Pesticides and Toxic Substances, EPA, Washington, D.C. 20460 (202/426-3980).

SUPPLEMENTARY INFORMATION: Under section of TSCA, any person who intends to manufacture or import a new chemical substance for commercial purposes in the United States must submit a notice to EPA before manufacture or import begins. A "new" chemical substance is any chemical substance that is not on the Inventory of existing chemical substances compiled by EPA under section 8(b) of TSCA. EPA first published the Initial Inventory on June 1, 1979. (Notice of availability of the Initial Inventory was published in the Federal Register on May 15, 1979 (44 FR 28558)). The requirement to submit a PMN for new chemical substances manufactured or imported for commercial purposes became effective on July 1, 1979.

Section 5(a)(1) requires each PMN to be submitted in accordance with section 5(d) and any applicable requirement of section 5(b). Section 5(d)(1) defines the contents of a PMN. Section 5(b)(1) contains additional reporting requirements for chemical substances that are subject to testing rules under section 4. Section 5(b)(2) requires additional information in PMN's for substances which EPA, by rules under section 5(b)(4), has determined may present unreasonable risks of injury to health or the environment.

Section 5(h), "Exemptions", contains several provisions for exemptions from some or all of the requirements of section 5. In particular, section 5(h)(1) authorizes EPA, upon application, to exempt persons from any requirement of section 5(a) or section 5(b) to permit the persons to manufacture or process a chemical substance for test marketing purposes. To grant such an exemption, the Agency must find that the test marketing activities will not present any unreasonable risk of injury to health or the environment. EPA must either approve or deny the application within 45 days of its receipt, and the Agency must publish a notice of its disposition in the Federal Register. If EPA grants a test marketing exemption, it may impose restrictions on the test marketing activities.

Under section 5(h)(6), EPA must publish in the Federal Register a notice of receipt of an application under section 5(h)(1) immediately after the Agency receives the application. The notice identifies and briefly describes the application (subject to section 14 confidentiality restrictions) and gives interested persons an opportunity to comment on it and whether EPA should grant the exemption. Because the Agency must act on the application within 45 days, interested persons should provide comments within 15 days after the notice appears in the Federal Register.

EPA has proposed Premanufacture Notification Requirements and Review Procedures (44 FR 2242, January 10, 1979 and 44 FR 59764, October 16, 1979) containing proposed premanufacture rules and notice forms. Proposed 40 CFR 720.15 (44 FR 2268) would implement section 5(h)(1) concerning exemptions for test marketing and includes proposed 40 CFR 720.15(c) concerning the section 5(h)(6) Federal Register notice. However, these requirements are not yet in effect. In the meantime, EPA has published a statement of Interim Policy (44 FR 28564, May 15, 1979) which applies to PMN's submitted prior to promulgation of the rules and notice forms.

Dated: December 12, 1979.

John P. DeKany,

Deputy Assistant Administrator for Chemical Control.

Test Marketing Exemption Application No.: 5AHQ-1279-0075

Close of Application Review Period: January 19, 1980

Applicant's Identity: 3M Co., St. Paul, MN 55101

Chemical Identity: Claimed confidential.

Generic Name: Substituted, pentamethine oxanol dye, potassium salt.

Specific Use Information: Claimed confidential.

Data: This material is a solid with an indefinite melting point; it sinters about 265°C.

400 grams will be manufactured for test marketing purposes.

Five customers will be provided rolls of paper containing the chemical.

Estimate of exposure information to result from test marketing activities:

a. During chemical manufacture: four employees will be exposed to the solid for up to one hour when removing and handling the chemical prior to packaging.

b. During processing: two people will be exposed to the solid when it is dissolved in an appropriate solvent prior to addition to coating solutions. Two employees will be exposed for up to two hours to a 1% aqueous solution during the manufacture of the final product. The manufacturer states that proper industrial hygenic procedures will be followed.

c. Customer-employee exposure is almost non-existent and is limited to exposure to the chemical confined in a dried layer for periods no longer than 5 minutes.

d. Aqueous effluent from processing the color paper will contain no more tha 2 parts per million (ppm) of the chemical.

The test market will be conducted in January or February 1980.

Health and Environmental Effects Data: There are no known data on health or environmental effects. However, toxicological and environmental testing are in progress, and the results will be submitted as part of a Premanufacture Notificiation to be submitted in the first quarter of 1980.

[FR Doc. 79-38850 Filed 12-18-79; 8:45 am]

BILLING CODE 6560-01-M

DEPARTMENT OF HEALTH, EDUCATION, AND WELFARE

Office of Education

Basic Skills and Educational Proficiency; State Formula Grant Program and State Leadership Program

AGENCY: Office of Education, HEW.

ACTION: Notice of Closing Date for Submission of State Agreements.

States are invited to propose agreements with the U.S. Office of Education under the State Formula Grant Program and the State Leadership Program in Basic Skills.

Authority for these programs is contained in Part B of Title II of the Elementary and Secondary Education Act as amended.

(20 U.S.C. 2901–2904)

These programs award grants to State eduction agencies.

The purpose of the awards in the Formula Grant Program is to help a State plan and implement basic skills improvement projects primarily through subgrants to eligible agencies and institutions in the State.

The purpose of the awards in the State Leadership Program is to support a State in carrying out leadership and training in the area of basic skills.

Closing Date for Transmittal of State Agreements

To ensure the Commissioner's consideration, a proposed State agreement for Fiscal Year 1980 must be mailed or hand delivered by January 20, 1980.

Applications delivered by mail: An agreement sent by mail must be addressed to the U.S. Office of Education, Basic Skills Office, (Donohoe Building, Room 1167) 400 Maryland Avenue, S.W., Attention: 13.599, Washington, D.C. 20202.

Applications delivered by hand: An agreement that is hand delivered must be taken to the U.S. Office of Education, Basic Skills Office, (Donohoe Building, Room 1167), 400 6th Street, S.W., Washington, D.C.

Available funds: It is expected that approximately $7,750,000 will be available for these programs in FY 1980 and the funds will be divided equally between the two programs.

Applicable regulations: Regulations applicable to these programs include the following:

(a) Proposed regulations to govern the State Formula Grant Program and the State Leadership Program (45 CFR Part 162) were published in the **Federal Register** on April 27, 1979 (44 FR 25148). States should base their proposed agreements on the proposed rules. When they are published as final regulations and become effective, these regulations will govern State agreements and grants under these programs.

(b) The Education Division General Administrative Regulations (EDGAR) (45 CFR Parts 100b and 100c).

EDGAR was published in proposed from or in the **Federal Register** on May 4, 1979 (44 FR 26298). When EDGAR is published as a final regulation and becomes effective, it will supersede the General Provisions Regulations for Office of Education Programs (the current 45 CFR Parts 100a through 100d) and also govern State agreements and grants under these programs.

If material changes relating to the preparation of State agreements for the current fiscal year are made in the final regulations governing these programs or in the EDGAR final regulations, the Commissioner may extend the closing date to permit States to amend their proposed agreements accordingly.

FOR FURTHER INFORMATION CONTACT: Mrs. Shirley Jackson, Diretor, Basic Skills Office, U.S. Office of Education, Room 1169, Donohoe Building, 400 Maryland Avenue, S.W., Washington, D.C. 20202, Telephone: (202) 245–8537.

(20 U.S.C. 2901–2904)

Dated: December 13, 1979.

John Ellis,

Executive Deputy Commissioner for Educational Programs.

(Catalog of Federal Domestic Assistance No. 13.599, Basic Skills and Educational Proficiency)

[FR Doc. 79-38803 Filed 12-18-79; 8:45 am]

BILLING CODE 4110-02-M

Emergency School Aid Act

AGENCY: Office of Education, HEW.

ACTION: Notice of Availability of Funds.

SUMMARY: Applications are invited for new projects under the Emergency School Aid Act for planning grants and transitional grants.

SUPPLEMENTARY INFORMATION: Authority for this program is contained in Sections 604(b)(2), 606(a)(1)(E), and 608(a) of Title VI of the Elementary and Secondary Education Act of 1965, as amended by Pub. L. 95–561 (20 U.S.C. 3194(b)(2), 3196(a)(1)(E), 3198(a)).

Planning grants are available to local educational agencies (LEAs). Transitional grants are available to LEAs and to State educational agencies (SEAs), other public agencies, and private nonprofit organizations that receive requests for assistance from LEAs.

Types of assistance available under the planning and transitional grant programs:

(a) *Planning Grants.* A planning grant helps an LEA in the development of a desegregation or other qualifying plan. The need for this assistance may arise from a court or agency order requiring the development of a plan or an LEA's decision to develop a voluntary plan to prevent, reduce or eliminate minority group isolation.

(b) *Transitional Grants.* A transitional grant provides three types of assistance

(1) *Pre-implementation assistance.* Pre-implementation assistance helps an LEA that has adopted but not implemented a required plan to prepare for the reassignment of children or faculty under the plan.

(2) *Out-of-cycle assistance.* Out-of-cycle assistance helps an LEA meet educational needs that arise from the implementation of a plan that was adopted too late to serve as the basis for an Emergency School Aid Act (ESAA) basic grant application in the regular funding cycle.

(3) *Special discretionary assistance.* Special discretionary assistance helps an LEA meet an unexpected educational need that arose from the implementation of a plan after the deadline for ESAA basic grant applications.

Closing Date for Transmittal of Applications: Applications for awards will be accepted at any time. However, applications received so late that they cannot be processed by September 30, 1980, will be returned to the applicant.

Applications delivered by mail: An application sent by mail should be addressed to the U.S. Office of Education, Application Control Center, Attention: 13.685, Planning Grants; 13.686 Pre-implementation Assistance Grants; 13.687 Out-of-cycle Assistance Grants; or 13.688 Special Discretionary Assistance Grants, Washington, D.C. 20202.

An applicant is encouraged to use registered, certified, or at least first class mail.

Applications delivered by hand: An application that is hand delivered must be taken to the U.S. Office of Education, Application Control Center, Room 5673, Regional Office Building 3, 7th and D Streets, S.W., Washington, D.C.

The Application Control Center will accept a hand delivered application between 8:00 a.m. and 4:30 p.m. (Washington, D.C. time) daily, except Saturdays, Sundays, and Federal holidays.

Program information: The Commissioner will consider for funding: (1) under a planning grant, any activity that is reasonably related to developing a qualifying plan; (2) under a pre-implementation assistance grant, any activity designed to meet an educational need that is reasonably related to the LEA's preparing for the reassignment of children or faculty under a qualifying plan; (3) under an out-of-cycle assistance grant, any activity designed to meet an educational need that arises from the implementation of a qualifying plan; and (4) under a special discretionary assistance grant, any activity designed to meet an unexpected educational need that arose from the implementation of a qulifying plan after the deadline for basic grant applications.

Available funds: The Commissioner anticipates that $29,000,000 will be made available for planning grants and transitional grants. This estimate does not bind the U.S. Office of Education.

Application forms: Application forms and program information packages may be obtained by writing to the Division of Program Operations, Equal Educational Opportunity Programs, Office of Education, Room 2007A, 400 Maryland Avenue, S.W., Washington, D.C. 20202.

Applications must be prepared and submitted in accordance with the regulations, instruction, and forms included in the program information package. The Commissioner further urges that the narrative portion of the application not exceed 40 pages in length. The Commissioner further urges that applicants not submit information that is not requested.

Applicable regulations: The regulation applicable to this program is the interim final regulation governing planning and transitional grants (45 CFR Part 185a) published in the **Federal Register** on November 26, 1979.

FURTHER INFORMATION: For further information, contact Dr. Shirley McCune, U.S. Office of Education, Room 2007, FOB–6, 400 Maryland Avenue, S.W., Washington, D.C. 20202. Telephone: (202) 245–8484.

(20 U.S.C. 3191–3207)

Dated: December 13, 1979.

John Ellis,

Executive Deputy Commissioner for Educational programs.

(Catalog of Federal Domestic Assistance Numbers: 13.685 Planning Grants; 13.686 Pre-implementation Assistance Grants; 13.687 Out-of-Cycle Assistance Grants; 13.688 Special Disretionary Assistance Grants)

[FR Doc. 79-38800 Filed 12-18-79; 8:45 am]

BILLING CODE 4110-02-M

Emergency School Aid Act

AGENCY: Office of Education, HEW.

ACTION: Closing Date for Transmittal of Applications.

SUMMARY: The closing date of December 7, 1979 for the transmittal of applications for the Emergency School Aid Act program for grants to nonprofit organizations is withdrawn. The new closing date will be announced when the new notice of proposed rulemaking for that program is published in the **Federal Register.**

SUPPLEMENTARY INFORMATION: Proposed regulations for the Emergency School Aid Act were published in the **Federal Register** on June 29, 1979. The proposed regulations governing awards to public and private nonprofit organizations (NPOs) are being extensively revised in light of the reduced level of funding for Fiscal Year 1980 and the public comments received in response to the proposed regulations. As a result, the Education Division will publish a new notice of proposed rulemaking for the NPO program in the near future.

A new notice of closing date will be published at the time the new proposed regulations appear in the **Federal Register.** That notice will include instructions for submitting applications and program information.

FOR INFORMATION CONTACT: Albert Macias, Division of Program Operations, Equal Educational Opportunity Programs, U.S. Office of Education, 400 Maryland Avenue, S.W., Room 2007A, Washington, D.C. 20202. Telephone: (202) 245–7965.

(20 U.S.C. 3191–3207)

Dated: December 13, 1979.

John Ellis,

Executive Deputy Commissioner for Educational Programs.

(Catalog of Federal Domestic Assistance Number: 13.529 Nonprofit Organization Grants)

[FR Doc. 79-38801 Filed 12-18-79; 8:45 am]

BILLING CODE 4110-02-M

State Student Incentive Grant Program and State Student Financial Assistance Training Program; Notice of Closing Dates for Receipt of State Applications for Fiscal Year 1980

This notice specifies closing dates for receipt of State applications for Fiscal Year 1980 funds under the State Student Incentive Grant Program (SSIG) and the State Student Financial Assistance Training Program (SSFAT). These two programs are separately authorized under the Higher Education Act of 1965, as amended: SSIG by Title IV–A–3 (20 U.S.C. 1070c–4) to assist States in providing initial and continuation grants to undergraduate students with substantial financial need; and SSFAT by Section 493c (20 U.S.C. 1088b–3) to help States design and develop programs to increase the proficiency of institutional and State financial aid administrators in all aspects of student financial assistance. Both authorizations specify that applications must be submitted by the same agency in each State.

As specified in the authorizations, applications will be accepted from the 50 States, the District of Columbia, Guam, American Samoa, the Virgin Islands, Puerto Rico, the Commonwealth

of the Northern Mariana Islands, and the Trust Territory of the Pacific Islands. Request for Fiscal Year 1980 SSIG funds must be received by the Office of Education on or before January 15, 1980; requests for SSFAT funds must be received on or before March 17, 1980.

CLOSING DATE: January 15, 1980, for SSIG and March 17, 1980, for SSFAT.

A. Application forms and information: Required application forms for SSIG and SSFAT will be mailed to officials of designated State agencies at least 30 days before the due date for submission. These forms contain table showing basis allotment amounts for individual States under each program, together with specific instructions for requesting the Federal funds.

Applications must be prepared and submitted in accordance with program regulations and pertinent instructions.

B. Application sent by mail: Applications sent by mail should be addressed to the Bureau of Student Financial Assistance, U.S. Office of Education, Regional Office Building 3, 7th and D Sts., S.W., Washington, D.C. SSIG applications should be marked for the attention of Ms. Lanora G. Smith, Acting Chief, State Student Incentive Grant Program, Room 4004; SSFAT applications should be marked for the attention of Ms. Patricia Hopson, Director, Division of Training and Dissemination, Room 4654. Applications must be received in the Office of Education on or before the closing date. The Office of education suggests that applicants consider the use of registered or certified mail as explained below to assure meeting the established deadlines.

An application sent by mail will be considered to be received on time by the Office of Education if:

(1) The application was sent by registered or certrified mail not later than Juanary 10, 1980, for SSIG and not later than March 12, 1980, for SSFAT, as evidence by the U.S. Postal Service postmark on the wrapper or envelope, or on the original receipt from the U.S. Postal Service; or

(2) The application is received on or before the closing date by either the Department of Health, Education, and Welfare, or the U.S. Office of Education mail rooms in Washington, D.C. In establishing the date of receipt, the Commissioner will rely on the time-date stamp of these mail rooms or other documentary evidence of receipt maintained by the Department of Health, Education, and Welfare, or the U.S. Office of Education.

C. Hand-Delivered Applications: An application to be hand delivered must be taken to the U.S. Office of Education, Bureau of Student Financial Assistance (Room 4004 for SSIG, and Room 4654 for SSFAT), Regional Office Building 3, 7th and D Streets, S.W., Washington, D.C. Hand delivered applications will be accepted daily between the hours of 8 a.m. and 4 p.m., except Saturdays, Sundays, and Federal holidays. Applications will not be accepted after 4 p.m. on the closing date.

D. Program Information: Applications are required annually for both SSIG and SSFAT. In formulating applications, the designated State agencies will be guided by the allotment tables provided with the application forms.

In each program, basic State allotment's are determined by formula and are not subject to negotiation. For SSIG, States may also request a share of reallotments, in addition to their basic allotments, contingent upon the availability of such funds through release by any States unable to use all their basic allotments. In FY 1979, all 50 States the District of Columbia, and six outlying areas participated in the SSIG student assistance delivery network.

Out of the $76.750 million FY 1980 SSIG appropriation, only $50 million is authorized for initial student awards. As provided in 45 CFR 192.3(f), States may divide their applications for SSIG basic allotments between initial and continuation students awards to meet their individual requirements; however, if the total of the State requests for initial student awards exceeds the $50 million authorized for these awards, the Office of Education reserves the right to adjust State requests in order to conform with the overall initial award authorization. State scholarship agencies should note the reference in SSIG regulations, 45 CFR 192.10(b), to "45 CFR 100b.92" (alternative matching procedures for States) should be changed to read "45 CFR 74.52."

States which operate student loan insurance programs under the provisions of Section 428(b), Higher Education Act, as amended, or which will have agreements with the Office of Education for the conduct of such programs by July 1, 1980, may also for SSIG "bonus" funds for making additional student grants in 1980–81, as provided in Section 415E, Higher Education Act, as amended. Bonus funds not earned by any States will be reallotted to States which are eligible for the bonus.

Amount available to individual States for SSFAT for FY 1980 will be based on State allotments in the Supplemental Educational Opportunity Grant, College Work-Study, and National Direct Student Loan programs. State application forms, to be supplied to agency officials in February, will contain lists of State entitlements. States which have previously participated in this program should focus their applications on continuation and expansion of activities under way, including provisions for program evaluation. For States not participating in FY 1979 (Hawaii, Louisiana, New Hampshire, Puerto Rico, and Wyoming), FY 1980 applications should indicate plans for carrying out SSFAT programs.

E. For further information: Regarding SSIG, contact Mrs. Lanora G. Smith, Acting Chief, State Student Incentive Grant Program, Bureau of Student Financial Assistance, U.S. Office of Education, Washington, D.C. 20202, Telephone (202) 472–4265. Regarding SSFAT, contact Ms. Patricia Hopson, Director, Division of Training and Dissemination, Bureau of Student Financial Assistance, U.S. Office of Education, Washington, D.C. 20202, Telephone (202) 472–3278.

F. Applicable regulations: For the SSIG program, the applicable regulations are found in 45 CFR Part 192. For the SSFAT program, the applicable regulations are found in 45 CFR Part 178a.

(SSIG–20 U.S.C. 1070c—1070c–4; SSFAT–20 U.S.C. 1088b–3)

Dated: December 13, 1979.

John Ellis,

Executive Deputy Commission for Educational Programs.

(Catalog of Federal Domestic Assistance Numbers: 13.548, State Student Incentive Grant Program; and 13.582, State Student Financial Assistance Training Program)

[FR Doc. 79-38802 Filed 12-18-79; 8:45 am]

BILLING CODE 4110-02-M

National Institute for Occupational Safety and Health

Carcinogenicity of Dimethylformamide; Laboratory Investigation of the Toxicity of Dimethylformamide; Control Technology Assessment Study of the Pulp and Paper Industry; Experimental Design for a Planned Study of Industrial Stairway Safety

Open Meetings

The following meetings will be convened by the National Institute for Occupational Safety and Health of the Center for Disease Control and will be open to the public for observation and participation, limited only by the space available:

Carcinogenicity of Dimethylformamide

Date: January 8, 1980.
Time: 2:00 p.m. to 4:30 p.m.
Place: Room B–36, 4676 Columbia Parkway, Cincinnati, Ohio 45226.
Purpose: To discuss the details of a research investigation that will be concerned with the long-term biological and possible carcinogenic effects on experimental animals from inhalation of dimethylformamide.
Additional information may be obtained from Dr. Choudari Kommineni, National Institute for Occupational Safety and Health (NIOSH), Center for Disease Control (CDC), 4676 Columbia Parkway, Cincinnati, Ohio 45226, telephone: 513/684–8356.

Laboratory Investigation of the Toxicity of Dimethylformamide

Date: January 8, 1980.
Time: 2:00 p.m. to 4:30 p.m.
Place: Room B–36, 4676 Columbia Parkway, Cincinnati, Ohio 45226.
Purpose: To discuss the details of a research protocol for an investigation of the carcinogenic effects of dimethylformamide in laboratory animals.
Additional information may be obtained from: Mr. William D. Wagner, Division of Biomedical and Behavioral Science, NIOSH, CDC, 4676 Columbia Parkway, Cincinnati, Ohio 45226, telephone: 513/684–8433.

Control Technology Assessment Study of the Pulp and Paper Industry

Date: January 10, 1980.
Time: 9:30 a.m.
Place: Holiday Inn (Holidome), 2100 Dixie Highway, Ft. Mitchell, Kentucky.
Purpose: To discuss protocol for the control technology assessment study of the pulp and paper industry.
Additional information may be obtained from: C. Ilana Howarth, Ph.C., Division of Physical Sciences and Engineering, NIOSH, CDC, 4676 Columbia Parkway, Cincinnati, Ohio 45226, telephone: 513/684–4295.

Experimental Design for a Planned Study of Industrial Stairway Safety

Date: January 15, 1980.
Time: 1:00 p.m. to 4:30 p.m.
Place: Room S–120, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505.
Purpose: To discuss the details of the experimental design to be used in an investigative study of industrial stairways.
Additional information may be obtained from: Mr. Roger C. Jensen, Division of Safety Research, NIOSH, CDC, 944 Chestnut Ridge Road, Morgantown, West Virginia 26505, telephones: Commercial: 304/599–7454, FTS: 923–7454.

Dated: December 13, 1979.

William H. Foege,

Director, Center for Disease Control.

[FR Doc. 79-38859 Filed 12-18-79; 8:45 am]

BILLING CODE 4110-87-M

DEPARTMENT OF THE INTERIOR

Bureau of Land Management

[Colorado 27551]

Colorado; Order Providing for Opening of National Forest Lands

December 13, 1980.

The Federal Energy Regulatory Commission issued an order, March 29, 1978 (FR 43, Page 14354) (FR doc. 78–8929) vacating in their entirety land withdrawn for power development Projects No. 736, 1056, and 1825—Colorado affecting the following described National Forest lands:

Uncompahgre National Forest

New Mexico Principal Meridian

Project No. 736:
T. 42 N., R. 10 W.,
Sec. 26, SW¼SW¼;
Sec. 27, SE¼SE¼;
Sec. 34, E½NE¼ and NE¼SE¼;
Sec. 35, NW¼NW¼.
The area described contains approximately 240 acres.

Project No. 1056:
T. 42 N., R. 8 W. (surveyed suspended)
Certain lands (acreage not determined), shown on a map in two sheets designated FPC No's 1056–1 and –2, withdrawn pursuant to the filing on January 15, 1930 of an application for license for Project 1056.

Project No. 1826:
T. 35 N., R. 5 and 6 W.,
Certain lands (acreage not determined), withdrawn pursuant to the filing on January 27, 1941, of an application for license for Project No. 1826.

2. At 10 a.m. on January 24, 1980 the above described lands shall be open to such forms of appropriation as may by law be made of National Forest land.

Inquiries concerning the lands should be addressed to the undersigned, Bureau of Land Management, Room 700, Colorado State Bank Building, 1600 Broadway, Denver, CO 80202.

Robert D. Dinsmore,

Chief, Branch of Adjudication.

[FR Doc. 79-38880 Filed 12-18-79; 8:45]

BILLING CODE 4310-84-M

[Colorado 27549]

Colorado; Order Providing for Opening of National Forest Lands

December 13, 1980.

The Federal Energy Regulatory Commission issued an order February 23, 1978 (FR 43, pages 8586–88) (FR Doc. 78–5375) vacating in their entirety land withdrawals for power development Projects, Nos. 385, 445, 506, 519, 1220, 1296, 1418, 1519, 1576, 1615, 1616, 1618, 1678, 1682, and 1750–Colorado, affecting small portions of the following described National Forest Lands:

Sixth Principal Meridian (Unless Otherwise Noted)

1. Project No. 385 (White River National Forest):
Portions (totaling about 5 acres) of the following described subdivision were withdrawn pursuant to the filing on February 5, 1923, of an application for license for Project No. 385 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office (now Bureau of Land Management) by letter dated February 23, 1923:

T. 5 S., R. 88 W.,
Sec. 32, SW¼.

2. Project No. 445 (Arapaho National Forest):
Portions (totaling about 10 acres) of the following described subdivisions were withdrawn pursuant to the filing on October 23, 1923, of an application for license for Project No. 445 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated November 5, 1923:

T. 7 S., R. 77 W.,
Sec. 29, NW¼SW¼;
Sec. 30, SE¼NW¼, S½NE¼, NE¼SE¼.

3. Project No. 506 (Arapaho National Forest):
Portions (totaling about 4 acres) of the following described subdivisions were withdrawn pursuant to the filing on May 23, 1924, of an application for license for Project No. 506 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated May 29, 1924:

T. 4 S., R. 74 W.,
Sec. 1, lots 16, 48;
Sec. 12, lots 2, 40, 45, 46, 100.

4. Project No. 519 (Arapaho and Roosevelt National Forests):
Portions (totaling about 56 acres) of the following described subdivisions were withdrawn pursuant to the filing on July 18, 1924, of an application for license for Project No. 519 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated August 21, 1924:

T. 2 S., R. 74 W.,
Sec. 2, SW¼NW¼;
Sec. 5, S½S½;
Sec. 6, S½SE¼;
Sec. 8, NE¼NE¼;
Sec. 9, N½NW¼, SW¼NE¼;
T. 2 S., R. 75 W.,
Sec. 1, S½;
Sec. 2, SE¼;
Sec. 10, E½;
Sec. 11, N½;
Sec. 12, N½N½.

5. Project No. 1220 (Roosevelt National Forest):
Portions (totaling about 6 acres) of the following described subdivisions were withdrawn pursuant to the filing on September 21, 1932, of an application for license for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated October 4, 1932:

T. 4 N., R. 73 W.,
Sec. 11, SW¼NE¼, NW¼SE¼.

6. Project No. 1296 (Pike National Forest):
Portions (totaling about 1 acre) of the following described subdivisions were withdrawn pursuant to the filing on January 10, 1935, of an application for license for Project No. 1296 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated March 3, 1936:

T. 12 S., R. 68 W.,
Sec. 31, W½SW¼, SE¼SW¼.

7. Project No. 1418 (Arapaho National Forest):
Portions (totaling about 6 acres) of the following described subdivision were withdrawn pursuant to the filing on January 18, 1937, of an application for license for Project No. 1418 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated February 18, 1937:

T. 8 S., R. 78 W.,
Sec. 2, S½NW¼.

8. Project No. 1519 (Arapaho National Forest):
Portions (totaling about 8 acres) of the following described subdivisions were withdrawn pursuant to the filing on October 28, 1938, of an application for license for Project No. 1519 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated December 23, 1938:

T. 2 S., R. 75 W.,
Sec. 3, SW¼SE¼, SE¼SW¼, W½SW¼;
Sec. 4, NW¼NE¼, S½NE¼, NE¼SE¼;
Sec. 10, NE¼, NE¼NW¼.

9. Project No. 1576* (Arapaho Forest):
Certain lands (acreage not determined) lying within or near the following described sections were withdrawn pursuant to the filing on February 14, 1939, of an application for license for Project No. 1576:

T. 3 S., R. 74 W.,
Secs. 2, 11.

10. Project No. 1615* (Roosevelt National Forest):
Portions (totaling about 1.5 acres) of the following described subdivision were withdrawn pursuant to the filing on August 12, 1939, of an application for license for Project No. 1615:

T. 5 N., R. 72 W.,
Sec. 21, SE¼SW¼.

11. Project No. 1616* (Roosevelt National Forest):
Certain lands (acreage not determined) lying within the following described sections were withdrawn pursuant to the filing on August 21, 1939, of an application for license for Project No. 1616:

T. 5 N., R. 70 W.,
Secs. 6, 7.
T. 5 N., R. 71 W.,
Secs. 1, 2, 3, 4.
T. 6 N., R. 71 W.,
Sec. 33.

12. Project No. 1618* (Rio Grande National Forest):
Portions (acreage not determined) of the following described sections were withdrawn pursuant to the filing on August 30, 1939, of an application for license for Project No. 1618:

T. 39 N., R. 3 E., New Mexico Principal Meridian, Colorado,
Secs. 3, 9.

13. Project No. 1678* (Arapaho National Forest):
Portions (acreage not determined) of the following described sections were withdrawn pursuant to the filing on February 3, 1940, of an application for license for Project No. 1678:

T. 5 S., R. 71 W.,
Sec. 31.
T. 6 S., R. 71 W.,
Sec. 6.

14. Project No. 1682* (Pike National Forest):
Portions (acreage not determined) of the following described sections were withdrawn pursuant to the filing on February 6, 1940, of an application for license for Project No. 1682:

T. 7 S., R. 72 W.,
Sec. 30.
T. 7 S., 73 W.,
Secs. 25, 27.
T. 7 S., R. 74 W.,
Sec. 12.

15. Project No. 1750* (Rio Grande National Forest):
Portions (acreage not determined) of the following described section were withdrawn pursuant to the filing on August 20, 1940, of an application for license for Project No. 1750:

T. 40 N., R. 3E., New Mexico Principal Meridian, Colorado,
Sec. 29.

2. At 10 a.m. on January 24, 1980 the above described National Forest lands shall be open to such forms of appropriation as may by law be made of National Forest land.

Inquiries concerning the lands should be addressed to the undersigned, Bureau of Land Management, Room 700, Colorado State Bank Building, 1600 Broadway, Denver, CO 80202.

Robert D. Dinsmore,
Chief, Branch of Adjudication.

[FR Doc. 79-38861 Filed 12-18-79; 8:45 am]
BILLING CODE 4310-84-M

[Colorado 27550]

Colorado; Order Providing for Opening of National Forest Lands

December 13, 1980.

The Federal Energy Regulatory Commission issued an order February 23, 1978 (FR 43, page 8588) (FR Doc. 78-5376) vacating in their entirety land withdrawals for power development Projects, Nos. 373, 521, 937, 1024, 1415, 1546, 1547, and 1825, affecting small portions of the following described National Forest lands:

Sixth Principal Meridian

1. Project No. 373 (Arapaho and Pike National Forests):
Portions (totaling about 42 acres) of the following described subdivisions were withdrawn pursuant to the filing on December 18, 1922, of an application for license for Project No. 373 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office (now Bureau of Land Management) by letter dated January 22, 1923:

T. 5 S., R. 76 W.,
Sec. 35, E½SE¼.
T. 6 S., R. 76 W.,
Sec. 2, NW¼, NW¼SW¼;
Sec. 3. S½NE¼, SE¼;
Sec. 10, W½NE¼, E½NW¼, NE¼SW¼, SE¼;
Sec. 14, NW¼, NE¼SW¼;
Sec. 15, NE¼NE¼.
T. 6 S., R. 77 W.,
Sec. 7, NE¼SW¼.

2. Project No. 521 (Roosevelt National Forest):
Portions (toaling about 4 acres) of the following described subdivisions were withdrawn pursuant to the filing on July 18, 1924, of an application for license for Project No. 521 for which the Commission (FPC) gave notice if land withdrawal to the General Land Office by letter dated August 21, 1924, as corrected by letter dated September 17, 1924:

T. 1 N., R. 71 W.,
Sec. 6, NE¼SW¼ (outside National Forest).
T. 1 N., R. 72 W.,
Sec. 1, N½SE¼, SW¼SE¼.

3. Project No. 1825* (San Isabel National Forest):
Certain lands (acreage not determined) lying within the following described sections were withdrawn pursuant to the filing on January 25, 1941, of an application for license for Project No. 1825:

T. 21 S., R. 69 W.,
Sec. 34.
T. 22 S., R.69 W.,
Sec. 24.

New Mexico Principal Meridian, Colorado

1. Project No. 937 (San Juan National Forest):
Portions (totaling about 47 acres) of the following described subdivisions were withdrawn pursuant to the filing on December 1, 1928, of an application for license for Project No. 937 for which the Commission (FPC) gave notice of land withdrawal to the General Land Office by letter dated January 2, 1939:

T. 36 N., R. 11 W.,
Sec. 2, N½N½, SW¼NW¼;
Sec. 3. S½NE¼, NE¼SW¼, NW¼SE¼;
Sec. 9, NE¼NE¼, S½NE¼, E½SW¼, NW¼SE¼;
Sec. 16, E½NW¼;
Sec. 21, E½NW¼, SW¼;
Sec. 28, NW¼NW¼;
Sec. 33, NW¼NE¼, SE¼NE¼, E½SE¼.
T. 37 N., R. 11 W.,
Sec. 36, S½SW¼.

2. Project No. 1024 (San Juan National Forest):
Portions (totaling about 4 acres) of the following described subdivisions were withdrawn pursuant to the filing on October 5, 1929, of an application for license for project No. 1024 for which the Commission (FPC) gave notice of land withdrawal to the

* Notice of Land Withdrawal not issued.

General Land Office by letter dated December 11, 1929, as corrected by letter dated December 21, 1929, and adjusted by letter dated December 15, 1931:

T. 36 N., R. 12 W.,
Sec. 31, NE¼NE¼.
T. 36 N., R. 13 W.,
Sec. 25, lot 1 (outside National Forest);
Sec. 26, S½NW¼.

3. Project No. 1415* (Uncompahgre National Forest):
Certain lands (acreage not determined) lying within the following described sections were withdrawn pursuant to the filing on December 28, 1936, of an application for license for Project No. 1415:

T. 43 N., R. 7 W.,
Secs. 7, 8, 17, 18.

4. Project No. 1546* (Uncompahgre National Forest):
Certain lands (acreage not determined) lying within the following described section were withdrawn pursuant to the filing on February 9, 1939, of an application for license for Project No. 1546:

T. 44 N., R. 7 W.,
Sec. 31.

5. Project No. 1547* (Uncompahgre National Forest):
Certain lands (acreage not determined) lying within the following described sections were withdrawn pursuant to the filing on February 9, 1939, of an application for license for Project No. 1547:

T. 44 N., R. 7 W.,
Secs. 29, 30.

At 10 a.m. on January 24, 1980 the above described lands shall be open to such forms of appropriation as may by law be made of National Forest land.

Inquiries concerning the lands should be addressed to the undersigned, Bureau of Land Management, Room 700, Colorado State Bank Building, 1600 Broadway, Denver, Colorado 80202

Robert D. Dinsmore,
Chief, Branch of Adjudication.

[FR Doc. 79-38862 Filed 12-18-79; 8:45 am]
BILLING CODE 4310-84-M

[U-44230]

Consolidated Coal Co.; Coal Exploration Program

Consolidation Coal Company hereby invites all interested parties to participate on a cost sharing basis in its coal exploration program concerning federally owned coal located in Sevier and Emery Counties, Utah. The proposed areas of interest are located in:

T. 24 S., R. 5 E., SLM, Utah
Sec. 13, E¼, E½NW¼, NE¼SW¼.
T. 22 S., R. 6 E., SLM, Utah
Sec. 13, S½NW¼, N½SW¼, SW¼SW¼;
Sec. 14, S½SE¼;
Sec. 23, E½NE¼, S½SW¼, SE¼;
Sec. 26, all;
Sec. 34, S½;
Sec. 35, N½, SW¼, N½SE¼, SW¼SE¼.
T. 23 S., R. 6 E., SLM, Utah
Sec. 3 and 10, all;
Sec. 11, W½E½, W½.
T. 24 S., R. 6 E., SLM, Utah
Sec. 5, S½;
Sec. 6, E½SE¼;
Sec. 7, S½NE¼, SE¼;
Secs. 8 and 18, all.

The purpose of the drilling program is to determine the quality and quantity of the coal in the area.

A detailed description of the drilling program is available for review during normal business hours in the following offices:

State Director, Bureau of Land Management, University Club Bldg., 136 East South Temple, Salt Lake City, Utah 84111; and Bureau of Land Management, 900 North 7th East, Price, Utah 84501.

Any persons electing to participate in this exploration program must send written notice to both the Bureau of Land Management and Consolidation Coal Company no later than thirty calendar days after publication of this invitation in the Federal Register.

The written notice for Consolidation Coal Company must be sent to the following address:

Consolidation Coal Company, Western Exploration Group, No. 14 Inverness Drive East, Bldg., 6, Englewood, Colorado 80112.

The written notice to the Bureau of Land Management should be sent to:

State Director, Bureau of Land Management, University Club Bldg., 136 East South Temple, Salt Lake City, Utah 84111.

L. Pollick,
Chief, Branch of Lands and Minerals Operations.

[FR Doc. 79-38863 Filed 12-18-79; 8:45 am]
BILLING CODE 4310-84-M

Office of Surface Mining Reclamation and Enforcement

[Federal Leases Nos. C-22644, C-20900, C-128433, C-081330, D-052547, and C-16284]

Availability for Public Review of Proposed Major Modification to a Coal Mining and Reclamation Plan; Energy Fuels Corp.—Energy No. 1 and Energy No. 2 Mines; Routt County, Colo.

AGENCY: Office of Surface Mining Reclamation and Enforcement, Interior

ACTION: Availability for public review of proposed modification to a Coal Mining and Reclamation Plan

SUMMARY: Pursuant to § 211.5 of Title 30 and § 1506.6 of Title Code of Federal Regulations, notice is given that the Office of Surface Mining has received a major modification of a previously-approved mining and reclamation plan. The proposed modification is described below.

Location of Lands To Be Affected by Modification

Applicant: Energy Fuels Corporation
Mine Name: Energy No. 1 & No. 2
State: Colorado
County: Routt
Township, Range, Section: T. 5 N., R. 86 W., Sections 19, 20, 21, 28, 29, 31, 32, 33, 34; T. R., 87 W., Sections 24, 25, 36; T. 4 N., R 86 W., 7, 8, 9, 16, 17, 18, 19, 30; and T. 4 N., R 87 W., Sections 13, 24, 25.
Office of Surface Mining Reference No.: CO-0003

The mines are located approximately 25 miles west-southwest of Steamboat Springs, Colorado in Routt County along County Road number 27 which runs between Oak Creek and Hayden. The proposed modification involves mining and associated disturbance of 1,800 acres of the total permit area of 6,680 acres. The mines are dragline and shovel operations removing predominantly Federal coal and a small percentage of private coal. The coal is shipped by the Denver and Rio-Grande Railroad to Illinois Power Company and the Public Service Company of Colorado. The reported annual production rate would be 3.9 million tons per year over a six year period (1980 to 1985). The proposed modification involves an extension of mining activities southwest from the presently mined area. The operation would involve the extraction of coal primarily from the Wadge seam and, where economically feasible, from the overlying Lennox seam. The area scheduled for mining is outside the mining boundaries previously approved by the Department. Energy Fuels is requesting variances from contemporaneous reclamation in 3 areas, that portion of the mine where auger mining is to occur, a portion of the mine associated with the initial boxcut because of spoil handling problems and a portion of the mine where a proposed underground portal would be located.

Energy Fuels No. 1 and No. 2 mines were discussed in the final environmental impact statement titled the *Northwest Colorado Coal Regional Analysis* prepared by the Bureau of Land Management (BLM) in January, 1977. This EIS is available for review at the Office of Surface Mining, the BLM, State Office, Denver, Colorado and the BLM District Office, Craig, Colorado.

The project modification submitted by Energy Fuels for these mines is available for public review in the Library, Office of Surface Mining, Region V, Brooks Towers, 1020 15th

* Notice of land withdrawal not issued.

Street, Denver, Colorado and at the Routt County Clerks office in Steamboat Springs, Colorado.

This notice is issued at this time for the convenience of the public. The Office of Surface Mining has not determined whether the proposed modification is technically adequate. OSM will request additional information during the technical review. Any information so obtained will also be available for public review.

No action with respect to approval of the plan shall be taken by the Regional Director for a period of 30 days after publication of this Notice of Availability in the **Federal Register**. Prior to making a final decision regarding this proposed amendment, the Office of Surface Mining will issue a Notice of Pending Decision pursuant to § 21.5(c)(2) of Title 30, Code of Federal Regulation.

FOR FURTHER INFORMATION CONTACT: Keith G. Kirk or John Hardaway, Office of Surface Mining, Region V, Brooks Towers, 1020 15th Street, Denver, Colorado 80202; (303)(837–3773).

Robert H. Hagen,

Acting Regional Director.

[FR Doc. 79–38684 Filed 12–18–79; 8:45 am]

BILLING CODE 4310–05–M

Water and Power Resources Service

[INT-DES 79–61]

Salmon Falls Division, Upper Snake River Project; Availability of Draft Environmental Statement

Pursuant to section 102(2)(C) of the National Environmental Policy Act of 1969, as amended, the Department of the Interior has prepared a draft environmental statement on a proposed water development plan that would provide both full and supplemental irrigation water and enhance wildlife habitat in Twin Falls and Cassia Counties in central southern Idaho. Written comments may be submitted to the Regional Director on or before February 4, 1980.

Copies are available for inspection at the following locations:

Director, Office of Environmental Affairs, Room 7622, Water and Power Resources Service, Washington, DC 20240, telephone: (202) 343–4991.

Division of Management Support, General Services, Library Section, Code 950, Engineering and Research Center, Denver Federal Center, Denver, CO 80225, telephone: (303) 234–3019.

Regional Director, Water and Power Resources Service, Federal Building, 550 West Fort Street, Boise, ID 83724, telephone: (208) 384–1908.

Minidoka Project Office, Water and Power Resources Service, 1359 Hansen Avenue, Box 549, Burley, ID 83318, telephone: (208) 678–0461.

Single copies of the statement may be obtained on request to the Commissioner, Water and Power Resources Service, or the Regional Director, at the above addresses. Copies will also be available for inspection in libraries in the project vicinity.

Dated: December 14, 1979.

James H. Rathlesberger,

Special Assistant to Assistant Secretary of the Interior.

[FR Doc. 79–38845 Filed 12–18–79; 8:45 am]

BILLING CODE 4310–09–M

INTERNATIONAL TRADE COMMISSION

[Investigation No. 337–TA–75]

Certain Large Video Matrix Display Systems, and Components Thereof; Notice of Investigation

Notice is hereby given that a complaint was filed with the U.S. International Trade Commission on October 25, 1979, under section 337 of the Tariff Act of 1930, as amended (19 U.S.C. 1337), on behalf of Stewart-Warner Corporation, 1926 West Diversey Parkway, Chicago, Illinois 60614, alleging that unfair methods of competition and unfair acts exist in the importation of certain large video matrix display systems or components thereof into the United States, or in their sale, because such large video matrix display systems are: (a) Allegedly covered by the claims of U.S. Letters Patent Nos. 3,495,762; 3,941,926; 4,009,335; and 4,148,073, and (b) sold on such terms and conditions as to represent no reasonable expectation of a profit or to break even and which are predatory in nature.

The complaint alleges that the effect or tendency of the unfair methods of competition and unfair acts is to destroy or substantially injure an industry, efficiently and economically operated, in the United States.

Complainant requests a temporary order of exclusion from entry into the United States of the imports in question. Complainant further requests that, after a full investigation, a permanent exclusion of said imports be ordered and a cease and desist order be issued.

Having considered the complaint, the Commission, on November 20, 1979, ORDERED THAT—

(1) Pursuant to subsection (b) of section 337 of the Tariff Act of 1930, as amended (19 U.S.C. 1337), an investigation be instituted to determine only whether there is, or there is reason to believe there is, a violation of subsection (a) of this section in the unlawful importation of certain large video matrix display systems or components thereof into the United States, or in their sale, because such large video matrix display systems are allegedly covered by the claims of U.S. Letters Patent Nos. 3,495,762; 3,941,926; 4,009,335; and 4,148,073, the effect or tendency of which is to destroy or substantially injure an industry, efficiently and economically operated, in the United States;

(2) For the purpose of this investigation so instituted, the following are hereby named as parties upon which this notice of investigation shall be served:

(a) The complainant is—Steward-Warner Corporation, 1826 West Diversey Parkway, Chicago, Illinois 60614.

(b) The respondents are the following parties upon which the complaint is to be served:

SSIH Equipment S.A., a member of the Omega Electronics Group, Rue Stampfli, CH–2503 Bienne, Switzerland.

The Milwaukee Brewers Baseball Club, Inc., Milwaukee County Stadium, 201 S. 46th Street, Milwaukee, Wisconsin 53214;

(c) Donald R. Dinan, U.S. International Trade Commission, 701 E Street NW., Washington, D.C. 20436, is hereby named Commission investigative attorney, a party to this investigation; and

(3) For the investigation so instituted, Chief Administrative Law Judge Donald K. Duvall, U.S International Trade Commission, 701 E Street NW., Washington, D.C. 20436, shall designate the presiding officer.

Responses must be submitted by the named respondents in accordance with § 210.21 of the Commission's Rules of Practice and Procedure, as amended (19 CFR 210.21). Pursuant to sections 201.16(d) and 210.21(a) of the rules, such responses will be considered by the Commission if received not later than 20 days after the date of service of the complaint. Extensions of time for submitting a response will not be granted unless good and sufficient cause therefor is shown.

Failure of a respondent to file a timely response to each allegation in the complaint and in this notice may be deemed to constitute a waiver of the right to appear and contest the allegations of the complaint and this notice, and to authorize the presiding officer and the Commission, without further notice to the respondent, to find the facts to be as alleged in the complaint and this notice and to enter both a recommended determination and a final determination containing such finding.

Pursuant to section 337(b)(3) of the Tariff Act of 1930, as amended by section 1105(a)(2) of the Trade Agreements Act of 1979, and section 201.4(d) of the Commission's Rules of Practice and Procedure, the Commission is notifying the Secretary of the Treasury that it has reason to believe that this matter is based in part on alleged acts and effects which are within the purview of section 303 of the Tariff of 1930 or of the Antidumping Act, 1921.

The complaint, except for the confidential information contained therein, is available for inspection by interested persons at the Office of the Secretary, U.S. Transportation Trade Commission, 701 E Street, NW., Washington, D.C. 20436 and in the Commission's New York City Office, 6 World Trade Center, New York, New York 10048.

Issued: December 14, 1979.

By order of the Commission.

Kenneth R. Mason,

Secretary.

[FR Doc. 79–38822 Filed 12–18–79; 8:45 am]

BILLING CODE 7020–02–M

NATIONAL FOUNDATION ON THE ARTS AND THE HUMANITIES

Arts and Artifacts Indemnity Panel; Advisory Committee Renewal

December 14, 1979.

In accordance with the provisions of the Federal Advisory Committee Act (Pub. L. 92–463) and Office of Management and Budget Circular A–63 of March 1974, and after consultation with the Committee Management Secretariat, notice is hereby given that renewal of the Arts and Artifacts Idemnity Panel (Advisory Committee) has been approved by the Chairman of the Federal Council on the Arts and the Humanities.

The Arts and Artifacts Idemnity Panel (Advisory Committee's) activities include: (1) Advising the Federal Council on policy options related to the administration of the Arts and Artifacts Idemnity Act (Pub. L. 94–158); (2) Reviewing and making recommendations on applications for Federal indemnity; (3) Providing expert judgment with respect to the dollar valuation, the adequacy of packing, shipping, and security arrangements, and the cultural, historical, educational, and scientific significance of the objects to be idemnified; and (4) Reviewing claims submitted for payment under the Idemnity Act.

The charter for the Arts and Artifacts Idemnity Panel has been filed with the standing committees of the Senate and the House of Representatives having jurisdiction over the Federal Council and with the Library of Congress.

Stephen J. McCleary,

Advisory Committee Management Officer.

[FR Doc. 79–38933 Filed 12–18–79; 8:45 am]

BILLING CODE 7536–01–M

NUCLEAR REGULATORY COMMISSION

Abnormal Occurrence; Major Degradation of Primary Containment Boundary

Section 208 of the Energy Reorganization Act of 1974, as amended, requires the NRC to disseminate information on abnormal occurrences (i.e., unscheduled incidents or events which the Commission determines are significant from the standpoint of public health and safety). The following incident was determined to be an abnormal occurrence using the criteria published in the **Federal Register** on February 24, 1977 (42 FR 10950). Appendix A (Example II.A.2) of the Policy Statement notes that major degradation of the primary containment boundary can be considered an abnormal occurrence. The following description of the event also contains the remedial actions taken.

Date and Place—On September 14, 1979, the Consumers Power Company notified the NRC of discovery of two improperly positioned valves in the containment purge system at their Palisades Nuclear Plant. The Palisades Nuclear Plant utilizes a pressurized water reactor designed by Combustion Engineering Co. and is located in Van Buren County, Michigan.

Nature and Probable Consequences—While preparing to perform a "Type C" (local isolation valve) leak test between two manual valves in a 4 inch bypass line around the main 48 inch containment purge valve, plant personnel discovered that both of these manual isolation valves were locked in the open position. These valves should have been locked closed. Investigation by the licensee indicated that the valves may have been improperly positioned since April, 1978 when an efficiency test of the bypass line filters was performed. The plant has operated at power for the major portion of that time period.

The valve misalignment did not result in any actual adverse impact on the public health. However, had an accident occurred wherein fuel was damaged and primary coolant released into the containment while the valves were misaligned in the open position, a significant release of radioactive material from the containment could have occurred. Were such a release to occur, there is no instrumentation to identify those open valves as the cause.

The initial design purpose for the bypass system was to provide a long term hydrogen control captability for the containment atmosphere following a design basis accident.[1] It was intended that after approximately 30 days following an accident, when containment pressure and activity levels dropped sufficiently to permit venting, this system would be manually valved to vent the containment atmosphere, through high efficiency and charcoal filters, to the exhaust stack. Thus the components in the bypass line beyond the two manual isolation valves were not designed for the severe service they would be exposed to with the valves open during the initial pressure surge of the design basis accident, and significant uncontrolled release would result. High radiation in the vicinity of the bypass line would also make immediate closing of the manual isolation valves, even if identified as the source of leakage, an extremely hazardous operation.

Cause or Causes—The principle cause for this event was lack of the necessary attention to detail in development of procedures for ensuring containment integrity. The master containment integrity valve line-up checklist, which is used to perform a valve line-up prior to each startup from cold shutdown, did not include these valves. The filter efficiency test procedure for the 4 inch bypass line did not adequately specify the final position of these valves, and this is the probable cause for the valves being left incorrectly positioned in April of 1978.

Actions Taken to Prevent Recurrence

Licensee—The licensee has revised both of the above mentioned procedures to assure that proper positioning of these valves is addressed. Concurrently the licensee is reviewing all other paths from containment to assure that procedures and checklists are complete. The licensee has also asked a qualified consultant to perform an independent review for the same purpose.

NRC—The NRC site inspector verified the corrective actions taken by the licensee. The regional office determined that this event constitutes an item of noncompliance of the violation category.

[1] Palisades now has recombiners installed for hydrogen control.

The NRC staff determined that the event demonstrated a weakness in the licensee's ability to control testing and maintenance activities, to develop and review procedures, to adhere to approved proceures and to conduct audit activities. The Director, Office of Inspection and Enforcement (IE), also determined that the potential public hazard had been high. As a result on November 9, 1979 the staff proposed imposition of civil penalties in the amount of $450,000.00 for the prolonged violation of containment integrity. On the same date, the staff issued an Order to require that appropriate review of checklists and procedures be performed to assure that engineered safety features are in compliance with the specifications of the license and that monthly inspections of these features be conducted. The Order further required a meeting with NRC management prior to resumption of operation.

IE Information Notice 79–26 was issued on November 5, 1979 to all holders of operating licenses and construction permits to provide them with the details of this occurrence. On November 16, 1979 the Director, Office of Inspection and Enforcement, sent a letter to chief executives of all utilities with operating licenses and construction permits informing them of the enforcement action against Consumers Power Company and stating the intention to take similar action in any future instances where ineffective management leads to a serious breach of safety.

Dated at Washington, D.C., this 13th day of December 1979.

For the Nuclear Regulatory Commission.

Samuel J. Chilk,

Secretary of the Commission.

[FR Doc. 79–38809 Filed 12–18–79; 8:45 am]

BILLING CODE 7590–01–M

Advisory Committee on Reactor Safeguards Ad Hoc Subcommittee on Three Mile Island, Unit 2, Accident Bulletins and Orders and the Emergency Core Cooling System Subcommittee; Meeting

The ACRS Ad Hoc Subcommittee on the Three Mile Island, Unit 2 Accident Bulletins and Orders and the Emergency Core Cooling System Subcommittee will hold a joint meeting in January 3–4, 1980 at the Airport Park Hotel, 600 Avenue of Champions, Inglewood, CA 90301 to consider the NRC Office of Inspection and Enforcement Bulletins and NRC Orders pertaining to the TMI–2 Accident, including information related to the small-break loss of coolant accident. Notice of this meeting was published December 20, 1979.

In accordance with the procedures outlined in the **Federal Register** on October 1, 1979, (44 FR 56408), oral or written statements may be presented by members of the public, recordings will be permitted only during those portions of the meeting when a transcript is being kept, and questions may be asked only by members of the Subcommittee, its consultants, and Staff. Persons desiring to make oral statements should notify the Designated Federal Employee as far in advance as practicable so that appropriate arrangements can be made to allow the necessary time during the meeting for such statements.

The agenda for subject meeting shall be as follows:

Thursday, January 3, and Friday, January 4, 1980

8:30 a.m. Until the Conclusion of Business Each Day

The Subcommittees may meet in Executive Session, with any of their consultants who may be present, to explore and exchange their preliminary opinions regarding matters which should be considered during the meeting.

At the conclusion of the Executive Session, the Subcommittees will hear presentations by and hold discussions with representatives of the NRC Staff, the nuclear industry, various utilities, and their consultants, and other interested persons.

In addition, it may be necessary for the Subcommittees to hold one or more closed sessions for the purpose of exploring matters involving proprietary information. I have determined, in accordance with Subsection 10(d) of the Federal Advisory Committee Act (Pub. L. 92–463), that, should such sessions be required, it is necessary to close these sessions to protect proprietary information. See 5 U.S.C. 552b(c)(4).

Further information regarding topics to be discussed, whether the meeting has been cancelled or rescheduled, the Chairman's ruling or requests for the opportunity to present oral statements and the time allotted therefor can be obtained by a prepaid telephone call to the cognizant Designated Federal Employee, Dr. Andrew L. Bates (telephone 202/634–3267) between 8:15 a.m. and 5:00 p.m. EST.

Background information concerning items to be discussed at this meeting can be found in documents on file and available for public inspection at the NRC Public Document Room, 1717 H Street, NW, Washington, DC 20555 and at the Government Publications Section, State Library of Pennsylvania, Education Building, Commonwealth and Walnut Street, Harrisburg, PA 17126.

Dated: December 13, 1979.

John C. Hoyle,

Advisory Committee Management Officer.

[FR Doc. 79–38804 Filed 12–18–79; 8:45 am]

BILLING CODE 7590–01–M

[Dockets Nos. 50–315 and 50–316]

Indiana & Michigan Electric Co.; Notice of Issuance of Amendment to Facility Operating License

The U.S. Nuclear Regulatory Commission (the Commission) has issued Amendment No. 34 to Facility Operating License No. DPR–58, and Amendment No. 15 to Facility Operating License No. DPR–74 issued to Indiana and Michigan Electric Company (the licensee), which revised Technical Specifications for operation of Donald C. Cook Nuclear Plant, Unit Nos. 1 and 2 (the facilities) located in Berrien County, Michigan. The amendments are effective as of the date of issuance.

The amendments require the maximum allowable purge isolation valve closure times to be reduced from 10 to 5 seconds.

The application for the amendments complies with the standards and requirements of the Atomic Energy Act of 1954, as amended (the Act), and the Commission's rules and regulations. The Commission has made appropriate findings as required by the Act and the Commission's rules and regulations in 10 CFR Chapter I, which are set forth in the license amendments. Prior public notice of these amendments was not required since the amendments do not involve a significant hazards consideration.

The Commission has determined that the issuance of these amendments will not result in any significant environmental impact and that pursuant to 10 CFR 51.5(d)(4) an environmental impact statement or negative declaration and environmental impact appraisal need not be prepared in connection with issuance of these amendments.

For further details with respect to this action, see (1), the application for amendments dated February 3, 1978 and March 7, 1979, (2) Amendment Nos. 34 and 15 to License Nos. DPR–58 and DPR–74, and (3) the Commission's related Safety Evaluation. All of these items are available for public inspection at the Commission's Public Document Room, 1717 H Street, NW., Washington, D.C. and at the Maude Reston Palenske Memorial Library, 500 Market Street, St. Joseph, Michigan 49085. A copy of items (2) and (3) may be obtained upon

request addressed to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555. Attention: Director, Division of Operating Reactors.

Dated at Bethesda, Md., this 7th day of December 1979.

For the Nuclear Regulatory Commission.

A. Schwencer,

Chief, Operating Reactors Branch #1, Division of Operating Reactors.

[FR Doc. 79–38805 Filed 12–8–79; 8:45 am]

BILLING CODE 7590–01–M

[Docket No. 50–339]

Virginia Electric & Power Co., North Anna Power Station, Unit No. 2, Order Extending Construction Completion Date

Virginia Electric and Power Company is the holder of Construction Permit No. CPPR–78 issued by the Atomic Energy Commission [1] on February 19, 1971, for construction of the North Anna Power Station, Unit No. 2, presently under construction at the Company's site in Louisa County, Virginia.

On October 31, 1979, the applicant filed a request for an extension of the completion date. Construction has been delayed due to:

1. Additional or modified pipe hanger designs for various Category I piping systems;

2. Additional high energy whip restraints;

3. Modifications to the reserve station service transformer, and

4. Licensing delays as a result of the Three Mile Island accident.

This action involves no significant hazards consideration; good cause has been shown for the delay; and the requested extension is for a reasonable period, the bases for which are set forth in the staff evaluation, dated December 11, 1979.

The preparation of an environmental impact statement for this particular action is not warranted because there will be no environmental impact attributable to the Order other than that which has already been predicted and described in the Commission's Final Environmental Statement for the North Anna Power Station, Units 1 and 2 published in April 1973. A Negative Declaration and a Environmental Impact Apparisal have been prepared and are available, as are the above stated documents, for public inspection at the Commission's Public Document Room, 1717 H Street, NW, Washington, D.C. 20555 and at the local public document room established for the North Anna Power facility in the Alderman Library, Manuscripts Department, University of Virginia, Charlottesville, Virginia 22901 and at the Board of Supervisors, Louisa County Courthouse, P.O. Box 27, Louisa, Virginia 23093.

It is hereby ordered, That the latest completion date for CPPR–78 be extended from December 1, 1979 to December 1, 1980.

Date of issuance: December 11, 1979.

Domenic B. Vassallo,

Acting Director, Division of Project Management, Office of Nuclear Reactor Regulation.

[FR Doc. 79–38807 Filed 12–18–79; 8:45 am]

BILLING CODE 7590–01–M

[Docket No. 50–339]

Negative Declaration Regarding Extension of Construction Permit No. CPPR–78 For North Anna Power Station Unit 2, Virginia Electric & Power Co.

The U.S. Nuclear Regulatory Commission (the Commission) has reviewed request from Virginia Electric and Power Company for a 12 month extension of the construction permit for North Anna Power Station Unit 2, located in Louisa County, Virginia. The extension would permit revisions of the contruction completion date to December 1, 1980.

The Commission's Division of Site Safety and Environmental Analysis has prepared an environmental impact appraisal relative to the proposed extension. Based on the appraisal, the Commission has concluded that an environmental impact statement for this particular action is not warranted because there will be no significant environmental impact other than those which have been described in the Commission's Final Environmental Statement for North Anna Power Station, Unit Nos. 1, 2, 3, and 4, published in April 1973, the Addendum to Final Environmental Statement published in November 1976, the Environmental Impact Appraisal dated December 29, 1978, or evaluated in the present environmental impact appraisal.

The environmental impact appraisal is available for public inspection at the Commission's Public Document Room, 1717 H Street, NW, Washington, DC and at the Board of Supervisors, Louisa County Courthouse, Louisa, Virginia 23093 and Alderman Library, Manuscripts Department, University of Virginia, Charlottesville, Virginia 22901. A copy may be obtained upon request addressed to the U.S. Nuclear Regulatory Commission, Washington, DC 20555, Attention: Director, Division of Site Safety And Environmental Analysis.

Dated at Bethesda, Md., this 3rd day of December.

For the Nuclear Regulatory Commission.

Donald E. Sells,

Acting Chief, Environmental Projects Branch 2 Division of Site Safety and Commission Analysis.

[FR Doc. 79–38808 Filed 12–18–79; 8:45 am]

BILLING CODE 7590–01–M

[Docket No. 50–344 (Control Building)]

Portland General Electric Co., et al. (Trojan Nuclear Plant); Hearing on Trojan Interim Operation Motions and Orders

December 12, 1979.

On November 30, 1979, the Licensing Board entered a Modification of Order Permitting Interim Operation of Trojan Nuclear Plant. That Order had the effect of preventing the resumption of operation of the Trojan nuclear facility (shut down since October 12, 1979, to repair steam generator leakage and to inspect piping supports in inaccessible areas), pending further orders by the Board. That Order further provided as follows:

2. The Staff shall immediately inform the Board, explicitly and clearly, what unresolved problems remain which might have a bearing upon the seismic and other issues in this proceeding. This information shall be kept current upon a regular basis.

3. The Licensee shall immediately render a full written report to the Board as to the status of all information requested of it by the Staff and not fully supplied to the Staff's satisfaction. Current and updated information as to the wall problem and any other matters which might affect the issues in this proceeding shall also be furnished upon a regular basis.

4. The Staff shall furnish a date reasonably anticipated for the completion and filing of its SER, and a full justification and explanation for any further slippage in that regard.

5. All parties shall state and document their views as to how long interim operation of the Trojan facility should be permitted, in the absence of the submission of firm plans for control room modifications, adequate from a safety standpoint to bring the facility into substantial compliance with the license.

The Staff, on December 7, 1979, filed with the Board an explicit description of the unresolved problems which might have a bearing upon the seismic and other issues in this proceeding, in the form of Attachments. Attachment 1 was entitled "Affidavit of Kenneth S. Herring on the Unresolved Problems Regarding

[1] Effective January 20, 1975, the Atomic Energy Commission became the Nuclear Regulatory Commission and permits in effect on that day continued under the authority of the Nuclear Regulatory Commission.

the Adequacy, From a Safety Standpoint, of the Proposed Control Building Modifications to Bring the Facility into Substantial Compliance With the License." Paragraph 4 of Attachment 1 stated that the "adequacy of the margins against seismic failure, after the modifications, of the Control Building Complex itself (i.e., the level of wall structural integrity) has not been established. Resolution of this major unresolved problem requires the satisfactory resolution of the following items", and listed such items as subparagrahs (a) through (x). Paragraph 5 described another major unresolved problem related to the adequacy of the stiffness assumed in certain analyses for the derivation of floor response spectra.

Attachment 2 consisted of four affidavits setting forth the unresolved problems with regard to the effects of the proposed modification work itself on plant safety. The Staff deemed the unresolved problems described in Attachments 1 and 2 as clearly matters within the jurisdiction of the Board. Attachment 3 related to the so-called wall problem, which might be covered by a license condition (2.C(10).c) already imposed for interim operation. The Staff anticipated that it would respond to paragraphs (4) and (5) of our November 30 Order, *supra*, during the week of December 17, 1979.

The Licensee, on December 8, 1979, furnished information requested immediately by paragraph 3 of the November 30 Order, and filed the affidavits of Robert H. Short and Donald J. Broehl, President and Assistant Vice President respectively of Licensee. Additional data or information was to be filed by December 13, 15 and 22. The Licensee also requested the Board (which we treat as a motion) to issue a further order removing the prohibition on resumption of operation, describing the adequacy of the information furnished and the serious need of the region for electricity at this time from the Trojan facility.

The Board believes that the public interest requires expeditious consideration and resolution of the issues implicit in the November 30 Order, and addressed by the parties in their subsequent filings. Accordingly, a hearing will be held on these matters, as well as the establishment of a schedule for the completion of discovery, filing of motions, and commencement of an evidentiary hearing on Phase II issues. This hearing will consider all affidavits, analyses and reports filed by the parties and may include the testimony of witnesses if deemed necessary to clarify, supplement or update previously filed information.

Please take notice that on December 28, 1979, extending to December 29, 1979 if necessary, a special hearing will be held at the Bonneville Power Administration Auditorium, located at 1002 Northeast Holladay Street, Portland, Oregon, commencing at 9:00 a.m., local time.

The Licensee, Staff and Intervenors are directed to attend this hearing and to participate. The public is invited to attend but there will be no opportunity for public participation during this hearing on motions. A subsequent session will be held at which public limited appearance statements may be made, and notice will be given as to the date and place for such limited appearances. Written limited appearance statements may be submitted to the Board at any time, and may be mailed to the Secretary of the Commission, United States Nuclear Regulatory Commission, Washington, D.C. 20555. Both oral and written statements will be made part of the official record of this proceeding.

Dated at Bethesda, Md., this 12th day of December 1979.

It is so ordered.

For the Atomic Safety and Licensing Board.

Marshall E. Miller,

Chairman.

[FR Doc. 79-38806 Filed 12-18-79; 8:45 am]

BILLING CODE 7590-01-M

Regulatory Guide; Issuance and Availability

The Nuclear Regulatory Commission has issued a revision to a guide in its Regulatory Guide Series. This series has been developed to describe and make available to the public methods acceptable to the NRC staff of implementing specific parts of the Commission's regulations and, in some cases, to delineate techniques used by the staff in evaluating specific problems or postulated accidents and to provide guidance to applicants concerning certain of the information needed by the staff in its review of applications for permits and licenses.

Regulatory Guide 1.9, Revision 2, "Selection, Design, and Qualification of Diesel-Generator Units Used as Standby (Onsite) Electric Power Systems at Nuclear Power Plants," describes a method acceptable to the NRC staff for complying with the Commission's requirements with regard to the capacity and qualification of diesel-generator units intended for use as onsite power sources in nuclear power plants. This guide endorses IEEE Std. 387–1977, "IEEE Standard Criteria for Diesel-Generator Units Applied as Standby Power Supplies for Nuclear Power Generating Stations." It was revised as a result of public comment and additional staff review.

Comments and suggestions in connection with (1) items for inclusion in guides currently being developed or (2) improvements in all published guides are encouraged at any time. Comments should be sent to the Secretary of the Commission, U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Docketing and Service Branch.

Regulatory guides are available for inspection at the Commission's Public Document Room, 1717 H Street NW., Washington, D.C. Copies of active guides may be purchased at the current Government Printing Office (GPO) price. A subscription service for future guides in specific divisions is available through the Government Printing Office. Information on the subscription service and current GPO prices may be obtained by writing to the U.S. Nuclear Regulatory Commission, Washington, D.C. 20555, Attention: Publications Sales Manager.

(5 U.S.C. 552(a))

Dated at Rockville, Maryland, this 11th day of December 1979.

For the Nuclear Regulatory Commission.

Robert B. Minogue,

Director, Office of Standards Development.

[FR Doc. 79-38810 Filed 12-18-79; 8:45 am]

BILLING CODE 7590-01-M

OFFICE OF THE SPECIAL REPRESENTATIVES FOR TRADE NEGOTIATIONS

[Docket 301-20]

American Home Assurance Co.; Petition Alleging Unreasonable and Unjustifiable Trade Practices and Policies by the Government of the Republic of Korea

On November 5, 1979, the Chairman of the Section 301 Committee received a petition from American Home Assurance Company alleging unreasonable and unjustifiable trade practices and policies by the Government of the Republic of Korea which burden or restrict United States commerce. The petition was filed pursuant to Section 301 of the Trade Act of 1974, as amended (19 USC 2411 et seq.), petitioner has not requested a public hearing. The text of the petition follows:

American Home Assurance Company,
70 Pine Street, New York, N.Y., November 2, 1979.

Chairman, Section 301 Committee,
Office of the Special Representative for Trade Negotiations, Room 725, 1800 G. Street, N.W., Washington, D.C.

Re: Petition of American Home Assurance Company, filed pursuant to § 301 of the Trade Act of 1974 (19 U.S.C.A. § 2411), as amended by the Trade Agreements Act of 1979, for the Relief from Unfair Trade Practices by the Republic of Korea.

Mr. Chairman: The Petitioner, American Home Assurance Company ("American Home"), presents this petition by its Vice President and General Counsel, Patrick J. Foley. Petitioner is an interested party seeking enforcement of the Trade Act of 1974, as amended by the Trade Agreements Act of 1979. Petitioner's interests are materially affected by the actions of the Republic of Korea ("Korea"), detailed below. The items of this petition follow numbering of 15 CFR 2006.1, (1979) (as amended by 44 FR 53535 (1979)).

(a) Petitioner, American Home, is a New York corporation engaged, through branches, subsidiaries and affiliates, in the business of general and life insurance in approximately 135 countries and jurisdictions, including Korea. By its failure to comply with the terms of the agreements entered into between itself and Petitioner, and generally discriminatory practices explained *infra.*, the Government of Korea has breached agreements which Petitioner has completely honored, as well as treaty obligations undertaken towards the United States itself. Additionally, Korea has behaved contrary to the spirit of the Trade Agreements Act of 1979 as expressed in the legislative history of the Act and pronouncements by the President of the United States, and contrary to the letter of the Act by violating § 301(A)(2), as amended, as well as general principles of international trade law. Because of these acts and practices of the Government of Korea, the Petitioner, and American commerce in insurance, has suffered severe economic hardship and loss, as detailed *infra.*

In Korea, American Home operates a general insurance business under a license from the Korean Government. The license originally restricted Americah Home to US-dollar insurance of non-Koreans, but was expanded somewhat in 1977, enabling American Home to become the first foreign insurer permitted to write insurance in Korean currency. Nevertheless, American Home must now seek remedial treatment for the practices of the Korean Ministry of Finance ("MOF") in three specific areas which have resulted in serious competitive injury to the petitioner (detailed in paragraph (b), *infra.*). Correction of the practices alleged herein would place American Home in a competitive position similar to Korean insurers in these areas.

(b) The Petitioner alleges that the following described restrictions, acts, practices and policies of the Republic of Korea are included under § 301(a)(2) of the Trade Act of 1974, as amended, in that they are discriminatory, unjustifiable and unreasonable and burden and restrict U.S. commerce:

(i) Despite an agreement reached with an office of the MOF of Korea on April 8, 1977 (Attachment 1), the Korean authorities have failed to expand the license of American Home, as agreed, to permit it to write marine insurance in Korea.

(ii) American Home has not been permitted to join the Fire Pool, to which all local Korean insurers writing fire insurance belong, or to write most forms of joint venture fire insurance as originally promised and agreed to by the MOF in the agreement of April 8, 1977.

(iii) The Korean Reinsurance Corporation (KRIC) has discriminated against American Home in Korea by granting it retrocessions from KRIC's reinsurance pool in an amount ½₀ the size of the retrocessions granted to local Korean insurers (as explained in paragraph f(i)(c) of the petition).

The gravamen of our complaint is that the MOF is discriminating against American Home by refusing to take actions which would allow American Home, an American corporation, to operate and compete in Korea on a basis equivalent to the numerous other Korean insurers, in spite of their agreement of April 8, 1977.

(c)(i). There is a special law regulating (*inter alia*) foreign insurers in Korea entitled *Insurance Business Law* of March 1978 (Attachment 8). Although this legislation permits foreign companies to operate in Korea under the same terms and conditions as domestic companies, it has not been so used. American Home is the only foreign insurance company with even limited permission to operate directly in the Korean market for indigenous Korean business; other foreign insurers have not been permitted to operate in an agency or branch form, or to set up locally-incorporated subsidiaries to write local Korean insurance.

(ii). Korea, having allowed American Home, operating as a branch, to establish itself in the Korean market, now denies it the right to complete effectively with the other companies. This discriminatory treatment of American Home is in violation of the basic standard of "national treatment" provided for in the *Treaty of Friendship, Commerce and Navigation between the U.S. and the Republic of Korea* signed on November 28, 1956 and still in force at this date (Attachment 2). That treaty provides:

Article VI. 3. Neither Party shall take unreasonable or discriminatory measures that would impair the legally acquired rights or interests within its territories of nationals and companies of the other Party in the enterprises which they have established, in their capital, or in the skills, arts or technology which they have supplied.

Article VII. 1. Nationals and companies of either Party shall be accorded national treatment with respect to engaging in all types of commercial, industrial, financial and other activities for gain (business activities) within the territories of the other Party, whether directly or by agent or through the medium of any form of lawful juridical entity. Accordingly, such nationals and companies shall be permitted within such territories: (a) To establish and maintain branches, agencies, offices, factories and other establishments appropriate to the conduct of their business; (b) to organize companies under the general company laws of such other Party, and (c) to control and manage enterprises which they have established or acquired. Moreover, enterprises which they control, whether in the form of individual proprietorships, companies or otherwise, shall in all that relates to the conduct of the activities thereof, be accorded treatment no less favorable than that accorded like enterprises controlled by nationals and companies of such other Party.

2. Each Party reserves the right to limit the extent to which aliens may establish, acquire interests in, or carry on enterprises engaged within its territories in transport, communications, public utilities, banking involving depository or fiduciary functions, or the exploitation of land or other natural resources. However, new limitations imposed by either Party upon the extent to which aliens are accorded national treatment, with respect to carrying on such activities within its territories, shall not be applied as against enterprises which are engaged in such activities therein at the time such new limitations are adopted and which are owned or controlled by nationals and companies of the other Party. Moreover, neither Party shall deny transportation, communications and banking companies of the other Party the right to maintain branches and agencies to perform functions necessary for essentially international operations in which they are permitted to engage.

3. The provisions of Paragraph 1 of the present Article shall not prevent either Party from prescribing special formalities in connection with the establishment of alien-controlled enterprises within its territories; but such formalities may not impair the substance of the rights set forth in said paragraph.

4. Nationals and companies of either Party, as well as enterprises controlled by such nationals and companies, shall in any event be accorded most-favored-nation treatment with reference to the matters treated in the present Article.

(d). The Republic of Korea is the country against which American Home files this petition.

(e). Insurance and reinsurance are the services subject to restrictions imposed by the Republic of Korea.

(f). Paragraph (b) to this petition (*supra.*) sets forth the manner in which the Korean government injuries U.S. commerce in insurance. It notes that the Korean government has not permitted American Home—or any other U.S. insurer—to write marine business in Korea. In Petitioner's case, this amounts to a breach of the agreement of April 8, 1977; Petitioner has complied with all the terms imposed thereunder by the MOF (Attachment 3). The MOF will not now honor its own commitments thereunder. As a result of this breach, American Home suffers discrimination in the Korean insurance market.

Secondly, American Home, the only American insurance corporation permitted to do local business directly in Korea, has been denied the opportunity to join the Korean Fire Pool or to compete for Bank fire business

currently assigned to the Fire Pool. Under local regulations, corporations or persons with bank loans, mortgaged properties, or government guarantees were required to be insured with the Bank Pool. Korean regulation now designates the Fire Pool as the insurer for former Bank Pool fire business. Present regulations effectively eliminate most joint venture business from the competitive fire insurance market. This violates the agreement of April 8, 1977, in which the MOF promises to remove joint venture business from the Fire Pool by June 30, 1978 or to allow American Home to join the Fire Pool by that date. It is now sixteen months past June 1978, and joint venture business has neither been removed from the Fire Pool, nor has American Home been allowed to join the Fire Pool.

Thirdly, KRIC does not treat American Home in the same manner as it treats local Korean insurers regarding retrocessions, resulting in American Home receiving from KRIC substantially smaller retrocessions of insurance premiums as explained in f(i)(C), *infra*.

(i) *Volume of Trade.* (A) *Marine Business:* The inability to compete with Korean insurers for marine insurance business substantially and significantly prevents U.S. insurers from full and meaningful participation in the Korean insurance market. The volume of marine insurance is tied to the very substantial foreign trade of Korea.

The rounded figures below (representing CIF prices) show the size and growth of Korea's foreign trade:[1]

	Exports (million)	Imports (million)
1976	$7,700	$8,700
1977	10,000	10,800
1978	12,700	15,000

In 1978, the most recent year for which accurate figures are available, the dollar value of marine insurance premium written in Korean was US $86,928,000.

Total Marine Premium, 1978: [2]

		Percent
Cargo	$55,285,000	63.6
Hull	31,643,000	36.4
Total	86,928,000	100

As sales of non-life premium in Korea for 1978 totalled $418,100,000, it can be seen that Marine business represented approximately 20.8% of all such business. It is thus the second largest line of business, second only to Automobile business. However, as the Automobile business is monopolized by the Korean Auto Insurance Company, Marine business is the largest line freely marketed in Korea.

(B) *Fire Pool Business:* American Home has a Korean license to write fire insurance but its economic value is greatly diminished by the fact that the MOF has not allowed American Home to join the Fire Pool. In Korea, most fire insurance business must be placed through the Fire Pool, which includes the Bank Pool fire business as explained earlier. In 1978, Korean fire premiums totaled approximately US$61,300,000; however, 76% of that figure, or US$46,588,000, was placed through the Fire Pool.[3]

(C) *Retrocessions from Compulsory Reinsurance:* The MOF's *Reinsurance Exchange Regulations* (Attachment 4) which regulates every aspect of reinsurance business in Korea, requires that all insurance companies operating in Korea cede a part of every risk to KRIC. Formerly a quasigovernmental organization, KRIC is now owned by Korean shareholders (including insurance companies) and enjoys a reinsurance monopoly. It receives cessions from all the original writing companies and, in turn, retrocedes to them part of each risk. In compliance with this compulsory reinsurance regulation, American Home cedes to KRIC; however, American Home is discriminated against in the amount of reinsurance that it receives from KRIC.

Insurers in Korea receive retrocessions from KRIC in accordance with the following procedure. The volume of business to be retroceded is divided into two equal parts. The first half of the retrocession is distributed to each local insurer based on the volume of business ceded to KRIC in the past year by each, in relation to the aggregate volume ceded by all insurers. The other half is divided equally among the local insurers required to cede to KRIC (currently numbering 10).

Since American Home has been blocked from writing in major market areas such as Fire Pool and Marine business and is new to the Won market, it has not been able to contribute sizable amounts to KRIC. As a result, American Home receives a small share of the business retroceded from KRIC from the first half of the retrocessions. In connection with the second half of retrocessions from KRIC, American Home receives only 1/10 of the full share allotted to local companies. Thus, American Home is doubly penalized by the KRIC allocation method.

In 1978, the portion of KRIC's business retroceded to companies operating in Korea amounted to US$66,183,000, excluding retrocessions from Automobile, Long-Term savings-type insurance, and overseas business. An equal share (i.e., one eleventh of the total), of the second half of the retrocessions from KRIC would have been US$3,008,318 in 1978.[4]

(ii) *Economic Impact of Discrimination Against U.S. Insurers.* (a) *Marine Business:* If U.S. insurers were allowed to write Marine business in Korea, it is estimated they together might write 5% of the Korean marine insurance business. American Home, the U.S. company with the longest involvement in the Korean market, might by itself write 3% of the total Korean marine business. Using these percentages and the 1978 total marine premium volume of US$86,928,000, U.S. insurers licensed to do marine business in Korea might have written premiums in the amount of US$4,346,400 and American Home might have written US$2,607,840 worth of marine insurance premiums.

It has been shown that the increase in marine premium volume is almost directly proportional to the volume of increase in trade (paragraph f(i)(A)). For example, when the total trade figures are examined, it will be seen that between 1977 and 1976 Korean trade grew by 33.2%. Marine premium volume grew 34.6%, from $64,588,000 to $86,928,000.

If the average trade figures for 1976–78 are examined, it will be seen that trade growth in Korea averaged 30% *per annum*.

Taking the more conservative 30% trade growth figure, and assuming a directly proportional increase in marine premium volume (the percentage of growth in marine premium is actually higher, as shown in the paragraph above), it is estimated that Korea's total trade in 1979 will be more than $63,710 million. A concomitant 30% increase in marine premium volume would bring the total 1979 marine premium to $113,006,400.

Therefore, in 1978, the U.S. insurers' 5% of the market would have amounted to $4,346,400; in 1979 (assuming no growth in market share) it would be an amount greater than $5,650,320.

American Home's 3% of the marine premium market would have amounted to $2,607,840 in 1978 and $3,390,192 in 1979.

(b) *Fire Pool:* If American Home had been permitted to belong to the Fire Pool in 1978, its 1/11 share of the pool premiums might have been as much as US$4,236,363, based on published Korea statistics.[5]

(c) *Reinsurance from KRIC:* In 1978, the difference in premium volume between the 1/10 share given to American Home and the full share given to each local company would have been US$2,680,377 (American Home's 1/10 share would have amounted to US$327,623 while a full share amounted to US$3,008,000.)

The total value of insurance premiums lost to American Home in 1978 as a result of the three aforementioned restrictions placed on its operations in Korea was US$9,524,580. Because the Korea economy, its foreign trade, and Korean use of insurance are all growing at such a rapid rate, the adverse economic impact on American Home from existing insurance restrictions in Korea undoubtedly will grow to ever greater proportions in future years.

(iii) As outlined above, the actions of the Government of Korea toward U.S. insurers, and American Home in particular, amount to discrimination in favor of local Korea companies and violate the *Treaty of Frienship, Commerce and Navigation* of 1956 as well as general principles governing the exchange of goods, commodities and services in international commerce.

7. Petitioner has not filed for other forms of relief under the Trade Act of 1974 or any other Act.

[1] *Major Statistics of the Korean Economy*, 1979, Economic Planning Board, Seoul, Korea (June 5, 1979).

[2] *Monthly Insurance Statistics*, September, 1979, Korea Non-Life Insurance Association.

[3] *Annual Statistics Report*, 1978, Korea Insurance Corporation.

[4] *Ibid.*

[5] *Ibid.*

Relief Requested

A this time, Petitioner seeks the right to engage in the business of general insurance in Korea, free of all restrictions not imposed on Korea national insurers.

Specifically, Petitioner seeks: (1) A marine license without conditions or restrictions (2) permission to join the Korean Fire Pool and (3) equal treatment with local insurers regarding cessions of reinsurance from KRIC.

If the Korean government is not willing to grant Petitioner such fair and equal access to the Korea insurance market, then Petitioner requests that the sanctions provided under § 301 of the Trade Act of 1974, as amended by the Trade Agreements Act of 1979, be imposed against the Republic of Korea.

Background

Korean Insurance Industry

In Korea, there are 13 domestic general insurance companies and six life insurance companies. All are wholly owned by Korean nationals, except for two companies with small non-Korean equity participations. Three of the general insurers are specialized and enjoy monopolies in automobile insurance (KAICO), fidelity and surety (KFSC) and reinsurance (KRIC). Virtually all the larger fire insurance risks are pooled among the general insurers. Thus, it will be appreciated that the Korea insurance market tends toward monopoly, condoned by the government.

The government closely controls the insurance industry. For example, although the Fire Pool is established to pool risks amongst the general insurers (which are privately owned), the Government of Korea retains the right, by the enabling statute (Attachment 5), to change the internal governing regulations of the Pool at any time (Article 21).

Once the market is reduced by the business of govenment-approved monopolies, only 63.7% is available to other insurers. Of that 63.7%, only 16% is open to American Home. So, in 1978, out of US$422.1 million total market, US$67 million was potentially open to American Home, and American Home actually wrote premiums of US$3.1 million, or .73% of the total market.[6]

The Korean insurance industry is also closed; the last licensing of an indigenous insurance company took place in 1958.

It is not an infant industry deserving government protection. The Korean Government acknowledged this fact in its 1972 Five-Year Plan for Capital Money Market Development, which expressed the need for strengthening the rapidly expanding industry through participation by foreigners in joint ventures.

The statistics published by the Korean insurance industry proclaim a strong, rapidly growing and well-established industry. The following chart shows the growth in premium volume 1977–79, broken down by insurance companies. The chart is in millions of dollars, using a conversion rate of 485 Won to US$1.[7]

[6] American Home statistics.

[7] *Annual Statistics Report*, 1978, Korea Insurance Corporation.

Name of company	1977 Premium volume	1977 Percent of total market	1978 Premium volume	1978 Percent of total market	1979 Premium volume first 6 mo	1979 Estimated annual premium volume	1979 Estimated percent of total market
Oriental Fire and Marine Insurance Co	$21.4	8.03	$40.0	9.5	$19.8	$39.6	6.98
Shindong A Fire and Marine Insurance Co	15.4	5.78	22.4	5.30	14.6	29.2	5.14
Daihan Fire and Marine Insurance Co	16.5	6.194	23.5	5.56	14.1	28.2	4.97
International Fire and Marine Insurance Co	14.7	5.52	21.6	5.12	14.0	28.0	4.93
Koryo Fire and Marine Insurance Co	15.2	5.71	23.9	5.66	16.4	32.8	5.78
First Fire and Marine Insurance Co	16.5	6.2	23.6	5.59	14.6	29.2	5.14
Haedong Fire and Marine Insurance Co	7.9	2.97	11.2	2.65	7.8	15.6	2.75
Ankuk Fire and Marine Insurance Co	23.0	8.64	33.0	7.82	20.5	41.0	7.22
Eastern Marine and Fire Insurance Co	27.5	10.32	36.7	8.69	21.4	42.8	7.54
Pan Korea Marine and Fire Insurance Co	21.9	8.23	31.3	7.42	18.6	37.2	6.55
Subtotal	182.0		267.2		161.8	323.6	
KAICO	67.3	25.27	129.0	30.56	103.8	207.6	36.58
KFSC	14.1	5.29	22.6	5.40	15.7	31.4	5.53
American Home [1]	2.9	1.1	3.1	.73	2.5	5.0	.9
Total	266.3		422.1		283.8	567.6	

[1] American Home statistics.

The overall 1978 Korean insurance market grew in premium volume by approximately 60% over 1977 figures. Based on annualized figures for the first half of 1979, the projected 1979 growth is 34.5% above the 1978 figure. Average annual business of US$418 million, and average growth of US$150 million *per annum* does not suggest a fledgling industry.

It will be noted that American Home's market share averaged 0.91% over the three-year period in the chart above; that is, an average US$7.9 million premium volume less than the Haedong Fire and Marine Insurance Company, which has the smallest share of the market amongst the local companies. Although American Home expects an increase of 0.1% in its market share for 1979, such an increase could not be considered disruptive to the local industry.

American Home in Korea

Immediately following the Korean war, American International Underwriters (AIU), an American Home affiliate, was granted a license to sell insurance in Korea by the Supreme Commander Allied Powers (SCAP). The license allowed it to insure non-Koreans in US dollars for all lines of insurance except Life. At the time, business was primarily with the U.S. military. AIU operated under this license for many years.

Beginning in the 1960's, efforts were made to secure an expansion of the license to enable AIU and the company it represented in Korea, the American Home Assurance Company, to do business in the Korean currency and with the Korean people. The Koreans were reluctant, arguing that their fledgling insurance industry needed protection and could not stand up to foreign competition. After years of negotiation, the Korean government in 1968 formally granted American Home a Korean license to replace AIU's original SCAP license, but limited American Home to insuring foreigners in Korea in US dollars against non-Life risks. This limited license was accepted with reluctance by American Home, but assurances were given at that time by the Korean MOF that, if American Home were patient, such license would be extended "in due course".

In the decade following the granting of the limited license, senior executives of American Home's head office made frequent visits to Korea in an attempt to secure the promised extension of the license. Their discussions with the MOF were to no avail.

Meanwhile, in 1971, American Home was granted a license to write Accident insurance jointly with a local Korean company, the Eastern Marine & Fire Insurance Company. However, Accident insurance forms a very small part of the general insurance market.

Finally, in 1974, the MOF suggested that if American Home wished to write Won business for Koreans in Korea, it must form a joint venture with a Korean partner. American Home negotiated with the Whashin Industrial Group for six months and was able to conclude a Joint Venture Agreement with them.

At that point, the MOF "discovered" that local insurance companies disapproved of the Whashin Group getting into the insurance business, so the MOF found the proposal unsatisfactory. American Home was told to look for a partner already in the insurance business. Soon the MOF changed its mind again.

In June 1975 the MOF proposed that American Home form a joint venture for general insurance with the 10 existing Korean general companies as partners. American Home's holding was to be limited to 35% of the equity. This percentage was eventually raised to 45% but, according to the terms of the agreement, was to be reduced to 30% when the company was required to become public. Thus, American Home would have been denied the benefit of the Foreign Capital Inducement Law, which provides protection against such dilution of equity. The new company was to be excluded from the Fire Pool, a major source of Korean business, for an indeterminate period. Although initially

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American Home was to sell its portfolio of business to the new company, the MOF later insisted that American Home's business be "donated" to the new company. In short, American Home was expected to become partners with all its competitors in a joint venture, saddled with major competitive disadvantages.

Despite the unfairness of the proposal, American Home, after considerable expenditure of time and money, told the MOF it was prepared to enter into the joint venture with the 10 local insurers in October, 1978. When advised of this decision, the MOF representative stated that the proposal was withdrawn and the whole matter of American Home's entry into the Korean market was to be re-thought.

Finding its efforts frustrated at every level, on March 25, 1977 American Home finally indicated its intention to file a Section 301 complaint with the Office of the Special Representative for Trade Negotiations. The preliminary filing of that complaint was withdrawn by American Home the day its announcement was to have been made in the **Federal Register**. Following the withdrawal of that complaint and the ending of American Home's opposition to the application of KRIC to operate on Guam, the MOF agreed that on July 20, 1977 it would grant a somewhat expanded license, which would enable American Home to do a certain amount of Won business with the Koreans without a Korean partner. This agreement was reached on April 8, 1977 by M. R. Greenberg, Chief Executive Officer of the parent company of American Home, and Houghton Freeman, a senior parent company official responsible for Far East operations, with Lee Dong Ho, at that time Director of the Security and Insurance Bureau of the Ministry of Finance.

A copy of a letter, dated April 9, 1977 written by American Home's Manager in Korea, Ronald C. Hugel, to Director Lee confirming Minutes of the April 8th meeting is attached (Attachment 1). The MOF refused to sign a copy of these Minutes as requested because, they said, it was not their standard procedure. The MOF did not, however, voice disagreement with any part of the contents, and retained the original. They did not return a signed copy to American Home.

Despite this agreement, the Korean government moved slowly in granting the promised license and insisted upon further concessions. American Home was required to submit a Letter of Intent dictated to it by the Korean government. A copy of this Letter of Intent, dated July 7, 1977, is also attached hereto (Attachment 6). American Home has complied with that agreement in all respects as evidenced by Attachment 3.

The MOF has not honored two items in the Agreement of April 8, 1977. Under 4(b) it was agreed that:

"Expanded operations during the first year will not include authorization to underwrite Marine insurance. Authorization to underwrite Marine insurance will be granted AIU after one year."

Item 4(e) states: "Further regarding Fire insurance it is our understanding that within one year from June 30, 1977, all joint venture business presently insured through the Fire Pool will be eliminated from the Fire Pool and AIU will be authorized to underwrite this class of business at that time. Should a decision be made during the next year not to eliminate the joint venture business from the Fire Pool then according to our understanding a verbal agreement has been reached between Director Lee Dong Ho and Mr. M. R. Greenberg stating AIU will be authorized to participate in the Fire insurance underwritten for joint venture business."

Nothing has been done by the MOF with regard to either point of the agreement or its alternate understanding. Joint ventures are still underwritten in the Fire Pool, and American Home is still not allowed to join.

American Home is currently making application for membership in the Fire Pool. According to Korean law, non-Life insurers are qualified to join the Fire Pool *(Law regarding Fire Insurance and Liability Insurance due to Fire,* Article 21). "Non-Life insurers" are defined as insurance companies duly license under Article 5 of the *Insurance Business Law.* American Home is so licensed.

As of the date of this Petition, American Home is able to operate in seven areas, with varying degrees of restriction.

(1) *Foreign Business:* American Home is able to sell every type of insurance it offers in Korea—but only to non-Koreans. It also competes with indigenous local companies for the business of non-Koreans.

(2) *Fire Business:* American Home may compete for any fire insurance business which is not in the Fire Pool. That means, basically, it is relegated to insurance of small homes, shops, and some peasant farms. No major buildings or businesses may be insured outside the Fire Pool, of which American Home is not a member.

(3) *Workmen's Compensation:* Almost all of this business is carried by the State Fund Scheme; American Home competes with local insurers for a miniscule amount of business.

American Home is also permitted to compete for Won business in casualty (Liability/burglary/glass), Inland Marine, Personal Accident and Health, and Engineering Insurance lines.

On the other hand, American Home is *not* permitted to write marine business, which in 1978 accounted for 20.8% of the total market; nor can it write Auto insurance, which was 30.9% of the 1978 market; nor can it write bonds (5.4% of the 1978 market); nor can American Home write Long-Term insurance (Savings-Type, Fire, Personal Accident), or Aviation lines.

American Home has been an active and friendly force in the Korean insurance market, as detailed in Attachments 3 and 7. American Home has trained local Koreans in the industry, has introduced new policy lines, has aided and advised Korean insurers in establishing world-wide business, and has provided numerous other services to the local industry. American Home's cessions to KRIC increase each year.

American Home in Korea has complied with all Korean laws with regard to statutory deposits, reserves, taxes, retention limits, reinsurance cessions, satisfying the same requirements as Korean insurers. However, American Home is being limited and discriminated against with regard to the share of the market available to it.

Although in the agreement preceding the granting of the expanded license, American Home agreed to the above-described limitations and discrimination for a period of time, the Korean MOF has not honored its side of the agreement and has allowed the discrimination to continue.

Referring to Article VII of the *Treaty of friendship, Commerce & Navigation between the U.S. and the Republic of Korea,* American Home contends that it is not being "accorded treatment no less favorable than that accorded like enterprises controlled by nations and companies of such other parties."

Sincerely,

Patrick J. Foley,

Vice President and General Counsel.

Note.—The attachments to the Complaint are not published in the **Federal Register.** They are available in the public reading file of the Section 301 Committee, Office of the Special Trade Representative, Room 715, 1800 G Street, Washington, D.C.

Interested parties are invited to submit views on the petition. Submissions should conform to the requirements for section 301 complaints and comments as outlined in the Code of Federal Regulations (15 CFR 2006). Twenty copies of the submission should be sent to Chairman, Section 301 Committee, Office of the Special Representative for Trade Negotiations, 1800 G Street, N.W., Room 715, Washington, D.C. 20506. Submissions should be received by the Chairman no later than the close of business on January 2, 1980.

Michael Gadbaw,

Chairman, Section 301 Committee.

[FR Doc. 79-38844 Filed 12-18-79; 8:45 am]

BILLING CODE 3190-01-M

SECURITIES AND EXCHANGE COMMISSION

[Rel. No. 21333; 70-6386]

Arkansas Power & Light Co.; Proposed Issuance and Sale of Preferred Stock at Competitive Bidding

December 7, 1979.

Notice is hereby given that Arkansas Power & Light Company ("Arkansas"), First National Building, Little Rock, Arkansas 72203, an electric utility subsidiary company of Middle South Utilities, Inc., a registered holding company, has filed an application and an amendment thereto with this Commission pursuant to Section 6(b) of the Public Utility Holding Company Act of 1935 ("Act") and Rule 50 promulgated thereunder regarding the following proposed transaction. All interested persons are referred to the application, which is summarized below, for a complete statement of the proposed transaction.

Arkansas proposes to issue and sell up to 2,000,000 shares of a new series of its Preferred Stock, cumulative, $25 par value, subject to the Competitive bidding requirements of Rule 50 under the Act. The new preferred stock will be created by appropriate corporate action and, except as to designation, dividend rate, the date from which dividends commence to accumulate, redemption premiums, the terms and conditions of redemption, a sinking fund, and matters pertaining to par value and certain voting rights, will have the same characteristics as, and rank *paripassu* with, the presently outstanding preferred stock of Arkansas.

The dividend rate of the new preferred stock (which will be a multiple of ⅛ths of 1%) and the price to be paid to Arkansas (which will be not less than $25 nor more than $25.70 per share, plus accumulated dividends, if any) will be determined by competitive bidding. The terms of the new preferred stock will include a prohibition, until January 1, 1985, against refunding such stock, directly or indirectly, with the proceeds of funds derived from the issuance of debt securities at a lower effective interest cost or from the issuance of other stock, which ranks prior to or on a parity with the new preferred stock as to dividends or assets, at a lower effective dividend cost.

The terms of the new preferred stock will include provisions for a sinking fund designed to redeem at $25 per share, plus accumulated dividends, 100,000 shares on each January 1 commencing in the year 1985, with Arkansas having a non-cumulative option to redeem an additional 100,000 shares on each January 1 during the sinking fund redemption period.

Arkansas intends to use the net proceeds derived from the issuance and sale of the new preferred stock for the payment of short-term indebtedness incurred or estimated to be incurred to finance Arkansas' construction program, estimated to cost approximately $285,990,000 during 1980.

The fees and expenses paid or to be incurred in connection with the proposed transaction are estimated to total $170,000, including counsel fees of $52,500, accountants' fees of $16,000, and fees of Middle South Services, Inc., at cost of $8,500. It is stated that the Arkansas Public Service Commission and the Tennessee Public Service Commission have jurisdiction over the issuance and sale of the new preferred stock by Arkansas and that no other state commission and no federal commission, other than this Commission, has jurisdiction over the proposed transaction.

Notice is further given that any interested person may, not later than January 3, 1980, request in writing that a hearing be held on such matter, stating the nature of his interest, the reasons for such request, and the issues of fact or law raised by said application which he desires to controvert; or he may request that he be notified if the Commission should order a hearing thereon. Any such request should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request should be served personally or by mail upon the applicant at the above-stated address, and proof of service (by affidavit or, in case of an attorney at law, by certificate) should be filed with the request. At any time after said date, the application, as amended or as it may be further amended, may be granted as provided in Rule 23 of the General Rules and Regulations promulgated under the Act, or the Commission may grant exemption from such rules as provided in Rules 20(a) and 100 thereof or take such other action as it may deem appropriate. Persons who request a hearing or advice as to whether a hearing is ordered will receive any notices or orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Corporate Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38931 Filed 12-18-79; 8:45 am]

BILLING CODE 8010-01-M

[Rel. No. 10983; 812-4533]

John Hancock Cash Management Trust, and John Hancock Distributors, Inc.; Filing of an Application for an Order of the Commission Amending a Previous Order Pursuant to Section 6(c) of the Act Granting Exemption From the Provisions of Rules 2a-4 and 22c-1 Under the Act

December 13, 1979.

Notice is hereby given that John Hancock Cash Management Trust ("Fund"), registered under the Investment Company Act of 1940 ("Act") as an open-end, diversified management investment company, and John Hancock Distributors, Inc. ("Distributors") John Hancock Place, P.O. Box 111, Boston, Massachusetts 02117, the principal underwriter for the Fund (referred to collectively with Fund as "Applicants") John Hancock Place, P.O. Box 21, Boston, Massachusetts 02117, filed an application on November 16, 1979, and an amendment thereto on December 7, 1979, requesting an order of the Commission amending in the manner described below an earlier order of the Commission dated October 19, 1979 (Investment Company Act Release No. 10906). This earlier order, pursuant to Section 6(c) of the Act, exempted Applicants from the provisions of Rules 2a-4 and 22c-1 under the Act to the extent necessary to permit the Fund to compute its net asset value per share, for purposes of effecting sales, redemptions and repurchases of its shares, to the nearest one cent on a share value of one dollar. All interested persons are referred to the application on file with the Commission for a statement of the representations contained therein, which are summarized below.

The Applicants state that the Fund is "money market" fund, designed as an investment vehicle for individuals, institutions and fiduciaries with temporary cash balances or cash reserves. The Fund's investment objective is to provide maximum current income consistent with capital preservation and liquidity. According to the application, the Fund invests exclusively in high-quality money market instruments consisting of (i) obligations issued or guaranteed as to principal or interest by the United States Government, or an agency or authority controlled or supervised by and acting as an instrumentality of the United States Government pursuant to authority granted by Congress; (ii) obligations (including certificates of deposit and bankers acceptances) of United States banks and savings and loan associations which at the date of the investment have capital, surplus and undivided profits (as of the date of their most recent published financial statements) in excess of $100,000,000, including obligations of foreign branches of United States banks and United States branches or agencies of foreign banks if such banks meet the stated qualifications; (iii) commercial paper which at the date of the investment is rated (or guaranteed by a company whose commercial paper is rated) A-1 by Standard and Poor's Corporation, P-1 by Moody's Investors Service, Inc., or F-1 by Fitch's Investors Service or, if not rated, issued by a company which at the date of the investment has an outstanding debt issue rated AAA or AA by Standard & Poor's or Aaa or Aa by Moody's; (iv) corporate obligations maturing in one year or less which at the date of the investment are rated A or higher by Standard & Poor's or A or higher by Moody's; and (v) repurchase

agreements with respect to any of the foregoing obligations. In this regard, Applicants represent that investments in repurchase agreements will be limited to transactions with financial institutions believed by the Fund's investment adviser to present minimal credit risks. Applicants further state that John Hancocok Advisers, Inc. serves as the investment adviser to the Fund ("Adviser").

Applicants represent that pursuant to the earlier order of the Commission dated October 19, 1979, the Fund presently computes its net asset value per share to the nearest one cent on a share value of one dollar using the "penny rounding" method of valuation. Applicants now seek an order of the Commission, pursuant to Section 6(c) of the Act, amending this earlier order, which amended order would exempt Applicants from the provisions of Section 2(a)(41) of the Act and Rules 2a–4 and 22c–1 thereunder to the extent necessary to permit the Fund's assets to be valued according to the amortized cost valuation method. Applicants state that under the amortized cost method, portfolio instruments are valued at cost on the date of acquisition, and the difference between cost and the face amount of the instrument is amortized over the maturity of the instrument. For example, Applicants represent that if an instrument is acquired at a discount from its face value, the discount would be amortized to maturity, resulting in the Fund's realizing income in a steady flow of equal increments. Applicants further assert that by valuing the Fund's portfolio instruments at amortized cost and declaring dividends daily, the Fund will achieve constant net asset value with respect to instruments held to maturity.

As here pertinent, section 2(a)(41) of the Act defines value to mean: (1) with respect to securities for which market quotations are readily available, the market value of such securities, and (ii) with respect to other securities and assets, fair value as determined in good faith by the board of directors. Rule 22c–1 adopted under the Act provides, in part, that no registered investment company or principal underwriter therefore issuing any redeemable security shall sell, redeem or repurchase any such security except at a price based on the current net asset value of such security which is next computed after receipt of a tender of such security for redemption or of an order to purchase or sell such security. Rule 2a–4 adopted under the Act provides, as here relevant, that the "current net asset value" of a redeemable security issued by a registered investment company used in computing its price for the purposes of distribution, redemption and repurchase shall be an amount which reflects calculations made substantially in accordance with the provisions of that rule, with estimates used where necessary or appropriate. Rule 2a–4 further states that portfolio securities with respect to which market quotations are readily available shall be valued at fair value as determined in good faith by the board of directors of the registered company. Prior to the filing of the application, the Commission expressed its view that, among other things, (1) Rule 2a–4 under the Act requires that portfolio instruments of "money market" funds be valued with reference to market factors, and (2) it would be inconsistent, generally, with the provisions of Rule 2a–4 for a "money market" fund to value its portfolio instruments on an amortized cost basis (investment Company Act Release No. 9786, May 31, 1977).

Section 6(c) provides, in pertinent part, that the Commission, by order upon application, may conditionally or unconditionally exempt any person, security or transaction or any class or classes of persons, securities or transactions from any provision of the Act or of any rule or regulation under the Act, if and to the extent that such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act.

In support of the relief requested, Applicants state that they believe that the Fund's shareholders would be unfairly treated if the Fund were forced to price its portfolio instruments in a manner which would produce artificial price and yield volatility for instruments which the Fund expects to hold until maturity. Applicants believe that potential investors in the Fund's shares—whether individuals or institutions—are not concerned with the theoretical differences which might occur between the yield achieved through market pricing and the yield computed on the basis of amortized cost as described above. Applicants further believe that such potential investors are vitally concerned that (1) the net asset value of their shares remain stable; and (2) that the daily net income declared on their investment be steady and not exhibit the volatility which can occur when changes in market prices cause changes in yield on a daily or weekly basis. Applicants state that they believe that potential investors may forgo investment in a fund which does not meet these requirements.

Applicants further state that by maintaining a portfolio of high quality money market instruments of short maturities, they believe that it will be possible to provide the required stability to individuals and institutional investors. Applicants state that they, with the advice of the Adviser and based on the Adviser's experience, have determined that maintaining an average portfolio maturity of 120 days or less will accomplish the aims of the Fund's investors by obviating the possibility of significant volatility in the value of portfolio instruments while at the same time accomplishing a yield on portfolio instruments commensurate with yields available in the general money market.

Applicants further state that they believe that computing the value of the Fund's portfolio instruments at amortized cost as described above will facilitate maintaining a constant net asset value per share of $1.00 under usual or ordinary circumstances and will thereby permit the Fund to serve the interests and requirements of its shareholders.

Applicants further state that their request for exemption is based on the Fund's existing management policies. Applicants have agreed that the following conditions may be imposed in any order of the Commission granting the exemptive relief requested:

(1) In supervising the Fund's operations and delegating special responsibilities involving portfolio management to the Fund's investment adviser, the Fund's Trustees undertake—as a particular responsibility within their overall duty of care owed to the Fund's shareholders—to establish procedures reasonably designed, taking into account current market conditions and the Fund's investment objective, to stabilize the Fund's net asset value per share, as computed for the purpose of distribution, redemption and repurchase, at $1.00 per share.

(2) Included within the procedures to be adopted by the Trustees shall be the following duties and responsibilities:

(a) Review by the Trustees, as they deem appropriate and at such intervals as are reasonable in light of current market conditions, to determine the extent of deviation, if any, of the net asset value per share as determined by using available market quotations from the Fund's $1.00 amortized cost price per share; and the maintenance of records of such review.[1]

(b) In the event that such deviation from the Fund's $1.00 amortized cost price per share exceed one-half of one percent, a requirement that the Trustees will promptly consider what action, if any, should be initiated.

(c) Where the Trustees believe that the extent of any deviation from the Fund's $1.00 amortized cost price per share may result in material dilution or other unfair results to investors or existing shareholders, the Trustees shall take such action as they deem appropriate to eliminate or to reduce to the extent reasonably practicable such dilution or unfair results, which action may include: redemption of shares in kind; selling portfolio instruments prior to maturity to realize capital gains or losses, or to shorten the average portfolio maturity of the Fund; withholding dividends; or utilizing a net asset value per share as determined by using available market quotations.[2]

(3) The fund will maintain a dollar-weighted average portfolio maturity appropriate to its objective of maintaining a stable price per share; *provided,* however, that the Fund will neither (a) purchase any instrument with a remaining maturity of greater than one year, nor (b) maintain a dollar-weighted average portfolio maturity which exceeds 120 days.[3]

(4) The Fund will record, maintain and preserve permanently in an easily accessible place a written copy of the procedures (and any modifications thereto) described in condition (1) above, and the Fund will include in the minutes of Trustees' meetings and will record, maintain and preserve for a period of not less than six years (the first two years in an easily accessible place) a written record of the Trustees' considerations and actions taken in connection with the discharge of their responsibilities, as set forth above. The documents preserved pursuant to this condition shall be subject to inspection by the Commission in accordance with Section 31(b) of the Act, as though such documents were records required to be maintained pursuant to the rules adopted under Section 31(a) of the Act.

(5) The Fund will limit its portfolio investments, including repurchase agreements, to those United States dollar-denominated instruments which the Trustees determine present minimal credit risks, and which are of high quality as determined by any major rating service or, in the case of any instrument that is not so rated, of comparable quality as determined by the Trustees.

(6) The Fund will include in each quarterly report, as an attachment to Form N–1Q, a statement as to whether any action pursuant to condition 2(c) above was taken during the preceding fiscal quarter, and, if any such action was taken, the Fund will describe the nature and circumstances of such action.

Applicants note that under the conditions to the granting of the exemption described above (specifically, conditions 1 and 2) even under unusual or extraordinary circumstances there is little risk of unfairness to or dilution of existing shareholders. Applicants assert that this is so because the Trustees have undertaken promptly to consider appropriate action if amortized cost valuation of the Fund's security portfolio deviates from market valuation by more than one-half of one percent. Finally, Applicants state that they believe they would be at a competitive disadvantage in selling the Fund's shares if the Fund were not permitted to use amortized cost valuation as set forth above.

Applicants represent that the Fund's Trustees have determined in good faith that, in light of the characteristics of the Fund, amortized cost valuation is appropriate and preferable to the use of market valuation. According to Applicants, the Trustees have further determined that the Trustees and the Adviser will monitor valuations indicated by methods other than the amortized cost method so that any necessary changes in the portfolio or in the valuation method may be made to assure that the valuation method being used results in a close approximation of fair value in view of all pertinent factors.

On the basis of the foregoing, Applicants submit that the exemptions they request are appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act.

Notice is further given that any interested person may, not later than January 3, 1980, at 5:30 p.m., submit to the Commission in writing, a request for a hearing on the application accompanied by a statement as to the nature of his interest, the reasons for such request and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the addresses stated above. Proof of such service (by affidavit or, in the case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0–5 of the Rules and Regulations promulgated under the Act, an order disposing of the application herein will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79–38927 Filed 12–18–79; 8:45 am]

BILLING CODE 8010–01–M

[1] The Fund states that to fulfill this condition, it intends to use actual quotations or estimates of market value reflecting current market conditions chosen by the Trustees in the exercise of their discretion to be appropriate indicators of value, which may include among others, (i) quotations or estimates of market value for individual portfolio instruments, or (ii) values obtained from yield data relating to classes of money market instruments published by reputable sources.

[2] In determining what action might be appropriate under this condition, the Trustees further proposed to consider the possibility of splitting, combining or otherwise recapitalizing outstanding shares of the Fund.

[3] In fulfilling this condition, if the disposition of a portfolio security results in a dollar-weighted average portfolio maturity in excess of 120 days, the Fund will invest its available cash in such a manner as to reduce the dollar-weighted average portfolio maturity to 120 days or less as soon as reasonably practicable.

[File No. 1–7257]

La Quinta Motor Inns, Inc., Common Stock, Par Value $0.10; Application To Withdraw From Listing and Registration

December 10, 1979.

The above named issuer has filed an application with the Securities and Exchange Commission pursuant to section 12(d) of the Securities Exchange Act of 1934 (the "Act") and Rule 12d2–2(d) promulgated thereunder, to withdraw the specified security from listing and registration on the American Stock Exchange, Inc. ("Amex").

The reasons alleged in the application for withdrawing this security from listing and registration include the following:

1. La Quinta Motor Inns' ("La Quinta's") common stock was listed and registered for trading on the Amex on November 27, 1978.

2. La Quinta's common stock became listed and registered for trading on the New York Stock Exchange, Inc. ("NYSE") on April 18, 1979. Simultaneously, Amex suspended trading in the issue pursuant to Rule 12d2–1 of the Act.

3. La Quinta has determined that the direct and indirect costs and the possibility of market fragmentation do not justify maintaining common stock listings on both the Amex and NYSE.

This application relates solely to withdrawal of the applicant's common stock from listing and registration on the Amex and will have no effect upon the continued listing of that stock on the NYSE. The Amex has posed no objections in this matter.

Any interested person may, on or before December 28, 1979, submit by letter to the Secretary of the Securities and Exchange Commission, Washington, D.C. 20549, facts bearing upon whether the application has been made in accordance with the rules of the Exchange and what terms, if any, should be imposed by the Commission for the protection of investors. An order granting the application will be issued after the date mentioned above, on the basis of the application and any other information furnished to the Commission, unless it orders a hearing on the matter.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79–38930 Filed 12–18–79; 8:45 am]

BILLING CODE 8010–01–M

[Release No. 34–16423; File No. SR–MSTC–79–3]

Midwest Securities Trust Co.; Proposed Rule Change

Pursuant to section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94–29, 16 (June 4, 1975), notice is hereby given that on December 3, 1979, the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

Statement of the Terms of Substance of the Proposed Rule Change

MSTC Proposed Retroactive Surcharge for Bulk Inventory Deposits

"Bulk Inventory Deposits" are defined as those assets which were deposited physically at MSTC from 1976 through October 31, 1979.

The valuation of the bulk inventory deposits will be determined by:

1. Establishing the market value of securities held in the major Chicago bank participant accounts at MSTC as of October 31, 1979 (valuation as of October 31, 1979)

2. Subtracting from the valuation of assets held as of October 31, 1979 an amount equal to the value of bookentry movements made to the respective accounts in the acquisition of new business. (i.e. bookentry movements of account transfers from other institutions in the depository system). (bookentry movements of new business: Note I)

3. "Adjusted value" of bulk deposits will be established by subtracting "bookentry movements of new business" from "valuation as of October 31, 1979" which equals the "adjusted value" which is subject to the proposed surcharge (Note I).

The surcharge which has been established as being $.02 per $1,000 valuation will then be multiplied by the "Adjusted Value" to determine the total surcharge which each participant is subject to.

Calculation

Value of assets held at MSTC as of October 31, 1979
less
Value of assets moved to participants account via bookentry movements for account transfer. (Note I)
equal
Adjusted value of securities held
multiplied by
$0.02 per $1,000 valuation
equals
MSTC Bulk Inventory Surcharge

Note I.—Bookentry movements of purchase transaction to a participant account are not to be considered deductible as MSTC assumes most purchase transactions are offset by the sale of assets which were deposited at MSTC and for which MSTC incurred the cost of re-registration and safekeeping.

MSTC Proposed Surcharge on Deposits Effective November 1, 1979

The following proposed fees and surcharges will be applicable to all MSTC participants for all securities delivered physically to MSTC facilities located in Chicago or regionally (Depository Input Satellites: DIS) assuming said securities are definitive and will eventually be processed by MSTC in Chicago for the purpose of re-registration.

The proposed surcharge will be at a rate of $0.02 per $1,000 valuation for each deposit consisting of securities which have a value in excess of $15,000.

The $0.02 charge will be considered a surcharge and in addition to the standard deposit fee: an example being; a deposit valued at $25,000 would incur the standard deposit fee with an additional surcharge fee of 20¢, (10,000 × .02 per $1,000).

In conjunction with the above described surcharge a rate increase for each deposit processed (assumes maximum $15,000 valuation without being subject to surcharge) will be increased, effective November 1, from the current $0.70 deposit to $0.80 ($0.75 for p.m. deposit).

Basis and Purpose of Proposed Rule Change

In the last several years, MSTC has experienced a significant increase in the number of shares and dollar value of safekeeping positions. This is mainly attributed to several Chicago institutions making bulk deposits as they transferred large positions from their respective vaults to MSTC. The rate of deposits has accelerated during the last three-four months.

MSTC incurs two primary costs in processing these bulk deposits; namely, the physical clerical processing costs and the courier service costs to move certificates to and from transfer agents (mostly outside of Chicago) to re-register them into nominee name. MSTC charges a deposit charge, currently $0.70, for a deposit item. This charge is predicated on an assumption that each deposit will contain only a few certificates and have a dollar value within a certain range.

When bulk deposits are made, each item contains a number of certificates, measured in inches and occasionally feet, and is of a dollar value many times greater than a normal deposit. As a result, MSTC incurs costs well in excess of the revenue received for the item.

The bulk of MSTC's deposits have and will continue to come from the Chicago banks. These banks, along with the Midwest Stock Exchange community, were committed to build a Chicago depository. However, the funds for building the system came primarily from the broker/dealers who had used the basic clearing system and paid for services which had built up equity. The banks had not made similar contributions and have only made payment for recent services which do not sufficiently cover costs.

Because a large amount of recent deficits can be attributed to the one-time cost of processing deposits (i.e. clerical handling and courier costs to re-register certificates), MSTC believes it appropriate to impose a temporary surcharge on bulk deposits. This will contribute favorably to the present operating deficit and make up some of the accumulated deficits.

In proposing this surcharge, MSTC has also considered the fact that the banks have been involved at different levels of activity and some have progressed at a faster rate than others in bringing their securities into the Depository. To be equitable, the positions at October 31, 1979 should be determined and a surcharge applied to these positions as well as their future position additions, but paid over future time.

This two phase approach to the surcharge would provide relief to the additional costs associated with bulk deposits, partially make up incurred deficits caused in some degree to the past deposits, and maintain equity between the Chicago bank participants who originally made a commitment to support the development of a Chicago-based depository as part of the national system.

The proposed rule change represents an equitable allocation of reasonable dues among its participants. It also assures prompt and accurate clearance and settlement of security transactions and fosters cooperation and coordination among persons engaged in the clearance and settlement of security transactions by making the Midwest Securities Trust Company more competitive.

The Midwest Securities Trust Company has neither solicited nor received any comments.

The Midwest Securities Trust Company believes that no burdens have been placed on competition.

The proposed rule change has become effective, pursuant to Section 19(b)(3) of the Securities Exchange Act of 1934. At any time within sixty days of the filing of such proposed rule change, the Commission may summarily abrogate such rule change if it appears to the Commission that such action is necessary or appropriate in the public interest, for the protection of investors or otherwise in furtherance of the purposes of the Securities Exchange Act of 1934.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Persons desiring to make written submissions should file 6 copies thereof with the Secretary of the Commission, Securities and Exchange Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street, N.W., Washington, D.C. Copies of such filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization. All submissions should refer to the file number referenced above and should be submitted on or before January 9, 1980.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

December 13, 1979.

[FR Doc. 79–38824 Filed 12–18–79; 8:45 am]

BILLING CODE 8010–01–M

[Release No. 34–16425; File No. SR–NASD–79–11]

National Association of Securities Dealers, Inc.; Proposed Rule Change

Pursuant to section 19(b)(1) of the Securities Exchange Act of 1934, 15 U.S.C. 78s(b)(1), as amended by Pub. L. No. 94–29, 16 (June 4, 1975) notice is hereby given on October 18, 1979, the above-mentioned self-regulatory organization filed with the Securities and Exchange Commission a proposed rule change as follows:

Association's Statement of the Terms of Substance of the Proposed Rule Change

The National Association of Securities Dealers, Inc. ("NASD") proposes to adopt new Rules regarding arbitrations, amending its existing Code of Arbitration Procedure. The new rules are being adopted to conform the Association's arbitration rules to the Uniform Code of Arbitration developed by the Securities Industry Conference on Arbitration.

Purpose of Proposed Rule Change.—The procedures set forth in the proposed Uniform Arbitration Code were developed by the Securities Industry Conference on Arbitration which is composed of representatives of the National Association of Securities Dealers, Inc. and 9 other self-regulatory organizations is anticipated that the Uniform Arbitration Code will eventually be adopted by each of these self-regulatory organizations and will provide for a uniform system of arbitration throughout the securities industry. The proposed uniform code will enable each of the self-regulatory organizations to provide investors with a simple and inexpensive procedure for the resolution of controversies with brokerage firms. The provisions of the Uniform Arbitration Code have been incorporated into new Parts II and III of the Association's Code of Arbitration Procedure, with minor grammatical changes.

A change was also made to Section 1, "Matters Eligible for Submission," under new Part I, which is not part of the uniform code. The phrase "securities related" has been deleted before "dispute," so that any dispute, claim or controversy arising out of or in connection with the business of any member may now be arbitrated. This change, which was made to conform to the uniform code, will make arbitrable certain disputes involving a member's business which were not previously eligible for arbitration.

At the same time, the Association has added an exception which would exclude from arbitration "disputes involving the insurance business of any member which is also an insurance company." The Association based its determination to exclude such disputes on its belief that the number of insurance-only claims involving insurance companies is so disproportionately large in relation to their securities business that to include such claims would unduly burden the arbitration system. In addition, the inclusion of such claims could result in a requirement to arbitrate matters that are intrinsically insurance, that is, matters with respect to which the Association does not believe it should mandate arbitration.

Basis Under the Act for Proposed Rule Change.—The proposed amendment to the Code of Arbitration Procedure is consistent with section 15A(b)(6) of the Securities Exchange Act of 1934. As proposed, the Code will incorporate the provisions of the Uniform Arbitration Code, thereby providing a more effective, efficient and economical dispute resolution system for the public and the members of the securities industry and, consequently, protecting investors and the public interest.

Comments Received from Members, Participants or Others on Proposed Rule Change.—Section 37 of the Association's Code of Arbitration Procedure provides that the Board of Governors may amend the Code without recourse to the membership. Comments of the membership were not solicited or received.

Burden on Competition.—The Association believes that no burden on competition is imposed by the proposed changes. In fact, the changes may result in improved competition because members of the Association will be subject to the same arbitration procedures as are members of the other self-regulatory organizations that adopt the Uniform Arbitration Code.

On or before January 23, 1980, or within such longer period (i) as the Commission may designate up to ninety (90) days of such date if it finds such longer period to be appropriate and

publishes its reasons for so finding or (ii) as to which the above-mentioned self-regulatory organization consents, the Commission will:

(a) By order approve such proposed rule change, or

(b) Institute proceedings to determine whether the proposed rule change should be disapproved.

Interested persons are invited to submit written data, views and arguments concerning the foregoing. Person desiring to make written submissions should file six (6) copies thereof with George A. Fitzsimmons, Secretary, Securities and Exchange Commission, Washington, D.C. 20549. Copies of the filing with respect to the foregoing and of all written submissions will be available for inspection and copying in the Public Reference Room, 1100 L Street, N.W., Washington, D.C. Copies of the filing will also be available for inspection and copying at the principal office of the above-mentioned self-regulatory organization. All submissions should refer to the file number referenced in the caption above and should be submitted by January 9, 1980.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

December 14, 1979.

[FR Doc. 79-38923 Filed 12-18-79; 8:45 am]

BILLING CODE 8010-01-M

[File No. 1-6369]

Prime Motor Inns, Inc., Common Stock, Par Value $0.05; Application To Withdraw From Listing and Registration

The above named issuer has filed an application with the Securities and Exchange Commission pursuant to Section 12(d) of the Securities Exchange Act of 1934 (the "Act") and Rule 12d2-2(d) promulgated thereunder, to withdraw the specified security from listing and registration on the American Stock Exchange, Inc. ("Amex").

The reasons alleged in the application for withdrawing this security from listing and registration include the following:

1. Prime Motor Inns' ("Prime's") common stock was listed and registered for trading on the Amex on March 15, 1972.

2. Prime's common stock became listed and registered for trading on the New York Stock Exchange, Inc. ("NYSE") on November 15, 1979. Simultaneously, Amex suspended trading in the issue pursuant to Rule 12d2-1 of the Act.

3. Prime has determined that the direct and indirect costs and the possibility of market fragmentation do not justify maintaining common stock listings on both the Amex and NYSE.

This application relates solely to withdrawal of the applicant's common stock from listing and registration on the Amex and will have no effect upon the continued listing of that stock on the NYSE. The Amex has posed no objections in this matter.

Any interested person may, on or before December 28, 1979, submit by letter to the Secretary of the Securities and Exchange Commission, Washington, D.C. 20549, facts bearing upon whether the application has been made in accordance with the rules of the Exchange and what terms, if any, should be imposed by the Commission for the protection of Investors. An order granting the application will be issued after the date mentioned above, on the basis of the application and any other information furnished to the Commission, unless it orders a hearing on the matter.

For the Commission, by the Division of Market Regulation, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38929 Filed 12-18-79; 8:45 am]

BILLING CODE 8010-01-M

[Rel. No. 10982; 812-4321]

Vance, Sanders Municipal Bond Fund, Ltd., et al.; Filing of Application for Amended Order Pursuant to Section 6(c) of the Act Granting Exemption From the Provisions of Section 2(a)(19) of the Act

December 13, 1979.

Notice is hereby given that Vance, Sanders Municipal Bond Fund, Ltd., ("Bond Fund") One Beacon Street, Boston, Massachusetts 02108, registered under the Investment Company Act of 1940 ("Act") as an open-end, diversified, management investment company, Eaton & Howard, Vance Sanders Inc. ("EHVS"), investment adviser and principal underwriter for Bond Fund, and Eaton & Howard, Vance Sanders Distributors Inc. ("Distributors"), a newly formed wholly owned subsidiary of EHVS which will assume all of EHVS's activities as principal underwriter for Bond Fund (Bond Fund, EHVS and Distributors are hereinafter referred to collectively as "Applicants"), filed an application on September 10, 1979, for an order, pursuant to section 6(c) of the Act, amending a prior order of the Commission ("Prior") (Investment Company Act Release No. 10804, August 2, 1979) so that William M. Griffin shall not be deemed to be an "interested person" of Bond Fund, EHVS or Distributors within the meaning of Section 2(a)(19) of the Act by reason of his status as: (a) a director, executive vice president and chairman of the finance committee of Hartford Fire Insurance Company ("Hartford Fire"); (b) a director and president of Hartford Securities Company, Inc. ("Hartford Securities"), a registered broker-dealer and a wholly owned subsidiary of Hartford Fire; (c) a director, vice president and chairman of the finance committee of Hartford Life Insurance Company, ("Hartford Life") another wholly owned subsidiary of Hartford Fire; and (d) a director, vice president and chairman of the finance committee of Hartford Variable Annuity Life Insurance Company ("Variable Annuity"), a wholly owned subsidiary of Hartford Life and parent of Hartford Equity Sales Company, Inc. ("Equity Sales"), a registered broker-dealer (such companies are hereinafter referred to as "Hartford Fire and certain subsidiaries"). All interested persons are referred to the application on file with the Commission for a statement of the representations contained therein which are summarized below.

According to the application, EHVS intends to change its structure so that all of the activities it now performs as principal underwriter for Bond Fund and other funds in the EHVS group will be performed by Distributors. Because the Prior Order exempted Griffin from the definition of "interested person" contained in Section 2(a)(19) of the Act only to the extent he would otherwise be deemed to be an "interested person" of Bond Fund and EHVS, Applicants have requested that the Prior Order be amended to exempt Griffin from the definition of "interested person" to the extent he would otherwise be deemed to be an "interested person" of Distributors.

Section 2(a)(19) of the Act, in pertinent part, defines an "interested person" of an investment company, and of any investment adviser of or principal underwriter for an investment company, to include, *inter alia*, any broker or dealer registered under the Securities Exchange Act of 1934 or any affiliated person of such broker or dealer. Section 2(a)(3) of the Act defines an "affiliated person" of another person to include, *inter alia*, any director, officer or employee of such other person. In view of Griffin's associations with Hartford Fire and certain subsidiaries person of Hartford Securities and, possibly, of Equity Sales, Thus, Griffin appears to be an "interested person" of Bond Fund, EHVS and Distributors and Applicants request that the Prior Order be amended in the manner set forth above.

Section 6(c) of the Act provides, in part, that the Commission may, upon application, conditionally or unconditionally exempt any person, security or transaction, or any class or classes of persons, securities or transactions, from any of the provisions of the Act or of the rules thereunder, if and to the extent that such exemption is necessary or appropriate in the public interest and consistent with the protection of investors and the purposes fairly intended by the policy and provisions of the Act.

Applicants assert that Griffin's relationships with Hartford Fire and certain subsidiaries will not impair his independence in acting on behalf of Bond Fund. They state that Hartford Securities has never acted as a broker or dealer or engaged in securities transactions for any person not an affiliate of Hartford Fire and that the business of Equity Sales relates solely to the marketing of variable annuity contracts issued by Variable Annuity. Applicants represent that: (1) Hartford Securities and Equity Sales do not intend to sell securities to, or to purchase any securities from, Bond Fund; (2) Bond Fund will not purchase securities from or through Hartford Securities or Equity Sales; and (3) such undertakings will not adversely affect Bond Fund.

Notice is further given that any interested persons may, not later than January 7, 1980, at 5:30 p.m., submit to the Commission in writing a request for a hearing on the matter accompanied by a statement as to the nature of his interest, the reason for such request, and the issues, if any, of fact or law proposed to be controverted, or he may request that he be notified if the Commission shall order a hearing thereon. Any such communication should be addressed: Secretary, Securities and Exchange Commission, Washington, D.C. 20549. A copy of such request shall be served personally or by mail upon Applicants at the address stated above. Proof of such service (by affidavit or, in the case of an attorney-at-law, by certificate) shall be filed contemporaneously with the request. As provided by Rule 0-5 of the Rules and Regulations promulgated under the Act, an order disposing of the application will be issued as of course following said date unless the Commission thereafter orders a hearing upon request or upon the Commission's own motion. Persons who request a hearing, or advice as to whether a hearing is ordered, will receive any notices and orders issued in this matter, including the date of the hearing (if ordered) and any postponements thereof.

For the Commission, by the Division of Investment Management, pursuant to delegated authority.

George A. Fitzsimmons,

Secretary.

[FR Doc. 79-38928 Filed 12-18-79; 8:45 am]

BILLING CODE 8010-01-M

SMALL BUSINESS ADMINISTRATION

[License No. 06/06-5207]

Capital-Management Services, Inc.; Filing of Application for Transfer of Control

Notice is hereby given that an application has been filed with the Small Business Administration pursuant to 13 CFR 107.701 (1979) for the transfer of control of Capital-Management Services, Inc. (licensee), a small business investment company licensed by the Small Business Administration on March 14, 1979, and operating under the provisions of Section 301(d) of the Small Business Investment Act of 1958, as amended (the Act).

Licensee, an Arkansas Corporation with its principal place of business located at 4801 North Hills Boulevard, North Little Rock, Arkansas 72116, was owned and managed by the following persons:

Name and office	Percent of ownership
Louise Lingo, 1918 Broken Bow, North Little Rock, Arkansas 72216, President, Director	6.5
Mahesh Kapadia, 813 Koehler, Sherwood, Arkansas 72116, Vice President, Director	7.8
George S. Ivory, Jr., 17 Lakeside Drive, Little Rock, Arkansas 72204, Secretary, Director	3.3
C. W. Tracy, Route 1, Box 648, Benton, Arkansas 72015, Treasurer, Director	16.4
David L. Hale, 2823 North Pierce, Little Rock, Arkansas 72207, General Manager, Director	36.5
Robert Byrns, P.O. Box 808, Cabot, Arkansas 72023, Director	16.4
C. C. Jones, 1715 West 35th Street, North Little Rock, Arkansas 72116, Director	13.1
Total	100.0

In connection with the recapitalization of the licensee from $151,500 to $500,500, the licensee underwent a transfer of ownership and control subject to this Agency's approval. New officers, directors and stockholders are listed below:

Name and office	Percent of ownership
David L. Hale, 2823 North Pierce, Little Rock, Arkansas 72207, President, Director	36.0
F. C. James, 6514 Sherry Drive, Little Rock, Arkansas 72204, Vice President, Director	12.5
Mahesh Kapadia, 813 Koehler, Sherwood, Arkansas 72116, Vice President, Director	2.5
Fred J. Weaver, Route 2, Vilonia, Arkansas 72173, Secretary, Director	12.5
Sam Southerland, Route 5, Box 216, Conway, Arkansas 72032, Treasurer, Director	3.0
George S. Ivory, Jr., 17 Lakeside Drive, Little Rock, Arkansas 72204, Assistant Secretary, Director	1.0
Charles H. Bishop, Route 7, Box 1799-K, Benton, Arkansas 72015, Director	12.5
Carter Dennis, 10485 Julie Beth, Cypress, California 90630, Stockholder	12.5
James C. Diemer, 14 Nitawood Drive, Little Rock, Arkansas 72206, Stockholder	7.5
Total	100.0

Matters involved in SBA's consideration of the application include the general business reputation and character of the proposed new shareholders and management, and the probability of successful operations of the company under such management (including profitability and financial soundness) in accordance with the Act and Regulations.

Notice is further given that any person may submit written comments on the proposed transfer of control to the Acting Associate Administrator for Finance and Investment, Small Business Administration, 1441 L Street, N.W., Washington, D.C. 20416, not later than January 3, 1980.

A copy of this notice shall be published in a newspaper of general circulation in North Little Rock, Arkansas.

(Catalog of Federal Domestic Assistance Program No. 59.011, Small Business Investment Companies.)

Dated: December 12, 1979.

Peter F. McNeish,

Acting Associate Administrator for Finance and Investment.

[FR Doc. 79-38901 Filed 12-18-79; 8:45 am]

BILLING CODE 8025-01-M

[Declaration of Disaster Loan Area No. 1741]

New York; Declaration of Disaster Loan Area

Essex County and adjacent counties within the State of New York constitute a disaster area as a result of damage caused by excessive rainfall which occurred on November 26-27, 1979. Eligible persons, firms and organizations may file applications for loans for physical damage until the close of business on February 8, 1980, and for economic injury until the close of business on September 10, 1980, at:

Small Business Administration, District Office, Federal Bldg., Room 1073, 100 South Clinton Street, Syracuse, New York 13260 or other locally announced locations.

(Catalog of Federal Domestic Assistance Program Nos. 59002 and 59008.)

Dated: December 10, 1979.

William H. Mauk,

Acting Administrator.

[FR Doc. 79-38925 Filed 12-18-79; 8:45 am]

BILLING CODE 8025-01-M

DEPARTMENT OF STATE

Office of the Secretary

[Pub. Notice CM-8/252]

Study Group 1 of the U.S. Organization for the International Radio Consultative Committee (CCIR); Meeting

The Department of State announces that Study Group 1 of the U.S. Organization for the International Radio Consultative Committee (CCIR) will meet on January 10, 1980 at 9:30 a.m. in Conference Room B841, Department of Commerce Building, 14th Street and Constitution Avenue, Washington, D.C.

Study Group 1 deals with matters relating to efficient use of the radio frequency spectrum, and in particular, with problems of frequency sharing, taking into account the attainable characteristics of radio equipment and systems; principles for classifying emissions; and the measurement of emission characteristics and spectrum occupancy. The purpose of the meeting will be to review results of the 1979 World Administrative Radio Conference in relation to the U.S. Study Group 1 program of work in preparation for the international meeting of Study Group 1 in June 1980.

Members of the general public may attend the meeting and join in the discussions subject to instructions of the Chairman. Requests for further information should be directed to Mr. Gordon Huffcutt, State Department, Washington, D.C. 20520, telephone (202) 632-2592.

Gordon L. Huffcutt,

Chairman, U.S. CCIR National Committee.

December 10, 1979.

[FR Doc. 79-38885 Filed 12-18-79; 8:45 am]

BILLING CODE 4710-07-M

DEPARTMENT OF THE TREASURY

Customs Service

Tariff Classification of Substantially Complete Articles

AGENCY: U.S. Customs Service, Department of the Treasury.

ACTION: General Notice—Request for Public Comments.

SUMMARY: Customs is soliciting public comments concerning the tariff classification of substantially complete articles as either unfinished articles or as parts of finished articles, in view of the decision of the U.S. Court of Customs and Patent Appeals in *Daisy-Heddon, Div. Victor Comptometer Corp.* v. *United States,* C.A.D. 1228 (1979). Comments are requested concerning the application of *Daisy-Heddon* to Customs tariff classification rulings regarding merchandise imported in substantially completed form.

DATE: Comments must be received on or before March 18, 1980.

ADDRESS: Written comments should be addressed to the Commissioner of Customs, Attention: Regulations and Research Division, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 2335, Washington, D.C. 20229.

FOR FURTHER INFORMATION CONTACT: Thomas L. Lobred, Classification and Value Division, U.S. Customs Service, 1301 Constitution Avenue, NW., Washington, D.C. 20229 (202-566-2938).

SUPPLEMENTARY INFORMATION:

Background

Customs published a general notice in the **Federal Register** on October 17, 1979 (44 FR 59984), requesting public comments by December 17, 1979, concerning the application of an oppinion of the U.S. Court of Customs and Patent Appeals *(Daisy-Heddon, Div. Victor Comptometer Corp.* v. *United States,* C.A.D. 1228 (1979)), to the tariff classification of cab chassis.

In that opinion, which expressly overruled the majority opinion in *Authentic Furniture Products, Inc.,* v. *United States,* 61 CCPA 5, C.A.D. 1109 (1973), but approved the result reached, the court stated:

> • • • There are several factors which may come into play in the determination of whether an article is substantially complete. In a case, such as this, where the article is incomplete due to the omission of one or more parts, as opposed to where an article is incomplete because the material which comprises the article is in need of further processing, the following factors can be relevant: (1) comparison of the number of omitted parts with the number of included parts; (2) comparison of the time and effort required to complete the article with the time and effort required to place it in its imported condition; (3) comparison of the cost of the included parts with that of the omitted parts; (4) the significance of the omitted parts to the overall functioning of the completed article; and, (5) trade customs, i.e., does the trade recognize the importation as an unfinished article or as merely a part of that article. This list of factors is not exhaustive; it must be recognized that fewer than all of the above factors, or additional factors, may come into play depending on the particular importation. The outcome of each case will always depend on the particular merchandise involved. It would be over-simplification of an essentially difficult juridical problem, often involving a determination of congressional intent, for us to attempt to provide anything more than guidelines for the trier of fact to follow in assessing a given case. • • •

While the notice of October 17, 1979, requested comments concerning the specific issue of the tariff classification of cab chassis, Customs is concerned that the court's opinion in *Daisy-Heddon* may affect other Customs rulings regarding the tariff classification of merchandise imported in substantially complete condition, especially those in which the issue addressed was whether an article was classifiable as an unfinished article or as part of a finished article.

To assist Customs in determining which, if any, tariff classification rulings may be affected, and to assist in re-evaluating those rulings in view of the court's opinion, comments from the public, identifying specific rulings and offering opinions concerning the application of *Daisy-Heddon* to each, are requested.

Comments

Consideration will be given to any written comments, preferably in triplicate, timely submitted to the Commissioner of Customs. Comments submitted will be available for public inspection in accordance with § 103.8(b) Customs Regulations (19 CFR 103.8(b)), during regular business hours at the Regulations and Research Division, Headquarters, U.S. Customs Service, 1301 Constitution Avenue, N.W., Room 2335, Washington, D.C. 20229.

Drafting Information

The principal author of this document was Lawrence P. Dunham, Regulations and Research Division, Office of Regulations and Rulings, U.S. Customs Service. However, personnel from other Customs offices participated in its development.

William T. Archey,

Acting Commissioner of Customs.

Approved: December 10, 1979.

Richard J. Davis,

Assistant Secretary of the Treasury.

[FR Doc. 79-38951 Filed 12-18-79; 8:45 am]

BILLING CODE 4810-22-M

Fiscal Service

[Dept. Circ. 570, 1979 Rev., Supp. No. 10]

Surety Companies Acceptable on Federal Bonds

A certificate of authority as an acceptable surety on Federal bonds is hereby issued to the following company under Sections 6 to 13 of Title 6 of the United States Code. An underwriting limitation of $388,000 has been established for the company.

Name of Company, Business Address, and State In Which Incorporated

The Personal Service Insurance Co., 100 East Gay Street, Columbus, Ohio 43215, Ohio.

Certificates of authority expire on June 30 each year, unless renewed prior to that date or sooner revoked. The certificates are subject to subsequent annual renewal so long as the companies remain qualified (31 CFR Part 223). A list of qualified companies is published annually as of July 1 in Department Circular 570, with details as to underwriting limitations, areas in which licensed to transact surety business and other information. Copies of the circular, when issued, may be obtained from the Audit Staff, Bureau of Government Financial Operations, Department of the Treasury, Washington, D.C. 20226.

Dated: December 12, 1979.

D. A. Paglial,

Commissioner, Bureau of Government Financial Operations.

[FR Doc. 79-38932 Filed 12-18-79; 8:45 am]

BILLING CODE 4810-35-M

VETERANS ADMINISTRATION

Performance Review Board

AGENCY: Veterans Administration.

ACTION: Notice.

SUMMARY: Pursuant to the provisions of 5 USC 4314(c)(4), notice is hereby given of the names of the members of the Performance Review Boards in the Veterans Administration.

DATE: December 19, 1979.

FOR FURTHER INFORMATION CONTACT: A. W. Brand, Jr., Office of Personnel (CSRS-05A), Veterans Administration, 810 Vermont Avenue NW., Washington, D.C. 20420, (202-389-2279).

The members of the VA's performance review boards are:

VA/Wide Performance Review Board

Richard S. Sweet, Assistant Deputy Administrator for Manpower.
John J. Leffler, Associate Deputy Administrator.
Maury S. Cralle, Jr., Assistant Deputy Administrator for Financial Management and Construction.
Robert D. Vaughn, Assistant Deputy Administrator for Administration and Logistics.
James C. Crutcher, M.D., Chief Medical Director.
Dorothy L. Starbuck, Chief Benefits Director.
Carl T. Noll, Chief Memorial Affairs Director.
Guy H. McMichael III, General Counsel.
William R. Martin, Assistant Administrator for Data Management and Telecommunications.
Sydney J. Shuman, Chairman, Board of Veterans Appeals.
Conrad R. Hoffman, Controller.
Richard D. Brady, Assistant Administrator for Personnel.
Frank R. Hood, Assistant Administrator for Information Services.
Martin D. Carlin, Assistant Administrator for Planning & Program Evaluation.
Viggo P. Miller, Assistant Administrator for Construction.
Charles E. Clark, Assistant Administrator for Human Goals.
Homer D. Burge, Jr., Director, Office of Manpower Programs.

Department of Medicine and Surgery, Performance Review Board

Thomas J. Fitzgerald, M.D., Associate Deputy Chief Medical Director.
Mansell G. Piper, Executive Assistant to Chief Medical Director.
Donald B. Thompson, Executive Assistant to Deputy Chief Medical Director.
Paul E. Wisenbaugh, M.D., Deputy Associate Deputy Chief Medical Director for Operations.
William Jacoby, M.D., Deputy Associate Deputy Chief Medical Director for Program Management.
Charles V. Yarbrough, Director, Management Support Staff.
Carlton M. Smith, Director, Northeastern Region.
Charles R. Paulk, Director, Mid-Atlantic Region.
Dan G. Kradovack, Director, Southeastern Region.
James H. Caldwell, Jr., Director, Great Lakes Region.
Thomas P. Mullon, Director, Mid-Western Region.
John J. Peters, Jr., Director, Western Region.

Department of Veterans Benefits, Performance Review Board

Anthony J. Bochicchio, Deputy Chief Benefits Director.
Maurice L. Howells, Field Director, Eastern Region.
John W. Hagan, Jr., Field Director, Central Region.
John P. Travers, Field Director, Western Region.
Jerome C. Peckarsky, Director, Compensation and Pension Service.
James J. Cox, Director, Veterans Assistance Service.
Andrew H. Thornton, Director, Education and Rehabilitation Service.
Robert C. Coon, Director, Loan Guaranty Service.

Dated: December 11, 1979.

By direction of the Administrator.

John J. Leffler,

Associate Deputy Administrator.

[FR Doc. 79-38943 Filed 12-18-79; 8:45 am]

BILLING CODE 8320-01-M

INTERSTATE COMMERCE COMMISSION

[Exception No. 17 to Rev. Service Order No. 1312]

Chicago and North Western Transportation Co.; Railroad Car Service Orders

Because of the inability of the railroad to assemble the cars, a movement of twenty-five (25) loaded covered hopper cars will be seriously delayed on the Chicago and North Western Transportation Company (CNW) enroute to Tacoma, Washington. Deaver-Meyer Grain Company desires to ship a twenty-five (25) car unit-grain-train to Tacoma routed CNW-BN. The consignee at Tacoma is badly in need of the grain, but only twenty-two (22) covered hoppers have arrived at the loading point of Long Pine, Nebraska. Section (a) of Revised Service Order No. 1312 authorize any railroad which is unable to supply the number of covered hopper cars required by its tariffs to transport unit-grain-trains of fewer cars in accordance with the scale in Section (b).

Pursuant to the authority vested in the Director, Bureau of Operations, by Section (h) of Revised Service Order No. 1312, the Chicago and North Western Tansportation Company is authorized to operate a twenty-five (25) car unit-grain-train from Long Pine, Nebraska, to Tacoma, Washington, comprised of twenty-five (25) privately owned covered hopper cars, on a one trip basis, with a minimum of twenty-two (22) loaded cars operated in the first movement, and the remaining cars of the unit-train operated together in the final movement of this unit-grain-train. The total tariff minimum weight will be transported as required except if the railroad is unable to move all of the empty covered hoppers to the loading point on the final movement, the train can be reduced by the allowable number

of cars or allowable weight percentage, as set forth in Section (b) of this Service Order. This exception applies to privately owned covered hopper cars.

The bills of lading and waybills shall bear the following endorsement: "Unit-grain-train of ( ) tons or (25) cars. Partial movement of ( ) tons or (22) cars forwarded authority Exception No. 17 to ICC Revised Service Order No. 1312. ( ) tons or (3) cars to follow."

Demurrage rules will be treated as if each of the movements of the unit-train is a complete movement in itself.

Effective November 14, 1979.

Expires 11:59 p.m., November 28, 1979.

Issued at Washington, D.C., November 14, 1979.

Robert S. Turkington,

Acting Director.

[FR Doc. 79-38832 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

[Rule 19; Ex Parte No. 241, 33d Rev. Exemption No. 129]

Exemption Under Provision of Mandatory Car Service Rules

It appearing, that the railroads named herein own numerous forty-foot plain boxcars; that under present conditions, there is virtually no demand for these cars on the lines of the car owners; that return of these cars to the car owners would result in their being stored idle on these lines; that such cars can be used by other carriers for transporting traffic offered for shipments to points remote from the car owners; and that compliance with Car Service Rules 1 and 2 prevents such use of plain boxcars owned by the railroads listed herein, resulting in unnecessary loss of utilization of such cars.

It is ordered, That, pursuant to the authority vested in me by Car Service Rule 19, plain boxcars described in the Official Railway Equipment Register, ICC–RER 6410–C, issued by W. J. Trezise, or successive issues thereof, as having mechanical designation "XM," with inside length 44-ft. 6-in. or less, regardless of door width and bearing reporting marks assigned to the railroads named below, shall be exempt from provisions of Car Service Rules 1(a), 2(a), and 2(b).

Atlanta & Saint Andrews Bay Railway Company
Reporting Marks: ASAB
Chicago, West Pullman & Southern Railroad Company
Reporting Marks: CWP
Green Mountain Railroad Corporation [1]
Reporting Marks: GMRC
Illinois Terminal Railroad Company
Reporting Marks: ITC
Louisville, New Albany & Corydon Railroad Company
Reporting Marks: LNAC
New Hope and Ivyland Railroad Company
Reporting Marks: NHIR
North Stratford Railroad Corporation
Reporting Marks: NSRC
St. Louis Southwestern Railway Company
Reporting Marks: SSW
Southern Pacific Transportation Company
Reporting Marks: SP
Southern Railway Company [1]
Reporting Marks: SOU

Effective December 1, 1979, and continuing in effect until further order of this Commission.

Issued at Washington, D.C., November 28, 1979.

Interstate Commerce Commission.

Robert S. Turkington,

Agent.

[FR Doc. 79-38831 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

[Rule 19; Ex Parte No. 241; 75th Rev. Exemption No. 92]

Exemption Under Provision of Mandatory Car Service Rules

It appearing, That the railroads named below own numerous 50-ft. plain boxcars; that under present conditions there are substantial surpluses of these cars on their lines; that return of these cars to the owners would result in their being stored idle; that such cars be used by other carriers for transporting traffic offered for shipments to points remote from the car owners; and that compliance with Car Service Rules 1 and 2 prevents such use of these cars, resulting in unnecessary loss of utilization of such cars.

It is ordered, That pursuant to the authority vested in me by Car Service Rule 19, 50-ft. plain boxcars described in the Official Railway Equipment Register, ICC RER 6410–C, issued by W. J. Trezise, or successive issues thereof, as having mechanical designation "XM," and bearing reporting marks assigned to the railroads named below, shall be exempt from provisions of Car Service Rules 1, 2(a) and 2(b).

Aberdeen and Rockfish Railroad Company
Reporting Marks: AR
*The Ahnapee & Western Railway Company
Reporting Marks: AHW
Ann Arbor Railroad System, Michigan Interstate Railway Company, Operator
Reporting Marks: AA
Apalachicola Northern Railroad Company
Reporting Marks: AN
Atlanta & Saint Andrews Bay Railway Company
Reporting Marks: ASAB
Bath and Hammondsport Railroad Company
Reporting Marks: BH
Cadiz Railroad Company
Reporting Marks: CAD
Camino, Placerville & Lake Tahoe Railroad Company
Reporting Marks: CPLT
City of Princeville
Reporting Marks: COP
The Clarendon and Pittsford Railroad Company
Reporting Marks: CLP
Columbus and Greenville Railway Company
Reporting Marks: CAGY
Delta Valley & Southern Railway Company
Reporting Marks: DVS
Detroit, Toledo and Ironton Railroad Company
Reporting Marks: DT&I–DTI
Duluth, Missabe and Iron Range Railway Company
Reporting Marks: DMIR
East Camden & Highland Railroad Company
Reporting Marks: EACH
East St. Louis Junction Railroad Company
Reporting Marks: ESLJ
Galveston Wharves
Reporting Marks: GWF
Genessee and Wyoming Railway Company
Reporting Marks: GNWR
Green Mountain Railroad Corporation [1]
Reporting Marks: GMRC
Greenville and Northern Railway Company
Reporting Marks: GRN
The Hutchinson and Northern Railway Company
Reporting Marks: HN
Helena Southwestern Railroad Company
Reporting Marks: HSW
Illinois Terminal Railroad Company
Reporting Marks: ITC
Indiana Eastern Railroad and Transportation, Inc., d.b.a. The Hoosier Connection
Reporting Marks: HOSC
See footnote 2.
Lake Superior & Ishpeming Railroad Company
Reporting Marks: LSI
Lancaster and Chester Railway Company
Reporting Marks: LC
Lenawee County Railroad Company, Inc.
Reporting Marks: LCRC
Longview, Portland & Northern Railway Company
Reporting Marks: LPN
Louisiana Midland Railway Company
Reporting Marks: LOAM
Louisville and Wadley Railway Company
Reporting Marks: LW
Louisville, New Albany & Corydon Railroad Company
Reporting Marks: LNAC
Manufacturers Railway Company
Reporting Marks: MRS
Maryland and Delaware Railroad Company
Reporting Marks: MDDE
McCloud River Railroad Company
Reporting Marks: MR
Middletown and New Jersey Railway Company, Inc.
Reporting Marks: MNJ
Missouri-Kansas-Texas Railroad Company
Reporting Marks: MKT–BKTY
See footnotes 2.
New Hope and Ivyland Railroad Company
Reporting Marks: NHIR
New Orleans Public Belt Railroad
Reporting Marks: NOPB
New York, Susquehanna and Western Railroad Company
Reporting Marks: NYSW
Octararo Railway, Inc.
Reporting Marks: OCTR
Oregon & Northwestern Railroad Co.
Reporting Marks: ONW
Pearl River Valley Railroad Company
Reporting Marks: PRV
Peninsula Terminal Company
Reporting Marks: PT
Port Huron and Detroit Railroad Company
Reporting Marks: PHD
Port of Tillamook Bay Railroad
Reporting Marks: POTB
Providence and Worcester Company
Reporting Marks: PW
Raritan River Rail Road Company
Reporting Marks: RR
St. Lawrence Railroad
Reporting Marks: NSL
St. Louis Southwestern Railway Company
Reporting Marks: SSW
St. Marys Railroad Company
Reporting Marks: SM
Sandersville Railroad Company
Reporting Marks: SAN
Savannah State Docks Railroad Company
Reporting Marks: SSDK
Sierra Railroad Company
Reporting Marks: SERA
Southern Pacific Transportation Company
Reporting Marks: SP
Southern Railway Company [1]
Reporting Marks: SOU
Terminal Railway, Alabama State Docks
Reporting Marks: TASD
The Texas Mexican Railway Company
Reporting Marks: TM
Toledo, Peoria & Western Railroad Company
Reporting Marks: TPW
Union Railroad of Oregon
Reporting Marks: UO
Vermont Railway, Inc.
Reporting Marks: VTR
Virginia Central Railway
Reporting Marks: VC
Wabash Valley Railroad Company
Reporting Marks: WVRC
WCTU Railway Company
Reporting Marks: WCTR
Youngstown & Southern Railway Company
Reporting Marks: YS
Yreka Western Railroad Company
Reporting Marks: YW

Effective December 1, 1979, and continuing in effect until further order of this Commission.

Issued as Washington, D.C., November 28, 1979.

Interstate Commerce Commission.

Robert S. Turkington,

Agent.

[FR Doc. 79-38834 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

[1] Addition.

[No. 37286; Ex Parte 357A]

Kentucky Intrastate Rail Freight Rates and Charges—Bituminous Coal

Decided: December 3, 1979.

By joint petition filed on October 9, 1979, the Illinois Central Gulf Railroad Company, the Southern Railway Company, and the Cincinnati, New Orleans and Texas Pacific Railway Co., railroads operating in intrastate commerce in Kentucky, request that this Commission institute an investigation of Kentucky intrastate freight rates and charges on bituminous coal, under 49 U.S.C. 11501 and 11502.[1] Petitioners seek an order authorizing them to increase such rates and charges in the same amount approved for interstate application by this Commission in Ex Parte No. 357A. By a protest filed on October 29, 1979, Kentucky Utilities Company opposes such an investigation. Petitioners have stated grounds sufficient to warrant instituting an investigation.

Petitioners filed an application on December 15, 1978, with the Kentucky Railroad Commission, requesting application of the rate increases authorized in Ex Parte No. 357A to the Kentucky intrastate rates on bituminous coal. In an order dated September 12, 1979, the Kentucky Railroad Commission authorized a 7 percent increase in Kentucky intrastate coal rates in lieu of the 13 percent increase requested by petitioners.

It is ordered:

The petition for investigation is granted. An investigation, under 49 U.S.C. 11501 and 11502, is instituted to determine whether the Kentucky intrastate rail Freight rates and charges on bituminous coal in any respect cause any unjust discrimination against or any undue burden on their interstate or foreign commerce operations, or cause undue or unreasonable advantage, perference, or prejudice as between persons or localities in interstate or foreign commerce, or are otherwise unlawful, by reason of the failure of such rates and charges to include the full increases authorized for interstate application by this Commission in Ex Parte No. 357A. In the investigation we shall also determine if any rates or charges, or maximum or minimum charges, or both, maintained by petitioners should be prescribed to remove any unlawful advantage, preference, discrimination, undue burden, or other violation of law found to exist.

All persons who wish to participate in this proceeding and to file and receive copies of pleadings shall make known that fact by notifying the Office of Proceedings, Room 5342, Interstate Commerce Commission, Washington, D.C. 20423, on or before January 3, 1980. Although individual participation is not precluded, to conserve time and to avoid unnecessary expense, persons having common interests should endeavor to consolidate their presentations to the greatest extent possible. This Commission desires participation of only those who intend to take an active part in this proceeding.

As soon as practicable after the last day for indicating a desire to participate in the proceeding, this Commission will serve a list of names and addresses on all persons upon whom service of all pleadings must be made. Thereafter, this proceeding will be assigned for oral hearing or handling under modified procedure.

A copy or this decision shall be served upon petitioners and the Kentucky Utilities Company and copies shall be sent by certified mail to the Kentucky Railroad Commission and the Governor of Kentucky. Further notice of this proceeding shall be given to the public by depositing a copy of this decision in the Office of the Secretary of the Interstate Commerce Commission at Washington, D.C., and by filing a copy with the Director, Office of the Federal Register, for publication in the **Federal Register.**

This action will not significantly affect either the quality of the human environment or consevation of energy resources.

By the Commission, Alan Fitzwater, Director, Office of Proceedings.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38833 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

[1] Petitioners do not represent all railroads operating in Kentucky. Moreover, the joint petition is filed in behalf of certain short-line connections. Since the short-line connections are not identified and it is not clear whether they have filed for intrastate rate increases on coal before the Kentucky Railroad Commission, this Commission can not include them as respondents in the investigation. All railroads who wish to participate in this proceeding should petition for intervention as respondents, and verify that they have met the jurisdictional requirements of 49 U.S.C. 11501(b)(1).

[Notice No. 217]

Motor Carrier Temporary Authority Applications

The following are notices of filing of applications for temporary authority under Section 210a(a) of the Interstate Commerce Act provided for under the provisions of 49 CFR 1131.3. These rules provide that an original and six (6) copies of protests to an application may be filed with the field official named in the **Federal Register** publication no later than the 15th calendar day after the date the notice of the filing of the application

is published in the **Federal Register**. One copy of the protest must be served on the applicant, or its authorized representative, if any, and the protestant must certify that such service has been made. The protest must identify the operating authority upon which it is predicated, specifying the "MC" docket and "Sub" number and quoting the particular portion of authority upon which it relies. Also, the protestant shall specify the service it can and will provide and the amount and type of equipment it will make available for use in connection with the service contemplated by the TA application. The weight accorded a protest shall be governed by the completeness and pertinence of the protestant's information.

Except as otherwise specifically noted, each applicant states that there will be no significant effect on the quality of the human environment resulting from approval of its application.

A copy of the application is on file, and can be examincd at the Office of the Secretary, Interstate Commerce Commission, Washington, D. C., and also in the ICC Field Office to which protests are to be transmitted.

Note.—All applications seek authority to operate as a common carrier over irregular routes except as otherwise noted.

Motor Carriers of Property

By the Commission.

Agatha L. Mergenovich,

Secretary.

MC 4963 (Sub-82TA), filed September 27, 1979. Applicant: JONES MOTOR CO., INC., Bridge St. & Schylkill Rd., Spring City, PA 19475. Representative: William H. Peiffer (same as applicant). *Iron and steel articles, metal, metal alloys and metal products, lumber products, paper and paper products* between Darlington, SC on the one hand, and, on the other, SC, NC, GA, AL, TN, KY, WV, MO, WI, MI, IN, MD, PA, NJ, NY, OH, DE, VT, MA, CT, ME, VA, IL, and RI for 180 days. Service at Darlington is restricted to plant sites, warehouses and other facilities of A G Steel, Inc. An underlying ETA seeks 90 days authority. Supporting shipper: A G Steel, Inc., RT 5 Box 12, Darlington, SC 29532. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 4963 (Sub-83TA), filed September 28, 1979. Applicant: JONES MOTOR CO., INC., Bridge St. & Schylkill Rd., Spring City, PA 19475. Representative: William H. Peiffer (same as applicant). *Escalators, Elevators and parts thereof* between the plant site of Otis Elevators Co (Subsidiary of United Technologies) Bloomington, IN on the one hand, and, on the other, WI, MO, MI, KY, PA, MD, SC, IL, NY, NJ, MA, RI, CT, NC, and VA for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Otis Elevator Co., 1331 Curry Pike Rd., Bloomington, IN 47401. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 4963 (Sub-84TA), filed October 10, 1979. Applicant: JONES MOTOR CO., INC., Bridge St. and Schuylkill Rd., Spring City, PA 19475. Representative: William H. Peiffer (same as applicant). *Iron or steel articles* between Altoona, PA on the one hand, and, on the other PA, RI, SC, TN, VT, VA, WV, OH, NC, NJ, NH, MO, MI, MA, MD, ME, KY, IA, IN, IL, GA, DE, CT, and DC, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Altoona Pipe & Steel, 1128 9th Ave., Altoona, PA. Send protests to: I.C.C. Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA.

MC 8973 (Sub-67TA), filed October 30, 1979. Applicant: METROPOLITAN TRUCKING, INC., 2424 95th Street, North Bergen, NJ 07047. Representative: Morton E. Kiel, Suite 1832, 2 World Trade Center, New York, NY 10048. Plastic articles from the facilities of Samsill Bros. Plastic Corp. in Forth Worth, TX to Kansas City, MO, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Samsill Bros. Plastic Corp., P.O. Box 10566, Ft. Worth, TX 76119. Send protests to: Robert E. Johnston, DS, ICC, 744 Broad Street, Room 522, Newark, NJ 07102.

MC 87523 (Sub-107TA), filed October 2, 1979. Applicant: STEWART TRUCKING COMPANY, INC., P.O. Box 5155, Manchester, NH 03108. Representative: Edward J. Kiley, 1730 M St., Suite 501, Washington, DC 20036. *Wine, in containers, and empty containers,* from the facilities of the Widmer's Wine Cellars, Inc., at or near Naples, NY, to Laconia, NH, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: White Mountain Vinyards, P.O. Box 218, Laconia, NH 03246. Send protests to: Ross J. Seymour, DS, ICC, Rm. 3, 6 Loudon Road., Concord, NH 03301.

MC 106603 (Sub-212TA), filed October 29, 1979. Applicant: DIRECT TRANSIT LINES, INC., 200 Colrain Street SW., P.O. Box 8099, Grand Rapids, MI 49508. Representative: Edwin M. Snyder, 22375 Haggerty Road, Northville, MI 48167. *Fibrous glass products and materials, mineral wool, mineral wool products and materials, insulated air ducts, insulating products and materials, glass fibre rovings, yarn and strands; glass fibre pats and mattings, flexible air ducts,* (except commodities in bulk) from the facilities of Certain-Teed Corporation located at or near Kansas City, KS to points in IL, IN, MI, WI and KY, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Certainteed Corporation, P.O. Box 860, Valley Forge, PA 19482. Send protests to: C. R. Flemming, D/S, I.C.C., 300 E. Michigan Avenue, Lansing, MI 48933.

MC 107323 (Sub-59TA), filed November 2, 1979. Applicant: GILLILAND TRANSFER CO., 7180 West 48th Street, Fremont, MI 49412. Representative: Donald B. Levine, 39 South LaSalle St., Chicago, IL 60603. Insulation and home improvement materials, and materials, equipment and supplies used in the manufacture, sales, distribution of installation of insulation and home improvement materials, (except commodities in bulk); from Florence, KY to points in IL on and north of US Hwy 80 and on and east of US Hwy 51 and points in MI and WI. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Hi-Tech Inc. 1515 Michigan NE, Grand Rapids, MI 49503. Send protests to: C. R. Flemming, D/S I.C.C., 300 E. Michigan Avenue, Lansing, MI 48933.

MC 107403 (Sub-1280TA), filed October 1, 1979. Applicant: MATLACK, INC., Ten W. Baltimore Ave., Landowne, PA 19050. Representative: Martin C. Hynes, Jr. (same as applicant). *Lube oil additives, in bulk, in tank vehicles* from Griffith, IN to East Hanover, NJ for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Chemical Components Div., Hexagon Enterprises, Inc., 20 DeForest Ave., E. Hanover, NJ 07936. Send protests to: I.C.C., Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 107403 (Sub-1281TA), filed September 17, 1979. Applicant: MATLACK, INC., Ten W. Baltimore Ave., Lansdowne, PA 19050. Representative: Martin C. Hynes, Jr. (same as applicant). *Tetrabromobisphenol, in bulk, in tank vehicles* from El Dorado, AR to Coshocton, OH for 180 days. An underlying ETA seeks 90 days Supporting shipper(s): General Electric Co., LIMBD, 1350 S. Second St., Coshocton, OH 43812. Send protests to: I.C.C., Fed Res. Bank Bldg., 101 N. 7th St., Rm, 620, Philadelphia, PA 19106.

MC 107403 (Sub-1282TA), filed September 27, 1979. Applicant: MATLACK, INC., Ten W. Baltimore Ave., Lansdowne, PA 19050. Representative: Martin C. Hynes, Jr. (same as applicant). *Commodities, in bulk, in tank or hopper vehicles* between ports of entry located on the US-Canada border located in WA, on the one hand, and, on the other, pts. in ID, OR, WY & WA for 180 days. Supporting shipper(s): Consumers Glass Co. Ltd., Lavington, B.C. Canada. Send protests to: I.C.C., Fed.Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

MC 114273 (Sub-675TA), filed October 23, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). *Canned and preserved foodstuffs* from the facilities of Heinz USA at or near Iowa City, IA, to the facilities of Heinz USA at Harrison, NJ; Toledo, OH; and Mechanicsburg and Pittsburgh, PA, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Heinz USA, Division of H. J. Heinz Company, P.O. Box 57, Pittsburgh, PA 15230. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

Note.—Common control may be involved.

MC 114273 (Sub-676TA), filed October 25, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). *Agricultural implements and parts* from Grinnell, IA, to Hagerstown, MD, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Farmhand, Inc., 525—15th Ave., Hopkins, MN 55343. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

Note.—Common control may be involved.

MC 114273 (Sub-677TA), filed October 25, 1979. Applicant: CRST, INC., P.O. Box 68, Cedar Rapids, IA 52406. Representative: Kenneth L. Core (same address as applicant). *Agricultural implements and parts* from Grinnell, IA, to Lansing, MI, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Farmhand, Inc., 525—15th Ave., Hopkins, MN 55343. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

Note.—Common control may be involved.

MC 123263 (Sub-15TA), filed October 26, 1979. Applicant: FLOYD R. WANGERIN AND LORRAINE C. WANGERIN d.b.a. WANGERIN TRUCKING CO., Rural Route 2, Stephenson, MI 49887. Representative: Michael S. Varda, 121 S. Pinckney Street, Madison, WI 53703. *Dairy-based products, flour products, dry flour paste and soy products* (except in bulk), from Hager City, WI to points in IA, IL, IN, KY, MI, MO and OH. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Ralston Purina Corporation, Checkerboard Square, 835 S. 8th Street, St. Louis, MO 63188. Send protests to: C. R. Flemming, D/S, I.C.C., 300 E. Michigan Avenue, Lansing, MI 48933.

MC 123993 (Sub-64TA), filed October 31, 1979. Applicant: FOGLEMAN TRUCK LINE, INC., P.O. Box 1504, Crowley, LA 70526. Representative: Byron Fogleman (same address as applicant). *(1) Malt beverages; (2) materials, supplies and equipment used in the manufacture, sale and distribution of malt beverages* between Fort Worth, TX on the one hand, and, on the other, points in AR, for 180 days. Applicant has filed an underlying ETA seeking 90 days. Supporting shippers: Vincent Dist. Co., 409 E. 2nd, El Dorado, AR, Dermott Dist. Co., Chicot Rd., Dermott, AR, Southeastern Distributing Co., P.O. Box 8868, Pine Bluff, AR 71601, 7-Up Bottling Co., 335 N. West St., Fayetteville, AR, Fraser Sales, P.O. Box 348, Hot Springs, AR 71901, Twin City Beverage Co., 1515 E. 4th St., Little Rock, AR 72202. Send protests to: Robert J. Kirspel, DS, ICC, T-9038 Federal Bldg., 701 Loyola Ave., New Orleans, LA 70113.

MC 124673 (Sub-45TA), filed October 31, 1979. Applicant: FEED TRANSPORTS, INC., P.O. BOX 2167, Amarillo, TX 79105. Representative: Gail Johnson, Box 2167, Amarillo, TX 79105. *Animal and poultry feed and feed ingredients, in bulk and in bags* between Ralston Purina Company at Denver, CO to points in KS, OK, TX and NM, for 180 days. Underlying ETA for 90 days filed. Supporting shipper: Ralston Purina Company, 414 East 18th St., Wichita, KS 67201. Send protests to: Marianne Minnich, TCS, ICC, Rm 9A27 Fed. Bldg., 819 Taylor St., Ft. Worth, TX 76102.

MC 124673 (Sub-46TA), filed September 17, 1979. Applicant: FEED TRANSPORTS, INC., P.O. BOX 2167, Amarillo, TX 79105. Representative: Gail Johnson, Box 2167, Amarillo, TX 79105 *Animal, fish or poultry feed and/or feed ingredients, in bulk or in bags,* between the facilities of Ralston Purina Company at or near Oklahoma City, OK; Fort Worth, TX; Wichita, KS; Liberal, KS; and Kansas City, MO on the one hand; and on the other, all points in the states of OK, NE, TX, AR, KS, MO, CO, and IA for 180 days. Underlying ETA filed. Supporting shipper: Ralston Purina Company, 13700 N. Lincoln Blvd., Edmond, OK 73034. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Forth Worth, TX 76102.

MC 124673 (Sub-47TA), filed September 21, 1979. Applicant: FEED TRANSPORTS, INC., P.O. BOX 2167, Amarillo, TX 79105. Representative: Gail Johnson, Box 2167, Amarillo, TX 79105. *Fish-meal* from San Diego, CA to Denver, CO; Flagstaff, AZ; Clinton and Davenport, IA; and Oklahoma City, OK for 180 days. Underlying ETA filed. Supporting shipper: Ralston Purina Company, Checkerboard Square, St. Louis, MO 63188. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Forth Worth, TX 76102.

MC 128273 (Sub-372TA), filed October 31, 1979. Applicant: MIDWESTERN DISTRIBUTION, INC., P.O. Box 189, Fort Scott, KS 66701. Representative: Elden Corban (same as above). *General commodities (except foodstuffs, commodities of unusual value, class A and B explosives, household goods as defined by the Commission,* commodities which because of size or weight require the use of special equipment, and commodities in bulk, in tank vehicles), between Cullman, AL, Phoenix, AZ, Vernon, Compton and Los Angeles, CA, Denver, CO, Tampa, FL, Atlanta, GA, Chicago and Wheeling, IL, Baltimore, MD, Leonminster and Randolph, MA, Minneapolis and Plymouth, MN, Berkeley and Kansas City, MO, Linden and South Plainfield, NJ, Cheektowaga, NY, Middleburg Heights (Cleveland), OH, Warren, PA, Dallas, TX, and Seattle, WA, on the one hand, and, on the other, points in the U.S. (except AK and HI). Restricted to traffic originating at or destined to the facilities utilized by Dutch Boy, Inc. for 180 days, common, irregular. Supporting shipper: Dutch Boy, Inc., 500 Central Avenue, P.O. Box 209, Northfield, IL 60093. Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67202.

MC 128273 (Sub-373TA), filed November 1, 1979. Applicant: MIDWESTERN DISTRIBUTION, INC., P.O. Box 189, Fort Scott, KS 66701. Representative: Elden Corban (same as above). *Cleaning solutions, cleaning compounds and air fresheners,* from facilities of Blue Cross Laboratories at North Hollywood, CA, to points in AR, FL, GA, IL, KY, MI, MO, NJ, PA, TN, VA & WI, for 180 days, common, irregular. An underlying ETA seeks 90 days authority. Supporting shipper: Blue Cross Laboratories, 7376 Greenbush Avenue, No. Hollywood, CA 91605. Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67202.

MC 128273 (Sub-374TA), filed October 5, 1979. Applicant: MIDWESTERN

DISTRIBUTION, INC., P.O. Box 189, Fort Scott, KS 66701. Representative: Elden Corban (same as above). *Such commodities as are used or dealt in by manufacturers or distributors of outdoor recreational equipment and heating and air conditioning equipment* (except in bulk, in tank vehicles) from the facilities of the Coleman Company, Inc., Wichita, KS to points in CA, FL, GA, IL, IN, MI, MN, NV, NC, OR, PA, SC, WA & WI for 180 days common, irregular. An underlying ETA seeks 90 days authority. Supporting shipper: The Coleman Company, Inc., 250 N. St. Francis, Wichita, KS 67201. Send protests to: M. E. Taylor, DS, ICC, 101 Litwin Bldg., Wichita, KS 67202.

MC 138313 (Sub-65TA), filed October 3, 1979. Applicant: BUILDERS TRANSPORT, INC., 409 14th Street S.W., Great Falls, MT 59404. Representative: Irene Warr, 430 Judge Bldg., Salt Lake City, UT 84111. *Solar panels,* and *materials and supplies used in the manufacture, distribution and installation thereof* from Great Falls, MT to CA, CO, ID, IA, MN, NV, ND, OR, SD, UT, WA and WY, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Sun Wise Solar Products, Inc., 609 10th Avenue South, Great Falls, MT 59401. Send protests to: Paul J. Labane, DS, ICC, 2602 First Avenue North, Billings, MT 59101.

MC 140563 (Sub-47TA), filed October 2, 1979. Applicant: W. T. MYLES TRANSPORTATION, P.O. Box 321, Conley, GA 30027. Representative: Archie B. Culbreth, Suite 202, 2200 Century Parkway, Atlanta, GA 30345. *Paper and paper products* from the facilities of Union Camp Corporation at or near Tifton, GA to points in AR, FL, KS, KY, LA, OK and TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Union Camp Corporation, 1600 Valley Road, Wayne, New Jersey 07470. Send protests to: Sara K. Davis T/A, ICC, 1252 W. Peachtree St., N.W. Room 300, Atlanta, GA 30309.

MC 141443 (Sub-46TA), filed October 3, 1979. Applicant: JOHN LONG TRUCKING, INC., 1030 East Denton, Sapulpa, OK 74066. Representative: Wilburn L. Williamson, Suite 615-East, The Oil Center, 2601 Northwest Expressway, Oklahoma City, OK 73112. *Printed matter, paper and paper articles, plastic articles, games, toys, puzzles, writing slates, crayons, pencils, store display racks, paints, brushes, adhesive, telescopes, microscopes, and such commodities as are dealt in or used by motels,* from Coffeyville, KS, to points in AR, AZ, CA, CO, ID, LA, MO, MT, NV, NM, OK, OR, UT, WA, & WY, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Western Publishing Co., Inc., Coffeyville Industrial Park, Coffeyville, KS 67337. Send protests to: Connie Stanley, ICC, Rm. 240, 215 N.W. 3rd, Oklahoma City, OK 73102.

MC 141443 (Sub-47TA), filed October 31, 1979. Applicant: JOHN LONG TRUCKING, INC., 1030 East Denton, Sapulpa, OK 74066. Representative: Wilburn L. Williamson, Suite 615-East, The Oil Center, 2601 Northwest Expressway, Oklahoma City, OK 73112. *Malt beverages and related advertising materials,* (2) *empty used beverage containers and materials and supplies used in and dealt with by breweries,* (1) from points in Jefferson County, CO, to points in OK, and (2) from points in OK, to Jefferson County, CO, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Adolph Coors Company, Golden, CO 80401. Send protests to: Connie Stanley, ICC, Rm. 240, 215 N.W. 3rd, Oklahoma City, OK 73102.

MC 142603 (Sub-18TA), filed October 11, 1979. Applicant: CONTRACT CARRIERS OF AMERICA, INC., P.O. Box 1968, Springfield, Massachusetts 01101. Representative: S. Michael Richards, P.O. Box 225, 44 North Avenue, Webster, NY 14580. Contract carrier; irregular routes: *Metal cutting compounds, abrasive grinding wheels, abrasive grain, epoxy resins, frits, mined materials and mechanical equipment,* between Cincinnati, OH, on the one hand, and, on the other, all points in the U.S. (except AK and HI). An underlying ETA seeks 90 days authority. Supporting shipper: Cincinnati Milacron, Inc., 4701 Marburg Avenue, Cincinnati, OH 45209. Send protests to: David M. Miller, DS, ICC, 436 Dwight Street, Springfield, MA 01103.

MC 142603 (Sub-19TA), filed November 1, 1979. Applicant: CONTRACT CARRIERS OF AMERICA, INC., P.O. Box 1968, Springfield, Massachusetts 01101. Representative: S. Michael Richards, P.O. Box 225, 44 North Avenue, Webster, NY 14580. Contract carrier: irregular routes: *Candy (non chocolates),* From Atlanta, GA to Somerville, MA, under contract with Fine Products Company, Inc., for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Fine Products Company, Inc., 827 Telfair Street, P.O. Box 2087, Augusta, GA 30903. Send protests to: David M. Miller, DS, ICC 436 Dwight Street, Springfield, MA 01103.

MC 143423 (Sub-10TA), filed October 12, 1979. Applicant: William T. Austin, d.b.a. Austin Trucking Company, 2026 Clayton Avenue, SW, Decatur, AL 35601. Representative: D. H. Markstein, Jr., 512 Massey Building, Birmingham, AL 35203. *Containers, sheet or iron (cans), can ends, bottle caps, tin plate;* from plant sites of Crown Cork & Seal Company, Inc. at Baltimore, MD; Perrysburg, OH; Philadelphia, PA; Salisbury, MD; Winchester, VA; Lawrence, MA; North Bergen, NJ; Chicago, IL; Faribault, MN; Kankakee, IL; Lakeville, MN; Milwaukee, WI; St. Louis, MO; Atlanta, GA; Bartow, FL; Cheraw, SC; Spartanburg, SC; Abilene, TX; Forth Worth, TX; Houston, TX; La Mirada, CA; Richmond, CA; Worland, WY; to all points in AL, AZ, AR, CA, CO, CT, DE, DC, FL, GA, IL, IN, IA, KS, KY, LA, MD, MA, MI, MN, MS, MO, NE, NV, NH, NJ, NM, NY, NC, ND, OH, OK, PA, RI, SC, TN, TX, UT, VT, VA, WV, WI, for 180 days. Supporting shipper: Crown Cork & Seal Company, Inc., 9300 Ashton Road, P.O. Box 6208, Philadelphia, PA 19136. Send protests to: Mabel E. Holston, T/A, ICC, Room 1616—2121 Building, Birmingham, AL 35203.

MC 145363 (Sub-5TA), filed October 12, 1979. Applicant: BREWTON EXPRESS, INC., P.O. Box 508, Winnfield, LA 71483. Representative: Brian E. Brewton (same address as applicant). Applicant is seeking authority to operate as a *contract* carrier over irregular routes transporting *treated and untreated poles, piling, posts, timbers, ties, and crossarms, materials and supplies used in manufacturing, distribution and installation, except commodities in bulk* between the states of AL, AR, CO, KS, LA, MO, MS, NM, OK, and TX, for 180 days. This will be under a continuing contract or contracts with Koppers Co., Inc. Applicant has filed an underlying ETA seeking 90 days. Supporting Shipper: Koppers Company, Inc., 850 Koppers Building, Pittsburgh, PA 15219. Send protests to: Robert J. Kirspel, DS, ICC, T-9038 Federal Bldg., 701 Loyola Ave., New Orleans, LA 70113.

MC 146553 (Sub-7TA), filed October 26, 1979. Applicant: ADRIAN CARRIERS, INC., 1826 Rockingham Rd., Davenport, IA 52808. Representative: James M. Hodge, 1980 Financial Ctr., Des Moines, IA 50309. *castings* (1) from Marion, AL, to Holland, MI, and (2) from Muskegon, South Haven, and Holland, MI to Los Angeles, CA, and points in its commercial zone, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: AiResearch Industrial Division, Garrett Corp., 1661 W. 240th St., Harbor City, CA 90710. Send protests to: Herbert W. Allen, DS, ICC, 518 Federal Bldg., Des Moines, IA 50309.

MC 147442 (Sub-5TA), filed October 12, 1979. Applicant: LAVIERO TRUCKING, INC., 70 Maureen Drive, Bristol, CT 06010. Representative: Thomas W. Murrett, 342 North Main Street, West Hartford, CT 06117. *Common carrier:* irregular routes: *Circuit breakers, and circuit breaker parts and components* between Plainville, Connecticut and Elizabeth, New Jersey, restricted to shipments haviang a prior or subsequent movement by water, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: General Electric Company, Circuit Protective Devices Department, 41 Woodford Avenue, Plainville, CT 06062. Send Protests to: J. D. Perry, Jr., District Supervisor, Interstate Commerce Commission, 135 High Street, hartford, CT 06103.

MC 147552 (Sub-6TA), filed October 18, 1979. Applicant: CAJUN CARTAGE & WAREHOUSING CORP., 1205 St. Lousis St., New Orleans, LA 70150. Representative: Thomas N. Willess, 1000 Sixteenth St., NW, Washington, D.C. *Paper and paper products* between the facility of International Paper Company at or near Bastrop, LA, and Lake Charles, LA. Restricted to traffic having a prior or subsequent movement by water, for 180 days. Applicant has filed an underlying ETA seeking 90 days. Supporting shipper: International Paper Company, P.O. Box 160707, Mobile, AL 36616. Send protests to: Robert J. Kirspel, DS, ICC, T-9038 Federal Bldg., 701 Loyola Ave., New Orleans, LA 70113.

MC 147712 (Sub-6TA), filed October 1, 1979. Applicant: MID-WESTERN TRANSPORT, INC., 10506 South Shoemaker Avenue, Santa Fe Springs, CA 90760. Representative: Joseph Faxio, same address as above. *Alcoholic beverages,* from Los Angeles, CA., to Boston, MA, Cleveland, OH, Chicago, IL, Detroit, MI, Philadelphia, PA, Atlanta, GA, Miami, FL, Houston, TX, Dallas and San Antonio, TX, for 180 days. An underlying ETA seeks up to 90 days operating authority. Supporting shipper(s): Almex & Co., Inc., General Manager, 3518 W. Cahuenga, Blvd. Send protests to: Irene Carlos, TA, ICC, P.O. Box 1551, Los Angles, CA 90053.

MC 147793 (Sub-4TA), filed October 24, 1979. Applicant: C. L. Hall Route 2, Cumby, Texas 75433. Representative: Lawrence A. Winkle, Suite 1125 Exchange Park, Dallas, TX 75235. *Feed supplements, livestock or poultry, in bags or bulk,* between points in the States of LA, TX, AR, OK, MO & KS for 180 days. Underlying ETA for 90 days filed. Supporting shipper(s): Bill Tate Dairies, Routes 2, Cumby, TX 75433; Hill Grain Company, P.O. Box 246, Commerce, TX 75482; Cumby Feed, Inc., P.O. Box 217, Cumby, TX 75433. Send protests to: Opal M. Jones, TCS, ICC, 9A27 Federal Bldg., 819 Taylor St., Ft. Worth, TX 76102.

MC 147982 (Sub-2TA), filed October 5, 1979. Applicant: BEAVER TRUCKING, INC., Box 86, 1181 Hwy. 175, Richfield, WI 53076. Representative: James A. Spiegel, 6425 Odana Road, Madison, WI 53719. Contract carrier; irregular routes; *Crushed limestone and stone* from points in Milwaukee, Ozaukee, Racine, Washington, and Waukesha Counties, WI to points in Cook, Lake and McHenry Counties, IL. Restricted to transportation to be performed under a continuing contract(s) with Vulcan Materials Company, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Vulcan Materials Company, 1501 Three Mile Road, Racine, WI. Send protests to: John E. Ryden, DS, ICC, 517 E. Wisconsin Ave., Rm. 619, Milwaukee, WI 53202.

MC 148152 (Sub-2TA), filed September 11, 1979. Applicant: K & H TRUCKING, INC., 3301 South Lamar, Dallas, TX 75215. Representative: Joe Hester, 3301 South Lamar, Dallas, TX 75215. (1) *Such merchandise as is dealt in by wholesale, retail, chain grocery and food business houses and agricultural feed houses, soy products paste flour products, dairy based products* and (2) *materials, ingredients, and equipment and supplies* used in development, manufacture, distribution, and sale of items in (1) above except commodities in bulk, between the facilities used by Ralston Purina Co., at or near Oklahoma City, OK and points in AR, LA, MS, TN, and TX, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Ralston Purina Company, 13700 N. Lincoln Blvd., Edmond, OK 73034. Send protests to: Opal M. Jones, TCS, Room 9A27 Federal Bldg., 819 Taylor St., Fort Worth, TX 76102.

MC 148172 (Sub-1TA), filed October 12, 1979. Applicant: CHESTER L. BROSS, an individual, 2569 Market Street, Hannibal, MO 63401. Representative: Herman W. Huber, 101 East High Street, Jefferson City, MO 65101. *Asphalt, Asphalt products, Sand, Gravel and Crushed Stone in bulk in dump trucks,* from Huntington, Kahoka, LaGrange and Troy, MO to all points in Adams County, IL, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Speedway Blacktop & Paving Co., Inc., R. R. 9, Lock & Dam Road., Quindy, IL 62301. Send protests to: Vernon V. Coble, DS, I.C.C. 600 Federal Bldg., 911 Walnut St., Kansas City, MO 64106.

MC 148202 (Sub-2TA), filed September 11, 1979. Applicant: K & W ENTERPRISES, INC., 6223 Triport Court, Greensboro, NC 27410. Representative: Kim G. Meyer, P.O. Box 56387, Atlanta, GA 30343. *Contract* carrier-irregular routes; *Such commodities as are dealt in by a manufacturer of drugs and medicines, and materials, supplies and equipment used in the conduct of such business (except commodities in bulk)* between the facilities used by Vicks Health Care Division of Richardson-Merrell, Inc. located at or near Friendship, NC and Hatboro and Philadelphia, PA, on the one hand, and, on the other other, points in the US in and east of WI, IL, KY, TN, AR, and MS, under a continuing contract or contracts with Vicks Health Care Division of Richardson-Merrell, Inc., for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Vicks Health Care Division of Richardson-Merrell, Inc., P.O. Box 8155, Philadelphia, PA 19101. Send protests to: Sheila Reece, Transportation Assistant, 800 Briar Creek Rd.-Rm. CC516, Charlotte, NC 28205.

MC 148312 (Sub-2TA), Filed September 14, 1979. Applicant: N.D.T., INC., 4171 Winters Chapel Road, Doraville, GA 30340. Representative: Archie B. Culbreth, Suite 202, 2200 Century Parkway, Atlanta, GA 30345. *Such commodities as are dealt in by wholesale or retail grocery stores, other than frozen* (except commodities in bulk) between Fulton County, GA, on the one hand, and on the other, points in AL and that portion of TN on and east of Interstate 65, restricted to shipments originating at or destined to a facility of Jewel T Discount Grocery Stores, Division of Jewel Companies, Inc., for 180 days, An underlying ETA seeks 90 days authority. Supporting shipper: Jewel T Discount Grocery Stores, Division of Jewel Companies, Inc., 511 Lake Zurich Road, Barrington, IL 60010. Send protests to: Sara K. Davis T/A, ICC, 1252 W. Peachtree St., NW, Room 300, Atlanta, GA 30309.

MC 148382 (Sub-1TA), filed October 4, 1979. Applicant: FRANK J. VIDAURI d.b.a. TRIANGLE REFRIGERATED TRANSPORT, 1690 Williams Highway, Grants Pass, OR 97526. Representative: Henry C. Winters, 525 Evergreen Building, Renton, WA 98055, 206-235-4730. Contract, irregular—such commodities as are dealt in or used by agricultural associations between points in CA, OR, and WA under continuing contract(s) with Western Farmers Association of Seattle, WA, for 180

days. An underlying ETA has been filed. Supporting shipper: Western Farmers Association, Traffic Manager, E. Gary Masshoff, 201 Elliot Avenue W., Seattle, WA 98119. Send protests to: A. E. Odoms, DS, ICC, 114 Pioneer Courthouse, 555 S. W. Yamhill Street, Portland, Oregon 97204.

MC 148383 (Sub-1TA), filed September 28, 1979. Applicant: H. PRUITT TRUCKING, INC., 2333 Wadsworth, Saginaw, MI 48601. Representative: Robert E. McFarland, 999 West Big Beaver Road, Suite 1002, Troy, MI 48084. *Contract carrier:* irregular routes: *Waste and reclaimed petroleum and petroleum products,* between the facilities of General Motors Corporation at or near Athens, AL, on the one hand, and, on the other, Detroit, MI, and the commercial zone thereof for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Logistics Operations, General Motors Corporation, 30007 Van Dyke, Warren, MI 48090. Send protests to: Cheryl Livingston, TA, ICC, 219 S. Dearborn, Room 1386, Chicago, IL 60604.

MC 148402 (Sub-2TA), filed October 15, 1979. Applicant: COOSA TRUCKING CO., P.O. Box 18, Coosa, GA 30129. Representative: Mark S. Gray, P.O. Box 56387, Atlanta, GA 30303. *Steel wire and scrap steel wire* from the facilities of Bekaert Steel Wire Corp., located at or near Rome, GA to points in AL, TN, KY, NC, SC, and VA, under a continuing contract or contracts with Bekaert Steel Wire Corp. For 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Bekaert Steel Wire Corp., P.O. Drawer G, Rome, GA 30161. Send protests to: Sara K. Davis T/A, ICC, 1252 W. Peachtree St., N.W. Room 300, Atlanta, GA 30309.

MC 148482 (Sub-1TA), filed October 9, 1979. Applicant: CRUSADER COACH LINES INC., RFD #1, Box 103AA, Logan, IA 51546. Representative: David P. Lovell, (same address as applicant). Common carrier, regular routes: *Passengers and their baggage* between Logan, IA and Omaha, NE (except between Council Bluffs, IA and Omaha, NE) serving all intermediate points; for 180 days. From Logan, IA, via U.S. Highway 30 to Missouri Valley, IA, thence via Iowa State Highway 183 to junction U.S. Highway 6, thence via U.S. Highway 6 to Omaha, NE. From Logan, IA, via U.S. Highway 30 to junction Interstate 29, thence Interstate 29 to junction Interstate 480, thence Interstate 480 to Omaha, NE. From Logan, IA, via U.S. Highway 30 to Blair, NE, thence U.S. Highway 73 to Omaha, NE as an alternate route for operating convenience only. From Logan, IA, via U.S. Highway 30 to junction Interstate 29, thence Interstate 29 to junction Interstate 680, thence Interstate 680 to Omaha, NE as an alternate route for operating convenience only. Supporting shipper(s): 37 supporting shippers (commuters). Send protests to: D/S Carroll Russell, ICC, Suite 620, 110 North 14th St., Omaha, NE 68102.

MC 148493 (Sub-1TA), filed October 29, 1979. Applicant: HAROLD NIXON, INC., P.O. Box 748, Tonopah, Nevada 89049. Representative: Mike Soumbeniotis, 402 North Division Street, Carson City, Nevada 89701. *Ore and Ore Concentrates,* in bulk, in dump truck equipment between mine sites, mills and rail heads located in the State of Nevada, for 180 days. Supporting shipper(s): Old Soldier Minerals, 8700 Commerce Park, Suite 130, Houston, TX 77036; Empire Mines and Milling, P.O. Box 283, Mina, NV 89422; Gufco International, 2375 Oddie Blvd., Reno, NV 89502. Send protests to: W. J. Huetig, ICC, 705 North Plaza Street, Carson City, NV 89701.

MC 148502 (Sub-1TA), filed October 30, 1979. Applicant: L. F. CARTER, INC., Field Avenue, PO Box 224, Pittsford, VT 05763. Representative: Jack R. Abell, 27 S Main Street, PO Box 782, Rutland, VT 05701. Contract, irregular: *Reclaimed alumina oxide,* in tandem dump vehicles, from Worcester, MA to Proctor, VT, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper(s): Vermont Marble Company, 61 Main Street, Proctor, VT 05765. Send protests to: Carol A. Perry, TA, ICC, PO Box 548, Montpelier, VT 05602.

MC 148503 (Sub-1TA), filed October 30, 1979. Applicant: BERKSHIRE CHEMICAL HAULERS, INC., 1 Cook Street, Adams, Massachusetts 01220. Representative: Frank J. Weiner, 15 Court Square, Boston, MA 02108. *Alum, sodium aluminate, and rosin sizing, in bulk,* from the facilities of Holland Company, Inc. at Adams, MA to points in CT, ME, NH, NY, RI and VT, restricted to the transportation of traffic originating at the above-named facilities and destined to points in the above-named destination states, for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: Holland Company, Inc., Howland Avenue, Adams, MA 01220. Send protests to: David M. Miller, DS, ICC, 436 Dwight Street, Springfield, MA 01103.

MC 148592 (TA——) filed October October 1, 1979. Applicant: EUGENE REXER, operating as R. W. BASKERVILLE & CO., c/o 138 Horton Avenue East, Winnipeg, Manitoba, Canada R2C QT5. Representative: W. E. Norton, Q.C., 500—175 Carlton Street, Winnipeg, Manitoba, Canada R3C 3H9. *Refrigerated canned pickles,* from Woodstock, IL, to the ports of entry located on the International Boundary Line between the United States and Canada at or near Noyes, MN, and Pembina, ND, for 180 days. Supporting shipper: Northdale Ent. Ltd., 109 Hutchings St., Winnepeg, Manitoba, Canada. Send protests to: H. E. Farsdale, DS, ICC, Room 288 Fed. Bldg. & U. S. Post Office, 657 2nd Avenue North, Fargo, ND 58102.

Passenger Application

MC 138252 (Sub-5TA), filed October 1, 1979. Applicant: COURTESY BUS SYSTEM, INC., 4604 Ingraham St., Hyattsville, MD 20780. Representative: Gary E. Thompson, 4304 East-West Hwy., Washington, DC 20014. *Passengers and their baggage in special operations* between St. Charles City, MD, on the one hand, and, on the other, that portion of VA located within the Washington, DC commercial zone for 180 days. An underlying ETA seeks 90 days authority. Supporting shipper: St. Charles Associates, 336 Post Office Rd., St. Charles, MD 20601. Send protests to: I.C.C. Fed. Res. Bank Bldg., 101 N. 7th St., Rm. 620, Philadelphia, PA 19106.

[FR Doc. 79-38830 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

Decision Notice

As indicated by the findings below, the Commission has approved the following applications filed under 49 U.S.C. 10924, 10926, 10931 and 10932.

We find: Each transaction is exempt from section 11343 (formerly section 5) of the Interstate Commerce Act, and complies with the appropriate transfer rules.

This decision is neither a major Federal action significantly affecting the quality of the human environment nor a major regulatory action under the Energy Policy and Conservation Act of 1975.

Petitions seeking reconsideration must be filed within 20 days from the date of this publication. Replies must be filed within 20 days after the final date for filing petitions for reconsiderations; any interested person may file and serve a reply upon the parties to the proceeding. Petitions which do not comply with the relevant transfer rules at 49 CFR 1132.4 may be rejected.

If petitions for reconsideration are not timely filed, and applicants satisfy the conditions, if any, which have been imposed, the application is granted and they will receive an effective notice. The notice will indicate that consummation of the transfer will be presumed to occur on the 20th day following service of the notice, unless either applicant has advised the Commission that the transfer will not be consummated or that an extension of time for consummation is needed. The notice will also recite the compliance requirements which must be met before the transferee may commence operations.

Applicants must comply with any conditions set forth in the following decision-notices within 30 days after publication, or within any approved extension period. Otherwise, the decision-notice shall have no further effect.

By the Commission, Review Board Number 5, The Motor Carrier Board, Members Krock, Pohost, and Taylor.

Agatha L. Mergenovich,

Secretary.

MC-FC-78368. By decision of December 10, 1979 issued under 49 U.S.C. 10926 and the transfer rules at 49 C.F.R. 1132, the Motor Carrier Board approved the transfer to Tiger Trucks, Inc., 1888 Century Park E., Los Angeles, CA, 90067, of Certificates Nos. MC-67646 (Sub-Nos. 2, 27, 28, 30, 33, 34, 39, 40, 43, 46, 47, 49, 50, 51, 53, 55, 56, 57, 59, 60, 62, 63, 64, 65, 67, 68, 69, 71, 72, 73, 74, 75, 76F, 78F, and 81), issued April 1, 1947, May 12, 1948, September 10, 1947, February 8, 1950, July 17, 1952, June 25, 1953, February 18, 1955, July 25, 1955, October 9, 1956, November 19, 1958, March 16, 1959, September 16, 1960, May 29, 1959, February 15, 1960, August 24, 1961, April 13, 1964, March 10, 1967, March 21, 1967, December 14, 1967, February 17, 1969, February 5, 1969, August 8, 1968, January 23, 1978, August 11, 1969, September 19, 1972, May 23, 1972, November 8, 1977, October 16, 1974, February 18, 1977, November 8, 1977, October 24, 1975, January 23, 1978, March 7, 1979, August 1, 1979, and May 2, 1979, respectively, and E-Letter Notices MC-67646 (E1, E2, E3, E4, E5, E6, and E7), published in the FR issues of February 27, 1976, February 27, 1976, December 17, 1975, October 3, 1975, December 4, 1975, December 4, 1975, and December 17, 1975, respectively, issued to Hall's Motor Transit Company, 6060 Carlisle Pike, Mechanicsburg, PA, 17055. Also those operating rights issued to Werner Continental, Inc., and purchased by Hall's Motor Transit Company pursuant to MC-F-13380, set forth in MC-8600 and Sub-Nos. 13, 14, 15, 17, 18, 20, 22, 23, 24, 25, 26, 27, 29, 32, 33, 34, and 35, issued January 25, 1952, November 17, 1972, April 1, 1957, January 20, 1956, March 30, 1961, October 12, 1962, April 26, 1968, January 8, 1968, September 27, 1968, October 20, 1969, April 3, 1969, September 19, 1972, February 7, 1973, April 19, 1974, June 7, 1974, December 11, 1974, September 27, 1978, and August 25, 1978, authorizing the transportation over regular and irregular routes, of general commodities, with exceptions, in CT, DE, IA, IL, IN, KY, MD, MA, MN, NJ, NY, OH, PA, RI, VA, WV, WI, and DC, and various specified commodities, from, to and between specified points in IL, IN, MI, MN, OH, and WI. Applicants' representatives: John W. Barnum, 1747 Pennsylvania Ave., NW, Washington, DC 20006, for Transferee; and John E. Fullerton, 407 N. Front St., Harrisburg, PA, 17101, for Transferor.

MC-FC-78376 filed November 20, 1979. Transferee: EAST COAST VAN LINES, INC., 151 Front St., Pawtucket, RI 02860. Transferor: Violet Adams, d.b.a. Adams Van & Storage Co., Box 538, Caribou, ME 04736. Representative: William Poole, Jr., 96 Sayles Ave., Pawtucket, RI 02860. By decision of November 27, 1979, the Motor Carrier Board conditionally approved the transfer to transferee of operating rights held by transferor in Certificates No. MC-19251 and Subs 9 and 11. The operating rights approved for transfer authorize the transportation of, among other things, points in Connecticut, Massachusetts, New York, New Jersey, Pennsylvania, and the District of Columbia; (2) between points in Rhode Island, on the one hand, and on the other, points in Delaware, Maryland, and Virginia; (3) between New York, NY, and points within 25 miles of Columbus Circle, NY, on the one hand, and on the other, points in 18 eastern states; (4) between New York, NY, on the one hand, and on the other, points in Maine, Michigan, Missouri, Vermont, West Virginia, and Wisconsin, and (5) between points in Connecticut, on the one hand, and, on the other, points in Maine, Massachusetts, New Hampshire, New Jersey, New York, Pennsylvania, Rhode Island, and Vermont; and household goods, office furniture, and store fixtures, between points in Rhode Island, on the one hand, and on the other, New York, NY, and points in Connecticut, Maine, Massachusetts, New Hampshire, and Vermont household goods, (1) between points in Rhode Island, on the one hand, and on the other, New York, NY, and points in Connecticut, Maine, Massachusetts, New Hampshire, and Vermont. Transferee holds no authority from the Commission. An application seeking temporary lease has not been filed.

[FR Doc. 79-38867 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

Motor Carrier Board Transfer Proceedings

The following publications include motor carrier, water carrier, broker, and freight forwarder transfer applications filed under Section 212(b), 206(a), 211, 312(b), and 410(g) of the Interstate Commerce Act.

Each application (except as otherwise specifically noted) contains a statement by applicants that there will be no significant effect on the quality of the human environment resulting from approval of the application.

Protests against approval of the application, which may include request for oral hearing, must be filed with the Commission by January 18, 1980. Failure seasonably to file a protest will be construed as a waiver of opposition and participation in the proceeding. A protest must be served upon applicants' representative(s), or applicants (if no such representative is named), and the protestant must certify that such service has been made.

Unless otherwise specified, the signed original and six copies of the protest shall be filed with the Commission. All protests must specify with particularity the factual basis, and the section of the Act, or the applicable rule governing the proposed transfer which protestant believes would preclude approval of the application. If the protest contains a request for oral hearing, the request shall be supported by an explanation as to why the evidence sought to be presented cannot reasonably be submitted through the use of affidavits.

The operating rights set forth below are in synopses form, but are deemed sufficient to place interested persons on notice of the proposed transfer.

MC-FC-78289 filed September 6, 1979. Transferee: W. J. FOLEY COMPANY, 444 Perry Road, Bangor, ME 04401. Transferor: Coles Express (same address as transferee). Representative: Richard J. Rushmore (same address as transferee). By decision of 12-10-79 issued under 49 U.S.C. 10926, and the transfer rules at 49 C.F.R. 1132, the Motor Carrier Board approved the transfer to transferee of the operating rights held by transferor in Certificate No. MC-93682 and Subs 2, 5, 10, 11, 12, 14, 15, 16, 17, 18, and 19 thereunder, issued December 6, 1950, November 5, 1951, May 29, 1961, August 31, 1967, July 13, 1965, August 31, 1967, January 16, 1967, January 11, 1967, December 11,

1967, August 7, 1972, March 8, 1973, and January 2, 1975, respectively, authorizing the transportation of general commodities, with the usual exceptions, over specified regular routes, between named points in ME, NH, and MA; and over irregular routes between Portland, ME, on the one hand, and, on the other, points in ME, subject to restrictions. Transferee is a wholly-owned subsidiary of transferor and holds no authority from this Commission. Application has not been filed for temporary authority under 49 U.S.C 11349.

Agatha L. Mergenovich,

Secretary.

[FR Doc. 79-38866 Filed 12-18-79; 8:45 am]

BILLING CODE 7035-01-M

Sunshine Act Meetings

Federal Register
Vol. 44, No. 245
Wednesday, December 19, 1979

This section of the FEDERAL REGISTER contains notices of meetings published under the "Government in the Sunshine Act" (Pub. L. 94-409) 5 U.S.C. 552b(e)(3).

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[M-261, Amdt. 1; Dec. 14, 1979]

CIVIL AERONAUTICS BOARD.

Addition of items to the December 20, 1979, meeting agenda.

TIME AND DATE: 9:30 a.m., December 20, 1979.

PLACE: Room 1027, 1825 Connecticut Avenue, NW., Washington, D.C. 20428.

SUBJECT:

18a. Dockets 36116, 36263, 32716, 36271, 36278, 36289, 36258, 36262, 36236, 36249, 36274, 36272, and 36286; *Seattle-San Francisco/Los Angeles/San Diego Show-Cause Proceeding.* Applications and/or amended applications for authority. (Memo No. 8956-A, BDA)

19a. Docket 37162, Application of Braniff Airways, Inc. for renewal of exemption authorizing U.S.-Benelux nonstop service and one-stop service via London. (Memo No. 9367, BIA)

STATUS: Open.

PERSON TO CONTACT: Phyllis T. Kaylor, the Secretary, (202) 673-5068.

SUPPLEMENTARY INFORMATION: Aspen Airlines has an unopposed application on file to provide service between Burbank and Bakersfield, California, that cannot be granted until after the Board acts on Burbank's objections in the above proceeding. Since Bakersfield has been particularly hard hit by service reductions, it is essential that the Board consider Item 18a as soon as possible, so prompt action can be taken on Aspen's application. Prompt action on Braniff's application is necessary to provide the carrier with authority to continue its U.S.-Benelux operations. In addition, Board consideration of Braniff's request for London-Amsterdam traffic rights at the December 20, 1979 meeting will permit the carrier to offer London-Amsterdam service immediately. On the other hand, failure to include Item 19a on the December 20 agenda could materially delay the start of Braniff's service, especially since the next Board meeting is scheduled for January 4, 1980. Accordingly, the following Members have voted that Items 18a and 19a be added to the December 20, 1979 agenda and that no earlier announcement of these additions was possible:

Chairman, Marvin S. Cohen
Member, Richard J. O'Melia
Member, Elizabeth E. Bailey
Member, Gloria Schaffer

[S-2458-79 Filed 12-17-79; 2:43 pm]

BILLING CODE 6320-01-M

2

COMMODITY FUTURES TRADING COMMISSION.

TIME AND DATE: 11:00 a.m. Friday, December 28, 1979.

PLACE: 2033 K Street, N.W., Washington, D.C., 8th floor conference room.

STATUS: CLOSED.

MATTERS TO BE CONSIDERED: Surveillance Briefing.

CONTACT PERSON FOR MORE INFORMATION: Jane Stuckey, 254-6314.

[S-2456-79 Filed 12-17-79; 11:34 a.m.]

BILLING CODE 6351-01-M

3

FEDERAL COMMUNICATIONS COMMISSION.

TIME AND DATE: 9:30 a.m., Wednesday, December 19, 1979.

PLACE: Room 856, 1919, M Street NW., Washington, D.C.

STATUS: Open Commission Meeting.

MATTERS TO BE CONSIDERED:

Agenda, Item No., and Subject

General—1—Subject: Notice of Proposed Rulemaking to consider several policy options listed by the Children's Television Task Force in its *Television Programming for Children: A Report of the Children's Television Task Force* as well as other policy options.

General—2—Title: Further Notice of Proposed Rule Making to provide regulations for the use of radio by the public utilities for distribution automation systems. SS Docket 79-18. Summary: The FCC has revised its initial proposal to amend Part 94 of the Rules to provide regulations for the use of radio in public utility distribution automation systems. A new frequency plan and revised interference criteria are proposed.

General—3—Publication of the report summarizing the result of research into minority broadcast facilities.

General—4—Title: Reimbursement of Expenses for Participation in Commission Proceedings. Summary: In response to comments filed in a Notice of Inquiry adopted on June 30, 1978, the Commission will consider (1) whether a public participation reimbursement program should be established at the Commission to reimburse certain expenses incurred by public participants in our proceeding; (2) whether the Commission possesses the legal authority to establish a reimbursement program; and (3) what specific form a reimbursement program should take should the Commission determine a program should be established.

Private Radio—1—Title: Notice of Proposed Rule Making to amend the rules to implement a system of temporary licensing for multiple licensed mobile relay systems operating in the Business Radio Service in the 450-470 MHz band. Summary: The Commission will consider whether to propose modifying its rules to institute a system of temporary licensing for additional sharers of previously licensed "community repeaters" authorized in the Business Radio Service in the 450-470 MHz band.

Private Radio—2—Title: Notice of Proposed Rule Making to amend Part 90 of the Commission's Rules to facilitate authorization of wide-area mobile radio communication systems on frequencies allocated for trunked systems. Summary: The Commission will consider whether to propose rules to permit wide-area mobile radio communication systems to operate on frequencies designated for use by trunked land mobile communication systems.

Private Radio—3—Title: Consideration of SSB channels for personal and hobby use. Summary: The Commission will consider alternatives in the allocation of spectrum for single sideband (SSB) operation in the personal radio services. This action is prompted by petitions filed by *CB Magizine* (RM-3299) and the Washington State CB Radio Association (RM-3317).

Private Radio—4—Title: Notice of Proposed Rule Making to amend mobile station authorization procedures for commercial 800 MHz common user systems. Summary: The Commission will consider whether to propose modifying its procedures by authorizing base station licensees of commercial 800 MHz common user systems for associated control stations, control points and mobile stations.

Private Radio—5—Title: Rule amendment to grant general exemption to U.S. cargo vessels of 1600 gross tons or more when engaged on domestic voyages along either

the east, west or Gulf coasts of the contiguous 48 states. Summary: The Commission will considered a combined Notice of Proposed Rule Making and Notice of Inquiry relative to amending the rules to grant a general exemption to large cargo vessels engaged solely on domestic voyages, and the impact on the radiotelegraph and radiotelephone mutual assistance safety systems.

Private Radio—6—Title: Motion for Reassignment of Staff Responsibility in Docket 21349. Summary: The FCC will consider whether to send a letter to a private attorney denying his motion to transfer responsibility for the rulemaking proceedings in Docket 21349 from the Private Radio Bureau to some other staff unit in the Commission. The Commission will consider whether the evidence cited by the attorney supports his charge of bias on the part of the staff and whether, even considering the evidence, responsibility for the rulemaking should be transferred.

Private Radio—7—Title: Report and Order which proposed to terminate the Notice of Proposed Rulemaking adopted in Docket No. 20679. Summary: The FCC will consider whether to adopt a Report and Order that terminates the Notice of Proposed Rulemaking in PR Docket NO. 20679. The FCC, in that Notice, proposed to amend the Amateur Radio Service Rules to require volunteer examiners to submit a photocopy of their own license when requesting permission to examine applicants.

Common Carrier—1—Title: Dial-A-Page, Inc. Summary: The Commission is considering a request filed by Radiocall Paging Service to set aside the Common Carrier Bureau's grant, made pursuant to delegated authority, to Dial-A-Page, Inc., of an application for a Construction Permit for a one-way paging station on frequency 43.22 MHz in the Domestic Public Land Mobil Radio Service (DPLMRS) at Oklahoma City, Oklahoma (File NO. 20408–CD–P–79). The issues to be considered are: (1) whether the request is timely filed; (2) whether the grant is a denial of equal protection where Radiocall amended its application, which previously had been mutually exclusive with Dial-A-Page's application, to request a different frequency, 43.58 MHz, which was later discovered to be "cut off" from comparative consideration with competing applications; (3) whether the grant gave Dial-A Page a monopoly in the one-way paging market in Oklahoma City; (4) whether Dial-A-Page was required to respond to pleadings filed against it; and (5) whether the Bureau denied information to Radiocall on the availability of frequency 43.58 MHz for filing.

Common Carrier—2—Title: In Re Revocation of Licenses of Pass Word, Inc. and Rodney J. Bacon d/b/a/ Coeur d'Alene Answering Service, and In Re Applications of Courtesy Communications Inc., Pass Word, Inc., and Rodney J. Bacon d/b/a/ Coeur d'Alene Answering Service (Dockets 20939, 20940, 20941, 20942, 20943, 20944). Summary: The item resolves the issues designated in the revocation phase of the proceeding, the Dockets 20939 and 20940. The issues are whether Pass Word, Inc. and/or Rodney Bacon d/b/a Coeur d'Alene Answering Service made any misrepresentations in applications and related documents, the facts surrounding the constuction and operation of the four 454 MHz channels of the two licensees, and whether in view of the facts, Pass Word and/or Coeur d'Alene Answering Service are qualified to continue as licensees.

Common Carrier—3—Title: Western Union International, Inc. Transmittal No. 1393. Summary: WUI submits Transmittal No. 1393 which contains revisions to FCC Tariff No. 4 reducing AVR rates between Hawaii and Guam. ITT and RCA submit petition to suspend and investigate.

Assignment and Transfer—1—Title: Request for Tax Certificate in connection with the sale of station WQIZ and WQIZ(FM), St. George, South Carolina from Clarence Jones to Trident Communications Corporation. Summary: On November 16, 1979, the Chief, Broadcast Bureau, pursuant to delegated authority, granted the application for the voluntary transfer of control of the licensee of WQIZ and WQIZ(FM), St. George, South Carolina. The transferor, Calarence Jones, has requested a tax certificate pursuant to the Commission's *Statement of Policy on Minority Ownership of Broadcasting Facilities*, 68 FCC 2d 979 (1978).

Aural—1—Title: Memorandum Opinion and Order in reapplication of Metropolitan School District of Wayne Township, Marion County, Indiana (File No. BPED–2124). Summary: The FCC reconsiders its action granting the above application to improve the facilities of noncommercial station WBDG, Indianapolis, and denying a petition to deny the application filed by McGraw-Hill Broadcasting Co., Inc.

Aural—2—Title: Memorandum Opinion and Order in re applications of Franklin College of Indiana (File Nos. BPED–2274 and BMPED–791004AL). Summary: The FCC reconsiders its action granting the application to improve the facilities of noncommercial station WFCI, Franklin, Indiana, and denying a petition to deny its filed by McGraw-Hill Broadcasting Co., Inc.

Aural—3—Title: Application of Renaissance Broadcastiang Corp. for authority to operate subscription television over Station WRBV(TV), Vineland, New Jersey. Summary: This application is before the Commission because it involves a request for waiver of Section 73.642(a) of the Rules (the "complement of four" rule) and because it requires interpretation of the Commission's requirement that stations holding STV authorizations offer subscription service to all persons within the Grade A contour of their nonsubscription operations.

This meeting may be continued the following work day to allow the Commission to complete appropriate action.

Additional information concerning this meeting may be obtained from Edward Dooley, FCC Public Affairs Office, telephone number (202) 632–7260.

Issued: December 14, 1979.

[S–2454–79 Filed 12–17–79; 11:34 am]

BILLING CODE 6712–01–M

4

FEDERAL COMMUNICATIONS COMMISSION.

TIME AND DATE: 9:30 a.m., Wednesday, December 19, 1979.

PLACE: Room 856, 1919 M Street NW., Washington, D.C.

STATUS: Closed Commission Meeting following the Open Commission Meeting which commences at 9:30 a.m.

MATTERS TO BE CONSIDERED:

Agenda, Item No., and Subject

General—1—FY 1980 Travel Reduction.

Hearing—1—Petition for reconsideration in the Rochester, New York broadcast renewal proceeding (Docket No. 20477).

Hearing—2—Petition for leave to amend the application of TV 9, Inc., and related pleadings in the Orlando, Florida, comparative television proceeding (Docket No. 11083, et al.).

Hearing—3—Petition to consolidate other pending common carrier applications filed by Beehive Telephone Company, Inc. with the present proceeding in Docket 78–240.

Hearing—4—Decision of the United States Court of Appeals for the District of Columbia Circuit remanding to the Commission a Commission decision denying the renewal application of Cosmopolitan Broadcasting Corporation WHBI–FM, Newark, New Jersey, (Docket No. 19657).

Hearing—5—Petition for extraordinary relief in the Newark, New Jersey FM license renewal proceeding (Docket No. 19657).

Hearing—6—Petition for expedited approval of renewal and assignment applications in the WTUP, Tupelo, Mississippi, proceeding (Docket No. 21430).

Hearing—7—Motion for Extraordinary Relief requesting distress sale relief in the Salem, Virginia, AM radio proceeding (Docket No. 21280).

This meeting may be continued the following work day to allow the Commission to complete appropriate action.

Additional information concerning this meeting may be obtained from Edward Dooley, FCC Public Affairs Office, telephone number (202) 632–7260.

Issued: December 14, 1979.

[S–2455–79 Filed 12–17–79; 11:34 am]

BILLING CODE 6712–01–M

5

FEDERAL DEPOSIT INSURANCE CORPORATION.

Pursuant to the provisions of subsection (e)(2) of the "Government in the Sunshine Act" (5 U.S.C. 552b(e)(2)), notice is hereby given that at 11:00 a.m. on Friday, December 14, 1979, the Board of Directors of the Federal Deposit Insurance Corporation met in closed session to consider amendments to Part 329 of the Corporation's rules and regulations, entitled "Interest on Deposits."

The meeting was held in the Board Room on the sixth floor of the FDIC Building located at 550 17th Street, N.W., Washington, D.C.

On motion of Chairman Irvine H. Sprague, seconded by Director William M. Isaac (Appointive), concurred in by Mr. H. Joe Selby, acting in the place and stead of Director John G. Heimann (Comptroller of the Currency), the Board of Directors determined that Corporation business required its consideration of the matter on less than seven days' notice to the public; that no earlier notice of the meeting was practicable; that the public interest did not require consideration of the matter in a meeting open to public observation; and that the matter could be considered in a closed meeting by authority of subsection (c)(9)(A)(i) of the "Government in the Sunshine Act" (5 U.S.C. 552b(c)(9)(A)(i)).

Dated: December 14, 1979.

Federal Deposit Insurance Corporation.

Hoyle L. Robinson,

Executive Secretary.

[S–2457–79 Filed 12–17–79; 12:59 pm]

BILLING CODE 6714–01–M

6

FEDERAL ELECTION COMMISSION.

FEDERAL REGISTER NO. 2345.

PREVIOUSLY ANNOUNCED DATE AND TIME: Tuesday, December 18, 1979 at 10 a.m.

CHANGE IN MEETING: Portions of this meeting will be open to the public and portions will be closed.

MATTERS TO BE CONSIDERED IN OPEN SESSION AT 10 A.M.:

Setting of dates for future meetings.
Correction and approval of minutes.
Certifications.
Candidate debate regulations.
Delegate selection regulations.
Advisory Opinions: Draft AO 1979–71, Filing of pre- and post-election reports on presidential candidates in caucus states.
Draft AO 1979–58, Volunteer activities of law firm partners in Presidential campaign.
Part II—Consultant's report on audit process.
Audit advisory panel.
House and Senate bookkeeping manual.
Convention reporting form.
Public notice to banks.
1980 Presidential election and related matters: Presidential monthly status report.
Appropriations and budget.
Pending legislation.
Classification actions.
Routine administrative matters.

MATTERS TO BE CONSIDERED IN EXECUTIVE SESSION (CLOSED):

Compliance, Personnel, Labor-Management Relations.
Audit Policy—Materiality Thresholds.
Interim audit report—Democratic Party of New Mexico.

DATE AND TIME: Wednesday, December 19, 1979 at 10 a.m.

STATUS: Portions of this meeting will be open to the public and portions will be closed.

MATTERS TO BE CONSIDERED IN OPEN SESSION:

Any matters not concluded on Tuesday, December 18, 1979.

MATTERS TO BE CONSIDERED IN CLOSED SESSION:

Any matters not concluded on Tuesday, December 18, 1979.

PREVIOUSLY ANNOUNCED DATE AND TIME: Thurdsay, December 20, 1979 at 10 a.m.

FEDERAL REGISTER NO: 2345.

CHANGE IN MEETING: The originally announced matters before the Commission for this date have been placed on the agenda for Tuesday, December 18, 1979. If not concluded on December 18 or 19, they will be continued to this date.

PERSON TO CONTACT FOR INFORMATION: Mr. Fred Eiland, Public Information Officer, Telephone: 202–523–4065.

Marjorie W. Emmons,

Secretary to the Commission.

[S–2458–79 Filed 12–17–79; 2:20 p.m.]

BILLING CODE 6715–01–M

7

TENNESSEE VALLEY AUTHORITY.

"FEDERAL REGISTER" CITATION OF PREVIOUS ANNOUNCEMENT: 44 FR 73205 (December 17, 1979).

PREVIOUSLY ANNOUNCED TIME AND DATE OF MEETING: 9:30 a.m., Thursday, December 20, 1979.

PREVIOUSLY ANNOUNCED PLACE OF MEETING: Conference Room B–32, West Tower, 400 Commerce Avenue, Knoxville, Tennessee.

STATUS: Open.

ADDITIONAL MATTER: The following item is added to the previously announced agenda:

H—Unclassified

2. Consideration of the proposal by the Retirement System Board of Directors that a one-time cost-of-living adjustment for present retirees and beneficiaries of 2 percent be provided in addition to the 5-percent increase that was approved by the System's Board to be effective as of January 1, 1980; consideration of amendments to the Rules and Regulations of the TVA Retirement System: (1) to provide for members to withdraw their own contributions to the System made in excess of the standard rate; (2) to permit a deferred retiree to elect an optional retirement benefit that will provide the retiree's surviving beneficiaries with benefits in the event the retiree dies prior to reaching the age when benefits would have been payable; (3) to allow lost annual leave to be counted as creditable service for the purpose of computing retirement benefits; and determination of the amount to be credited under Merit Incentive Supplemental Retirement Income Plan.

CONTACT PERSON FOR MORE INFORMATION: Lee C. Sheppeard, Acting Director of Information, or a member of his staff can respond to requests for information about this meeting. Call 615–632–3257, Knoxville, Tennessee. Information is also available at TVA's Washington Office, 202–245–0101.

SUPPLEMENTARY INFORMATION:

TVA Board Action

The TVA Board of Directors has found, the public interest not requiring otherwise, that TVA business requires the subject matter of this meeting to be changed to include the additional item shown above and that no earlier announcement of this change was possible.

The members of the TVA Board voted to approve the above findings and their approvals are recorded below.

Dated: December 14, 1979.

Approved:

S. David Freeman.

Richard M. Freeman.

Robert N. Clement.

[S–2453–79 Filed 12–17–79; 10:23 am]

BILLING CODE 8120–01–M

V 44 D E 19 79 UMI

federal register

Wednesday
December 19, 1979

Part II

Department of the Interior

Office of Surface Mining Reclamation and Enforcement

Surface Coal Mining Reclamation Operations; Permanent Regulatory Program

V 44 D E 19 79 UMI

DEPARTMENT OF THE INTERIOR

Office of Surface Mining Reclamation and Enforcement

30 CFR Part 732

Surface Coal Mining and Reclamation Operations; Permanent Regulatory Program

AGENCY: Office of Surface Mining Reclamation and Enforcement (OSM), U.S. Department of the Interior.

ACTION: Final rule.

SUMMARY: OSM is amending § 732.12(a)(1) of its permanent regulations, relating to the notice and public hearing requirements for State program submissions being reviewed by the Secretary of the Department of the Interior. 30 CFR 732.12(a)(1) is amended to delete the requirement to publish the complete text of the State statutes and regulations in the **Federal Register** notice announcing the beginning of the public comment period on the substance of the program submission. Instead, the amendment requires OSM to provide each requestor with a single copy of the complete text of the State statutes and regulations at no cost.

EFFECTIVE DATES: The amendment is effective December 19, 1979.

ADDRESSES: Director, Office of Surface Mining, U.S. Department of the Interior, 1951 Constitution Ave. NW., Washington, D.C. 20240.

FOR FURTHER INFORMATION CONTACT: Carl C. Close, Assistant Director, State and Federal Programs, Office of Surface Mining, 1951 Constitution Ave. NW., Washington, D.C. 20240; 202–343–4225.

SUPPLEMENTARY INFORMATION: OSM's final permanent regulations (44 FR 15323 *et seq.*, March 13, 1979) required OSM to publish the complete text of State statutes and regulations in the **Federal Register** at the time of publication of a notice announcing a public hearing on a State's proposed program for regulation of surface coal mining and reclamation operations. The requirement for publishing the complete text is in § 732.12(a)(1). 44 FR 15326.

On October 18, 1979, OSM published a proposed amendment to § 732.12(a)(1) to delete the requirement to publish the full text of State statutes and regulations in the **Federal Register**. 44 FR 60233.

Reasons given for the proposed amendment included the high cost of publication in comparison to the expected benefits, the severe burden such publication woud be on both OSM and the Government Printing Office (CPO), and the potentially misleading effect on the public. With the proposed amendment OSM stated that it would make copies of the State statutes and regulations available to the public, at a reasonable cost, to the fullest extent possible for each State submission and that the reasonable cost was expected to be $10 for copies of most statutes and regulations.

The proposed amendment included announcement of public comment period and public hearing. Eight written comments were submitted before the close of the public comment period and one of the eight commenters offered oral testimony at the public hearing in Washington, D.C. on November 21, 1979.

Of the eight comments, three strongly opposed the change. Two opposed the change, but recommended conditions under which it would be acceptable. Three commenters supported the change as proposed.

Analysis of the comments reveals two major objections to the proposed amendment:

(1) The amendment passes the cost of reproduction of State statutes and regulations to the public thereby limiting full public involvement, and

(2) The time required in which to request and receive copies of State statutes and regulations decreases the real time available for review.

In support of these objections, one commenter stated that the Surface Mining Act and Executive Order 12044 envision full and complete involvement of the public in proposed rulemaking and without the opportunity to review the State statutes and regulations which form the basis of a proposed State program, public involvement would be meaningless. The same commenter stated that review of a State program is essentially a rulemaking and failure to publish the text of State statutes and regulations "smacks of secret rulemaking." The commenter continued that mere availability of proposed rules at cost to the public, without actual publication in the **Federal Register**, might effectively prohibit some of the public from commenting on the rules.

Another commenter stated that the proposed changes would make State program review more cumbersome and decrease the real time for comment. The commenter warned that each time a program was revised, corrected or amended, everyone diligently monitoring would have to request copies and that the amendment would hinder public participation in the government process.

Two commenters registered objection to the amendment on the grounds that it would not be proper to pass the costs of reproduction to the interested public. They stated that even "reasonable" cost would hamper public involvment and recommended that the amendment be changed to make copies of statutes and regulations available at no cost to requestors. Commenters also registered objection to OSM's being able to change regulations that inconvenienced OSM but that the reciprocal was not available to the public or the States.

In support of the proposed amendment, one commenter stated that the present regulation is unnecessarily burdensome upon the Government Printing Office and quite likely cannot be implemented within the time available. Another commenter stated that the proposal was a step in the right direction.

In support one State pointed out that its policy has always been to furnish copies of its enabling legislation and rules promulgated thereunder to the public at a reasonable cost. It further stated that the availability of the statutes and regulations from both OSM and the State agency, as well as the opportunity at both the State and Federal levels to review the complete program in the office of OSM and the State agency at no cost, will in no way hinder a full and effective review of the proposed program by an interested person.

One commenter registered vigorous objection to the scheduling of the public hearing on the same day on which written comments are due. The commenter stated that the procedure precludes commenters from review of the transcript of the hearing and thereby prohibits full and effective development of formal written comments.

OSM has not made a practice of scheduling the public hearing on the same day that the public comment period closes. In the case of this rulemaking, however, there was only one commenter present at the public hearing and the overall results are not believed to have hampered consideration by interested commenters. The APA does not require a public hearing for every rulemaking and, if one is held, does not specify when it must be held during the comment period.

A commenter noted that on November 20, 1979 (the day before comments were due on the proposed rule), OSM published in the **Federal Register** three documents giving notice of public hearing and setting a comment period on the adequacy of proposed programs for the States of Montana, Mississippi and Texas. The commenter continued that conspicuously absent in the notice were the texts of State statutes and regulations. The commenter objected to OSM's basing these notices on the proposed amendment before it as finalized.

OSM stated in the **Federal Register** announcements for the proposed programs of Montana, Mississippi and Texas that, in lieu of printing the full text, single copies of the statutes and regulations would be available to all requestors at no charge. 44 FR. OSM believes that this procedure, plus making copies of the entire State program, including State statutes and regulations at the office of the Regional Director and the offices of the State agency will accomplish the intent of the publication requirement. Moreover, providing copies of State statutes and regulations at no cost answers the commenter's concern.

Another commenter recommended that, in lieu of publishing the entire text, OSM should make copies available at no cost and publish those areas of the proposed programs where OSM finds deficiencies. The commenter stated that this would assist citizens in their ability to offer constructive assistance.

OSM has not revised the regulations in response to this suggestion, but notes that existing regulations require the Regional Director to publish a determination on the completeness of each submission within 60 days of receipt, and that such publication must identify the elements that are determined to be missing from the submission. In addition, the regulations require the Secretary to issue a decision approving or disapproving submissions within six months of receipt and that his decision include the findings upon which it is based. These findings must detail reasons for approval or disapproval sufficiently to allow any interested person to monitor the process.

Another commenter recommended that all contacts with the States regarding the proposed State programs be published in the **Federal Register**, listing the topic or topics discussed, so that concerned citizens could be made aware of issues and could contact State officials or OSM.

OSM has not revised the regulations to reflect this comment, but notes that its "Guidelines for Postsubmission Contacts Between the Department of the Interior, the States and the Public" were published in the **Federal Register** on September 19, 1979. 44 FR 60969. Under these Guidelines, the Department will post advance notice of all scheduled meetings. If topics of discussion are known, they will also be posted. Although discussions at these meetings may not necessarily be limited to announced topics, once a meeting has been held, a summary of all topics discussed will be placed on public file.

After a thorough review of the proposed change to the regulations, the comments received, the hearing testimony and the issues involved, the final regulation has been revised from the proposed version to require that OSM provide each requestor with a single copy of the State statutes and regulations at no cost. In addition, OSM intends to forward requested copies to requestors utilizing the speediest delivery service available.

The final amended rule addresses the two major objections that have been advanced. Making one copy of the statutes and regulations available at no cost should eliminate the concern about cost. Forwarding copies to requestors utilizing the speediest delivery service available will minimize the delay to receive copies. At the same time, the final amendment does not conflict with the statements of the supporting commenters.

As a clarifying note, the requirement in § 732.12(a)(1) that copies of the entire State program be available for inspection during regular business hours at the office of the Regional Director and at the central and each field office of the State agency responsible for the submission remains unchanged. The amended regulation requires only OSM, not the State agency, to make single copies of the State statutes and regulations available to requestors at no cost.

The amended rule will allow OSM to accomplish wide dissemination of the full text of State statutes and regulations without expenses or confusion to the public. OSM believes that the amendment is consistent with the purpose of the Surface Mining Act and Executive Order 12044. OSM also believes that the proposed amendment provides sufficient availability of State statutes and regulations to allow for adequate public review and comment.

The Department of the Interior has determined that this document is not a significant rule and does not require a regulatory analysis under Executive Order 12044 and 43 CFR Part 14, 43 FR 58292, *et seq.* (December 13, 1978).

The Department of the Interior has determined that this action will not have a significant effect on the human environment and an environmental impact statement will therefore not be prepared.

The amendment is effective December 19, 1979, pursuant to 5 U.S.C. 553(d)(3), so that this new procedure can be applied to State program submissions that are currently under review by OSM. It is expected that **Federal Register** notices for several States must be published in less than 30 days from today, thereby making it necessary that the amendment be effective immediately. This immediate effective date will not burden the public and will fulfill the purposes of the amendment.

Statement of Authorship.—The primary author of this document was James Fulton, State Programs Division, Office of Surface Mining.

Dated: December 12, 1979.

Joan M. Davenport,

Assistant Secretary for Energy and Minerals.

Amendment

§ 732.12 [Amended]

The last sentence of 30 CFR 732.12(a)(1) is revised to read as follows:

(a) * * *

(1) * * * In addition, The notice in the **Federal Register** shall indicate that each requestor may receive, free of charge, one single copy of the complete text of the State's statutes and regulations from the Regional Director.

* * * * *

[FR Doc. 79-38789 Filed 12-18-79; 8:45 am]

BILLING CODE 4310-05-M

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federal register

Wednesday
December 19, 1979

Part III

Panama Canal Commission

Revised Rules for the Panama Canal Under 1977 Treaty With Panama

V 44 D E 19 79 UMI

PANAMA CANAL COMMISSION

35 CFR Chapter I

Revised Rules for the Panama Canal Under 1977 Treaty With Panama

AGENCY: Panama Canal Commission.

ACTION: Final rule.

SUMMARY: Upon entry into force on October 1, 1979, of the Panama Canal Treaty of 1977, the United States relinquished and Panama assumed plenary jurisdiction over what was the Canal Zone. Under the Panama Canal Act of 1979, the statute implementing the new treaty, the Canal Zone Government was disestablished and the Panama Canal Company was replaced by the Panama Canal Commission, which will operate the waterway until the termination of the treaty on December 31, 1999. This document establishes final rules for the Panama Canal Commission.

EFFECTIVE DATE: December 31, 1979.

FOR FURTHER INFORMATION CONTACT: Mrs. Hazel M. Murdock, Assistant to the Secretary, Panama Canal Commission, Room 312, Pennsylvania Building, 425 13th Street NW., Washington, D.C. 20004 (Telephone: 202–724–0104).

SUPPLEMENTARY INFORMATION: By letter dated April 30, 1979, the Canal Zone Government and Panama Canal Company requested the Office of Federal Register to postpone the regular cutoff date of July 1 for the inclusion of amendments to the 1979 edition of Title 35, CFR. The request was granted.

The Canal Zone Government, an independent agency of the United States, was charged by law with the performance of the various duties connected with the civil government, including health, sanitation and protection of the Canal Zone (2 C.Z.C. 31, 76A Stat. 7). The Panama Canal Company was a corporate agency and instrumentality of the United States responsible for maintaining and operating the Panama Canal and for conducting business operations incident thereto and incident to the civil government of the Canal Zone (2 C.Z.C. 61, 76A Stat. 8).

Upon entry into force on October 1, 1979 of the Panama Canal Treaty of 1977, the United States relinquished and Panama assumed plenary jurisdication over what was the Canal Zone. Pursuant to the Panama Canal Act of 1979, Pub. L. 96–70, 93 Stat. 452, the statute implementing the new treaty, the Canal Zone Government was disestablished and the Panama Canal Company was replaced by a new United States Government agency, the Panama Canal Commission, which will operate the waterway until the termination of the treaty on December 31, 1999. Many of the functions performed by the two former Canal agencies will not be undertaken by the Panama Canal Commission.

As a result of the Treaty and Public Law 96–70, the regulations published in Title 35, CFR have to be rewritten in accordance with the substantially different authority and responsibilities which the new agency has. At this time, however, the Panama Canal Commission has only limited authority to revise those regulations. Therefore, a number of regulations are being continued with minor amendments.

On November 29, 1979 the President signed Executive Order No. 12173 (44 FR 69271) which continues, on an interim basis, the applicability of Panama Canal regulations that address matters which the President is authorized to regulate pursuant to Public Law 96–70.

The Order provides in part as follows:

1–101. All regulations that were adopted by the President or his delegates pursuant to former Title 2 of the Canal Zone Code (76A Stat. 6–50), repealed by Section 3303(a)(1) of Public Law 96–70, or actions taken pursant thereto, that were in effect on September 30, 1979, and that address matters which the President is authorized to regulate pursuant to Public Law 96–70 shall remain in effect unless or until amended, superseded, or otherwise terminated by the President or the Panama Canal Commission. This extension shall not apply to the extent that any such regulation or action is inconsistent with the provisions of the Panama Canal Treaty of 1977, its implementing agreements, or Public Law 96–70.

Thus, for this revision of Title 35, parts 51, 101, 103, 105, 109, 111, 113, 115, 117, 119, 121, 123, 125, 133, 135, 201, 251, 253, and 255 which are covered by the Executive Order are continued essentially unchanged. The sections contained therein which prescribe criminal penalties are revoked because they are based on provisions of Title 2 of the Canal Zone Code which have been repealed. For a number of those parts being retained, the citation of authority is being amended to conform to the Panama Canal Treaty of 1977 and related agreements, Pub. L. 96–70, and Executive Order 12173.

It should be noted that those regulations which are being continued must be read in light of the new definitions provided by section 3 of Public Law 96–70, which states in part as follows:

(b) Subject to the provisions of subsection (c) of this section, for purposes of applying the Canal Zone Code or other laws of the United States and regulations issued pursuant to such Code or other laws with respect to transactions, occurrences, or status on or after the effective date of this Act—

(1) "Canal Zone" shall be deemed to refer to the areas and installations in the Republic of Panama made available to the United States pursuant to the Panama Canal Treaty of 1977 and related agreements;

(2) "Canal Zone waters" and "waters of the Canal Zone" shall be deemed to refer to "Panama Canal waters" and "waters of the Panama Canal", respectively;

(3) "Government of the Canal Zone" or "Canal Zone Government" shall be deemed to refer to the United States of America;

(4) "Governor of the Canal Zone" or "Governor", wherever the reference is to the Governor of the Canal Zone, shall be deemed to refer to the Panama Canal Commission;

(5) "Panama Canal Company" or "Company" wherever the reference is to the Panama Canal Company, shall be deemed to refer to the Panama Canal Commission;

(6) in chapter 57 of title 5 of the Canal Zone, "hospitals" and "Health Bureau" shall be deemed to refer, respectively, to the hospitals operated by the United States in the Republic of Panama, and to the organizational unit operating such hospitals; and

(7) in chapter 57 of title 5 of the Canal Zone Code, in section 4784 of title 6 of such Code, and in section 2 of title 7 of such Code, "health director" shall be deemed to refer to the senior official in charge of the hospitals operated by the United States in the Republic of Panama.

(c) Any reference set forth in subsection (b) of this section shall apply except as otherwise provided in this Act or unless (1) such reference is inconsistent with the provisions of this Act, (2) in the context in which a term is used such reference is clearly not intended, or (3) a term refers to a time before the effective date of this Act.

Parts 1, 5, 53, 57, 59, 63, 65, 69, and 127 are being revoked because they are inconsistent with the provisions of the Panama Canal Treaty of 1977 and related agreements or with Public Law 96–70. Other parts for which there is promulgating authority in the agency are being amended, revised or recodified to comply with the new statutory basis and agency organization.

In order to provide immediate guidance with respect to the provisions contained in these regulations, and to conform the Panama Canal regulations to the changes required by the Treaty and the Act implementing the Treaty, it is found to be impractical and unnecessary to publish such regulations as proposed rules.

Further revisions of the regulations in 35 CFR will be undertaken in the next few months. While the changes indicated herein are being published as final rules, interested parties are encouraged to submit written comments concerning the regulations here promulgated. All such submissions received before February 29, 1980 will be considered prior to the promulgation of further revisions of the regulations. Accordingly, portions of 35 CFR are revoked, deleted, repealed, recodified, revised or amended as follows:

(1) The following parts are revoked because they are inconsistent with the Panama Canal Treaty of 1977 and related agreements or with Public Law 96–70: Parts 1—General provisions; 5—Public lands; military reservations; 53—Alcoholic beverages; 57—Customs service; 59—Exclusion and deportation of persons; 63—Licenses and fees; 65—Narcotics; 69—Professions and occupations; and, 127—Seamen of United States vessels.

(2) Part 3 describing the organization of the Government of the Canal Zone is revoked since the Canal Zone Government ceased to exist effective October 1, 1979. A new Part 3 is added which provides the text of Executive Order 12173 which continues applicability of Panama Canal regulations and delegates certain powers and responsibilities to the Secretary of Defense in accordance with Public Law 96–70.

(3) Part 7, the regulations governing claims of employees of the Panama Canal Company and Canal Zone Government under Military Personnel and Civilian Employees' Claims Act of 1964, as amended, is revised to change the part heading and to make minor revisions in the text to conform with Public Law 96–70 and the new agency organization. Section 7.6, paragraphs (d) and (g) are amended to correct a typographical error in paragraph (d), and to clarify paragraphs (d) and (g) and conform the Commission's regulations to the regulations of other Federal agencies operating in the Republic of Panama.

(4) Part 9, which described the organization, functions and availability of information of the Panama Canal Company, is amended as follows: the heading has been revised and the part has been divided into two subparts. Subpart A implements the Freedom of Information Act for the Panama Canal Commission. It has been rewritten in simplified English and reorganized. For example, § 9.5, Uniform schedule of fees, is redesignated § 9.11. A new subpart B concerning vital statistics records is added; it incorporates, in revised form, subpart H of Part 61. Subpart B is rewritten to conform with the provisions of the Panama Canal Treaty of 1977 and its related agreements and with Public Law 96–70.

(5) Part 10 implements the Privacy Act for the Panama Canal Commission. The part is revised by changing the part heading, reorganizing the sections and rewriting the regulations in simplified English.

(6) Part 51 regulating air navigation, is amended to revise the citation of authority and to revoke subpart C, which provides penalties for violations based on Title 2 of the Canal Zone Code which has been repealed.

(7) Part 60 is rewritten to implement the provisions of Executive Order 12065 (43 FR 28949, June 28, 1978) and the Information Security Oversight Office Directive No. 1 (43 FR 46280, October 5, 1978), relating to the classification, downgrading, declassification, and safeguarding of national security information. This change tightens restrictions on the generation of classified material while establishing procedures to accelerate the declassification of documents.

(8) Part 61, the regulations governing health, sanitation, and quarantine, is amended to revise the citation of authority and to delete subparts A (Compulsory vaccination), G (Venereal disease), and J (Hospitalization of the mentally ill) which concern matters that the Commission is not authorized to regulate. Subpart H (Vital statistics), §§ 61.351 through 61.364, is revised to describe the residual recordkeeping functions and is redesignated as subpart B of Part 9 of this title. Sections 61.39, 61.70, 61.96, 61.131, 61.319 and 61.365, which provide penalties for violations, are revoked since they are based on Title 2 of the Canal Zone Code which has been repealed.

(9) Part 67, the regulations governing the Canal Zone postal service, is revised by changing the part heading and revoking subparts A through K which are inconsistent with the Panama Canal Treaty of 1977 and related agreements and for which statutory authority was repealed by Public Law 96–70. Regulations regarding the residual functions relating to outstanding postal savings deposits and certificates, and postal money orders, and the accounting for funds (subparts L and M) continue to apply for the purpose of meeting the obligations of the United States concerning outstanding postal savings and money orders and disposition of funds. A new subpart A is added setting forth the authority and scope of this part and subparts L and M have been revised and redesignated as subparts B and C, respectively.

(10) Part 70, establishing the procedure for rulemaking, is amended to revise the citation of authority.

(11) Part 101, regulating the arrival and departure of vessels, various quarantine, customs, immigration and admeasurement requirements, is amended to revise the citation of authority and to incorporate the definition of "boarding officer" in § 101.3 (previously included in Part 1). Section 101.14, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(12) Part 103, the general provisions governing vessels, is amended by revising the citation of authority. Section 103.42, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(13) Part 105 which regulates pilotage, is amended by revising the citation of authority. Section 105.7, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(14) Part 107 which regulates the manning of vessels, is amended by revising the citation of authority. Section 107.7, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(15) Part 109, regulating the entering and preparing to enter the locks, is amended by revising the citation of authority. Section 109.8, providing penalties for violations is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(16) Part 111, regulating the prevention of collisions, is amended by revising the citation of authority and by adding the definition of "public vessel(s)" to § 111.2(a) (previously included in Part 1). Subpart F, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(17) Part 113, regulating hazardous cargoes, is amended by revising the citation of authority. Subpart E, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(18) Part 115, the regulations governing the Board of Local Inspectors and the composition and functions of the board, is amended by revising the citation of authority. Section 115.2(a) is revised to change the titles of the members composing the Board to reflect the reorganization of the agency.

(19) Part 117, the regulations governing marine accidents, is amended by revising the citation of authority. Section 117.7, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(20) Part 119, regulating the licensing of officers, is amended by revising the citation of authority. Subpart G, providing penalties for violations, is revoked since it is based on Title 2 of

the Canal Zone Code which has been repealed.

(21) Part 121 regulates the inspection and registration of vessels, is amended by revising the citation of authority. Subpart D, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(22) Part 123 which regulates radio communication, is amended by revising the citation of authority. Section 123.12, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(23) Part 125, the rules governing sanitary requirements, vessel wastes, garbage and ballast, is amended by revising the citation of authority. Section 125.5, providing penalties for violations, is revoked since it is based on Title 2 of the Canal Zone Code which has been repealed.

(24) Part 133, the rules governing the tolls for use of the canal, is amended by revising the citation of authority. Section 133.1 which establishes the rates of tolls for the Panama Canal is amended to conform with the notice of increase in tolls that became effective October 1, 1979 (44 FR 56837, October 2, 1979).

(25) Part 135, the rules for measurement of vessels, is amended by revising the citation of authority.

(26) Part 201, regulating the judiciary, is amended by revising the citation of authority. Sections 201.1 and 201.2 are revoked and reserved to conform with § 3303(a)(2) of Public Law 96–70, 93 Stat. 499.

(26) Part 251, regulating employment and compensation, is amended by revising the citation of authority.

(27) Part 253, the regulation of the Secretary of the Army, is amended by revising the citation of authority.

REVISION OF 35 CFR:

PART 1—[REVOKED]

1. Part 1 is revoked.

2. Part 3 is amended by revising the part heading, the citation of authority, and subpart A, and revoking and reserving subpart B. As amended, Part 3 reads as follows:

PART 3—ORGANIZATION OF PANAMA CANAL COMMISSION

Subpart A—Continuing Applicability of Panama Canal Regulations

Sec.
1.1 Text of Executive Order 12173.

Subpart B—[Reserved]

Authority.—Issued under the authority vested in President by provisions of 3 U.S.C. 301; Pub. L. 96–70, 93 Stat. 452; EO 12173, dated November 29, 1979, 44 FR 69271, and as President of the United States.

Subpart A—Continuing Applicability of Panama Canal Regulations

§ 1.1 Text of Executive Order 12173.

By the authority vested in me as President of the United States of America by Section 301 of Title 3 of the United States Code, by the Panama Canal Code (76A Stat. 1), as amended, and by Pub. L. 96–70 (93 Stat. 452), and in accordance with the rights granted to the United States of America by the Panama Canal Treaty of 1977 "to manage, operate and maintain the Panama Canal, its complementary works, installations and equipment and to provide for the orderly transit of vessels through the Panama Canal" it is hereby ordered as follows:

1–101. All regulations that were adopted by the President or his delegates pursuant to former Title 2 of the Canal Zone Code (76A Stat. 6–50), repealed by Section 303 (a)(1)[1] of Pub. L. 96–70 shall remain in effect unless or until amended, superseded, or otherwise terminated by the President or the Panama Canal Commission. This extension shall not apply to the extent that any such regulation or action is inconsistent with the provisions of the Panama Canal Treaty of 1977, its implementing agreements, or Pub. L. 96–70.

1–102. The Secretary of Defense shall exercise the powers and carry out the responsibilities vested in the President of the United States by the Panama Canal Code (76A Stat. 1), as amended, and Pub. L. 96–70 (93 Stat. 452), except for those powers and responsibilities vested in the President by Sections 1102(b), 1103, 1104, 1105(a), 1106(b), 1108, 1109(a), 1112(d), 1143(a)(1), 1321(c), 1344(b), 1504(b), 1601(a), 2206(b) and 3301 of Pub. L. 96–70. This delegation shall be effective for 120 days after the date of this order.

Subpart B—[Reserved]

PART 5—[REVOKED]

3. Part 5 is revoked.

PART 7—CLAIMS OF EMPLOYEES OF PANAMA CANAL COMMISSION UNDER MILITARY PERSONNEL AND CIVILIAN EMPLOYEES' CLAIM ACT OF 1964, AS AMENDED

4. Part 7 is amended by revising the part heading (as set forth above) and revising §§ 7.1 (b), (c), (d), (e) and (f); 7.5(c)(2); 7.6 (d) and (g); and 7.9 to read as follows:

§ 7.1 Definitions.

* * * * *

(b) "Employee" means an employee of the Panama Canal Commission (also referred to as "the Commission") and includes a member of the uniformed services assigned to duty with the Commission;

(c) "Government" means the Panama Canal Commission unless the context indicates a broader meaning;

(d) "Chief Financial Officer" means the Chief Financial Officer of the Panama Canal Commission acting for and in behalf of the Commission;

(e) "Chief Accountant" means Chief Accountant of the Panama Canal Commission acting for and in behalf of the Commission;

(f) "Chief, Claims Branch," means the Chief of the Claims Branch, Accounting Division of the Panama Canal Commission acting for and in behalf of the Commission.

§ 7.5 Principal types of claims payable.

* * * * *

(c) * * *

(2) Occurs in areas and installations in the Republic of Panama made available to the United States pursuant to the Panama Canal Treaty of 1977 and related agreements and results from vandalism that is determined to have been politically motivated.

* * * * *

(Sec. 3(b)(1), Pub. L. 96–70, 93 Stat. 455)

§ 7.6 Principal types of claims not payable.

* * * * *

(d) Articles being worn (unless allowable under § 7.5 (c), or (d)).

* * * * *

(g) Claims for loss or damage to motor vehicles or trailers or personal property contained therein (unless allowable under § 7.5 (c), (d) or (g)).

* * * * *

§ 7.9 Claims procedure.

The claimant must submit his claim in writing on a prescribed form covering employees claims for loss of or damage to personal property.

The form should be sent to the Panama Canal Commission, Chief, Claims Branch, Office of Financial Management, APO Miami 34011 (or Balboa, Republic of Panama).

5. Part 9 is amended by revising the part heading; by revising and renumbering the regulation and redesignating it as subpart A; a new subpart B is added. As revised, Part 9 reads as follows:

[1] Editorial Note.—The correct citation is section 3303(a)(1).

PART 9—ORGANIZATION, FUNCTIONS, AND AVAILABILITY OF RECORDS—PANAMA CANAL COMMISSION

Subpart A—Organization and Functions of the Commission; Availability of Information and Official Records.

Sec.
9.1 Purpose of this subpart.
9.2 Organization.
9.3 Functions.
9.4 How to request general information or publications.
9.5 The Freedom of Information Act.
9.6 How to make a Freedom of Information Act request.
9.7 How your Freedom of Information Act request will be handled.
9.8 How to make an appeal under the Freedom of Information Act.
9.9 How your Freedom of Information Act appeal will be handled.
9.10 How the Commission may extend the time to respond to your request or appeal.
9.11 Fees for Freedom of Information Act requests.
9.12 Current index.
9.13 Annual report.

Subpart B—Vital Statistics Records

Sec.
9.31 Definitions.
9.32 Administration.
9.33 Functions of the Vital Statistics Unit.
9.34 Supplementary certificate of adoption.
9.35 New birth certificate upon legitimation.
9.36 Delayed filing of birth certificate.
9.37 Altered certificates.
9.38 Certified copies of records.
9.39 Disclosure of records.

Authority.—5 U.S.C. 552, 81 Stat. 54, as amended by Pub. L. 93–502, 88 Stat. 1561; Sec. 1701, Pub. L. 96–70, 93 Stat. 492; EO 12173, 44 FR 69271; 8 P.C.C. §§ 4, 5, 6, and 8, 88 Stat. 1417.

Subpart A—Organization and Functions of the Commission; Availability of Information and Official Records

Authority.—5 U.S.C. 552, 81 Stat. 54, as amended by Pub. L. 93–502, 88 Stat. 1561.

§ 9.1 Purpose of this subpart.

This subpart describes the organization and functions of the Panama Canal Commission (referred to in this part as "the Commission" or "Agency") and explains how a member of the public may request records from this agency under the Freedom of Information Act.

§ 9.2 Organization.

The principal office of the Panama Canal Commission is located at Balboa Heights, Republic of Panama. The office of the Secretary of the Panama Canal Commission is located at Room 312, Pennsylvania Building, 425 13th Street N.W., Washington, D.C. 20004. The Commission also maintains a procurement office at 4400 Dauphine Street, New Orleans, La. 70140.

§ 9.3 Functions.

(a) The Panama Canal Commission, which replaced the Canal Zone Government and the Panama Canal Company effective October 1, 1979, is established in the executive branch of the United States by the Panama Canal Act of 1979 (Pub. L. 96–70, 93 Stat. 452) as an agency of the United States, for the purpose of maintaining and operating the Panama Canal and the facilities and appurtenances related thereto. As provided in section 1101 of that Act, the authority of the President with respect to the Commission is exercised through the Secretary of Defense.

(b) As provided in the Panama Canal Act of 1979, the supervision of the Commission is vested in a Board composed of nine members, one of whom is the Secretary of Defense or an officer of the Department of Defense designated by the Secretary. Not fewer than five members of the Board are nationals of the United States; the remaining members are nationals of the Republic of Panama.

(c) The President appoints the members of the Board. The members of the Board who are United States nationals are appointed by and with the advice and consent of the Senate. Each member of the Board holds office at the pleasure of the President.

(d) The Administrator of the Commission, who is appointed by the President, by and with the advice and consent of the Senate, holds office at the pleasure of the President.

(e) The Commission maintains and operates the Panama Canal and facilities and appurtenances related thereto, including electric power, water, and telephone systems; procurement and storehouse facilities; motor transportation services; an agency press and duplicating center; marine and general repair shop; and an employees' housing system.

(The Panama Canal Act of 1979, Secs. 1101, 1102, 1103, Pub. L. 96–70, 93 Stat. 456, 457)

§ 9.4 How to request general information or publications.

The Commission has an Office of Public Information which is responsible for providing information about the agency to members of the public and the press. If you are interested in general information about the Commission's activities, or copies of its publications, you should write, visit, or call this office. Address letters to: Panama Canal Commission, Office of Public Information, APO Miami 34011 (or Balboa, Republic of Panama).

§ 9.5 The Freedom of Information Act.

(a) The Freedom of Information Act (5 U.S.C. 552) is a law which creates a procedure for any person to request official records from United States Government agencies. The rest of the rules in this subpart explain how you may request official records from the panama Canal Commission.

(b) The Freedom of Information Act requires every United States Government agency to make official records available to any person who requests them, unless the records that the person requests fall within one of more of the exceptions to availability listed in the law. For more details about these exceptions, see subsection (b) of section 552, Title 5, United States Code, available in libraries.

(c) The Freedom of Information Act does not require an agency to create records or compile information that you would like to have. The law deals only with making existing records available.

§ 9.6 How to make a Freedom of Information Act request.

(a) To make a request for a record using the Freedom of Information Act, you must:

(1) Write to the Panama Canal Commission, Agency Records Officer (Chief, Administrative Services Division), APO Miami 34011 (or Balboa, Republic of Panama); and

(2) State in your letter that you are making a request under the Freedom of Information Act, and clearly mark the envelope "Freedom of Information Act Request". A request under 5 U.S.C. 552 which is not properly addressed and is not marked in this way shall not be considered to be received by the agency until it has actually been received by the Agency Records Officer.

(3) In your letter, reasonably describe the records you are seeking. Be as specific in describing the records as you can. Although it is not required, it will be helpful if, whenever possible, you supply in your letter specific information regarding dates, titles, file designations, the office where you believe the records may be found, and other information which may help to identify the records.

(b) You do not have to explain why you want the records, but it may be helpful if you do so; it may result in a faster or less expensive search; it may sometimes result in a discretionary release of records not required to be released under the Act; or it may help to demonstrate a public interest in a release and thereby lead to a waiver or

reduction of search or copying fees chargeable under § 9.11 of this subpart.

§ 9.7 How your Freedom of Information Act request will be handled.

(a) The official responsible for deciding whether your request will be granted is the Agency Records Officer. That official must make the decision and send you notification of it within ten working days after the Commission receives your request. In unusual circumstances, the Commission may extend the time for responding to your request. For details, see § 9.10 of this subpart.

(c) If the Agency Records Officer denies your request, in whole or in part, the letters sent to you to notify you of this decision must:

(1) Tell you why the request is being denied;

(2) Tell you that you have the right, by appealing the decision, to require the agency to reconsider its decision; and

(3) Tell you how to make an appeal.

(c) If you request records or information which is in the files of the Commission but which originated in another Federal agency, the Agency Records Officer may refer your request to that agency. In that case, the Agency Records Officer will inform you that your request has been referred to the originating agency.

§ 9.8 How to make an appeal under the Freedom of Information Act.

(a) If you are not satisfied with the decision of the Agency Records Officer, you may require the Commission to reconsider that decision. This is called "making an appeal."

(b) To make an appeal, you must:

(1) Write to the Panama Canal Commission, Executive Secretary, APO Miami 34011 (or Balboa, Republic of Panama); and

(2) State in your letter that you are making an appeal under the Freedom of Information Act, and clearly mark the envelope "Freedom of Information Act Appeal"; and

(3) Mail or deliver the letter of appeal within ten working days after you receive the letter from the Agency Records Officer.

(c) Although it is not required, it may be helpful if you clearly indicate in your appeal the reasons why you disagree with the decision on your request and your reasons for wanting the records.

§ 9.9 How your Freedom of Information Act appeal will be handled.

(a) The official responsible for deciding whether to grant your appeal is the Executive Secretary of the Panama Canal Commission. That official must make that decision and send you notification of it within 20 working days after receiving your appeal. In unusual circumstances, the Commission may extend the time for responding to your appeal. For details, see § 9.10 of this subpart.

(b) If the Executive Secretary denies your appeal, in whole or in part, the letter sent to you to notify you of this decision must:

(1) Tell you why the appeal is being denied;

(2) Tell you that this denial is the Commission's final decision; and

(3) Tell you that you have the right to request a U.S. District Court to review the denial of your appeal, as provided by 5 U.S.C. 552(a)(4)(B), as amended.

§ 9.10 How the Commission may extend the time to respond to your request or appeal.

(a) In unusual circumstances, the Commission may extend the time for making a decision about your request or about your appeal. If the Commission does extend the time, it will do so by sending you a written notice signed by the Agency Records Officer. The notice will:

(1) Tell you why it is necessary to extend the time;

(2) Tell you how long the time has been extended; and

(3) Tell you the date when you can expect the decision about your request or your appeal to be sent to you.

(b) The Commission may extend the time for making a decision about your request or your appeal by a total of ten working days. The extension period may be split between the request and the appeal, but it may not exceed ten working days overall.

(c) The unusual circumstances which may reasonably require an extension of time for the proper handling of your request or appeal are:

(1) The need to search for and collect the requested records from field facilities or other establishments that are separate from the office processing the request; or

(2) The need to search for, collect, and appropriately examine a voluminous quantity of separate and distinct records which are demanded in a single request; or

(3) The need for consultation, which shall be conducted with all practicable speed, with another agency having a substantial interest in the determination of the request or among two or more components of the Commission having substantial subject matter interest in the request.

§ 9.11 Fees for Freedom of Information Act requests.

(a) The following are the fees you will be charged by the Panama Canal Commission for searching for an reproducing the records you request.

(1) Search for records: $5.50 per hour for searches conducted by clerical personnel, and $17.50 per hour for searches conducted by supervisory or professional personnel.

(2) Searches requiring computers: $130.00 for the first two hours (or fraction of the first two hours); $65.00 for each additional hour.

(3) Copying: $0.09 per page for the first copy of a record. For additional copies, you will be charged the official Panama Canal Commission tariff rate for copying.

(4) Converting microfilm to paper copy: $0.09 per page for the first copy of a record. For additional copies, you will be charged the official Panama Canal Commission tariff rate for copying.

(5) Duplication of tape recordings, when tape is furnished by the agency: 60-minute tape, $1.95 per tape; 90-minute tape, $2.75 per tape; and 120-minute tape, $3.70 per tape. If you supply the tape, there will be no charge for the duplication.

(6) Duplication of photographs: Black and white, up to 8" x 10", $1.50 per print; color, up to 8" x 10", $2.50 per print.

(7) Other services: If there is no specific fee listed in this section for a service necessary for handling your request, you will be charged the official agency tariff for that service. If no tariff exists for that service, the Agency Records Officer is authorized to charge the direct cost to the Commission of that service.

(b) If you wish to request a waiver or reduction of fees, you must do so in writing. The official granting or denying your request or appeal may waive or reduce the fees if the official decides that providing the records you request would primarily benefit the general public.

(c) The Commission may require you to pay any fees charged before the agency will make available to you the records you requested. If you have not paid the fees charged for processing a request, the Commission will not process any subsequent requests you make.

(d) The Commission may charge you fees for searching for the records you request even if no records are found. You may also be charged if records are found but are determined to be exempt from disclosure to you because they fall within one of the exceptions to availability listed in the Freedom of Information Act.

(e) If the records you request are not stored on the Isthmus of Panama, the special costs of returning them to the Isthmus of Panama for review will be added to the search costs.

(f) If your request is expected to involve fees of more than $50, the Commission will not treat your request as having been received until:

(1) The Commission has sent you a written notification of the estimated fees; and

(2) You agree in writing to pay at least the estimated fees; and

(3) You pay part of the estimated fees in advance, if the agency requires such a deposit before it will begin to search for the records you have requested.

§ 9.12 Current index.

(a) The Commission maintains and will make available for public inspection and copying a current index of the agency's opinions, policy statements, administrative staff manuals, and instructions to staff that affect a member of the public.

(b) The Commission has decided that it is not necessary to publish this index.

(c) On request, the Commission will provide copies of this index to members of the public. The charges for the copies will be no greater than those set out in § 9.11.

§ 9.13 Annual report.

On or before March 1 of each calendar year, the Panama Canal Commission sends to both Houses of Congress a report of its activities in connection with the Freedom of Information Act during the preceding calendar year. The Freedom of Information Act requires each agency to make this report and to include in it such information as: how many requests were denied and why; how many denials were appealed and the result of those appeals; the name and title of each official who denied a request; and other information showing how the agency administered the Freedom of Information Act during the period covered by the report.

Subpart B—Vital Statistics Records.

Authority.—Issued under authority vested in President by Sec. 1701, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271; 8 P.C.C. §§ 4, 5, 6, and 8, 88 Stat. 1417.

§ 9.31 Definitions.

As used in this subpart:

"Live Birth" means the birth of a child who shows evidence of life after the child is entirely outside the mother.

"Stillbirth" means a birth after 20 weeks of gestation which is not a live birth.

"Physician" means a person legally authorized to practice medicine before October 1, 1979, in the area then known as the Canal Zone.

"Vital Statistics" includes the registration, preparation, transcription and preservation of data pertaining to marriages, births, adoptions, legitimations, deaths, stillbirths, and data incidental thereto.

"Vital Statistics Unit" means the organizational unit charged by the Administrator of the Panama Canal Commission with the function of vital statistics.

§ 9.32 Administration.

The Vital Statistics Unit shall administer this subpart, under the supervision of the Administrator or his designee.

§ 9.33 Functions of the Vital Statistics Unit.

The Vital Statistics Unit is the keeper of the vital statistics records of the Canal Zone Government. Some of the functions previously performed by that unit were discontinued on October 1, 1979, when the Canal Zone and its civil government ceased to exist. The Vital Statistics Unit now performs the residual functions of recordkeeping; i.e., it is limited to performing the following:

(a) Maintaining all vital statistics records of the Canal Zone Government.

(b) Performing the vital statistics functions as defined in § 9.31 of this subpart for those events which occurred in the Canal Zone before October 1, 1979, and which were not previously registered in that unit. This includes the delayed registration of a birth that occurred prior to October 1, 1979.

(c) The alteration of records which are filed in that unit.

(d) The issuance of copies of documents filed in that unit.

(Panama Canal Treaty of 1977 and related agreements and Public Law 96-70, 93 Stat. 452)

§ 9.34 Supplementary certificate upon adoption.

Upon receipt of a certified copy of an order or decree of adoption, the Vital Statistics Unit shall prepare a supplementary certificate in the new name of the adopted person and shall seal and file the original certificate of birth with such certified copy attached thereto. The sealed documents may be opened only upon the demand of the adopted person, if of legal age, or by an order of court. Upon receipt of a certified copy of a court order of annulment of the adoption, the original certificate shall be restored to its original place in the file.

§ 9.35 New birth certificate upon legitimation.

In cases of legitimation the Vital Statistics Unit, upon receipt of proof thereof, shall prepare a new certificate of birth in the new name of the legitimated child. The evidence upon which the new certificate is made and the original certificate shall be sealed and filed and may be opened only upon the demand of the person involved, if of legal age, or by an order of court.

Cross Reference.—Legitimation of child, see 8 P.C.C. 335, 387, 76A Stat. 689, 691. See also 7 P.C.C. 576, 76A Stat. 571.

§ 9.36 Delayed filing of birth certificate.

(a) When a live birth occurred in the Canal Zone (prior to October 1, 1979), a certificate of live birth should have been filed with the Vital Statistics Unit within five days after the birth by the physician, midwife, or other legally authorized person in attendance at the birth or, if the birth was not so attended, by one of the parents. If a certificate of live birth in the Canal Zone was not filed during that time, it may still be possible to file a delayed certificate of birth by following the procedure set forth in paragraph (b) of this section.

(b) A delayed certificate of live birth may be filed upon the submission to, and receipt by, the Vital Statistics Unit of such evidence, in the form of affidavits or otherwise, as the Vital Statistics Unit deems sufficient to establish satisfactorily the truth of the facts alleged in support of the request for delayed filing. Certificates accepted more than six months after the time prescribed for filing in paragraph (a) of this section shall contain the date of the delayed filing and shall be marked "delayed." A summary statement of the evidence submitted in support of the acceptance for delayed filing shall be endorsed on the certificate. Such evidence shall be kept in a special permanent file.

§ 9.37 Altered certificates.

Certificates of marriage, birth, stillbirth, or death filed in the Vital Statistics Unit may be altered upon the submission to, and receipt by, the Vital Statistics Unit of such evidence, in the form of affidavits or otherwise, as that unit deems sufficient to establish satisfactorily the truth of the facts alleged in support of the request for alteration. Certificates which are altered after being filed shall contain the date of the alteration and shall be marked "altered." A summary statement of the evidence submitted in support of the acceptance for alteration shall be endorsed on the certificate. Such

evidence shall be kept in a special permanent file.

§ 9.38 Certified copies of records.

Subject to the restrictions contained in § 9.39, a certified copy of a certificate on file or any part thereof shall be furnished to any applicant upon request. The person designated by the Administrator or by the Administrator's designee to act as Vital Statistics Clerk shall be the person to certify copies of such certificates or parts thereof. Charges shall be made for certified copies of vital statistics records at the rate prescribed in the official Panama Canal Commission tariff.

§ 9.39 Disclosure of records.

Inspection of a vital statistics record is not permitted, and a certified copy of a certificate or part thereof may not be issued, unless the Vital Statistics Unit is satisfied that the applicant has a direct and legitimate interest in the matter recorded or that the information therein contained is necessary for the determination of personal or property rights.

6. Part 10 is amended by revising and renumbering the regulations to read as follows:

PART 10—ACCESS TO INFORMATION ABOUT INDIVIDUALS

Sec.

10.1 Purpose of this part.
10.2 The Privacy Act of 1974.
10.3 Definitions.
10.4 When this part applies.
10.5 How to make a Privacy Act request.
10.6 How to identify yourself.
10.7 How your Privacy Act request will be handled.
10.8 When, where, and under what conditions you may review the records.
10.9 Special procedures for medical records.
10.10 How to request review of a system manager's denial of access.
10.11 Fees for Privacy Act requests.
10.12 How to request amendment of your record under the Privacy Act.
10.13 How your Privacy Act request for amendment will be handled.
10.14 How to appeal a refusal to amend a record under the Privacy Act.
10.15 How your Privacy Act appeal will be handled.
10.16 Rights of parents and legal guardians.
10.17 Conditions under which the Commission may disclose an individual's record to other persons.
10.18 Accounting of certain disclosures.
10.19 Records about deceased persons.
10.20 Penalties for noncompliance with the Act.
10.21 General exemptions.
10.22 Specific exemptions.
Appendix A—General Routine Uses.

Authority:—5 U.S.C. 552a.

§ 10.1 Purpose of this part.

The purpose of this part is to establish Panama Canal Commission policies and procedures for implementing the Privacy Act of 1974 (Pub. L. 93–579), and particularly the provisions of 5 U.S.C. 552a.

§ 10.2 The Privacy Act of 1974.

The Privacy Act of 1974 (referred to in this part as "the Privacy Act") is a law which provides safeguards against the invasion of an individual's personal privacy. The Privacy Act creates a procedure for an individual to request access to or amendment of a record about himself or herself that is maintained by an agency of the United States Government. It also places certain restrictions on the disclosure of records containing information about an individual to other persons. The rest of the rules in this part:

(a) Explain how you may request access to or amendment of records about yourself that are maintained by the Panama Canal Commission (referred to in this part as "the Commission" or "the agency");

(b) Explain the conditions under which the Commission may disclose information about an individual to others without the individual's consent; and

(c) List the systems of records maintained by the Commission which are exempt from certain provisions of the Privacy Act, including the provisions for access and amendment.

§ 10.3 Definitions.

(a) All terms used in this part which are defined in the Privacy Act (5 U.S.C. 552a(a)) shall have the same meanings as they do in that Act.

(b) "Agency Records Officer" means the Chief, Administrative Services Division, Panama Canal Commission.

(c) "Executive Secretary" means the Executive Secretary of the Panama Canal Commission.

(d) "System Manager" means the official designated in the most recent Notice of Systems of Records published in the **Federal Register**, as having responsibility for a given system of records.

§ 10.4 When this part applies.

(a) This part applies only to information about individuals that is maintained by the Panama Canal Commission in a system of records which has been described in a notice published in the **Federal Register**. This means that these regulations apply only to information about an individual that can be retrieved from a group of records by the individual's name or other personal identifier (such as an employee identification number).

(b) Where another agency (such as the Office of Personnel Management) has published a notice describing a system of records that is partially under the control of the Panama Canal Commission, the Privacy Act regulations of that agency take precedence over the regulations in this part.

§ 10.5 How to make a Privacy Act request.

(a) You may find it helpful to review the descriptions of Commission systems of records, as published in the **Federal Register**, before you make a request. You may review these in the annual compilation of "Privacy Act Issuances," available at libraries, or, upon request, at the Records Management Branch, Administration Building, Balboa Heights, Republic of Panama.

(b) To find out whether a particular system of records contains information about you, or to request access to records about yourself, you must:

(1) Write or visit the system manager or the Agency Records Officer. The title and address of the system manager are given in the Notice of System of Records published in the **Federal Register**. The office of the Agency Records Officer is located in the Administration Building, Balboa Heights, Republic of Panama, and that official's mailing address is: Panama Canal Commission, Agency Records Officer, APO Miami 34011 (or Balboa, Republic of Panama).

(2) Reasonably identify the system of records or the type of information, or records, you are interested in. Be as specific as you can. If you do not know which system of records is involved, it will be helpful if you identify the office where you believe the records may be located.

(3) Adequately identify yourself in accordance with the requirements contained in § 10.6 of this part.

(c) If you make your request in writing, state in your letter that you are making a request under the Privacy Act and clearly mark the envelope with the words "Privacy Act Request." A request under 5 U.S.C. 552a which is not properly addressed and is not marked in this way shall not be considered to have been received by the agency until it has actually been received by the system manager or the Agency Records Officer.

§ 10.6 How to identify yourself.

(a) If you make your request in person, or if you wish to review your records in person, you must identify yourself to the system manager or the Agency Records Officer (or to a person designated by one of those officials) by showing at least one identification document containing your picture (for example, employee identification card, driver's license, passport), or at least two identification documents containing your signature, or other identification acceptable to the official concerned.

(b) If you make your request in writing, you must supply information that will help to verify your identity (for example, signature, employee identification number, date and place of birth), and you may also be required to provide the certificate of a notary public or other official authorized to administer oaths.

(c) Whether making your request in person or in writing, if you cannot identify yourself to the satisfaction of the system manager or the Agency Records Officer (or the person designated by one of those officials), you may be asked to make and sign a written statement asserting your identity and indicating that you understand that knowingly and willfully requesting or obtaining access to any record about another individual under false pretenses is a misdemeanor punishable by a fine of up to $5,000 (5 U.S.C. 552a(i)(3)).

§ 10.7 How your Privacy Act request will be handled.

(a) The system manager or the Agency Records Officer will acknowledge receipt of your request within ten working days. At the same time, or as soon as possible after acknowledging receipt, that official will:

(1) Tell you that a record about you is maintained in the system of records you identified and tell how you may review it, or get a copy; or

(2) Tell you that no record about you is maintained in the system of records you identified; or

(3) Tell you that your inquiry cannot be answered or your request cannot or will not be granted because you have not adequately identified yourself or the system of records; because the system of records in question is exempt from the access provisions of the Privacy Act; or because the record or system of records in question is not under the control of the Commission.

(b) When the system manager or the Agency Records Officer makes a decision to grant you access to the records you requested, you normally may see the records or get copies of them right away. If, for any reason, the records cannot be provided immediately, that official will arrange with you a mutually acceptable time and place for you to review and copy the records. If that official cannot make the records available to you within 30 working days of receipt of your request, that official will advise you in writing of the reason for the delay.

§ 10.8 When, where, and under what conditions you may review the records.

(a) If you want to review your records in person, you will normally be required to go during regular working hours to the location specified in the Notice of the System of Records or to the office of the Agency Records Officer, in the administration Building, Balboa Heights, Republic of Panama. If you cannot go in person during regular working hours, you should telephone or write the system manager or the Agency Records Officer so that appropriate arrangements can be made for you to review the records.

(b) You must identify yourself to the system manager or the Agency Records Officer (or to a person designated by one of those officials) in accordance with the requirements contained in § 10.6 of this part.

(c) If you have been told that you may review your records in person, you may, upon your request, be accompanied by a person of your choosing. You will however, have to provide the system manager with a written signed statement authorizing disclosure of the records about you to that person, and authorizing discussion of your records in the presence of that person.

(d) You may be shown a copy of a record rather than the original record itself when the record is not maintained at, or cannot be transferred to, a location which is accessible to you. In that event, you will be charged for the copies only if you choose to retain them. If copies are made at your request, the agency will charge you the cost of making the copies, as stated in § 10.11 of this part.

(e) No one shall be allowed to inspect original agency records except under the immediate supervision of the system manager, or the Agency Records Officer, or a person designated by one of those officials.

§ 10.9 Special procedures for medical records.

(a) If you request medical records about yourself, including psychiatric and psychological records, the records will be made available to you only after the Director of Health and Safety, or that official's designee, determines that release of the records would not be likely to have an adverse effect on you. If they are not made available to you, upon your written request the medical records which are not otherwise exempt from disclosure may be reviewed by a licensed medical practitioner designated by you.

(b) School records of a psychological nature may be shown to the student who is the subject of the records or to the parent or guardian of the student only if the Director of Health and Safety, or that official's designee, determines that the release would not be likely to have an adverse effect on the individual who is the subject of the records.

§ 10.10 How to request review of a system manager's denial of access.

(a) If the system manager denies your request for records, in whole or in part, you may ask the Agency Records Officer to review that decision. The denial is not considered a final agency decision unless it has been reviewed and confirmed in writing by the Agency Records Officer.

(b) To request review of a system manager's denial, you must:

(1) Write to the Panama Canal Commission, Agency Records Officer, APO Miami 34011 (or Balboa, Republic of Panama); and

(2) State in your letter that you are requesting review of the system manager's denial and clearly mark the envelope "Privacy Act Request for Review"; and

(3) Mail or deliver the request for review within ten working days after you receive the system manager's denial.

(c) Although it is not required, it may be helpful if you state in your request for review the reasons why you disagree with the decision on your request for access and your reasons for wanting the records.

§ 10.11 Fees for Privacy Act requests.

(a) The fees for copies of records made at your request under this section will be the same as the fees provided in § 9.11(a) (3), (4), (5), (6), (7); (c); and (e) of this title for copies of materials provided under the Freedom of Information Act.

(b) If your request for copies of records or portions of records is expected to involve fees of more than $50, the Commission will not treat your request as having been received until:

(1) The Commission has sent you a written notification of the estimated fees; and

(2) You agree in writing to pay at least the estimated fees; and

(3) You pay part of the estimated fees in advance, if the agency requires such a deposit before it will begin to copy the records you have requested.

§ 10.12 How to request amendment of your record under the Privacy Act.

After you have reviewed your record, you may ask the Commission to correct

or amend any portion of the record that you believe is not accurate, timely, relevant, or complete. To make a request for amendment, you must:

(a) Write to the Panama Canal Commission, Agency Records Officer, APO Miami 34011 (or Balboa, Republic of Panama).

(b) State in your letter that you are requesting amendment of a record under the Privacy Act, and clearly mark the envelope "Privacy Act Request for Amendment." A request for amendment of a record under 5 U.S.C. 552a which is not properly addressed and is not marked in this way shall not be considered to be received by the Commission until it has actually been received by the Agency Records Officer.

(c) In your letter, identify the system of records involved, if you can, and identify the particular record or portion of the record you wish to have corrected or amended. If possible, attach a copy of the record in question.

(d) Explain in your letter why you believe the record or portion of the record is not accurate, timely, relevant, or complete, and provide any evidence available to support your request.

(e) Include in your letter any other information that may be necessary for proper processing of your request.

§ 10.13 How your Privacy Act request for amendment will be handled.

(a) The Agency Records Officer (or that official's designee) will decide whether your request for amendment of a record should be granted. That official (or the designee) will acknowledge receipt of your request within ten working days and will either notify you of the decision or tell you when you can expect to have the decision. If a decision cannot be made within 30 working days of the receipt of your request, the Agency Records Officer (or the designee) will advise you in writing of the circumstances causing the delay.

(b) If your request for amendment is granted, in whole or in part:

(1) The Agency Records Officer (or that official's designee) will notify you of this decision;

(2) The system manager will promptly correct the record; and

(3) Where an accounting of disclosures has been maintained, the system manager will advise all previous recipients of the record that the correction has been made.

(c) If your request for amendment is denied, in whole or in part, the Agency Records Officer (or that official's designee) will notify you of this decision and will:

(1) Tell you why the request is being denied;

(2) Tell you that you have the right to request further review by appealing the decision; and

(3) Tell you how to make an appeal.

§ 10.14 How to appeal a refusal to amend a record under the Privacy Act.

(a) If the Agency Records Officer (or that official's designee) has denied your request to amend a record, you may request the Executive Secretary to review that decision. This is called "making an appeal."

(b) To make an appeal, you must:

(1) Write to the Panama Canal Commission, Executive Secretary, APO Miami 34011 (or Balboa, Republic of Panama); and

(2) State in your letter that you are appealing a denial of a request for amendment under the Privacy Act, and clearly mark the envelope "Privacy Act Appeal"; and

(3) Mail or deliver the letter of appeal within ten working days after you receive the initial agency denial.

§ 10.15 How your Privacy Act appeal will be handled.

(a) The official responsible for deciding whether to grant your appeal is the Executive Secretary of the Panama Canal Commission. The Executive Secretary will review the refusal to amend your record and will advise you of his decision within 30 working days of receipt of your appeal.

(b) If the Executive Secretary grants your appeal, in whole or in part:

(1) That official will notify you of the decision;

(2) The system manager will promptly correct the record; and

(3) Where an accounting of disclosures has been maintained, the system manager will advise all previous recipients of the record that the correction has been made.

(c) If the Executive Secretary denies your appeal, in whole or in part, the letter sent to notify you of this decision must:

(1) Tell you why the appeal is being denied;

(2) Tell you that this denial of your appeal is a final agency decision;

(3) Tell you that you have the right to file a concise statement of your reasons for disagreeing with the decision of the agency; and

(4) Tell you that you have the right to request a U.S. District Court to review this denial of your appeal, as provided by 5 U.S.C. 552a(g).

(d) The Administrator of the Panama Canal Commission may extend the 30-working-day period specified in paragraph (a) of this section for good cause shown. In that case, the Agency Records Officer will notify you in writing of the reason for the delay and will tell you when you can expect a decision on your appeal.

(e) If you choose to file a concise statement of your reasons for disagreeing with the agency's refusal to amend your record:

(1) The system manager shall cause a notation to be made on the disputed portion of the record;

(2) Copies of your statement of disagreement will be provided to anyone to whom the disputed record is subsequently disclosed and (to the extent that an accounting of disclosures has been maintained) to any previous recipients of the disputed record; and

(3) The Commission may, at its discretion, make a brief summary of its reasons for not amending the record and may provide this summary, along with your statement of disagreement, to previous or subsequent recipients of the disputed record.

§ 10.16 Rights of parents and legal guardians.

The parent of legal guardian of a minor or the legal guardian of an individual who has been declared incompetent may request access to, or amendment of, a record on behalf of that individual. To do so, a parent will be required to show a certified or authenticated copy of the minor's birth certificate, and a legal guardian will be required to show a certified or authenticated copy of the court order establishing guardianship. In some cases, the parent or legal guardian of a minor may be asked to provide evidence that the minor is in the parent's or guardian's custody, that the minor has consented to disclosure of the information to the parent or guardian, or that the parent or guardian has authority to act on the minor's behalf.

§ 10.17 Conditions under which the Commission may disclose an individual's record to other persons.

(a) The Commission shall not disclose information about an individual that is contained in one of its systems of records to any person or to another agency, except by written request of, or with the prior written consent of, the individual who is the subject of the record, unless the disclosure is authorized by paragraph (b) of this section or is required by other applicable law.

(b) Under 5 U.S.C. 552a, the Commission may disclose information contained in its systems of records, without the consent of the individual who is the subject of the record, if the disclosure of the information, or record, would be:

(1) To the parent or legal guardian of any minor, or to the legal guardian of any individual who has been declared to be incompetent by a court of competent jurisdiction, where such person is acting on the individual's behalf (5 U.S.C. 552a(h));

(2) To those officers and employees of the Commission who have a need for the information in the performance of their duties (5 U.S.C. 552a(b)(1));

(3) Required under 5 U.S.C. 552, the Freedom of Information Act (5 U.S.C. 552a(b)(2));

(4) For a routine use as defined in 5 U.S.C. 552a(a)(7) and as described for all systems of records in Appendix A of this part and for specific systems of records in the Notice of Systems of Records published in the Federal Register (5 U.S.C. 552a(b)(3));

(5) To the Bureau of the Census for purposes of planning or carrying out a census or survey or related activity under the provisions of Title 13, U.S. Code (5 U.S.C. 552a(b)(4));

(6) To a recipient who has provided the Commission with advance adequate written assurance that the record will be used solely as a statistical research or reporting record, and the record is to be transferred in a form that is not individually identifiable (5 U.S.C. 552a(b)(5));

(7) To the National Archives of the United States as a record which has sufficient historical or other value to warrant its continued preservation by the United States Government, or for evaluation by the Administrator of General Services or that official's designee to determine whether the record has such value (5 U.S.C. 552a(b)(6));

(8) To another agency or to an instrumentality of any governmental jurisdiction within or under the control of the United States for a civil or criminal law enforcement activity if the activity is authorized by law, and if the head of the agency or instrumentality has made a written request to the Commission specifying the particular portion desired and the law enforcement activity for which the record is sought (5 U.S.C. 552a(b)(7));

(9) To a person pursuant to a showing of compelling circumstances affecting the health or safety of an individual, if upon such disclosure notification is transmitted to the last known address of such individual (5 U.S.C. 552a(b)(8));

(10) To either House of Congress, or, to the extent of matter within its jurisdiction, any committee or subcommittee thereof, any joint committee of Congress or subcommittee of any such joint committee (5 U.S.C. 552a(b)(9));

(11) To the Comptroller General, or any of his authorized representatives, in the course of the performance of the duties of the General Accounting Office (5 U.S.C. 552a(b)(10)); or

(12) Pursuant to the order of a court of competent jurisdiction (5 U.S.C. 552a(b)(11)).

§ 10.18 Accounting of certain disclosures.

(a) The system manager or his designee shall keep an accurate accounting of each disclosure of personal information about an individual from a system of records under his control which is made in accordance with § 10.17(b) of this part, except if that disclosure is to officers and employees of the Commission (§ 10.17(b)(2)) or is required under the Freedom of Information Act (§ 10.17(b)(3)).

(b) This accounting of disclosure shall include:

(1) The date, nature, and purpose of each such disclosure; and

(2) The name and address of the person or agency to whom the disclosure is made.

(c) The system manager shall retain this accounting of disclosure for at least five years after the disclosure or for the life of the record, whichever is longer.

(d) The Commission shall make the accounting of disclosure available to the individual named in the record, at that individual's request, except when the disclosure was made under § 10.17(b)(8) of this part or when the record in question is exempt from the access provisions of the Privacy Act under §§ 10.21 and 10.22 of this part. An individual may request access to the accounting of disclosure by the procedure for requesting access to records that is explained in §§ 10.5 through 10.10 of this part.

§ 10.19 Records about deceased persons.

A record about a deceased person is not covered by the rules in this part, except to the extent that the deceased person's record contains information about a living individual. In disclosing information about a deceased person, the Commission will make every effort to avoid any infringement of the privacy rights of a living individual.

§ 10.20 Penalties for noncompliance with the Act.

Subsections (g) and (i) of 5 U.S.C. 552a provide civil remedies and criminal penalties for noncompliance with the provisions of the Privacy Act of 1974 (Pub. L. 93-579) or regulations implementing that Act. In addition, adverse or disciplinary action may be taken against any officer or employee who willfully or negligently fails to comply with the requirements of the Privacy Act or the regulations in this part.

§ 10.21 General exemptions.

(a) The systems of records listed in this section were, before October 1, 1979, maintained by units of the Canal Zone Government (Office of Internal Security, Canal Protection Division, Customs Division, Police Division, and Probation and Parole Unit) whose principal function was the performance of activities pertaining to the enforcement of criminal laws. These systems are now maintained by the successors of these units in the Panama Canal Commission. Identification of individuals who are (or are not) the subjects of investigative files, disclosure to such individuals of the contents of such files and of the persons or agencies to whom such contents may have been transmitted, and the imposition of certain restrictions on the manner in which investigatory data is collected, verified, or retained could be expected to preclude the apprehension or the successful prosecution of persons engaged in criminal activity. Accordingly, the following systems of records maintained by the Panama Canal Commission shall be exempt, pursuant to 5 U.S.C. 552a(j), from subsections (c) (3) and (4); (d); (e) (1), (2), and (3); (e)(4) (G), (H), and (I); (e)(5); (e)(8); (f); (g); (h); and (o) of 5 U.S.C. 552a and from the procedures for access and amendment set forth in §§ 10.5 through 10.10 and 10.12 through 10.16 of this part:

(1) Vital Installation Access File, PCC-CZG/CACP-1;

(2) State Department Visa Lookout Book, PCC-CZG/CACU-1;

(3) Immigration and Naturalization Service Lookout Book, PCC-CZG/CACU-2;

(4) Customs Fugitive Records, PCC-CZG/CACU-3;

(5) Cardex File—Smuggling; Narcotics; Violators or Suspects and Fugitives, PCC-CZG/CACU-4;

(6) Cardex File—Vehicle Exporters, PCC-CZG/CACU-5;

(7) Cardex File—Contraband Violations, PCC-CZG/CACU-6;

(8) Seamen's Locator List, PCC-CZG/CACU-7;

(9) Law Enforcement Case Report Files, PCC-CZG/CAPL-1;

(10) Police Headquarters Confidential File, PCC-CZG/CAPL-2;

(11) Detective Confidential Files, PCC-CZG/CAPL-3;

(12) Convict Files, PCC-CZG/CAPL-4;

(13) Prisoner Record Cards, PCC–CZG/CAPL–5;
(14) Police Photo Files, PCC–CZG/CAPL–6;
(15) Fingerprint File, PCC–CZG/CAPL–7;
(16) Pending Detective Investigation Records, PCC–CZG/CAPL–8;
(17) Informant Name File, PCC–CZG/CAPL–9;
(18) Master Name File, PCC–CZG/CAPL–10;
(19) Youth Unit Drug Abuse File, PCC–CZG/CAPL–11;
(20) Youth Unit Name Index File, PCC–CZG/CAPL–12;
(21) Probation and Parole Unit Child Custody Reports, PCC–CZG/CAPR–1;
(22) Presentence and Pre-Parole Investigation Reports, PCC–CZG/CAPR–2;
(23) Probation and Parole Unit Statistical File, PCC–CZG/CAPR–3;
(24) Personnel Security Files, PCC–CZG/ISO–1;
(25) Confidential Sources and Contacts, PCC–CZG/ISO–2;
(26) Card Index System, PCC–CZG/ISO–3;
(27) Index of Contractor Employees, PCC–CZG/ISO–4;
(28) Biographical Data Cards, PCC–CZG/ISO–5;
(29) Biographical Data Files, PCC–CZG/ISO–6;
(30) Canal Protection Division Activity Report Files, PCC–CZG/CACP–2.

(b) An individual may not obtain access into this part to information contained in any system of records when such information is identified as having been obtained from a system of records that has been exempted by any agency from the provisions of 5 U.S.C. 552a(d) by authority of 5 U.S.C. 552a(j).

§ 10.22 Specific exemptions.

(a) The following systems of records (which, before October 1, 1979 were maintained by the Canal Zone Government and the Panama Canal Company, and which are now maintained by the Panama Canal Commission) shall be exempt, pursuant to 5 U.S.C. 552a(k), from subsections (c)(3); (d); (e)(1); (e)(4) (G), (H), and (I); and (f) of 5 U.S.C. 552a and from the procedures for access and amendment set forth in §§ 10.5 through 10.10 and 10.12 through 10.15 of this part:

(1) Systems containing material which has been properly classified in accordance with Part 60 of this title, because its disclosure could reasonably be expected to cause damage to the national security:

(i) Personnel Security Files, PCC–CZG/ISO–1;
(ii) Confidential Sources and Contacts, PCC–CZG/ISO–2;
(iii) Card Index System, PCC–CZG/ISO–3;
(iv) Biographical Data Files, PCC–CZG/ISO–6.

(2) Systems containing investigatory material compiled for law enforcement purposes (other than criminal law enforcement investigatory material within the scope of § 10.21 of this part), because disclosure could be expected to impede the investigatory process, reveal the identities of confidential sources, or prevent the detection of unlawful actions:

(i) Canal Zone Board of Registration for Architects and Professional Engineers Reference Files, PCC–CZG/BRAE–1;
(ii) Vital Installation Access File, PCC–CZG/CACP–1;
(iii) State Department Visa Lookout Book, PCC–CZG/CACU–1;
(iv) Immigration and Naturalization Service Lookout Book, PCC–CZG/CACU–2;
(v) Customs Fugitive Records, PCC–CZG/CACU–3;
(vi) Cardex File—Smuggling; Narcotics; Violators or Suspects and Fugitives, PCC–CZG/CACU–4;
(vii) Cardex File—Vehicle Exporters, PCC–CZG/CACU–5;
(viii) Cardex File—Contraband Violations, PCC–CZG/CACU–6;
(ix) Seamen's Locator List, PCC–CZG/CACU–7;
(x) Driver's License Investigatory File, PCC–CZG/CALS–7;
(xi) Law Enforcement Case Report Files, PCC–CZG/CAPL–1;
(xii) Police Headquarters Confidential File, PCC–CZG/CAPL–2;
(xiii) Detective Confidential Files, PCC–CZG/CAPL–3;
(xiv) Convict Files, PCC–CZG/CAPL–4;
(xv) Prisoner Record Cards, PCC–CZG/CAPL–5;
(xvi) Police Photo Files, PCC–CZG/CAPL–6;
(xvii) Fingerprint File, PCC–CZG/CAPL–7;
(xviii) Pending Detective Investigation Records, PCC–CZG/CAPL–8;
(xix) Informant Name File, PCC–CZG/CAPL–9;
(xx) Master Name File, PCC–CZG/CAPL–10;
(xxi) Youth Unit Drug Abuse File, PCC–CZG/CAPL–11;
(xxii) Youth Unit Namd Index File, PCC–CZG/CAPL–12;
(xxiii) Probation and Parole Unit Child Custody Reports, PCC–CZG/CAPR–1;
(xxiv) Presentence and Pre-Parole Investigation Reports, PCC–CZG/CAPR–2;
(xxv) Probation and Parole Unit Statistical File, PCC–CZG/CAPR–3;
(xxvi) Mail Covers, PCC–CZG/CAPS–1;
(xxvii) Case Investigations, PCC–CZG/CAPS–2;
(xxviii) Personnel Investigation Records, PCC–CZG/CZPB–3;
(xxix) Embezzlements, Burglaries, and Cash Shortages, PCC–CZG/FVAC–1;
(xxx) Claims Files, PCC–CZG/FVAK–1;
(xxxi) Cash Audit Files, PCC–CZG/FVGA–1;
(xxxii) Equal Employment Opportunity Counseling and Investigation Files, PCC–CZG/GVEO–1;
(xxxiii) Medical Administration System—Exempt, PCC–CZG/HL–2;
(xxxiv) Personnel Security Files, PCC–CZG/ISO–1;
(xxxv) Confidential Sources and Contacts, PCC–CZG/ISO–2;
(xxxvi) Card Index System, PCC–CZG/ISO–3;
(xxxvii) Index of Contractor Employees, PCC–CZG/ISO–4;
(xxxviii) Biographical Data Cards, PCC–CZG/ISO–5;
(xxxix) Biographical Data Files, PCC–CZG/ISO–6;
(xl) Housing Complaints File, PCC–CZG/SC–2.
(xli) Canal Protection Division Activity Report Files, PCC–CZG/CACP–2.

(3) [Reserved]

(4) Systems used only for statistical research or reporting purposes and not used in making any determinations about identifiable individuals:

(i) Minority Group Designator Records, PCC–CZG/PR–11.

(5) Systems consisting of investigatory material compiled to determine suitability, eligibility, or qualifications for employment, security clearance, or participation in Federal contracts, to the extent that disclosure would reveal the identity of confidential sources:

(i) Merit System Recruiting, Examining, and Placement Records, PCC–CZG/CZPB–1;
(ii) Appeals, Grievances, Complaints, and Assistance Records, PCC–CZG/CZPB–2;
(iii) Personnel Investigation Records, PCC–CZG/CZPB–3;
(iv) Embezzlements, Burglaries, and Cash Shortages, PCC–CZG/FVAC–1;
(v) Personnel Security Files, PCC–CZG/ISO–1;
(vi) Confidential Sources and Contacts, PCC–CZG/ISO–2;
(vii) Card Index System, PCC–CZG/ISO–3;
(viii) Index of Contractor Employees, PCC–CZG/ISO–4;
(ix) Biographical Data Files, PCC–CZG/ISO–6;
(x) Recruiting and Placement Records, PCC–CZG/PR–5;

(6) Systems containing testing or examination material used to determine individual qualifications for appointment or promotion, the disclosure of which would compromise the objectivity or fairness of the testing or examination process:

(i) Canal Zone Board of Registration for Architects and Professional Engineers Reference Files, PCC–CZG/BRAE–1;
(ii) Merit System Recruiting, Examining, and Placement Records, PCC–CZG/CZPB–1;
(iii) Marine License Files, PCC–CZG/MRBLI–1;
(iv) Admeasurer Examination File, PCC–CZG/MRPA–1;

(b) Information in any other system of records which meets one or more of the criteria for exemption specified in paragraph (a) of this section, or in subsection (k) of 5 U.S.C. 552a, shall be deemed to be part of a system of records which is exempt from disclosure pursuant thereto.

(c) Information (other than criminal law enforcement investigatory material within the scope of § 10.21 of this part) contained in a system of records listed under paragraph (a)(2) of this section which is used to deny an individual any right, privilege, or benefit to which he would otherwise be entitled by law, or for which he would otherwise be eligible, shall be made available to such individual pursuant to §§ 10.5 through 10.10 and 10.12 through 10.15 of this part, except to the extent that such disclosure would reveal the identity of a source who furnished information under an express promise that the identity of the source would be held in confidence (or, prior to September 27, 1975, under an implied promise that the identity of the source would be held in confidence).

Appendix A—General Routine Uses

Information about an individual which is maintained in any system of records under the control of the Panama Canal Commission is subject to disclosure, as a routine use of such information, to any of the following persons or agencies under the circumstances described:

1. Information indicating a violation or potential violation of law (whether civil, criminal, or regulatory in nature, and whether involving a statute or regulation or a rule or order issued pursuant thereto) may be referred to the federal, state, local, foreign, or international agency charged with investigating or prosecuting such violations or charged with implementing or enforcing the particular statute, or regulations, rule, or order, which is pertinent thereto.

2. Information which has a bearing on matters which may be in dispute may be disclosed in the course of presenting evidence or argument to a court or administrative tribunal, a judicial official, or counsel for a party in connection with litigation or administrative proceedings in which the agency, or its officers or employees, are or may become involved.

3. Information may be provided to persons or agencies from whom information is solicited, to the extent necessary to elicit facts which may be relevant to a financial audit or an agency decision to hire or retain an employee, issue a security clearance, award a contract, grant a license, or otherwise provide a benefit or incur an obligation.

4. Information may be disclosed to a federal agency, in response to its request in a particular case or in a category of cases, in connection with that agency's (a) decision in a personnel matter; (b) financial audits and accounting; (c) issuance of a security clearance; (d) investigation of an individual employed or formerly employed by the Panama Canal Commission (or its predecessors); or (e) decision to award a contract, grant a license, or otherwise provide a benefit or incur an obligation.

5. Information may be supplied in response to an inquiry from a Member of Congress on behalf of an individual or, at any stage of the legislative coordination and clearance process, to the Office of Management and Budget in connection with the review of private relief legislation.

6. Information which has a bearing on the qualifications of professional personnel (such as architects, attorneys, engineers, medical practitioners, pilots, and teachers) who have been employed by the agency or have had professional dealings with the agency may be provided to the appropriate authorities such as professional licensing and certifying boards and grievance committees.

7. To the extent necessary for implementation of the Panama Canal Treaty of 1977 and related agreements, information may, upon approval by the Agency Records Officer (Chief, Administrative Services Division) or that official's designee, be disclosed to officials of the Government of the Republic of Panama and to U.S. Government agencies which, under the Treaty, assumed functions formerly performed by the Panama Canal Company or the Canal Zone Government.

PART 51—AIR NAVIGATION

7. Part 51 is amended by revising the citation of authority and revoking subpart C. As revised, the citation of authority reads as follows:

* * * * *

Authority.—Sec. 1701, Pub. L. 96–70, 93 Stat. 492 and EO 12173, 44 FR 69271.

* * * * *

Subpart C—[Revoked]

PART 53—[REVOKED]

8. Part 53 is revoked.

PART 57—[REVOKED]

9. Part 57 is revoked.

PART 59—[REVOKED]

10. Part 59 is revoked.

11. Part 60 is amended by revising the citation of authority and revising the regulations to read as follows:

PART 60—CLASSIFIED INFORMATION

Sec.

60.1 Authority and scope.
60.2 Classification designation, requirements, and prohibitions.
60.3 Limitations on original classification authority.
60.4 Use of derivative classification.
60.5 Requirements for classification guides.
60.6 Duration of classification.
60.7 Identification and markings.
60.8 Declassification and downgrading.
60.9 Access to classified information.
60.10 Top Secret, Secret, and Confidential control officer.
60.11 Compliance with Executive Order 12065; Panama Canal Commission Classification Review Committee.
60.12 Mandatory review for declassification.
60.13 Custody and storage.
60.14 Security investigations; training and orientation of employees.
60.15 Debriefing upon termination of employment.
60.16 Responsibility of individual employees.
60.17 Loss or compromise; destruction of nonrecord classified information.
60.18 Classified Documents Library.
60.19 Procedure for receiving and transmitting classified documents.
60.20 Reproduction of classified documents.

Authority:EO 12065, 43 FR 28949; Directive No. 1, Information Security Oversight Office, approved by National Security Council, 43 FR 46280.

§ 60.1 Authority and scope.

Executive Order 12065, dated June 28, 1978 (43 FR 28949, July 3, 1978) and Directive No. 1 of the information Security Oversight Office, approved by the National Security Council on September 29, 1978 (43 FR 46280, October 5, 1978), set forth the uniform standards for the identification, classification, downgrading, declassification, and the safeguarding of security information affecting the national defense and foreign relations of the United States (collectively termed "national security" in this part). The regulations contained in this part are adopted pursuant to that Executive Order (which became effective December 1, 1978) and implement its provisions within the Panama Canal Commission (referred to in this part as "the Commission").

§ 60.2 Classification designation, requirements, and prohibitions.

(a) *Classified designation.* Official information which requires protection against unauthorized disclosure in the interest of the national security shall be classified "Top Secret," "Secret" or "Confidential" depending upon the degree of its significance to national security. No other categories of classification shall be used to identify such information except as otherwise expressly provided by statute. If there is reasonable doubt which designation is appropriate or whether the information should be classified at all, the less restrictive designation should be used, or the information should not be classified.

(b) *"Top Secret".* Information, the unauthorized disclosure of which reasonably could be expected to cause exceptionally grave damage to the national security, should be classified as "Top Secret." The Commission does not have authority to originally classify information as "Top Secret."

(c) *"Secret".* Information, the unauthorized disclosure of which reasonably could be expected to cause serious damage to the national security, should be classified as "Secret."

(d) *"Confidential".* Information, the unauthorized disclosure of which reasonably could be expected to cause identifiable damage to the national security, should be classified as "Confidential."

(e) *Classification requirements.* Information may not be considered for classification unless it concerns:

(1) Military plans, weapons, or operations;

(2) Foreign government information;

(i) "Foreign government information" as referred to in this part means:

(A) Information provided to the United States by a foreign government or international organization of governments in the expectation, express or implied, that the information is to be kept in confidence; or

(B) Information produced by the United States pursuant to a written, joint arrangement with a foreign government or international organization of governments requiring that either the information or the arrangement, or both, be kept in confidence. Such a written, joint arrangement may be evidenced by an exchange of letters, a memorandum of understanding, or other written record.

(ii) Unauthorized disclosure of foreign government information or the identity of a confidential foreign source is presumed to cause at least identifiable damage to the national security.

(3) Intelligence activities, sources or methods;

(4) Foreign relations or foreign activities of the United States;

(5) Scientific, technological, or economic matters relating to the national security;

(6) United States Government programs for safeguarding nuclear materials or facilities; or

(7) Other categories of information which are related to national security and which require protection against unauthorized disclosure as determined by the President, by a person designated by the President pursuant to Section 1–201 of Executive Order 12065, or by an agency head. Determinations made under this criterion shall be reported promptly to the Director of the Information Security Oversight Office.

(f) Even though information is determined to concern one or more of the criteria listed in § 60.2(e), it shall not be classified unless an original classification authority also determines that its unauthorized disclosure reasonably could be expected to cause at least identifiable damage to the national security.

(g) *Prohibitions.* Classification shall not be used to conceal violations of law, inefficiency, or administrative error, to prevent embarrassment to a person, an organization, or the Commission, to restrain competition, or to prevent for any other reason the release of information which does not require protection in the interest of national security.

(h) No document originated on or after December 1, 1978, shall be classified after the Commission has received a request for the document under the Freedom of Information Act (5 U.S.C. 552) or § 60.12 of this title, unless such classification is consistent with Executive Order 12065 and is authorized by the Chief of Industrial Security Office of the Commission. Classification authority under this provision shall be excercised personally, on a document-by-document basis.

(i) References to classified documents that do not disclose classified information may not be classified or used as a basis for classification.

(j) Classification may not be restored to documents already classified and released to the public under Executive Order 12065, or prior Executive Orders.

§ 60.3 Limitations on original classification authority.

(a) The authority to originally classify information under this part shall be limited to the categories of Secret and Confidential. Only the following officials of the Panama Canal Commission are authorized to originally classify information or material:

(1) Administrator

(2) Chief of Industrial Security Office

(b) Other officials and employees of the Panama Canal Commission originating documents which, in their opinion should be classified as Secret or Confidential prior to dispatch, shall forward these documents to the Classified Documents Library of the Industrial Security Office with recommendation for appropriate classification. Such documents shall be protected by a cover sheet (such as Panama Canal Commission Forms 165-Conf of 165-B Secret) of the classification recommended by the originator, and shall be handled and safeguarded as if classified.

(c) All information originated within the Commission which is believed to require classification as Top Secret (within the meaning of this part and Executive Order 12065) shall be hand carried by the originator to the Classified Documents Library and handled in accordance with the procedures established by § 60.19(c) of this part. The Classified Documents Library in turn, shall transmit the information promptly under appropriate safeguards to the agency which has appropriate subject matter interest and classification authority. If it is not clear which agency should get the information, it shall be sent to the Director of the Information Security Oversight Office for a determination.

(d) Intra-office documents, such as longhand notes or draft papers, that contain information affecting the national security shall be distinctly marked with the proper classification at top and bottom, by hand, by the originator, and shall be protected and destroyed in the same manner as an inter-office or agency classified document. Such intra-office documents shall be forwarded to the Classified Documents Library for destruction as soon as the content has been included in a formal classified paper or as soon as note or draft is not required.

(e) A holder of classified information or material shall observe and respect the classification assigned by the originator. Holders of classified information are encouraged to challenge the classifications assigned to documents. When the holder of a classified document feels that there is a reasonable cause to believe that information is classified unnecessarily, improperly, or for an inappropriate period of time the holder shall so inform the originator who shall then re-examine the classification. Alternatively, the holder may invoke the mandatory review procedure set out in § 60.12 of this title. When requested, anonymity of the challenger shall be preserved.

§ 60.4 Use of derivative classification.

(a) Original classification authority shall not be delegated to persons who only reproduce, extract, or summarize classified information, or who only apply classification markings derived from source material or as directed by a classification guide. Persons who apply such derivative classification markings shall:

(1) Respect original classification decisions;

(2) Verify the information's current level classification so far as practicable before applying the markings; and

(3) Carry forward to any newly created documents the assigned dates or events for declassification or review and any additional authorized markings. A single marking may be used for documents based on multiple sources.

(b) Paper copies of derivatively classified documents shall be marked at the time of origination as follows:

(1) The classification authority shall be shown on a "classified by" line; e.g. "Classified by (Insert identity of classification guide)" or "Classified by (Insert source of original classification)." If the classification is derived from more than one source, the single phrase "multiple sources" may be shown, provided that identification of each source is maintained with the file or record copy of the document.

(2) The identity of the office originating the derivatively classified document shall be shown on the face of the document.

(3) Dates or events for declassification or review shall be carried forward from the source material or classification guide and shown on a "declassify on" or "review for declassification on" line. If the classification is derived from more than one source, the latest date for declassification or review applicable to the various source materials shall be applied to the new information.

(4) The classification marking provisions of paragraphs (b) through (g) of § 60.7 are also applicable to derivatively classified documents.

(5) Any additional marking under paragraph (h) of § 60.7 of this part appearing on the source material shall be carried forward to the new material when appropriate.

(6) Any abbreviation or code permitted under paragraph (i) of § 60.7 may be applied to derivatively classified documents.

§ 60.5 Requirements for classification guides.

(a) Classification guides used to direct derivative classification and issued pursuant to Section 2–2 of Executive Order 12065 and § 60.4 of this part shall:

(1) Identify the information to be protected, using categorization to the extent necessary to ensure that the information involved can be identified readily and uniformly;

(2) State which of the classification designations (i.e., Top Secret, Secret, or Confidential) applies to the information.

(3) State the duration of classification in terms of a period of time or future event. When such duration is to exceed six years, the reason for such extension shall be provided in the guide. However, if the inclusion of classified reasons would result in a level of classification for a guide that would inhibit its desirable and required dissemination, those reasons need to be recorded only on or with the record copy of the guide; and

(4) Indicate how the designations, time limits, markings, and other requirements of the Order and this part are to be applied.

(b) Each classification guide shall be kept current and shall be reviewed at least once every two years. The Commission shall maintain a list of classification guides in current use.

(c) Each such guide shall be approved personally in writing by an agency head listed in Section 2–1 of Executive Order 12065 or by an official with Top Secret classification. No official of the Commission has authority to approve a classification guide.

§ 60.6 Duration of classification.

(a) Except as provided by paragraph (b) of this section and § 60.8(g), at the time of original classification each original classification authority shall set a date or event for automatic declassification no more than six years later.

(b) Only officials with Top Secret classification authority and agency heads specifically identified by position title in Section 1–2 of Executive Order 12065 may classify information for more than six years from the date of the original classification. This authority is not vested in any Commission official.

§ 60.7 Identification and markings.

(a) At the time of original classification, the following shall be shown on the face of paper copies of all classified documents:

(1) The identity of the original classification authority (the identity of the classifier, unless also the signer or approver of the document, shall be shown on a "classified by" line; e.g. "Classified by John Doe" or "Classified by Administrator, Panama Canal Commission.");

(2) The date of classification and the office of origin;

(3) The date or event for declassification or review;

(4) Downgrading markings when it is determined that a classified document should be downgraded automatically at a certain date or upon a certain event; and

(5) One of the three classification designations defined in § 60.2.

(b) The overall classification of a document, whether or not permanently bound, or any copy or reproduction thereof, shall be conspicuously marked or stamped at the top and bottom of the outside of the front cover (if any), on the title page (if any), on the first page, on the back page, and on the outside of the back cover (if any). Each interior page of a classified document shall be marked or stamped at the top and bottom either according to the highest classification of the content of the page, including the designation "Unclassified" when appropriate, or according to the highest classification of the document. In any case, the classification marking of the page shall not supersede the classification marking of portions of the page marked with lower levels of classification.

(c) Whenever practicable, subjects and titles shall be selected so as not to require classification. When the subject or title is classified, an unclassified identifier may be assigned to facilitate receipting and reference.

(d) Classifiers shall identify the level of classification of each classified portion of a document (including subjects and titles), and those portions that are not classified. Portion marking shall be accomplished by placing a parenthetical designator immediately preceding or following the text that it governs. The symbols "(TS)" for Top Secret, "(S)" for Secret, "(C)" for Confidential, and "(U)" for Unclassified, shall be used for this purpose. If individual portion marking is impracticable, the document shall contain a description sufficient to identify the information that is classified and the level of such classification. A waiver of the portion marking requirement may be granted by the Director of the Information Security Oversight Office. Requests for such waivers shall be made by the Administrator or his designee to the Director and shall include:

(1) Identification of the information or classes of documents for which such waiver is sought,

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(2) A detailed explanation of why the waiver should be granted,

(3) The Commission's best judgment as to the anticipated dissemination of the information or class of documents for which waiver is sought, and

(4) The extent to which the information subject to the waiver may form a basis for classification of other documents.

(e) The classification and associated markings presented by this part for documents shall, where practicable, be affixed to material other than documents by stamping, tagging, or other means. If this is not practicable, recipients shall be made aware of the classification and associated markings by notification or other means.

(f) A transmittal document shall indicate on its face the highest classification of the information transmitted by it and the classification, if any, of the transmittal document. For example, an unclassified transmittal document should bear a notation substantially as follows: "UNCLASSIFIED WHEN CLASSIFIED ENCLOSURE IS DETACHED."

(g) Except in those cases where such markings would reveal intelligence information, foreign government information incorporated in United States documents shall, whenever practicable, be identified in such manner as to ensure that the foreign government information is not declassified prematurely or made accessible to nationals of a third country without consent of the originator. Documents classified by a foreign government or an international organization of governments shall, if the foreign classification is not in English, be marked with the equivalent United States classification. Foreign government information not classified by a foreign government or an international organization of governments but provided to the United States in confidence by a foreign government or by an international organization of governments, shall be classified at an appropriate level and shall be marked with the United States classification accordingly.

(h) In addition to the marking requirements in paragraphs (a) through (g) of this section, the additional markings provided in paragraphs (h) (1)–(3) of this section below shall, as appropriate, be displayed prominently on classified information. When display of these additional markings is not practicable, their applicability to the information shall be included in the written notification of the assigned classification.

(1) For classified information containing Restricted Data or Formerly Restricted Data as defined in the Atomic Energy Act of 1954, as amended, such markings as may be prescribed by the Department of Energy in regulations issued under the Act shall be applied.

(2) For classified information involving intelligence sources or methods: "WARNING NOTICE—INTELLIGENCE SOURCES AND METHODS INVOLVED."

(3) For classified information that the originator has determined, pursuant to Section 1–506 of Executive Order 12065, should be subject to special dissemination or reproduction limitations, or both, a statement placing the user on notice of the restrictions shall be included in the text of the document or on its cover sheet; e.g., "Reproduction requires approval of originator," or "Further dissemination only as directed by the Chief of Industrial Security."

(i) Classified documents that are transmitted electrically may be marked with abbreviations or codes in a single line in a manner consistent with economic and efficient use of electrical transmission systems, provided that the full text presented by each abbreviation or code and its relation to paragraphs (a) through (h) is readily available to each expected user of the classified documents affected.

§ 60.8 Declassification and downgrading.

(a) Classified information may be declassified or downgraded by the official who authorized the original classification if that official is still serving in the same position, by a successor or by a supervisory official of either.

(b) For classified information transferred in conjunction with a transfer of functions (not merely for storage purposes) the receiving agency shall be deemed to be the originating agency for all purposes under Executive Order 12065.

(c) For classified information not transferred in accordance with paragraph (b) of this section, but originated in an agency which has ceased to exist, each agency in possession shall be deemed to be the originating agency for all purposes under Executive Order 12065. Such information may be declassified or downgraded by the agency in possession after consulting with any other agency having an interest in the subject matter.

(d) Declassification of classified information shall be given emphasis comparable to that accorded classification. Information classified pursuant to Executive Order 12065 and prior Orders shall be declassified as early as national security considerations permit. Decisions concerning declassification shall be based on the loss of the information's sensitivity with the passage of time or on the occurrence of a declassification event.

(e) When information is reviewed for declassification pursuant to Executive Order 12065 or the Freedom of Information Act, it shall be declassified unless the declassification authority determines that the information continues to meet the classification requirements prescribed in § 60.2 despite the passage of time.

(f) It is presumed that information which continues to meet the classification requirements described in § 60.2 requires continued protection. In some cases, however, the need to protect such information may be outweighed by the public interest in disclosure of the information, and in these cases the information should be declassified. When such questions arise, they shall be referred to the Panama Canal Commission Committee on Classified Information which will determine whether public interest in disclosure outweighs the damage to national security that might reasonably be expected to arise from the disclosure.

(g) Foreign government information shall be exempt from automatic declassification and 20 year systematic review, unless the foreign government specifies or agrees to such declassification or review. Foreign government information classified after the effective date of the order shall be assigned a date for review for declassification up to 30 years from the time the information was classified or acquired.

(h) Classified information that is marked for automatic downgrading is downgraded accordingly without notification to holders. Classified information that is not marked for automatic downgrading may be assigned a lower classification designation by the originator or by other authorized officials when such downgrading is appropriate. Notice of downgrading shall be provided to holders of the information to the extent practicable.

(i) Whenever a change is made in the original classification or in the dates of downgrading or declassification of any classified information, it shall be promptly and conspicuously marked to indicate the change, the authority for the action, the date of the action, and the identity of the person taking the action. Earlier classification markings shall be cancelled when practicable.

§ 60.9 Access to classified information.

(a) No person may be given access to classified information unless that person has been determined to be trustworthy. The determination of eligibility, referred to in this part as a security clearance, shall be based on such investigations as the Panama Canal Commission may require in accordance with the standards and criteria of Executive Orders 10450 and 10865, as appropriate.

(b) In addition to a security clearance, a person must have a need for access to the particular classified information or material sought in connection with the performance of that person's official duties or contractual obligations, except in those instances provided for in paragraph (d) of this section. The determination of that need shall be made by officials having responsibility for the classified information or material.

(c) When a person no longer requires access to classified information or material in connection with the performance of that person's official duties or contractual obligations, the security clearance shall be withdrawn. Likewise, when a person no longer needs access to a particular security classification category, that person's security clearance shall be adjusted to the classification category still required for the performance of that person's duties and obligations. In both instances, such action shall be without prejudice to the person's eligibility for a security clearance should the need again arise.

(d) Persons engaged in historical research projects and former Presidential appointees who occupied policy-making positions may be authorized access to classified information or material originating within the Panama Canal Commission. In such cases, the Chief of Internal Security Office shall obtain:

(1) Written agreements from the requestors to safeguard the information to which they are given access as permitted by Executive Order 12065 and this part; and

(2) Written consent to the Chief's review of their notes and manuscripts for the purpose of determining that no classified information is contained in them. A determination of trustworthiness is a pre-condition to a requestor's access. If the access requested by historical researchers and former Presidential appointees requires the rendering of services for which fair and equitable fees may be charged pursuant to Title 5 of the Independent Offices Appropriations Act, 65 Stat. 290, 31 U.S.C. 483a (1976), the requestor shall be so notified and the fees may be imposed. Access may be permitted under this section only if the Commission has jurisdiction over the information and it:

(i) Makes a written determination that access is consistent with the interests of national security;

(ii) Takes appropriate steps to ensure that access is limited to specific categories of information over which it has classification jurisdiction;

(iii) Limits the access granted to former Presidential appointees to items that the person originated, reviewed, signed or received while serving as a Presidential appointee.

(e) Except as otherwise provided by Section 102 of the National Security Act of 1947, 61 Stat. 495, 50 U.S.C. 403 (1970 & Supp. V. 1975), classified information originating in one agency may not be disseminated outside any other agency, to which it has been made available, without the consent of the originating agency.

§ 60.10 Top Secret, Secret, and Confidential Control Officer.

(a) The Chief of Industrial Security, Panama Canal Commission, is the Top Secret Control Officer and is responsible for the receipt, current accountability, and transmission of all Top Secret information. The Deputy Chief, Industrial Security Office, is the Alternate Top Secret Control Officer. A physical inventory of all Top Secret material shall be made at least annually.

(b) The Chief of Industrial Security is the Control Officer for all classified information up to and including Secret.

§ 60.11 Compliance with Executive Order 12065; Panama Canal Commission Classification Review Committee.

(a) The Chief of Industrial Security is responsible for insuring both effective compliance with, and implementation of Executive Order 12065, by the Commission.

(b) There is established a Panama Canal Commission Committee on Classified Information which shall act on all suggestions and complaints received by it with respect to the administration of Executive Order 12065 and this part by the Commission. The Chief of Industrial Security shall act as chairman of this committee and shall designate appropriate officials from the Panama Canal Commission to serve on it.

(c) The Panama Canal Commission Committee on Classified Information shall be responsible for recommending to the Administrator appropriate administrative action to correct abuse or violation of any provision of Executive Order 12065 or directives under it, including notification by warning letter, formal reprimand, and to the extent permitted by law, suspension without pay and removal. Upon receipt of such a recommendation the Administrator shall act promptly and advise the Committee of the action taken. The Information Security Oversight Office shall be informed when such violations occur.

(d) The Administrator shall report to the Attorney General evidence reflected in classified information of possible violations of Federal criminal law by an agency employee and of possible violations by any other person of those Federal criminal laws specified in guidelines adopted by the Attorney General.

§ 60.12 Mandatory review for declassification.

(a) Any member of the public, government employee or agency may request that classified information be reviewed for declassification and release. Such requests must be submitted in writing to the Executive Secretary of the Panama Canal Commission, APO Miami 34011 (or Balboa, Republic of Panama).

(b) On receipt of such a request, the information shall be reviewed for possible declassification according to the procedure set out in this section, provided the request reasonably identifies the information sought. Whenever a request is deficient in its description of the information sought, the Executive Secretary shall notify the requester that unless additional identifying information is provided or the scope of the request is narrowed, the Commission will take no further action on the request.

(c) Requests for classification review made under paragraph (a) of this section shall be promptly acknowledged and then forwarded by the Executive Secretary to the official who originally classified the document or that official's successor, who shall decide whether, under the declassification provisions of § 60.6 of this title, the requested information may be declassified. If so, the information shall be declassified and promptly made available to the requester, unless withholding is otherwise warranted under applicable law. The official shall make and dispatch to the requester a decision on a proper request within 60 days after its receipt by the Executive Secretary. If the official decides that the information may not be released, in whole or in part, that offical shall send to the requester with the decision a brief statement of the reasons for the denial, a notice of the right to appeal the decision by letter

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addressed to the Classification Review Committee, Agency Records Officer (Chief, Administrative Services Division), Panama Canal Commission, APO Miami 34011 (or Balboa, Republic of Panama), and a notice that, to be considered, such an appeal must be received by the Commission within 60 days of receipt of the decision letter.

(d) Within 30 days after its receipt of a proper appeal against an initial decision not to declassify information, the Classification Review Committee shall make and dispatch its decision whether the information should be declassified. The Committee shall, after its decision, promptly make available to the requester any information that it declassifies and which is otherwise releasable. If the Committee decides that continued classification of the requested information is necessary, it shall notify the requester of its decision and the reasons therefor. If requested, the Commission shall also communicate the appeal determination to any referring agency.

(e) The classification reviews made in response to requests and appeals under this section are in addition to the systematic review of classified information prescribed by Executive Order 12065.

(f) When the Commission receives a request for information in its custody which another agency classified, the Chief of Industrial Security shall send the request to the classifying agency for its review. With the request, the Chief shall also send a copy where practicable, of the document containing the information requested and the Chief's recommendation whether any of the information should be withheld. The Chief shall notify the requester that the request has been referred to the classifying agency, unless the classifying agency objects on grounds that its association with the information requires protection.

(g) When another agency refers a request to the Commission for review because the Commission originally classified the information requested, the Commission shall treat the request as though it were submitted directly to it under paragraph (a) of this section. The Commission shall send its decision directly to the requester and shall, if so requested, notify the referring agency of its decision on the request and on the appeal, if any.

(h) Requests for declassification which are submitted under the Freedom of Information Act or the Privacy Act of 1974 (5 U.S.C. 552 and 552a) shall be processed in accordance with the provisions of such Acts.

(i) The Commission, if in possession of classified information, may not, in response to a proper request under this section for the information, refuse to confirm the existence or non-existence of the information, unless the fact of its existence or non-existence would itself be classifiable under Executive Order 12065.

§ 60.13 Custody and storage.

(a) Classified information shall be protected in accordance with applicable National Security Council directives or directives promulgated by the Information Security Oversight Office and approved by the National Security Council.

(b) Each bureau director and chief of independent unit is responsible for assuring that all classified information within that official's organization is used, processed, stored, reproduced, and transmitted only under conditions which will provide adequate protection and prevent access by, or dissemination to, unauthorized persons. Containers, vaults, alarm systems and associated security devices procured after the effective date of this part for the storage and protection of classified information shall be in conformance with the standards and specifications published by the General Services Administration and to the maximum extent practicable, be of the type designated on its Federal Supply Schedule.

(c)(1) Top secret information shall be stored in a GSA-approved, safe-type, steel file cabinet having a built-in, three-position, dial-type combination lock or within an approved vault, or vault-type room, or in other storage facility that meets the standards for top secret established under the provisions of subsection (b) above.

(2) Secret and confidential information shall be stored in a manner and under the conditions prescribed for top secret information, or in a container or vault that meets the standards for secret, or confidential, established pursuant to the provisions of paragraph (b) above, and/or (c)(3) below.

(3)(i) Secret and confidential information may also be stored in a steel filing cabinet having a built-in, three-position, dial-type, changeable combination lock, or a steel filing cabinet equipped with a steel lock bar, provided it is secured by a three-position, changeable, combination padlock approved by GSA for the purpose. The storage of secret information in the steel filing cabinets described above requires the use of such supplementary controls as the Administrator deems necessary to achieve the degree of protection warranted by the sensitivity of the information involved.

(ii) For protection of bulky secret and confidential material (for example, weaponry containing classified components) in magazines, strong rooms, or closed areas, access openings may be secured by changeable combination or key-operated, high-security padlocks approved by GSA. When key-operated padlocks are used, keys shall be controlled in accordance with paragraph (e)(2) below.

(d) Bureau directors and chiefs of independent units or branches are also responsible for assuring that all personnel having access to classified information in their respective organizations have a security clearance issued by the Chief of Industrial Security.

(e)(1) Combinations of all repositories containing classified information shall be changed at least annually and forwarded in double-sealed envelopes to the Industrial Security Office. More frequent changes of combinations are required when custodians change or when there is reason to suspect possible compromise of the current combination. The double-sealed envelopes shall be classified no lower than the highest category of information contained in the repositories. Combinations to dial-type locks shall be changed only by persons having appropriate security clearance, and shall be changed whenever such equipment is placed in use, whenever a person knowing the combination no longer requires access to the combination, whenever the equipment is taken out of service, and at least once every year. Knowledge of combinations protecting classified information shall be limited to the minimum number of persons necessary for operating purposes. Records of combinations shall be classified no lower than the highest level of classified information to be stored in the security equipment concerned.

(2) When security equipment having a built-in combination lock is taken out of service, the lock shall be reset to the standard combination 50–25–50. Combination padlocks shall be reset to the standard combination 10–20–30.

(3) The Commission shall establish administrative procedures for the control and accountability of keys and locks, whenever key-operated, high-security padlocks are utilized. The level of protection provided such keys shall be equivalent to that afforded the classified information being protected. Under no circumstances may keys be removed from the premises. They shall be stored in a secure container.

(f) Custodians of classified matter are responsible for registering with the Industrial Security Office the names of all persons having knowledge of combinations to repositories containing classified information.

(1) Persons entrusted with classified information shall be responsible for providing protection and accountability for such information at all times and for locking classified information in approved security equipment whenever it is not in use or under direct supervision of authorized persons. Custodians shall follow procedures that insure unauthorized persons do not gain access to classified information.

(2) Individuals charged with the custody of classified information shall conduct the necessary inspections within their areas to insure adherence to procedural safeguards prescribed to protect classified information. Commission security officers shall insure that periodic inspections are made to determine whether procedural safeguards prescribed by agency regulations are in effect at all times.

§ 60.14 Security investigations; training and orientation of employees.

(a) The Chief of Industrial Security is responsible for initiating appropriate investigation and clearance of personnel who are to have access to classified information in the Commission.

(b) The Chief of Industrial Security is also responsible for establishing and maintaining a training and orientation program for employees concerned with classified information or material, to include the briefing of new employees and periodic reorientation during employment to emphasize an individual's responsibility for compliance with Executive Order 12065 and with this part.

§ 60.15 Debriefing upon termination of employment.

Bureau directors and heads of independent units shall be responsible for the debriefing of their employees upon termination of employment or contemplated temporary separation for a 60-day period or more to remind them of the provisions of the Criminal Code and other applicable provisions of law relating to penalties for unauthorized disclosure.

§ 60.16 Reponsibility of individual employees.

(a) The responsibility for the safeguarding of classified information shall rest on each individual employee having possession or knowledge of it, regardless of how such information or knowledge was obtained. In addition, each individual employee is directly responsible for acquiring familiarity with and complying with these and subsequently published security regulations.

(b) Any officer or employee, at any level of employment, determined to have been responsible for any release or disclosure of national security information or material in a manner not authorized by Executive Order 12065 or under this part, is subject to prompt and stringent administrative action, and, where a violation of criminal statute may be involved, is subject to prosecution under applicable law.

§ 60.17 Loss or compromise; destruction of nonrecord classified information.

(a) Loss or compromise of any classified information shall be immediately reported to the Industrial Security Office by the person having knowledge of its loss or compromise. The Industrial Security Office shall immediately initiate an investigation for any breach in security regulations after having advised the originating agency or activity of the loss or compromise of such information.

(b) Nonrecord classified information that has served its intended purpose shall be destroyed in accordance with procedures and methods approved by the Administrator. The method of destruction selected must preclude recognition or reconstruction of the classified information or material.

§ 60.18 Classified Documents Library.

(a) The Panama Canal Commission Classified Documents Library is contained in the Industrial Security Office.

(b) The purpose of the Classified Documents Library is to insure that maximum controls are afforded the processing and transmission of, and the accountability for, classified documents.

§ 60.19 Procedure for receiving and transmitting classified documents.

(a) The procedure for handling classified documents received by any person or unit of the Panama Canal Commission shall be as follows:

(1) All classified documents addressed to any person or unit of the Commission shall be immediately delivered by the addressee to the Classified Documents Library. Personnel of the Classified Documents Library shall receipt for and record all classified documents received from outside agencies (except that those officials, listed in § 60.3(a) of this part, may receipt for classified documents from outside agencies, and then forward them to the Classified Documents Library in person or by an authorized representative).

(2) The receipted documents shall be permanently recorded in the Classified Documents Library at which time accountability for these documents shall be assumed by the library.

(3) When classified documents addressed to an individual in the Panama Canal Commission are received by the Classified Documents Library, the addressee shall be notified by telephone that such classified matter is awaiting him at the Classified Documents Library; or the classified documents may be transmitted as provided in paragraph (c) of this section. When the addressee picks up the classified documents at the library, all items shall be recorded on an individual classified documents register furnished by the Classified Documents Library; one copy is to be permanently retained in the library, and one copy is to be retained by the addressee, or his authorized representative, who shall sign for the documents opposite each item on the register. This method of transfer may be utilized in lieu of a receipt.

(b) When any unit of the Panama Canal Commission prepares a document which is to be classified Secret or Confidential, for transmission to other offices of the Commission, the procedure shall be as follows:

(1) Prepare sufficient copies of the document for whatever distribution is required, and one additional copy for file in the Classified Documents Library.

(2) Forward draft copies, handwritten copies, and carbons to the Industrial Security Office for destruction under established procedures. In addition, all portions of electric typewriter ribbons used in the preparation of classified material must be destroyed in the same manner. Reusable cloth typewriter ribbons must be protected if used for preparation of classified material on first pass through typewriter.

(3) Bring all copies of the document to the Classified Documents Library. Copies shall be securely fastened underneath a cover sheet of the classification recommended by the originator.

(4) At the direction of the Chief of Industrial Security, the Classified Documents Library shall then assign the proper classification, short title, and serial number to each document and an accountability stamp shall be placed on each copy.

(5) All classified documents shall be appropriately and conspicuously marked to put all persons on clear notice of their classified content. In addition, all classified documents shall be marked to indicate the downgrading-

declassification schedule to be followed in accordance with § 60.7.

(6) The Classified Documents Library shall record the documents in the permanent documents log. The accountability of the documents passes from the originator to the library at this point.

(7) Distribution of the remaining copies shall be made by the Classified Documents Library according to the procedures covered in paragraphs (a)(3) or (c) of this section. The number of copies of documents containing classified information shall be kept to a minimum to decrease the risk of compromise and reduce storage costs.

(c) When any unit of the Panama Canal Commission transmits documents or information classified Top Secret to other offices of the Commission, or any classified documents or information to any agencies or units other than the Commission, the procedure for handling such information shall be as follows:

(1) The documents or information shall be enclosed in opaque inner and outer covers before transmitting. The inner cover shall be a sealed wrapper or envelope plainly marked with the assigned classification and addresses of both sender and addressee. The outer cover shall be sealed and addressed with no identification of the classification of its contents.

(2) A receipt shall be attached to or enclosed in the inner cover. The receipt shall identify the sender, addressee, and the document, but shall contain no classified information. It shall be immediately signed by the recipient and returned to the sender.

(d) When the Commission transmits classified documents or information to an agency other than the Commission, or documents or information classified Top Secret to other offices of the Commission, one or more of the following methods shall be used:

(1) By specifically designated personnel having the appropriate security clearance;

(2) By State Department diplomatic pouch;

(3) By messenger-courier system specifically created for that purpose;

(4) Over authorized secure communication circuits;

(5) Secret and confidential documents or information may also be transmitted by the following methods;

(i) As provided in paragraph (a)(3) of this section, if transmittal is to be within the Commission;

(ii) By U.S. registered mail through Army, Navy, or Air Force Postal Service facilities provided that the information does not at any time pass out of U.S. citizen control and does not pass through a foreign postal system.

(iii) Transmittal may also be accomplished under escort of appropriately cleared personnel aboard U.S. Government and U.S. Government contract vehicles or aircraft, ships of the United States Navy, civil service manned U.S. Naval ships, and ships of U.S. Registry. Operators of vehicles, captains or masters of vessels, and pilots of aircraft who are U.S. citizens and who are appropriately cleared may be designated as escorts.

Cross Reference.—Classification designation and requirements, see § 60.3 (b)–(e) of this part.

§ 60.20 Reproduction of classified documents.

(a) Top Secret documents may not be reproduced without the consent of the originating agency unless otherwise marked by the originating office. The reproduction of Secret and Confidential documents may be restricted by the originating agency. Reproduced copies of classified documents are subject to the same accountability and controls as the original documents.

(b) The Industrial Security Office is the only office within the Panama Canal Commission authorized to reproduce classified documents. Other offices within the Panama Canal Commission which require the reproduction of classified documents should bring them to the Classified Documents Library, Industrial Security Office, where the documents will be reproduced, properly marked, controlled and then returned to the user.

PART 61—HEALTH, SANITATION, AND QUARANTINE

12. Part 61 is amended by revising the citation of authority and revoking and reserving subparts A and G; by revoking §§ 61.39, 61.70, 61.96, 61.319, and 61.365; by revising subpart H and redesignating it as subpart B of Part 9; and by revoking subpart J. As amended, Part 61 reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1701, Pub. L. 96–70, 93 Stat. 492; EO 12173, 44 FR 69271.

Subpart A—[Reserved]

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§ 61.39 [Revoked]

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§ 61.70 [Revoked]

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§ 61.96 [Revoked]

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§ 61.131 [Revoked]

* * * * *

§ 61.319 [Revoked]

Subpart G—[Reserved]

Subpart H—[Reserved]

§ 61.365 [Revoked]

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Subpart J [Revoked]

PART 63—[REVOKED]

13. Part 63 is revoked.

PART 65—[REVOKED]

14. Part 65 is revoked.

15. Part 67 is amended by revoking subparts A through K, and revising subparts L and M; by adding a new subpart A and redesignating subparts L and M as subparts B and C. As revised, Part 67 reads as follows:

PART 67—CANAL ZONE POSTAL MONEY ORDERS AND SAVINGS CERTIFICATES

Subpart A—General Provisions

Sec.
67.1 Authority.
67.2 Scope.

Subpart B—Canal Zone Money Order System

67.11 Scope of the subpart.
67.12 Applicability of Federal postal laws and regulations.
67.13 U.S. Postal Service restrictions.
67.14 Payment.
67.15 General procedures for payment of outstanding Canal Zone money orders.
67.16 Period of validity.
67.17 Who may receive information.
67.18 Inquiries regarding payment.
67.19 Duplicate money orders; application for payment of mutilated or lost money orders.
67.20 Acceptance of application for refund payment.
67.21 Money orders recovered after duplicate issued.

Subpart C—Canal Zone Postal Savings System

67.31 Purpose and designation of depository.
67.32 Scope of this subpart.
67.33 Retroactive application.
67.34 Applicability of Federal postal laws and regulations.
67.35 Care and protection of records.
67.36 Interest.
67.37 Payment of postal savings certificates.
67.38 General procedures for payment of postal savings certificates.
67.39 Privacy of accounts.
67.40 Claims.
67.41 Disposal of paid postal savings certificates.
67.42 Replacement of certificates.
67.43 Payment of duplicate certificate.
67.44 Disposition of recovered certificate.

Authority: Sec. 1331, Pub. L. 96–70, 93 Stat. 481; EO 12173, 44 FR 69271.

Subpart A—General Provisions

§ 67.1 Authority.

The provisions of Chapter 73 of the Panama Canal Code relating to postal savings deposits, postal savings certificates, postal money orders and the accounting for funds shall continue to apply for the purpose of meeting the obligations of the United States concerning outstanding postal savings and money orders and disposition of funds.

§ 67.2 Scope.

The regulations in this part govern the procedures to be followed in redeeming outstanding Canal Zone postal savings deposits, postal savings certificates and postal money orders.

Subpart B—Canal Zone Money Order System

§ 67.11 Scope of the subpart.

This subpart covers procedures to be followed in the conduct of payment of outstanding Canal Zone money orders, and accounting for such transactions.

§ 67.12 Applicability of Federal postal laws and regulations.

The provisions of the postal laws of the United States, and of 39 CFR, relating to the payment of outstanding Canal Zone money orders, are applicable to the Panama Canal Commission, insofar as they are not in conflict with the provisions of this subpart.

§ 67.13 U.S. Postal Service restrictions.

Any restrictions imposed by the United States Postal Service on payment of United States postal money orders shall apply to outstanding Canal Zone money orders.

§ 67.14 Payment.

(a) *Place of payment.* Money orders may be paid at the Office of the Treasurer, Panama Canal Commission, which is authorized to pay outstanding Canal Zone money orders.

(b) *Canal Zone Money Orders.* A money order may be paid at full face value when presented by the payee, endorsee, or purchaser, within the period of validity.

Cross Reference.—Procedure for payment, see § 67.15. Period of validity, see § 67.16.

§ 67.15 General procedures for payment of outstanding Canal Zone money orders.

(a) *Terms of payment.* A money order shall be paid at its face value if presented by the payee, remitter or endorsee.

(b) *Examination of order.* When a Canal Zone money order is presented for payment, the Cashier, Office of the Treasurer, shall examine it to see that:

(1) It is not a form reported stolen.

(2) It is not a counterfeit.

(3) It is properly stamped and drawn by the issuing office.

(4) It does not bear any alterations or erasures.

(c) *Machine-issued orders.* The money orders issued by the print-punch machine are payable in the amount printed on and punched in the order by the machine. The money orders issued by machine are payable in the amount imprinted by machine, but for no more than the amount stamped between the words "Not Valid For More Than" and the word "Pay".

(d) *Verification.* Verification of an order presented for payment should be made by Chief, Agents Accounts Branch of the Panama Canal Commission, prior to payment by the cashier.

(e) *Identification.* (1) *General requirement.* If the payee presenting the money order is not personally known to the cashier, he must prove his identity.

(2) *Identification of payee.* Social security cards are not acceptable. Drivers permits, military identification cards, or other credential showing signature of bearer and having serial numbers or other indicia which can be traced to the holder are helpful in identification. The owner must sign the money order in the presence of the cashier. The cashier shall compare signature with identification, if possible, shall enter on the back of the order the license or serial number and full description of the identification; and shall also initial the back of the order and an impression of the agent's stamp will be affixed on the back of the order immediately on payment. This will aid in apprehending persons attempting forgery or other wrong payment.

(3) *Cashing endorsed money orders.* This procedure must be followed carefully in the case of endorsed money orders, as they might bear a forged endorsement and be in the hands of the wrong person.

(4) *Payment to wrong person.* If the cashier has taken proper care under the circumstances, the Treasurer of the Panama Canal Commission will recommend that he be relieved of financial responsibility for wrong payment.

(5) *Duties of employees.* If a cashier is unable to satisfy himself that an applicant for payment is the owner of the order, he should bring the case to the attention of his supervisor or the Treasurer.

(6) *Attempts to defraud.* Any attempt to defraud should be referred to the Treasurer by the cashier.

(7) *Requirements for signatures; etc.*

(i) *Signature by mark.* If signature of payee or endorsee is by mark, it shall be witnessed by a person who can write, and the witness shall be someone other than the Treasurer or paying cashier.

(ii) *Signature different from name on order.* Any signature of the payee consistent with the name given on the order may be accepted by the paying cashier as sufficient, if he is satisfied that it is the genuine signature of the payee intended.

(iii) *Signature of officer.* An order drawn in favor of a public official or officer of a corporation, company, or association, as such, may be paid to his successor, if presented by the latter, who, in receipting for it, shall be required to indicate in writing the capacity in which he acts, thus: "William Jones, Treasurer, successor to George Thompson".

(iv) *When payee is society or corporation.* When the payee is a society or corporation, the person who has authority to receive payment of money due such payee shall receipt the order in his official capacity, and if occasion arises, the Treasurer may require satisfactory proof of such authority.

(v) *Stamped signature in receipt.* All of the requisite signatures to a money order—those of payee, endorsee, or witness to payment—shall be written, preferably in ink; but a stamped signature may be used in place of the written signature of payee or agent of payee in receipts on money order drawn in favor of or made payable to a firm, corporation, association, society, or individual, if beneath it is written the signature of the person receiving payment or executing the endorsement. Under no circumstances may an endorsement be made by means of a perforating device.

(vi) *Signature of agent.* The paying cashier shall affix or cause to be affixed to the signature of the person receiving payment of a money order any such word or words as may be necessary to explain the right of such person to collect the amount. For instance, where an order drawn in favor of a company is paid to its local manager, the word "Manager" should appear beneath or opposite his signature to the endorsement.

(vii) *Use of titles.* The paying cashier shall not insist on the inclusion or the omission of a title or prefix such as "Dr.," "Rev.," "Prof.," "Madam," or

"Mrs." in the signature to an order, whether or not the payee is designated by such title or prefix in the body of the order.

(viii) *Order presented by payee after being endorsed by others.* When an order is presented by the payee for payment, it is immaterial what endorsements there may be on the order. Payment may be made if the order is otherwise regular and there is space for the payee to sign his name on the back of the order on or near the line above the word "Payee" and inconsistent or unnecessary signatures or endorsements may be canceled.

(ix) *Substitution by payee or remitter of name written in error.* The payee or the remitter of an order, but no one else, may substitute any other name for one which he has already written by mistake in the body of the first endorsement thereon, and payment may be made to the person whose name has thus been substituted, if the order is regular in other respects.

(x) *More than one payee.* Money orders completed by the purchaser to show more than one firm or person as payee may be paid to any one of them.

(f) *Stolen forms.* Money orders issued on stolen forms will not be accepted as valid vouchers for disbursements.

(g) *Procedure where duplicate issued.* If upon verification, it is established that a duplicate has been issued, the cashier to whom the order is presented shall write across it with ink the words, "Canceled-Duplicate Issued," and forward the order to the Chief, Agents Accounts Branch for disposition.

(h) *Payment to other than payee.* (1) *Transfer of money orders.* (i) *By purchaser or payee.* The payee or the purchaser of a money order may endorse the order to any other person or firm. A money order may not be paid to a second person without written transfer or endorsement to him by the payee or purchaser in the prescribed form on the reverse side of the order, except as provided by subdivisions (ii) and (iii) of this subparagraph.

(ii) *On power of attorney.* A person with power or attorney may cash money orders in behalf of the payee who gave him that authority. The power of attorney must be filed at the office of payment.

(iii) *On separate written order of payee.* When the payee has filed with the Treasurer a separate written order authorizing payment to another person, and designating that person by name as the one to receive payment of and to receipt for any specified order, or for all orders payable by the Treasurer to the payee, that person may cash money orders on behalf of the payee.

(2) *Upon assignment.* When a person or firm makes an assignment, and the assignor intends that money orders payable to him will be paid to assignee, he should execute a power of attorney to give such written order separate from the instrument of assignment, to be filed in the Office of the Treasurer. The person designated to receive payment should receipt the money order as such, indicating beneath his signature the capacity in which he acts.

(3) *On death of payee.* A money order belonging to a deceased remitter or payee may be paid to the executor or administrator of the estate appointed by the court. A certified copy of the appointment shall be filed with the Treasurer. If the estate is small and administration is not desired, payment shall be made in accordance with the Panama Canal Code. Whenever a money order belonging to a deceased remitter or payee is presented for payment, the Treasurer should be informed and payment therefor withheld until instructions for payment are received.

Cross Reference: Laws on succession, see 7 P.C.C. § 501, et seq.

(4) *To concern which has ceased to exist.* A money order payable to a firm, bank, or company which has ceased to exist shall be paid to the legal representative thereof.

(5) *To committee or guardian.* When a committee, guardian, or other person is appointed by a court to act for a person declared incompetent, money orders shall not be paid to the ward. All money orders showing the ward as payee or endorsed shall be paid only to the committee, guardian, or other duly designated person, who shall exhibit to the postmaster the authority thus to act for the ward. Such money orders shall be receipted in the name of the ward, followed by the signature and legal designation of the committee, guardian, or other authorized agent.

(6) *To minor.* A money order payable to a minor may be paid to the father or mother thereof as natural guardian, unless legal proceedings have been instituted which make questionable the claim of the father or mother, in which case the facts should be reported to the Treasurer.

(i) *Discrepancies or alterations.* If there is any doubt as to the particulars on a Canal Zone money order, verification of the order should be made with Chief, Agents Accounts Branch.

(j) *Payment of remitter.* A money order presented by the remitter may be refunded at the Office of the Treasurer upon proper identification.

(k) *Payment of order withheld.*

(1) *Invalid orders.* Provisions relating to the payment of invalid Canal Zone money orders are contained in § 67.16.

(2) *Nonpayment because of fraud.*

(i) *Proof.* If the purchaser has proof that the order was purchased because of false representations or other fraudulent action of the payee, or that the payee is engaged in conducting a scheme or device for obtaining money fraudulently through the mails, the purchaser may request the Treasurer to withhold payment.

(ii) *Orders forbidding payment.* Payment of a money order should not be made under any circumstances to a specific person or firm when an order has been issued by the Treasurer forbidding payment of money orders to such persons or firms.

§ 67.16 Period of validity.

As provided by 2 P.C.C. 1142, 76A Stat. 40, money orders issued by the Canal Zone Postal Service may not be paid after 20 years from the last day of original issue. Claims for unpaid money orders shall be forever barred unless received by the Panama Canal Commission Treasurer within such 20-year period. Special authority shall be obtained from the Chief, Agents Accounts Branch, to pay or refund a Canal Zone money order presented after one year from the last day of the month in which it was issued and prior to the expiration of the 20-year period.

§ 67.17 Who may receive information.

Information concerning money order transactions may be given only to the purchaser, payee, or endorsee, or his agent, or to a representative of the Agents Accounts Branch, the Office of the Treasurer, and the Postal Assistance Unit of the Panama Canal Commission.

§ 67.18 Inquiries regarding payment.

Inquiries concerning the payment of a money order shall be made to the Chief, Agents Accounts Branch on PS Form 6401 or by direct correspondence.

§ 67.19 Duplicate money orders; application for payment of mutilated or lost money orders.

(a) Duplicate money orders shall not be issued after September 28, 1979.

(b) A duplicate money order issued prior to September 29, 1979, may be paid at the Office of the Treasurer.

(c) A duplicate money order is payable only to the payee named thereon or his endorsee.

(d) An application for payment of a mutilated or lost money order may be accepted and certified by Chief, Agents Accounts Branch and honored by the Treasurer if the mutilated order accompanies the application or the original money order has been inadvertently destroyed and the person in whose favor the application is made submits evidence, in the form of affidavits or otherwise as Chief, Agents Accounts Branch deems sufficient to establish a valid claim to the original order.

§ 67.20 Acceptance of application for refund payment.

(a) An application for refund payment on a money order may be accepted by the Chief, Agents Accounts Branch.

(b) An application for refund payment of a money order alleged to have been lost, stolen or destroyed may be accepted only from the purchaser, or the holder of the purchaser's receipt, and payment shall be issued if the person in whose favor the application is made submits evidence in the form of affidavits or otherwise, as the Chief, Agents Accounts Branch deems sufficient to establish a valid claim to the original order and the original order has not be been paid.

(c) The complete name and address of the person or firm to whom the money order was sent, as well as the complete name and last known address (house number, street, and post office) of the person to whom the refund payment is to be paid, shall be determined from the applicant by inquiry.

§ 67.21 Money orders recovered after duplicate issued.

When a money order alleged to have been lost comes into the possession of the remitter, payee, or endorsee thereof after application for a refund payment has been made, the paying cashier to whom the order is presented shall notify Chief, Agents Accounts Branch by memorandum. If a duplicate or refund payment has not been issued in lieu thereof, the Chief, Agents Accounts Branch, may authorize the payment or refund of such original order. If upon verification, it is evident that a duplicate or refund payment has been issued, the cashier to whom the order is presented shall write across it the words "Canceled—Duplicate/Refund Payment Issued," and the order shall be sent to Chief, Agents Accounts Branch for disposition.

Subpart C—Canal Zone Postal Savings System

§ 67.31 Purpose and designation of depository.

The postal savings system was established to provide facilities for the deposit of savings at interest with the security of the United States Government for repayment. As a result of the discontinuance of the Canal Zone Postal Service, effective October 1, 1979, the Treasurer of the Panama Canal Commission has been designated as the sole postal savings depository.

§ 67.32 Scope of this subpart.

This subpart covers the procedures to be followed in the payment of outstanding postal savings certificates and the accounting for such transactions.

§ 67.33 Retroactive application.

This subpart applies equally to money orders or deposit orders issued in lieu of postal savings certificates prior to September 29, 1979. Such orders may have been endorsed or were known at various times as follows:

"Money Order"—"Deposit Money Order";
"Non-Transferable Deposit Money Order";
"Non-Transferable—Payable to Depositor Only";
"Pay Depositor Only at Office of Issue."

§ 67.34 Applicability of Federal postal laws and regulations.

The provisions of the postal laws of the United States, and of 39 CFR, relating to the payment of postal savings certificates, are applicable to the Panama Canal Commission, insofar as they are not in conflict with the provisions of this subpart.

Cross Reference.—Postal savings system, see 39 U.S.C. 5201 et seq.; postal savings, see 39 CFR Part 173.

§ 67.35 Care and protection of records.

All unpaid stubs and any current postal savings statements, records, or files relating to unpaid accounts shall be placed and maintained in a vault or safe when not actually required for an official transaction. All such records shall be placed in the vault or safe during alerts or disaster periods. The Chief, Agents Accounts Branch, shall give this matter his personal attention and shall be held accountable for the proper protection of the records.

§ 67.36 Interest.

(a) *Rate.* Postal savings certificates shall bear interest at the rate of one-half of one percentum for each period of three full months from the date of issue.

(b) *Interest period.* (1) *"Three full months".* In computing interest, the term "three full months" shall be considered as follows:

(i) If a certificate was issued on the last day of the month, interest is due and payable on the last day of the month, regardless of the number of days in such month, except that:

(A) If the last day of the month falls on a Sunday or holiday, interest is not payable until the first day of the following month.

(B) If the certificate was issued February 28, interest is due and payable May 28, August 28, etc.

Interest on certificates issued August 31, therefore, would be due and payable November 30, February 28, and May 31.

(ii) If a certificate was issued other than on the last day of the month, interest is due and payable three months from the actual date of issue.

(A) If issued January 15, interest is due April 15.

(B) If issued February 1, interest is due May 1, etc.

(iii) When the computation of interest results in fraction of a cent, the fraction shall be dropped.

(c) *When paid.* Interest shall be paid only when the certificate is paid.

(d) This section applies to all outstanding deposit money orders and postal savings certificates issued prior to September 29, 1979.

(2 P.C.C. § 1134, 76A Stat. 39).

§ 67.37 Payment of postal savings certificates.

(a) *On demand at Office of the Treasurer.* Upon certification by a designated Agents Accounts Branch representative, postal savings certificates shall be authorized for payment only to the depositor by either cash through the Office of the Treasurer of the Panama Canal Commission or by a Panama Canal Commission check. In the case of a joint account, the certificates shall be payable to the signature of either of the depositors or the survivor. To terminate a joint account, all orders payable to the two persons jointly must be presented and cashed.

(b) *In person.* The certifcate shall be paid to the depositor on proper identification and certification by the designated Agents Accounts Branch representative. Payment may be made by cash only at the Office of the Treasurer or by a Panama Canal Commission check.

(c) *By mail.* (1) *Requisites.* Withdrawals may be made by mail, if the certificates are properly signed by the depositor and forwarded to the Chief, Agents Accounts Branch, and he is satisfied as to the identity of the depositor.

(2) *Manner of payment.* Payment shall be made by check, which shall be sent by registered mail. Before mailing the payment, the registry fee and postage, shall be deducted.

(d) *Payment of certificates of deceased depositors.* (1) *Payment to representative.* After the death of a depositor, certificates in his or her favor shall be paid to the duly authorized

executor or administrator of the estate or other person only upon the authority of the Chief, Agents Accounts Branch. When it is known that a depositor has died, the stubs should be "flagged" and held to the credit of the deceased depositor.

(2) *Survivor of joint depositors.* After the death of either of two joint depositors, when a "Joint Depositor's Agreement" has been completed, the certificates remaining unpaid become the sole property of the survivor and may be paid to the survivor without the authority of the Chief, Agents Accounts Branch.

(e) *Payment of certificates to incompetent depositors.* In cases of mental disability or other legal incompetence of a depositor, the Chief, Agents Accounts Branch should contact the General Counsel of the Panama Canal Commission for instructions.

(f) *Identification.* The person presenting a postal savings certificate must identify himself before payment is made. Section 67.15(e) covering payment of money orders, shall govern in the payment of postal savings certificates.

§ 67.38 General procedures for payment of postal savings certificates.

(a) *Examination of the certificate.* Postal savings certificates presented for payment must be validated by the designated Agents Accounts Branch representative prior to effecting payment. The representative shall examine the certificate and compare it with all particulars on the post office stub and the list of outstanding certificates to ascertain if the certificate is valid for payment and if the certificate is in order. A payment authorization will be prepared and forwarded to the Office of the Treasurer.

(b) *Signatures.* The certificate shall be signed by the depositor on the back in the presence of the Panama Canal Commission cashier who shall verify all particulars entered thereon. When in doubt, a signature should be verified with that which appears on the corresponding application, joint account card or the representative of depositor's card (Form 2105). The person presenting the certificte must identify himself before payment is made. If a certificate is paid to the wrong person through lack of precaution, the paying cashier will be held accountable for the amount of the certificate.

(c) *Interest Due.* (1) *Notation of interest.* When a certificate is paid, the total amount of interest due shall be shown in red ink in the "Interest" block of the certificate and stub of the postal savings certificate. When no interest is paid, a straight line in red ink shall be drawn across the "Interest" blocks. Once the amount of interest is written on the certificate, no change or alteration shall be permitted.

(2) *Errors.* (i) *Underpayment of interest.* If an underpayment of interest has been made after figures have been entered in the interest block on a certificate, paying cashier shall receive a payment voucher Panama Canal Commission Form 5128 for cash payment from the depositor when the additional amount is paid to him. The payment voucher shall be returned to Agents Accounts Branch for their office records. Requests for payment by check shall be accomplished on Panama Canal Commission Form 3162. The amount of unpaid interest shall not be set aside for the depositor pending his response to a notice to call, and credit shall not be taken until the short payment has actually been made to the depositor.

(ii) *Overpayment of Interest.* The Chief, Agents Accounts Branch will establish procedures for the recovery of overpayments.

(d) *Date of payment.* A clear impression of the Agent's stamp shall be placed in proper space on back of the certificate and on the back of the corresponding office stub. The date affixed by the cashier shall be the actual day of payment.

(e) *Initiating paid certificates.* The Chief, Agents Accounts Branch shall establish procedures for identifying paid savings certificates, specifically as it relates to the original certificates and corresponding stub.

(f) *Issuance of duplicate as precluding payment.* The original postal savings certificate shall NOT be paid under any circumstances if a duplicate postal savings certificate was issued prior to September 29, 1979.

(g) *Filing paid stubs.* The stubs of paid certificates shall be filed in numerical sequence in a file covering the calendar year in which paid.

(h) *Final determination regarding payment.* Final determination as to whether payment has been properly made on postal savings certificates or other evidences of deposit in the postal savings of the former Canal Zone Postal Service including duplicates, shall be based upon the official records of Agents Accounts Branch.

Cross Reference.—Rate of interest, see § 67.36.

§ 67.39 Privacy of accounts.

Agents Accounts Branch employees shall not disclose the name of any postal savings depositor nor give information concerning a particular account to any person other than the depositor himself, without specific authority from the Chief, Agents Accounts Branch.

§ 67.40 Claims.

(a) *Dispute as to ownership or claim by another person.* When there is any dispute as to the ownership, or when a claim by a person other than the depositor is made for payment, the designated Agents Accounts Branch representative shall withhold payment authorization of withdrawals from the account involved pending instructions from the Chief, Agents Accounts Branch.

(b) *Limitations on claims.* All claims for payment of any postal savings certificate or other evidence of deposit in the postal savings system of the former Canal Zone Postal Service issued prior to October 1, 1979, including duplicates, which are shown by the records in the possession of the Agents Accounts Branch to have been duly paid, shall be barred if not presented to the Panama Canal Commission within six years from the date on which such records show that they were paid.

§ 67.41 Disposal of paid postal savings certificates.

Postal savings certificates or other evidences of deposit in the postal savings system of the former Canal Zone Postal Service, including duplicates, may be disposed of after the expiration of six years from date payment thereon has been made as shown by the records of the Panama Canal Commission.

§ 67.42 Replacement of certificates.

Duplicate postal savings certificates shall not be issued after September 28, 1979. A postal savings certificate that is lost, stolen, destroyed or improperly withheld, shall be paid by cash or check to the depositor, in accordance with the procedures established by this subpart.

§ 67.43 Payment of duplicate certificate.

A duplicate postal savings certificate issued prior to September 29, 1979 may be paid at the Office of the Treasurer, under the same conditions governing the payment of the original postal savings certificate.

§ 67.44 Disposition of recovered certificate.

If, after a duplicate postal savings certificate was issued, the depositor reports that he has found the original certificate, he shall be instructed to surrender the original certificate. The certificate surrendered shall be endorsed with the word "Canceled" across its face and retained at Agents Accounts Branch as office records.

PART 69—[REVOKED]

16. Part 69 is revoked.

PART 70—RULEMAKING

17. Part 70 is amended by revising the citation of authority to read as follows:

* * * * *

Authority.—Secs. 1102 and 1604, Pub. L. 96-70, 93 Stat. 458-490.

PART 101—ARRIVING AND DEPARTING VESSELS: VARIOUS QUARANTINE, CUSTOMS, IMMIGRATIONS AND ADMEASUREMENT REQUIREMENTS

18. Part 101 is amended by revising the citation of authority; by revising the heading of § 101.3; redesignating §101.3 as paragraph 101.3(b) and adding a new paragraph 101.3(a); and by revoking § 101.14. As revised, Part 101 reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 101.3 Definition and functions of boarding officer.

(a) "Boarding officer" means any official or employee of the Panama Canal Commission who is duly assigned the function(s) of a boarding officer, including admeasurement and quarantine.

(b) The boarding officer shall perform the functions of admeasurer for the purpose of determining Panama Canal tolls; and shall make inspections for the purpose of insuring compliance with quarantine regulations.

* * * * *

§ 101.14 [Revoked]

PART 103—GENERAL PROVISIONS GOVERNING VESSELS

19. Part 103 is amended by revising the citation of authority and by revoking § 103.42. As amended, the citation of authority reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 103.42 [Revoked]

PART 105—PILOTAGE

20. Part 105 is amended by revising the citation of authority and by revoking § 105.7. As amended, the citation of authority reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 105.7 [evoked]

PART 107—MANNING OF VESSELS: REQUIREMENTS CONCERNING OFFICERS AND CREW

21. Part 107 is amended by revising the citation of authority and by revoking § 107.7. As amended, the citation of authority reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 107.7 [Revoked]

PART 109—ENTERING AND PREPARING TO ENTER THE LOCKS

22. Part 109 is amended by revising the citation of authority and by revoking § 109.8. As amended, the citation of authority reads as follows:

* * * * *

Authority.—Issued under authority vested in the President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

§ 109.8 [Revoked]

PART 111—RULES FOR THE PREVENTION OF COLLISIONS

23. Part 111 is amended by revising the citation of authority, adding a second sentence to § 111.2(a) and revoking subpart F. As amended, Part 111 reads as follows:

* * * * *

Authority.—Issued under authority vested in President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 111.2 Definitions.

* * * * *

(a) "Vessel" includes every description of watercraft, other than a seaplane on the water, used or capable of being used as a means of transportation. "Public vessel(s)" includes men-of-war and other vessels operated by or for the Government of any nation in the performance of governmental, as distinguished from proprietary functions.

* * * * *

Subpart F—[Revoked]

PART 113—HAZARDOUS CARGOES

24. Part 113 is amended by revising the citation of authority and revoking subpart E. As amended, Part 113 reads as follows:

* * * * *

Authority.—Issued under authority vested in President by § 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

Subpart E—[Revoked]

PART 115—BOARD OF LOCAL INSPECTORS: COMPOSITION AND FUNCTIONS

25. Part 115 is amended by revising the citation of authority and § 115.2(a) (1), (2), and (3) to read as follows:

* * * * *

Authority.—Issued under authority vested in President by § 1418, Pub. L. 96-70, 93 Stat. 487; EO 12173, 44 FR 69271.

* * * * *

§ 115.2 Composition of Board.

(a) * * *

(1) Chairman, Board of Local Inspectors.

(2) Assistant Chairman, Board of Local Inspectors, as member.

(3) Chief, Canal Support Division, as member.

* * * * *

PART 117—MARINE ACCIDENTS: INVESTIGATIONS; CONTROL; RESPONSIBILITY

26. Part 117 is amended by revising the citation of authority and revoking § 117.7. As amended, Part 117 reads as follows:

* * * * *

Authority: Issued under authority vested in President by §§ 1417, 1418, Pub. L. 96-70, 93 Stat. 487; EO 12173, 44 FR 69271.

* * * * *

§ 117.7 [Revoked]

PART 119—LICENSING OF OFFICERS

27. Part 119 is amended by revising the citation of authority and revoking subpart G. As amended, the citation of authority reads as follows:

* * * * *

Authority: Issued under authority vested in President by §§ 1801, Pub. L. 96-70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

Subpart G—[Revoked]

PART 121—INSPECTION AND REGISTRATION OF VESSELS

28. Part 121 is amended by revising the citation of authority and revoking subpart D. As amended, Part 121 reads as follows:

* * * * *

V 44 DE 1 19 79 UMI

Authority: Issued under authority vested in President by §§ 1801, 1811, 1812, and Pub. L. 96–70, 93 Stat. 492, 493; EO 12173, 44 FR 69271.

Subpart D—[Revoked]

PART 123—RADIO COMMUNICATION

29. Part 123 is amended by revising the citation of authority and by revoking § 123.12. As amended, Part 123 reads as follows:

* * * * *

Authority: Issued under authority vested in President by § 1801, Pub. L. 96–70, 93 Stat. 492; EO 12173, 44 FR 69271.

* * * * *

§ 123.12 [Revoked]

PART 125—SANITARY REQUIREMENTS; VESSEL WASTES; GARBAGE; BALLAST

30. Part 125 is amended by revising the citation of authority and revoking § 125.5. As amended, Part 125 reads as follows:

* * * * *

Authority: Issued under authority vested in President by §§ 1701 and 1801, Pub. L. 96–70, 93 Stat. 492; EO 12173, 44 FR 69271.

§ 125.5 [Revoked]

PART 127—[REVOKED]

31. Part 127 is revoked.

PART 133—TOLLS FOR USE OF CANAL

32. Part 133 is amended by revising the citation authority and amending § 133.1 to read as follows:

* * * * *

Authority: Issued under authority vested in President by § 1601, Pub. L. 96–70, 93 Stat. 489; EO 12173, 44 FR 69271.

* * * * *

Subpart A—Rates of Toll

§ 133.1 Rates of toll.

The following rates of toll shall be paid by vessels using the Panama Canal:

(a) On merchant vessels, yachts, army and navy transports, colliers, hospital ships, and supply ships, when carrying passengers or cargo, $1.67 per net-vessel ton of 100 cubic feet each of actual earning capacity—that is, the net tonnage determined in accordance with Part 135 of this chapter.

(b) On vessels in ballast without passengers or cargo, $1.33 per net-vessel ton.

(c) On other floating craft including warships, other than transports, colliers, hospital ships, and supply ships, $0.93 per ton of displacement.

PART 135—RULES FOR MEASUREMENT OF VESSELS

33. Part 135 is amended by revising the citation of authority to read as follows:

* * * * *

Authority:—Issued under authority vested in President by § 1601, Pub. L. 96–70, 93 Stat. 489; EO 12173, 44 FR 69271.

* * * * *

PART 201—JUDICIARY

34. Part 201 is amended by revising the citation of authority and revoking and reserving §§ 201.1 and 201.2. As amended, Part 201 reads as follows:

Authority:—Section 201.3 issued by the President under 3 P.C.C. 5, 41, and 45, 76A Stat. 52 and 53; §§ 201.4, 201.5 and 201.6 issued under authority vested in the President by 3 P.C.C. 86, 76A Stat. 55; §§ 2202 and 2203, Pub. L. 96–70, 93 Stat. 494.

* * * * *

§ 201.1 [Reserved]

§ 201.2 [Reserved]

PART 251—REGULATIONS OF THE PRESIDENT OF THE UNITED STATES

35. Part 251 is amended by revising the citation of authority to read as follows:

* * * * *

Authority:—Issued under authority vested in President by Chapter 2, Pub. L. 96–70, 93 Stat. 461 et seq.; EO 12173, 44 FR 69271.

* * * * *

PART 253—REGULATIONS OF THE SECRETARY OF THE ARMY

36. Part 253 is amended by revising the citation of authority to read as follows:

* * * * *

Authority:—Issued under authority vested in President by Chapter 2, Pub. L. 96–70, 93 Stat. 461 et seq.; EO 12173, 44 FR 69271.

* * * * *

Dated: December 7, 1979.

D. P. McAuliffe,

Administrator, Panama Canal Commission.

[FR Doc. 79–38798 Filed 12–18–79; 8:45 am]

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Wednesday
December 19, 1979

Part IV

Department of Housing and Urban Development

Office of the Assistant Secretary for Community Planning and Development

Community Development Block Grants for Indian Tribes and Alaska Natives, Housing Assistance Plan (HAP)

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Office of the Assistant Secretary for Community Planning and Development

24 CFR Part 571

[Docket No. R-79-745]

Community Development Block Grants for Indian Tribes and Alaska Natives, Housing Assistance Plan (HAP)

AGENCY: Department of Housing and Urban Development.

ACTION: Proposed rule.

SUMMARY: This amendment applies the Housing Assistance Plan (HAP) of the Community Development Block Grant Program to eligible Indian Tribes, including Alaska Natives. It is necessary because the 1977 statutory amendments to the Block Grant Program contain special provisions for Indian Tribes. These HAP regulations are intended to make the program flexible and responsive to the special needs, cultural traditions and legal circumstances of Indian Tribes.

DATE: Comment due date: February 19, 1980.

ADDRESSES: Send comments to: Rules Docket Clerk, Office of General Counsel, Room 5218, Department of Housing and Urban Development, 451 7th Street, SW., Washington, D.C. 20410. Each person submitting a comment should include his/her name and address, refer to the document by the docket number indicated by the headings, and give reasons for any recommendation. Copies of all written comments received will be available for examination by interested persons in the Office of the Rules Docket Clerk, at the address listed above. The proposal may be changed in the light of comments received.

FOR FURTHER INFORMATION CONTACT: Donald G. Dodge, Director, Office of Policy Planning, Office of Community Planning and Development, (202) 755-6090. (This is not a toll-free number.)

SUPPLEMENTARY INFORMATION:

General

Section 107(a)(7) of the Housing and Community Development Act of 1977 (42 U.S.C. 5301 *et seq.)* established a separate Community Development Block Grant Program for Indian Tribes, including Alaska Natives. Interim regulations, covering the entire CDBG program for Indian Tribes, were published on March 28, 1978 (43 FR 12222) and a final rule was published on December 15, 1978 (43 FR 58734). The final rule, however, specifically reserved §§ 571.305(d) and 571.405(e)—The Housing Assistance Plan. Because there are substantive changes in §§ 571.305(d) and 571.405(e) from the interim rule, the Department has determined to publish the amendments as a proposed rule to permit public comment. A discussion of the major changes are set forth according to subject matter.

Housing Standards

The interim regulations required that rehabilitation or repair of units comply with HUD standards and applicable Indian Housing Authority standards. The new provision requires compliance with HUD's housing quality standards rather than with the minimum property standards (MPS). HUD's housing quality standards set out broad housing quality objectives rather than specific measurements as contained in the MPSs. In addition to the housing quality standards, the applicant may establish its own measurement criteria to meet quality objectives.

Housing Conditions Data

Applicants may undertake surveys to determine the condition of reservation housing or use available data from the BIA, Census or other reliable sources. In using available data, the standards used by the source in its data collection will prevail.

Applicants are encouraged to go beyond the minimal requirements of §§ 571.305(d) and 571.405(e) and address the problems of special Tribal groups in their data collection and goal-setting processes.

HAP Waiver

Upon a request from the applicant, HUD may waive the HAP requirements if the required data is unavailable to applicants. It is intended that this authority will be delegated to appropriate Regional and Area Office officials by publication of notice in the **Federal Register** on or about the effective date of these regulations.

Basic vs. Comprehensive Grants

The same requirements are imposed for Comprehensive Grants § 571.405(e)) as for Basic Grants (§ 571.305(d)) with the exception of a three year rather than a one year goal.

Special Information

A Finding of Inapplicability with respect to environmental impact has been prepared in accordance with "Procedures for Protection and Enhancement of Environmental Quality". The finding is available for inspection and copying in the Office of the Rules Docket Clerk, HUD, Washington, D.C.

This is a significant rule which was listed on this Department's August 1, 1979 Agenda of Significant Regulations as Community Planning and Development item No. 4.

For the reasons described above, 24 CFR 571.305(d) and 571.405(e) are revised to read as follows:

§ 571.305 Application requirements.

* * * * *

(d) *Housing Assistance Plan.* Applicants for assistance under this Part are required to submit a Housing Assistance Plan. The information provided in a Housing Assistance Plan should be quantified as much as possible and all data provided shall meet the standards set forth in § 571.300(b). Housing Assistance Plans shall include the following:

(1) A description of existing housing conditions indicating the number of standard and substandard permanent nonseasonal dwelling units by tenure (i.e. owner-occupied and renter-occupied). For purposes of establishing reservation housing conditions, the applicant may choose one of the housing condition standards in existence or devise a standard of its own. However, the standards selected shall meet or exceed HUD's housing quality standards. The description of reservation housing stock may be derived from a data source selected by the applicant. The applicant shall indicate the date and source of the data used including any surveys it may undertake;

(2) A determination of housing needs by tenure which identifies:

(i) Units needing rehabilitation,

(ii) Units needing replacement, and

(iii) Additional units needed.

Applicants are encouraged to identify and plan for any special housing needs which may exist on their reservations. Minimally, applicants shall address the following special needs:

(A) Overcrowded Reservation housing;

(B) Requests by off-reservation Indians to move into reservation housing; and

(C) Elderly and handicapped.

(3) A listing of firm financial commitments obtained by the applicant to finance the new construction or rehabilitation of units, by tenure type. Commitments shall be indicated by resource agency (e.g., HUD, BIA, FmHA, etc.);

(4) A statement of housing goals which the applicant intends to achieve with its Basic Grant (one year goals) or its Comprehensive Grant (three year goals). The goals shall include the number of standard units to be achieved through new construction and rehabilitation, by tenure type. The applicant may choose to go beyond the minimal requirements in its HAP and identify the housing needs of female-headed households, households expected to be displaced, families living in traditional Indian houses, and other special groups;

(5) A strategy, in narrative form, for implementing its HAP. The strategy shall list housing priorities in rank order, identify known obstacles to implementing the HAP and their means of resolution, describe locations of existing and proposed housing and their coordination with other existing and proposed development, indicate any Tribal assistance to be provided, and identify State and local governmental bodies with whom the applicant has coordinated in preparing its HAP.

(6) Applicants proposing to rehabilitate any housing shall provide for frequent interim and final inspections by qualified, objective inspectors.

(7) The requirements of § 571.305(d) and § 571.405(e) may be waived by the Secretary of designee in the event all or a significant portion of the required data is unavailable and the Tribe cannot undertake its own survey prior to the submission deadline or cannot affort to do so. Applicant is responsible for initiating waiver request.

(8) If only an insignificant portion of the required data is unavailable, the applicant should use estimates rather than request a waiver of the entire Housing Assistance Plan. When data is incomplete, the applicant shall decide whether estimating or a waiver request is most appropriate.

(9) Applicants shall report the information for the Housing Assistance Plan on a form prescribed by the Secretary.

§ 571.405 Full application requirements.

* * * * *

(e) *Housing Assistance Plan.* Applicants for assistance under this Subpart are required to submit a Housing Assistance Plan as described in § 571.305(d), but with three year, rather than one year, goals.

Issued at Washington, D.C., November 27, 1979.

Robert C. Embry, Jr.,

Assistant Secretary for Community Planning and Development.

Draft

U.S. Department of Housing and Urban Development, Community Development Block Grant Program

Housing Assistance Plan for Indians and Alaska Natives

In recognition of the special conditions and needs which exist on Indian Reservations and in Native Alaskan Villages, HUD has designed a special Housing Assistance Plan (HAP) form and accompanying instructions for implementing §§ 571.305(d) and 571.405(e) of the Indian block grant regulations. Indian Tribes and Alaska Natives (hereafter called applicants) applying for Basic Grants and Comprehensive single or multi-year Grants under the Indian Community Development Block Grant Program shall complete this newly-designed HAP.

Data Sources: Applicants are encouraged to search out and use the most current available data and, if possible, to conduct their own housing surveys. Data sources and their usefulness will vary from one applicant to another, but generally available sources include special tabulations from the U.S. Census Bureau, HUD (the Economic and Market Analysis Division of the Area Office or where applicable the Regional Office of Indian Programs), Indian Housing Authorities (IHAs), Farmers Home Administration (FmHA), State agencies and the Bureau of Indian Affairs (BIA). BIA's annual housing inventory is conducted for most Indian entities and, together with HUD field office data, can be used to answer all the Housing Conditions and Housing Needs questions for each Federal program resource (see Appendix A). Data can be obtained from local BIA Agency Office; if not, the BIA Division of Housing Assistance in Washington, D.C. is ready to assist all applicants (phone no.: (202) 343-4876).

Incomplete Data: Applicant's missing all or part of the data required by the HAP have two choices. If all or a significant portion of the required data is unavailable, the applicant should request a HAP waiver from HUD. Such requests shall be made to the HUD regional administrator and shall explain why the data are not available and list the data sources explored. For a list of the criteria that will be used to judge waiver requests, see the Indian and Alaska Natives CDBG regulations, 24 CFR 571.305(d)(7).

If only an insignificant portion of the required data is unavailable, the applicant should use estimates for the missing data items. When estimates are used on the HAP form, they should be marked with an asterisk (*).

For the applicant with incomplete data, the decision to estimate or request a HAP waiver will necessitate a judgment on the degree of significance of the missing data. This judgment and decision is left to the applicant.

Beyond HAP Data Requirements: The HAP has been designed to fit available data sources (principally the BIA annual housing inventory) so that applications can be made without undertaking extensive data collections. However, the HAP data requirements represent the minimum information necessary to create good housing and community development plans. Applicants are encourged to go beyond the minimum and conduct detailed studies of special housing needs. These studies might include, for example, the needs of large families, the elderly, the handicapped, female-headed households, migrant workers, and families expected to be displaced by public or by private action.

Instructions for Preparing the Housing Assistance Plan

Upper Portion of the HAP Form

The upper portion of the HAP form, composed of Boxes 1 through 5, should be filled out as follows:

Box 1: Enter the name of the applicant (i.e. name of the Indian Tribe as defined in Section 571.3(o), including Alaskan Indians, Aleuts, Eskimos or Alaskan Native Villages considered eligible under this definition).

Box 2: Enter the application/grant number assigned by the HUD Area Office.

Box 3: Enter the period of applicability (i.e. month and year). If the applications is for a Basic Grant the period will be one year; for a Comprehensive Grant—three years.

Box 4: Check "Original" if this is the first HAP to be submitted for this fiscal year and enter the date. Check and circle "Revision/Amendment" if this form indicates a change in the original HAP, either prior to or after approval, and enter the submission date.

Box 5: Enter the source and date of the data used (e.g., BIA, Census, Tribal Survey, etc.).

Table Portion of the HAP Form

The table is composed of 13 rows (numbered 6 to 18 for reference) and 11 columns (labeled a through k). Each box in the table can thus be identified according to its row number and column

letter (e.g., the Box in the upper-left corner of the table is Box 6a).

The columns indicate Federal agency housing resources programs grouped according to tenure. Column "a" represents the total number of housing units for those programs focused on owner-occupancy; column "h" represents the total units for those programs focused on rental occupancy.

Column "b", "Mutual Help" also includes any Turnkey III units which should be so identified. Column "c", CDBG, includes both barrier removal activities for assisting the handicapped and rehabilitation activities. Column "d", Other HUD, includes 203(b), 235 and Disaster programs. Column "e", BIA, includes the HIP (Housing Improvement Program), Direct Loans, and Tribal Relending Programs. Column "f", FmHA, includes the Section 502, 504 and 515 programs. Column "g", Other, includes other Federal, State, Local, private or Tribal housing resources. Column "i", IHA, indicates HUD's Indian Housing Authority program. Column "j", Other HUD, includes Sections 8, 23, 202 and 236.

Housing Conditions: Appendix B contains a series of HUD policy statements on housing quality standards. The applicant may choose one of these housing condition standards or devise a standard of its own. However, the standard selected shall meet or exceed HUD's housing quality standards.

Applicants using BIA's annual housing inventory form as their data source are referred to the BIA's criteria for standard housing conditions. The BIA conditions criteria are set forth in 25 CFR, Chapter I, Sub-Chapter X, Part 261 (see Appendix C).

Applicants not choosing to use BIA data may adopt other existing criteria (e.g., U.S. Census criteria—Apperdices D and E) or, with prior HUD approval, establish their own criteria to fit their unique needs and environment. Overcrowding, however, shall not be used to judge housing as physically substandard. Overcrowding is addressed in Row 12.

Although an applicant may select its own standards for evaluating the condition of its existing housing, the standards for rehabilitation and new construction will be determined by the Federal or private agency program from which the applicant receives financial assistance. Since the standards of each program differ, adjacent reservation units funded by more than one agency, for example, could be rehabilitated to different standards. This is a continuing problem that HUD is trying to address.

Row 6: Enter the total number of existing housing units within the applicant's jurisdiction. For owner-occupied units the total can be obtained by adding together the numbers in Boxes 7a and 8a and entering the sum in Box 6a. For renter-occupied units the total can be obtained by adding the numbers in Boxes 7h and 8h and entering the sum in Box 6h.

Applicants using a data source other than BIA must insure that their housing count includes only permanent non-seasonal dwelling units. HUD defines permanent housing as units occupied at least nine months of the year. Families that seasonally occupy two residences should not be double-counted.

Row 7: Enter the total number of housing units in standard condition within the applicant's jurisdiction. For applicants using the BIA data this information can be obtained from column 2 of the BIA's annual housing inventory form. The total should be broken down by owner-occupied units (Box 7a) and renter-occupied units (Box 7h).

Row 8: Enter the total number of substandard housing units within the applicant's jurisdiction. This data can be obtained from column 3 of the BIA's annual housing inventory form. The total should be broken down by owner-occupied units (Box 8a) and renter-occupied units (Box 8h).

Housing Needs:

Row 9: Enter the total number of housing units to be rehabilitated, repaired and constructed within the applicant's jurisdiction. For owner-occupied units the total can be obtained by adding together the numbers in Boxes 10a, 11a, and 12a and entering the sum in Box 9a. For renter-occupied units, add Boxes 10h, 11h, and 12h and enter the sum in Box 9h.

Row 10: Enter the total number of additional housing units required to alleviate overcrowded conditions on the Reservation. For purposes of completing this HAP, overcrowded reservation units should be defined as those units occupied by two or more families which would normally be occupied by a single family; or those units occupied by a family where because of inadequate space the tribe determines that additional rooms are needed.

Where the overcrowded housing needs will be met by additional units, enter the number of units by owner-occupied (Box 10a) and renter-occupied (Box 10h). Where the needs will be met by rehabilitaion of existing units see Row 11 instructions.

For applicants using the BIA data, the number of additional units needed can be obtined from Column 8 of the BIA annual housing inventory. The Total should be recorded in the HAP form by owner-occupied units (Box 10a) and renter-occupied units (Box 10h).

Row 11: Enter the total number of housing units in substandard condtion which are physically and economically appropriate for rehabilitation to standard condtion. Units which will be rehabilitated to relieve overcrowding, as defined in Row 10, should also be included in Row 11.

For applicants using the BIA data, the total number of these salvageable units suitable for rehabilitation can be obtained from Column 5 of the BIA annual housing inventory. This total should be recorded in the HAP form by owner-occupied units (11a) and renter-occupied units (11h).

Row 12: Enter the total number of housing units in substandard condition where replacement, rather than rehabilitation, is physically and economically the best-solution. These units may be demolished or repaired temporarily.

Interim repairs are temporary repairs designed to briefly extend the life of a substandard house for less than five years. Interim repairs should only be made on units needing replacement if demolition will result in displacement and hardship to the occupants because additional housing is not available.

For applicants using the BIA data, the number of units needing replacement can be obtained from Column 7 of the BIA annual housing inventory. This total should be reported as two subtotals in the table according to the number of owner-occupied units (Box 12a) and renter-occupied units (Box 12h).

Housing Commitments:

Row 13: Enter the total number of units for which a firm financial commitment has been made from the various public and private agencies in the columns. For owner-occupied units the total can be obtained by adding together the number of rehabilitation commitments (Box 14a) and the number of new construction commitments (Box 15a) and entering the sum in Box 13a.

For renter-occupied units the procedure is the same. The total can be obtined by adding together the number of commitments for rehabilitated units (Box 14h) and the number of new construction committments (Box 15h) and entering the sum in Box 13h.

The nature of a firm financial commitment varies from program to program but, as a minimum should be an official document obligating financial support for specific units. Examples of firm financial commitments are as follows:

HUD's Indian Public Housing program—an Annual Contribution Contract;

HUD's Section 8 program—selection of a preliminary proposal or application approval; or

BIA's Housing Improvement Program—application approval.

Applicants for the Basic and Comprehensive Grants should include at least one year commitments in their HAPs. Applicants for the Comprehensive Grant should include three year commitment estimates where program appropriations are limited to an annual cycle. Applicants will not be held responsible for meeting their second and third year goals when Congress does not appropriate the anticipated funds

Row 14: Enter, in Boxes 14a and h, respectively, the total number of rehabilitation units for which firm financial commitments have been made by each public or private agency in Boxes 14b through g for owner-occupied units and Boxes 14i through k for renter-occupied units.

Row 15: Enter, in Boxes 15a and h, respectively, the total number of units of new construction for which firm financial commitments have been made by each public or private agency in Boxes 15b through g for owner-occupied units and Boxes 15i through k for renter-occupied units.

Housing Goals: Applicants should determine realistic housing assistance goals for the program year based on their housing conditions, needs and ability to secure firm financial commitments.Their methodology for formulting their goals shoud be indicated.

Applicants for Basic Grants should establish one year goals; applicants for Comprehensive Grants should establish three year goals which will be revised annually to reflect changes in Congressional appropriations. Housing Assistance goals should only reflect projected new firm financial commitments for assistance, not commitments obtained prior to application submission.

Goals will usually parallel the applicant's firm financial commitments, and in the case of Comprehensive Grants, established commitments. Goals may differ from commitments, however, if the applicant lacks capacity to fully utilize all of the commitments it has obtained.

Row 16: Enter the total number of units proposed for new construction or rehabilitation to meet the Housing Assistance Plan goals. For owner-occupied units, the total can be obtained by adding together the number of rehabilitated units to be achieved (Box 17a) and the number of units of new construction to be achieved (Box 18a). Enter the sum in Box 16a.

For renter-occupied units the total can be obtained by adding together the number of rehabilitated units to be achieved (Box 17h) and the number of units of new construction to be achieved (Box 18h). Enter the sum in Box 16h.

Row 17: Enter, in Boxes 17a and h respectively, the total numbers of rehabilitated units to be achieved for the one or three goal from boxes 17b through g for owner-occupied units and Boxes 17i through k for renter-occupied units.

Row 18: Enter, in Boxes 18a and h, respectively, the number of units of new construction to be achieved for the one or three year goal from Boxes 18b through g for owner-occupied units and Boxes 18i through k for renter-occupied units.

Housing Strategy: In a narrative form, the applicant should describe its strategy for implementing its Housing Assistance Plan. The following should be addressed:

A. List and quantify the types of housing needs to be met according to the applicant's priorities. The HAP, for example, might include the following activities rearranged by the applicant in rank order: the rehabilitation of hazardous housing, barrier removal for the elderly and handicapped, rehabilitation and new construction for large families, replacement of temporary housing such as mobile homes, new construction for off-reservation members, relocation of housing in flood plain areas, demolition, housing financing for female-headed households, and group housing for elderly or handicapped. The source of funding should accompany each priority;

B. Identify any known obstacles to implementing the HAP (e.g., lack of utilities, roads, pure water; displacement problems) and strategies to overcome them;

C. Indicate the locations of existing and proposed housing as specifically as possible. A map should be provided if available and appropriate;

D. Describe how the locations of proposed housing will be coordinated with other existing and proposed facilities (roads, water and sanitation, recreation, health, education, shopping, employment centers, etc.) and how the proposed facilities will be funded;

E. Identify those forms of cooperation and assistance which the Tribal government or any of its agencies will provide (e.g. land, land title clearance, construction, labor, etc.);

F. Indicate those public and private agencies with whom the applicant has coordinated in preparing its Housing Assistance Plan. Coordination includes a review of current State, regional, local and Tribal plans, discussions with these agencies, the HUD Field Office, BIA, IHS, etc. Any comments provided by these sources should be attached;

G. Indicate whether the tribe will provide referrals and assistance to persons desiring to leave the reservation by referring them to a non-Indian Public Housing Agency so that they might qualify for a public housing unit or for a certificate or participation in the Section 8 existing housing program.

BILLING CODE 4210-01-M

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U.S. Department of Housing and Urban Development
Community Development Block Grant Program

INDIAN AND ALASKA NATIVE
HOUSING ASSISTANCE PLAN

Summary Sheet

1. Name of Applicant: _____ 2. Applicant/Grant Number: B - ___ - ___ - ____

3. Period of Applicability: FY _____ 4. Submission: ____ Original ____ Revision/Amendment 5. Data Source: _____

From _____ To _____ Date _____ Survey Date: _____

	NUMBER OF HOUSING UNITS																					
	Total a	Owner-Occupied Units								Renter-Occupied Units												
		HUD				BIA	FmHA	Other		HUD						Other						
		Mutual Help b	CDBG c	Other HUD d		e	f	Va. State Local Pvt. Tribal g	Total h	IHA i	Other HUD j				Va. State Local Pvt. Tribal k						
HOUSING CONDITIONS																						
6. Total Existing Units																						
7. Standard Units																						
8. Substandard Units																						
9. HOUSING NEEDS Total Units Needed																						
10. Additional Units Needed																						
11. Units Needing Rehabilitation																						
12. Units Needing Replacement																						
HOUSING COMMITMENTS Total Units with Firm																						
13. Financial Commitment																						
14. Rehabilitation																						
15. New Construction																						
HOUSING GOALS Total Housing Goals																						
16. for 1 or 3 years																						
17. Rehabilitation																						
18. New Construction																						

19. HOUSING STRATEGY (Present narrative on attached sheet of paper)

BILLING CODE 4210-01-C

Appendix A.—*Anadarko Area Housing Inventory, Fiscal Year 1978; Sept. 30, 1978*

Agency/tribe	(1) Total number existing housing units	(2) Housing units in standard condition	(3) (Subtotal) substandard condition	(4) Housing units needing replacement	(5) Housing units needing renovation	(6) Total new housing units required	(7) Housing units needing replacement	(8) Families needing housing	M-H program applications: On hand	M-H program applications: Reviewed and approved	M-H program applications: Not reviewed
Anadarko Agency:											
Apache											
Caddo											
Comanche											
Delaware											
Fort Sill Apache											
Kiowa											
Wichita											
Other											
Total											
Concho Agency:											
Cheyenne-Arapaho											
Other											
Total											
Horton Agency:											
Iowa	83	49	34	16	18	81	16	65			
Kickapoo	104	69	35	25	10	110	25	85			
Potawatomi	139	39	100	40	60	165	40	125			
Sac & Fox	16	12	4	2	2	4	2	2			
Other	0	0	0	0	0	0	0	0			
Total	342	169	173	83	90	360	83	277			
Pawnee Agency:											
Otoe-Missouria											
Pawnee											
Ponca											
Tonkawa											
Other											
Total											
Shawnee Agency:											
Absentee-Shawnee											
Potawatomi											
Kickapoo											
Iowa											
Sac & Fox											
Other											
Total											
Anadarko area total											

Appendix B—HUD Housing Quality Standards—(7420.3 REV, App. 12)

§ 882.109 Housing quality standards.

Housing used in this program shall meet the Performance Requirements set forth in this section. In addition, the housing shall meet the Acceptability Criteria set forth in this section except for such variations as are proposed by the PHA and approved by HUD. Local climatic or geological conditions or local codes are examples which may justify such variations.

(a) *Sanitary Facilities.*—(1) *Performance Requirement.* The dwelling unit shall include its own sanitary facilities which are in proper operating condition, can be used in privacy, and are adequate for personal cleanliness and the disposal of human waste.

(2) *Acceptability Criteria.* A flush toilet in a separate, private room, a fixed basin with hot and cold running water, and a shower or tub with hot and cold running water shall be present in the dwelling unit, all in proper operating condition. These facilities shall utilize an approved public or private disposal system.

(b) *Food Preparation and Refuse Disposal.*—(1) *Performance Requirement.* The dwelling unit shall contain suitable space and equipment to store, prepare, and serve foods in a sanitary manner. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary.

(2) *Acceptability Criteria.* The unit shall contain the following equipment in proper operating condition: cooking stove or range and a refrigerator of appropriate size for the unit, supplied by either the Owner or the Family, and a kitchen sink with hot and cold running water. The sink shall drain into an approved public or private system. Adequate space for the storage, preparation and serving of food shall be provided. There shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

(c) *Space and Security.*—(1) *Performance Requirement.* The dwelling unit shall afford the Family adequate space and security.

(2) *Acceptability Criteria.* A living room, kitchen area, and bathroom shall be present;

and the dwelling unit shall contain at least one sleeping or living/sleeping room of appropriate size for each two persons. Exterior doors and windows accessible from outside the unit shall be lockable.

(d) *Thermal Environment.*—(1) *Performance Requirement.* The dwelling unit shall have and be capable of maintaining a thermal environment healthy for the human body.

(2) *Acceptability Criteria.* The dwelling unit shall contain safe heating and/or cooling facilities which are in proper operating condition and can provide adequate heat and/or cooling to each room in the dwelling unit appropriate for the climate to assure a healthy living environment. Unvented room heaters which burn gas, oil or kerosene are unacceptable.

(e) *Illumination and Electricity.*—(1) *Performance Requirement.* Each room shall have adequate natural or artifical illumination to permit normal indoor activities and to support the heatlh and safety of occupants. Sufficient electrical sources shall be provided to permit use of essential electrical appliances while assuring safety from fire.

(2) *Acceptability Criteria.* Living and sleeping rooms shall include at least one window. A ceiling or wall type light fixture shall be present and working in the bathroom and kitchen area. At least two electric outlets one of which may be an overhead light, shall be present and operable in the living area, kitchen area, and each bedroom area.

(f) *Structure and Materials.*—(1) *Performance Requirement.* The dwelling unit shall be structurally sound so as not to pose any threat to the health and safety of the occupants and so as to protect the occupants from the environment.

(2) *Acceptability Criteria.* Ceilings, walls and floors shall not have any serious defects such as severe bulging or leaning, large holes, loose surface materials, severe buckling or noticeable movement under walking stress, missing parts or other serious damage. The roof structure shall be firm and the roof shall be weathertight. The exterior wall structure and exterior wall surface shall not have any serious defects such as serious leaning, buckling, sagging, cracks or holes, loose siding, or other serious damage. The condition and equipment of interior and exterior stairways, halls, porches, walkways, etc., shall be such as not to present a danger of tripping or falling. Elevators shall be maintained in safe and operating condition. In the case of a mobile home, the home shall be securely anchored by a tiedown device which distributes and transfers the loads imposed by the unit to appropriate ground anchors so as to resist wind overturning and sliding.

(g) *Interior Air Quality.*—(1) *Performance Requirement.* The dwelling unit shall be free of pollutants in the air at levels which threaten the health of the occupants.

(2) *Acceptability Criteria.* The dwelling unit shall be free from dangerous levels of air pollution from carbon monoxide, sewer gas, fuel gas, dust, and other harmful air pollutants. Air circulation shall be adequate throughout the unit. Bathroom areas shall have at least one openable window or other adequate exhaust ventilation.

(h) *Water Supply.*—(1) *Performance Requirement.* The water supply shall be free from contamination.

(2) *Acceptability Criteria.* The unit shall be served by an approved public or private sanitary water supply.

(i) *Lead Based Paint.*—(1) *Performance Requirement.* (i) The dwelling unit shall be in compliance with HUD Lead Based Paint regulations, 24 CFR, Part 35, issued pursuant to the Lead Based Paint Poisoning Prevention Act, 42 U.S.C. 4301, and the Owner shall provide a certification that the dwelling is in accordance with such HUD Regulations.

(ii) If the property was constructed prior to 1950, the Family upon occupancy shall have been furnished the notice required by HUD Lead Based Paint regulations and procedures regarding the hazards of lead based paint poisoning, the symptoms and treatment of lead poisoning and the precautions to be taken against lead poisoning.

(2) *Acceptability Criteria.* Same as Performance requirement.

(j) *Access.*—(1) *Performance Requirement.* The dwelling unit shall be useable and capable of being maintained without unauthorized use of other private properties, and the building shall provide an alternate means of egress in case of fire.

(2) *Acceptability Criteria.* The dwelling unit shall be useable and capable of being maintained without unauthorized use of other private properties. The building shall provide an alternate means of egress in case of fire (such as fire stairs or egress through windows).

(k) *Site and Neighborhood.*—(1) *Performance Requirement.* The site and neighborhood shall be reasonably free from disturbing noises and reverberations and other hazards to the health, safety and general welfare of the occupants.

(2) *Acceptability Criteria.* The site and neighborhood shall not be subject to serious adverse environmental conditions, natural or manmade, such as dangerous walks, steps, instability, flooding, poor drainage, septic tank back-ups, sewage hazards or mudslides; abnormal air pollution, smoke or dust; excessive noise, vibration or vehiclar traffic; excessive accumulations of trash; vermin or rodent infestation; or fire hazards.

(l) *Sanitary Condition.*—(1) *Performance Requirement.* The unit and its equipment shall be in sanitary condition.

(2) *Acceptability Criteria.* The units and its equipment shall be free of vermin and rodent infestation.

(m) *Congregate Housing.* The foregoing standards shall apply except for paragraph (b) of this section, Food Preparation and Refuse Disposal. In addition the following standards shall apply:

(1) The unit shall contain a refrigerator of appropriate size.

(2) The central dining facility (and kitchen facility, if any) shall contain suitable space and equipment to store, prepare and serve food in a sanitary manner, and there shall be adequate facilities and services for the sanitary disposal of food wastes and refuse, including facilities for temporary storage where necessary (e.g., garbage cans).

Appendix C—BIA Definition of Standard Housing—(25 CFR, Ch. 1, Subch. X, Pt. 261)

(i) "Standard housing" means a dwelling in a condition which is decent, safe and sanitary so that it meets the following minimums:

(1) General construction conforms to applicable building standards for the region. Structures to be improved are to be in sound condition. Deterioration, if any, will not be at a level creating a health or safety hazard, or a comfort problem.

(2) The heating system has the capacity to maintain a minimum temperature of 70 degrees in the dwelling during the coldest weather in the area. It must be safe to operate and maintain and deliver a uniform distribution of heat. Applicable local heating codes are to be followed. If there are no applicable local codes, county or state codes are to be used as a guide

(3) The plumbing system includes a properly installed system of piping. Fixtures consist of a kitchen sink and a partitioned bathroom with lavatory, toilet and bath and/or shower. The water supply, plumbing and sewage disposal systems meet minimum standards of the Indian Health Service, tribe, county or state whichever is applicable.

(4) The electrical system includes wiring and equipment properly installed to safely supply electrical energy for adequate lighting and for the operation of appliances. The tribal, county, or state electrical code, whichever is applicable, must be used as an alternative standard. If no codes exist, a minimum of two circuits per dwelling must be installed with provision for at least one additional circuit for future use.

Appendix D—Excerpts From the 1970 Census of Housing

Federal and local housing agencies have customarily used statistics on structural condition in combination with the availability of plumbing facilities to provide one of the key criteria for measuring the adequacy of the Nation's housing. "Substandard" housing has been defined by these agencies to include housing units that lacked some or all plumbing facilities for exclusive use and those that had all plumbing facilities for exclusive use but which were rated as "dilapidated."

A unit has all plumbing facilities when it has hot and cold piped water, as well as a flush toilet and a bathtub or shower inside the structure for the exclusive use of the occupants of the unit.

"Lacking some or all plumbing facilities" means that the unit does not have all three specified facilities, or that the toilet and bathing facilities are also for the use of the occupants of other housing units.

The category "dilapidated with all plumbing facilities" consists of dilapidated units which had all three specified plumbing facilities: Hot and cold piped water, as well as a flush toilet and a bathtub or shower inside the structure for the exclusive use of the occupants of the unit.

All facilities must be located in the structure. They need not be in the same room. Facilities are for the exclusive use of the occupants when they are used only by the occupants of one housing unit, including

lodgers or other unrelated persons living in the unit. When a structure consists of only one housing unit, all equipment located inside the structure is classified, by definition, for exclusive use.

Information on structural condition of housing was collected in the 1940, 1950, and 1960 decennial censuses. In the 1950 census, enumerators classified housing units as "dilapidated" or "not dilapidated." In 1960, units were categorized as "sound," "deteriorating," or "dilapidated." This information was obtained by having census enumerators rate the physical condition of each housing unit in the United States.

In the 1970 Census of Population and Housing, information was collected about the availability of plumbing facilities, but not about the structural condition of the housing unit. Evaluation of the 1950 and 1960 censuses showed the data on condition to be unreliable and inaccurate. Furthermore, experiments with methods of self-enumeration of condition showed them to be unsatisfactory.

Research has indicated, however, that a sample survey which uses groups of selected and highly trained enumerators and better controlled procedures would provide data on "substandardness" for the United States and regions as reliable as the results of a decennial census and at much lower cost.

As stated in the introductory text, the 1980 question on condition of housing unit was eliminated from the basic 1970 Census of Population and Housing questionnaires. In the 1960 census and in the 1970 sample survey of Components of Inventory Change, the enumerator classified each housing unit into own of three categories: Sound, deteriorating, or dilapidated.

Sound housing is defined as that which has not defects, or only slight defects which would normally be corrected during the course of regular maintenance. Deteriorating housing has one or more defects of an intermediate nature that must be corrected if the unit is to continue to provide safe and adequate shelter.

Dilapidated housing does not provide safe and adequate shelter and in its present condition endangers the health, safety, or well-being of the occupants. Such housing has (a) one or more critical defects; or (b) has a combination of minor defects in sufficient number or extent to require considerable repair or rebuilding; or (c) is of inadequate original construction. The defects are either so critical or so widespread that the housing unit is below the generally accepted minimum standard for housing and should be torn down, extensively repaired, or rebuilt.

A critical defect is serious enough in itself to warrant classifying a unit as dilapidated. Examples of critical defects are: holes, open cracks, or rotted, loose, or missing material (clapboard siding, shingles, bricks, concrete, tile, plaster, or floorboards) *over a considerable area* of the foundation, outside walls, roof, chimney, or inside walls, floors, or ceilings; substantial sagging of floors, walls, or roof; and extensive damage by storm, fire, or flood.

To be classified as dilapidated on the basis of minor defects, a housing unit must have such defects in sufficient number or extent that it no longer provides safe and adequate shelter. No set number of minor defects is required.

Examples of minor defects are: holes, open cracks, or rotted, loose, or missing materials in the foundation, walls, roof, floors, or ceilings but *not over a considerable area;* shaky or unsafe porch, steps, or railings; several broken or missing windowpanes; some rotted or loose window frames or sashes that are no longer rainproof or windproof; broken or loose stair treads, or broken, loose or missing risers, balusters, or railings of inside or outside stairs; deep wear on doorsills, doorframes, outside or inside steps or floors; and damaged, unsafe, or makeshift chimney such as a stovepipe or other uninsulated pipe leading directly from the stove to the outside through a hole in the roof, wall, or window. Such defects are signs of neglect which lead to serious structural deterioration or damage if not corrected.

Inadequate original construction includes: shacks, huts, or tents; structures with makeshift walls or roofs, or built of packing boxes, scrap lumber, or tin; structures lacking foundations (walls rest directly on the ground); structures with dirt floors; and cellars, sheds, barns, garages, or other places not originally intended for living quarters and inadequately converted to such use. Such units are classified as dilapidated.

The enumerator was instructed to judge each unit on the basis of its own characteristics, regardless of the neighborhood, the age of the structure, or the race or color of the occupants. He was cautioned, for example, that although lack of paint is only a slight defect, this and other signs of neglect are warnings to look closely for more serious defects. Also, exterior covering may improve the appearance of a structure but not its condition, and the sturdiness of brick or other masonry walls can be misleading if there are defects in other parts of the structure.

The enumerator was provided with detailed oral and written instructions and with visual aids. A filmstrip of photographs depicted various types of defects and a recorded narrative explained how to determine the classification of condition on the basis of these defects. Nevertheless, it was not possible to achieve uniform results in applying the criteria for determining the condition of a unit. Data on conditon for large areas, which are based on the work of a number of enumerators, tend to have a smaller margin of relative error than data for small areas, which depend on the work of only a few enumerators.

Source: HC(4)–16 Components of Inventory Change. HC(6) Plumbing Facilities and Estimates of Dilapidated Housing.

Appendix E—U.S. Census Annual Housing Survey—Indicators of Housing Quality[1]

Structural Characteristics

Complete kitchen facilities. (Parts A, B, C, E, F)—A unit has complete kitchen facilities when it has all three of the following for the exclusive use of the occupants of the unit: (1) An installed sink with piped water, (2) a range or cookstove, and (3) a mechanical refrigerator. All kitchen facilities must be located in the structure. They need not be in the same room. Quarters with only portable cooking equipment are not considered as having a range or cookstove. An icebox is not included as a mechanical refrigerator.

The kitchen facilities are for the exclusive use of the occupants when they are used only by the occupants of one housing unit, including lodgers or other unrelated persons living in the unit. When a structure consists of only one housing unit, all equipment located inside the structure is classified, by definition, for exclusive use.

For vacant units from which one or all of the kitchen facilities had been removed, the kitchen facilities used by the last occupant were to be reported.

Condition of kitchen facilities. (Parts B, E, F)—Units with complete kitchen facilities were classified as to whether all the kitchen facilities were in usable condition. If one or more of the kitchen facilities (sink, range or cookstove, and refrigerator) could not be used for its intended prupose, the unit was classified as having "1 or more not in usable condition." Kitchen facilities that normally function properly, but which were temporarily out of use (two weeks or less) because of a breakdown, were classified as usable.

Basement. (Parts A, B, C, D, E, F)—Statistics on basements are based on the number of housing units located in structures built with a basement. A structure has a basement if there is enclosed space in which persons can walk upright under all or part of the building.

In parts B, E, and F of this series, basements in structures with occupied units are further classified by signs of water leakage. The category, "with water leakage," consists of units in which the basement shows signs of water having leaked in from the outside, even if the signs only appear when it rains or during other similar situations. "No water leakage" means that the basement shows no signs of water leakage, or that the signs of water leakage are caused by a problem inside the structure such as faulty plumbing. If the basement shows signs of water having leaked in from the outside but the problem causing the leakage has been corrected, the unit was classified as having no water leakage.

The 1975 data on basements are for "all year-round housing units"; the 1970 data on basements are restricted to "all occupied housing units."

Year structure built. (Parts A, B, C, D, E)—"Year structure built" refers to when the building was first constructed, not when it was remodeled, added to, or converted. The figures relate to the number of units in structures built during the specified periods and in existence at the time of enumeration. For mobile homes and trailers, the model year was assumed to be the year built.

Units in structure. (Parts A, B, C, D, E, F)—In determining the number of units in a structure, all housing units, both occupied and vacant, were counted. The statistics are presented for the number of housing units in structures of specified type and size, not by the number of residential structures.

A structure is a separate building that either has open space on all sides or is

[1] Series H–150–76B.

separated from other sturctures by dividing walls that extend from ground to roof. Structures containing only one housing unit are further classified as detached or attached (see parts A and E).

A one-family house is detached if it has open space on all four sides even through it has an adjoining shed or garage. A one-family house is attached if it has one or more walls extending from ground to roof which divide if from other adjoining structures, such as in row houses, townhouses, etc.

Mobile homes and trailers are shown as a separate category (see parts A, C, D, and E). When one or more rooms have been added to a mobile home or trailer it is classifed as a one-family house. If, however, only a porch or shed has been added, it is still counted as a mobile home or trailer.

Elevator in structure. (Parts A, B, C, E)—Statistics on elevator in structure are for the number of housing units in structures with four floors or more which have a passenger elevator. Units are in a "walk-up" structure of four floors or more if the structure has no passenger elevator or if the only elevator service is for freight.

Stories between main and apartment entrances. (Parts B, F)—This item is restricted to two or more unit structures and is concerned with the number of floors from the main entrance of the apartment building to the main entrance of the apartment. The number of stories is determined from ground level if an apartment has its own private entrance, or it is entered from an area *not located inside* the building and there is no main building entrance, or if there is a main building entrance but the entrance to the apartment cannot be reached by using the main building entrance.

Storm windows, storm doors, and attic or roof insulation. (Parts A, E)—The purpose of these three items is to determine if a housing unit has some form of insulation which helps to reduce heat loss during the winter and heat gain during the summer. The statistics are shown only for occupied, one-family homes and mobile homes and trailers.

Storm windows or other protective window covering.—This category refers to protective window covering, such as storm windows, double-glazed glass, closeable shutters, or plastic. Housing units with "Some windows covered" have protective coverings over some, but not all windows.

Storm doors.—This category refers to additional doors hung in exterior doorways. Doors on attached garages are not included. Housing units with "Some doors covered" have storm doors on some, but not all, exterior door openings.

Attic or roof insulation.—This category includes roll or blanket insulation encased in a paper covering, fiberglass batting, and loose insulation which is poured or blown between the attic floor joists.

Mobile homes anchored with tie downs or other means.(Parts A, E)—An anchored mobile home or trailer is one that is secured to the ground through the use of tie downs, bolts, etc. The main purpose in anchoring a mobile home or trailer is to protect the unit from wind movement or destruction.

In group of 6 or more mobile homes. (Parts A, E)—Mobile homes and trailers that are gathered close together are considered to be in a "group." This may be a large mobile home park containing many units or it may be a small number grouped together on a single site or adjacent sites.

Roof. (Parts B, E, F)—Units "with water leakage" are those in which the roof shows signs of water having leaked in from the outside or where the roof leaks when it rains. "No water leakage" means that the roof shows no signs of water having leaked in from the outside, or that the roof shows signs of water leakage but the problem causing the leakage has been corrected. If the signs of water leakage are caused by a problem inside the structure such as faulty plumbing, the unit was classified as having no water leakage.

Interior ceilings and walls. (Parts B, E, F)—Statistics are presented on whether or not there are open cracks or holes and broken plaster or peeling paint on the interior ceilings or walls of a housing unit. Included are cracks or holes that do not go all the way through to the next room or to the outdoors. "Hairline cracks" or cracks that appear in the walls or ceilings but are not large enough for a fingernail file to be inserted in, and very small holes caused by nails or other similar objects are not considered to be open cracks or holes.

Broken plaster or peeling paint must be on the inside walls or ceilings, and at least one area of the broken plaster or peeling paint must be approximately one square foot or larger.

Interior floors. (Parts B, E, F)—Data are shown on whether there are holes in the interior floors of a housing unit. The holes do not have to go through the floor. Excluded are very small holes caused by nails or other similar objects.

Selected structural deficiencies and wish to move. (Parts B, E, F)—The category "household would like to move" consists of housing units in which the respondent considers one or more of the following structural deficiencies so objectionable that he would like to move from his unit: (1) A basement with signs of water leakage, (2) roof leaks, (3) open cracks or holes in the interior walls or ceiling, (4) holes in the floor, and (5) broken plaster or peeling paint on the ceiling or inside walls.

Overall opinion of structure. (Parts B, E, F)—The data presented are based on the respondent's overall opinion of his house or building as a place to live. The respondent was asked to rate the structure as excellent, good, fair, or poor.

Common stairways. (Parts B, E, F)—The statistics on common stairways are presented for housing units in structures of two or more units with common stairways. The figures reflect the physical condition of the stairway; i.e., whether there are loose, broken, or missing steps or stair railings. Common stairways are stairways which are usually used by the occupants of more than one unit or by the general public. They may be either inside the structure or attached to the outside of the building.

Light fixtures in public halls. (Parts B, E, F)—The statistics on light fixtures in public halls are presented for housing units in structures of two or more units with public halls which have light fixtures and whether the light fixtures are in working order. Light fixtures include wall lights, ceiling lights, or table lamps in the public halls of the building. Public halls are used by the occupants of more than one unit or by the general public.

Electric wiring. (Parts B, E, F)—A housing unit is classified as having exposed electric wiring if the unit has any wiring that is not enclosed, either in the walls or in metal coverings, or if the wiring is outside the walls but enclosed in some material other than metal. Extension cords and other types of wiring that extend from a wall outlet to an appliance or lamp are not considered as exposed wiring.

Electric wall outlets. (Parts B, E, F)—A housing unit is classified as having electric wall outlets in each room if there is at least one working electric wall outlet or wall plug in each room of the unit. A working electric wall outlet or wall plug is one that is in operating condition; i.e., can be used when needed. If a room does not have an electric wall outlet, an extension cord used in place of a wall outlet is not considered to be an electric wall outlet.

Electric fuse blowouts. (Parts B, E, F)—These statistics are for occupied housing units which had had an electric circuit fuse blown or breaker switch tripped during the three months prior to enumeration. The data are restricted to households that had been at their present address for at least three months prior to the date of enumeration. A blown fuse of tripped breaker switch results in the temporary loss of electricity until the fuse is replaced or the breaker switch reset. Blown fuses inside certain appliances or equipment (such as some large air conditioners) are counted as "fuse or switch blowouts."

Parking facilities. (Parts D, E)—The statistics on parking facilities presented in this report are restricted to renter-occupied units for which cash rent is paid and exclude one-family homes on 10 acres or more. The data refer to off-street parking facilities which are available in connection with the building. The facilities are provided by the landlord or management and must be available without an additional cost to the renter. The parking facility may be a garage, carport, driveway, or open lot where the occupant may park his car off the street.

Plumbing Characteristics

Plumbing facilities. (Parts A, B, C, D, E, F)—The category "with all plumbing facilities" consists of units which have hot and cold piped water inside the structure as well as a flush toilet and a bathtub or shower inside the structure for the exclusive use of the occupants of the unit. All plumbing facilities must be located in the structure but they need not be in the same room." Lacking some or all plumbing facilities" means that the unit does not have all three specified plumbing facilities (hot and cold piped water, as well as flush toilet and bathtub or shower inside the structure), or that the toilet or bathing facilities are also for the use of the occupants of other housing units.

Complete bathrooms. (Parts A, B, C, D, E, F)—A housing unit is classified as having a complete bathroom if it has a room with a flush toilet and bathtub or shower and a wash basin, as well as piped hot water in the structure for the exclusive use of the occupants of the unit. A half bathroom has either a flush toilet or a bathtub or shower for exclusive use, but does not have all the facilities for a complete bathroom.

The category "also use by another household" consists of units with bathroom facilities which are also for the use of the occupants of other housing units.

The category "none" consists of units with no bathroom facilities, units with only a half bathroom, and units with all bathroom facilities but not in one room.

Source of water or water supply. (Parts A, C, E)—"A public system or private company" refers to a common source supplying running water to six or more housing units. The water may be supplied by a city, county, water district, or private water company, or it may be obtained from a well which supplies six or more housing units. If a well provides water for five or fewer housing units, it is classified as an "individual well." Individual wells are further classified by whether they were originally "drilled" or "dug." Water sources such as springs, creeks, rivers, cisterns, ponds, or lakes are included in the "other" category.

Breakdowns or failures in the water supply were asked when the unit had piped water inside the structure. The water may be available from sources such as a sink, wash basin, bathtub, or shower. A unit is classified as having no piped water inside structure if the unit has no piped water or if the only piped water available is outside the structure—for example, on an open porch or in another building. Data on breakdowns or failures of water supply are shown if the housing unit was occupied by the head of the household at least 3 months prior to enumeration and if the breakdown or failure lasted 6 consecutive hours or longer during the 3 months prior to enumeration. Breakdowns or failures in the water supply mean that the unit was completely without running water from its regular source. A unit was considered to be completely without running water if (1) the water system servicing the unit supplied no water at all, or (2) no water was available in the unit due to a breakdown or failure in the water supply inside the structure, or (3) the equipment and facilities (i.e., faucets in the kitchen and the bathroom sinks, faucet and shower in the bathtub, flush toilet, etc.) were all inoperable. It the faucet in the kitchen was broken, but the one in the bathtub was working, the unit was not classified as being completely without water.

Units with a breakdown or failure in the water supply are also classified according to the number of breakdowns or failures and to the most common source of the problem. "Problems inside the building" refer to such problems as broken pipes in the unit (or building) or turning the water off in the unit (or building) for maintenance and repairs. "Problems outside the building" refer to such problems as power failures, breaks in the main water line, or shutdowns by the water company for maintenance and repairs.

Availability of piped water. (Part E)—Units with no piped water in the building are classified by whether piped water is available within a quarter of a mile.

Sewage disposal. (Parts A, B, C, D, E, F)—A "public sewer" is connected to a city, county, sanitary district, neighborhood, or subdivision sewer system. It may be operated by a governmental body or private organization. A "septic tank or cesspool" is an underground tank or pit used for disposal of sewage. Small sewage treatment plants which in some localities are called neighborhood septic tanks are classified as public sewers. A chemical toilet uses chemicals to breakdown or dissolve sewage, a privy refers to an "out-house" or other small shelter outside the unit which contains a toilet. Units for which sewage is disposed of in some other way are included in the "other" category.

The data on breakdowns or failures in the means of sewage disposal are limited to units in which the means of sewage disposal was a public sewer, septic tank, or cesspool. The breakdown or failure may have been the result of an overloaded sewage disposal system, lack of running water, a broken or cracked tank, etc. Data on breakdowns are shown if the housing unit was occupied by the head of the household at least 3 months prior to enumeration and if the breakdown or failure lasted 6 consecutive hours or longer during the 3 months prior to enumeration.

Flush toilet. (Parts B, C, E, F)—The statistics on breakdowns or failures of flush toilet are limited to units that had all plumbing facilities with only one flush toilet; that is, one complete bathroom or one complete bathroom plus a half bath without flush toilet. The flush toilet may be completely unusable because of broken pipes, stopped up soil pipe, lack of water supplied to the flush toilet, or some other reason.

Units with breakdown or failure in flush toilet are classified by the number of breakdowns or failures and to the most common source of the problem. "Problems inside the building" refer to such breakdowns or failures as broken pipes in the unit (or building), a cracked or broken bowl, or faulty flushing mechanism. "Problems outside the building" refer to such breakdowns or failures as breaks in the main water or sewer line or shutdowns by the water company for maintenance or repairs.

Data on breakdowns or failures of flush toilet are shown if the housing unit was occupied by the head of household at least 3 months prior to enumeration, and if the breakdown or failure lasted 6 consecutive hours or more during the 3 months prior to enumeration.

Equipment and Fuels

Telephone available. (Parts A, E)—A unit is classified as having a telephone if there is a telephone available for receiving calls to the occupants of the unit. The telephone may be located outside or inside the housing unit, and one telephone may serve the occupants of several units. The number of housing units with a telephone available, therefore, does not indicate the number of telephones installed in homes.

Heating equipment. (Parts A, B, C, E, F)—"Warm-air furnace" refers to a central system which provides warm air through ducts leading to various rooms; central heat pumps are included in this category. "Steam or hot water" refers to a central heating system in which heat from steam or hot water is delivered through radiators or other outlets. "Built-in electric units" are permanently installed in floors, walls, ceilings, or baseboards. A "floor, wall, or pipeless furnace" delivers warm air to the room right above the furnace or to the room(s) on one or both sides of the wall in which the furnace is installed. "Room heaters with flue" include circulating heaters, convectors, radiant gas heaters, and other nonportable heaters that burn gas, oil, kerosene, or other liquid fuels, and which are connected to a flue, vent, or chimney to remove smoke and fumes. "Room heaters without flue" include any room heater (not portable) that burns gas, oil, or kerosene which is not connected to a flue, vent, or chimney. "Fireplaces, stoves, or portable heaters" also include room heaters that burn coal or wood.

For vacant units from which the heating equipment had been removed, the equipment used by the last occupants was to be reported.

For breakdowns or failures of heating equipment, data are shown for units occupied by the household head during the winter prior to enumeration if the equipment was unusable for 6 consecutive hours or longer during that time. To quality as having lived here "last winter," the household head must have moved into the unit prior to February 1975.

Heating equipment is considered unusable if it cannot be used for the purposes intended; the breakdown or failure may be caused by broken pipes, electrical or gas parts out of order, or downed power lines.

Insufficient heat (Parts B, E, F)—The statistics presented refer to housing units in which the household head occupied the unit during the winter prior to the date of enumeration. To quality as having lived here "last winter," the household head must have moved into the unit prior to February 1975.

Separate data are shown for units with additional heat source, rooms which lacked specified heat source, and units with closed rooms. The term "specified heating equipment" includes warm-air furnace; steam or hot water system; built-in electric units; floor, wall, or pipeless furnaces; and room heaters with flue. Excluded are room heaters without flue or vent, fireplaces, stoves, and portable heaters.

The data on additional heat source refer to units with "specified heating equipment" which *had* to use additional sources of heat to supplement the regular heating system because the regular system did not provide enough heat. Additional sources of heat such as kitchen stoves, fireplaces, or portable heaters, may have been used only in the mornings or on very cold evenings. Electric blankets, heating pads, or hot water bottles are not considered additional sources of heat.

"Rooms lacking specified heat source" include rooms lacking hot air ducts, registers, radiators, and room heaters. The intent of this item was to identify rooms in units with "specified heating equipment" which did not

contain the means of conveying the heat to the room. The kitchen was not considered to be a room for this item.

Separate data are also shown for rooms which were closed because they could not be kept warm. The rooms must have been closed for 7 consecutive days or longer during the previous winter, and the unit must have "specified heating equipment." For this item, also, the kitchen was not considered a room.

Air conditioning. (Parts A, B, C, D, E)—Air conditioning is defined as the cooling of air by a refrigeration unit; excluded are evaporative coolers, fans, or blowers which are not connected to a refrigeration unit. A room unit is an individual air conditioner which is installed in a window or an outside wall and is generally intended to cool one room, although it may sometimes be use to cool more than one room. A central system is a central installation which air-conditions the entire housing unit. In an apartment building, a central system may cool all apartments in the building, each apartment may have its own central system, or there may be several systems, each providing central air conditioning for a group of apartments. A central installation with individual room controls is a central air-conditioning system.

Fuels use for house heating and cooking. (Parts A, C, E,)—"Utility gas" is gas that is piped through underground pipes from a central system and serves the neighborhood. "Bottled, tank, or LP gas" is stored in tanks which are refilled or exchanged when empty. "Fuel oil, kerosene, etc." includes fuel oil, kerosene, gasoline, alcohol, and other combustible liquids. "Other fuel" includes any other fuel such as briquettes made of pitch and sawdust, coal dust, corncobs, or purchased steam.

Owned second home. (Parts A, C, E)—A second home may be a single-family house, vacation cottage, hunting cabin, ski lodge, etc., which is owned and held for use sometime during the year by the owner or members of his household. Second homes may also be owned in partnership with members of a different household. The figures include second homes which are sometimes rented or lesed on a short-term basis to other persons but are principally held for the owner's occasional use during the year.

The statistics refer to the number of households that own (one or more) second homes. The data, therefore, do not reflect the number of owned second homes. (See also discussion of vacant units "Held for occasional use" in section on "Occupancy and Vacancy Characteristics.")

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Part V

Environmental Protection Agency

Development Plan—Issuance of Protective Action Guides for Airborne Releases of Radioactivity as Federal Guidance

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ENVIRONMENTAL PROTECTION AGENCY

[FRL 1297-4]

Development Plan—Issuance of Protective Action Guides for Airborne Releases of Radioactivity as Federal Guidance

1. *Priority Classification.* The action proposed by this development plan is classified as significant and major because of its potential impact on the protection of the health and safety of the general public and on the regulatory and operating programs of other Federal agencies.

2. *Purpose.* The purpose of this action is to recommend to the President Protective Action Guides (PAG's) as Federal guidance for airborne releases of radioactivity applicable to the protection of the health and safety of the general public under radiological accident conditions.

3. *Introduction.* State Governments have the responsibility for public safety in times of emergency. In fulfillment of this responsibility, they prepare radiological emergency response plans to protect the public from accidental releases of radioactive material. These emergency response plans are supplemented by plans developed by nuclear facility operators which are coordinated with State and local plans.

State and local agencies, as well as nuclear facility operators, use Protective Action Guides as a basis for emergency response plans. Protective Action Guides represent a judgment as to when intervention is indicated to avoid radiation exposure that would otherwise result from an accidental release of radioactivity. It assumes that there is no means for complete control of the release at the facility. This judgment must consider health impact, population size and mobility, and methods for reducing exposure as well as the validity of data available. PAG's are intended to provide guidance for the protection of persons in the general population from excess radiation exposures following radiological accidents at nuclear facilities, including nuclear power plants, for accidents during the transport of radioactive materials, and for such other events that may cause contamination of the environment with radioactive materials.

Due to the probable short time available for protective actions following a radiological accident, emergency plans with PAG's are necessary and would reduce population risk by indicating when protective actions should be taken to protect the public. Guidance already exists from the Agency but does not have strength of Presidential Federal Guides.

Following a radiological accident, emergency response will be in three phases. Because of different exposure pathways and exposure time frames, separate PAG's will be needed for each phase.

PAG's developed under this development plan will be the first to be proposed as Federal guidance by EPA. These PAG's will be for the early phase when inhalation and whole body exposure from an airborne plume will be the principal radiation exposure pathways.

The FDA is currently developing information on protective actions for the second phase (contaminated food) when the ingestion exposure pathways are most important. We will use this information as a basis for revising current Federal guidance on PAG's covering the ingestion pathways. Revised PAG's for ingestion pathways will be developed and promulgated as Federal guidance under a separate development plan.

EPA is currently developing information through a contract on protective actions for the third phase, which is the long-term recovery phase (contaminated property and equipment) from an accidental release of radioactivity. This infomation will form a basis for developing PAG's for long-term response. It has not yet been determined whether these PAG's will be issued as Federal guidance.

PAG's for the different accident phases will be independent of each other so that the development of PAG's for the plume exposure pathaway will not impact on PAG's for other phases.

This program is in support of the EPA responsibility to develop Federal guidance on radiation and make recommendations to the President under the authority granted to the Administrator of EPA. This responsibility and authority, formerly vested in the Federal Radiation Council, was transferred to EPA by the President's Reorganization Plan No. 3 of 1970.

The EPA program to develop PAG's is also part of a coordinated effort involving eight Federal agencies to assist States in radiological emergency response preparedness for fixed facility and transportation accidents. The responsibilities of each agency are defined in a **Federal Register** notice dated December 24, 1975. This notice assigned responsibilities to the Environmental Protection Agency; Nuclear Regulatory Commission; the former Energy Research and Development Administration (now the Department of Energy); Department of Health, Education, and Welfare; Defense Civil Prepardeness Agency; Federal Disaster Assistance Administration; Federal Preparedness Agency; and the Department of Transportation. The Nuclear Regulatory Commission is designated as the lead Federal agency in radiological emergency response planning, training, and other assistance activities covered in this notice. The Federal Preparedness Agency exercises general monitorship of these activities. A major responsibility assigned to EPA by this notice was the establishment of PAG's in coordination with appropriate Federal agencies.

4. *Alternatives*—A. *No further action at this time.* EPA has issued PAG's for the plume exposure pathways as interim Agency guidance through the distribution of the "Manual of Protective Action Guides and Protective Actions for Nuclear Incidents." Most States and facility operators have adopted this interim guidance.

This alternative is not recommended because the present guidance is not binding on regulatory or operational Federal programs and, therefore, is nonenforceable. States, in using this nonenforceable guidance, have indicated their desire for its upgrading to Federal guidance so that it will be incorporated in Federal regulations as appropriate and so that responsible State agencies can use it as justification for procurement of resources necessary to support a radiological emergency response plan. No further action would result in the dispersal of radiation guidance for radiological accidents among many Federal and State agencies with the loss of a single coherent Federal guidance position.

B. *Issue Agency guidance.* The PAG's could be developed and promulgated as Agency guidance under the authority of the Notice of Interagency Agreement published in the **Federal Register**, December 24, 1975. The advantage of this over our present interim guidance would be an expansion of our recommendations to include guidance on exposure of other organs. Some time and effort would be saved over alternative "C" by not having to obtain Presidential approval.

The disadvantages of this alternative are similar to those for alternative "A". It would not be binding on regulatory or operational Federal programs and, therefore, would not be enforceable. States could not use the guidance as justification for procurement of resources necessary to develop and implement their response plans.

C. *Development and promulgation of Federal guidance.* Development and promulgation of the PAG's as Federal guidance under the authority granted to the Administrator of EPA will assure that they are used by Federal agencies as appropriate in the development of regulations, in licensing of nuclear facilities, and in operational procedures for nuclear facilities operated by or for the Federal Government. This action also meets our commitments in the Interagency Agreement, contributes a necessary part of the national policy on radiological emergency response plans, and addresses the many requests from State and local agencies for Federal guidance.

The value of developing PAG's as Federal guidance more than compensates for the added effort, and, therefore, this alternative is recommended for development and promulgation of the PAG's.

5. *Issues*—A. *Risk levels.* PAG's will be developed based on an evaluation of the following criteria:

1. Short-term (acute) health effects will be avoided;

2. Long-term health effects will be kept at a level which EPA judges to be reasonably protective of public health.

Risk levels associated with PAG's derived in this manner will probably fall above the range of risk levels associated with other types of guidance and regulations previously issued by the Agency for nonemergency situations. for this reason, some may consider the PAG risk levels to be unacceptably high. The technical support documentation will address this issue and attempt to place the risks in proper perspective by considering the broad economic impact and implementability of lowering the PAG's, as well as some comparison to other risks.

B. *Costs.* No detailed cost-benefit analysis will be attempted, but the supporting documentation will include information on the expected costs associated with the PAG levels. The cost associated with implementation cannot be a direct basis for setting the PAG levels; however, costs will determine the implementability of the guidance. It is recognized that assigning different PAG levels would influence the total cost of developing and maintaining emergency response plans, as well as the total cost of implementing an emergency plan should an accident occur. However, no standard methods exist for relating cost and risk, so no attempt will be made to equate them.

C. *Impact on Federal programs.* The proposed guidance, when finalized, will impact on the regulatory emergency programs of the NRC and on the operational control procedures of DOE and DOD for facilities under their control. Currently these agencies have been operating on the basis of similar PAG's issued as EPA interim Agency guidance in 1975. Thus, promulgation of PAG's as Federal guidance should not cause major changes in Federal operating programs. Changes considered to be of minor impact on an agency will be the requirement to change standard operating procedures to incorporate the guidance.

It is anticipated that Federal regulations dealing with nuclear accident insurance indemnification will be changed to correspond to the Federal guidance and that NRC will require licensees to use the PAC's in development of radiological emergency response plans. DOE and DOD will require operators of their nuclear facilities to adopt the Federal guidance on PAG's, which is primarily a change only in emergency plans.

D. *Impact on State and local programs.* State and local governments have made a practice of using Federal guidance as a basis for developing their radiological emergency response plans. Many State officials have indicated the need for plume exposure PAG's, and in response to this need, PAG's were released as interim Agency guidance in September 1975. Since most States have adopted the interim Agency guidance in their plans, promulgation of PAG's as Federal guidance is expected to be accepted as a positive measure by State and local programs and should not cause significant increases in their program costs.

E. *Relationship to other guidance.* PAG's for ingestion pathways have been issued as Federal guidance by the former Federal Radiation Council. These PAG's are independent of plume exposure PAG's and will not be affected by this action. Other EPA standards and Federal guidance relate to routine operations where the source is under control and would not be affected by these actions.

F. *Public input.* Because of public concern over the safety aspects of nuclear power generation, this action is likely to have appreciable public interest. Therefore, public input is expected to be large and will receive due consideration.

6. *Schedule.* The schedule for the program is outlined below. This schedule is contingent upon no major problems or delays either within the Agency or with other agencies.

Item and Date

1. Development plan approved, November 1979.
2. Publish Advanced Notice of Proposed Rulemaking in **Federal Register**, March 1980.
3. Prepare decision package.
a. Prepare draft action memorandum to Administrator, June 1980.
b. Prepare text of proposed guidance, June 1980.
c. Prepare Technical Support Document in cooperation with Interagency Central Coordinating Committee, June 1980.
4. Conduct internal reviews.
a. Submit to working group, June 1980.
b. Submit to Steering Committee, August 1980.
c. Submit for Red Border clearance, September 1980.
d. Submit to Administrator, October 1980.
5. Publish proposed guidance for public comment and respond to public comment, November 1980.
6. Prepare final guidance, March 1981.
7. Conduct final internal review.
a. Submit to working group, April 1981.
b. Submit to Steering Committee, May 1981.
c. Submit for Red Border clearance, May 1981.
d. Submit to Administrator, June 1981.
8. Submit recommendations to President for approval and publication, July 1981.

7. *Exclusions.* No exclusions of normally required materials from the decision package are anticipated.

8. *External Participation.* Participation by Federal and State authorities and other external participation in the development of this guidance will be encouraged throughout the project.

Representatives from the eight Federal agencies participating in the Interagency Agreement (previously cited) form the Federal Interagency Central Coordinating Committee for Radiological Emergency Response Planning. This Committee provides a review function for all guidance and recommendations prepared by the participating agencies. Any guidance, including Federal guidance proposed by EPA, would be reviewed by this Committee. ORP will consult with this Committee and present the status of the project, the rationale used to support the guidance, and attempt to resolve, during the development stages, any outstanding Federal level policy or technical issues.

During the development of this guidance, ORP will also consult with the Conference of Radiation Control Program Directors, Inc., which consists of State officials responsible for radiation protection. This group has already established a Task Force on Emergency Response Planning which ORP will consult with in the development and review of the guidance.

The schedule provides several opportunities for parties outside the Agency to become involved in the development of this guidance. Public

comment will be requested through publication of the proposed guidance in the **Federal Register**. The nuclear industry and major citizens' organizations will be specifically invited to comment. If there is sufficient interest, ORP will hold public hearings in the Washington, D.C., area.

9. *Internal Participation.* The Office of Radiation Programs is the lead office for the program.

The Working Group includes representatives from the following offices:

Office of Air, Noise, and Radiation (ANR–443).
Office of Federal Activities (A–104).
Office of General Counsel (A–133).
Office of Planning and Management (PM–223).
Office of General Enforcement (EN–341).
Office of Research and Development (A–107).
Office of Regional and Intergovernmental Operations (A–101).

(Region II has requested that they be permitted to represent regional interests and perspectives. Their contribution will be coordinated through ORIO).

This program is not expected to require an unusual level of effort from the representatives from any of these offices.

10. *Regulatory Analysis.* A regulatory analysis will not be required because it has been determined that the potential ecomomic impact of these regulations will not exceed the criteria established for conducting a regulatory analysis.

11. *Resources.* This effort is expected to require approximately two person-years of effort by the ORP staff in the development of the guidance and a combined effort of about one person-year by other EPA components in the review process.

Contracts will not be required to develop this guidance.

12. *EIS.* Agency policy does not require an Environmental Impact Statement for this type of action.

Dated: December 13, 1979.

Approve:

Douglas M. Costle,

Administrator, Environmental Protection Agency.

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Part VI

Department of Housing and Urban Development

Government National Mortgage Association

Guaranty of Mortgage Backed Securities; Amendment To Establish Rules Covering Issuers' Securities Marketing and Trading Activities

DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT

Government National Mortgage Association

24 CFR Part 390

[Docket No. R-79-747]

Guaranty of Mortgage-Backed Securities; Amendment To Establish Rules Covering Issuers' Securities Marketing and Trading Activities

AGENCY: Government National Mortgage Association, HUD.

ACTION: Proposed rule.

SUMMARY: The amendment would establish rules governing the securities marketing and trading practices of issuers of securities guaranteed by the Government National Mortgage Association, "GNMA." The proposed rules have two basic elements: (1) A requirement that issuers enter into agreements to purchase or sell securities only when the transaction is suitable, taking into account the issuer's financial capacity and contractual obligations, and (2) A requirement that issuers, with respect to certain forward market transactions, enter into contracts which provide for at least weekly mark to market deposits of collateral with an independent financial institution. The proposed rules are intended to help avoid abuses in issuers' marketing and trading of securities and provide assurance that issuers' ability to administer their outstanding securities will not be jeopardized by their securities marketing and trading activities.

DATE: Comment due date: February 19, 1980.

ADDRESS: Comments should be filed with the Rules Docket Clerk, Office of General Counsel, Room 5218, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410. Each person submitting a comment should include his name and address, refer to the proposed rule by its docket number and give reasons for any recommendation. Copies of all written comments received will be available for examination by interested persons in the Office of the Rules Docket Clerk at the address listed above. The proposed rule may be changed in light of comments received.

FOR FURTHER INFORMATION CONTACT: Warren Lasko, Office of Mortgage-Backed Securities, Government National Mortgage Association, Department of Housing and Urban Development, 451 Seventh Street, S.W., Washington, D.C. 20410, (202) 755-8772. This is not a toll-free number.

SUPPLEMENTARY INFORMATION: GNMA proposes to amend its regulations applicable to the Mortgage-Backed Securities Program. The proposed rule requires GNMA-approved issuers of mortgage-backed securities to incorporate certain terms and conditions in their delayed delivery contracts, including an obligation of both parties to the contract to mark to the market. The proposed rule also requires issuers to engage only in securities transactions which are suitable to the issuers' financial circumstances and sound, business-like operation.

The proposed rule does not apply to transactions in a contract market designated as such by, and in compliance with the requirements of, the Commodities Futures Trading Commission pursuant to the Commodity Exchange Act, 7 U.S.C. 1, as amended.

GNMA has existing requirements which relate to the issuers' responsibility to act prudently in the sale of mortgage-backed securities. These "prudent business practice" rules appear in Chapter 2 of the *Government National Mortgage Association Mortgage-Backed Securities Guide*, Handbook GNMA 5500.1, as amended. GNMA issued the prudent business practice requirements in September, 1977, in response to its observation that not all issuers were aware of the need for care in assessing the financial capacity of firms active in securities trading, or of the need for internal managment controls on securities marketing and trading activity.

Abuses in the trading of mortgage-backed securities have continued to occur. Some abuses have resulted primarily from high pressure sales tactics, undercapitalization, and inappropriate speculative activity by participants in the market other than securities issuers. However, some issuers of GNMA-guaranteed securities also have undertaken inappropriate risks in purchasing and selling securities. By engaging in these transactions, issuers have incurred substantial losses which threatened GNMA with loss on its guarantees of the issuers' securities.

During the period 1977 to the present, the Mortgage-Backed Securities Association ("MBSA"—formerly the Mortgage Backed Securities Dealers Association) and the Public Securities Association ("PSA") have sought to address the problems and abuses which have persisted in the market for mortgage-backed securities. Each of these groups has proposed the establishment of a self regulatory organization by the dealers participating in this market. Currenty, the PSA is establishing PSA Self-Regulation, Inc. as an industry self-regulatory organization for the purpose of minimizing further trading abuses.

GNMA has cooperated fully with the market reform efforts of the two private trade associations. However, GNMA believes that it has an obligation to take direct steps to assure that issuers of GNMA-guaranteed securities conduct marketing and trading acitivities in a manner that avoids speculative risks which could jeopardize their ability to service outstanding securities. GNMA has determined that such speculative activity threatens GNMA with risk of loss and threatens to disrupt the continued flow of capital into the housing market. The proposed rules are intended to deter issuers from engaging in speculative securities trading, and, therefore, GNMA's adoption of the proposed rules is a reasonable means of protecting its financial and other interests under the Mortgage-Backed Securities Program.

A Finding of Inapplicability of the National Environmental Policy Act of 1969 has been made in accordance with HUD procedures. It is available for public inspection and copying in the Office of the Rules Docket Clerk.

It is proposed that Part 390 be amended to establish a new Subpart D and to revise and redesignate present Subpart D as Subpart E as follows:

PART 390—GUARANTY OF MORTGAGE-BACKED SECURITIES

* * * * * *

Subpart D—Marketing and Trading Requirements

Sec.
390.50 Definitions.
390.51 Suitablility of Issuer Marketing and Trading Transactions.
390.52 Contract Requirements.
390.53 Failure to Comply.

Subpart E—Miscellaneous Provisions

390.60 Audits and Reports.
390.61 Applications.

Authority: Sec. 309, 82 Stat. 540; 12 USC 1723a, unless otherwise noted.

Subpart D—Marketing and Trading Requirements

§ 390.50 Definitions.

As used in this subpart, the following terms shall have the meaning indicated:

(a) "Delayed delivery contract" means a contract for the purchase or sale of one or more securities to be delivered at an agreed future settlement date, which is more than five business days after the contract's trade date. The term, "delayed delivery contract," includes both contracts which contemplate mandatory delivery and acceptance of the securities (including agreements to sell/purchase and subsequently repurchase/resell) and standby contracts which require the purchaser to accept delivery of the securities at the option of the seller. The term, "delayed delivery contract," does not include futures contracts utilized in a contract market designated as such by, and in compliance with the requirements of, the Commodities Futures Trading Commission. A delayed delivery contract is "open" if it has not been fulfilled by the delivery of securities.

(b) "Mark to the market" means the act of determining the market price of securities purchased or sold pursuant to an open delayed delivery contract and the further act, by the party which has an unrealized loss (when the market price is measured against the contract's price), of depositing collateral for the benefit of the contract's other party.

(c) "Regulated transaction" means the purchase or sale by an issuer of one or more securities pursuant to a delayed delivery contract, except that the term does not include a sale of securities guaranteed by the Association where (1) the issuer holds a valid, outstanding Commitment to Guaranty Mortgage-Backed Securities issued by the Association in an amount at least equal to the face amount of the securities sold, and (2) the settlement date under the contract is no later than the last day of the calendar month in which the 120th day after the contract's trade date falls.

(d) "Securities" means interests in pools of mortgage loans and debt obligations, both of which categories of securities are either issued or guaranteed by the United States or its instrumentalities, including without limitation straight pass-through and modified pass-through certificates guaranteed by the Association and mortgage participation certificates and guaranteed mortgage certificates issued by the Federal Home Loan Mortgage Corporation.

(e) "Settlement date" means the date agreed upon by the parties to a regulated transaction for the full and final payment of funds and delivery of securities.

(f) "Trade date" menas the date on which the parties to a regulated transaction agree to the purchase or sale of securities, regardless of the date on which the securities are to be delivered or the right to deliver them may be exercised.

§ 390.51 Suitability of issuer marketing and trading transactions.

Issuers shall enter into agreements to purchase or sell securities only to the extent the transactions are suitable for the issuer in view of its financial capacity and existing contractual obligations, including contracts with the Association. An issuer shall not enter into any agreement to purchase or sell securities if the result of the transaction could materially jeopardize the issuer's ability to continue to satisfy the basic net worth requirements set forth in § 390.3 or its ability to continue to administer its outstanding securities.

§ 390.52 Contract requirements.

An issuer may engage in a regulated transaction only if it undertakes the transaction in accordance with an executed delayed delivery contract which requires at a minimum each of the following:

(a) Both parties shall agree to mark to the market at least once each week from the trade date until the settlement date.

(b) A party which deposits collateral pursuant to its obligation to mark to the market shall make the deposit in cash with an independent financial institution. The independent financial institution shall be unrelated to, not affiliated with, and in no way controlled by a party to a regulated transaction.

(c) The collateral maintained with the independent financial institution shall be increased or adjusted at least weekly to the extent necessary to assure a deposit, by the party which has a net unrealized loss with respect to all its regulated transactions with the same contra-party, equal to one hundred percent of the net unrealized loss.

(d) Both parties shall agree to the method by which the market price of securities will be determined.

(e) Each party shall maintain complete and accurate records of each regulated transaction, including its mark to the market calculations and its deposits and adjustments of collateral made with respect to each delayed delivery contract under which it is obligated to make deposits.

(f) The same independent financial institution may be the depository for collateral deposited by a party under different delayed delivery contracts. The collateral deposited by a party under one delayed delivery contract may be commingled with collateral deposited by that party under other delayed delivery contracts with the same contra-party.

§ 390.53 Failure to comply.

Failure by an issuer to comply with the requirements of this subpart is sufficient basis for the Association, at its option, to withhold from the issuer further commitments to guaranty mortgage-backed securities.

Subpart E—Miscellaneous Provisions

§ 390.60 Audits and reports.

The Association may at any reasonable time audit the books and examine the records of any issuer, mortgage servicer, trustee, or agent or other person bearing on compliance with the requirements of the Mortgage-Backed Securities Program, and the Association may require reasonable and necessary reports from such persons.

§ 390.61 Applications.

Applications for guaranty should be submitted to the Association's home office located at 451 Seventh Street, SW., Washington, D.C. 20410.

Issued at Washington, D.C., November 28, 1979.

Frederick Taylor,

Executive Vice President, Government National Mortgage Association.

[FR Doc. 79-38846 Filed 12-18-79; 8:45 am]

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federal register

Wednesday
December 19, 1979

Part VII

Department of the Treasury

Foreign Assets Control Office

Iranian Assets Control Regulations

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DEPARTMENT OF THE TREASURY

Foreign Assets Control Office

31 CFR Part 535

Iranian Assets Control Regulations

AGENCY: Office of Foreign Assets Control.

ACTION: Final rule

SUMMARY: The Office of Foreign Assets Control is amending the Iranian Assets Control Regulations. The purpose of the amendment is to amend § 535.531 concerning the payment of certain checks and drafts; to add certain definitional provisions; and to add § 535.806 describing the rule making activities of the office. The need for the amendments is to extend certain provisions of § 535.531 which expired on December 14, 1979; to set forth policy concerning payment of checks and drafts; and to announce that the Office will consider, on a case-by-case basis, payment under certain irrevocable letters of credit. The effect of the amendment is that the authorization for payment for certain checks and drafts will continue for 31 days (not including the previous authorization for documentary drafts drawn under irrevocable letters of credit, which expired December 14, 1979); and that affected parties will be made aware of Office policy on accepted drafts, of the opportunity to submit certain letter of credit problems to the Office for case-by-case consideration, and of certain definitional provisions of the Regulations.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Dennis M. O'Connell, Chief Counsel, Office of Foreign Assets Control, Department of the Treasury, Washington, D.C. 20220, 202–376–0236.

SUPPLEMENTARY INFORMATION: Since the regulations involve a foreign affairs function, the provisions of the Administrative Procedure Act, 5 U.S.C. 553, requiring notice of proposed rule making, opportunity for public participation, and delay in effective date are inapplicable.

§ 535.531 now incorporates the overall policy under the Regulations concerning the payment of checks and drafts involving debits to blocked accounts. The main features of that policy are as follows:

(1) § 535.531(a) extends the general license for payment of checks and drafts drawn or issued prior to the effective date until January 14, 1980.

(2) § 535.531(b) revises and recodifies, as a general license, the provisions of former § 535.417 (published December 3, 1979) concerning the payment of accepted drafts and other obligations.

(3) The general license for payment of certain documentary drafts under irrevocable letters of credit, which expired on December 14, 1979, has not been extended. However, § 535.531(c) gives notice that applications for specific licenses for such payments will be considered on a case-by-case basis. Submissions should cover all such letters of credit in which the applicant is involved, and should be submitted not later than January 10, 1980.

(4) § 535.531(d) states that any payments made under the provisions of paragraph (a) or (b) of the section in favor of Iran or an Iranian entity must be made into a blocked account in a domestic bank.

§ 535.531(b), by its terms, deals only with accepted drafts where the payee is a person subject to the jurisdiction of the United States. However, the Office will also consider, without commitment, applications to authorize payment of accepted drafts to persons not subject to the jurisdiction of the United States on a case-by-case basis. Submissions should cover all accepted drafts in which the applicant is involved and should be submitted not later than January 10, 1980.

31 CFR Part 535 is amended as follows:

1. § 535.310 is added to read as follows:

§ 535.310 Transfer.

The term "transfer" shall mean any actual or purported act or transaction, whether or not evidenced by writing, and whether or not done or performed within the United States, the purpose, intent, or effect of which is to create, surrender, release, transfer, or alter, directly or indirectly, any right, remedy, power, privilege, or interest with respect to any property and, without limitation upon the foregoing, shall include the making, execution, or delivery of any assignment, power, conveyance, check, declaration, deed, deed of trust, power of attorney, power of appointment, bill of sale, mortgage, receipt, agreement, contract, certificate, gift, sale, affidavit, or statement; the appointment of any agent, trustee, or other fiduciary; the creation or transfer of any lien; the issuance, docketing, filing, or the levy of or under any judgment, decree, attachment, execution, or other judicial or administrative process or order, or the service of any garnishment; the acquisition of any interest of any nature whatsoever by reason of a judgment or decree of any foreign country; the fulfillment of any condition, or the exercise of any power of appointment, power of attorney, or other power.

2. § 535.312 is added to read as follows:

§ 535.312 Interest.

Except as otherwise provided in this part, the term "interest" when used with respect to property shall mean an interest of any nature whatsoever, direct or indirect.

3. § 535.417 is revoked.

§ 585.417 [Revoked]

4. § 535.531 is amended to read as follows:

§ 535.531 Payment of certain checks and drafts.

(a) A bank subject to the jurisdiction of the United States is hereby authorized to make payments from blocked accounts with such banking institution of checks and drafts drawn or issued prior to the effective date, *Provided*, that:

(1) The amount involved in any one payment, acceptance, or debit does not exceed $3000; or

(2) The check or draft was within the United States in process of collection by a domestic bank on or prior to the effective date and does not exceed $50,000.

(3) The authorization contained in this paragraph shall expire at the close of business on January 14, 1980.

(b) A bank subject to the jurisdiction of the United States as its own obligation may make payment to a person subject to the jurisdiction of the United States who is the beneficiary of any letter of credit issued or confirmed by it, or on a draft accepted by it, prior to the effective date, where the letter of credit was issued or confirmed on behalf of Iran or an Iranian entity, *Provided*, that:

(1) Notwithstanding the provisions of § 535.902, no blocked account may at any time be debited in connection with such a payment.

(2) Such a payment shall give the bank making payment no special priority or other right to blocked accounts it holds in the event that such blocked accounts are vested or otherwise lawfully used in connection with a settlement of claims.

(3) Nothing in this paragraph prevents payment being made to the beneficiary of any draft or letter of credit or to any banking institution pursuant to § 535.904.

(c) The Office will consider on a case-by-case basis, without any commitment on its part to authorize any transaction or class of transactions, applications for specific licenses to make payments from blocked accounts of documentary drafts drawn under irrevocable letters of credit issued or confirmed by a domestic bank prior to the effective date, in favor of any person subject to the jurisdiction of the United States. Any bank or payee submitting such an application should include data on all such letters of credit in which it is involved. Applications should be submitted not later than January 10, 1980.

(d) Paragraphs (a) and (b) do not authorize any payment to Iran or an Iranian entity except payments into a blocked account in a domestic bank unless Iran or the Iranian entity is otherwise licensed to receive such payment.

5. § 535.806 is added to read as follows:

§ 535.806 Rule making.

(a) In general, rule making by the Office of Foreign Assets Control involves foreign affairs functions of the United States to which the provisions of the Administrative Procedure Act, 5 U.S.C. 553, requiring notice of proposed rule making, the opportunity for public participation and a delay in effective date are inapplicable. However, the Office of Foreign Assets Control may consult with interested groups or persons in connection with the issuance of rules or the establishment of licensing policies.

(b) Any interested person may recommend in writing to the Director of the Office of Foreign Assets Control the issuance, amendment or the repeal of any rule.

(Secs. 201–207, 91 Stat. 1626; 50 U.S.C. 1701–1706; E.O. No. 12170, 44 FR 65729)

Dated: December 18, 1979.

Stanley L. Sommerfield,

Director.

Approved:

Richard J. Davis,

Assistant Secretary.

FR Doc. 79-39112 Filed 12-17-79; 11:30 am]

BILLING CODE 4810-25-M

31 CFR Part 535

Iranian Assets Control Regulations

AGENCY: Office of Foreign Assets Control.

ACTION: Final rule.

SUMMARY: The Office of Foreign Assets Control is amending the Iranian Assets Control Regulations. The purpose of the amendments is to clarify the rules and policies dealing with letter of credit situations, to add certain interpretative provisions, and to add Subpart F concerning reports. The need for the amendments is that the Office has received many telephone and written inquiries regarding the interpretation of the relevant provisions. The effect of the amendments is that the effect of the Regulations on various transactions will be clarified.

EFFECTIVE DATE: December 18, 1979.

FOR FURTHER INFORMATION CONTACT: Dennis M. O'Connell, Chief Counsel, Department of the Treasury, Washington, D.C. 20220, (202) 376–0236.

SUPPLEMENTARY INFORMATION: Since the regulations involve a foreign affairs function, the provisions of the Administrative Procedure Act, 5 U.S.C. 553, requiring notice of proposed rule making, opportunity for public participation and delay in effective date are inapplicable.

In addition to other miscellaneous provisions, the amendments herein include the following:

1. *Letter of credit rules.* Section 535.416 provides interpretations as to the applicability of these regulations to possible transactions involving letters of credit. The amendments to this section published today are intended to amplify some of the interpretations previously given.

2. *Pre-judgment attachments.* New section 535.418 makes clear that § 535.504 authorizes pre-judgment attachments, but does not authorize any payment or delivery of blocked property to a court, marshal, sheriff or similar entity.

3. *Advised letters of credit.* Section 535.567 is being modified to make clear that specific licenses will be granted under the criteria described to allow payments from blocked accounts only in hardship cases. This has always been the purpose of this licensing policy.

4. *Standby letters of credit and performance bonds.* Section 535.568, relating to certain standby letters of credit and performance bonds, is being amended to include a provision that notwithstanding any other provision of law no payment may be made under any such instrument before sufficient time (eight business days) has passed to allow the account party to apply for a specific license under § 535.568(b). 31 CFR Part 535 is amended as follows:

1. § 535.416(d) and (e) are amended to read as follows:

§ 535.416 Letters of credit

* * * * *

(d) *Q.* Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. The Iranian entity presents documentary drafts which are deficient in some detail. May the non-Iranian account party waive the documentary deficiency and authorize the bank to make payment?

A. Yes, provided payment is made into a blocked account in a domestic bank. However, the non-Iranian account party is not obligated by these Regulations to exercise a waiver of documentary deficiencies. In cases where such a waiver is not exercised, the bank's payment obligation, if any, under the letter of credit remains blocked, as does any obligation, contingent or otherwise, of the account party. The documents are also blocked.

(e) *Q.* Prior to the effective date, a bank subject to the jurisdiction of the United States has issued or confirmed a documentary letter of credit for a non-Iranian account party in favor of an Iranian entity. The Iranian entity does not make timely, complete, or proper presentation of documents, and the letter of credit expires. Does there remain a blocked payment obligation held by the bank?

A. No, but any documents held by the bank continue to be blocked. It is also possible that the account party still has a related obligation to the Iranian entity and any such obligation would be blocked.

* * * * *

2. § 535.418 is added to read as follows:

§ 535.418 Authorization of judicial proceedings under § 535.504.

The general authorization for judicial proceedings contained in § 535.504(a) includes pre-judgment attachment. However, § 535.504(a) does not authorize payment or delivery of any blocked property to any court, marshal, sheriff, or similar entity, and any such transfer of blocked property is prohibited without a specific license. It would not be consistent with licensing policy to issue such a license.

3. § 535.502 is amended by revising the heading and adding new paragraph (c) as follows:

§ 535.502 Effect of license or authorization.

* * * * *

(c) Any regulation, ruling, instruction or license authorizing a transaction otherwise prohibited under this part has the effect of removing a prohibition or prohibitions in Subpart B from the transaction, but only to the extent specifically stated by its terms. Unless the regulation, ruling, instruction or license otherwise specifies, such an

authorization does not create any right, duty, obligation, claim, or interest in, or with respect to, any property which would not otherwise exist under ordinary principles of law.

4. § 535.567 is amended to read as follows:

§ 535.567 Payment under advised letters of credit.

(a) Specific licenses may be issued for presentation, acceptance, or payment of documentary drafts under a letter of credit opened by an Iranian entity and advised by a domestic bank or an Iranian bank subject to the jurisdiction of the United States, *provided,* that:

(1) The letter of credit was advised prior to the effective date;

(2) The property which is the subject of the payment under the letter of credit was not in the possession or control of the exporter on or after the effective date;

(3) The beneficiary is a person subject to the jurisdiction of the United States.

(b) As a general matter, licenses will not be issued if the amount to be paid to a single payee exceeds $500,000, or if hardship cannot be shown.

5. § 535.568 is amended to read as follows:

§ 535.568 Certain standby letters of credit and performance bonds.

(a) Notwithstanding any other provision of law, payment into a blocked account in a domestic bank by an issuing or confirming bank under a standby letter of credit in favor of an Iranian entity is prohibited by § 535.201 and not authorized, notwithstanding the provisions of § 535.508, if either (1) a specific license has been issued pursuant to the provisions of paragraph (b) hereof or (2) eight business days have not expired after notice to the account party pursuant to paragraph (b) hereof.

(b) Whenever an issuing or confirming bank shall receive such demand for payment under a standby lettter of credit, it shall promptly notify the person for whose account the credit was opened. Such person may then apply within five business days for a specific license authorizing the account party to establish a blocked account on its books in the name of the Iranian entity in the amount payable under the credit, in lieu of payment by the issuing or confirming bank into a blocked account and reimbursement therefor by the account party.

(c) If necesary to assure the availability of the funds blocked, the Secretary may at any time require the payment of the amounts due under any letter of credit described in paragraph (a) into a blocked account in a domestic bank or the supplying of any form of security deemed necessary.

(d) Nothing in this section precludes any person for whose account a standby letter of credit was opened or any other person from at any time contesting the legality of the demand from the Iranian entity or from raising any other legal defense to payment under the standby letter of credit.

(e) This section does not affect the obligation of the various parties to the instruments covered by this section if the instruments and payments thereunder are subsequently unblocked.

(f) For the purposes of this section, the term "standby letter of credit" shall mean a letter of credit securing performance of, or repayment of, any advance payments or deposits, under a contract with Iran or an Iranian entity, or any similar obligation in the nature of a performance bond.

(g) The regulations do not authorize any person subject to the jurisdiction of the United States to reimburse a non-U.S. bank for payment to Iran or an Iranian entity under a standby letter of credit, except by payment into a blocked account in accordance with § 535.508 or paragraph (b) of this section.

(h) A person receiving a specific license under this section shall certify to the Office of Foreign Assets Control within five business days after receipt of that license that it has established the blocked account on its books as provided by paragraph (b) hereof.

6. Subpart F is added to read as follows:

Subpart F—Reports

§ 535.601 Records.

Every person engaging in any transaction subject to the provisions of this part shall keep a full and accurate record of each such transaction engaged in by him, regardless of whether such transaction is effected pursuant to license or otherwise, and such record shall be available for examination for at least two years after the date of such transaction.

§ 535.602 Reports to be furnished on demand.

Every person is required to furnish under oath, in the form of reports or otherwise, from time to time and at any time as may be required by the Secretary of the Treasury or any person acting under his direction or authorization complete information relative to any transaction subject to the provisions of this part or relative to any property in which any foreign country or any national thereof has any interest of any nature whatsoever, direct or indirect. The Secretary of the Treasury or any person acting under his direction may require that such reports include the production of any books of account, contracts, letters or other papers, connected with any such transaction or property, in the custody or control of the persons required to make such reports. Reports with respect to transactions may be required either before or after such transactions are completed. The Secretary of the Treasury may, through any person or agency, investigate any such transaction or property or any violation of the provisions of this part regardless of whether any report has been required or filed in connection therewith.

(Secs. 201–207, 91 Stat. 1628; 50 U.S.C. 1701–1706; E.O. No. 12170, 44 FR 65729)

Dated: December 18, 1979.

Stanley L. Sommerfield,

Director.

Approved:

Richard J. Davis,

Assistant Secretary.

[FR Doc. 79-39111 Filed 12-17-79; 11:30 am]

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AGENCY PUBLICATION ON ASSIGNED DAYS OF THE WEEK

The following agencies have agreed to publish all documents on two assigned days of the week (Monday/Thursday or Tuesday/Friday). This is a voluntary program. (See OFR NOTICE FR 32914, August 6, 1976.)

Monday	Tuesday	Wednesday	Thursday	Friday
DOT/SECRETARY*	USDA/ASCS		DOT/SECRETARY*	USDA/ASCS
*DOT/COAST GUARD	USDA/APHIS		DOT/COAST GUARD	USDA/APHIS
DOT/FAA	USDA/FNS		DOT/FAA	USDA/FNS
DOT/FHWA	USDA/FSQS		DOT/FHWA	USDA/FSQS
DOT/FRA	USDA/REA		DOT/FRA	USDA/REA
DOT/NHTSA	MSPB/OPM		DOT/NHTSA	MSPB/OPM
DOT/RSPA	LABOR		DOT/RSPA	LABOR
DOT/SLSDC	HEW/FDA		DOT/SLSDC	HEW/FDA
DOT/UMTA			DOT/UMTA	
CSA			CSA	

Documents normally scheduled for publication on a day that will be a Federal holiday will be published the next work day following the holiday.

Comments on this program are still invited. Comments should be submitted to the Day-of-the-Week Program Coordinator, Office of the Federal Register, National Archives and Records Service, General Services Administration, Washington, D.C. 20408

REMINDERS

The items in this list were editorially compiled as an aid to **Federal Register** users. Inclusion or exclusion from this list has no legal significance. Since this list is intended as a reminder, it does not include effective dates that occur within 14 days of publication.

Rules Going Into Effect Today

FEDERAL COMMUNICATIONS COMMISSION

66823 11–21–79 / Adequate notice and timely availability of tariff filings to the public

66830 11–21–79 / Aiding pollution prevention in large oil transfer operations in maritime services; expanded use of on-board frequencies

66816 11–21–79 / Amendments to radio operating licensing program

HOUSING AND URBAN DEVELOPMENT DEPARTMENT

Office of Assistant Secretary for Neighborhoods, Voluntary Associations and Consumer Protection—

66194 11–19–79 / Mobile home construction and safety standards; frame construction and prevention of storage near heat-producing appliances

Next Week's Deadlines for Comments on Proposed Rules

AGRICULTURE DEPARTMENT

Agricultural Stabilization and Conservation Service—

61047 10–23–79 / 1980 Rice Program; comments by 12–24–79

61601 10–26–79 / Disclosure of foreign investment in agricultural land; reporting obligations; comments by 12–26–79

Animal and Plant Health Inspection Service—

61048 10–23–79 / The importation of throughly cooked carcasses, parts, or products; comments by 12–24–79

Forest Service—

61618 10–26–79 / Grazing fee system; eastern region; comments by 12–26–79

Office of the Secretary—

61972 10–29–79 / Certification of essential agricultural uses and requirements; Natural Gas Policy Act; comments by 12–28–79

Rural Electrification Administration—

61048 10–23–79 / Specification for Carbon Arrester Assemblies for use in protectors; comments by 12–24–79

COMMERCE DEPARTMENT

National Oceanic and Atmospheric Administration—

65372 11–9–79 / Atlantic surf clam and ocean quahog fisheries; comments by 12–29–79

68872 11–30–79 / Atlantic surf clam and ocean quahog fisheries; approval and partial disapproval of Fishery Management Plan amendments; comments by 12–29–79

Office of the Secretary—

61378 10–25–79 / Watch quota provisions; comments by 12–24–79

CONSUMER PRODUCT SAFETY COMMISSION

61602 10–26–79 / Proposed exemption from labeling requirements for certain writing instruments and cartridges; comments by 12–26–79

ENERGY DEPARTMENT

67330 11–23–79 / Proposed procurement regulations; comments by 12–24–79

Economic Regulatory Administration—

67602 11–26–79 / Activation of Standby Mandatory Crude Oil Allocation Program; comments by 12–26–79

67338 11–23–79 / Applicatons for assignment, adjustment and other agency actions; notice to aggrieved persons; comments by 12–28–79

69664 12–4–79 / Public conference on Shell Oil Company's jet fuel pricing practices at JFK International Airport; comments by 12–24–79

Federal Energy Regulatory Commission—

67158 11–23–79 / Price squeeze—substantive rules; comments by 12–24–79

ENVIRONMENTAL PROTECTION AGENCY

61978 10–29–79 / Approval of California implementation plans; comments by 12–28–79

67674 11–27–79 / Delaware; revision to state implementation plan; comments by 12–27–79

67675 11–27–79 / Discretionary authority in modification of state plans; comments by 12–27–79

62914 11–1–79 / Standards of performance for new stationary sources; phosphate role plants; comments period extended to 12–26–79

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62204 10–29–79 / Textile mills point source category effluent limitations guidelines, pretreatment standards, and new source performance standards; comments by 12–28–79

FEDERAL COMMUNICATIONS COMMISSION

64442 11–7–79 / Eliminating applicability from the six meter frequency band (50–54 MHz); reply comments by 12–26–79

64441 11–7–79 / FM assignment to Vandalia, Mo; comments by 12–26–79

59580 10–16–79 / FM broadcast station in Plainview, Tex.; reply comments extended to 12–24–79
[Originally published at 44 FR 47964, Aug. 16, 1979]

66857 11–21–79 / Great Lakes public coast stations; transmission of weather broadcasts on channel 17 by voice and facsimile; reply comments by 12–28–79

FEDERAL EMERGENCY MANAGEMENT AGENCY

61211 10–24–79 / Disaster preparedness assistance—reorganization and revision of regulations; comments by 12–24–79

HEALTH, EDUCATION, AND WELFARE DEPARTMENT

Food and Drug Administration—

55191 9–25–79 / Canned fruits and berries; standards of identity; comments by 12–26–79

61053 10–23–79 / Rennet; proposed affirmation of GRAS status as a direct human food; comments by 12–24–79

Office of the Secretary—

67183 11–23–79 / Protection of privacy of individuals; comments by 12–24–79

HOUSING AND URBAN DEVELOPMENT DEPARTMENT

Community Planning and Development, Office of Assistant Secretary—

61591 10–26–79 / Community Development Block grants; closeout procedures; comments by 12–26–79

Office of Assistant Secretary for Housing—Federal Housing Commissioner—

61177 10–24–79 / Rental assistance payments; noninsured Section 236 projects; interim rule; comments by 12–26–79

INTERIOR DEPARTMENT

Land Management Bureau—

61880 10–26–79 / Sale of public lands; procedures; comments by 12–26–79

Office of the Secretary—

61378 10–25–79 / Watch quota provisions; comments by 12–24–79

Surface Mining Office—

63737 11–5–79 / Abandoned mine lands reclamation program; draft environmental impact statement; comments by 12–24–79

INTERSTATE COMMERCE COMMISSION

64851 11–8–79 / Rail general exemption authority; long- and short-haul transportation; comments by 12–28–79
[See also 44 FR 61981, Oct 29, 1979 and 44 FR 63121 Nov. 2, 1979]

61981 10–29–79 / Railroads; long and short haul and aggregate-of-intermediate provisions; exemption of certain categories of rail rates; comments by 12–28–79

TRANSPORTATION DEPARTMENT

Coast Guard—

64843 11–8–79 / Removal of COLREGS Demarcation Line at Boston Harbor Entrance seaward; comments by 12–23–79

Federal Aviation Administration—

68479 11–29–79 / Kessel, W. Va.; extension of Federal airway; comments by 12–26–79

68480 11–29–79 / Lonely DEW Station, Alaska; designation of control zone and transition area; comments by 12–26–79

TREASURY DEPARTMENT

Internal Revenue Service—

61611 10–26–79 / Exess profits on contracts for naval vessels or military aircraft; comments by 12–26–79

VETERANS ADMINISTRATION

67181 11–23–79 / Veterans education; paying educational assistance during intervals between terms; comments by 12–24–79

67179 11–23–79 / Veterans education; reports by schools; requirements; comments by 12–24–79

Next Week's Meetings

DEFENSE DEPARTMENT

Office of the Secretary—

71859 12–12–79 / Task Force on Evaluation of Audit, Inspection, and Investigative Components, Washington, D.C. (open), 12–27–79

HEALTH, EDUCATION, AND WELFARE DEPARTMENT

Health Resources Administration—

69994 12–5–79 / Nurse Training National Advisory Council, Hyattsville, Md. (partially open), 1–21 through 1–23–80

INTERIOR DEPARTMENT

National Park Service—

68527 11–29–79 / Upper Delaware Citizen's Advisory Council, Narrowsburg, N.Y. (open), 12–28–79

Next Week's Public Hearings

Note: There were no items eligible for inclusion in the list of **Next Week's Public Hearings**

List of Public Laws

Last Listing December 18, 1979

This is a continuing listing of public bills from the current session of Congress which have become Federal laws. The text of laws is not published in the **Federal Register** but may be ordered in individual pamphlet form (referred to as "slip laws") from the Superintendent of Documents, U.S. Government Printing Office, Washington, D.C. 20402 (telephone 202–275–3030).

H.R. 3407 / Pub. L. 96–145 To waive the time limitation on the award of certain military decorations to members of the Intelligence and Reconnaissance Platoon of the 394th Infantry Regiment, 99th Infantry Division, for acts of valor performed during the Battle of the Bulge. (Dec. 14, 1979; 93 Stat. 1085) Price $.75.

H.R. 4732 / Pub. L. 96–146 To fix the annual rates of pay for the Architect of the Capitol and the Assistant Architect of the Capitol. (Dec. 14, 1979; 93 Stat. 1086) Price $.75.

H.J. Res. 458 / Pub. L. 96–147 To authorize and request the President to issue a proclamation designating December 18, 1979, "National Unity Day". (Dec. 16, 1979; 93 Stat. 1087) Price $.75.

Documents Relating to Federal Grant Programs

This is a list of documents relating to Federal grant programs which were published in the **Federal Register** during the previous week.

RULES GOING INTO EFFECT

72036 12–12–79 / HUD/CPD—Comprehensive planning assistance; managing a grant; effective 1–11–80

70717 12–10–79 / HUD/CPD—Provisions for compliance with OMB Circular No. A–95 by applicants for entitlement grants and small cities grants; effective 1–9–80

APPLICATIONS DEADLINES

71906 12–12–79 / HEW/HRA—Minority oriented primary care medical education programs; availability of funds; apply by 12–21–79

71546 12–11–79 / HEW/NIE—Teaching and learning research grant competition; reminder about application closing date of 1–21–80

71910 12–12–79 / HEW/NIOSH—Research and demonstrations relating to occupational safety and health; availability of funds; apply by 3–1, 7–1, and 11–1–80

71462 12–11–79 / HEW/OE—Citizen Education for Cultural Understanding Program; apply by 2–25–80 for FY 1980 awards

72235 12–13–79 / HEW/OE—Handicapped children's education program; outreach projects; apply by 2–27–80

71908 12–12–79 / HEW/Office of Assistant Secretary for Health—Adolescent pregnancy prevention and services; availability of funds; apply by 3–14–80

72310 12–13–79 / HUD/NVACP—Neighborhood self-help development project grants; urban cycle 1; competitive solicitation; apply between 11–21–79 and 3–21–80

72246 12–13–79 / NSF—College faculty conferences; pilot series; recommendation of areas of discipline and suggestions of names for proposals; proposals by 1–14–80

MEETINGS

72669 12–14–79 / Labor/ETA—Applications under the Rural Development Act: Kleer-Vu Industries, Inc. and Winner Chemicals, applications received during the week ending 12–8–79

72683 12–14–79 / NFAH—Media Arts Panel (Production: Radio), Washington, D.C. (open), 1–7 and 1–8–80

72683 12–14–79 / NFAH—Music Panel (Choral section), Washington, D.C. (partially open), 1–8 through 1–11–80

OTHER ITEMS OF INTEREST

72048 12–12–80 / Justice/LEAA—National Priority Program and Discretionary Program; comments by 1–11–80

72067 12–12–79 / National Occupational Information Coordinating Committee—Occupational Information; fiscal year 1980 policies and grants

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